

共同匯報標準自我證明表格 (實體)

Common Reporting Standard Self-Certification Form (Entity)

(如適用請加"✓" Please "✓" as appropriate)

**第 1 部份 - 公司帳戶資料**

**Section 1 - Corporate Account Information**

|   |  |                                      |  |
|---|--|--------------------------------------|--|
| 公司名稱<br>Name of Company / Corporation:                            |  |                                      |  |
| 中文<br>Chinese:  |  |                                      |  |
| 英文<br>English:  |  |                                      |  |
| 註冊編號<br>Certificate No.:  |  | 商業登記編號<br>Business Registration No.: |  |
| 註冊/成立地點<br>Place of Incorporation/ Establishment::                |  |                                      |  |
| 主要辦事處地址<br>Principal Place of Business:                           |  |                                      |  |
| 通訊地址 (如與以上不同)<br>Correspondence Address (if different from above) |  |                                      |  |

**第 2 部份 - 實體類別**

**Section 2 - Entity Type**

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

|                               |                          |   |
|-------------------------------|--------------------------|---|
| 財務機構<br>Financial Institution | <input type="checkbox"/> | 託管機構、存款機構或指明保險公司<br>Custodial Institution, Depository Institution or Specified Insurance Company  |
|                               | <input type="checkbox"/> | 投資實體，但不包括由另一財務機構管理 (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<br>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 |
| 主動非財務實體<br>Active NFE         | <input type="checkbox"/> | 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<br>NFE the stock of which is regularly traded on _____, which is an established securities market   |
|                               | <input type="checkbox"/> | _____ 的有關連實體，該有關連實體的股票經常在 _____ (一個具規模證券市場) 進行買賣<br>Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market   |
|                               | <input type="checkbox"/> | 政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體<br>NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities   |
|                               | <input type="checkbox"/> | 除上述以外的主動非財務實體 (請說明 _____)<br>Active NFE other than the above (Please specify _____)   |
| 被動非財務實體<br>Passive NFE        | <input type="checkbox"/> | 位於非參與稅務管轄區並由另一財務機構管理的投資實體<br>Investment entity that is managed by another financial institution and located in a non-participating jurisdiction   |
|                               | <input type="checkbox"/> | 不屬主動非財務實體的非財務實體<br>NFE that is not an active NFE  |

**\*\* 該實體的帳戶持有人，如對其實體的控制擁有權達 25% 或以上，即為實體控權人，每名控權人均須填寫及完成自我證明 — 控權人部份 (第五部) 的個人資料。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。**  
**\*\* Each controlling person of the Account Holder who holds directly or indirectly more than 25 percent of the shares or voting rights of an Entity as a beneficial owner, is required to complete the self-certification in part 5. 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.**

## Section 3 - Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") of Account Holder

Please complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder's TIN for each jurisdiction indicated. Indicate all (not restricted to five) 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。如沒有提供稅務編號，必須填寫合適的理由：

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. 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，請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. Please 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.

| Reason C<br>TIN is not required. Select this reason only if the address of the jurisdiction of residence is not available. |  | Jurisdiction of Residence | Tax Identification Number (TIN)  | If no TIN is available, please enter Reason A, B or C.<br>如沒有提供稅務編號，請填寫理由 A、B 或 C | If you select Reason B, please explain why you are unable to obtain a TIN.<br>如選取理由 B，請解釋帳戶持有人不能取得稅務編號的原因 |
|--|--|---------------------------|--|---|---|
| 1.   |  |                           | <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C |   |   |
| 2.   |  |                           | <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C |   |   |
| 3.   |  |                           | <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C |   |   |
| 4.   |  |                           | <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C |   |   |
| 5.   |  |                           | <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C |   |   |

## Section 4 - Declarations and Signature of Account Holder

本人/公司知悉及同意，金裕富根據《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文，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把該等資料和關於本人/公司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，從而把資料轉交到本人/公司的居留司法管轄區的稅務當局。

I/our entity acknowledge and agree that the information contained in this form is collected and may be kept by GRSL for the purpose of automatic exchange of financial account information, and such information and information regarding the client and any reportable account(s) may be reported by GRSL 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 client 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/公司證明，就與本表格所有相關的帳戶，本人/公司是帳戶持有人。

I/our entity certify that I am/ we are the account holder of all the account(s) to which this form relates.

本人/公司承諾，如有任何更改有關納稅居住地資料或有任何資料有所改變，本人/公司會在情況發生改變後 30 日內，向金裕富提交一份已適當更新的自我證明表格。

I/ our entity undertake to advise GRSL of any change in circumstances which affects the tax residency status of the individual/ entity identified in this form or causes the information contained herein to become incorrect, and to provide to GRSL with a suitably updated self-certification form within 30 days of such change in circumstances.

本人/公司聲明就本人/公司所知所信，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/ our entity declare that the information given and statements made in this form are, to the best of my/ our knowledge and belief, true, correct and complete.

|   |  |
|---|--|
| 客戶簽署並蓋章 Client Authorized Signature(s) with company chop                            | 客戶簽署代表人的姓名及職銜 Authorized Signatory's name and title(s) |
|   |  |
|  | 日期 Date  |

註：金裕富未能提供有關閣下納稅居住地的意見。如有任何疑問，請與閣下的稅務顧問或當地稅務機關聯絡。

Note: GRSI is unable to provide any advice about your tax residence. If you have any questions, please contact your tax adviser or domestic tax authority.



# 第 5A 部份 - 自我證明 - 控權人 (公司)

## Section 5A - Self-Certification - Controlling Person (Entity)

|    |   |                                  |          |                    |          |
|----|---|----------------------------------|----------|--------------------|----------|
| 1. | 公司名稱 (中文)<br>Entity Name<br>(Chinese)     |                                  |          |                    |          |
| 2. | 公司名稱 (英文)<br>Entity Name<br>(English)     |                                  |          |                    |          |
| 3. | 商業登記證號碼<br>Business<br>Registration No    | 商業登記證號碼 Business Registration No |          | 發證國家 Issue Country |          |
| 4. | 公司註冊地址<br>Company Address<br>(Registered) |                                  |          |                    |          |
| 5. | 公司辦公地址<br>Company Address<br>(Office)     |                                  |          |                    |          |
| 6. | 電話號碼<br>Tel No.                           |                                  |          |                    |          |
| 7. | 公司網址<br>Website                           |                                  |          |                    |          |
| 8. | 授權簽字人<br>Authorized Signer                | 姓名 Name                          | 職位 Title | 電話 Tel No          | 電郵 Email |
|    |   |                                  |          |                    |          |
|    |   |                                  |          |                    |          |
|    |   |                                  |          |                    |          |
|    |   |                                  |          |                    |          |
| 9. | 聯絡人<br>Contact Person                     | 姓名 Name                          | 職位 Title | 電話 Tel No          | 電郵 Email |
|    |   |                                  |          |                    |          |
|    |   |                                  |          |                    |          |

# 第 5B 部份 - 自我證明 - 控權人 (個人)

## Section 5B - Self-Certification - Controlling Person (Individual)

|   |                                       |  |  |                        |  |
|---|---------------------------------------|--|--|------------------------|--|
| 1 | 客戶稱謂<br>Client Title                  | <input type="checkbox"/> 先生 Mr. <input type="checkbox"/> 太太 Mrs. <input type="checkbox"/> 女士 Mdm. <input type="checkbox"/> 小姐 Miss |  |                        |  |
|   | 中文姓名<br>Name (Chinese)                |  |  | 英文姓名<br>Name (English) |  |
|   | 身份證/ 護照號碼<br>I.D./ Passport No.       |  |  | 出生日期<br>Date of Birth  |  |
|   | 出生地點<br>Place of Birth                |  |  | 國籍<br>Nationality      |  |
|   | 現時住宅地址<br>Current Residential Address |  |  |                        |  |
| 2 | 客戶稱謂<br>Client Title                  | <input type="checkbox"/> 先生 Mr. <input type="checkbox"/> 太太 Mrs. <input type="checkbox"/> 女士 Mdm. <input type="checkbox"/> 小姐 Miss |  |                        |  |
|   | 中文姓名<br>Name (Chinese)                |  |  | 英文姓名<br>Name (English) |  |
|   | 身份證/ 護照號碼<br>I.D./ Passport No.       |  |  | 出生日期<br>Date of Birth  |  |
|   | 出生地點<br>Place of Birth                |  |  | 國籍<br>Nationality      |  |
|   | 現時住宅地址<br>Current Residential Address |  |  |                        |  |
| 3 | 客戶稱謂<br>Client Title                  | <input type="checkbox"/> 先生 Mr. <input type="checkbox"/> 太太 Mrs. <input type="checkbox"/> 女士 Mdm. <input type="checkbox"/> 小姐 Miss |  |                        |  |
|   | 中文姓名<br>Name (Chinese)                |  |  | 英文姓名<br>Name (English) |  |
|   | 身份證/ 護照號碼<br>I.D./ Passport No.       |  |  | 出生日期<br>Date of Birth  |  |
|   | 出生地點<br>Place of Birth                |  |  | 國籍<br>Nationality      |  |
|   | 現時住宅地址<br>Current Residential Address |  |  |                        |  |
| 4 | 客戶稱謂<br>Client Title                  | <input type="checkbox"/> 先生 Mr. <input type="checkbox"/> 太太 Mrs. <input type="checkbox"/> 女士 Mdm. <input type="checkbox"/> 小姐 Miss |  |                        |  |
|   | 中文姓名<br>Name (Chinese)                |  |  | 英文姓名<br>Name (English) |  |
|   | 身份證/ 護照號碼<br>I.D./ Passport No.       |  |  | 出生日期<br>Date of Birth  |  |
|   | 出生地點<br>Place of Birth                |  |  | 國籍<br>Nationality      |  |
|   | 現時住宅地址<br>Current Residential Address |  |  |                        |  |

# 第 6A 部份 - 控權人類別 (公司)

## Section 6A - Type of Controlling Person (Entity)

| 在適當方格內加上✓號，指出控權人就帳戶所屬的控權公司類別。<br>Please tick the appropriate box to indicate the type of controlling entity for the account.  | 控權人編號 Controlling Person No. |                            |                            |                            |
|---|------------------------------|----------------------------|----------------------------|----------------------------|
|   | (1)                          | (2)                        | (3)                        | (4)                        |
|   | 控權公司<br>Controlling Entity   | 控權公司<br>Controlling Entity | 控權公司<br>Controlling Entity | 控權公司<br>Controlling Entity |
|   |                              |                            |                            |                            |
| 擁有控制股權的公司 (即擁有不少於 25% 的已發行股本)<br>Entity which has a controlling ownership interest (i.e. not less than 25% of issued share capital)   | <input type="checkbox"/>     | <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公司 (即擁有不少於 25% 的表決權)<br>Entity which 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"/>   | <input type="checkbox"/>   |
| 對該實體的管理行使最終控制權的公司<br>Entity which holds the position/ exercises ultimate control  | <input type="checkbox"/>     | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   |
| 財產授予人<br>Settlor  | <input type="checkbox"/>     | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   |
| 受託人<br>Trustee  | <input type="checkbox"/>     | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   |
| 保護人<br>Protector  | <input type="checkbox"/>     | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   |
| 受益人或某類別受益人的成員<br>Beneficiary or member of the class of beneficiaries  | <input type="checkbox"/>     | <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，該實體行使控制權的公司)<br>Other (e.g. entity which exercises control over another entity being the settlor/ trustee/ protector/ beneficiary)                                  | <input type="checkbox"/>     | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   |
| 處於相等/ 相類於財產授予人位置的公司<br>Entity in a position equivalent/ similar to settlor  | <input type="checkbox"/>     | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   |
| 處於相等/ 相類於受託人位置的公司<br>Entity in a position equivalent/ similar to trustee  | <input type="checkbox"/>     | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   |
| 處於相等/ 相類於保護人位置的公司<br>Entity in a position equivalent/ similar to protector  | <input type="checkbox"/>     | <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公司<br>Entity in a position equivalent/ similar to beneficiary or member of the class of beneficiaries  | <input type="checkbox"/>     | <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公司)<br>Other (e.g. entity which exercises control over another entity being equivalent/ similar to settlor/ trustee/ protector/ beneficiary) | <input type="checkbox"/>     | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   |

# 第 6B 部份 - 控權人類別 (個人)

## Section 6B - Type of Controlling Person (Individual)

| 在適當方格內加上✓號，指出控權人就帳戶所屬的控權人類別。<br>Please tick the appropriate box to indicate the type of controlling person for the account.   | 控權人編號 Controlling Person No.     |                                  |                                  |                                  |
|---|----------------------------------|----------------------------------|----------------------------------|----------------------------------|
|   | (1)                              | (2)                              | (3)                              | (4)                              |
|   | 控權人姓名<br>Controlling Person Name | 控權人姓名<br>Controlling Person Name | 控權人姓名<br>Controlling Person Name | 控權人姓名<br>Controlling Person Name |
| 擁有控制股權的個人 (即擁有不少於 25% 的已發行股本)<br>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"/>         | <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 25% 的表決權)<br>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"/>         | <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<br>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"/>         | <input type="checkbox"/>         |
| 財產授予人<br>Settlor  | <input type="checkbox"/>         | <input type="checkbox"/>         | <input type="checkbox"/>         | <input type="checkbox"/>         |
| 受託人<br>Trustee  | <input type="checkbox"/>         | <input type="checkbox"/>         | <input type="checkbox"/>         | <input type="checkbox"/>         |
| 保護人<br>Protector  | <input type="checkbox"/>         | <input type="checkbox"/>         | <input type="checkbox"/>         | <input type="checkbox"/>         |
| 受益人或某類別受益人的成員<br>Beneficiary or member of the class of beneficiaries  | <input type="checkbox"/>         | <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)<br>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"/>         | <input type="checkbox"/>         |
| 處於相等/ 相類於財產授予人位置的個人<br>Individual in a position equivalent/ similar to settlor  | <input type="checkbox"/>         | <input type="checkbox"/>         | <input type="checkbox"/>         | <input type="checkbox"/>         |
| 處於相等/ 相類於受託人位置的個人<br>Individual in a position equivalent/ similar to trustee  | <input type="checkbox"/>         | <input type="checkbox"/>         | <input type="checkbox"/>         | <input type="checkbox"/>         |
| 處於相等/ 相類於保護人位置的個人<br>Individual in a position equivalent/ similar to protector  | <input type="checkbox"/>         | <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<br>Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries   | <input type="checkbox"/>         | <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)<br>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"/>         | <input type="checkbox"/>         |



## Section 7 - Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") of Controlling Person

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.

Section 8 - Declarations and Signature of Controlling Person

|  |                                   |
|--|-----------------------------------|
| (2) 控權人簽署 Signature of controlling person: | 控權人姓名 Name of controlling person: |
|  |                                   |
|  | 日期 Date                           |
| (3) 控權人簽署 Signature of controlling person: | 控權人姓名 Name of controlling person: |
|  |                                   |
|  | 日期 Date                           |
| (4) 控權人簽署 Signature of controlling person: | 控權人姓名 Name of controlling person: |
|  |                                   |
|  | 日期 Date                           |

註：金裕富未能提供有關閣下納稅居住地的意見。如有任何疑問，請與閣下的稅務顧問或當地稅務機關聯絡。

Note: GRSL is unable to provide any advice about your tax residence. If you have any questions, please contact your tax adviser or domestic tax authority.

#### 重要提示

##### Important Notes:

- 這是由帳戶持有人向金裕富提供的自我證明表格，以作自動交換財務帳戶資料用途。金裕富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 GRSL for the purpose of automatic exchange of financial account information. The data collected may be transmitted by GRSL 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金裕富。  
An account holder should report all changes in his/ her tax residency status to GRSL
- 除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。  
All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s).
- 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，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，可處第 3 級 (即\$10,000) 罰款。  
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).