

M16 SOURCE OF WEALTH QUESTIONNAIRE

實質受益人財富來源審查表



富達證券投資信託股份有限公司
11065 臺北市信義區忠孝東路五段 68 號 11樓
收件部門 富達投信基金事務部
富達客服專線 0800-00-9911
富達傳真專線 0800-00-7755

- ◎ 填寫文件如有塗改，請於塗改處加蓋原留印鑑。若未加蓋者，恕不受理。請勿使用傳真感熱紙。
- ◎ 若您所提供之資料有任何變更時，請立即通知富達投信。
- ◎ 若實質受益人超過一人以上，請您自行複印本表格填寫。

1. CUSTOMER INFORMATION 客戶資料			
Account Name 帳戶名稱			
ID/Registration No. 帳戶統一編號		Fidelity Account No. 富達帳戶號碼	
Purpose of the company 公司設立目的		Nationality/Place of Incorporation 國籍/註冊國	
Country of Residence/ Activity 居住或營業所在國		Country of tax residence (if different from above) 稅籍地區/國家 (如與前述不同)	
2. BENEFICIAL OWNERS (where the customer is not a natural person) 實質受益人資料 (如客戶為非自然人)			
(The natural person named below is the beneficial owner of the investment held with Fidelity 以下自然人為上述帳戶之實質受益人)			
Name of Beneficial Owner (In Chinese) 實質受益人姓名 (中文)		Name of Beneficial Owner (In English) 實質受益人姓名 (英文)	
Date of Birth 出生年月日	/ / (yyyy) 西元年 (mm) 月 (dd) 日	Place of Birth 出生地	/ / Country 國家 Town 城市
Correspondence Address 通訊地址	("Care of" and PO Box are not accepted 不接受代收地址及郵政信箱)		
Occupation 職業類別	<input type="checkbox"/> Employed 一般受雇人員 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Self-Employed 中小企業主/自僱 <input type="checkbox"/> Other 其他 (please specify 必填) _____		
Industry 產業類別	(E.g. Finance, Health Care 例如: 金融業、健康護理)	Job Title 職稱	(E.g. Manager/Assistant 例如: 經理/助理)
Source of Wealth 財富來源	<input type="checkbox"/> Savings from income 薪資收入 <input type="checkbox"/> Sale of investment 投資收益 <input type="checkbox"/> Sale of property 處分固定資產 <input type="checkbox"/> Gift 贈與 <input type="checkbox"/> Inheritance 遺產繼承 <input type="checkbox"/> Divorce settlement 贍養費 <input type="checkbox"/> Business income 經營事業 <input type="checkbox"/> Lottery/betting win 樂透/博奕彩金 <input type="checkbox"/> Rental income 租賃收入 <input type="checkbox"/> Retirement funds 退休金 <input type="checkbox"/> Other 其他 (please specify 必填) _____		
2.1 INFORMATION REGARDING OCCUPATION OR SOURCE OF WEALTH 關於職業或財富來源的補充資料			
2.1.1 If declared occupation is "Retired" 如果職業為「退休」			
Name of last employer 退休前的雇主/公司名稱			
Industry/Nature of activity 公司所處產業/公司營業活動		Title of last position held 退休前的職稱	
Total years of employment 受雇年限		Final annual income 退休前的年薪	
2.1.2 If declared occupation is "Self-employed" 如果職業為「中小企業主/自僱」			
Nature of business or activity 該事業營業活動	(e.g. trading, manufacturing etc. 例如: 交易、製造等等)		
Name of company (If applicable) 公司名稱 (如有)			
Main location of business 該事業主要營業地區			
Length of years in business 該事業開業年限		Approx. annual profit 概估年獲利	

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2.1 INFORMATION REGARDING OCCUPATION OR SOURCE OF WEALTH 關於職業或財富來源的補充資料

2.1.3 If source of wealth is inherited, gifted, derived from an individual other than the customer, or generally not self-generated (e.g. students or housewives where the wealth is not generally self-earned)
如果財富來源為遺產繼承、贈與、非自客戶端取得或一般來說非為自己賺取得來 (例如：學生或家庭主婦的財富來源非為自己賺取)

Relationship with contributor of wealth 與財富提供者的關係	(e.g. father, spouse etc. 例如：父親、配偶等等)	Nature of contribution 財富來源類別	(e.g. inheritance 例如：遺產繼承)
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Please provide the following information in respect of the contributor 請提供財富提供者的資料：

Name of contributor 財富提供者名稱	
Name of company (if applicable) 公司名稱 (如有)	
Occupation/nature of business engaged in 職業類別	Length of years in employment/business 在職/營業年限
Location of employment/ business activity 在職/營業地區	Last annual income 最近一年的年所得

2.1.4 If declared source of wealth is sales of assets 如果財富來源為資產處分所得

Nature/Type of Assets 資產種類	(e.g. real estate, art, bonds etc. 例如：不動產、藝術品、債券等等)
Total net proceeds of sale 處分資產淨所得	

2.1.5 If declared source of wealth is lottery or windfall 如果財富來源為彩金或意外之財

Source (Name of lottery/ casino) 來源 (彩金/博奕場所名稱)	
Jurisdiction the win was generated in 贏得該財富之地區	Total amount generated 贏取財富總額

3. TAX DECLARATION 稅務聲明

3.1 Beneficial Owner Declaration 實質受益人聲明

Please note that although the beneficial owner(s) is/are responsible for their own tax affairs, we (Fidelity) may, when deemed necessary, require the beneficial owner(s) to provide information relating to their tax affairs in order for us to comply with local and international regulatory requirements.

請注意，雖然實質受益人負責自己的稅務事務，但我們（富達）在認為必要時可能會要求實質受益人提供與其稅務相關的資訊，以便我們遵守當地的和國際監管要求。

By signing on this form:

- you agree to provide information and/or documentation to Fidelity upon request; and
- you confirm that you are responsible for your own tax affairs and that you have not committed or been convicted of any tax crimes in any countries or jurisdictions; and will continue to comply with all applicable tax obligations which the beneficial owner is subject to.

透過在此表格上簽名：

- 您同意應富達的要求提供資訊和/或文件；及
- 您確認您負責您自己的稅務事務，並且您沒有在任何國家或司法管轄區犯下或被判犯有任何稅務犯罪；而且您將繼續遵守您/您的公司應承擔的所有適用稅收義務。

Signature 簽章：

Date 日期：

3. TAX DECLARATION 稅務聲明

3.2 Company Declaration 公司聲明

Please sign or seal matching with the specimen in Fidelity's record 請簽蓋於富達投信之原留簽名或印章樣式

Please note that although you/your company are/is responsible for its own tax affairs, we (Fidelity) may, when deemed necessary, require you/your company to provide information relating to your/your company's tax affairs in order for us to comply with local and international regulatory requirements.

請注意，雖然您/您的公司負責自己的稅務，但我們（富達）在認為必要時可能會要求您/您的公司提供與您/您公司的稅務相關的資訊，以便我們遵守當地的和國際監管要求。

By signing on this form:

- you/your company agree(s) to provide information and/or documentation to Fidelity upon request; and
- you/your company confirm(s) that you/your company are/is responsible for your/your company's own tax affairs and that you/your company have/has not committed or been convicted of any tax crimes in any countries or jurisdictions; and you/your company will continue to comply with all applicable tax obligations which you/your company are/is subject to.

透過在此表格上簽名：

- 您/您的公司同意應富達的要求提供資訊和/或文件；及
- 您/您的公司確認您/您的公司負責您自己的稅務事務，並且您/您的公司沒有在任何國家或司法管轄區犯下或被判犯有任何稅務犯罪；並且您/您的公司將繼續遵守您/您的公司應承擔的所有適用稅收義務。

I/My company declare(s) that the information provided in this form is accurate and complete.

本人/本公司在此聲明以上所提供的信息是完整及正確的。

Name 名稱：

Job Title 職稱：

Date 日期：