

## Corporate Investor Participant Self-Certification Form 公司投資者戶口持有人自我證明表格

To: Hong Kong Securities Clearing Company Limited (“HKSCC”) and Hong Kong Exchanges and Clearing Limited (“HKEX”) 致: 香港中央結算有限公司《結算公司》及香港交易及結算所有限公司《香港交易所》

Customer Service Centre  
1/F, One & Two Exchange Square,  
8 Connaught Place, Central, Hong Kong  
香港中環康樂廣場 8 號交易廣場  
1 期及 2 期 1 樓客戶服務中心  
(Enquiry Tel. No. 查詢電話號碼 2979-7000)

From: \_\_\_\_\_  
English Full Name of Corporate Investor Participant  
公司投資者戶口持有人英文名稱  
Participant ID: |\_|\_|\_|\_|\_|\_|\_|\_|  
參與者編號  
Current Business Address:  
現時營業地址  
\_\_\_\_\_  
(Address, city/town and country)  
(地址, 城市與國家)

### Part 1: Corporate Investor Participant’s Information on Automatic Exchange of Financial Account Information (“AEOI”)

#### 第一部: 自動交換財務帳戶資料《AEOI》公司投資者戶口持有人資料

a) The Corporate Investor Participant certifies that it has the AEOI Entity Type indicated below. Please select one of the boxes below and, as applicable, provide any additional information requested for the selected box.  
公司投資者戶口持有人聲明及保證其屬於以下列出的 AEOI 類別。請選擇以下其中一方格並且, 如適用, 為所選方格提供額外要求的資料。

<p>Financial Institution 財務機構</p>	<p><input type="checkbox"/> Custodial Institution, Depository Institution or Specified Insurance Company 託管機構、存款機構或指明保險公司</p> <p><input type="checkbox"/> Investment Entity (except an Investment Entity that is (i) managed by another financial institution, e.g. with discretion to manage the entity’s assets, and (ii) located in a non-participating jurisdiction) 投資實體(但不包括投資實體(i)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(ii)位於非參與稅務管轄區)</p>
<p>Active Non-Financial Entity  (“Active NFE”) 主動非財務實體</p>	<p><input type="checkbox"/> Non-Financial Entity (“NFE”) the stock of which is regularly traded on _____, which is an established securities market 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</p> <p><input type="checkbox"/> Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market _____ 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</p> <p><input type="checkbox"/> NFE which is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities 該非財務實體為政府實體、國際組織、中央銀行或由前述的實體全權擁有</p> <p><input type="checkbox"/> Active NFE other than the above. Please further select the one applicable description: 除上述以外的主動非財務實體。請再選擇以下一項合適的描述:</p> <p>[ ] NFE with less than 50% of gross income and of assets as passive 被動總收入和被動資產少於百分之五十的非財務實體</p> <p>[ ] NFE that is a holding company for a non-financial group 非財務實體為一間非財務集團的控股公司</p> <p>[ ] NFE that is a treasury center engaged in financing/hedging with affiliates 非財務實體為一間與關聯公司進行融資/對沖交易的財務管理中心</p> <p>[ ] NFE that is within its first 24 months, and is a start-up intending to operate a non-Financial Institution business 在實體成立的最初二十四個月內, 為一間將會進行非財務機構商業活動的新創業實體及非財務實體</p> <p>[ ] NFE that is liquidating or reorganising, and not involved in/planning a Financial Institution business 清算或重組中並且沒有進行及不準備進行財務機構商業活動的非財務實體</p> <p>[ ] NFE that is a not-for-profit organisation exempt from local income tax which meets other requirements 非財務實體為一間在當地免所得稅並滿足其他要求的非盈利實體</p> <p>[ ] Other Active NFE (Please specify: _____) 其他主動非財務實體(請說明: _____)</p>
<p>Passive Non-Financial Entity  (“Passive NFE”) 被動非財務實體</p>	<p><input type="checkbox"/> Investment Entity that is (i) managed by another financial institution and (ii) located in a non-participating jurisdiction. Please specify the jurisdiction: _____ (If this box is selected, please complete Part 2) 投資實體(i)由另一財務機構管理並(ii)位於非參與稅務管轄區。 請指明司法管轄區: _____ (如選擇此方格, 請填寫第二部)</p> <p><input type="checkbox"/> NFE that is not an Active NFE (If this box is selected, please complete Part 2) 不屬主動非財務實體的非財務實體(如選擇此方格, 請填寫第二部)</p>

- b) The Corporate Investor Participant certifies that it is a resident for tax purposes in the jurisdiction(s) as indicated in the table below and it hereby provides its Taxpayer Identification Number or the functional equivalent thereof (“TIN”) for each jurisdiction indicated.  
公司投資者戶口持有人聲明及保證其為下方列表列出居留司法管轄區之稅務居民並特此提供所列每個居留司法管轄區的稅務編號或具有等同功能的識辨編號(“稅務編號”)。

Notes to completing the table below:

填寫下方列表時注意:

- Please indicate all jurisdictions of residence for tax purposes (including the Hong Kong Special Administration Region of the People’s Republic of China (“Hong Kong”) where applicable). If space provided below is insufficient, continue on additional sheet(s). If the Corporate Investor Participant is not a resident for tax purposes in any jurisdiction (e.g. it is fiscally transparent), please indicate the jurisdiction in which the Corporate Investor Participant’s place of effective management is situated.  
請提供所有作為稅務居民的居留司法管轄區(包括中華人民共和國香港特別行政區(“香港”)如適用)。如下方空位不夠應用,可另紙填寫。如公司投資者戶口持有人並非任何居留司法管轄區的稅務居民(例如:它是財政透明實體),請填寫實際管理機構所在的司法管轄區。
- If the Corporate Investor Participant is a resident of Hong Kong for tax purposes, the TIN for Hong Kong is the Hong Kong Business Registration Number.  
如公司投資者戶口持有人為香港的稅務居民,稅務編號是其香港商業登記號碼。
- Please note that Hong Kong, the Macau Special Administrative Region of the People’s Republic of China, the People’s Republic of China and Taiwan are separate jurisdictions for the purposes of this Self-Certification Form.  
請注意香港、中華人民共和國澳門特別行政區、中華人民共和國和台灣在此表格被視為不同的居留司法管轄區。
- If you have any questions about your jurisdiction(s) of residence for tax purposes, or how to complete the table below or other parts of this Self-Certification Form, please contact your tax advisor.  
如閣下有關於貴作為稅務居民的居留司法管轄區,或如何填寫下方列表的疑問,請向貴稅務顧問諮詢。
- If a TIN is not provided, please select one of the reasons below:  
Reason A – The jurisdiction does not issue TINs to its residents.  
Reason B – The Corporate Investor Participant is unable to obtain a TIN. Please provide explanation in the table below.  
Reason C – TIN is not required. Select this reason only if the authorities of the jurisdiction do not require the TIN to be disclosed.  
如沒有提供稅務編號,請選擇以下一個理由:  
理由A – 此居留司法管轄區並沒有向其居民發出稅務編號。  
理由B – 公司投資者戶口持有人不能取得稅務編號。請在下方列表提供解釋。  
理由C – 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。

Jurisdiction(s) of Residence for Tax Purposes of Corporate Investor Participant 公司投資者戶口持有人作為稅務居民的居留司法管轄區	TIN of Corporate Investor Participant 公司投資者戶口持有人的稅務編號	Enter Reason A, B, or C if no TIN is provided 如沒有提供稅務編號,填寫理由A、B或C	Explanation if Reason B is selected 如選取理由B,解釋原因
(1)			
(2)			
(3)			
(4)			
(5)			

## Part 2: Identification of Controlling Person(s) (Complete this part if the Corporate Investor Participant is a Passive NFE)

### 第二部:識別公司投資者戶口持有人的控權人(填寫此部如公司投資者戶口持有人為被動非財務實體)

The Corporate Investor Participant certifies that the names (last name in capital letters, then first name; both in English) of all of its controlling person(s) are indicated in the table below.

公司投資者戶口持有人聲明及保證其所有控權人的姓名(大楷英文姓氏在前,英文名字在後)已在此下方列表列出。

Notes to completing the table below and Part 3 of this Self-Certification Form:

填寫下方列表和此表格第三部時注意:

- If no natural person exercises control over the Corporate Investor Participant and the Corporate Investor Participant is a legal person, the controlling person will be the individual holding the position of senior managing official.  
就公司投資者戶口持有人,如沒有自然人行使控制權並且公司投資者戶口持有人為法人,控權人會是高級管理人員。
- For each controlling person in the table below, please complete Part 3 of this Self-Certification Form. If there is more than one controlling person, please continue on additional copies of the next page of this Self-Certification Form and submit them together with this Self-Certification Form.  
請為下方列表的每位控權人填寫此表格第三部。如多於一位控權人,請另外填寫下頁的副本並和此表格一起提交。

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

## Part 3: AEOI Information Provided by Corporate Investor Participant on Each Controlling Person (Complete this part if the Corporate Investor Participant is a Passive NFE)

### 第三部: 公司投資者戶口持有人提供的每位控權人 AEOI 資料(填寫此部如公司投資者戶口持有人為被動非財務實體)

Name of Controlling Person: \_\_\_\_\_ Current Residence Address of Controlling Person: \_\_\_\_\_  
控權人姓名 (Last name in capital letters, then first name; both in English) 控權人現時住址  
(大楷英文姓氏在前, 英文名字在後) \_\_\_\_\_  
Date of Birth (DD-MM-YYYY): \_\_\_\_\_ (Address, city/town and country) (地址, 城市與國家)  
出生日期(日日-月月-年年) \_\_\_\_\_

a) The Corporate Investor Participant certifies that the table below indicates all of the jurisdiction(s) of residence for tax purposes (including Hong Kong where applicable) of the controlling person and the controlling person's TIN for each jurisdiction indicated.  
公司投資者戶口持有人聲明及保證下方列表列出控權人所有作為稅務居民的居留司法管轄區(包括香港如適用)及所列每個居留司法管轄區發給控權人的稅務編號。

Notes to completing the table below:  
填寫下方列表時注意:

- If the controlling person is a resident of Hong Kong for tax purposes, the TIN for Hong Kong is the Hong Kong Identity Card Number (including the digit in brackets but without the brackets themselves).  
如控權人為香港的稅務居民, 稅務編號是其香港身份證號碼(包括括號裡的數字但不包括括號)。
- If a TIN of the controlling person is not provided, please select one of the reasons below:  
Reason A – The jurisdiction does not issue TINs to its residents.  
Reason B – The controlling person is unable to obtain a TIN. Please provide explanation in the table below.  
Reason C – TIN is not required. Select this reason only if the authorities of the jurisdiction do not require the TIN to be disclosed.  
如沒有提供控權人的稅務編號, 請選擇以下一個理由:  
理由 A – 此居留司法管轄區並沒有向其居民發出稅務編號。  
理由 B – 控權人不能取得稅務編號。請在下方列表提供解釋。  
理由 C – 毋須提供稅務編號。居留司法管轄區的主管機關不需要稅務編號持有人披露稅務編號。

Jurisdiction(s) of Residence for Tax Purposes of Controlling Person 控權人作為稅務居民的居留司法管轄區	TIN of Controlling Person 控權人的稅務編號	Enter Reason A, B, or C if no TIN is provided 如沒有提供稅務編號, 填寫理由 A、B 或 C	Explanation if Reason B is selected 如選取理由 B, 解釋原因
(1)			
(2)			
(3)			
(4)			
(5)			

b) The Corporate Investor Participant certifies that the controlling person is the Type of Controlling Person indicated in the table below (select only one box). 公司投資者戶口持有人聲明及保證控權人屬於以下選擇的控權人類別(請只選擇以下其中一方格)。

Type of Entity 實體類別	Type of Controlling Person 控權人類別
Legal Person 法人	<input type="checkbox"/> Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital) 擁有控制股權的個人(即擁有不少於百分之二十五的已發行股本)
	<input type="checkbox"/> Individual who exercises control/is entitled to exercise control through other means (i.e. not less than 25% of voting rights) 以其他途徑行使控制權或有權行使控制權的個人(即擁有不少於百分之二十五的表決權)
	<input type="checkbox"/> Individual who holds the position of senior managing official/exercises ultimate control over the management of the entity 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
Trust 信託	<input type="checkbox"/> Settlor 財產授予人
	<input type="checkbox"/> Trustee 受託人
	<input type="checkbox"/> Protector 保護人
	<input type="checkbox"/> Beneficiary or member of the class of beneficiaries 受益人或某類別受益人的成員
	<input type="checkbox"/> Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary) 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)
Legal Arrangement other than Trust 除信託以外的法律安排	<input type="checkbox"/> Individual in a position equivalent/similar to settlor 處於相等/相類於財產授予人位置的個人
	<input type="checkbox"/> Individual in a position equivalent/similar to trustee 處於相等/相類於受託人位置的個人
	<input type="checkbox"/> Individual in a position equivalent/similar to protector 處於相等/相類於保護人位置的個人
	<input type="checkbox"/> Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries 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
	<input type="checkbox"/> Other (e.g. individual who exercises control over another entity being equivalent/similar to settlor/trustee/protector/beneficiary) 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)

**Part 4: Signature, Declarations And Consent For Disclosure****第四部：簽署，聲明及同意披露**

The Corporate Investor Participant acknowledges and agrees that the information on this Self-Certification Form is collected and may be kept by HKSCC and HKEX for the purposes of AEOI, including Section 50B(3) of the Inland Revenue Ordinance (Cap. 112 of the Laws of Hong Kong), and such information (including the personal data in connection with the controlling person(s) of the Corporate Investor Participant provided herein (collectively the “Personal Information”)) may be reported by HKSCC or HKEX to the Hong Kong Inland Revenue Department (the “IRD”) for transfer to the governmental, regulatory or competent authority or taxing authority of one or more jurisdiction(s) (the “Relevant Authorities”) in which the Corporate Investor Participant (and/or any controlling person) is a resident for tax purposes. Any references to controlling person(s) in this Part 4 of this Self-Certification Form shall include any person(s) listed in Part 2 of this Self-Certification Form. Any additional cop(ies) of Part 3 of this Self-Certification Form that may be submitted by the Corporate Investor Participant to HKSCC and HKEX shall be treated for purposes of this Part 4 as an integral part of this Self-Certification Form.

公司投資者戶口持有人知悉及同意，本表格所載資料由結算公司和香港交易所收集並可備存作 AEOI (包括香港法例第 112 章《稅務條例》第 50B(3) 條) 用途，及可被結算公司或香港交易所把該等資料 (包括本表格所提供相關公司投資者戶口持有人的任何控權人的個人資料 (統稱“個人資料”)) 向香港稅務局 (“稅務局”) 申報，從而把資料轉交到公司投資者戶口持有人 (和/或任何控權人) 作為稅務居民的一個或多個居留司法管轄區的政府、監管或主管當局或稅務機關 (“相關當局”)。每當在本表格的第四部提及控權人，會包括在本表格第二部所列出的人士。當施行此第四部時，任何公司投資者戶口持有人提交予結算公司和香港交易所的本表格第三部副本，會被視為本表格整體的一部分。

The Corporate Investor Participant hereby expressly gives its consent to the disclosure, use and making available by HKSCC and HKEX of information (including the Personal Information) on this Self-Certification Form as well as information relating to or derived from the Corporate Investor Participant’s account maintained with HKSCC in its capacity as an Investor Participant, to the IRD and/or the Relevant Authorities from time to time for the purposes of, or in connection with, AEOI and/or any other matters included in the “Tax Information Exchange Framework” as defined in the Terms and Conditions for Investor Participants, General Rules of CCASS and the CCASS Operational Procedures.

公司投資者戶口持有人明確表示同意結算公司及香港交易所因或有關 AEOI 和/或投資者戶口持有人規則、中央結算系統一般規則和中央結算系統運作程序規規定義下的《稅務資料交換框架》內的其它課題不時向稅務局和/或相關當局披露，使用和提供本表格所載資料 (包括個人資料) 和/或與公司投資者戶口持有人以投資者戶口持有人身份持有的戶口有關或從中所獲得的資料。

The Corporate Investor Participant further certifies that it has notified and has obtained the consent from the controlling person(s) with respect to the disclosure, use and making available by HKSCC and HKEX of the Personal Information to the IRD and/or the Relevant Authorities from time to time for the purposes of, or in connection with, AEOI and/or any other matters included in the Tax Information Exchange Framework.

公司投資者戶口持有人亦聲明及保證公司投資者戶口持有人已通知每一個控權人及已獲得每一個控權人的同意，有關 AEOI 和/或投資者戶口持有人規則、中央結算系統一般規則和中央結算系統運作程序規規定義下的稅務資料交換框架，結算公司及香港交易所可將個人資料不時披露、使用和向稅務局和/或相關當局提供。

The Corporate Investor Participant understands, and has notified and obtained the consent from the controlling person(s), that the Personal Information will continue to be made available to the IRD and/or the Relevant Authorities until such time as HKSCC or HKEX has received the Corporate Investor Participant’s written notification of revocation of the Corporate Investor Participant’s consent. The Corporate Investor Participant further understands, and has notified and obtained the consent from the controlling person(s), that following withdrawal of the Corporate Investor Participant’s consent any Personal Information that has already been disclosed prior to such withdrawal will remain accessible to the IRD and/or the Relevant Authorities to which it was previously disclosed for the purposes of, or in connection with, AEOI and/or any other Tax Information Exchange Framework matters.

公司投資者戶口持有人明白和已通知每一個控權人及已獲得每一個控權人的同意，個人資料將可能被提供予稅務局和/或相關當局、直至公司投資者戶口持有人以書面形式通知結算公司或香港交易所撤銷有關同意。公司投資者戶口持有人亦明白和已通知每一個控權人及已獲得每一個控權人的同意，在撤銷有關同意前已因或有關 AEOI 和/或稅務資料交換框架內的其它課題而披露的個人資料將仍可讓稅務局和/或相關當局繼續查閱。

The Corporate Investor Participant certifies that it is the account holder (within the meaning of AEOI) of the account(s) to which this Self-Certification Form relates.

公司投資者戶口持有人聲明及保證，就與本表格所載所有相關的帳戶，公司投資者戶口持有人是按 AEOI 定義下的帳戶持有人。

The Corporate Investor Participant agrees that it will advise HKSCC and HKEX of any change in circumstances which (i) affects the Corporate Investor Participant's jurisdiction(s) of residence for tax purposes or its AEOI entity type (and/or, where relevant to this Self-Certification Form, the identity of its controlling person(s) and/or the jurisdiction(s) of residence for tax purposes of any such controlling person(s)), or (ii) otherwise causes the information contained on this Self-Certification Form to become incorrect or incomplete. The Corporate Investor Participant agrees that it will submit a new Self-Certification Form to HKSCC and HKEX within 30 days of such change in circumstances.

公司投資者戶口持有人承諾，如情況有所改變，以致影響本表格的(i)公司投資者戶口持有人作為稅務居民的居留司法管轄區或其 AEOI 類別(和/或與本表格所載有關的控權人的身份和/或任何該控權人作為稅務居民的居留司法管轄區)，或(ii)引致本表格所載的資料不正確或不完備，公司投資者戶口持有人會通知結算公司和香港交易所，並會在情況發生改變後 30 日內，向結算公司和香港交易所提交一份已適當更新的自我證明表格。

**The Corporate Investor Participant declares that the information given and statements in this Self-Certification Form are, to the best of the Corporate Investor Participant's knowledge and belief, true, correct and complete.**

公司投資者戶口持有人在此聲明已閱讀明白此自我證明表格內所有之內容。同時聲明盡公司投資者戶口持有人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

**Signed by the Corporate Investor Participant :**

公司投資者戶口持有人簽署：

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Signature of individual authorised to sign for Corporate Investor Participant (with company chop, ONLY applicable if it forms part of your signing instruction)

公司投資者戶口持有人授權人簽名(連同公司印鑑，只適用於該印鑑為貴戶簽署指示的一部分)

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Print name of authorised signatory

授權人姓名

Date (DD-MM-YYYY)

日期(日日-月月-年年年年)

Note it is an offence under section 80(2E) of the Inland Revenue Ordinance (Cap. 112 of the Law of Hong Kong) if any person, in making a self-certification relating to AEOI, 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).

警告：根據香港法例第 112 章《稅務條例》第 80(2E)條，如任何人在自我證明表格作出關於 AEOI 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。

This Self-Certification Form is written in English with a translation in Chinese. In case of any inconsistency, the English version shall prevail.

此自我證明表格的中英文本內容如有歧異，當以英文本為準。