

ENTITY SELF-CERTIFICATION (FOR AUTOMATIC EXCHANGE OF INFORMATION) 實體自行認證表 (用於資訊自動交流)



NOTE: Please complete the form using English characters. / 請用英文字母填寫表格。

This form is to be used in the event an Entity is opening or currently holds a relevant Financial Account in Australia.
本表適用於即將在澳洲或已在澳洲持有相關金融帳戶的實體。

Before you begin:

開始前：

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 (AEOI) may include the Foreign Account Tax Compliance Act (FATCA) and the Common Reporting Standard (CRS).

稅法規定，ANZ及其受控實體(「ANZ」)應收取實體/控制人自行認證表，表中需說明實體狀態及稅務居民狀態。ANZ可能需向相關稅務部門提供資訊(包括未提供有效自行認證表的情況)。「資訊自動交流」(簡稱AEOI)可能包括《外國帳戶稅務合規法》(簡稱FATCA)和《共同申報準則》(簡稱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.
(a) **填寫自行認證表：**填寫人應為實體(包括其他所有非個人)帳戶持有人。若為聯合或多個帳戶持有人，每一實體均須單獨填寫一份自行認證表。
- (b) **Refer** to the Australian specific terms/information obtainable from www.anz.com/aeoi.
(b) **請對照**澳洲具體條款/資訊，可前往www.anz.com/aeoi查閱。
- (c) **Obtain** tax/legal/other professional advice (if required) **before** you complete this Self-Certification and sign Step 4.
(c) **請事先徵詢**稅務/法律/其他專業意見(若有需要)，然後填寫自行認證表並簽署第4步。

Once completed mail to:
填完後，請郵寄至：

ANZ
AEOI Documents
Reply Paid 89576
SOUTH MELBOURNE VIC 3205
澳洲

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

第1步 實體帳戶持有人資訊：若實體不是帳戶持有人，請確保由帳戶持有人填寫自行認證表

1.1 Name of Entity Account Holder

1.1 實體帳戶持有人名稱

1.2 Primary Nature of Business

1.2 主要業務性質

1.3 Country of incorporation, organisation or establishment

1.3 公司、組織或機構成立所在國

1.4 Registered Office Address

1.4 註冊辦公住址

Street Address

街道地址

City/Town

市/鎮

(Alternatively, your Principal Place of Business or Other Physical Address. Do not provide a PO Box Address)

Province/State

省/州

Post Code

郵政編碼

Country

國家

(或者主要營業地址或其他實際所在位址。

請勿提供郵政信箱地址)

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

第2步 實體帳戶持有人類型：請在三種實體狀態中選擇一種：非金融實體(簡稱NFE)、豁免實體，或金融機構(簡稱FI)。填寫即聲明實體帳戶持有人符合所選狀態的條件

Non-Financial Entity 非金融實體

Please check one applicable option across (a) OR (b) and go to Step 3:
請勾選(a)或(b)中適用的一項，然後跳至第3步：

OR

或

(a) Active NFE: / (a) 主動NFE：

Active NFE (by **income/assets**):

主動NFE(按**收入/資產**):

During the preceding calendar year or other appropriate reporting period, the Entity:
在上一日歷年或其他適當的報告期內，實體：

1. Derived less than 50% of its gross income from passive sources; AND
1. 從被動收入源獲得的收入未達到總收入的50%；且
2. Held less than 50% of assets that produced or were held for production of passive income.
2. 產生或用於產生被動收入的持有資產低於總資產的50%。

Holding Company or Treasury Centre (that is a member of a non-financial group)

控股公司或庫務中心(指的是非金融集團的成員)

Start-Up Company / 初創公司

Entity in Liquidation or Bankruptcy / 清算或破產中的實體

Tax Exempt Non-Profit Organisation / 免稅非營利組織

(b) Passive NFE: / (b) 被動NFE：

Passive NFE / 被動NFE

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.
請填寫附件A及自行認證表餘下部分。若實體達到的FATCA狀態/豁免狀態並未在自行認證表上提供選項，請提供相關表格W。

Exempt Entity 豁免實體

If the qualifying conditions are met, please check one box below and go to Step 4:
若符合條件，請在下方勾選一項，然後跳至第4步：

OR

或

Publicly Traded NFE

上市NFE

A Corporation that is not an FI, AND the stock of which is regularly traded on an Established Stock Exchange Publicly Traded NFE
非FI且股票在成熟證交所日常交易的公司

Related Entity of Publicly Traded NFE. Provide the name of the Related Publicly Traded NFE:
上市NFE的關聯實體。請提供關聯上市NFE的名稱：

Central Bank / 中央銀行

Government Entity / 政府實體

International Organisation / 國際組織

Entity wholly owned by a Central Bank, Government Entity or International Organisation

中央銀行、政府實體或國際組織全資擁有的實體

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OR 或

Financial Institution 金融機構		Please complete the Entity's CRS FI Status AND FATCA FI or Foreign FI (FFI) status below and go to Step 4: 請在下文填寫實體的CRS FI狀態和FATCA FI狀態或外國FI(簡稱FFI)狀態，然後跳至第4步：	
CRS status CRS狀態	Depository/Custodial Institution or Specified Insurance Company 存款/託管機構或特定保險公司	Managed Investment Entity / 管理投資實體 <input checked="" type="checkbox"/> If not tax resident in a Participating CRS country: / 若不是CRS參與國的稅務居民： • complete Annexure A and / 請填寫附件A，以及 • the rest of this Self-Certification including Step 3 / 自行認證表餘下部分，包括第3步	
	Investment Entity – Other 投資實體——其他		
FATCA status FATCA狀態	GIIN provision: 提供GIIN： Reporting Model 1 FFI / 申報模式1的FFI Registered Deemed Compliant FFI / 註冊視作合規的FFI Trustee Documented Trust / 受託人記錄的信託 The Entity GIIN is: / 實體GIIN是：	Reporting Model 2 FFI / 申報模式2的FFI Participating FFI / 參與協議的FFI Sponsored FFI / 受贊助的FFI or: / 或： GIIN has been 'applied for' / 已「申請」GIIN	
	GIIN not available: 無GIIN： Pension/Retirement/Super Fund (meets FATCA exemption requirements) / 養老金/退休金/公積金(符合FATCA豁免要求) Non-Reporting IGA FFI / 非申報IGA的FFI Territory FI / 美國屬地FI Other FI/Certified Deemed Compliant FFI - provide FATCA Status: / 其他FI/認證視作合規的FFI——提供FATCA狀態：	Non-Participating FFI / 未參加協議的FFI Owner Documented FFI (Provide Form W-8) / 擁有人記錄的FFI(提供表W-8) United States FI / 美國FI	

STEP 3. ENTITY ACCOUNT HOLDER TAX RESIDENCE(S): IF THE THIRD CHECK BOX BELOW IS SELECTED, ALSO COMPLETE INFORMATION IN THE TABLE; 第3步 實體帳戶持有人稅務居民狀態：若選擇下方第三項，請在其下表格填寫；

Please check **one** applicable option below:
請勾選下方適用的一項：

the Entity is **only** Tax Resident in Australia
實體只在澳洲是稅務居民

the Entity has no residency for tax purposes and its place of effective management or jurisdiction in which its principal/registered office is located is:
實體不是稅務居民，其主要/註冊辦公場所的有效管理所在地或轄區是：

I have included below all countries in which the Entity is Tax Resident (**other than Australia**)
請在下方列出實體為稅務居民的所有國家(澳洲除外)

Country of Tax Residence (Do not include Australia) 稅務居民國 (澳洲除外)	Tax payer identification number (TIN) (or country equivalent) 納稅人識別碼(TIN) (或該國等同代碼)	Reason Code (if TIN not provided) (若未提供TIN) 原因代碼	Explanation (only if Reason code is "Z") 若原因代碼為Z，請說明

For United States Country of Tax Residence only, provide your 'Exemption from FATCA Reporting Code' as per IRS Form W-9 (if applicable)
僅限美國稅務居民：請根據IRS表W-9提供「FATCA申報豁免代碼」(若適用)

Exemption from FATCA Reporting Code:
FATCA申報豁免代碼：

Reason Codes: (if TIN not provided) **A** TIN Not Issued (The Country does not issue TINs.) **Z** TIN Unobtainable (I am unable to obtain a TIN)
B TIN Not Required (The Country does not require collection of a TIN) **C** TIN Applied For (I have applied for a TIN and will inform you upon receipt)
原因代碼：(若未提供TIN) **A** 不簽發TIN (該國不簽發TIN) **Z** 無法取得TIN (我無法取得TIN)
B 無需TIN (該國不要求收集TIN) **C** 已申請TIN (我已申請TIN，並會在收到後通知)

STEP 4. ENTITY ACCOUNT HOLDER DECLARATION AND SIGNATURE: I CERTIFY THAT: 第4步 實體帳戶持有人聲明與簽字：茲證明：

- | | |
|--|--|
| 1. I am authorised to sign for the Account Holder/Controlling Person(s). | 1. 我已獲授權代表帳戶持有人/控制人簽字。 |
| 2. I have provided true, correct and complete information. | 2. 我已提供真實、準確、完整的資料。 |
| 3. I have consulted an independent advisor where necessary and acknowledge that ANZ does not provide any advice. | 3. 我已在必要時諮詢了獨立顧問，並在此申明ANZ未提供任何意見。 |
| 4. I understand that provision of false, inaccurate or incomplete information may constitute an offence(s) and penalties may apply. | 4. 我已知悉，若提供不實、不準確或不完整的資料，可能構成違法行為，並可能招致處罰。 |
| 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). | 5. 我已取得必要的許可和授權，允許披露和使用本自行認證表(包括自行認證表附件A)所提供的資料。 |
| 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. | 6. 我會在資料發生變化後30日內通知ANZ，並會在需要時向ANZ提供新的自行認證表。 |
| 7. I will provide ANZ with any additional information and/or documentation as requested. | 7. 我會根據要求向ANZ提供補充資料和(或)文件。 |
| 8. I have provided/will provide the applicable documents (eg. Power of Attorney / Form W). | 8. 我已提供或將會提供相關文件(如授權委託書/表W)。 |

Signature 簽名	Print name 清楚書寫姓名	Date 日期
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

**(Please also provide documentary evidence of the capacity to sign)
(請同時提供簽名權限的證明文件)**

Office Use Only / 限本行填寫