

**自我證明表格 – 實體 (包含合夥組織)**  
**Self-Certification Form – Entity**

**重要提示 Important Notes :**

- 這是由帳戶持有人向臺灣中小企業銀行香港分行提供的自我證明表格，以作自動交換財務帳戶資料用途。臺灣中小企業銀行香港分行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。
- This is a self-certification form provided by an account holder to Taiwan Business Bank, Ltd. Hong Kong Branch for the purpose of automatic exchange of financial account information. The data collected may be transmitted by Taiwan Business Bank, Ltd. Hong Kong Branch to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- 如帳戶持有人的稅務居民身分有所改變，應盡快將所有變更通知臺灣中小企業銀行香港分行。
- An account holder should report all changes in its tax residency status to Taiwan Business Bank, Ltd. Hong Kong Branch.
- 除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的欄位不敷使用，可自行增列填寫。在欄/部標有星號 ( \* ) 的項目為臺灣中小企業銀行香港分行須向稅務局申報的資料。  
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 Taiwan Business Bank, Ltd. Hong Kong Branch to the Inland Revenue Department.

**第 1 部 實體帳戶持有人的身分辨識資料**

**Part 1 Identification of Entity Account Holder**

(對於聯名帳戶或多人聯名帳戶，每名實體帳戶持有人須分別填寫一份表格)

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

(1) **實體或分支機構的法定名稱 \***  
**Legal Name of Entity or Branch \***

\_\_\_\_\_

(2) **實體或機構設立所在的稅務管轄區**  
**Jurisdiction of Incorporation or Organisation**

\_\_\_\_\_

(3) **香港商業登記號碼**  
**Hong Kong Business Registration Number**

\_\_\_\_\_

(4) **現行營業地址**  
**Current Business Address**

第 1 行(例如：室、樓層、大廈、街道、地區)

Line 1 (e.g. Suite, Floor, Building, Street, District)

\_\_\_\_\_

第 2 行 ( 城市 ) \*

Line 2 (City) \*

\_\_\_\_\_

第 3 行 ( 例如:省、州 )

Line 3 (e.g. Province, State)

國家 \*

Country \*

\_\_\_\_\_

郵政編碼/郵遞區號碼

Post Code/ZIP Code

\_\_\_\_\_

(5) 通訊地址 (如通訊地址與現行營業地址不同, 填寫此欄)

**Mailing Address (Complete if different to the current business address)**

第 1 行(例如: 室、樓層、大廈、街道、地區)

Line 1 (e.g. Suite, Floor, Building, Street, District)

第 2 行 (城市)

Line 2 (City)

第 3 行 (例如:省、州)

Line 3 (e.g. Province, State)

國家

Country

郵政編碼/郵遞區號碼

Post Code/ZIP Code

**第 2 部 實體類別**

**Part 2 Entity Type**

在其中一個適當的方格內加上✓號, 並提供有關資料。

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

金融機構 Financial Institution	<input type="checkbox"/> 託管機構、存款機構或特定保險公司 Custodial Institution, Depository Institution or Specified Insurance Company
	<input type="checkbox"/> 投資實體, 但不包括由另一金融機構管理 (例如: 擁有裁量權以管理投資實體的資產) 並位於非參與稅務管轄區的投資實體 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
積極性非金融機構 Active NFE	<input type="checkbox"/> 該非金融機構的股票經常在_____ (一個具規模證券市場) 進行買賣 NFE the stock of which is regularly traded on _____, which is an established securities market
	<input type="checkbox"/> _____ 的關係企業, 該關係企業的股票經常在 _____ (一個具規模證券市場) 進行買賣 Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market
	<input type="checkbox"/> 政府機關、國際組織、中央銀行或由前述的機構全權擁有的其他實體 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"/> 除上述以外的積極性非金融機構 (在其中一個適當的圓圈內加上✓號) Active NFE other than the above (Please Tick ✓one of the appropriate circles.) <ul style="list-style-type: none"><li>符合規定總收入中少於 50% 屬被動收入, 及總資產少於 50% 屬產生被動收入的資產, 或屬為產生被動收入而持有的資產 Active by reason of having less than 50% of the gross income as passive income and less than 50% of the assets are assets that produce or are held for the production of passive income</li><li>控股非金融機構, 隸屬於非金融集團, 且該非金融機構 80% 以上營業活動為控股、或提供融資與服務予其子公司。 Holding NFEs that are members of a non-financial institution group, where 80% or more of the activities of the NFE consist of holding, in whole or in part, the stocks of, or providing financing and services to, one or more its subsidiaries;</li><li>其他(請說明) _____ Others (please specify) _____</li></ul>
消極性非金融機構 Passive NFE	<input type="checkbox"/> 位於非參與稅務管轄區並由另一金融機構管理的投資實體 Investment entity that is managed by another financial institution and located in a non-participating jurisdiction
	<input type="checkbox"/> 不屬積極性非金融機構的非金融機構 NFE that is not an active NFE

**第 3 部 控權人 (如實體帳戶持有人是消極性非金融機構，填寫此部份)**

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

就帳戶持有人，填寫所有控權人的姓名在列表內。控權人一般是指自然人對某實體的「控權」，通常透過其在實體的持股(通常以某個百分比(例如 25%)為基準)行使。就實體而言，如行使控制權的並非自然人，則控權人會是該實體的高階管理人員。

Indicate in the table below the name of all controlling person(s) of the account holder who is/are generally the natural person(s) exercising control over an entity through a controlling ownership interest ultimately (typically on the basis of a certain percentage (e.g. 25%)). 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.

每名控權人須分別填寫一份控權人自我證明表格

Complete Self-Certification Form of Controlling Person for each controlling person.

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

**第 4 部 居留司法管轄區及稅籍編號或具有等同功能的辨識編號 (以下簡稱「稅籍編號」)\***

**Part 4 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") \***

提供以下資料，列明 (a) 帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區 (包括香港) 及 (b) 該居留司法管轄區發給帳戶持有人的稅籍編號。列出所有 (不限於 5 個) 居留司法管轄區。

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.

如帳戶持有人是香港稅務居民，稅籍編號是其香港商業登記號碼。If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number.

如果帳號持有人並非任何稅務管轄區的稅務居民 (例如：它是財政透明實體)，填寫實際管理機構所在的稅務管轄區。If the account holder is not a tax resident in any jurisdiction (e.g. fiscally transparent), indicate the jurisdiction in which its place of effective management is situated.

如沒有提供稅籍編號，必須填寫合適的理由 A、B 或 C：

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

- 理由 A – 帳戶持有人的居留司法稅務管轄區並沒有向其居民發出稅籍編號。  
**Reason A** – The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.
- 理由 B – 帳戶持有人不能取得稅籍編號。如選取這一理由，解釋帳戶持有人不能取得稅籍編號的原因。  
**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.
- 理由 C – 帳戶持有人毋須提供稅籍編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅籍編號。  
**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.

居留司法管轄區 Jurisdiction of Residence	稅籍編號 TIN	如沒有提供稅籍編號， 填寫理由 A、B 或 C Reason A, B or C if no TIN is available	如選擇理由 B， 解釋帳戶持有人不能取得稅籍編號的原因 Explain why the account holder is unable to obtain a TIN if you have selected Reason B
(1)			
(2)			
(3)			
(4)			
(5)			

## 第 5 部 自動交換財務帳戶資料聲明

### Part 5 Declarations For Automatic Exchange Of Financial Account Information

本人知悉及同意，臺灣中小企業銀行香港分行可根據《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，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by Taiwan Business Bank, Ltd. Hong Kong Branch 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 Taiwan Business Bank, Ltd. Hong Kong Branch to 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).

本人證明，就與本表格所有相關的帳戶，本人獲帳戶持有人授權簽署本表格。

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

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，或導致本表格所載的資料不正確，本人會通知臺灣中小企業銀行香港分行，並會在情況發生改變後 30 日內，向臺灣中小企業銀行香港分行提交一份已適當更新的自我證明表格。

I undertake to advise Taiwan Business Bank, Ltd. Hong Kong Branch 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 Taiwan Business Bank, Ltd. Hong Kong Branch with a suitably updated self-certification form within 30 days of such change in circumstances.

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。

**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.**

帳戶持有人簽署

Signature of account holder

身分 (例如：公司的董事或高階人員、合夥的合夥人、信託的受託人等)

Capacity (e.g. director or officer of a company, partner of a partnership, trustee of a trust etc.)

簽署日期 (日/月/年)

Date (DD/MM/YYYY)

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。

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).

審 核 人