

根據《證券及期貨條例》下的持牌法團(CE編號API164)及香港聯合交易所有限公司參與者  
Licensed Corporation under the Securities & Futures Ordinance (CE No. API164) and Exchange  
Participant of the Stock Exchange of Hong Kong Limited

Account Name : 帳戶名稱 :	Account No. : 帳戶號碼 :
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In order to conform with the Foreign Account Tax Compliance Act (“FATCA”) and the Common Reporting Standards (“CRS”), CIS Securities Asset Management Limited (“CIS”) is required to collect certain information (including U.S. tax status and tax residency) from its clients to determine if reporting of their personal and financial information to the relevant governmental authorities is required annually.

為了符合海外帳戶稅收合規法案及共同匯報標準，順安證券資產管理有限公司(『順安』)須向其客戶們收集若干資料(美國稅務狀況和稅務居住身份包括在內)，而決定是否需要每年向有關政府部門當局申報他們的個人及財務資料。

**As a financial institution, CIS is not allowed to give you any legal or tax advice. Any information provided in this form shall not be construed as any legal or tax advice.**

作為一家金融機構，順安不允許向閣下提供任何法律或稅務意見。本表格所載的任何資料將不可以被解釋為任何法律或稅務意見。

If you have any questions about this form or how to determine your U.S. tax status or tax residency, please contact your legal/tax advisor or jurisdictional tax authority, or seek further information from the Internal Revenue Service of the United States ([www.irs.org](http://www.irs.org)) or the Organisation for Economic Co-operation and Development ([www.oecd.org](http://www.oecd.org)).

若閣下對本表格或如何監定閣下的美國稅務狀況或稅務居住身份有任何疑問，請與閣下的法律/稅務顧問或管轄稅務當局查詢，或向美國國家稅務局 ([www.irs.gov](http://www.irs.gov)) 或經濟合作與發展組織 ([www.oecd.org](http://www.oecd.org)) 索取進一步資料。

## Individual Self-Certification Form (FATCA and CRS) 個人自我證明表格 (海外帳戶稅收合規法案及共同匯報標準)

### Section 1 - IDENTIFICATION OF ACCOUNT HOLDER

#### 第一部份 – 帳戶持有人身份識別

**Name of Account Holder**

帳戶持有人的姓名

Title

稱謂

Client Full Name

客戶全名

**ID Card/Passport No.**

身份證/護照號碼

**Current Residential Address**

現時住所地址

Line 1

第一行

Line 2

第二行

Country

國家

**Mailing Address** (Please only complete if different to current residential address)

通訊地址 (如通訊地址與現時住所地址不同，請填寫此欄)

Line 1

第一行

Line 2

第二行

Country

國家

**Date of Birth**

出生日期

**Country of Birth**

出生國家

## Section 2 - FATCA DECLARATION BY ACCOUNT HOLDER

### 第二部份 – 帳戶持有人海外帳戶稅收合規法案聲明

Please confirm the U.S. tax status of the Account Holder under the provision of FATCA. Please choose either one and complete as appropriate.

根據海外帳戶稅收合規法案的條文，請確認帳戶持有人的美國稅務狀況。請選擇其中一項，並適當地填寫。

Under the relevant U.S. tax laws, I confirmed that I am a U.S. Citizen, U.S. Resident or U.S. Resident Alien (including a Resident of U.S. territories). I undertake to notify CIS within 14 days in writing of any change regarding the foresaid representation and confirmation.

(\*\*Please complete “Form W-9”\*\*.)

根據美國相關稅務法規，本人確認本人是美國公民、美國居民或美國定居之外國人(美國領土居民包括在內)。倘若上述之申述及確認有任何改變，本人承諾會在 14 天內以書面方式通知順安。

(\*\*請填寫『W-9 表格』\*\*。)

Our Federal Taxpayer Identification Number (“TIN”) is

吾等的聯邦納稅人識別號碼 (“納稅人號碼”) 是\_\_\_\_\_。

Under the relevant U.S. tax laws, I confirmed that I am not a U.S. Citizen, U.S. Resident or U.S. Resident Alien (including a Resident of U.S. territories). I undertake to notify CIS within 14 days in writing of any change regarding the foresaid representation and confirmation.

(\*\*Please complete “Form W-8BEN”\*\*.)

根據美國相關稅務法規，本人確認本人並非美國公民、美國居民或美國定居之外國人(美國領土居民包括在內)。倘若上述之申述及確認有任何改變，本人承諾會在 14 天內以書面方式通知順安。

(\*\*請填寫『W-8BEN 表格』\*\*。)

## Section 3 - CRS DECLARATION BY ACCOUNT HOLDER

### 第三部份 – 帳戶持有人 CRS 聲明

Please confirm your tax residency status under the provision of CRS. Please complete the following table indicating (i) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (ii) the account holder’s Taxpayer Identification Number or Functional Equivalent (“TIN”) for each jurisdiction indicated. Indicate **ALL (not restricted to five)** jurisdictions of residence.

根據共同匯報標準的條文，請確認閣下的稅務居民身份狀況。請提供以下資料，列明 (i) 帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區(香港包括在內)及 (ii) 該居留司法管轄區發給帳戶持有人的稅務編號或具有等同功能的識別編號『稅務編號』。列出**所有(不限於 5 個)**居留司法管轄區。

Provision of a valid TIN is required unless the account holder is a tax resident in a jurisdiction that does not issue a TIN. If the account holder is a tax resident of Hong Kong, the TIN is the HK ID Card No.

除非帳戶持有人為不設稅務編號的司法管轄區稅務居民，否則必須提供有效稅務編號。若帳戶持有人是香港稅務居民，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:

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

**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.

**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.

如沒有提供稅務編號，必須填寫合適的理由：

**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。

**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。

**理由 C** – 帳戶持有人毋須提供稅務編號。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 (Country) 居留司法管轄區(國家)	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號，填寫理由 A、B 或 C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 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)			

## Section 4 – ACKNOWLEDGEMENT AND UNDERTAKING BY ACCOUNT HOLDER

### 第四部份 – 帳戶持有人確認及承諾

- I understood and acknowledged that CIS may suffer loss or incur penalty and/or damage if the information contained in this form is or proves to be incorrect, false or misleading when made. I agreed to indemnify CIS on demand for such loss, penalty and/or damage;  
本人知道及確認，倘若本表格所載的資料是或被證明是不正確、虛假或具誤導性，順安可能因此蒙受損失或招致刑罰及/或損害。本人就所有該等損失、刑罰及/或損害對順安作出彌償；
- I understood and agreed that the information contained in this form and other information are collected and directly or indirectly reported by CIS to other relevant governmental authorities (including the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region) as per the provisions of FATCA and CRS;  
本人明白及同意，順安可根據海外帳戶稅收合規法案及共同匯報標準的條文，收集本表格所載資料及其他資料，並向其他有關政府部門(香港稅務局包括在內)直接地或間接地申報；
- I undertook and agreed to notify CIS, and provide CIS with a suitably updated “Individual Self-Certification Form (FATCA and CRS)” and a relevant new IRS form within 14 days in writing of any change in circumstances which affects our U.S. tax status and/or our tax residency declared in the form or cause the information contained herein to become incorrect or incomplete; and  
本人承諾及同意，如情況有所改變，以致影響本表格所述的吾等美國稅務狀況及/或稅務居民身份，或引致本表格所載的資料不正確或不完整，本人會於 14 天內以書面方式通知順安，並向順安提交一份已適當地更新的『個人自我證明表格(海外帳戶稅收合規法案及共同匯報標準)』及相關新的美國國稅局表格；及
- If there is any inconsistency or ambiguity between the English version and the Chinese version of this form, the English version shall prevail.  
若本表格的中、英文兩個版本有任何抵觸或不相符之處，須以英文版本為準。
- I acknowledge and agree that (a) the information contained in this form is collected and may be kept by CIS 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 CIS 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，順安可根據《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 certify that I am the account holder of all the account(s) to which this form relates.  
本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人。
- I undertake to advise CIS 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 CIS 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，本人會通知順安，並會在情況發生改變後 30 日內，向順安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。



Client Signature

客戶簽署

Account Name

帳戶名稱

Account No.

帳戶號碼

Date

日期

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。