

In order to conform with the Foreign Account Tax Compliance Act (“FATCA”) and the Common Reporting Standards (“CRS”), Hermes Securities Limited (“HSL”) is required to collect certain information (including U.S. tax status or tax residency) from its clients to determine if reporting of their personal and financial information to the relevant governmental authorities is required annually.

為了符合海外賬戶稅收合規法案及共同匯報標準，凱敏證券有限公司（「凱敏證券」）須向其客戶們收集若干資料（美國稅務狀況和稅務居住身份包括在內），而決定是否需要每年向有關政府部門申報他們的個人及財務資料。

**As a financial institution, HSL is not allowed to give you any legal or tax advice. Any information provided in this form shall not be construed as any legal or tax advice.**

作為一家金融機構，凱敏證券不允許向閣下提供任何法律或稅務意見。本表格所載的任何資料將不可以被解釋為任法律或稅務意見。

If you have any questions about this form or how to determine your U.S. tax status or tax residency, please contact your legal/tax advisor or jurisdictional tax authority, or seek further information from the Internal Revenue Service of the United States ([www.irs.org](http://www.irs.org)) or the Organisation for Economic Co-operation and Development ([www.oecd.org](http://www.oecd.org)).

若閣下對本表格或如何監定閣下的美國稅務狀況或稅務居住身份有任何疑問，請與閣下的法律/稅務顧問或管轄稅務當局查詢，或向美國國家稅務局 ([www.irs.gov](http://www.irs.gov)) 或經濟合作與發展組織 ([www.oecd.org](http://www.oecd.org)) 索取進一步資料。

## **Entity Self-Certification Form (FATCA and CRS)**

### **實體自我證明表格 (海外賬戶稅收合規法案及共同匯報標準)**

#### **Section 1 - IDENTIFICATION OF ENTITY ACCOUNT HOLDER**

##### **第一部份 – 實體賬戶持有人身份識辨**

Legal Name of Entity

實體的法律名稱

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Certificate of Incorporation No.

公司註冊號碼

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Business Registration No.

商業登記號碼

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#### **Current Business Address**

現時營業地址

Line 1

第一行

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Line 2

第二行

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Country

國家

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#### **Mailing Address** (Please only complete if different to current business address)

通訊地址 (如通訊地址與現時營業地址不同，請填寫此欄)

Line 1

第一行

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Line 2

第二行

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Country

國家

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#### **Date of Incorporation**

註冊日期

---

#### **Country of Incorporation**

註冊國家

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**Section 2 - FATCA DECLARATION BY ENTITY ACCOUNT HOLDER**

**第二部份 – 實體賬戶持有人海外賬戶稅收合規法案聲明**

Please confirm the U.S. tax status of the Entity under the provision of FATCA. Please choose either one and complete as appropriate.

根據海外賬戶稅收合規法案的條文，請確認實體的美國稅務狀況。請選擇其中一項，並適當地填寫。

<input type="checkbox"/>	<p>Under the relevant U.S. tax laws, we confirmed that the Entity is incorporated, established, constituted or organised in the U.S. or under the law of the U.S. We undertake to notify HSL in writing within 14 days of any change regarding the foresaid representation and confirmation. (**Please complete “Form W-9”**.)</p> <p>根據美國相關稅務法規，吾等確認實體是在美國或根據美國的法律註冊、成立、設立或組織。倘若上述之申述及確認有任何改變，吾等承諾會於 14 天內以書面方式通知凱敏證券。(**請填寫「W-9 表格」**。)</p> <p>Our Federal Taxpayer Identification Number (“TIN”) is _____</p> <p>吾等的聯邦納稅人識別號碼 (「納稅人號碼」) 是 _____</p>
<input type="checkbox"/>	<p>Under the relevant U.S. tax laws, we confirmed that the Entity is not incorporated, established, constituted or organised in the U.S. or under the law of the U.S. We undertake to notify HSL in writing within 14 days of any change regarding the foresaid representation and confirmation. (**Please complete “Form W-8”**.)</p> <p>根據美國相關稅務法規，吾等確認實體不是在美國或根據美國的法律註冊、成立、設立或組織。倘若上述之申述及確認有任何改變，吾等承諾會於 14 天內以書面方式通知凱敏證券。(**請填寫「W-8 表格」**。)</p>

If the Entity is not incorporated, established, constituted or organised in the U.S. or under the law of the U.S., please choose one of the following FATCA classification as per definition under the relevant FATCA rules and complete as appropriate:

若實體不是在美國或根據美國的法律註冊、成立、設立或組織，根據相關 FATCA 法則的定義，請選擇以下其中一項 FATCA 分類，並適當地填寫：

Institution Type 機構種類	FATCA Classification 海外賬戶稅收合規法案分類	Global Intermediary Identification Number 全球中介機構識別號碼 (“GIIN”)
Financial Institution 金融機構	<input type="checkbox"/> Participating Foreign Financial Institution (“FFI”). 參與的外國金融機構。	
	<input type="checkbox"/> Reporting Model 1 FFI. 申報版本一的外國金融機構。	
	<input type="checkbox"/> Reporting Model 2 FFI. 申報版本二的外國金融機構。	
	<input type="checkbox"/> Deemed-Compliant FFI. 視為合規的外國金融機構。	
	<input type="checkbox"/> Non-participating FFI. 不參與的外國金融機構。	
Non-Financial Institution 非金融機構	<input type="checkbox"/> Publicly Traded Corporation. 上市公司。	
	<input type="checkbox"/> Affiliate of a Publicly Traded Corporation. 公開上市公司的聯繫公司。	
	<input type="checkbox"/> Charity or Non-Profit Organization. 慈善或非牟利組織。	
	<input type="checkbox"/> Public Sector Entity, Central Bank or International Organisation. 公營部門實體、中央銀行或國際組織。	
	<input type="checkbox"/> Active Non-Financial Foreign Entity (“NFFE”). 主動非金融外國實體。	
	<input type="checkbox"/> Passive NFFE. 被動非金融外國實體。	
	<input type="checkbox"/> <b>DO NOT HAVE</b> substantial U.S. owner(s) whose percentage of ownership is more than 10% directly or indirectly. 没有直接地或間接地持有 10% 以上股權的重要美國股東。 <input type="checkbox"/> <b>HAVE</b> substantial U.S. owner(s) whose percentage of ownership is more than 10% directly or indirectly. (Please complete the “Survey of Substantial U.S. owner of the Entity”). 有直接地或間接地持有 10% 以上股權的重要美國股東。(請填寫“實體重要美國股東的調查”)。	
<input type="checkbox"/> Others (please specify): 其他 (請列明) : _____		

### Survey of Substantial U.S. Owner of the Entity

#### 實體重要美國股東的調查

If the Entity is a Passive NFFE, please provide the details of each substantial U.S. owner(s) who own more than 10% of the Entity directly or indirectly.

若實體為一間被動非金融外國實體，請提供每一位直接地或間接地持有 10% 以上股權的重要美國股東的資料。

Name 姓名	Current Residential Address 現時住址	TIN 納稅人號碼

### **Section 3 - CRS DECLARATION BY ENTITY ACCOUNT HOLDER**

#### **第三部份 – 實體賬戶持有人共同匯報標準聲明**

Please confirm the tax residency status of the Entity under the provision of CRS. Please indicate (i) the jurisdiction of residence (including Hong Kong) where the Entity is a resident for tax purposes; and (ii) the Taxpayer Identification Number of Functional Equivalent (“TIN”) of the Entity for each jurisdiction indicated. Indicate **ALL (not restricted to five)** jurisdiction of residence.

根據共同匯報標準的條文，請確認實體的稅務居民狀況。請列明 (i) 實體的居留司法管轄區，亦即實體的稅務管轄區 (香港包括在內) 及 (ii) 居留司法管轄區發給實體的稅務編號或具有等同功能的識別編號 (「稅務編號」)。列明**所有 (不限於 5 個)** 居留司法管轄區。

Provision of a valid TIN is required unless the entity is a tax resident in a jurisdiction that does not issue a TIN. If the Entity is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number.

除非實體為不設稅務編號的司法管轄區稅務居民，否則必須提供有效稅務編號。若實體是香港稅務居民，稅務編號是其香港商業登記號碼。

If the Entity is not a tax resident in any jurisdiction (e.g. fiscally transparent), indicate the jurisdiction in which its place of effective management is situated.

若實體並非任何稅務管轄區的稅務居民 (如基於其財政透明)，列明實際管理機構所在的稅務管轄區。

Jurisdiction of Residence (Country) 居留 司法管轄區 (國家)	TIN 稅務編號
(1)	
(2)	
(3)	
(4)	
(5)	

Please choose one of the following CRS classification as per the definition under the relevant CRS rules and complete as appropriate:  
 根據相關共同匯報標準法則的定義，請選擇以下其中一項共同匯報標準分類，並適當地填寫：

Entity Type 實體種類	CRS Classification 共同匯報標準分類
Financial Institution 財務機構	<input type="checkbox"/> Custodial Institution. 託管機構。
	<input type="checkbox"/> Depository Institution. 存款機構。
	<input type="checkbox"/> Specified Insurance Company. 指明保險公司。
	<input type="checkbox"/> Investment Entity, except an Investment Entity that is managed by another Financial Institution and located in a non-participating jurisdiction. 投資實體，但不包括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。
Non-Financial Institution 非財務機構	<input type="checkbox"/> Active Non-Financial Entity (“NFE”) (by reason of income and assets). 主動非財務實體（符合相關收入及資產規定）。
	<input type="checkbox"/> Active NFE which its stock is traded on an established securities market. 主動非財務實體，其股票在一個具規模證券市場進行買賣。 Please provide the name of an established securities market 請提供具規模證券市場的名稱：_____。
	<input type="checkbox"/> Active NFE is a related entity of a publicly traded corporation. 主動非財務實體是一家上市公司的有關連實體。 Please provide the name of that publicly traded corporation: 請提供該上市公司的名稱：_____。
	<input type="checkbox"/> Active NFE - Governmental Entity or its wholly owned Entity. 主動非財務實體 - 政府實體或其全權擁有的實體。
	<input type="checkbox"/> Active NFE - International Organisation or its wholly owned Entity. 主動非財務實體 - 國際組織或其全權擁有的實體。
	<input type="checkbox"/> Active NFE - Central Bank or its wholly owned Entity. 主動非財務實體 - 中央銀行或其全權擁有的實體。
	<input type="checkbox"/> Active NFE - Holding NFE that is a member of a nonfinancial group (except that an Entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes). 主動非財務實體 - 屬並非財務集團成員的控權非財務實體 (但不包括，該實體以投資基金形式運作，或顯示本身是投資基金，例如私人股權基金、創業資本基金、槓桿式收購基金，或以下述活動為目標的投資工具：購買或資助任何公司，然後為投資目的，持有該等公司的權益作資本資產)。
	<input type="checkbox"/> Active NFE - Start-up NFE. 主動非財務實體 - 新成立的非財務實體。
	<input type="checkbox"/> Active NFE - NFE that is liquidating or emerging from bankruptcy. 主動非財務實體 - 正進行清盤或出現破產的非財務實體。
	<input type="checkbox"/> Active NFE - Treasury centre that is a member of a nonfinancial group. 主動非財務實體 - 屬並非財務集團成員的財資中心。
	<input type="checkbox"/> Active NFE - Non-profit NFE. 主動非財務實體 - 非牟利的非財務實體。
	<input type="checkbox"/> Passive NFE (Please complete the “Survey of Controlling Persons of the Entity”). 被動非財務實體 (請填寫「實體控制權入仕的調查」) <input type="checkbox"/> NFE that is not an Active NFE. 不屬主動非財務實體的非財務實體。 <input type="checkbox"/> Investment Entity that is located in a non-participating jurisdiction and managed by another financial institution. 投資實體，位於非參與稅務管轄區的投資實體，並由另一財務機構管理。
	<input type="checkbox"/> Other. 其他。 Please specify: 請註明：_____。

## Survey of Controlling Persons of the Entity

### 實體控制權人士的調查

If the Entity is not an Active NFE or an Investment Entity that is located in a non-participating jurisdiction and managed by another financial institution, please complete the information of ALL controlling person(s) of the Entity. "Control" over an Entity is generally exercised by the natural person(s) who ultimately has a controlling ownership of more than 10% in the Entity. Where no natural person(s) exercise control through ownership interests, the controlling person(s) of the Entity will be the natural person(s) who exercised control of more than 10% of the Entity through other means. If no natural person exercised control over the entity, the controlling person will be the individual holding the position of the senior managing official. *(Please use Appendix 1 in case if there is not enough spaces.)*

若實體為一間不屬主動非財務實體的非財務實或投資實體，位於非參與稅務管轄區的投資實體，並由另一財務機構管理，請填寫實體所有控制權人士的資料。自然人仕對某實體的『控制權』，通常透過其在實體的控制擁有權權益行使多過 10%。如沒有自然人仕透過擁有權權益行使控制，該實體的控制權人仕將會是透過其他方式對該實體行使多過 10% 控制權的自然人仕。若行使控制權控制權的並非自然人仕，控權人仕是高級管理人員。 *(如果沒有足夠空間，請使用附錄一。)*

Name of Controlling Person 控制權人士的姓名					
HKID Card / Passport No. 香港身分證 / 護照號碼					
Current Residential Address 現時住址					
Date of Birth 出生日期					
*Type of Controlling Person *控制權人士的類別					
ALL (not restricted to five) Jurisdiction of Residence (Country) 所有 (不限於 5 個) 居留司法管轄區 (國家)					
TIN 稅務編號					
Signed by Controlling Person 控制權人士簽署					

\*For Legal Entity, type of controlling person can be (1) Control by Ownership; (2) Control by Exercising Control Through Other Means, or (3) Senior Managing Official.

\*就法人實體，控制權人士的類別可以是 (1) 以擁有權形式控制，(2) 以其他形式控制，或 (3) 高級管理人員。

## **Section 4 – ACKNOWLEDGEMENT AND UNDERTAKING BY ENTITY ACCOUNT HOLDER**

### **第四部份 – 實體賬戶持有人確認及承諾**

By signing this form, we, (Legal Name of the Entity) \_\_\_\_\_, hereby acknowledge and undertake that:

本表格一經簽署，吾等，(實體的法律名稱) \_\_\_\_\_，謹此確認及承諾:

- All the information provided in this form is true, complete, correct and accurate;  
所有填寫於本表格之資料均屬真實、完整及準確無訛；
- We understood and acknowledged that HSL may suffer loss or incur penalty and/or damage if the information contained in this form is or proves to be incorrect, false or misleading when made. We agreed to indemnify HSL on demand for such loss, penalty and/or damage;  
吾等知道及確認，倘若本表格所載的資料是或被證明是不正確、虛假或具誤導性，凱敏證券可能因此蒙受損失或招致刑罰及/或損害。吾等就所有該等損失、刑罰及/或損害對凱敏證券作出彌償；
- We understood and agreed that the information contained in this form and other information are collected and directly or indirectly reported by HSL to other relevant governmental authorities (including the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region) as per the provisions of FATCA and CRS;  
吾等明白及同意，凱敏證券可根據海外賬戶稅收合規法案及共同匯報標準的條文，收集本表格所載資料及其他資料，並向其他有關政府部門(香港稅務局包括在內)直接地或間接地申報；
- We undertook and agreed to notify HSL, and provide HSL with a suitably updated “Entity Self-Certification Form (FATCA and CRS)” and a relevant new IRS form within 14 days in writing of any change in circumstances which affects our U.S. tax status and/or our tax residency declared in the form or cause the information contained herein to become incorrect or incomplete; and  
吾等承諾及同意，如情況有所改變，以致影響本表格所述的吾等美國稅務狀況及/或稅務居民身份，或引致本表格所載的資料不正確或不完整，吾等會於 14 天內以書面方式通知凱敏證券，並向凱敏證券提交一份已適當地更新的「實體自我證明表格(海外賬戶稅收合規法案及共同匯報標準)」及相關新的美國國稅局表格；及
- If there is any inconsistency or ambiguity between the English version and the Chinese version of this form, the English version shall prevail.  
若本表格的中、英文兩個版本有任何抵觸或不相符之處，須以英文版本為準。

### **SIGNED by 簽署**

\_\_\_\_\_  
Authorised Signature(s) (with Company Chop)

獲授權人仕簽署(及公司蓋章)

Client Name

客戶姓名

Account No.

賬戶號碼

Date

日期