



**Self-Certification Form – Individual/ Joint Account**  
(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**

Please complete the following information for an individual and/or joint account. Please note that in the case of a joint account, each client is required to complete a separate self-certification form.

**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 his/her tax residency status or other information (if necessary) to HTISG as soon as practicable.
- All parts of this 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.

**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 Identity Card Number. 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 <b>A, B</b> or <b>C</b> if no TIN is available	Explain why the account holder is unable to obtain a TIN if you have selected Reason <b>B</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.

Please tick either (1) or (2) or (3) and complete as appropriate:

1.  I confirm that I am a U.S. citizen and/or resident in the U.S. for tax purposes (Green Card Holder or resident under the substantial presence test)



2.  I confirm that I was born in the U.S. (or U.S. territory) but am no longer a U.S. citizen as I have voluntarily surrendered my citizenship as evidenced by the Certificate of Loss of Nationality of the United States.
3.  I confirm that I am not a U.S. citizen or resident in the U.S. for tax purposes.

The substantial presence test is generally met with respect to any calendar year if (a) the individual is present in the U.S. at least 31 days during such year and (b) the sum of the number of days in which such individual is present in the U.S. during such year, 1/3 of the number of such days during the first preceding year, and 1/6 of the number of such days during the second preceding year, equals or exceeds 183 days.

**B. Declarations and Signature**

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

Subject to applicable local laws, I hereby give my consent to HTISG for sharing my information with domestic and overseas regulators or tax authorities where necessary to establish my tax liability in any jurisdiction. Where required by domestic or overseas regulators or tax authorities, I consent and agree that HTISG may withhold from my account(s) such amount as may be required according to applicable laws, regulations and directives.

I certify that I am the account holder of all the account(s) to which this form relates. I undertake to advise HTISG of any change in any information or any circumstances which affects the tax residency status of the individual identified in this form or causes the information contained herein to become incorrect, and to provide HTISG with a suitably updated self-certification form within 30 days of such change in circumstances or information.

**I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.**

Client Signature \_\_\_\_\_

Date (DD/MM/YYYY) \_\_\_\_\_

**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](http://www.ird.gov.hk/eng/tax/dta_aeoi.htm), 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 questions 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.**

**For Official Use Only**

Signature Verified By :	Tax Residence	TIN	Add	Update	FATCA Status
	1. _____	1. _____	1. <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> <b>U.S. Individual</b> 美國人士 <input type="checkbox"/> <b>Non-U.S. Individual (without US indicia)</b> 非美國人士 但沒有美國人士特徵 <input type="checkbox"/> <b>Non-U.S. Individual (with US indicia)</b> 非美國人士 但有美國人士特徵
	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"/>	
	5. _____	5. _____	5. <input type="checkbox"/>	<input type="checkbox"/>	