

Entity Self-Certification Form – FATCA and CRS
實體自我證明表格 – 海外帳戶稅收合規法案及共同匯報標準

Account No.: _____
帳戶帳號： _____

IMPORTANT NOTES 重要提示：

- This is a self-certification form provided by the Entity Account Holder as stated in the “Account Opening Form (Corporate Account)” to Suntek Financial Investment Company Limited (“Suntek”) for the purpose of complying with Foreign Account Tax Compliance Act (“FATCA”) and Common Reporting Standard (“CRS”). The data (including U.S. tax status or tax residency) collected may be transmitted by Suntek to Internal Revenue Service of the United States and the Inland Revenue Department of Hong Kong for further transfer to the tax authority of another jurisdiction.
這是由「開戶表格 (公司帳戶)」所列出實體帳戶持有人向三泰富金融投資有限公司 (「三泰富」) 提供的自我證明表格，以遵從海外帳戶稅收合規法案及共同匯報標準的目的。三泰富有可能將收集所得的資料 (包括美國稅務狀況或稅務居住身份) 轉送至美國國家稅務局及香港稅務局，香港稅務局將進一步把資料轉交到另一稅務管轄區的稅務當局。
- An Entity Account Holder should report all changes in his U.S. tax status or tax residency status to Suntek as soon as practicable.
如實體帳戶持有人的美國稅務狀況及稅務居民身分有所改變，應盡快將所有變更通知三泰富。
- All parts of the form must be completed (unless not applicable or otherwise specified). The Entity Account Holder shall ensure that the information given in this form is true, correct and complete, Suntek shall not be liable for any errors or loss that resulted from such information.
除不適用或特別註明外，必須填寫這份表格所有部分。實體帳戶持有人需確保所提供的資料均屬真確無訛及完整，三泰富不會對資料所引起的錯誤或損失負責。
- Suntek **IS NOT ALLOWED** to provide any legal and tax advice to the Entity Account Holder, he is advised to consult his legal or tax advisor.
三泰富**不允許**向實體帳戶持有人提供任何法律和稅務建議，建議他諮詢他的法律或稅務顧問。

Part 1 Identification of Entity Account Holder

第 1 部 實體帳戶持有人的身分識別資料

(1) **Legal Name of Entity or Branch**

實體或分支機構的法定名稱 *

(2) **Jurisdiction of Incorporation or Organization**

實體成立為法團或設立所在的稅務管轄區

(3) **Hong Kong Business Registration Number**

香港商業登記號碼

(4) **Current Business Address**

現時營業地址

Line 1 (e.g. Suite, Floor, Building, Street, District)

第 1 行 (例如：室、樓層、大廈、街道、地區)

Line 2 (City)

第 2 行 (城市) *

Line 3 (e.g. Province, State)

第 3 行 (例如：省、州)

Country

國家

Post Code/ZIP Code

郵政編碼/郵遞區號碼

(5) **Mailing Address (Complete if different to the current business address)**

通訊地址 (如通訊地址與現時營業地址不同，填寫此欄)

Line 1 (e.g. Suite, Floor, Building, Street, District)

第 1 行 (例如：室、樓層、大廈、街道、地區)

Line 2 (City)

第 2 行 (城市) *

Line 3 (e.g. Province, State)

第 3 行 (例如：省、州)

Country

國家

Post Code/ZIP Code

郵政編碼/郵遞區號碼

Part 2 FATCA DECLARATION BY ENTITY ACCOUNT HOLDER
第 2 部 實體帳戶持有人海外帳戶稅收合規法案聲明

Please confirm the U.S. tax status of the Entity Account Holder under the provision of FATCA. Please choose either one and complete as appropriate.

根據海外帳戶稅收合規法案的條文，請確認實體帳戶持有人的美國稅務狀況。請選擇其中一項，並適當地填寫。

<input type="checkbox"/>	<p>Under the relevant U.S. tax laws, we confirmed that the Entity Account Holder is incorporated, established, constituted or organised in the U.S. or under the law of the U.S. We undertake to notify Suntek in writing within 14 days of any change regarding the foresaid representation and confirmation. (Please complete “Form W-9”.)</p> <p>根據美國相關稅務法規，吾等確認實體帳戶持有人是在美國或根據美國的法律註冊、成立、設立或組織。倘若上述之申述及確認有任何改變，吾等承諾會於14天內以書面方式通知三泰富。(請填寫「W-9表格」。)</p> <p>Our Federal Taxpayer Identification Number (“TIN”) is _____.</p> <p>吾等的聯邦納稅人識別號碼(「納稅人號碼」)是 _____。</p>
<input type="checkbox"/>	<p>Under the relevant U.S. tax laws, we confirmed that the Entity Account Holder is not incorporated, established, constituted or organised in the U.S. or under the law of the U.S. We undertake to notify Suntek in writing within 14 days of any change regarding the foresaid representation and confirmation. (Please complete “Form W-8”.)</p> <p>根據美國相關稅務法規，吾等確認實體帳戶持有人不是在美國或根據美國的法律註冊、成立、設立或組織。倘若上述之申述及確認有任何改變，吾等承諾會於14天內以書面方式通知三泰富。(請填寫「W-8表格」。)</p>

If the Entity Account Holder is not incorporated, established, constituted or organised in the U.S. or under the law of the U.S., please choose one of the following FATCA classification as per definition under the relevant FATCA rules and complete as appropriate:

若實體帳戶持有人不是在美國或根據美國的法律註冊、成立、設立或組織，根據相關FATCA法則的定義，請選擇以下其中一項FATCA分類，並適當地填寫：

Type of Institution 機構種類	FATCA Classification 海外帳戶稅收合規法案分類	Global Intermediary Identification Number 全球中介機構識別號碼 (“GIIN”)
Financial Institution 金融機構	<input type="checkbox"/> Participating Foreign Financial Institution (“FFI”). 參與的外國金融機構。	
	<input type="checkbox"/> Reporting Model 1 FFI. 申報版本一的外國金融機構。	
	<input type="checkbox"/> Reporting Model 2 FFI. 申報版本二的外國金融機構。	
	<input type="checkbox"/> Deemed-Compliant FFI. 視為合規的外國金融機構。	
	<input type="checkbox"/> Non-participating FFI. 不參與的外國金融機構。	
Non-Financial Institution 非金融機構	<input type="checkbox"/> Publicly Traded Corporation. 上市公司。	
	<input type="checkbox"/> Affiliate of a Publicly Traded Corporation. 公開上市公司的聯繫公司。	
	<input type="checkbox"/> Charity or Non-Profit Organization. 慈善或非牟利組織。	
	<input type="checkbox"/> Public Sector Entity, Central Bank or International Organisation. 公營部門實體、中央銀行或國際組織。	
	<input type="checkbox"/> Active Non-Financial Foreign Entity (“NFFE”). 主動非金融外國實體。	
	<input type="checkbox"/> Passive NFFE. 被動非金融外國實體。 <input type="checkbox"/> DO NOT HAVE substantial U.S. owner(s) whose percentage of ownership is more than 10% directly or indirectly. 没有 直接地或間直接地持有10%以上股權的重要美國股東。 <input type="checkbox"/> HAVE substantial U.S. owner(s) whose percentage of ownership is more than 10% directly or indirectly (please complete the “Survey of Substantial U.S. owner of the Entity”). 有 直接地或間直接地持有10%以上股權的重要美國股東 (請填寫「實體重要美國股東的調查」)。	
	<input type="checkbox"/> Others (please specify): 其他 (請列明) : _____。	

Survey of Substantial U.S. Owner of the Entity Account Holder
帳戶持有人重要美國股東的調查

If the Entity Account Holder is a Passive NFFE, please provide the details of each substantial U.S. owner(s) who own more than 10% of the Entity Account Holder directly or indirectly.

若帳戶持有人為一間被動非金融外國實體，請提供每一位直接地或間接地持有10%以上股權的重要美國股東的資料。

Name 姓名	Current Residential Address 現時住址	TIN 納稅人號碼

Part 3 CRS DECLARATION BY ENTITY ACCOUNT HOLDER
第3部 實體帳戶持有人共同匯報標準聲明

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

在其中一個適當的方格內加上✓號，並提供有關資料。

Financial Institution 財務機構	<input type="checkbox"/> Custodian Institution, Depository Institution or Specified Insurance Company. 託管機構、存款機構或指明保險公司。 <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。
Active NFE 主動非財務實體	<input type="checkbox"/> NFE and the stock of which is regularly traded on _____, which is an established securities markets. 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。 <input type="checkbox"/> Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market. 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。 <input type="checkbox"/> NFE is a government entity, an international organization, a central bank, or an entity wholly owned by one of more of foregoing entities. 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。 <input type="checkbox"/> Active NFE other than the above (Please specify) _____。 除上述以外的主動非財務實體（請說明_____）。
Passive NFE 被動非財務實體	<input type="checkbox"/> Investment entity that is managed by another financial institution and located in a non-participating jurisdiction. 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。 <input type="checkbox"/> NFE that is not an active NFE. 不屬主動非財務實體的非財務實體。

Controlling Persons (Complete this part if the Entity Account Holder is a passive NFE)

控權人 (如實體帳戶持有人是被动非財務實體，填寫此部)

Indicate the name of all controlling person(s) of the Entity 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 "Self-Certification Form – Controlling Person for each controlling person".

就實體帳戶持有人，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。

每名控權人須分別填寫一份「自我證明表格 – 控權人」。

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

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

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」) *

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the Entity Account Holder is a **resident for tax purposes** and (b) the Entity Account Holder's TIN for each jurisdiction indicated. Indicate **ALL** (not restricted to five) jurisdictions of residence.

提供以下資料，列明 (a) 實體帳戶持有人的居留司法管轄區，亦即實體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實體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。

If the Entity Account Holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number.

如實體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 Entity 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.

如果實體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。

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

如沒有提供稅務編號，必須填寫合適的理由：

Reason A - The jurisdiction where the Entity Account Holder is a resident for tax purposes does not issue TINs to its residents.

理由 A - 實體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 B - The Entity Account Holder is unable to obtain a TIN. Explain why the Entity Account Holder is unable to obtain a TIN if you have selected this reason.

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

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 - 實體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。

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號， 填寫理由 A、B 或 C	Explain why they account holder is unable to obtain a TIN if you have selected Reason B 如選取理由 B， 解釋帳戶持有人不能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			
(5)			

Part 4 DECLARATION AND SIGNATURE BY ENTITY ACCOUNT HOLDER

第 4 部 實體帳戶持有人聲明及簽署

We acknowledge and agree that (a) the information contained in this form is collected and may be kept by Suntek for the purpose complying with FATCA and CRS in relation to exchange of account information, and (b) such information and information regarding the Entity Account Holder and any reportable account(s) may be reported by Suntek to The Internal Revenue Service of the United States or The Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and further exchanged with the tax authorities of another jurisdiction or jurisdictions in which the Entity Account Holder may be resident for tax purposes.

吾等知悉及同意，(a) 為了遵從海外帳戶稅收合規法案及共同匯報標準關於自動交換財務帳戶資料的目的，三泰富可收集本表格所載資料並可備存，及 (b) 把該等資料和關於實體帳戶持有人及任何須申報帳戶的資料向美國國家稅務局或香港特別行政區政府稅務局申報，從而再進一步把資料轉交到實體帳戶持有人的居留司法管轄區的稅務當局。

We certify that we are authorized to sign for the Entity Account Holder of all the account(s) to which this form relates.

吾等證明，就與本表格所有相關的帳戶，吾等獲實體帳戶持有人授權簽署本表格。

We undertake to advise Suntek of any change in circumstances which affects the tax residency status of the Entity Account Holder or causes the information contained herein to become incorrect, and to provide Suntek with a suitably updated self-certification form within 14 days of such change in circumstances.

吾等承諾，如情況有所改變，以致影響實體帳戶持有人的稅務居民身分，或引致本表格所載的資料不正確，吾等會通知三泰富，並會在情況發生改變後 14 日內，向三泰富提交一份已適當地更新的自我證明表格。

We declare that the information given and statements made in this form, to the best of our knowledge and belief, is true, correct and complete.

吾等聲明就吾等所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完整。

If there is any inconsistency or ambiguity between the English version and the Chinese version of this form, the English version shall prevail.

若本表格的中、英文兩個版本有任何抵觸或不相符之處，須以英文版本為準。

SIGNED by

簽署

Signature

簽署

Signer Name

簽署人姓名

Signer Capacity*

簽署人身分*

Date

日期

* Director or Officer of a Company, Partner of a Partnership, trustee of a Trust etc.

公司的董事或高級人員、合夥的合夥人、信託的受託人等