



## Self-Certification Form – Controlling Person 自我證明表格 – 控權人

Account No.: (此欄由銀行填寫)

帳號：

Date: (此欄由銀行填寫)

收件日期：

**Please read these instruction before completing the form. 填寫本表格前，請先詳閱以下指示。**

Regulations based on the OECD Common Reporting Standard (“CRS”) require HUA NAN BANK HONG KONG BRANCH to collect and report certain information about an account holder’s tax residence. Each jurisdiction has its own rules for defining tax residence, and jurisdictions have provided information on how to determine if you are resident in the jurisdiction on the OECD automatic exchange of information portal. In general, you will find that tax residence is the country/jurisdiction in which you live. Special circumstances may cause you to be resident elsewhere or resident in more than one country/jurisdiction at the same time (dual residency). Even if have already provided information in relation to the United States Government’s Foreign Account Tax Compliance Act (FATCA), you may still need to provide additional information for the CRS as this is a separate regulation. For more information on tax residence, please consult your tax adviser or the information at the OECD automatic exchange of information portal. **As a financial institution, we are not allowed to give tax advice.**

根據經濟合作與發展組織(以下簡稱 OECD)共同申報準則(Common Reporting Standard/以下簡稱 CRS)的規定，要求華南商業銀行股份有限公司香港分行(以下簡稱本行)收集並匯報帳戶持有人的稅務管轄區。各稅務管轄區對稅務居民定義不同，您可參閱 OECD 網站中各稅務管轄區所提供的說明。原則上居住之國家/管轄區為您之稅務居留地，如有特殊情形，您之稅務管轄區將不只一處。即便您已就美國政府<<外國帳戶稅務合規法案>> (簡稱「FATCA」) 提供所需之資料，您仍可能需就 CRS 提供額外資料，因為兩者為獨立之規範。有關稅務管轄區詳情，請諮詢您的稅務顧問或參閱 OECD 所提供的說明。**身為一家金融機構，本行不得提供稅務意見。**

If your tax residence (or the account holder, if you are completing the form on their behalf) is located outside Hong Kong, we may be legally obliged to pass on the information in this form and other financial information with respect to your financial accounts to Hong Kong Inland Revenue Department and they may exchange this information with tax authorities of another jurisdiction or jurisdictions pursuant to intergovernmental agreements to exchange financial account information. **If Hong Kong is the sole tax residence of the account holder, your financial account information will not be reported to the IRD.**

若您之稅務管轄區為香港以外國家，本行將依法匯報本表所載資料及您帳戶之財務帳戶資料給香港稅務局，香港稅務局將依與各稅務管轄區所簽訂的協議交換財務帳戶資訊。**如帳戶持有人不是香港以外任何地區的稅務居民，則該帳戶持有人之資料將不會被申報至稅務局。**

This form is intended to request information consistent with” The Inland Revenue (Amendment) (No. 3) Ordinance 2016” of Hong Kong.

本表係依香港《2016 年稅務(修訂)(第 3 號)條例》要求設計以獲取所需資料。

For more information regarding CRS, please visit the below website for more details:

如欲了解更多有關共同匯報標準的詳情，請瀏覽以下網站：

AEOI Pamphlets 自動交換資料手冊 <http://www.ird.gov.hk/chi/tax/aeoi/pam.htm>

Frequently Asked Questions 常見問題 [http://www.ird.gov.hk/chi/faq/dta\\_aeoi.htm](http://www.ird.gov.hk/chi/faq/dta_aeoi.htm)

The tax laws of different jurisdictions for defining tax residence 不同稅務管轄區如何定義稅務居民身分的相關稅法

<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/#d.en.347760>.



## Self-Certification Form – Controlling Person

### 自我證明表格 – 控權人

#### 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.

這是由控制權人向申報財務機構提供的自我證明表格，以作自動交換財務帳戶資料用途。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.

如控制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 控權人的身分識辨資料

<b>Name of Account Holder</b> 帳戶持有人姓名	Title 稱謂： <input type="checkbox"/> Mr,先生 <input type="checkbox"/> Mrs 太太 <input type="checkbox"/> Ms 女士 <input type="checkbox"/> Miss 小姐 <input type="checkbox"/> Other 其他 _____ Business Name (Sole Traders Only) * <u>僅適用於【獨資】</u>
<b>Name in Chinese</b>	*姓氏                      *名字                      *中間名 <div style="display: flex; justify-content: space-around;"> <div style="border: 1px solid black; width: 150px; height: 30px;"></div> <div style="border: 1px solid black; width: 150px; height: 30px;"></div> <div style="border: 1px solid black; width: 150px; height: 30px;"></div> </div>
<b>Name in English</b>	*Last Name or Surname    * First or Given Name    *Middle Name(s) <div style="display: flex; justify-content: space-around;"> <div style="border: 1px solid black; width: 150px; height: 30px;"></div> <div style="border: 1px solid black; width: 150px; height: 30px;"></div> <div style="border: 1px solid black; width: 150px; height: 30px;"></div> </div>
<b>Hong Kong Identity Card or Passport Number</b> 香港身份證或護照號碼	
<b>Current Residence Address</b> 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
<b>Mailing Address</b> (Complete if different to the current residence address) 通訊地址 (如通訊地址與現時住址不同，	(e.g. Suite, Floor, Building, Street, District) (例如：室、樓層、大廈、街道、地區)



填寫此欄)	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 of Birth * 出生日期 *	<input type="text"/> <input type="text"/> dd/日 <input type="text"/> <input type="text"/> mm /月 <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> yyyy /年
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Place of Birth (Not compulsory) 出生地點 (可不填寫)	Town/City 鎮/城市
	Province/State 省/州
	Country 國家

**Part 2 The Entity Account Holder(s) of which you are a controlling person** 你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. 填寫你作為控權人實體帳戶持有人名稱。

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

**Part 3 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”) \* 第 3 部 居留司法管轄區及稅務編號或具有等同功能的識辨編號 (以下簡稱「稅務編號」) \***

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the controlling person is a **resident for tax purposes** and (b) the controlling person’s TIN for each jurisdiction indicated. Indicate **all** (not restricted to five) jurisdictions of residence.

提供以下資料，列明 (a) 控權人的居留司法管轄區，亦即控權人的稅務管轄區 (香港包括在內) 及 (b) 該居留司法管轄區發給控權人的稅務編號。列出所有 (不限於 5 個) 居留司法管轄區。

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，控權人須解釋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 – 控權人毋須提供稅務編號。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 稅務編號	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
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居留司法管轄區		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 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	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 (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 other than Trust 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	<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			
	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 HUA NAN BANK HONG KONG BRANCH (the "Bank") 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 the financial institution 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，華南銀行香港分行可根據《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 (or I am authorized to sign for the controlling person) of all the account(s) currently held with the Bank by the entity account holder(s).

本人證明，就實體帳戶持有人現於貴行持有的所有帳戶，本人是控權人(或本人獲控權人授權代其簽署)。

I undertake to advise the Bank 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 the Bank 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分，或引致本表格所載的資料不正確，本人會通知貴行，並會在情況發生改變後 **30 日內**，向貴行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、正確和完備。

Signature 簽署	Capacity 身分
Date (dd/mm/yyyy) 日期 (日/月/年)  _____ dd/日 _____ mm/月 _____ yyyy/年	(Indicate the 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.) (如你不是第 1 部所述的個人，說明你的身分。如果你是以授權人身分簽署這份表格，須夾附該授權書的核證副本。)
Name 姓名(正楷)	

**WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a selfcertification, 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。