



**自我聲明書 – 實體賬戶**  
**Self-Certification Form – Entity**

客戶須知: 填寫此表格前, 請先閱讀本節。

**Important Notice to Customer(s): Please read this section before completing this form.**

**作為金融機構, 我們是不允許給予客戶稅務諮詢。**

如果您對此表格、說明, 或您的稅務居民身份定義有任何疑問, 請聯繫您的稅務顧問或相關稅務機關。您可以在 OECD 自動訊息交換網站獲取更多信息, 包括已簽署自動交換信息協議的司法管轄區的名單及被請求交換的有關信息。

(<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>).

**As a financial institution, we are not allowed to give tax advice.**

If you have any questions about this form, these instructions, or defining your tax residency status, please speak to your tax adviser or relevant tax authority. You can also find out more, including a list of jurisdictions that have signed agreements to automatically exchange information, along with details about the information being requested, on the OECD automatic exchange of information portal (<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>).

您可能被要求提供額外證明文件, 以核實此表格上之內容。

**You may be asked to provide additional documents to evidence the declaration made on this form.**

賬戶號碼 Account No.: \_\_\_\_\_

**I. 一般資料 General Information**

**第 1 部份: 實體身份 Section 1: Entity Identification**

實體/分支機構名稱: Legal Name of Entity/ Branch:	
商業登記號碼: Business Registration Number:	
實體成立為法團或設立所 在的稅務管轄區: Jurisdiction of Incorporation/Organization:	
營業地址: Business Address:	郵編 Postal Code:
通訊地址 (如與上述營 業地址不同): Correspondence address (if different from the business address above):	郵編 Postal Code:



**II. 海外賬戶稅收合規法案 Foreign Account Tax Compliance Act (“FATCA”)**

**第 2 部份：賬戶狀況 Section 2: Account Status**

本人/吾等(代表本實體)作出以下聲明:

I/We (on behalf of the entity) make the following declaration:

- (a) 本實體是屬於在美國或其任何州或其政府分支機構(包括哥倫比亞特區或其他州在內)之法律下所成立或組成並納稅的法人團體及合夥團體。  
The entity is taxable as a corporation, or a partnership, created or organized in or under the laws of the United States of America (“U.S.”) or any state or political subdivision thereof or therein, including the District of Columbia or any other U.S. States.  
 是 Yes  否 No
- (b) 本實體屬於遺產類別，其任何來源收入均需要繳納美國聯邦所得稅。  
The entity is an estate the income of which is subject to U.S. federal income tax regardless of the source thereof.  
 是 Yes  否 No
- (c) 本實體是屬於美國境內法院可監理其行政事務且有一個或以上之美國人士擁有控制所有主要決定權限之信託，或1996年8月20日已存在且於1996年8月19日被視為美國信託之選擇信託。  
The entity is a trust with respect to which a court within the U.S. is able to exercise primary supervision over its administration and one or more U.S. persons have the authority to control all of its substantial decisions, or certain electing trusts that were in existence on 20 August 1996 and were treated as domestic trusts on 19 August 1996.  
 是 Yes  否 No

如您在第2部分任何問題中選擇“是”，請完成第3部份。否則，請完成第4部份。

If you have indicated “Yes” to any of the above questions in Section 2, please complete Section 3. Otherwise, please complete Section 4.

**第 3 部份：美國實體 Section 3: United States Entities**

本人/吾等(代表本實體)聲明本實體是:

I/We (on behalf of the entity) certify that the entity is:

- (a) 特定美國人士。如是，請提供僱主身份識別號碼: \_\_\_\_\_  
A Specified U.S. Person.  
If “Yes”, please provide your U.S. federal employer identification number (“EIN”): \_\_\_\_\_  
 是 Yes  否 No
- (b) 非特定美國人士。如是，請提供FATCA申報豁免號碼: \_\_\_\_\_  
A U.S. Person that is not a Specified U.S. Person.  
If “Yes”, please provide FATCA Reporting Exemption Code: \_\_\_\_\_  
 是 Yes  否 No

如貴實體於美國註冊成立、建立、構成或組成，請填寫並遞交美國國家稅務局 W-9 表格。

If you are incorporated, established, constituted or organized in the U.S., please complete and submit U.S. IRS Form W-9.

完成第3部份後，請繼續完成第5部份。

Please also complete Section 5 after you have completed Section 3.



**第 4 部份: 其他 FATCA 類別 Section 3: Other FATCA Classification**

若貴實體屬於FATCA法規下「海外金融機構」(“FFI”)的定義, 請完成4.1.

If the entity is a Foreign Financial Institution (“FFI”) as defined under the relevant FATCA rules, please complete 4.1.

若貴實體不屬於FATCA法規下「海外金融機構」(“FFI”)的定義, 請完成4.2.

If the entity is not a Foreign Financial Institution (“FFI”) as defined under the relevant FATCA rules, please complete 4.2.

**4.1 金融機構的 FATCA 類別 FATCA Classification for Financial Institutions**

4.1.1 假如貴實體是註冊的金融機構, 請勾選以下類別及提供全球中介人識別碼:

If the entity is a Registered Financial Institution, please tick one of the below categories and provide GIIN:

本人/吾等(代表本實體)聲明本實體是:

I/We (on behalf of the entity) certify that the entity is a:

- (a) 香港或跨政府協議下的海外金融機構

Hong Kong or IGA Partner Jurisdiction Financial Institution

是 Yes  否 No

- (b) 已註冊的視作合規的海外金融機構

Registered Deemed Compliant Foreign Financial Institution

是 Yes  否 No

- (c) 參與合規的海外金融機構。

Participating Foreign Financial Institution

是 Yes  否 No

- (d) 受保薦金融機構。

Sponsored Financial Institution

是 Yes  否 No

若您在上述問題(d)中選擇“是”, 請提供保薦機構的名稱及其全球中介人識別碼。

If “Yes”, please also provide the name of the sponsoring entity and its GIIN.

\_\_\_\_\_  
保薦機構的名稱                      保薦機構的全球中介人識別碼  
Sponsoring Entity      Sponsoring Entity’s GIIN

- (e) 信託受託人管理的信託基金

Trustee Documented Trust

是 Yes  否 No

若您在上述問題(e)中選擇“是”請提供保薦信託受託人的名稱及其全球中介人識別碼。

If “Yes”, please provide Trustee’s Name and its GIIN.

\_\_\_\_\_  
保薦信託受託人的名稱                      保薦信託受託人的全球中介人識別碼  
Sponsoring Entity                      Sponsoring Entity’s GIIN

若您在4.1.1任何問題中選擇“是”, 請提供全球中介人識別碼(GIIN): \_\_\_\_\_

If you have indicated “Yes” to any of the above questions in 4.1.1, please provide Global Intermediary Identification Number (GIIN):

\_\_\_\_\_



**4.1 金融機構的 FATCA 類別 (續) FATCA Classification for Financial Institutions (Continued)**

4.1.2 假如貴實體是一家無法提供全球中介人識別碼的金融機構, 請勾選以下類別:

If the entity is a Financial Institution but unable to provide a GIIN, please tick one of the below categories:

本人/吾等(代表本實體) 聲明本實體是:

I/We (on behalf of the entity) certify that the entity is a:

- (a) 經認證的視作合規海外金融機構, 或無需申報的海外金融機構(包括於跨政府協議附件二下被視作合規的海外金融機構, 信託受人管理的信託基金或受保薦金融機構除外)

Certified Deemed Compliant, or otherwise Non-Reporting FFI (including FFI deemed compliant under Annex II of an IGA, except for a Trusted Documented Trust or Sponsored FI)

是 Yes  否 No

- (b) 豁免受益人 – 詳細類別: \_\_\_\_\_

Exempt Beneficial Owner - Indicate status: \_\_\_\_\_

是 Yes  否 No

- (c) 非參與的海外金融機構

Non-Participating Foreign Financial institution

是 Yes  否 No

**4.2 非財務機構的 FATCA 類別 FATCA Classification for Non-Financial Institutions**

若貴實體不屬於FATCA法規下「海外金融機構」的定義, 請勾選以下類別。

If the entity is not a Foreign Financial Institution, please tick one of the below categories:

本人/吾等(代表本實體) 聲明本實體是:

I/We (on behalf of the entity) certify that the entity is a:

- (a) 豁免受益人 – 詳細類別: \_\_\_\_\_

Exempt Beneficial Owner - Indicate status: \_\_\_\_\_

是 Yes  否 No

- (b) 主動海外非財務實體 (包括除外的海外非財務實體)

Active Non-Financial Foreign Entity “Active NFFE” (including an Excepted NFFE)

是 Yes  否 No

- (c) 被動海外非財務實體

Passive Non-Financial Foreign Entity “Passive NFFE”

是 Yes  否 No

若您在上述4.2(c)中選擇“是”, 請完成以下問題。

If your response is “yes” to the above, you must complete the following question:

- i. 被動海外非金融實體控權人士(即擁有不少於百分之十的控制股權/表決權)為美國公民或美國稅法定義下的美國稅務居民(包括綠卡持有者及「實質美國居留」的人士\*), 若您此問題中選擇“是”, 請填寫第6部份。

The entity has Controlling Person(s) (i.e. has not less than 10 % of issued share capital/ voting rights) that is/are U.S. citizen or U.S. tax resident(s) (including green card holder(s) and person(s) with substantial U.S. presence\*, if “Yes”, please complete section 6.

是 Yes  否 No

如貴實體的金融機構的FATCA類別未於上述列出, 請填寫並遞交美國國家稅務局 W-8 表格。

If your FATCA Classification for Financial Institutions is not listed above, please complete and submit U.S. IRS Form W-8.



**III. 通用報告準則 Common Reporting Standards “CRS”**

**第 5 部份: CRS 申報 Section 5: CRS Reporting**

請注意第 5 部份必須全部回答。

Please note Section 5 must be answered.

本人/吾等(代表本實體)聲明本實體是:

I/We (on behalf of the entity) certify that the entity is:

(a) 實體於本地實施的自動交換標準中的身份是:

An account holder of the following type for purposes of local jurisdiction implementation of the OECD Standard for Automatic Exchange of Financial Information in Tax Matters:

財務機構 Financial Institution	<input type="checkbox"/>	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（註：此類實體被重新分類為被動非財務實體（指—(a)不屬主動非財務實體的非財務實體；或(b)符合以下說明的財務機構—(i)屬《稅務條例》中投資實體的定義的(e)段所描述者；(ii)並非參與稅務管轄區財務機構；及(iii)並非在香港的財務機構；)- 請填寫第6部份) 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. Note: This entity is reclassified as a Passive NFE (“Passive Non-Financial Entity” means—(a) an NFE that is not an active NFE; or (b) a financial institution that—(i) falls within the description in paragraph (e) of the definition of investment entity in Inland Revenue Ordinance; (ii) is not a participating jurisdiction financial institution; and (iii) is not a financial institution in Hong Kong;)- Complete Section 6.
	<input type="checkbox"/>	其他金融機構 - 存款機構、託管機構、指明保險公司，及非上列之投資實體 Other Financial Institution – Depository Institution, Custodial Institution, Specified Insurance Company, and Investment Entity not described above
非財務實體 NFE (“Non-Financial Entity”)	<input type="checkbox"/>	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 NFE the stock of which is regularly traded on _____, which is an established securities market
	<input type="checkbox"/>	_____ 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 Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market.
	<input type="checkbox"/>	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 NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities
	<input type="checkbox"/>	其他主動非財務實體 – 詳細類別: _____ Active NFE other than the above – Indicate Status: _____
	<input type="checkbox"/>	被動非財務實體（位於非參與稅務管轄區並由另一財務機構管理的投資實體除外）- 請填寫第 6 部份 Passive NFE (other than Investment Entity that is managed by another financial institution and located in a non-participating jurisdiction) - Complete Section 6 below

**第 5 部份: CRS 申報 (續) Section 5: CRS Reporting (Continued)**

(b) 實體為下列司法管轄地的稅務居民:

A tax resident in the following jurisdiction(s):

請填寫您為稅務居民所屬的所有司法管轄地及相關的納稅人識別號碼（「稅務編號」）（香港包括在內）。如果您對您的稅務居民司法管轄地有任何疑問，請聯絡您的稅務顧問。

Please fill in ALL jurisdiction(s) and the associated Tax Identification Number(s) ("TIN(s)") where you are a tax resident (including Hong Kong). If you have any questions about your jurisdiction(s) of tax residency, please contact your tax advisor.

如賬戶持有人是香港稅務居民，稅務編號是其香港商業登記號碼。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number.

如未能提供稅務編號，請填寫理由A, B或C。

If a TIN is unavailable, provide the appropriate reason A, B or C:

理由A - 賬戶持有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 A - The jurisdiction where the Account Holder is a resident for tax purposes does not issue TINs to its residents

理由B - 賬戶持有人不能取得稅務編號。（如選取這一理由，請在下表中解釋賬戶持有人不能取得稅務編號的原因）

Reason B - The Account Holder is 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C- 賬戶持有人毋須提供稅務編號。（請注意: 這理由只適用於居留司法管轄區的主管機關不需要賬戶持有人披露稅務編號。）

Reason C- TIN is not required. Select this reason only if the authorities of the jurisdiction of tax residence do not require the TIN to be disclosed.

稅務居民司法管轄地 Jurisdiction of Tax Residence	稅務編號 TIN	如未能提供稅務編號，請填寫理由 A, B 或 C. Enter Reason A, B or C if TIN is unavailable



**IV. 被動非財務(海外)實體 Passive Non-Financial (Foreign) Entity**

**第 6 部份: 控權人士 Section 6: Controlling Person(s)**

只供被分類為被動非財務(海外)實體填寫(包括被重新分類為被動非財務實體之位於非參與稅務管轄區並由另一財務機構管理的投資實體)。

Complete only for an entity that is classified as a Passive NFE/NFFE (including an Investment Entity located in an AEOI Non-Participating Jurisdiction and managed by another Financial Institution that is reclassified as a Passive NFE).

就每位控權人士而言，必須填寫每位控權人士持有稅籍之所有司法管轄地及有關稅籍編號（包括美國和香港，如適用）。請留意控權人士代表符合指定條件之自然人。如果有超過 4 位控權人士，請使用額外的自我聲明書。

For each Controlling Person, fill in ALL jurisdiction(s) and the associated TIN(s) where that Controlling Person is a tax resident (including U.S. and Hong Kong, where applicable). Please note that Controlling Person refer to natural persons who meet specified requirements. If you have more than four Controlling Persons, use an additional Self-Certification Form.

如賬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 the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.

理由 A - 賬戶持有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 A - The jurisdiction where the Account Holder is a resident for tax purposes does not issue TINs to its residents

理由 B - 賬戶持有人不能取得稅務編號。（如選取這一理由，請在下表中解釋賬戶持有人不能取得稅務編號的原因）

Reason B - The Account Holder is 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 C - 賬戶持有人毋須提供稅務編號。（請注意：這理由只適用於居留司法管轄區的主管機關不需要賬戶持有人披露稅務編號。）

Reason C- TIN is not required. Select this reason only if the authorities of the jurisdiction of tax residence do not require the TIN to be disclosed.

控權人士之姓名 Name of Controlling Person ("CP")		控權人士稅務居民司法管轄地 All Jurisdiction(s) of Tax Residence of CP	控權人士在該司法管轄地持有稅籍之稅籍編號， 如果不能提供稅務編號，請填寫理由 A, B 或 C TIN(s) for Each Jurisdiction of Tax Residence of CP or Enter Reason A, B or C if TIN is unavailable
控權人士 1 CP1			
控權人士 2 CP2			
控權人士 3 CP3			
控權人士 4 CP4			

**第 6 部份: 控權人士 (續) Section 6: Controlling Person(s) (Continued)**

在適當方格內加上✓號，指出控權人就實體所屬的控權人類別。

Please tick the appropriate box to indicate the type of controlling person for each controlling person.

實體類別 Type of Entity	控權人類別 Type of Controlling Person	控權人士 1 CP1	控權人士 2 CP2	控權人士 3 CP3	控權人士 4 CP4
法人 Legal Person	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) Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	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) Individual who exercises control/is entitled to exercise control through other means (i.e. not less than 25% of voting rights)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	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 Individual who holds the position of senior managing official/exercises ultimate control over the management of the entity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
信託 Trust	財產授予人 Settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	受託人 Trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	保護人 Protector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	受益人或某類別受益人的成員 Beneficiary or member of the class of beneficiaries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	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) Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
除信託以外的 法律安排 Legal Arrangement other than Trust	處於相等/相類於財產授予人位置的個人 Individual in a position equivalent/similar to settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	處於相等/相類於受託人位置的個人 Individual in a position equivalent/similar to trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	處於相等/相類於保護人位置的個人 Individual in a position equivalent/similar to protector	<input type="checkbox"/>	<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 Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	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) Other (e.g. individual who exercises control over another entity being equivalent/similar to settlor/trustee/protector/beneficiary)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



**第 6 部份: 控權人士 (續) Section 6: Controlling Person(s) (Continued)**

控權人士之居住地址 Residence Address of CP			
控權人士 1 CP1		(城市) (City)	(國家) (Country)
控權人士 2 CP2		(城市) (City)	(國家) (Country)
控權人士 3 CP3		(城市) (City)	(國家) (Country)
控權人士 4 CP4		(城市) (City)	(國家) (Country)

控權人士之出生日期 (日/月/年) Date of Birth of CP (dd/mm/yyyy)		控權人士之出生地點 (城市及國家) Place of Birth of CP (City & Country)	
控權人士 1 CP1		(城市) (City)	(國家) (Country)
控權人士 1 CP2		(城市) (City)	(國家) (Country)
控權人士 1 CP3		(城市) (City)	(國家) (Country)
控權人士 1 CP4		(城市) (City)	(國家) (Country)

**聲明及簽署 Declarations and Signature<sup>#</sup>**

本人(代表實體)在此聲明本人已查閱此自我聲明書之內容及陳述，並盡本人所知及確信，聲明內容均屬真實、正確及完整。

**I (on behalf of the entity) 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(代表實體)承認此聲明書及有關本實體、其控權人士(如有)及須申報賬戶的任何資料可向任何本地或海外政府、監管或稅務機關或機構(包括但不限於中華人民共和國香港特別行政區政府稅務局及美國國稅局)提供，以及向適用法例、法規、慣例或指引(包括但不限於香港稅務條例、任何在本地實施的OECD「經濟合作與發展組織稅務金融訊息自動交換標準/通用報告準則」、美國《外國賬戶稅收合規法案》及在香港或任何其他相關司法管轄地已落實的同類稅務資訊共用制度)所規定或指示或中信建投(國際)證券有限公司認為必要的任何其他本地或海外人士或單位提供；及可由中信建投(國際)證券有限公司存儲、使用及披露，以便其遵從有關向本人提供服務的義務、承諾、安排或市場慣例。

I (on behalf of the entity) acknowledge that the information contained in this form and information regarding the account holder, controlling person(s) (if any) and any reportable account(s) may be reported to any local or foreign governmental, regulatory or tax authorities or bodies (including without limitation the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region of the People's Republic of China and the U.S. Internal Revenue Service), and to any other local foreign persons or entities required or directed by applicable laws, regulations, practices or guidelines (including without limitation the Hong Kong Inland Revenue Ordinance, any local implementation of the OECD Standard for Automatic Exchange of Financial Information in Tax Matters/Common Reporting Standard, the U.S. Foreign Account Tax Compliance Act (FATCA) and local implementation hereof, and any similar tax information sharing regime put in place in Hong Kong or any other relevant jurisdiction) or deemed necessary by China Securities (International) Brokerage Company Limited; and stored, used and disclosed by China Securities (International) Brokerage Company Limited so that it can comply with obligations, commitments, arrangement or market practices in relation to providing services to me.



本人(代表實體)在此聲明,本人已(a)查閱此自我聲明書和相關美國稅務表格及其任何附件,並據本人所知及所信,該等資料真確無誤及完整;及(b)按照任何適用法律和法規的規定,向實體的所有股權持有人及第三方作出妥當通知,並已從前述人士獲得所有必要的同意和豁免,前述人士的資料可能(i)出現在此自我聲明書和前段所描述之任何稅務表格及其任何附件中;及/或(ii) 中信建投(國際)證券有限公司根據此自我聲明書及相關美國稅務表格或其擬定原意,以任何方式予以存儲、使用及披露。

I (on behalf of the entity) declare that I have: (a) examined the information on this Self-Certification form and the relevant IRS form(s) and any attachments to these forms, and to the best of my knowledge and belief they are true, correct and complete; and (b) duly notified as required by any applicable laws and regulations, and obtained all necessary consent and waiver from, all equity holders of the Entity and third parties whose information may (i) appear in this Self-Certification and any IRS form(s) and any attachments to these forms described in the preceding paragraph; and/or (ii) in any way be stored, used and disclosed by China Securities (International) Brokerage Company Limited pursuant to, or as contemplated in, this Self-Certification form and the relevant IRS form(s).

本人(代表實體)承諾如以上聲明有任何情況改變而影響本表格的第1部分所標示實體或第6部分所標示控權人士(如有)的稅收居民身份有任何變化或導致此自我聲明書之內容及陳述變得不正確的信息時將通知中信建投(國際)證券有限公司,並於情況改變發生的30日內向中信建投(國際)證券有限公司重新提供正確的聲明書。

I (on behalf of the entity) undertake to advise China Securities (International) Brokerage Company Limited of any change in circumstances which affects the tax residency status of the entity identified in Section 1 or controlling person(s) identified in Section 6 (if any) of this form or cause the information contained herein to become incorrect, and to provide China Securities (International) Brokerage Company Limited with a suitably updated Self-Certification form within 30 calendar days of such change in circumstances.

本人聲明,本人有資格代表此自我聲明書首頁所標示之實體及第6部分所標示控權人士(如有)簽署此自我聲明書。

I certify that I have the capacity to sign for the Entity identified on Page 1 and the controlling person(s) identified in Section 6 (if any) of this Self-Certification form.

賬戶持有人簽署  
Signature of Account Holder

正楷姓名  
Print Name

日期(日/月/年)  
Date (dd/mm/yyyy)

簽署人身份  
Signer Capacity

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。

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).

\* 要通過「實質居留」測試,一般就任何歷年而言:(a)個別人士須於該年度內在美國居留最少31日及(b)該名人士於該年度內在美國居留的日數,加對上一一年內在美國居留的日數的三分之一,再加對上兩年在美國居留的日數的六分之一,三者合計等於或超過183日。

\* The "substantial presence" test is generally met with respect to any calendar year if (a) the individual was present in the U.S. for at least 31 days during such year, and (b) the sum of the number of days in which such individual was present in the U.S. during such year, 1/3 of the number of such days during the first preceding year, and 1/6 of the number of such days during the second preceding year, equals or exceeds 183 days.

如此表格中,英文兩個版本有任何不相符之處,應以英文版本為準,所有您在此聲明書提供的資料會被視為答覆英文版本原文。

In the event of any inconsistency between the English and Chinese language text on this Self-Certification form, the English version will prevail and all information provided by you on this form will be treated as addressing the English text.

**#Note: Please seek legal advice on all notice, legal terms and clauses on this Self-Certification form.**

**公司內部專用 For Office Use Only**

覆核客戶簽名樣式:	FATCA 狀態	稅務居民司法管轄地	TIN	新增	更新
	<input type="checkbox"/> HK or IGA Partner Jurisdiction FI	1.	1.	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/> Registered Deemed Compliant FFI	2.	2.	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/> Participating FFI	3.	3.	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/> Sponsored FI	4.	4.	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/> Trustee Documented Trust	5.	5.	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/> Certified Deemed Compliant/ Exempt BO/ NPPFI				
	<input type="checkbox"/> Active NFFE				
	<input type="checkbox"/> Passive NFFE – CP(s) is/are U.S. citizen/ U.S. tax resident(s)				
	<input type="checkbox"/> Passive NFFE – CP(s) is/are not U.S. citizen/ U.S. tax resident(s)				
	<input type="checkbox"/> U.S. Person				