

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)

辦事處: 香港灣仔告士打道38號萬通保險中心20樓2004-06室

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

Website 網址: www.gisf.hk

恒大大期貨(香港)有限公司(中央編號: AJD535)

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All above collectively called "Evergrande Securities and Evergrande Futures"

以上簡稱"恒大證券及恒大大期貨"

Account No. 帳戶號碼: _____

Date 日期: _____

Controlling Person Tax Residency Self-Certification Form (CRS-CP (HK))

控權人稅務居民自我證明表格 (CRS-CP (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.

When an account is held with Evergrande Securities and Evergrande Futures on behalf of a Passive NFE (for example certain trust or investment vehicles), Evergrande Securities and Evergrande Futures needs those individuals who exercise control of the entity to complete this form. These individuals are termed "Controlling Persons".

Each Controlling person will need to complete a separate form. If you are completing this form on behalf of a controlling person, please ensure that you let him/her know and advise Evergrande Securities and Evergrande Futures in what capacity you are signing in Part 5.

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/controlling persons for further information by requesting them to complete, sign and return to Evergrande Securities and Evergrande Futures a Self-Certification form to confirm the client's/controlling person'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

OECD : www.oecd.org/tax/automatic-exchange/

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

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。財務機構可要求賬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，恒大證券及恒大大期貨會每年會向香港稅務局報告賬戶資料而資料會每年被交換。如有關帳戶是由被動非財務實體(例如特定信託或投資工具)持有，恒大證券及恒大大期貨需要對實體行使控制權的個人填寫本表格。這些個人被稱為「控權人」。每名控權人須分別填寫一份表格。如您代表控權人填寫本表格，請確保他/她知悉此事，並在表格的第 5 部通知恒大證券及恒大大期貨您以何種身分簽署本表格。

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。恒大證券及恒大大期貨亦可能聯絡客戶/控權人並要求他們填妥、簽署和交回自我證明表格以確認客戶/控權人的稅務居民身份和 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

經合組織 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 a controlling person 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.
這是由控權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。
- A controlling person should report all changes in his/her tax residency status to the reporting financial institution.
如控權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 Controlling Person 第 1 部：控權人的身分識辨資料

Note: Please tick where applicable. 請在適當的地方加上剔號。

Name of Controlling Person 控權人姓名	Title 稱謂： <input type="checkbox"/> Mr 先生 <input type="checkbox"/> Mrs 太太 <input type="checkbox"/> Miss 小姐 <input type="checkbox"/> Ms 女士 <input type="checkbox"/> other 其他:
	*Last Name or Surname 姓氏
	*First or Given Name 名字
	Middle Name(s) 中間名
Hong Kong Identity Card or Passport Number 香港身分證或護照號碼	
Current Residence Address 現時住址	(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 residence address 如通訊地址與上述現時住址不同，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
*Date and Place of Birth 出生日期及地點	(dd/mm/yyyy 日/月/年) Place of Birth Date of Birth 出生日期 出生地點

Part 2: The Entity Account Holder(s) of which you are a controlling person

第 2 部：您作為控權人的實體帳戶持有人

Enter the name of the entity account holder 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

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

Part 3 第 3 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 controlling person is a **resident for tax purposes**; and 控權人的所有居留司法管轄區, 亦即控權人的稅務管轄區 (包括香港在內); 及
- (b) the controlling person's TIN for each jurisdiction indicated. 該居留司法管轄區發給控權人的稅務編號。

If the controlling person is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. 如控權人是香港稅務居民, 稅務編號是其香港身份證號碼。

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 controlling person is a resident for tax purposes does not issue TINs to its residents.

理由 A - 控權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 B -The controlling person is unable to obtain a TIN. Explain why the controlling person is unable to obtain a TIN 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, 解釋控權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 - 控權人毋需提供稅務編號。居留司法管轄區的主管機關不需要控權人披露稅務編號。

Jurisdiction of Residence	TIN	#Enter Reason A,B or C if no TIN is available	Explain why the controlling person 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,解釋控權人不能取得稅務編號的原因
1			
2			
3			
4			
5			

Part 4 : Type of Controlling Person 第 4 部 : 控權人類別

Tick the appropriate box to indicate the type of controlling person for each entity stated in Part 2

就第 2 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類別:

Type of Entity	Type of Controlling Person	Entity (1)	Entity (2)	Entity (3)
實體類別	控權人類別	實體(1)	實體(2)	實體(3)
Legal Person 法人	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"/>
	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)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	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	Settlor 財產授予人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Trustee 受託人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Protector 保護人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	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"/>
	Other (eg. 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/ 保薦人/ 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 除信託以外的法律安排	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"/>
	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"/>
	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"/>
	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"/>
	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 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 controlling person 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 controlling person 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)把該等資料和關於控權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，從而把資料轉交到控權人的居留司法管轄區的稅務當局。

I certify that I am the controlling person / I am authorized to sign for the controlling person* of all the account(s) currently held with Evergrande Securities and Evergrande Futures by the entity account holder(s) 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現於恒大證券及恒大期貨所持有的所有帳戶，本人是控權人/本人獲控權人授權代其*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 individual 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 部所述的個人的稅務居民身份，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:	Indicate your 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.如您不是第 1 部所述的個人，說明您的身份。如果您是以授權人身份簽署這份表格，須夾附該授權書的核證副本。
Name 姓名:	
Capacity 身份:	
Date (dd/mm/yyyy) 日期(日/月/年):	
Power of Attorney 授權書:	*Delete as appropriate 刪去不適用者

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。