

To: **Huatai Financial Holdings (Hong Kong) Limited**
 4201 42/F & 5808-05 5808-12 58/F, The Center 99 Queen's Road, Central, Hong Kong
 Ref. No.: SFC licensed number AOK809

Common Reporting Standard (“CRS”) Self-Certification Form for Individual 《共同匯報標準》自我證明表格 – 適用於個人

<p>Important Notes:</p> <ul style="list-style-type: none"> This is a self-certification form provided by an account holder to Huatai Financial Holdings (Hong Kong) Limited (“HUATAI”) 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. An account holder should report all changes in his/her tax residency status to HUATAI. 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 HUATAI to the Inland Revenue Department. <p>重要提示：</p> <ul style="list-style-type: none"> 這是由帳戶持有人向華泰金融控股(香港)有限公司(“華泰”)提供的自我證明表格，以作自動交換財務帳戶資料用途。華泰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。 如帳戶持有人的稅務居民身分有所改變，應盡快將所有變更通知華泰。 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/部標有星號(*)的項目為華泰須向稅務局申報的資料。
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(For joint or multiple account holders, complete a separate form for each individual account holder.)
 (對於聯名帳戶或多人聯名帳戶，每名個人帳戶持有人須分別填寫一份表格。)

Please complete in BLOCK LETTERS. 請用正楷填寫。

Part 1 Identification of Individual Account Holder 第1部 個人帳戶持有人的身分識辨資料	
(1) Name of Account Holder 帳戶持有人的姓名	
Title (e.g. Mr, Mrs, Ms, Miss) 稱謂(例如：先生、太太、女士、小姐)	
Last Name or Surname* 姓氏*	
First or Given Name* 名字*	Middle Name(s) 中間名
(2) Hong Kong Identity Card or Passport Number 香港身份證或護照號碼	
(3) Current Residence Address 現時住址	(4) Mailing Address 通訊地址 (Please complete if different to the current residence address.) (如通訊地址與現時住址不同，請填寫此欄)
Line 1 (e.g. Suite, Floor, Building, Street, District) 第1行(例如：室、樓層、大廈、街道、地區)	Line 1 (e.g. Suite, Floor, Building, Street, District) 第1行(例如：室、樓層、大廈、街道、地區)
Line 2 (City)* 第2行(城市)*	Line 2 (City) 第2行(城市)
Line 3 (e.g. Province, State) 第3行(例如：省、州)	Line 3 (e.g. Province, State) 第3行(例如：省、州)
Country * 國家 *	Country 國家
Post Code/ZIP Code 郵政編碼/郵遞區號碼	Post Code/ZIP Code 郵政編碼/郵遞區號碼

(5) Date of Birth * (dd 日 / mm 月 / yyyy 年) 出生日期 *		
(6) Place of Birth (optional) 出生地點 (非必須填寫)		
Town/City 鎮/城市	Province/State 省/州	Country 國家
Part 2 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN")* 第二部份 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」) *		
Please 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 TIN for each jurisdiction indicated. Indicate ALL (not restricted to five) jurisdictions of residence. 請提供以下資料，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 5 個) 居留司法管轄區。		
Note: If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. 注意：如帳戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。		
If a TIN is unavailable, please provide the appropriate reason A, B or C: Reason A – The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents. 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. 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. 如沒有提供稅務編號，請必須填寫合適的理由： 理由 A – 帳戶持有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 – 帳戶持有人不能取得稅務編號。如選取這一理由，請解釋帳戶持有人不能取得稅務編號的原因。 理由 C – 帳戶持有人毋須提供稅務編號。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。		
Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號，請填寫理由 A 、 B 或 C
		Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選取理由 B ，請解釋帳戶持有人不能取得稅務編號的原因
(1)		
(2)		
(3)		
(4)		
(5)		
Remark 註： Please provide additional information, where appropriate, in the following space. 如有補充資料，請詳列於下列位置。 _____ _____		
Part 3 Declarations and Signature 第 3 部 聲明及簽署		
1. I acknowledge and agree that (a) the information contained in this form is collected and may be kept by HUATAI 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 the financial institution 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). 本人知悉及同意，華泰可根據《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。		
2. I certify that I am the account holder (or am authorized to sign for the account holder) of all the account(s) to which this form relates. 本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人 或本人獲帳戶持有人授權簽署本表格。		
3. I undertake to advise HUATAI 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 HUATAI with a suitably updated self-certification form within 30 days of such change in circumstances. 本人承諾，如情況有所改變，以致影響本表格第一部所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知華泰並會在情況發生改變後 30 日內，向華泰提交一份已適當更新的自我證明表格。		
4. 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。		

僅供內部使用 For Internal Use Only	
Handling staff:	S.V.
Received Date:	

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Signature of Customer 客戶簽署
Name 姓名
Date (dd/mm/yyyy) 日期 (日/月/年)

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).
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。

Appendix – Definition of Terms 附錄 – 用詞釋義

Note: The following selected definitions are provided to assist you with the completion of this form. For CRS and tax related questions, customers should seek advice from professional tax advisers or refer to the Hong Kong Inland Revenue Department Automatic Exchange of Financial Account Information website: http://www.ird.gov.hk/eng/tax/dta_aeoi.htm.
提示: 下列精選釋義僅提供以助閣下完成此表格。就共同匯報標準及稅務有關問題, 客戶應自行向專業稅務顧問尋求意見或參考香港稅務局自動交換財務帳戶資料網站: http://www.ird.gov.hk/chi/tax/dta_aeoi.htm。

1. **“Account Holder”** - The “Account Holder” is the person listed or identified as the holder of a financial account by the Financial Institution that maintains the account. This is regardless of whether such person is a flow-through Entity. Thus, for example, if a trust or an estate is listed as the holder or owner of a financial account, the trust or estate is the Account Holder, rather than the trustee or the trust’s owners or beneficiaries. Similarly, if a partnership is listed as the holder or owner of a financial account, the partnership is the Account Holder, rather than the partners in the partnership. A person, other than a Financial Institution, holding a financial account for the benefit or account of another person as agent, custodian, nominee, signatory, investment advisor, intermediary, or legal guardian, is not treated as the Account Holder. In these circumstances that other person is the Account Holder. For example in the case of a parent/child relationship where the parent is acting as a legal guardian, the child is regarded as the Account Holder. With respect to a jointly held account, each joint holder is treated as an Account Holder.

「帳戶持有人」指被維持該財務帳戶的財務機構列明為或識辨為帳戶的持有人的人士, 不論該人士是否為過渡實體。所以, 如果一個信託或遺產被列明為某財務帳戶的持有人或擁有人, 則帳戶持有人是該信託或遺產, 而非受託人、信託的擁有人或受益人。同樣地, 如果一個合夥被列明為某財務帳戶的持有人或擁有人, 則帳戶持有人是該合夥, 而非合夥的合夥人。除財務機構外, 若有關人士以代理人、託管人、代名人、簽署人、投資顧問、中介人或合法監護人身份代其他人士持有財務帳戶, 他不會被視為帳戶持有人。在這種情況下, 帳戶持有人應為該其他人士。聯名帳戶內的每個持有人都被視為帳戶持有人。

2. **“TIN” (including “functional equivalent”)** - The term “TIN” means Taxpayer Identification Number or a functional equivalent in the absence of a TIN. A TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual or an Entity and used to identify the individual or Entity for the purposes of administering the tax laws of such jurisdiction. Further details of acceptable TINs can be found at the OECD Automatic Exchange Portal at the following link: <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>. Some jurisdictions do not issue a TIN. However, these jurisdictions often utilise some other high integrity number with an equivalent level of identification (a “functional equivalent”). Examples of that type of number include –
(a) (for individuals) a social security/insurance number, citizen/personal identification/service code/number, and resident registration number.
(b) (for Entities) a Business/company registration code/number.

「稅務編號」(包括具有等同功能的識辨編號)一詞指納稅人的識辨編號或具有等同功能的識辨編號(如無納稅人的識辨編號)。稅務編號是稅務管轄區向個人或實體分配獨有的字母與數字組合, 用於識別個人或實體的身分, 以便實施該稅務管轄區的稅務法律。有關可接受的稅務編號的更多詳細資訊刊載於經濟合作與發展組織的自動交換資料網站: <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>。

某些稅務管轄區不發出稅務編號。但是, 這些稅務管轄區通常使用具有等同識辨功能的其他完整號碼(「具有等同功能的識辨號碼」)。此類號碼的例子包括:

- (a) 就個人而言, 社會安全號碼/保險號碼、公民/個人身份/服務代碼/號碼, 以及居民登記號碼。
- (b) 就實體而言, 商業/公司登記代碼/號碼。