



ENTITY SELF CERTIFICATION FORM

机构税收居民身份声明文件

<p>Entity Name 机构名称</p>	
<p>1. Entity Type 机构类别</p>	<p><input type="checkbox"/> (a) Financial Institution - Investment Entity 金融机构 - 投资机构</p> <p><input type="checkbox"/> i. An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution 一所位于非参与“金融账户涉税信息自动交换多边主管当局间协议”地区并由另一金融机构控制的投资主体</p> <p><input type="checkbox"/> ii. Other Investment Entity 其他投资机构</p> <p><input type="checkbox"/> (b) Financial Institution - Depository Institution, Custodial Institution or Specified Insurance Company 金融机构 - 存款机构, 托管机构或者特定保险公司</p> <p>If you have ticked (a) or (b) above, please provide, if held, the Account Holder's Global Intermediary Identification Number ("GIIN") obtained for FATCA purpose 如选择了以上(a)或(b)选项, 请提供因 FATCA 事宜申请过的 GIIN 号码(如有)</p> <div style="border: 1px solid black; height: 20px; width: 100%;"></div> <p><input type="checkbox"/> (c) Active NFE - a corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation 主动的非金融实体 - 该非金融实体的股票于成熟证券市场正常交易, 或该非金融实体是上市公司关联机构</p> <p>If you have ticked (c), please provide the name of the established securities market on which the corporation is regularly traded: 如选择(c)项, 请提供具体所在上市交易所的名称:</p> <div style="border: 1px solid black; height: 20px; width: 100%;"></div> <p>If you are a Related Entity of a regularly traded corporation, please provide the name of the regularly traded corporation that the Entity in c is a Related Entity of: 如贵司是上市公司的关联机构, 请提供上市公司的名称</p> <div style="border: 1px solid black; height: 20px; width: 100%;"></div> <p><input type="checkbox"/> (d) Active NFE - a Government Entity or Central Bank 主动的非金融实体 - 政府实体或者中央银行</p> <p><input type="checkbox"/> (e) Active NFE - an International Organisation (for example the United Nations or NATO) 主动的非金融实体 - 国际组织(例如联合国或北约组织)</p> <p><input type="checkbox"/> (f) Active NFE - others 主动的非金融实体 - 其他</p> <p><input type="checkbox"/> (g) Passive NFE 消极非金融机构</p> <p>If you have ticked 1(a)(i) or 1(g) above, then please 如果选择上一部分的 1(a)(i) 或者 1(g) 请提供下方信息</p> <p>a. Indicate the name of any Controlling Person(s) of the Account Holder 账户所有人的控制人的名称</p> <div style="border: 1px solid black; height: 20px; width: 100%;"></div> <p>b. Complete "Controlling Person tax residency self-certification form" for each Controlling Person. 请根据每位控制人信息填写“控制人税收居民身份声明文件”</p> <p>Note: If pursuant to China local regulation, controlling person's information is required, the controlling person will be identified according to Article 13 of China local regulation*. (Refer Definition note) 备注: 如需要提供控制人信息的, 机构需依据中国本地法规*第十三条(参考附注)依次判定所有需要提供信息的控制人。</p>
<p>2. Entity Tax Residency 机构税收居民身份</p>	<p><input type="checkbox"/> Tax Residency is China 仅为中国税收居民</p> <p>If you have ticked this, please move to section Five 如勾选此项, 请直接填写第五项内容</p> <p><input type="checkbox"/> Tax Residency is not in China 仅为非居民</p> <p><input type="checkbox"/> 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</p>



3. Entity Details 机构基本信息	Entity Name (EN) 机构名称 (英文)			
	Entity Address (EN/PIN YIN) 机构地址 (英文或拼音)	Country/Jurisdiction 国家/地区	Province(State) 省(州)	City(Town) 市(县)
4. Country / Jurisdiction of Tax Residency and TIN 税收居民国/地区及纳税人识别号		Country / Jurisdiction of tax residence 税收居民国/地区	TIN 纳税人识别号	If no TIN available, enter Reason 如没有提供纳税人识别号, 填写理由
	1			<input type="checkbox"/> Reason A 理由 A <input type="checkbox"/> Reason B 理由 B <input type="checkbox"/> Reason C 理由 C
	2			<input type="checkbox"/> Reason A 理由 A <input type="checkbox"/> Reason B 理由 B <input type="checkbox"/> Reason C 理由 C
	3			<input type="checkbox"/> Reason A 理由 A <input type="checkbox"/> Reason B 理由 B <input type="checkbox"/> Reason C 理由 C
Reason A - The country/jurisdiction where I am liable to pay tax does not issue TINs to its residents 理由 A - 在我负有纳税义务的国家/地区并没有向其税收居民签发纳税人识别号。				
Reason B - The Account Holder 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 - 账户持有人不能取得纳税人识别号。如选取这一理由, 解释账户持有人不能取得纳税人识别号的原因				
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 - 账户持有人无须提供纳税人识别号。税收居民国/地区的主管机关不需要账户持有人披露纳税人识别号。				

5. We understand that the information supplied by us is covered by the full provisions of the terms and conditions (as amended from time to time) 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 us.

本机构已知悉本机构所提供的信息受到所有适用于本机构与恒生银行(中国)有限公司业务关系的相关条款和规定(包括其不时做出的修改和更新)的约束, 该等条款和规定对恒生银行(中国)有限公司将如何使用和分享本机构提供的信息进行了规定。

We acknowledge that the information contained in this form 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 the Account Holder may be tax resident pursuant to intergovernmental agreements to exchange financial account information with the country/ies or jurisdiction/s in which this account(s) is/are maintained.

本机构知悉及同意本表格所含内容以及关于账户持有人和需要报送的账户的信息将有可能报送至该账户所在国/地区的税务机关, 并按照《金融账户涉税信息自动交换多边主管当局间协议》将该等信息交换至本机构可能做为税收居民的其他国家/地区的税务机关。

We certify that the undersigned is authorized to sign for the Account Holder in respect of all the account(s) to which this form relates.

本机构声明, 就与本表格所有相关的账户持有人所持有的账户, 下列人员已获授权签署本表格。

We certify that where we have provided information regarding any other person (such as a Controlling Person or other Reportable Person to which this form relates) that we will, within 30 days of signing this form, notify those persons that we 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.

本机构承诺, 本机构会在签署本表格的30天内通知所有本表格中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已被提供给恒生银行(中国)有限公司, 并且该等信息将被报送至账户所在国/地区的税务机关, 并依据政府间协议提供至其所属的税收居民的税务机关。本机构在此确认通过本表格所提供的信息和做出的声明都是真实、准确和完整的。

We confirm that all the information provided and statements made in this declaration are, to the best of our knowledge and belief, correct and complete. We undertake to advise HANG SENG BANK (CHINA) LIMITED within 30 days of any change in circumstance which affects the tax residency status of the Account Holder or causes the information contained herein to become incorrect (including any changes to the information on controlling persons), and to provide HANG SENG BANK (CHINA) LIMITED a suitably updated self-certification and Declaration within 90 days of such change in circumstances.

本机构承诺, 如情况有所改变(包括控制人相关信息的任何变更), 以致影响本机构税收居民身份的, 或引致本表格所载的任何其他信息不正确的, 本机构会在该等改变发生后30日内通知恒生银行(中国)有限公司, 并会在改变发生后90日内向恒生银行(中国)有限公司提交一份已适当更新的声明表格。

Authorized Signature

Date (dd/mm/yyyy)

授权签字人(签署): _____

日期(日/月/年): _____

(Company Chop 请同时加盖公章)

Print Name

名字请用正楷填写: _____