



Form A (Entity) / 表格 A (實體)

Date: _____

Tracker Fund of Hong Kong

(A Hong Kong unit trust authorized under section 104(1) of the Securities and Futures Ordinance (Cap 571) of Hong Kong)

(Stock Code: 2800)

Unitholder Name: _____

Address: _____

Automatic Exchange of Financial Information ("AEOI") – Entity Self-Certification Form

自動交換財務帳戶資料 - 實體自我證明表格

Please read the Letter to Account Holders and the Personal Information Collection Statement before completing this form. This form is used to certify your residency for tax purposes. You should, if necessary, consult your own professional advisors on the details and implications of AEOI.

在填寫此表格前，請先細閱隨附之致帳戶持有人信函及個人資料收集聲明。此表格用於證明你的稅務居民身份。如有需要，請諮詢你的專業顧問有關自動交換財務帳戶資料的細節和影響。

Part 1 - Identification of the Entity Account Holder (For joint or multiple account holders, complete a separate form for each entity account holder)

第1部 - 實體帳戶持有人的身分識別資料 (對於聯名帳戶或多人聯名帳戶，每名實體帳戶持有人須分別填寫一份表格)

A. Please provide the current business address (if different from the mailing address above)

如與上述通訊地址不同，請提供現時營業地址

Room Number/Floor

室、樓層

Building & Street

大廈、街道

District

地區

Country/City

國家/城市

Postal or ZIP Code

郵政編碼/郵遞區號碼

B. Jurisdiction of Incorporation or Organisation

實體成立為法團或設立所在的稅務管轄區

C. Hong Kong Business Registration Number (if applicable)

香港商業登記號碼 (如適用)

Part 2 - Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN")

第2部 - 居留司法管轄區及稅務編號或具有等同功能的識別編號 (以下簡稱「稅務編號」)

Please complete the following table indicating (a) 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. Indicate **all** (not restricted to three) jurisdictions of residence.

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.

請提供以下資料，列明 (a) 帳戶持有人的居留司法管轄區，亦即帳戶持有人的**稅務管轄區** (香港包括在內) 及 (b) 該居留司法管轄區發給帳戶持有人的稅務編號。

列出**所有** (不限於3個) 居留司法管轄區。

如帳戶持有人的稅務管轄區是香港，稅務編號是其香港商業登記號碼。

如果帳戶持有人並非任何稅務管轄區的稅務居民 (例如：它是財政透明實體)，填寫實際管理機構所在的稅務管轄區。

如沒有提供稅務編號，必須填寫合適的理由：

理由 A – 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

理由 B – 帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得稅務編號的原因。

理由 C – 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號， 填寫理由 A、B 或 C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選取理由B，解釋帳戶持有人不能取得稅務編號的原因

If your tax residence jurisdiction is different from that of mailing address or current residence/business address or place of incorporation / organization, please provide reasons and documentary evidence as stated in the Letter to Account Holders:

如果你的稅務居留司法管轄區與通訊地址或現時住址/營業地址或實體成立為法團/設立所在的管轄區不同，請註明原因並按致帳戶持有人信函中的要求提供相關文件證據：

Part 3 - Entity Type

第 3 部 - 實體類別

Please tick one of the appropriate boxes and provide the relevant information.

請在其中一個適當的方格內加上✓號，並提供有關資料。

Financial Institution 金融機構	<input type="checkbox"/> 1a. Custodial Institution, Depository Institution or Specified Insurance Company 託管機構、存託機構或指定的保險公司
	<input type="checkbox"/> 1b. 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 投資實體，但不包括由另一金融機構管理（例如：擁有酌情權管理投資實體的資產）並位於非參與稅務管轄區的投資實體
Active NFE 主動的非金融機構	<input type="checkbox"/> 2a. NFE the stock of which is regularly traded on _____, which is an established securities market 該非金融機構的股票經常在 _____（一個具規模證券市場）進行買賣
	<input type="checkbox"/> 2b. Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market _____的有關連實體，該有關連實體的股票經常在 _____（一個具規模證券市場）進行買賣
	<input type="checkbox"/> 2c. NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities 政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體
	<input type="checkbox"/> 2d. Active NFE other than the above (Please specify _____) 除上述以外的主動非金融機構（請說明 _____）
Passive NFE 被動的非金融機構	<input type="checkbox"/> 3a. Investment entity that is managed by another financial institution and located in a non-participating jurisdiction 位於非參與稅務管轄區並由另一金融機構管理的投資實體
	<input type="checkbox"/> 3b. NFE that is not an active NFE 不屬主動非金融機構的非金融機構

Part 4 – Controlling Persons (Complete this part if the entity account holder is a passive NFE)

第 4 部 - 控權人 (如實體帳戶持有人是被动非金融機構，填寫此部)

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. **Please complete enclosed “Controlling Person Self-Certification Form” for each controlling person.**

請就帳戶持有人，填寫所有控權人的姓名在列表內。就法人實體，如行使控制權的並非自然人，控權人會是該法人實體的高級管理人員。**每名控權人須分別填寫一份附件之“控權人自我證明表格”表格。**

(1)	(3)
(2)	(4)

Part 5 - Declaration and Signature

第 5 部 - 聲明及簽署

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution 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 the financial institution 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 authorized to sign for the account holder of all the account(s) to which this form relates.

I undertake to advise Tracker Fund of Hong Kong 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 Tracker Fund of Hong Kong with a suitably updated self-certification form within 30 days of such change in circumstances.

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.

本人知悉及同意，金融機構可根據《稅務條例》（第112章）有關交換財務帳戶資料的法律條文，（a）收集本表格所載資料並可備存作自動交換財務帳戶資料用途及（b）把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報。從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。

本人證明，就與本表格所有相關的帳戶，本人獲帳戶持有人授權簽署本表格。

本人承諾，如情況有所改變，以致影響本表格第1部所述的實體的稅務居民身分，或引致本表格所載的資料不正確，本人會通知盈富基金，並會在情況發生改變後30日內，向盈富基金提交一份已適當更新的自我證明表格。

本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

Signature

簽署

(Please endorse Company Chop 請加蓋公司印章)

Print Name

姓名

Capacity (e.g. director or officer of a company, partner of a partnership, trustee of a trust etc.)

簽署人身分（例如：公司的董事或高級人員、合夥的合夥人、信託的受託人等）

Date (DD/MM/YYYY)

日期(日/月/年)

Phone Number

電話號碼

Email Address

電郵地址

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).

警告：根據《稅務條例》第 80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級（即港幣\$10,000）罰款。

Please return the form to Computershare Hong Kong Investor Services Limited at 17M Floor, Hopewell Centre, 183 Queen's Road East, Wan Chai, Hong Kong. 請將表格交回香港中央證券登記有限公司，地址為香港灣仔皇后大道東 183 號合和中心 17M 樓。

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