

**填表說明：本表原則上請以英文填寫，若帳戶持有人稅務居住國僅中華民國，無其他國家時，可以中文填寫。**

1. 金融機構執行共同申報及盡職審查作業辦法(下稱本辦法)規定，金融機構應蒐集及申報有關帳戶持有人稅務居住者身分之特定資訊。本辦法係依稅捐稽徵法第5條之1第6項訂定，其內容參考經濟合作暨發展組織發布之共同申報及盡職審查準則(下稱共同申報準則)。此外，依照外國帳戶稅收遵從法(FATCA)規定，本公司應辨識帳戶持有人是否為特定美國人士。

Under the Regulations Governing the Implementation of the Common Standard on Reporting and Due Diligence for Financial Institutions ("Regulations"), Financial Institutions ("FIs") are required to collect and report certain information about the Account Holder's tax residency status. The Regulations are enacted pursuant to Paragraph 6, Article 5-1 of the Tax Collection Act and are drafted in reference to the Common Standard on Reporting and Due Diligence for Financial Account Information (CRS) developed by the Organization for Economic Cooperation and Development (OECD). In addition, to comply with "Foreign Account Tax Compliance Act (FATCA)", Allianz Global Investors Taiwan Ltd. should identify if the account holder is Specified U.S. Person.

2. 金融機構依本辦法規定取得帳戶持有人之自我證明文件，以辨識帳戶持有人為稅務居住者之國家/地區。金融機構依法可能將本表及該帳戶其他資訊提供中華民國稅捐稽徵機關，經由政府間協定進行稅務目的金融帳戶資訊交換，提供他方國家/地區稅捐稽徵機關。或依照外國帳戶稅收遵從法(FATCA)規定，在帳戶持有人為美國人士時，向美國IRS申報該帳戶之帳戶資訊。

Under the Regulations, FIs obtain a self-certification form from the Account Holder to determine the country(ies)/jurisdiction(s) in which the Account Holder is a tax resident. The FIs may be legally obliged to pass on the information in this form and other financial information with respect to the account to the tax authorities of the Republic of China (Taiwan) ("ROC") and they may exchange this information with tax authorities of another country(ies)/jurisdiction(s) pursuant to intergovernmental agreements to exchange financial account information for tax purposes. To work in line with Foreign Account Tax Compliance Act (FATCA), Allianz Global Investors Taiwan Ltd. must report the account information of whom account holder is identified as a U.S. Person to IRS.

3. 標有星號(\*)欄位或部分為必填資訊。

Information in fields or parts marked with an asterisk (\*) is mandatory.

4. 如帳戶持有人為獨資資本主，請填寫本表。

If the Account Holder is a sole trader or a sole proprietor, please fill in this form.

5. 本表將持續有效，倘狀態變動(例如帳戶持有人之稅務居住者身分變動)致所填資訊不正確或不完整，帳戶持有人應通知本公司，並更新本表。

This form will remain valid unless there is a change in circumstances relating to information, such as the Account Holder's tax residency status, that makes this form incorrect or incomplete. In that case, the Account Holder must notify the FI and provide an updated self-certification form.

6. 本表相關用詞(如帳戶持有人、稅籍編號、金融帳戶等)，請詳金融機構執行共同申報及盡職審查作業辦法。

The definition of the capitalized terms used in this form, such as Account Holder, TIN, Financial Account, etc. can be found in the Regulations.

## 第一部分：帳戶持有人身分資料

### Part 1 Identification of Individual Account Holder

(請留意本公司寄送確認單、對帳單及各項通知文件，以開戶約定書項目3-1. 客戶基本資料填寫內容為準)

資料項目	填寫說明	填寫欄
帳戶持有人姓名* Name of Account Holder*	姓氏* Last Name or Surname(s)*	
	名字* First or Given Name*	
	中間名 Middle Name(s)	
現行居住地址* Current Residence Address*	(如有室、樓層、大樓、街道、地區等)* (e.g. Suite, Floor, Building, Street, District, if any)*	
	(如有鎮、市、省、縣、州等)* (e.g. Town/City/Province/County/State)*	
	國家/地區 Country/Jurisdiction*	
	郵政編碼/郵遞區號* Post Code/ZIP Code*	
通訊地址(與現行居住地址不同時，填寫此欄) Mailing Address (Complete if different to the Current Residence Address)	(如室、樓層、大樓、街道、地區) (e.g. Suite, Floor, Building, Street, District)	
	(如鎮、市、省、縣、州) (e.g. Town/City/Province/County/State)	
	國家/地區 Country/Jurisdiction	
	郵政編碼/郵遞區號 Post Code/ZIP Code	
出生地* Place of Birth (若與檢附之身分證明文件所載不符，本公司將依身分證明文件予以更正。)	出生城市 Town or City of Birth*	
	出生國家/地區 Country/Jurisdiction*	

請務必"擇一"勾選

- 個人帳戶持有人聲明僅為中華民國之稅務居住者且不具有美國納稅義務人身分 (若勾選此項，請填寫第一及第三部分)
- 個人帳戶持有人聲明具有美國或其他地區之納稅義務人身分 (若勾選此項，請填寫第一到第三部分)

## 個人自我證明表 / Self-Certification Form—Individual

### 第二部分：稅務居住者之國家 / 地區及其稅務識別碼或具相當功能之辨識碼（“稅務識別碼”）\*

#### Part 2 Country/Jurisdiction of Residence for Tax Purposes and related Taxpayer Identification Number or functional equivalent number ( “TIN” )\*

請於下表填寫 (a) 帳戶持有人為稅務居住者之國家 / 地區，及 (b) 於該國家 / 地區稅務識別碼。

Complete the following table indicating (a) the country/jurisdiction where the Account Holder is a tax resident and (b) the Account Holder's TIN for each country/jurisdiction indicated.

帳戶持有人如同時為 2 個以上國家 / 地區稅務居住者，請填寫所有其為稅務居住者之國家 / 地區。

If the Account Holder is a tax resident in more than one country/jurisdiction at the same time, please indicate all countries/jurisdictions of tax residence.

如帳戶持有人為中華民國稅務居住者，填列稅務識別碼如下：

1. 具身分證字號者請填身分證字號 (10 碼，由內政部戶政司編配)。

2. 具統一證號者請填統一證號 (10 碼，由內政部移民署編配)。

3. 個人無身分證字號或統一證號者，以現行稅務識別碼 (大陸地區人民為 9 + 西元出生年後 2 碼及出生月日 4 碼；其餘情形為西元出生年月日 8 碼 + 護照顯示英文姓名前 2 字母 2 碼) 方式編配。

If the Account Holder is a tax resident of the ROC, his or her Tax Identification Number (TIN) is as follows:

1. National ID Card Number (a 10-digit code issued by the Department of Household Registration, Ministry of the Interior)

2. Uniform ID Number (a 10-digit code issued by the National Immigration Agency, Ministry of the Interior)

3. The current Taxpayer Code Number for those who have neither National ID Card Number nor Uniform ID Number is assigned as follows: Mainland China citizens are coded as 9+yy+mm+dd (for example born on October 25, 1985, the code would be 9851025); for other foreigners, yyyy+mm+dd + the first two letters of his or her English name in order printed on his or her passport. (for example, the code for David Caruso born on October 25, 1985, would be 19851025DA)

如無法提供稅務識別碼，於下列欄位填寫適用之理由 A、B 或 C：

If a TIN is unavailable, provide the appropriate reason A, B or C where appropriate:

理由 A – 帳戶持有人為稅務居住者之國家 / 地區未核發稅務識別碼

Reason A – The country/jurisdiction where the Account Holder is a tax resident does not issue TINs to its residents.

理由 B – 帳戶持有人無法取得稅務識別碼 (請說明帳戶持有人無法取得稅務識別碼原因)

Reason B – The Account Holder is unable to obtain a TIN. Explain why the Account Holder is unable to obtain a TIN if you have selected this reason.

理由 C – 帳戶持有人毋須提供稅務識別碼 (限於該帳戶持有人為稅務居住者之國家 / 地區國內法未要求蒐集稅務識別碼)

Reason C – TIN is not required. Only select this reason if the domestic law of the relevant country/jurisdiction of tax residence does not require the collection of TIN.

稅務居住者之 國家 / 地區 (a) Country/Jurisdiction of tax residence	稅務識別碼 (b) TIN	若無法提供稅務識別碼， 填寫理由 A、B 或 C Enter reason A, B or C if no TIN available	如選取理由 B，說明帳戶持有人無法取得稅務識別碼之原因 Explain why the Account Holder is unable to obtain a TIN if you have selected reason B

# 個人自我證明表 / Self-Certification Form—Individual

## 第三部分：個人自我證明表 & 外國帳戶稅收遵從法案 (FATCA) 聲明及簽署

### Part 3 CRS&FATCA Declarations and Signature

本人知悉，本表所含資訊、相關帳戶持有人及任何應申報帳戶資訊，將可能提供中華民國稅捐稽徵機關，經由政府間協定進行稅務目的金融帳戶資訊交換，提供帳戶持有人為稅務居住者之國家 / 地區稅捐稽徵機關。

I acknowledge that the information contained in this form and information regarding the Account Holder and any Reportable Account(s) may be provided to the tax authorities of the ROC and exchanged with tax authorities of another country(ies)/jurisdiction(s) in which the Account Holder may be a tax resident pursuant to intergovernmental agreements to exchange financial account information for tax purposes.

本人證明，與本表相關之所有帳戶，本人為帳戶持有人 (或本人業經帳戶持有人授權簽署本表)。

I certify that I am the Account Holder (or I am authorized to sign for the Account Holder) of all the account(s) to which this form relates.

本人聲明，就本人所知所信，於本自我證明所為之陳述均為正確且完整。

I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete.

本人承諾，如狀態變動致影響本表第一部分所述之個人稅務居住者身分，或所載資料不正確或不完整，本人會通知安聯證券投資信託股份有限公司，並在狀態變動後 30 日內提供安聯證券投資信託股份有限公司一份經適當更新之自我證明表。

I undertake to advise Allianz Global Investors Taiwan Ltd. (the name of the Financial Institution) of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect or incomplete, and to provide Allianz Global Investors Taiwan Ltd. (the name of the Financial Institution) with a suitably updated self-certification form within 30 days of such change in circumstances.

如果您經判別為具美國納稅義務人身分 (如：具美國國籍、持有綠卡、美國長期居民註) 或經判別為具美國納稅義務人身分，本公司依據「個人資料保護法」第 7 條及第 20 條規定，在將您個人資料為原蒐集目的外利用時，應告知下列事項及取得您的書面同意：

You have been identified as a U.S. taxpayer, so Allianz Global Investors Taiwan Ltd., in accordance with Article 7 and 20 of the Personal Information Protection Act, will collect your written consent and inform/request from you the following:

1. 特定目的外之利用目的：依美國外國帳戶稅收遵從法案 (FATCA) 規定申報個人資料予美國稅務機關。  
Purpose of collection: To report to the IRS your personal information in accordance with the Foreign Account Tax Compliance Act (FATCA).
2. 個人資料範圍：姓名、電話、地址、美國稅籍編號、帳號、帳戶餘額 / 價值、利息收入、總收益、股利或其他所得等資料。  
Scope of personal information: Name, telephone number, address, U.S. tax ID, account number, account balance/value, interest income, total income, dividends or other information.
3. 個人資料利用對象：美國稅務機關。  
Target of the use of personal information: IRS
4. 同意與否權益之影響：不同意時將被列為不合作帳戶，安聯證券投資信託股份有限公司得於符合我國法律規定前提下向美國稅務機關申報您之個人資料或依相關規定處理。  
Impact if disagree: Your account will be listed as recalcitrant account if you disagree. Subject to the relevant rules and regulations of Taiwan, Allianz Global Investors Taiwan Ltd. must also comply with IRS reporting requirements or relevant regulations to report your personal information.

本人已如實告知本公司有關 FATCA 身分確認事項，如有不實，概由本人負法律責任。

I have informed Allianz Global Investors Taiwan Ltd. all matters related to FATCA requirements and has ensured the truthfulness of the information to the best of Allianz Global Investors Taiwan Ltd.'s knowledge. In the event of any discrepancy, the I will be held liable.

經安聯證券投資信託股份有限公司向本人明確告知上開事項，本人同意安聯證券投資信託股份有限公司提供上述個人資料予美國稅務機關。

I have been informed by the Allianz Global Investors Taiwan Ltd. of the abovementioned requirements and I agree to provide my personal information to the IRS.

註：美國長期居民係指非美國公民，但停留美國境內天數符合下列條件：當年度在美國境內停留天數  $\geq 31$  天，或 (當年在美國境內停留天數  $\times 1 +$  去年在美國境內停留天數  $\times 1/3 +$  前年在美國境內停留天數  $\times 1/6) \geq 183$  天。

※ Please note that this form is not for tax and legal advice, and our company is not allowed to give any tax or legal advice. If you have any questions regarding the tax and legal issues in this document, please consult with tax, legal, or other areas of professionals.

聲明人 (即受益人)

Print Name :

\_\_\_\_\_

身分證字號

ID No :

\_\_\_\_\_

簽署日期

Date :

\_\_\_\_\_

聲明人簽署 Signature

受益人原留印鑑

未成年或受監護或輔助宣告人請加蓋法定代理人印鑑

經辦：\_\_\_\_\_ 覆核：\_\_\_\_\_