



Self-Certification Form – Entity
(Applicable to Automatic Exchange of Financial Account Information (“AEOI”) and Foreign Account Tax Compliance Act (“FATCA”))

Client Information

Client Name: _____ Account No: _____

A. Certification of Account Status

Part 1. Automatic Exchange of Financial Account Information

Important Notes:

- This is a self-certification form provided by an account holder to Haitong International Securities Group Limited and its subsidiaries (together “HTISG”) for the purpose of automatic exchange of financial account information. The data collected may be transmitted by HTISG to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- An account holder should report all changes in its tax residency status to HTISG as soon as practicable.
- All parts of the form must be completed (except for those not applicable or otherwise specified). If there is not enough space, you may provide your information on additional sheet(s). Information in fields/parts marked with an asterisk (*) are required to be reported by HTISG to the Inland Revenue Department.

I. Entity Type *

Tick one of the appropriate boxes and provide the relevant information.

Financial Institution	<input type="checkbox"/> Custodial Institution, Depository Institution or Specified Insurance Company <input type="checkbox"/> 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
Active NFE	<input type="checkbox"/> NFE the stock of which is regularly traded on _____ which is an established securities market <input type="checkbox"/> Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market <input type="checkbox"/> 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"/> Active NFE other than the above (Please specify _____)
Passive NFE	<input type="checkbox"/> Investment entity that is managed by another financial institution and located in a non-participating jurisdiction <input type="checkbox"/> NFE that is not an active NFE

For Official Use Only
CRS Status
CRS ENTY TYP SEQ
1
2
3
4
5
6
7
8

II. Controlling Persons (Complete this part if the entity account holder is a passive NFE)

Indicate the name of all controlling person(s) of the account holder in the table below. 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. Complete Self-Certification Form – Controlling Person for each controlling person.

(1)	(5)
(2)	(6)
(3)	(7)
(4)	(8)



III. Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”) *

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a **resident for tax purposes** and (b) the account holder’s TIN for each jurisdiction. Indicate **all** (not restricted to five) jurisdictions of residence.

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number.

If the account holder is not a tax resident in any jurisdiction (e.g. fiscally transparent), indicate the jurisdiction in which its place of effective management is situated.

If a TIN is unavailable, provide the appropriate reason A, B or C:

Reason A – The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

Reason B – The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.

Reason C – TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

Jurisdiction of Residence	TIN *	Enter Reason A, B or C if no TIN is available	Explain why the account holder is unable to obtain a TIN if you have selected Reason B	Add / Update
(1)				
(2)				
(3)				
(4)				
(5)				

Part 2 Foreign Account Tax Compliance Act

Disclaimer:

- The account holder is advised to refer to the US IRS website (<http://www.irs.gov/>) for details in respect of FATCA.
- The account holder shall be fully responsible for the confirmation of his/her/its FATCA status and other information submitted hereunder.
- The account holder shall ensure the information given and statements made in this form are true, correct and complete, HTISG shall not be liable for any errors or loss that results from such information and statements.
- HTISG is unable to offer any tax or legal advice to the account holder, for any related question, the account holder is advised to consult his/her/its tax and legal advisors.

Which of the following statements best describes you? Please select only 1 of the following s from category A or B.

U.S. Entities	
If you are incorporated, established, constituted or organized in the U.S., please complete and submit U.S. IRS Form W9.	U.S. Entities

A. Financial Institution You are a financial institution, and		
<input type="checkbox"/>	You are <input type="checkbox"/> Participating FFI ⁱ <input type="checkbox"/> Registered deemed-compliant FFI ⁱⁱ <input type="checkbox"/> Reporting Model 1 FFI ⁱⁱⁱ <input type="checkbox"/> Reporting Model 2 FFI ^{iv} Global Intermediary Identification Number (GIIN) : _____	Participating FFI/ Reporting Model 1 FFI/Reporting Model 2 FFI
<input type="checkbox"/>	You are a Non-Participating FFI.	Non-Participating FFI
<input type="checkbox"/>	You are none of the above and please complete and submit the appropriate U.S. IRS Form W-8.	

For Official Use Only	
FI / GIIN	Fatca Enty Typ Seq
FI GIIN	3
	7
	4
	5
FI	35
FI	W-8BEN-E/ W-8IMY



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).

Please complete this self-certification form carefully. Please refer to the information on the website of Hong Kong Inland Revenue Department http://www.ird.gov.hk/eng/tax/dta_aeoi.htm or the website of OECD <http://www.oecd.org/tax/automatic-exchange/> or US IRS website <http://www.irs.gov/> and consult your tax, legal and/or other professional advisers if you have any question on or in relation to AEOI, FATCA, any of the U.S. IRS form (including which U.S. IRS form to complete and submit) or this self-certification form.

- i. Participating FFI is an FFI that has agreed to comply with the terms of an FFI agreement. The term participating FFI also includes a qualified intermediary (QI) branch of a U.S. financial institution, unless such branch is a reporting Model 1 FFI.
- ii. A Registered Deemed Compliant FFI (RDCFFI) means: (1) an FFI that is registering to confirm that it meets the requirements to be treated as a local FFI, non-reporting FI member of a PFFI group, qualified collective investment vehicle, restricted fund, qualified credit card issuer, or sponsored investment entity or controlled foreign corporation (see Treas. Reg. §1.1471-5(f)(1)(i) for more information about these categories), (2) a Reporting FI under a Model 1 IGA and that is registering to obtain a GIIN, or (3) an FFI that is treated as a Non-reporting FI under a Model 1 or 2 IGA and that is registering pursuant to the applicable Model 1 or 2 IGA.
- iii. A Model 1 IGA means an agreement between the U.S. or the Treasury Department and a foreign government or one or more agencies to implement FATCA through reporting by FFIs to such foreign government or agency thereof, followed by automatic exchange of the reported information with the IRS. An FFI in a Model 1 IGA jurisdiction that performs account reporting to the jurisdiction’s government is referred to as a Reporting Model 1 FFI.
- iv. A model 2 IGA means an agreement or arrangement between the U.S. or the Treasury Department and a foreign government or one or more agencies to implement FATCA through reporting by FFIs directly to the IRS in accordance with the requirements of an FFI agreement, supplemented by the exchange of information between such foreign government or agency thereof and the IRS. An FFI in a Model 2 IGA jurisdiction that has entered into an FFI agreement is a participating FFI, but may be referred to as a reporting Model 2 FFI.

For Official Use Only					
Signature Verified By :	Account Holder Type	Tax Residence	TIN	Add	Update
	<input type="checkbox"/> CRS101 Passive Non-Financial Entity with - one or more controlling person that is a Reportable Person	1. _____	1. _____	1. <input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/> CRS102 Reportable Person	2. _____	2. _____	2. <input type="checkbox"/>	<input type="checkbox"/>
		3. _____	3. _____	3. <input type="checkbox"/>	<input type="checkbox"/>
		4. _____	4. _____	4. <input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/> CRS103 Passive Non-Financial Entity that is a Reportable Person	5. _____	5. _____	5. <input type="checkbox"/>	<input type="checkbox"/>