

## 自我證明表格 – 控權人 Self-Certification Form – Controlling Person

## 重要提示 Important Notes:

- 這是由控權人向申報財務機構提供的自我證明表格，以作自動交換財務帳戶資料用途。申報財務機構可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。  
This is a self-certification form provided by a controlling person to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- 如控權人的稅務居民身分有所改變，應盡快將所有變更通知申報財務機構。  
A controlling person should report all changes in his/her tax residency status to the reporting financial institution.
- 除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄/部標有星號 (\*) 的項目為申報財務機構須向稅務局申報的資料。  
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 reporting financial institution to the Inland Revenue Department.

## 第1部: 控權人的身分識辨資料 Part 1: Identification of Controlling Person

在其中一個適當的方格內加上別號。 Tick one of the appropriate boxes.

控權人的姓名* Name of Controlling Person*	稱謂 Title: <input type="checkbox"/> 先生 Mr. <input type="checkbox"/> 太太 Mrs. <input type="checkbox"/> 女士 Ms. <input type="checkbox"/> 小姐 Miss <input type="checkbox"/> 其他 Other _____		
	姓氏 Last Name or Surname	名字 First or Given Name	中間名 Middle Name(s)
香港身份證或護照號碼 Hong Kong Identity Card or Passport Number			
現時住址* Current Residence Address*	(例如: 室、樓層、大廈、街道、地區 e.g. Suite, Floor, Building, Street, District)		
	城市 City		
	(例如: 省、州 e.g. Province, State)		
	國家 Country		
	郵政編碼/郵遞區號碼 Post Code/ZIP Code		
通訊地址 Mailing Address (如通訊地址與現時住址 不同, 填寫此欄 Complete if different to the current residence address)	(例如: 室、樓層、大廈、街道、地區 e.g. Suite, Floor, Building, Street, District)		
	城市 City		
	(例如: 省、州 e.g. Province, State)		
	國家 Country		
	郵政編碼/郵遞區號碼 Post Code/ZIP Code		
出生日期* Date of Birth*	(日/月/年 dd/mm/yyyy)		
出生地點 Place of Birth (可不填寫) (Not compulsory)	鎮/城市 Town/City	省/州 Province/State	國家 Country

## 第2部 Part 2 你作為控權人的實體帳持有人 The Entity Account Holder(s) of which you are a controlling person

填寫你作為控權人的實體帳持有人的名稱。 Enter the name of the entity account holder of which you are a controlling person.

實體 Entity	實體帳戶持有人的名稱 Name of the Entity Account Holder
(1)	
(2)	
(3)	

## 第3部 Part 3 居留司法管轄區及稅務編號或具有等同功能的識辨編號 (以下簡稱「稅務編號」)\*

## Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”) \*

提供以下資料，列明 Complete the following table indicating:

- (a) 控權人的居留司法管轄區，亦即控權人的稅務管轄區（香港包括在內）及 the jurisdiction of residence (including Hong Kong) where the controlling person is a resident for tax purposes; and
- (b) 該居留司法管轄區發給控權人的稅務編號。列出所有（不限於5個）居留司法管轄區。 the controlling person’s TIN for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence.

如控權人是香港稅務居民，稅務編號是其香港身份證號碼。If the controlling person is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.

如沒有提供稅務編號，必須填寫合適的理由 If a TIN is unavailable, provide the appropriate reason A, B or C:

理由 A – 控權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 controlling person is a resident for tax purposes does not issue TINs to its residents.

理由 B – 控權人不能取得稅務編號。如選取這一理由，解釋控權人不能取得稅務編號的原因。

Reason B – The controlling person is unable to obtain a TIN. Explain why the controlling person is unable to obtain a TIN if you have selected this reason.

理由 C – 控權人毋須提供稅務編號。居留司法管轄區的主管機關不需要控權人披露稅務編號。

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.

居留司法管轄區 Jurisdiction of Residence	稅務編號TIN	如沒有提供稅務編號，填寫理由A、B或C Enter Reason A, B or C if no TIN is available	如選取理由B，解釋控權人不能取得稅務編號的原因 Explain why the controlling person is unable to obtain a TIN if you have selected Reason B
(1)			
(2)			
(3)			
(4)			
(5)			

## 第4部 控權人類別 Part 4 Type of Controlling Person

就第2部所載的每個實體，在適當方格內加上別號，指出控權人就每個實體所屬的控權人類別。

Tick the appropriate box to indicate the type of controlling person for each entity stated in Part 2.

實體類別 Type of Entity	控權人類別 Type of Controlling Person	實體 Entity (1)	實體 Entity (2)	實體 Entity (3)
法人 Legal Person	擁有控制股權的個人（即擁有不少於百分之二十五的已發行股本） Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	以其他途徑行使控制權或有權行使控制權的個人（即擁有不少於百分之二十五的表決權） Individual who exercises control/is entitled to exercise control through other means (i.e. not less than 25% of voting rights)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	擔任該實體的高級管理人員/對該實體的管理行使最終控制權的個人 Individual who holds the position of senior managing official / exercises ultimate control over the management of the entity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
信託 Trust	財產授予人Settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	受託人Trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	保護人Protector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	受益人或某類別受益人的成員 Beneficiary or member of the class of beneficiaries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
除信託以外的法律安排 Legal Arrangement other than Trust	其他（例如：如財產授予人/受託人/保護人/受益人為另一實體，對該實體行使控制權的個人） Other (e.g. individual who exercises control over another entity being the settlor / trustee / protector / beneficiary)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	處於相等/相類於財產授予人位置的個人 Individual in a position equivalent/similar to settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	處於相等/相類於受託人位置的個人 Individual in a position equivalent/similar to trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	處於相等/相類於保護人位置的個人 Individual in a position equivalent/similar to protector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	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 Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	其他（例如：如處於相等/相類於財產授予人/受託人/保護人/受益人位置的人為另一實體，對該實體行使控制權的個人） Other (e.g. individual who exercises control over another entity being equivalent/similar to settlor/trustee/protector/beneficiary)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## 第5部 聲明及簽署 Part 5 Declarations and Signature

本人知悉及同意，財務機構可根據《稅務條例》（第112章）有關交換財務帳戶資料的法律條文，（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香港特別行政區政府稅務局申報，從而把資料轉交到控權人的居留司法管轄區的稅務當局。I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the controlling person and any reportable account(s) may be reported by the financial institution 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 controlling person 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).

本人證明，就與本表格所有相關的帳戶，本人是控權人/本人獲控權人授權簽署本表格#。I certify that I am the controlling person / I am authorized to sign for the controlling person # of all the account(s) held by the entity account holder(s) to which this form relates.

本人承諾，如情況有所改變，以致影響本表格第1部所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知**英明證券有限公司**，並會在情況發生改變後30日內，向**英明證券有限公司**提交一份已適當更新的自我證明表格。I undertake to advise **Phoenix Capital Securities Limited** 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 **Phoenix Capital Securities Limited** with a suitably updated self-certification form within 30 days of such change in circumstances.

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。

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.

簽署Signature	身分Capacity: _____  (如你不是第1部所述的個人，說明你的身分。如果你是以受權人身分簽署這份表格，須夾附該授權書的核證副本。) (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.)
姓名Name:	
日期（日/月/年）Date (dd/mm/yyyy)	

# 刪去不適用者 Delete as appropriate

**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 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).**