

## 自我證明表格 – 實體

### Self-Certification Form – Entity

客戶號碼

Account No. : \_\_\_\_\_

經紀號碼

A.E No. : \_\_\_\_\_

#### 重要提示：Important Notes:

- 這是由帳戶持有人向 **Conrad Investment Services Limited (“CONRAD”)** 提供的自我證明表格，以作自動交換財務帳戶資料用途。 (“CONRAD”) 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 **Conrad Investment Services Limited (“CONRAD”)** for the purpose of automatic exchange of financial account information. The data collected may be transmitted by (“CONRAD”) 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 (“CONRAD”)。  
An account holder should report all changes in its tax residency status to (“CONRAD”).
- 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 (“CONRAD”) 須向稅務局申報的資料。  
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 (“CONRAD”) to the Inland Revenue Department.

#### 第 1 部 實體帳戶持有人的身分識別資料 (對於聯名帳戶或多人聯名帳戶，每名實體帳戶持有人須分別填寫一份表格)

##### Part 1 Identification of Entity Account Holder (For joint or multiple account holders, complete a separate form for each entity account holder.)

實體或分支機構的法定名稱 *	Legal Name of Entity or Branch *				
香港商業登記號碼 Hong Kong Business Registration Number			實體成立為法團或設立所在的稅務管轄區* Jurisdiction of Incorporation or Organization*		
現時營業地址 Current Residence Address	室 Suite	樓層 Floor	大廈 Building	街道 Street	地區 District
	*城市 City	省 Province	州 State	*國家 Country	郵政編號 Postal code
通訊住址 Mailing Address (如通訊地址與現時住址不同，填寫此欄) (Complete if different to the current residence address)	室 Suite	樓層 Floor	大廈 Building	街道 Street	地區 District
	*城市 City	省 Province	州 State	*國家 Country	郵政編號 Postal code

#### 第 2 部 實體類別，在其中一個適當的方格內加上✓號，並提供有關資料。

##### Part 2 Entity Type, Tick one of the appropriate boxes and provide the relevant information.

金融機構 Financial Institution	<input type="checkbox"/> 銀行 Bank  <input type="checkbox"/> 金融市場 Financial Market	<input type="checkbox"/> 資產/基金管理 Assets/Fund Management  <input type="checkbox"/> 代理人/託管 Nominees Custodian	<input type="checkbox"/> 股票操作經紀 Operator Stock Broking  <input type="checkbox"/> 保險公司 Insurance Company	<input type="checkbox"/> 基金 Fund
主動非財務實體 Active NFE	<input type="checkbox"/> 上市公司 List on Exchange <input type="checkbox"/> 其他[主動] 非金融實體 (請說明) Other active NFE (please specify) _____			
被動非財務實體 Passive NFE	<input type="checkbox"/> 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 Investment entity that is managed by another financial institution and located in a non-participating jurisdiction <input type="checkbox"/> 不屬主動非財務實體的非財務實體 NFE that is not an active NFE			

#### 第 3 部 控權人 (如實體帳戶持有人是被動非財務實體，填寫此部)

##### Part 3 Controlling Persons (Complete this part if the entity account holder is a passive NFE)

就帳戶持有人，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。每名控權人須分別填寫一份 IR1457 表格 (自我證明表格 – 控權人)。

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. Complete Form IR1457 (Self-Certification Form – Controlling Person) for each controlling person.

(1)	(5)
(2)	(6)
(3)	(7)
(4)	(8)

#### 第 4 部 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」）\*

##### Part 4 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") \*

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。列出**所有**（不限於 5 個）居留司法管轄區。如帳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。如果帳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。如沒有提供稅務編號，必須填寫合適的理由：

**理由 A** – 帳戶持有人的居留司法稅務管轄區並沒有向其居民發出稅務編號。

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

**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。

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

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

**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.

**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	(1)	(2)	(3)	(4)	(5)
稅務編號 TIN :	(1)	(2)	(3)	(4)	(5)
沒有稅務編號理由 No TIN Reason	<input type="checkbox"/> 理由 A Reason A <input type="checkbox"/> 理由 B Reason B <input type="checkbox"/> 理由 C Reason C	<input type="checkbox"/> 理由 A Reason A <input type="checkbox"/> 理由 B Reason B <input type="checkbox"/> 理由 C Reason C	<input type="checkbox"/> 理由 A Reason A <input type="checkbox"/> 理由 B Reason B <input type="checkbox"/> 理由 C Reason C	<input type="checkbox"/> 理由 A Reason A <input type="checkbox"/> 理由 B Reason B <input type="checkbox"/> 理由 C Reason C	<input type="checkbox"/> 理由 A Reason A <input type="checkbox"/> 理由 B Reason B <input type="checkbox"/> 理由 C Reason C
選取理由 B 的原因 Explanation to selected Reason B:					

#### 第 5 部 聲明及簽署 Part 5 Declarations and Signature

本人知悉及同意，財務機構可根據《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 the financial institution 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 financial institution 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，本人獲帳戶持有人授權簽署本表格。本人承諾，如情況有所改變，以致影響本表格第 1 部所述的實體的稅務居民身分，或引致本表格所載的資料不正確，本人會通知 **Conrad Investment Services Limited ("CONRAD")**，並會在情況發生改變後 30 日內，向 **("CONRAD")** 提交一份已適當更新的自我證明表格。

I certify that I am authorized to sign for the account holder of all the account(s) to which this form relates. I undertake to advise **Conrad Investment Services Limited ("CONRAD")** 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 **("CONRAD")** with a suitably updated self-certification form within 30 days of such change in circumstances.

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.

<p><b>簽署人 Signed by:</b></p>     <p>姓名 Name : _____</p> <p>身分 Capacity #: _____</p> <p>日期 Date : _____</p>	<p>(# 例如：公司的董事或高級人員、合夥的合夥人、信託的受託人等) (# e.g. director or officer of a company, partner of a partnership, trustee of a trust etc.)</p> <p><b>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。</b></p> <p><b>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).</b></p>
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