

INDIVIDUAL TAX RESIDENCY SELF CERTIFICATION FORM (HONG KONG)  
個人稅務居民身份自我證明表格 (香港)



Please complete in **BLOCK LETTERS**, tick (✓) the applicable box and delete as appropriate and cross out any of the unused spaces.

請用**英文正楷**填寫，並在適當方格內加上「✓」號及刪除不適用者，並刪去未被應用之空位。

- For joint or multiple account holders, please complete a separate form for each individual account holder.  
若戶口為聯名或多人聯名，請每位戶口持有人分別填寫一份表格。

**Please read these instructions before completing the form.**

**填寫自我證明表格，請先參閱下列指引。**

- This is a self-certification form provided by you to DBS Bank (Hong Kong) Limited ("DBS") for the purposes of (i) automatic exchange of financial account information; and (ii) US federal income tax.  
這是由您向星展銀行(香港)有限公司(「星展」)提供的自我證明表格，以作 (i) 自動交換財務賬戶資料；及 (ii) 美國聯邦所得稅申報用途。
- The data collected may be transmitted by DBS (i) for the purpose of paragraph 1(i) above, to the Inland Revenue Department for transfer to the tax authority of another jurisdiction; and (ii) for the purpose of paragraph 1(ii) above, to the US Internal Revenue Service in the case of US persons.  
星展可把收集所得的資料 (i) 為以上第 1(i)段的目的而交給稅務局，稅務局會將資料轉交到另一司法管轄區的稅務當局；及 (ii) 倘若您是美國人，資料將為以上第 1(ii)段的目的而交給美國稅務局。
- This form will remain valid unless there is a change in circumstances relating to your tax status, (e.g. a change in your residence country (country/ region)) or other mandatory fields included on this form. You must notify DBS within 30 calendar days of the change if there is a change in circumstance that makes any of the information provided in this form incorrect or incomplete and provide an updated self-certification form.  
此證明表格將一直有效，直至與您的稅務狀況（例如更改居住的國家(國家/區域)）或此證明表格內必須填寫的其他欄目資料有關的情況出現變動為止。若出現任何可導致證明表格所提供的資料失實或不完整的情況變動，您必須在資料變更的 30 個曆日內通知星展，並提交最新的證明表格。
- All sections of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, please continue on additional sheet(s). Information in fields / sections marked with an asterisk (\*) are required to be reported by DBS to the Inland Revenue Department.  
除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄/部標有星號 (\*) 的項目為星展須向稅務局申報的資料。  
If you are filing an updated self-certification form to DBS, you must fill in again all information relating to your tax residence(s), as this updated self-certification form will supersede your previous self-certification form.  
若您向星展提交更新的自我證明表格，由於該表格將取代您之前提交的表格，所以您必須再次填寫有關稅務居住地的所有資料。
- As a financial institution, DBS is not allowed to give tax or legal advice regarding your tax residence. If you have any questions about your tax residency status, please speak to your tax adviser or domestic tax authority.  
星展作為一家金融機構，不得提供稅務或法律意見。如對您的稅務居民身份有任何疑問，請與您的稅務顧問或當地稅務機關聯絡。
- WARNING:** For the purpose of paragraph 1(i) above, 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 of the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).  
**警告：**就以上第 1(i)段而言，根據《稅務條例》第 80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級（即 HK\$10,000）罰款。
- If there is any discrepancy between the English and Chinese versions, the English version shall prevail.  
中英文版本如有歧異，概以英文版本為準。

**To:** DBS Bank (Hong Kong) Limited ("the Bank", which includes its successors and assigns)  
11/F, The Center, 99 Queen's Road Central, Hong Kong. CE Number AAL664

**致:** 星展銀行(香港)有限公司 (「銀行」，包括其繼承人及受讓人)  
香港中環皇后大道中 99 號中環中心 11 樓。CE 編號 AAL 664

**Section 1 Particulars of Account Holder**

**第一部分 戶口持有人資料**

Last Name or Surname\* (as in HKID/ Passport)

姓\* (與香港身份證 / 護照所示相同)

First or Given Name\* (as in HKID/ Passport)

名\* (與香港身份證 / 護照所示相同)

HKID/ Passport No.\*

香港身份證 / 護照號碼\*

Country (Country/ Region) of Issue

簽發國家(國家/區域)

Date of Birth\* (dd/mm/yy)

出生日期\* (日/月/年)

Place of Birth (optional)

出生地點 (可選擇填上)

Town 鎮 / City 城市 Province 省 / State 州 Country (Country/ Region) 國家(國家/區域)

Current Residential Address

現時住址

Suite 室 / Floor 樓層 / Building 大廈 / Street 街道 / District 地區

City\*  
城市\*

Province, State  
省, 州

Postal Code / ZIP Code  
郵政編碼

Country (Country/ Region)\*  
國家(國家/區域)\*

# INDIVIDUAL TAX RESIDENCY SELF CERTIFICATION FORM (HONG KONG)

## 個人稅務居民身份自我證明表格(香港)



Mailing Address (Complete if different to the current residential address)

通訊地址 (如通訊地址與現時住址不同, 請填寫此欄)

Suite 室/ Floor 樓層/ Building 大廈/ Street 街道/ District 地區

City  
城市

Province, State  
省, 州

Postal Code / ZIP Code  
郵政編碼

Country (Country/ Region)\*  
國家(國家/區域)\*

### Section 2 US Tax Residency Status Declaration

#### 第二部份 美國稅務居民身份聲明

Please tick [✓] one box only or cross out this Section if not applicable.

請只剔選 [✓] 一項, 如不適用請刪除此部分。

For US federal income tax purpose, I represent and warrant that:

作為美國聯邦所得稅的用途, 本人謹此聲明並保證:

- ☐ I am not a US Person<sup>1</sup>/ Tax Resident<sup>2</sup>/ Green Card Holder  
Please provide one of the following documents:
- copy of non-US passport; or
  - non-US government issued identification.
- Additionally, if you were born in the US, please provide:
- copy of certificate of loss of nationality of the US, or
  - reasonable explanation that you do not have such a certificate:

本人並非美國人<sup>1</sup>/ 稅務居民<sup>2</sup>/ 綠卡持有人  
請提供下列其中一項文件:

- 非美國護照副本; 或
- 非由美國政府簽發的身份證明文件。

若您在美國出生, 請額外提供:

- 失去美國國籍的證明書副本, 或
- 沒有該證明書的合理解釋:

- ☐ I am a US Person<sup>1</sup>/ Tax Resident<sup>2</sup>/ Green Card Holder.  
Please provide your US Taxpayer Identification Number (TIN)<sup>3</sup> / Social Security Number (SSN)

本人是美國人<sup>1</sup>/ 稅務居民<sup>2</sup>/ 綠卡持有人  
請提供您的美國稅務編號<sup>3</sup>/ 社會安全號碼

|  |  |  |  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|--|--|--|
|  |  |  |  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|--|--|--|

(No hyphens, slashes, symbols or space is required.  
(不須填寫“-”、“/”符號或空位。))

- ☐ I confirm that I am **no longer a US Person**<sup>1</sup>  
Please provide the following documents:
- copy of non-US passport, **and**
  - one of the following
    - a. copy of certificate of loss of nationality of the US or
    - b. I-407 Form or
    - c. reasonable explanation that you do not have such a certificate:

本人確認本人**不再是美國人**<sup>1</sup>  
請提供下列文件:

- 非美國護照副本; 及
- 以下其中一項文件
  - a. 失去美國國籍的證明書副本或
  - b. 表格 I-407 或
  - c. 沒有該證明書的合理解釋

### Section 3 Other Tax Residency Status Declaration

#### 第三部份 其他稅務居民身份聲明

Please cross out this Section if not applicable.

如不適用請刪除此部分。

Please complete the following indicating (a) **ALL** (not restricted to 3) jurisdictions of residence (including Hong Kong) where you are a resident for tax purpose and (b) your TIN for each jurisdiction indicated.

請列明 (a) 您作為稅務居民而居留的所有 (不限於3個) 司法管轄區 (包括香港) 及 (b) 每一居留司法管轄區發給您的稅務編號。

If you are a tax resident of Hong Kong, the TIN<sup>3</sup> is the Hong Kong Identity Card Number.

如您是香港稅務居民, 稅務編號<sup>3</sup>是您的香港身份證號碼。

| Jurisdiction of Residence (Excluding US)<br>居留司法管轄區 (美國除外) | TIN <sup>3</sup> or equivalent number<br>稅務編號 <sup>3</sup> 或其他等同號碼 | If no TIN <sup>3</sup> is available, provide Reason* A, B or C<br>如沒有提供稅務編號 <sup>3</sup> , 請填寫理由* A、B或C | Explanation for Reason B<br>如填寫理由B, 請解釋原因 |
|--|--|---|---|
| (1) <input type="checkbox"/> Hong Kong<br>香港               | HKID No.<br>香港身份證號碼  |   |   |
| (2)  |  |   |   |
| (3)  |  |   |   |

\* **Reason A** – The jurisdiction where you are a resident for tax purpose does not issue TINs to its residents.

**Reason B** – You are unable to obtain a TIN. Explain why you are 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 jurisdictions of residence do not require the TIN to be disclosed.

**理由 A** – 您作為稅務居民而居留的司法管轄區並沒有向其居民發出稅務編號。

**理由 B** – 您無法取得稅務編號。如選取這一理由, 請解釋您無法取得稅務編號的原因。

**理由 C** – 您無須提供稅務編號。如居留司法管轄區的主管機關不需要您披露稅務編號, 才可選取這理由。

Please provide a copy of government-issued document to support your tax residence information (e.g. identity card, passport, employment visa /work permit or documents from the tax authority showing recent filing of income tax). More than one supporting document may be required if you are declaring yourself as tax resident of more than one jurisdiction.

請提供政府簽發的文件副本，以核證您的稅務居民身份（如身份證、護照、就業簽證/工作許可證或由稅務機關發出並顯示最近申報入息稅的文件）。如果您聲明自己是多個司法管轄區的稅務居民，則可能需要提供多份核證文件。

#### Section 4 Tax Residence Information Clarification 第四部分 稅務居住地資料說明

Please tick [✓] one box only or cross out this Section if not applicable.  
請只剔選[✓]一項，如不適用請刪除此部分。

If your residential address is not in your jurisdiction of tax residence, please select one of the reasons.

[Example: Residential address is in Australia but tax residency status declared as Hong Kong.]

如您的住址不在您的稅務居留司法管轄區，請選擇其中一個原因。

[例子：住址在澳洲但稅務居民身份申報為香港。]

- ☐ I frequently travel between my jurisdictions of residential address and tax residence.  
本人經常往返我的住址和稅務居留司法管轄區。
- ☐ I am a foreign individual in the jurisdiction where I am residing (e.g. temporarily posted overseas for work) and I do not meet the minimum number of days to be considered as a tax resident.  
本人在所居留的司法管轄區為外國人（例如臨時派駐海外工作），並且未達到被視為稅務居民的最低天數。
- ☐ I am a student at an educational institution in the jurisdiction where I am residing and I hold an appropriate visa.  
本人在所居留的司法管轄區為就讀於某教育機構的學生並持有適當的簽證。
- ☐ The residential address is my address while I am on an appropriate pass/visa.  
住址為本人的地址而本人持有適當的通行證/簽證。
- ☐ I am a foreign individual assigned to a diplomatic post or a position in a consulate or embassy in the jurisdiction where I am residing.  
本人在所居留的司法管轄區為外國人，擔任外交職務或領事館或大使館職位。
- ☐ Others: \_\_\_\_\_  
其他

In the absence of the above confirmation, DBS may have to disclose your account information to the tax authority based on your information held in our records. In addition, you may not be able to open additional accounts or purchase investments with us.  
假如您沒有作出上述確認，星展可能會根據您在本行紀錄中的資料向稅務機關披露您的戶口資料。此外，您可能無法在本行開立其他戶口或購買投資產品。

#### Notes 備註

##### 1 Definition of "US Person":

- A citizen or permanent resident of the United States (e.g. US Green Card holder or someone who meets the requirements to be considered a resident under the 'substantial presence test');
- US corporations, partnerships, estates and trusts
- Any other person that is not a foreign (i.e. non-US) person (as defined under U.S. federal tax law).

「美國人」的定義如下：

- 美國公民或永久居民(如美國綠卡持有人或符合「居住測試」要求而被視為居民的人士);
- 美國公司、合夥企業、遺產及信託;
- 任何其他非外國人士(即非美國人)者(依據美國聯邦稅法定義)。

##### 2 "Tax Resident"

In general, whether or not an individual or entity is a tax resident of a jurisdiction is determined by having regard to the person's physical presence or stay in a place (say, whether over 183 days within a tax year). That a person has paid taxes charged by a jurisdiction (say, value-added tax, withholding tax or capital gains tax) does not automatically render that person a tax resident of that jurisdiction. Special circumstances may cause the person to be resident elsewhere or resident in more than one jurisdiction at the same time (dual residency). Each jurisdiction has its own rules for defining tax residence. These jurisdictions have provided information on how to determine if you are resident in the jurisdiction on the following website: <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/#d.en.347760>. Please consult your lawyers or tax advisors on your tax residence(s) related matters.

「稅務居民」

一般而言，要斷定某個人或實體是否屬一個司法管轄區的稅務居民，會根據有關人士身處之地或逗留於該地的時間(例如是否一個課稅年度超過183天)。任何人士即使某司法管轄區繳稅(例如增值稅、預扣稅或資本增值稅)，並不會使該人士自動成為該司法管轄區的稅務居民。若干特別情況可能會導致該人士成為其他地方的居民，或同時成為超過一個司法管轄區的居民(雙重居住地)。每個司法管轄區均按其本身的規則釐定稅務居民身份的定義。這些司法管轄區在以下網站提供了相關資訊，說明如何釐定您是否該地居民：<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/#d.en.347760>。請向您的律師或稅務顧問查詢關於您的稅務居民身份的事宜。

##### 3 "TIN" (including "functional equivalent") – TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual (or an entity) and is used to identify the individual (or entity) for the purpose of administering tax laws of such jurisdiction. Further details of acceptable TINs can be found at the OECD Automatic Exchange Portal at the following link: <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>

Some jurisdictions do not issue a TIN. However, these jurisdictions often utilize some other high integrity number with an equivalent level of identification (a "functional equivalent"). Examples of that type of number include (a) (for individuals) a social security/insurance number, citizen/personal identification/service code/number, and resident registration number; and (b) (for entities) a Business/company registration code/number.

「稅務編號」(包括具有等同功能的識別編號) – 稅務編號是司法管轄區向個人(或實體)分配獨有的字母與數字組合，用於識別個人(或實體)的身份，以便實施該司法管轄區的稅務法律。有關可接受的稅務編號的更多詳細資訊刊載於經濟合作與發展組織的自動交換資料網站：<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>。某些司法管轄區不發出稅務編號。但是，這些司法管轄區通常使用具有等同識別功能的其他完整號碼(「具有等同功能的識別號碼」)。此類號碼的例子包括：(a) (如屬個人)社會安全號碼/保險號碼、公民/個人身份/服務代碼/號碼，以及居民登記號碼；及(b) (如屬實體)商業登記/公司註冊代碼/號碼。

INDIVIDUAL TAX RESIDENCY SELF CERTIFICATION FORM (HONG KONG)  
個人稅務居民身份自我證明表格(香港)



Section 5 Declaration and Signature  
第五部分 聲明及簽署

1. I acknowledge and agree that (a) the information contained in this form is collected and may be kept by DBS for the purposes of automatic exchange of financial account information and US federal income tax, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by DBS 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), or to the US Internal Revenue Service pursuant to the Foreign Account Tax Compliance Act (FATCA) or to any third party including any Hong Kong or overseas government authority for the purposes of confirming or investigating the content of this form, as appropriate.

本人知悉及同意，星展可根據《稅務條例》(第112章)有關交換財務賬戶資料的法律條文，(a)收集本表格所載資料並可備存作自動交換財務賬戶資料及美國聯邦所得稅申報用途，及(b)把該等資料和關於戶口持有人及任何須申報賬戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到戶口持有人作為稅務居民的司法管轄區的稅務當局，或根據外國賬戶稅務合規法案轉交予美國稅務局，或為確認或調查本表格內容而轉交予任何第三者，包括香港或海外任何政府當局(視情況而定)。

2. I certify that the information above is true, accurate and complete. I undertake to advise DBS of any change in circumstances which affects the tax residency status of the individual identified in Section 1 of this form or causes the information contained herein to become incorrect, and to provide DBS with a suitably updated self-certification form and supporting documents if required within 30 days of such change in circumstances.

本人證明在此表格中提供的資料為真實、準確及完整。本人承諾，如情況有所改變，以致影響本表格第一部分所述的個人的稅務居民身份，或引致本表格所載的資料不正確，本人會通知星展，並會在情況發生改變後30日內，向星展提交一份已適當更新的自我證明表格。

3. I certify that **I am the account holder / I am authorized to sign for the account holder**<sup>#</sup> of all the account(s) to which this form relates, and have obtained the account holder's consent or have the right to consent on his/her behalf to such collection, use, disclosure and processing of his/her personal data by DBS for the purposes of this certification.

本人證明，就與本表格相關的所有戶口而言，**本人是戶口持有人/本人獲戶口持有人授權簽署本表格**<sup>#</sup>，並且已獲得戶口持有人的同意或有權代表他/她同意星展為此認證的目的收集、使用、披露和處理他/她的個人資料。

<sup>#</sup> Delete as appropriate 刪去不適用者

4. **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.**

本人聲明就本人所知所信，本表格內填報的所有資料和聲明均屬真實、正確和完整。

Signature 簽署:

Date (dd/mm/yy)

日期 (日/月/年):

- Please sign as per Bank's records if applicable.  
請依照銀行紀錄簽署(如適用)。
- If you are not the individual identified in Section 1, please indicate your name, identification number and capacity.  
如果您不是第1部分所述的個人，請註明您的姓名、身份證明文件號碼和身份。

|            |                                 |                |
|------------|---------------------------------|----------------|
| Name<br>姓名 | HKID/Passport No.<br>香港身份證/護照號碼 | Capacity<br>身份 |
|------------|---------------------------------|----------------|

- If you are signing under a power of attorney, please provide a certified copy of the power of attorney.  
如果您是以受權人身份簽署這份表格，請提供該授權書的核證副本。

FOR BANK USE ONLY

|              |  |   |   |
|--------------|--|---|---|
| Branch Name: | Attended by:<br>(Signature, Name & Date) | Initial the action(s) taken:<br><div><div>SV</div><div>AHV</div></div><br>(Mark name & date if different from the attending staff.) | Checked by:<br>(Signature, Name & Date) |
|--------------|--|---|---|