

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

Controlling Person Information 控權人資料

Name:

姓名: _____

A. Certification of Account Status 帳戶狀況證明

Please complete the following information for controlling person. Please note that each controlling person is required to complete a separate self-certification form.
請填寫以下有關控權人的資料，每名控權人須分別填寫自證明表格。

Important Notes:

重要提示:

- ✧ This is a self-certification form provided by an account holder to Mayfair & Ayers Financial Group Limited (“MAFG”) for the purpose of automatic exchange of financial account information. The data collected may be transmitted by MAFG to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
這是由帳戶持有人向峰滙金融集團有限公司(下稱“峰滙”)提供的自我證明表格，以作自動交換財務帳戶資料用途。峰滙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。
- ✧ An account holder should report all changes in its tax residency status to MAFG as soon as practicable.
如帳戶持有人的稅務居民身分或其他資料有所改變，應盡快將所有變更通知峰滙。
- ✧ All parts of the form must be completed (except for those not applicable or otherwise specified). If there is not enough space, you may provide your information on additional sheet(s). Information in fields/parts marked with an asterisk (*) are required to be reported by MAFG to the Inland Revenue Department.
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(*)的項目為峰滙向稅務局申報的資料。

Part 1. Identification of Controlling Person 控權人資料

Name*: 名稱*:	Chinese: 中文:	Gender: 性別:	Place of Birth: 出生日期*:		
	English/Pinyin: 英文/拼音:		(DD) (日)	(MM) (月)	(YY) (年)
Passport/ID Type and No.: 身份證明文件類別 及號碼:	Type: 類別: No.: 號碼:	Nationality: 國籍:	Place of Birth: 出生地點:		
Home Address*: 住宅地址*:	English: 中文:	Postal Code: 郵編:			
Correspondence Address (If different to above) 通訊地址: (若與上述不同)	English: 中文:	Postal Code: 郵編:			

Part 2. The Entity Account Holder(s) of which you are a controlling person 你作為控權人的實體帳戶持有人資料

Enter the name and Client No. of 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以及帳戶號碼。

Entity 實體	Name of the Entity Account Holder 實體帳戶持有人的名稱	Client No. of the Entity Account Holder 實體帳戶持有人的帳戶號碼
(1)		
(2)		
(3)		

III. Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”) *

Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”) *

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. Indicate **all** (not restricted to five) jurisdictions of residence.

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。

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:

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：

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

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 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 – 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。

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 – 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。

Jurisdiction of Residence 居留司法管轄區	TIN * 稅務編號*	Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號，填寫理由A、B或C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選取理由 B，解釋帳戶持有人不能取得稅務編號的原因	Add / Update 新增 / 更新
(1)				
(2)				
(3)				
(4)				
(5)				

Part 4. Type of Controlling Person 控權人類別

Tick the appropriate box(es) to indicate the type of controlling person for each entity stated in Part 2.

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

Type of Entity 實體類別	Type of Controlling Person 控權人類別	Entity 實體 (1)	Entity 實體 (2)	Entity 實體 (3)
Legal Person 法人	Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital) 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）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who exercises control/is entitled to exercise control through other means (i.e. not less than 25% of voting rights) 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）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who holds the position of senior managing official/ exercises ultimate control over the management of the entity 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	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trust 信託	Legal Person 財產授予人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Trustee 受託人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trust 信託	Protector 保護人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Beneficiary or member of the class of beneficiaries 受益人或某類別受益人的成員	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary) 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）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Legal Arrangement other than Trust 除信託以外的法律安排	Individual in a position equivalent/similar to settlor 處於相等/相類於財產授予人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to trustee 處於相等/相類於受託人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to protector 處於相等/相類於保護人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries 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	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (e.g. individual who exercises control over another entity being equivalent/similar to settlor/trustee/protector/beneficiary) 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）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

B. Declarations and Signatur 聲明及簽署

I acknowledge and agree that (i) the information contained in this form is collected and may be kept by MAFG 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 MAFG to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with 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).

本人知悉及同意，峰滙金融集團有限公司可根據《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。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，本人是控權人簽署本表格。本人承諾，如情況有所改變，以致影響本表格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，本人會通知峰滙金融集團有限公司，並會在情況發生改變後 30 日內，向峰滙金融集團有限公司提交一份已適當更新的自我證明表格。

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

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，如任何資料有任何變更，或如情況有所改變，以致影響本表格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，本人會通知峰滙金融集團有限公司，並會在情況發生改變後或資料變更後之 30 日內，向峰滙金融集團有限公司提交一份已適當更新的自我證明表格。

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。

Signature of controlling person

控權人簽署

Date (DD/MM/YYYY)

日期 (日/月/年)

Name of controlling person

控權人姓名

WARNING:

警告:

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).

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。

Please complete this self-certification form carefully. Please refer to the information on the website of Hong Kong Inland Revenue Department

http://www.ird.gov.hk/eng/tax/dta_aeoi.htm or the website of OECD <http://www.oecd.org/tax/automatic-exchange/> or US IRS website <http://www.irs.gov/> and consult your tax, legal and/or other professional advisers if you have any question on or in relation to AEOI, FATCA, any of the U.S. IRS form (including which U.S. IRS form to complete and submit) or this self-certification form.

請小心填寫本自我證明表格。如閣下對於自動交換財務帳戶資料(AEOI)、FATCA或任何美國國稅局表格(包括需填寫及遞交哪一份美國國稅局表格)或本自我證明表格有任何疑問，請查詢香港稅務局網站

http://www.ird.gov.hk/chi/tax/dta_aeoi.htm、OECD網站 <http://www.oecd.org/tax/automatic-exchange/> 或美國國家稅務局網站 (<http://www.irs.gov/>)及諮詢閣下之稅務、法律及/或其他專業顧問。

For Official Use Only

Signature Verified By:	Tax Residence	TIN	Add	Update
	1. _____	1. _____	1. <input type="checkbox"/>	<input type="checkbox"/>
	2. _____	2. _____	2. <input type="checkbox"/>	<input type="checkbox"/>
	3. _____	3. _____	3. <input type="checkbox"/>	<input type="checkbox"/>
	4. _____	4. _____	4. <input type="checkbox"/>	<input type="checkbox"/>
	5. _____	5. _____	5. <input type="checkbox"/>	<input type="checkbox"/>