

To: Funderstone Securities Limited / Funderstone Futures Limited / Funderstone Asset Management (HK) Limited
Room 1802, Capital Centre, No. 151 Gloucester Road, Wanchai, Hong Kong
香港灣仔告士打道 151 號資本中心 1802 室

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 – Controlling Person
稅務居民自我證明表格 – 控權人**

Self-Certification Form Instructions 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 controlling persons of entity account holders classified as Passive NFE only. Each controlling person should submit a separate form.

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/ to obtain more information about Common Reporting Standard, including a list of jurisdictions that have committed to the 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。

此表格僅適用於被動非財務實體之控權人。每位控權人須分別提交一份表格。

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資料不正確，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/ 以獲取更多有關共同匯報標準的資料，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:

- This is a self-certification form provided by a controlling person 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.
- 這是由控權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 Controlling Person 第一部份：控權人的身份識別資料

Name of the Controlling Person 控權人的姓名	Title 稱謂 (e.g. 例如：Mr 先生, Mrs 太太, Ms 女士, Miss 小姐)		
	Last Name or Surname 姓氏 *	First or Given Name 名字*	Middle Name(s) 中間名
2. Identity Card Number or Passport Number 身份證號碼或護照號碼			
3. Current Residence Address 現時住址	(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		
4. Mailing Address 通訊地址 (Complete if different to the current residence address 如通訊地址與現時住址不同，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		
5. Date of Birth 出生日期 *	_ _ _ _ _ _ _ _ _ (dd/mm/yyyy 日/月/年)		
6. Place of Birth 出生地點	Town/City 鎮/城市		
	Province/State 省/州		
	Country 國家		

Part 2: The Entity Account Holder(s) of which you are a controlling person**第 2 部份：您作為控權人的實體賬戶持有人**

Enter the name of the entity account holder of which you are a controlling person.

填寫您作為控權人的實體賬戶持有人的名稱：

Entity 實體	Name of the Entity Account Holder 實體賬戶持有人的名稱
(1)	
(2)	
(3)	

Part 3: Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”) *
第 3 部份：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」）

Complete the following table indicating (a) the jurisdiction(s) of residence (including Hong Kong) where the controlling person is a resident for tax purposes; and (b) the controlling person’s TIN for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence.

提供以下資料，列明（a）控權人的居留司法管轄區，亦即控權人的稅務管轄區（香港包括在內）及（b）該居留司法管轄區發給控權人的稅務編號。列出所有（不限於 5 個）居留司法管轄區。

If the controlling person is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.

如控權人是香港稅務居民，稅務編號是其香港身份證號碼。

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 controlling person is a resident for tax purposes does not issue TINs to its residents. 控權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 controlling person is unable to obtain a TIN. Explain why the controlling person is unable to obtain a TIN if you have selected this reason. 控權人不能取得稅務編號。如選取這一理由，解釋控權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. 控權人毋須提供稅務編號。居留司法管轄區的主管機關不需要控權人披露稅務編號。

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)		
5)		

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，請解釋控權人不能取得稅務編號的原因。

1	
2	
3	
4	
5	

Part 4: Type of Controlling Person**第 4 部份：控權人類別**

Tick the appropriate box to indicate the type of controlling person for each entity stated in Part 2.

就第 2 部所載的每個實體，在適當方格內加上✓號，指出控權人就每個實體所屬的控權人類別：

Type of Entity 實體類別	Type of Controlling Person 控權人類別	Entity (1) 實體 (1)	Entity (2) 實體 (2)	Entity (3) 實體 (3)
Legal Person 法人	Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital) 擁有控制股權的個人（即擁有不少於百分之二十五的已發行股本）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who exercises control/is entitled to exercise control through other means (i.e. not less than 25% of voting rights) 以其他途徑行使控制權或有權行使控制權的個人（即擁有不少於百分之二十五的表決權）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who holds the position of senior managing official/ exercises ultimate control over the management of the entity 擔任該實體的高級管理人員 / 對該實體的管理行使最終控制權的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trust 信託	Settlor 財產授予人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Trustee 受託人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Protector 保護人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Beneficiary or member of the class of beneficiaries 受益人或某類別受益人的成員	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (e.g. individual who exercises control over another entity being the settlor/ trustee/ protector/ beneficiary) 其他（例如：如財產授予人 / 受託人 / 保護人 / 受益人為另一實體，對該實體行使控制權的個人）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Legal Arrangement other than Trust 除信託以外的法律安排	Individual in a position equivalent/similar to settlor 處於相等 / 相類於財產授予人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to trustee 處於相等 / 相類於受託人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to protector 處於相等 / 相類於保護人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries 處於相等 / 相類於受益人或某類別受益人的成員位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (e.g. individual who exercises control over another entity being equivalent/similar to settlor/ trustee/ protector/ beneficiary) 其他（例如：如處於相等 / 相類於財產授予人 / 受託人 / 保護人 / 受益人位置的人為另一實體，對該實體行使控制權的個人）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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 controlling person 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 tax authorities of another jurisdiction or jurisdictions in which the controlling person 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）把該等資料和關於控權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，從而把資料轉交到控權人的居留司法管轄區的稅務當局。

I certify that I am the controlling person of all the account(s) held by the entity account holder(s) to which this form relates.

本人證明，就與本表格所有相關的實體賬戶持有人所持有的帳戶，本人是控權人。

I undertake to advise Funderstone 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 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。

Signature 簽署

Name 姓名

Date 日期 (dd/mm/yyyy 日/月/年) #

#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。