

**Self-Certification Form – Controlling Person**

Please complete the following information for controlling person. Please note that each controlling person is required to complete a separate self-certification form.

Name of Controlling Person: \_\_\_\_\_ Account No. : \_\_\_\_\_

**Important Notes:**

- This is a self-certification form provided by a controlling person to Ayers Alliance Securities (HK) Limited (“AYERS”) for the purpose of automatic exchange of financial account information. The data collected may be transmitted by AYERS to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- A controlling person should report all changes in his/her tax residency status or other information (if necessary) to AYERS as soon as practicable.
- All parts of this form must be completed (except for those not applicable or otherwise specified). If space provided is insufficient, you may provide your information on additional sheet(s). Information in fields/parts marked with an asterisk (\*) are required to be reported by AYERS to the Inland Revenue Department.

**Part 1: Identification of Controlling Person**

<b>Name* (English):</b>		<b>Passport/ID Type and No.:</b>	<b>Type:</b>		
<b>Name* (Chinese):</b>			<b>No.:</b>		
<b>Gender:</b>		<b>Date of Birth*:</b>	<b>(DD)</b>	<b>(MM)</b>	<b>(YY)</b>
<b>Nationality:</b>		<b>Place of Birth:</b>			
<b>Current Residence/Home Address*:</b>	<b>English:</b>  <b>Chinese:</b>  <b>Postal Code:</b>				
<b>Mailing/ Correspondence Address:</b>	<b>English:</b>  <b>Chinese:</b>  <b>Postal Code:</b>				

**Part 2: The Entity Account Holder(s) of which you are a controlling person**

Enter the name and Client No. of the entity account holder of which you are a controlling person.

<b>Entity</b>	<b>Name of the Entity Account Holder</b>	<b>Client No. of the Entity Account Holder</b>
(1)		
(2)		
(3)		

**Part 3: Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”) \***

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the controlling person is a **resident for tax purposes** and (b) the controlling person’s TIN for each jurisdiction indicated. Indicate **all** (not restricted to five) jurisdictions of residence.

If the controlling person is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.

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

- Reason A** - The jurisdiction where the controlling person is a resident for tax purposes does not issue TINs to its residents.
- Reason B** - The controlling person is unable to obtain a TIN. Explain why the controlling person 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.

Jurisdiction of Residence	TIN*	Enter Reason A, B or C if no TIN is available	Explain why the controlling person is unable to obtain a TIN if you have selected Reason B
(1)			
(2)			
(3)			
(4)			
(5)			

**Part 4: Type of Controlling Person**

Tick the appropriate box to indicate the type of controlling person for each entity stated in Part 2.

Type of Entity	Type of Controlling Person	Entity (1)	Entity (2)	Entity (3)
Legal Person	Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who exercises control/is entitled to exercise control through other means (i.e. not less than 25% of voting rights)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who holds the position of senior managing official/exercises ultimate control over the management of the entity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trust	Settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Protector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Beneficiary or member of the class of beneficiary	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Legal Arrangement other than Trust	Individual in a position equivalent/similar to settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to protector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (e.g. individual who exercises control over another entity being equivalent/similar to settlor / trustee / protector / beneficiary)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Part 5: Declarations and Signature**

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by AYERS for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the controlling person and any reportable account(s) may be reported by AYERS 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 controlling person 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 the controlling person of all the account(s) held by the entity account holder(s) to which this form relates.

I undertake to advise AYERS of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide AYERS 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.

\_\_\_\_\_  
Signature of Controlling Person

\_\_\_\_\_  
Date (DD/MM/YYYY)

**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. \$10,000).

Please complete this self-certification form carefully. Please refer to the information on the website of Hong Kong Inland Revenue Department [http://www.ird.gov.hk/eng/tax/dta\\_aeoi.htm](http://www.ird.gov.hk/eng/tax/dta_aeoi.htm) the website of OECD <http://www.oecd.org/tax/automatic-exchange/> and consult your tax, legal and/or other professional advisers if you have any questions on or in relation to automatic exchange of financial account information or this self-certification form.

**For Internal Use Only**

Settlement Department			Compliance	Responsible Officer
Signature Verified by:	Inputted by:	Checked by:	Reviewed by:	Approved by: