

# 臺銀綜合證券股份有限公司

## FATCA及CRS個人客戶自我聲明書暨個人資料同意書

### FATCA and CRS Individual Self-Certification & Personal information Form

註：若您具有非臺灣之稅籍，請以英文填寫此份聲明書。

Note: Please fill in this self-certification in English if you have any tax residency outside Taiwan.

#### 第一部分:稅籍聲明 Part I : Taiwan Tax Resident

1.  本人僅為臺灣之稅務居民。(請以中文繼續填寫第二部分)

I am only a Taiwan tax resident.

2.  本人不為或不僅為臺灣稅務居民。(請以英文繼續填寫第二及第三部分)

I am not or not only a Taiwan tax resident. ※Please fill in this self-certification in English

集保帳號：(開戶人員填寫)

#### 第二部分: 帳戶持有人基本資料 Part II : Account Holder Information

同開戶印鑑卡(契約)資料，以下免填 (※限第一部份聲明僅為臺灣之稅務居民且新開戶者勾選※)

A. 姓名 Full Name: (英文姓名請以護照/居留證姓名為準 Please fill in the name in the passport / resident certificate)

\_\_\_\_\_

B. 身分證字號 / 統一證號 ID / Uniform ID Numbers : \_\_\_\_\_

C. 居住地址/戶籍地址(請勿留存郵政信箱或送達代收地址) : Residence Address (Do not use a P.O. box or an in-care-of address)

\_\_\_\_\_

(國家 Country)

(地址 Address)

D. 出生資訊 Birth Information:

出生日期 Date of Birth : \_\_\_\_\_年(YYYY) \_\_\_\_\_月(MM) \_\_\_\_\_日 (DD)

出生地 Place of Birth : 城市 City : \_\_\_\_\_ 國家 Country : \_\_\_\_\_

#### 第三部分:稅籍 Part III : Tax Residence(s)

A-我所屬的稅務國家並無發給稅籍編號予其稅務居民。The jurisdiction where I am the resident does not issue TINs to its residents.

B-我無法取得稅籍編號或類似編號。(若選填此項者，請解釋無法取得稅籍編號之原因) I am otherwise unable to obtain a TIN or equivalent number. (Please explain why you are unable to obtain a TIN in the below table if you have selected this reason)

C-無需提供稅籍編號。(僅針對所填寫之稅籍國家規定無需揭露稅籍編號時，才能選填此項) No TIN is required. (Note. Only select this reason if the authorities of the jurisdiction entered below do not require the TIN to be disclosed)

稅籍國家 Country of tax residence	稅籍編號 Tax Identification Number	無法提供 TIN 者，請勾填原因 A、B(含原因)或 C If no TIN available, please enter Reason A, B (with explanation) or C
		<input type="checkbox"/> A <input type="checkbox"/> B 原因 reason : _____ <input type="checkbox"/> C
		<input type="checkbox"/> A <input type="checkbox"/> B 原因 reason : _____ <input type="checkbox"/> C
		<input type="checkbox"/> A <input type="checkbox"/> B 原因 reason : _____ <input type="checkbox"/> C

**聲明及簽署****Declarations and Signature**

本人知悉，本聲明書個人資料同意書所含資訊、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。如本人具有美國稅籍，則所載的資料及任何應申報帳戶的資料會向美國國稅局申報。

I acknowledge that the information contained in this self-certification 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. In addition, if the tax residence is U.S., I acknowledge that the information contained in this Self-certification and any reportable information will be provided to the IRS.

本人證明，與本聲明書相關之所有帳戶，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 self-certification 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，並確已收受並充分瞭解臺銀證券所提供之「遵循 FATCA 法案個人資料告知事項」(下簡稱「告知事項」)之全部內容，並同意臺銀證券依據告知事項所載內容，對本人相關個人資料為蒐集、處理及利用。

I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete. I acknowledge that I have received and fully understand the content of the Personal Information Protection Notification (the Notification) for Complying with FATCA furnished to me by BankTaiwan Securities Company Ltd.; and I agree that BankTaiwan Securities Company Ltd may collect, process, and use my personal information pursuant to the Notification.

本人承諾，若爾後有任何 FATCA 或 CRS 身分別變更之情事，以致影響本聲明書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，本人會通知臺銀證券，並在狀態變動後30日內提供臺銀證券一份經適當更新之自我聲明書。

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

此致 臺銀綜合證券股份有限公司

To : BankTaiwan Securities Company Ltd.

立書人簽名 (章) Signature : \_\_\_\_\_

簽署日期 Date : \_\_\_\_\_

<b>以下僅限內部使用</b> (合理性確認檢核表)
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經辦人員請勾選下列說明並簽章(單選必填)

若有發現稅籍國家可能不一致之情形，請進一步向客戶詢問聲明書是否已填寫確實、合理且完整。

如有進一步取得其他證明文件者，則請一併提供。

本人未發現上述身分聲明書所聲明之稅籍國家有不合理之情事。

稅籍有可能不一致之情形，但已向帳戶確認其所聲明之稅籍國家已填寫確實、合理且完整。

註：有可能不一致的情形列舉如下(但不限於下列情形)

- 身分證明文件或相關資料顯示可能為其他國家的稅務居民。
- 身分證明文件或相關資料顯示為其他國家的國籍或公民。
- 居住地址(戶籍地址)顯示為其他國家。

日期：

主管：

經辦：

**臺銀綜合證券股份有限公司遵循 FATCA 法案蒐集、處理及利用個人資料告知事項**

**BankTaiwan Securities Company Ltd.**

**The Notice for the Collection, Processing and Use of Personal Information for FATCA Compliance**

緣臺銀綜合證券股份有限公司（下簡稱「本公司」）因參與遵循美國海外帳戶稅收遵從法案（Foreign Account Tax Compliance Act，下簡稱「FATCA 法案」），及駐美國台北經濟文化代表處與美國在台協會合作促進外國帳戶稅收遵從法執行協定（下稱「IGA 協議」），而負辨識美國帳戶之義務。現因 台端於本公司開立帳戶及進行交易，為符合個人資料保護法下個人資料之合理使用，本公司茲請求 台端協力遵循 FATCA 法案及 IGA 協議之相關規定，特告知下列事項：

In compliance with the U.S. Foreign Account Tax Compliance Act (hereinafter referred to as "FATCA") and Agreement between the American institute in Taiwan and Taipei Economic And Cultural Representative Office In The United States (hereinafter referred to as "the Agreement"), BankTaiwan Securities Company Ltd. (hereinafter referred to as "the Company") has the obligation to identify US accounts. In order to comply with the proper use of personal information in accordance with the Personal Information Protection Act for accounts you establish and transactions you proceed with the Company, the Company hereby requests your cooperation with the compliance of FATCA and the relevant provisions under the Agreement, with notice as follows:

**一、個人資料蒐集、處理及利用之目的及類別 Purpose and Type of Collection, Processing and Use of Personal Information**  
為辨識本公司內所有帳戶持有者之身分，並於必要時申報具有美國帳戶之持有者資訊予美國國稅局及中華民國權責主管機關，經 台端提供之相關個人資料及留存於本公司之一切交易資訊，包括但不限於姓名、出生地及出生日期、國籍、戶籍地址、住址及工作地址、電話號碼、美國稅籍編號、帳戶帳號及帳戶餘額、帳戶總收益金額與交易明細等，將因本公司遵循 FATCA 法案及 IGA 協議之需要，由本公司蒐集、處理及利用。

In order to identify the account holders of the Company and to report accounts held by U.S. persons to the IRS and the competent authority in Taiwan R.O.C., all personal information provided by you and all transaction information kept by the Company, including but not limited to name, place of birth, date of birth, nationality, domicile address, residence address and work location, telephone number, US tax identifying number (TIN), account number and account balance, the gross proceeds and statement of the account shall be collected, processed and used by the Company for the purpose of FATCA compliance and as required by the Agreement.

**二、個人資料利用之期間及方式 The Period and Method of Using Personal information**

為遵循 FATCA 法案及 IGA 協議之必要年限內，本公司所蒐集之 台端個人資料將由本公司為保存及利用，並於特定目的之範圍內，以書面、電子文件、電磁紀錄、簡訊、電話、傳真、電子或人工檢索等方式為處理、利用與國際傳輸。

In compliance with the period required by FATCA and the Agreement, the personal information collected by the Company will be kept and used by the Company and processed, used and transmitted internationally in writing, via email, electromagnetic record, text message, telephone, fax, electronic or manual search within the scope of the said specified purpose.

**三、個人資料利用之地區 Geographical Limitation for Use of Personal Information**

為履行 FATCA 法案及 IGA 協議下之相關義務， 台端個人資料將於中華民國及美國地區受利用。

In order to fulfill the obligations under FATCA and the Agreement, your personal information will be used in both Taiwan R.O.C. and United States.

**四、個人資料利用之對象 Parties Using the Personal Information**

為履行 FATCA 法案及 IGA 協議下之相關義務， 台端個人資料將由本公司、中華民國權責主管機關及美國國稅局所利用。

In order to fulfill the obligations under FATCA and the Agreement, your personal information will be used by the Company, the competent authority in Taiwan R.O.C. and the IRS.

**五、個人資料之權利行使及其方式 Exercise of the Rights Regarding Personal Information**

台端就本公司所蒐集、處理及利用之個人資料，得隨時向本公司請求查詢、閱覽、製給複製本、補充或更正、停止蒐集處理及利用或刪除。 台端如欲行使前述權利，有關如何行使之方式，得向本公司各分行臨櫃查詢。

With regard to the personal information collected, processed and used by the Company, you may request to search, review, make duplications, supplement or correct the personal information or to discontinue the collection, processing, and use of the personal information, or request to delete the personal information. If you would use abovementioned rights, please find a counter-service in every branch for understanding how to use your rights.

**六、不提供對其權益之影響 The Effect of Refusal to Provide Personal Information**

台端若拒絕提供本公司為遵循 FATCA 法案及 IGA 協議所需之個人資料，或嗣後撤回、撤銷同意，本公司仍可能須將關於 台端之帳戶資訊申報予美國國稅局及中華民國權責主管機關。

In the event that you refuse to provide the personal information as required for the compliance of FATCA and the Agreement, or withdraw or revoke your consent thereof, the Company may still report your account information to the competent authority in Taiwan R.O.C. and the IRS.

台端已充分詳讀前揭告知事項，瞭解此一告知事項符合個人資料保護法及相關法規之要求。

You have read carefully and fully understand all that is stated above and understand that this notice is in accordance with the Personal Information Protection Act and the relevant laws and regulations.

## 【附錄一】填表說明【Appendix I】Instruction

根據美國外國帳戶稅務遵從法(「FATCA」)及臺灣金融機構執行共同申報及盡職調查作業辦法之規定，本公司應收集及申報有關帳戶持有人稅籍與特定相關資料。每個稅籍國家均按其本身的規則釐定稅籍的定義。一般來說，個人稅籍係為個人居住的國家。若干特別情況可能會導致個人成為其他國家的居民，或同時成為超過一個國家的居民(多重居住地)。若個人為美國公民或具有美國稅務居民身分，亦需將美國稅籍身分於此聲明書中列示。相關稅籍詳情，請諮詢您的稅務顧問或瀏覽下列有關FATCA或CRS網頁的資料<https://www.irs.gov/>或<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>

Regulations based on the Foreign Account Tax Compliance Act (“FATCA”) and Taiwan Common Reporting and Due Diligence rules to collect and report an account holder’s tax residence and certain information. Each jurisdiction has its own rules for defining tax residence. In general, you will find that tax residence is the country in which you live. Special circumstances may cause you to be resident elsewhere or resident in more than one country at the same time (dual residency). If you are a U.S. citizen or tax resident under U.S. law, you should indicate that you are a U.S. tax resident on this form. For more information on tax residence, please consult your tax adviser or the information for FATCA and CRS at <https://www.irs.gov/> or <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>.

若您(或帳戶持有人)的稅籍非屬臺灣，本公司在法律上有責任把此聲明書內的資料及有關金融帳戶之其他金融資訊，申報予美國國稅局或臺灣稅務機關，除具有美國公民或美國稅籍居民身分外，臺灣稅務機關會將該資訊交換予與本國簽訂跨國協定之其他稅籍國家。If your (or the account holder’s) tax residence is located outside Taiwan, the Company may be legally obliged to pass on the information in this form and other financial information with respect to your financial accounts to the IRS or Taiwan tax authority. Except U.S citizen or U.S tax resident, Taiwan tax authority may exchange this information with tax authorities of jurisdictions pursuant to intergovernmental agreements to exchange financial account information.

相關名詞解釋請詳附錄二。

Please refer to the Appendix II for definitions.

除依據FATCA之規定或立同意書人之稅籍出現變動外，此聲明書屬永久有效。

Except the rule of FATCA or a change in circumstances relating to information of account holder’s tax status, this form will remain valid.

本公司作為一家金融機構，依法不得提供稅務或法律意見。As a financial institution, we are not allowed to give tax advice.

若您對此聲明書內容或所屬稅籍定義具有疑問，請聯絡您的稅務顧問或參照當地稅務機關發布之相關資訊。If you have any questions then please contact your tax advisor or refer to related information published by domestic tax authority.

## 【附錄二】名詞解釋【Appendix II】Definitions

注意：以下名詞解釋係協助您填寫此聲明書使用。若您對於下述名詞定義上有疑問，請與您的稅務顧問聯繫。

Note: The following selected definitions are provided to assist you with the completion of this form. If you have any questions about these definitions or require further detail, please contact your tax adviser.

### 1. 帳戶持有人 Account Holder

「帳戶持有人」指由管理金融帳戶之金融機構列為或辨識為持有該帳戶之人。金融機構以外之人，以代理人、保管人、被指定人、簽署人、投資顧問或中間人身分為他人利益持有金融帳戶者，該他人視為帳戶持有人。以一個家長與子女開立的帳戶為例，如帳戶以家長為子女的合法監護人名義開立，子女會被視為帳戶持有人。聯名帳戶內的每個持有人都被視為帳戶持有人。The term “Account Holder” means the person listed or identified as the holder of a Financial Account by the Financial Institution 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, or intermediary, is treated as holding the account. 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. 稅籍編號(包括具有同等功能的辨識編號)TIN (including “functional equivalent”)

「稅籍編號」係指外國基於執行稅法之目的，辨識個人或實體之編號或具相當功能之辨識碼。稅籍編號是稅籍國家向個人或法人分配獨有的字母與數字組合，用於識別個人或法人的身分，以便實施該稅籍國家的稅務法律。有關可接受的稅務編號的更多詳細資訊刊載於經濟合作與發展組織的自動交換資料網站。

某些稅籍國家不發出稅務編號。但是，這些稅籍國家通常使用具有等同辨識功能的其他完整號碼(「具有等同功能的辨識號碼」)。此類號碼的例子包括，就個人而言，社會安全號碼/保險號碼、公民/個人身份/服務代碼/號碼，以及居民登記號碼。

The term “TIN” means a taxpayer identifying number issued by the authorities which can identify individuals or entities.

A TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual or an Entity and used to identify the individual or Entity for the purposes of administering the tax laws of such jurisdiction. Further details of acceptable TINs can be found at the OECD automatic exchange of information portal.

Some jurisdictions do not issue a TIN. However, these jurisdictions often utilize some other high integrity number with an equivalent level of identification (a “functional equivalent”). Examples of that type of number include, for individuals, a social security/insurance number, citizen/personal identification/service code/number, and resident registration number.