

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

Controlling Person Tax Residency Self-Certification Form (CRS-CP)

控权人税务居民自我证明表格 (CRS-CP)

Important Notes 重要提示

- **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.**
 这是由控权人向申报金融 / 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。
- **A controlling person should report all changes in his/her tax residency status to the reporting financial institution.**
 如控权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 Controlling Person

第 1 部: 控权人的身分识别资料

Note: Please tick where applicable.

注意: 请在适当的地方加上别号。

Name of Controlling Person 控权人的姓名	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		
	*Last Name or Surname 姓氏	*First or Given Name 名字	Middle Name(s) 中间名
Identity Card or Passport Number 身分证或护照号码			
*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	(eg 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 邮政编码 / 邮递区编号		
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		
	(eg Province, State) (例如: 省、州)		
	*Country/Jurisdiction 国家 / 税务管辖区		
	Post Code/ZIP Code 邮政编码 / 邮递区编号		

Part 2: The Entity Account Holder(s) of which you are a controlling person

第 2 部：您作为控权人的实体账户持有人

Enter the name of the entity account holder of which you are a controlling person:

填写您作为控权人的实体账户持有人的名称：

Entity 实体	Name of the Entity Account Holder 实体账户持有人的名称
(1)	
(2)	
(3)	

Part 3: *Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN")

第 3 部：*居留司法管辖区及税务编号或具有等同功能的识别编号（以下简称「税务编号」）

Please complete the following table indicating:

提供以下资料，列明：

- (a) each jurisdiction of residence where the controlling person is a resident for tax purposes; and
 控权人作为税务居民之居留司法管辖区，亦即控权人的税务管辖区；及
- (b) the controlling person's TIN for each jurisdiction indicated.
 该居留司法管辖区发给控权人的税务编号。

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 controlling person is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number (HKID).

如控权人是香港税务居民，税务编号是其香港身份证号码。

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

理由 A - 控权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 controlling person 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 - 控权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 - 控权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 controlling person is unable to obtain a TIN if you have selected Reason B 如选取理由 B，解释控权人不能取得税务 编号的原因
(1)			
(2)			
(3)			
(4)			
(5)			

Part 4: Type of Controlling Person

第 4 部：控权人类别

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

就第 2 部所载的每个实体，在适当方格内加上✓号，指出控权人就每个实体所属的类别：

Type of Entity 实体类别	Type of Controlling Person 控权人类别	Entity (1) 实体 (1)	Entity (2) 实体 (2)	Entity (3) 实体 (3)
Legal Person 法人	Individual who has a controlling ownership interest (i.e. greater than 25% of issued share capital/capital/profits) 拥有控制股权的个人（即拥有多于百分之二十五的已发行股本/资本/利润）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who exercises control/is entitled to exercise control through other means (i.e. greater than 25% of voting rights) 以其他途径行使控制权或有权行使控制权的个人（即拥有多于百分之二十五的表决权）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who holds the position of senior managing official/exercises ultimate control over the management of the entity 担任该实体的高级管理人员 / 对该实体的管理行使最终控制权的个人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trust 信托	Settlor 财产授予人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Trustee 受托人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Protector or enforcer 保护人或执行人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Beneficiary or member of the class of beneficiaries 受益人或某类别受益人的成员	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Legal Arrangement other than Trust 除信托以外的法律安排	Other (e.g. individual who exercises control over another entity being the settlor/trustee/Protector or enforcer/beneficiary) 其他（例如：如财产授予人 / 受托人 / 保护人或执行人 / 受益人为另一实体，对该实体行使控制权的个人）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to settlor 处于相等 / 相类于财产授予人位置的个人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to trustee 处于相等 / 相类于受托人位置的个人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to protector or enforcer 处于相等 / 相类于保护人或执行人位置的个人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries 处于相等 / 相类于受益人或某类别受益人的成员位置的个人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (e.g. individual who exercises control over another entity being equivalent/similar to settlor/trustee/protector or enforcer /beneficiary) 其他（例如：如处于相等 / 相类于财产授予人 / 受托人 / 保护人或执行人 / 受益人位置的人为另一实体，对该实体行使控制权的个人）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Part 5: Declarations and Signature

第 5 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 controlling person 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 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）把该等资料和关于控权人或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，从而把资料转交到控权人的税务管辖区的税务当局。

I certify that I am the controlling person of the account holder(s) (identified in Part 2 of this form) / I am authorized to sign for the controlling person.
本人证明，本人是本表格第2部所述的账户持有人的控权人/本人已获控权人授权签署本表格。

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 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	
	Capacity 身分	
Date (dd/mm/yyyy) 日期 (日/月/年) :	(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.) (如你不是第1部所述的个人，说明你的身分。如果你是以授权人身分签署这份表格，须夹附该授书的核证副本。)	

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。