

自我證明表格-法人 Self-Certification: Entity

帳戶名稱 Account Name

英文註冊名稱 Registered Name in English  
ABC Company

中文註冊名稱 Registered Name in Chinese  
○○○有限公司 如有

現時營業地址 Current Business Address

國家 Country: 臺灣 城市 City: 臺北 地址 Address: ○○區○○路○○段○○號○○樓

CRS – Common Reporting Standard 共同申報標準 簡介

**為什麼需要您填寫此表單? Why are we asking you to complete this form?**

為了保護稅收制度的完整性，世界各國政府為財務機構引入新的資訊蒐集及申報要求。在經濟合作與發展組織(OECD)指導下，不少參與的司法管轄區已承諾，並正在建立以共同申報標準(CRS) 為基礎的財務帳戶資訊自動交換的全球標準，取得和交換境外納稅人的年度財務帳戶資訊。

To help protect the integrity of tax systems, governments around the world are introducing a new information gathering and reporting requirement for financial institutions. Under the guidance of the Organization for Economic Co-operation and Development (OECD), many participating jurisdictions have committed to establish global standards for Automatic Exchange of Information (AEOI) based on the Common Reporting Standard (CRS), obtaining and exchanging financial account information from foreign taxpayers annually.

在共同申報原則的規範下，玉山銀行被要求須確認您為「稅務居民」之地點(通常代表您須繳納所得稅之地點)。倘您為您的帳戶所在國以外的稅務居民，玉山銀行需要向香港稅務機關提供此資訊以及與您的帳戶相關的資訊，這些資訊並可與其他國家的稅務機關共享。

Under the CRS, we are required to determine where you are 'tax resident' (this will usually be where you are liable to pay income taxes). If you are tax resident outside the country where your account is held we may need to give the national tax authority this information, along with information relating to your accounts. That may then be shared between different countries' tax authorities.

完成此表格可確保玉山銀行掌握您稅務居留地最新且正確的資訊，倘資訊有任何變更致使此表格的內容失去正確性，請立即通知玉山銀行並且提供您最新的自我證明表格。

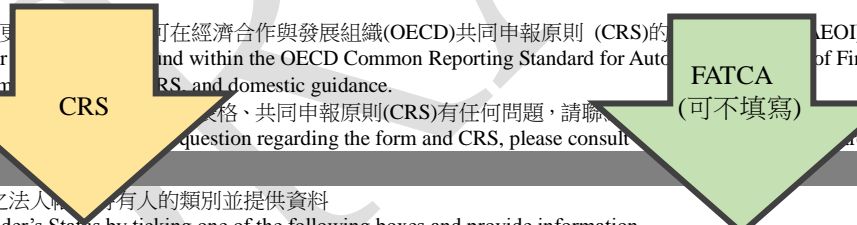
Completing this form will ensure that we hold accurate and up to date information about your tax residency. If your circumstances change and any of the information provided in this form becomes incorrect, please let us know immediately and provide an updated Self-Certification.

**誰應該填寫自我證明表格? Who should complete the CRS Entity Self-Certification Form?**

法人(包括所有企業、信託及合作夥伴，除獨資客戶帳戶持有人)應填寫此表格；倘為聯名或複合帳戶持有人，所有帳戶持有人都需使用獨立表格；倘您為法人之具控制權人士，請完成「自我證明表格-具控制權人士」；倘您為企業或受託人授權填寫此表格，請告知玉山銀行並提供授權書的核證副本。如果您是法人帳戶持有者，請完成此表格。如果是聯名或複合帳戶持有人，所有法人帳戶持有人都需使用獨立表格。如果您是個人(包括獨資)帳戶持有人，請不要使用此表格，而是填寫「自我證明表格-個人」。

Business banking customers (which includes all businesses, trusts and partnerships except sole traders) should complete this form. For joint account holders, a copy of the form should be completed for each account holder. If you are completing this form on behalf of an authorized officer of the business or a trustee, please notify us the capacity in which you are signing the form and provide a certified copy of the Power of Attorney. If you are a controlling person of an entity, complete a "Self-certification form: Controlling Person. If you are a personal banking customer or a sole trader complete a "Self-certification: Individual".

※關於共同申報原則(CRS)的更多資訊可在經濟合作與發展組織(OECD)共同申報原則 (CRS)的相關註解中找到。Further information regarding the CRS and domestic guidance can be found within the OECD Common Reporting Standard for Automatic Exchange of Information (the "CRS"), the associated Commentary and within the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information (the "AEOI").  
 ※請注意此檔案不是稅務及法律用途。倘您對表格、共同申報原則(CRS)有任何問題，請聯絡專業人士。Please note that the form is not for tax and legal advice. If you have any question regarding the form and CRS, please consult with the relevant areas of professionals.



法人類別 Entity Type

請於下列的選項中勾選合適之法人類別並提供資料

Please provide the Account Holder's Status by ticking one of the following boxes and provide information

I. 金融機構 Financial Institution	共同申報準則分類 CRS Classification	外國帳戶稅務遵從法分類 FATCA Classification
<input type="checkbox"/> a. 存款機構、託管機構、保險公司 Depository Institution, Custodial Institution or Special Insurance Company  <input type="checkbox"/> b. 投資法人，但不包括由另一財務機構管理(例如：擁有酌情權管理投資法人的資產)並位於非參與稅務管轄區的投資法人 An Investment Entity, not including an investment entity located in a Non-Participating Jurisdiction and managed by other Financial Institution (Ex. have the discretion to manage the assets of the investment entity)	CRS 部分如有變更需即時更新; FATCA 部分若顧客已申報 W-8BENE, 需每 3 年更新	<input type="checkbox"/> 全球中間機構辨識碼(GIIN)之金融機構，且係屬本次所開帳戶之最終受益人 Institution which has GIIN and is the ultimate beneficial owner of the account  <input type="checkbox"/> 有簽署協議的外國金融機構 Participating FFI <input type="checkbox"/> 在模式一下應申報的外國金融機構，請填寫 貴機構註冊成立之國家 Reporting Model 1 FFI Please indicate the country where you registered : _____  <input type="checkbox"/> 在模式二下應申報的外國金融機構 Reporting Model 2 FFI <input type="checkbox"/> 註冊視同合規的外國金融機構(以下兩者除外：在模式一下應申報的外國金融機構、受贊助的外國金融機構) Registered Deemed-compliant FFI (Other than a reporting Model 1 FFI, sponsored FFI)  <input type="checkbox"/> Sponsored FFI(e.g. Funds)
		FATCA 第四章狀態 Chapter 4 Status
		茲聲明本基金係_____ (請填寫公司名)募集發行或代理之基金，本基金屬 FATCA 定義

		<p>之投資法人或團體，且非屬 QI、WP、WT，且授權由前述公司擔任本基金之贊助法人或團體。I certify that the entity is an investment entity; is not a QI, WP, or WT; and has agreed with the entity</p> <p>_____ (Entity Name)</p> <p>_____ (GIIN) to act as the sponsoring entity for this entity.</p> <p>全球中間機構辨識碼(GIIN) <input type="checkbox"/><input type="checkbox"/><input type="checkbox"/><input type="checkbox"/><input type="checkbox"/><input type="checkbox"/><input checked="" type="checkbox"/><input type="checkbox"/><input type="checkbox"/><input type="checkbox"/><input type="checkbox"/><input type="checkbox"/><input checked="" type="checkbox"/><input type="checkbox"/><input type="checkbox"/><input type="checkbox"/><input type="checkbox"/></p> <p><input type="checkbox"/>2. 在跨政府協議下免申報的外國金融機構 Nonreporting IGA FFI<sup>1</sup>茲聲明本法人非屬中間機構，且因符合美國國稅局(IRS)與_____ (請填寫國家)所簽署之跨政府協議下有關於免申報的外國金融機構之規範要件，並依該協議適用之條款而被視為_____ (請填寫跨政府協議下適用 貴機構之類別)。若在前述協議規範下本法人被視為註冊是符合規之外國金融機構者，本法人之 GIIN 為_____ (若非此類別，請填寫不適用)。I certify that the entity meets the requirements to be considered a nonreporting financial institution pursuant to an applicable IGA between the United States and _____ (Country). Under the provisions of the applicable IGA or Treasury regulations; if you are a trustee documented trust or a sponsored entity, provide the name of the trustee or sponsor _____; and GIIN _____.</p> <p><input type="checkbox"/>為「其他類」金融機構，可能之機構類形如下，請另填 W8BEN-E 表 (1)公認視同合規的外國金融機構 (2)在美國屬地註冊成立之金融機構 Other types of Financial Institution., i.e. (1) certified deemed-compliant FFIs (2) Territory financial institution. Please fill W-8BEN-E form.</p>
<p><b>II. 非金融機構 NFE</b></p> <p>積極的非金融法人 Active NFE*</p>	<p><b>共同申報準則分類 CRS Classification</b></p> <p><input type="checkbox"/>c. 政府法人、國際組織、中央銀行或由前述的法人全權擁有的其他法人 A Governmental Entity, an International Organization, a Central Bank, or an Entity wholly owned by one or more of the foregoing</p> <p><input type="checkbox"/>d. 上市公司或上市公司的有關聯法人，其股票經常在既有的證券市場交易。倘勾選上述選項，請提供該經常交易的證券市場名稱 A corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation. If you have ticked the above, please provide the name of the established securities market on which the corporation is regularly traded : _____</p> <p>倘為上市公司的有關聯法人，請提供該上市公司的名稱 If you are a Related Entity of a regularly traded corporation, please provide the name of the regularly traded corporation that the Entity in is a Related Entity of : _____</p>	<p><b>外國帳戶稅務遵從法分類 FATCA Classification</b></p> <p><input type="checkbox"/>3. 美國以外政府單位、美國屬地銀行、中央銀行、國際組織、退休基金，或由前列單位 100% 持有的投資法人，請另填 W8BEN-E 表。Foreign government, government of a U.S. possession, or foreign central bank of issue, International organization, Pension Fund, or an Entity wholly owned by one or more of the foregoing. Please fill W-8BEN-E.</p> <p><input type="checkbox"/>4. 股票在證券市場正常交易的公司或其關係企業 Publicly traded NFFE or NFFE affiliate of a publicly traded corporation<sup>2</sup></p> <p>以下聲明事項二擇一 Check whichever applies :</p> <p><input type="checkbox"/>茲聲明本法人或團體非依美國法律組織設立、亦非屬金融機構，且本法人或團體股票於一或多個證券市場正常交易，該交易所包含 _____ (請填寫交易所名稱)；或 I certify that the entity is a foreign corporation that is not a financial institution and the stock of such corporation is regularly traded on one or more established securities markets, including _____ (name one securities exchange upon which the stock is regularly traded); or</p> <p><input type="checkbox"/>茲聲明本法人或團體非依美國法律組織設立、亦非屬金融機構，且本法人或團體之關係企業 _____ (請填寫關係企業名稱) 股票於一或多個證券市場正常交易，該交易所包含 _____ (請填寫交易所名稱)。I certify that the entity is a foreign corporation that is not a financial institution; the entity is a member of the same expanded affiliated group as an entity the stock of which is regularly traded on an established securities market; the name of the entity, the stock of which is regularly traded on an established securities market, is _____; and the name of the securities market on which the stock is regularly traded is _____.</p>

<sup>1</sup> 依此 FATCA 身分狀態提供之書面聲明應每 3 年徵提一次。The certification of FATCA status shall be requisitioned every 3 years.

<sup>2</sup> 聲明此 FATCA 身分狀態者之書面聲明永久有效。The certification of FATCA status shall remain in full force and effect.

	<input type="checkbox"/> e. 除 c、d 以外之積極的非金融法人 Other than c and d	<input type="checkbox"/> 5. 非營利組織 Non-profit Organizations <sup>3</sup> <input type="checkbox"/> 茲聲明本組織為以宗教、慈善、科學、藝術、文化或教育等目的而組織設立與營運；並依本組織設立登記國之稅法規範得享免稅之非營利組織；且本組織無任一出資者或成員持有本組織之資產或收入。I certify that the entity is a non-profit organization that meets the following requirements: The entity is established and maintained in its country of residence exclusively for religious, charitable, scientific, artistic, cultural or educational purposes; the entity is exempt from income tax in its country of residence; and the entity has no shareholders or members who have a proprietary or beneficial interest in its income or assets.  <input type="checkbox"/> 6. 積極的非金融外國法人或團體(50% 以下之收入來自於被動收入(passive income)之一般法人或團體) Active NFFE( Less than 50% of such entity's gross income is passive income) <sup>4</sup> <input type="checkbox"/> 茲聲明本法人或團體非依美國法律組織設立、亦非屬金融機構。且本法人或團體前一日曆年總收入中，被動收入係少於 50%；且前一日曆年所持有之資產中，可產生或因持有而產生被動收入之資產係少於 50%。I certify that the entity is a foreign entity that is not a financial institution; less than 50% of such entity's gross income for the preceding calendar year is passive income; and less than 50% of the assets held by such entity are assets that produce or are held for the production of passive income (calculated as a weighted average of the percentage of passive assets measured quarterly).  <input type="checkbox"/> 其他未列於本表之 FATCA 身分狀態，請另填 W8BEN-E 表 Others(For other FATCA status not listed in this table, please fill in the form W8BEN-E.)				
消極的非金融法人 Passive NFE	<input type="checkbox"/> g. 投資法人，位於「未參與稅務協議管轄區」且由另一金融機構管理(例如：擁有酌情權管理投資法人的資產) An Investment Entity located in a Non-Participating Jurisdiction and managed by other Financial Institution (Ex. have the discretion to manage the assets of the investment entity) <input checked="" type="checkbox"/> h. g 以外之消極的非金融法人 A NFE that is not an Active NFE i. 倘勾選「消極的非金融法人」，請提供帳戶持有人之具控制權人士名單 If ticking box 3, please also indicate the name of any Controlling Person(s)** of the Account Holder. ii. 倘行使控制權的並非自然人，則具控制權人士為該法人之高級管理人員 If there are no natural person(s) who exercise control of the Entity then the Controlling Person will be the natural person(s) who hold the position of senior managing official iii. 每位具控制權人士需分別填寫一份「自我證明表格-具控制權人士」 Complete "Self-certification: Controlling Person" for each Controlling Person	<input checked="" type="checkbox"/> 7. 消極的非金融外國法人或團體(超過 50% 之收入來自於被動收入(passive income)之一般法人或團體) Passive NFFE (Over 50% of such entity's gross income is passive income) <sup>5</sup> <input checked="" type="checkbox"/> 茲聲明本法人或團體非依美國法律組織設立、亦非屬金融機構(於美國屬地組織設立投資法人除外)、或前列各類法人或團體、或其他類法人或團體 <sup>6</sup> ，且以下聲明事項二擇一 I certify that the entity is a foreign entity that is not a financial institution (other than an investment entity organized in a possession of the United States) and is not certifying its status as a publicly traded NFFE (or affiliate), excepted territory NFFE, active NFFE, direct reporting NFFE, or sponsored direct reporting NFFE. Check whichever applies : <input type="checkbox"/> 本法人或團體無持股超過 25% 之美國籍股東(自然人)；或 I further certify that the entity has no substantial U.S. owners (or, if applicable, no controlling U.S. persons), or <input checked="" type="checkbox"/> 本法人或團體有持股超過 25% 之美國籍股東(自然人)，股東名單如下 I further certify that the entity has provided the name, address, and TIN of each substantial U.S. owner (or, if applicable, controlling U.S. person) of the NFFE below :				
		有持股超過 25% 之美國籍股東須填寫下表，另提供 W-9 Form 及外國帳戶稅收遵從法案申報同意函				
		有持股超過 25% 之股東，須再填寫『自我證明表格-具控制權人』部分 (第 18~20 頁)				
本法人資訊 The Entity	名稱 Name <input type="text"/>	英文名稱 English Name	英文地址 Address	具美國籍 US Person? <input type="checkbox"/> 是 <input type="checkbox"/> 否 N	美國稅籍編號 TIN	
具控制權人 1 Controlling person 1	陳大文	CHAN DA MAN	xxxxxxxxxxxxxx	<input checked="" type="checkbox"/> 是 <input type="checkbox"/> 否 N	987-65-4321	
具控制權人 2 Controlling person 2	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/> 是 <input type="checkbox"/> 否 N	<input type="text"/>	<input type="text"/>

<sup>3</sup> 搭配免稅證明者，則此書面聲明永久有效。With a certificate of tax exemption, this certification shall remain in full force and effect.

<sup>4</sup> 搭配可佐證未從事金融機構業務之文件，則此書面聲明永久有效。With documents proving that the entity is not engaged in FI business, this certificate shall remain in full force and effect.

<sup>5</sup> 屬具控制權之美國持有人者，應以英文填寫此書面聲明書；此書面聲明應每 3 年徵提一次。If you are a controlling U.S. person, the certificate shall be completed in English and shall be requisitioned every 3 years.

<sup>6</sup> 股票在證券市場正常交易的非金融外國實體或其關係企業、免受扣繳之美國屬地一般法人或團體(excepted territory NFFE)、積極的非金融外國法人或團體、或直接申報的一般法人或團體(direct reporting NFFE)、或受贊助的直接申報的非金融外國法人或團體(sponsored direct reporting NFFE)。

具控制權人 3 Controlling person 3		<input type="checkbox"/> 是 Y <input type="checkbox"/> 否 N
具控制權人 4 Controlling person 4	如多於 4 位具控制權人，請另影印填寫	<input type="checkbox"/> 是 Y <input type="checkbox"/> 否 N

\*積極的非金融法人：符合下列任一 An entity will be classified as Active NFE if it meets any of the following criteria: (1)少於 50%的總收入為被動收入 less than 50% of the NFE's gross income for the preceding calendar year is passive income ; (2)公開交易的非財務法人 the stock of the NFE is regularly traded on an established securities market ; (3)政府機構、國際組織、中央銀行或由前述的實體全權擁有的其他實體 the NFE is a Governmental Entity, an International Organization, a Central Bank, or an Entity wholly owned by one or more of the foregoing ; (4)非財務集團成員的控股公司 substantially all of the activities of the NFE consist of holding the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution ; (5)新創的非財務實體 the NFE is not yet operating a business and has no prior operating history (a "start-up NFE") ; (6)正在清算或從破產中恢復的非財務實體 the NFE is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations ; (7)非財務集團的資金中心 the NFE primarily engages in financing and hedging transactions with Related Entities ; (8)非營利組織 a "non-profit" NFE ;

\*具控制權人士:在 CRS 定義下係指一自然人持有該法人股份或資本超過 25%者；倘無具控制權之自然人時，應採取合理措施，確認擔任高階管理職位(如董事或總經理或其他具相當或類似職務之人)之自然人身分 Controlling Person: A natural person owns more than 25% of the company ; Where there's no natural person identified, financial institution should take reasonable measures to verify the identity of the relevant natural person who holds the position of senior managing official.

\*倘控制權人是持有該法人股份或資本超過 25%之自然人且為美國人士，除了此表格及「自我證明表格-具控制權人士」外，您尚需提供「外國帳戶稅收 遵從法案申報同意函(實質美國持有人專用)」與「外國帳戶稅收 遵從法案申報同意函(具控制權美國持有人)」 If you are a U.S. person, which owns more than 25% of the company, in addition to this form, you are required to complete the form "W-9" and "FATCA Declaration Form (US Taxpayer only)" to IRS.

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「稅務編號」)\*  
Country of Residence for Tax Purposes and related Taxpayer Identification Number or functional equivalent ("TIN")\*

請提供下列資料，列明 Please complete the following table indicating:

- (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(香港包括在內)，及 where the Account Holder is tax resident and
- (b) 該居留司法管轄區發給帳戶持有人的稅籍編號 the Account Holder's TIN for each country indicated

\*須列出所有(不限於5個)居留司法管轄區，倘超過5個居留司法管轄區，請提供獨立的工作表格

Please list "all" the tax residency (not limited to 5 countries). If the Account Holder is tax resident in more than three countries please use a separate sheet.

\*倘帳戶持有人是香港稅務居民，稅籍編號為其香港商業登記號碼

If the Account Holder is tax resident in Hong Kong, China, the TIN is Business Registration (BR) number.

\*倘沒有提供稅籍編號，須填寫合適的理由 If a TIN is unavailable please provide the appropriate reason A, B, C or D

- 理由A 帳戶持有人的居留司法管轄區並未向其居民發出稅籍編號  
The country where I am liable to pay tax does not issue TINs to its residents
- 理由B 帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得稅籍編號原因  
The Account Holder is otherwise unable to obtain a TIN or equivalent number(Please explain why you are unable to obtain a TIN or equivalent number below table if you have selected this reason)
- 理由C 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人揭露稅籍編號  
No TIN is required. (Note. Only select this reason if the authorities of the country of tax residence entered below do not require the TIN to be disclosed)
- 理由D 帳戶持有人的居留司法管轄區並未向其居民發出稅籍編號，但具有等同功能的辨識編號  
The country where I am liable to pay tax does not issue TINs to its residents, but does provide functional equivalent numbers.

如顧客之居留司法管轄區為中國、台灣、香港或其他具稅籍編號地區，並且未提供稅籍編號時，顧客只能為這些居留司法管轄選擇理由 B，並須提供不能取得稅務編號之原因

	居留司法管轄區 Country of tax residency	稅籍編號 TIN	如未提供稅務編號，填寫理由 A、B、C 或 D If no TIN available enter Reason A, B, C or D
1	TAIWAN	12345678	
2	SAMOA	無(或留空)	B
3	CHINA	無(或留空)	B
4			
5	各國稅籍編號規則請參見經濟合作暨發展組織之整理 <a href="http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/">http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/</a>		

倘選取理由 B，請說明理由 Please explain in the following boxes why you are unable to obtain a TIN if you selected Reason B above.

1		
2	XXXXXXXXXXXX	此為前表 2 號欄(SAMOA)的說明
3	XXXXXXXXXXXX	此為前表 3 號欄(CHINA)的說明
4		
5		

請按照欄位編號次序填寫。此例中，於上表 2 號欄填寫理由 B，請同樣於此表 2 號列填寫相應理由

倘選取理由 D，請提供等同功能的辨識號碼類別及編號

Please provide equivalent identification numbers in the following boxes if you selected Reason D above.

	等同功能的辨識號碼類別 Type of equivalent identification numbers	編號 Numbers
1		
2	請按照欄位編號次序填寫，即若於上表欄位有填寫理由 D，請於此表相應編號次序列填寫類別及辨識號碼	
3		
4		
5		

**聲明及簽署 Declaration and Signature**

本人知悉及同意，所提供的資訊，符合管理帳戶持有人與維護帳戶所有人財務關係的玉山銀行及其子公司和附屬公司的條款和條件，且財務機構可依據香港《稅務條例》(第 112 章)有關財務帳戶資訊交換的法律條文，(a)收集本表格所載資料並可備存作為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 understand that the information supplied by me is covered by the full provisions of the terms and conditions governing the Account Holder's relationship with E. SUN BANK setting out how E. SUN BANK may use and share the information supplied by me and agree that (a) the information contained in this form is collected and may be kept by the financial institution 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 the financial institution 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此表格 I certify that I am authorized to sign for the Account Holder in respect of all the account(s) to which this form relates.

本人聲明此表格的所有資料和聲明均屬真實、正確和完備 I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete.

本人承諾，倘情況有所變更，以致影響本表格所述的法人的稅務居民身分，或導致本表格所載的資料不正確，本人會於狀態變更之 30 日內通知玉山銀行並提交一份已適當更新的自我證明表格 I undertake to advise E. SUN BANK if any change in my status affects the tax residency status of the Account Holder identified in Part I of this form or cause E. SUN BANK a suitably updated self-certification and Declaration of such change in

公司章及負責人親簽，若為台灣註冊公司，請簽蓋經濟部大小章及負責人親簽。須與第四頁存戶立約簽署樣式之約定一致。

For and on behalf of ABC Company

簽名處  
Signature

*Chan Da Man*

公司負責人簽署 (有限公司適用) 及公司章/ 獨資經營者簽署 (獨資企業適用) 及公司章  
Signature(s) of responsible person(s) (applicable to limited company) and company chop / Signature of Sole Proprietor (applicable to sole proprietorship) and company chop

Authorized Signature(s)

正楷姓名  
Print Name

CHAN DA MAN

身份 Capacity

董事長

如: 公司之董事或高級人員、合夥的合夥人、信託的受託人等  
(e.g. Senior managing official, Partner or Trustee)

日期 Date

2018/06/01

(YYYY/MM/DD)

※警告: 根據香港《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 HKD\$10,000)罰款。Warning: According to the new section 80(2E) to be introduced by the Bill, the account holder would commit an offence only if it has been proved that he knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits an offence under subsection (2E) is liable on conviction to a fine (\$10,000) at level 3.

需全部勾選

# 自我證明表格-具控制權人 Self-Certification: Controlling Person

## 簡介 CRS - Common Reporting Standard

### 為什麼需要您填寫此表單? Why are we asking you to complete this form?

為了保護稅收制度的完整性，世界各國政府為財務機構引入新的資訊蒐集及申報要求。在經濟合作與發展組織(OECD)指導下，不少參與的稅務管轄區已承諾，並正在建立以共同申報標準(CRS)為基礎的財務帳戶資訊自動交換的全球標準，取得和交換境外納稅人的年度財務帳戶資訊。

To help protect the integrity of tax systems, governments around the world are introducing a new information gathering and reporting requirement for financial institutions. Under the guidance of the Organization for Economic Co-operation and Development (OECD), many participating jurisdictions have committed to establish global standards for Automatic Exchange of Information (AEIOI) based on the Common Reporting Standard (CRS), obtaining and exchanging foreign taxpayers of the annual financial account information.

在共同申報原則的規範下，玉山銀行被要求須確認您為「稅務居民」之地點(通常代表您須繳納所得稅之地點)。倘您為您的帳戶所在國以外的稅務居民，玉山銀行需要向香港稅務機關提供此資訊以及與您的帳戶相關的資訊，這些資訊並可與其他國家的稅務機關共享。

Under the CRS, we are required to determine where you are "tax resident" (this will usually be where you are liable to pay income taxes). If you are tax resident outside the country where your account is held we may need to give the national tax authority this information, along with information relating to your accounts. This information may be shared with other countries' tax authorities.

完成此表格，具控制權人應填寫此部分，包括持有開戶公司股份或資本超過 25% 之自然人、擔任高階管理職位(如董事或總經理或其他具相當或類似職務之人)之自然人等。請確保此資訊之正確性，請立即通知玉山銀行並且提供您最新之資訊。

Completing this form will ensure that we hold accurate and up-to-date information about your tax residence. If your circumstances change and any of the information provided in this form becomes incorrect, please let us know immediately and provide an updated Self-Certification.

### 誰應該填寫自我證明表格? Who should complete the CRS Controlling Person Self-Certification Form?

具控制權人應填寫此表格，當帳戶持有人為消極非金融法人(包括某些信託或投資工具)，須要這些被辨識為法人之最終控制人之個人完成此表格，此類人士稱為被控制權人；倘為聯名或複合帳戶持有人，所有帳戶持有者都需使用獨立表格。倘您需代表法人(包括企業、信託及合作夥伴)完成自我證明表格，請完成「自我證明表格-法人」；倘您為代表他人填寫此表格，請告知玉山銀行並提供授權書的核證副本。

Controlling person(s) should complete the form. When an account is held on behalf of a Passive Non-Financial Entity (including certain trust or investment vehicles), we need those individuals identified as having ultimate control of the entity to complete this form. These individuals are termed "controlling persons". For joint or multiple controlling persons each individual will need to complete a copy of the form. If you need to self-certify on behalf of an entity (which includes all businesses, trusts and partnerships), complete a "Self-Certification Form: Entity". If you are completing this form on behalf of someone else, please notify E. SUN BANK and provide a certified copy of the Power of Attorney.

※關於共同申報標準(CRS)的更多詳細資料，可在經濟合作與發展組織(OECD)共同申報原則 (CRS)的資訊自動交換(AEIOI)中，與香港共同申報原則指引相關的註解中找到。Further details can be found within the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information (the "CRS"), the associated Commentary to the CRS, and domestic guidance.

※請注意此檔案不是稅務和法務建議。如果您對此表格、共同申報標準(CRS)有任何問題，請聯絡稅務、法律和其他專業諮詢人士。Please note that the form is not for tax and legal advice. If you have any question regarding the form and CRS, please consult with tax, legal, or other areas of professionals.

### 第一部分：具控制權人的身分辨識資料 (每位具控制權人須分別填寫一份表格，\*為必填欄位)

#### Identification of Controlling Person (Each Controlling Person needs to complete a self-certificate) \*Required

1	具控制權人姓名 Name of Controlling Person
稱謂 Title	<input checked="" type="checkbox"/> 先生 Mr <input type="checkbox"/> 小姐 Mrs./Ms./Miss
姓氏 Family Name or Surname(s)*	CHAN
名字 First or Given name(s)*	DA MAN
中間名 Middle Name(s)	
2	國籍 Nationality*
<input type="checkbox"/> 香港身份證號碼 HKID Number : _____ 或 or <input type="checkbox"/> 香港護照號碼 Passport No : _____	
<input checked="" type="checkbox"/> 其他 Other : 臺灣、美國	可只填寫國籍
3	出生日期 Date of birth *
(YYYY/MM/DD)	1980 / 01 / 10
4	出生地點 Place of birth
鎮城市 City *	臺北
省/州 Province, County, State	
國家 Country *	臺灣
5	現時居住地址 Current Residence Address
第 1 行(如：室、樓層、大廈、街道、地區) Line 1 (House, Apt, Suite Name, Number, Street)	〇〇區〇〇路〇〇段〇〇號〇〇樓
第 2 行(城市*) Line 2 (City*)	〇〇市
第 3 行(如：省、州) Line 3 (Province, County, State)	
國家 Country*	臺灣
郵政編碼/郵遞區號碼 Postal Code / ZIP code	
6	通訊地址(如通訊地址與現時居住地址不同，填寫此欄)(不得為郵政信箱) Mailing Address (please only complete if different from the address shown in Section 5 above) (P.O. Box is not acceptable)

CRS 聲明表標示星號者為必填

控制權人多於一位時，請影印自我證明表格-具控制權人，並於填寫後騎縫提供予本行

第 1 行(如：室、樓層、大廈、街道、地區)

Line 1 (House, Apt, Suite Name, Number, Street)

第 2 行(城市\*) Line 2 (City\*)

第 3 行(如：省、州) Line 3 (Province, County, State)

國家 Country\*

郵政編碼/郵遞區號碼 Postal Code / ZIP code

7 請填寫您作為具控制權人之法人帳戶持有人的名稱\*  
Please enter the legal name of the relevant Entity Account Holder(s) of which you are a Controlling Person

法人名稱 A Legal name of Entity A **ABC COMPANY**

法人名稱 B Legal name of Entity B

法人名稱 C Legal name of Entity C

該控制權人所控制之法人至少  
要填本次開戶之公司；  
如有其他被控制之法人亦於  
香港分行開戶，請一併填寫

第二部分：居留司法管轄區及稅務編號或具有等同功能的辨識編號(以下簡稱「稅務編號」)

Country of Residence for Tax Purposes and related Taxpayer Identification Number or functional equivalent ("TIN")\*

請提供下列資料，列明Please complete the following table indicating:

(a) 具控制權人的居留司法管轄區，亦即具控制權人的稅務編號

(b) 該居留司法管轄區發給具控制權人的稅務編號

\*須列出**所有**(不限於5個)居留司法管轄區，倘超過5個居留司法管轄區

Please list **"all"** the tax residency (not limited to 5 countries/regions)

\*倘帳戶持有人的香港稅務居民，稅務編號為其香港身份證(HKID)號碼。

\*倘沒有提供稅務編號，須填寫合適的理由If a TIN is unavailable, please provide the reason

理由A 帳戶持有人的居留司法管轄區並未向其居民發出稅務編號

理由B 帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得稅務編號原因

理由C 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人揭露稅務編號

理由D 帳戶持有人的居留司法管轄區並未向其居民發出稅務編號，但具有等同功能的辨識編號

如顧客之居留司法管轄區為中國、台灣、香港或其他具稅籍編號地區，並且未提供稅籍編號時，顧客只能為這些司法管轄選擇理由 B 並須提供不能取得稅務編號之原因

Controlling Person is a tax resident; and

more than three countries please use a separate sheet.

Hong Kong, China, the TIN is Hong Kong Identity

Reason A, B, C or D where appropriate:

The country where the Controlling Person is liable to pay tax does not issue TINs to its residents

The Controlling Person is otherwise unable to obtain a TIN or equivalent number

No TIN is required. (Note. Only select this reason if the authorities of the country of tax residence entered below do not require the TIN to be disclosed)

The country where the Controlling Person is liable to pay tax does not issue TINs to its residents, but does provide functional equivalent numbers, e.g. Social Security Number, Social Insurance Number, ID Number or Residence Number.

	居留司法管轄區 Country of Tax Residency	稅務編號TIN	如未提供稅務編號，填寫理由A、B、C或D If no TIN available enter Reason A, B, C or D
1	TAIWAN	A123456789	
2	UNITED STATES	987-65-4321	
3			
4			
5			

各國稅籍編號規則請參見經濟合作暨發展組織之整理  
<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/>

倘選取理由B，請說明理由Please explain in the following boxes why you are unable to obtain a TIN if you selected Reason B above.

1	
2	
3	請按照欄位編號次序填寫，即若於上表欄位有填寫理由 B，請於此表相應編號次序列說明理由
4	
5	

倘選取理由D，請提供等同功能的辨識號碼類別及編號  
Please provide equivalent identification numbers in the following boxes if you selected Reason D above.

	等同功能的辨識號碼類別Type of equivalent identification numbers	編號Numbers
1		
2		
3	請按照欄位編號次序填寫，即若於上表欄位有填寫理由 D，請於此表相應編號次序列填寫類別及辨識號碼	
4		
5		

第三部分：具控制權人類別 Type of Controlling Person

請依據第一部分第 7 項所列之每一法人於適當的方格內勾選，列出具控制權人就每個法人所屬的控制權人類別 Based on Part I item 7, please complete this part if you are a tax resident in one or more Reportable Jurisdictions and provide the Controlling Person's Status by ticking the appropriate box.

具控制權人類別 Type of Controlling Person	法人A Entity A	法人B Entity B	法人C Entity C
<b>實體法人 Entity</b>			
擁有控制股權的個人(即擁有不少於25%的已發行股本) Control by more than 25% ownership	<input checked="" 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25%的表決權) Control by other means	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
擔任該法人的高級管理人員/對該法人的管理行使最終控制權的個人 Senior managing official	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>信託 Trust</b>			
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	<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	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>除信託以外之法律安排 Non-trust legal arrangement</b>			
處於相等/相類於財產授予人位置的個人 Settlor-equivalent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
處於相等/相類於受託人位置的個人 Trustee-equivalent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
處於相等/相類於保護人位置的個人 Protector-equivalent	<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 Beneficiary-equivalent	<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	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

\*如果您擁有控制股權的個人(即擁有不少於25%的已發行股本)或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25%的表決權)，且為美國的稅務居民，除了此表格外，您尚需填寫並提供美國國稅局(IRS)表格「W-9」與「告知事項暨客戶同意書(美國納稅義務人專用)」。  
If you are a U.S. person who controls by owning more than 25% ownership or by other means (i.e. having no less than 25% voting rights), in addition to this form, you are required to complete the form "W-9" and "FATCA Declaration Form (US Taxpayer only)" to IRS.

第四部份：聲明及簽署 Declarations and Signature

本人知悉及同意，所提供的資訊，符合管理帳戶持有人與維護帳戶所有人財務關係的玉山銀行及其子公司及附屬公司的條款和條件，且財務機構可依據香港《稅務條例》(第 112 章)有關財務帳戶資訊交換的法律條文，(a)收集本表格所載資料並可備存作為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 understand that the information supplied by me is covered by the full provisions of the terms and conditions governing the Account Holder's relationship with E. SUN BANK setting out how E. SUN BANK may use and share the information supplied by me and agree that (a) the information contained in this form is collected and may be kept by the financial institution 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 the financial institution to the Internal Revenue Service, the Internal Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities in the jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information under the Inland Revenue Ordinance (Cap.112).

本人證明，就與本表格所有相關的帳戶，本人是 I certify that I am the  具控制權人 Controlling Person  獲具控制權人授權簽署本表格 authorized to sign for the Controlling Person, of all the account(s) held by the entity Account Holder to which this form relates and where I am not the Controlling Person.

本人承諾，倘情況有所變更，以致影響本表格第一部分所述的具控制權人的稅務居民身分，或導致本表格所載的資料不正確，本人會於狀態變更之 30 日內通知玉山銀行並提交一份已適當更新的自我證明表格 I undertake to advise E. SUN BANK of any change in my tax residency status which affects the tax residency status of the individual identified in Part I of this form or causes the information provided in this form to be incorrect. I will notify E. SUN BANK within 30 days of the change in circumstances and submit a suitably updated self-certification and Declaration of such change in circumstances to E. SUN BANK with a suitably updated self-certification and Declaration of such change in circumstances to provide accurate information.

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 provided in this form is true, correct and complete to the best of my knowledge and belief, correct and complete.

具控制權人簽署(或具控制權人授權簽署之個人)

簽名處 Signature Chan Da Man (the Controlling Person (or authorized individual to sign for the Controlling Person))

正楷姓名 Print name CHAN DA MAN (如你不是第一部所述的個人，說明你的身分。如果你是以被授權人身分簽署這份表格，須夾附該授權書的核證副本。)

身份 Capacity 董事長 (If you are completing this form on behalf of someone else, please provide a certified copy of the Power of Attorney.)

日期 Date 2018/06/01 (YYYY/MM/DD)

※警告：根據香港《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 HKD\$10,000)罰款。  
Warning: According to the new section 80(2E) to be introduced by the Bill, the account holder would commit an offence only if it has been proved that he knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits an offence under subsection (2E) is liable on conviction to a fine (\$10,000) at level 3.

擇一勾選

需全部勾選

具控制權人本人填寫 CRS 自我證明表格-具控制權人

具控制權人委託他人填寫 CRS 自我證明表格-具控制權人(另須提供委託授權書)

親簽即可