致: ☐ 安信國際證券(香港)有限公司(「安信國際證券」)
To　　Essence International Securities (Hong Kong) Limited ("EISHK)
　　☐ 安信期貨(香港)有限公司(「安信期貨」)
　　Essence Futures (Hong Kong) Limited("EFHK)

共同匯報標準自我證明表格 – 個人
Common Reporting Standard Self-Certification Form – Individual

帳戶號碼:
A/C No. : _____

對於聯名帳戶，每名個人帳戶持有人須分別填寫一份表格
For joint account holders, complete a separate form for each individual account holder.

1	個人戶口持有人資料 **Individual Account Holder Information**		
客戶姓名 Client Name	☐先生 Mr.　☐太太 Mrs.　☐女士 Mdm.　☐小姐 Miss		
中文 Chinese			
英文 English	姓氏 Last Name or Surname:		名字 First or Given Name:
身份證／護照號碼 **ID. Card / Passport No. :**			
國籍 Nationality:			
出生日期 Date of Birth: (日 DD/月 MM/年 YYYY)			
出生地點 Place of Birth:			
現時住宅地址 Current Residential Address:			
室 / 樓層 / 大廈 / 街道 / 地區 **Room /Floor/ Building/ Street/ District**			
城市 City			
省/州 Province / State			
國家 Country			
郵政編碼/郵遞區 Post Code/ZIP Code			
通訊地址(如與以上不同) Correspondence Address (if different from above):			
室 / 樓層 / 大廈 / 街道 / 地區 **Room /Floor/ Building/ Street/ District**			
城市 City			
省/州 Province / State			
國家 Country			
郵政編碼/郵遞區 Post Code/ZIP Code			

2	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")**

請提供以下資料，列明 (a) 帳戶持有人的居留司法管轄區，亦即帳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帳戶持有人的稅務編號。請列出所有（不限於 5 個）居留司法管轄區。

Please 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 five) jurisdictions of residence.

如帳戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。如沒有提供稅務編號，必須填寫合適的理由：

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. If a TIN is unavailable, provide the appropriate reason A, B or C:

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

理由 B – 帳戶持有人不能取得稅務編號。如選取這一理由，請解釋帳戶持有人不能取得稅務編號的原因。

Reason B – The account holder is unable to obtain a TIN. Please explain why the account holder is unable to obtain a TIN if you have selected this reason.

理由 C – 帳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帳戶持有人披露稅務編號。

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.

	居留司法管轄區 **Jurisdiction of Residence**	稅務編號 **TIN**	如沒有提供稅務編號，請填寫理由 A、B 或 C **Please enter Reason A, B or C if no TIN is available**	如選取理由 B，請解釋帳戶持有人不能取得稅務編號的原因 **Please explain why you are unable to obtain a TIN if you have selected Reason B**
1			❑ A ❑ B ❑ C	
2			❑ A ❑ B ❑ C	
3			❑ A ❑ B ❑ C	
4			❑ A ❑ B ❑ C	
5			❑ A ❑ B ❑ C	

3	聲明及簽署 **Declarations and Signature**

本人知悉及同意，安信國際證券/安信期貨*可根據《稅務條例》（第 112 章）有關交換財務帳戶資料的法律條文，（a）收集本表格所載資料並可備存作自動交換財務帳戶資料用途及（b）把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。

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

本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人。
I certify that I am the account holder of all the account(s) to which this form relates.

本人承諾，如情況有所改變，以致影響本人的稅務居民身分，或引致開戶資料表格及/或本表格所載的資料不正確，本人會通知安信國際證券/安信期貨*，並會在情況發生改變後 30 日內，向安信國際證券/安信期貨*提交一份已適當更新的自我證明表格。如果本人未能提供任何所要求的資料，安信國際證券/安信期貨*保留採取任何補救措施的權利，包括(但不限於)限制及終止帳戶的運作。

I undertake to advise EISHK / EFHK* of any change in circumstances which affects the tax residency status of the individual identified in the Account Opening Information Form and/or this form or causes the information contained herein to become incorrect, and to provide EISHK / EFHK* with a suitably updated self-certification form within 30 days of such change in circumstances. Where I fail to provide any requested information (regardless of the consequences), EISHK / EFHK* reserves the right to take any action and/or pursue all remedies at its disposal including, without limitation to restrictor terminate the operation of the account.

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。
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.

客戶簽署
Client Signature: 日期(日/月/年)
Date:(DD/MM/YY)

* *刪去不適用者 Delete as appropriate*

重要提示
Important Notes:

● 這是由帳戶持有人向安信國際證券/安信期貨提供的自我證明表格，以作自動交換財務帳戶資料用途。安信國際證券/安信期貨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。

This is a self-certification form provided by an account holder to EISHK/ EFHK for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the EISHK/ EFHK to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.

● 如帳戶持有人的稅務居民身分有所改變，應盡快將所有變更通知安信國際證券/安信期貨。

An account holder should report all changes in his/her tax residency status to EISHK/ EFHK.

● 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。

All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s).

● 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).

表格內採用的名詞及措辭釋義
Meaning of terms and expressions used in Self-Certification Forms

「**居留司法管轄區**」- 指某名個人或某實體是某地區的稅務居民的情況下，指該地區。
"Jurisdiction of residence"-means a territory of which an individual or entity is a resident for tax purposes.

「**稅務編號**」**(包括具有等同功能的識辨編號)** -指納稅人的識辨編號或具有等同功能的識辨編號(如無納稅人的識辨編號)。稅務編號是稅務管轄區向個人或實體分配獨有的字母與數字組合，用於識別個人或實體的身分，以便實施該稅務管轄區的稅務法律。有關可接受的稅務編號的更多詳細資訊刊載於經濟合作與發展組織的自動交換資料網站: http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/。
"TIN" (including "functional equivalent") -means Taxpayer Identification Number or a functional equivalent in the absence of a TIN. A TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual or an Entity and used to identify the individual or Entity for the purposes of administering the tax laws of such jurisdiction. Further details of acceptable TINs can be found at the OECD Automatic Exchange Portal at the following link: http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/ .

某些稅務管轄區不發出稅務編號。但是，這些稅務管轄區通常使用具有等同識辨功能的其他完整號碼(「具有等同功能的識辨號碼」)。此類號碼的例子包括:
Some jurisdictions do not issue a TIN. However, these jurisdictions often utilise some other high integrity number with an equivalent level of identification (a "functional equivalent"). Examples of that type of number include –

- 就個人而言，社會安全號碼/保險號碼、公民/個人身份/服務代碼/號碼，以及居民登記號碼。
  (for individuals) a social security/insurance number, citizen/personal identification/service code/number, and resident registration number.