

CRS 自我證明表

Self-Certification Form

壹、說明 Notes：

- 一、陽信商業銀行股份有限公司(以下簡稱「本公司」)依我國「金融機構執行共同申報及盡職審查作業辦法」(以下簡稱CRS)，應蒐集及申報有關帳戶持有人/具控制權之人稅務居住者身分之特定資訊，並於西元2019年1月1日起開始正式進行相關措施以符合CRS (CRS相關資訊，請詳財政部網站專區(首頁>服務園地>國際財政服務資訊>稅務用途資訊交換(含金融帳戶資訊))。
- From January 1, 2019, our company is required to collect and report relevant information about the Account Holder's/Controlling Person's tax residency status to comply with the Common Reporting Standard (CRS) announced by the Ministry of Finance (MOF) on November 16, 2017.
- 二、為遵循CRS，本公司需請 台端/貴公司填寫CRS自我證明文件，以辨識 台端/貴公司是否為其他國家之稅務居民，以作自動交換金融帳戶資料用途。若台端/貴公司屬其他應申報國家稅務居民，本公司將依我國主管機關之要求，將台端/貴公司相關資訊轉交予我國主管機關，我國主管機關會將資料轉交至台端/貴公司所屬稅務居民國之稅務機關。
- To comply with CRS, please fill this form to determine if you are a tax resident of the other countries/jurisdictions for the use of automatic exchange of financial account information. If you are a tax resident of a reportable jurisdiction, our company is obliged to pass the information with respect to your account to the tax authorities of the Republic of China (Taiwan, ROC), who will then exchange this information with the tax authorities of the reportable jurisdiction.
- 三、如對判定稅務居民身分有任何疑問，請瀏覽 OECD 網站 www.oecd.org/tax/automatic-exchange/ 或諮詢專業稅務顧問。
- If you have any questions about the determination of your tax residency, please refer to the OECD website: www.oecd.org/tax/automatic-exchange/ or consult with your tax consultant for advice.

貳、帳戶持有人及具控制權之人身分辨識資料 Identification of Individual Account Holder and Controlling Person

(若屬聯名帳戶或多人聯名帳戶，各帳戶持有人應分別填寫自我證明表。)

(For joint or multiple Account Holders, complete a separate form for each Account Holder.)

★本人是否具外國稅務居民身分：<input type="checkbox"/>是 YES <input type="checkbox"/>否 NO Are you a tax resident of other country(ies)/jurisdiction(s)?							
基本資料 (*若具有其他國家或地區稅務居民身分，請提供英文姓名) (*If you are a tax resident of other country(ies)/jurisdiction(s), please provide the name in English)							
帳戶持有人/ 具控制權之 人 Account Holder/ Controlling Person	中文姓名 Name in Chinese						
	*英文姓名 *Name in English	First or Given Name		Middle Name(s)		Family Name or Surname(s)	
實體或分支 機構之法定 名稱 Legal Name of Entity or Branch	中文名稱 Name in Chinese						
	*英文名稱 *Name in English						
身分證字號、統一編號、統 一證號 ID Number, Business Administration Number							

組織、設立或成立所在地之 國家/地區(國籍代號) Country/Jurisdiction of Organization, Incorporation or Establishment	
現行戶籍地址 Permanent Address	地址 Address
	國家/地區 Country/Jurisdiction
	郵遞區號 Post Code
通訊地址 Mailing Address <input type="checkbox"/> 與現行戶籍地址相同 Same as Permanent Address	地址 Address
	國家/地區 Country/Jurisdiction
	郵遞區號 Post Code
出生日期(年月日) Date of Birth(yyyy/mm/dd)	

參、實體類型 Entity Type

(請擇一勾選並提供相關資訊。)

(Tick one of the appropriate boxes and provide the relevant information.)

金融機構 Financial Institution	<input type="checkbox"/> A1 存款機構、保管機構或特定保險公司 Depository Institution, Custodial Institution or Specified Insurance Company <input type="checkbox"/> A2 投資實體(不含由另一金融機構管理,且非位於應申報國或參與國之投資實體) Investment Entity, except an Investment Entity that is managed by another Financial Institution and located outside a Reportable Jurisdiction or a Participating Jurisdiction
積極非金融機構實體 Active Non-Financial Entity ("NFE")	<input type="checkbox"/> B1 於前一會計年度之股利、利息、租金、權利金、金融資產交易增益、貨幣匯兌增益或其他非積極營業活動產生收入之合計數未達收入總額百分之五十,且於該期間內持有用於取得該非積極營業活動收入之資產,未達其資產總額百分之五十。 Less than 50% of the NFE's gross income for the preceding calendar year, including the dividends, interests, rental, premium, gain on financial assets trading, gain on monetary exchange or other appropriate reporting period is passive income and less than 50% of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income. <input type="checkbox"/> B2 所發行之股票於經認可證券市場 經常性交易者 或其關係實體 (請擇一勾選並提供相關資訊): The outstanding stock of the NFE or its related entity is regularly traded on an established securities market (Please select one and provide the related information): <input type="checkbox"/> 立約人所發行之股票經常在_____ (經認可證券交易市場) 交易 The stock of the contracting party is regularly traded on _____, which is an established security market. <input type="checkbox"/> 立約人為_____之關係實體,該關係實體所發行之股票經常在_____ (經認可證券交易市場) 交易 The contracting party is a related entity of _____, the stock of which is regularly traded on _____, which is an established securities market. <input type="checkbox"/> B3 政府實體、國際組織、中央銀行或由該等實體完全持有之實體。 The NFE is a Governmental Entity, an international organization, a central bank, or an

	<p>Entity wholly owned by one or more of the foregoing Entities.</p> <p><input type="checkbox"/> B4 主要活動係持有子公司已發行股票或對其提供融資服務，且該子公司係從事金融機構業務以外之交易或商業行為，但不包括其功能為投資基金或其他基於投資目的以收購或挹資方式持有公司股權作為資本資產之投資工具。 Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an Entity does not qualify for this status if the Entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes.</p> <p><input type="checkbox"/> B5 組織設立未滿二十四個月且未曾營運者，為從事金融機構以外業務所需資產投入資本。 The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE does not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE.</p> <p><input type="checkbox"/> B6 前五年非屬金融機構，且正進行清算或重整程序者。 The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution.</p> <p><input type="checkbox"/> B7 主要活動係與其關係實體或為其關係實體從事融資或避險交易，且未對非關係實體提供融資或避險服務。前述關係實體以主要從事金融機構以外業務者為限。 The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution.</p> <p><input type="checkbox"/> B8 專為宗教、公益、科學、藝術、文化、運動或教育之目的而於其所在國家或地區設立及營運者；或於其所在國家或地區設立及營運，且為專業組織、企業聯盟、商會、工會組織、農業或園藝組織、公民聯盟或專為促進社會福利之組織；且符合下列所有條件： The NFE is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organization, business league, chamber of commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare; and meets all of the following requirements:</p> <ol style="list-style-type: none"> I. 於其所在國家或地區免納所得稅者； It is exempted from income tax in its country/jurisdiction of residence; II. 股東或成員對其所得或資產不得主張所有權或受益權； It has no shareholders or members who have a proprietary or beneficial interest in its income or assets; III. 依其所在國家或地區適用之法律或其設立文件規定，除為執行慈善活動，或為給付合理勞務報酬或財產公市價之價金外，不得分配所得或資產或贈與利益予私人或非慈善性質實體；及 The applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or
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	<p>applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and</p> <p>IV. 依其所在國家或地區適用之法律或其設立文件規定，清算或解散時應將賸餘財產分配與政府實體或其他非營利組織，或歸屬其所在國家或地區之各級政府。</p> <p>The applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a Governmental Entity or other non-profit organization, or escheat to the government of the NFE's jurisdiction of residence or any political subdivision thereof.</p>
<p>消極非金融機構實體 Passive NFE (若勾選此項，請填寫 附錄一) (if this option is select- ed, please complete the Appendix1)</p>	<p><input type="checkbox"/> C1 由另一金融機構管理，且非位於應申報國或參與國之投資實體 Investment Entity that is managed by another Financial Institution and located outside a Reportable Jurisdiction or a Participating Jurisdiction</p> <p><input type="checkbox"/> C2 非金融機構實體不屬於積極非金融機構實體者 NFE that is not an Active NFE</p>

肆、稅務居住者之國家/地區及其稅務識別碼或具相當功能之辨識碼（“稅務識別碼”）

Country/Jurisdiction of Residence for Tax Purposes and related Taxpayer Identification Number or functional equivalent number (“TIN”)

請於下表填寫帳戶持有人/具控制權之人/實體帳戶持有人為稅務居住者之國家/地區，及於該國家/地區稅務識別碼。

【帳戶持有人/具控制權之人如同時為2個以上國家/地區稅務居住者，請填寫所有其為稅務居住者之國家/地區。】

Complete the following indicating the country/jurisdiction where the Account Holder/Controlling Person/Entity Account Holder is a tax resident and the Account Holder's /Controlling Person's TIN for each country/jurisdiction indicated. If the Account Holder/Controlling Person is a tax resident in more than one country/jurisdiction at the same time, please indicate all countries/jurisdictions of tax residence.

填列說明如下：

The instructions to complete as follows:

如帳戶持有人/具控制權之人為中華民國稅務居住者，填列稅務識別碼如下：

If the Account Holder/Controlling Person is a tax resident of the ROC, his or her TIN is as follows:

- 具身分證字號者為**身分證字號**(10碼，由內政部戶政司編配)。
National ID Card Number (a 10-digit code issued by the Department of Household Registration, Ministry of the Interior)
- 具統一證號者為**統一證號**(10碼，由內政部移民署編配)。
Uniform ID Number (a 10-digit code issued by the National Immigration Agency, Ministry of the Interior)
- 個人無身分證字號或統一證號者，以**現行稅務識別碼**(大陸地區人民為9+西元出生年後2碼及出生月日4碼；其餘情形為西元出生年月日8碼+護照顯示英文姓名前2字母2碼)方式編配。(例如：David Caruso 出生於1985年10月25日，其稅務識別碼為19851025DA)

The current Taxpayer Code Number for those who have neither National ID Card Number nor Uniform ID Number is assigned as follows: Mainland China citizens are coded as 9+yy+mm+dd (for example born on October 25, 1985, the code would be 9851025); for other foreigners, yyyy+mm+dd + the first two letters of his or her English name in order printed on his or her passport. (for example, the code for David Caruso born on October 25, 1985, would be 19851025DA)

如實體帳戶持有人為中華民國稅務居住者，填列**統一編號**(8碼，由公司、商業登記主管機關或稅籍登記所轄稅捐稽徵機關編配)。

If the Entity Account Holder is the tax resident of the ROC, the TIN is the Business Administration Number (8 digit number issued by the authorities in charge of corporation or business registration or by the tax authorities in charge of tax registration).

如帳戶持有人並非任何國家/地區稅務居住者(如透視實體)，請敘明，並填寫其實際管理處所在地國家/地區。
If the Account Holder is not a tax resident in any country/jurisdiction (e.g. fiscally transparent entity), please indicate that and provide the country/jurisdiction in which its place of effective management is situated.

如無法提供稅務識別碼，於下列欄位填寫適用之理由 A、B 或 C：

If a TIN is unavailable, provide the appropriate reason A, B or C where appropriate:

理由 A – 帳戶持有人/具控制權之人為稅務居住者之國家/地區未核發稅務識別碼

Reason A – The country/jurisdiction where the Account Holder/Controlling Person is a tax resident does not issue TINs to its residents.

理由 B – 帳戶持有人/具控制權之人無法取得稅務識別碼(請說明帳戶持有人/具控制權之人無法取得稅務識別碼原因)

Reason B – The Account Holder/Controlling Person is unable to obtain a TIN. Explain why the Account Holder/Controlling Person is unable to obtain a TIN if you have selected this reason.

理由 C – 帳戶持有人/具控制權之人毋須提供稅務識別碼(限於該帳戶持有人/具控制權之人為稅務居住者之國家/地區國內法未要求蒐集稅務識別碼)

Reason C – TIN is not required. Only select this reason if the domestic law of the relevant country/jurisdiction of tax residence does not require the collection of TIN.

稅務居住者之 國家/地區 Country/Jurisdiction of tax residence	稅務識別碼 TIN	若無法提供稅務識別碼， 填寫理由 A、B 或 C Enter reason A, B or C if no TIN is available	如選取理由 B，說明帳戶持有人/具控制權 之人無法取得稅務識別碼之原因 Explain why the Account Holder /Controlling Person is unable to obtain a TIN if you have selected reason B

伍、具控制權之人類型 Type of Controlling Person (帳戶持有人免填)

(下表若不敷使用請自行影印填寫。)

就具控制權之人對實體之控制類型，擇一勾選適當類型

Tick the appropriate box to indicate the type of Controlling Person for the Entity stated.

實體類別 Entity Type	具控制權之人類型 Type of Controlling Person	實體名稱: Entity:
法人 Legal Person	直接或間接持有實體之股份、資本或權益超過25%者 Individual who exercises control over an Entity owning directly or indirectly more than 25 percent of the Entity's shares, capital, or equities	<input type="checkbox"/>
	透過其他方式對該實體行使控制權者 Individual who exercises control over the Entity through other means.	<input type="checkbox"/>
	該實體之高階管理人員 Individual who holds the position of senior managing official.	<input type="checkbox"/>
信託 Trust	委託人 Settlor	<input type="checkbox"/>
	受託人 Trustee	<input type="checkbox"/>
	信託監察人 Protector	<input type="checkbox"/>
	受益人 Beneficiary	<input type="checkbox"/>
	任何其他對該信託行使最終有效控制權之自然人 Any other individual who exercises ultimate effective control over the trust	<input type="checkbox"/>
除信託以外其他法律安排 Legal Arrangements other	具相當或類似委託人地位之人 Individual in a position equivalent/similar to settlor	<input type="checkbox"/>
	具相當或類似受託人地位之人 Individual in a position equivalent/similar to trustee	<input type="checkbox"/>

附錄一 具控制權之人（如實體帳戶持有人為消極非金融機構實體，請填寫此部分）

Appendix 1. Controlling Person(s) (Complete this part if the Entity Account Holder is a Passive NFE)

於下列欄位填寫所有對該帳戶具控制權之人之姓名。

Indicate the name of all Controlling Person(s) of the Account Holder in the table below.

各具控制權之人請分別填寫「自我證明表」。

Complete “self-certification form” for each Controlling Person.

(1)	(2)
(3)	(4)
(5)	(6)
(7)	(8)