



To 致： Core Pacific-Yamaichi International (H.K.) Limited 京華山一國際（香港）有限公司
Core Pacific-Yamaichi Futures (H.K.) Limited 京華山一期貨（香港）有限公司
(collectively referred as to “CPY” 下稱「京華山一」)

取消帳戶表格和自我證明書 (實體/公司帳戶)

ACCOUNT CLOSING FORM AND SELF-CERTIFICATION (ENTITY/CORPORATE)

帳戶資料 ACCOUNT INFORMATION		
帳戶號碼 Account Number :	帳戶持有人姓名 Account holder's Name :	日期 Date :

(Please tick the appropriate box below) (請在適當位置填上“√”)

<input type="checkbox"/> 請取消本人/我們以上所述在京華山一之證券/期貨帳戶 Please close my/our account(s) mentioned as above	或 or	<input type="checkbox"/> 請取消本人/我們所有在京華山一之證券/期貨帳戶 Please close <u>all</u> my/our account(s) with CPY
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現金結餘指示 CASH BALANCE INSTRUCTION

本人/我們放棄收取在京華山一之證券/期貨帳戶內的現金結餘
I / We hereby surrender my/our rights and interests to the cash balance under my/our CPY Securities / Futures Account(s)

存入本人/我們已登記之銀行帳戶
Deposit the cash balance into my/our Designated Bank Account

電子轉帳/匯款/支票存入*
Electronic Payment / Remittance / Cheque

貨幣/金額
Currency / Amount: _____

帳戶持有人姓名
Account Name: _____ 聯絡電話
Contact Tel No. _____

帳戶號碼
Account No: _____

銀行名稱
Bank Name: _____

分行名稱
Branch Name: _____

銀行國際代碼
SWIFT Code: _____

*款項存入之結算銀行帳戶名稱必須與開設於京華山一帳戶名稱相同。為核實結算銀行帳戶為客戶本人開設，客戶需提供銀行帳戶憑證。憑證需包含：銀行帳戶英文姓名、銀行帳戶號碼及銀行名稱或商標。Settlement bank account name for fund withdrawal must consist with the account name in CPYI and/or CPYF. For verifying settlement bank account name, bank account proof is required by CPYI and/or CPYF. The proof must contain: Bank Account Name, Bank Account Number and Bank Name/Logo.

證券指示 SECURITIES INSTRUCTION :

本人/我們放棄收取在京華山一之證券/期貨帳戶內的股票結存
I / We hereby surrender my/our rights and interests to the securities held under my/our CPY Securities / Futures Account(s)

股票名稱/號碼: _____ 股票數量: _____
Stock Name / Code _____ Stock Quantity _____

請轉帳到以下之保管人銀行
Please transfer to the following custodian bank

保管人銀行名稱:
Custodian Bank Name: _____

分行名稱:
Branch Name: _____

帳戶號碼:
Account No.: _____

帳戶持有人名稱:
A/C Name: _____

必須填寫: 共同匯報標準 - 自我證明 (請注意, 如客戶未能提供以下資料, 京華山一將提交閣下已登記之資料予香港特別行政區政府稅務局作共同匯報標準申報, 並不作另行通知)

MANDATORY: Self-Certification for Common Reporting Standard (Please note that if client fails to provide below information, CPY will submit your registered personal information to Inland Revenue Department of the Government of the HKSAR for CRS purpose without further notice)

第一部分 Part 1. Entity Type
請在適當地方填上別號及提供有關資料。Tick one of the appropriate boxes and provide the relevant information.

財務機構 Financial Institution	<input type="checkbox"/> 託管機構、存款機構或指明保險公司 Custodial Institution, Depository Institution or Specified Insurance Company <input type="checkbox"/> 投資實體, 但不包括由另一財務機構管理(例如: 擁有酌情權管理投資實體的資產)並位於非參與稅務管轄區的投資實體 Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity's assets) and located in a non-participating jurisdiction
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主動非財務實體 Active NFE	<input type="checkbox"/> 該非財務實體的股票經常在_____ (一個具規模證券市場) 進行買賣 NFE the stock of which is regularly traded on _____ which is an established securities market <input type="checkbox"/> _____的有關連實體，該有關連實體的股票經常在_____ (一個具規模證券市場) 進行買賣 Related entity of _____ the stock of which is regularly traded on _____, which is an established securities market <input type="checkbox"/> 政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體 NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities <input type="checkbox"/> 除上述以外的主動非財務實體 Active NFE other than the above (請說明 Please specify _____)
被動非財務實體(請完成第二部分) Passive NFE (Please complete Part 2)	<input type="checkbox"/> 位於非參與稅務管轄區並由另一財務機構管理的投資實體 Investment entity that is managed by another financial institution and located in a non-participating jurisdiction <input type="checkbox"/> 不屬主動非財務實體的非財務實體 NFE that is not an active NFE

第二部分: 控權人(如實體帳戶持有人是被動非財務實體, 填寫此部)

Part 2. Controlling Persons (Complete this part if the entity account holder is a passive NFE)

就帳戶持有人, 填寫所有控權人的姓名在列表內。就法人實體, 如行使控制權的並非自然人, 控權人會是該法人實體的高級管理人員。

每名控權人須分別填寫一份IR1457表格(控權人稅務居民自我證明表格)

Indicate the name of all controlling person(s) of the account holder in the table below. If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official. Complete Form IR1457 (Self-Certification Form – Controlling Person) for each controlling person.

(1)	(5)
(2)	(6)
(3)	(7)
(4)	(8)

客戶主任使用 For AE use	
已收到 _____份控權人稅務居民自我證明表格	<input type="checkbox"/> Received _____ copies of "Controlling Person tax residency self-certification form"

第三部分: 居留司法管轄區及稅務編號或具有等同功能的識別編號 (以下簡稱「稅務編號」)

Part 3. Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN")

請提供以下資料, 列明 (a) 帳戶持有人的居留司法管轄區, 亦即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。列出所有 (不限於5個) 居留司法管轄區。

如帳戶持有人是香港稅務居民, 稅務編號是其香港商業登記號碼。

如果帳戶持有人並非任何稅務管轄區的稅務居民 (例如: 它是財政透明實體), 填寫實際管理機構所在的稅務管轄區。

如沒有提供稅務編號, 必須填寫合適的理由:

理由 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。

理由 B – 帳戶持有人不能取得稅務編號。如選取這一理由, 解釋帳戶持有人不能取得稅務編號的原因。

理由 C – 帳戶持有人毋須提供稅務編號。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。

Please complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder's TIN for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence.

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number.

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

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

Reason A – The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

Reason B – The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.

Reason C – TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed

稅務管轄權所屬國家/地區 Jurisdiction of tax residence	稅務管轄權所屬國家/地區之稅務識別號碼 TIN*	如客戶未能提供有關稅務管轄權所屬國家/地區之稅務識別號碼須提供以下 A,B 或 C 原因。 Enter Reason A, B or C if no TIN is available	如選取理由 B, 解釋帳戶持有人不能取得稅務編號的原因 Explain why the account holder is unable to obtain a TIN if you have selected Reason B
1			
2			
3			
4			
5			

*例: 如帳戶持有人是香港稅務居民, 稅務編號是其香港商業登記號碼。; 中國之 TIN 稱為稅務登記證號碼/營業執照號碼。不同國家/地區之稅務識別號碼 TIN 規範及詳情, 請參閱國際經合組織官方網站 <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/>

E.g. If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number, and the CRS TIN for China is the Certificate of Tax Registration No. and Business Licence No. For the domestic rules of TIN of different jurisdictions, please refer to OECD website: <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/>

本人知悉及同意, 財務機構可根據《稅務條例》(第 112 章) 有關交換財務帳戶資料的法律條文, (a) 收集本表格所載資料並可備存作自動交換財務帳戶資料用途及 (b) 把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報。從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。本人證明, 就與本表格所有相關的帳戶, 本人獲帳戶持有人授權簽署本表格。

本人承諾, 如情況有所改變, 以致影響本表格所述的實體的稅務居民身分, 或引致本表格所載的資料不正確, 本人會通知京華山—國際及/或京華山一期貨, 並會在情況發生改變後 30 日內, 向京華山—國際及/或京華山一期貨提交一份已適當更新的自我證明表格。

本人聲明就本人所知所信, 本表格內所填報的所有資料和聲明均屬真實、正確和完備。

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

I certify that I am authorized to sign for the account holder of all the account(s) to which this form relates.
 I undertake to advise CPYI and/or CPYF of any change in circumstances which affects the tax residency status of the entity identified in this form or causes the information contained herein to become incorrect, and to provide CPYI and/or CPYF with a suitably updated self-certification form within 30 days of such change in circumstances.
 I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.
 警告:根據《稅務條例》第 80(2E)條, 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, 或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下, 作出該項陳述, 即屬犯罪。一經定罪, 可處第 3 級 (即\$10,000) 罰款。
 WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).

OPTIONAL 選擇性填寫 (ACCOUNT CLOSURE REASON FOR STATISTIC & IMPROVEMENT 取消帳戶原因 作統計及改進我們的服務)

- 暫時沒有交易/投資需要 No trading / investment need in the near futures
- 相熟經紀已離開京華山一 Account Executive has left CPY
- 公司決議 By Company Resolution
- 佣金及/或服務收費太高 Commission and/or services fee is too high
- 使用電子交易服務時遇到困難 Experience difficulty in using online trading services
- 不滿意京華山一的風險管理及保證金政策 Not satisfied with Risk Management or Margin Loan Policy
- 不滿意經紀/分行職員的服務 Not satisfied with services provided by Account Executive/Branch Officer
- 不滿意客戶服務部的服務 Not satisfied with services provided by Customer Services
- 使用京華山一其他戶口 Use another account in CPY
- 其他 (請說明) Other reason (please specify): _____

在辦妥現金及/或證券轉帳, 和本人/我們已提交所有共同匯報標準 - 自我證明相關資料後請取消本人/我們之帳戶
 Please close my/our account(s) with immediate effect after payment of the balance and/or transferring of the securities, and my completion of Self-Certification for Common Reporting Standard.

客戶簽名 Client Signature

FOR INTERNAL USE ONLY 內部專用	
<p>本人聲明就本人所知所信, 帳戶持有人填報的所有資料及聲明均屬真實, 正確和完備 declare that the information given by the account holder and statements made in this form are, to my best knowledge and belief, true, correct and complete. Account Executive's Signature:</p> <p style="text-align: right;">AE Code: _____</p>	<p>AOT: <input type="checkbox"/> 0006 <input type="checkbox"/> Futures A/C <input type="checkbox"/> 1001 <input type="checkbox"/> 1002 <input type="checkbox"/> 1008 <input type="checkbox"/> 1009 <input type="checkbox"/> Others</p>
<p>Settlement Department:</p> <p>Value Date: _____ Maker: _____</p> <p>Cheque No.: _____ Checker: _____</p>	<p>Remarks:</p> <p>Signature Verified by: _____ Date: _____</p> <p>Input By: _____ Date: _____</p> <p>Authorized By: _____ Date: _____</p>