

ENTITY SELF-CERTIFICATION (FOR AUTOMATIC EXCHANGE OF INFORMATION)

实体自我证明表 (用于信息自动交流)



NOTE: Please complete the form using English characters. / 请用英文字母填写表格。

This form is to be used in the event an Entity is opening or currently holds a relevant Financial Account in Australia. 本表适用于即将或已在澳大利亚持有相关金融账户的实体。

Before you begin:

开始前:

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 (AEOI) may include the Foreign Account Tax Compliance Act (FATCA) and the Common Reporting Standard (CRS).

税法规定, ANZ及其受控实体("ANZ")应收取实体/控制人自我证明表, 表中需说明实体状态及税务居民状态。ANZ可能需向相关税务部门提供信息(包括未提供有效自我证明表的情况)。“信息自动交流”(简称AEOI)可能包括《外国账户税务合规法》(简称FATCA)和《共同申报准则》(简称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.

(a) **填写自我证明表:** 填写人应为实体(包括其他所有非个人)账户持有人。若为联合或多个账户持有人, 每一实体均须单独填写一份自我证明表。

(b) **Refer** to the Australian specific terms/information obtainable from www.anz.com/aeoi.

(b) **请对照**澳大利亚具体条款/信息, 可前往www.anz.com/aeoi查阅。

(c) **Obtain** tax/legal/other professional advice (if required) **before** you complete this Self-Certification and sign Step 4.

(c) **请事先征询**税务/法律/其他专业意见(若有需要), 然后填写自我证明表并签署第4步。

Once completed mail to:

填完后, 请邮寄至: ANZ
AEOI Documents
Reply Paid 89576
SOUTH MELBOURNE VIC 3205
澳大利亚

STEP 1. ENTITY ACCOUNT HOLDER DETAILS: IF THIS ENTITY IS NOT THE ACCOUNT HOLDER, PLEASE ENSURE THIS SELF-CERTIFICATION IS COMPLETED BY THE ACCOUNT HOLDER

第1步 实体账户持有人信息: 若实体不是账户持有人, 请确保由账户持有人填写自我证明表

1.1 Name of Entity Account Holder

1.1 实体账户持有人名称

1.2 Primary Nature of Business

1.2 主要业务性质

1.3 Country of incorporation, organisation or establishment

1.3 公司、组织或机构成立所在国

1.4 Registered Office Address

1.4 注册办公住址

Street Address

街道地址

City/Town

市/镇

(Alternatively, your Principal Place of Business or Other

Physical Address. Do not provide a PO Box Address)

(或者主要营业地址或其他实际所在位址。

请勿提供邮政信箱地址)

Province/State

省/州

Post Code

邮政编码

Country

国家

STEP 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

第2步 实体账户持有人类型: 请在三种实体状态中选择一种: 非金融实体(简称NFE)、豁免实体, 或金融机构(简称FI)。填写即声明实体账户持有人符合所选状态的条件

Non-Financial Entity 非金融实体

Please check one applicable option across (a) OR (b) and go to Step 3:
请勾选(a)或(b)中适用的一项, 然后跳至第3步:

OR

或

(a) Active NFE: / (a) 主动NFE:

Active NFE (by **income/assets**):

主动NFE(按**收入/资产**):

During the preceding calendar year or other appropriate reporting period, the Entity:
在上一日历年或其他适当的报告期内, 实体:

1. Derived less than 50% of its gross income from passive sources; AND
1. 从被动收入源获得的收入未达到总收入的50%; 且
2. Held less than 50% of assets that produced or were held for production of passive income.
2. 产生或用于产生被动收入的持有资产低于总资产的50%。

Holding Company or Treasury Centre (that is a member of a non-financial group)

控股公司或财资中心(指的是非金融集团的成员)

Start-Up Company / 初创公司

Entity in Liquidation or Bankruptcy / 清算或破产中的实体

Tax Exempt Non-Profit Organisation / 免税非营利组织

(b) Passive NFE: / (b) 被动NFE

Passive NFE / 被动NFE



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.
请填写附件A及自我证明表余下部分。若实体达到的FATCA状态/豁免状态并未在自我证明表上提供选项, 请提供相关表格W。

Exempt Entity 豁免实体

If the qualifying conditions are met, please check one box below and go to Step 4:
若符合条件, 请在下方勾选一项, 然后跳至第4步:

OR

或

Publicly Traded NFE

上市NFE

A Corporation that is not an FI, AND the stock of which is regularly traded on an Established Stock Exchange Publicly Traded NFE
非FI且股票在成熟证交所日常交易的公司

Related Entity of Publicly Traded NFE. Provide the name of the Related Publicly Traded NFE:
上市NFE的关联实体。请提供关联上市NFE的名称:

Central Bank / 中央银行

Government Entity / 政府实体

International Organisation / 国际组织

Entity wholly owned by a Central Bank, Government Entity or International Organisation

中央银行、政府实体或国际组织全资拥有的实体

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OR 或	Financial Institution 金融机构	Please complete the Entity's CRS FI Status AND FATCA FI or Foreign FI (FFI) status below and go to Step 4: 请在下文填写实体的CRS FI状态和FATCA FI状态或外国FI(简称FFI)状态, 然后跳至第四步:
CRS status CRS状态	Depository/Custodial Institution or Specified Insurance Company 存款/托管机构或特定保险公司 Investment Entity – Other 投资实体——其他	Managed Investment Entity / 管理投资实体 <input checked="" type="checkbox"/> If not tax resident in a Participating CRS country: / 若不是CRS参与国的税务居民: • complete Annexure A and / 请填写附件A, 以及 • the rest of this Self-Certification including Step 3 / 自我证明表余下部分, 包括第3步
FATCA status FATCA状态	GIIN provision: 提供GIIN: Reporting Model 1 FFI / 申报模式1的FFI Registered Deemed Compliant FFI / 注册视为合规的FFI Trustee Documented Trust / 受托人记录的信托 The Entity GIIN is: / 实体GIIN是:	Reporting Model 2 FFI / 申报模式2的FFI Participating FFI / 参与协议的FFI Sponsored FFI / 受赞助的FFI or: / 或: GIIN has been 'applied for' / 已“申请”GIIN
	GIIN not available: 无GIIN: Pension/Retirement/Super Fund (meets FATCA exemption requirements) / 养老金/退休金/公积金(符合FATCA豁免要求) Non-Reporting IGA FFI / 非申报IGA的FFI Territory FI / 美国属地FI Other FI/Certified Deemed Compliant FFI - provide FATCA Status: / 其他FI/认证视为合规的FFI——提供FATCA状态:	Non-Participating FFI / 未参加协议的FFI Owner Documented FFI (Provide Form W-8) / 拥有人记录的FFI(提供表W-8) United States FI / 美国FI

STEP 3. ENTITY ACCOUNT HOLDER TAX RESIDENCE(S): IF THE THIRD CHECK BOX BELOW IS SELECTED, ALSO COMPLETE INFORMATION IN THE TABLE; 第3步 实体账户持有人税务居民状态: 若选择下方第三项, 请在其下表格填写;

Please check **one** applicable option below:
请勾选下方适用的一项:

the Entity is **only** Tax Resident in Australia
实体只在澳大利亚是税务居民

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:
实体不是税务居民, 其主要/注册办公场所的有效管理所在地或辖区是:

I have included below all countries in which the Entity is Tax Resident (**other than Australia**)
请在下方列出实体为税务居民的所有国家(澳大利亚除外)

Country of Tax Residence (Do not include Australia) 税务居民国 (澳大利亚除外)	Tax payer identification number (TIN) (or country equivalent) 纳税人识别号(TIN) (或该国等同代码)	Reason Code (if TIN not provided) (若未提供TIN) 原因代码	Explanation (only if Reason code is "Z") 若原因代码为Z, 请说明

For United States Country of Tax Residence only, provide your 'Exemption from FATCA Reporting Code' as per IRS Form W-9 (if applicable)
仅限美国税务居民: 请根据IRS表W-9提供“FATCA申报豁免代码”(若适用)

Exemption from FATCA Reporting Code:
FATCA申报豁免代码:

Reason Codes: (if TIN not provided) **A** TIN Not Issued (The Country does not issue TINs.) **Z** TIN Unobtainable (I am unable to obtain a TIN)
B TIN Not Required (The Country does not require collection of a TIN) **C** TIN Applied For (I have applied for a TIN and will inform you upon receipt)
原因代码: (若未提供TIN) **A** 不签发TIN (该国不签发TIN) **Z** 无法取得TIN (我无法取得TIN)
B 无需TIN(该国不要求采集TIN) **C** 已申请TIN (我已申请TIN, 并会在收到后通知)

STEP 4. ENTITY ACCOUNT HOLDER DECLARATION AND SIGNATURE: I CERTIFY THAT: 第4步 实体账户持有人声明与签字: 兹证明:

- I am authorised to sign for the Account Holder/Controlling Person(s).
 - I have provided true, correct and complete information.
 - I have consulted an independent advisor where necessary and acknowledge that ANZ does not provide any advice.
 - I understand that provision of false, inaccurate or incomplete information may constitute an offence(s) and penalties may apply.
 - 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).
 - 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.
 - I will provide ANZ with any additional information and/or documentation as requested.
 - I have provided/will provide the applicable documents (eg. Power of Attorney / Form W).
- 我已获授权代表账户持有人/控制人签字。
 - 我已提供真实、准确、完整的信息。
 - 我已在必要时咨询了独立顾问, 并在此申明ANZ未提供任何意见。
 - 我已知悉, 若提供不实、不准确或不完整的信息, 可能构成违法行为, 并可能招致处罚。
 - 我已取得必要的许可和授权, 允许披露和使用本自我证明表(包括自我证明表附件A)所提供的信息。
 - 我会在信息发生变化后30日内通知ANZ, 并会在需要时向ANZ提供新的自我证明表。
 - 我会根据要求向ANZ提供补充信息和(或)文件。
 - 我已提供或将会提供相关文件(如授权委托书/表W)。

Signature
签名

Print name
清楚书写姓名

Date
日期

(Please also provide documentary evidence of the capacity to sign)
(请同时提供签名权限的证明文件)

Office Use Only / 限本行填写