To: The Bank of East Asia, Limited東亞銀行有限公司

Self-Certification Form – Individual Account Holder¹

(For CRS)

Important Notes:

- Pursuant to the Inland Revenue Ordinance for implementation of the international standard on automatic exchange of financial account information in tax matters ("AEOI") and its Common Reporting Standard ("CRS") as promulgated by the Organisation for Economic Co-operation and Development ("OECD"), The Bank of East Asia, Limited 東亞銀行有限公司 (the "Bank") is required to apply due diligence procedures to identify an account holder's jurisdiction of tax residence and collect certain information with this self-certification form for the purpose of AEOI. You can find more information of the AEOI/CRS arrangement in the Hong Kong Special Administrative Region ("Hong Kong") at the website of the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region ("Hong Kong IRD") (https://www.ird.gov.hk/eng/tax/dta_aeoi.htm).
- Each jurisdiction has its own rules for defining tax residence, and various jurisdictions provide information on how to determine if you are resident in that particular jurisdiction for tax purposes. In general, you will find that your jurisdiction of tax residence is the country/jurisdiction in which you live. Special circumstances may cause you to be resident elsewhere or resident in more than one country/jurisdiction at the same time (dual residency) for tax purposes. For more information of tax residence, please consult your tax advisor or the information at the OECD automatic exchange of information portal (https://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/).
- If you (or the account holder, if you are completing the form on the account holder's behalf) are tax resident outside Hong Kong, the Bank may need to give Hong Kong IRD the information provided in this self-certification form and other financial information with respect to your or the account holder's (as the case may be) financial accounts, and such information may then be exchanged with the tax authorities of jurisdiction(s) in which you are or the account holder is (as the case may be) tax resident. If you or the account holder (as the case may be) submit(s) the self-certification form to the Bank after closing all financial account(s) with the Bank, the information as stated in the self-certification form will not be reflected in the previous reporting year(s).
- This self-certification form will remain valid unless there is a change in circumstances² relating to information, such as your or the account holder's (as the case may be) tax residency status or other mandatory field information that makes this self-certification form incorrect or incomplete. In that case, you must notify the Bank and provide a new self-certification form and/or documentary evidence within 30 days of such change in circumstances.
- Please fill in this self-certification form if you are an individual account holder, sole trader, or sole proprietor. For joint or multiple account holders, each individual account holder is required to complete a separate self-certification form. For sole proprietorship that is treated as an individual under CRS, please fill in this self-certification for the proprietor.
- Information in fields/parts marked with an asterisk (*) is required to be reported by the Bank to the Hong Kong IRD.
- Kindly note that the Bank is unable to offer any tax advice to customers. For tax-related questions, you should seek advice from professional tax advisors or refer to the website of the Hong Kong IRD.

Completion Instructions:

- 1. Please complete this form in English using BLOCK letters.
- 2. Please complete all parts of this form (unless not applicable or otherwise specified) and mark a "✓" in the appropriate checkbox(es).
- 3. If the space provided is insufficient, please continue on additional sheet(s).

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¹ The term "account holder" means the person listed or identified as the holder of a financial account by the Bank 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, intermediary, or legal guardian, is not treated as the account holder for the purposes of the CRS, and such other person is treated as the account holder. 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 The phrase "change in circumstances" means a situation when the CRS status of the person has been changed. A change in circumstances includes any change that results in the addition or removal of information relevant to a person's claim of tax residence status or otherwise conflicts with that person's claim of tax residence, which results in the Bank knowing or having reason to know that the original documentary evidence or other documentation previously obtained is incorrect or unreliable.

CRS Self-Certification Form – Individual Account Holder

Part 1 Identification of Individual Account Holder

(1)	Name of Account Holder:	☐ Mr. ☐ Miss ☐ Mrs. ☐ Ms.	☐ Mr. ☐ Miss ☐ Mrs. ☐ Ms. ☐ Other (Please specify)			
	Account Holder	Name in English				
		Surname*	Given Name*			
(2)	Identification Document Type and Number:	☐ Hong Kong Identity Card				
		Country / Region		_ Passport		
		Other Official Identification Docume				
		Number:				
(3)	Current Residence Address*:	For Hong Kong address				
		Flat / Room Floor	Block	Building / Estate		
		Phase No. / Name	Street No., Name and Other Information			
		District		☐ HK ☐ KLN	☐ NT ☐ Outlying Island	
		For non-Hong Kong address				
		Others				
		City Province	Province		Country / Region	
(4)	Mailing Address:	illing Same as the above Current Residence Address				
		Flat / Room Floor	Block	Building / Estate		
		Phase No. / Name	Street No., Name and Other Information			
				☐ HK ☐ KLN	☐ NT ☐ Outlying Island	
		District				
		For non-Hong Kong address				
		Others				
		City Province		Postal Code	Country / Region	
(5)	Date of Birth*:					

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

The table below indicates (a) ALL of the jurisdiction(s) of tax residence (including Hong Kong) where the account holder is a

resident for tax purposes and (b) the account holder's TIN for each jurisdiction indicated. 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, please also provide the appropriate reason A, B or C where indicated below: 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. (Please explain why the account holder is unable to obtain a TIN in the below table if you have selected this reason.) Reason C -TIN is not required. (Please select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.) (6.1)(6.2)(6.3)(6.4)Enter Reason A, B or C Explain why the account holder is unable to Jurisdiction of Tax Residence TIN if no TIN is available obtain a TIN if Reason B is selected (1) (2) (3) Part 3 Declarations and Signature I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the Bank for the purpose of AEOI, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the Bank to the Hong Kong IRD 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 certify that \square I am the account holder / \square I am authorised to sign for the account holder (please mark a "🗸" in the appropriate checkbox) of all the account(s) to which this form relates. I undertake to advise the Bank of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide the Bank with a suitably updated self-certification form within 30 days of such change in circumstances. 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: (Please use the signature on record at the Bank) Name of Signer (in English): Given Name Surname (8) If you are not the account holder identified in Part Capacity: 1 of this form, please complete this field to indicate the capacity in which you are signing the form. If signing under a power of attorney, please attach a certified copy of the power of attorney. (9) Date: DD MM YYYY

Note: In case of any discrepancy between the English and Chinese version of this form, the English version shall prevail.

WARNING: 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).