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購買海外投資股份授權書
Authorization to Purchase Offshore Investment Shares

charles SCHWAB 嘉信理財

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international.schwab.com | 1-877-686-1937 (美國境內 inside the U.S.)
+1-415-667-8400 (美國境外 outside the U.S.)

- 此表格必須在美國境外簽署並從美國境外郵寄至嘉信理財®。
  This form must be signed and sent from outside the U.S.
- 欲購買海外投資基金股份的投資者，請詳閱並填妥表格內適用於閣下的A和B部分。
  Investors wanting to purchase Offshore Investment Fund Shares should read and complete Sections A and B, as applicable.
- 若投資公司沒有依據1940年投資公司法案在美國註冊，而其股份也沒有依據1933年證券法案在美國註冊，這投資項目便屬「海外基金」。所有的購買均請填妥以下A部分。擁有美國地址的帳戶持有人請填妥B部分。
  If an investment company is not registered in the U.S. under the Investment Company Act of 1940 and its shares are not registered in the U.S. under the Securities Act of 1933, then it is an "Offshore Fund." Complete Section A for all purchases. Complete Section B for accounts with U.S. addresses.

嘉信帳戶號碼(若知道) Schwab Account Number (if known)

在此表格上登記的客戶名稱及簽署必須與客戶護照上的吻合。
Client name(s) and signature(s) recorded on this form must match those on the client passport(s).

A部份
Section A

本人(我們)委任嘉信理財公司為本人(我們)的代理人處理有關海外基金的購買、保管、出售及收納派息，同時，本人(我們)在以下作出授權的宣言。該宣言在本人(我們)於下方的日期及在每一次購買海外基金當天之日期生效。
I (we) appoint Charles Schwab & Co., Inc. as my (our) agent to purchase, hold, redeem and receive distributions from Offshore Funds, and I (we) make the following representations, as of the date below and on each date on which a purchase of Offshore Funds is made.

本人(我們)保證：
I (we) certify the following:

1. 在本人(我們)逗留在美國本土、領土或屬地期間，沒有人向本人(我們)推介或提供買入海外基金的建議。
   No person solicited or recommended the purchase of Offshore Funds while I was (we were) physically present in the U.S. or its territories or possessions.
2. 本人(我們)並非美國人士(其定義在表格第三頁有詳細解述)。
   I am (we are) not a U.S. person(s) (as defined on page 3 of this form).
3. 按照美國税務條例，本人(我們)為免税外籍人士，同時在嘉信理財已有一份填妥的W-8代用表格，或本人(我們)將會在遞交這份授權書時，隨附一份填妥的W-8代用表格。
   I am (we are) an exempt foreign person(s) under U.S. tax laws and have completed and given to Charles Schwab & Co., Inc. a Substitute Form W-8 or will complete and return it concurrently with this form.
4. 若本人(我們)成為美國人士或按照美國税務條例已經不屬於免税外籍人士，本人(我們)將會立即通知嘉信理財。
   I (we) will notify Charles Schwab & Co., Inc. immediately if I (we) become a U.S. person(s) or am (are) no longer an exempt foreign person(s) under U.S. tax laws.
5. 本人(我們)不曾／將不會為美國人士或根據美國税務條例所指的非免税外籍人士的帳戶、或為其利益、或使用其資金代購海外基金的股份。
   I (we) did not/will not purchase shares of Offshore Funds for the account or benefit of, or with funds provided by, a U.S. person or a person who is not an exempt foreign person under U.S. tax laws.
6. 本人(我們)不會將海外基金的股份或利息轉給任何美國人士或根據美國税務條例所指的非免税外籍人士。
   I (we) will not transfer shares or interests in Offshore Funds to any U.S. person or a person who is not an exempt foreign person under U.S. tax laws.

本人(我們)並且保證：
I (we) further certify:

任何為我(我們)帳戶購買海外基金的訂單將只會在美國、其領土或所屬地範圍之外，才作下單交易，
Any purchase order of Offshore Funds for my (our) account will be made only from outside the U.S. and its territories and possessions,

或
or

本人(我們)的海外基金交易將由獲全權委託授權於本人(我們)帳戶內進行交易的美國專業信託執行。
trades in Offshore Funds for my (our) account will be made by a U.S. professional fiduciary with discretionary authority to trade in my (our) account.

簽署及日期 Signature(s) and Date(s) Required

X 帳戶持有人/授權代理人簽署 Account Holder/Authorized Agent Signature	請以英文正楷填寫姓名 Print Name	日期 (月/日/年) Date (mm/dd/yyyy)
X 其他帳戶持有人/授權代理人簽署 Additional Account Holder/Authorized Agent Signature	請以英文正楷填寫姓名 Print Name	日期 (月/日/年) Date (mm/dd/yyyy)

若閣下的帳戶帶有美國地址，必須填妥此表格內的B部份，以證明閣下符合購買海外基金的資格。我們只會郵寄確認通知書及月報表至客戶的美國地址，但任何有關海外基金的資料則不包括在內。

If your account has a U.S. address, you must complete Section B of this form to certify eligibility to purchase Offshore Funds. Only confirmations and statements, but no information concerning Offshore Funds, will be sent to a customer address within the U.S.

B部份
Section B

(您**僅**須填妥這部份若帳戶擁有美國地址。)
(Complete this section ONLY if your account has a U.S. address.)

本人謹此保證以下資料為本人的確實國籍和居所：
I hereby certify my citizenship and residence are as follows:

姓名 Name	國籍 Citizenship
地址 Address	

其他帳戶持有人資料
Additional account holder

姓名 Name	國籍 Citizenship
地址 Address	

本人要求確認通知書和月報表郵寄到以下指定的美國地址：
I request that confirmations and statements be sent to the following U.S. address:

姓名 Name	國籍 Citizenship
地址 Address	

簽署及日期 Signature(s) and Date(s) Required

X 帳戶持有人/授權代理人簽署 Account Holder/Authorized Agent Signature	請以英文正楷填寫姓名 Print Name	日期 (月/日/年) Date (mm/dd/yyyy)
X 其他帳戶持有人/授權代理人簽署 Additional Account Holder/Authorized Agent Signature	請以英文正楷填寫姓名 Print Name	日期 (月/日/年) Date (mm/dd/yyyy)

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對非美國人士的規定
Requirements to Be a Non-U.S. Person

帳戶持有人類別 Type of Account Holder	符合規定，若： Satisfies Requirements If:	不符合規定，若： But Does Not Satisfy Requirements If:
自然人 **Natural Person** (或自然人之註冊投資顧問[簡稱RIA]委託帳戶) (or Registered Investment Advisor [RIA] Discretionary Account for a Natural Person)	自然人非美國居民。 Natural person is not a U.S. resident.	自然人為美國公民。 Natural person is a U.S. citizen.
合夥或機構 **Partnership or Corporation** (或合夥或機構之註冊投資顧問委託帳戶) (or RIA Discretionary Account for Partnership or Corporation)	在任何外國司法管轄權規定下組織或成立的合夥或機構。 Partnership or corporation is organized or incorporated under the laws of any foreign jurisdiction.	由美國人士組織或成立的合夥或機構，並且其目的主要為投資在未依據1933年證券法案註冊的證券。 Partnership or corporation is organized or incorporated by a U.S. person principally for the purpose of investing in securities not registered under the Securities Act of 1933.

其他類型的帳戶持有人
Other Types of Account Holder

1. 信託
Trust

符合規定，若：
Satisfies requirements if:

所有受託人必須為非美國人士，或(i)註冊投資顧問為受託人；(ii)受託人為非美國人士，並在信託資產的投資交易擁有全部或共享權力；及(iii)所有信託受益人均為非美國人士(若該信託可被撤銷，則其信託創立人也必須為非美國人士)。
Either no trustee is a U.S. person or (i) RIA acts as a trustee; (ii) a trustee who is not a U.S. person has sole or shared investment discretion with respect to the trust assets; and (iii) no beneficiary of the trust is a U.S. person (and the settlor is not a U.S. person if the trust is revocable).

2. 遺產
Estate

符合規定，若：
Satisfies requirements if:

所有遺產執行人或管理人必須為非美國人士，或(i)註冊投資顧問為執行人或管理人；(ii)遺產執行人或管理人均為非美國人士，並在遺產的資產方面擁有全部或共享的投資權力；及(iii)該遺產受外國司法管轄權監管。
Either no executor or administrator is a U.S. person or (i) RIA is an executor or administrator; (ii) an executor or administrator of the estate who is not a U.S. person has sole or shared investment discretion with respect to the assets of the estate; and (iii) the estate is governed by foreign law.

3. 僱員福利計劃
Employee Benefit Plan

符合規定，若：
Satisfies requirements if:

計劃依據外國司法管轄權的法制、常規及文件設立和監管。
The plan is established and administered in accordance with the law, customary practices, and documentation of a foreign jurisdiction.

4. 駐美國境外的美國人士的代理機構或分行
Agency or Branch of a U.S. Person Located Outside the U.S.

符合規定，若：
Satisfies requirements if:

(i)為有效的商業理由運作的代理機構或分行；同時(ii)該代理機構或分行承辦保險或銀行業務並受當地司法管轄權實質性保險或銀行的條例規管。
(i) The agency or branch operates for valid business reasons; and (ii) the agency or branch is engaged in the business of insurance or banking and subject to substantive insurance or banking regulation in the jurisdiction where it is located.

嘉信理財職員專用 FOR CHARLES SCHWAB USE ONLY

☐ 158 Offshore Authorization—Section A ☐ 160 U.S. Address—Foreign Residence—Section B

Source Code	Branch Office and Account Number			—					—			

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