

共同申報標準【CRS】自證證明書-控制人

Please read these instructions before completing the form.

填寫表格前，請先閱讀下列指引。

Regulations based on the Organization for Economic Co-operation and Development ("OECD") Common Reporting Standard ("CRS") requires **Bank SinoPac Company Limited, Macau Branch ("the Bank")** to collect and report certain information about an account holder's tax residence. Each jurisdiction has its own rules for defining tax residence, and jurisdictions have provided information on how to determine if you are resident in the jurisdiction on the OECD automatic exchange of information portal. In general, you will find that tax residence is the country/jurisdiction in which you live. Special circumstances may cause you to be resident elsewhere or resident in more than one country/jurisdiction at the same time (dual residency). If you are a U.S. citizen or tax resident under U.S. law, you should indicate that you are a U.S. tax resident on this form and you may also need to fill in an IRS W-9 form. For more information on tax residence, please consult your tax adviser or the information at the OECD automatic exchange of information portal.

根據經濟合作與發展組織(以下簡稱OECD)共同申報準則(以下簡稱CRS)的規定，要求永豐商業銀行股份有限公司澳門分行(以下簡稱本分行)收集並匯報帳戶持有人的稅務居留地。各管轄區之稅務居民定義不同，閣下可參閱OECD網站中各稅務管轄區所提供之資訊。原則上居住之國家/管轄區為閣下之稅務居留地，如有特殊情形，閣下之稅務居留地將不只一處。如帳戶持有人為美國稅務居民，除了本表應填報為美國稅務居民外，尚須填寫IRS W-9表格。有關稅務居留地的詳情，請諮詢閣下的稅務顧問，或參閱OECD所提供的說明。

If your tax residence (or the Controlling Person, if you are completing the form on their behalf) is located outside Macau, the Bank may be legally obliged to pass on the information in this form and other financial information with respect to your financial accounts to Financial Services Bureau of Macao and they may exchange this information with tax authorities of another jurisdiction or jurisdictions pursuant to intergovernmental agreements to exchange financial account information. 若閣下之稅務居留地為澳門以外國家，本分行將依法申報此表格所載資料及若干財務資料給澳門財政局，澳門財政局將依與各稅務管轄區所簽訂的協議交換相關財務資訊。

This form will remain valid unless there is a change in circumstances relating to information, such as the Controlling Person's tax status or other mandatory field information, which makes this form incorrect or incomplete. In that case you must notify the Bank and provide an updated self-certification.

本表將持續有效，除非情況改變導致閣下的稅務狀況變動或本表必填欄位的資料不正確或不完整。在上述情況中閣下務必通知本分行，並提交最新的自證證明書。

This form is intended to request information consistent with 《The common reporting standard and due diligence procedures for financial account information》 of Macao.

本表係依澳門《金融帳戶信息的通用報送標準及盡職調查程序》要求設計以獲取所需資料。

Please fill in this form if the account holder is a Passive NFE, or an Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution.

若帳戶持有人為非實質營運的非金融實體，或位處不參與的司法管轄區並由另一家金融機構管理的投資公司，請填寫本表。

For joint or multiple controlling persons use a separate form for each controlling person.

如屬聯名或多個控制人，每名控制人請填寫一份獨立的表格。

Where you need to self-certify on behalf of an entity account holder, do not use this form. Instead, you will need an "Entity tax residency self-certification." (CRS-E) Similarly, if you're an individual account holder, sole trader or sole proprietor, then please complete an "Individual tax residency self-certification."

若閣下代表公司帳戶持有人作出自證證明，請勿填寫此表格，應填寫「實體稅務居留地自證證明書」(CRS-E)；若閣下為個人帳戶持有人或唯一交易商或獨資經營者，請填寫「個人稅務居留地自證證明書」(CRS-I)的表格。

If you're filling in this form on behalf of a controlling person, please tell us in what capacity you're signing in Part 4. For example, you may be the Passive NFE Account Holder, or completing the form under a power of attorney.

若閣下被授權填寫此份表格，請註明以什麼身份在第4部作出簽署。例如，閣下可能是非實質營運的非金融實體帳戶持有人，或者閣下可能是在簽署人授權下或根據授權書填寫表格。

As a financial institution, the Bank is not allowed to give tax advice.

身為一家金融機構，本分行不得提供稅務意見。

Your tax adviser may be able to assist you in answering specific questions on this form. Your domestic tax authority can provide guidance regarding how to determine your tax status. You can also find out more, including a list of jurisdictions that have signed agreements to automatically exchange information, along with details about the information being requested, on the OECD automatic exchange of information portal.

閣下對本表有任何疑問，請洽詢閣下的稅務顧問尋求建議或請當地稅務機關提供判定稅務居留地的指引。您也可以到OECD自動交換資料網站上找到更多資訊，包含簽署CRS協議的國家及提供資料的細節。

OECD automatic exchange of information portal: <https://www.oecd.org/tax/automatic-exchange/common-reporting-standard/>

Controlling Person tax residency self-certification FORM 控制人稅務居留地自證證明書
 (please complete Parts 1-4 in BLOCK CAPITALS) 請以正楷填寫第1-4部分

| Part 1 – Identification of a Controlling Person 第一部分 - 控制人身份識別資料 | |
|--|--|
| 【A】 Name of Controlling Person 控制人姓名 | |
| Name in Chinese 中文姓名* | (姓氏) (名字) |
| Name in English 英文姓名* | (Last Name or Surname) (First or Given Name) |
| 【B】 Macau Identity Card or Passport Number 澳門身份證或護照號碼 | |
| 【C】 Current Residence Address 現時居住地址 | |
| Line 1 (e.g. House/Apt/Suite Name, Number, Street, if any)* 地址1(例：室/樓/座/大廈/屋苑名稱/門牌號碼/街道) | |
| Line 2 (e.g. Town/City/Province/County/State)* 地址2(例：鄉鎮/城市/省/州) | |
| Country 國家* | Postal Code/ZIP Code (if any) 郵遞區號 |
| 【D】 Mailing Address: (please only complete if different to the address shown in Section C) 通訊地址 (如與居住地址不同時填寫) | |
| Line 1 (e.g. House/Apt/Suite Name, Number, Street) 地址1(例：室/樓/座/大廈/屋苑名稱/門牌號碼/街道) | |
| Line 2 (e.g. Town/City/Province/County/State) 地址2(例：鄉鎮/城市/省/州) | |
| Country 國家 | Postal Code/ZIP Code 郵遞區號 |
| 【E】 Date of Birth 生日* (dd日/mm月/yyyy年) | |
| 【F】 Place of Birth 出生地 | |
| Town or City of Birth 鄉鎮或城市 | Country of Birth 國家 |
| 【G】 Please enter the legal name of the relevant Entity Account Holder(s) of which you are a Controlling Person 請填寫閣下擔任控制人之實體名稱 | |
| Legal name of Entity 1 實體名稱1 | |
| Legal name of Entity 2 實體名稱2 | |
| Legal name of Entity 3 實體名稱3 | |
| Part 2 – Country/Jurisdiction of Residence for Tax Purposes and related Taxpayer Identification Number or equivalent number* (“TIN”) 第二部分 - 稅務居留地及稅務編號 * | |
| Please complete the following table indicating (i) where the Controlling Person is tax resident; (ii) the Controlling Person’s TIN for each country/jurisdiction indicated; and, (iii) if the Controlling Person is a tax resident in a country/jurisdiction that is a Reportable Jurisdiction(s) then please also complete Part 3 “Type of Controlling Person” . Countries/Jurisdictions adopting the wider approach may require that the self-certification include a tax identifying number for each country/jurisdiction of residence (rather than for each Reportable Jurisdiction). 請填寫下表，說明控制人之稅務居留地及其稅務識別號碼。控制人屬於申報稅務轄區之稅務居民，請填寫第3部分控制人類型。填寫資料時請填寫所有帳戶持有人之所有稅務居留地資料(不僅限於須匯報的管轄區)。 | |
| If the Controlling Person is tax resident in more than five countries/jurisdictions, please use a separate sheet 如帳戶持有人超過5項稅務居留地，請填寫於另一張表格。 | |
| If a TIN is unavailable please provide the appropriate reason A, B or C where indicated below: Reason A - The country/jurisdiction where the Controlling Person is resident does not issue TINs to its residents Reason B - The Account Holder is otherwise unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN in the below table if you have selected this reason) Reason C - No TIN is required. (Note. Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction) 若無法提供稅務識別號碼，請填入原因A、B或C： 原因A - 相關的稅務司法管轄區並無發出稅務識別號碼。 原因B - 帳戶持有人並無獲發稅務識別號碼。(選擇本項敬請說明原因) 原因C - 無須稅務識別號碼。(只有稅務司法管轄區的當地法律並不要求搜集稅務識別號碼方能選擇本項) | |

| Country/Jurisdiction of tax residence 國家或稅務居留地 | TIN 稅務識別號碼 | If no TIN available enter Reason A, B or C 無法提供稅務識別號碼原因A,B或C | Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選取原因B，請說明不能取得稅務編號的理由 |
|---|---------------|---|---|
| 1 | | | |
| 2 | | | |
| 3 | | | |
| 4 | | | |
| 5 | | | |

Part 3 – Type of Controlling Person 第三部份-控制人類型

(Please only complete this section if you are tax resident in one or more Reportable Jurisdictions)

如閣下為一個以上參與管轄區，請填寫以下部分

| Please provide the Controlling Person's Status by ticking the appropriate box. 請勾選控制人類型 | Entity 1 實體 1 | Entity 2 實體 2 | Entity 3 實體 3 |
|---|------------------|------------------|------------------|
| a. Controlling Person of a legal person – control by ownership 實體之控制人-以所有權控制 | | | |
| b. Controlling Person of a legal person – control by other means 實體之控制人-以其他形式控制 | | | |
| c. Controlling Person of a legal person – senior managing official 實體之控制人-以資深經理人形式控制 | | | |
| d. Controlling Person of a trust – settlor 信託之控制人-決策人 | | | |
| e. Controlling Person of a trust – trustee 信託之控制人-受託人 | | | |
| f. Controlling Person of a trust – protector 信託之控制人- 保護人 | | | |
| g. Controlling Person of a trust – beneficiary 信託之控制人-受益人 | | | |
| h. Controlling Person of a trust – other 信託之控制人-其他 | | | |
| i. Controlling Person of a legal arrangement (non-trust) – settlor-equivalent 法律安排之控制人(非信託)-相當決策人 | | | |
| j. Controlling Person of a legal arrangement (non-trust) – trustee-equivalent 法律安排之控制人(非信託)-相當受託人 | | | |
| k. Controlling Person of a legal arrangement (non-trust) – protector-equivalent 法律安排之控制人(非信託)-相當保護人 | | | |
| l. Controlling Person of a legal arrangement (non-trust) – beneficiary-equivalent 法律安排之控制人(非信託)-相當受益人 | | | |
| m. Controlling Person of a legal arrangement (non-trust) – other-equivalent 法律安排之控制人(非信託)-其他 | | | |

Part 4 – Declarations and Signature* 第四部分 - 聲明及簽署*

I have read the “Circular to Customers and Other Individuals relating to the Personal Data (Privacy) Ordinance” of Bank SinoPac Company Limited (website:[https:// bank.sinopac.com/sinopacBT/about/introduction/seabranh/branch-macao.html](https://bank.sinopac.com/sinopacBT/about/introduction/seabranh/branch-macao.html)) and 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 **Bank SinoPac Company Limited, Macau Branch** setting out how **Bank SinoPac Company Limited, Macau Branch** may use and share the information supplied by me.

本人已詳閱永豐商業銀行股份有限公司「個人資料保護通知書」(網址：[https:// bank.sinopac.com/sinopacBT/about/introduction/seabranh/branch-macao.html](https://bank.sinopac.com/sinopacBT/about/introduction/seabranh/branch-macao.html))，並已了解永豐商業銀行股份有限公司澳門分行提供

與帳戶持有人相關的所有條款與細則，及永豐商業銀行股份有限公司澳門分行可能會使用或分享本人提供之資訊。

I acknowledge that the information contained in this form and information regarding the Controlling Person and any Reportable Account(s) may be reported to the tax authorities of the country/jurisdiction in which this account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which the Controlling Person may be tax resident pursuant to intergovernmental agreements to exchange financial account information.

本人知悉本表中關於控制人之相關資訊可能會被匯報或交換予其他國家或稅務轄區之稅務機關，而該等國家（或該等國家的政府、監管或稅務機關）已簽訂跨政府交換財務賬戶資料協議。

I certify that I am the Controlling Person, or am authorized to sign for the Controlling Person, of all the account(s) held by the Entity Account Holder to which this form relates.

本人聲明為控制人本人或已獲得控制人授權代表簽署本表。

I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete.

本人聲明盡本人所知及所信，此表格所提供的資料均為正確及完整。

I undertake to advise **Bank SinoPac Company Limited, Macau Branch** 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 or incomplete, and to provide **Bank SinoPac Company Limited, Macau Branch** with a suitably updated self-certification and Declaration within **30 days** of such change in circumstances.

本人承諾，當發生任何環境變化導致第一部分所定義之個人其稅務居留地改變或致使此表格所載資料失實，將於變動發生後**30日**內通知永豐商業銀行股份有限公司澳門分行，並於變動後**30日**內提供更新的自證證明書。

Signature 簽署:* _____

Print name 姓名:* _____

Date 日期:* (dd日/mm月/yyyy年) _____

Note: If you are not the Controlling Person please indicate the capacity in which you are signing the form. If signing under a power of attorney, please also attach a certified copy of the power of attorney.

附註：如閣下非控制人請註明簽署表格的身份。若閣下根據授權書簽署，請檢附經鑑證的授權書副本。

Capacity 身份聲明:* _____