

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 - Entity

共同匯報標準自我證明表格 - 法人

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 Identification of Entity Account Holder 第 1 部分 法人賬戶持有人的身分識別資料	
A. Customer Information 客戶資料	
Legal Name of Entity or Branch 法人或分支機構的法定名稱 _____	
Jurisdiction of Incorporation or Organization 法人成立為法團或設立所在的稅務管轄區 _____	
Hong Kong Business Registration Number 公司註冊或香港商業登記號碼 _____	
B. Current Business Address 現時營業地址	
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	

C. Mailing Address (Please only complete if different to the current business address)	
通訊地址(如通訊地址與營業地址不同，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	
Part 2 Entity Type 第 2 部分 法人類別	
Tick one of the appropriate boxes and provide the relevant information. 在其中一個適當的方格內加上✓號，並提供有關資料。	
Financial Institution 財務機構	<input type="checkbox"/> Custodial Institution, Depository Institution or Specified Insurance Company 託管機構、存款機構或指明保險公司 <input type="checkbox"/> Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion. to manage the entity' s assets) and located in a non-participating jurisdiction 投資實體，但不包括由另一財務機構管理(例如:擁有酌情權管理投資實體的資產)並位於非參與稅務管轄區的投資實體 If you have selected a type of Financial Institution above, please provided, if held, the entity' s Global Intermediary Identification Number ("GIIN") obtained for FATCA purposed. 如果你選擇了上述金融 / 財務機構類別之一，如已經取得，請提供你的全球中介機構識別號碼「GIIN」以便我們進行 FATCA 信息報送。
Active NFE 主動非財務法人	<input type="checkbox"/> NFE the stock of which is regularly traded on _____, which is an established securities market. 該非財務法人的股票經常在_____ (一個具規模證券市場) 進行買賣 <input type="checkbox"/> Related entity of _____, which is an established securities market. _____ 的有關連法人，該有關連法人的股票經常在_____ (一個具規模證券市場) 進行買賣 <input type="checkbox"/> NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities. 政府法人、中央銀行或由前述的法人全權擁有的其他法人 <input type="checkbox"/> NFE is an international organization (for example the United Nations or North Atlantic treaty Organization ("NATO") or an entity wholly owned by one or more international organizations. 國際組織 (例如：聯合國或北大西洋公約組織 ("NATO") 或由前述的法人擁有的其他法人 <input type="checkbox"/> Active NFE other than the above (Please specify _____) 除上述以外的主動非財務法人 (如有請註明：_____)

Passive NFE 被動非財務法人	<input type="checkbox"/> Investment entity that is managed by another financial institution and located in a non-participating jurisdiction 位於非參與稅務管轄區並由另一財務機構管屬的投資法人 <input type="checkbox"/> NFE that is not an active NFE 不屬主動非財務法人的非財務法人
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Part 3 第 3 部分 Controlling Persons (Please complete this part if the entity Account Holder is a Passive NFE) 控權人 (如法人帳戶持有人是被動非財務法人，填寫此部)	
Indicate the name of all controlling person(s) of the Account Holder in the table below. If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official. Please complete CRS Self-Certification Form - Controlling Person for each controlling person. 就帳戶持有人，填寫所有控權人的姓名於以下列表內。就法人實體，如行使控制權的並非自然人，控權人會是該法人實體的高級管理人員。 每名控權人須分別填寫一份共同匯報標準自我證明表格 - 控權人。	
Name of controlling person	Individual/ Entity

Part 4 第 4 部分 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ('TIN') * 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 the Hong Kong Special Administrative Region) where the Account Holder is a resident for tax purposes and (b) the Account Holder's TIN for each jurisdiction indicated. Indicate all but 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(香港特別行政區包括在內)及(b)該居留司法管轄區發給帳戶持有人的 稅務編號 。列出所有但不限於 5 個居留司法管轄區。 If the Account Holder is tax resident in more than five jurisdictions, please use a separate sheet. 如帳戶持有人的居留司法管轄區超過 5 個，請另紙填寫。 If the Account Holder is a tax resident of the Hong Kong Special Administrative Region , the <u>TIN is the Hong Kong Business Registration Number</u> . 如帳戶持有人是 香港特別行政區稅務居民 ， <u>稅務編號是其香港商業登記號碼</u> 。 If the Account Holder is not a tax resident in any jurisdiction (e.g. fiscally transparent), indicate the jurisdiction in which its place of effective management is situated. 如果帳戶持有人並非任何稅務管轄區的稅款居民 (例如：它是財政透明法人)，填寫實際管理機構所在的稅務管轄區。

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 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 5 Declarations and Signature 第 5 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 authorized to sign for the Account Holder in respect of all the account(s) currently held with Fubon Securities by the Account Holder identified in Part 1 of this form.

本人證明，就與本表格第一部所指的法人帳戶持有人現於富邦證券所持有的帳戶，本人是帳戶持有人(或本人獲帳戶持有人授權簽署本表格)。

By signing the below, I confirm that the Entity Account Holder to which this form relates has provided ALL the countries/jurisdictions in which the entity is tax resident due to the applicable tax residency regulations, 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，與本表格相關的控權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)/chop(s) field with Fubon Securities 請用留存富邦證券印鑑簽署

Note: Please indicate the capacity in which you are signing the form. If signing under a power of attorney, please attach a certified copy of the power of attorney.

注：請列明你簽署本表格的身分。如果你是以授權人身分簽署這份表格，請附上授權書的核證副本。

Capacity 身分:

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。