



客戶開戶身分辨識

公民身分國家	第二公民身分國家	出生地
客戶是否具美國納稅義務人身分？		
美國公民	<input type="checkbox"/> 是	<input type="checkbox"/> 否
通過居留測試之美國稅務居民【註1】	<input type="checkbox"/> 是	<input type="checkbox"/> 否
持有美國永久居民身分證(綠卡)	<input type="checkbox"/> 是	<input type="checkbox"/> 否
美國註冊之公司	<input type="checkbox"/> 是	<input type="checkbox"/> 否
【註1】指在美國工作/居住/求學，本年度在美國境內停留天數 ≥ 31 天，且(本年在美國境內停留天數*1+去年在美國境內停留天數*1/3+前年在美國境內停留天數*1/6) ≥ 183 天者，即為美國稅務居民。		

- ▶ 客戶向凱基證券亞洲有限公司*及/或凱基期貨(香港)有限公司*(以下簡稱「凱基」)提供的資料包括基本個人資料(包括姓名、公民身分所屬國家、出生地、出生日期、身分證明文件號碼、是否具美國納稅義務人身分、永久地址、電話及郵寄地址等個人資料) 或公司基本資料(包括公司名稱、商業登記號碼、公司地址、及公司註冊地是否在美國等)。如有任何歧異，應以本表格所提供的資料為準。
- ▶ 客戶確認於本表格所提供的資料正確無誤，並同意由凱基自動更新客戶之前向凱基提交之任何相關資料。
- ▶ 倘客戶所提供的資料內容不正確、不完整或非最新資訊、或之前所提供的任何資訊有所變更，致使凱基無法據以評估是否得以遵循以符合適用規範者，客戶同意凱基視客戶為不合作帳戶、並據以採取相應之後續行動，以確保凱基符合應遵循事項。前述適用規範包括但不限於：美國稅法【包括海外帳戶稅收合規法案(FATCA)】、外國金融機構協議(FFI Agreement)、或其他司法管轄權所在地所為遵循 FATCA 所簽訂或頒布之協議或規範。
- ▶ 客戶承諾所提供的資料如有變更，會於三十日內主動通知凱基。

客戶授權簽署：

_____ (公司請加蓋章)

客戶名稱**：

商業登記號碼(如適用)：

* 請刪去不適用者

**所有聯名客戶必須授權簽署



Identification of Customer Account

Country of Citizenship	2 nd Country of Citizenship	Place of Birth
<p>Is Client a U.S. taxpayer?</p> <p>U.S. citizen <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Qualified U.S. resident (Note 1) <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Holds permanent U.S. Residency (Green Card) <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>A company registered in the U.S. <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p><small>(Note 1) Refers to working, living or studying in the U.S., staying at least 31 days during the current year, and 183 days during the 3-year period that includes the current year and the 2 years immediately before that, counting: all the days you were present in the current year, and 1/3 of the days you were present in the first year before the current year, and 1/6 of the days you were present in the second, to be considered a U.S. resident for tax purposes.</small></p>		

- ▶ The information provided by the Client to KGI Asia Limited* and/or KGI Futures (Hong Kong) Limited* (hereinafter referred to as “KGI”) includes basic personal data (including full name, country of citizenship, place of birth, date of birth, identity document number, any U.S. taxpayer status, permanent address, phone number and mailing address etc.) or legal entity’s basic information (including business name, business registration number, business address, and whether the business is incorporated in the U.S.). The information provided in this form shall prevail in the event of any discrepancy.
- ▶ The Client confirms the information provided in this form is true and accurate and agrees that KGI may automatically update any related information previously submitted to KGI by the Client.
- ▶ If the Client provides incorrect, incomplete or outdated information, or any information previously provided has been changed, resulting in KGI’s inability to assess whether such information complies with the applicable regulations, the Client agrees that KGI may treat the Client as a recalcitrant account and follow up with corresponding measures to ensure KGI meets the compliance requirements. The applicable regulations include, but are not limited to: the U.S. tax code and legislation (including Foreign Account Tax Compliance Act, FATCA), foreign financial institution agreement (FFI Agreement), or any agreements or codes entered into or enacted in any other jurisdictions to comply with FATCA.
- ▶ Should the information provided by the Client be subject to any change, the Client agrees to inform KGI within 30 days.

Client Authorized Signature(s) :

_____ (include seal for legal entity)

Client Name(s)** :

Business Reg. No. (if applicable) :

* Delete if inapplicable

** All account holders of joint account must sign jointly



客戶開戶身分辨識補充文件【個人/聯名客戶適用】

請選擇身分證明文件類別

香港永久性居民身分證 香港特別行政區護照

香港居留權證明書

外國護照，請填寫國家_____

身分證明文件編號：_____

負有納稅義務之國家

	國家	稅籍編號
1		
2		
3		

出生地：國家_____；城市_____

客戶謹此聲明客戶已盡力檢查本表格所提供之資料，並相信該等資料正確無誤且完整。如客戶有蓄意欺騙或提供不實資料，概由客戶負擔相關法律責任。

在符合香港法律及法規的前提下，客戶同意凱基證券亞洲有限公司*及/或凱基期貨(香港)有限公司*(以下簡稱「凱基」)得將因業務往來而取得之客戶資料(如姓名、地址、美國稅籍編號等)及與凱基往來的客戶帳戶相關資料(如帳戶號碼、帳戶餘額/價值等)，據以向香港或海外監管機構或稅務機構進行申報。

因應香港或海外監管機構或稅務機構之規範要求，客戶同意凱基可依相關法律規定，在適用情況下執行扣繳義務。

客戶承諾所提供的資料如有變更，會於三十日內主動通知凱基。

客戶授權簽署：

_____ (公司請加蓋章)

客戶名稱**：

商業登記號碼(如適用)：

* 請刪去不適用者

**所有聯名客戶必須授權簽署



Identification of Customer Account Supplement (Individual / Joint Account)

Please check the type of identity document

Hong Kong Permanent Identity Card Hong Kong SAR passport
 Hong Kong Certificate of Entitlement
 Foreign passport, please state country _____

Identity document number:

Taxes liable countries

	Country	Tax Identification Number
1		
2		
3		

Place of Birth: Country _____; City _____

The Client certifies that the Client has checked all information provided on this form, and believes all such information is true, correct and complete. If the Client intentionally deceives or provides incorrect information, the Client shall bear all responsibilities under the law.

Under the premise that it accords with the laws and regulations of Hong Kong, the Client agrees that KGI Asia Limited* and/or KGI Futures (Hong Kong) Limited* (hereinafter referred to as "KGI") may disclose information relating to the Client obtained by KGI during the course of business (e.g. full name, address, U.S. tax identification number, etc.) and information relating to the Client's account with KGI (e.g. account number, account balance/value, etc.) to Hong Kong or foreign regulatory authorities or tax authorities for reporting purposes.

Under the regulations of Hong Kong or foreign regulatory authorities or tax authorities, the Client agrees that KGI may, according to the relevant laws, execute withholding as applicable.

Should the information provided by the Client be subject to any change, the Client agrees to inform KGI within 30 days.

Client Authorized Signature(s) :

_____ (include seal for legal entity)

Client Name(s)** :

Business Reg. No. (if applicable) :

* Delete if inapplicable

** All account holders of joint account must sign jointly