



W-8BEN 表格填写说明

美国证券市场几乎对全世界国家的人民开放，为奖励投资，符合外国人身份的投资者买卖证券所得之资本利得 (Capital Gain) 免于扣缴美国所得税。若您并非美国居民，开户时请填写美国国税局提供的 W-8BEN 表，以便享受免税优惠。然而，外国投资人所得的现金股利 (Dividends) 及利息 (Interest) 仍然必须缴交美国政府所得税。W8BEN 表请寄到第一证券而非美国国税局。

W-8BEN 是美国政府单位发行的表格，**必须以英文正楷填写**，第一证券所提供的中文版本，仅作参考用。**请将填写后的表格通过第一证券网站内的客户服务 -> 表格中心 -> 上传文档 功能发送。**

请注意：

- 此表仅限个人使用，如为公司或其他法人申请，请使用 W-8BEN-E。
- 美国公民和绿卡持有者请勿使用 W-8BEN，请使用 W-9。
- 居住在美国境内之外籍人士，其身份符合美国国税局所定义之所得税申报义务人者，请勿使用 W-8BEN，请使用 W-9。
- 当年度在美国境内实际居住超过 183 天之外籍人士，请勿使用 W-8BEN。F、J、M、Q 签证持有者除外，请在表格上注明您的签证类别。
- 若您的身分由他国国籍变更为美国公民或永久居民，请于 30 天内填写 W-9 通知第一证券。
- 若您的固定居住地址迁移至不同国家，请于 30 天内填写新的 W-8BEN 表格交予第一证券。
- 第一证券有权在任何时候要求我们的用户提供 W-8BEN 表格签署原件。

第一部分 受益人资料

1. 受益人姓名
2. 受益人国籍
3. 固定居住地址（恕不接受邮政信箱号码或代收邮件地址）
除少数例外，居住地址应包含门牌号码、路（街）名、城市名、国名和邮政编码。
4. 通讯地址（若与固定居住地址相同可不填）
5. 美国纳税人税籍号码。（例如社会安全号码或个人报税号码 ITIN，如果没有无须填写）
6. 国外税籍号码（请填写居住地报税号码，即您在申报所得税时使用的个人身份识别号码）
7. 相关号码（请填入第一证券帐户号码）
8. 受益人生日（月-日-年）

第二部分 税务减免要求（如适用）

9. 如受益人是和美国签订了税务互惠协定的国家的居民，请填写该国家名称。
10. 特殊费率与条件（此项不适用，无需填写）

第三部分 填写人声明

本人声明以上所填资料属实且完整。同时也声明以下项目为实：

- 本人（或授权人）为本表格所提及的所有所得收入的申报人。
- 受益人不是美国税法规定的美国所得税申报义务人 (U.S. Person)。
- 本人的所得不属美国的贸易或商业行为，且本人确实符合美国的税务减免互惠资格。
- 证券交易受益人是免徵美国所得税的他国申报人。

除此之外，在此声明，美国所得税扣缴单位有权预扣我的税款。

签名栏

请受益人或授权人签名；日期（月/日/年）；

签名人姓名（请与护照上的英文姓名保持一致）；授权代理人身份（如本人填写，请写 SELF）。

W-8BEN 表格填写说明是第一证券为了方便华人客户所准备的简略参考说明。客户填写 W-8BEN 时请以美国国税局 IRS 所公布的英文资料为准，详细资料请至 www.irs.gov 索取。

Form **W-8BEN**

Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)

(Rev. July 2017)

OMB No. 1545-1621

Department of the Treasury
Internal Revenue Service

- For use by individuals. Entities must use Form W-8BEN-E.
- Information about Form W-8BEN and its separate instructions is at www.irs.gov/formw8ben.
- Give this form to the withholding agent or payer. Do not send to the IRS.

Do NOT use this form if:

- You are NOT an individual..... **W-8BEN-E**
- You are a U.S. citizen or other U.S. person, including a resident alien individual..... **W-9**
- You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the U.S. (other than personal services)..... **W-8ECI**
- You are a beneficial owner who is receiving compensation for personal services performed in the United States **8233 or W-4**
- A person acting as an intermediary..... **W-8IMY**

Instead, use Form:

Note: If you are resident in a FATCA partner jurisdiction (i.e., a Model 1 IGA jurisdiction with reciprocity), certain tax account information may be provided to your jurisdiction of residence.

Part I Identification of Beneficial Owner (see instructions) 受益人身份 (请参阅说明)

<p>1 Name of individual who is the beneficial owner 受益人姓名</p> <p>Datong Wang</p>	<p>2 Country of citizenship 国籍</p> <p>China</p>
<p>3 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address. 固定居住地址 (道路名称 住宅号码)。请勿使用邮政信箱号码或代收邮件地址。</p> <p>Rm.2-3, Level 6, Tower E1, 55 East Chang An Ave., Dongcheng District</p> <p>City or town, state or province. Include postal code where appropriate. 乡镇城市名、州或省名、邮政编码</p> <p>Beijing 10001</p> <p>Country 国名</p> <p>China</p>	
<p>4 Mailing address (if different from above) 通讯地址(如与上述地址不同时)</p> <p>City or town, state or province. Include postal code where appropriate. 乡镇城市名、州或省名、邮政编码</p> <p>Country 国名</p>	
<p>5 U.S. taxpayer identification number (SSN or ITIN), if required (see instructions) 美国纳税人税籍号码, 如适用(请参阅说明)</p>	<p>6 Foreign tax identifying number (see instructions) 国外税籍号码(居住地报税号码, 即您在申报所得税时的个人识别号码)</p> <p>###-###-###-##</p>
<p>7 Reference number(s) (see instructions) 相关指引号码 (请参阅说明)</p> <p>(请填写您的第一证券账户号码)</p>	<p>8 Date of birth (MM-DD-YYYY) (see instructions) 生日 (月-日-年)</p> <p>08-28-1978</p>

Part II Claim of Tax Treaty Benefits (for chapter 3 purposes only) (see instructions)

9 I certify that the beneficial owner is a resident of China within the meaning of the income tax treaty between the United States and that country. 本人特此声明, 受益人是上述和美国签订了税务互惠协定的国家的居民。

10 **Special rates and conditions** (if applicable—see instructions): The beneficial owner is claiming the provisions of Article and paragraph ___ of the treaty identified on line 9 above to claim a ___ % rate of withholding on (specify type of income): _____

Explain the additional conditions in the Article and paragraph the beneficial owner meets to be eligible for the rate of withholding: _____

Part III Certification

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income to which this form relates or am using this form to document myself as an individual that is an owner or account holder of a foreign financial institution,
- The person named on line 1 of this form is not a U.S. person,
- The income to which this form relates is:
 - (a) not effectively connected with the conduct of a trade or business in the United States,
 - (b) effectively connected but is not subject to tax under an applicable income tax treaty, or
 - (c) the partner's share of a partnership's effectively connected income,
- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country, and
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.
- Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. **I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.**

Sign Here
签名栏



Signature of beneficial owner (or individual authorized to sign for beneficial owner)
受益人签名(或受益人授权之签署人签名)

Datong Wang

Print name of signer
签名人姓名 (请和护照上的英文姓名保持一致)

01/03/2018

日期(月-日-年)

SELF

Capacity in which acting (if form is not signed by beneficial owner)

Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)

(Rev. July 2017)

► For use by individuals. Entities must use Form W-8BEN-E.

OMB No. 1545-1621

Department of the Treasury
Internal Revenue Service

► Information about Form W-8BEN and its separate instructions is at www.irs.gov/formw8ben.

► Give this form to the withholding agent or payer. Do not send to the IRS.

Do NOT use this form if:

Instead, use Form:

- You are NOT an individual W-8BEN-E
- You are a U.S. citizen or other U.S. person, including a resident alien individual W-9
- You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the U.S. (other than personal services) W-8ECI
- You are a beneficial owner who is receiving compensation for personal services performed in the United States 8233 or W-4
- You are a person acting as an intermediary W-8IMY

Note: If you are resident in a FATCA partner jurisdiction (i.e., a Model 1 IGA jurisdiction with reciprocity), certain tax account information may be provided to your jurisdiction of residence.

Part I Identification of Beneficial Owner (see instructions)

1 Name of individual who is the beneficial owner		2 Country of citizenship	
3 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address.			
City or town, state or province. Include postal code where appropriate.			Country
4 Mailing address (if different from above)			
City or town, state or province. Include postal code where appropriate.			Country
5 U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)		6 Foreign tax identifying number (see instructions)	
7 Reference number(s) (see instructions)		8 Date of birth (MM-DD-YYYY) (see instructions)	

Part II Claim of Tax Treaty Benefits (for chapter 3 purposes only) (see instructions)

9 I certify that the beneficial owner is a resident of _____ within the meaning of the income tax treaty between the United States and that country.

10 **Special rates and conditions** (if applicable—see instructions): The beneficial owner is claiming the provisions of Article and paragraph _____ of the treaty identified on line 9 above to claim a _____ % rate of withholding on (specify type of income): _____

Explain the additional conditions in the Article and paragraph the beneficial owner meets to be eligible for the rate of withholding: _____

Part III Certification

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income to which this form relates or am using this form to document myself for chapter 4 purposes,
- The person named on line 1 of this form is not a U.S. person,
- The income to which this form relates is:
 - (a) not effectively connected with the conduct of a trade or business in the United States,
 - (b) effectively connected but is not subject to tax under an applicable income tax treaty, or
 - (c) the partner's share of a partnership's effectively connected income,
- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country, and
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. **I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.**

Sign Here ▶

Signature of beneficial owner (or individual authorized to sign for beneficial owner) Date (MM-DD-YYYY)

Print name of signer Capacity in which acting (if form is not signed by beneficial owner)