

## CRS Controlling Person Self-Certification Form

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Please complete parts 1-5 in BLOCK CAPITALS.

**Important Notes:**

- This is a self-certification form provided by a Controlling Person to Hang Seng Bank Limited for the purpose of automatic exchange of financial account information. The data collected may be transmitted by Hang Seng Bank Limited to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- A Controlling Person should report all changes in his/her tax residency status to Hang Seng Bank Limited.
- 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 an asterisk (\*) are required to be reported by Hang Seng Bank Limited to the Inland Revenue Department.

Part 1 – Identification of Controlling Person		
A. Name of Controlling Person		
<input type="checkbox"/> Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/> Miss <input type="checkbox"/> Other		
Last Name or Surname(s)*		
First or Given Name*		
Middle Name(s)		
ID Document Type <input type="checkbox"/> HKID <input type="checkbox"/> Passport <input type="checkbox"/> Travel Document <input type="checkbox"/> Other:		
ID Document No.		
B. Current Residence Address		
Line 1 (e.g. Suite, Floor, Building, Street, District)		
Line 2 (e.g. City)		
Line 3 (e.g. Province/State)		
Country*/Territory*		
Postal Code/ZIP Code		
C. Mailing Address (Please complete if different to the current residence address)		
Line 1 (e.g. Suite, Floor, Building, Street, District)		
Line 2 (e.g. City)		
Line 3 (e.g. Province/State)		
Country/Territory		
Postal Code/ZIP Code		
D. Date of Birth* (DD/MM/YYYY)		

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Please read the instructions on Page 1 of the form to ensure you are completing the correct form.

#### A. Part 1 Identification of Controlling Person

##### 1. Name of Controlling Person

Insert your name on your identity document, such as the name on your HKID or passport which is provided to the Bank.

##### 2. Hong Kong Identity Card Number, Passport Number, Travel Document or Other

Insert your HKID number or if you do not have an HKID, please provide your Passport number, Travel Document number, or other document number that serves the same purpose.

##### 3. Current Residence Address

Breakdown your full address in different fields as specified in the form.

DO NOT USE:

- PO Box or C/O address
- Address of a third party
- Address at a Financial Institution

##### 4. Mailing Address

Insert mailing address only if different from the Current Residence Address.

##### 5. Date of Birth

Write down your date of birth using the dd/mm/yyyy format.

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**B**

Part 2 – The Entity Account Holder(s) of which you are a Controlling Person	
Enter the name of the entity account holder of which you are a Controlling Person.	
Entity	Name of the Entity Account Holder
1	
2	
3	

**C**

Part 3 – Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”)*			
* Please complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the Controlling Person is a resident for tax purposes and (b) the Controlling Person’s TIN for each jurisdiction indicated. Indicate all (not restricted to three) the jurisdictions of residence. • If the Controlling Person is tax resident in more than three jurisdictions, please use a separate sheet. • If the Controlling Person 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: <b>Reason A</b> - The jurisdiction where the Controlling Person is a resident for tax purposes does not issue TINs to its residents. <b>Reason B</b> - The Controlling Person is unable to obtain a TIN. (Please explain why the Controlling Person is unable to obtain a TIN if you have selected this reason) <b>Reason C</b> - 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
1			
2			
3			
Please explain in the following boxes why you are unable to obtain a TIN if you selected Reason B above.			
1			

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**B. Part 2 The Entity Account Holder(s) of which you are a controlling person**

List all the entities of which you are a Controlling Person.

**C. Part 3 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”)**

This number depends on which jurisdiction you are tax resident. If you are the tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number (HKID).

The OECD has provided some information on the acceptable numbers and format. You can refer to the following website <<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/#d.en.347759>>.

If you cannot provide a TIN, please indicate the reason A, B or C on the form.

If you select reason B, please provide a written reason for not being able to obtain a TIN. This must be written in the table on the form.

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D

Part 4 – Type of Controlling Person				
Tick the appropriate box to indicate the type of Controlling Person for each entity stated in Part 2.				
Type of Entity	Type of Controlling Person	Entity (1)	Entity (2)	Entity (3)
Legal Person	Individual who has a controlling ownership interest (i.e. more than the specified percentage <sup>^</sup> of issued share capital / capital / profits)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who exercises control / is entitled to exercise control through other means (i.e. more than the specified percentage <sup>^</sup> of voting rights)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who holds the position of senior managing official / exercises ultimate control over the management of the entity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trust	Settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Protector or enforcer	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Beneficiary or member of the class of beneficiaries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (e.g. individual who exercises control over another entity being the settlor / trustee / protector or enforcer / beneficiary)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Legal Arrangement other than Trust	Individual in a position equivalent / similar to settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent / similar to trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent / similar to protector or enforcer	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent / similar to beneficiary or member of the class of beneficiaries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (e.g. individual who exercises control over another entity being equivalent / similar to settlor / trustee / protector or enforcer / beneficiary)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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### D. Part 4 Type of Controlling Person

The first 3 Controlling Person types are for all companies except Trusts or Legal Arrangements other than Trust.

Controlling ownership interest relates to where the individual owns more than the specified percentage<sup>^</sup> of issued share capital / capital / profits of the company. Control through other means refers to more than the specified percentage<sup>^</sup> of voting rights.

Senior Managing Official is considered as the controlling person where there is not an individual that can be identified as having control by ownership or other means. They are the key controller of the company.

The remaining Controlling Person types are for Trusts or Legal Arrangements other than Trust.

<sup>^</sup> With effect from 1 January 2021, the specified percentage is: 25% in relation to a corporation; and 0% in relation to a partnership.

## CRS Controlling Person Self-Certification Form

**E**

Part 5 – Declarations and Signature		
<p>I understand that the information supplied by me is covered by the full provisions of the terms and conditions governing the Account Holder's relationship with Hang Seng Bank Limited ("Hang Seng Bank") setting out how Hang Seng Bank may use and share the information supplied by me.</p> <p>I acknowledge and agree that (a) the information contained in this form is collected and may be kept by Hang Seng Bank for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the Controlling Person and any Reportable Account(s) may be reported by Hang Seng Bank 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 Controlling Person 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).</p> <p>I certify that I am the Controlling Person, or am authorised to sign for the Controlling Person, of all the account(s) held by the entity Account Holder to which this form relates and where I am not the Controlling Person.</p> <p>I certify that where I have provided information regarding any other person (such as a Controlling Person or other Reportable Person to which this form relates) that I will, within 30 days of signing this form, notify those persons that I have provided such information to Hang Seng Bank and that such information may be provided 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 person 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).</p>		
<p>I declare that the information given and all statements made in this form and this declaration are, to the best of my knowledge and belief, true, correct and complete.</p> <p>I undertake to advise Hang Seng Bank within 30 days of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide Hang Seng Bank with a suitably updated Self-Certification and Declaration within 90 days of such change in circumstances.</p>		
①	Print Name	Signature
②	Date (DDMMYYYY)	
<p>Note: If you are not the Controlling Person please indicate the capacity in which you are signing the form. If signing under a power of attorney please also attach a certified copy of the power of attorney.</p>		
④	Capacity	
<p><b>WARNING:</b> 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. HK\$10,000).</p>		

③

### E. Part 5 Declarations and Signature

You must be the individual identified in Part 1 (or authorized to sign on behalf of the individual identified in Part 1).

1. Please print your name
2. Please date the form using the dd/mm/yyyy format.
3. Please sign the form on the column next to your name.
4. Please indicate the capacity in which you are signing the form if you are not the individual identified in Part 1.

If you have any questions regarding your tax position, please consult your professional tax and/or legal advisor as we are unable to provide any tax advice.

\* In the event of any discrepancy or inconsistency between the English version and the Chinese version of this form, the English version shall prevail.