

金裕富證券有限公司 "金裕富證券"
Golden Rich Securities Limited "GRS"
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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

(如適用請加 "✓" Please "✓" as appropriate)

客戶資料表格 (公司帳戶)
Customer Information Statement (Company Account)

<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 Company	<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

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 _____ 註冊地點 _____
Date of Incorporation _____ Place of Incorporation _____

註冊證書編號 _____ 商業登記編號 _____
Certificate of Incorporation No. _____ Business Registration No. _____

業務性質 _____ 電話號碼 _____ 傳真號碼 _____
Nature of Business _____ Tel. No. () _____ 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

➤ 客戶確認使用電子交易服務及同意和了解協議書條款附錄 3 之內文及香港證監會持牌人操守準則第 18 條有關電子交易之條文。金裕富證券將不會對因通訊設施之故障或傳送失靈，或非金裕富證券控制範圍或預測之任何其他原因所造成傳送或收取資訊之延誤負責。
The Client undertakes electronic trading as the trading method and understand and agrees to be bounded by the terms and condition-Appendix 3 and the electronic regulation as stated in Section 18 of the Code of Conduct of the HKSF. GRS will not be responsible for any delays, technical errors, incorrect transmission, failure of the communication equipment or incompleteness transmission, breakdown or the transmission malfunction because of the communication facility, either beyond GRS control or any other reasons

第 2 部份 - 董事資料

Section 2 - Particulars of Directors

姓名 Name	身份證/ 護照號碼 ID/ Passport No.	居住地址 Residential Address
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

姓名 Name

持股比例 Shareholding Percentage (%)

居住地址 Residential Address

第4部份 - 公司之財務概況、投資經驗及目標

Section 4 - Company Financial Profile, Investment Experience and Objective

財務概況			
法定股本 (港幣) Authorized Capital (HKD)		發行股本 (港幣) Paid-up Capital (HKD)	
淨資產值 (港幣) Net Asset Value (HKD)		除稅後盈利 (港幣) Profit after Tax (HKD)	

投資目標 Investment Objectives	投資經驗 Investment Experience				
<input type="checkbox"/> 投機 Speculation <input type="checkbox"/> 對沖 Hedging <input type="checkbox"/> 短線 Short Term <input type="checkbox"/> 中線 Medium Term <input type="checkbox"/> 長線 Long Term	股票 Shares <input type="checkbox"/> 沒有 No <input type="checkbox"/> 少於一年 < 1 year <input type="checkbox"/> 一至五年 1 - 5 years <input type="checkbox"/> 六至十年 6 - 10 years <input type="checkbox"/> 多於十年 > 10 years	牛熊證 CBBC <input type="checkbox"/> 沒有 No <input type="checkbox"/> 少於一年 < 1 year <input type="checkbox"/> 一至五年 1 - 5 years <input type="checkbox"/> 六至十年 6 - 10 years <input type="checkbox"/> 多於十年 > 10 years	衍生權證 (窩輪) Warrants <input type="checkbox"/> 沒有 No <input type="checkbox"/> 少於一年 < 1 year <input type="checkbox"/> 一至五年 1 - 5 years <input type="checkbox"/> 六至十年 6 - 10 years <input type="checkbox"/> 多於十年 > 10 years	期貨 Futures <input type="checkbox"/> 沒有 No <input type="checkbox"/> 少於一年 < 1 year <input type="checkbox"/> 一至五年 1 - 5 years <input type="checkbox"/> 六至十年 6 - 10 years <input type="checkbox"/> 多於十年 > 10 years	期權 Options <input type="checkbox"/> 沒有 No <input type="checkbox"/> 少於一年 < 1 year <input type="checkbox"/> 一至五年 1 - 5 years <input type="checkbox"/> 六至十年 6 - 10 years <input type="checkbox"/> 多於十年 > 10 years

根據證券及期貨事務監察委員會持牌人或註冊人操守準則第 5.1A 的要求，本公司在執行認識你的客戶程序時，需評估客戶對衍生工具的認識，並根據客戶對衍生工具的認識將客戶分類及索取有關資料（除第 15 段專業投資者操守準則外）。

Under paragraph 5.1A of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission, GRS should, as part of the know your client procedures, assess a client's knowledge of derivatives and characterize the client (other than professional investors for the purpose of paragraph 15 of the Code of Conduct) based on such knowledge and obtain the relevant information.

評估客戶對衍生產品的認識準則：

Criteria for Assessing a Client's Knowledge of Derivatives Products:

- ☐ 客戶之董事、股東或授權人士曾接受衍生產品的培訓或修讀相關課程
Client's director, shareholder or authorized person has undergone training or attended courses on derivative products
- ☐ 客戶之董事、股東或授權人士現時或過去與衍生產品有關的工作經驗
Client's director, shareholder or authorized person has current or previous work experience related to derivative products
- ☐ 客戶之董事、股東或授權人士曾買賣衍生產品的經驗（如在過去 3 年曾執行過 5 次或以上衍生產品的交易）
Client's director, shareholder or authorized person has prior trading experience in derivative products. (A client will be considered as having knowledge of derivatives if he has executed five or more transactions in any derivative product (whether traded on an exchange or not), within the past three years)
- ☐ 本人/ 我們確認已仔細閱讀及完全明白，由金裕富證券提供，並以本人/ 我們所選擇之語言（英文或中文）的風險披露聲明書內每一項衍生工具產品所附帶的相關風險。本人/ 我們並願意承擔日後執行買賣衍生工具產品的風險。
I/ We acknowledge that I/ We have read and fully understood the details of the Risk Disclosure Statement relates to the risk on derivative product provided by GRS in a language of my/ our choice (English or Chinese). I/ We am/ are willing to accept the risks associated with trading derivative products in the future transactions.

第 5 部份 – 銀行帳戶記錄	Section 5 – Bank Account Record
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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 6 部份 – 客戶個人資料之使用及轉移	Section 6 – Use and Proving Client’s Personal Data to Another Person
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客戶是否已經閱讀及理解《個人資料收集聲明》，並同意個人資料被使用及/ 或轉移予集團其他成員公司用於直接促銷目的？

If the Client has read and understood the <Personal Data Collection Statements> and agreed the personal data to be used by GRS and/ or to be provided to other Group members for direct marketing purpose?

☐ 同意 Yes
 ☐ 不同意 No

第 7 部份 - 其他披露	Section 7 - Other Disclosures
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客戶之任何董事、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 client 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)

客戶與本公司職員/ 董事是否有親戚關係？

Does the Client'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

客戶之任何董事、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 client a staff of GRS?

☐ 否 No
 ☐ 是 Yes
 職員名稱 Name
 職位 Position

客戶上述的任何股東/ 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 Client, the Client'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?

☐ 否 No
 ☐ 是 Yes
 帳戶號碼 Account No
 帳戶名稱 Account Name

客戶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 your Group of Companies, alone or jointly control 35% or more of the voting rights of another financing margin account of GRS?

☐ 否 No
 ☐ 是 Yes
 帳戶號碼 Account No
 帳戶名稱 Account Name

客戶上述的任何股東/ 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 Client, the Client'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?

☐ 否 No
 ☐ 是 Yes
 帳戶號碼 Account No
 帳戶名稱 Account Name

第 8 部份 - 防止洗黑錢/ 恐怖份子籌資	Section 8 - Anti-Money Laundering and Counter-Terrorist Financing
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客戶的任何股東/ 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 Client, the Client'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.)

☐ 否 No
☐ 是，請述明 Yes, please specify :

客戶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 your 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:

客戶資金是否來源於或涉及非法所得？

Is your 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 Client'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 - 客戶確認及協議

Section 9 - Client's Acknowledgement and Agreement

1. 本開戶表的資料均屬真實及正確。除非金裕富證券收到任何客戶資料改變的書面通知，金裕富證券完全可以依靠這些資料及陳述作任何用途。客戶授權金裕富證券可在任何時間聯絡任何人，包括客戶的銀行、經紀等或任何信貸機構，藉以確定及查證本開戶表內的資料。客戶可隨時要求金裕富證券提供個人資料收集聲明副本。

The information contained in this Account Opening Form is true and accurate. GRS is entitled to rely fully on such information and representations for all purposes, unless GRS receives notice in writing of any change. GRS is authorized at any time to contact anyone, including the Client's banks, brokers or any credit agency, for the purpose of verifying the information provided on this Account Opening Form. A copy of GRS's Personal Information Collection Statement is available upon request.

2. 客戶已閱讀過及明白提供的金裕富證券協議書條款而本文件乃該協議書的一部份。所有由客戶與或透過金裕富證券進行之交易均受協議書條款文限制。客戶現申請開立上述類別的帳戶，並同意受可不時被修改或補充的該協議書條款包括其標準條款及細則及有關的附表所約束。客戶確認金裕富證券已按照客戶選擇的語言（中文或英文）獲提供之風險披露聲明書，及已獲邀閱讀該風險披露聲明書、提出問題及徵求獨立的意見（如客戶有此意願）。

The Client has read and understood the provisions of the attached current version of the Client Agreement of GRS, of which this document forms a part. All transactions to be concluded by the Client with or through GRS shall be subject to the terms and conditions of the Agreement. GRS hereby applies to open the above type(s) of account and agree to be bound by the Agreement including its Standard Terms and Conditions and relevant Schedule(s) as the same may be amended or supplemented from time to time. The Client acknowledges and confirms that GRS has provided the Risk Disclosure Statements annexed hereto in a language of client's choice (English or Chinese) and the Client has been invited to read the Risk Disclosure Statements, to ask questions and take independent advice if the Client wishes.

3. 客戶明白並同意接受及遵守客戶協議書內之個人資料收集聲明。

The Client understands and agrees to accept and be bound by the Personal Information Collection Statement of the Agreement.

4. 除已有說明外，本開戶表所指名的申請人持有帳戶及交易的最終實益和最終發出交易指示。

Unless otherwise specify, the Account Holder named in this Account Opening Form is the ultimate beneficial owner and is the person will give instructions of the Account and transaction.

5. 保證金帳戶適用：我們承認並確定我們已經根據保證金客戶協議第 8 條授權金裕富證券處置協議內所定義的款項、證券及證券抵押品，並且我們就該條款的內容已獲得解釋，及我們明白該條款的內容。

For Margin Account: The Client acknowledges and confirms that the Client has authorized GRS to deal with Monies and securities or securities collateral in accordance with Clause 8 of the Margin Account Agreement and the contents of that Clause have been explained to the Client and the Client understands the content of that Clause.

6. 客戶明白客戶提交此開戶表予金裕富證券接納此開戶表並非表示已經同意為客戶開立相關帳戶，金裕富證券保留無條件謝絕客戶開戶申請之權利；如果客戶的申請被拒絕，客戶明白、同意並接受客戶之任何開戶申請文件將不予退回。

The Client understands and agrees application maybe rejected for reasons which are unrelated to the Client and the Client's application and neither GRS nor GRS's agent shall, in the absence of fraud, negligence or willful default, be liable to the Client or any other person in consequence of such rejection and all application documents will not be returned.

7. 我們同意金裕富證券於銷售過程中參考本司於金裕富證券的戶口資料，以便金裕富證券為本公司提供相關投資產品/ 服務及/ 或投資相連保險資料。

The Client provides consent for GRS to make reference to our account information maintained with GRS during the sales process in order to provide me with information in relevant investment product/ service and/ or investment linked insurance.

8. 有關於本開戶表第 4 部 — 客戶對衍生產品的認識，客戶完全明白金裕富證券將基於該部提供之資料以評估客戶是否具有衍生及/ 或結構性產品的基本認識，與及客戶於日後可能需要再次更新及提供該部，以作重新評估。客戶完全明白倘若該部提供之資料不真實、完全及正確，金裕富證券將無法評估本司/ 吾等所要求的服務及/ 或產品之適合性。本司/ 吾等謹此確認及聲明所有於該部提供之資料均屬真實、完全及正確，並承諾於該部提供之資料有變時立即通知金裕富證券。

In connection to Section 4 - Client's Knowledge of Derivative Products, the Client fully understands that GRS will base on the information provided in Section 2 for assessing whether the Client has general knowledge of the derivative and/ or structured products and the Client may be required to complete this section again in future for re-assessment. The Client fully understands that GRS will be unable to assess client's suitability of the requested services and/ or products if the Client fails to provide accurate, true and complete information in this section. The Client hereby confirms and declares that all the information provided in this section is true, complete and accurate and undertake to inform GRS any changes of the information provided in this questionnaire at once.


9. 客戶同意遵守聯交所、香港證券結算有限公司、或其他監管組織對於在前述股票交易所及結算系統或任何其他股票交易所或結算系統上市的證券的買賣作出並不時修訂的監管規則及規例。

The Client agrees to abide by the Rules and Regulations of the Exchange, Hong Kong Securities Clearing Company Limited, or any regulatory bodies from time to time governing the purchase and sale of securities quoted on the aforementioned stock exchanges and clearing system or any other stock exchanges or clearing systems.

10. 除非金裕富證券另以書面表示，否則本開戶表、協議書條款及其他開戶文件將一起構成所有客戶與本公司預期之事宜的全部協議及諒解。本開戶表所用之詞語與客戶協議所定義具相同釋義。
Unless otherwise indicated in writing by GRS, the Account Application form, the Client Agreement and other account opening documents shall together constitute the entire agreement and understanding between the Client and GRS in respect of the matters contemplated under the documents. Terms defined in the terms and condition have the same meanings when used in this account application (save where otherwise expressly provided in this account application).
11. 客戶亦明白風險披露文件可能未申述所有上市衍生產品的風險，客戶在買賣上市衍生產品前將自行作出評估及確定有足夠的淨資產來承擔風險和潛在的損失。
The Client further acknowledges that the Risk Disclosure document may not cover all risks of listed derivative products and the Client shall make his own assessment and ensure that he has sufficient net worth to assume the risks and bear the potential losses before trading in listed derivative products.
12. 客戶承認於成交單據或綜合日結單內顯示的價格，由金裕富證券可能在其認為合適的情況下，就客戶於同一天內購買或售賣（視乎情況而定）的所有同一種類證券，以每個單位的平均價格或每個成交單位的價格來顯示於成交單據或綜合日結單內。客戶收到成交單據或綜合日結單後，應加以核對，如客戶欲以以上另一價格方式顯示於成交單據或綜合日結單，請盡快通知金裕富證券。如金裕富證券未於成交單據或綜合日結單中規定的特定期限內接獲客戶的書面異議，則客戶應被視為已接受該成交單據或綜合日結單所載的編排。
The Client acknowledges that the price quoted in the contract note or daily statement to be provided by GRS may be, at its sole discretion, the average price of the total purchase or sale (as the case may be) or the price per unit for each transaction of securities in the case that there is more than one purchase or sale transaction (as the case may be) of the securities in the account during the same day. The Client shall upon receipt of the contract note or daily statement examine the same and promptly notify GRS in writing if the Client wants such prices to be quoted. Otherwise, if GRS does not receive any written objection from the Client within the period stipulated in the contract note or daily statement, the Client shall be deemed to have accepted the presentation of such contract note or daily statement.

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 witness of the identification proof 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 + 一併遞交，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。 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。 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>	

金裕富證券有限公司的持牌代表人之聲明 Declaration by a licensed representative of Golden Rich Securities Limited 本人，以註冊人身份，確認本人已按照上述客戶所選擇的語言（英文或中文），向客戶提供風險披露聲明，並已邀請客戶閱讀該風險披露聲明，提出問題及徵詢獨立意見（如客戶有此意願）。 I, a registered person, declare that I have provided the above Client with the risk disclosure statements in a language of the Client's choice (English or Chinese) and invited the Client to read the risk disclosure statements, ask questions and take independent advice if the Client wish.	
持牌代表簽署 Licensed representative's signature	持牌代表姓名及（中央編號） Name of Licensed representative's and (CE No.)
X	()
	日期 Date

經由金裕富證券有限公司核准及接納 Approved and Accepted by Golden Rich Securities Limited	
授權簽名 Authorized Signature	授權人姓名 Name of Authorized Person
X	
	日期 Date

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於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

公司帳戶開戶核對表（內部使用） Company 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)
	電話 Terminal	利率 Interest	P+ %

文件清單 Document Checklist	
開戶文件 Account Opening Document	<input type="checkbox"/> 已簽署之開戶表格 Signed copy of Account Opening Form <input type="checkbox"/> 持牌人士開戶同意書 Licensed Person Consent Letter <input type="checkbox"/> 第三方操作授權書 3rd party Authorization Application
證明文件 Certificate Document	<p>獨資經營/ 合夥經營 Sole Proprietor/Partnership</p> <input type="checkbox"/> 經認證之授權簽署人之身份證或護照副本 Certified Copy of ID Card or Passport of authorized signatory(ies) <input type="checkbox"/> 經認證之商業登記證副本 (如適用) Certified Copy of valid Business Registration Certificate (if applicable) <input type="checkbox"/> 經認證最近期之財務報表副本 Certified Copy of the Latest Financial Statement <input type="checkbox"/> 客戶提交由客戶名下於香港註冊銀行開設的賬戶所發出不少於 HK\$10,000 的支票 (如適用) Initial deposit cheque in the amount not less than HK\$10,000 bearing the Client's name as shown in HKID Card issued by the Client and drawn on the Client's account with a licensed bank in Hong Kong) (if applicable) <input type="checkbox"/> W-8BEN 表格 Form W-8BEN <input type="checkbox"/> W-9 表格 (如適用) Form W-9 (if applicable)
	<p>法人團體/ Corporation</p> <input type="checkbox"/> 經認證之董事會決議摘要 Certified extract of Board Resolution <input type="checkbox"/> 經認證之董事及授權簽署人之身份證或護照副本 Certified Copy of ID Card or Passport of Director(s) and authorized signatory(ies) <input type="checkbox"/> 董事名單及股東名單之副本 Copy of Director List and Shareholder List <input type="checkbox"/> 經認證之公司註冊證書副本 Certified Copy of Certificate of Incorporation <input type="checkbox"/> 經認證之商業登記證副本 (如適用) Certified Copy of valid Business Registration Certificate (if applicable) <input type="checkbox"/> 經認證之組織章程大綱及細則副本 Certified Copy of Memorandum and Articles of Association <input type="checkbox"/> 經認證最近期之已審核年報副本 Certified Copy of the Latest Audited Accounts <input type="checkbox"/> 其海外註冊代理人之證書及海外公司註冊官簽發的信譽證書及經認證有關的董事委任記錄 (適用於海外公司) Registered Agent's Certificate and Certificate of Good Standing from the Registrar of Companies of the country of incorporation and the certified relevant pages of the statutory book evidencing appointment of the directors (applicable to oversea company) <input type="checkbox"/> W-8BEN 表格 Form W-8BEN <input type="checkbox"/> W-9 表格 (如適用) Form W-9 (if applicable)

Prepared by	Checked by	Approved by	Input by	Checked by

**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"/> Excepted inter-affiliate FFI. Complete Part XXVII.																																							
	<input type="checkbox"/> Direct reporting NFFE.																																							
	<input type="checkbox"/> Sponsored direct reporting NFFE. Complete Part XXVIII.																																							
	<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.

第 3 部份 - 帳戶持人居留司法管轄區及稅務編號或具有等同功能的識別編號 (以下簡稱「稅務編號」)

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

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

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

如帳戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。如沒有提供稅務編號，必須填寫合適的理由：

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. If a TIN is unavailable, provide the appropriate reason A, B or C:

理由 A 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

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

理由 B 帳戶持有人不能取得稅務編號。如選取這一理由，請解釋帳戶持有人不能取得稅務編號的原因。

Reason B The account holder is unable to obtain a TIN. Please explain why the account holder is unable to obtain a TIN if you have selected this reason.

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

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	

第 4 部份 - 帳戶持有人聲明及簽署

Section 4 - Declarations and Signature of Account Holder

本人/公司知悉及同意，金裕富根據《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文，收集本表格所載資料並可備存作自動交換財務帳戶資料用途及把該等資料和關於本人/公司及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到本人/公司的居留司法管轄區的稅務當局。

I/our entity acknowledge and agree that the information contained in this form is collected and may be kept by GRSL for the purpose of automatic exchange of financial account information, and such information and information regarding the client and any reportable account(s) may be reported by GRSL to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the client may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

本人/公司證明，就與本表格所有相關的帳戶，本人/公司是帳戶持有人。


I/our entity certify that I am/ we are the account holder of all the account(s) to which this form relates.

本人/公司承諾，如有任何更改有關納稅居住地資料或有任何資料有所改變，本人/公司會在情況發生改變後 30 日內，向金裕富提交一份已適當更新的自我證明表格。

I/our entity undertake to advise GRSL of any change in circumstances which affects the tax residency status of the individual/ entity identified in this form or causes the information contained herein to become incorrect, and to provide to GRSL with a suitably updated self-certification form within 30 days of such change in circumstances.

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

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

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.

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

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

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. If a TIN is unavailable, provide the appropriate reason A, B or C:

Reason A	The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.
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Reason B The account holder is unable to obtain a TIN. Please explain why the account holder is unable to obtain a TIN if you have selected this reason.

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.

第 8 部份 - 控權人聲明及簽署

Section 8 - Declarations and Signature of Controlling Person

I acknowledge and agree that the information contained in this form is collected and may be kept by GRSL for the purpose of automatic exchange of financial account information, and such information and information regarding the client and any reportable account(s) may be reported by GRSL to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the client may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

I certify that I am/ our entity is the controlling person of all the account(s) to which this form relates.

I/ our entity undertake to advise GRSL of any change in circumstances which affects the tax residency status of the individual/ entity identified in this form or causes the information contained herein to become incorrect, and to provide to GRSL with a suitably updated self-certification form within 30 days of such change in circumstances.

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.

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(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: