


FATCA Self-Certification for Entities
海外帳戶稅收合規法案公司客戶聲明書
Policy Number 保單號碼:

This Form is to be completed by every Entity Applicant, Policyholder, Assignee and Beneficial Owner to determine if they are deemed to be a Policyholder with U.S. status based on the Intergovernmental Agreement (IGA) between the U.S. Government and the Hong Kong Government. 根據美國與香港之跨政府協議 (IGA)，本表格必須由每位機構申請人，保單持有人，受讓人及實益擁有人完成，以確定它們是否被認為擁有美國身份。

Name of the Entity Applicant/Policyholder/Assignee/Beneficial Owner:
機構申請人/保單持有人/受讓人/實益擁有人名稱:
Part A) Please declare whether the entity is a U.S. resident for tax purposes *
第一部分) 請確認貴機構是否為美國稅務居民 *
 I declare I am a U.S. resident for tax purposes * at the time of signing this Self-Certification.
 本人/我們聲明於簽署本聲明書時是美國稅務居民 *。

I / We acknowledge that Generali may transfer any required information to the Tax Authorities in or outside Hong Kong to comply with FATCA obligations and waive all rights I/we have, if any, to prohibit or restrict such disclosure.

本人/我們確認忠意可將所需資料轉移到香港境內及境外地區之稅務機關以遵守合規法案的責任，如適用時，本人/我們願意放棄所有禁止或限制該披露之權利。

 U.S. Taxpayer Identification Number (TIN):
 美國納稅人識別號碼：

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 I/We declare that I am/ we are not a U.S. resident for tax purposes* at the time of signing this Self-Certification (Please go to Part B)
 本人/我們聲明於簽署本聲明書時並非美國稅務居民* (請往第二部分)。

* A U.S. resident for tax purposes includes but is not limited to
 美國稅務居民包括但不限於：

- Any partnership, corporation, company or association created or organized in the U.S. or under the laws of the U.S.;
 在美國或根據美國法律設立或組成的合夥，企業，公司或法團；
- Any U.S. estate (other than a foreign estate); or
 美國遺產 (外國遺產除外); 或
- Any U.S. trust
 美國信託

Part B) Non U.S. Entity Classification Under FATCA
第二部分) 非美國機構於海外帳戶稅收合規法案 ("法案")下之身份確認
Foreign Financial Institution 海外金融機構/ Exempt Beneficial Owner 已被豁免之實益擁有人
1. Has the entity completed the FATCA Status classification and fully understood its FATCA Status?

貴機構是否已完成法案下之身份分類和完全明白貴機構之法案身份？

 Yes, please select the entity's FATCA category :
 是, 請在下列類別選出貴機構之法案身份:

 Hong Kong Financial Institution or IGA Partner Jurisdiction Financial Institution

No, my entity is a **Passive NFFE without U.S. Controlling Person[^]**

否，本機構為 **非活躍之海外非金融機構及沒有美國控權人士[^]**

Yes, my entity is a **Passive NFFE with U.S. Controlling Person[^]**

是，本機構為 **非活躍之海外非金融機構及有美國控權人士[^]**

➤ Please provide below details for each U.S. Controlling Person 請就各美國控權人士提交以下資料：

Name 姓名	Address 地址	TIN 美國納稅人識別號碼

[^] **Controlling Person** means the natural persons who exercise control over an entity. In the case of a trust, such term means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust, and in case of a legal arrangement other than a trust, such term means person in equivalent or similar positions. The term “Controlling Person” shall be interpreted in a manner consistent with the Financial Action Task Force Recommendation.

[^] **控權人士**是指機構之行使控制權人士是自然人。若為信託，控權人士是指財產授予人，信託人，保護人（如有），受益人或受益人組別及其他可向信託行駛最終控制權之自然人。若為信託以外的法律安排，則該詞彙指擁有相同或類似身份的人士。控權人士的釋義應按照金融行動特別工作組的建議。

Part C) Personal Information Collection Statement

第三部分) 收集個人資料聲明

a) From time to time, it is necessary for you to supply Generali Life (Hong Kong) Limited / Assicurazioni Generali S.p.A. Hong Kong Branch (where applicable) (the “**Company**”) with data about yourself(ves), policyholder(s), life insured(s), beneficiary(ies), claimant(s), and / or other relevant individuals (the “**Personal Data**”) in connection with the provision of insurance and / or related products and services to you, the processing of claims under insurance policies issued and / or arranged by the **Company**, and / or the processing of any or all other requests, enquiries and complaints from you.

閣下須要不時向忠意人壽（香港）有限公司/忠意保險有限公司香港分行（如適用）（「**本公司**」）提供關於閣下自己、保單持有人、受益人、受益人、索償人及/或其他有關人士的資料（「**個人資料**」），以讓**本公司**為閣下提供保險及/或相關產品與服務，處理經由**本公司**發出及/或安排的保單之下的索償事宜，及/或處理閣下提出的任何或所有其他要求、查詢和投訴。

b) Provision of the **Personal Data** to the **Company** by you is voluntary. However, failure to supply the **Personal Data** may result in the **Company** being unable to provide insurance and / or related products and services to you, process claims under insurance policies issued and / or arranged by the **Company**, and / or process any or all other requests, enquiries, or complaints from you.

閣下向**本公司**提供的個人資料全屬自願。然而，若閣下未能提供個人資料，可能導致**本公司**不能夠為閣下提供保險及/或相關產品與服務，處理經由**本公司**發出及/或安排的保單之下的索償事宜，及/或處理閣下提出的任何或所有其他要求、查詢和投訴。

c) The purposes for which the **Personal Data** may be used are as follows: (i) administering your insurance application, arranging and executing insurance contracts and / or related products and services, and managing your account with the **Company**; (ii) processing (including, but not limited to, investigating, analyzing, assessing and adjudicating) and / or settlement of claims under insurance policies issued and / or arranged by the **Company**; (iii) exercising rights of subrogation(if applicable); (iv) collection of amounts outstanding (if any) from customers; (v) arranging coinsurance and / or reinsurance in respect of the insurance policies issued and / or arranged by the **Company**; (vi) communicating with customers via telephone, mail, e-mail, facsimile and other communication means; (vii) providing customer services (including, but not limited to, processing enquiries and complaints) and other related activities; (viii) conducting data matching procedures; (ix) designing insurance and / or related products and services for customers' use; (x) marketing insurance and / or other related products and services of the **Company** and / or its affiliated companies (which includes, but are not limited to, its group companies, parent company, trust companies of the **Company's** parent company) (hereinafter referred to as the **Group Entities**); (xi) statistical or actuarial research of the **Company**, its **Group Entities**, insurance industry associations or federations, government departments, regulatory or other recognized bodies; (xii) complying with the requirements under any laws, rules, regulations, codes, guidelines, court orders, compliance policies and procedures, and any other relevant requirements which the **Company** and / or its **Group Entities** are expected to comply with, including, without limitation, performing due diligence on customers and making disclosures of the relevant information; and (xiii) fulfilling any other purposes directly relating to (i) to (xii) above.

個人資料可被用於以下用途：(i) 處理閣下的保險申請，安排並執行保險合約或相關產品與服務，並管理閣下在**本公司**的賬戶；(ii) 處理（包括但不限於調查、分析、評估和裁定）及/或理賠經由**本公司**發出及/或安排的保單之下的索償事宜；(iii) 行使代位權（如適用）；(iv) 向客戶追收尚欠金額（如有）；(v) 經由**本公司**發出及/或安排的保單之下壽劃共同保險及/或再保險；(vi) 透過電話、郵件、電郵、傳真及其他通訊方式與客戶聯絡；(vii) 提供客戶服務（包括但不限於處理查詢和投訴）及其他相關活動；(viii) 進行資料核對程

序；(ix) 設計保險及/或相關產品與服務供客戶使用；(x) 推銷本公司及/或本公司的關聯公司（包括但不限於本集團的公司、母公司、本母公司的信託公司）（下文合稱為「集團實體」）的保險及/或其他相關產品與服務；(xi) 本公司、集團實體、保險業協會或聯會、政府部門、監管或其他認可機構的統計或精算研究；(xii) 為遵從任何法律、規則、規例、守則、指引、法院命令、合規政策和程序的規定，或本公司及/或集團實體應遵守的任何其他有關規定，包括但不限於對客戶進行盡職審查及披露有關資料；及 (xiii) 實現與上述(i)至(xii)直接有關的任何其他用途。

- d) The **Personal Data** held by the **Company** shall be kept confidential, but the **Company** may provide the **Personal Data** to the following parties (whether within or outside the Hong Kong Special Administrative Region) for the purposes set out in paragraph (c) above, without prior notification to you and/or any other relevant individuals to whom the **Personal Data** is related: (i) intermediaries, claims service provider, reinsurers, banks and credit-card companies, health and medical organizations, professional advisers, contractors, business partners, and / or any other relevant parties, as appropriate, who provide administrative, telecommunication, computer, payment, marketing, investigation, advisory and/ or other services to the **Company** in connection with the operation of its business; (ii) relevant insurance industry associations or federations, and/ or members of such industry associations or federations; (iii) overseas locations or branches, as appropriate, of the **Company** and / or its **Group Entities**; (iv) persons to whom the **Company** and / or its **Group Entities** are under an obligation to make disclosure under the requirements of as mentioned in (c) (xii); (v) any court, government departments, regulatory or other recognized bodies (including, without limitation, tax authority, insurance authority, etc.) under any laws binding on the **Company** and / or its **Group Entities**; (vi) lawful successors or assigns of the **Company**; and (vii) persons who owe a duty of confidentiality to the **Company** and / or its **Group Entities**.

由本公司持有的**個人資料**將受到保密，但本公司可依據以上(c)段所列的用途向以下各方（不論在香港特別行政區境內還是境外）提供**個人資料**，事前無須知會閣下及/或該等**個人資料**所涉及的任何其他有關人士：(i) 中介人、索償服務提供商、共同保險公司、再保險公司、銀行及信用卡公司、健康及醫療機構、專業顧問、承包商、業務夥伴及/或任何以適用於向本公司提供行政、電訊、電腦、付款、推銷、調查、諮詢及/或其他與業務營運相關服務的有關各方；(ii) 相關的保險業協會或聯會，及/或該等協會或聯會的成員；(iii) 本公司及/或以適用的**集團實體**海外辦事處或分行；(iv) 根據上述(c) (xii)的規定，本公司及/或**集團實體**負有義務須向其作出披露的人士；(v) 任何根據法律約束之下，本公司及/或**集團實體**須向其提供資料的任何法院、政府部門、監管或其他認可機構（包括但不限於稅務局、保險業監管局等）；(vi) 本公司的合法繼承人或受讓人；及 (vii) 對本公司及/或**集團實體**負有保密責任的人士。

- e) The **Company** may verify any or all of the **Personal Data** by using information collected and released or transferred by relevant insurance industry associations or federations, and / or members of such industry associations or federations.

本公司可使用由相關的保險業協會或聯會及/或該等協會或聯會的成員所收集及發放或轉移的資料，來核實任何或所有**個人資料**。

- f) In accordance with the *Personal Data (Privacy) Ordinance (Cap 486)*: (i) any individual has the right to: (A) check whether the **Company** holds **Personal Data** about him / her and, if so, obtain a copy of such data; (B) require the **Company** to correct any **Personal Data** relating to him / her that is inaccurate; and (C) ascertain the **Company's** policies and practices in relation to **Personal Data** and to be informed of the kind of **Personal Data** held by the **Company**; and (ii) the **Company** has the right to charge a reasonable fee for the processing of any data access request.
- 根據第486章《個人資料（私隱）條例》：(i) 任何人士均有權：(A)查詢本公司有沒有持有其**個人資料**，如有的話，可取得一份該等資料；(B) 要求本公司改正其任何不正確的**個人資料**；及(C) 查明關於本公司的**個人資料**政策和處事常規，並可獲通知有關本公司所持**個人資料**的種類；及 (ii) 本公司有權就處理任何查閱**個人資料**的要求之下收取合理的費用。

- g) The person to whom requests for access to **Personal Data** and / or correction of **Personal Data** and / or for information regarding policies and practices and kinds of **Personal Data** held are to be addressed as follows: *Personal Data Protection Officer, Generali Life (Hong Kong) Limited / Assicurazioni Generali S.p.A. Hong Kong Branch (where applicable), 21/F, 1111 King's Road, Taikoo Shing, Hong Kong.*

如欲查閱及/或改正**個人資料**及/或查詢關於本公司的政策和處事常規及所持**個人資料**的種類，請向以下人員提出要求：個人資料保護主任 忠意人壽（香港）有限公司 或 忠意保險有限公司香港分行（如適用） 香港太古城英皇道1111號21樓

Note: In case of discrepancies between the English and Chinese versions of this Personal Information Collection Statement, the English version shall prevail.

附註：本收集個人資料聲明的英文及中文版本之間如有任何歧義，概以英文版本為準。

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Part D) Foreign Account Tax Compliance Act

第四部分) 海外帳戶稅收合規法案

Under the U.S. Foreign Account Tax Compliance Act ("FATCA"), a foreign financial institution ("FFI") is required to report to the U.S. Internal Revenue Service ("IRS") certain information on U.S. persons that hold accounts with that FFI outside the U.S. and to obtain their consent to the FFI passing that information to the IRS. An FFI which does not sign or agree to comply with the requirements of an agreement with the IRS ("FFI Agreement") in respect of FATCA and/or who is not otherwise exempt from doing so (referred to as a "nonparticipating FFI") will face a 30% withholding tax ("FATCA Withholding Tax") on all "withholdable payments" (as defined under FATCA) derived from U.S. sources (initially including dividends, interest and certain derivative payments).

在美國的《海外帳戶稅收合規法案》（“《合規法案》”）下，海外金融機構須就美國人於海外金融機構之非美國境內之帳戶，向美國國稅局匯報有關資料及取得客戶同意海外金融機構可向美國國稅局匯報有關資料。海外金融機構如未有簽署或同意遵守《合規法案》下的協議（即“《海外金融機構協議》”）有關之要求，及/或未獲得相關豁免遵守相關要求（以上海外金融機構統稱為“《不參與合規法案之海外金融機構》”），其所有源自美國的付款中可預扣款項（在合規法案中已闡明）將被徵收百分之三十之預扣稅（“《合規法案預扣稅》”）（初步包括紅利、利息及及一些衍生款項）。

The U.S. and Hong Kong have agreed an inter-governmental agreement ("IGA") to facilitate compliance by FFIs in Hong Kong with FATCA and which creates a framework for Hong Kong FFIs to rely on streamlined due diligence procedures to (i) identify U.S. indicia, (ii) seek consent for disclosure from its U.S. policyholders and (iii) report relevant tax information of those policyholders to the IRS.

美國政府與香港政府已簽訂（“《跨政府協議》”）促使香港的海外金融機構遵守合規法案，及提供一個框架讓香港的海外金融機構能有效率的進行盡職審查以(i)識別美國身份標記，(ii)徵求美國保單持有人同意披露及(iii)向美國國稅局匯報美國保單持

有人相關稅務資料。

FATCA applies to Generali Life (Hong Kong) Limited / Assicurazioni Generali S.p.A. Hong Kong Branch (hereinafter "Generali"), and this Policy. Generali is a participating FFI and committed to complying with FATCA. To do so, Generali requires you to:

合規法案適用於忠意人壽(香港)有限公司/忠意保險有限公司(下稱「忠意」)及此保單。忠意是一間參與合規法案之海外金融機構，及致力遵守合規法案。因此，忠意需要閣下：

- (i) provide to Generali certain information including, as applicable, your U.S. identification details (e.g. name, address, the U.S. federal taxpayer identifying numbers, etc); and
提供相關資料予忠意，如適用，包括閣下的美國身份證明資料(如姓名、地址、美國聯邦納稅人識別號碼等);及
- (ii) consent to Generali reporting this information and your account information (such as account balances, interest and dividend income and withdrawals) to the IRS.同意忠意向美國國稅局匯報此資料及閣下之帳戶資料，(如帳戶結存、利息、紅利收入及提款。)

If you fail to comply with these obligations (being a "Non-Compliant Accountholder"), Generali is required to report "aggregate information" of account balances, payment amounts and number of non-consenting U.S. accounts to IRS.

如閣下未能遵從以上要求(即為“《不遵從合規法案之戶口持有人》”)，忠意須向美國國稅局匯報帳戶結存、款項及不同意披露的美國帳戶數目之綜合資料。

Generali could, in certain circumstances, be required to impose FATCA Withholding Tax on payments made to, or which it makes from, your Policy. Currently the only circumstances in Generali may be required to do so are:

忠意，在某些情況下，可能被要求在閣下保單付款中徵收合規法案預扣稅。現時忠意只會在以下情況徵收合規法案預扣稅：

- (i) if the Inland Revenue Department of Hong Kong fails to exchange information with the IRS under IGA (and the relevant tax information exchange agreement between Hong Kong and the U.S.), in which case Generali may be required to deduct and withhold FATCA Withholding Tax on withholdable payments made to your Policy and remit this to the IRS; and

若香港稅務局未能與美國國稅局就跨政府協議(及有關香港與美國之間的稅務資料交換協定)交換資料，忠意可能需要從閣下保單的可預扣款項中扣除及預扣合規法案之預扣稅及匯出予美國國稅局;及

- (ii) if you are (or any other account holder is) a nonparticipating FFI, in which case Generali may be required to deduct and withhold FATCA Withholding Tax on withholdable payments made to your Policy and remit this to the IRS.

如閣下(或任何一位帳戶持有人)是不參與合規法案之金融機構，忠意可能需要從閣下保單的可預扣款項中扣除及預扣合規法案之預扣稅及匯出予美國國稅局。

You should seek independent professional advice on the impact FATCA may have on you or your Policy.

有關合規法案對閣下及閣下保單之影響，請諮詢獨立的專業意見。

Note: In case of discrepancies between the English and Chinese versions of this Section, the English version shall prevail

附註：本部分之英文及中文版本之間如有任何歧義，概以英文版本為準。

