

Entity - Self Certification Form (FATCA and CRS)

法人-自我聲明表格(FATCA 與 CRS)

Please read these instructions before completing the form.

請於填寫表格前先閱讀以下說明

Regulations based on Foreign Account Tax Compliance Act (“FATCA”) and Organisation for Economic Co-operation and Development (“OECD”) Common Reporting Standard (“CRS”) require financial institutions to collect and report certain required information based on an account holder’s tax residence.

根據“外國帳戶稅收遵從法”(「FATCA」)和經濟合作暨發展組織(「OECD」)共同申報準則(「CRS」)之規定，要求金融機構按照帳戶持有人或法人帳戶之控制人的納稅居住地收集及匯報若干所需資料。

Each jurisdiction has its own rules for defining tax residence. In general for entities, tax residence is defined as the jurisdiction where the entity has its place of management. Special circumstances may cause the entity to be resident elsewhere or resident in more than one jurisdiction at the same time (multiple residencies).

For more information on tax residence, please consult your tax adviser or the information at the following link for FATCA and CRS at <https://www.irs.gov/> and

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

每個稅務管轄區均按其本身的規則釐定稅籍的定義。一般來說，法人的稅籍是其管理工作地點。若干特別情況可能導致法人成為其他地方的居民，或同時成為超過一個國家的居民（多重居民地）。相關稅籍詳情，請諮詢您的稅務顧問，或瀏覽下列有關 FATCA 或 CRS 網頁的資料：<https://www.irs.gov/> 和 <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>。

If the tax residence of the account holder is located outside of the country in which this account is maintained, CHINA ZHESHANG BANK CO., LTD. (HONG KONG BRANCH) (“CZBHK” or “we”) may be legally obliged to pass on the information in this form and other financial information with respect to your financial accounts to the tax authorities in the country where we are located and/or US Internal Revenue Service. The aforementioned information may then be shared between different countries’ tax authorities.

如果帳戶持有人的稅籍位於此設立帳戶的國家之外，浙商銀行股份有限公司（香港分行）（以下稱「浙商銀行香港分行」）在法律上可能有責任把此自我聲明表格內的資料及與帳戶持有人的金融帳戶有關的其他金融資料，轉交予當地稅務機關及/或美國國稅局。前述資料之後可能被不同國家間之稅務機關分享。

This form will generally remain valid unless there is a change in circumstances relating to the account holder’s tax residence, (e.g. a change in the ownership structure of the entity adding controlling person) or other mandatory fields included on this form. You must notify us within 30 days if there is a change in circumstance that makes any of the information provided in this form incorrect or incomplete and provide an updated self-certification form.

一般來說，此自我聲明表格屬永久有效，直至帳戶持有人之稅籍或其他必要填寫欄位出現變動為止（例如，法人新增控制人並使其股權結構發生變動）。若具有任何導致此自我聲明表格所提供的資料不實或不完整的變動，請於 30 日內通知我們，並提供最新的自我聲明表格。

This form is intended to request information only where such request is not prohibited by applicable local law or regulations.

此自我聲明表格僅作為要求提供資料之用，而相關要求不受當地法律或法規禁止。

Please complete this form where you need to self-certify on behalf of an entity account holder.

若您為代表法人帳戶持有人出具聲明，則請填寫此自我聲明表格。

If you are an individual account holder or sole proprietor, do not complete this form. Instead please complete an “Individual/Controlling Person - Self Certification Form (FATCA and CRS)”.

若您為個人帳戶持有人或獨資經營，請勿填寫此自我聲明表格。請改填「個人/控制人-自我聲明表格 (FATCA 與 CRS)」。

Where the account holder is a passive non-financial foreign entity (“NFFE”) under FATCA, or passive non-financial entity (“NFE”) / an investment entity located in a non-participating jurisdiction managed by another financial institution under CRS:

若帳戶持有人之法人身分為 FATCA 或 CRS 下的「非實質營運之非金融機構法人」或「非 CRS 稅務管轄區被專業管理之投資法人」：

Please provide information on the natural person(s) who exercise control over the account holder (such individuals referred to as “Controlling Person(s)”) by completing an “Individual/Controlling Person - Self Certification Form (FATCA and CRS)” for each Controlling Person. This information should be provided in respect of any account holder which is a passive NFFE under FATCA, or passive NFE / investment entities located in a non-participating jurisdiction and managed by another financial institution under CRS.

請於「個人/控制人-自我聲明表格(FATCA 與 CRS)」提供對帳戶持有人具有控制力之自然人資訊(即「控制人」)。

If you are completing the form on the account holder’s behalf

如果您是代表帳戶持有人填寫此自我聲明表格

You should indicate the capacity in which you have signed in Section 4. For example, you may be completing the form under a signatory authority or power of attorney.

請於第 4 部分說明您的代表身分。例如，您可能係為有權簽字人或依據授權書填寫此份自我聲明表格。

As a financial institution, we are not allowed to give tax or legal advice.

身為一家金融機構，我們不得提供相關稅務或法律意見。

If you have any questions about this form, these instructions, or defining your tax residency status, please speak to your tax adviser or domestic tax authority.

若您對此自我聲明表格之內容與說明或對您的稅籍有任何疑問，請諮詢您的稅務顧問或當地稅務機關。

Section 1: Account holder Identification

第 1 部分：法人帳戶持有人的身分識辨資料

Account holder details: 帳戶持有人詳細身分識辨資料

[Name – the “Entity”] 公司名稱

[Country of incorporation or organisation] 設立國家

Registered/Permanent address: 註冊/永久營業地址

[Room/Flat/Block/Name of Building/Estate (if applicable)] 室/單位/座/大樓名稱（如適用）

[Street Number/Street Name] 街道號碼/名稱

[City, Town] 城市，鎮

[State, Province or County] 州，省或縣

[Postal/ZIP Code] 郵政編碼/郵遞區號碼

[Country] 國家

Mailing address (if different from above): 通訊地址（如通訊地址與註冊/永久營業地址不同，填寫此欄）

[Room/Flat/Block/Name of Building/Estate (if applicable)] 室/單位/座/大樓名稱（如適用）

[Street Number/Street Name] 街道號碼/名稱

[City, Town] 城市，鎮

[State, Province or County] 州，省或縣

[Postal/ZIP Code] 郵政編碼/郵遞區號碼

[Country] 國家

Section 2: Tax Residence(s)

第 2 部分：稅籍

Please indicate all jurisdictions in which the account holder is resident for tax purposes and the associated Tax Identification Numbers (TINs) for each tax residence.

請註明帳戶持有人所有的稅籍及稅籍編號。

A. Declaration of U.S. Tax Status:

美國稅務身分之聲明

Is the account holder a Specified U.S. Person or U.S. Person?

請問帳戶持有人是特定美國人或美國人？

<input type="checkbox"/>	a) The account holder is a <i>Specified U.S. Person</i> and the account holder's U.S. Federal Taxpayer Identification Number ("TIN") is as follows: 帳戶持有人是特定美國人，其美國聯邦納稅人識別號碼 ("TIN") 如下： U.S. TIN: 美國納稅人識別號碼： _____
<input type="checkbox"/>	b) The account holder is a U.S. Person but not a <i>Specified U.S. Person</i> 帳戶持有人是美國人，但非特定美國人
<input type="checkbox"/>	c) The account holder is neither a <i>U.S. Person</i> nor a <i>Specified U.S. Person</i> 帳戶持有人不是美國人或特定美國人

B. Declaration of Tax Residence (other than U.S.):

稅籍聲明（美國以外）：

Please indicate **ALL** (not restricted to five) the account holder's jurisdiction of tax residence and associated TIN.

請註明所有（不限於 5 個）的稅務管轄區及稅籍編號。

NOTE: If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number. If the account holder is not tax resident in any jurisdiction (e.g. because it is fiscally transparent), please provide the place of effective management or country in which its principal office is located.

注意：若帳戶持有人是香港稅務居民，其稅籍編號是香港商業登記證號碼。若帳戶持有人並非任何稅務管轄區的稅務居民（例如：它是財政透明法人），請填寫實際管理機構所在的稅務管轄區。

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

若無法提供稅籍編號，請選填原因 A，B 或 C

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

原因 A – 帳戶持有人所屬的稅務管轄區並無發給稅籍編號予其稅務居民。

Reason 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.

原因 B – 帳戶持有人無法取得稅籍編號。若選填此項者，請說明解釋無法取得稅籍編號之原因

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.

原因 C – 無需提供稅籍編號。（僅針對所填寫之稅務管轄區規定無需揭露稅籍編號時，才能選填此項）

Country/Jurisdiction of Tax Residence 國家/稅務管轄區	TIN / If no TIN is available, please specify the Reason A, B or C. Explain why the account holder is unable to obtain a TIN if Reason B is selected. 稅籍編號/ 無法提供稅籍編號者，請選填原因 A、B 或 C(如選填原因 B 請說明無法取得稅籍及編號之原因)
1.	
2.	
3.	
4.	
5.	

Section 3: Account holder's classification under applicable tax regulations

第 3 部分：帳戶持有人類別

If your sole tax residency is U.S., please omit this section and proceed to Section 3.B.

若帳戶持有人唯一的稅籍是美國，請忽略此部分，直接至第 3 部分的 B：CRS 類別填寫。

A. FATCA Classification

FATCA 類別

Please tick one of the below categories as appropriate:

下列類別中，請視法人狀態勾選一項適用之選項：

<input type="checkbox"/>	a) Reporting FI in an IGA jurisdiction (please provide GIIN below) 於 IGA 管轄區下之應申報金融機構（請於下方提供 GIIN）																				
<input type="checkbox"/>	b) Participating Foreign Financial Institution in a non-IGA jurisdiction (please provide GIIN below) 於非 IGA 管轄區下之遵循之外國金融機構（請於下方提供 GIIN）																				
<input type="checkbox"/>	c) Non-Participating Foreign Financial Institution 未簽署的外國金融機構																				
<input type="checkbox"/>	d) Deemed-Compliant Foreign Financial Institution 視同遵循之外國金融機構 (please provide GIIN below if you are a registered-deemed compliant foreign financial institution or sponsored entity with a GIIN) （若您是視同遵循之外國金融機構或具有GIIN的受贊助法人，請於下方提供GIIN） For Trustee documented trust or sponsored entity, please provide the name of the trustee or sponsor and associated GIIN 對於已提供受託人資訊之信託或受贊助法人，請提供受託人或贊助人之名稱及GIIN Name of trustee(s) or sponsor(s): _____ 受託人或贊助人名稱： Global Intermediary Identification Number (GIIN) of the trustee(s) or sponsor(s): 受託人或贊助人的全球中介機構辨識碼（GIIN）： <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> <td style="width: 25px; height: 20px;"></td> </tr> </table>																				
<input type="checkbox"/>	e) Exempt Beneficial Owner 豁免最終受益人																				
<input type="checkbox"/>	f) Active Non-Financial Foreign Entity 實質營運之非金融機構非美國法人																				
<input type="checkbox"/>	g) Passive Non-Financial Foreign Entity 非實質營運之非金融機構非美國法人 Please complete Individual/Controlling Person - Self Certification Form (FATCA and CRS) 請填寫「個人/控制人-自我聲明表格(FATCA與CRS)」																				
<input type="checkbox"/>	h) Others, please specify: 其他，請說明 _____																				

Global Intermediary Identification Number (GIIN) of the account holder:

帳戶持有人的全球中介機構辨識碼（GIIN）：

GIIN:

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B. CRS Classification	
CRS 類別	
Please tick one of the below categories as appropriate: 下列類別中，請視法人狀態勾選一項適用之選項：	
<input type="checkbox"/>	a) Financial Institution – other than a Professionally Managed Investment Entity (e.g. a fund), tax resident in a Non-Participating Jurisdiction under CRS 金融機構 (不包含非 CRS 稅務管轄區之被專業管理投資法人 (如基金))
<input type="checkbox"/>	b) Professionally Managed Investment Entity, tax resident in a Non-Participating Jurisdiction under CRS 非 CRS 稅務管轄區之被專業管理投資法人 Please complete Individual/Controlling Person - Self Certification Form (FATCA and CRS) 請填寫「個人/控制人-自我聲明表格(FATCA與CRS)」
<input type="checkbox"/>	c) Active Non-Financial Entity - a corporation the stock of which is regularly traded on one or more established securities markets or a corporation which is a related entity of such a corporation Name of the established securities market on which stock is regularly traded: 實質營運之非金融機構法人 - 該法人的股票經常在一個或多個具規模證券市場交易或其關係企業常態交易之證券市場名稱: If the Account Holder is a related entity of a regularly traded corporation, provide the name of the regularly traded corporation: 如果帳戶持有人是實質營運之非金融機構法人的關係企業，請提供常態交易之公司名稱
<input type="checkbox"/>	d) Active Non-Financial Entity - Governmental entity, Central Bank or International Organisation, or an entity wholly owned by one or more of the foregoing entities 實質營運之非金融機構法人-各級政府、中央銀行或國際組織，或由前述之法人全權擁有的法人
<input type="checkbox"/>	e) Active Non-Financial Entity - others, please specify: 實質營運之非金融機構法人- 其他，請說明： <input type="checkbox"/> (1) Active NFE by reason of income and assets 符合相關收入及資產規定的主動非財務實體 <input type="checkbox"/> (2) Holding NFE that are member of a non-financial group 屬並非財務集團成員的控權非財務實體 <input type="checkbox"/> (3) Start-up NFE 新成立的非財務實體 <input type="checkbox"/> (4) NFE that are liquidating or emerging from bankruptcy 正進行清盤或出現破產的非財務實體 <input type="checkbox"/> (5) Treasury centre that are member of a non-financial group 屬並非財務集團成員的財資中心 <input type="checkbox"/> (6) Non-profit NFE 非牟利的非財務實體
<input type="checkbox"/>	f) Passive Non-Financial Entity 非實質營運之非金融機構法人 Please complete Individual/Controlling Person - Self Certification Form (FATCA and CRS) 請填寫「個人/控制人-自我聲明表格(FATCA與CRS)」

Section 4: Declarations and Undertakings

第 4 部分：聲明及簽署

I/We acknowledge, understand and consent to the use that (a) the information contained in this self-certification is collected and may be kept by CZBHK 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 CZBHK to the tax authorities of the country/jurisdiction in which this account(s) is/are maintained and/or US Internal Revenue Service, and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which I/we may be tax resident pursuant to the legal provisions or intergovernmental agreements to exchange financial account information.

本人知悉及同意浙商銀行香港分行 (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) 把該等資料及任何須申報帳戶的資料向當地稅務機關及/或美國國稅局申報，從而把資料依法令規定或政府間協議交換予法人所屬之稅務管轄區的稅務機關。

I/We undertake to advise CZBHK and provide a suitably updated self-certification form within 30 days of the occurrence of any change in circumstance which causes any of the information contained in this form to be incorrect or incomplete.

本人承諾，如情況有所改變，以致本表格所載的資料不正確或不完備，本人會在情況發生改變後 30 日內，提供一份已適當更新的自我聲明表格予浙商銀行香港分行。

I/We declare (as an authorised signatory of the Entity) that the information provided and statements made in this form are, to the best of my/our knowledge and belief, true, correct and complete.

本人(身為法人的有權簽字人)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。

Authorised Signature(s) 有權簽字人聲明

[Authorised signature #1] 簽署

簽署

[Authorised signature #2, if required] 簽署(如有)

[Print name #1] 姓名

姓名

[Print name #2] 姓名

姓名

Capacity 簽署人之身分

簽署人之身分

Capacity 簽署人之身分

簽署人之身分

[Date (yyyy/mm/dd)] 日期 (年/月/日)

日期 (年/月/日)

[Date (yyyy/mm/dd)] 日期 (年/月/日)

日期 (年/月/日)

Note: If you are not the account holder, please indicate the capacity in which you are signing the form. If signing under a power of attorney, please also attach a certified copy of the power of attorney.

注意：若您不是帳戶持有人，請簡述簽署人之身分。如果您是以授權人身分簽署這份表格，請提供該授權書之影本。

In case of any inconsistency between the English version and the Chinese translation of this form, the English version shall apply and prevail. 此表格的英文與中文譯本如有歧異，概以英文本為準。

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聲明時，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。