

**MONEX BOOM SECURITIES (H.K.) LIMITED**  
**寶盛證券(香港)有限公司**

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**INDIVIDUAL TAX RESIDENCY SELF-CERTIFICATION**  
**個人投資者：稅務居民身分聲明書**

**Return FAX / SCANNED Form**  
**請以傳真 / 電郵方式交回本表格**

**BOOM Account Name**  
**BOOM 帳戶名稱**

**Type of Account** (Please ✓ one)  Individual 個人帳戶  
**帳戶類別** (請選擇一項)  Joint 聯名帳戶

**Client Name** (Second Joint Account Holder)  
**客戶姓名** (聯名帳戶第二持有人)

**BOOM Account No.**  
**BOOM 帳戶號碼**

**Supplementary Personal Information 補充個人資料**

1. **Current Residential Address 目前住宅地址** (P.O. Box not accepted 郵箱號碼恕不接受)  Update as Correspondence Address 更新為通訊地址 2. **Place of Birth 出生地**

<input type="text"/>			<input type="text"/>
City & Province 城市及省份	Country 國家	Postal Code 郵政編號	
			(Country 國家)

**Country of Tax Residence and related Taxpayer Identification Number\* ("TIN")**  
**稅務居民所屬地及相關的納稅人識別號碼\* ("TIN")**

Country of Tax Residence 稅務居民所屬地	TIN 納稅人識別號碼	If a TIN is not available, please explain. 倘若未能提供 TIN, 請提供理由。
1. <input type="text"/>	<input type="text"/>	<input type="text"/>
2. <input type="text"/>	<input type="text"/>	<input type="text"/>
3. <input type="text"/>	<input type="text"/>	<input type="text"/>

Attach Form W-9 (applicable to U.S. taxpayer)  
提供表格 W-9 (適用於美國納稅人)

**Not applicable.** The country of my tax residency is not currently participating in the CRS.  
不適用。我的稅務居民所屬地 未有參加「共同匯報標準」。

**Tax Residence (FATCA and CRS) Declaration**  
**稅務居民身分 (FATCA 及 CRS) 聲明**

I declare that all the information provided in this form is, to the best of my knowledge and belief, accurate and complete. 本人聲明盡本人所知及所信, 本表格所提供的資料均為準確及完整。

I acknowledge and understand that the information contained in this form and any reportable account(s) may be reported to the tax authorities of the country in which this account is maintained and exchanged with tax authorities of another country/jurisdiction in which I may be a tax resident pursuant to intergovernmental agreements to exchange financial account information. 本人確認及明白本表格所載的資料及任何所申報帳戶的資料, 可能會根據關於與帳戶所在國家交換財務帳戶資訊之政府間協議申報予本人所在國家 / 司法管轄區的稅務機關, 並與另一個國家 / 司法管轄區或若干國家司法管轄區稅務機關交換。

I agree that any personal information collected from me under this form may be used, transferred and retained in the manner and for purposes set out in the "Personal Data Privacy Supplement" attached to the Securities Client Agreement and the Futures Client Agreement (if applicable) between me and Monex Boom Securities (H.K.) Limited ("BOOM"), as amended from time to time, or otherwise attached hereto (as applicable). 本人同意本表格所載由本人收集的任何個人資料, 可按照本人與寶盛證券(香港)有限公司("BOOM")簽訂的「證券客戶協議」及「期貨客戶協議」(如適用)內「個人資料私隱附件」現時有效及不時修改的條文或本表格隨附的其他聲明(如適用)所載的方式及為該聲明所載的目的而使用、轉交及保存或其他用途。

I undertake to advise BOOM and provide an updated self-certification form within 30 days of the occurrence of any change in circumstance which causes any of the information contained in this form to be incorrect or incomplete. 本人承諾在任何可導致本表格所載資料失實或不完整的情況變動發生後 30 日內通知 BOOM, 以及提供最新的自行證明書。

By providing information under this form, I authorize BOOM to update the information of my BOOM account (if applicable), based on the information under this form, with immediate effective. 在本表格提供資料的同時, 本人授權 BOOM, 按本表格所提供的資料, 更新本人 BOOM 帳戶的資料(如適用)並即時生效。

**Client's Signature** (For joint account holders, each individual will need to complete a copy of this form.)  
**客戶簽署** (如屬聯名帳戶, 兩位帳戶持有人須各自分別填寫本表格。)

**Printed Name**  
**正楷姓名**

**Date** (YYYY/MM/DD)  
**日期** (年/月/日)

**For Official Use Only 只供本行使用**

Signature Verified by 核對簽署 Date 日期	Reviewed by 核對資料 Date 日期	System Setup by 設定系統 Date 日期
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\* Remarks:

\* 註：

Under the Common Reporting Standard ("the CRS"), tax authorities require financial institutions such as BOOM to collect and report certain information relating to their customers' tax statuses.

根據「共同匯報標準」（簡稱「CRS」）規定，稅務機關要求包括 BOOM 在內的財務機構，向其客戶收集及匯報若干與客戶納稅狀況相關的資料。

If you have any questions regarding your tax residency and the acceptable Taxpayer Identification Number (TIN) formats, please refer to the rules that have been published by each tax authority on the following webpages.

倘若閣下不清楚稅務居民所屬地的定義，或不清楚閣下的所屬地對納稅人識別號碼的要求，請參照以下網址查看各個稅務機關所頒布的標準。

**Tax Residency Rules 稅務居民所屬地規定：**

<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/>

**Tax Identification Numbers 納稅人識別號碼 (TINs)：**

<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/>

### \*\*\* Important Terminologies \*\*\*

#### 重要用語

#### Common Reporting Standard ("the CRS")

It is a set of rules developed by the Organisation for Economic Co-operation and Development (OECD). It calls on governments participating in CRS to obtain information from their financial institutions and automatically exchange that information with other jurisdictions on an annual basis.

Visit the OECD website for more information:

<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/>

#### 「共同匯報標準」

這是由經濟合作暨發展組織（OECD）制定的一套規定。它呼籲參與 CRS 的政府從其金融機構獲取信息，並每年自動與其他司法管轄區交換該信息。

了解更多資料，請訪問 OECD 網站：

<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/>

#### Tax Residence

Under the CRS, we are required to determine where you are 'tax resident' (this will usually be where you are liable to pay income taxes). If your tax residence is outside Hong Kong (where your BOOM account is held), we may need to give the respective tax authorities the information in this information, along with information relating to your accounts.

#### 「稅務居民身分」

根據共同匯報標準，我們須要確定閣下的納稅居住地（這通常是閣下須要繳納入息稅的地方）。若閣下的稅務居民身分地在香港（持有 BOOM 帳戶的地方）以外，我們可能須要向相關稅務機關提供本表格的信息以及與閣下賬戶相關的信息。

#### Taxpayer Identification Number ("TIN")

It is a unique number assigned by a government to an individual or an Entity and used to identify them for tax purposes. Some governments do not issue a TIN but might use some other number such as a social security/insurance number, citizen/personal identification/service code/number, or resident registration number.

#### 「納稅人識別號碼」

它是由政府分配給個人或機構的編號，用於識別其稅務身份。一些政府或不會發出稅務編號，但可能會使用其他身份證號碼代替，例如社會保障 / 保險編號，公民 / 個人身份號碼或居民登記號碼。