

**Survey on U.S. Foreign Account Tax Compliance Act (FATCA)**

We are writing to seek information from you regarding your preparedness to comply with the U.S. Foreign Account Tax Compliance Act (“FATCA”). Under FATCA, foreign financial institutions (“FFI”) are generally required to register as a participating FFI (“PFFI”, including a Model 2 IGA FFI) and agree to comply with FATCA; otherwise the FFI will be considered as a non-participating FFI and subject to withholding tax.

FATCA has come into effect on 1 July 2014 and is intended to identify U.S. persons holding financial accounts through FFI. It will require documentation of account holders, including new and existing account holders, and reporting of those which are determined to be specified U.S. persons.

In this connection, we would like you to confirm whether you have been/are going to be FATCA compliant, i.e. to be registered as a PFFI. Please kindly complete and return this confirmation.

Should you have any queries regarding the above, please do not hesitate to contact our Customer Service Department at 3719 1288 or [seccs@qfgroup.com.hk](mailto:seccs@qfgroup.com.hk).

Thank you for your cooperation.

***Please tick the appropriate checkbox(es) and/or fill in the spaces as required. Please answer all questions unless otherwise indicated below.***

1. Is your entity formed/incorporated in the U.S.?

- Yes  
 No

2. Is your entity being/expected to be a Foreign Financial Institution (FFI) for FATCA purpose?

- Yes **(Please answer Q3, Q4 and Q6)**  
 No **(Please answer Q5 and Q6)**

3. Has your entity registered with the U.S. Internal Revenue Service (IRS) and obtained the Global Intermediary Identification Number (GIIN)? (please choose one below)

- Yes, the GIIN is:   
 No, and will not have a GIIN because:

- No, decide not to comply with FATCA as a Non-participating FFI or be a Limited FFI  
 Other, please specify:

4. What is your entity FATCA status/expected FATCA status? (please choose one below)
- A Reporting Hong Kong FI (on the basis that a Hong Kong Model 2 IGA is in place)
  - A Reporting FI in a Model 2 or Model 1 IGA jurisdiction (except HK)
  - A Non-Reporting Hong Kong FI (e.g. Certified Deemed Compliant FFI)
  - A Non-Reporting FI in Model 2 or Model 1 IGA jurisdiction (except HK)
  - A Participating FFI or a Registered Deemed Compliant FFI in a non-IGA jurisdiction
  - A Certified Deemed Compliant FFI in a non-IGA jurisdiction
  - An Exempt Beneficial Owner
  - A Nonparticipating FFI or Limited FFI

5. If your entity is not a FFI for FATCA purpose, please advise your entity's FATCA status. (please choose one below)

- Active NFFE
- Passive NFFE with U.S. Controlling Person(s)

*Please list out the name(s) of U.S. Controlling Person(s) and respective percentage of shareholding(s) supplemented with Form(s) W-9:*

- Passive NFFE without U.S. Controlling Person
- Other, please specify:

6. Please provide the contact details of a representative that we can contact at your entity with respect to any FATCA related enquiry about your entity?

Name	
Title/Designation	
Telephone Number	
Email Address	

**I hereby certify that the information set out above is true and accurate as the date of this confirmation and agree to notify GF Securities (Hong Kong) Brokerage Limited of any change with respect to the foregoing information within 30 calendar days, and to provide such further information as GF Securities (Hong Kong) Brokerage Limited may require.**

Signature (with Company Chop):

Name:

Title/Designation:

Account Name:

Date: