

帳戶名稱 **Client Name** :

帳戶號碼 **Account No.** :

Suncorp Securities Limited

新 確 證 券 有 限 公 司

帳戶開戶表格 (公司帳戶)

Suncorp Securities Limited ("SSL" or the "Company") carries on the business of dealing in securities is licensed to carry on Type 1 (dealing in securities) regulated activities under the Securities and Futures Ordinance (Cap. 571) (CE No. BGD661).

新確證券有限公司 ("新確證券" 或 "本公司") 經營的是證券交易的業務，並根據證券及期貨條例 (第 571 章) 獲發牌經營第一類 (證券交易) 受規管活動 (中央編號：BGD661)。

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本公司向客戶提供或客戶可使用的服務，例如證券現金買賣帳戶、委託帳戶、投資組合管理、投資顧問服務、單位信託交易帳戶的性質；
The company provides services to customers or services that customers can use, such as securities cash accounts, discretionary accounts, portfolio management, investment advisory services, and unit trust trading accounts.

倘經紀的業務有重大變更，並且可能影響其為客戶等提供的服務，經紀將會通知客戶。

The Broker will notify Client of any material changes in respect of its business which may affect the services it provides to the Client.

1. Account Type 帳戶類別 : Securities Trading Account 證券交易帳戶

帳戶種類 : ☐ 現金

申請服務 : ☐ 電子交易務

帳戶號碼 : _____

2. Corporate Information 公司資料 (Please complete in BLOCK LETTERS 請用正楷填寫)

Client Name 客戶姓名 : _____

English 英文

Chinese 中文

Scope of Business 業務範圍 : _____

Business Address 商業地址 : _____ Registered Address 註冊地址 : _____

Country of Incorporation 註冊成立國家 : _____ Date of Incorporation 註冊成立日期 : _____

Business Registration No. 商業登記號碼 : _____

Certificate of Incorporation No. 公司註冊號碼 : _____

Office Tel. No. 公司電話號碼 : _____ Fax. No. 傳真號碼 : _____

E-mail Address 電郵地址 : _____

CCASS Account Name & No. (For Securities Account Only)

中央結算帳戶名稱及帳戶號碼 (只適用於證券帳戶) : _____

3. Director(s) 董事

Name of Director 董事姓名	Contact No. 聯絡電話號碼	Residential Address 居住地址
_____	_____	_____
_____	_____	_____
_____	_____	_____

4. Shareholder(s) 股東

Registered Shareholder 註冊股東姓名	No. of Shares 持股數量	Residential Address 居住地址
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

5. The Ultimate Beneficial Owner(s) 最終權益擁有人

Name 姓名: _____

English 英文

Chinese 中文

ID/Passport No. 身份證 / 護照號碼: _____ Contact No. 聯絡電話號碼: _____

Residential Address 居住地址: _____

6. Share Capital 股本

Authorized Share Capital 法定股本: _____ Par Value of Each Share 每股面值: _____

Issued Share Capital 已發行股本: _____ Par Value of Each Share 每股面值: _____

7. Financial Profile 財務狀況

Latest Annual Profit 最近年度稅後純利: _____

Annual Profit (after tax) in preceding year 前一年度稅後純利: _____

Liquid Assets 流動資產: _____ Total Net Asset Value 資產淨值: _____

8. Investment Experience 投資經驗

i) Products 產品: ☐ Stocks/Investment Funds 股票 / 投資基金

☐ Bonds 債券

☐ Derivatives(Futures/Options/Warrants) 衍生工具 (期貨 / 期權 / 認股權證)

☐ Foreign Currencies 外幣

☐ Others 其他: _____

ii) Experience (in year(s)) 經驗 (年):

☐ Less than 1 year 少於一年

☐ 1-5 years 一至五年

☐ 6-10 years 六至十年

☐ More than 10 years 多於十年

9. Investment Objectives and Risk Tolerance 投資目的及可承受風險

i) Investment Objective 投資目的: ☐ Capital Gain 資本增值 ☐ Hedging 對沖 ☐ Income 收入 ☐ Speculation 投機

☐ Others 其他: _____

ii) Risk Tolerance 可承受風險: ☐ Low 低風險 ☐ Medium 中等風險 ☐ High 高風險

證券保證金買賣帳戶屬於"中等風險"及/或"高風險"類別。◆ Securities Margin Account belongs to Medium and/or High risk categories.

10. Client's Knowledge of Derivative Products 客戶對衍生產品的認識

客戶知悉及明白公司將根據以下的資料以評估客戶是否對衍生工具產品有認識。

The Client acknowledges and understands the Company will assess whether the Client has adequate knowledge on derivative products according to the information the Client provided.

☐ 1. 客戶曾接受有關衍生產品的培訓或修讀相關課程。The Client underwent training or attended courses on derivative products.

☐ 2. 客戶現時或過去擁有與衍生產品有關的工作經驗。The Client has current or previous work experience related to derivative products.

☐ 3. 客戶於過去 3 年曾執行 5 次或以上有關衍生產品的交易, 例如: 衍生權證、牛熊證、股票、期權、期貨及期權、商品、結構性產品及交易所買賣基金等。The Client has executed five or more transactions within the past three years in derivative products, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures and Options, Commodities, Structured Products, and Exchange Traded Funds, etc.

☐ 4. 客戶沒有衍生工具之認識。The Client has **NOT** acquired knowledge of derivative products.

11. Settlement Account Information 結算帳戶資料

i) 港元帳戶 Hong Kong Dollar Account

客戶謹此指示及授權使用以下香港持牌銀行的港元帳戶，作為港元結算帳戶。本公司結欠客戶的款項，須透過存入支票或轉帳至此銀行帳戶結算，其費用及風險由客戶承擔：

The Client hereby instructs and authorizes that the following Hong Kong dollar account of a Hong Kong licensed bank will be used as the settlement bank account for Hong Kong dollar. Payment due from the Company to the Client shall, at the cost and risk of the Client, be settled by depositing a cheque into or transferring payment to the said bank account:

Bank 銀行：_____

Account Name 帳戶名稱：_____ Account No. 帳戶號碼：_____

ii) 外幣帳戶 Foreign Currency Account

客戶謹此指示及授權使用以下外幣帳戶，作為有關外幣的結算帳戶。本公司結欠客戶的款項，須透過存入支票或轉帳至此銀行帳戶結算，其費用及風險由客戶承擔：

The Client hereby instructs and authorizes that the following foreign currency account will be used as the settlement bank account for that foreign currency. Payment due from the Company to the Client shall, at the cost and risk of the Client, be settled by depositing a cheque into or transferring payment to the said bank account:

Currency 貨幣：_____ SWIFT Code SWIFT 代碼：_____

Bank 銀行：_____ Bank Address 銀行地址：_____

Branch 分行：_____

Account Number 帳戶號碼：_____ Account Name 帳戶名稱：_____

Remarks 備註：_____

12. Daily Statements / Contract Notes / Monthly Statements to be delivered to 日結單 / 買賣單據 / 月結單交付方式

i) 帳戶結單將透過以下途徑寄往客戶：（請選擇其中一項）

Statements will be sent to Client: (Please select one):

- ☐ Registered Address 註冊地址
- ☐ Business Address 商業地址
- ☐ E-mail Address 電郵地址

ii) 帳戶結單語言 Language of Statements : ☐ Chinese 中文 ☐ English 英文

13. Authorized Person 獲授權人士

就口頭指示及書面指示，客戶謹此委任以下人士作為獲授權人士。
The Client hereby appoints the following persons as the Authorized Person(s) in relation to verbal and written instructions.



i) 口頭指示 Verbal Instructions:

以下任何一位獲授權人士所給予的口頭指示均為有效：
Verbal instructions given by any one of the following Authorized Person(s) will be valid:

Authorized Person (1) 獲授權人士 (1) Name 姓名： HKID / Passport No. 香港身份證護照號碼： Contact No. 聯絡電話號碼：	Authorized Person (2) 獲授權人士 (2) Name 姓名： HKID / Passport No. 香港身份證護照號碼： Contact No. 聯絡電話號碼：	Authorized Person (3) 獲授權人士 (3) Name 姓名： HKID / Passport No. 香港身份證護照號碼： Contact No. 聯絡電話號碼：
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ii) 書面指示 Written Instructions :

以下____位獲授權人士所給予的書面指示均為有效：
Written instructions given by any_____of the following Authorized person(s) will be valid:

Authorized Person (1) 獲授權人士 (1) Name 姓名： HKID / Passport No. 香港身份證護照號碼： Contact No. 聯絡電話號碼： Specimen Signature 簽名式樣： 	Authorized Person (2) 獲授權人士 (2) Name 姓名： HKID / Passport No. 香港身份證護照號碼： Contact No. 聯絡電話號碼： Specimen Signature 簽名式樣： 	Authorized Person (3) 獲授權人士 (3) Name 姓名： HKID / Passport No. 香港身份證護照號碼： Contact No. 聯絡電話號碼： Specimen Signature 簽名式樣： 
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iii) 交收指示 Settlement Instructions:

以下____位獲授權人士所給予的交收指示均為有效：
Settlement instructions given by any_____of the following Authorized person(s) will be valid:

Authorized Person (1) 獲授權人士 (1) Name 姓名： HKID / Passport No. 香港身份證護照號碼： Contact No. 聯絡電話號碼： Specimen Signature 簽名式樣： 	Authorized Person (2) 獲授權人士 (2) Name 姓名： HKID / Passport No. 香港身份證護照號碼： Contact No. 聯絡電話號碼： Specimen Signature 簽名式樣： 	Authorized Person (3) 獲授權人士 (3) Name 姓名： HKID / Passport No. 香港身份證護照號碼： Contact No. 聯絡電話號碼： Specimen Signature 簽名式樣： 
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DECLARATION 聲明

14. Disclosure of Related Account(s) 披露關連帳戶

- i) 客戶之股東、董事、合夥人、獲授權人或帳戶最終權益擁有人是否與本公司或其聯營公司之任何僱員或董事有任何親屬關係？
Is the Client's shareholder, director, partner, authorized person or ultimate beneficial owner related to any employee or director of the Company or its associated companies?

☐ No 否 ☐ Yes 是 (Please provide details below 請填寫以下資料)

Name of employee / director 僱員 / 董事姓名：_____ Relationship 關係：_____

- ii) 客戶的公司集團任何成員是否為本公司之客戶？

Is any member of the Client's group of companies a client of the Company?

☐ No 否 ☐ Yes 是 (Please provide details below 請填寫以下資料)

Name of the relevant group member(s) 有關集團成員帳戶名稱：_____ Account No. 帳戶號碼：_____

- iii) 客戶及 / 或客戶的公司集團任何成員是否控制本公司任何客戶的 35% 或以上的表決權？

Does the Client and/or any member of the same group of companies of the Client control 35% or more of the voting rights of any client of the Company?

☐ No 否 ☐ Yes 是 (Please provide details below 請填寫以下資料)

Name of the controlled client 受控制客戶名稱：_____ Relationship 關係：_____

15. Disclosure of Identity 披露身份

- i) 客戶是否最終負責對該帳戶之交易發出指示？

Is the Client ultimately responsible for originating instructions for the transactions of the Account(s)?

☐ Yes 是 ☐ No 否 particulars of person(s) originating the instructions are as follows: 下列為負責發出交易指示者資料：

Name 姓名：_____ ID/Passport/Incorporation No. 身份證 / 護照 / 公司註冊證書號碼：_____

Address 地址：_____

- ii) 客戶之任何董事、主要股東、最終實益持有人、最終主要實益持有人或授權人是否其股份在任何交易所或市場買賣的上市公司之高級人員或董事？

Is any director, substantial shareholder, ultimate beneficiary, ultimate principal beneficial owner or authorized person of the client a senior officer or director of any listed company whose shares are traded on any exchange or market? (If yes, please specify the company name and stock code)

☐ No 否 ☐ Yes 是 (如是，請說明公司名稱及上市編號)

Company Name 公司名稱：_____ Stock Code 上市編號：_____

- iii) 客戶之任何董事、主要股東、最終實益持有人、最終主要實益持有人或授權人是否新確證券有限公司僱員之親屬？

Is any director, substantial shareholder, ultimate beneficiary, ultimate principal beneficial owner or authorized person of the client a relative of employee of Suncorp Securities Limited? (If yes, please state relationship)

☐ No 否 ☐ Yes 是 (如是，請陳述其關係) Relationship 關係：_____

- iv) 客戶之任何董事、主要股東、最終實益持有人、最終主要實益持有人或授權人是否擔任重要公職人士？

Is any director, substantial shareholder, ultimate beneficiary, ultimate principal beneficial owner or authorized person of the client a person holding prominent public office?

☐ No 否 ☐ Yes 是 (If yes, please specify) (如是，請說明) Position 職銜：_____

- v) 客戶之任何董事、主要股東、最終實益持有人、最終主要實益持有人或授權人是否為證監會發牌或註冊人士？

Is any director, substantial shareholder, ultimate beneficiary, ultimate principal beneficial owner or authorized person of the client a licensed or registered person of the SFC?

☐ No 否 ☐ Yes 是 (If yes, please state CE no. and present the consent letter) (如是，請註明中央編號和提供同意書)

Licensed or registered person 持牌或註冊人士姓名 / 名稱：_____ CE No. 中央編號：_____

16. Client's Declaration for Data Protection 客戶個人資料保障聲明

客戶已仔細閱讀，完全理解並同意接受並遵守載於新確證券的交易條款及條件中關於《個人資料（私隱）條例》致客戶的解釋說明
The Client has carefully read, fully understood and agreed to accept and be bound by the Notice to Clients Relating to The Personal Data (Privacy) Ordinance ("NTC") in SMSL's Terms and Conditions.

客戶謹此同意該說明的所有內容及同意新確證券使用其個人資料作直接促銷用途。

The Client hereby consents to the contents of the NTC and the use of the data by SMSL in direct marketing.

Please tick the box below if disagree:

如不同意，請在以下空格加上「√」號

- ☐ 客戶不同意新確證券使用其個人資料於直接促銷金融、證券、商品、衍生產品、投資、信貸、保險、強積金/ 職業退休計劃、財富管理、投資者教育及相關服務、產品及設施，獎賞、年資獎勵或優惠計劃或慈善及 / 或非牟利目的而作出之捐款及捐贈
The Client does not consent to the use of his/her personal data in direct marketing for financial, securities, commodities, derivatives, investment, financing, insurance, MPF/ORSO, wealth management, investor education and related services, products and facilities, reward, loyalty or privileges programmes or donations and contributions for charitable and/or non-profit making purposes.

17. Risk Disclosure Statements and Disclaimers 風險披露聲明與免責聲明

客戶知悉及確認已閱讀其所選擇語言之條款及條件內有關風險披露聲明與免責聲明。客戶亦知悉及確認已參閱於條款及條件內有關之風險披露聲明與免責聲明（包括其對衍生產品的認識解釋相關風險）、提出問題及按其意願諮詢獨立意見。

The Client acknowledges and confirms that the Client has read the relevant risk disclosure statements and disclaimers which were provided in a language of the Client's choice as set out in the Terms and Conditions. The Client also acknowledges and confirms that the Client was invited to read the risk disclosure statements, disclaimers and has explained the relevant risks associated with the derivative products based on the clients knowledge of derivatives as set out in the Terms and Conditions, ask questions, and take independent advice if the Client wishes.

18. 認可見證人簽署（只適用於非由本公司之持牌或註冊人員面前開立之帳戶）

若客戶並非在本公司之持牌或註冊人員面前簽立此文件或連同適當的支票（註1）一併遞交，則以下應由認可人士（註2）簽署見證（若適用者）。下述簽署人士謹此驗證上述客戶簽立此文件（連同該協議書）及其有關的身份證明文件：

見證人姓名：_____ 見證人職務：_____ 牌照編號：_____

聯絡資料：電話號碼：_____ 電郵地址：_____



見證人簽署：_____ 日期：_____

（註1）客戶在香港的持牌銀行開立的帳戶並由客戶所簽發（該簽名須與此開戶表上的客戶簽名相符）並載有客戶在其身份證明文件上所顯示的姓名的劃線支票，而該支票抬頭人須為“新確證券有限公司”及其數額不得少於 10,000 港元。客戶被批核的新帳戶必須待支票兌現後才可使用。

（註2）任何證監會持牌人或註冊人、其聯繫人士、太平紳士、銀行分行經理、執業會計師、律師或公證人。

19. Declaration and Agreement by Client 客戶的聲明及同意

以下簽署人（其資料詳列於本帳戶開戶表格）（「客戶」）同意按照本帳戶開戶表格的所有條款，以及相關章數的《交易帳戶條款及條件》（「條款及條件」）中適用於客戶申請開立之帳戶的所有條款及條件，在本公司內開立交易帳戶（「帳戶」）。

The undersigned (whose particulars are set out in this Account Opening Form) (the "Client"), agrees to open trading account(s) (the "Account(s)") with the Company upon and subject to all the provisions of this Account Opening Form and the relevant Sections of "Terms and Conditions for Trading Accounts" (the "Terms and Conditions") applicable to the Account(s) that the Client applies to open.

倘簽署本部份，客戶現聲明、同意及確認：

By signing this Part, the Client hereby declares, agrees and confirms that:

- (a) 於本帳戶開戶表格所提供的資料屬完整、真實及準確。本公司有權基於一切目的倚賴此等陳述及資料，除非客戶以書面通知本公司有關資料的任何改變；
the information provided in this Account Opening Form is complete, true and accurate. The Company is entitled to rely fully on such representations and information for all purposes, unless the Client informs the Company in writing of any change to that information;
- (b) 客戶已完全閱讀、明白及確認，以及同意並接納本帳戶開戶表格的所有條款，以及適用於客戶向本公司申請開設之帳戶的所有條款及條件（及其不時作出的修改）並同意受其約束。本公司已建議客戶尋求獨立法律意見；
the Client has fully read, understood and confirmed, and agrees and accepts to be bound by all the provisions of this Account Opening Form and the Terms and Conditions (as amended from time to time) applicable to the Account(s) that the Client applies to open with the Company. The Client has been advised by the Company to seek independent legal advice;
- (c) 條款及條件的內容已以客戶明白的語言向客戶作出充分的解釋；
the contents of the Terms and Conditions have been fully explained to the Client in a language which the Client understands;
- (d) 本公司保留不時更改條款及條件的權利。除非客戶在本公司發出通知後的 14 天之內以書面提出反對，上述的改動將被納入條款及條件之內；
the Company reserves its rights to amend the Terms and Conditions from time to time. Such amendments shall be incorporated into the Terms and Conditions unless objected to in writing by the Client within 14 days from the notice of the Company;
- (e) 本帳戶開戶表格和條款及條件之中文版本及英文版本如有任何歧義，概以英文版本為準。如有要求，本公司會提供英文版本列印本；及
In the event that there is any inconsistency between the English version and the Chinese version of the Account Opening Form and the Terms and Conditions, the English version shall prevail. The Company may provide a hard copy of the English version upon request; and
- (f) 本人/吾等會就所有交易支付新確證券通知本人/吾等的佣金和收費，繳付聯交所及證監會徵收的適用徵費，並繳納所有有關的印花稅。
新確證券可以從戶口中扣除該等佣金、收費、徵費及稅項。
On all Transactions, I/we will pay commission and charges to Suncorp Securities, as notified to me/us, as well as applicable levies imposed by the Exchange and the SFC, and all applicable stamp duties. Suncorp Securities may deduct such commissions, charges, levies and duties from the Account.

客戶已閱讀及明白本公司載於條款及條件內有關客戶資料的政策部份，並同意及接納其條款。

the Client has read and understood the policy of the Company in relation to information of the Client as contained in the Terms and Conditions, and agrees and accept to its terms.

Client Name (Corporate Account Holder):

客戶名稱（公司帳戶持有人）：

Company Chop & Authorized Signature:

公司印章及授權人簽署：



20. Declaration by the licensed or registered staff 持牌或註冊人員之聲明

客戶已獲提供以其所選語言之有關風險披露聲明及免責聲明。以下簽署之持牌或註冊人員已邀請客戶參閱條款及條件及當中列明之風險披露聲明及免責聲明、提出問題及按其意願諮詢獨立意見，並按其對衍生產品的認識解釋相關風險。

The Client has been provided with the relevant risk disclosure statements and disclaimers in a language of the Client's choice. The undersigned licensed or registered staff has invited the Client to read the risk disclosure statements, disclaimers and explained the relevant risks associated with the derivative products based on the client's knowledge of derivatives as set out in the Terms and Conditions, ask questions and take independent advice if the Client wishes.

Signature of licensed or registered staff:
持牌或註冊人員簽署：

Name of licensed or registered staff
(in block letters)
持牌或註冊職員姓名（正楷填寫）

日期 (日 / 月 / 年) Date (dd/mm/yy):

A.E. Code 客戶主任編號：_____

C.E. No. 證監會中央編號：_____

代表新確證券有限公司確認並同意

For and on behalf of SUNCORP SECURITIES LIMITED acknowledges and agrees

Authorized Signature 授權簽署：

Date(dd/mm/yy):

抵銷及留置權 Set-off and lien

To: Suncorp Securities Limited

致：新確證券有限公司

By All Suncorp Securities Limited ("Suncorp Securities") on behalf of me/us Customer money received or held in Hong Kong

("Money").一切由新確證券有限公司（「新確證券」）代表本人/吾等於香港收取或持有之客戶款項（「款項」）。

1. In addition and without prejudice to any general liens, rights of set-off, or other similar rights to which "Suncorp Securities" may be entitled under laws or the "Suncorp Securities", all securities, receivables, monies, and other property of me/us (held by me/us either individually or jointly with others) held by or in the possession of "Suncorp Securities" at any time shall be subject to a general lien in "Suncorp Securities" or Affiliate as continuing security or to dispose at your discretion to offset and discharge all of my/our obligations, arising from the Transaction and/or my/our obligations in the "Suncorp Securities".
2. 在不損害“新確證券”依照法律或本協議所附加應享有之一般留置權、抵銷權或相類權利前提下，對於本人(等)交由“新確證券”代管或在“新確證券”內存放之所有證券、應收賬、款項及其他財產(不論是本人(等)個人或與其他人士聯名所有)權益，“新確證券”均享有一般留置權，作為持續的抵押甚至出售，用以抵銷及履行本人(等)因進行證券買賣而對“新確證券”及其集團公司及聯屬人負上的所有責任。
3. Written Authorization(書面授權)- Rolling Balance Cash Client (滾存結餘現金客戶) Pursuant to Section 21(2) of the Securities and Futures (Financial Resources) Rules (Chapter 571N), we hereby authorize "Suncorp Securities", in respect of any amount receivable from, and the amount payable to, me/us, where such amounts arise from the purchase and sale of securities by me/us on a cash-against-delivery basis, to-
4. 因應《證券及期貨(財政資源)規則》第571N章 21條(2)，本人/我們授權在不損害“新確證券”依照法律或本協議所附加應享有之一般留置權、抵銷權或相類權利前提下，對於本人(等)交由“新確證券”代管或在“新確證券”內存放之所有證券、應收賬、款項及其他財產(不論是本人(等)個人或與其他人士聯名所有)權益，“新確證券”均享有一般留置權，作為持續的抵押甚至出售，用以抵銷及履行本人(等)因進行證券買賣而對“新確證券”及其集團公司及聯屬人負上的所有責任。可將應從本人/我們收取的款項與應向本人/我們支付的款項互相抵銷，但該等款項須是因本人/我們以銀貨兩訖形式買賣證券而產生的，而“新確證券”亦已獲本人/我們書面授權
 - a) set off such amounts against each other; and
 - b) dispose of securities held for me/us for the purpose of settling any of the amounts payable by me/us to your Company.
- a) 將該等款項互相抵銷；及
- b) 為清償本人/我們應支付予“新確證券”的款項而處置為本人我們持有的證券。

Corporate Account) (公司帳戶)



(Authorized Signatory and Company Chop)
(授權代表簽署及公司蓋章)

Name of Client 客戶姓名：_____

Name of Client 客戶姓名：_____

Date 日期：_____

Date 日期：_____

電子交易服務 - 補充協議 Internet Trading - Supplemental Agreement

客戶名稱 Client Name :

客戶號碼 Account No. :

1. APPLY FOR INTERNET TRADING 電子交易服務申請

網上交易帳戶(證券) Internet Trading Account (Securities)

2. DECLARATION BY CLIENT 客戶聲明

The client acknowledges that the Risk Disclosure Statement was provided in a language of client's own choice (English or Chinese) and the client was invited to read the Risk Disclosure Statement, to questions, and take independent advice if the client wishes.

客戶確認已按照客戶選擇的語言(英文或中文)獲得風險披露聲明及已獲邀閱讀該風險披露聲明、提出問題及徵求獨立的意見(如客戶有此意願)。



客戶簽署 Signed by Client: _____ 日期 Date: _____

3. DECLARATION BY STAFF 職員聲明

I, A licensed or registered person, declare that I have provided the above client with a copy of the Risk Disclosure Statement in a language of the client choice (English or Chinese) and invited the client to read the Risk Disclosure Statement referred to the Supplemental Agreement, ask questions and take independent advice if the client so wishes.

本人,以註冊人身份,確認本人已按照上述客戶所選擇的語言(英文或中文)提供風險披露聲明及提示客戶閱讀補充協議書之風險披露聲明、亦邀請客戶如有需要可以提出問題及徵求獨立的意見。

持牌或註冊人員簽署 Signature of Licensed or Registered Person:

證監會中央編號 Securities Regulatory Commission Central Number:

持牌或註冊職員姓名(正楷填寫) Name of Licensed or Registered Person (please write in block letters)

客戶主任編號 Account Executive No: _____

日期 Date: _____

客戶授權表格 Authorization Letter

帳戶號碼 Account No. :

Applicable to CASH ACCOUNT Only 只適用於現金戶口

To: Suncorp Securities Limited

致：新確證券有限公司

Unit 2305, 23/F The Center, 99 Queen's Road Central, Hong Kong

香港皇后大道中 99 號中環中心 23 樓 2305 室

Attn: Settlement Department 結算部

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 Suncorp Securities Limited on my/our behalf ("Moneys")

本常設授權函件涵蓋一切由新確證券有限公司 ("新確證券") 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 Suncorp Securities Limited and/or its associated entity to transfer any sum of Money between any of the segregated accounts established and maintained by Suncorp Securities Limited and/or its associated entity for such purposes as Suncorp Securities Limited and/or its affiliates consider appropriate, including but not limited to satisfying my/our obligations or liabilities to Suncorp Securities Limited 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.

本函件授權新確證券及 / 或其有聯繫實體就新確證券及 / 或其聯繫公司認為合適的目的 (包括但不限於解除本人 / 吾等對新確證券及 / 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)，於新確證券及 / 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 Suncorp Securities Limited may have regarding the treatment of Money.

本常設授權並不損害新確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 Suncorp Securities Limited 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 before written notice to Suncorp Securities Limited.

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；或新確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新確證券撤銷此常設授權書。

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

本人 / 吾等承諾就新確證券及 / 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，向新確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。

(Corporate Account) (公司帳戶)



(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：_____

附件 (1)

附件 (1) Risk Disclosure Statement 風險披露聲明

The following risk disclosure statement is provided in accordance with the Code of Conduct for Persons Licensed or Registered by the Securities and Futures Commission or as required by the Hong Kong Stock Exchange:

以下的風險披露聲明書是根據《證券及期貨事務監察委員會持牌人或註冊人操守準則》或香港交易所的要求予以提供：

1. Risks involved in trading CBBCs 買賣牛熊證涉及的風險

compulsory repossession 強制收回

CBBCs are not suitable for all investors. Investors should consider how much risk they can bear before purchasing CBBCs. In any case, exempt investors clearly understand the property rights of CBBCs and are prepared to lose all the investment amounts at any time. Otherwise, investors will not be able to buy or sell CBBCs, because if the price of the underlying assets of CBBCs changes, At the redemption price, the CBBC is immediately called back by the issuer and trading will be terminated. There is also no residual value.

Class R CBBCs may have a small amount of residual value recovered, but in the worst-case scenario, there may be no residual value. R may charge additional service fees when recovering residual value payments from recyclers on behalf of its clients.

Generally speaking, the greater the range between the call price and the current price of the underlying assets, the lower the chance of the CBBC being called, because the price of the related assets requires greater efforts to reach the call price. But at the same time, the greater the export between the call price and the current price, the smaller the leverage effect.

When a CBBC is called, even if the price of the underlying asset rises, the CBBC will not be bought or sold in the market again, so investors will not rise due to the price increase. For CBBCs issued by overseas assets, mandatory call events may occur the nearer time of trading on the Hong Kong Exchange.

牛熊證並不適合所有投資者，投資者在買賣牛熊證前應先考慮本身能承受多少風險。在任何情況下，除非投資者清楚明白牛熊證的性質，並已準備好隨時會損失所有的投資金額，否則投資者不應買賣牛熊證，因為萬一牛熊證的相關資產價格觸及收回價，牛熊證會即時由發行商收回，買賣亦會終止。N 類牛熊證將不會有任何剩餘價值。若是 R 類牛熊證，持有人或可收回少量剩餘價值，但在最壞的情況下亦可能沒有剩餘價值。經紀代其客戶從發行商收回剩餘價值款項時或會收取服務費。

一般來說，收回價與相關資產現價的相差越大，牛熊證被收回的機會越低，因為相關資產的價格需要較大的變動才會觸及收回價。但同一時間，收回價與現價的相差越大，槓桿作用便越小。

當牛熊證被收回後，即使相關資產價格反彈，該隻牛熊證亦不會再次復牌在市場上買賣，因此投資者不會因價格反彈而獲利。若屬海外資產發行的牛熊證，強制收回事件可能會於香港交易所交易時段以外的時間發生。

Leverage 槓桿作用

Since CBBCs are leveraged products, the price of CBBCs will fluctuate proportionally higher than that of the underlying assets. If the price of related assets moves in the opposite direction to what investors expect, investors may have to suffer proportionally greater losses.

CBBCs have a fixed close distance and are shortened on specified dates. Short-term periods can range from 3 months to 5 years. If the CBBC is called early before the reversal, the distance will become even shorter. During this period, the value of CBBCs will fluctuate with the fluctuations in the price of the underlying assets and may become more stable after a sharp decline or an early retracement.

由於牛熊證是槓桿產品，牛熊證價格在比例上的波幅會較相關資產為高。若相關資產價格的走向與投資者原先預期的相反，投資者可能要承受例上更大的損失。

附件 (1)

Limited Dosage 限定的有效期

CBBCs have a fixed close distance and are shortened on specified dates. Short-term periods can range from 3 months to 5 years. If the CBBC is called early before the reversal, the distance will become even shorter. During this period, the value of CBBCs will fluctuate with the fluctuations in the price of the underlying assets and may become more stable after a sharp decline or an early retracement.

牛熊證有一固定有效期，並於指定日期到期。有效期可以是 3 個月至 5 年不等。若在到期前遭提早收回牛熊證的有效期將變得更短。期間牛熊證的價值會隨着相關資產價格的變動而波動，於到期後或遭提早收回後更可能會變得沒有價值。

Related asset trends 相關資產趨勢

Although the price fluctuations of CBBCs tend to be close to the price fluctuations of the underlying assets, in some cases they may not be synchronized with the price fluctuations of the underlying assets (i.e. the hedge value may not necessarily be equal to one). The price of a CBBC is affected by a number of factors, including its own supply, financial costs, and the approaching time limit. In addition, the hedge value of individual CBBCs is often not close, especially when the price of the underlying asset is close to the call price.

牛熊證的價格波動雖然趨向貼近相關資產的價格波動，但在某些情況下不一定與相關資產價格的波動同步（即對沖值不一定等於一）。牛熊證的價格受到多個因素的影響，包括其本身的供給、財務費用及距離逼近的時限。此外，個別牛熊證的對沖值亦往往不會接近，特別是當相關資產的價格接近收回價時。

Circulation 流通量

Although there are liquidity providers for CBBCs, there is no guarantee that investors can buy/sell CBBCs at the target price at any time."

雖然牛熊證設有流通量提供者，但不能保證投資者可以隨時以其目標價買入／沽出牛熊證。

Financial Expenses 財務費用

When the CBBC is issued, the financial cost for the entire term is included in the issue price. Although the financial cost for the entire term of the CBBC is called when it is called, the entire financial cost will still be lost. Investors should note that the financial costs of CBBCs may change after they are launched. Liquidity providers will not quote prices based on the theoretical value of financial costs when CBBCs are launched.

牛熊證在發行時已把整個年期的財務費用計算在發行價內，雖然當牛熊證被收回時其年期會縮短，持有人仍會損失整筆財務費用。投資者需注意牛熊證推出後，其財務費用或會轉變，流通量提供者在牛熊證推出時未必會根據財務費用的理論值價格開價

附件 (1)

Transactions Close to the Call Price 接近收回價時的交易

When the price of the underlying asset approaches the call price, the price of the CBBC may become more volatile, the bid-ask spread may be wider, and the liquidity may be lower. CBBCs may be called and trading terminated at any time. There may be some time lag between the occurrence of the mandatory call event and the cessation of CBBC trading. Some transactions are completed and confirmed by exchange participants after the forced revocation event occurs, but any transactions executed after the mandatory revocation event will not be recognized and will be cancelled. Therefore, investors need to be extra cautious when approaching call price CBBCs. The issuer will notify the market of the exact withdrawal time within 60 minutes after the forced withdrawal event occurs. The exchange will also release transaction data completed after the forced withdrawal event to relevant exchange participants, asking them to notify their customers. **Investors should inquire whether their dance transactions were completed or canceled after a forced revocation event.**

相關資產價格接近收回價時，牛熊證的價格可能會變得更加波動，買賣差價可能會較闊，流通量亦可能較低。牛熊證隨時會被收回而交易終止。由於強制收回事件發生的時間與停止牛熊證買賣之間可能會有一些時差。有一些交易在強制收回事件發生後才達成及被交易所參與者確認，但任何在強制收回事件後始執行的交易將不被承認並會被取消。因此投資者買賣接近收回價的牛熊證時需額外小心。發行商會於強制收回事件發生後 60 分鐘內通知市場確實的收回時間，交易所亦會把於強制收回事件發生後才達成的交易資料發布給有關的交易所參與者，讓他們通知其客戶。若投資者不清楚交易是否在強制收回事件後才達成或有否被取消，應查詢經紀。

CBBC Issued by Overseas Assets 海外資產發行的牛熊證

The price and settlement price of CBBCs issued with assets are calculated by Foreign Currency Exchange Hong Kong. Investors buying and selling such CBBCs need to bear the relevant foreign exchange risks. Foreign exchange prices are determined by market supply and demand, which involves a large proportion. For CBBCs issued by overseas assets, the mandatory call event may occur near the trading time of the Hong Kong Exchange. The relevant CBBC will stop trading on the exchange after the next trading rise or after the issuer notifies the exchange of a mandatory call event. After a forced recall event occurs, AMS/3 does not set an automatic stop mechanism.

For category R CBBCs, the residual value will be determined on the pricing date in accordance with the listing documents.

以海外資產發行的牛熊證，其價格及結算價均由外幣兌換港元計算，投資者買賣這類牛熊證需承擔有關的外匯風險。外匯價格由市場供求釐定，其中牽涉的因素頗多。若屬海外資產發行的牛熊證，強制收回事件可能會於香港交易所交易時段以外的時間發生。有關的牛熊證會於下一個交易時段或發行商通知交易所強制收回事件發生後盡快停止在交易所買賣。強制收回事件發生後，AMS/3 不設自動停止機制。若屬 R 類牛熊證，剩餘價值會根據上市文件於訂價日釐定。

CLAUSE 條款

If we Suncorp Securities Limited., solicit the sale of or recommend any financial product to you [the client], the financial product must be reasonably suitable for you having regard to your financial situation, investment experience and investment objectives. No other provision of this agreement or any other document we may ask you to sign and no statement we may ask you to make derogates from this clause.

假如我們新確證券有限公司向閣下招攬銷售或建議任何金融產品，該金融產品必須是我們經考慮閣下的財政狀況、投資經驗及投資目標後而認為合理地適合閣下的。本協議的其他條文或任何其他我們可能要求閣下簽署的文件及我們可能要求閣下作出的聲明概不會減損本條款的效力。

附件 (1)

2. Risks Involved in Investing in Derivative Warrants (“Warrants”) 投資衍生權證 (“窩輪”) 涉及的風險

Trading derivative Warrants (“Warrants”) involves a high level of risk and may not be suitable for everyone. Investors must understand and consider the following risks before trading derivative Warrants (“Warrants”):

買賣衍生權證（「窩輪」）涉及高風險，並非人皆適合。投資者買賣衍生權證（「窩輪」）前必須明確並考慮以下的風險：

Publisher Risk 發行商風險

衍生權證（「窩輪」）的發行商（「窩輪」）發行商的無債權人，對發行商的資產並無任何優先索償；衍生權證（「窩輪」）投資者須承擔發行商的信貸風險。

Leverage Risk 槓桿風險

Derivative Warrants (“Warrants”) Derivative Warrants (“Warrants”) The issuer has no creditors and does not have any prior claim on the assets of the Issuer; investors in Derivative Warrants (“Warrants”) are responsible for the credit of the Issuer risk.

衍生權證（「權證」）是衍生權證（「權證」）發行人的無債務債權人，並且對發行人的資產沒有任何優先債權；衍生權證（「權證」）的投資者應對發行人的信用風險負責。

Has Expiry Date 具有有效期

Unlike stocks, Derivative Warrants (“Warrants”) have opposite dates and are not valid for a long period of time. Derivative Warrants (“Warrants”) If the warrant is not in-the-money in the near future, it has absolutely no value.

與股票不同，衍生權證（「窩輪」）有到期日，並非長期有效。衍生權證（「窩輪」）到期時如非價內權證，則完全沒有價值。

Time Delay Consumption 時間遞耗

若其他因素不變，衍生權證（「窩輪」）價格會隨時間而遞減，投資者絕對不宜視衍生權證（「窩輪」）為長線投資工具。

Amplitude 波幅

If other factors remain unchanged, an increase in the volatility of the underlying asset will cause the value of the derivative Warrant (“Warrant”) to increase; Conversely, a decrease in volatility will cause the value of the derivative Warrant (“Warrant”) to decrease.

若其他因素不變，相關資產的波幅增加會令衍生權證（「窩輪」）價值上升；相反，波幅減少會令衍生權證（「窩輪」）價值下降。

Market Power 市場力量

In addition to the fundamental factors that determine the theoretical price of a Derivative Warrant (“Warrant”), all other market factors (including the supply and demand for the Warrant itself in the market) determine the price of a Derivative Warrant (“Warrant”). In terms of market supply and demand, the impact of supply and demand is particularly large when derivative warrants (“Warrants”) are about to be sold in the market or when issuers issue additional derivative Warrants (“Warrants”).

除了決定衍生權證（「窩輪」）理論價格的基本因素外，所有其他市場因素（包括權證本身在市場上的供求）也會影響衍生權證（「窩輪」）的價格。就市場供求而言，當衍生權證（「窩輪」）在市場上快將售罄又或發行商增發衍生權證（「窩輪」）時，供求的影響尤其大。

附件 (1)

3. Risks Involved in Investing in Exchange Traded Funds ("ETFs")

投資交易所買賣基金涉及的風險 ("ETFs")

Market Risk 市場風險

Exchange-traded funds mainly track the performance of an index, industry/sector or asset group (such as stocks, bonds or commodities). ETF managers can use different strategies to achieve their goals, but they generally do not have the discretion to adopt defensive strategies in a declining market. Investors must exercise caution and be prepared to incur losses due to fluctuations in the underlying index/asset.

交易所買賣基金主要為追蹤某些指數、行業/領域又或資產組別(如股票、債券或商品)的表現。交易所買賣基金經理可用不同策略達至目標，但通常也不能在跌市中酌情採取防守策略。投資者必須要有因為相關指數/資產的波動而蒙受損失的準備。

Track Error 追蹤誤差

This refers to a disconnect between the performance of the ETF and the performance of the underlying index/asset, which can result from factors such as the ETF's trading and other charges, changes in the underlying index/asset mix, the replication strategy of the ETF manager, etc. (Common replication strategies include full replication/selected samples and comprehensive replication, see below.)

這是指交易所買賣基金的表現與相關指數/資產的表現脫節，原因可以來自交易所買賣基金的交易費及其他費用、相關指數/資產改變組合、交易所買賣基金經理的複製策略等等因素。(常見的複製策略包括完全複製/選具代表性樣本以及綜合複製，詳見下文。)以折讓或溢價交易

Foreign Exchange Risk 外匯風險

If the underlying assets of investors buying and selling structured products are not denominated in Hong Kong dollars, they are still subject to foreign exchange risks. Fluctuations in currency exchange rates may have a negative impact on the value of the underlying assets and, with this, the price of structured products.

若投資人買賣結構性產品的基礎資產並非以港幣計價，仍須承受外匯風險。貨幣匯率波動可能對基礎資產的價值以及結構性產品的價格產生負面影響。

Liquidity Risk 流通量風險

Securities market makers are responsible for providing liquidity and facilitating the buying and selling of funds by exchange participants.

Although exchange-traded funds often have one or more stock exchange owners, investors may not be able to trade if any stock exchange owner fails to perform its duties or performs suspension duties.

證券做市商負責提供流動性並促進交易所參與者買賣資金。儘管交易所交易基金通常擁有一名或多名證券交易所所有者，但如果任何證券交易所所有者未能履行職責或履行停牌職責，投資者可能無法進行交易。

Counterparty Risk Involved in Different Replication Strategies of ETFs

交易所買賣基金的不同複製策略涉及對手風險

(a) Complete Replication and Selection of Sample Strategies 完全複製及選具代表性樣本策略

ETFs that use a replication strategy typically invest in all constituent stocks/complete assets in equal weightings of the benchmark. If a typical sample selection strategy is adopted, Only some (but not all) of the relevant component stocks/assets will be invested. Counterparty risk is generally less of an issue for ETFs that invest directly in underlying assets rather than synthetically replicated instruments issued by third parties.

採用完全複製策略的交易所買賣基金，通常是按基準的相同比重投資於所有的成份股 / 資產。採取選具代表性樣本策略的，則只投資於其中部分（而不是全部）的相關成份股 / 資產。直接投資相關資產而不經第三者所發行合成複製成工具的交易所買賣基金，其交易對手風險通常不是太大問題。

(b) Comprehensive Replication Strategy 綜合複製策略

Exchange-Traded Funds that employ synthetic replication strategies that primarily beat the performance of swaps or other derivatives tracking benchmarks. Currently, Exchange-Traded Funds that adopt comprehensive replication strategies can be further divided into two types:

採用綜合複製策略的交易所買賣基金，主要透過掉期或其他衍生工具去追蹤基準的表現。現時，採取綜合複製策略的交易所買賣基金可再分為兩種：

i. Future Swap Contract Composition 以掉期合約構成

Total return swaps (total return swaps) allow buying and selling fund managers to replicate the performance of a fund's benchmark without purchasing its underlying assets. ETFs structured with swap contracts are subject to the counterparty risk of the underlying swap dealer. If the swap dealer loses responsibility or is unable to meet its commitments, the Fund may suffer losses.

總回報掉期 (total return swaps) 讓交易所買賣基金經理可以複製基金基準的表現而不用購買其相關資產。以掉期合約構成的交易所買賣基金需承受源自掉期交易商的交易對手風險。若掉期交易商失責或不能履行其合約承諾，基金或要蒙受損失。

ii. Composed of this Derivative Instrument 以衍生工具構成

ETF managers may also use other derivative instruments to synthetically replicate the economic benefits of the underlying benchmark. The derivative instrument may be issued by one or more issuers. Exchange-Traded Funds structured with derivative instruments are subject to the risk that the fund may suffer losses if the counterparty of the derivative issuer defaults or fails to honor its commitments.

交易所買賣基金經理也可以用其他衍生工具，綜合複製相關基準的經濟利益。有關衍生工具可由一個或多個發行商發行。以衍生工具構成的交易所買賣基金需承受源自發行商的交易對手風險。若發行商失責或不能履行其合約承諾，基金或要蒙受損失。

iii. Even if an exchange-traded fund obtains collateral, it still needs to entrust the collateral provider to perform its obligations. In addition, once the right to claim collateral is free, the market value of the collateral can be much lower than the initial income, causing serious losses to the ETF. Is it important to understand and be able to carefully evaluate the structure and characteristics of different ETFs? The impact is extremely significant, even if an ETF is acquired, there is a reliance on investor collateral providers to meet their obligations. In addition, once the right to claim collateral becomes free, the market value of the collateral can be much lower than the initial income, causing serious losses to the ETF. It will be extremely important for investors to understand and carefully review the different ETF structures and features.

This risk disclosure information and its contents are for reference only. If customers have any questions after reading it, please log on to the Hong Kong Exchanges or Securities and Futures Commission website for further details of derivative products. HKEX (<http://www.hkex.com.hk>) or Securities and Futures Commission (<http://www.sfc.hk>).

交易所買賣基金即使取得抵押品，也需依靠抵押品提供者履行責任。此外，申索抵押品的權利一旦行使，抵押品的市值可以遠低於當初所得之數，令交易所買賣基金損失嚴重。投資者是否了解並能審慎評估不同的交易所買賣基金結構及特色會有何影響極為重要。交易所買賣基金即使取得抵押品，也需依靠抵押品提供者履行責任。此外，申索抵押品的權利一旦行使，抵押品的市值可以遠低於當初所得之數，令交易所買賣基金損失嚴重。投資者是否了解並能審慎評估不同的交易所買賣基金結構及特色會有何影響極為重要。

本風險披露之資料及其內容只供參考，如客戶閱讀後有任何疑問，請登入香港交易所或證監會網頁了解有關進一步衍生產品的詳情。HKEX (<http://www.hkex.com.hk>) or SFC (<http://www.sfc.hk>).

附件 (2) Personal Data Privacy Policy Confirmation 個人資料私隱政策確認書

This statement is made in accordance with the personal data (Privacy) ordinance, Chapter 486, Laws of the Hong Kong special administrative region (the "ordinance"). It is a statement regarding the personal information provided by customers to the company when they open or occupy an operating account ("Related Account") with the company for securities trading and services.

此聲明是依照香港特別行政區法例第486章個人資料（私隱）條例（"條例"）作出的。它是關於客戶在本公司開立或持續操作帳戶（"帳戶"）以作證券買賣及有關服務時向本公司提供個人資料的聲明。

1. Purpose of Collection 收集目的

The personal information provided by the customer to the company and in any document due to the company or general operating account will be used by the company for the following purposes: a) in connection with processing the customer's application and general operating account; b) investment, trading, Acquisition, safekeeping, payment and handling of various types of securities and other related securities; c) Maintaining relevant information to comply with all regulations, subsidiary rules and codes related to securities transactions in Hong Kong; and d) Regarding the Company's direct promotion and/or cross-selling of this product Financial and/or investment products and services of the Company and/or any other associated companies (the "Group").

客戶因在本公司開設或持續操作帳戶而向本公司及在任何文件所提供的個人資料將被本公司作為下列用途：a) 與處理客戶申請開設及持續操作帳戶有關事宜；b) 投資、交易、收購、保管、處置及辦理各種證券等有關事宜；c) 保存有關資料，以符合本港所制訂有關證券交易的條例、附屬規例及守則；及d) 關於本公司的直接促銷及／或交叉銷售本公司及／或其他任何聯繫公司("本集團")的財務及／或投資產品及服務。

Responsibility for Providing Personal Data 提供個人資料的責任

It is the Customer's responsibility to provide the personal information required by the company. Understand the Customer's responsibilities under the Ordinance. When providing personal information to the company, the customer must confirm that the information provided is

correct. 客戶有責任向本公司提供所需的個人資料。鑒於客戶在條例下的責任，當向本公司提供個人資料時，客戶須確認所提供的資料正確。

2. Disclosure of Information 資料的披露

If the company considers it necessary, the information of the client account may be disclosed to agents or nominees handling securities, Futures and Options settlement, Stock Exchanges, Individuals or corporations and the company's auditors for the purpose of operational Client accounts or execution. Each company may disclose it to the top-level financial regulatory agencies such as the Stock Exchange and CCDC, The Securities and Futures Commission and the ordinance, government departments, other regulatory agencies, Individuals or corporations that are required to investigate such information in accordance with the law.

本公司如認為有需要，可向處理證券、期貨及期權結算的代理人或代名人、聯系入、個人或法團及本公司的核數師披露客戶開設帳戶的資料以運作客戶帳戶或執行各項交易相關事宜。本公司亦可向聯交所及中央結算，證監會及條例所界定的財經監管機構，根據法律有權查閱該等資料的政府部門，其他監管機構、個人或法團等披露。

Use of Data in Direct Marketing 在直接促銷中使用資料

The company intends to use the Customer's information for direct marketing, and the company is required to obtain the Customer's consent (including an indication of no objection) for this purpose. If you are unsure, Please note: (i) The company will not hold customers' Names, Contact information, financial background and demographic information at any time for direct marketing; (ii) It can be set to promote the following categories of services, products and items : , investment and related services and product finance;

(iii) Primary services, products and projects that may be provided or solicited by the Company and/or any member of the Group; (iv) In addition to the above services, products and projects, the Company also intends to use the information set out in paragraph (i) above Providing all or any of the persons listed in paragraph (iii) above for the purpose of providing such persons to promote such services, products and projects, and the Company is required to obtain the written consent (including an expression of no objection) from the Client for this purpose. If the customer refuses the company to use the quoted personal information for direct marketing purposes, please fill in the refusal request in the relevant part of the account opening form and sign to confirm.

本公司擬將顧客的資料用於直接促銷，而本公司為該用途須徵得顧客同意（包括表示不反對）。如有不明，請注意：(i) 本公司將不隨時持有顧客的姓名、聯絡資訊、財務背景及人口統計資料用於直接促銷；(ii) 可設定促銷下列類別的服務、產品及項目：、投資及相關服務與產品財務；

(iii) 首要服務、產品及或會由本公司及/或任何本集團成員提供或徵求項目；(iv) 除上述服務、產品及項目之外，本公司亦擬將以上(i)段所列資料提供包含上段所列的全部或任何人員，以提供該等人員促銷該等服務、產品及項目，而本公司為此用途須獲得客戶書面同意（包括表示不反對）。

If the customer refuses the company to use the quoted personal information for direct marketing purposes, please fill in the refusal request in the relevant part of the account opening form and sign to confirm.

如客戶拒絕本公司使用閣下的個人資料用作直銷推廣用途，請在開戶表格的有關部份，填寫拒絕要求及簽署確認。

CUSTOMER ACKNOWLEDGEMENT AND CONSENT AND DECLARATION BY STAFF
客戶確認及承諾 及 職員聲明

CUSTOMER ACKNOWLEDGEMENT AND CONSENT

客戶確認及承諾

I/We acknowledge receipt of the Standard Terms and Conditions of Suncorp Securities Limited.

本人(等)確認已收取了新確證券有限公司之標準章則。

I/We have read and fully understood the contents of this Account Application and the Client Agreement and agreed to be bound by them.

本人(等)已經閱讀並完全明白開戶申請表及客戶協議之內容，並同意受其等所約束。

I/We confirm that the Risk Disclosure Statements, and, if applicable, Risk Disclosure Information, in or accompanying the Client Agreement have been provided in a language of my choice (English or Chinese) and that I/We have read and accepted the nature and contents thereof. I/We appreciate that they are not and cannot be taken as a comprehensive or exhaustive list of all possible risks. I/We confirm that I/We have been given the opportunity to ask questions and seek independent advice if I/We so wish.

本人(等)確認載或附於客戶協議之風險披露聲明已按本人選擇之語言(英文或中文)提供予本人，及本人(等)已閱讀、瞭解和接受其/其等(若適用)性質和內容。本人(等)明白這不是而且不能被當為一份完全或徹底列舉所有潛在風險的清單。此外，本人(等)已被給予機會提出問題及徵求獨立的意見(若本人(等)有此意願)。

Declaration by Staff 職員聲明

I, a licensed or registered person, hereby declare that I have provided the Client with a copy of the Risk Disclosure Statements and the Risk Disclosure Statements in the Internet and Mobile Securities Trading Agreement (if applicable) in a language of the Client's choice (English or Chinese).

本人，以持牌人或註冊人身份，確認本人已按照下方簽署客戶所選擇之語言(英文或中文)提供風險披露聲明及互聯網及流動證券交易協議所載之風險披露聲明(如適用)。

I have invited the Client to read the Risk Disclosure Statements referred to the Cash Client Agreement, and the Risk Disclosure Statements in the Internet and Mobile Securities Trading Agreement (if applicable).

本人已提示客戶閱讀現金客戶協議及/或保證金客戶協議內之風險披露聲明及互聯網及流動證券交易協議所載之風險披露聲明(如適用)。

I have invited the Client to read the Risk Disclosure Statements in relation to the trading of Growth Enterprise Market stocks and derivative products and explained the relevant risks associated with the derivative products to the Client.

本人已提示客戶閱讀風險披露聲明內有關買賣創業板股份及衍生產品的條款，並已解釋衍生產品所附帶的相關風險。

I have encouraged the Client to ask questions and seek independent advice if the Client so wishes.

本人已鼓勵客戶有需要可以提出問題及徵求獨立的意見。

Applicant's Signature 申請人簽署



Date 日期:



Authorized Director(s)/Responsible Officer(s) Signature with Company Chop 獲授權董事 / 負責人簽署及公司印章

Licensed or Registered Person Signature

持牌人或註冊人簽署

Name of Licensed or Registered Person

持牌人或註冊人姓名

CE No. 中央編號:

Date 日期:

Date 日期:

Please attach 請附上：

◦ 開立帳戶授權文件(例如董事會會議記錄)。

Document giving authority to the authorized person(s) to open the account (e.g. Minutes of the Board of Directors' meeting).

◦ 公司註冊證書、商業登記證書、組織章程大綱及章程細則的核證副本。

Certified true copy of the Certificate of Incorporation, Business Registration Certificate, Memorandum and Articles of Association.

◦ 董事名冊核證副本。

Certified true copy of the Register or Directors.

◦ 客戶的股東名冊核證副本。

Certified true copy of the Register of Members.

◦ 所有獲授權代理人、董事及帳戶最終實質權益的人士之香港身份證或護照核證副本。

Certified true copies of the Hong Kong ID Card(s) or Passport(s) of all Authorized Persons, Directors and Ultimate beneficial owner(s).

◦ 所有獲授權代理人、董事及帳戶最終實質權益的人士之最近 3 個月的銀行結單公共服務單核證副本作住址證明。

Certified true copies of a bank statement or utility bill within the last 3 months of all Authorized Persons, Directors and Ultimate beneficial owner(s) for proof of residential address.

◦ 董事在職證明核證副本 (海外註冊成立的公司)

Certified true copy of the Certificate of Incumbency (Applicable for non-HK registration companies)

◦ 過去兩年的經審計帳目的核證副本及不超過本開戶表日期前兩個月的資產負債表或其他新確證券不時同意的財務資料。

Certified true copies of the audited accounts for the last two years and a balance sheet at a date not more than two months before the date of this Form, or such other financial information as SMSL may from time to time agree.

◦ 項目 11, 結算帳戶副本證明

Copy of the item 11, settlement bank account, evidence

To: Suncorp Securities Limited
Unit 2305, 23/F, The Center, 99 Queen's Road Central, Hong Kong
Ref. 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 Form IR1457 (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 Suncorp Securities Limited 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 Suncorp Securities Limited 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)

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

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: Suncorp Securities Limited
Unit 2305, 23/F, The Center, 99 Queen's Road Central, Hong Kong
Ref. 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 Suncorp Securities Limited 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 Suncorp Securities Limited 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).

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 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.

**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.
► Information about Form W-8BEN-E and its separate instructions is at www.irs.gov/formw8bene.
► 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)
- A foreign individual or entity claiming that income is effectively connected with the conduct of trade or business within the U.S. (unless claiming treaty benefits)..... W-8ECI
- A foreign partnership, a foreign simple trust, or a foreign grantor trust (unless claiming treaty benefits) (see instructions for exceptions) . . . W-8IMY
- A foreign government, international organization, foreign central bank of issue, foreign tax-exempt organization, foreign private foundation, or government of a U.S. possession claiming that income is effectively connected U.S. income or that is claiming the applicability of section(s) 115(2), 501(c), 892, 895, or 1443(b) (unless claiming treaty benefits) (see instructions)W-8ECI or W-8EXP
- Any person acting as an intermediary.....W-8IMY

Instead use Form:**Part I Identification of Beneficial Owner****1** Name of organization that is the beneficial owner**2** Country of incorporation or organization**3** Name of disregarded entity receiving the payment (if applicable)**4** Chapter 3 Status (entity type) (Must check one box only):☐ Simple trust☐ Grantor trust☐ Central Bank of Issue☐ Tax-exempt organization☐ Corporation☐ Complex trust☐ Private foundation☐ Disregarded entity☐ Estate☐ Partnership☐ Government

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) (Must check one box only unless otherwise indicated). (See instructions for details and complete the certification below for the entity's applicable status).☐ Nonparticipating FFI (including a limited FFI or an FFI related to a Reporting IGA FFI other than a registered deemed-compliant FFI or participating FFI).☐ Participating FFI.☐ Reporting Model 1 FFI.☐ Reporting Model 2 FFI.☐ Registered deemed-compliant FFI (other than a reporting Model 1 FFI or sponsored FFI that has not obtained a GIIN).☐ Sponsored FFI that has not obtained a GIIN. Complete Part IV.☐ Certified deemed-compliant nonregistering local bank. Complete Part V.☐ Certified deemed-compliant FFI with only low-value accounts. Complete Part VI.☐ Certified deemed-compliant sponsored, closely held investment vehicle. Complete Part VII.☐ Certified deemed-compliant limited life debt investment entity. Complete Part VIII.☐ Certified deemed-compliant investment advisors and investment managers. Complete Part IX.☐ Owner-documented FFI. Complete Part X.☐ Restricted distributor. Complete Part XI.☐ Nonreporting IGA FFI (including an FFI treated as a registered deemed-compliant FFI under an applicable Model 2 IGA). Complete Part XII.☐ Foreign government, government of a U.S. possession, or foreign central bank of issue. Complete Part XIII.☐ International organization. Complete Part XIV.☐ Exempt retirement plans. Complete Part XV.☐ Entity wholly owned by exempt beneficial owners. Complete Part XVI.☐ Territory financial institution. Complete Part XVII.☐ Nonfinancial group entity. Complete Part XVIII.☐ Excepted nonfinancial start-up company. Complete Part XIX.☐ Excepted nonfinancial entity in liquidation or bankruptcy. Complete Part XX.☐ 501(c) organization. Complete Part XXI.☐ Nonprofit organization. Complete Part XXII.☐ Publicly traded NFFE or NFFE affiliate of a publicly traded corporation. Complete Part XXIII.☐ Excepted territory NFFE. Complete Part XXIV.☐ Active NFFE. Complete Part XXV.☐ Passive NFFE. Complete Part XXVI.☐ Excepted inter-affiliate FFI. Complete Part XXVII.☐ Direct reporting NFFE.☐ Sponsored direct reporting NFFE. Complete Part XXVIII.**6** Permanent residence address (street, apt. or suite no., or rural route). **Do not use a P.O. box or in-care-of address** (other than a registered address).

City or town, state or province. Include postal code where appropriate.

Country

7 Mailing address (if different from above)

City or town, state or province. Include postal code where appropriate.

Country

8 U.S. taxpayer identification number (TIN), if required**9a** ☐ GIIN**b** ☐ Foreign TIN**10** Reference number(s) (see instructions)**Note.** Please complete remainder of the form including signing the form in Part XXIX.**For Paperwork Reduction Act Notice, see separate instructions.**

Cat. No. 59689N

Form **W-8BEN-E** (2-2014)

Part II Disregarded Entity or Branch Receiving Payment. (Complete only if disregarded entity or branch of an FFI in a country other than the FFI's country of residence.)

- 11 Chapter 4 Status (FATCA status) of disregarded entity or branch receiving payment
- ☐ Limited Branch. ☐ 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 (see instructions).
- c ☐ The beneficial owner is claiming treaty benefits for 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 _____ of the treaty identified on line 14a above to claim a _____ % rate of withholding on (specify type of income): _____.
- Explain the reasons the beneficial owner meets the terms of the treaty article: _____

Part IV Sponsored FFI That Has Not Obtained a GIIN

- 16 Name of sponsoring entity: _____
- 17 **Check whichever box applies.**
- ☐ I certify that the entity identified in Part I:
- Is an FFI solely because it is an investment entity;
 - Is not a QI, WP, 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 five percent 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 V.

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 §1.1471-5(e)(4);
- Is not a QI, WP, or WT;
- Has a contractual relationship with the above identified sponsoring entity that agrees to fulfill all due diligence, withholding, and reporting responsibilities of a participating FFI on behalf of this entity; **and**
- Twenty 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 percent 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 § 1.1471-5(f)(2)(iv)).

Part IX Certified Deemed-Compliant Investment Advisors and Investment Managers

23 ☐ I certify that the entity identified in Part I:

- Is a financial institution solely because it is an investment entity described in §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 or participating 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; **and**
- Does not maintain a financial account for any nonparticipating FFI.

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:
 - 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);
 - 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 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**
 - Any additional information the withholding agent requests in order to fulfill its obligations with respect to the entity.
- c** ☐ I certify that the FFI identified in Part I has provided, or will provide, an auditor's letter, signed within four 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 §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.

- d** ☐ I certify that the entity identified in 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 §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 _____;
 - Is treated as a _____ under the provisions of the applicable IGA (see instructions); **and**
 - If you are an FFI treated as a registered deemed-compliant FFI under an applicable Model 2 IGA, provide your GIIN: _____

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 §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;
 - The benefit of the entity's income does not inure to any private person;
 - 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 §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**
 - 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;
 - 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 §1.1471-5(b)(2)(i)(A));
 - 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 §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**
 - 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 §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 percent 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.
- 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, accounts described in §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.

Part XV Exempt Retirement Plans (Continued)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 §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 §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 Owners30 ☐ 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 §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 §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 §1.1471-6(b), (c), (d), (e), (f) and/or (g) without regard to whether such owners are beneficial owners.

Part XVII Territory Financial Institution31 ☐ 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 §1.1471-5(e)(5)(i)(C) through (E);
- Is a member of a nonfinancial group described in §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 Company33 ☐ 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 Bankruptcy34 ☐ 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 three years.

Part XXI 501(c) Organization35 ☐ 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 Non-Profit Organization

- 36** ☐ I certify that the entity identified in Part I is a non-profit 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 non-charitable 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 XXII 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:
 - 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, or
 - 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
- c** ☐ I further certify that the entity identified in Part I has provided the name, address, and TIN of each substantial U.S. owner of the NFFE in Part XXX.

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 that are not limited FFIs or limited branches;
 - Does not hold an account (other than a depository account 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 §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.

43 ☐ I certify that the entity identified in Part I is a direct reporting NFFE that is sponsored by the entity identified in line 42.

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:

- 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.



Date (MM-DD-YYYY)

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

As required by Part XXVI, provide the name, address, and TIN of each substantial U.S. owner of the NFFE. Please see instructions for definition of substantial U.S. owner.

[illegible]

**有關實施香港投資者識別碼制度及
場外證券交易匯報制度的個人資料收集
客戶同意書**

閣下明白並同意，新確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。

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。

閣下如未能向我們提供個人資料或上述同意，可能意味著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。

本人/吾等確認同意上述同意書之內容。



客戶簽署：_____

客戶名稱：_____

戶口號碼：_____

**Hong Kong Investor Identification Regime (HKIDR) and
Over-the-counter Securities Transactions Reporting Regime ("OTCR")**

Client Consent Letter

You acknowledge and agree that we Suncorp Securities Limited may collect, store, process, use, disclose and transfer personal data relating to you (including your CID and BCAN1 (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

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.

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).

I/ We hereby acknowledge and agree the above Client Consents.



Client Signature: _____

Client Name: _____

Account No.: _____

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.

BOARD RESOLUTION




TO: Suncorp Securities Limited

IT WAS RESOLVED:

That this corporation _____ be, and is Authorized and empowered to open and maintain one or more securities account(s) with **Suncorp Securities Limited** and its successors, by merger, consolidation or otherwise and assignee (the "brokers"), for the purchase and sale of securities on exchanges of which the brokers are members or otherwise (the "Account") and that:




A) Account Opening Documentation

any _____ of the Authorized Person(s) named below be Authorized to sign the Account Opening Form and/or Acknowledgement of Internet Trading(if any) and /or Acknowledgement of Margin Facility(if any) and sign, seal and/or deliver on our behalf any other documentation required in connection with the opening and maintaining of the Account with the brokers:

Name	ID/Passport No.	Contact Telephone No.	Specimen Signature
(a) _____	_____	_____	_____ 
(b) _____	_____	_____	_____ 
(c) _____	_____	_____	_____ 




B) Trading Instructions

any _____ of the Authorized Person(s) named below be Authorized to give oral or written instructions in relation to the purchase or sale of any securities for the Account:

Name	ID/Passport No.	Contact Telephone No.	Specimen Signature
(a) _____	_____	_____	_____ 
(b) _____	_____	_____	_____ 
(c) _____	_____	_____	_____ 

C) Settlement Instructions

any _____ of the Authorized Person(s) named below be Authorized to give written instruction to withdraw or transfer any monies or securities in the Account:

Name	ID/Passport No.	Contact Telephone No.	Specimen Signature
(a) _____	_____	_____	_____ 
(b) _____	_____	_____	_____ 
(c) _____	_____	_____	_____ 

D) If the client is a collective investment scheme, discretionary account and/or discretionary trust, please fill in the information below:

(i) The name of the scheme, account and or trust: _____

(ii) Identity of the person(s) ultimately responsible for giving instructions in relation to transactions to be conducted through the Account (Not applicable if it is the same as the ultimate owner(s)): _____

(iii) the investment manager who is responsible for the investment decision:

Name : _____ Registered office address : _____

Business Registration Number./Certificate of Incorporation Number and Place of Incorporation:

Contact Person : _____ Contact Number : _____

That this resolution shall be and remain in full force and effect until written notice of the revocation of this resolution is received by the brokers.

N.B. All unused spaces must be ruled off.

I, _____ Director / Secretary of _____ hereby certify that the foregoing is a full, true and correct copy of a resolution duly passed and adopted by the unanimous vote of the Board of Directors of the said corporation at a meeting duly called and held at the office of the said corporation on the _____ day of _____, 20_____, in which meeting a quorum of directors were present and voting; that said resolution appears in the minutes of the said meeting, and that the same has not been rescinded or modified and is now in full force and effect.

I further certify that the said corporation is duly incorporated or organized and validly existing, and has the power to take the action called for by the foregoing resolution.

Director/Secretary: _____  Date: _____

公司決議




致：新確證券有限公司

茲決議如下：

僅此批准和授權本公司_____在新確證券有限公司及其經合併、組合或以其他方式成立之繼承人和承讓人(下稱「經紀」)開立並維持一個或多個證券戶(下稱「本帳戶」)，以便在經紀為會員或以其他身份參與之交易所買賣證券，以及：




a) 本帳戶開立文件

特此授權下列任何____位授權人士代表吾等簽署開立戶口申請表和/或網上交易之確認(如有)和/或保證金融資之確認(如有)和簽署、加蓋印章及/或交付在經紀開立和維持本帳戶所需的任何其他文件：

姓名	身份證/護照號碼	聯絡電話	簽字樣本
(a) _____	_____	_____	_____ 
(b) _____	_____	_____	_____ 
(c) _____	_____	_____	_____ 




b) 交易指示

特此授權下列任何____位授權人士為有關本帳戶的任何證券買賣發出口頭或書面指示：

姓名	身份證/護照號碼	聯絡電話	簽字樣本
(a) _____	_____	_____	_____ 
(b) _____	_____	_____	_____ 
(c) _____	_____	_____	_____ 

c) 交收指示

特此授權下列任何____位授權人士發出書面指示，以提取或轉移本帳戶中的任何款項或證券：

姓名	身份證/護照號碼	聯絡電話	簽字樣本
(a) _____	_____	_____	_____ 
(b) _____	_____	_____	_____ 
(c) _____	_____	_____	_____ 

d) 若客戶為集合投資計劃、全權委託賬戶及/或全權委託信託，請填寫下列有關資料

(i) 有關計劃、賬戶及/或信託之名稱: _____

(ii) 進行交易發出指示的最終負責人仕的身份(若與賬戶最終權益擁有人相同,則不用填寫本欄): _____

(iii) 負責投資決定的投資經理

名稱: _____ 註冊地址: _____

公司註冊號碼及註冊地: _____

聯絡人: _____ 聯絡電話: _____

本決議將完全有效，直至經紀收到撤銷本決議的書面通知為止。

注：所有未填寫部分均須劃掉。

本人，之董事/秘書特此證明，上文是上述公司於20____年____月____日正式通知並於公司辦事處舉行之董事會會議一致投票通過採納之決議之完整、真實和準確副本。該董事會會議出席人數達到法定和投票人數，決議已收載於上述會議的會議記錄，並未被取消或修訂，目前仍然完全有效。本人證明，上述公司是正式設立或成立和有效存續之公司，擁有上述決議要求其採取之行動之權力。

董事/秘書: _____  日期: _____

Client Risk Profile Questionnaire (For Corporate Account) 客戶風險取向問卷 (只供公司帳戶)

Account No.:

帳戶帳號: _____

IMPORTANT NOTES 重要提示:

- This Client Risk Profile Questionnaire (For Corporate Account) ("Questionnaire") is designed by Suncorp Securities Limited ("SSL") to assess the Client's current risk profile based on his investment goals, investment horizon, liquidity needs and financial strength. It will assist us in considering potentially suitable investment products for the Client.
本客戶風險取向問卷(只供公司帳戶) (「問卷」) 由新確證券有限公司 (新確設計, 是根據客戶投資目標、投資年期、流動資金需要及財政實力, 以評估客戶現時風險取向。它將會協助新確證券向客戶提供潛在合適投資產品時作出考慮。
- The Questionnaire and its results are not an offer or solicitation to buy or sell, or a recommendation of any investment product or services, and they should not be considered as investment advice. The Client should consider its own circumstances before making any investment decisions.
本問卷及其結果將不構成要約或招攬購買或出售、或推薦任何投資產品或服務, 亦不應被視為投資建議。客戶在做出任何投資決定之前, 應該考慮其公司狀況。
- This Questionnaire should be completed and signed by any authorized signatory of the Client who ultimately makes investment decisions in the corporate account.
本問卷應由客戶獲授權簽署人士填妥及簽署, 此人是在公司帳戶中作出最終投資決定。
- All information given by the Client in this Questionnaire should be true, correct and complete. If there is an insufficient or missing information is provided by the Client, Suncorp shall be unable to provide the most appropriate investment product and services to the Client.
客戶在本問卷內所填報的資料應屬真實無訛及完整。如客戶所提供的資料不足或遺留, 新確將不能為客戶提供最合適的投資產品及服務。
- If the Client is in doubt, he is strongly advised to seek independent professional advice.
客戶如有疑問, 強烈建議客戶諮詢獨立專業意見。

PART 1 – Assessment of Your Risk Tolerance Level 第一部 – 評估閣下風險承受程度	Answer 答案	Score 分數
<p>Q1) Does your company have specialized functions responsible for making investment decisions? 貴公司是否設有一個專屬職能以作出投資決定?</p> <p>(a) No. Our company does not have knowledge and experience for making investment decisions. (1) 沒有。本公司沒有知識及經驗作出投資決定。</p> <p>(b) No. Our company is a corporation which the investment decisions rest with shareholders and/or directors who have extensive investment experience. (3) 沒有。本公司是一間公司, 投資決定是由擁有大量投資經驗的股東及/或董事作出的。</p> <p>(c) Yes. Our company has a specialized function and governance practice that is responsible for making investment decisions. (5) 有。本公司設有一個專屬職能及管理架構負責作出投資決定。</p>		
<p>Q2) Which of the following is your company's profit expectation in the next 5 years? (For non-profit making organization, please use net cash flow instead). 貴公司預期未來五年的純利走勢是以下哪一項? (如果屬於非牟利機構, 請以淨現金流量代替純利走勢。)</p> <p>(a) Very unstable with high possibility of losses for the next 2 years or beyond. (1) 非常不穩定, 預計在未來兩年或以後有很大機會虧損。</p> <p>(b) Unstable with some possibility of losses for the next 5 years. (2) 不穩定, 預計在未來五年有機會虧損。</p> <p>(c) Somewhat stable with very low possibility of losses for the next 5 years. (3) 尚算穩定, 預計在未來五年虧損機會不大。</p> <p>(d) Stable and in line with economic growth. (4) 穩定並與經濟增長看齊。</p> <p>(e) Stable and outpacing economic growth. (5) 穩定並領先經濟增長。</p>		
<p>Q3) What portion of overall business income of your company is available for investment in each month? 每月可用作投資的金額, 佔貴公司總營業收入多少?</p> <p>(a) Less than 10%. 少於 10%. (1)</p> <p>(b) 10% – 29%. 10% – 29%. (2)</p> <p>(c) 30% – 49%. 30% – 49%. (4)</p> <p>(d) 50% or above. 50% 或以上。 (5)</p>		

PART 1 – Assessment of Your Risk Tolerance Level 第一部 – 評估閣下風險承受程度	Answer 答案	Score 分數
<p>Q4) How many months of your business monthly expenses could be covered by your liquid assets to meet unforeseen events? 現時的流動資金足夠應付貴公司多少個月的日常開支，以面對突如其來的情况？</p> <p>(a) None. 沒有。 (1)</p> <p>(b) Less than 3 months. 少於3個月。 (2)</p> <p>(c) 3 – 6 months. 3 – 6 個月。 (3)</p> <p>(d) 6 – 12 months. 6 – 12 個月。 (4)</p> <p>(e) More than 12 months. 多於12 個月。 (5)</p>		
<p>Q5) What is the current objective of your company for investment? 貴公司現時之投資目標是？</p> <p>(a) Capital preservation with a return similar to bank deposit rate. 保本及賺取相約銀行存款的回報。 (1)</p> <p>(b) Dividend income which earns a return that is similar above bank deposit rate. 股息收入以賺取略高於銀行存款的回報。 (2)</p> <p>(c) Capital appreciation with stable income and capital growth. 資本增值，以穩定收入與資本增長。 (3)</p> <p>(d) High growth. 高速增長。 (4)</p> <p>(e) Speculation with the focus in maximize capital growth and capital return as soon as possible. 投機，以最短時間，爭取最高增長及回報。 (5)</p>		
<p>Q6) How long is the target investment horizon of your company? 貴公司的目標投資年期是多少？</p> <p>(a) Less than 1 year. 少於1年。 (1)</p> <p>(b) Between 1 year to 3 years. 介乎1年至3年。 (2)</p> <p>(c) Between 3 years to 5 years. 介乎3年至5年。 (4)</p> <p>(d) More than 5 years. 多於5年。 (5)</p>		
<p>Q7) In the past 3 years, does your company have any investment experience in dealing with the following products for more than 5 times (Can select for more than one options)? 於過去3年，貴公司是否擁有5次以上買賣下列產品的投資經驗(可多選一個選項)？</p> <p>(a) Stocks. 股票。 (1)</p> <p>(b) Derivative Products (e.g. warrants, CBBC). 衍生產品(如：認證權證、牛熊證)。 (2)</p> <p>(c) Futures and/or Options Contracts. 期貨及/或期權合約。 (3)</p> <p>(d) Mutual Funds. 互惠基金。 (4)</p> <p>(e) Fixed Income Securities (e.g. bonds, convertible bonds). 固定收益證券(如：債券、可轉換債券)。 (5)</p> <p>(f) Structured Products (e.g. equity linked deposit). 結構性投資產品(股票掛鉤票據)。 (6)</p>		
<p>Q8) What is knowledge of financial markets and investment products of your company? 貴公司對金融市場及投資產品的認識是多少？</p> <p>(a) Have very little knowledge of financial markets and investment products at all, but interests in understanding them. 對金融市場及投資產品有很少知識，但有興趣深入瞭解。 (1)</p> <p>(b) Have only some basic knowledge of financial markets and investment products such as differences between stocks and bonds. 對金融市場及投資產品只有一些基本知識，例如股票及債券的分別。 (2)</p> <p>(c) Have more than basic knowledge of financial markets and investment products and understand the importance of diversification and application. 對金融市場及投資產品達基本知識以上的水平，明白分散投資的重要性，並作出分散投資。 (3)</p> <p>(d) Know how to read listed companies' financial reports and understand the factors affecting the prices of stocks and bonds. 懂得閱讀上市公司財務報告，並明白影響股票及債券價格的因素。 (4)</p> <p>(e) Familiar with most investment products (including stocks, futures contracts, bonds and warrants) and understand various factors that may affect the risk and performance of these investment products. 熟悉大部分投資產品(包括股票、期指合約、債券及認股權證)，並明白影響該等投資產品的風險及表現的各項因素。 (5)</p>		

PART 1 – Assessment of Your Risk Tolerance Level 第一部 – 評估閣下風險承受程度		Answer 答案	Score 分數
<p>Q9) In general, investing involves a trade-off between risk and return. Investments carrying a higher risk come with the potential of achieving more gains, but, also a higher possibility of incurring considerable losses. It has been historically shown that investors who achieve higher returns have experienced correspondingly high fluctuations and losses. Which of the following statement could best describe the attitude towards risk of your company?</p> <p>一般而言，投資通常是風險與回報的取舍。較高風險投資可取得較高潛在收益，然而亦較容易招致相當的損失。獲得高回報的投資者往往承受的波動與損失風險較高。以下那一段句子最能反映貴公司對風險的態度？</p> <p>(a) Our company is risk averse and doesn't want to take any risks. 本公司不願意承受任何風險。 (1)</p> <p>(b) Our company will try to avoid risk, but minor one is acceptable. 本公司會盡量回避風險，但仍可承受較低風險。 (2)</p> <p>(c) Our company tries to strike a balance between risks and returns. 本公司會平衡風險與回報。 (3)</p> <p>(d) Our company is willing to accept more risks, as we aim for more returns. 本公司願意承受較高風險，以換取更高回報。 (4)</p> <p>(e) Our company does not care about risk, as we aim to maximize returns. 本公司不太理會風險，以換取最大回報。 (5)</p>			
<p>Q10) Investment value can go up and down over time. What is the highest level of price fluctuation that your company is willing to accept for a single investment?</p> <p>投資產品價格可升可跌。在單項投資上，貴公司願意接受最多的價格波幅是多少？</p> <p>(a) Price fluctuates between -10% and +10%. 價格波幅介乎-10%和+10%。 (1)</p> <p>(b) Price fluctuates between -20% and +20%. 價格波幅介乎-20%和+20%。 (2)</p> <p>(c) Price fluctuates between -40% and +40%. 價格波幅介乎-40%和+40%。 (3)</p> <p>(d) Price fluctuates between -70% and +70%. 價格波幅介乎-70%和+70%。 (4)</p> <p>(e) Price fluctuates between -100% and +100%. 價格波幅介乎-100%和+100%。 (5)</p>			
Total Score 總分數			

Client Risk Tolerance Analysis 客戶風險承擔評估			
Total Score 總分數	Risk Level 風險級別	Client Risk Profile 客戶風險取向	Attributes and Risk Preferences 特性及風險偏好
<input type="checkbox"/> Below 15 少於15	Low 低	Low-to-Medium 低至中	A client who is risk-averse and to whom capital preservation is very important. 客戶對風險採取比較保守的態度及以 保存資本為主。
<input type="checkbox"/> 15 – 24	Low-to-Medium 低至中	Stable 穩健型	A client who would like to have the capital gain potential, and he/she understands he/she needs to take a “Low-To-Medium” level of risk in respect of the capital invested. 客戶喜愛有資本增值的潛力的投資，同時亦明白到需要承擔「低至中」等程度風險。
<input type="checkbox"/> 25 - 34	Medium 中	Balanced 平衡型	A client who is willing to accept a “Medium” level of risk. 客戶願意承擔「中」等程度風險。
<input type="checkbox"/> 35 - 44	Medium-to-High 中至高	Growth 增長型	A client who would like to have greater capital gain potential, and he/she understands that he/she needs to take a “Medium-to-High” level of risk 客戶喜愛有較大資本增值潛力的投資，同時亦明白到需要承擔「中至高」等程度風險。
<input type="checkbox"/> Over 44 多於44	High 高	Aggressive 進取型	A client who would like to have significant capital gain, and he understands that he/she needs to take a “High” level of risk in respect of the capital invested. 客戶喜愛有可觀資本增值的投資，同時亦明白到要承擔「高」等程度風險。

PART 2 – Client Acknowledgement and Declaration**第二部 – 客戶聲明及確認**

By signing below, we hereby acknowledge and declare the followings:

透過在下方簽名，吾等特此聲明及確認如下：

- We have completely read and well understood the content of this Questionnaire;
吾等已完全閱讀並清楚了解本問卷的內容；
- All the answers to the questions in this Questionnaire are provided by us and are up-to-date, true, correct and complete to the best of our knowledge. We further **AGREE** with the client risk profile as set out above in Part 1 of this Questionnaire (which will be relied upon by and captured in the records of Suncorp);
本問卷所有問題的答案均由吾等提供，就吾等所知屬最新、真確無訛及完整。吾等進一步**同意**本問卷第一部的結果（結果將由新確記錄為吾等的客戶風險取向）；
- We acknowledge that (1) this Questionnaire and its result only serve as a reference for my consideration when making our own investment decisions and the client risk profile does not constitute offer or solicitation to buy or sell or recommendation of any investment products and services and should not be considered as any investment advice; (2) the result of client risk profile was derived from information provided by us; and (3) Suncorp accepts no responsibility or liability as to the accuracy or completeness of the information given by us; and
吾等確認 (1) 本問卷並僅作為吾等在作出吾等投資決定時的參考，客戶風險取向及其結果並不構成要約或招攬購買或出售、或推薦任何投資產品或服務，亦不應被視為任何投資建議；(2) 客戶風險取向的結果是由吾等提供的資料所獲得的；及(3) 新確不會為吾等提供的資料的準確性或完整性承擔任何責任或義務；
- We undertake to advise Suncorp of any change in circumstances which would affect the result of this Questionnaire, and to re-complete this Questionnaire again as soon as possible should there be any such change in circumstances; and
吾等承諾，如有任何情況變動會影響本問卷的結果，吾等會告知新確，並再次盡快重新填寫本問卷；及
- In the event of inconsistency between the English and Chinese versions of this Questionnaire, the English version shall prevail.
本問卷之中、英文版本如有任何歧義，概以英文版本為準。

• **SIGNED by**
簽署

Client Signature

客戶簽署

Client Name

客戶姓名

Date

日期

PART 3 – Declaration by Suncorp Licensed Representative**第三部 – 新確持牌代表聲明**

I, (Name of Suncorp Licensed Representative) (CE No.) hereby declare that I have:
本人，(新確持牌代表的姓名) (中央編號) ，謹此聲明，本人：

- Invited the Client to read this Questionnaire, to ask questions and take independent advice if the Client wishes; and
邀請客戶閱讀本問卷、提出問題及徵詢獨立意見（如客戶有此意願）；及
- Fully explained the contents of this Questionnaire to the Client in a language which the Client understands.
已按照客戶所理解的語言，向客戶完全解釋本問卷的內容。

Licensed Representative Signature

持牌代表簽署

Date

日期

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Documents Verified by	Name	Signature	Date
Documents Approved by	Name	Signature	Date