

Automatic Exchange of Information

自動交換資料

Self-certification for entity

實體自行核證

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**填妥表格，並郵寄或電郵至蘇黎世辦事處。

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

當貴公司選擇答案時，請填滿整個圓圈。

Section A 部：Identification of entity policyholder 實體保單持有人的身分識辨資料

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

(對於聯名保單或多人聯名保單，每名實體保單持有人須分別填寫一份表格。)

Policy no. (if known)

保單號碼(如知悉)

Legal name of entity or branch

實體或分支機構的法定名稱

Jurisdiction of incorporation or organization

實體成立為法團或設立所在的稅務管轄區

Hong Kong business registration no.

香港商業登記號碼

Current business address

現時營業地址

Correspondence address (if different from current business address)

通訊地址(如與現時營業地址不同)



Section B 部：Entity type 實體類別

Fill one of the appropriate circles in full and provide the relevant information. 在其中一個適當的圓圈填滿，並提供有關資料。

Financial institution 財務機構	<p>Does the entity hold the life insurance policy for the benefit of individual(s) who is/are "U.S. Person"*? <input type="radio"/> Yes 是 <input type="radio"/> No 否 實體是否為任何「美國人士」* 持有人壽保單？</p> <p><input type="radio"/> Custodial institution, depository institution or specified insurance company 託管機構、存款機構或指明保險公司</p> <p><input type="radio"/> 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 投資實體，但不包括由另一財務機構管理（例如：擁有酌情權管理投資實體的資產）並位於非參與稅務管轄區的投資實體</p>
Active non-financial entities (NFE) 主動非財務實體	<p><input type="radio"/> NFE the stock of which is regularly traded on _____, which is an established securities market 該非財務實體的股票經常在 _____（一個具規模證券市場）進行買賣</p> <p><input type="radio"/> Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market _____ 的有關連實體，該有關連實體的股票經常在 _____（一個具規模證券市場）進行買賣</p> <p><input type="radio"/> NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities 政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體</p> <p><input type="radio"/> Active NFE other than the above (Please specify _____) 除上述以外的主動非財務實體（請說明 _____）</p>
Passive NFE 被動非財務實體	<p>Does the entity hold the life insurance policy for the benefit of individual(s) who is/are "U.S. Person"*? <input type="radio"/> Yes 是 <input type="radio"/> No 否 實體是否為任何「美國人士」* 持有人壽保單？</p> <p><input type="radio"/> Investment entity that is managed by another financial institution and located in a non-participating jurisdiction 位於非參與稅務管轄區並由另一財務機構管理的投資實體</p> <p><input type="radio"/> NFE that is not an active NFE 不屬主動非財務實體的非財務實體</p>

Remark:

* "U.S. Person" includes (i) a U.S. citizen, (ii) a person legally admitted to permanent residence in the U.S. (i.e., a "green card" holder), and (iii) a person treated as a "resident alien" of the United States under the U.S. Internal Revenue Code based on the person's "substantial presence" in the United States, regardless of the actual physical residence (or dual tax residence or dual tax citizenship) of any such person.
「美國人士」包括 (i) 美國公民、(ii) 合法獲得美國永久居留權的人（即「綠卡」持有人）及 (iii) 根據美國聯邦所得稅所規定「實質居留」測試而被界定為「美國外籍居民」之人士，不論該人士之實際居住地（或雙重稅收居住地或雙重稅務公民身份）。

Section C 部：Controlling persons (Complete this section if the entity policyholder is a passive NFE) 控權人（如實體保單持有人是被動非財務實體，填寫此部）

Indicate the name of all controlling person(s) of the policyholder 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 "Automatic Exchange of Information – Self certification for controlling person" form for each controlling person.

就保單持有人，填寫所有控權人的姓名在列表內。就法人實體，如行使控制權的並非自然人，控權人會是該法人實體的高級管理人員。每名控權人須分別填寫一份「自動交換資料 — 控權人自行核證」表格。

1	5
2	6
3	7
4	8

Section D 部：Tax information of Claimant 申請人的稅務資料

- Do you currently file tax return in the USA?
If yes, please complete and submit US tax form.
貴公司現時有否於美國報稅？若是，請填妥及遞交美國稅表。 Yes 是 No 否
- Are you a Hong Kong tax resident? If yes, the Taxpayer Identification Number ("TIN") is your Hong Kong business registration no. If no, please complete question no. 2c.
貴公司是否香港稅務居民？若是，稅務編號是 貴公司之香港商業登記號碼。若否，請回答問題 2c。 Yes 是 No 否
 - Is Hong Kong the only Tax Jurisdiction of Residence you belong to?
If no, please complete question no. 2c.
香港是否為 貴公司唯一所屬的稅務居留司法管轄區？若否，請回答問題 2c。 Yes 是 No 否

Tax information for Claimant (continued) 申請人的稅務資料 (續)

- c. 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。

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 claimant is a resident for tax purposes does not issue TINs to its residents.
申請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 claimant is unable to obtain a TIN. Please explain why the claimant is unable to obtain a TIN if you have selected this reason.
申請人未能取得稅務編號。若選取此理由，請解釋申請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.
申請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申請人披露稅務編號。

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／蘇黎世人壽保險 (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 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 或可透過掃描 QR 碼細閱。貴公司亦可致電 +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/We 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 policyholder 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 the tax authorities of another jurisdiction or jurisdictions in which the policyholder 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／我們知悉及同意 (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，把該等資料和關於保單持有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，從而把資料轉交到保單持有人的居留司法管轄區的稅務當局。

I/We certify that I/We am/are authorized to sign for the policyholder of all the policy(ies) to which this form relates.

本人／我們證明，就與本表格所有相關的保單，本人／我們獲保單持有人授權簽署本表格。

I/We undertake to advise the Company of any change in circumstances which affects the tax residency status of the entity 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／我們承諾，如情況有所改變，以致影響本表格 A 部所述的實體的稅務居民身分，或引致本表格所載的資料不正確，本人／我們會通知 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。

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

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.

本人/我們聲明就本人/我們所知所信，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	Date signed 簽署日期	Day 日	Month 月	Year 年	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Name 姓名	Capacity 身分										

(e.g. director or officer of a company, partner of a partnership, trustee of a trust, etc.)
(例如：公司的董事或高級人員、合夥的合夥人、信託的受託人等)

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 貴公司提供額外之證明文件。倘若 貴公司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。

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 three (i.e. HKD 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，可處第三級（即 10,000 港元）罰款。

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。