

# Tax Declaration and Self-Certification

## 稅務聲明及自我證明

*For individual investors – (Hong Kong only)*

個人投資者 – (僅適用於香港)

### Introduction

Under Automatic Exchange of Information (AEOI) regulations we are required to obtain certain information from our investors, including where they were born, their nationalities, countries of tax residence\*, related tax identification numbers\*\* and their 'self-certification' that the information they provide is true and complete. We may have to provide this information to our domestic tax authority who may share it with overseas tax authorities.

### \*Country of tax residence

Normally you are resident for taxation in the country in which you spend the majority of your time each year. However, some countries (e.g., the United States) may also treat an individual as resident for taxation based on their nationality or citizenship. Because tax residence is determined by the country in which tax is paid, it is possible to be tax resident in more than one country.

### \*\*Tax identification number (TIN)

TIN stands for 'Tax Identification Number' and is a country specific unique number issued to an individual or entity for tax administration purposes. A detailed explanation of country specific TINs is provided by the Organisation for Economic Co-operation and Development's (OECD) on its website <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/#d.en.347759>.

### Change of circumstances

The information in this form and your self-certification will remain valid unless there is a change of circumstance which affects that information. If we receive information which suggests your country of tax residence has changed, we may ask you to complete another self-certification. You must notify us if there is a change in circumstance that makes this form incorrect or incomplete.

### 簡介

根據自動交換資料(AEOI)規例，本公司須取得投資者的若干資料，包括出生地、國籍、稅務居民管轄區\*、相關稅務識別編號\*\*，以及其自我證明所提供資料屬真實完整。本公司可能須提供本資料予境內稅務機關，而該機關可能會與境外稅務機關共享本資料。

### \*稅務居民管轄區

在一般情況下，投資者的稅務居民管轄區是指您每年逗留時間最長的國家。然而，有些國家（如美國）亦可能會根據國籍或公民身份將某位人士列作稅務居民。由於稅務居民身份由繳交稅款的國家而決定，投資者可能成為多於一個國家的稅務居民。

### \*\*稅務識別編號(TIN)

TIN指「稅務識別編號」，為個別國家分配給個人或實體作稅務管理用途的獨特號碼。經濟合作與發展組織(OECD)於其網站載有各國特定TIN的詳細解釋，網址為：<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/#d.en.347759>。

### 情況出現變動

除非出現影響本表格及自我證明所載資料的變動情況，本表格的資料及自我證明將一直有效。如本公司接獲指投資者的稅務居民管轄區變更的資料，則本公司可能要求投資者再次填寫自我證明。如出現導致本表格不準確或不完整的變動情況，務請投資者通知本公司。

**NOTE**  
**備註**

- For help to work out where you are tax resident, or if you are unsure about your TIN, please consult your financial adviser or refer to the information at [www.oecd.org/tax/automatic-exchange](http://www.oecd.org/tax/automatic-exchange).
- If you are unsure what information to include, please consult your financial adviser.
- Your financial adviser will also be able to confirm that this is the most up-to-date version of this form.
- References to investor means an account/bond/plan/policy holder with a regulated Quilter International company, details of which are shown in the relevant company's legal information at the end of this form.
- If there are more than two investors, please provide the additional investor's information on a separate form.
- 如您不確定屬於哪個國家的稅務居民，或者不確定TIN，敬請諮詢您的理財顧問或瀏覽此網站：  
[www.oecd.org/tax/automatic-exchange](http://www.oecd.org/tax/automatic-exchange)
- 如不確定應填寫哪些資料，敬請諮詢您的理財顧問。
- 理財顧問亦可確認本表格是否屬最新版本。
- 本文件中提及的投資者是持有受監管的Quilter International 公司旗下的戶口／計劃／保單的持有人，詳情請參閱本表格未相關公司的法律資料。
- 如有兩位以上的投資者，敬請以獨立表格提供其他投資者的資料。

Please tick/complete this form, as applicable, using BLOCK CAPITALS and blue or black ink.

請使用藍色或黑色原子筆以正楷字體在相應位置加上別號／填寫本表格（如適用）。

**Section 1 – Your details**  
**投資者資料**

Account/bond/plan/policy number

▶ if known:

戶口／計劃／保單編號 ▶ 如知悉：

Financial adviser:

理財顧問：

**Sole or First account holder 唯一或首個戶口持有人**

Full name:

全名：

Residential address:

住址：

Postcode 郵政編碼	Country 國家

Date of birth:

出生日期：

D	D	M	M	Y	Y	Y	Y
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Town/City of birth:

出生市／鎮：

Country of birth:

出生國家：

Nationality(ies) 國籍	Country(ies) of tax residence 稅務居民管轄區	Tax identification number(s) (TIN) 稅務識別編號(TIN)	If no TIN, please state reason(s) 如沒有TIN，請註明原因

▶ If you are unable to provide a TIN, please insert 'not applicable' in the relevant TIN box with a reason for not providing the TIN in the box to the right.  
如投資者未能提供TIN，請在相應的稅務識別編號空格填上「不適用」，並於右邊方格內說明未能提供TIN的原因。

## US citizenship or tax residence

### 美國公民或稅務居民

We will presume that you are not, nor have ever been, a US citizen or resident in the US for tax purposes and as such, please leave this question blank. However, if this is not the case please tick either a) or b) below, as applicable:

本公司將假設投資者並非，且一直未曾為美國公民或美國稅務居民，亦毋須回答此問題。否則請於下列a)或b)項加上剔號（如適用）：

- a) I confirm that I am a US citizen and/or resident in the US for tax purposes (green card holder or resident under the substantial presence test) and my US federal taxpayer identifying number (US TIN) is shown above.  
本人確認本人為美國公民及／或美國稅務居民（綠卡持有人有或根據實際居住日數準則屬於美國居民），本人的美國聯邦納稅人識別編號（美國TIN）如上所示。
- b) I confirm that I was born in the US (or a US territory) but I am no longer a US citizen.\*\*\*  
本人確認本人於美國（或美國領土）出生，但現已不再為美國公民。\*\*\*

\*\*\*If you choose option b, you must provide your US loss of nationality certificate.

\*\*\*如選擇b項，您需要提供喪失美國國籍的證明。

### Joint account holder ▶ if applicable:

聯名戶口持有人 ▶如適用：

Full name:

全名：

Residential address:

住址：

Postcode 郵政編碼	Country 國家

Date of birth:

出生日期：

D	D	M	M	Y	Y	Y	Y
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Town/City of birth:

出生市／鎮：

Country of birth:

出生國家：

Nationality(ies) 國籍	Country(ies) of tax residence 稅務居民管轄區	Tax identification number(s) (TIN) 稅務識別編號(TIN)	If no TIN, please state reason(s) 如沒有TIN，請註明原因

## US citizenship or tax residence

### 美國公民或稅務居民

We will presume that you are not, nor have ever been, a US citizen or resident in the US for tax purposes. However, if this is not the case please tick either a) or b) below, as applicable:

本公司將假設投資者並非，且一直未曾為美國公民或美國稅務居民。然而，若情況並非如此，請於下列a)或b)項加上剔號（如適用）：

- a) I confirm that I am a US citizen and/or resident in the US for tax purposes (green card holder or resident under the substantial presence test) and my US federal taxpayer identifying number (US TIN) is shown above.  
本人確認本人為美國公民及／或美國稅務居民（綠卡持有人或根據實際居住日數準則屬於美國居民），本人的美國聯邦納稅人識別號碼（美國TIN）如上所示。
- b) I confirm that I was born in the US (or a US territory) but I am no longer a US citizen.\*\*\*  
本人確認本人於美國（或美國領土）出生，但現已不再為美國公民。\*\*\*

\*\*\*If you choose option b, you must provide your US loss of nationality certificate.

\*\*\*如選擇b項，您需要提供喪失美國國籍的證明。

## Section 2 – Declaration and signature(s)

### 聲明和簽署

1. I understand that for regulatory purposes, Quilter International is required to obtain information concerning my taxation status.
2. I declare that:
  - a) I am resident for taxation in the country(ies) shown in section 1 of this form and I am not resident for taxation elsewhere.
  - b) I am a national of the country(ies) shown in section 1 of this form and I am not a national or a citizen of any other country.
  - c) I will inform Quilter International of any changes in circumstances which affect my tax residency status and that of any other individuals detailed in this form, or which causes the information to become incorrect, and to provide Quilter International with a suitably updated self-certification and declaration in the event of such a change of circumstances.
3. I understand that:
  - a) Quilter International may need to contact me for further details regarding tax information.
  - b) Quilter International may be required by law to transfer information provided by me to relevant tax authorities under automatic exchange of tax information regulations.
4. I declare that the information in this form and the statements made in this declaration are correct and complete, to the best of my knowledge and belief.

本聲明乃由各投資者作出，有關投資者的詳情載於第一部分。

1. 本人明白，就規管要求而言，先機國際須獲取本人稅務狀況的相關資料。
2. 本人聲明：
  - a) 本人為本表格第一部分所示國家的稅務居民，且並非任何其他國家的稅務居民。
  - b) 本人為本表格第一部分所示國家的國民，且並非任何其他國家的國民或公民。
  - c) 倘出現影響本人或本表格詳述之任何其他人士稅務居民身份的狀況，本人會將任何有關變動知會先機國際，以避免資料不正確；倘若發生此類情況變化，本人則會向先機國際提供適當更新的自我證明及聲明。
3. 本人明白：
  - a) 先機國際可能需要聯絡本人，以獲取關於稅務資料的更多詳情。
  - b) 根據法律所規定，先機國際可能需按自動交換稅務資料的規例，將本人所提供的資料提交予相關稅務部門。
4. 本人聲明，就本人所盡知及所盡信，本表格資料及本聲明所作的陳述均為真實完整。

Signature(s) ▶ All investors named in section 1 must sign below:

簽署 ▶ 第一部分提述的所有投資者均須在下方簽署：

Investor 1 投資者1	<input type="text"/>	Date 日期	<table border="1"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y				
Investor 2 投資者2	<input type="text"/>	Date 日期	<table border="1"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y				

[www.quilterinternational.com/hk](http://www.quilterinternational.com/hk)

*Calls may be monitored and recorded for training purposes and to avoid misunderstandings.*

*Quilter International's Hong Kong office: Unit 2402C, Great Eagle Centre, 23 Harbour Road, Wanchai, Hong Kong.*

*Tel: +852 3552 5888 Fax: +852 3552 5889. Authorised by the Insurance Authority of Hong Kong to carry on long-term business.*

*Quilter International Isle of Man Limited is registered in the Isle of Man under number 24916C.*

*Registered and Head Office: King Edward Bay House, King Edward Road, Onchan, Isle of Man, IM99 1NU, British Isles.*

*Tel: +44 (0)1624 655 555 Fax: +44 (0)1624 611 715.*

*Licensed by the Isle of Man Financial Services Authority.*

*Quilter International is registered in the Isle of Man as a business name of Quilter International Isle of Man Limited.*

為提供培訓用途及避免誤會，您與我們的對話內容可能會被監察或錄音。

瑞達國際香港辦事處：香港灣仔港灣道23號鷹君中心2402C室

電話：+852 3552 5888 傳真：獲香港保險業監管局授權經營長期業務。

Quilter International Isle of Man Limited於馬恩島註冊，註冊編號為24916C。

註冊辦事處及總部：King Edward Bay House, King Edward Road, Onchan, Isle of Man, IM99 1NU, British Isles

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獲馬恩島金融服務管理局(Isle of Man Financial Services Authority)發出牌照。

Quilter International為Quilter International Isle of Man Limited在馬恩島註冊的業務名稱。