BANK OF DONGGUAN 东莞银行 香港分行 HONG KONG BRANCH
東莞銀行股份有限公司 (於中華人民共和國註冊成立的股份有限公司)
Bank of Dongguan Co., Ltd. (A joint stock company incorporated in the People's Republic of China with limited liability)

列印 PRINT

重置 RESET

銀行專用 For Bank Use	Attended By
	Checked By
	DATE:

CRS 自我證明表格 (控權人)
CRS Self-Certification Form (Controlling Person)

自我證明表格 (控權人) 指引 (請在填寫本表格前細閱以下指示)
Instructions on Self-Certification Form (Controlling Person) (Please read these instructions before completing this form)

提供自我證明表格的原因
為加強稅務透明度和打擊跨境逃稅，香港政府根據經濟合作與發展組織(OECD) 制訂的「共同匯報標準」（“CRS”），發佈《 2016 稅務 修訂 第 3 號條例》，落實按國際標準實施「自動交換財務帳戶資料」。

根據條例要求，東莞銀行股份有限公司-香港分行 ("本行")須識辨客戶的稅務居民身份。如果您是中國香港以外地區的稅務居民，本行或需每年向香港稅務局申報您的帳戶資料。香港稅務局會與中國香港以外相關稅務機關交換該等資料。

此表格為客戶就其稅務居民身份作出的正式聲明。您可提交此表格讓銀行掌握有關您準確和最新的稅務居民身份資訊。

甚麼人需填寫自我證明表格 (控權人)

如有關本行之帳戶是由一個被動實體持有(如某些信託或投資工具)，我們需要識別對該實體擁有最終控制權的個人填寫表格。這些個人被稱 為「控權人」。

如閣下需代表實體(包括所有企業、信託和合夥組織)作自我證明，請填寫 “CRS 自我證明表格 (實體)” 。同樣地，如閣下是獨資商戶，請填寫 “CRS 自我證明表格 (個人及獨資經營者)” 。聯合或多位控權人的需各自填寫一份表格。

如何獲取更多資訊

如您對本表格或指引內容有任何查詢，請可聯絡閣下的客戶經理, 親臨或致電本行。您可瀏覽香港稅務局「自動交換財務帳戶資料」專頁進一步了解「自動交換財務帳戶資料」的資訊。 www.ird.gov.hk/eng/tax/dta_aeoi.htm

如您對您的稅務有任何疑問，請諮詢專業稅務顧問意見，本行無法為您提供任何稅務建議，您亦可瀏覽 OECD 「自動交換財務帳戶資料」網頁了解相 關國家地區發佈的稅務規定，和可獲接受的稅務編號 (TIN) 格式。 www.oecd.org/tax/automatic-exchange/

Reasons for providing Self Certification
To increase tax transparency and to combat cross border tax evasion, Hong Kong Government has published Inland Revenue (Amendment) (No.3) Ordinance 2016 based on the “Common Reporting Standard” (“CRS”) released by the Organisation of Economic Cooperation and Development (“OECD”), to implement Automatic Exchange of Financial Account Information (“AEOI”) based on global standard.

BANK OF DONGGUAN CO., LTD.-HONG KONG BRANCH (the “Bank”) has legal obligation to identify tax residency of customers. If you are not tax resident in Hong Kong (China), the Bank may be required to report your account information to the Hong Kong Inland Revenue Department (the “HKIRD”) on an annual basis. The HKIRD will then exchange the information with the tax administration of relevant jurisdictions. This is a formal declaration made by the account holder in respect of his/her/its tax residency. You can ensure the Bank holds accurate and up to date information on your tax residency by completing this form.

Who should complete the Self-Certification Form (Controlling Person)
When an account is held with the Bank on behalf of a Passive Entity (for example certain trusts or investment vehicles) we need those individuals identified as having ultimate control of the entity to complete a form. These individuals are termed “Controlling Persons”.

If you need to self-certify on behalf of an entity (which includes all businesses, trusts and partnerships), complete a ‘CRS Self-Certification Form (Entity)’. Similarly, if you are a personal banking customer or a sole trader, complete a ‘CRS Self-Certification Form (Individual and Sole Proprietor)’.

For joint or multiple Controlling Persons, each individual will need to complete a copy of the form.

How to obtain further information
Please contact your Relationship Manager if you have any questions about this form or instructions, visit the Bank, or call us. For further information in relation to AEOI, please visit the Hong Kong Inland Revenue Department AEOI portal. www.ird.gov.hk/eng/tax/dta_aeoi.htm

If you have any questions on defining your tax residency or Taxpayer Identification Number (TIN), you may seek advice from professional tax advisor or the bank cannot provide any tax advice or visit the OECD AEOI website for tax residency rules and acceptable TIN issued by the relevant jurisdictions. www.oecd.org/tax/automatic-exchange/

CRS 自我證明表格（控權人）
CRS Self-Certification Form (Controlling Person)

致: 東莞銀行股份有限公司-香港分行(「銀行」)
TO: BANK OF DONGGUAN CO., LTD.-HONG KONG BRANCH（"the Bank"）

重要提示:

- 這是由控權人向銀行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。
- 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銀行。
- 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（*）的項目為銀行須向稅務局申報的資料。

Important Notes:

- This is a self-certification form provided by a controlling person to the Bank 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.
- A controlling person should report all changes in his/her tax residency status to the Bank.
- 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 Bank to the Inland Revenue Department.

第一部分 控權人的身分識辨資料
Part 1 Identification of Controlling Person

控權人的姓名* Name of Controlling Person*		稱謂 Salutation	☐ 先生 Mr. ☐ 夫人 Mrs. ☐ 女士 Ms. ☐ 小姐 Miss.
身份證明文件類別 ID Document Type	☐ 香港身份證 HKID ☐ 護照/旅行證件 Passport/Travel Document	身份證明文件號碼 ID Document No	
	☐ 其他(請列明) Other (Please specify): ____________	出生日期* (日/月/年) Date of Birth* (DD/MM/YYYY)	

現時住址 Current Residence Address

英文地址 English Address (必須填寫)

室 Flat / Room	樓 Floor	座 Block	大廈 Building	街道 Street / Road	區 /城市* District / Area/City*	國家 Country	郵政編碼/郵遞區 Post Code/ZIP Code

中文地址 Chinese Address

國家 Country	區 District / Area	街道 Street / Road	大廈 Building	座 Block	樓 Floor	室 Flat / Room	郵政編碼/郵遞區 Post Code/ZIP Code

通訊地址（如通訊地址與現時住址不同，填寫此欄）
Mailing Address (Complete if different to the Current Residence Address)

英文地址 English Address (必須填寫)

室 Flat / Room	樓 Floor	座 Block	大廈 Building	街道 Street / Road	區 District / Area	國家 Country	郵政編碼/郵遞區 Post Code/ZIP Code

中文地址 Chinese Address

國家 Country	區 District / Area	街道 Street / Road	大廈 Building	座 Block	樓 Floor	室 Flat / Room	郵政編碼/郵遞區 Post Code/ZIP Code

第二部分 - 閣下為控權人的實體帳戶持有人
Part 2 - The Entity Account Holder(s) of which you are a Controlling Person

填寫閣下為控權人的實體帳戶持有人的名稱。
Enter the name of the entity account holder of which you are a Controlling Person.

客戶號 (如適用) Customer No. (if applicable)	實體帳户持有人的名稱 Name of the Entity Account Holder

第三部分 - 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」）*
Part 3 - Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”) *

提供以下資料，列明（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（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 4 個）居留司法管轄區。

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the controlling person is a resident for tax purposes and (b) the controlling person's TIN for each jurisdiction indicated. Indicate all (not restricted to 4) the 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 A、B 或 C：

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

理由 A – 控權人的居留司法稅務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，解釋帳戶持有人不能取得稅務編號的原因 Explain why the account holder is unable to obtain a TIN if you have selected Reason B
(1)		-	
(2)		-	
(3)		-	

若您並不屬於現時住址或國籍的居留司法管轄區 (即:____________________) 的稅務居民，請根據情況選擇以下一個原因：

If you are not a tax resident in the Jurisdiction of Current Residence Address or Nationality (i.e.:____________________) , please select one of the following reasons as applicable:

☐ 1. 本人是一名學生，就讀於目前居留司法管轄區內的教育機構，並持有相關的有效簽證; 或
I am a student at an educational institution in the jurisdiction where I currently reside and hold the appropriate visa; or

☐ 2. 本人是一名在目前居留司法管轄區的教師、培訓人員、實習生、或教育或文化交流訪問計劃的參加者，並持有相關的有效簽證; 或
I am a teacher, a trainee, or intern at an educational institution or a participant in an educational or cultural exchange visitor program in the jurisdiction where I currently reside, and hold the appropriate visa; or

☐ 3. 本人是一名外國人，並被派駐目前居留司法管轄區之外交崗位或在目前居留司法管轄區的領事館或大使館擔任職位; 或
I am a foreign individual assigned to a diplomatic post or a position in a consulate or embassy in the jurisdiction where I currently reside; or

☐ 4. 本人是一名來往目前居留司法管轄區及其他居留司法管轄區之間行駛途中的船隻、卡車或火車上的僱員。
I am an employee working on a vessel, truck or train travelling between the jurisdiction where I currently reside and other jurisdictions.

☐ 5. 上述合理解釋皆不適用，因此本人提供下列合理解釋以支持本人的稅務居住地區：
The aforementioned explanation is NOT applicable to me and I therefore provide the following explanation to support my jurisdiction of tax residence:

____

第四部分 – Part 4 - 以投資方式取得公民身份或居留權的盡職審查 Due Diligence for Citizenship / Residency by Investment

(如果您在第三部分中只列出了一個居留司法管轄區，而該管轄區包含在下面的名單中，請填寫第四部分)
If you have listed only one jurisdiction of residence status in Part 3 and such jurisdiction is one of the jurisdictions in the list of CBI/RBI schemes provided by the OECD, please complete Part 4

近年，有些司法管轄區提供“投資公民”(CBI)和“投資居民”(RBI)計劃 ， 允許外國人於當地進行投資或付出一筆費用以取得公民身份或短暫或永久居留權。
In recent years, some jurisdictions offer CBI/RBI scheme which allows foreigners to obtain citizenship or temporary or permanent residence rights based on a local investment or a flat fee.

如閣下在第三部分只填寫了一個居留司法管轄區，而該管轄區屬經濟合作暨發展組織(“OECD”)名單1上的“投資公民”(CBI)和“投資居民”(RBI)計劃的管轄區，請回答以下問題。
If you have listed only one jurisdiction of residence status in Part 3 and such jurisdiction is one of the jurisdictions in the list of CBI/RBI schemes provided by the OECD, please answer the following questions:

1.	您是否透過 CBI/RBI 計劃取得公民身份或居留權？ Did you obtain residence rights under a CBI / RBI scheme?	☐ 是	☐ 否
2.	您是否擁有其他司法管轄區的居留權？ Do you hold residence rights in any other jurisdiction(s)?	☐ 是	☐ 否
3.	在上一年度，您是否曾在其他司法管轄區逗留超過 90 天？ Have you spent more than 90 days in any other jurisdiction(s) during the previous year?	☐ 是	☐ 否
4.	在上一年度，您是否曾向其他司法管轄區申報個人入息課稅表格？ Have you filed income tax returns in any other jurisdiction(s) during the previous year?	☐ 是	☐ 否

如以上任何一個選項為“是” ，請更新第三部分 – 居留司法管轄區及稅務編號並填寫你所有的稅務居民身份及其稅務編號，或提供合理解釋說明為何閣下並非其他司法管轄區的稅務居民。
If you answered “Yes” to any of the above questions, please update Part 3 – Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”) reflecting all of your jurisdiction of residence status and the corresponding TIN, or provide a reasonable explanation of why you are not a tax resident in other jurisdiction(s)

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[1] CBI/RBI 計劃的管轄區名單 (直至 2024 年 7 月): 安地卡及巴布達，巴哈馬，巴林，巴貝多，賽普勒斯，多米尼克，格瑞那達，馬爾他，聖克里斯多福及尼維斯，聖露西亞，塞席爾，土克斯及開科斯群島，阿拉伯聯合大公國及萬那杜。

[1] List of jurisdictions under the CBI/RBI scheme (until July 2024): Antigua and Barbuda, Bahamas, Bahrain, Barbados, Cyprus, Dominica, Grenada, Malta, Saint Kitts and Nevis, Saint Lucia, Seychelles, Turks and Caicos Islands, United Arab Emirates (UAE), and Vanuatu.

- 最新名單由 OCED 發佈: https://web-archive.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/residence-citizenship-by-investment/index.htm

-The latest list is released by OECD: https://web-archive.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/residence-citizenship-by-investment/index.htm

第五部分 - 控權人類別
Part 5 - Type of Controlling Person

就第 2 部所載的每個實體，在適當方格內加上「✓」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**
法人 Legal Person	擁有控制股權的個人（即擁或控制超过指明百分率 ^ 的已发行股本 / 资本 / 利润 ） Individual who has a controlling ownership interest (i.e. more than the specified percentage ^ of issued share capital/capital/profits)	☐
	以其他途徑行使控制權或有權行使控制權的個人（即有权行使超过指明百分率 ^的表决权） Individual who exercises control/is entitled to exercise control through other means (i.e. more than the specified percentage ^ of vote rights)	☐
	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	☐
信託 Trust	財產授予人 Settlor	☐
	受託人 Trustee	☐
	保護人或執行人 Protector or Enforcer	☐
	受益人或某類別受益人的成員 Beneficiary or member of the class of beneficiaries	☐
	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)	☐
除信託以外的法律安排 Legal Arrangement other than Trust	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	☐
	處於相等/相類於受託人位置的個人 Individual in a position equivalent/similar to trustee	☐
	處於相等/相類於保護人或執行人位置的個人 Individual in a position equivalent/similar to protector/enforcer	☐
	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	☐
	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)	☐

^就法团而言，指明百分率是２５%；就合伙而言，指明百分率是０%
^ The specified percentage is :25% in relation to a corporation; and 0% in relation to a partnership

第六部分 - 聲明及簽署
Part 6 - Declarations and Signature

本人知悉及同意，銀行可根據《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 (i) 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 (ii) such information and information regarding the controlling person and any reportable account(s) may be reported by the Bank 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).

本人證明，就與本表格所有相關的實體帳戶持有人所持有的帳戶，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，本人會通知銀行，並會在情況發生改變後 30 日內，向銀行提交一份已適當更新的自我證明表格。

I undertake to advise the Bank 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 the Bank 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 ✖ ((如適用)請以留存本行的印鑑或式樣簽署。)((If applicable) Your signature must be identical to the specimen signature in the Bank' s record.)	姓名 Name	
	身分 Capacity	
	（如你不是第 1 部所述的個人，說明你的身分。如果你是以被授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.)	
	日期 (日/月/年) Date (DD/MM/YYYY)	

(中英文義如有歧異，請以英文本為準。The English version shall prevail if there is a discrepancy between the English & Chinese versions.)

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).