

## 宏利證券投資信託股份有限公司 CRS個人客戶自我聲明書

### CRS Individual Self-Certification

註：若您具有非僅臺灣之稅籍，請以英文填寫此份聲明書。

Note: Please fill in this self-certification in English if you have any tax residency outside Taiwan.

#### 第一部分:稅籍聲明 Part I : Taiwan Tax Resident

1.  本人僅為臺灣之稅務居民。(請繼續填寫第二部分)

I am only a Taiwan tax resident.

2.  本人不為或不僅為臺灣稅務居民。(請以英文繼續填寫第二及第三部分)

I am not or not only a Taiwan tax resident. ※Please fill in this self-certification in English

#### 第二部分: 帳戶持有人基本資料 Part II : Account Holder Information

同申請文件資料，以下免填 (※限第一部份聲明僅為臺灣之稅務居民且新開戶者勾選※)

A. 姓名 Full Name: (英文姓名請以護照/居留證姓名為準 Please fill in the name in the passport / resident certificate)

\_\_\_\_\_

B. 身分證字號 / 統一證號 ID / Uniform ID Numbers : \_\_\_\_\_

C. 居住地址/戶籍地址(請勿留存郵政信箱或送達代收地址) : Residence Address (Do not use a P.O. box or an in-care-of address)

\_\_\_\_\_

(國家 Country)

\_\_\_\_\_

(地址 Address)

D. 出生資訊 Birth Information:

出生日期 Date of Birth : \_\_\_\_\_ 年(YYYY) \_\_\_\_\_ 月(MM) \_\_\_\_\_ 日(DD)

出生地 Place of Birth : 城市 City : \_\_\_\_\_ 國家 Country : \_\_\_\_\_

#### 第三部分:稅籍 Part III : Tax Residence(s)

A-我所屬的稅務國家並無發給稅籍編號予其稅務居民。The jurisdiction where I am the resident does not issue TINs to its residents.

B-我無法取得稅籍編號或類似編號。(若選填此項者，請解釋無法取得稅籍編號之原因) I am 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)

C-無需提供稅籍編號。(僅針對所填寫之稅籍國家規定無需揭露稅籍編號時，才能選填此項) No TIN is required. (Note. Only select this reason if the authorities of the jurisdiction entered below do not require the TIN to be disclosed)

稅籍國家 Country of tax residence	稅籍編號 Tax Identification Number	無法提供 TIN 者，請勾填原因 A、B(含原因)或 C If no TIN available, please enter Reason A, B (with explanation) or C
		<input type="checkbox"/> A <input type="checkbox"/> B 原因 reason : _____ <input type="checkbox"/> C
		<input type="checkbox"/> A <input type="checkbox"/> B 原因 reason : _____ <input type="checkbox"/> C
		<input type="checkbox"/> A <input type="checkbox"/> B 原因 reason : _____ <input type="checkbox"/> C

## 聲明及簽署 Declarations and Signature

本人知悉，本聲明書個人資料同意書所含資訊、相關帳戶持有人及任何應申報帳戶資訊，將可能提供中華民國稅捐稽徵機關，經由政府間協定進行稅務目的金融帳戶資訊交換，提供帳戶持有人為稅務居住者之國家/地區稅捐稽徵機關。I acknowledge that the information contained in this self-certification form and information regarding the Account Holder and any Reportable Account(s) may be provided to the tax authorities of the ROC and exchanged with tax authorities of another country(ies)/jurisdiction(s) in which the Account Holder may be a tax resident pursuant to intergovernmental agreements to exchange financial account information for tax purposes.

本人證明，與本聲明書相關之所有帳戶，本人為帳戶持有人(或本人業經帳戶持有人授權簽署本表)。

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

本人聲明，就本人所知所信，於本自我證明所為之陳述均為正確且完整。

I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete.

本人承諾，若爾後有任何 CRS 身分別變更之情事，以致影響本聲明書第一部分所述之個人稅務居住者身分，或所載資料不正確或不完整，本人會通知宏利投信，並在狀態變動後30日內提供宏利投信一份經適當更新之自我聲明書。

I undertake to advise Manulife Investment Management (Taiwan) Co., Limited of any change in circumstances which affects the CRS status of the individual identified in Part 1 of this self-certification form or causes the information contained herein to become incorrect or incomplete, and to provide Manulife Investment Management (Taiwan) Co., Limited with a suitably updated self-certification form within 30 days of such change in circumstances.

此致 宏利證券投資信託股份有限公司

To : Manulife Investment Management (Taiwan) Co., Limited

立書人簽名 (章) Signature : \_\_\_\_\_

簽署日期 Date : \_\_\_\_\_

以下僅限內部使用

經辦人員請勾選下列說明並簽章(單選必填)

若有發現稅籍國家可能不一致之情形，請進一步向客戶詢問聲明書是否已填寫確實、合理且完整。

如有進一步取得其他證明文件者，則請一併提供。

本人未發現上述身分聲明書所聲明之稅籍國家有不合理之情事。

稅籍有可能不一致之情形，但已向帳戶確認其所聲明之稅籍國家已填寫確實、合理且完整。

註：有可能不一致的情形列舉如下(但不限於下列情形)

- 身分證明文件或相關資料顯示可能為其他國家的稅務居民。
- 身分證明文件或相關資料顯示為其他國家的國籍或公民。
- 居住地址(戶籍地址)顯示為其他國家。

日期：\_\_\_\_\_

業務人員主管：\_\_\_\_\_

業務人員經辦：\_\_\_\_\_

**【附錄一】填表說明【Appendix I】Instruction**

金融機構執行共同申報及盡職審查作業辦法(下稱本辦法)規定,金融機構應蒐集及申報有關帳戶持有人稅務居住者身分之特定資訊。本辦法係依稅捐稽徵法第5條之1第6項訂定,其內容參考經濟合作暨發展組織發布之共同申報及盡職審查準則(下稱共同申報準則)。

Under the Regulations Governing the Implementation of the Common Standard on Reporting and Due Diligence for Financial Institutions (“Regulations”), Financial Institutions (“FIs”) are required to collect and report certain information about the Account Holder’s tax residency status. The Regulations are enacted pursuant to Paragraph 6, Article 5-1 of the Tax Collection Act and are drafted in reference to the Common Standard on Reporting and Due Diligence for Financial Account Information (CRS) developed by the Organization for Economic Cooperation and Development (OECD).

金融機構依本辦法規定取得帳戶持有人之自我證明文件,以辨識帳戶持有人為稅務居住者之國家/地區。金融機構依法可能將本表及該帳戶其他資訊提供中華民國稅捐稽徵機關,經由政府間協定進行稅務目的金融帳戶資訊交換,提供他方國家/地區稅捐稽徵機關。

Under the Regulations, FIs obtain a self-certification form from the Account Holder to determine the country(ies)/jurisdiction(s) in which the Account Holder is a tax resident. The FIs may be legally obliged to pass on the information in this form and other financial information with respect to the account to the tax authorities of the Republic of China (Taiwan) (“ROC”) and they may exchange this information with tax authorities of another country(ies)/jurisdiction(s) pursuant to intergovernmental agreements to exchange financial account information for tax purposes.

相關名詞解釋請詳附錄二。

Please refer to the Appendix II for definitions.

除立同意書人之稅籍出現變動外,此聲明書屬永久有效。

Except a change in circumstances relating to information of account holder’s tax status, this form will remain valid.

本公司作為一家金融機構,依法不得提供稅務或法律意見。As a financial institution, we are not allowed to give tax advice.

若您對此聲明書內容或所屬稅籍定義具有疑問,請聯絡您的稅務顧問或參照當地稅務機關發布之相關資訊。If you have any questions then please contact your tax advisor or refer to related information published by domestic tax authority.

**【附錄二】名詞解釋【Appendix II】Definitions**

注意：以下名詞解釋係協助您填寫此聲明書使用。若您對於下述名詞定義上有疑問,請與您的稅務顧問聯繫。

Note: The following selected definitions are provided to assist you with the completion of this form. If you have any questions about these definitions or require further detail, please contact your tax adviser.

**1. 帳戶持有人 Account Holder**

「帳戶持有人」指由管理金融帳戶之金融機構列為或辨識為持有該帳戶之人。金融機構以外之人,以代理人、保管人、被指定人、簽署人、投資顧問或中間人身分為他人利益持有金融帳戶者,該他人視為帳戶持有人。以一個家長與子女開立的帳戶為例,如帳戶以家長為子女的合法監護人名義開立,子女會被視為帳戶持有人。聯名帳戶內的每個持有人都被視為帳戶持有人。The term “Account Holder” means the person listed or identified as the holder of a Financial Account by the Financial Institution that maintains the account. A person, other than a Financial Institution, holding a Financial Account for the benefit or account of another person as agent, custodian, nominee, signatory, investment advisor, or intermediary, is treated as holding the account. For example in the case of a parent/child relationship where the parent is acting as a legal guardian, the child is regarded as the Account Holder. With respect to a jointly held account, each joint holder is treated as an Account Holder.

**2. 稅籍編號(包括具有同等功能的辨識編號)TIN (including “functional equivalent”)**

「稅籍編號」係指外國基於執行稅法之目的,辨識個人或實體之編號或具相當功能之辨識碼。稅籍編號是稅籍國家向個人或法人分配獨有的字母與數字組合,用於識別個人或法人的身分,以便實施該稅籍國家的稅務法律。有關可接受的稅務編號的更多詳細資訊刊載於經濟合作與發展組織的自動交換資料網站。

某些稅籍國家不發出稅務編號。但是,這些稅籍國家通常使用具有等同辨識功能的其他完整號碼(「具有等同功能的辨識號碼」)。此類號碼的例子包括,就個人而言,社會安全號碼/保險號碼、公民/個人身份/服務代碼/號碼,以及居民登記號碼。

The term “TIN” means a taxpayer identifying number issued by the authorities which can identify individuals or entities.

A TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual or an Entity and used to identify the individual or Entity for the purposes of administering the tax laws of such jurisdiction. Further details of acceptable TINs can be found at the OECD automatic exchange of information portal.

Some jurisdictions do not issue a TIN. However, these jurisdictions often utilize some other high integrity number with an equivalent level of identification (a “functional equivalent”). Examples of that type of number include, for individuals, a social security/insurance number, citizen/personal identification/service code/number, and resident registration number.