FATCA/CRS Entity Self-Certification Form FATCA/CRS纳税实体自我认证表

(Not for use by Individual Account Holders) (不适用于个人账户持有人)

Instructions for completion

填报指南

The U.S. Foreign Account Tax Compliance Act (FATCA) and the OECD Common Reporting Standard (CRS) require financial institutions such as ING Bank N.V. and its affiliates acting for themselves and for all branches and subsidiaries of ING Bank N.V. (hereinafter: ING) to collect and report tax related information about its clients (Account Holders) and their accounts held. If the Account Holder or any of its Controlling Persons have a tax residence outside the country where the account is held or is a U.S. Person, ING may be legally obligated to pass on the information provided in this form, as well as other financial information with respect to any Financial Account held with our institution to the tax authorities, for transmission to the relevant competent foreign tax authorities pursuant to intergovernmental/multilateral agreements. Please visit www.irs.gov/fatca and www.oecd.org for more information. 美国海外账户纳税法案(FATCA)和经济合作与发展组织共同申报准则(CRS)要求金融机构,如荷兰安智银行股份有限公司以及其关联方代表自身和荷兰安智银行股份有限公司所有分公司和子公司(以下简称"ING"),收集并报告其客户(账户持有人)及其所有的账户的纳税相关信息。若账户持有人或其任何控制人有海外纳税居民身份,或是美国人士,ING可能有法律上的义务将本表内信息,及其在本机构持有的任何财务账户相关的其他财务信息提供给税务机关,以供依据政府间协议向海外相关主管税务机关提供。关于更多详情,请参见www.irs.gov/fatca和 www.oecd.org。

Definitions can be found in a separately downloadable Glossary. 详见可另外下载的术语汇编中的定义。

As a financial institution, we are not allowed to provide tax advice. If you have any questions about how to complete this form or how to determine your tax residency or status, please contact your tax advisor.

作为一个金融机构,我们不可以提出税务建议。若您对如何填写该表或如何确定您的纳税居民身份或状态有疑问,请联系您的税务顾问。

第1部分 账户持有人身份识别		
1a Full legal name 公司法定全称		
1b Country of incorporation/ organisation 公司/组织所在国		
1c Residence address: 居住地址:	Address line* 地址行*	(e.g. Street, Number, House/Apt/Suite Name) (如街道、号码、房屋/公寓/套房名称等)
1 d Mailing address: 邮寄地址:	ZIP/Post code 邮编 State/Province 州/省 Address line 地址行	City/Town 城市/镇 Country 国家
(if different than above) (如与上述地址不同)	\rangle \text{\tinx{\tiny{\tinit}\text{\text{\text{\text{\text{\text{\text{\text{\text{\text{\text{\text{\text{\text{\text{\text{\text{\tiny{\titil\text{\text{\text{\text{\text{\text{\text{\text{\text{\tiny{\text{\text{\text{\text{\text{\text{\text{\text{\text{\text{\tinit}\\ \text{\tinit}\tinit{\text{\text{\text{\text{\text{\text{\text{\tinit}\tinit{\text{\text{\text{\tinit}\\ \tinit}\\ \text{\text{\text{\text{\text{\text{\text{\text{\text{\text{\text{\text{\text{\text{\tinit}\tint{\text{\tinit}\tint{\text{\text{\text{\text{\text{\ti}\tinit}\\ \tinithtt{\text{\text{\text{\text{\text{\tinit}\tint{\text{\tinit}\tint{\text{\text{\tinit}\tint{\text{\text{\tinit}\tint{\text{\tinit}\tint{\text{\tinit}\tint{\text{\tinithtt{\tinit}\tint{\tinithtt{\tiit}\tint{\tii}\tiint{\tinithtint{\tiit	(e.g. Street, Number, House/Apt/Suite Name) (如街道、号码、房屋/公寓/套房名称等)
	ZIP/Post code State/Province 邮编 州/省	City/Town Country 城市/镇 国家
* Do not use a P.O. Box (unless this is your regis 请勿使用信箱号(除非为注册地址)或"转交"地		f" address

Part 2. Determination of U.S. Person 第2部分 美国人士的确定

○ The Account Holder is a U.S. Person pursuant to FATCA regulations with the following US TIN: 依照FATCA法规,账户持有人为美国人士,美国纳税识别号如下:

Please provide a completed IRS W-9 form. In case you are a Non-specified U.S. Person please also provide the applicable exemption from the FATCA reporting code A-M in line 4 of the W-9 form.

请提供填写完毕的IRS W-9表。如果您非指定的美国人士,同时请提供W-9表第4行中FATCA报告代码A-M的适用免除

 The Account Holder is not a U.S. Person pursuant to FATCA regulations. 依照FATCA法规, 账户持有人非美国人士。



Part 3. Tax Residence of Account Holder

第3部分 账户持有人的纳税居所

Important: An Account Holder is always a tax resident in at least one country, with the possibility of being a tax resident in multiple countries. Please

contact us in case the Account Holder has over three countries of tax residence as this information is to be supplied.

重要事项: 账户持有人至少为一个国家的纳税居民,也可能为多个国家的纳税居民。如果在提供本信息时,账户持有人有超过**3**个税务居住国,请联

系我们。

Please complete the following table indicating (i) where the Account Holder is Tax Resident and (ii) the Account Holder's Tax Identification Number ('TIN') for each jurisdiction indicated.

请填写以下表格表明(i)账户持有人是哪国的纳税居民;(ii)每个应申报的司法管辖区账户持有人的纳税识别号('TIN')。

If a TIN is unavailable please provide the appropriate reason A, B or C where applicable.

若没有TIN,请提供合理的原因A、B或C。

Reason A: The country in which the Account Holder is tax resident does not issue TINs to its residents

原因A: 账户持有人作为纳税居民的所在国未向居民发放TIN税号

Reason B: The Account Holder is otherwise unable to obtain a TIN or equivalent number

原因B: 账户持有人通过其他方式无法获得TIN或等同的代码

Reason C: No TIN is required (Note: only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN

issued by such jurisdiction)

原因C: 无需TIN(注意:仅在相关司法管辖区的国内法律不要求收集该管辖区发放的TIN的情况下选择此原因)

Country of tax residence 税务居住国	TIN TIN	Reason no TIN provided 若没有TIN,请说明原因。	Please explain why you are unable to obtain a TIN if you selected reason B or reason C 若您选择了原因B或者原因C,请在下框解释为何无法获得
1		Оа Ов Ос	
2		OA OB OC	
3		OA OB OC	

Each jurisdiction has its own version of the TIN, e.g. RSIN (NL), UTR (UK), Steuernummer (DE), SIREN (FR), NIP (PL) or NIF (ES). VAT number is usually not accepted as a TIN. If you want to know the right TIN for your tax residence, please visit http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/.

每个司法管辖区都有各自的TIN版本。 通常不接受税务编号为TIN 编号。如果想了解更多您税务注册地的正确TIN 编号,请访问如下网址:http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/.

Part 4. Entity FATCA & CRS classification 第4部分 纳税实体FATCA &CRS分类

Financial Institutions (FIs): Please provide FATCA and CRS status in box 4a on the left side. U.S. Persons only have to provide a CRS status

in section 4a2.

请在左侧方框4a中填写FATC和CRS状态。美国人士仅需要提供第4a2节中的CRS状态。

Non-Financial Entities (NFEs): Please complete box 4b on the right side. Please ensure to provide both a status for FATCA and CRS. U.S.

Persons only have to provide a CRS status in section 4b2.

非金融实体(NFE): 请填写右侧方框4b。请确保提供FATCA和CRS状态。美国人士仅需要提供第4b2节中的CRS状态。

Part 4a Financial Institutions 第4a部分 金融机构	Part 4b N
4a1 FATCA Please select the applicable FATCA status and provide the GIIN 请选择适用的FATCA状态,并提供GIIN	4b1 FATCA
Reporting Model 1 IGA FFI 汇报模型1 IGA FFI	
Participating FFI or Reporting Model 2 IGA FFI 参与FFI或汇报模型 2 IGA FFI	
Sponsored FFI 受赞助FFI	
Sponsored Closely Held Investment Vehicle 受到赞助的封闭式投资平台	
GIIN:	
Sponsor's Name (if applicable): 赞助者的名称(如适用):	
Reason if no GIIN can be provided 若您不能提供GIIN,请说明原因	
FFI which has applied/intends to apply for GIIN, but has not yet received a GIIN	O
FFI已经申请/计划申请GIIN,但尚未获得GIIN。	
Exempt Beneficial Owner 豁免受益所有人	
Certified Deemed Compliant FFI (e.g. an IGA I Non- reporting FFI, a registered charity, investment advisors and investment managers) FFI是已认证的合格者(如一个IGA I非报告FFI、注册的慈善机构、投资顾问及投资经理)	0
Non-participating FFI 非参与FFI	
Other, please state: 其他,请说明:	
4a2 CRS	
Depository or Custodial Institution, or Specified Insurance Company (including Non-reporting FI)	
存款机构、托管机构或特定的保险公司(包括非报告金融机构) Investment Entity located in a Non-participating jurisdiction and	
managed by another FI ² 位于非参与司法管辖区并由另一个金融机构管理的纳税实体 ²	
Please also complete Part 5: Controlling Persons 同时请填写第5部分: 控制人	
Other Investment Entity 其它投资纳税实体	

	inancial Entities	
4b1 FATCA	4b2 CRS	请同时填写FATCA 和CRS 空格
\circ		Active NFFE/NFE -
		Publicly traded NF(F)E or a related entity of
		a publicly traded entity. Please state the
		name of the established securities market:
		主动NFFE/NFE —— 上市交易的NF(F)E或上
		市交易机构的关联方。请正确提供已确定的证
		券市场名称:
	_	Name of publicly traded entity:
		上市交易实体的名称:
		A -45 NEEE/NEE - O
O		Active NFFE/NFE - Governmental entity or wholly owned by one or more Governmental
		entities
		主动NFFE/NFE —— 政府性纳税实体或由一个或
		多个政府性纳税实体全资控股的纳税实体
	-	2 1 WILLIAM STEEL WILLIAM STATES
		Active NFFE/NFE - International
		Organisation ¹ (Intergovernmental or
		supranational organisation)
		主动NFFE/NFE——国际组织 ¹ (政府间或跨国组
	1	织)
		Active NFFE/NFE - Central Bank or entity wholly
		owned by one or more Central Banks
		主动NFFE/NFE —— 中央银行或由一个或多个中
		央银行全资控股的纳税实体
\bigcirc		Active NFFE/NFE – Other than above
		主动NFFE/NFE —— 除上述以外
		D NEEE WEEE
\circ		Passive NFFE/NFE ²
	1	被动NFFE/NFE ²
0	With US Cor 有美国控制力	ntrolling Person(s) ² \^2
\cap	Without US	Controlling Person(s) ²
Ŭ	无美国控制/	
Ple	/ - / - / - / - / - / /	olete Part 5: Controlling Persons
同	时请填写第5部分	}: 控制人

^{1.} An international organization is (amongst others) comprised primarily of governments. Please refer to the Glossary for additional information.
国际组织(尤其)主要由各国政府组成。其他更多信息,请参见术语表。
2. Please also complete Part 5: Controlling Persons 请填写第5部分:控制人

Part 5. Information on Controlling Persons 第5部分控制人信息

Please provide the required information on your entity's Controlling Person(s)3. ING may be legally bound to report the data of Controlling Persons to the local tax authorities. The local tax authorities will report this information to the tax authorities of the participating countries where the Controlling Person(s) is/are tax resident. Please note that this information only needs to be provided if the entity is (i) an investment entity located in a nonparticipating jurisdiction and managed by another FI, (ii) a Passive NFE for CRS purposes or (iii) a Passive NFFE with US Controlling Persons for FATCA purposes. Where in Part 5 reference is made to a TIN, this can also be the local equivalent for an individual as approved by the relevant country. Please refer to the OECD TIN portal website.

请提供关于纳税实体控制人³的所需信息。ING可能有法律义务向当地税务机关报告纳税实体控制人的信息。当地税务机关会将此信息上报给控制人为纳税居民 的参与国的纳税机关。请注意:只有该机构是(i)位于某非参与司法管辖区且受另一家金融机构管理的投资机构或(ii)用于CRS目的的被动NFE或(iii)用于 FATCA目的的,有美国实体控制人的被动NFFE时,才需提交此信息。在第五部分提及到的TIN编码的地方,也同样适合用于个人,经当地国家认可后的。具

平信忌用但在 Controlling Per	写OECD TIN 网站。						
控制人1 First/Given and	I Middle Name(s)		Family Name(s)/Surname(s))		Date of Birth (DD-MM-YYYY)	
名字和中间名			姓			出生日期(年/月/日)	
Current resider 当前居住地址	nce address					City/Town of Birth 出生城市/城镇	
City/Town			ZIP/Post code	Country		Country of Birth	
城/镇 Country of Tax	Residence 1	TIN	邮编	国家 Reason no TIN ⁴ :	Please explain if you	出生国家 selected: 'B' or 'C' :	
税务居住国1				未提供TIN的原因 ⁴ : ○ A ○ B ○ C	如果选择"B"或者"C",	请加以说明	
Country of Tax 税务居住国2	Residence 2	TIN		Reason no TIN ⁴ : 未提供TIN的原因 ⁴ :	Please explain if you 如果选择"B"或者"C",		
Controlling person type	Legal Person: 法人:	Control by Ownership 所有权控制	Ocontrol by other means 其他方式控制	O Senior Managing Office 高级管理人员	cial		U.S. Perso 美国人士
控制人类型	Legal Arrangement - Trust:	Settlor	Trustee	Protector	Beneficiary	Other	YES
	法律安排-信托:	信托人	受托人	保护人	受益人	其他	是
	Legal Arrangement - Other: 法律安排-其他:	Settlor Equivalent 等同/类似信托人	Trustee Equivalent等同/类似受托人	Protector Equivalent 等同/类似保护人	Beneficiary Equivalent 等同/类似受益人	Other Equivalent 等同/类似其他	○ NO 无
Controlling Pen	son 2						
控制人2 First/Given and	I Middle Name(s)		Family Name(s)/Surname(s))		Date of Birth (DD-MM-YYYY)	
名字和中间名			姓	,		出生日期(年/月/日)	
Current resider 当前居住地址	nce address					City/Town of Birth 出生城市/城镇	
City/Town			ZIP/Post code	Country		Country of Birth	
城/镇 Country of Tax	Residence 1	TIN	邮编	国家 Reason no TIN⁴:	Please explain if you	出生国家 selected: 'B' or 'C' :	
税务居住国1				未提供TIN的原因 ⁴ :	如果选择"B"或者"C",		
Country of Tax 税务居住国2	Residence 2	TIN		Reason no TIN ⁴ : 未提供TIN的原因 ⁴ : A B C	Please explain if you 如果选择"B"或者"C"	selected: 'B' or 'C' : ,请加以说明	
Controlling person type	Legal Person: 法人:	Ocontrol by Ownership 所有权控制	Control by other means 其他方式控制	OSenior Managing Office 高级管理人员	cial		U.S. Perso 美国人士
控制人类型	Legal Arrangement - Trust:	Settlor	Trustee	Protector	Beneficiary	Other	YES
	法律安排-信托:	信托人	受托人	保护人	受益人	其他	是
	Legal Arrangement - Other: 法律安排-其他:	Settlor Equivalent 等同/类似信托人	Trustee Equivalent 等同/类似受托人	Protector Equivalent 等同/类似保护人	Beneficiary Equivalent 等同/类似受益人	Other Equivalent 等同/类似其他	O NO 无
Controlling Per	ron 2				守州人协文皿八		
						D . (D: 11 (DD MMA)0000	
A字和中间名	d Middle Name(s)		Family Name(s)/Surname(s 姓)		Date of Birth (DD-MM-YYYY) 出生日期(年/月/日)	
Current resider 当前居住地址	nce address					City/Town of Birth 出生城市/城镇	滇
City/Town			ZIP/Post code	Country		Country of Birth 出生国家	
城/镇 Country of Tax 税务居住国1	Residence 1	TIN	邮编	国家 Reason no TIN ⁴ : 未提供TIN的原因 ⁴ : A B C	Please explain if you 如果选择"B"或者"C",		
Country of Tax 税务居住国2	Residence 2	TIN		Reason no TIN ⁴ : 未提供TIN的原因 ⁴ :	Please explain if you 如果选择"B"或者"C"	selected: 'B' or 'C' : ,请加以说明	
Controlling person type	Legal Person: 法人:	Control by Ownership 所有权控制	Control by other means 其他方式控制	OSenior Managing Offic	cial		U.S. Perso 美国人士
控制人类型	Legal Arrangement - Trust:	Settlor	Trustee	Protector	Beneficiary	Other	YES
	法律安排-信托:	信托人	受托人	保护人	受益人	其他	是
	Legal Arrangement - Other:	Settlor Equivalent	Trustee Equivalent	O Protector Equivalent	Beneficiary	Other Equivalent	ONO

等同/类似信托人

Trustee Equivalent

等同/类似受托人

等同/类似保护人

Beneficiary

等同/类似受益人

等同/类似其他

法律安排-其他:

无

In case of over six Controlling Persons, or Controlling Persons with more than two Countries of Tax Residence, please contact us as this information is to be supplied. 如果控制人都这6人,或控制人有多个较多居住国,在提供本信息时,请取系我们。 If a TIN is unavailable, please provide the appropriate reason A, B or C in line with the definition under part 3. 若没有TIN、请按照第3部分下的定义提供合理的原因A.B或C。

Controlling Person 控制人4	1 4						
First/Given and Mi 名字和中间名	ddle Name(s)		Family Name(s)/Surname(s) 姓)		Date of Birth (DD-MM-YYYY) 出生日期(年/月/日)	
Current residence 当前居住地址	address					City/Town of Birth 出生城市/城镇	
City/Town 城/镇			ZIP/Post code 邮编	Country 国家		Country of Birth 出生国家	
Country of Tax Re 税务居住国1	sidence 1	TIN		Reason no TIN ⁴ : 未提供TIN的原因 ⁴ : A B C	Please explain if you 如果选择"B"或者"C",		
Country of Tax Re 税务居住国2	sidence 2	TIN		Reason no TIN4: 未提供TIN的原因4: A B C	Please explain if you 如果选择"B"或者"C",		
Controlling person type	Legal Person: 法人:	Control by Ownership 所有权控制	Control by other means 其他方式控制	Osenior Managing Office 高级管理人员	cial		U.S. Person 美国人士
控制人类型	Legal Arrangement - Trust: 法律安排-信托:	O Settlor 信托人	○Trustee 受托人	OProtector 保护人	O Beneficiary 受益人	Other 其他	OYES 是
	Legal Arrangement - Other: 法律安排-其他:	Settlor Equivalent 等同/类似信托人	Trustee Equivalent等同/类似受托人	Protector Equivalent 等同/类似保护人	OBeneficiary Equivalent 等同/类似受益人	Other Equivalent 等同/类似其他	ONO 无

First/Given and	Middle Name(s)		Family Name(s)/Surname(s))		Date of Birth (DD-MM-YYYY)		
名字和中间名			姓	姓			出生日期(年/月/日)	
Current residenc	ce address					City/Town of Birth 出生城市/城镇		
City/Town			ZIP/Post code	Country		Country of Birth		
城/镇			邮编	国家		出生国家		
Country of Tax F 税务居住国1	Residence 1	TIN		Reason no TIN ⁴ : 未提供TIN的原因 ⁴ : A B C	Please explain if you se 如果选择"B"或者"C",请			
Country of Tax F 税务居住国2	Residence 2	TIN		Reason no TIN ⁴ : 未提供TIN的原因 ⁴ : A B C	Please explain if you se 如果选择"B"或者"C",详			
Controlling Legal Person:		Control by Ownership	Ocontrol by other means	Senior Managing Office	ial		U.S. Person	
person type	法人:	所有权控制	其他方式控制	高级管理人员			美国人士	
控制人类型	Legal Arrangement - Trust:	Settlor	Trustee	Protector	Beneficiary	Other	YES	
	法律安排-信托:	信托人	受托人	保护人	受益人	其他	是	
	Legal Arrangement - Other: 法律安排-其他:	Settlor Equivalent 等同/类似信托人	Trustee Equivalent 等同/类似受托人	Protector Equivalent 等同/类似保护人	Beneficiary Equivalent 等同/类似受益人	Other Equivalent 等同/类似其他	O NO 无	

First/Given and I	Middle Name(s)		Family Name(s)/Surname(s))		Date of Birth (DD-MM-YYYY)	
名字和中间名			姓			出生日期(年/月/日)	
Current residenc 当前居住地址	ce address					City/Town of Birth 出生城市/城镇	
City/Town 城/镇			ZIP/Post code 邮编	Country 国家		Country of Birth 出生国家	
Country of Tax F 税务居住国1	Residence 1	TIN		Reason no TIN⁴: 未提供TIN的原因⁴:	Please explain if you 如果选择B" 或者C",		
Country of Tax F 税务居住国2	Residence 2	TIN		Reason no TIN ⁴ : 未提供TIN的原因 ⁴ : A B C	Please explain if you 如果选择"B"或者"C",		
Controlling Legal Person: Control by Owne		Control by Ownership	Control by other means Senior Managing Official			U.S. Perso	
person type	法人:	所有权控制	其他方式控制	高级管理人员			美国人士
控制人类型	Legal Arrangement - Trust: 法律安排-信托:	Settlor	Trustee	Protector	Beneficiary	Other	YES
	公伴女州	信托人	受托人	保护人	受益人	其他	是
	Legal Arrangement - Other: 法律安排-其他:	Settlor Equivalent 等同/类似信托人	Trustee Equivalent等同/类似受托人	Protector Equivalent 等同/类似保护人	Beneficiary Equivalent 等同/类似受益人	Other Equivalent 等同/类似其他	O NO 无

^{4.} If a TIN is unavailable, please provide the appropriate reason A, B or C in line with the definition under part 3. 若没有TIN,请按照第3部分下的定义提供合理的原因A、B或C。

Part 6. Declaration and Signature

第6部分声明与签字

As a representative authorised to sign on behalf of the entity:

作为该纳税实体的授权代表签署:

I undertake to provide ING with true and accurate information, and to notify ING of any change in circumstances that may cause any information included on this form to become incorrect by providing a true and accurately updated form within **30 days of such change**.

我承诺向ING提供真实准确的信息,在情况发生变化导致本表信息不正确的情况下,将变化告知ING,并在**变化后的30日**内提供真实且准确更新的表格。

I declare that, if applicable, I have obtained permission from the Controlling Persons mentioned in part 5 to disclose information related to them for the purpose of it being reported to the tax authorities.

本人声明,如适用,本人已从第5部分提及的控制人处获得许可,在上报税务机关过程中本人可将控制人的相关信息披露。

I acknowledge that the information contained in this form and information regarding the Account Holder and/or Controlling Person(s) and any reportable account(s) may be reported to the tax authorities of the country/jurisdiction in which this account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which the Account Holder and/or Controlling Person(s) may be tax resident pursuant to intergovernmental/multilateral agreements to exchange financial account information.

本人确认,本表中的信息,以及有关账户持有人和/或控制人和任何可报告账户的信息可以向持有账户所在的国家/司法管辖区的税收机构报告,并可以依照政府间/双边金融账户信息交换协议与账户持有人和/或控制人为纳税居民的另外一个或多个国家/司法管辖区的税收机构交换。

I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. 本人声明,本人已审阅本表信息,以本人所知及所信担保,所写内容真实无误及完整。

I acknowledge that in certain jurisdictions, applicable laws prescribe that failure to comply with the aforementioned information obligations may result in an enforcement action, taken by a competent public authority. An example hereof is a monetary fine.

本人承认,在某些司法管辖区,适用法律规定不遵守上述信息义务可能导致公共主管当局采取强制措施。例如罚款。 Authorised representative 1 Authorised representative 2 授权代表 1 授权代表 2 DD-MM-YYYY DD-MM-YYYY 日期 First and middle name(s) First and middle name(s) 名和中间名 名和中间名 Last name Last name Signature Signature 签名: 答名: Authorised representative 3 Authorised representative 4 授权代表 3 授权代表 1 DD-MM-YYYY DD-MM-YYYY 日期 日-月-年 First and middle name(s) First and middle name(s) 名和中间名 名和中间名 Last name Last name 姓 Signature Signature 签名: 签名:

