

Self-Certification Form – Entity

Important Notes:

- This self-certification should be completed only by an entity (including a trust or a company) that is an applicant / account holder (both are referred to as "account holder").
- This is a self-certification provided by an account holder to each of CCB International (Holdings) Limited and any of its subsidiaries (including but not limited to CCB International Asset Management Limited, CCB International Securities Limited and CCB International Capital Limited) (collectively, the "Company") for the purpose of automatic exchange of financial account information ("AEOI") and the U.S. Foreign Account Tax Compliance Act ("FATCA"). The data collected may be transmitted by the Company to the Hong Kong Inland Revenue Department ("IRD") or any other relevant domestic or foreign tax authority for transfer to the tax authority of another jurisdiction. The data collected may be transmitted by the Company to the U.S. Internal Revenue Service ("IRS"). The Company may be required under FATCA to impose withholding tax on certain payments to the account(s).
- An account holder must report any change in its tax residence status or other any material change in this form including a change in the Controlling Persons identified in Part 3 to the Company within 30 days of that change.
- Please see the IRD website for the definitions of the terms used in this form and further guidance on AEOI in Hong Kong: http://www.ird.gov.hk/eng/tax/dta_aeoi.htm
- Please see the agreement between Hong Kong and the United States for the implementation of FATCA in Hong Kong: <http://www.fstb.gov.hk/fsb/topical/doc/HK-USIGA.pdf>
- All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s).
- If you submit this form together with an Account Opening Form, then this form forms a part of the Account Opening Form.
- If you submit this form together with an Account Opening Form, please skip lines (2), (3), (4) and (5) of Part 1 because this information is already provided in the Account Opening Form.

Part 1 Identification of Entity Account Holder

(For joint or multiple account holders, complete a separate form for each account holder.)

- (1) **Legal Name of Entity or Branch** _____
- (2) **Jurisdiction of Incorporation or Organisation** _____
- (3) **Hong Kong Business Registration Number** _____
- (4) **Current Business Address** _____
 Line 1 (e.g. Suite, Floor, Building, Street, District) _____
 Line 2 (City) _____
 Line 3 (e.g. Province, State) _____
 Country _____
 Post Code/ZIP Code _____
- (5) **Mailing Address** (Complete if different to the current residence address)
 Line 1 (e.g. Suite, Floor, Building, Street, District) _____
 Line 2 (City) _____
 Line 3 (e.g. Province, State) _____
 Country _____
 Post Code/ZIP Code _____

Part 2 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 If the entity is a Financial Institution, please provide the entity's Global Intermediary Identification Number ("GIIN") obtained for FATCA purposes: _____
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

Please see the IRD website for the definitions of the terms "Financial Institution," "Active NFE" and "Passive NFE": (<http://www.ird.gov.hk/eng/pdf/2016/terms.pdf>) or ask the Company to provide you with a copy of the IRD's definitions.

Please indicate here in the entity's type is different for FATCA and AEOI purposes: _____

Part 3 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.

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

Please see the IRD website for the definition of the term "Controlling Person" (<http://www.ird.gov.hk/eng/pdf/2016/terms.pdf>) or ask the Company to provide you with a copy of the IRD's definition.

Please indicate here if the entity has different Controlling Persons for FATCA and AEOI purposes: _____

You must complete a "Self-Certification Form – Controlling Person" for each controlling person.

Part 4 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 indicated. Indicate **all** 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
(1)			
(2)			
(3)			
(4)			
(5)			

* If more than 5 jurisdictions, please provide in a separate document and append herein.

Part 5 Declarations and Signature

We agree to provide the Company with all documents, certifications and information that the Company may require at its sole discretion in order to satisfy the Company's obligations under the applicable laws and regulations in Hong Kong and other jurisdictions.

We, on behalf of the entity identified in Part 1 of this form (the "entity"), hereby consent for the Company to disclose and share information, documentation or certification concerning the entity, the entity’s beneficiaries, the entity's Controlling Persons if the entity is a Passive NFE, and third parties for whom the entity is acting as agent, including but not limited to the entity’s corporate and account information or records, with any third party, including but not limited to any legal, regulatory, government, tax or law enforcement body within or outside of Hong Kong.

We acknowledge and agree that (a) the information contained in this form is collected and may be kept by the Company for the purpose of automatic exchange of financial account information under AEOI and FATCA; (b) such information and information regarding the account holder, the controlling person and any reportable account(s) may be reported by the Company to the IRD or any other domestic or foreign tax authority 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) and the applicable AEOI rules; and (c) such information and information regarding the account holder and any reportable account(s) may be reported by the Company to the IRS.

We waive all rights we have, if any, to prohibit or restrict disclosure of information as required under AEOI, FATCA and the applicable domestic and foreign laws and regulations.

We agree that we will submit a suitably updated self-certification form within 30 days of any change in circumstances which affects the tax residency status of the entity or causes the information contained herein to become incorrect (including but not limited to any changes related to the identity and the tax residency of the Controlling Persons of a Passive NFE).

No provision in this certification shall prejudice any consent, representation, undertaking or indemnity given by the entity (or on the entity’s behalf) or any other obligation or liability undertaken by the entity (or on the entity’s behalf) under or in connection with any agreement between myself and the Company, including but not limited to the applicable terms & conditions.

In the case of any inconsistency between the English version and the Chinese translation of this form, the English version shall apply and prevail.

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

Signature _____

Name _____

Capacity* _____

I certify that I am authorized to sign for the entity of all the account(s) to which this form relates.

Date (dd/mm/yyyy) _____

* For example, director or officer of a company, partner of a partnership, trustee of a trust etc.

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.