

*CRS Controlling Persons Self Certification Form*

控制人税收居民身份声明文件

*Please read these instructions before completing this form*

请于完成表格前阅读此份说明

## **Why are we asking you to complete this form?**

**我们为何需要您完成这份表格？**

To help protect the integrity of tax systems, governments around the world are introducing a new information gathering and reporting requirement for financial institutions. This is known as the Common Reporting Standard (the CRS).

为协助打击逃税，维护税制完整，全球各地政府现正推出适用于金融机构的资料收集及汇报新规的要求，名为共同汇报标准（简称“CRS”）。

Under the CRS, we are required to determine where you are “tax resident” (this will usually be where you are liable to pay corporate income taxes). If you are tax resident outside the country/jurisdiction where your account is held we may need to give the national tax authority this information, along with information relating to your accounts. That may then be shared between different countries'/jurisdictions' tax authorities. CRS 规定，我们必须确定您的“税收居民身份”（通常是您有义务缴纳所得税或公司税的国家/地区）。若您的税收居民身份或纳税地有别于开户所在地，我们或将此情况以及您的账户资料告知您账户所在国家/地区税务机关。相关资料或由您的税收居民身份所在国家/地区或多个国家/地区税务机关共享。

Completing this form will ensure that we hold accurate and up to date information about your tax residency. 完成此表格可以确保我们持有您的准确、及时的税务居民信息。

If your circumstances change and any of the information provided in this form becomes incorrect, please let us know immediately and provide an updated self-certification.

如您的情况有变化或者此表格信息不正确，请及时告知并提供更新的自行声明。

## **Who should complete the CRS Controlling Persons Self Certification Form?**

**谁需要完成这份 CRS 个人自行声明表格？**

When an account is held with Hang Seng Bank (China) Limited on behalf of a Passive Entity (for example certain trusts or investment vehicles) we need those individuals identified as having ultimate control of the entity to complete a form. These individuals are termed “controlling persons”.

当所在恒生银行（中国）有限公司的账户的账户持有人是被动实体（例如某些信托，或者投资工具）时，我们那些对这些实体拥有最终控制权力的个人填写本表格。这些人称为“控制人”。

Even if you have already provided information in relation to the United States Government’s Foreign Account Tax Compliance Act (‘FATCA’), you may still need to provide additional information for the CRS as this is a separate regulation.

即使您已经提供美国政府的《海外账户税收合规法案》（“FATCA”）的相关信息您将依旧需要提供 CRS 需要的更多信息，由于 CRS 是独立的条例。



If you are completing this form on behalf of a controlling person, please ensure that you let them know that you have done so and tell us in what capacity you are signing in Part 4. For example you may be a representative of the entity, or completing the form under a power of attorney.

如果您是代表别人来填写这份表格，请在第四部分中告知我们您所代表的身份是什么。例如，您可能是账户持有人的授权签字人或者受托人。

### **Where to go for further information**

#### **哪里可以获得更多信息**

If you have any questions about this form or these instructions please visit: [www.crs.hsbc.com](http://www.crs.hsbc.com)

如果对于此表格或者这些指令您有任何疑问，请访问网站：[www.crs.hsbc.com](http://www.crs.hsbc.com)

The 'Organisation for Economic Co-operation and Development' (OECD) has developed the rules to be used by all governments participating in the CRS and these can be found on the OECD's "Automatic Exchange of Information" (AEOI) website, [www.oecd.org/tax/automatic-exchange/](http://www.oecd.org/tax/automatic-exchange/)

“经济合作与发展组织”（OECD）为所有参与到 CRS 的政府制定了规则，这些规则在 OECD 的“自动交换信息”(AEOI)网站可找到，[www.oecd.org/tax/automatic-exchange/](http://www.oecd.org/tax/automatic-exchange/)

If you have any questions on how to define your tax residency status, please visit the State Administration of Taxation or OECD website .or speak to your tax advisor as we are not allowed to give tax advice.

您可以访问国税局或 OECD 的网站或者咨询您的税务顾问来确认您的税收居民身份，银行不提供税收建议。

You can find a list of definitions State Administration of Taxation or our public website.

您可在国税局网站或恒生银行官网中找到相关术语定义。

**Controlling Person tax residency self-certification FORM** (please complete Parts 1-3 in BLOCK CAPITALS)

自我证明表格 – 控制人 (请用正楷填写下列第一至第三部分)

**Part 1 – Identification of a Controlling Person** (控制人的身份识别资料)

**A. Name of Controlling Person:**

控制人的姓名

Family Name or Surname(s): (姓氏)

Title: (称谓)

First or Given Name: (名字)

Middle Name(s): (如适用)

**B. Current Residence Address**

现时住址:

Line 1 (e.g. House/Apt/Suite Name, Number, Street)

第1行 (例如: 室、楼层、大厦、街道、地区)

Line 2 (e.g. Town/City/Province/County/State)

第2行 (城市/省份)

Country (国家):

Postal Code/ZIP Code (邮政编码):

**C. Mailing Address:** (please complete if Section B above not completed)

通讯地址: (如通讯地址与现时住址不同, 填写此栏)

Line 1 (e.g. House/Apt/Suite Name, Number, Street)

第1行 (例如: 室、楼层、大厦、街道、地区)

Line 2 (e.g. Town/City/Province/County/State)

第2行 (城市/省份)

Country (国家):

Postal Code/ZIP code (邮政编码):

**D. Date of birth** (dd/mm/yyyy)

出生日期 (日/月/年)

**E. Place of birth**

出生地点

Town or City of Birth

镇/城市

Province of Birth

省份

Country of Birth

国家

**F. Controlling Person Tax Residency**

- Tax Residency is China (If you have ticked this, please move to part four)  
仅为中国税收居民 (如勾选此项, 请直接填写第四部分内容)
- Tax Residency is not in China  
仅为非居民
- Tax Residency is both China and other Country/Jurisdiction  
既是中国税收居民又是其他国家/地区税收居民

**G. Please enter the legal name of the relevant entity Account Holder(s) of which you are a Controlling Person**

填写你作为控制人的实体账户持有人的名称

Legal name of **Entity 1** (实体一的法定名称)

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Legal name of **Entity 2** (实体二的法定名称)

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Legal name of **Entity 3** (实体三的法定名称)

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**Part 2 –Country/Jurisdiction of Residence for Tax Purposes and related Taxpayer Identification Number or functional equivalent (“TIN”) (See Appendix)**

第二部份-税收居民国/地区及税务编号或具有等同功能的识辨编号（以下简称「税务编号」）

Please complete the following table indicating:

请在下方表格内提供以下资料，

- (i) *where the Controlling Person is tax resident;*  
(i) 账户持有人的税收居民辖区（中国包括在内）
- (ii) *the Controlling Person’s TIN for each country/jurisdiction indicated; and,*  
(ii) 该税收居民辖区发给账户持有人的税务编号

*If the Controlling Person is tax resident in more than three countries/jurisdictions please use a separate sheet*

如果账户持有人所属于的税收居民国/地区多于三个，请另附页提供。

If a TIN is unavailable please provide the appropriate reason **A, B or C:**

（如没有提供税务编号，填写理由 A、B 或 C）

**Reason A - The country/jurisdiction where the controlling person is liable to pay tax does not issue TINs to its residents**

理由 A – 控制人的税收居民国/地区并没有向其居民发出税务编号

**Reason B - The controlling person is otherwise unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN in the below table if you have selected this reason)**

理由 B – 控制人不能取得税务编号。如选取这一理由，解释控制人不能取得税务编号的原因。

**Reason C -No TIN is required. (Note. Only select this reason if the authorities of the country/jurisdiction of tax residence entered below do not require the TIN to be disclosed)**

理由 C – 控制人无须提供税务编号。税收居民国/地区的主管机关不需要控制人披露税务编号。

Country/Jurisdiction of tax residence (税收居民国/地区)	TIN (税务编号)	If no TIN available enter Reason A, B or C (如没有提供税务编号，填写理由 A、B 或 C)
1		
2		
3		

*Please explain in the following boxes why you are unable to obtain a TIN if you selected Reason B above.*

如选取理由 B，解释账户持有人不能取得税务编号的原因

1	
2	
3	

### Part 3 – Type of Controlling Person

第三部分控制人类别

(Please provide the Controlling Person's Status by ticking the appropriate box)

请在下方的表格中适当方格内加打勾，指出控权人就每个实体所属的控权人类别)

<b>Please provide the Controlling Person's Status by ticking the appropriate box.</b>	Entity 1 实体一	Entity 2 实体二	Entity 3 实体三
a. Controlling Person of a legal person – <b>control by ownership</b> 法人控制人-通过所有权控制			
b. Controlling Person of a legal person – <b>control by other means</b> 法人控制人-通过其他形式控制			
c. Controlling Person of a legal person – <b>senior managing official</b> 法人控制人-高级管理层			
d. Controlling Person of a trust – <b>settlor</b> 信托控制人-财产授予人			
e. Controlling Person of a trust – <b>trustee</b> 信托控制人-受托人			
f. Controlling Person of a trust – <b>protector</b> 信托控制人-保护人			
g. Controlling Person of a trust – <b>beneficiary</b> 信托控制人-受益人			
h. Controlling Person of a trust – <b>other</b> 信托控制人-其他 (例如: 如财产授予人/受托人/保护人/受益人为另一实体, 对该实体行使控制权的个人)			
i. Controlling Person of a legal arrangement (non-trust) – <b>settlor-equivalent</b> 除信托以外的法律安排-处于相等/相类于财产授予人位置的个人			
j. Controlling Person of a legal arrangement (non-trust) – <b>trustee-equivalent</b> 除信托以外的法律安排-处于相等/相类于受托人位置的个人			
k. Controlling Person of a legal arrangement (non-trust) – <b>protector-equivalent</b> 除信托以外的法律安排-处于相等/相类于保护人位置的个人			
l. Controlling Person of a legal arrangement (non-trust) – <b>beneficiary-equivalent</b> 除信托以外的法律安排-处于相等/相类于受益人或某类别受益人的成员位置的个人			
m. Controlling Person of a legal arrangement (non-trust) – <b>other-equivalent</b> 除信托以外的法律安排-其他 (例如: 如处于相等/相类于财产授予人/受托人/保护人/受益人位置的人为另一实体, 对该实体行使控制权的个人)			



## Part 4 – Declarations and Signature

### 第四部分-声明及签署

I understand that the information supplied by me is covered by the full provisions of the terms and conditions governing the Account Holder's relationship with Hang Seng Bank (China) Limited setting out how Hang Seng Bank (China) Limited may use and share the information supplied by me.

本人已知悉本人所提供的信息受到恒生银行（中国）有限公司如何使用和分享账户持有人提供的信息的相关条款和规定的约束。

I acknowledge, or if I am duly authorized to sign this form on behalf of the Controlling Person, I have obtained the consent from the Controlling Person, that the information contained in this form and information regarding the Controlling Person 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/the Controlling Person] may be tax resident pursuant to intergovernmental agreements to exchange financial account information.

本人知悉及同意，在本人被授权代表控制人签署本表格的情形下，本人已获得控制人的同意，把本表格所涉及的信息以及有关控制人和需要报送的账户的信息报送至账户所在国的税务机关，并把信息提供至我/实际控制人的税收居民国/地区的税务机关。

I certify that I am the Controlling Person, or am authorised to sign for the Controlling Person, of all the account(s) held by the entity Account Holder to which this form relates and where I am not the Controlling Person.

本人证明，就与本表格所有相关的实体账户持有人所持有的账户，本人是控制人/本人已获授权签署本表格。

I certify that where I have provided information regarding any other person (such as a Controlling Person or other Reportable Person to which this form relates) that I will, within 30 days of signing this form, notify those persons that I have provided such information to Hang Seng Bank (China) Limited and that such information may be provided to the tax authorities of the country/jurisdiction in which the account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which the person may be tax resident pursuant to intergovernmental agreements to exchange financial account information.

本人证明，本人会在签署本表格的 30 天内通知所有本表格所有信息所涉及的相关人员（例如，控制人以及其他本表格涉及的其他需要报送的人员），告知其本表格的相关信息有可能需要报送的账户的信息报送至账户所在国/地区的税务机关，并依据国别间的财务账户信息交换协议把信息提供至其所属的税收居民国/地区的税务机关。

**I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete.**

本人声明就本人所知所信，本表格内所填报的所有资料和声明均属真实、正确和完备。

I undertake to advise Hang Seng Bank (China) Limited within 30 days 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 Hang Seng Bank (China) Limited with a suitably updated self-certification and Declaration within 90 days of such change in circumstances.

本人承诺，如情况有所改变，以致影响本表格第 1 部所述的个人的税务居民身分，或引致本表格所载的资料不正确，本人会会在情况发生改变后 30 日内通知恒生银行（中国）有限公司，并会在情况发生改变后 90 日内向恒生银行（中国）有限公司提交一份已适当更新的自我证明表格

Signature（签名）： \_\_\_\_\_

Print name（名字请用正楷填写）： \_\_\_\_\_

Date（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. If you are a representative from the Account Holder, please affix the Account Holder's company chop as well.

如果阁下不是控制人，请告知签署本函时您所代表的身份，如果基于授权而签署本函件，请附上授权书。如果阁下任职于账户持有人，请在签名时加盖账户持有人公章。

Capacity 签署人身份： \_\_\_\_\_