

致：鉅誠證券有限公司（“鉅誠”，中央編號 BPX754）

To: Citrus Securities Limited (“CSL”, CE# BPX754)

香港灣仔軒尼詩道 303 號協成行灣仔中心 2201 室

Room 2201, 22/F, OfficePlus @Wan Chai, 303 Hennessy Road, Wan Chai, Hong Kong

Website: www.citrussecurities.com

Email: cs@citrussecurities.com

Tel: +852 3425 4196

賬戶號碼

Account No.: _____

自我證明表格 - 控權人 Self-Certification Form – Controlling Person

重要提示 Important Notes:

- 這是由控權人向鉅誠提供的自我證明表格，以作自動交換財務帳戶資料用途。鉅誠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 a controlling person to CSL for the purpose of automatic exchange of financial account information. The data collected may be transmitted by CSL to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- 如控權人的稅務居民身分有所改變，應盡快將所有變更通知鉅誠。
A controlling person should report all changes in its tax residency status to CSL.
- 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（*）的項目為鉅誠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, please continue on additional sheet(s). Information in fields/parts marked with an asterisk (*) are required to be reported by CSL to the Inland Revenue Department.

第 1 部 控權人的身分識辨資料

Part 1. Identification of Controlling Person

控權人的姓名 Name of Controlling Person	Title稱謂: Mr.先生 / Mrs.太太 / Ms.女士 / Miss小姐 姓氏Last Name*: _____ 名字First Name*: _____		
身份證或護照號碼 ID Card No. / Passport No.:			
出生日期 * (日/月/年) Date of Birth * (dd/mm/yyyy)		出生地點 (可不填寫) Place of Birth (Not compulsory)	

現時住址 Current Residence Address

第1行(例如: 室/樓層/大廈/街道/ 地區) Line 1 (e.g. Suite /Floor /Building /Street /District)	
第2行(城市)Line 2 (City)*	
第3行 (例如:省、州) Line 3 (e.g. Province, State)	
國家Country*	

通訊地址(如與現時住址不同, 填寫此欄) Mailing Address (Complete if different to the current residence address)

第1行(例如: 室/樓層/大廈/街道/ 地區) Line 1 (e.g. Suite /Floor /Building /Street /District)	
第2行(城市)Line 2 (City)*	
第3行 (例如:省、州) Line 3 (e.g. Province, State)	
國家Country*	

第 2 部 你作為控權人持有的實體帳戶

Part 2. The Entity Account Holder of which you are a controlling person

填寫你作為控權人的實體帳戶持有人的名稱。Enter the name of the Entity Account Holder of which you are a controlling person.

實體帳戶持有人的名稱 Name of the Entity Account Holder

第 3 部 控權人類別

Part 3. Type of Controlling Person

就第2部所載的實體，在適當方格內加上✓號，指出控權人就實體所屬的控權人類別。

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

實體類別 Type of Entity	控權人類別 Type of Controlling Person	實體 Entity
法人 Legal Person	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） Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital)	<input type="checkbox"/>
	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） Individual who exercises control/is entitled to exercise control through other means (i.e. not less than 25% of voting rights)	<input type="checkbox"/>
	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 Individual who holds the position of senior managing official/ exercises ultimate control over the management of the entity	<input type="checkbox"/>
信託 Trust	財產授予人 Settlor	<input type="checkbox"/>
	受託人 Trustee	<input type="checkbox"/>
	保護人 Protector	<input type="checkbox"/>
	受益人或某類別受益人的成員 Beneficiary or member of the class of beneficiaries	<input type="checkbox"/>
	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） Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary)	<input type="checkbox"/>
除信託以外的法律安排 Legal Arrangement other than Trust	處於相等/相類於財產授予人位置的個人 Individual in a position equivalent/similar to settlor	<input type="checkbox"/>
	處於相等/相類於受託人位置的個人 Individual in a position equivalent/similar to trustee	<input type="checkbox"/>
	處於相等/相類於保護人位置的個人 Individual in a position equivalent/similar to protector	<input type="checkbox"/>
	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 Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries	<input type="checkbox"/>
	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） Other (e.g. individual who exercises control over another entity being equivalent/similar to settlor/trustee/protector/beneficiary)	<input type="checkbox"/>

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) 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3個）居留司法管轄區。

Complete the following table indicating (a) the jurisdiction 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 three) the jurisdictions of residence.

如控權人是香港稅務居民或中國稅務居民，稅務編號是其香港身份證號碼或中國身份證號碼。

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

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管轄區並沒有向其居民發出稅務編號。

理由 B – 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。

理由 C – 帳戶持有人不能取得稅務編號。（如選取理由 C，解釋帳戶持有人不能取得稅務編號的原因）

If a TIN is unavailable, provide an appropriate reason:

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

Reason B – TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

Reason C – The account holder is unable to obtain a TIN. (Explain why the account holder is unable to obtain a TIN if you have selected Reason C)

居留司法管轄區 Jurisdiction of Residence	稅務編號 TIN	如沒有提供稅務編號，請選取理由 A、B 或 C Please tick Reason A, B or C if no TIN is available	如選取理由C，解釋賬戶持有人不能取得稅務編號的原因 Explain why the account holder is unable to obtain a TIN if Reason C is selected
		○ A ○ B ○ C	
		○ A ○ B ○ C	

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）把該等資料和關於控權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，從而把資料轉交到控權人的居留司法管轄區的稅務當局。

I acknowledge and agree that (i) 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 (ii) such information and information regarding the controlling person 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 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).

本人證明，就與本表格所有相關的實體帳戶持有人所持有的帳戶，本人是控權人。

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，本人會通知鉅誠，並會在情況發生改變後 30 日內，向鉅誠提交一份已適當更新的自我證明表格。

I undertake to advise CSL 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 CSL with a suitably updated self-certification form within 30 days of such change in circumstances. CSL is authorized to contact anyone, including Customer's banks, brokers or any credit agency, for verifying the information provided on this Form.

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.

簽署 Signature: _____

簽署人名稱 Name: _____

身份 Capacity: 控權人 Controlling Person

簽署日期 Date (DD/MM/YYYY): _____

* 如你不是第 1 部所述的個人，說明你的身分。如果你是以受權人身分簽署這份表格，須夾附該授權書的核證副本。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.

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。

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).