



## Account opening form supplement

### 開立戶口申請表補充文件

This form must be completed by any individual who wishes to open a banking account.

此表格必須由任何有欲開立個人賬戶的客戶填寫。

Please complete Parts 1 to 4 in BLOCK LETTERS and read the instructions on how to complete this form on page 8 and the definitions on page 5

請以正楷填寫第一至四部分，並詳閱第八頁如何填寫本表格的說明及第五頁的釋義。

#### Part 1: Identification of individual account holder 第一部分：個人賬戶持有人身份識別資料

Identity document number: 身份證明文件號碼:	
Name: 姓名	
Country/Jurisdiction of birth: 出生國家/司法管轄區	
Town or city of birth <sup>1</sup> : 出生城市或城鎮	
Date of birth (DD/MM/YYYY) <sup>2</sup> : 出生日期(日-月-年)	

Residential address confirmation 居住地址確認	Yes 是	No 否
I confirm the residential address provided in the Account Opening Form <sup>3</sup> is the account holder's current residential address. 本人確認於開戶申請表格中所提供之地址，為賬戶持有人現時住址。		

If "No" is selected, please insert the account holder's current residential address below.

如選擇「否」，請於以下空格填寫賬戶持有人現時住址。

Current residential address 現時居住地址	
Address line 1: 地址行1	
Address line 2: 地址行2	
City/Town: 城市/城鎮	
Province/State/County: 省/州/縣	
Postal code/ZIP code: 郵政編號/郵遞區號碼	
Country/Jurisdiction: 國家/司法管轄區	

<sup>1</sup> Optional field 此為選擇性填寫欄目

<sup>2</sup> Date of birth is mandatory if a standalone application is not submitted together with an Account Opening Form (e.g. for Time Deposits)  
僅在單一申請中沒有提交開戶表時(例如:定期存款)，才要填寫此出生日期。

<sup>3</sup> The term "Account Opening Form" also refers to the "Application Form for Investment Accounts/Services" and the "Customer Agreement for Structured Investment Series" 「投資賬戶/服務申請表格」以及「結構性投資系列客戶同意書」亦歸納為「開戶申請表格」。



## Part 2: US status 第二部分：美國身份

Please check "✓" Yes or No for each of the following questions:

請回答以下問題，並於適當空格填上“✓”號：

Questions 問題	Yes 是	No 否
1. Is the account holder a US resident? 賬戶持有人是否美國居民？		
2. Is the account holder a US citizen? 賬戶持有人是否美國公民？		
3. Is the account holder holding a US permanent resident card (Green Card)? 賬戶持有人是否持有美國永久居民身份證（綠卡）？		

## Part 3: Tax residence information 第三部分：稅務居所資料

Please complete the following table indicating (i) the country/jurisdiction where the account holder is resident for tax purposes and (ii) the account holder's taxpayer identification number or functional equivalent (hereafter referred to as 'TIN') for each country/jurisdiction indicated.

請提供以下資料，列明(i) 賬戶持有人的稅務居留國家或司法管轄區及(ii)該國家或司法管轄區發給賬戶持有人的稅務編號或具有等同功能的識別編號(以下簡稱「稅務編號」)。

If the account holder is a resident for tax purposes in more than three countries/jurisdictions, please use a separate sheet.

如賬戶持有人是有超過3個的稅務居留國家或司法管轄區，請另用一張頁面填寫相關資料。

If a TIN or functional equivalent is unavailable please indicate reason A, B or C where appropriate:

- Reason A:** Country/Jurisdiction does not issue TINs to its residents.
- Reason B:** Country/Jurisdiction issues TINs, but the account holder is unable or not required to obtain a TIN (please explain why the account holder is unable or not required to obtain a TIN).
- Reason C:** No TIN is required. Country/Jurisdiction issues TINs but the country/jurisdiction does not require financial institutions to collect TINs from its residents.

如沒有提供稅務編號或具有等同功能的識別編號，請按情況提供合適的理由A、B或C：

- 理由A**—國家 / 司法管轄區不向其居民簽發 TIN。
- 理由B**—國家 / 司法管轄區簽發 TIN，但帳戶持有人未能或無需取得 TIN（請說明帳戶持有人未能或無需取得 TIN 的原因）。
- 理由C**—無需提供 TIN。國家 / 司法管轄區簽發 TIN，但並無要求金融機構收集其居民的TIN。

More details are available in the Instructions to this Form. 本表格的「說明」部分載有更詳盡資料。

No 編號	Country or jurisdiction of tax residence 稅務居留國家或司法管轄區	TIN 稅務編號	If no TIN or functional equivalent is provided, indicate reason A, B or C 如沒有提供TIN或等同功能的識別編號，請指明理由A、B或C
1			
2			
3			

If reason B is selected above, explain why the account holder is unable or not required to obtain a TIN in the corresponding row below

如選擇理由B，請在下方相應一行說明為何賬戶持有人無法獲取TIN的理由

1	
2	
3	



#### Part 4: Declaration and signature 第四部分：聲明及簽署

I understand that the information supplied by me is subject to the terms and conditions governing the account(s) maintained with Standard Chartered PLC and its subsidiaries and affiliates to which this form relates.

本人明白，本表格及其中提供的資料與在渣打集團有限公司及其附屬公司以及關聯方開設的賬戶有關，且符合管理該類賬戶的條款和條件。

I acknowledge that the information contained in this Self-Certification and information regarding the account holder and any reportable account(s) may be provided to the tax authorities of the country/jurisdiction in which this/these account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which this account holder may be a tax resident, pursuant to a bilateral or multilateral agreements between governments to exchange financial account information.

本人確認，本表格所載的資料及與帳戶持有人及任何應申報帳戶有關的資料，均可提交至其持有此等帳戶的所在國家／司法管轄區的稅務機關，以及根據政府之間交換財務帳戶資料的雙邊或多邊協議，與帳戶持有人持有稅務居民身分的另一國家／司法管轄區或多個國家／司法管轄區的稅務機關進行交換。

Where required by domestic or overseas regulators or tax authorities, I consent and agree that the bank may withhold from my account(s) such amounts as may be required according to applicable laws, regulations and directives under relevant laws and regulations.

因應國內或海外的監管機構或稅務機構需要，本人准許並同意銀行可按相關法律、法規和指令在本人賬戶中扣留相關所須的金額款項。

##### **Certification 聲明**

I certify that I am the account holder (or am authorised to sign for the account holder) of all of the account(s) to which this Form relates. 本人確認，本人為本表格所涉及的全部賬戶的賬戶持有人或授權代表與賬戶持有人簽名的人士。

I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete. 本人確認，就本人所知所信，本聲明中的所有陳述均為正確及完整。

I undertake to notify the recipient to submit a suitably updated form within 30 days of any change in circumstances which affects the tax residency status of the account holder or which causes the information contained herein to become incorrect, and to submit a suitably updated form within 30 days of such change in circumstances and to provide any additional information as may be required by Standard Chartered and/or applicable law.

本人承諾，於任何情況變化以致影響帳戶持有人的稅務居民身分或導致此所載資料不準確時，會於情況出現後30日內通知收取本表格的人士，並於該等情況發生變化出現後30日內提交相應更新的表格，並提供渣打銀行及／或適用法律所需的任何其他資料。

**Signature 在此簽署：**\_\_\_\_\_

Signature of account holder (or individual authorised to sign for the account holder) 賬戶持有人簽署 (或獲授權代表賬戶持有人簽署人士)

**Print full name 正楷全名：**\_\_\_\_\_

**Date(DD-MM-YYYY) 日期(日-月-年)：**\_\_\_\_\_

**Note: If you are not the account holder please indicate the capacity in which you are signing the form.**

備註：若你並非賬戶持有人，請說明您簽署本表格時的身份。

**Capacity 身份：**\_\_\_\_\_



**Please note that in providing this certification, a statement that is false, misleading or incorrect may be regarded as an offence and, therefore may be subject to penalties under relevant law or regulation.**

**請注意，在本表格中填寫的聲明若錯誤、有誤導性或不正確，可被視為違反相關法律或法規而招致處罰。**

*If there is any inconsistency or conflict between the English and Chinese versions of this document, the English version shall prevail.*

*若中英文版本之間有任何不符或抵觸之處，概以英文版本為準。*

For bank use only 銀行職員專用	( )		
	Signature verified by	Signing number	Department / Branch / Others channel
	( )		
	Signature of staff opening account and witnessing account opening	Peoplewise ID	Name of staff opening account and witnessing account opening
	( )		
	Signature of staff reviewing account	Signing number	Name of staff reviewing account
For phone instruction only 電話錄音專用	Date 日期: _____ Time (HH:MM) 時間 (時:分): _____ Extension no. 內線號碼: _____		



## Client guidance 客戶指南

### Introduction 簡介

The automatic exchange of financial account information (AEOI) regime is based on the Common Reporting Standard (CRS), an internationally-agreed standard developed by the Organisation of Economic Co-operation and Development (OECD) to combat tax evasion. AEOI refers to the regular exchange of financial account information between jurisdictions, the purpose of which is to deter and detect tax evasion by taxpayers through the use of offshore bank accounts.

自動交換財務賬戶資料 (AEOI) 機制以共同匯報標準 (CRS) 為基礎，該標準是經濟合作與發展組織 (OECD) 為打擊逃稅而制訂的國際公認標準。AEOI 指司法管轄區之間定期交換財務賬戶信息，目的在於阻止和偵測納稅人通過離岸銀行帳戶逃稅的行為。

Standard Chartered PLC and its subsidiaries and affiliates (Standard Chartered) must comply with the relevant requirements in all countries or jurisdictions in which Standard Chartered operates and AEOI requirements are in effect.

在渣打營運已實施 AEOI 的規定的所有國家或司法管轄區，渣打集團有限公司及其附屬公司和關聯公司（渣打）必須遵守相關的規定。

In order to comply with the relevant requirements to enable AEOI, Standard Chartered must collect certain information and/or documentation from clients to establish their tax residence and (if applicable) classification status. In certain circumstances, Standard Chartered may be required to report this information to relevant tax authorities. This information then may be exchanged or reported to relevant tax authorities in other countries or jurisdictions, in accordance with applicable law.

為符合實現 AEOI 的相關要求，渣打銀行必須收集客戶的某些資料及／或文件，以確定他們的稅務居民身分和（如適用）類別身分。在某些情況下，渣打銀行可被要求向相關稅務機關申報此等資料。根據適用法律，此等資料可被用於向其他國家或司法管轄區的相關稅務機關申報或做交換。

This is a Self-Certification that Standard Chartered is requesting you to complete to establish your tax residence and (if applicable) classification status. In certain circumstances, for example, where required by regulations/guidance implementing under Intergovernmental Agreements (IGAs) between relevant countries or jurisdictions and the United States (U.S.), this Self-Certification also may be used to document your tax status under the U.S. Foreign Account Tax Compliance Act (FATCA) provisions. FATCA came into effect on 1 July 2014 and seeks to prevent tax evasion by U.S. Persons through the use of accounts held outside the U.S.

為確定閣下的稅務居民身分和（如適用）分類情況，渣打銀行謹此要求閣下填寫本自我聲明。在某些情況下，根據相關國家或司法管轄區與美國的政府間協議 (IGA) 實施的規例／指南的規定，本自我聲明亦可用於根據美國《海外賬戶稅收遵從法》(FATCA) 記錄閣下於美國的納稅身分。FATCA 於 2014 年 7 月 1 日生效，目的是防止美國人士通過在美國境外持有的帳戶逃稅。

The Self-Certification and explanatory notes are not a substitute for understanding AEOI under CRS or FATCA. The Bank does not, and cannot, provide tax or legal advice. If you have any questions about this Self-Certification, AEOI under CRS or FATCA, please consult your tax, legal, or other professional advisor.

自我聲明及解釋性說明不能替代對 CRS 或 FATCA 下對 AEOI 的釋義。本行不會亦無法提供稅務或法律意見。如果閣下對本自我聲明、FATCA 或 CRS 下的 AEOI 存有任何疑問，請諮詢閣下的稅務、法律或其他專業顧問。

Please complete this Form if you are an individual (including a sole proprietor) Account Holder. An "Account Holder" may include an individual who is a settlor or beneficiary of a trust administered by a professional corporate trustee or a trust company. For joint or multiple Account Holders, use a separate Form for each Account Holder.

如果閣下是個人（包括獨資經營者）帳戶持有人，請填寫本自我聲明。「帳戶持有人」可包括或由專業企業受託人或信託公司管理的信託託管人或受益人。對於聯名或多帳戶持有人，請就每名帳戶持有人填寫獨立表格。

If you are a U.S. Person, you must complete and provide a Form W-9 issued by the U.S. Internal Revenue Service, in addition to this Self-Certification.

如果閣下是美國人士，則除卻本自我聲明外，亦必須填寫並提供由美國國稅局簽發的 W-9 表格。

### Definitions 釋義

The following is a non-exhaustive list of selected terms to assist you with the completion of this Form. Should you have any questions, please contact your tax, legal and/or other professional advisor.

以下列表包含部分術語，旨在協助您填寫本表格。若您有任何疑問，請聯絡您的稅務、法律及／或其他專業顧問。

• **Account Holder:** The term 'Account Holder' means the person listed or identified as the holder of a Financial Account. A person, other than a Financial Institution, holding a Financial Account for the benefit of another person as an agent, a custodian, a nominee, a signatory, an investment advisor, an intermediary, or as a legal guardian, is not treated as the Account Holder. In these circumstances that other person is the Account Holder. For example in the case of a parent/ child relationship where the parent is acting as a legal guardian, the child is regarded as the Account Holder. With respect to a jointly held account, each joint holder is treated as an Account Holder.

Subject to applicable regulations and guidance, an Account Holder may include an individual who is a settlor, beneficiary, protector, or other person holding an equity or debt interest of a trust administered by a professional corporate trustee or a trust company, i.e., a trustee that, as its primary business, invests, administers, or manages the assets for trusts (or other customers). An 'equity interest' may be considered to be held in the case of a trust that is a Financial Institution, by any person treated as a settlor or beneficiary of all or a portion of the trust, or any other natural person exercising ultimate effective control over the trust.

**賬戶持有人：**「賬戶持有人」指被列出或標示為財務賬戶持有人的人士。為其他人士的利益而以代理人、託管人、代名人、簽署人、投資顧問、中介人或法定監護人的身份持有財務賬戶的非財務機構人士均不以賬戶持有人對待。在該等情形下，其他人士方為賬戶持有人。例如就父母/子女的關係，若父母作為一名法定監護人，該子女被視為賬戶持有人。就聯名賬戶而言，每一名聯名持有人均被視為賬戶持有人。





根據適用規例和指引，帳戶持有人可包括受託人、受益人、保護人或持有由專業法團受託人或信託公司管理的信託的股權或債權的其他人士，即其主要業務為投資、掌管或管理信託（或其他客戶）的資產的受託人。若信託公司為金融機構，則「股權」可被視為由全部或部分信託的委託人或受益人持有，或由對該信託行使最終有效控制的任何其他自然人持有。

- **Financial Account:** A Financial Account is an account maintained by a Financial Institution and is either a depository account, a custodial account, an equity and debt interest in certain Investment Entities, a cash value insurance contract, or an annuity contract.

**財務帳戶：**財務帳戶指由財務機構維護的帳戶，包括：儲蓄帳戶；保管帳戶；某些投資實體的股權和債務利息；現金價值保險合約；及年金保險合約。

- **Participating Jurisdiction:** A jurisdiction –  
(i) with which an agreement is in place pursuant to which it will provide the specified information under CRS as required on the automatic exchange of financial account information, and  
(ii) which is identified in a published list.

**參與稅務管轄區：**

司法管轄區—

(i) 已與其訂立協議，並按此提供 CRS 所指的特定自動交換財務帳戶資料，並

(ii) 列明於發佈的列表中。

- **Reportable Account:** A Reportable Account is a Financial Account that is maintained by a Reporting Financial Institution and that, pursuant to due diligence procedures consistent with CRS, FATCA and any applicable IGAs, has been identified as an account that is held by one or more persons that are US Persons or Reportable Persons with respect to another Jurisdiction or by a Passive NFE with one or more Controlling Persons that are US Persons or Reportable Persons with respect to another Jurisdiction.

**應申報帳戶：**應申報帳戶指在申報財務機構所設立的財務帳戶而且根據共同匯報標準（CRS）、海外帳戶稅收遵從法（FATCA）和任何適用的相關政府間協議（IGA）的盡職調查程序，已被確認為屬於一名或多名美國人士或其他司法管轄區的須申報人士或擁有一名或多名美國人士或其他司法管轄區的須申報人士作為控制人的被動非財政實體（NFE）所持有的帳戶。

- **Reportable Jurisdiction:** A Reportable Jurisdiction is a Participating Jurisdiction with which an obligation to provide financial account information is in place and that is identified in a published list.

**應申報司法管轄區：**應申報稅務司法管轄區為負有義務提供於發佈列表指明的財務帳戶資料的參與司法管轄區。

- **Reportable Person:** A Reportable Person is an Individual who is tax resident in a Reportable Jurisdiction under the laws of that jurisdiction. A Reportable Person may include a beneficiary of a trust if such Reportable Person has the right to receive directly or indirectly (for example, through a nominee), a mandatory distribution or may receive, directly or indirectly, a discretionary distribution from a trust that is a Financial Institution. Dual resident individuals may rely on tiebreaker rules contained in tax conventions (if applicable) to solve cases of double residence for purposes of determining their residence for tax purposes.

**應申報人士：**應申報人士為應申報司法管轄區法例所指在該司法管轄區的稅務居民的人士。應申報人士可能包括信託受益人，前提為該名應申報人士有權直接或間接（例如通過代理人）收取強制利益分配，或可直接或間接收取作為金融機構的信託公司的酌情利益分配。為了確定稅務居民身分，雙重居民身分的個人可能需要依賴稅收協定（如適用）所載的仲裁規則來解決雙重居民身分的問題。

- **Resident for tax purpose:** Each country/jurisdiction has its own rules for defining tax residence, and certain countries/jurisdictions have provided information on how to determine whether an individual is tax resident in the country/jurisdiction on the OECD automatic exchange of information portal. For additional information on tax residence, please talk to your legal, tax, or other professional advisor or refer to the OECD automatic exchange of information portal on tax residency: <http://www.oecd.org/tax/automaticexchange/crs-implementation-and-assistance/tax-residency/#d.en.347760>.

**稅務居民：**每個國家 / 司法管轄區均自設界定稅務居民身分的規則，而某些國家 / 司法管轄區已於 OECD 自動交換資料的門戶網站中提供如何判斷某個人是否為該國家 / 司法管轄區稅務居民的標準。有關稅務居民身分的詳情，請諮詢閣下的法律、稅務或其他專業顧問，或參閱 OECD 自動交換財務帳戶資料網站關於稅務居民身分的說明，網址為：<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/#d.en.347760>。

- **Taxpayer Identification Number (TIN):** TIN or a functional equivalent in the absence of a TIN. A TIN is a unique combination of letters or numbers assigned by a jurisdiction to an Individual or an Entity and used to identify the Individual or Entity for the purposes of administering the tax laws of such jurisdiction. Further details of acceptable TINs can be found at: <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/taxidentification-numbers/#d.en.347759>. Some jurisdictions do not issue a TIN. However, these jurisdictions often utilise some other high integrity number with an equivalent level of identification (a 'functional equivalent'). Examples of that type of number include, for individuals, a social security/insurance number, citizen/personal identification/service code/number, and resident registration number.

**稅務編號（TIN）：**TIN 或在沒有 TIN 的情況下具同等功能的編號。TIN 是指司法管轄區向個人或實體分配的獨有字母或數字組合，用於識別個人或實體，以便管理該司法管轄區的稅務法例。有關可接受的 TIN 詳情可於以下網址查找：

<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/#d.en.347759>。

某些司法管轄區不予簽發 TIN。然而，此等司法管轄區通常採取一些其他具備高度完整性和同等辨識程度的編號（「相等的識別編號」）。適用於個人的此類號碼例子包括社會保障／保險號碼、公民／個人識別／服務代碼／號碼，及居民登記號碼等。



- **US Citizen:** An individual who is a US citizen. "US" as used in this definition refers geographically to any State of the United States including the District of Columbia. "US" includes additionally a person born in the US Territories (American Samoa, Guam, Northern Mariana Islands, US Virgin Islands and Puerto Rico) who will be deemed a US Citizen.

**美國公民：**美國在此可解釋為所有地理上屬於美國的地方，包括哥倫比亞特區。並且，所有出生於美國領土的人士（包括美屬薩摩亞，關島，北馬里亞納群島，美屬維爾京群島和波多黎各）都被視為美國公民。

- **US Person:** A US person is defined in section 7701(a) (30) of the Internal Revenue Code and includes an individual who is a citizen or resident of the US.

**美國人：**美國人士定義見國內稅收法規第 7701 (a) (30) 節, 包括美國公民或居民。

- **US Resident:** An Individual who is a person ordinarily living in the US; or any other person who satisfies the Substantial Presence Test defined by the IRS. For the avoidance of doubt, a Client will be treated as a US Resident unless proven otherwise if he declares to the Bank that he resides in the US, or is a US Person and provides a current US residential address to the Bank. "US" as used in this definition refers geographically to any State of the United States, the District of Columbia, and the US Territories (American Samoa, Guam, Northern Mariana Islands, US Virgin Islands and Puerto Rico).

**美國居民：**任何人於美國定居或被美國稅務局(IRS)視為長期居住者，都屬於美國居民。為避免誤會，除非閣下提供證明，否則如客戶自行申報居住於美國，或為美國人，或提供一個美國居住地址給銀行，將都會被視為美國居民。美國在此可解釋為所以地理上屬於美國的地方，包括哥倫比亞特區；以及美國領土（包括美屬薩摩亞，關島，北馬里亞納群島，美屬維爾京群島和波多黎各）。



**Part 1: Identification of individual account holder 第一部分：個人賬戶持有人身份識別資料**

Identity document 身份證明文件號碼	Enter the account holder's identity document number. Identity document can be a country ID, passport / travel document / other. 請填寫賬戶持有人的身份證明文件號碼。身份證明文件可以為任何國家發行之身份證，護照／旅遊文件／其他相等文件。
Name 姓名	Enter the account holder's name exactly the same as in the account holder's identity document. 請填寫賬戶持有人與身份證明文件上相同之姓名。
Country/Jurisdiction of birth 出生國家／司法管轄區	Enter the account holder's country/jurisdiction of birth. 請填寫賬戶持有人之出生國家／司法管轄區。
Town or city of birth 出生城市／城鎮	Enter the account holder's town or city of birth, or an equivalent thereof (e.g. village, homestead). This field is optional. 請填寫賬戶持有人之出生城市／城鎮，或是相等地方（例如村落）。此欄可選擇性填寫。
Date of birth 出生日期	Enter the account holder's date of birth. Mandatory if a standalone application is not submitted together with an Account Opening Form, e.g. for Time Deposit account opening. 請填寫賬戶持有人之出生日期。僅在單一申請中沒有提交開戶表時，填寫此出生日期。（例如：定期存款賬戶開立申請）
I confirm the Residential Address provided in the Account Opening Form is the account holder's current residential address. 本人確認於開戶申請表格中所提供之地址，為賬戶持有人現時住址。	Enter 'Yes' to confirm that the residential address provided in the AOF is the account holder's current residential address. If the residential address provided in the AOF is not current, please provide the account holder's current residential address in the fields provided. 請確認於開戶申請表格內之住址為現時住址。如選擇「否」，請閣下於適當位置填寫現時住址。
Current residential address 現時居住地址	Fill in only if "NO" is selected for the above certification. 僅在上述確認選擇了「否」時，在空格中填寫現時住址。

**Instructions to complete account opening form supplement  
填寫開立戶口申請表補充文件**

standard  
chartered  
渣打銀行

**Account opening form supplement  
開立戶口申請表補充文件**

This form must be completed by any individual who wishes to open a banking account.  
此表格必須由任何有欲開立個人賬戶的客戶填寫。

Please complete Parts 1 to 4 in BLOCK LETTERS and read the instructions on how to complete this form on page 8 and the definitions on page 5  
請以正楷填寫第一至四部分，並詳閱第八頁如何填寫本表格的說明及第五頁的釋義。

**Part 1: Identification of individual account holder 第一部分：個人賬戶持有人身份識別資料**

Identity document number: 身份證明文件號碼:	
Name: 姓名:	
Country/Jurisdiction of birth: 出生國家／司法管轄區:	
Town or city of birth <sup>1</sup> : 出生城市或城鎮:	
Date of birth (DD/MM/YYYY) <sup>2</sup> : 出生日期（日-月-年）:	

Residential address confirmation 居住地址確認	Yes 是	No 否
I confirm the residential address provided in the Account Opening Form <sup>3</sup> is the account holder's current residential address. 本人確認於開戶申請表格中所提供之地址，為賬戶持有人現時住址。		

If "No" is selected, please insert the account holder's current residential address below.  
如選擇「否」，請於以下空格填寫賬戶持有人現時住址。

<b>Current residential address 現時居住地址</b>	
Address line 1: 地址行1	
Address line 2: 地址行2	
City/Town: 城市／城鎮	
Province/State/County: 省／州／縣	
Postal code/ZIP code: 郵政編號／郵遞區號碼	
Country/Jurisdiction: 國家／司法管轄區	

<sup>1</sup> Optional field 此為選擇性填寫欄目

<sup>2</sup> Date of birth is mandatory if a standalone application is not submitted together with an Account Opening Form (e.g. for Time Deposits)  
僅在單一申請中沒有提交開戶表時（例如：定期存款），才要填寫此出生日期。

<sup>3</sup> The term "Account Opening Form" also refers to the "Application Form for Investment Accounts/Services" and the "Customer Agreement for Structured Investment Series" 投資賬戶／服務申請表格以及「結構性投資系列客戶同意書」亦歸納為「開戶申請表格」。

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## Part 2: US status 第二部分：美國身份

Is the account holder a US resident? 閣下是否美國居民？	Enter 'Yes' if the account holder is a US resident. Otherwise enter 'No'. 請回答「是」如賬戶持有人為美國居民；「否」如賬戶持有人並非美國居民。
Is the account holder a US citizen? 閣下是否美國公民？	Enter 'Yes' if the Account Holder is a US Citizen. Otherwise enter 'No'. 請回答「是」如賬戶持有人為美國公民；「否」如賬戶持有人並非美國公民。
Is the account holder holding a US permanent resident card (Green Card)? 閣下是否持有美國永久居民身份證（綠卡）？	Enter 'Yes' if the account holder has a right of lawful permanent residence / holds a US permanent resident card ("Green Card") issued by the US government. Otherwise enter 'No'. 請回答「是」如賬戶持有人持有美國永久居民身份證（綠卡）；「否」如賬戶持有人沒有持有美國永久居民身份證（綠卡）。

## Part 3: Tax residence/Citizenship information 第三部分：稅務居所資料

Please complete the table indicating (i) the country(ies)/jurisdiction(s) where the account holder is resident for tax purposes and (ii) the account holder's taxpayer identification number or functional equivalent (hereafter referred to as 'TIN') for each country/jurisdiction indicated.

請提供以下資料，列明(i)賬戶持有人的稅務居留國家/司法管轄區及(ii)該國家/司法管轄區發給賬戶持有人的稅務編號或具有等同功能的識別編號（若所屬國家/司法管轄區有多個，則列出每個國家/司法管轄區的稅務編號）。

The requirement to pay tax in a particular country/jurisdiction does not necessarily signify tax residence in that country/jurisdiction; it is possible to have to pay tax in a country/jurisdiction in which one is not tax resident, and not to have to pay tax in a country/jurisdiction in which one is tax resident. Whether a person is tax resident in a particular country/jurisdiction depends on whether that person meets the definition of a tax resident under the tax laws of that country/jurisdiction. For more information on tax residence, please consult your tax advisor or refer to the information at OECD automatic exchange of information portal at:

<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/#d.en.347760>.

需要在特定的國家/司法管轄區繳稅，並不意味該國家/司法管轄區是稅務居留國家/司法管轄區；有可能在不屬於稅務居留國家/司法管轄區的地區需要繳稅，而在屬於稅務居留國家/司法管轄區的地區毋需繳稅。某人士在特定的國家/司法管轄區是否為稅務居民，要視乎該人士依是否符合該國/司法管轄區稅法規定的稅務居民定義。如需更多資料，請向閣下之稅務顧問尋求專業意見或瀏覽以下網址：

<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/#d.en.347760>.

If the Account Holder is a dual citizen, enter the country/jurisdiction where the account holder is both a citizen and a resident at the time this form is completed. If the account holder is not a resident in any country/jurisdiction in which the Account Holder has citizenship, enter the country/jurisdiction where the account holder was most recently a resident. If the account holder is a US citizen, a Form



## Part 2: US status 第二部分：美國身份

Please check "v" Yes or No for each of the following questions:

請回答以下問題，並於適當空格填上“v”號：

Questions 問題	Yes 是	No 否
1. Is the account holder a US resident? 賬戶持有人是否美國居民？		
2. Is the account holder a US citizen? 賬戶持有人是否美國公民？		
3. Is the account holder holding a US permanent resident card (Green Card)? 賬戶持有人是否持有美國永久居民身份證（綠卡）？		

## Part 3: Tax residence information 第三部分：稅務居所資料

Please complete the following table indicating (i) the country/jurisdiction where the account holder is resident for tax purposes and (ii) the account holder's taxpayer identification number or functional equivalent (hereafter referred to as 'TIN') for each country/jurisdiction indicated.

請提供以下資料，列明(i) 賬戶持有人的稅務居留國家或司法管轄區及(ii)該國家或司法管轄區發給賬戶持有人的稅務編號或具有等同功能的識別編號(以下簡稱「稅務編號」)。

If the account holder is a resident for tax purposes in more than three countries/jurisdictions, please use a separate sheet. 如賬戶持有人是有超過3個的稅務居留國家或司法管轄區，請另用一張頁面填寫相關資料。

If a TIN or functional equivalent is unavailable please indicate reason A, B or C where appropriate:

- Reason A: Country/Jurisdiction does not issue TINs to its residents.
- Reason B: Country/Jurisdiction issues TINs, but the account holder is unable or not required to obtain a TIN (please explain why the account holder is unable or not required to obtain a TIN).
- Reason C: No TIN is required. Country/Jurisdiction issues TINs but the country/jurisdiction does not require financial institutions to collect TINs from its residents.

如沒有提供稅務編號或具有等同功能的識別編號，請按情況提供合理的理由 A、B 或 C:

- 理由 A – 國家 / 司法管轄區不向其居民簽發 TIN。
- 理由 B – 國家 / 司法管轄區簽發 TIN，但賬戶持有人未能或無需取得 TIN (請說明賬戶持有人未能或無需取得 TIN 的原因)。
- 理由 C – 無需提供 TIN，國家 / 司法管轄區簽發 TIN，但並無要求金融機構收集其居民的 TIN。

More details are available in the Instructions to this Form. 本表格的「說明」部分載有更詳盡資料。

No 編號	Country or jurisdiction of tax residence 稅務居留國家或司法管轄區	TIN 稅務編號	If no TIN or functional equivalent is provided, indicate reason A, B or C 如沒有提供TIN或等同功能的識別編號，請指明理由A、B或C
1			
2			
3			

If reason B is selected above, explain why the account holder is unable or not required to obtain a TIN in the corresponding row below

如選擇理由B，請在下方相應一行說明為何賬戶持有人無法獲取TIN的理由

1	
2	
3	



**W-9 must be provided.**

如果賬戶持有人擁有雙重國籍，於填寫該表格時，請註明賬戶持有人既是公民又是居民的國家/司法管轄區。若賬戶持有人為非其具有某國家/司法管轄區的公民身份的居民，請填寫該賬戶持有人最近期居留的國家/司法管轄區。如果賬戶持有人是美國公民，必須提供一份W-9表格。

Where the account holder's country/jurisdiction of tax residence is Hong Kong, the account holder's TIN is the account holder's Hong Kong Identity Card (HKID) number.

如果賬戶持有人的稅務居留國家/司法管轄區為香港，請於稅務編號中填寫香港居民身份證號碼。

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

- Reason A should be selected by an account holder where the country/jurisdiction concerned does not, under any circumstances, issue TINs to individual tax residents. Where the country/jurisdiction concerned does issue TINs to individual tax residents, but the Account Holder has not been issued with a TIN because of particular circumstances, reason B should be selected instead.
- If you have selected reason B, please explain why the account holder is unable to obtain a TIN, even though the country/jurisdiction concerned does issue TINs to individual tax residents.
- Reason C should be selected if the country/jurisdiction that issued the TINs does not require TINs of individual tax residents to be collected or reported.

如沒有提供稅務編號，請按情況提供合適的理由 A、B 或 C:

- 理由 A - 賬戶持有人的居留國家/司法管轄區並沒有向其居民發出稅務編號。
- 理由 B - 賬戶持有人不能取得稅務編號。如選取這一理由，解釋賬戶持有人不能取得稅務編號的原因。
- 理由 C - 賬戶持有人毋須提供稅務編號。居留賬戶持有人的主管機關不需要賬戶持有人披露稅務編號。



**Part 4: Declaration and signature 第四部分：聲明及簽署**

I understand that the information supplied by me is subject to the terms and conditions governing the account(s) maintained with Standard Chartered PLC and its subsidiaries and affiliates to which this form relates.  
本人明白，本表格及其中提供的資料與在渣打集團有限公司及其附屬公司以及關聯方開設的賬戶有關，且符合管理該類賬戶的條款和條件。

I acknowledge that the information contained in this Self-Certification and information regarding the account holder and any reportable account(s) may be provided to the tax authorities of the country/jurisdiction in which this/these account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which this account holder may be a tax resident, pursuant to a bilateral or multilateral agreements between governments to exchange financial account information.

本人確認，本表格所載的資料及與賬戶持有人及任何應申報賬戶有關的資料，均可提交至其持有此等賬戶的所在國家／司法管轄區的稅務機關，以及根據政府之間交換財務帳戶資料的雙邊或多邊協議，與賬戶持有人持有稅務居民身分的另一國家／司法管轄區或多個國家／司法管轄區的稅務機關進行交換。

Where required by domestic or overseas regulators or tax authorities, I consent and agree that the bank may withhold from my account(s) such amounts as may be required according to applicable laws, regulations and directives under relevant laws and regulations.

因應國內或海外的監管機構或稅務機構需要，本人准許並同意銀行可按相關法律、法規和指令在本人賬戶中扣留相關所須的金額款項。

**Certification 聲明**

I certify that I am the account holder (or am authorised to sign for the account holder) of all of the account(s) to which this Form relates. 本人確認，本人為本表格所涉及的全部賬戶的賬戶持有人或授權代表與賬戶持有人簽名的人士。

I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete. 本人確認，就本人所知所信，本聲明中的所有陳述均為正確及完整。

I undertake to notify the recipient to submit a suitably updated form within 30 days of any change in circumstances which affects the tax residency status of the account holder or which causes the information contained herein to become incorrect, and to submit a suitably updated form within 30 days of such change in circumstances and to provide any additional information as may be required by Standard Chartered and/or applicable law.

本人承諾，於任何情況變化以致影響賬戶持有人的稅務居民身分或導致此所載資料不準確時，會於情況出現後30日內通知收取本表格的人士，並於該等情況發生變化出現後30日內提交相應更新的表格，並提供渣打銀行及／或適用法律所需的任何其他資料。

**Signature 在此簽署：**

Signature of account holder (or individual authorised to sign for the account holder) 賬戶持有人簽署（或獲授權代表賬戶持有人簽署人士）

Print full name 正楷全名：\_\_\_\_\_

Date(DD-MM-YYYY) 日期(日-月-年)：\_\_\_\_\_

Note: If you are not the account holder please indicate the capacity in which you are signing the form.  
備註：若你並非賬戶持有人，請說明您簽署本表格時的身份。

Capacity 身份：\_\_\_\_\_



**Part 4: Declaration and signature 第四部分: 聲明和簽署**

Declaration and signature 聲明和簽署	<p>The Form must be signed and dated by the account holder. If this Form is completed by an Individual authorised to sign for the account holder, please indicate the capacity in which you are signing the Form.</p> <p>賬戶持有人必須簽署表格及填寫日期。若本表格由個人獲授權代表賬戶持有人填寫的，請註明您簽署本表格時的身份。</p>
Capacity 身份	<p>An individual authorised to sign on behalf of the account holder must state the capacity in which they are signing. If this Form is completed by an agent acting under a duly authorised power of attorney, the Form must be accompanied by the power of attorney in proper Form specifically authorising the agent to represent the Account Holder in making, executing and presenting the Form. If the form is completed by the account holder, leave the field blank.</p> <p>獲授權代表賬戶持有人簽署的人士必須指明他們的權限簽署。若本表格為代理人根據正式授權書簽署，則本表格必須以適當形式明確授權該代理人代表賬戶持有人進行、簽署和提交本表格的授權書。若本表格為賬戶持有人所填寫，請留空本欄。</p>