

Self-Certification Form – Entity 自我證明表格 – 實體帳戶

Client Information 客戶資料

Client Name:

客戶名稱: _____

A. Certification of Account Status 帳戶狀況證明

Part I. Automatic Exchange of Financial Account Information 自動交換財務帳戶資料

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。
 - ✧ 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。

I. Entity Type * 實體類別*

Tick one of the appropriate boxes and provide the relevant information.

在其中一個適當的方格內加上✓號,並提供有關資料。

Financial Company 財務機構	<input type="checkbox"/> Custodial Institution, Depository Institution or Specified Insurance Company 託管機構、存款機構或指明保險公司 <input type="checkbox"/> Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity’s assets) and located in a non-participating jurisdiction 投資實體,但不包括由另一財務機構管理 例如:擁有酌情權管理投資實體的資產)並位於非參與稅務管轄區的投资實體
Active NFE 主動非財務實體	<input type="checkbox"/> NEF the stock of which is regularly trade on _____ which is an established securities market 該非財務實體的股票經常在_____ (一個具規模證券市場進行買賣) <input type="checkbox"/> Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market _____ 的有關連實體,該有關連實體的股票經常在_____ (一個具規模證券市場進行買賣) <input type="checkbox"/> NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities 政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體 <input type="checkbox"/> Active NFE other than the above (Please specify _____) 除上述以外的主動非財務實體 (請說明_____)
Passive NFE 被動非財務實體	<input type="checkbox"/> Investment entity that is managed by another financial institution and located in a non-participating jurisdiction 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 <input type="checkbox"/> NFE that is not an active NFE 不屬主動非財務實體的非財務實體

II. Controlling Persons (Complete this part if the entity account holder is a passive NFE)

控權人 (如實體帳戶持有人是被動非財務實體,填寫此部)*

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 Self-Certification Form – Controlling Person for each controlling person.

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表格(自我證明表格 - 控權人)。

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

III. 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」）* 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 2. Foreign Account Tax Compliance Act 美國外國帳戶稅務合規法案(FATCA)

<p>Disclaimer: 免責聲明</p> <p>◇ The account holder is advised to refer to the US IRS website (http://www.irs.gov/) for details in respect of FATCA. 帳戶持有人如要瞭解FATCA法案詳情，閣下可參閱美國國家稅務局網站 (http://www.irs.gov/) 資訊。</p> <p>◇ The account holder shall be fully responsible for the confirmation of his/her/its FATCA status and other information submitted hereunder. 帳戶持有人應對其確認的FATCA 身份及在本文件內提供的其他信息承擔全部責任。</p> <p>◇ The account holder shall ensure the information given and statements made in this form are true, correct and complete, MAFG shall not be liable for any errors or loss that results from such information and statements. 帳戶持有人應確保於本表格內所填報的所有資料和聲明真實、正確和完備。峰滙金融集團有限公司不對該等資料和聲明的任何錯誤或導致的任何損失承擔任何責任。</p> <p>◇ MAFG is unable to offer any tax or legal advice to the account holder. For any related question, the account holder is advised to consult his/her/its tax and legal advisors. 峰滙金融集團有限公司不能向帳戶持有人提供任何稅務及法律意見。如有相關疑問，請帳戶持有人聯絡其稅務及法律顧問。</p>

Which of the following statements best describes you? Please select only 1 of the followings from category A or B.

以下哪一項陳述最切合 貴公司的情况？請選擇以下 A 組或 B 組的其中一個選項。

<p>U.S. Entities 美國實體</p> <p>If you are incorporated, established, constituted or organized in the U.S., please complete and submit U.S. IRS Form W9. 如 貴公司於美國註冊成立、設立、構成或組成，請填寫並遞交美國國稅局表格 W9。</p>	<p>U.S. Entities 美國實體</p>
--	-------------------------------

<p>A. Financial Institution 金融機構 You are a financial institution, and 貴公司屬金融機構，及</p>	
<p><input type="checkbox"/> You are 貴公司屬</p> <p><input type="checkbox"/> Participating FFIⁱ 參與的外國金融機構</p> <p><input type="checkbox"/> Registered deemed-compliant FFIⁱⁱ 已註冊的視作合規外國金融機構</p> <p><input type="checkbox"/> Reporting Model 1 FFIⁱⁱⁱ 以版本一申報的外國金融機構</p> <p><input type="checkbox"/> Reporting Model 2 FFI^{iv} 以版本二申報的外國金融機構</p> <p><input type="checkbox"/> Global Intermediary Identification Number (GIIN):</p> <p><input type="checkbox"/> 全球中介人識別號碼為：</p> <p>_____</p>	<p>Participating FFI/ Reporting Model 1 FFI/ Reporting Model 2 FFI 參與的外國金融機構/ 以版本一申報的外國金融機構/ 以版本二申報的外國金融機構</p>
<p><input type="checkbox"/> You are a Non-Participating FFI. 貴公司屬非參與的外國金融機構。</p>	<p>Non-Participating FFI 非參與的外國金融機構</p>
<p><input type="checkbox"/> You are none of the above and please complete and submit the appropriate U.S. IRS Form W-8. 貴公司不符合上述任何一項在此情況下請填寫及遞交適當的美國國稅局表格 W-8。</p>	

B. Non-Financial Institution 非金融機構 You are NOT a financial institution and 貴公司屬非金融機構，及														
<input type="checkbox"/>	Active Business 有實質業務活動的機構 You derive at least 50% of your gross income (for the previous calendar year) from these business activities and not from passive income such as investments, dividends, interests, rents or royalties, and 貴公司至少 50% 總收入(以上一個曆年計)來自營業活動而非被動收入，例如：投資、股息、利息、租金或權利金，及 At least 50% of the weighted average percentage of assets held by you (tested quarterly, using fair market value or book value of assets as reflected in your balance sheet) produce or are held to produce income for these business activities 貴公司所持有之加權平均資產(每個季度於資產負債表依照資產的公允市價或帳面價值計算)至少有 50% 會產出或用以產出這些營業活動的收入	Active Non-Financial Foreign Entity 有實質業務活動的非金融外國實體												
<input type="checkbox"/>	Passive Investment 主要為被動投資收入的機構 You derive more than 50% of your gross income (for the previous calendar year) from income such as investments, dividends, interests, rents or royalties, and 貴公司超過 50% 總收入(以上一個曆年計)來自被動收入，例如：投資、股息、利息、租金或權利金，及 <input type="checkbox"/> You do not have substantial U.S. Owners who own at least 25% of your entity 貴公司並無屬於美國的主要股東(擁有 貴公司最少 25% 股權) <input type="checkbox"/> You have substantial U.S. Owners who own at least 25% of your entity, please fill up the following table 貴公司有屬於美國的主要股東(擁有 貴公司最少 25% 股權)，如此項適用請填妥以下表格	Passive Non-Financial Foreign Entity 主要為被動收入的非金融外國實體/ Passive Non-Financial Foreign Entity with US Controlling Persons 主要為被動收入的非金融外國實體而擁有美國股東												
<table border="1"> <thead> <tr> <th>Name 姓名</th> <th>Address 地址</th> <th>TIN 納稅人識別編號</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>		Name 姓名	Address 地址	TIN 納稅人識別編號										
Name 姓名	Address 地址	TIN 納稅人識別編號												
<input type="checkbox"/>	You are none of the above and please complete and submit the appropriate U.S. IRS Form W-8. 貴公司不符合上述任何一項，在此情況下請填寫及遞交適當之美國國稅局表格 W-8。													

B. Declarations and Signature 聲明及簽署

I/We acknowledge and agree that (a) 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 (b) such information and information regarding the account holder 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 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/吾等知悉及同意，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/We certify that I am/We are authorized to sign for the account holder of all the account(s) to which this form relates. I/We undertake to advise MAFG of any change in any information or any 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 MAFG with a suitably updated self-certification form within 30 days of such change in circumstances or information.

本人/吾等證明，就與本表格所有相關的帳戶，本人/吾等獲帳戶持有人授權簽署本表格。本人/吾等承諾，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/吾等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/We declare that the information given and statements made in this form are, to the best of my/our knowledge and belief, true, correct and complete.

本人/吾等聲明就本人/吾等所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

Authorized Signature and Business Chop

獲授人簽署及公司蓋章

Date (DD/MM/YYYY)

日期 (日/月/年)

Company Name

公司名稱

Authorized Signatory(ies)

獲授權簽署人姓名

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。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。

- i. Participating FFI is an FFI that has agreed to comply with the terms of an FFI agreement. The term participating FFI also includes a qualified intermediary (QI) branch of a U.S. financial institution, unless such branch is a reporting Model 1 FFI.

參與的外國金融機構指已同意遵守外國金融機構協議條款的外國金融機構。參與的外國金融機構一詞亦包括美國金融機構的合資格中介人分公司，但如該分公司屬以版本一申報的外國金融機構除外。

- ii. A Registered Deemed Compliant FFI (RDCFFI) means: (1) an FFI that is registering to confirm that it meets the requirements to be treated as a local FFI, non-reporting FI member of a PFFI group, qualified collective investment vehicle, restricted fund, qualified credit card issuer, or sponsored investment entity or controlled foreign corporation (see Treas. Reg. §1.1471-5(f)(1)(i) for more information about these categories), (2) a Reporting FI under a Model 1 IGA and that is registering to obtain a GIIN, or (3) an FFI that is treated as a Non-reporting FI under a Model 1 or 2 IGA and that is registering pursuant to the applicable Model 1 or 2 IGA.

已註冊的視作合規外國金融機構指：(1)正進行註冊以確認其符合要求可被視為本地外國金融機構、參與的外國金融機構集團的非申報金融機構成員、合資格集體投資公司、受限制基金、合資格信用卡發行人或保薦投資實體或受控制外國公司（有關上述組別的更多資料請參閱美國財政部規例第1.1471-5(f)(1)(i)條）；(2)版本一政府間協議下正進行註冊以獲取全球中介人識別號碼的申報金融機構或(3)被視為版本一或版本二政府間協議下的非申報金融機構並正按照適用的版本一或版本二政府間協議進行註冊的外國金融機構。

- iii. A Model 1 IGA means an agreement between the U.S. or the Treasury Department and a foreign government or one or more agencies to implement FATCA through reporting by FFIs to such foreign government or agency thereof, followed by automatic exchange of the reported information with the IRS. An FFI in a Model 1 IGA jurisdiction that performs account reporting to the jurisdiction's government is referred to as a Reporting Model 1 FFI.

版本一政府間協議指美國或美國財政部與外國政府或其一個或多個代理機構訂立的協議，透過由外國金融機構向該外國政府或其代理機構作出申報後繼而與美國國稅局自動交換申報資料而實行FATCA。版本一政府間協議司法管轄區內的外國金融機構如向該司法管轄區政府申報帳戶即稱為以版本一申報的外國金融機構。

- iv. A model 2 IGA means an agreement or arrangement between the U.S. or the Treasury Department and a foreign government or one or more agencies to implement FATCA through reporting by FFIs directly to the IRS in accordance with the requirements of an FFI agreement, supplemented by the exchange of information between such foreign government or agency thereof and the IRS. An FFI in a Model 2 IGA jurisdiction that has entered into an FFI agreement is a participating FFI, but may be referred to as a reporting Model 2 FFI.

版本二政府間協議指美國或美國財政部與外國政府或其一個或多個代理機構訂立的協議或安排，透過由外國金融機構按照外國金融機構協議的規定直接向美國國稅局作出申報而實行FATCA，並由該外國政府或其代理機構與美國國稅局交換資料而作出補充。版本二政府間協議司法管轄區內的外國金融機構如已訂立外國金融機構協議即屬參與外國金融機構，但可稱為以版本二申報的外國金融機構。

<i>For Official Use Only</i>					
<i>Signature Verified By:</i>	<i>Account Holder Type</i>	<i>Tax Residence</i>	<i>TIN</i>	<i>Add</i>	<i>Update</i>
	<input type="checkbox"/> CRS101 Passive Non-Financial Entity with – one or more controlling person that is a Reportable Person	1. _____ 2. _____	1. _____ 2. _____	1. <input type="checkbox"/> 2. <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>
	<input type="checkbox"/> CRS102 Reportable Person	3. _____	3. _____	3. <input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/> CRS103 Passive Non-Financial Entity that is a Reportable Person	4. _____ 5. _____	4. _____ 5. _____	4. <input type="checkbox"/> 5. <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>