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Account No. :  
戶口號碼 :

# FUNDERSTONE

**Funderstone Securities Limited, Funderstone Futures Limited and Funderstone Asset Management (HK)  
Limited (“Funderstone”)  
Tax Residency Self-Certification Form – Entity  
稅務居民自我證明表格 – 實體**

## Self-Certification Form Instruction 自我證明表格指示

**Please read the following instructions before completing the form. This document and its Appendix do not constitute tax advice. Please seek advice from a professional tax adviser or visit the Organisation for Economic Co-operation and Development (OECD) website if you have any questions on answering specific questions on this form as we are unable to provide tax advice.**

The Appendix sets out a summary of definitions of selected terms used in this form for your ease of reference only. For more details, please visit the OECD and the Inland Revenue Department of Hong Kong websites.

This form is for entity account holders only. If you are completing the form on behalf of an entity account holder, please indicate the capacity in which you are signing in Part 5. For example, you may be an authorized person of the company or a trustee.

If the account holder is a Passive Non-Financial Entity ("NFE"), you should provide information on the controlling person(s) by completing Part 3 of the form and each controlling person should submit a separate **Tax Residency Self-Certification Form- Controlling Person**.

If there is any change in circumstances which affects your tax residency status or causes any of the information in this form to be incorrect, you undertake to inform us as soon as possible and provide an updated self-certification form within 30 days of such change in circumstances.

You may visit the OECD Automatic Exchange Portal at [www.oecd.org/tax/automatic-exchange/](http://www.oecd.org/tax/automatic-exchange/) to obtain more information about Common Reporting Standard, including a list of jurisdictions that have committed to automatic exchange of financial account information.

請在填寫本表格前細閱以下指示。本文件及其附錄不構成稅務建議。如閣下對填寫本表格有任何疑問，請諮詢專業稅務顧問或訪問經濟合作暨發展組織（經合組織）網站，請恕 Funderstone 無法提供稅務意見。

本表格附錄列出了本表格內所用的部分詞彙的涵義，僅供閣下參考。有關詳情請訪問經合組織及香港稅務局網站。

此表格僅適用於實體賬戶持有人。如果閣下代表實體賬戶持有人填寫表格，請於第 5 部分中註明閣下以何種身份簽署本表格。例如，閣下可能是公司的授權人或受託人。

如果賬戶持有人是被動非財務實體（“Passive NFE”），閣下須填寫第 3 部份以提交控權人的資料。每位控權人須分別提交一份「稅務居民自我證明表格 – 控權人」表格。

如閣下情況有變，以致影響閣下的稅務居民身份，或導致本表格內任何信息不正確，閣下承諾盡快通知 Funderstone，並在情況更改後 30 日內提供更新的自我證明表格。

閣下亦可訪問經合組織網站 [www.oecd.org/tax/automatic-exchange/](http://www.oecd.org/tax/automatic-exchange/) 以獲取更多有關共同匯報標準的信息，包括已承諾實施《自動交換財務賬戶資料》之司法管轄區列表。

**Important Note 重要提示:**

- 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.
- 這是由賬戶持有人向申報財務機構提供的自我證明表格，以作自動交換財務賬戶資料用途。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。
- 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.
- 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。
- No correction fluid/tape is allowed. You must countersign beside any amendment or correction made.
- 請勿使用校正液／塗改帶。如閣下需進行更正／修正，請在其旁邊進行更改並簽署。

**Part 1: Identification of Entity Account Holder 第 1 部份：實體賬戶持有人的身分識辨資料**

1.	<b>Legal Name of Entity*</b> 實體的法定名稱	
2.	<b>Jurisdiction of Incorporation or Organisation</b> 實體成立為法團或設立所在的稅務管轄區	
3.	<b>Certificate of Incorporation or Business Registration Number</b> 公司註冊或商業登記號碼	
4.	<b>Current Business Address</b> 現時商業地址	(e.g. Suite, Floor, Building, Street, District 例如：室、樓層、大廈、街道、地區)
		(City 城市) *
		(e.g. Province, State 例如：省、州)
		Country 國家 *
		Post Code/ZIP Code 郵政編碼/郵遞區號碼
5.	<b>Mailing Address 通訊地址</b> (Complete if different to the current business address 如通訊地址與商業地址不同，填寫此欄)	(e.g. Suite, Floor, Building, Street, District 例如：室、樓層、大廈、街道、地區)
		(City 城市) *
		(e.g. Province, State 例如：省、州)
		Country 國家 *
		Post Code/ZIP Code 郵政編碼/郵遞區號碼

**Part 2: Entity Type 第 2 部份：實體類別**

Tick one of the appropriate boxes and provide the relevant information.

在其中一個適當的方格內加上✓號，並提供有關資料。

<b>Financial Institution 財務機構</b>	<input type="checkbox"/>	Custodial Institution, Depository Institution or Specified Insurance Company 託管機構、存款機構或指明保險公司
	<input type="checkbox"/>	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
<b>Active NFE 主動非財務實體</b>	<input type="checkbox"/>	NFE the stock of which is regularly traded on _____, which is an established securities market. 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。
	<input type="checkbox"/>	Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market _____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。
	<input type="checkbox"/>	NFE is a governmental entity, an international organisation (for example the United Nations or North Atlantic Treaty Organisation ("NATO")), a central bank, or an entity wholly owned by one or more of the foregoing entities 政府實體、國際組織（例如聯合國或北大西洋公約組織（「NATO」））、中央銀行或由前述的實體全權擁有的其他實體
	<input type="checkbox"/>	Active NFE other than the above (for example a start-up NFE or a non-profit NFE) 除上述以外的主動非財務實體（例如新成立的非財務實體或非牟利的非財務實體）
<b>Passive NFE 被動非財務實體</b>	<input type="checkbox"/>	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
	<input type="checkbox"/>	NFE that is not an Active NFE 不屬主動非財務實體的非財務實體

**Part 3: Controlling Persons (Complete this part if the entity account holder is a passive NFE)****第 3 部份：控權人（如實體賬戶持有人是被動非財務實體，填寫此部）**

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.

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。

**Each controlling person should complete a separate Tax Residency Self-Certification Form- Controlling Person.**

每名控權人須分別填寫一份控權人稅務居民自我證明表格。

1.		5.	
2.		6.	
3.		7.	
4.		8.	

**Part 4: Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”) \***  
**第 4 部份：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」）\***

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.

提供以下資料，列明（a）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（b）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 4 個）居留司法管轄區。

If the account holder is a U.S. tax resident under U.S. law, you should indicate its U.S. tax resident status on this form and in addition provide a completed IRS Form W-9 for the account holder. If the account holder has already submitted a valid IRS Form W-9 before, it is not required to provide a fresh IRS Form W-9 unless there is any change in related circumstances.

根據美國法律，如果賬戶持有人是美國稅務居民，閣下應在此表格上註明其美國稅務居民身份，並為賬戶持有人提供完整的 IRS W-9 表格。若賬戶持有人已經提交了有效的 IRS W-9 表格，除非相關情況有任何變化，否則不需要提供新的 IRS W-9 表格。

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

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

如沒有提供稅務編號，必須填寫合適的理由：

Reason A 理由 A	The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents. 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。
Reason B 理由 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. 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。
Reason C 理由 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. 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。

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	If no TIN is available, Enter Reason A, B or C 如沒有提供稅務編號， 填寫理由 A、B 或 C
1)		
2)		
3)		
4)		

Please explain in the following boxes why you are unable to obtain a TIN if you selected Reason B above.

如選取理由 B，請解釋賬戶持有人不能取得稅務編號的原因。

1	
2	
3	
4	

**Part 5: Declarations and Signature 第 5 部份：聲明及簽署**

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

本人知悉及同意，Funderstone 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，（a）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（b）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 certify that I am authorised to sign for the account holder of all the account(s) to which this form relates.

本人證明，就與本表格所有相關的賬戶，本人獲賬戶持有人授權簽署本表格。

I undertake to advise Funderstone of any change in 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 Funderstone with a suitably updated self-certification form within 30 days of such change in circumstances.

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Funderstone，並會在情況發生改變後 30 日內，向Funderstone提交一份已適當更新的自我證明表格。

**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.**

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。

\_\_\_\_\_  
Authorised Signature with Company Chop  
獲授權人士簽署及公司印章

\_\_\_\_\_  
Name of Authorised Signatory(ies)  
獲授權人士姓名

\_\_\_\_\_  
Date 日期 (dd/mm/yyyy 日/月/年) #

\_\_\_\_\_  
Capacity 身份 (e.g. company director 例如：公司董事)

#Please write down the date of your signature in the specified format.請按指定格式填寫簽名日期。

**This form is available for download from the website of Funderstone at <http://www.funderstonesec.com>.**

本表格可於 Funderstone 的網站 (<http://www.funderstonesec.com>) 內下載。

**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).**

**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。**