

RBB ENTITY SELF CERTIFICATION FORM
小企业银行服务部机构税收居民身份声明文件

Entity Name 机构名称	
1. Entity Type 机构类别	<div><div><input type="checkbox"/> (a) Financial Institution - Investment Entity 金融机构 - 投资机构<div><input type="checkbox"/> i. An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution 位于非参与“金融账户涉税信息自动交换多边主管当局间协议”地区但由另一金融机构控制的投资机构<div><input type="checkbox"/> ii. Other Investment Entity 其他投资机构</div></div></div><div><input type="checkbox"/> (b) Financial Institution - Depository Institution, Custodial Institution or Specified Insurance Company 金融机构 - 存款机构，托管机构或者特定保险公司 If you have ticked (a) or (b) above, please provide, if held, the Account Holder's Global Intermediary Identification Number ("GIIN") obtained for FATCA purpose 如选择了以上(a)或(b)选项，请提供因FATCA事宜申请过的GIIN号码(如有)<div></div></div><div><input type="checkbox"/> (c) Active NFE - a corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation 主动的非金融实体 - 该非金融实体的股票于成熟证券市场正常交易，或该非金融实体是上市公司关联机构 If you have ticked (c), please provide the name of the established securities market on which the corporation is regularly traded 如选择(c)项，请提供具体所在上市交易所的名称<div></div> If you are a Related Entity of a regularly traded corporation, please provide the name of the regularly traded corporation that the Entity in (c) is a Related Entity of and the above 如贵司是上市公司的关联机构，请提供上市公司的名称及具体所在上市交易所名称<div></div></div><div><input type="checkbox"/> (d) Active NFE - a Government Entity or Central Bank 主动的非金融实体 - 政府实体或者中央银行</div><div><input type="checkbox"/> (e) Active NFE - an International Organisation (for example the United Nations or NATO) 主动的非金融实体 - 国际组织(例如联合国或北约组织)</div><div><input type="checkbox"/> (f) Active NFE - others 主动的非金融实体 - 其他</div><div><input type="checkbox"/> (g) Passive NFE 消极非金融机构</div></div> <div><div>If you have ticked 1(a)(i) or 1(g) above, then please 如果选择上一部分的1(a)(i)或者1(g)请提供下方信息</div><div>a. Indicate the name of any Controlling Person(s) of the Account Holder 账户所有人的控制人的名称<div></div></div><div>b. Complete "Controlling Person tax residency self-certification form" for each Controlling Person. 请根据每位控制人信息填写“控制人税收居民身份声明文件”</div><div>Note: If, pursuant to China local regulation, controlling person's information is required, the controlling person will be identified according to Article 13 of China local regulation*. (Refer Definition note) 备注：如需要提供控制人信息的，机构需依据中国本地法规*第十三条（参考附注）依次判定所有需要提供信息的控制人。</div></div>
2. Entity Tax Residency 机构税收居民身份	<div><input type="checkbox"/> Tax Residency is China 仅为中国税收居民 If you have ticked this, please move to section Five 如勾选此项，请直接填写第五项内容</div> <div><input type="checkbox"/> Tax Residency is not in China 仅为非居民</div> <div><input type="checkbox"/> Tax Residency is both China and other Country (Jurisdiction) 既是中国税收居民又是其他国家（地区）税收居民</div>
3. Entity Details 机构基本信息	<div><div>Entity Name (EN) 机构名称（英文）</div><div></div></div> <div><div>Entity Address (EN/PINYIN) 机构地址（英文或拼音）</div><div><div>Country/Jurisdiction 国家 / 地区</div><div>Province(State) 省（州）</div><div>City(Town) 市（县）</div></div></div>

Entity Self Certification Form(062618)

4. Country / Jurisdiction of Tax Residency and TIN 税收居民国（地区）及纳税人识别号		Country / Jurisdiction of tax residence 税收居民国（地区）	TIN 纳税人识别号	If no TIN available, enter Reason 如没有提供纳税人识别号，填写理由
	1			<input type="checkbox"/> Reason A 理由A <input type="checkbox"/> Reason B 理由B <input type="checkbox"/> Reason C 理由C
	2			<input type="checkbox"/> Reason A 理由A <input type="checkbox"/> Reason B 理由B <input type="checkbox"/> Reason C 理由C
	3			<input type="checkbox"/> Reason A 理由A <input type="checkbox"/> Reason B 理由B <input type="checkbox"/> Reason C 理由C
	<p>Reason A - The country(jurisdiction) where we are liable to pay tax does not issue TINs to its residents 理由A - 在本机构负有纳税义务的国家（地区）并没有向其税收居民签发纳税人识别号。</p> <p>Reason B - The Account Holder is otherwise 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B - 账户持有人不能取得纳税人识别号。如选取这一理由，解释账户持有人不能取得纳税人识别号的原因</p> <div></div> <p>Reason C - No TIN is required. (Note. Only select this reason if the authorities of the country/jurisdiction of tax residence entered below do not require the TIN to be disclosed) 理由C - 账户持有人无须提供纳税人识别号。税收居民国 / 地区的主管机关不需要账户持有人披露纳税人识别号。</p>			

5. We understand that the information supplied by us is covered by the full provisions of the terms and conditions (as amended from time to time) governing the Account Holder's relationship with HSBC setting out how HSBC may use and share the information supplied by us.
本机构已知悉本机构所提供的信息受到所有适用于本机构与汇丰业务关系的相关条款和规定（包括其不时做出的修改和更新）的约束，该等条款和规定对汇丰将如何使用和分享本机构提供的信息进行了规定。

We acknowledge that the information contained in this form and information regarding the Account Holder and any Reportable Account(s) may be reported to the tax authorities of the country/jurisdiction in which this account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction (countries/jurisdictions) in which the Account Holder may be tax resident pursuant to intergovernmental agreements to exchange financial account information with the country/jurisdiction (countries/jurisdictions) in which this account(s) is/are maintained.
本机构知悉及同意本表格所含内容以及关于账户持有人和需要报送的账户的信息将有可能报送至该账户所在国 / 地区的税务机关，并按照《金融账户涉税信息自动交换多边主管当局间协议》将该等信息交换至本机构可能做为税收居民的其他国家 / 地区的税务机关。

We certify that the undersigned is authorized to sign for the Account Holder in respect of all the account(s) to which this form relates.
本机构声明，就与本表格所有相关的账户持有人所持有的账户，下列人员已获授权签署本表格。

We certify that where we have provided information regarding any other person (such as a Controlling Person or other Reportable Person to which this form relates) that we will, within 30 days of signing this form, notify those persons that we have provided such information to HSBC and that such information may be provided to the tax authorities of the country/jurisdiction in which the account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction (countries/jurisdictions) in which the person may be tax resident pursuant to intergovernmental agreements to exchange financial account information.
本机构承诺，本机构会在签署本表格的30天内通知所有本表格中信息所涉及的相关人员(例如，控制人以及其他本表格涉及的其他需要报送的人员)，告知其本表格的相关信息已被提供给汇丰，并且该等信息将被报送至账户所在国 / 地区的税务机关，并依据政府间协议提供至其所属的税收居民国/地区的税务机关。

We confirm that all the information provided and statements made in this declaration are, to the best of our knowledge and belief, correct and complete.
本机构在此确认通过本表格所提供的信息和做出的声明都是真实、准确和完整的。

We undertake to advise HSBC within 30 days of any change in circumstance which affects the tax residency status of the Account Holder or causes the information contained herein to become incorrect (including any changes to the information on controlling persons), and to provide HSBC a suitably updated self-certification and Declaration within 90 days of such change in circumstances.
本机构承诺，如情况有所改变(包括控制人相关信息的任何变更)，以致影响本机构税收居民身份的，或引致本表格所载的任何其他信息不正确的，本机构会在该等改变发生后30日内通知汇丰银行(中国)有限公司，并会在改变发生后90日内向汇丰银行(中国)有限公司提交一份已适当更新的声明表格。

Authorized Signature
授权签字人（签署）_____

Date (dd/mm/yyyy)
日期（日 / 月 / 年）_____

Print Name
名字请用正楷填写 _____

Company Chop
机构公章 _____

APPENDIX: Important excerpts from *The Administrative Measures for the Due Diligence of Tax-related Information of Financial Accounts Owned by Non-residents* (“The Measures”)

附录：《非居民金融账户涉税信息尽职调查管理办法》重要摘录

Article 10 For the purpose of the Measures, non-residents refer to individuals and enterprises (including other organizations) other than tax residents of China, excluding government authorities, international organizations, the central bank, financial institutions, or companies listed on the securities market for trading and their affiliates.

第十条 本办法所称非居民是指中国税收居民以外的个人和企业（包括其他组织），但不包括政府机构、国际组织、中央银行、金融机构或者在证券市场上市交易的公司及其关联机构。

Article 12 For the purpose of the Measures, passive non-financial institutions refer to institutions meeting any of the following conditions:

1. in the previous calendar year, the sum of income not from positive operating activities, such as dividends, interest, rents and royalties, and the income from the transfer of financial assets which produce the income not from positive operating activities account for more than 50% of the total income of a non-financial institution;
2. at the end of the previous calendar year, the financial assets that can produce the income mentioned in Item 1 of this paragraph account for more than 50% of the total assets of a non-financial institution; or
3. the country/jurisdiction(region) where an investment institution serves as a tax resident does not implement the standards for automatic exchange of tax-related information of financial accounts.

The following non-financial institutions do not belong to passive non-financial institutions:

1. listed companies and their affiliates;
2. government authorities or institutions performing public service functions;
3. holding companies established only for holding the equities of non-financial institutions or providing them with financing and services;
4. enterprises that have been established for less than 24 months and have not yet carried out business;
5. enterprises undergoing asset liquidation or reorganization;
6. enterprises carrying out financing or hedging transactions only with affiliates in the group (all institutions in the group are non-financial institutions); and
7. non-profit organizations.

第十二条 本办法所称消极非金融机构是指符合下列条件之一的机构：

- （一）上一公历年内，股息、利息、租金、特许权使用费收入等不属于积极经营活动的收入，以及据以产生前述收入的金融资产的转让收入占总收入比重百分之五十以上的非金融机构；
- （二）上一公历年度末，拥有可以产生本款第一项所述收入的金融资产占总资产比重百分之五十以上的非金融机构；
- （三）税收居民国（地区）不实施金融账户涉税信息自动交换标准的投资机构。

下列非金融机构不属于消极非金融机构：

- （一）上市公司及其关联机构；
- （二）政府机构或者履行公共服务职能的机构；
- （三）仅为了持有非金融机构股权或者向其提供融资和服务而设立的控股公司；
- （四）成立时间不足二十四个月且尚未开展业务的企业；
- （五）正处于资产清算或者重组过程中的企业；
- （六）仅与本集团（该集团内机构均为非金融机构）内关联机构开展融资或者对冲交易的企业；
- （七）非营利组织。

Article 13 Any of the following persons shall be determined as the controller of a company in accordance with the following rules:

1. an individual directly or indirectly owning more than 25% of the equities or voting rights of the company (Control by ownership); or
2. an individual controlling the company by means of personnel, financial affairs or otherwise (Control by other means); or
3. a senior officer of the company (Control by senior managing official)

第十三条 公司的控制人按照以下规则依次判定：

- （一）直接或者间接拥有超过百分之二十五公司股权或者表决权的个人；
- （二）通过人事、财务其他方式对公司进行控制的个人；
- （三）公司的高级管理人员。

Article 6 For the purpose of the Measures, financial institutions include depository institutions, custodial institutions, investment institutions and specific insurance institutions as well as the branches thereof:

1. depository institutions refer to institutions taking deposits in daily operating activities;
2. custodial institutions refer to institutions over 20% of whose total income in the last three accounting years (or in the period of existence of the institutions if they have been established for less than three years) is derived from financial assets held by clients;
3. investment institutions refer to institutions meeting any of the following conditions:
 - (1) over 50% of total income of the institution in the last three accounting years (or in the period of existence of the institution if it has been established for less than three years) is derived from the investment with and operation of financial assets for clients;
 - (2) over 50% of total income of the institution in the last three accounting years (or in the period of existence of the institution if it has been established for less than three years) is derived from the investment or reinvestment with or trade in financial assets, and the institution's management and its investment decisions are conducted and made by a depository institution, custodial institution or specific insurance institution or the investment institution mentioned in Sub-item 1 of this item; or
 - (3) the institution is an investment entity established for the purpose of making investment or reinvestment with or trading in financial assets such as securities investment funds and private equity funds;
4. specific insurance institutions refer to institutions carrying out insurance or annuity business with cash value. For the purpose of the Measures, insurance institutions refer to institutions whose income from insurance, reinsurance and annuity contracts in the last calendar year accounts for more than 50% of the total income, or assets from insurance, reinsurance and annuity contracts at the end of the last calendar year account for more than 50% of the total assets.

For the purpose of the Measures, financial assets include securities, interests in partnerships, bulk commodities, swaps, insurance contracts, annuity contracts, or interests in the above assets such as futures, forward contracts or options, but exclude physical commodities and non-debt direct interests in real estate.

第六条 本办法所称金融机构，包括存款机构、托管机构、投资机构、特定的保险机构及其分支机构：

- （一）存款机构是指在日常经营活动中吸收存款的机构；
 - （二）托管机构是指近三个会计年度总收入的百分之二十以上来源于为客户持有金融资产的机构，机构成立不满三年的，按机构存续期间计算；
 - （三）投资机构是指符合以下条件之一的机构：
 1. 近三个会计年度总收入的百分之五十以上来源于为客户投资、运作金融资产的机构，机构成立不满三年的，按机构存续期间计算；
 2. 近三个会计年度总收入的百分之五十以上来源于投资、再投资或者买卖金融资产，且由存款机构、托管机构、特定的保险机构或者本项第1目所述投资机构进行管理并作出投资决策的机构，机构成立不满三年的，按机构存续期间计算；
 3. 证券投资基金、私募投资基金等以投资、再投资或者买卖金融资产为目的而设立的投资实体。
 - （四）特定的保险机构是指开展有现金价值的保险或者年金业务的机构。本办法所称保险机构是指上一公历年内，保险、再保险和年金合同的收入占总收入比重百分之五十以上的机构，或者在上一公历年末拥有的保险、再保险和年金合同的资产占总资产比重百分之五十以上的机构。
- 本办法所称金融资产包括证券、合伙权益、大宗商品、掉期、保险合同、年金合同或者上述资产的权益，前述权益包括期货、远期合约或者期权。金融资产不包括实物商品或者不动产非债直接权益。

Article 7 The following institutions belong to financial institutions stipulated in Article 6 hereof:

1. commercial banks, rural credit cooperatives and other financial institutions taking public deposits, and policy banks;
2. securities companies;
3. futures companies;
4. securities investment fund management companies, private equity fund management companies, and partnerships engaging in private equity fund management;
5. insurance companies and insurance asset management companies carrying out insurance or annuity business with cash value;
6. trust companies; and
7. other institutions meeting the prescribed conditions.

第七条 下列机构属于本办法第六条规定的金融机构:

- (一) 商业银行、农村信用合作社等吸收公众存款的金融机构以及政策性银行;
- (二) 证券公司;
- (三) 期货公司;
- (四) 证券投资基金管理公司、私募基金管理公司、从事私募基金管理业务的合伙企业;
- (五) 开展有现金价值的保险或者年金业务的保险公司、保险资产管理公司;
- (六) 信托公司;
- (七) 其他符合条件的机构。

Article 8 The following institutions do not belong to financial institutions stipulated in Article 6 hereof:

1. financial asset management companies;
2. finance companies;
3. financial leasing companies;
4. auto financing companies;
5. consumer finance companies;
6. currency brokerage companies;
7. securities depository and clearing institutions; and
8. other institutions that do not meet the prescribed conditions.

第八条 下列机构不属于本办法第六条规定的金融机构:

- (一) 金融资产管理公司;
- (二) 财务公司;
- (三) 金融租赁公司;
- (四) 汽车金融公司;
- (五) 消费金融公司;
- (六) 货币经纪公司;
- (七) 证券登记结算机构;
- (八) 其他不符合条件的机构。

Disclaimer

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The English translation is for reference only. In case of any discrepancy between the English version and the Chinese version, the Chinese version shall prevail.
英文译本仅供参考, 文义如与英文有歧义, 概以中文本为准。

**:Note: China local regulation hereby refers to the Announcement of the State Administration of Taxation, the Ministry of Finance, the People's Bank of China, the China Banking Regulatory Commission, the China Securities Regulatory Commission and the China Insurance Regulatory Commission [2017] No.14 "The Administrative Measures for the Due Diligence of Tax-related Information of Financial Accounts Owned by Non-residents".*

中国本地法规, 请参考国家税务总局、财政部、中国人民银行、中国银行业监督管理委员会、中国证券监督管理委员会、中国保险监督管理委员会公告2017年第14号《非居民金融账户涉税信息尽职调查管理办法》。

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