

自我證明表格 (實體客戶)

Self-Certification Form (Entity)

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 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.

這是由帳戶持有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 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：實體帳戶持有人身份 Section 1: Entity Account Holder Identification

實體/分支機構法定名稱* Legal Name of Entity/ Branch*

香港商業登記號碼 Hong Kong Business Registration Number/公司號碼 Company Number

實體成立為法團或設立所在的稅務管轄區 Jurisdiction of Incorporation/ Organization

營業地址 Business 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 (如與上述營業地址不同) Correspondence address (if different from the business address 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：實體類別，居留司法管轄區及稅務編號

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

在其中一個適當的方格內加上✓號，並提供有關資料。

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

本人/吾等(代表本實體)證明本實體帳戶持有人是：

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

財務機構

Financial Institution

- 選項類別：
Specify Type:
- 託管機構、存款機構或指明保險公司
Custodial Institution, Depository Institution or Specified Insurance Company
 - 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 ("Non-Financial Entity")

- 選項類別：
Specify Type:
- 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
 - _____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.
 - 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
 - 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 ("Non-Financial Entity")

- 選項類別：
Specify Type:
- 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
 - 不屬主動非財務實體的非財務實體
NFE that is not an active NFE

第2部份：實體類別，居留司法管轄區及稅務編號(續)**Section 2: Entity Type, Jurisdiction of Residence and Taxpayer Identification Number ("TIN") (Continued)**

下列司法管轄區的稅務居民：

A tax resident in the following jurisdiction(s):

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。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 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.

如帳戶持有人是香港稅務居民，稅務編號是其香港商業登記號碼。

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

如果帳戶持有人並非任何稅務管轄區的稅務居民（例如：它是財政透明實體），填寫實際管理機構所在的稅務管轄區。

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 - 帳戶持有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 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，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. 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。這理由只適用於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 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	如選取理由 B，解釋帳戶持有人不能取得稅務編號的原因 Explain why the account holder is unable to obtain a TIN if you have selected Reason B

第3部份：控權人 - 被動非財務實體 Section 3: Controlling Person(s) – Passive NFE

只供被分類為被動非財務實體填寫（包括被重新分類為被動非財務實體之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）。

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).

請在以下列表填寫所有實體帳戶持有人的控權人之姓名。**請留意控權人指符合指定條件的自然人。**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。

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.

如果有超過4位控權人，請使用額外的自我證明表格（控權人）。

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

如實體帳戶持有人選擇就每一位控權人另外提交自我證明表格，請在以下列表填寫控權人之姓名，並須就每位控權人分別提交一份自我證明表格（控權人）。否則，就每位控權人而言，必須填寫以下列表的所有部分，包括每位控權人的居留司法管轄區（包括香港）及該居留司法管轄區發給控權人的稅務編號。列出**所有**居留司法管轄區。

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

控權人之姓名 Name of Controlling Person ("CP"), i.e. First or Given name*, Last name or Surname*		控權人之居留司法管轄區* All Jurisdiction(s) of Residence of CP*	控權人之稅務編號* TIN of CP*	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	如選取理由 B，解釋控權人不能取得稅務編號的原因 Explain why the CP is unable to obtain a TIN if you have selected Reason B
控權人 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 填寫這位控權人作為控權人的其他實體帳戶持有人的名稱					
Entity 實體	Name of the Entity Account Holder(s) 實體帳戶持有人名稱				
1)					
2)					

第3部份：控權人 - 被動非財務實體 (續) Section 3: Controlling Person(s) - Passive NFE (Continued)

控權人之姓名 Name of Controlling Person ("CP"), i.e. First or Given name*, Last name or Surname*		控權人之居留司法管轄區* All Jurisdiction(s) of Residence of CP*	控權人之稅務編號* TIN of CP*	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	如選取理由 B, 解釋控權人不能取得稅務編號的原因 Explain why the CP is unable to obtain a TIN if you have selected Reason B
控權人 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
填寫這位控權人作為控權人的其他實體帳戶持有人的名稱

Entity 實體	Name of the Entity Account Holder(s) 實體帳戶持有人名稱
1)	
2)	

控權人之姓名 Name of Controlling Person ("CP"), i.e. First or Given name*, Last name or Surname*		控權人之居留司法管轄區* All Jurisdiction(s) of Residence of CP*	控權人之稅務編號* TIN of CP*	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	如選取理由 B, 解釋控權人不能取得稅務編號的原因 Explain why the CP is unable to obtain a TIN if you have selected Reason B
控權人 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
填寫這位控權人作為控權人的其他實體帳戶持有人的名稱

Entity 實體	Name of the Entity Account Holder(s) 實體帳戶持有人名稱
1)	
2)	

控權人之姓名 Name of Controlling Person ("CP"), i.e. First or Given name*, Last name or Surname*		控權人之居留司法管轄區* All Jurisdiction(s) of Residence of CP*	控權人之稅務編號* TIN of CP*	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	如選取理由 B, 解釋控權人不能取得稅務編號的原因 Explain why the CP is unable to obtain a TIN if you have selected Reason B
控權人 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
填寫這位控權人作為控權人的其他實體帳戶持有人的名稱

Entity 實體	Name of the Entity Account Holder(s) 實體帳戶持有人名稱
1)	
2)	

第3部份：控權人 - 被動非財務實體 (續) Section 3: Controlling Person(s) - Passive NFE (Continued)

在適當方格內加上✓號，指出每位控權人就本表格第1部份所述的實體帳戶持有人所屬的控權人類別。

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.

實體類別 Type of Entity	控權人類別 Type of Controlling Person ("CP")	控權人 1 CP1	控權人 2 CP2	控權人 3 CP3	控權人 4 CP4
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 3 部份：控權人 - 被動非財務實體 (續) Section 3: Controlling Person(s) - Passive NFE (Continued)**控權人之香港身份證或護照號碼及簽發地點
Hong Kong Identity Card or Passport Number of CP and Issuing Jurisdiction**

控權人 1 CP1	香港身份證或護照號碼^ Hong Kong Identity Card or Passport Number^	簽發地點 Issuing Jurisdiction
控權人 2 CP2	香港身份證或護照號碼^ Hong Kong Identity Card or Passport Number^	簽發地點 Issuing Jurisdiction
控權人 3 CP3	香港身份證或護照號碼^ Hong Kong Identity Card or Passport Number^	簽發地點 Issuing Jurisdiction
控權人 4 CP4	香港身份證或護照號碼^ Hong Kong Identity Card or Passport Number^	簽發地點 Issuing Jurisdiction

**控權人之居住地址
Residence Address of CP**

控權人 1 CP1	(城市) (City)*	(國家) (Country)*
控權人 2 CP2	(城市) (City)*	(國家) (Country)*
控權人 3 CP3	(城市) (City)*	(國家) (Country)*
控權人 4 CP4	(城市) (City)*	(國家) (Country)*

**控權人之通訊地址 (如與上述居住地址不同)
Correspondence address (if different from the residence address above)**

控權人 1 CP1	(城市) (City)	(國家) (Country)
控權人 2 CP2	(城市) (City)	(國家) (Country)
控權人 3 CP3	(城市) (City)	(國家) (Country)
控權人 4 CP4	(城市) (City)	(國家) (Country)

第 3 部份：控權人 - 被動非財務實體 (續) Section 3: Controlling Person(s) - Passive NFE (Continued)

控權人之出生日期 (日/月/年) * Date of Birth of CP (dd/mm/yyyy)*		控權人之出生地點 (城市及國家)(可不填寫) Place of Birth of CP (City & Country) (Not compulsory)	
控權人士 1 CP1		(城市) (City)	(國家) (Country)
控權人士 2 CP2		(城市) (City)	(國家) (Country)
控權人士 3 CP3		(城市) (City)	(國家) (Country)
控權人士 4 CP4		(城市) (City)	(國家) (Country)

第4部份：聲明及簽署 Section 4: 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）把該等資料和關於帳戶持有人，其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，從而把資料轉交到帳戶持有人及/或其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 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).

本人承諾，如情況有所改變，以致影響本表格第1部份所述的實體或第3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，本人會通知招商證券集團的相關機構，並會在情況發生改變後的30日內，向所述的相關機構重新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 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.

本人證明，本人獲授權代表此表格第1部份所述的實體及第3部分所述的控權人簽署此自我證明表格。

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.

簽署
Signature

正楷姓名
Print Name

日期(日/月/年)
Date (dd/mm/yyyy)

簽署人身份 #
Signer Capacity #

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

例如：公司的董事或高級人員、合夥的合夥人、信託的受託人等。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。

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.