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
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Self-Certification Form – Controlling Person
自我證明表格 - 控制人

Important Notes 重要提示

- This is a self-certification form provided by an account holder to 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。信有道證券有限公司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。
- 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有限公司。
- 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有限公司須向稅務局申報的資料。

Part I: Account Information 帳戶資料

Account Name 帳戶名稱	Account Number 帳戶號碼

Part II: Identification of Controlling Person 控權人的身份識辨資料

(1)Name of controlling person 控權人姓名

Title 稱謂 :

☐ Mr 先生 ☐ Mrs 太太 ☐ Miss 小姐 ☐ Ms 女士

Surname姓氏*	Given name 名字*	Middle name(s)中間名

(2)ID/ Passport number 身份證/護照號碼	(3) Date of birth 出生日期*

(4)Current residence address 現時住址

(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: The Entity Account Holder(s) of Which you are a Controlling Person 你作為控權的實體帳戶持有人

Enter the name of the entity account holder of which you are a controlling person. 填寫你作為控權人的實體帳戶持有人的名稱。

Part IV: Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN")
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 V: Type of Controlling Person 控權人類別

Tick the appropriate box to indicate the type of controlling person for the entity stated in Part III.
就第III 部所載的實體，在適當方格內加上剔號，指出控權人就該實體所屬的控權人類別。

Type of Entity 實體類別	Type of Controlling Person 控權人類別
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（即擁有不少於百分之二十五的已發行股本）
	□ 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（即擁有不少於百分之二十五的表決權）
	□ 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 財產授予人
	□ 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：如財產授予人/受託人/保護人/受益人為另一實體，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/相類於財產授予人位置的個人
	□ 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的成員位置的個人
	□ Other (e.g. individual who exercises control over another entity being equivalent /similar to settlor /trustee /protector /beneficiary) 其他（例如：如處於相等/相類於財產授予人/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）

Part VI: Declarations and Signature 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 the controlling person / I am authorized to sign for the controlling person of all the account(s) held by the entity account holder(s) to which this form relates. #本人證明，就與本表格所有相關的實體帳戶持有人所持有的帳戶，本人是控權人 / 本人獲控權人授權簽署本表格。
- 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 姓名	
	Capacity 身份*:	Date 日期

Delete as appropriate # 刪去不適用者

* Indicate the capacity if you are not the individual identified in Part II. If signing under a power of attorney, attach a certified copy of the power of attorney. 如您不是第 II 部所述的個人，說明您的身分。如果您是以受權人身分簽署這份表格，須夾附該授權書的核證副本。

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。