



自我聲明書 - 個人客戶

Self-Certification Form - Individual

客戶須知: 填寫此表格前, 請先閱讀本節。

Important Notice to Customer(s): Please read this section before completing this form.

金融機構均不允許給予客戶稅務諮詢。

如果您對此表格或您的稅務居民身份定義有任何疑問, 請聯繫您的稅務顧問或相關稅務機關。您可以從經濟合作與發展組織(OECD)自動訊息交換網站獲取更多詳情, 包括已簽署自動交換信息協議的司法管轄區的名單及被請求交換的有關信息。

(<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>)

Financial institutions are not allowed to provide tax advice.

If you have any questions regarding this form or defining your tax residency status, please speak to your tax adviser or relevant tax authority. Please find out more on the OECD website (<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>), including a list of jurisdictions that have signed agreements to exchange information automatically, along with details about the information being requested.

請注意: 如果客戶為聯名賬戶, 各聯名賬戶持有人必須各自填寫一份自我聲明書。

Please note that where there are joint account holders, each account holder is required to complete a separate Self-Certification form.

您可能被要求提供額外證明文件, 以核實此表格上之內容。

You may be asked to provide additional documents to evidence the declaration made on this form.

第一部份: 賬戶持有人身份 Section 1: Account Holder Identification

個人資料 Personal Information:

賬戶持有人姓名 (姓氏, 名字) Name of Account Holder (First name, Last name)

出生日期 (日/月/年) Date of Birth (dd/mm/yyyy)

出生地 (城市, 國家) Place of Birth (City, Country)

居住地址 Residence Address:

室/層/座

Room / Flat, Floor, Block

樓宇/屋苑名稱, 街道名稱及號數

Building / Estate, No. & Name of Street / Road

地區/城市/城鎮 District / City / Town

郵政編碼 Post Code

國家 Country

通訊地址 (如與上述居住地址不同) Correspondence Address (if different from the residence address above):

室/層/座

Room / Flat, Floor, Block

樓宇/屋苑名稱, 街道名稱及號數

Building / Estate, No. & Name of Street / Road

地區/城市/城鎮 District / City / Town

郵政編碼 Post Code

國家 Country



第二部份：稅務居民身份 Section 2: Declaration of Residence for tax purpose

本人聲明本人為下列司法管轄區之稅務居民。

I hereby confirm that I am, for tax purposes, resident in the following countries.

如未能提供稅務編號，請填寫理由 A, B 或 C.

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

理由 A 賬戶持有人的居留司法稅務管轄區並沒有向其居民發出稅務編號。

Reason A The jurisdiction where the Account Holder is a resident for tax purposes does not issue TINs to its residents

理由 B 賬戶持有人不能取得稅務編號。(請在下表中解釋不能取得稅務編號的原因)

Reason B The Account Holder is unable to obtain a TIN or equivalent number
(Please explain why you are unable to obtain a TIN in the below table)

理由 C 賬戶持有人毋須提供稅務編號。(這理由只適用於居留司法管轄區的主管機關不需要賬戶持有人披露稅務編號。)

Reason C TIN is not required. Select this reason only if the authorities of the jurisdiction of tax residence do not require the TIN to be disclosed.

稅務居民司法管轄地 Jurisdiction of Tax Residence	稅務編號 TIN	如未能提供稅務編號，請填寫理由 A, B 或 C. Enter Reason A, B or C if TIN is unavailable	如選擇理由B，請提供不能取得稅務編號的原因 Explain why the account holder is unable to obtain a TIN if you have selected Reason B

額外披露 (如適用) Additional Disclosure (if applicable)

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by GUOTAI JUNAN SECURITIES (MACAU) COMPANY LIMITED for the purpose of automatic exchange of financial account information enacted under Law no. 5/2017 as amended by Law no. 1/2022, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by Guotai Junan Securities (Macau) Company Limited to the Financial Services Bureau of the Government of the Macau Special Administrative Region of the People's Republic of China 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 Law No. 5/2017, as amended by Law no. 1/2022 Legal Regime for the Exchange of Tax Information. 本人知悉及同意，國泰君安證券（澳門）一人有限公司可根據經第1/2022號法律修改第5/2017號法律《稅務信息交換法律制度》有關交換財務帳戶資料的法律規定：（a）根據經第1/2022號法律修改第5/2017號法律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）把該等資料和關於賬戶持有人及任何須申報帳戶的資料向澳門財政局申報，並可將資料轉交到其他居留司法管轄區或賬戶持有人的居留司法管轄區的稅務當局。

I certify that I am the account holder / I am authorized to sign for the account holder# of all the account(s) to which this form relates. 本人證明，就與本申請表所有相關的賬戶，本人是賬戶持有/本人獲賬戶持有人授權簽署本表格。

Warning: The information and data collected in this form may be reported to the Macau SAR Government for the purpose of automatic exchange of financial account information enacted under Law no. 5/2017 as amended by Law no. 1/2022. 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 may contravene the relevant laws and regulations of Macau.

警告：本表格所收集以作自動交換財務資料用途之資料可能會根據經第1/2022號法律修改第5/2017號法律向澳門特別行政區政府申報，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，該人將有可能觸犯澳門相關法律法規而構成違法。



聲明及簽署 Declarations and Signature

本人在此聲明本人已查閱此自我聲明書之內容及陳述，並盡本人所知及確信，聲明內容均屬真實、正確及完整。

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.

本人明白既承認此聲明書及有關本人及須申報賬戶的任何資料可向任何本地或海外政府、監管或稅務機關或機構(包括但不限於中華人民共和國澳門特別行政區政府財政局及美國國稅局)提供，以及向適用法例、法規、慣例或指引(包括但不限於澳門稅務條例、任何在本地實施的OECD「經濟合作與發展組織稅務金融訊息自動交換標準/通用報告準則」、美國《外國賬戶稅收合規法案》及在澳門或任何其他相關司法管轄地已落實的同類稅務資訊共用制度)所規定或指示或國泰君安證券(澳門)一人有限公司及國泰君安資產管理(亞洲)有限公司認為必要的任何其他本地或海外人士或單位提供；及可由國泰君安證券(澳門)一人有限公司及國泰君安資產管理(亞洲)有限公司存儲、使用及披露，以便其遵從有關向本人提供服務的義務、承諾、安排或市場慣例。

I acknowledge that the information contained in this form and information regarding the account holder may be reported to any local or foreign governmental, regulatory or tax authorities or bodies (including but not limited to the Inland Financial Service Bureau of the Government of the Macau Special Administrative Region of the People's Republic of China and the U.S. Internal Revenue Service), and to any other local foreign persons or entities required or directed by applicable laws, regulations, practices or guidelines (including but not limited to the Macau Inland Revenue Ordinance, any local implementation of the OECD Standard for Automatic Exchange of Financial Information in Tax Matters/Common Reporting Standard, the U.S. Foreign Account Tax Compliance Act (FATCA) and local implementation hereof, and any similar tax information sharing regime put in place in Hong Kong or any other relevant jurisdiction) or deemed necessary by Guotai Junan Securities (Macau) Company Limited and Guotai Junan Assets (Asia) Limited; and stored, used and disclosed by Guotai Junan Securities (Macau) Company Limited and Guotai Junan Assets (Asia) Limited so that it can comply with obligations, commitments, arrangement or market practices in relation to providing services to me.

本人聲明本人為賬戶持有人。

I certify that I am the account holder of all the account(s) to which this form relates.

賬戶持有人簽署
Signature of Account Holder

正楷姓名
Print Name

日期(日/月/年)
Date(dd/mm/yyyy)

如此表格的中、英文兩個版本有任何不相符之處，應以中文版本為準，所有您在此聲明書提供的資料會被視為回應中文版本原文。

In the event of any inconsistency between the English and Chinese language text on this Self-Certification form, the Chinese version will prevail and all information provided by you on this form will be treated as addressing the English text.