

自我聲明書 (控權人)

Self-Certification Form (Controlling Person)

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.

作為金融機構，我們是不允許給予客戶稅務諮詢。

如果您對此表格、說明，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自動訊息交換網站獲取更多信息，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。

<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>。

As a financial institution, we are not allowed to give tax advice.

If you have any questions about this form, these instructions, or defining your tax residency status, please speak to your tax advisor or relevant tax authority. You can also find out more, including a list of jurisdictions that have signed agreements to automatically exchange information, along with details about the information being requested, 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.

Account Code:

重要提示：

- 這是由控權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。
- 如控權人的稅務居民身分有所改變，應盡快將所有變更通知申報財務機構。

Important Notes:

- This is a self-certification form provided by a controlling person 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.
- A controlling person should report all changes in his/her tax residency status to the reporting financial institution.

第1部份：控權人身份 Section 1: Controlling Person Identification

個人資料 Personal Information:

控權人姓名 (姓氏, 名字) Controlling Person Name (First or Given name, Last name or Surname)

出生日期 (日/月/年) Date of Birth (dd/mm/yyyy)

出生地 (城市, 國家) Place of Birth (City, Country)

居住地址 Residence 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 (如與上述居住地址不同) Correspondence Address (if different from the residence address stated 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：你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

填寫你作為控權人的實體帳戶持有人的名稱。

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)	
(4)	

第3部份：居留司法管轄區及稅務編號或具有等同功能的識辨編號（以下簡稱「稅務編號」）***Section 3: Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") ***

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（香港包括在內）。如果您對您的稅務居民司法管轄區有任何疑問，請聯絡您的稅務顧問。

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.

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.

如未能提供稅務編號，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，請在下表中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 or equivalent number (Please explain why you are unable to obtain a TIN in the below table if you have selected this reason)

理由 C - 控權人毋須提供稅務編號。（請注意：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.

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

第4部份：控權人類別 Section 4: Type of Controlling Person

就第 2 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(1) Entity(1)	實體(2) Entity(2)	實體(3) Entity(3)	實體(4) Entity(4)
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"/>

聲明及簽署 Declarations and Signature[#]

本人在此聲明本人已查閱此自我聲明書之內容及陳述，並盡本人所知及確信，聲明內容均屬真實、正確及完整。
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.

本人明白既允許承認此聲明書及有關控權人、實體及須申報賬戶的任何資料可向任何本地或海外政府、監管或稅務機關或機構(包括但不限於中華人民共和國香港特別行政區政府稅務局及美國國稅局)提供，以及向適用法例、法規、慣例或指引(包括但不限於香港稅務條例、任何在本地實施的OECD「經濟合作與發展組織稅務金融訊息自動交換標準/通用報告準則」、美國《外國賬戶稅收合規法案》及在香港或任何其他相關司法管轄地已落實的同類稅務資訊共用制度)所規定或指示或農銀國際證券有限公司認為必要的任何其他本地或海外人士或單位提供；及可由農銀國際證券有限公司存儲、使用及披露，以便其遵從有關向本人提供服務的義務、承諾、安排或市場慣例。

I acknowledge that the information contained in this form and information regarding the controlling person, entity and any reportable account(s) may be reported to any local or foreign governmental, regulatory or tax authorities or bodies (including without limitation the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region of the People's Republic of China and the U.S. Internal Revenue Service), and to any other local foreign persons or entities required or directed by applicable laws, regulations, practices or guidelines (including without limitation the Hong Kong Inland Revenue Ordinance, any local implementation of the OECD Standard for Automatic Exchange of Financial Information in Tax Matters/Common Reporting Standard, the U.S. Foreign Account Tax Compliance Act (FATCA) and local implementation hereof, and any similar tax information sharing regime put in place in Hong Kong or any other relevant jurisdiction) or deemed necessary by ABCI Securities Company Limited; and stored, used and disclosed by ABCI Securities Company Limited so that it can comply with obligations, commitments, arrangement or market practices in relation to providing services to me.

本人承諾如以上聲明有任何情況改變，而影響本表格的第1部分識別個人的稅務收居民身份或第2部分所標示實體有任何變化或導致此自我聲明書之內容及陳述變得不正確的信息時，將通知農銀國際證券有限公司，並於情況改變發生的30日內向農銀國際證券有限公司重新提供正確的自我聲明書。

I undertake to advise ABCI Securities Company Limited of on any change in circumstances which affects the tax residency status of the individual identified in Section 1 or the entity identified in Section 2 of this form or cause the information contained herein to become incorrect, and to provide ABCI Securities Company Limited with a suitably updated Self-Certification form within 30 calendar days of such change in circumstances.

本人證明，就與本表格所有相關的實體帳戶持有人所持有的帳戶，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.

被授權人/控權人簽署
Signature of Controlling Person / Authorized Signatory

正楷姓名
Print Name

日期 (日/月/年)
Date (dd/mm/yyyy)

簽署人身份 (如您不是控權人請註明身份)
Signer Capacity (Indicate the capacity if you are not the controlling person)

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 selfcertification, 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).

** 要通過「實質居留」測試，一般就任何歷年而言：(a) 個別人士須於該年度內在美國居留最少31日及 (b) 該名人士於該年度內在美國居留的日數，加對上一個年度內在美國居留的日數的三分之一，再加對上兩個年度內在美國居留的日數的六分之一，三者合計等於或超過183日。

** The "substantial presence" test is generally met with respect to any calendar year if (a) the individual was present in the U.S. for at least 31 days during such year, and (b) the sum of the number of days in which such individual was present in the U.S. during such year 1/3 of the number of such days during the first preceding year, and 1/6 of the number of such days during the second preceding year, equals or exceeds 183 days.

如此表格的中、英文兩個版本有任何不相符之處，應以英文版本為準，所有您在此聲明書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 will prevail and all information provided by you on this form will be treated as addressing the English text.

[^] 刪去不適用者 Delete as appropriate

#Note: Please seek legal advice on all notice, legal terms and clauses on this Self-Certification form.