

Self-certification Form – Entity
(Sample form for reference and to be adopted by financial

Example 1
Companies with substantive
business and incorporated in Macao

1	Identification of Entity Account Holder (for joint or multiple account holders, please complete a separate form for each account holder)	
1.1	Legal Name of Entity / Branch	
	ABC Trade Company Limited	
1.2	Place of incorporation or organization	Macao, China
2	Information on Address of Entity Account Holder	
2.1	Current Residence or Effective Management Address	
	Line 1: (Street, Number, Building, Floor, Room)	Avenida Amizade No. 700, Edif. Comercial Fat Tat, 7 Andar, Sala 205
	Line 2: (City)	Macao
	Line 3: (Province, State)	
	Country	China
	Postal / Zip Code	
2.2	Mailing Address (please only complete if mailing address is different to the above address)	
	Line 1: (Street, Number, Building, Floor, Room)	
	Line 2: (City)	
	Line 3: (Province, State)	
	Country	
	Postal / Zip Code	
3	Entity Type (Please provide the Account Holder's Status by ✓ in one of the following boxes)	
Financial Institution	<input type="checkbox"/> Custodial Institution, Depository Institution or Specified Insurance Company. <input type="checkbox"/> Investment Entity, except those managed by another Financial Institution (e.g. with discretion to manage assets of the Investment Entity) located in a non-participating jurisdiction.	
Active NFE	<input type="checkbox"/> Stock of the related Non-Financial Entity which is regularly traded on _____ (an established securities market) <input type="checkbox"/> _____ a related entity of which stock is regularly traded on _____ (an established securities market) <input type="checkbox"/> Government Entity, Monetary Authority of Macao, International Organization. <input checked="" type="checkbox"/> Other than the above Active NFE. (Please indicate <u>Trading business</u>)	
Passive NFE	<input type="checkbox"/> Investment Entity located in a non-participating jurisdiction and managed by another Financial Institution. <input type="checkbox"/> A Non-financial entity which does not belong to an Active NFE. For Account Holder, please indicate the names of any Controlling Person(s) in the list. For Legal Entity, where no natural person(s) exercises control, the Controlling Person shall be the senior managing official of the Legal Entity. Each Controlling Person shall complete a separate "Self-certification Form – Controlling Person".	
	(1)	(5)
	(2)	(6)
	(3)	(7)
	(4)	(8)

4 Jurisdiction of Residence and Taxpayer Identification Number or functional equivalent n

Example 1
Companies with substantive
business and incorporated in Macao

Please complete the following table, indicating (a) the jurisdiction of residence (including Macao SAR) and (b) the Account Holder's TIN for each jurisdiction indicated.

If the Account Holder has more than three jurisdictions of residence, please use a separate sheet.

If the Account Holder has tax obligation in the Macao SAR, the TIN is the taxpayer number.

If a TIN is unavailable, please provide the appropriate reason:

Reason A – The jurisdiction of residence of the Account Holder does not issue TINs to its residents.

Reason B – The Account Holder is otherwise unable to obtain a TIN. (Please explain why you are unable to obtain a TIN in the below table if you have selected this reason)

Reason C – No TIN is required. (The authorities of the jurisdiction of residence do not require the TIN to be disclosed)

Jurisdiction of residence	TIN	If no TIN available, enter Reason A, B or C	If Reason B is selected, please explain why you are unable to obtain a TIN
(1) <i>Macao</i>	<i>810000XX</i>		
(2)			
(3)			

5 Declarations and Signature

I understand that the information supplied by me is covered by the full provisions of the terms and conditions governing the Account Holder's relationship with *XX Bank* (Financial Institution's name), setting out how *XX Bank* (Financial Institution's name) may use and share the information supplied by me.

I acknowledge that the information contained in this form and information regarding the Account Holder and any Reportable Account(s) may be reported to the Macao SAR Financial Services Bureau and exchanged with tax authorities of such jurisdictions of residence of the Account Holder, pursuant to agreements for exchange financial account information.

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

I undertake to advise *XX Bank* (Financial Institution's name) of any change in circumstances which affects the tax residency status of the Account Holder identified in this form or causes the information contained herein to become incorrect, and to provide *XX Bank* (Financial Institution's name) with a suitably updated self-certification within xx# days of such change in circumstances.

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

Signature <u><i>Chan Tai Man</i></u>	Capacity of the Signatory <u><i>Board of Administrators</i></u>
Name <u><i>Chan Tai Man</i></u>	Note : If signing under a power of attorney please also attach a certified copy of the power of attorney.
Date <u><i>11 / 07 / 2024</i></u> (dd / mm / yyyy)	

Financial Institutions may determine the time-limits (for example "30 days") pursuant to "The Common Reporting Standard and the Due Diligence Procedures for Financial Account Information" and their own procedures.

Note :

- With regard to the interpretation of the terms used in this form, please refer to Article 8 of the "The Common Reporting Standard and the Due Diligence Procedures for Financial Account Information".

Self-certification Form – Entity
(Sample form for reference and to be adopted by financial

Example 2
Companies without substantive
business and incorporated overseas

1	Identification of Entity Account Holder (for joint or multiple account holders, please complete a separate form for each account holder)	
1.1	Legal Name of Entity / Branch	
	EFGH Company Limited	
1.2	Place of incorporation or organization	British Virgin Island
2	Information on Address of Entity Account Holder	
2.1	Current Residence or Effective Management Address	
	Line 1: (Street, Number, Building, Floor, Room)	Avenida da Amizade No.700, Edificio Kam Fat, 20 andar H
	Line 2: (City)	Macao
	Line 3: (Province, State)	
	Country	China
	Postal / Zip Code	
2.2	Mailing Address (please only complete if mailing address is different to the above address)	
	Line 1: (Street, Number, Building, Floor, Room)	
	Line 2: (City)	
	Line 3: (Province, State)	
	Country	
	Postal / Zip Code	
3	Entity Type (Please provide the Account Holder's Status by ✓ in one of the following boxes)	
Financial Institution	<input type="checkbox"/> Custodial Institution, Depository Institution or Specified Insurance Company. <input type="checkbox"/> Investment Entity, except those managed by another Financial Institution (e.g. with discretion to manage assets of the Investment Entity) located in a non-participating jurisdiction.	
Active NFE	<input type="checkbox"/> Stock of the related Non-Financial Entity which is regularly traded on _____ (an established securities market) <input type="checkbox"/> _____ a related entity of which stock is regularly traded on _____ (an established securities market) <input type="checkbox"/> Government Entity, Monetary Authority of Macao, International Organization. <input type="checkbox"/> Other than the above Active NFE. (Please indicate _____)	
Passive NFE	<input type="checkbox"/> Investment Entity located in a non-participating jurisdiction and managed by another Financial Institution. <input checked="" type="checkbox"/> A Non-financial entity which does not belong to an Active NFE. For Account Holder, please indicate the names of any Controlling Person(s) in the list. For Legal Entity, where no natural person(s) exercises control, the Controlling Person shall be the senior managing official of the Legal Entity. Each Controlling Person shall complete a separate "Self-certification Form – Controlling Person".	
	(1) Martin Robins	(5)
	(2)	(6)
	(3)	(7)
	(4)	(8)

4 Jurisdiction of Residence and Taxpayer Identification Number or functional equivalent n

Example 2
Companies without substantive
business and incorporated overseas

Please complete the following table, indicating (a) the jurisdiction of residence (including Macao SAR) and (b) the Account Holder's TIN for each jurisdiction indicated.

If the Account Holder has more than three jurisdictions of residence, please use a separate sheet.

If the Account Holder has tax obligation in the Macao SAR, the TIN is the taxpayer number.

If a TIN is unavailable, please provide the appropriate reason:

Reason A – The jurisdiction of residence of the Account Holder does not issue TINs to its residents.

Reason B – The Account Holder is otherwise unable to obtain a TIN. (Please explain why you are unable to obtain a TIN in the below table if you have selected this reason)

Reason C – No TIN is required. (The authorities of the jurisdiction of residence do not require the TIN to be disclosed)

Jurisdiction of residence	TIN	If no TIN available, enter Reason A, B or C	If Reason B is selected, please explain why you are unable to obtain a TIN
(1) <i>Macao</i>		<i>B</i>	<i>No business but effective management in Macao, without tax registration</i>
(2) <i>British Virgin Islands</i>		<i>A</i>	
(3)			

5 Declarations and Signature

I understand that the information supplied by me is covered by the full provisions of the terms and conditions governing the Account Holder's relationship with *XX Bank* (Financial Institution's name), setting out how *XX Bank* (Financial Institution's name) may use and share the information supplied by me.

I acknowledge that the information contained in this form and information regarding the Account Holder and any Reportable Account(s) may be reported to the Macao SAR Financial Services Bureau and exchanged with tax authorities of such jurisdictions of residence of the Account Holder, pursuant to agreements for exchange financial account information.

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

I undertake to advise *XX Bank* (Financial Institution's name) of any change in circumstances which affects the tax residency status of the Account Holder identified in this form or causes the information contained herein to become incorrect, and to provide *XX Bank* (Financial Institution's name) with a suitably updated self-certification within xx[#] days of such change in circumstances.

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

Signature <u><i>Martin Robins</i></u>	Capacity of the Signatory <u><i>Shareholder</i></u>
Name <u><i>Martin Robins</i></u>	Note : If signing under a power of attorney please also attach a certified copy of the power of attorney.
Date <u><i>22 / 03 / 2023</i></u> (dd / mm / yyyy)	

[#] Financial Institutions may determine the time-limits (for example "30 days") pursuant to "The Common Reporting Standard and the Due Diligence Procedures for Financial Account Information" and their own procedures.

Note :

- With regard to the interpretation of the terms used in this form, please refer to Article 8 of the "The Common Reporting Standard and the Due Diligence Procedures for Financial Account Information"

Self-certification Form – Entity
(Sample form for reference and to be adopted by financial institutions)

Example 3
Associations registered in Macao

1	Identification of Entity Account Holder (for joint or multiple account holders, please complete a separate form for each account holder)	
1.1	Legal Name of Entity / Branch	
<i>Ideal Association</i>		
1.2	Place of incorporation or organization	<i>Macao, China</i>
2	Information on Address of Entity Account Holder	
2.1	Current Residence or Effective Management Address	
Line 1: (Street, Number, Building, Floor, Room) <i>Avenida Hoi Wan, No.72, Edif. Hoi Tin, 6 Andar B</i>		
Line 2: (City) <i>Macao</i>		
Line 3: (Province, State)		
Country <i>China</i> Postal / Zip Code		
2.2	Mailing Address (please only complete if mailing address is different to the above address)	
Line 1: (Street, Number, Building, Floor, Room)		
Line 2: (City)		
Line 3: (Province, State)		
Country Postal / Zip Code		
3	Entity Type (Please provide the Account Holder's Status by ✓ in one of the following boxes)	
Financial Institution	<input type="checkbox"/> Custodial Institution, Depository Institution or Specified Insurance Company. <input type="checkbox"/> Investment Entity, except those managed by another Financial Institution (e.g. with discretion to manage assets of the Investment Entity) located in a non-participating jurisdiction.	
Active NFE	<input type="checkbox"/> Stock of the related Non-Financial Entity which is regularly traded on _____ (an established securities market) <input type="checkbox"/> _____ a related entity of which stock is regularly traded on _____ (an established securities market) <input type="checkbox"/> Government Entity, Monetary Authority of Macao, International Organization. <input checked="" type="checkbox"/> Other than the above Active NFE. (Please indicate <i>Association registered in Macao</i>)	
Passive NFE	<input type="checkbox"/> Investment Entity located in a non-participating jurisdiction and managed by another Financial Institution. <input type="checkbox"/> A Non-financial entity which does not belong to an Active NFE. For Account Holder, please indicate the names of any Controlling Person(s) in the list. For Legal Entity, where no natural person(s) exercises control, the Controlling Person shall be the senior managing official of the Legal Entity. Each Controlling Person shall complete a separate "Self-certification Form – Controlling Person".	
	(1)	(5)
	(2)	(6)
	(3)	(7)
	(4)	(8)

4 Jurisdiction of Residence and Taxpayer Identification Number or functional equivalent number**Example 3**
Associations registered in Macao

Please complete the following table, indicating (a) the jurisdiction of residence (including Macao SAR) Holder's TIN for each jurisdiction indicated.

If the Account Holder has more than three jurisdictions of residence, please use a separate sheet.

If the Account Holder has tax obligation in the Macao SAR, the TIN is the taxpayer number.

If a TIN is unavailable, please provide the appropriate reason:

Reason A – The jurisdiction of residence of the Account Holder does not issue TINs to its residents.

Reason B – The Account Holder is otherwise unable to obtain a TIN. (Please explain why you are unable to obtain a TIN in the below table if you have selected this reason)

Reason C – No TIN is required. (The authorities of the jurisdiction of residence do not require the TIN to be disclosed)

Jurisdiction of residence	TIN	If no TIN available, enter Reason A, B or C	If Reason B is selected, please explain why you are unable to obtain a TIN
(1) <i>Macao</i>		<i>B</i>	<i>Not engaged in commercial activities, therefore, no tax registration</i>
(2)			
(3)			

5 Declarations and Signature

I understand that the information supplied by me is covered by the full provisions of the terms and conditions governing the Account Holder's relationship with *XX Bank* (Financial Institution's name), setting out how *XX Bank* (Financial Institution's name) may use and share the information supplied by me.

I acknowledge that the information contained in this form and information regarding the Account Holder and any Reportable Account(s) may be reported to the Macao SAR Financial Services Bureau and exchanged with tax authorities of such jurisdictions of residence of the Account Holder, pursuant to agreements for exchange financial account information.

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

I undertake to advise *XX Bank* (Financial Institution's name) of any change in circumstances which affects the tax residency status of the Account Holder identified in this form or causes the information contained herein to become incorrect, and to provide *XX Bank* (Financial Institution's name) with a suitably updated self-certification within xx# days of such change in circumstances.

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

Signature <u><i>Chan Sio Man</i></u>	Capacity of the Signatory <u><i>Member of Council</i></u>
Name <u><i>Chan Sio Man</i></u>	Note : If signing under a power of attorney please also attach a certified copy of the power of attorney.
Date <u><i>26 / 02 / 2024</i></u> (dd / mm / yyyy)	

Financial Institutions may determine the time-limits (for example "30 days") pursuant to "The Common Reporting Standard and the Due Diligence Procedures for Financial Account Information" and their own procedures.

Note :

- With regard to the interpretation of the terms used in this form, please refer to Article 8 of the "The Common Reporting Standard and the Due Diligence Procedures for Financial Account Information".