

以投資方式取得公民身份或居留權的盡職審查 (個人/聯名賬戶)

Due Diligence for Citizenship/Residency by Investment (Individual/Joint Account)

致 To: 申萬宏源證券(香港)有限公司
申萬宏源期貨(香港)有限公司

Shenwan Hongyuan Securities (H.K.) Limited
Shenwan Hongyuan Futures (H.K.) Limited

客戶名稱 Name of Account Holder(s)

戶口號碼 Account No.

近年，有些司法管轄區提供「投資公民」或「投資居民」計劃，允許外國人於當地進行投資或付出一筆費用以取得公民身份或短暫或永久居留權。

In recent years, some jurisdictions offer Citizenship/Residence by Investment ("CBI/RBI") schemes, allowing foreigners to obtain citizenship or temporary or permanent residence rights based on a local investment or a flat fee.

如閣下在「自動交換財務帳戶資料聲明」中列出了稅務居民司法管轄區，而該管轄區屬經濟合作及發展組織名單上的高風險「投資公民」或「投資居民」計劃的管轄區¹，請回答以下問題。

If you have listed the jurisdiction of tax residence status in "Declaration for Automatic Exchange of Financial Account Information" and such jurisdiction is one of the jurisdictions in the list of high-risk CBI/RBI schemes provided by the Organization for Economic Co-operation and Development ("OECD")¹, please answer the following questions:

- (1) 您是否通過「投資公民」或「投資居民」計劃取得公民身份或居留權？

Did you obtain residence rights under a CBI/RBI scheme?

是 Yes ☐ 否 No ☐

如是，涉及之CBI/RBI計劃名稱 If yes, name of CBI/RBI scheme:

- (2) 您是否擁有其他司法管轄區的居留權？

Do you hold residence rights in any other jurisdiction(s)?

是 Yes ☐ 否 No ☐

如是，該其他司法管轄區為 If yes, such other jurisdiction(s) is/are:

- (3) 在上一年度，您是否曾在其他司法管轄區逗留超過90天？

Have you spent more than 90 days in any other jurisdiction(s) during the previous year?

是 Yes ☐ 否 No ☐

如是，該其他司法管轄區為 If yes, such other jurisdiction(s) is/are:

- (4) 在上一年度，您是否曾向其他司法管轄區申報個人入息課稅表格？

Have you filed income tax returns in any other jurisdiction(s) during the previous year?

是 Yes ☐ 否 No ☐

如是，該其他司法管轄區為 If yes, such other jurisdiction(s) is/are:

如以上任何一個選項為“是”，請更新「自動交換財務帳戶資料聲明」中的稅務居民司法管轄區及稅務編號並填寫閣下所有的稅務居民身份及其稅務編號（並提供相關身份證明文件），或於以下方格提供合理解釋說明為何閣下並非於上述第(2)至(4)題所指的其他司法管轄區的稅務居民。

If you answered “Yes” to any of the above questions, please update Jurisdiction of Tax Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”) in “Declaration for Automatic Exchange of Financial Account Information”, reflecting all of your jurisdiction of residence status and the corresponding TIN (together with the relevant identification documents), or provide a reasonable explanation of why you are not a tax resident in other jurisdiction(s) as indicated by you in items (2) – (4) above in the box below.

¹ 「投資公民」和「投資居民」計劃的管轄區清單可在 OECD 網站查閱：

The list of CBI/RBI schemes is available at OECD website:

<https://www.oecd.org/en/topics/sub-issues/international-standards-on-tax-transparency/residence-citizenship-by-investment.html>

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，可處第三級（即\$10,000）罰款。

In the event of any inconsistency between the English and Chinese language text on this form, the English version will prevail and all information provided by you on this form will be treated as addressing the English text.

如此表格的中、英文兩個版本有任何不相符之處，應以英文版本為準，所有閣下在此表格提供的資料會被視為回應英文版本原文。

戶口持有人簽署 (個人或聯名帳戶) Signature(s) of Account Holder(s) (For Individual or Joint Account)	日期 Date	For Office Use Only S.V. Approved by Input by
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