



FATCA Declaration for Corporate 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	<input type="checkbox"/> We are a U.S. entity for tax purpose.	W-9 ^{^^}																						
2	<input type="checkbox"/> We are a Foreign Financial Institution (FFI) , e.g. a depository/custodian institution, investment entity, or insurance company, and fall into one of the following groups: <table style="width: 100%; margin-left: 20px;"> <tr> <td><input type="checkbox"/> Participating FFI</td> <td><input type="checkbox"/> Registered Deemed Compliant FFI</td> </tr> <tr> <td><input type="checkbox"/> Reporting Model 1 FFI</td> <td><input type="checkbox"/> Reporting Model 2 FFI</td> </tr> <tr> <td><input type="checkbox"/> Certified Deemed Compliant FFI</td> <td><input type="checkbox"/> Owner Documented FFI^{****}</td> </tr> <tr> <td><input type="checkbox"/> Sponsored FFI that has not obtained a GIIN</td> <td><input type="checkbox"/> Non-Participating FFI</td> </tr> <tr> <td><input type="checkbox"/> Exempt Beneficial Owner</td> <td><input type="checkbox"/> Other: _____</td> </tr> </table> GIIN (if any): _____ Registration Date: _____ ^{****} Please fill in the following information of the account's beneficial owner(s): <table border="1" style="width: 100%; margin-left: 20px; border-collapse: collapse;"> <thead> <tr> <th style="width: 25%;">Name</th> <th style="width: 45%;">Address</th> <th style="width: 30%;">TIN</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td></tr> </tbody> </table>	<input type="checkbox"/> Participating FFI	<input type="checkbox"/> Registered Deemed Compliant FFI	<input type="checkbox"/> Reporting Model 1 FFI	<input type="checkbox"/> Reporting Model 2 FFI	<input type="checkbox"/> Certified Deemed Compliant FFI	<input type="checkbox"/> Owner Documented FFI ^{****}	<input type="checkbox"/> Sponsored FFI that has not obtained a GIIN	<input type="checkbox"/> Non-Participating FFI	<input type="checkbox"/> Exempt Beneficial Owner	<input type="checkbox"/> Other: _____	Name	Address	TIN										N/A
<input type="checkbox"/> Participating FFI	<input type="checkbox"/> Registered Deemed Compliant FFI																							
<input type="checkbox"/> Reporting Model 1 FFI	<input type="checkbox"/> Reporting Model 2 FFI																							
<input type="checkbox"/> Certified Deemed Compliant FFI	<input type="checkbox"/> Owner Documented FFI ^{****}																							
<input type="checkbox"/> Sponsored FFI that has not obtained a GIIN	<input type="checkbox"/> Non-Participating FFI																							
<input type="checkbox"/> Exempt Beneficial Owner	<input type="checkbox"/> Other: _____																							
Name	Address	TIN																						
3	<input type="checkbox"/> We are a Passive Non-Financial Foreign Entity^{##} . (If Yes, please confirm the below: <ul style="list-style-type: none"> <input type="checkbox"/> Among the beneficial owner(s), or any person who holds at least 10% shares or voting right of our company, at least one of them is U.S. Person.) 	N/A W-8BEN-E ^{^^}																						
4	<input type="checkbox"/> We are not a Financial Institution, and we are acting as agent, intermediary or nominee of another person but not on our own behalf.	W-8IMY ^{^^}																						
5	<input type="checkbox"/> We do NOT fall into any of the above categories.	N/A																						

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

^{##} *Passive NFFE is an entity which satisfies one of the below conditions: (a) More than 50% of the entity's gross income for the preceding calendar year is passive income including interest, dividend, rental income, foreign exchange gain, annuity; or (b) More than 50% of the entity's assets held during the preceding calendar year are assets that produce or are held for the production of passive income.*



- 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
- 南華投資管理有限公司 South China Investment Management Limited

PART B – Client Declaration

We hereby agree and confirm with all the followings:

1. We 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 us shall be considered as our 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 we confirm the information provided on the required W forms is true, accurate and complete.
3. We 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, we are 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. We agree to notify SCSL/SCCL/SCFL/SCBCL/SCIML within 30 calendar days of any change in circumstance impacting our U.S. Person status and we agree to provide any documents when required by SCSL/SCCL/SCFL/SCBCL/SCIML or U.S. Tax authorities from time to time to support our U.S. citizenship for U.S. tax purposes.
5. We agree to indemnify SCSL/SCCL/SCFL/SCBCL/SCIML for any loss in respect of any false or misleading information regarding our “U.S. person “status for U.S. tax purposes.
6. We consent that SCSL/SCCL/SCFL/SCBCL/SCIML may disclose and report our 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.

PART C – Client Signature

_____ **Client Signature**

_____ **Date**

For Office Use only

Checked by	Approved by	Input by
Date:	Date:	Date: