

Account no. 帳戶號碼:

**Self Certification Form – Controlling Person (CRS)**  
**自我證明表格-控權人 (共同匯報標準)**

**重要提示: 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.**

根據經濟合作與發展組織 (簡稱「經合組織」) 的共同匯報標準 (簡稱「CRS」) 的規定, 仁和資本有限公司(簡稱「仁和資本」)必須根據帳戶持有人的稅務居住身份蒐集及匯報所需相關資料。此表格由帳戶持有人向仁和資本提供的自我證明表格, 以作自動交換財務賬戶資料用途。仁和資本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。

Regulations based on Organization for Economic Co-operation and Development (“OECD”) Common Reporting Standard (“CRS”) require Harmonia Capital Limited (“HCL”) to collect and report certain required information based on an account holder’s tax residency status. This is a self-certification form provided by an account holder to HCL for the purpose of automatic exchange of financial account information. The data collected may be transmitted by HCL to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.

金融機構均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。您可以從經濟合作與發展組織(OECD)自動訊息交換網站 (<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>) 獲取更多詳情, 包括已簽署自動交換信息協議的司法管轄區的名單及被請求交換的有關信息。

Financial institutions are not allowed to provide 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. Please find out more on the OECD website (<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>), including a list of jurisdictions that have signed agreements to exchange information automatically, along with details about the information being requested.

此表格將一直有效, 直至帳戶持有人的稅務居民身份或本表格內必須填寫欄目有關的情況發生改變為止。若出現任何情況變動, 以致影響實體的稅務居民身份或引致本表格所載的資料不正確或不完整, 您必須於 30 日內通知仁和資本, 並提交一份已適當更新的自我證明表格。

This form will generally remain valid unless there is a change in circumstances relating to the account holder’s tax residency status or other mandatory fields included on this form. You must notify HCL within 30 days if there is a change in circumstance that affects the tax residency status of the entity or makes any of the information provided in this form incorrect or incomplete and provide an updated Self-Certification Form.

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, 可另以紙填寫。在標有星號 (\*) 之欄/部的項目為仁和資本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/parts marked with an asterisk (\*) are required to be reported by HCL to the Inland Revenue Department.

您可能被要求提供額外證明文件, 以核實此表格上之內容。

You may be asked to provide additional documents to evidence the declaration made on this form.

**請注意:**

**Please note that:**

若您是仁和資本的個人帳戶 / 聯名帳戶持有人, 或獨資經營者, 在仁和資本開設新帳戶、持有現有帳戶或需要就有關情況發生改變通知我們, 請填妥本表格。

**If you are an individual / joint account holder, or sole proprietor opening a new account with us, holding an existing account with us or you are notifying us of a change in circumstances. Please complete this form.**

**第一部份：控權人的人身份 Section 1: Controlling Person Identification**

稱謂 Title □先生 Mr □女士 Ms □小姐 Miss	控權人姓名 (姓氏, 名字) Name of Controlling Person (First name, Last name) *	
香港身份證或護照號碼 HKID Card No. / Passport No.	出生地 (城市, 國家) Place of Birth (City, Country)	出生日期 (日/月/年) Date of Birth (dd/mm/yyyy) *
現時住址 Residential Address:		
_____ 室、樓層、大廈/屋苑、街道、地區 Suite, Floor, Building / Estate, Street, District		
_____ 地區/城市/城鎮 District / City / Town*		
_____ 國家 Country*		_____ 郵政編碼 Post Code
通訊地址 (如與上述現時住址不同) Correspondence Address (if different from the residential address above):		
_____ 室、樓層、大廈/屋苑、街道、地區 Suite, Floor, Building / Estate, Street, District		
_____ 地區/城市/城鎮 District / City / Town*		
_____ 國家 Country*		_____ 郵政編碼 Post Code

**第二部份：閣下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**

填寫您作為控權人的實體賬戶持有人的名稱：

Enter the name of the entity account holder of which you are a controlling person:

實體 Entity	實體帳戶持有人的名稱 Name of the Entity Account Holder
(1)	
(2)	
(3)	

**第三部份：稅務居民身份 Section 3: Declaration of Residence for tax purpose\***

本人/吾等聲明本人為下列司法管轄區之稅務居民。

I hereby confirm that I am, for tax purposes, resident in the following countries.

請填寫您為稅務居民所屬的所有司法管轄區及相應的稅務編號 (包括香港在內)。如果您對您的稅務居民司法管轄區有任何疑問，請聯繫您的稅務顧問或相關稅務機關。

Please fill in ALL jurisdiction(s) and the associated TIN(s) where you are a tax resident (including Hong Kong). If you have any questions about your jurisdiction(s) of tax residency, please contact your tax advisor or relevant tax authority.

如帳戶持有人是香港/中國稅務居民，稅務編號是其香港/中國身份證號碼。

If the account holder is a tax resident of Hong Kong / China, the TIN is the Hong Kong / Chinese Identity Card Number.

如未能提供稅務編號，請填寫理由 A, B 或 C。

If a TIN is unavailable, please 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。(請在下表中解釋不能取得稅務編號的原因)

Reason B The Account Holder is unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN in the below table)

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.

稅務居民司法管轄地 Jurisdiction of Tax Residence	稅務編號 TIN	如未能提供稅務編號， 請填寫理由 A, B 或 C Enter Reason A, B or C if TIN is unavailable	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

#### 第四部份：控權人類別 Section 4: Type of Controlling Person

就第二部份所載的每個實體，在適當方格內加上剔號，指出控權人就每個實體所屬的類別：

Tick the appropriate box to indicate the type of controlling person for each entity stated in Part 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)
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"/>
	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"/>
	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"/>

信託 Trust	財產授予人 Settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	受託人 Trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	保護人 Protector	<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"/>
	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"/>
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"/>
	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"/>
	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"/>
	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"/>
	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"/>

#### 第五部份：聲明及簽署 Section 5: Declarations and Signature

本人知悉及同意，仁和資本可根據《稅務條例》(第 112 章) 有關交換財務帳戶資料的法律條文，(a) 收集此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 HCL 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 HCL 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，本人獲帳戶持有人授權簽署此表格。

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

本人承諾，如情況有所改變，以致影響此表格第一部所述的實體的稅務居民身分，或引致此表格所載的資料不正確，本人會通知仁和資本，並會在情況發生改變後 30 日內，向仁和資本提交一份已適當更新的自我證明表格。

I undertake to advise HCL of any change in circumstances which affects the tax residency status of the individual identified in Section 1 of this form or causes the information contained herein to become incorrect, and to provide HCL with a suitably updated self-certification form within 30 days of such change in circumstances.

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

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.

控權人簽署：

Controlling Person Signature:

\_\_\_\_\_  
[簽署 Signature]

\_\_\_\_\_  
[正楷姓名 Print name]

\_\_\_\_\_  
[日期 (日 / 月 / 年) Date (dd/mm/yyyy)]

註：若您並非帳戶持有人，請註明您簽署本表格的身份。若您是以授權人士身份簽署本表格，請同時附上授權書的核證副本。

Note: If you are not the account holder, please indicate the capacity in which you are signing the form. If signing under a power of attorney, please also 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，可處第三級（即\$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. \$10,000).