# **CRS – Controlling Person Tax Residency Self-Certification Form**

	Title 編纂 · □ M	r 先生 🔲 Mrs 太太 🔲 Miss 小姐 🔲 Ms 女	+ □ Other 其他	
Name of Controlling Person 控權人的姓名	*Last Name or Surname 姓氏	*First or Given Name 去字	Middle Name(s) 中國名	
Hong Kong Identity Card or Passport Number 香港身分證或護照號碼		'		
	(e.g. Suite, Floor, B	uilding, Street, District 例如:室、樓層、大廈、	街道、地區)	
	*City 城市			
Current Residence Address 現時住址	(e.g. Province, State 例如:省、州)			
	*Country 國家			
	Post Code/ZIP Code	e 郵政編碼 / 郵遞區號碼		
	(e.g. Suite, Floor, B	uilding, Street, District 例如:室、樓層、大廈、	街道、地區)	
	City 城市			
Mailing Address 通訊地址 (Complete if different to the above current residence	(e.g. Province, State 例如: 省、州)			
address 如通訊地址與上述現 時住址不同,填寫此欄)	Country 國家			
	Post Code/ZIP Code	e 郵政編碼 / 郵遞區號碼		
*Date of Birth 出生日期		(dd/mm/yyyy 日 / 月 / 年 )		
第2部:您作為控權人	的實體賬戶持有		ling person 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 H	older 實體賬戶持有人的名稱	
(1)				
(2)				
(3)				

# Please read the instructions on Page 1 of the form to ensure you are completing the correct form.

### A. Part 1 Identification of Controlling Person

### 1. Name of Controlling Person

Insert your name on your identity document, such as the name on your HKID or passport which is provided to the Bank.

### 2. Hong Kong Identity Card or Passport Number

Insert your HKID number or if you do not have a permanent HKID, please provide your Passport number.

#### 3. Current Residence Address

Breakdown your full address in different fields as specified in the form.

DO NOT USE:

PO Box or C/O address

Address of a third party

Address at a Financial Institution

### 4. Mailing Address

Insert mailing address only if different from the Current Residence Address.

#### 5. Date of Birth

Write down your date of birth using the dd/mm/yyyy format.

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

List all the entities of which you are a Controlling Person.



# CRS – Controlling Person Tax Residency Self-Certification Form

Part 3	第	3	

\*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辨編號(以下簡稱「稅務編號」)

Please complete the following table indicating 提供以下資料,列明

- (a) each jurisdiction where the controlling person is a resident for tax purposes; and 控權人的居留司法管轄區,亦即控權人的稅務管轄區;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 (HKID). 如控權人是香港稅務居民,稅務編號是其香港身分證號碼。

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。如選取遺一理由,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 居留司法管轄區	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 controlling person is unable to obtain a TIN if you have selected Reason B 如選擇理由 B,斯釋控權人不能散得契務權號的原因
(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 實體類別	Type of Controlling Person 拉權人類別	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)			
	Individual who exercises control/is entitled to exercise control through other means (i.e. not less than 25% of voting rights) 以其他总理行後控制權政有權行稅控制權的個人(即擁有不少於百分之二十五的表決權)			
	Individual who holds the position of senior managing official/ exercises ultimate control over the management of the entity 请任股票债的高级常理人员 / 对股票债的管理行使最終控制模的侧人			
Trust 信託	Settlor 財產授予人			
	Trustee 受託人			
	Protector 保護人			
	Beneficiary or member of the class of beneficiaries 受益人或某類別受益人的成員			
	Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary) 其他(例如:如前妻分子人/爱託人/保藤人/受益人為另一實體,對該實體行使控制權的個人)			
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			
	Individual in a position equivalent/similar to trustee 處於相等 / 相類於受託人位置的個人			
	Individual in a position equivalent/similar to protector 處於相等 / 相類於保護人位置的個人			
	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			
	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/分匯人/分匯人/英益人位匯の人為另一實體,對該數種行使控制期的個人)			

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))

Page 頁次 4/11 OPS441R1-m (281216) W

## C. Part 3 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN")

This number depends on which country you are tax resident. If you are the tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number (HKID).

The OECD has provided some information on the acceptable numbers and format. You can refer to the following website <a href="http://www.oecd.org/tax/automatic-exchange/crs-implementation-">http://www.oecd.org/tax/automatic-exchange/crs-implementation-</a> and-assistance/tax-identification-numbers/#d.en.347759>.

If you cannot provide a TIN, please indicate the reason A, B or C on the form.

If you select reason B, please provide a written reason for not being able to provide the TIN. This must be written in the table on the form.

## D. Part 4 Type of Controlling Person

The first 3 Controlling Person types are for all companies except Trusts or Legal Arrangements other than Trust.

Controlling ownership interest relates to where the individual owns 25% or above of the company. Control through other means refers to 25% or above voting rights.

Senior Managing Official is considered as the controlling person where there is not an individual that can be identified as having control by ownership or other means. They are the key controller of the company.

The remaining Controlling Person types are for Trusts or Legal Arrangements other than Trust.

# **CRS – Controlling Person Tax Residency Self-Certification Form**



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

日內,向責行提交一份已適當更新的自我體明表格。

戶資料用途及(b)把該等資料和關於控權人及任何須申報賬戶的資料向香港特別行政區政府稅務局中報,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 authorised to sign for the controlling person) of all the account(s) currently held with the Bank by the entity

account holder(s). 未人置明,就實置账户持有人现於實行持有所有限户,本人是控權人(或本人實控權人務權代其簽署)。 I undertake to advise the Bank of any change in circumstances which affects the tax residency status of the individual identified in Part I 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. 本人產思,如或沒有污食變,以聚變響本表核器,主 認所法的個人物質核理反身分,或引致柔系核所能的資料不证或 未入會通知實行,宣擊在情况要性改變後 30

I declare that the information given and statements made i 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	n this form are, to the best of my knowledge and belief, true, correct and complete. 、正確和完備。
Signature ##	Name ## 3 Capacity ## 4
x <b>2</b>	(Indicate the capacity if you are not the individual identified in Part 1. signing under a power of attorney, attach a certified copy of the +power attorney.) 並要不要者 : お研究的個人, 近常窓的身分。近常窓見以受權人身分養權, 母素格, 須来州数十長糧事的核理制本。)  + The power of attorney must be in a form satisfactory to the Bank.
Date (dd/mm/yyyy) 日期 (日/月/年):	授權書必須採用本行滿意的形式。

WARNING: It is a serious offence under 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 may apply upon conviction.

警告:根據《稅務條例》,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。

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)) Page 頁次 5/11 OPS441R1-m (281216) W

### E. Part 5 Declarations and Signature

You must be the individual identified in Part 1 (or authorised to sign on behalf of the individual identified in Part 1).

- 1. Please sign the form.
- 2. Please date the form using the dd/mm/yyyy format.
- 3. Please print your name on the line next to your signature.
- 4. Please indicate the capacity in which you are signing the form if you are not the individual identified in Part 1.

If you have any questions regarding your tax position, please consult your professional tax and/or legal advisor as we are unable to provide any tax advice.