

自我證明表格 - 實體賬戶 Self-Certification Form - Entity
(適用於自動交換財務賬戶資料(AEOI)及美國海外賬戶稅收合規法案
(FATCA)) (Applicable to Automatic Exchange of Financial Account
Information (AEOI) and Foreign Account Tax Compliance Act (FATCA))

致: 中信期貨國際有限公司 及/或 中信信期國際證券有限公司
 To: CITIC Futures International Company Limited And/Or CITIC CFI Securities Company Limited

客戶個人資料 Client Personal Data

客戶名稱 _____ 賬戶號碼 _____
 Client Name _____ Account Number _____

賬戶狀況證明 Certification of Account Status

第一部份 自動交換財務賬戶資料 Part 1 Automatic Exchange of Financial Account Information (AEOI)

重要提示 Important Notes :

- 這是由賬戶持有人向中信期貨國際有限公司及/或中信信期國際證券有限公司(以下簡稱「中信期貨國際」及/或「中信信期國際證券」)提供的自我證明表格, 以作自動交換財務賬戶資料用途。中信期貨國際及/或中信信期國際證券可把收集所得的資料交給香港稅務局, 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 CITIC Futures International Company Limited and/or CITIC CFI Securities Company Limited ("CFI" and/or "CFIS") for the purpose of automatic exchange of financial account information. The data collected may be transmitted by CFI AND/OR CFIS to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- 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, 可另附紙填寫。
 All parts of this form must be completed (except for those not applicable or otherwise specified). If there is not enough space, you may provide your information on additional sheet(s).

I. 實體類別 Entity Type *

在其中一個適當的方格內加上「」號, 並提供有關資料。 Tick one of the appropriate boxes and provide the relevant.

財務機構 Financial Institution	<input type="checkbox"/> 託管機構、存款機構或指明保險公司 Custodial Institution, Depository Institution or Specified Insurance Company <input type="checkbox"/> 投資實體, 但不包括由另一財務機構管理 (例如: 擁有酌情權管理投資實體的資產) 並位於非參與稅務管轄區的投資實體 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 <input type="checkbox"/> 其他 Others
主動非財務實體 Active Non-financial Entity ("NFE")	<input type="checkbox"/> 該非財務實體的股票經常在 (一個具規模證券市場) 進行買賣 NFE the stock of which is regularly traded on _____ which is an established securities market <input type="checkbox"/> _____ 的有關連實體, 該有關連實體的股票經常在 _____ (一個具規模證券市場) 進行買賣 Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market <input type="checkbox"/> 政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體 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"/> 除上述以外的主動非財務實體 (請說明 _____) Active NFE other than the above (Please specify _____)
被動非財務實體 Passive NFE	<input type="checkbox"/> 位於非參與稅務管轄區並由另一財務機構管理的投資實體 Investment entity that is managed by another financial institution and located in a non-participating jurisdiction <input type="checkbox"/> 不屬主動非財務實體的非財務實體 NFE that is not an active NFE

II. 控權人(如實體賬戶持有人是被动非財務實體, 填寫此部) *
Controlling Persons (Complete this part if the entity account hold is a passive NFE) *

就賬戶持有人, 填寫所有控權人的姓名在列表內。就法人實體, 如行使控制權的並非自然人, 控權人會是該法人實體的高級管理人員。每名控權人須分別填寫表格(自我證明表格-控權人)。

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 Self-Certification Form - Controlling Person for each controlling person.

(1)	(5)
(2)	(6)
(3)	(7)
(4)	(8)

III. 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」) *
Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") *

提供以下資料, 列明 (i) 賬戶持有人的居留司法管轄區, 亦即賬戶持有人的稅務管轄區(香港包括在內) 及 (ii) 該居留司法管轄區發給賬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 (i) the jurisdiction of residence (including Hong Kong) where the account holder is a residence for tax purposes and (ii) the account holder's TIN for each jurisdiction. Indicate all (not restricted to five) jurisdictions of residence.

如賬戶持有人是香港稅務居民, 稅務編號是其香港商業登記號碼。

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

如果賬戶持有人並非任何稅務管轄區的稅務居民(例如: 它是財政透明實體), 填寫實際管理機構所在的稅務管轄區。

If the account holder is not a tax resident in any jurisdiction (e.g. fiscally transparent), indicate the jurisdiction in which its place of effective management is situated.

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:

理由 A Reason A - 賬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。

The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

理由 B Reason B - 賬戶持有人不能取得稅務編號。如選取這一理由, 解釋賬戶持有人不能取得稅務編號的原因。

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 Reason C - 賬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賬戶持有人披露稅務編號。

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, 解釋賬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	新增 / 更新 Add / Update
(1)					
(2)					
(3)					
(4)					
(5)					

請選此框以確認您已聲明所有居留及稅務司法管轄區。

Please tick the box to confirm you have specified ALL jurisdictions in which you are resident for tax purposes.

第二部份 美國海外賬戶稅務合規法案 Part 2 U.S. Foreign Account Tax Compliance Act (FATCA)
免責聲明 Disclaimer:

- 賬戶持有人如要瞭解 FATCA 法案詳情，閣下可參閱美國國家稅務局網站 (<http://www.irs.gov/>) 資訊。
The account holder is advised to refer to the U.S. IRS website (<http://www.irs.gov/>) for details in respect of FATCA.
- 賬戶持有人應對其確認的 FATCA 身份及在本文件內提供的其他信息承擔全部責任。
The account holder shall be fully responsible for the confirmation of his/her/its FATCA status and other information submitted hereunder.
- 賬戶持有人應確保於本表格內所填報的所有資料和聲明真實、正確和完備。中信期貨國際及/或中信信期國際證券不會對該等資料和聲明的任何錯誤或導致的任何損失承擔任何責任。
The account holder shall ensure the information given and statements made in this form are true, correct and complete, CFI AND/OR CFIS shall not be liable for any errors or loss that results from such information and statements.
- 中信期貨國際及/或中信信期國際證券不能向賬戶持有人提供任何稅務及法律意見。如有相關疑問，請賬戶持有人聯絡其稅務及法律顧問。
CFI AND/OR CFIS is unable to offer any tax or legal advice to the account holder. For any related question, the account holder is advised to consult his/her/its tax and legal advisors.

以下哪一項陳述最切合 貴公司的情況？請選擇以下A 組或 B 組的其中一個選項。 Which of the following statements best describes you? Please select only 1 of the followings from category A or B.

美國實體 U.S. Entities		
如貴公司於美國註冊成立、設立、構成或組成，請填寫並遞交美國國稅局表格W9。 If you are incorporated, established, constituted or organized in the U.E., please complete and submit U.S. IRS Form W9.		美國實體 U.S. Entity
A. 金融機構 Financial Institution 貴公司屬金融機構，及 You are a financial institution, and		
<input type="checkbox"/>	貴公司屬 You are <input type="checkbox"/> 參與的外國金融機構 Participating FFI #1 <input type="checkbox"/> 已註冊的視作合規外國金融機構 Registered deem-compliant FFI #2 <input type="checkbox"/> 以版本一申報的外國金融機構 Reporting Model 1 FFI #3 <input type="checkbox"/> 以版本二申報的外國金融機構 Reporting Model 2 FFI #4 全球中介人識別號碼為 Global Intermediary Identification Number (GIIN):	參與的外國金融機構/ 以版本一申報的外國金融機構/ 以版本二申報的外國金融機構 Participating FFI/ Reporting Model 1 FFI/ Reporting Model
<input type="checkbox"/>	貴公司屬非參與的外國金融機構。 You are a Non-Participating FFI.	非參與的外國金融機構 Non-Participating FFI
<input type="checkbox"/>	貴公司不符合上述任何一項，在此情況下請填寫及遞交適當的美國國稅局表格 W-8。 You are none of the above and please complete and submit the appropriate U.S. IRS Form W-8.	
B. 非金融機構 Non-Financial Institution 貴公司屬非金融機構，及 You are NOT a financial institution, and		
<input type="checkbox"/>	有實質業務活動的機構 Active Business <ul style="list-style-type: none"> 貴公司至少 50% 總收入（以上一個曆年計）來自營業活動而非被動收入，例如：投資、股息、利息、租金或權利金，及 You derive at least 50% of your gross income (for the previous calendar year) from these business activities and not from passive income such as investments, dividends, interests, rents or royalties, and 	有實質業務活動的非金融外國實體 Active Non-Financial Foreign Entity

	<ul style="list-style-type: none"> 貴公司所持有之加權平均資產（每個季度於資產負債表依照資產的公允市價或賬面價值計算）至少有 50% 會產出或用以產出這些營業活動的收入 At least 50% of the weighted average percentage of assets held by you (tested quarterly, using fair market value or book value of assets as reflected in your balance sheet) produce or are held to produce income for these business activities 													
<input type="checkbox"/>	<p>主要為被動投資收入的機構 Passive Investment</p> <ul style="list-style-type: none"> 貴公司超過 50% 總收入（以上一個曆年計）來自被動收入，例如：投資、股息、利息、租金或權利金，及 You derive more than 50% of your gross income (for the previous calendar year) from income such as investments, dividends, interests, rents or royalties, and <ul style="list-style-type: none"> <input type="checkbox"/> 貴公司並無屬於美國的主要股東（擁有 貴公司最少 25% 股權） You do not have substantial U.S. Owners who own at least 25% of your entity <input type="checkbox"/> 貴公司有屬於美國的主要股東（擁有 貴公司最少 25% 股權），如此項適用請填妥以下表格 You have substantial U.S. Owners who own at least 25% of your entity, please fill up the following table <table border="1" data-bbox="271 795 1149 1075"> <thead> <tr> <th>姓名 Name</th> <th>地址 Address</th> <th>稅務編號 TIN</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>	姓名 Name	地址 Address	稅務編號 TIN										<p>主要為被動收入的非金融外國實體 Passive Non-Financial Foreign Entity/</p> <p>主要為被動收入的非金融外國實體而擁有美國股東 Passive Non-Financial Foreign Entity with U.S. Controlling Persons</p>
姓名 Name	地址 Address	稅務編號 TIN												
<input type="checkbox"/>	<p>貴公司不符合上述任何一項，在此情況下請填寫及遞交適當之美國國稅局表格 W-8。 You are none of the above and please complete and submit the appropriate U.S. IRS Form W-8.</p>													

聲明及簽署 Declaration and Signature

本人/吾等知悉及同意，中信期貨國際及/或中信信期國際證券可根據《稅務條例》（第 112 章）有關交換財務賬戶資料的法律條文，(i) 收集本表格所載資料並可備存作自動交換財務賬戶資料用途及 (ii) 把該等資料和關於賬戶持有人及任何須申報賬戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到賬戶持有人的居留司法管轄區的稅務當局。

I/We acknowledge and agree that (i) the information contained in this form is collected and may be kept by CFI AND/OR CFIS for the purpose of automatic exchange of financial account information, and (ii) such information and information regarding the account holder and any reportable account(s) may be reported by CFI AND/OR CFIS 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/吾等證明，就與本表格所有相關的賬戶，本人/吾等獲賬戶持有人授權簽署本表格。本人/吾等承諾，如本表格所述的實體的稅務居民身分變動，或本表格所載的任何資料不正確或不完整的情況下，本人/吾等會通知中信期貨國際及/或中信信期國際證券，並會在 **30 日內**，向中信期貨國際及/或中信信期國際證券提交一份已適當更新的自我證明表格。

I/We certify that I am/We are authorized to sign for the account holder of all the account(s) to which this form relates. I/We undertake to advise CFI AND/OR CFIS of any change in any information or any circumstances which affects the tax residency status of the entity identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide CFI AND/OR CFIS with a suitably updated self-certification form within 30 days of such change in circumstances or information.

本人/吾等聲明就本人/吾等所知所信，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/We declare that the information given and statements made in this form are, to the best of my/our knowledge and belief, true, correct and complete.

獲授人簽署及公司蓋章

日期 (年/月/日)

Authorized Signature and Business Chop

Date (Y/M/D)

公司名稱 Company Name: _____

獲授權簽字人姓名 Authorized Signatory(ies): _____

警告WARNING

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。

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).

請小心填寫本自我證明表格。如 貴公司對於AEOI、FATCA或任何美國國稅局表格（包括需填寫及遞交哪一份美國國稅局表格）或本自我證明表格有任何疑問，請查詢香港稅務局網站(http://www.ird.gov.hk/eng/tax/dta_aeoi.htm)、OECD 網站 (<http://www.oecd.org/tax/automatic-exchange/>) 或美國國家稅務局網站 (<http://www.irs.gov/>)及諮詢貴公司之稅務、法律及/或其他專業顧問。

Please complete this self-certification form carefully. Please refer to the information on the website of Hong Kong Inland Revenue Department (http://www.ird.gov.hk/eng/tax/dta_aeoi.htm), the website of OECD (<http://www.oecd.org/tax/automatic-exchange/>) or U.S. IRS website (<http://www.irs.gov/>) and consult your tax, legal and/or other professional advisers if you have any questions on or in relation to AEOI, FATCA, any of the U.S. IRS form (including which U.S. IRS form to complete and submit) or this self-certification form.

備註 Remarks

#1 參與的外國金融機構指已同意遵守外國金融機構協議條款的外國金融機構。參與的外國金融機構一詞亦包括美國金融機構的合資格中介人分公司，但如該分公司屬以版本一申報的外國金融機構除外。

Participating FFI is an FFI that has agreed to comply with the terms of an FFI agreement. The term participating FFI also includes a qualified intermediary (QI) branch of a U.S. financial institution, unless such branch is a reporting Model 1 FFI.

#2 已註冊的視作合規外國金融機構指：(1) 正進行註冊以確認其符合要求可被視為本地外國金融機構、參與的外國金融機構集團的非申報金融機構成員、合資格集體投資公司、受限制基金、合資格信用卡發行人或保薦投資實體或受控制外國公司（有關上述組別的更多資料請參閱美國財政部規例第1.1471-5(f)(1)(i)條）；(2) 版本一政府間協議下正進行註冊以獲取全球中介人識別號碼的申報金融機構；或 (3) 被視為版本一或版本二政府間協議下的非申報金融機構並正按照適用的版本一或版本二政府間協議進行註冊的外國金融機構。

A Registered Deemed Compliant FFI (RDCFFI) means: (1) an FFI that is registering to confirm that it meets the requirements to be treated as a local FFI, non-reporting FI member of a PFFI group, qualified collective investment vehicle, restricted fund, qualified credit card issuer, or sponsored investment entity or controlled foreign corporation (see Treas. Reg. 1.1471-5(f)(1)(i) for more information about these categories), (2) a Reporting FI under a Model 1 IGA and that is registering to obtain a GIIN, or (3) an FFI that is treated as a Non-reporting FI under Model 1 or 2 IGA and that is

registering pursuant to the applicable Model 1 or 2 IGA.

#3 版本一政府間協議指美國或美國財政部與外國政府或其一個或多個代理機構訂立的協議，透過由外國金融機構向該外國政府或其代理機構作出申報後繼而與美國國稅局自動交換申報資料而實行 FATCA。版本一政府間協議司法管轄區內的外國金融機構如向該司法管轄區政府申報賬戶，即稱為以版本一申報的外國金融機構。

A Model 1 IGA means an agreement between the U.S. or the Treasury Department and a foreign government or one or more agencies to implement FATCA through reporting by FFIs to such foreign government or agency thereof, followed by automatic exchange of the reported information with the IRS. An FFI in a Model 1 IGA jurisdiction that performs account reporting to the jurisdiction's government is referred to as a Reporting Model 1 FFI.

#4 版本二政府間協議指美國或美國財政部與外國政府或其一個或多個代理機構訂立的協議或安排，透過由外國金融機構按照外國金融機構協議的規定直接向美國國稅局作出申報而實行 FATCA，並由該外國政府或其代理機構與美國國稅局交換資料而作出補充。版本二政府間協議司法管轄區內的外國金融機構如已訂立外國金融機構協議即屬參與外國金融機構，但可稱為以版本二申報的外國金融機構。

A Model 2 IGA means an agreement or arrangement between the U.S. or the Treasury Department and a foreign government or one or more agencies to implement FATCA through reporting by FFIs directly to the IRS in accordance with the requirements of an FFI agreement, supplemented by the exchange of information between such foreign government or agency thereof and the IRS. An FFI in a Model 2 IGA jurisdiction that has entered into a n FFI agreement is a participating FFI, but may be referred to as a reporting Model 2 FFI.

內部專用 For internal use only:			
簽署通過驗證 Signature Verified by:	_____	日期 (年/月/日) Date (Y/M/D):	_____
賬戶持有人類別 Account Holder Type	<input type="checkbox"/> CRS101 被動收入的非金融實體 而擁有一個或多個控權 人為申請人 Passive Non-Financial Entity with one or more controlling person that is a Reportable Person	<input type="checkbox"/> CRS102 申請人 Reportable Person	<input type="checkbox"/> CRS103 被動收入的非金融實體 為申請人 Passive Non-Financial Entity that is a Reportable Person
稅務居留地 Tax Residence	稅務編號 TIN	新增 Add	更新 Update
1.	1.	<input type="checkbox"/>	<input type="checkbox"/>
2.	2.	<input type="checkbox"/>	<input type="checkbox"/>
3.	3.	<input type="checkbox"/>	<input type="checkbox"/>
4.	4.	<input type="checkbox"/>	<input type="checkbox"/>
5.	5.	<input type="checkbox"/>	<input type="checkbox"/>