To 致: **SUNFUND SECURITIES LIMITED**

東皓證券有限公司

Unit 1004, 10/F, Bank of America Tower, No.12 Harcourt Road, Central, Hong Kong

香港中環夏慤道**12**號美國銀行中心**10**樓 **1004**室

Account Number 帳戶號碼: _____

Self-Certification Form - Individual
自我證明表格– 個人

Important Notes 注意事項：
This is a self-certification form provided by an 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 account holder should report all changes in his/her 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 Individual Account Holder (For joint or multiple account holders, please complete a separate form for each individual account holder.)

第一步：個人帳戶持有人的身份認辯資料（對於聯名帳戶或多人聯名帳戶，每各個人帳戶持有人須分別填寫一份表格）

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

1.	**Name of Account Holder 賬戶持有人的姓名**	Title 稱謂: ☐ Mr. 先生　　☐ Mrs. 太太　　☐ Ms. 女士　　☐ Miss 小姐		
		*Last Name or Surname 姓氏	*First Name or Given Name 名字	*Middle Name(s) 中間名
2.	**Legal Identity and Nationality 身份證明及國際**	Hong Kong Identity Card or Passport Number 香港身份證或護照號碼		
		Country of Issue 簽發國家　☐ Hong Kong 香港　☐ Other 其他：	Nationality 國籍　☐ Hong Kong 香港　☐ Other 其他：	

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

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」）**

Please complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a **resident for tax purposes** and (b) the 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）帳戶持有人的居留司法管轄區（包括香港在內），亦即帳戶持有人的稅務管轄區及（b）該居留司法管轄區發給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 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 of the followings:

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 account holder is a resident for tax purposes does not issue TINs to its residents.

Reason B — The 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 —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，請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。

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 account holder is unable to obtain a TIN if you have selected reason B 如選取理由 B，請解釋帳戶持有人不能取得稅務編號的原因
1.			
2.			

Part 3： Declarations and Signature

第 3 部：聲明及簽署 # Delete as appropriate # 刪去不適用者

I 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 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 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 certify that I am the account holder / I am authorized to sign for the account holder # of all the account(s) to which this form relates. I undertake to advise Sunfund Securities Limited 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 Sunfund Securities Limited with a suitably updated self-certification form within 30 days of such change in circumstances. **I 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。本人聲明就本人所知所信，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 individual identified in Part 1. If signing under a power of attorney, please attach a certified copy of the power of attorney. 如您不是第 1 部所述的個人，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。.)
Name 姓名： Date (dd/mm/yyyy) 日期（日/月/年）：	

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).

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。