



ASA Securities Limited 富國證券有限公司
Tax Residency Common Reporting Standard ("CRS") –Self-Certification Form (Individual)
稅務居民共同匯報標準(「CRS」)-自我證明表格 (個人)

To help protect the integrity of tax systems, governments around the world are introducing a new information gathering and reporting requirement for financial institutions. This is known as the Common Reporting Standard (the "CRS"). Under the CRS, we are required to determine where you are a "tax resident" (this will usually be where you are liable to pay corporate income taxes). If you are a tax resident outside the jurisdiction where your account is held, we may need to give the national tax authority this information, along with information relating to your accounts. That may then be shared between different jurisdictions' tax authorities.

為維護稅制完整，全球各地政府現正推出適用於金融/財務機構的資料收集及匯報新規例，名為共同匯報標準（簡稱「CRS」）。根據 CRS 規定，我們必須確定客戶的「稅務居住地」（這通常是您有義務繳納利得稅的國家/地區）。若您的稅務居住地有別於所持賬戶的司法管轄區，我們可能需要將此情況及您的有關賬戶資料告知國家稅務機關，該等機關隨後或會將相關資料傳送給不同國家/地區的稅務機關。

Kindly complete this Self-Certification Form in **ENGLISH** and fill in **BLOCK LETTERS**. If your circumstances change and any of the information provided in this form becomes incorrect, please let us know immediately and provide an updated self-certification.

請用**英文正楷**填寫此聲明書。如您的情況有變，導致本表格內的任何資料不再正確，請立即告知我們，並提交一份已更新的自我證明表格。

Even if you have already provided information in relation to the United States Government's Foreign Account Tax Compliance Act ("FATCA"), you may still need to provide additional information for the CRS as this is a separate regulation. If you have any question in relation to CRS or about how to complete this form, you should consult independent tax, legal and/or other professional advisers. 即使您已就美國政府《外國賬戶稅務合規法案》（簡稱「FATCA」）提供所需的資料，您仍可能需就 CRS 提供額外資料，因為兩者為獨立的規例。如您對 CRS 或填寫此聲明書有任何問題，請諮詢獨立稅務、法律及/或其他專業顧問。

Client Name 客戶名稱	Account Number 帳戶號碼
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Important Notes 重要提示:

This is a self-certification form provided by an account holder to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.

這是由帳戶持有人向申報財務機構提供的自我證明表格，以作自動交換財務帳戶資料用途。申報財務機構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 his/her tax residency status to the reporting financial institution.

如帳戶持有人的稅務居民身分有所改變，應盡快將所有變更通知申報財務機構。

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 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（*）的項目為申報財務機構須向稅務局申報的資料。

Part 1 - Identification of Individual Account Holder 第一部 - 個人帳戶持有人的身分識別資料

- Name of Account Holder 帳戶持有人的姓名 *
- Hong Kong Identity Card or Passport Number 香港身份證或護照號碼 *
- Place of Birth 出生地點 *
- Date of birth (MM-DD-YYYY) 出生日期(月-日-年) *
- Country of Citizenship (do not abbreviate) 國籍 (請勿縮寫) *
- Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address. 永久居住地址 (街道，門牌號) 請勿填寫郵政信箱或代收地址*
- Mailing address (if different from above) 通訊地址 (若與上述地址不同)
- U.S. taxpayer identification number (SSN or TIN) (if any) 美國稅籍編號(SSN或TIN) (如有)
- Foreign tax identifying number (if any) 外國稅籍編號 (如有)

Part 2 - Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") *

第二部 - 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」) *

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 indicated. 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.
 如帳戶持有人的稅務管轄區是香港，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 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

Part 3 - Declarations and Signature 第三部 - 聲明及簽署

- I acknowledge and agree that (a) 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 (b) such information and information regarding the account holder 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 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). I certify that I am the account holder / I am authorized to sign for the account holder # of all the account(s) to which this form relates.
- I certify that I am the account holder to which this form relates.
- I undertake to advise **ASA Securities Limited** 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 **ASA Securities 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，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。
- 本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人簽署本表格。
- 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分，或引致本表格所載的資料不正確，本人會通知**富國證券有限公司**，並會在情況發生改變後 30 日內，向**富國證券有限公司**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。

Customer Name 客戶名稱	ID / Passport no. 身份證 / 護照號碼
Account No. 賬戶號碼	Date 日期
Customer Signature 客戶簽署	

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。