



# GREAT ROC

CAPITAL SECURITIES LIMITED

鴻鵬資本證券有限公司

A Wholly-owned subsidiary of UKF (Holdings) Limited (HKEX stock code 1468)  
英宏(控股)有限公司之全資附屬公司(香港交易所上市編號1468)

## Self-Certification Form - Individual

### 自我證明表格 - 個人

**PLEASE READ THESE INSTRUCTIONS BEFORE COMPLETING THE FORM. 填寫表格前，請先參閱下列指引。**

Regulations based on the Organisation for Economic Co-operation and Development ("OECD") Common Reporting Standard ("CRS") require Financial Institutions 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 website mentioned as below. 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).

根據經濟合作與發展組織(OECD/「經合組織」)共同匯報標準(COMMON REPORTING STANDARD/「CRS」)的法規，要求財務機構按照個人帳戶持有人的納稅居住地收集及匯報若干所需資料。每個司法管轄區均按其本身的規則釐定納稅居住地的定義，下列經合組織網站提供了有關如何確定相關納稅居住地的詳情。一般來說，納稅居住地是指您居住的國家。若干特別情況可能會導致您成為其他地方的居民，或同時成為超過一個國家的居民(多重居住地)。

If your tax residence (or the account holder, if you are completing the form on their behalf) is located outside Hong Kong Special Administrative Region ("HKSAR"), we may be legally obliged to pass on the information in this form and other financial information with respect to your financial accounts to Inland Revenue Department of the Government of the HKSAR and they may exchange this information with tax authorities of another jurisdiction or jurisdictions pursuant to intergovernmental agreements to exchange financial account information. 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.

若您的納稅居住地(或帳戶持有人，如您代其填寫自我證明表格)位處香港特別行政區以外，我們在法律上可能有責任把本自我證明表格內的資料及與您的財務帳戶有關的其他財務資料，轉交香港特別行政區稅務局(「稅務局」)。稅務局可以與另一個司法管轄區的稅務機關交換這些資料或根據政府間協議的司法管轄區交換財務帳戶資料。如果您是美國公民或根據美國法律的稅務居民，您應該在本表格上註明您是美國稅務居民及您可能還需要填寫美國國家稅務局W-9表格。有關納稅居住地的詳情，請諮詢您的稅務顧問，或瀏覽經合組織自動交換資料網站的資料。

You can find summaries of defined terms such as an account holder, and other terms, in the Appendix.

您可以在附錄中找到定義用語的摘要，如帳戶持有人和其他用語。

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

本自我證明表格將一直有效，直至出現與帳戶持有人的稅務狀況有關的情況變動為止。若出現任何可導致自我證明表格所提供的資料失實或不完整的情況變動，您必須通知我們，並提交最新的自我證明表格。

This form is intended to request information consistent with local law requirements.

本自我證明表格僅擬作要求提供資料之用，並符合當地法律。

Please fill in this form if you are an individual account holder, sole trader or sole proprietor.

如果您是個人帳戶持有人、唯一交易商或獨資經營者，請填寫本表格。

For joint or multiple account holders, use a separate form for each individual person.

如是聯名或多名帳戶持有人，各帳戶持有人必須各自填寫一份自我證明表格。

Where you need to self-certify on behalf of an entity account holder, do not use this form. Instead, you will need an "CRS Tax Residency Self-Certification Form – Entity". Similarly, if you are a controlling person of an entity, please fill in a "CRS Tax Residency Self-Certification Form – Controlling person" instead of this form.

如果您需要代表一個實體帳戶持有人進行自我證明，請不要使用本表格，您需要填寫「稅務居民身分自我證明表格 - 實體」。如果您是一個實體的控權人，請填寫「稅務居民身分自我證明表格 - 控權人」。

If you are filling in this form on behalf of someone else. Please tell us in what capacity you are signing in Part 3. For example, you may be the custodian or nominee of an account on behalf of the account holder, or you may be completing the form under a power of attorney.

如您代表其他人填寫本表格。請在第3部註明您簽署本表格的身分。例如，您可以代表帳戶持有人擔任帳戶的保管人或代理人，或您可以根據授權書填寫本表格。

A legal guardian should complete the form on behalf of an account holder who is a minor.

法定監護人應代表未成年的帳戶持有人填寫本表格。

**Please be noted that as a financial institution, we are not allowed to give tax advice.**

**作為一家金融機構，我們不得提供稅務意見。**

If you have any questions on how to define your tax residency status, please visit OECD website or consult your professional tax adviser. 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.

如對釐定您的納稅居住地狀況有任何疑問，請瀏覽經合組織網站，或諮詢您的專業稅務顧問。您的稅務顧問可以協助您回答本表格上的特定問題。您的當地稅務機關可以就如何釐定您的納稅狀況提供指引。

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.

您亦可在經合組織自動交換資料網站了解更多，包括已簽署自動交換資料協議的司法管轄區列表，以及有關被要求資料的詳情。

OECD website 經合組織網站：<https://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/>

OECD automatic exchange of information portal 經合組織自動交換資料網站：

<http://www.oecd.org/tax/transparency/automaticexchangeofinformation.htm>

## APPENDIX 附錄

### Appendix Summary Descriptions of Select Defined Terms

#### 附錄 名詞和措辭的釋義及摘要說明

Note: These are selected summaries of defined terms provided to assist you with the completion of this self-certification form. Further details can be found within the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information (the "CRS"), the associated Commentary to the CRS, and domestic guidance. This can be found at the OECD automatic exchange of information portal.

注意：此乃名詞和措辭的釋義及摘要說明，以幫助您完成本自我證明表格。您亦可在經合組織自動交換資料網站、共同匯報標準的相關評論及當地的指引，了解更多詳情。

If you have any questions then please contact your tax adviser or domestic tax authority.

如您有任何問題，請聯繫您的稅務顧問或當地稅務機關。

#### “Account Holder” 「戶口持有人」

The Account Holder is the person listed or identified as the holder of a financial account by the Financial Institution that maintains the account. This is regardless of whether such person is a flow-through Entity. Thus, for example, if a trust or an estate is listed as the holder or owner of a financial account, the trust or estate is the Account Holder, rather than the trustee or the trust's owners or beneficiaries. Similarly, if a partnership is listed as the holder or owner of a financial account, the partnership is the Account Holder, rather than the partners in the partnership.

指被維持該財務帳戶的財務機構列明為或識辨為帳戶的持有人的人士，不論該人士是否為過渡實體。所以，如果一個信託或遺產被列明為某財務戶口的持有人或擁有人，則戶口持有人是該信託或遺產，而非受託人、信託的擁有人或受益人。同樣地，如果一個合夥被列明為某財務戶口的持有人或擁有人，則戶口持有人是該合夥，而非合夥的合夥人。

A person, other than a Financial Institution, holding a financial account for the benefit or account of another person as agent, custodian, nominee, signatory, investment advisor, intermediary, or legal guardian, is not treated as the Account Holder. In these circumstances that other person is the Account Holder. For example in the case of a parent/child relationship where the parent is acting as a legal guardian, the child is regarded as the Account Holder.

除財務機構外，若有關人士以代理人、託管人、代名人、簽署人、投資顧問、中介人或合法監護人身份代其他人士持有財務戶口，他不會被視為戶口持有人。在這種情況下，戶口持有人應為該其他人士。以一個家長與子女開立的戶口為例，如戶口以家長為子女的合法監護人名義開立，子女會被視為戶口持有人。

With respect to a jointly held account, each joint holder is treated as an Account Holder.

聯名戶口內的每個持有人都被視為戶口持有人。

#### “Control” 「控權」

Control over an Entity is generally exercised by the natural person(s) who ultimately has a controlling ownership interest (typically on the basis of a certain percentage (e.g. 25%)) in the Entity. Where no natural person(s) exercises control through ownership interests, the Controlling Person(s) of the Entity will be the natural person(s) who exercises control of the Entity through other means. Where no natural person or persons are identified as exercising control of the Entity through ownership interests, the Controlling Person of the Entity is deemed to be the natural person who holds the position of senior managing official or exercises ultimate control over the management of the Entity.

自然人對某實體的控權通常透過其在實體的控制擁有權權益（典型地會按某個百分比（例如25%）為基準）行使。如沒有自然人透過擁有權權益行使控制，該實體的控權人將會是透過其他方式對該實體行使控制的自然人；如沒有自然人識辨為透過擁有權權益對某實體行使控制，該實體的控權人將會設定為處於高級行政人員位置或對該實體的管理行使最終控制權的自然人。

#### “Controlling Person” 「控權人」

Controlling Persons are the natural person(s) who exercise control over an Entity. Where that entity is treated as a Passive Non-Financial Entity ("Passive NFE") then a Financial Institution must determine whether such Controlling Persons are Reportable Persons. This definition corresponds to the term "beneficial owner" as described in Recommendation 10 and the Interpretative Note on Recommendation 10 of the Financial Action Task Force Recommendations (as adopted in February 2012).

控權人是對該實體行使控制權的自然人。如該實體被視為被動非財務實體，財務機構必須確定該控權人是否為可報告人士。此定義對應於打擊清洗黑錢財務行動特別組織的第10項建議及其相關解釋說明（2012年2月通過）。

In the case of a trust, the Controlling Person(s) are the settlor(s), the trustee(s), the protector(s) (if any), the beneficiary(ies) or class(es) of beneficiaries, or any other natural person(s) exercising ultimate effective control over the trust (including through a chain of control or ownership). The settlor(s), the trustee(s), the protector(s) (if any), and the beneficiary(ies) or class(es) of beneficiaries, must always be treated as Controlling Persons of a trust, regardless of whether or not any of them exercises control over the activities of the trust.

就信託而言，控權人指屬該信託的財產授予人、受託人、保護人（如有的話）、受益人或某類別受益人的成員的個人；或任何自然人對該信託的管理行使最終控制權（包括透過一連串的控制或擁有權）。財產授予人、受託人、保護人（如有的話）、受益人或某類別受益人的成員的個人會被視為信託的控權人，不論該等人士是否對該信託的活動行使控制權。

Where the settlor, trustee, protector or beneficiary of a trust are themselves Entities then the CRS requires Financial Institutions to also identify the Controlling Persons of the settlor trustee, protector or beneficiary and when required report them as Controlling Persons of the trust.

如該信託的財產授予人、受託人、保護人或受益人是實體，共同匯報標準亦要求財務機構識辨該財產授予人、受託人、保護人或受益人的控權人，並在需要時將其報告為該信託的控權人。

In the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions to those of a trust.

就非信託的法律安排，控權人指相等於或處於一個相類似信託的人士。

#### “Entity” 「實體」

The term "Entity" means a legal person or a legal arrangement, such as a corporation, organisation, partnership, trust or foundation. This term covers any person other than an individual (i.e. a natural person).

一詞指法人或法律安排，例如：法團、組織、合夥、信託或基金會。該詞涵蓋並非個人（即自然人）的人士。

#### “FATCA” 「外國帳戶稅收合規法案」

FATCA stands for the U.S. provisions commonly known as the Foreign Account Tax Compliance Act, which were enacted into U.S. law as part of the Hiring Incentives to Restore Employment (HIRE) Act on March 18, 2010. FATCA creates a new information reporting and withholding regime for payments made to certain non-U.S. financial institutions and other non-U.S. entities.

外國帳戶稅收合規法案於2010年3月18日頒佈為美國法律，作為《就業促進法案》的一部分。外國帳戶稅收合規法案對某些非美國財務機構和其他非美國實體的付款制定了新的資料報告和預扣制度。

### “Financial Account” 「財務帳戶」

A Financial Account is an account maintained by a Financial Institution and includes: Depository Accounts; Custodial Accounts; Equity and debt interest in certain Investment Entities; Cash Value Insurance Contracts; and Annuity Contracts.

是由財務機構維持的帳戶，包括：存款帳戶、託管帳戶、於某些投資實體的權益及債務利息、現金價值保險合約、年金合約。

### “Financial Institution” 「財務機構」

The term “Financial Institution” means a “Custodial Institution”, a “Depository Institution”, an “Investment Entity”, or a “Specified Insurance Company”. Please see the relevant domestic guidance and the CRS for further classification definitions that apply to Financial Institutions.

財務機構一詞指「託管機構」、「存款機構」、「投資實體」或「指明保險公司」。請參閱當地相關指引和共同匯報標準以了解適用於財務機構的進一步分類定義。

### “Participating Jurisdiction” 「參與稅務管轄區」

A Participating Jurisdiction means a jurisdiction with which an agreement is in place pursuant to which it will provide the information required on the automatic exchange of financial account information set out in the Common Reporting Standard and that is identified in a published list.

參與稅務管轄區指簽訂有關自動交換財務帳戶資料協議的司法管轄區，並按共同匯報標準自動交換財務帳戶資料。

A Participating Jurisdiction means a jurisdiction outside Hong Kong that is specified in Part 2 of Schedule 17E of the Inland Revenue Ordinance (Cap. 112).

參與稅務管轄區指稅務條例(第112章)附表17E第2部所指明的、在香港以外的稅務管轄區。

### “Reportable Account” 「可報告帳戶」

The term “Reportable Account” means an account held by one or more Reportable Persons or by a Passive NFE with one or more Controlling Persons that is a Reportable Person.

可報告帳戶一詞是指由一個或多於一個可報告人士持有的帳戶，或由一個或多於一個是可報告人士的控權人行使控制權的被動非財務實體持有的帳戶。

### “Reportable Jurisdiction” 「可報告管轄區」

A Reportable Jurisdiction is a jurisdiction with which an obligation to provide financial account information is in place and that is identified in a published list.

可報告管轄區可報告管轄區是指一個參與稅務管轄區並有責任提供財務帳戶資料的司法管轄區。

### “Reportable Person” 「可報告人士」

Reportable Person is an individual/entity that is tax resident in a Reportable Jurisdiction under the laws of that jurisdiction. The Account Holder will normally be the Reportable Person.

可報告人士是根據該司法管轄區的法律為可報告管轄區的個人/實體稅務居民。帳戶持有人通常是可報告人士。

An Entity such as a partnership, limited liability partnership or similar legal arrangement that has no residence for tax purposes shall be treated as resident in the jurisdiction in which its place of effective management is situated. As such if an Entity certifies that it has no residence for tax purposes it should complete the form stating the address of its principal office. In the case of an Account Holder that is a Passive NFE, a Reportable Person also includes any Controlling Persons who are tax resident in a Reportable Jurisdiction. Dual resident individuals/entities may rely on the tiebreaker rules contained in tax conventions (if applicable) to determine their residence for tax purposes.

沒有納稅居住地的實體，如合夥、有限責任合夥或類似的法律安排的實體，應被視為其有效管理地點所在司法管轄區的稅務居民。如實體證明其沒有納稅居住地，則應在表格填寫其主要營業地址。如帳戶持有人是被動非財務實體，可報告人士包括在可報告管轄區為稅務居民的任何控權人。擁有多重居民身份的個人/實體可以依賴稅收公約中包含的居住關連切斷原則（如適用）以確定其納稅居住地。

### “TIN” (including “functional equivalent”) 「稅務編號」

The term “TIN” means Taxpayer Identification Number or a functional equivalent in the absence of a TIN. A TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual or an Entity and used to identify the individual or Entity for the purposes of administering the tax laws of such jurisdiction. Further details of acceptable TINs can be found at the OECD automatic exchange of information portal:

<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>

稅務編號（包括具有等同功能的識別編號）一詞指納稅人的識別編號或具有等同功能的識別編號（如無納稅人的識別編號）。稅務編號是稅務管轄區向個人或實體分配獨有的字母與數字組合，用於識別個人或實體的身分，以便實施該稅務管轄區的稅務法律。有關可接受的稅務編號的更多詳細資訊刊載於經濟合作與發展組織的自動交換資料網站：

<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>

Some jurisdictions do not issue a TIN. However, these jurisdictions often utilise some other high integrity number with an equivalent level of identification (a “functional equivalent”). Examples of that type of number include:

某些稅務管轄區不發出稅務編號。但是，這些稅務管轄區通常使用具有等同識別功能的其他完整號碼（「具有等同功能的識別號碼」）。此類號碼的例子包括：

(a) (for individuals) a social security/insurance number, citizen/personal identification/service code/number, and resident registration number.

就個人而言，社會安全號碼/保險號碼、公民/個人身份/服務代碼/號碼，以及居民登記號碼。

(b) (for Entities) a Business/company registration code/number.

就實體而言，商業/公司登記代碼/號碼。

**Disclaimer: The information and interpretations provided in this Appendix is for general reference only. It does not provide an exhaustive guide to the application of the Inland Revenue Ordinance (Cap.112) (the “Ordinance”). For a complete and definitive statement of law, direct reference should be made to the Ordinance itself. Great Roc Capital Securities Limited makes no express or implied warranties of accuracy or fitness for a particular purpose of use with respect to the information and interpretations set out in this Appendix. You are advised to seek legal advice if necessary.**

**免責聲明：本附錄提供的資料及解釋僅供參考。本附錄並不在就《稅務條例》（第 112 章）（「條例」）提供詳盡無遺的指引。如您須要取得有關法律條文的確切陳述，您應直接參考條例。鴻鵬資本證券有限公司並無就本附錄所載的為特定目的或用途列出的資料及解釋的準確性或質素作出明示或默示的保證。如有必要，您應尋求法律意見。**

*中文譯本僅供參考，所有內容以英文版本為準。*

*Chinese translation is for reference only. English version shall prevail in actuality.*



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電郵 Email: [settlement@greatroc.com.hk](mailto:settlement@greatroc.com.hk)  
網站 Website: [www.greatroc.com.hk](http://www.greatroc.com.hk)

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

(Applicable to Automatic Exchange of Financial Account Information ("AEOI") and Foreign Account Tax Compliance Act ("FATCA"))  
(適用於自動交換財務帳戶資料「AEOI」及美國外國帳戶稅務合規法案「FATCA」)

Please complete this Form in ENGLISH BLOCK CAPITALS. (Fields marked with an asterisk [\*] are mandatory)  
請務必使用英文正楷填寫本自我證明表格。(必須填寫標有星號[\*]的項目)

| Part 1 Identification of Individual Account Holder<br>第1部 個人帳戶持有人的身分識辨資料                |  |
|---|--|
| <b>A. Name of Account Holder 帳戶持有人的姓名</b>   |  |
| Title: (e.g. Mr, Mrs, Ms, Miss):<br>稱謂 (例如: 先生、太太、女士、小姐)                                |  |
| Family Name or Surname(s):*<br>姓氏   |  |
| First or Given Name:*<br>名字   |  |
| Middle Name(s):<br>中間名  |  |
| <b>B. HKID/Passport No. 香港身份證 / 護照號碼:</b>   |  |
| <b>C. Current Residence Address 現時住址</b>  |  |
| Line 1 (e.g. House/Apt/Suite Name, Number, Street):*<br>第1行 (例如: 室、樓層、大廈、街道)            |  |
| Line 2 (e.g. Town/City/Province/County/State)*:<br>第2行 (例如: 城市、省、州)                     |  |
| Country:*<br>國家   |  |
| Postal Code/ZIP Code (if any):*<br>郵政編碼 / 郵遞區號碼 (如適用)                                   |  |
| <b>D. Mailing Address 通訊地址 (If different to the current residence address 如與現時住址不同)</b> |  |
| Line 1: (e.g. House/Apt/Suite Name, Number, Street)<br>第1行 (例如: 室、樓層、大廈、街道)             |  |
| Line 2: (e.g. Town/City/Province/County/State)<br>第2行 (例如: 城市、省、州)                      |  |
| Country:<br>國家  |  |
| Postal Code/ZIP Code:<br>郵政編碼 / 郵遞區號碼   |  |
| <b>E. Date of Birth</b><br>(dd/mm/yyyy 日/月/年):*   | DD 日 / MM 月 / YYYY 年<br>____ / ____ / ____ |
| <b>F. Place of Birth 出生地點</b>   |  |
| Town or City of Birth:*<br>出生城市   |  |
| Country of Birth:*<br>出生國家  |  |

| Part 2 Country/Jurisdiction of Residence for Tax Purposes and related Taxpayer Identification Number or Equivalent number * ("TIN") (See Appendix)  |   |  |   |   |   |   |  |  |  |   |  |  |  |   |  |  |  |   |  |  |  |   |  |  |  |
|---|---|--|---|---|---|---|--|--|--|---|--|--|--|---|--|--|--|---|--|--|--|---|--|--|--|
| 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」）（見附錄）   |   |  |   |   |   |   |  |  |  |   |  |  |  |   |  |  |  |   |  |  |  |   |  |  |  |
| <p>Please complete the following table indicating (i) where the Account Holder is tax resident and (ii) the Account Holder's TIN for each country/jurisdiction indicated. 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).</p> <p>請提供以下資料，列明（i）帳戶持有人的居留司法管轄區及（ii）該國家／居留司法管轄區發給帳戶持有人的稅務編號。採用更廣泛方法的國家／司法管轄區可能要求自我證明包括每個國家／居住管轄區的稅務識別號碼（而不是每個可報告的司法管轄權）。</p> <p><b>If the Account Holder is a tax resident of Hong Kong or China, the Identity Card Number will be equivalent to TIN.</b><br/>如帳戶持有人的香港或中國稅務居民，稅務編號是其身份證號碼。</p> <p><b>If the Account Holder is tax resident in more than three countries/jurisdictions, please use a separate sheet</b><br/>如帳戶持有人的稅務居民是超過3個國家／居留司法管轄區的稅務居民，請使用另一張單獨表格填寫。</p> <p>If a TIN is unavailable please provide the appropriate reason <b>A, B or C</b> where indicated below:<br/>如未能提供稅務編號，必須填寫合適的理由 A, B 或 C：</p> <p><b>Reason A</b> – The country/jurisdiction where the Account Holder is resident does not issue TINs to its residents<br/><b>理由 A</b> 帳戶持有人的國家／居留司法管轄區並沒有向其居民發出稅務編號。</p> <p><b>Reason B</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)<br/><b>理由 B</b> 帳戶持有人不能取得稅務編號。（如選取這一理由，解釋帳戶持有人不能取得稅務編號的原因。）</p> <p><b>Reason C</b> – 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)<br/><b>理由 C</b> 帳戶持有人毋須提供稅務編號。（這理由只適用於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。）</p> <table border="1"> <thead> <tr> <th>Country / Jurisdiction of tax residence<br/>國家 / 居留司法管轄區</th> <th>Tax Identification Number ("TIN")<br/>稅務編號</th> <th>If no TIN available enter Reason A, B or C<br/>如未能提供稅務編號，請別選理由 A、B 或 C</th> <th>Explain why the account holder is unable to obtain a TIN if you have selected Reason B<br/>如選取理由 B，請解釋控權人未能取得稅務編號的原因</th> </tr> </thead> <tbody> <tr> <td>1</td> <td></td> <td><input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C</td> <td></td> </tr> <tr> <td>2</td> <td></td> <td><input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C</td> <td></td> </tr> <tr> <td>3</td> <td></td> <td><input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C</td> <td></td> </tr> <tr> <td>4</td> <td></td> <td><input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C</td> <td></td> </tr> <tr> <td>5</td> <td></td> <td><input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C</td> <td></td> </tr> </tbody> </table> |   | Country / Jurisdiction of tax residence<br>國家 / 居留司法管轄區                          | Tax Identification Number ("TIN")<br>稅務編號   | If no TIN available enter Reason A, B or C<br>如未能提供稅務編號，請別選理由 A、B 或 C | Explain why the account holder is unable to obtain a TIN if you have selected Reason B<br>如選取理由 B，請解釋控權人未能取得稅務編號的原因 | 1 |  | <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C |  | 2 |  | <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C |  | 3 |  | <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C |  | 4 |  | <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C |  | 5 |  | <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C |  |
| Country / Jurisdiction of tax residence<br>國家 / 居留司法管轄區   | Tax Identification Number ("TIN")<br>稅務編號 | If no TIN available enter Reason A, B or C<br>如未能提供稅務編號，請別選理由 A、B 或 C            | Explain why the account holder is unable to obtain a TIN if you have selected Reason B<br>如選取理由 B，請解釋控權人未能取得稅務編號的原因 |   |   |   |  |  |  |   |  |  |  |   |  |  |  |   |  |  |  |   |  |  |  |
| 1   |   | <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C |   |   |   |   |  |  |  |   |  |  |  |   |  |  |  |   |  |  |  |   |  |  |  |
| 2   |   | <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C |   |   |   |   |  |  |  |   |  |  |  |   |  |  |  |   |  |  |  |   |  |  |  |
| 3   |   | <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C |   |   |   |   |  |  |  |   |  |  |  |   |  |  |  |   |  |  |  |   |  |  |  |
| 4   |   | <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C |   |   |   |   |  |  |  |   |  |  |  |   |  |  |  |   |  |  |  |   |  |  |  |
| 5   |   | <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C |   |   |   |   |  |  |  |   |  |  |  |   |  |  |  |   |  |  |  |   |  |  |  |

| Part 3 FATCA<br>第3部   |
|---|
| <p>Definition: The term U.S. person or United States person means a person described in section 7701(a)(30) of the Internal Revenue Code. The term "United States person" means – (A) a citizen or resident of the United States. For details, please refer to US IRD website (<a href="http://www.irs.gov/">http://www.irs.gov/</a>).</p> <p>定義：美國人指根據美國稅務法第7701(a)(30)所指的人。詞彙「美國人」指- (A) 美國的公民或居民。詳情請參閱美國國家稅務局網站 (<a href="http://www.irs.gov/">http://www.irs.gov/</a>)。</p> <p>Tick one of the appropriate boxes. 在其中一個適當的方格內加上 √ 號。</p> <p><input type="checkbox"/> I confirm that I am not a U.S. person in the U.S. for tax purposes.<br/>本人確認，本人就課稅目的而言並非美國人。</p> <p><input type="checkbox"/> I confirm that I am a U.S. person in the U.S. for tax purposes (Green Card Holder or resident under the substantial presence test)<br/>本人確認，本人就課稅目的而言為美國人（綠卡持有人或根據實質居留測試被定性為居民）。</p> <p><input type="checkbox"/> I confirm that I was born in the U.S. (or U.S. territory) but am no longer a U.S. citizen as I have voluntarily surrendered my citizenship as evidenced by the Certificate of Loss of Nationality of the United States.<br/>本人確認，本人在美國（或美國境內）出生但不再屬於美國公民，原因是本人自願放棄本人的公民身份，並以美國「喪失原有國籍證明」為憑證。</p> <p>The substantial presence test is generally met with respect to any calendar year if (i) the individual is present in the U.S. at least 31 days during such year and (ii) the sum of the number of days in which such individual is present in the U.S. during such year, 1/3 of the number of such days during the first preceding year, and 1/6 of the number of such days during the second preceding year, equals or exceeds 183 days.<br/>如就任何曆年有下列情況，一般即屬已通過實質居留測試：(i) 該名個人在該年度內在美國居留至少31天；及 (ii) 該名個人在該年度內在美國居留的天數，與其在前一年度內居留天數的三分之一及再前一個年度內居留天數的六分之一的總和，相等於或超過183天。</p> |

**Part 4 Declarations and Signature\***  
**第 4 部 聲明及簽署**

I understand that the term "U.S. person" means any citizen or resident of the United States.

本人明白所謂「美國人」是指任何美國公民或居民。

I 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 Great Roc Capital Securities Limited ("GRCS") setting out how GRCS may use, share, transfer and retain the information supplied by me.

本人明白及同意本人所提供的資料可按照帳戶持有人與鴻鵬資本證券有限公司（「鴻鵬資本」）簽訂的客戶協議所載的條款和條件而使用、分享、轉交及保存。

I acknowledge that the information contained in this form and information regarding the Account Holder and any Reportable Account(s) may be provided 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 Account Holder may be tax resident pursuant to intergovernmental agreements to exchange financial account information.

本人承諾本表格中包含的資料以及有關帳戶持有人和任何須予申報帳戶的資料可以提供予與保持該帳戶的國家 / 司法管轄區的稅務機關，及與另一個國家 / 司法管轄區或根據政府間協議帳戶持有人可能是稅務居民的國家 / 司法管轄區的稅務機關交換財務帳戶資料。

I certify that I am the Account Holder (or am authorised to sign for the Account Holder) of all the account(s) to which this form relates.

本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人（或是獲帳戶持有人授權簽署代表）。

**I declare that the information provided in and all statements made in this form are, to the best of my knowledge and belief, correct, accurate and complete.**

本人聲明盡本人所知及確信，此自我證明表格所提供的所有資料和聲明均屬真實、準確及完整。

I undertake to advise GRCS 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 GRCS with a suitably updated self-certification and Declaration 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或不完整，本人會通知鴻鵬資本，並會在情況發生改變後30日內，向鴻鵬資本提交一份已適當更新的自我證明表格。

Signature:\*

簽署

Print Name:\*

姓名

Date: (dd/mm/yyyy)\*

日期 (日 / 月 / 年)

Note: If you are not the Account Holder, 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.

注意：如您不是第1部所述的帳戶持有人，請註明您簽署本自我證明表格的身分。如您是以受權人身分簽署這份表格，請同時附上該授權書的核證副本。

Capacity:\*

身分

**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。**