



Corporate Account 公司帳戶

FOR OFFICE USE ONLY

A/C No:

Client (A/C)Name:

A/C Opening Date:



中財證券

ZHONGCAI SECURITIES

Zhongcai Securities Limited 中財證券有限公司
6/F, Zhongcai Centre, No. 131 Queen's Road Central, Hong Kong
香港皇后大道中131號中財中心6樓
(CE No.: BED053)(中央編號: BED053)

ACCOUNT OPENING APPLICATION FORM 開戶申請表格 – For Corporate Account 公司帳戶適用

1. Account Type 帳戶類別

(Please Select One Only 請只選一項)

Securities Cash Corporate Account 證券現金公司帳戶

Account Number 帳戶號碼: _____

Securities Margin Corporate Account 證券保證金公司帳戶

Account Number 帳戶號碼: _____

Electronic Trading Service 電子交易

Do you need to apply for the Internet Trading Service?

閣下是否需要申請互聯網交易服務?

Yes 需要 No 不需要

2. Corporate Client Information 客戶資料

Corporate Account Holder 公司帳戶持有人

Company Name (English) 公司名稱(英文)

Company Name (Chinese) 公司名稱(中文)

Certificate of Incorporation No.
公司註冊號碼

Business Registration No. in Hong Kong
香港商業登記號碼

Country of
Incorporation
註冊國家

Date of Incorporation 註冊成立日期

D / M / Y
日 / 月 / 年

Nature of Business 業務性質

No. of Years in the Business 經營業務年期

Telephone Number 電話號碼

Contact Person 聯絡人

Registered Address 註冊地址

Business Address 營業地址 (P.O. Box is not accepted. 不接受郵政信箱)

Communication Method 通訊方法

Business Address 營業地址

E-mail Address 電郵地址 _____

Bank Account Details 銀行帳戶資料

Bank Name 銀行名稱

Bank Account Number 帳戶號碼

SWIFT Code 銀行國際代碼

1) _____

2) _____

Directors Particulars 董事資料詳情

Name(s) of Director 董事姓名	ID/Passport No. 身份證/護照號碼	Country of issue 簽發國家	Address 地址	Date of Appointment 委任日期

Particulars of Shareholder(s) holding 10% or more 持有10%或以上股份的股東的詳情

Name(s) of Shareholder 股東姓名	ID/Passport No. 身份證/護照號碼	Country of issue 簽發國家	Address 地址	% of Shareholding 所持股份%

3. Ultimate Beneficial Owner(s) of the Account(s) 帳戶的最終實益擁有人

Name(s) 姓名	ID No./ Passport No. 身份證號碼/ 護照號碼	Country of issue 簽發國家	Address 地址	Occupation 職業	Relationship between the Client and the ultimate beneficial owner(s) 客戶與最終實益 擁有人之關係

Are you, the ultimate beneficial owner(s) of the Account(s), or the person ultimately responsible for giving instructions for the Account who holds the following identity of any countries (including a place within the People's Republic of China):

閣下作為此帳戶最終實益擁有人或此帳戶最終負責發出指示的人士是否持有任何國家/地區(包括中華人民共和國境內的地方)之下列身份:

- (i) a head of state, head of government, senior politician, judicial or military official, senior executive of a state-owned corporation and an important political party official;
國家元首、政府首長、資深政客、司法人員或軍官、國有企業高級行政人員及重要政黨官員;
- (ii) a spouse, a partner, a child or a parent of an individual falling within paragraph (i), or a spouse or a partner of a child of such an individual; or
(i)段所述人士的配偶、同居者、子女或父母,或(i)段所述人士的子女配偶或同居者;或
- (iii) a close associate of an individual falling within paragraph (i)?
(i)段所述人士的緊密聯繫人?

No 否 Yes, please specify: 是, 請註明 _____

4. Financial Summary 財務資料摘要

Source of Funding 資金來源 Origin of Funding 資金來源地 _____

Investment Income 投資收入 Business Profit 營業收益 Shareholder Fund 股東資金 Dividend 股息/Interest 利息

Grants 資助 Loan 貸款 Others 其他 _____

Annual Net Profit 年度經營溢利

Total Assets 總資產

Total Liabilities 總負債

Total Net Assets Value 總資產淨值

Authorized Share Capital 法定股本

Paid-up Share Capital 法定股本

Any Latest Financial Accounts Record provided? 有否提供最近的財務帳目記錄? Yes 是 No 否

5. Investment Profile 投資取向**Investment Objectives 投資目的**

- Capital Gain 資本增值 Speculation 投機 Hedging 對沖 Dividend Income 股息收入
- Short Term 短線 Long Term 長線 Other (please specify) 其他(請註明) _____

Estimated Investment (in HK\$) 估計投資(以港元計)

- < 500,000 500,001-1,000,000 1,000,001-5,000,000 > 5,000,000

Investment Experience 投資經驗

Products 商品	Years 年期	Average Portfolio Value (HK\$) 平均組合價值(以港元計)
Stock/Warrant 股票/認股權證	_____	_____
Futures/Option 期貨/期權	_____	_____
Bonds/Funds 債券/基金	_____	_____
Other (please specify) 其他(請註明) _____	_____	_____

Risk Tolerance for Loss of Capital 資本損失風險承受度

- Conservative – Low risk tolerance but willing to accept slight price fluctuations in order to obtain returns better than that expected from a capital preservation strategy only.
保守型—風險承受度低,但願意接受輕微的價格波幅,以取得比較僅從保本策略中取得的預期回報為佳的回報。
- Balance – Modest risk tolerance and willing to accept some investment risk for potentially higher returns. Seeking to achieve a balance between capital growth, income and capital protection. Price volatility acceptable in order to obtain a steady return with moderate capital growth.
均衡增長型—風險承受度中等,並願意為取得較高回報而接受一些投資風險。在資本增值、收入及保本之間尋求達至平衡。可以接受價格波幅,在中等資本增值下取得穩健回報。
- Aggressive – Seeking high growth for wealth accumulation and willing to accept substantial price volatility for investments.
進取型—為財富增值尋求高增長,並願意接受投資的大幅價格波幅。

6. Derivative and Products Knowledge Assessment 衍生及結構投資產品的認識評估

Derivative and Structured Products mean any products, including but not limited to Derivative warrants, CBBC and equity link notes/instruments.
衍生及結構性投資產品指任何產品，包括但不限於衍生權證、牛熊證、股票掛鈎票據。

- | | Yes 是 | No 否 |
|--|--------------------------|--------------------------|
| 1. Do you have in-depth/substantial knowledge in the nature and risks of derivative and structured investment products?
閣下有否對衍生及結構性投資產品之特性及風險有深入/足夠的認識? | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. Have you ever undergone any training or attended courses on derivative and structured investment products?
閣下是否曾經接受有關衍生及結構性投資產品的培訓或修讀相關課程?
If yes, please provide details of relevant training or course 請提供相關培訓或課程的詳情: _____ | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. Have you ever obtained any working experience related to derivative and structured investment products?
閣下是否曾經取得衍生及結構性投資產品有關的工作經驗?
Please provide details 請提供詳情:
Position 職位: _____ Years of experience 經驗年期: _____ | <input type="checkbox"/> | <input type="checkbox"/> |
| 4. Have you ever executed 5 or more transactions related to derivative and structured investment products over the past 2 years?
於過去2年中，閣下是否曾執行5宗或以上與衍生及結構性投資產品有關之交易? | <input type="checkbox"/> | <input type="checkbox"/> |

If you answer "yes" in any question above, you will be classified as having general knowledge of derivative and structured investment products. Would you still wish to trade derivative and structured investment products?

如閣下於上述任何一條回答「是」，將會被視作對衍生及結構性投資產品有一般認識。請問閣下是否仍有意買賣有關產品?

You will be classified as having no general knowledge in derivative and structured investment products, should you answer "NO" to all the questions above. Would you still wish to trade derivative and structured investment products?

如閣下於上述全部問題回答「否」，將被視作沒有對衍生及結構性投資產品的認識。請問閣下是否仍有意買賣有關產品?

If you possess no relevant knowledge of derivative and structured investment products, but nonetheless wish to trade these products, you are advised to carefully read and be sure you fully understand the relevant risks explained in the Risk Disclosure Statements.

如閣下沒有衍生及結構性投資產品相關之知識，但有意買賣有關產品，請必須先仔細閱讀及完全明白有關衍生及結構性投資產品的風險披露聲明。

7. Declarations 聲明

Identity Declaration 身份證明

Is any director, shareholder or authorized person of the client is an employee/account executive/director or the relative of any employee/account executive/director of any licensed corporation of Zhongcai Group?

客戶之任何董事、股東或授權人士是否中財集團旗下持牌法團的任何僱員/經紀/董事或任何僱員/經紀/董事的親屬?

No 否 Yes, please specify 是，請註明

Name of Employee/Account Executive/Director 僱員/經紀/董事姓名 _____ Relationship 關係 _____

Is the client, client's directors, shareholders or authorized person, licensed by or registered with the Securities and Futures Commission?

客戶本身或客戶之董事、股東或授權人士是否證券及期貨事務監察委員會之持牌/註冊人士?

No 否 Yes, please specify 是，請註明

Name of Licensed Corporation/Registered Institution 持牌法團或註冊機構名稱 _____

Central Entity/Registration No. 中央/註冊編號 _____

(Please provide consent letter from your employer 請提供閣下僱主之書面同意書)

Have the clients ever had any investment account opening application rejected by other financial institution?

客戶是否曾於其他金融機構開立投資戶口時被拒絕?

No 否 Yes, please specify 是，請註明

Name of Financial Institution 金融機構名稱 _____

Reasons of Reject 拒絕原因 _____

Is any director, ultimate beneficial owner, partner, shareholder or authorized person, his spouse, partner, children, parents, spouse or partner of his children or a close associate with you entrusted with a prominent public function in any place, including a head of state, head of government, senior politician, judicial or military official, senior executive of a state-owned corporation and an important political party official?

客戶之任何董事、最終受益人、合夥人、股東或授權人士，其配偶、伴、子女或父母、或其子女的配偶或伴侶、或與其關係密切的人是否在任何地方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、司法或軍事官員、國有企業高級行政人員及重要政黨幹事?

No 否 Yes, please specify 是，請註明

Name of Position of PEP 政治人物姓名及職位 _____ Country of the PEP belongs 政治人物所屬國家 _____

PEP relationship with client 與客戶之關係 _____

Particulars of Related Accounts 關連帳戶的資料

Is any director, shareholder or authorized person of the client's spouse/child of another client of Zhongcai Securities Limited?
客戶之任何董事、股東或授權人士是否中財證券有限公司某客戶的配偶/子女?

No 否 Yes, please provide the following details 是, 請提供以下詳細資訊:

Account No. 帳戶號碼 _____

Name of Account 帳戶名稱 _____ Relationship 關係 _____

Is any director, shareholder or authorized person of the client, either alone or with the spouse jointly operating another account in Zhongcai Securities Limited?
客戶之任何董事、股東或授權人士是否個人或與配偶共同操作另一個在中財證券有限公司帳戶?

No 否 Yes, please specify 是, 請註明

Account No. 帳戶號碼 _____

Name of Account 帳戶名稱 _____ Relationship 關係 _____

Is any director, shareholder or authorized person of the client, either alone or with the spouse, in control of 35% or more of the voting rights of any corporate clients of Zhongcai Securities Limited?
客戶之任何董事、股東或授權人士是否個人或與客戶配偶共同控制任何中財證券有限公司公司客戶35%或以上的投票權?

No 否 Yes, please specify 是, 請註明

Account No. 帳戶號碼 _____

Name of Account 帳戶名稱 _____ Relationship 關係 _____

8. Use of Personal Data 個人資料之使用

We acknowledge that we have hereby informed that group of Zhongcai Securities Limited, its subsidiaries, its controlling company and the subsidiaries and associated company of such controlling company intends to use and transfer within Zhongcai Securities Limited my/our personal data for direct marketing of: (i) Financial services and investment products and advices; (ii) Related promotion scheme; (iii) donations and contributions for charitable and/or non-profit making purposes. Such personal data includes name, contact details, products and services portfolio information, transaction pattern and behavior, financial background and demographic data. I/We understand that I/we may, at any time, require Zhongcai group to cease to use Zhongcai Securities Limited my personal data for direct marketing through written notice.

本人/吾等明白本人/吾等獲通知中財證券有限公司之任何成員公司, 其附屬公司、其控股公司及該控股公司之附屬公司及相聯公司擬使用及在中財證券有限公司之間轉移本人/吾等於中財證券有限公司之個人資料以直接促銷: (i) 金融服務和投資產品及建議; (ii) 相關優惠計劃; (iii) 為慈善及/或非牟利目的而作出之捐款及資助。該等個人資料包括姓名、聯絡資料、產品及服務投資組合信息、交易模式及行為、財務背景及統計數據。本人/吾等明白本人/吾等可以隨時以書面形式通知中財證券有限公司停止於集團內的直接促銷中使用本人/吾等之個人資料。

- I/We agree to the aforesaid use of my/our personal data in Zhongcai Securities Limited. 本人/吾等同意中財證券有限公司使用本人/吾等之個人資料。
- I/We object to the use of or transfer my/our personal data in direct marketing within Zhongcai Securities Limited. 本人/吾等反對中財證券有限公司使用或轉移本人/吾等之個人資料。

9. Foreign Account Tax Compliance Act "FATCA" 關於海外帳戶稅收合規法案

A) U.S Entities 美國實體

Does your company incorporated, established, constituted or organized in the U.S?
貴公司是否於美國註冊成立、設立、構成或組成?

- No 否 If no, please complete Form W8BEN-E Form of IRS. 如否, 請填寫美國國稅局W8BEN-E表格。
- Yes 是 If yes, please complete Form W9 Form of IRS 如是, 請填寫美國國稅局發出之W9表格。

B) Financial Institution 金融機構

Does your company belongs to any class of the following financial institutions as specified under FATCA definition:
貴公司是否屬於下列任何一類就FATCA定義下所指定的金融機構:

- Participating FFI 參與的外國金融機構
- Registered deemed-compliant FFI 已註冊的視作合規外國金融機構
- Reporting Model 1 FFI 以版本一申報的外國金融機構
- Reporting Model 2 FFI 以版本二申報的外國金融機構

Please provide GIIN (Global Intermediary Identification Number) 請提供全球中介人識別號碼: _____

Please complete the section 9 carefully. If you have any question in relation to FATCA, U.S. IRS form etc., please consult your tax, legal and professional adviser
請小心填寫第九部份。如貴公司對於FATCA、任何美國國稅局表格有疑問, 請諮詢貴公司之稅務、法律及/或其他專業顧問。

10. Certified Extract of Board Resolution 董事會決議核證摘錄

Name of Client 客戶姓名 _____ (the "Company" [公司])

At a meeting of the Directors of the Company duly convened and held at the address of:

_____ on the _____ day of _____, at which a quorum was present and acting throughout, the following Resolution were duly passed by the Board of Directors:

於 _____ 年 _____ 月 _____ 日，本公司董事局在 _____ (地點) 召開董事局會議，期間具備會議所需的合法人數，並且正式通過以下決議案：

IT WAS RESOLVED THAT:

董事會決議：

- 1) Securities trading account(s) (the "Account(s)") be opened and maintained with Zhongcai Securities Limited ("ZSL") in accordance with such terms and conditions which ZSL may from time to time prescribe for the Account(s), the Account Opening Application Form, Terms and Conditions for Securities Trading Account and other supplementary documents of ZSL had been tabled and considered by the Directors.
在中財證券有限公司(「中財證券」)開立和維持的證券交易帳戶(「帳戶」)均按中財證券不時規定有關帳戶的條款和條件開立和維持；會議上展示中財證券開立證券交易帳戶的開戶申請表格、證券交易帳戶的條款和條件及其他附加文件。
- 2) Any _____ of the following person(s) be and is/are hereby appointed as Authorized Person(s) of the Company and be authorized (where necessary, to affix the common seal of the Company thereon):
在此授權任何 _____ 位下述之人士為公司的授權代表(在需要時加蓋公司印章)：
 - 2.1) to sign, execute and deliver any and all agreements, consents, letter of instruction or other documents required by ZSL for the settlement of securities transaction with ZSL or in connection with the opening of the Account(s);
簽署、簽訂並交付因與中財證券結算證券交易或有關帳戶的運作而中財證券所要求的任何與全部協議、同意書、指示函或其他文件；
 - 2.2) to withdraw or transfer any money, securities, collateral or the property into or out of Account(s); and
從帳戶提取或轉帳任何資金、證券、抵押品或其他財產；及
 - 2.3) to make, execute and deliver any and all written endorsements and documents necessary or proper to effect the authority conferred by this resolutions.
作出、簽署並交付按本決議授權生效所需要或適用的任何與全部書面背書及文件。

Name(s) 姓名	ID No./Passport No. 身份證號碼/ 護照號碼	Country of issue 簽發國家	Address 地址	Occupation 職業	Signature Specimen 簽字式樣

- 2.4) Any _____ of the following person(s) to give orders or trading instructions to ZSL, whether in writing, verbally or otherwise, in respect of any transactions of the account(s) for and on behalf of and in the name of the Company.
在此授權任何 _____ 位下述之人士為公司的授權代表以書面、口頭或其他方式就帳戶的交易代表公司或以公司名義給予中財證券指令或交易指示。

Name(s) 姓名	ID No./Passport No. 身份證號碼/ 護照號碼	Country of issue 簽發國家	Address 地址	Occupation 職業	Signature Specimen 簽字式樣

- 3) Without prejudice to the paragraph 2 above, the mentioned Securities Trading Account of ZSL be approved and any 2 of the Directors/ Authorized Persons (at least two Directors be appointed as Authorized Signatories unless the company has only single Director) be and are hereby authorized to sign or execute on the Company's behalf the Terms and Conditions for Securities Trading Account and sign, execute and complete all other relevant documents on the Company's behalf in connection with the securities trading document, including without limitation, the Account Opening Application Form.
在不影響上述第2段的情況下，中財證券的證券交易帳戶條款及條件已獲批准，在此授權任何2位董事/授權人士(授權至少兩位公司董事，除非公司只屬單一董事制)代表本公司簽署或簽訂證券交易帳戶文件，並代表本公司簽署、簽訂及填妥有關開立帳戶的全部及其他相關文件，包括但不限於開戶申請表格。

- 4) The following person is authorized to transact online. This person will be issued with passwords and he/she will be the only person to hold passwords, to transact online, and request changes in passwords.(applicable to Online Services only):
下列人士已獲授權在網上進行交易。該人士將會獲發密碼，並且是唯一可以持有該密碼、進行網上交易，要求變更密碼的交易代表(僅適用於網上服務):

Name(s) 姓名	ID No./Passport No. 身份證號碼/護照號碼	Country of issue 簽發國家	Contact Telephone Number 聯絡電話號碼

- 5) The Company shall notify ZSL from time to time of any changes which may render the information in the Account Opening Application Form untrue or misleading.
本公司將不時通知中財證券任何可使開戶申請表中資料變得不實或誤導的任何變更。

- 6) ZSL be provided with any documents which it may reasonably require in connection with the opening and operation of the Account(s), including, without limitation, copies of the certificate of incorporation, business registration certificate, the memorandum and articles of association or other constitutional documents of the Company, financial statements of the Company and certified extracts of any resolution relating to the Account(s).

中財證券可獲提供其認為與開立與運作有關而作出合理要求的任何文件，包括但不限於公司註冊證書、商業登記證書以及細則或其他組織文件副本、公司財務表和有關戶口的任何決議的核證摘要。

I, the undersigned, DO HEREBY CERTIFY that the foregoing is a true copy of the Resolutions which (a) were duly passed in accordance with the Memorandum and Articles of Association or other constitutional documents of the Company, (b) have been duly recorded in the minutes book of the Company, and (c) remain in full force and effect, no action having been taken to rescind or amend the said Resolutions.

下述簽署人現證明前述為(a) 依照據公司的章程大綱及細則或其他組織文件妥善地通過的決議的真實副本；(b) 已妥善地記錄在公司的會議記錄冊上；及(c) 繼續全面生效及並沒有採取任何行動以撤銷或修訂該等決議案。

Dated this _____ day of _____

日期：_____年_____月_____日

Duly Authorized for and on behalf of the Company
獲公司正式授權的代表

Signed by the Authorized Person
授權代表簽署

Title
職銜

Name:
姓名：(1) _____

(1) _____ (1) _____

姓名：(2) _____

(2) _____ (2) _____

11. Client's Acknowledgement and Signature 客戶確認及簽署

1. We hereby declare that the information given above is true, correct and complete and we have not willfully withheld any material fact(s), we authorize Zhongcai Securities Limited to confirm this from any source appropriate, including the conduct of any credit checks on us. We understand that we may be required to provide additional information or submit documentary proof as to the information provided in this form when requested by Zhongcai Securities Limited. We confirm that we will update Zhongcai Securities Limited immediately on any changes.

吾等謹此聲明上述資料乃屬真實、正確及完整，吾等並未刻意隱瞞任何重要事實。吾等授權中財證券有限公司進行適當的資料來源查證，包括進行任何對於吾等的信貸檢查。除上述提供的資料外，吾等清楚中財證券有限公司也許要求吾等提供更多相關的資料或證明文件。吾等確認如所提供之資料有任何更改，均會立刻通知中財證券有限公司。

2. We confirm that we have received, read and understood the "Terms and Conditions for Securities Trading Accounts" ("Terms and Conditions") and this Account Opening Application Form applicable to us, which may be entered into in writing between Zhongcai Securities Limited and us from time to time, including any letters of authorization relating to securities margin financing.

吾等證實已收取、閱讀及明白「證券交易帳戶條款及條件」(「條款及條件」)及此開戶申請表格及吾等與中財證券有限公司不時訂立之書面補充條款及條件，包括任何有關證券保證金帳戶之抵押品授權書。

3. We hereby accept and agree to be bound by the Terms and Conditions. Zhongcai Securities Limited may amend the Terms and Conditions from time to time by giving us notice of such amendment. Unless Zhongcai Securities Limited has received our request to close the account(s), if we continue to use the account(s) we shall be deemed to have accepted such changes.

吾等特此接納及同意受條款及條件約束。中財證券有限公司有權不時修訂條款及條件，並向吾等發出通知。除非中財證券有限公司收到吾等通知取消帳戶，否則吾等繼續使用帳戶即表示吾等接納該修訂條款及條件。

4. We hereby confirm that the above information provided in relation to "Knowledge of Derivatives Product" is true and complete. We also understand that Zhongcai Securities Limited will rely on the above information provided to assess whether we have acquired knowledge of derivative products in order to comply with relevant requirements of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.

吾等確認上述有關「衍生產品的認識」之資料完全真實及完整，並明白中財證券有限公司將根據上述資料判定吾等是否擁有對衍生產品之認識，以符合證券及期貨事務監察委員會持牌人或註冊人操守準則之有關要求。

5. We hereby declare and acknowledge that we have fully understood the risk disclosure statement in the language of our choice. We have been invited to read the risk disclosure statement, and to ask questions and take independent advice if we wish.

吾等現聲明及確認已獲得提供按照本人吾等選擇的語言之風險披露聲明書，吾等已獲邀閱讀風險披露聲明，提出問題及徵求獨立意見(如吾等有此意願)。

6. We understand that Zhongcai Securities Limited reserves the unconditional right to reject our application.
吾等明白中財證券有限公司保留無條件拒絕吾等開戶申請之權力。

7. We acknowledge that Zhongcai Securities Limited does not provide investment, tax or legal advice or recommendations.
吾等確認中財證券有限公司並不提供投資、稅務或法律意見或建議。

This Account Opening Application Form is prepared in both Chinese and English versions, in the event of discrepancy between the versions, the English version shall prevail.

本開戶申請表編成中、英文版本，兩種版本之間如有歧義，應以英文版為準。

Signed by 簽署：
For and on behalf of

Accepted by
For and on behalf of Zhongcai Securities Limited
由中財證券有限公司接納

Authorized Signature 授權簽名
(With Company Chop 附公司圖章)

Name and Position of Signer 簽署人姓名及職銜：

Date 日期：

Authorized Signature 授權簽名

12. Declaration By Witness 見證人見證

I, _____, certify that I have verified the original copy of client identification document, address proof and other account opening document and have sighted that the Client counter sign on this Account Opening Form.

本人 _____ 確認已驗證客戶身份證明文件、地址證明及其他文件之正本，並已見證客戶在本開戶表上簽署。

Signature of Witness
見證人簽名

Name of Witness (in BLOCK LETTERS)
見證人姓名(請以正楷填寫)

Occupation/Position
職業/職位

Date
日期

13. Declaration by Staff 員工聲明

I, _____ (in BLOCK LETTERS), a Licensed Representative of Zhongcai Securities Limited, hereby declare and confirm that I have provided the Terms and Conditions for Securities Trading Accounts and relevant Risk Disclosure Statement in a language of the client's choice (English or Chinese) and have invited the Client to read the Agreements, ask questions and take independent advice if the client wishes.

本人，_____ (正楷字體) 為中財證券有限公司的持牌代表，並謹此聲明及確認本人已按照上述客戶所選擇的語言(英文或中文)提供證券交易帳戶條款及條件及相關風險聲明書，請客戶閱讀協議書，並提出問題及徵求獨立的意見(如客戶有此意願)。

Signature of Licensed Representative
持牌代表簽名

Date
日期

Name of Licensed Representative
持牌代表姓名

CE No.
中央編號

Client Securities Standing Authority
客戶證券常設授權書

To: Zhongcai Securities Limited
致: 中財證券有限公司

Standing Authority under Securities & Futures (Client Securities) Rules

This standing authority is in respect of the treatment of our securities or securities collateral as set out below.

Unless otherwise defined, all the terms used in this standing authority shall have the same meanings as in the Securities & Futures Ordinance and Securities & Futures (Client Securities) Rules as amended from time to time.

This standing authority authorizes the Company to:

1. apply any of our securities or securities collateral pursuant to a securities borrowing and lending agreement;
2. deposit any of our securities collateral with an authorized financial institution as collateral for financial accommodation provided to the Company;
3. deposit any of our securities collateral with Hong Kong Securities Clearing Company Limited ("HKSCC") as collateral for the discharge and satisfaction of its settlement obligations and liabilities. We understand that HKSCC will have a first fixed charge over our securities to the extent of its obligations and liabilities;
4. deposit any of 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 its settlement obligations and liabilities; and
5. apply or deposit any of our securities collateral in accordance with paragraphs (1),(2),(3) and/or (4) above if the Company provides financial accommodation to us in the course of dealing in securities and also provide financial accommodation to us in the course of any other regulated activity for which the Company is licensed or registered.

The Company may do any of these things without giving us notice. We acknowledge that this standing authority shall not affect the right of the Company to dispose or initiate a disposal by its Affiliates of our securities or securities collateral in settlement of any liability owed by or on behalf of us to the Company, its Affiliates or a third person.

This authority is given to the Company in consideration of its agreeing to continue to maintain the securities margin account(s) for us.

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

This authority is valid for a period of not more than 12 months until the end of every year.

This authority may be revoked by giving the Company written notice addressed to the Customer Services Department at its address specified above notified to us subsequently. Such notice shall take effect upon the expiry of 14 days from the date of the Company actual receipt of such notice.

We understand that this authority shall be deemed to be renewed on a continuing basis of further periods of not more than 12 months without our consent provided a written notification of renewal is issued to us at least 14 days before the expiry date of this authority, and we do not object to such deemed renewal before the expiry date.

This authority and the re-pledging practice of the Company has been explained to us and we understand and agree to the contents of this letter.

In the event of any difference in interpretation or meaning between the Chinese and English version of this letter, we agree that the English version shall prevail.

根據《證券及期貨(客戶證券)規則》所設立的常設授權

本授權書是有關處置吾等之證券或證券抵押品，詳列如下：

除非另有說明，本常設授權書之名詞與《證券及期貨條例》及《證券及期貨(客戶證券)規則》不時修定之定義是有相同意思。

本常設授權書授權中財證券有限公司：

1. 依據證券借貸協議運用任何吾等的證券或證券抵押品；
2. 將任何吾等的證券抵押品存放於認可財務機構，作為該機構向中財證券有限公司提供財務通融之抵押品；
3. 將任何吾等的證券抵押品存放於香港中央結算有限公司(「香港結算」)，作為解除中財證券有限公司在交收上的義務和清償中財證券有限公司在交收上的法律責任的抵押品。吾等明白香港結算因應中財證券有限公司的責任和義務而對吾等的證券設定第一固定押記；
4. 將任何吾等的證券抵押品存放於任何其他認可結算所或任何其他獲發牌或獲註冊進行證券交易的中介人，作為解除中財證券有限公司在交收上的法律責任的抵押品；及；
5. 如中財證券有限公司在進行證券交易及中財證券有限公司獲發牌或獲註冊進行任何其他受規管活動的過程中向吾等提供財務通融，即可按照上述第(1)、第(2)、第(3)及/或第(4)段所述運用或存放任何吾等的證券抵押品。

中財證券有限公司可不向吾等發出通知而採取上述行動。吾等確認本常設授權不影響中財證券有限公司為解除由吾等或代吾等對中財證券有限公司或第三者所負的法律責任，而處置或促使中財證券有限公司處置吾等之證券或證券抵押品的權利。

此賦予中財證券有限公司之授權乃鑑於中財證券有限公司同意繼續維持吾等之證券保證金戶口。

吾等明白吾等的證券可能受制於第三者之權利，中財證券有限公司須全數抵償該等權利後，方可將吾等的證券退回給吾等。

本授權書之有效期為不多於12個月，並於每年12月31日屆滿。

吾等可以向中財證券有限公司客戶服務部位於上述列明之地址發出通知，撤回本書面授權書。該等通知之生效日期為中財證券有限公司真正收到該等通知後14日起計。

吾等明白中財證券有限公司若在本常設授權有效屆滿前的最少14日之前，向吾等發出書面通知，提醒吾等本常設授權即將屆滿，而吾等沒有在此授權屆滿前反對此授權續期，本常設授權應當作在不需要吾等的書面同意下按持續的基準已被續期，每一延續有效期為不多於12個月。

此授權書已經向吾等解釋及說明，而吾等完全明白和同意此授權書的內容。

倘若本常設授權的中文本與英文本在釋義或涵義方面有任何歧義，吾等同意應以英文本為準。



Authorized Signature (With Company Chop) 授權簽署(附公司圖章)

Name and of Signer: 簽署人名稱：

Position: 職銜：

Client No.: 帳戶號碼：

Date(dd/mm/yy): 日期(日/月/年)：

Client Money Standing Authority
客戶款項常設授權書

To: Zhongcai Securities Limited
致: 中財證券有限公司

Standing Authority under Securities and Futures (Client Money) Rules

This 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 our behalf ("Monies").

Unless otherwise defined, all the terms used in this Standing Authority shall have the same meanings as in the Securities and Futures Ordinance and the Securities and Futures (Client Money) Rules as amended from time to time.

This Standing Authority authorizes the Company to:

1. 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 its Affiliates from time to time and the Company may transfer any sum of Monies to and between such segregated account(s) to satisfy our obligations or liabilities to the Company or any its Affiliates, whether such obligations and liabilities are actual, contingent, primary or collateral, secured or unsecured, or joint or several; and
2. set-off or transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by the Company.
3. exchange our Monies into any other currency(ies) at the rate of exchange conclusively determined by the Company.

The Company may do any of these things above without giving us notice.

This authority is given to the Company in consideration of its agreeing to continue to maintain our securities cash and/or margin account(s).

This authority is given without prejudice to other authorities or rights which the Company may have in relation to dealing in the Monies in the segregated accounts.

This authority is valid for a period of not more than 12 months until the end of every year.

This authority may be revoked by giving the Company written notice addressed to the Customer Services Department at its address specified above notified to us subsequently. Such notice shall take effect upon the expiry of 14 days from the date of the Company actual receipt of such notice.

We understand that this authority shall be deemed to be renewed on a continuing basis of further periods of not more than 12 months without our consent provided a written notification of renewal is issued to us at least 14 days before the expiry date of this authority, and we do not object to such deemed renewal before the expiry date.

This authority has been explained to us and we understand and agree to the contents of this letter.

In the event of any difference in interpretation or meaning between the Chinese and English version of this letter, we agree that the English version shall prevail.

根據《證券及期貨(客戶款項)規則》所設立的常設授權

本授權書涵蓋中財證券有限公司為吾等在香港收取或持有並存放於一個或多個獨立帳戶內的款項(包括因持有並非屬於中財證券有限公司的款項而產生之任何利息)(下稱「款項」)。

除非另有說明,本常設授權書之名詞與《證券及期貨條例》及《證券及期貨(客戶款項)規則》不時修訂之定義具有相同意思。

本常設授權書授權中財證券有限公司:

1. 可組合或合併全部不時在中財證券有限公司以任何形式維持的獨立、聯名或其他帳戶,中財證券有限公司可將該等獨立帳戶內的任何數額的款項作出轉移,以解除吾等對中財證券有限公司的義務或法律責任,不論此等義務和法律責任是確實或必然、原有或附帶的、有抵押或無抵押的、共同或分別的;以及
2. 任何中財證券有限公司於任何時候維持的任何獨立帳戶之間來回撤銷或調動。
3. 中財證券有限公司可不需要在事前知會吾等,將帳戶內的款項以中財證券有限公司最終確定的匯率兌換成任何其他貨幣。中財證券有限公司可不向吾等發出通知而採取上述行動。

此賦予中財證券有限公司之授權乃鑑於同意繼續維持吾等之證券現金帳戶/保證金帳戶。

此賦予中財證券有限公司之授權並不損害中財證券有限公司可享有有關處理該等獨立帳戶內款項的其他授權或權利。

本授權書之有效期為不多於12個月,並於每年12月31日屆滿。

吾等可以向中財證券有限公司客戶服務部位於上述列明之地址發出通知,撤回本書面授權書。該等通知之生效日期為中財證券有限公司真正收到該等通知後14日起計。

吾等明白中財證券有限公司若在本常設授權有效屆滿前的最少14日之前,向吾等發出書面通知,提醒吾等本常設授權即將屆滿,而吾等沒有在此授權屆滿前反對此授權續期,本常設授權應當作在不需要吾等的書面同意下按持續的基準已被續期,每一延續有效期為不多於12個月。

此授權書已經向吾等解釋及說明,而吾等完全明白和同意此授權書的內容。

倘若本授權書的中文與英文本在解釋或意義方面有任何歧義,吾等同意以英文本為準。



Authorized Signature (With Company Chop) 授權簽署(附公司圖章)

Name of Signer: 簽署人名稱及職銜:

Position: 職銜:

Client No.: 帳戶號碼:

Date(dd/mm/yy): 日期(日/月/年):

GUARANTEE

Warning Notice to the Guarantor(s)

1. The Client (as defined below) has applied to utilize the securities and related services rendered by Zhongcai Securities Limited ("ZSL") on the securities of the Guarantee to be executed by the undersigned Guarantor.
2. Guarantor's liability under the Guarantee will be unlimited, if he/she/they decide to go on with the transaction and sign and execute the Guarantee.
3. Guarantors are recommended to instruct his/her/their own professional advisers (including lawyer) who will be able at every stage of the transaction to protect your interests and to give you independent professional (including legal) advice.

To: Zhongcai Securities Limited

In consideration of your agreeing to provide or continue to provide to _____ <Name of Client>
of _____ <address of Client> (the
"Client") securities and/or related services pursuant to terms and conditions for securities trading accounts between you and the Client as amended from time to time (the "T&C") (receipt of a copy whereof is hereby acknowledged), the undersigned hereby agrees as follows:

1. Unlimited Guarantee and Indemnity

- 1.1 I/We, the Guarantor(s) (see PARTICULARS OF THE GUARANTOR(S)), hereby unconditionally and irrevocably guarantee to you that, if for any reason the Client does not pay any sum due and payable by it under the T&C, including without limitation all interests, expenses, costs and losses payable thereunder, I/we as primary obligor will pay to you that sum on demand by you provided you shall not be under any obligation, whether to me/us, the Client or otherwise, to make any such demand or to make such demand at any particular time.
- 1.2 As between me/us and you but without affecting the Client's obligations, I/we shall be liable under this Guarantee as if I/we were the sole principal debtor and not merely a surety. I/We agree to pay you such sum as may be demanded by you whether or not you have demanded the Client for payment. Accordingly, I/we shall not be discharged, nor shall my/our liability be affected, by anything which would not discharge me/us or affect my/our liability if I/we were the sole principal debtor including without limitation:
 - (a) any time, indulgence, concession, waiver or consent at any time given to the Client or any other person;
 - (b) any amendment to the T&C;
 - (c) the making or failure or delay to make any demand on the Client or any other person for payment;
 - (d) the enforcement or failure or delay to enforce the T&C or this Guarantee;
 - (e) the taking, existence or release of any security interest or other guarantee;
 - (f) the winding-up, dissolution, death, insanity, incapacity or any change in the name, style or constitution or bankruptcy of the Client or any other person, or any step being taken for any such winding-up, dissolution or bankruptcy; or
 - (g) the illegality, invalidity or unenforceability of, or any defect in, any provision of this Guarantee or the T&C or any of the obligations of any of the parties under or in connection with this Guarantee or the T&C.
- 1.3 My/Our obligations under this Guarantee are and will remain in full force and effect by way of continuing security until no sum remains to be paid under the T&C and you have irrevocably received or recovered all sums payable under the T&C. Furthermore, those of my/our obligations are additional to any other right which you may possess and may be enforced without first having recourse to the Client, any other person or any other security interest. I/We irrevocably waive all notices and (except as required by the above Clause 1.1) demands of any kind.
- 1.4 I/We shall on demand indemnify you against any funding or other cost, loss, expense or liability sustained or incurred by you as a result of being required for any reason (including any bankruptcy, insolvency, winding-up or similar law of any jurisdiction) to refund all or part of any amount received or recovered by you in respect of any sum payable by the Client under the T&C and shall in any event pay to you on demand the amount so refunded by you.
- 1.5 As separate, independent and alternative stipulations, I/we unconditionally and irrevocably agree that any sum which, although expressed to be payable by the Client under the T&C, is for any reason (whether or not now existing and whether or not now known or becoming known to any party to the T&C) not recoverable from me/us on the basis of a guarantee shall nevertheless be recoverable from me/us as if I/we were the sole principal debtor and shall be paid by me/us to you on demand.
- 1.6 This Guarantee shall be binding on and enforceable against me/us and my/our executors, administrators, legal representatives, successors and assigns until the expiration of three months after your receipt of a written notice to determine this Guarantee served by me/us. Any such notice shall not release me/us in respect of liabilities existing before the expiration of the said notice.

2. Representations and Warranties

I/We represent and warrant to you and for your benefit as follows:

- 2.1 I/We have the power to enter into, exercise my/our rights and perform and comply with my/our obligations under this Guarantee.
- 2.2 All actions, conditions and things required to be taken, fulfilled and done (including the obtaining of any necessary consents) in order to enable or ensure the following have been taken, fulfilled or done:
 - (a) I/we lawfully enter into, exercise my/our rights and perform and comply with my/our obligations under this Guarantee,
 - (b) that those obligations are valid, legally binding and enforceable, and
 - (c) that those obligations rank and will at all times rank at least equally and rateably in all respects with all my/our other unsecured indebtedness except for such unsecured indebtedness as would, by virtue only of the operation of law, be preferred in the event of my/our winding-up, dissolution or bankruptcy.
- 2.3 My/Our execution and performance of or compliance with my/our obligations under this Guarantee do not and will not violate or exceed any restriction granted or imposed by any law to which I am/we are subject or my/our constitutional documents, or result in the existence of, or oblige me/us to create, any security over my/our assets.
- 2.4 Each of the representations and warranties in this Clause 2 will be correct and complied with in all respects so long as any sum remains payable under the T&C as if repeated then by reference to the then existing circumstances.

3. Interest

I/We will pay interest to you, at the rate of interest applicable under the T&C to overdue sums, on all sums demanded under this Guarantee from the date of your demand or, if earlier, the date on which the relevant damages, losses, costs, liabilities or expenses arose in respect of which such demand has been made until the date of receipt of such sums by you (both before and after judgment) at such rate of interest applicable under the T&C to overdue sums.

給擔保人之警告性提示

1. 客戶(定義如下)已以閣下簽立之擔保書作保證申請使用本公司之證券交易相關服務。
2. 若閣下決定繼續進行交易並簽立擔保書,閣下在擔保書之下責任將為無限。
3. 建議閣下自行委托律師,以在交易之每個階段保障閣下之利益及向閣下提供獨立法律意見。

致:中財證券有限公司

鑒於貴公司同意或持續按照貴公司與客戶訂立之證券交易帳戶條款及條件及其不時之修訂(「條款及條件」)(現認收其副本)向(客戶姓名)

客戶地址為_____

提供證券交易及相關服務,本擔保書簽署人現同意如下:

1. 無限額擔保及彌償

- 1.1 本人/我們以擔保人之身份現無條件及不可撤回地向貴公司保證如客戶沒有支付任何根據證券交易帳戶條款及條件到期及須支付之款項,包括但不限於證券交易帳戶條款及條件所須支付之利息、開支、費用及損失,本人/我們作為主要義務人將會向貴公司支付貴公司要求支付之款項,惟貴公司對本人/我們、客戶或其他人士並無任何責任作出任何該等要求或在任何特定時候作出該等要求。
- 1.2 在本人/我們與貴公司之間(但不影響客戶的責任),本人/我們在本擔保書下應負有猶如本人/我們是唯一的主要債務人一樣的責任而非僅為擔保人。本人/我們同意向貴公司支付貴公司要求之款項,不論貴公司有否要求客戶付款。若本人/我們為唯一主要債務人而責任不會獲解除或受影響之任何事情不會相應地解除或影響本人/我們的責任,該等事情包括但不限於:
 - (a) 在任何時候向客戶或任何其他人士所給予的任何時間、容忍、讓步、寬免或同意;
 - (b) 任何對條款及條件的修訂;
 - (c) 對客戶或任何其他人士作出或未能或延遲作出的付款要求;
 - (d) 執行或未能或延遲執行條款及條件或本擔保書;
 - (e) 任何擔保權益或其他擔保之採納、存在或解除;
 - (f) 客戶或任何其他人士之清盤、解散、身故、精神錯亂、無行為能力或名稱、稱號或組成之更改或破產或被採取任何該清盤、解散或破產之任何步驟;或
 - (g) 本擔保書或條款及條件之任何條款或任何一方在本擔保書或條款及條件下或與之有關之任何責任之不合法、無效或不可強制執行或任何欠妥之處。
- 1.3 本人/我們在本擔保書下責任為持續擔保,並保持具有十足效力及作用,直至證券交易帳戶條款及條件下之款項繳清而貴公司已不可撤回地收取或收回所有證券交易帳戶條款及條件下須支付之款項為止。此外本人/我們之責任均附加於貴公司所可能擁有的其他權利,並可毋須先向客戶、任何其他人士或任何其他擔保權益追索下執行。本人/我們等不可撤回地免除所有任何形式之通知及(上文第1.1條規定則除外)付款通知。
- 1.4 本人/我們須應要求就貴公司因任何理由(包括任何破產、無力償債、清盤或任何司法管轄區之相類法律)而被要求退還全部或部分貴公司就客戶在條款及條件下須支付之任何款項而收取或追討之款項而蒙受或招致之任何款項或其他費用、損失、開支或責任,對貴公司作出彌償,並須在任何情況下應要求向貴公司支付貴公司所退還之款項。
- 1.5 作為一個別、獨立及交替的規定,本人/我們無條件及不可撤回地同意因任何理由(不論是否現時存在及不論條款及條件任何一方是否已經或將會知悉)而基於擔保向本人/我們追討之任何款項,(儘管在相關條款及條件中明文規定須由客戶支付)將可向本人/我們追討,猶如本人/我們為唯一主要債務人一樣,並將由本人/我們應要求向貴公司支付。
- 1.6 本擔保書應對本人/我們及本人/我們之遺產承辦人、遺產管理人、合法代表、繼承人及受讓人均具約束力並可強制執行,直至貴公司收到本人/我們送達貴公司之書面終止擔保書通知書後三個月屆滿為止。任何該通知書不應解除本人/我們在該通知書期限屆滿前所存在的責任。

2. 陳述及保證

本人/我們為貴公司之利益向貴公司陳述及保證:

- 2.1 本人/我們有權訂立本擔保書、行使本人/我們在本擔保書下之權利及履行及遵守本人/我們在本擔保書下之責任。
- 2.2 為致使或確保下列事項須採取、履行及作出之所有行動、條件及事情已獲採取、履行或作出:
 - (a) 本人/我們合法地訂立本擔保書、行使本人/我們在本擔保書下之權利及履行及遵守本人/我們在本擔保書下之責任;
 - (b) 本擔保書下之責任的有效性法律約束力及可強制執行性;及
 - (c) 本擔保書下之責任的排列次序在各方面均會及將會時刻最少與本人/我們等其他無抵押債項相等,但在本人/我們清盤、解散或破產時藉法律的施行而較為佔優之無抵押債項除外。
- 2.3 本人/我們執行、履行或遵守本人/我們在本擔保書下之責任並不會及將不會違反或超逾本人/我們須受之規管之任何法律或本人/我們之組成文件所授予或加諸之任何限制,或導致本人/我們之資產出現或致令本人/我們有責任設立任何抵押。
- 2.4 凡在條款及條件下仍有任何須繳付之款項,則本第2條中之每項陳述及保證在各方面將為正確及獲遵從猶如已參照當時情況而重覆一樣。

3. 利息

本人/我們將自貴公司要求付款當日或產生引致該付款要求之賠償、損失、費用、責任或開支之較早日子起,支付按適用於條款及條件下之逾期欠款之該利率計算的利息,直至貴公司收取該款項為止(判決之前及之後)。

4. 付款

- 4.1 本人／我們在本擔保書下須支付之所有款項應不受任何限制或條件及不被扣減或預扣(法律規定則除外)影響，不論是因稅項、以抵銷或其他形式作出，而任何付款應相應增加至達到該目的所必要之程度。
- 4.2 在本人／我們須支付任何款項之日期，本人／我們應以港幣或貴公司所選擇之貨幣向貴公司支付在條款及條件下所須支付之相關款項。款項應以即時可動用之資金支付至貴公司所指定之該帳戶。

5. 抵銷

除貴公司在法律下所可能享有之任何一般留置權或相類權利外，貴公司亦可隨時將本人／我們在貴公司或貴集團之任何成員之任何類型及任何貨幣及不論是個人或與其他人士共同持有之帳戶中之任何款項抵銷或轉移以解除本人／我們欠負貴公司或貴集團任何成員之所有債務而不作事先通知，不論該債務為主要、附屬、各別、共同以其他貨幣為面值。只要任何欠負貴公司或貴集團任何成員之債務為或有或將來的，貴公司向本人／我們支付任何該等帳戶中之任何款項之責任將暫緩至足以涵蓋該數額之程度，直至該或有或將來之事宜發生為止。為本條之目的，若任何公司直接或間接控制、受控於貴公司或與貴公司共同受控，該公司為貴集團成員。

6. 轉讓

- 6.1 本人／我們不可轉讓或轉移本人／我們在本擔保書下之所有或任何權利或責任。
- 6.2 貴公司可轉讓或轉移貴公司在此下之全部或部份權利、利益及責任予貴公司按其絕對決定權認為合適的該等人士，及向準受讓人或擬與貴公司就本擔保書訂立合約安排之任何其他人士透露關於本人／我們之資料。

7. 其他事項

- 7.1 貴公司未能或延遲公司使本擔保書之任何權利、權力或特權均不應作寬免用，對任何該權利、權力或特權之單一或部份行使、執行或寬免不應妨礙貴公司之進一步行使、執行或對此下任何其他權利、權力或特權之行使或執行。
- 7.2 本擔保書之權利及補救方法為可積累而不排除任何其他權利或補救方法(不論是否法律規定)。
- 7.3 若本人／我們由多於一位人士組成，各人在此下將負共同及各別的責任。貴公司對任何一位該等人士所作之任何通知、付款或交付，應已十足及完滿履行在本擔保書下之通知、付款或交付之責任。
- 7.4 在本擔保書因任何理由被終止的情況下，貴公司可在簿冊上與客戶開立及維持一個新的或個別的帳戶，若貴公司實際上並沒有開立該新或個別帳戶，則貴公司應被視為經已在本擔保書終止時開立新的或個別的帳戶，而客戶自此以後支付予貴公司至該戶口的款項應存放至或被視為存放至所開立或被視為已開立之新的或個別帳戶中，而不應在本擔保書終止時被扣除作本擔保書所擔保之款項，惟本條所載之內容不應損害貴公司在此下謹獲擔保支付之款項之擔保。
- 7.5 貴公司有權在本擔保書所擔保之所有款項獲全數支付後保留本擔保書至貴公司認為合適之該時期。
- 7.6 若本擔保書中英文版本有任何歧異，以中文版本為準。

8. 通訊

- 8.1 在本擔保書下之每項通訊均應以傳真或以書面方式傳送或寄送至作出通訊之該方最後知悉之傳真號碼或地址。
- 8.2 本人／我們所發出之任何通訊應為不可撤回及在貴公司收到時方始生效。貴公司向本人／我們發出之任何通訊或通知均應被視為本人／我們已收取。

9. 部份失效

本擔保書之任何條文在任何司法管轄區之法律下變成不合法、失效或不可強制執行不應影響其在任何其他司法管轄區之法律下及任何其他之合法性、有效性及可強制執行性。

10. 個人資料

本人／我們已閱畢並明白貴公司至客戶有關個人資料(私隱)條例向客戶發出的通知並同意貴公司持有本人／我們之個人資料可為當中所載之目的(可不時修改)使用及向當中所載之該等類別人士(可不時修改)透露。

11. 管轄法律

本擔保書將受中華人民共和國香港特別行政區之法律所規管並據之解釋。本人／我們謹此接受中華人民共和國香港特別行政區法院之非獨有司法管轄權所規管。

擔保人資料

擔保人名稱 : _____

身份證／護照號碼(請提供證明副本) : _____

電話／傳真號碼 : _____

住宅／註冊地址 : _____

日期: _____年 _____月 _____日

只適用於個人作擔保人

擔保人姓名) _____
) 擔保人簽署

見證人姓名) _____
身份證／護照號碼) _____
地址) _____
) _____
見證人簽署

Note 注意：This Account Opening form must be accompanied by 本開戶表須附有：

1	<input type="checkbox"/>	Certified true copy of Certificate of Incorporation	公司註冊證的核證副本
2	<input type="checkbox"/>	Certified true copy of Business Registration Certificate(for Company registered in HK)	商業登記證的核證副本(適用於香港註冊登記之公司)
3	<input type="checkbox"/>	Certified true copy of Memorandum & Articles of Association	公司章程的核證副本
4	<input type="checkbox"/>	Certified true copy of latest audited account or financial statements	最近的核數師報告或財政報告的核證副本
5	<input type="checkbox"/>	Certified true copy of Latest Register of Directors and Register of Shareholders	最近之董事名冊及股東名冊的核證副本
6	<input type="checkbox"/>	Certified true copy of board resolution authorizing the opening of an Account with Zhongcai Securities Limited and the appointment of authorized persons to give instructions in relation to the Account (with the full name of the authorized person, their signatory specimen, and their capacity/authority)	授權在中財證券有限公司開立帳戶及委任獲授權有關開立戶口事宜並註明所有授權簽名人士就帳戶給予指示的董事會決議的核證副本(須包括授權人全名、簽名式樣以及授予之權力)
7	<input type="checkbox"/>	Copy of ID card or valid passport of all substantial shareholders (who is entitled to exercise, or control the exercise of, 10% or more of voting power at the general meeting of the company), ultimate beneficial owners, all authorized persons and directors	所有大股東(在該公司股東大會上行使或控制行使10%或以上投票權的人士)、最終受益人、授權人士及董事之有效身分證/護照證明副本
8	<input type="checkbox"/>	Residential address proof of all substantial shareholders and ultimate beneficial owner	大股東及最終受益擁有人之有效核住址證明
9	<input type="checkbox"/>	Business address proof within last 3 months (if such address is different from the registered office address shown in the Business Registration Certificate or Certificate of Incumbency)	最近3個月公司業務地址證明(如與商業登記證或職權證明書中的公司登記地址不同)
10	<input type="checkbox"/>	For locally incorporated company: a search of file at the Hong Kong Company Registry OR obtain from the client a certified true copy of a company search report certified by a company registry or professional third party (remarks: the company search report should have been issued within the last 6 months)	在本地註冊的公司：搜尋香港公司註冊處的檔案或向客戶取得一份由公司註冊處或專業第三者認證的公司查冊報告的認證副本(註：該公司查冊報告應在過去6個月內簽發)
11	<input type="checkbox"/>	For a company incorporated overseas: certified true copy of a certificate of incumbency certified by a professional third party (remarks: the certificate of incumbency should have been issued within the last 6 months)	在海外註冊的公司：由專業第三者認證的職權證明書認證副本(註：該證明書應在過去6個月內簽發)
12	<input type="checkbox"/>	For companies with multiple layers in their ownership structure (if applicable): 1) Ownership chart should be declared by director (include company name, place of incorporation and the rationale behind the structure); and 2) Follow the chain of ownership to the individuals who are the ultimate beneficial owners; 3) Certified true copy of ID card or valid passport of all substantial shareholders and ultimate beneficial owners; 4) Copy of Certificate of Incorporation and Latest Register of Directors of Intermediate Layers	有多層擁有權結構的公司(如適用) 1. 擁有權益表的董事聲明(包括公司名稱、公司註冊地、以及特定結構的理據);及 2. 依隨擁有權結構找出客戶的最終實益擁有人 3. 所有大股東及最終受益人之有效身分證/護照證明副本 4. 中介層公司的公司註冊證副本及最近之股東名冊
13	<input type="checkbox"/>	Personal Guarantee	個人擔保書

Documents should be certified by professional third party (e.g. practicing Solicitor, certified practicing accounts, or Notary Public). Self-certification by customer is NOT accepted.

所有核證副本，應由專業第三者認證(例如：執行律師/會計師)核證。本公司不接受由客戶自行認證。

FOR OFFICE USE ONLY 僅供本公司使用

Information 資料：

AE Code 經紀代號：_____

Commission Rate and Limits 佣金率及限額

Commission Rate 佣金率：_____ Minimum Commission 最低佣金：_____

Trading Limit 交易限額：_____ Credit Limit 信貸限額：_____

Checked by 檢查：_____ Reviewed by 查核：_____

Data Inputted by 資料輸入：_____ Data Input Checked by 資料檢查：_____

Remarks 備註：_____

Approved by RO 負責人員批核：_____ Date 日期：_____

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.

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 style="width: 100%; border: none;"> <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"/> Private foundation</td> <td><input type="checkbox"/> International organization</td> <td></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"/> Private foundation	<input type="checkbox"/> International organization	
<input type="checkbox"/> Corporation	<input type="checkbox"/> Disregarded entity	<input type="checkbox"/> Partnership											
<input type="checkbox"/> Simple trust	<input type="checkbox"/> Grantor trust	<input type="checkbox"/> Estate											
<input type="checkbox"/> Central Bank of Issue	<input type="checkbox"/> Tax-exempt organization	<input type="checkbox"/> Government											
<input type="checkbox"/> Private foundation	<input type="checkbox"/> International organization												
5 Chapter 4 Status (FATCA status) (See instructions for details and complete the certification below for the entity's applicable status.) <table style="width: 100%; border: none;"> <tr> <td style="width: 50%; vertical-align: top;"> <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"/> Participating FFI. <input type="checkbox"/> Reporting Model 1 FFI. <input type="checkbox"/> Reporting Model 2 FFI. <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. <input type="checkbox"/> Sponsored FFI. Complete Part IV. <input type="checkbox"/> Certified deemed-compliant nonregistering local bank. Complete Part V. <input type="checkbox"/> Certified deemed-compliant FFI with only low-value accounts. Complete Part VI. <input type="checkbox"/> Certified deemed-compliant sponsored, closely held investment vehicle. Complete Part VII. <input type="checkbox"/> Certified deemed-compliant limited life debt investment entity. Complete Part VIII. <input type="checkbox"/> Certain investment entities that do not maintain financial accounts. Complete Part IX. <input type="checkbox"/> Owner-documented FFI. Complete Part X. <input type="checkbox"/> Restricted distributor. Complete Part XI. </td> <td style="width: 50%; vertical-align: top;"> <input type="checkbox"/> Nonreporting IGA FFI. Complete Part XII. <input type="checkbox"/> Foreign government, government of a U.S. possession, or foreign central bank of issue. Complete Part XIII. <input type="checkbox"/> International organization. Complete Part XIV. <input type="checkbox"/> Exempt retirement plans. Complete Part XV. <input type="checkbox"/> Entity wholly owned by exempt beneficial owners. Complete Part XVI. <input type="checkbox"/> Territory financial institution. Complete Part XVII. <input type="checkbox"/> Excepted nonfinancial group entity. Complete Part XVIII. <input type="checkbox"/> Excepted nonfinancial start-up company. Complete Part XIX. <input type="checkbox"/> Excepted nonfinancial entity in liquidation or bankruptcy. Complete Part XX. <input type="checkbox"/> 501(c) organization. Complete Part XXI. <input type="checkbox"/> Nonprofit organization. Complete Part XXII. <input type="checkbox"/> Publicly traded NFFE or NFFE affiliate of a publicly traded corporation. Complete Part XXIII. <input type="checkbox"/> Excepted territory NFFE. Complete Part XXIV. <input type="checkbox"/> Active NFFE. Complete Part XXV. <input type="checkbox"/> Passive NFFE. Complete Part XXVI. <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. </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"/> Participating FFI. <input type="checkbox"/> Reporting Model 1 FFI. <input type="checkbox"/> Reporting Model 2 FFI. <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. <input type="checkbox"/> Sponsored FFI. Complete Part IV. <input type="checkbox"/> Certified deemed-compliant nonregistering local bank. Complete Part V. <input type="checkbox"/> Certified deemed-compliant FFI with only low-value accounts. Complete Part VI. <input type="checkbox"/> Certified deemed-compliant sponsored, closely held investment vehicle. Complete Part VII. <input type="checkbox"/> Certified deemed-compliant limited life debt investment entity. Complete Part VIII. <input type="checkbox"/> Certain investment entities that do not maintain financial accounts. Complete Part IX. <input type="checkbox"/> Owner-documented FFI. Complete Part X. <input type="checkbox"/> Restricted distributor. Complete Part XI.	<input type="checkbox"/> Nonreporting IGA FFI. Complete Part XII. <input type="checkbox"/> Foreign government, government of a U.S. possession, or foreign central bank of issue. Complete Part XIII. <input type="checkbox"/> International organization. Complete Part XIV. <input type="checkbox"/> Exempt retirement plans. Complete Part XV. <input type="checkbox"/> Entity wholly owned by exempt beneficial owners. Complete Part XVI. <input type="checkbox"/> Territory financial institution. Complete Part XVII. <input type="checkbox"/> Excepted nonfinancial group entity. Complete Part XVIII. <input type="checkbox"/> Excepted nonfinancial start-up company. Complete Part XIX. <input type="checkbox"/> Excepted nonfinancial entity in liquidation or bankruptcy. Complete Part XX. <input type="checkbox"/> 501(c) organization. Complete Part XXI. <input type="checkbox"/> Nonprofit organization. Complete Part XXII. <input type="checkbox"/> Publicly traded NFFE or NFFE affiliate of a publicly traded corporation. Complete Part XXIII. <input type="checkbox"/> Excepted territory NFFE. Complete Part XXIV. <input type="checkbox"/> Active NFFE. Complete Part XXV. <input type="checkbox"/> Passive NFFE. Complete Part XXVI. <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.										
<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"/> Participating FFI. <input type="checkbox"/> Reporting Model 1 FFI. <input type="checkbox"/> Reporting Model 2 FFI. <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. <input type="checkbox"/> Sponsored FFI. Complete Part IV. <input type="checkbox"/> Certified deemed-compliant nonregistering local bank. Complete Part V. <input type="checkbox"/> Certified deemed-compliant FFI with only low-value accounts. Complete Part VI. <input type="checkbox"/> Certified deemed-compliant sponsored, closely held investment vehicle. Complete Part VII. <input type="checkbox"/> Certified deemed-compliant limited life debt investment entity. Complete Part VIII. <input type="checkbox"/> Certain investment entities that do not maintain financial accounts. Complete Part IX. <input type="checkbox"/> Owner-documented FFI. Complete Part X. <input type="checkbox"/> Restricted distributor. Complete Part XI.	<input type="checkbox"/> Nonreporting IGA FFI. Complete Part XII. <input type="checkbox"/> Foreign government, government of a U.S. possession, or foreign central bank of issue. Complete Part XIII. <input type="checkbox"/> International organization. Complete Part XIV. <input type="checkbox"/> Exempt retirement plans. Complete Part XV. <input type="checkbox"/> Entity wholly owned by exempt beneficial owners. Complete Part XVI. <input type="checkbox"/> Territory financial institution. Complete Part XVII. <input type="checkbox"/> Excepted nonfinancial group entity. Complete Part XVIII. <input type="checkbox"/> Excepted nonfinancial start-up company. Complete Part XIX. <input type="checkbox"/> Excepted nonfinancial entity in liquidation or bankruptcy. Complete Part XX. <input type="checkbox"/> 501(c) organization. Complete Part XXI. <input type="checkbox"/> Nonprofit organization. Complete Part XXII. <input type="checkbox"/> Publicly traded NFFE or NFFE affiliate of a publicly traded corporation. Complete Part XXIII. <input type="checkbox"/> Excepted territory NFFE. Complete Part XXIV. <input type="checkbox"/> Active NFFE. Complete Part XXV. <input type="checkbox"/> Passive NFFE. Complete Part XXVI. <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.

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):
- | | |
|--|---|
| <input type="checkbox"/> Government | <input type="checkbox"/> Company that meets the ownership and base erosion test |
| <input type="checkbox"/> Tax exempt pension trust or pension fund | <input type="checkbox"/> Company that meets the derivative benefits test |
| <input type="checkbox"/> Other tax exempt organization | <input type="checkbox"/> Company with an item of income that meets active trade or business test |
| <input type="checkbox"/> Publicly traded corporation | <input type="checkbox"/> Favorable discretionary determination by the U.S. competent authority received |
| <input type="checkbox"/> Subsidiary of a publicly traded corporation | <input type="checkbox"/> 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.

自我證明表格 – 公司實體帳戶 (帳戶號碼: _____)

重要提示：

- 這是由帳戶持有人向中財證券提供的自我證明表格，以作自動交換財務帳戶資料用途。中財證券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。
- 如帳戶持有人的稅務居民身份有所改變，應儘快將所有變更通知中財證券。
- 除不適用或特別注明外，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。在標有星號 (*) 的項目為中財證券須向稅務局申報的資料。請在適當的方格內加上☒號。

第1部 實體帳戶持有人的身份識辨資料

(對於聯名帳戶或多人聯名帳戶，每名實體帳戶持有人須分別填寫一份表格)

(1) 實體或分支機構的法定名稱*

實體成立為法團或設立所在的稅務管轄區

(2) 商業登記號碼*

(3) 現時營業地址

地址：

街道：

城市*：

國家*：

郵政編碼：

(4) 通訊地址 (如通訊地址與現時營業地址不同，請填寫此欄)：

地址：

街道：

城市*：

國家*：

郵政編碼：

第2部 實體類別

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（如實體帳戶持有人是被動非財務實體，請填寫此部）

就帳戶持有人，填寫所有控權人的姓名在列表內。就法人實體，如行使控制權的並非自然人，控權人會是該法人實體的高級管理人員。每名控權人須分別填寫一份自我證明表格 - 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辨編號（以下簡稱「稅務編號」）*

** 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。列出所有（不限於 4 個）居留司法管轄區。

** 如帳戶持有人是香港稅務居民，稅務編號是其香港商業登記號碼。

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

** 如沒有提供稅務編號，必須填寫合適的理由：

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

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。

居留司法管轄區*	稅務編號*	如沒有提供稅務編號，請填寫理由 A、B 或 C	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
(1)			
(2)			
(3)			
(4)			

第5部 聲明及簽署

- ◆ 本人知悉及同意，中財證券可根據《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文，(a) 收集本表格所載資料並可備存作自動交換財務帳戶資料用途及 (b) 把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。
- ◆ 本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人(或本人獲帳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份，或引致本表格所載的資料不正確，本人會通知中財證券有限公司，並會在情況發生改變後 30 日內，向中財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。

正楷姓名：	簽署：
日期(日/月/年)：	
註：請列明閣下簽署本表格的身份(如「獲授權人員」)。如以授權人身份簽署，請附上授權書的核證副本。	
身份：	

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。

自我證明表格 – 公司控權人帳戶 (帳戶號碼: _____)

重要提示：

- 這是由控權人向中財證券提供的自我證明表格，以作自動交換財務帳戶資料用途。中財證券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。
- 如控權人的稅務居民身份有所改變，應儘快將所有變更通知中財證券。
- 除不適用或特別注明外，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。在標有星號 (*) 的項目為中財證券須向稅務局申報的資料。請在適當的方格內加上☒號。

第1部 控權人的身份識辨資料

(1) 控權人的姓名：

稱謂 先生 太太 女士 小姐 其他：

姓氏*

名字*

中間名

(2) 身份證號碼或護照號碼*：

(3) 現時住址：

地址：

街道：

城市*：

國家*：

郵政編碼：

(4) 通訊地址 (如通訊地址與現時住址不同，請填寫此欄)：

地址：

街道：

城市*：

國家*：

郵政編碼：

(5) 出生日期* (日/月/年)：

(6) 出生地點：

第2部 閣下作為控權人的實體帳戶持有人

請填寫閣下作為控權人的實體帳戶持有人的名稱。

實體	實體帳戶持有人的名稱
(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辨編號（以下簡稱「稅務編號」）*

** 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。列出所有（不限於 5 個）居留司法管轄區。

** 如帳戶持有人是香港/內地稅務居民，稅務編號是其香港/內地身份證號碼。

** 如沒有提供稅務編號，必須填寫合適的理由：

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

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。

居留司法管轄區*	稅務編號*	如沒有提供稅務編號，請填寫理由 A、B 或 C	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
(1)			
(2)			
(3)			
(4)			
(5)			

第4部 控權人類別

就第 2 部所載的每個實體，請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 25% 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 25% 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"/>

實體類別	控權人類別	實體(1)	實體(2)	實體(3)
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	處理相等 / 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, 中財證券可根據《稅務條例》(第 112 章) 有關交換財務帳戶資料的法律條文, (a) 收集本表格所載資料並可備存作自動交換財務帳戶資料用途及 (b) 把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報, 從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。
- ◆ 本人證明, 就與本表格所有相關的實體帳戶持有人所持有的帳戶, 本人是控權人 / 本人獲控權人授權簽署本表格#。
- ◆ 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份, 或引致本表格所載的資料不正確, 本人會通知中財證券有限公司, 並會在情況發生改變後 30 日內, 向中財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。

正楷姓名:	簽署:
日期(日/月/年):	
註: 如閣下並非控權人, 請列明你的身份。如以授權人身份簽署, 請附上授權書的核證副本。	
身份:	

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。

#請刪去不適用者

Source of Funds Declaration Form

資金來源申報表

Source of Funds of Client (You may choose more than one option) 客戶資金來源 (可作多項選擇)		
<input type="checkbox"/> (1) Business Profit 業務利潤	<input type="checkbox"/> (2) Salary (Income/Bonus) 工資 (收入/獎金)	<input type="checkbox"/> (3) Shares Holdings/Other Investment 持有股份/其他投資
<input type="checkbox"/> (4) Sale/Holding of Property 出售/持有物業	<input type="checkbox"/> (5) Retirement Income 退休收入	<input type="checkbox"/> (6) Investment on Insurance Products 保險產品的相關投資
<input type="checkbox"/> (7) Loan/Interest 貸款/利息	<input type="checkbox"/> (8) Gift 餽贈	<input type="checkbox"/> (9) Inheritance 遺產
<input type="checkbox"/> (10) Sale of Company 出售公司	<input type="checkbox"/> (11) Others 其他	
Based on the tick-box selected, please provide the corresponding required additional information in relation to the Source of Funds. 根據以上打勾的選擇，請提供有關資金來源的相應額外資料。		
(1) Business Profit 業務利潤	Nature of Business 業務名稱/性質	
	Details of Turnover in the past 12 months, and Budgets/Ratio for Investing Financial Instruments. 營業額詳情及預算用作投資金融產品的金額或比例	
(2) Salary (Income/Bonus) 工資 (收入/獎金)	Employer's Name and Address 僱主姓名及地址	
	Employer's Telephone Number 僱主電話號碼	
(3) Shares Holdings /Other Investment 持有股份/其他持有投資	Description of Shares/Units/Deposits 股份/單位/存款說明	
	Value of Shares/Investment Holdings 股份/投資的價值	
(4) Sale/Holding of Property 出售/持有物業	Details/Address of Property 物業詳情/地址	
	Date of Sale/Holding 出售/持有日期	
	Total Value of Sale/Valuation of Property 總出售價值/估值	

(5) Retirement Income 退休收入	Retirement Date 退休日期	
	Details of Profession/Occupation Before Retirement 退休前的專業/職業詳情	
	Name and Address of Last Employer 前僱主姓名及地址	
	Approx. Salary Amount on Retirement (p. a.) 退休時的概約年薪	
(6) Investment on Insurance Products 保險產品的相關投資	Pension Income 退休金收入	
	Description of Maturing Investments 即將到期的投資詳情	
	Maturing Proceeds 即將到期的收益	
(7) Loan/Interest 貸款/利息	Date of Maturity 到期日	
	Name of Bank/Financial Institution 銀行/財務機構名稱	
	Date of Loan 貸款日期	
(8) Gift 餽贈	Total Amount 總金額	
	Reason for Gift 獲餽贈的原因	
	Relationship to Client 與客戶的關係	
	Date Received 接收日期	
(9) Inheritance 遺產	Total Amount 總金額	
	Date Received 接收日期	
	Details of Inheritance 遺產詳情	
(10) Sale of Company 出售公司	Total Amount of Sales 總出售金額	
	Date of Sale 出售日期	
	Name and Nature of Company 公司名稱及性質	
	Client's Holding Share 客戶佔有的份額	
(11) Others 其他	From whom/where 從哪獲取	
	Amount 金額	
	Nature of Source 來源性質	

Declaration of Client 客戶聲明

I/We declare that the information provided on this Source of Funds Declaration Form is true and complete. I/We agree to provide Zhongcai Securities Limited ("ZSL") with any further information or documentary evidence in respected of the funds upon request. I/We further agree to ZSL contacting any third party to obtain additional information on the source of fund, if required. 本人/本人等聲明就此資金來源申報表提供的資料屬真實及完整。本人/本人等同意應要求向中財證券有限公司（「中財證券」）提供有關資金的任何其他資料或證明文件。本人/本人等進一步同意中財證券按需要聯繫任何第三方，以獲取有關資金來源的其他資料。

Name 姓名:	Signature 簽名
Company Name 公司名稱:	
Capacity 簽署人身份:	
Date 日期:	

For internal use only 只供內部使用

Responsible Officer:	Responsible Officer:	Compliance Department:
Name:	Name:	Name:
Date:	Date:	Date: