

**Before you begin 開始之前：**

Tax regulations require ANZ and its Controlled Entities ("ANZ") to collect an Entity/Controlling Person(s) Self-Certification that establishes the Entity's status and includes tax residence(s). ANZ may be required to provide information to relevant tax authorities (including where a valid Self-Certification(s) is not provided). Automatic Exchange of Information may include the Foreign Account Tax Compliance Act (FATCA) and the Common Reporting Standard (CRS). 稅務規例要求 ANZ 及其控制的實體 ("ANZ") 收集實體/控權人士的自我證明書以確立實體的身份, 並且包括其稅務居民身份。ANZ 或需向有關稅務機構 (包括該等您未向其提供有效自我證明書之稅務機構) 提供資料。自動交換資料或受《外國帳戶稅務合規法案》(FATCA) 及《通用報告準則》(CRS) 約束。

- (a) **Complete this Self-Certification if:** you are an Entity (including all Other Non-Individual) Account Holder. For joint or multiple Account Holders each Entity must complete a separate Self-Certification. **請完成此自我證明書, 如:** 您是實體 (包括所有其他非個人) 帳戶持有人。就聯名或多個帳戶的持有人, 每名實體帳戶持有人均須填妥獨立的自我證明書。
- (b) **Refer** to the country specific terms/information obtainable from [www.anz.com/aeoi](http://www.anz.com/aeoi). 請於 [www.anz.com/aeoi](http://www.anz.com/aeoi) 參閱有關國家之特定條款/資訊。
- (c) **Obtain** tax/legal/other professional advice (if required) **before** you complete this Self-Certification and sign Step 4. 在填寫此自我證明書及簽署步驟 4 之前, (如有需要) 請獲取稅務/法律/其他專業意見。

**STEP 1 步驟 1 ENTITY ACCOUNT HOLDER DETAILS:** If this entity is **NOT** the Account Holder, please ensure this self-certification is completed by the Account Holder. **實體帳戶持有人資料:** 如果此實體不是帳戶持有人, 請確保此自我證明書由帳戶持有人填妥。

|  |                        |                   |                  |  |  |
|--|------------------------|-------------------|------------------|--|--|
| 1.1 Name of Entity Account Holder<br>實體帳戶持有人姓名   |                        |                   |                  |  |  |
| 1.2 Primary Nature of Business<br>主要業務性質   |                        |                   |                  |  |  |
| 1.4 Registered Office Address<br>註冊辦公地址<br>(Alternatively, your Principal Place of Business or Other Physical Address. Do not provide a PO Box Address)<br>(或者, 主要營業地點或其他實體之地址。請勿提供郵政信箱地址) | Street Address<br>街道地址 |                   | City/Town<br>市/鎮 |  |  |
|  | Province/State<br>省/州  | Post Code<br>郵遞區號 | Country<br>國家    |  |  |
|  |                        |                   |                  |  | 1.3 Country of incorporation, organisation or establishment<br>註冊, 組織或成立國家 |

**STEP 2 步驟 2 ENTITY ACCOUNT HOLDER TYPE:** Please complete the Entity Status as **ONE** of the following: Non-Financial Entity (NFE), Exempt Entity, or Financial Institution (FI). By doing so, I certify the Entity Account Holder meets the qualifying condition(s) for each status claimed. **實體帳戶持有人類型:** 請選擇以下一項以填妥實體身份: 非金融實體 (NFE)、豁免實體或金融機構 (FI)。就此作出選擇後即表示本人證實實體帳戶持有人符合所聲稱的每種身份之合資格條件。

**NON-FINANCIAL ENTITY 非金融實體** Please check one applicable option across (a) **OR** (b) 請選擇 (a) 或 (b) 中的一個適用項:

**(a) Active NFE 主動非金融實體:**

**Active NFE (by income/assets) 主動非金融實體 (按收入/資產):**  
During the preceding calendar year or other appropriate reporting period, the Entity 在上一公曆年或其他合適的申報期內, 實體:  
1. Derived less than 50% of its gross income from passive sources; AND 從被動來源獲取的收入不足總收入的50%; 及  
2. Held less than 50% of assets that produced or were held for production of passive income. 持有的資產中, 少於50%的資產製造被動收入或用於製造被動收入。

**Holding Company or Treasury Centre 控股公司或財資中心** (that is a member of a non-financial group 為非金融組織之成員)

**Start-Up Company 初創公司**

**Entity in Liquidation or Bankruptcy 清盤或破產實體**

**Tax Exempt Non-Profit Organisation 稅務豁免非牟利組織**

**(b) Passive NFE 被動非金融實體:**

**Passive NFE 被動非金融實體**

**OR 或者**

**Complete Annexure A and the rest of this Self-Certification.** If the Entity meets a FATCA status/Exemption not provided for on this Self-Certification, provide the relevant form W. 請填妥附錄 A 及此自我證明書的剩餘部分。如果實體能符合此份證明書中未曾列明的 FATCA 豁免條件, 請以相關的表格 W 提供證明。

**EXEMPT ENTITY 豁免實體** If the qualifying conditions are met, please check **ONE** box below 如果符合資格條件, 請選擇以下一個選項:

**Publicly Traded NFE 公開上市的非金融實體**  
A Corporation that is not an FI, AND the stock of which is regularly traded on an Established Stock Exchange. 非金融機構的公司, 且其股票定期地在設定股票交易所交易。

**Related Entity of Publicly Traded NFE 可公開交易的非金融實體的有關連實體**  
Provide the name of the Related Publicly Traded NFE 請提供有關連可公開交易的非金融實體之名稱:  
\_\_\_\_\_

**Central Bank 中央銀行**

**Government Entity 政府實體**

**International Organisation 國際組織**

**Entity wholly owned by a Central Bank, Government Entity or International Organisation 中央銀行、政府或國際組織全資擁有的實體**

**OR 或者**

**FINANCIAL INSTITUTION 金融機構** Please complete the Entity's CRS FI Status **AND** FATCA FI or Foreign FI (FFI) status below 請在下方填妥實體的 CRS FI 身份及 FATCA FI 或外國 FI (FFI) 身份:

**CRS status CRS 身份**

**Depository/Custodial Institution or Specified Insurance Company 儲存/保管機構或指定保險公司**

**Managed Investment Entity 投資管理實體**

**Investment Entity - Other 投資實體 - 其他**

**FATCA status FATCA 身份**

**GIIN provided 已提供 全球中介機構識別碼:**

**Reporting Model 1 FFI 申報模型 1 FFI**  **Reporting Model 2 FFI 申報模型 2 FFI**  **Participating FFI 參與 FFI**

**Registered Deemed Compliant FFI 已註冊並視為合規的 FFI**  **Sponsored FI 受贊助 FI**  **Trustee Documented Trust 有提供受託人記錄的信託**

The Entity GIIN is 實體的 GIIN: \_\_\_\_\_

or 或  **GIIN has been 'applied for' 已申請 GIIN**

**GIIN not available 全球中介機構識別碼不適用:**

**Pension/Retirement Fund (meets FATCA exemption requirements) 養老金/退休基金 (符合 FATCA 豁免要求)**

**United States FI 美國 FI**

**Territory FI 地區 FI**

**Non-Reporting IGA FFI 協議簽署國中無需申報的 FFI**

**Non-Participating FFI 非參與 FFI**

**Owner Documented FFI (Provide Form W-8) 有提供擁有人記錄的 FFI (提供表格 W-8)**

**Other FI/Certified Deemed Compliant FFI - provide FATCA Status 其他 FI/已核證並視為合規的 FFI - 提供 FATCA 身份**

**STEP 3** **ENTITY ACCOUNT HOLDER TAX RESIDENCE(S):** If the third check box below is selected, also complete information in the table.

**步驟 3** **實體帳戶持有人稅務居民身份:** 如果選擇了下方第三個選項, 請在下方表格填妥所要求的資料。

Please check **ONE** applicable option below 請在下方選擇一個適用選項:

- the Entity is **only** Tax Resident in the country in which the account is being opened  
實體僅為其帳戶開立國家的稅務居民
- the Entity is Fiscally Transparent and its place of effective management or jurisdiction in which its principal/registered office is located is:   
實體財務透明, 有權管理其主要/註冊公司的國家/地區為:
- I have included **below** all countries in which the Entity is Tax Resident (**other than** the country of account opening)  
本人已在下方提供實體為稅務居民的所有國家 (帳戶開立國家除外)

| Country of Tax Residence 稅務居民國家<br>(Do not include country of account opening<br>請勿包括帳戶開立國家) | Tax payer identification number (TIN)<br>納稅人身份識別號碼 (TIN)<br>(or country equivalent 或同等國家) | Reason Code 原因代碼<br>(if TIN not provided<br>如未提供 TIN) | Explanation 請註明原因<br>(only if Reason code is "Z"<br>如原因代碼僅為「Z」) |
|--|---|---|---|
|  |   |   |   |
|  |   |   |   |
|  |   |   |   |

**For United States Country of Tax Residence only**, provide your 'Exemption from FATCA Reporting Code' as per IRS Form W-9 (if applicable)  
僅對美國稅務居民而言, 請提供符合 IRS W-9 表格的「豁免 FATCA 申報代碼」(如適用)

Exemption from FATCA Reporting Code 豁免 FATCA 申報代碼:

**Reason Codes:** (if TIN not provided) 原因代碼: (如未提供 TIN)

A TIN Not Issued (The Country does not issue TINs) 沒有獲發 TIN (該國家不設編發 TIN)

B TIN Not Required (The Country does not require collection of a TIN) 無需 TIN (該國家不要求收取 TIN)

C TIN Applied For (I have applied for a TIN and will inform you upon receipt) 已申請 TIN (本人已申請 TIN 並將於收到後提供)

Z TIN Unobtainable (I am unable to obtain a TIN) 無法獲得 TIN (本人無法獲得 TIN)

**STEP 4** **ENTITY ACCOUNT HOLDER DECLARATION AND SIGNATURE:** I certify that:

**步驟 4** **實體賬戶持有人聲明及簽署:** 本人謹此證明:

- I am authorised to sign for the Account Holder/Controlling Person(s).  
本人已獲得授權代表帳戶持有人/控權人士簽署。
- I have provided true, correct and complete information.  
本人提供之資料為真實、正確及完整。
- I have consulted an independent advisor where necessary and acknowledge that ANZ does not provide any advice.  
本人在有必要時已諮詢獨立顧問並確認 ANZ 沒有提供任何意見。
- I understand that provision of false, inaccurate or incomplete information may constitute an offence(s) and penalties may apply.  
本人明白提供虛假、不準確或不完整的資料可構成罪行, 並可能招致刑罰。
- I have obtained the necessary consent and authorisation to allow disclosure and use of the information provided in this Self-Certification (including Annexure A to this Self Certification).  
本人已獲得必要同意及授權以披露並使用在此自我證明書中提供的資料 (包括此自我證明書的附錄 A)。
- I will notify ANZ of changes to any information within 30 days of the change occurring and, where required, will provide ANZ with a new Self-Certification.  
本人會於任何資料變更新後 30 日內通知 ANZ 該資料變更, 並會按要求的 ANZ 提供新的自我證明書。
- I will provide ANZ with any additional information and/or documentation as requested.  
本人會按要求的 ANZ 提供任何額外資料及/或文件。
- I have provided/will provide the applicable documents (eg. Power of Attorney / Form W).  
本人已提供/將提供適用文件 (例如: 授權書/表格 W)。

**Signature 簽署**

**Print Name 名**

**Date 日期**




(日) (月) (年)




(日) (月) (年)

(Please also provide documentary evidence of the capacity to sign)  
(也請提供文件證明您有權作出此聲明及簽署文件)

# ANNEXURE A: PASSIVE NFE/OTHER RELEVANT ENTITY TYPE - Controlling Persons Certification

## 附錄 A: 被動非金融實體/其他相關實體類型 (控權人士證明書)

If there are **more than two** Controlling Persons, provide additional copies of this page as required. **The total Number of Pages provided for Annexure A is**

如果控權人士超過兩個，紙張不敷應用，請另頁填寫。附錄 A 提供的總頁數為：

**Reason Codes:** (if TIN not provided) 原因代碼: (如未提供 TIN)

**A** TIN Not Issued (The Country does not issue TINs)  
沒有獲發 TIN (該國家不設編發 TIN)

**B** TIN Not Required (The Country does not require collection of a TIN)  
無需 TIN (該國家不要求收取 TIN)

**C** TIN Applied For (I have applied for a TIN and will inform you upon receipt)  
已申請 TIN (本人已申請 TIN 並將於收到後提供)

**Z** TIN Unobtainable (I am unable to obtain a TIN)  
無法獲得 TIN (本人無法獲得 TIN)

### STEP 1 步驟 1 Passive NFE/Other Relevant Entity 被動非金融實體/其他相關實體:

Name of Entity Account Holder  
實體帳戶持有人之名稱

Indicate the total number of Controlling Persons for the Account Holder (detailed in full below) 指出帳戶持有人之控權人士總數 (請在下方填寫詳情):

### STEP 1.1 步驟 1.1 Controlling Person Details 控權人士資料:

a) Full Name of Controlling Person  
控權人士全名

b) Date of Birth  
出生日期    (日/月/年)

c) Full Residence Address  
完整住址

Country  
國家

d) Tax Residency Information  
稅務居民身份資料  
(Please check appropriate box and complete the table  
請選擇適當方格, 並填妥表格)

This Controlling Person is only Tax Resident in the country in which the account is being opened or 此控權人士僅為帳戶開立國家的稅務居民, 或

I have included below all countries in which the Controlling Person is Tax Resident (other than the country of account opening) (除帳戶開立國家外) 本人已在下方提供控權人士為稅務居民的所有國家)

Please note, **US Citizens** are considered to be Tax Residents of the US. 請留意, 美國公民之稅務居民國家為美國。

| Country of Tax Residence 稅務居民國家<br>(Do not include country of account opening<br>請勿包括帳戶開立國家) | Tax payer identification number (TIN)<br>納稅人身份識別號碼 (TIN)<br>(or country equivalent 或同等國家) | Reason Code 原因代碼<br>(if TIN not provided<br>如未提供 TIN) | Explanation 請註明原因<br>(only if Reason code is "Z"<br>如原因代碼僅為 [Z]) |
|--|---|---|--|
|  |   |   |  |
|  |   |   |  |
|  |   |   |  |

### STEP 1.2 步驟 1.2 Controlling Person Details 控權人士資料:

a) Full Name of Controlling Person  
控權人士全名

b) Date of Birth  
出生日期    (日/月/年)

c) Full Residence Address  
完整住址

Country  
國家

d) Tax Residency Information  
稅務居民身份資料  
(Please check appropriate box and complete the table  
請選擇適當方格, 並填妥表格)

This Controlling Person is only Tax Resident in the country in which the account is being opened or 此控權人士僅為帳戶開立國家的稅務居民, 或

I have included below all countries in which the Controlling Person is Tax Resident (other than the country of account opening) (除帳戶開立國家外) 本人已在下方提供控權人士為稅務居民的所有國家)

Please note, **US Citizens** are considered to be Tax Residents of the US. 請留意, 美國公民之稅務居民國家為美國。

| Country of Tax Residence 稅務居民國家<br>(Do not include country of account opening<br>請勿包括帳戶開立國家) | Tax payer identification number (TIN)<br>納稅人身份識別號碼 (TIN)<br>(or country equivalent 或同等國家) | Reason Code 原因代碼<br>(if TIN not provided<br>如未提供 TIN) | Explanation 請註明原因<br>(only if Reason code is "Z"<br>如原因代碼僅為 [Z]) |
|--|---|---|--|
|  |   |   |  |
|  |   |   |  |
|  |   |   |  |

### STEP 2 步驟 2 ENTITY ACCOUNT HOLDER DECLARATION AND SIGNATURE: I certify that: 實體賬戶持有人聲明及簽署: 本人謹此證明:

- I am authorised to sign for the Account Holder/Controlling Person(s). 本人已獲得授權代表帳戶持有人/控權人士簽署。
- I have provided true, correct and complete information. 本人提供之資料為真實、正確及完整。
- I have consulted an independent advisor where necessary and acknowledge that ANZ does not provide any advice. 本人在有必要時已諮詢獨立顧問並確認 ANZ 沒有提供任何意見。
- I understand that provision of false, inaccurate or incomplete information may constitute an offence(s) and penalties may apply. 本人明白提供虛假、不準確或不完整的資料可構成罪行, 並可能招致刑罰。
- I have obtained the necessary consent and authorisation to allow disclosure and use of the information provided in this Self-Certification (including Annexure A to this Self Certification). 本人已獲得必要同意及授權以披露並使用在此自我證明書中提供的資料 (包括此自我證明書的附錄 A)。
- I will notify ANZ of changes to any information within 30 days of the change occurring and, where required, will provide ANZ with a new Self-Certification. 本人會於任何資料變更新後 30 日內通知 ANZ 該資料變更, 並會按要求向 ANZ 提供新的自我證明書。
- I will provide ANZ with any additional information and/or documentation as requested. 本人會按要求向 ANZ 提供任何額外資料及/或文件。
- I have provided/will provide the applicable documents (eg. Power of Attorney / Form W). 本人已提供/將提供適用文件 (例如: 授權書/表格 W)。

**Signature 簽署**

**Print Name 名**

**Date 日期**    (日) (月) (年)

(日) (月) (年)

(Please also provide documentary evidence of the capacity to sign 也請提供文件證明您有權作出此聲明及簽署文件)