# 宏泰人壽保險股份有限公司

## 自我證明表-實體(法人)Self-Certification Form –Entity

3A20

保單號碼 policy number ：

請以英文正楷填寫本表，標有星號者(*)為必填
Please fill in this form in English block letters.
Those marked with an asterisk (*) are required.

重要提示 Important Notes：

1. 金融機構執行共同申報及盡職審查作業辦法(下稱 CRS 作業辦法)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。CRS 作業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。

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).

2. 金融機構依 CRS 作業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 submit 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"). Such information may be provided to tax authorities of another country(ies)/jurisdiction(s) through the exchange of financial account information for tax purposes pursuant to intergovernmental agreements.

3. 除不適用或特別註明外，必須填寫這份文件所有部分。如這份文件上的空位不敷使用，可另行增列填寫。標有星號（*）欄位資訊為宏泰人壽保險股份有限公司須向稅捐稽徵機關申報之資料。

All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields or parts marked with an asterisk (*) is required to be reported by Hontai Life Insurance Inc. to the local taxation authorities.

4. 如帳戶持有人為獨資資本主，請填寫「自我證明表-個人 」，勿填寫本表。

If the Account Holder is a sole trader or a sole proprietor,please do not fill in this form; instead please complete a "Self Certification Form Individual."

5. 本表將持續有效，倘狀態變動（例如帳戶持有人之稅務居住者身分變動）致所填資訊不正確或不完整，帳戶持有人應通知金融機構，並更新本表。

This form will remain valid unless there is a change in circumstances relating to information, such as the Account Holder's tax residency status, that makes this form incorrect or incomplete. In that case, the Account Holder must notify the FI and provide an updated self-certification form.

6. 本表相關用詞(如帳戶持有人、稅務識別碼、積極非金融機構實體、消極非金融機構實體、應申報國、參與國及具控制權之人等)，請詳 CRS 作業辦法。

The definition of the capitalized terms used in this f orm, such as Account Holder , Taxpayer Identification Number("TIN "), Active Non Financial Entity (" NFE") ,Passive NFE, Reportable Jurisdiction, Participating Jurisdiction Controlling Person ,etc, can be found in the Regulations.

**第一部分：實體帳戶持有人（法人）身分辨識資料**

**Part 1 Identification of Entity Account Holder**

| | | |
|---|---|---|
| 實體或分支機構之法定名稱*<br>Legal Name of Entity or Branch * | | |
| 組織、設立或成立所在地之國家地區*<br>Country/Jurisdiction of Organi z ation , Incorporation or Establishment * | | |
| 現行居住地址*<br>Current Residence Address*<br>◎請依各欄提示逐欄分列填寫。<br>Please complete all required fields. | (如有室、樓層、大樓、街道、地區等）* (e.g. Suite, Floor, Building, Street, District, if any)* | |
| | (如有鎮、市、省、縣、州等）* (e.g. Town/City/Province/County/State)* | |
| | 國家/地區 Country/Jurisdiction* | 郵政編碼/郵遞區號(如有)Post Code/ZIP Code (if any) |
| 通訊地址（與現行居住地址不同時，填寫此欄）<br>Mailing Address (Complete if different to the Current Residence Address) | (如室、樓層、大樓、街道、地區）(e.g. Suite, Floor, Building, Street, District) | |
| | (如鎮、市、省、縣、州)(e.g. Town/City/Province/County/State) | |
| | 國家/地區 Country/Jurisdiction | 郵政編碼/郵遞區號 Post Code/ZIP Code |

# 宏泰人壽保險股份有限公司

## 自我證明表-實體(法人)Self-Certification Form –Entity

**第二部分：實體類型***

**Part 2 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.)

<table>
<tr>
<td>☐金融機構<br>Financial Institution</td>
<td>☐ A1.應申報國及參與國之投資實體（若為應申報國及參與國以外之投資實體，請勾選 C2）<br>Investment Entity in a Reportable Jurisdiction and a Participating Jurisdiction (If an Investment Entity is located outside a Reportable Jurisdiction and a Participating Jurisdiction, please select C2)<br>☐ A2.存款機構、保管機構或特定保險公司<br>Depository Institution, Custodial Institution, or Specified Insurance Company</td>
</tr>
<tr>
<td>☐積極非金融機構實體<br>Active Non-Financial Entity (“NFE”)</td>
<td>☐ 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。<br>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.<br>判斷參考公式如下:<br>The reference formula as below:<br>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 / 收入總額 <50%<br>The NFE 's gross income including the dividends, interests, rental, premium, gain on financial assets trading, gain on monetary exchange / Total revenue <50%<br>☐ 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）:<br>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):<br>☐立約人所發行之股票經常在_____ （經認可證券交易市場）交易<br>The stock of the contracting party is regularly traded on _____, which is an established security market.<br>☐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<br>The contracting party is a related entity of _____, the stock of which is regularly traded on _____, which is an established securities market.<br>☐ B3.政府實體、國際組織、中央銀行，或由政府實體、國際組織或中央銀行完全持有之實體;<br>The NFE is a Governmental Entity, an International Organization, a Central Bank, or an Entity<br>☐ 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;<br>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.<br>☐ 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;<br>The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets withthe 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;<br>☐ B6.前五年非屬金融機構，且正進行清算或重整程序者;<br>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;<br>☐ 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;<br>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;<br>☐ 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；</td>
</tr>
</table>

| | |
|---|---|
| | 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:<br>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:<br>I. 於其所在國家或地區免納所得稅者;<br>It is exempted from income tax in its country/jurisdiction of residence;<br>II. 股東或成員對其所得或資產不得主張所有權或受益權;<br>It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;<br>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<br>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 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<br>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。<br>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. |
| □消極非金融機構實體<br>Passive Non-Financial Entity (if this option is selected, please complete the Appendix 1) | □C1.指上述(B)積極非金融機構實體以外之非金融機構實體<br>The Non-financial entity that is not an active non-financial entity as pertained in (B)<br>□C2.於應申報國及參與國以外之投資實體<br>The investment entity located outside a reportable jurisdiction or a participating jurisdiction |
| □立約人屬被排除帳戶（被排除帳戶定義請參考附錄二）<br>Our company is an Excluded Account ( The definition of Excluded Account please refer to Appendix 2) | |

**第三部分：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)**

**Part 3 Controlling Person(s) (Complete this part if the Entity Account Holder is a P assive 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.

各具控制權之人應分別填寫「自我證明表格-具控制權之人」。

Complete "self-certification form Controlling Person " for each Controlling Person.

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

# 宏泰人壽保險股份有限公司

## 自我證明表-實體(法人)Self-Certification Form –Entity

**第四部分：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”）***

**Part 4 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為稅務居住者之國家/地區，及於該國家/地區稅務識別碼。

Complete the following table indicating the country/jurisdiction where the Account Holder is a tax resident and the Account Holder's TIN for each country/jurisdiction indicated.

帳戶持有人如同時為 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。

If the Account Holder is a tax resident in more than one country/jurisdiction at the same time, please indicate all countries/ jurisdictions of tax residence.

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所在國家/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, fill in with the most appropriate reason among A, B and C below:

理由 A – 帳戶持有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 is a tax resident does not issue TINs to its residents.

理由 B – 帳戶持有人無法取得稅務識別碼(請說明帳戶持有人無法取得稅務識別碼原因)

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

理由 C – 帳戶持有人毋須提供稅務識別碼(限於該帳戶持有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 country/jurisdiction of the Account Holder's tax residence does not require the collection of TINs.

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

**第五部分：聲明及簽署**

**Part 5 Declarations and Signature**

本人知悉，本表所含資訊、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（法人）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 form and information regarding the Account Holder and any Reportable Account(s) may be submitted to the tax authorities of the ROC and provided to tax authorities of country(ies)/jurisdiction(s) in which the Account Holder is identified as a tax resident through the exchange of financial account information for tax purposes pursuant to intergovernmental agreements.

本人證明，與本表相關之所有帳戶，本人業經帳戶持有人（法人）授權簽署本表。

I certify that I am authorized to sign for the Account Holder of all the account(s) to which this 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 made in this form are, to the best of my knowledge and belief, correct and complete.

本人承諾，如狀態變動致影響本表第四部分所述帳戶持有人（法人）之稅務居住者身分，或所載資料不正確或不完整，本人將通知宏泰人壽保險股份有限公司，並在狀態變動後 30 日內提供宏泰人壽保險股份有限公司一份經適當更新之自我證明表。

I undertake to advise Hontai Life Insurance Inc. of any change in circumstances which affects the tax residency status of the Account Holder identified in Part 4 of this form or causes the information contained herein to become incorrect or incomplete, and to provide Hontai Life Insurance Inc. with a suitably updated self-certification form within 30 days of such change in circumstances.

_____

要保單位印鑑(公司大小章)

Seal of the Entity, Authorized Signatory's Seal(s) or Signature(s)

日期：_____年_____月_____日

Date YYYY MM DD

# 宏泰人壽保險股份有限公司

## 自我證明表-實體(法人)Self-Certification Form –Entity

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「自我證明表格－具控制權之人」。

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

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

附錄二

被排除帳戶: 指 CRS 第二十三條定義符合下列情形之一者：

一、符合下列條件之退休金或養老金帳戶：

（一）受法令規範之個人退休金帳戶，或屬註冊或受規範退休金或養老金計畫之一部分，其目的在提供退休或養老金福利，包括失能給付及死亡給付。

（二）享有租稅優惠。

（三）須向相關稅捐稽徵機關申報資訊。

（四）僅於退休、失能或死亡時始得提領，或於退休、失能或死亡前提領須受處罰者。

（五）每年提撥金額以五萬美元為限，或終生提撥金額以一百萬美元為限，其金額計算應依第三十四條第二項及第四十九條規定辦理。但金融帳戶自本款或第二款所定帳戶，或自第三條第二款所定退休基金取得之資產或基金，不計入提撥金額。

二、符合下列條件之非退休金帳戶：

（一）受法令規範非以退休金為目的且經常於證券市場交易之投資工具，或非以退休金為目的之儲蓄工具。

（二）享有租稅優惠。

（三）僅於符合與該投資或儲蓄帳戶開立目的有關之特定條件時始得提領，或於該特定條件成就前提領須受處罰者。

（四）每年提撥金額以五萬美元為限，其金額計算應依第三十四條第二項及第四十九條規定辦理。但金融帳戶自前款或本款所定帳戶，或自符合第三條第二款所定退休基金取得之資產或基金，不計入提撥金額。

三、人壽保險契約之保險期間於被保險人滿九十歲前屆滿，且符合下列條件：

（一）於契約存續期間或距被保險人滿九十歲期間之較短者，保費不隨時間減少且須每年定期支付一次以上者。

（二）除終止契約外，任何人不得透過提領、質借或其他方式取得現金價值。

（三）除死亡給付外，契約解除或終止時之應付金額，未超過已交付保險費總額扣除該期間或契約存續期間之死亡、罹病與費用負擔及解除或終止契約前所支付之款項。

（四）該契約非由受讓人以有償方式持有。

四、屬於遺產之帳戶，且檢附死者遺囑、死亡證明或其他類似證明文件者。

五、為下列各目事由之一，代交易方持有之帳戶：

（一）法院裁定或判決。

（二）出售、交換或租賃不動產或動產，且符合下列規定者：

1.其資產僅來自頭期款、保證金或為擔保與交易直接相關義務而存入之金額或類似款項，或僅來自為出售、交換或租賃該財產而存入之金融資產。

2.其設立及用途僅為擔保該財產買方支付價金、賣方支付或有負債之義務，或擔保出租人或承租人依租賃契約規定支付與租賃財產有關損害之義務。

3.其資產及自該資產產生之所得，於該財產出售、交換、拋棄或租賃終止時，依買方、賣方、出租人或承租人之利益及其應履行之義務支付或分配者。

4.非與金融資產之銷售或交換相關而設立之保證金帳戶或類似帳戶。

5.與第六款所定帳戶無關。

（三）金融機構承作不動產擔保貸款保留部分撥款之義務，以利日後支付該不動產相關稅款或保險費。

（四）金融機構僅為履行日後支付稅款之義務。

六、僅於客戶繳款超過信用卡或其他循環貸款應繳餘額未立即退回溢繳款時存在之存款帳戶，且至遲於中華民國一百零七年十二月三十一日執行相關政策及程序避免客戶溢繳款超過五萬美元，或客戶溢繳款超過五萬美元時於六十日內完成退款，該等溢繳款之計算應以實質經濟事實關係依第三十四條第二項規定辦理，且不含爭議款餘額。

七、於申報金融機構進行盡職審查年度帳戶總餘額或價值未逾一千美元，其金額計算應依第三十四條第二項規定辦理，並符合下列條件之帳戶：

（一）帳戶持有人過去三年未透過該帳戶及於同一申報金融機構之其他帳戶進行交易，且過去六年未就該等帳戶與該申報金融機構進行聯繫。

（二）如為具現金價值之保險契約，帳戶持有人過去六年未與申報金融機構就該契約相關帳戶及於該申報金融機構之其他帳戶進行聯繫。

八、其他經財政部公告之低風險規避稅負帳戶。

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相關表單