致：致富證券有限公司
致富大中華資產管理有限公司
香港中環德輔道中 19 號環球大廈 5 樓

To: Chief Securities Limited
Chief Great China Assets Management Limited
5/F, World-Wide House,
19 Des Voeux Road Central, Hong Kong

客戶號碼 Client 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 控權人的身分識辨資料 Part 1 Identification of Controlling Person

控權人的姓名 **Name of Controlling Person**	稱謂 Title : □先生 Mr □太太 Mrs □女士 Ms □小姐 Miss □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户持有人

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户持有人的名稱。

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

實體 Entity	實體帳户持有人的名稱 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) 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	如選擇理由 B，解釋控權人不能取得稅務編號的原因 Explain why the controlling person 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 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（即擁有或控制超過指明百分率^的已發行股本/資本/利潤）Individual who has a controlling ownership interest (i.e. more than the specified percentage^ of issued share capital/capital/profits)	☐	☐	☐
	以其他途徑行使控制權或有權行使控制權的個人（即有權行使超過指明百分率^的表決權）Individual who exercises control/is entitled to exercise control through other means (i.e. more than the specified percentage^ of voting rights)	☐	☐	☐
	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	☐	☐	☐
信託 Trust	財產授予人 Settlor	☐	☐	☐
	受託人 Trustee	☐	☐	☐
	保護人 Protector	☐	☐	☐
	受益人或某類別受益人的成員 Beneficiary or member of the class of beneficiaries	☐	☐	☐
	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)	☐	☐	☐
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	☐	☐	☐
	處於相等/相類於受託人位置的個人 Individual in a position equivalent/similar to trustee	☐	☐	☐
	處於相等/相類於保護人位置的個人 Individual in a position equivalent/similar to protector	☐	☐	☐
	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	☐	☐	☐
	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)	☐	☐	☐

^自 2021 年 1 月 1 日起，就法團而言，指明百分率是 25%；就合夥而言，指明百分率是 0%。With effect from 1 January 2021, the specified percentage is: 25 % in relation to a corporation; and 0% in relation to a partnership

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）把該等資料和關於控權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，從而把資料轉交到控權人的居留司法管轄區的稅務當局。

I acknowledge and agree that (i) 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 (ii) such information and information regarding the controlling person 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 tax authorities of another jurisdiction or jurisdictions in which the controlling person 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，本人會通知致富證券有限公司、致富金融資本有限公司及致富大中華資產管理有限公司，並會在情況發生改變後 30 日內，向致富證券有限公司、致富金融資本有限公司及致富大中華資產管理有限公司提交一份已適當更新的自我證明表格。

I undertake to advise Chief Securities Limited, Chief Financial Capital Limited and Chief Great China Assets Management 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 Chief Securities Limited, Chief Financial Capital Limited and Chief Great China Assets Management 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 日期(日/月/年)Date (dd/mm/yyyy) :	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.)
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).

就自動交換財務帳戶資料（**“AEOI”**）之同意書

致：致富證券有限公司
致富金融資本有限公司
致富大中華資產管理有限公司 (以上統稱為「貴 公司」)
香港中環德輔道中 19 號環球大廈 5 樓

敬啟者：

為使貴 公司符合 AEOI 的合規安排，本人_____特此授權並同意貴 公司收集/使用/交換/分享/轉讓/披露/申報任何相關個人信息/法定及實益權益信息/帳戶信息詳情，包括但不限於個人資料如姓名、地址、出生日期和地點、居留司法管轄區及稅務編號("TIN")等; 財務資料如帳戶結餘和投資價值、利息、股息、出售金融資產所得的收益、與相關交易和資金流動記錄等；以及根據香港特別行政區所簽訂的相關納稅合規協議，從而受有關當局要求的任何其他信息。

本人在此同意根據貴 公司要求而提供任何信息以符合 AEOI 的合規安排，例如書面聲明、證明、任何稅務表格（已簽署）等。

此外，本人同意當本人之個人情況有所更改，例如稅務居民身份、國籍、聯繫電話、地址有所更改，本人必須立即通知貴 公司並提供任何相關更新的自我證明表格。

_____年_____月_____日

客戶簽署 : _____

客戶姓名 : _____

身分證/護照號碼 : _____

客戶號碼 : _____

見證人簽署 :_____

見證人姓名 :_____

中央編號 :_____

核對人姓名 :_____

核對人簽署 :_____

Letter of Consent in respect of Automatic Exchange of Financial Account Information ("AEOI")

Date: _____

To: CHIEF SECURITIES LIMITED,
CHIEF FINANCIAL CAPITAL LIMITED,
CHIEF GREAT CHINA ASSETS MANAGEMENT LIMITED (Collectively as "your company")
5/F, World-Wide House,
19 Des Voeux Road Central,
Hong Kong

Dear Sir,

For the purpose of your company's compliance with AEOI, I,_____, hereby authorize and give consent for your company to collect / use / exchange / share / transfer / disclose / report any relevant personal information/ legal and beneficial interest information/account information and particulars including but not limited to personal data such as account holder's name, address, date and place of birth, jurisdiction of residence and taxpayer identification number ("TIN"); financial data such as interest, dividends, account balance or investment value, sales proceeds from financial assets, any account record/history related to trades and funds movement; and any other information requested by relevant authorities according to tax compliance regime that HKSAR enters into.

I hereby agree to the arrangement to provide any information upon request in order to be in compliance with AEOI, such as written statement, certification, any taxation form (with signature), etc.

I also agree that should there be any change of personal circumstances, e.g., tax residency status, change of nationality, contact number or address, etc.; I must notify your company and provide any relevant updated self-certification form immediately.

Yours faithfully,

Signature of client : _____	Signature of Witness : _____
Name : _____	Name : _____
I.D./Passport No. : _____	CE No. : _____
A/C No. : _____	Verified by : _____
	Signature : _____