



東興證券(香港)
DONGXING SECURITIES (HONG KONG)

Address: Unit 7503B-7505, ICC, 1 Austin Road West, Kowloon, H.K 香港九龍柯士甸道西 1 號環球貿易廣場 75 樓 7503B-7505 室
Email 電郵: cs@dxzq.com.hk Fax 傳真: (852) 26555002
Tel 電話: (852) 26555222 國內: 400-0868-882

自我聲明書 (個人客戶) Self-Certification Form (Individual)

客戶須知: 填寫此表格前, 請先閱讀本節。

Important Notice to Customer(s): Please read this section before completing this form.

作為金融機構, 我們是不允許給予客戶稅務諮詢。

如果您對此表格、說明, 或您的稅務居民身份定義有任何疑問, 請聯繫您的稅務顧問或相關稅務機關。您可以在OECD自動訊息交換網站獲取更多信息, 包括已簽署自動交換信息協議的司法管轄區的名單及被請求交換的有關信息。

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

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

If you have any questions about this form, these instructions, or defining your tax residency status, please speak to your tax advisor or relevant tax authority. You can also find out more, including a list of jurisdictions that have signed agreements to automatically exchange information, along with details about the information being requested, on the OECD automatic exchange of information portal (<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>).

請注意: 如果客戶為聯名帳戶, 各聯名帳戶持有人必須各自填寫一份自我聲明書。

Please note that where there are joint account holders, each account holder is required to complete a separate Self-Certification form.

您可能會被要求提供額外證明文件, 以核實此表格上之內容。

You may be asked to provide additional documents to evidence the declaration made on this form.

第1部份: 帳戶持有人身份 Section 1: Account Holder Identification

個人資料 Personal Information:

帳戶持有人姓名 (姓氏, 名字) Account Holder Name (First or Given name, Last name or Surname)

出生日期 (日/月/年) Date of Birth (dd/mm/yyyy)

出生地 (城市, 國家) Place of Birth (City, Country)

居住地址 Residence Address:

室/層/座 Room/ Flat, Floor, Block

樓宇/屋苑名稱, 街道號數/名稱 Name of Building/Estate, No. & Name of Street/Road

地區/城市/城鎮 District/ City/Town

郵政編碼 Post Code

國家 Country

通訊地址 (如與上述居住地址不同) Correspondence Address (if different from the residence address stated above):

室/層/座 Room/ Flat, Floor, Block

樓宇/屋苑名稱, 街道號數/名稱 Name of Building/Estate, No. & Name of Street/Road

地區/城市/城鎮 District/ City/Town

郵政編碼 Post Code

國家 Country

第2部份：美國納稅申報情況 Section 2: Declaration of US Tax Status

(a) 本人聲明本人為美國公民*。

I certify that I am a Citizen of the United States of America*.

☐ 是 Yes

☐ 否 No

(b) 本人聲明本人為美國稅法定義下的美國居民*。

I certify that I am a resident of the United States of America for U.S. federal income tax purposes*.

美國居民包括(i)美國永久居民卡(「綠卡」)持有人;或(ii)通過美國聯邦所得稅所規定「實質居留**」測試的人士。

Resident of the U.S. includes any individual who (i) holds a U.S. Permanent Resident Card (i.e. a green card) or (ii) meets a U.S. "substantial presence**" test as prescribed under the U.S. federal income tax law.

☐ 是 Yes

☐ 否 No

* 如果(a)或(b)選項之答案為「是」,請提供美國稅務編號:_____。

* If the answer to (a) or (b) is "yes", please provide U.S. Tax Identification Number ("TIN"): _____

(c) 雖然本人聲明本人於美國出生,但已經申請放棄美國國籍。因此本人不再是美國公民。如此選項之答案為「是」,請提供相關證明或書面解釋。

I certify that I was born in the United States of America (or a U.S. territory), but am no longer a U.S. citizen as I have voluntarily surrendered my citizenship. If "yes", please provide proof or written explanation for not having U.S. citizenship.

☐ 是 Yes

☐ 否 No

如果您擁有非美國稅務居民身份,請填寫第3部份。

Please proceed to Section 3 if you have non-U.S. tax residences.

第3部份：其他稅務居民身份 Section 3: Declaration of Residence for tax purpose (other than US)

本人聲明本人為下列司法管轄區之稅務居民。

I hereby confirm that I am, for tax purposes, resident in the following countries.

請填寫您為稅務居民所屬的所有司法管轄區及相應的稅務編號(香港包括在內)。如果您對您的稅務居民司法管轄區有任何疑問,請聯絡您的稅務顧問。

Please fill in ALL jurisdiction(s) and the associated TIN(s) where you are a tax resident (including Hong Kong). If you have any questions about your jurisdiction(s) of tax residency, please contact your tax advisor.

如帳戶持有人是香港稅務居民,稅務編號是其香港身份證號碼。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.

如未能提供稅務編號,必須填寫理由A、B或C。

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

理由A - 帳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 A - The jurisdiction where the Account Holder is a resident for tax purposes does not issue TINs to its residents

理由B - 帳戶持有人不能取得稅務編號。如選取這一理由,請在下表中解釋帳戶持有人不能取得稅務編號的原因。

Reason B - The Account Holder is unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN in the below table if you have selected this reason)

理由C - 帳戶持有人毋須提供稅務編號。(請注意:這理由只適用於居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。)

Reason C - TIN is not required. Select this reason only if the authorities of the jurisdiction of tax residence do not require the TIN to be disclosed.

稅務居民司法管轄地 Jurisdiction of Tax Residence	稅務編號 TIN	如未能提供稅務編號,請填寫理由A、B或C。 Enter Reason A, B or C if TIN is unavailable

聲明及簽署 Declarations and Signature

本人在此聲明本人已查閱此自我聲明書之內容及陳述，並盡本人所知及確信，聲明內容均屬真實、正確及完整。

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.

本人承認此聲明書及有關本人及須申報帳戶的任何資料可向任何本地或海外政府、監管或稅務機關或機構(包括但不限於中華人民共和國香港特別行政區政府稅務局及美國國稅局)提供，以及向適用法例、法規、慣例或指引(包括但不限於香港稅務條例、任何在本地實施的OECD「經濟合作與發展組織稅務金融訊息自動交換標準/通用報告準則」、美國《外國帳戶稅收合規法案》及在香港或任何其他相關司法管轄地已落實的同類稅務資訊共用制度)所規定或指示或東興證券(香港)有限公司認為必要的任何其他本地或海外人士或單位提供；及可由東興證券(香港)有限公司存儲、使用及披露，以便其遵從有關向本人提供服務的義務、承諾、安排或市場慣例。

I acknowledge that the information contained in this form and information regarding the account holder and any reportable account(s) may be reported to any local or foreign governmental, regulatory or tax authorities or bodies (including without limitation the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region of the People's Republic of China and the U.S. Internal Revenue Service), and to any other local foreign persons or entities required or directed by applicable laws, regulations, practices or guidelines (including without limitation the Hong Kong Inland Revenue Ordinance, any local implementation of the OECD Standard for Automatic Exchange of Financial Information in Tax Matters/Common Reporting Standard, the U.S. Foreign Account Tax Compliance Act (FATCA) and local implementation hereof, and any similar tax information sharing regime put in place in Hong Kong or any other relevant jurisdiction) or deemed necessary by Dongxing Securities (Hong Kong) Company Limited and stored, used and disclosed by Dongxing Securities (Hong Kong) Company Limited so that it can comply with obligations, commitments, arrangement or market practices in relation to providing services to me.

本人承諾如以上聲明有任何情況改變，而影響本表格的第1部分識別個人的稅務收居民身份有任何變化或導致此自我聲明書之內容及陳述變得不正確的信息時，將通知東興證券(香港)有限公司，並於情況改變發生的30日內向東興證券(香港)有限公司重新提供正確的自我聲明書。

I undertake to advise Dongxing Securities (Hong Kong) Company Limited of on any change in circumstances which affects the tax residency status of the individual identified in Section 1 of this form or cause the information contained herein to become incorrect, and to provide Dongxing Securities (Hong Kong) Company Limited with a suitably updated Self-Certification form within 30 calendar days of such change in circumstances.

本人聲明本人為帳戶持有人 / 本人被授權為帳戶持有人簽署^。

I certify that I am the account holder / I am authorised to sign for the account holder^ of all the account(s) to which this form relates.

被授權人/帳戶持有人簽署
Signature of Account Holder/Authorized Signatory

正楷姓名
Print Name

日期 (日/月/年)
Date (dd/mm/yyyy)

簽署人身份 (如您不是帳戶持有人請註明身份)
Signer Capacity (Indicate the capacity if you are not the account holder)

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 selfcertification, 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).

** 要通過「實質居留」測試，一般就任何歷年而言：(a) 個別人士須於該年度內在美國居留最少31日及(b) 該名人士於該年度內在美國居留的日數，加對上一一年內在美國居留的日數的三分之一，再加對上兩年在美國居留的日數的六分之一，三者合計等於或超過183日。

** The "substantial presence" test is generally met with respect to any calendar year if (a) the individual was present in the U.S. for at least 31 days during such year, and (b) the sum of the number of days in which such individual was present in the U.S. during such year 1/3 of the number of such days during the first preceding year, and 1/6 of the number of such days during the second preceding year, equals or exceeds 183 days.

如此表格的中、英文兩個版本有任何不相符之處，應以英文版本為準，所有您在此聲明書提供的資料會被視為回應英文版本原文。

In the event of any inconsistency between the English and Chinese language text on this Self-Certification form, the English version will prevail and all information provided by you on this form will be treated as addressing the English text.

^ 刪去不適用者 Delete as appropriate