

賬戶號碼 Account Number: _____

自我證明表格 – 個人

Self-Certification Form – Individual

重要提示 Important Notes :

- 這是由帳戶持有人向浦銀國際證券有限公司提供的自我證明表格，以作自動交換財務帳戶資料用途。浦銀國際證券有限公司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 SPDB International Securities Limited for the purpose of automatic exchange of financial account information. The data collected may be transmitted by SPDB International Securities Limited 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浦銀國際證券有限公司。
An account holder should report all changes in its tax residency status to SPDB International Securities Limited.
- 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(*)的項目為浦銀國際證券有限公司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, please continue on additional sheet(s). Information in fields/parts marked with an asterisk (*) are required to be reported by SPDB International Securities Limited to the Inland Revenue Department.

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.)

帳戶持有人的姓名	
Name of Account Holder	
稱謂 (例如：先生、太太、女士、小姐)	
Title (e.g. Mr, Mrs, Ms, Miss)	
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	
第 1 行(例如：室、樓層、大廈、街道、地區)	
Line 1 (e.g. Suite, Floor, Building, Street, District)	
第 2 行 (城市)*	
Line 2 (City) *	

第 3 行 (例如:省、州) Line 3 (e.g. Province, State)	
國家* Country *	
郵政編碼/郵遞區號碼 Post Code/ZIP Code	

通訊地址 (如通訊地址與現時住址不同，填寫此欄) Mailing Address (Complete if different to the current residence address)	
第 1 行(例如：室、樓層、大廈、街道、地區) Line 1 (e.g. Suite, Floor, Building, Street, District)	
第 2 行 (城市) Line 2 (City)	
第 3 行 (例如:省、州) Line 3 (e.g. Province, State)	
國家 Country	
郵政編碼/郵遞區號碼 Post Code/ZIP Code	
出生日期 * (日/月/年) Date of Birth * (dd/mm/yyyy)	
出生地點 (可不填寫) Place of Birth (Not compulsory)	

第 2 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 2 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”) *

提供以下資料，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。列出所有 (不限於 5 個) 居留司法管轄區。

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) the jurisdictions of residence.

如帳戶持有人的香港稅務居民，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 A、B 或 C：

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稅務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	如選擇理由 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)			

第 3 部 聲明及簽署

Part 3 Declarations and Signature

本人知悉及同意，浦銀國際證券有限公司可根據《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 SPDB International Securities Limited 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 SPDB International Securities Limited 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 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，本人會通知浦銀國際證券有限公司，並會在情況發生改變後 30 日內，向浦銀國際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 SPDB International 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 SPDB International Securities Limited with a suitably updated self-certification form within 30 days of such change in circumstances.

本人明白，本人提供的資料是受浦銀國際證券有限公司與帳戶持有人簽訂的條款及條件所規範。

I understand that the information supplied by me is subject to Terms and Conditions entered into by SPDB International Securities Limited and the Account Holder.

因應國內或海外的監管機構或稅務機構需要，本人准許並同意浦銀國際證券有限公司可按適用的法律、法規和指令在本人帳戶中扣留相關所須的金額款項。本人謹此明確地、無條件地及不可撤銷地放棄本人因浦銀國際證券有限公司因應國內或海外的監管機構或稅務機構需要而在本人帳戶中扣留相關所須的金額款項所發生的損失的索賠權利，及本人須賠償予浦銀國際證券有限公司因此而引起的法律責任。

Where required by domestic or overseas regulators or tax authorities, I consent and agree that SPDB International Securities Limited may withhold from my account(s) such amounts as may be required according to applicable laws, regulations and directives. I hereby expressly, unconditionally and irrevocably waive any claim I may have against SPDB International Securities Limited in the event of loss and shall indemnify SPDB International Securities Limited for any liability in connection with such withholding by SPDB International Securities Limited as required by domestic or overseas regulators or tax authorities.

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[#]。（[#]刪去不適用者）

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. ([#]Delete as appropriate)

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:

名稱 Name:

身份 Capacity:

帳戶持有人 / 授權人[#] (#刪去不適用者)

Account Holder / Authorised Person[#] (#Delete as appropriate)

簽署日期 (日/月/年):

Date (DD/MM/YYYY):

如你不是第 1 部所述的個人及是以授權人身分簽署這份表格，須夾附該授權書的核證副本。

If you are not the individual identified in Part 1 and are signing under a power of attorney, attach a certified copy of the power of attorney.

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).

附錄 Annex - 定義 Definitions

<p>「帳戶持有人」 “Account Holder”</p>	<p>被維持該財務帳戶的財務機構列明為或識辨為帳戶的持有人的人士。 The person listed or identified as the holder of a financial account by the Financial Institution that maintains the account.</p>
<p>「財務機構」 “Financial Institution”</p>	<p>「託管機構」、「存款機構」、「投資實體」或「指明保險公司」。 A “Custodial Institution”, a “Depository Institution”, an “Investment Entity”, or a “Specified Insurance Company”.</p>
<p>「須申報帳戶」 “Reportable Account”</p>	<p>(a) 指符合以下說明的財務帳戶— (i) 已根據稅務條例 (第 112 章)附表 17D 的盡職審查規定，被識辨為須申報帳戶；及 (ii) 由— (A) 至少一名申報對象持有；或 (B) 有至少一名控權人是申報對象的被動非財務實體持有；及 means a financial account— (i) that has been identified as such under the due diligence requirements in Schedule 17D of the Inland Revenue Ordinance (Cap. 112); and (ii) that is held by— (A) at least one reportable person; or (B) a passive NFE with at least one controlling person being a reportable person; and (b) 就第 50C、50D、50F 及 50G 條而言，包括根據附表 17D 的盡職審查規定須申報為無文件佐證帳戶的先前帳戶； for the purposes of sections 50C, 50D, 50F and 50G, includes a pre-existing account that must be reported as an undocumented account under the due diligence requirements in Schedule 17D;</p>
<p>「須申報稅務管轄區」 “Reportable Jurisdiction”</p>	<p>稅務條例 (第 112 章) 附表 17E 第 1 部第 1 欄所指明的、在香港以外的地區。 A territory outside Hong Kong that is specified in Column 1 of Part 1 of Schedule 17E of the Inland Revenue Ordinance (Cap. 112).</p>
<p>「申報對象」 “Reportable Person”</p>	<p>屬某申報稅務管轄區的稅務居民的個人或實體；或 一名已去世的人的遺產，而該人在生前，屬某申報稅務管轄區的稅務居民；但不包括： An individual or entity that is a resident for tax purposes of a reportable jurisdiction; or an estate of a decedent who was a resident for tax purposes of a reportable jurisdiction; but does not include: (a) 本身的股票在具規模證券市場中被經常買賣的法團； a corporation the stock of which is regularly traded on an established securities markets; (b) 屬第 (a) 節所述法團的有關連實體的法團； a corporation that is a related entity of a corporation mentioned in subparagraph (a); (c) 政府實體； a governmental entity; (d) 國際組織； an international organization; (e) 中央銀行；或 a central bank; or (f) 財務機構。 a financial institution.</p>
<p>「稅務編號」(包括具有等同功能的識辨編號) “TIN” (including “func-</p>	<p>納稅人的識辨編號或具有等同功能的識辨編號 (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分，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載於經濟合作與</p>

<p>tional equivalent”)</p>	<p>發展組織的自動交換資料網站：http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers 。</p> <p>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/tax-identification-numbers/</p> <p>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等同識辨功能的其他完整號碼（「具有等同功能的識辨號碼」）。</p> <p>Some jurisdictions do not issue a TIN. However, these jurisdictions often utilise some other high integrity number with an equivalent level of identification (a “functional equivalent”).</p> <p>此類號碼的例子包括：</p> <p>Examples of that type of number include:</p> <p>(a) 就個人而言，社會保障號碼 / 保險號碼、公民 / 個人身份 / 服務代碼 / 號碼，以及居民登記號碼。 (for individuals) a social security/insurance number, citizen/personal identification/service code/number, and resident registration number.</p> <p>(b) 就實體而言，商業 / 公司登記代碼 / 號碼。 (for Entities) a Business/company registration code/number.</p>
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