

# Tax Residency Self-Certification Form - CONTROLLING PERSON

税务居民自我认证表—控制人士

Account Number(s)帐号: \_\_\_\_\_

**Instructions 说明:**

1. Please fill in this form if you are the Controlling Person of an account holder who is a Passive Non-Financial Entity ("NFE"), or an Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution. **For multiple controlling persons, use a separate form for each controlling person.**  
如帐户持有人属于消极非金融机构或位于非参与管辖区域并且由另一金融机构所管理的投资实体，而您为此类机构的控制人士，请填写本表。有多数控制人士者，请针对每一控制人士使用独立表单。
2. If you are filling in this this form on behalf of a Controlling Person, please indicate what capacity you are signing in Part 4.  
如您代表控制人士填写本表，请在第 4 部分中表明您进行签署的身分。
3. **Please complete Parts 1-3 in BLOCK CAPITALS. Fields marked with an asterisk (\*) are mandatory unless not applicable.** If space provided is insufficient, continue on additional sheet(s).  
请以英文大写字母填写第 1-3 部分。除非不适用，否则标示星号(\*)者为必须填写的项目。如提供的栏位不足，请使用额外页面接续填写。
4. If you are a U.S. citizen or tax resident under U.S. law, you should indicate that you are a U.S. tax resident on this form and you are required to fill in an IRS W-9 form, which can be downloaded from the U.S. Internal Revenue Service Forms: <https://www.irs.gov/businesses/corporations/fatca-related-forms>  
如您为美国公民或美国法下税务居民，您应在本表表明您为美国税务居民，且您必须填写 IRS W-9 表，该表可于美国 IRS 网站下载(<https://www.irs.gov/businesses/corporations/fatca-related-forms>)。
5. If there is any change to your tax residency status, please inform us and provide an updated form within 30 days.  
如您的税务居民身分状态有任何变动，请于30日内通知我们并提供更新后的表单。
6. As a financial institution, we are not allowed to give tax advice. If you have any questions about determining your tax residency status, please consult a professional tax advisor or visit the following OECD and IRAS websites for more details:  
作为一间金融机构，我们不得提供税务建议。如果您对于自己的税务居民身分有任何疑问，请咨询专业税务顾问或造访以下OECD 及IRAS 网址以了解更多信息：  
<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/>  
<https://www.iras.gov.sg/IRASHome/Quick-Links/International-Tax/Common-Reporting-Standard--CRS-/>

## Part 1 – Identification of Controlling Person

### 第 1 部分-控制人士的身分识别资料

**A. Name of Account Holder 控制人士姓名**

Title 称谓(e.g. Mr, Mrs, Ms, Miss 先生/太太/女士/小姐) \_\_\_\_\_

Last/Family Name or Surname(s)\*姓氏 \_\_\_\_\_

First or Given Name\*名字 \_\_\_\_\_

Middle Name(s)中间名 \_\_\_\_\_

**B. Current Residence Address 现居地址**

Line 1\*第 1 行(e.g. Apt/Suite Name, Number, Street 公寓套房名称/房号/街道) \_\_\_\_\_

Line 2\*第 2 行(e.g. Town/City/Province/County/State 镇/城市/省/州) \_\_\_\_\_

Country\*国家 \_\_\_\_\_

Postal Code/ZIP Code (if any)\*邮政编码/邮递区号码(如有) \_\_\_\_\_

**C. Mailing Address: (complete if different to the address shown in above Section B) 通讯地址(如与上述 B 不同，填写此栏)**

Line 1\*第 1 行(e.g. Apt/Suite Name, Number, Street 公寓套房名称/房号/街道) \_\_\_\_\_

Line 2\*第 2 行(e.g. Town/City/Province/County/State 镇/城市/省/州) \_\_\_\_\_

Country\*国家

Postal Code/ZIP Code (if any)\*邮政编码/邮递区号码(如有)

D. Date of Birth\*(dd/mm/yyyy) 出生日期(日/月/年)

E. Place of Birth 出生地

Town or City of Birth\*出生城镇或城市

F. Please enter the legal name of the relevant entity account holder(s) of which you are a Controlling Person

请填写您作为控制人士的企业实体帐户持有人的名称

Legal name of Entity 1 企业实体 1 的法定名称

Legal name of Entity 2 企业实体 2 的法定名称

Legal name of Entity 3 企业实体 3 的法定名称

## Part 2 – Country/Jurisdiction of Residence for Tax Purposes and related Taxpayer Identification Number or equivalent number\* (“TIN”)

### 第 2 部分 – 税务居民所属国家/管辖区域及税务居民识别号或相当号码 (“TIN”)

Please complete the following table indicating (i) where the Controlling Person is tax resident and (ii) the Controlling Person’s TIN for each country/jurisdiction indicated. Please indicate **all** countries/jurisdictions (including Singapore and US, if applicable). If the Controlling Person is a tax resident of Singapore, the TIN is the NRIC, FIN, the Income Tax Reference Number (“ITR”), or the Tax Reference Number assigned by IRAS (“ASGD”).

請於下方表格載明(i)控制人士的税务居民所属国家/管辖区域, 以及(ii)在每一国家/管辖区域的 TIN。請載明所有国家/管辖区域(如有适用, 包含新加坡及美国)。如控制人士为新加坡税务居民, TIN 即为 NRIC, FIN, ITR 或 ASGD 号码。

If a TIN is unavailable, please provide the appropriate reason A, B or C where indicated below:

如果无法提供 TIN, 请依下述注明相关理由:

**Reason A** - The country/jurisdiction where the Controlling Person is resident does not issue TINs to its residents.

原因 A - 控制人士所属的该国家/管辖区域并未核发 TIN 予其居民

**Reason B** - The Controlling Person is otherwise unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN in the below table if you have selected this reason).

原因 B - 控制人士无法取得 TIN 或相当号码 (如选择此原因, 请说明为何无法取得)

**Reason C** - No TIN is required. (Only select this reason if the domestic law of the relevant country/jurisdiction does not require the collection of the TIN issued by such jurisdiction).

原因 C - 不需要 TIN (只有相关国家/管辖区域的国内法律不要求收集 TIN 时才能选择此原因)

Country/Jurisdiction of tax residence 税务居民所属国家/管辖区域	TIN	If no TIN available, enter Reason A, B or C 如果未提供 TIN, 填写原因 A, B 或 C	Explain why you are unable to obtain a TIN if you selected Reason B 如果选择原因 B, 请说明为何无法取得 TIN
1			
2			
3			
4			
5			

### Part 3 – Type of Controlling Person

#### 第 3 部分 – 控制人士类别

(Please provide the Controlling Person's Status by ticking the appropriate box 请在下方表格的适当方格内打勾)

Type of Entity 企业 实体类别	Type of Controlling Person 控制人士类别	Entity 1 实体 1	Entity 2 实体 2	Entity 3 实体 3
Legal Person 法人	<b>Control by ownership:</b> Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital) 通过所有权控制: 具有控制所有权利益的个人(例如: 持有不少于 25%的股			
	<b>Control by other means:</b> Individual who exercises control/is entitled to exercise control through other means (i.e. not less than 25% of voting rights) 通过其他形式控制: 透过其他形式行使或有权行使控制的个人(例如: 具有不少于 25%的表决权)			
	<b>Senior managing official:</b> Individual who holds the position of senior managing official/ exercises ultimate control over the management of the entity 高级管理者: 具高级管理者职位或对于实体的管理行使最终控制的个人			
Trust 信托	<b>Settlor</b> 财产授予人			
	<b>Trustee</b> 受托人			
	<b>Protector</b> 保护人			
	<b>Beneficiary</b> 受益人			
	<b>Other</b> (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary) 其他(例如: 如财产授予人/受托人/保护人/受益人为另一企业实体, 对该实体行使控制权的个人)			
Legal arrangement other than Trust 除信托以外的法律安排	<b>Settlor-equivalent:</b> Individual in a position equivalent/similar to settlor 处于相等/相类于财产授予人位置的个人			
	<b>Trustee-equivalent:</b> Individual in a position equivalent/similar to trustee 处于相等/相类于受托人位置的个人			
	<b>Protector-equivalent:</b> Individual in a position equivalent/similar to protector 处于相等/相类于保护人位置的个人			
	<b>Beneficiary-equivalent:</b> Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries 处于相等/相类于受益人或某类别受益人的成员位置的个人			
	<b>Other-equivalent</b> (e.g. individual who exercises control over another entity being equivalent/similar to settlor/trustee/protector/beneficiary) 其他(例如处于相等/相类于财产授予人/受托人/保护人/受益人位置的人为另一企业实体, 对该实体行使控制权的个人)			

### Part 4 – Declarations and Signature\*

#### 第 4 部分 – 声明及签署

I understand that the information contained herein is covered by the full provisions of the terms and conditions governing the account holder(s)'s relationship with KGI setting out how KGI may use and share the information supplied by me.

本人瞭解此处提供的信息适用于帐户持有人与 KGI 之间有关 KGI 如何使用并分享本人所提供信息的所有条款约定。

I acknowledge that the information contained herein and information regarding the Controlling Person and any reportable account(s) may be provided to the tax authorities of the country/jurisdiction in which this account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which the Controlling Person may be tax resident pursuant to intergovernmental agreements to exchange financial account information.

本人确认此处提供的信息以及有关控制人士及应申请帐户的信息可能会提供给本帐户所在的税务机关, 并依据政府间就金融帐户信息交换有关的约定, 与控制人士为税务居民的其他国家/管辖区域的税务机关进行交换。



**I/We understand that it is an offense under applicable Singapore laws to knowingly provide false or misleading information regarding tax residency status and that such offense is punishable with a fine and/or imprisonment. I hereby declare and confirm that the information given and the statements made herein are, to the best of my knowledge and belief, correct and complete. I certify that I am the Controlling Person (or am authorised to sign for the Controlling Person) of all the account(s) held by the entity account holder to which this form relates.**

本人瞭解故意提供错误或令人误导的有关税务居民身分的信息违反相关新加坡法律，得处以罚款及/或有期徒刑。本人在此声明并确认所提供的信息及此处所为的陈述，依本人尽力所知及所信，确属正确及完整。本人声明是本表相关帐户持有人所持所有帐户的控制人士(或本人获控制人士授权签署)。

**I undertake to advise KGI of any change in circumstances which affects the tax residency status of the individual identified in Part 1 or causes the information contained herein to become incorrect or incomplete, and to provide KGI with a suitably updated self-certification form within 30 days of such change in circumstances.**

本人承诺通知 KGI 任何影响第 1 部分所载的个人的税务居民身分或导致此处提供的信息成为不正确或不完整的情事变更，并且在发生此情事变更 30 日内，提供 KGI 妥适更新后的自我认证表。

Signature 签署: \_\_\_\_\_

Capacity 身分: \_\_\_\_\_

Print name 正楷姓名: \_\_\_\_\_

(indicate the capacity if you are not the individual identified in Part 1. If signing under a power of attorney, please also attach a certified copy of the power of attorney) 如您不是第 1 部分所载的自然人，请列明你签署本表的身分。如果你是以授权人身分签署，请附上授权书的核证副本。

Date 日期: \_\_\_\_\_