

Self-Certification Form – Entity

Client Name: _____ Account No. : _____

Important Notes:

- This is a self-certification form provided by an account holder 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.
- An account holder should report all changes in its tax residency status 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: Entity Type

Tick one of the appropriate boxes and provide the relevant information.

Financial Institution	<input type="checkbox"/> <input type="checkbox"/>	Custodial Institution, Depository Institution or Specified Insurance Company Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity’s assets) and located in a non-participating jurisdiction
Active NFE	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	NFE the stock of which is regularly traded on _____, which is an established securities market Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities Active NFE other than the above (Please specify _____)
Passive NFE	<input type="checkbox"/> <input type="checkbox"/>	Investment entity that is managed by another financial institution and located in a non-participating jurisdiction NFE that is not an active NFE

Part 2: Controlling Persons (Complete this part if the entity account holder is a passive NFE)

Indicate the name of all controlling person(s) of the account holder in the table below. If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official. **Complete Self-Certification Form – Controlling Person for each controlling person.**

(1)	(5)
(2)	(6)
(3)	(7)
(4)	(8)

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 account holder is a **resident for tax purposes** and (b) the account holder’s TIN for each jurisdiction indicated. Indicate **all** (not restricted to five) jurisdictions of residence.

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number.

If the account holder is not a tax resident in any jurisdiction (e.g. fiscally transparent), indicate the jurisdiction in which its place of effective management is situated.

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

Reason A - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

Reason B - The account holder is unable to obtain a TIN. Explain why the account holder 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 account holder is unable to obtain a TIN if you have selected Reason B
(1)			
(2)			
(3)			
(4)			
(5)			

Part 4: Declarations and Signature

I/We 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 account holder 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 account holder 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/We certify that I/we am/are authorized to sign for the account holder of all the account(s) to which this form relates.

I/We undertake to advise AYERS of any change in any information or any circumstances which affects the tax residency status of the entity identified in 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/We declare that the information given and statements made in this form are, to the best of my/our knowledge and belief, true, correct and complete.

 Authorized Signature with Company Chop
(same as specimen signature on Account Opening Form)

 Date (DD/MM/YYYY)

Company Name: _____

Authorized Signatory(ies): _____

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 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:

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