



致 To：京華山一國際 (香港)有限公司 Core Pacific-Yamaichi International (H.K.) Limited
 京華山一期貨 (香港)有限公司 Core Pacific-Yamaichi Future (H.K.) Limited
 (下稱「京華山一」collectively referred as to “CPY”)
 地址：香港灣仔港灣道 26 號華潤大廈 11 樓 1101 室
 Address：Room 1101, 11/F, China Resources Building, 26 Harbour Road, Wanchai, HK

客戶編號 Client no. : _____

自我證明表格 – 實體/公司帳戶 Self-Certification Form – Entity/Corporate

重要提示 Important Notes :

- 這是由帳戶持有人向申報財務機構提供的自我證明表格，以作自動交換財務帳戶資料用途。申報財務機構可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。This is a self-certification form provided by an account holder to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- 如帳戶持有人的稅務居民身分有所改變，應盡快將所有變更通知申報財務機構。An account holder should report all changes in its tax residency status to the reporting financial institution.
- 除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄/部標有星號 (*) 的項目為申報財務機構須向稅務局申報的資料。All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (*) are required to be reported by the reporting financial institution to the Inland Revenue Department.

第一部 實體帳戶持有人的身分識別資料 Part 1 Identification of Entity Account Holder

(對於聯名帳戶或多人聯名帳戶，每名實體帳戶持有人須分別填寫一份表格 For joint or multiple account holders, complete a separate form for each entity account holder.)

(1) 實體或分支機構的法定名稱 *Legal Name of Entity or Branch	
(2) 實體成立為法團或設立所在的稅務管轄區 Jurisdiction of Incorporation or Organisation	
(3) 香港商業登記號碼 Hong Kong Business Registration Number	
(4) 現時營業地址 Current Business Address *	(例如：室、樓層、大廈、街道、地區 e.g. Suite, Floor, Building, Street, District)
	城市 City*
	(例如：省、州 e.g. Province, State)
	國家 Country *
	郵政編碼/郵遞區號碼 Post Code/ZIP Code
(5) 通訊地址 (如通訊地址與現時住址不同，填寫此欄) Mailing Address (Complete if different to the current business address) *	(例如：室、樓層、大廈、街道、地區 e.g. Suite, Floor, Building, Street, District)
	城市 City*
	(例如：省、州 e.g. Province, State)
	國家 Country *
	郵政編碼/郵遞區號碼 Post Code/ZIP Code

第二部 實體類別 Part 2 Entity Type

請在適當地方填上剔號及提供有關資料。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
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	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(請完成第三部分)	<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

第三部: 控權人 Part 3. Controlling Persons

(如實體帳戶持有人是**被動非財務實體**，填寫此部 *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.

Please 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"

第四部: 居留司法管轄區及稅務編號或具有等同功能的識辨編號 (以下簡稱「稅務編號」)

Part 4. Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN")

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/>

第五部 聲明及簽署 Part 3 Declarations and Signature

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, 以致影響本表格第 1 部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 (香港) 有限公司/京華山一期貨 (香港) 有限公司, 並會在情況發生改變後 30 日內, 向京華山一國際 (香港) 有限公司/京華山一期貨 (香港) 有限公司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 CPY of any change in circumstances which affects the tax residency status of the entity identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide CPY 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.

簽署 Signature : 日期 (日/月/年) Date (dd/mm/yyyy) : 姓名 Name :	身分 Capacity : <div style="border: 1px solid black; height: 20px; width: 100%;"></div> (例如: 公司的董事或高級人員、合夥的合夥人、信託的受託人等 e.g. director or officer of a company, partner of a partnership, trustee of a trust etc.)
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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).