

**自動交換財務帳戶資料聲明**  
**更新稅務居民身份 – 公司戶口**  
**Declaration for Automatic Exchange of Financial Account Information**  
**Updating Tax Residency Information – Corporate 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. ]) \_\_\_\_\_ [ \_\_\_\_\_ ]

此表格適用於公司客戶，其搬遷的營業/通訊地址屬另外一個國家或欲更新其稅務居民身份記錄。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。

This form is applicable to a corporate account client who has updated a new business/correspondence address that involves a change of country or corporate client who wishes to update his tax residency information to Shenwan Hongyuan Securities (H.K.) Limited/ Shenwan Hongyuan Futures (H.K.) Limited. Please indicate all countries in which you are a resident for tax purposes and provide the associated Tax Identification Number ("TIN").

自動交換財務帳戶資料聲明 Declaration for Automatic Exchange of Financial Account Information	
本人/吾等（代表本公司）聲明本公司是： I/We (on behalf of the entity) certify that the entity is:	
(a) 於本地實施的自動交換標準中的身份是： An account holder of the following type for the purposes of local jurisdiction implementation of the OECD Standard for Automatic Exchange of Financial Account Information in Tax Matters:	
<input type="checkbox"/> 財務機構 Financial Institution	
選項類別： Specify Type:	<input type="checkbox"/> 託管機構、存款機構或指明保險公司 Depository Institution, Custodial Institution, Specified Insurance Company  <input type="checkbox"/> 投資實體，但不包括由另一財務機構管理（例如：擁有酌情權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
<input type="checkbox"/> 非財務實體 Non-Financial Entity ("NFE")	
選項類別： Specify Type:	<input type="checkbox"/> 該非財務實體的股票經常在 _____ (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"/> _____ 的有關連實體，該有關連實體的股票經常在 _____ (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"/> 政府實體、國際組織、中央銀行或由前述的實體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"/> 其他主動非財務實體 Active NFE other than the above  <input type="checkbox"/> 位於非參與稅務管轄區並由另一財務機構管理的投資實體。此類實體被重新分類為被動非財務實體 - 請填 C 部分 Investment Entity that is managed by another financial institution and located in a non-participating jurisdiction This entity is reclassified as a Passive NFE ("Passive Non-Financial Entity") – Complete Part C below  <input type="checkbox"/> 被動非財務實體（位於非參與稅務管轄區並由另一財務機構管理的投資實體除外） - 請填寫 C 部分 Passive NFE (other than Investment Entity that is managed by another financial institution and located in a non-participating jurisdiction) – Complete Part C below

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Declaration for Automatic Exchange of Financial Account Information  
Updating Tax Residency Information – Corporate Account

自動交換財務帳戶資料聲明 (續)  
Declaration for Automatic Exchange of Financial Account Information (Continued)

- (b) 實體為下列司法管轄地的稅務居民  
A tax resident in the following jurisdiction(s):

請填寫你為稅務居民所屬的所有司法管轄地及相關的納稅人識別號碼 (「稅務編號」) (香港包括在內)。如果你對你的稅務居民司法管轄地有任何疑問, 請聯絡你的稅務顧問。如帳戶持有人是香港稅務居民, 稅務編號是其香港商業登記號碼。如未能提供稅務編號, 請填寫理由 A、B 或 C。  
Please fill in ALL jurisdiction(s) and the associated Tax Identification Number(s) (“TIN(s)”) where you are a tax resident (including Hong Kong). If you have any questions about your jurisdiction(s) of tax residency, please contact your tax advisor. If you are a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number. If a TIN is unavailable, provide the appropriate reason A, B or C:

- 理由 A - 申請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 A The jurisdiction where you are a resident for tax purposes does not issue TINs to its residents.  
理由 B - 申請人不能取得稅務編號。(如選取這一理由, 請在下表中解釋申請人不能取得稅務編號的原因)  
Reason B You are unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN in the below table if you have selected this reason)  
理由 C - 申請人毋須提供稅務編號。(這理由只適用於居留司法管轄區的主管機關不需要申請人披露稅務編號)  
Reason C TIN is not required. Select this reason only if the authorities of the jurisdiction of tax residence do not require the TIN to be disclosed

稅務居民司法管轄地 Jurisdiction of Tax Residence	稅務編號 TIN	如果不能提供稅務編號, 請填寫理由 A、B 或 C Enter Reason A, B or C if TIN is unavailable	如選取理由 B, 解釋不能取得稅務編號的原因 Explain why you are unable to obtain a TIN if you have selected Reason B

- (c) 此部分只供被分類為被動非財務實體填寫。  
Complete this part only for an entity that is classified as a Passive NFE.

就每位控權人士而言, 必須填寫每位控權人士持有稅籍之所有司法管轄地及有關稅籍編號 (包括美國和香港, 如適用)。就法人實體, 如行使控制權的並非自然人, 控權人會是該法人實體的高級管理人員。請留意控權人士代表符合指定條件之自然人。如果有超過 3 位控權人士, 請使用額外的聲明書。如控權人士是香港稅務居民, 稅務編號是其香港身份證號碼。

For each Controlling Person, fill in ALL jurisdiction(s) and the associated TIN(s) where that Controlling Person is tax resident (including U.S. and Hong Kong, where applicable). 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. Please note that Controlling Person refers natural persons who meet specified requirements. If you have more than 3 Controlling Persons, please use an additional Form. If the Controlling Person is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.

- 理由 A - 控權人士的居留司法稅務管轄區並沒有向其居民發出稅務編號。  
Reason A The jurisdiction where Controlling Person is a resident for tax purposes does not issue TINs to its residents.  
理由 B - 控權人士不能取得稅務編號。(如選取這一理由, 請在下表中解釋控權人士不能取得稅務編號的原因)  
Reason B Controlling Person is unable to obtain a TIN or equivalent number (Please explain why Controlling Person is unable to obtain a TIN in the below table if you have selected this reason)  
理由 C - 控權人士毋須提供稅務編號。(請注意: 這理由只適用於居留司法管轄區的主管機關不需要控權人士披露稅務編號)  
Reason C TIN is not required. Select this reason only if the authorities of the jurisdiction of tax residence do not require the TIN to be disclosed

控權人士之姓名 Name of Controlling Person (“CP”)	控權人士稅務居民司法管轄地 All Jurisdiction(s) of Tax Residence of CP	控權人士在該司法管轄地持有稅籍之稅務編號, 如果不能提供稅籍編號, 請填寫理由 A、B 或 C TIN(s) for Each Jurisdiction of Tax Residence of CP or Enter Reason A, B or C if TIN is unavailable	如選取理由 B, 解釋不能取得稅務編號的原因 Explain why you are unable to obtain a TIN if you have selected Reason B
控權人士 1 CP 1			
控權人士 2 CP 2			
控權人士 3 CP 3			

自動交換財務帳戶資料聲明  
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Updating Tax Residency Information – Corporate Account

自動交換財務帳戶資料聲明 (續) Declaration for Automatic Exchange of Financial Account Information (Continued)				
<p>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。 Please tick the appropriate box to indicate the type of controlling person for each controlling person.</p>				
實體類別 Type of Entity	控權人類別 Type of Controlling Person	控權人士 1 CP1	控權人士 2 CP2	控權人士 3 CP3
法人 Legal Person	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） Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	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） Individual who exercises control/is entitled to exercise control through other means (i.e. not less than 25% of voting rights)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	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 Individual who holds the position of senior managing official/ exercises ultimate control over the management of the entity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
信託 Trust	財產授予人 Settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	受託人 Trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	保護人 Protector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	受益人或某類別受益人的成員 Beneficiary or member of the class of beneficiaries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	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） Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
除信託以外的法律安排 Legal Arrangement other than Trust	處於相等/相類於財產授予人位置的個人 Individual in a position equivalent/similar to settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	處於相等/相類於受託人位置的個人 Individual in a position equivalent/similar to trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	處於相等/相類於保護人位置的個人 Individual in a position equivalent/similar to protector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	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 Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	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） Other (e.g. individual who exercises control over another entity being equivalent/similar to settlor/trustee/protector/beneficiary)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
控權人士之居住地址 Residence Address of CP		控權人士之出生日期 (日/月/年) Date of Birth of CP (dd/mm/yyyy)		
控權人士 1 CP1	(城市) (City) (國家) (Country)			
控權人士 2 CP2	(城市) (City) (國家) (Country)			
控權人士 3 CP3	(城市) (City) (國家) (Country)			

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我們在此聲明已查閱此自我聲明書之內容及陳述，並盡本人所知及確信，聲明內容均屬真實、正確及完整。

We declare that the information given and statements made in this form are, to the best of our knowledge and belief, true, correct and complete.

我們承認此聲明書及有關本實體、其控權人士(如有)及須申報帳戶的任何資料可向任何本地或海外政府、監管或稅務機關或機構(包括但不限於中華人民共和國香港特別行政區政府稅務局)提供，以及向適用法例、法規、慣例或指引(包括但不限於香港稅務條例、任何在本地實施的 OECD「經濟合作與發展組織稅務金融訊息自動交換標準/通用報告準則」及在香港或任何其他相關司法管轄地已落實的同類稅務資訊共用制度)所規定或指示或申萬宏源證券(香港)有限公司/申萬宏源期貨(香港)有限公司認為必要的任何其他本地或海外人士或單位提供；及可由申萬宏源證券(香港)有限公司/申萬宏源期貨(香港)有限公司存儲、使用及披露，以便其遵從有關向我們提供服務的義務、承諾、安排或市場慣例。

We acknowledge that the information contained in this form and information regarding the account holder, controlling person(s) (if any) and any reportable account(s) may be reported to any local or foreign governmental, regulatory or tax authorities or bodies (including without limitation the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region of the People's Republic of China) and to any other local foreign persons or entities required or directed by applicable laws, regulations, practices or guidelines (including without limitation the Hong Kong Inland Revenue Ordinance, any local implementation of the OECD Standard for Automatic Exchange of Financial Information in Tax Matters/Common Reporting Standard and local implementation hereof, and any similar tax information sharing regime put in place in Hong Kong or any other relevant jurisdiction) or deemed necessary by Shenwan Hongyuan Securities (H.K.) Limited/ Shenwan Hongyuan Futures (H.K.) Limited and stored, used and disclosed by Shenwan Hongyuan Securities (H.K.) Limited/ Shenwan Hongyuan Futures (H.K.) Limited so that it can comply with obligations, commitments, arrangement or market practices in relation to providing services to me.

我們承諾，如以上聲明有任何情況改變，而影響本表格的本公司或所標示控權人士(如有)的稅收居民身份有任何變化或導致此聲明書之內容及陳述變得不正確的信息時，將通知申萬宏源證券(香港)有限公司/申萬宏源期貨(香港)有限公司，並於情況改變發生的 30 日內向申萬宏源證券(香港)有限公司/申萬宏源期貨(香港)有限公司重新提供正確的聲明書。

We undertake to advise by Shenwan Hongyuan Securities (H.K.) Limited/ Shenwan Hongyuan Futures (H.K.) Limited of any change in circumstances which affects the tax residency status of the entity or controlling person(s) set out in this form or cause the information contained herein to become incorrect, and to provide Shenwan Hongyuan Securities (H.K.) Limited/ Shenwan Hongyuan Futures (H.K.) Limited with a suitably updated declaration form within 30 calendar days of such change in circumstances.

<p>授權簽署及/或公司印章 Authorised Signatory and/or Company Chop</p> <p>日期 Date</p>	<p>For Office Use Only</p> <p style="text-align: center;">S.V</p> <p>Approved by _____ Input by _____</p>
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