

戶口號碼 Account Number: \_\_\_\_\_

分行號碼 Branch Code: \_\_\_\_\_

經紀號碼 A.E. Code: \_\_\_\_\_

**自我認證 SELF-CERTIFICATION**

(用於共同匯報標準("AEOI")及海外帳戶稅收合規法案("FATCA"))

(For Automatic Exchange of Information ("AEOI") and Foreign Account Tax Compliance Act ("FATCA"))

**重要提示:**

1. 此表格是由帳戶持有人提供給中信証券經紀香港和 / 或中信証券期貨香港為 AEOI 及 FATCA 的用途。
2. 根據 AEOI 和 FATCA 法規，中信証券經紀香港和 / 或中信証券期貨香港有責任通過自我認證收集客戶的稅務相關信息。
3. 此表格中的任何指導均不構成任何稅收建議，因此，您需要諮詢獨立專業顧問以填寫此自我認證表格所需的任何說明。
4. 根據 AEOI 和 FATCA 法規，中信証券經紀香港和 / 或中信証券期貨香港有責任可把此自行證明書內收集的資料及帳戶有關財務詳情轉交給金融機構所屬國家的稅務機關。
5. 表格的所有部分都必須填寫 (除非不適用或另有規定)。如果提供的空間不足，可另紙填寫。

**Important Notes:**

1. This form is provided to CSBHK and/or CSFHK by an account holder for the purpose of AEOI and FATCA.
2. Under AEOI and FATCA regulations, CSBHK and/or CSFHK is required to collect the tax related information of our customers through self-certification.
3. None of the guidance within this form constitutes any tax advice, you are therefore required to consult independent professional advisors for any assistance required to complete this self-certification form.
4. The data collected may be transmitted by CSBHK and/or CSFHK to the Inland Revenue Department and/or any other governmental bodies or agency for the purpose of complying with the AEOI and FATCA regulations.
5. All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, please use additional sheet(s).

**Part 1 – 稅務居民身份聲明 Tax Residency Declaration**

請提供一下資料，列明(a)帳戶持有人的居留司法管轄區，以及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。

Please list ALL jurisdictions (including Hong Kong) in which you are resident for tax purposes and provide the respective Tax Identification Number ("TIN") for each jurisdiction.

居留司法管轄區 Country/Jurisdiction of tax residence	稅務編號 TIN (or functional equivalent)	如沒有提供稅務編號，請填寫理由 A、B 或 C* If no TIN is available, please select a reason from A to C from the below list*	如選取理由 B，解釋帳戶持有人不能取得稅務編號的原因 Explanation for reason B

\*如沒有提供稅務編號，必須填寫合適的理由 List of reasons for non-availability of TIN:

- A. 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。Jurisdiction does not issue TIN or equivalent.
- B. 帳戶持有人不能取得稅務編號。如選取這一理由，請解釋帳戶持有人不能取得稅務編號的原因。Unable to obtain TIN, please explain.
- C. 帳戶持有人無需提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。TIN is not required as the Jurisdiction does not require disclosure.

 請✓選此框以確認您已聲明所有居留及稅務司法管轄區。

Please✓ the box to confirm you have specified ALL jurisdictions in which you are resident for tax purposes.

**Part 2 – 外國帳戶稅務遵從法 / 合格中介機構聲明 FATCA / QI Declaration**

按照美國稅務法規，請回答以下問題以確認您的身份。Please answer the following question in order to confirm your status under the tax laws and regulations of the United States.

您是否美國公民 / 美國居民 / 美國永久外輪居民 (即所謂綠卡持有人) ? Are you a United States citizen / United States resident / United States Permanent Resident Alien (i.e. a so called U.S. green card holder)?

是Yes       不是No

若您是個美國人士，請填寫和提供W9表格。If you are a US Person, please also provide the following W9 Form.

<https://apps.irs.gov/app/picklist/list/formsInstructions.html?value=w-9&criteria=formNumber>

如果您在中信證券經紀香港和 / 或中信證券期貨香港的帳戶中選擇了美國證券交易 (請參閱附加服務)，則您的帳戶將用於在美國市場交易或在全球市場中的美國證券 / 衍生品交易，請同時提供 W8 表格 <https://apps.irs.gov/app/picklist/list/formsInstructions.html?value=w-8&criteria=formNumber> 或 W9 表格 <https://apps.irs.gov/app/picklist/list/formsInstructions.html?value=w-9&criteria=formNumber>

In respect of your response, if US Securities Trading (See Additional Service) is your subscribed service in your account with CSBHK and / or CSFHK your account will be used for trading in US market or for trading in US Securities / Derivatives in Global Markets, please also provide W8-BEN Form <https://apps.irs.gov/app/picklist/list/formsInstructions.html?value=w-8&criteria=formNumber> or W9 Form <https://apps.irs.gov/app/picklist/list/formsInstructions.html?value=w-9&criteria=formNumber> as applicable.

注意：若您不是美國人士，並且不會使用在中信證券經紀香港和 / 或中信證券期貨香港開設的帳戶在美國市場進行交易，則可能不需要填寫W8 / W9表格。  
Note: If you are **NOT** a US Person and if account with CSBHK / CSFHK will **NOT** be used for trading in US market, then form W8/W9 may not be needed

根據偽證處罰，您的簽名將認證您已經檢查了本表中提供的資訊，並且據您所知並確信，該資訊是真實，正確和完整的。您在此證明及承諾：

Under penalties of perjury, Your signing in this Form to declare that you have examined the information provided in this form and to the best of your knowledge and belief it is true, correct, and complete. You further certify and undertake that:

1. 您是與該自認證相關的帳戶及所有收入的實益人(或您是帳戶實益人授權的簽署者)。You are the individual that is the beneficial owner (or You are authorized to sign and undertake this certification for the individual that is the beneficial owner) of all the income related to the account to which this self-certification relates,
2. 如果在此表格和 / 或 W8-BEN 表格或 W9 表格(如適用)上有任何認證出現於您的稅務狀況有關的情況變動，所提供的資料失實或不完整的情況下，您將在**30天之內**立即通知中信證券經紀香港和 / 或中信證券期貨香港，並提供更新的自我證明表格。You will notify CSBHK / CSFHK promptly and provide an updated Self-Certification form **within 30 days** if any certification made on this form and/or the W8-BEN Form or W9 Form (as applicable) becomes incorrect or invalid.
3. 您同意讓中信證券經紀香港和 / 或中信證券期貨香港披露本表格中包含的資訊以及與我在中信證券經紀香港和 / 或中信證券期貨香港帳戶中有關的任何資訊轉讓給位於任何司法管轄區的分支機構，分支機構或代表處以為執行與遵守相關法政及規定。You agree that CSBHK / CSFHK may disclose and transfer to its branches, affiliates or representative offices located in any jurisdiction the information contained in this form, and any information relating to my account(s) with CSBHK / CSFHK, in connection with or to facilitate their compliance with applicable laws and regulations.
4. 您同意中信證券經紀香港和 / 或中信證券期貨香港收集，使用和披露您提供的資訊(包括向任何政府機構或機構披露資訊)，以為執行與遵守相關法政及規定。You consent to CSBHK / CSFHK collecting, using and disclosing information (including disclosing information to any government authority or agency) that you have provided for the purpose of complying with applicable laws and regulations.

警告：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，無論是明知還是魯莽，即屬犯罪。犯罪者可被定罪。

**WARNING: It is an offence under local tax regulation if any person, in making a self- certification, makes a statement that is misleading, false or incorrect in a material particular whether it is knowingly or recklessly. The person who commits the offence is liable to conviction.**

客戶簽署 Signature(s) of customers:

客戶姓名 Customer's Names:

日期 Date:

Internal Use only

居留司法管轄區分析 Assessment on Jurisdiction of Residence / FATCA status

Please confirm the client's Jurisdiction of Residence and FATCA status according to KYC process via the above licensed person:

Jurisdiction of Residence
(1)
(2)
(3)
(4)
(5)

Explanation:  
(if applicable, please select  
appropriate or provide details)

- a. Client has not been staying in China for more than 183 days.
- b. Client has not been staying in HK for more than 180 days.
- c. \_\_\_\_\_

FATCA status: \_\_\_\_\_

Prepared by: \_\_\_\_\_ (AE/Sales) Date: \_\_\_\_\_

Checked by: \_\_\_\_\_ (CSO) Date: \_\_\_\_\_

Approved by: \_\_\_\_\_ (RO/BM/Business Head) Date: \_\_\_\_\_