

**Common Reporting Standard
Individual Self-Certification**

共同彙報標準
個人自行認證

To:
TAIPING SECURITIES (HK) CO., LIMITED
UNIT 3, 19/F, NO.18 KING WAH ROAD,
HONG KONG

致:
太平証券(香港)有限公司
香港京華道18號19樓3室

Name 姓名:	
Gender 性別:	
Identity Document Type and Number 身份證明文件類別及號碼:	
Current Residential Address 現時住址:	
Mailing Address (if different from the Current Residential Address) 通訊地址 (如與現時住址不同):	
Date of Birth 出生日期:	
Country of Tax Residence: 稅務居民所在地:	Taxpayer Identification Number or equivalent number (TIN) 稅務編號或同等編號: (For Hong Kong tax resident, the TIN is the Hong Kong Identity Card Number 就香港稅務居民而言, 稅務編號是香港身份證號碼) (Explanation is required if the TIN cannot be provided 如未能提供稅務編號, 請提供理由)
(1)	
(2)	
(3)	

1. I hereby confirm the information provided above is true, accurate and complete.
本人確認以上所提供的資料是真實、準確以及完整。
2. I understand that the information supplied by me is subject to Terms and Conditions for Securities Trading entered into by TAIPING SECURITIES (HK) CO., LIMITED (“**Taiping Securities**”) and the Account Holder.
本人明白，本人提供的資料是受太平証券(香港)有限公司（“**太平証券**”）與賬戶持有人簽訂的證券交易條款與細則所規範。
3. Subject to applicable local laws, I hereby consent for Taiping Securities to share the information contained in this form and information regarding the Account Holder and any Reportable Account(s) with domestic and overseas regulators or tax authorities where necessary for the purpose of automatic exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).
在不抵觸當地適用法律的情況下，本人同意太平証券可向國內及海外的監管機構或稅務機構提供本表格所載資料和關於賬戶持有人及任何須申報賬戶的資料根據《稅務條例》(第 112 章) 作自動交換財務賬戶資料用途。
4. Where required by domestic or overseas regulators or tax authorities, I consent and agree that Taiping Securities may withhold from my account(s) such amounts as may be required according to applicable laws, regulations and directives. I hereby expressly, unconditionally and irrevocably waive any claim I may have against Taiping Securities in the event of loss and shall indemnify Taiping Securities for any liability in connection with such withholding by Taiping Securities as required by domestic or overseas regulators or tax authorities.
因應國內或海外的監管機構或稅務機構需要，本人准許並同意太平証券可按適用的法律、法規和指令在本人賬戶中扣留相關所須的金額款項。本人謹此明確地、無條件地及不可撤銷地放棄本人因太平証券因應國內或海外的監管機構或稅務機構需要而在本人賬戶中扣留相關所須的金額款項所發生的損失的索賠權利，及本人須賠償予太平証券因此而引起的法律責任。
5. I undertake to notify Taiping Securities within 30 calendar days if there is a change in any information which I have provided to Taiping Securities. I hereby understand and agree to provide Taiping Securities additional documentary evidence to validate my tax residency when potential change in circumstances is noted by Taiping Securities during the course of relationship.
本人保證本人提供的任何資料如有變更，本人會於三十日內通知太平証券。本人明白並同意當太平証券注意到與吾等之業務關係中出現潛在的環境變化，本人會向太平証券提供額外的證明文件以證實本人的稅務居住所在地。

Signature of Account Holder 賬戶持有人名簽署:
Name of Account Holder 賬戶持有人名稱:
Date 日期:
Account Number 賬戶編號: (To be completed by Taiping Securities 由太平証券填寫)

Note 註:

- (1) In the case of joint account holders, each account holder is required to complete the form.
就聯名賬戶而言，每位賬戶持有人需各自填寫一份表格。
- (2) If signing under a power of attorney, attach a certified copy of the power of attorney.
如果你是以授權人身分簽署這份表格，須夾附該授權書的核證副本。

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

Annex 附錄 – Definitions 定義

<p>“Account Holder” 「賬戶持有人」</p>	<p>The person listed or identified as the holder of a financial account by the Financial Institution that maintains the account. 被維持該財務賬戶的財務機構列明為或識辨為賬戶的持有人的人士。</p>
<p>“Reportable Account” 「須申報賬戶」</p>	<p>A financial account that has been identified as such under the due diligence requirements in Schedule 17D of the Inland Revenue Ordinance (Cap. 112) and is held by at least one Reportable Person; or a passive NFE with at least one controlling person being a reportable person. 已根據稅務條例(第 112 章)附表 17D 的盡職審查規定，被識辨為須申報賬戶；及由至少一名申報對象持有；或有至少一名控權人是申報對象的被動非財務實體持有的財務賬戶。</p>
<p>“Reportable Jurisdiction” 「須申報稅務管轄區」</p>	<p>A territory outside Hong Kong that is specified in Column 1 of Part 1 of Schedule 17E of the Inland Revenue Ordinance (Cap. 112). 稅務條例(第 112 章)附表 17E 第 1 部第 1 欄所指明的、在香港以外的地區。</p>
<p>“Reportable Person” 「申報對象」</p>	<p>An individual or entity that is a resident for tax purposes of a reportable jurisdiction; or an estate of a decedent who was a resident for tax purposes of a reportable jurisdiction; but does not include: 屬某申報稅務管轄區的稅務居民的個人或實體；或 一名已去世的人的遺產，而該人在生前，屬某申報稅務管轄區的稅務居民；但不包括：</p> <ul style="list-style-type: none"> (a) a corporation the stock of which is regularly traded on an established securities markets; 本身的股票在具規模證券市場中被經常買賣的法團； (b) a corporation that is a related entity of a corporation mentioned in subparagraph (a); 屬第(a)節所述法團的有關連實體的法團； (c) a governmental entity; 政府實體； (d) an international organization; 國際組織； (e) a central bank; or 中央銀行；或 (f) a financial institution. 財務機構。
<p>“TIN” (including “functional equivalent”) 「稅務編號」(包括具有等同功能的識辨編號)</p>	<p>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/tax-identification-numbers/</p>

	<p>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/tax-identification-numbers。</p> <p>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”).</p> <p>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」)。</p> <p>Examples of that type of number include:</p> <p>此類號碼的例子包括：</p> <p>(a) (for individuals) a social security/insurance number, citizen/personal identification/service code/number, and resident registration number. 就個人而言，社會保障號碼 / 保險號碼、公民 / 個人身份 / 服務代碼 / 號碼，以及居民登記號碼。</p> <p>(b) (for Entities) a Business/company registration code/number. 就實體而言，商業 / 公司登記代碼 / 號碼。</p>
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