



Self-Certification Form – Entity

自我證明表格 – 實體

Policy No. _____

保單編號 _____

Important Notes 重要提示：

- This self-certification should be completed only by an entity (including a trust or a company) that is an applicant / policyholder / beneficiary ("account holder").
- This is a self-certification provided by an account holder to Heng An Standard Life (Asia) Limited ("Company") for the purpose of automatic exchange of financial account information ("AEOI") and the U.S. Foreign Account Tax Compliance Act ("FATCA"). The data collected may be transmitted by the Company to the Inland Revenue Department ("IRD") or any other relevant domestic or foreign tax authority for transfer to the tax authority of another jurisdiction. The data collected may be transmitted by the Company to the U.S. Internal Revenue Service ("IRS"). The Company may be required under FATCA to impose withholding tax on certain policy payments.
- An account holder must report any change in its tax residence status or other any material change in this form to the Company within 30 days of that change.
- Please see the IRD website for the definitions of the terms used in this form and further guidance on AEOI in Hong Kong: http://www.ird.gov.hk/eng/tax/dta_aeoi.htm.
- Please see the agreement between Hong Kong and the United States for the implementation of FATCA in Hong Kong: <http://www.fstb.gov.hk/fsb/topical/doc/HK-USIGA.pdf>.
- 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 this form will not be updated in company record. Please submit "Change of Personal Information/ Beneficiary Designation Form" to the Company if there is any update of your personal information.
- 本身自我證明表格應由具有申請人、保單持有人或受益人（以下簡稱為「帳戶持有人」）身份的實體（包括信託和公司）填寫。
- 這是實體帳戶持有人根據自動交換財務帳戶資料以及美國《海外帳戶稅收合規法案》的規定，向恒安標準人壽（亞洲）有限公司（以下簡稱為「恒安標準人壽亞洲」）提供的自我證明表格。恒安標準人壽亞洲可把收集所得的資料交給香港特別行政區稅務局或者其他相關的本地或海外稅務部門，用於轉交給另一稅務管轄區稅務部門。恒安標準人壽亞洲亦可將收集所得的資料交給美國國稅局。恒安標準人壽亞洲可能須按照美國《海外帳戶稅收合規法案》的要求，對部分保單款項代扣預扣稅。
- 如實體帳戶持有人的稅務居住地有所改變，應在變更發生後三十天內將所有變更通知恒安標準人壽亞洲。
- 關於本表格中所用詞彙的定義，以及自動交換財務帳戶資料的指引詳情，請見稅務局網頁：http://www.ird.gov.hk/chi/tax/dta_aeoi.htm。
- 香港特別行政區與美國關於在香港實施《海外帳戶稅收合規法案》的協議，請見：<http://www.fstb.gov.hk/fsb/topical/doc/HK-USIGA.pdf>。
- 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敷應用，可另紙填寫。
- 此表格的資料不會用作更新本公司之紀錄。如需更新任何個人資料，請另行遞交「更改個人資料及指定受益人申請表格」予本公司。

Part 1 第 1 部分 Identification of Entity Account Holder 實體帳戶持有人的身份識別資料

(For joint or multiple account holders, complete a separate form for each individual account holder.)
(聯名帳戶之每一名帳戶持有人，請各自填寫一份自我證明表格。)

Legal Name of Entity or Branch

實體或實體分支機構的法定名稱

Jurisdiction of Incorporation or Organisation

實體成立為法團或設立所在的稅務管轄區

Hong Kong Business Registration Number

香港商業登記號碼

Current Business Address 現時住址

Line 1 (e.g. Suite, Floor, Building, Street, District)

第 1 行 (例如：室、樓層、大廈、街道、地區)

Line 2 (City) 第 2 行 (城市)

Line 3 (e.g. Province, State) 第 3 行 (例如：省、州)

Country 國家

Post Code/ZIP Code 郵政編碼 / 郵遞區號碼

Mailing Address 通訊地址 (Complete if different to the current residence address) (如通訊地址與現時住址不同，請填寫此欄)

Line 1 (e.g. Suite, Floor, Building, Street, District)

第 1 行 (例如：室、樓層、大廈、街道、地區)

Line 2 (City) 第 2 行 (城市)

Line 3 (e.g. Province, State) 第 3 行 (例如：省、州)

Country 國家

Post Code/ZIP Code 郵政編碼 / 郵遞區號碼

Part 2 第 2 部分 Entity Type 實體類別

Tick one of the appropriate boxes and provide the relevant information.
在其中一個適當的方格內加上 ✓ 號，並提供有關資料。

Financial Institution 財務機構	☐ Custodial Institution, Depository Institution or Specified Insurance Company 託管機構、存款機構或指明保險公司 ☐ 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：擁有酌情管理投資實體資產的權力）並位於非參與稅務管轄區的投資實體 If the entity is a Financial Institution, please provide the entity's Global Intermediary Identification Number ("GIIN") obtained for FATCA purposes: _____ 如果有關實體屬於財務機構，請提供其根據《海外帳戶稅收合規法案》的規定取得的全球中介人識別編號：_____
Active NFE 主動非財務實體	☐ NFE the stock of which is regularly traded on _____, which is an established securities market 其股票在 _____ (一個具規模證券市場) 被經常買賣的主動非財務實體 ☐ Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market _____ 之關聯主動非財務實體，而前者的股票在 _____ (一個具規模證券市場) 被經常買賣 ☐ 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 ☐ Active NFE other than the above (Please specify _____) 除上述以外的主動非財務實體 (請註明：_____)
Passive NFE 被動非財務實體	☐ 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 ☐ NFE that is not an active NFE 不屬主動非財務實體的非財務實體

Part 3 Controlling Persons (Complete this part if the entity account holder is a passive NFE) 第 3 部分 控權人 (如貴機構為被動非財務實體，請填妥本部分)

Indicate the name of all controlling person(s) of the account holder in the table below.

In general, the term "controlling persons" means the natural persons who exercise control over an entity. In the case of a trust, such term means the settlor, the trustee (if the trustee is an individual), the protector, the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions. In addition, any person who owns or controls directly or indirectly 25% or more of the entity must be identified as a controlling person. 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.

請貴機構在下列表格中填寫帳戶持有人的所有控權人。

一般而言，「控權人」指對實體行使控制權的自然人。就信託而言，「控權人」則指財產授予人、受託人（如果受託人為個人）、保護人、受益人（含個別受益人或類別受益人）和其他對信託行使最終及有效控制權的個人；就其他非信託法律安排而言，則指任何持有相當或相似地位的人士。此外，對於任何對實體直接或間接擁有百分之二十五或以上控制權的人士，必須視作控權人，並在下列表格中列明。如果無任何自然人對法團實體行使控制權，任何在該實體擔任高級管理人員的人士將被視為控權人。

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

You must complete a "Self-Certification Form – Controlling Person" for each controlling person.
貴機構必須就每一名控權人填寫一份「自我證明表格 – 控權人」。

Part 4 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN")

第 4 部分 稅務居住地及稅務編號或具有同等識別功能的編號 (以下簡稱為「稅務編號」)

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. Indicate **all** (not restricted to five) jurisdictions of residence.

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number.

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

If a TIN is unavailable, provide the appropriate reason A, B or C:

Reason A – The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

Reason B – The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.

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.

請填妥下列表格，並列明 (一) 控股戶持有人的**稅務居住地**，亦即帳戶持有人的稅務管轄區 (香港包括在內) 及 (二) 該稅務居住地給予帳戶持有人的稅務編號。請列出貴機構所屬的**所有** (不限於五個) 稅務居住地。

如帳戶持有人是香港稅務居民，稅務編號是其香港商業登記號碼。

如帳戶持有人不屬於任何稅務管轄區的稅務居民 (例如財政透明)，請列明帳戶持有人實際管理機構的所在地。

如沒有提供稅務編號，必須填寫合適的理由：

理由 A – 帳戶持有人的稅務居住地並沒有向其居民發出稅務編號。

理由 B – 帳戶持有人不能取得稅務編號。如選取這一理由，請提供帳戶持有人不能取得稅務編號的原因。

理由 C – 帳戶持有人毋須提供稅務編號。稅務居住地的主管機關不需要帳戶持有人披露稅務編號。

Jurisdiction of Residence 稅務居住地	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號，填寫 理由 A、B 或 C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選擇理由 B，請提供帳戶持有人 不能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			
(5)			

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

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the Company for the purpose of automatic exchange of financial account information under AEOI and FATCA; (b) such information and information regarding the account holder, the controlling person and any reportable account(s) may be reported by the Company to the IRD or any other domestic or foreign tax authority 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) and the applicable AEOI rules; and (c) such information and information regarding the account holder and any reportable account(s) may be reported by the Company to the IRS.

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

I waive all rights I have, if any, to prohibit or restrict disclosure of information as required under AEOI, FATCA and the applicable domestic and foreign laws and regulations.

I agree with the terms and conditions as stated in this form, including but not limited to the Company's reporting of any information included in this form and any account information to any domestic and foreign tax authority and imposing FATCA withholding tax on certain policy payments.

I undertake to advise the Company of any change in circumstances which affects the tax residence status of the entity identified in Part 1 of this form, or causes the information contained herein to become incorrect, and to provide the Company with a suitably updated self-certification form within 30 days of such change in circumstances.

本人確認及同意：(一) 恒安標準人壽亞洲可收集并備存本表格所載資料，用作根據有關交換財務帳戶資料和美國《海外帳戶稅收合規法案》的規定，進行自動交換財務帳戶資料；(二) 恒安標準人壽亞洲可向香港特別行政區政府稅務局或者其他本地或海外稅務部門申報本表格所載資料和關於帳戶持有人、控權人及任何須申報帳戶的資料，並根據《稅務條例》(香港法例第一百一十二章)中有關交換財務帳戶資料的規定和適用的自動交換財務帳戶資料規則，將資料轉交至帳戶持有人所屬的其他稅務居住地之稅務部門；及(三) 恒安標準人壽亞洲可向美國國稅局申報本表格所載資料以及關於帳戶持有人和任何須申報帳戶的資料。

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者本人已獲帳戶持有人授權簽署本表格。

本人放棄，本人所擁有的關於禁止或限制任何根據自動交換財務帳戶資料、美國《海外帳戶稅收合規法案》或其他本地或海外法律的規定而進行的資料披露之全部權利(如有)。

本人同意本表格上所載的條款，其中包括但不限於恒安標準人壽亞洲可向本地或海外稅務部門申報本人的個人資料，和根據美國《海外帳戶稅收合規法案》的規定對部分保單款項代扣預扣稅。

本人承諾，如情況發生改變，以致影響本表格第 1 部分所述的個人的稅務居民身份，或導致本表格所載的資料變得不正確，本人會通知恒安標準人壽亞洲，並會在情況發生改變後三十日內，向恒安標準人壽亞洲提交一份已適當更新的自我證明表格。

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。

Signature 簽署

Name 姓名

Capacity* 簽署人身份 *

Date 日期 (dd 日 /mm 月 /yyyy 年)

* For example, director or officer of a company, partner of a partnership, trustee of a trust etc.

* 如公司董事、職員、合夥中的合夥人和信託中的信託人等。

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a 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 (即港幣 10,000 元) 罰款。