



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

地址 Address: 香港中環雲咸街60號中央廣場36樓
36/F., The Centrium, 60 Wyndham Street, Central, Hong Kong

Self-Certification Form – Individual/Joint Accounts

Client Name: _____ Client Account No: _____

Important Terms:

- This is a self-certification form provided by an account holder 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.
- An account holder 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 Individual Account Holder

(For joint or multiple account holders, complete a separate form for each individual account holder.)

(1) **Name of Account Holder**

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 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 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 Identity Card Number. 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.

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

Part 3 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 account holder 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 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/or ii) to any other regulators and/or tax authorities, pursuant to any other 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 account holder / I am authorized to sign for the account holder ^(Note 1) of all the account(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).