

Tax Residency Self-Certification Form (Individual)
稅務居民自我證明表格（個人）

PLEASE RETURN THIS FORM VIA POST ONLY TO 請將本表格郵寄回：

(EMAIL AND FAX ARE NOT ACCEPTED) (不接受電郵及傳真)

To : Capital Dynamics Asset Management (HK) Private Limited (**Firm or**
致 us)
資威資產管理（香港）有限公司（本公司或我們）

Suite 701, 7th Floor, Chinachem Leighton Plaza, 29 Leighton Road,
Causeway Bay, Hong Kong
香港銅鑼灣禮頓道 29 號華懋禮頓廣場 7 樓 701 室

Ref No (For internal :
use only)
參考編號（內部使
用）

Please read these notes before completing the form.

請在填寫本表格前細閱以下提示。

This is a self-certification form provided by you to us as a reporting financial institution for complying with the Common Reporting Standards for automatic exchange of financial account information.

這是由閣下向我們（作為申報金融機構）提供的自我證明表格，以作符合共同匯報標準的自動交換財務賬戶資料用途。

You can find out the meaning of terms and expressions used in this form in the Annex to this form and you can also refer to the website of the Inland Revenue Department in connection with other terms at:

有關本表格內採用的名詞及措辭釋義載列於本表格的附件，閣下亦可參閱稅務局網頁以了解其他名詞的釋義：

http://www.ird.gov.hk/eng/tax/aeoi/self_cert.htm

You can find further details at the following websites:

閣下可瀏覽以下網頁獲取更多資訊：

- Global Forum on Transparency and Exchange of Information for Tax Purposes of the Organization for Economic Co-operation and Development at:
經濟合作與發展組織的稅務透明化及資料交換全球論壇：
<http://www.oecd.org/tax/transparency/automaticexchangeofinformation.htm>

The data collected may be transmitted by us to the Inland Revenue Department for transfer to the tax authority of another jurisdiction which has signed a mutual agreement with Hong Kong from time to time, for exchange of financial account information relating to tax residency.

我們可把收集所得的資料交給稅務局，稅務局會將資料轉交到與香港不時簽訂雙方協議的另一司法管轄區的稅務當局，以便交換有關稅務居民的財務賬戶資料。

If you have any questions relating to tax, please contact your tax adviser or local tax authority.
如對稅務問題有任何疑問，請聯絡閣下的稅務顧問或當地稅務當局。

You should report all changes in your tax residency status to us.
如閣下的稅務居民身份有所改變，應盡快將所有變更通知我們。

All parts of this Form must be completed (unless not applicable or otherwise specified). If a space provided is insufficient, continue on additional sheet(s). Information in fields / parts marked with an asterisk (*) are required to be reported by us to the Inland Revenue Department.

除不適用或特別註明外，必須填寫本表格的所有部分。如表格上的空位不足，可另紙填寫。標有星號（*）的欄目 / 部分代表我們須向稅務局申報的資料。

Tax Residency Self-Certification Form (Individual)

稅務居民自我證明表格（個人）

Please complete Parts 1 to 3.

請填寫第 1 至 3 部分。

Part 1

第 1 部分

Identification of Individual Account Holder

個人賬戶持有人的身份識別資料

(For joint / multiple account holders, complete a separate form for each individual account holder.)

（如屬聯名 / 多人聯名賬戶持有人，每名個人賬戶持有人須分別填寫一份表格。）

(1) Name of Account Holder 賬戶持有人姓名

Title (e.g. Mr, Ms, Miss) 稱謂（例如：先生、女士、小姐）

Last Name or Surname 姓氏*

First or Given Name 名字*

Middle Name(s) 中間名

(2) Hong Kong Identity Card or Passport Number 香港身份證或護照號碼

(3) Current Residential Address 現時住址

Line 1 (e.g. Suite, Floor, Building, Street, District)

第 1 行（例如：室、樓層、大廈、街道、地區）

Line 2 (City)*

第 2 行（城市）*

Line 3 (e.g. Province, State)

第 3 行（例如：省、州）

Country*

國家 *

Post Code / ZIP Code

郵政編碼 / 郵遞區號碼

(4) Mailing Address (complete if different to the current residential address)

通訊地址（如通訊地址與現時住址不同，填寫此欄）

Line 1 (e.g. Suite, Floor, Building, Street,
District)

第 1 行（例如：室、樓層、大廈、街道、地
區）

Line 2 (City)

第 2 行（城市）

Line 3 (e.g. Province, State)

第 3 行（例如：省、州）

Country

國家

Post Code / ZIP Code

郵政編碼 / 郵遞區號碼

(5) Date of Birth 出生日期*

D	D	M	M	Y	Y	Y	Y
日	日	月	月	年	年	年	年

(6) Place of Birth 出生地點

Town / City 鎮／城市

Province / State 省／州

Country 國家

Part 2

第 2 部分

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

居留司法管轄區及納稅人識別編號或具有等同功能的識別編號（「稅務編號」）*

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.

提供以下資料，列明（a）賬戶持有人的居留司法管轄區，亦即賬戶持有人作為稅務居民的司法管轄區（香港包括在內）及（b）該居留司法管轄區發給賬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。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. If a TIN is unavailable, provide the appropriate reason A, B or C:

如賬戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。如沒有提供稅務編號，必須填寫合適的理由 A、B 或 C：

**Reason A -
理由 A**

The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

賬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。

**Reason B -
理由 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.

賬戶持有人不能取得稅務編號。如選取這一理由，解釋賬戶持有人不能取得稅務編號的原因。

**Reason C -
理由 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.

賬戶持有人毋須提供稅務編號。只有居留司法管轄區的主管機關不需要賬戶持有人披露稅務編號，才可選取這一理由。

Jurisdiction of Residence 居留司法管轄區		TIN 稅務編號	Enter Reason A, B or C if TIN not available 如沒有提供稅務編號，填寫 理由 A、B 或 C
(1)			
(2)			
(3)			
(4)			
(5)			

Please explain why the account holder is unable to obtain a TIN if you have selection Reason B above.

如選取理由 B，請解釋賬戶持有人不能取得稅務編號的原因。

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

Part 3

第 3 部分

Declaration and Signature

聲明及簽署

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by CDHK for the purpose of automatic exchange of financial account information, and (b) such information and information regarding myself and any reportable account(s) may be reported by CDHK 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 I 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，資威香港可根據《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) 把該等資料和關於本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，從而把資料轉交到本人作為稅務居民的一個或多個司法管轄區的稅務當局。

I certify that I am the account holder / I am authorized to sign for the account holder[#] of all the account(s) to which this form relates.

本人證明，就與本表格有關的所有賬戶而言，本人是賬戶持有人 / 本人獲賬戶持有人授權簽署本表格[#]。

([#]*Please delete as appropriate.*)

([#]請刪除不適用者。)

I undertake to advise CDHK 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 CDHK 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 部分所述的個人的稅務居民身份，或引致本表格所載的資料不正確，本人會通知資威香港，並會在情況發生改變後 30 日內，向資威香港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及所信，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：

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Print name 正楷姓名：

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Date 日期：

D	D	M	M	Y	Y	Y	Y
日	日	月	月	年	年	年	年

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
如閣下不是第 1 部分所述的個人，請註明閣下的身份。若閣下是根據授權書簽署這份表格，須夾附該授權書的經核證副本。

Capacity 身份：

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Annex – Meaning of terms and expressions used in Self-Certification Form (Individual)

附件—自我證明表格（個人）內採用的名詞及措辭釋義

“account holder” means the person listed or identified as the holder of a financial account by the Financial Institution that maintains the account. This is regardless of whether such person is a flow-through Entity. Thus, for example, if a trust or an estate is listed as the holder or owner of a financial account, the trust or estate is the Account Holder, rather than the trustee or the trust’s owners or beneficiaries. Similarly, if a partnership is listed as the holder or owner of a financial account, the partnership is the Account Holder, rather than the partners in the partnership.

「賬戶持有人」是指被維持財務賬戶的金融機構列明為或識別為該賬戶的持有人的人士，不論該人士是否為過渡實體。舉例說，如果一個信託或遺產被列明為某財務賬戶的持有人或擁有人，則賬戶持有人是該信託或遺產，而非受託人、信託的擁有人或受益人。同樣地，如果一個合夥事業被列明為某財務賬戶的持有人或擁有人，則賬戶持有人是該合夥事業，而非合夥事業的合夥人。

A person, other than a Financial Institution, holding a financial account for the benefit or account of another person as agent, custodian, nominee, signatory, investment advisor, intermediary, or legal guardian, is not treated as the Account Holder. In these circumstances that other person is the Account Holder. For example in the case of a parent / child relationship where the parent is acting as a legal guardian, the child is regarded as the Account Holder. With respect to a jointly held account, each joint holder is treated as an Account Holder.

除金融機構外，若任何人士以代理人、託管人、代名人、簽署人、投資顧問、中介人或合法監護人身份，為其他人士的利益或代其他人士持有財務賬戶，則不會被視為賬戶持有人。在這種情況下，賬戶持有人應為該其他人士。以一個由家長與子女開立的賬戶為例，如賬戶以家長為子女的合法監護人名義開立，子女會被視為賬戶持有人。就聯名賬戶而言，每個聯名持有人都被視為賬戶持有人。

“financial institution” means a “Custodial Institution”, a “Depository Institution”, an “Investment Entity”, or a “Specified Insurance Company”. Please refer to these terms at the Inland Revenue Department’s website at: http://www.ird.gov.hk/eng/tax/aeoi/self_cert.htm

「金融機構」是指「託管機構」、「存款機構」、「投資實體」或「指明保險公司」。請參閱稅務局網頁以了解這些名詞的釋義：
http://www.ird.gov.hk/eng/tax/aeoi/self_cert.htm

“resident for tax purposes” Generally, an Entity will be resident for tax purposes in a jurisdiction if, under the laws of that jurisdiction (including tax conventions), it pays or should be paying tax therein by reason of his domicile, residence, place of management or incorporation, or any other criterion of a similar nature, and not only from sources in that jurisdiction. An Entity such as a partnership, limited liability partnership or similar legal arrangement that has no residence for tax purposes shall be treated as resident in the jurisdiction in which its place of effective management is situated. A trust is treated as resident where one or more of its trustees is resident. For additional information on tax residence, please talk to your tax adviser or refer to the OECD Automatic Exchange Portal at the following link:

<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>

「稅務居民」一般而言，如根據某個司法管轄區的規定（包括稅收協定），任何實體不僅就以有關司法管轄區為來源的收入，亦因其居籍、居所、管理工作地點、成立為法團地點，或任何性質類似的其他準則，在有關司法管轄區需要繳稅或有繳稅責任，便會成為該司法管轄區的稅務居民。沒有稅務居民身份的實體，例如：合夥事業、有限法律責任合夥事業或類似的法律安排，應被視為其實際管理地點所在司法管轄區的稅務居民。一個信託應被視為一個或多於一個受託人居住的司法管轄區的居民。有關稅務居民身份的更多資訊，請聯絡閣下的稅務顧問或瀏覽經合組織的自動交換資料網站：<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>。

“TIN” (including “functional equivalent”) means Taxpayer Identification Number or a functional equivalent in the absence of a TIN. A TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual or an Entity and used to identify the individual or Entity for the purposes of administering the tax laws of such jurisdiction. Further details of acceptable TINs can be found at the OECD Automatic Exchange Portal at the following link:

<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>

「稅務編號」（包括「具有等同功能的識別編號」）是指納稅人的識別編號或具有等同功能的識別編號（如無稅務編號）。稅務編號是司法管轄區向個人或實體分配獨有的字母與數字組合，用於識別個人或實體的身份，以便實施該司法管轄區的稅務法律。有關可接受的稅務編號的更多詳細資訊載列於經合組織的自動交換資料網站：

<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>。

Some jurisdictions do not issue a TIN. However, these jurisdictions often utilise some other high integrity number with an equivalent level of identification (a “functional equivalent”). Examples of that type of number include a social security/insurance number, citizen/personal identification/service code/number, and resident registration number. 某些司法管轄區不會發出稅務編號。但是，這些司法管轄區通常使用具有等同識別功能的其他完整號碼（「具有等同功能的識別號碼」）。此類號碼的例子包括：社會保障 / 保險號碼、公民 / 個人身份 / 服務代碼 / 號碼，以及居民登記號碼。