中国银河国际控股有限公司
CGS International Holdings Limited

香港上環干諾道中111號永安中心20樓
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20th Floor, Wing On Centre,111 Connaught Road Central, Sheung Wan, Hong Kong
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Self-Certification Form – Individual/Joint Account
(Applicable to Automatic Exchange of Financial Account Information ("AEOI") and Foreign Account Tax Compliance Act ("FATCA")

To: China Galaxy International Securities (Hong Kong) Co., Limited ("Galaxy International Securities")
China Galaxy International Futures (Hong Kong) Co., Limited ("Galaxy International Futures")

A. Certification of Account Status:

Please complete the following information for individual and/or joint account. Please note that in the case of a joint account, each client is required to complete a separate self-certification form.

Important Notes:

- This is a self-certification form provided by an account holder to Galaxy International Securities and/or Galaxy International Futures for the purpose of automatic exchange of financial account information. The data collected may be transmitted by Galaxy International Securities and/or Galaxy International Futures to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- An account holder should report all changes in his/her tax residency status or other information (if necessary) to Galaxy International Securities and/or Galaxy International Futures as soon as practicable.
- All parts of this form must be completed (except for those not applicable or otherwise specified). If there is not enough space, you may provide your information on additional sheet(s). Information in fields/parts marked with an asterisk (*) are required to be reported by Galaxy International Securities and/or Galaxy International Futures to the Inland Revenue Department.

Part 1 Identification of Individual Account Holder *

Name in English:	_____ Last name/Surname; First/Given Name	Name in Chinese:	_____
Hong Kong ID Card/Passport No.:		Date of Birth: (dd/mm/yyyy):	
Current Residence Address:	Line 1 (e.g. Suite, Floor, Building, Street, District): Line 2 (City): Line 3 (e.g. Province, State): Country: Post Code/ZIP Code:		
Mailing Address: (if different from the above)	Line 1 (e.g. Suite, Floor, Building, Street, District): Line 2 (City): Line 3 (e.g. Province, State): Country: Post Code/ZIP Code:		

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Part 2 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") *

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a **resident for tax purposes**; and (b) the account holder's TIN for each jurisdiction. Indicate **all** (not restricted to five) jurisdictions of residence.

If the account holder is a tax resident of Hong Kong the TIN is the Hong Kong Identity Card Number. If a TIN is unavailable provide the appropriate reason A, B or C.
Reason A - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.
Reason B - The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.
Reason C - TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

Jurisdiction of Residence	TIN	Enter Reason A, B or C if no TIN is available	Explain why the account holder is unable to obtain a TIN if you have selected Reason B
1.			
2.			
3.			

Part 3 Due Diligence for Citizenship / Residency by Investment

Complete Part 3 if you have listed only one "Jurisdiction of Tax Residence" in Part 2 AND that jurisdiction is included in the list below[1]

Citizenship by Investment (CBI) and Residence by Investment (RBI) programs are being offered by a substantial number of jurisdictions and allow foreign individuals to obtain citizenship or temporary or permanent residence rights based on a local investment for a flat fee. Under Section VII of the CRS, financial institutions are required to perform additional due diligence for any individual or controlling person(s) opening an account in a participating CRS jurisdiction where the sole tax residence on the CRS self-certification form is a CBI or RBI jurisdiction (per the OECD list)[1].

[1] Jurisdictions as of 4Q2020: Antigua and Barbuda, Bahamas, Bahrain, Barbados, Cyprus, Dominica, Grenada, Malta, Saint Kitts and Nevis, Saint Lucia, Seychelles, Turks and Caicos Islands, United Arab Emirates (UAE), and Vanuatu.

1. Did you obtain residence rights under a CBI / RBI scheme? Yes ❑ No ❑
2. Do you hold residence rights in any other jurisdiction(s)? Yes ❑ No ❑
3. Have you spent more than 90 days in any other jurisdiction(s) during the previous year? Yes ❑ No ❑

4. In which jurisdiction(s) have you filed personal income tax returns during the previous year? _____

If you answered "Yes" to any of the above questions, please update Part 2 – Jurisdiction of Tax Residence and related Taxpayer Identification Number (TIN) or equivalent reflecting the above resulting jurisdictions or provide a reasonable explanation of why the jurisdiction is not a tax residency.

Part 4 U.S. Foreign Account Tax Compliance Act (FATCA)*

Disclaimer:
- The account holder is advised to refer to the US IRS website (http://www.irs.gov/) for details in respect of FATCA.
- The account holder shall be fully responsible for the confirmation of his/her/its FATCA status and other information submitted hereunder.
- The account holder shall ensure the information given and statements made in this form are true, correct and complete, Galaxy International Securities and/or Galaxy International Futures shall not be liable for any errors or loss that results from such information and statements.
- Galaxy International Securities and/or Galaxy International Futures unable to offer any tax or legal advice to the account holder. For any related question, the account holder is advised to consult his/her/its tax and legal advisors

Please tick either (1) or (2) or (3) and complete as appropriate:

1. ❑ I confirm that I am a U.S. citizen and/or resident in the U.S. for tax purposes (Green Card Holder or resident under the substantial presence test[#].

   Please enter TIN (i.e. social security number): ☐☐☐-☐☐-☐☐☐☐ and provide Form W-9.)
2. ❑ I confirm that I was born in the U.S. (or U.S. territory) but am no longer a U.S. citizen as I have voluntarily surrendered my citizenship as evidenced by the Certificate of Loss of Nationality of the United States.
3. ❑ I confirm that I am not a U.S. citizen or resident in the U.S. for tax purposes.

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#The substantial presence test is generally met with respect to any calendar year if (a) the individual is present in the U.S. at least 31 days during such year; and (b) the sum of the number of days in which such individual is present in the U.S. during such year, 1/3 of the number of each days during the first preceding year, and 1/6 of the number of such days during the second preceding year, equals or exceeds 183 days.

B. Declarations and Signatures:

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by Galaxy International Securities and/or Galaxy International Futures for the purpose of automatic exchange of financial account information; and (b) such information and information regarding the account holder and any reportable account(s) may be reported by Galaxy International Securities and/or Galaxy International Futures 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 account holder 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).

I acknowledge and agree that Galaxy International Securities and/or Galaxy International Futures needs to report certain information (including but not limited to the information of U.S. shareholder of the account holder) to the IRS in order to comply with FATCA.

I certify that I am the Account Holder (or am authorized to sign for the Account Holder) of all the account(s) to which this form relates.

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

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.

Signature: _____ Date : _____

Print Name: _____ Capacity: (if applicable) _____
(Indicate the capacity if you are not the individual identified in Part 1. If signing under a power of attorney, attach a certified copy of the power of attorney.)

Note: If you are not the Account Holder but are signing this form on behalf of the Account Holder, please indicate the capacity in which you are signing the form (e.g., power of attorney, executor or administrator, parent or guardian) and provide any required documentation of your authority.

WARNING:

For the purpose of AEOI, 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. HK$10,000).

Please complete this self-certification form carefully. Please refer to the information on the website of Hong Kong Inland Revenue Department http://www.ird.gov.hk/eng/tax/dta_aeoi.htm or the website of OECD http://www.oecd.org/tax/automatic-exchange/ or US IRS website http://www.irs.gov/ and consult your tax, legal and/or other professional advisers if you have any questions on or in relation to AEOI, FATCA, any of the U.S. IRS form (including which U.S. IRS form to complete and submit) or this self-certification form.

For Official Use Only			A/C No.:
S.V.	Inputted by	Checked by	
			❑ No Futures ❑ No Stock Options ❑ No Sub-Account

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Appendix 1

Explanation Note for Foreign Address/Phone Number And Tax Residence

Applicable if the customer maintains a foreign address/phone number
in a country which is not one of the customer's tax residencies OR
the jurisdiction related to Part 4 is not a tax residence holder's tax residencies)

Name of account holder: _____ Account Number (if applicable) _____

I confirm that I am not a Tax Resident of _____due to the following reason(s):

(Indicate jurisdiction/country)

_____

_____

_____

_____

_____

_____

_____
Signature

_____
Date

_____
Print Name

Capacity: (if applicable) _____
(Indicate the capacity if you are not the individual identified in Part 1. If signing under a power of attorney, attach a certified copy of the power of attorney.)