

SELF-CERTIFICATION FORM - CONTROLLING PERSON

自我證明表格(控權人)

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 a Controlling Person 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.
這是由控權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。
- A Controlling Person should report all changes in his/her tax residency status to the reporting financial institution.
如控權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。

Part 1 Identification of Controlling Person

第1部 控權人身分識別資料

Name in English* 英文名稱*	Passport / ID Type and No. 身份證明類別及號碼	Type 類別
Name in Chinese* 中文名稱*		No. 號碼
Gender 性別	Date of Birth* 出生日期*	(DD) (MM) (YY) (日) (月) (年)
Nationality 國籍 <i>Please do not abbreviate 請勿縮寫</i>	Place of Birth* 出生地點*	
Current Residence / Home Address* 現時住宅地址* <i>Please do not use a P.O. box or in-care-of address & do not abbreviate 請勿填寫郵政信箱或代收地址及 請勿縮寫</i>	English 英文 Chinese 中文 Postal Code (if any) 郵政編碼（如有）	
Mailing / Correspondence Address 通訊地址 <i>If different from the current residence address & do not abbreviate 若與現時住址不同及 請勿縮寫</i>	English 英文 Chinese 中文 Postal Code (if any) 郵政編碼（如有）	

Part 2 The Entity Account Holder(s) of which you are a controlling person

第2部 你作為控權人的實體帳戶持有人資料

Enter the name of the entity account holder of which you are a controlling person. 填寫你作為控權人的實體帳戶持有人的名稱。

Entity 實體	Name of Entity 實體的名稱
(1)	
(2)	
(3)	
(4)	

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 controlling person is a resident for tax purposes and (b) the controlling person'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）控權人的居留司法管轄區，亦即控權人的稅務管轄區（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 controlling person is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.
 如控權人是香港稅務居民，稅務編號是其身份證號碼。

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 controlling person is a resident for tax purpose does not issue TINs to its residents.
理由 A – 控權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 – 控權人毋須提供稅務編號。居留司法管轄區的主管機關不需要控權人披露稅務編號。

Reason C – The controlling person is unable to obtain a TIN. Please explain why the controlling person is unable to obtain a TIN if selected this reason.
理由 C – 控權人不能取得稅務編號。如選取這一理由，請解釋控權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 Type of Controlling Person
第4部 控權人類別

Please tick the appropriate box to indicate the type of controlling person for each entity stated in Part 2.
 就第2部所載的每個實體，在適當方格內加上✓號，指出控權人就每個實體所屬的控權人類別。

Type of Entity 實體類別	Type of Controlling Person 控權人類別	Entity (1) 實體 (1)	Entity (2) 實體 (2)	Entity (3) 實體 (3)
Legal Person 法人	Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital) 擁有控制股權的個人（即擁有不少於百分之二十五的已發行股本）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who exercises control / is entitled to exercise control through other means (i.e. not less than 25% of voting rights) 以其他途徑行使控制權 或有權行使控制權的個人（即擁有不少於百分之二十五的表決權）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who holds the position of senior managing official / exercises ultimate control over the management of the entity 擔任該實體的高級管理人員 或 對該實體的管理行使最終控制權的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trust 信託	Settlor 財產授予人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Trustee 受託人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Protector 保護人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Beneficiary or member of the class of beneficiaries 受益人或某類別受益人的成員	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary) 其他（例如：如財產授予人/受託人/保護人/ 受益人為另一實體，對該實體行使控制權的個人）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Legal Arrangement other than Trust 除信託以外的 法律安排	Individual in a position equivalent / similar to settlor 處於相等 / 相類於財產授予人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent / similar to trustee 處於相等 / 相類於受託人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent / similar to protector 處於相等 / 相類於保護人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent / similar to beneficiary or member of the class of beneficiaries 處於相等 / 相類於受益人或某類別受益人的成員位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (e.g. individual who exercises control over another entity being equivalent / similar to settlor/trustee/protector/beneficiary) 其他（例如：如處於相等 / 相類於財產授予人/受託人/保護人/受益人位置的人為另一實體，對該實體行使控制權的個人）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Part 5 Declarations and Signature
第5部 聲明及簽署

I 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 certify that I am the controlling person / I am authorized to sign for the controlling person # of all the account(s) held by the entity account holder(s) to which this form relates.

本人證明，就與本表格所有相關的實體帳戶持有人所持有的帳戶，本人是控權人 / 本人獲控權人授權簽署本表格 #。

I 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 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 of Controlling Person 控權人簽署

Client's Name 客戶名稱 : _____

Client's A/C No. 客戶號碼 : _____

Date 日期 : _____

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. 如你不是第 1 部所述的個人身分，請說明你的身分。如你是以受權人身分簽署這份表格，須附上該授權書的核證副本。

please delete as appropriate
請刪去不適用者

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。