

自我證明表格 (控權人)

Self-Certification Form (Controlling Person)

客戶須知：填寫此表格前，請先閱讀本節。
Important Notice to Customer(s): Please read this section before completing this form.

作為財務機構，我們是不允許給予客戶稅務諮詢。

如果您對此表格或您的稅務居民身份定義有任何疑問，請聯繫您的稅務顧問或相關稅務機關。您可以在 *OECD* 自動訊息交換網站 (<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>) 獲取更多信息。

As a financial institution, we are not allowed to give tax advice

If you have any questions regarding this form or defining your tax residency status, please speak to your tax advisor or relevant tax authority. You can also find out more on the *OECD* automatic exchange of information portal (<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>).

您可能會被要求提供更多證明文件，以核實此表格上之內容。

You may be asked to provide additional documents to verify the certification made on this form.

這是由控權人向申報財務機構提供的自我證明表格，以作自動交換財務帳戶資料用途。申報財務機構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 a controlling person to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.

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。在欄/部份標有星號 (*) 的項目為申報財務機構須向稅務局申報的資料。

All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/sections marked with an asterisk (*) are required to be reported by the reporting financial institution to the Inland Revenue Department.

第1部份：控權人身份 Section 1: Controlling Person Identification

個人資料 Personal Information:

控權人姓名 (姓氏*, 名字*) Name of Controlling Person (First or Given name*, Last name or Surname*)

出生日期* (日/月/年) Date of Birth* (dd/mm/yyyy) 出生地點 (城市, 國家) Place of Birth (City, Country) (可不填寫 Not compulsory)

香港身份證或護照號碼* Hong Kong Identity Card or Passport Number*

簽發地點 Issuing Jurisdiction

居住地址 Residence Address:

室/層/座 Room/ Flat, Floor, Block

樓宇/屋苑名稱, 街道號數/名稱 Name of Building/ Estate, No. & Name of Street/ Road

地區/城市*/城鎮 District/ City*/ Town

郵政編碼 Post Code

國家* Country*

通訊地址 (如與上述居住地址不同) Correspondence Address (if different from the residence address stated above):

室/層/座 Room/ Flat, Floor, Block

樓宇/屋苑名稱, 街道號數/名稱 Name of Building/ Estate, No. & Name of Street/ Road

地區/城市/城鎮 District/ City/ Town

郵政編碼 Post Code

國家 Country

第2部份：您作為控權人的實體帳戶持有人 Section 2: The Entity Account Holder(s) of which you are a controlling person

請填寫您作為控權人的實體帳戶持有人的名稱。

Please enter the name of the entity account holder of which you are a controlling person.

| 實體帳戶持有人的名稱 Name of entity account holder | |
|---|--|
| 實體 1 Entity 1 | |
| 實體 2 Entity 2 | |
| 實體 3 Entity 3 | |
| 實體 4 Entity 4 | |

第3部份：稅務居民身份聲明 Section 3: Declaration of Residence for tax purposes

提供以下資料，列明（a）控權人的居留司法管轄區，亦即控權人的稅務管轄區（香港包括在內）及（b）該居留司法管轄區發給控權人的稅務編號。列出**所有**（不限於 4 個）居留司法管轄區。

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the controlling person is a resident for tax purposes and (b) the controlling person's Tax Identification Number ("TIN") for each jurisdiction indicated. Indicate **all** (not restricted to 4) jurisdictions of residence.

如控權人是香港稅務居民，稅務編號是其香港身份證號碼。

If the controlling person is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.

如沒有提供稅務編號，必須填寫理由 A, B 或 C:

If a TIN is unavailable, provide the appropriate reason A, B or C:

理由 A - 控權人的居留司法稅務管轄區並沒有向其居民發出稅務編號。

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

理由 B - 控權人不能取得稅務編號。如選取這一理由，解釋控權人不能取得稅務編號的原因。

Reason B - The controlling person is unable to obtain a TIN. Explain why the controlling person is unable to obtain a TIN if you have selected this reason

理由 C - 控權人毋須提供稅務編號。這理由只適用於居留司法管轄區的主管機關不需要控權人披露稅務編號。

Reason C - TIN is not required. Select this reason only if the authorities of the jurisdiction of tax 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 Enter Reason A, B or C if no TIN is available | 如選擇理由 B， 解釋控權人不能取得稅務編號的原因 Explain why the controlling person is unable to obtain a TIN if you have selected Reason B |
|--|---------------|---|--|
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第4部份：控權人類別 Section 4: Type of Controlling Person

在適當方格內加上✓號，指出控權人就第2部份所載的每個實體所屬的控權人類別。
Please tick the appropriate box to indicate the type of controlling person for each entity stated in Section 2.

| 實體類別 Type of Entity | 控權人類別 Type of controlling person | 實體 1 Entity 1 | 實體 2 Entity 2 | 實體 3 Entity 3 | 實體 4 Entity 4 |
|---|--|--------------------------|--------------------------|--------------------------|--------------------------|
| 法人 Legal Person | 擁有控制股權的個人（即擁有不少於百分之二十五的已發行股本） Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | 以其他途徑行使控制權或有權行使控制權的個人（即擁有不少於百分之二十五的表決權） Individual who exercises control/ is entitled to exercise control through other means (i.e. not less than 25% of voting rights) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <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"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 信託 Trust | 財產授予人 Settlor | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | 受託人 Trustee | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | 保護人 Protector | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <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"/> | <input type="checkbox"/> | <input type="checkbox"/> | <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"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 除信託以外的 法律安排 Legal Arrangement other than Trust | 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"/> | <input type="checkbox"/> | <input type="checkbox"/> | <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"/> | <input type="checkbox"/> | <input type="checkbox"/> | <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"/> | <input type="checkbox"/> | <input type="checkbox"/> | <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"/> | <input type="checkbox"/> | <input type="checkbox"/> | <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"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

第5部份：聲明及簽署 Section 5: Declarations and Signature

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.

本人知悉及同意，財務機構可根據《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）把該等資料和關於控權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，從而把資料轉交到控權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 the financial institution for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the controlling person and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with tax authorities of another jurisdiction or jurisdictions in which the controlling person 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).

本人承諾，如情況有所改變，以致影響本表格第1部份所述的控權人的稅務居民身份，或引致本表格所載的資料不正確，本人會通知招商証券集團的相關機構，並會在情況發生改變後的30日內，向所述的相關機構提交一份已適當更新的自我證明表格。

I undertake to advise the relevant entity of the China Merchants Securities Group of any change in circumstances which affects the tax residency status of the controlling person identified in Section 1 of this form or causes the information contained herein to become incorrect, and to provide the said relevant entity with a suitably updated self-certification form within 30 days of such change in circumstances.

本人證明，就與本表格所有相關的實體帳戶持有人所持有的帳戶，本人是控權人/本人獲控權人授權簽署本表格[^]。

I certify that I am the controlling person/ I am authorized to sign for the controlling person[^] of all the account(s) held by the entity account holders to which this form relates.

控權人簽署/授權人簽署[^]
Signature of Controlling Person/ Authorized Signatory[^]

正楷姓名
Print Name

日期(日/月/年)
Date (dd/mm/yyyy)

簽署人身份(如您不是控權人，請註明身份。
如果您是以授權人身份簽署這份表格，須夾附該授權書的核證副本。)
Signer Capacity (Indicate the capacity if you are not the controlling person.
If signing under a power of attorney, attach a certified copy of the power of attorney.)

警告：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（即港幣\$10,000）罰款。

WARNING: 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. HK\$10,000).

如此自我證明表格的中、英文兩個版本有任何不相符之處，均以英文版本為準，所有您在此表格提供的資料會被視為回應英文版本原文。

In the event of any inconsistency between the English and Chinese language text on this self-certification form, the English version shall prevail and all information provided by you on this form shall be treated as addressing the English text.

[^] 刪去不適用者 Delete as appropriate