



嘉信理財

Letter of Explanation— Individual Account Holder 闡釋函 — 個人帳戶

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(U.S. Support)

Note: Each account holder with (A) a U.S. address or only a current U.S. phone number; (B) an address outside the country of permanent residence; (C) Missing Foreign Tax Identification Number (FTIN); or (D) a U.S. place of birth must complete, sign, and date a separate Letter of Explanation.

請注意: 每位擁有 (A) 美國地址或僅持現有美國電話號碼; (B) 在永久居留國以外使用的地址; (C) 缺失外國納稅人識別號碼; 或 (D) 出生地在美國的帳戶持有人必須各自填妥及簽署一份闡釋函, 並註明日期。

Please complete all sections (1-4).
請填寫所有部份 (1-4)。

To ensure the accuracy of your information, please complete all sections of this form in English.
為確保閣下的資料得以正確輸入電腦系統, 請以英文填寫此表格。

1

Account Holder Information 帳戶持有人資料

Name of Account Holder (Please print.) 帳戶持有人的姓名

Account Number(s) 帳戶號碼

Name(s) (Please print names of all account holders associated with these accounts.)
姓名 (請填寫所有與這些帳戶有關聯的帳戶持有人的姓名。)

2

Purpose of Letter 本函用途

EACH account holder must include the following required documentation: 每位帳戶持有人必須提供以下指定文件:

- A reasonable explanation supporting the claim of foreign status in Section 3.
請於第3節提供證實外籍身份的合理解釋。
- Documentary evidence that does not contain a U.S. address, such as a foreign passport or government-issued ID.
不帶美國地址的文件證明, 例如外國護照或政府簽發的身份證明副本。

Check all that apply: 請選擇所有適用事項:

A. The use of a U.S. address or a current U.S. phone number 使用美國地址或現有美國電話號碼

This form should be used by non-U.S. residents to explain why their Charles Schwab Hong Kong accounts have (1) a U.S. address used as their mailing, legal, business, or alternate address; (2) a U.S. mailing address used to receive correspondence from Schwab Hong Kong (for example, account statements and trade confirmations); (3) a U.S. mailing, legal, alternate, or business address used in any other context with their account; or (4) only a current U.S. phone number. A copy of a valid foreign passport or government ID is required.

本函應由非美國居民使用, 以解釋為何其香港嘉信理財帳戶擁有 (1) 作為郵寄、合法、商業或替代地址的美國地址; (2) 用以接收香港嘉信理財所發信件(例如, 帳戶報表及交易確認通知)的美國郵寄地址; (3) 在與帳戶有關的任何其他方面使用的美國郵寄、合法、商業或替代地址; 或 (4) 僅持現有美國電話號碼。請附上有效的外國護照或政府身份證明之副本。

For Charles Schwab Use Only:

Account Number(s) _____

Branch Office _____



2

Purpose of Letter (Continued) 本函用途 (續上頁)

B. The use of an address outside the country of permanent residence 在永久居留國以外使用的地址

This should be used by non-U.S. residents claiming treaty benefits in one foreign country, but with a mailing address or permanent residence address in a different foreign country. For this purpose, a foreign mailing address is any mailing address outside the account holder's resident country used for correspondence from Schwab Hong Kong (for example, account statements, trade confirmations, etc.). A copy of a valid foreign passport or government ID is required.

本函應由申請一外國國家的條約優惠、而其郵寄地址或永久居留地址卻屬另一外國國家。就此用途，外國郵寄地址為任何帳戶持有人居住國家以外、用作接收香港嘉信理財所發信件的郵寄地址(例如，帳戶報表及交易確認通知等)。請附上有效的外國護照或政府簽發的身份證明副本。

C. Missing Foreign Tax Identification Number(FTIN) 缺失外國納稅人識別號碼

This form should be used by foreign persons (i.e. non-U.S. citizens and/or non-U.S. residents) to explain why they did not provide a FTIN on the W-8 form. The IRS requires a valid Foreign Tax Identification Number (FTIN) or if you do not have an FTIN, a letter explaining why an FTIN was not provided on the W-8 form.

本表格適用於非美國身份人士(非美國公民或非美國居民)用來闡釋沒有在W-8表格中提供外國納稅人識別號碼(FTIN)的原因。美國國稅局(IRS)要求帳戶持有人提供有效外國納稅人識別號碼(FTIN)，如果沒有FTIN，必須提交一封闡釋函說明無法提供FTIN的原因。

D. U.S. place of birth 美國出生地點

In order to satisfy the IRS W-8 documentary requirement, please provide a copy of the account holder's Certificate of Loss of Nationality of the United States, or an explanation of the account holder's renunciation of U.S. citizenship, or the reason the account holder did not obtain U.S. citizenship at birth, and a copy of a valid foreign passport or government ID.

為符合美國國稅局(IRS) W-8的證件要求，請提供帳戶持有人的「美國國籍喪失證明」(Certificate of Loss of Nationality of the United States)之副本，或帳戶持有人放棄美國公民身份的解釋，或帳戶持有人沒有於出生時獲取美國公民身份的原因，以及有效的外國護照或政府身份證明之副本。

3

Explanation 闡釋

Please explain and provide the following, if applicable:

請闡釋或提供以下事項，如適用：

A. Why is the above-mentioned address(es) or phone number(s) associated with the account holder, and what is the purpose of this U.S. address(es) or the current U.S. phone number(s)?

為何上述地址或電話號碼與帳戶持有人有關聯，以及(這些)美國地址或現有美國電話號碼為何用途？

B. To whom does the address(es) or phone number(s) belong?

地址或電話號碼屬誰？

C. How does the account holder obtain mail or messages from the above-mentioned address(es) or phone(s)?

帳戶持有人如何從上述地址或電話號碼獲取郵件或訊息？

D. How often does the account holder collect mail or messages from the above-mentioned address(es) or phone(s)?

帳戶持有人多久會從上述地址或電話號碼獲取郵件或訊息？



3

Explanation (Continued) 闡釋 (續上頁)

E. Why is the mailing address or permanent residence address in a different foreign country from where the account holder is claiming treaty benefits? To whom does the address belong?
 為何郵寄地址或永久居留地址與帳戶持有人所申請條約優惠的國家不同? 該地址屬於何人?

F. Please explain why a Foreign Tax Identification Number (FTIN) was not provided on the W-8 form. If your country does not provide its residents with a Tax Identification Number, please write “not legally required” below. If your country provides its residents with a Tax Identification Number you may provide it here as an addendum to your W8.
 請說明為什麼沒有在W-8表格中提供外國納稅人識別號碼(FTIN)。如果您所居住的國家政府並不簽發納稅人識別號碼，請在以下填寫“無法律要求。”如果您所居住的國家簽發納稅人識別號碼，請在此提供該號碼作為您的W-8表格的附加信息。

G. What were the circumstances for renunciation of U.S. citizenship, or what was the reason that U.S. citizenship was not obtained at birth?
 在何種情況下放棄了美國公民身份，或是何原因未能在出生時獲得美國公民身份?

4

Signature 簽署及日期

Note: Each account holder must complete, sign, and date a separate Letter of Explanation.
 請注意: 每位帳戶持有人必須各自填妥及簽署一份闡釋函，並註明日期。

If you are signing as an agent on behalf of an individual account holder, complete the information on the Role or Capacity line provided below and provide a copy of the Power of Attorney authorizing you to act as an agent if it has not been previously provided.

若閣下代表個人帳戶持有人簽署，請在下方角色或資格身份一行填妥資料並提供一份授權委託書之副本，以確認閣下獲授權作為代理人，若之前未提供。

SIGN HERE

請在此簽署

X

Please sign and date using blue or black ink.

請以藍色或黑色筆墨簽署並天上日期

Account Holder or Authorized Individual Signature

帳戶持有人或獲授權代表簽署

Date (mm/dd/yyyy)

日期

Name (Please print.)

請以英文正楷填寫姓名

Role or Capacity (Please print.)

角色或資格身份

Any interpretation of the language in this document is governed by the English version.
 本文件的任何詮釋均以英文版為準。

Charles Schwab, Hong Kong, Ltd. is registered with the Securities & Futures Commission (“SFC”) to carry out the regulated activities in dealing in securities and advising on securities under registration CE number ADV256.

嘉信理財香港有限公司已在香港證券及期貨事務監察委員會(「證監會」)註冊進行證券交易並就證券提供意見的受規管活動，其中央編號為 ADV256。

