

Controlling Person Tax Residency Self-Certification Form (CRS-CP (HK)) (CRS-I (HK)) 控權人稅務居民自我證明表格 (CRS-CP (HK))

| | |
|---------|----------------------|
| Date 日期 | Day 日/month 月/year 年 |
| | |

Instructions 指示

Please read the following instructions before completing this form 請在填寫本表格前細閱以下指示：

Why are we asking you to complete this form?

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").

Under the CRS, we are required to determine where you are a "tax resident" (this will usually be where you are liable to pay income taxes). If you are a tax resident outside the 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 jurisdictions' tax authorities.

Completing this form will ensure that we hold accurate and up to date information about your tax residency.

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.

Who should complete the Controlling Person Tax Residency Self-Certification Form?

When an account is held with Cathay Securities (Hong Kong) Limited on behalf of a Passive NFE (for example certain trusts or investment vehicles), we need those individuals who exercise control of the entity to complete this form. These individuals are termed "Controlling Persons".

If you need to self-certify on behalf of an entity (which includes all businesses, trusts and partnerships), complete an "Entity Tax Residency Self-Certification Form" (CRS-E (HK)). Similarly, if you are an individual customer or a sole trader, complete an "Individual Tax Residency Self-Certification Form" (CRS-I (HK)). You can find these forms at www.cathaysec.com.hk.

Each controlling person will need to complete a separate form.

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.

If you are completing this form on behalf of a controlling person, please ensure that you let them know that you have done so and tell us in what capacity you are signing in Part 4. For example you may be completing the form under a power of attorney.

Where to go for further information?

If you have any questions about this form or these instructions, please visit: www.cathaysec.com.hk or call us on (852) 3701-2222.

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/.

Please also visit the website of the Inland Revenue Department ("IRD") of the Government of the Hong Kong Special Administrative Region that sets out information relating to the implementation of AEOI in Hong Kong: www.ird.gov.hk/eng/tax/dta_aeoi.htm. Meaning of terms and expressions used in this form (e.g. "account holder" and "controlling person") can be found under the Appendix of this form or the "Self-Certification" section in the IRD website.

If you have any questions on how to define your tax residency status, please visit the OECD website, www.oecd.org/tax/automatic-exchange/ or speak to your tax advisor as we are not allowed to give tax advice.

為何我們要求您填寫本表格？

為維護稅制完整，全球各地政府現正推出適用於金融／財務機構的資料收集及匯報新規則，名為共同匯報標準（簡稱「CRS」）。

根據 CRS 規定，我們必須確定您的「稅務居住地」（這通常是您有義務繳納薪俸稅的國家／地區）。若您的稅務居住地有別於所持賬戶的司法管轄區，我們可能需要將此情況及您的有關賬戶資料告知國家稅務機關，該等機關隨後或會將相關資料傳送給不同國家／地區的稅務機關。

填妥本表格可確保我們持有您正確及最新的稅務居住地資料。

如您的情況有變，導致本表格內的任何資料不再正確，請立即告知我們，並提交一份已更新的自我證明表格。

誰需填寫控權人稅務居民自我證明表格？

如有關國泰證券(香港)有限公司賬戶是由被動非財務實體（例如特定信託或投資工具）持有，我們需要對該實體行使控制權的個人填寫本表格。這些個人被稱為「控權人」。

如您需代表實體（包括企業、信託和合夥）作自我證明，請填寫「實體稅務居民自我證明表格」（CRS-E（HK））。同樣地，如您是個人銀行客戶或獨資業務客戶，請填寫「個人稅務居民自我證明表格」（CRS-I（HK））。這些表格載於 www.cathaysec.com.hk。

每名控權人須分別填寫一份表格。

即使您已就美國政府《外國賬戶稅務合規法案》（簡稱「FATCA」）提供所需的資料，您仍可能需就 CRS 提供額外資料，因為兩者為獨立的規例。

如您代表控權人填寫本表格，請確保他們知悉此事，並在本表格的第 4 部說明您以何種身分簽署本表格。例如：您可能根據授權書以受權人身分填寫本表格。

如何獲取更多資訊？

如對本表格或上述指示有任何疑問，請瀏覽 www.cathaysec.com.hk 或致電 (852) 3701-2222。

經濟合作與發展組織（簡稱「經合組織」）已制訂規則，供參與 CRS 的所有政府使用，並載於經合組織的自動交換資料（簡稱「AEOI」）網站 www.oecd.org/tax/automatic-exchange/。

另請參閱香港特別行政區政府稅務局（簡稱「稅務局」）網站了解香港實施 AEOI 的詳情：www.ird.gov.hk/chi/tax/dta_aeoi.htm。有關本表格內所用詞彙的涵義（例如：「賬戶持有人」和「控權人」），請參閱本表格附錄或瀏覽稅務局網站內的「自我證明」部分。

如您對判定您的稅務居民身分有任何疑問，請瀏覽經合組織網站 www.oecd.org/tax/automatic-exchange/ 或諮詢您的稅務顧問。請恕我們不能提供稅務意見。

Important Notes 重要提示

- **This is a self-certification form provided by a controlling person 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. 這是由控權人向申報金融／財務機構提供的自我證明表格，以作自動交換財務賬戶資料用途。申報金融／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。**
- **A controlling person should report all changes in his/her tax residency status to the reporting financial institution. 如控權人的稅務居民身分有所改變，應盡快將所有變更通知申報金融／財務機構。**
- **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. 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(*)的項目為申報金融／財務機構須向稅務局申報的資料。**

Part 1: Identification of Controlling Person 第 1 部：控權人的身分識別資料

Note 注意： Please tick where applicable. 請在適當的地方加上剔號。

| | | | | |
|--|---|-------------------------------|--------------------------|----------------------|
| Name of Controlling Person 控權人的姓名 | Title 稱謂: <input type="checkbox"/> Mr 先生 <input type="checkbox"/> Mrs 太太 <input type="checkbox"/> Miss 小姐 <input type="checkbox"/> Ms 女士 <input type="checkbox"/> Other 其他 <input type="text"/> | | | |
| | *Last Name or Surname 姓氏 | *First or Given Name 名字 | Middle Name(s) 中間名 | |
| Business Name (Sole Traders Only) 公司名稱 (只適用於獨資業務) | | | | |
| Hong Kong Identity Card or Passport Number 香港身分證或護照號碼 | | | | |
| Current Residence Address 現時住址 | (e.g. Suite, Floor, Building, Street, District 例如：室、樓層、大廈、街道、地區) | | | |
| | *City 城市 | | | |
| | (e.g. Province, State 例如：省、州) | | | |
| | *Country 國家 | | | |
| | Post Code/ZIP Code 郵政編碼／郵遞區號碼 | | | |
| Mailing Address 通訊地址 (Complete if different to the above current residence address 如通訊地址與上 述現時住址不同，填寫此 欄) | (e.g. Suite, Floor, Building, Street, District 例如：室、樓層、大廈、街道、地區) | | | |
| | *City 城市 | | | |
| | (e.g. Province, State 例如：省、州) | | | |
| | *Country 國家 | | | |
| | Post Code/ZIP Code 郵政編碼／郵遞區號碼 | | | |
| *Date of Birth 出生日期 | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| | | | | (dd/mm/yyyy 日/月/年) |

Part 2 The Entity Account Holder(s) of which you are a controlling person

第 2 部：您作為控權人的實體[^]賬戶持有人

Enter the name of the entity account holder of which you are a controlling person 填寫您作為控權人的實體賬戶持有人的名稱：

| Entity 實體 | Name of the Entity Account Holder 實體賬戶持有人的名稱 |
|-----------|--|
| (1) | |
| (2) | |
| (3) | |

Part 3 第 3 部：

*Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN")

*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」）

Please complete the following table indicating 提供以下資料，列明：

(a) each jurisdiction where the controlling person is a **resident for tax purposes**; and

控權人的居留司法管轄區，亦即控權人的稅務管轄區；及

(b) the controlling person's TIN for each jurisdiction indicated.

該居留司法管轄區發給控權人的稅務編號。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number (HKID). 如帳戶持有人是香港稅務居民，稅務編號是帳戶持有人的香港身份證號碼。

If the account holder is a tax resident of China, the TIN is the People's Republic of China resident identity card. 如帳戶持有人是中國稅務居民，稅務編號是帳戶持有人的中華人民共和國居民身份證號碼。

If the account holder is a tax resident of Taiwan, the TIN is the Taiwan Identity Card Number. 如帳戶持有人是台灣稅務居民，稅務編號是帳戶持有人的台灣身份證號碼。

If a TIN is unavailable, provide the appropriate reason A, B or C 如沒有提供稅務編號，必須填寫合適的理由：

Reason A - The jurisdiction where the controlling person is a resident for tax purposes does not issue TINs to its residents.

理由 A - 控權人的居留司法稅務管轄區並沒有向其居民發出稅務編號。

Reason B - The controlling person is unable to obtain a TIN. Explain why the controlling person is unable to obtain a TIN if you have selected this reason.

理由 B - 控權人不能取得稅務編號。如選取這一理由，解釋控權人不能取得稅務編號的原因。

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.

理由 C - 控權人毋須提供稅務編號。居留司法管轄區的主管機關不需要控權人披露稅務編號。

| Jurisdiction of Residence 居留司法管轄區 | TIN 稅務編號 [^] | #Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號， 填寫理由 A、B 或 C | Explain why the controlling person is unable to obtain a TIN if you have selected Reason B 如選擇理由 B，解釋控權人不能取得 稅務編號的原因 |
|--------------------------------------|-----------------------|--|---|
| (1) | | | |
| (2) | | | |
| (3) | | | |

[^] Please refer to Controlling Person Self-Certification Form customer guidance for CRS terms Glossary. 請參照控權人自我證明表格填寫指引中的 CRS 術語詞彙表。

Part 4: Type of Controlling Person 第 4 部：控權人類別

Tick the appropriate box to indicate the type of controlling person for each entity stated in Part 2:

就第 2 部所載的每個實體，在適當方格內加上√號，指出控權人就每個實體所屬的類別：

| Type of Entity 實體類別 | Type of Controlling Person 控權人類別 | Entity (1) 實體 (1) | Entity (2) 實體 (2) | Entity (3) 實體 (3) |
|--|---|--------------------------|--------------------------|--------------------------|
| Legal Person 法人 | Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital) 擁有控制股權的個人（即擁有不少於百分之二十五的已發行股本） | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Individual who exercises control/is entitled to exercise control through other means (i.e. not less than 25% of voting rights) 以其他途徑行使控制權或有權行使控制權的個人（即擁有不少於百分之二十五的表決權） | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Individual who holds the position of senior managing official/ exercises ultimate control over the management of the entity 擔任該實體的高級管理人員／對該實體的管理行使最終控制權的個人 | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Trust 信託 | Settlor 財產授予人 | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Trustee 受託人 | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Protector 保護人 | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Beneficiary or member of the class of beneficiaries 受益人或某類別受益人的成員 | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary) 其他（例如：如財產授予人／受託人／保護人／受益人為另一實體，對該實體行使控制權的個人） | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Legal Arrangement other than Trust 除信託以外的法律安排 | Individual in a position equivalent/similar to settlor 處於相等／相類於財產授予人位置的個人 | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Individual in a position equivalent/similar to trustee 處於相等／相類於受託人位置的個人 | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Individual in a position equivalent/similar to protector 處於相等／相類於保護人位置的個人 | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries 處於相等／相類於受益人或某類別受益人的成員位置的個人 | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Other (e.g. individual who exercises control over another entity being equivalent/similar to settlor/trustee/protector/beneficiary) 其他（例如：如處於相等／相類於財產授予人／受託人／保護人／受益人位置的人為另一實體，對該實體行使控制權的個人） | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Part 5: Declarations and Signature 第 5 部：聲明及簽署

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by Cathay Securities (Hong Kong) Limited (the "Company") 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 Company 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).

本人知悉及同意，國泰證券(香港)有限公司(「貴公司」)可根據《稅務條例》(第 112 章)有關交換財務賬戶資料的法律條文，(a) 收集本表格所載資料並可備存作自動交換財務賬戶資料用途及 (b) 把該等資料和關於賬戶持有人及任何須申報賬戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到賬戶持有人的居留司法管轄區的稅務當局。

I certify that I am the controlling person (or I am authorised to sign for the controlling person) of all the account(s) currently held with the Company by the entity account holder(s). 本人證明，就實體賬戶持有人現於貴公司持有的所有賬戶，本人是控權人（或本人獲控權人授權代其簽署）。

I undertake to advise the Company of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide the Company with a suitably updated self-certification form within 30 days of such change in circumstances. 本人承諾，如情況有所改變，以致影響本表格第 1 部所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知貴公司，並會在情況發生改變後 30 日內，向貴公司提交一份已適當更新的自我證明表格。

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.

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。

| | | |
|---|---|--|
| Signature 簽署 | Name 姓名 | |
| | Capacity 身分 | |
| X Date (dd/mm/yyyy) 日期 (日/月/年): | <i>(Indicate the capacity if you are not the individual identified in Part 1. If signing under a power of attorney, attach a certified copy of the +power of attorney.) 如您不是第 1 部所述的個人，說明您的身分。如果您是以授權人身分簽署這份表格，須夾附該 +授權書的核證副本。)</i> | |
| | + The power of attorney must be in a form satisfactory to the Company. 授權書必須採用本公司滿意的形式。 | |

WARNING: It is a serious offence under 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. Heavy penalty may apply upon conviction.

警告：根據《稅務條例》，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，即屬嚴重罪行。一經定罪，可致重罰。