



**Foreign Account Tax Compliance Act**

**Individual Self-Certification**

***Notice to Account Holders with a KVB Australian or New Zealand Financial Institutions***

*We are obliged under the Foreign Account Tax Compliance Act Tax (“FATCA”) of the United States Internal Revenue Code (the Code”), the Treasury Regulations thereunder and the intergovernmental agreements (“IGAs”) that the governments of Australia and New Zealand have entered into with the United States, and any associated guidance that the relevant tax authorities have issued pursuant to their IGAs, to request from each Account Holder of an account identified as a U.S. Account the Account Holder’s U.S. taxpayer identification number (“TIN”). Furthermore, pursuant to the IGAs with Australia and New Zealand, we must report certain information on applicable Account Holders to the tax authorities of the governments of Australia and New Zealand, which will in turn report such information to the United States Internal Revenue Service (“IRS”).*

***Notice and Request for Consent to Account Holders with a KVB Hong Kong Financial Institution***

*We are obliged under FATCA, the Treasury Regulations thereunder and the intergovernmental agreement (“IGA”) that Hong Kong agreed on May 9, 2014 to enter into with the United States to request from each Account Holder of an account identified as a U.S. Account the Account Holder’s U.S. taxpayer identification number (“TIN”) and consent to report such information to the United States Internal Revenue Service (“IRS”). For this purpose, a U.S. Account includes any Account held by an individual that is a U.S. person. The purpose of this self-certification form is confirm the status of your account, and if status as a U.S. Account is confirmed, to request your U.S. TIN and your consent to report such information to the IRS. **If your Account is identified as a U.S. Account and was maintained as of June 30, 2014, we are further obligated to inform you that, if you do not provide your U.S. TIN and consent: (1) aggregate information about your Account shall be reported to the IRS; (2) information about your account may give rise to a group request by the IRS for more specific information about your account; (3) in such case, the account information shall be transmitted to the Hong Kong tax administration; and (4) the Hong Kong tax administration may exchange this information with the IRS pursuant to the IGA.***

***If your Account was opened on or after July 1, 2014 and is a U.S. Account, we are obligated to inform you that your consent to report your U.S. TIN to the IRS is a condition to your opening the Account with us. If you do not wish KVB to use or disclose your personal data for any of the above purposes, you may withdraw your consent by not completing this self certification form, however this will mean that your application to open an Account with KVB will be declined.***

***Instructions for completion for all Account Holders***

*Please complete the sections below as directed and provide any additional information that is requested. Terms referenced in this Form shall have the same meaning as applicable under FATCA, the Code, the Treasury Regulations and the applicable IGA and guidance issued thereunder. If any of the information below about your tax residence or FATCA classification changes in the future, please ensure you advise us of these changes promptly. If you have any questions about how to complete this form, please contact your tax advisor.*

*Please note that where there are joint or multiple account holders each account holder is required to complete a separate Self-Certification form.*



**Foreign Account Tax Compliance Act**

**Individual Self-Certification**

**Section 1: Account Holder Identification**

**Name of KVB Financial Institution**

**KVB Account Number**

\_\_\_\_\_

\_\_\_\_\_

**KVB Account Name**

\_\_\_\_\_

Account Holder Name

Date of Birth (dd/mm/yyyy)

Country of Birth

**Permanent Residence Address:**

Number & Street

City/Town

State/Province/County

Post Code

Country

**Mailing address (if different from above):**

Number & Street

City/Town

State/Province/County

Post Code

Country

**Section 2: Self-Certification**

Please check either (a) **or** (b) **or** (c) and complete as appropriate.

- (a)  I confirm that **I am** a U.S. citizen and/or resident in the U.S. for tax purposes (green card holder or resident under the substantial presence test) and my U.S. federal taxpayer identifying number (U.S. TIN) is: \_\_\_\_\_
- (b)  I confirm that I was born in the U.S. (or a U.S. territory) but am no longer a U.S. citizen as I have voluntarily surrendered my citizenship. Please provide the following supporting documents:



- A copy of a non-U.S. passport or other government-issued identification evidencing your citizenship or nationality in a country other than the United States; *and*
- A copy of your Certificate of Loss of Nationality of the United States or a reasonable explanation of the reason why you do not have such a certificate or why you did not obtain U.S. citizenship at birth:

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(c)  I confirm that **I am not** a U.S. citizen or resident in the U.S. for tax purposes. Please provide the following supporting documents:

- A copy of a non-U.S. passport or other government-issued identification evidencing your citizenship or nationality in a country other than the United States.

**Section 3: Declaration, Undertakings and Consent**

I declare that the information provided in this form is, to the best of my knowledge and belief, accurate and complete. I undertake to advise you promptly and provide an updated Self-Certification form within 30 days where any change in circumstances occurs which causes any of the information contained in this form to be inaccurate or incomplete. Where required by FATCA and/or other applicable law, I/we hereby consent to your sharing this information with the IRS and/or other relevant tax authorities.

Signature: \_\_\_\_\_

Print Name: \_\_\_\_\_

Date: (dd/mm/yyyy): \_\_\_\_\_

*\*Note: This self certification letter has been translated into Chinese for your easy reference. If there is any inconsistency or ambiguity between the English version and the Chinese version, the English version shall prevail.*



《海外账户税收合规法案》

个人身份声明书

**KVB 昆仑国际澳大利亚或新西兰金融机构之账户持有人须知**

我们有责任遵守《美国国内税收法》（“法例”）之《海外账户税收合规法案》（“FATCA”）及据其制定的财政部法规，澳大利亚与新西兰政府已同美国缔结的政府间协议（“IGAs”）及有关税务机关依据各自缔结的IGAs所制定的任何相关指南，要求每个经鉴定为“美国账户”之账户持有人提供其美国纳税人识别号（“TIN”）。此外，依据澳大利亚与新西兰政府缔结的IGAs，我们必须向澳大利亚与新西兰政府的税务机关报告相关账户持有人的特定信息，以便其向美国国家税务局（“IRS”）就该等信息进行报告。

**KVB 昆仑国际香港金融机构之账户持有人须知以及征求同意书**

我们有责任遵守 FATCA 和据其制定的财政部法规，以及香港政府于 2014 年 5 月 9 日同意与美国缔结的政府间协议（“IGA”），要求每个经鉴定为“美国账户”的账户持有人提供其美国纳税人识别号（“TIN”）并同意就该等信息向美国国家税务局（“IRS”）进行报告。为此，由任何美国个人所持有的账户将被视为“美国账户”。本身份声明书旨在确认您的账户类别，一经认定为“美国账户”，敬希提供您的 TIN 号码并同意我们将该等信息报告给 IRS。如果您的账户被认定为“美国账户”并于 2014 年 6 月 30 日已经存在，若您未提供您的美国 TIN 号码及给予前述同意，则我们有责任进一步告知您如下事宜：(1) 您的账户汇总信息将被报告给 IRS；(2) 您的账户信息可能会引致 IRS 进一步要求您提供有关账户的更具体信息；(3) 在这种情况下，账户信息将被转呈香港税务管理部门；以及 (4) 香港税务管理部门可能依据 IGA 同美国 IRS 交换该等信息。如果您的账户于 2014 年 7 月 1 日或以后才开立且被认定为“美国账户”，则我们有责任告知您，同意就您的美国 TIN 号码向 IRS 进行报告是您在 KVB 昆仑国际开设账户的一项先决条件。如果您不希望 KVB 昆仑國際使用或披露您的個人資料用於上述任何情況，您可以通過不填寫本身份聲明書來撤回您的准許，但是這將意味著您于 KVB 昆仑國際的賬戶申請將會被拒絕。

**所有账户持有人填表指南**

请依照指示填写下列部分并提供所需的任何其他信息。

本表格所引用词汇将与 FATCA、法例、财政部法规以及相关 IGA 和据其颁布的指南中（如适用）所涉及词汇具有相同含义。

如果下述有关您的籍籍或 FATCA 分类的信息有任何变更，请确保尽快告知我们。如果您对如何填写此表格有任何疑问，请与您的税务顾问联络。

请注意，若账户为多人联名持有，则每位账户持有人均需填写一份单独的声明书。



《海外账户税收合规法案》

个人身份声明书

第一项：账户持有人身份识别

KVB 昆仑国际金融机构名称

KVB 昆仑国际账户号码

\_\_\_\_\_

\_\_\_\_\_

KVB 昆仑国际账户名称

\_\_\_\_\_

账户持有人姓名

出生日期 (年/月/日)

出生国家

永久住址：

街道 & 门牌号

城市

省份/州

邮政编码

国家

通信地址 (如与上述注册地址不同)：

街道 & 门牌号

城市

省份/州

邮政编码

国家

第二项：个人声明

请选择 (a) 或 (b) 或 (c) 其中一项并适当补充完善。

- (a)  本人确认本人是一名美国公民和/或为税务目的于美国居住（绿卡持有人或以美国为惯常居住地的居民），本人的美国联邦纳税人识别号（U.S. TIN）如下： \_\_\_\_\_



(b)  本人确认本人出生于美国（或美国领土），但本人已自愿放弃美国国籍，不再是美国公民。请提供下列证明文件：

- 非美国护照或其他政府部门颁发的身份证明文件副本，以示您的国籍或公民身份为除美国之外的其他国家；以及
- 丧失美国国籍证明书副本，若无该证明书或未予出生时获得美国公民身份，需对此做出合理解释：

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(c)  本人确认本人**不是**美国公民或为税务目的的美国居民。请提供下列证明文件：

- 非美国护照或其他政府部门颁发的身份证明文件副本，以示您的国籍或公民身份为除美国之外的其他国家。

### 第三项：声明，承诺及同意

本人特此声明，本声明书所载之信息资料，尽本人所知及所信，是为完整及准确。本人承诺，如有任何情势变更以致本声明书的任何信息资料不准确或不完整，本人/吾等将会及时通知你并于该等情形发生的 30 天之内提供一份更新的声明书。如 FATCA 和/或相关法律所需，本人特此同意将本声明书所载信息转呈 IRS 和/或其他有关税务机关。

签字： \_\_\_\_\_

姓名： \_\_\_\_\_

日期：(年/月/日): \_\_\_\_\_

\*注: 此中文版信函为英文版本的译本，如中、英文两个版本有任何抵触或不相符之处，应以英文版本为准。