

Evergrande Securities (Hong Kong) Limited (CE No.: AFE504)

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恒大證券(香港)有限公司(中央編號: AFE504)

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Evergrande Futures (Hong Kong) Limited (CE No.: AJD535)

Website 網址: www.gisf.hk

恒大期貨(香港)有限公司(中央編號: AJD535)

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Above called "Evergrande Securities and Evergrande Futures"

以上簡稱“恒大證券及恒大期貨”

Account No. 帳戶號碼: \_\_\_\_\_

Date 日期: \_\_\_\_\_

## Entity Tax Residency Self-Certification Form (CRS-E (HK))

### 實體稅務居民自我證明表格 (CRS-E (HK))

Instruction 指示

Please read the following instructions before completing this form 請在填寫本表格前細閱以下指示:

Governments of the globe are using Common Reporting Standard ("CRS") for gathering and reporting information requirements for financial institutions. CRS is promulgated by the Organization for Economic Cooperation and Development ("OECD") which aims to put in place a global model of automatic exchange of financial account information ("AEOI") in the matters of taxation with a view to enhance tax transparency and combat cross-border tax evasion.

The Inland Revenue (Amendment) (No.3) Ordinance 2016 (the "Amendment Ordinance") which commenced operation on 30 June 2016 has put in place a legislative framework for Hong Kong to implement AEOI.

Under the Amendment Ordinance and AEOI standard, financial institutions are required to apply due diligence procedures to collect information and documentation of the customers and require them to provide to the financial institution with information about the customers' jurisdiction of tax residence including the relevant tax identification number (TIN). Required information of the accounts has to be collected and furnished to the Inland Revenue Department of Hong Kong ("IRD") and such information will be exchanged on annual basis. Financial institutions may request account holders to complete self-certification forms for verification of their tax residency status.

Accordingly, for any account open from 1 January 2017, Evergrande Securities and Evergrande Futures shall request the account holder to complete and sign an appropriate form of Self-Certification to confirm the account holder's tax residency and TIN and other relevant information. From 2018 and onwards, Evergrande Securities and Evergrande Futures shall report account information to the IRD on annual basis.

Entity customers (which include all businesses, trusts and partnerships except sole traders) should complete this form.

If the client's account was opened before 1 January 2017, Evergrande Securities and Evergrande Futures shall use the existing information available in the files to identify the client's tax residence. Evergrande Securities and Evergrande Futures may contact the client for further information by requesting the client to complete, sign and return to Evergrande Securities and Evergrande Futures a Self-Certification form to confirm the client's tax residency and TIN.

If you have any queries on how to define your tax residency status, please seek advice from your tax advisor as Evergrande Securities and Evergrande Futures are not allowed to give tax advice. If your circumstances change and any of the information provided in this form becomes incorrect, please let us know immediately and provide an updated self-certification.

For more information, please visit the following websites:

IRD : [www.ird.gov.hk/chi/tax/dta\\_aeoi.htm](http://www.ird.gov.hk/chi/tax/dta_aeoi.htm)

OECD : [www.oecd.org/tax/automatic-exchange/](http://www.oecd.org/tax/automatic-exchange/)

If you have any queries, please contact our Customer Service Department at (852) 3550 6888.

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全球各國政府正應用適用於財務機構的資料收集及匯報新規定，稱為《共同報告標準》("CRS")。CRS 由經濟合作與發展組織(「經合組織」)頒布的準則，旨在建立一個在稅務事項中自動交換財務帳戶資料(「自動交換資料」)的全球模式，以提高稅務透明度和打擊跨境逃稅活動。

於2016年6月30日生效的《2016年稅務(修訂)(第3號)條例》(「修訂條例」)，為香港進行自動交換資料訂立了法律框架。

在修訂條例及自動交換資料的標準下，財務機構必須應用盡職審查程序，向帳戶持有人收集所需資料和文件，並要求他們向財務機構提供其所有的居留司法管轄區的資料包括相關的稅務編號(TIN)。財務機構須收集並每年向香港稅務局提交該些帳戶所需資料。財務機構可要求帳戶持有人填寫自我證明表格以核實其稅務居民身份。

恒大證券及恒大期貨會依據條例規定，於2017年1月1日起，要求開立帳戶的帳戶持有人填寫並簽署適當的自我證明表格，以確實帳戶持有人的稅務居民身份及其TIN和其他相關資料。由2018年起，恒大證券及恒大期貨會每年會向香港稅務局報告帳戶資料而資料會每年被交換。

實體客戶(包括所有企業、信託和合夥(獨資業務客戶除外))須填寫本表格。

如果客戶的帳戶已於2017年1月1日之前開立，恒大證券及恒大期貨將使用客戶目前檔案內的資料去識別客戶的稅務居民身份。恒大證券及恒大期貨亦可能聯絡客戶並要求客戶填妥、簽署和交回自我證明表格以確認客戶的稅務居民身份和TIN。

如果你對你的稅務居民身份之定義有任何疑問，請諮詢你的稅務顧問，因為恒大證券及恒大期貨不能提供稅務建議。如您的情況有變，導致本表格內的任何資料不再正確，請立即告知我們，並提交一份已更新的自我證明表格。

有關詳細資訊，可瀏覽以下網站：

香港稅務局 [www.ird.gov.hk/chi/tax/dta\\_aeoi.htm](http://www.ird.gov.hk/chi/tax/dta_aeoi.htm).

經合組織 [www.oecd.org/tax/automatic-exchange/](http://www.oecd.org/tax/automatic-exchange/)

客戶若有任何疑問請致電(852)3550 6888 客戶服務部。

## Important Notes 重要提示

- This is a self-certification form provided by an account holder to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.  
這是由帳戶持有人向申報財務機構提供的自我證明表格，以作自動交換財務賬戶資料用途。申報財務機構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。
- An account holder should report all changes in its tax residency status to the reporting financial institution.  
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申報財務機構。
- 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 the reporting financial institution to the Inland Revenue Department.  
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（\*）的項目為申報財務機構須向稅務局申報的資料。

## Part 1: Identification of Entity Account Holder 第 1 部：實體帳戶持有人的身分識辨資料

For joint or multiple account holders, complete a separate form for each entity account holder.

對於聯名帳戶或多人聯名帳戶，每名實體帳戶持有人須分別填寫一份表格。

*Legal Name of Entity or Branch *實體或分支機構的法定名稱	
Jurisdiction of Incorporation or Organization 實體成立為法團或設立所在的稅務管轄區	
Hong Kong Business Registration Number and /or Certificate of Incorporation Number 香港商業登記號碼 和/或 公司註冊號碼	
Current Business Address 現時營業地址	( e.g. Suite, Floor, Building, Street, District 例如：室，樓層，大廈，街道，地區 )
	*City 城市
	( e.g. Province, State 例如：省，州 )
	*Country 國家
	Post Code/ZIP Code 郵政編碼/郵遞區號碼
Mailing Address 通訊地址  (complete if different to the above current business address 如通訊地址與上述現時營業地址不同，填寫此欄)	( e.g. Suite, Floor, Building, Street, District 例如：室，樓層，大廈，街道，地區 )
	*City 城市 ( e.g. Province, State 例如：省，州 )
	Country 國家
	Post Code/ZIP Code 郵政編碼/郵遞區號碼

## Part 2: Entity Type 第 2 部：實體類別

Tick one of the appropriate boxes and provide the relevant information.

在其中一個適當的方格內加上剔號，並提供有關資料。

<p>Financial Institution 財務機構</p>	<p><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</p> <p><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</p>
<p>Active NFE 主動非財務實體</p>	<p><input type="checkbox"/> NFE the stock of which is regularly traded on _____, which is an established securities market 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</p> <p><input type="checkbox"/> Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market. _____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</p> <p><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</p> <p><input type="checkbox"/> Active NFE other than the above, (please specify: _____) 除上述以外的主動非財務實體，（請說明： _____）</p>
<p>Passive NFE 被動非財務實體</p>	<p><input type="checkbox"/> Investment entity that is managed by another financial institution and located in a non-participating jurisdiction 位於非參與稅務管理管轄區並由另一財務機構管理的投資實體</p> <p><input type="checkbox"/> NFE that is not an active NFE 不屬主動非財務實體的非財務實體</p>

## Part 3: Controlling Persons (Complete this part if the entity account holder is a passive NFE)

### 第 3 部：控權人（如實體帳戶持有人是被動非財務實體，填寫此部）

Indicate the name of all controlling person(s) of the entity 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(HK)) for each controlling person.

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（HK））

(1)	(5)
(2)	(6)
(3)	(7)
(4)	(8)

## Part 4 : 第 4 部 :

### \*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」)

Complete the following table indicating 提供以下資料, 列明:

(a) all jurisdiction of residence (including Hong Kong) where the account holder is a **resident for tax purposes**; and 帳戶持有人的所有居留司法管轄區, 亦即帳戶持有人的**稅務管轄區** (包括香港在內); 及

(b) the account holder's TIN for each jurisdiction indicated. 該居留司法管轄區發給實體帳戶持有人的稅務編號。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number. 如帳戶持有人的香港稅務居民, 稅務編號是其香港商業登記證號碼。

If the account holder is not a tax residence 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務居民 (例如: 它是財政透明實體), 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:

#Reason A - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

**理由 A** - 帳戶持有人的居留司法管轄區並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** - 帳戶持有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。

**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** - 帳戶持有人毋需提供稅務編號。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。

Jurisdiction of Residence	TIN	#Enter Reason A,B or C if no TIN is available	Explain why the account holder is unable to obtain a TIN if you have selected Reason B
居留司法管轄區	稅務編號	如沒有提供稅務編號填寫理由 A,B 或 C	如選取理由 B,解釋帳戶持有人不能取得稅務編號的原因
1			
2			
3			
4			
5			

## Part 5:Declarations and Signature 第 5 部 : 聲明及簽署

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by Evergrande Securities and Evergrande Futures 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 Evergrande Securities and Evergrande Futures 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, 恒大證券及恒大期貨可根據《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 (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 authorized to sign for the entity account holder of all the account(s) currently held with Evergrande Securities and Evergrande Futures by the entity account holder identified in Part 1 of this form.

本人證明, 就有關本表格第 1 部所指的實體帳戶持有人現於恒大證券及恒大期貨所持有的所有帳戶, 本人獲實體帳戶持有人授權代其簽署本表格。

I undertake to advise Evergrande Securities and Evergrande Futures of any change in circumstances which affects the tax residency status of the entity identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide Evergrande Securities and Evergrande Futures 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 1 部所述的實體的稅務居民身份, 或引致本表格所載的資料不正確, 本人會通知恒大證券及恒大期貨, 並會在情況發生改變後 30 日內, 向恒大證券及恒大期貨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及所信, 本表格內所填報的所有資料和聲明均屬真實, 正確和完整。

Signature 簽署:

Name 姓名:

Capacity 身分:

Date(dd/mm/yyyy) 日期(日/月/年)

(Indicate the capacity e.g. director or officer of the company, partner of a partnership, trustee of a trust, authorized officer, etc.  
請說明身分。例如: 公司的董事或高級人員、合夥的合夥人, 信託的受託人或獲授權人員等。)

**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. Heavy penalty shall apply upon conviction.**

**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, 可致重罰。**