

CRS Entity Self-Certification Form

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Please complete parts 1-5 in BLOCK CAPITALS.

Important Notes:	
<ul style="list-style-type: none"> This is a self-certification form provided by an Account Holder 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. An Account Holder should report all changes in its 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 sheets. Information in fields/parts marked with an asterisk (*) are required to be reported by Hang Seng Bank Limited to the Inland Revenue Department. 	

A 1 2 3 4 5	Part 1 – Identification of Entity Account Holder (For joint or multiple account holders, please complete a separate form for each entity account holder.)	
	A. Customer Information	
	Legal Name of Entity / Branch*	
	Jurisdiction of Incorporation or Organization	
	Registration Number	
	B. Current Business 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 business 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		

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

A. Part 1 Identification of Entity Account Holder

1. Legal Name of Entity / Branch

Insert your business name on the formation documents which is provided to the Bank.

2. Jurisdiction of Incorporation or Organization

Insert the jurisdiction where your business was formed or incorporated. If you are a Trust, then it is where the Trustee is located.

3. Certificate of Incorporation or Business Registration Number

Insert your Business Registration Number or registration number on the formation documents.

4. Current Business 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

5. Mailing Address

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

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B

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
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, a central bank, or an entity wholly owned by one or more the foregoing entities <input type="checkbox"/> NFE is an international organization (for example the United Nations or NATO) or an entity wholly owned by one or more international organizations. <input type="checkbox"/> Active NFE other than the above
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

B. Part 2 Entity Type

Must tick one box only. Please refer to the Appendix on Page 6 to 8 of the form for the definitions of Entity Types.

C

Part 3 – Controlling Persons (Please 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. 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. Please complete CRS Controlling Person Self-Certification Form for each controlling person.	
1	
2	
3	
4	
5	
6	
7	
8	

C. Part 3 Controlling Persons

Complete this part only if you have ticked the box **Passive NFE** in Part 2.

Please provide the name of each controlling person(s) of the entity identified in Part 1.

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D Part 4 – 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 Account Holder is a resident for tax purpose and (b) the Account Holder’s TIN for each jurisdiction indicated. Indicate all (not restricted to three) jurisdictions of residence.

- If the Account Holder is tax resident in more than three jurisdictions, 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.
- 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
1			
2			
3			

Please explain in the following boxes why you are unable to obtain a TIN if you selected Reason B above.

1	
2	
3	

D. Part 4 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 Business Registration Number.

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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E

Part 5 – Declarations and Signature

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.

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 Account Holder 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 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 authorised to sign for the Account Holder in respect of all the account(s) to which this form relates.

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).

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.

I undertake to advise Hang Seng Bank within 30 days of any change in circumstances which affects the tax residency status of the Account Holder identified in Part 1 of this form or causes the information contained herein to become incorrect (including any changes to the information on controlling persons identified in Part 3), and to provide Hang Seng Bank with a suitably updated self-certification and Declaration within 90 days of such change in circumstances.

1 Print Name	Signature
2 Date(DD/MM/YY)	X
<p>Note: Please indicate the capacity in which you are signing the form (for example "Authorised Officer"). If signing under a power of attorney please also attach a certified copy of the power of attorney.</p>	
4 Capacity	

3

E. Part 5 Declarations and Signature

You must be authorised to sign on behalf of the entity identified in Part 1.

1. Please sign the form according to the mandate or company minutes provided to the Bank.
2. Please date the form using the dd/mm/yyyy format.
3. Please print your name on the line next to your signature.
4. Please indicate the capacity in which you are signing the form.

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

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. HK\$10,000).

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