

金裕富證券有限公司"金裕富證券"
Golden Rich Securities Limited "GRS"
香港灣仔駱克道 188 號兆安中心 22 樓
22/F., Siu On Centre, 188 Lockhart Road, Wan Chai, Hong Kong
電話 Tel : (852)2377-6800 傳真 Fax : (852)2660-0335
網址 Web : www.grsl.hk

中央編號 : BGQ899
CE No.: BGQ899

*僅供職員填寫 For official use only	
經紀編號 A.E. Code	
帳戶號碼 Account No.	
開戶日期 Account Opening Date	
衍生產品 Derivatives Products	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否

客戶資料表格"公司賬戶" (B 類專業投資者 (15.2B))

Customer Information Statement "Corporate Account" (Professional Investors Category B (15.2B))

<input type="checkbox"/> 網上交易服務 Internet Trading Services (必須提供有效電郵地址) (must provide valid e-mail address)	客戶種類 Customer Type	帳戶類別 Account Type
	<input type="checkbox"/> 獨資經營 Sole Proprietor <input type="checkbox"/> 法人團體 Corporation <input type="checkbox"/> 合夥經營 Partnership <input type="checkbox"/> 上市公司 Listed	<input type="checkbox"/> 證券現金帳戶 Securities Cash Account <input type="checkbox"/> 證券保證金帳戶 Securities Margin Account

客戶資料聲明 Client Information Statement

以下資料由簽署人(「客戶」)提供,以供開立證券買賣帳戶(一個或多個)(「帳戶」)作購入或賣出證券(如證券及期貨條例所界定)(「證券」)。
客戶聲明,資料為真實、完整及正確,而金裕富證券有限公司有權就所有目的全面依賴該資料及聲明,除非其從客戶以書面接獲任何更改的通知。
The following information is being provided by the undersigned (the "Client") for the purpose of opening a securities trading account or accounts (the "Account(s)") for the purchase or sale of securities (as defined in the Securities and Futures Ordinance ("Securities")). The Client represents that the information is true, complete and correct and Golden Rich Securities Limited is entitled to rely fully on such information and representations for all purposes, unless it receives notice in writing of any change from the Client.

第 1 部份 - 公司資料

Section 1 - Company Information

中文名稱 Name (Chinese)			
英文名稱 Name (English)			
註冊日期 Date of Incorporation	註冊地點 Place of Incorporation		
註冊證書編號 Certificate of Incorporation No.	商業登記編號 Business Registration No.		
業務性質 Nature of Business	電話號碼 Tel. No. ()	傳真號碼 Fax No. ()	
註冊地址 Registered Address			
營業地址 Business Address			
電郵地址 E-mail Address			

結單語言選擇 Language of the statement	結單送遞至 Statements to be sent to
<input type="checkbox"/> 繁體中文 Traditional Chinese <input type="checkbox"/> 英文 English <input type="checkbox"/> 簡體中文 Simplified Chinese	<input type="checkbox"/> 電郵地址 E-mail Address <input type="checkbox"/> 註冊地址 Registered Address <input type="checkbox"/> 營業地址 Business Address

第 2 部份 - 銀行帳戶記錄

Section 2 - Bank Account Record

客戶現授權金裕富證券由即日起接納我/ 我們之電話/ 口頭通知,作為提款提示,自客戶之證券提取款項並開立以客戶為抬頭人之支票,存入客戶知會金裕富證券之銀行帳戶如下。

The Client hereby authorizes GRS to accept telephone/ verbal instruction for fund withdrawal from the Securities Account to the following designated bank account under client's name with immediate effect.

貨幣 Currency	銀行名稱 Name of Bank	帳戶號碼 Account No.	帳戶名稱 Name of Account
<input type="checkbox"/> 港幣 HKD <input type="checkbox"/> 人民幣 CNY <input type="checkbox"/> 美元 USD			

➢ 銀行帳戶名稱必須與客戶名稱相同及只供存款用途 Bank account name must match with name of the Client and for fund deposit only

第 3 部份 - 董事資料
Section 3 - Particulars of Directors

姓名 Name

身份證/ 護照號碼 ID/ Passport No.

居住地址 Residential Address

第 4 部份 - 獨資經營者/ 合夥人/ 最終股東個人資料
Section 4 - Particulars of Sole Proprietor/ Partner(s)/ Ultimate Shareholder(s)

姓名 Name

持股比例 Shareholding Percentage (%)

居住地址 Residential Address

第 5 部份 - 供專業投資者使用的客戶狀況問卷
Section 5 - Client Profile Questionnaire for Professional Investor

財務概況 Financial Profile	
除稅後盈利 (港幣) Profit after Tax (HKD)	
組合價值* (港幣) Portfolio Value* (HKD)	
總資產 (港幣) (包括上述組合) Total Assets (HKD) (include the aforesaid portfolio)	

*附註： 1. 「組合」指以下任何一項組成的組合 "portfolio" means a portfolio comprising any of the following:

- * Notes:
- 證券 securities
 - 香港銀行或受規管海外銀行發行的存款證 certificate(s) of deposit issued by a Hong Kong bank or a regulated overseas bank
 - 客戶託管人持有的款項 money held by client's custodian
- 任何外幣等值可予接納 The equivalent value in any foreign currency is acceptable
 - 必須提供上述組合或資產之證明書 (例如保管人結單、或由核數師或會計師發出的證明書，應以不超過 12 個月前發出；或由核數師或執業會計師編制近期經審核的財務報表不超過 16 個月前發出) The above portfolio or assets should be supported by documents (such as custodian statement, auditor or professional accountant's certificate of not more than 12 months ago or most recent audited financial statement prepared in respect of the corporation within 16 months before the relevant date)

該公司於參與證券投資的經驗 Experience of involved in Securities Investment of the Company				
<input type="checkbox"/> 沒有 No	<input type="checkbox"/> 少於一年 <1 year	<input type="checkbox"/> 一至三年 1 - 3 years	<input type="checkbox"/> 三至五年 3 - 5 years	<input type="checkbox"/> 多於五年 > 5 years
該公司去年進行的交易宗數 Frequency of trades in the past year of the Company				
<input type="checkbox"/> 沒有 No	<input type="checkbox"/> 少於 5 宗交易 <5 transactions	<input type="checkbox"/> 5 至 19 宗交易 5 to 19 transactions	<input type="checkbox"/> 20 至 39 宗交易 20 to 39 transactions	<input type="checkbox"/> 40 宗或以上交易 =>40 transactions
該公司投資目標 Investment Objectives of the Company				
<input type="checkbox"/> 穩健 Conservative	<input type="checkbox"/> 對沖 Hedging	<input type="checkbox"/> 投機 Speculation	<input type="checkbox"/> 投資 (長線/ 中線/ 短線) Investment (Long/ Medium/ Short Term)	

該公司風險承受程度 Risk Tolerance of the Institution		
<input type="checkbox"/> 保守 Conservative	<input type="checkbox"/> 溫和 Moderate	<input type="checkbox"/> 進取 Aggressive

請評定該公司於以下種類金融工具的經驗，及評定投資於以下種類金融工具的風險水平：

Please rate the Company experience with the following types of financial instruments and also rate the level of risk in the investment of the following types of financial instruments:

經驗 Experience:				
1 無經驗 no experience	2 少許經驗 somewhat experienced	3 有經驗 experienced	4 豐富經驗 very experienced	5 非常豐富經驗 highly experienced
風險水平 Level of Risk:				
A 非常低風險 very low risk	B 低風險 low risk	C 溫和風險 moderate risk	D 高風險 high risk	E 極高風險 extremely high risk

經驗 Experience							風險水平 Level of Risk				
1	2	3	4	5			A	B	C	D	E
					單一股票 individual equities (stocks)						
					金銀 gold and silver						
					貨幣市場票據或定期存款 money market papers or term deposits						
					股票基金 equity funds						
					單一債券 individual bonds						
					貨幣市場基金 money market funds						
					債券基金 bond funds						
					投資策略基金 investment strategy funds						
					結構性產品 structured products						
					衍生工具：期權、期貨、有關股票的遠期交易、指數、商品、貨幣等 derivatives: options, futures, forward transactions relating to equities, indices, commodities, currencies, etc						

請詳述以往曾經買賣的投資產品種類

Please specify the type of products in which you have traded

第 6 部份 - 其他披露
Section 6 - Other Disclosures

該公司之任何董事、股東或授權人士是否為香港聯合交易所參與者或任何根據證券及期貨條例註冊持牌法團或銀行業條例之註冊機構之僱員（不管該人士現時是否為證監會持牌代表/ 金管局註冊人士）？如是，請提供僱主之書面同意書。

Is any director, shareholder or authorized person of the Company an employee of any participant of the Stock Exchange of Hong Kong, a licensed corporation under the Securities and Futures Ordinance, or a registered institution under the Banking Ordinance (whether he/ she is currently a SFC licensed/ HKMA registered person or not)? If yes, please provide employer's consent letter.

☐ 否 No
 ☐ 是 Yes
中央編號 CE No. (Employer 僱主)
中央編號 CE No. (Employee 僱員)

該公司與本公司職員/董事是否有親戚關係？

Does the Company's director, shareholder, employee or authorized person have any relationship with any employee/ director of GRS?

☐ 否 No
 ☐ 是 Yes
僱員/ 董事姓名 Name of employee/ director
關係 Relationship

該公司之任何董事、股東或授權人士是否金裕富證券的職員？ Is any director, shareholder or authorized person of the Company a staff of GRS? <input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes 職員名稱 Name 職位 Position	
該公司上述的任何股東/董事、客戶的獲授權人、最終負責就帳戶發出指示的人士或帳戶的最終實益擁有人，及/或其配偶是否單獨或共同持有本公司任何相關保證金融資帳戶？ Does any of the above-mentioned shareholders/ directors of the Company, the Company's authorized persons, the person ultimately responsible for giving Instructions for the Account or the ultimate beneficial owner of the Account, alone or jointly with his/ her spouse maintain any related margin financing account of GRS? <input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes 帳戶號碼 Account No 帳戶名稱 Account Name	
該公司的公司集團內任何成員，是否單獨或共同控制本公司之其他保證金融資帳戶 35% 或以上之投票權？ Does any member of the Group of Companies, alone or jointly control 35% or more of the voting rights of another financing margin account of GRS? <input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes 帳戶號碼 Account No 帳戶名稱 Account Name	
該公司上述的任何股東/董事、客戶的獲授權人、最終負責就帳戶發出指示的人士或帳戶的最終實益擁有人，及/或其配偶，是否單獨或共同控制本公司之其他保證金融資帳戶 35% 或以上之投票權？ Does any of the above-mentioned shareholders/ directors of the Company, the Company's authorized persons, the person ultimately responsible for giving Instructions for the Account or the ultimate beneficial owner of the Account, alone or jointly with his/her spouse control 35% or more of the voting rights of another financing margin account of GRS? <input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes 帳戶號碼 Account No 帳戶名稱 Account Name	

第 7 部份 - 美國《海外帳戶稅收合規法案》

Section 7 - Foreign Account Tax Compliance Act ("FATCA")

該公司的客戶有否是美國聯邦所得稅所定義的特定美國人、美國公民、美國永久居民 (含綠卡持有人) 或持有美國國籍？ Is the Company of the client a United States ("US") Person, Resident of US (Including Green Card Holder) or having US nationality? <input type="checkbox"/> 否 No <input type="checkbox"/> 是，請述明 Yes, please specify:
該公司是否在美國註冊或是根據美國法例成立？ Is the Company registered in the U.S. or established under laws of the U.S? <input type="checkbox"/> 否 No <input type="checkbox"/> 是，請述明 Yes, please specify:
請提供機構之美國納稅人編號 (如適用) Please provide the Company's US Taxpayer Identification Number (TIN) (if any) _____
該公司有否於美國《海外帳戶稅收合規法案》申報？ Is the Company register and report to FATCA? <input type="checkbox"/> 否 No <input type="checkbox"/> 是，請提供全球中介人編號： Yes, please provided the GI1N no.:
該公司會否向金裕富證券發出向某美國銀行帳戶轉帳款項的常設授權指示？ Does the Company give standing instruction to GRS to pay amounts to an account maintained in the US? <input type="checkbox"/> 否 No <input type="checkbox"/> 是，請述明 Yes, please specify:

第 8 部份 - 防止洗黑錢/恐怖份子籌資

Section 8 - Anti-Money Laundering and Counter-Terrorist Financing

該公司的任何股東/董事、客戶的獲授權人、最終負責就帳戶發出指示的人士或帳戶的最終實益擁有人是否擔任或曾擔任重要公職 (包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事)；或以上人士之家人 (包括配偶、伴侶、子女或父母，或該名個人的子女的配偶或伴侶) 及其他關係密切的人？ Are any of the above-mentioned shareholders/ directors of the Company, the Company's authorized persons, the person ultimately responsible for giving Instructions for the Account or the ultimate beneficial owner of the Account, is or linked to politically exposed persons? (Politically exposed person – individual who is or has been entrusted with prominent public function e.g. head of state/ government, senior politician, senior executive of government-owned corporation, important political party official, etc.) <input type="checkbox"/> 否 No <input type="checkbox"/> 是，請述明 Yes, please specify:

該公司的業務性質是否特別容易蒙受較高的洗錢風險或接觸大量現金往來（如貨幣兌換、博彩業、珠寶業、娛樂服務業）？
Is the nature of the business particularly susceptible to money laundering risk? (For example, money changer or casino business that handles large amount of cash)

☐ 否 No
☐ 是，請述明 Yes, please specify:

該公司資金是否來源於或涉及非法所得？
Is the money arising from or related to proceeds of crime?

☐ 否 No
☐ 是，請述明 Yes, please specify:

投資資金來源（說明投資資金從哪類活動獲得）
Source of funds to be invested (Describe the activity from which, the Company's monies are derived)

☐ 業務利潤 Business profits
☐ 投資收益 Investment earnings
☐ 其他，請述明 others, Please Specify _____

第9部份 - 簽署及確認

Section 9 - Signature and Acknowledgement





吾等確認，吾等完全及準確地填妥本客戶資料表格。除非閣下就有關該等內容、資料及聲明從吾等接獲書面通知，閣下可能及有權完全依賴作任何用途。吾等謹此承諾，於本表格提供的資料出現任何重大轉變後，即時以書面通知閣下。閣下謹此獲進一步授權，就或有關核對吾等於本客戶資料表格提供的資料，隨時聯絡任何人士（一名或多名），包括吾等的銀行、經紀、顧問或任何信貸機構。吾等獲知會及明白當作「專業投資者」（證券及期貨條例（香港法例第571章）下的專業投資者（其摘錄載於附件1））處理的風險及後果，以及投資於金融工具的風險，及吾等擁有撤銷作為專業投資者的權利，而吾等同意有關操作帳戶（一個或多個）就所有投資產品及市場當作「專業投資者」。吾等進一步同意，倘吾等為本身以外的實益進行交易，吾等應閣下的要求，將即時知會香港監管機構最終受益人的身分、地址、職業及聯絡詳情。

We confirm that we have fully and accurately completed this Customer Information Statement. You may and are entitled to rely entirely upon such contents, information and representations for all purposes, unless you receive notice in writing from us of any change thereof. We hereby undertake to notify you in writing forthwith upon any material change(s) in the information provided herein. You are further hereby authorized at any time to contact any person or persons, including our banks, brokers, advisers or any credit agency, for or relating to the purpose of verifying the information provided by us in this Customer Information Statement. We have been informed of and understand the risks and consequences of being treated as a "professional investor" (as defined under the Securities and Futures Ordinance ("SFO") (Cap. 571 of the Laws of Hong Kong), an extract of which is set out in Schedule 1) and the risks associated with the investment in the financial instruments and our right to withdraw from being treated as such and we agree to be treated as a "professional investor" in respect of all investment products and markets in connection with the operation of the Account(s). We further agree that we shall, immediately upon request by you, inform the Hong Kong Regulators of the identity, address, occupation and contact details of the ultimate beneficiary if we effect a transaction for the benefit of others.

吾等同意並承認如吾等與閣下經營業務或繼續與其經營業務，吾等將被視為接受並同意遵守協議所載的條款和條件，不論閣下有否收到吾等的一份本客戶資料表格的簽署文本，而自吾等首次與閣下進行任何業務之日起，協議應構成閣下與吾等之間具法律約束力的合約。吾等會另外簽發常設交易和交收指示給閣下以便日後的業務處理。如本客戶資料表格（包括其注解）的中，英文版本有任何分歧，概以英文版本為準。

We agree and acknowledge that if we carry on or continue to carry on business with you, we will be deemed to accept and abide by the terms and conditions set out in the Agreement regardless of whether you received from us an executed copy of this Customer Information Statement, and that the Agreement shall constitute a legally binding contract between you and us with effect from the date upon which we first transact any business with you. Our standing dealing and settlement instructions will be issued to you separately for your further action accordingly. In the event of discrepancy between the English version and Chinese version of this Customer Information Statement (including the notes hereto) the English version shall prevail.


交易人：下列人士被授權為本公司帳戶的交易人，並代表本帳戶進行買賣（包括透過以口頭，電子、書面或其他方式），即時生效。
Trading Officer: It was resolved that with immediate effect, the following person(s) is/ are appointed as trading officer and authorized to give trading instructions (whether verbally, electronically, in writing or otherwise) for the Account:

獲授權代理人姓名 Authorized Person's Name	身份證或護照號碼 ID Card/ Passport No.	聯絡電話號碼 Contact Tel. No.	簽名樣本 Specimen Signature
(1)			
(2)			
(3)			
(4)			


請註明任何其他簽署安排（如有）：
Please specify any other signature arrangements (if any):

本帳戶可根據下列的簽署安排，由下列的 _____ 人（「獲授權代理人」）向金裕富證券發出指示及運作本帳戶：

The Account may be operated on the instructions of any _____ of the following persons (each an "Authorized Person"), pursuant to signature arrangements below:

獲授權代理人姓名 Authorized Person's Name	身份證或護照號碼 ID Card/ Passport No.	聯絡電話號碼 Contact Tel. No.	簽名樣本 Specimen Signature
(1)			
(2)			
(3)			
(4)			

請註明任何其他簽署安排 (如有) :
Please specify any other signature arrangements (if any):

授權主管人員簽署 Signature of Authorized Official	公司印章 Company Chop
	
授權主管人員名稱 Name of Authorized Official	
職位 Title	
日期 Date	

授權主管人員指以機構的董事、合夥人、經理或主管人員身分行事的任何人士，或獲全面授權代表機構訂立任何具約束力協議的人士。（如有任何疑問，請與閣下的法律事務/ 合規主管人員查詢。）

Authorized Official means any person who is acting in the capacity as director, partner, manager, officer of the organization or person(s) who has/ have been given full authority to enter into any binding agreement on behalf of the organization. (If in doubt, please refer to your Legal Department/ Compliance Officer)

以下簽署人* 特此核證客戶簽署本開戶表格及見證客戶的有關身分證明文件。 The undersigned * hereby certifies the signing of this Account Opening Form by the Client and the sighting of the related identity of the Client.	
見證人簽名及核證 Signed and Certified by	見證人姓名 Name of Witness
X	
	日期 Date
所屬專業/ 職銜/ 中央編號 Profession/ Title/ CE No.	聯絡電話 Contact No.
聯絡地址 Contact Address	
<p>* 若客戶並非在金裕富證券之指定僱員面前簽立本開戶表格或本開戶表格並非連同恰當的支票 + 一併透交，則以下部分應由指定人士，包括其他證監會持牌人或註冊人、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，簽署驗證。而該指定人士需提供其已簽署之身份證明文件副本及專業資格證明文件之副本。</p> <p>If this Account Opening Form is not executed in front of GRS's SFC licenced employee or is not submitted with an appropriate cheque +, a specified person, including any SFC licensed or registered person, a Justice of Peace, a Branch Manager of a bank, Certified Public Accountant or Notary Public, should be required to sign below. The specified person should provide us with self-certified ID copy and copy of the professional qualification documents.</p> <p>+ 客戶須遞交在香港的持牌銀行開立的帳戶並由客戶所簽發（該簽名須與此開戶申請表上的客戶簽名相符）並載有客戶在其身份證明文件上所顯示的姓名的劃線支票，而該支票抬頭人須為"金裕富證券有限公司"及其數額不得少於 10,000 港元（或金裕富證券通知客戶的其他數額）。客戶被批核的新帳戶必須待支票兌現後才可使用。</p> <p>A crossed cheque for such purpose shall bear name shown in client's identity document and drawn on client's account with a licensed bank in Hong Kong with same signature(s) as shown on this Form in favour of "Golden Rich Securities Limited" for not less than HKD10,000 (or such other amount as may be advised by GRS). The approved new account will not be activated until the cheque is cleared.</p>	

董事會決議
BOARD RESOLUTION

本公司茲確認，下列決議案經 _____ (下稱 "本公司") 董事會於 _____ 年 _____ 月 _____ 日於 _____ 正式召開之董事局會議通過，該會議自始至終有足夠法定人數出席，按照本公司章程規定舉行並載入本公司之會議記錄冊內，而該決議案未有被修訂，並且正全面生效及有效。

We hereby certify that the following board resolutions have been passed by the Board of Directors of _____ ("the Company") at a Meeting of the Board duly convened and held at (address) _____ on (date) _____ at which a quorum was present and acted throughout in accordance with the Articles of the Company and have been duly recorded in the Minutes Book of the Company without amendment and that the same are now in full force and effect.

決議通過：

It Was Resolved:

1. 以本公司名義在金裕富證券有限公司 ("金裕富證券") 開立並操作一個保證金/ 現金賬戶 ("賬戶")，並且受開戶表格及適用於賬戶之不時生效之條款，包括經不時替換、修訂、增添或補充之條款 ("條款") 所規限；

That a margin/ cash securities trading account ("the Account") be opened and maintained in the name of the Company with Golden Rich Securities Limited ("GRS") subject to and in accordance with the provisions of the Account Opening Form and the applicable terms and conditions for the Account in force from time to time, as the same may be replaced, amended, added or supplemented from time to time ("Terms");

2. 批准經填妥並於本次會議上提交之開戶表格及條款，並授權本公司任何一位董事代表本公司簽署上述之開戶表格及條款，並將經簽署之該等文件正本送交至金裕富證券；

That the Account Opening Form and the Terms in such form as completed and produced to the Meeting be and are hereby approved and that any one Director of the Company be and is hereby authorized to sign the same for and on behalf of the Company and to deliver the signed originals to GRS;

3. 金裕富證券獲指示遵守及執行代表公司發出的所有關乎賬戶及其他任何類別帳戶的指令和指示，如屬口述指示，該指示須由獲授權人發出，如屬書面指示，須按開戶表格的簽署安排簽署；

That GRS be instructed to honour and comply with all directions and instructions given for or in respect of the Accounts and any other accounts of any kind whatsoever on behalf of the Company provided that such directions, if verbal, are given by any of the Authorized Persons and, if written, are signed in accordance with the signing instructions specified in the Account Opening Form;

4. 在金裕富證券及公司之間，任何公司董事局的決議被聲稱為經董事會主席認證的副本將成為該決議已被通過的終局性證明；

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 GRS and the Company be conclusive evidence of the passing of the resolution so certified;

5. 所有與賬戶、證券交易及與金裕富證券往來有關的決議應提供予金裕富證券。該等決議將維持完全有效直至金裕富證券收到相反及經董事會主席認證的決議案副本。

That resolutions in connection with or in respect of the Accounts, Securities Transactions and dealings with GRS be communicated to GRS and they shall remain in full force and effect until receipt by GRS of a resolution or resolutions to the contrary and certified as correct by the Chairman of the Meeting.

本公司進一步證明獲授權代表公司運作「賬戶」人士的姓名及簽名樣式均屬正確及真實。

We further certify that the names of the Authorized Persons required to operate the Account on behalf of the Company and their specimen signatures are correct and genuine.



會議主席簽名 Chairman of the Meeting

姓名 Name

日期 Date

B 類專業投資者"公司"帳戶開戶核對表 (內部使用) Professional Investors Category B "Corporate" account opening checklist (internal use)

帳戶號碼 Account Number		帳戶名稱 Account Name	
部門 Department		經紀姓名/ 經紀編號 A.E. Name/ A.E. Code	()

佣金 Commission (港幣 HKD)		額度 Limit (港幣 HKD)	
證券 Securities	網上 Internet	交易額度 Trading limit	信貸額度 (保證金帳戶適用) Credit limit (Margin AC only)
	% , 最低收費 min \$		
	電話 Terminal	利率 Interest	P+ %
	% , 最低收費 min \$		

本資料表 (供 B 類專業投資者使用) 必須附帶以下各項 :

This Information Sheet for Professional Investors Category B, must be accompanied by the following:

- 1 註冊公司秘書/ 執行董事簽署的董事會決議案 (一項或多項) / 授權函件的經認證真確副本 , 授權於金裕富證券開立交易帳戶 (一個或多個) 及簽署有關開戶文件
Certified true copy of the Board resolution(s)/ Authorized Letter signed by registered company secretary/ executive director authorizing the opening of trading account(s) with GRS and the execution of the relevant account opening documents.
- 2 公司組織章程大綱及章程細則以及其他規章文件的經認證真確副本
Certified true copy of the Memorandum & Articles of Association and other constitutional documents of the Company
- 3 商業登記證/ 註冊成立證書的經認證真確副本
Certified true copy of Business Registration/ Certificate of Incorporation
- 4 授權交易商名單及結算指示
Authorized Trader list and settlement instruction
- 5 董事及股東名單的經認證真確副本
Certified true copy of List of Directors and shareholders
- 6 董事及授權人士的香港身分證/ 護照的經認證真確副本
Certified true copy of HKID/ Passport of Directors & Authorized Persons
- 7 委任基金經理 (如適用) 的投資管理協議的經認證真確副本
Certified true copy of Investment Management Agreement for the appointment of Fund Manager (if applicable)
- 8 最近期經審計的財務報表的經認證真確副本
Certified true copy of Latest Audited report
- 9 必須提供上述組合或資產之證明書 (例如保管人結單、或由核數師或會計師發出的證明書 , 應以不超過 12 個月前發出 ; 或由核數師或執業會計師編制近期經審核的財務報表不超過 16 個月前發出)
Portfolio or assets should be supported by documents (such as custodian statement, auditor or professional accountant's certificate of not more than 12 months ago or most recent audited financial statement prepared in respect of the corporation within 16 months before the relevant date)
10. W-8BEN 表格
Form W-8BEN
11. W-9 表格 (如適用)
Form W-9 (if applicable)

金裕富證券保留在開立帳戶時要求客戶提交其它證明文件的權利 , 並且帳戶的開立需要滿足金裕富證券合理的要求。

GRS reserves the right to request for other additional documentary proof for the account opening of the Customer, and the opening of the accounts is subject to the reasonable satisfaction of GRS.

Prepared by	Checked by	Approved by	Input by	Checked by

摘錄自證券及期貨條例附表一：

Extract from Schedule 1 of the SFO:

"專業投資者"指 —

Professional Investor means -

- (A) 認可交易所、認可結算所、認可控制人或認可投資者賠償公司，或根據本條例第 95 (2) 條獲認可提供自動化交易服務的人；
any recognized exchange company, recognized clearing house, recognized exchange controller or recognized investor compensation company, or any person authorized to provide automated trading services under section 95(2) of this Ordinance;
- (B) 中介人，或經營提供投資服務的業務並受香港以外地方的法律規管的其他人；
any intermediary, or any other person carrying on the business of the provision of investment services and regulated under the law of any place outside Hong Kong;
- (C) 認可財務機構，或並非認可財務機構但受香港以外地方的法律規管的銀行；
any authorized financial institution, or any bank which is not an authorized financial institution but is regulated under the law of any place outside Hong Kong;
- (D) 根據《保險公司條例》(第 41 章) 獲授權的保險人，或經營保險業務並受香港以外地方的法律規管的其他人；
any insurer authorized under the Insurance Companies Ordinance (Cap 41), or any other person carrying on insurance business and regulated under the law of any place outside Hong Kong;
- (E) 符合以下說明的計劃 —
any scheme which -
- (i) 屬根據本條例第 104 條獲認可的集體投資計劃；或
is a collective investment scheme authorized under section 104 of this Ordinance; or
- (ii) 以相似的方式根據香港以外地方的法律成立，並 (如受該地方的法律規管) 根據該地方的法律獲准許營辦，或營辦任何該等計劃的人；
is similarly constituted under the law of any place outside Hong Kong and, if it is regulated under the law of such place, is permitted to be operated under the law of such place, or any person by whom any such scheme is operated;
- (F) 《強制性公積金計劃條例》(第 485 章) 第 2 (1) 條界定的註冊計劃，或《強制性公積金計劃 (一般) 規例》(第 485 章，附屬法例 A) 第 2 條界定的該等計劃的成 分基金，或就任何該等計劃而言屬該條例第 2 (1) 條界定的核准受託人或服務提供者或屬任何該等計劃或基金的投資經理的人；
any registered scheme as defined in section 2(1) of the Mandatory Provident Fund Schemes Ordinance (Cap 485), or its constituent fund as defined in section 2 of the Mandatory Provident Fund Schemes (General) Regulation (Cap 485 sub. leg. A), or any person who, in relation to any such registered scheme, is an approved trustee or service provider as defined in section 2(1) of that Ordinance or who is an investment manager of any such registered scheme or constituent fund;
- (G) 符合以下說明的計劃 —
any scheme which -
- (i) 屬《職業退休計劃條例》(第 426 章) 第 2 (1) 條界定的註冊計劃；或
is a registered scheme as defined in section 2(1) of the Occupational Retirement Schemes Ordinance (Cap 426); or
- (ii) 屬該條例第 2 (1) 條界定的離岸計劃，並 (如以某地方為本籍而受該地方的法律規管) 根據該地方的法律獲准許營辦，或就任何該等計劃而言屬該條例第 2 (1) 條界定的管理人的；
is an offshore scheme as defined in section 2(1) of that Ordinance and, if it is regulated under the law of the place in which it is domiciled, is permitted to be operated under the law of such place, or any person who, in relation to any such scheme, is an administrator as defined in section 2(1) of that Ordinance;
- (H) 任何政府 (市政府當局除外)、執行中央銀行職能的任何機構，或任何多邊機構；
any government (other than a municipal government authority), any institution which performs the functions of a central bank, or any multilateral agency;
- (I) (除為施行本條例附表 5 外) 符合以下說明的法團 —
except for the purposes of Schedule 5 to this Ordinance, any corporation which is -
- (i) 屬下述者的全資附屬公司 —
a wholly owned subsidiary of -
- (a) 中介人，或經營提供投資服務的業務並受香港以外地方的法律規管的其他人；或
an intermediary, or any other person carrying on the business of the provision of investment services and regulated under the law of any place outside Hong Kong; or
- (b) 認可財務機構，或並非認可財務機構但受香港以外地方的法律規管的銀行；
an authorized financial institution, or any bank which is not an authorized financial institution but is regulated under the law of any place outside Hong Kong;
- (ii) 屬持有下述者的所有已發行股本的控股公司 —
a holding company which holds all the issued share capital of -
- (a) 中介人，或經營提供投資服務的業務並受香港以外地方的法律規管的其他人；或
an intermediary, or any other person carrying on the business of the provision of investment services and regulated under the law of any place outside Hong Kong; or
- (b) 認可財務機構，或並非認可財務機構但受香港以外地方的法律規管的銀行；或
an authorized financial institution, or any bank which is not an authorized financial institution but is regulated under the law of any place outside Hong Kong; or
- (iii) 屬第 (ii) 節提及的控股公司的任何其他全資附屬公司。
any other wholly owned subsidiary of a holding company referred to in subparagraph (ii).
- (J) 屬於為施行本段而藉根據本條例第 397 條訂立的規則訂明為就本條例條文屬本定義所指的類別的人，或 (如為施行本段而藉如此訂立的規則訂明某類別為就本條例任何條文屬本定義所指的類別) 在該範圍內屬於該類別的人
any person of a class which is prescribed by rules made under section 397 of this Ordinance for the purposes of this paragraph as within the meaning of this definition for the purposes of the provisions of this Ordinance, or to the extent that it is prescribed by rules so made as within the meaning of this definition for the purposes of any provision of this Ordinance;

依照證券及期貨事務監察委員會 ("證監會") 持牌人或註冊人操守準則 ("準則")，當客戶根據證券及期貨條例 (第 571 章 ("條例")) 被界定為"專業投資者"，則金裕富證券有限公司 ("金裕富證券") 不需要履行準則下的某些規管要求，特別是，但不僅限於此，涉及到非專業投資者保障的以下幾個方面，將不適用於專業投資者：

Pursuant to the Code of Conduct for Person Licensed by or Registered with the Securities and Futures Commission (the "Code") of the Securities and Futures Commission ("SFC"), Golden Rich Securities Limited ("GRS") is not required to fulfil certain regulatory requirements under the Code when dealing with a customer who is classified as a "Professional Investor" under the Securities and Futures Ordinance (Chapter 571) (the "Ordinance"); in particular but without limitation, the protection available to non-Professional Investor in the following areas will not apply:

(a) 客戶資料

Information about clients

金裕富證券不需要確認客戶的財務狀況、投資經驗及投資目標，也不需要保證由金裕富證券作出的任何建議或招攬的合適性。

GRS will not be required to establish such customer's financial situation, investment experience and investment objectives, nor to ensure the suitability of any recommendation or solicitation that GRS may make.

(b) 客戶協議書

Client agreement

金裕富證券不需要與客戶簽訂協議書及提供相關的風險披露聲明。

GRS will not be required to enter into a written agreement and the provision of the relevant risk disclosure statements.

(c) 委託帳戶

Discretionary accounts

金裕富證券不需要在為客戶處理全權處理帳戶的交易前取得客戶的書面授權，也不需要向客戶解釋此類授權條款的含義和不需要每年續簽該類授權。

GRS will not be required to obtain from such customer written authorization prior to effecting transactions for such customer on a discretionary basis nor to comply with the requirements to explain to such customer the terms of any such written authorization or renew it on an annual basis.

(d) 為客戶提供資料

Information for clients

金裕富證券不需要：

GRS will not be required to:

- (i) 就金裕富證券，或其雇員的本身及狀況，或其它被授權代表其行事的事件通知客戶；
inform the customer about GRS or the identity or status of its employees or others acting on its behalf;
- (ii) 在完成客戶的一個交易後立即向客戶確定該交易的主要情況；或
confirm promptly with such customer the essential features of a transaction after effecting a transaction for the customer; or
- (iii) 為客戶提供關於納斯達克—美國證券交易所試驗計劃的資料文件。
provide the customer with any documentation on the Nasdaq-Amex Pilot Program.

豁免上述準則規定會有相關的風險和後果，尤其是豁免我們向你們送交某些資料的規定。此外，雖然金裕富證券將 (在適當情況下) 向客戶提供成交單據、戶口結單及收據，但此等文件未必載有證券及期貨 (成交單據、戶口結單及收據) 規則所規定的全部詳情，除非客戶對金裕富證券另有指示，否則根據該等規則所規定的時限內將不會向客戶提供該等文件。

There are risks and consequences associated with waiving the requirements of the Code as described above, and in particular, with waiving the requirement that certain information be delivered by us to you. Also, whilst GRS will provide a customer with contract notes, statements of account and receipts (as appropriate), these may not contain all of the details required under the Securities and Futures (Contract Notes, Statements of Account and Receipts) Rules, and may not be supplied to a customer in accordance with the timeframes required thereunder, unless the customer instructs GRS otherwise.

如客戶認為其不符合或不再符合證券及期貨條例所述的專業投資者的資格，則應立即通知金裕富證券。

If a customer believes that it does not or no longer qualify as a Professional Investor described in the SFO, GRS should be informed immediately thereof.

致：金裕富證券有限公司"金裕富證券"

香港灣仔駱克道 188 號兆安中心 22 樓

To: Golden Rich Securities Limited "GRS"

22/F., Siu On Centre, 188 Lockhart Road, Wan Chai, Hong Kong

中央編號：BGQ899

CE No.: BGQ899

聲明 - 專業投資者

Declaration - Professional Investor

本人/ 吾等確認，本人/ 吾等已閱讀閣下就根據證券及期貨條例所指當作本人/ 吾等的資格為專業投資者處理向吾等發出的函件。本人/ 吾等已獲知會及明白當作專業投資者處理的風險及後果，及吾等撤銷當作專業投資者處理的權利。

I/ We confirm that I/ we have read your letter to us in relation to my/ our eligibility to be treated as a Professional Investor pursuant to the Securities & Futures Ordinance. I/ We have been informed of and understand the risks and consequences of being treated as a Professional Investor and our right to withdraw from being treated as such.

本人/ 吾等同意及接納閣下的函件及閣下的條款及條件。


I/ We agree and accept the provisions as set out in your letter and your standard Terms and Conditions.

如本人/ 吾等不再符合專業投資者資格或不願意被界定為專業投資者，本人/ 吾等將立即通知閣下。

I/ We shall inform you immediately if I/ we no longer qualify as a Professional Investor or if I/ we do not wish to be treated as a Professional Investor.

本人/ 吾等同意有關操作本人/ 吾等於閣下的帳戶，就所有投資產品當作專業投資者處理。本人/ 吾等進一步同意，倘若本人/ 吾等為本人/ 吾等本身利益以外進行交易，本人/ 吾等將應閣下的要求，即時知會香港監管人最終受益人的身分、地址、職業及聯絡詳情。

I/ We agree to be treated as a Professional Investor in respect of all investment products and markets in connection with the operation of my/ our Account(s) with you. I/ We further agree that I/ we shall, immediately upon request by you, inform the Hong Kong Regulators of the identity, address, occupation and contact details of the ultimate beneficiary if I/ we effect a transaction otherwise than for my/ our own benefit.

授權主管人員簽署 Signature of Authorized Official	公司印章 Company Chop
	
授權主管人員名稱 Name of Authorized Official	
職位 Title	
日期 Date	

授權主管人員指以機構的董事、合夥人、經理或主管人員身分行事的任何人士，或獲全面授權代表機構訂立任何具約束力協議的人士。（如有任何疑問，請與閣下的法律事務/ 合規主管人員查詢。）

Authorized Official means any person who is acting in the capacity as director, partner, manager, officer of the organization or person(s) who has/ have been given full authority to enter into any binding agreement on behalf of the organization. (If in doubt, please refer to your Legal Department/ Compliance Officer)

**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 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:

- 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

Part I Identification of Beneficial Owner

1 Name of organization that is the beneficial owner		2 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): <table><tr><td><input type="checkbox"/> Corporation</td><td><input type="checkbox"/> Disregarded entity</td><td><input type="checkbox"/> Partnership</td></tr><tr><td><input type="checkbox"/> Simple trust</td><td><input type="checkbox"/> Grantor trust</td><td><input type="checkbox"/> Estate</td></tr><tr><td><input type="checkbox"/> Central Bank of Issue</td><td><input type="checkbox"/> Tax-exempt organization</td><td><input type="checkbox"/> Government</td></tr><tr><td><input type="checkbox"/> Complex trust</td><td><input type="checkbox"/> Private foundation</td><td><input type="checkbox"/> International organization</td></tr></table> <p>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. <input type="checkbox"/> Yes <input type="checkbox"/> No</p>			<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"/> Complex trust	<input type="checkbox"/> Private foundation	<input type="checkbox"/> International organization																										
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5 Chapter 4 Status (FATCA status) (See instructions for details and complete the certification below for the entity's applicable status.) <table><tr><td><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).</td><td><input type="checkbox"/> Nonreporting IGA FFI. Complete Part XII.</td></tr><tr><td><input type="checkbox"/> Participating FFI.</td><td><input type="checkbox"/> Foreign government, government of a U.S. possession, or foreign central bank of issue. Complete Part XIII.</td></tr><tr><td><input type="checkbox"/> Reporting Model 1 FFI.</td><td><input type="checkbox"/> International organization. Complete Part XIV.</td></tr><tr><td><input type="checkbox"/> Reporting Model 2 FFI.</td><td><input type="checkbox"/> Exempt retirement plans. Complete Part XV.</td></tr><tr><td><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.</td><td><input type="checkbox"/> Entity wholly owned by exempt beneficial owners. Complete Part XVI.</td></tr><tr><td><input type="checkbox"/> Sponsored FFI. Complete Part IV.</td><td><input type="checkbox"/> Territory financial institution. Complete Part XVII.</td></tr><tr><td><input type="checkbox"/> Certified deemed-compliant nonregistering local bank. Complete Part V.</td><td><input type="checkbox"/> Excepted nonfinancial group entity. Complete Part XVIII.</td></tr><tr><td><input type="checkbox"/> Certified deemed-compliant FFI with only low-value accounts. Complete Part VI.</td><td><input type="checkbox"/> Excepted nonfinancial start-up company. Complete Part XIX.</td></tr><tr><td><input type="checkbox"/> Certified deemed-compliant sponsored, closely held investment vehicle. Complete Part VII.</td><td><input type="checkbox"/> Excepted nonfinancial entity in liquidation or bankruptcy. Complete Part XX.</td></tr><tr><td><input type="checkbox"/> Certified deemed-compliant limited life debt investment entity. Complete Part VIII.</td><td><input type="checkbox"/> 501(c) organization. Complete Part XXI.</td></tr><tr><td><input type="checkbox"/> Certain investment entities that do not maintain financial accounts. Complete Part IX.</td><td><input type="checkbox"/> Nonprofit organization. Complete Part XXII.</td></tr><tr><td><input type="checkbox"/> Owner-documented FFI. Complete Part X.</td><td><input type="checkbox"/> Publicly traded NFFE or NFFE affiliate of a publicly traded corporation. Complete Part XXIII.</td></tr><tr><td><input type="checkbox"/> Restricted distributor. Complete Part XI.</td><td><input type="checkbox"/> Excepted territory NFFE. Complete Part XXIV.</td></tr><tr><td></td><td><input type="checkbox"/> Active NFFE. Complete Part XXV.</td></tr><tr><td></td><td><input type="checkbox"/> Passive NFFE. Complete Part XXVI.</td></tr><tr><td></td><td><input type="checkbox"/> Excepted inter-affiliate FFI. Complete Part XXVII.</td></tr><tr><td></td><td><input type="checkbox"/> Direct reporting NFFE.</td></tr><tr><td></td><td><input type="checkbox"/> Sponsored direct reporting NFFE. Complete Part XXVIII.</td></tr><tr><td></td><td><input type="checkbox"/> Account that is not a financial account.</td></tr></table>			<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).	<input type="checkbox"/> Nonreporting IGA FFI. Complete Part XII.	<input type="checkbox"/> Participating FFI.	<input type="checkbox"/> Foreign government, government of a U.S. possession, or foreign central bank of issue. 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	<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																																						
8 U.S. taxpayer identification number (TIN), if required	9a GIIN	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.

Cat. No. 59689N

Form **W-8BEN-E** (Rev. 7-2017)

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 ☐ Company that meets the ownership and base erosion test
- ☐ Tax exempt pension trust or pension fund ☐ Company that meets the derivative benefits test
- ☐ Other tax exempt organization ☐ Company with an item of income that meets active trade or business test
- ☐ Publicly traded corporation ☐ Favorable discretionary determination by the U.S. competent authority received
- ☐ Subsidiary of a publicly traded corporation ☐ 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.

Part XXVII Excepted Inter-Affiliate FFI

41 ☐ I certify that the entity identified in Part I:

- Is a member of an expanded affiliated group;
- Does not maintain financial accounts (other than accounts maintained for members of its expanded affiliated group);
- Does not make withholdable payments to any person other than to members of its expanded affiliated group;
- Does not hold an account (other than depository accounts in the country in which the entity is operating to pay for expenses) with or receive payments from any withholding agent other than a member of its expanded affiliated group; **and**
- Has not agreed to report under Regulations section 1.1471-4(d)(2)(ii)(C) or otherwise act as an agent for chapter 4 purposes on behalf of any financial institution, including a member of its expanded affiliated group.

Part XXVIII Sponsored Direct Reporting NFFE (see instructions for when this is permitted)

42 Name of sponsoring entity:

43 ☐ I certify that the entity identified in Part I is a direct reporting NFFE that is sponsored by the entity identified on line 42.

Part XXIX Substantial U.S. Owners of Passive NFFE

As required by Part XXVI, provide the name, address, and TIN of each substantial U.S. owner of the NFFE. Please see the instructions for a definition of substantial U.S. owner. If providing the form to an FFI treated as a reporting Model 1 FFI or reporting Model 2 FFI, an NFFE may also use this part for reporting its controlling U.S. persons under an applicable IGA.

[illegible]

Part XXX 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. I further certify under penalties of perjury that:

- The entity identified on line 1 of this form is the beneficial owner of all the income to which this form relates, is using this form to certify its status for chapter 4 purposes, or is a merchant submitting this form for purposes of section 6050W;
- The entity identified on line 1 of this form is not a U.S. person;
- The income to which this form relates is: (a) not effectively connected with the conduct of a trade or business in the United States, (b) effectively connected but is not subject to tax under an income tax treaty, or (c) the partner's share of a partnership's effectively connected income; **and**
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which the entity on line 1 is the beneficial owner or any withholding agent that can disburse or make payments of the income of which the entity on line 1 is the beneficial owner.

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

Sign Here

Signature of individual authorized to sign for beneficial owner

Print Name _____

Date (MM-DD-YYYY)

☐ I certify that I have the capacity to sign for the entity identified on line 1 of this form.

共同匯報標準自我證明表格 (實體)
Common Reporting Standard Self-Certification Form (Entity)
(如適用請加"✓" Please "✓" as appropriate)

第 1 部份 - 公司帳戶資料 Section 1 - Corporate Account Information

公司名稱 Name of Company / Corporation:			
中文 Chinese:			
英文 English:			
註冊編號 Certificate No.:		商業登記編號 Business Registration No.:	
註冊/ 成立地點 Place of Incorporation/ Establishment::			
主要辦事處地址 Principal Place of Business:			
通訊地址 (如與以上不同) Correspondence Address (if different from above)			

第 2 部份 - 實體類別 Section 2 - Entity Type

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

財務機構 Financial Institution	<input type="checkbox"/>	託管機構、存款機構或指明保險公司 Custodial Institution, Depository Institution or Specified Insurance Company
	<input type="checkbox"/>	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 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
主動非財務實體 Active NFE	<input type="checkbox"/>	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 NFE the stock of which is regularly traded on _____, which is an established securities market
	<input type="checkbox"/>	_____ 的有關連實體，該有關連實體的股票經常在 _____ (一個具規模證券市場) 進行買賣 Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market
	<input type="checkbox"/>	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 NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities
	<input type="checkbox"/>	除上述以外的主動非財務實體 (請說明 _____) Active NFE other than the above (Please specify _____)
被動非財務實體 Passive NFE	<input type="checkbox"/>	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 Investment entity that is managed by another financial institution and located in a non-participating jurisdiction
	<input type="checkbox"/>	不屬主動非財務實體的非財務實體 NFE that is not an active NFE

** 該實體的帳戶持有人，如對其實體的控制擁有權達 25% 或以上，即為實體控權人，每名控權人均須填寫及完成自我證明 — 控權人部份 (第五部) 的個人資料。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。
** Each controlling person of the Account Holder who holds directly or indirectly more than 25 percent of the shares or voting rights of an Entity as a beneficial owner, is required to complete the self-certification in part 5. 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.


Section 3 - Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") of Account Holder

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.

	居留司法管轄區 Jurisdiction of Residence	稅務編號 TIN	如沒有提供稅務編號，請填寫理由 A、B 或 C Please enter Reason A, B or C if no TIN is available	如選取理由 B，請解釋帳戶持有人不能取得稅務編號的 原因 Please explain why you are unable to obtain a TIN if you have selected Reason B
1.			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
2.			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
3.			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
4.			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
5.			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	

Section 4 - Declarations and Signature of Account Holder

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

客戶簽署並蓋章 Client Authorized Signature(s) with company chop	客戶簽署代表人的姓名及職銜 Authorized Signatory's name and title(s)
	日期 Date

Note: GRSL is unable to provide any advice about your tax residence. If you have any questions, please contact your tax adviser or domestic tax authority.

第 5A 部份 - 自我證明 - 控權人 (公司)

Section 5A - Self-Certification - Controlling Person (Entity)

1.	公司名稱 (中文) Entity Name (Chinese)				
2.	公司名稱 (英文) Entity Name (English)				
3.	商業登記證號碼 Business Registration No	商業登記證號碼 Business Registration No		發證國家 Issue Country	
4.	公司註冊地址 Company Address (Registered)				
5.	公司辦公地址 Company Address (Office)				
6.	電話號碼 Tel No.				
7.	公司網址 Website				
8.	授權簽字人 Authorized Signer	姓名 Name	職位 Title	電話 Tel No	電郵 Email
9.	聯絡人 Contact Person	姓名 Name	職位 Title	電話 Tel No	電郵 Email

第 5B 部份 - 自我證明 - 控權人 (個人)

Section 5B - Self-Certification - Controlling Person (Individual)

1	客戶稱謂 Client Title	<input type="checkbox"/> 先生 Mr. <input type="checkbox"/> 太太 Mrs. <input type="checkbox"/> 女士 Mdm. <input type="checkbox"/> 小姐 Miss			
	中文姓名 Name (Chinese)			英文姓名 Name (English)	
	身份證/ 護照號碼 I.D./ Passport No.			出生日期 Date of Birth	
	出生地點 Place of Birth			國籍 Nationality	
	現時住宅地址 Current Residential Address				
2	客戶稱謂 Client Title	<input type="checkbox"/> 先生 Mr. <input type="checkbox"/> 太太 Mrs. <input type="checkbox"/> 女士 Mdm. <input type="checkbox"/> 小姐 Miss			
	中文姓名 Name (Chinese)			英文姓名 Name (English)	
	身份證/ 護照號碼 I.D./ Passport No.			出生日期 Date of Birth	
	出生地點 Place of Birth			國籍 Nationality	
	現時住宅地址 Current Residential Address				
3	客戶稱謂 Client Title	<input type="checkbox"/> 先生 Mr. <input type="checkbox"/> 太太 Mrs. <input type="checkbox"/> 女士 Mdm. <input type="checkbox"/> 小姐 Miss			
	中文姓名 Name (Chinese)			英文姓名 Name (English)	
	身份證/ 護照號碼 I.D./ Passport No.			出生日期 Date of Birth	
	出生地點 Place of Birth			國籍 Nationality	
	現時住宅地址 Current Residential Address				
4	客戶稱謂 Client Title	<input type="checkbox"/> 先生 Mr. <input type="checkbox"/> 太太 Mrs. <input type="checkbox"/> 女士 Mdm. <input type="checkbox"/> 小姐 Miss			
	中文姓名 Name (Chinese)			英文姓名 Name (English)	
	身份證/ 護照號碼 I.D./ Passport No.			出生日期 Date of Birth	
	出生地點 Place of Birth			國籍 Nationality	
	現時住宅地址 Current Residential Address				

第 6A 部份 - 控權人類別 (公司)

Section 6A - Type of Controlling Person (Entity)

在適當方格內加上✓號，指出控權人就帳戶所屬的控權公司類別。 Please tick the appropriate box to indicate the type of controlling entity for the account.	控權人編號 Controlling Person No.			
	(1)	(2)	(3)	(4)
	控權公司 Controlling Entity	控權公司 Controlling Entity	控權公司 Controlling Entity	控權公司 Controlling Entity
擁有控制股權的公司 (即擁有不少於 25% 的已發行股本) Entity which has a controlling ownership interest (i.e. not less than 25% of issued share capital)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
以其他途徑行使控制權或有權行使控制權的公司 (即擁有不少於 25% 的表決權) Entity which exercises control/ is entitled to exercise control through other means (i.e. not less than 25% of voting rights)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
對該實體的管理行使最終控制權的公司 Entity which holds the position/ exercises ultimate control	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
財產授予人 Settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
受託人 Trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
保護人 Protector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
受益人或某類別受益人的成員 Beneficiary or member of the class of beneficiaries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
其他 (例如：如財產授予人/ 受託人/ 保護人/ 受益人為另一實體，該實體行使控制權的公司) Other (e.g. entity which exercises control over another entity being the settlor/ trustee/ protector/ beneficiary)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
處於相等/ 相類於財產授予人位置的公司 Entity in a position equivalent/ similar to settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
處於相等/ 相類於受託人位置的公司 Entity in a position equivalent/ similar to trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
處於相等/ 相類於保護人位置的公司 Entity in a position equivalent/ similar to protector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
處於相等/ 相類於受益人或某類別受益人的成員位置的公司 Entity in a position equivalent/ similar to beneficiary or member of the class of beneficiaries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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公司) Other (e.g. entity which exercises control over another entity being equivalent/ similar to settlor/ trustee/ protector/ beneficiary)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

第 6B 部份- 控權人類別 (個人)

Section 6B - Type of Controlling Person (Individual)

在適當方格內加上✓號，指出控權人就帳戶所屬的控權人類別。 Please tick the appropriate box to indicate the type of controlling person for the account.	控權人編號 Controlling Person No.			
	(1)	(2)	(3)	(4)
	控權人姓名 Controlling Person Name	控權人姓名 Controlling Person Name	控權人姓名 Controlling Person Name	控權人姓名 Controlling Person Name
擁有控制股權的個人 (即擁有不少於 25% 的已發行股本) Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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 25% 的表決權) Individual who exercises control/ is entitled to exercise control through other means (i.e. not less than 25% of voting rights)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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 Individual who holds the position of senior managing official/ exercises ultimate control over the management of the entity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
財產授予人 Settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
受託人 Trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
保護人 Protector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
受益人或某類別受益人的成員 Beneficiary or member of the class of beneficiaries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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) Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
處於相等/ 相類於財產授予人位置的個人 Individual in a position equivalent/ similar to settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
處於相等/ 相類於受託人位置的個人 Individual in a position equivalent/ similar to trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
處於相等/ 相類於保護人位置的個人 Individual in a position equivalent/ similar to protector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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 Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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) Other (e.g. individual who exercises control over another entity being equivalent/ similar to settlor/ trustee/ protector/ beneficiary)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Section 7 - Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") of Controlling Person

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.

Section 8 - Declarations and Signature of Controlling Person

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

GRS CRSSCF02-V03-(202009)

(2) 控權人簽署 Signature of controlling person:	控權人姓名 Name of controlling person:
	日期 Date
(3) 控權人簽署 Signature of controlling person:	控權人姓名 Name of controlling person:
	日期 Date
(4) 控權人簽署 Signature of controlling person:	控權人姓名 Name of controlling person:
	日期 Date

註：金裕富未能提供有關閣下納稅居住地的意見。如有任何疑問，請與閣下的稅務顧問或當地稅務機關聯絡。

Note: GRSL is unable to provide any advice about your tax residence. If you have any questions, please contact your tax adviser or domestic tax authority.

重要提示

Important Notes:

- 這是由帳戶持有人向金裕富提供的自我證明表格，以作自動交換財務帳戶資料用途。金裕富可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。

This is a self-certification form provided by an account holder to GRSL for the purpose of automatic exchange of financial account information. The data collected may be transmitted by GRSL to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- 如帳戶持有人的稅務居民身分有所改變，應盡快將所有變更通知金裕富。

An account holder should report all changes in his/ her tax residency status to GRSL
- 除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。

All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s).
- 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。

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).



客戶風險承擔能力評估表格 **RISK TOLERANCE FOR CLIENTS QUESTIONNAIRE**

Please answer these questions to understand your tolerance of risk and the attitude towards risk.
請回答下列問題以瞭解閣下對風險的承擔能力及投資取態。

1. What is your current age? 請問您現時的年紀?

- | | | |
|---------------------------------------|-----------|---|
| <input type="checkbox"/> 30 or under. | 30 歲或以下 | 5 |
| <input type="checkbox"/> 31 - 45 | 31 至 45 歲 | 4 |
| <input type="checkbox"/> 46 - 65 | 46 至 65 歲 | 3 |
| <input type="checkbox"/> 66 - 70 | 66 至 70 歲 | 2 |
| <input type="checkbox"/> 71 or above | 71 歲或以上 | 1 |

2. What is your knowledge of financial market and investment? 請問您對金融市場及投資的認識是多少?

- | | | |
|--|------------------|---|
| <input type="checkbox"/> None. I have no knowledge of financial market at all. | 我對金融市場一無所知 | 1 |
| <input type="checkbox"/> I have basic knowledge of financial market. | 我對金融市場只有基本知識 | 2 |
| <input type="checkbox"/> I have knowledge above basic level. | 我對金融市場達基本知識以上的水平 | 3 |
| <input type="checkbox"/> High. I know the factors affecting the prices of stocks and bonds | 我瞭解影響股票及債券價格的因素 | 4 |
| <input type="checkbox"/> Advance. I am familiar with most of the financial products. | 我對大部份的金融產品都非常熟悉 | 5 |

3. What is your acceptable level of potential loss? 請問您可接受潛在虧損的程度是多少?

- | | | |
|--|-----------------|---|
| <input type="checkbox"/> No capital losses are acceptable. | 我並不接受任何虧損 | 1 |
| <input type="checkbox"/> A small loss up to 5%. | 可接受最高 5% 的輕微虧損 | 2 |
| <input type="checkbox"/> A medium loss up to 15%. | 可接受最高 15% 的輕微虧損 | 3 |
| <input type="checkbox"/> A large loss up to 30%. | 可接受最高 30% 的大幅虧損 | 4 |
| <input type="checkbox"/> A large loss of more than 30%. | 可接受超過 30% 的大幅虧損 | 5 |

4. What would you react if the market plunged 10% in three days? 如果市場在三天內暴跌 10%，你會如何反應?

- | | | |
|---|------------------------|---|
| <input type="checkbox"/> I would see it as an opportunity to invest more immediately. | 我認為這是一個更多投資的機會 | 5 |
| <input type="checkbox"/> I would do nothing and monitor the market closely. | 我甚麼都不做並密切關注市場動向 | 4 |
| <input type="checkbox"/> I would see it as an opportunity to increase the investment gradually over a period of time. | 我認為這是一個在一段時間內逐漸增加投資的機會 | 3 |
| <input type="checkbox"/> I would sell at least half of my investments to limit my loss. | 我會出售至少一半的投資來限制我的損失 | 2 |
| <input type="checkbox"/> I would sell all my investment and avoid further loss. | 我會出售所有投資，避免進一步損失 | 1 |

5. How long will your investment horizon be? 您的投資期限是多久?

- | | | |
|---|------|---|
| <input type="checkbox"/> Below 1 year. | 少於一年 | 1 |
| <input type="checkbox"/> 1 to 2 years. | 一至二年 | 2 |
| <input type="checkbox"/> 3 to 5 years. | 三至五年 | 3 |
| <input type="checkbox"/> 6 to 10 years | 六至十年 | 4 |
| <input type="checkbox"/> Over 10 years. | 十年以上 | 5 |



6. What is your objective for investment? 您的投資目標是什麼?

- | | | |
|---|--------------|---|
| <input type="checkbox"/> Capital preservation | 資本保障 | 1 |
| <input type="checkbox"/> Earn a return which is slightly above bank deposit | 賺取略高於銀行存款的回報 | 2 |
| <input type="checkbox"/> Stable and balanced income | 穩定、平衡收入 | 3 |
| <input type="checkbox"/> Gradual long-term capital growth | 資本長期地逐漸增長 | 4 |
| <input type="checkbox"/> Maximize capital growth as soon as possible | 以最短時間，爭取最高回報 | 5 |

7. Do you have emergency saving? 您有應急備用錢嗎?

- | | | |
|---|----------------|---|
| <input type="checkbox"/> Yes, more than 6 months income | 有，金額多於六個月的收入 | 5 |
| <input type="checkbox"/> Yes, 3- 6 months income | 有，金額介乎三至六個月的收入 | 4 |
| <input type="checkbox"/> Yes, 1- 2 months income | 有，金額介乎一至二個月的收入 | 3 |
| <input type="checkbox"/> Yes, less than 1 month income | 有，金額少於一個月的收入 | 2 |
| <input type="checkbox"/> No. | 沒有 | 1 |

8. What is your monthly household disposable income on average? 您每月平均家庭可動用收入有多少?

- | | | |
|--|------------------------|---|
| <input type="checkbox"/> Below \$4,000. | 少於港幣 4,000 元 | 1 |
| <input type="checkbox"/> \$4,000 - \$15,000 | 介乎港幣 4,000 至 15,000 元 | 2 |
| <input type="checkbox"/> \$15,001 - \$30,000 | 介乎港幣 15,001 至 30,000 元 | 3 |
| <input type="checkbox"/> \$30,001 - \$60,000 | 介乎港幣 30,001 至 60,000 元 | 4 |
| <input type="checkbox"/> Over \$60,000 | 多於港幣 60,000 元 | 5 |

9. What is your expectation growth of your income in the next five years? 請問您期望五年後您的收入增長如何?

- | | | |
|---|------------|---|
| <input type="checkbox"/> Rapid grow and greater than inflation. | 急速增長並大於通脹 | 5 |
| <input type="checkbox"/> Grow fast and slightly greater than inflation. | 快速增長並略大於通脹 | 4 |
| <input type="checkbox"/> Grow with inflation. | 與通脹同步增長 | 3 |
| <input type="checkbox"/> Grow less than inflation. | 有增長但低於通脹 | 2 |
| <input type="checkbox"/> Remain unchanged. | 維持不變 | 1 |

10. Are you confident enough to make investment decision individually? 您有足夠的信心以單獨作出投資決定嗎?

- | | | |
|--|--------------------|---|
| <input type="checkbox"/> No. I rely on my investment advisor. | 不，我依賴的的投資顧問作出決定 | 1 |
| <input type="checkbox"/> Sometime, but mostly follow the suggestion of the advisor. | 間中，但多數都依從顧問的意見 | 2 |
| <input type="checkbox"/> Sometimes, I would listen to my advisors' suggestion | 間中，我會參考顧問的意見 | 3 |
| <input type="checkbox"/> Yes, I am able to make decision when I have to do it on my own. | 當我需要自己作投資決定時，我能夠做到 | 4 |
| <input type="checkbox"/> Yes, I am confident enough to make my own investment decision. | 我完全有信心去作投資決定 | 5 |



IMPORTANT INFORMATION 責任聲明

The results of this questionnaire are derived from the information that you have provided to the Company and on certain generally accepted assumptions and reasonable estimates. Calculations and values used in this questionnaire are used for illustration purpose only.

本問卷的結果是從您向本行提供的資料，並根據若干普遍接納的假設及合理估算而得出。本問卷採用的計算方法及取值僅供說明途。

This questionnaire and the results only serve as a reference for your consideration, and 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 or recommendation.

本問卷及所得結果僅供您參考，並非購買或出售任何金融產品及服務的要約或招攬，亦不應被視為投資意見或推薦。

Answers you give to the questions in this questionnaire help to provide some indication as to which Risk Profile you may fit in. It does not represent the suitability of any investment product for you.

您於本問卷提供的答案有助顯示因應您的個人情況而指出您對風險的取態及您所屬的風險取向類別。

Please be reminded that any failure to fully disclose all or any of your personal circumstances (e.g. financial situation), inaccurate, incomplete or outdated information may affect our assessment of your attitude towards investment risks. If there is any change in circumstances which may affect your answer(s) to any question in this questionnaire, we strongly recommend that you should complete this questionnaire again.

請注意，倘若您未能全面披露所有或任何有關您的個人狀況（如財務狀況）、不正確、不完整或過時的資料，可能影響本行就本問卷得出的評估結果。如您的狀況出現變動而可能影響本問卷中任何問題的答案，我們極力建議您再次填寫本問卷。

Personal data collected in this questionnaire will be kept confidential by the Company. The data may be used by the Company, or third party insurer or any other companies within the Group under a duty of confidentiality to the Company, for designing and/ or marketing of financial products or insurance products and services.

本問卷所收集的個人資料保密，本行、供應商、保險公司或其他屬於集團的公司須按照本行的保密責任使用該等資料設計及/ 或推廣金融產品或保險產品及服務。

Client's Information 客戶資料			
Account No. 帳號：		<input type="checkbox"/> Cash 現金客戶	<input type="checkbox"/> Margin 保證金客戶
Client's Signature 客戶簽署		Client's Name 客戶姓名： _____ Date 日期： _____	
*** FOR OFFICE USE ONLY 祇供本行使用 ***			
Tolerance level of Client 客戶之風險承擔能力			
<input type="checkbox"/> 43 - 50	Very High Risk	非常高風險	：此類投資者客戶屬非常進取型之客戶，並願意承受更大風險換取更多的資本增值
<input type="checkbox"/> 32 - 42	High Risk	高風險	：此類投資者屬高風險之客戶，能接受較長線的投資或承受高風險以增值資本
<input type="checkbox"/> 15 - 31	Low to medium risk	低至中等風險	：此類投資者屬穩健型之客戶，投資取向傾向於平衡分佈
<input type="checkbox"/> below 15	Low risk	低風險	：此類客戶為保守型之客戶，即使回報不高亦傾向承受較少風險
A.E./ Staff Signature 客戶經理/ 職員簽署		Name 客戶經理/ 職員姓名： _____ C.E. No. 證監會中央編號： _____ Date 日期： _____	

客戶常設授權
Client Standing Authority

To: 金裕富證券有限公司 「貴公司」
Golden Rich Securities Limited ("The Company")
香港灣仔駱克道 188 號兆安中心 22 樓
22/F., Siu On Centre, 188 Lockhart Road, Wan Chai, Hong Kong

帳戶號碼
Account No.

Attn: 結算部 Settlement Department

除非另有定義，本授權函使用的術語應與不時修訂的《證券及期貨條例》；(客戶證券)和(客戶款項)規則中的定義相同。
Unless otherwise defined, the terms used in this letter shall have the same meanings as in the Securities and Futures Ordinance, (Client Securities) Rules and (Client Money) Rules as amended from time to time.

客戶款項常設授權
Client Money Standing Authority

客戶款項的常設授權範圍包括貴公司在香港代表本人/ 吾等開立的一個或多個獨立帳戶中持有或收到的款項 (包括因持有任何 (不屬於貴公司的) 款項所獲取的利息) (「款項」)。

The Client Money Standing Authority covers money held or received by the Company in Hong Kong (including any interest derived from the holding of the money which does not belong to the Company) in one or more segregated account(s) on my/ our behalf ("Monies").

本人/ 吾等授權貴公司：
I/ We authorize the Company to:

- (a) 將貴公司或貴公司集團任何成員 (定義見不時修訂的貴公司的標準條款及細則) 單獨或與他人共同維持的任何性質的任何或所有獨立帳戶合併或綜合。貴公司可將款項的任何款額轉給其他獨立帳戶或在獨立帳戶之間相互轉帳，以結清本人/ 吾等對貴公司或貴公司集團任何成員負有的債責 (定義見不時修訂的貴公司的標準條款及細則)，而該帳戶為一個獨立帳戶；
combine or consolidate any or all segregated accounts, of any nature whatsoever and either individually or jointly with others, maintained by the Company or any of the Company's Group Members (as defined in the Company's Standard Terms and Conditions as amended from time to time) and the Company may transfer any sum of Monies to and between such segregated account(s) to satisfy my/ our Liabilities (as defined in the Company's Standard Terms and Conditions as amended from time to time) to the Company or any of the Company's Group Members and that account is a segregated account;
- (b) 貴公司或貴公司集團的任何成員可將款項的任何款額任何時間維持的獨立帳戶之間轉入轉出以結清本人/ 吾等對貴公司或貴公司集團成員負有的債責；
set-off or transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by the Company or any of the Company's Group Members towards satisfaction of any of the Liabilities to the Company or any of the Company's Group Members;
- (c) 將本人/ 吾等在任何時間在貴公司集團任何成員維持的帳戶不時的任何資金轉入「帳戶」(定義見不時修訂的貴公司的標準條款及細則) 和/ 或本人/ 吾等在任何時間在貴公司集團任何成員維持的任何其他帳戶；和
transfer any funds standing from time to time in any account maintained at any time by me/ us with any of the Company's Group Member to the Account (as defined in the Company's Standard Terms and Conditions as amended from time to time) and/ or to any other account maintained at any time by me/ us with any of the Company's Group Member; and
- (d) 將貴公司在香港為本人/ 吾等持有或收到的款項轉入香港以外的帳戶。
transfer our Monies held or received by you in Hong Kong to an account outside Hong Kong.

客戶證券常設授權
Client Securities Standing Authority

客戶證券的常設授權事關按下述方式處理客戶的證券或證券抵押品：
The Client Securities Standing Authority is in respect of the treatment of the Client's securities or securities collateral as set out below.

本人/ 吾等授權貴公司：
I/ We authorize the Company to:

- (a) 根據證券借貸協議使用本人/ 吾等的證券或證券抵押品；
apply any of my/ our securities or securities collateral pursuant to a securities borrowing and lending agreement;
- (b) 將本人/ 吾等的任何證券抵押品存放於一認可財務機構，作為提供予貴公司的財務通融的抵押品；
deposit any of my/ our securities collateral with an authorized financial institution as collateral for financial accommodation provided to the Company;
- (c) 將本人/ 吾等的任何證券抵押品存放於香港中央結算有限公司，作為解除貴公司在交收上的義務和清償貴公司在交收上的法律責任的抵押品。本人/ 吾等明白，香港中央結算有限公司將在貴公司的義務和責任範圍內對客戶的證券享有第一固定抵押權；
deposit any of my/ our securities collateral with HKSCC as collateral for the discharge and satisfaction of the Company's settlement obligations and liabilities. I/ We understand that HKSCC will have a first fixed charge over the Client's securities to the extent of the Company's obligations and liabilities;

- (d) 將本人/ 吾等的任何證券抵押品存放於任何其他認可結算所或另一獲發牌或獲註冊進行證券交易的中介人，作為解除貴公司在交收上的義務和清償貴公司在交收上的法律責任的抵押品；和
deposit any of my/ our securities collateral with any other recognized clearing house, or another intermediary licensed or registered for dealing in securities, as collateral for the discharge and satisfaction of the Company's settlement obligations and liabilities; and
- (e) 若貴公司在進行證券交易的過程中向本人/ 吾等提供財務通融；和在貴公司獲發牌或獲註冊進行的任何其他受規管活動的過程中向本人/ 吾等提供財務通融，可按照以上 (a)、(b)、(c) 和/ 或 (d) 款運用或存放本人/ 吾等的任何證券抵押品。
apply or deposit any of my/ our securities collateral in accordance with Clauses (a), (b), (c) and/ or (d) above if the Company provides financial accommodation to me/ us in the course of dealing in securities and also provides financial accommodation to me/ us in the course of any other regulated activity for which the Company is licensed or registered.

本人/ 吾等確認並同意，貴公司可不通知本人/ 吾等而從事任何上述事項。

I/ We acknowledge and agree that the Company may do any of the things set out above without giving me/ us notice.

本人/ 吾等確認：

I/ We also acknowledge that:

- (a) 客戶款項常設授權是在不影響貴公司或貴公司、集團的任何成員就處理獨立帳戶中的款項可能有的其他授權或權利情況下授予的；和
the Client Money Standing Authority is given without prejudice to other authorities or rights which the Company or any of the Company's Group Members may have in relation to dealing in Monies in the segregated accounts; and
- (b) 客戶證券常設授權不應影響貴公司行使權利處置或貴公司聯係實體行使權利處置本人/ 吾等的證券或證券抵押品，以清償本人/ 吾等或代表本人/ 吾等在交收上對貴公司、貴公司聯係實體或第三方負有的任何法律責任。
the Client Securities Standing Authority shall not affect the Company's right to dispose or initiate a disposal by the Company's associated entity of my/ our securities or securities collateral in settlement of any liability owed by or on behalf of me/ us to the Company, the associated entity or a third person.

本人/ 吾等明白，本人/ 吾等的證券可能受某第三方留置權的制約，而貴公司須在清償該等留置權後方可將本人/ 吾等的證券退回。

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

客戶款項常設授權和客戶證券常設授權自本信函之日起有效期 12 個月，但可由本人/ 吾等續期或按照以下提到的客戶款項規則或客戶證券規則 (情況而定) 規定視為續期。

Each of the Client Money Standing Authority and the Client Securities Standing Authority is valid for a period of 12 months from the date of this letter, subject to renewal by me/ us or deemed renewal under the Client Money Rules or Client Securities Rules (as the case may be) referred to below.

客戶款項常設授權和客戶證券常設授權可按帳戶開表格載明的貴公司地址或貴公司就此目的可能書面通知本人/ 吾等的其他地址，以標明結算部為收件人的書面通知方式撤銷。通知在貴公司實際收到通知之日後 30 日屆滿時生效。

Each of the Client Money Standing Authority and the Client Securities Standing Authority may be revoked by giving the Company written notice addressed to the Settlement Department at the Company's address specified in the Account Opening Form or such other address which the Company may notify me/ us in writing for this purpose. Such notice shall take effect upon the expiry of 30 days from the date of the Company's actual receipt of such notice.

本人/ 吾等明白，倘若貴公司在客戶款項常設授權和客戶證券常設授權有效期屆滿前最少 14 日向本人/ 吾等發出有關授權將被視為續期的書面提示，而本人/ 吾等對於在有關授權的期限屆滿前以此方式將該授權延續不表示反對，則客戶款項常設授權和客戶證券常設授權將會在沒有本人/ 吾等書面同意下被視為已續期。

I/ We understand that each of the Client Money Standing Authority and the Client Securities Standing Authority shall be deemed to be renewed on a continuing basis without my/ our written consent if the Company issues me/ us a written reminder at least 14 days prior to the expiry date of the relevant authority, and I/ we do(es) not object to such deemed renewal before such expiry date.

已經向本人/ 吾等解釋本函的內容，並且本人/ 吾等理解本函的內容。

This letter has been explained to me/ us and I/ we understand and agree with the contents of this letter.

個人/ 聯名帳戶
Individual/ Joint Account

公司帳戶
Corporate Account

✍

✍

客戶簽署：個人/ 聯名帳戶持有人
Signed by client: Individual/ Joint Account Holder
客戶姓名
Name of Client:
日期
Date:

授權代表簽署及公司蓋章
Authorized Signatory and Company Chop
客戶姓名
Name of Client:
日期
Date: