

**Assessment of Customer/Controlling Person As Specified U.S. Person
For U.S. Foreign Account Tax Compliant Act ("FATCA") Purpose**

N.B.: This Form seeks to obtain information and self-certification from the Customer/Controlling Person of NFFE (hereinafter referred to as "You") for assessing whether the pre-existing and/or new accounts maintained by you with Delta Asia Securities Limited is a U.S. account.

To be completed by Customer/Controlling Person of NFFE (N.B. Entity Customer need not answer Q.1 & Q.6)

	U.S. indicia	Account Holder #1	Account Holder #2	Account Holder #3	Account Holder #4
1	Are you holding U.S. citizenship (as evidence by, say, U.S. Passport) or domicile (as evidence by, say, U.S. Green Card)?	<input type="checkbox"/> Yes, holding citizenship <input type="checkbox"/> Yes, holding domicile <input type="checkbox"/> Yes, holding both citizenship & domicile <input type="checkbox"/> No	<input type="checkbox"/> Yes, holding citizenship <input type="checkbox"/> Yes, holding domicile <input type="checkbox"/> Yes, holding both citizenship & domicile <input type="checkbox"/> No	<input type="checkbox"/> Yes, holding citizenship <input type="checkbox"/> Yes, holding domicile <input type="checkbox"/> Yes, holding both citizenship & domicile <input type="checkbox"/> No	<input type="checkbox"/> Yes, holding citizenship <input type="checkbox"/> Yes, holding domicile <input type="checkbox"/> Yes, holding both citizenship & domicile <input type="checkbox"/> No
2	Is your place of birth U.S.? or Is your place of incorporation in US?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
3	Have you got a current U.S. mailing or residence/ registered address (including a U.S. post office box)?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
4	Have you got a current U.S. telephone number?	<input type="checkbox"/> Yes, the phone no. is: _____ <input type="checkbox"/> No	<input type="checkbox"/> Yes, the phone no. is: _____ <input type="checkbox"/> No	<input type="checkbox"/> Yes, the phone no. is: _____ <input type="checkbox"/> No	<input type="checkbox"/> Yes, the phone no. is: _____ <input type="checkbox"/> No
5	Have you provided or will you provide any standing instructions to transfer funds to an account maintained in the United States?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
6	Have you provided or will you provide power of attorney or signatory authority granted to a person with a U.S. address?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
7	Is it true that you solely provide an "in-care-of" or "hold mail" address as the sole address for your account?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
8	To the best of your knowledge, are you liable to pay tax in U.S.?	<input type="checkbox"/> Yes, please provide your U.S. TIN: _____ <input type="checkbox"/> No	<input type="checkbox"/> Yes, please provide your U.S. TIN: _____ <input type="checkbox"/> No	<input type="checkbox"/> Yes, please provide your U.S. TIN: _____ <input type="checkbox"/> No	<input type="checkbox"/> Yes, please provide your U.S. TIN: _____ <input type="checkbox"/> No

Declaration and Acknowledgement from Customer/Controlling Person

Notwithstanding the answers to any of the above, you declare and acknowledge that you are:

(Account Holder #1) a U.S. Person/ not a U.S. Person. as defined under U.S. Internal Revenue Code*

(Account Holder #2) a U.S. Person/ not a U.S. Person. as defined under U.S. Internal Revenue Code*

(Account Holder #3) a U.S. Person/ not a U.S. Person. as defined under U.S. Internal Revenue Code*

(Account Holder #4) a U.S. Person/ not a U.S. Person. as defined under U.S. Internal Revenue Code*

*Please check only one box.

In support of the above declaration, you have submitted to us duly completed and executed original of:

Account Holder #1	Account Holder #2	Account Holder #3	Account Holder #4
<input type="checkbox"/> Form W-9**	<input type="checkbox"/> Form W-9**	<input type="checkbox"/> Form W-9**	<input type="checkbox"/> Form W-9**
<input type="checkbox"/> Form W-8**	<input type="checkbox"/> Form W-8**	<input type="checkbox"/> Form W-8**	<input type="checkbox"/> Form W-8**
<input type="checkbox"/> Others, please specify: _____	<input type="checkbox"/> Others, please specify: _____	<input type="checkbox"/> Others, please specify: _____	<input type="checkbox"/> Others, please specify: _____

**Please check only one box.

You further declare and undertake that the above information and the information in the submitted documents to be true, correct, complete and updated; and the submitted documents are genuine and duly executed. You also agree and undertake to notify Delta Asia Securities Limited with 3 business days if there is a change in information which you have provided to Delta Asia Securities Limited for assessment of you as a Specified U.S. Person for FATCA purpose. Subject to applicable local laws, you hereby consent and agree that Delta Asia Securities Limited has a right to share or disclose any of your information (including but not limited to the above) with domestic and/or overseas regulators and/or tax authorities where necessary to establish your tax liability in any jurisdiction. Where required by domestic or overseas regulators or tax authorities, you further consent and agree that Delta Asia Securities Limited may/will withhold and/or pay out from your account(s) such amounts as may be required without notice or liability to you according to applicable laws, regulations, agreements with regulators or authorities.

	Account Holder #1	Account Holder #2	Account Holder #3	Account Holder #4
Customer/Controlling Person Signature:				
Full Name of Signatory				
Date				

To be completed by frontline staff of Delta Asia Securities Limited

Customer/Controlling Person assessed to be	<input type="checkbox"/> a Specified U.S. Person for FATCA purpose <input type="checkbox"/> not a Specified U.S. Person for FATCA purpose
Account held by Customer/Controlling Person assessed to be: If assessed to be an a/c held by Passive NFFE, please specify: Passive income proportion: _____ % Passive income assets proportion : _____ %	<input type="checkbox"/> US Account (including a/c of Passive NFFE controlled by Specified US Person) <input type="checkbox"/> Non-Consenting US Account <input type="checkbox"/> Non-US Account Others, please specify: _____
Basis of Assessment:	
Assessed By:	Assessment reviewed by:

客戶/控權人作為特定美國人評估
美國海外帳戶稅收合規法案 (“FATCA”) 專用

注意：此表格旨在從客戶/非金融外國實體控權人（以下稱為“你”）取得資料及自行認證以評估你開立於滙業證券有限公司之現有及/或新帳戶是否美國帳戶

由客戶/非金融外國實體控權人填寫 (注意：實體客戶毋需作答第 1 及 6 題)

	美國帳戶之指標	帳戶持有人#1	帳戶持有人#2	帳戶持有人#3	帳戶持有人#4
1	你是否擁有美國國籍(擁有證明如美國護照) 或在美國通常居住 (擁有證明如美國綠卡)?	<input type="checkbox"/> 是，擁有美國國籍 <input type="checkbox"/> 是，擁有美國住處 <input type="checkbox"/> 是，擁有美國國籍及住處 <input type="checkbox"/> 否	<input type="checkbox"/> 是，擁有美國國籍 <input type="checkbox"/> 是，擁有美國住處 <input type="checkbox"/> 是，擁有美國國籍及住處 <input type="checkbox"/> 否	<input type="checkbox"/> 是，擁有美國國籍 <input type="checkbox"/> 是，擁有美國住處 <input type="checkbox"/> 是，擁有美國國籍及住處 <input type="checkbox"/> 否	<input type="checkbox"/> 是，擁有美國國籍 <input type="checkbox"/> 是，擁有美國住處 <input type="checkbox"/> 是，擁有美國國籍及住處 <input type="checkbox"/> 否
2	你出生地是否美國? 或公司註冊地是否美國?	<input type="checkbox"/> 是 <input type="checkbox"/> 否	<input type="checkbox"/> 是 <input type="checkbox"/> 否	<input type="checkbox"/> 是 <input type="checkbox"/> 否	<input type="checkbox"/> 是 <input type="checkbox"/> 否
3	你有否現時美國郵寄或住宅/註冊地址(包括美國郵政信箱)?	<input type="checkbox"/> 有 <input type="checkbox"/> 否	<input type="checkbox"/> 有 <input type="checkbox"/> 否	<input type="checkbox"/> 有 <input type="checkbox"/> 否	<input type="checkbox"/> 有 <input type="checkbox"/> 否
如有，地址是:					
4	你有否現時美國電話號碼?	<input type="checkbox"/> 是，電話號碼： _____ <input type="checkbox"/> 否	<input type="checkbox"/> 是，電話號碼： _____ <input type="checkbox"/> 否	<input type="checkbox"/> 是，電話號碼： _____ <input type="checkbox"/> 否	<input type="checkbox"/> 是，電話號碼： _____ <input type="checkbox"/> 否
5	你有否或將會作出任何轉帳到美國帳戶的常行指示?	<input type="checkbox"/> 是 <input type="checkbox"/> 否	<input type="checkbox"/> 是 <input type="checkbox"/> 否	<input type="checkbox"/> 是 <input type="checkbox"/> 否	<input type="checkbox"/> 是 <input type="checkbox"/> 否
6	你有否或將會提供授權書或簽署授權給擁有美國地址人士?	<input type="checkbox"/> 是 <input type="checkbox"/> 否	<input type="checkbox"/> 是 <input type="checkbox"/> 否	<input type="checkbox"/> 是 <input type="checkbox"/> 否	<input type="checkbox"/> 是 <input type="checkbox"/> 否
7	你帳戶的唯一地址是否“轉寄”或“郵件寄存”地址?	<input type="checkbox"/> 是 <input type="checkbox"/> 否	<input type="checkbox"/> 是 <input type="checkbox"/> 否	<input type="checkbox"/> 是 <input type="checkbox"/> 否	<input type="checkbox"/> 是 <input type="checkbox"/> 否
8	以你所知你是否需要繳納美國課稅?	<input type="checkbox"/> 是，我的美國納稅人識別碼是： _____ <input type="checkbox"/> 否	<input type="checkbox"/> 是，我的美國納稅人識別碼是： _____ <input type="checkbox"/> 否	<input type="checkbox"/> 是，我的美國納稅人識別碼是： _____ <input type="checkbox"/> 否	<input type="checkbox"/> 是，我的美國納稅人識別碼是： _____ <input type="checkbox"/> 否

客戶聲明及確認

管上述各項的作答，你作出聲明及確認你:

(帳戶持有人#1) 是 / 不是美國國內收入法所定義之美國人*

(帳戶持有人#2) 是 / 不是美國國內收入法所定義之美國人*

(帳戶持有人#3) 是 / 不是美國國內收入法所定義之美國人*

(帳戶持有人#4) 是 / 不是美國國內收入法所定義之美國人*

*請揀選其中一項

你已向我們提交以下已填妥及簽名的原件作為上述聲明之理據:

帳戶持有人#1	帳戶持有人#2	帳戶持有人#3	帳戶持有人#4
<input type="checkbox"/> 表格 W-9**	<input type="checkbox"/> 表格 W-9**	<input type="checkbox"/> 表格 W-9**	<input type="checkbox"/> 表格 W-9**
<input type="checkbox"/> 表格 W-8**	<input type="checkbox"/> 表格 W-8**	<input type="checkbox"/> 表格 W-8**	<input type="checkbox"/> 表格 W-8**
<input type="checkbox"/> 其他，請說明: _____	<input type="checkbox"/> 其他，請說明: _____	<input type="checkbox"/> 其他，請說明: _____	<input type="checkbox"/> 其他，請說明: _____

**請揀選其中一項

你聲明及承諾以上資料及已提交文件內資料乃真實、正確、完整及最新；以及所提交文件乃真確及已妥作簽立。如用以評估你是否美國海外帳戶稅收合規法案之特定美國人所提交滙業證券有限公司資料有任何變動，你亦同意及承諾 3 個工作天內通知滙業證券有限公司。在不抵觸本地適用法律的情況下，你謹此允許及同意滙業證券有限公司有權向本地及/或海外的監管機構及/或稅務機構提供或披露任何你的資料(包括但不限於以上各項)以確立你於任何司法管轄區的稅務責任。因應本地或海外的監管機構或稅務機構需要，你亦准許並同意滙業證券有限公司在沒有通知或責任情況下，可按適用的法律、法規和協議在你帳戶中扣留及/或繳納相關所須的金額款項。

	帳戶持有人#1	帳戶持有人#2	帳戶持有人#3	帳戶持有人#4
客戶/控權人簽署:				
簽署人全名				
日期				

由滙業證券有限公司前線職員填寫

客戶/控權人被評為	<input type="checkbox"/> 美國海外帳戶稅收合規法案之特定美國人 <input type="checkbox"/> 非美國海外帳戶稅收合規法案之特定美國人
客戶/控權人持有的帳戶被評為: 如被評為 Passive NFFE 所持帳戶, 請說明: 被動收入佔比: _____ % 被動收入資產佔比: _____ %	<input type="checkbox"/> 美國帳戶 (包括由特定美國人操控之外國被動非金融機構(Passive NFFE)所持之帳戶) <input type="checkbox"/> 未獲同意提供資料之美國帳戶 <input type="checkbox"/> 非美國帳戶 其他, 請註明: _____
評核依據:	
評核人:	評核覆審人: