



Tax Residency Self-Certification Form – Controlling Person_Customer Guidance
稅務居民自我證明表格 – 控權人_表格填寫指引

Please read the instructions on Page 1 of the form to ensure you are completing the correct form. 請細閱表格所載的指示，確保填寫正確的表格。

Part 1 Identification of Controlling Person 第1部 – 控權人的身分識別資料

1. Name of Controlling Person 第1欄 控權人的姓名

Insert your name on your identity document, such as the name on your HKID or passport which is provided to the Company. 填寫您於身分證明文件上的姓名，例如您向本公司提供的香港身分證或護照上的姓名。

2. Hong Kong Identity Card or Passport Number 第2欄 香港身分證或護照號碼

Insert your HKID number or if you do not have a permanent HKID, please provide your Passport number. 填寫您的香港身分證號碼。如您沒有香港身分證，請填寫您的護照號碼。

3. Current Residence Address 第3欄 現時住址

Breakdown your full address in different fields as specified in the form. 按表格內的分行格式填寫完整地址。

DO NOT USE: 請勿使用：

PO Box or C/O address 郵政信箱或代收地址

Address of a third party 第三方地址

Address at a Financial Institution 金融／財務機構的地址

4. Mailing Address 第4欄 通訊地址

Insert mailing address only if different from the Current Residence Address. 如果您的通訊地址與現時住址不同，請填寫通訊地址。

5. Date of Birth 第5欄 出生日期

Write down your date of birth using the dd/mm/yyyy format. 「日／月／年」格式填寫您的出生日期。

Part 2 The Entity Account Holder(s) of which you are a controlling person 第2部 – 您作為控權人的實體賬戶持有人

List all the entities of which you are a Controlling Person. 填寫所有您作為控權人的實體名稱。

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別編號（以下簡稱「稅務編號」）

This number depends on which country you are tax resident. If you are the tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number (HKID). 此編號視乎您的稅務居住地而定。如您是香港稅務居民，稅務編號應為香港身分證號碼。

The OECD has provided some information on the acceptable numbers and format. You can refer to the following website <<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/#d.en.347759>>. 經合組織已提供若干有關可接受的編號及格式的資料。您可瀏覽以下網站<<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/#d.en.347759>>。

If you cannot provide a TIN, please indicate the reason A, B or C on the form. 如您未能提供稅務編號，請註明理由A、B或C。

If you select reason B, please provide a written reason for not being able to provide the TIN. This must be written in the table on the form. 如您選擇理由B，則請您解釋不能提供稅務編號的原因。您必須在表格的表內填寫此項原因。

Part 4 Type of Controlling Person 第4部 – 控權人類別

The first 3 Controlling Person types are for all companies except Trusts or Legal Arrangements other than Trust. 首三個控權人類別適用於所有公司（不包括信託或除信託以外的法律安排）。

Controlling ownership interest relates to where the individual owns 25% or above of the company. Control through other means refers to 25% or above voting rights. 擁有控制股權是指個人擁有公司25%或以上股權的情況。以其他途徑擁有控制權是指個人擁有公司25%或以上表決權的情況。

Senior Managing Official is considered as the controlling person where there is not an individual that can be identified as having control by ownership or other means. They are the key controller of the company. 如無法識別任何人透過擁有權或其他途徑控制實體，則高級管理人員被視作控權人。他們是公司的主要管理人。

The remaining Controlling Person types are for Trusts or Legal Arrangements other than Trust. 餘下的控權人類別適用於信託或除信託以外的法律安排。

Part 5 Declarations and Signature 第5部 – 聲明及簽署

You must be the individual identified in Part 1 (or authorised to sign on behalf of the individual identified in Part 1). 您必須是第 1 部所述的個人(或者獲授權代表該個人簽署)。

1. Please sign the form. 請簽署表格。
2. Please date the form using the dd/mm/yyyy format. 請按「日／月／年」格式在表格上填寫日期。
3. Please print your name on the line next to your signature. 請於簽署旁以正楷填寫您的姓名。
4. Please indicate the capacity in which you are signing the form if you are not the individual identified in Part 1. 如果您代表第 1 部所述的個人簽名，請註明您簽署表格的身分。

If you have any questions regarding your tax position, please consult your professional tax and/or legal advisor as we are unable to provide any tax advice. 如您對您的稅務狀況有任何進一步疑問，我們建議您諮詢專業稅務／法律顧問，長雄無法提供任何稅務建議。



Account No.客戶帳號: _____ AE Code 經紀代號: _____

Tax Residency Self-Certification Form – Controlling Person
稅務居民自我證明表格 – 控權人

Important Notes重要提示:

- ◆ This is a self-certification form provided by a controlling person to Ever-Long Securities Company Limited / Ever-Long Futures Limited / Ever-Long Capital Management Limited (the “Company” or “Ever-Long”) for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the Company to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
這是由控權人向長雄證券有限公司 / 長雄期貨有限公司 / 長雄資本管理有限公司(“公司”或“長雄”)提供的自我證明表格，以作自動交換財務帳戶資料用途。公司可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- ◆ A controlling person should report all changes in his/her tax residency status to the Company.
如控權人的稅務居民身分有所改變，應盡快將所有變更通知公司。
- ◆ 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.
除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄/部標有星號(*)的項目為公司須向稅務局申報的資料。

Part 1 Identification of Controlling Person 第1部 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) Hong Kong Identity Card or Passport Number

香港身份證或護照號碼

(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)

通訊地址（如通訊地址與現時住址不同，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

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

出生日期 *（日/月/年）

(6) Place of Birth (Not compulsory)

出生地點（可不填寫）

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 你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.

填寫你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”) * of a controlling person

第 3 部 控權人的居留司法管轄區及稅務編號或具有等同功能的識別編號（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控權人的稅務編號。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.

如控權人是香港稅務居民，稅務編號是其香港身份證號碼。

Please note that Hong Kong, the Macau Special Administrative Region of the People's Republic of China, the People's Republic of China and Taiwan are separate jurisdictions for the purposes of this Self-Certification Form.

請注意作自我證明表格用途，香港，澳門特別行政區，中國及台灣乃獨立司法管轄區。

If you have any question(s) about your jurisdiction(s) of residence for tax purposes or how to complete the table below, please contact your tax advisor.

如您對您的稅務居留司法管轄區或如何填寫下表有任何疑問，請諮詢您的稅務顧問。

If a TIN is unavailable, provide the appropriate reason A, B or C:

如沒有提供稅務編號，必須填寫合適的理由：

- Reason A** - The jurisdiction where the controlling person is a resident for tax purposes does not issue TINs to its residents.
理由 A - 控權人的居留司法稅務管轄區並沒有向其居民發出稅務編號。
- 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.
理由 B - 控權人不能取得稅務編號。如選取這一理由，解釋控權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 - 控權人毋須提供稅務編號。居留司法管轄區的主管機關不需要控權人披露稅務編號。

Jurisdiction of Residence of the Controlling Person 控權人的居留司法管轄區	TIN of the Controlling Person 控權人的稅務編號	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 如選擇理由 B，解釋控權人不能取得稅務編號的原因
(1) HKSAR香港 (If any 如適用)			
Are you a tax resident of another jurisdictions? <input type="checkbox"/> No <input type="checkbox"/> Yes (if yes, please indicate ALL jurisdictions of residence) 帳戶持有人是否其他司法管轄區的稅務居民? 否 是 (如是，請列出所有居留司法管轄區)			
(2)			
(3)			
(4)			
(5)			

Part 4 Type of Controlling Person 第 4 部 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 managerial officials/ 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"/>
	Others (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"/>
	Others (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"/>

Part 5 Declarations and Signature 第 5 部 聲明及簽署

I understand that the information supplied by me is covered by the full provisions of the terms and conditions governing the account with the Company setting out how the Company may use and share the information supplied by me.

本人明白本人所提供的資料是涵蓋於與公司的客戶戶口條款及細則的詳細條文範圍內，條款及細則已列明公司可如何使用及提供該等資料。

I acknowledge and agree that (i) the information contained in this form is collected and may be kept by Ever-Long for the purpose of automatic exchange of financial account information, and (ii) such information and information regarding the controlling person and any reportable account(s) may be reported by Ever-Long to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region 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，長雄可根據《稅務條例》（第 112 章）有關交換財務帳戶資料的法律條文，（a）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（b）把該等資料和關於控權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 authorized to sign for and on behalf of the controlling person[#] of all the account(s) held by the entity account holder(s) to which this form relates.

本人證明，就與本表格所有相關的實體帳戶持有人所持有的帳戶，本人是控權人 / 本人獲控權人授權簽署本表格[#]。

I undertake to advise Ever-Long 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 Ever-Long with a suitably updated self-certification form within 30 days of such change in circumstances.

本人承諾，如情況有所改變，以致影響本表格第 1 部所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知長雄，並會在情況發生改變後 30 日內，向長雄已提交一份適當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，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

Signature

簽署

Name

姓名

Capacity

身分

Date (dd/mm/yyyy)

日期 (日/月/年)



(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.)

(如你不是第 1 部所述的個人，說明你的身分。如果你是以受權人身分簽署這份表格，須夾附該授權書的核證副本。)

Delete as appropriate #刪去不適用者

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。

For Office Use Only

Verified by:		Processed by:	
Date:		Date:	