

Before you begin 在您开始之前请阅读:

Tax regulations require ANZ and its Controlled Entities ("ANZ") to collect an Entity/Controlling Person(s) Self-Certification that establishes the Entity's status and includes tax residence(s). ANZ may be required to provide information to relevant tax authorities (including where a valid Self-Certification(s) is not provided). Automatic Exchange of Information may include the Foreign Account Tax Compliance Act (FATCA) and the Common Reporting Standard (CRS).

税务条例规定澳大利亚和新西兰银行(中国)有限公司及其控制的机构(ANZ)需收集包括税收居所的机构/控制人的自我认证。相关税务机关可要求ANZ提供您的信息(包括您没有提供有效自我认证的情况)。自动交换信息可包括《外国账户税收遵从法》(FATCA)和《通用报告准则》(CRS)。

(a) **Complete this Self-Certification if:** you are an Entity (including all Other Non-Individual) Account Holder. For joint or multiple Account Holders each Entity must complete a separate Self-Certification.

如果您属于如果您属于机构账户持有人(包括其他一切非个人账户), **请完成自我认证**。对于联合或多个账户的持有人, 每个机构账户持有人都必须完成单独的自我认证。

(b) **Refer** to the country or region specific terms/information obtainable from www.anz.com/aeoi.

参考国家(地区) 具体条款或信息请参照 www.anz.com/aeoi。

(c) **Obtain** tax/legal/other professional advice (if required) before you complete this Self-Certification and sign Step 4.

在完成自我认证和步骤4的签名之前, **获取**税务、法律或其他专业的咨询(如有需要)。

STEP 1 ENTITY ACCOUNT HOLDER DETAILS: If this entity is **NOT** the Account Holder, please ensure this self-certification is completed by the Account Holder.

步骤 1 机构账户持有人资料: 如果该机构并非账户持有人, 请确保该账户的自我认证是由该账户持有人完成。

1.1 Name of Entity Account Holder
机构账号持有人姓名

1.2 Primary Nature of Business
主要业务性质

1.4 Registered Office Address
公司注册地址
(Alternatively, your Principal Place of Business or Other Physical Address. Do not provide a PO Box Address.)
(或者您业务进行的主要场所或其他实际地址。请不要提供邮政信箱地址)

Street Address
街道地址

Province/State
省/州

Post Code
邮政编码

1.3 Country or Region of incorporation,
organisation or establishment 注册或成立国家(地区)

City/Town
城市/城镇

Country or Region
国家(地区)

STEP 2 ENTITY ACCOUNT HOLDER TYPE: Please complete the Entity Status as **ONE** of the following: Non-Financial Entity (NFE), Exempt Entity, or Financial Institution (FI). By doing so, I certify the Entity Account Holder meets the qualifying condition(s) for each status claimed.

步骤 2 机构账户持有人资料类型: 请在下列选项中选择一项符合现状的机构地位: 非金融机构(NFE)、免税机构或金融机构(FI)。通过填写, 本人证实机构账户持有人符合每个身份要求的资格条件。

NON-FINANCIAL ENTITY 非金融机构

Please check one applicable option across (a) **OR** (b)
请从(a)或(b)中选择合适的选项:

(a) **Active NFE 积极的非金融机构:**

☐ **Active NFE (by income/assets)**

积极的非金融机构(通过收入或资产):

During the preceding calendar year or other appropriate reporting period, the Entity 在上一历年或其他合适的报告期内, 该机构:

1. Derived less than 50% of its gross income from passive sources; AND 获得少于其消极收益总收入的50%; 并且
2. Held less than 50% of assets that produced or were held for production of passive income. 持有少于50%由消极收益产生或持有的资产。

☐ **Holding Company or Treasury Centre 控股公司或财政中心**
(that is a member of a non-financial group 此时为非营利机构的一员)

☐ **Start-Up Company 新创公司**

☐ **Entity in Liquidation or Bankruptcy 进行清算或破产的公司**

☐ **Tax Exempt Non-Profit Organisation 免税非营利组织**

(b) **Passive NFE 消极的非金融机构:**

☐ **Passive NFE 消极的非金融机构**

Complete Annexure A and the rest of this Self-Certification. If the Entity meets a FATCA status/Exemption not provided for on this Self-Certification, provide the relevant form W.

请完成 **附录A** 及此 **自我认证** 的剩余部分。如果机构能满足此份自我认证未曾列明的《海外账户纳税法案》免税条件, 则应以相关的表格W提供证明。

EXEMPT ENTITY 豁免机构

If the qualifying conditions are met, please check **ONE** box below 如果符合资格条件, 请在以下对应的一个方框里打勾:

☐ **Publicly Traded NFE 上市非金融机构**

A Corporation that is not an FI, AND the stock of which is regularly traded on an Established Stock Exchange. 公司不是金融机构, 并且在证券市场上交易的公司。

☐ **Related Entity of Publicly Traded NFE**

上市非金融机构的关联机构

Provide the name of the Related Publicly Traded NFE
请提供相关上市非金融机构的名称:

☐ **Central Bank 中央银行**

☐ **Government Entity 政府机构**

☐ **International Organisation 国际组织**

☐ **Entity wholly owned by a Central Bank, Government Entity or International Organisation**
由一家中央银行、政府机构或国际组织全资拥有的机构

FINANCIAL INSTITUTION 金融机构

Please complete the Entity's CRS FI Status **AND** FATCA FI or Foreign FI (FFI) status below
请在下方填写机构的《通用报告准则》(CRS) 金融机构身份和《海外账户纳税法案》金融机构或国外金融机构(FFI)身份:

CRS status
《通用报告准则》身份

☐ **Depository/Custodial Institution or Specified Insurance Company**

保管人/托管机构或指定的保险公司

☐ **Managed Investment Entity**

托管的投资机构

If not tax resident in a Participating CRS country or region: complete Annexure A and the rest of this Self-Certification. 如果纳税居民不在参与《通用报告准则》(CRS) 国内, 请完成 **附录A** 及此 **自我认证** 的剩余部分。

☐ **Investment Entity - Other 托管的投资机构**

FATCA status
海外账户纳税法案身份

GIIN provided 已提供全球中介机构识别码:

☐ **Reporting Model 1 FFI**
报告模板1 外国金融机构

☐ **Reporting Model 2 FFI**
报告模板2 外国金融机构

☐ **Participating FFI**
有权分享利益的外国金融机构

☐ **Registered Deemed Compliant FFI**
已注册为合规的外国金融机构

☐ **Sponsored FI**
获赞助的金融机构

☐ **Trustee Documented Trust**
受托人记录信托

The Entity GIIN is
机构的全球中介机构识别码:

or 或者 ☐ **GIIN has been 'applied for'** 已申请全球中介机构识别码

GIIN not available 全球中介机构识别码不适用:

☐ **Pension/Retirement Fund**
(meets FATCA exemption requirements)
养老金/退休基金(满足《海外账户纳税法案》的免税要求)

☐ **United States FI**
美国金融机构

☐ **Territory FI**
管辖所属的金融机构

☐ **Non-Reporting IGA FFI 非报告IGA国际金融机构**

☐ **Non-Participating FFI 无权分享利益的外国金融机构**

☐ **Owner Documented FFI (Provide Form W-8)**
拥有人登记在案的外国金融机构(提供表格W-8)

☐ **Other FI/Certified Deemed Compliant FFI - provide FATCA Status** 其他金融机构/已注册为合规的外国金融机构 - 提供《海外账户纳税法案》身份



STEP 3 ENTITY ACCOUNT HOLDER TAX RESIDENCE(S): If the third check box below is selected, also complete information in the table.
步骤 3 机构账户持有人税收居所: 如果选择第三个选项, 也需填写表中的信息。

Please check **ONE** applicable option below 请选择下面**一个**最合适的选项打勾:

- ☐ the Entity is **only** Tax Resident in the country or region in which the account is being opened
机构仅为账户开户地国家(地区)的税收居民
- ☐ the Entity is Fiscally Transparent and its place of effective management or jurisdiction in which its principal/registered office is located is:
机构的财务透明, 有权管理其主要/注册公司的国家(地区)是:
- ☐ I have included **below** all countries or regions in which the Entity is Tax Resident (**other than** the country or region of account opening)
以下为本人作为纳税居民的所有国家(地区)(除账户开户地外的)

Country or Region of Tax Residence 税收居所所在国家(地区) (Do not include country or region of account opening 不要包括账户开户地的国家(地区))	Tax payer identification number (TIN) 纳税人识别号(TIN) (or country or region equivalent 或相关国家(地区)同等号码)	Reason Code 原因码 (if TIN not provided 如果没有提供 纳税人识别号(TIN))	Explanation 解释说明 (only if Reason code is "Z" 仅在原因码是Z时)

For United States Country or Region of Tax Residence only, provide your 'Exemption from FATCA Reporting Code' as per IRS Form W-9 (if applicable)
对于美国纳税居民, 请提供您的依照美国国税局表格 W-9的《海外账户纳税法案》报告代码的免税理由(如果适用)

Exemption from FATCA Reporting Code
免于《海外账户纳税法案》的报告代码:



Reason Codes: (if TIN not provided) 原因码: (如果没有提供纳税人识别号(TIN))
A TIN Not Issued (The Country or Region does not issue TINs) 未签发 TIN (国家(地区)不签发 TIN)
B TIN Not Required (The Country or Region does not require collection of a TIN) 没有要求 TIN (国家(地区)没有要求收集 TIN 信息)
C TIN Applied For (I have applied for a TIN and will inform you upon receipt) 正在申请 TIN (我已经申请 TIN, 收到后会通知您)
Z TIN Unobtainable (I am unable to obtain a TIN) 无法获得 TIN (我无法获得 TIN) 请提供解释说明

STEP 4 ENTITY ACCOUNT HOLDER DECLARATION AND SIGNATURE: I certify that:
步骤 4 机构账户持有人声明与签名: 兹证明:

1. I am authorised to sign for the Account Holder/Controlling Person(s).
本人被授权作为账户持有人或控制人签字。
2. I have provided true, correct and complete information.
本人提供的信息属真实、正确、完整。
3. I have consulted an independent advisor where necessary and acknowledge that ANZ does not provide any advice.
本人已咨询独立的顾问(如果有必要), 并承认ANZ没有提供任何建议。
4. I understand that provision of false, inaccurate or incomplete information may constitute an offence(s) and penalties may apply.
本人明白提供虚假、不准确或不完整的信息可能构成犯罪, 并且会遭到处罚。
5. I have obtained the necessary consent and authorisation to allow disclosure and use of the information provided in this Self-Certification (including Annexure A to this Self Certification).
本人已经获得所需要的同意和授权, 允许公开和使用此份自我认证的信息(包括此份自我认证的附录A)。
6. I will notify ANZ of changes to any information within 30 days of the change occurring and, where required, will provide ANZ with a new Self-Certification.
本人变更任何信息后会在30天内通知ANZ, 如有需要会向ANZ提供一份新的自我认证。
7. I will provide ANZ with any additional information and/or documentation as requested.
本人将依照要求向ANZ提供任何其他信息和/或文件。
8. I have provided/will provide the applicable documents (eg. Power of Attorney / Form W).
本人已经提供/将提供相关文件(例如委托书或表格W)。

Signature 签名

Print Name 打印姓名

Date 日期

(日)

(月)

(年)

(日)

(月)

(年)

(Please also provide documentary evidence of the capacity to sign)
(也请提供文件证明您有权作出此声明与签名)

ANNEXURE A: PASSIVE NFE/OTHER RELEVANT ENTITY TYPE - Controlling Persons Certification
附录A: 消极的非金融机构/其他相关机构类型 (控制人认证)



If there are more than two Controlling Persons, provide additional copies of this page as required. The total Number of Pages provided for Annexure A is

Reason Codes: (if TIN not provided) 原因码: (如果没有提供纳税人识别号 (TIN))
A TIN Not Issued (The Country or Region does not issue TINs)
B TIN Not Required (The Country or Region does not require collection of a TIN)
C TIN Applied For (I have applied for a TIN and will inform you upon receipt)
Z TIN Unobtainable (I am unable to obtain a TIN)

STEP 1 步骤 1 Passive NFE/Other Relevant Entity 消极的非金融机构或其他相关机构:

Name of Entity Account Holder
机构账户持有人姓名

Indicate the total number of Controlling Persons for the Account Holder (detailed in full below) 请标出此账户持有人的控制人总数量 (填写详情于下)

STEP 1.1 步骤 1.1 Controlling Person Details 控制人的详细资料:

a) Full Name of Controlling Person 控制人的全名
b) Country or Region of Birth 出生国家 (地区)
c) City of Birth 出生城市
d) Date of Birth 出生日期
e) Full Residence Address 完整的居住地址
f) Country or Region 国家 (地区)
g) Tax Residency Information
This Controlling Person is only Tax Resident in the country or region in which the account is being opened or 此控制人仅是账户开户地所在国家 (地区) 的纳税居民, 或者
I have included below all countries or regions in which the Controlling Person is Tax Resident (other than the country or region of account opening)
以下为本入作为纳税控制人所在的所有国家 (地区) (除账户开户国 (地区) 之外)

STEP 1.2 步骤 1.2 Controlling Person Details 控制人的详细资料:

a) Full Name of Controlling Person 控制人的全名
b) Country or Region of Birth 出生国家 (地区)
c) City of Birth 出生城市
d) Date of Birth 出生日期
e) Full Residence Address 完整的居住地址
f) Country or Region 国家 (地区)
g) Tax Residency Information
This Controlling Person is only Tax Resident in the country or region in which the account is being opened or 此控制人仅是账户开户地所在国家 (地区) 的纳税居民, 或者
I have included below all countries or regions in which the Controlling Person is Tax Resident (other than the country or region of account opening)
以下为本入作为纳税控制人所在的所有国家 (地区) (除账户开户国 (地区) 之外)

STEP 2 步骤 2 ENTITY ACCOUNT HOLDER DECLARATION AND SIGNATURE: I certify that: 机构账户持有人声明与签名: 兹证明:

1. I am authorised to sign for the Account Holder/Controlling Person(s). 本人被授予作为账户持有人或控制人签字。
2. I have provided true, correct and complete information. 本人提供的信息属真实、正确、完整。
3. I have consulted an independent advisor where necessary and acknowledge that ANZ does not provide any advice.
本人已咨询独立的顾问 (如果有必要), 并承认 ANZ 没有提供任何建议。
4. I understand that provision of false, inaccurate or incomplete information may constitute an offence(s) and penalties may apply.
本人明白提供虚假、不准确或不完整的信息可能构成犯罪, 并且会遭到处罚。
5. I have obtained the necessary consent and authorisation to allow disclosure and use of the information provided in this Self-Certification (including Annexure A to this Self Certification). 本人已经获得所需要的同意和授权, 允许公开和使用此份自我认证的信息 (包括此份自我认证的附录 A)。
6. I will notify ANZ of changes to any information within 30 days of the change occurring and, where required, will provide ANZ with a new Self-Certification. 本人变更任何信息后会在 30 天内通知 ANZ, 如有需要会向 ANZ 提供一份新的自我认证。
7. I will provide ANZ with any additional information and/or documentation as requested. 本人将依照要求向 ANZ 提供任何其他信息和/或文件。
8. I have provided/will provide the applicable documents (eg. Power of Attorney / Form W). 本人已经提供/将提供相关文件 (例如委托书或表格 W)。