

**自我證明表格 - 個人或聯名賬戶 Self-Certification Form - Individual or Joint Account**

**(適用於自動交換財務賬戶資料(AEOD)及美國海外賬戶稅收合規法案(FATCA))  
(Applicable to Automatic Exchange of Financial Account Information (AEOD) and Foreign Account Tax Compliance Act (FATCA))**

致：中信期貨國際有限公司 及/或 中信信期國際證券有限公司  
To: CITIC Futures International Company Limited And/Or CITIC CFI Securities Company Limited

**客戶個人資料 Client Personal Data**

客戶名稱 賬戶號碼  
Client Name Account Number

**賬戶狀況證明 Certification of Account Status**

請填寫以下有關個人賬戶及/或聯名賬戶的資料，如屬聯名賬戶，每名賬戶持有人需分別填寫一份自我證明表格。

Please complete the following information for an individual and/or joint account. Please note that in the case of a joint account, each account holder should complete a separate Self-Certificate Form.

**第一部份 自動交換財務賬戶資料 Part 1 Automatic Exchange of Financial Account Information (AEOD)**

**重要提示 Important Notes:**

- 這是由賬戶持有人向中信期貨國際有限公司及/或中信信期國際證券有限公司 (以下簡稱「中信期貨國際」及/或「中信信期國際證券」)提供的自我證明表格，以作自動交換財務賬戶資料用途。中信期貨國際及/或中信信期國際證券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 an account holder to CITIC Futures International Company Limited and/or CITIC CFI Securities Company Limited ("CFI" and/or "CFIS") for the purpose of automatic exchange of financial account information. The data collected may be transmitted by CFI AND/OR CFIS to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- 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。  
All parts of this 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).

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」)\* Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") \*

提供以下資料，列明 (i) 賬戶持有人的居留司法管轄區，亦即賬戶持有人的稅務管轄區 (香港包括在內) 及 (ii) 該居留司法管轄區發給賬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。Complete the following table indicating (i) the jurisdiction of residence (including Hong Kong) where the account holder is a residence for tax purposes and (ii) the account holder's TIN for each jurisdiction. Indicate all (not restricted to five) jurisdictions of residence.

如賬戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.

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

**理由 A Reason A** - 賬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。The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

**理由 B Reason B** - 賬戶持有人不能取得稅務編號。如選取這一理由，解釋賬戶持有人不能取得稅務編號的原因。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 C Reason C** - 賬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賬戶持有人披露稅務編號。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)					

請✓選此框以確認您已聲明所有居留及稅務司法管轄區。

Please tick the box to confirm you have specified ALL jurisdictions in which you are resident for tax purposes.

## 第二部份 美國海外賬戶稅務合規法案 Part 2 U.S. Foreign Account Tax Compliance Act (FATCA)

### 免責聲明 Disclaimer:

- 賬戶持有人如要瞭解 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。The account holder is advised to refer to the U.S. IRS website (<http://www.irs.gov/>) for details in respect of FATCA.
- 賬戶持有人應對其確認的 FATCA 身份及在本檔內提供的其他資訊承擔全部責任。The account holder shall be fully responsible for the confirmation of his/her/its FATCA status and other information submitted hereunder.
- 賬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。中信期貨國際及/或中信信期國際證券不會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。The account holder shall ensure the information given and statements made in this form are true, correct and complete, CFI AND/OR CFIS shall not be liable for any errors or loss that results from such information and statements.
- 中信期貨國際及/或中信信期國際證券不能向賬戶持有人提供任何稅務及法律意見。如有相關疑問，請賬戶持有人聯絡其稅務及法律顧問。CFI AND/OR CFIS 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.

請在下列其中一個方格內加上「」號：Please tick either (1) or (2) or (3) and complete as appropriate:

- (1)  本人確認，本人就課稅目的而言為美國公民及/或美國居民（綠卡持有人或根據實質居留測試被定性為居民）。I confirm that I am a U.S. citizen and/or resident in the U.S. for tax purposes (Green Card Holder or resident under the substantial presence test)
- (2)  本人確認，本人在美國（或美國境內）出生但不再屬於美國公民，原因是本人自願放棄本人的公民身份，並以美國「喪失原有國籍證明」為憑證。I confirm that I was born in the U.S. (or U.S. territory) but am no longer a U.S. citizen as I have voluntarily surrendered my citizenship as evidenced by the Certificate of Loss of Nationality of the United States.
- (3)  本人確認，本人就課稅目的而言並非美國公民或美國居民。I confirm that I am not a U.S. citizen or resident in the U.S. for tax purposes.

如就任何曆年有下列情況，一般即屬已通過實質居留測試：(i) 該名個人在該年度內在美國居留至少 31 天；及 (ii) 該名個人在該年度內在美國居留的天數，與其在前一年度內居留天數的三分之一及再前一個年度內居留天數的六分之一的總和，相等於或超過 183 天。The substantial presence test is generally met with respect to any calendar year if (i) the individual is present in the U.S. at least 31 days during such year and (ii) the sum of the number of days in which such individual is present in the U.S. during such year, 1/3 of the number of such days during the first preceding year, and 1/6 of the number of such days during the second preceding year, equals or exceeds 183 days.

**聲明及簽署 Declaration and Signature**

本人知悉及同意，中信期貨國際及/或中信信期國際證券可根據《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) 把該等資料和關於賬戶持有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，從而把資料轉交到賬戶持有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 AND/OR CFIS for the purpose of automatic exchange of financial account information, and (ii) such information and information regarding the account holder and any reportable account(s) may be reported by CFI AND/OR CFIS 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).

在不抵觸當地適用法律的情況下，本人同意中信期貨國際及/或中信信期國際證券在必要情況下可向國內及海外的監管機構或稅務機關提供本人的個人資料以確立本人於任何司法管轄區的稅務責任。因應國內或海外的監管機構或稅務機關要求，本人准許並同意中信期貨國際及/或中信信期國際證券可按適用的法律、法規和指令，在本人賬戶中預扣所須款項。 Subject to applicable local laws, I hereby give my consent to CFI AND/OR CFIS for sharing my information with domestic and overseas regulators or tax authorities where necessary to establish my tax liability in any jurisdiction. Where required by domestic or overseas regulators or tax authorities, I consent and agree that CFI AND/OR CFIS may withhold from my account(s) such amount as may be required according to applicable laws, regulations and directives.

本人證明，就與本表格所有相關的賬戶，本人是賬戶持有人。 I certify that I am the account holder of all the account(s) to which this form relates.

本人承諾，如本表格所述的個人的稅務居民身分變動，或本表格所載的任何資料不正確或不完整的情況下，本人會通知中信期貨國際及/或中信信期國際證券，並會在**30 日內**，向中信期貨國際及/或中信信期國際證券提交一份已適當更新的自我證明表格。 I undertake to advise CFI AND/OR CFIS of any change in any information or any circumstances which affects the tax residency status of the individual identified in this form or causes the information contained herein to become incorrect, and to provide (CFI AND/OR CFIS with a suitable updated self-certification form within 30 days of such change in circumstances or information.

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.

客戶簽署 Client Signature : \_\_\_\_\_ 日期 (年/月/日) Date (Y/M/D) : \_\_\_\_\_

**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](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](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 <i>For internal use only:</i>			
簽署通過驗證 Signature Verified by:	_____	日期 (年/月/日) Date (Y/M/D):	_____
FATCA 狀態 FATCA Status	<input type="checkbox"/> 美國人士 U.S. Individual	<input type="checkbox"/> 非美國人士，且沒有美 國人士特徵 Non-U.S. Individual (without U.S. indicia)	<input type="checkbox"/> 非美國人士，但有美國 人士特徵 Non-U.S. Individual (with U.S. indicia)
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"/>