

CRS Entity Self-Certification Form (For Corporate Client Only)

共同申報準則機構自我聲明書 (只適用於公司客戶)

Please complete in BLOCK LETTERS. 請以英文正楷填寫。
ORIGINAL form is required. 須提交表格之正本。

Fax no. 傳真號碼 (852) 2587-8001
 Email: 電郵: settlement@successfn.com

Full Name of Corporate Account (as in Company Registration Document) 公司帳戶名稱 (須與公司註冊文件相關)	Tax Identification Number 納稅人識別號碼	Client Account No. 客戶帳戶號碼
Client's Address 客戶地址		Company Registration No. 公司註冊號碼

CRS Self-Certification 共同申報準則自我聲明

This section allows you to declare your tax residence under the Organization for Economic Co-operation and Development ("OECD") Common Reporting Standard ("CRS"). 本部分允許您根據《經濟合作與發展組織》("OECD") 共同申報準則 ("CRS") 申報貴公司的納稅居住地。

Please Select One Only 請選擇一項

A	<input type="checkbox"/>	Financial Institution – Investment Entity 金融機構 – 投資公司 (Except an Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution 位處不參與的司法管轄區並由另一家金融機構管理的投資公司除外。)
B	<input type="checkbox"/>	Financial Institution – Custodial Institution, Depository Institution or Specified Insurance Company 金融機構 – 受託機構、保管機構或保險公司
C	<input type="checkbox"/>	Active NFE – a corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation. 有實質業務活動的非金融實體(Active Non-Financial Entity) – 一家其股票經常於一個認可證券市場買賣的公司, 或一家屬於該公司相關實體的公司。 Please provide the name of the established securities market on which the corporation is regularly traded: 請提供該證券市場的名稱: _____
D	<input type="checkbox"/>	Active NFE – other than C – E (for example a start-up NFE or a non-profit NFE) 有實質業務活動的非金融實體 – 第(C)-(E)項以外的其他機構 (例如新創立的非金融實體或非牟利的非金融實體)
E	<input type="checkbox"/>	Active NFE – a Government Entity or Central Bank 有實質業務活動的非金融實體 – 政府實體或中央銀行
F	<input type="checkbox"/>	Active NFE – an International Organisation 有實質業務活動的非金融實體 – 國際組織
G	<input type="checkbox"/>	Passive NFE 被動的非金融實體 Please indicate all the name(s) of all Controlling Person(s) of the corporation: 請提供公司所有控權人士的名稱: _____

Is your company a tax resident in any jurisdiction(s)?

貴公司是否擁有任何司法管轄區的稅務居民身份?

No 否

Yes 是 (Please fill in the table below 請填寫下表)

Country 國家	Please select multiple options if applicable 可選多於一項 (如適用)	Tax Identification Number 納稅人識別號碼
Hong Kong 香港	<input type="checkbox"/>	
Mainland China 中國大陸	<input type="checkbox"/>	
Japan 日本	<input type="checkbox"/>	
Canada 加拿大	<input type="checkbox"/>	
Other 其他 _____	<input type="checkbox"/>	

If a TIN is unavailable, please indicate the appropriate reason. 若無法提供稅務識別號碼, 請說明原因。

Note: Our Company is unable to provide advice about your company's tax residency. If you have any questions, please consult your company's tax adviser or domestic tax authority.
 註: 本公司未能提供有關貴公司納稅居住地的意見。如有任何疑問, 請與貴公司的稅務顧問或當地稅務機關聯絡。

Declaration by Client 客戶聲明

To: **Success Securities Limited / Success Futures and Foreign Exchange Limited ("SUCCESS")**
 致: **實德證券有限公司/實德期貨及外匯有限公司 ("實德")**

I understand that the information supplied by me is covered by the Client Agreement and Supplemental Agreement(s) governing the Customer's relationship with Success setting out how Success may use and share the information supplied by me/ us.

本人明白實德可根據客戶協議及附屬協議使用及透露本人提供的資料。

I acknowledge that the information contained in this form and information regarding the Customer and any Reportable Account(s) may be provided to the tax authorities of the country/jurisdiction in which this account is maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which the Customer may be tax resident pursuant to intergovernmental agreements to exchange financial account information.

本人確認向開設本帳戶的國家/司法管轄區的稅務機關匯報此表上的資料和有關客戶和任何要被匯報的帳戶的資料, 以及與客戶可能為稅務居民的國家/司法管轄區, 而該國家/司法管轄區已簽訂交換財務賬戶資料協議。

I certify that I am authorised to execute and deliver this agreement on behalf of the company of the account to which this form relates.

本人證明本人已獲正式授權代表此表賬戶公司簽立及交付本協議。

I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete.

本人/吾等聲明, 以本人/吾等所知, 在此表上所提供的一切資料均屬正確及完整。

I undertake to advise Success within 30 days of any change in circumstances which affects the tax residency status of the individual identified in this form or causes the information contained herein to become incorrect or incomplete, and to provide Success with a suitably updated Self-Certification and Declaration within up to 30 days of such change in circumstances.

本人/吾等承諾, 在有任何有關更改納稅居住地資料或任何可導致此表所提供的資料失實的情況變動發生後 30 天內通知實德, 並提供最新的公司納稅居住地自行證明書。

Corporate Applicant Signature 公司申請人簽署

Full Name of Authorised Officer of Corporate Account 公司帳戶授權簽署人姓名	Signature and Company Chop 簽署及公司蓋章 X	Date 日期
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For Office Use Only 此欄由本公司填寫

Checked by 覆核人員	Reference No. 檔號	Signature 簽署 X	Date 日期
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Please read these instructions before completing the form.

填寫表格前，請先參閱下列指引。

Regulations based on the Organisation for Economic Co-operation and Development ("OECD") Common Reporting Standard ("CRS") require financial institutions to collect and report certain required information based on an account holder's tax residence. Each jurisdiction has its own rules for defining tax residence. For more information on tax residence, please consult your tax adviser or the information at the following link: <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>
根據採用經濟合作與發展組織（OECD/「經合組織」）共同申報準則(Common Reporting Standard/CRS)的法規，要求金融機構按照賬戶持有人的納稅居住地收集及匯報若干所需資料。每個司法管轄區均按其本身的規則釐定納稅居住地的定義。有關納稅居住地的詳情，請諮詢閣下的稅務顧問，或瀏覽下列網頁的資料：
<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>

If your tax residence (or the account holder, if you are completing the form on their behalf) is located outside of the country in which this account is maintained, we may be legally obliged to pass on the information in this form and other financial information with respect to your financial accounts to the tax authorities in the country where the FI is located.

若閣下的納稅居住地（或賬戶持有人，如閣下代其填寫表格）位處的國家與開設本賬戶的國家不同，我們在法律上可能有責任把此表格內的資料及與閣下的財務賬戶有關的其他財務資料，轉交金融機構位處國家的稅務機關。

This form will remain valid unless there is a change in circumstances relating to the account holder's tax status or other mandatory fields included on this form. You must notify us if there is a change in circumstance that makes any of the information provided in this form incorrect or incomplete and provide an updated CRS Entity Self-Certification Form.

此表格將一直有效，直至出現與賬戶持有人的稅務狀況或此表格內必須填寫的其他欄目資料有關的情況變動為止。若出現任何可導致表格所提供的資料失實或不完整的情況變動，閣下必須通知我們，並提交最新的共同申報準則機構自我聲明書。

This form is intended to request information only where such request is not prohibited by applicable local law or regulations.

此表格僅擬作要求提供資料之用，而有關要求不受適用的當地法律或法規所禁止。

Please complete this form where you need to self-certify on behalf of an entity account holder.

若閣下代表公司賬戶持有人作出自行證明，請填妥此表格。

As a financial institution, we are not allowed to give tax or legal advice.

作為一家金融機構，我們不得提供稅務或法律意見。

If you have any questions about this form, these instructions, or defining your tax residency status, please consult your tax adviser or domestic tax authority. 如對此表格、指引或釐定閣下的納稅居住地狀況有任何疑問，請與閣下的稅務顧問或當地稅務機關聯絡。

If you wish to know more about CRS, please visit the web-page below: 如欲了解更多有關共同匯報標準的詳情，請瀏覽以下網站：

AEOI/自動交換資料單張

<http://www.ird.gov.hk/chi/tax/aeoi/pam.htm>

FAQ / 常見問題

http://www.ird.gov.hk/chi/faq/dta_aeoi.htm