



# INVESCO SELECT RETIREMENT FUND 景順特選退休基金

## INDIVIDUAL SELF-CERTIFICATION FOR FATCA AND CRS

### 《外國賬戶稅收遵從法》及《共同匯報標準》個人自行證明

#### Instructions for completion by the Applicant 申請人的填寫指示

The Trustee and/or the Manager are obliged under the applicable laws and regulations, including but not limited to Foreign Account Tax and Compliance Act ("FATCA") and the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information (CRS) to collect certain information about each investor's tax status. Please complete the sections below as directed and provide any additional information that is requested. Please note that in certain circumstances the Trustee and/or the Manager may be obliged to disclose, share or report this information, which may include your personal data, with/to (i) any person to whom information herein is requested to be disclosed by any tax authority or other governmental agency, to enable the Trustee and/or the Manager or the Invesco Select Retirement Fund to comply with any applicable law or regulations; and/or (ii) relevant tax authorities or governmental agencies including but not limited to the United States Internal Revenue Service. 根據適用法例及規例，包括但不限於《外國賬戶稅收遵從法》(FATCA)及經合組織自動交換金融賬戶資料的共同匯報標準(CRS)的稅務法規，信託人及/或基金經理有責任收集有關各投資者稅務狀況的若干資料。請按指示填寫以下各部份，並提供所索取的任何額外資料。謹請注意，在若干情況下，信託人及/或基金經理可能有責任與/向(i)任何稅務機關或其他政府機關要求向其披露本認證所載任何人士的資料(以便信託人及/或基金經理或景順特選退休基金遵守任何適用法例或規例)；及/或(ii)相關稅務機關或政府機關，包括但不限於美國國家稅務局，披露、分享或報告本認證的資料，或許包括閣下的個人資料。

Unless indicated otherwise, all terms used herein are as defined in the Agreement between the Government of Cayman Islands and the Government of the United States of America to improve International Tax Compliance and to implement FATCA or, in the case of CRS, the Inland Revenue Ordinance (Cap. 112), as amended from time to time. 除非另有指引，本文使用的所有詞彙，具有開曼群島政府與美國政府就改善國際稅收合規及執行FATCA所訂立的協議或，如有關CRS，《稅務條例》(第112章)(經不時修訂)具相同定義。

If any of the information below about your jurisdiction of residence for tax purposes or FATCA/CRS classification changes in the future, please ensure you advise us of these changes promptly. 若下列任何有關閣下的稅務管轄區或FATCA/CRS類別日後出現任何變動，請閣下盡早把有關變動知會吾等。

If you have any questions about how to complete this form, please contact your tax advisor or refer to the information portal at <https://www.irs.gov> for FATCA and at <http://www.oecd.org/tax/automatic-exchange> for CRS. 若閣下對填寫本表格有任何疑問，請聯絡閣下的稅務顧問或瀏覽FATCA網頁 <https://www.irs.gov> 及CRS網頁 <http://www.oecd.org/tax/automatic-exchange>。

Please note that where there are joint account holders each investor is required to complete a separate Individual Self-Certification. **敬請注意，若為聯名賬戶持有人，每名投資者均須填寫一份獨立的《個人自行證明》。**

#### Section 1 - Account Holder Identification 第1部份 - 賬戶持有人身份識別資料

Information in fields marked with an asterisk (\*) are required to be reported by the reporting financial institution as described in the Prospectus(es). 在欄標有星號(\*)的項目為申報財務機構須根據基金章程所述而申報的資料

##### Name of Account Holder 賬戶持有人姓名

Account Holder's Surname*: 賬戶持有人姓氏*	Given Name*: 名字*
HKID Card or Passport No.: 香港身份證或護照號碼	

##### Residential Address 住址

Flat Number 門號:	Building 大廈:
Street 街道:	City/State/Province* 城市/州/省*:
Postal/ZIP Code 郵遞/郵區編號:	Country* 國家*:

##### Mailing address (if different from above) 郵寄地址 (如與上述不同)

Flat Number 門號:	Building 大廈:
Street 街道:	City/State/Province 城市/州/省:
Postal/ZIP Code 郵遞/郵區編號:	Country 國家:

##### Place & Date of Birth 出生地方及日期

City of Birth: 出生城市:	Country of Birth: 出生國家:	Date of Birth*: 出生日期*: (DD日/MM月/YYYY年)
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#### Section 2 - FATCA Declaration for U.S. Tax Purposes 第2部份 - 美國稅務身份的FATCA聲明

Please tick either (a) or (b) below and complete as appropriate. 請在下列(a)或(b)項加上剔號，並填上適當的資料。

- (a)  I confirm that I am a U.S. citizen and/or resident in the U.S. for tax purposes and my U.S. Federal Taxpayer Identification Number ("U.S.TIN") is as follows:  
本人確認本人為美國公民及/或就稅務目的而言居於美國。本人的美國聯邦納稅人識別號碼(「U.S.TIN」)如下:

U.S.TIN:

- (b)  I confirm that I am not a U.S. citizen or resident in the U.S. for tax purposes.  
本人確認本人並非美國公民或就稅務目的而言居於美國。

### Section 3 – CRS Declaration of Tax Residency 第3部份 – 稅務居住地的CRS聲明

Jurisdiction of Residence for Tax Purposes and Taxpayer Identification Number or its Functional Equivalent (“TIN”) \*稅務管轄區及稅務編號或具有等同功能的識辨編號（以下簡稱「稅務編號」）\*

Complete the following table indicating (a) the jurisdiction(s) (including Hong Kong, if applicable) where the account holder is a resident for tax purposes (in order words, the jurisdiction of residence for tax purposes) and (b) the account holder’s TIN for each such jurisdiction indicated. Indicate all (not restricted to four) jurisdictions of residence for tax purposes. If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. 提供以下資料，列明 (a) 帳戶持有人因稅務原因而被介定為其居民的司法管轄區，亦即帳戶持有人的稅務管轄區（包括香港，如適用）及 (b) 該稅務管轄區發給帳戶持有人的稅務編號。列出**所有**（不限於 4 個）稅務管轄區。如帳戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。

If a TIN is unavailable, provide the appropriate reason A, B or C: 如沒有提供稅務編號，必須填寫合適的理由：

Reason A- The jurisdiction of residence for tax purposes does not issue TINs to its residents.

理由 A – 帳戶持有人的稅務管轄區並沒有向其居民發出稅務編號。

Reason B - The account holder is unable to obtain a TIN. Please explain why the account holder is unable to obtain a TIN if you have selected this reason.

理由 B – 帳戶持有人不能取得稅務編號。如選取這一理由，請解釋帳戶持有人不能取得稅務編號的原因。

Reason C - TIN is not required. Select this reason only if the authorities of the jurisdiction of residence for tax purposes do not require the TIN to be disclosed.

理由 C – 帳戶持有人毋須提供稅務編號。只可於稅務管轄區的主管機關不需要帳戶持有人披露稅務編號的情況下選此項。

	Jurisdiction of Residence for Tax Purposes <sup>^</sup> 稅務管轄區 <sup>^</sup>	TIN 稅務編號	If TIN is unavailable, please select reason A, B or C 若未能提供TIN, 請選擇原因A、B或C	Please explain in the following boxes why you are unable to obtain a TIN if you selected reason B 如選擇原因B, 請說明為何未能取得TIN:
1				
2				
3				
4				

<sup>^</sup>Note: Hong Kong, Macau, Mainland China and Taiwan are treated as different jurisdictions for tax purposes.  
<sup>^</sup>備註：香港、澳門、中國大陸及台灣則被視為不同的稅務管轄區。

### Section 4 – Declaration and Undertakings 第4部份 – 聲明及承諾

#### Important Information for Investors in Hong Kong 香港投資者的重要資訊

##### Personal Information Collection Statement 收集個人資料聲明

I/We, by signing herein, hereby expressly consent that my/our personal data may be used, processed, or disclosed by the Trustee and/or the Manager, for purposes (i) as set out in the above paragraphs; or (ii) as set out in the Prospectus(es). 本人/吾等，透過簽署本文件，謹此明確同意本人/吾等的個人資料可予信託人及/或基金經理使用、處理或披露，以符合其目的(i)如上述段落所述；或(ii)如基金章程所述。

I/we also acknowledge and by signing herein expressly consent that as part of the disclosure and processing of (i) and (ii), my/our personal data may be disclosed to, transferred to, processed or kept by: parties set out in the above paragraph of this Section 4 and, inter alia, any company within the Invesco group, any company of the group of the Trustee, Custodian, Registrar and Sale and Redemption agents of the Invesco Select Retirement Fund. Where any such parties are in countries outside of Hong Kong, such countries may or may not have data protection laws equivalent to those prevailing in the Hong Kong Special Administrative region. 本人/吾等亦確認及透過簽署本文件，謹此明確同意作為(i)與(ii)的披露及處理的一部份，本人/吾等的個人資料可披露、轉移或處理予：本第4部份上述段落所列各方，及，包括但不限於，任何景順集團內的公司、任何景順特選退休基金的信託人、保管人、過戶登記處及銷售與贖回代理人之集團內的公司及代表。若該等人士處於香港以外的國家，該等國家可能有或可能並無設有與香港特別行政區現行法律相等的資料保障法例。

Under the Personal Data (Privacy) Ordinance of Hong Kong, you have the right to obtain a copy of the information held about you, for which you may be charged a fee. Such request should be directed to the Data Protection Officer c/o Head of Compliance, Greater China at the address of Invesco Hong Kong Limited. Invesco Hong Kong Limited, or any company within the Invesco Ltd. Group, or companies of the group of the Administrator/Administration Agent/Registrar and Transfer Agent/Custodian, and agents or delegates of such companies, intend to use your name, telephone number, fax number, email address, correspondence address, investment records for direct marketing purposes in connection with investments in other investment fund(s) managed or administered by the Invesco Ltd Group which may include the provision of offers, promotions and benefits by companies within the Invesco Ltd. Group. However, we may not do so unless we have received your consent. 根據香港的個人資料（私隱）條例，閣下有權在可能須支付費用的情況下，索取一份有關閣下的個人資料複本。請把有關要求郵寄至景順投資管理有限公司的地址，向資料保障主任轉交大中華區監察總監提出。景順投資管理有限公司，或景順集團旗下任何公司，（或行政管理人/行政代理/過戶登記代理/託管人集團公司，以及該等公司的代理人或獲授權代表），擬把閣下的（姓名、電話號碼、傳真號碼、電郵地址、郵寄地址、投資紀錄）用作與投資於由景順集團管理或進行行政管理的其他投資基金相關的直接市場推廣用途，可能包括由景順集團旗下公司提供的優惠、宣傳及利益。然而，除非得到閣下的同意，否則我們不得作出上述行動。

Please sign on this Section to indicate your agreement to such use. Should you find such use of your personal data not acceptable, please indicate your objection before signing by ticking the box below. 請於本部份簽署，以表示閣下同意我們作出上述用途。若閣下不接受把其個人資料作上述用途，請於簽署前在以下方格加上剔號，以表示閣下提出反對。

By ticking herein, I/we do not agree to the use of my/our personal data for direct marketing purposes as mentioned in the above paragraph. 本人/吾等謹在此處註明，不同意本人/吾等的個人資料以作上文所述的直接市場推廣用途。

You may at any time without charge request us to cease using your personal data for direct marketing purposes as mentioned in the above paragraph. Such request should be directed to the Data Protection Officer c/o Head of Compliance, Greater China at the address of Invesco Hong Kong Limited. 閣下可隨時要求我們停止使用其個人資料以作前段所述的直接市場推廣用途，而無需繳付任何費用。請把有關要求郵寄至景順投資管理有限公司的地址，向資料保障主任轉交大中華區監察總監提出。

## Other 其他

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the parties mentioned in Section 4 of this form for the purpose of FATCA and CRS, and (b) such parties may disclose, share or report such information to relevant tax authorities or governmental agencies including but not limited to the United States Internal Revenue Service under FATCA, and in respect of CRS, to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region 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). 本人知悉及同意，本表格第 4 部所列各方可 (a) 收集本表格所載資料並可備存作 FATCA 及 CRS 用途，並 (b) 向有關稅務機關或其他政府機關披露、分享或報告本表格所載的資料，包括但不限於根據 FATCA 向美國國家稅務局申報，及就 CRS 而言，根據《稅務條例》(第 112 章) 有關交換財務帳戶資料的法律條文，向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的稅務管轄區的稅務當局。

I certify that I am the account holder / I am authorized to sign for the account holder # of all the account(s) to which this form relates. 本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人/ 本人獲帳戶持有人授權簽署本表格#。( # Delete as appropriate 刪去不適用者)

I undertake to advise Invesco Hong Kong Limited promptly of any change in circumstances which affects the jurisdiction of residence for tax purposes of the individual identified in Section 1 of this form or causes the information contained herein to become incorrect, and to provide Invesco Hong Kong Limited with a suitably updated self-certification form within 30 days of such change in circumstances. 本人承諾，如情況有所改變，以致影響本表格第 1 部所述的個人的稅務管轄區，或引致本表格所載的資料不正確，本人會盡快通知景順投資管理有限公司，並會在情況發生改變後 30 日內，向景順投資管理有限公司提交一份已適當更新的自行證明表格。

I declare that the information given and statements provided in this form are, to the best of my knowledge and belief, true, accurate and complete. By signing the below, I expressly acknowledge and consent that Invesco, the Trustee, and/ or the relevant Fund may disclose, report or process information as described above. 本人聲明，就本人深知及確信，本表格內所填報的所有資料和聲明均屬真實、準確及完備。本人一旦在下文簽署，即明文確認及同意景順、信託人及/ 或相關基金可如上文所述般披露、報告或處理資料。

Signature 簽署:

Signature of Unitholder 單位持有人簽署

(Must be identical to the Trustee's record 必須與信託人的記錄相符)

Full Name 姓名

(Must be identical to HKID Card / Passport 必須與香港身份證 / 護照相同)

Indicate the capacity if you are not the individual identified in Section 1. If signing under a power of attorney, attach a certified copy of the power of attorney. 如你不是第 1 部所述的個人，說明你的身分。如果你是以受權人身分簽署這份表格，須夾附該授權書的核證副本。

Date 日期

**WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance of Hong Kong 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. \$10,000).**

**警告：根據香港《稅務條例》第 80(2E) 條，如任何人在作出自行證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級（即 \$10,000）罰款。**

### Please return this Form to:

Hong Kong Fund Services  
Invesco Hong Kong Limited

41/F, Champion Tower,  
Three Garden Road, Central, Hong Kong  
Tel: (852) 2842 7878

### 請將此表格交回:

景順投資管理有限公司  
香港基金服務

香港中環花園道三號  
冠君大廈四十一樓  
電話: (852) 2842 7878

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