

To: Southwest Securities (HK) Brokerage Limited (“SWSB”) /Southwest Securities (HK) Futures Limited (“SWSFL”)
 40/F., Lee Garden One, 33 Hysan Avenue, Causeway Bay, Hong Kong

Account Number:

Entity Tax Residency Self-Certification Form (CRS)

Important Notes:

- This is a self-certification form provided by an account holder to SWSB/SWSFL for the purpose of automatic exchange of financial account information. The data collected may be transmitted by SWSB/SWSFL to the Inland Revenue Department (IRD) for transfer to the tax authority of another jurisdiction and/or directly to the tax authority of another jurisdiction.
- An account holder should report all changes in its tax residency status to SWSB/SWSFL.
- As a financial institution, SWSB/SWSFL is not allowed to give tax or legal advice. If account holder has any questions regarding its tax residency, please consult professional tax adviser or go to OECD’s website <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance> or IRD’s website http://www.ird.gov.hk/chi/tax/dta_aeoi.htm for the information about CRS.
- 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 as asterisk (*) are required to be reported by SWSB/SWSFL to the IRD.

Part 1 – Entity Account Holder’s Information

Legal Name of Entity or Branch*				
Jurisdiction of Incorporation or Organisation				
Hong Kong Business Registration Number				
Current Business Address	(Suite)	(Floor)	(Block)	(Building)
	(Street/Road)			(District)
	(Province/State)			(City) *
	(Country) *			(Post Code)
Mailing Address (Please complete if different to the current business address)	(Suite)	(Floor)	(Block)	(Building)
	(Street/Road)			(District)
	(Province/State)			(City)
	(Country)			(Post Code)

Part 2 – Entity Type

Please 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 (Please complete Part 3)	<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

Part 3 – Controlling Persons (Please complete this part if the entity account holder is a passive NFE)

Please 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.

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

Please complete Controlling Person Tax Residency Self-Certification Form (CRS) for each controlling person.

Part 4 – Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”) *

Please complete the following table indicating (a) all 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. For more than 5 jurisdictions of residence, please use a separate sheet.

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.

For tax information of residency rules of all committed jurisdiction, please refer to OECD's website <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/#d.en.347760>.

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

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.

Part 5 – Declaration and Signature

- I acknowledge and agree that (a) the information contained in this form is collected and may be kept by SWSB/SWSFL 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 SWSB/SWSFL 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).
- I certify that I am the authorized to sign for the account holder of all the account(s) to which this form relates.
- I undertake to advise SWSB/SWSFL of any change in circumstances which affects the tax residency status of the Entity identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide SWSB/SWSFL with a suitably updated self-certification form within 30 days of such change in circumstances.
- I have carefully read, fully understood and agreed to accept and be bound by the Notice and Statement Relating to the Personal Data (Privacy) Ordinance (Cap. 486 of the Laws of Hong Kong) as set out in Part V of the Client Agreement .
- **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.**

Signature of authorized signatories and company chop: _____

Name: _____

Capacity: _____

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).