

To: The Bank of East Asia, Limited 東亞銀行有限公司

Self-Certification Form – Individual Account Holder¹

(For FATCA)

Important Notes:

- The Foreign Account Tax Compliance Act (“FATCA”) is a United States (“U.S.”) legislation that primarily aims to prevent tax evasion by U.S. taxpayers by using non-U.S. financial institutions and offshore investment instruments. The Intergovernmental Agreement between the Government of the Hong Kong Special Administrative Region (“Hong Kong”) and the Government of the U.S. that facilitates the compliance of FATCA requires financial institutions in Hong Kong to obtain a self-certification from an individual account holder that allows financial institutions to determine whether an account holder is a U.S. citizen or resident in the U.S. for tax purposes.
- An individual who is a U.S. citizen or U.S. resident including U.S. resident alien for tax purposes is a U.S. person. U.S. resident aliens include U.S. green card holders, persons with dual residency status, or persons who meet the requirements to be considered as a resident under the “substantial presence test”. If you are a U.S. citizen, you will be considered as a resident in the U.S. for tax purposes, even if you are also a tax resident of another jurisdiction. You will still be considered as a U.S. citizen if you have dual or multiple citizenships including U.S. citizenship.
- This self-certification form will remain valid unless there is a change in circumstances² relating to information, such as your or the account holder’s (as the case may be) U.S. person status or other mandatory field information that makes this self-certification form incorrect or incomplete. In that case, you must notify The Bank of East Asia, Limited 東亞銀行有限公司 (the “Bank”) and provide a new self-certification form and/or documentary evidence (including a new Form W-8BEN/Form W-9 of the U.S. Internal Revenue Service (“IRS”), if required by the Bank) within 30 days of such change in circumstances.
- **Please fill in this self-certification form if you are an individual account holder, sole trader, or sole proprietor. For joint or multiple account holders, each individual account holder is required to complete a separate self-certification form. For sole proprietorship that is treated as an individual under the FATCA, please fill in this self-certification for the proprietor. If the individual account holder is a U.S. person under the FATCA, he/she will also need to fill in and provide a Form W-9 of the IRS and consent to the Bank to disclose/use his/her customer and account information.**
- Kindly note that the Bank is unable to offer any tax advice to customers. For tax-related questions, you should seek advice from professional tax advisors or refer to the website of the IRS for FATCA (<https://www.irs.gov/businesses/corporations/foreign-account-tax-compliance-act-fatca>).

Completion Instructions:

1. Please complete this form in English using BLOCK letters.
2. Please complete all parts of this form (unless not applicable or otherwise specified) and mark a “✓” in the appropriate checkbox(es).
3. If the space provided is insufficient, please continue on additional sheet(s).

¹ The term “account holder” means the person listed or identified as the holder of a financial account by the Bank that maintains the account. A person, other than a financial institution, holding a financial account for the benefit or account of another person as agent, custodian, nominee, signatory, investment advisor, intermediary, or legal guardian is not treated as the account holder for the purposes of the FATCA, and such other person is treated as the account holder. For example in the case of a parent/child relationship where the parent is acting as a legal guardian, the child is regarded as the account holder. With respect to a jointly held account, each joint holder is treated as an account holder.

² The phrase “change in circumstances” means a situation when the FATCA status of the person has been changed. A change in circumstances includes any change that results in the addition or removal of information relevant to a person’s claim of U.S. person status or otherwise conflicts with that person’s claim of U.S. person status, which results in the Bank knowing or having reason to know that the original documentary evidence or other documentation previously obtained is incorrect or unreliable.

FATCA Self-Certification Form – Individual Account Holder

Part 1 Identification of Individual Account Holder

(1)	Name of Account Holder: Name in English Surname Given Name	<input type="checkbox"/> Mr. <input type="checkbox"/> Miss <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms. <input type="checkbox"/> Other (Please specify) _____
(2)	Identification Document Type and Number: Number: _____	<input type="checkbox"/> Hong Kong Identity Card <input type="checkbox"/> _____ Passport Country / Region <input type="checkbox"/> Other Official Identification Document (Please specify) _____
(3)	Current Residence Address:	For Hong Kong address Flat / Room Floor Block Building / Estate Phase No. / Name Street No., Name and Other Information District <input type="checkbox"/> HK <input type="checkbox"/> KLN <input type="checkbox"/> NT <input type="checkbox"/> Outlying Island For non-Hong Kong address Others City Province Postal Code Country / Region
(4)	Mailing Address:	<input type="checkbox"/> Same as the above Current Residence Address <input type="checkbox"/> Different from the above Current Residence Address (Please complete your Mailing Address below if different) For Hong Kong address Flat / Room Floor Block Building / Estate Phase No. / Name Street No., Name and Other Information District <input type="checkbox"/> HK <input type="checkbox"/> KLN <input type="checkbox"/> NT <input type="checkbox"/> Outlying Island For non-Hong Kong address Others City Province Postal Code Country / Region
(5)	Date of Birth:	_____/_____/_____ DD MM YYYY

Part 2 U.S. Citizenship or U.S. Residence for Tax Purposes

(6)	<input type="checkbox"/> (a) The account holder is a U.S. citizen and/or U.S. resident including U.S. resident alien individual for tax purposes. (Please also provide a duly completed and signed Form W-9 of the IRS and "Consent/Confirmation of Agreement to Disclose/Use My Personal Data" to the Bank.) OR <input type="checkbox"/> (b) The account holder is NOT a U.S. citizen and U.S. resident including U.S. resident alien individual for tax purposes.
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Part 3 Declarations and Signature

I certify that ☐ I am the account holder / ☐ I am authorised to sign for the account holder (please mark a "✓" in the appropriate checkbox) of all the account(s) to which this form relates.

I undertake to advise the Bank of any change in circumstances which affects the U.S. person status of the individual identified in Part 1 of this form or causes the information contained herein (and/ or in the Form W-8BEN/ Form W-9 of the IRS provided to the Bank) to become incorrect, and to provide the Bank with a suitably updated self-certification form (including a new Form W-8BEN/ Form W-9 of the IRS, if required by the Bank) within 30 days of such change in circumstances.

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete. I agree to fully indemnify and hold the Bank harmless from any loss, claim, action, proceeding, damage, suit, cost, expense and liability suffered or incurred by the Bank (including but not limited to those incurred relating to the investigation of, preparation for or defense of, any pending or threatened litigation or claim) in connection with or arising from the reliance on, or the disclosure of, any such information by the Bank.

(7)	Signature: (Please use the signature on record at the Bank)	
	Name of Signer (in English): <div><div></div><div>Surname</div><div></div><div>Given Name</div></div>	
(8)	If you are not the account holder identified in Part 1 of this form, please complete this field to indicate the capacity in which you are signing the form. If signing under a power of attorney, please attach a certified copy of the power of attorney.	Capacity:
(9)	Date:	<div><div></div><div>DD</div><div>/</div><div></div><div>MM</div><div>/</div><div></div><div>YYYY</div></div>

Note: In case of any discrepancy between the English and Chinese version of this form, the English version shall prevail.