



## 自我證明表格 – 公司或實體

### Self-Certification Form – Company or Entity

**重要提示： Important Notes:**

- 這是由帳戶持有人向大田證券期貨有限公司提供的自我證明表格，以作自動交換財務帳戶資料用途。大田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 DT SECURITIES & FUTURES CO. LIMITED for the purpose of automatic exchange of financial account information. The data collected may be transmitted by DT 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或其他資料有所改變，應盡快將所有變更通知大田。  
An account holder should report all changes in its tax residency status to DT soon as practicable.
- 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。  
All parts of the form must be completed (except for those not applicable or otherwise specified). If there is not enough space, you may provide your information on additional sheet(s).

**第一部：公司或實體帳戶持有人資料****Part 1 : Identification of Company or Entity Account Holder**

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/](http://www.oecd.org/tax/automatic-exchange/) 或於填寫本表格前諮詢您的稅務顧問。

If you have any questions on how to define your tax residency status, please visit the OECD website at [www.oecd.org/tax/automatic-exchange/](http://www.oecd.org/tax/automatic-exchange/) or consult your tax advisor before completing the form.

公司或實體的法定名稱 Legal Name of Company or Entity	
公司或實體成立或註冊的稅務管轄區 Jurisdiction of Incorporation or Registration	
公司註冊或商業登記號碼 Certificate of Incorporation or Business Registration Number	
現時營業地址及通訊地址 Current Business Address and Mailing Address	地址 Address 城市及國家 City & Country

**第二部：公司或實體類別****Part 2 : Company or Entity Type**

在其中一個適當的方格內加上剔號✓，並提供有關資料。 Tick one of the appropriate boxes and provide the relevant information.

財務實體 Financial Entity (金融／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，但不包括由另一金融／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 (請說明 _____ ) Active NFE other than the above (Please specify _____ )
被動非財務實體 Passive NFE	<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 <input type="checkbox"/> 位於非參與稅務管轄區並由另一金融／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

**第三部：控權人 (如公司或實體帳戶持有人是被動非財務實體，填寫此部)****Part 3 : Controlling Persons (Complete this part if the company or 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自我證明表格 – 控權人(CRS-CP)。

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

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

第四部：稅務編號

Part 4 : Taxpayer Identification Number ("TIN")

居留司法管轄區 Jurisdiction of Residence (請填寫報稅地區或實際管理機構所在的稅務管轄區。) (Please indicate your residence for tax purpose or the jurisdiction in which your place of effective management is situated.)	稅務編號 TIN 請閣下必須填寫稅務編號，如沒有稅務編號，請於右列理由A,B,C中選填一項 Please fill in TIN, if you do not have one, please choose ONE among the three reasons on the right (如客戶為香港或國內稅務居民，稅務編號為其香港商業登記號碼或其營業執照號碼) (If you are a tax resident of Hong Kong or Mainland China, the TIN is the Hong Kong Business Registration Number or the Business License Number respectively)	理由 A Reason A (當地政府根本沒有稅務編號) (The Government does not issue TINs to its residents)	理由 B Reason B (本人不能取得稅務編號，理由如下) (Unable to obtain a TIN, please explain below)	理由 C Reason C (本人獲當地政府豁免披露稅務編號) (The government does not require the TIN to be disclosed)
(1)				
(2)				
(3)				
(4)				

第五部：聲明及簽署

Part 5 : Declarations and Signature

<p>本人知悉及同意，貴公司可根據《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。</p> <p>I acknowledge and agree that (a) the information contained in this form is collected and may be kept by 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).</p> <p>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。</p> <p>I certify that I am authorized to sign for the account holder of all the account(s) to which this form relates. I further declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.</p> <p>本人承諾，如情況有所改變，以致影響本表格所載的資料不正確，本人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。</p> <p>I undertake to provide the Company with a suitably updated self-certification form within 30 days of any change in circumstances which affects the information contained herein to become incorrect.</p>	
帳戶持有人簽署及印鑑 Account Holder's Signature and Chop	日期 (日/月/年) Date (dd/mm/yyyy)
姓名 Name	
獲授權人士姓名 Name of Authorized Person	獲授權人士身份 Capacity of Authorized Person
<p>(說明您簽署這份表格的身份。例如: 公司的董事或高級人員、合夥的合夥人、信託的信託人或獲授權人員等。Indicate the capacity in which you are signing the form e.g. director or officer of a company, partner of a partnership, trustee of a trust, authorized officer, etc.)</p>	
<p>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。</p> <p>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).</p>	