

Please read the "Important Notes" on page 6 before complete this form. 填寫表格前請閱讀第6頁的「重要提示」。

(1) Identification of Controlling Person
控權人的身份識辨資料

Name of Controlling Person* (same as HKID card or Passport) 控權人的姓名* (必須與身份證或護照相同)

English 英文

	Surname	Given Name	
	姓	名	

Chinese 中文

*Title 稱謂: Mr 先生 Mrs 太太 Ms 女士 Miss 小姐

HKID card no. 香港身份證號碼 _____ or 或 _____

Passport no. 護照號碼 _____

Date of Birth* 出生日期* _____ D日 _____ M月 _____ Y年 _____

Place of Birth 出生地點 _____

(Not compulsory 可不填寫)

Current Residence Address* (P.O. Box Address is not accepted) 現時住址* (不接納郵箱地址)

Room/Flat 室	Floor 樓層	Block 座	Name of Building 大廈名稱
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Street No. 街/道號碼	Name of Street 街/道名稱	District 區/City 城市
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Hong Kong 香港 Kowloon 九龍 N.T. 新界 _____

Country 國家 _____ Post Code/Zip Code 郵政編碼/郵遞區號碼 _____

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

Room/Flat 室	Floor 樓層	Block 座	Name of Building 大廈名稱
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Street No. 街/道號碼	Name of Street 街/道名稱	District 區/City 城市
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Hong Kong 香港 Kowloon 九龍 N.T. 新界 _____

Country 國家 _____ Post Code/Zip Code 郵政編碼/郵遞區號碼 _____

(2) The Entity Account Holder(s) of which you are a controlling person
您作為控權人的公司/機構帳戶持有人

Enter the name of the entity account holder of which you are a controlling person. 填寫您作為控權人的公司/機構帳戶持有人的名稱

Entity 公司/機構	Name of the Entity Account Holder 公司/機構帳戶持有人的名稱	Contract No. 合約編號
(1)		
(2)		
(3)		



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

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」)*

(i) I hereby declare that, to the best of my knowledge and belief 以本人所知及所信，在此聲明：

(Please put a “✓” in the following box as appropriate. (如適用，請在下面的方格上填上「✓」。))

My Tax Residence is 本人之稅務居住地為

- Hong Kong ONLY, with no tax residence in any other jurisdictions or countries (and my HKID number is my TIN)
只有香港，及沒有處於任何其他司法管轄區或國家的稅務居住地(而我的香港身份證號碼是我的稅務編號)
(You may skip (ii).您可略過(ii)部份。)

If the box above does not apply, please proceed to (ii) which must be filled in. 如果上面的方格不適用，請填寫 (ii) 部份。

(ii) Please indicate (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 five) jurisdictions of residence. 請列明(a)控權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控權人的稅務編號。列出所有(不限於5個)居留司法管轄區。

If the controlling person is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. 如控權人是香港稅務居民，稅務編號是其香港身份證號碼。

If a TIN is unavailable, provide the appropriate reason A, B or C: 如沒有提供稅務編號，必須填寫合適的理由：

Reason 理由

- A** – The jurisdiction where the controlling person is a resident for tax purposes does not issue TINs to its residents.
控權人的居留司法稅務管轄區並沒有向其居民發出稅務編號。
- B** – The controlling person is unable to obtain a TIN. Explain why the controlling person is unable to obtain a TIN if you have selected this reason.
控權人不能取得稅務編號。如選取這一理由，解釋控權人不能取得稅務編號的原因。
- 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.
控權人毋須提供稅務編號。居留司法管轄區的主管機關不需要控權人披露稅務編號。

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 controlling person is unable to obtain a TIN if you have selected Reason B 如選擇理由 B，解釋控權人不能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			
(5)			

(iii) If you are not a tax resident in the Jurisdiction of Current Residence Address or Mailing Address (i.e. _____), please select one of the following reasons as applicable.

如果您不是現時住址或通訊地址的居留司法管轄區居民(即：_____)，請根據情況選擇以下一個原因。

- I am a student at an educational institution in the jurisdiction where I currently reside and hold the appropriate visa; or
本人是一名學生，就讀於目前居留司法管轄區內的教育機構，並持有相關的有效簽證；或
- I am a teacher, a trainee, or intern at an educational institution or a participant in an educational or cultural exchange visitor program in the jurisdiction where I currently reside, and hold the appropriate visa; or
本人是一名在目前居留司法管轄區的教師、培訓人員、實習生、或教育或文化交流訪問計劃的參加者，並持有相關的有效簽證；或
- I am a foreign individual assigned to a diplomatic post or a position in a consulate or embassy in the jurisdiction where I currently reside; or
本人是一名外國人，並被派駐目前居留司法管轄區之外交崗位或在目前居留司法管轄區的領事館或大使館擔任職位；或
- I am an employee working on a vessel, truck or train travelling between the jurisdiction where I currently reside and other jurisdictions.
本人是一名來往目前居留司法管轄區及其他居留司法管轄區之間行駛途中的船隻、卡車或火車上的僱員。
- The aforementioned reasonable explanation is NOT applicable to me and I therefore provide the following reasonable explanation to support my jurisdiction of tax residence:
上述合理解釋皆不適用，因此本人提供下列合理解釋以支持本人的稅務居住地區：

(4) Type of Controlling Person
控權人類別

Tick the appropriate box to indicate the type of controlling person for each entity stated in Part 2.
就第 2 部所載的每間公司/機構，在適當方格內加上✓號，指出控權人就每個公司/機構所屬的控權人類別。

Type of Entity 公司/機構類別	Type of Controlling Person* 控權人類別*	Entity 公司/機構 (1)	Entity 公司/機構 (2)	Entity 公司/機構 (3)
Legal Person 法人	Individual who has a controlling ownership interest (i.e. more than the specified percentage [^] of issued share capital/capital/profits) 擁有控制股權的個人 (即擁有超過指明百分率 [^] 的已發行股本/資本/利潤)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who exercises control/is entitled to exercise control through other means (i.e. more than the specified percentage [^] of voting rights) 以其他途徑行使控制權或有權行使控制權的個人 (即有權行使超過指明百分率 [^] 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 擔任該公司/機構的高級管理人員/對該公司/機構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	Settlor 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"/>
	Protector or enforcer 保護人或執行人	<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 or enforcer/beneficiary) 其他 (例如：如財產授予人/受託人/保護人或執行人/受益人為另一公司/機構，對該公司/機構行使控制權的個人)	<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 or enforcer 處於相等/相類於保護人或執行人位置的個人	<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 or enforcer/beneficiary) 其他 (例如：如處於相等/相類於財產授予人/受託人/保護人或執行人/受益人位置的人為另一公司/機構，對該公司/機構行使控制權的個人)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

[^]With effect from 1 January 2021, the specified percentage is: 25% in relation to a corporation; and 0% in relation to a partnership.

[^]自2021年1月1日起，就法團而言，指明百分率是25%；就合夥而言，指明百分率是0%。

(5) Personal Information Collection Statement 個人資料收集說明書

The provision of information and other personal data by you is on a voluntary basis. However, failure to provide us with the information and other personal data as requested may result in your application/instruction not being able to be processed. The information and other personal data provided by you will only be accessed and handled by Principal Trust Company (Asia) Limited ("the Trustee and Administrator") and its affiliate(s), Principal Insurance Company (Hong Kong) Limited ("the Sponsor"), AXA China Region Insurance Company Limited and its subsidiary intermediary ("the Intermediary") and the relevant persons stated herein below.

The information and other personal data collected from you from time to time will be used for the purposes of: (1) processing your application for participation under Principal MPF – Smart Plan / Simple Plan ("the Scheme"); (2) administering and managing your contributions and accrued benefits under the Scheme; (3) carrying out your instructions or responding to any enquiries given or purporting to be given by you or on your behalf; (4) direct marketing of mandatory provident fund ("MPF"), retirement schemes, MPF and retirement schemes related services and products of Principal Trust Company (Asia) Limited and its member company(ies); (5) providing MPF and retirement schemes related services; (6) maintaining statistical data and providing a database for product and market research; (7) compliance with applicable laws, regulations, guidelines or guidance given or issued by any legal, regulatory, governmental, tax, law enforcement or other authorities, or self-regulatory or industry bodies or associations of financial services providers within or outside the Hong Kong Special Administrative Region ("Hong Kong"), including but not limited to the Foreign Account Tax Compliance Act and the Common Reporting Standard; and (8) any other purposes relating or incidental to the above.

Furthermore, for the purpose of automatic exchange of financial account information, such information and information regarding the account holder and any reportable account(s) may be reported by the Trustee and its member company(ies) to the Inland Revenue Department of the Government of Hong Kong ("IRD") 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 of the Laws of Hong Kong). You shall advise us of any change in circumstances which affects the tax residency status of the account holder, and to provide us with a suitably updated self-certification form within 30 days of such change in circumstances.

You may visit the IRD website that sets out information relating to the implementation of automatic exchange of financial account information in Hong Kong: http://www.ird.gov.hk/eng/tax/dta_aeoi.htm.

Your personal data (name, contact details and account records) may be used for direct marketing of MPF products, retirement schemes, MPF and retirement schemes related services and products of the Trustee and its member company(ies) only with your consent.

Your personal data may be transferred/disclosed to the following parties (whether within or outside Hong Kong) for any of the purposes stated above: (1) any agent, contractor, third party service provider, or any company(ies) within the same group of companies to which the Trustee belongs which provides administrative, telecommunications, computer, data processing or storage, marketing, professional or other services to the Trustee in connection with their business operations; (2) any person to whom the Trustee is under an obligation to make disclosure under the requirements of any laws and regulations binding on the Trustee or any of its member company(ies) or under and for the purposes of any guidelines issued by regulatory, tax or other authorities with which the Trustee or its member companies are expected to comply; and (3) any actual or proposed assignee of the Trustee or participant or sub-participant or transferee of the rights of the Trustee in respect of you.

Under the Personal Data (Privacy) Ordinance (Cap.486 of the Laws of Hong Kong), you have a right to request access to and correction of any of your personal information held by the Companies and to request not to use your personal data for direct marketing purpose as stated above. The aforesaid requests can be made in writing to: Data Protection Officer, Principal Trust Company (Asia) Limited, 30/F, Millennium City 6, 392 Kwun Tong Road, Kwun Tong, Kowloon, Hong Kong. If you have any questions or wish to know more about our privacy policy, please send your enquiry to the above address or contact us at (852) 2802 2812 / 2885 8011.

閣下提供的資料及其他個人資料純屬自願性質。然而，如未能提供所需資料及其他個人資料，可能導致閣下的申請/指示不獲處理。信安信託(亞洲)有限公司(「受託人及管理人」)及其相關聯公司、美國信安保險有限公司(「保薦人」)、安盛金融有限公司及其附屬中介人(「中介人」)及以下所指的相關人士/機構使用及處理。

向閣下所收集的資料及其他個人資料將會用作下列用途：(1) 處理閣下參與信安強積金-明智之選/易富之選(「該計劃」)的申請；(2) 處理及管理閣下於該計劃的供款及累算權益；(3) 執行閣下的指示或答覆閣下或閣下代表的查詢；(4) 直接促銷信安信託(亞洲)有限公司及其成員公司的強制性公積金(「強積金」)產品、退休計劃、強積金及退休計劃的相關服務及產品；(5) 提供強積金及退休計劃的相關服務；(6) 維持統計數據及用作產品及市場研究資料庫；(7) 遵守有關不論於香港特別行政區境內或境外的任何法律、監管、政府、稅務、執法或其他機關，或金融服務供應商的自律監管或行業組織或協會作出或發出的任何適用的法律、規則、指引或指導，包括但不限於《外國帳戶稅務合規法案》及共同匯報標準；及(8) 用作與任何上述有關的用途。

除上述以外，受託人及其成員公司可根據<稅務條例>(香港法例第112章)有關交換財務帳戶資料的法律條文，及作自動交換財務帳戶資料用途，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(「稅務局」)申報，從而把資料轉交到帳戶持有人的稅務管轄區的稅務當局。如情況有所改變，以致影響帳戶持有人的稅務居民身分，閣下會通知本公司，並會在情況發生改變後30日內，向本公司提交一份已適當更新的自我證明表格。

閣下可參閱稅務局網站 http://www.ird.gov.hk/chi/tax/dta_aeoi.htm 以了解香港實施自動交換財務帳戶資料的詳情。

只有在閣下的同意下，閣下的個人資料(姓名、聯絡資料和戶口記錄)或會用於直接促銷本公司及其成員公司的強制性公積金的產品、退休計劃、強積金相關的服務和產品。

閣下的個人資料可能轉移/披露予以下的人士(不論在香港特別行政區內外)作為上述所載的任何用途：(1) 在業務上向受託人提供行政、電訊、電腦、數據處理或儲存、市場推廣、專業或其他任何服務的代理、承包商、第三方服務供應商或本公司所屬公司集團旗下的任何公司；(2) 就受託人或其成員公司所需遵守的法律及規則要求，或按監管機構、稅務或其他主管機構要求受託人或其成員公司需遵守的指引，受託人因而有責任要向其披露的任何人士；及(3) 允許任何受託人的實際或建議承讓人或受託人所持客戶權益的分享者、再分享者、受讓人擁有有關客戶資料的權利。

根據個人資料(私隱)條例(香港法例第486章)，閣下有權要求查閱及更正該公司所持有閣下的個人資料及要求閣下的個人資料不被用作上述的直接促銷用途。上述要求可以書面形式通知保障資料主任，信安信託(亞洲)有限公司，香港九龍觀塘觀塘道392號創紀之城6期30樓，閣下如有任何疑問或欲進一步了解本公司的私隱政策，請致函到上述地址或致電(852) 2802 2812 / 2885 8011與本公司聯絡。

(6) Declarations and Signature

聲明及簽署

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by Principal Trust Company (Asia) Limited for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the controlling person and any reportable account(s) may be reported by Principal Trust Company (Asia) Limited 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).

To certify that:

- I am the controlling person to sign for the controlling person of all the account(s) held by the entity account holder(s) to which this form relates.
- I am the Employer / Employer's Duly Authorized Person to sign for the controlling person of all the account(s) held by the entity account holder(s) to which this form relates.

I undertake to advise Principal Trust Company (Asia) Limited any of 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 Principal Trust Company (Asia) Limited with a suitably updated self-certification form within 30 days of such change in circumstances.

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.

本人知悉及同意，信安信託(亞洲)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。

就此證明:

- 與本表格所有相關的公司/機構帳戶持有人所持有的帳戶，本人是控權人簽署本表格。
- 與本表格所有相關的公司/機構帳戶持有人所持有的帳戶，由僱主/僱主授權代表簽署本表格。

本人承諾，如情況有所改變，以致影響本表格第1部所述的個人的稅務居民身份，或引致本表格所載的資料不正確，本人會通知信安信託(亞洲)有限公司，並會在情況發生改變後30日內，向信安信託(亞洲)有限公司提交一份已適當更新的自我證明表格。

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。

X

Signature of Controlling Person
控權人簽署

Name姓名

Date (dd/mm/yyyy) 日期(日/月/年)

X

Signature of Employer#
僱主簽署#

Name姓名

Date (dd/mm/yyyy) 日期(日/月/年)

OR
或

This form must be signed by: (a) if the Employer is a Corporation, a director, the company secretary or such other *duly authorized person of such Corporation; (b) if the Employer is a Sole Proprietorship, the Sole Proprietor; or (c) if the Employer is a Partnership, any one of its partners. The signer/authorized officer shall provide his/her HKID/Passport copy, which shall be certified as true copy by a MPF Intermediary, an accounting professional, an estate agent, a legal professional or a Trust or Company Service Provider licensee.

If signing by the employer under a power of attorney, attach a certified copy of the power of attorney.

此申請表格或同意書必須由以下人士簽署：(甲)倘僱主為法團公司，該公司董事、公司秘書或*經公司正式授權人士；(乙)倘僱主為獨資經營，該獨資經營者；或(丙)倘僱主為合夥，任何一位合夥人。簽署人/授權代表須提供香港身份證/護照副本，而該文件須經由強積金中介人、會計專業人士、地產代理、法律專業人士或信託或公司服務持牌人核實為真實副本。

如果僱主是以授權人身份簽署這份表格，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。

Trustee & Administrator : Principal Trust Company (Asia) Limited 受託人及管理人：信安信託(亞洲)有限公司

Sponsor : Principal Insurance Company (Hong Kong) Limited 保薦人：美國信安保險有限公司

30/F, Millennium City 6, 392 Kwun Tong Road, Kwun Tong, Kowloon, Hong Kong 香港九龍觀塘觀塘道392號創紀之城6期30樓

Customer Service Hotline 客戶服務熱線: (852)2802 2812 / (852) 2885 8011 Employer Hotline 僱主專線: (852)2519 1188 Fax 傳真: (852)2827 1707 Website 網址: www.principal.com.hk

Important Notes 重要提示：

To comply with the Organisation for Economic Cooperation and Development (“OECD”) Common Reporting Standard (“CRS”) set out in the Inland Revenue (Amendment) (No. 3) Ordinance 2016 and Inland Revenue (Amendment) (No.2) Ordinance 2019 which are effective starting 30 June 2016 and 1 March 2019 respectively, this certificate is to be used by controlling person of entity account holder to declare the jurisdiction of tax residence and provide the related information.

為配合在 2016 年 6 月 30 日刊憲並生效的《2016 年稅務(修訂)(第 3 號)條例》及在 2019 年 3 月 1 日刊憲並生效的《2019 年稅務(修訂)(第 2 號)條例》中的經濟合作與發展組織 (“OECD”) 共同匯報標準 (“CRS”) 的實施要求，本聲明適用於公司/機構帳戶持有人的控權人申報其稅務居民身份及提供若干所需資料。

This is a self-certification form provided by a Controlling Person to Principal Trust Company (Asia) Limited for the purpose of automatic exchange of financial account information. The data collected may be transmitted by Principal Trust Company (Asia) Limited to the Inland Revenue Department (“IRD”) for transfer to the tax authority of another jurisdiction. A Controlling Person should report all changes in its tax residency status to Principal Trust Company (Asia) Limited.

這是由控權人向信安信託(亞洲)有限公司提供的自我證明表格，以作自動交換財務帳戶資料用途。信安信託(亞洲)有限公司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。如控權人的稅務居民身份有所改變，應盡快將所有變更通知信安信託(亞洲)有限公司。

As a financial institution, Principal Trust Company (Asia) Limited is not allowed to give tax or legal advice. If you have any questions regarding your tax residency, please consult your tax adviser or visit the OECD and IRD’s Automatic Exchange of Financial Account Information (“AEOI”) website at <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/> and http://www.ird.gov.hk/eng/tax/dta_aeoi.htm respectively, or simply scan the QR code, for more CRS and related information.

作為財務機構，信安信託(亞洲)有限公司不獲允許提供稅務或法律意見。若您對您的稅務居民身份存有任何疑問，請詢問專業稅務顧問或瀏覽 OECD (<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>) 及稅務局 (http://www.ird.gov.hk/eng/tax/dta_aeoi.htm) 有關自動交換財務帳戶資料的網頁，或掃描此二維碼，以獲取更多共同匯報標準及相關資料。



(OECD 經濟合作與發展組織)



(IRD 稅務局)

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 the reporting financial institution to the IRD.

除不適用或特別註明外，必須填寫這份表格所有部份。如這份表格上的空位不夠應用，可另紙填寫。在有星號 (*) 的項目為申報財務機構須向稅務局申報的資料。

Guidelines on completing the Individual / Controlling Person Self-certification Form 個人 / 控權人自我證明表格填寫指引

1. Each Employee and sole proprietor must complete the Self-certification Form - Individual.
每名僱員及獨資經營者必須填寫「自我證明表格 — 個人」。
2. If the entity account holder is a passive NFE must complete Self-certification Form – Controlling Person. For more than one Controlling Person, each Controlling Person must complete a separate Self-certification Form – Controlling Person.
如公司/機構帳戶持有人是被动非財務實體必須填寫「自我證明表格 — 控權人」。多於一個控權人，則每名控權人必須分別填寫一份「自我證明表格 — 控權人」。
3. All parts of the Self-certification Form - Individual and Self-certification Form - Controlling Person must be completed (unless not applicable or otherwise specified).
除不適用或特別註明外，必須填寫「自我證明表格 — 個人」及「自我證明表格 — 控權人」的所有部分。
4. The following information may be reported to the relevant tax authority if you are a reportable person:
如您是須申報人士，以下資料將可能被申報給相關稅務機關：
 - Name of Account Holder / Controlling Person;
帳戶持有人 / 控權人姓名;
 - Current Residence Address;
住宅地址;
 - Mailing Address;
通訊地址;
 - Date of birth;
出生日期;
 - Place of birth;
出生地點;
 - Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”); and
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」); 及
 - Type of Controlling Person (applicable for Controlling Person only).
控權人類別 (只適用於控權人)。
5. The Account Holder / Controlling Person is required to provide all of his/ her jurisdiction(s) of residence for tax purposes and the respective TIN(s). If a TIN is unavailable, the Account Holder / Controlling Person must provide an appropriate reason (i.e., Reason A, Reason B, or Reason C) as specified in Part 2 Section 2 of Self-certification Form - Individual or Part 3 Section 2 of Self-certification Form - Controlling Person.
帳戶持有人 / 控權人必須提供其所有居留司法稅務管轄區以及其稅務編號。如沒有提供稅務編號，帳戶持有人 / 控權人必須於「自我證明表格 — 個人」第2部第2節或「自我證明表格 — 控權人」第3部第2節中填寫合適的理由 (即理由A、理由B或理由C)。
6. If the Account Holder / Controlling Person is not a tax resident in the jurisdiction of Current Residence Address or Mailing Address, the Account Holder / Controlling Person must provide a reasonable explanation in Part 2 Section 3 of Self-certification Form - Individual or Part 3 Section 3 of Self-certification Form - Controlling Person.
如帳戶持有人 / 控權人不是住宅地址或通訊地址的稅務管轄區居民，帳戶持有人 / 控權人必須於「自我證明表格 — 個人」第2部第3節或「自我證明表格 — 控權人」第3部第3節中填寫合理解釋。
7. If the Self-certification Form – Individual or Self-certification Form - Controlling Person is not signed by the Account Holder / Controlling Person but under the power of attorney, it should be signed by the Employer and attach a certified copy of the power of attorney.
如「自我證明表格 — 個人」或「自我證明表格 — 控權人」是由受權人簽署而非由帳戶持有人 / 控權人簽署，該表格須由僱主簽署及夾附授權書的核證副本。

1. “Control” 「控權」

“Control” over an Entity is generally exercised by the natural person(s) who ultimately has a controlling ownership interest (typically on the basis of more than a certain percentage (e.g. 25%)) in the Entity. Where no natural person(s) exercises control through ownership interests, the Controlling Person(s) of the Entity will be the natural person(s) who exercises control of the Entity through other means. Where no natural person(s) is/are identified as exercising control of the Entity through ownership interests, the Controlling Person of the Entity is deemed to be the natural person who holds the position of senior managing official or exercises ultimate control over the management of the Entity.

自然人對某實體的「控權」，通常透過其在實體的控制擁有權權益（一般指超過某個百分比（例如：25%）為基準）行使。如沒有自然人透過擁有權權益行使控制，該實體的控權人將會是透過其他方式對該實體行使控制的自然人；如沒有自然人識辨為透過擁有權權益對某實體行使控制，該實體的控權人將會設定為處於高級行政人員位置或對該實體的管理行使最終控制權的自然人。

2. “Controlling Person” 「控權人」

“Controlling Persons” are the natural person(s) who exercise control over an Entity. In the case of a partnership, the Controlling Person(s) are all individuals who exercise control over a partnership, regardless of the stake held in terms of capital/profits/voting rights of/in that partnership. In the case of a trust, the Controlling Person(s) are the settlor(s), the trustee(s), the protector(s) or enforcer(s) (if any), the beneficiary(ies) or class(es) of beneficiaries, or any other natural person(s) exercising ultimate effective control over the trust (including through a chain of control or ownership). The settlor(s), the trustee(s), the protector(s) or enforcer(s) (if any), and the beneficiary(ies) or class(es) of beneficiaries, must always be treated as Controlling Persons of a trust, regardless of whether or not any of them exercises control over the activities of the trust.

「控權人」指對該實體行使控制權的自然人。就合夥人而言，「控權人」指所有對某合夥行使控制權的個人，不論其有權享有或控制該合夥資本/利潤/表決權的程度。就信託而言，「控權人」指屬該信託的財產授予人、受託人、保護人或執行人（如有的話）、受益人或某類別受益人的成員的個人；或任何自然人對該信託的管理行使最終控制權（包括透過一連串的控制或擁有權）。財產授予人、受託人、保護人或執行人（如有的話）、受益人或某類別受益人的成員的個人會被視為信託的「控權人」，不論該等人士是否對該信託的活動行使控制權。

Where the settlor, trustee, protector or enforcer, or beneficiary of a trust are themselves Entities then the Controlling Persons of the settlor, trustee, protector or enforcer, or beneficiary must be treated as Controlling Persons of the trust.

如財產授予人、受託人、保護人或執行人、或受益人為實體，財產授予人、受託人、保護人或執行人、或受益人的「控權人」會被視為信託的「控權人」。

In the case of a legal arrangement other than a trust, “Controlling Person(s) means persons in equivalent or similar positions to those of a trust.

就並非信託的法律安排，「控權人」指相等於或處於一個相類於信託的人士。

3. “Financial Institution” 「財務機構」

The term “Financial Institution” means a “Custodial Institution”, a “Depository Institution”, an “Investment Entity”, or a “Specified Insurance Company”.

「財務機構」一詞指「託管機構」、「存款機構」、「投資實體」或「指明保險公司」。

4. “Resident for tax purposes” 「稅務居民」

In general, whether or not an individual is a tax resident of a jurisdiction is determined by having regard to the person's physical presence or stay in a place (e.g. whether over 183 days within a tax year). For additional information on tax residence, please talk to your tax adviser or refer to the OECD Automatic Exchange Portal at the following link: <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>

一般而言，要斷定某人是否屬一個稅務管轄區的稅務居民，會根據該人身處之地或逗留於該地的時間（例如一個課稅年度超過183天）。有關稅務居民身份的更多資訊，請聯絡閣下的稅務顧問或瀏覽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/>

5. “TIN” 「稅務編號」

The term “TIN” means 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/>

「稅務編號」一詞指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/>

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”). Examples of that type of number include –

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」）。此類號碼的例子包括：

- (a) (for individuals) a social security/insurance number, citizen/personal identification/service code/number, and resident registration number.
就個人而言，社會安全號碼/保險號碼、公民/個人身份/服務代碼/號碼，以及居民登記號碼。
- (b) (for Entities) a business/company registration code/number
就實體而言，商業/公司登記代碼/號碼。