

# Automatic Exchange of Information

## 自動交換資料

### Self-certification for controlling person

### 控權人自行核證

Private and confidential 私人及保密文件

Automatic Exchange of Information (AEOI) is a standard through which tax authorities in different countries can routinely exchange information about financial accounts held by taxpayers. The standards include, but are not limited to, Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS). Financial institutions must identify and report any account holders who are taxpayers in other countries in accordance with the AEOI agreements.

自動資料交換是一項以便不同國家的稅務機構定期交換納稅人財務賬戶資料的準則。這項準則包括但不限於《外國帳戶稅務合規法案》及《共同申報準則》。根據自動資料交換協議，金融機構必須識別及申報海外稅務居民的財務賬戶資料。

This form should be filled in **BLOCK LETTERS** and return it by post or email to our Zurich office.

請以正楷填寫表格，並郵寄或電郵至蘇黎世辦事處。

Please fill the circle in full when you select the answer.

當閣下選擇答案時，請填滿整個圓圈。

#### Section A 部：Identification of controlling person 控權人的身分識辨資料

(For joint or multiple policyholder, complete a separate form for each individual policyholder.)

(對於聯名保單或多人聯名保單，每名個人保單持有人須分別填寫一份表格。)

1. Policy no. (if known)  
保單號碼(如知悉)

Title 稱銜

2.  Mr. 先生  Mrs. 太太  Miss 小姐  Ms. 女士  Dr. 博士  Others (Please specify)  
其他(請說明) \_\_\_\_\_

3. Family name 姓

4. Given name 名

5. HKID card/Passport no.  
香港身份證或護照號碼

6. Date of birth 出生日期  
Day日 Month月 Year年

7. Place of birth  
出生地點

8. Nationality 國籍  Chinese (Hong Kong) 中國(香港)  Chinese (Chinese Mainland) 中國(中國內地)  Others 其他 \_\_\_\_\_

9. Do you hold nationality in another country? 您是否持有多个國家的國籍?  Yes 是  No 否 If "Yes", please specify the country 如「有」，請註明國家名稱 \_\_\_\_\_

(Please submit certified copy of identity document for all nationality and tax jurisdiction of residence. 請遞交所有國籍及稅務居留司法管轄區的已核實身分證明文件副本。)



2ZK-PAD-AEI-00006-ET-0126

## Identification of controlling person (continued) 控權人的身分識辨資料(續)

### 10. Current residential address

現時住址

Flat/Room

室/單位

Floor

樓

Block

座

Name of building/estate

大廈/屋邨名稱

Name of street/road

街道名稱

District/City/Province

地區/城市/省

HK/KLN/NT

香港/九龍/新界

Country

國家

ZIP/Postal code

郵遞區號

### 11. Correspondence address (If different from residential address)

通訊地址(如與住址不同)

### 12. Please provide a reason why you are using a correspondence address that is different from your residential address. Depending on the answers given, we may ask for further information.

請說明為何閣下的通訊地址有別於閣下的住址。視乎所提供的說明，我們或會詢問更多資料。

### 13. Residential telephone no.

住宅電話號碼

Country

國家

( )

(Country code) Telephone no.

(國家編號)電話號碼

Is this a US based telephone no.?

這是美國電話號碼嗎?

Yes

是

No

否

### 14. Mobile telephone no.

流動電話號碼

Country

國家

( )

(Country code) Telephone no.

(國家編號)電話號碼

Is this a US based telephone no.?

這是美國電話號碼嗎?

Yes

是

No

否

### 15. Email address

電郵地址

## Section B 部 : The entity policyholder(s) of which you are a controlling person

閣下作為控權人的實體保單持有人

Enter the name of the entity policyholder of which you are a controlling person.

填寫你作為控權人的實體保單持有人的名稱。

Entity 實體	Name of the entity policyholder 實體保單持有人的名稱
1	
2	
3	

## Section C 部：Tax information of controlling person 控權人的稅務資料

1. Do you currently file tax return in the USA?  Yes  No  
 If yes, please complete and submit US tax form. 是 否  
 閣下現時有否於美國報稅？若是，請填妥及遞交美國稅表。

2. Please provide all the tax jurisdiction of residence and TIN. If the TIN is unavailable, should provide the appropriate reason A, B or C.  
 請提供所有稅務居留司法管轄區及稅務編號。若未能提供稅務編號，必須填寫合適的理由。

If you are a Hong Kong tax resident, please fill in "Hong Kong" as Tax jurisdiction of residence and your HKID card no. as TIN.

如閣下是香港稅務居民，請填上稅務居留司法管轄區為香港及稅務編號為閣下的香港身份證號碼。

Tax jurisdiction of residence 稅務居留司法管轄區	TIN 稅務編號	Reason if TIN is unavailable* 理由(若未能提供稅務編號)*	Please explain why the reason B is selected 若選擇理由B，請解釋原因
i.		<input type="radio"/> A <input type="radio"/> B <input type="radio"/> C	
ii.		<input type="radio"/> A <input type="radio"/> B <input type="radio"/> C	
iii.		<input type="radio"/> A <input type="radio"/> B <input type="radio"/> C	
iv.		<input type="radio"/> A <input type="radio"/> B <input type="radio"/> C	
v.		<input type="radio"/> A <input type="radio"/> B <input type="radio"/> C	

\* Reason理由A: The jurisdiction where the controlling person is a resident for tax purposes does not issue TINs to its residents.  
 控權人的稅務居留司法管轄區並沒有向其居民發出稅務編號。

Reason理由B: The controlling person is unable to obtain a TIN. Please explain why the controlling person is unable to obtain a TIN if you have selected this reason.  
 控權人未能取得稅務編號。若選取此理由，請解釋控權人未能取得稅務編號之原因。

Reason理由C: TIN is not required. Select this reason only if the authorities of the tax jurisdiction of residence do not require the TIN to be disclosed.  
 控權人毋須提供稅務編號。稅務居留司法管轄區的主管機關不需要控權人披露稅務編號。

## Section D 部：Type of controlling person 控權人類別

Please fill the circle in full to indicate the type of controlling person for each entity stated in section B.

就B部所載的每個實體，在適當的圓圈內填滿，指出控權人就每個實體所屬的控權人類別。

Type of entity 實體類別	Type of controlling person 控權人類別	Entity (1) 實體 (1)	Entity (2) 實體 (2)	Entity (3) 實體 (3)
Legal person 法人	Individual who has a controlling ownership interest 擁有控制股權的個人	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
	Individual who exercises control/is entitled to exercise control through other means 以其他途徑行使控制權或有權行使控制權的個人	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
	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="radio"/>	<input type="radio"/>	<input type="radio"/>
Trust 信託	Settlor 財產授予人	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
	Trustee 受託人	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
	Protector 保護人	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
	Beneficiary or member of the class of beneficiaries 受益人或某類別受益人的成員	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
	Others (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="radio"/>	<input type="radio"/>	<input type="radio"/>
Legal arrangement other than trust 除信託以外的法律安排	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="radio"/>	<input type="radio"/>	<input type="radio"/>
	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="radio"/>	<input type="radio"/>	<input type="radio"/>
	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="radio"/>	<input type="radio"/>	<input type="radio"/>
	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="radio"/>	<input type="radio"/>	<input type="radio"/>
	Others (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="radio"/>	<input type="radio"/>	<input type="radio"/>

## Section E 部：Notice to customers relating to the Personal Data (Privacy) Ordinance 有關個人資料(私隱)條例的客戶通知

This Notice sets out the privacy policy of each of **Zurich Assurance Ltd/Zurich Life Insurance (Hong Kong) Limited** (each a "Company") in respect of their respective customers. The rights and obligations of each Company under this Notice are several and not joint, whereby no Company shall be liable for any act or omission of another Company.

本通知列載蘇黎世人壽/蘇黎世保險(香港)有限公司(以下個別稱「本公司」)有關各自對其客戶的私隱政策。各公司就本通知所列之權利和責任為獨立而非連帶的，因此各公司無須為其他公司之行為或不作為負責。

The personal information of customers (including policyholders, insured persons, beneficiaries, premium payors, trustees, policy assignees and claimants) collected or held by the Company from time to time, which also includes data collected or generated in the ordinary course of the Company's business and the continuation of relationship with the customer (such as claim information and medical history received from third parties), may be used by the Company and/or a company within its group ("Zurich Insurance Group") for the purposes necessary in providing services to the customers (otherwise the Company is unable to provide services to customers who fail to provide the required information).

由本公司不時收集或持有的客戶(包括保單持有人、受保人、受益人、保費付款人、信託人、保單受讓人及索償人)個人資料，其中亦包括在公司日常業務過程中以及就持續與客戶的關係而收集或產生的資料(例如從第三方收到的索償資料和病歷)，均可供本公司及/或其所屬集團(「蘇黎世保險集團」)內的公司使用作為向客戶提供服務而必須的用途(否則本公司將無法為未能提供所需資料的客戶提供服務)。

**Please read carefully the details of the Company's privacy policy which is made available on our website at [www.zurich.com.hk/pics](http://www.zurich.com.hk/pics) or by scanning the QR code. You may also contact our Customer Care Hotline at +852 2968 2383 or insurance intermediaries for enquiries.**

本公司之私隱政策詳載於 [www.zurich.com.hk/pics](http://www.zurich.com.hk/pics) 或可透過掃描QR碼細閱。閣下亦可致電+852 2968 2383與我們的客戶服務部聯絡或向保險中介人查詢。



## Section F 部：Declarations and signature 聲明及簽署

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the Company for the purposes as set out in section E of this form and to comply with the automatic exchange of financial account information standard and (b) such information and information regarding the controlling person and any reportable policy(ies) may be reported by the Company 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).

本人知悉及同意(a) 貴公司收集本表格所載資料並可備存作本表格E部所述之用途及(b) 貴公司可根據《稅務條例》(第112章)有關交換財務賬戶資料的法律條文，把該等資料和關於控權人及任何須申報保單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。

I certify that I am the controlling person (or am authorized to sign for the controlling person) of all the policy(ies) held by the entity policyholder(s) to which this form relates.

本人證明，就與本表格所有相關的實體保單持有人所持有的保單，本人是控權人(或獲控權人授權簽署本表格)。

I undertake to advise the Company of any change in circumstances which affects the tax residency status of the individual identified in section A of this form or causes the information contained herein to become incorrect, and to provide the Company with a suitably updated self-certification form within 30 days of such change in circumstances.

本人承諾，如情況有所改變，以致影響本表格A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，本人會通知貴公司，並會在情況發生改變後30日內，向貴公司提交一份已適當更新的自我證明表格。

**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。

Signature 簽署
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	Day日	Month月	Year年
Date signed 簽署日期	<input type="text"/>	<input type="text"/>	<input type="text"/>

Name 姓名	Capacity 身分
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(Indicate the capacity if you are not the individual identified in Section A. If signing under a power of attorney, attach a certified copy of the power of attorney.)

(如閣下不是A部所述的個人，請說明閣下的身分。如果閣下是以授權人身分簽署這份表格，須夾附該授權書的核證副本。)

**PLEASE DO NOT SIGN ON BLANK FORM. 請勿於空白表格簽署。**

In the event of any discrepancies or inconsistencies between the English and Chinese versions of this form, the English version shall prevail. 如此表格之中英文版本有任何歧異或不一致，概以英文版為準。

We may request you to provide additional documents apart from information listed above where necessary. If you have any question on how to complete this form, please call our Customer Care Hotline at +852 2968 2383.

如有需要，除上列資料外，我們可能會要求閣下提供額外之證明文件。倘若閣下在填寫此表格時有任何疑問，請致電本公司客戶服務熱線+852 2968 2383。

## Declarations and signature (continued) 聲明及簽署(續)

**WARNING and ATTENTION: 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. HKD 10,000).**

警告及注意：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級罰款(即10,000港元)。

If there is any uncertainty about tax residency status, please consult your own tax advisor.

如 貴公司對稅務居住地有任何疑問，請徵詢 貴公司的稅務顧問。

You can find out more on the meaning of the terms and expressions used in this form at the following link: <http://www.ird.gov.hk/eng/pdf/2016/terms.pdf>.

本表格之名詞及措辭釋義可參考以下連結：<http://www.ird.gov.hk/eng/pdf/2016/terms.pdf>。

If you have any questions about this form or defining your tax residency status, please speak to your tax advisor or domestic tax authority.

如對本表格或如何界定 貴公司的稅務居民身分有任何問題，請向 貴公司的稅務顧問或本地稅務機關查詢。