

Self-Certification FORM - Controlling Person

自我證明表格 - 控權人

(Applicable to Automatic Exchange of Financial Account Information ("AEOI") and Foreign Account Tax Compliance Act ("FATCA"))
(適用於自動交換財務帳戶資料「AEOI」及美國外國帳戶稅務合規法案「FATCA」)

Please complete this Form in **ENGLISH BLOCK CAPITALS**. (Fields marked with an asterisk [*] are mandatory)

請務必使用**英文正楷**填寫本自我證明表格。(必須填寫標有星號[*]的項目)

Part 1 Identification of Controlling Person	
第 1 部 控權人的身分識別資料	
A. Name of Account Holder 控權人的姓名	
Title: (e.g. Mr, Mrs, Ms, Miss): 稱謂 (例如：先生、太太、女士、小姐)	
Family Name or Surname(s):* 姓氏	
First or Given Name:* 名字	
Middle Name(s): 中間名	
B. HKID/Passport No. 香港身份證 / 護照號碼：	
C. Current Residence Address 現時住址	
Line 1:(e.g.House/Apt/SuiteName,Number, Street) :* 第 1 行 (例如：室、樓層、大廈、街道)	
Line 2: (e.g. Town/City/Province/County/State)* 第 2 行 (例如：城市、省、州)	
Country:* 國家	
Postal Code/ZIP Code (if any):* 郵政編碼 / 郵遞區號碼 (如適用)	
D. Mailing Address 通訊地址 (if different to the current residence address 如與現時住址不同)	
Line 1 (e.g. House/Apt/Suite Name, Number, Street) : 第 1 行 (例如：室、樓層、大廈、街道)	
Line 2: (e.g. Town/City/Province/County/State) 第 2 行 (例如：城市、省、州)	
Country: 國家	
Postal Code/ZIP Code: 郵政編碼 / 郵遞區號碼	
E. Date of Birth* (dd/mm/yyyy 日 / 月 / 年) :* 出生日期	DD 日 / MM 月 / YYYY 年 ____ / ____ / ____
F. Place of Birth 出生地點	
Town or City of Birth:* 出生城市	
Country of Birth:* 出生國家	
G. Please enter the legal name of the relevant Entity Account Holder(s) of which you are a Controlling Person: 填寫您作為控權人的實體帳戶持有人的名稱。(Note: please also complete Part 3 注意：請同時填報第 3 部)	
Legal name of Entity 1:實體帳戶持有人的名稱 1	
Legal name of Entity 2:實體帳戶持有人的名稱 2	
Legal name of Entity 3:實體帳戶持有人的名稱 3	

Part 2 Country/Jurisdiction of Residence for Tax Purposes and related Taxpayer Identification Number or equivalent number * ("TIN") (See Appendix)		
第 2 部 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」）（見附錄）		
<p>Please complete the following table indicating (i) where the Controlling Person is tax resident; (ii) the Controlling Person's TIN for each country/jurisdiction indicated; and, (iii) if the Controlling Person is a tax resident in a country/jurisdiction that is a Reportable Jurisdiction(s) then please also complete Part 3 "Type of Controlling Person". Countries/Jurisdictions adopting the wider approach may require that the self-certification include a tax identifying number for each country/jurisdiction of residence (rather than for each Reportable Jurisdiction).</p> <p>(You can also find out more about whether a country/jurisdiction is a Reportable Jurisdiction on the OECD automatic exchange of information portal).</p> <p>請提供以下資料，列明 (i) 控權人的居留司法管轄區，(ii) 該國家 / 居留司法管轄區發給控權人的稅務編號，及 (iii) 如控權人是可報告的司法管轄區的稅務居民，請填寫第 3 部「控權人類別」。採用更廣泛方法的國家 / 司法管轄區可能要求自我證明包括每個國家 / 居住管轄區的稅務識別號碼（而不是每個可報告的司法管轄區）。</p> <p>（您亦可在經合組織自動交換資料網站了解更多有關可報告的司法管轄區的資料）</p> <p><i>If the Controlling Person is a tax resident of Hong Kong or China, the Identity Card Number will be equivalent to TIN.</i></p> <p>如控權人是香港或中國稅務居民，稅務編號是其身份證號碼。</p> <p><i>If the Controlling Person is tax resident in more than three countries/jurisdictions, please use a separate sheet.</i></p> <p>如控權人是超過3個國家 / 居留司法管轄區的稅務居民，請使用另一張單獨表格填寫。</p> <p><i>If a TIN is unavailable please provide the appropriate reason A, B or C where indicated below:</i></p> <p>如未能提供稅務編號，必須填寫合適的理由 A, B 或 C：</p> <p>Reason A – The country/jurisdiction where the Controlling Person is resident does not issue TINs to its residents 理由 A 控權人的國家 / 居留司法管轄區並沒有向其居民發出稅務編號。</p> <p>Reason B – The Controlling Person is otherwise unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN in the below table if you have selected this reason) 理由 B 控權人不能取得稅務編號。（如選取這一理由，解釋帳戶持有人不能取得稅務編號的原因。）</p> <p>Reason C – No TIN is required. (Note. Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction) 理由 C 控權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控權人披露稅務編號。）</p>		
Country / Jurisdiction of tax residence 國家 / 居留司法管轄區	Tax Identification Number ("TIN") 稅務編號	If no TIN available enter Reason A, B or C 如未能提供稅務編號，請別選理由 A、B 或 C
1		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C
2		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C
3		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C
4		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C
5		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C
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，請解釋控權人未能取得稅務編號的原因		
1		
2		
3		
4		
5		

Part 3 Type of Controlling Person**第 3 部 控權人類別***(Please only complete this section if you are tax resident in one or more Reportable Jurisdiction)*

Tick the appropriate box to indicate the type of controlling person for each entity stated in Part 1.

就第 1 部所載的每個實體，在適當方格內加上 號，指出控權人就每個實體所屬的控權人類別。

Type of Entity 實體類別	Type of Controlling Person 控權人類別	Entity 1 實體 1	Entity 2 實體 2	Entity 3 實體 3
Legal Person 法人	(a) Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital) 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）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(b) Individual who exercises control/is entitled to exercise control through other means (i.e. not less than 25% of voting rights) 以其他途徑行使控制股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已發行股本）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(c) 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	(d) Settlor 財產授予人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(e) Trustee 受託人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(f) Protector 保護人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(g) 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"/>
	(h) Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary) 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）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Legal Arrangement (non-trust) 法律安排（非信託）	(i) 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"/>
	(j) 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"/>
	(k) Individual in a position equivalent/similar to protector 處於相等 / 相類於保護人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	(l) 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"/>
	(m) Other (e.g. individual who exercises control over another entity being equivalent / similar to settlor / trustee / protector / beneficiary) 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）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Part 4 Declarations and Signature*

第 4 部 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 ESL setting out how ESL may use and share the information supplied by me.

本人明白及同意本人所提供的資料可按照帳戶持有人與千里碩證券有限公司（「千里碩證券」）簽訂的客戶協議所載的條款和條件而使用、分享、轉交及保存。

I acknowledge that the information contained in this form and information regarding the Controlling Person and any Reportable Account(s) may be provided to the tax authorities of the country/jurisdiction in which this account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which I/the Controlling Person may be tax resident pursuant to intergovernmental agreements to exchange financial account information.

本人承諾本表格中包含的資料以及有關控權人和任何須予申報帳戶的資料可以提供予與保持該帳戶的國家 / 司法管轄區的稅務機關，及與另一個國家 / 司法管轄區或根據政府間協議控權人可能是稅務居民的國家 / 司法管轄區的稅務機關交換財務帳戶資料。

I certify that I am the Controlling Person, or am authorised to sign for the Controlling Person, of all the account(s) held by the Entity Account Holder to which this form relates.

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 / 本人獲控權人授權簽署本表格。

I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete.

本人聲明盡本人所知及確信，此自我證明表格所提供的所有資料和聲明均屬真實、準確及完整。

I undertake to advise ESL 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 or incomplete, and to provide ESL with a suitably updated self-certification and Declaration 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或不完整，本人會通知千里碩證券，並會在情況發生改變後30日內，向千里碩證券提交一份已適當更新的自我證明表格。

Signature:*

簽署

Print Name:*

姓名

Date:*(dd/mm/yyyy)

日期 (日 / 月 / 年)

Note: If you are not the Controlling Person, please indicate the capacity in which you are signing the form. If signing under a power of attorney, please also attach a certified copy of the power of attorney.

注意：如您不是第1部所述的控權人，請註明您簽署本自我證明表格的身分。如您是以受權人身分簽署這份表格，請同時附上該授權書的核證副本。

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. \$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\$10,000）罰款。

中文譯本僅供參考，所有內容以英文版本為準。

Chinese translation is for reference only. English version shall prevail in actuality