



SDG Securities (HK) Limited (CE Number: BMB958) 山金證券(香港)有限公司(中央編號: BMB958)

Self-Certification Form – Controlling Person 自我證明表格—控權人

Warning 警告

It is an offence under section 80(2E) of the Inland Revenue Ordinance (“IRO”) 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). 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。

Important Note 重要提示

- ◆ This is a self-certification form provided by a controlling person to SDG Securities (HK) Limited (“SDGS”) for the purpose of automatic exchange of financial account information. The data collected may be transmitted by SDGS to the Inland Revenue Department for transfer to the tax authority of another jurisdiction. 這是由控權人向山金證券(香港)有限公司(「山金證券」)提供的自我證明表格，以作自動交換財務帳戶資料用途。山金證券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。
- ◆ A controlling person should report all changes in his/her tax residency status to SDGS. 如控權人的稅務居民身份有所改變，應盡快將所有變更通知山金證券。
- ◆ 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 SDGS 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(*)的項目為山金證券須向稅務局申報的資料。

Instruction 指引

Pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance, please provide all of your jurisdiction of residence and taxpayer identification number or its functional equivalent (“TIN”). If a TIN is unavailable, provide the appropriate reason A, B or C: 根據《稅務條例》有關交換財務帳戶資料的法律條文，請提供閣下所有的居留司法管轄區及稅務編號或具有等同功能的識辨編號(「稅務編號」)。如沒有提供稅務編號，必須填寫合適的理由：

- ◆ **Reason A** – The jurisdiction where the controlling person is a resident for tax purposes 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** – The controlling person is unable to obtain a TIN. Explain why the controlling person is unable to obtain a TIN if you have selected this reason. 理由 B—控權人不能取得稅務編號。如選取這一理由，解釋控權人不能取得稅務編號的原因。
- ◆ **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 C—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。

Identification of Controlling Person 控權人的身份識辨資料

Title 稱謂

Mr 先生

Mrs 太太

Miss 小姐

Ms 女士

English Name 英文姓名

Surname 姓 *

Given Name 名 *

Chinese Name 中文姓名

Surname 姓 *

Given Name 名 *

ID/Passport Number 身份證 / 護照號碼

Date of Birth (dd/mm/yyyy) 出生日期 (日 / 月 / 年) *

Place of Birth 出生地點

Residential Address 住宅地址 *

Correspondence Address (complete if different to the residential address) 通訊地址 (如與住宅地址不同，填寫此欄)

(“Controlling Person”) (「控權人」)

Jurisdiction of Residence and TIN 居留司法管轄區及稅務編號 *	
Tax Residence (choose all that apply) 稅務居民 (選擇所有適用選項) <input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> PRC 中國 <input type="checkbox"/> Other jurisdiction 其他居留司法管轄區	
<i>Please complete the following if you hold tax residence of other jurisdiction. If you have more than one tax residence of other jurisdiction, please attach and sign extra self-certification. 請填寫以下如閣下為其他居留司法管轄區稅務居民。如閣下持有有多於一個其他居留司法管轄區稅務居民資格，請另附自我證明及簽署。</i>	
Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號
Select Reason A, B or C if No TIN is Available 如沒有提供稅務編號，選擇理由 A、B 或 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	
Explain Why You are Unable to Obtain a TIN if You have Selected Reason B 如選取理由 B，解釋不能取得稅務編號的原因	

Related Entity Account Holder and Controlling Person Type 相關實體帳戶持有人及控權人類別	
Entity Account Holder Name 實體帳戶持有人名稱	
Controlling Person Type 控權人類別 <i>Choose the most appropriate option 選擇最合適的選項</i>	
Legal Person 法人	<input type="checkbox"/> Individual who has a controlling ownership interest (i.e. more than 25% of issued share capital) 擁有控制股權的個人 (即擁有超過百分之二十五的已發行股本) <input type="checkbox"/> Individual who exercises control/is entitled to exercise control through other means (i.e. more 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 (即擁有超過百分之二十五的表決權) <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 / 對該實體的管理行使最終控制權的個人
Trust 信託	<input type="checkbox"/> Settlor 財產授予人 <input type="checkbox"/> Trustee 受託人 <input type="checkbox"/> Protector or enforcer 保護人或執行人 <input type="checkbox"/> Beneficiary or member of the class of beneficiaries 受益人或某類受益人的成員 <input type="checkbox"/> Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector or enforcer/beneficiary) 其他 (例如：如財產授予人 / 受託人 / 保護人或執行人 / 受益人為另一實體，對該實體行使控制權的個人)
Legal Arrangement other than Trust 除信託以外的法律安排	<input type="checkbox"/> 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"/> 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"/> Individual in a position equivalent/similar to protector or enforcer 處於相等 / 相類於保護人或執行人位置的個人 <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受益人的成員位置的個人 <input type="checkbox"/> Other (e.g. individual who exercises control over another entity being equivalent/similar to the settlor/trustee/protector or enforcer/beneficiary) 其他 (例如：如處於相等 / 相類於財產授予人 / 受託人 / 保護人或執行人 / 受益人為另一實體，對該實體行使控制權的個人)

Controlling Person Declaration 控權人聲明

- ◆ I acknowledge and agree that: (a) the information contained in this form is collected and may be kept by SDGS for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the controlling person and any reportable account(s) may be reported by SDGS 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 controlling person may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the IRO. 本人知悉及同意·山金證券可根據《稅務條例》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)把該等資料和關於控權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·從而把資料轉交到控權人的居留司法管轄區的稅務當局。
- ◆ I undertake to advise SDGS of any change in circumstances which affects the tax residency status of the individual identified in this form or causes the information contained herein to become incorrect, and to provide SDGS with suitably updated information within thirty (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個人的稅務居民身份·或引致本表格所載的資料不正確·本人會通知山金證券·並會在情況發生改變後三十(30)日內·向山金證券提交已適當更新的資料。
- ◆ 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。

Signed by Controlling Person 控權人簽署

Name 姓名
Date (dd/mm/yyyy) 日期 (日/月/年)
For Internal Use Only 內部專用
Approval 審批
Checked by Licensed Person

持牌人檢查

Date: 日期:

Data Inputted by Settlement Officer

結算主任輸入資料

Date: 日期:

Inputted Data Checked by Settlement Officer

結算主任檢查已輸入資料

Date: 日期:

Approved by Responsible Officer

負責人員審批

Date: 日期:

Approved by Chief Operating Officer

營運總監審批

Date: 日期: