

Individual/Controlling Person - Self Certification Form (FATCA and CRS)

個人/控權人-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 individual account holder’s or controlling person of an entity account holder’s tax residency status.

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權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, tax residence is the country in which you live. Special circumstances (such as studying abroad, working overseas, or extended travel) may cause you to be resident elsewhere or resident in more than one country at the same time (multiple tax residencies). The country/countries in which you pay income tax are likely to be your country/countries of tax residence. 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，您的稅籍是您所居住的國家。若干特別情況(如出國留學，在海外工作或長期旅行)可能導致您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)。您繳納所得稅的國家可能是您所屬的稅籍，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 your tax residency status (or that of account holder/controlling person, if you are completing the form on his/her behalf) 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 the 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.

如果您的稅籍位於此設立帳戶的國家之外(或您代表帳戶持有人/控權人填寫之稅籍)，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 circumstance relating to your tax residency status. 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出現變動為止。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。

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。

Filing Instruction

文件說明

Please use this form:

請使用此份自我聲明表格

- **If you are an individual/joint account holder, or sole proprietor opening a new account with us, holding an existing account with us, or you are notifying us of a change in circumstances. Please complete Section 1, 2, 3 and 5; or**

若您是個人/聯名帳戶持有人，或獨資經營開立新帳戶、持有現有帳戶、或通知情況變更，請填寫第 1、2、3 及 5 部分;或

- **If you are a controlling person of a passive non-financial foreign entity under FATCA, or controlling person of a passive non-financial entity / an investment entity located in a non-participating jurisdiction managed by another financial institution under CRS (such individuals referred to as “Controlling Person(s)”) and you are either opening a new account with us, holding an existing account with us or you are notifying us of a change in circumstances. Please complete all sections.**

若您是 FATCA 或 CRS 下的「非實質營運之非金融機構法人」的控權人，或「非 CRS 稅務管轄區被專業管理之投資法人」的控權人，則當您開立新帳戶、持有現有帳戶、或通知情況變更時，請完成所有部分。

The below is only applicable to controlling person of an entity account holder:

以下僅適用於法人帳戶的控權人

Since you are a Controlling Person, please provide your information in the below sections.

由於您是控權人，故請提供以下資料。

Generally, a controlling person is a natural person that holds more than 25% of the shares of the entity or otherwise exercises ultimate control of an entity. For further guidance see: <http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/common-reporting-standard-and-related-mentaries/#d.en.345314>.

一般而言，控權人為自然人，且持有多於 25% 的法人股份或對該法人具有最終控制權，詳細資訊請參閱:

<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/common-reporting-standard-and-related-mentaries/#d.en.345314>.

If you are the entity account holder filling in this form on behalf of your controlling persons:

若您是法人帳戶持有人，請代表您的控權人填寫此自我聲明表格:

Please tell us in what capacity you are signing in Section 5. For example, you may be the custodian or nominee of an account on behalf of the account holder, or you may be completing the form under a power of attorney.

請於第 5 部分說明您的代表身分。例如，您可能以保管機構或被委任人的身分代表帳戶持有人，或依據授權書填寫此份自我聲明表格。

Section 1: Account Holder/Controlling Person Identification**第 1 部分：個人帳戶持有人/控權人的身分識辨資料****Account Holder/Controlling Person Name:**

帳戶持有人/控權人之姓名

Title (e.g. Mr, Mrs, Ms, Miss) _____

稱謂（例如：先生、太太、女士、小姐）

Last Name or Surname _____

姓氏

First or Given Name _____

名字

Middle Name(s) _____

中間名

 Hong Kong (Permanent) Identity Card Number: _____

香港身分證號碼

 Passport Number: _____

護照號碼

Nationality(ies) _____

國籍

Current Residential Address: 現時居住地址

[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（如通訊地址與現時居住地址不同，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

Place of birth: 出生地點

[Town or City of Birth] 鎮/城市

[Country of Birth] 國家

Date of birth (yyyy/mm/dd): _____

出生日期（年/月/日）

Section 2: FATCA Declaration**第 2 部分：FATCA 聲明**

Please answer the following question in order to confirm your status under the tax laws and regulations of the United States.

請回答以下問題，以確認您在美國稅法下的狀態。

Are you a United States citizen/ United States resident/ United States Permanent Resident Alien (i.e. a so-called U.S. green card holder)

您是美國公民/美國居民/美國永久居民外國人（即所謂的美國綠卡持有人）

Yes - Please provide U.S. Taxpayer Identification Number (“TIN”) _____

是-請提供美國稅籍編號(TIN)

No

否

Section 3: CRS Declaration of Tax Residency (Please note you must list all tax residencies)**第 3 部分：CRS 稅籍聲明（請注意，您必須列出所有稅籍）**

Please indicate **ALL** (not restricted to five) the account holder/controlling person’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 a TIN is unavailable, provide the appropriate reason A, B or C:

注意：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/controlling person is a resident for tax purposes does not issue TINs to its residents.

原因 A - 我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/controlling person is unable to obtain a TIN. Explain why the account holder/controlling person is unable to obtain a TIN if you have selected this reason.

原因 B - 我無法取得稅籍編號。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 Reason A, B or C. (Explain why the account holder/controlling person 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編號之原因)
1.	
2.	
3.	
4.	
5.	

Section 4: Type of Controlling Person

第 4 部分：控權人類別

Type of Entity 法人類別	Please confirm what type of Controlling Person applicable under CRS 請確認 CRS 下之控權人類別	Please Tick all that apply 請勾選所有適用選項	Entity Name 法人名稱
Legal Person 法人	Individual who has a controlling ownership interest (i.e. more than 25% of issued share capital) 擁有控制股權的個人 (即擁有多於百分之二十五的已發行股本)		
	Individual who exercises control/is entitled to exercise control through other means (i.e. more than 25% of voting rights) 以其他途徑行使控制權或有權行使控制權的個人 (即擁有多於百分之二十五的表決權)		
	Individual who holds the position of senior managing official/ exercises ultimate control over the management of the entity 擔任該法人的高級管理人員/對該法人的管理行使最終控制權的個人		
Trust 信託	Settlor 財產授予人		
	Trustee 受託人		
	Protector or enforcer 保護人或執行人		
	Beneficiary or member of the class of beneficiaries 受益人或某類別受益人的成員		
	Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector or enforcer /beneficiary) 其他 (例如：如財產授予人/受託人/保護人或執行人/受益人為另一法人，對該法人行使控制權的個人)		
Legal Arrangement other than trust 除信託以外的法律安排	Individual in a position equivalent/similar to settlor 處於相等/相類於財產授予人位置的個人		
	Individual in a position equivalent/similar to trustee 處於相等/相類於受託人位置的個人		
	Individual in a position equivalent/similar to protector or enforcer 處於相等/相類於保護人或執行人位置的個人		
	Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries 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		
	Other (e.g. individual who exercises control over another entity being equivalent/similar to settlor/trustee/protector or enforcer/beneficiary) 其他 (例如：如處於相等/相類於財產授予人/受託人/保護人或執行人/受益人位置的人為另一法人，對該法人行使控制權的個人)		

Section 5: Declaration and Undertakings

第 5 部分：聲明和簽署

I acknowledge and 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/controlling person and any reportable account(s) may be reported by CZBHK to the tax authority 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 the account holder/controlling person may be tax resident pursuant to the legal provisions or intergovernmental agreements for exchange of 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) 把該等資料和關於控權人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本人所屬之稅務管轄區的稅務機關。

I undertake to advise CZBHK and provide a suitably updated self-certification form within 30 days of the occurrence of any change in circumstances 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 declare that the information provided 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。

The following certification is applicable for a U.S. person (i.e. you have ticked “Yes” in the relevant question of Section 2 above) only:

下列聲明只適用於美國人士（即閣下就上述第二部分有關問題的答案為「是」）：

Under penalty of perjury, I certify that:

在願受作假證供的懲處下，本人聲明

- (i) The number shown on this form is my correct U.S. Taxpayer Identification Number ;

此聲明書所示的號碼是本人正確的美國稅務編號（Taxpayer Identification Number）；

- (ii) I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the U.S. Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the U.S. IRS has notified me that I am no longer subject to backup withholding ; and

本人不需要繳納預扣稅，因為(a) 本人獲豁免不需繳納預扣稅，或(b) 本人未有收到美國國稅局通知指因本人未能報告所有利息或股息而需繳交預扣稅，或(c) 美國國稅局告知本人不再需要繳交預扣稅；及

- (iii) I am a U.S. citizen or other U.S. person.

本人是美國公民，或其他美國人士。

For a U.S. person, you are required to provide the certifications contained in the above paragraph. The U.S. IRS does not require your consent to any provision of this document other than the certifications required to avoid backup withholdings.

如閣下為美國人士，閣下須同意上述的聲明。美國國稅局並不要求閣下同意其他與避免預扣稅無關的條文。

Account Holder/Controlling Person/Authorised Person signature:

帳戶持有人/控權人/授權人簽名

[Signature] 簽署

[Print name]姓名

Capacity 簽署人之身分

[Date (yyyy/mm/dd)] 日期 (年/月/日)

Note: If you are not the account holder/controlling person, 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：若您不是第 1 部分所述的個人/控權人，請簡述簽署人之身分。如果你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。