《共同匯報標準》自我聲明書 - 實體客戶 (包括所有企業、信託和合夥(獨資業務客戶除外))

Common Reporting Standard ("CRS") Self-Certification Form – Entity

(Includes all corporates, trusts and partnerships except sole proprietors)

客戶須知：填寫此表格前，請先閱讀本節。

Important Notice to Customer(s): Please read this section before completing this form.

金融機構均不允許給予客戶稅務諮詢。

如果您對此表格或您的稅務居民身份定義有任何疑問，請聯繫您的稅務顧問或相關稅務機關。您可以從經濟合作與發展組織(OECD)自動訊息交換網站獲取更多詳情，包括已簽署自動交換信息協議的司法管轄區的名單及被請求交換的有關信息。

(http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/).

Financial institution are not allowed to provide tax advice.

If you have any questions regarding this form or defining your tax residency status, please speak to your tax advisor or relevant tax authority. Please find out more on the OECD website (http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/), including a list of jurisdictions that have signed agreements to exchange information automatically, along with details about the information being requested.

您可能會被要求提供額外證明文件，以核實此表格上之內容。

You may be asked to provide additional documents to evidence the declaration made on this form

第一部份 ： 實體身份 Section 1: Entity Identification

實體機構名稱 Legal Name of Entity

公司註冊 / 商業登記號碼
Certificate of Incorporation / Business Registration Number

實體成立為法團或設立所在的的稅務管轄區
Jurisdiction of Incorporation / Organization

營業地址 Business Address:

室/層/座
Room / Flat, Floor, Block

樓宇/屋苑名稱，街道名稱及號數
Building / Estate, No. & Name of Street / Road

地區/城市/城鎮 District/ City/Town

郵政編碼 Post Code

國家 Country

通訊地址（如與上述營業地址不同）Correspondence Address (if different from the business address above):

室/層/座
Room / Flat, Floor, Block

樓宇/屋苑名稱，街道名稱及號數
Building / Estate, No. & Name of Street / Road

地區/城市/城鎮 District/ City/Town

郵政編碼 Post Code

國家 Country

第二部份:實體類別 Section 2: Entity Type

請注意第二部份必須全部回答。
Please note that ALL questions in Section 2 must be answered.

(A) 本人/吾等(代表本實體) 聲明本實體是:
I/We (on behalf of the entity) certify that the entity is:

☐ 財務機構
Financial Institution

選項類別
Specify Type:

☐ 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 (註：此類實體被重新分類爲被動非財務實體- 請填寫第三部份)
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. Note: This entity is reclassified as a Passive NFE ("Passive Non-Financial Entity") – Please complete Section 3

☐ 其他金融機構 - 存款機構、託管機構、指明保險公司，及非上列之投資實體
Other Financial Institution – Depository Institution, Custodial Institution, Specified Insurance Company, and Investment Entity not described above

☐ 非財務實體
NFE ("Non-Financial Entity")

選項類別
Specify Type:

☐ 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.

☐ _____ 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.

☐ 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

☐ 其他主動非財務實體 詳細類別: _____
Active NFE other than the above Indicate Status: _____

☐ 被動非財務實體 (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除外) - 請填寫第 3 部份
Passive NFE (other than Investment Entity that is managed by another financial institution and located in a non-participating jurisdiction) - Please complete Section 3 below

第二部份:實體類別(續) Section 2: Entity Type (Continued)

(B) 請填寫您爲稅務居民所屬的所有司法管轄區及相應的稅務編號（包括香港在內）。如果您對您的稅務居民司法管轄區有任何疑問，請聯繫您的稅務顧問或相關稅務機關。
Please fill in ALL jurisdiction(s) and the associated TIN(s) where you are a tax resident (including Hong Kong). If you have any questions about your jurisdiction(s) of tax residency, please contact your tax advisor or relevant tax authority.

如賬戶持有人是香港/中國稅務居民，稅務編號是其香港/中國身份證號碼。
If the account holder is a tax resident of Hong Kong / China, the TIN is the Hong Kong / Chinese Identity Card Number.

如未能提供稅務編號，請填寫理由 A, B 或 C.
If a TIN is unavailable, please provide the appropriate reason A, B or C:

理由 A Reason A	賬戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。 The jurisdiction where the Account Holder is a resident for tax purposes does not issue TINs to its residents
理由 B Reason B	賬戶持有人不能取得稅務編號。(請在下表中解釋不能取得稅務編號的原因) The Account Holder is unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN in the below table)
理由 C Reason C	賬戶持有人毋須提供稅務編號。（這理由只適用於居留司法管轄區的主管機關不需要賬戶持有人披露稅務編號。） TIN is not required. Select this reason only if the authorities of the jurisdiction of tax residence do not require the TIN to be disclosed.

稅務居民司法管轄地 Jurisdiction of Tax Residence	稅務編號 TIN	如未能提供稅務編號，請填寫理由 A, B 或 C. Enter Reason A, B or C if TIN is unavailable

第三部份：控權人士　Section 3: Controlling Person(s)

被動非財務(海外)實體　Passive Non-Financial (foreign) Entity

此部份只供被分類為被動非財務(海外)實體填寫(包括被重新分類為被動非財務實體之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)。

To be completed by entity that is classified as a Passive NFE/NFFE (including an Investment Entity located in an AEOI Non-Pariticpating Jurisdiction and manged by another Financial Insituttion that is reclassfied as as a Passive NFE).

控權人士　Controlling Person(s)

就每位控權人士而言，必須填寫持有稅籍之所有司法管轄地及有關稅籍編號（包括美國和香港，如適用）。請留意控權人士代表符合指定條件之自然人。如果有超過4位控權人士，請使用額外的自我聲明書。

For each Controlling Person, fill in ALL jurisdiction(s) and the associated TIN(s) where that Controlling Person is a tax resident (including U.S. and Hong Kong, where applicable). Please note that Controlling Person refer to natural persons who meet specified requirements. If you have more than four Controlling Persons, use an additional Self-Certification Form.

如控權人士是香港/中國稅務居民，稅務編號是其香港/中國身份證號碼。

If the Controlling Person is a tax resident of Hong Kong / China, the TIN is the Hong Kong / Chinese Identity Card Number.

理由A - 賬戶持有人的居留司法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 - 賬戶持有人不能取得稅務編號。(請在下表中解釋不能取得稅務編號的原因)

Reason B - The Account Holder is unable to obtain a TIN or equivalent number

(Please explain why you are unable to obtain a TIN in the below table)

理由C - 賬戶持有人毋須提供稅務編號。（這理由只適用於居留司法管轄區的主管機關不需要賬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 tax residence do not require the TIN to be disclosed.

	控權人士之姓名 Name of Controlling Person ("CP")	控權人士稅務居民司法管轄地 All Jurisdiction(s) of Tax Residence of CP	控權人士在該司法管轄地持有稅籍之稅籍編號， 如果不能提供稅務編號，請填寫理由 A、B 或 C TIN(s) for Each Jurisdiction of Tax Residence of CP or Enter Reason A, B or C if TIN is unavailable
控權人士 1 **CP1**			
控權人士 2 **CP2**			
控權人士 3 **CP3**			
控權人士 4 **CP4**			

第三部份：控權人士(續)　Section 3: Controlling Person(s) (Continued)

在適當方格內加上✓號，指出控權人就實體所屬的控權人類別。
Please tick the appropriate box to indicate the type of controlling person for each controlling person.

實體類別 Type of Entity	控權人類別 Type of Controlling Person	控權人士 1 **CP1**	控權人士 2 **CP2**	控權人士 3 **CP3**	控權人士 4 **CP4**
法人 Legal Person	擁有控制股權的個人（就法團而言，個人擁有/控制超過 25%已發行股本；就合夥法團而言，個人控制超過 0%合夥權益） Individual who has a controlling ownership interest (i.e. for a corporation or partnership, more than 25% or 0% of issued share capital/profits respectively)	☐	☐	☐	☐
	以其他途徑行使控制權或有權行使控制權的個人（就法團而言，個人控制超過25%投票權；就合夥法團而言，個人控制超過0%投票權） Individual who exercises control/is entitled to exercise control through other means (i.e. for a corporation or partnership, more than 25% or 0% of voting rights respectively)	☐	☐	☐	☐
	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 Protector	☐	☐	☐	☐
	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/相類於保護人位置的個人 Individual in a position equivalent/similar to protector	☐	☐	☐	☐
	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)	☐	☐	☐	☐

第三部份：控權人士(續)　Section 3: Controlling Person(s) (Continued)

控權人士之居住地址 **Residence Address of CP**			
控權人士 1 **CP1**		(城市) (City)	(國家) (Country)
控權人士 2 **CP2**		(城市) (City)	(國家) (Country)
控權人士 3 **CP3**		(城市) (City)	(國家) (Country)
控權人士 4 **CP4**		(城市) (City)	(國家) (Country)

控權人士之出生日期（日/月/年） Date of Birth of CP (dd/mm/yyyy)		控權人士之出生地點 (城市及國家) Place of Birth of CP (City & Country)	
控權人士 1 **CP1**		(城市) (City)	(國家) (Country)
控權人士 1 **CP2**		(城市) (City)	(國家) (Country)
控權人士 1 **CP3**		(城市) (City)	(國家) (Country)
控權人士 1 **CP4**		(城市) (City)	(國家) (Country)

額外披露(如適用)　Additional Disclosure (if applicable)

聲明及簽署 Declarations and Signatures#

本人/吾等(代表本實體)在此聲明本人/吾等已查閱此自我聲明書之內容及陳述，並盡本人所知及確信，聲明內容均屬真實、正確及完整。
I / We (on behalf of the entity) 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/吾等(代表本實體)承認此聲明書及有關本實體、其控權人士(如有)及須申報賬戶的任何資料可向任何本地或海外政府、監管或稅務機關或機構(包括但不限於中華人民共和國香港特別行政區政府稅務局及美國國稅局)提供，以及向適用法例、法規、慣例或指引(包括但不限於香港稅務條例、任何在本地實施的OECD「經濟合作與發展組織稅務金融訊息自動交換標準/通用報告準則」、美國《外國賬戶稅收合規法案》及在香港或任何其他相關司法管轄地已落實的同類稅務資訊共用制度）所規定或指示或國泰君安證券(香港)有限公司、國泰君安期貨(香港)有限公司、國泰君安外匯有限公司及/或國泰君安資產管理(亞洲)有限公司認為必要的任何其他本地或海外人士或單位提供；及可由國泰君安證券(香港)有限公司、國泰君安期貨(香港)有限公司、國泰君安外匯有限公司及/或國泰君安資產管理(亞洲)有限公司存儲、使用及披露，以便其遵從有關向本人提供服務的義務、承諾、安排或市場慣例。

I / We (on behalf of the entity) acknowledge that the information contained in this form and information regarding the account holder, controlling person(s) (if any) and any reportable account(s) may be reported to any local or foreign governmental, regulatory or tax authorities or bodies (including but not limited to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region of the People's Republic of China and the U.S. Internal Revenue Service), and to any other local foreign persons or entities required or directed by applicable laws, regulations, practices or guidelines (including but not limited to the Hong Kong Inland Revenue Ordinance, any local implementation of the OECD Standard for Automatic Exchange of Financial Information in Tax Matters/Common Reporting Standard, the U.S. Foreign Account Tax Compliance Act (FATCA) and local implementation hereof, and any similar tax information sharing regime put in place in Hong Kong or any other relevant jurisdiction) or deemed necessary by Guotai Junan Securities (Hong Kong) Limited, Guotai Junan Futures (Hong Kong) Limited, Guotai Junan FX Limited and/or Guotai Junan Assets (Asia) Limited; and stored, used and disclosed by Guotai Junan Securities (Hong Kong) Limited, Guotai Junan Futures (Hong Kong) Limited, Guotai Junan FX Limited and/or Guotai Junan Assets (Asia) Limited so that it can comply with obligations, commitments, arrangement or market practices in relation to providing services to the entity.

本人/吾等(代表本實體)在此聲明，本人/吾等已(a)查閱此自我聲明書和相關美國稅務表格及其任何附件，並據本人/吾等所知及所信，該等資料真確無誤及完整；及（b）按照任何適用法律和法規的規定，向實體的所有股權持有人及第三方作出妥當通知，並已從前述人士獲得所有必要的同意和豁免，前述人士的資料可能(i)出現在此自我聲明書和前段所描述之任何稅務表格及其任何附件中；及/或(ii) 國泰君安證券(香港)有限公司、國泰君安期貨(香港)有限公司 、國泰君安外匯有限公司及/或國泰君安資產管理(亞洲)有限公司根據此自我聲明書及相關美國稅務表格或其擬定原意，以任何方式予以存儲、使用及披露。

I / We (on behalf of the entity) declare that I / We have: (a) examined the information on this Self-Certification form and the relevant IRS form(s) and any attachments to these forms, and to the best of my / our knowledge and belief they are true, correct and complete; and (b) duly notified as required by any applicable laws and regulations, and obtained all necessary consent and waiver from, all equity holders of the Entity and third parties whose information may (i) appear in this Self-Certification and any IRS form(s) and any attachments to these forms described in the preceding paragraph; and/or (ii) in any way be stored, used and disclosed by Guotai Junan Securities (Hong Kong) Limited, Guotai Junan Futures (Hong Kong) Limited, Guotai Junan FX Limited and/or Guotai Junan Assets (Asia) Limited pursuant to, or as contemplated in, this Self- Certification form and the relevant IRS form(s).

本人/吾等(代表本實體)承諾如以上聲明有任何情況改變而影響本表格的第一部分所標示實體或第三部分所標示控權人士(如有)的稅務居民身份有任何變化或導致此自我聲明書之內容及陳述變得不正確的信息時將通知國泰君安證券(香港)有限公司、國泰君安期貨(香港)有限公司、國泰君安外匯有限公司及/或國泰君安資產管理(亞洲)有限公司，並於情況改變發生的三十日內向國泰君安證券(香港)有限公司、國泰君安期貨(香港)有限公司、國泰君安外匯有限公司及/或國泰君安資產管理(亞洲)有限公司重新提供正確的自我聲明書。

I / We (on behalf of the entity) undertake to advise Guotai Junan Securities (Hong Kong) Limited, Guotai Junan Futures (Hong Kong) Limited, Guotai Junan FX Limited and/or Guotai Junan Assets (Asia) Limited of on any change in circumstances which affects the tax residency status of the entity identified in Section 1 or controlling person(s) identified in Section 3 (if any) of this form or cause the information contained herein to become incorrect, and to provide Guotai Junan Securities (Hong Kong) Limited, Guotai Junan Futures (Hong Kong) Limited, Guotai Junan FX Limited and/or Guotai Junan Assets (Asia) Limited with a suitably updated Self-Certification form within 30 calendar days of such change in circumstances.

本人/吾等聲明，本人有資格代表此自我聲明書首頁所標示之實體及第6部分所標示控權人士(如有)簽署此自我聲明書。
I / We certify that I / We have the capacity to sign for the Entity identified on Page 1 and the controlling person(s) identified in Section 3 (if any) of this Self-Certification form.

_____

公司印章及授權簽名
Authorized Signature with company chop

_____

被授權簽署人姓名(請書寫)
Print Name

_____

日期 (日/月/年)
Date (dd/mm/yyyy)

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 selfcertification, 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)

如此表格的中、英文兩個版本有任何不相符之處，應以英文版本為準，所有您在此聲明書提供的資料會被視為回應英文版本原文。
In the event of any inconsistency between the English and Chinese language text on this Self-Certification form, the English version will prevail and all information provided by you on this form will be treated as addressing the English text.