

致：中國銀行(香港)有限公司(「銀行」)
To: Bank of China (Hong Kong) Limited(“the Bank”)
自我證明表格 (實體) – 附件
Self-Certification Form (Entity)- Annex

銀行專用 For bank use only
客戶號 Customer No. :
開戶銀行/分行號 Bank/Branch No : 012 /

重要提示：
Important Notes:

1. 這是由控權人向申報財務機構「銀行」提供的自我證明表格，以作自動交換財務賬戶資料用途。申報財務機構「銀行」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 “the Bank” for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution “the Bank” to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
2. 如控權人的稅務居民身份有所改變，應盡快將所有變更通知申報財務機構「銀行」。
A controlling person should report all changes in his/ her tax residency status to the reporting financial institution “the Bank”.
3. 除不適用或特別註明外，必須填寫這份表格所有部份。如這份表格上的空位不夠應用，可另紙填寫。在欄/部標有星號(*)的項目為申報財務機構「銀行」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 the reporting financial institution “the Bank” to the Inland Revenue Department.

附《資料補充續頁(實體-附件)》共 份
Enclosed:copies of Supplementary Information Continuation Sheets (Entity-Annex)

第一部 控權人的身份識別資料
Part 1 Identification of Controlling Person

- (1) 控權人姓名: Name of Controlling Person
稱謂 (例如：先生、太太、女士、小姐)
Title (e.g. Mr, Mrs, Ms, Miss)
- 姓氏*
Last Name or Surname *
- 名字*
First or Given Name *
- 中間名
Middle Name(s)
- (2) 香港身份證或護照號碼 Hong Kong Identity Card or Passport Number
- (3) 現時住址:
Current Residence Address :
第 1 行 (例如: 室、樓層、大廈、街道、地區)
Line 1 (e.g. Suite, Floor, Building, Street, District)
第 2 行 (城市)* :
Line 2 (City) *
第 3 行 (例如: 省、州)
Line 3 (e.g. Province, State)
國家/地區*
Country/Region *
郵政編碼/郵遞區號碼
Post Code/ZIP Code



- (4) 通訊地址 (如通訊地址與現時住址不同, 填寫此欄)
Mailing Address (Complete if different to the current residence address)
第 1 行 (例如: 室、樓層、大廈、街道、地區)
Line 1 (e.g. Suite, Floor, Building, Street, District)
第 2 行 (城市)*:
Line 2 (City) *
第 3 行 (例如: 省、州)
Line 3 (e.g. Province, State)
國家/地區*
Country/Region *
郵政編碼/郵遞區號碼
Post Code/ZIP Code
- (5) 出生日期* (日/月/年) Date of Birth * (dd/mm/yyyy)
- (6) 出生地點 (可不填寫) Place of Birth (Not compulsory)
鎮/城市
Town/City
省/州
Province/State
國家/地區
Country/Region

第二部 你作為控權人的實體賬戶持有人

Part 2 The Entity Account Holder(s) of which you are a controlling person

填寫你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:

第三部 居留司法管轄區及稅務編號或具有等同功能的識別編號(以下簡稱「稅務編號」)*

Part 3 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN")*

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**(如多於 10 個, 請另填資料補充續頁(實體-附件)) 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 TIN for each jurisdiction indicated. Indicate **all** (complete Supplementary Information Continuation Sheets (Entity-Annex) when exceed 10) 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, 必須填寫合適的理由:

理由 A – 控權人的居留司法管轄區並沒有向其居民發出稅務編號。

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。

理由 C – 控權人毋須提供稅務編號。居留司法管轄區的主管機關不需要控權人披露稅務編號。

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

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

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.

Reason C – TIN is not required. Select this reason only if the authorities of the jurisdiction of 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， 勾選理由 A、B 或 C Tick 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 controlling person is unable to obtain a TIN if you have selected Reason B
(1)		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
(2)		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
(3)		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
(4)		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
(5)		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
(6)		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
(7)		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
(8)		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
(9)		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
(10)		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	

備註:

Remark:

第四部 控權人類別

Part 4 Type of Controlling Person

就第二部所載的每個實體，在適當方格內加上✓號，指出控權人就每個實體所屬的控權人類別。

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 Entity
法團 / 合夥 Corporation / Partnership	擁有控制股權的個人(即擁有法團25%以上的已發行股本或合夥0%以上的資本或利潤) Individual who has a controlling ownership interest (i.e. more than 25% of issued share capital of a corporation; or more than 0% of the capital or profits of a partnership)	
	以其他途徑行使控制權或有權行使控制權的個人(即擁有法團25%以上的表決權或合夥0%以上的表決權) Individual who exercises control/is entitled to exercise control through other means (i.e. more than 25% of voting rights of a corporation; or more than 0% of voting rights of a partnership)	
	對該實體的管理行使最終控制權的個人 Individual who exercises ultimate control over the management of the entity	
	如沒有個人符合上述三個類別，則擔任該實體的高級管理人員職位的個人 Individual who holds the position of senior managing official if no individuals fall into the above three categories	
信託 Trust	財產授予人 Settlor	
	受託人 Trustee	
	保護人 Protector	
	執行人 Enforcer	
	受益人或某類別受益人的成員 Beneficiary or member of the class of beneficiaries	
	其他擁有對該實體的控制權的個人 Other individual who has ultimate control over the entity	
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	
	處於相等/ 相類於受託人位置的個人 Individual in a position equivalent/similar to trustee	
	處於相等/ 相類於保護人位置的個人 Individual in a position equivalent/similar to protector	
	處於相等/ 相類於執行人位置的個人 Individual in a position equivalent/similar to enforcer	
	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	
	其他擁有對該實體的控制權的個人 Other individual who has ultimate control over the entity	

第五部 聲明及簽署
Part 5 Declarations and Signature

本人知悉及同意，銀行可根據《稅務條例》(第112章)有關交換財務賬戶資料的法律條文，(a)收集本表格所載資料並可備存作自動交換財務賬戶資料用途及(b)把該等資料和關於控權人及任何須申報賬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 Bank 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 Bank 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 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).

本人證明，就與本表格所有相關的實體賬戶持有人所持有的賬戶，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 holder(s) to which this form relates.

本人承諾，如情況有所改變，以致影響本表格第1部所述的個人的稅務居民身份，或引致本表格所載的資料不正確，本人會通知銀行，並會在情況發生改變後30日內，向銀行提交一份已適當更新的自我證明表格。

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

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.

刪去不適用者

Delete as appropriate

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\$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).

簽署

Signature :

姓名

Name :

身份

Capacity :

(如你不是第1部所述的個人，說明你的身份。如果你是以被授權人身份簽署這份表格，須夾附該授權書的核證副本。)

(Indicate the capacity if you are not the individual identified in Part 1. If signing under a power of attorney, attach a certified copy of the power of attorney.)

日期

Date :

銀行專用 For Bank Use Only (*請刪除不適用者 Please delete as appropriate)			
見證人/經辦/核印* 簽章及職員編號： Signature & staff no. of Witness/Maker/SV*:	控制行： Controlling Branch:	客戶經理編號： Customer Manager No.:	聯繫電話： Phone No:
見證人/經辦/核印* 簽章及職員編號： Signature & staff no. of Witness/Maker/SV*:	覆核簽章及職員編號： Signature of Checker and Staff No.:	接辦單位： Handled By:	
見證人/經辦/核印* 簽章及職員編號： Signature & staff no. of Witness/Maker/SV*:	覆核簽章及職員編號： Signature of Checker and Staff No.:	備註： Remark:	