



# Controlling Person Tax Residency Self-Certification Form (For CRS)

## 控權人稅務居民自我證明表格 (供遵行共同匯報標準之用)

**Please read these instructions before completing the form.**  
填寫表格前，請閱讀此等指示。

Why are we asking you to complete this form?  
本公司為何要求閣下填寫本表格？

The Inland Revenue Ordinance (Cap 112) puts in place a legislative framework for Hong Kong to implement the OECD Common Reporting Standards ("CRS") for the purpose of automatic exchange of financial account information. Under the CRS, **abrdn Hong Kong Limited** ("we" or "us" or "our") is required to provide certain information about an Account Holder's tax residence and other information (e.g. account information) to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region ("Inland Revenue Department").  
《稅務條例》(第112章)為香港實施有關自動交換財務帳戶資料的經合組織共同匯報標準(「共同匯報標準」)訂立法律框架。根據共同匯報標準，安本香港有限公司(「本公司」)須向香港特別行政區政府稅務局(「稅務局」)提供有關帳戶持有人的稅務居民身分的若干資料及其他資料(如帳戶資料)。

Accordingly, any information we hold about you as an Account Holder (including the information indicated in this form, your account details, and tax residency information) may be transmitted by us to the Inland Revenue Department for transfer to a tax authority of another jurisdiction. 因此，本公司或會將所持有關於閣下(身為帳戶持有人)的任何資料(包括本表格所述資料、閣下帳戶詳情及稅務居民資料)，傳送予稅務局以轉交另一稅務管轄區的稅務當局。

You can find the meaning of terms and expressions used in this self-certification form on Inland Revenue Department's website at [http://www.ird.gov.hk/eng/tax/aeoi/self\\_cert.htm](http://www.ird.gov.hk/eng/tax/aeoi/self_cert.htm).

閣下可於稅務局網站 [http://www.ird.gov.hk/chi/tax/aeoi/self\\_cert.htm](http://www.ird.gov.hk/chi/tax/aeoi/self_cert.htm) 查閱本自我證明表格內採用的名詞及措辭釋義。

Validity of this form  
本表格有效性

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 us and provide an updated self-certification form.

本表格將一直有效，直至與資料有關的情況(如控權人的稅務身分或其他必填資料)有所改變，以致本表格不正確或不完備為止。在此情況下，閣下必須通知本公司，並提供一份已更新的自我證明表格。

This form is intended to request information consistent with local law requirements.  
本表格旨在索取符合本地法例規定的資料。

Who should complete?  
誰應填寫？

**Please fill in this form if you are the Controlling Person of an Entity Account Holder which is a Passive NFE, including an Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution.**

如閣下為屬被動非財務實體(包括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)的實體帳戶持有人的控權人，則請填寫本表格。

For joint or multiple Controlling Persons, each Controlling Person must use a separate form.  
對於聯名控權人或多人聯名控權人，每名控權人須分別填寫一份表格。

Where you need to self-certify on behalf of an Account Holder who is an Entity and are not in the capacity of a Controlling Person of such Entity to do so, please do not use this form. Instead, you should use the "Entity Tax Residency Self-Certification Form". Similarly, if you're an Account Holder who is an individual or sole proprietor, please complete the "Individual tax residency self-certification" form instead of this form.  
如須代實體帳戶持有人自我證明，而閣下並非以該實體的控權人身分自我證明，請勿使用本表格。閣下應使用「實體稅務居民自我證明表格」。同樣，如帳戶持有人為個人或獨資經營者，請勿使用本表格，閣下請填寫「個人稅務居民自我證明表格」。

**If you are filling in this form on behalf of a Controlling Person:**  
如代控權人填寫本表格：

Please indicate in what capacity you are signing in Part 5 of this form. A self-certification form may be signed by a person authorised to sign on behalf of the Controlling Person under Hong Kong law. A person authorised to sign a self-certification generally includes an executor or administrator of an estate, a person who has been legally authorised in writing by the Controlling Person to sign this form on the Controlling Person's behalf (for example, under a power of attorney).

請於本表格第5部說明以何身分簽署。根據香港法例，自我證明表格可由獲授權代控權人簽署的人士代為簽署。獲授權簽署自我證明的人士一般包括遺囑執行人或遺產管理人、獲控權人書面合法授權(如經授權書授權)代控權人簽署本表格的人士。

**As a financial institution, we do not give tax advice.**  
本公司為財務機構，並不給予稅務意見。

If you have any questions on tax residence or specific questions on this form, please consult your tax adviser.  
如閣下對稅務居民身分有任何疑問或對本表格有具體問題，請諮詢閣下的稅務顧問。

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, at <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/>. 閣下亦可於以下網站查閱更多資料，包括訂有協議以自動交換資料的稅務管轄區名單以及所要求提供的資料詳情：<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/>

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## 控權人稅務居民自我證明表格 (供遵行共同匯報標準之用)

Ref. No.:  
參考編號:

**Important Notes:**  
重要提示:

All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s).

除不適用或特別註明外，必須填寫本表格所有部分。如本表格上的空位不夠應用，可另紙填寫。

Information in fields/parts marked with an asterisk (\*) are compulsory.  
在欄/部標有星號 (\*) 的項目必須填寫。

**Part 1**  
第 1 部

**Identification of Controlling Person**  
控權人的身分識別資料

(1) Name of Controlling Person  
控權人的姓名

Title (e.g. Mr, Mrs, Ms, Miss)  
稱謂 (例如: 先生、太太、女士、小姐)

Last Name or Surname\*  
姓氏\*

First or Given Name\*  
名字\*

Middle Name(s)  
中間名

(2) Identity Card or Passport Number  
身份證或護照號碼

(3) Current Residence 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

(4) Mailing Address (Complete if different to the current residence address indicated above)  
通訊地址 (如通訊地址與上文所填現時住址不同，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

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## 控權人稅務居民自我證明表格 (供遵行共同匯報標準之用)

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

(6) Place of Birth\*  
 出生地點\*

Town/City  
 鎮/城市

Province/State  
 省/州

Country  
 國家

### Part 2 The Entity Account Holder(s) of which you are a Controlling Person 第 2 部 閣下作為控權人的實體帳戶持有人

Enter the name of the Entity Account Holder of which you are a Controlling Person.  
 填寫閣下作為控權人的實體帳戶持有人的名稱。

Entity 實體	Name of the Entity Account Holder 實體帳戶持有人的名稱
(1)	
(2)	
(3)	

### 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辨編號 (以下簡稱「稅務編號」)\*

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. Indicate all (not restricted to five) the jurisdictions of residence.  
 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。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. If a TIN is unavailable, provide the appropriate reason A, B or C:  
 如控權人是香港稅務居民，稅務編號是其香港身份證號碼。如沒有提供稅務編號，必須填寫合適的理由 (A、B或C)：

- Reason A -** The jurisdiction where the Account Holder is a resident for tax purposes does not issue TINs to its residents.  
**理由 A -** 帳戶持有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 Account Holder is unable to obtain a TIN. (Please explain why the Account Holder is unable to obtain a TIN if you have selected this reason).  
**理由 B -** 帳戶持有人不能取得稅務編號。(如選取此理由，解釋帳戶持有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 -** 帳戶持有人毋須提供稅務編號。  
 (僅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時，方選取此理由。)

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## 控權人稅務居民自我證明表格 (供遵行共同匯報標準之用)

Jurisdiction of Residence 居留司法管轄區	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 Controlling Person is unable to obtain a TIN if you have selected Reason B 如選取理由 B，解釋控權人不能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			
(5)			

### Part 4 第 4 部

#### Type of Controlling Person 控權人類別

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/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"/>

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## 控權人稅務居民自我證明表格 (供遵行共同匯報標準之用)

### Part 5 第 5 部

### Declarations and Signature 聲明及簽署

I acknowledge and agree that (i) the information contained in this form is collected and may be kept by **abrdn Hong Kong Limited** for the purpose of automatic exchange of financial account information, and (ii) such information and any information held by **abrdn Hong Kong Limited** about the Controlling person and any reportable account(s) may be reported by **abrdn Hong Kong Limited** to the Inland Revenue Department and exchanged with 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 Inland Revenue Ordinance (Cap.112).

本人知悉及同意，**安本香港有限公司**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，(i)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(ii)把該等資料和**安本香港有限公司**所持有關於控權人及任何須申報帳戶的任何資料向稅務局申報，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 certify that I am the controlling person/I am authorised 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，就實體帳戶持有人所持與本表格所有相關的帳戶，本人是控權人/本人獲控權人授權簽署本表格\*。

I undertake to advise **abrdn Hong Kong Limited** 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 **abrdn Hong Kong Limited** with an updated self-certification form within 30 days of such change in circumstance.

本人承諾，如情況有所改變，以致影響本表格第 1 部所述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備，本人會通知**安本香港有限公司**，並會在情況發生改變後30日內，向**安本香港有限公司**提交一份已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，本表格內所填報的資料和聲明均屬真實、正確和完備。**

Signature  
簽署



(Indicate the capacity if you are not the individual identified in Part 1. If signing under a power of attorney, attach a certified copy of the power of attorney.)

Full Name  
姓名

Capacity  
身分

(如閣下不是第 1 部所述的個人，說明閣下的身分。如果閣下是以受權人身分簽署本表格，須夾附該授權書的核證副本。)

Date (dd/mm/yyyy)  
日期(日/月/年)

**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。**

\* Delete as appropriate

\* 刪去不適用者