中国银河国际控股有限公司
CGS International Holdings Limited

香港上環干諾道中111號永安中心20樓
電話: 3698-6888 傳真: 3698-6999 網址: www.chinastock.com.hk
20th Floor, Wing On Centre,111 Connaught Road Central, Sheung Wan, Hong Kong
Tel : 3698-6888 Fax : 3698-6999 website : www.chinastock.com.hk

Self-Certification Form – Entity
(Applicable to Automatic Exchange of Financial Account Information ("AEOI") and Foreign Account Tax Compliance Act("FATCA"))

To: China Galaxy International Securities (Hong Kong) Co., Limited ("Galaxy International Securities")
China Galaxy International Futures (Hong Kong) Co., Limited ("Galaxy International Futures")

A. Certification of Account Status:

Automatic Exchange of Financial Account Information

Important Notes:

- This is a self-certification form provided by an account holder to Galaxy International Securities and/or Galaxy International Futures for the purpose of automatic exchange of financial account information. The data collected may be transmitted by Galaxy International Securities and/or Galaxy International Futures to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- An account holder should report all changes in its tax residency status to Galaxy International Securities and/or Galaxy International Futures as soon as practicable.
- All parts of this form must be completed (except for those not applicable or otherwise specified). If there is not enough space, you may provide your information on additional sheet(s). Information in fields/parts marked with an asterisk (*) are required to be reported by Galaxy International Securities and/or Galaxy International Futures to the Inland Revenue Department.

Part 1 Identification of Account Holder *

A) Name of the Entity (Legal Entity or Branch)	B) Country/Jurisdiction of Incorporation or Organization
C) Current Business/Operating Address	**D) Mailing Address (complete only if different from Section C)**
Address Line 1:	Address Line 1:
Address Line 2:	Address Line 2:
City/Town:	City/Town:
Province/State/Country:	Province/State/Country:
Country/Jurisdiction:	Country/Jurisdiction:

Part 2 Entity Type *

Tick one of the appropriate boxes and provide the relevant information

Financial Institution	☐ Custodial Institution, Depository Institution or Specified Insurance Company ☐ Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity's assets) and located in a non-participating jurisdiction
Active NFE	☐ NFE the stock of which is regularly traded on _____ which is an established securities market ☐ Related entity of _____ the stock of which is regularly traded on _____, which is an established securities market ☐ NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities ☐ Active NFE other than the above (Please specify_____)
Passive NFE	☐ Investment entity that is managed by another financial institution and located in a non-participating jurisdiction. ☐ NFE that is not an active NFE

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Part 3 Controlling Persons (Complete this part if the entity account holder is a passive NFE)

Indicate the name of all controlling person(s) of the account holder in the table below. If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official. Complete Self-Certification Form – Controlling Person for each controlling person.

1.	2.
3.	4.

Part 4 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 account holder is a **resident for tax purposes** and (b) the account holder's TIN for each jurisdiction indicated. Indicate **all** (not restricted to five) jurisdictions of residence.

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number.

If the account holder is not a tax resident in any jurisdiction (e.g. fiscally transparent), indicate the jurisdiction in which its place of effective management is situated.

If a TIN is unavailable provide the appropriate reason A, B or C

Reason A – The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

Reason B – The account holder is unable to obtain a TIN. Explain why the account holder 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 Tax Residence	**TIN**	**Enter Reason A, B or C if no TIN is available**	**Explain why the account holder is unable to obtain a TIN if you have selected Reason B**
1.			
2.			
3.			
4.			
5.			

Part 5 Foreign Account Tax Compliance Act *

Disclaimer:

- The account holder is advised to refer to the US IRS website (http://www.irs.gov/) for details in respect of FATCA.
- The account holder shall be fully responsible for the confirmation of his/her/its FATCA status and other information submitted hereunder.
- The account holder shall ensure the information given and statements made in this form are true, correct and complete, Galaxy International Securities and/or Galaxy International Futures shall not be liable for any errors or loss that results from such information and statements.
- Galaxy International Securities and/or Galaxy International Futures is unable to offer any tax or legal advice to the account holder, for any related question, the account holder is advised to consult his/her/its tax and legal advisors.

Which of the following statements best describes you? Please select only 1 of the followings from category A or B.

U.S. Entities	
If you are incorporated, established, constituted or organized in the U.S., please complete and submit U.S. IRS Form W9.	U.S. Entities

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A.	**Financial Institution** **You are financial institution, and**	
☐	You are ☐ Participating FFI ☐ Registered deemed-compliant FFI ☐ Reporting Model 1 FFI ☐ Reporting Model 2 FFI Global Intermediary Identification Number(GIIN):_____	Participating FFI/ Reporting Model 1 FFI/ Reporting Model 2 FFI
☐	You are a Non-Participating FFI	Non-Participating FFI
☐	You are none of the above and please complete and submit the appropriate U.S. IRS Form W-8.	

B.	**Non-Financial Institution** **You are NOT a financial institution and**	
☐	Active Business ● You derive at least 50% of your gross income (for the previous calendar year) from these business activities and not from passive income such as investments, dividends, interests, rents or royalties, and ● At least 50% of the weighted average percentage of assets held by you (tested quarterly, using fair market value or book value of assets as reflected in your balance sheet) produce or are held to produce income for these business activities	Active Non-Financial Foreign Entity
☐	Passive Investment ● You derive more than 50% of your gross income (for the previous calendar year) from income such as investments, dividends, interests, rents or royalties, and ☐ You do not have substantial U.S. Owners who own at least 25% of your entity ☐ You have substantial U.S. Owners who own at least 25% of your entity, please fill up the following table	Passive Non-Financial Foreign Entity Passive Non-Financial Foreign Entity with US Controlling Persons
☐	You are none of the above and please complete and submit the appropriate U.S. IRS Form W-8.	

Name of substantial U.S. Owner	Address	TIN

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B. Declarations and Signatures:

I/ We acknowledge and agree that (a) the information contained in this form is collected and may be kept by Galaxy International Securities and/or Galaxy International Futures for the purpose of automatic exchange of financial account information; and (b) such information and information regarding the account holder and any reportable account(s) may be reported by Galaxy International Securities and/or Galaxy International Futures 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). I/We undertake to advise Galaxy International Securities and/or Galaxy International Futures of any change in any information or any circumstances which affects the tax residency status of the entity identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide Galaxy International Securities and/or Galaxy International Futures with a suitably updated self-certification form within 30 days of such change in circumstances or information.

I acknowledge and agree that Galaxy International Securities and/or Galaxy International Futures needs to report certain information (including but not limited to the information of U.S. shareholder of the account holder) to the IRS in order to comply with FATCA.

I/We certify that I am/We are authorized to sign for the account holder of all the account(s) to which this form relates.

I/We declare that the information given and statements made in this form are, to the best of my/our knowledge and belief, true, correct and complete.

Authorized Signature* _____

Print Name* _____

Capacity*
(e.g. director or authorized officer of a company, partner of a partnership, trustee of a _____

Date* _____

WARNING:

For the purpose of AEOI, 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).

Please complete this self-certification form carefully. Please refer to the information on the website of Hong Kong Inland Revenue Department http://www.ird.gov.hk/eng/tax/dta_aeoi.htm or the website of OECD http://www.oecd.org/tax/automatic-exchange/ or US IRS website http://www.irs.gov/ and consult your tax, legal and/or other professional advisers if you have any questions on or in relation to AEOI, FATCA, any of the U.S. IRS form (including which U.S. IRS form to complete and submit) or this self-certification form.

For Official Use Only			A/C No.:
S.V.	Inputted by	Checked by	
			❑ No Futures ❑ No Stock Options ❑ No Sub-Account

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Appendix 1

Explanation Note for Foreign Address And Tax Residence

Applicable if the customer maintains a foreign address
in a country which is not one of the customer's tax residencies **OR**
the jurisdiction related to Part 4 is not a tax residence holder's tax residencies)

Name of Entity _____ Account Number (if applicable) _____

We confirm that we are not a Tax Resident of _____ due to the following reason(s):
(Indicate jurisdiction/country)

.....

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.....

.....

_____
Authorized Signature

_____
Date

_____
Print Name

_____
Capacity
(e.g. director or authorized officer of a company, partner of a partnership, trustee of a trust etc.)