

自我證明表格 – 控權人 Self-Certification Form - Controlling Person
(適用於自動交換財務賬戶資料 (AEOI))
(Applicable to Automatic Exchange of Financial Account Information (AEOI))

賬戶資料 Account Data

賬戶名稱 _____ 賬戶號碼 _____
 Account Name _____ Account Number _____

賬戶狀況證明 Certification of Account Status

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

重要提示 Important Notes:

- 這是由控權人向中信期貨國際有限公司（以下簡稱「中信期貨國際」）提供的自我證明表格，以作自動交換財務賬戶資料用途。中信期貨國際可把收集所得的資料交給香港稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。 This is a self-certification form provided by a controlling person to CITIC Futures International Company Limited ("CFI") for the purpose of automatic exchange of financial account information. The data collected may be transmitted by CFI to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- 如控權人的稅務居民身份或其他資料有所改變，應盡快將所有變更通知中信期貨國際。 A controlling person should report all changes in his/her tax residency status to CFI as soon as practicable.
- 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，可另附紙填寫。在欄/部標有星號 (*) 的項目為中信期貨國際須向稅務局申報的資料。 All parts of this form must be completed (except for those not applicable or otherwise specified). Information in fields/parts marked with an asterisk (*) are required to be reported by CFI to the Inland Revenue Department.

第一部份 控權人資料 Part 1 Identification of Controlling Person

名稱 Name *:	中文 Chinese:	性別 Gender:	出生日期 Date of Birth*:
	英文/拼音 English/Pinyin:		(年YY) (月MM) (日DD)
身份證明文件 類別及號碼 Passport/ID Type and No.:	類別 Type:	國籍 Nationality:	出生地點 Place of Birth:
	號碼 Number:		
現時住宅地址 Current Residence/Home Address *:	中文 Chinese:		郵編 Postal Code:
	英文 English:		郵編 Postal Code:
通訊地址 Mailing/ Correspondence Address:	中文 Chinese:		郵編 Postal Code:
	英文 English:		郵編 Postal Code:

第二部份 你作為控權人的實體賬戶持有人資料
Part 2 The Entity Account Holder(s) of which you are a controlling person

填寫你作為控權人的實體賬戶持有人的名稱以及賬戶號碼。 Enter the name and Client Number of the entity account holder of which you are a controlling person.

實體 Entity	實體賬戶持有人的名稱 Name of the Entity Account Holder	實體賬戶持有人的賬戶號碼 Client Number of the Entity Account Holder
(1)		
(2)		
(3)		

第三部份 居留司法管轄區及稅務編號或具有等同功能的識辨編號(以下簡稱「稅務編號」)*
Part 3 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") *

提供以下資料，列明 (i) 控權人的居留司法管轄區，亦即控權人的稅務管轄區（香港包括在內）及 (ii) 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。 Complete the following table indicating (i) the jurisdiction of residence (including Hong Kong) where the controlling person is a residence for tax purposes and (ii) the controlling person's TIN for each jurisdiction. Indicate all (not restricted to five) jurisdictions of residence.

如控權人是香港稅務居民，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： If the controlling person 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:

理由 A Reason A - 控權人的居留司法管轄區並沒有向其居民發出稅務編號。 The jurisdiction where the controlling person is a resident for tax purposes does not issue TINs to its residents.

理由 B Reason B - 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。 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.

理由 C Reason C - 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。 TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

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

第四部份 控權人類別 Part 4 Type of Controlling Person

就第二部所載的每個實體，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。 Tick the appropriate box(es) to indicate the type of controlling person for each entity stated in Part 2.

實體類別 Type of Entity	控權人類別 Type of Controlling Person	實體 Entity (1)	實體 Entity (2)	實體 Entity (3)
法人 Legal Person	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） Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

聲明及簽署 Declaration and Signature

本人知悉及同意，中信期貨國際可根據《稅務條例》（第 112 章）有關交換財務賬戶資料的法律條文，(i) 收集本表格所載資料並可備存作自動交換財務賬戶資料用途及 (ii) 把該等資料和關於控權人及任何須申報賬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。 I acknowledge and agree that (i) the information contained in this form is collected and may be kept by CFI 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 CFI 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).

本人證明，就與本表格所有相關的實體賬戶持有人所持有的賬戶，本人是控權人簽署本表格。 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.

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，本人會通知中信期貨國際，並會在情況發生改變 30 日內，向中信期貨國際提交一份已適當更新的自我證明表格。 I undertake to advise CFI 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 CFI with a suitably updated self-certification form within 30 days of such change in circumstances.

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。 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.

控權人簽署
Signature of Controlling Person

日期 (年/月/日)
Date (Y/M/D)

控權人姓名 Name of Controlling Person: _____

警告 WARNING

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。 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).

請小心填寫本自我證明表格。如閣下對於 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/eng/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。 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), the website of OECD (<http://www.oecd.org/tax/automatic-exchange/>) or U.S. IRS website (<http://www.irs.gov/>) and consult your tax, legal and/or other professional advisers if you have any questions 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.

內部專用 For internal use only:			
簽署通過驗證 Signature Verified by:	_____	日期 (年/月/日) Date (Y/M/D):	_____
稅務居留地 Tax Residence	稅務編號 TIN	新增 Add	更新 Update
1.	1.	<input type="checkbox"/>	<input type="checkbox"/>
2.	2.	<input type="checkbox"/>	<input type="checkbox"/>
3.	3.	<input type="checkbox"/>	<input type="checkbox"/>
4.	4.	<input type="checkbox"/>	<input type="checkbox"/>
5.	5.	<input type="checkbox"/>	<input type="checkbox"/>