

**Tianda Securities Limited**  
**Tianda Asset Management Limited**

天大証券有限公司

天大資產管理有限公司

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Securities 証券  Asset Management 資產管理

Account no. 帳戶號碼:

## 自我聲明書 - 控權人

# Self-Certification Form – Controlling Person

**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.

如賬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聲明書。

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.

### 第一部份: 控權人的人身份 Section 1: Controlling Person Identification

#### 控權人的資料 Controlling Person Information:

帳戶持有人姓名 (姓氏, 名字) Name of Account Holder (First name, Last name) \*

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, 街道名稱及號數 Building / Estate, No. & Name of Street / Road

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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 above):**

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室/層/座

Room / Flat, Floor, Block

樓宇/屋苑名稱，街道名稱及號數

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

**第二部份: 你作為控權人的實體賬戶持有人 Section 2: The Entity Account Holder(s) of which you are a controlling person**

填寫您作為控權人的實體賬戶持有人的名稱：

Enter the name of the entity account holder of which you are a controlling person:

實體 Entity	實體賬戶持有人的名稱 Name of the Entity Account Holder
(1)	
(2)	
(3)	

**第三部份: 稅務居民身份 Section 3: Declaration of Residence for tax purpose\***

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（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。

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.

如帳戶持有人是香港/中國稅務居民，稅務編號是其香港/中國身份證號碼。

If the account holder is a tax resident of Hong Kong / China, the TIN is the Hong Kong / Chinese Identity Card Number.

如未能提供稅務編號，請填寫理由A, B或C。

If a TIN is unavailable, please provide the appropriate reason A, B or 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.

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	如選取理由 B，解釋帳戶持有人不能取得稅務編號的原因 Explain why the account holder is unable to obtain a TIN if you have selected Reason B

#### 第四部份: 控權人類別 Section 4: Type of Controlling Person

就第 2 部所載的每個實體，在適當方格內加上剔號，指出控權人就每個實體所屬的類別：

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)
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"/>
	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"/>
	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"/>
信託 Trust	財產授予人 Settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	受託人 Trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	保護人 Protector	<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"/>
	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"/>
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 settler	<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"/>
	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"/>
	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"/>
	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"/>

## 第五部：聲明及簽署 Section 5: Declarations and Signature

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 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，本人是控權人簽署本表格。

I certify that I am the controlling person to sign for the controlling person of all the account(s) held by the entity account holder(s) to which this form relates.

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 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。

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.

(Signed by client) (客戶簽署)

\_\_\_\_\_  
Name of Client 客戶名稱:

Date 日期:

**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).