宏利 Manulife

Policy No. 保單編號 | | | | | | | | | | | | |

Entity Tax Residency Self-Certification Form
實體稅務居民身份自我證明表格

Important Notes 重要事項:

- Tax law and regulations (including but not limited to the Inland Revenue Ordinance (Cap.112), the U.S. Foreign Account Tax Compliance Act (FATCA and regulations based on the Organisation for Economic Co-operation and Development (OECD) Common Reporting Standard (CRS) for automatic exchange of information) require Manulife to collect and report information about tax residence. In certain circumstances, Manulife may be obliged to provide certain information to governments, regulators and tax authorities concerning your tax residency and other tax-relevant data. 稅務法律及規例（包括但不限於《稅務條例》（第112 章）、美國《海外帳戶稅收合規法案》（FATCA）和根據自動交換資料有關的經濟合作與發展組織（OECD）《通用報告準則》（CRS）的規則）要求宏利收集及申報關於稅務居民的資料。在部份情況下，宏利可能有義務向政府、監管機構或稅務當局提供有關閣下稅務居民及與稅務相關的資料。

- This is a self-certification provided by you to Manulife for the purpose of automatic exchange of financial account information. The data collected may be transmitted by Manulife to the Inland Revenue Department for transfer to the tax authority of another jurisdiction, and/or directly to the tax authority of another jurisdiction. 這是由閣下向宏利提供的自我證明 ，以作自動交換財務帳戶資料用途。宏利可把收集所得的資料交給稅務局，稅務局會將資料交到另一稅務管轄區的稅務當局，及／或直接交給另一稅務管轄區的稅務當局。

- As a financial institution, Manulife is not allowed to give tax or legal advice. If you have any questions regarding your tax residency, please consult your tax adviser or the information for CRS at the following links at http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/ and http://www.ird.gov.hk/eng/tax/dta_aeoi.htm. 宏利不獲允許提供稅務或法律意見。若閣下對您的稅務居民狀態存有任何疑問，請詢問專業稅務顧問或瀏覽 http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance 及 http://www.ird.gov.hk/eng/tax/dta_aeoi.htm 網站 CRS資料。

- If the Entity is a Passive Non-Financial Entity, please also complete Controlling Person Tax Residency Self-Certification Form for each Controlling Person. If no natural person exercises control over the Entity which is a legal person, the controlling person will be the individual holding the position of senior managing official. 若為被動非財務實體，每名控權人請分別填寫控權人士稅務居民身份自行證明表格。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。

- If a valid CRS self-certification or a reasonable explanation and documentation (as appropriate) supporting the reasonableness of the CRS self-certification is not provided, you will be deemed as a reportable person of the country/jurisdiction for which your personal information indicated.假如閣下未能提供有效的CRS自我證明或合理解釋和證明文件（如適用）以支持CRS自我證明的合理性，閣下一律被視為其所持有個人資料之所屬國家／司法管轄區的申報對象。

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Please complete in BLOCK letters 請以正楷填寫此表格

1. Entity Information 實體資料

Legal Name of Entity or Branch 實體或分支機構的法定名稱

_____

Jurisdiction of Incorporation or Organisation 實體成立為法團或設立所在的稅務管轄區

_____

Hong Kong Business Registration Number
香港商業登記號碼 _____

Current Business Address
目前的營業地址

_____
[Room/Flat 室**/Floor** 樓**/Block** 座**]**

_____
[Name of Estate/Village/Building 屋村**/**大廈名稱**]**

_____
[Number and Name of Street/Road 街道名稱及號碼**]**

_____
[Name of Area 區域**/District** 地區**/Postal Code** 郵寄代碼**]**

_____
[City 城市**]** **[Country** 國家**]**

2. Entity Tax Status 實體稅務狀況

A. Declaration of U.S. Tax Status 美國稅務身份聲明

Is the Entity a United States person, being a U.S. corporation, partnership, estate or trust? 實體是否美國人士、美國公司、合夥組織、遺產、或信託？

☐ Yes 是 (Please provide the consent of the Entity to report and U.S. TIN by submitting the prescribed form/substitute Form W-9 as requested by Manulife. 請提交宏利所要求的指定表格／簡易 W-9 表格，以表示閣下同意申報並提供閣下的美國稅務識別號碼)

☐ No 否 (Please complete and submit the prescribed form/substitute Form W-8BEN-E as requested by Manulife. 請提交宏利所要求的指定表格／簡易 W-8BEN-E 表格，以表示閣下同意申報並提供閣下的美國稅務識別號碼)

B. Declaration of Tax Residency 稅務居民身份聲明

Please list all countries/jurisdictions (including Hong Kong) where the Entity is a resident for tax purposes and Taxpayer Identification Number or its Functional Equivalent (TIN) for each country / jurisdiction. If more than 3 countries / jurisdictions, use a separate sheet. If the Entity is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number. Please refer tax residency to OECD website: http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/#d.en.347760. 請列明實體在當地為符合稅務目的之居民的所有國家／司法管轄區(包括香港)以及該國家／司法管轄區發出的稅務編號或具有等同功能的識辨編號(TIN)。如多於3個國家／司法管轄區，使用另外紙張。如實體是香港稅務居民，稅務編號是其香港商業登記號碼。請參考經合組織網站的稅務居民：http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/#d.en.347760

If the Entity is not tax resident in any country/jurisdiction (e.g. fiscally transparent), please provide the country/jurisdiction in which its place of effective management is situated. 如果實體並非任何國家／司法管轄區的稅務居民（例如：財政透明實體），填寫實際管理機構所在的稅務管轄區。

#	Country/Jurisdiction of Tax Residency 稅務居民所在國家／司法管轄區	Taxpayer Identification Number or its Functional Equivalent (TIN) 稅務編號或具有等同功能的識辨編號	If no TIN is available, enter Reason A, B or C 若無稅務編號，填上理由 A、B 或 C
1			
2			
3			

Reason A: The country/jurisdiction where the Entity is a resident for tax purposes does not issue TINs to its residents.

理由A – 實體在當地為稅務居民的國家／司法管轄區不向其居民發出稅務編號。

Reason B: The Entity is unable to obtain a TIN. *(Please explain why you are unable to obtain TIN in the below table if you have selected this reason.)*

理由B – 實體無法獲得稅務編號。（若您選擇這理由，請在下表解釋閣下無法獲得稅務編號的原因。）

Reason C: No TIN is required. (*Note: Only select this reason if the domestic law of the relevant jurisdiction of residence does not require the TIN to be disclosed.)*

理由C – 無需稅務編號。（註：只有在相關司法管轄區的國內法律不需要披露該司法管轄區發出的稅務編號方可選擇這理由。）

Please explain in the following box why the Entity is unable to obtain a TIN if you selected Reason B above.
若實體選擇上方理由 B，請在以下方框內解釋無法獲得稅務編號的原因。

1	
2	
3	

Remarks 備註：

3. Entity Type 實體類別

Tick one of the appropriate boxes and provide the relevant information. 在其中一個適當的方格內加上✓ 號，並提供有關資料。

Financial Institution **財務機構**	☐ Custodial Institution, Depository Institution or Specified Insurance Company 託管機構、存款機構或指明保險公司 ☐ 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 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
Active Non-Financial Entity **主動非財務實體**	☐ NFE the stock of which is regularly traded on 該非財務實體的股票經常在 _____, which is an established securities market （一個具規模證券市場）進行買賣 ☐ Related entity of _____, 的有關連實體，the stock of which is regularly traded on 該有關連實體的股票經常在 _____, which is an established securities market （一個具規模證券市場）進行買賣 ☐ NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities 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 ☐ Active NFE other than the above 除上述以外的主動非財務實體 (Please specify 請說明 _____)
Passive Non-Financial Entity **被動非財務實體**	☐ Investment entity that is managed by another financial institution and located in a non-participating jurisdiction 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 ☐ NFE that is not an active NFE 不屬主動非財務實體的非財務實體

4. Declaration and Acknowledgement 聲明及確認

I/We declare that the information given and all statements made in this self-certification (which includes any separate sheet(s)) are, to the best of my knowledge and belief, true, correct and complete. 本人／吾等聲明就本人／吾等所知所信，本自我證明（包括使用另外紙張）內所填報的所有資料和聲明均屬是真實、正確及完備 。

I/We understand that the information supplied by me/us is covered by the full provisions of the terms and conditions governing the account holder's relationship with Manulife setting out how Manulife may use and share the information supplied by me/us. 本人／吾等明白，本人／吾等提供之資料受管限帳戶持有人與宏利之間關係的全部條 款及條件規定所限，該等規定列明了宏利可如何使用及分享本人提供之資料。

I/We undertake to advise Manulife of any change in circumstances which affects the tax residency status of the Entity identified in this self-certification or causes the information contained herein to become incorrect or incomplete, and to provide Manulife with a suitably updated self-certification within 30 days of such change in circumstances. 本人／吾等承諾，如情況有所改變，以致影響本自我證明所述的的實體稅務居民身份，或引致本自我證明所載的資料不正確或不完整，本人／吾等會通知宏利，並會在情況發生改變後30天內，向宏利提交一份適當更新的自我證明。

I/We acknowledge and agree that (a) the information contained in this self-certification is collected and may be kept by Manulife for the purpose of automatic exchange of financial information and (b) such information and information regarding the account holder and any reportable account(s) may be reported by Manulife to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another country/countries and jurisdiction(s) 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) and (c) I/We agree to the obligation that the account holder must comply with requests made by Manulife to comply with the CRS (AEOI) requirements under the Inland Revenue Ordinance and/or applicable law and regulation, and such obligation forms the basis of the policy to be issued. 本人／吾等確認及同意，宏利可根據《稅務條例》（第 112 章）有關交換財務帳戶資料的法律條文，(a)收集本自我證明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及 (c) 本人／吾等同意帳戶持有人必須遵守宏利的要求以便遵守《稅務條例》及／或適用法律及規例的CRS（AEOI）規定，並為日後簽發保單之基礎。

I/We confirm that I/we have received and read the Notice to Customers relating to the Personal Data (Privacy) Ordinance (version 20130401-01) ("Notice"). I/We understand and agree to the Notice. 本人／吾等已收訖及閱畢《有關〈個人資料（私隱）條例〉的客戶通知（20130401-01 版本）》（「通知」）。本人／吾等同意及確認該通知。

I certify that I am authorised to sign for the Entity of all the account(s) to which this form relates. 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。

Signature of Entity Applicant (signed by authorized signatories with names and company chop)

申請實體簽署 (獲授權簽署人簽署，連同姓名及公司蓋章)

Date (DD/MM/YYYY): _____

日期（日/月/年）

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. HK$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 3 級（即 HK$10,000）罰款。