

# CLIENT DECLARATION – CRS

## 客戶聲明 - CRS



IN OECD CONTEXT  
經合組織下

Client name:  
客戶名稱:

Client ID:  
客戶號碼:

Regulations based on the OECD Common Reporting Standard (CRS) require Saxo Capital Markets to collect and report certain information about an account holder's tax residency. If the account holder's tax residence is located outside Hong Kong, we might be obliged to pass on the information in this form and other financial information with respect to your financial accounts to Inland Revenue Department and they may exchange this information with tax authorities of another jurisdiction or jurisdictions pursuant to intergovernmental agreements to exchange financial account information.

根據經合組織共同申報準則（CRS）的規定，盛寶金融需要蒐集及報告賬戶持有人的稅收居民身份。如果賬戶持有人的稅務居所位於香港境外，我們可能有義務將此表格中的信息及閣下帳戶內其他有關財務信息傳遞給稅務局，並可能與另一個稅務機關管轄機構或根據政府間協議交換賬戶財務資料。

### PART 1 | CRS (COMMON REPORTING STANDARD) IN OECD CONTEXT 第1部分 | 經合組織的CRS（共同申報準則）

For the purpose of CRS due diligence and reporting requirements imposed on Saxo Capital Markets, please provide the entity's CRS information below. 盛寶金融需進行共同申報準則CRS盡職及報告調查，請閣下提供以下CRS信息。

a) Financial Institution – Investment Entity 金融機構 - 投資實體

- i) An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution  
投資實體位於非參與性管轄區，並由另一家金融機構管理。
- ii) Other Investment Entity 其他投資實體

b) Financial Institution – Depository Institution, Custodial Institution or Specified Insurance Company  
金融機構 - 存款機構，保管機構或特定保險公司。

c) Active NFE 主動非財務實體

A corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation 其公司股票經常性地在具規模證券市場或類似公司為關聯實體

Government Entity or Central Bank 政府機構或中央銀行

An international organisation 國際性組織

Other (e.g. start-up NFE or a non-profit NFE) 其他（如初創非財務實體或非牟利非財務實體）

d) Passive NFE (please complete part below) 被動非財務實體（請填寫以下部分）

Only complete this section if the entity/corporation is tax resident in more/other countries than the country of registered address:  
如其實體/公司稅務居住地多於其註冊地址或於其他國家，只需填寫此部分：

Country of tax residence 稅務國家	Tax Identification Number (TIN) 稅務識別號碼 (TIN)	No TIN available (x) 沒有有效稅務識別號碼

Please attach a separate document if further countries of residency. 如有其他居住國家，請額外提供文件。

If a (i) or d "Passive NFE" is ticked please indicate the name of any Controlling Person(s) of the entity.  
如選擇 (i) 或 d "被動非財務實體"，請註明實體的任何控權人士之姓名。

Name 名稱	Address 地址	Country of tax residence 稅務國家	TIN 稅務識別號碼

Please attach a separate document if further controlling persons. 如果有更多控權人士，請額外提供文件。

This form will remain valid unless there is a change in circumstances relating to information, such as the Account Holder's tax status or other mandatory field information that makes this form incorrect or incomplete. In that case you must notify us and provide an updated self-certification.

除非賬戶持有人的稅務狀況或其他重要的資料有所更改致本表格不正確或不完整，否則本表格將保持有效。在這種情況下，您必須通知我們並提供並更新有關資料。

# CLIENT DECLARATION – CRS

## 客戶聲明 - CRS



IN OECD CONTEXT  
經合組織下

### PPART 2 | CLIENT DECLARATION AND SIGNATURE 第2部分 | 客戶聲明和簽署

I declare under penalties of perjury that the information given in this form to the best of my knowledge is true, correct and complete.

根據有關的規條和法規，本人確認此表格的信息是真實、正確和完整的。

I understand that the information supplied by me is covered by the full provisions of the terms and conditions governing the Account Holder's relationship with Saxo Capital Markets setting out how Saxo Capital Markets may use and share information supplied by me. 我確認我所提供的信息是受賬戶持有人與盛寶金融條款和條件的全部所約束，而此條款和條件規定了盛寶金融如何使用和分享我所提供的信息。

I acknowledge that the information contained in this form and information regarding the Account Holder and any Reportable Account(s) may be reported to the tax authorities of another country/jurisdiction in which this account(s) is/are maintained and exchanged with authorities of another country/jurisdiction or country/jurisdiction in which the Account Holder may be tax resident pursuant to intergovernmental agreements to exchange financial information.

本人確認表格所載的資料及有關賬戶持有人及任何須呈報賬戶的資料，可向其他國家/轄區的稅務機關舉報，並根據政府間協議交換此帳戶的財務信息，而賬戶持有人可能是另一個國家/地區或國家/管轄區的稅務居民。

The information may be disclosed for the purposes of meeting regulatory requirements, conducting risk management, investment services and other services offered by the Saxo Bank Group, marketing and administering my client relationship.

盛寶可能於以下情況披露信息 – (1) 為符合監管要求 (2) 進行風險管理 (3) 盛寶銀行集團所提供的投資或其他服務 (4) 營銷和管理客戶關係。

Further, I agree that I will submit a new form within 30 days if any certification given in this form becomes incorrect.

此外，我同意如果此表的資料有任何更改，我將在30天內提交一份新表格。

#### MANDATORY:

必須填寫：

I/We certify that I/We have authorization to sign on behalf of the corporate entity

本人/我們證明我/我們有授權代表公司實體簽字

Date: 日期:	Signature: 簽名:	Printed Name: 名稱:
Date: 日期:	Signature: 簽名:	Printed Name: 名稱:

Please return all pages of the completed form directly to Saxo Bank by e-mail:

請將已填寫表格的所有頁面通過電子郵件直接發送至盛寶銀行：

Scan the form and e-mail it to [clientrenewal@saxobank.com](mailto:clientrenewal@saxobank.com).

掃描表格並通過電子郵件發送到 [clientrenewal@saxobank.com](mailto:clientrenewal@saxobank.com)。