



Self-Certification Form – Controlling Person

Important Notes :

- This is a self-certification form provided by an account holder to Goldin Equities Limited, its affiliates, its direct and indirect holding companies and subsidiaries of the holding companies (“Goldin”) for the purpose of automatic exchange of financial account information. The data collected may be transmitted by Goldlink to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- An account holder should report all changes in his/her tax residency status to Goldin.
- All parts of the 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 Goldin to the Inland Revenue Department.

Part 1 Identification of Controlling Person

| | |
|---|--|
| Name of Controlling Person | Title <input type="checkbox"/> Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/> Miss |
| | Last Name or Surname * First or Given Name* Middle Name(s) |
| Hong Kong Identity Card or Passport Number | _____ |
| Current Residence Address | e.g. : Suite, Floor, Building, Street, District |
| | City* |
| | e.g. : Province, State |
| | Country* |
| | Post Code / ZIP Code |
| Mailing Address (Complete if different to the current residence address) | e.g. : Suite, Floor, Building, Street, District |
| | City* |
| | e.g. : Province, State |
| | Country* |
| | Post Code / ZIP Code |
| Date of Birth* (dd/mm/yy) | _____ |

Part 2 The Entity Account Holder(s) of which you are a controlling person

Enter the name of the entity account holder of which you are a controlling person:

| Entity | Name of the Entity Account Holder |
|--------|-----------------------------------|
| (1) | _____ |
| (2) | _____ |
| (3) | _____ |

Part 3 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 controlling person is a **resident for tax purposes** and
- (b) the controlling person’s TIN for each jurisdiction indicated. Indicate **all** (not restricted to five) 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.

| Jurisdiction of 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 4 Type of Controlling Person

Tick the appropriate box to indicate the type of controlling person for each entity stated in Part 2.

| Type of Entity | Type of Controlling Person | Entity(1) | Entity(2) | Entity(3) |
|------------------------------------|---|--------------------------|--------------------------|--------------------------|
| Legal Person | Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Individual who exercises control/is entitled to exercise control through other means (i.e. not less than 25% of voting rights) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Individual who holds the position of senior management official/exercises ultimate control over the management of the entity | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Trust | Settlor | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Trustee | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Protector | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Beneficiary or member of the class of beneficiaries | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Legal Arrangement Other than Trust | Other (e.g. individual who exercises control over another entity being the settlor/ trustee/ protector/ beneficiary) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Individual in a position equivalent/similar to settlor | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Individual in a position equivalent/similar to trustee | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Individual in a position equivalent/similar to protector | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | Other (e.g. individual who exercises control over another entity being equivalent/ similar to settlor/trustee/protector/ beneficiary) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Part 5 Declarations and Signature

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by Goldin 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 Goldin 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 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.

I undertake to advise Goldin 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 Goldin 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.

Signature _____

Name _____

Capacity _____ (Indicate the capacity if you are not the individual identified in Part 1. If signing under a power

Date (dd/mm/yy) _____ of attorney, attach a certified copy of the power of attorney.)

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. \$10,000).
 If you have any questions about this form, please visit the website of the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region http://www.ird.gov.hk/chi/faq/dta_aeoi.htm and the Organisation for Economic Co-operation and Development <http://www.oecd.org/tax/automatic-exchange/about-automatic-exchange/> and speak to your tax, legal advisor and/or other professional advisors.