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FIRST SHANGHAI GROUP

Account No : _____ ("Account")

Account Name : _____ ("Client")

Self-Certification Form – Controlling Person

Part 1 Identification of Controlling Person

Important Notes:
- This is a self-certification form provided by a controlling person to First Shanghai Securities Limited ("FSSL") for the purpose of automatic exchange of financial account information. The data collected may be transmitted by FSSL 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 to FSSL.
- All parts of this form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (*) are required to be reported by FSSL to the Inland Revenue Department.

Gender	☐ Male ☐ Female	Nationality	
Surname (English)*		Given Name (English)*	
Surname (Chinese)*		Given Name (Chinese)*	
ID / Passport No.		Place of Issue	
Date of Birth *	DD / MM / YYYY / /	Place of Birth	

Current Residence Address	(Suite, Floor, Building, Street, District)	
	(City) *	(Province, State)
	(Country) *	(Postal Code / ZIP Code)
Correspondence Address ***(Complete if different to the current residence address)***	(Suite, Floor, Building, Street, District)	
	(City)	(Province, State)
	(Country)	(Postal Code / ZIP Code)

Part 2 The Client(s) of which you are a controlling person

(Enter the name of the Client(s) of which you are controlling person)

Client	Name of the Client / Account	Account Number
(1)		
(2)		
(3)		

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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 client stated in Part 3)

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

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Part 5 Declarations and Signature

I acknowledge and agree that (i) the information contained in this form is collected and may be kept by FSSL for the purpose of automatic exchange of financial account information, and (ii) such information and information regarding the controlling person and any reportable account(s) may be reported by FSSL to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with 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 / I am authorized to sign for the controlling person # of all the account(s) held by the Client(s) to which this form relates.

I undertake to advise FSSL of any change in circumstances which affects my tax residency status or causes the information contained herein to become incorrect, and to provide FSSL 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 true, correct and complete.

Signature: _____

Name: _____

Capacity: _____

(Indicate the capacity if you are not the Controlling Person. If signing under a power of attorney, attach a certified copy of the power of attorney.)

Date: _____

 # Delete as appropriate

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. HK$10,000).
In the event of any inconsistency between the English and Chinese language text on this Self-Certification Form, the English version will prevail and all information provided by you on this form will be treated as addressing the English text.