



自我證明表格 - 控權人

Self-Certification Form - Controlling Person

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 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：控權人的身份識別資料

Part1 : Identification of Controlling Person

如有關帳戶是由被動非財務實體（例如某些信託或投資工具）持有，所有控制該公司或實體的人士（即「控權人」）均須填寫本表格。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/ 或於填寫本表格前諮詢您的稅務顧問。

When an account is held on behalf of a Passive NFE (for example certain trusts or investment vehicles), all individuals who exercise control of the company or entity ("Controlling Person(s)") need to complete this form. 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/ or consult your tax advisor before completing the form.

控權人的姓名 Name of Controlling Person	姓名 Name
身份證或護照號碼 Identity Card or Passport Number	
現時住址及通訊住址 Current Residence Address and Mailing Address	地址 Address
	城市及國家 City & Country
出生日期 Date of Birth	(日/月/年 dd/mm/yyyy)

第二部：您作為控權人的公司或實體帳戶持有人

Part2 : The Company or Entity Account Holder(s) of which you are a controlling person

請填寫控權人的公司或實體帳戶持有人的名稱：

Enter the name of the company or entity account holder of which you are a controlling person:

公司/實體 Company/Entity	公司或實體帳戶持有人的名稱 Name of the Company or Entity Account Holder
(1)	
(2)	
(3)	

第三部：稅務編號

Part3 : Taxpayer Identification Number ("TIN")

居留司法管轄區 Jurisdiction of Residence (即報稅地區) (Residence for tax purpose)	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，稅務編號為其身份證號碼 If you are a tax resident of Hong Kong or Mainland China, the TIN is the Identity Card Number)	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)

第四部：控權人類別

Part4 : Type of Controlling Person

就第2部所載的每個公司或實體，請在以下三個類別中選擇適當的類別，並在該類別的右方方格內加上√ 剔號，指出控權人就每個公司或實體所屬的類別：

Tick the appropriate box on the right to indicate the type of controlling person for each company or entity stated in Part 2 according to its company or entity type:

公司/實體類別 Type of Company/ Entity .	控權人類別 Type of Controlling Person	公司/實體 (1) Company/ Entity (1)	公司/實體 (2) Company/ Entity (2)	公司/實體 (3) Company/ Entity (3)
法人 Legal Person	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本） Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	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） Individual who exercises control/is entitled to exercise control through other means (i.e. not less than 25% of voting rights)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	擔任該公司或實體的高級管理人員／對該公司或實體的管理行使最終控制權的個人 Individual who holds the position of senior managing official/ exercises ultimate control over the management of the company or entity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
信託 Trust	財產授予人 Settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	受託人 Trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	保護人 Protector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	受益人或某類別受益人的成員 Beneficiary or member of the class of beneficiaries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	其他（例如：如財產授予人／受託人／保護人／受益人為另一公司或實體，對該公司或實體行使控制權的個人） Other (e.g. individual who exercises control over another company or entity being the settlor/trustee/protector/beneficiary)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
除信託以外的法律安排 Legal Arrangement other than Trust	處於相等／相類於財產授予人位置的個人 Individual in a position equivalent/similar to settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	處於相等／相類於受託人位置的個人 Individual in a position equivalent/similar to trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	處於相等／相類於保護人位置的個人 Individual in a position equivalent/similar to protector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	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 Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	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公司或實體，對該公司或實體行使控制權的個人） Other (e.g. individual who exercises control over another company or entity being equivalent/similar to settlor/trustee/protector/beneficiary)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

第五部：聲明及簽署

Part5 : Declarations and Signature

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。

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).

本人證明，就與本表格所有相關的公司或實體帳戶持有人所持有的帳戶，本人是控權人簽署本表格。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。

I certify that I am the controlling person to sign for the controlling person of all the account(s) held by the company or entity account holder(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.

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。

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

控權人簽署 Controlling Person's Signature

日期 (日/月/年) Date (dd/mm/yyyy):

姓名 name

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).