

Client Account No. 賬戶號碼 _____

Account Name 賬戶名稱 _____



Corporate Client

公司客戶

9/F Sang Woo Building, 227-228 Gloucester Road, Wanchai, Hong Kong

香港灣仔告士打道227-228號生和大廈9樓

Tel 電話: (852) 2950 9999

Fax 傳真: (852) 2950 4444

Web-site 網址: www.ruibang.com.hk

Client Information Form – Corporate Account

客戶資料表格 公司賬戶

Company Information 公司資料				
<input type="checkbox"/> Cash Securities Trading Account 現金證券交易賬戶		<input type="checkbox"/> Margin Securities Trading Account 保證金證券交易賬戶		
Electronic Securities Trading Execution 電子證券交易執行指示:		<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否		
Name of Company (English and Chinese) 公司名稱 (英文及中文)				
Account Name (if different from "Company Name") 賬戶名稱 (如有別於公司名稱)				
Business Registration No. in Hong Kong 香港商業登記號碼		Date and Country of Incorporation 註冊日期及國家		
Certificate of Incorporation No. 註冊成立證書號碼		Nature of Business 業務性質		
Address of Registered Office in Country of Incorporation 在成立國家之註冊地址				
Flat, Floor, Building 單位, 樓層, 大廈		Estate, Street 屋苑, 街道		
District 地區	City 城市		Country 國家	
Correspondence Address (if different from Registered Office Address) 通訊地址 (如有別於註冊地址)				
Flat, Floor, Building 單位, 樓層, 大廈		Estate, Street 屋苑, 街道		
District 地區	City 城市		Country 國家	
Business Phone No. 辦事處電話	Email Address 電郵地址	Fax No. 傳真號碼	Contact Person 聯絡人	Contact Person Phone No. 聯絡人電話
Select your language 選擇語言 <input type="checkbox"/> 繁體 <input type="checkbox"/> 簡體 <input type="checkbox"/> English				
Communication Method (for issuance of Daily / Monthly Statements) 通訊方式 (用作發送日 / 月結單)				
<input type="checkbox"/> Post 郵寄 (Post to Correspondence Address with fee of \$50 per statement + postage) (郵寄至通訊地址, 每份結單為港幣50元正, 另加郵費)				
<input type="checkbox"/> Email 電郵				

Bank Details 銀行詳情 (For Fund Withdrawal Only 只供提款之用)			
Currency 貨幣	Name of Bank 銀行名稱	Account Name 賬戶名稱	Account No. 賬戶號碼
HKD 港元			
CNY 人民幣			
USD 美金			

Corporate Structure 公司結構		
Particular of major shareholders whose shareholding is 10% or above (Not applicable to Public Listed Companies)		
持有百分之十或以上股權的主要股東資料 (上市公司除外)		
<u>Name(s) of Shareholder</u> 股東名稱	<u>Address</u> 地址	<u>% of Shareholding</u> 所持股份
1. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____
4. _____	_____	_____
(If there is insufficient space to complete, please continue on a separate sheet. 如空位不敷應用, 請另加紙填寫。)		

Corporate Structure 公司結構**Particular of Directors of the Company 公司董事資料**

Name(s) of Directors 董事名稱 Address 地址

1. _____
2. _____
3. _____

(If there is insufficient space to complete, please continue on a separate sheet. 如空位不敷應用，請另加紙填寫。)

Authorized Person(s) 獲授權人

The following person(s) is/are authorized on behalf of the Company to give written and /or oral instructions in relation to the trading of the account

本公司授權以下人士以書面和 / 或口頭指示在本賬戶進行交易事宜

Name (English and Chinese) 姓名 (英文及中文)	HKID No. / Passport No. and Country of Issue 香港身份證 號碼 / 護照號碼及簽發國家	Contact Phone Number 聯絡電話號碼	Specimen Signature 授權簽名式樣
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1. _____
2. _____
3. _____

(If there is insufficient space to complete, please continue on a separate sheet. 如空位不敷應用，請另加紙填寫。)

Please attach a Letter of Authorization and an Information Statement of the Authorized Person for each of the Authorized Person(s) mentioned above. 請就上述每位獲授權人附上授權書及獲授權人資料表。

In order to comply with Section 5.1 (a) of Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission, please complete the following question

請提供以下資料以便遵守證券及期貨事務監察委員會持牌人或註冊人操守準則之第 5.1(a)項要求

1. Financial Background of the Company 公司財務狀況

i) Paid-up Capital 繳足資本:

a) No. of issued share capital 已發行股份數目 _____

b) 每股 _____ /each share

ii) Net Asset Value (in HK\$) 資產淨值 (以港幣計算)

☐ ≤ \$10,000,000 ☐ > \$10,000,000 - \$20,000,000 ☐ > \$20,000,000 - \$40,000,000 ☐ > \$40,000,000

iii) Any Latest Financial Accounts Record provided? 有否提供最近的財務賬目記錄?

☐ Yes 有 ☐ No 沒有

2. Investment Objectives & Experience 投資目標及經驗

i) Investment Objectives 投資目標

- ☐ Dividend Income 股息收入 ☐ Capital Appreciation 資本增值 ☐ Hedging 對沖
- ☐ Speculation 投機 ☐ Others (Please specify) 其他 (請說明): _____

ii) Investment Experience 投資經驗

- ☐ Securities 證券 (Year(s) 年資: _____) ☐ Futures & Options 期貨及期權 (Year(s) 年資: _____)
- ☐ Callable Bull / Bear Contracts (CBBC) 牛熊證 (Year(s) 年資: _____) ☐ Bonds 債券 (Year(s) 年資: _____)
- ☐ Derivative Warrants 衍生權證 (窩輪) (Year(s) 年資: _____) ☐ Funds 基金 (Year(s) 年資: _____)
- ☐ Exchange Traded Funds (ETF) 交易所買賣基金 (Year(s) 年資: _____)
- ☐ Others (Please specify) 其他 (請說明) _____ (Year(s) 年資: _____)

3. Risk Tolerance and Client Investment Interest 可承受風險及客戶投資意向	
Risk Tolerance 可承受風險 (只填選一項 one item only)	Client Investment Interest 客戶投資意向 (one or more item(s) 可選多項) Please tick the below product(s) if you have interest in trading of: 請選擇以下有意欲交易之產品:
<input type="checkbox"/> Aggressive 高	<input type="checkbox"/> Derivative Warrants / Callable Bull / Bear Contracts 衍生權證(窩輪) / 牛熊證 <input type="checkbox"/> ETFs / Trust 交易所買賣基金 / 信託基金 <input type="checkbox"/> Shanghai Connect Stock 滬股通股票 (請附上中華通北向交易個人資料收集聲明同意書) <input type="checkbox"/> Shenzhen Connect Stock 深股通股票 (請附上中華通北向交易個人資料收集聲明同意書) <input type="checkbox"/> Global Securities 環球證券 <input type="checkbox"/> GEM <input type="checkbox"/> Main Board 主板
<input type="checkbox"/> Moderate 中	<input type="checkbox"/> ETF / Trust 交易所買賣基金/信託基金 <input type="checkbox"/> GEM <input type="checkbox"/> Main Board 主板
<input type="checkbox"/> Conservative 低	<input type="checkbox"/> Main Board 主 板

Client's Knowledge of Derivatives and Trading Experience 客戶對衍生工具產品的認識及投資經驗	
My knowledge of derivative products are as followed: 對衍生產品的認識如下: <input type="checkbox"/> I understand the nature and risks of derivative products by: 本人經以下途徑了解衍生產品的性質和風險: <input type="checkbox"/> I have undergone training or attended courses on derivative products (Please provide certificate or related supporting documents) 本人已接受有關介紹一般衍生產品之性質及風險的培訓或課程 (請提供證書或相關之證明文件) Name of Courses / Seminars 課程 / 研討會名稱: _____ Organizer 主辦機構: _____ Yr of Participation 參與年份: _____ <input type="checkbox"/> I have current or previous work experience related to derivative products (Please provide job proof: reference letter or name card etc.) 本人現時擁有或過去曾擁有與衍生產品有關之工作經驗 (請提供工作證明文件, 如推薦信, 卡片等) Name of employer 公司名稱: _____ Position 職位: _____ <input type="checkbox"/> I have executed five or more transactions in derivative products within the past three years 本人曾於過去三年內曾執行過五次或以上有關衍生產品之交易 Product(s) invested 曾交易產品: <input type="checkbox"/> CBBC 牛熊證 <input type="checkbox"/> Derivative Warrants 衍生權證(窩輪) <input type="checkbox"/> ETF 交易所買賣基金 <input type="checkbox"/> Others 其他: _____ <input type="checkbox"/> I do NOT have any knowledge of derivative products. 本人對衍生產品沒有認識。	
Assessment Result (For Official Use Only) 評估結果 (只供本公司使用)	<input type="checkbox"/> With knowledge of derivatives 對衍生產品有認識 <input type="checkbox"/> Without knowledge of derivatives 對衍生產品沒有認識 <input type="checkbox"/> Client has fully understood the relevant risks of the derivative product(s) enclosed herewith and wish to trade derivative product(s) 客戶已明白衍生產品所附帶的相關風險, 並有意進行衍生產品交易

Identity of Persons Ultimately Responsible for Originating the Instructions in relation to a Transaction 最終負責發出交易指示人士的身份
Details of the person who is ultimately responsible for originating the instructions in relation to a transaction are as below: 最終負責發出交易指示人士資料如下: Name 姓名 _____ HKID/Passport No. 香港身份證/護照號碼 _____ Address 地址 _____ Occupation 職業 _____ Relationship between the Account Holder(s) and the person who is ultimately responsible for originating the instructions in relation to a transaction 賬戶持有人與最終負責發出交易指示人士之關係 _____

Identity of Ultimate Beneficial Owner(s) of the Account 賬戶最終實益擁有人身份

The ultimate beneficial owner(s) who stand(s) to gain the commercial or economic benefit of the transaction and/or bear its commercial or economic risk 將會從交易取得商業或經濟利益及/或承擔其商業或經濟風險之最終實益擁有人

Name 姓名 _____ HKID/Passport No. 香港身份證/護照號碼 _____

Address 地址 _____ Occupation 職業 _____

Relationship between the Account Holder(s) and the ultimate beneficial owner

賬戶持有人與最終實益擁有人之關係 _____

Disclosure of Identity 身份披露

“Relevant Person” means the shareholders/directors of the Client, the Client’s authorized persons, the person ultimately responsible for giving instructions for the Account(s) or the ultimate beneficial owner(s) of the Account(s)

「相關人士」意思為客戶公司的股東/董事、客戶的獲授權人、最終負責就賬戶發出指示的人士或賬戶最終實益擁有人。

1. Is any of the Relevant Person a director, an employee or a representative of any intermediary under the Securities and Futures Ordinance? 客戶的任何「相關人士」是否為《證券及期貨條例》之下任何中介人的董事、僱員或代表?

☐ No 否

☐ Yes*, please specify the name of the Relevant Person 是*，請列出相關人士的名稱 _____

Name of the intermediary 中介人名稱 _____

Position held at intermediary 在中介人處擔任的職位 _____

(*Please attach a consent letter of account opening from the intermediary. 請附上該中介人發出之開戶同意書。)

2. Is any of the Relevant Person, a relative of any employee of Ruibang Securities Limited?

客戶的任何「相關人士」是否與瑞邦證券有限公司之任何職員有親屬關係?

☐ No 否

☐ Yes, please specify the name of the Relevant Person 是，請列出相關人士的名稱 _____

Name of the employee 是，請列出該職員名稱 _____

Relationship with employee 與該職員之關係 _____

3. Is any of the Relevant Person, a senior management officer or director of any (listed) company whose shares are traded on any exchange or market? 客戶的任何「相關人士」是否任何其股份在交易所或市場買賣的(上市)公司之高級管理或董事?

☐ No 否

☐ Yes, please specify the name of the Relevant Person 是，請列出相關人士的名稱 _____

Company name, stock code 公司名稱及代號 _____

Position held at listed company 在上市公司擔任的職位 _____

4. Is any of the Relevant Person and/or your spouse, partner, child, parent, spouse or partner of your child, or your close associate entrusted or has been entrusted with a prominent public function, which includes a head of state, head of government, judicial or military official, and an important political party official?

客戶的任何「相關人士」或/及其之配偶、伴侶、子女、父母、子女的配偶或伴侶或與閣下關係密切的人，是否擔任或曾擔任重要公職，包括國家元首、政府首長、及重要政黨幹事?

☐ No 否

☐ Yes, please specify the name of the Relevant Person 是，請列出相關人士的名稱 _____

5. Is any of the Relevant Person, a Citizen of the UNITED STATES?

客戶的任何「相關人士」是否為美國公民?

☐ No 否

☐ Yes, please specify the name of the Relevant Person 是，請列出相關人士的名稱 _____

Related Margin Account 關連保證金賬戶

Does the Client control 35% or more of the voting rights of a company which is a margin client of Ruibang Securities Limited?
客戶是否控制另一間公司 35% 或以上投票權，而該公司是瑞邦證券有限公司的保證金客戶？

☐ No 不是 ☐ Yes 是 Name of that margin client 該保證金客戶名稱：

Is any member of your group companies a margin client of Ruibang Securities Limited?

客戶是否有任何同一集團公司是瑞邦證券有限公司的保證金客戶？

☐ No 不是 ☐ Yes 是 Name of that margin client 該保證金客戶名稱：

Important Note For Margin Account 重要提示 (保證金賬戶)

Standing Authority: I/We hereby acknowledge and confirm that I/we have authorized the Company to deal with my/our monies, securities and securities collateral in accordance with the standing authorities as set out in the Agreement and the relevant provisions in relation to such standing authorities have been explained to me/us and I/we fully understand the contents of such provisions.

常設授權：本人我們謹此承認並確認本人 我們已經授權貴公司根據該協議中所載的常設授權處置本人 我們的款項、證券及證券抵押品，而貴公司已向本人 我們解釋有關該等常設授權的條款及條件，及本人 我們完全明白該等條款及條件的內容。

The company has practice to repledge clients' securities collateral. Margin trading is classified as high risk investment. Please ensure you understand the nature of margin trading and carefully consider in light of your experience, objective, financial resources and the extent of your exposure to risk before signing this Account Opening Form.

本公司會再質押客戶證券抵押品。保證金買賣定性為高風險投資，閣下必須確保已了解保證金買賣的特性，仔細權衡閣下的投資經驗、目標、財政狀況及所能承擔的風險後，方簽署此賬戶開立表格。

Electronic Securities Trading Execution 電子證券交易執行指示

(For Electronic Securities Trading Service Account Application(s) Only 只適用於使用電子證券交易申請者填寫)

- ☐ Cash Account 現金賬戶 ☐ Electronic Securities Trading Service 電子證券買賣服務
- ☐ We declare that we want to use the Electronic Securities Trading Service. We have read, understand and accepted the provisions of the Electronic Securities Trading Agreement as set out in the Standard Terms and Conditions of Ruibang Securities Limited and we agree to be bound by the same. 本公司聲明欲使用電子證券交易服務，本公司已經閱讀，明白並接受瑞邦證券有限公司標準章程中，所載之《電子證券交易協議書》的條款，並同意這些條款的約束。

For Official Use Only 此部份由本公司填寫

Declaration by Staff 職員聲明

I, the undersigned, have provided the Client Account Agreement and Risk Disclosure Statements in a language of the Client's choice and have fully explained the contents of which to the Client. I have invited the Client to read the Risk Disclosure Statements (including any additional risk disclosure statements), ask questions and seek independent advice if the Client wishes.

Staff Name 職員姓名 _____ Signature 簽署 _____ CE No. 中央編號 _____

Name of AE 客戶主任姓名	Brokerage 佣金	Trading Limit 交易限額
Input By 文件輸入	Checked by 文件查核	Approved by 批准

SIGNATURE AND ACKNOWLEDGEMENT

簽署及確認

I/We declare and acknowledge that 本人 / 吾等聲明及承認:

1. I/We confirm that all information written on the Client Information Form is true, complete and correct, and that your company is entitled to rely fully on such information and representations for all purposes, unless you receive notice in writing of any change. You are authorized at any time to contact anyone, including my banks, brokers or any credit agency, for purposes of verifying the information provided in this application. 本人 / 吾等確認客戶資料表所載之資料乃真實、完整及正確，除非 貴公司接獲關於任何變更的書面通知，否則 貴公司有權就一切目的全面信賴該等資料及聲明。貴公司獲授權隨時聯絡任何人士，包括本人的銀行、經紀或任何信用調查機構，以查對此申請表所提供之資料。
2. I/We declare that I/we have the necessary power and authority to carry out the Agreement in all aspects without limitation. 本人 / 吾等聲明本人 / 吾等擁有所需之能力和權力無限制地去執行本合約的各方面。
3. The natural person signing the Agreement at the place provided for signature of the Client as well as all persons (if any) signing the Agreement purportedly on behalf of the Client jointly and severally warrant that such signatory(ies) has/have full authority to enter into the Agreement on behalf of the Client and that the Agreement shall bind the Client as a corporation in all respect and shall indemnify and save the Broker harmless from all losses arising out of or in connection with the Agreement in the event of any breach of this warranty. 本合約內在客戶簽署之位置上簽署的人士或所有代表客戶簽署合約的人士，在此共同地和各別地保證該簽署人擁有所需權力去代表客戶簽署客戶合約，本合約將對公司客戶具約束力，如本保證被違反而經紀因本合約招致損失或遭受與本合約有關的損失，上述簽署人應彌償經紀並使其不受損害。
4. Any of the above mentioned authorized signer is hereby authorized individually, without counter-signature or co-signature to deal with the Broker on behalf of the Client and specifically but without limitation to the following: 任何上述之獲授權簽署者特此個別地獲得授權，在毋須加簽或同簽的情況下，代表客戶透過經紀進行交易，具體地包括但不限於下列各項：
 - to buy, sell and otherwise through the Broker deal in securities; 買賣證券或透過經紀以其他方式進行證券交易;
 - to receive on behalf of the Client demands, notices, confirmations, reports, statements of accounts and communications of every kind; 代表客戶收取各種要求書、通知、確認書、報告、賬戶結單和通訊;
 - to receive on behalf of the Client money, securities and property of every kind, and to dispose of the same; 代表客戶收取和變賣款項、股票和任何財物;
 - to make on behalf of the Client any agreement relating to any of the foregoing matters and to terminate or modify the same or waive any of the provisions thereof; and 代表客戶就上述任何事宜作出任何協議，終止或修改該協議或免除其任何條款; 及
 - generally to deal with the Broker on behalf of the Client. 代表客戶一般地與經紀進行交易。
5. I/We have read and accepted the terms and conditions of the Agreement relating to trading in securities. I/We confirm my/our understanding of the terms and conditions of the Agreement, the Risk Disclosure Statement as set out in the Agreement and the contents of the Agreement relating to trading in securities have been duly explained to me/us in a language that I/we understand. 本人 / 吾等已詳閱並同意本合約內有關證券買賣的條款及細則。本人 / 吾等確認本人 / 吾等明白本合約內的條款及細則，以及本合約列明的風險披露聲明書，而本合約中有關證券買賣的內容已按本人 / 吾等明白的語言向本人 / 吾等解釋清楚。
6. I/We declare that I/we have been advised to read the terms and conditions of the Agreement, the Risk Disclosure Statement and the Personal Data (Privacy) Ordinance Circular carefully, ask questions and take independent advice if I/we wish. 本人 / 吾等聲明本人 / 吾等已被建議詳細閱讀本合約的條款及細則、風險披露聲明書和個人資料(私隱)條例通告，並可據本人 / 吾等意欲提出問題或尋求獨立意見。
7. I/We have carefully considered the Risk Disclosure Statement and the Disclaimers, and I/we recognize that trading in securities involves a high degree of risk. Considering my/our financial position and investment objective, I/we confirm that I/we am/are financially able to assume such risks and to sustain any losses resulting from such trading and voluntarily confirm that trading in securities is a suitable trading vehicle for me/us. 本人 / 吾等已仔細考慮風險披露聲明書及免責聲明，及本人 / 吾等了解進行證券買賣所涉及之高風險。考慮到本人 / 吾等的財務狀況和投資目標，本人 / 吾等確認本人 / 吾等之財政能承擔該交易帶來之風險和承受其帶來之任何損失，亦自願確認證券買賣是一項對本人 / 吾等合適的買賣方式。
8. I/We understand and agree that the provisions of the terms and conditions of the Agreement and the Personal Data (Privacy) Ordinance Circular may be amended, supplemented or revised from time to time by the Broker by way of notice and I/we recognize that I/we may at any time ask for a copy of each of the up-to-date Agreement and Personal Data (Privacy) Ordinance Circular for perusal. 本人 / 吾等明白和同意，本合約的條款及細則和個人資料(私隱)條例通告可被經紀不時以通知方式作出變更、補充或修改，本人 / 吾等明瞭本人 / 吾等可隨時索取一份經過更新的本合約和個人資料(私隱)條例通告。

9. I/We acknowledge and confirm that I/we must (i) observe any possible tax consequences and (ii) comply with any legal requirements and foreign exchange restrictions or exchange control requirements which might be applicable under the laws of the countries of my/our incorporation, citizenship, residence and/or domicile and which might be relevant to the purchase, holding or disposal of securities. 本人 / 吾等知悉及確認本人 / 吾等必須遵守本人 / 吾等登記註冊國、國籍國、居住國及/或居籍國的法律之下可能適用的與購買、持有及沽售證券相關的 (i) 可能產生的任何稅務後果及 (ii) 法律規定及外匯限制或管制規定。

Name of Company 公司名稱)	
)	
Was hereto affixed pursuant to its board resolution)	
a certified true copy of which is attached hereto)	
已依據其董事會決議在此蓋章, 在此附上已經核證為真實的副本)	
)	
Name of Authorized Signatory 獲授權簽名人姓名)	
)	
		Authorized Signature(s) with Company Chop
		授權簽名及公司印章
In the presence of 見證人)	
)	
* Name of Witness 見證人姓名)	
)	
Profession/Occupation 專業/職業)	Signature of Witness
)	見證人簽署
Name of Company 公司名稱)	
)	
Company Address 公司地址)	
)	
Acknowledged and Accepted by Broker 經紀確認及接受)	
Ruibang Securities Limited 瑞邦證券有限公司)	
SIGNED BY 授權簽名人姓名)	
)	
		Authorized Signature(s) with Company Chop
		授權簽名及公司印章

Dated _____ of _____ of _____
 日期 _____ day (日) _____ month (月) _____ year (年)

*Note 備註: Witness should be a licensed or registered person, an affiliate of a licensed or registered person, a Justice of the Peace, or a professional person such as a public accountant, lawyer or notary public.
 見證人應為持牌或註冊人士、持牌或註冊人士的聯繫人士、太平紳士或專業人士，例如執業會計師、律師或公證人。

Client Declaration - Personal Information Collection Statement

客戶聲明 - 收集個人資料聲明

I/We, the undersigned, have read and understood the contents of the Personal Information Collection Statement ("PICS") of Ruibang Securities Limited ("RUIBANG"). I/We acknowledge receipt of a copy of the PICS and that the most up-to-date version of the PICS is available for download from RUIBANG's website at <http://www.Ruibang.hk> or upon written request made to RUIBANG's Data Protection Officer.

本人/吾等，下述簽署客戶/聯名客戶，已閱讀過及明白瑞邦證券有限公司（「瑞邦證券」）的〈收集個人資料聲明〉（「該聲明」）。本人/吾等確認及知悉最新版本的聲明可於瑞邦證券之網站 <http://www.Ruibang.hk> 取覽或以書面方式向瑞邦證券資料保護專員索取。

I/We hereby consent to the contents of the PICS. 本人/吾等謹此同意該聲明的所有內容。

- ☐ I/We hereby **consent** the use of my/our personal data by Ruibang in direct marketing for financial, securities, commodities, derivatives, investment, financing, insurance, MPF/ORSO, wealth management, investor education and related services, products and facilities, reward, loyalty or privileges programmes or donations and contributions for charitable and/or non-profit making purposes.

本人/吾等同意瑞邦證券使用本人/吾等的個人資料於直接促銷金融、證券、商品、衍生產品、投資、信貸、保險、強積金 / 職業退休計劃、財富管理、投資者教育及相關服務、產品及設施、獎賞、年資獎勵或優惠計劃或為慈善及 / 或非牟利目的而作出之捐款及捐贈。

- ☐ I/We **do not consent** to the use of my/our personal data in direct marketing for financial, securities, commodities, derivatives, investment, financing, insurance, MPF/ORSO, wealth management, investor education and related services, products and facilities, reward, loyalty or privileges programmes or donations and contributions for charitable and/or non-profit making purposes.

本人/吾等不同意瑞邦證券使用本人/吾等的個人資料於直接促銷金融、證券、商品、衍生產品、投資、信貸、保險、強積金 / 職業退休計劃、財富管理、投資者教育及相關服務、產品及設施、獎賞、年資獎勵或優惠計劃或為慈善及 / 或非牟利目的而作出之捐款及捐贈。

Authorized Signature(s) with Company chop

授權簽名及公司蓋章

Date 日期

This document forms a part of the PICS. Terms used in this document shall have meanings as defined in the PICS.

本文件乃該聲明的一部份。在本文件中使用的詞彙的含義按該聲明的定義為準。

If subsequent to giving the above consent, a customer wishes to withdraw his/her consent, the customer may send written notification to RUIBANG's Data Protection Officer by mail or fax to the address or fax number below. RUIBANG shall then cease to use the customer's personal data in direct marketing without any charge.

如客戶在作出以上同意後，希望撤回同意，客戶可以書面方式通知瑞邦證券資料保護專員，其地址及傳真號碼如下。此後，瑞邦證券必須停止使用客戶的個人資料作直接促銷用途，費用全免。

The Data Protection Officer
Ruibang Securities Limited
9/F Sang Woo Building,
227-228 Gloucester Road, Wanchai, Hong Kong
Tel : (852) 2950 9999
Fax : (852) 2950 4444

資料保護專員
瑞邦證券有限公司
香港灣仔告士打道227-228號生和大廈9樓
電話: (852) 2950 9999
傳真: (852) 2950 4444

For Office Use Only 此部份由本公司填寫	Reviewed by 審閱	Input by 文件輸入	Checked by 文件查核
	Date 日期:	Date 日期:	Date 日期:

CORPORATE BOARD RESOLUTION

公司決議

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 _____ on _____ at which a quorum was presented 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.

公司茲確認，下列決議案經 _____ (下稱「公司」) 董事會於 _____ 年 _____ 月 _____ 日，在 _____ 正式召開之董事局會議通過，該會議自始至終按照公司章程規定維持足夠法定人數，保持並載入公司之會議記錄冊內，而該決議案未有被修訂，並且正全面執行及生效。

IT WAS RESOLVED 決議通過：

1. THAT a securities CASH account(s) (the “Account(s)”) be opened with **Ruibang Securities Limited** (“The Broker”).

於瑞邦證券有限公司(下稱「經紀」) 開立股票現金交易賬戶 (下稱「賬戶」)。

2. THAT a client account agreement (“the Agreement”) was tabled in the meeting and the terms set out in the Agreement and the particulars in connection with the opening of the Account were approved and adopted in all aspects and as amended from time to time.

客戶賬戶協議書(下稱「協議書」) 已於會議中傳閱協議書中的條款與開立賬戶有關的詳情已獲批准，其全部及不時之修改亦已採納。

3. THAT any director of the Company and/or each of the following persons (each an Authorized Person) has the power to do any and all of the following:

任何公司董事及或每一下列人仕 (每一授權人) 有權作任何及全部下述行為：

Name 姓名	Position 職位	HKID Card/Passport No. 香港身份證/護照號碼	Specimen Signature 簽名式樣
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

- i. To sign any document in connection with the opening of the Account(s) and to deliver the signed original to The Broker;
簽署任何與開立該賬戶有關的文件並把正本送達經紀；
 - ii. To give written instructions to The Broker with respect to securities trading transactions;
向經紀發出有關證券交易的書面指令；
 - iii. To bind and commit the Company to any contract, arrangement or transaction entered into with or through The Broker for and on behalf of the Company;
致使公司予以約束及承諾履行其代表公司與或透過經紀所訂立的任何合約、安排或交易；
 - iv. To receive requests and demands for notices of intention to sell or purchase and other notices and demands of whatever character;
收取索求買賣意圖通知或任何其他性質的通知或要求；
 - v. To deliver any amount of any agreed money or securities to The Broker and to authorize the transfer or delivery of any amount or any money or securities to any other person;
交付任何金額及任何相互同意之貨幣或證券至經紀及授權轉賬或交付任何金額及任何貨幣或證券予任何其他人仕；
 - vi. To settle, compromise, adjust and give releases in connection with any such Account with respect to any and all claims, disputes and controversies;
就有關此賬戶的任何及所有索償、糾紛及衝突，進行解決、和解、調整或給予對方豁免；
 - vii. To do and take any and all action necessary in connection with the Account.
進行及採取任何及或全部與賬戶有關的所需行動。
4. THAT these Resolutions shall remain in force, and that The Broker shall be entitled to rely on the same until an amending resolution shall be passed and has been received by The Broker.
此決議將維持有效，而經紀有權依賴此決議直至修訂決議通過及被經紀接獲。

Signature of Chairman 會議主席簽署

Name 姓名 _____

Date 日期 _____

致：瑞邦證券有限公司
 地址：香港灣仔告士打道227-228號生和大廈9樓
 電話：(852) 2950 9999
 傳真：(852) 2950 4444

自我證明表格 – 實體

重要提示：

- 這是由賬戶持有人向申報財務機構提供的自我證明表格，以作自動交換財務賬戶資料用途。申報財務機構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。
- 如賬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申報財務機構。
- 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。在欄/部標有星號（*）的項目為申報財務機構須向稅務局申報的資料。

第1部 實體賬戶持有人的身分識別資料

（對於聯名賬戶或多人聯名賬戶，每名實體賬戶持有人須分別填寫一份表格）

(1) 實體或分支機構的法定名稱*

(2) 實體成立為法團或設立所在的稅務管轄區

(3) 香港商業登記號碼

(4) 現時營業地址

第1行（例如：室、樓層、大廈、街道、地區）

第2行（城市）*

第3行（例如：省、州）

國家*

郵政編碼/郵遞區號碼

(5) 通訊地址（如通訊地址與現時營業地址不同，填寫此欄）

第1行（例如：室、樓層、大廈、街道、地區）

第2行（城市）

第3行（例如：省、州）

國家

郵政編碼/郵遞區號碼

第2部 實體類別

在其中一個適當的方格內加上☑號，並提供有關資料。

財務機構	<input type="checkbox"/> 託管機構、存款機構或指明保險公司 <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
主動非財務實體	<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 <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 <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 <input type="checkbox"/> 除上述以外的主動非財務實體（請說明_____）
被動非財務實體	<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 <input type="checkbox"/> 不屬主動非財務實體的非財務實體

第3部 控權人 (如實體賬戶持有人是被動非財務實體，填寫此部)

就賬戶持有人，填寫所有控權人的姓名在列表內。就法人實體，如行使控制權的並非自然人，控權人會是該法人實體的高級管理人員。

每名控權人須分別填寫一份IR1457表格 (自我證明表格 – 控權人)

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

第4部 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」)*

提供以下資料，列明 (a) 賬戶持有人的居留司法管轄區，亦即賬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賬戶持有人的稅務編號。列出所有 (不限於5個) 居留司法管轄區。

如賬戶持有人是香港稅務居民，稅務編號是其香港商業登記號碼。

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

如沒有提供稅務編號，必須填寫合適的理由：

理由A – 賬戶持有人的居留司法稅務管轄區並沒有向其居民發出稅務編號。

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

理由C – 賬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賬戶持有人披露稅務編號。

居留司法管轄區	稅務編號	如沒有提供稅務編號， 填寫理由A、B或C	如選取理由B， 解釋賬戶持有人不能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			
(5)			

第5部 聲明及簽署

本人知悉及同意，財務機構可根據《稅務條例》(第112章)有關交換財務賬戶資料的法律條文，(a) 收集本表格所載資料並可備存作自動交換財務賬戶資料用途及 (b) 把該等資料和關於賬戶持有人及任何須申報賬戶的資料向香港特別行政區政府稅務局申報。從而把資料轉交到賬戶持有人的居留司法管轄區的稅務當局。

本人證明，就與本表格所有相關的賬戶，本人獲賬戶持有人授權簽署本表格。

本人承諾，如情況有所改變，以致影響本表格第1部所述的實體的稅務居民身分，或引致本表格所載的資料不正確，本人會通知瑞邦證券有限公司，並會在情況發生改變後30日內，向瑞邦證券有限公司提交一份已適當更新的自我證明表格。

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

簽署

姓名

身分

日期 (日/月/年)

(例如：公司的董事或高級人員、合夥的合夥人、
信託的受託人等)

警告：根據《稅務條例》第80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第3級 (即\$10,000) 罰款。

致 : 瑞邦證券有限公司
地址 : 香港灣仔告士打道227-228號生和大廈9樓
電話 : (852) 2950 9999
傳真 : (852) 2950 4444

自我證明表格 – 控權人

重要提示：

- ☐ 這是由賬戶持有人向申報財務機構提供的自我證明表格，以作自動交換財務賬戶資料用途。申報財務機構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。
- ☐ 如賬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申報財務機構。
- ☐ 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。在欄/部標有星號（*）的項目為申報財務機構須向稅務局申報的資料。

第1部 控權人的身分識別資料

(1) 控權人的姓名

稱謂（例如：先生、太太、女士、小姐） ☐先生 ☐太太 ☐女士 ☐小姐

姓 氏 *

名 字 *

中間名

(2) 香港身份證或護照號碼

(3) 現時住址

第1行（例如：室、樓層、大廈、街道、地區）

第2行（城市）*

第3行（例如：省、州）

國 家 *

郵政編碼/郵遞區號碼

(4) 通訊地址（如通訊地址與現時住址不同，填寫此欄）

第1行（例如：室、樓層、大廈、街道、地區）

第2行（城市）

第3行（例如：省、州）

國家

郵政編碼/郵遞區號碼

(5) 出生日期*（日/月/年）

(6) 出生地點（可不填寫）

鎮/城市

省/州

國家

第2部 你作為控權人的實體賬戶持有人
填寫你作為控權人的實體賬戶持有人的名稱。

實體	實體賬戶持有人的名稱
(1)	
(2)	
(3)	

第3部 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」）*

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

如控權人是香港稅務居民，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：

- 理由 A – 控權人的居留司法稅務管轄區並沒有向其居民發出稅務編號。
 理由 B – 控權人不能取得稅務編號。如選取這一理由，解釋控權人不能取得稅務編號的原因。
 理由 C – 控權人毋須提供稅務編號。居留司法管轄區的主管機關不需要控權人披露稅務編號。

居留司法管轄區	稅務編號	如沒有提供稅務編號， 填寫理由 A、B或C	如選擇理由B， 解釋控權人不能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			
(5)			

第4部 控權人類別

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

實體類別	控權人類別	實體 (1)	實體 (2)	實體 (3)
法人	擁有控制股權的個人（即擁有不少於百分之二十五的已發行股本）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	以其他途徑行使控制權或有權行使控制權的個人（即擁有不少於百分之二十五的表決權）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	擔任該實體的高級管理人員/對該實體的管理行使最終控制權的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
信託	財產授予人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	受託人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	保護人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	受益人或某類別受益人的成員	<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）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
除信託以外的法律安排	處於相等/相類於財產授予人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	處於相等/相類於受託人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	處於相等/相類於保護人位置的個人	<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	<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）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

第5部 聲明及簽署

本人知悉及同意，財務機構可根據《稅務條例》（第112章）有關交換財務賬戶資料的法律條文，（a）收集本表格所載資料並可備存作自動交換財務賬戶資料用途及（b）把該等資料和關於控權人及任何須申報賬戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到控權人的居留司法管轄區的稅務當局。

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

本人承諾，如情況有所改變，以致影響本表格第1部所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知瑞邦證券有限公司，並會在情況發生改變後30日內，向瑞邦證券有限公司提交一份已適當更新的自我證明表格。

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

簽署

姓名

身分

日期（日/月/年）

（如你不是第1部所述的個人，說明你的身分。如果你是以受權人身分簽署這份表格，須夾附該授權書的核證副本。）

刪去不適用者

警告：根據《稅務條例》第**80(2E)**條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第**3**級（即**\$10,000**）罰款。

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 Bank18 ☐ 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 Accounts19 ☐ 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 Entity22 ☐ 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 Accounts23 ☐ 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.

Name	Address	TIN

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.



Account Opening Checklist - Corporate Account

開立賬戶核對清單 – 公司賬戶

Please attached the following **ORIGINAL OR CERTIFIED DOCUMENTS** (all certified copies must be certified by a lawyer, a certified public accountant, a chartered secretary or notary public, to be true copies) 請隨附以下文件之 正本或認證副本 (所有副本必須經由律師、執業會計師、特許秘書或公證人簽署認證)

Basic Documents Required 基本所需文件

Please Attach 請附上：

- ☐ Board minutes approving account opening 董事會決議書
- ☐ Certificate of Incorporation 公司註冊證書
- ☐ Memorandum and Articles of Association 公司組織章程大綱及章程細則
- ☐ Organization Chart 組織結構圖
- ☐ Address proof (latest 3 months) of the Company's place of business (e.g. bank statement or utility bill etc.)
公司最近三個月的營業地址證明(如銀行月結單或公共事務繳款單等)
- ☐ Hong Kong permanent residence ID/PRCID/Passport copies of all director(s), shareholder(s) and authorized person(s)
所有董事、股東及獲授權人士之香港永久居民身份證 / 內地身份證 / 護照
- ☐ Residential address proof (latest 3 months) of all director(s), shareholder(s) and authorized person(s)
所有董事、股東及獲授權人士最近三個月之住宅地址證明
- ☐ AEOI Self-Certification Form – Entity and Controlling Person 自動交換財務賬戶資料自我證明表格 – 實體及控權人
- ☐ Form W-8BEN-E 美國稅務表格

For Company incorporated in HK 適用於香港註冊之公司

- ☐ Business Registration Certificate 公司商業登記證
- ☐ Latest Annual Return 最近期之公司年報
- ☐ Details of Directors in Forms D1, D2 or D3 董事報表(表格D1, D2或D3)
- ☐ Register of Directors 董事名冊
- ☐ Register of Members 股東名冊
- ☐ Any Forms related to change of directors between Latest Annual Return and signing date of Account Opening Information Form 於最近期之公司年報及開戶資料表簽署日期間任何董事變更之報表

For Company incorporated in Oversea 適用於海外註冊公司

- ☐ Company search report / Certificate of incumbency (issued within the last 6 months) 公司查冊報告 / 職權證明書
(過去六個月內簽發)
- ☐ Register of Directors 董事名冊
- ☐ Register of Members 股東名冊

For Margin Account 適用於保證金賬戶

- ☐ Letter of Guarantee 擔保書
- ☐ Authorization Letter for Client Securities - Margin Account 客戶證券授權書 - 保證金戶口
- ☐ Additional Risk Disclosure Statement – Margin Account 額外風險披露聲明 - 保證金賬戶