華亞證券有限公司
QMIS Securities Limited

Date 日期	day 日 / month 月 / year 年
	/ /

Individual Tax Residency Self-Certification Form (CRS-I (HK))
個人稅務居民自我證明表格 **(CRS-I (HK))**

Instructions 指示

Please read the instructions below before completing this form 請在填寫本表格前細閱以下指示：

Why does QMIS Securities require Clients to complete this form ?
為何華亞證券要求客戶填寫此表格？

To safeguard the integrity of the tax system, governments around the world are introducing a new data collection and reporting requirement for financial institutions, known as the **Common Reporting Standard** ("**CRS**").

According to CRS requirements, QMIS Securities must determine the Client's "Tax Residence" (which is usually the country / jurisdiction where the Client is obliged to pay income tax). If the Client's tax residence is different from the jurisdiction of the account held, QMIS Securities may need to inform the national tax authority of this situation and the Client's relevant account information, which may subsequently transmit the relevant information to the tax authorities of different countries / jurisdictions.

By completing this form, QMIS Securities can ensure that QMIS Securities holds accurate and up-to-date tax residency information of Clients.

If there is a change in the Client's information and any data in this form is no longer correct, please inform QMIS Securities' "Customer Service" immediately and submit an updated "**Individual Residency Self-Certification Form**".

為維護稅制完整，全球各地政府現正推出適用於金融／財務機構的資料收集及匯報新規例，名為**共同匯報標準**（簡稱**「CRS」**）。

根據 CRS 相關規定，華亞證券必須確定客戶的「稅務居住地」（這通常是客戶有義務繳納薪俸稅的國家／司法管轄區）。若客戶的稅務居住地有別於所持帳戶的司法管轄區，華亞證券可能需要將此情況及客戶的有關帳戶資料告知國家稅務機關，該等機關隨後或會將相關資料傳送給不同國家／司法管轄區的稅務機關。

客戶填妥本表格可確保華亞證券持有客戶正確及最新的稅務居住地資料。

若客戶的情況有所改變，導致本表格內的任何資料不再正確，請立即告知華亞證券「客戶服務部」，並提交一份已更新的「**個人居民自我證明表格**」

Who are required to complete the "Individual Tax Residency Self-Certification Form" ?
哪些客戶需填寫「個人稅務居民自我證明表格」？

All individual Clients must complete this form. Sole proprietorship Clients are also required to complete this form with the beneficial owner's information.

If Clients are required to self-certify on behalf of an Entity (including Businesses, Trusts and Partnerships), please complete the "**Entity Tax Residency Self Certification Form**" (**CRS-E(HK)**). Similarly, if the Client is the Controlling Person of an Entity, please complete the "**Controlling Person Tax Residency Self-Certification Form**" (**CRS-CP(HK)**). These forms are available on the QMIS Securities Website at www.qmissecurities.com"**Form Download**".

Each joint account holder must complete a separate form.

Even if the Client has provided the required information in relation to the U.S. Government's **Foreign Account Tax Compliance Act** ("**FATCA**"), the Client may still be required to provide additional information in respect of CRS as the two are separate requirements.

If the Client completes this form on behalf of a Third Party, please ensure that the Third Party is aware of the matter and state in what capacity the Client is signing this form in **Section 3** of the form. (If the Client may complete this form as an account Trustee or Nominee, as an Authorized Person under a Power of Attorney or as the legal guardian of a minor account holder.)

所有個人客戶必須填寫本表格。獨資業務客戶亦必須以實益擁有人的資料填寫本表格。

若客戶須代表實體（包括企業、信託及合夥）作自我證明，請填寫「**實體稅務居民自我證明表格**」（**CRS-E(HK)**）。同樣地，若客戶實體的控權人，請填寫「**控權人稅務居民自我證明表格**」（**CRS-CP(HK)**）。這些表格載於華亞證券網頁：www.qmissecurities.com「**表格下載**」中。

每位聯名帳戶持有人必須分別填寫一份表格。

即使客戶已就美國政府《外國帳戶稅務合規法案》（簡稱「FATCA」）提供所需的資料，客戶仍可能需就 CRS 提供額外資料，因為兩者為獨立的規例。

若客戶代表第三方填寫本表格，請確保第三方知悉此事，並在表格的第 3 部份說明客戶以何種身份簽署本表格。（如客戶可能是以帳戶託管人或代名人身份、根據授權書以授權人身份或以未成年帳戶持有人的法定監護人身份填寫本表格。）

How can Clients get more information ?
客戶如何獲取更多資訊？

The **Organization for Economic Co-operation and Development** ("**OECD**") has developed rules for use by all jurisdictions participating in CRS, which are available on the **OECD's Automated Exchange of Information** ("**AEOI**") website. www.oecd.org/tax/automatic-exchange/.

Please also refer to the website of the **Inland Revenue Department of the Government of the Hong Kong Special Administrative Region** for details on the implementation of AEOI in Hong Kong: www.ird.gov.hk/chi/tax/dta_aeoi.html. For the meanings of terms used in this form (i.e. "**Account Holder**" and "**Reportable Account**"), please refer to **Section 50A** of the **Inland Revenue Ordinance (Cap. 112)**.

If you have any questions about determining the tax residency of an Individual / Entity, please visit the OECD website at www.oecd.org/tax/automatic-exchange/ or consult your tax advisor and QMIS Securities is not allowed to provide the relevant tax advice.

經濟合作與發展組織（簡稱「經合組織」）已制訂有關規則，供參與 CRS 的所有司法管轄區政府使用，並載於**經合組織的自動交換資料**（簡稱「AEOI」）網站 www.oecd.org/tax/automatic-exchange/。

另請參閱香港特別行政區政府稅務局的網站了解香港實施 AEOI 的詳情：www.ird.gov.hk/chi/tax/dta_aeoi.html。有關本表格內所用詞彙的涵義（如「**帳戶持有人**」及「**須申報帳戶**」），請參閱《稅務條例》（**第 112 章**）**第 50A 條**。

若客戶對判定個人 / 實體的稅務居民身份有任何疑問，請瀏覽經合組織網站：www.oecd.org/tax/automatic-exchange/ 或諮詢客戶的稅務顧問。請恕華亞證券未能提供有關的稅務意見。

Important Notes 重要提示

- This is a self-certification form provided by the account holder or as an account Trustee or Nominee to the reporting financial institution for the purpose of automatic exchange of financial account information. The reporting financial institution may hand over the collected data to the Inland Revenue Department, which has the power to transfer such data to the tax authority of another tax jurisdiction.
  本表格是由帳戶持有人或以帳戶託管人或代名人身份向申報金融 / 財務機構提供的自我證明表格， 以作自動交換財務帳戶資料用途。 申報金融 / 財務機構可將收集所得的資料交給稅務局， 稅務局有權將資料轉交到另一稅務司法管轄區的稅務當局。

- If there is a change in the tax residency status of the account holder, the account holder must notify the reporting financial institution of all changes within 30 working days of becoming aware of the change.
  若帳戶持有人的稅務居民身份有所改變， 必須於知悉改變後 30 個工作日內將所有變更通知申報金融 / 財務機構。

- Unless not applicable or otherwise specified, Clients are required to complete all parts of this form. If space provided is insufficient, please fill in a separate page(s). Items marked with an asterisk (*) in the column/section are the information that the financial institution is required to report to the Inland Revenue Department.

  除不適用或特別註明外， 客戶必須填寫本表格內的所有部份。 若本表格上的空位值置不夠應用， 可另加附頁填寫。 在欄／部標有星號 （＊） 的項目為申報金融／財務機構須向稅務局申報的資料。

Part 1: Identification of Individual Account Holder
第 1 部份：個人帳戶持有人的身份識辨資料

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

（備註：對於聯名或多名帳戶持有人，請每名帳戶持有人必須填寫一份獨立表格。）

Note 注意 : Please put a tick where appropriate 請在適當位置加上剔號

Account Holder Name 帳戶持有人名稱	Title 稱謂： ☐ Mr. 先生 ☐ Ms. 女士 ☐ Miss 小姐 ☐ Others 其他
	*Last Name or Surname 姓氏 | *First or Given Name 名字
	Business Name *(Sole Trader Only)* 公司名稱（只適用於獨資業務）
Hong Kong Identity Card / **Passport Number** 香港身份證／護照號碼	
Current Residence Address 現時居住地址	*(i.e. Suite, Floor, Building, Street, District)* (如：室、樓層、大廈、街道、地區)
	*City 城市
	(i.e. Province, State)(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 above Current Residence Address* 若通訊地址與上述現時居住地址不同， 請填寫此欄）	*(i.e. Suite, Floor, Building, Street, District)* (如：室、樓層、大廈、街道、地區)
	*City 城市
	(i.e. Province, State)(如：省、州)
	*Country 國家
	Post Code/ZIP Code 郵政編碼／郵遞區號碼
*Date of Birth *** 出生日期**	*(dd/mm/yyyy)* (日／月／年)

Part 2 : Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN")
第 2 部份：居留司法管轄區及稅務編號或具有等同功能的識辦編號（簡稱「稅務編號」）

Please provide the following information to indicate : 請客戶提供以下資料，以列明：

(a) each jurisdiction where the account holder is a resident for tax purposes; and 帳戶持有人為稅務居民的每個司法管轄區；及

(b) the account holder's TIN for each jurisdiction indicated. 所指示的每個司法管轄區的帳戶持有人的的稅務編號。

If the account holder is a Hong Kong tax resident, the tax number is the account holder's Hong Kong Identity Card number.
若帳戶持有人是香港稅務居民，該稅務編號是帳戶持有人的香港身份證號碼。

If a TIN is unavailable, provide the appropriate reason A, B or C 若帳戶持有人未能提供稅務編號，必須填寫合適的理由 A, B 或 C：

Reason A – The account holder's residency jurisdiction does not issue a TIN 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 cannot obtain a TIN. If this reason is chosen, the account holder will need to explain the reason why he/she cannot obtain a TIN.
理由 B – 帳戶持有人不能取得稅務編號。若選取此理由，帳戶持有人需要解釋不能取得稅務編號的原因。

Reason C – The account holder is not required to provide a TIN. The authority of the residency jurisdiction does not require the account holder to disclose TIN.
理由 C – 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機構不需要帳戶持有人披露稅務編號。

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 # 若沒有提供稅務編號，請填寫理由 A、B 或 C	Explain why the Account Holder is unable to obtain a TIN if selected Reason B 若選取理由 B，請帳戶持有人解釋未能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			
(5)			

Part 3 : Declaration and Signature
第 3 部份：聲明及簽署

I hereby acknowledge and agree that QMIS Securities Limited ("QMIS Securities") may, in accordance with the legal provisions of the Inland Revenue Ordinance (Cap. 112) relating to the exchange of financial account information, (a) in relation to the collection of the information contained in this form and for the purpose of keeping it for the purpose of automatic exchange of financial account information and (b) in relation to such information and information relating to the account holder and any reportable account to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region for the purpose of transferring the data to the tax authorities of the account holder's jurisdiction of residence.

本人謹此知悉並同意，華亞證券有限公司（下稱「華亞證券」）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，（甲）有關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（乙）有關將把該等資料及關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而將資料轉交到帳戶持有人的居留司法管轄區的稅務當局。

I hereby certify that I am the account holder of (or have been authorized by the account holder to sign on his/her behalf) in respect of all the accounts currently held by the individual identified in **Part 1** of this form.
本人特此證明，就有關本表格**第 1 部份**所述有關個人現於華亞證券持有的所有帳戶，本人均是該等帳戶持有人（或本人獲帳戶持有人授權代其簽署）。

I hereby undertake that if there is any change in circumstances that may affect the tax residency status of the individual mentioned in **Part 1** of this form, or cause the information contained in this form to be incorrect, I will notify QMIS Securities and will submit an appropriately updated Tax Residency Self-Certification Form to QMIS Securities **within 30 working days** after the change of circumstances.
本人謹此承諾，若情況有所改變，以致影響本表格第 1 部份所述的個人的稅務居民身份，或引致本表格所載的資料不正確，本人會通知華亞證券，並會在情況發生改變後 **30 個工作日**內向華亞證券提交一份已適當更新的稅務居民自我證明表格。

I hereby declare that, to the best of my knowledge and belief, all information and statements provided in this form are true, correct and complete.
本人謹此聲明就本人所知所信，本表格內所填報的所有資料及聲明均屬全部真實、正確及完整。

Signature 簽署	**Capacity 身份**
	** If you are not an Individual as described in Part 1 of this form, please state your identity. If you sign this form as an Authorized Person, you must submit a certified copy of the relevant Power of Attorney together
	** 若閣下並非本表格第 1 部份所述的個人，請說明閣下的身份。若閣下是以受權人身份簽署本表格，必須一併提交有關授權書的核證副本。
	The "Power of Attorney" must be in a form acceptable to QMIS Securities. Please note that any existing Power of Attorney provided by QMIS Securities and signed by the Account Holder will not authorize the appointed agent to sign this form on behalf of the Account Holder concerned.
X **Date** *(dd/mm/yyyy)* **日期**（日/月/年）: _____	「授權書」必須採用華亞證券能夠接受的形式。請注意，由華亞證券所提供及經帳戶持有人簽署的任何現有授權書將不會授權委任的代理人代表有關的帳戶持有人簽署本表格。
Name 名稱	

Warning : Under the Inland Revenue Ordinance, it is a serious offence for a person to make a statement knowing that it is misleading, false or incorrect in the essentials, or to disregard whether a statement is misleading, false or incorrect in the essentials. Once convicted, it can result in heavy penalties.
警告：根據《稅務條例》，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，即屬嚴重罪行。一經定罪，可致重罰。