

CRS – Controlling Person Tax Residency Self-Certification Form

A

Part 1: Identification of Controlling Person 第 1 部：控權人的身分識別資料

Note 注意： Please tick where applicable. 請在適當的地方加上刪號。

1

Name of Controlling Person 控權人的姓名

Title 稱謂：☐ Mr 先生 ☐ Mrs 太太 ☐ Miss 小姐 ☐ Ms 女士 ☐ Other 其他

*Last Name or Surname 姓氏

*First or Given Name 名字

Middle Name(s) 中國名

2

Hong Kong Identity Card or Passport Number 香港身分證或護照號碼

3

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

4

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，填齊此欄)

(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

5

*Date of Birth 出生日期

(dd/mm/yyyy 日 / 月 / 年)

B

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賬戶持有人

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)	

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.



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C 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」)

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。

Table with 4 columns: Jurisdiction of Residence, TIN, Reason A/B/C, and Explanation. It contains 5 rows for data entry.

D 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:

Table with 5 columns: Type of Entity, Type of Controlling Person, and three checkboxes for Entity (1), Entity (2), and Entity (3). It lists various controlling person types like Legal Person, Trust, and Legal Arrangement.

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 <http://www.oecd.org/tax/automatic-exchange/crs-implementation-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.

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

本人知悉及同意，香港上海滙豐銀行有限公司（「**貴行**」）可根據《稅務條例》（第 112 章）有關交換財務資料的條文法律條文，(a) 收集本表格所載資料並可編存作自動交換財務資料用途及 (b) 把該等資料和關於授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申報，從而把資料轉交到授權人的居留司法管轄區的稅務當局。

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聲明表格。

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。

1 x

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聲明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或因疏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。

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.