



- 南華證券投資有限公司 South China Securities Limited
- 南華期貨有限公司 South China Commodities Limited
- 南華外匯有限公司 South China Forex Limited
- 南華金業有限公司 South China Bullion Company Limited
- 南華投資管理有限公司 South China Investment Management Limited

FATCA Declaration for Individual/Joint Accounts

Client Name: _____

Client Account No: _____

PART A – US Status		
Please put a tick “✓” in the appropriate box(es) if you match the below circumstances.		Required Form
1	U.S. citizen, U.S. passport or green card holder, or U.S. taxpayer (If yes, the client will not be required to answer questions 2-8.) <input type="checkbox"/>	W-9 [^]
2	Born in U.S. <input type="checkbox"/>	W-8BEN [^] (The client must complete this form if he/she satisfies any 1 of Q2-7)
3	U.S. Address (e.g. residential address, mailing address) <input type="checkbox"/>	
4	U.S. telephone number (e.g. home, work, mobile or fax number) <input type="checkbox"/>	
5	Standing instructions to transfer funds to an account maintained in the U.S. <input type="checkbox"/>	
6	Authorised Person(s) of the account hold(s) a U.S. address <input type="checkbox"/>	
7	Use a U.S. “in-care-of” or “hold mail” address as the sole address <input type="checkbox"/>	
8	I do not match with the above circumstances <input type="checkbox"/>	N/A

[^] Please visit the IRS website <http://apps.irs.gov/app/picklist/list/formsPublications.html> to download form W-8BEN or W-9.

PART B – Client Declaration
<p>I hereby agree and confirm with all the followings:</p> <ol style="list-style-type: none"> 1. I agree to comply with the regulatory obligations under the United States Foreign Account Tax Compliance Act (FATCA), and provide you with any documentary evidence upon request. 2. All the information or declaration provided on the required W forms, updated from time to time by U.S. Internal Revenue Service (IRS), by me shall be considered as my declaration provided to South China Securities Limited (SCSL)/ South China Commodities Limited (SCCL)/South China Forex Limited (SCFL)/South China Bullion Company Limited (SCBCL)/South China Investment Management Limited (SCIML) and I confirm the information provided on the required W forms is true, accurate and complete. 3. I understand and agree that failure in provision of the required information and documentary evidence may result in being classified as a recalcitrant account under FATCA and SCSL/SCCL/SCFL/SCBCL/SCIML shall have the right to withhold and report to IRS regarding this type of account. Therefore, I am advised to seek for professional advice on completing the required W forms or refer to the IRS website. SCSL/SCCL/SCFL/SCBCL/SCIML shall not be liable for any loss that may be incurred by reason of such withholding. 4. I agree to notify SCSL/SCCL/SCFL/SCBCL/SCIML within 30 calendar days of any change in circumstance impacting my U.S. Person status and I agree to provide any documents when required by SCSL/SCCL/SCFL/SCBCL/SCIML or U.S. Tax authorities from time to time to support my U.S. citizenship for U.S. tax purposes. 5. I agree to indemnify SCSL/SCCL/SCFL/SCBCL/SCIML for any loss in respect of any false or misleading information regarding my “U.S. person” status for U.S. tax purposes. 6. I consent that SCSL/SCCL/SCFL/SCBCL/SCIML may disclose and report my personal information including but not limited to address, U.S. taxpayer identification number (TIN), Account Information, Account balance or value, income paid and gross proceed from sources within the United States to the local regulators or U.S. tax authorities anytime on their request.



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PART C – Client Signature	
<hr style="border: 0; border-top: 1px solid black; margin-bottom: 5px;"/> Client Signature	<hr style="border: 0; border-top: 1px solid black; margin-bottom: 5px;"/> Date

For Office Use only		
Checked by	Approved by	Input by
Date:	Date:	Date: