

## Individual Tax Residency Self-Certification Form

(CRS-I (HK)) 个人税务居民自我证明表格 (CRS-I (HK))

|         |                          |
|---------|--------------------------|
| Date 日期 | day 日 / month 月 / year 年 |
|         |                          |

### Instructions 指示

Please read the following instructions before completing this form 请在填写本表格前细阅以下指示：

#### Why are we asking you to complete this form?

To help protect the integrity of tax systems, governments around the world are introducing a new information-gathering and reporting requirement for financial institutions. This is known as the Common Reporting Standard (the "CRS").

Under the CRS, we are required to determine where you are a "tax resident" (this will usually be where you are liable to pay income taxes). If you are a tax resident outside the jurisdiction where your account is held, we may need to give the national tax authority this information, along with information relating to your accounts. That may then be shared between different jurisdictions' tax authorities.

Completing this form will ensure that we hold accurate and up to date information about your tax residency.

If your circumstances change and any of the information provided in this form becomes incorrect, please let us know immediately and provide an updated self-certification.

#### Who should complete the Individual Tax Residency Self-Certification Form?

Individual customers should complete this form. Sole trader customers should also complete this form with the owner's information.

If you need to self-certify on behalf of an entity (which includes businesses, trusts and partnerships), complete an "Entity Tax Residency Self-Certification Form" (CRS-E (HK)). Similarly, if you are a controlling person of an entity, complete a "Controlling Person Tax Residency Self-Certification Form" (CRS-CP (HK)).

For joint account holders, each individual will need to complete a separate form.

Even if you have already provided information in relation to the United States Government's Foreign Account Tax Compliance Act (FATCA), you may still need to provide additional information for the CRS as this is a separate regulation.

If you are completing this form on behalf of someone else, please ensure that you let them know that you have done so and tell us in what capacity you are signing in Part 3. For example, you might be completing this form as a custodian or nominee of an account, under a Power of Attorney or as a legal guardian on behalf of an account holder who is a minor.

#### Where to go for further information?

The Organisation for Economic Co-operation and Development ("OECD") has developed the rules to be used by all governments participating in the CRS and these can be found on the OECD's Automatic Exchange of Information ("AEOI") website, [www.oecd.org/tax/automatic-exchange/](http://www.oecd.org/tax/automatic-exchange/).

Please also visit the website of the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region that sets out information relating to the implementation of AEOI in Hong Kong: [http://www.ird.gov.hk/eng/tax/dta\\_aeoi.htm](http://www.ird.gov.hk/eng/tax/dta_aeoi.htm). Meaning of terms and expressions used in this form (e.g. "account holder" and "reportable account") may be found under section 50A of the Inland Revenue Ordinance (Cap. 112).

If you have any questions on how to define your tax residency status, please visit the OECD website, [www.oecd.org/tax/automatic-exchange/](http://www.oecd.org/tax/automatic-exchange/) or speak to your tax advisor as we are not allowed to give tax advice.

#### 为何我们要求您填写本表格？

为维护税制完整，全球各地政府现正推出适用于金融 / 财务机构的资料收集及汇报新规例，名为共同汇报标准（简称「CRS」）。根据CRS规定，我们必须确定您的「税务居住地」（这通常是您有义务缴纳薪俸税的国家 / 地区）。若您的税务居住地有别于所持账户的司法管辖区，我们可能需要将此情况及您的有关账户资料告知国家税务机关，该等机关随后或会将相关数据传送给不同国家 / 地区的税务机关。

填写本表格可确保我们持有您正确及最新的税务居住地资料。

如果您的情况有变，导致本表格内的任何数据不再正确，请立即告知我们，并提交一份已更新的自我证明表格。

#### 谁需填写个人税务居民自我证明表格？

个人银行客户须填写本表格。独资业务客户亦须以拥有人的数据填写本表格。

如您需代表实体（包括企业、信托和合伙）作自我证明，请填写「实体税务居民自我证明表格」（CRS-E (HK)）。同样地，如您是实体的控权人，请填写「控权人税务居民自我证明表格」（CRS-CP (HK)）。

每名联名账户持有人须分别填写一份表格。

即使您已就美国政府《外国账户税务合规法案》（简称「FATCA」）提供所需的数据，您仍可能需就 CRS 提供额外数据，因为两者为独立的规例。

如您代表他人填写本表格，请确保他们知悉此事，并在表格的第 3 部说明您以何种身分签署本表格。例如：您可能是以账户的托管人或代名人身分、根据授权书以受权人身分或以未成年账户持有人的法定监护人身分填写本表格。

#### 如何获取更多信息？

经济合作与发展组织（简称「经合组织」）已制订规则，供参与 CRS 的所有政府使用，并载于经合组织的自动交换数据（简称「AEOI」）网站 [www.oecd.org/tax/automatic-exchange/](http://www.oecd.org/tax/automatic-exchange/)。

另请参阅香港特别行政区政府税务局的网站了解香港实施 AEOI 的详情：[www.ird.gov.hk/chi/tax/dta\\_aeoi.htm](http://www.ird.gov.hk/chi/tax/dta_aeoi.htm)。有关本表格内所用词汇的涵义（例如：「账户持有人」和「须申报账户」），请参阅《税务条例》（第 112 章）第 50A 条。

如您对判定您的税务居民身分有任何疑问，请浏览经合组织网站 [www.oecd.org/tax/automatic-exchange/](http://www.oecd.org/tax/automatic-exchange/) 或咨询您的税务顾问。请恕我们不能提供税务意见。

艾德證券期貨有限公司 Eddid Securities and Futures Limited

香港中環添美道1號中信大廈21樓 21/F, CITIC Tower, 1 Tim Mei Avenue, Central, Hong Kong

☎ (852) 2655 0338

## Important Notes 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.

这是由账户持有人向申报金融 / 财务机构提供的自我证明表格，以作自动交换财务账户数据用途。申报金融 / 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。

• An account holder should report all changes in his/her tax residency status to the reporting financial institution.

如账户持有人的税务居民身分有所改变，应尽快将所有变更通知申报金融 / 财务机构。

• 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 (\*) 的项目为申报金融 / 财务机构须向税务局申报的资料。

## Part I: Identification of Individual Account Holder 第1部：个人账户持有人的身分识别资料

(For joint or multiple account holders, complete a separate form for each individual account holder.

对于联名账户或多人联名账户，每名个人账户持有人须分别填写一份表格。)

**Note** 注意：Please tick where applicable. 请在适当的地方加上剔号。

|                                                                                           |                                                                                                            |                         |                    |
|-------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------|-------------------------|--------------------|
| Name of Account Holder<br>账户持有人的姓名                                                        | Title 称谓： <input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Mrs 太太 <input type="checkbox"/> Miss 小姐 |                         |                    |
|                                                                                           | *Last Name or Surname 姓氏                                                                                   | *First or Given Name 名字 | Middle Name(s) 中间名 |
|                                                                                           | Business Name (Sole Traders Only) 公司名称 (只适用于独资业务)                                                          |                         |                    |
| Hong Kong Identity Card or<br>Passport Number<br>香港身分证或护照号码                               |                                                                                                            |                         |                    |
| Residence Address 住址                                                                      | (e.g. Suite, Floor, Building, Street, District 例如：室、楼层、大厦、街道、地区)                                           |                         |                    |
|                                                                                           | *City 城市                                                                                                   |                         |                    |
|                                                                                           | (e.g. Province, State 例如：省、州)                                                                              |                         |                    |
|                                                                                           | *Country 国家                                                                                                |                         |                    |
|                                                                                           | Post Code / ZIP Code 邮政编码 / 邮政编码码                                                                          |                         |                    |
| Mailing Address<br>通讯地址<br>(Complete if different to<br>the Residence address 如与<br>住址不同) | (e.g. Suite, Floor, Building, Street, District 例如：室、楼层、大厦、街道、地区)                                           |                         |                    |
|                                                                                           | City 城市                                                                                                    |                         |                    |
|                                                                                           | (e.g. Province, State 例如：省、州)                                                                              |                         |                    |
|                                                                                           | Country 国家                                                                                                 |                         |                    |
|                                                                                           | Post Code / ZIP Code 邮政编码 / 邮政编码码                                                                          |                         |                    |
| *Date of Birth 出生日期                                                                       | (dd/mm/yyyy 日 / 月 / 年)                                                                                     |                         |                    |



## Individual Tax Residency Self-Certification Form (CRS-I (HK))

个人税务居民自我证明表格 (CRS-I (HK)) OPS439-m (22/11/16)W

### Part 2 第2 部：

#### \*Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN")

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

Complete the following table indicating 提供以下数据·列明：

(a) each jurisdiction where the account holder is a **resident for tax purposes**; and

账户持有人的居留司法管辖区，亦即账户持有人的税务管辖区；及

(b) the account holder's TIN for each jurisdiction indicated.

该居留司法管辖区发给账户持有人的税务编号。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number (HKID).

如账户持有人是香港税务居民，税务编号是账户持有人的香港身份证号码。

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

如没有提供税务编号，必须填写合适的理由：

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

理由 A - 账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 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 B - 账户持有人不能取得税务编号。如选取这一理由，解释账户持有人不能取得税务编号的原因。

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.

理由 C - 账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账户持有人披露税务编号。

| Jurisdiction of Residence<br>居留司法管辖区 | TIN<br>税务编号 | #Enter Reason A, B or C if<br>no TIN is available<br>如没有提供税务编号，<br>填写理由 A、B 或 C | Explain why the account holder is<br>unable to obtain a TIN if you have<br>selected Reason B<br>如选取理由 B，解释账户持有人不能取得税务编号的原因 |
|--------------------------------------|-------------|---------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------|
| (1)                                  |             |                                                                                 |                                                                                                                            |
| (2)                                  |             |                                                                                 |                                                                                                                            |
| (3)                                  |             |                                                                                 |                                                                                                                            |
| (4)                                  |             |                                                                                 |                                                                                                                            |
| (5)                                  |             |                                                                                 |                                                                                                                            |
| (6)                                  |             |                                                                                 |                                                                                                                            |

艾德證券期貨有限公司 Eddid Securities and Futures Limited

香港中環添美道1號中信大廈21樓 21/F, CITIC Tower, 1 Tim Mei Avenue, Central, Hong Kong

☎ (852) 2655 0338

## Part 3: Declarations and Signature 第3部：声明及签署

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by The Bank (the "Name of Company Bank") 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 Bank 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，（「贵公司」）可根据《税务条例》（第112章）有关交换财务账户数据的法律条文，（a）收集本表格所载数据并可备存作自动交换财务账户数据用途及（b）把该等资料和关于账户持有人及任何须申报账户的资料向香港特别行政区政府税务局申报，从而把资料转交到账户持有人的居留司法管辖区的税务当局。

I certify that I am the account holder (or I am authorised to sign for the account holder) of all the account(s) currently held with the Bank by the individual identified in Part 1 of this form.

本人证明，就有本表格第1部所述的个人现于贵行持有的所有账户，本人是账户持有人（或本人获账户持有人授权代其签署）。

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

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数据不正确，本人会通知贵行，并会在情况发生改变后30日内，向贵行提交一份已适当更新的自我证明表格。

**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.**

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

|                                                      |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
|------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Signature 签署</p> <p>X</p>                         | <p>Capacity 身分</p> <p>(Indicate the capacity if you are not the individual identified in Part 1. If signing under a power of attorney, attach a certified copy of the +power of attorney. 如您不是第1部所述的个人，说明您的身分。如果您是受权人身分签署这份表格，须夹附该+授权书的核证副本。)</p> <p>+ The power of attorney must be in a form satisfactory to the Bank. Please note that any existing Letter of Delegation provided by the Bank and signed by an account holder will not give the authority to the appointed attorney(s) to sign this form on behalf of the relevant account holder. 授权书必须采用本行满意的形式。请注意，由本行提供及经账户持有人签署的任何现有授权书（Letter of Delegation）将不会授权委任的代理人代表有关的账户持有人签署本表格。</p> |
| <p>Date (dd/mm/yyyy) 日期 (日/月/年) :</p> <p>Name 姓名</p> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |

**WARNING: It is a serious offence under 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. Heavy penalty may apply upon conviction.**

警告：根据《税务条例》，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，即属严重罪行。一经定罪，可致重罚。