第一上海
FIRST SHANGHAI GROUP

Account No ： _____("Account")

Account Name： _____("Client")

Self-Certification Form – Individual Client

Part 1 Identification of the Client of the Account or other accounts (if any)

(For joint or multiple clients, please complete a separate form for each client)

Important Notes:

- This is a self-certification form provided by the Client 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.
- The Client 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）*	（Post Code/ZIP Code）

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

Part 2 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 Client is a **resident for tax purposes,** and (b) the Client's TIN for each jurisdiction indicated. Indicate **all** (not restricted to five) jurisdictions of residence.

If the Client 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 Client is a resident for tax purposes does not issue TINs to its residents.

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

Part 3 Declarations and Signature

I acknowledge and agree that (a) 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 (b) such information and information regarding the Client 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 the tax authorities of another jurisdiction or jurisdictions in which I 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 Client of all the Account and other account(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 calendar 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 _____

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. 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.