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EVERBRIGHT SECURITIES | INTERNATIONAL

Entity - Self Certification Form (CRS)
實體 – 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 an 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] 必須根據帳戶持有人的稅務居住身份蒐集及匯報所需相關資料。

Each jurisdiction has its own rules for defining tax residence. In general for entities, tax residence is defined as the jurisdiction where the entity has its place of management. Special circumstances may cause the entity to be resident elsewhere or resident in more than one jurisdiction 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。就實體而言，稅務居住地一般定義為任何實體管理業務的司法管轄區。若干特別情況可能會導致實體為成其他地方的稅務居民，或於同一時間成為超過一個司法管轄區的稅務居民（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-andassistance/。

If the tax residence of the account holder 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 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，我們在法律上可能有責任將本表格內的資料及有關您的財務帳戶的其他財務資料，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 circumstances relating to the account holder's tax residency status (e.g. a change in the ownership structure of the entity adding controlling person) or other mandatory fields included on this form. You must notify us within 30 days if there is a change in circumstance that affects the tax residency status of the entity 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，直至帳戶持有人的稅務居民身份（例如加入控權人士以致改變股權結構）或本表格內必須填寫欄目有關的情況發生改變為止。若出現任何情況變動，以致影響實體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，您必須於 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.
本表格僅擬作要求帳戶持有人提供資料之用，有關要求不被當地適用的法律或法規禁止。

Please complete this form where you need to self-certify on behalf of an entity account holder.
若您代表實體帳戶持有人作出自我證明，請填妥本表格。

If you are an individual account holder or sole proprietor, do not complete this form. Instead please complete an "Individual/Controlling Person - Self Certification Form (CRS)".
若您是個人帳戶持有人或獨資經營者，請勿填寫本表格。請您改為填寫「個人- 自我證明表格（共同匯報標準）」。

Where the account holder is a passive non-financial entity ("NFE") / an investment entity located in a non-participating jurisdiction managed by another financial institution under CRS:
若帳戶持有人是根據 CRS 定義下的被動非財務實體 / 位於非參與稅務管轄區並由另一家金融機構管理的投資實體：

Please provide information on the natural person(s) who exercise control over the account holder (such individuals referred to as "Controlling Person(s)") by completing an "Controlling Person - Self Certification Form (CRS)" for each Controlling Person. This information should be provided in respect of any account holder which is a passive NFE / investment entities located in a non-participating jurisdiction and managed by another financial institution under CRS.
請就每名控權人士填寫一份「控權人士 - 自我證明表格（共同匯報標準）」，提供有關可對帳戶持有人行使控制權的自然人的資料（該等個人稱為「控權人士」）。所提供的資料應與任何帳戶持有人為根據 CRS 定義下的被動非財務實體/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實體有關。

If you are completing the form on the account holder's behalf:
若您代表帳戶持有人填寫本表格:
You should indicate the capacity in which you have signed in Section 4. For example, you may be completing the form under a signatory authority or power of attorney.
您應在第 4 部分註明您以甚麼身份簽署本表格。舉例說，您可能是獲授權簽署人士或獲授權委託人士。

As a financial institution, we are not allowed to give tax or legal advice.
作為一家金融機構，我們不能就此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 speak to your tax adviser or domestic tax authority. If in doubt, please seek independent tax and/or legal advice.
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。

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: Account Holder Identification (Please refer to Important Note on page 5)
第 1 部分：帳戶持有人的身份識辨資料（請參閱第 5 頁的重要提示）

Account Holder Details 帳戶持有人資料：

_____

[Name – the "Entity" 實體名稱]

_____

[Company Number 公司編號]

_____

[Country of Incorporation or Organization 註冊或成立組織的國家]

Additional Information of Country of Incorporation or Organization (as appropriate) 有關註冊或成立組織的國家的其他資料（如適用）：

_____

Current Business Address 現時營業地址：

_____

[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 or Province 州或省]

_____

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

Mailing Address (if different from above) 通訊地址（如與現時營業地址不同，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 or Province 州或省]

_____

[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）：

_____

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Section 2: Tax Residence(s)
第 2 部分：稅務居住地

Please indicate **ALL** (not restricted to five) the account holder's jurisdiction of tax residence and associated TIN.
請註明帳戶持有人就稅務目的而言屬於居民的**所有**司法管轄區及各稅務居住地的相關稅務編號。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number.
如帳戶持有人是香港稅務居民，稅務編號是其香港商業登記號碼。

NOTE: If the account holder is not tax resident in any jurisdiction (e.g. because it is fiscally transparent), please provide the place of effective management or country in which its principal office is located.
註： 若帳戶持有人並非任何司法管轄區的稅務居民（例如帳戶持有人為財政透明實體），請提供其實際管理業務的司法管轄區，或主要辦事處所位處的國家。

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 – 帳戶持有人居留的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。如選取理由 B，請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。

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 account holder 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）：

_____

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Section 3: Entity Type
第 3 部分: 實體分類

Please tick one of the below categories as appropriate:
請選擇以下其中一個合適分類：

Financial Institution 財務機構	
☐	a) Custodial Institution, Depository Institution or Specified Insurance Company 託管機構、存款機構或指明保險公司
☐	b) Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity's assets) and located in a non-participating jurisdiction 投資實體，但不包括由另一財務機構管理（例如：擁有酌情權管理投資實體的資產）並位於非參與稅務管轄區的投資實體
Active Non-Financial Entity 主動非財務實體	
☐	c) Active Non-Financial Entity - a corporation the stock of which is regularly traded on one or more established securities markets or a corporation which is a related entity of such a corporation 主動非財務實體 – 一間股票在一個或以上的具規模證券市場中被經常進行買賣的公司，或一家屬於該公司有關連實體的公司 Name of the established securities market on which stock is regularly traded: 請列明有關證券市場名稱： _____ If the Account Holder is a related entity of a regularly traded corporation, provide the name of the regularly traded corporation: 若帳戶持有人是一間股票被經常買賣的公司的有關連實體，請提供該公司的名稱： _____
☐	d) Active Non-Financial Entity - Governmental Entity, Central Bank or International Organization 主動非財務實體 – 政府實體、中央銀行或國際組織
☐	e) Active Non-Financial Entity - Others, please specify: 主動非財務實體 – 其他，請列明：_____
Passive Non-Financial Entity 被動非財務實體	* **Please complete Controlling Person - Self Certification Form (CRS)** * **請填寫「控權人士 – 自我證明表格（共同匯報標準）」。**
☐	f) Investment entity that is managed by another financial institution and located in a non-participating jurisdiction 由另一財務機構管理並位於非參與稅務管轄區的投資實體
☐	g) Passive Non-Financial Entity 被動非財務實體

Please indicate the name of all controlling person(s) of the account holder below.
請填寫所有控權人的姓名。

(1)	(3)
(2)	(4)

Section 4: Declarations and Undertakings

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第 4 部分：聲明及承諾

I/We declare (as an authorized signatory of the Entity) that the information provided in this form is, to the best of my/our knowledge and belief, true, correct, complete and not misleading.
本人 / 我們（作為實體的獲授權簽署人）聲明盡本人 / 我們所知所信，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/We acknowledge, 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 account holder and any reportable account(s) may be reported to the tax authorities 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 I/we may be tax resident pursuant to intergovernmental agreements to exchange financial account information.
本人 / 我們確認、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帳戶持有人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申報，並與另一個國家 / 司法管轄區的稅務機關或本人 / 我們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/We undertake to advise the recipient and provide an updated self-certification form within 30 days of the occurrence of any change in circumstance which affects the tax residency status of the entity identified in Section 1 or causes any of the information contained in this form to be incorrect or incomplete.
本人 / 我們承諾，如情況有所改變，以致影響本表格第 1 部分所述實體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 / 我們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/We agree that the information contained in this self-certification form shall be used by EBSI[1] for the purpose of updating information provided by me/us in connection with all my/our account(s) maintained with EBSI[1]. I/We also agree to provide such further information and supporting documents as requested by EBSI[1] from time to time for the update.
本人 / 我們同意於自我證明表格內的資料將會被光大證券國際 [1] 用作更新有關本人 / 我們於光大證券國際 [1] 維持的所有帳戶的資料。本人 / 我們亦明白本人 / 我們必須按照光大證券國際 [1] 不時的要求就有關資料提供相關證明文件。

Authorized Person Signature(s) 獲授權人士簽署：

_____	_____
[Authorized person signature #1 獲授權人士簽署#1]	[Authorized person signature #2 獲授權人士簽署#2]
_____	_____
[Print name #1 正楷姓名#1]	[Print name #2 正楷姓名#2]
_____	_____
[Capacity 身份]	[Capacity 身份]
_____	_____
[Date (dd/mm/yyyy) 日期（日 / 月 / 年）]	[Date (dd/mm/yyyy) 日期（日 / 月 / 年）]

Note: If you are not the account holder, 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： 若您並非帳戶持有人，請註明您簽署本表格的身份。若您是以授權人士的身份簽署本表格，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。

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):	