

致： 龍匯證券有限公司
香港上環永樂街 50 號昌盛大廈 8 樓

To: Topper Dragon Securities Limited
8/F, CS Tower, 50 Wing Lok Street,
Sheung Wan, Hong Kong

帳戶號碼 Account No.: _____

自我證明表格 – 控權人
Self-Certification Form – Controlling Person

重要提示 Important Notes

- 這是由帳戶持有人向申報財務機構提供的自我證明表格，以作自動交換財務帳戶資料用途。申報財務機構可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
This is a self-certification form provided by an account holder to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- 如帳戶持有人的稅務居民身分有所改變，應盡快將所有變更通知申報財務機構。
An account holder should report all changes in his/her tax residency status to the reporting financial institution.

第 1 部 個人帳戶持有人的身分識辨資料

Part 1 Identification of Individual Account Holder

(對於聯名帳戶或多人聯名帳戶，每名個人帳戶持有人須分別填寫一份表格)

(For joint or multiple account holders, complete a separate form for each individual account holder.)

注意 Note：請在適當的地方加上剔號 Please tick where applicable.

| | | | |
|---|--|-------------------------------|-----------------------|
| 帳戶持有人的姓名 Name of Account Holder | 稱謂 Title: <input type="checkbox"/> 先生 Mr <input type="checkbox"/> 太太 Mrs <input type="checkbox"/> 女士 Ms <input type="checkbox"/> 小姐 Miss <input type="checkbox"/> 其他 Other _____ | | |
| | * 姓氏 Last Name or Surname | * 名字 First or Given Name * | 中間名 Middle Name(s) |
| 香港身份證或護照號碼 Hong Kong Identity Card or Passport Number | | | |
| 現時住址 Current Residence Address | (例如：室、樓層、大廈、街道、地區 e.g. Suite, Floor, Building, Street, District) | | |
| | * 城市 *City | | |
| | (例如：省、州 e.g. Province, State) | | |
| | * 國家 *Country | | |
| 郵政編碼/郵遞區號碼 Post Code/ZIP Code | | | |
| 通訊地址 Mailing Address (如通訊地址與現時住址不同，請填寫此欄 Complete if different to the current residence address) | (例如：室、樓層、大廈、街道、地區 e.g. Suite, Floor, Building, Street, District) | | |
| | 城市 City | | |
| | (例如：省、州 e.g. Province, State) | | |
| | 國家 Country | | |
| 郵政編碼/郵遞區號碼 Post Code/ZIP Code | | | |
| * 出生日期 * Date of Birth | (日/月/年 dd/mm/yyyy) | | |
| 出生地點 Place of Birth | | | |

第 2 部 你作為控權人的實體帳戶持有人

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

填寫你作為控權人的實體帳戶持有人的名稱

Enter the name of the entity account holder of which you are a controlling person.

| 實體 Entity | 實體帳戶持有人的名稱 Name of the Entity Account Holder |
|--------------|---|
| (1) | |
| (2) | |
| (3) | |

***第 3 部 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」)**

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

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

- (a) 帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區(香港包括在內)及
the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and
- (b) 該居留司法管轄區發給帳戶持有人的稅務編號。列出所有(不限於 4 個)居留司法管轄區。
the account holder's TIN for each jurisdiction indicated. Indicate all (not restricted to four) jurisdictions of residence.

如帳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.

如沒有提供稅務編號，必須填寫合適的理由：

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

- 理由 **A** 帳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 A The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.
- 理由 **B** 帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳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. Explain why the account holder is unable to obtain a TIN if you have selected this reason.
- 理由 **C** 帳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帳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 residence do not require the TIN to be disclosed.

| 居留司法管轄區 Jurisdiction of Residence | 稅務編號 TIN | # 如沒有提供稅務編號，填寫理由 A, B 或 C # Enter Reason A, B or C if no TIN is available | 如選取理由 B ，解釋帳戶持有人不能取得稅務編號的原因 Explain why the account holder is unable to obtain a TIN if you have selected Reason B |
|--------------------------------------|-------------|--|---|
| (1) | | | |
| (2) | | | |
| (3) | | | |
| (4) | | | |

如您對判定您的稅務居民身分有任何疑問，請瀏覽經合組織網站

www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/#d.en.347760

或諮詢您的稅務顧問。請恕我們不能提供稅務意見。If you have any questions on how to define your tax residency status, please visit the OECD website, www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/#d.en.347760 or speak to your tax advisor as we are not allowed to give tax advice.

第 4 部 控權人類別 Part 4 Type of Controlling Person

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控權人類別。

Tick the appropriate box to indicate the type of controlling person for each entity stated in Part 2.

| 實體類別 Type of Entity | 控權人類別 Type of Controlling Person | 實體 (1) Entity(1) | 實體 (2) Entity(2) | 實體 (3) Entity(3) |
|--|---|--------------------------|--------------------------|--------------------------|
| 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"/> |
| | 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"/> |
| | 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"/> |
| 信託 Trust | 財產授予人 Settlor | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | 受託人 Trustee | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | 保護人 Protector | <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"/> |
| | 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"/> |
| 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"/> |
| | 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"/> |
| | 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"/> |
| | 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"/> |
| | 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"/> |

第 5 部 聲明及簽署

Part 5 Declarations and Signature

本人知悉及同意，財務機構可根據《稅務條例》(第112章)有關交換財務帳戶資料的法律條文，(a)收集本表格所載資料並可備存作自動交換財務帳戶資料用途及(b)把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution 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 financial institution 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).

#本人證明，就與本表格所有相關的實體帳戶持有人所持有的帳戶，本人是控權人 / 本人獲控權人授權簽署本表格

I certify that I am the controlling person / I am authorized to sign for the controlling person # of all the account(s) held by the entity account holder(s) to which this form relates..

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，本人會通知龍匯證券有限公司，並會在情況發生改變後30 日內，向龍匯證券有限公司提交一份已適當更新的自我證明表格。

I undertake to advise Topper Dragon Securities Limited 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 Topper Dragon Securities Limited with a suitably updated self-certification form within 30 days of such change in circumstances.

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。

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.

簽署 Signature



身分 Capacity: _____

(如您不是第1部所述的個人，說明您的身分。如果您是以受權人身分簽

署這份表格，須夾附該授權書的核證副本。Indicate the capacity if you are not the individual identified in Part 1. If signing under a power of attorney, attach a certified copy of the power of attorney.)

日期(日/月/年) Date (dd/mm/yyyy) :

姓名 Name

刪去不適用者 #Delete as appropriate

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，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).