

自我证明表格(实体客户)

Self-Certification Form (Entity)

客户须知：填写此表格前，请先阅读本节。

Important Notice to Customer(s): Please read this section before completing this form.

作为财务机构，我们是不允许给予客户税务咨询。

如果您对此表格或您的税务居民身份定义有任何疑问，请联系您的税务顾问或相关税务机关。您可以在OECD自动讯息交换网站(<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>)获取更多信息。

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 adviser 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/>).

您可能会被要求提供更多证明文件，以核实此表格上之内容。

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

这是由帐户持有人向申报财务机构提供的自我证明表格，以作自动交换财务帐户资料用途。申报财务机构可把收集所得的资料交给税务局，税务局会将资料转交到另一税务管辖区的税务当局。

This is a self-certification form provided by an account holder 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.

除不适用或特别注明外，必须填写这份表格所有部分。如这份表格上的空位不够应用，可另纸填写。在栏/部份标有星号(*)的项目为申报财务机构须向税务局申报的资料。

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：实体帐户持有人身份 Section 1: Entity Account Holder Identification

实体/分支机构法定名称* Legal Name of Entity/ Branch*

香港商业登记号码 Hong Kong Business Registration Number/公司号码 Company Number

实体成立为法团或设立所在的税务管辖区 Jurisdiction of Incorporation/ Organization

营业地址 Business Address:

室/层/座 Room/ Flat, Floor, Block

楼宇/屋苑名称, 街道号数/名称 Name of Building/ Estate, No. & Name of Street/ Road

地区/城市*/城镇 District/ City*/ Town

邮政编码 Post Code

国家* Country*

通讯地址(如与上述营业地址不同) Correspondence address (if different from the business address above):

室/层/座 Room/ Flat, Floor, Block

楼宇/屋苑名称, 街道号数/名称 Name of Building/ Estate, No. & Name of Street/ Road

地区/城市/城镇 District/ City/ Town

邮政编码 Post Code

国家 Country

第2部份：实体类别，居留司法管辖区及税务编号

Section 2: Entity Type, Jurisdiction of Residence and Taxpayer Identification Number ("TIN")

在其中一个适当的方格内加上✓号，并提供有关资料。

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

本人/吾等(代表本实体)证明本实体帐户持有人是：

I/We (on behalf of the entity) certify that the entity account holder is:

财务机构

Financial Institution

- 选项类别：
Specify Type:
- 托管机构、存款机构或指明保险公司
Custodial Institution, Depository Institution or Specified Insurance Company
 - 投资实体，但不包括由另一财务机构管理（例如：拥有酌情权管理投资实体的资产）并位于非参与税务管辖区的投资实体
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

主动非财务实体

Active NFE ("Non-Financial Entity")

- 选项类别：
Specify Type:
- 该非财务实体的股票经常在_____（一个具规模证券市场）进行买卖
NFE the stock of which is regularly traded on _____, which is an established securities market
 - _____ 的有关连实体，该有关连实体的股票经常在_____（一个具规模证券市场）进行买卖
Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market.
 - 政府实体、国际组织、中央银行或由前述的实体全权拥有的其他实体
NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities
 - 除上述以外的主动非财务实体 -
请说明： _____
Active NFE other than the above -
Please specify: _____

被动非财务实体

Passive NFE ("Non-Financial Entity")

- 选项类别：
Specify Type:
- 位于非参与税务管辖区并由另一财务机构管理的投资实体
Investment entity that is managed by another financial institution and located in a non-participating jurisdiction
 - 不属主动非财务实体的非财务实体
NFE that is not an active NFE

第2部份：实体类别，居留司法管辖区及税务编号(续)

Section 2: Entity Type, Jurisdiction of Residence and Taxpayer Identification Number ("TIN") (Continued)

下列司法管辖区的税务居民：

A tax resident in the following jurisdiction(s):

提供以下资料，列明 (a) 帐户持有人的居留司法管辖区，亦即帐户持有人的税务管辖区（香港包括在内）及 (b) 该居留司法管辖区发给帐户持有人的税务编号。列出**所有**（不限于 4 个）居留司法管辖区。

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 Tax Identification Number ("TIN") for each jurisdiction indicated. Indicate **all** (not restricted to 4) jurisdictions of residence.

如帐户持有人是香港税务居民，税务编号是其香港商业登记号码。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number.

如果帐户持有人并非任何税务管辖区的税务居民（例如：它是财政透明实体），填写实际管理机构所在的税务管辖区。

If the account holder is not a tax resident in any jurisdiction (e.g. fiscally transparent), indicate the jurisdiction in which its place of effective management is situated.

如没有提供税务编号，必须填写理由 A, B 或 C:

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

理由 A - 帐户持有人的居留司法税务管辖区并没有向其居民发出税务编号。

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

理由 B - 帐户持有人不能取得税务编号。如选取这一理由，解释帐户持有人不能取得税务编号的原因。

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

理由 C - 帐户持有人毋须提供税务编号。这理由只适用于居留司法管辖区的主管机关不需要帐户持有人披露税务编号。

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

居留司法管辖区* Jurisdiction of Residence*	税务编号* TIN*	如没有提供税务编号，请填写理由 A, B 或 C Enter Reason A, B or C if no TIN is available	如选取理由 B， 解释帐户持有人不能取得税务编号的原因 Explain why the account holder is unable to obtain a TIN if you have selected Reason B

第3部份：控权人 – 被动非财务实体 Section 3: Controlling Person(s) – Passive NFE

只供被分类为被动非财务实体填写（包括被重新分类为被动非财务实体之位于非参与税务管辖区并由另一财务机构管理的投资实体）。

Complete only for an entity that is classified as a Passive NFE (including an Investment Entity that is managed by another financial institution and located in a non-participating jurisdiction).

请在以下列表填写所有实体帐户持有人的控权人之姓名。**请留意控权人指符合指定条件的自然人。**就法人实体，如行使控制权的并非自然人，控权人会是该法人实体的高级管理人员。

Indicate the name(s) of all controlling person(s) of the account holder in the table below. **Please note that Controlling Person refers to a natural person who meets the specified requirements.** 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.

如果有超过4位控权人，请使用额外的自我证明表格（控权人）。

If you have more than 4 controlling persons, use an additional self-certification form (Controlling Person).

如实体帐户持有人选择就每一位控权人另外提交自我证明表格，请在以下列表填写控权人之姓名，并须就每位控权人分别提交一份自我证明表格（控权人）。否则，就每位控权人而言，必须填写以下列表的所有部分，包括每位控权人的居留司法管辖区（包括香港）及该居留司法管辖区发给控权人的税务编号。列出**所有**居留司法管辖区。

If the entity account holder chooses to provide separate self-certification form for each controlling person, provide the name of each controlling person in this section and provide a separate Self-Certification Form (Controlling Person) for each controlling person. Otherwise, for each controlling person, fill in ALL parts of this section, including the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and the controlling person's Tax Identification Number ("TIN") for each jurisdiction indicated. Indicate **all** jurisdiction of residence.

如控权人是香港税务居民，税务编号是其香港身份证号码。

If the Controlling Person is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.

如没有提供税务编号，必须填写理由 A, B 或 C:

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

理由 A - 控权人的居留司法税务管辖区并没有向其居民发出税务编号。

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

理由 B - 控权人不能取得税务编号。如选取这一理由，解释控权人不能取得税务编号的原因。

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 - 控权人毋须提供税务编号。这理由只适用于居留司法管辖区的主管机关不需要控权人披露税务编号。

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

控权人之姓名 Name of Controlling Person ("CP"), i.e. First or Given name*, Last name or Surname*		控权人之居留司法管辖区* All Jurisdiction(s) of Residence of CP*	控权人之税务编号* TIN of CP*	如没有提供税务编号，请填写理由 A, B 或 C Enter Reason A, B or C if no TIN is available	如选取理由 B，解释控权人不能取得税务编号的原因 Explain why the CP is unable to obtain a TIN if you have selected Reason B
控权人 1 CP1	_____				
	姓氏, 名字 First or Given name, Last name or Surname				
Please enter the name of other entity account holder(s) of which this controlling person is a controlling person 填写这位控权人作为控权人的其他实体帐户持有人的名称					
Entity 实体	Name of the Entity Account Holder(s) 实体帐户持有人名称				
1)					
2)					

第3部份：控权人 - 被动非财务实体 (续) Section 3: Controlling Person(s) - Passive NFE (Continued)

控权人之姓名 Name of Controlling Person ("CP"), i.e. First or Given name*, Last name or Surname*		控权人之居留司法 管辖区* All Jurisdiction(s) of Residence of CP*	控权人之税务编号* TIN of CP*	如没有提供税务编 号, 请填写理由 A, B 或 C Enter Reason A, B or C if no TIN is available	如选取理由 B, 解释控权人不能取得税务编号的原因 Explain why the CP is unable to obtain a TIN if you have selected Reason B
控权 人 2 CP2	_____				
	姓氏, 名字 First or Given name, Last name or Surname				

Please enter the name of other entity account holder(s) of which this controlling person is a controlling person
填写这位控权人作为控权人的其他实体帐户持有人的名称

Entity 实体	Name of the Entity Account Holder(s) 实体帐户持有人名称
1)	
2)	

控权人之姓名 Name of Controlling Person ("CP"), i.e. First or Given name*, Last name or Surname*		控权人之居留司法 管辖区* All Jurisdiction(s) of Residence of CP*	控权人之税务编号* TIN of CP*	如没有提供税务编 号, 请填写理由 A, B 或 C Enter Reason A, B or C if no TIN is available	如选取理由 B, 解释控权人不能取得税务编号的原因 Explain why the CP is unable to obtain a TIN if you have selected Reason B
控权 人 3 CP3	_____				
	姓氏, 名字 First or Given name, Last name or Surname				

Please enter the name of other entity account holder(s) of which this controlling person is a controlling person
填写这位控权人作为控权人的其他实体帐户持有人的名称

Entity 实体	Name of the Entity Account Holder(s) 实体帐户持有人名称
1)	
2)	

控权人之姓名 Name of Controlling Person ("CP"), i.e. First or Given name*, Last name or Surname*		控权人之居留司法 管辖区* All Jurisdiction(s) of Residence of CP*	控权人之税务编号* TIN of CP*	如没有提供税务编 号, 请填写理由 A, B 或 C Enter Reason A, B or C if no TIN is available	如选取理由 B, 解释控权人不能取得税务编号的原因 Explain why the CP is unable to obtain a TIN if you have selected Reason B
控权 人 4 CP4	_____				
	姓氏, 名字 First or Given name, Last name or Surname				

Please enter the name of other entity account holder(s) of which this controlling person is a controlling person
填写这位控权人作为控权人的其他实体帐户持有人的名称

Entity 实体	Name of the Entity Account Holder(s) 实体帐户持有人名称
1)	
2)	

第3部份：控权人 – 被动非财务实体 (续) Section 3: Controlling Person(s) – Passive NFE (Continued)

在适当方格内加上✓号，指出每位控权人就本表格第1部份所述的实体帐户持有人所属的控权人类别。

Please tick the appropriate box to indicate the type of controlling person for each Controlling Person of the entity account holder identified in Section 1 of this form.

实体类别 Type of Entity	控权人类别 Type of Controlling Person ("CP")	控权 人 1 CP1	控权 人 2 CP2	控权 人 3 CP3	控权 人 4 CP4
法人 Legal Person	拥有控制股权的个人 (即拥有不少于百分之二十五的已发行股本) 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"/>
	以其他途径行使控制权或有权行使控制权的个人 (即拥有不少于百分之二十五的表决权) 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"/>
	担任该实体的高级管理人员/对该实体的管理行使最终控制权的个人 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"/>
信托 Trust	财产授予人 Settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	受托人 Trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	保护人 Protector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	受益人或某类别受益人的成员 Beneficiary or member of the class of beneficiaries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	其他 (例如: 如财产授予人/受托人/保护人/受益人为另一实体, 对该实体行使控制权的个人) 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"/>
除信托以外的 法律安排 Legal Arrangement other than Trust	处于相等/相类于财产授予人位置的个人 Individual in a position equivalent/similar to settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	处于相等/相类于受托人位置的个人 Individual in a position equivalent/similar to trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	处于相等/相类于保护人位置的个人 Individual in a position equivalent/similar to protector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	处于相等/相类于受益人或某类别受益人的成员位置的个人 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: 如处于相等/相类于财产授予人/受托人/保护人/受益人位置的人为另一实体, 对该实体行使控制权的个人) 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 3 部份：控权人 – 被动非财务实体 (续) Section 3: Controlling Person(s) – Passive NFE (Continued)

控权人之香港身份证或护照号码及签发地点 Hong Kong Identity Card or Passport Number of CP and Issuing Jurisdiction	
控权人 1 CP1	香港身份证或护照号码^ Hong Kong Identity Card or Passport Number^ 签发地点 Issuing Jurisdiction
控权人 2 CP2	香港身份证或护照号码^ Hong Kong Identity Card or Passport Number^ 签发地点 Issuing Jurisdiction
控权人 3 CP3	香港身份证或护照号码^ Hong Kong Identity Card or Passport Number^ 签发地点 Issuing Jurisdiction
控权人 4 CP4	香港身份证或护照号码^ Hong Kong Identity Card or Passport Number^ 签发地点 Issuing Jurisdiction

控权人之居住地址 Residence Address of CP	
控权人 1 CP1	(城市) (City)* (国家) (Country)*
控权人 2 CP2	(城市) (City)* (国家) (Country)*
控权人 3 CP3	(城市) (City)* (国家) (Country)*
控权人 4 CP4	(城市) (City)* (国家) (Country)*

控权人之通讯地址 (如与上述居住地址不同) Correspondence address (if different from the residence address above)	
控权人 1 CP1	(城市) (City) (国家) (Country)
控权人 2 CP2	(城市) (City) (国家) (Country)
控权人 3 CP3	(城市) (City) (国家) (Country)
控权人 4 CP4	(城市) (City) (国家) (Country)

第 3 部份：控权人 - 被动非财务实体 (续) Section 3: Controlling Person(s) - Passive NFE (Continued)

控权人之出生日期 (日/月/年) * Date of Birth of CP (dd/mm/yyyy)*		控权人之出生地点 (城市及国家) (可不填写) Place of Birth of CP (City & Country) (Not compulsory)	
控权 人士 1 CP1		(城市) (City)	(国家) (Country)
控权 人士 2 CP2		(城市) (City)	(国家) (Country)
控权 人士 3 CP3		(城市) (City)	(国家) (Country)
控权 人士 4 CP4		(城市) (City)	(国家) (Country)

第4部份：声明及签署 Section 4: Declarations and Signature

本人声明就本人所知所信，本表格内所填报的所有资料和声明均属真实、正确和完备。

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，财务机构可根据《税务条例》（第112章）有关交换财务帐户资料的法律条文，（a）收集本表格所载资料并可备存作自动交换财务帐户资料用途及（b）把该等资料和关于帐户持有人，其控权人及任何须申报帐户的资料向香港特别行政区政府税务局申报，从而把资料转交到帐户持有人及/或其控权人的居留司法管辖区的税务当局。

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 account holder, its controlling person(s) 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 account holder and/or its controlling person(s) 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).

本人承诺，如情况有所改变，以致影响本表格第1部份所述的实体或第3部份所述的控权人的税务居民身份，或引致本表格所载的资料不正确，本人会通知招商证券集团的相关机构，并会在情况发生改变后的30日内，向所述的相关机构重新提交一份已适当更新的自我证明表格。

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 entity identified in Section 1 or controlling person(s) identified in Section 3 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.

本人证明，本人获授权代表此表格第1部份所述的实体及第3部分所述的控权人签署此自我证明表格。

I certify that I am authorized to sign for the entity identified in Section 1 and the controlling person(s) identified in Section 3 of this self-certification form.

签署
Signature

正楷姓名
Print Name

日期(日/月/年)
Date (dd/mm/yyyy)

签署人身份 #
Signer Capacity #

警告：根据《税务条例》第80(2E)条，如任何人在作出自我证明时，在明知一项陈述在要项上属具误导性、虚假或不正确，或罔顾一项陈述是否在要项上属具误导性、虚假或不正确下，作出该项陈述，即属犯罪。一经定罪，可处第3级（即港币\$10,000）罚款。

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).

如此自我证明表格的中、英文两个版本有任何不相符之处，均以英文版本为准，所有您在此表格提供的资料会被视为回应英文版本原文。

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.

^ 删去不适用者 Delete as appropriate

例如：公司的董事或高级人员、合伙的合伙人、信托的受托人等。如果您是以授权人身份签署这份表格，须夹附该授权书的核证副本。

E.g. Director or officer of a company, partner of a partnership, trustee of a trust etc. If signing under a power of attorney, attach a certified copy of the power of attorney.