



**Minerva Holding Financial Securities Limited**  
**贏控金融證券有限公司**

## **Minerva Holding Financial Securities Limited**

**Account Opening Form – Corporate/ Sole Proprietorship/ Partnership**

**(English version)**

(Licensed with the Securities and Futures Commission as a licensed corporation) (CE No. AFE798) for dealing in securities under Type 1 of Part 1 in Schedule 5 to the Securities and Futures Ordinance and an exchange participant of The Stock Exchange of Hong Kong Limited.)

Address : Unit 1804, 18/F, Far East Finance Centre, 16 Harcourt Road, Admiralty, Hong Kong  
Telephone : 3741 8000  
Fax : 2530 4054  
Email : [cs@minervasec.hk](mailto:cs@minervasec.hk)  
Website : [www.minervasec.hk](http://www.minervasec.hk)

Account No.: \_\_\_\_\_

Date: \_\_\_\_\_

## CLIENT INFORMATION FORM

(Corporate/Sole Proprietor/Partnership Account)

### Account Types

<input type="checkbox"/> Cash Account	<input type="checkbox"/> Margin Account	<input type="checkbox"/> Others: _____
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### Client information - Corporate Information

Name of Client (in English):				
Name of Client (in Chinese, if any):				
<input type="checkbox"/> Private Ltd Co	<input type="checkbox"/> Public Ltd Co	<input type="checkbox"/> Sole Proprietor	<input type="checkbox"/> Partnership	<input type="checkbox"/> Others: (please specify): _____
Place of Incorporation:			Date of Incorporation:	
Certificate of Incorporation No.:			Business Registration No.:	
Nature of Business:				
Registered Address:				
Business Address (if different):				
Tel No.:			Fax No.:	
E-mail:				
Correspondence (choose one only. All correspondence, including statements of account, will be sent to the following address):				
<input type="checkbox"/> E-mail Address [by choosing "E-mail Address", you consent to be bound by the "Terms for Electronic Communications and Client's Declaration" below]				
<input type="checkbox"/> Registered Address				
<input type="checkbox"/> Business Address				
<input type="checkbox"/> *Others: _____				
(*Please provide address proof within the last 3 months for any other correspondence address)				
<b><u>Terms for Electronic Communications and Client's Declaration</u></b>				
<p>I/We acknowledge and accept the risks of receiving all the communications (the "Communications") via electronic communication, including but not limited to the risks as set out in the Cash/Margin Client's Agreement and agree and undertake to hold you harmless from and against all losses, damages, interests, costs, expenses, actions, demands, claims or proceedings of whatsoever nature which I/we may incur, suffer and/or sustain as a result of your provision of the Communications via electronic communication. I/We understand that I/we can only choose receiving the Communications either via physical mail or via electronic communication. Once chosen electronic communication, I/we will not receive any Communications by physical mail. During this period, I/we undertake to immediately notify you of any change in my/our e-mail address. If you receive two successive messages</p>				

in relation to the failure of sending the Communications to my/our e-mail address electronically, you have the right to use physical mail instead of electronic communication. In the event of any difference in the interpretation or meaning between the English and Chinese version of this Declaration, I/we agree that the English version shall prevail. You have explained this Declaration to me/us. I/We declare that I/we fully understand the contents of this Declaration.

**Electronic Securities Trading Services – Internet Services and Mobile App Services**

You request us to provide internet services and mobile application, “Minerva Holding Financial Securities Limited” for your securities account(s) opened with us. You agree that you shall be bound by the Terms in Connection with Internet Services set out in

Yes       No

**Financial Position (in HK\$) (Please provide supporting documents E.g. Latest Tax Return, Bank Statement etc.)**

Source of Income/Fund:	
<input type="checkbox"/> Investment Income <input type="checkbox"/> Business Profit <input type="checkbox"/> Shareholder Fund <input type="checkbox"/> Dividend/Interest	
<input type="checkbox"/> Grants <input type="checkbox"/> Loan <input type="checkbox"/> Others: _____	
Authorized Share Capital:	
Issued Share Capital:	
Turnover:	Net Equity:
Gross Profit/(Loss) for the last year:	
Net Profit/(Loss) for the last year:	

**Investment Objectives (please tick as appropriate, you may tick more than one item)**

<input type="checkbox"/> Long Term Investment	<input type="checkbox"/> Stable Growth	<input type="checkbox"/> Short Term Investment
<input type="checkbox"/> Dividend Yield Stocks	<input type="checkbox"/> Growth Stocks	<input type="checkbox"/> Speculative Stocks
<input type="checkbox"/> Hedging	<input type="checkbox"/> Others (please specify): _____	

**Investment Experience**

Types of Products	Certificate of Deposit, Capital Protected Products, Bonds or Bond Funds	Equity Funds or Stocks	Hedge Fund, Foreign Exchange, Margin A/C, Structured Products or Derivatives
No. of Year(s)			
No. of Transaction(s) per Year			
Typical Transaction Size (in HK\$)			

**Derivative Products Experience**

Have you traded 5 or more transactions in any derivative or structure products whether traded on exchange or not, within the past 3 years?

Yes       No

**Bank Account Information**

Name of Bank:	
Account Number:	

**Persons authorized to give trading instructions**

Name	HKID/Passport No.	Telephone No.	Specimen Signature

**Persons authorized to sign and give settlement instructions**

Name	HKID/Passport No.	Telephone No.	Specimen Signature

**Signing Instruction:**

The signing instruction for Authorized Person is:

signing singly
  signing wholly
  Others, \_\_\_\_\_

**Directors**

Name	HKID/Passport No.	Nationality

**Shareholders**

Name	HKID/Passport No.	Nationality	% of Shareholding	Identity of U.S. Person - (i.e. U.S. citizen, U.S. Resident, U.S. Passport or Green Card Holder)
				<input type="checkbox"/> No <input type="checkbox"/> Yes, *TIN: _____
				<input type="checkbox"/> No <input type="checkbox"/> Yes, *TIN: _____
				<input type="checkbox"/> No <input type="checkbox"/> Yes, *TIN: _____

\*TIN: Tax Identification Number

**Relationship with Listed Companies**

Is the Client/ Client's associate is a director, employee or shareholder (Above 5%) of any listed company?

No
  Yes. Please specify. \_\_\_\_\_

**CLIENT'S DECLARATION**

To: Minerva Holding Financial Securities Limited,	Client's initial
I/We confirm and represent that the information on this Client Information Form is true, complete and correct and that the representations in the attached agreement are accurate. You are entitled to rely fully on such information and representations for all purposes, unless you receive notice in writing of any change. You are authorized at any time to contact anyone, including our banks, brokers or any credit agency, for the purpose of verifying the information provided on this Client Information Form.	
I/We, the undersigned client(s), acknowledge and confirm that I/we have read and understood and accepted the provisions of the Cash/Margin Client's Agreement.	
I/We acknowledge and confirm that: <ul style="list-style-type: none"> <li>- The Risk Disclosure Statements were provided in a language of my/our choice (English or Chinese); and</li> <li>- I/we was/were invited to read the Risk Disclosure Statements, to ask questions and take independent legal, financial and other advice if I/we wish.</li> </ul>	
I/We have carefully read the Risk Disclosure Statements and fully understand the contents and meanings thereof and agree to be bound by the same.	
I/We have attached certified copies of the following documents*: <input type="checkbox"/> Memorandum and Articles of Association <input type="checkbox"/> Certificate of Incorporation (If the Certificate of Incorporation obtained is not issued within the last 12 months, a Certificate of Good Standing MUST be provided.) <input type="checkbox"/> Certificate of Business Registration <input type="checkbox"/> Latest List of Directors and List of Shareholders <input type="checkbox"/> Identity document and residential address proof of all Authorized Persons, Directors and Shareholders <input type="checkbox"/> Copy of Visitor's entry permit and immigration record (for Authorized Person being non-HK resident) <input type="checkbox"/> The most recent Annual Return <input type="checkbox"/> Correspondence address proof within the last 3 months <input type="checkbox"/> Certificate of Incumbency for BVI and other Overseas companies <input type="checkbox"/> Company Group Chart <input type="checkbox"/> Personal Continuing Guarantee Unlimited	
I/we acknowledge and confirm receipt of the Cash/Margin Client Agreement in a language of my/our choice (English or Chinese)	

**CLIENT'S CONFIRMATION**

(The client's signature below will be treated as specimen signature for verifying written instructions)

Client's Name(s):	
Client's Signature(s) with company chop:	
Date:	

\*It is at MHFS's sole discretion to decline such application if the required document cannot be provided by the new client within 30 days from the date of application

## LICENSED PERSON'S DECLARATION

I, \_\_\_\_\_ (Name of Licensed Person), confirming that I have:

- Provided the Risk Disclosure Statements in a language of the client's choice (English or Chinese); and
- Invited the client to read the Risk Disclosure Statements, ask questions and seek independent advice if the client wishes.

Licensed Person's Signature:
SFC CE Number:
Date:

## WITNESS

I, the undersigned, have witnessed the signature and inspected the original identity documents of the above-named client.

Full Name of Witness:	
Witness's Occupation:	
Witness's ID/Passport number:	
Witness's Signature:	
Date:	

## ACKNOWLEDGEMENT AND EXECUTION BY MINERVA HOLDING FINANCIAL SECURITIES LIMITED

Authorized Signatory/Company Chop
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## AUTHORISATION LETTER FOR MARGIN ACCOUNT

Minerva Holding Financial Securities Limited

Unit 1804, 18/F, Far East Finance Centre, 16 Harcourt Road, Admiralty, Hong Kong

Date:

Dear Sirs,

I/We \_\_\_\_\_ (Name of Client(s)) hereby, pursuant to the Securities and Futures Ordinance (Cap 571) Subsidiary Legislation Securities and Futures (Client Securities) Rules, authorize you, for a period of twelve months from the date hereof in relation to all securities purchased or held for or on my/our behalf to: -

- (i) deposit such securities as collateral for loans or advances made to you by an authorized institution as defined by the Banking Ordinance;
- (ii) deposit such securities with Hong Kong Securities Clearing Company Limited as collateral for the discharge and satisfaction of your obligations and liabilities under the General Rules of the Central Clearing and Settlement System. I/We understand that Hong Kong Securities Clearing Company Limited will have a first fixed charge over my/our securities to the extent of your obligations and liabilities; and
- (iii) borrow or lend such securities for the purpose of the fulfillment of settlement obligations between members of The Stock Exchange of Hong Kong Limited (the "Exchange")

Such stock borrowing and lending are to be in accordance with the Exchange regulations. Any consideration payable by or to me/us for the borrowing, lending, or deposit of securities under this authorization is to be set by separate treaty.

You may do any of these things without giving me/us notice.

You remain responsible to me/us for securities borrowed, loaned, or deposited under this authorization.

I/We understand that such securities may be subject to liens of third parties and return of such securities to me/us may be subject to satisfaction of such liens.

The authorization given hereunder may be revoked by giving you a written notice addressed to your address specified in the margin client's agreement or such other address which you may notify me/us in writing for this purpose. Such notice shall take effect upon the expiry of 14 days from the date of your actual receipt of such notice.

I/We understand that the authorization shall be deemed to be renewed on a continuing basis without my/our written consent if you issue me/us a written reminder at least 14 days prior to the expiry date of the authorization, and I/we do not object to such deemed renewal before such expiry date.

Yours faithfully,

\_\_\_\_\_  
Client's Signature(s)

**Minerva Holding Financial Securities Limited**  
**U.S Foreign Account Tax Compliance Act (FATCA)**

**Due Diligence on Corporations and Registered Financial Institutions**

**U.S. Indicia**

Account Number 客戶號碼: \_\_\_\_\_

Client Name 客戶姓名: \_\_\_\_\_

Account Executive 客戶主任: \_\_\_\_\_

**Declaration by Client**

**Part A: Please tick and complete as appropriate: 甲部: 請選擇合適選項:**

- (a)  The entity is a *Specified U.S. Person* and the entity's U.S. federal taxpayer identifying number (U.S. TIN) is as follows:  
實體為特定美國人及其美國聯邦稅務身份編號(U.S. TIN) 如下:
- (b)  The entity is a U.S. Person that is not a Specified U.S. Person.  
實體為美國人而非特定美國人。
- (c)  None of the above – Please complete Part B.  
以上皆不是 – 請完成乙部。

**Part B: Entity FATCA Classification: 乙部: FATCA 實體分類:**

**B-1** If you are a *Registered Financial Institution*, please tick one of the below categories, and provide your *FATCA GIIN* 如果閣下是已註冊金融機構, 請選擇下列類別, 並提供 *FATCA* 全球中介人識別碼

- (a)  Hong Kong or IGA Partner Jurisdiction Financial Institution 香港或跨政府協議司法管轄區夥伴金融機構
- (b)  Registered Deemed Compliant Foreign Financial Institution 已註冊的視作合規海外金融機構
- (c)  Participating Foreign Financial Institution 參與的外國金融機構

**B-1.1** Please provide your *Global Intermediary Identification number (GIIN)*: 請提供閣下的 全球中介人識別碼(*GIIN*):

**B-2** If you are a *Financial Institution but unable to provide a GIIN*, please tick one of the below reasons: 如閣下是金融機構但無法提供 *GIIN*, 請選擇下列原因:

- (a)  The Entity is a Model 1 Financial Institution and has not yet obtained a GIIN but intends to do so, if required. 實體為版本一之金融機構, 如有需要便將獲取 GIIN。
- (b)  The Entity is a Sponsored Financial Institution and has not yet obtained a GIIN but is sponsored by another entity that has registered as a Sponsoring Entity. Please provide: 實體為未獲得 GIIN 的受保薦金融機構但其保薦實體已經註冊。請提供:  
Sponsoring Entity's Name: Sponsoring Entity's GIIN: 保薦實體名稱: 保薦實體的 GIIN: \_\_\_\_\_
- (c)  The Entity is a Trustee Documented Trust. Please provide: 實體為信託受託人管理的信託基金。請提供:  
Sponsoring Trustee's Name: Sponsoring Trustee's GIIN: 保薦信託受託人名稱: 保薦信託受託人 GIIN: \_\_\_\_\_



(d)  The Entity is a Certified Deemed Compliant, or otherwise Non-Reporting Foreign Financial Institution (including a Foreign Financial Institution deemed compliant under Annex II of an IGA, except for a Trustee Documented Trust or Sponsored Financial Institution). 實體為經認證的視作合規海外金融機構，或非報告的海外金融機構(包括於跨政府協議附件二下被視作合規的海外金融機構，信託受托人管理的信托基金或受保薦金融機構除外)。

(e)  The Entity is an Excepted Foreign Financial Institution. 實體為除外的海外金融機構。

(f)  The Entity is a Non-Participating Foreign Financial Institution. 實體為非參與的海外金融機構。

**B-3** If you are not a Foreign Financial Institution, please confirm the Entity's FATCA status below: 如閣下並非海外金融機構，請確認實體之 FATCA 身份：

(a)  The Entity is an *Exempt Beneficial Owner* 實體為豁免受益人

(b)  The Entity is an *Active Non-Financial Foreign Entity* (i.e., Active NFFE, including an Excepted NFFE) 實體為活躍式非金融海外實體 (即：活躍式 NFFE, 包括除外的非金融海外實體)

(c)  The Entity is a *Passive Non-Financial Foreign Entity, and* 實體為被動式非金融海外實體，及

The Entity has no *Controlling Persons* that are U.S. citizen or resident in the U.S. for tax purposes; or 實體沒有控權人士是美國公民或居民；或

The Entity has provide details of any *Controlling Persons* that are U.S. citizen or resident in the U.S. for tax purposes. 實體已提供身為美國公民或居民的控權人士資料。

\_\_\_\_\_  
Authorized Signature (with Company Chop)

\_\_\_\_\_  
Date

**Declaration by Account Executive (Registered Person)**

I, \_\_\_\_\_, confirming that I have explained to the client of the above U.S. Indicia questionnaire in a language of the client understandable.

\_\_\_\_\_  
Registered Person's Signature  
(W-8BEN-E)

\_\_\_\_\_  
SFC CE Number

\_\_\_\_\_  
Date

**UPDATED INFORMATION FOR USERS OF FORM W-8BEN-E --  
USE OF FORM W-8BEN (REVISION DATE FEBRUARY 2006)  
BEFORE JANUARY 1, 2015**

The Form W-8BEN-E reflects changes made by the Foreign Account Tax Compliance Act (FATCA) and is for use by beneficial owners that are entities. Entities also may use the Form W-8BEN (revision date February 2006) through December 31, 2014.

For purposes of chapter 3 of the Internal Revenue Code, a Form W-8BEN (revision date February 2006) provided to a withholding agent by an entity before January 1, 2015 will remain valid until the form's validity expires under Treasury Regulations section 1.1441-1(e)(4)(ii).

For purposes of chapter 4 of the Internal Revenue Code, a Form W-8BEN (revision date February 2006) provided to a withholding agent by an entity before January 1, 2015 is and will remain valid to the extent permitted in Treasury Regulations section 1.1471-3(d)(1) (describing the allowance for use of a "pre-FATCA Form W-8"). See also Treasury Regulations section 1.1471-2T(a)(4)(ii) (describing a transitional exception to withholding for certain payments made with respect to a preexisting obligation).

A withholding agent may request that you provide a Form W-8BEN (revision date February 2006) before January 1, 2015. The Form W-8BEN (revision date February 2006) can be found on [irs.gov](http://irs.gov) in the Forms and Publications section, under the "Prior Year Forms" tab, by searching the cumulative list of forms posted there for the term "Form W-8". It does not reflect the changes made by FATCA.

Form **W-8BEN-E**

(Rev. October 2021)  
Department of the Treasury  
Internal Revenue Service

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

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

OMB No. 1545-1621

**Do NOT use this form for:**

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

**Instead use Form:**

**Part I Identification of Beneficial Owner**

<b>1</b> Name of organization that is the beneficial owner	<b>2</b> Country of incorporation or organization
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**3** Name of disregarded entity receiving the payment (if applicable, see instructions)

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

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

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

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

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

City or town, state or province. Include postal code where appropriate.	Country
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**Part I Identification of Beneficial Owner (continued)**

8 U.S. taxpayer identification number (TIN), if required

9a GIIN

b Foreign TIN

c Check if FTIN not legally required.

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):
  - Government
  - Tax-exempt pension trust or pension fund
  - Other tax-exempt organization
  - Publicly traded corporation
  - Subsidiary of a publicly traded corporation
  - Company that meets the ownership and base erosion test
  - Company that meets the derivative benefits test
  - Company with an item of income that meets active trade or business test
  - Favorable discretionary determination by the U.S. competent authority received
  - No LOB article in treaty
  - Other (specify Article and paragraph): \_\_\_\_\_
- c  The beneficial owner is claiming treaty benefits for U.S. source dividends received from a foreign corporation or interest from a U.S. trade or business of a foreign corporation and meets qualified resident status (see instructions).

15 Special rates and conditions (if applicable—see instructions):

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

**Part IV Sponsored FFI**

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

17 Check whichever box applies.

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

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

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

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

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

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

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

21  I certify that the entity identified in Part I:

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

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

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

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

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

**Part X Owner-Documented FFI**

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

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

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

**Part X Owner-Documented FFI (continued)**

Check box 24b or 24c, whichever applies.

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

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

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

**Part XI Restricted Distributor**

- 25a  (All restricted distributors check here) I certify that the entity identified in Part I:
- Operates as a distributor with respect to debt or equity interests of the restricted fund with respect to which this form is furnished;
  - Provides investment services to at least 30 customers unrelated to each other and less than half of its customers are related to each other;
  - Is required to perform AML due diligence procedures under the anti-money laundering laws of its country of organization (which is an FATF-compliant jurisdiction);
  - Operates solely in its country of incorporation or organization, has no fixed place of business outside of that country, and has the same country of incorporation or organization as all members of its affiliated group, if any;
  - Does not solicit customers outside its country of incorporation or organization;
  - Has no more than \$175 million in total assets under management and no more than \$7 million in gross revenue on its income statement for the most recent accounting year;
  - Is not a member of an expanded affiliated group that has more than \$500 million in total assets under management or more than \$20 million in gross revenue for its most recent accounting year on a combined or consolidated income statement; and
  - Does not distribute any debt or securities of the restricted fund to specified U.S. persons, passive NFFEs with one or more substantial U.S. owners, or nonparticipating FFIs.

Check box 25b or 25c, whichever applies.

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

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

**Part XII Nonreporting IGA FFI**

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

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

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

**Part XIV International Organization**

Check box 28a or 28b, whichever applies.

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

**Part XV Exempt Retirement Plans**

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

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

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

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

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

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

**Part XVII Territory Financial Institution**

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

**Part XVIII Excepted Nonfinancial Group Entity**

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

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

- 33  I certify that the entity identified in Part I:
- Was formed on (or, in the case of a new line of business, the date of board resolution approving the new line of business) \_\_\_\_\_ (date must be less than 24 months prior to date of payment);
  - Is not yet operating a business and has no prior operating history or is investing capital in assets with the intent to operate a new line of business other than that of a financial institution or passive NFFE;
  - Is investing capital into assets with the intent to operate a business other than that of a financial institution; and
  - Does not function (or hold itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes.

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

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



**Part XXI 501(c) Organization**

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

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

**Part XXII Nonprofit Organization**

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

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

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

Check box 37a or 37b, whichever applies.

37a  I certify that:

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

b  I certify that:

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

**Part XXIV Excepted Territory NFFE**

38  I certify that:

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

**Part XXV Active NFFE**

39  I certify that:

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

**Part XXVI Passive NFFE**

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

Check box 40b or 40c, whichever applies.

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

**Part XXVII Excepted Inter-Affiliate FFI**

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

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

- 42 Name of sponsoring entity: \_\_\_\_\_
- 43  I certify that the entity identified in Part I is a direct reporting NFFE that is sponsored by the entity identified on line 42.

**Part XXIX Substantial U.S. Owners of Passive NFFE**

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

Name	Address	TIN

**Part XXX Certification**

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- The entity identified on line 1 of this form is the beneficial owner of all the income or proceeds to which this form relates, is using this form to certify its status for chapter 4 purposes, or is submitting this form for purposes of section 6050W or 6050Y;
- The entity identified on line 1 of this form is not a U.S. person;
- This form relates to: (a) income not effectively connected with the conduct of a trade or business in the United States, (b) income effectively connected with the conduct of a trade or business in the United States but is not subject to tax under an income tax treaty, (c) the partner's share of a partnership's effectively connected taxable income, or (d) the partner's amount realized from the transfer of a partnership interest subject to withholding under section 1446(f); and
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

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

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

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

Sign Here

Signature of individual authorized to sign for beneficial owner

Print Name

Date (MM-DD-YYYY)

**BOARD RESOLUTION**

Company Name: \_\_\_\_\_ Certified

time copy of resolutions passed in the meeting of the board of the company duly held at  
\_\_\_\_\_ (Date & Time) in \_\_\_\_\_  
\_\_\_\_\_ (Venue) of which the quorum was present and  
acting throughout the meeting.

Present: (Chairman) \_\_\_\_\_  
(Director(s)) \_\_\_\_\_

Opening Securities Trading Account(s) with Minerva Holding Financial Securities Limited

**IT WAS RESOLVED THAT:**

1. securities trading Account(s) (the "Account") be opened and maintained with Minerva Holding Financial Securities Limited ("MHFS") for the purpose of holding funds relating to any purchases, sales, holdings and other dealings in securities as the company may instruct MHFS as its agent to effect from time to time on behalf of the company and that the Account be maintained and all such purchases, sales, holdings and other dealings be effected subject to and in accordance with such terms and conditions as may from time to time be prescribed for the Account(s) by MHFS, the Client's Information, Cash Client's Agreement or Margin Client's Agreement and other supplementary documents of MHFS tabled and considered by the Directors;
  
2. any \_\_\_\_\_ of following persons be and are/is hereby appointed as Authorized Signers (the "Authorized Signatories") and be authorized:
  - a. to sign, execute and deliver any and all agreements, consents, letter of instructions or other documents required by MHFS for the settlement of future contract transactions with MHFS in connection with the opening of the Account(s);
  - b. to withdraw or transfer any money, securities, collateral or other property into or out of the Account(s); and
  - c. to make, execute and deliver any and all written endorsements and documents necessary to effect the authority conferred by this resolution:

Name	ID/Passport No.	Specimen Signature
_____	_____	X _____
_____	_____	X _____
_____	_____	X _____

3. any \_\_\_\_\_ of the following persons be and are/is hereby appointed as Authorized Trader of the company (the "Authorized Trader" or "AT") and be authorized to give orders or trading instruction to MHFS, whether in writing, verbally or otherwise, in respect of any transactions of the Account(s) on behalf of and in the name of the company.

Any order or trading instruction(s) given by the Authorized Trader shall be absolutely binding on the company. MHFS shall have no obligation whatsoever to inquire about or confirm the authority of the Authorized Trader in giving any orders or instructions. The company accepts full responsibility for all oral and/or written orders or instructions given by the Authorized Trader on the company's behalf:

Name	ID/Passport No.	Specimen Signature
_____	_____	X _____
_____	_____	X _____
_____	_____	X _____

4. the company shall notify MHFS of any changes which may render the information in the Client's Information untrue or misleading;
5. without prejudice to paragraphs 2 and 3 above, the Cash or Margin Client Agreement including the Risk Disclosure Statements enclosed herein of MHFS (which had been tabled and considered by the Board) be approved and any one of the Authorized Signatories is hereby authorized to sign or execute on the Company's behalf the Cash or Margin Client's Agreement and sign, execute and complete all other relevant documents and acknowledge that he/she is aware of the potential risk involved on the Company's behalf in connection with the opening and operation of the Account(s); and
6. MHFS 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 identity card/passport of the Directors, the Authorized Traders and the Authorized Signatories, the certificate of incorporation, business registration certificate and the memorandum and articles of association or other constitutional documents, the financial statements and certified extracts of any resolution relating to the Account(s).

**CERTIFICATE**

I, the undersigned, hereby certify that the foregoing is a full, true and correct copy of the resolution duly and regularly passed and adopted by the Board of Directors of our company duly convened; that the said resolution appear in the minutes of our company; and that the same have not been rescinded or modified and are now in full force and effect.

I, the undersigned, further certify that our company is duly organized and existing, and has the power to take the action called for in the foregoing resolution.

**Chairman Signature & Date : X\_\_\_\_\_**

To: Minerva Holding Financial Securities Limited  
 Unit 1804, 18/F, Far East Finance Centre, 16 Harcourt Road, Admiralty, Hong Kong  
 Account No.:

**Self-Certification Form – Entity**

**Important Notes:**

- This is a self-certification form provided by an account holder to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- An account holder should report all changes in its tax residency status to the reporting financial institution.
- All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (\*) are required to be reported by the reporting financial institution to the Inland Revenue Department.

**Part 1 Identification of Entity Account Holder**

(For joint or multiple account holders, complete a separate form for each entity account holder.)

- (1) **Legal Name of Entity or Branch \*** \_\_\_\_\_
- (2) **Jurisdiction of Incorporation or Organisation** \_\_\_\_\_
- (3) **Hong Kong Business Registration Number** \_\_\_\_\_
- (4) **Current Business Address**
- Line 1 (e.g. Suite, Floor, Building, Street, District) \_\_\_\_\_
- Line 2 (City) \* \_\_\_\_\_
- Line 3 (e.g. Province, State) \_\_\_\_\_
- Country \* \_\_\_\_\_
- Post Code/ZIP Code \_\_\_\_\_
- (5) **Mailing Address (Complete if different to the current business address)**
- Line 1 (e.g. Suite, Floor, Building, Street, District) \_\_\_\_\_
- Line 2 (City) \_\_\_\_\_
- Line 3 (e.g. Province, State) \_\_\_\_\_
- Country \_\_\_\_\_
- Post Code/ZIP Code \_\_\_\_\_

**Part 2 Entity Type**

Tick one of the appropriate boxes and provide the relevant information.

Financial Institution	<input type="checkbox"/> Custodial Institution, Depository Institution or Specified Insurance Company <input type="checkbox"/> Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity's assets) and located in a non-participating jurisdiction
Active NFE	<input type="checkbox"/> NFE the stock of which is regularly traded on _____, which is an established securities market <input type="checkbox"/> Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market <input type="checkbox"/> NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities <input type="checkbox"/> Active NFE other than the above (Please specify _____)
Passive NFE	<input type="checkbox"/> Investment entity that is managed by another financial institution and located in a non-participating jurisdiction <input type="checkbox"/> NFE that is not an active NFE

**Part 3 Controlling Persons (Complete this part if the entity account holder is a passive NFE)**

Indicate the name of all controlling person(s) of the account holder in the table below. If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official.

Complete Self-Certification Form – Controlling Person for each controlling person.

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

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

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

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

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

If a TIN is unavailable, provide the appropriate reason A, B or C:

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

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

**Reason C** – TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

Jurisdiction of Residence	TIN	Enter Reason A, B or C if no TIN is available	Explain why the account holder is unable to obtain a TIN if you have selected Reason B
(1)			
(2)			
(3)			
(4)			
(5)			

**Part 5 Declarations and Signature**

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

I certify that I am authorized to sign for the account holder of all the account(s) to which this form relates.

I undertake to advise \_\_\_\_\_ (state the name of the financial institution) of any change in circumstances which affects the tax residency status of the entity identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide \_\_\_\_\_ (state the name of the financial institution) with a suitably updated self-certification form within 30 days of such change in circumstances.

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

Signature

Name

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

Date (dd/mm/yyyy)

**WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).**

To: Minerva Holding Financial Securities Limited  
Unit 1804, 18/F, Far East Finance Centre, 16 Harcourt Road, Admiralty, Hong Kong  
Account No.:

**Self-Certification Form – Controlling Person**

**Important Notes:**

- This is a self-certification form provided by a controlling person to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- A controlling person should report all changes in his/her tax residency status to the reporting financial institution.
- All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (\*) are required to be reported by the reporting financial institution to the Inland Revenue Department.

**Part 1 Identification of Controlling Person**

**(1) Name of Controlling Person**

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

Last Name or Surname \*

First or Given Name \*

Middle Name(s)

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

**(3) Current Residence Address**

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

Line 2 (City) \*

Line 3 (e.g. Province, State)

Country \*

Post Code/ZIP Code

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

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

Line 2 (City)

Line 3 (e.g. Province, State)

Country

Post Code/ZIP Code

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

**(6) Place of Birth (Not compulsory)**

Town/City

Province/State

Country

**Part 2 The Entity Account Holder(s) of which you are a controlling person**

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

Entity	Name of the Entity Account Holder
(1)	
(2)	
(3)	

**Part 3 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") \***

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

If the controlling person is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.

If a TIN is unavailable, provide the appropriate reason A, B or C:

**Reason A** – The jurisdiction where the controlling person is a resident for tax purposes does not issue TINs to its residents.

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

**Reason C** – TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

Jurisdiction of Residence	TIN	Enter Reason A, B or C if no TIN is available	Explain why the controlling person is unable to obtain a TIN if you have selected Reason B
(1)			
(2)			
(3)			
(4)			
(5)			

**Part 4 Type of Controlling Person**

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

Type of Entity	Type of Controlling Person	Entity (1)	Entity (2)	Entity (3)
Legal Person	Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who exercises control/is entitled to exercise control through other means (i.e. not less than 25% of voting rights)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who holds the position of senior managing official/ exercises ultimate control over the management of the entity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trust	Settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Protector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Beneficiary or member of the class of beneficiaries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Legal Arrangement other than Trust	Individual in a position equivalent/similar to settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to protector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (e.g. individual who exercises control over another entity being equivalent/similar to settlor/trustee/protector/beneficiary)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



**Part 5 Declarations and Signature**

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

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

I undertake to advise \_\_\_\_\_ (state the name of the financial institution) of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide \_\_\_\_\_ (state the name of the financial institution) with a suitably updated self-certification form within 30 days of such change in circumstances.

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

Signature \_\_\_\_\_

Name \_\_\_\_\_

Capacity \_\_\_\_\_

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

(Indicate the capacity if you are not the individual identified in Part 1. If signing under a power of attorney, attach a certified copy of the power of attorney.)

# Delete as appropriate

**WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self- certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).**

## Standing Authority 常設授權

To : Minerva Holding Financial Securities Limited ( "The Company" )  
贏控金融證券有限公司 ( 「貴公司」 )

Account no. 帳戶號碼:

Attn: Settlement Department 結算部

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

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

The Client Money Standing Authority covers money held or received by the Company in Hong Kong (including any interest derived from the holding of the money which does not belong to the Company) in one or more segregated account(s) on my/our behalf ("Monies").  
客戶款項的常設授權範圍包括貴公司在香港代表本人/吾等開立的一個或多個獨立帳戶中持有或收到的款項(包括因持有任何(不屬於貴公司的)款項所獲取的利息)(「款項」)。

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

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

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

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

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

- (a) apply any of my/our securities or securities collateral pursuant to a securities borrowing and lending agreement;  
(a) 根據證券借貸協議使用本人/吾等的證券或證券抵押品；
- (b) deposit any of my/our securities collateral with an authorized financial institution as collateral for financial accommodation to the Company;  
(b) 將本人/吾等的任何證券抵押品存放於一認可財務機構，作為提供予貴公司的財務通融的抵押品；
- (c) deposit any of my/our securities collateral with HKSCC as collateral for the discharge and satisfaction of the Company's settlement obligations and liabilities. I/We understand that HKSCC will have a first fixed charge over the Client's securities to the extent of the Company's obligations and liabilities;  
(c) 將本人/吾等的任何證券抵押品存放於香港中央結算有限公司，作為解除貴公司在交收上的義務和清償貴公司在交收上的法律責任的抵押品。本人/吾等明白，香港中央結算有限公司將在貴公司的義務和責任範圍內對客戶的證券享有第一固定抵押權；
- (d) deposit any of my/our securities collateral with any other recognized clearing house, or another intermediary licensed or registered for dealing in securities, as collateral for the discharge and satisfaction of the Company's settlement obligations and liabilities; and  
(d) 將本人/吾等的任何證券抵押品存放於任何其他認可結算所或另一獲發牌或獲註冊進行證券交易的中介人，作為解除貴公司在交收上的義務和清償貴公司在交收上的法律責任的抵押品；和
- (e) apply or deposit any of my/our securities collateral in accordance with Clauses (a), (b), (c) and/or (d) above if the Company provides financial accommodation to me/us in the course of dealing in securities and also provides financial accommodation to me/us in the course of any other regulated activity for which the Company is licensed or registered.  
(e) 若貴公司在進行證券交易的過程中向本人/吾等提供財務通融；和在貴公司獲發牌或獲註冊進行的任何其他受規管活動的過程中向本人/吾等提供財務通融，可按照以上(a)、(b)、(c)和/或(d)款運用或存放本人/吾等的任何證券抵押品。

I/We acknowledge and agree that the Company may do any of the things set out above without giving me/us notice.  
本人/吾等確認並同意，貴公司可不通知本人/吾等而從事任何上述事項。

I/We also acknowledge that:

本人/吾等確認：

(a) the Client Money Standing Authority is given without prejudice to other authorities or rights which the Company or any of the Company's Group Members may have in relation to dealing in Monies in the segregated accounts; and

(a) 客戶款項常設授權是在不影響貴公司或貴公司集團的任何成員就處理獨立帳戶中的款項可能有的其他授權或權利情況下授予的；和

(b) the Client Securities Standing Authority shall not affect the Company's right to dispose or initiate a disposal by the Company's associated entity of my/our securities or securities collateral in settlement of any liability owed by or on behalf of me/us to the Company, the associated entity or a third person.

(b) 客戶證券常設授權不應影響貴公司行使權利處置或貴公司聯係實體行使權利處置本人/吾等的證券或證券抵押品，以清償本人/吾等或代表本人/吾等在交收上對貴公司、貴公司聯係實體或第三方負有的任何法律責任。

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

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

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

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

Each of the Client Money Standing Authority and the Client Securities Standing Authority may be revoked by giving the Company written notice addressed to the Settlement Department at the Company's address specified in the Account Opening Form or such other address which the Company may notify me/us in writing for this purpose. Such notice shall take effect upon the expiry of 14 days from the date of the Company's actual receipt of such notice.

客戶款項常設授權和客戶證券常設授權可按帳戶開表格載明的貴公司地址或貴公司就此目的可能書面通知本人/吾等的其他地址，以標明結算部為收件人的書面通知方式撤銷。通知在貴公司實際收到通知之日後 14 日屆滿時生效。

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

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

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

已經向本人/吾等解釋本函的內容，並且本人/吾等理解本函的內容。

(Individual/ Joint Account) (個人及聯名帳戶)

(Corporate Account) (公司帳戶)

\_\_\_\_\_  
(Signed by client)(Individual/ Joint Account Holder)

(客戶簽署)(個人/聯名帳戶持有人)

Name of Client 客戶姓名：

Date 日期：

\_\_\_\_\_  
(Authorized Signatory and Company Chop)

(授權代表簽署及公司蓋章)

Name of Client 客戶姓名：

Date 日期：

To: Minerva Holding Financial Securities Limited  
致: 贏控金融證券有限公司

Account no. 帳戶號碼:

## Standing Authority under Securities and Futures (Client Money) Rules

### 《證券及期貨(客戶款項)規則》下的常設授權

This letter of standing authority covers all client money received or held in Hong Kong by Minerva Holding Financial Securities Limited ("MHFS") on my/our behalf ("Moneys").

本常設授權函件涵蓋一切由贏控金融證券有限公司(“贏證券”)代表本人/吾等於香港收取或持有之客戶款項(“款項”)。

Unless redefined herein or the context requires otherwise, all expressions defined in the Securities and Futures Ordinance and the Securities and Futures (Client Money) Rules shall have the same meanings when used herein.

除另有界定或文義另有所指外，《證券及期貨條例》及《證券及期貨(客戶款項)規則》所定義的所有詞彙，與本常設授權所用者具相同涵義。

This letter authorizes MHFS and/or its associated entity to transfer any sum of Moneys between any of the segregated accounts established and maintained by MHFS and/or its associated entity for such purposes as MHFS and/or its affiliates consider appropriate, including but not limited to satisfying my/our obligations or liabilities to MHFS and/or its affiliates, whether such obligations and liabilities are actual, contingent, primary or collateral, secured or unsecured or joint or several, without notice to me/us.

本函件授權贏證券及/或其有聯繫實體就贏證券及/或其聯繫公司認為合適的目的(包括但不限於解除本人/吾等對贏證券及/或其聯繫公司的義務或責任，不論此等義務和責任是確實或或然的、原有或附帶的、有抵押或無抵押的、共同或分別的)，於贏證券及/或其有聯繫實體所開立和維持的任何獨立帳戶之間調動任何數額之款項，無須通知本人/吾等。

This standing authority is given without prejudice to other authorities or rights which MHFS may have in relation to the treatment of Moneys.

本常設授權並不損害贏證券就處理款項所享有的其他授權或權利。

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

本常設授權以本函件日期起計十二個月內有效，並可於下列情況予以續期，每次續期可有效十二個月：本人/吾等以書面同意續期；或贏證券於該授權有效期屆滿前不少於十四日向本人/吾等發出書面通知，而本人/吾等於該授權有效期屆滿前未有提出反對續期。本人/吾等有權隨時以十四日書面通知贏證券撤銷此常設授權書。

I/we undertake to indemnify MHFS and its associated entity against all costs, expenses, liabilities, losses or damages arising out of or suffered by MHFS and/or its associated entity as a result of their acting in accordance with this standing authority.

本人/吾等承諾就贏證券及/或其有聯繫實體因為根據本常設授權而行事而招致或蒙受的所有成本、開支、負債、損失或損害賠償，向贏證券及其有聯繫實體作出彌償。

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

本函件已全部向本人/吾等解釋清楚。本人/吾等明白本函件的內容。

(Individual/ Joint Account) (個人及聯名帳戶)

(Corporate Account) (公司帳戶)



(Signed by client)(Individual/ Joint Account Holder)

(客戶簽署)(個人/聯名帳戶持有人)

Name of Client 客戶姓名：

Date 日期：

(Authorized Signatory and Company Chop)

(授權代表簽署及公司蓋章)

Name of Client 客戶姓名：

Date 日期：

Personal Information Collection Statement Under the Hong Kong Investor Identification Regime (HKIDR) and the Over-The-Counter Securities Transactions Reporting Regime (OTCR)

**Processing of Personal Data**

You acknowledge and agree that we, Minerva Holding Financial Securities Limited, may collect, store, process, use, disclose and transfer personal data relating to you (including your CID and BCAN(s)) as required for us to provide services to you in relation to securities listed or traded on the Stock Exchange of Hong Kong (SEHK) and for complying with the rules and requirements of SEHK and the Securities and Futures Commission (SFC) in effect from time to time. Without limiting the foregoing, this includes –

- a) disclosing and transferring your personal data (including CID and BCAN(s)) to SEHK and/or the SFC in accordance with the rules and requirements of SEHK and the SFC in effect from time to time;
- b) allowing SEHK to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK; and (ii) disclose and transfer such information to the relevant regulators and law enforcement agencies in Hong Kong (including, but not limited to, the SFC) so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets; and (iii) use such information for conducting analysis for the purposes of market oversight; and
- c) allowing the SFC to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for the performance of its statutory functions including monitoring, surveillance and enforcement functions with respect to the Hong Kong financial markets; and (ii) disclose and transfer such information to relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements.
- d) providing BCAN to Hong Kong Securities Clearing Company Limited (HKSCC) allowing HKSCC to: (i) retrieve from SEHK (which is allowed to disclose and transfer to HKSCC), process and store your CID and transfer your CID to the issuer's share registrar to enable HKSCC and/ or the issuer's share registrar to verify that you have not made any duplicate applications for the relevant share subscription and to facilitate IPO balloting and IPO settlement; and (ii) process and store your CID and transfer your CID to the issuer, the issuer's share registrar, the SFC, SEHK and any other party involved in the IPO for the purposes of processing your application for the relevant share subscription or any other purpose set out in the IPO issuer's prospectus.

You also agree that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.

**Consequence of failing to provide Personal Data or Consent**

Failure to provide us with your personal data or consent as described above may mean that we will not, or will no longer be able to, as the case may be, carry out your trading instructions or provide you with securities related services (other than to sell, transfer out or withdraw your existing holdings of securities, if any).

*Note : The terms "BCAN" and "CID" used in this clause shall bear the meanings as defined in paragraph 5.6 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission."*

**Acknowledgement and Consent**

I acknowledge I have read and understand the content of the Personal Information Collection Statement under the Hong Kong Investor Identification Regime (HKIDR) and Over-the-counter Securities Transactions Reporting Regime (OTCR) of Minerva Holding Financial Securities Limited.

I signify my consent for Minerva Holding Financial Securities Limited to use my personal data on the terms of and for the purposes set out in the Personal Information Collection Statement under HKIDR and OTCR.

I confirm that the information provided to Minerva Holding Financial Securities Limited in relation to my personal data is the most up-to-date.

Account No.: \_\_\_\_\_

Signature: \_\_\_\_\_

Client Name: \_\_\_\_\_

Date: \_\_\_\_\_

*In case of discrepancy between the English version and Chinese version of this statement, the English version shall prevail.*