

**New Account Questionnaire – Company Account** 新版开户信息搜集表 - 公司账户

The purpose of this questionnaire is to provide all necessary information that will enable the Bank to evaluate and approve your request.  
本信息搜集表旨在提供所有必要信息，以确保银行能够评估、批准您的开户需求。

The questionnaire has to be filled in and submitted in English **ONLY** 此表格必须用英文填写

**1A. APPLICANT'S GENERAL INFORMATION** 申请者的基本信息

Company 公司  Partnership 合营公司

Company name:  
公司全名

(as it appears on the Certificate of Incorporation or equivalent documents) (显示在公司注册文件上的名称)

Company is:  Private 私营公司  Public and Stock Exchange Unlisted 非上市公众公司  Public and Stock Exchange Listed 上市公司

Public Company Listed on:  
上市市场

Company has issued Bearer Shares  YES 是  NO 否

Is Applicant a Trustee?  YES 是  NO 否

Name of Trust:  
信托名称

Trust Registration Country:  
信托注册所在国

CY Trust Registration Number:  
塞浦路斯信托注册号

CY Trust Registration Date:  
塞浦路斯信托注册日期

Partnership Name:  
合伙人名称

(as it appears on the Certificate of Incorporation or equivalent documents) 显示在公司注册文件上的名称

Partnership is a:  General Partnership 普通合伙  Limited Partnership 有限合伙  Limited Liability Partnership 有限责任合伙

**Registration Details** 注册信息

Number:  
注册编码

Date (dd/mm/yy):  
注册日期

Country of incorporation:  
注册国家

**Registered Address** 注册地址

Number & street:  
街道及门牌号

Postal Code:  
邮编

Town:  
市镇

Country:  
国家

**Physical Address** 营业地址

Number & street:  
街道及门牌号

Postal Code:  
邮编

Town:  
市镇

Country:  
国家

**Address of Primary Business Activities** 主营业务地址

Number & street:  
街道及门牌号

Postal Code:  
邮编

Town:  
市镇

Country:  
国家

**Correspondance Address 通讯地址**

Registered Address 注册地址  Physical Address 营业地址  Other (please specify below) 其他 (请在下方说明)

Number & street:   
街道及门牌号

Postal Code:  Town:  Country:   
邮编 市镇 国家

**Contact Details 联系方式**

Telephone / Bus. Telephone Number:  Email:   
电话号码 电子邮箱

Mobile Number:  Skype ID:   
移动电话 网络电话 (Skype账号)

Fax Number:  Web Address:   
传真号码 网址

**1B. SELF - CERTIFICATION 自我认证**

Pursuant to the Agreements for the Automatic Exchange of Information which were concluded and/or will be concluded between the Republic of Cyprus and other countries for tax matters and the relevant legislation (including those relating to the Foreign Account Tax Compliance Act - FATCA and the Common Reporting Standard - CRS), Bank of Cyprus ('the Bank') is required to identify entities (as account holders) and/or their controlling persons that are tax residents in foreign jurisdictions (for purposes of CRS) and are US Persons (for purposes of FATCA) and report all related information to the Tax Department in Cyprus which in turn will report this information to Tax Departments of the foreign jurisdictions and/or to the IRS of the United States. As a Bank, we therefore request you to complete this Self-Certification Form (with reference to the Glossary), in cooperation with your tax/legal/accounting advisor (if so required). Further information on FATCA and CRS can be found on the websites of Bank of Cyprus at [www.bankofcyprus.com](http://www.bankofcyprus.com), the Association of Cyprus Banks at [www.acb.com.cy](http://www.acb.com.cy), the U.S. IRS at [www.irs.gov/fatca](http://www.irs.gov/fatca) and the OECD at <http://www.oecd.org/tax/automatic-exchange>

根据塞浦路斯共和国和其他国家之间在税务事宜上和/或相关信息的自动交换协议和相关立法 (包括外国帐户税务合规法-FATCA和共同报告标准-CRS), 塞浦路斯银行 ("本行") 需要确定帐户实体 (作为账户持有人) 和/或其控制人, 是否是作为外国司法管辖区的税务居民 (根据CRS的要求), 以及是否是美国公民 (根据FATCA要求)。并将所有相关信息报告给塞浦路斯税务部门, 后者会将此信息报告给外国司法机构和/或美国国税局的税务部门。作为银行, 我们请您与您的税务/法律/会计顾问 (如果需要) 合作, 完成此自我认证表 (参考词汇表) 的填写。更多FATCA和CRS的信息请见塞浦路斯银行网站 [www.bankofcyprus.com](http://www.bankofcyprus.com) 塞浦路斯银行协会网站 [www.acb.com.cy](http://www.acb.com.cy) 美国国税局网站 [www.irs.gov/fatca](http://www.irs.gov/fatca) 和 [www.oecd.org/tax/automatic-exchange](http://www.oecd.org/tax/automatic-exchange)

**PART 1 - U.S. FATCA** (For definition of terms refer to Glossary page 12) 美国《海外账户纳税法案》(详情参照附件第12页)**SECTION 1 - Classification of U.S. Entities** (U.S. Persons) 实体类型 (美国公民)

If the entity is a U.S. Person (i.e. legal entity organised in the United States or under the laws of the United States or any State thereof), please tick one of the below categories and complete as appropriate, and then proceed to PART 2 - CRS.

如果该实体是美国人 (即在美国或根据美国法律属于美国法人实体), 请在以下适当项进行勾选, 然后完成第二部分。

**Specified U.S. Person** and the entity's U.S. Federal Taxpayer Identifying Number (U.S. TIN) is as follows:  
美国人及法人实体美国联邦纳税人识别号 (TIN):

**Non - Specified U.S. Person** 非指定美国人

If the entity is not a U.S. Person, please complete Section 2.  
若法人主体不是美国人, 请完成第2项

**SECTION 2 - U.S. FATCA Classification for all NON U.S. ENTITIES 实体类型 (非美国公民)****2.1 FINANCIAL INSTITUTION 金融机构**

If the entity is a **Financial Institution**, please tick one of the below categories, and provide the entity's FATCA **Global Intermediary Identification Number (GIIN)** where required. 若实体是一个金融机构, 请选择以下类别, 并按要求提供对应的实体的 FATCA全球中介识别号 (GIIN)。

- Registered Deemed-Compliant FFI** Please provide your GIIN:   
 登记视同遵守 FATCA 的 FFI 请提供GIIN号
- Certified Deemed Compliant, or otherwise Non-Reporting Foreign Financial Institution** (including a Foreign Financial Institution deemed compliant under Annex II of an IGA, except for a Trustee Documented Trust or Sponsored Financial Institution). 经认证视同遵守 FATCA 的未登记地方银行。 FFI (获赞助 FFI 或非申报 IGA FFI 除外)
- Participating 参与 FATCA 的 FFI** Please provide your GIIN:   
 请提供GIIN号
- Trustee Documented Trust**  
 受托人提供证明文件的信托或受赞助实体  
 Trustee's Name:   
 受托人姓名  
 Trustee's GIIN:   
 受托人GIIN号
- Sponsored Financial Institution** that has not yet obtained a GIIN but is sponsored by another entity that has registered as a Sponsoring Entity. Please provide the Sponsoring Entity's name and GIIN.  
 获赞助 FFI (入无GIIN请提供获赞助 FFI之GIIN号)
- Sponsoring Entity's Name:   
 赞助实体姓名
- Sponsoring Entity's GIIN:   
 赞助实体GIIN号
- Non - Participating FFI 不参与金融机构**

**2.2 NON - FINANCIAL INSTITUTION 不参与金融机构**

If the entity is **NOT a Financial Institution**, please confirm the Entity's FACTA status below:  
 若实体为不参与金融机构, 请确认以下FATCA信息:

- Active Non-Financial Foreign Entity** (including an Excepted NFFE) 主动不参与金融机构 (包括除了NFFE)
- Passive Non-Financial Foreign Entity** (if you ticked this, please report all US controlling persons as per Section 3 below).  
 非主动不参与金融机构 (如果勾选, 请完成报告第三部分美国控制人员)
- Exempt Beneficial Owner 免除受益人**

**SECTION 3 - U.S. Controlling Persons of Passive NFFE 非主动不参与金融机构的美国籍控制人**

If the entity is a **Passive Non-Financial Foreign Entity** as marked in Section 2.2 above, please fill in the following table with the details of any Controlling Person(s) that are U.S. Persons. 如果实体是被动的非金融外国实体, 如第2.2节所述, 请填写以下表格美国人的任何控制人的详情。

Name and Address 全名及地址	Position 职位	U.S. TIN 美国纳税号 (TIN)

**PART 2 - COMMON REPORTING STANDARD (CRS)** (For definition of terms refer to the Glossary on page 12)

共同申报准则 ( CRS ) 条款请见附件

**SECTION 4 - Declaration of All Tax Residencies 所有税收居民申报**

Please indicate the Entity's place of tax residence (if resident in more than one country please detail all countries and associated Taxpayer Identification Number in each country). *If no TIN is available please provide your Social Security Number and indicate one of the reasons below.* 请注明实体注册地 ( 如果注册地在多个国家, 请详细说明所有国家和相关每个国家纳税人识别号。如果没有可用的税号, 请提供您的社保号并注明原因

If you are resident in more than three jurisdictions, please use a separate sheet. 如果居住地在三个以上的司法管辖区, 请使用另一张表格

Country of Tax Residence 纳税居住国	Taxpayer Identification Number (TIN) or Functional Equivalent * 纳税人识别号 ( TIN ) 或具有相等功能的编号		If no TIN available enter Reason A, B or C ** 如果没有TIN码, 请填写原因A、B或C
	Type of Document 文件类型	Number 号码	

Reason A - The Country where the entity is tax resident does not issue TINs to its residents. 理由A - 注册国家并未签发TIN码

Reason B - The entity is otherwise unable to obtain a TIN or functional equivalent (please explain): 理由B- 账号持有人无法获得TIN编码 ( 请解释 )

Reason C - No TIN is required (Note: Only select this reason where the authorities of the country of tax residence entered above, do not require the TIN to be disclosed). 原因C-- 不需要TIN编码 ( 注意 : 此选项仅适用于上方填写的居民税收国不要求采集TIN )

**SECTION 5 - CRS Classification CRS ( 共同申报准则 ) 的分类**

Please provide your CRS classification by ticking the corresponding box(es). Note that CRS classification does not necessarily coincide with your classification for U.S. FATCA purposes. 请提供您的CRS分类在相应的框中勾选。注意, CRS的分类并不需要与您美国的FATCA目的分类一致

**5.1** If the entity is a **Financial Institution (FI)**, please specify the type of Financial Institution below: 若实体为金融机构, 请见以下详情

- Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution.**  
(If you have ticked this box please provide the details of the Controlling Person(s) in Section 6. Please refer to the definition of Controlling Person). 投资主体位于非参与管辖范围内并由另一金融机构监管 ( 如果您勾选了此项, 请在第6项中提供的控制人的详情。请参阅控制人的定义 )
- Other Investment Entity 其他投资主体**
- Financial Institution** (including a Depository Institution, Custodial Institution, Specified Insurance Company, Provident Fund)  
金融机构 ( 包括存款机构、托管机构、特定保险公司、公积金 )

**5.2** If the entity is a **NON - Financial Entity ("NFE")**, please specify the type of NFE below:  
如果实体为非金融实体 ( NFE ) , 请注明NFE的类型

- Active NFE 主动非金融主体**
- Passive NFE** (if you have ticked this box, please provide the details of the Controlling Person(s) in Section 6. Please refer to the definition of Controlling Person in the Glossary.  
非主动金融主体 ( 若勾选此项, 请在第6项中提供控制人的详情 )
- Active NFE - Non Reportable 主动非金融主体-非报告**

**SECTION 6 - Controlling Persons 控制人**

If you have ticked **Investment Entity in a Non-Participating Jurisdiction managed by another Financial Institution** in Section 5.1 above or **Passive Non-Financial Entity** in Section 5.2 above, please fill in the following table with the respective details of all *Controlling Persons*. Please report all countries in which each Controlling Person is tax resident. *If no TIN is available, please provide your Social Security Number (SSN) and indicate one of the reasons below.* 如果在第5.1部分勾选了投资主体位于非参与管辖范围内以及由另一金融机构监管或第5.2部分勾选了非主动金融主体，请填写以下每个控制人的详情。请提供每个控制人的居住国信息。如果没有TIN可用，请提供您的社保号 (SSN)，并解释原因。

**Controlling Person 1 控制人1**

<b>Full Name:</b> 全名	<input type="text"/>	<b>Address:</b> 地址	<input type="text"/>
<b>Place of Birth:</b> 出生地	<input type="text"/>	<b>Date of Birth:</b> 出生地	<input type="text"/>
<b>Country of Tax Residence:</b> 居住国	<input type="text"/>	<b>TIN or Functional Equivalent:</b> Type of Document: TIN及相关文件：文件类型	<input type="text"/>
<b>Number:</b> 编码	<input type="text"/>	<b>If no TIN available, enter Reason A, B or C *:</b> 如果没有TIN码，请填写原因A、B或C	<input type="text"/>
<b>Further explanation only if selected Reason B:</b> 若选择原因B，请做出详尽解释		<input type="text"/>	

**Controlling Person 2 控制人2**

<b>Full Name:</b> 全名	<input type="text"/>	<b>Address:</b> 地址	<input type="text"/>
<b>Place of Birth:</b> 出生地	<input type="text"/>	<b>Date of Birth:</b> 出生地	<input type="text"/>
<b>Country of Tax Residence:</b> 居住国	<input type="text"/>	<b>TIN or Functional Equivalent:</b> Type of Document: TIN及相关文件：文件类型	<input type="text"/>
<b>Number:</b> 编码	<input type="text"/>	<b>If no TIN available, enter Reason A, B or C *:</b> 如果没有TIN码，请填写原因A、B或C	<input type="text"/>
<b>Further explanation only if selected Reason B:</b> 若选择原因B，请做出详尽解释		<input type="text"/>	

**Controlling Person 3 控制人3**

<b>Full Name:</b> 全名	<input type="text"/>	<b>Address:</b> 地址	<input type="text"/>
<b>Place of Birth:</b> 出生地	<input type="text"/>	<b>Date of Birth:</b> 出生地	<input type="text"/>
<b>Country of Tax Residence:</b> 居住国	<input type="text"/>	<b>TIN or Functional Equivalent:</b> Type of Document: TIN及相关文件：文件类型	<input type="text"/>
<b>Number:</b> 编码	<input type="text"/>	<b>If no TIN available, enter Reason A, B or C *:</b> 如果没有TIN码，请填写原因A、B或C	<input type="text"/>
<b>Further explanation only if selected Reason B:</b> 若选择原因B，请做出详尽解释		<input type="text"/>	

**Information for Section 6**

\* Does not apply to U.S. Persons - if a TIN is not available please provide the appropriate reason A, B or C

\* 不适用于美国居民-如果无法提供纳税号码，请给出适当原因 A, B, C

**Reason A** - The Country where the Account Holder is a tax resident does not issue TIN's to its residents

原因A- 账户持有人的纳税居民国不对其居民签发TIN编号

**Reason B** - The Account Holder is otherwise unable to obtain a TIN (please explain)

原因B- 账户持有人无法获得一个TIN编码 (请做解释) :

**Reason C** - No TIN is required (Note: Please select this reason only where the domestic law of the relevant authorities of the country of tax residence entered above, does not require the collection of the TIN issued by such country of tax residence to be disclosed.

原因C- 不需要TIN编码 (注意：此选项仅适用于上方填写的居民税收国的相关官方税收法不要求采集TIN (TIN由需要公开征收居民税的国家签发))

**1C. RELATED PARTIES 关联方**

(Directors, Secretary, Shareholders, Ultimate Beneficial Owners / Beneficiaries, Signatories, Trustees, Settlor, Protector, Partners, Attorney). 董事、秘书、股东、最终实益拥有人/受益人, 委托人, 受托人, 签署者, 保护者, 合作伙伴, 律师

Name 全名	Nationality 国籍	Passport/ID No. 护照、身份证号码	Profession 职业	Relation 与开户人的关系	Shareholding Percentage (if applicable) 持股比例 (如适用)

For signatories, please indicate the signing method: 签字人, 请标注签字条件:

Single   
一人有效

Joint   
联名

Any two   
任何两位

Other   
其他

Please specify:  
请说明

**2. FINANCIAL INFORMATION 财务信息****2.1 Main business activities: 主营业务**

Please provide a detailed description of the nature of your business activities, including details of goods and services you trade / provide. "General trading", "consulting", "imports and exports" are insufficient descriptions and are not acceptable. In cases of holding companies, please provide us with the activities of the group and a list of the companies in the group along with a tree diagram. 请详细描述贵司的营业活动性质, 包括贵司所从事的贸易产品或贵司所提供的服务内容。“一般贸易”“咨询”“进出口”则为不完整描述, 也不被接受。如果是持股公司, 请提供集团业务范围以及集团构架图。

**2.2 Countries / districts of main business activities: 主营业务涉及的国家及地区**

**2.3 Number of years in operation:**   
经营年限

**2.4 Number of employees:**   
经营年限

**2.5 Group Member:**  Yes 是  No (If YES please complete the below fields) 否 (如是, 请完成以下信息)

Group Name:   
集团名称

Group Size:   
集团名称

Group Countries:   
集团所在国家

Group Website:   
集团所在国家

Group's Activities:   
集团主营业务

**2.6 Expected Turnover on Account** 集团主营业务

Expected Annual Dr turnover on account (equivalent in €): 预计年销售进项额 (欧元)

Current Year 预计年销售进项额 (欧元)	Amount in € 金额 (欧元)
<input type="text"/>	<input type="text"/>

Expected Annual Cr turnover on account (equivalent in €): 金额 (欧元)

Current Year 预计年销售进项额 (欧元)	Amount in € 金额 (欧元)
<input type="text"/>	<input type="text"/>

**2.7 Source / Value of Income:** 收入来源

Type 类型	Description 类型	Amount 类型
<input type="checkbox"/> Rent 房租		
<input type="checkbox"/> Interest 利息		
<input type="checkbox"/> Bonus 分红		
<input type="checkbox"/> Dividends 红利		
<input type="checkbox"/> Annual Sales 年销售额		
<input type="checkbox"/> Other 分红		

**2.8 Source / Value of Wealth:** 资产来源

Type 类型	Description 类型	Amount 类型
<input type="checkbox"/> Immovable Property 不动产		
<input type="checkbox"/> Movable Property 动产		
<input type="checkbox"/> Shares 股票		
<input type="checkbox"/> Bonds 债券		
<input type="checkbox"/> Deposits 存款		
<input type="checkbox"/> Other 其他		

**2.9 Purpose/reason of application for opening the account: 开户原因**

*i.e deposits/savings, commercial payments, card facilities, credit facilities, other (please specify)*

存款/储蓄, 商业付款, 信用卡产品, 信贷产品, 其他 (请注明)

--

**2.10 Nature of the transactions to be performed: 交易性质**

*i.e transfers, inward payments, outward payments, cheque deposits, cash deposits, use of cards, proceeds of credit facilities, letters of credit, other (please specify)* 转款, 支付, 支票支付的存款, 现金存款, 银行卡, 贷款, 信用贷款, 其他 (请注明)

--

**2.11 Expected origin of incoming funds: 预计资金来源**

	Name of orderor 订供货商名称	Address 地址	Website of orderor 网站	Country of orderor's bank 订供货商银行所在地	Business activities of orderor 订供货商主营业务
1					
2					
3					
4					

**Expected destination of outgoing payments: 预计付款目的地**

	Name of beneficiary 供货商名称	Address 地址	Website of beneficiary 网站	Country of beneficiary's bank 供货商银行所在地	Business activities of beneficiary 供货商主营业务
1					
2					
3					
4					



### 3. OTHER INFORMATION 供货商主营业务

#### Indication for Politically exposed Person (PEP): 政治公众人物测评 ( PEP )

Please specify whether any of the ultimate beneficial owners, directors, signatories or any other person duly authorized to act on behalf of the applicant, holds/held a prominent public function the last 12 months, or are associated with a person who holds/held prominent public function the last 12 months:

请注明在最终受益人、董事、签署人或任何被授权代表申请公司的负责人中，是否有在近12个月内为政治敏感人物，或者与政治敏感人物有关。

YES  NO  
是 否

Applicant's relationship with the person that holds/held the prominent public function (director, beneficial owner, signatory, etc):

申请者与政治公众人物的关系 ( 董事, 受益人, 文件签署人等 )

Name of person that holds/held the prominent public function:

政治公众人物说明 ( PEP ) 的姓名

Position:

职位

Country of the position held:

任职国家

Period in which this individual holds/held the political/public function:

从政周期

From:

从

To:

至

### 4. REQUESTED BANKING SERVICES 申请银行服务

#### 4.1 Debit card 借记卡

Card Type:

借记卡类型

IBU Visa Debit Business

IBU Visa 公司卡

Currency:

币种

Euro

欧元

USD

美元

GBP

英镑

Card Holder Name 持卡人名称	ID / Passport 护照信息	Contact details ( Address, Mobile number ) 联系方式 ( 地址及移动电话 )	Priority pass 贵宾卡	Bank next Products 银行新产品
			<input type="checkbox"/> Yes <input type="checkbox"/> No 是 否	<input type="checkbox"/> Tagpay <input type="checkbox"/> Wearable Pay
			<input type="checkbox"/> Yes <input type="checkbox"/> No 是 否	<input type="checkbox"/> Tagpay <input type="checkbox"/> Wearable Pay
			<input type="checkbox"/> Yes <input type="checkbox"/> No 是 否	<input type="checkbox"/> Tagpay <input type="checkbox"/> Wearable Pay

\* The tagpay and wearablepay are a new way to make your purchases quickly and easy with no need to carry cash or card. For more details please visit the Bank of Cyprus website at [www.bankofcyprus.com.cy/cards](http://www.bankofcyprus.com.cy/cards)

\* tagpay 和wearablepay 是一种新的支付方式，方便您在购买商品时无需使用现金或银行卡就可以快捷支付。

4.2 Internet Banking  网上银行

1Bank User Name 网银操作者姓名	ID / Passport 护照号	Contact details (Address, Mobile number) 联系方式 (地址及移动电话)	Access Rights 访问权限	Digipass * 密码器
			<input type="checkbox"/> View Access 查账权限 <input type="checkbox"/> Full Access 所有权限	<input type="checkbox"/> SMS Digipass 手机短信 <input type="checkbox"/> Digipass App 手机APP
			<input type="checkbox"/> View Access 查账权限 <input type="checkbox"/> Full Access 所有权限	<input type="checkbox"/> SMS Digipass 手机短信 <input type="checkbox"/> Digipass App 手机APP
			<input type="checkbox"/> View Access 查账权限 <input type="checkbox"/> Full Access 所有权限	<input type="checkbox"/> SMS Digipass 手机短信 <input type="checkbox"/> Digipass App 手机APP

\* With the use of a Digipass, a user is able to perform money transactions easily and securely by generating one-time dynamic secret codes. For more details please visit the Bank of Cyprus website at [www.bankofcyprus.com.cy/internet banking /digipasses](http://www.bankofcyprus.com.cy/internet-banking/digipasses).

NOTE: for multiple signature schemes, please contact the responsible officer or branch.

使用密码器时，使用者能够通过产生的一次性随机密码安全便捷执行转账。如需更多详情，请您登陆塞浦路斯银行官方网站 [www.bankofcyprus.com.cy/internet banking/digipasses](http://www.bankofcyprus.com.cy/internet-banking/digipasses)。如果是多重签名方案，请直接联系您的账户经理或支行。

## 4.3 Accounts 账户

<input type="checkbox"/> Sight / current account 即期/活期账户	Currency 币种	<input type="text"/>
<input type="checkbox"/> Fixed Deposit account 定期存款帐户	Currency 币种	<input type="text"/>
<input type="checkbox"/> Trading Account 交易账户	Currency 币种	<input type="text"/>
<input type="checkbox"/> Other 其他	<input type="text"/>	

4.4 Treasury Sales Products - Dealing Room Services  金融产品

## 5. WEALTH MANAGEMENT SERVICES 财富管理服务

For your information, the Bank offers Wealth Management and Global Brokerage services. If you are interested in these services, please let us know if you would like a qualified person from our team to contact you and provide further information.  
供您参考，银行还提供财富管理和全球经纪人服务。如果您对此类业务感兴趣，请告知我们您是否需要我们银行的专业人士与您联系并向您提供更详尽的信息。

Please tick here if you are interested  如果您感兴趣，请在此方框内打勾

**Please make sure that you enclose the following documents and information and tick the boxes accordingly:**  
请确保已附上下方要求的文件信息，并在对应的方框内打勾：

- 1. Memorandum and articles of association of the company  
公司组织章程
- 2. Certificate of incorporation-registration  
公司注册证书
- 3. Certificate of Good Standing/Incumbency for foreign companies over two years old  
注册两年以上的海外公司需提供公司存续证明或董事在职证明
- 4. Certificate of directors/shareholders/registered office/secretary - or certificate from country's registrar's body or in some cases certificate from Ministry of Finance showing the tax exemption status of the company outlining all officials  
董事证明书、股东证明书、公司注册地址证书、秘书证书
- 5. Minutes of the subscribers appointing the initial directors 首任董事任职证明
- 6. All board minutes leading to the current status of the company 所有与公司现状有关的董事会议记录
- 7. Copies of identity cards/international passports of authorized signatories, registered shareholders, directors, beneficial owner(s) etc 授权签字人、登记股东、董事、受益人的身份证、护照复印件
- 8. Trust deed(s) between the beneficial owner(s) and the registered shareholder(s) acting as nominees (if applicable)  
受益人和被指定的登记股东之间的信托书 (如果适用的情况下)
- 9. Ownership/group structure leading to the beneficial owner (diagrammatical or otherwise)  
受益人相关的股权结构或集团构架 (图表或其他形式)
- 10. Proof of business address of group principal trading offices  
集团交易人员的地址证明
- 11. Proof of the permanent residential address of all related individuals to the company (directors, authorized signatories, beneficial owner(s), etc) i.e recent utility bills (not more than six months)  
公司所有相关个体的永久居住地址证明 (董事, 授权签字人, 受益人等) 例如, 近期6个月内的水电费单据
- 12. Short CV's of the ultimate beneficial owners and authorized signatories  
最终受益人和授权签字人的简历
- 13. Bank reference for beneficial owner(s), directors and authorized signatories (not older than 6 months)  
受益人, 董事和授权签字人6个月内的银行征信报告
- 14. Business cards of all Beneficial Owners  
所有受益人的名片
- 15. Recent Financial Statements / Management Accounts (for companies over 1 year old)  
注册一年以上的公司需提供最近的财务报表或管理账目
- 16. Counterparties Enrollment Form  
登记交易方信息
- 17. Contracts / Agreements with other Counterparties if available  
如果可以请提供与其他交易方之间的合同、协议

## Glossary for Section 1B Self-Certification

### Glossary for Part 1 - U.S. FATCA

#### General

**Entity** means a legal person or a legal arrangement such as a trust.

**Non-US Entity** means an Entity that is not a US Person.

**U.S. Person** means a U.S. citizen or resident individual, a partnership or corporation organized in the United States or under the laws of the United States or any State thereof, a trust if (i) a court within the United States would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of the trust, and (ii) one or more U.S. persons have the authority to control all substantial decisions of the trust, or an estate of a decedent that is a citizen or resident of the United States.

**Passive Income** means the portion of gross income that consists of:

1. Rents and royalties, other than rents and royalties derived in the active conduct of a trade or business conducted, at least in part, by employees of the NFFE;
2. Dividends, including substitute dividend amounts;
3. Interest or similar income;
4. Annuities;
5. The excess of gains over losses from transactions in foreign currency (including futures, forwards, and similar transactions)
6. The excess of gains over losses from swaps
7. Amounts received under cash value insurance contracts

#### Section 1 – Classification of U.S. ENTITIES (U.S. Persons)

**Specified US Person** means a U.S. Person, that is NOT a Non-Specified US Person

**Non-Specified US Person** means

- (i) a corporation the stock of which is regularly traded on one or more established securities markets;
- (ii) any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i);
- (iii) the United States or any wholly owned agency or instrumentality thereof;
- (iv) any State of the United States, any U.S. Territory\*, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;
- (v) any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code;
- (vi) any bank as defined in section 581 of the U.S. Internal Revenue Code;
- (vii) any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code;
- (viii) any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64);
- (ix) any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;
- (x) any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code;
- (xi) a dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State;
- (xii) a broker as defined in section 6045(c) of the U.S. Internal Revenue Code; or
- (xiii) any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.

\* U.S. Territory means American Samoa, the Commonwealth of the Northern Mariana Islands, Guam, the Commonwealth of Puerto Rico, or the U.S. Virgin Islands.

**U.S. TIN** means a U.S. federal taxpayer identification number.

#### Section 2.1 – Financial Institution

**Financial Institution (FI)** means a Custodial Institution, a Depository Institution, an Investment Entity, or a Specified Insurance Company.

**A. Custodial Institution** means any Entity that holds, as a substantial portion of its business, financial assets for the account of others.

An entity holds financial assets for the account of others as a substantial portion of its business if the entity's gross income attributable to the holding of financial assets and related financial services equals or exceeds 20 percent of the entity's gross income during the shorter of: (i) the three-year period that ends on December 31 (or the final day of a non-calendar year accounting period) prior to the year in which the determination is being made; or (ii) the period during which the entity has been in existence.

**B. Depository Institution** means any Entity that accepts deposits in the ordinary course of a banking or similar business.

**C. Investment Entity** means any Entity that conducts as a business (or is managed by an entity that conducts as a business) one or more of the following activities or operations for or on behalf of a customer:

- (1) trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading;
- (2) individual and collective portfolio management; or
- (3) otherwise investing, administering, or managing funds or money on behalf of other persons.

**D. Specified Insurance Company** means any Entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract.

**Foreign Financial Institution (FFI)** means a Financial Institution that is not a U.S. Entity.

**Deemed-Compliant FFIs** are those specified in Annex II of the Intergovernmental Agreement between the Republic of Cyprus and the United States.

1. **A Registered Deemed-Compliant FFI** needs to obtain a Global Intermediary Identification Number (GIIN) from the IRS and submit annual returns to the Cyprus Tax Department.

2. **A Certified Deemed-Compliant FFI** is not required to register with the IRS and obtain a GIIN.

**Participating FFI** means a Financial Institution that has agreed to comply with the requirements of an FFI Agreement (which is an agreement that sets forth the requirements for a Financial Institution to be treated as complying with the requirements of section 1471(b) of the US Internal Revenue Code).

**Non-participating FFI** means a non-participating FFI, as that term is defined in relevant US Treasury Regulations, but does not include a Cyprus Financial Institution or other Partner Jurisdiction Financial Institution\*\* other than a Financial Institution treated as a Non-participating Financial Institution pursuant to subparagraph 2(b) of Article 5 of the Intergovernmental Agreement between the Republic of Cyprus and the United States or the corresponding provision in an agreement between the United States and a Partner Jurisdiction.

Pursuant to subparagraph 2(b) of Article 5 of the Intergovernmental Agreement between the Republic of Cyprus and the United States,

if, in the case of a Reporting Cyprus Financial Institution, such enforcement actions do not resolve the non-compliance within a period of 18 months after notification of significant non-compliance is first provided, the United States shall treat the Reporting Cyprus Financial Institution as a Nonparticipating Financial Institution pursuant to this subparagraph 2(b).

\*\* **Partner Jurisdiction** means a jurisdiction that has in effect an agreement with the United States to facilitate the implementation of FATCA.

## Section 2.2 – Non-Financial Entity

**Non-Financial Foreign Entity (NFFE)** means any Non-U.S. Entity that is not a Foreign Financial Institution as defined in relevant U.S. Treasury Regulations or is an Entity which meets the requirements specified below, and also includes any Non-U.S. Entity that is established in Cyprus or another Partner Jurisdiction and that is not a Financial Institution.

The NFFE meets all of the following requirements:

(a) It 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;

(b) It is exempt from income tax in its jurisdiction of residence;

(c) It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;

(d) The applicable laws of the NFFE's jurisdiction of residence or the NFFE's formation documents do not permit any income or assets of the NFFE 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 NFFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFFE has purchased; **and**

(e) The applicable laws of the NFFE's jurisdiction of residence or the NFFE's formation documents require that, upon the NFFE'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 NFFE's jurisdiction of residence or any political subdivision thereof.

**Active NFFE** means any NFFE that meets any one of the following criteria:

(a) Less than 50 percent of the NFFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50 percent of the assets held by the NFFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;

(b) The stock of the NFFE is regularly traded on an established securities market or the NFFE is a Related Entity of an Entity the stock of which is regularly traded on an established securities market;

(c) The NFFE is organized in a U.S. Territory and all of the owners of the payee are bona fide residents of that U.S. Territory;

(d) The NFFE is a government (other than the U.S. government), a political subdivision of such government (which, for the avoidance of doubt, includes a state, province, county, or municipality), or a public body performing a function of such government or a political subdivision thereof, a government of a U.S. Territory, an international organization, a non-U.S. central bank of issue, or an Entity wholly owned by one or more of the foregoing;

(e) Substantially all of the activities of the NFFE 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 shall not qualify for NFFE 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;

(f) The NFFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFFE;

(g) The NFFE 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;

(h) The NFFE 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;

(i) The NFFE is an "excepted NFFE" as described in relevant U.S. Treasury Regulations; or

(j) The NFFE meets all of the following requirements:

1. It 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;
- 2. It is exempt from income tax in its jurisdiction of residence;
- 3. It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
- 4. The applicable laws of the NFFE's jurisdiction of residence or the NFFE's formation documents do not permit any income or assets of the NFFE 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 NFFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFFE has purchased; and
- 5. The applicable laws of the NFFE's jurisdiction of residence or the NFFE's formation documents require that, upon the NFFE'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 NFFE's jurisdiction of residence or any political subdivision thereof.

**Passive NFFE** means any NFFE that is not (i) an Active NFFE or (ii) a withholding foreign partnership or withholding foreign trust pursuant to relevant U.S. Treasury Regulations.

An Entity is a **Related Entity** of another Entity if either Entity controls the other Entity, or the two Entities are under common control. For this purpose control includes direct or indirect ownership of more than 50 percent of the vote or value in an Entity. Notwithstanding the foregoing, Cyprus may treat an Entity as not a Related Entity of another Entity if the two Entities are not members of the same expanded affiliated group as defined in section 1471(e)(2) of the U.S. Internal Revenue Code.

**Controlling Persons** means:

- (a) For companies and cooperative societies the ultimate beneficial owner, which is the natural person(s) who ultimately owns or controls a legal entity through direct or indirect ownership; a percentage of **25%** plus one share is deemed sufficient to meet this criterion, as defined by the Prevention and Suppression of Money Laundering Law (Law 188(I)/2007) and the relevant Directives of the Central Bank of Cyprus. Where no natural person(s) is identified as exercising control of the Entity, the Controlling Person(s) of the Entity will be natural persons(s) who holds the position of senior managing official, except for entities that are (or are majority owned subsidiaries of) an entity that is listed on a stock exchange..
- (b) For Unions, Administrative Committees, Foundations, Clubs, Associations and Fund Raising Committees, means the members of the Board of Directors/Committee and administrators of accounts.
- (c) For trusts accounts the Settlor(s), trustee(s), the protector(s) (if any), the beneficiary(ies) or classes of beneficiaries and any other natural person(s) exercising ultimate effective control over the trust.

**Exempt Beneficial Owners** are those specified in Annex II of the Intergovernmental Agreement between the Republic of Cyprus and the United States. Among others it includes:

- 1. Government and Governmental Organisations
- 2. International Organisations
- 3. Central Banks
- 4. Retirement Plans etc

**Related Entity** means an entity related to another entity because (i) either entity controls the other entity; (ii) the two entities are under common control; or (iii) the two entities are Investment Entities described limb B of the definition of Investment Entity, are under common management, and such management fulfils the due diligence obligations of such Investment Entities. For this purpose control includes direct or indirect ownership of more than 50 % of the vote and value in an Entity.

For any other terms and definitions, please refer to the Intergovernmental Agreement between the Republic of Cyprus and the United States (which can be found at the Bank of Cyprus' website).

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## Glossary for Part 2 - Common Reporting Standard

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### General

Resident for tax purposes Each jurisdiction has its own rules for defining tax residence, and jurisdictions have provided information on how to determine whether an entity is tax resident in the jurisdiction on the OECD automatic exchange of information portal. Generally, an Entity will be resident for tax purposes in a jurisdiction if, under the laws of that jurisdiction (including tax conventions), it pays or should be paying tax therein by reason of his domicile, residence, place of management or incorporation, or any other criterion of a similar nature, and not only from sources in that jurisdiction. Dual resident Entities may rely on the tiebreaker rules contained in tax conventions (if applicable) to solve cases of double residence for determining their residence for tax purposes. An Entity such as a partnership, limited liability partnership or similar legal arrangement that has no residence for tax purposes shall be treated as resident in the jurisdiction in which its place of effective management is situated. For additional information on tax residence, please talk to your tax adviser or see the OECD automatic exchange of information portal.

**TIN** means Taxpayer Identification Number. A TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual or an Entity and used to identify the individual or Entity for the purposes of administering the tax laws of such jurisdiction. Further details of acceptable TINs can be found at the OECD automatic exchange of information portal. Some jurisdictions do not issue a TIN. However, these jurisdictions often utilise some other high integrity number with an equivalent level of identification (a "functional equivalent").

**Functional Equivalent:** Some jurisdictions do not issue a TIN. However, these jurisdictions often use another high integrity number with an equivalent level of identification (a "functional equivalent"). Examples of that type of number for entities are Social Security Number, personal ID number for physical persons, business/company registration code/numbers for legal persons etc



## Section 5.1 – Financial Institution

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**Financial Institution** means a Custodial Institution, a Depository Institution, an Investment Entity, or a Specified Insurance Company, where:

- (a) Custodial Institution as defined in Section 3.1
- (b) Depository Institution as defined in Section 3.1;
- (c) Investment Entity as defined in Section 3.1
- (d) Broad Participation Retirement Fund – as defined in the Decree based on Article 6 of the Assessment and Collection of Tax Information Law
- (e) Narrow Participation Retirement Fund – as defined in the Decree based on Article 6 of the the Assessment and Collection of Tax Information Law

## Section 5.2 – Non-Financial Entity

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**Non-Financial Entity (NFE)** means any Entity that is not a Financial Institution.

**Passive Non-Financial Entity** means any: (i) Non-Financial Entity that is not an Active Non-Financial Entity; or (ii) an Investment Entity described in limb B (or subparagraph A(6)(b) of the Standard) of the definition of Investment Entity that is not a Participating Jurisdiction Financial Institution.

Related Entity means an entity related to another entity because (i) either entity controls the other entity; (ii) the two entities are under common control; or (iii) the two entities are Investment Entities described limb B of the definition of Investment Entity, are under common management, and such management fulfils the due diligence obligations of such Investment Entities. For this purpose control includes direct or indirect ownership of more than 50 % of the vote and value in an Entity.

**Controlling persons** means:

- (a) For companies and cooperative societies the ultimate beneficial owner, which is the natural person(s) who ultimately owns or controls a legal entity through direct or indirect ownership; a percentage of 25% plus one share is deemed sufficient to meet this criterion, as defined by the Prevention and Suppression of Money Laundering Law (Law 188(I)/2007) and the relevant Directives of the Central Bank of Cyprus. Where no natural person(s) is identified as exercising control of the Entity, the Controlling Person(s) of the Entity will be natural persons(s) who holds the position of senior managing official, except for entities that are (or are majority owned subsidiaries of) an entity that is listed on a stock exchange.
- (b) For Unions, Administrative Committees, Foundations, Clubs, Associations and Fund Raising Committees, means the members of the Board of Directors/Committee and administrators of accounts.
- (c) For trusts accounts the Settlor(s), trustee(s), the protector(s) (if any), the beneficiary(ies) or classes of beneficiaries and any other natural person(s) exercising ultimate effective control over the trust.

**Active NFE** means any NFE that meets any of the following criteria:

- a) less than 50% of the NFE's gross income for the preceding calendar year 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;
- b) the stock of the NFE is regularly traded on an established securities market or the NFE is a Related Entity of an Entity the stock of which is regularly traded on an established securities market;
- c) the NFE is a Governmental Entity, an International Organisation, a Central Bank, or an Entity wholly owned by one or more of the foregoing;
- d) 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;
- e) the NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the 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 organisation of the NFE;
- f) the NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganising with the intent to continue or recommence operations in a business other than that of a Financial Institution;
- g) 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; or
- h) the NFE meets all of the following requirements:
  - i) it 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 organisation, business league, chamber of commerce, labour organisation, agricultural or horticultural organisation, civic league or an organisation operated exclusively for the promotion of social welfare;
  - ii) it is exempt from income tax in its jurisdiction of residence;
  - iii) it has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
  - iv) 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
  - v) 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 organisation, or escheat

to the government of the NFE's jurisdiction of residence or any political subdivision thereof.

**Active NFE – Non-Reportable means**

- a) a corporation the stock of which is regularly traded on one or more established securities markets
- b) any corporation that is a Related Entity \*\*\* of such a corporation,
- c) a Governmental Entity,
- d) an International Organisation,
- e) a Central Bank

**\*\*\* Related Entity** means an entity related to another entity because (i) either entity controls the other entity; (ii) the two entities are under common control; or (iii) the two entities are Investment Entities described limb B of the definition of Investment Entity, are under common management, and such management fulfils the due diligence obligations of such Investment Entities. For this purpose, control includes direct or indirect ownership of more than 50 % of the vote and value in an Entity.