



Controlling Person Self Certification (FATCA & CRS)

控權人士自行聲明書 (FATCA & CRS)

Please read these instructions before completing the form. 填寫自行聲明書前，請先參閱下列指引。

Regulations based on Foreign Account Tax Compliance Act ("FATCA") and Organisation for Economic Co-operation and Development ("OECD") Common Reporting Standard ("CRS") require financial institutions to collect and report certain required information based on a controlling person of an entity account holder's tax residence. 根據《海外賬戶稅收合規法案》（「FATCA」）及《經濟合作與發展組織》（「OECD」）《共同申報準則》（「CRS」）的法規，要求金融機構按照公司賬戶持有人的控權人士的納稅居住地收集及匯報若干所需資料。

This is a self-certification form provided by the controlling person of an entity account holder to Mercury Technology LPF ("MTL") for the purpose of automatic exchange of financial account information. The data collected may be transmitted by MTL to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region for transfer to the tax authority of another jurisdiction; and/or to the United States tax authority directly, if applicable. 這是由公司賬戶持有人的控權人士向水星科技有限合夥基金（「水星」）提供的自我聲明表格，以作自動交換財務賬戶資料用途。水星可把收集所得的資料交給香港特別行政區政府稅務局從而把資料轉交到另一稅務管轄區的稅務當局，及/或直接給美國稅務當局（如適用）。

For more information on tax residence, please consult your tax adviser or access the information at the following link for FATCA and CRS at <https://www.irs.gov/> and <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/> respectively. 有關納稅居住地的詳情，請諮詢您的稅務顧問，或分別瀏覽下列有關 FATCA 及 CRS 網頁的資料：<https://www.irs.gov/> 及 <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>。

This form will remain valid unless there is a change in circumstance relating to your tax status. You must notify MTL within 30 days 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. 此自行聲明書將一直有效，直至出現與您的稅務狀況有關的情況變動為止。若出現任何可導致自行聲明書所提供的資料失實或不完整的情況變動，您必須於 30 日內通知我們，並提交最新的自行聲明書。

As a financial institution, we are not allowed to give tax or legal advice. 作為一家金融機構，我們不容許提供稅務或法律意見。

If you have any questions about this form, these instructions, or defining your tax residency status, please contact your tax adviser or domestic tax authority. 如對此自行聲明書、指引或釐定您的納稅居住地狀況有任何疑問，請與您的稅務顧問或當地稅務機關聯絡。

For joint or multiple controlling persons, please complete a separate form for each controlling person. 若聯合或多位控權人士，請每位控權人士分別填寫此表格。

All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, please continue on additional sheet(s) 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。

Please complete in BLOCK LETTERS 請以英文正楷填寫

1. Controlling Person Identification 控權人士識別資料

a.	Name of Controlling Person 控權人士姓名	
	Title 稱謂	
	Family Name or Surname 姓氏	
	First or Given Names 名字	
	Middle Name(s) 中間名	
b.	<input checked="" type="checkbox"/> Hong Kong Identity Card Number 香港永久居民身份證號碼	
	<input checked="" type="checkbox"/> Passport Number 護照號碼	
c.	Current Residence Address 現時居住地址	
	[Room/Flat/Floor/Block/Building/Estate/Street/District] [室/單位/樓層/座/大廈/屋苑/街道/地區]	
	[City/Town] [城市/城鎮]	[State, Province or Country] [州/省/郡]
	[Postal/ZIP Code] [郵遞/郵區編號]	[Country] [國家]

d. Mailing/Correspondence Address 郵寄地址 (if different from the above) (如與上述地址不同)											
	[Room/Flat/Floor/Block/Building/Estate/Street/District] [室/單位/樓層/座/大廈/屋苑/街道/地區]										
	[City/Town] [城市/城鎮]					[State, Province or Country] [州/省/郡]					
	[Postal/ZIP Code] [郵遞/郵區編號]					[Country] [國家]					
e. Date of Birth 出生日期				/							dd/mm/yyyy 日/月/年
f. Place of Birth 出生地	[City/Town] [城市/城鎮]					[Country] [國家]					

2. FATCA Declaration 《海外賬戶稅收合規法案》聲明

US Indicia Questionnaire 美國指標問卷		
Do you possess any of the following U.S. indicia? 您是否擁有以下任何一項美國指標？		
(1)	US citizenship/tax residency (e.g. US passport/Green Card holder, U.S. taxpayer, etc.) 美國公民／繳納美國稅務的居民(如美國護照／綠卡持有者、美國納稅人等)	<input type="checkbox"/> Yes 是 / <input type="checkbox"/> No 否
(2)	US place of birth 美國出生地	<input type="checkbox"/> Yes 是 / <input type="checkbox"/> No 否
(3)	US address (e.g. residential address, mailing address, P.O. box) 美國地址 (如居住地址、郵寄地址、P.O. 郵箱)	<input type="checkbox"/> Yes 是 / <input type="checkbox"/> No 否
(4)	US telephone number (e.g. home, work, mobile, fax numbers) 美國電話號碼 (如住宅、工作、行動、傳真號碼)	<input type="checkbox"/> Yes 是 / <input type="checkbox"/> No 否
(5)	Standing instructions to pay amounts from MTL account to an account maintained in the US 從水星向某美國銀行賬戶發出重覆的款項轉賬指示	<input type="checkbox"/> Yes 是 / <input type="checkbox"/> No 否
(6)	Power of Attorney or signatory authority granted to a person with US address 授權書或簽字權授予一個擁有美國地址之人士	<input type="checkbox"/> Yes 是 / <input type="checkbox"/> No 否

FATCA Identity Declaration 海外賬戶稅收合規法案之身份聲明

		Additional Form Required 須額外提交表格作開戶之用
(1)	Non-US Individual(s) with no US indicia 非美國人士，及沒有美國指標	<input type="checkbox"/> No 否
(2)	Non-US Individual(s) with US indicia 非美國人士，但具有美國指標	<input type="checkbox"/> Yes 是 (W-8 Form 表格)
(3)	US Individual(s) 美國人士	<input type="checkbox"/> Yes 是 (W-9 Form 表格)

3. CRS Declaration of Tax Residency 納稅居住地的 CRS 聲明

Please complete the following table to indicate your jurisdiction of tax residence (including Hong Kong) and the associated taxpayer identification numbers ("TIN"). Please list ALL jurisdiction of tax residence if more than one. For more information on tax residence, please consult your tax adviser or access the information at the following link http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/ . 請填寫以下表格註明您的稅務居民司法管轄區 (包括香港) 及其稅務編號。請列出 所有 稅務居民住司法管轄區 (如多於一個)。有關稅務居民的詳情，請諮詢您的稅務顧問，或瀏覽下列有關 CRS 網頁的資料: http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/				
If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. 如賬戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。				
If a TIN is unavailable please provide the appropriate reason A, B or C: 如沒有提供稅務編號，必須填寫合適的理由：				
Reason A - 理由 A -	The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents. 賬戶持有人的稅務居民司法管轄區並沒有向其居民發出稅務編號。			
Reason B - 理由 B -	The account holder is unable to obtain a TIN. Please Explain why the account holder is unable to obtain a TIN if you have selected this reason. 賬戶持有人不能取得稅務編號。如選取這一理由，請解釋賬戶持有人不能取得稅務編號的原因。			
Reason C - 理由 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. 賬戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要賬戶持有人披露稅務編號。			
	Jurisdiction of tax residence 稅務居民司法管轄區	TIN 稅務編號	If no TIN is available, enter Reason A, B or C 如沒有提供稅務編號，填寫理由A、B或C	If Reason B is selected, please explain why TIN is unable to obtain 如選取理由B，請解釋賬戶持有人不能取得稅務編號的原因
1.				
2.				
3.				
4.				
5.				
Please use a separate sheet if necessary. 如須提供更多資料，請使用額外附頁。				

4. Type of Controlling Person 控權人士類別

Please tick the appropriate box to indicate the type of controlling person of which you are a controlling person, and state the name(s) of the entity account holder(s). 在適當方格內加上√號，指出控權人就每個實體所屬的控權人類別，並填寫實體帳戶持有人的名稱

Type of Entity 實體類別	Type of Controlling Person 控權人士類別	Please tick the appropriate box 在適當方格內加上√號	Name of the Entity Account Holder 實體帳戶持有人的名稱
(a) Legal Person 法人	(i) Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital) 擁有控制股權的個人（即擁有不少於百分之二十五的已發行股本）	<input type="checkbox"/>	
	(ii) Individual who exercises control/is entitled to exercise control through other means (i.e. not less than 25% of voting rights) 以其他途徑行使控制權或有權行使控制權的個人（即擁有不少於百分之二十五的表決權）	<input type="checkbox"/>	
	(iii) Individual who holds the position of senior managing official/ exercises ultimate control over the management of the entity 擔任該實體的高級管理人員/對該實體的管理行使最終控制權的個人	<input type="checkbox"/>	
(b) Trust 信託	(i) Settlor 財產授予人	<input type="checkbox"/>	
	(ii) Trustee 受託人	<input type="checkbox"/>	
	(iii) Protector 保護人	<input type="checkbox"/>	
	(iv) Beneficiary or member of the class of beneficiaries 受益人或某類別受益人的成員	<input type="checkbox"/>	
	(v) Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary) 其他（例如：如財產授予人/受託人/保護人/受益人為另一實體，對該實體行使控制權的個人）	<input type="checkbox"/>	
(c) Legal Arrangement other than Trust 除信託以外的法律安排	(i) Individual in a position equivalent/similar to settlor 處於相等/相類於財產授予人位置的個人	<input type="checkbox"/>	
	(ii) Individual in a position equivalent/similar to trustee 處於相等/相類於受託人位置的個人	<input type="checkbox"/>	
	(iii) Individual in a position equivalent/similar to protector 處於相等/相類於保護人位置的個人	<input type="checkbox"/>	
	(iv) Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries 處於相等/相類於受益人或某類別受益人的成員位置的個人	<input type="checkbox"/>	
	(v) Other (e.g. individual who exercises control over another entity being equivalent/similar to settlor/trustee/ protector/beneficiary) 其他（例如：如處於相等/相類於財產授予人/受託人/保護人/受益人位置的人為另一實體，對該實體行使控制權的個人）	<input type="checkbox"/>	

5. Declaration and Undertakings 聲明及承諾

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by MTL 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 MTL 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). 本人知悉及同意，水星可根據《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用途及（b）把該等資料和關於控權人士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，從而把資料轉交到賬戶持有人的納稅居住司法管轄區的稅務當局。

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by MTL for the purpose of FATCA, and (b) such information may be reported by MTL to the United States tax authority. 本人知悉及同意，水星可（a）收集本表格所載資料並可備存作 FATCA 用途及（b）把該等資料向美國稅務局申報。

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 entity account holder(s) to which this form relates. 本人聲明，就與本表格所有相關的實體帳戶持有人所持有的帳戶，本人是控權人/本人獲控權人授權簽署本表格。

I undertake to advise MTL and provide an updated Self-Certification Form within 30 days of the occurrence of any change in circumstances which causes any of the information contained in this form to be incorrect or incomplete. 本人承諾在任何可導致此自行聲明書所載資料失實或不完整的情況變動發生後 30 日內通知水星，以及提供最新的自行聲明書。

I declare that the information provided in this form is, to the best of my knowledge and belief, true, accurate and complete. 本人聲明盡本人所知及所信，此自行聲明書所提供的資料均為準確及完整。

Signature 簽署	
Print Name 正楷姓名	
Date 日期	dd/mm/yyyy 日/月/年
Capacity 身分	(Indicate the capacity if you are not the individual identified in Section 1. If signing under a power of attorney, attach a certified copy of the power of attorney.) (如你不是第 1 部所述的個人，說明你的身分。如果你是以受權人身分簽署這份表格，須夾附該授權書的核證副本)

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). 警告：根據《稅務條例》第 80(2E)條，如任何人在作出自我聲明時，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（即港幣\$10,000）罰款。

For MTL Use Only 只供水星使用			
Created by	Approved by	Date	Account Code

* In the event of any discrepancy or inconsistency between the English version and the Chinese version of this form, the English version shall prevail. 本表格之中英文版本義如有歧義，概以英文本為準。