

Account no. 帳戶號碼:

## Self Certification Form – Entity (CRS) 自我證明表格-實體 (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:**

若您代表實體帳戶持有人作出自我證明, 請填妥此表格。

**Complete this form where you need to self-certify on behalf of an entity account holder.**

若帳戶持有人是根據 CRS 定義下的被動非財務實體 / 位於非參與稅務管轄區並由另一家金融機構管理的投資實體, 請就每名控權人士填寫一份「自我證明表格-控權人 (共同匯報標準)」, 提供有關可對帳戶持有人行使控制權的自然人的資料 (該等個人稱為「控權人士」)。所提供的資料應與任何帳戶持有人為根據 CRS 定義下的被動非財務實體/位處不參與的司法管轄區並由另一家金融機構管理的投資實體有關。<sup>#</sup>

**Where the account holder is a passive non-financial entity (“NFE”) / an investment entity located in a non-participating jurisdiction managed by another financial institution under CRS, please provide information on the natural person(s) who exercise control over the account holder (such individuals referred to as “Controlling Person(s)”) by completing an “Self Certification Form- Controlling Person (CRS)” for each Controlling Person. This information should be provided in respect of any account holder which is a passive NFE / investment entities located in a non-participating jurisdiction and managed by another financial institution under CRS.<sup>#</sup>**

第一部份：實體帳戶持有人的身分識別資料 Section 1: Identification of Entity Account Holder

實體或分支機構的法定名稱 Legal Name of Entity or Branch*		
實體成立為法團或設立所在的稅務管轄區 Jurisdiction of Incorporation or Organisation	公司註冊號碼 Certificate of Incorporation No.	商業登記號碼 Business Registration No.
現時營業地址 Current Business Address:		
_____		
室、樓層、大廈、街道、地區 Suite, Floor, Building, Street, District		
_____		
地區/城市/城鎮 District / City / Town*		
_____		
國家 Country*		郵政編碼 Post Code

第二部份：實體類別 Section 2: Entity Type

在其中一個適當的方格內加上剔號，並提供有關資料。Tick one of the appropriate boxes and provide the relevant information.

金融 / 財務機構 Financial Institution	<input type="checkbox"/> 託管機構、存款機構或指明保險公司 Custodial Institution, Depository Institution or Specified Insurance Company  <input type="checkbox"/> 投資實體，但不包括由另一金融 / 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	<input type="checkbox"/> 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  <input type="checkbox"/> _____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  <input type="checkbox"/> 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  <input type="checkbox"/> 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 <sup>#</sup>	<input type="checkbox"/> 位於非參與稅務管轄區並由另一金融 / 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  <input type="checkbox"/> 不屬主動非財務實體的非財務實體 NFE that is not an Active NFE

**第三部份: 控權人資料 Section 3: Controlling Person Information**

就帳戶持有人，填寫所有控權人的姓名在列表內。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。每名控權人須分別填寫一份自我證明表格-控權人(共同匯報標準)。

Indicate the name of all controlling person(s) of the account holder in the table below. 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. Complete **Self Certification Form- Controlling Person (CRS)** for each controlling person.

(1)	(2)
(3)	(4)
(5)	(6)
(7)	(8)

**第四部份: 稅務居民身份 Section 4: Declaration of Residence for tax purpose\***

本人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.

<p>客戶簽署 Signed by Client</p>          <p>日期 Date:</p>	<p>客戶姓名 Name of Client:</p>    <p>Capacity 身分_____</p> <p>(說明您簽署這份表格的身份。例如：公司的董事或高級人員、合夥的合夥人、信託的信託人或獲授權人員等。Indicate the capacity in which you are signing the form e.g. director or officer of a company, partner of a partnership, trustee of a trust, authorised officer, etc.)</p>
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**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).