

客户号码 Client Number \_\_\_\_\_

**自我证明表格 - 实体**  
**Self-Certification Form - Entity**

**重要提示: Important Notes:**

- 这是帐户持有人向申报财务机构提供的自我证明表格，以作自动交换财务帐户资料用途。申报财务机构可把收集所得的资料交给税务局，税务局会将资料转交到另一税务管辖区的税务当局。  
This is a self-certification form provided by an account holder 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.
- 如帐户持有人的税务居民身分有所改变，应尽快在 30 日内将所有变更通知申报财务机构。  
An account holder should report all changes in his/her tax residency status to the reporting financial institution within 30 days of such change.
- 除不适用或特别注明外，必须填写这份表格所有部分。如这份表格上的空位不够应用，可另纸填写。在栏/部标有星号 (\*) 的项目为申报财务机构须向税务局申报的资料。  
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 实体帐户持有人的身分识别资料 Part 1 Identification of Entity Account Holder**

|                                                                                                           |                                                        |
|-----------------------------------------------------------------------------------------------------------|--------------------------------------------------------|
| 实体/分支机构法定名称* Legal Name of Entity/ Branch*                                                                |                                                        |
| 实体成立为法团或设立所在的税务管辖区 Jurisdiction of Incorporation/ Organization                                            |                                                        |
| 香港商业登记号码 Hong Kong Business Registration Number/公司号码 Company Number                                       |                                                        |
| 现时营业地址 Current Business Address                                                                           | 室、楼层、大厦、街道、地区 Suite, Floor, Building, Street, District |
|                                                                                                           | *城市 City                                               |
|                                                                                                           | 省、州 Province, State                                    |
|                                                                                                           | *国家 Country                                            |
|                                                                                                           | 邮政编码/邮递区号码 Post Code/ZIP Code                          |
| 通讯地址 Mailing Address<br>(如通讯地址与现时营业地址不同, 填写此栏)<br>(Complete if different to the current business address) | 室、楼层、大厦、街道、地区 Suite, Floor, Building, Street, District |
|                                                                                                           | *城市 City                                               |
|                                                                                                           | 省、州 Province, State                                    |
|                                                                                                           | *国家 Country                                            |
|                                                                                                           | 邮政编码/邮递区号码 Post Code/ZIP Code                          |

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**第 2 部 居留司法管辖区及税务编号或具有等同功能的识别编号（以下简称「税务编号」）\***

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

在其中一个适当的方格内加上✓号, 并提供有关资料。Tick one of the appropriate boxes and provide the relevant information.

| 财务机构 Financial Institution                   |                                                                                                                                                                                                                                                               |
|----------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/>                     | 托管机构、存款机构或指明保险公司 Specify Type: Custodial Institution, Depository Institution or Specified Insurance Company                                                                                                                                                   |
| <input type="checkbox"/>                     | 投资实体, 但不包括由另一财务机构管理(例如: 拥有酌情权管理投资实体的资产) 并位于非参与税务管辖区的投资实体 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 |
| 主动非财务实体 Active NFE (“Non-Financial Entity”)  |                                                                                                                                                                                                                                                               |
| <input type="checkbox"/>                     | 该非财务实体的股票经常在_____ (一个具规模证券市场) 进行买卖 Specify Type: NFE the stock of which is regularly traded on _____, which is an established securities market                                                                                                               |
| <input type="checkbox"/>                     | _____ 的有关连实体, 该有关连实体的股票经常在_____ (一个具规模证券市场) 进行买卖 Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market.                                                                                         |
| <input type="checkbox"/>                     | 政府实体、国际组织、中央银行或由前述的实体全权拥有的其他实体 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"/>                     | 除上述以外的主动非财务实体- 请说明: _____ Active NFE other than the above – Please specify: _____                                                                                                                                                                             |
| 被动非财务实体 Passive NFE (“Non-Financial Entity”) |                                                                                                                                                                                                                                                               |
| <input type="checkbox"/>                     | 位于非参与税务管辖区并由另一财务机构管理的投资实体 Specify Type: Investment entity that is managed by another financial institution and located in a non-participating jurisdiction                                                                                                    |
| <input type="checkbox"/>                     | 不属主动非财务实体的非财务实体 NFE that is not an active NFE                                                                                                                                                                                                                 |

提供以下资料, 列明 (a) 帐户持有人的居留司法管辖区, 亦即帐户持有人的税务管辖区 (香港包括在内) 及 (b) 该居留司法管辖区发给帐户持有人的税务编号。列出所有 (不限于 4 个) 居留司法管辖区。

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 four) jurisdictions of residence.

如帐户持有人是香港税务居民, 税务编号是其香港商业登记号码。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number

如没有提供税务编号, 必须填写合适的理由:

If a TIN is unavailable, provide the appropriate reason A, B or C:

- 理由 A** - 帐户持有人的居留司法管辖区并没有向其居民发出税务编号。  
**Reason A** - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.
- 理由 B** - 帐户持有人不能取得税务编号。如选取这一理由, 解释帐户持有人不能取得税务编号的原因。  
**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** - 帐户持有人毋须提供税务编号。居留司法管辖区的主管机关不需要帐户持有人披露税务编号  
**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.

| 居留司法管辖区<br>Jurisdiction of Residence | 税务编号 TIN | 如没有提供税务编号, 填写理由 A、B 或 C<br>Enter Reason A, B or C if no TIN is available | 如选取理由 B, 解释帐户持有人不能取得税务编号的原因<br>Explain why the account holder is unable to obtain a TIN if you have selected Reason B |
|--------------------------------------|----------|--------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------|
| 1.                                   |          |                                                                          |                                                                                                                       |
| 2.                                   |          |                                                                          |                                                                                                                       |
| 3.                                   |          |                                                                          |                                                                                                                       |
| 4.                                   |          |                                                                          |                                                                                                                       |

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**第 3 部份 - 控权人(如实体账户持有人是被动非财务实体, 填写此部) Part 3: Controlling Persons (Complete this part if the entity account holder is a passive NFE)**

就账户持有人, 填写所有控权人的姓名于以下列表内。就法人实体, 如行使控制权的并非自然人, 控权人会是该法人实体的高级管理人员。每名控权人须分别填写一份共同汇报标准 (CRS) 控权人自我证明表格。Indicate the name of all controlling person(s) of the account holder in the table below. 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. Complete Controlling Person Tax Residency Self-Certification Form for each controlling person.

|    |    |
|----|----|
| 1) | 5) |
| 2) | 6) |
| 3) | 7) |
| 4) | 8) |

**第 4 部 声明及签署 Part 4 Declarations and Signature**

本人知悉及同意, 五矿金融服务有限公司可根据《税务条例》(第 112 章) 有关交换财务帐户资料的法律条文, (a) 收集本表格所载资料并可备存作自动交换财务帐户资料用途及 (b) 把该等资料和关于帐户持有人及任何须申报帐户的资料向香港特别行政区政府税务局申报, 从而把资料转交到帐户持有人的居留司法管辖区的税务当局。

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by Minmetals Financial Services 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 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).

本人证明, 就与本表格所有相关的帐户, 本人是帐户持有人 / 本人获帐户持有人授权签署本表格 #。

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.

本人承诺, 如情况有所改变, 以致影响本表格第 1 部所述的个人的税务居民身分, 或引致本表格所载的资料不正确, 本人会通知五矿金融服务有限公司, 并会在情况发生改变后 30 日内, 向五矿金融服务有限公司提交一份已适当更新的自我证明表格。

I undertake to advise Minmetals Financial Services 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 Minmetals Financial Services Limited with a suitably updated self-certification form within 30 days of such change in circumstances.

本人声明就本人所知所信, 本表格内所填报的所有资料和声明均属真实、正确和完备。

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.

帐户持有人签署 Account Holder Signature: \_\_\_\_\_

帐户持有人名称 Account Holder Name: \_\_\_\_\_

日期 Date: \_\_\_\_\_

警告: 根据《税务条例》第 80(2E)条, 如任何人在作出自我证明时, 在明知一项陈述在要项上属具误导性、虚假或不正确, 或罔顾一项陈述是否在要项上属具误导性、虚假或不正确下, 作出该项陈述, 即属犯罪。一经定罪, 可处第 3 级 (即\$10,000) 罚款。

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).