

**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 ("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/或投資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/或投資經理可能有責任與/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/或投資經理或景順特選退休基金(「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 :	Date of Birth*: 出生日期*:
	(DD/MM/YYYY) (日/月/年)

**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:

**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:
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- (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 hereby expressly consent and acknowledge that 本人/吾等特此明確同意並確認：

- (i) Information supplied on the Form and otherwise in connection with my/our subscription in the Fund may be held by the Trustee and/or the Manager and will be used for the purposes of processing and administering my/our subscription in the Fund, and may also be used for the purpose of carrying out my/our instructions or responding to any enquiry purporting to be given by me/us or on my/our behalf, dealing with any other matters relating to my/our subscription in the Fund (including, where applicable, the mailing of reports or notices), forming part of the records of the recipient as to the business carried on by it, observing any legal, governmental or regulatory requirements of any relevant jurisdiction (including any disclosure or notification requirements to which any recipient of the data is subject). The Manager intends to use my/our personal data (name, telephone number, fax number, email address, correspondence address, investment records) for direct marketing of retirement scheme related products or services but the Manager cannot so use my/our personal data without my/our consent<sup>1</sup>. All such information may be retained after I/we have ceased to subscribe/hold the Fund. Under the Personal Data (Privacy) Ordinance<sup>2</sup>, I/we have the right to obtain a copy of information held about myself/ourselves and for which I/we may be charged a fee. 信託人及/或投資經理可保留本表格所載資料及其他有關認購本基金的資料，以作為處理及管理本人/吾等認購本基金之用；同時亦可用作執行本人/吾等的指示或答覆本人/吾等的查詢；或其他有關認購本基金之事項(包括，如適用，郵寄報告或通告)；此等資料將構成資料接收人業務之部份記錄；以遵行任何有關適用司法管轄區的法律、政府或監管規定(包括任何資料接收人需遵守的披露或通知的規定)。投資經理有意使用本人/吾等之個人資料(姓名、電話號碼、傳真號碼、電郵地址、通訊地址、投資紀錄)用作直接推廣有關退休計劃產品或服務；然而投資經理除非得到本人/吾等同意不能如此使用本人/吾等的個人資料<sup>1</sup>。在本人/吾等停止認購/繼續持有本基金後，信託人及/或投資經理仍可保留上述所有資料。根據個人資料(私隱)條例<sup>2</sup>，本人/吾等有權在支付費用的情況下，索取一份有關本人/吾等個人資料的副本。

<sup>1</sup> Please note that by signing this Form, you expressly agree to the use of your personal data for direct marketing purposes as mentioned herein. The Manager will cease using the personal data for such purpose upon your written or verbal request. 一經簽署本表格，閣下即明確表示同意營辦人為直接市場推廣目的而使用閣下的個人資料。倘接獲閣下之書面或口頭要求，投資經理將會停止為該等目的而使用閣下的個人資料。

If you do not wish your information to be made available for the dispatch of information on retirement scheme related products or services to you from the Manager, please  the box.  如閣下不欲將資料提供給投資經理，以用作向閣下發放有關退休計劃產品或服務資料，請在方格內加上號。

<sup>2</sup> Please note that you are entitled under the Personal Data (Privacy) Ordinance to be informed by Invesco whether it holds Personal Data about you and to request access to and/or correction of any such Personal Data. Any such request may be made to Data Protection Officer, Invesco Hong Kong Limited, 45/F, Jardine House, 1 Connaught Place, Central, Hong Kong. 請注意按個人資料(私隱)條例，閣下有權要求景順提供是否持有閣下的個人資料，或要求接觸和/或更改任何個人資料。此類要求，可向資料保障主任作出書面查詢。請郵寄至香港中環康樂廣場一號怡和大廈四十五樓，景順投資管理有限公司收。

- (ii) And I/We consent to the transfer of my/our personal information to recipients located in countries which do not offer a level of protection for those data as high as the level of protection as described in the Cayman Islands. I/We consent to the processing of my/our personal information as described herein this form and the "Privacy Notice" as set out in the Appendix. 並本人/吾等贊同將本人/吾等的個人資料轉交給位於未等同開曼群島所規定的保護資料水平之國家的收件人。本人/吾等亦贊同本人/吾等的個人資料按本表格所述和按附件上的《私隱聲明》處理。

#### 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 部所列各方可能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

Contact Mobile No. 聯絡手提電話:

Contact E-mail 聯絡電郵:

**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

請將此表格交回:  
景順投資管理有限公司  
香港基金服務

45/F, Jardine House,  
1 Connaught Place, Central, Hong Kong  
Tel: (852) 3191 8282

香港中環康樂廣場一號  
怡和大廈四十五樓  
電話: (852) 3191 8282

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