

Date: \_\_\_\_\_

Tracker Fund of Hong Kong

(A Hong Kong unit trust authorized under section 104(1) of the Securities and Futures Ordinance (Cap 571) of Hong Kong)

(Stock Code: 2800)

**If there are more than one controlling person, please make a copy of this form. 如有多於一位控權人，請複印此表格。**

Please fill in the following 請填寫以下資料:

Name of Entity Account Holder which is Passive NFE 被動非金融機構之實體帳戶持有人名稱

.....

Name of Controlling Person 控權人名稱

.....

Mailing address of Controlling Person 控權人通訊地址

.....

.....

### Automatic Exchange of Financial Account Information (“AEOI”) – Controlling Person Self-Certification Form 自動交換財務帳戶資料 - 控權人自我證明表格

Please read the Letter to Account Holders and the Personal Information Collection Statement before completing this form. This form is used to certify your residency for tax purposes. You should, if necessary, consult your own professional advisors on the details and implications of AEOI.

在填寫此表格前，請先細閱隨附之致帳戶持有人信函及個人資料收集聲明。此表格用於證明你的稅務居民身份。如有需要，請諮詢你的專業顧問有關自動交換財務帳戶資料的細節和影響。

#### Part 1 - Identification of the Controlling Person

##### 第 1 部 - 控權人的身分識別資料

A. Please provide the current residence address (if different from the mailing address above)

如與上述通訊地址不同，請提供現時住址

Room Number/Floor

室、樓層

Building & Street

大廈、街道

District

地區

Country/City

國家/城市

Postal or ZIP Code

郵政編碼/郵遞區號碼

B. Date of Birth 出生日期 (DD/MM/YYYY) (日/月/年)

C. Place of Birth 出生地點

Town or City

鎮/城市

Country

國家

**Part 2 - Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN")**  
**第 2 部 - 居留司法管轄區及稅務編號或具有等同功能的識辨編號（以下簡稱「稅務編號」）**

Please 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 three) the 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.

請提供以下資料，列明（a）控權人的居留司法管轄區，亦即控權人的**稅務管轄區**（香港包括在內）及（b）該居留司法管轄區發給控權人的稅務編號。列出**所有**（不限於 3 個）居留司法管轄區。

如控權人是香港稅務居民，稅務編號是其香港身份證號碼。

如沒有提供稅務編號，必須填寫合適的理由：

**理由 A** - 控權人的居留司法稅務管轄區並沒有向其居民發出稅務編號。

**理由 B** - 控權人不能取得稅務編號。如選取這一理由，解釋控權人不能取得稅務編號的原因。

**理由 C** - 控權人毋須提供稅務編號。居留司法管轄區的主管機關不需要控權人披露稅務編號。

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號，填寫理由 A、B 或 C	Explain why the controlling person is unable to obtain a TIN if you have selected Reason B 如選取理由 B，解釋控權人不能取得稅務編號的原因

If your tax residence jurisdiction is different from that of mailing address/current residence address, please provide reasons and documentary evidence as stated in the Letter to Account Holders:

如你的稅務居留司法管轄區與你的通訊地址/住址的管轄區不同，請註明原因並按致帳戶持有人信函中的要求提供相關文件證據：

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**Part 3 - Type of Controlling Person**  
**第 3 部 - 控權人類別**

Please tick the appropriate box to indicate the type of controlling person.

請在適當的方格內加上✓號，指出所屬的控權人類別。

Type of Entity 實體類別	Type of Controlling Person 控權人類別		
Legal Person 法人	CRS801	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"/>
	CRS802	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"/>
	CRS803	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"/>
Trust 信託	CRS804	Settlor 財產授予人	<input type="checkbox"/>
	CRS805	Trustee 受託人	<input type="checkbox"/>
	CRS806	Protector 保護人	<input type="checkbox"/>
	CRS807	Beneficiary or member of the class of beneficiaries 受益人或某類別受益人的成員	<input type="checkbox"/>
	CRS808	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"/>
Legal Arrangement other than Trust 除信託以外的法律安排	CRS809	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"/>
	CRS810	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"/>
	CRS811	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"/>
	CRS812	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"/>
	CRS813	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"/>

## Part 4 - Declaration and Signature

### 第 4 部 - 聲明及簽署

I acknowledge and agree that (i) the information contained in this form is collected and may be kept by the financial institution 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 the financial institution 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<sup>#</sup> of all the account(s) held by the entity account holder(s) to which this form relates.

I undertake to advise Tracker Fund of Hong Kong of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide Tracker Fund of Hong Kong 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, to the best of my knowledge and belief, true, correct and complete.**

本人知悉及同意，金融機構可根據《稅務條例》（第112章）有關交換財務帳戶資料的法律條文，（a）收集本表格所載資料並可備存作自動交換財務帳戶資料用途及（b）把該等資料和關於控權人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到控權人的居留司法管轄區的稅務當局。

本人證明，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<sup>#</sup>。

本人承諾，如情況有所改變，以致影響本表格第 1 部所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知盈富基金，並會在情況發生改變後 30 日內，向盈富基金提交一份已適當更新的自我證明表格。

本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

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

Signature  
簽署

Print Name  
姓名

Capacity (Indicate the capacity if you are not the individual identified in Part 1. If signing under a power of attorney, attach a certified copy of the power of attorney.)

身分（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。）

Date (DD/MM/YYYY)

日期(日/月/年)

Phone Number

電話號碼

Email Address

電郵地址

**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（即港幣\$10,000）罰款。

Please return the form to Computershare Hong Kong Investor Services Limited at 17M Floor, Hopewell Centre, 183 Queen's Road East, Wan Chai, Hong Kong.

請將表格交回香港中央證券登記有限公司，地址為香港灣仔皇后大道東 183 號合和中心 17 M 樓。