



## INSTRUCTIONS

### 填写说明

#### CRS Entity Self Certification Form

机构税收居民身份自我声明表格

*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 / 辖区）。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 / 辖区税务机关。相关资料或由您的税收居民身份所在国家/辖区或多个国家 / 辖区税务机关共享。

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 Entity Self Certification Form?

谁需要完成这份 CRS 机构税收居民身份自我声明表格？

Business banking customers (which includes all businesses, trusts and partnerships except sole traders) should complete this form.

商业以及企业银行客户需要填写本表格。

If you are a personal banking customer or a sole trader complete an ‘Individual Tax Residency’ Self-Certification Form (CRS-I). Similarly, if you are a controlling person of an entity, complete a ‘Controlling Person Tax Residency’ (CRS-CP) Self-Certification Form. You can find these forms at [www.hangseng.com.cn/1/2/crs](http://www.hangseng.com.cn/1/2/crs).

个人或者是个体经营户客户进行自我声明请填写供个人使用的 CRS 自我声明表格 (CRS-I)。同样的，如果你是机构客户的控制人，请填写供控制人使用的 CRS 自我声明表格 (CRS-CP)。您可通过网站 [www.hangseng.com.cn/1/2/crs-chi](http://www.hangseng.com.cn/1/2/crs-chi) 来下载此表格。

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，由于 CRS 是独立的条例，您将依旧需要提供 CRS 需要的更多信息。

Please tell us in what capacity you are signing in Part 5. For example you may be an authorised officer of the business or a trustee.

如果您被授权来填写这份表格，请在第五部分中告知我们您所代表的身份。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)

如果您对于此表格或者这些说明有任何疑问，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，银行不就此提供建议。

You can find a list of definitions on 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。

**Entity tax residency self-certification FORM** (please complete in BLOCK CAPITALS)

税收居民身份自我声明表格 – 机构客户 (请用正楷填写)

**Part 1 – Identification of Account Holder**

第一部分 机构账户持有人的身份识别资料

**1 Legal Name of Entity/Branch**

机构或分支机构的法定名称 \_\_\_\_\_

**2 Address information of the entity/branch is subject to that on Global Banking Account Opening Form [CNX32] / Global Banking Client Information Form [CNX514].**

机构或分支机构的地址信息以环球银行客户开户表[CNX32]/环球银行客户信息收集表[CNX514]中填写为准。

**Part 2 – Entity Type (Please provide the Account Holder's Status by ticking one of the following boxes)**

第二部分 机构种类 (请根据账户所有者的企业种类信息, 在下列符合的选项中打勾)

**1 (a) Financial Institution – Investment Entity** 金融机构 - 投资机构i. An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution (Note: if ticking this box please also complete Part 2(2) below) ☐

一所位于未参与“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 (如果选择此项, 请完成下面的第2 (2) 部分)

ii. Other Investment Entity 其他投资机构 ☐**(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

*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)*

\_\_\_\_\_

**(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** ☐

主动的非金融机构 - 该非金融机构的股票于成熟证券市场正常交易, 或该非金融机构是上市公司关联机构。

*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:*

\_\_\_\_\_

*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:*

\_\_\_\_\_

**(d) Active NFE – a Government Entity or Central Bank** ☐

主动的非金融机构 - 政府机构或者中央银行

**(e) Active NFE – an International Organisation (for example the United Nations or NATO)** ☐

主动的非金融机构-国际组织 (例如联合国或北约组织)



(f) **Active NFE – other than (c)-(e)**

主动的非金融机构 - 其他

☐

(g) **Passive NFE (Note: if ticking this box please also complete Part 2(2) below)**

消极非金融机构 (如果选择此项, 请完成下面的第2 (2) 部分)

☐

2 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:

a. Indicate the name of any Controlling Person(s) of the Account Holder

请提供账户所有人的控制人的名称

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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自我声明表格”

*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\*.*

(\*Please refer to instruction on State Taxation Administration

<http://www.chinatax.gov.cn/n810341/n810755/c2623078/content.html>)

备注: 如需要提供控制人信息, 机构需依据中国本地法规第十三条依次判定所有需要提供信息的控制人。(请参照<http://www.chinatax.gov.cn/n810341/n810755/c2623078/content.html>)

### Part 3 – Entity Tax Residency

#### 第三部分 机构税收居民身份

- ☐ Tax Residency is China (If you have ticked this, please move to part five)  
仅为中国税收居民 (如勾选此项, 请直接填写第五部分内容)
- ☐ Tax Residency is not in China  
仅为非居民
- ☐ Tax Residency is both China and other Country /Jurisdiction  
既是中國税收居民又是其他国家/辖区税收居民

### Part 4 – Country/Jurisdiction of Residence for Tax Purposes and related Taxpayer Identification Number or functional equivalent ("TIN") (see Appendix)

#### 第四部份 税收居民国/辖区及纳税人编号或具有等同功能的识别编号 (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 Account Holder is tax resident*  
账户持有人的税收居民国/辖区 (包括中国在内)
- (ii) *the Account Holder's TIN for each country/jurisdiction indicated*  
该税收居民国/辖区发给账户持有人的税务编号

If the Account Holder is not tax resident in any jurisdiction (e.g., because it is fiscally transparent), please indicate that on line 1 and provide its place of effective management or country/jurisdiction in which its principal office is located.

如果账户持有人并非任何税收居民国/辖区的税务居民 (例如: 它是财政透明机构), 填写实际管理机构所在的税收居民国/辖区。

If the Account Holder is tax resident in more than three countries/jurisdictions please use a separate sheet.  
 如果账户持有人所属的税收居民国/辖区多于三个，请另附页提供。

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

如没有提供税务编号，必须填写以下合适的理由：

**Reason A** - The country/jurisdiction where I am liable to pay tax does not issue TINs to its residents

理由 A - 账户持有人的税收居民国/辖区并没有向其居民发出税务编号。

**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税务编号。如选取这一理由，解释账户持有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 - 账户持有人无须提供税务编号。税收居民国/辖区的主管机关不需要账户持有人披露税务编号。

Country/Jurisdiction of tax residence 税收居民国/辖区	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，解释不能取得税务编号的原因。

1	
2	
3	

## Part 5 – Declarations and Signature

### 第五部份 声明及签署

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)/jurisdiction(s) in which this account(s) is/are maintained.

本机构知悉及同意把本表格所涉及的信息以及有关账户持有人和需要报送的账户的信息报送至该账户所在国/辖区的税务机关，且根据金融账户涉税信息自动交换的政府间协议，此表格信息将由账户所在国/辖区税务机关与账户持有人的税收居民国/辖区的税务机关交换。

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机构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）相关表格信息已提供至恒生银行（中国）有限公司并可能报送至账户所在国/辖区的税务机关，且根据金融账户涉税信息自动交换的政府间协议，此表格信息将由账户所在国/辖区税务机关与账户持有人的税收居民国/辖区的税务机关交换。

**We declare that all the information provided and statements made in this declaration are, to the best of our knowledge and belief, correct and complete.**

本机构在此声明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 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，或引致本表格所载的任何其他信息不正确，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 授权签字人（签署）  
(Company Chop 请同时加盖公章)

Print name 名字请用正楷填写

Date 日期（日/月/年）