

To : TC Concord Securities Limited (“TCCS”)
致 : 天宸康合證券有限公司 (「天宸康合」)

Common Reporting Standard Self-Certification Form – Individual Client
共同匯報標準自我證明表格 – 個人客戶

A/C No.: _____
帳戶號碼: _____

For joint account holders, each individual account holder has to complete a separate self-certification form.

對於聯名帳戶，每名個人帳戶持有人須分別填寫一份自我證明表格

1	Individual Account Holder Information 個人戶口持有人資料	
<input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Mrs. 太太 <input type="checkbox"/> Ms. 女士		
Chinese Name 中文姓名		
English Name 英文姓名	Surname 姓氏:	First / Given Name 名字:
ID. Card / Passport No. : 身份證 / 護照號碼:		
Date of Birth 出生日期: (DD 日 / MM 月 / YYYY 年)		
Nationality 國籍:		
Place of Birth 出生地點:	City 城市:	Country 國家:
Current Residential Address 現時住宅地址:		
Room / Floor / Building / Street / District 室 / 樓層 / 大廈 / 街道 / 地區		
City 城市		
Province / State 省 / 州		
Country 國家		
Postal Code / ZIP Code 郵政編碼 / 郵遞編碼		
Current Correspondence Address (if different from the above current residential address) 現時通訊地址 (如與上述現時住宅地址不同):		
Room / Floor / Building / Street / District 室 / 樓層 / 大廈 / 街道 / 地區		
City 城市		
Province / State 省 / 州		
Country 國家		
Postal Code / ZIP Code 郵政編碼 / 郵遞編碼		

2	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同等功能的識辨編號 (以下簡稱「稅務編號」)				
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.					
請填妥以下列表，列明 (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 (b) 該居留司法管轄區發給帳戶持有人的稅務編號。請列出所有（不限於 5 個）居留司法管轄區。					
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, please provide the appropriate reason A, B or C:					
如帳戶持有人的稅務居民，稅務編號是其香港身份證號碼。如沒有提供稅務編號，請必須填寫合適的理由 A、B 或 C:					
Reason A – The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents. 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 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 B – 帳戶持有人未能取得稅務編號。如選取這理由，請解釋帳戶持有人未能取得稅務編號的原因。					
Reason C – TIN is not required. The account holder can only select this reason if the authorities of the jurisdiction of residence do not require the TIN to be disclosed. 理由 C – 帳戶持有人毋須提供稅務編號。如果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，帳戶持有人才能選取這理由。					
	Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	Please enter Reason A, B or C if no TIN is available 如沒有提供稅務編號，請填寫理由 A、B 或 C	Please explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選取理由 B，請解釋帳戶持有人未能取得稅務編號的原因	Add / Update 新增 / 更新
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		

Declarations and Signature 聲明及簽署

I acknowledge and agree that (a) the information contained in this self-certification form is collected and may be kept by TCCS 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 TCCS 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，天宸康合可根據《稅務條例》(第 112 章) 有關交換財務帳戶資料的法律條文，(a) 收集本自我證明表格所載的資料，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 certify that I am the account holder of all the account(s) to which this form relates.

本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人。

I undertake to advise TCCS of any change in circumstances which affects the tax residency status of the individual identified in the Account Opening Application Form and / or this form or causes the information contained herein to become incorrect, and to provide TCCS with a suitably updated self-certification form within 30 days of such change in circumstances. Where I fail to provide any requested information (regardless of the consequences), TCCS reserves the right to take any action and / or pursue all remedies at its disposal including, but not limited to restricting or terminating the operation of the account.

本人承諾，如情況有所改變，以致影響本人的稅務居民身份，或引致開戶申請表及 / 或本表格所載的資料不正確，本人會通知天宸康合，並會在情況發生改變後 30 日內，向天宸康合提交一份已適當更新的自我證明表格。如果本人未能提供任何所要求的資料，天宸康合保留採取任何補救措施的權利，包括 (但不限於) 限制及終止帳戶的運作。

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，本表格內所填寫及申報的所有資料和聲明均屬真實、正確和完備。

Client Signature:

客戶簽署

Date (DD / MM / YYYY) :

日期 (日 / 月 / 年)

Important Notes:

注意事項：

- **This is a self-certification form provided by an account holder to TCCS for the purpose of automatic exchange of financial account information. The data collected may be transmitted by TCCS to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.**
這是由帳戶持有人向天宸康合提供的自我證明表格，以作自動交換財務帳戶資料用途。天宸康合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。
- **An account holder should report all changes in his / her tax residency status or other information (if necessary) to TCCS as soon as practicable.**
如帳戶持有人的稅務居民身份或其他資料 (如需要) 有所改變，應盡快將所有變更通知天宸康合。
- **All parts of the form must be completed (unless not applicable or otherwise specified). If there is not enough space, please provide your information on additional sheet(s).**
除不適用或特別註明外，帳戶持有人必須填寫這份表格所有部份。如這份表格上的空位不夠應用，帳戶持有人可另紙填寫。

Warning:

警告：

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).

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。

Interpretation of some terms used in the Self-Certification Form

本表格內採用的某些名詞釋義

“**Account Holder**” – means the person listed or identified as the holder of a financial account by the Financial Institution that maintains the account.

「**帳戶持有人**」– 指被維持該財務賬戶的金融機構列明為或識辨為帳戶的持有人的人士。

A person, other than a Financial Institution, holding a financial account for the benefit or account of another person as agent, custodian, nominee, signatory, investment advisor, intermediary, or legal guardian, is not treated as the Account Holder. In these circumstances that another person is the Account Holder. For example in the case of a parent / child relationship where the parent is acting as a legal guardian, the child is regarded as the Account Holder.

除金融機構外，若有關人士以代理人、託管人、代名人、簽署人、投資顧問、中介人或合法監護人身份代其他人士持有財務帳戶，他不會被視為帳戶持有人。在這種情況下，帳戶持有人應為該其他人士。以一個家長與子女開立的帳戶為例，如帳戶以家長為子女的合法監護人名義開立，子女會被視為帳戶持有人。

With respect to a jointly held account, each joint holder is treated as an Account Holder.

聯名帳戶內的每個持有人都被視為帳戶持有人。

“**Jurisdiction of residence**” – means a territory of which an individual or entity is a resident for tax purposes.

「**居留司法管轄區**」– 指某位個人或某實體是某地區的稅務居民的情況下，所指的某地區。

“**TIN**” (including “**functional equivalent**”) – means Taxpayer Identification Number or a functional equivalent in the absence of a TIN. A TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual or an Entity and used to identify the individual or Entity for the purposes of administering the tax laws of such jurisdiction. Further details of acceptable TINs can be found at the OECD Automatic Exchange Portal at the following link: <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>.

「**稅務編號**」(包括具有同等功能的**識辨編號**)– 指納稅人的識辨編號或具有同等功能的識辨編號(如無納稅人的識辨編號)。稅務編號是稅務管轄區向個人或實體分配獨有的字母與數字組合，用於識別個人或實體的身份，以便實施該稅務管轄區的稅務法律。有關可接受的稅務編號的更多詳細資訊刊登於經濟合作與發展組織的自動交換資料網站:

<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>。

Some jurisdictions do not issue a TIN. However, these jurisdictions often utilize some other high integrity number with an equivalent level of identification. (a “functional equivalent”). Examples of that type of number include:

某些稅務管轄區不發出稅務編號。但是，這些稅務管轄區通常使用具有同等識辨功能的其他完整號碼(「具有同等功能的識辨號碼」)。此類號碼的例子包括:

- (For individuals) a social security/ insurance number, citizen/ personal identification/ service code/ number, and resident registration number.

就個人而言，社會安全號碼/ 保險號碼、公民/ 個人身份/ 服務代碼/ 號碼，以及居民登記號碼。

In case of discrepancy between the English version of terms, declarations and interpretations of this form and its Chinese translation, the English version shall prevail.

如本表格之英文版及中文譯本有任何差異，一切以英文版本為準。