



致 To: 南華證券投資有限公司 South China Securities Limited
 南華期貨有限公司 South China Commodities Limited
 南華外匯有限公司 South China Forex Limited
 南華金業有限公司 South China Bullion Company Limited

地址 Address: 香港中環花園道 1 號中銀大廈 28 樓
28/F, Bank of China Tower, 1 Garden Road, Central, Hong Kong

Self-Certification Form – Controlling Person

Client Name: _____

Client Account No: _____

Important Terms:

- This is a self-certification form provided by a controlling person to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution, South China, to the Inland Revenue Department for transfer to the tax authority of another jurisdiction, and/or to any other regulators of any jurisdictions for compliance or related purposes.
- A controlling person should report all changes in his/her tax residency status to the reporting financial institution.
- 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 the reporting financial institution to the Inland Revenue Department
- Each of South China Securities Limited, South China Commodities Limited, South China Forex Limited, South China Bullion Company Limited and collectively are referred as (“South China”)

Part 1 Identification of Controlling Person

(1) Name of Controlling Person

Title (e.g. Mr, Mrs, Ms, Miss) _____
Last Name or Surname * _____
First or Given Name * _____
Middle Name(s) _____

(2) Hong Kong Identity Card or Passport Number

(3) Current Residence Address

Line 1 (e.g. Suite, Floor, Building, Street, District) _____
Line 2 (City) * _____
Line 3 (e.g. Province, State) _____
Country * _____
Post Code/ZIP Code _____

(4) Mailing Address (Complete if different to the current residence address)

Line 1 (e.g. Suite, Floor, Building, Street, District) _____
Line 2 (City) * _____
Line 3 (e.g. Province, State) _____
Country * _____
Post Code/ZIP Code _____

(5) Date of Birth * (dd/mm/yyyy)

(6) Place of Birth (Not compulsory)

Town/City _____



Province/State

Country

Part 2 The Entity Account Holder(s) of which you are a controlling person

Enter the name of the entity account holder of which you are a controlling person

| Entity | Name of the Entity Account Holder |
|--------|-----------------------------------|
| (1) | |
| (2) | |
| (3) | |

Part 3 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”) *

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) jurisdictions of residence.

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:

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

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.

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.

| Jurisdiction of Residence | TIN | Enter Reason A, B or C if no TIN is available | Explain why the controlling person is unable to obtain a TIN if you have selected Reason B |
|---------------------------|-----|---|--|
| (1) | | | |
| (2) | | | |
| (3) | | | |
| (4) | | | |
| (5) | | | |

Part 4 Type of Controlling Person

Tick the appropriate box to indicate the type of controlling person for each entity stated in Part 2.

| Type of Entity | Type of Controlling Person | Entity (1) | Entity (2) | Entity (3) |
|----------------|--|--------------------------|--------------------------|--------------------------|
| Legal Person | Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital) | <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) | <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 | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Trust | Settlor | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Trustee | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Protector | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Beneficiary or member of the class of beneficiaries | <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) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Legal Arrangement other than Trust | Individual in a position equivalent/similar to settlor | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Individual in a position equivalent/similar to trustee | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Individual in a position equivalent/similar to protector | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries | <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) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Part 5 Declarations and Signature

I acknowledge and irrevocably agree as follows: (a) the information contained in this form is collected and may be kept by the financial institution, South China, 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 the financial institution, South China, to: i) 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 Inland Revenue Ordinance (Cap.112), and/or ii) to any other regulators and/or tax authorities, pursuant to any laws, regulations, guidelines, or codes of any jurisdictions ("Laws"), (c) do any other acts and things, as South China may request, from time to time, for the purpose of compliance with Laws, standard for automatic exchange of financial account information, common reporting standard and/or any other related purposes, and (d) fully indemnify South China against any loss, damages, costs and expenses arising from any breach of the terms herein.

I certify that I am the controlling person / I am authorized to sign for the controlling person ^(Note 1) of all the account(s) held by the entity account holder(s) to which this form relates.

I undertake to advise South China (including but not limited to all South China entities with which I open and/or maintain any account at any time currently or in the future) 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, and to provide South China with a suitably updated self-certification form within 30 days of such change in circumstances.

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.

Client Signature: _____

Capacity ^{(Note 3):} _____

Name: _____

Date: _____

Note: (1) Delete as appropriate; (2) For the definitions of terms appeared in the form, please refer to the enclosed Appendix; (3) 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.

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).