



玉山綜合證券股份有限公司

共同申報及盡職審查自我證明表暨FATCA狀態聲明書—法人、機構、團體等

Self-Certification Form for FATCA and CRS 【Entity】

自我證明簡介 Introduction and Source of Law

為遵守法令及因應國際趨勢，爰依我國「金融機構執行共同申報及盡職審查作業辦法(CRS)」及美國「外國帳戶稅收遵從法(FATCA)」等規定，請 您據實回覆下列詢問事項，並提供相關身分證明文件。

To comply with domestic regulations and in response to international trends, our Company is required to collect related information in accordance with regulations of Common Reporting Standard (CRS) in Taiwan and Foreign Account Tax Compliance Act (FATCA) in the United States. Please answer the following questions and provide the information truthfully and with related documentary evidence.

※請注意本文件非稅務和法務建議，本文件檢附之附錄僅針對本文件使用之名詞為說明以供您參考，本公司亦無法提供稅務或法務之意見。如果您對本文件有任何稅務或法務上之問題，請諮詢稅務、法律和/或其他相關專業人士。

※Please note that this form is not for tax and legal advice. The appendix is a list of terms and their corresponding definition used in this document and for your reference only. Our Company is not allowed to give any tax or legal advice. If you have any questions regarding the tax and legal issues in this document, please consult with tax, legal, or other areas of professionals.

※本份文件標示「註」之項目，請參考附錄說明。

※For items marked with "*" in this document, please refer to the instructions at the bottom of the page.

Part 1 – 帳戶持有人基本資料 Identification of Account Holder

1	實體或分支機構之法定名稱 Legal Name of Entity/Branch 法定名稱 Legal Name : _____
2	組織、設立或成立所在地之國家/地區 Country /Jurisdiction of Incorporation or Establishment <input type="checkbox"/> 中華民國 Republic of China，統一編號 Business administration number: <input type="text"/> <input type="checkbox"/> 其他國家/地區 Other Country/Jurisdiction: _____
3	現行營業地址 Current Business Address 現行營業國家/地區 Country/Jurisdiction of current business operation : _____ ; 郵遞區號 Postcode : _____ 現行營業地址 Current Business Address : _____
4	稅務居住者身分 Tax Residency 請勾(填)選聲明您的稅務居住國家/地區(至少需勾(填)選乙項，如您具有多個稅務居住國家/地區，請據實勾選並全部填載揭露；未勾(填)選之選項，即代表聲明您不具該國家/地區之稅務居住者身分)： Please check (fill in) to declare your country/region of tax residence (at least check (fill in) one). If you have multiple countries/regions of tax residence, please check and fill in all of them to disclose; do not check the option or fill it out which declare that you do not have tax resident status in that country/region : 4.1 <input type="checkbox"/> 僅具有中華民國稅務居住者 ¹ 身分，未具有美國、其他國家地區或多重國家/地區之稅務居住者身分。中華民國稅務識別碼TIN : _____ I certify that I am only a tax resident of Republic of China (R.O.C)(Taiwan), and do not have tax resident status in the United States, other countries, or multiple countries/regions. 4.2 具有美國、其他國家地區或多重國家/地區之稅務居住者身分者，請勾(填)選本項。 I have tax residency in the United States or any other countries

¹

如帳戶持有人為中華民國稅務居住者，填列稅務識別碼如下：

If the Account Holder is a tax resident of the Republic of China, fill in the tax identification code as follows:

1. 統一編號(8碼，由公司、商業登記主管機關或稅籍登記所轄稅捐稽徵機關編配)。

Unified Business number (8 digit number issued by the authorities in charge of corporation or business registration or by the tax authorities in charge of tax registration)

2. 如帳戶持有人並非任何國家/地區稅務居住者(如透視實體)，請敘明，並填寫其實際管理處所在地國家/地區。
If the Account Holder is not a tax resident in any country/jurisdiction (e.g., fiscally transparent entity), please indicate that and provide the country/jurisdiction in which its place of effective management is situated.

□4.2.1具有中華民國稅務居住者身分，且同時具有下列4.2.2或/及4.2.3身分(請勾(填)選下列選項)。中華民國稅務識別碼TIN：_____

I certify that I am a tax resident of Republic of China (R.O.C.)(Taiwan) and also have the following 4.2.2 or/and 4.2.3 status (please check (fill in) the following options).

□4.2.2具有美國稅務居住者身分(須符合特定美國人士^註定義)(勾(填)選本項者，請檢附W-9表格；本次已檢具請打勾□)

【*如果您為特定美國人士，除了本文件外，您尚需填寫並提供美國國稅局(IRS)表格「W-9」與「外國帳戶稅收遵從法案申報同意函」。】

I certify that I am a tax resident in the United States (please select if your qualification meets the definition of a specific U.S. person*1)(If you check (fill in) this item, please attach the W-9 form; please check if it has been provided this time.)

【*If you are a specific U.S. person, you are required to complete the form "W-9" and "FATCA Declaration Form (US Taxpayer only)" to IRS.】

□4.2.3具有其他國家/地區稅務居住者身分(勾選本項者，請完成下列表單填寫您具有稅務居住者身分的居住國家/地區及稅務識別碼資料並請提供下列資料：

I certify that I have tax residency in other countries. Please complete the table indicating the following information

(a)帳戶持有人具有稅務居住者身分的居住國家/地區(country/jurisdiction of tax residence)，及

(b)該居住國家/地區發行與帳戶持有人的稅務識別碼(Tax Identification Number, TIN)

※填寫時須列出除美國及中華民國以外具有稅籍的居住國家/地區，倘超過表格可填數量，請提供獨立的工作表格；倘沒有提供稅務識別碼，須填寫合適的理由：

Please list "all" the tax residency (not limited to 5 countries). If the Account Holder is tax resident in more than three countries please use a separate sheet. If a TIN is unavailable please provide the appropriate reason

#	理由 reason			
A	帳戶持有人為稅務居住者之國家/地區未核發稅務識別碼 The country/jurisdiction where the Account Holder is a tax resident does not issue TINs to its residents			
B	帳戶持有人無法取得稅務識別碼(請說明帳戶持有人無法取得稅務識別碼原因) The Account Holder is unable to obtain a TIN. Explain why the Controlling Person is unable to obtain a TIN if you have selected this reason.			
C	帳戶持有人毋須提供稅務識別碼(限於該帳戶持有人為稅務居住者之國家/地區國內法未要求蒐集稅務識別碼) TIN is not required. Only select this reason if the domestic law of the relevant country/jurisdiction of tax residence does not require the collection of TIN.			
	具有稅務居住者身分的居住國家/地區 Country/Jurisdiction of tax residence	稅務識別碼 TIN	如未提供稅務識別碼，填寫理由A、B、或C If no TIN available, enter reason A, B, or C	倘選取理由B，請說明理由 Explain why the Controlling Person is unable to obtain a TIN if you have selected reason B
1				
2				
3				
4				
5				

請提供以下「英文」資料please complete the following information：

本實體註冊名稱(英文) Legal Name of Entity/Branch：_____

現行營業國家/地區(英文) Country/Jurisdiction of current business operation：_____

現行營業地址(英文) Current Business Address：_____

Part 2 – 共同申報及盡職審查準則(CRS)實體類別*² Entity Type

請於下列I、II或III的選項中勾選合適適用之實體帳戶持有人的CRS實體類別並提供相關資料(至少需勾選乙項) Please provide the Account Holder's Status by ticking one of the following boxes and provide information(At least one item must be ticked.)

I. 金融機構 Financial Institution

☐ a. 存款機構、保管機構或特定保險公司

Depository Institution, Custodial Institution or Specified Insurance Company

☐ b. 投資實體，但不包括由一金融機構管理且非位於「應申報國」^註或「參與國」^註的投資實體
Investment Entity, except an Investment Entity that is managed by another Financial Institution and located outside a Reportable Jurisdiction or a Participating Jurisdiction

II. 積極非金融機構實體^註 Active Non-Financial Entity (Active NFE)

☐ c. 政府實體、國際組織、中央銀行或由政府實體、國際組織或中央銀行完全持有之實體
NFE is a Governmental Entity, an international organization, a central bank, or an Entity wholly owned by one or more of the foregoing Entities.

☐ d. 所發行股票於經認可證券市場經常性交易者或其關係實體

A corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation

☐ e. 除 c、d 以外之積極的非金融機構實體

Active NFE other than c or d.

III. 消極非金融機構實體^註 (請於 Part 4 提供具控制權人名單)

Passive Non-Financial Entity (Passive NFE) Please provide a list of controlling persons in Part 4

☐ f. 由一金融機構管理的投資實體且非位於「應申報國」或「參與國」

An Investment Entity located outside of a "Reportable Jurisdiction" and "Participating Jurisdiction" and managed by a financial institution

☐ g. 「積極非金融機構實體」以外之非金融機構實體

An NFE that is not an Active NFE

Part 3 – 外國帳戶稅務遵從法(FATCA)實體類別*

採用現行FATCA W-8BEN-E 替代表單。provide Form W-8-BEN-E for FATCA identification purposes

Part 4 – 具控制權人名單 List of Controlling Person

1. 勾選共同申報及盡職審查準則(CRS)實體類別「消極非金融機構實體」或外國帳戶稅務遵從法(FATCA)實體類別之「消極的非金融外國法人或團體」者，請提供帳戶持有人之「具控制權人」名單，且每位具控制權人需分別填寫一份「自我證明表格」；

If you select "Passive NFE" as your CRS or FATCA entity type, please provide a list of controlling person of the account holder. Each controlling person is required to complete a Self-certification form respectively.

2. 具控制權人定義請參考附錄；倘名單超過表格可填數量，請另檢附清單。

Please refer to the appendix for the definition of 'controlling persons'; if the list exceeds the number that can be filled in the form, please attach a separate list.

#	姓名 Name	#	姓名 Name
1		6	
2		7	
3		8	
4		9	
5		10	

請提供以下「英文」資料 please complete the following information：

本實體註冊名稱 Legal Name of Entity/Branch：_____；

本實體美國稅務識別碼(倘有) U.S. TIN(if any)：_____

本實體地址 Registered address：_____

此外，本實體同意因應本國主管機關或美國稅務機關之規範要求，玉山證券可依適用之法律規

² 非財政部公版必填欄位，惟仍須有機辨識實體類型是否屬於消極非金融機構實體，以完成具控制權人審查，因此建議列為必填欄位，以利執行審查作業。

範，履行相關義務。

In addition, the entity agrees that in response to the regulatory requirements of its home country's competent authorities or the U.S. tax authorities, E-sun Securities may perform relevant obligations in accordance with applicable legal regulations.

Part 5 – 聲明及簽署 Declaration and Signature

- 本人聲明，就與本文件所有相關的帳戶，本人為具控制權人(或經帳戶持有人或具控制權人授權簽署本文件)。

I certify that I am authorized to sign for the Account Holder of all the account(s) to which this form relates.

- 本人已審閱、瞭解且同意如下事項：

貴公司為(1)相關服務及執行、公司內部控制及稽核業務之需要及其他經營合於營業登記項目或組織章程所定之業務，(2)遵循「金融機構執行共同申報及盡職審查作業辦法(CRS)」及美國「外國帳戶稅收遵從法(FATCA)」而蒐集本人的個人資料，並備存本文件所載資料。所蒐集之資料僅會於前開蒐集目的存續期間及依法令規定要求期間內，以合於法令規定之利用方式，提供 貴公司、國內稅務機關、美國國稅局(IRS)及因以上目的作業需要之第三方處理及利用，國內稅務機關亦可能依據國際相關規定從而把資料轉交到帳戶持有人的居住國家/地區的相關主管機關。(您可以至本公司各分支機構查詢、請求閱覽、製給複製本、更正、補充、停止蒐集處理利用或刪除您的個人資料，惟本公司依法令規定或因執行業務所必須，得不依您的請求處理。若您未能提供相關個人資料時，本公司可能因此遲延處理或無法接受申請；且依據 FATCA 規定，倘客戶未依循辦理，**將被列為「不合作帳戶」(Recalcitrant Account)**。

I have reviewed, understood and agreed to the following matters:

Your company is required to (1) provide relevant services and execution, company internal control and auditing business, and operate other businesses that are in compliance with the business registration items or articles of association, and (2) comply with the "Financial Institutions' Implementation of Joint Reporting and Due Diligence Operations" (CRS)" and the United States' Foreign Account Tax Compliance Act (FATCA) to collect my personal information and store the information contained in this document. The information collected will only be provided to your company, the domestic tax authorities, the United States Internal Revenue Service (IRS) and other operations required for the above purposes in a manner consistent with the usage during the period of the aforementioned collection purpose and the period required by law. For third-party processing and utilization, the domestic tax authorities may also transfer the information to the relevant competent authorities in the account holder's country/region of residence in accordance with relevant international regulations. (You can go to any of our branches to inquire, request to read, make a copy, correct, supplement, stop collecting, processing and using or deleting your personal information. However, the company may not rely on you in accordance with legal provisions or when necessary to perform business. Processing of requests. If you fail to provide relevant personal information, the company may delay processing or be unable to accept the application; and in accordance with FATCA regulations, if the customer fails to comply, it will be classified as a "Recalcitrant Account".

- 本人聲明就本人所知所信，本文件內所填報的所有資料和聲明均屬真實、正確和完備且為最新資訊；若與 貴公司既存資料不相符，本人會說明原因、提供相應的證明文據，且同意以本份自我證明文件之內容更新既存資料並作為提供主管機關資料之依據，並承諾倘情況有所變更，以致影響本文件之資訊，或導致本文件所載的資料不正確，本人會於狀態變更之 30 日內通知 貴公司並提交一份已適當更新的自我證明。

I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete. I undertake to advise E-SUN Securities Company Ltd of any change in circumstances which affects the tax residency status of the Account Holder identified in Part 1 of this Self-certification form or causes the information contained herein to become incorrect, and to provide E-SUN Securities Company Ltd. with a suitably updated self-certification form within 30 days of such change in circumstances.

具控制權人或被授權簽署之人簽名：_____

(請加蓋公司大小章或原留印鑑)

Signature of the person with control or authorized to sign

(Please sign or use the Company
stamp as in the Signature Card)

具控制權人授權簽署之人身分：_____

Identity of the person with the authority to sign

(若您不是具控制權人/帳戶持有人，請敘明您簽署本文件之身分。如您是以代理人身分簽署此文件，請檢附授權書)

(If you are not the controlling person/account holder, please state your identity when signing this document. If you are signing this document as an agent, please attach a letter of authorization)

簽署日期 Date (YYYY-MM-DD) : _____

※警告: 如任何人在作出自我證明時，故意誤導或有虛假不正確之陳述者，將可能依國內外相關法令承擔相關責任。

※Warning: Any person who deliberately misleads or has false and incorrect statements when he/she makes selfcertification, will be liable under relevant domestic and international laws and regulations.

I. 自我證明:具控制權人 Self-certification: Controlling person

自我證明簡介

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To comply with domestic regulations and in response to international trends, our Company is required to collect related information in accordance with regulations of Common Reporting Standard (CRS) in Taiwan and Foreign Account Tax Compliance Act (FATCA) in the United States. Please answer the following questions and provide the information truthfully and with related documentary evidence.

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※本份文件標示「註」之項目，請參考附錄說明。

※Please note that this form is not for tax and legal advice. The appendix is a list of terms and their corresponding definition used in this document and for your reference only. Our Company is not allowed to give any tax or legal advice. If you have any questions regarding the tax and legal issues in this document, please consult with tax, legal, or other areas of professionals.

※For items marked with "*" in this document, please refer to the instructions at the bottom of the page.

Part 1 – 具控制權人基本資料 Basic information of the controlling person

1 具控制權人姓名 Name of person with controlling power

姓氏 Last name : _____ ; 名字 first name : _____

2 國籍(可複選) Nationality (Can check more than two)

☐ 中華民國 Republic of China , 身分證字號 ID : □□□□□□□□□□

☐ 他國護照號碼Passport number of other country : _____

國家country : _____

3 出生日期 Date of Birth

西元年/月/日 (yyyy/mm/dd) : ____/____/____

4 出生地點 Place of Birth

☐ 中華民國 Republic of China

☐ 其他國家/地區 Other country/jurisdiction : _____ ;

出生城市 Town or City : _____

5 現行居住地址 (不得為郵政信箱或公司地址)

Current Residence Address (P.O. box or company address is NOT allowed)

現行居住國家/地區 Current Residence Country/Jurisdiction : _____ ;

郵遞區號 Postcode (如有) : _____

現行居住地址 Current Residence Address : _____

6 請填寫您作為具控制權人之實體帳戶持有人的名稱及統一編號

Please fill in the name and unified number of the entity account holder of which you are the controlling person

實體 Entity A : _____ ; 統一編號 Uniform numbers : _____

實體 Entity B : _____ ; 統一編號 Uniform numbers : _____

實體 Entity C : _____ ; 統一編號 Uniform numbers : _____

7 稅務居住者身分 Tax Residency

請勾(填)選聲明您的稅務居住國家/地區(至少需勾(填)選乙項，如您具有多個稅務居住國家/地區，請據實勾選並全部填載揭露；未勾(填)選之選項，即代表聲明您不具該國家/地區之稅務居住者身分：

Please check (fill in) to declare your country/region of tax residence (at least check (fill in) one). If you have multiple countries/regions of tax residence, please check and fill in all of them to disclose; do not check the option or fill it out which declare that you do not have tax resident status in that country/region :

7.1 ☐ 僅具有中華民國稅務居住者³身分，未具有美國、其他國家地區或多重國家/地區之稅務居住者身分。中華民國稅務識別碼：_____

I certify that I am only a tax resident of Republic of China (R.O.C.)(Taiwan), and do not have tax resident status in the United States, other countries, or multiple countries/regions.

7.2 具有美國、其他國家地區或多重國家/地區之稅務居住者身分者，請勾(填)選本項。

I have tax residency in the United States or any other countries

☐ 7.2.1 具有中華民國稅務居住者身分，且同時具有下列7.2.2或/及7.2.3身分(請勾(填)選下列選項)。中華民國稅務識別碼：_____

I certify that I am a tax resident of Republic of China (R.O.C.)(Taiwan) and also have the following 4.2.2 or/and 4.2.3 status (please check (fill in) the following options).

☐ 7.2.2 具有美國稅務居住者身分(須符合特定美國人士^註定義)(勾(填)選本項者，請檢附W-9表格；本次已檢具請打勾)

【*如果您為特定美國人士(如：具美國國籍、持有綠卡、通過居留測試^註)，除了本文件外，您尚需填寫並提供美國國稅局(IRS)表格「W-9」與「外國帳戶稅收遵從法案申報同意函」。】

I certify that I am a tax resident in the United States (please select if your qualification meets the definition of a specific U.S. person⁴) (If you check (fill in) this item, please attach the W-9 form; please check if it has been provided this time.)

【*If you are a specific U.S. person, you are required to complete the form "W-9" and "FATCA Declaration Form (US Taxpayer only)" to IRS.】

☐ 7.2.3 具有其他國家/地區稅務居住者身分(勾選本項者，請完成下列表單填寫您具有稅務居住者身分的居住國家/地區及稅務識別碼資料並請提供下列資料：

I certify that I have tax residency in other countries. Please complete the table indicating the following information

(a) 帳戶持有人具有稅務居住者身分的居住國家/地區(country/jurisdiction of tax residence)，及

(b) 該居住國家/地區發行與帳戶持有人的稅務識別碼(Tax Identification Number, TIN)

※填寫時須列出除美國及中華民國以外具有稅務居住者身分的居住國家/地區，倘超過表格可填數量，請提供獨立的工作表格；倘沒有提供稅務識別碼，須填寫合適的理由：

Please list "all" the tax residency (not limited to 5 countries). If the Account Holder is tax resident in more than three countries please use a separate sheet. If a TIN is unavailable please provide the appropriate reason

#	理由				
A	具控制權人為稅務居住者之國家/地區未核發稅務識別碼 The country/jurisdiction where the Account Holder is a tax resident does not issue TINs to its residents				
B	具控制權人無法取得稅務識別碼(請說明帳戶持有人無法取得稅務識別碼原因) The Account Holder is unable to obtain a TIN. Explain why the Controlling Person is unable to obtain a TIN if you have selected this reason.				
C	具控制權人毋須提供稅務識別碼(限於該帳戶持有人為稅務居住者之國家/地區國內法未要求蒐集稅務識別碼) TIN is not required. Only select this reason if the domestic law of the relevant country/jurisdiction of tax residence does not require the collection of TIN.				
	<table><tr><td>具有稅務居住者身分的居住國家/地區 country/jurisdiction of tax</td><td>稅務識別碼 Tax Identification Number, TIN</td><td>如未提供稅務識別碼， 填寫理由A、B、或C If no TIN available,enter reason</td><td>倘選取理由B，請說明理由 Explain why the Controlling</td></tr></table>	具有稅務居住者身分的居住國家/地區 country/jurisdiction of tax	稅務識別碼 Tax Identification Number, TIN	如未提供稅務識別碼， 填寫理由A、B、或C If no TIN available,enter reason	倘選取理由B，請說明理由 Explain why the Controlling
具有稅務居住者身分的居住國家/地區 country/jurisdiction of tax	稅務識別碼 Tax Identification Number, TIN	如未提供稅務識別碼， 填寫理由A、B、或C If no TIN available,enter reason	倘選取理由B，請說明理由 Explain why the Controlling		

³ 如帳戶持有人為中華民國稅務居住者，填列稅務識別碼如下，如已於開戶文件或要保文件中徵提，無須於自我證明中再次徵提：
If the Account Holder is a tax resident of the ROC, his or her Tax Identification Number (TIN) is as follows:

1. 具身分證字號者為身分證字號(10碼，由內政部戶政司編配)。

National ID Card Number (a 10-digit code issued by the Department of Household Registration, Ministry of the Interior)

2. 具統一證號者為統一證號(10碼，由內政部移民署編配)。

Uniform ID Number (a 10-digit code issued by the National Immigration Agency, Ministry of the Interior)

3. 個人無身分證字號或統一證號者，以現行稅務識別碼(大陸地區人民為9+西元出生年後2碼及出生月日4碼；其餘情形為西元出生年月日8碼+護照顯示英文姓名前2字母2碼)方式編配。

The current Taxpayer Code Number for those who have neither National ID Card Number nor Uniform ID Number is assigned as follows: Mainland China citizens are coded as 9+yy+mm+dd (for example born on October 25, 1985, the code would be 9851025); for other foreigners, yyyy+mm+dd + the first two letters of his or her English name in order printed on his or her passport. (for example, the code for David Caruso born on October 25, 1985, would be 19851025DA)

	residence		A,B,or C	Person is unable to obtain a TIN if you have selsted reason B
1				
2				
3				
4				
5				
<p>請提供以下「英文」資料 please complete the following information in English.</p> <p>姓氏Last Name：_____；名字First Name：_____</p> <p>出生國家/地區Place of Birth_Country/Jurisdiction：_____；</p> <p>出生城市Place of Birth_Town or City：_____</p> <p>現行居住國家/地區 Current Residence Country/Jurisdiction：_____</p> <p>現行居住地址Current Residence Address：_____</p>				

Part 2 – 具控制權人類別* Controlling person category

請依據Part 1第6項所列之每一實體於適當的方格內勾選，列出具控制權人就每個實體所屬的控制權人類別。

Please check the appropriate box for each entity listed in Item 6 of Part 1 to list the category of controlling person to which the controlling person belongs for each entity.

*如果您是擁有控制股權的個人(即擁有不少於25%的已發行股本)或以其他途徑行使控制權或有權行使控制權的個人(即擁有不少於25%的表決權)，且為美國的稅務居民，除了本文件外，您尚需填寫並提供美國國稅局(IRS)表格：(1)「W-9」與(2)「FATCA身分確認同意函聲明書(個人)」。

*If you are an individual with controlling equity (i.e. owning not less than 25% of the issued share capital) or an individual who exercises control through other means or has the right to exercise control (i.e. owning not less than 25% of the voting rights), and As a tax resident of the United States, in addition to this document, you are also required to complete and provide the United States Internal Revenue Service (IRS) forms: (1) "W-9" and (2) "FATCA Identity Confirmation Consent Letter Declaration (Individual)".

具控制權人類別 Controlling person category	實體A EntityA	實體B EntityB	實體C EntityC
實體法人			
直接或間接持有實體之股份、資本或權益超過25%者 Those who directly or indirectly hold more than 25% of the shares, capital or equity of the entity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
透過其他方式對該實體行使控制權者 Those who exercise control over the entity through other means	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
該實體之高階管理人員 Senior management of the entity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
信託 trust			
委託人 client	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
受託人 trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
信託監察人 trust monitor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
受益人 beneficiary	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
任何其他對該信託行使最終有效控制權之自然人 Any other natural person who exercises ultimate effective control over the trust	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
除信託以外之法律安排 Legal arrangements other than trusts			
具相當或類似委託人地位之人 A person with equivalent or similar status to the principal	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
具相當或類似受託人地位之人 A person with equivalent or similar trustee status	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
具相當或類似信託監察人地位之人 A person with equivalent or similar status to a trust supervisor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
具相當或類似受益人地位之人 A person with equivalent or similar beneficiary status	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
任何其他對該安排行使最終有效控制權地位之人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Any other person who exercises ultimate effective control over the arrangement			
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Part 3 – 聲明及簽署 Declaration and signature

- 本人聲明，就與本文件所有相關的帳戶，本人為具控制權人(或經帳戶持有人或具控制權人授權簽署本文件)。

I declare that I am the controlling person (or am authorized by the account holder or controlling person to sign this document) for all accounts related to this document.

- 若本人在 Part 1 僅勾選 7.1，或同時勾選 7.2.1 及 7.2.3，則表示本人並非美國人士且不具有美國稅務居住者身分，不屬於美國法律所規定於經紀交易(broker transactions)或以物易物(barter exchanges)時應預扣備用稅款(backup withholding)的對象。此外，本人所填載的【具有稅務居住者身分的國家/地區】的收入來源(a)未與美國境內交易或業務行為有效連結；(b)可有效連結但在適用的租稅協定下免稅；或(c)係屬與合夥關係有效連結之收入中，合夥人的持份。本人清楚明白如果此項內容虛假，**將面對美國偽證罪責的追訴與懲罰。**

If I only check 7.1 in Part 1, or check 7.2.1 and 7.2.3 at the same time, it means that I am not a U.S. person and do not have U.S. tax resident status, and I do not fall under U.S. law in broker transactions.) or barter exchanges that should be subject to backup withholding. In addition, the sources of income in the [Country/Region with Tax Residency] that I filled in (a) are not effectively linked to transactions or business activities in the United States; (b) can be effectively linked but are exempt from tax under applicable tax treaties; or (c) a partner's share in income effectively connected with the partnership. **I clearly understand that if this content is false, I will be prosecuted and punished for perjury in the United States.**

- 本人已審閱、瞭解且同意如下事項：

貴公司為(1)相關服務及執行、公司內部控制及稽核業務之需要及其他經營合於營業登記項目或組織章程所定之業務，(2)遵循「金融機構執行共同申報及盡職審查作業辦法(CRS)」及美國「外國帳戶稅收遵從法(FATCA)」而蒐集本人的個人資料，並備存本文件所載資料。所蒐集之資料僅會於前開蒐集目的存續期間及依法令規定要求期間內，以合於法令規定之利用方式，提供 貴公司、國內稅務機關、美國國稅局(IRS)及因以上目的作業需要之第三方處理及利用，國內稅務機關亦可能依據國際相關規定從而把資料轉交到帳戶持有人的居住國家/地區的相關主管機關。(您可以至本公司各分支機構查詢、請求閱覽、製給複製本、更正、補充、停止蒐集處理利用或刪除您的個人資料，惟本公司依法令規定或因執行業務所必須，得不依您的請求處理。若您未能提供相關個人資料時，本公司可能因此遲延處理或無法接受申請；且依據 FATCA 規定，倘客戶未依循辦理，**將被列為「不合作帳戶」(Recalcitrant Account)。**

I have reviewed, understood and agreed to the following matters:

Your company is required to (1) provide relevant services and execution, company internal control and auditing business, and operate other businesses that are in compliance with the business registration items or articles of association, and (2) comply with the "Financial Institutions' Implementation of Joint Reporting and Due Diligence Operations" (CRS)" and the United States' Foreign Account Tax Compliance Act (FATCA) to collect my personal information and store the information contained in this document. The information collected will only be provided to your company, the domestic tax authorities, the United States Internal Revenue Service (IRS) and other operations required for the above purposes in a manner consistent with the usage during the period of the aforementioned collection purpose and the period required by law. For third-party processing and utilization, the domestic tax authorities may also transfer the information to the relevant competent authorities in the account holder's country/region of residence in accordance with relevant international regulations. (You can go to any of our branches to inquire, request to read, make a copy, correct, supplement, stop collecting, processing and using or deleting your personal information. However, the company may not rely on you in accordance with legal provisions or when necessary to perform business. Processing of requests. If you fail to provide relevant personal information, the company may delay processing or be unable to accept the application; and in

accordance with FATCA regulations, if the customer fails to comply, it will be classified as a "Recalcitrant Account".

- 本人聲明就本人所知所信，本文件內所填報的所有資料和聲明均屬真實、正確和完備且為最新資訊；若與 貴公司既存資料不相符，本人會說明原因、提供相應的證明文據，且同意以本份自我證明文件之內容更新既存資料並作為提供主管機關資料之依據，並承諾倘情況有所變更，以致影響本文件之資訊，或導致本文件所載的資料不正確，本人會於狀態變更之 30 日內通知 貴公司並提交一份已適當更新的自我證明。

I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete. I undertake to advise E-SUN Securities Company Ltd of any change in circumstances which affects the tax residency status of the Account Holder identified in Part 1 of this Self-certification form or causes the information contained herein to become incorrect, and to provide E-SUN Securities Company Ltd. with a suitably updated self-certification form within 30 days of such change in circumstances.

具控制權人或被授權簽署之人簽名：_____

Signature of the person with control or authorized to sign

被授權簽署之人身分：_____

Identity of person authorized to sign

(若您不是具控制權人/帳戶持有人，請敘明您簽署本文件之身分。如您是以代理人身分簽署此文件，請檢附授權書)

(If you are not the controlling person/account holder, please state your identity when signing this document. If you are signing this document as an agent, please attach a letter of authorization)

簽署日期 Signing date (YYYY-MM-DD)：_____

※警告：如任何人在作出自我證明時，故意誤導或有虛假不正確之陳述者，將可能依國內外相關法令承擔相關責任。

※Warning: If anyone intentionally misleads or makes false and incorrect statements when making self-certification, he may bear relevant liabilities in accordance with relevant domestic and foreign laws.



玉山綜合證券股份有限公司

共同申報及盡職審查自我證明表暨FATCA狀態聲明書一個人戶

Self-Certification Form for FATCA and CRS 【Individual】

自我證明簡介

- 為遵守法令及因應國際趨勢，爰依我國「金融機構執行共同申報及盡職審查作業辦法(CRS)」及美國「外國帳戶稅收遵從法(FATCA)」等規定，請您據實回覆下列詢問事項，並提供相關身分證明文件。
- To comply with domestic regulations and in response to international trends, our Company is required to collect related information in accordance with regulations of Common Reporting Standard (CRS) in Taiwan and Foreign Account Tax Compliance Act (FATCA) in the United States. Please answer the following questions and provide the information truthfully and with related documentary evidence.
- ※請注意本文件非稅務和法務建議，本文件檢附之附錄僅針對本文件使用之名詞為說明以供您參考，本公司亦無法提供稅務或法務之意見。如果您對本文件有任何稅務或法務上之問題，請諮詢稅務、法律和/或其他相關專業人士。
- ※Please note that this form is not for tax and legal advice. The appendix is a list of terms and their corresponding definition used in this document and for your reference only. Our Company is not allowed to give any tax or legal advice. If you have any questions regarding the tax and legal issues in this document, please consult with tax, legal, or other areas of professionals.
- ※本份文件標示「註」之項目，請參考附錄說明。
- ※For items marked with "*" in this document, please refer to the instructions at the bottom of the page.

Part 1 - 帳戶持有人基本資料 Identification of Account Holder

(針對聯名帳戶或多人聯名帳戶，每位個人帳戶持有人須分別填寫一份表格)

(For joint accounts or multi-person accounts, each individual account holder must fill out a separate form)

1	帳戶持有人姓名 Account holder Name
	姓名：_____
2	國籍 (可複選) Nationality (Can check more than two)
	<input type="checkbox"/> 中華民國 Republic of China，身分證字號 ID： <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
	<input type="checkbox"/> 其他國家 Other country：_____； 中華民國居留證號碼(如有) R.O.C. (Taiwan) Resident Certificate Number：_____
3	出生日期 Date of Birth
	西元年/月/日(yyyy/mm/dd)：_____/_____/_____
4	出生地點 Place of Birth
	<input type="checkbox"/> 中華民國 Republic of China <input type="checkbox"/> 其他國家/地區 Other country/jurisdiction：_____； 出生城市 Town or City：_____
5	現行居住地址 (不得為郵政信箱或公司地址) Current Residence Address (P.O. box or company address is NOT allowed)
	現行居住國家/地區 Current Residence Country/Jurisdiction：_____； 郵遞區號 Postcode(如有)：_____ 現行居住地址 Current Residence Address：_____ _____
6	稅務居住者身分 Tax Residency

請勾(填)選聲明您的稅務居住國家/地區(至少需勾選乙項,如您具有多個稅務居住國家/地區,請據實勾選並全部填載揭露;未勾(填)選之選項,即代表聲明您不具該國家/地區之稅務居住者身分):

Please check (fill in) to declare your country/region of tax residence (at least check (fill in) one). If you have multiple countries/regions of tax residence, please check and fill in all of them to disclose; do not check the option or fill it out which declare that you do not have tax resident status in that country/region :

6. 1 ☐ 僅具有中華民國稅務居住者⁴身分,未具有美國、其他國家地區或多重國家/地區之稅務居住者身分。中華民國稅務識別碼TIN: _____

I certify that I am only a tax resident of Republic of China (R.O.C)(Taiwan), and do not have tax resident status in the United States, other countries, or multiple countries/regions.

6. 2 具有美國、其他國家地區或多重國家/地區之稅務居住者身分,請勾(填)選本項。

I have tax residency in the United States or any other countries.

☐ 6. 2. 1 具有中華民國稅務居住者身分,且同時具有下列6. 2. 2或/及6. 2. 3身分(請勾(填)選下列選項)。中華民國稅務識別碼TIN: _____

I certify that I am a tax resident of Republic of China (R.O.C.)(Taiwan) and also have the following 6.2.2 or/and 6.2.3 status (please check (fill in) the following options).

☐ 6. 2. 2 具有美國稅務居住者身分(須符合特定美國人士[※]定義)(勾(填)選本項者,請檢附W-9表格;本次已檢具請打勾☐)

【*如果您為特定美國人士(如: 具美國國籍、持有綠卡、通過居留測試[※]),除了本文件外,您尚需填寫並提供美國國稅局(IRS)表格「W-9」與「外國帳戶稅收遵從法案申報同意函」。】

I certify that I am a tax resident in the United States (please select if your qualification meets the definition of a specific U.S. person^{*1})(If you check (fill in) this item, please attach the W-9 form; please check if it has been provided this time.)

【*If you are a specific U.S person, you are required to complete the form "W-9" and "FATCA Declaration Form (US Taxpayer only)" to IRS.】

☐ 6. 2. 3 具有其他國家/地區稅務居住者身分(勾選本項者,請完成下列表單填寫您具有稅務居住者的國家/地區及稅務識別碼資料並請提供下列資料:

I certify that I have tax residency in other countries. Please complete the table indicating the following information

(a) 帳戶持有人具有稅務居住者的國家/地區(country/jurisdiction of tax residence), 及

(b) 該居住國家/地區發行與帳戶持有人的稅務識別碼(Tax Identification Number, TIN)

※填寫時須列出除美國及中華民國以外具有稅務居住者的國家/地區,倘超過表格可填數量,請提供獨立的工作表格;倘沒有提供稅務識別碼,須填寫合適的理由:

Please list "all" the tax residency (not limited to 5 countries). If the Account Holder is tax resident in more than three countries please use a separate sheet. If a TIN is unavailable please provide the appropriate reason

⁴如帳戶持有人為中華民國稅務居住者,填列稅務識別碼如下:

If the Account Holder is a tax resident of the ROC, his or her Tax Identification Number (TIN) is as follows:

1. 具身分證字號者為身分證字號(10碼,由內政部戶政司編配)。

National ID Card Number (a 10-digit code issued by the Department of Household Registration, Ministry of the Interior)

2. 具統一證號者為統一證號(10碼,由內政部移民署編配)。

Uniform ID Number (a 10-digit code issued by the National Immigration Agency, Ministry of the Interior)

3. 個人無身分證字號或統一證號者,以現行稅務識別碼(大陸地區人民為9+西元出生年後2碼及出生月日4碼;其餘情形為西元出生年月日8碼+護照顯示英文姓名前2字母2碼)方式編配。

The current Taxpayer Code Number for those who have neither National ID Card Number nor Uniform ID Number is assigned as follows:

Mainland China citizens are coded as 9+yy+mm+dd (for example born on October 25, 1985, the code would be 9851025); for other

foreigners, yyyy+mm+dd + the first two letters of his or her English name in order printed on his or her passport. (for example, the code for David Caruso born on October 25, 1985, would be 19851025DA)

#	理由			
A	帳戶持有人為稅務居住者之國家/地區未核發稅務識別碼 The country/jurisdiction where the Account Holder is a tax resident does not issue TINs to its residents			
B	帳戶持有人無法取得稅務識別碼(請說明帳戶持有人無法取得稅務識別碼原因) The Account Holder is unable to obtain a TIN. Explain why the Controlling Person is unable to obtain a TIN if you have selected this reason.			
C	帳戶持有人毋須提供稅務識別碼(限於該帳戶持有人為稅務居住者之國家/地區國內法未要求蒐集稅務識別碼) TIN is not required. Only select this reason if the domestic law of the relevant country/jurisdiction of tax residence does not require the collection of TIN.			
	具有稅務居住者身分的國家/地區 country/jurisdiction of tax residence	稅務識別碼 Tax Identification Number, TIN	如未提供稅務識別碼，填寫理由A、B、或C If no TIN available, enter reason A,B, or C	倘選取理由B，請說明理由 Explain why the Controlling Person is unable to obtain a TIN if you have selected reason B
1				
2				
3				
4				
5				
<p>● 請提供以下「英文」資料 please complete the following information in English.</p> <p>姓氏Last Name：_____；名字First Name：_____</p> <p>出生國家/地區Place of Birth_Country/Jurisdiction：_____；</p> <p>出生城市Place of Birth_Town or City：_____</p> <p>現行居住國家/地區 Current Residence Country/Jurisdiction：_____</p> <p>現行居住地址Current Residence Address：_____</p>				

Part 2 - 聲明及簽署Declarations and Signature

■ 本人聲明，就與本文件所有相關的帳戶，本人是帳戶持有人。

I certify that I am the Account Holder (or I am authorized to sign for the Account Holder) of all the account(s) to which this form relates.

■ 若本人在 Part1 僅勾選 6.1，或同時勾選 6.2.1 及 6.2.3 時，則表示本人並非美國人士且不具有美國稅務居住者身分，不屬於美國法律所規定於經紀交易 (broker transactions) 或以物易物 (barter exchanges) 時應預扣備用稅款 (backup withholding) 的對象。此外，本人所填載的【具有稅務居住者身分的國家/地區】的收入來源，

- (a) 未與美國境內交易或業務行為有效連結；
- (b) 可有效連結但在適用的租稅協定下免稅；或
- (c) 係屬與合夥關係有效連結之收入中，合夥人的持份。
- 本人清楚明白如果此項內容虛假，將面對美國偽證罪責的追訴與懲罰。

If I only check 6.1 in Part 1, or if I check 6.2.1 and 6.2.3 at the same time, it means that I am not a U.S. person and do not have U.S. tax resident status, and I do not fall under U.S. law in broker transactions.) or barter exchanges that should be subject to backup withholding. In addition, the source of income of the [country/region with tax resident status] that I filled in,

(a) Not effectively linked to transactions or business activities in the United States;

(b) Effectively linked but exempt from tax under an applicable tax treaty; or

(c) A partner's share in income effectively connected with the partnership.

I clearly understand that if this content is false, I will be prosecuted and punished for perjury in the United States.

- 本人已審閱、瞭解且同意如下事項： 貴公司為(1)相關服務及執行、公司內部控制及稽核業務之需要及其他經營合於營業登記項目或組織章程所定之業務，(2)遵循「金融機構執行共同申報及盡職審查作業辦法(CRS)」及美國「外國帳戶稅收遵從法(FATCA)」而蒐集本人的個人資料，並備存本文件所載資料。所蒐集之資料僅會於前開蒐集目的存續期間及依法令規定要求期間內，以合於法令規定之利用方式，提供 貴公司、國內稅務機關、美國國稅局(IRS)及因以上目的作業需要之第三方處理及利用，國內稅務機關亦可能依據國際相關規定從而把資料轉交到本人的居住國家/地區的相關主管機關。(您可以至本公司各分支機構查詢、請求閱覽、製給複製本、更正、補充、停止蒐集處理利用或刪除您的個人資料，惟本公司依法令規定或因執行業務所必須，得不依您的請求處理。若您未能提供相關個人資料時，本公司可能因此遲延處理或無法接受申請；且依據 FATCA 規定，倘客戶未依循辦理，將被列為「不合作帳戶」(Recalcitrant Account)。

I have reviewed, understood and agreed to the following matters:

Your company is required to (1) provide relevant services and execution, company internal control and auditing business, and operate other businesses that are in compliance with the business registration items or articles of association, and (2) comply with the "Financial Institutions' Implementation of Joint Reporting and Due Diligence Operations" (CRS)" and the United States' Foreign Account Tax Compliance Act (FATCA) to collect my personal information and store the information contained in this document. The information collected will only be provided to your company, the domestic tax authorities, the United States Internal Revenue Service (IRS) and other operations required for the above purposes in a manner consistent with the usage during the period of the aforementioned collection purpose and the period required by law. For third-party processing and utilization, the domestic tax authorities may also transfer the information to the relevant competent authorities in the account holder's country/region of residence in accordance with relevant international regulations. (You can go to any of our branches to inquire, request to read, make a copy, correct, supplement, stop collecting, processing and using or deleting your personal information. However, the company may not rely on you in accordance with legal provisions or when necessary to perform business. Processing of requests. If you fail to provide relevant personal information, the company may delay processing or be unable to accept the application; and in accordance with FATCA regulations, if the customer fails to comply, it will be classified as a "Recalcitrant Account".

- 本人聲明就本人所知所信，本文件內所填報的所有資料和聲明均屬真實、正確和完備；若與 貴公司既存資料不相符，本人會主動通知 貴公司、說明原因、提供相應的證明文據，且同意以本份自我證明文件之內容更新既存資料並作為提供主管機關資料之依據，並承諾，倘情況有所變更，以致影響本文件之資訊，或導致本文件所載的資料不正確，本人會於狀態變更之 30 日內通知 貴公司並提交一份已適當更新的自我證明。

I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete. I undertake to advise E-SUN Securities Company Ltd of any change in circumstances which affects the tax residency status of the Account Holder identified in Part 1 of this Self-certification form or causes the information contained herein to become incorrect, and to provide E-SUN Securities Company Ltd. with a suitably updated self-certification form within 30 days of such change in circumstances.

- 帳戶持有人簽名 Account Holder Signature : _____
- 帳戶持有人之法定代理人/監護人/輔助人簽名

- Signature of the legal representative/guardian/assistant of the account holder : _____

- (立聲明書人為未成年且未婚/為受監護或輔助宣告人者，且須提供授權文件佐證)

(If the declarant is a minor and unmarried/is under guardianship or an auxiliary declarant, an authorization document must be provided as evidence)

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- 簽署日期 Date (YYYY-MM-DD) : _____

- ※警告: 如任何人在作出自我證明時，故意誤導或有虛假不正確之陳述者，將可能依國內外相關法令承擔相關責任。

※Warning: Any person who deliberately misleads or has false and incorrect statements when he/she makes self-certification, will be liable under relevant domestic and international laws and regulations.

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