



SDG Securities (HK) Limited (CE Number: BMB958) 山金證券(香港)有限公司(中央編號: BMB958)

Self-Certification Form – Entity 自我證明表格—實體

Warning 警告

It is an offence under section 80(2E) of the Inland Revenue Ordinance (“IRO”) 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). 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。

Important Note 重要提示

- ◆ This is a self-certification form provided by an account holder to SDG Securities (HK) Limited (“SDGS”) for the purpose of automatic exchange of financial account information. The data collected may be transmitted by SDGS to the Inland Revenue Department for transfer to the tax authority of another jurisdiction. 這是由帳戶持有人向山金證券(香港)有限公司(「山金證券」)提供的自我證明表格，以作自動交換財務帳戶資料用途。山金證券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。
- ◆ An account holder should report all changes in its tax residency status to SDGS. 如帳戶持有人的稅務居民身份有所改變，應盡快將所有變更通知山金證券。
- ◆ 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 SDGS to the Inland Revenue Department. 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(*)的項目為山金證券須向稅務局申報的資料。

Instruction 指引

Pursuant to the legal provisions for exchange of financial account information provided under the IRO, please provide all of your jurisdiction of residence and taxpayer identification number or its functional equivalent (“TIN”). If a TIN is unavailable, provide the appropriate reason A, B or C: 根據《稅務條例》有關交換財務帳戶資料的法律條文，請提供閣下所有的居留司法管轄區及稅務編號或具有等同功能的識辨編號(「稅務編號」)。如沒有提供稅務編號，必須填寫合適的理由：

- ◆ **Reason A** – The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents. 理由 A—帳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 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 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 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—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。

Identification of Entity Account Holder 實體帳戶持有人的身份識辨資料

Corporate Name (English) 法團名稱 (英文) *	Corporate Name (Chinese) 法團名稱 (中文)
Place of Incorporation 註冊地點	Business Registration Number 商業登記號碼
Registered Address 註冊地址 *	
Principal Place of Business Address (if different from the above) 主要辦事處地址 (如與上述不同)	

(“Client”) (「客戶」)

Entity Type 實體類別	
Choose the most appropriate option 選擇最合適的選項	
Financial Institution 金融機構	<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 <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 the stock of which is regularly traded on an established securities market (please specify the 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（請說明證券市場）：_____ <input type="checkbox"/> Related entity of a stock of which is regularly traded on an established securities market (please specify the stock and the securities market): 一個股票經常在一個具規模證券市場進行買賣的實體的有關連實體（請說明股票及證券市場）：_____ <input type="checkbox"/> NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the 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 Person 控權人		
Please indicate the name of all of your controlling person(s) if you are a passive NFE. If no natural person exercises control over you 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. 請填寫閣下所有控權人的姓名如閣下是被動非財務實體。如對閣下行使控制權的並非自然人，控權人會是閣下的高級管理人員。每名控權人須分別填寫一份自我證明表格—控權人。		
(1)	(2)	(3)

Jurisdiction of Residence and TIN 居留司法管轄區及稅務編號*	
Tax Residence (choose all that apply) 稅務居民（選擇所有適用選項）	
<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Other jurisdiction 其他居留司法管轄區	
Please complete the following if you hold tax residence of other jurisdiction. If you have more than one tax residence of other jurisdiction, please attach and sign extra self-certification. 請填寫以下如閣下為其他居留司法管轄區稅務居民。如閣下持有多於一個其他居留司法管轄區稅務居民資格，請另附自我證明及簽署。	
Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號
Select Reason A, B or C if No TIN is Available 如沒有提供稅務編號，選擇理由 A、B 或 C	
<input type="checkbox"/> Reason A 理由 A <input type="checkbox"/> Reason B 理由 B <input type="checkbox"/> Reason C 理由 C	
Explain Why You are Unable to Obtain a TIN if You have Selected Reason B 如選取理由 B，解釋不能取得稅務編號的原因	

Client Declaration 客戶聲明

- ◆ We acknowledge and agree that: (a) the information contained in this form is collected and may be kept by SDGS 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 SDGS 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 IRO. 吾等知悉及同意·山金證券可根據《稅務條例》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。
- ◆ We undertake to advise SDGS of any change in circumstances which affects the tax residency status of the entity identified in this form or causes the information contained herein to become incorrect, and to provide SDGS with suitably updated information within thirty (30) days of such change in circumstances. 吾等承諾·如情況有所改變·以致影響本表格所述的實體的稅務居民身份·或引致本表格所載的資料不正確·吾等會通知山金證券·並會在情況發生改變後三十(30)日內·向山金證券提交已適當更新的資料。
- ◆ We declare that the information given and statements made in this form are, to the best of our knowledge and belief, 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、正確和完備。

Signed by Client 客戶簽署

Name 姓名
Capacity 身份 #
Date (dd/mm/yyyy) 日期 (日 / 月 / 年)

e.g. director or officer of a company, partner of a partnership, trustee of a trust, etc. 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

For Internal Use Only 內部專用
Approval 審批
Checked by Licensed Person

持牌人檢查

Date: 日期:

Data Inputted by Settlement Officer

結算主任輸入資料

Date: 日期:

Inputted Data Checked by Settlement Officer

結算主任檢查已輸入資料

Date: 日期:

Approved by Responsible Officer

負責人員審批

Date: 日期:

Approved by Chief Operating Officer

營運總監審批

Date: 日期: