

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 – 控權人
Common Reporting Standard Self-Certification Form – Individual

帳戶號碼:

A/C No. : _____

1. 控權人的身分資料 Identification of Controlling Person

| | | |
|--|--------------------------|-------------------------|
| 客戶名稱 Client Name(s) : <input type="checkbox"/> 先生 Mr. <input type="checkbox"/> 太太 Mrs. <input type="checkbox"/> 女士 Mdm. <input type="checkbox"/> 小姐 Miss | | |
| 中文 Chinese | | |
| 英文 English | 姓氏 Last Name or Surname: | 名字 First or Given Name: |
| | | |
| 身份證／護照號碼 ID. Card / Passport No. : | | |
| 國籍 Nationality: | | |
| 出生日期 Date of Birth: (日 DD/月 MM/年 YYYY) | | |
| 出生地點 Place of Birth: | | |
| 現時住宅地址 Current Residential Address: | | |
| 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 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 Code | | |

2. 控權人類別 Type of Controlling Person

| | |
|---|--------------------------|
| 擁有控制股權的個人(即擁有不少於 35% 的已發行股本) Individual who has a controlling ownership interest (i.e. not less than 35% of issued share capital) | <input type="checkbox"/> |
| 以其他途徑行使控制權或有權行使控制權的個人(即擁有不少於 35% 的表決權) Individual who exercises control/is entitled to exercise control through other means (i.e. not less than 35% of voting rights) | <input type="checkbox"/> |
| 擔任該實體的高級管理人員/對該實體的管理行使最終控制權的個人 Individual who holds the position of senior managing official/exercises ultimate control over the management of the entity | <input type="checkbox"/> |
| 財產授予人 Settlor | <input type="checkbox"/> |
| 受託人 Trustee | <input type="checkbox"/> |
| 保護人 Protector | <input type="checkbox"/> |
| 受益人或某類別受益人的成員 Beneficiary or member of the class of beneficiaries | <input type="checkbox"/> |
| 其他(例如：如財產授予人/受託人/保護人/受益人為另一實體，對該實體行使控制權的個人) Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary) | <input type="checkbox"/> |
| 處於相等/相類於財產授予人位置的個人 Individual in a position equivalent/similar to settlor | <input type="checkbox"/> |
| 處於相等/相類於受託人位置的個人 Individual in a position equivalent/similar to trustee | <input type="checkbox"/> |
| 處於相等/相類於保護人位置的個人 Individual in a position equivalent/similar to protector | <input type="checkbox"/> |
| 處於相等/相類於受益人或某類別受益人的成員位置的個人 Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries | <input type="checkbox"/> |
| 其他(例如：如處於相等/相類於財產授予人/受託人/保護人/受益人位置的人為另一實體，對該實體行使控制權的個人) Other (e.g. individual who exercises control over another entity being equivalent/similar to settlor/trustee/protector /beneficiary) | <input type="checkbox"/> |

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 5 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居民，稅務編號是其香港身份證號碼。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 resident of Hong Kong, the TIN is the Hong Kong Identity Card 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

Declaration 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 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 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，以致影響本人的稅務居民身分，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 of any change in circumstances which affects the tax residency status of the individual 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 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 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

Client Signature:

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 for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the YUAN TONG GLOBAL 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.

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).

