

To : SinoPac Securities (Asia) Limited (“The Company”)
致：永豐金證券(亞洲)有限公司(“本公司”)
7th Floor, Lee Garden Three, 1 Sunning Road, Causeway Bay, Hong Kong
香港銅鑼灣新寧道一號利園三期七樓

I (Name: _____), the Substantial U.S. Owner of the Client (Client Name: _____) have read and understood the following notice from you:

本人(姓名: _____)為客戶(客戶名稱: _____)之實質美國股東。本人已閱讀及明白以下由貴公司之通知:

Notice to Substantial U.S. Owner of Corporate Client - Use of Personal Data relating to Foreign Account Tax Compliance Act of the United States 法人客戶實質美國股東通知 - 有關美國海外帳戶稅收遵循法案使用個人資料

The Company may collect, process, use and transfer the personal data provided by Substantial U.S. Owner of Corporate Client for the purpose of compliance of the U.S. Foreign Account Tax Compliance Act and such personal data may be transferred to or used by the U.S. government or the U.S. tax authority. For details of the terms and conditions relating to personal data collected in the above connection, please refer to the parts relating to personal data in the Terms and Conditions of Client’s account.

本公司蒐集、處理、使用及傳輸法人客戶實質美國股東提供的個人資料之目的，乃為共同遵循美國海外帳戶稅收遵循法案，此等個人資料可能會被傳輸至美國政府或美國稅務機關或被其使用。有關上述閣下個人資料的條款及條件詳情，請參閱客戶帳戶的條款及條件中關於個人資料部分。

You may at your own discretion choose whether you will provide your personal information. However, for our purpose to collect, process and use your personal information pursuant to the terms for the Foreign Account Tax Compliance Act of the United States, provided that you decline to provide personal information or you provide insufficient personal information but still you directly or indirectly hold equity in the account, we must classify the account as “Recalcitrant Account” subject to 30% FATCA withholding tax and account closure given that you still fail to provide the personal information required by the Foreign Account Tax Compliance Act of the United States within a reasonable period of time. Your understanding is appreciated.

台端得自由選擇是否提供相關個人資料，惟如台端拒絕提供屬於本公司遵循美國海外稅收遵循法案作業所必須之個人資料，且仍維持與本公司客戶之直接或間接投資關係，則依美國海外稅收遵循法案的規定，本公司必須依法將本公司客戶設於本公司的金融帳戶列為不合作帳戶(Recalcitrant Account)，針對歸屬於該金融帳戶的特定收入扣繳百分之三十之稅款，且可能需要進一步關閉該金融帳戶，而可能影響台端投資權益，謹提請台端注意。

I hereby consent / do not consent to SinoPac Securities (Asia) Limited and other parties that may involve in the services or transactions to collect, process and use my personal information.

本人特此表示 同意 / 不同意 永豐金證券(亞洲)有限公司及其他可能處理有關服務或交易者蒐集、處理及使用本人的個人資料。

Signature
簽署:

Name of Substantial U.S. Owner 實質美國股東姓名:

Date 日期: _____ (日/月/年)
(dd/mm/yyyy)