



# 永豐金證券(亞洲)有限公司 SinoPac Securities (Asia) Limited

Exchange Participant of The Stock Exchange of Hong Kong Limited

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## ACCOUNT OPENING FORM (Securities (Cash/Margin) / Futures) 開戶表格 ( 證券 ( 現金 / 保證金 ) / 期貨 )

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(Corporate Account)  
( 公司帳戶 )

**Client Name** 客戶姓名 : \_\_\_\_\_

**Account No.** 客戶帳號 : \_\_\_\_\_

Registered Office: 7th Floor, Lee Garden Three, 1 Sunning Road, Causeway Bay, Hong Kong  
註冊辦事處：香港銅鑼灣新寧道一號利園三期七樓  
Tel. 電話：(852) 2586-8288 Fax 傳真：(852) 2586-8300

SinoPac Securities (Asia) Ltd is a licensed corporation for Types 1, 2, 4, 5 and 9 regulated activities under the Securities and Futures Ordinance (CE Number: BIZ502).  
永豐金證券(亞洲)有限公司乃一家根據《證券及期貨條例》獲發牌進行第一、二、四、五及第九類受規管活動的持牌法團(中央編號：BIZ502)。

**IMPORTANT: If this Account Opening Form is accompanied by a Chinese version, in the event of any inconsistency, the English version of this Account Opening Form shall prevail.**  
重要提示：倘若本開戶表格附帶中文版，而與英文版有任何歧異，以英文版為準。

## Account Opening Guide 開戶須知

### Corporate Account Documents Checklist

#### 公司帳戶文件清單

Where this Account Opening Form is executed in the presence of an employee of SinoPac Securities (Asia) Limited, the Client shall provide the documents as required in Box A.

如本開戶表格於永豐金證券（亞洲）有限公司的僱員見證下簽署，則客戶須提供列明於 A 欄內的文件。

Where this Account Opening Form is not executed in the presence of an employee of SinoPac Securities (Asia) Limited, the Client must provide the documents as required in Box B.

如本開戶表格並非於永豐金證券（亞洲）有限公司的僱員見證下簽署，則客戶須提供列明於 B 欄內的文件。

| Box A (A 欄)   | Box B (B 欄)  |
|---|--|
| <ul style="list-style-type: none"> <li><input type="checkbox"/> Signed copy of this Account Opening Form 本開戶表格的簽署本</li> <li><input type="checkbox"/> A Signature Card (Please use the form on page 13) 印鑑卡一份 (請用第 13 頁之表格)</li> <li><input type="checkbox"/> Certified true copy of ID Card (Both Side) / Passport of each Authorized Person(s) (including persons signing on the account opening form on behalf of the company) 授權人士之身份證正反面 / 護照經認證真確副本 (包括被公司授權簽署開戶書的人士)</li> <li><input type="checkbox"/> Certified true copy of ID Card (Both Sides) / Passport of each Shareholder(s) who hold 10% or more of the ultimate beneficial interest of the Company (not applicable to public listed companies) 擁有公司 10% 或以上股權或最終權益股東之身份證正反面 / 護照經認證真確副本 (不適用於上市公司)</li> <li><input type="checkbox"/> Address Proof within 3 months of each Shareholder(s) who hold 10% or more of the ultimate beneficial interest of the Company (not applicable to public listed companies) (e.g. utility or telephone bill, investment statement, address as stated in ID) 擁有公司 10% 或以上股權或最終權益股東之三個月內之住址證明 (如：水電費或電話帳單、投資月結單、身份證上之地址) (不適用於上市公司)</li> <li><input type="checkbox"/> Certified true copy of Board Resolution authorizing the opening of the account (Please use the Form 1 on page 11 or provided by the Company) 董事會決議摘要經認證真確副本 (請用第 11 頁之表格一或使用公司原有之記錄)</li> <li><input type="checkbox"/> Company Search or Company Report (issued within 6 months, copies have to be certified by professional third parties) 公司查冊或公司報告 (須於 6 個月內簽發，副本須由專業第三者認證)</li> <li><input type="checkbox"/> Certificate of Incumbency (issued within 6 months, copies have to be certified by professional third parties) (applicable to offshore companies only) 職權證明書 (須於 6 個月內簽發，副本須由專業第三者認證) (只適用於離岸公司)</li> <li><input type="checkbox"/> Certified true copy of Shareholders and Directors Registers 董事名單及股東名單之經認證真確副本</li> <li><input type="checkbox"/> Certified true copy of Certificate of Incorporation 公司註冊成立證書經認證真確副本</li> <li><input type="checkbox"/> Certified true copy of Business Registration Certificate (if applicable) 商業登記證經認證真確副本 (如適用)</li> <li><input type="checkbox"/> Certified true copy of Memorandum and Articles of Association and other constitutional documents of the Company 組織章程大綱及細則及其他規章經認證真確副本</li> <li><input type="checkbox"/> Certified true copy of Register of Change of Particulars of the Company (if applicable) 公司設立變更登記表之經認證真確副本 (如適用)</li> <li><input type="checkbox"/> Business address proof (if different from registered address) 業務地址證明 (如跟註冊地址不同)</li> <li><input type="checkbox"/> Ownership structure identifying the individuals ultimately own the corporate client (for companies with multiple layers in ownership structure) 擁有權結構以核實最終實益擁有人身份 (適用於有多層擁有權的公司)</li> <li><input type="checkbox"/> Certified true copy of Significant Controllers Register (applicable to company incorporated in Hong Kong) or Beneficial Owners Register (applicable to offshore company incorporated in any jurisdiction requesting such register to be maintained) 重要控制人登記冊 (適用於香港成立之公司) 或最終實質擁有人名單 (適用於在任何要求保存此名單的司法管轄區成立之離岸公司) 之經認證真確副本</li> <li><input type="checkbox"/> Self-Declaration Form (Please use the Form 2 on page 12) (applicable to offshore companies only) 自我聲明表格 (請用第 12 頁之表格二) (只適用於離岸公司)</li> <li><input type="checkbox"/> Certified true copy of trust deed (applicable to trust account only) 信託書經認證真確副本 (只適用於信託帳戶)</li> <li><input type="checkbox"/> Annual Accounts for the Latest Financial Year (if applicable) 最新財政年度之年度帳目 (如適用)</li> <li><input type="checkbox"/> Form W-8BEN-E / W-8IMY (Please use Form 1 &amp; 2 on page 1 &amp; page 9 of Supplemental Documents) W-8BEN-E / W-8IMY 表格 (請用補充文件第 1 及第 9 頁之表格一及二)</li> <li><input type="checkbox"/> CRS (Common Reporting Standard) Self Certification Form - Entity/Controlling Person (Please use Form 3 &amp; 4 on page 17 &amp; page 22 of Supplemental Documents) 共同匯報標準自我證明表格 - 實體 / 控權人 (請用補充文件第 17 及第 22 頁之表格三及四)</li> <li><input type="checkbox"/> Notice to Substantial U.S. Owner of Corporate Client (Please use Form 5 on page 27 of Supplemental Documents) (if applicable) 法人客戶實質美國股東通知 (請用補充文件第 27 頁之表格五) (如適用)</li> <li><input type="checkbox"/> Standing Authority (Please use Form 6 on page 28 of Supplemental Documents) (if opening a Margin Account) 常設授權書 (請用補充文件第 28 頁之表格六) (如欲開立保證金帳戶)</li> <li><input type="checkbox"/> Margin Facility Agreement (Please use Form 7 on page 29 of Supplemental Documents) (if opening a Margin Account) 保證金融資協議書 (請用補充文件第 29 頁之表格七) (如欲開立保證金帳戶)</li> <li><input type="checkbox"/> Other document and/or information as SinoPac Securities (Asia) Limited may reasonably required 永豐金證券（亞洲）有限公司合理情況下需要之其他文件及 / 或資料</li> </ul> <p>(Account Executive and client must certify and sign if any of the abovementioned document is a copy)<br/>(以上文件若為副本須由客戶主任及客戶認證及簽署)</p> | <p>Document set out in Box A which shall be certified (unless otherwise states) by:<br/>A 欄所載的文件須由下列人士 (除另外說明) 認證:</p> <p>(a) a person licensed by or registered with the SFC or its affiliate;<br/>獲證監會發牌或註冊的人士或其聯號;</p> <p>(b) a Justice of the Peace; or<br/>太平紳士; 或</p> <p>(c) a professional person such as a branch manager of a bank, a certified public accountant, a lawyer, a notary public or a chartered secretary.<br/>專業人士, 例如銀行分行經理、執業會計師、律師、公證人或特許秘書等。</p> |



(1) Nature of business and (2) geographic location of business 公司 (1) 業務性質及 (2) 業務所在地

(1) \_\_\_\_\_ (2) \_\_\_\_\_

Trade Confirmation 交易核實資料書 (choose one only 只可選一項)

(Not applicable to Futures Account 不適用於期貨帳戶)

- Receive trade confirmation via E-mail 透過電郵索取交易核實資料書  
 Receive trade confirmation via Facsimile 透過傳真索取交易核實資料書  
 No trade confirmation required\* 不需要交易核實資料書\*

\* Despite your choice of not receiving trade confirmation, SinoPac Securities (Asia) Limited may still need to provide you trade confirmations on certain occasions in order to comply with regulatory requirements. In such cases, trade confirmation will be sent to the address you have selected to receive Daily / Monthly Statements.

\* 縱使客戶選擇不收取交易核實資料書，為合乎法規要求，在某些情況下永豐金證券（亞洲）有限公司可能仍需要向客戶提供交易核實資料書。在此等情況下，交易核實資料書將發送至客戶所選取的收取日/月結單的地址。

Address for Daily / Monthly Statement 寄送日/月結單的地址

(Facsimile Service NOT available to Futures Account 期貨帳戶不能選用傳真服務)

- Electronic Services to E-mail Address 經電子服務發送到電郵地址  
 Electronic Services to Facsimile Number 經電子服務發送到傳真號碼  
 Mailing Services to 郵遞服務寄送到 (choose one only 只可選一項)  
(Subject to a Physical Statement Annual Fee for each Account. Please refer to the fee schedule on the website of SinoPac Securities (Asia) Limited for details. 就每一帳戶須支付實體結單年費，詳情請瀏覽永豐金證券（亞洲）有限公司網頁內的收費表。)  
 Registered Office Address 註冊地址  Business Address 辦事處地址  Correspondence Address 通訊地址

## 2. Ultimate Beneficial Owner Information 最終實益擁有人資料

The individuals who are the ultimate beneficial owners of the shares of the Company (not applicable to public listed company)

公司股權最終實益擁有人 (不適用於上市公司)

| Name<br>姓名    | Nationality<br>國籍 | Place of Birth<br>出生地點 | ID/Passport No.<br>身份證 / 護照號碼 |
|---------------|-------------------|------------------------|-------------------------------|
| _____         | _____             | _____                  | _____                         |
| Address<br>地址 |                   |                        | Shareholding<br>股權 (%)        |
| _____         |                   |                        | _____                         |

| Name<br>姓名    | Nationality<br>國籍 | Place of Birth<br>出生地點 | ID/Passport No.<br>身份證 / 護照號碼 |
|---------------|-------------------|------------------------|-------------------------------|
| _____         | _____             | _____                  | _____                         |
| Address<br>地址 |                   |                        | Shareholding<br>股權 (%)        |
| _____         |                   |                        | _____                         |

You shall provide (1) ownership structure and (2) certified true copy of Significant Controllers Register (applicable to company incorporated in Hong Kong) or Beneficial Owners Register (applicable to offshore company incorporated in any jurisdiction requesting such register to be maintained) to identify the individuals who are your ultimate beneficial owner.

客戶須提供 (1) 擁有權結構及 (2) 重要控制人登記冊 (適用於香港成立之公司) 或最終實質擁有人名單 (適用於在任何要求保存此名單的司法管轄區成立之離岸公司) 之經認證真確副本以核實最終實益擁有人身分。

## 3. Director Information 董事資料

| Name<br>姓名    | Nationality<br>國籍 | Place of Birth<br>出生地點 | ID/Passport No.<br>身份證 / 護照號碼 |
|---------------|-------------------|------------------------|-------------------------------|
| _____         | _____             | _____                  | _____                         |
| Address<br>地址 |                   |                        |                               |
| _____         |                   |                        |                               |

| Name<br>姓名    | Nationality<br>國籍 | Place of Birth<br>出生地點 | ID/Passport No.<br>身份證 / 護照號碼 |
|---------------|-------------------|------------------------|-------------------------------|
| _____         | _____             | _____                  | _____                         |
| Address<br>地址 |                   |                        |                               |
| _____         |                   |                        |                               |

## 4. Financial Profile and Anticipated Activities 財務狀況及預期戶口活動

Paid-up Capital (in HK\$) \_\_\_\_\_ Major Assets \_\_\_\_\_  
繳足股本 (港元) \_\_\_\_\_ 主要資產 \_\_\_\_\_

Net Profit (After Tax) in preceding year (in HK\$) \_\_\_\_\_ Year \_\_\_\_\_  
上一年除稅後純利 (港元) \_\_\_\_\_ 年份 \_\_\_\_\_

Source of origins of funds 資金來源 (choose one or more 可選多項)

- Trading Profits 營業利潤  Manufacturing Profits 生產收益  Dividend/Interest Income 股息 / 利息收入  
 Service Income 服務收入  Rental Income 租金收入  Others (Please specify) 其他 (請註明): \_\_\_\_\_

Source of Wealth 財富來源 (choose one or more 可選多項)

- Development / Investment 發展投資  Intragroup Financing 集團內部融資  Fund from shareholders 股東資金  
 Business Ownership 企業所有權  Return on Investment 投資回報  Loan - Business 貸款 - 業務  
 Others (Please specify) 其他 (請註明): \_\_\_\_\_

Estimated annual income (in HK\$) 估計年度收入 (港元)

- Less than 少於 200,000  200,001 – 500,000  500,001 – 1,000,000  
 1,000,001 – 2,000,000  2,000,001 – 5,000,000  over 多於 5,000,000

Approximate net value of assets (in HK\$) 概約資產淨值 (港元)

- Less than 少於 500,000  500,001 – 1,000,000  1,000,001 – 3,000,000  
 3,000,001 – 8,000,000  8,000,001 – 40,000,000  over 多於 40,000,000

Anticipated nature of account activities 預期戶口活動性質 (choose one or more 可選多項)

- Listed equities  Listed futures / options  Placement  
 OTC products  Fund  Others (Please specify) 其他 (請註明): \_\_\_\_\_

Anticipated level of account activities (in HK\$) 預期戶口投資金額 (港元)

- Less than 少於 500,000  500,001 – 1,000,000  1,000,001 – 3,000,000  
 3,000,001 – 8,000,000  8,000,001 – 40,000,000  over 多於 40,000,000

### 5. Receiving Bank Account 收款銀行帳戶

Please provide details of your bank account as the settlement account to which your money will be transferred.

請提供可供轉入閣下款項的銀行帳戶資料。

(1) Name of Bank 銀行名稱: \_\_\_\_\_ (2) Name of Bank 銀行名稱: \_\_\_\_\_  
Address 地址: \_\_\_\_\_ Address 地址: \_\_\_\_\_  
Account Name 帳戶姓名 / 名稱: \_\_\_\_\_ Account Name 帳戶姓名 / 名稱: \_\_\_\_\_  
Account No. 帳戶號碼: \_\_\_\_\_ Account No. 帳戶號碼: \_\_\_\_\_  
Account Type (If applicable) 帳戶類別 (如適用): \_\_\_\_\_ Account Type (If applicable) 帳戶類別 (如適用): \_\_\_\_\_

### 6. Disclosure of Identity 披露身份

Are you shareholder and/or director a director or employee of a person, licensed by or registered with Securities and Futures Commission Hong Kong?

客戶之股東及 / 或董事是否香港證券及期貨事務監察委員會發牌或註冊人士或該人士之董事或僱員?

No 否

Yes 是 (insert details below 請提供資料)

Name of the licensed or registered person (If applicable) 持牌或註冊人士姓名 / 名稱 (如適用)

\_\_\_\_\_  
(Please attach consent letter from employer 請提供僱主同意書)

Are you a U.S. person?

客戶是否美籍人士?

No 否

Yes 是

Are you holding or will acquire or hold securities or futures beneficially owned by or for a U.S. person?

客戶是否現持有又或將會以信託人身份替其他美籍人士買入或持有證券或期貨?

No 否

Yes 是

### 7. Introducer 介紹人

Name of Introducer 介紹人姓名 Address 地址 Tel No. 聯絡電話 Relationship with you 與閣下的關係

### 8. Other Accounts with SinoPac Securities (Asia) Limited 於永豐金證券 (亞洲) 有限公司的其他帳戶

Do you / your directors / your shareholders have any securities or other account with SinoPac Securities (Asia) Limited or its associates?

客戶 / 客戶之董事 / 客戶之股東是否於永豐金證券 (亞洲) 有限公司或其聯號持有任何證券或其他帳戶?

No 否

Yes 是 (insert details below 請填寫以下資料)

Name of Account 帳戶姓名 / 名稱 SinoPac Securities (Asia) Limited 永豐金證券 (亞洲) 有限公司 / Account Number 帳戶號碼  
or its associates (Please Specify) 或其聯號 (請列明)

### 9. Declaration of Ownership 擁有權聲明

We hereby declare that we are the ultimate beneficial owner(s) of the Account(s) 吾等現聲明吾等為該帳戶之最終受益人:

Yes 是

No, particulars of ultimate beneficial owner(s) are as follows 否, 下列為最終受益人資料:

**(Please provide the certified true copy of ID Card or Passport and Address Proof of all ultimate beneficial owner(s))**

**(請提供所有最終受益人之身份證或護照經認證真確副本及其住址證明)**

Name 姓名 / 名稱 \_\_\_\_\_

\*ID/Passport/Cert of Incorp No. \* 身份證 / 護照 / 公司註冊證書號碼 \_\_\_\_\_

Address 地址 \_\_\_\_\_

\* Delete if not applicable 請將不適用者刪去

**10. Declaration of Relationship 關係聲明**

Are your shareholder and/or director related to any director, officer or employee of SinoPac Securities (Asia) Limited, or its associates, e.g. family member or hold any beneficial interest?

客戶之股東及 / 或董事是否與永豐金證券 ( 亞洲 ) 有限公司之任何董事、主管人員或僱員或其聯號有任何關連，如家庭成員或有任何實益權益？

No 否

Yes 是 (insert details below 請填寫以下資料)

| Name 姓名 | Position 職位 | Relationship 關係 |
|---------|-------------|-----------------|
| _____   | _____       | _____           |
| _____   | _____       | _____           |

Are your shareholder's and/or director's spouse a client of SinoPac Securities (Asia) Limited or its associates?

客戶之股東及 / 或董事之配偶是否永豐金證券 ( 亞洲 ) 有限公司或其聯號之客戶？

N/A 不適用

No 否

Yes 是 (insert details below 請填寫以下資料)

| Name of Account 帳戶姓名 / 名稱 | SinoPac Securities (Asia) Limited 永豐金證券 ( 亞洲 ) 有限公司 /<br>or its associates (Please Specify) 或其聯號 ( 請列明 ) | Account Number 帳戶號碼 |
|---------------------------|--|---------------------|
| _____                     | _____  | _____               |

Do your shareholder and/or director and/or your shareholder and/or director's spouse control 35% or more of the voting rights of any client of SinoPac Securities (Asia) Limited or its associates?

客戶之股東及 / 或董事及 / 或客戶之股東及 / 或董事之配偶有否控制永豐金證券 ( 亞洲 ) 有限公司或其聯號任何客戶 35% 或以上的表決權？

No 否

Yes 是 (insert details below 請提供資料)

| Name of Account 帳戶姓名 / 名稱 | SinoPac Securities (Asia) Limited 永豐金證券 ( 亞洲 ) 有限公司 /<br>or its associates (Please Specify) 或其聯號 ( 請列明 ) | Account Number 帳戶號碼 |
|---------------------------|--|---------------------|
| _____                     | _____  | _____               |

**11. Credit Reference 信貸參考 (For Margin Account Only 只適用於保證金帳戶)**

Bank references 銀行參考資料

| Name of Bank 銀行名稱 | Address 地址 | Type of Account 帳戶類別 | Account Number 帳戶號碼 |
|-------------------|------------|----------------------|---------------------|
| _____             | _____      | _____                | _____               |
| _____             | _____      | _____                | _____               |

Other Broker references 其他經紀商參考資料

| Name of Broker 經紀商名稱 | Address 地址 | Type of Account 帳戶類別 | Account Number 帳戶號碼 |
|----------------------|------------|----------------------|---------------------|
| _____                | _____      | _____                | _____               |
| _____                | _____      | _____                | _____               |

**12. Settlement Details 結算詳情 (for HK market DVP settlement only) (只適用於香港市場貨銀對付結算)**

Custodian Bank 託管銀行：\_\_\_\_\_ Account Name 帳戶名稱：\_\_\_\_\_

CCASS ID (if applicable): 中央結算系統號碼 (如適用)：\_\_\_\_\_ Securities Account No. 證券帳戶號碼：\_\_\_\_\_

### 13. Acknowledgement, Declaration & Signatures 承諾、聲明及簽署

The undersigned hereby acknowledges, declares and confirms on behalf of the Company that: 本人 / 吾等謹此代表公司承諾、聲明並確認：

- The information set out in this Account Opening Form is true, complete and correct and SinoPac Securities (Asia) Limited is entitled to rely fully on such information for all purposes relating to the Account(s) and the transactions contemplated by the SinoPac Securities (Asia) Limited Terms and Conditions (“**Terms and Conditions**”). The Company undertakes to notify SinoPac Securities (Asia) Limited promptly in case of any change of information;  
本開戶表格內所載資料屬真實、完整及為正確無誤，而永豐金證券（亞洲）有限公司有權全面依賴此等資料就有關帳戶及按照永豐金證券（亞洲）有限公司條款及條件（「條款及條件」）預計進行的交易作任何用途。倘資料有任何更改，以下簽署人承諾盡快知會永豐金證券（亞洲）有限公司；
- The Company has received, read and understood the Terms and Conditions (including the schedules, appendices and annexes thereto, if any), and the Company accepts and agrees to be bound by them;  
公司已收到、閱讀及明白規限證券交易帳戶之條款及條件（包括其附表、附錄及附件（如有）），且接納並同意受該等條款約束；
- The risk disclosure statements and disclaimers (as contained in the Terms and Conditions) were provided to the Company in a language of the Company’s choice (English or Chinese);  
風險披露聲明及免責聲明（載於條款及條件內）按以下簽署人選擇的語言（英文或中文）的版本提供予以下簽署人；
- The undersigned was invited to read the risk disclosure statements, and to ask questions and take independent advice if the undersigned on behalf of the Company so wishes;  
以下簽署人已獲邀請閱讀風險披露聲明，並按其意願提出問題及諮詢獨立意見；
- The documentation on the Nasdaq-Amex Pilot Program has been provided to the Company in a language of the Company’s choice as set out in the Terms and Conditions (not applicable to Futures Account);  
納斯達克—美國證券交易所試驗計劃的文件已按條款及條件內所載以公司選擇的語言的版本提供予公司（不適用於期貨帳戶）；
- The Company undertakes to promptly notify SinoPac Securities (Asia) Limited if any of its shareholders and/or directors becomes employed by any licensed or registered person with Securities and Futures Commission Hong Kong;  
倘公司的任何股東及/或董事為受聘於香港證券及期貨事務監察委員會發牌或註冊的任何人士，則公司承諾盡快通知永豐金證券（亞洲）有限公司；
- Each of the Company’s shareholder(s) and director(s) is over 18 years of age;  
公司各股東及董事已年滿十八歲；
- The Company is and will be acting as principal, unless where particulars of the ultimate beneficial owner(s) are provided in this Account Opening Form in which case the Company confirms that the person(s) whose particulars are so provided is/are the ultimate beneficial owner(s) of the Account(s); and  
除非於本開戶表格提供最終實益擁有人的詳情，否則公司乃以及將以當事人之身份行事，而倘於本開戶表格已提供最終實益擁有人的詳情，則以公司確認所提供詳情的人士（一名或多名）為帳戶（一個或多個）的最終實益擁有人（一名或多名）；及
- The undersigned has read and understood the privacy policy of SinoPac Securities (Asia) Limited set out in the “Notice to Customers Relating to the Personal Data (Privacy) Ordinance”, “GDPR Privacy Statements” (where applicable) and “Notice to Customers Relating to the Use of Personal Data Relating to Tax Compliance” contained in the Terms and Conditions (collectively “Privacy Policy”). The undersigned agrees that the personal data collected by SinoPac Securities (Asia) Limited from time to time may be used and disclosed for such purposes and to such persons (whether in or outside Hong Kong) as set out in the Privacy Policy. The undersigned accepts that SinoPac Securities (Asia) Limited may use the undersigned’s personal data for direct marketing. (Please check the box below if the undersigned opposes the use of the personal data for direct marketing.)  
以下簽署人已閱讀及明白永豐金證券（亞洲）有限公司於條款及條件中「給予客戶關於《個人資料（私隱）條例》的客戶通知」、「歐盟個人資料保護規則（GDPR）私隱政策聲明」（如適用）及「關於就稅務合規使用個人資料的客戶通知」所載之私隱政策（合稱「私隱政策」）。以下簽署人同意由永豐金證券（亞洲）有限公司不時蒐集的個人資料可按照私隱政策用於其所用途及向其所述人士（不論在香港境內或境外）披露。以下簽署人接受永豐金證券（亞洲）有限公司可使用其個人資料作直接促銷。（如以下簽署人反對個人資料被用作直接促銷，請於以下空格填上（「✓」）號。）  
 The undersigned objects to the proposed use of his/her personal data in direct marketing.  
以下簽署人反對使用其個人資料作直接促銷用途。
- The undersigned agrees to circulate the Privacy Policy to the relevant managers/corporate officers (e.g. authorized representatives), directors, major shareholders, beneficial owners and guarantors of the Company from whom SinoPac Securities (Asia) Limited may need to collect their personal data from time to time in the course of its provision of services to the Company and causes such persons agree to the Privacy Policy and the use and disclosure of their personal data collected by SinoPac Securities (Asia) Limited from time to time for such purposes and to such persons (whether in or outside Hong Kong) as set out in the Privacy Policy.  
以下簽署人同意向永豐金證券（亞洲）有限公司在為公司提供服務的過程中可能不時需要蒐集其個人資料的有關經理/公司主任（例如授權代表）、董事、大股東、實益擁有人及保證人傳閱私隱政策及使該等人士同意私隱政策及由永豐金證券（亞洲）有限公司不時蒐集的該等人士的個人資料可按照私隱政策用於其所用途及向其所述人士（不論在香港境內或境外）披露。
- The Company has the authority and power and legal capacity to sign this Account Opening Form, to maintain and operate the Account(s), to effect the transactions contemplated by the Terms and Conditions, and to perform all the Company’s obligations under this Account Opening Form and the Terms and Conditions and this Account Opening Form and the Terms and Conditions constitute valid and legally binding obligations on the Company enforceable in accordance with their respective terms.  
公司獲授權，並有權力和法定身份去簽署本開戶表格、保留及操作帳戶（一個或多個）、進行條款及條件預計進行的交易，及根據本開戶表格以及其條款及條件履行公司的所有義務，而本開戶表格以及其條款及條件按照其各自的條款，構成對公司可強制執行的有效和具有法律約束力的義務。

Signature of Director / Authorized Representative and Chop of the Company

董事/ 獲授權代表簽署及公司蓋章

Name 姓名：\_\_\_\_\_

Date 日期：\_\_\_\_\_ (日/月/年)  
(dd/mm/yyyy)

Signature of Director / Authorized Representative and Chop of the Company

董事/ 獲授權代表簽署及公司蓋章

Name 姓名：\_\_\_\_\_

Date 日期：\_\_\_\_\_ (日/月/年)  
(dd/mm/yyyy)

#### For Office Use Only 只供本公司使用

##### Declaration by SinoPac Securities (Asia) Limited Licensed Staff

##### 永豐金證券（亞洲）有限公司職員的聲明

I, named below, a licensed staff member of SinoPac Securities (Asia) Limited, hereby declare that I have:

本人（姓名見下），為永豐金證券（亞洲）有限公司之持牌職員，謹此聲明，本人：

- met and identified each of the person(s) who executed this Form in front of me, and reviewed the original of his/their ID card(s) or passport(s); and  
確實與本表格簽署人會面及識別各人（一名或多名），並核對其身份證或護照正本，他（們）並在本人面前簽署本表格；及
- provided to the Company the risk disclosure statements (as contained in the Terms and Conditions) in a language of the Company’s choice (English or Chinese); and  
已以客戶選擇的語言（英文或中文）提供風險披露聲明（載於條款及條件內）；及
- invited the Company to read the risk disclosure statements, ask questions and take independent advice if it so wishes.  
已邀請其各自詳閱風險披露聲明，並按其意願提出問題及如有需要可諮詢獨立意見。

Signature of Staff 職員簽署

Staff Name 職員姓名：\_\_\_\_\_

Staff Designation 職員職銜：\_\_\_\_\_

Staff CE Number 職員中央編號：\_\_\_\_\_

Date 日期：\_\_\_\_\_

#### Certification 認證

(Must be completed where this Form is not signed in front of a licensed staff member of SinoPac Securities (Asia) Limited)

(如本表格並非在永豐金證券（亞洲）有限公司持牌職員面前簽署，須填寫此欄)  
To be certified by a person licensed or registered with Securities and Futures Commission Hong Kong or its affiliate, a Justice of the Peace, or a professional person (such as a branch manager of a bank, certified public accountant, lawyer or notary public).

由香港證券及期貨事務監察委員會發牌或註冊之人士或其聯職、太平紳士或專業人士（例如銀行分行經理、執業會計師、律師或公證人）認證。

I, named below, certify that I have met and identified each of the person(s) who executed this Form in front of me, and reviewed the original of his/their ID card(s) or passport(s).

本人（姓名見下）確實已經與本表格簽署人會面及識別各人（一名或多名），並核對其身份證或護照正本，他（們）並在本人面前簽署本表格。

Witness Signature 見證人簽署

Name 姓名：\_\_\_\_\_

Profession 職業：\_\_\_\_\_

CE Number (if applicable) 中央編號（如適用）：\_\_\_\_\_

Date 日期：\_\_\_\_\_

## Client Investment Suitability Questionnaire 客戶投資屬性問卷

(1) This assessment is designed to help you consider your attitude toward investment risk. It asks questions which provide some indications of the overall general attitude toward risk for a typical investor displaying your personal investment characteristics. It may not match your actual attitude toward investment risk, but it indicates the profile you fit into. Please refer to our Assessment Disclaimer Statement.

本評估表依據合理的假設及預估架構設計，為協助您瞭解本身的風險承受度，理財需求與投資屬性，方便您設定理財規劃。相關評估數據僅供您參考並不一定實際反映您對投資風險的態度。請參閱評估表責任聲明說明。

Please tick the appropriate boxes. 請於適當空格填上「✓」號。

|  |  |
|--|--|
| <p>1. How many years of investment experience do you have?<br/>一. 請問您的投資累積資歷為何？</p> <p><input type="checkbox"/> A. None 完全沒有經驗 [ Score 1 分 ]<br/> <input type="checkbox"/> B. 1 - 3 years 年 [ Score 3 分 ]<br/> <input type="checkbox"/> C. 4 - 6 years 年 [ Score 5 分 ]<br/> <input type="checkbox"/> D. 7 - 9 years 年 [ Score 7 分 ]<br/> <input type="checkbox"/> E. 10 years or above 年或以上 [ Score 10 分 ]</p>   | <p>5. If your investment holding exceeds the preset stop-loss or limit-selling price, which of the following action would you adopt?<br/>五. 如果您的投資的績效已超過預設之停損、停利點時，您會採取下列何種方式？</p> <p><input type="checkbox"/> A. Sell out immediately 立即賣出所有部位 [ Score 1 分 ]<br/> <input type="checkbox"/> B. Sell half or more 先賣出一半或以上之部位 [ Score 3 分 ]<br/> <input type="checkbox"/> C. Sell not more than half 先賣出一半以內之部位 [ Score 5 分 ]<br/> <input type="checkbox"/> D. Hold and observe for 5 days 先暫時觀望五天 [ Score 7 分 ]<br/> <input type="checkbox"/> E. Hold until fully recovered or stop in price-rising 繼續持有直至回本或不漲為止 [ Score 10 分 ]</p>   |
| <p>2. Are you currently holding any of the below investment products? (you may select more than 1 option)<br/>二. 現在您是否持有以下任何投資產品？(可複選，以最高分之答案計分)</p> <p><input type="checkbox"/> A. Cash, deposits, certificates of deposit, capital protected products 現金、存款、存款證、保本產品 [ Score 1 分 ]<br/> <input type="checkbox"/> B. Bond, bond funds 債券、債券基金 [ Score 3 分 ]<br/> <input type="checkbox"/> C. Foreign currencies, non capital protected currency linked structured products 外幣、非保本之貨幣掛鉤結構投資產品 [ Score 5 分 ]<br/> <input type="checkbox"/> D. Stocks, open-end funds excluding bond funds and money market funds, non capital protected equity linked structured products, investment-linked insurance plans, commodities 股票、開放式基金(不包括債券基金或貨幣市場基金)、非保本之股票掛鉤結構投資產品、具投資成分的保險計劃、商品 [ Score 7 分 ]<br/> <input type="checkbox"/> E. Options, futures, warrants 期權、期貨、認股權證(俗稱「高輪」) [ Score 10 分 ]</p> | <p>6. When investing in investment products, how long will your investment horizon be? In general, the longer the investment horizon, the more you can ride out the ups and downs of the market. That is, the chance to lose money is generally lower when the investment horizon increases, but the money needs to be locked in longer.<br/>六. 購買投資產品時，您認為持有多久才合適？一般來說，投資年期長，您投資價值的波動越少。換言之，投資年期較長，錄得虧損的機會會一般較低，但資金需要被鎖定一段較長時間。</p> <p><input type="checkbox"/> A. Over 10 years 10 年以上 [ Score 1 分 ]<br/> <input type="checkbox"/> B. 6 to 10 years 6 至 10 年 [ Score 3 分 ]<br/> <input type="checkbox"/> C. More than 3 years but less than 6 years 3 年以上，6 年以下 [ Score 5 分 ]<br/> <input type="checkbox"/> D. 1 to 3 years 1 至 3 年 [ Score 7 分 ]<br/> <input type="checkbox"/> E. Below 1 year 1 年以下 [ Score 10 分 ]</p>   |
| <p>3. Which of the below investment portfolios with particular risk and return do you prefer?<br/>三. 您會偏好以下何種投資報酬及風險之組合？</p> <p><input type="checkbox"/> A. No idea 沒有概念 [ Score 1 分 ]<br/> <input type="checkbox"/> B. Absolute low risk investment portfolios + secure of principal protection 絕對低度風險投資組合 + 接近保本之報酬 [ Score 3 分 ]<br/> <input type="checkbox"/> C. Low risk investment portfolios + low return 低度風險投資組合 + 低報酬 [ Score 5 分 ]<br/> <input type="checkbox"/> D. Medium risk investment portfolios + medium return 中度風險投資組合 + 中報酬 [ Score 7 分 ]<br/> <input type="checkbox"/> E. High risk investment portfolios + high return 高度風險投資組合 + 高報酬 [ Score 10 分 ]</p>   | <p>7. Assuming there are two investment products A &amp; B, Product A has an average return of 3% in the past few years with lower fluctuation while Product B has an average return of 10% in the past few years but high fluctuation. If you have a lump sum for investment, what is your investment allocation?<br/>七. 假設有下列兩項投資工具 A 與 B: 投資工具 A 的最近歷年平均報酬為 3%，而且波動很低；投資工具 B 的最近歷年平均報酬為 10%，但是波動很高。如果您有一筆資金可投資，您會如何調配：</p> <p><input type="checkbox"/> A. All in Product A 全部投資工具 A，不投資工具 B [ Score 1 分 ]<br/> <input type="checkbox"/> B. 80% in A, 20% in B 80% 投資工具 A，20% 投資工具 B [ Score 3 分 ]<br/> <input type="checkbox"/> C. 50% in A, 50% in B 50% 投資工具 A，50% 投資工具 B [ Score 5 分 ]<br/> <input type="checkbox"/> D. 20% in A, 80% in B 20% 投資工具 A，80% 投資工具 B [ Score 7 分 ]<br/> <input type="checkbox"/> E. All in Product B 全部投資工具 B，不投資工具 A [ Score 10 分 ]</p> |
| <p>4. If you have HK\$1 million investment portfolio, what is the extent as to the fall you can bear?<br/>四. 如果您有 100 萬港元之投資組合，您能承受最大本金下跌幅度為何？</p> <p><input type="checkbox"/> A. 0% [ Score 1 分 ]<br/> <input type="checkbox"/> B. -5% [ Score 3 分 ]<br/> <input type="checkbox"/> C. -10% [ Score 5 分 ]<br/> <input type="checkbox"/> D. -15% [ Score 7 分 ]<br/> <input type="checkbox"/> E. -20% or above 或以上 [ Score 10 分 ]</p>  | <p>8. When you invest, what is your main concern?<br/>八. 請問您投資時，最主要之考量為何？</p> <p><input type="checkbox"/> A. Maintain high liquidity of assets 保持資金之流動性 [ Score 1 分 ]<br/> <input type="checkbox"/> B. Secure of principal protection 本金需要保本 [ Score 3 分 ]<br/> <input type="checkbox"/> C. Earn fixed interest income 賺取固定利息收益 [ Score 5 分 ]<br/> <input type="checkbox"/> D. Earn capital gain and interest 賺取資本利得 [ Score 7 分 ]<br/> <input type="checkbox"/> E. Maximize absolute return 追求最大報酬 [ Score 10 分 ]</p>   |



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|--|---|
| <p>9. What is your knowledge of financial markets and investments?<br/>九. 您對金融市場和投資的認識有多少?</p> <p><input type="checkbox"/> A. None, I have no knowledge of financial markets at all and have no interest in understanding them. 並無認識：我對金融市場一無所知，亦無興趣深入瞭解。 [ Score 1 分 ]</p> <p><input type="checkbox"/> B. Low, I have only some basic knowledge of financial markets such as differences between stocks and bonds. 低水平：我對金融市場只有一些基本知識，例如股票和債券的分別。 [ Score 3 分 ]</p> <p><input type="checkbox"/> C. Medium, I have above basic knowledge and understand the importance of diversification and practice it (i.e., I have my money in different types of investments to spread the risks). 中等水平：達基本知識以上的水平，明白分散投資的重要性，並作出分散投資（即把資金配置於不同類別的投資，以分散風險）。 [ Score 5 分 ]</p> <p><input type="checkbox"/> D. High, I know how to read a company's financial reports (i.e., profit and loss statements and balance sheet) and understand the factors affecting the prices of stocks and bonds. 高水平：我懂得閱讀一家公司的財務報告（即損益表及資產負債表），並明白影響股票和債券價格的因素。 [ Score 7 分 ]</p> <p><input type="checkbox"/> E. Advanced, I am familiar with most financial products (including bonds, stocks, warrants, options, and futures) and understand the various factors that may affect the risk and performance of these financial products. 精通：我熟識大部份金融產品（包括債券、股票、認股權證、期權及期貨），並明白影響這些金融產品的風險和表現的各項因素。 [ Score 10 分 ]</p> | <p>10. If there is a fall of 15% or over in your overall investment portfolio, what level of your life be suffered?<br/>十. 若您整體投資資產下跌超過 15%，對您的生活影響程度為何？</p> <p><input type="checkbox"/> A. Intolerable 無法承受 [ Score 1 分 ]</p> <p><input type="checkbox"/> B. Great impact 影響程度大 [ Score 3 分 ]</p> <p><input type="checkbox"/> C. Medium impact 中度影響 [ Score 5 分 ]</p> <p><input type="checkbox"/> D. Little impact 影響程度小 [ Score 7 分 ]</p> <p><input type="checkbox"/> E. No impact 不會有影響 [ Score 10 分 ]</p> |
|--|---|

**Total Score 總評分：** \_\_\_\_\_

**Grading 客戶風險等級評分方式：**

| Total Score 總評分範圍         | Grade 客戶風險等級 | Description 投資屬性分析 |
|---------------------------|--------------|--------------------|
| 10 ≤ Total Score 總評分 < 15 | 1 第一級        | Secure 穩健型         |
| 15 ≤ Total Score 總評分 < 37 | 2 第二級        | Cautious 審慎型       |
| 37 ≤ Total Score 總評分 < 74 | 3 第三級        | Balanced 均衡型       |
| 74 ≤ Total Score 總評分 < 96 | 4 第四級        | Adventurous 進取型    |
| 96 ≤ Total Score 總評分      | 5 第五級        | Speculative 投機型    |

(2) The following questionnaire is designed to ensure the provision of services to you with respect to derivative products are in compliance with our obligations under the Code of Conduct issued by the Securities and Futures Commission.

以下問卷為確保本公司所提供給閣下有關衍生產品的服務遵從〈證券及期貨事務監察委員會持牌人或註冊人操守準則〉中的責任。

(a) I have undergone training or attended courses on derivative products

本人曾接受有關衍生產品的培訓或修讀相關課程

- No 否  
 Yes 是 (insert details below 請提供以下資料)

(i) Name of course or training and name of course or training provider 培訓或相關課程之名稱及提供培訓或相關課程之機構名稱：

(ii) Type(s) of derivative products relevant to the training or course 培訓或相關課程之有關投資產品種類：

(iii) Whether the training or course provide you with general knowledge of the nature and risks of derivative products

培訓或相關課程是否為閣下提供衍生工具的性質和風險的一般知識：

- No 否  
 Yes 是

(b) My current work experience relates to derivative products

本人現時的工作經驗與衍生產品有關

- No 否  
 Yes 是 (insert details below 請提供以下資料)

(i) Name of employer 僱主名稱：\_\_\_\_\_

(ii) Position 職稱：\_\_\_\_\_

(iii) Please briefly state how your work relates to derivative products 請簡述閣下的工作如何與衍生產品有關：

(iv) Years of work experience which relates to derivative products 衍生產品有關工作經驗之年資：

(c) My previous work experience relates to derivative products

本人過去的工作經驗與衍生產品有關

No 否

Yes 是 (insert details below 請提供以下資料)

(i) Name of previous employer 前僱主名稱：\_\_\_\_\_

(ii) Position 職稱：\_\_\_\_\_

(iii) Please briefly state how your previous work relates to derivative products 請簡述閣下過去的工作如何與衍生產品有關：

(iv) Years of previous work experience which relates to derivative products 過去與衍生產品有關工作經驗之年資：

(d) I have prior trading experience in derivative products

本人有買賣衍生產品的經驗

No 否

Yes 是 (insert details below 請提供以下資料)

(i) Type of derivative products traded 以往曾買賣的衍生產品種類：

(ii) Number of transaction within the past three years 過去三年曾買賣衍生產品的交易數目：

Please provide document(s) to show your knowledge / experience with Over The Counter derivative products.  
請提供文件認證閣下對場外交易衍生產品的認識 / 經驗。

(1) Client Investment Suitability Classification 客戶投資屬性分類： \*Grade 第 1 / 2 / 3 / 4 / 5 級 \* Delete if not applicable 請將不適用者刪去

I/We hereby acknowledge that the above Risks Level of Investment Products and Investment Suitability Classification is consistent with my/our investment risk requirements and investment objective.  
本人 / 吾等特此確認，上述產品風險等級和投資屬性與本人 / 吾等的投資風險要求和投資目標相符。

The above Risks Level of Investment Products and Investment Suitability Classification is not consistent with my/our investment risk requirement and investment objective which I/we hereby nominate my Investment Suitability Classification to be:  
上述產品風險等級和投資屬性與本人 / 吾等的投資風險要求和投資目標不符，本人 / 吾等特此指定本人 / 吾等的投資屬性<sup>1</sup>為：

<sup>1</sup> IMPORTANT NOTE:

<sup>1</sup> 重要提示：

The risk of your selected Investment Suitability Classification may be higher or lower than your Risks Level of Investment Product. Please note that your Risks Level of Investment Product should be at least "RR3" to pursue "Adventurous" Investment Suitability Classification, and should be at least "RR4" to pursue "Speculative" Investment Suitability Classification.

閣下所選投資屬性的風險可能高於或低於閣下的產品風險等級。要採取“進取型”的投資屬性，閣下的產品風險等級應至少達到“RR3”，要採取“投機型”的投資屬性，應至少達到“RR4”。

New Investment Suitability Classification Grade signed by client :

客戶簽署確認新投資屬性級別：\_\_\_\_\_

(2) Client \*has / has no derivative experience.

客戶 \* 有 / 沒有衍生工具的相關經驗。

I/We acknowledge that I/We have read and fully understood the document entitled "Additional Risk for Derivative Products traded on Specified Stock Exchanges" provided by SinoPac Securities (Asia) Limited in a language of my/our choice (English or Chinese). I/We am/are willing to accept the risks associated with trading derivative products.

本人 / 吾等謹此聲明本人 / 吾等確認已仔細閱讀及完全明白由永豐金證券 (亞洲) 有限公司提供的『指明證券交易所買賣之衍生產品額外風險披露』。本人 / 吾等並願意承擔交易相關衍生產品所帶來的潛在風險。

(3) Client \*can / cannot transact derivative products.

客戶 \* 可以 / 不可以買賣衍生產品。

Name(s)

姓名：\_\_\_\_\_

Date

日期：\_\_\_\_\_ (日/月/年)  
(dd/mm/yyyy)

Signed as Individual as \* Director(s) / Authorized Person(s) / Shareholder(s) on behalf of the Company

以個人名義及 \* 董事 / 授權人 / 股東 身份代表本公司簽署

\* Delete if not applicable 請將不適用者刪去

For Office Use Only

Signature verified:

Account Executive:

Approved by:

## Description of Client Investment Suitability Classification

各類投資屬性分析請詳下方說明

| Investment Suitability Classification<br>投資屬性              | Description<br>投資屬性分析  | Risks Level of Investment Products<br>建議產品風險等級 |
|--|--|--|
| <b>Grade 1 第一級</b><br><b>Secure 穩健型</b>                    | You can bear extremely low level of investment risks with a main concern of principal protection. You prefer receiving fixed annual interests; deposit products or products with stable returns may be suitable for your consideration.<br>您能承受的資產波動風險極低，極度保守的您十分注重本金的保護，寧可讓資產隨利率水準每年獲取穩定的孳息收入，也不願冒險追求可能的可觀報酬。您的理財目的可利用銀行存款，或具有穩定收益的產品來達成。   | RR1  |
| <b>Grade 2 第二級</b><br><b>Cautious 審慎型</b>                  | You can bear low level of investment risks. With a concern of principal protection, you are willing to take limited risks to outperform deposits over the medium term. In addition to deposit or currency products, with fixed income or balanced return products may be suitable for your consideration.<br>您能承受的資產波動風險低。除了注重本金的保護外，你願意承受有限的風險，以獲得比定存高的報酬。所以除了定存和貨幣市場工具之外，建議可將部分資金配置在投資等級的固定收益或平衡型商品。   | RR1 ~ RR2                                      |
| <b>Grade 3 第三級</b><br><b>Balanced 均衡型</b>                  | You can bear medium level of investment risks. You expect a balanced portfolio among principal protection, fixed interest and capital gain. You can bear a higher level of short-term market fluctuation, which may fall, below your original investment. A balanced allocated portfolio with various types of assets may be suitable for your consideration.<br>您能承受的資產波動風險中庸。穩健的您期望在本金保全、固定孳息、與資本增長達至平衡。您可以接受短期間的市場波動，並且瞭解投資現值可能因而減損。穩健的投資組合可以包括多種類別的資產，透過風險分散的方式獲得穩健的投資報酬，但仍需留意個別類型的波動性。  | RR1~ RR3                                       |
| <b>Grade 4 第四級 *</b><br><b>Adventurous 進取型</b>             | You can bear high risks. To pursue over the short, medium and long term in returns, you are willing to bear capital values can fluctuate and may fall substantially below your original investment. Growth investment portfolio may be suitable for your consideration. You are also suggested to adopt small regular instalments and preset stop-loss and limit selling price in order to achieve your goal.<br>您能承受的資產波動風險高，為了達成長期的資本增長，您願意忍受較大幅度的市場波動與短期下跌的風險。增長的投資組合可以包括多種類別，且預期報酬較高的資產，但建議您採取分批投入，且設定停損停利點以便循序漸進達到您的投資目標。   | RR1~ RR4                                       |
| <b>Grade 5 第五級 *</b><br><b>Speculative 投機型</b>             | You can tolerate extremely volatile market fluctuation and very high level of investment risks. You are looking for adventurous and speculative investment products. Aggressive investment portfolio, even leverage transactions. You are suggested to strictly execute stop-loss and limit selling price investment principles to achieve your goal.<br>您能承受的資產波動風險極高。非常積極的您如獵鷹般不停尋找獲利市場，並願意大筆投資在風險較高的產品。積極的投資組合中不但資產類別包羅萬象，且在必要時利用槓桿操作來提高獲利，但因市場反轉所造成的資本下跌風險偏高，建議嚴格執行停損停利的投資原則，以達到長期資產增值的目的。   | RR1~ RR5                                       |
| <b>(2) Investor characterization</b><br><b>投資者分類</b>       | <b>Description</b><br><b>說明</b>  |  |
| <b>With derivative experience</b><br><b>有衍生工具的相關經驗</b>     | You are characterized as client with derivative experience, as a result, SinoPac is not required to explain the risks of derivative products to you while trading derivative products.<br>閣下被分類為有衍生工具相關經驗之投資者，倘若閣下交易衍生產品本公司無須向閣下解釋衍生產品的風險。   |  |
| <b>Without derivative experience</b><br><b>沒有衍生工具的相關經驗</b> | You have been characterized as without derivative experience and in general cannot transact derivative products, unless, you wish to:<br>(a) purchase a derivative product which is traded on an exchange without our solicitation or recommendation and after appropriate explanation by us of the risks associated with the product; or<br>(b) purchase a derivative product which is not traded on an exchange without our solicitation or recommendation, and after receive our appropriate advice in deciding whether or not the transaction is suitable for you in all the circumstances.<br>閣下被分類為沒有衍生工具相關經驗之投資者及在一般情況下閣下不能進行衍生產品交易，除非閣下欲：<br>(a) 認購在交易所買賣的衍生產品，且本公司沒有向閣下作出招攬或建議行為及本公司已向閣下解釋該產品所附帶的相關風險；或<br>(b) 認購並非在交易所買賣的衍生產品，且本公司沒有向閣下作出招攬或建議行為及就有關交易對閣下是否在任何情況下都合適，本公司已向閣下提供恰當的意見。 |  |

## QUESTIONNAIRE DISCLAIMER STATEMENT

### 問卷免責聲明

The results of the questionnaire are derived from information that you have provided to us, and only serve as a reference for your consideration when making your own investment decisions. The questionnaire and the results are not an offer to sell or a solicitation for an offer to buy any financial products and services and they should not be considered as investment advice. SinoPac Securities (Asia) Limited accepts no responsibility or liability as to the accuracy or completeness of the information given. Personal information collected in the questionnaire will be kept confidential by SinoPac Securities (Asia) Limited. The information may be used by SinoPac Securities (Asia) Limited and / or any SinoPac Holdings entity under a duty of confidentiality to SinoPac Securities (Asia) Limited, for designing and/or marketing of financial products and services.

問卷的結果乃根據閣下所提供的資料而得出，並僅供閣下考慮為本身作出的投資決定時作參考之用。問卷內容及結果不可視為對任何投資產品及服務的銷售邀約或購買邀請，亦不應作為投資建議予以考慮。永豐金證券（亞洲）有限公司對所提供資料的準確性及完整性並不負上義務或責任。永豐金證券（亞洲）有限公司將就此問卷內的個人資料保密。閣下提供的資料可供永豐金證券（亞洲）有限公司及/或任何對永豐金證券（亞洲）有限公司負有保密義務的永豐金控法團實體用作設計及/或推廣金融產品及服務。

Form 1 表格一

CERTIFIED TRUE COPY OF BOARD RESOLUTIONS

董事會決議經認證真確副本

To: SinoPac Securities (Asia) Limited (hereinafter referred to as "SinoPac", which expression shall include its successors and assignees)  
致：永豐金證券（亞洲）有限公司（以下簡稱「永豐金」，此詞含義包括其繼承者及承讓者）

At a duly convened and validly constituted meeting of the board of directors of \_\_\_\_\_ (the "Company") held at \_\_\_\_\_ on \_\_\_\_\_ (dd/mm/yyyy) the following resolutions were passed:-  
\_\_\_\_\_（「本公司」）於\_\_\_\_\_（日/月/年）在\_\_\_\_\_舉行董事會會議，會議達到並始終保持法定人數並通過下列決議案，此等決議案現時完全有效：-

1. That one or more futures and/or securities trading accounts (the "Account(s)") be opened with SinoPac in the name of the Company and at any time hereafter additional futures and/or securities trading accounts be opened and maintained in the books of SinoPac in the name of the Company as the Company may from time to time direct in each case for the purpose of trading in futures and/or securities subject to the Account Opening Form and the SinoPac Securities (Asia) Limited Terms and Conditions governing the Account(s) and any services and facilities to be provided by SinoPac as prescribed by SinoPac in the form produced to the Meeting, as they may from time to time be amended (collectively, the "Agreement"). Terms and expressions used in the Agreement shall have the same meaning when used in these Resolutions.  
在開戶表格及管轄帳戶的永豐金條款及條件以及向會議提出的格式的永豐金提供的可能會不時被修訂的任何服務及安排（統稱「協議」）的規限下，以公司的名義於永豐金開立一個或多個期貨及/或證券交易帳戶（「帳戶（一個或多個）」）及其後任何時間以公司的名義不時按公司的指示就期貨及/或證券交易的目的將開立及於永豐金保留的期貨及/或證券交易帳戶協議。協議所用的詞語及詞彙與本決議所用者具相同涵義。
2. That SinoPac be furnished with a list of the name, specimen signature and other information of the Directors and any other persons (the "Authorized Persons") authorized to represent the Company and to give instructions on behalf of the Company in connection with the Agreement, the Account(s) and transactions contemplated by the Agreement and that SinoPac be authorized to act on instructions given by any Authorized Person which shall be binding on the Company, and that SinoPac be informed from time to time by notice in writing under the hand of the Chairman of the Company setting out any change of the persons so authorized and that SinoPac be entitled to act and rely upon the list or such notice until receipt by SinoPac of such further notice.  
就有關協議、帳戶（一個或多個）及協議預計進行的交易向永豐金提供有關代表本公司處理及執行一切指示該等帳戶的董事及任何其他人士（「獲授權人士」）的名單，簽署式樣及其他人士的資料，並授權永豐金按任何獲授權人士發出的指示行事，將對公司具約束力，而獲授權人士如有任何更改，公司主席須以書面親筆簽署通知知會永豐金，而永豐金有權依據上述名單或資料執行指示，直至收到另行通告。
3. That the Agreement in the form produced to the Meeting be and is hereby approved and each of the Authorized Persons be and is hereby authorized to execute the Agreement and any related documents on behalf of and so as to bind the Company and where necessary to affix the company chop and/or common seal of the Company thereto.  
會上謹此以向會議提出的格式批准協議，而各授權人士謹此獲授權代表本公司簽署協議及任何有關文件及（如有需要）使用蓋公司章及/或使用公司印章。
4. That SinoPac be authorized to debit from time to time or at any time from the Account(s) any brokerage, commission, fee, expense, and other monies payable by the Company pursuant to the Agreement.  
公司授權永豐金不時於帳戶扣除任何根據協議所需支付的任何經紀佣金、佣金、費用、支出及其他款項。
5. That in the absence of any direction to the contrary all Accounts subsequently opened shall be operated and dealt with upon the terms set out herein insofar as the same may be applicable.  
除非有相反任何指示，本決議案之條款均適用於所有以後開立之帳戶。
6. That SinoPac be forthwith supplied with a certified true copy of the Certificate of Incorporation, Business Registration Certificate and Memorandum and Articles of Association and/or other constitutional documents of the Company and with copies of any amending special resolutions that may from time to time be passed and as soon as the same are passed.  
向永豐金提供公司註冊成立證書、商業登記證及組織章程大綱及章程細則及/或其他公司章程文件等經認證真確副本，以及任何以後不時有關該等修改之特別決議案之副本。
7. That a copy of any resolution of the Board of the Company purporting to be certified as correct by the Chairman of the Meeting shall as between SinoPac and the Company be conclusive evidence of the passing of the resolution so certified.  
任何一份本公司董事會的決議案，若表明由會議主席簽署屬實，則該決議案在本公司與永豐金的關係而言，得視為其獲正式通過不可推翻的證據。
8. That resolutions in connection with or in respect of the Agreement, the Account(s), transactions and dealings with SinoPac be communicated to SinoPac and they shall remain in full force and effect until receipt by SinoPac of a resolution or resolutions replacing, revoking or amending them and certified as correct by the Chairman of the Meeting.  
有關上述協議、帳戶、將轉達永豐金與永豐金進行的交易及買賣的決議案將一直具有十足效力及效用，直至永豐金獲會議主席簽署認證為正確以替代、撤銷或修訂的決議案為止。

I HEREBY CERTIFY that the foregoing Resolutions are a complete, true and correct copy of the resolutions duly passed and adopted by the Board of Directors of the Company on the date stated therein and that the said resolutions have been duly entered in the minute book of the Company and signed therein by me as Chairman and are in accordance with the Articles of Association of the Company and that the same has not been rescinded or modified and remain in full force and effect.

茲證實上述決議案根據公司章程細則由本人作為會議主席簽署為完整、真實及正確的，由公司董事會在上述日期的會議上通過，與載於公司會議紀錄者相同及。該章程細則維持有效。

I further certify that the names and other information of the Authorized Persons required to operate the Account(s) on behalf of the Company and their specimen signatures provided to SinoPac are correct and genuine.

本人進一步證實代表本公司操作帳戶的授權人士之名字，其他資料及簽署式樣均為正確及真實。

Dated this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_ 日期：\_\_\_\_\_（日/月/年）

\_\_\_\_\_  
Signature of Chairman of the Meeting 董事會會議主席簽署

\_\_\_\_\_  
Print Name of Chairman 董事會會議主席姓名

**Form 2 表格二**

**SELF DECLARATION FORM (Applicable to Offshore Company only)**

**自我聲明表格 (只適用於離岸公司)**

We, (name \_\_\_\_\_) of (registered address \_\_\_\_\_)

\_\_\_\_\_ ) hereby confirm and declare that:

吾等 (公司名稱 \_\_\_\_\_) (註冊地址 \_\_\_\_\_)

\_\_\_\_\_ ) 在此確認及聲明:

1. the place of incorporation of the Company is at \_\_\_\_\_ (日/月/年)  
本公司成立於 \_\_\_\_\_ (dd/mm/yyyy)
2. the business address of the Company is at \_\_\_\_\_  
本公司業務地址為 \_\_\_\_\_
3. the authorized capital of the Company is (total amount of authorized capital \_\_\_\_\_) divided into  
(total number of shares \_\_\_\_\_) shares of (amount of authorized capital for each share \_\_\_\_\_) each.  
本公司法定資本為 (法定資本總額 \_\_\_\_\_), 分為 (股份總數 \_\_\_\_\_ 股) 股份,  
法定資本每股面值為 \_\_\_\_\_。
4. the Company does not maintain a register of mortgages and charges.  
本公司沒有按揭及押記紀錄。
5. no proceedings are pending or threatened against the Company.  
本公司沒有待決或威脅的訴訟。
6. no action has been taken to wind-up the Company or to appoint a receiver over its assets.  
本公司沒有作出任何清盤行為或委任財產接管人。
7. the Company is in Good Legal Standing in the British Virgin Islands/ ( \_\_\_\_\_ )\*. (\*Delete if not applicable)  
本公司在英屬處女群島 / \_\_\_\_\_ \* 有良好守法紀錄。 (\* 請將不適用者刪去)
8. the current director(s) of the Company are: 現任公司董事為:

| Name 姓名 | ID/Passport No. 身分證 / 護照號碼 | Date of Appointment 委任日期 |
|---------|----------------------------|--------------------------|
|         |                            |                          |
|         |                            |                          |
|         |                            |                          |

9. the current secretary of the Company is: 現任公司秘書為:

| Name 姓名 | ID/Passport No. 身分證 / 護照號碼 | Date of Appointment 委任日期 |
|---------|----------------------------|--------------------------|
|         |                            |                          |

10. the current shareholders and ultimate beneficial owner(s) are: 現任股東及最終受益擁有人為:

| Name 姓名 | ID/Passport No. 身分證 / 護照號碼 | % of Shares/Voting Rights<br>股票持有百分比 / 投票權 |
|---------|----------------------------|--|
|         |                            |  |
|         |                            |  |
|         |                            |  |
|         |                            |  |

Note: At least two directors (including managing director) must sign this form 註: 最少兩名董事 (包括常務董事) 必須簽署此表格。

|   |   |
|---|---|
| <p>_____<br/>Signature of Director 董事簽署</p> <p>Name 姓名: _____<br/>Date 日期: _____ (日/月/年)<br/>(dd/mm/yyyy)</p> | <p>_____<br/>Signature of Director 董事簽署</p> <p>Name 姓名: _____<br/>Date 日期: _____ (日/月/年)<br/>(dd/mm/yyyy)</p> |
|---|---|

## SIGNATURE CARD 印鑑卡

The following persons are authorised by the Company to operate the Account(s):  
 以下人士獲 公司授權操作帳戶：

### i. Trading Instruction 交易指示

|   |   |   |
|---|---|---|
| <b>(1) Specimen Signature</b><br>簽署式樣<br><br><br>Name:<br>姓名： _____<br><br>ID/Passport No.<br>身份證 / 護照號碼： _____<br>Telephone No.<br>電話號碼： _____ | <b>(2) Specimen Signature</b><br>簽署式樣<br><br><br>Name:<br>姓名： _____<br><br>ID/Passport No.<br>身份證 / 護照號碼： _____<br>Telephone No.<br>電話號碼： _____ | <b>(3) Specimen Signature</b><br>簽署式樣<br><br><br>Name:<br>姓名： _____<br><br>ID/Passport No.<br>身份證 / 護照號碼： _____<br>Telephone No.<br>電話號碼： _____ |
|---|---|---|

Any\* \_\_\_\_\_ of the above may effect written and/or any one may effect verbal instructions for securities and/or futures transaction(s).  
 以上 \_\_\_\_\_ \* 式憑 \_\_\_\_\_ \* 式簽署式樣可簽署及 / 或 憑壹名授權人士發出的口頭指示進行證券及 / 或期貨交易。  
 \* Please write appropriate number 請填寫適當數字

### ii. Other Instruction 其他指示

|   |   |   |
|---|---|---|
| <b>(1) Specimen Signature</b><br>簽署式樣<br><br><br>Name:<br>姓名： _____<br><br>ID/Passport No.<br>身份證 / 護照號碼： _____<br>Telephone No.<br>電話號碼： _____ | <b>(2) Specimen Signature</b><br>簽署式樣<br><br><br>Name:<br>姓名： _____<br><br>ID/Passport No.<br>身份證 / 護照號碼： _____<br>Telephone No.<br>電話號碼： _____ | <b>(3) Specimen Signature</b><br>簽署式樣<br><br><br>Name:<br>姓名： _____<br><br>ID/Passport No.<br>身份證 / 護照號碼： _____<br>Telephone No.<br>電話號碼： _____ |
|---|---|---|

Any\* \_\_\_\_\_ of the above may sign and/or effect all other written instructions, including but not limited to payment, withdrawal and/or transfer transaction(s) for securities and/or futures, change of particulars, additional account opening and/or change of authorized persons etc.  
 以上 \_\_\_\_\_ \* 式憑 \_\_\_\_\_ \* 式簽署式樣可簽署所有其他書面指示，包括但不限於為證券及 / 或期貨交易進行支付、提取及 / 或轉帳事宜、資料更改、增設帳戶及 / 或授權人更改等。  
 \* Please write appropriate number 請填寫適當數字

### iii. Specimen of Company's Chop / Seal 公司蓋章或式樣

(Choose (1) OR (2) 只可選 (1) 或 (2))

|   |         |   |
|---|---------|---|
| (1) <input type="checkbox"/> Signature solely could be a valid specimen. No company's chop / seal is required (Please confirm by signing below)<br>簽署式樣不須加上公司蓋章或式樣 (請於下方簽署確認)<br><br><br>_____<br>Signature of Director / Authorized Representative<br>董事 / 獲授權代表簽署 | OR<br>或 | (2) <input type="checkbox"/> Valid specimen should be signed together with company's chop / seal 簽署式樣須加上公司蓋章或式樣方為有效<br><br><div style="border: 1px solid black; padding: 5px; margin: 5px 0;"> <b>Specimen of Company's Chop / Seal</b><br/>                     公司蓋章或式樣                 </div> |
|---|---------|---|

|                             |                 |
|-----------------------------|-----------------|
| For Office Use Only 僅供本公司使用 |                 |
| Checked by 查驗人              | Approved by 批准人 |

Account Name 客戶姓名 : \_\_\_\_\_ Account No. 客戶帳號 : \_\_\_\_\_

Commission Rate 佣金 : Securities Trading Account ( 證券交易帳戶 )

| Market 市場  | Brokerage % 佣金百分率 | Minimum Amount 最低金額 |
|--|-------------------|---------------------|
| Hong Kong - Phone (HKD) 香港 — 電話落盤 ( 港元 )               |                   |                     |
| Hong Kong - Internet (HKD) 香港 — 網上落盤 ( 港元 )            |                   |                     |
| HK Stock Options - Phone (HKD) 香港股票期權 — 電話落盤 ( 港元 )    |                   |                     |
| HK Stock Options - Internet (HKD) 香港股票期權 — 網上落盤 ( 港元 ) |                   |                     |
| Taiwan - Phone (TWD) 台灣 — 電話落盤 ( 台幣 )                  |                   |                     |
| Taiwan - Internet (TWD) 台灣 — 網上落盤 ( 台幣 )               |                   |                     |
| Shenzhen B Stock (HKD) 深圳 B 股 ( 港元 )                   |                   |                     |
| Shanghai B Stock (USD) 上海 B 股 ( 美元 )                   |                   |                     |
| US stock - Phone (USD) 美股 — 電話落盤 ( 美元 )                |                   |                     |
| US stock - Internet (USD) 美股 — 網上落盤 ( 美元 )             |                   |                     |
| Others 其他 : _____                                      |                   |                     |

Commission Rate 佣金 : Futures Trading Account ( 期貨交易帳戶 )

| Types of Futures Contract 期貨合約種類                       | Commission (per lot per side) 佣金 ( 每張合約單邊計 ) |
|--|--|
| HSI (Day Trade) 恆生指數期貨 ( 即日盤 )                         |  |
| HSI (O/N Trade) 恆生指數期貨 ( 過夜盤 )                         |  |
| MHI (Day Trade) 小型恆生指數期貨 ( 即日盤 )                       |  |
| MHI (O/N Trade) 小型恆生指數期貨 ( 過夜盤 )                       |  |
| HHI (Day Trade) H 股指數期貨 ( 即日盤 )                        |  |
| HHI (O/N Trade) H 股指數期貨 ( 過夜盤 )                        |  |
| MCH (Day Trade) 小型 H 股指數期貨 ( 即日盤 )                     |  |
| MCH (O/N Trade) 小型 H 股指數期貨 ( 過夜盤 )                     |  |
| Overseas Index Futures (Day Trade) 海外指數期貨 ( 即日盤 )      |  |
| Overseas Index Futures (O/N Trade) 海外指數期貨 ( 過夜盤 )      |  |
| Overseas Non-index Futures (Day Trade) 海外非指數期貨 ( 即日盤 ) |  |
| Overseas Non-index Futures (O/N Trade) 海外非指數期貨 ( 過夜盤 ) |  |
| Others (Day Trade) 其他 ( 即日盤 ) _____                    |  |
| Others (O/N Trade) 其他 ( 過夜盤 ) _____                    |  |

Expiry date commission is equivalent to over-night trade commission 結算日自動平倉佣金為過夜盤佣金

I have assessed Client's money laundering risk based on the criteria of high money laundering risk as defined in SOP and my knowledge of Client 我已根據 SOP 內高洗黑錢風險的定義及我對客戶的認識作洗黑錢風險分類評估 :

Money Laundering Risk Classification 洗黑錢風險分類 : \*Low Risk 低風險 / High Risk 高風險

Signature of Account Executive 客戶主任簽署 : \_\_\_\_\_ Date 日期 : \_\_\_\_\_

Name of Account Executive 客戶主任名稱 : \_\_\_\_\_ A/E Code 客戶主任編號 : \_\_\_\_\_

Approved by Sales Head / RO 業務部門主管 / 負責人員批准 : \_\_\_\_\_ Date 日期 : \_\_\_\_\_

Money Laundering Risk Classification checked by 洗黑錢風險分類核實人 : \_\_\_\_\_ Date 日期 : \_\_\_\_\_

Client Investment Suitability Classification 客戶投資屬性分類 : \*Grade 第 1 / 2 / 3 / 4 / 5 級

Client Investment Suitability Policy checked by 客戶投資屬性政策核實人 : \_\_\_\_\_ Date 日期 : \_\_\_\_\_

Documentation checked by 文件核實人 : \_\_\_\_\_ Date 日期 : \_\_\_\_\_

Approved by 批准人 : \_\_\_\_\_ Date 日期 : \_\_\_\_\_

Remarks 附註

(\* Delete if not applicable 請將不適用者刪去)



# 永豐金證券(亞洲)有限公司 SinoPac Securities (Asia) Limited

Exchange Participant of The Stock Exchange of Hong Kong Limited

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## ACCOUNT OPENING FORM SUPPLEMENTAL DOCUMENTS (Securities (Cash/Margin) / Futures) 開戶表格補充文件 (證券 (現金 / 保證金) / 期貨)

---

(Corporate Account)

(公司帳戶)

**Client Name** 客戶姓名 : \_\_\_\_\_

**Account No.** 客戶帳號 : \_\_\_\_\_

Registered Office: 7th Floor, Lee Garden Three, 1 Sunning Road, Causeway Bay, Hong Kong

註冊辦事處：香港銅鑼灣新寧道一號利園三期七樓

Tel. 電話：(852) 2586-8288 Fax 傳真：(852) 2586-8300

SinoPac Securities (Asia) Ltd is a licensed corporation for Types 1, 2, 4, 5 and 9 regulated activities under the Securities and Futures Ordinance (CE Number: BIZ502).

永豐金證券(亞洲)有限公司乃一家根據《證券及期貨條例》獲發牌進行第一、二、四、五及第九類受規管活動的持牌法團(中央編號：BIZ502)。

**IMPORTANT: If this Account Opening Form is accompanied by a Chinese version, in the event of any inconsistency, the English version of this Account Opening Form shall prevail.**

重要提示：倘若本開戶表格附帶中文版，而與英文版有任何歧異，以英文版為準。



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Form 1 表格一

Form **W-8BEN-E**

(Rev. July 2017)  
Department of the Treasury  
Internal Revenue Service

**Certificate of Status of Beneficial Owner for  
United States Tax Withholding and Reporting (Entities)**

▶ For use by entities. Individuals must use Form W-8BEN. ▶ Section references are to the Internal Revenue Code.  
▶ Go to [www.irs.gov/FormW8BENE](http://www.irs.gov/FormW8BENE) for instructions and the latest information.  
▶ Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

**Do NOT use this form for:**

- U.S. entity or U.S. citizen or resident . . . . . W-9
- A foreign individual . . . . . W-8BEN (Individual) or Form 8233
- A foreign individual or entity claiming that income is effectively connected with the conduct of trade or business within the U.S. (unless claiming treaty benefits) . . . . . W-8ECI
- A foreign partnership, a foreign simple trust, or a foreign grantor trust (unless claiming treaty benefits) (see instructions for exceptions) . . . W-8IMY
- A foreign government, international organization, foreign central bank of issue, foreign tax-exempt organization, foreign private foundation, or government of a U.S. possession claiming that income is effectively connected U.S. income or that is claiming the applicability of section(s) 115(2), 501(c), 892, 895, or 1443(b) (unless claiming treaty benefits) (see instructions for other exceptions) . . . . . W-8ECI or W-8EXP
- Any person acting as an intermediary (including a qualified intermediary acting as a qualified derivatives dealer) . . . . . W-8IMY

**Instead use Form:**

**Part I Identification of Beneficial Owner**

|  |   |
|--|---|
| <b>1</b> Name of organization that is the beneficial owner | <b>2</b> Country of incorporation or organization |
|--|---|

**3** Name of disregarded entity receiving the payment (if applicable, see instructions)

**4** Chapter 3 Status (entity type) (Must check one box only):

|  |   |                                      |
|--|---|--------------------------------------|
| <input type="checkbox"/> Corporation           | <input type="checkbox"/> Disregarded entity         | <input type="checkbox"/> Partnership |
| <input type="checkbox"/> Simple trust          | <input type="checkbox"/> Grantor trust              | <input type="checkbox"/> Estate      |
| <input type="checkbox"/> Central Bank of Issue | <input type="checkbox"/> Tax-exempt organization    | <input type="checkbox"/> Government  |
| <input type="checkbox"/> Private foundation    | <input type="checkbox"/> International organization |                                      |

If you entered disregarded entity, partnership, simple trust, or grantor trust above, is the entity a hybrid making a treaty claim? If "Yes" complete Part III.  Yes  No

**5** Chapter 4 Status (FATCA status) (See instructions for details and complete the certification below for the entity's applicable status.)

|   |   |
|---|---|
| <input type="checkbox"/> Nonparticipating FFI (including an FFI related to a Reporting IGA FFI other than a deemed-compliant FFI, participating FFI, or exempt beneficial owner).<br><br><input type="checkbox"/> Participating FFI.<br><input type="checkbox"/> Reporting Model 1 FFI.<br><input type="checkbox"/> Reporting Model 2 FFI.<br><input type="checkbox"/> Registered deemed-compliant FFI (other than a reporting Model 1 FFI, sponsored FFI, or nonreporting IGA FFI covered in Part XII). See instructions.<br><br><input type="checkbox"/> Sponsored FFI. Complete Part IV.<br><input type="checkbox"/> Certified deemed-compliant nonregistering local bank. Complete Part V.<br><input type="checkbox"/> Certified deemed-compliant FFI with only low-value accounts. Complete Part VI.<br><input type="checkbox"/> Certified deemed-compliant sponsored, closely held investment vehicle. Complete Part VII.<br><input type="checkbox"/> Certified deemed-compliant limited life debt investment entity. Complete Part VIII.<br><input type="checkbox"/> Certain investment entities that do not maintain financial accounts. Complete Part IX.<br><input type="checkbox"/> Owner-documented FFI. Complete Part X.<br><input type="checkbox"/> Restricted distributor. Complete Part XI. | <input type="checkbox"/> Nonreporting IGA FFI. Complete Part XII.<br><input type="checkbox"/> Foreign government, government of a U.S. possession, or foreign central bank of issue. Complete Part XIII.<br><br><input type="checkbox"/> International organization. Complete Part XIV.<br><input type="checkbox"/> Exempt retirement plans. Complete Part XV.<br><input type="checkbox"/> Entity wholly owned by exempt beneficial owners. Complete Part XVI.<br><input type="checkbox"/> Territory financial institution. Complete Part XVII.<br><input type="checkbox"/> Excepted nonfinancial group entity. Complete Part XVIII.<br><input type="checkbox"/> Excepted nonfinancial start-up company. Complete Part XIX.<br><input type="checkbox"/> Excepted nonfinancial entity in liquidation or bankruptcy. Complete Part XX.<br><br><input type="checkbox"/> 501(c) organization. Complete Part XXI.<br><input type="checkbox"/> Nonprofit organization. Complete Part XXII.<br><input type="checkbox"/> Publicly traded NFFE or NFFE affiliate of a publicly traded corporation. Complete Part XXIII.<br><input type="checkbox"/> Excepted territory NFFE. Complete Part XXIV.<br><input type="checkbox"/> Active NFFE. Complete Part XXV.<br><input type="checkbox"/> Passive NFFE. Complete Part XXVI.<br><input type="checkbox"/> Excepted inter-affiliate FFI. Complete Part XXVII.<br><input type="checkbox"/> Direct reporting NFFE.<br><input type="checkbox"/> Sponsored direct reporting NFFE. Complete Part XXVIII.<br><input type="checkbox"/> Account that is not a financial account. |
|---|---|

**6** Permanent residence address (street, apt. or suite no., or rural route). **Do not use a P.O. box or in-care-of address** (other than a registered address).

|   |         |
|---|---------|
| City or town, state or province. Include postal code where appropriate. | Country |
|---|---------|

**7** Mailing address (if different from above)

|   |         |
|---|---------|
| City or town, state or province. Include postal code where appropriate. | Country |
|---|---------|

|   |                |                      |
|---|----------------|----------------------|
| <b>8</b> U.S. taxpayer identification number (TIN), if required | <b>9a</b> GIIN | <b>b</b> Foreign TIN |
|---|----------------|----------------------|

**10** Reference number(s) (see instructions)

**Note:** Please complete remainder of the form including signing the form in Part XXX.  
**For Paperwork Reduction Act Notice, see separate instructions.**

**Part II Disregarded Entity or Branch Receiving Payment.** (Complete only if a disregarded entity with a GIIN or a branch of an FFI in a country other than the FFI's country of residence. See instructions.)

- 11** Chapter 4 Status (FATCA status) of disregarded entity or branch receiving payment
- Branch treated as nonparticipating FFI.       Reporting Model 1 FFI.       U.S. Branch.
- Participating FFI.       Reporting Model 2 FFI.

**12** Address of disregarded entity or branch (street, apt. or suite no., or rural route). **Do not use a P.O. box or in-care-of address** (other than a registered address).

City or town, state or province. Include postal code where appropriate.

Country

**13** GIIN (if any) \_\_\_\_\_

**Part III Claim of Tax Treaty Benefits** (if applicable). (For chapter 3 purposes only.)

**14** I certify that (check all that apply):

- a**  The beneficial owner is a resident of \_\_\_\_\_ within the meaning of the income tax treaty between the United States and that country.
- b**  The beneficial owner derives the item (or items) of income for which the treaty benefits are claimed, and, if applicable, meets the requirements of the treaty provision dealing with limitation on benefits. The following are types of limitation on benefits provisions that may be included in an applicable tax treaty (check only one; see instructions):
- Government
  - Tax exempt pension trust or pension fund
  - Other tax exempt organization
  - Publicly traded corporation
  - Subsidiary of a publicly traded corporation
  - Company that meets the ownership and base erosion test
  - Company that meets the derivative benefits test
  - Company with an item of income that meets active trade or business test
  - Favorable discretionary determination by the U.S. competent authority received
  - Other (specify Article and paragraph): \_\_\_\_\_
- c**  The beneficial owner is claiming treaty benefits for U.S. source dividends received from a foreign corporation or interest from a U.S. trade or business of a foreign corporation and meets qualified resident status (see instructions).

**15 Special rates and conditions** (if applicable—see instructions):  
 The beneficial owner is claiming the provisions of Article and paragraph \_\_\_\_\_ of the treaty identified on line 14a above to claim a \_\_\_\_\_ % rate of withholding on (specify type of income): \_\_\_\_\_  
 Explain the additional conditions in the Article the beneficial owner meets to be eligible for the rate of withholding: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

**Part IV Sponsored FFI**

**16** Name of sponsoring entity: \_\_\_\_\_

- 17 Check whichever box applies.**
- I certify that the entity identified in Part I:
- Is an investment entity;
  - Is not a QI, WP (except to the extent permitted in the withholding foreign partnership agreement), or WT; **and**
  - Has agreed with the entity identified above (that is not a nonparticipating FFI) to act as the sponsoring entity for this entity.
- I certify that the entity identified in Part I:
- Is a controlled foreign corporation as defined in section 957(a);
  - Is not a QI, WP, or WT;
  - Is wholly owned, directly or indirectly, by the U.S. financial institution identified above that agrees to act as the sponsoring entity for this entity; **and**
  - Shares a common electronic account system with the sponsoring entity (identified above) that enables the sponsoring entity to identify all account holders and payees of the entity and to access all account and customer information maintained by the entity including, but not limited to, customer identification information, customer documentation, account balance, and all payments made to account holders or payees.

**Part V Certified Deemed-Compliant Nonregistering Local Bank**18  I certify that the FFI identified in Part I:

- Operates and is licensed solely as a bank or credit union (or similar cooperative credit organization operated without profit) in its country of incorporation or organization;
- Engages primarily in the business of receiving deposits from and making loans to, with respect to a bank, retail customers unrelated to such bank and, with respect to a credit union or similar cooperative credit organization, members, provided that no member has a greater than 5% interest in such credit union or cooperative credit organization;
- Does not solicit account holders outside its country of organization;
- Has no fixed place of business outside such country (for this purpose, a fixed place of business does not include a location that is not advertised to the public and from which the FFI performs solely administrative support functions);
- Has no more than \$175 million in assets on its balance sheet and, if it is a member of an expanded affiliated group, the group has no more than \$500 million in total assets on its consolidated or combined balance sheets; **and**
- Does not have any member of its expanded affiliated group that is a foreign financial institution, other than a foreign financial institution that is incorporated or organized in the same country as the FFI identified in Part I and that meets the requirements set forth in this part.

**Part VI Certified Deemed-Compliant FFI with Only Low-Value Accounts**19  I certify that the FFI identified in Part I:

- Is not engaged primarily in the business of investing, reinvesting, or trading in securities, partnership interests, commodities, notional principal contracts, insurance or annuity contracts, or any interest (including a futures or forward contract or option) in such security, partnership interest, commodity, notional principal contract, insurance contract or annuity contract;
- No financial account maintained by the FFI or any member of its expanded affiliated group, if any, has a balance or value in excess of \$50,000 (as determined after applying applicable account aggregation rules); **and**
- Neither the FFI nor the entire expanded affiliated group, if any, of the FFI, have more than \$50 million in assets on its consolidated or combined balance sheet as of the end of its most recent accounting year.

**Part VII Certified Deemed-Compliant Sponsored, Closely Held Investment Vehicle**

20 Name of sponsoring entity: \_\_\_\_\_

21  I certify that the entity identified in Part I:

- Is an FFI solely because it is an investment entity described in Regulations section 1.1471-5(e)(4);
- Is not a QI, WP, or WT;
- Will have all of its due diligence, withholding, and reporting responsibilities (determined as if the FFI were a participating FFI) fulfilled by the sponsoring entity identified on line 20; **and**
- 20 or fewer individuals own all of the debt and equity interests in the entity (disregarding debt interests owned by U.S. financial institutions, participating FFIs, registered deemed-compliant FFIs, and certified deemed-compliant FFIs and equity interests owned by an entity if that entity owns 100% of the equity interests in the FFI and is itself a sponsored FFI).

**Part VIII Certified Deemed-Compliant Limited Life Debt Investment Entity**22  I certify that the entity identified in Part I:

- Was in existence as of January 17, 2013;
- Issued all classes of its debt or equity interests to investors on or before January 17, 2013, pursuant to a trust indenture or similar agreement; **and**
- Is certified deemed-compliant because it satisfies the requirements to be treated as a limited life debt investment entity (such as the restrictions with respect to its assets and other requirements under Regulations section 1.1471-5(f)(2)(iv)).

**Part IX Certain Investment Entities that Do Not Maintain Financial Accounts**23  I certify that the entity identified in Part I:

- Is a financial institution solely because it is an investment entity described in Regulations section 1.1471-5(e)(4)(i)(A), **and**
- Does not maintain financial accounts.

**Part X Owner-Documented FFI**

**Note:** This status only applies if the U.S. financial institution, participating FFI, or reporting Model 1 FFI to which this form is given has agreed that it will treat the FFI as an owner-documented FFI (see instructions for eligibility requirements). In addition, the FFI must make the certifications below.

24a  (All owner-documented FFIs check here) I certify that the FFI identified in Part I:

- Does not act as an intermediary;
- Does not accept deposits in the ordinary course of a banking or similar business;
- Does not hold, as a substantial portion of its business, financial assets for the account of others;
- Is not an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account;
- Is not owned by or in an expanded affiliated group with an entity that accepts deposits in the ordinary course of a banking or similar business, holds, as a substantial portion of its business, financial assets for the account of others, or is an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account;
- Does not maintain a financial account for any nonparticipating FFI; **and**
- Does not have any specified U.S. persons that own an equity interest or debt interest (other than a debt interest that is not a financial account or that has a balance or value not exceeding \$50,000) in the FFI other than those identified on the FFI owner reporting statement.

**Part X Owner-Documented FFI (continued)****Check box 24b or 24c, whichever applies.**

- b**  I certify that the FFI identified in Part I:
- Has provided, or will provide, an FFI owner reporting statement that contains:
    - (i) The name, address, TIN (if any), chapter 4 status, and type of documentation provided (if required) of every individual and specified U.S. person that owns a direct or indirect equity interest in the owner-documented FFI (looking through all entities other than specified U.S. persons);
    - (ii) The name, address, TIN (if any), and chapter 4 status of every individual and specified U.S. person that owns a debt interest in the owner-documented FFI (including any indirect debt interest, which includes debt interests in any entity that directly or indirectly owns the payee or any direct or indirect equity interest in a debt holder of the payee) that constitutes a financial account in excess of \$50,000 (disregarding all such debt interests owned by participating FFIs, registered deemed-compliant FFIs, certified deemed-compliant FFIs, excepted NFFEs, exempt beneficial owners, or U.S. persons other than specified U.S. persons); **and**
    - (iii) Any additional information the withholding agent requests in order to fulfill its obligations with respect to the entity.
  - Has provided, or will provide, valid documentation meeting the requirements of Regulations section 1.1471-3(d)(6)(iii) for each person identified in the FFI owner reporting statement.
- c**  I certify that the FFI identified in Part I has provided, or will provide, an auditor's letter, signed within 4 years of the date of payment, from an independent accounting firm or legal representative with a location in the United States stating that the firm or representative has reviewed the FFI's documentation with respect to all of its owners and debt holders identified in Regulations section 1.1471-3(d)(6)(iv)(A)(2), and that the FFI meets all the requirements to be an owner-documented FFI. The FFI identified in Part I has also provided, or will provide, an FFI owner reporting statement of its owners that are specified U.S. persons and Form(s) W-9, with applicable waivers.

**Check box 24d if applicable** (optional, see instructions).

- d**  I certify that the entity identified on line 1 is a trust that does not have any contingent beneficiaries or designated classes with unidentified beneficiaries.

**Part XI Restricted Distributor**

**25a**  (All restricted distributors check here) I certify that the entity identified in Part I:

- Operates as a distributor with respect to debt or equity interests of the restricted fund with respect to which this form is furnished;
- Provides investment services to at least 30 customers unrelated to each other and less than half of its customers are related to each other;
- Is required to perform AML due diligence procedures under the anti-money laundering laws of its country of organization (which is an FATF-compliant jurisdiction);
- Operates solely in its country of incorporation or organization, has no fixed place of business outside of that country, and has the same country of incorporation or organization as all members of its affiliated group, if any;
- Does not solicit customers outside its country of incorporation or organization;
- Has no more than \$175 million in total assets under management and no more than \$7 million in gross revenue on its income statement for the most recent accounting year;
- Is not a member of an expanded affiliated group that has more than \$500 million in total assets under management or more than \$20 million in gross revenue for its most recent accounting year on a combined or consolidated income statement; **and**
- Does not distribute any debt or securities of the restricted fund to specified U.S. persons, passive NFFEs with one or more substantial U.S. owners, or nonparticipating FFIs.

**Check box 25b or 25c, whichever applies.**

I further certify that with respect to all sales of debt or equity interests in the restricted fund with respect to which this form is furnished that are made after December 31, 2011, the entity identified in Part I:

- b**  Has been bound by a distribution agreement that contained a general prohibition on the sale of debt or securities to U.S. entities and U.S. resident individuals and is currently bound by a distribution agreement that contains a prohibition of the sale of debt or securities to any specified U.S. person, passive NFFE with one or more substantial U.S. owners, or nonparticipating FFI.
- c**  Is currently bound by a distribution agreement that contains a prohibition on the sale of debt or securities to any specified U.S. person, passive NFFE with one or more substantial U.S. owners, or nonparticipating FFI and, for all sales made prior to the time that such a restriction was included in its distribution agreement, has reviewed all accounts related to such sales in accordance with the procedures identified in Regulations section 1.1471-4(c) applicable to preexisting accounts and has redeemed or retired any, or caused the restricted fund to transfer the securities to a distributor that is a participating FFI or reporting Model 1 FFI securities which were sold to specified U.S. persons, passive NFFEs with one or more substantial U.S. owners, or nonparticipating FFIs.

**Part XII Nonreporting IGA FFI**

- 26  I certify that the entity identified in Part I:
- Meets the requirements to be considered a nonreporting financial institution pursuant to an applicable IGA between the United States and \_\_\_\_\_ . The applicable IGA is a  Model 1 IGA or a  Model 2 IGA; and is treated as a \_\_\_\_\_ under the provisions of the applicable IGA or Treasury regulations (if applicable, see instructions);
  - If you are a trustee documented trust or a sponsored entity, provide the name of the trustee or sponsor \_\_\_\_\_ . The trustee is:  U.S.  Foreign

**Part XIII Foreign Government, Government of a U.S. Possession, or Foreign Central Bank of Issue**

- 27  I certify that the entity identified in Part I is the beneficial owner of the payment, and is not engaged in commercial financial activities of a type engaged in by an insurance company, custodial institution, or depository institution with respect to the payments, accounts, or obligations for which this form is submitted (except as permitted in Regulations section 1.1471-6(h)(2)).

**Part XIV International Organization**

Check box 28a or 28b, whichever applies.

- 28a  I certify that the entity identified in Part I is an international organization described in section 7701(a)(18).
- b  I certify that the entity identified in Part I:
- Is comprised primarily of foreign governments;
  - Is recognized as an intergovernmental or supranational organization under a foreign law similar to the International Organizations Immunities Act or that has in effect a headquarters agreement with a foreign government;
  - The benefit of the entity's income does not inure to any private person; **and**
  - Is the beneficial owner of the payment and is not engaged in commercial financial activities of a type engaged in by an insurance company, custodial institution, or depository institution with respect to the payments, accounts, or obligations for which this form is submitted (except as permitted in Regulations section 1.1471-6(h)(2)).

**Part XV Exempt Retirement Plans**

Check box 29a, b, c, d, e, or f, whichever applies.

- 29a  I certify that the entity identified in Part I:
- Is established in a country with which the United States has an income tax treaty in force (see Part III if claiming treaty benefits);
  - Is operated principally to administer or provide pension or retirement benefits; **and**
  - Is entitled to treaty benefits on income that the fund derives from U.S. sources (or would be entitled to benefits if it derived any such income) as a resident of the other country which satisfies any applicable limitation on benefits requirement.
- b  I certify that the entity identified in Part I:
- Is organized for the provision of retirement, disability, or death benefits (or any combination thereof) to beneficiaries that are former employees of one or more employers in consideration for services rendered;
  - No single beneficiary has a right to more than 5% of the FFI's assets;
  - Is subject to government regulation and provides annual information reporting about its beneficiaries to the relevant tax authorities in the country in which the fund is established or operated; **and**
    - (i) Is generally exempt from tax on investment income under the laws of the country in which it is established or operates due to its status as a retirement or pension plan;
    - (ii) Receives at least 50% of its total contributions from sponsoring employers (disregarding transfers of assets from other plans described in this part, retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, other retirement funds described in an applicable Model 1 or Model 2 IGA, or accounts described in Regulations section 1.1471-5(b)(2)(i)(A));
    - (iii) Either does not permit or penalizes distributions or withdrawals made before the occurrence of specified events related to retirement, disability, or death (except rollover distributions to accounts described in Regulations section 1.1471-5(b)(2)(i)(A) (referring to retirement and pension accounts), to retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, or to other retirement funds described in this part or in an applicable Model 1 or Model 2 IGA); **or**
    - (iv) Limits contributions by employees to the fund by reference to earned income of the employee or may not exceed \$50,000 annually.
- c  I certify that the entity identified in Part I:
- Is organized for the provision of retirement, disability, or death benefits (or any combination thereof) to beneficiaries that are former employees of one or more employers in consideration for services rendered;
  - Has fewer than 50 participants;
  - Is sponsored by one or more employers each of which is not an investment entity or passive NFFE;
  - Employee and employer contributions to the fund (disregarding transfers of assets from other plans described in this part, retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, or accounts described in Regulations section 1.1471-5(b)(2)(i)(A)) are limited by reference to earned income and compensation of the employee, respectively;
  - Participants that are not residents of the country in which the fund is established or operated are not entitled to more than 20% of the fund's assets; **and**
  - Is subject to government regulation and provides annual information reporting about its beneficiaries to the relevant tax authorities in the country in which the fund is established or operates.

**Part XV Exempt Retirement Plans (continued)**

- d  I certify that the entity identified in Part I is formed pursuant to a pension plan that would meet the requirements of section 401(a), other than the requirement that the plan be funded by a trust created or organized in the United States.
- e  I certify that the entity identified in Part I is established exclusively to earn income for the benefit of one or more retirement funds described in this part or in an applicable Model 1 or Model 2 IGA, or accounts described in Regulations section 1.1471-5(b)(2)(i)(A) (referring to retirement and pension accounts), or retirement and pension accounts described in an applicable Model 1 or Model 2 IGA.
- f  I certify that the entity identified in Part I:
- Is established and sponsored by a foreign government, international organization, central bank of issue, or government of a U.S. possession (each as defined in Regulations section 1.1471-6) or an exempt beneficial owner described in an applicable Model 1 or Model 2 IGA to provide retirement, disability, or death benefits to beneficiaries or participants that are current or former employees of the sponsor (or persons designated by such employees); **or**
  - Is established and sponsored by a foreign government, international organization, central bank of issue, or government of a U.S. possession (each as defined in Regulations section 1.1471-6) or an exempt beneficial owner described in an applicable Model 1 or Model 2 IGA to provide retirement, disability, or death benefits to beneficiaries or participants that are not current or former employees of such sponsor, but are in consideration of personal services performed for the sponsor.

**Part XVI Entity Wholly Owned by Exempt Beneficial Owners**

- 30  I certify that the entity identified in Part I:
- Is an FFI solely because it is an investment entity;
  - Each direct holder of an equity interest in the investment entity is an exempt beneficial owner described in Regulations section 1.1471-6 or in an applicable Model 1 or Model 2 IGA;
  - Each direct holder of a debt interest in the investment entity is either a depository institution (with respect to a loan made to such entity) or an exempt beneficial owner described in Regulations section 1.1471-6 or an applicable Model 1 or Model 2 IGA.
  - Has provided an owner reporting statement that contains the name, address, TIN (if any), chapter 4 status, and a description of the type of documentation provided to the withholding agent for every person that owns a debt interest constituting a financial account or direct equity interest in the entity; **and**
  - Has provided documentation establishing that every owner of the entity is an entity described in Regulations section 1.1471-6(b), (c), (d), (e), (f) and/or (g) without regard to whether such owners are beneficial owners.

**Part XVII Territory Financial Institution**

- 31  I certify that the entity identified in Part I is a financial institution (other than an investment entity) that is incorporated or organized under the laws of a possession of the United States.

**Part XVIII Excepted Nonfinancial Group Entity**

- 32  I certify that the entity identified in Part I:
- Is a holding company, treasury center, or captive finance company and substantially all of the entity's activities are functions described in Regulations section 1.1471-5(e)(5)(i)(C) through (E);
  - Is a member of a nonfinancial group described in Regulations section 1.1471-5(e)(5)(i)(B);
  - Is not a depository or custodial institution (other than for members of the entity's expanded affiliated group); **and**
  - Does not function (or hold itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle with an investment strategy to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes.

**Part XIX Excepted Nonfinancial Start-Up Company**

- 33  I certify that the entity identified in Part I:
- Was formed on (or, in the case of a new line of business, the date of board resolution approving the new line of business) \_\_\_\_\_ (date must be less than 24 months prior to date of payment);
  - Is not yet operating a business and has no prior operating history or is investing capital in assets with the intent to operate a new line of business other than that of a financial institution or passive NFFE;
  - Is investing capital into assets with the intent to operate a business other than that of a financial institution; **and**
  - Does not function (or hold 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.

**Part XX Excepted Nonfinancial Entity in Liquidation or Bankruptcy**

- 34  I certify that the entity identified in Part I:
- Filed a plan of liquidation, filed a plan of reorganization, or filed for bankruptcy on \_\_\_\_\_;
  - During the past 5 years has not been engaged in business as a financial institution or acted as a passive NFFE;
  - Is either liquidating or emerging from a reorganization or bankruptcy with the intent to continue or recommence operations as a nonfinancial entity; **and**
  - Has, or will provide, documentary evidence such as a bankruptcy filing or other public documentation that supports its claim if it remains in bankruptcy or liquidation for more than 3 years.

**Part XXI 501(c) Organization**

35  I certify that the entity identified in Part I is a 501(c) organization that:

- Has been issued a determination letter from the IRS that is currently in effect concluding that the payee is a section 501(c) organization that is dated \_\_\_\_\_; **or**
- Has provided a copy of an opinion from U.S. counsel certifying that the payee is a section 501(c) organization (without regard to whether the payee is a foreign private foundation).

**Part XXII Nonprofit Organization**

36  I certify that the entity identified in Part I is a nonprofit organization that meets the following requirements.

- The entity is established and maintained in its country of residence exclusively for religious, charitable, scientific, artistic, cultural or educational purposes;
- The entity is exempt from income tax in its country of residence;
- The entity has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
- Neither the applicable laws of the entity's country of residence nor the entity's formation documents permit any income or assets of the entity to be distributed to, or applied for the benefit of, a private person or noncharitable entity other than pursuant to the conduct of the entity's charitable activities or as payment of reasonable compensation for services rendered or payment representing the fair market value of property which the entity has purchased; **and**
- The applicable laws of the entity's country of residence or the entity's formation documents require that, upon the entity's liquidation or dissolution, all of its assets be distributed to an entity that is a foreign government, an integral part of a foreign government, a controlled entity of a foreign government, or another organization that is described in this part or escheats to the government of the entity's country of residence or any political subdivision thereof.

**Part XXIII Publicly Traded NFFE or NFFE Affiliate of a Publicly Traded Corporation**

Check box 37a or 37b, whichever applies.

37a  I certify that:

- The entity identified in Part I is a foreign corporation that is not a financial institution; **and**
- The stock of such corporation is regularly traded on one or more established securities markets, including \_\_\_\_\_ (name one securities exchange upon which the stock is regularly traded).

b  I certify that:

- The entity identified in Part I is a foreign corporation that is not a financial institution;
- The entity identified in Part I is a member of the same expanded affiliated group as an entity the stock of which is regularly traded on an established securities market;
- The name of the entity, the stock of which is regularly traded on an established securities market, is \_\_\_\_\_; **and**
- The name of the securities market on which the stock is regularly traded is \_\_\_\_\_.

**Part XXIV Excepted Territory NFFE**

38  I certify that:

- The entity identified in Part I is an entity that is organized in a possession of the United States;
- The entity identified in Part I:
  - (i) Does not accept deposits in the ordinary course of a banking or similar business;
  - (ii) Does not hold, as a substantial portion of its business, financial assets for the account of others; **or**
  - (iii) Is not an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account; **and**
- All of the owners of the entity identified in Part I are bona fide residents of the possession in which the NFFE is organized or incorporated.

**Part XXV Active NFFE**

39  I certify that:

- The entity identified in Part I is a foreign entity that is not a financial institution;
- Less than 50% of such entity's gross income for the preceding calendar year is passive income; **and**
- Less than 50% of the assets held by such entity are assets that produce or are held for the production of passive income (calculated as a weighted average of the percentage of passive assets measured quarterly) (see instructions for the definition of passive income).

**Part XXVI Passive NFFE**

40a  I certify that the entity identified in Part I is a foreign entity that is not a financial institution (other than an investment entity organized in a possession of the United States) and is not certifying its status as a publicly traded NFFE (or affiliate), excepted territory NFFE, active NFFE, direct reporting NFFE, or sponsored direct reporting NFFE.

Check box 40b or 40c, whichever applies.

- b  I further certify that the entity identified in Part I has no substantial U.S. owners (or, if applicable, no controlling U.S. persons); **or**
- c  I further certify that the entity identified in Part I has provided the name, address, and TIN of each substantial U.S. owner (or, if applicable, controlling U.S. person) of the NFFE in Part XXIX.





Form 2 表格二

**Form W-8IMY**

(Rev. June 2017)

Department of the Treasury  
Internal Revenue Service

**Certificate of Foreign Intermediary, Foreign Flow-Through Entity, or Certain U.S. Branches for United States Tax Withholding and Reporting**

▶ Section references are to the Internal Revenue Code.

▶ Go to [www.irs.gov/FormW8IMY](http://www.irs.gov/FormW8IMY) for instructions and the latest information.

▶ Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

**Do not use this form for:**

**Instead, use Form:**

- A beneficial owner solely claiming foreign status or treaty benefits (other than a qualified intermediary (QI) acting as a qualified derivatives dealer (QDD)) . . . . . W-8BEN or W-8BEN-E
- A hybrid entity claiming treaty benefits on its own behalf (other than a QI acting as a QDD) . . . . . W-8BEN-E
- A foreign person claiming that income is effectively connected with the conduct of a trade or business in the United States . . . . . W-8ECI
- A disregarded entity with a single foreign owner that is the beneficial owner (other than a QI acting as a QDD) of the income to which this form relates. Instead, the single foreign owner should use . . . . . W-8BEN, W-8ECI, or W-8BEN-E
- A foreign government, international organization, foreign central bank of issue, foreign tax-exempt organization, foreign private foundation, or government of a U.S. possession claiming the applicability of section(s) 115(2), 501(c), 892, 895, or 1443(b) . . . . . W-8EXP
- U.S. entity or U.S. citizen or resident . . . . . W-9
- A foreign person documenting itself for purposes of section 6050W . . . . . W-8BEN, W-8BEN-E, or W-8ECI

**Part I Identification of Entity**

|   |  |
|---|--|
| 1 Name of organization that is acting as intermediary | 2 Country of incorporation or organization |
|---|--|

3 Name of disregarded entity (if applicable), see instructions

4 Chapter 3 Status (entity type) (Must check one box only.):

|   |   |
|---|---|
| <input type="checkbox"/> QI (including a QDD). Complete Part III.<br><input type="checkbox"/> Nonqualified intermediary. Complete Part IV.<br><input type="checkbox"/> Territory financial institution. Complete Part V.<br><input type="checkbox"/> U.S. branch. Complete Part VI.<br><input type="checkbox"/> Withholding foreign partnership. Complete Part VII. | <input type="checkbox"/> Withholding foreign trust. Complete Part VII.<br><input type="checkbox"/> Nonwithholding foreign partnership. Complete Part VIII.<br><input type="checkbox"/> Nonwithholding foreign simple trust. Complete Part VIII.<br><input type="checkbox"/> Nonwithholding foreign grantor trust. Complete Part VIII. |
|---|---|

5 Chapter 4 Status (FATCA status) (See instructions for details and complete the certification below for the entity's applicable status.) (Must check one box only.):

|   |  |
|---|--|
| <input type="checkbox"/> Nonparticipating foreign financial institution (FFI) (including an FFI related to a Reporting IGA FFI other than a deemed-compliant FFI, participating FFI, or exempt beneficial owner). Complete Part IX (if applicable).<br><input type="checkbox"/> Participating FFI.<br><input type="checkbox"/> Reporting Model 1 FFI.<br><input type="checkbox"/> Reporting Model 2 FFI.<br><input type="checkbox"/> Registered deemed-compliant FFI (other than a reporting Model 1 FFI, sponsored FFI, or nonreporting IGA FFI covered in Part XIX).<br><input type="checkbox"/> Territory financial institution. Complete Part V.<br><input type="checkbox"/> Sponsored FFI (other than a certified deemed-compliant sponsored, closely held investment vehicle). Complete Part X.<br><input type="checkbox"/> Certified deemed-compliant nonregistering local bank. Complete Part XII.<br><input type="checkbox"/> Certified deemed-compliant FFI with only low-value accounts. Complete Part XIII.<br><input type="checkbox"/> Certified deemed-compliant sponsored, closely held investment vehicle. Complete Part XIV.<br><input type="checkbox"/> Certified deemed-compliant limited life debt investment entity. Complete Part XV. | <input type="checkbox"/> Certain investment entities that do not maintain financial accounts. Complete Part XVI.<br><input type="checkbox"/> Owner-documented FFI. Complete Part XI.<br><input type="checkbox"/> Restricted distributor. Complete Part XVII.<br><input type="checkbox"/> Foreign central bank of issue. Complete Part XVIII.<br><input type="checkbox"/> Nonreporting IGA FFI. Complete Part XIX.<br><input type="checkbox"/> Exempt retirement plans. Complete Part XX.<br><input type="checkbox"/> Excepted nonfinancial group entity. Complete Part XXI.<br><input type="checkbox"/> Excepted nonfinancial start-up company. Complete Part XXII.<br><input type="checkbox"/> Excepted nonfinancial entity in liquidation or bankruptcy. Complete Part XXIII.<br><input type="checkbox"/> Publicly traded NFFE or NFFE affiliate of a publicly traded corporation. Complete Part XXIV.<br><input type="checkbox"/> Excepted territory NFFE. Complete Part XXV.<br><input type="checkbox"/> Active NFFE. Complete Part XXVI.<br><input type="checkbox"/> Passive NFFE. Complete Part XXVII.<br><input type="checkbox"/> Direct reporting NFFE.<br><input type="checkbox"/> Sponsored direct reporting NFFE. Complete Part XXVIII. |
|---|--|

6 Permanent residence address (street, apt. or suite no., or rural route). **Do not use a P.O. box or in-care-of address** (other than a registered address).

|   |         |
|---|---------|
| City or town, state or province. Include postal code where appropriate. | Country |
|---|---------|

7 Mailing address (if different from above)

|   |         |
|---|---------|
| City or town, state or province. Include postal code where appropriate. | Country |
|---|---------|

8 U.S. taxpayer identification number, if required ▶

|                                 |                                 |                                 |                              |
|---------------------------------|---------------------------------|---------------------------------|------------------------------|
| <input type="checkbox"/> QI-EIN | <input type="checkbox"/> WP-EIN | <input type="checkbox"/> WT-EIN | <input type="checkbox"/> EIN |
|---------------------------------|---------------------------------|---------------------------------|------------------------------|

9 GIIN (if applicable)

10 Reference number(s) (see instructions)

**Part II Disregarded Entity or Branch Receiving Payment.** (Complete only if a disregarded entity with a GIIN or a branch of an FFI in a country other than the FFI's country of residence. Do not complete Part II for QDD branches. See instructions.)

**11** Chapter 4 Status (FATCA status) of disregarded entity or branch receiving payment.

Branch treated as nonparticipating FFI.       Reporting Model 1 FFI.       U.S. Branch.

Participating FFI.       Reporting Model 2 FFI.

---

**12** Address of branch (street, apt. or suite no., or rural route). **Do not use a P.O. box or in-care-of address** (other than a registered address).

|   |         |
|---|---------|
| City or town, state or province. Include postal code where appropriate. | Country |
|---|---------|

---

**13** GIIN (if any) ▶

**Chapter 3 Status Certifications**

**Part III Qualified Intermediary**

**All Qualified Intermediaries**

- 14**  I certify that the entity identified in Part I (or branch, if relevant):
- Is a QI with respect to the accounts identified on line 10 or in a withholding statement associated with this form (as required) that is one or more of the following:
    - (i) not acting for its own account;
    - (ii) a QDD receiving payments on underlying securities and/or potential section 871(m) transactions;
    - (iii) a QI assuming primary withholding responsibility for payments of substitute interest, as permitted by the QI Agreement.
  - Has provided or will provide a withholding statement (as required) for purposes of chapters 3 and 4 that is subject to the certifications made on this form.

**Qualified Intermediaries not Acting as Qualified Derivatives Dealers (check all that apply)**

- 15a**  I certify that the entity identified in Part I of this form assumes primary withholding responsibility for purposes of chapters 3 and 4 for each account identified on a withholding statement attached to this form (or, if no withholding statement is attached to this form, for all accounts).
- b**  I certify that the entity identified in Part I of this form assumes primary Form 1099 reporting and backup withholding responsibility or reporting responsibility as a participating FFI or registered deemed-compliant FFI with respect to accounts that it maintains that are held by specified U.S. persons as permitted under Regulations sections 1.6049-4(c)(4)(i) or (c)(4)(ii) in lieu of Form 1099 reporting for each account identified on a withholding statement attached to this form (or, if no withholding statement is attached to this form, for all accounts).
- c**  I certify that the entity identified in Part I of this form does not assume primary Form 1099 reporting and backup withholding responsibility.
- d**  (Complete only to the extent the entity identified in Part I of this form does not assume primary Form 1099 reporting and backup withholding responsibility.) If the entity identified in Part I of this form has allocated or will allocate a portion of a payment to a chapter 4 withholding rate pool of U.S. payees on a withholding statement associated with this form, I certify that the entity meets the requirements of Regulations section 1.6049-4(c)(4)(iii) with respect to any account holder of an account it maintains that is included in such a withholding rate pool.
- e**  (Complete only to the extent the entity identified in Part I of this form does not assume primary Form 1099 reporting and backup withholding responsibility.) If the entity identified in Part I of this form has allocated or will allocate a portion of a payment to a chapter 4 withholding rate pool of U.S. payees on a withholding statement associated with this form, to the extent the U.S. payees are account holders of an intermediary or flow-through entity receiving a payment from the entity, I certify that the entity has obtained, or will obtain, documentation sufficient to establish each such intermediary or flow-through entity status as a participating FFI, registered deemed-compliant FFI, or FFI that is a QI.
- f**  I certify that the entity identified in Part I of this form is acting as a qualified securities lender with respect to payments associated with this form that are U.S. source substitute dividends received from the withholding agent.
- g**  I certify that the entity identified in Part I of this form assumes primary withholding responsibility for purposes of chapters 3 and 4 and primary Form 1099 reporting and backup withholding responsibility for all payments of substitute interest associated with this form, as permitted by the QI Agreement.

**Qualified Derivatives Dealers**

- 16a**  I certify that each QDD identified in Part I of this form or on a withholding statement associated with this form meets the requirements to act as a QDD and assumes primary withholding and reporting responsibilities under chapters 3, 4, and 61 and section 3406 with respect to any payments it makes with respect to potential section 871(m) transactions.
- b** Entity classification of QDD:
- Corporation       Partnership       Disregarded Entity

**Part IV Nonqualified Intermediary**

Check all that apply.

- 17a  (All nonqualified intermediaries and QIs that are not acting in their capacity as such check here.) I certify that the entity identified in Part I of this form is not acting as a qualified intermediary with respect to each account(s) for which this form is provided and is not acting for its own account.
- b  I certify that the entity identified in Part I of this form is using this form to transmit withholding certificates and/or other documentation and has provided, or will provide, a withholding statement, as required.
- c  I certify that the entity identified in Part I of this form meets the requirements of Regulations section 1.6049-4(c)(4)(iii) with respect to any account holder of an account it maintains that is included in a withholding rate pool of U.S. payees provided on a withholding statement associated with this form.
- d  I certify that the entity identified in Part I of this form is acting as a qualified securities lender with respect to payments associated with this form that are U.S. source substitute dividends received from the withholding agent.

**Part V Territory Financial Institution**

- 18a  I certify that the entity identified in Part I is a financial institution (other than an investment entity that is not also a depository institution, custodial institution, or specified insurance company) that is incorporated or organized under the laws of a possession of the United States.

Check box 18b or 18c, whichever applies.

- b  I further certify that the entity identified in Part I is using this form as evidence of its agreement with the withholding agent to be treated as a U.S. person for purposes of chapters 3 and 4 with respect to any payments associated with this withholding certificate.
- c  I further certify that the entity identified in Part I:
  - Is using this form to transmit withholding certificates and/or other documentation for the persons for whom it receives a payment; **and**
  - Has provided or will provide a withholding statement, as required.

**Part VI Certain U.S. Branches**

- 19a  I certify that the entity identified in Part I is receiving payments that are not effectively connected with the conduct of a trade or business in the United States.

Check box 19b or 19c, whichever applies.

- b  I certify that the entity identified in Part I is a U.S. branch of a foreign bank or insurance company described in Regulations section 1.1441-1(b)(2)(iv)(A) that is using this form as evidence of its agreement with the withholding agent to be treated as a U.S. person with respect to any payments associated with this withholding certificate.
- c  I certify that the entity identified in Part I:
  - Is using this form to transmit withholding certificates and/or other documentation for the persons for whom the branch receives a payment;
  - Has provided or will provide a withholding statement, as required; **and**
  - In the case of a withholdable payment, is applying the rules described in Regulations section 1.1471-4(d)(2)(iii)(C).

**Part VII Withholding Foreign Partnership (WP) or Withholding Foreign Trust (WT)**

- 20  I certify that the entity identified in Part I is a withholding foreign partnership or a withholding foreign trust that is compliant with the terms of its WP or WT agreement.

**Part VIII Nonwithholding Foreign Partnership, Simple Trust, or Grantor Trust**

Check all that apply.

- 21a  I certify that the entity identified in Part I:
  - Is a nonwithholding foreign partnership, a nonwithholding foreign simple trust, or a nonwithholding foreign grantor trust and is providing this form for payments that are not effectively connected, or are not treated as effectively connected, with the conduct of a trade or business in the United States; **and**
  - Is using this form to transmit withholding certificates and/or other documentation and has provided or will provide a withholding statement, as required for purposes of chapters 3 and 4, that is subject to the certifications made on this form.
- b  I certify that the entity identified in Part I is a foreign partnership that is a partner in a lower-tier partnership and is providing this Form W-8IMY for purposes of section 1446.

## Chapter 4 Status Certifications

### Part IX Nonparticipating FFI with Exempt Beneficial Owners

**22**  I certify that the entity identified in Part I is using this form to transmit withholding certificates and/or other documentation and has provided or will provide a withholding statement that indicates the portion of the payment allocated to one or more exempt beneficial owners.

### Part X Sponsored FFI

**23a** Name of sponsoring entity: ► \_\_\_\_\_

#### Check box 23b or 23c, whichever applies.

- b**  I certify that the entity identified in Part I:
- Is an investment entity;
  - Is not a QI, WP (except to the extent permitted in the withholding foreign partnership agreement), or WT; **and**
  - Has agreed with the entity identified above (that is not a nonparticipating FFI) to act as the sponsoring entity for this entity.
- c**  I certify that the entity identified in Part I:
- Is a controlled foreign corporation as defined in section 957(a);
  - Is not a QI, WP, or WT;
  - Is wholly owned, directly or indirectly, by the U.S. financial institution identified above that agrees to act as the sponsoring entity for this entity; **and**
  - Shares a common electronic account system with the sponsoring entity (identified above) that enables the sponsoring entity to identify all account holders and payees of the entity and to access all account and customer information maintained by the entity including, but not limited to, customer identification information, customer documentation, account balance, and all payments made to account holders or payees.

### Part XI Owner-Documented FFI

**Note:** This status only applies if the U.S. financial institution, participating FFI, reporting Model 1 FFI, or reporting Model 2 FFI to which this form is given has agreed that it will treat the FFI as an owner-documented FFI. The owner-documented FFI must make the certifications below.

- 24a**  I certify that the FFI identified in Part I:
- Does not act as an intermediary;
  - Does not accept deposits in the ordinary course of a banking or similar business;
  - Does not hold, as a substantial portion of its business, financial assets for the account of others;
  - Is not an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account;
  - Is not affiliated with an entity (other than an FFI that is also treated as an owner-documented FFI) that accepts deposits in the ordinary course of a banking or similar business, holds, as a substantial portion of its business, financial assets for the account of others, or is an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account; **and**
  - Does not maintain a financial account for any nonparticipating FFI.

#### Check box 24b or 24c, whichever applies.

- b**  I certify that the FFI identified in Part I:
- Has provided, or will provide, an FFI owner reporting statement (including any applicable owner documentation) that contains:
    - (i) The name, address, TIN (if any), chapter 4 status, and type of documentation provided (if required) of every individual and specified U.S. person that owns a direct or indirect equity interest in the owner-documented FFI (looking through all entities other than specified U.S. persons);
    - (ii) The name, address, TIN (if any), chapter 4 status, and type of documentation provided (if required) of every individual and specified U.S. person that owns a debt interest in the owner-documented FFI (including any indirect debt interest, which includes debt interests in any entity that directly or indirectly owns the payee or any direct or indirect equity interest in a debt holder of the payee) that constitutes a financial account in excess of \$50,000 (disregarding all such debt interests owned by participating FFIs, registered deemed-compliant FFIs, certified deemed-compliant FFIs, excepted NFFEs, exempt beneficial owners, or U.S. persons other than specified U.S. persons); **and**
    - (iii) Any additional information the withholding agent requests in order to fulfill its obligations with respect to the entity.
- c**  I certify that the FFI identified in Part I:
- Has provided, or will provide, an auditor's letter, signed no more than 4 years prior to the date of payment, from an independent accounting firm or legal representative with a location in the United States stating that the firm or representative has reviewed the FFI's documentation with respect to all of its owners and debt holders identified in Regulations section 1.1471-3(d)(6)(iv)(A)(2) and that the FFI meets all the requirements to be an owner-documented FFI. The FFI identified in Part I has also provided, or will provide, an FFI owner reporting statement and Form W-9, with applicable waivers, as described in Regulations section 1.1471-3(d)(6)(iv).

**Part XII Certified Deemed-Compliant Nonregistering Local Bank**

- 25  I certify that the FFI identified in Part I:
- Operates and is licensed solely as a bank or credit union (or similar cooperative credit organization operated without profit) in its country of incorporation or organization;
  - Engages primarily in the business of receiving deposits from and making loans to, with respect to a bank, retail customers unrelated to such bank and, with respect to a credit union or similar cooperative credit organization, members, provided that no member has a greater than 5% interest in such credit union or cooperative credit organization;
  - Does not solicit account holders outside its country of organization;
  - Has no fixed place of business outside such country (for this purpose, a fixed place of business does not include a location that is not advertised to the public and from which the FFI performs solely administrative support functions);
  - Has no more than \$175 million in assets on its balance sheet and, if it is a member of an expanded affiliated group, the group has no more than \$500 million in total assets on its consolidated or combined balance sheets; **and**
  - Does not have any member of its expanded affiliated group that is an FFI, other than an FFI that is incorporated or organized in the same country as the FFI identified in Part I and that meets the requirements set forth in this Part XII.

**Part XIII Certified Deemed-Compliant FFI With Only Low-Value Accounts**

- 26  I certify that the FFI identified in Part I:
- Is not engaged primarily in the business of investing, reinvesting, or trading in securities, partnership interests, commodities, notional principal contracts, insurance or annuity contracts, or any interest (including a futures or forward contract or option) in such security, partnership interest, commodity, notional principal contract, insurance contract, or annuity contract;
  - No financial account maintained by the FFI or any member of its expanded affiliated group, if any, has a balance or value in excess of \$50,000 (as determined after applying applicable account aggregation rules); **and**
  - Neither the FFI nor the FFI's entire expanded affiliated group, if any, has more than \$50 million in assets on its consolidated or combined balance sheet as of the end of its most recent accounting year.

**Part XIV Certified Deemed-Compliant Sponsored, Closely Held Investment Vehicle**

- 27a Name of sponsoring entity: ► \_\_\_\_\_
- b  I certify that the FFI identified in Part I:
- Is an FFI solely because it is an investment entity described in Regulations section 1.1471-5(e)(4);
  - Is not a QI, WP, or WT;
  - Will have all of its due diligence, withholding, and reporting responsibilities (determined as if the FFI were a participating FFI) fulfilled by the sponsoring entity identified on line 27a; **and**
  - 20 or fewer individuals own all of the debt and equity interests in the entity (disregarding debt interests owned by U.S. financial institutions, participating FFIs, registered deemed-compliant FFIs, and certified deemed-compliant FFIs and equity interests owned by an entity that owns 100% of the equity interests in the FFI identified in Part I and is itself a sponsored FFI).

**Part XV Certified Deemed-Compliant Limited Life Debt Investment Entity**

- 28  I certify that the FFI identified in Part I:
- Was in existence as of January 17, 2013;
  - Issued all classes of its debt or equity interests to investors on or before January 17, 2013, pursuant to a trust indenture or similar agreement; **and**
  - Is certified deemed-compliant because it satisfies the requirements to be treated as a limited life debt investment entity (such as the restrictions with respect to its assets and other requirements under Regulations section 1.1471-5(f)(2)(iv)).

**Part XVI Certain Investment Entities That Do Not Maintain Financial Accounts**

- 29  I certify that the entity identified in Part I:
- Is a financial institution solely because it is an investment entity described in Regulations section 1.1471-5(e)(4)(i)(A); **and**
  - Does not maintain financial accounts.

**Part XVII Restricted Distributor**

- 30a  (All restricted distributors check here.) I certify that the entity identified in Part I:
- Operates as a distributor with respect to debt or equity interests of the restricted fund with respect to which this form is furnished;
  - Provides investment services to at least 30 customers unrelated to each other and less than half of its customers are related to each other;
  - Is required to perform AML due diligence procedures under the anti-money laundering laws of its country of organization (which is a FATF-compliant jurisdiction);
  - Operates solely in its country of incorporation or organization, has no fixed place of business outside of that country, and has the same country of incorporation or organization as all members of its affiliated group, if any;
  - Does not solicit customers outside its country of incorporation or organization;
  - Has no more than \$175 million in total assets under management and no more than \$7 million in gross revenue on its income statement for the most recent accounting year;
  - Is not a member of an expanded affiliated group that has more than \$500 million in total assets under management or more than \$20 million in gross revenue for its most recent accounting year on a combined or consolidated income statement; **and**
  - Does not distribute any debt or securities of the restricted fund to specified U.S. persons, passive NFFEs with one or more substantial U.S. owners, or nonparticipating FFIs.

**Part XVII Restricted Distributor (continued)****Check box 30b or 30c, whichever applies.**

I further certify that with respect to all sales of debt or equity interests in the restricted fund with respect to which this form is furnished that are made after December 31, 2011, the entity identified in Part I:

- b**  Has been bound by a distribution agreement that contained a general prohibition on the sale of debt or securities to U.S. entities and U.S. resident individuals and is currently bound by a distribution agreement that contains a prohibition of the sale of debt or securities to any specified U.S. person, passive NFFE with one or more substantial U.S. owners, or nonparticipating FFI.
- c**  Is currently bound by a distribution agreement that contains a prohibition on the sale of debt or securities to any specified U.S. person, passive NFFE with one or more substantial U.S. owners, or nonparticipating FFI and, for all sales made prior to the time that such a restriction was included in its distribution agreement, has reviewed all accounts related to such sales in accordance with the procedures identified in Regulations section 1.1471-4(c) applicable to preexisting accounts and has redeemed or retired any securities which were sold to specified U.S. persons, passive NFFEs with one or more substantial U.S. owners, or nonparticipating FFIs, or will transfer the securities to a distributor that is a participating FFI, reporting Model 1 FFI, or reporting Model 2 FFI.

**Part XVIII Foreign Central Bank of Issue**

- 31**  I certify that the entity identified in Part I is treated as the beneficial owner of the payment solely for purposes of chapter 4 under Regulations section 1.1471-6(d)(4).

**Part XIX Nonreporting IGA FFI**

- 32**  I certify that the entity identified in Part I:
- Meets the requirements to be considered a nonreporting financial institution pursuant to an applicable IGA between the United States and \_\_\_\_\_ . The applicable IGA is a  Model 1 IGA or a  Model 2 IGA; and is treated as a \_\_\_\_\_ under the provisions of the applicable IGA or Treasury regulations (if applicable, see instructions); **and**
  - If you are a trustee documented trust or sponsored entity, provide the name of the trustee or sponsor \_\_\_\_\_ The trustee is:  U.S.  Foreign

**Part XX Exempt Retirement Plans****Check box 33a, b, c, d, e, or f, whichever applies.**

- 33a**  I certify that the entity identified in Part I:
- Is established in a country with which the United States has an income tax treaty in force;
  - Is operated principally to administer or provide pension or retirement benefits; **and**
  - Is entitled to treaty benefits on income that the fund derives from U.S. sources (or would be entitled to benefits if it derived any such income) as a resident of the other country which satisfies any applicable limitation on benefits requirement.
- b**  I certify that the entity identified in Part I:
- Is organized for the provision of retirement, disability, or death benefits (or any combination thereof) to beneficiaries that are former employees of one or more employers in consideration for services rendered;
  - No single beneficiary has a right to more than 5% of the FFI's assets;
  - Is subject to government regulation and provides annual information reporting about its beneficiaries to the relevant tax authorities in the country in which the fund is established or operated; **and**
  - (i) Is generally exempt from tax on investment income under the laws of the country in which it is established or operates due to its status as a retirement or pension plan;
  - (ii) Receives at least 50% of its total contributions from sponsoring employers (disregarding transfers of assets from other plans described in this part, retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, other retirement funds described in an applicable Model 1 or Model 2 IGA, or accounts described in Regulations section 1.1471-5(b)(2)(i)(A));
  - (iii) Either does not permit or penalizes distributions or withdrawals made before the occurrence of specified events related to retirement, disability, or death (except rollover distributions to accounts described in Regulations section 1.1471-5(b)(2)(i)(A) (referring to retirement and pension accounts), to retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, or to other retirement funds described in this part or in an applicable Model 1 or Model 2 IGA); **or**
  - (iv) Limits contributions by employees to the fund by reference to earned income of the employee or may not exceed \$50,000 annually.
- c**  I certify that the entity identified in Part I:
- Is organized for the provision of retirement, disability, or death benefits (or any combination thereof) to beneficiaries that are former employees of one or more employers in consideration for services rendered;
  - Has fewer than 50 participants;
  - Is sponsored by one or more employers, each of which is not an investment entity or passive NFFE;
  - Employee and employer contributions to the fund (disregarding transfers of assets from other plans described in this part, retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, or accounts described in Regulations section 1.1471-5(b)(2)(i)(A)) are limited by reference to earned income and compensation of the employee, respectively;
  - Participants that are not residents of the country in which the fund is established or operated are not entitled to more than 20% of the fund's assets; **and**
  - Is subject to government regulation and provides annual information reporting about its beneficiaries to the relevant tax authorities in the country in which the fund is established or operates.
- d**  I certify that the entity identified in Part I is formed pursuant to a pension plan that would meet the requirements of section 401(a), other than the requirement that the plan be funded by a trust created or organized in the United States.

**Part XX Exempt Retirement Plans (continued)**

- e  I certify that the entity identified in Part I is established exclusively to earn income for the benefit of one or more retirement funds described in this part or in an applicable Model 1 or Model 2 IGA, accounts described in Regulations section 1.1471-5(b)(2)(i)(A) (referring to retirement and pension accounts), or retirement and pension accounts described in an applicable Model 1 or Model 2 IGA.
  
- f  I certify that the entity identified in Part I:
  - Is established and sponsored by a foreign government, international organization, central bank of issue, or government of a U.S. possession (each as defined in Regulations section 1.1471-6) or an exempt beneficial owner described in an applicable Model 1 or Model 2 IGA to provide retirement, disability, or death benefits to beneficiaries or participants that are current or former employees of the sponsor (or persons designated by such employees); **or**
  - Is established and sponsored by a foreign government, international organization, central bank of issue, or government of a U.S. possession (each as defined in Regulations section 1.1471-6) or an exempt beneficial owner described in an applicable Model 1 or Model 2 IGA to provide retirement, disability, or death benefits to beneficiaries or participants that are not current or former employees of such sponsor, but are in consideration of personal services performed for the sponsor.

**Part XXI Excepted Nonfinancial Group Entity**

- 34  I certify that the entity identified in Part I:
- Is a holding company, treasury center, or captive finance company and substantially all of the entity's activities are functions described in Regulations section 1.1471-5(e)(5)(i)(C) through (E);
  - Is a member of a nonfinancial group described in Regulations section 1.1471-5(e)(5)(i)(B);
  - Is not a depository or custodial institution (other than for members of the entity's expanded affiliated group); **and**
  - Does not function (or hold itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle with an investment strategy to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes.

**Part XXII Excepted Nonfinancial Start-Up Company**

- 35  I certify that the entity identified in Part I:
- Was formed on (or in the case of a new line of business, the date of board resolution approving the new line of business) \_\_\_\_\_ (date must be less than 24 months prior to date of payment);
  - Is not yet operating a business and has no prior operating history or is investing capital in assets with the intent to operate a new line of business other than that of a financial institution or passive NFFE; **and**
  - Does not function (or hold 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.

**Part XXIII Excepted Nonfinancial Entity in Liquidation or Bankruptcy**

- 36  I certify that the entity identified in Part I:
- Filed a plan of liquidation, filed a plan for reorganization, or filed for bankruptcy on the following date: \_\_\_\_\_;
  - Has not been engaged during the past 5 years in business as a financial institution or acted as a passive NFFE;
  - Is either liquidating or emerging from a reorganization or bankruptcy with the intent to continue or recommence operations as a nonfinancial entity; **and**
  - Has provided, or will provide, documentary evidence such as a bankruptcy filing or other public documentation that supports its claim if it remains in bankruptcy or liquidation for more than 3 years.

**Part XXIV Publicly Traded NFFE or NFFE Affiliate of a Publicly Traded Corporation**

Check box 37a or 37b, whichever applies.

- 37a  I certify that:
- The entity identified in Part I is a foreign corporation that is not a financial institution; **and**
  - The stock of such corporation is regularly traded on one or more established securities markets, including \_\_\_\_\_.
- b  I certify that:
- The entity identified in Part I is a foreign corporation that is not a financial institution;
  - The entity identified in Part I is a member of the same expanded affiliated group as an entity the stock of which is regularly traded on an established securities market;
  - The name of the entity, the stock of which is regularly traded on an established securities market, is \_\_\_\_\_; **and**
  - The name of the securities market on which the stock is regularly traded is ► \_\_\_\_\_.

**Part XXV Excepted Territory NFFE**

- 38  I certify that:
- The entity identified in Part I is an entity that is organized in a possession of the United States;
  - All of the owners of the entity identified in Part I are bona fide residents of the possession in which the NFFE is organized or incorporated; **and**
  - The entity identified in Part I:
    - (i) Does not accept deposits in the ordinary course of a banking or similar business;
    - (ii) Does not hold, as a substantial portion of its business, financial assets for the account of others; **and**
    - (iii) Is not an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account.



**Part XXVI Active NFFE**39  I certify that:

- The entity identified in Part I is a foreign entity that is not a financial institution;
- Less than 50% of such entity's gross income for the preceding calendar year is passive income; **and**
- Less than 50% of the assets held by such entity are assets that produce or are held for the production of passive income (calculated as a weighted average of the percentage of passive assets measured quarterly). See the instructions for the definition of passive income.

**Part XXVII Passive NFFE**40  I certify that the entity identified in Part I:

- Is a foreign entity that is not a financial institution (this category includes an entity organized in a possession of the United States that engages (or holds itself out as being engaged) primarily in the business of investing, reinvesting, or trading in securities, partnership interests, commodities, notional principal contracts, insurance or annuity contracts, or any interest in such security, partnership interest, commodity, notional principal contract, insurance contract, or annuity contract); **and**
- Is using this form to transmit withholding certificates and/or other documentation and has provided or will provide a withholding statement, as required.

**Part XXVIII Sponsored Direct Reporting NFFE**

41 Name of sponsoring entity: ► \_\_\_\_\_

42  I certify that the entity identified in Part I is a direct reporting NFFE that is sponsored by the entity identified on line 41.**Part XXIX Certification**

Under penalties of perjury, 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. Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income for which I am providing this form or any withholding agent that can disburse or make payments of the amounts for which I am providing this form.

I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.

Sign Here ►

\_\_\_\_\_  
Signature of authorized official\_\_\_\_\_  
Print Name\_\_\_\_\_  
Date (MM-DD-YYYY)

**Form 3 表格三**

To : SinoPac Securities (Asia) Limited  
 致 : 永豐金證券 ( 亞洲 ) 有限公司  
 7th Floor, Lee Garden Three, 1 Sunning Road, Causeway Bay,  
 Hong Kong  
 香港銅鑼灣新寧道一號利園三期七樓

Account No. : \_\_\_\_\_  
 客戶帳號 : \_\_\_\_\_

**Common Reporting Standard (CRS) 共同匯報標準  
 Self-Certification Form-Entity 自我證明表格 - 實體**

**Important Notes 重要提示 :**

- **This is a self-certification form provided by an account holder to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Hong Kong Inland Revenue Department for transfer to the tax authority of another jurisdiction.**  
 這是由帳戶持有人向申報財務機構提供的自我證明表格，以作自動交換財務帳戶資料用途。申報財務機構可把收集所得的資料交給香港稅務局，香港稅務局會將資料轉交到另一個稅務管轄區的稅務當局。
- **An account holder should report all changes in its tax residency status to the reporting financial institution.**  
 如帳戶持有人的稅務居民身分有所改變，應儘快將所有變更通知申報財務機構。
- **All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (\*) are required to be reported by the reporting financial institution to the Hong Kong Inland Revenue Department.**  
 除不適用或特別註明外，必須填寫這份表格的所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄 / 部標有星號 (\*) 的項目為申報財務機構須向香港稅務局申報的資料。

**Part 1 Identification of Entity Account Holder**  
**第一部 實體帳戶持有人的身分辨識資料**

(For joint or multiple account holders, complete a separate form for each entity account holder.)  
 (對於聯名帳戶或多人聯名帳戶，每名實體帳戶持有人須分別填寫一份表格)

- (1) **Legal Name of Entity or Branch \***  
 實體或分支機構的法定名稱 \*
- 
- (2) **Jurisdiction of Incorporation or Organisation**  
 實體成立為法團或設立所在的稅務管轄區
- 
- (3) **Hong Kong Business Registration Number**  
 香港商業登記號碼
- 
- (4) **Current Business Address**  
 現時營業地址
- Line 1 (e.g. Suite, Floor, Building, Street, District)  
 第 1 行 (例如：室、樓層、大廈、街道、地區)
- 
- Line 2 (City) \*  
 第 2 行 (城市) \*
- 
- Line 3 (e.g. Province, State)  
 第 3 行 (例如：省、州)
- 
- Country \*  
 國家 \*
- 
- Post Code/ZIP Code  
 郵政編碼 / 郵遞區號碼
- 
- (5) **Mailing Address** (Complete if different to the current business address)  
 通訊地址 (如通訊地址與現時營業地址不同，填寫此欄)
- Line 1 (e.g. Suite, Floor, Building, Street, District)  
 第 1 行 (例如：室、樓層、大廈、街道、地區)
- 
- Line 2 (City)  
 第 2 行 (城市)
- 
- Line 3 (e.g. Province, State)  
 第 3 行 (例如：省、州)
- 
- Country  
 國家
- 
- Post Code/ZIP Code  
 郵政編碼 / 郵遞區號碼
-

**Part 2 Entity Type**  
**第二部 實體類別**

Tick one of the appropriate boxes and provide the relevant information.  
 在其中一個適當的方格內加上 ✓ 號，並提供相關資料。

|                               |   |
|-------------------------------|---|
| Financial Institution<br>財務機構 | <input type="checkbox"/> Custodial Institution, Depository Institution or Specified Insurance Company<br>託管機構、存款機構或指名保險公司<br><br><input type="checkbox"/> Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity's assets) and located in a non-participating jurisdiction<br>投資實體，但不包括由另一財務機構管理（例如：擁有酌情權管理投資實體的資產）並位於非參與稅務管轄區的投資實體   |
| Active NFE<br>主動非財務實體         | <input type="checkbox"/> NFE the stock of which is regularly traded on _____, which is an established securities market<br>該非財務實體的股票經常在 _____ (一個具規模證券市場) 進行買賣<br><br><input type="checkbox"/> Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market<br>_____ 的關聯實體，該有關聯實體的股票經常在 _____ (一個具規模證券市場) 進行買賣<br><br><input type="checkbox"/> NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities<br>政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體<br><br><input type="checkbox"/> Active NFE other than the above (Please specify _____)<br>除上述以外的主動非財務實體 (請說明 _____) |
| Passive NFE<br>被動非財務實體        | <input type="checkbox"/> Investment entity that is managed by another financial institution and located in a non-participating jurisdiction<br>位於非參與稅務管轄區並由另一財務機構管理的投資實體<br><br><input type="checkbox"/> NFE that is not an active NFE<br>不屬主動非財務實體的非財務實體   |

**Part 3 Controlling Persons (Complete this part if the entity account holder is a passive NFE)**  
**第三部 控權人 (如實體帳戶持有人是被動非財務實體，填寫此部)**

Indicate the name of all controlling person(s) of the account holder in the table below. If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official.  
 就帳戶持有人，填寫所有控權人的姓名在列表內。就法人實體，如行使控制權的並非自然人，控權人會是該法人實體的高級管理人員。

Complete Self-Certification Form – Controlling Person for each controlling person.  
 每名控權人須分別寫一份自我證明表格 - 控權人。

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

**Part 4 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”) \***

**第四部 居留司法管轄區及稅務編號或具有等同功能的辨識編號 (以下簡稱「稅務編號」) \***

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a **resident for tax purposes** and (b) the account holder’s TIN for each jurisdiction indicated. Indicate **all** (not restricted to five) jurisdictions of residence.

提供以下資料，列明 (a) 帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區 (香港包括在內) 及 (b) 該居留司法管轄區發給帳戶持有人的稅務編號。列出所有 (不限於 5 個) 居留司法管轄區。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number.

如帳戶持有人是香港稅務居民，稅務編號是其香港商業登記號碼。

If the account holder is not a tax resident in any jurisdiction (e.g. fiscally transparent), indicate the jurisdiction in which its place of effective management is situated.

如果帳戶持有人並非任何稅務管轄區的稅務居民 (例如：它是財政透明實體)，填寫實際管理機構所在的稅務管轄區。

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 where the account holder is a resident for tax purposes does not issue TINs to its residents.

理由 A - 帳戶持有人的居留司法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. 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，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 do not require the TIN to be disclosed.

理由 C - 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

|     | <b>Jurisdiction of Residence</b><br>居留司法管轄區 | <b>TIN</b><br>稅務編號 | <b>Enter Reason A, B or C if no TIN is available</b><br>如沒有提供稅務編號，填寫理由 A、B 或 C | <b>Explain why the account holder is unable to obtain a TIN if you have selected Reason B</b><br>如選取理由 B，解釋帳戶持有人不能取得稅務編號的原因 |
|-----|---|--------------------|--|---|
| (1) |   |                    |  |   |
| (2) |   |                    |  |   |
| (3) |   |                    |  |   |
| (4) |   |                    |  |   |
| (5) |   |                    |  |   |

## Part 5 Declarations and Signature

### 第五部 聲明及簽署

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the financial institution 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，財務機構可根據《稅務條例》(第112章)有關交換財務帳戶資料的法律條文，(a) 收集本表格所載資料並可備存作自動交換財務帳戶資料用途及 (b) 把該等資料和關於帳戶持有人及任何須申報帳戶的資料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居留司法管轄區的稅務當局。

I certify that 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，本人獲帳戶持有人授權簽署本表格。

I undertake to advise SinoPac Securities (Asia) Limited of any change in circumstances which affects the tax residency status of the entity identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide SinoPac Securities (Asia) 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部所述的實體的稅務居民身分，或引致本表格所載的資料不正確，本人會通知永豐金證券(亞洲)有限公司，並會在情況發生改變後30日內，向永豐金證券(亞洲)有限公司提交一份已適當更新的自我證明表格。

**I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.**

本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

Signature 簽署 \_\_\_\_\_

Name 姓名 \_\_\_\_\_

(e.g. director or officer of a company, partner of a partnership, trustee of a trust etc.)

Capacity 身分 \_\_\_\_\_

(例如：公司的董事或高級人員、合夥的合夥人、信託的受託人等)

Date (dd / mm / yyyy) \_\_\_\_\_

日期 (日 / 月 / 年) \_\_\_\_\_

**WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance 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《稅務條例》第80(2E)條，如任何人在作出自我證明時，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。

**Form 4 表格四**

To : SinoPac Securities (Asia) Limited  
 致 : 永豐金證券 ( 亞洲 ) 有限公司  
 7th Floor, Lee Garden Three, 1 Sunning Road, Causeway Bay,  
 Hong Kong  
 香港銅鑼灣新寧道一號利園三期七樓

Account No. : \_\_\_\_\_  
 客戶帳號 : \_\_\_\_\_

**Common Reporting Standard (CRS) 共同匯報標準**  
**Self-Certification Form–Controlling Person 自我證明表格 - 控權人**

**Important Notes 重要提示 :**

- **This is a self-certification form provided by a controlling person to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Hong Kong Inland Revenue Department for transfer to the tax authority of another jurisdiction.**  
 這是由控權人向申報財務機構提供的自我證明表格，以作自動交換財務帳戶資料用途。申報財務機構可把收集所得的資料交給香港稅務局，香港稅務局會將資料轉交到另一個稅務管轄區的稅務當局。
- **A controlling person should report all changes in his/her tax residency status to the reporting financial institution.**  
 如控權人的稅務居民身分有所改變，應儘快將所有變更通知申報財務機構。
- **All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (\*) are required to be reported by the reporting financial institution to the Hong Kong Inland Revenue Department.**  
 除不適用或特別註明外，必須填寫這份表格的所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄 / 部標有星號 (\*) 的項目為申報財務機構須向香港稅務局申報的資料。

**Part 1 Identification of Controlling Person**  
**第一部 控權人的身分辨識資料**

**(1) Name of Controlling Person 控權人的姓名**

Title (e.g. Mr, Mrs, Ms, Miss)

稱謂 (例如: 先生、太太、女士、小姐)

Last Name or Surname \*

姓氏 \*

First or Given Name \*

名字 \*

Middle Name(s)

中間名

**(2) Hong Kong Identity Card or Passport Number**

香港身份證或護照號碼

**(3) Current Residence Address 現時住址**

Line 1 (e.g. Suite, Floor, Building, Street, District)

第 1 行 (例如: 室、樓層、大廈、街道、地區)

Line 2 (City) \*

第 2 行 (城市) \*

Line 3 (e.g. Province, State)

第 3 行 (例如: 省、州)

Country \*

國家 \*

Post Code/ZIP Code

郵政編碼 / 郵遞區號碼

**(4) Mailing Address (Complete if different to the current residence address)**

通訊地址 (如通訊地址與現時住址不同, 填寫此欄)

Line 1 (e.g. Suite, Floor, Building, Street, District)

第 1 行 (例如: 室、樓層、大廈、街道、地區)

Line 2 (City)

第 2 行 (城市)

Line 3 (e.g. Province, State)

第 3 行 (例如: 省、州)

Country

國家

Post Code/ZIP Code

郵政編碼 / 郵遞區號碼

**(5) Date of Birth \* (dd/mm/yyyy)**

出生日期 \* (日 / 月 / 年)

**(6) Place of Birth\***

出生地點 \*

Town/City

鎮 / 城市

Province/State

省 / 州

Country\*

國家 \*



**Part 2 The Entity Account Holder(s) of which you are a controlling person****第二部 你作為控權人的實體帳戶持有人**

Enter the name of the entity account holder of which you are a controlling person.

填寫你作為控權人的實體帳戶持有人的名稱。

| Entity<br>實體 | Name of the Entity Account Holder<br>實體帳戶持有人的名稱 |
|--------------|---|
| (1)          |   |
| (2)          |   |
| (3)          |   |

**Part 3 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”)\*****第三部 居留司法管轄區及稅務編號或具有等同功能的辨識編號 (以下簡稱「稅務編號」)\***

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the controlling person is a **resident for tax purposes** and (b) the controlling person’s TIN for each jurisdiction indicated. Indicate **all** (not restricted to five) the jurisdictions of residence.

提供以下資料，列明 (a) 控權人的居留司法管轄區，亦即控權人的稅務管轄區 (香港包括在內) 及 (b) 該居留司法管轄區發給控權人的稅務編號。列出所有 (不限於 5 個) 居留司法管轄區。

If the controlling person is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.  
如控權人是香港稅務居民，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 where the controlling person is a resident for tax purposes does not issue TINs to its residents.

理由 A - 控權人的居留司法稅務管轄區並沒有向其居民發出稅務編號。

**Reason B** - The controlling person is unable to obtain a TIN. Explain why the controlling person is unable to obtain a TIN if you have selected this reason.

理由 B - 控權人不能取得稅務編號。如選取這一理由，解釋控權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 do not require the TIN to be disclosed.

理由 C - 控權人毋須提供稅務編號。居留司法管轄區的主管機關不需要控權人披露稅務編號。

|     | Jurisdiction of Residence<br>居留司法管轄區 | TIN<br>稅務編號 | Enter Reason A, B or C if no TIN is available<br>如沒有提供稅務編號，填寫理由 A、B 或 C | Explain why the controlling person is unable to obtain a TIN if you have selected Reason B<br>如選取理由 B，解釋控權人不能取得稅務編號的原因 |
|-----|--------------------------------------|-------------|---|--|
| (1) |                                      |             |   |  |
| (2) |                                      |             |   |  |
| (3) |                                      |             |   |  |
| (4) |                                      |             |   |  |
| (5) |                                      |             |   |  |

**Part 4 Type of Controlling Person****第四部 控權人類別**

Tick the appropriate box to indicate the type of controlling person for each entity stated in Part 2.

就第 2 部所載的每個實體，在適當方格內加上 ✓ 號，指出控權人就每個實體所屬的控權人類別。

| Type of Entity<br>實體類別                           | Type of Controlling Person<br>控權人類別   | Entity (1)<br>實體 (1)     | Entity (2)<br>實體 (2)     | Entity (3)<br>實體 (3)     |
|--|---|--------------------------|--------------------------|--------------------------|
| Legal Person<br>法人                               | Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital)<br>擁有控制股權的個人 (即擁有不少於百分之二十五的已發行股本)  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  | Individual who exercises control/is entitled to exercise control through other means (i.e. not less than 25% of voting rights)<br>以其他途徑行使控制權或有權行使控制權的個人 (即擁有不少於百分之二十五的表決權)                                | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  | Individual who holds the position of senior managing official/ exercises ultimate control over the management of the entity<br>擔任該實體的高級管理人員 / 對該實體的管理行使最終控制權的個人   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Trust<br>信託                                      | Settlor<br>財產授予人  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  | Trustee<br>受託人  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  | Protector<br>保護人  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  | Beneficiary or member of the class of beneficiaries<br>受益人或某類別受益人的成員  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  | Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary)<br>其他 (例如: 如財產授予人 / 受託人 / 保護人 / 受益人為另一實體, 對該實體行使控制權的個人)                                 | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Legal Arrangement other than Trust<br>除信託以外的法律安排 | Individual in a position equivalent/similar to settlor<br>處於相等 / 相類於財產授予人位置的個人  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  | Individual in a position equivalent/similar to trustee<br>處於相等 / 相類於受託人位置的個人  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  | Individual in a position equivalent/similar to protector<br>處於相等 / 相類於保護人位置的個人  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  | Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries<br>處於相等 / 相類於受益人或某類別受益人的成員位置的個人  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  | Other (e.g. individual who exercises control over another entity being equivalent/similar to settlor/trustee/protector/beneficiary)<br>其他 (例如: 如處於相等 / 相類於財產授予人 / 受託人 / 保護人 / 受益人位置的人為另一實體, 對該實體行使控制權的個人) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

## Part 5 Declarations and Signature

### 第五部 聲明及簽署

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the controlling person and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with tax authorities of another jurisdiction or jurisdictions in which the controlling person 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，財務機構可根據《稅務條例》(第112章)有關交換財務帳戶資料的法律條文，(a) 收集本表格所載資料並可備存作自動交換財務帳戶資料用途及 (b) 把該等資料和關於控權人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到控權人的居留司法管轄區的稅務當局。

I certify that I am the controlling person / I am authorized to sign for the controlling person # of all the account(s) held by the entity account holder(s) to which this form relates.

本人證明，就與本表格所有相關的實體帳戶持有人所持有的帳戶，本人是控權人 / 本人獲控權人授權簽署本表格 #。

I undertake to advise SinoPac Securities (Asia) Limited of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide SinoPac Securities (Asia) 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居民身分，或引致本表格所載的資料不正確，本人會通知永豐金證券(亞洲)有限公司，並會在情況發生改變後30日內，向永豐金證券(亞洲)有限公司提交一份已適當更新的自我證明表格。

**I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.**

本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

Signature 簽署 \_\_\_\_\_

Name 姓名 \_\_\_\_\_

Capacity 身分 \_\_\_\_\_

Date (dd / mm / yyyy)

日期 (日 / 月 / 年) \_\_\_\_\_

(Indicate the capacity if you are not the individual identified in Part 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)

# Delete as appropriate 刪去不適用者

**WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance 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《稅務條例》第80(2E)條，如任何人在作出自我證明時，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。

**Form 5 表格五**

To : SinoPac Securities (Asia) Limited (“The Company”)  
致：永豐金證券(亞洲)有限公司 (“本公司”)  
7th Floor, Lee Garden Three, 1 Sunning Road, Causeway Bay, Hong Kong  
香港銅鑼灣新寧道一號利園三期七樓

I (Name: \_\_\_\_\_), the Substantial U.S. Owner of the Client (Client Name: \_\_\_\_\_) have read and understood the following notice from you:

本人(姓名: \_\_\_\_\_)為客戶(客戶名稱: \_\_\_\_\_)之實質美國股東。本人已閱讀及明白以下由 貴公司之通知:

Notice to Substantial U.S. Owner of Corporate Client - Use of Personal Data relating to Foreign Account Tax Compliance Act of the United States 法人客戶實質美國股東通知 - 有關美國海外帳戶稅收遵循法案使用個人資料

The Company may collect, process, use and transfer the personal data provided by Substantial U.S. Owner of Corporate Client for the purpose of compliance of the U.S. Foreign Account Tax Compliance Act and such personal data may be transferred to or used by the U.S. government or the U.S. tax authority. For details of the terms and conditions relating to personal data collected in the above connection, please refer to the parts relating to personal data in the Terms and Conditions of Client’s account.

本公司蒐集、處理、使用及傳輸法人客戶實質美國股東提供的個人資料之目的，乃為共同遵循美國海外帳戶稅收遵循法案，此等個人資料可能會被傳輸至美國政府或美國稅務機關或被其使用。有關上述閣下個人資料的條款及條件詳情，請參閱客戶帳戶的條款及條件中關於個人資料部分。

You may at your own discretion choose whether you will provide your personal information. However, for our purpose to collect, process and use your personal information pursuant to the terms for the Foreign Account Tax Compliance Act of the United States, provided that you decline to provide personal information or you provide insufficient personal information but still you directly or indirectly hold equity in the account, we must classify the account as “Recalcitrant Account” subject to 30% FATCA withholding tax and account closure given that you still fail to provide the personal information required by the Foreign Account Tax Compliance Act of the United States within a reasonable period of time. Your understanding is appreciated.

台端得自由選擇是否提供相關個人資料，惟如台端拒絕提供屬於本公司遵循美國海外稅收遵循法案作業所必須之個人資料，且仍維持與本公司客戶之直接或間接投資關係，則依美國海外稅收遵循法案的規定，本公司必須依法將本公司客戶設於本公司的金融帳戶列為不合作帳戶 (Recalcitrant Account)，針對歸屬於該金融帳戶的特定收入扣繳百分之三十之稅款，且可能需要進一步關閉該金融帳戶，而可能影響台端投資權益，謹提請台端注意。

I hereby  consent /  do not consent to SinoPac Securities (Asia) Limited and other parties that may involve in the services or transactions to collect, process and use my personal information.

本人特此表示 同意 / 不同意 永豐金證券(亞洲)有限公司及其他可能處理有關服務或交易者蒐集、處理及使用本人的個人資料。

Signature  
簽署：

\_\_\_\_\_  
Name of Substantial U.S. Owner 實質美國股東姓名：

Date 日期： \_\_\_\_\_ (日/月/年)  
(dd/mm/yyyy)

## Form 6 表格六

*(Margin securities account clients only) (只供保證金證券帳戶客戶使用)*

To : SinoPac Securities (Asia) Limited  
致：永豐金證券(亞洲)有限公司  
7th Floor, Lee Garden Three, 1 Sunning Road, Causeway Bay, Hong Kong  
香港銅鑼灣新寧道一號利園三期七樓

Dear Sir / Madam  
敬啟者：

### RE : Standing Authority 有關：常設授權書

Client Account No. 客戶帳戶號碼：[ ]

This letter of standing authority covers all securities purchased or held by you on my/our behalf.  
本常設授權函件涵蓋一切由 貴公司代表本人 / 吾等購入或持有之證券。

This letter authorizes you to :-

1. apply any of my/our securities or securities collateral to securities borrowing and lending agreement(s);
  2. deposit any of my/our securities collateral with authorized financial institution(s) as collateral for financial accommodation provided to you; and/or
  3. deposit any of my/our securities collateral with a recognized clearing house or any other intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of your settlement obligations and liabilities,
- without notice to me/us, pursuant to Section 7 of the Securities and Futures (Client Securities) Rules.

本函件授權 貴公司：

1. 運用任何本人 / 吾等的證券或證券抵押品於證券借貸協議；
2. 將任何本人 / 吾等的證券抵押品存放於認可財務機構，作為提供予 貴公司的財務通融的抵押品；及 / 或
3. 將任何本人 / 吾等的證券抵押品存放於認可結算所或另一持牌或註冊進行證券交易的中介人，作為解除和清償 貴公司在交收上的責任及債務的抵押品，

且根據《證券及期貨(客戶證券)規則》第7條的規定，無須通知本人 / 吾等。

I/We understand that the recognized clearing house or the intermediary licensed or registered for dealing in securities will have a first fixed charge over my/our securities collateral to the extent of your settlement obligations and liabilities.

本人 / 吾等明白認可結算所或其它持牌或註冊進行證券交易的中介人，在貴公司在交收上的責任及債務的限度之內而對本人 / 吾等的證券抵押品設定第一固定押記。

This standing authority does not cover any consideration I/we must pay or be paid for your borrowing, lending, or depositing any of my/our securities. Any consideration must be set in a separate agreement between us.

本常設授權並不涵蓋就貴公司借入、貸出或存放本人 / 吾等任何證券而須支付或收取的任何代價。任何代價均須由本人 / 吾等與貴公司另行簽約訂明。

You are accountable to me/us for the return of any of my/our securities borrowed, lent, or deposited under this authority.

貴公司須向本人 / 吾等就交還有關根據本常設授權而作出借入、貸出或存放之證券負責。

I/We understand that a third party may have rights to my/our securities, which you must satisfy before my/our securities can be returned to me/us.

本人 / 吾等明白本人 / 吾等的證券可能受制於第三者之權利，貴公司必須於抵償該等權利後，方將本人 / 吾等的證券交還本人 / 吾等。

This authority is **valid for a period of up to 12 months** from the date hereof and may be renewed or deemed to be renewed for subsequent periods of up to 12 months each either with my/our written consent or if I/we am/are given a written notice by you at least 14 days prior to the expiry of such authority and do not object to the renewal of such authority before its expiry. This authority may be revoked by me/us at any time on giving at least 30 days prior written notice to you.

本常設授權以本函件日期起計十二個月內有效，並可於下列情況予以續期，每次續期可有效十二個月：本人 / 吾等以書面同意續期；或貴公司於授權有效期屆滿前不少於十四日向本人 / 吾等發出書面通知，而本人 / 吾等於授權有效期屆滿前未有提出反對續期。本人 / 吾等有權隨時以三十天書面通知 貴公司撤銷此常設授權書。

This letter has been fully explained to me/us, and I/we understand and accept the contents of this letter.

已全部向本人 / 吾等解釋清楚本函件。本人 / 吾等明白及接受本函件的内容。

Yours faithfully,  
此致

Signature of Director/Authorised Representative and Company Chop

董事 / 獲授權代表簽署及公司蓋章

Name 姓名：\_\_\_\_\_

For and on behalf of 為或代表

(Client Name) (客戶名稱) \_\_\_\_\_

Date 日期：\_\_\_\_\_ (日/月/年)  
(dd/mm/yyyy)

## Form 7 表格七

(Margin securities account clients only) (只供保證金證券帳戶客戶使用)

### MARGIN FACILITY AGREEMENT 保證金融資協議書

We hereby apply to SinoPac Securities (Asia) Limited for the Credit Facility with respect to our Margin Account on the following terms, which are additional to the parties' rights under the SinoPac Securities (Asia) Limited Terms and Conditions ('Terms and Conditions')

吾等現向永豐金證券(亞洲)有限公司按下列條件申請保證金融資帳戶的融資服務,以下條件是額外附加於永豐金證券(亞洲)有限公司條款及條件(「條款及條件」)。

|                                      |   |  |
|--------------------------------------|---|--|
| Applicant<br>申請人                     | : |  |
| Address<br>申請人地址                     | : |  |
| Margin Facility Provider<br>保證金融資提供者 | : | SinoPac Securities (Asia) Limited 永豐金證券(亞洲)有限公司  |
| Application Date<br>申請協議日期           | : | (日/月/年)<br>(dd/mm/yyyy)  |
| Charge<br>押記                         | : | As defined under Clause 35 of the Schedule 1 - General Terms and Conditions of the Terms and Conditions.<br>依據條款及條件附表一——一般條款及條件第三十五條之定義。   |
| Credit Facilities<br>保證金融資           | : | Subject to the final approval of the Margin Facility Provider, a Credit Facility (for an amount up to a credit limit which is to be confirmed by the Margin Facility Provider) is provided to the Applicant. The credit limit is set in accordance with the Margin Ratio, calculated by dividing the total value of the credit amount provided to the Applicant with the total value of the Collateral held by the Margin Facility Provider ("Margin Ratio"). Unless agreed by the Margin Facility Provider, the Margin Ratio shall not exceed 100%. The Margin Facility Provider may, at its sole discretion, vary the credit limit and Margin Ratio in response to any prevailing and/or contingent market condition from time to time.<br>在保證金融資提供者最終批核的條件下,保證金融資(額度上限由保證金融資提供者核定)將會提供予申請人。申請人保證金融資上限是按貸款金額總值除以按抵押品總值計算得出之百分比(「保證金比率」)。除非保證金融資提供者同意,否則保證金比率不得超過百分之一百。保證金融資提供者有絕對決定權在任何時候因應當時市場環境改變保證金比率百分比。 |
| Rate of Interest<br>融資利率             | : | The Applicant agrees to pay interest on the outstanding credit amount to the Margin Facility Provider at a rate to be determined by the Margin Facility Provider. The interest is accrued daily on a monthly compounded basis for the period commencing from the date of advancement to the date the Applicant repays the credit amount in full. The interest is payable on the last business day of each month and may be deducted/offset from the Margin Facility Account and/or the Collateral. The Margin Facility Provider may, at its sole discretion, vary the interest rate in response to any prevailing and/or contingent market condition from time to time.<br>申請人同意就已動用之保證金融資貸款金額付利息給保證金融資提供者。融資利率將由保證金融資提供者核定。利息是按每月複息計算並以每日計算的基礎上從借貸日到還款日計算。利息須於每月的最後一個營業日清還,同時利息可在申請人的保證金融資戶口或抵押品扣減或相抵。保證金融資提供者有絕對決定權因應當時市場環境隨時改變融資利率。   |

We hereby acknowledge that:

吾等現確認如下:

- We have received from the Margin Facility Provider a copy of the Terms and Conditions.  
吾等已從保證金融資提供者收到一份條款及條件。
- We fully understand and accept all the provisions set out in the Terms and Conditions, which shall form part of this Margin Facilities Agreement and shall be legally binding between the parties (where applicable). Unless otherwise provided, all words and expression used under this Margin Facility Agreement shall have the same meaning to the Terms and Conditions. In the event that the provisions and contents between the Terms and Conditions and this Margin Facility Agreement are not consistent, the provisions set out in this Margin Facility Agreement shall prevail.  
吾等完全明白和接受條款及條件,並同意其成為這保證金融資協議書的一部份並擁有法律效力(在適用情況下)。除非另行指明,本保證金融資協議書的內容和表達應根據條款及條件內的內容和表達解釋。如果保證金融資協議書的條款和條款及條件不一致,應以這保證金融資協議書的條款內容和表達為準。
- The provisions set out in this Margin Facility Agreement together with the Terms and Conditions constitute the final, complete and exclusive statement of the terms of the agreements between the parties pertaining to the Credit Facility, and supersede all prior and contemporaneous understanding and agreements of the parties.  
條款及條件和這保證金融資協議的條款構成保證金融資事項有關之完整協議,並取代所有口頭溝通及之前的相關協議。
- We are obliged to notify the Margin Facility Provider immediately of any change of our circumstances, which render us to be a member of the group of related margin client, including: (1) where this is a group of 2 margin clients, one is the spouse of the other; (2) where one or more of the margin clients are corporations, one is in control (either alone or with his spouse) of 35% or more of the voting rights of that other margin client or each of the other margin client (as the case maybe); or (3) where the margin clients are corporations, they are members of the same group of companies.  
吾等有責任立刻通知保證金融資提供者有關因吾等情況變化而令吾等成為一組關連保證金客戶,這包括:(1)當有兩位保證金客戶時,一位客戶是另一位配偶;(2)當一位或以上保證金客戶是公司時,另一位(不論是自身或是與配偶一起)操控另一位客戶或其它客戶35%或以上的股份投票權;或(3)當保證金客戶是公司時,它們同屬於相同的公司集團。

Signature of Director/Authorised Representative and Company Chop

董事 / 獲授權代表簽署及公司蓋章

Name 姓名: \_\_\_\_\_

Date 日期: \_\_\_\_\_ (日/月/年)  
(dd/mm/yyyy)

## Form 8 表格八

### Confirmation Regarding Investor Identification Regime for Northbound Trading 北向交易投資者識別碼制度確認書

For Client Wishing to Use Shanghai-HK and Shenzhen-HK Stock Connect Services  
供有意使用滬港及深港股票市場交易互聯互通機制服務的客戶填寫

To : SinoPac Securities (Asia) Limited  
致 : 永豐金證券 (亞洲) 有限公司  
7th Floor, Lee Garden Three, 1 Sunning Road, Causeway Bay, Hong Kong  
香港銅鑼灣新寧道一號利園三期七樓

I/We have read, understood and agreed with the following notice to me/us from you regarding Investor Identification Regime for Northbound Trading:  
本人 / 吾等已閱讀, 明白及同意以下由 貴公司給予本人 / 吾等之北向交易投資者識別碼制度通知 :

Dear Valued Client,  
尊敬的客戶 :

The Securities and Futures Commission of Hong Kong has introduced an investor identification regime for Northbound trading under Mainland-Hong Kong Stock Connect ("Investor Identification Regime"), which has already been implemented in the third quarter of 2018. 香港證券及期貨事務監察委員會已提出內地與香港股票市場交易互聯互通機制下的北向交易投資者識別碼制度 (「投資者識別碼制度」), 並已在 2018 年第三季實施。

We, as a China Connect Exchange Participant, are required by the Stock Exchange of Hong Kong Limited (the "Exchange" or "HKEX") under the Investor Identification Regime to:

本公司作為中華通交易所參與者於投資者識別碼制度下將按香港聯合交易所有限公司 (「香港交易所」) 要求 :

- (i) tag each of your orders submitted to the China Stock Connect System with "a Broker-to-Client Assigned Number ("BCAN") that is unique to you or the BCAN that is assigned to your joint account with us, as appropriate; and  
須在遞交客戶每個北向買賣盤予買賣盤訂單傳遞系統時附加券商客戶編碼 (「券商客戶編碼」), 而該等券商客戶編碼應是唯一編配予客戶 / 客戶之每一聯名證券賬戶 (如適用); 及
- (ii) provide to the Exchange your assigned BCAN and such identification information ("Client Identification Data" or "CID") relating to you as the Exchange may request from time to time under the Rules of the Exchange.  
香港交易所可不時根據《交易所規則》要求本公司呈交每位客戶的券商客戶編碼及相對應的個人身份信息 (「客戶識別信息」)。

Please note that:  
客戶請注意 :

#### A. Applicable to Individual and Joint Account 個人及聯名帳戶適用

Under the Investor Identification Regime, in order to comply with the requirements of the Exchange and its rules as in force from time to time, we may use the personal data relating to or provided by you when providing our Shanghai-HK and Shenzhen-HK Stock Connect Services to you, including:

在投資者識別碼制度下, 為遵守不時生效的香港交易所及其規則的要求, 本公司在向客戶提供滬港及深港股票市場交易互聯互通機制服務時, 可能使用與客戶有關或由客戶提供的個人資料, 包括 :

- (a) to disclose and transfer your BCAN and CID to HKEX and the relevant subsidiaries of HKEX ("HKEX Subsidiaries") from time to time, including by indicating your BCAN when inputting a China Connect Order into the China Stock Connect System, which will be further routed to the relevant China Connect Market Operator on a real-time basis;  
不時向香港交易所及香港交易所子公司披露和轉移客戶的券商客戶編碼及客戶識別信息, 包括在輸入北向買賣盤予買賣盤訂單傳遞系統時註明券商客戶編碼, 並進一步實時發送到相關內地交易所;
- (b) to allow each of HKEX and the relevant HKEX Subsidiaries to: (i) collect, use and store your BCAN, CID and any consolidated, validated and mapped BCANs and CID information provided by the relevant China Connect Clearing House (in the case of storage, by any of them or via the HKEX) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange; (ii) transfer such information to the relevant China Connect Market Operator (directly or through the relevant China Connect Clearing House) from time to time for the purposes set out in (c) and (d) below; and (iii) disclose such information to the relevant regulators and law enforcement agencies in Hong Kong so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets;  
同意香港交易所及香港交易所子公司: (i) 收集、使用及儲存客戶的券商客戶編碼、客戶識別信息及其他由中國結算綜合、核實及與其本身的投資者身份數據庫進行配對後的券商客戶編碼與客戶識別信息 (關於儲存, 可經由相關中國結算或香港交易所), 並將此類信息與其本身的投資者身份數據庫進行配對, 用作市場監控和監察目的及執行《交易所規則》; (ii) 不時向內地交易所 (直接或透過中國結算) 轉移此等資料用作以下 (c) 及 (d) 的目的; (iii) 向在香港的相關監管機構及執法機關披露此等資料, 以助他們履行有關香港證券市場的監控、監察及執法職能;
- (c) to allow the relevant China Connect Clearing House to: (i) collect, use and store your BCAN and CID to facilitate the consolidation and validation of BCANs and CID and the mapping of BCANs and CID with its investor identification database, and provide such consolidated, validated and mapped BCANs and CID information to the relevant China Connect Market Operator, HKEX and the relevant HKEX Subsidiary; (ii) use your BCAN and CID for the performance of its regulatory functions of securities account management; and (iii) disclose such information to the Mainland regulatory authorities and law enforcement agencies having

jurisdiction over it so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets; and

同意中國結算：(i) 收集、使用及儲存客戶的券商客戶編碼及客戶識別信息，以便綜合及核實券商客戶編碼與客戶識別信息，並將此類信息與其本身的投資者身份數據庫進行配對，以將此類經綜合、核實及配對後的券商客戶編碼與客戶識別信息提供給內地交易所、香港交易所和香港交易所子公司；(ii) 使用客戶的券商客戶編碼與客戶識別信息來協助其履行證券賬戶管理的監管職能；及 (iii) 向管轄中國結算的內地監管機構及執法機關披露此等資料，以助他們履行有關中國證券市場的監控、監察及執法職能；

- (d) to allow the relevant China Connect Market Operator to: (i) collect, use and store your BCAN and CID to facilitate their surveillance and monitoring of securities trading on the relevant China Connect Market through the use of the China Connect Service and enforcement of the rules of the relevant China Connect Market Operator; and (ii) disclose such information to the Mainland regulatory authorities and law enforcement agencies so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets.

同意內地交易所：(i) 收集、使用及儲存客戶的券商客戶編碼及客戶識別信息，以助其就滬股通及深股通下在內地交易所進行的證券交易進行監管與監察及執行內地交易所規則；及 (ii) 向內地的監管機構及執法機關披露此等資料，以助他們履行有關內地證券市場的監管、監察及執法職能。

We will use and transfer your personal data in accordance with our Notice to Customers Relating to the Personal Data (Privacy) Ordinance as contained in our Terms & Conditions, terms of which have been agreed by you upon account opening. By instructing us in respect of any transaction relating to China Connect Securities, you acknowledge and agree that we may use your personal data for the purposes of complying with the requirements of HKEX and its rules as in force from time to time in connection with Mainland-Hong Kong Stock Connect. You also acknowledge that despite any subsequent purported withdrawal of consent by customer, the personal data may continue to be stored, used, disclosed, transferred and otherwise processed for the above purposes, whether before or after such purported withdrawal of consent.

本公司將按客戶於開戶時已同意之《給予客戶關於〈個人資料（私隱）條例〉的客戶通知》（載於本公司的《條款及條件》內）使用及傳輸客戶的個人資料。如客戶就任何有關滬港及深港股票市場交易互聯互通證券的交易向本公司發出指示，即表示客戶確認並同意，本公司可能會將客戶的個人資料用於遵守香港交易所的要求及其規則中關於內地與香港股票市場交易互聯互通機制的不時有效的規定。客戶也了解，儘管客戶隨後可表示撤回同意，但客戶的個人資料可繼續被儲存、使用、披露、轉讓及以其他方式處理，以用於上述目的，無論是在此類聲稱的撤回同意之前還是之後。

## B. Applicable to Corporate Account

### 機構帳戶適用

For corporate client, the CID provided to the Exchange shall include the following items:

就機構客戶而言，向香港交易所提供的客戶識別信息將包含以下資訊：

- (i) The entity's name as shown on the certificate of incorporation or Legal Entity Identifier ("LEI");  
於成立證書或全球法人機構識別編碼（「LEI」）上所載之機構名稱；
- (ii) Place of incorporation;  
成立之地點；及
- (iii) Certificate number or LEI.  
證書編號或 LEI。

Please note that for each client which is an asset management company managing multiple funds or discretionary accounts through us, a single BCAN will be by default assigned by us at asset management company level. Should you wish to have BCAN assigned at a fund/ underlying client level, you will need to provide the CID to us on each fund and also trade at fund level.

請注意，每個客戶如屬管理若干基金或全權委託帳戶的資產管理公司，本公司將預設為其於資產管理公司層面附加一個券商客戶編碼。如客戶希望於每個基金/ 底層客戶層面附加券商客戶編碼，客戶須就每一個基金向本公司提供客戶識別信息，而客戶亦須以基金層面進行交易。

Regards,

SinoPac Securities (Asia) Limited

此致

永豐金證券（亞洲）有限公司

Signature 客戶簽署 : \_\_\_\_\_

Name of Client(s) 客戶名稱 : \_\_\_\_\_

Account No. 帳戶號碼 : \_\_\_\_\_

Date 日期 : \_\_\_\_\_ (日/月/年)  
(dd/mm/yyyy)

*If there is any discrepancy between the English and Chinese versions, the English version shall prevail.*

如中、英文版本有不同詮釋，概以英文版本為準。



Form 9 表格九

Declaration for Taiwan Securities and Futures Trading  
交易台灣證券及期貨客戶聲明書

To : SinoPac Securities (Asia) Limited ("the Company")  
致 : 永豐金證券(亞洲)有限公司(「貴公司」)  
7th Floor, Lee Garden Three, 1 Sunning Road, Causeway Bay, Hong Kong  
香港銅鑼灣新寧道一號利園三期七樓

|                                    |                                      |
|------------------------------------|--------------------------------------|
| <b>Re: Account No.</b><br>有關：帳戶號碼： | <b>Client Name(s):</b><br>客戶姓名 / 名稱： |
|------------------------------------|--------------------------------------|

I/We am/are the holder(s) of the captioned account and have selected to invest in Taiwan securities and/or futures through the captioned account. In this connection, I/We hereby represent and warrant that:

本人 / 吾等為前述帳戶的持有人並選擇透過前述帳戶投資台灣證券及 / 或期貨。為此，現謹此聲明並保證：

- A. The funds to be transmitted to Taiwan for investing in Taiwan securities and/or futures by me/us or the ultimate beneficial owner(s) of the captioned account is/are not originated from Taiwan or Mainland China.  
本人 / 吾等或前述帳戶的最終受益人擬匯入台灣投資有價證券及 / 或期貨之資金非來自台灣或中國大陸。
- B. I/We shall not use unjust measures to affect the fairness or order of the Taiwan financial market and also will abide by the regulations stipulated by all relevant regulatory authorities.  
本人 / 吾等絕不以不當手段干擾台灣金融市場運作，亦會遵守所有相關監管機構的規定。
- C. (For individual client/clients) **I/We do not hold household registration in Taiwan.**  
(適用於個人客戶) 本人 / 吾等沒有持有台灣的戶籍。  
(For institutional client) **Our place of incorporation is not Taiwan.**  
(適用於機構客戶) 吾等之成立地並非台灣。
- D. I/We understand that, in this Declaration, **Mainland China Investor** means:  
本人 / 吾等理解，在此份聲明書中，**中國大陸投資人**指：
- (i) An individual who has household registration in Mainland China (hereinafter "Mainland Individual");  
在中國大陸設有戶籍的個人 (以下簡稱 "大陸籍個人");
  - (ii) A juristic person, organization or other institution incorporated in Mainland China (hereinafter "Mainland Institution");  
在中國大陸成立的法人、團體或其他機構 (以下簡稱 "大陸機構");
  - (iii) A company in which one or more Mainland Individual(s) and/or Mainland Institution(s) invest in HongKong or any other Third Area (for the purpose of this Declaration, a "Third Area" means any area other than Taiwan and Mainland China), and:  
一個或一個以上大陸籍個人及 / 或大陸機構在香港或任何其他第三地區 (為本聲明書的目的, "第三地區" 指台灣和中國大陸以外的任何地區) 投資的公司, 且:
    - (1) One or More Mainland Individual(s) and/or Mainland Institution(s), individually or collectively, hold(s), directly or indirectly, more than 30% of the issued shares in the said company/right(s) to more than 30% of the capital of the said company; or  
一個或一個以上大陸籍個人及 / 或大陸機構單獨或共同、直接或間接持有該公司已發行股份總數或出資的 30%; 或
    - (2) One or More Mainland Individual(s) and/or Mainland Institution(s), individually or collectively, has/have control power over the said company<sup>1</sup>.  
一個或一個以上大陸籍個人及 / 或大陸機構單獨或共同對該公司具有控制能力。
- E. **I am/We are not and will not become a Mainland China Investor as defined in Paragraph D of this Declaration.**  
本人 / 吾等不是且不會成為本聲明書第 D 段定義的中國大陸投資人。
- F. **For Client Acting as Agent/Nominee/Trustee/Fund Manager 代理人 / 受託人 / 基金經理客戶適用：**  
**I/We will not deal in Taiwan securities and/or futures on behalf of/for the beneficial interest of any Mainland China Investor as defined in Paragraph D of this Declaration, no matter being aware or unaware of the fact that the/one of the principal(s)/trustor(s)/beneficiary(ies)/fund investor(s)/beneficial owner(s) is a Mainland China Investor.**  
本人 / 吾等不會為任何本聲明書第 D 段定義的中國大陸投資人代為 / 為其實益權益交易台灣證券及 / 或期貨，不論知道或不知道該名 / 任一委託人 / 受益人 / 基金投資人 / 實質控制人是中國大陸投資人。

1 An individual, juristic person, organization or any other institution will be deemed to have "control power" over a company, if it:  
對一公司 "具有控制能力", 係指有下列情形之一者:

- 1. has control over the majority of the voting shares pursuant to an agreement with other investors;  
與其他投資人約定下, 具超過半數之有表決權股份之能力;
- 2. has control over the financial, operational, and/or human resources policies pursuant to the law or regulations or contractual commitments;  
依法令或契約約定, 可操控公司之財務、營運及人事方針;
- 3. has the right to appoint or discharge a majority of the members on the board (or its equivalent organization), which has control over the company's operations;  
有權任免董事會 (或約當組織) 超過半數之主要成員, 且公司之控制操控於該董事會 (或約當組織);
- 4. has control over the majority of the votes of the members on the board (or its equivalent organization), which has control over the company's operations; or  
有權主導董事會 (或約當組織) 超過半數之投票權, 且公司之控制操控於該董事會 (或約當組織); 或
- 5. has other control power as defined under the Statements of Financial Accounting Standards No. 5 and No. 7 published by the Accounting Research and Development Foundation of the Republic of China.  
依據財團法人中華民國會計研究發展基金會公布之財務會計準則公報第五號、第七號所規定之其他具有控制能力。

- G. I/We acknowledge and agree that this Declaration is a part of the Agreement (comprised of the General Terms and Conditions, the Special Terms and Conditions, the Account Opening Form and the Miscellaneous Documents) between the Company and me/us. Nothing contained in this Declaration should be construed as preventing the Company from exercising any right under the other parts of the Agreement. A breach of any representation or warranty in this Declaration constitutes a breach of contract by me/us.  
本人 / 吾等知悉且同意此份聲明書是貴公司和本人 / 吾等之間協議 (由一般條款、特別條款、開戶表格、雜項文件組成) 的一部分。此份聲明書的任何內容皆不應被解釋為反對貴公司行使協議其他部分約定的任何權利。違反此份聲明書的任何聲明或保證即構成本人 / 吾等的違約。
- H. I/We agree that, in the event that any representation or warranty given by me/us in this Declaration is or becomes untrue when made or repeated, the Company shall be entitled at its absolute discretion, without further notice or demand to the client, to forthwith:  
本人 / 吾等同意, 本人 / 吾等在本聲明書所為任何聲明或保證如有現在不真實或將來成為不真實, 貴公司將取得絕對酌情權, 不須進一步通知或請求本人 / 吾等, 即可以立刻:
- (i) suspend or terminate all or any of the Company's services;  
暫停或終止全部或任何貴公司提供的服務;
  - (ii) cancel all or any unexecuted instructions of me/us;  
取消全部或任何未執行的本人 / 吾等的指示;
  - (iii) liquidate any long position with the Company through the sale of securities on the relevant exchange(s);  
在有關交易所售出證券以出清任何在貴公司持有的長倉;
  - (iv) close out and/or sell any futures contract in the captioned account and make or take delivery of the underlying commodities and/or securities in respect of any such contract.  
平倉及 / 或沽售前述帳戶中任何期貨合約, 並就任何合約的有關商品及 / 或證券進行交收。
- I. I/We agree that, in the event that the Company is requested by any relevant regulator to sell any Taiwan securities or futures contracts purchased or held by the Company for and on my/our behalf, the Company shall be entitled at its absolute discretion, without further notice or demand to me/us, to forthwith:  
本人 / 吾等同意, 如貴公司遭任何相關監管機構要求出售其代客戶購買或保管之台灣證券或期貨合約時, 貴公司將取得絕對酌情權, 不須進一步通知或請求本人 / 吾等, 即可以立刻:
- (i) suspend or terminate all or any of the Company's services;  
暫停或終止全部或任何貴公司提供的服務;
  - (ii) cancel all or any unexecuted instructions of me/us;  
取消全部或任何未執行的本人 / 吾等的指示;
  - (iii) liquidate any long position with the Company through the sale of securities on the relevant exchange(s);  
在有關交易所售出證券以出清任何在貴公司持有的長倉;
  - (iv) close out and/or sell any futures contract in the captioned account and make or take delivery of the underlying commodities and/or securities in respect of any futures contracts.  
平倉及 / 或沽售帳戶中任何期貨合約, 並就任何期貨合約的有關商品及 / 或證券進行交收。
- J. In the event that the Company exercises its discretion under Paragraph H or I of this Declaration, I/we agree that the Company is not obligated to give prior notice to me/us, to obtain consent from me/us, or to follow any instruction of me/us, and may sell any of such securities, futures contracts or other assets of me/us on a single or collective basis. The Company shall not be liable for any loss howsoever caused arising from the exercise by the Company of its rights and powers conferred by Paragraph H or I of this Declaration, whether in relation to the timing or manner of the exercise of such rights or powers or otherwise, unless due to the gross negligence, fraud or willful default of the Company or any of its officers, employees or affiliates and only to the extent of direct and reasonably foreseeable loss and damage (if any) arising directly and solely therefrom.  
當貴公司行使此份聲明書第 H 或 I 段賦予的酌情權, 本人 / 吾等同意貴公司無義務事先通知本人 / 吾等、取得本人 / 吾等同意、或遵從本人 / 吾等指示, 並可以單一或集合基準出售本人 / 吾等的任何該等證券、期貨合約或其他資產。貴公司將毋須就貴公司行使此份聲明書第 H 或 I 段賦予的酌情權當中的權利或權力產生的任何損失負責, 不論有關行使權利或權力時間或方式或其他原因, 除非基於貴公司或其任何主管人員、僱員或聯屬人的嚴重疏忽、欺詐或蓄意失責所致、及只限於直接及合理預見直接及純粹由上述行為造成的損失及賠償 (如有)。
- K. I/We shall immediately notify the Company should any representation or warranty given by me/us herein becomes untrue after the execution of this Declaration.  
本人 / 吾等在此所為任何聲明或保證如果在本聲明書簽署後成為不真實, 本人 / 吾等應當立即通知貴公司。
- L. The representations, warranties and undertakings contained herein shall be deemed to be repeated immediately before each instruction in relation to my/our investment in Taiwan securities and/or futures is given or executed through the captioned account.  
上述的聲明、保證及承諾將會被視為在透過前述帳戶發出或執行的每項與本人 / 吾等之台灣證券及 / 或期貨投資相關的指示前已再次重複作出。

**Declaration** (to be signed by all co-owners, if applicable)

客戶聲明書 (所有聯名客戶必須簽署, 如適用)

Signature(s) 簽署:

Name of Client(s) 客戶名稱: \_\_\_\_\_

Name of Authorized Signatory(ies) (if applicable) 獲授權簽名人名稱 (如適用): \_\_\_\_\_

Date 日期: \_\_\_\_\_ (日/月/年)  
(dd/mm/yyyy)