

自我證明表-個人
Self-Certification Form – Individual

-重要提示 Important Notes :

1. 中租證券投資顧問股份有限公司(下稱：本公司)執行共同申報及盡職審查作業辦法(下稱本辦法)規定，本公司應蒐集及申報有關帳戶持有人稅務居住者身分之特定資訊。本辦法係依稅捐稽徵法第5條之1第6項訂定，其內容參考經濟合作暨發展組織發布之共同申報及盡職審查準則(下稱共同申報準則)。

Under the Regulations Governing the Implementation of the Common Standard on Reporting and Due Diligence for Financial Institutions (“Regulations”), Ezfunds Securities Investment Consulting Enterprise Ltd. (“Ezfunds”) are required to collect and report certain information about the Account Holder’s tax residency status. The Regulations are enacted pursuant to Paragraph 6, Article 5-1 of the Tax Collection Act and are drafted in reference to the Common Standard on Reporting and Due Diligence for Financial Account Information (CRS) developed by the Organization for Economic Cooperation and Development (OECD).

2. 本公司依本辦法規定取得帳戶持有人之自我證明文件，以辨識帳戶持有人為稅務居住者之國家/地區。本公司依法可能將本表及該帳戶其他資訊提供中華民國稅捐稽徵機關，經由政府間協定進行稅務目的金融帳戶資訊交換，提供他方國家/地區稅捐稽徵機關。

Under the Regulations, Ezfunds obtains a self-certification form from the Account Holder to determine the country(ies)/jurisdiction(s) in which the Account Holder is a tax resident. Ezfunds may be legally obliged to pass on the information in this form and other financial information with respect to the account to the tax authorities of the Republic of China (Taiwan) (“ROC”) and they may exchange this information with tax authorities of another country(ies)/jurisdiction(s) pursuant to intergovernmental agreements to exchange financial account information for tax purposes.

3. 標有星號 (*) 欄位或部分為必填資訊。

Information in fields or parts marked with an asterisk (*) is mandatory.

4. 本表將持續有效，倘狀態變動(例如帳戶持有人之稅務居住者身分變動)致所填資訊不正確或不完整，帳戶持有人應通知本公司，並更新本表。

This form will remain valid unless there is a change in circumstances relating to information, such as the Account Holder’s tax residency status, that makes this form incorrect or incomplete. In that case, the Account Holder must notify Ezfunds and provide an updated self-certification form.

5. 本表相關用詞(如帳戶持有人、稅務識別碼、金融帳戶等)，請詳本辦法。

The definition of the capitalized terms used in this form, such as Account Holder, TIN, Financial Account, etc. can be found in the Regulations.

第一部分：個人帳戶持有人身分辨識資料

Part 1 Identification of Individual Account Holder

(一)身分類別

第一類

- 本人僅有中華民國(台灣)國籍，且僅為中華民國(台灣)稅務居民。「不具有」美國稅務居民或其他國家、地區之稅務居民身分。**【勾選此項者，填寫下表後，第二部分無需填寫，請跳至第三部分簽署。】**

美國稅務居民指下列任一情況者：

(一)本人屬於美國公民、具美國永久居留權(包含但不限於綠卡持有人)，或其他美國稅法定義之稅務居民。

(二)本人符合下述可被認定為美國稅務居民的情形：即持有 F, J, M, Q 等型簽證，而於某一年停留於美國(含本土、哥倫比亞特區、關島、美屬波多黎各)天數累計 31 天以上，且當年停留美國天數全數、前一年停留美國天數之三分之一，以及再前一年停留美國天數之六分之一合計達 183 天以上。

*凡在美國出生並且已放棄美國國籍者，請提供美國國務院核發的放棄國籍證書。

第二類：本人擁有中華民國(台灣)以外其他國家、地區之國籍或稅務居民身分。(二擇一)

- 本人擁有美國國籍或美國稅務居民。**目前不開放此類身分者開戶。**
- 本人有其他國家(非美國)、地區之國籍或稅務居民身分。**【勾選此項者，請繼續填寫第二部分。】**

(二)基本資料表

| | | |
|---|---|--------------------------------|
| 帳戶持有人姓名* Name of Account Holder* | <input type="checkbox"/> 同開戶文件內容 | |
| | 若有非中華民國(台灣)之稅籍者，請以英文填寫以下內容 Please fill in this self-certification in English if you have any tax residency outside Taiwan | |
| | 姓氏 Last Name or Surname(s) | |
| | 名字 First or Given Name | |
| 身分證號碼/統一證號/護照號碼 ID / Uniform ID Number/ Passport No. | <input type="checkbox"/> 同開戶文件內容 | |
| | <input type="checkbox"/> 其他：_____ | |
| | 現行居住地址* Current Residence Address* | |
| 現行居住地址* Current Residence Address* | <input type="checkbox"/> 同開戶文件之戶籍地址 或 <input type="checkbox"/> 同開戶文件之通訊地址 | |
| | 若有非中華民國(台灣)之稅籍者，請以英文填寫以下內容 Please fill in this self-certification in English if you have any tax residency outside Taiwan | |
| | (如有室、樓層、大樓、街道、地區等) (e.g. Suite, Floor, Building, Street, District, if any) | |
| | (如有鎮、市、省、縣、州等) (e.g. Town/City/Province/County/State) | |
| | 國家/地區 Country/Jurisdiction | |
| | 郵政編碼/郵遞區號(如有) Post Code/ZIP Code (if any) | |
| 通訊地址(與現行居住地址不同時，填寫此欄) Mailing Address (Complete if different to the Current Residence Address) | <input type="checkbox"/> 同開戶文件之通訊地址 | |
| | 若有非中華民國(台灣)之稅籍者，請以英文填寫以下內容 Please fill in this self-certification in English if you have any tax residency outside Taiwan | |
| | (如有室、樓層、大樓、街道、地區等) (e.g. Suite, Floor, Building, Street, District, if any) | |
| | (如有鎮、市、省、縣、州等) (e.g. Town/City/Province/County/State) | |
| | 國家/地區 Country/Jurisdiction | |
| | 郵政編碼/郵遞區號(如有) Post Code/ZIP Code (if any) | |
| 出生日期* (西元日/月/年) | <input type="checkbox"/> 同開戶文件內容 | |
| 出生地 Place of Birth | 出生國家/地區 Country/Jurisdiction | 出生城市 Town or City of Birth |
| | <input type="checkbox"/> 中華民國(台灣) | <input type="checkbox"/> 城市： |
| | <input type="checkbox"/> 其他國家：_____ | <input type="checkbox"/> 其他城市： |

第二部分：稅務居住者之國家/地區及其稅務識別碼或具相當功能之辨識碼（“稅務識別碼”）*

Part 2 Country/Jurisdiction of Residence for Tax Purposes and related Taxpayer Identification Number or functional equivalent number (“TIN”)*

請於下表填寫(a)帳戶持有人為稅務居住者之國家/地區，及(b)於該國家/地區稅務識別碼。

Complete the following table indicating (a) the country/jurisdiction where the Account Holder is a tax resident and (b) the Account Holder’s TIN for each country/jurisdiction indicated.

帳戶持有人如同時為2個以上國家/地區稅務居住者，請填寫所有其為稅務居住者之國家/地區。

If the Account Holder is a tax resident in more than one country/jurisdiction at the same time, please indicate all countries/jurisdictions of tax residence.

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：

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)。
2. 具統一證號者為統一證號(10碼，由內政部移民署編配)。
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。

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

1. National ID Card Number (a 10-digit code issued by the Department of Household Registration, Ministry of the Interior)
2. Uniform ID Number (a 10-digit code issued by the National Immigration Agency, Ministry of the Interior)
3. 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)

如無法提供稅務識別碼，於下列欄位填寫適用之理由 A、B 或 C：

If a TIN is unavailable, provide the appropriate reason A, B or C where appropriate:

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

Reason A – The country/jurisdiction where the Account Holder is a tax resident does not issue TINs to its residents.

理由 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)

Reason B – The Account Holder is unable to obtain a TIN. Explain why the Account Holder is unable to obtain a TIN if you have selected this reason.

理由 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)

Reason C – 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.

| 稅務居住者之 國家/地區 Country/Jurisdiction of tax residence | 稅務識別碼 TIN | 若無法提供稅務識別碼， 填寫理由 A、B 或 C Enter reason A, B or C if no TIN available | 如選取理由 B，說明帳戶持有人 無法取得稅務識別碼之原因 Explain why the Account Holder is unable to obtain a TIN if you have selected reason B |
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第三部分：聲明及簽署

Part 3 Declarations and Signature

本人知悉，本表所含資訊、相關帳戶持有人及任何應申報帳戶資訊，將可能提供中華民國稅捐稽徵機關，經由政府間協定進行稅務目的金融帳戶資訊交換，提供帳戶持有人為稅務居住者之國家/地區稅捐稽徵機關。

I acknowledge that the information contained in this form and information regarding the Account Holder and any Reportable Account(s) may be provided to the tax authorities of the ROC and exchanged with tax authorities of another country(ies)/jurisdiction(s) in which the Account Holder may be a tax resident pursuant to intergovernmental agreements to exchange financial account information for tax purposes.

本人證明，與本表相關之所有帳戶，本人為帳戶持有人(或本人業經帳戶持有人授權簽署本表)。

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.

本人聲明，就本人所知所信，於本自我證明所為之陳述均為正確且完整。

I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete.

本人承諾，如狀態變動致影響本表第一部分所述之個人稅務居住者身分，或所載資料不正確或不完整，本人會通知中租證券投資顧問股份有限公司，並在狀態變動後30日內提供 貴公司一份經適當更新之自我證明表。

I undertake to advise EzfunDS of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect or incomplete, and to provide EzfunDS with a suitably updated self-certification form within 30 days of such change in circumstances.

簽署 Signature _____ (簽名或蓋章)

姓名 Print Name _____

身分 Capacity _____

(若您不是帳戶持有人，請敘明您簽署本表之身分。如您是以代理人身分簽署此表，請檢附授權書)

(If you are not the Account Holder, please indicate the capacity in which you are signing the form. If signing under a power of attorney, please also attach a certified copy of the power of attorney.)

日期 Date _____