

## Entity Tax Residency Self Certification Form (FATCA and CRS) 公司納稅居住地自行證明書 (FATCA 及 CRS)

**Please read these instructions before completing the form. 填寫自行證明書前，請先參閱下列指引。**

Regulations based on Foreign Account Tax Compliance Act (“FATCA”) and Organisation for Economic Co-operation and Development (“OECD”) Common Reporting Standard (“CRS”) require financial institutions to collect and report certain required information based on an account holder’s tax residence. Each jurisdiction has its own rules for defining tax residence. In general, for entities tax residence is defined as the jurisdiction where the entity has its place of management. Special circumstances may cause the entity to be resident elsewhere or resident in more than one jurisdiction at the same time (multiple residencies). For more information on tax residence, please consult your tax adviser or the information at the following link for FATCA and CRS at <https://www.irs.gov/> and <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/> respectively. 根據採用外國帳戶稅務遵從法（「FATCA」）及經濟合作與發展組織（OECD「經合組織」）共同申報準則（Common Reporting Standard/CRS）的法規，要求金融機構按照帳戶持有人的納稅居住地收集及匯報若干所需資料。每個司法管轄區均按其本身的規則釐定納稅居住地的定義。一般來說，公司納稅居住地定義為公司管理業務地的司法管轄區。若干特別情況可能會導致公司成為其他地方的居民，或同時成為超過一個國家的居民（多重居住地）。有關納稅居住地的詳情，請諮詢您的稅務顧問，或分別瀏覽下列有關 FATCA 及 CRS 網頁的資料：<https://www.irs.gov/> 及 <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>

If the tax residence of the account holder is located outside of the country in which this account is maintained, we may be legally obliged to pass on the information in this form and other financial information with respect to your financial accounts to the tax authorities in the country where the financial institution is located. 若帳戶持有人的納稅居住地位處的國家與開設本帳戶的國家不同，我們在法律上可能有責任把此自行證明書內的資料及與您的財務帳戶有關的其他財務資料，轉交金融機構位處國家的稅務機關。

This form will remain valid unless there is a change in circumstances relating to the account holder’s tax status, (e.g. a change in the ownership structure of the entity adding controlling person) or other mandatory fields included on this form. You must notify us within 30 days if there is a change in circumstance that makes any of the information provided in this form incorrect or incomplete and provide an updated self-certification form. 此自行證明書將一直有效，直至出現與帳戶持有人的稅務狀況（例如加入控權人士改變擁有權結構）或此自行證明書內必須填寫的其他欄目資料有關的情況變動為止。若出現任何可導致自行證明書所提供的資料失實或不完整的情況變動，您必須於 30 日內通知我們，並提交最新的自行證明書。

This form is intended to request information only where such request is not prohibited by applicable local law or regulations. 此自行證明書僅擬作要求提供資料之用，而有關要求不受適用的當地法律或法規所禁止。

**Please complete this form where you need to self-certify on behalf of an entity account holder. 若您代表公司帳戶持有人作出自行證明，請填妥此自行證明書。**

If you are an individual account holder or sole trader or sole proprietor do not complete this form. Instead please complete an “Individual/Controlling Person Self Certification Form (FATCA and CRS)”. 若您是個人帳戶持有人或唯一交易商或獨資經營者，請勿填寫此自行證明書。請您改為填寫「個人／控權人士自行證明書 (FATCA 及 CRS)」。

**Where the account holder is a passive non-financial entity (“NFE”), or an investment entity located in a non-participating jurisdiction managed by another financial institution. 若帳戶持有人為非實質營運的非金融實體，或位處不參與的司法管轄區並由另一家金融機構管理的投資公司**

Please provide information on the natural person(s) who exercise control over the account holder (such individuals referred to as “Controlling Person(s)”) by completing an “Individual/Controlling Person Self Certification Form (FATCA and CRS)” for each Controlling Person. This information should be provided in respect of any account holder which is a passive NFE or investment entities located in a non-participating jurisdiction and managed by another financial institution. 請就每名控權人士填寫一份「個人／控權人士自行證明書 (FATCA 及 CRS)」，提供有關可對帳戶持有人行使控制權的自然人的資料（該等個人稱為「控

權人士」 Controlling Person)。所提供的有關資料應與任何屬於非實質營運的非金融公司或位處不參與的司法管轄區並由另一家金融機構管理的投資公司的帳戶持有人有關。

**If you are completing the form on the account holder's behalf 若您代表帳戶持有人填寫自行證明書**

You should indicate the capacity in which you have signed in Section 4. For example, you may be completing the form under a signatory authority or power of attorney. 您應註明以甚麼身份在第 4 部分作出簽署。舉例說，您可能是在簽署人授權下或根據授權書填寫自行證明書。

**As a financial institution, we are not allowed to give tax or legal advice. 作為一家金融機構，我們不得提供稅務或法律意見。**

If you have any questions about this form, these instructions, or defining your tax residency status, please speak to your tax adviser or domestic tax authority. 如對此自行證明書、指引或釐定您的納稅居住地狀況有任何疑問，請與您的稅務顧問或當地稅務機關聯絡。

**Please return the completed and signed form to Manulife Asset Management (Hong Kong) Limited**

請把填妥及簽署的自行證明書交回宏利資產管理（香港）有限公司：

**Manulife Asset Management (Hong Kong) Limited**

23/F., Manulife Tower, One Bay East,

83 Hoi Bun Road, Kwun Tong,

Kowloon, Hong Kong

Telephone : (852) 2108 1110

Facsimile : (852) 2810 9510

**宏利資產管理（香港）有限公司**

香港九龍觀塘海濱道83號

宏利大樓23樓

電話：(852) 2108 1110

傳真：(852) 2810 9510

**Section 1: Account holder Identification****第 1 部分：帳戶持有人身份識別資料****Account holder details 帳戶持有人資料:**

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[Name – the “Entity” 名稱 – 「公司」]

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[Country of incorporation or organisation 註冊或組織成立地]

**Registered/Permanent office address 註冊／永久辦事處地址:**

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[Room/Flat/Block/Name of Building/Estate (if applicable) 室／樓／座／大廈／屋苑名稱（如適用）]

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[Street Number/Street Name 街道號碼／街道名稱]

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[City, Town 城市／城鎮]

[State or Province 州或省]

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[Postal/ZIP Code 郵遞／郵區編號]

[Country 國家]

**Mailing address (if different from above) 郵寄地址（如與上述不同）:**

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[Room/Flat/Block/Name of Building/Estate (if applicable) 室／樓／座／大廈／屋苑名稱（如適用）]

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[Street Number/Street Name 街道號碼／街道名稱]

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[City, Town 城市／城鎮]

[State or Province 州或省]

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[Postal/ZIP Code 郵遞／郵區編號]

[Country 國家]

**Section 2: TAX RESIDENCE(S)****第 2 部分：納稅居住地**

Please indicate all jurisdictions in which the Account Holder is resident for tax purposes and the associated Tax Identification Numbers (TINs) for each tax residence. 請註明帳戶持有人就稅務目的而言屬居民的所有司法管轄區及各納稅居住地的相關稅務識別號碼。

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

Is the Account Holder a Specified U.S. Person or U.S. Person 帳戶持有人是否為特定美國人士/美國人士？

Yes 是 - U.S. Federal Taxpayer Identification Number (“TIN”) 其美國聯邦納稅人識別號碼為：

\_\_\_\_\_

No 否

**B. Declaration of Tax Residence 納稅居住地聲明**

Please indicate the Account Holder’s country of tax residence, (if resident in more than one country please detail all countries of tax residence and associated TIN). 請註明帳戶持有人的納稅居住國（如居住地超過一個國家，請註明所有納稅居住國及其相關的納稅識別號碼）。

NOTE 註：Provision of a TIN is required unless the Account Holder is tax resident in a jurisdiction that does not issue a TIN. 除非帳戶持有人為不設納稅識別號碼的司法管轄區的稅務居民，否則必須提供納稅識別號碼。

If the Account Holder is not tax resident in any jurisdiction (e.g., because it is fiscally transparent), please provide the place of effective management or country in which its principal office is located. 若帳戶持有人並非任何司法管轄區的稅務居民（例如基於其財政透明），請提供其實際管理業務地，或主要辦事處所位處的國家。

Country/Jurisdiction of Tax Residency 納稅居住國/司法管轄區	TIN 納稅人識別號碼
1.	
2.	
3.	

**Section 3: ACCOUNT HOLDER'S CLASSIFICATION UNDER APPLICABLE TAX REGULATIONS****第 3 部分：帳戶持有人根據適用稅務法例的分類**

Is the Account Holder an Active Non-Financial Entity 帳戶持有人是否有實質業務活動的非金融實體？

- Active Non-Financial Entity - a corporation the stock of which is regularly traded on one or more established securities markets or a corporation which is a related entity of such a corporation 有實質業務活動的非金融實體 – 一家其股票經常於一個或以上認可證券市場買賣的公司，或一家屬於該公司相關實體的公司

Name of the established securities market on which stock is regularly traded 請列明有關認可證券市場的名稱：

\_\_\_\_\_

If the Account Holder is a related entity of a regularly traded corporation, provide the name of the regularly traded corporation 若帳戶持有人為一家屬於相關實體的公司，請提供於認可證券市場買賣公司的名稱：

\_\_\_\_\_

- Active Non-Financial Entity - Governmental entity, Central Bank or International Organisation 有實質業務活動的非金融實體 – 政府實體、中央銀行或國際組織

- Active Non-Financial Entity - others, please specify 有實質業務活動的非金融實體 – 其他，請列明：

\_\_\_\_\_

- If none of the above, please complete the below section A and section B 若以上皆非，請填寫下列 A 及 B 部

**A. FATCA Classification 外國帳戶稅務遵從法分類**

Please tick one of the below categories as appropriate 請別選以下其中一個合適分類：

<input type="checkbox"/>	a) Reporting FI in an IGA jurisdiction (please provide GIIN below) 跨政府協議司法管轄區內有申報義務的金融機構 (請在下欄提供全球中介機構識別號碼)																		
<input type="checkbox"/>	b) Participating Foreign Financial Institution in a non-IGA jurisdiction (please provide GIIN below) 非跨政府協議司法管轄區的參與海外金融機構 (請在下欄提供全球中介機構識別號碼)																		
<input type="checkbox"/>	c) Non-Participating Foreign Financial Institution 非參與海外金融機構																		
<input type="checkbox"/>	d) Deemed-Compliant Foreign Financial Institution (please provide GIIN below if you are a registered-deemed compliant foreign financial institution or sponsored entity with a GIIN) 視作合規海外金融機構 (倘您是已註冊視作合規海外金融機構或具有全球中介機構識別號碼的資助實體，請在下欄提供全球中介機構識別號碼) For Trustee documented trust or sponsored entity, please provide the name of the trustee or sponsor and associated GIIN 受託人信託或資助實體，請提供受託人或資助人名稱及相關全球中介機構識別號碼： Name of trustee(s) or sponsor(s) 受託人或資助人名稱: _____ Global Intermediary Identification Number (GIIN) of the trustee(s) or sponsor(s) 受託人或資助人的全球中介機構識別號碼: <table border="1" style="display: inline-table; margin-right: 20px;"> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> </table> <table border="1" style="display: inline-table; margin-right: 20px;"> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> </table> <table border="1" style="display: inline-table; margin-right: 20px;"> <tr><td> </td><td> </td></tr> </table> <table border="1" style="display: inline-table;"> <tr><td> </td><td> </td><td> </td><td> </td></tr> </table>																		
<input type="checkbox"/>	e) Exempt Beneficial Owner 獲豁免實益擁有人																		
<input type="checkbox"/>	f) Passive Non-Financial Foreign Entity 非實質營運的非金融海外實體 Please complete Individual/Controlling Person Self Certification Form (FATCA and CRS) 請填寫「個人/控權人士自行證明書 (FATCA and CRS)」																		
<input type="checkbox"/>	g) Others, please specify 其他，請註明: _____																		

Global Intermediary Identification Number (GIIN) of the account holder 全球中介機構識別號碼:

GIIN 全球中介機構識別號碼: 

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**B. CRS Classification 共同申報準則分類**

Please tick one of the below categories as appropriate 請選擇以下合適分類:

<input type="checkbox"/>	a) Financial Institution – other than a Professionally Managed Investment Entity (e.g. a fund), tax resident in a Non-Participating Jurisdiction under CRS 金融機構 - 不包括專業管理投資實體 (例如基金)，或根據共同申報準則為非參與司法管轄區稅務居民等
<input type="checkbox"/>	b) Professionally Managed Investment Entity, tax resident in a Non-Participating Jurisdiction under CRS 專業管理投資實體，或根據共同申報準則為非參與司法管轄區稅務居民 Please complete Individual/Controlling Person Self Certification Form (FATCA and CRS) 請填寫「個人/控權人士自行證明書 (FATCA and CRS)」
<input type="checkbox"/>	c) Passive Non-Financial Entity 非實質營運的非金融實體 Please complete Individual/Controlling Person Self Certification Form (FATCA and CRS) 請填寫「個人/控權人士自行證明書 (FATCA and CRS)」

## Section 4: Declarations and Undertakings

### 第 4 部分：聲明及承諾

I/We declare (as an authorised signatory of the Entity) that the information provided in this form is, to the best of my/our knowledge and belief, accurate and complete. 本人／我們（作為公司的獲授權簽署人）聲明盡本人／我們所知及所信，此自行證明書所提供的資料均為準確及完整。

I/We acknowledge and understand that the information contained in this self-certification and any reportable account(s) may be reported to the tax authorities of the country/jurisdiction in which this account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which I/we may be tax resident pursuant to intergovernmental agreements to exchange financial account information. 本人／我們確認及明白本自行證明書所載的資料及任何應申報帳戶的資料可能會根據關於與帳戶所在國家/司法管轄區交換財務帳戶資訊之政府間協議申報予本人／我們所在國家/司法管轄區的稅務機關，並與另一個國家/司法管轄區或若干國家司法管轄區稅務機關交換。

I/We have read and understood the applicable provisions of the latest prospectus of the relevant fund (the “Fund”) to which this account relates in relation to the gathering, storage, use, processing, disclosure and reporting of information provided by me/us in connection with the satisfaction of any governmental and/or regulatory requirements and/or other legal obligations relating to, but not limited to, information sharing and tax reporting, which may be applicable to the Fund from time to time, and agree and undertake to be bound by such terms (as they may be amended from time to time) and to perform all obligations thereunder. 本人／我們已閱覽並明白有關基金（「基金」）的最新售股章程內與本帳戶有關並適用於收集、儲存、使用、處理、披露及匯報由本人／我們所提供的資料的條文，以符合可能不時適用於基金的有關（但不限於）資料分享及稅務匯報的任何政府及／或監管規定及／或其他法律責任，並同意及承諾受該等條款（可能不時經修訂）所約束，以及履行其所有相關責任。

I/We acknowledge, consent to and instruct (a) the gathering, retention and processing of any information contained in this form (as such information may be updated from time to time) and any other information regarding the account holder provided by me/us, by the Fund and/or any distributor of the Fund and/or any other entity duly designated by the Fund, (b) the transfer of such information to any administrative support provider and processor located within the EEA, Canada and India, where the transfer is necessary for the maintenance of records or administration of the information, and (c) the disclosure and reporting of any such information to any governmental or regulatory authority, including relevant tax authorities, of the country in which this account is maintained and the exchange of such information with any governmental, regulatory or tax authorities of any other country or countries in which the account holder may be tax resident where such countries (or governmental, regulatory or tax authorities in such countries) have entered into Agreements to exchange financial account information in connection with FATCA and/or OECD CRS. 本人／我們確認、同意及指示 (a) 收集、保留及處理此自行證明書所載的任何資料（該等資料可能不時更新），以及由本人／我們所提供，或由基金及／或基金的任何分銷商及／或基金正式指定的任何其他公司所提供的有關帳戶持有人的任何其他資料；(b) 把該等資料轉送至位處歐洲經濟區、加拿大及印度的任何行政支援服務供應商及處理器，而在保存資料紀錄或行政管理上必需轉送該等資料；及 (c) 向開設本帳戶的國家的任何政府或監管機關（包括有關稅務機關）披露及匯報任何該等資料，以及與帳戶持有人可能為稅務居民的一個或多個國家的任何政府、監管或稅務機關交換該等資料，而該等國家（或該等國家的政府、監管或稅務機關）已就外國帳戶稅務遵從法及／或經合組織的 CRS 簽訂交換財務帳戶資料協議。

#### **Applicable to Hong Kong account holders only 僅適用於香港帳戶持有人**

I/We agree that any personal information collected from me/us under this form may be used, transferred and retained in the manner and for the purposes set out in the “Personal Information Collection Statement” attached to the Client Agreement between the account holder and Manulife Asset Management (Hong Kong) Limited, as amended from time to time, or otherwise attached hereto (as applicable). 本人／我們同意此自行證明書所載由本人／我們收集的任何個人資料，可按照帳戶持有人與宏利資產管理（香港）有限公司簽訂的客戶協議（不時經修訂）所附的「個人資料收集聲明」或此自行證明書隨附的其他聲明（如適用）所載的方式及為該聲明所載的目的而使用、轉交及保存。

I/We undertake to advise the recipient and provide an updated self-certification form within 30 days of the occurrence of any change in circumstance which causes any of the information contained in this form to be incorrect or incomplete. 本人／我們承諾在任何可導致此自行證明書所載資料失實或不完整的情況變動發生後 30 日內通知收件人，以及提供最新的自行證明書。

**Authorised Signature(s)\* 獲授權簽署\*:**

\_\_\_\_\_  
[Authorised signature #1 獲授權簽署 #1]

\_\_\_\_\_  
[Authorised signature #2 獲授權簽署 #2]

\_\_\_\_\_  
[Print name #1 正楷姓名 #1]

\_\_\_\_\_  
[Print name #2 正楷姓名 #2]

\_\_\_\_\_  
[Date 日期 (dd/mm/yyyy 日/月/年)]

\_\_\_\_\_  
[Date 日期 (dd/mm/yyyy 日/月/年)]

**Note 附註:** If you are not the account holder please indicate the capacity in which you are signing the form. If signing under a power of attorney please also attach a certified copy of the power of attorney. 若您並非帳戶持有人，請註明您簽署自行證明書的身份。若您是根據授權書簽署，請同時附上經核證的授權書副本。

**Capacity in which declaration is made\*以下列身份作出聲明\*:**

\_\_\_\_\_  
[Authorised signature #1 獲授權簽署 #1]

\_\_\_\_\_  
[Authorised signature #2 獲授權簽署 #2]