

SELF-CERTIFICATION FORM - ENTITY

自我證明表格 (實體)

To help protect the integrity of tax systems, governments around the world are introducing a new information gathering and reporting requirement for financial institutions. This is known as the Common Reporting Standard (the "CRS").

為維護稅制完整，全球各地政府現正推出適用於金融／財務機構的資料收集及匯報新規則，名為共同匯報標準（簡稱「CRS」）。

Under the CRS, we are required to determine where you are a "tax resident" (this will usually be where you are liable to pay corporate income taxes). If you are a tax resident outside the jurisdiction where your account is held, we may need to provide the national tax authority this information, along with information relating to your accounts. That may then be shared between different jurisdictions' tax authorities.

根據「CRS」規定，我們必須確定客戶的「稅務居住地」（這通常是您有義務繳納利得稅的國家／地區）。若您的稅務居住地有別於所持賬戶的司法管轄區，我們可能需要將此情況及您的有關賬戶資料告知國家稅務機關，該等機關隨後或會將相關資料傳送給不同國家／地區的稅務機關。

To: Lighthouse Capital (HK) Financial Limited

致：光源資本(香港)金融有限公司

Units 1801-2, 18/F, Hollywood Centre,

233 Hollywood Road, Sheung Wan, Hong Kong

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(CE No. 中央編號：BHX373)

Important Notes: 重要提示：

- 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.
這是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 the reporting financial institution.
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。
- 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.
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。
- **For Joint or Multiple Account Holders, please complete a separate form for each entity account holder.**
對於聯名帳戶或多人聯名帳戶，請每位實體帳戶持有人必須分別填寫一份表格。

Part 1 Entity Type

第1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填上✓號，並提供有關資料。

<p>Financial Institution 財務機構</p>	<p><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</p> <p><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</p>
<p>Active NFE 主動非財務實體</p>	<p><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</p> <p><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</p> <p><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</p> <p><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 _____）</p>
<p>Passive NFE 被動非財務實體</p>	<p><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</p> <p><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</p>

Part 2 Controlling Persons (Complete this part if the entity account holder is a passive NFE)**第2部 控權人 (如實體帳戶持有人是被動非財務實體，填寫此部)**

Indicate the name of all controlling person(s) of the 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.

就帳戶持有人，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。

Please complete “Self-Certification Form – Controlling Person” for each controlling person.

每位控權人須分別填寫一份（自我證明表格 – 控權人）。

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

Part 3 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”)***第3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 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，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。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 Business Registration Number.

如帳戶持有人是香港稅務居民，稅務編號是其商業登記號碼。

If the account holder is not a tax resident in any jurisdiction (e.g. fiscally transparent), please indicate the jurisdiction in which its place of effective management is situated.

如帳戶持有人並非任何稅務管轄區的稅務居民（例如：它是財政透明實體），請填寫實際管理機構所在的稅務管轄區。

If a TIN is unavailable, please provide an appropriate reason listed below:

如沒有提供稅務編號，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 purpose 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 – 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 B – 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。

Reason C – The account holder is unable to obtain a TIN. Please explain why the account holder is unable to obtain a TIN if selected this reason.

理由 C – 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。

Jurisdiction of Residence: 居留司法管轄區：	(1)	(2)	(3)	(4)	(5)
TIN: 稅務編號：	(1)	(2)	(3)	(4)	(5)
No TIN Reason: 沒有稅務編號理由：	<input type="checkbox"/> Reason A 理由 A <input type="checkbox"/> Reason B 理由 B <input type="checkbox"/> Reason C 理由 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	<input type="checkbox"/> Reason A 理由 A <input type="checkbox"/> Reason B 理由 B <input type="checkbox"/> Reason C 理由 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	<input type="checkbox"/> Reason A 理由 A <input type="checkbox"/> Reason B 理由 B <input type="checkbox"/> Reason C 理由 C
Explanation to selected Reason C: 選取理由 C 的原因：					

Part 4 Declarations and Signature**第4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 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 accounts(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).

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。

I/We certify that I/we am/are authorized to sign for the account holder of all the account(s) to which this form relates.
本人／吾等證明，就與本表格所有相關的帳戶，本人／吾等獲帳戶持有人授權簽署本表格。

I/We undertake to advise **Lighthouse Capital (HK) Financial Limited** of any change in circumstances which affects the tax residency status of the entity of this form or causes the information contained herein to become incorrect, and to provide **Lighthouse Capital (HK) Financial Limited** with a suitably updated Self-Certification Form within 30 days of such change in circumstances.

本人／吾等承諾，如情況有所改變，以致影響本表格所述的實體稅務居民身分，或引致本表格所載的資料不正確，本人／吾等會通知 **光源資本(香港)金融有限公司**，並會在該情況發生後 30 日內，向 **光源資本(香港)金融有限公司** 提交一份已適當更新的自我證明表格。

Lighthouse Capital (HK) Financial Limited is authorized to contact anyone, including Customer's banks, brokers or any credit agency, for verifying the information provided on this Form.

光源資本(香港)金融有限公司有權聯繫任何人，包括客戶的銀行、經紀人或任何信用機構以驗證本表格上提供的資訊。

I/We declare that the information given and statements made in this Form are, to the best of my knowledge and belief, true and accurate.

本人／吾等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。

Authorized Signature with Company Chop 獲授人簽署及公司蓋章

(same as specimen signature on Account Opening Form 請用閣下於開戶表格上之簽署式樣)

Name of Authorized Signatory(ies) 獲授權簽字人姓名

Client's A/C No. 客戶號碼 : _____

Date 日期 : _____

Capacity 身分 : _____

e.g. Director or Officer of the 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

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statements that is misleading, false or incorrect in a material particular AND know, 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. HKD10,000.00).

警告：根據《稅務條例》第 80(2E) 條，任人在作出自證明時，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，即可被處罰第 3 級（即港幣 10,000.00）罰款。

Please complete this Self-Certification Form carefully. Please refer to the information on the website of Hong Kong Inland Revenue Department http://www.ird.gov.hk/eng/tax/dta_aeoi.htm and consult your tax, legal and/or other professional advisers if you have any questions on or in relation to automatic exchange of financial account information or this form.

請小心填寫本自我證明表格。如閣下對於自動交換財務帳戶資料或本表格有任何疑問，請查詢香港稅務局網站 http://www.ird.gov.hk/chi/tax/dta_aeoi.htm 及諮詢閣下之稅務、法律及／或其他專業顧問。