

臺灣中小企業銀行香港分行（於臺灣註冊成立之有限責任公司）

TAIWAN BUSINESS BANK, LTD. HONG KONG BRANCH (Incorporated in Taiwan with limited liability)

遵循 FATCA 法案蒐集、處理及利用個人資料告知事項（自然人客戶）

Taiwan Business Bank, Ltd. Hong Kong Branch

Notice for the Collection, Processing and Use of Personal Information for FATCA Compliance (Individual Client)

緣臺灣中小企業銀行香港分行（下簡稱「本公司」）因參與遵循美國海外帳戶稅收遵從法案（Foreign Account Tax Compliance Act，下簡稱「FATCA 法案」），與美國財政部國稅局（下簡稱「美國國稅局」）簽訂外國金融機構協議（FFI Agreement，下簡稱「協議」），而負辨識美國帳戶之義務，現因 台端於本公司開立帳戶及進行交易，為符合香港「個人資料(私隱)條例」下個人資料之合理使用，本公司茲請求 台端協力遵循 FATCA 法案及協議之相關規定，特告知下列事項：

In compliance with the US Foreign Account Tax Compliance Act (hereinafter referred to as “FATCA”), Taiwan Business Bank, Ltd. Hong Kong Branch (hereinafter referred to as the “Company”) has entered into Foreign Financial Institution agreement (FFI agreement, hereinafter referred to as the “Agreement”) with the United States Internal Revenue Service (IRS) and hence has the obligation to identify US accounts. In order to comply with the proper use of personal information in accordance with the 「Personal Data (Privacy) Ordinance」 of Hong Kong for accounts you establish and transactions you proceed with the Company, the Company hereby requests your cooperation with the compliance of FATCA and the relevant provisions under the Agreement, with notice as follows:

一、個人資料蒐集、處理及利用之目的及類別

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香港權責主管機關，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、美國稅籍編號、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 FATCA 法案及協議之需要，由本公司蒐集、處理及利用。

1. Purpose and Type of Collection, Processing and Use of Personal Information

In order to identify the account holders of the Company and to report accounts held by US persons to the IRS and the competent authority in Hong Kong, 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 balance, the gross receipts and statement of the account shall be collected, processed and used by the Company for the purpose of FATCA compliance, as required by the Agreement.

二、個人資料利用之期間及方式

為遵循 FATCA 法案及協議之必要年限內，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。

2. The Period and Method of Using Personal information

In compliance with the period required by FATCA and the Agreement, 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

為履行 FATCA 法案及協議下之相關義務， 台端個人資料將於香港及美國地區受利用。

3. Geographical Limitation for Use of Personal Information

In order to fulfill the obligations under FATCA and the Agreement, your personal information will be used in both Hong Kong and the United States.

四、個人資料利用之對象

為履行 FATCA 法案及協議下之相關義務， 台端個人資料將由本公司、香港權責主管機關及美國國稅局所利用。

4. Parties Using the Personal Information

In order to fulfill the obligations under FATCA and the Agreement, your personal information will be used by the Company, the competent authority in Hong Kong and the IRS.

五、個人資料之權利行使及其方式

台端就本公司所蒐集、處理及利用之個人資料，得隨時以書面或口頭方式向本公司請求查詢、閱覽、製給複製本、補充或更正、停止蒐集處理及利用或刪除。

5. Exercise of the Rights Regarding Personal Information

With regard to the personal information collected, processed and used by the Company, you may, in writing or orally, 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.

六、不提供對其權益之影響

台端若拒絕提供本公司為遵循 FATCA 法案及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、結算或依據 FATCA 法案對於交易金額中屬於應扣繳款項及外國轉付款項扣繳百分之三十之金額。

6. The Effect of Refusal to Provide Personal Information

In the event that you refuse to provide the personal information as required for the compliance of FATCA and the Agreement, or withdraw or revoke your consent thereof, the Company will be unable to provide any further services to you and shall terminate all transactions and services of your accounts with the Company, close, liquidate and/or withhold 30 percent of the withholdable payment and foreign passthru payment in accordance with FATCA.

本告知事項所稱美國帳戶，係指由一個或多個特定美國人或美國（人）持有之外國法人持有之任何金融帳戶。

The U.S. accounts referred herein shall mean any financial account held by one or several specified United States persons, or by foreign entities owned by the United States and/or United States person.

台端已充分詳讀前揭告知事項，瞭解此一告知事項符合香港「個人資料(私隱)條例」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 「Personal Data (Privacy) Ordinance」 of Hong Kong and the relevant laws and regulations.

臺灣中小企業銀行香港分行（於臺灣註冊成立之有限責任公司）

TAIWAN BUSINESS BANK, LTD. HONG KONG BRANCH (Incorporated in Taiwan with limited liability)

遵循 FATCA 法案蒐集、處理及利用個人資料同意書（自然人客戶）

Taiwan Business Bank, Ltd. Hong Kong Branch

**Letter of Consent for the Collection, Processing and Use of Personal Information
for FATCA Compliance (Individual Client)**

緣本人於 貴公司開立帳戶並進行交易，為符合香港「個人資料(私隱)條例」下個人資料之合理使用，並配合 貴公司遵循美國海外帳戶稅收遵從法案（Foreign Account Tax Compliance Act，下簡稱「FATCA 法案」）及外國金融機構協議（FFI Agreement，下簡稱「協議」）之相關規定，本人茲聲明並同意下列事項：

Whereas I (the “Customer”) intend to establish a banking account and to proceed transactions with Taiwan Business Bank, Ltd. Hong Kong Branch. (the “Company”); and whereas it is regulated to comply with the proper use of personal information stipulated by the「Personal Data (Privacy) Ordinance」of Hong Kong, and it is necessary to cooperate with the Company to comply with the Foreign Account Tax Compliance Act (FATCA), the FFI Agreement (the “Agreement”) and the related regulations. In witness thereof, the Customer hereby declares and agrees to the following:

一、本人確認已收受並充分瞭解 貴公司所提供之遵循 FATCA 法案蒐集、處理及利用個人資料告知事項（下簡稱「告知事項」）之全部內容，並同意 貴公司依據告知事項所載內容，對本人相關個人資料為蒐集、處理及利用。

The Customer hereby confirms that the Customer has duly received and understood all the content of the Notice for the Collection, Processing and Use of Personal Information for FATCA Compliance (the “Notice”) as provided by the Company, and the Customer agrees that the Company may collect, process and use the personal information of the Customer in accordance with the Notice.

二、如本人拒絕提供 貴公司為遵循 FATCA 法案及協議所需之個人資料、或嗣後撤回、撤銷同意，或請求 貴公司停止蒐集處理及利用，或刪除本人之個人資

料時，倘經 貴公司定三十日以上期間催告本人改善而未改善，則於改善期間屆滿後， 貴公司得就所有屬 FATCA 法案規範金融商品停止交易及服務、結清、結算或提前終止契約，並逕依各該契約約定或法律規定賡續辦理。

In the event that the Customer refuses to provide the personal information as required for the compliance of FATCA and the Agreement, or withdraws or revokes consent thereof, or requests the Company to discontinue the collection, processing and use of the personal information or to delete the personal information, and if the Customer fails to make corrections within the period prescribed by the Company, which shall be no less than 30 days, the Customer agrees that upon the expiration of the prescribed period, the Company may terminate all transactions and cease to provide any further services to the Customer that are related to financial products that are under the scope of FATCA, and may close, liquidate the Customer's accounts and/ or to terminate the contract(s) by and between the Company and the Customer, and to deal with the following matters in accordance with the contract(s) and/or the related laws.

三、本人如依 FATCA 法案規定被視為不合作帳戶持有人，致交易金額中屬於應扣繳款項及外國轉付款項須辦理扣繳之金額，及致 貴公司因此所增加之成本與費用， 貴公司皆得自應支付或返還予本人之金額中扣除。

In the event that the Customer has been identified as recalcitrant account holder in accordance with FATCA, the Company may deduct, from the fund to be paid or returned to the Customer, any withholdable payment or foreign passthru payment on transactions and for any increased costs and fees for the Company resulting therefrom.

前項不合作帳戶係指：

The recalcitrant account holder referred to in the preceding paragraph shall mean any of the following:

(一) 未向 貴公司提供足以判別帳戶是否為美國帳戶之資訊，或未向 貴公司提供申報所需之帳戶持有人名稱、地址及稅籍編號等；或

the Customer fails to provide the information required for determining whether the account is held by substantial U.S. owner, or fails to provide the information required for the reporting, such as the name, address, and US tax identifying number (TIN), to the Company;

2/4

(二) 未向 貴公司提供申報所需之本同意書；

the Customer fails to submit to the Company this Letter of Consent required for reporting;

(三) 有扣繳款或轉付款支付到帳戶的情形時；或開戶後 90 日未能完成必要的帳戶資訊取得與申報，以較早發生者為準；

on the earlier of the date that a withholdable payment or foreign passthru payment is made to the account or that the Customer fails to complete the necessary information of the account and the reporting in 90 days after the account is established;

(四) 帳戶所申報的名稱與納稅人身分證號 (Taxpayer Identification Number, 下簡稱「TIN」) 組合不符，經美國國稅局通知後的 30 個營業日內；或 for the period of 30 business days since the Company receives a notice from the IRS indicating that the name and TIN combination provided for the account holder is incorrect; or

(五) 帳戶所申報的名稱與 TIN 組合不符，經美國國稅局通知後的 30 個營業日後，仍未提供正確資訊者。

the Customer fails to provide correct information after 30 business days since the Company receives a notice from the IRS indicating that the name and TIN combination provided for the account holder is incorrect.

第一項所稱應扣繳款項(withholdable payment)，係指包括但不限於任何源自美國的固定或可得確定年度或定期所得、利潤和收入之款項(例如利息、股利、租金、薪資、工資、溢酬、年金、賠償金、報酬、津貼)，以及任何因銷售或處分任何產生美國來源收入的利息或股利的財產所獲得之交易總所得(gross proceeds)，包括但不限於股票、債券等。

The withholdable payment referred to in Paragraph 1 shall mean, without limitation, any fixed or determinable annual or periodic gains, profits and income (FDAP income) from sources within the United States (such as payment of interest, dividends, rents, salaries, wages, premiums, annuities, compensations, remunerations, emoluments) and any gross proceeds from the sale or other disposition of any property of a type which can produce interest or dividends from sources within the United States, including stocks and bonds.

第一項所稱外國轉付款項(foreign passthru payment)，係指任何應扣繳款項或可歸屬為應扣繳款項的其他支付款項。

The foreign passthru payment referred to in Paragraph 1 shall mean any withholdable payment or any other payment that is attributable to a withholdable payment.

第一項須辦理扣繳之金額比例通常為總金額之百分之三十，惟正確之扣繳金額仍以實際須辦理扣繳之金額為準。

The amount to be withheld in Paragraph 1 is usually 30 percent of the withholdable payment. However, the exact amount to be withheld shall be subject to the actual amount required to be withheld.

四、本同意書之約定除 FATCA 之相關法令以外，應以香港之法令為準據法。

In addition to FATCA and its related laws and regulations, the governing law of this Letter of Consent shall be the laws of Hong Kong.

此致

To

臺灣中小企業銀行香港分行

Taiwan Business Bank, Ltd. Hong Kong Branch

立同意書人：

簽章

(Name)

(Signature)

統一編號：

(Unified Business Number)

日 期： 年 月 日

Date:

臺灣中小企業銀行香港分行（於臺灣註冊成立之有限責任公司）

TAIWAN BUSINESS BANK, LTD. HONG KONG BRANCH (Incorporated in Taiwan with limited liability)

遵循 FATCA 法案蒐集、處理及利用個人資料告知事項（法人客戶股東）

Taiwan Business Bank, Ltd. Hong Kong Branch

**Notice for the Collection, Processing and Use of Personal Information for FATCA
Compliance (Shareholders of Institutional Client)**

緣臺灣中小企業銀行香港分行（下簡稱「本公司」）參與遵循美國海外帳戶稅收遵從法案（Foreign Account Tax Compliance Act，下簡稱「FATCA 法案」），與美國財政部國稅局（下簡稱「美國國稅局」）簽訂外國金融機構協議（FFI Agreement，下簡稱「協議」），而負辨識美國實質持有人（Substantial U.S. Owner）之義務，現因 台端直接或間接持有股份之法人，於本公司開立帳戶及進行交易，為符合香港「個人資料(私隱)條例」下個人資料之合理使用，本公司茲請求 台端協力遵循 FATCA 法案及協議之相關規定，特告知下列事項：

In compliance with the US Foreign Account Tax Compliance Act (hereinafter referred to as “FATCA”), Taiwan Business Bank, Ltd. Hong Kong Branch (hereinafter referred to as the “Company”) has entered into Foreign Financial Institution agreement (FFI agreement, hereinafter referred to as the “Agreement”) with the United States Internal Revenue Service (IRS) and hence has the obligation to identify substantial US owner. Given that you hold direct or indirect interest in the entity that has opened accounts and undertaken transactions at the Company, in order to comply with the proper use of personal information in accordance with the 「Personal Data (Privacy) Ordinance」 of Hong Kong, the Company hereby requests your cooperation with the compliance of FATCA and the relevant provisions under the Agreement, with notice as follows:

一、個人資料蒐集、處理及利用之目的及類別

為辨識本公司法人客戶之自然人股東是否為美國實質持有人，並於必要時申報該美國實質持有人資訊予美國國稅局及香港權責主管機關，經 台端提供之相關個人資料及法人客戶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、美國稅籍編號，以及法人客戶之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 FATCA 法案及協議之需要，由本公司蒐集、處理及利用。

1/3

1. Purpose and Type of Collection, Processing and Use of Personal Information

In order to identify the natural person shareholders, who are substantial US owner, of the

institutional client of the Company and to report information on such substantial US owners to the IRS and the competent authority in Hong Kong when necessary, 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 balance of the institutional client accounts, the gross receipts and statement of such accounts shall be collected, processed and used by the Company for the purpose of FATCA compliance, as required by the Agreement.

二、個人資料利用之期間及方式

為遵循 FATCA 法案及協議之必要年限內，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。

2. The Period and Method of Using Personal information

In compliance with the period required by FATCA and the Agreement, 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

為履行 FATCA 法案及協議下之相關義務， 台端個人資料將於香港及美國地區受利用。

3. Geographical Limitation for Use of Personal Information

In order to fulfill the obligations under FATCA and the Agreement, your personal information will be used in both Hong Kong and the United States.

四、個人資料利用之對象

為履行 FATCA 法案及協議下之相關義務， 台端個人資料將由本公司、香港權責主管機關及美國國稅局所利用。

4. Parties Using the Personal Information

In order to fulfill the obligations under FATCA and the Agreement, your personal information will be used by the Company, the competent authority in Hong Kong and the IRS.

五、個人資料之權利行使及其方式

台端就本公司所蒐集、處理及利用之個人資料，得隨時以書面或口頭方式向本公司請求查詢、閱覽、製給複製本、補充或更正、停止蒐集處理及利用或刪除。

5. Exercise of the Rights Regarding Personal Information

With regard to the personal information collected, processed and used by the Company, you may, in writing or orally, 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.

六、不提供對其權益之影響

台端若拒絕提供本公司為遵循 FATCA 法案及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 台端直接或間接持有股份之法人任何服務，並將對於該法人於本公司下所開立之帳戶進行停止交易及服務、結清、結算或依據 FATCA 法案對於交易金額中屬於應扣繳款項及外國轉付款項扣繳百分之三十之金額。

6. The Effect of Refusal to Provide Personal Information

In the event that you refuse to provide the personal information required for the compliance of FATCA and the Agreement, or withdraw or revoke your consent thereof, the Company will be unable to provide any further services to the institution in which you have direct and/or indirect interest and shall terminate all transactions and services of the institution's accounts with the Company, close, liquidate and/or withhold 30 percent of the withholdable payment or foreign passthru payment in accordance with FATCA.

本告知事項所稱美國實質持有人，係指特定美國人直接或間接持有公司超過 10% 之股權、特定美國人直接或間接持有合夥制公司超過 10% 之利潤或資本額，或在信託關係中，特定美國人為信託任何一部分之最終受益人，而該特定美國人直接或間接持有該信託利益超過 10% 之主體。而美國實質持有人持有股權或利益，應將與其相關之人士所持有之部分，如其配偶、祖父母、父母、兄弟姊妹及其配偶、子女及其配偶與孫子女及其配偶等，一併加入計算。台端已充分詳讀前揭告知事項，瞭解此一告知事項符合香港「個人資料(私隱)條例」及相關法規之要求。

The substantial US owner referred herein shall mean any specified US person that owns, directly or indirectly, more than 10 percent of the stock of a corporation, any specified U.S. person that owns, directly or indirectly, more than 10 percent of the profits interests or capital interests in a partnership, or in the case of a trust, any specified U.S. person treated as an owner of any portion of the trust and such specified U.S. person that holds, directly or indirectly, more than 10 percent of the beneficial interests of the trust. The ownership or beneficial interests of the substantial US owner must aggregate the portions that are owned or held by any person related to the said owner, such as the US owner's spouse, grandparents, parents, siblings and their spouses, children and their spouses and grandchildren and their spouses. You have read carefully and fully understand all that is stated above and understand that this notice is in accordance with the 「Personal Data (Privacy) Ordinance」 of Hong Kong and the relevant laws and regulations.

臺灣中小企業銀行香港分行（於臺灣註冊成立之有限責任公司）

TAIWAN BUSINESS BANK, LTD. HONG KONG BRANCH (Incorporated in Taiwan with limited liability)

遵循 FATCA 法案蒐集、處理及利用個人資料同意書（法人客戶）

Taiwan Business Bank, Ltd. Hong Kong Branch

**Letter of Consent for the Collection, Processing and Use of Personal Information
for FATCA Compliance (Institutional Client)**

緣本公司於 貴公司開立帳戶並進行交易，為配合 貴公司遵循美國海外帳戶稅收遵從法案（Foreign Account Tax Compliance Act，下簡稱「FATCA 法案」）及外國金融機構協議（FFI Agreement，下簡稱「協議」）之相關規定，本公司茲聲明並同意下列事項：

Whereas we (the “Account Holder”) intend to establish accounts and to proceed transactions with Taiwan Business Bank, Ltd. Hong Kong Branch (hereinafter referred to as the “Company”), in order to cooperate in the Company’s compliance with the US Foreign Account Tax Compliance Act (hereinafter referred to as “FATCA”) and the Foreign Financial Institution agreement (FFI agreement, hereinafter referred to as the “Agreement”), the Account Holder hereby declares and agrees to the following:

一、本公司同意提供自然人股東之名單及其所出具之同意書予 貴公司，俾利 貴公司依 FATCA 法案及遵循協議辦理辨識及申報等相關事宜。

本同意書所稱自然人股東，包含直接持有本公司股份之自然人，以及間接持有本公司股份之自然人。

The Account Holder agrees to provide the Company with the list of natural person shareholders and their letters of consent for the purpose of identification and reporting by the Company in accordance with FATCA and with the Agreement. The natural person shareholders referred herein shall mean natural persons that have direct interest in the Account Holder, as well as those natural persons who have indirect interest in the Account Holder.

二、本公司同意將留存於 貴公司之一切交易資訊，包括本公司之帳戶帳號及帳戶餘額、帳戶總收益金額、交易明細等，供 貴公司依 FATCA 法案及遵循協議辦理辨識及申報等相關事宜。

The Account Holder agrees to provide all transaction information kept at the

statement of the account, to the Company for the purpose of identification and reporting in accordance with FATCA and with the Agreement.

三、本公司如依 FATCA 法案規定被視為不合作帳戶持有人或未簽署協議之金融機構 (Non-participating foreign financial institution, NPFFI)，致交易金額中屬於應扣繳款項及轉付款項須辦理扣繳之金額，及致 貴公司因此所增加之成本與費用， 貴公司皆得自應支付或返還予本公司之金額中扣除。

In the event that the Account Holder has been identified as recalcitrant account holder or non-participating foreign financial institution (NPFFI) in accordance with FATCA, the Company may deduct, from the funds to be paid or returned to the Account Holder, any withholdable payment or foreign passthru payment on transactions and for any increased costs and fees for the Company resulting therefrom.

前項不合作帳戶係指：

The recalcitrant account holder referred to in the preceding paragraph shall mean any of the following:

(一) 本公司或任一自然人股東，未向 貴公司提供足以判別本公司帳戶是否係由美國實質持有人持有之資訊，或未向 貴公司提供申報所需之自然人股東姓名、地址及稅籍編號等。

the Account Holder or any of the natural person shareholders fails to provide information required for determining whether the account is held by substantial US owner, or fails to provide the information required for the reporting such as the name, address and US tax identifying number (TIN) to the Company.

(二) 本公司或任一自然人股東，未向 貴公司提供申報所需之同意書。

the Account Holder or any of the natural person shareholders fails to submit to the Company the letter of consent required for reporting.

(三) 有扣繳款或轉付款支付到帳戶的情形時；或開戶後 90 日未能完成必要的帳戶資訊取得與申報，以較早發生者為準；

on the earlier of the date that a withholdable payment or foreign passthru payment is made to the account or that the Customer fails to complete the necessary information of the account and the reporting in 90 days after the account is established;

(四) 帳戶所申報的名稱與納稅人身份證號 (Taxpayer Identification Number, 下簡稱「TIN」) 組合不符，經美國國稅局通知後的 30 個營業日內；或 for the period of 30 business days since the Company receives a notice from

account is incorrect; or

(五) 帳戶所申報的名稱與 TIN 組合不符，經美國國稅局通知後的 30 個營業日後，仍未提供正確資訊者。

the Account Holder fails to provide the correct information after 30 business days since the Company receives a notice from the IRS indicating that the name and TIN combination provided for the account is incorrect.

第一項所稱應扣繳款項(withholdable payment)，係指包括但不限於任何源自美國的固定或可得確定年度或定期所得、利潤和收入之款項(例如利息、股利、租金、薪資、工資、溢酬、年金、賠償金、報酬、津貼)，以及任何因銷售或處分任何產生美國來源收入的利息或股利的財產所獲得之交易總所得(gross proceeds)，包含股票、債券等。

The withholdable payment referred to in Paragraph 1 shall mean, without limitation, any fixed or determinable annual or periodic gains, profits and income (FDAP income) from sources within the United States (such as payment of interest, dividends, rents, salaries, wages, premiums, annuities, compensations, remunerations, emoluments) and any gross proceeds from the sale or other disposition of any property of a type which can produce interest or dividends from sources within the United States, including stocks and bonds.

第一項所稱外國轉付款項(foreign passthru payment)，係指任何應扣繳款項或可歸責為應扣繳款項的其他支付款項。

The foreign passthru payment referred to in Paragraph 1 shall mean any withholdable payment or any other payment that is attributable to a withholdable payment.

第一項須辦理扣繳之金額比例通常為總金額之百分之三十，惟正確之扣繳金額仍以實際須辦理扣繳之金額為準。

The amount to be withheld in Paragraph 1 is usually 30 percent of the withholdable payment. However, the exact amount to be withheld shall be subject to the actual amount required to be withheld.

四、如本公司任一自然人股東拒絕提供 貴公司為遵循 FATCA 法案及協議所需之個人資料、或嗣後撤回、撤銷同意，或請求 貴公司停止蒐集處理及利用，或刪除該股東之個人資料時，本公司應協助重新取得該股東之同意；倘經 貴公司定三十日以上期間催告改善而未改善，本公司同意於改善期間屆滿後， 貴公司得就所有屬 FATCA 法案規範金融商品停止交易及服務、結清、結算或提

前終止契約，並逕依各該契約約定或法律規定賡續辦理。

In the event that any of the natural person shareholders of the Account Holder refuses to provide the personal information required for the compliance of FATCA and the Agreement, or withdraws or revokes consent thereof, or requests the Company to discontinue the collection, processing and use of the personal information or delete the personal information, the Account Holder shall assist in reacquiring such shareholder's consent. Should the Account Holder fails to make corrections within the period prescribed by the Company, which shall be no less than 30 days, the Account Holder agrees that upon the expiration of the prescribed period, the Company may terminate all transactions and services related to financial products that are under the scope of FATCA, close, liquidate the accounts and/or terminate the agreement early in accordance with the provisions of each agreement or the relevant laws and regulations.

五、本同意書之約定除 FATCA 之相關法令以外，應以香港之法令為準據法。

In addition to FATCA and its related laws and regulations, the governing law of this Letter of Consent shall be the laws of Hong Kong.

此致

To

臺灣中小企業銀行香港分行

Taiwan Business Bank, Ltd. Hong Kong Branch.

立同意書人：

簽章 Signature and seal

Name:

統一編號：

Unified Business Number:

法定代理人：

簽章 Signature and seal

Name of Authorized Person(s):

職稱：

Title:

日 期： 年 月 日

Date:

臺灣中小企業銀行香港分行（於臺灣註冊成立之有限責任公司）
TAIWAN BUSINESS BANK, LTD. HONG KONG BRANCH (Incorporated in Taiwan with
limited liability)

遵循 FATCA 法案蒐集、處理及利用個人資料同意書（法人客戶股東）
Taiwan Business Bank, Ltd. Hong Kong Branch

Letter of Consent for the Collection, Processing and Use of Personal Information
for FATCA Compliance (Shareholder of Institutional Client)

緣本人為直接/間接持有_____公司股份之股東，因該公司於 貴公司開立帳戶並進行交易，為符合香港「個人資料(私隱)條例」下個人資料之合理使用，並配合 貴公司遵循美國海外帳戶稅收遵從法案（Foreign Account Tax Compliance Act，下簡稱「FATCA 法案」）及外國金融機構協議（FFI Agreement，下簡稱「協議」）之相關規定，本人茲同意下列事項：

As shareholder with direct/indirect interest in _____ Company, which intends to establish accounts and to proceed with transactions at Taiwan Business Bank, Ltd. Hong Kong Branch (hereinafter referred to as the “Company”), in order to comply with the proper use of personal information in accordance with the 「Personal Data (Privacy) Ordinance」 of Hong Kong and cooperate with the Company’s compliance with the US Foreign Account Tax Compliance Act (hereinafter referred to as “FATCA”) and the Foreign Financial Institution agreement (FFI agreement, hereinafter referred to as the “Agreement”), I hereby agree to the following:

本人確認已收受並充分瞭解 貴公司所提供之遵循 FATCA 法案蒐集、處理及利用個人資料告知事項之全部內容，並同意 貴公司依據告知事項所載內容對本人相關個人資料為蒐集、處理及利用。

I have read carefully and fully understand all that is stated in the Notice for the Collection, Processing and Use of Personal Information provided by the Company and agree to the Company’s collection, processing and use of relevant personal information in accordance with the aforesaid Notice.

本同意書之約定除 FATCA 之相關法令以外，應以香港之法令為準據法。
In addition to FATCA and its related laws and regulations, the governing law of this Letter of Consent shall be the laws of Hong Kong.

此致 To

臺灣中小企業銀行香港分行

Taiwan Business Bank, Ltd. Hong Kong Branch

立同意書人（即_____公司之股東）：

Name (Shareholder of _____ Company) 簽章 Signature and Seal

身分證字號（Personal ID Number）：

日期（Date）： 年 月 日