海外帳戶稅收遵循法及共同申報準則身分聲明書(法人版)

FATCA and CRS Self-Certification (for Entity)

若您或您應提供之具控制權之人具有非中華民國之稅籍，請以英文填寫此份聲明書。

Please fill in this self-certification in English if you or your controlling person who is required to be declared has any tax residency outside the Republic of China (ROC).

第一部分：帳戶持有人資料 Part I: Account Holder Information

A. 實體/組織名稱 Name of Entity or Organization：DIVA Laboratories U.S., LLC

B. 統一編號/公司註冊號碼 Business Registration Number/Business Registration No.：694539

C. 註冊地址 Permanent Residence Address

☑ 同本次申請文件**(限新開戶且僅有中華民國之稅務居住者勾選**，惟若帳戶持有人有應提供控制人之資訊，該控制人具有非中華民國之稅籍時，請勿勾選此項)

Same as the address in this application form (This Box is only applicable to new contract and only a tax resident of the ROC However, if the Account Holder's controlling persons who are required to be declared have any tax residency outside the ROC , please do not tick the box.)

☐ 非上述情況，請填寫以下欄位：

Please fill in the following fields if account holder does not open a new account.

(國家 Country) (地址 Address)

D. 主要營業處所地址 Place of effective management of address: (請勿留存郵政信箱 Do not use a P.O. box)

註：主要營業處所地址係指 Place of effective management is the place where

1. 作成重大管理決策之地點；及
   decisions that are necessary for the conduct of the enterprise's business are in substance made;, and
2. 財務報表、會計帳簿紀錄、董事會議事錄或股東會議事錄之製作或儲存處所；及
   its financial statements, accounting records , a board of directors or shareholders minutes are kept;, and
3. 實際執行主要經營活動處所。
   a company is actually managed and controlled.

☐ 1.同 C.註冊地址之國家 Same as the above Permanent Residence Address

☑ 2.與 C.註冊地址之國家不同，請另列示如下 Please enter the place of effective management of address if the country is different from the address shown in item C above.

台灣 (國家 Country) 新北市中和區中山路二段351號9樓 (地址 Address)

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第二部分：稅籍 Part II: Tax Residence(s)

☐ 1.帳戶持有人僅為中華民國之稅務居住者。(第二部分聲明結束)
Account holder is only a tax resident of the ROC. (End of Part II)

☐ 2.帳戶持有人**非為或非僅為**中華民國稅務居住者，請於下方表格註明帳戶持有人的所有稅籍(包含但不限註冊地、主要營業處所及主要辦事處所位處的國家)。無法提供稅務識別碼(TIN)者，請選填理由 A、B 或 C。
Account holder is **not or not only** a tax resident of the ROC. Please indicate in the table below the Account Holder's jurisdiction of tax residence (including but not limited to the registered place, the place of effective management or country in which its principal office is located).If a TIN is unavailable please provide the appropriate reason A, B or C where appropriate:

無法提供TIN者，請選填理由A、B或C
If a TIN is unavailable please provide the appropriate reason A, B or C where appropriate:
理由A–立聲明書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 I am liable to pay tax does not issue TINs to its residents.
理由B–立聲明書人無法取得稅務識別碼或類似編號(請說明立聲明書人無法取得稅務識別碼原因)。
Reason B – 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)
理由C–毋須提供稅務識別碼(限於立聲明書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 – No TIN is required.(Only select this reason if the authorities of the country/jurisdiction of tax residence entered below do not require the TIN to be disclosed)

稅籍(所在國/管轄區) Tax residency (Country/Jurisdiction)	稅務識別碼 Tax Identification Number (TIN)	無法提供稅務識別碼(TIN)者，請選填理由 A、B 或 C，並提供選填 B 之原因 If no TIN available, please enter Reason A, B or C, and the reason why choosing B
☑ US	稅務識別碼或雇主身分識別碼(TIN or EIN) 46-3208556	

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第三部分：帳戶持有人身分別 Part III: Account Holder's Status

請擇一勾選並提供相關資訊。.

立聲明書人聲明以下勾選之身分別項目均為真實且正確：The Account Holder certifies that the Status is true and accurate by selecting one of the boxes below:

☐ 一、立聲明書人為**金融機構**，並聲明：

The Account Holder is a financial institution, please also confirm that:

A. 請勾選以下最適類別：Please select one of below categories as appropriate

☐ **由另一金融機構管理，且非位於應申報國或參與國之投資實體** – 請填寫【附錄一：具控制權之人資訊】

Investment Entity that is managed by another Financial Institution and located outside a Reportable Jurisdiction or a Participating Jurisdiction - Please complete 【Appendix I Controlling Person】

☐ **金融機構 (不包含上列身分)**

Financial Institution (excluded an investment entity located in a non-reportable jurisdiction non-participating jurisdiction and managed by another financial institution)

B. 請勾選以下最適類別：Please select one of below categories as appropriate

☐ 因海外帳戶稅收遵循法(FATCA)取得之全球中介機構識別號碼（GIIN），請填寫於此 If you have ticked above, please provide, if held, the Account Holder's Global Intermediary Identification Number ("GIIN") obtained for FATCA purposes.：_____.

若為受贊助實體，請一併提供贊助實體之資訊 For Sponsored Entity, please also provide Sponsoring Entity's information:

贊助實體之名稱 Name of Sponsoring Entity _____

贊助實體之 GIIN GIIN of Sponsoring Entity _____

☐ 無 GIIN 者，請提供 W-8BEN-E 或 W8-IMY 等美國國稅局(IRS)W-8 系列之正式稅務文件，以茲證明 FATCA 身分 If the Account Holder does not have a GIIN then provide Form W-8BEN-E or W8-IMY for FATCA identification purposes

☑ 二、立聲明書人為國內外**上市（櫃）、興櫃公司或其關係企業**

The Account Holder is a publicly traded non-financial entity or an affiliate of such

請填寫下列欄位之資訊(二擇一填寫) Please select one of below categories as appropriate

☐ **立聲明書人為國內外上市（櫃）或興櫃公司** NFFE is a local or foreign publicly company, or its shares are listed in exchange or publicly traded

立聲明書人股票交易於_____(請填寫證券市場正式名稱 Please fill in the name of the exchange upon which the stock is regularly traded)

☑ **立聲明書人為上市（櫃）、興櫃公司之關係企業** The Account Holder is an affiliate of publicly traded non-financial entity

該上市（櫃）、興櫃公司之名稱 The name of the publicly traded non-financial entity

旺矽科技股份有限公司(請填寫公司機構正式名稱 Please fill in the name of the publicly traded non-financial entity)，

該公司股票經常性交易於 whose stock is regularly traded on an established securities market.

證券櫃檯買賣中心(請填寫證券市場正式名稱 Please fill in the name of the exchange upon which the stock is regularly traded)

※「關係企業」係指一實體控制另一實體或兩實體由相同之人控制，該兩實體互為關係實體。所稱控制，指直接或間接持有一實體之表決權及價值超過百分之五十。

An Entity is an "affiliate" of another Entity if either Entity controls the other Entity, or the two Entities are under common control. For this purpose control includes direct or indirect ownership of more than 50% of the vote and value in an Entity

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☐ 三、立聲明書人為**政府實體、國際組織、中央銀行或由該等實體完全持有之實體**
The Account Holder is Governmental Entity, an international organization, a central bank, or an Entity wholly owned by one or more of the foregoing Entities

☐ 四、立聲明書人為**積極非金融機構實體** (即符合下述定義)
The Account Holder is an active non-financial entity which qualifies the below definition or meets one of the following status.

定義 Definition

帳戶持有人於前一會計年度之股利、利息、租金、權利金、金融資產交易增益、貨幣匯兌增益或其他非積極營業活動產生收入之合計數未達收入總額的 50%，且於該期間內持有用於取得該非積極營業活動收入之資產，未達其資產總額的 50%。

Less than 50 percent of its gross income during the preceding calendar year is passive income (i.e., dividends, interest, rent, royalties, the excess of gains over losses from the sale or exchange of Financial Assets that gives rise to the passive income described previously, the excess of foreign currency gains over foreign currency losses or other passive income), and less than 50% of the assets held by the NFE during that calendar year are assets that produce, or are held for the production of, passive income

請勾選以下最適類別(二擇一填寫)：Please select one of below categories as appropriate

☐ A 屬下列身分之一
1.帳戶持有人屬上述定義之非金融機構實體。或；
Holding NFEs that qualify the definition addressed above; or
2.帳戶持有人屬非金融集團成員的控股非金融機構實體。或；
Holding NFEs that are members of a nonfinancial group; or
3.帳戶持有人屬非金融集團成員的財務中心。或；
Treasury centers that are members of a nonfinancial group; or
4.帳戶持有人屬非營利組織。
Non-profit NFEs.

☐ B 帳戶持有人屬清算中或破產中的非金融機構實體。
NFEs that are liquidating or emerging from bankruptcy

☐ 五、立聲明書人為**消極非金融機構實體**–請填寫【附錄一：具控制權之人資訊】
The Account Holder is a passive non-financial entity. Please complete 【Appendix I Controlling Person】.

第四部分：特殊 FATCA 身分別 Part IV: Special FATCA Status

註：若第三部分勾選四或五身分別，請聲明是否屬此項 FATCA 身分。
Note: If the Four or Five status is selected in the Part III, please declare whether the entity is the FATCA status or not.

☐ 立書人非為 FATCA 定義下之**逕行申報之外國非金融實體**身分 The Account Holder is not a Direct Reporting NFFE under FATCA.

☐ 立書人為 FATCA 定義下之逕行申報之外國非金融實體身分，因海外帳戶稅收遵循法(FATCA)取得之全球中介機構識別號碼(GIIN)，請填寫於此：_____. The Account Holder is a Direct Reporting NFFE under FATCA, please provide the Account Holder's Global Intermediary Identification Number ("GIIN") obtained for FATCA purposes

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聲明及簽署 Declarations and Signature

立聲明書人了解並同意其填寫之資訊受台新國際商業銀行 (以下簡稱「貴行」)與帳戶持有人所簽署之條款所規範，貴行得依其與帳戶持有人所簽署之條款分享及使用立聲明書人所填寫之資訊。

I understand that the information supplied by me is covered by the full provisions of the terms and conditions governing the Account Holder' s relationship with Taishin International Bank (hereinafter refer to as "the Bank") setting out how the Bank may use and share the information supplied by me.

立聲明書人了解並同意 貴行得依據帳戶持有人所屬稅務管轄區簽署之協定，向稅務機關出示或交付此聲明書內任何有關帳戶持有人及其應申報帳戶之資訊。立聲明書人已詳細閱讀**【附錄二】填表說明**及**【附錄三】名詞解釋**，了解並同意其規定與要求。

I acknowledge that the information contained in this form and information regarding the Account Holder and any Reportable Account(s) may be reported to the tax authorities of the jurisdiction in which this account(s) is/are maintained and exchanged with tax authorities of another jurisdiction or jurisdictions in which the Account Holder may be tax resident pursuant to intergovernmental agreements to exchange financial account information. I read and understand the terms and requirements as provided in 【Appendix II】 Instruction and 【Appendix III】 **Definitions**

立聲明書人茲此聲明帳戶持有人已授權本人簽署此聲明書所提及之帳戶相關事項。立聲明書人聲明本人填寫之資訊盡本人所知所信屬真實、正確且完整。

I certify that I am authorized to sign for the Account Holder in respect of all the account(s) to which this form relates. I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete.

若上述聲明內容及其他開戶相關文件之資訊產生變動，致使本表格所載事項不正確或不完整時(包含任何**【附錄一】具控制權之人資訊**之變動)，立聲明書人會於資訊變動日起30日內主動告知 貴行。

I undertake to advise the Bank within 30 days of any change in circumstances which affects the tax residency status of the Account Holder identified in Part I of this form or causes the information contained herein to become incorrect or incomplete (including any changes to the information on controlling persons identified in 【Appendix I】 **Controlling Person**), and to provide the Bank with a suitably updated self-certification and Declaration within 30 days of such change in circumstances.

另帳戶持有人於 貴行開立帳戶並進行交易，為配合 貴行遵循美國海外帳戶稅收遵循法案 (Foreign Account Tax Compliance Act，下稱「FATCA法案」)、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」) 及金融機構執行共同申報及盡職審查作業辦法(下稱「CRS」)等相關規定，帳戶持有人茲聲明並同意下列事項：

Whereas I intend to establish accounts and to proceed transactions with the Bank, in order to cooperate in the Bank' s compliance with the US Foreign Account Tax Compliance Act (hereinafter referred to as "FATCA"), Agreement between the American institute in Taiwan, and Taipei Economic And Cultural Representative Office In The United States for Cooperation to Facilitate the Implementations of FATCA, (hereinafter referred to as the "IGA"), and Regulations Governing the Implementation of the Common Standard on Reporting and Due Diligence for Financial Institutions(hereinafter referred to as "CRS"), the Account Holder hereby declares and agrees to the following:

一、帳戶持有人業經具控制之人同意，提供其資訊予 貴行，俾利 貴行依FATCA法案、IGA協議及CRS辦理辨識及申報等相關事宜。

The Account Holder is permitted by controlling persons to provide the Bank with controlling persons' information for the purpose of identification and reporting by the Bank in accordance with FATCA, IGA and CRS.

二、帳戶持有人同意將留存於 貴行之一切交易資訊，包括帳戶持有人之帳戶帳號及帳戶餘額、帳戶總收益金額、交易明細等，供 貴行依FATCA法案、IGA協議及CRS辦理辨識及申報等相關事宜。

The Account Holder agrees to provide all transaction information kept at the Bank, including account number, account balance, the gross proceeds and statement of the account, to the Bank for the purpose of identification and reporting in accordance with FATCA, IGA and CRS.

立聲明書人 Signature of Company/Entity：_____

(請蓋立約簽章或原留印鑑 Please sign or use the Company stamp as in the Signature Card)

簽署日期 Date：_____

以下僅限內部使用 For Internal Use：

經辦/服務人員確認聲明書合理性檢核項目(單選必填)
若有發現稅籍國家或 CRS(含 FATCA)身分別可能不一致之情形，請進一步向帳戶持有人詢問聲明書是否已填寫確實、合理且完整。

☐本人已核對過相關資料(包含 GIIN)，且未發現上述身分聲明書所聲明之 CRS(含 FATCA)身分別及其稅籍國家或具控制權之人之稅籍國家有不合理之情事。
☐本人已核對過相關資料(包含 GIIN)，另發現帳戶持有人之 CRS(含 FATCA)身分別及其稅籍國家或具控制權之人之稅籍國家有可能不一致之情形，但已向帳戶持有人確認其所聲明之 CRS(含 FATCA)身分別及其稅籍國家或具控制權之人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)
✓ 公司或組織之註冊地顯示為其他國家。
✓ 聯絡地址顯示為其他國家。
✓ 公司或組織主要營業項目為投資業且非為積極非金融機構實體之控股公司，但聲明為積極非金融機構實體。
✓ 身分證明文件或相關資料顯示為其他國家的稅務居住者。
✓ 身分證明文件或相關資料顯示為其他國家的國籍或公民。
✓ 聯絡地址或戶籍地址/居住地址顯示為其他國家。

覆核：_____ 經辦：_____ 驗印:_____ 服務人員：_____

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美國海外帳戶稅收遵循法案暨共同申報準則蒐集、處理及利用個人資料告知事項

Taishin International Bank

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

緣台新國際商業銀行股份有限公司（下簡稱「本公司」）因參與遵循美國海外帳戶稅收遵循法（Foreign Account Tax Compliance Act，下稱「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」），以及依據金融機構執行共同申報及盡職審查作業辦法(下稱「CRS」)之規定，而負辨識美國帳戶及帳戶持有人稅籍身分之義務，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　台端協力遵循前開法規及 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"), Agreement between the American institute in Taiwan and Taipei Economic And Cultural Representative Office In The United States for Cooperation to Facilitate the Implementations of FATCA (hereinafter referred to as the "IGA") and Regulations Governing the Implementation of the Common Standard on Reporting and Due Diligence for Financial Institutions(hereinafter referred to as "CRS"), Taishin International Bank (hereinafter referred to as the "Company") has the obligation to identify US accounts and the tax residency of the account holders. 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 the aforesaid regulations and the relevant provisions under IGA, 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、美國稅務識別碼、帳戶帳號及帳戶餘額、帳戶總收益金額與交易明細等，將因本公司遵循前開法規及 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 the aforesaid regulations compliance and as required by IGA.

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

為遵循前開法規及 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 the aforesaid regulations and IGA, 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

為履行前開法規及 IGA 協議下之相關義務，　台端個人資料將於中華民國、美國地區、與中華民國簽訂稅務資訊交換協定之國家/地區及本公司受　台端委託而進行交易之對象（包括但不限於複委託之第三人）所在地區受利用。

In order to fulfill the obligations under the aforesaid regulations and IGA, your personal information will be used in Taiwan R.O.C., United States, the countries/jurisdictions exchanging tax information with Taiwan R.O.C. pursuant to intergovernmental agreements and the territory which any party that the Company has been authorized by you to enter into transactions with (including but not limited to any sub-brokered third party) located in.

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

為履行前開法規及 IGA 協議下之相關義務，　台端個人資料將由本公司、台新金融控股股份有限公司、本公司受　台端委託而進行交易之對象（包括但不限於複委託之第三人）、與中華民國簽訂稅務資訊交換協定國家之權責主管機關、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 the aforesaid regulations and IGA, your personal information will be used by the Company, Taishin Financial Holding Co., Ltd., any party that the Company has been authorized by you to enter into transactions with (including but not limited to any sub-brokered third party), the competent authority in Taiwan R.O.C., the competent authorities in the countries/jurisdictions exchanging tax information with Taiwan R.O.C. pursuant to intergovernmental agreements 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，得向本公司客服及各分行臨櫃查詢。

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 dial or 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，本公司將無法繼續提供　台端於本公司所有屬 FATCA 法案規範金融商品之任何服務，並將對於台端於本公司下所開立之帳戶進行停止交易及服務、結清、結算、提前終止契約或關閉帳戶；或依據 FATCA 法案對於交易金額中屬於應扣繳款項、外國轉付款項及視為屬應扣繳款項或外國轉付款項者扣繳百分之三十之金額。

In the event that you refuse to provide the personal information as required for the compliance of FATCA and IGA, or withdraw or revoke your consent thereof, the Company will be unable to provide any further services related to financial products regulated under FATCA to you and shall cease all transactions and services of your accounts with the Company or settle, liquidate or close your accounts, or effect early termination of the agreement(s) related to the accounts; or withhold 30 percent of any withholdable payment and foreign passthru payment of the transaction amount and those deemed to be withholdable payment or foreign passthru payment in accordance with FATCA.

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

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【附錄一】具控制權之人資訊 【Appendix I】 Controlling Person

實體名稱 Name of Entity or Organization： DIVA Laboratories U.S., LLC

若帳戶持有人具有一個以上之具控制權之人，請複製此表單填寫其他具控制權之人之資料。
If the Account Holders have more than one controlling person, please copy this form and fill in other controlling person's information.

具控制權之人基本資料 Controlling Person Identification

姓名 Name：鈺緯科技開發(股)公司

居住地址(戶籍地址)Residence Address
新北市中和區中山路二段351號9樓

出生日期 Date of Birth:	Place of Birth 出生地:
1995 年 4 月 11 日 (YYYY) (MM) (DD)	城市 City: ____ 國家 Country: 台灣

☑本人僅為中華民國之稅務居住者 I am only a tax resident of the ROC.，身分證字號 ID：89376900
(如勾選此項，請接續至「具控制權之人類別」填寫(If this box is ticked, please fill **Type of Controlling Person**)

具控制權之人 Controlling Person		
稅籍國家 Country of tax residence ☐ US	稅務識別碼 Tax Identification Number 稅務識別碼或社會安全碼(TIN or SSN)☐☐☐-☐☐-☐☐☐☐	
稅籍國家 Country of tax residence ☐ TW	稅務識別碼 Tax Identification Number	
稅籍國家 Country of tax residence	稅務識別碼 Tax Identification Number	無法提供稅務識別碼者，請選填理由 A、B 或 C，並提供選填 B 之原因 If no TIN available, please enter Reason A, B or C, and the reason why choosing B
稅籍國家 Country of tax residence	稅務識別碼 Tax Identification Number	無法提供稅務識別碼者，請選填理由 A、B 或 C，並提供選填 B 之原因 If no TIN available, please enter Reason A, B or C, and the reason why choosing B

具控制權之人類別 Type of Controlling Person (請勾選最適類別 Please select the most appropriate status)

1. 一般 Legal Person	☑直接或間接持有實體之股份、資本或權益超過 25% Ownership (Shareholding Ratio:25%)		☐透過其他方式對該實體行使控制權 Others who control over the entity	☐該實體之高階管理人員 Senior Managing Official	
2. 信託 Legal Arrangement-Trust	☐ 委託人 Settlor	☐ 受託人 Trustee	☐ 信託監察人 Protector	☐ 受益人 Beneficiary	☐其他 Other
3. 其他/Legal Arrangement-Others	☐ 類於委託人之個人 settlor-Equivalent	☐ 類於受託人之個人 Trustee-Equivalent	☐ 類於保護人之個人 Protector-Equivalent	☐ 類於受益人之個人 Beneficiary-Equivalent	☐ 其他 Other-Equivalent

※具控制權之人定義請參閱【附錄三】詳細說明 For the definition of "Controlling Person", please refer to 【Appendix III】
※理由 A、B 或 C 內容分別如下 Reason A, B, C is as below：
理由 A–立書人所屬的稅務國家並無發給稅務識別碼予其稅務居住者。
Reason A – The jurisdiction where the Account Holder is resident does not issue TINs to its residents
理由 B–立書人無法取得稅務識別碼或類似編號(若選填此項者，請說明解釋無法取得稅務識別碼之原因)。
Reason B – The Account Holder is 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)
理由 C–無需提供稅務識別碼(僅針對所填寫之稅籍國家規定無需揭露稅務識別碼時，才能選填此項)。
Reason C – No TIN is required.
(Note. Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction)

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【附錄二】填表說明【Appendix II】Instruction

根據美國海外帳戶稅收遵循法(「FATCA」)及中華民國金融機構執行共同申報及盡職審查作業辦法之規定，台新國際商業銀行應蒐集及申報有關帳戶持有人稅籍與特定相關資料。若帳戶持有人具有非中華民國之稅籍，台新國際商業銀行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中華民國稅務機關，除具有美國稅籍外，中華民國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。

Regulations based on the Foreign Account Tax Compliance Act ("FATCA") and Regulations Governing the Implementation of the Common Standard on Reporting and Due Diligence for Financial Institutions of the ROC to collect and report an account holder's tax residence and certain information. If account holder is located outside the ROC, 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 tax authority of the ROC. Except the U.S tax resident, tax authority of the ROC 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三。此聲明書屬永久有效，直至帳戶持有人之稅籍出現變動為止。若具有任何導致此聲明書所提供的資料不實或不完整的變動，請於30日內通知我們，並提交最新的聲明書。此聲明書擬符合當地法律之要求徵提資訊。

You can find summaries of defined terms such as an Account Holder, and other terms, in this Appendix III. This form will remain valid unless there is a change in circumstances relating to information, such as the Account Holder's tax status or other mandatory field information, that makes this form incorrect or incomplete. In that case you must notify us and provide an updated self-certification. This form is intended to request information consistent with local law requirements.

若您為個人帳戶持有人、獨立貿易商或獨資商號，請勿填寫此聲明書。請改填「海外帳戶稅收遵循法及共同申報準則身分聲明書(個人版)」；若為聯名帳戶持有人，請每位聯名帳戶持有人分別填寫一張聲明書。

If you are an individual account holder, sole trader or sole proprietor, please fill out "FATCA and CRS Self-Certification (for Individual)" rather than this form. For joint or multiple account holders please complete a separate form for each account holder; for joint or multiple account holders, please use a separate form for each individual person.

若帳戶持有人之實體身分別為「消極非金融機構實體」或「非屬應申報國及參與國之被專業管理投資實體」請於附錄一提供對帳戶持有人具有控制力之自然人資訊(即「具控制權之人資訊」)。

Where the Account Holder is a Passive NFE, or an Investment Entity located in a Non-Participating Jurisdiction managed by another Financial Institution, Please provide information on the natural person(s) who exercise control over the Account Holder (individuals referred to as "Controlling Person(s)") by completing Appendix I for each Controlling Person.

身為一家金融機構，我們不得提供稅務或法律意見。若您對此聲明書之內容或所屬稅籍定義具有疑問，請聯絡您的稅務顧問或參考當地稅務機關發布之相關資訊。

As a financial institution, we are not allowed to give tax advice. If you have any questions, please contact your tax advisor or refer to related information published by domestic tax authority.

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【附錄三】名詞解釋 【Appendix III】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、代名人、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, such other person 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. **稅務識別碼(包括具有同等功能的辨識編號) Taxpayer Identification Number, TIN (including "functional equivalent")**

「稅務識別碼」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。稅務識別碼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。有關可接受的稅務識別碼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識別碼。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，就法人而言為統一編號或公司註冊證書號碼。

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 entity, business registration number and business registration number.
如實體帳戶持有人為中華民國稅務居住者，填列統一編號(8碼，由公司、商業登記主管機關或稅籍登記所轄稅捐稽徵機關編配)。

If the Entity Account Holder is the tax resident of the ROC, the TIN is the Business Administration Number (8 digit number issued by the authorities in charge of corporation or business registration or by the tax authorities in charge oftax registration).
如具控制權之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 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

3. **金融機構 Financial Institution**

「金融機構」係指「存款機構」、「保管機構」、「投資實體」及「特定保險公司」。
The term "Financial Institution" means a "Custodial Institution", a "Depository Institution", an "Investment Entity", or a "Specified Insurance Company".

4. **存款機構 Depository Institution**

「存款機構」係指經常以銀行業或類似行業之通常營業方式收受存款之實體。
The term "Depository Institution" means any Entity that accepts deposits in the ordinary course of a banking or similar business.

5. **保管機構 Custodial Institution**

「保管機構」係指主要業務係為他人帳戶持有金融資產或依法兼營信託或主要營業以外之其他業務致有為他人帳戶持有金融資產之實體，且其最近三個會計年度歸屬於持有金融資產及相關金融服務之收入合計數，達收入總額百分之二十者，存續期間不滿三年者以存續期間計算
The term "Custodial Institution" means any Entity that holds, as a substantial portion of its business, Financial Assets for the account of others or manages a trust sideline or holds Financial Assets for the account of others which is beyond the main business. This is where the Entity's gross income attributable to the holding of Financial Assets and related financial services equals or exceeds 20% of the Entity's gross income during the shorter of: (i) the three-year period that ends on 31 December (or the final day of a non-calendar year accounting period) prior to the year in which the determination is being made; or (ii) the period during which the Entity has been in existence.

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6. 投資實體 Investment Entity

「投資實體」係指下列任一實體：

(a)主要業務係為客戶或代客戶從事下列任一目之活動或操作，且其最近三個會計年度歸屬於該等活動或操作之收入合計數，達收入總額百分之五十者，存續期間不滿三年者以存續期間計算：

(i)支票、匯票、存單、票券、衍生性金融商品等貨幣市場工具交易；外匯；匯率、利率及指數工具；可轉讓有價證券；或商品期貨交易。

(ii)個別及集合投資組合管理。

(iii)代他人進行其他投資、行政管理或經理金融資產或金錢。

(b)由存款機構、保管機構、特定保險公司或前款規定之投資實體管理，且其最近三個會計年度歸屬於金融資產之投資、再投資或交易之收入合計數，達收入總額百分之五十者，存續期間不滿三年者以存續期間計算。。

The term "Investment Entity" means any Entity:

(a) that primarily conducts as a business one or more of the following activities or operations for or on behalf of a customer:

i) trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading;

ii) individual and collective portfolio management; or

iii) otherwise investing, administering, or managing Financial Assets or money on behalf of other persons; or

(b) that is managed by another Entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company, or an Investment Entity described above and an Entity's gross income is primarily attributable to investing, reinvesting, or trading in Financial Assets is equals or exceeds 50% of the Entity's gross income during the shorter of: (i) the three-year period ending on 31 December of the year preceding the year in which the determination is made; or (ii) the period during which the Entity has been in existence.

7. 特定保險公司 Specified Insurance Company

「特定保險公司」係指任何發行具現金價值保險契約或年金保險契約、或須對具現金價值保險契約或年金保險契約承擔給付義務之保險公司或其控股公司。

The term "Specified Insurance Company" means any Entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract.

8. 非屬應申報國及參與國之被專業管理投資實體 Investment entity located in a non-reportable jurisdiction non-participating jurisdiction and managed by another financial institution

「非屬應申報國及參與國之被專業管理投資實體」係指該實體屬應申報國及參與國以外並由一金融機構所管理。

The term "Investment entity located in a non-reportable jurisdiction non-participating jurisdiction and managed by another financial institution" means any Entity is located in an jurisdiction which is outside the Reportable Jurisdiction and Participating Jurisdiction and managed by a Financial Institution.

9. 應申報國 Reportable Jurisdiction

「應申報國」指依據與我國商訂稅務用途資訊交換之條約或協定進行金融帳戶資訊自動交換，且經財政部公告之國家或地區。

The term " Reportable Jurisdiction" is a jurisdiction with which an obligation to provide financial account information is in place and that is identified in a published list.

10. 參與國 Participating Jurisdiction

「參與國」指依經濟合作暨發展組織發布之共同申報及盡職審查準則進行金融帳戶資訊自動交換，且經財政部公告之國家或地區。

A "Participating Jurisdiction" means a jurisdiction with which an agreement is in place pursuant to which it will provide the information required on the automatic exchange of financial account information set out in the Common Reporting Standard and that is identified in a published list.

11. 具規模證券市場 Established Securities Market

「具規模證券市場」係指經政府機關正式認可及監督之市場，且該市場年度股票交易價值具相當規模。

The term "Established Securities Market" means an exchange that is officially recognized and supervised by a governmental authority in which the market is located and that has a meaningful annual value of shares traded on the exchange.

12. 非金融集團成員的控股非金融機構實體 Holding NFEs that are members of a nonfinancial group

「非金融集團成員的控股非金融機構實體」係指主要活動係持有子公司已發行股票或對其提供融資及服務，且該子公司係從事金融機構業務以外之交易或商業行為。但不包括其功能為投資基金或其他基於投資目的以收購或挹資方式持有公司股權作為資本資產之投資工具。

The term "Holding NFEs that are members of a nonfinancial group" means substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an Entity does not qualify for this status if the Entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes.

13. 清算中或破產的非金融機構實體 NFEs that are liquidating or emerging from bankruptcy

「清算中或破產的非金融機構實體」係指前五年非屬金融機構，且正進行清算或重整程序。

The term "NFEs that are liquidating or emerging from bankruptcy " means the NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution

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14. 非金融集團成員的財務中心 Treasury Centers that are members of a nonfinancial group

「非金融集團成員的財務中心」係指主要活動係與其關係實體或為其關係實體從事融資或避險交易，且未對非關係實體提供融資或避險服務。前述關係實體以主要從事金融機構以外業務者為限。

The term "Treasury centers that are members of a nonfinancial group " means the NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution

15. 非營利組織 Non-profit NFEs

「非營利組織」係指符合下列條件之非金融機構實體：

(a) 專為宗教、公益、科學、藝術、文化、運動或教育之目的而於其所在國家或地區設立及營運者；或於其所在國家或地區設立及營運，且為專業組織、企業聯盟、商會、工會組織、農業或園藝組織、公民聯盟或專為促進社會福利之組織。

(b) 於其所在國家或地區免納所得稅者。

(c) 股東或成員對其所得或資產不得主張所有權或受益權。

(d) 依其所在國家或地區適用之法律或其設立文件規定，除為執行慈善活動，或為給付合理勞務報酬或財產公平市價之價金外，不得分配所得或資產或贈與利益予私人或非慈善性質實體。

(e) 依其所在國家或地區適用之法律或其設立文件規定，清算或解散時應將賸餘財產分配與政府實體或其他非營利組織，或歸屬其所在國家或地區之各級政府。

The term "Non-profit NFEs " means the NFE meets all of the following requirements:

(a) it is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organization, business league, chamber of commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare;

(b) it is exempt from income tax in its jurisdiction of residence;

(c) it has no shareholders or members who have a proprietary or beneficial interest in its income or assets;

(d) the applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and

(e) the applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a Governmental Entity or other non-profit organization, or escheat to the government of the NFE's jurisdiction of residence or any political subdivision.

16. 消極非金融機構實體 Passive NFE

「消極非金融機構實體」係指非屬積極非金融機構實體者。

The term "Passive NFE" means any NFE that is not an Active NFE.

17. 具控制權之人 Controlling Person(s)

「具控制權之人」係指對實體具控制權之自然人，並按下列各款依序判定：

一、直接或間接持有實體之股份、資本或權益超過百分之二十五者。

二、透過其他方式對該實體行使控制權者。

三、該實體之高階管理人員。

於信託或其他法律安排，所稱具控制權之人指委託人、受託人、信託監察人、受益人、其他對該信託行使最終有效控制權之自然人，或具相當或類似地位之人。

The term "Controlling Persons" are the natural person(s) who exercise control over an entity.

(1) directly or indirectly owns or controls more than 25% of ownership interest of the corporation

(2) who exercises control of the Entity through other means.

(3) who holds the position of senior managing official exercises ultimate control over the management of the entity.

In the case of a trust, the Controlling Person(s) are the settlor(s), the trustee(s), the protector(s), the beneficiary(ies) or any other natural person(s) exercising ultimate effective control over the trust or equivalent or similar positions.

18. 逕行申報之外國非金融實體 Direct Reporting NFFE

「逕行申報之外國非金融實體」係指實體選擇自行申報直接或間接之美國實質受益人。

The term "A direct reporting NFFE" means a NFFE that elects to report information about its direct or indirect substantial U.S. owners to the IRS.

19. 應申報帳戶 Reportable Account

「應申報帳戶」係指由應申報國居住者或具控制權之人為應申報國居住者之消極非金融機構實體持有或共同持有之帳戶。

The term "Reportable Account" means an account held by one or more Reportable Persons or by a Passive NFE with one or more Controlling

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