

# TAX DECLARATION AND SELF- CERTIFICATION 稅務聲明及自我證明

## FOR INDIVIDUAL INVESTORS (HONG KONG ONLY) 個人投資者（僅適用於香港）

All references to **Utmost International** refer to Utmost International Isle of Man Limited, Utmost PanEurope dac, Utmost International Trustees Solutions or Utmost International Singapore Branch as the context requires.

根據內文,「奧摩斯國際」是指Utmost International Isle of Man Limited、Utmost PanEurope dac、Utmost International Trustees Solutions或Utmost International Singapore Branch。

### IMPORTANT INFORMATION 重要事項

#### HOW TO COMPLETE THIS FORM? 如何填寫此表格?

##### Electronic completion 電子填寫

To ensure your information is saved correctly, we recommend you save the form to your desktop before you start completing the required fields.

為確保您的資料能正確儲存,我們建議您先將表格下載儲存到電腦,才開始填寫。

##### Paper completion 紙本填寫

If completing a hard copy of this form, please use **black or blue ink** and **BLOCK CAPITALS**. If you make a mistake, cross it out, put in the correct details and sign your initials next to the correction. **Do not use correction fluid**.

填寫本表格時,請使用黑色或藍色原子筆,並以英文正楷填寫。如有任何修改,應將原字劃掉,填寫正確資料,並於附近加簽。不可使用塗改液。

#### INTRODUCTION 簡介

Under Automatic Exchange of Information (AEOI) regulations we are required to obtain certain information from our investors, including where they were born, their nationalities, countries of tax residence<sup>1</sup>, Tax Identification Numbers (TIN)<sup>2</sup> and their 'self-certification' that the information they provide is true and complete. We may have to provide this information to the relevant domestic tax authority who may share it with overseas tax authorities.

根據自動交換資料(AEOI)規例,本公司須取得投資者的若干資料,包括出生地、國籍、稅務居民管轄區<sup>1</sup>、稅務識別編號(TIN)<sup>2</sup>,以及其自我證明所提供資料屬真實完整。本公司可能須提供本資料予相關境內稅務機關,而該機關可能會與境外稅務機關共享本資料。

#### <sup>1</sup> Country of tax residence

Your tax residence is generally the country in which you live for more than half a year. Special circumstances (such as studying abroad, working overseas, or extended travel) may cause you to be tax resident elsewhere or tax resident in more than one country at the same time (dual tax residency). The country/countries in which you pay income tax are likely to be your country/countries of tax residence. If you are a US citizen or hold a US passport or green card, you will also be considered tax resident in the US even if you live outside the US.

##### 稅務居民管轄區

在一般情況下,投資者的稅務居住地是指投資者每年居住超過一半的國家。特殊情況下(如出國留學、海外工作或延期旅行)可能導致投資者成為其他國家的稅務居民,或同時成為多於一個國家的稅務居民(雙重稅務居民)。投資者應繳納所得稅的國家最大可能是其稅務居住國家。如果投資者是美國公民或持有美國護照或綠卡,即使投資者居住在美國境外,您將被視為美國的納稅居民。

#### <sup>2</sup> Tax Identification Number (TIN)

TIN stands for 'Tax Identification Number' and is a country specific unique number issued to an individual or entity for tax administration purposes.

##### 稅務識別編號(TIN)

TIN指「稅務識別編號」,為個別國家分配給個人或實體作稅務管理用途的獨特號碼。

### CHANGE OF CIRCUMSTANCES 情況出現變動

The information in this form and your self-certification will remain valid unless there is a change of circumstance which affects that information. If we receive information which suggests your country of tax residence has changed, we may ask you to complete another self-certification. You must notify us if there is a change in circumstance that makes this form incorrect or incomplete.

除非出現影響本表格及自我證明所載資料的變動情況，本表格的資料及自我證明將一直有效。如本公司接獲指投資者的稅務居民管轄區變更的資料，則本公司可能要求投資者再次填寫自我證明。如出現導致本表格不準確或不完整的變動情況，務請投資者通知本公司。

### WHAT HAPPENS IF I DO NOT COMPLETE THIS FORM? 如果不填寫本表格，有何後果？

Completion of this form is a regulatory requirement and is therefore mandatory. Failure to provide information when requested could lead to your details being reported incorrectly, or without the necessary information. This may ultimately lead to investigations by your local tax jurisdiction. We will continue to remind anyone who fails to provide a completed self-certification at least annually.

You have been asked to complete this form so the relevant Company can accurately report your policy under the relevant tax information exchange agreements, including FATCA and the CRS. This may be due to a change of circumstances on your policy, which potentially changes the status under these agreements, such as a full assignment, or because we do not currently hold sufficient information on your policy to enable us to report your account correctly.

基於監管當局的規定，您需要填寫本表格，此屬強制性質。如果未能按照規定提供資料，您的詳細資料可能被誤報或無法提供所需資料，最終或會導致您的當地稅收管轄區展開調查。未能提供最少每年一次的完整自我證明的人士，我們將繼續發出提示訊息。

您需填寫本表格，以便相關公司能夠根據相關稅務資料交換協議（包括《海外帳戶稅收合規法案》（FATCA）及共同匯報標準（CRS））準確地匯報您的保單。這可能由於您的保單情況有變（例如保單全數轉讓），而或會改變這些協議之下的情況，或是由於我們目前未能就您的保單掌握足夠資料，而無法正確地匯報您的戶口情況。

### WHO SHOULD COMPLETE THIS FORM? 哪些人士需要填寫本表格？

This form should be completed by:

- › The Policyholder (sometimes referred to as Planholder or Accountholder)
- › Those persons authorised to sign on behalf of the policyholder, for example their Power of Attorney or court appointed Deputy where appropriate documentation is held by us
- › The relevant individuals linked to the trust where Utmost International Trustee Solutions Limited are the appointed trustee. Where a beneficiary is a minor, it would be acceptable for a parent or legal guardian to sign on their behalf.

If you are an individual on a trust that is managed by a corporate trustee, or the policy is held under a company or partnership which doesn't meet the definition of Passive Non-Financial Entity, you will need to complete a **Tax Declaration and Self-Certification for Entities** form.

To access the forms, please visit [www.utmostinternational.com](http://www.utmostinternational.com).

以下人士須填寫本表格：

- › 保單持有人（亦稱為計劃持有人或戶口持有人）
- › 獲授權代表保單持有人簽署的人士，例如其授權書或法院委任代理人（本公司需持有適當的文件）
- › 委任Utmost International Trustee Solutions Limited為信託人的相關受託人士。如果受益人為未成年人士，則可由父母或法定監護人代簽。
- › 如果您的個人信託是由信託公司管理、或以公司或合夥企業名義持有的保單但不符合被動非財務實體定義，您需填寫**稅務聲明及自我證明 – 實體投資者表格**。如要取得表格，請瀏覽網站：[www.utmostinternational.com](http://www.utmostinternational.com)。

### WHERE CAN YOU ACCESS FURTHER INFORMATION? 如何獲取額外資料？

For help to work out where you are tax resident, or if you are unsure about your TIN, please consult your financial adviser or refer to the information on the Organisation for Economic Cooperation and Development's (OECD) website.

The OECD has developed the rules to be used by all governments participating in the CRS and these can be found on the OECD's 'Automatic Exchange of Information' (AEOI) website: [www.oecd.org/tax/automatic-exchange/](http://www.oecd.org/tax/automatic-exchange/).

If you are unsure what information to include, please consult your financial adviser who can also confirm that this is the most up-to-date version of this form.

如需協助以確定您的稅務居民身份，或您未能肯定稅務識別編號，請向您的理財顧問查詢或參閱經濟合作及發展組織（OECD）網站的資料。

OECD 已為所有參與共同匯報標準的政府制訂規則，這些規則可於 OECD 的「自動交換資料」(AEOI) 網站查閱：  
[www.oecd.org/tax/automatic-exchange/](http://www.oecd.org/tax/automatic-exchange/)。

如果您未能肯定提供哪些資料，請向您的理財顧問查詢，他們亦可以確認本表格是否最新版本。

#### HOW WE USE YOUR INFORMATION 我們將如何使用您的資料？

Our Privacy Notice explains when and why we collect personal information about our customers, how we use it, the conditions under which we may share it with others and how we keep it secure. It also explains how long we keep customer information for, how a customer can obtain details of the information we keep and the choices customers have about how we use that information. You can find a copy at [www.utmostinternational.com/privacy-statements](http://www.utmostinternational.com/privacy-statements) or you can request a copy from the relevant Customer Service team.

本公司的私隱聲明說明我們何時和為何收集客戶個人資料、如何使用這些資料、在那些情況下我們可能與其他人士分享這些資料，以及我們確保這些資料安全的方法。此外，該聲明亦解釋我們保留客戶資料的時限、客戶如何取得我們所保存資料的詳情，以及客戶對於我們如何使用這些資料的選項。您可於網站 [www.utmostinternational.com/privacy-statements](http://www.utmostinternational.com/privacy-statements) 獲取該聲明的副本，亦可以向相關的客戶服務部索取。

#### WHERE SHOULD I SEND THIS FORM WHEN COMPLETED? 填妥的表格應交回何處？

This form should be returned to the relevant Utmost International team which requested the completion of the form. However, if you are unsure who to return this form to, please speak to the relevant customer services support team using the contact details below who will be able to assist you.

填妥的表格請交回相關的奧摩斯部門。然而，若有疑問，請聯絡以下相關的客戶服務支援部，尋求協助。

##### Utmost International Isle of Man

[customersupport@utmostwealth.com](mailto:customersupport@utmostwealth.com)

+44 (0) 1624 643 345

or 或

##### Utmost PanEurope dac

[ccsfrontoffice@utmost.ie](mailto:ccsfrontoffice@utmost.ie)

+353 46 909 9700

## A ACCOUNT DETAILS 戶口資料

Product Provider 產品公司

Utmost International Isle of Man Limited

Utmost PanEurope dac

Account/bond/plan/policy number (if known) 戶口/計劃/保單編號 (如知悉)

Utmost Trust (TR) number (if applicable) 奧摩斯信託號碼 (如適用)

Utmost Trust (TR) number is only required for clients that have Utmost International Trustee Solutions Limited appointed as the professional trustee. 只有委任 Utmost International Trustee Solutions Limited 為專業受託人的投資客戶才擁有奧摩斯信託號碼。

## B ACCOUNTHOLDER DETAILS AND TAX RESIDENCE 戶口持有人資料及稅務居民

Please complete section B in full for each Accountholder.

If a TIN is not available, please provide the appropriate reason a, b or c:

- The jurisdiction where the Accountholder is resident does not issue TINs.
- We are unable to obtain a TIN or equivalent number. Please explain why you are unable to obtain a TIN if you have selected this reason.
- No TIN is required. Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction.

每位戶口持有人必須完整填寫B部分。

如果沒有稅務識別編號，請提供適當的原因，a、b 或 c：

- 戶口持有人居住的司法管轄區不簽發稅務識別編號。
- 我們無法取得稅務識別編號或同等號碼。如果您選擇了此原因，請解釋為何您無法獲得稅務識別編號。
- 不需要稅務識別編號。當相關司法管轄區的本地法不要求收集該司法管轄區頒發的稅務識別編號時，才選擇此原因。

SOLE OR FIRST ACCOUNTHOLDER 唯一或首個戶口持有人

Full name 全名	<input type="text"/>		
Residential address 住址	<input type="text"/>		
	Postcode 郵政編碼		Country 國家
Date of birth 出生日期	<input type="text" value="d"/>	<input type="text" value="d"/>	<input type="text" value="m"/>
	<input type="text" value="m"/>	<input type="text" value="y"/>	<input type="text" value="y"/>
	<input type="text" value="y"/>	<input type="text" value="y"/>	<input type="text" value="y"/>
	<input type="text" value="y"/>	<input type="text" value="y"/>	<input type="text" value="y"/>
Nationality 國籍	<input type="text"/>		
Town/City of birth 出生市／鎮	<input type="text"/>		Country of birth 出生國家
Contact number 聯絡號碼	<input type="text"/>		
E-mail address 電郵地址	<input type="text"/>		

Please list each country in which the Accountholder is resident for tax purposes, including the tax reference number (if relevant).  
請列出戶口持有人因稅務原因而居住的每個國家，包括稅務參考號碼(如適用)。

COUNTRY(IES) OF RESIDENCE FOR TAXATION 稅務居民管轄區	TAX IDENTIFICATION NUMBER(S) (TIN) 稅務識別編號	REASON IF NO TIN IS AVAILABLE (state a, b or c) 如沒有稅務識別編號，請註明原因：a、b 或 c

If you stated "b", please explain why you are unable to obtain a TIN. 如選擇了b，請解釋為何無法獲得稅務識別編號。

COMPLETE IF THE ACCOUNTHOLDER WAS BORN IN THE US OR IS A US CITIZEN AND/OR IS RESIDENT IN THE US FOR TAX PURPOSES

請填寫，如果戶口持有人於美國出生，或是美國公民和／或在美國居住而納稅

Please tick either 1 or 2 below if you were either born in the US or you are a US citizen and/or resident in the US for tax purposes.  
如果您出生在美國，或您是美國公民及／或是美國稅務居民，請於下列1)或2)項加上剔號。

- I confirm that I am a US citizen and/or resident in the US for tax purposes (green card holder or resident under the substantial presence test) and my US federal taxpayer identifying number (US TIN) is shown in the table above.  
本人確認本人為美國公民及／或美國稅務居民(綠卡持有人或根據實際居住日數準則屬於美國居民)，本人的美國聯邦納稅人識別編號(美國稅務識別編號)如上所示。
- I confirm that I was born in the US (or a US territory) but I am no longer a US citizen. (Please note you must provide your US loss of nationality certificate if you have selected this option.)  
本人確認本人於美國(或美國領土)出生，但現已不再為美國公民。(請注意，您需要提供喪失美國國籍的證明。)

We will presume that you are not a US citizen or resident in the US for tax purposes if this question is left blank unless there is indicia which contradicts this.

如有留白，本公司將假設投資者並非美國公民或美國稅務居民，除非出見矛盾的資料。

JOINT ACCOUNTHOLDER (IF APPLICABLE) 聯名戶口持有人 (如適用)

Full name 全名

Residential address 住址

Postcode 郵政編碼  Country 國家

Date of birth 出生日期

Nationality 國籍

Town/City of birth 出生市/鎮

Country of birth 出生國家

Contact number 聯絡號碼

E-mail address 電郵地址

If there are more than two Accountholders, photocopy the necessary pages, complete, sign and attach securely to this form. 如果有兩名以上的戶口持有人, 請影印相關頁數, 填寫、簽署, 並附在本表格上。

Please list each country in which the Accountholder is resident for tax purposes, including the tax reference number (if relevant). 請列出戶口持有人因稅務原因而居住的每個國家, 包括稅務參考號碼(如適用)。

COUNTRY(IES) OF RESIDENCE FOR TAXATION 稅務居民管轄區	TAX IDENTIFICATION NUMBER(S) (TIN) 稅務識別編號	REASON IF NO TIN IS AVAILABLE (state a, b or c) 如沒有稅務識別編號, 請註明原因: a、b 或 c

If you stated "b", please explain why you are unable to obtain a TIN. 如選擇了b, 請解釋為何無法獲得稅務識別編號。

COMPLETE IF THE ACCOUNTHOLDER WAS BORN IN THE US OR IS A US CITIZEN AND/OR IS RESIDENT IN THE US FOR TAX PURPOSES

請填寫, 如果戶口持有人於美國出生, 或是美國公民和/或在美國居住而納稅

Please tick either 1 or 2 below if you were either born in the US or you are a US citizen and/or resident in the US for tax purposes. 如果您出生在美國, 或您是美國公民及/或是美國稅務居民, 請於下列1)或2)項加上別號。

- I confirm that I am a US citizen and/or resident in the US for tax purposes (green card holder or resident under the substantial presence test) and my US federal taxpayer identifying number (US TIN) is shown in the table above. 本人確認本人為美國公民及/基於稅務目的在美國居住(綠卡持有人或通過實質居留測試的居民)及在上表有關本人的美國聯邦納稅人識別號碼(美國稅務識別編號)。
- I confirm that I was born in the US (or a US territory) but I am no longer a US citizen. (Please note you must provide your US loss of nationality certificate if you have selected this option.) 本人確認本人於美國(或美國領土)出生, 但現已不再為美國公民。(請注意, 您需要提供喪失美國國籍的證明。)

We will presume that you are not a US citizen or resident in the US for tax purposes if this question is left blank unless there is indicia which contradicts this.

如有留白, 本公司將假設投資者並非美國公民或基於稅務目的在美國居住, 除非出現與此抵觸的資料。

**C DECLARATION AND SIGNATURE(S) 聲明和簽署**

This declaration is made by each investor whose details are shown in section B.

1. I understand that for regulatory purposes, Utmost International is required to obtain information concerning my taxation status.
2. I declare that:
  - a. I am resident for taxation in the country(ies) shown in section B of this form and I am not resident for taxation elsewhere.
  - b. I am a national of the country(ies) shown in section B of this form and I am not a national or a citizen of any other country.
  - c. I will inform Utmost International of any changes in circumstances which affect my tax residency status and that of any other individuals detailed in this form, or which causes the information to become incorrect, and to provide Utmost International with a suitably updated self-certification and declaration in the event of such a change of circumstances.
3. I understand that:
  - a. Utmost International may need to contact me for further details regarding tax information.
  - b. Utmost International may be required by law to transfer information provided by me to relevant tax authorities under automatic exchange of tax information regulations.
  - c. If the details provided differ to the ones held on file, Utmost International will use this form to update our records.
4. I declare that the information in this form and the statements made in this declaration are correct and complete, to the best of my knowledge and belief.

本聲明是由各投資者作出，有關投資者的詳情載於B部分。

1. 本人明白，就規管要求而言，奧摩斯國際須獲取本人稅務狀況的相關資料。
2. 本人聲明：
  - a. 本人為本表格B部分所示國家的稅務居民，且並非任何其他國家的稅務居民。
  - b. 本人為本表格B部分所示國家的國民，且並非任何其他國家的國民或公民。
  - c. 倘出現影響本人或本表格詳述之任何其他人士稅務居民身份的狀況，本人會將任何有關變動知會奧摩斯國際，以避免資料不正確；倘若發生此類情況變化，本人則會向奧摩斯國際提供適當更新的自我證明及聲明。
3. 本人明白：
  - a. 奧摩斯國際可能需要聯絡本人，以獲取關於稅務資料的更多詳情。
  - b. 根據法律所規定，奧摩斯國際可能需按自動交換稅務資料的規例，將本人所提供的資料提交予相關稅務部門。
  - c. 如果已提供的詳情與存檔的資料不同，奧摩斯國際將使用此表格的詳情以更新記錄。
4. 本人聲明，就本人所盡知及所盡信，本表格資料及本聲明所作的陳述均為真實完整。

	<b>Accountholder 1 戶口持有人1</b>	<b>Accountholder 2 戶口持有人2</b>																
<b>SIGNATURE(S) 簽署</b>																		
Print name 全名																		
Date 日期	<table border="1" style="border-collapse: collapse; width: 100%;"> <tr> <td style="width: 12.5%; text-align: center;">d</td> <td style="width: 12.5%; text-align: center;">d</td> <td style="width: 12.5%; text-align: center;">m</td> <td style="width: 12.5%; text-align: center;">m</td> <td style="width: 12.5%; text-align: center;">y</td> <td style="width: 12.5%; text-align: center;">y</td> <td style="width: 12.5%; text-align: center;">y</td> <td style="width: 12.5%; text-align: center;">y</td> </tr> </table>	d	d	m	m	y	y	y	y	<table border="1" style="border-collapse: collapse; width: 100%;"> <tr> <td style="width: 12.5%; text-align: center;">d</td> <td style="width: 12.5%; text-align: center;">d</td> <td style="width: 12.5%; text-align: center;">m</td> <td style="width: 12.5%; text-align: center;">m</td> <td style="width: 12.5%; text-align: center;">y</td> <td style="width: 12.5%; text-align: center;">y</td> <td style="width: 12.5%; text-align: center;">y</td> <td style="width: 12.5%; text-align: center;">y</td> </tr> </table>	d	d	m	m	y	y	y	y
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d	d	m	m	y	y	y	y											

If there is more than two Accountholders, please photocopy the necessary pages, complete, sign and attach securely to this form. 如果有兩名以上的戶口持有人，請影印相關頁數，填寫、簽署，並附在本表格上。

All Accountholders named in section B must sign here. 在B部分的所有戶口持有人必須在此簽署。

TAX DECLARATION AND SELF-CERTIFICATION 稅務聲明及自我證明  
FOR INDIVIDUAL INVESTORS 個人投資者

## A WEALTH *of* DIFFERENCE

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Authorised by the Insurance Authority of Hong Kong to carry on long-term business.

Utmost International Isle of Man Limited is registered in the Isle of Man under number 024916C.

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