

TO: Guosen Securities (HK) Brokerage Company, Limited (GSBC)
 致: 国信证券(香港)经纪有限公司

Individual Tax Residency Self-Certification Form (CRS-I)

个人税务居民自我证明表格 (CRS-I)

Important Notes 重要提示

- **This is a self-certification form provided by an account holder 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.**
 这是由账户持有人向申报金融 / 财务机构提供的自我证明表格, 以作自动交换财务账户资料用途。申报金融 / 财务机构可把收集所得的资料交给税务局, 税务局会将资料转交到另一税务管辖区的税务当局。
- **An account holder should report all changes in his/her tax residency status to the reporting financial institution.**
 如账户持有人的税务居民身分有所改变, 应尽快将所有变更通知申报金融 / 财务机构。
- **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.**
 除不适用或特别注明外, 必须填写这份表格所有部分。如这份表格上的空位不够应用, 可另纸填写。在栏 / 部标有星号 (*) 的项目为申报金融 / 财务机构须向税务局申报的资料。
- **If you have any questions on how to define your tax residency status, please visit the OECD website: www.oecd.org/tax/automatic-exchange/ or speak to your tax advisor as we are not allowed to give tax advice.**
 如您对判定您的税务居民身分有任何疑问, 请浏览经合组织网站 www.oecd.org/tax/automatic-exchange/ 或咨询您的税务顾问。请恕我们不能提供税务意见。

Part 1: Identification of Individual Account Holder

第 1 部: 个人账户持有人的身分识别资料

(For joint or multiple account holders, complete a separate form for each individual account holder.)

(对于联名账户或多人联名账户, 每名个人账户持有人须分别填写一份表格。)

Note: Please tick where applicable.

注意: 请在适当的地方加上别号。

Name of Account Holder 账户持有人的姓名	Title 称谓: <input type="checkbox"/> Mr 先生 <input type="checkbox"/> Mrs 太太 <input type="checkbox"/> Miss 小姐 <input type="checkbox"/> Ms 女士 <input type="checkbox"/> Other 其他 <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%; border: 1px solid black; padding: 2px;">*Last Name or Surname 姓氏</td> <td style="width: 33%; border: 1px solid black; padding: 2px;">*First or Given Name 名字</td> <td style="width: 33%; border: 1px solid black; padding: 2px;">Middle Name(s) 中间名</td> </tr> </table>	*Last Name or Surname 姓氏	*First or Given Name 名字	Middle Name(s) 中间名
*Last Name or Surname 姓氏	*First or Given Name 名字	Middle Name(s) 中间名		
Identity Card or Passport Number 身份证或护照号码				
*Date of Birth 出生日期	(dd/mm/yyyy) (日 / 月 / 年)			
Place of Birth (Not compulsory) 出生地点(可不填写)	Town/City 镇/城市			
	Province/State 省/州			
	Country/Jurisdiction 国家 / 税务管辖区			
Current Residence Address 现时住址	(e.g. Suite, Floor, Building, Street, District) (例如: 室、楼层、大厦、街道、地区)			
	*City 城市			
	(e.g. Province, State) (例如: 省、州)			
	*Country/Jurisdiction 国家 / 税务管辖区			
	Post Code/ZIP Code 邮政编号 / 递区编号			
Mailing Address 通讯地址 (Complete if different to the above current residence address) (如通讯地址与上述现时住址不同, 填写此栏)	(e.g. Suite, Floor, Building, Street, District) (例如: 室、楼层、大厦、街道、地区)			
	*City 城市			
	(e.g. Province, State) (例如: 省、州)			
	*Country/Jurisdiction 国家 / 税务管辖区			
	Post Code/ZIP Code 邮政编号 / 递区编号			

Part 2: *Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN")
第 2 部：*居留司法管辖区及税务编号或具有等同功能的识辨编号（以下简称「税务编号」）

Complete the following table indicating:

提供以下资料，列明：

- (a) each jurisdiction of residence where the account holder is a resident for tax purposes; and
 账户持有人作为税务居民的居留司法管辖区，亦即账户持有人的税务管辖区；及
- (b) the account holder's TIN for each jurisdiction indicated.
 该居留司法管辖区发给账户持有人的税务编号。

Indicate all (not restricted to five) jurisdictions of residence. 列出所有(不限于5个)居留司法管辖区。

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

如账户持有人是香港税务居民，税务编号是账户持有人的香港身份证号码。

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

如没有提供税务编号，必须填写合适的理由：

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

理由 A - 账户持有人的居留司法管辖区并没有向其居民发出税务编号。

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.

理由 B - 账户持有人不能取得税务编号。如选取这一理由，解释账户持有人不能取得税务编号的原因。

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.

理由 C - 账户持有人毋须提供税务编号。居留司法管辖区的主管机关不需要账户持有人披露税务编号。

Jurisdiction of Residence 居留司法管辖区	TIN 税务编号	# Enter Reason A, B or C if no TIN is available 如没有提供税务编号，填写理 由 A、B 或 C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如选取理由 B，解释账户持有人不能取得 税务编号的原因
(1)			
(2)			
(3)			
(4)			
(5)			

Part 3: Declarations and Signature
第 3 部：声明及签署

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by GSBC 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 GSBC 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，国信证券(香港)经纪有限公司可根据《税务条例》(第112章)有关交换财务账户资料的法律条文，(a) 收集本表格所载资料并可备存作自动交换财务账户资料用途及 (b) 把该等资料和关于账户持有人及任何须申报账户的资料向香港特别行政区政府税务局申报，从而把资料转交到账户持有人的税务管辖区的税务当局。

I certify that I am the account holder of all the account(s) currently held with GSBC by the individual identified in Part 1 of this form.

本人证明，就有关本表格第1部所述的个人现于国信证券(香港)经纪有限公司持有的所有账户，本人是账户持有人。

I undertake to advise GSBC 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 GSBC with a suitably updated self-certification form within 30 days of such change in circumstances.

本人承诺，如情况有所改变，以致影响本表格第1部所述的个人的税务居民身分，或引致本表格所载的资料不正确，本人会通知国信证券(香港)经纪有限公司，并会在情况发生后30日内，向国信证券(香港)经纪有限公司提交一份已适当更新的自我证明表格。

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.

本人声明就本人所知所信，本表格内所填报的所有资料和声明均属真实、正确和完备。

Signature 签署	Name 姓名
	Date (dd/mm/yy) 日期 (日/月/年)

WARNING: It is a serious offence under 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. Heavy penalty may apply upon conviction.

警告：根据《税务条例》，如任何人在作出自我证明时，在明知一项陈述在要项上属具误导性、虚假或不正确，或罔顾一项陈述是否在要项上属具误导性、虚假或不正确下，作出该项陈述，即属犯罪。一经定罪，可致重罚。