

致：華僑銀行(香港)有限公司 (「銀行」) – 皇后大道中 161 號
To: OCBC Bank (Hong Kong) Limited (the “Bank”) – 161 Queen’s Road Central, Hong Kong

重要提示：

- 這是控權人向銀行提供的自我證明表格，以符合有關法律及法規，包括外國賬戶稅務合規法案(“FATCA”)及自動交換財務賬戶資料。銀行可把收集所得的資料交給(1) 有關稅務當局(包括美國國家稅務局)；及(2) 香港稅務局，而香港稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- 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銀行。
- 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。
- 銀行於完成核對閣下所提供的資料後，有關資料將會被視作為控權人或與賬戶有關人士的最新資料，閣下授權銀行更新有關紀錄及/或數據庫。
- 以上資料改動將自動適用於所有香港華僑銀行(香港)及其香港附屬機構名下賬戶。如欲更改個別賬戶之通訊地址，請填寫「更改客戶資料通知書」及遞交本行。
- 銀行不會及不能提供任何稅務意見。如果閣下對如何填寫此表格有任何疑問，請與閣下的稅務顧問聯絡。

Important Notes:

- This is a self-certification form provided by a controlling person to the Bank for compliance with relevant tax laws and regulations, including US Foreign Account Tax Compliance Act (“FATCA”) and Automatic Exchange of Financial Account Information. The data collected may be transmitted by the Bank to (1) relevant tax authorities, including US Inland Revenue Service (“IRS”); and (2) Hong Kong Inland Revenue Department (“IRD”) for transfer to the tax authority of another jurisdiction.
- A controlling person should report all changes in his/her tax residency status to the Bank.
- Unless not applicable or otherwise specified, all parts of the form must be completed. If the space provided is insufficient, you may use separate sheet(s).
- Subject to the Bank’s verification, information stated in this form shall be regarded as the latest information of the controlling person or relevant parties of the account. The Bank is authorized to update the relevant record(s) and/or database(s).
- All the above change(s) shall apply to all account(s) maintained with the Bank and its subsidiaries in Hong Kong. If you wish to change your correspondence address of any specific account, please fill out the “Notice of Change of Customer Information” and submit it to the Bank.
- The Bank does not and cannot provide any tax advice. If you have any questions about how to complete this form, please consult your tax advisor.

1. 控權人身份

Controlling Person Identification

個人資料 Personal Information

控權人姓名 (姓氏, 名字)

Controlling Person Name (First or Given name, Last name or Surname)

香港身份證或護照號碼 HKID/ Passport No.

出生日期 (日/月/年) Date of Birth (dd/mm/yyyy)

居住地址 Residence Address

通訊地址 (如與上述居住地址不同)

Correspondence Address (if different from the residence address stated above)

如閣下不是第 1 部所述的個人，說明閣下的身分。
Indicate the capacity if you are not the Individual identified in Part 1.

姓名 Name

香港身份證/護照號碼 HKID / Passport No.

身分 Capacity

如果閣下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。
If you are signing under a power of attorney, please attach a certified copy of the power of attorney.

2. 閣下作為控權人的實體帳戶持有人
The Entity Account Holder(s) of which you are a controlling person

填寫閣下作為控權人的實體帳戶持有人的名稱。
Enter the name of the entity account holder of which you are a controlling person.

實體 Entity	實體帳戶持有人的名稱 Name of the Entity Account Holder
(1)	
(2)	
(3)	

3. 外國賬戶稅務合規法案狀況
Foreign Account Tax Compliance Act ("FATCA") Status

閣下是否美國公民或居民或其他就美國稅務而言的美國人士？
Are you a citizen or resident of the United States ("U.S.") or other U.S. Person for U.S. tax purposes?

是 Yes ➤ 請列於第 2 部的實體分別在各自的稅務狀況自我證明表格 (實體) 內填寫美國控權人的資料，並分別各自填寫華僑銀行(香港)有限公司就《外國賬戶稅務合規法案》制定的《企業客戶同意書》。The entity(ies) listed in Part 2 should provide the information of its U.S. Controlling Person on the respective Tax Status Self-Certification Form (Entity) and the respective Consent Letter from Entity Customer for FATCA purpose prepared by OCBC Bank (Hong Kong) Limited.

否 No ➤ 本人聲明就本人最大限度所知及所信，有關信息為真實、正確及完整。本人亦認證：
I declare to the best of my knowledge and belief, it is true, correct, and complete. In further certify that:

(1) 本人以此認證表記錄本人為第 2 部所列之實體的控權人。
I am using this self-certification form to document myself as a controlling person of the entity(ies) listed in Part 2.

(2) 本人現為非美國人士 (包括居於美國之外國人士，即綠卡持有人)，且就美國稅務目的而言，並不視作為美國公民或美國居民。
I am currently not a U.S. person (including resident alien individual i.e., green card holder), and am not treated as a U.S. citizen or resident for U.S. tax purposes.

4. 自動交換財務賬戶資料的自我證明

Self-certification and Declaration for Automatic Exchange of Financial Account Information

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」)

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

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, 即屬犯罪。一經定罪, 可處罰款。

WARNING: It is an 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. A person who commits the offence is liable on conviction to a fine.

提供以下資料, 列明 (a) 控權人的居留司法管轄區, 亦即控權人的稅務管轄區 (香港包括在內) 及 (b) 該居留司法管轄區發給控權人的稅務編號。列出所有 (不限於 4 個) 居留司法管轄區。如有需要, 可填寫並附上多於一張居留司法管轄區及稅務編號的自我證明如下 (第 3 頁)。

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the controlling person is a resident for tax purposes and (b) the account holder's TIN for each jurisdiction indicated. Indicate all (not restricted to four) jurisdictions of residence. Complete another Jurisdiction of Residence and TIN table as below (P.3) if deemed necessary.

如控權人是香港稅務居民, 稅務編號是其香港身份證號碼。

If the controlling person is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.

如沒有提供稅務編號, 必須填寫合適的理由:

理由 A - 控權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 - 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。

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。

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

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

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.

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.

香港 Hong Kong

稅務編號 Taxpayer Identification No. (TIN)

香港身份證號碼 HKID

如控權人為美國稅務居民, 列於第 2 部的實體須分別在各自的《稅務狀況自我證明表格 (實體)》內填寫控權人資料, 並分別各自填寫本行就《外國賬戶稅務合規法案》制定的《企業客戶同意書》。

美國 The United States of America

納稅人識別號碼/社會保障號碼 Taxpayer Identification No.(TIN) / Social Security No.(SSN)

If the controlling person is an US tax resident, the entity(ies) listed in Part 2 should separately provide the information of its U.S. Controlling Person on the respective Tax Status Self-Certification Form (Entity) and the respective Consent Letter from Entity Customer for FATCA purpose prepared by

其他居留司法管轄區 Other jurisdiction of residence

➢ 香港和美國除外 Except Hong Kong and the United States of America

居留司法管轄區

Jurisdiction of residence

稅務編號 TIN

如未能提供稅務編號, 請選擇下列理由:

If TIN is not available, select a reason:

理由 A Reason A:

該轄區未發出稅務編號 TIN not issued by the jurisdiction

理由 B Reason B:

不能取得稅務編號 Unable to obtain TIN ➢ 提供原因 Provide reason

理由 C: 該轄區毋須提供稅務編號

Reason C: TIN not required by country

其他居留司法管轄區 Other jurisdiction of residence

➢ 香港和美國除外 Except Hong Kong and the United States of America

居留司法管轄區

Jurisdiction of residence

稅務編號 TIN

如未能提供稅務編號, 請選擇下列理由:

If TIN is not available, select a reason:

理由 A Reason A:

該轄區未發出稅務編號 TIN not issued by the jurisdiction

理由 B Reason B:

不能取得稅務編號 Unable to obtain TIN ➢ 提供原因 Provide reason

理由 C: 該轄區毋須提供稅務編號

Reason C: TIN not required by country

客戶可於稅務局網站(<http://www.ird.gov.hk/chi/pdf/2016/terms.pdf>)查閱相關名詞及措辭釋義。

For the meaning of terms and expressions used in Self-Certification Forms, customers may refer to the IRD website (<http://www.ird.gov.hk/eng/pdf/2016/terms.pdf>) for more information.

5. 一般聲明及簽署

General Declarations and Signature

1. 本人知悉及同意，華僑銀行(香港)有限公司(「銀行」)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認識客戶及自動交換財務賬戶資料用途及 (b) 把該等資料和關於控權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(「稅務局」)申報，從而把資料轉交到控權人的居留司法管轄區的稅務當局。另外，本人亦表示知悉及同意，銀行為符合有關法律及法規，包括《外國賬戶稅務合規法案》等，將收集所得的資料交給有關稅務當局(包括美國國家稅務局)。

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by OCBC Bank (Hong Kong) Limited (the "Bank") for the purpose of customer due diligence and automatic exchange of financial account information, and (b) such information and information regarding the controlling person and any reportable account(s) may be reported by the Bank to the Inland Revenue Department ("IRD") of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the controlling person may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information under the Inland Revenue Ordinance (Cap.112). I also acknowledge and agree that the data collected may be transmitted by the Bank to the relevant tax authority, including the U.S. Inland Revenue Service ("IRS"), for the compliance with relevant tax laws and regulations, including the U.S. Foreign Account Tax Compliance Act ("FATCA").

2. 本人確認及證明，就與本表格所有相關的賬戶，本人是控權人/ 本人獲控權人授權簽署本表格#。

I confirm and certify that I am the controlling person / I am authorized to sign for and on behalf of the account holder# of all the account(s) to which this form relates.

3. 本人承諾，如情況有所改變(包括但不限於任何已經提交銀行之資料、文件與證明文件之任何變更)，以致影響本表格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，本人會通知銀行，並會在情況發生改變後 30 日內，向銀行提交一份已適當更新及妥為簽署的自我證明表格。

I undertake to advise the Bank of any change in circumstances (including but not limited to any change in the information, documents and supporting materials provided to the Bank before) which affects the tax residency status of the individual identified in this form or causes the information contained herein to become incorrect, and to provide the Bank with a suitably updated and properly signed self-certification form within 30 days of such change in circumstances.

4. 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 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(請以原存銀行之簽署安排及印鑑樣式簽署(如有))>

Signature (Please sign in accordance with the specimen signature registered with the Bank (if any)) >

聲明日期 > 日/月/年 Declaration Date > DD/MM/YYYY: _____ / _____ / _____

刪去不適用者 delete as appropriate

中文譯本僅供參考，文義如與英文有歧義，概以英文本為準。

The Chinese translation is for reference only. In case of any discrepancy between the English version and the Chinese version, the English version shall prevail.

//////////////////////////////////////For bank's use 銀行專用//////////////////////////////////////

CIF	Handling Branch	CRS Status	Self Cert Filing Date (YYYYMMDD)	Nationality
FATCA Status	TIN number	GINN Number	FTS Declare Form	Expiry Date (YYYYMMDD)
Tax Country Indicia	Reasonable Explanation		Details of Supporting Document (If any)	Date Obtained

Copy to (For correspondence address update only)

CCD (Must) CCD GBK CARD SDB BR() LOD WHC AFD WHIA WHIB OWSB / Honfirst

Reasonableness checks (Refer to pre-processing check guide) completed.

SV/WIT &/or Handled by:

SV/WIT &/or Approved by:

(Signature & Date)

(Signature & Sign. Code & Date)