信有道證券有限公司
Signal D Securities Limited

致: 信有道證券有限公司(中央編號:BXP722)-交收部
TO: Signal D Securities Limited (CE No.:BXP722) - Settlement Department
地址:香港上環皇后大道中222號啟煌商業中心1樓102室
Room 102, 1/F Kai Wong Commercial Building, 222 Queen's Road Central, Sheung Wan,Hong Kong
電話Tel: (852) 35895899 傳真Fax: (852) 36189916 客服電郵：cs@signald.com.hk

# 自我證明表格 - 實體
# Self-Certification Form – Entity

| Important Notes 重要提示 |
|---|
| • This is a self-certification form provided by an account holder to Signal D Securities Limited ("Signal D") for the purpose of automatic exchange of financial account information. The data collected may be transmitted by Signal D to the Inland Revenue Department for transfer to the tax authority of another jurisdiction. 這是由帳戶持有人向信有道證券有限公司 ("信有道證券") 提供的自我證明表格，以作自動交換財務帳戶資料用途。信有道證券可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。<br>• An account holder should report all changes in its tax residency status to Signal D . 如帳戶持有人的稅務居民身份有所改變，應盡快將所有變更通知信有道證券。<br><br>• All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/ sections marked with an asterisk (*) are required to be reported by Signal D to the Inland Revenue Department. 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，可另紙填寫。在欄/部份標有星號（*）的項目為信有道證券須向稅務局申報的資料。 |

| Part I: Account Information 第I部份帳戶資料 | |
|---|---|
| Account Name 帳戶名稱 | Account Number 帳戶號碼 |

| Part II: Identification of Controlling Person 第II部份 :控權人的身份識辨資料 | |
|---|---|
| (1) Legal name of entity or branch 實體或分支機構的法定名稱* | (2) Hong Kong business registration number香港商業登記號碼 |
| (3) Jurisdiction of incorporation or organization 實體成立為法團或設立所在的稅務管轄區 | |
| (4)Current business address 現時營業地址 | |
| (5) Mailing address (complete if different to the current residence address) 通訊地址 (如通訊地址與現時住址不同，填寫此欄) | |

## Part III: Entity Type 第III部份: 實體類別

Tick one of the appropriate boxes and provide the relevant information. 在其中一個適當的方格內加上✓號，並提供有關資料。

| | |
|---|---|
| Financial Institution<br>財務機構 | ☐ Custodial Institution, Depository Institution or Specified Insurance Company託管機構、存款機構或指明保險公司 |
| | ☐ 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 NFE<br>（"Non Financial Entity"）<br>主動非財務實體 | ☐ NFE the stock of which is regularly traded on _____, which is an established securities market該非財務實體的股票經常在 _____（一個具規模證券市場）進行買賣 |
| | ☐ Related entity of _____ the stock of which is regularly traded on _____, which is an established securities market. _____的有關連實體，該有關連實體的股票經常在_____（一個具規模證券市場）進行買賣 |
| | ☐ NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體 |
| | ☐ Active NFE other than the above (Please specify: _____) 除上述以外的主動非財務實體(請說明：_____) |
| Passive NFE被動非<br>財務實體 | ☐ Investment entity that is managed by another financial institution and located in a non-participating jurisdiction位於非參與稅務管轄區並由另一財務機構管理的投資實體 |
| | ☐ NFE that is not an active NFE不屬主動非財務實體的非財務實體 |

Please Proceed to Part IV if the Entity Account is a Passive NFE, otherwise please proceed to Part V. 如實體帳戶持有人是被動非財務實體，請跳至第IV部份，否則請跳至第V部份。

## Part IV: Controlling Persons 第IV部份: 控權人

Indicate the name of all controlling person(s) of the account holder in the table below. If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official. 就帳戶持有人，填寫所有控權人的姓名在列表內。就法人實體，如行使控制權的並非自然人，控權人會是該法人實體的高級管理人員。
Complete "Self-Certification Form – Controlling Person" for each controlling person. 每名控權人須分別填寫一份「自我證明表格－控權人」。

| | | | |
|---|---|---|---|
| (1) | | (3) | |
| (2) | | (4) | |

## Part V: Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") 第V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(「稅務編號」)*

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder's Tax Identification Number ("TIN") for each jurisdiction indicated. Indicate all (not restricted to 4) the jurisdictions of residence. 提供以下資料，列明（a）帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區（香港包括在內）及（b）該居留司法管轄區 發給帳戶持有人的稅務編號。列出所有（不限於 3 個）居留司法管轄區。
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。If a TIN is unavailable, provide the appropriate reason A, B or C: 如沒有提供稅務編號，必須填寫理由 A, B 或 C：

**Reason A -** The jurisdiction where you are a resident for tax purpose does not issue TINs to its residents.
**理由 A -** 您作為稅務居民而居留的司法管轄區並沒有向其居民發出稅務編號。

**Reason B -** You are unable to obtain a TIN. Explain why you are unable to obtain a TIN if you have selected this reason.
**理由 B -** 您無法取得稅務編號。如選取這一理由，請解釋您無法取得稅務編號的原因。

**Reason C -** TIN is not required. Select this reason only if the authorities of the jurisdictions of residence do not require the TIN to be disclosed.
**理由 C -** 您無須提供稅務編號。如居留司法管轄區的主管機關不需要您披露稅務編號，才可選取這理由。

| | Jurisdiction of Residence 居留司法管轄區 | 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， 請填寫理由 A, B 或 C | Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選取理由 B， 解釋帳戶持有人不能取得稅務編號的原因 |
|---|---|---|---|---|
| (1) | | | | |
| (2) | | | | |
| (3) | | | | |

**Part VI: Declarations and Signature 第VI部 聲明及簽署**

- I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution 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 by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with 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) . 本人知悉及同意，財務機構可根據《稅務條例》（第 112 章）有關交換財務帳戶資料的法律條文，（a）收集本表格所載資料並可備存作自動交換財務帳戶資料用途及（b）把該等資料和關於控權人及任何須申報帳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 certify that I am authorized to sign for the account holder of all the account(s) to which this form relates. 本人證明，就與本表格所有相關的帳戶，本人帳戶持有人授權簽署本表格。
- I undertake to advise Signal D 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 Signal D with a suitably updated self certification form within 30 days of such change in circumstances. 本人承諾，如情況有所改變，以致影響本表格第 1 部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，本人會通知信有道證券有限公司，並會在情況發生改變後 30 日內，向信有道證券有限公司提交一份已適當更新的自我證明表格。
- 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. 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。

| **Signature 簽署** | Name<br>姓名 | |
|---|---|---|
| | Capacity<br>身份*: | Date<br>日期 |

* E.g. director or officer of a company, partner of a partnership, trustee of a trust, etc. 例如: 公司的董事、合夥的合夥人、信託的受託人等

**WARNING:** 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). 警告: 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。