

To 致： Sunfund Securities Limited

東皓證券有限公司

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香港中環德輔道中 55 號協成行中心 18 樓

Account Number 帳戶號碼： \_\_\_\_\_

### Self-Certification Form — Entity

#### 自我證明表格 — 實體

**Important Notes 注意事項：**

- This is a self-certification form provided by an entity account holder to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction. An entity account holder should report all changes in its tax residency status to the reporting financial institution. 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 the reporting financial institution to the Inland Revenue Department.

這是由實體帳戶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。如實體帳戶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，可另外加紙填寫。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。

### Part 1 : Identification of the Entity Account Holder

#### 第 1 部：實體帳戶持有人的身分識別資料

Note 注意：Please tick ✓ where applicable. 請在適當的地方加上剔號 ✓

<b>1. * Legal Name of Entity or Branch</b> * 實體或分支機構的法定名稱	
<b>2. Jurisdiction of Incorporation or Organisation</b> 實體成立為法團或設立所在的稅務管轄區及地點	
<b>3. Registered office in the country of incorporation</b> 實體設立所在地之註冊辦事處	
<b>4. Hong Kong Business Registration Number</b> 香港商業登記號碼	If applicable 如適用
<b>4. Current Business Address</b> 現時營業地址	(e.g. Suite, Floor, Building, Street, District 例如：室、樓層、大廈、街道、地區)
	*City 城市
	(e.g. Province, State 例如：省、州)
	*Country 國家
	Post Code/ZIP Code 郵政編碼/郵遞區號碼
<b>5. Mailing Address 通訊地址</b> (Please complete if different to the current business address above 如通訊地址與上述現時營業地址不同，請填寫此欄)	(e.g. Suite, Floor, Building, Street, District 例如：室、樓層、大廈、街道、地區)
	City 城市
	(e.g. Province, State 例如：省、州)
	Country 國家
	Post Code/ZIP Code 郵政編碼/郵遞區號碼

## Part 2 : Entity Type

### 第 2 部：實體類別

Please tick ✓ one of the appropriate boxes and provide the relevant information. 請在其中一個適當的方格內加上剔號✓，並提供有關資料

<b>Financial Institution</b> 財務機構	<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
<b>Active NFE</b> 主動非財務實體	<input type="checkbox"/> 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 <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 <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_____)
<b>Passive NFE</b> 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

## Part 3 : Controlling Persons (Please complete this part if the entity account holder is a passive NFE)

### 第 3 部：控權人(如實體帳戶持有人是被動非財務實體，請填寫此部)

Please 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. Please complete Self-Certification Form — Controlling Person for each controlling person.

就實體帳戶，請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。每名控權人請分別填寫一份自我證明表格 — 控權人。

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

## Part 4 : Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”) \*

### 第 4 部：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」）\*

Please 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. Please indicate **all** (not restricted to five) jurisdictions of residence. 請提供以下資料，列明（a）實體帳戶持有人的居留司法管轄區（包括香港在內），亦即實體帳戶持有人的**稅務管轄區**及（b）該居留司法管轄區發給實體帳戶持有人的稅務編號。請列出**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 BR number.

If a TIN is unavailable, please provide the appropriate reason of the followings:

如實體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。如沒法提供稅務編號，請必須填寫以下合適的理由：

- # **Reason A** — The jurisdiction where the entity account holder is a resident for tax purposes does not issue TINs to its residents.  
**Reason B** — The entity account holder is unable to obtain a TIN. Please explain why the account holder is unable to obtain a TIN if you have selected this reason.  
**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 A** — 實體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** — 實體帳戶持有人不能取得稅務編號。如選取這一理由，請解釋帳戶持有人不能取得稅務編號的原因。  
**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	# Please enter reason A, B or C if no TIN is available # 如沒有提供稅務編號，請填寫理由 A,B 或 C	Please explain why the entity account holder is unable to obtain a TIN if you have selected reason B 如選取理由 B，請解釋實體賬戶持有人不能取得稅務編號的原因
1.			
2.			
3.			
4.			
5.			

## Part 5 : Declarations and Signature

### 第 5 部：聲明及簽署

I/We acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the entity account holder and any reportable account(s) may be reported by the financial institution 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 entity account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112). I/We certify that I am/we are authorized to sign for the entity account holder of all the account(s) to which this form relates. I/We undertake to advise **Sunfund Securities Limited** of any change in circumstances which affects the tax residency status of the entity identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide **Sunfund Securities Limited** with a suitably updated self-certification form within 30 days of such change in circumstances. **I/We declare that the information given and statements made in this form are, to the best of my/our knowledge and belief, true, correct and complete.**

本人/吾等知悉及同意，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）把該等資料和關於實體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，從而把資料轉交到實體帳戶持有人的居留司法管轄區的稅務當局。本人/吾等證明，就與本表格所有相關的帳戶，本人/吾等獲實體帳戶持有人授權簽署本表格。本人/吾等承諾，如情

況有所改變，以致影響本表格第 1 部所述的實體的稅務居民身分，或引致本表格所載的資料不正確，本人/吾等會通知東皓證券有限公司，並會在情況發生改變後 30 日內，向東皓證券有限公司提交一份已適當更新的自我證明表格。本人/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。

Signature 簽署	Capacity 身分：  (Please indicate the capacity if you are not the ultimate beneficiary of the entity identified in Part 1. If signing under a power of attorney, please attach a certified copy of the power of attorney.
Name 姓名： Date (dd/mm/yyyy) 日期(日/月/年)：	如您不是第 1 部所述的實體最終受益人，請說明您的身分。如果您是以授權人身分簽署這份表格，請夾附該授權書的核證副本。.)
<b>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. \$10,000).</b> 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。	