

Entity tax residency self-certification form –INSTRUCTIONS

Please read these instructions before completing the form.

填寫表格前，請先參閱下列指引。

Regulations based on the OECD Common Reporting Standard (“CRS”) require **Bank SinoPac Hong Kong Branch** to collect and report certain information about an account holder’s tax residency. If the account holder’s tax residence is located outside Hong Kong, we may be legally obliged to pass on the information in this form and other financial information with respect to your financial accounts to Hong Kong Inland Revenue Department and they may exchange this information with tax authorities of another jurisdiction or jurisdictions pursuant to intergovernmental agreements to exchange financial account information.

根據採用經濟合作與發展組織(以下簡稱OECD)共同申報準則(以下簡稱CRS)的規定，要求永豐商業銀行股份有限公司香港分行(以下簡稱本行)收集並匯報帳戶持有人的稅務居留地。如帳戶持有人之稅務居留地為香港以外國家，本行將依法匯報本表所載資訊及貴戶之財務帳戶資料給香港稅務局。香港稅務局將依與各稅務管轄區所簽訂的協議交換財務帳戶資訊。

This form will remain valid unless there is a change in circumstances relating to information, such as the account holder’s tax status or other mandatory field information that makes this form incorrect or incomplete. In that case you must notify us and provide an updated self-certification.

此表格將持續有效，除非情況改變導致帳戶持有人的稅務狀況變動或本表必填欄位的資料失實或不完整。在上述情況中，閣下務必通知本行，並提交最新的自我聲明書。

This form is intended to request information consistent with-” The Inland Revenue (Amendment) (No. 3) Ordinance 2016” of Hong Kong.

本表係依香港《2016年稅務(修訂)(第3號)條例》要求設計以獲取所需資料。

Please complete this form where you need to self-certify on behalf of an entity account holder.

若閣下代表公司帳戶持有人作出自我聲明，請填寫此表。

If you are an individual account holder or sole trader or sole proprietor do not complete this form. Instead please complete an “*Individual tax residency self-certification form.*” 若閣下為個人帳戶持有人或唯一交易商或獨資經營者，請勿填寫本表，請填寫「個人稅務居留地自我聲明書」(CRS-I)的表格。

For joint or multiple account holders please complete a separate form for each account holder.

如屬聯名或多個帳戶持有人，每名帳戶持有人請填寫一份獨立的表格。

If the Account Holder is a U.S. tax resident under U.S. law, you should indicate that the account holder is a U.S. tax resident on this form and you may also need to fill in an IRS W-9 form. For more information on tax residence, please

consult your tax adviser or the information at the OECD automatic exchange of information portal.

如帳戶持有人為美國稅務居民，除本表應填報為美國稅務居民外，尚須填寫IRS W-9表格。有關稅務居留地之詳情，請諮詢閣下的稅務顧問，或參閱OECD所提供的說明。

Where the Account Holder is a Passive non-financial entity (Passive NFE), or an Investment Entity located in a Non-Participating Jurisdiction managed by another Financial Institution

Please provide information on the natural person(s) who exercise control over the Account Holder (individuals referred to as "Controlling Person(s)") by completing a "Controlling Person tax residency self-certification form" (CRS-CP) for each Controlling Person. This information should be provided by all Investment Entities located in a Non-Participating Jurisdiction and managed by another Financial Institution.

若帳戶持有人為非實質營運之非金融法人，或位處不參與的司法管轄區(non-participating jurisdiction)並由另一家金融機構管理的投資公司

請提供有關可對帳戶持有人行使控制權的自然人的資料(以下簡稱控權人)，每一位控權人須填寫一份「控權人稅務居留地自我聲明書」(CRS-CP)的表格。相關資料應由位處不參與的司法管轄區並由另一家金融機構管理的投資公司提供。

You should indicate the capacity in which you have signed in Part 4. For example you may be the custodian or nominee of an account on behalf of the account holder, or you may be completing the form under a signatory authority or power of attorney.

閣下應註明以什麼身份在第4部分作出簽署。舉例而言，閣下可能是代表帳戶持有人的帳戶保管人或代名人，或者閣下可能是在簽署人授權下或根據授權書填寫表格。

As a financial institution, we are not allowed to give tax advice.

身為一家金融機構，我們不得提供稅務意見。

Your tax adviser may be able to assist you in answering specific questions on this form. Your domestic tax authority can provide guidance regarding how to determine your tax status. You can also find out more, including a list of jurisdictions that have signed agreements to automatically exchange information, along with details about the information being requested, on the OECD automatic exchange of information portal.

閣下對本表有任何疑問，請洽詢閣下的稅務顧問尋求建議或請當地稅務機關提供判定稅務居留地的指引。您也可以到OECD自動交換資料網站上找到更多資訊，包含簽署CRS協議的國家及提供資料的細節。

OECD automatic exchange of information portal:

<http://www.oecd.org/tax/transparency/automaticexchangeofinformation.htm>.

Entity tax residency self-certification FORM 法人稅務居留地自我聲明書

(please complete parts 1-4 in BLOCK CAPITALS) 請以正楷填寫第1-4部分

Part 1 – Identification of Account Holder 第一部分 - 帳戶持有人身分識別資料	
A. Legal Name of Entity 公司名稱	
Name in Chinese 中文名稱*	
Name in English 英文名稱*	
B. Country of incorporation or organization 註冊或成立國家	
C. Hong Kong Business Registration No. 香港商業登記證號碼	
D. Current Residence Address (in English) 現時營業地址(英文)	
Line 1 (e.g. House/Apt/Suite Name, Number, Street, if any)* 地址1(例：室/樓/座/大廈/屋苑名稱/門牌號碼/街道)	
Line 2 (e.g. Town/City/Province/County/State)* 地址2(例：鄉鎮/城市/省/州)	
Country 國家*	
Postal Code/ZIP Code (if any) 郵遞區號	
E. Mailing Address: (please only complete in English if different to the address shown in Section C) 通訊地址 (如與現時營業地址不同時以英文填寫)	
Line 1 (e.g. House/Apt/Suite Name, Number, Street) 地址1(例：室/樓/座/大廈/屋苑名稱/門牌號碼/街道)	
Line 2 (e.g. Town/City/Province/County/State) 地址2(例：鄉鎮/城市/省/州)	
Country 國家	
Postal Code/ZIP Code 郵遞區號	

Part 2 – Entity Type 第二部分 - 公司的CRS 分類

Please provide the Account Holder’s Status by ticking one of the following boxes. 下列請擇一

Financial Institution
財務機構/金融機構

- Depository Institution, Custodial Institution or Specified Insurance Company 收受存款機構、保管機構或特定保險公司
- 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 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

Active NFE
有實質業務活動的
非金融法人

- a corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation 一家其股票經常於一個認可證券市場買賣的公司，或一家屬於該公司相關實體的公司
*please provide the name of the established securities market on which the corporation is regularly traded 請提供公司股票交易之證券交易所名稱： _____
*if you are a Related Entity of a regularly traded corporation, please provide the name of the regularly traded corporation that the Entity is a Related Entity of 如果是上市公司之關聯公司請提供關聯上市公司之名稱： _____
- a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities 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
- other than the above Active NFE 除上述以外之有實質業務活動的非金融法人
(Please specify 請說明 _____)

Passive NFE
非實質營運的非金
融法人

- Investment entity that is managed by another financial institution and located in a non-participating jurisdiction 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
 - that is not an active NFE 不屬有實質業務活動的非金融法人
- [If you have ticked above, then please indicate the name of any Controlling Person(s) of the Account Holder 勾選以上兩項請填下方控權人姓名]
- =====
- ==the name of any Controlling Person(s) of the Account Holder 控權人姓名：
- | | |
|-----|-----|
| (1) | (5) |
| (2) | (6) |
| (3) | (7) |
| (4) | (8) |

* Complete “Controlling Person tax residency self-certification form” for each Controlling Person. 每位控權人皆需填寫一份獨立的個人自我聲明書(CRS-CP)

Part 3 – Country/Jurisdiction of Residence for Tax Purposes and related Taxpayer Identification Number or equivalent number* (“TIN”) 第三部分 - 稅務居留地及稅務編號 *

Please complete the following table indicating (i) where the Account Holder is tax resident and (ii) the Account Holder’s TIN for each country/Reportable Jurisdiction indicated.

請填寫下表，說明帳戶持有人之納稅居留國及其稅務識別號碼（如居留地超過一個國家，請註明所有納稅居留國及其相關的稅務編號(tax ID number/TIN)）。

If the Account Holder is not tax resident in any country/jurisdiction (e.g., because it is fiscally transparent), please indicate that on line 1 and provide its place of effective management or jurisdiction in which its principal office is located. 若公司並非任何司法管轄區的稅務居民（例如基於其財政透明），請於下文註明，並提供其有效管理業務地，或主要辦事處所位處的國家。

If the Account Holder is tax resident in more than five countries/jurisdictions, please use a separate sheet
如帳戶持有人超過5項稅務居留地，請填寫於另一張表格。

If a TIN is unavailable please provide the appropriate reason A, B or C where indicated below:

Reason A - The country/jurisdiction where the Account Holder is resident does not issue TINs to its residents

Reason B - The Account Holder is otherwise unable to obtain a TIN or equivalent number(Please explain why you are unable to obtain a TIN in the below table if you have selected this reason)

Reason C - No TIN is required. (Note. Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction)

若無法提供稅務識別號碼，請填入原因A,B或C：

原因A - 相關的稅務司法管轄區並無發出稅務識別號碼。

原因B - 帳戶持有人並無獲發稅務識別號碼。(選擇本項敬請說明原因)

原因C - 無須稅務識別號碼。(只有稅務司法管轄區的當地法律並不要求搜集稅務識別號碼方能選擇本項)

Country/Jurisdiction of tax residence 國家或稅務居留地	TIN 稅務識別號碼	If no TIN available enter Reason A, B or C 無法提供稅務識別號碼原因A,B或C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選取原因B，請說明不能取得稅務編號的理由
1			
2			
3			
4			
5			

銀行專用 FOR BANK USE (To be completed by Business unit)

- 未提供TIN稅務識別號碼的原因是否合理 是,請留存客戶說明及判斷依據 否，請客戶更新自我聲明書/補充說明
- 客戶所提供的TIN是否與OECD網站之TIN結構相同 是 否，請客戶更新自我聲明書或自客戶有效文件中搜尋
OECD網站說明網址 Tax identification numbers (TINs) - Organisation for Economic Co-operation and Development (oecd.org)
- 客戶所提供之稅務居留地與其留存之證明文件、通訊資料或根據業務人員的了解是否一致 是 否,請客戶更新自我聲明書/補充說明

經營業務人員簽名 _____ 作業人員簽名 _____

Part 4 – Declarations and Signature* 第四部分 - 聲明及簽署*

I have read the “Circular to Customers and Other Individuals relating to the Personal Data (Privacy) Ordinance” of Bank SinoPac (website: <https://bank.sinopac.com/upload/sinopac/spbtBookMark/18e31c040910000028d.pdf>) and understand that the information supplied by me is covered by the full provisions of the terms and conditions governing the Account Holder’s relationship with **Bank Sinopac Hong Kong Branch** setting out how **Bank Sinopac Hong Kong Branch** may use and share the information supplied by me.

本人已詳閱永豐商業銀行股份有限公司「致資料當事人及個別人士關於《個人資料（私隱）條例》通知書」（網址：<https://bank.sinopac.com/upload/sinopac/spbtBookMark/18e31c040910000028d.pdf>），並已了解永豐商業銀行股份有限公司香港分行提供與帳戶持有人相關的所有條款與細則，及永豐商業銀行股份有限公司香港分行可能會使用或分享本人提供之資訊。

I acknowledge that the information contained in this form and information regarding the Account Holder and any Reportable Account(s) may be provided to the tax authorities of the country/jurisdiction in which this account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which the Account Holder may be tax resident pursuant to intergovernmental agreements to exchange financial account information.

本人知悉關於帳戶持有人於本表中所載之資訊及應申報帳戶可能提供給當地稅務機關，且稅務機關會與其他已簽訂跨政府財務賬戶資料協議之國家或稅務轄區交換財務賬戶資料。

I certify that I am authorized to sign for the Account Holder in respect of all the account(s) to which this form relates.
本人聲明已獲帳戶持有人授權代表簽署本表。

I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete.

本人聲明盡本人所知及所信，此表格所提供的資料均為正確及完整。

I undertake to advise *Bank SinoPac Hong Kong* within **30 days** of any change in circumstances which affects the tax residency status of the Account Holder identified in Part 1 of this form or causes the information contained herein to become incorrect or incomplete (including any changes to the information on controlling persons identified in Part 2), and to provide *Bank SinoPac Hong Kong* with a suitably updated self-certification and Declaration within **30 days** of such change in circumstances.

本人承諾，當發生任何環境變化導致第一部分帳戶持有人之稅務居留地改變或致使此表格所載資料失實或不完整(含第二部分控權人資訊)，將於變動發生後**30日**內通知永豐商業銀行股份有限公司香港分行，並於變動後**30日**內提供更新的自我聲明書。

Signature 簽署:* _____

Print name 姓名:* _____

Date 日期:* (dd/mm/yyyy) _____

Note: Please indicate the capacity in which you are signing the form (for example ‘Authorized Officer’).

If signing under a power of attorney please also attach a certified copy of the power of attorney.

附註：請註明閣下簽署表格的身份(例如:被授權人)。若閣下是根據授權書簽署，請檢附經核證之授權書副本。

Capacity 身份聲明:* _____