

Tianda Securities Limited

天大証券有限公司

Tianda Asset Management Limited

天大資產管理有限公司

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Tianda Securities Limited ("TSL") carries on the business of dealing in securities and is licensed to carry on Type 1 (dealing in securities) and Type 4 (advising on securities) regulated activities under the Securities and Futures Ordinance (Cap. 571) (CE No. AVT666). 天大証券有限公司("天大証券")經營的是證券交易的業務，並根據證券及期貨條例(第 571 章)獲發牌經營第一類(證券交易)和第四類(就證券提供意見)受規管活動(中央編號: AVT666)。

Tianda Asset Management Limited ("TAML") carries on the business of asset management and is licensed to carry on Type 9 (asset management) and Type 4 (advising on securities) regulated activities under the Securities and Futures Ordinance (Cap. 571) (CE No. AVT667). 天大資產管理有限公司("天大資產管理")經營資產管理的業務，並根據證券及期貨條例(第 571 章)獲發牌經營第九類(提供資產管理)和第四類(就證券提供意見)受規管活動(中央編號 AVT667)。

This Account Opening Form and all relevant documents (if any) (together referred to as "this Form and relevant documents") are completed and signed for the purpose of establishing the legal relations between the Client, TSL and/or TAML. The Client should therefore consult his/her independent legal, tax and financial advisers prior to signing. 完成及簽署本帳戶開戶表格及所有附帶文件(如有)(合稱"本表格及有關文件")旨在為客戶跟天大証券和/或天大資產管理建立法律關係。客戶應在簽署前諮詢他或她的獨立法律、稅務及財務顧問。

Self Certification Form Individual**自我證明表格 個人**

A.E. Code:	Client Name:	Account No.:
Account Type		
Type of Client 客戶類別	<input type="checkbox"/> Individual Account 個人帳戶	<input type="checkbox"/> Joint Account 聯名帳戶 <input type="checkbox"/> Primary Joint Account Holder 基本聯名帳戶持有人 <input type="checkbox"/> Secondary Joint Account Holder 第二聯名帳戶持有人
Type of Account 帳戶類別	<input type="checkbox"/> Securities Trading Account 證券交易帳戶	<input type="checkbox"/> Asset Management Account 資產管理帳戶

重要提示: 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.
- 金融機構均不允許給予客戶稅務諮詢。如果您對此表格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。您可以從經濟合作與發展組織(OECD)自動訊息交換網站 (<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>) 獲取更多詳情, 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。
- Financial institutions are not allowed to provide tax advice. If you have any questions regarding this form or defining your tax residency status, please speak to your tax adviser or relevant tax authority. Please find out more on the OECD website (<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>), including a list of jurisdictions that have signed agreements to exchange information automatically, along with details about the information being requested.
- 這是由帳戶持有人向天大証券有限公司及/或天大資產管理有限公司 ("天大") 提供的自我證明表格, 以作自動交換財務賬戶資料用途。天大可以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。
- This is a self-certification form provided by an account holder to Tianda Securities Limited and/or Tianda Asset Management Limited ("Tianda") for the purpose of automatic exchange of financial account information. The data collected may be transmitted by Tianda to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- 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天大。
- An account holder should report all changes in his/her tax residency status to Tianda.
- 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(*) 的項目為天大須向稅務局申報的資料。
- 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 Tianda to the Inland Revenue Department.
- 請注意: 如果客戶為聯名帳戶, 各聯名帳戶持有人必須各自填寫一份自我證明書。
- Please note that where there are joint account holders, each account holder is required to complete a separate Self-Certification form.
- 您可能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 No.:	
Client Name:	

1. Personal Information 個人資料 (Please complete in BLOCK LETTERS 請用正楷填寫)

Client Name 客戶姓名 <input type="checkbox"/> Mr.先生 <input type="checkbox"/> Miss 小姐 <input type="checkbox"/> Mrs.太太 <input type="checkbox"/> Ms.女士			
In English 英文 (Surname 姓) (Given Name 名)		In Chinese 中文 (Surname 姓) (Given Name 名))	
Nationality 國籍		Country of Residence 居住國	
ID Card /Passport No. 身份證/護照號碼		Country of Issue 簽發國家	
Date of Birth(dd/mm/yyyy) 出生日期(日/月/年)		Place of Birth (Town/City, Province/State, Country) 出生地點(鎮/城市省/州國家)	
CRS TIN 稅務編號		Tax Jurisdiction 稅務司法區域	
Residential Address 居住地址		Correspondence Address (if different from Residential Address) 通訊地址 (如與居住地址不同)	
Room, Floor, Block 室/層/座	Building/Street 樓宇/街道	Room, Floor, Block 室/層/座	Building/Street 樓宇/街道
City/State/Province 城市/洲/省	Postal Code 郵政編碼	City/State/Province 城市/洲/省	Postal Code 郵政編碼
Country 國家		Country 國家	

2. Declaration of Residence for tax purpose 稅務居民身份

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 or relevant tax authority.
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 (包括香港在內)。如果您對您的稅務居民司法管轄區有任何疑問, 請 聯繫您的稅務顧問或相關稅務機關。

If the account holder is a tax resident of Hong Kong / China, the TIN is the Hong Kong / Chinese Identity Card Number.
如帳戶持有人的稅務居民身份是香港/中國稅務居民, 稅務編號是其香港/中國身份證號碼。

If a TIN is unavailable, please provide the appropriate reason A, B or C:
如未能提供稅務編號, 請填寫理由 A, B 或 C.

理由 A 帳戶持有人的居留司法稅務管轄區並沒有向其居民發出稅務編號。
Reason A The jurisdiction where the Account Holder is a resident for tax purposes does not issue TINs to its residents
理由 B 帳戶持有人不能取得稅務編號。(請在下表中解釋不能取得稅務編號的原因)
Reason B The Account Holder is unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN in the below table)
理由 C 帳戶持有人毋須提供稅務編號。(這理由只適用於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。)
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.

Jurisdiction of Tax Residence 稅務居民司法管轄地	TIN 稅務編號	Enter Reason A, B or C if TIN is unavailable 如未能提供稅務編號, 請填寫 理由 A, B 或 C.	Explain why the account holder is unable to obtain a TIN 如選取理由 B, 解釋帳戶持有人不能取得稅務編號的原因

Account No.:	
Client Name:	

3. Declarations and Signature 聲明及簽署

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by Tianda 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 Tianda 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，天大可根據《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。

I certify that I am the account holder 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，本人是帳戶持有人簽署本表格。

I undertake to advise Tianda of any change in circumstances which affects the tax residency status of the individual identified in Section 1 of this form or causes the information contained herein to become incorrect, and to provide Tianda 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，本人會通知天大，並會在情況發生改變後 30 日內，向天大提交一份已適當更新的自我證明表格。

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。

Client Signature

客戶簽署



(Indicate the capacity if you are not the individual identified in Part 1. If signing under a power of attorney, attach a certified copy of the power of attorney.

如你不是第 1 部所述的個人，說明你的身分。如果你是以授權人身分簽署這份表格，須夾附該授權書的核證副本。)

Date(dd/mm/yyyy) 日期(日/月/年)

Capacity 身分

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，可處第三級（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 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).