

自動交換財務帳戶資料聲明
更新稅務居民身份 – 個人/聯名戶口
Declaration for Automatic Exchange of Financial Account Information
Updating Tax Residency Information – Individual/Joint Account

客戶請填妥此表格並郵寄至下列地址
 Please complete and submit this form to below address
 香港軒尼詩道 28 號 19 樓
 申萬宏源證券(香港)有限公司客戶服務部收
 Level 19, 28 Hennessy Road, Hong Kong
 Customer Service Department, Shenwan Hongyuan Securities (H.K.) Limited

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 [戶口號碼] (Name of A/C Holder(s) [A/C No.]) _____ [_____]

身份證/護照號碼 (如適用) (ID/Passport No. (if applicable)) _____

此表格適用於個人/聯名客戶，其搬遷的新地址屬另外一個國家或欲更新其稅務居民身份記錄。如屬更新地址到另一個國家，因其地址更新指示應用於其戶口檔案，則戶口所有帳戶持有人均須填妥此表格。因如地址更新指示應用於其帳戶檔案，則該帳戶的所有帳戶持有人均須填妥此部分。請列出您所有稅務居民身份及其所屬國家，並提供相關的稅務識別號碼。如果您有兩個以上的稅務居民身份，請複印此頁，填寫後連同此表格交回。

This form is applicable to an individual/joint account client who has updated a new address that involves a change of country or individual/joint account client who wishes to update his tax residency information to Shenwan Hongyuan Securities (H.K.) Limited/ Shenwan Hongyuan Futures (H.K.) Limited. Since the address change request is applied to the account level, all the account holders are required to fill in this form. Please indicate all countries in which you are a resident for tax purposes and provide the associated Tax Identification Number ("TIN"). If you have more than 2 tax residencies, please photocopy this page, fill it in and attach to this form.

自動交換財務帳戶資料聲明 Declaration for Automatic Exchange of Financial Account Information		
<p>提供以下資料，列明(1)你的居留司法管轄區，亦即是你的稅務管轄區（香港包括在內）及(2)該居留司法管轄區發給你的稅務編號。列出所有居留司法管轄區。如果你是香港稅務居民，稅務編號相香港身份證號碼。如果你是中國稅務居民，稅務編號是中國公民身份證號碼。</p> <p>如沒有提供稅務編號，必須填寫合適的理由： 理由 A - 你的居留司法管轄區並沒有向居民發出稅務編號。 理由 B - 你不能取得稅務編號。如選取這一理由，解釋你不能取得稅務編號的原因。 理由 C - 你毋須提供稅務編號。居留司法管轄區的主管機關不需要你披露稅務編號。</p>		
<p>Complete the following table indicating (1) the jurisdiction of residence (including Hong Kong) where you are a resident for tax purposes and (2) Your TIN for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence. If you are a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. If you are a tax resident of People's Republic of China, the TIN is the PRC Identity Card Number. If a TIN is unavailable, provide the appropriate reason A, B or C: Reason A - The jurisdiction where you are a resident for tax purposes does not issue TINs to its residents. Reason B - You are unable to obtain a TIN. Explain why you are 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.</p>		
Account Holder 帳戶持有人	1 st holder 第一持有人	2 nd holder 第二持有人
Tax Residency 1 稅務居民身份 1		
Jurisdiction of Tax Residence 稅務居民管轄區		
TIN 稅務識別號碼		
If a TIN is unavailable, please 3 the appropriate reason 若無法提供稅務識別號碼，請在適用的原因填上✓號*	<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C Explain why the account holder is unable to obtain a TIN if you have selected Reason B: 如選取理由 B，解釋帳戶持有人不能取得稅務編號的原因：	<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C Explain why the account holder is unable to obtain a TIN if you have selected Reason B: 如選取理由 B，解釋帳戶持有人不能取得稅務編號的原因：
Tax Residency 2 稅務居民身份 2		
Jurisdiction of Tax Residence 稅務居民管轄區		
TIN 稅務識別號碼		
If a TIN is unavailable, please 3 the appropriate reason 若無法提供稅務識別號碼，請在適用的原因填上✓號*	<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C Explain why the account holder is unable to obtain a TIN if you have selected Reason B: 如選取理由 B，解釋帳戶持有人不能取得稅務編號的原因：	<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C Explain why the account holder is unable to obtain a TIN if you have selected Reason B: 如選取理由 B，解釋帳戶持有人不能取得稅務編號的原因：

本人/吾等謹此聲明，就本人/吾等所深知和確信，本表格所填報的資料均為準確及完整。本人/吾等知悉及同意，申萬宏源證券(香港)有限公司/申萬宏源期貨(香港)有限公司可根據《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文，(1)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(2)把該等資料和關於本人/吾等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。本人/吾等承諾，如情況有所改變，以致影響本表格所述的稅務居民身份，或引致本表格所載的資料不正確，本人/吾等會在情況發生改變後 30 日內通知申萬宏源證券(香港)有限公司/申萬宏源期貨(香港)有限公司。

I/We declare that the information provided in this form is accurate and complete. I/We acknowledge and agree that (a) the information contained in this form is collected and may be kept by Shenwan Hongyuan Securities (H.K.) Limited/ Shenwan Hongyuan Futures (H.K.) Limited for the purpose of automatic exchange of financial account information, and (b) such information and information regarding my account and any reportable account(s) may be reported by the Broker 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 I/We 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). I/We undertake to advise the Shenwan Hongyuan Securities (H.K.) Limited/ Shenwan Hongyuan Futures (H.K.) Limited of any change in circumstances which affects my tax residency status or causes the information contained herein to become incorrect within 30 days of such change in circumstances.

戶口持有人簽署 (如個人或聯名客戶) Signature(s) of A/C Holder(s) (For Individual or Joint A/C)	日期 Date	For Office Use Only	
			Approved by _____ Input by _____