

致：圓通環球證券有限公司(「圓通環球證券」)

To: Yuan Tong Global Securities Limited (“Yuan Tong Global”)

共同匯報標準自我證明表格 – 實體
Common Reporting Standard Self-Certification Form – Entity

帳戶號碼:

A/C No. : _____

1. 公司帳戶資料 Corporate Account Information

公司名稱 Name of Company / Corporation	
中文 Chinese	
英文 English	
註冊／成立地點 Place of Incorporation/ Establishment:	
註冊編號 Certificate No.:	
註冊日期 Date of Incorporation: (日 DD/月 MM/年 YYYY)	
商業登記編號 Business Registration No.:	
主要辦事處地址 Principal Place of Business:	
室/樓層/大廈/街道/地區 Room /Floor/ Building/ Street/ District	
城市 City	
省/州 Province / State	
國家 Country	
郵政編碼/郵遞區 Post Code/ZIP Code	
通訊地址(如與以上不同) Correspondence Address (if different from above):	
室/樓層/大廈/街道/地區 Room/Floor/ Building/ Street/ District	
城市 City	
省/州 Province / State	
國家 Country	
郵政編碼/郵遞區 Post Code/ZIP Code	

2. 實體類別 Entity Type

在其中一個適當的方格內加上打鈎，並提供有關資料。

Tick one of the appropriate boxes and provide the relevant information.

財務機構 Financial Institution	<input type="checkbox"/>	託管機構、存款機構或指明保險公司 Custodial Institution, Depository Institution or Specified Insurance Company
	<input type="checkbox"/>	投資實體，但不包括由另一財務機構管理(例如：擁有酌情權管理投資實體的資產)並位於非參與稅務管轄區的投資實體 Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity's assets) and located in a non-participating jurisdiction
主動非財務實體 Active NFE	<input type="checkbox"/>	該非財務實體的股票經常在 _____ (一個具規模證券市場) 進行買賣 NFE the stock of which is regularly traded on _____, which is an established securities market
	<input type="checkbox"/>	_____的有關連實體，該有關連實體的股票經常在 _____ (一個具規模證券市場) 進行買賣 Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market
	<input type="checkbox"/>	政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體 NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities
	<input type="checkbox"/>	除上述以外的主動非財務實體 (請說明 _____) Active NFE other than the above (Please specify _____)
被動非財務實體 Passive NFE	<input type="checkbox"/>	位於非參與稅務管轄區並由另一財務機構管理的投資實體 Investment entity that is managed by another financial institution and located in a non-participating jurisdiction
	<input type="checkbox"/>	不屬主動非財務實體的非財務實體 NFE that is not an active NFE

被動非財務實體的帳戶持有人，須填寫所有控權人的個人資料。就法人實體，如行使控制權的並非自然人，控權人會是該法人實體的高級管理人員。每名控權人須分別填寫自我證明 - 控權人部份。

Indicate the personal information of all controlling person(s) of the Passive NFE's account holder. If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official. **Complete the part of Self-Certification – Controlling Person for each controlling person.**

3. 居留司法管轄區及稅務編號或具有等同功能的識辨編號（以下簡稱「稅務編號」）

Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN")

請提供以下資料，列明 (a) 帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區（香港包括在內）及 (b) 該居留司法管轄區發給帳戶持有人的稅務編號。請列出所有（不限於 4 個）居留司法管轄區。

Please complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder's TIN for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence.

如帳戶持有人是香港稅務公司，稅務編號是其商業登記號碼。如沒有提供稅務編號，必須填寫合適的理由：
If the account holder is a tax company of Hong Kong, the TIN is the Hong Kong BR Number. If a TIN is unavailable, provide the appropriate reason A, B or C:

理由 A - 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

Reason A - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

理由 B - 帳戶持有人不能取得稅務編號。如選取這一理由，請解釋帳戶持有人不能取得稅務編號的原因。

Reason B - The account holder is unable to obtain a TIN. Please 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編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

Reason C - TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

	居留司法管轄區 Jurisdiction of Residence	稅務編號 TIN	如沒有提供稅務編號，請填寫理由 A、B 或 C Please enter Reason A, B or C if no TIN is available	如選取理由 B，請解釋帳戶持有人不能取得稅務編號的原因 Please explain why you are unable to obtain a TIN if you have selected Reason B
1			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
2			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
3			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
4			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	

4. 聲明及簽署

Declarations and Signature

本人知悉及同意，圓通環球證券可根據《稅務條例》（第 112 章）有關交換財務帳戶資料的法律條文，(a) 收集本表格所載資料並可備存作自動交換財務帳戶資料用途及 (b) 把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by YUAN TONG GLOBAL SECURITIES for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by YUAN TONG GLOBAL SECURITIES to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人。

I certify that I am the account holder of all the account(s) to which this form relates.

本人承諾，如情況有所改變，以致影響所述實體的稅務居民身分，或引致開戶資料表格及/或本表格所載的資料不正確，本人會通知圓通環球證券，並會在情況發生改變後 30 日內，向圓通環球證券提交一份已適當更新的自我證明表格。如果本人未能提供任何所要求的資料，圓通環球證券保留採取任何補救措施的權利，包括(但不限於)限制及終止帳戶的運作。

I undertake to advise YUAN TONG GLOBAL SECURITIES of any change in circumstances which affects the tax residency status of the entity identified in the Account Opening Information Form and/or this form or causes the information contained herein to become incorrect, and to provide YUAN TONG GLOBAL SECURITIES with a suitably updated self-certification form within 30 days of such change in circumstances. Where I fail to provide any requested information (regardless of the consequences), YUAN TONG GLOBAL SECURITIES reserves the right to take any action and/or pursue all remedies at its disposal including, without limitation to restrict or terminate the operation of the account.

本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

客戶簽署並蓋章:

Client Authorized Signature(s) with company chop:

客戶簽署代表人的姓名及職銜

Authorized Signatory's name and title(s)

日期(日/月/年)

Date:(DD/MM/YY)

重要提示

Important Notes:

這是由帳戶持有人向圓通環球證券提供的自我證明表格，以作自動交換財務帳戶資料用途。圓通環球證券可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。

This is a self-certification form provided by an account holder to YUAN TONG GLOBAL SECURITIES for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the YUAN TONG GLOBAL SECURITIES to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.

如帳戶持有人的稅務居民身分有所改變，應盡快將所有變更通知圓通環球證券。

An account holder should report all changes in his/her tax residency status to YUAN TONG GLOBAL SECURITIES.

除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。

All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s).

根據《稅務條例》第 80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級（即\$10,000）罰款。

It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).