

Common Reporting Standard (“CRS”) Self-Certification Form (for Individual Account Holder)

《共同匯報標準》自我證明表格 (個人賬戶持有人適用)

To : Shanghai Commercial Bank Limited (“the Bank”)

致 : 上海商業銀行有限公司 (「貴行」)

Date 日期 : _____

Important Notes:

- Individual or sole proprietor should complete this form to inform the Bank of their tax residency. This is a self-certification form provided by an account holder to the Bank for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the Bank to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- An account holder should report all changes in his/her tax residency status to the Bank.
- 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 Bank to the Inland Revenue Department.
- For joint or multiple account holders, complete a separate form for each individual account holder.
- The personal information and signature specimen of account holder provided should be consistent with those in the Bank’s record. For change of personal information, customers are kindly requested to complete separate form.
- Please use BLOCK LETTERS and put a “✓” in the appropriate box(es).

重要提示 :

- 個人或獨資經營者可提交此表格以通知本行其稅務居民身份。此表格是由賬戶持有人向本行提供的自我證明表格，以作自動交換財務賬戶資料用途。本行可把收集所得的資料交予稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- 如賬戶持有人的稅務居民身份有所改變，應盡快將所有變更通知本行。
- 除不適用或特別註明外，必須填寫此表格所有部份。如此表格上的填寫位置不足，可另紙填寫。在欄／部份標有星號 (*) 的項目為本行須向稅務局申報的資料。
- 每名聯名賬戶或多人聯名賬戶持有人須個別填寫一份表格。
- 賬戶持有人所提供的個人資料及簽署式樣必須與本行紀錄相符。如欲更改個人資料，請填寫有關表格。
- 請用正楷填寫並於適當方格內加“✓”號。

Part I Account Holder Personal Information 第一部份 賬戶持有人之個人資料					Bank Use Only
(1) Name of Account Holder 賬戶持有人姓名					
English Name 英文姓名	Surname 姓	Given Name 名	Other Name 其他名字	Chinese Name 中文姓名	
Name * 姓名 *					
(2a) Identification Document No. (Choose one) 身份證明文件號碼 (選填一項)					Part 1 HK / NHK
<input type="checkbox"/> HKID Card 香港身份證 _____		<input type="checkbox"/> Exit-entry Permit for travelling to HK or Macau _____ 往來港澳通行證			
<input type="checkbox"/> Passport 護照 _____		<input type="checkbox"/> Others 其他 _____			
(3) Residence Address 住宅地址 *					

City 城市*		Country 國家*			
(4) Correspondence Address 通訊地址 (Please complete if different to the residence address 如通訊地址的與住宅地址不同，請填寫此欄。)					

City 城市		Country 國家			
(5) Date of Birth 出生日期 (DD 日/MM 月/YYYY 年) *					

(6) Place of Birth 出生地點					

Part II Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”)*
第二部份 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」）*

Bank Use Only

Note 注意：

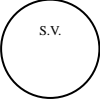
- Please complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder's TIN for each jurisdiction indicated. Please indicate **ALL** (not restricted to five) jurisdictions of residence.
 請於下列表格內列明 (a) 賬戶持有人的居留司法管轄區，亦即賬戶持有人的稅務管轄區（包括香港在內）及 (b) 該居留司法管轄區發給賬戶持有人的稅務編號。請列出**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.
 如賬戶持有人的香港稅務居民，稅務編號即其香港身份證號碼。
- If a TIN is unavailable, please provide the appropriate reason A, B or C:
Reason A – The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.
Reason B – The account holder is unable to obtain a TIN. Please explain in details.
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.
 如沒有提供稅務編號，請必須填寫合適的理由：
理由 A – 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。
理由 B – 賬戶持有人不能取得稅務編號。請詳細解釋相關原因。
理由 C – 賬戶持有人毋須提供稅務編號。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。

Part 2
M /
M+ABC /
NM

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，請填寫理由 A、B 或 C	Please explain why the account holder is unable to obtain a TIN if Reason B is selected 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 III Declarations and Signature 第三部份 聲明及簽署

- I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the Bank 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 Bank 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，貴行可根據《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 account holder of all the account(s) to which this form relates.
 本人證明，就與本表格所有相關的賬戶，本人是賬戶持有人簽署本表格。
- I undertake to advise the Bank of any change in circumstances which affects the tax residency status of the individual identified in Part I of this form or causes the information contained herein to become incorrect, and to provide the Bank 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，以致影響本表格第一部份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，本人會通知貴行，並會在情況發生改變後 30 日內，向貴行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 of Customer 客戶簽署	For Bank Use Only 銀行專用		
	<input type="checkbox"/> CA169 to be submitted	<input type="checkbox"/> CRS Supplementary explanation form attached	
	<input type="checkbox"/> FATCA Form to be submitted	Remark	
	Reasonableness Yes / No		
Branch/Unit:	ES No.	Prepared by	
Account No. (Optional) 賬戶號碼 (非必須填寫) :	Received Date:	ES No.	Checked by

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).

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。

Appendix – Definition of Terms 附錄 – 用詞釋義

Note: The following selected definitions are provided to assist you with the completion of this form. For CRS and tax related questions, customers should seek advice from professional tax advisers or refer to the Hong Kong Inland Revenue Department Automatic Exchange of Financial Account Information website: http://www.ird.gov.hk/eng/tax/dta_aeoi.htm.

提示：下列精選釋義僅提供以助閣下完成此表格。就共同匯報標準及稅務有關問題，客戶應自行向專業稅務顧問尋求意見或參考香港稅務局自動交換財務賬戶資料網站：http://www.ird.gov.hk/chi/tax/dta_aeoi.htm。

1. **“Account Holder”** - The “Account Holder” is 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. 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.

「賬戶持有人」指被維持該財務賬戶的財務機構列明為或識辨為賬戶的持有人的人士，不論該人士是否為過渡實體。所以，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，而非合夥的合夥人。除財務機構外，若有關人士以代理人、託管人、代名人、簽署人、投資顧問、中介人或合法監護人身份代其他人士持有財務賬戶，他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。聯名賬戶內的每個持有人都被視為賬戶持有人。

2. **“TIN” (including “functional equivalent”)** - The term “TIN” 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/>.

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) (for individuals) a social security/insurance number, citizen/personal identification/service code/number, and resident registration number.
- (b) (for Entities) a Business/company registration code/number.

「稅務編號」（包括具有等同功能的識辨編號）一詞指納稅人的識辨編號或具有等同功能的識辨編號（如無納稅人的識辨編號）。稅務編號是稅務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，以便實施該稅務管轄區的稅務法律。有關可接受的稅務編號的更多詳細資訊刊載於經濟合作與發展組織的自動交換資料網站：<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>.

某些稅務管轄區不發出稅務編號。但是，這些稅務管轄區通常使用具有等同識辨功能的其他完整號碼（「具有等同功能的識辨號碼」）。此類號碼的例子包括：

- (a) 就個人而言，社會安全號碼／保險號碼、公民／個人身份／服務代碼／號碼，以及居民登記號碼。
- (b) 就實體而言，商業／公司登記代碼／號碼。