



自我證明表格  
Self-Certification Form

**重要提示: Important Notes:**

- 這是帳戶持有人向申報財務機構提供的自我證明表格，以作自動交換財務帳戶資料用途。申報財務機構可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。This is a self-certification form provided by an account holder to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- 如帳戶持有人的稅務居民身分有所改變，應盡快在 30 日內將所有變更通知申報財務機構。An account holder should report all changes in his/her tax residency status to the reporting financial institution within 30 days of such change.
- 除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄/部標有星號 (\*) 的項目為申報財務機構須向稅務局申報的資料。All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (\*) are required to be reported by the reporting financial institution to the Inland Revenue Department.

**第 1 部 輝立證券集團帳戶資料 Part 1 Phillip Securities Group Account Information**

請在你所持有帳戶的公司方格內加上✓號及提供其帳戶號碼:

Tick the appropriate box to indicate which company you maintain an account with and provide the account no.:

輝立證券集團公司 Phillip Securities Group Company	客戶號碼 Account No.:	經紀號碼 A.E. No.:
<input type="checkbox"/> 輝立證券(香港)有限公司 Phillip Securities (Hong Kong) Limited		
<input type="checkbox"/> 輝立商品(香港)有限公司 Phillip Commodities (HK) Limited		
<input type="checkbox"/> 輝立金業有限公司 Phillip Bullion Limited		

**第 2 部 帳戶持有人的身分識辨資料 Part 2 Identification of Account Holder**

姓名 Name	*姓氏 Last Name or Surname		*名字 First or Given Name		
香港身份證或護照號碼 Hong Kong Identity Card or Passport No.	出生日期* (日/月/年) Date of Birth * (dd/mm/yyyy)				
現時住址 Current Residence Address	室 Suite	樓層 Floor	大廈 Building	街道 Street	地區 District
	*城市 City	省 Province	州 State	*國家 Country	郵政編號 Postal Code
通訊地址 Mailing Address (如通訊地址與現時住址不同時 填寫) (Complete if different to the current residence address)	室 Suite	樓層 Floor	大廈 Building	街道 Street	地區 District
	*城市 City	省 Province	州 State	*國家 Country	郵政編號 Postal Code

**第 3 部 稅務管轄區及稅務編號或具有等同功能的識辨編號 (以下簡稱「稅務編號」) \***

**Part 3 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") \***

根據《稅務條例》有關交換財務帳戶資料的法律條文，請提供你的稅務編號。如果你是香港稅務居民，稅務編號是其香港身份證號碼。如沒有提供稅務編號，必須填寫合適的理由:

- 理由 A - 帳戶持有人的居留稅務管轄區並沒有向其居民發出稅務編號。  
理由 B - 帳戶持有人毋須提供稅務編號。居留稅務管轄區的主管機關不需要帳戶持有人披露稅務編號。  
理由 C - 帳戶持有人不能取得稅務編號。(如選取理由 C，解釋控權人不能取得稅務編號的原因)

Pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance. Please provide your jurisdiction of residence where the account holder is a resident for tax purposes and TIN for each jurisdiction indicated. If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. If a TIN is unavailable, provide an appropriate reason:

- Reason A - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.  
Reason B - TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.  
Reason C - The account holder is unable to obtain a TIN. (Explain why the account holder is unable to obtain a TIN if you have selected Reason C)

<input type="checkbox"/>	本人只持有香港稅務居民資格 I hold Hong Kong Tax resident only				
<input type="checkbox"/>	本人持有香港以外稅務居民資格 I hold tax residents other than Hong Kong				
稅務管轄區: Jurisdiction of Residence:	(1)	(2)	(3)	(4)	(5)
稅務編號: TIN:	(1)	(2)	(3)	(4)	(5)
沒有稅務編號理由: No TIN Reason:	<input type="checkbox"/> 理由 A Reason A <input type="checkbox"/> 理由 B Reason B <input type="checkbox"/> 理由 C Reason C	<input type="checkbox"/> 理由 A Reason A <input type="checkbox"/> 理由 B Reason B <input type="checkbox"/> 理由 C Reason C	<input type="checkbox"/> 理由 A Reason A <input type="checkbox"/> 理由 B Reason B <input type="checkbox"/> 理由 C Reason C	<input type="checkbox"/> 理由 A Reason A <input type="checkbox"/> 理由 B Reason B <input type="checkbox"/> 理由 C Reason C	<input type="checkbox"/> 理由 A Reason A <input type="checkbox"/> 理由 B Reason B <input type="checkbox"/> 理由 C Reason C
選取理由 C 的原因: Explanation to selected Reason C:					



#### 第 4 部聲明及簽署 Part 4 Declarations and Signature

我知悉及同意，輝立證券集團可根據《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文，(a) 收集本表格所載資料並可備存作自動交換財務帳戶資料用途及 (b) 把該等資料和關於我的資料向香港特別行政區政府稅務局申報，從而把資料轉交到我的居留司法管轄區的稅務當局。

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by Phillip Securities Group 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).

我確認自我證明表格(“表格”)中提供的信息和聲明是真實和準確的。我承諾，如情況有所改變，以致影響本表格所述的個人的稅務居民身分，或引致本表格第 1 部所載的資料不正確，我會通知輝立證券集團，並會在情況發生改變後 30 日內，向輝立證券集團提交一份已適當更新的自我證明表格。輝立證券集團有權聯繫任何人，包括客戶的銀行，經紀人或任何信用機構，以驗證本表格上提供的信息。

I declare that the information given and statements made in this Self-Certification Form (“the Form”) is true and accurate. I undertake to advise Phillip Securities Group of any change in circumstances which affects the tax residency status of the Account Holder of this form or causes the information contained herein to become incorrect, and to provide Phillip Securities Group with a suitably updated the Form within 30 days of such change in circumstances. Phillip Securities Group is authorized to contact anyone, including Customer’s banks, brokers or any credit agency, for verifying the information provided on this Form.

#### 簽署人 Signed by:

帳戶持有人簽署 Account Holder Signature:

日期 Date:

**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\$10,000)罰款。

**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. \$10,000).