

2021 年 12 月 1 日

尊敬的客戶：

### 重要文件：更新賬戶狀況之通知

感謝 閣下對越秀証券有限公司（「越秀証券」）一直以來的支持。

為向 閣下提供更好服務，如 閣下的資料有任何變更，請根據 閣下的個人/公司的最新資料填妥及簽署以下表格連同證明文件（如適用）交回本公司：

表格	閣下須採取行動	表格連結		
《客戶資料更新》	如適用，請以此表格 (*見附註 1) 更新資料。	<ul style="list-style-type: none"> <li>更改戶口資料通知 <a href="https://www.yxsh.hk/upload/forms/chgform.pdf">https://www.yxsh.hk/upload/forms/chgform.pdf</a></li> </ul>		
《稅務局自動交換財務賬戶資料 - 自我證明表格》	如稅務居民身分有所改變，請以此表格更 (+見附註 2) 新資料。	個人	<ul style="list-style-type: none"> <li>自我證明表格 - 個人 <a href="https://www.yxsh.hk/upload/forms/crs-inv.pdf">https://www.yxsh.hk/upload/forms/crs-inv.pdf</a></li> </ul>	
		法人	<ul style="list-style-type: none"> <li>自我證明表格 - 實體 <a href="https://www.yxsh.hk/upload/forms/crs-entity.pdf">https://www.yxsh.hk/upload/forms/crs-entity.pdf</a></li> <li>自我證明表格 - 控股人 <a href="https://www.yxsh.hk/upload/forms/crs-cp.pdf">https://www.yxsh.hk/upload/forms/crs-cp.pdf</a></li> </ul>	
《美國國稅局 - 外國賬戶稅務申報表格》 (美國國稅局 W 表格)		請以英文填寫以下美國稅務申報表格:		
根據美國政府國稅局之相關規定，所有 W 表格自簽署之日起 3 年有效。賬戶持有人必須更新相關的「美國國稅局 W 表格」以確認目前之美國或外 (#見附註 3) 國身份。		個人 / 聯名賬戶的非美國人士	<ul style="list-style-type: none"> <li>表格 W-8BEN <a href="https://www.yxsh.hk/upload/forms/fw8ben.pdf">https://www.yxsh.hk/upload/forms/fw8ben.pdf</a></li> </ul>	
		法團賬戶的非美國人士	<ul style="list-style-type: none"> <li>表格 W-8BEN-E <a href="https://www.yxsh.hk/upload/forms/fw8bene.pdf">https://www.yxsh.hk/upload/forms/fw8bene.pdf</a></li> <li>表格 W-8IMY <a href="https://www.yxsh.hk/upload/forms/fw8imy.pdf">https://www.yxsh.hk/upload/forms/fw8imy.pdf</a></li> </ul>	
		美國人士	<ul style="list-style-type: none"> <li>表格 W-9 <a href="https://www.yxsh.hk/upload/forms/fw9.pdf">https://www.yxsh.hk/upload/forms/fw9.pdf</a></li> </ul>	

請將填妥的表格及證明文件，郵寄至以下地址或電郵信箱：

郵寄地址：	越秀証券有限公司 香港灣仔港灣道30號新鴻基中心49樓17-37室（客戶服務部 收）
電郵地址：	info@yxsh.hk

如有任何查詢，請於辦公時間內蒞臨本行或致電我們的客戶經理或客戶服務熱線電話：(852) 39259928。

再次感謝 閣下選用越秀証券的服務，並祝您投資成功！

**越秀証券有限公司 謹啟**

附註：

- (1) \*如涉及地址/銀行戶口資料變更或其他重大的變更(包括但不限於戶口擁有權變更/董事資料變更/獲授權人士變更/戶口名稱變更)，本表格必須連同相關證明文件一併遞交。
- (2) <sup>+</sup>如賬戶持有人的稅務居民身分有所改變，應盡快將所有變更通知越秀證券。如 閣下對稅務居住地有任何疑問，請參閱各當地稅務機構發布的稅務居住地相關規定（經濟合作與發展組織（簡稱「經合組織」）（“OEDC”）CRS 門戶網站 - 稅務居住地規則（只提供英文版本）：<https://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/>）。閣下亦可瀏覽以下網站了解相關資訊：
  - 香港稅務局網站：[https://www.ird.gov.hk/chi/tax/dta\\_aeoi.htm](https://www.ird.gov.hk/chi/tax/dta_aeoi.htm)
  - 經合組織（OEDC）CRS 網站（只提供英文版本）：<https://www.oecd.org/tax/automatic-exchange/common-reporting-standard/>

如有稅務方面的疑問，請諮詢專業稅務及/或法律顧問。請恕越秀證券無法提供任何稅務建議。

- (3) <sup>#</sup>賬戶持有人必須更新相關的「美國國稅局 W 表格」，如果：

- 賬戶資料有所變更，而該等改動會導致證書或其他 FATCA 文件的任何資料不正確
- 公民身分改動
- 從未向本公司提交相關表格
- 相關表格已到期失效

（一般而言，W表格將在一段時間內保持有效，以確立外國稅務身分，有效時間是從表格簽署之日起開始，直到其後第三個日曆年的最後一天結束。例如，2018 年 3 月 5 日簽署的 W-8BEN 表格，截止到 2021 年 12 月 31 日有效，必須在 2022 年 1 月 31 日前重新提交給越秀證券。）

請細閱相關資料，並選擇適用於 閣下的文件。另外，越秀證券無法提供稅務及法律建議。如有稅務方面的疑問，請聯絡專業稅務及／或法律顧問及參閱美國國稅局《外國賬戶稅務合規法案》（只提供英文版本）：<https://www.irs.gov/businesses/corporations/foreign-account-tax-compliance-act-fatca>。

- (4) 如 閣下於越秀證券持有多個賬戶，則 閣下可能會收到多於一個有關上述文件之要求。

1<sup>st</sup> Dec 2021

Dear Customer(s),

**Important: Notification of Renewal of Account Particulars**

Thank you for your continued support to Yue Xiu Securities Company Limited ('Yue Xiu Securities').

In order to maintain up-to-date client information and improve our services, please notify Yue Xiu Securities by completing the appropriate form(s) as listed below, and provide us with relevant supporting documents (where applicable) if there is any change on your account particulars:

<b>Form(s)</b>	<b>Action required on your part</b>	<b>Form(s) required can be directly downloaded from the following website:</b>		
Change of Account Information <sup>*</sup>	You should complete this form to update certain information on your account if applicable. <sup>(*See Note 1)</sup>	<ul style="list-style-type: none"> <li>• <u>Notice of Change of Account Information</u>  <a href="https://www.yxsh.hk/upload/forms/chgform.pdf">https://www.yxsh.hk/upload/forms/chgform.pdf</a></li> </ul>		
Automatic Exchange of Financial Account Information by IRD – Self Certification Form	You should complete this form if you believe your reportable status of tax residency may have changes. <sup>(+See Note2)</sup>	Individual	<ul style="list-style-type: none"> <li>• <u>Self-Certification Form – Individual</u>  <a href="https://www.yxsh.hk/upload/forms/crs-inv.pdf">https://www.yxsh.hk/upload/forms/crs-inv.pdf</a></li> </ul>	
		Entity	<ul style="list-style-type: none"> <li>• <u>Self-Certification Form – Entity</u>  <a href="https://www.yxsh.hk/upload/forms/crs-entity.pdf">https://www.yxsh.hk/upload/forms/crs-entity.pdf</a></li> <li>• <u>Self-Certification Form – Controlling Person</u>  <a href="https://www.yxsh.hk/upload/forms/crs-cp.pdf">https://www.yxsh.hk/upload/forms/crs-cp.pdf</a></li> </ul>	
<b>Please complete below relevant form in English.</b>				
The Internal Revenue Service ("IRS") of the United States Tax Form (IRS W forms)	In accordance with the policies set forth by the IRS of the United States, <u>all IRS W forms are valid for the year in which they are signed and for three full calendar</u> . Account holders are required to provide an updated IRS tax form to confirm their existing US or foreign status. <sup>(#See Note 3)</sup>	Individual / joint account - Non-U.S. person	<ul style="list-style-type: none"> <li>• <u>Form W-8BEN</u>  <a href="https://www.yxsh.hk/upload/forms/fw8ben.pdf">https://www.yxsh.hk/upload/forms/fw8ben.pdf</a></li> </ul>	
		Corporate/ Institutional account- Non-U.S. person	<ul style="list-style-type: none"> <li>• <u>Form W-8BEN-E</u>  <a href="https://www.yxsh.hk/upload/forms/fw8bene.pdf">https://www.yxsh.hk/upload/forms/fw8bene.pdf</a></li> <li>• <u>Form W-8IMY</u>  <a href="https://www.yxsh.hk/upload/forms/fw8imy.pdf">https://www.yxsh.hk/upload/forms/fw8imy.pdf</a></li> </ul>	
		U.S. person	<ul style="list-style-type: none"> <li>• <u>Form W-9</u>  <a href="https://www.yxsh.hk/upload/forms/fw9.pdf">https://www.yxsh.hk/upload/forms/fw9.pdf</a></li> </ul>	

Upon completion of the relevant form(s), please send it by post to the following address / by email to:

Mailing address :	Yue Xiu Securities Company Limited Room 1003-1005, 10/F., Siu On Centre, 188 Lockhart Road, Wan Chai, Hong Kong (Attn.: Customer Services Department)
Email :	info@yxsh.hk

Should you have any queries, please visit our branches or contact your responsible Account Manager or contact our Customer Services Hotline at (852) 39259928 during office hours.

Thank you again for choosing our services and we wish you a successful investment!

Your faithfully,

**Yue Xiu Securities Company Limited**

Note:

- (1) \*The form must be accompanied by supporting documents in the event of changes to address/bank account information or other material changes (including but not limited to change in account ownership / change in particulars of directors / change of authorised persons / change of account name).
- (2) + In the event of any changes in your tax residency status, you should report the updated status to Yue Xiu Securities.

If you have any questions regarding your tax residency, please refer to the rules governing tax residence (OECD CRS portal – rules governing tax residence: <https://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/>) that have been published by each local tax authority. You may also find useful guidance from the following websites:

- Hong Kong Inland Revenue Department: [https://www.ird.gov.hk/chi/tax/dta\\_aeoi.htm](https://www.ird.gov.hk/chi/tax/dta_aeoi.htm)
- OECD CRS portal: <https://www.oecd.org/tax/automatic-exchange/common-reporting-standard/>

If you need advice about your tax position, please contact a professional tax and/or legal advisor as Yue Xiu Securities is unable to provide tax and legal advice.

- (3) # Account holders are required to provide an updated IRS tax form if:

- your account information changes in which makes any information on a certificate or other documentation for FATCA incorrect
- your status changes to a US person
- you have never filed a IRS tax form with us
- your IRS tax form has become expired

(Generally, a Form W will remain in effect for purposes of establishing foreign status for a period starting on the date the form is signed and ending on the last day of the third succeeding calendar year. For example, a Form W-8BEN signed on March 5, 2018, remains valid through December 31, 2021, and must be resubmitted to Yue Xiu Securities no later than January 31, 2022.)

Please read the information carefully and select the document that is appropriate to your circumstance. Please note that Yue Xiu Securities is unable to offer tax and legal advice. For tax and legal related questions, please contact a professional tax and/or legal advisor and refer to the IRS FATCA website: <https://www.irs.gov/businesses/corporations/foreign-account-tax-compliance-act-fatca>.

- (4) Please note that you may receive more than one request for information, if you have multiple accounts with us.