

致： 寶通證券亞洲有限公司  
香港中環德輔道中19號環球大廈24樓2室

To: KCG Securities Asia Limited  
Unit 2, 24<sup>th</sup> Floor, Worldwide House,  
19 Des Voeux Road, Central, Hong Kong

客戶編號 Account No. : \_\_\_\_\_

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

**重要提示 Important Notes**

- 這是由控權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 a controlling person 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.
- 如控權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。  
A controlling person should report all changes in his/her tax residency status to the reporting financial institution.
- 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。在欄/部標有星號(\*)的項目為申報財務機構須向稅務局申報的資料。  
All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (\*) are required to be reported by the reporting financial institution to the Inland Revenue Department.

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

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，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 您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

填寫您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別編號(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) 控權人的居留司法管轄區，亦即控權人的稅務管轄區（香港包括在內）及  
the jurisdiction of residence (including Hong Kong) where the controlling person is a resident for tax purposes and
- (b) 該居留司法管轄區發給控權人的稅務編號。列出所有（不限於 5 個）居留司法管轄區。  
the controlling person’s TIN for each jurisdiction indicated. Indicate all (not restricted to five) the jurisdictions of residence.

如控權人是香港稅務居民，稅務編號是其香港身份證號碼。

If the controlling person 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 – 控權人的居留司法稅務管轄區並沒有向其居民發出稅務編號。

Reason A – The jurisdiction where the controlling person is a resident for tax purposes does not issue TINs to its residents.

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 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 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。

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)			
(5)			

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](http://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](http://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，在適當方格內加上剔號，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帳戶，本人是帳戶持有人/ 本人獲帳戶持有人授權簽署本表格。

# I certify that I am the account holder / I am authorized to sign for the account holder of all the account(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，本人會通知寶通證券亞洲有限公司，並會在情況發生改變後 30 日內，向寶通證券亞洲有限公司提交一份已適當更新的自我證明表格。

I undertake to advise KCG Securities Asia 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 KCG Securities Asia 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，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。 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).