

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

Entity Tax Residency Self-Certification Form (CRS-E)

实体税务居民自我证明表格 (CRS-E)

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 its 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 Entity Account Holder

第 1 部: 实体账户持有人的身分识别资料

(For multiple account holders, complete a separate form for each entity account holder.)

(对于联名账户或多人联名账户, 每名实体账户持有人须分别填写一份表格。)

*Legal Name of Entity 实体法定名称		
Jurisdiction of Incorporation or Organization 实体成立为法团或设立所在的税务管辖区		
Certificate of Incorporation or Business Registration Number 公司注册或商业登记号码		
Current Business Address 现时营业地址	(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 / 邮递区编号	
Mailing Address 通讯地址 <i>(Complete if different to the above current residence address)</i> (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 / 邮递区编号	

Part 2: Entity Type
第 2 部：实体类别

Tick one of the appropriate boxes and provide the relevant information.

在其中一个适当的方格内加上✓号，并提供有关资料。

Financial Institution 金融 / 财务机构	<input type="checkbox"/> Custodial Institution, Depository Institution or Specified Insurance Company 托管机构、存款机构或指明保险公司
	<input type="checkbox"/> Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity's assets) and located in a non-participating jurisdiction 投资实体，但不包括由另一金融 / 财务机构管理（例如：拥有酌情权管理投资实体的资产）并位于非参与税务管辖区的投资实体
Active NFE 主动非财务实体	<input type="checkbox"/> NFE the stock of which is regularly traded on _____, which is an established securities market 该非财务实体的股票经常在_____（一个具规模证券市场）进行买卖
	<input type="checkbox"/> Related entity of _____, the stock of which is regularly traded on _____ which is an established securities market 该非财务实体是_____的有关连实体，该有关连实体的股票经常在_____（一个具规模证券市场）进行买卖
	<input type="checkbox"/> NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities 政府实体、国际组织、中央银行或由前述的实体全权拥有的其他实体
	<input type="checkbox"/> Active NFE other than the above (Please specify _____) 除上述以外的主动非财务实体（请说明_____）
Passive NFE 被动非财务实体	<input type="checkbox"/> Investment entity that is managed by another financial institution and located in a non-participating jurisdiction 位于非参与税务管辖区并由另一金融 / 财务机构管理的投资实体
	<input type="checkbox"/> NFE that is not an Active NFE 不属主动非财务实体的非财务实体

Part 3: Controlling Persons (Complete this part if the entity account holder is a passive NFE)
第 3 部：控权人（如实体账户持有人是被动非财务实体，填写此部）

Indicate the name of all controlling person(s) of the account holder in the table below. If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official. Complete Controlling Person Tax Residency Self-Certification Form (CRS-CP) for each controlling person.

就账户持有人，填写所有控权人的姓名在列表内。就法人实体，如行使控制权的并非自然人，控权人会是该法人实体的高级管理人员。每名控权人须分别填写一份控权人税务居民自我证明表格（CRS-CP）。

(1)	(5)
(2)	(6)
(3)	(7)
(4)	(8)

Part 4: *Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN")

第 4 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 Business Registration Number.

如账户持有人是香港税务居民, 税务编号是其香港商业登记号码。

If the account holder is not a tax resident in any jurisdiction (e.g. fiscally transparent), indicate the jurisdiction in which its place of effective management is situated.

如果账户持有人并非任何税务管辖区的税务居民(例如: 它是财政透明实体), 填写实际管理机构所在的税务管辖区。

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 5: Declarations and Signature

第 5 部: 声明及签署

I/We 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 / 本人等知悉及同意, 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。从而把资料转到账户持有人的税务管辖区的税务当局。

I/We certify that I am/we are authorized to sign for the account holder of all the account(s) currently held with GSBC by the account holder identified in Part 1 of this form.

本人 / 本人等证明, 就有关本表格第 1 部所指的实体账户持有人现于国信证券(香港)经纪有限公司持有的所有账户, 本人 / 本人等获账户持有人授权签署本表格。

I/We undertake to advise GSBC of any change in circumstances which affects the tax residency status of the account holder 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 / 本人等承诺, 如情况有所改变, 以致影响本表格第 1 部所述的实体的税务居民身分, 或引致本表格所载的资料不正确, 本人 / 本人等会通知国信证券(香港)经纪有限公司, 并会在情况发生改变后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/We declare that the information given and statements made in this form are, to the best of my/our knowledge and belief, true, correct and complete.

本人 / 本人等声明就本人 / 本人等所知所信, 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

Capacity 身分

(Indicate the capacity in which you are signing the form e.g. director or officer of a company, partner of a partnership, trustee of a trust, Authorized Officer, etc.)

(说明您签署这份表格的身分。例如: 公司的董事或高级人员、合伙的合伙人、信托的受托人或获授权人员等。)

Date (dd/mm/yyyy) 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。