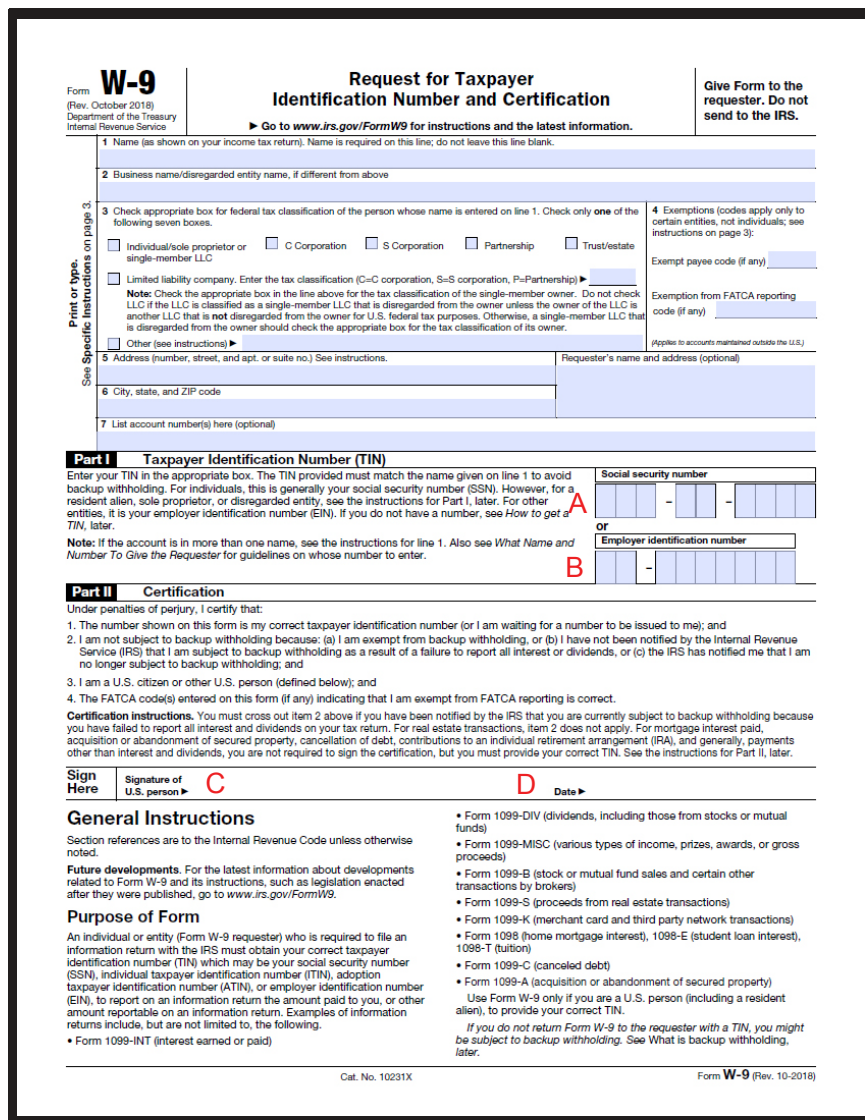


## W-9— 要求納稅人識別號碼及證明

所有W表格均必須以英文填寫。



**Form W-9**  
Request for Taxpayer Identification Number and Certification

Give Form to the requester. Do not send to the IRS.

Go to [www.irs.gov/FormW9](http://www.irs.gov/FormW9) for instructions and the latest information.

1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.

2 Business name/disregarded entity name, if different from above

3 Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only **one** of the following seven boxes.

4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):

5 Address (number, street, and apt. or suite no.) See instructions.

6 City, state, and ZIP code

7 List account number(s) here (optional)

**Part I Taxpayer Identification Number (TIN)**

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN*, later.

**Part II Certification**

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and

2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and

3. I am a U.S. citizen or other U.S. person (defined below); and

4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

**General Instructions**

Section references are to the Internal Revenue Code unless otherwise noted.

**Future developments.** For the latest information about developments related to Form W-9 and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/FormW9](http://www.irs.gov/FormW9).

**Purpose of Form**

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following.

• Form 1099-DIV (dividends, including those from stocks or mutual funds)

• Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)

• Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)

• Form 1099-S (proceeds from real estate transactions)

• Form 1099-K (merchant card and third party network transactions)

• Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)

• Form 1099-C (canceled debt)

• Form 1099-A (acquisition or abandonment of secured property)

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding, later.

如為聯名戶口，每位戶口持有人必須分別填寫一份表格。  
W-9表格必須準確填寫，不得塗改。如果填寫有誤，請用新表格重新填寫。  
請勿使用塗改液或其他塗改工具。

- 第1欄** 填寫您在所得稅報表中所示的全名。
- 第2欄** 填寫您的商業名稱 / 無行企業實體名稱，僅於其與第1欄所填「名稱」不同時填寫。
- 第3欄** 只選擇其中一個方格。如果您是一家有限責任公司 (Limited liability company)，請只選擇「有限責任公司」的方格，並在所示欄位填寫C、S或P。
- 第4欄** (如適用) 在所示欄位填寫「獲豁免收款人代碼」和「豁免FATCA申報代碼」。注意：如果您對上述代碼存有疑問，請尋求獨立稅務意見。
- 第5欄** 在第一行請填寫完整的街道地址。
- 第6欄** 在第二行填寫城市 / 城鎮、國家及 / 或州，以及郵政編碼。
- 第7欄** 請勿填寫戶口號碼，否則表格將僅限於所列戶口使用，您可能須為其他戶口另外填寫表格。

第一部分：納稅人識別號碼 (TIN) 請按照指示填寫相關欄位：

- A** 個人 / 獨資經營業主：社會保障號碼 (SSN)。  
或
- B** 實體 (即商業機構)：僱主身分識別號碼 (EIN)。  
注意：有效的美國納稅人識別號碼應由9個數字組成。納稅人識別號碼通常都會：
- 包含數字 (不含字母或其他字符)
  - 由9個數字組成
  - 而不會
  - 含有9個相同的數字
  - 或 含有9個順序排列的數字 (無論升序還是降序)。

如果您正在申請納稅人識別號碼，請在社會保障號碼或僱主身分識別號碼一欄填寫 **"Applied"** (已申請)。  
您必須在60天內向我們提供您的納稅人識別號碼。

第二部分：證明

**C和D** 請簽名並填寫日期。如果代表某個實體簽名，必須確保您有權代表該實體簽名。

注意：除非授權書特別註明代理人 / 律師可以簽署稅務文件或稅務表格 (並提供或持有相關副本)，或者提供國稅局2848表格，否則本表格不得通過授權書授權簽署。

恒生不能提供任何稅務建議。如需有關建議，請諮詢獨立稅務顧問。

# W-9 form; request for Taxpayer Identification Number and Certification

All W Forms must be completed **in English**

<p><b>Form W-9</b> (Rev. October 2018) Department of the Treasury Internal Revenue Service</p>	<p><b>Request for Taxpayer Identification Number and Certification</b></p> <p>▶ Go to <a href="http://www.irs.gov/FormW9">www.irs.gov/FormW9</a> for instructions and the latest information.</p>	<p><b>Give Form to the requester. Do not send to the IRS.</b></p>								
<p><b>1</b> Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.</p>										
<p><b>2</b> Business name/disregarded entity name, if different from above</p>										
<p><b>3</b> Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only <b>one</b> of the following seven boxes.</p> <p> <input type="checkbox"/> Individual/sole proprietor or single-member LLC                    <input type="checkbox"/> C Corporation                    <input type="checkbox"/> S Corporation                    <input type="checkbox"/> Partnership                    <input type="checkbox"/> Trust/estate             </p> <p><b>4</b> Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):</p> <p>Exempt payee code (if any) _____</p> <p>Exemption from FATCA reporting code (if any) _____</p> <p><small>(Applies to accounts maintained outside the U.S.)</small></p>										
<p><b>5</b> Address (number, street, and apt. or suite no.) See instructions.</p>										
<p><b>6</b> City, state, and ZIP code</p>		<p>Requester's name and address (optional)</p>								
<p><b>7</b> List account number(s) here (optional)</p>										
<p><b>Part I Taxpayer Identification Number (TIN)</b></p> <p>Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see <i>How to get a TIN</i>, later.</p> <p><b>Note:</b> If the account is in more than one name, see the instructions for line 1. Also see <i>What Name and Number To Give the Requester</i> for guidelines on whose number to enter.</p>										
<p><b>A</b> Social security number</p> <table border="1" style="width: 100%;"> <tr> <td style="width: 25%;"> </td> <td style="width: 25%;"> </td> <td style="width: 25%;"> </td> <td style="width: 25%;"> </td> </tr> </table>						<p><b>B</b> Employer identification number</p> <table border="1" style="width: 100%;"> <tr> <td style="width: 25%;"> </td> <td style="width: 25%;"> </td> <td style="width: 25%;"> </td> <td style="width: 25%;"> </td> </tr> </table>				
<p><b>Part II Certification</b></p> <p>Under penalties of perjury, I certify that:</p> <p>1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and</p> <p>2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and</p> <p>3. I am a U.S. citizen or other U.S. person (defined below); and</p> <p>4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.</p> <p><b>Certification instructions.</b> You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions for Part II, later.</p>										
<p><b>Sign Here</b></p>	<p>Signature of U.S. person ▶ <b>C</b></p>	<p>Date ▶ <b>D</b></p>								
<p><b>General Instructions</b></p> <p>Section references are to the Internal Revenue Code unless otherwise noted.</p> <p><b>Future developments.</b> For the latest information about developments related to Form W-9 and its instructions, such as legislation enacted after they were published, go to <a href="http://www.irs.gov/FormW9">www.irs.gov/FormW9</a>.</p> <p><b>Purpose of Form</b></p> <p>An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following:</p> <ul style="list-style-type: none"> <li>Form 1099-INT (interest earned or paid)</li> <li>Form 1099-DIV (dividends, including those from stocks or mutual funds)</li> <li>Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)</li> <li>Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)</li> <li>Form 1099-S (proceeds from real estate transactions)</li> <li>Form 1099-K (merchant card and third party network transactions)</li> <li>Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)</li> <li>Form 1099-C (canceled debt)</li> <li>Form 1099-A (acquisition or abandonment of secured property)</li> </ul> <p>Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.</p> <p><i>If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding, later.</i></p>										

For joint accounts, each account holder must complete a separate form. The form W-9 must be completed correctly without any alterations. If you make a mistake, please start again with a new form. Do not use liquid paper or any other correctional tool.

- Line 1** Insert the full name as shown on your income tax return form
- Line 2** Insert your business name/disregarded entity name **only** if the answer is different to your answer for Line 1
- Line 3** Only check **one** box in this section. If you are a limited liability company, check the LLC box and enter your tax classification as C (C Corporation), S (S Corporation) or P (Partnership)
- Line 4** (if applicable) Write down the 'Exempt Payee Code' and 'Exemption from FATCA reporting code' in the fields indicated  
**Note:** if you have any queries regarding these codes, please seek independent tax advice
- Line 5** Enter your full street address
- Line 6** Enter your city/town, country/jurisdiction and/or state, post code/ZIP
- Line 7** We recommend that you **do not** list any account numbers as you may have to provide forms for accounts you have not included

## Part I Taxpayer Identification Number (TIN)

**A** For individuals or sole proprietors: enter your social security number (SSN)

**B** For entities (ie businesses) enter your employer identification number (EIN)

- Note:** A valid US Tax identification number will always
- ♦ include numbers (no letters or other characters)
  - ♦ be made up of nine digits and never
  - ♦ consist of nine of the same number
  - ♦ be made up of nine sequential numbers either ascending or descending

If you have applied for a TIN or are about to, please enter **Applied** in either the SSN or TIN boxes. You will have 60 days to provide us with the TIN

## Part II Certification

**C and D** Please sign and date the form. If you are signing on behalf of an entity, please be sure you are authorised to do so.

**Note:** This form can only be signed under a Power of Attorney (POA) if the POA specifically states that the agent/attorney is able to sign on tax matters or tax forms and a copy is provided or held, alternatively if an IRS Form 2848 is provided

**Hang Seng is unable to provide tax advice. For tax advice please refer to an independent tax advisor.**