



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 – Corporate 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 Entity Account Holder

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

- (1) **Legal Name of Entity** _____
Legal Name of the Branch of the Entity* _____
- (2) **Jurisdiction of Incorporation or Organization** _____
- (3) **Hong Kong Business Registration Number** _____
- (4) **Current Business 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) **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 _____



Part 2 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”) *

Tick one of the appropriate boxes and provide the relevant information.

Financial Institution	<input type="checkbox"/> Custodial Institution, Depository Institution or Specified Insurance Company <input type="checkbox"/> 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
Active NFE	<input type="checkbox"/> NFE the stock of which is regularly traded on _____, which is an established securities market <input type="checkbox"/> Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market <input type="checkbox"/> NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities <input type="checkbox"/> Active NFE other than the above (Please specify _____)
Passive NFE	<input type="checkbox"/> Investment entity that is managed by another financial institution and located in a non-participating jurisdiction <input type="checkbox"/> NFE that is not an active NFE

Part 3 Controlling Persons (Complete this part if the entity account holder is a passive NFE)

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

Complete Form IR1457 (Self-Certification Form – Controlling Person) for each controlling person.

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

Part 4 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 5 Declarations and Signature

I/We 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 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.

(Note 1)

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

I/We undertake to advise South China (including but not limited to all South China entities with which I/We 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 entity 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/We 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
(with Company Chop): _____

Capacity ^(Note 3): _____

Name: _____

Date: _____

Note: (1) Tick 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).