

個人稅務居民自我證明表格

第 1 部 個人帳戶持有人的身分識辨資料

(1) 帳戶持有人的姓名 : _____

(2) 身份證或護照號碼 : _____

重要提示:

這是由帳戶持有人向申報財務機構提供的自我證明表格，以作自動交換財務帳戶資料用途。申報財務機構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申報財務機構。

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 (*) 的項目為申報財務機構須向稅務局申報的資料。

第 2 部 居留司法管轄區及稅務編號或具有等同功能的識辨編號（以下簡稱「稅務編號」）*

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。

如帳戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。

如沒有提供稅務編號，必須填寫合適的理由：

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。

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。

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。

居留司法管轄區	稅務編號	如沒有提供稅務編號， 填寫理由 A、B 或 C	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)			
(6)			
(7)			
(8)			
(9)			
(10)			

第 3 部 聲明及簽署

本人知悉及同意，財務機構可根據《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。

本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人 / 本人獲帳戶持有人授權簽署本表格[#]。

本人承諾，如情況有所改變，以致影響本表格第 1 部所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知黃河證券有限公司，並會在情況發生改變後 30 日內，向黃河證券有限公司提交一份已適當更新的自我證明表格。

客戶簽署:



客戶姓名:

日期:

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。

#如中英文版本有歧義, 概以英文為準。

CRS Individual Self-Certification Form

Part 1 - Identification of Individual Account Holder

Name of Account Holder: _____

ID Number: _____

ID Type: _____

Important Notes:

This is a self-certification form provided by an account holder to Yellow River Securities Limited for the purpose of automatic exchange of financial account information. The data collected may be transmitted by Yellow River Securities Limited to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.

An account holder should report all changes in his/her tax residency status to Yellow River Securities Limited .

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 Yellow River Securities Limited to the Inland Revenue Department.

Part 2 - Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN")*

- Please complete the following table indicating (i) each jurisdiction of residence (including Hong Kong) where the Account Holder is a **resident for tax purposes** and (ii) the Account Holder's TIN for each jurisdiction indicated. Indicate **all** (not restricted to three) jurisdictions of residence.
- If the Account Holder is tax resident in more than three jurisdictions please use a separate sheet.
- If the Account Holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.
- If a TIN is unavailable please provide the appropriate reason **A, B or C where indicated below**:
 1. **Reason A** - The jurisdiction where the Account Holder is a resident for tax purposes does not issue TINs to its residents.
 2. **Reason B** - The Account Holder is unable to obtain a TIN. (Please explain why you are unable to obtain a TIN in the below table if you have selected this reason)
 3. **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.

Jurisdiction	TIN	If no TIN available enter Reason A, B or C
(1)		
(2)		
(3)		
(4)		
(5)		
(6)		
(7)		
(8)		
(9)		
(10)		

Part 3 – Declarations and Signature

I understand that the information supplied by me is covered by the full provisions of the terms and conditions governing the Account Holder's relationship with Yellow River Securities Limited setting out how Yellow River Securities Limited may use and share the information supplied by me.

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by Yellow River Securities Limited 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 provided by Yellow River Securities Limited 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 purpose pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

I also agree that the information contained in this form may be shared to and used by any member of the Yellow River Securities Limited Group (including any affiliates, subsidiaries and associated entities of Yellow River Securities Limited and their branches and offices) for the purposes of automatic exchange of financial account information provided under the Inland Revenue Ordinance as set out above.

I certify that I am the Account Holder (or am authorised to sign for the Account Holder) of all the account(s) to which this form relates.

I certify that where I have provided information regarding any other person (such as a Controlling Person or other Reportable Person to which this form relates) that I will, within 30 days of signing this form, notify those persons that I have provided such information to Yellow River Securities Limited and that such information may be provided 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 person may be resident for tax purposes pursuant to the legal provisions for exchange of financial account information provided under the Hong Kong Inland Revenue Ordinance (Cap.112).

I declare that the information given and all statements made in this form and declarations are, to the best of my knowledge and belief, true, correct and complete.

I undertake to advise Yellow River Securities Limited within 30 days of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide Yellow River Securities Limited with a suitably updated self-certification and Declaration within 90 days of such change in circumstances.

Client / Authorized Signature:



Client / Authorized Name:

Date:

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. HK\$10,000).

#In the event of any discrepancy or inconsistency between the English version and the Chinese version of this form, the English version shall prevail.