



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

## 贏控金融證券有限公司 (“贏”)

### 開戶表格 - 公司賬戶

(中文版)

(證券及期貨事務監察委員會轄下持牌法團) (中央編號: AFE798)。獲發牌從事《證券及期貨條例》附表 5 第 1 部項下第 1 類 (證券交易) 活動; 兼為香港聯合交易所有限公司的交易所參與者)。

地址： 香港金鐘夏慤道16號遠東金融中心18樓1804室  
電話： 3741 8000  
傳真： 2530 4054  
電郵： [cs@minervasec.hk](mailto:cs@minervasec.hk)  
網址： [www.minervasec.hk](http://www.minervasec.hk)

Account No 賬戶號碼： _____ Date 日期： _____
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# 客戶資料表格

(公司/獨資公司/合夥企業賬戶)

## 賬戶類別

<input type="checkbox"/> 現金證券賬戶	<input type="checkbox"/> 保證金證券賬戶	<input type="checkbox"/> 其他賬戶: _____
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## 客戶資料 - 公司資料

賬戶名稱(英文)				
賬戶名稱(中文, 如有)				
<input type="checkbox"/> 私人有限公司	<input type="checkbox"/> 公眾有限公司	<input type="checkbox"/> 獨資公司	<input type="checkbox"/> 合夥企業	<input type="checkbox"/> 其他 (請指明): _____
註冊成立地點			註冊成立日期	
公司註冊證書編號			商業登記號碼	
業務性質				
登記地址				
商業地址(如有不同)				
電話號碼			傳真號碼	
電子郵箱				
通訊方式 (僅選其一。所有通訊包括戶口結單將寄往以下地址)				
<input type="checkbox"/> 電子郵箱 [如選擇電子郵箱, 閣下即同意受以下 電子通訊條款及客戶聲明 約束				
<input type="checkbox"/> 登記地址 <input type="checkbox"/> 商業地址 <input type="checkbox"/> *其它: _____				
(*請提供其它郵寄地址最近三個月內之地址證明)				
<u>電子通訊條款及客戶聲明</u> 本人/吾等確認及接受通過電子通訊收取所有通訊(「該等通訊」)的風險, 包括但不限於載于現金				
/保證金客戶協議書中所列的風險, 並同意及承諾免除 貴公司因 貴公司通過電子通訊提供該等通訊而令本人/吾等產生、蒙受及/或承受的一切虧損、損失、利息、費用、開支、法律訴訟、付款要求、索償等等的責任。本人/吾等明白本人/吾等只可從以郵寄形式或電子通訊選擇其一, 收取該等通訊, 一經選用電子通訊, 本人/吾等將不會收到以郵寄形式寄發之該等通訊。於本人/吾等選用電子通訊期間, 本人/吾等將第一時間通知 貴公司有關本人/吾等電子郵箱位址的變更。假若 貴公司寄發該等通訊後連續兩次收到發送失敗之訊息, 貴公司有權選擇以郵寄形式取代電子通訊。如此				

聲明中、英文本之解釋或意思有不相同，本人／吾等同意以英文本為準。 貴公司已向本人／吾等解釋此聲明，本人／吾等聲明本人／吾等完全明白此聲明之內容。

### 電子證券交易服務 — 互聯網及手機應用程式服務

閣下要求本公司為閣下在本公司所開立的證券賬戶提供互聯網服務及手機應用程式服務 - “贏財富通”。閣下同意須受附錄二所載的互聯網服務條款約束。

是  否

### 財務狀況 (以港元計) (請提供證明文件)

收入／資金來源 <input type="checkbox"/> 投資收入 <input type="checkbox"/> 營業溢利 <input type="checkbox"/> 股東資金 <input type="checkbox"/> 股息/利息 <input type="checkbox"/> 資助 <input type="checkbox"/> 貸款 <input type="checkbox"/> 其他_____	
法定股本	已發行股本
營業額	上一年度毛利／(虧損)
淨值	上一年度純利／(虧損)

### 投資目標 (請在適當處加上「✓」，可選擇多個項目。)

<input type="checkbox"/> 長線投資	<input type="checkbox"/> 穩健增長	<input type="checkbox"/> 短期投資
<input type="checkbox"/> 股息收益股份	<input type="checkbox"/> 成長型股份	<input type="checkbox"/> 投機股份
<input type="checkbox"/> 對沖	<input type="checkbox"/> 其他 (請指明) : _____	

### 投資經驗

產品種類	存款証、保本產品、債券或債券基金	股票基金或股票	對沖基金、外匯、保證金賬戶、結構性產品或衍生工具
年數			
每年交易宗數			
一般交易金額(港元)			

### 衍生產品買賣經驗

閣下在過往 3 年內曾否在交易所或交易所以外進行 5 次或以上的衍生產品或結構性產品買賣？

是  否

### 銀行賬戶資料

銀行名稱：	
賬號：	

**獲授權賬戶交易操作的人士**

姓名	香港身份證／護照號碼	電話號碼	簽名樣式

**獲授權賬戶文件簽署及交收指示的人士**

姓名	香港身份證／護照號碼	電話號碼	簽名樣式

**簽署指示**

獲授權人士的簽署指示為：

單獨簽署       全體獲授權人士聯名簽署       其他：\_\_\_\_\_

**董事**

姓名	香港身份證／護照號碼	國籍

**股東**

姓名	香港身份證／護照號碼	國籍	持股百分比	美國人身份 - 美國公民, 美國居民, 美國護照或綠卡持有人
				<input type="checkbox"/> 否 <input type="checkbox"/> 是, 稅務身份號碼 _____
				<input type="checkbox"/> 否 <input type="checkbox"/> 是, 稅務身份號碼 _____
				<input type="checkbox"/> 否 <input type="checkbox"/> 是, 稅務身份號碼 _____

**與上市公司的關係**

客戶 / 客戶相連人士是否任何上市公司之董事、員工或股東(持有5%或以上股份)?

否  是。請註明。 \_\_\_\_\_

## 客戶聲明及簽署:

致贏控金融證券有限公司:	客戶簡簽
<p>本人/吾等在此確認並聲明，在此客戶資料表格所提供的資料全部為真實、完整和正確，以及附上的協議中的陳述均屬準確。除非 貴公司接到任何更改的書面通知，否則 貴公司可完全依賴這些資料及陳述做一切用途。本人/吾等授權貴公司可隨時聯絡任何人，包括本人/吾等的銀行、經紀或任何信貸機構等，核實此客戶資料表格內的資料。</p>	
<p>本人/吾等，作為下述簽署客戶，知悉並確定本人/吾等已閱讀、明白及接受 貴公司附上的 <b>現金/保證金客戶協議書</b>。</p>	
<p>本人/吾等聲明並確認：(1)已按照本人/吾等選擇的語言（英文或中文）獲得風險披露聲明書；及(2)本人/吾等已獲 邀閱讀<b>風險披露聲明書</b>，並按本人/吾等的意願提出問題及徵求獨立的法律、金融及其他意見。</p>	
<p>本人/吾等已仔細閱讀<b>風險披露聲明書</b>，完全明白其中的內容和意思，並同意受其約束。</p>	
<p>本人/吾等已附上下列文件的經核證副本：—</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> 組織章程大綱</li> <li><input type="checkbox"/> 公司註冊證書 (若成立超過 12 個月, 請提供有效之續存證明)</li> <li><input type="checkbox"/> 有效之商業登記證書</li> <li><input type="checkbox"/> 最近期之董事及股東名冊</li> <li><input type="checkbox"/> 通過於贏開立戶口之董事會決議</li> <li><input type="checkbox"/> 所有獲授權人士; 董事及股東之香港身份證或護照及住址證明</li> <li><input type="checkbox"/> 授權簽署開戶文件人士之短期逗留批准及入境證明副本 (如該授權人士為非香港居民)</li> <li><input type="checkbox"/> 最近期之年申報表</li> <li><input type="checkbox"/> 最近三個月內之公司通訊地址證明</li> <li><input type="checkbox"/> BVI 及其他海外註冊公司，需同時提供最近六個月內之職權證明書 (Certificate of Incumbency)</li> <li><input type="checkbox"/> 公司集團架構圖 (Company Group Chart)</li> <li><input type="checkbox"/> 個人擔保書(Personal Continuing Guarantee Unlimited)</li> </ul>	
<p>本人/吾等確認收妥貴公司的<b>現金/保證金客戶協議書</b>及<b>風險披露聲明書</b>一份</p>	

## 客戶確認及簽署:

(以下客戶簽署樣式將被用作核證任何就賬戶運作之書面指示)

客戶名稱:	
客戶簽署/公司印章	
日期:	

**重要提示:** 新客戶必須於申請日期起計之三十日內提供申請所需之有效文件，否則本公司有權拒絕是次開戶申請。

## 持牌人士聲明:

本人\_\_\_\_\_ (持牌人士姓名) 茲確認已: (1)按照上述客戶所選擇的語言(英文或中文) 提供現金/保證金客戶協議書及風險披露聲明書; 及(2)邀請客戶閱讀該現金/保證金客戶協議書及風險披露聲明書、按意願提出問題及徵詢獨立意見。

持牌人士簽署:
證監會中央編號:
日期:

## 見證人聲明:

見證人的見證: 本人已見證及驗證上述客戶之簽署及有關其身份證明文件之正本。

見證人姓名:	
見證人職業:	
見證人身份證/護照號碼:	
見證人簽署:	
日期:	

## 贏證券接納及授權代表簽署:

授權簽署/公司印章
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(保證金賬戶必須簽署)

## 保證金賬戶授權書

日期：

贏控金融證券有限公司

敬啟者：

本人／吾等茲授權 貴公司按照證券及期貨條例（第 571 章）附屬法例證券及期貨（客戶證券）規則由本授權書日期起十二個月內有權將為本人／吾等或代表本人／吾等購入或持有之一切證券用作以下用途：

- (i) 將該等證券用作 貴公司獲銀行條例所界定之認可機構提供之借貸或墊款之抵押品；
- (ii) 將該等證券存置於香港中央結算有限公司，作為解除及履行 貴公司根據中央結算系統一般規則所規定之責任及義務之抵押品。本人／吾等明白香港中央結算有限公司對本人／吾等之證券享有第一固定抵押，惟以 貴公司之責任及債務責任為限；及
- (iii) 就履行香港聯合交易所有限公司（「聯交所」）會員之間的結算責任，借入或借出該等證券。該等借入及借出股份乃按照聯交所之規例進行。根據本授權書借入、借出證券或存置證券而應由本人／吾等支付或收取之代價，須另行立約訂明。

貴公司可在毋須通知本人／吾等的情況下進行此等事宜。貴公司仍須因根據本授權書借入、借出或存置證券而對本人／吾等承擔責任。本人／吾等明白第三方或會擁有該等證券的留置權，而該等證券須待該等留置權獲執行後方會退回予本人／吾等。

本人／吾等可通過根據保證金客戶協議中載明的 貴公司的地址或 貴公司為此目的書面告知本人／吾等的地址，向 貴公司發送書面通知，撤銷在本協議項下提供的授權。該通知應在 貴公司實際收到該書面通知之日起 14 日屆滿時生效。

本人／吾等理解，如 貴公司在授權屆滿日前至少 14 日以書面提醒本人／吾等，授權應將被視為繼續續期，並無需取得本人／吾等的書面同意，且本人／吾等不會對授權在該屆滿日之前被視為續期的事項提出任何異議。

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客戶簽署/公司印章

(所有保證金賬戶必須簽署)



**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託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																
<b>3</b> Name of disregarded entity receiving the payment (if applicable, see instructions)																	
<b>4</b> Chapter 3 Status (entity type) (Must check one box only): <table style="width:100%; border: none;"> <tr> <td><input type="checkbox"/> Simple trust</td> <td><input type="checkbox"/> Tax-exempt organization</td> <td><input type="checkbox"/> Corporation</td> <td><input type="checkbox"/> Partnership</td> </tr> <tr> <td><input type="checkbox"/> Central Bank of Issue</td> <td><input type="checkbox"/> Private foundation</td> <td><input type="checkbox"/> Complex trust</td> <td><input type="checkbox"/> Foreign Government - Controlled Entity</td> </tr> <tr> <td><input type="checkbox"/> Grantor trust</td> <td><input type="checkbox"/> Disregarded entity</td> <td><input type="checkbox"/> Estate</td> <td><input type="checkbox"/> Foreign Government - Integral Part</td> </tr> <tr> <td></td> <td></td> <td><input type="checkbox"/> International organization</td> <td></td> </tr> </table>		<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	
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		<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. <input type="checkbox"/> Yes <input type="checkbox"/> No																	
<b>5</b> Chapter 4 Status (FATCA status) (See instructions for details and complete the certification below for the entity's applicable status.)																	
<table style="width:100%; border: none;"> <tr> <td style="width:50%; vertical-align: top;"> <input type="checkbox"/> Nonparticipating FFI (including an FFI related to a Reporting IGA FFI other than a deemed-compliant FFI, participating FFI, or exempt beneficial owner).   <input type="checkbox"/> Participating FFI.  <input type="checkbox"/> Reporting Model 1 FFI.  <input type="checkbox"/> Reporting Model 2 FFI.  <input type="checkbox"/> Registered deemed-compliant FFI (other than a reporting Model 1 FFI, sponsored FFI, or nonreporting IGA FFI covered in Part XII). See Instructions.   <input type="checkbox"/> Sponsored FFI. Complete Part IV.  <input type="checkbox"/> Certified deemed-compliant nonregistering local bank. Complete Part V.  <input type="checkbox"/> Certified deemed-compliant FFI with only low-value accounts. Complete Part VI.  <input type="checkbox"/> Certified deemed-compliant sponsored, closely held investment vehicle. 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<b>6</b> 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																
<b>7</b> Mailing address (if different from above)																	
City or town, state or province. Include postal code where appropriate.	Country																

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

(所有賬戶適用)

## 董事會決議

\_\_\_\_\_ (公司名稱) (以下  
簡稱「本公司」) 於 \_\_\_\_\_ (日期及時間)  
\_\_\_\_\_ (地址)

舉行的公司董事 (以下簡稱「董事」) 會 (以下簡稱「董事會」) 所通過決議之核証真實副本，而該董事會議自始至終有足夠法定人數出席。

出席人員: (主席) \_\_\_\_\_  
(董事) \_\_\_\_\_

於贏控金融證券有限公司開立證券賬戶 董事決議：

1. 於贏控金融證券有限公司(「贏」)開立和維持的證券交易戶口(「戶口」)，並指示贏為本公司之代理，為本公司持有資金以不時代表本公司作出任何證券買賣、持有或其他證券交易。本戶口的維持和所有相關之證券買賣、持有或其他證券交易均需依據贏不時規定有關戶口的條款細則，有關之客戶資料表格、現金客戶協議書或保證金客戶協議書及其他補充文件已提交予並經所有董事考慮並獲批准；
2. 任何下述 \_\_\_\_\_ 位人士 (請填上數目) 均特此獲委任為本公司的授權文件簽署人員(「授權簽署人員」)並獲授權進行以下事項：
  - (a) 簽署、簽訂並交付因與贏之結算證券交易或有關戶口的開立或運作而贏所要求的任何與全部協議、同意、指示函或其他文件；
  - (b) 向戶口或從戶口提取或轉賬任何資金、證券、抵押品或其他財產；及
  - (c) 作出、簽署並交付按本決議授權生效所需要的任何與全部書面背書及文件：

姓名	身份證 或 護照號碼	簽名樣式
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

3. 任何下述 \_\_\_\_ 位 (請填上數目) 人士均特此獲委任為本公司的交易人員(「交易人員」)並獲授權以書面口頭或其他方式就戶口的交易代表公司或以本公司名義給予贏指令或交易指示。所有由交易人員發出的指令或交易指示均對本公司有絕對約束力。贏未有任何責任就交易人員發出之任何指令或指示之授權提出質詢或進行核實，本公司將對於交易人員代表本公司作出之全部口頭、書面或其他方式的指令或指示付上所有責任：

姓名	身份證 或 護照號碼	簽名樣式
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

4. 本公司應不時通知贏任何可使客戶資料表中資料變得不實或誤導的變更；
5. 在不影響上述第 2 和第 3 段的情況下，贏的現金或保證金客戶協議書包括隨附之風險披露聲明書(已提交董事會考慮)獲批准，任何授權簽署人員特此獲授權代表本公司簽署或簽訂客戶協議書、並代表本公司簽署、簽訂與填妥有關開立與運作戶口的全部其他相關文件及確認其知悉所涉及的潛在風險；及
6. 贏獲提供其認為與戶口開立與運作有關而合理要求的任何文件，包括但不限於董事、交易人員及授權簽署人員的身份證或護照、公司註冊證書、商業登記證書以及公司組織章程大綱及細則或其他組織文件的副本、公司財務報表和有關戶口的任何決議的核證真實摘要。

#### 核証

本人謹此證明，上述為本公司董事會在正式召集的董事會上有效通過並接納的決議之完整、真實及準確副本，及上述決議已記入本公司會議記錄簿內；及該等決議亦未被撤銷或修改，現仍維持有效。本人進一步證明，本公司有效組織並存續，且有權為上述決議作出行動。

\_\_\_\_\_  
主席簽署及日期

致： 贏控金融證券有限公司

帳戶號碼：

自我證明表格- 實體

重要提示：

- 這是由帳戶持有人向申報財務機構提供的自我證明表格，以作自動交換財務帳戶資料用途。申報財務機構可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- 如帳戶持有人的稅務居民身分有所改變，應盡快將所有變更通知申報財務機構。
- 除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄/部標有星號（\*）的項目為申報財務機構須向稅務局申報的資料。

第1部 實體帳戶持有人的身分識辨資料

（對於聯名帳戶或多人聯名帳戶，每名實體帳戶持有人須分別填寫一份表格）

- (1) 實體或分支機構的法定名稱 \* \_\_\_\_\_
- (2) 實體成立為法團或設立所在的稅務管轄區 \_\_\_\_\_
- (3) 香港商業登記號碼 \_\_\_\_\_
- (4) 現時營業地址  
第1行（例如：室、樓層、大廈、街道、地區） \_\_\_\_\_  
第2行（城市）\* \_\_\_\_\_  
第3行（例如：省、州） \_\_\_\_\_  
國家 \* \_\_\_\_\_  
郵政編碼/郵遞區號碼 \_\_\_\_\_
- (5) 通訊地址（如通訊地址與現時營業地址不同，填寫此欄）  
第1行（例如：室、樓層、大廈、街道、地區） \_\_\_\_\_  
第2行（城市） \_\_\_\_\_  
第3行（例如：省、州） \_\_\_\_\_  
國家 \_\_\_\_\_  
郵政編碼/郵遞區號碼 \_\_\_\_\_

第2部 實體類別

在其中一個適當的方格內加上✓號，並提供有關資料。

財務機構	<input type="checkbox"/> 託管機構、存款機構或指明保險公司 <input type="checkbox"/> 投資實體，但不包括由另一財務機構管理（例如：擁有酌情權管理投資實體的資產）並位於非參與稅務管轄區的投資實體
主動非財務實體	<input type="checkbox"/> 該非財務實體的股票經常在 _____（一個具規模證券市場）進行買賣 <input type="checkbox"/> _____ 的有關連實體，該有關連實體的股票經常在 _____（一個具規模證券市場）進行買賣 <input type="checkbox"/> 政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體 <input type="checkbox"/> 除上述以外的主動非財務實體（請說明 _____）
被動非財務實體	<input type="checkbox"/> 位於非參與稅務管轄區並由另一財務機構管理的投資實體 <input type="checkbox"/> 不屬主動非財務實體的非財務實體

第 3 部 控權人 (如實體帳戶持有人是被動非財務實體，填寫此部) 就帳戶持有人，填寫所有控權人的姓名在列表內。就法人實體，如行使控制權的並非自然人，控權人會是該法人實體的高級管理人員。

每名控權人須分別填寫一份自我證明表格 – 控權人。

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

第 4 部 居留司法管轄區及稅務編號或具有等同功能的識別編號 (以下簡稱「稅務編號」)\*

提供以下資料，列明 (a) 帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區 (香港包括在內) 及 (b) 該居留司法管轄區發給帳戶持有人的稅務編號。列出所有 (不限於 5 個) 居留司法管轄區。如帳戶持有人是香港稅務居民，稅務編號是其香港商業登記號碼。

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

如沒有提供稅務編號，必須填寫合適的理由：

理由 A – 帳戶持有人的居留司法稅務管轄區並沒有向其居民發出稅務編號。

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

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

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

#### 第 5 部 聲明及簽署

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

本人證明，就與本表格所有相關的帳戶，本人獲帳戶持有人授權簽署本表格。本人承諾，如情況有所改變，以致影響本表格第 1 部所述的實體的稅務居民身分，或引致本表格所載的資料不正確，本人會通知

(財務機構的名稱)，並會在情況發生改變後 30 日內，向 (財務機構的名稱) 提交一份已適當更新的自我證明表格。

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

簽署 \_\_\_\_\_

姓名 \_\_\_\_\_

身分 \_\_\_\_\_

日期(日/月/年) \_\_\_\_\_

(例如：公司的董事或高級人員、合夥的合夥人、信託的受託人等)

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

致： 贏控金融證券有限公司

帳戶號碼：

自我證明表格- 控權人

重要提示：

- 這是由控權人向申報財務機構提供的自我證明表格，以作自動交換財務帳戶資料用途。申報財務機構可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- 如控權人的稅務居民身分有所改變，應盡快將所有變更通知申報財務機構。
- 除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄/部標有星號（\*）的項目為申報財務機構須向稅務局申報的資料。

第1部 控權人的身分識別資料

(1) 控權人的姓名

稱謂（例如：先生、太太、女士、小姐） \_\_\_\_\_

姓氏 \* \_\_\_\_\_

名字 \* \_\_\_\_\_

中間名 \_\_\_\_\_

(2) 香港身份證或護照號碼 \_\_\_\_\_

(3) 現時住址

第1行（例如：室、樓層、大廈、街道、地區） \_\_\_\_\_

第2行（城市） \* \_\_\_\_\_

第3行（例如：省、州） \_\_\_\_\_

國家 \* \_\_\_\_\_

郵政編碼/郵遞區號碼 \_\_\_\_\_

(4) 通訊地址（如通訊地址與現時住址不同，填寫此欄）

第1行（例如：室、樓層、大廈、街道、地區） \_\_\_\_\_

第2行（城市） \_\_\_\_\_

第3行（例如：省、州） \_\_\_\_\_

國家 \_\_\_\_\_

郵政編碼/郵遞區號碼 \_\_\_\_\_

(5) 出生日期 \*（日/月/年） \_\_\_\_\_

(6) 出生地點（可不填寫）

鎮/城市 \_\_\_\_\_

省/州 \_\_\_\_\_

國家 \_\_\_\_\_



**第 2 部** 你作為控權人的實體帳戶持有人填寫你作為控權人的實體帳戶持有人的名稱。

實體	實體帳戶持有人的名稱
(1)	
(2)	
(3)	

**第 3 部** 居留司法管轄區及稅務編號或具有等同功能的識別編號（以下簡稱「稅務編號」）\*

提供以下資料，列明（a）控權人的居留司法管轄區，亦即控權人的稅務管轄區（香港包括在內）及（b）該居留司法管轄區發給控權人的稅務編號。列出所有（不限於 5 個）居留司法管轄區。如控權人是香港稅務居民，稅務編號是其香港身份證號碼。

如沒有提供稅務編號，必須填寫合適的理由：

理由 A – 控權人的居留司法稅務管轄區並沒有向其居民發出稅務編號。

理由 B – 控權人不能取得稅務編號。如選取這一理由，解釋控權人不能取得稅務編號的原因。理由 C – 控權人毋須提供稅務編號。居留司法管轄區的主管機關不需要控權人披露稅務編號。

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

**第 4 部** 控權人類別

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

實體類別	控權人類別	實體 (1)	實體 (2)	實體 (3)
法人	擁有控制股權的個人（即擁有不少於百分之二十五的已發行股本）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	以其他途徑行使控制權或有權行使控制權的個人（即擁有不少於百分之二十五的表決權）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	擔任該實體的高級管理人員/對該實體的管理行使最終控制權的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
信託	財產授予人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	受託人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	保護人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	受益人或某類別受益人的成員	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	其他（例如：如財產授予人/受託人/保護人/受益人為另一實體，對該實體行使控制權的個人）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
除信託以外的法律安排	處於相等/相類於財產授予人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	處於相等/相類於受託人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	處於相等/相類於保護人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	處於相等/相類於受益人或某類別受益人的成員位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	其他（例如：如處於相等/相類於財產授予人/受託人/保護人/受益人位置的人為另一實體，對該實體行使控制權的個人）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## 第 5 部 聲明及簽署

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

本人證明，就與本表格所有相關的實體帳戶持有人所持有的帳戶，本人是控權人 / 本人獲控權人授權簽署本表格 #。本人承諾，如情況有所改變，以致影響本表格第 1 部所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知 \_\_\_\_\_（財務機構的名稱），並會在情況發生改變後 30 日內，向 \_\_\_\_\_

\_\_\_\_\_（財務機構的名稱）提交一份已適當更新的自我證明表格。

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

簽署 \_\_\_\_\_

姓名 \_\_\_\_\_

身分 \_\_\_\_\_

日期(日/月/年) \_\_\_\_\_

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

# 刪去不適用

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

## Standing Authority 常設授權

Account no. 帳戶號碼:

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

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 provided 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：

Account no. 帳戶號碼:

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

## 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:

## 香港投資者識別碼制度及場外證券交易匯報制度個人資料收集聲明

### 個人資料的處理

閣下明白並同意，我們贏控金融證券有限公司為了向閣下提供與在香港聯合交易所（聯交所）上市或買賣的證券相關的服務，以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會（證監會）的規則和規定，我們可收集、儲存、處理、使用、披露及轉移與閣下有關係的個人資料（包括閣下的客戶識別信息及券商客戶編碼）。在不限制以上的內容的前提下，當中包括—

- (a) 根據不時生效的聯交所及證監會規則和規定，向聯交所及／或證監會披露及轉移閣下的個人資料（包括客戶識別信息及券商客戶編碼）；
- (b) 允許聯交所：(i) 收集、儲存、處理及使用閣下的個人資料（包括客戶識別信息及券商客戶編碼），以便監察和監管市場及執行《聯交所規則》；(ii) 向香港相關監管機構和執法機構（包括但不限於證監會）披露及轉移有關資料，以便他們就香港金融市場履行其法定職能；及(iii) 為監察市場目的而使用有關資料進行分析；及
- (c) 允許證監會：(i) 收集、儲存、處理及使用閣下的個人資料（包括客戶識別信息及券商客戶編碼），以便其履行法定職能，包括對香港金融市場的監管、監察及執法職能；及(ii) 根據適用法例或監管規定向香港相關監管機構和執法機構披露及轉移有關資料。
- (d) 向香港中央結算有限公司（香港結算）提供券商客戶編碼以允許香港結算：(i) 從聯交所取得、處理及儲存允許披露及轉移給香港結算屬於閣下的客戶識別信息，及向發行人的股份過戶登記處轉移閣下的客戶識別信息，以便核實閣下未就相關股份認購進行重複申請，以及便利首次公開招股抽籤及首次公開招股結算程序；及(ii) 處理及儲存閣下的客戶識別信息，及向發行人、發行人的股份過戶登記處、證監會、聯交所及其他公開招股的有關各方轉移閣下的客戶識別信息，以便處理閣下對有關股份認購的申請，或為載於公開招股發行人的招股章程的任何其他目的。

閣下亦同意，即使閣下其後宣稱撤回同意，我們在閣下宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移閣下的個人資料以作上述用途。

### 未能提供個人資料或同意的後果

閣下如未能向我們提供個人資料或上述同意，可能引致我們不會或不能夠再（視情況而定）執行閣下的交易指示或向閣下提供證券相關服務，惟出售、轉出或提取閣下現有的證券持倉（如有）除外。

備註：本條文所述的“券商客戶編碼”及“客戶識別信息”具有《證券及期貨事務監察委員會持牌人或註冊人操守準則》第 5.6 段所界定的含義。

### 確認及同意

本人確認本人已閱讀並理解權威證券有限公司的香港投資者識別碼制度及場外證券交易匯報制度下個人資料收集聲明的內容。

本人同意權威證券有限公司根據關於香港投資者識別碼制度及場外證券交易匯報制度個人資料收集聲明中的條款和目的使用本人的個人資料。

本人確認本人所提供予權威證券有限公司有關本人的個人資料信息是最新的。

戶口號碼: \_\_\_\_\_

客戶簽署: \_\_\_\_\_

客戶姓名: \_\_\_\_\_

日期: \_\_\_\_\_

如中、英文版本有任何分歧，概以英文版本為準。

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.*