

**更改客戶資料 (實體/公司帳戶) / 新增電子交易服務及自我證明書**  
**CHANGE OF ACCOUNT DETAILS (ENTITY/CORPORATE) / Application for Electronic Trading Service and Self-Certification Form**

\* 此欄必須填寫 Mandatory Fields

* 帳戶號碼 Account Number:	* 帳戶名稱 Account Name:
* 日間聯絡電話號碼 Day Time Contact No:	* 生效日期 Effective Date: _____ (DD/MM/YYYY)

須更改之資料如下 Please update my/our information as below [請在相關之方格內打  Please  the appropriate box]

**1. 更改帳戶持有人現營業地址 Change in Current Business Address:**

新營業地址 New Business address (請附上三個月內所發出的地址證明。Please enclose address proof issued within 3 months.) [不接受郵政信箱 P.O. Box is NOT accepted.]

第1行 (例如: 室、樓層、大廈、街道、地區) Line 1 (House /Apt/Suite Name, Number, Street):	
第 2 行 (城市) Line 2 (Town/City/Province/Country/State):	
國家 Country:	郵政編碼/郵遞區號碼 Postal Code/ZIP Code:

**2. 更改帳戶持有人郵遞地址 Change in Mailing Address:**

新通訊地址 New Mailing Address (請附上三個月內所發出的地址證明。Please enclose address proof issued within 3 months.)

第1行 (例如: 室、樓層、大廈、街道、地區) Line 1 (House /Apt/Suite Name, Number, Street):	
第 2 行 (城市) Line 2 (Town/City/Province/Country/State):	
國家 Country:	郵政編碼/郵遞區號碼 Postal Code/ZIP Code:

**3. 更改帳戶持有人聯絡號碼 Change in Contact Numbers:**

新辦公室電話號碼 (電話1) New office phone number (Tel 1):	新辦公室電話號碼 (電話2) New office phone number (Tel 2):
新手提電話號碼 New mobile phone number:	新傳真號碼 New fax number:

**4. 更改帳戶持有人電郵地址 Change in Email Address:**

新電郵地址 New email address:

**5. 更改郵遞方式 Change of Mailing Method:**

- 選擇甲: 請將綜合買賣合約結單及月結單以及其他服務有關之通信郵寄至本公司已在京華山一登記之通訊地址。  
Option A: Please send the buy / sell contract note, monthly statement and any other correspondence to my registered correspondence address.
- 選擇乙: 請將綜合買賣合約結單及月結單以及其他服務有關之通信電郵至以下本公司之電子郵箱。  
Option B: Please send the buy / sell contract note, monthly statement and any other correspondence to my email address as follow:

**聲明 Declaration:**

本公司同意及接受京華山一將不時透過以上指定之電子郵箱地址向本公司發出電子綜合買賣合約結單及月結單, 以及其他服務有關之通信, 而該等函件將視作正式通知。京華山一將不會對因通訊-設施發生故障或傳送失靈, 或非京華山一控制範圍或預測之任何其他原因所造成傳送或收取資訊之延誤負責。本公司知悉及同意京華山一將不時透過郵遞或電子郵件向本公司發出任何有關京華山一之推廣優惠資料。  
I/We accept and agree that Core Pacific - Yamaichi may send to me/us buy / sell contract note and monthly statement, and any other correspondence via the above designated e-mail address, those e-mail shall be treated as formal written notice. Core Pacific - Yamaichi will not be responsible for lost / delay in communication or transmission due to communication equipment failure, or circumstance beyond its control. I/We further agree that Core Pacific - Yamaichi may post or e-mail company's promotional and research report to me/us from time to time.

**6. 更改經紀 Change Account Executive:**

由 From: \_\_\_\_\_ (A.E.Code) 至 To: \_\_\_\_\_ (A.E.Code)

**7. 新增電子交易服務 Application for Electronic Trading Service:**

(請附上: 香港公司 - 最新周年申報表 / 海外公司 - 職權證明書。Please enclose: Hong Kong company - Latest Annual return / Overseas company - Certificate of Incumbency issued within 6 months.) \*\*會按情況要求提供額外文件 Additional documents may be required upon request\*\*

- 本公司確認並同意所有“京華山一國際”及“京華山一期貨”之“交易帳戶條款及條件”, 包括但不限於“電子交易服務之條款及條件”。  
I/We acknowledge and agree to the “Terms and Conditions for Trading Accounts” of CPYI and CPYF, including but not limited to the “Terms and Conditions of Electronic Trading Services”.

**請注意:** 1) 客戶必須持有有效的電郵地址, 及手提電話號碼, 才能使用電子交易服務。如有更新, 請填寫上述第3及/或4部份。  
2) 只提供一組網上交易帳戶及密碼。

**Please note:** 1) Client must have a valid email address and mobile phone number in order to utilize the electronic trading services. If there are any updates, please complete above sections 3 and/or 4.  
2) Only ONE set of electronic trading account login and password will be available.

8. 其他事項 Others:

**\*\* 必須填寫 Mandatory \*\***  
**共同匯報標準-自我證明表格 Self-Certification for Common Reporting Standard**

- 本公司確定共同匯報標準之自我證明內容沒有更改  
I/We confirm there is no change to my Self-Certification for Common Reporting Standard
- 本公司更改共同匯報標準之自我證明內容 (必須重新填寫共同匯報標準-自我證明表格如下)  
I/We have to update the Self-Certification for Common Reporting Standard (Mandatory to fill in Self-Certification for Common Reporting Standard)

**第一部分: 實體分類 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
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主動非財務實體，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) <input type="checkbox"/> 已附上有關控權人之自我證明表格 Attached the Self-Certification of such Controlling Person	(5) <input type="checkbox"/> 已附上有關控權人之自我證明表格 Attached the Self-Certification of such Controlling Person
(2) <input type="checkbox"/> 已附上有關控權人之自我證明表格 Attached the Self-Certification of such Controlling Person	(6) <input type="checkbox"/> 已附上有關控權人之自我證明表格 Attached the Self-Certification of such Controlling Person
(3) <input type="checkbox"/> 已附上有關控權人之自我證明表格 Attached the Self-Certification of such Controlling Person	(7) <input type="checkbox"/> 已附上有關控權人之自我證明表格 Attached the Self-Certification of such Controlling Person
(4) <input type="checkbox"/> 已附上有關控權人之自我證明表格 Attached the Self-Certification of such Controlling Person	(8) <input type="checkbox"/> 已附上有關控權人之自我證明表格 Attached the Self-Certification of such Controlling Person

**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

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稅務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。; 中國之稅務識別號碼(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, 本人會通知京華山一國際及/或京華山一期貨, 並會在情況發生改變後 30 日內, 向京華山一國際及/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.

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).

<b>客戶簽署 Customer Signature(s):</b> (請依照閣下於開戶書上之簽署式樣) (Same as specimen on Account Opening Form)	<b>For Internal Use Only</b>		
	本公司聲明就本公司所知所信, 帳戶持有人填報的所有資料及聲明均屬真實, 正確和完備。I 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.		
	AE Name:	AE Signature	Date
	AOT		
	Client Signature verify by	Input by	Authorized by
Date	Date	Date	
日期 Date:	Customer Services Department:		

請將填妥表格, 交回香港灣仔港灣道 26 號華潤大廈 11 樓1101室或傳真至 (852) 2918-0409 京華山一國際 (香港) 有限公司開戶組收。  
 Please return signed form to Core Pacific - Yamaichi International (H.K.) Limited - AOT, Room 1101, 11/F, China Resources Building, 26 Harbour Road, Wan Chai, Hong Kong or by fax to (852) 2918-0409.