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EVERBRIGHT SECURITIES | INTERNATIONAL

Controlling Person - Self Certification Form (CRS)

控權人士 – 自我證明表格（共同匯報標準）

Please read these instructions before completing the form.
請在填寫本表格前細閱以下指示。

Regulations based on Organization for Economic Co-operation and Development ("OECD") Common Reporting Standard ("CRS") require EBSI[1] to collect and report certain required information based on controlling person of an entity account holder's tax residency status.
根據經濟合作與發展組織（簡稱「經合組織」）的共同匯報標準（簡稱「CRS」）的規定，光大證券國際[1] 必須根據實體帳戶的控權人士的稅務居住地蒐集及匯報所需相關資料。

Each jurisdiction has its own rules for defining tax residence. In general, tax residence is the country in which you live. Special circumstances (such as studying abroad, working overseas or extended travel) may cause you to be resident elsewhere or resident in more than one country at the same time (multiple tax residency). For more information on tax residence, please consult your tax adviser or the information at the following link for CRS at http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/.
每個司法管轄區均按其本身的規則釐定稅務居住地的定義。一般而言，稅務居住地定義為您擁有稅務居民身份的國家。若干特別情況（如海外留學、海外工作或延長旅遊逗留期限）可能會導致您為成其他地方的稅務居民，或於同一時間成為超過一個國家的稅務居民（多重稅務居住地）。有關稅務居住地的詳情，請諮詢您的稅務顧問，或瀏覽有關 CRS 的網頁 http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/ 。

If your tax residency status (or that of the controlling person, if you are completing the form on his/her 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 the financial accounts to the tax authority in the country where EBSI[1] is located.
若帳戶持有人的稅務居住地位處的國家與開設本帳戶的國家不同，或您代表控權人士填寫本表格，其位處的國家與開設本帳戶的國家不同，我們在法律上可能有責任將本表格內的資料及與財務帳戶有關的其他財務資料，傳送給光大證券國際[1] 位處國家的稅務機關。

This form will generally remain valid unless there is a change in circumstance relating to your tax residency status. You must notify us within 30 days if there is a change in circumstance that affects the tax residency status of the controlling person or makes any of the information provided in this form incorrect or incomplete and provide an updated self-certification form.
本表格將一直有效，直至您的稅務居民身份出現變動為止。若情況有所改變，以致影響您的稅務居民身份或引致本表格所載的資料不正確或不完整，您必須在情況發生變動後的 30 日內通知我們，並提交一份已適當更新的自我證明表格。

This form is intended to request information only where such request is not prohibited by applicable local law or regulations.
本表格僅擬作要求控權人士提供資料之用，有關要求不被當地適用的法律或法規禁止。

As a financial institution, we are not allowed to give tax or legal advice. If you have any questions about this form, these instructions, or defining your tax residency status, please speak to your tax adviser or domestic tax authority. If in doubt, please seek independent tax and/or legal advice.
作為一家金融機構，我們不能就此提供稅務或法律意見。如對本表格、此等指引或就您的稅務居民身份有任何疑問，請向您的稅務顧問或當地稅務機關查詢。如有任何疑問，請尋求獨立的稅務及 / 或法律意見。

Filing Instruction 申報指引
If you are a controlling person of a passive non-financial entity / an investment entity located in a non-participating jurisdiction managed by another financial institution under CRS and you are opening a new account with us, holding an existing account with us or you are notifying us of a change in circumstances. Please complete this form.
若您位於非參與稅務管轄區並由另一家根據 CRS 定義下金融機構管理的被動非財務實體 / 投資實體的控權人士，而您現在光大證券國際[1] 開設新帳戶，持有現有帳戶或需要就有關情況發生改變通知我們，請填妥本表格。

The below is only applicable to controlling person of an entity account holder:
以下僅適用於實體帳戶持有人的控權人士：
Since you are a controlling person of a passive non-financial entity, or an investment entity located in a non-participating jurisdiction managed by another financial institution (such individuals referred to as "Controlling Person(s)"), please provide your information in the below sections.
由於您是被動非財務實體的控權人士，或在不參與的司法管轄區內並由另一家金融機構管理的投資實體作為控權人士（該等個人稱為「控權人士」），請在以下部份提供您的資料。
Generally, under CRS, a controlling person is a natural person that holds more than 25% of the shares of the entity or otherwise exercises ultimate control of an entity. For further guidance see: http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/common-reporting-standard-and-related-commentaries/#d.en.345314.
一般而言，在 CRS 下稱為控權人士是指持有某實體超過 25%的股份或可對某實體行使最終控制權的自然人。有關詳情請瀏覽：http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/common-reporting-standard-and-related-commentaries/#d.en.345314。

If you are the entity account holder filling in this form on behalf of your controlling persons:
若您是公司帳戶持有人並代表您的控權人士填寫本表格：

Please tell us in what capacity you are signing in Section 4. For example, you may be the custodian or nominee of an account on behalf of the account holder, or you may be completing the form under a power of attorney.
請註明您以甚麼身份簽署本表格的第 4 部分。舉例說，您可能是以帳戶託管人或代名人身份，或根據授權書以授權人士身份填寫本表格。

In the event of any inconsistency between the English and Chinese version, the English version shall prevail.
中文譯本僅供參考，文義如與英文本有歧異，概以英文本為準。

[1] "EBSI" means China Everbright Securities International Company Limited and each and every subsidiary company, associated company and affiliate of China Everbright Securities International Company Limited, including but not limited to Everbright Securities International (HK) Limited and its subsidiaries. 「光大證券國際」指中國光大證券國際有限公司、其每一間子公司、聯營公司及有聯繫公司，包括但不限於光大證券國際（香港）有限公司及其子公司。

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Section 1: Controlling Person Identification (Please refer to Important Note on page 5)
第 1 部份： 控權人士的身份識辨資料（請參閱第 5 頁的重要提示）

Controlling Person Name 控權人士的姓名：

Title (e.g. Mr, Mrs, Ms, Miss) 稱謂（如先生、太太、女士、小姐）_____

Last Name or Surname 姓氏 _____

First or Given Name 名字 _____

Middle Name(s) 中間名 _____

Identity Document Number 身份證明文件號碼*： _____

Identity Document Type 身份證明文件類別*：

☐ HKID 香港身份證 ☐ CNID 中國身份證 ☐ Macau ID 澳門身份證 ☐ Passport or Others 護照或其他

*Please fill in HKID and your dual identity or travel document number and type if you are non-permanent HK resident.
*如帳戶持有人為香港非永久性居民，請同時填寫香港身份證及另一身分證明文件或旅遊證件的號碼及類別。

Nationality(ies) 國籍： _____

Additional Information of Nationality (as appropriate) 有關國籍的其他資料（如適用）：

_____

Current Residential Address 現時住址：

_____

[Room/Flat/Block/Name of Building/Estate (if applicable) 房號 / 室 / 座數 / 大廈 / 屋邨 （如適用）]

_____

[Street Number/Street Name 門牌號數 / 街道名稱]

_____

[City, Town 城市、城鎮] [State, Province or County 州、省或縣]

_____

[Postal/ZIP Code 郵政編號 / 郵遞區號] [Country 國家]

Mailing Address (if different from above) 通訊地址（如與現時住址不同，填寫此欄）：

_____

[Room/Flat/Block/Name of Building/Estate (if applicable) 房號 / 室 / 座數 / 大廈 / 屋邨（如適用）]

_____

[Street Number/Street Name 門牌號數 / 街道名稱]

_____

[City, Town 城市、城鎮] [State, Province or County 州、省或縣]

_____

[Postal/ZIP Code 郵政編號 / 郵遞區號] [Country 國家]

Additional Information of Address (as appropriate) 有關地址的其他資料（如適用）：

_____

Date of Birth (dd/mm/yyyy) 出生日期（日 / 月 / 年）： _____

Place of Birth 出生地點：

_____

[Town or City of Birth 出生城鎮或城市] [Country of Birth 出生國家]

Additional Information of Place of Birth (as appropriate) 有關出生地點的其他資料 （如適用）：

_____

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Section 2: CRS Declaration of Tax Residency (Please note you must list all jurisdictions of tax residence)

第 2 部份：CRS 稅務居民身份聲明（請列明所有您作為稅務居民所屬的司法管轄區）

Please indicate **ALL** (not restricted to five) the controlling person's jurisdiction of tax residence and associated TIN.
請列明**所有**（不限於 5 個）控權人士作為稅務居民所屬的司法管轄區及其稅務編號。

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

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

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

Reason 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.
理由 B – 控權人士不能取得稅務編號。如選取理由 B，請解釋控權人士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 – 控權人士毋須提供稅務編號。居留司法管轄區的主管機關不需要控權人士披露稅務編號。

Country/Jurisdiction of Tax Residence **稅務居民所屬國家 / 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， 請解釋不能取得稅務編號的原因。**
1.			
2.			
3.			
4.			
5.			

Additional Information of the TIN (as appropriate) 有關稅務編號的其他資料（如適用）：

_____

Section 3: Type of Controlling Person
第 3 部份：控權人士類別

Type of Entity 實體類別	Please confirm what type of Controlling Person applicable under CRS 請按照 CRS 的定義， 選取控權人士的類別	Please Tick all that apply 請在適當方格內 加上 √ 號	Entity Name 實體名稱	Company Number 公司編號
Legal Person 法人	Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital) 擁有控制股權的個人（即擁有不少於 25%之已發行股本）			
	Individual who exercises control/is entitled to exercise control through other means (i.e. not less than 25% of voting rights) 以其他途徑行使控制權或有權行使控制權的個人（即擁有不少於 25%的表決權）			
	Individual who holds the position of senior managing official/ exercises ultimate control over the management of the entity 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			
Trust 信託	Settlor 委託人			
	Trustee 受託人			
	Protector 保護人			
	Beneficiary or member of the class of beneficiaries 受益人或某類別受益人的成員			
	Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary) 其他（例如委託人、受託人、保護人或受益人為另一實體，並對該實體行使控制權的個人）			
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 / 相類於委託人位置的個人			
	Individual in a position equivalent/similar to trustee 處於相等 / 相類於受託人位置的個人			
	Individual in a position equivalent/similar to protector 處於相等 / 相類於保護人位置的個人			
	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成員位置的個人			
	Other (e.g. individual who exercises control over another entity being equivalent/similar to settlor/trustee/protector/beneficiary) 其他（例如處於相等 / 相類於委託人 / 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）			

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Section 4: Declaration and Undertakings
第 4 部份：聲明及承諾

I declare that the information provided in this form is, to the best of my knowledge and belief, true, correct, complete and not misleading.
本人聲明盡本人所知所信，在本表格所提供的資料均屬真實、正確、完整且無誤導成分。

I acknowledge and understand and consent to the use that (a) the information contained in this self-certification is collected and may be kept by EBSI[1] 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 to the tax authority of the country/jurisdiction in which this account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which the controlling person may be tax resident pursuant to intergovernmental agreements to exchange financial account information.
本人確認、明白及同意光大證券國際[1]可根據自動交換財務帳戶資料之跨政府協議，(a)蒐集及備存本表格所載的資料以作自動交換財務帳戶資料的用途，及(b)可能將該等資料及關於控權人士及任何須申報帳戶的資料向帳戶所在國家 / 司法管轄區的稅務機關，並與另一個國家 / 司法管轄區的稅務機關或控權人士作為稅務居民的國家 / 司法管轄區的稅務機關交換該等資料。

I undertake to advise the recipient and provide an updated self-certification form within 30 days of the occurrence of any change in circumstances which affects the tax residency status of the individual identified in Section 1 or causes any of the information contained in this form to be incorrect or incomplete.
本人承諾，如情況有所改變，以致影響本表格第 1 部分所述的稅務居民身份或引致本表格所載的資料不正確、不完整或存在誤導成分，本人會在情況發生改變後 30 日內通知收件人及提交一份已適當更新的自我證明表格。

Important Note 重要提示

I agree that the information and personal data contained in this self-certification form shall be used by EBSI[1] for the purpose of updating information and personal data provided by me in connection with all my account(s) maintained with EBSI[1]. I also agree to provide such further information and supporting documents as requested by EBSI[1] from time to time for the update.

本人同意於自我證明表格內的信息及個人資料將會被光大證券國際 [1] 用作更新有關本人於光大證券國際 [1] 維持的所有帳戶的信息及個人資料。本人亦明白本人必須按照光大證券國際 [1] 不時的要求就有關信息及個人資料提供相關證明文件。

Controlling Person/Authorized Person Signature:
控權人士 / 獲授權人士簽署：

_____ _____
[Signature 簽署] [Print name 正楷姓名]

_____ _____
[Capacity 身份] [Date (dd/mm/yyyy) 日期 (日 / 月 / 年)]

Note: If you are not the controlling person, please indicate the capacity in which you are signing the form. If signing under a power of attorney, please also attach a certified copy of the power of attorney.
註： 若您並非控權人士，請註明您簽署本表格的身份。若您是以授權人士身份簽署本表格，請同時附上授權書的核證副本。

WARNING 警告：

It is an offence under the laws of Hong Kong 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.
根據香港法例，如任何人士在作出自我證明時，在明知一項陳述在要項上具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。

If you are in doubt, please seek independent legal advice before signing.
如有任何疑問，請在簽署本表格前尋求獨立的法律意見。

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Section 5: For Office Use Only
第 5 部份：只供內部使用

Verification conducted by Sales Management:	
Means: ☐ Email or ☐ Call Confirmation call or email received by: _____ Name & SFC CE No.:	(Applicable only if verification cannot be conducted) Approved by RO or Sales Heads (Sales Department): _____ Name: Date (dd/mm/yy):
Date & time of receipt of confirmation call or email from client: _____ Channel No. (applicable to Call):	