### ENTITY SELF-CERTIFICATION (For Automatic Exchange of Information) 實體自我證明 (供自動交換資訊之用)



#### Before you begin 開始前:

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).

稅務機關規定澳盛銀行和其控制實體(以下簡稱「ANZ」),收集實體/控制權之人的自我證明表,確立實體身分並納入稅籍資訊。ANZ可能需要提供該等資訊給相關稅務機關(包括沒有提供有效的自我證明表之情況)。自動交換資訊可能包含海外帳戶稅收遵從法 (FATCA) 和共同申報準則 (CRS)。

- (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. 如果為以下情況,請填妥此自我證明: 您是實體(包括所有其他非個人)帳戶持有人。針對聯合或多個帳戶持有人,每個實體均需填妥獨立的自我證明表。
- (b) **Refer** to the country specific terms/information obtainable from www.anz.com/aeoi. 請參閱各國特定法規條款/資訊·可從以下網址取得 www.anz.com/aeoi。
- (c) Obtain tax/legal/other professional advice (if required) before you complete and sign this Self-Certification. 填妥並簽署本自我證明表前,(如有需要)請自行取得稅務/法律/其他專業建議。

STEP 1	ENTITY ACC
步驟1	實體帳戶持

COUNT HOLDER DETAILS: If this entity is NOT the Account Holder, please ensure this self-certification is completed by the Account Holder

或

步驟 1	實體帳戶持有人詳細資料:	如果實體不是帳戶持有	i 人·請務必由帳戶持有人填妥本自我證明表。			
	me of Entity Account Holder 體帳戶持有人名稱					
	mary Nature of Business 要業務性質			1.3 Country of incorporation, on establishment 註冊、組織項		
	gistered Office Address 冊辦公室地址	Street Address 街道地址			City/Town 市/鎮	
Bus	ternatively, your Principal Place of siness or Other Physical Address. not provide a PO Box Address)	Province/State 省/州	Post Code 郵遞區號		Country 國家	
(或	您的業務主要地點或其他實體地址。 20. 加提供郵政信箱)					
			e the Entity Status as <u>ONE</u> of the following: Non-Financial Entity (NFE), Exempt 分:非金融機構實體 (NFE)、豁免非金融機構實體 (Exempt NFE)或金融機			on(s) for each status claimed.

NON-FINANCIAL ENTITY (NFE)

Active NFE (by income/assets)

Please check one applicable option across (a) OR (b) 請勾選 (a) 或 (b)

的一個滴用選項

非金融機構實體(NFE) (a) Active NFE 積極非金融機構實體

積極非金融機構實體 (依收入/資產辨別): During the preceding calendar year or other appropriate reporting period.

the Entity 前一日曆年或其他適用申報期間,實體: 1. Derived less than 50% of its gross income from passive sources; AND 非積極營業活動產生收入之合計數未達收入總額50%;以及

2. Held less than 50% of assets that produced or were held for production of passive income. 持有用於取得該非積極營業活動收入 之資產,未達其資產總額50%。

Holding Company or Treasury Centre 控股公司或集團財務中心 (that is a member of a non-financial group 係屬非金融集團之成員)

Start-Up Company 新設立公司

Entity in Liquidation or Bankruptcy 清算或破產實體

■ Tax Exempt Non-Profit Organisation 免稅非營利組織

(b) Passive NFE 消極非金融機構實體

Passive NFE 消極非金融機構實體

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. 填妥附錄 A 和本自我證明表的其他部分。如果實體符合 FATCA資格/豁免不須提供本自我證明表,請提供相關W表格。

EXEMPT NFE	If the qualifying conditions are met, please check <b>ONE</b> box below 如果符合條件
豁免非金融機構實體	請勾選以下 <u>一個</u> 方格:
	On -

Publicly Traded NFE 股票公開交易非金融機構實體 或 A Corporation that is not an FI, AND the stock of which is regularly traded on an Established Stock Exchange. 該企業非金融機構且所發行股票於經認可證券市場經常性 交易之公司。

Related Entity of Publicly Traded Corporation 公開交易企業的相關實體

Provide the name of the Related Publicly Traded Corporation 請提供相關股票公開交易企業的名稱:

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 由中央銀行、政府實體或國際組織完全持有之實體

#### FINANCIAL INSTITUTION 金融機構

**CRS status** CRS 身分

Please complete the Entity's CRS FI Status AND FATCA FI or Foreign FI (FFI) status below 請在下方填寫實體之CRS金融機構身分以及FATCA金融機構或海外金融機構(FFI)身分:

Depository/Custodial Institution or Specified Insurance Con存款/保管機構或特定保險公司	npany
Managed Investment Fatit	

Managed Investment Entity 管理投資實體

If <u>not</u> tax resident in a Participating CRS country: complete <u>Annexure A</u> and the rest of this Self-Certification. 如果在參與CRS 國家沒有稅籍,請填妥附錄A和本自我證明表

■ Investment Entity – Other 投資實體 – 其他

<b>5</b>	Reporting Model 1 FFI Model 1 協議國的申報金融機構	Reporting Model 2 FFI Model 2協議國的申報金融機	Participating FFI 有簽署的外國金融機構
D 加 加 新 新	Registered Deemed Compliant I 計冊視同合規的外國金融機構		Trustee Documented Trust 受託人記錄之信託

The Entity GIIN is FATCA status FATCA 身分 ot available 無GIIN: 實體 GIIN為:

United States FI

美國金融機構

美國屬地之金融機構

Territory FI

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

Pension/Retirement Fund	Non-Reporting IGA FFI 協議簽署國中無需申報之金融機構
(meets FATCA exemption requirements)	Non-Participating FFI 未簽署的外國金融機構

requ 退休金/退休基金 Owner Documented FFI (Provide Form W-8) (符合FATCA豁免規定)

	15万/17万/位约人计划广阔亚航风语(明述/74-021년)
٦	Other FI/Certified Deemed Compliant FFI - provide
	FATCA Status 其他金融機構/公認視同合規的外國金融機構

- 請提供 FATCA 狀態身分

## ENTITY SELF-CERTIFICATION (For Automatic Exchange of Information) 實體自我證明 (供自動交換資訊之用)



STEP 3 步驟 3

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

**實體帳戶持有人稅籍:**如果選擇以下第三個方格·請同時在表格填寫資訊。

Please check <b>ONE</b> applicable option below	請勾選以下一個適用選項:
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- the Entity is <u>only</u> Tax Resident in the country in which the account is being opened 實體只在開立帳戶國家擁有稅籍
- the Entity has no residency for tax purposes and its place of effective management or jurisdiction in which its principal/registered office is located is: 實體沒有稅籍·其主要/註冊辦事處所在的有效管理或管轄地點為:
- I have included <u>below</u> all countries in which the Entity is Tax Resident (<u>other than</u> the country of account opening)

本人在下方列出實體擁有稅籍的所有國家(開立帳戶以外的國家)

<b>Country of Tax Residence 所屬稅籍國家</b>	Taxpayer Identification Number	Reason Code 原因代碼	<b>Explanation 説明</b>
(Do <u>not</u> include country of account opening)	or Country Equivalent (TIN)	(if TIN not provided)	( <u>only</u> if Reason code is "Z")
(請 <u>勿</u> 納入開立帳戶國家)	稅籍編號或該國等同功能編號 (TIN)	(如果無法提供TIN)	( <u>僅有</u> 當原因代碼是「Z」)

For United States Country of Tax Residence only, provide your 'Exemption from FATCA Reporting Code' as per IRS Form W-9 (if applicable) 僅適用擁有美國稅籍者:依據 W-9 表格 ( 如果適用 ) ·提供「豁免 FATCA 申報代碼 」

Exemption from FATCA Reporting Code 豁免 FATCA 申報代碼 🌓

馬

Reason Codes: (if TIN not provided) 原因代碼: (如果無法提供 TIN)

A TINs are not Issued by this country 該國未發給TIN

- C The entity has applied for a TIN and will inform you immediately upon receipt 實體已申請TIN ⋅ 且將在收到後立即通知您
- **Z** The entity will not be able to obtain a TIN and has provided an explanation 實體無法取得TIN 且已提供說明

STEP 4

ENTITY ACCOUNT HOLDER DECLARATION AND SIGNATURE: I certify that: 實體帳戶持有人聲明和簽名: 本人確認:

 ${\bf 1.\ I\ am\ authorised\ to\ sign\ for\ the\ Account\ Holder/Controlling\ Person(s)}.$ 

**B** The Country does not require the entity to provide its TIN 該國不須實體提供TIN

- 本人已被授權代表帳戶持有人/控制權之人簽名。

  2. I have provided true, correct and complete information.
- 本人提供真實、正確且完整的資訊。
- 3. I have consulted an independent advisor where necessary and acknowledge that ANZ does not provide any advice.

我已在需要時徵詢獨立顧問·並確認ANZ未提供任何建議。

- 4. 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). 我已取得必要的同意和授權·可揭露和使用本自我證明表中的資訊(包含本自我證明表的附錄A)。
- 5. 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. 我將在資訊變動發生後的30天內·告知ANZ變動一事·且在必要時提供ANZ新的自我證明表。
- 6. I will provide ANZ with any additional information and/or documentation as requested. 我将在ANZ提出要求時,提供任何額外資訊和/或文件。
- 7. I have provided/will provide the applicable documents (eg. Power of Attorney / Form W). 我已提供/將提供適用文件 ( 例如授權書/ W 表格 )。

Signature 簽名	Print Name 正楷姓名	Date 日期
		(日) (月) (年)
		(日) (月) (年)

(If you are not an Authorised Signatory, please also provide documentary evidence of the capacity to sign) (如果您不是授權簽署人,請同時提供簽署資格文件證明)

# ANNEXURE A: PASSIVE NFE/OTHER RELEVANT ENTITY TYPE - Controlling Persons Certification 附錄A: 消極非金融機構實體/其他相關實體類型 – 控制權之人認證

If there are more than two Controlling Persons, provide additional copies of this page as required. The to 如果有 <mark>兩位以上</mark> 的控制權之人·請視需要提供本頁額外副本。 <mark>提供的附錄A總頁數為</mark> :	otal Number of Pages provided for Annexure A is	Reason Codes: (if TIN not provided) 原因代碼: (如果無法提供TIN) A TINs are not Issued by this country 該國未發給TIN
STEP 1 步驟 1 Passive NFE/Other Relevant Entity 消極非金融機構實體/其他相關實體:		<b>B</b> This country does not require the Controlling Person to provide their TIN
Name of Entity Account Holder 實體帳戶持有人名稱		該國不須控制權之人提供TIN C The Controlling Person has applied for a TIN and we will inform you immediately upon receipt 實體已申請TIN,且將在收到後立即通知您
Indicate the total number of Controlling Persons for the Account Holder (detailed in full below)	說明帳戶持有人的控制權之人總數(完整詳細資料如下)	<b>Z</b> The Controlling Person will not be able to obtain a TIN and has provided an explanation 實體無法取得 TIN 且已提供說明
STEP 1.1 步驟 1.1 Controlling Person Details 控制權之人詳細資料:	, ,	Seminary (1) 11 1 and 30 C 9 (100-13
a) Full Name of Controlling Person 控制權之人全名	b) Country of Birth 出生國家	c) City of Birth 出生城市
d) Date of Birth 出生日期 (日/月/年) e) Full Residence Address 完整住家地址		f) Country 國家
<b> </b>	esident in the country in which the account is being opened <u>or</u> 本控制 which the Controlling Person is Tax Resident ( <u>other than</u> the country	
Please note, <b>US Citizens</b> are considered to be Tax Residents of the US. 請注意· <b>美國公民</b> 被視為擁有美國稅籍者。  Country of Tax Residence 所屬 (Do <u>not</u> include country of account (請 <b>勿</b> 納入開立帳戶國家	or Country Equivalent (TIN)	Reason Code 原因代碼 (if TIN not provided) (如果無法提供TIN) (僅有當原因代碼是「Z」)
STEP 1.2 步驟 1.2 Controlling Person Details 控制權之人詳細資料:		
a) Full Name of Controlling Person 控制權之人全名	b) Country of Birth 出生國家	c) City of Birth 出生城市
d) Date of Birth 出生日期 (日/月/年) e) Full Residence Address 完整住家地址		f) Country 國家
g) Tax Residency Information This Controlling Person is only Tax Re	esident in the country in which the account is being opened <u>or</u> 本控制	權之人僅擁有帳戶開立國的稅籍或
税籍資訊 (Please check appropriate box and complete the table) (請勾選適當方格並填妥表格) I have included <u>below</u> all countries in (開立帳戶 <u>以外</u> 的國家)	which the Controlling Person is Tax Resident ( <u>other than</u> the country	of account opening) 本人在 <u>下方</u> 列出控制權之人擁有稅籍的所有國家
Please note, <b>US Citizens</b> are considered to be Tax Residents of the US. 請注意, <b>美國公民</b> 被視為擁有美國稅籍者。  Country of Tax Residence 所屬 (Do <u>not</u> include country of account (請 <u>勿</u> 納入開立帳戶國家	nt opening) or Country Equivalent (TIN)	Reason Code 原因代碼 (if TIN not provided) (如果無法提供TIN) ( <u>僅有</u> 當原因代碼是「Z」)
STEP 2 步驟 2 ENTITY ACCOUNT HOLDER DECLARATION AND SIGNATURE: I certify that: 掌		
	<b>灵腹帐尸分为入宜明和双右,</b> 本人唯称:	
ENTITY ACCOUNT HOLDER DECEMBER AND SIGNATORE RECEINING HIGH.		
1. I am authorised to sign for the Account Holder/Controlling Person(s). 本人被授權代表帳戶持有人/控制權之		er of Attorney / Form W). 我已提供/將提供適用文件 (例如授權書/ W表格)。
1. I am authorised to sign for the Account Holder/Controlling Person(s). 本人被授權代表帳戶持有人/控制權之. 2. I have provided true, correct and complete information. 本人提供真實、正確且完整的資訊。 3. I have consulted an independent advisor where necessary and acknowledge that ANZ does not provide any ad	Signatura 签名 Print Name 正构	
1. I am authorised to sign for the Account Holder/Controlling Person(s). 本人被授權代表帳戶持有人/控制權之 2. I have provided true, correct and complete information. 本人提供真實、正確且完整的資訊。 3. I have consulted an independent advisor where necessary and acknowledge that ANZ does not provide any ad 我已在需要時徵詢獨立顧問,並確認ANZ未提供任何建議。 4. I have obtained the necessary consent and authorisation to allow disclosure and use of the information provide	dvice. Signature 簽名 Print Name 正楷	姓名 Date 日期
1. I am authorised to sign for the Account Holder/Controlling Person(s). 本人被授權代表帳戶持有人/控制權之. 2. I have provided true, correct and complete information. 本人提供真實、正確且完整的資訊。 3. I have consulted an independent advisor where necessary and acknowledge that ANZ does not provide any ad 我已在需要時徵詢獨立顧問,並確認 ANZ 未提供任何建議。	dvice. Signature 簽名 Print Name 正楷	

6. I will provide ANZ with any additional information and/or documentation as requested. 我將在ANZ提出要求時·提供任何額外資訊和/或文件。

(If you are not an Authorised Signatory, please also provide documentary evidence of the capacity to sign)

(如果您不是授權簽署人,請同時提供簽署資格文件證明)