

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 - Controlling Person

### 共同匯報標準自我證明表格 - 控制人

#### Important notes 重要提示

This is a self-certification form provided by a Controlling Person 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.

這是由控制人向富邦證券(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。

A Controlling Person should report all changes in his/her tax residency status to Fubon Securities promptly.

如控制人的稅務居民身分有所變更或異動，控制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。

<b>Part 1 第1部分</b>		
<b>Identification of Controlling Person 控制人的身分識別資料</b>		
<b>A. Name of Controlling Person 控制人的姓名</b>		
<input type="checkbox"/> Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/> Miss <input type="checkbox"/> Other _____ <input type="checkbox"/> 先生 <input type="checkbox"/> 太太 <input type="checkbox"/> 女士 <input type="checkbox"/> 小姐 <input type="checkbox"/> 其他 _____		
Family Name or Surname(s)* 姓氏*	First of Given Name* 名字*	Middle Name(s) 中間名
ID Document Type <input type="checkbox"/> HKID <input type="checkbox"/> Passport <input type="checkbox"/> Other _____ ID Document No. _____ 身份證明文件類別 <input type="checkbox"/> 香港身份證 <input type="checkbox"/> 護照 <input type="checkbox"/> 其他 _____ 身份證明文件號碼 _____		
<b>B. Current Residence Address 現時住址</b>		
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 The Entity Account Holder(s) of which you are a Controlling Person 閣下為控制人的實體帳戶持有人</b>	
Enter the name of the entity account holder of which you are a Controlling Person. 填寫閣下為控制人的實體帳戶持有人的名稱。	
Entity 實體	Name of the Entity Account Holder 實體帳戶持有人的名稱
1	
2	
3	

<b>Part 3 第 3 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 Controlling Person is a <b>resident for tax purposes</b> and (b) the <b>Controlling Person's TIN</b> 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)控制人的居留司法管轄區·亦即控制人的稅務管轄區(香港特別行政區包括在內)及(b)該居留司法管轄區發給控制人的稅務編號·列出所有但不限於 5 個居留司法管轄區。</p> <p>If the Controlling Person is tax resident in more than five jurisdictions, please use a separate sheet.</p> <p>如控制人的居留司法管轄區超過 5 個·請另紙填寫。</p> <p>If the Controlling Person is a <b>tax resident of the Hong Kong Special Administrative Region</b>, the <b>TIN</b> is the <b>Hong Kong Identity Card Number</b>.</p> <p>如控制人是<b>香港特別行政區稅務居民</b>·<u>稅務編號是其香港身份證號碼</u>。</p>

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

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 Controlling Person is a resident for tax purpose does not issue TINs to its residents.  
**理由 A** – 控制人的居留司法管轄區沒有向其居民發出稅務編號。
- Reason B** - The Controlling Person 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** – 控制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** – 控制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 4 第 4 部份

If the address in Part 1 is different from the country/ Jurisdiction where the Controlling Person is tax resident in Part 3, they need to tell us why.

如果第 1 部中的地址與第 3 部中的稅務居民國/管轄區不一致，我們需要控權人提供解釋說明。

控權人的居住地(第 1 部現時住址)與控權人稅收居民國/管轄區(第 3 部)不一致。

Please place a tick against one of the following options:

請從以下適用的選項旁打√：

- ☐ The Controlling Person is a student studying in the country in Part 1 Current Residence Address and has not yet lived there long enough to become tax resident.  
 此人是一名學生並且未在居住地滿足成為稅務居民的居住時間要求。
- ☐ The Controlling Person is working in the country in Part 1 Current Residence Address and has not yet lived there long enough to become tax residence.  
 此人目前正在居住國工作並且未在居住地滿足成為稅務居民的居住時間要求。
- ☐ The Controlling person is a diplomat, or a member of the armed forces posted to the country in Part 1 Current Residence Address.

此人是外交官員或在居住地駐紮的軍人。

- ☐ The Controlling Person has recently moved to the country that they are opening a bank account in and they are not yet tax resident in this country. The Controlling Person is still tax resident in the country in Part 3.

此人於近期搬到目前準備開銀行賬戶的居住地且未成為該國稅務居民，控權人目前仍是第3部中所在國的稅務居民。

- ☐ None of the above – please provide details in the space below

以上均不適用 - 請在以下空格內填寫具體細節。

#### Part 5 Type of Controlling Person 第5部分 控制人類別

Tick the appropriate box to indicate the type of Controlling Person for each entity stated in Part 2.

就第2部分所載的每個實體，請在適當的方格填上剔號，指出控制人就每個實體所屬的控制人類別。

Type of Entity 實體類別	Type of Controlling Person 控制人類別	Entity 實體 (1)	Entity 實體 (2)	Entity 實體 (3)
Legal Person 法人	Individual who has a controlling ownership interest (i.e. more than the specified percentage <sup>^</sup> of issued share capital / capital / profits) 擁有控制股權的個人(即擁有或控制超過指明百分率 <sup>^</sup> 的已發行股本 / 資本 / 利潤)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who exercises control / is entitled to exercise control through other means (i.e. more than the specified percentage <sup>^</sup> of voting rights) 以其他途徑行使控制權或有權行使控制權的個人(即有權行使超過指明百分率 <sup>^</sup> 的表決權)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who holds the position of senior managing official / exercises ultimate control over the management of the entity 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	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trust 信託	Settlor 財產授予人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Trustee 受託人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Protector or enforcer 保護人或執行人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Beneficiary or member of the class of beneficiaries 受益人或某類別受益人的成員	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (e.g. individual who exercises control over another entity being the settlor / trustee / protector or enforcer / beneficiary) 其他 (例如:如財產授予人 / 受託人 / 保護人或執行人 / 受益人為另一實體，對該實體行使控制權的個人)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Legal Arrangement other than Trust 除信託以外的法律安排	Individual in a position equivalent / similar to settlor 處於相等 / 相類於財產授予人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent / similar to trustee 處於相等 / 相類於受託人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent / similar to protector or enforcer 處於相等 / 相類於保護人或執行人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Individual in a position equivalent / similar to beneficiary or member of the class of beneficiaries 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	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (e.g. individual who exercises control over another entity being equivalent / similar to settlor / trustee / protector or enforcer / beneficiary) 其他 (例如:如處於相等 / 相類於財產授予人 / 受託人 / 保護人或執行人 / 受益人位置的人為另一實體 · 對該實體行使控制權的個人)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

^ With effect from 1 January 2021, the specified percentage is: 25% in relation to a corporation; and 0% in relation to a partnership.

^ 自 2021 年 1 月 1 日起 · 就法團而言 · 指明百分率是 25%;就合夥而言 · 指明百分率是 0%。

#### Part 6 Declarations and Signature 第 6 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 Controlling Person 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 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)把該等資料和關於控制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制人的居留司法管轄區的稅務當局。

I certify that I am the Controlling Person.

本人證明 · 就與本表格所有相關的法人賬戶持有人現於富邦證券所持有的帳戶 · 本人是控制人。

By signing the below, I confirm that the Controlling Person to which this form relates has provided ALL the countries/jurisdictions in which the Controlling Person is tax resident due to the applicable tax residency regulation, local laws or treaties.

本人通過以下簽署確認 · 本人已經提供所有根據適用的稅務居民規則 · 本地法規或稅收協定 · 與本表格相關的控制人會被視為稅收居民的國家/地區。

I certify that where I have provided information regarding any other person (such as a Controlling Person or other Reportable Person to which this form relates) that I will, within 30 days of signing this form, notify those persons that I have provided such information to Fubon Securities and that such information may be provided 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 person may be resident for tax purposes pursuant to the legal provisions for exchange of financial account information provided under the Hong Kong Inland Revenue Ordinance (Cap.112).

本人證明 · 如本人於本表格填寫他人(如控權人或其他與本表格相關的須申報人士)的資料 · 本人會於填寫本表格的 30 日內通知他們本人已向富邦證券提供該等資料同時富邦證券可根據《稅務條例》(第 112 章)有關交換財務賬戶資料的法律條文 · 把該等資料向香港特別行政區政府稅務局申報 · 從而把資料轉交到該人士的居留司法管轄區的稅務當局。

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。

Printed Name 正楷姓名	Signature 簽署
	X _____
Date (DD/MM/YYYY) 日期 (日/月/年)	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。