

To : Fubon Securities (Hong Kong) Limited

致：富邦證券(香港)有限公司

Account Number 戶口號碼: \_\_\_\_\_

In the event of any conflict between any provisions of the Chinese and English versions of the Form, the English version shall prevail.

如本表的中、英文版本出現分歧，一切皆以英文藍本為準。

**CRS Self-Certification Form - Individual****共同匯報標準自我證明表格 - 個人****Important notes 重要提示**

This is a self-certification form provided by an Account Holder to Fubon Securities (Hong Kong) Limited ( "Fubon Securities" ) for the purpose of automatic exchange of financial account information. The data collected may be transmitted by Fubon Securities to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.

這是由賬戶持有人向富邦證券(香港)有限公司(「富邦證券」)提供的自我證明表格，以作自動交換財務賬戶資料用途。富邦證券可把收集所得的資料交給稅務局，稅務局可能會把資料轉交到另一稅務管轄區的稅務局。

An Account Holder should report all changes in his/her tax residency status to Fubon Securities promptly.

如賬戶持有人的稅務居民身分有所變更或異動，賬戶持有人應盡快通知富邦證券。

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 Fubon Securities to the Inland Revenue Department.

除不適用或特別註明外，必須填寫這表格所有部份。如這表格上的空位不夠應用，可另外填寫。在欄/部標有星號(\*)的項目為富邦證券須向稅務局申報的資料。

**Part 1 第 1 部分****Identification of Individual Account Holder 個人賬戶持有人的身分識別資料**

(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。)

**A. Name of Account Holder 賬戶持有人的姓名**

☐ Mr ☐ Mrs ☐ Ms ☐ Miss ☐ Other \_\_\_\_\_

☐ 先生 ☐ 太太 ☐ 女士 ☐ 小姐 ☐ 其他 \_\_\_\_\_

Family Name or Surname(s)\*

姓氏\*

First of Given Name\*

名字\*

Middle Name(s)

中間名

ID Document Type ☐ HKID ☐ Passport ☐ Other \_\_\_\_\_

ID Document No. \_\_\_\_\_

身份證明文件類別 ☐ 香港身份證 ☐ 護照 ☐ 其他 \_\_\_\_\_

身份證明文件號碼 \_\_\_\_\_

**B. Current Residence Address 現時住址**

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 (e.g. City)\*

第 2 行 (例如:城市)\*

Line 3 (e.g. Province/ State) 第 3 行 (例如:省、州)	
Country*/Territory* 國家*/地區*	
Postal Code/ZIP Code 郵政編碼/郵遞區號碼	
<b>C. Mailing Address (Please only complete if different to the address shown in Section B)</b> 通訊地址(如通訊地址與上述現時住址不同，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 2 (e.g. City)* 第 2 行 (例如:城市)	
Line 3 (e.g. Province/ State) 第 3 行 (例如:省、州)	
Country/Territory 國家/地區	
Postal Codes/ZIP Code 郵政編碼/郵遞區號碼	
<b>D. Date of Birth* (DD/MM/YYYY) 出生日期* (日/月/年)</b>	
<b>E. Place of Birth (Town/City) (Province/State) (Country) 出生地點 (鎮/城市) (省/州) (國家)</b>	

<b>Part 2 第 2 部分</b>
<b>Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ( 'TIN' ) *</b> 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』)*
<p>Please complete the following table indicating (a) the jurisdiction of residence (including the Hong Kong Special Administrative Region) where the Account Holder is a <b>resident for tax purposes</b> and (b) the <b>Account Holder</b>' s TIN for each jurisdiction indicated. Indicate all but not restricted to five jurisdictions of residence.</p> <p>請提供以下資料，列明(a)賬戶持有人的居留司法管轄區，亦即賬戶持有人的稅務管轄區(香港特別行政區包括在內)及(b)該居留司法管轄區發給賬戶持有人的稅務編號。列出所有但不限於 5 個居留司法管轄區。</p> <p>If the Account Holder is tax resident in more than five jurisdictions, please use a separate sheet.</p> <p>如賬戶持有人的居留司法管轄區超過 5 個，請另紙填寫。</p> <p>If the Account Holder is a <b>tax resident of the Hong Kong Special Administrative Region</b>, the <u>TIN</u> is the <u>Hong Kong Identity Card Number</u>.</p> <p>如賬戶持有人是<b>香港特別行政區稅務居民</b>，<u>稅務編號</u>是其香港身份證號碼。</p> <p>If a <b>TIN is unavailable</b>, provide the appropriate reason A, B or C:</p>

如沒有提供稅務編號，必須填寫合適的理由，請按下列 A、B、C 三項填寫合適的理由：

- Reason A** - The jurisdiction where the Account Holder is a resident for tax purpose does not issue TINs to its residents.  
**理由 A** - 賬戶持有人的居留司法管轄區沒有向其居民發出稅務編號。
- 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.  
**理由 B** - 賬戶持有人不能取得稅務編號。如選取這一理由，請在下方的方格內解釋賬戶持有人不能取得稅務編號的原因。
- 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.  
**理由 C** - 賬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賬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	Explain why the Account Holder is unable to obtain a TIN if you have selected Reason B 如沒有提供稅務編號，填寫理由 A、B 或 C
1			
2			
3			
4			
5			

Please explain in the following boxes why you are unable to obtain a TIN if you selected **Reason B** above.

如選取**理由 B**，請在以下的方格解釋賬戶持有人不能取得稅務編號的原因。

1	
2	
3	

### Part 3 Declarations and Signature 第 3 部分 聲明及簽署

I understand that the information supplied by me is covered by the full provisions of the terms and conditions governing the Account Holder's relationship with Fubon Securities setting out how Fubon Securities may use and share the information supplied by me.

本人明白，本人提供的資料是受適用賬戶持有人與富邦證券關係的所有條款及細則所規範，當中列明富邦證券可如何使用和分享由本人所提供的資料。

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by Fubon Securities 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 Fubon Securities to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchange 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，富邦證券可根據《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)把該等資料和關於賬戶持有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，從而把資料轉交到賬戶持有人的居留司法管轄區的稅務當局。

I certify that I am 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賬戶，本人是賬戶持有人。

I declare that the information given and all statements made in this form and declarations are, to the best of my knowledge and belief, true, correct and complete.

I undertake to advise Fubon Securities within 30 days 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 Fubon Securities with a suitably updated self-certification and Declaration within 90 days of such change in circumstances.

本人聲明就本人所知所信，本表格和聲明內所填報的所有資料和聲明均屬真實、正確和完備。

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分，或引致本表格所載的資料不正確，本人會於 30 日內通知富邦證券，並會在情況發生改變後 90 日內，向富邦證券提交一份已適當更新的自我證明表格。

Account Holder Name 帳戶持有人姓名	Signature 簽署
Date (DD/MM/YYYY) 日期 (日/月/年)	X _____ Please use signature(s) field with Fubon Securities. 請用留存富邦證券之簽署。

**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. HK\$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(即港幣\$10,000)罰款。