

W-9 — 要求纳税人识别号及证明

所有W表格均必须以英文填写。

Form  
(Rev. October 2018)  
Department of the Treasury  
Internal Revenue Service

W-9

Request for Taxpayer  
Identification Number and Certification

Go to [www.irs.gov/FormW9](http://www.irs.gov/FormW9) for instructions and the latest information.

Give Form to the  
requester. Do not  
send to the IRS.

1 Name (as shown on your income tax return). Name is required on this line, do not leave this line blank.

2 Business name/disregarded entity name, if different from above

3 Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only **one** of the following seven boxes.

☐ Individual/sole proprietor or single-member LLC

☐ C Corporation

☐ S Corporation

☐ Partnership

☐ Trust/estate

☐ Limited liability company. Enter the tax classification (C–C corporation, S–S corporation, P–Partnership) **▶**  
**Note:** Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is **not** disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner.

☐ Other (see instructions) **▶**

4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):  
Exempt payee code (if any) \_\_\_\_\_  
Exemption from FATCA reporting code (if any) \_\_\_\_\_  
(Applies to accounts maintained outside the U.S.)

5 Address (number, street, and apt. or suite no.) See instructions.

6 City, state, and ZIP code

7 List account number(s) here (optional)

Requester's name and address (optional)

Part I  
Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN*, later.  
**Note:** If the account is in more than one name, see the instructions for line 1. Also see *What Name and Number To Give the Requester* for guidelines on whose number to enter.

A

-

or

B

-

Employer identification number

Part II  
Certification

Under penalties of perjury, I certify that:  
1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and  
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and  
3. I am a U.S. citizen or other U.S. person (defined below); and  
4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.  
**Certification instructions.** You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions for Part II, later.

Sign  
Here

Signature of  
U.S. person **▶**

**C**

**D**

Date **▶**

General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.  
**Future developments.** For the latest information about developments related to Form W-9 and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/FormW9](http://www.irs.gov/FormW9).  
**Purpose of Form**  
An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following.  
• Form 1099-INT (interest earned or paid)  
• Form 1099-DIV (dividends, including those from stocks or mutual funds)  
• Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)  
• Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)  
• Form 1099-S (proceeds from real estate transactions)  
• Form 1099-K (merchant card and third party network transactions)  
• Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)  
• Form 1099-C (canceled debt)  
• Form 1099-A (acquisition or abandonment of secured property)  
Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.  
*If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding, later.*

Cat. No. 10231X

Form **W-9** (Rev. 10-2018)

如为联名户口，每位户口持有人必须分别填写一份表格。  
W-9表格必须准确填写，不得涂改。如果填写有误，请用新表格重新填写。  
请勿使用涂改液或其他涂改工具。

第1栏 填写您在所得税报表中所示的全名。

第2栏 填写您的商业名称 / 无行企业实体名称，仅于其与第1栏所填「名称」不同时填写。

第3栏 只选择**其中一个**方格。如果您是一家有限责任公司（Limited liability company），请只选择「有限责任公司」的方格，并在所示栏位填写C、S或P。

第4栏 （如适用）在所示栏位填写「获豁免收款人代码」和「豁免FATCA申报代码」。  
注意：如果您对上述代码有疑问，请寻求独立税务意见。

第5栏 在第一行请填写完整的街道地址。

第6栏 在第二行填写城市 / 城镇、国家及 / 或州，以及邮政编码。

第7栏 请勿填写户口号码，否则表格将仅限于所列户口使用，您可能须为其他户口另外填写表格。

第一部分：纳税人识别号（TIN）请按照指示填写相关栏位：

A

个人/ 独资经营业主：社会保障号码（SSN）。  
或

B

实体（即商业机构）：雇主身分别别号码(EIN)。  
注意：有效的美国纳税人识别号应由9个数字组成。纳税人识别号通常都会：

- 包含数字 (不含字母或其他字符)
- 由9个数字组成而不会
- 含有9个相同的数字
- 或 含有9个顺序排列的数字（无论升序还是降序）。

如果您正在申请纳税人识别号，请在社会保障号码或雇主身分别别号码一栏填写 “Applied”（已申请）。您必须在60天内向我们提供您的纳税人识别号。

第二部分：证明

**C和D** 请签名并填写日期。如果代表某个实体签名，必须确保您有权代表该实体签名。

注意： 除非授权书特别注明代理人/ 律师可以签署税务文件或税务表格（并提供或持有相关副本），或者提供国税局2848表格，否则本表格不得通过授权书授权签署。

汇丰不能提供任何税务建议。如需有关建议，请咨询独立税务顾问。

© HSBC Group 2018. All Rights Reserved.

# W-9 form; request for Taxpayer Identification Number and Certification

All W Forms must be completed in English

Form  
(Rev. October 2018)  
Department of the Treasury  
Internal Revenue Service

**W-9**  
**Request for Taxpayer  
Identification Number and Certification**  
Go to [www.irs.gov/FormW9](https://www.irs.gov/FormW9) for instructions and the latest information.

Give Form to the  
requester. Do not  
send to the IRS.

1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.

2 Business name/disregarded entity name, if different from above

3 Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only **one** of the following seven boxes.  
☐ Individual/sole proprietor or single-member LLC  
☐ Limited liability company. Enter the tax classification (C-Corporation, S-S corporation, P-Partnership) ☐ C Corporation  
☐ S Corporation  
☐ Partnership  
☐ Trust/estate  
**Note:** Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is not disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner.  
☐ Other (see instructions) ☐

4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):  
Exempt payee code (if any)   
Exemption from FATCA reporting code (if any)   
(Applies to accounts maintained outside the U.S.)

5 Address (number, street, and apt. or suite no.) See instructions.

6 City, state, and ZIP code

7 List account number(s) here (optional)

Requester's name and address (optional)

**Part I Taxpayer Identification Number (TIN)**  
Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN*, later.  
**Note:** If the account is in more than one name, see the instructions for line 1. Also see *What Name and Number To Give the Requester* for guidelines on whose number to enter.

Social security number  
- - - - -  
OR  
Employer identification number  
- - - - -

**Part II Certification**  
Under penalties of perjury, I certify that:  
1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and  
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and  
3. I am a U.S. citizen or other U.S. person (defined below); and  
4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.  
**Certification instructions.** You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions for Part II, later.

Sign Here  
Signature of U.S. person **C**  
Date **D**

**General Instructions**  
Section references are to the Internal Revenue Code unless otherwise noted.  
**Future developments.** For the latest information about developments related to Form W-9 and its instructions, such as legislation enacted after they were published, go to [www.irs.gov/FormW9](https://www.irs.gov/FormW9).  
**Purpose of Form**  
An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following:  
• Form 1099-INT (interest earned or paid)  
• Form 1099-DIV (dividends, including those from stocks or mutual funds)  
• Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)  
• Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)  
• Form 1099-S (proceeds from real estate transactions)  
• Form 1099-K (merchant card and third party network transactions)  
• Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)  
• Form 1099-C (canceled debt)  
• Form 1099-A (acquisition or abandonment of secured property)  
Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.  
*If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding, later.*

Cat. No. 10231X  
Form **W-9** (Rev. 10-2018)

For joint accounts, each account holder must complete a separate form. The form W-9 must be completed correctly without any alterations. If you make a mistake, please start again with a new form. Do not use liquid paper or any other correctional tool.

- Line 1

Insert the full name as shown on your income tax return form
- Line 2

Insert your business name/disregarded entity name **only** if the answer is different to your answer for Line 1
- Line 3

Only check **one** box in this section. If you are a limited liability company, check the LLC box and enter your tax classification as C (C Corporation), S (S Corporation) or P (Partnership)
- Line 4

(if applicable) Write down the 'Exempt Payee Code' and 'Exemption from FATCA reporting code' in the fields indicated  
**Note:** if you have any queries regarding these codes, please seek independent tax advice
- Line 5

Enter your full street address
- Line 6

Enter your city/town, country/jurisdiction and/or state, post code/ZIP
- Line 7

We recommend that you **do not** list any account numbers as you may have to provide forms for accounts you have not included

## Part I Taxpayer Identification Number (TIN)

**A** For individuals or sole proprietors: enter your social security number (SSN)

**B** For entities (ie businesses) enter your employer identification number (EIN)

**Note:** A valid US Tax identification number will always

- ♦ include numbers (no letters or other characters)
- ♦ be made up of nine digits and never
- ♦ consist of nine of the same number
- ♦ be made up of nine sequential numbers either ascending or descending

If you have applied for a TIN or are about to, please enter **Applied** for in either the SSN or TIN boxes. You will have 60 days to provide us with the TIN

## Part II Certification

**C and D** Please sign and date the form. If you are signing on behalf of an entity, please be sure you are authorised to do so.

**Note:** This form can only be signed under a Power of Attorney (POA) if the POA specifically states that the agent/attorney is able to sign on tax matters or tax forms and a copy is provided or held, alternatively if an IRS Form 2848 is provided



HSBC is unable to provide tax advice. For tax advice please refer to an independent tax advisor.