

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 - 實體

Self-Certification Form – Entity

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.

這是由賬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, 各實體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 entity 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: 實體賬戶持有人的身分識別資料 Section 1: Identification of Entity Account Holder

實體資料 Entity Information:

實體或分支機構的法定名稱 Legal Name of Entity or Branch*

實體成立為法團或設立所在的稅務管轄區
Jurisdiction of Incorporation or Organisation

公司註冊或商業登記號碼
Certificate of Incorporation or Business Registration Number

現時營業地址 Current Business Address:

(e.g. Suite, Floor, Building, Street, District 例如: 室、樓層、大廈、街道、地區)

| | | |
|----------------------------------|----------------|-------------|
| | | |
| 地區/城市/城鎮 District / City / Town* | 郵政編碼 Post Code | 國家 Country* |

通訊地址（如與上述營業地址不同） Correspondence Address (if different from the business address above):

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(e.g. Suite, Floor, Building, Street, District 例如：室、樓層、大廈、街道、地區)

| | | |
|---------------------------------|----------------|------------|
| | | |
| 地區/城市/城鎮 District / City / Town | 郵政編碼 Post Code | 國家 Country |

第二部份: 實體類別 Section 2: Entity Type

在其中一個適當的方格內加上別號，並提供有關資料。Tick one of the appropriate boxes and provide the relevant information.

| | |
|----------------------------------|--|
| 金融／財務機構 Financial Institution | <input type="checkbox"/> 託管機構、存款機構或指明保險公司 Custodial Institution, Depository Institution or Specified Insurance Company <input type="checkbox"/> 投資實體，但不包括由另一金融／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 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 |
| 主動非財務實體 Active NFE | <input type="checkbox"/> 該非財務實體的股票經常在 _____（一個具規模證券市場）進行買賣 NFE the stock of which is regularly traded on _____, which is an established securities market <input type="checkbox"/> _____的有關連實體，該有關連實體的股票經常在 _____（一個具規模證券市場）進行買賣 Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market <input type="checkbox"/> 政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體 NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities <input type="checkbox"/> 除上述以外的主動非財務實體（請說明 _____） Active NFE other than the above (Please specify _____) |
| 被動非財務實體 Passive NFE # | <input type="checkbox"/> 位於非參與稅務管轄區並由另一金融／財務機構管理的投資實體 Investment entity that is managed by another financial institution and located in a non-participating jurisdiction <input type="checkbox"/> 不屬主動非財務實體的非財務實體 NFE that is not an Active NFE |

#如實體賬戶持有人是被動非財務實體，填寫第三部份

第三部份: 控權人 Section 3: Controlling Persons

就帳戶持有人，填寫所有控權人的姓名在列表內。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控權人稅務居民自我證明表格(CRS-CP)。

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. Complete Controlling Person Tax Residency Self-Certification Form (CRS-CP) for each controlling person.

| | |
|-----|-----|
| (1) | (2) |
| (3) | (4) |

| | |
|-----|-----|
| (5) | (6) |
| (7) | (8) |

第四部份: 稅務居民身份 Section 4: 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.

如帳戶持有者是香港稅務居民，稅務編號是其香港商業登記號碼。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration 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
Reason 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。
The jurisdiction where the Account Holder is a resident for tax purposes does not issue TINs to its residents

理由B
Reason 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)
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
Reason 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。)
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 |
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第五部：聲明及簽署 Section 3: 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帳戶，本人獲帳戶持有人授權簽署本表格。

I certify that I am authorized to sign for the account holder of all the account(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.

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|---|--|
| <p>(Signed by client) (客戶簽署)</p> <hr/> <p>Date 日期:</p> | <p>Name 姓名:</p> <p>Capacity 身分 _____ (說明您簽署這份表格的身份。例如: 公司的董事或高級人員、合夥 的合夥人、信託的信託人或獲授權人員等。 Indicate the capacity in which you are signing the form e.g. director or officer of a company, partner of a partnership, trustee of a trust, authorised officer, etc.)</p> |
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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).