

CRS – Entity Tax Residency Self-Certification Form

A Part 1: Identification of Entity Account Holder 第 1 部：實體賬戶持有人的身分識別資料

(For multiple account holders, complete a separate form for each entity account holder.
對於聯名賬戶或多人聯名賬戶，每名實體賬戶持有人須分別填寫一份表格。)

| | | |
|---|---|--|
| 1 | *Legal Name of Entity 實體法定名稱 | |
| 2 | Jurisdiction of Incorporation or Organisation 實體成立為法團或設立所在的稅務管轄區 | |
| 3 | Certificate of Incorporation or Business Registration Number 公司註冊或商業登記號碼 | |
| 4 | Current Business Address 現時營業地址 | (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 | |
| 5 | Mailing Address 通訊地址 (Complete if different to the above current business address 如通訊地址與上述現時營業地址不同，填寫此欄) | (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 | |

B Part 2: Entity Type 第 2 部：實體類別

Tick one of the appropriate boxes and provide the relevant information. 在其中一個適當的方格內加上 ✓ 號，並提供有關資料。

| | |
|------------------------------------|---|
| Financial Institution 金融 / 財務機構 | <input type="checkbox"/> Custodial Institution, Depository Institution or Specified Insurance Company 託管機構、存款機構或指明保險公司 |
| | <input type="checkbox"/> Investment Entity, except an 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 投資實體，但不包括由另一金融 / 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 |
| Active NFE 主動非財務實體 | <input type="checkbox"/> NFE the stock of which is regularly traded on _____, which is an established securities market 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 |
| | <input type="checkbox"/> Related entity of _____, the stock of which is regularly traded 的有關連實體，該有關連實體的股票經常在 _____ 進行買賣 (一個具規模證券市場) |
| | <input type="checkbox"/> NFE is a governmental entity, an international organisation (for example the United Nations or North Atlantic Treaty Organisation ("NATO")), a central bank, or an entity wholly owned by one or more of the foregoing entities 政府實體、國際組織 (例如聯合國或北大西洋公約組織 ("NATO")), 中央銀行或由前述的實體全權擁有的其他實體 |
| | <input type="checkbox"/> Active NFE other than the above (for example a start-up NFE or a non-profit NFE) 除上述以外的主動非財務實體 (例如新成立的非財務實體或非牟利的非財務實體) |
| Passive NFE 被動非財務實體 | <input type="checkbox"/> Investment entity that is managed by another financial institution and located in a non-participating jurisdiction 位於非參與稅務管轄區並由另一金融 / 財務機構管理的投資實體 |
| | <input type="checkbox"/> NFE that is not an Active NFE 不屬主動非財務實體的非財務實體 |

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

A. Part 1 Identification of Entity Account Holder

1. Legal Name of Entity

Insert your business name on the formation documents which is provided to the Bank.

2. Jurisdiction of Incorporation or Organisation

Insert the country where your business was formed or incorporated. If you are a Trust, then it is where the Trustee is located.

3. Certificate of Incorporation or Business Registration Number

Insert your Certificate of Incorporation or Business Registration Number on the formation documents.

4. Current Business 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

5. Mailing Address

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

B. Part 2 Entity Type

Must tick one box only. Please refer to the Appendix on Page 6 to 8 of the form for the definitions of Entity Types.

CRS – Entity Tax Residency Self-Certification Form

C Part 3: Controlling Persons (Complete this part if the entity account holder is a passive NFE)

第 3 部：控權人 (如實體賬戶持有人是被動非財務實體，填寫此部)

Indicate the name of all controlling person(s) of the account holder in the table below. If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official. Complete Controlling Person Tax Residency Self-Certification Form (CRS-CP (HK)) for each controlling person.

就賬戶持有人，填寫所有控權人的姓名在列表內。就法人實體，如行使控制權的並非自然人，控權人會是該法人實體的高級管理人員。每名控權人須分別填寫一份控權人稅務居民自我證明表格 (CRS-CP (HK))。

| | |
|-----|-----|
| (1) | (5) |
| (2) | (6) |
| (3) | (7) |
| (4) | (8) |

D Part 4 第 4 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」)

Complete the following table indicating 提供以下資料，列明：

(a) each jurisdiction of residence where the account holder is a **resident for tax purposes**; and

賬戶持有人的居留司法管轄區，亦即賬戶持有人的稅務管轄區；及

(b) the account holder's TIN for each jurisdiction indicated. 該居留司法管轄區發給賬戶持有人的稅務編號。

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

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 not a tax resident in any jurisdiction (e.g. fiscally transparent), indicate the jurisdiction in which its place of effective management is situated.

如果賬戶持有人並非任何稅務管轄區的稅務居民 (例如：它是財政透明實體)，填寫實際管理機構所在的稅務管轄區。

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 account holder is a resident for tax purposes does not issue TINs to its residents.

理由 A - 賬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。

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.

理由 B - 賬戶持有人不能取得稅務編號。如選取這一理由，解釋賬戶持有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 - 賬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賬戶持有人披露稅務編號。

| 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 account holder is unable to obtain a TIN if you have selected Reason B 如選取理由 B，解釋賬戶持有人不能取得稅務編號的原因 |
|--------------------------------------|----------|--|---|
| (1) | | | |
| (2) | | | |
| (3) | | | |
| (4) | | | |
| (5) | | | |

C. Part 3 Controlling Persons

Complete this part only if you have ticked the box **Passive NFE** in Part 2.

Please provide the name of each controlling person(s) of the entity identified in Part 1.

D. Part 4 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 Business Registration Number.

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.

CRS – Entity Tax Residency Self-Certification Form

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

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by The Hongkong and Shanghai Banking Corporation Limited (the "Bank") 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 the Bank 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，香港上海滙豐銀行有限公司（「貴行」）可根據《稅務條例》（第 112 章）有關交換財務賬戶資料的法律條文，（a）收集本表格所載資料並可備存作自動交換財務賬戶資料用途及（b）把該等資料和關於賬戶持有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。從而把資料轉交到賬戶持有人的居留司法管轄區的稅務當局。

I certify that I am authorised to sign for the account holder of all the account(s) currently held with the Bank by the account holder identified in Part 1 of this form. 本人證明，就有關本表格第 1 部所附的實體賬戶持有人現於貴行持有的所有賬戶，本人獲賬戶持有人授權代其簽署。

I undertake to advise the Bank of any change in circumstances which affects the tax residency status of the account holder 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 部所述的實體的稅務居民身分，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、正確和完整。

| | |
|---|---|
| Signature 簽署 1 | Name 姓名 3 |
| X Date (dd/mm/yyyy) 日期 (日 / 月 / 年): 2 | Capacity 身分 4 (Indicate the capacity in which you are signing the form e.g. director or officer of a company, partner of a partnership, trustee of a trust, Authorised Officer, etc. 說明您簽署這份表格的身分。例如：公司的董事或高級人員、合夥的合夥人、信託的受托人或獲授權人員等。) |

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。

E. Part 5 Declarations and Signature

You must be authorised to sign on behalf of the entity identified in Part 1.

1. Please sign the form according to the mandate or company minutes provided to the Bank.
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 have any questions regarding your tax position, please consult your professional tax and/or legal advisor as we are unable to provide you any tax advice.