

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

## CRS 自我證明表格 (實體) CRS Self-Certification Form (Entity)

自我證明表格 (實體) 指引 (請在填寫本表格前細閱以下指示)

Instructions on Self-Certification Form (Entity) (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》，連同其後相關的稅務修訂條例，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 (實體)

實體可提交此表格，通知本行其稅務居民身份。聯名帳戶或多人聯名帳戶的每位帳戶持有人須分別填寫一份表格。如果您需要就個人或獨資商號的稅務居民身份作出聲明或更新，請提交 CRS 自我證明表格 (個人及獨資經營者)。如您是實體的控權人，請提交 CRS 自我證明表格 (實體) - 附件。

### 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](http://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/](http://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 and other subsequent Inland Revenue (Amendment) Ordinances based on the “Common Reporting Standard” (“CRS”) released by the Organization of Economic Co-operation 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, 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 (Entity)

Entities should complete this form to inform the Bank of their tax residency. For joint or multiple Account Holders, please use a separate Form for each Account Holder. If you need to self-certify or update the tax residency on behalf of an individual or sole proprietor, please complete the CRS Self-Certification Form (Individual and Sole Proprietor). If you are a controlling person of an entity, please complete the CRS Self-Certification Form (Entity) – Annex.

### 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](http://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/](http://www.oecd.org/tax/automatic-exchange/)

CRS 自我證明表格 (實體)  
CRS Self-Certification Form (Entity)

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:

- 這是由帳戶持有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。銀行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。
- 如帳戶持有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 an account holder to the Bank for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the Bank to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- An account holder should report all changes in its 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 - 實體帳戶持有人的身分識別資料 (對於聯名帳戶或多人聯名帳戶，每名實體帳戶持有人須分別填寫一份表格)								
Part 1 - Identification of Entity Account Holder (For joint or multiple account holders, complete a separate form for each entity account holder.)								
客戶號 (如適用) Customer No. (if applicable)								
實體或分支機構的法定名稱* Legal Name of Entity or Branch*								
實體成立為法團或設立所在的稅務管轄區 Jurisdiction of Incorporation or Organization			商業登記號碼 Business Registration Number					
現時營業地址 Current Business 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	
通訊地址 (如通訊地址與現時營業地址不同，填寫此欄) Mailing Address (Complete if different to the current business 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 - 實體類別 Part 2 - Entity Type	
在其中一個適當的方格內加上✓ 號，並提供有關資料。 Tick one of the appropriate boxes and provide the relevant information.	
財務機構 Financial Institution	<input type="checkbox"/> 託管機構、存款機構或指明保險公司 Custodial Institution, Depository Institution or Specified Insurance Company  <input type="checkbox"/> 投資實體，但不包括由另一財務機構管理（例如：擁有酌情權管理投資實體的資產）並位於非參與稅務管轄區的投資實體 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
主動非財務實體 Active NFE	<input type="checkbox"/> 該非財務實體的股票經常在_____（一個具規模證券市場）進行買賣 NFE the stock of which is regularly traded on _____, which is an established securities market.  <input type="checkbox"/> _____ 的有關連實體，該有關連實體的股票經常在_____（一個具規模證券市場）進行買賣 Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market.  <input type="checkbox"/> 政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體 NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities  <input type="checkbox"/> 除上述以外的主動非財務實體（請說明：_____） Active NFE other than the above (Please specify: _____)
被動非財務實體 Passive NFE	<input type="checkbox"/> 位於非參與稅務管轄區並由另一財務機構管理的投資實體 Investment entity that is managed by another financial institution and located in a non-participating jurisdiction.  <input type="checkbox"/> 不屬主動非財務實體的非財務實體 NFE that is not an active NFE

第三部分 - 控權人(如實體帳戶持有人是被動非財務實體，填寫此部) Part 3 - Controlling Persons (Complete this part if the entity account holder is a passive NFE)	
就帳戶持有人，填寫所有控權人的姓名在列表內。就法人實體，如行使控制權的並非自然人，控權人會是該法人實體的高級管理人員。 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.  每名控權人須分別填寫一份「自我證明表格- 控權人」表格。 Complete Self-Certification Form – Controlling Person for each controlling person.	
(1)	(2)
(3)	(4)
(5)	(6)
(7)	(8)

**第四部分 - 居留司法管轄區及稅務編號或具有等同功能的識別編號 (以下簡稱「稅務編號」) \***  
**Part 4 - Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ( "TIN" ) \***

提供以下資料，列明 ( a ) 帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區 ( 香港包括在內 ) 及 ( b ) 該居留司法管轄區發給帳戶持有人的稅務編號。列出所有 ( 不限於 5 個 ) 居留司法管轄區。

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder's TIN for each jurisdiction indicated. Indicate all(not restricted to Five) jurisdictions of residence.

如帳戶持有人是香港稅務居民，稅務編號是其香港商業登記號碼。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number.

#如果帳戶持有人並非任何稅務管轄區的稅務居民 ( 例如：它是財政透明實體 )，填寫實際管理機構所在的稅務管轄區。如沒有提供稅務編號，必須填寫合適的理由 A、B 或 C：

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

理由 A – 帳戶持有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 account holder is a resident for tax purposes does not issue TINs to its residents.

理由 B – 帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得稅務編號的原因。

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 C – 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

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)			

若您並不屬於其成立地區或現時營業地址的所在地區 (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 Incorporation or Organization, or Current Business Address

(i.e. : \_\_\_\_\_), please select one of the following reasons as applicable :

根據本人之公司/機構的成立地區相關稅法，公司/機構戶口持有人的稅務居民身份是依據其實際管理所在的地區確定，而本人之公司/機構其實際管理所在的地區與其成立的地區並不相同；或

- ☐ 1. Under the relevant tax laws, the tax residence of the Entity Account Holder is determined by reference to its place of effective management, and that the jurisdiction where the effective management is situated differs from the jurisdiction in which it was incorporated; or

上述合理解釋不適用於本人之公司/機構，因此本人提供下列合理解釋以支持本人之公司/機構的稅務居住地區：

- ☐ 2. The aforementioned explanation is NOT applicable to the Entity Account Holder and I therefore provide the explanation to support its jurisdiction of tax residence of the entity as follows:

\_\_\_\_\_

**第五部分 - 聲明及簽署**  
**Part 5 - 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)把該等資料和關於帳戶持有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。從而把資料轉交到帳戶持有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 account holder 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 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).

本人證明，就與本表格所有相關的帳戶，本人獲帳戶持有人授權簽署本表格。

I certify that I am authorized to sign for the account holder of all the account(s) to which this form relates.

本人承諾，如情況有所改變，以致影響本表格第一部份所述的實體的稅務居民身分，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 entity 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.

\*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。

\*If signing under a power of attorney, attach a certified copy of the power of attorney.

<b>簽署 Signature</b>	姓名 Name	
	身分 Capacity	
	(例如：公司的董事或高級人員、合夥的合夥人、信託的受託人等) (e.g. director or officer of a company, partner of a partnership, trustee of a trust etc.)	
	日期 (日/月/年) Date (DD/MM/YYYY)	

**✕**  
(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.)

(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).**