

CLIENT INFORMATION STATEMENT - CORPORATE

客戶資料表 - 公司

A. Corporate Information 公司資料

Corporate Name 公司名稱 :	(English 英文)	_____
	(Chinese 中文)	_____
Business Registration No. 商業登記編號 :	_____	
Certificate of Incorporation No. 公司註冊證書編號 :	Country of Incorporation 註冊成立地點 :	_____
Registered Office 註冊辦事處 :	_____	
Business Address 營業地址 :	_____	
Nature of Business 業務性質 :	No. of Years in Current Industry 從事現行業年數 :	_____
Office Tel 辦公室電話 :	Fax 傳真 :	_____
Email 電郵 :	_____	
Authorized Capital 法定資本 :	Paid-up Capital 繳足資本 :	_____
Last Year Annual Turnover 上年度營業額 :	No. of Employees 僱員人數 :	_____

B. Shareholders Information (For listed Company, who owns 10% or above)

股東資料 (如上市公司, 擁有 10%或以上持股量的股東)

Name 姓名/ Corporate Name 公司名稱	HKID Card / Passport No. 香港身份證/護照號碼	Shareholdings Percentage 持股量佔已發行之百分比
Business Registration No. 商業登記編號		
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

C. Details of Directors 董事資料

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

D. Details of Beneficial Owners 戶口最終權益擁有人資料

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

E. Authorized Person(s) 獲授權人

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

F. Main Information of Contact Person 主要聯絡人資料

English Name 英文姓名：	_____	Chinese Name 中文姓名：	_____
Current Position 現任職位：	_____	Fax 傳真：	_____
Office Tel 辦公室電話：	_____	Email 電郵：	_____
Mobile 手機：	_____		

G. Declaration by Client 客戶聲明

- 1) Is any director, shareholder or authorized person of the client a staff of Wan lung? 客戶之任何董事、股東或授權人士是否萬隆的職員？
☐ Yes 是 ☐ No 否
If yes 如是, Name 職員姓名: _____ Position 職位: _____
- 2) Is any director, shareholder or authorized person of the client a client of Wan lung? 客戶之任何董事、股東或授權人士是否萬隆的客戶？
☐ Yes 是 ☐ No 否
If yes 如是, Account Name 帳戶名稱: _____ Account No. 帳戶號碼: _____
- 3) Is any director, shareholder or authorized person of the client an employee of any participant of the Stock Exchange of Hong Kong, a licensed corporation under the Securities and Futures Ordinance, or a registered institution under the Banking Ordinance (whether he/she is currently a SFC licensed/HKMA registered person or not)? 客戶之任何董事、股東或授權人士是否為香港聯合交易所參與者或任何根據證券及期貨條例註冊持牌法團或銀行業條例之註冊機構之僱員（不管閣下現時是否為證監會持牌代表/金管局註冊人士）？
☐ Yes 是 ☐ No 否
If yes 如是, Participant/Licensed Corporation/Registered Institution Name 參與者/持牌法團/註冊機構名稱: _____
Position 職位: _____
CE No. 中央編號: (Employer 僱主) _____ / (Employee 僱員) _____ (If applicable 如適用)
(Consent Letter from licensed corporation or registered institution must be provided 必須出示所屬持牌法團或註冊機構之授權信)

- 4) Does any of the Client's shareholders, directors, partners, Authorized person(s), the persons ultimately responsible for giving instructions for the Account or the ultimate beneficial owner(s) of the Account ("Relevant Person(s)") have any relationship with the directors or employees of Wan lung Securities Limited?

客戶之股東、董事、合夥人、授權人、最終負責就戶口進行交易發出指示之人士或戶口最終權益擁有人（「有關人士」）與萬隆證券有限公司之董事或職員是否有親屬關係？

☐ Yes 是，name of the relevant person 有關人士之姓名 _____ ☐ No 否

If yes, please state the information of the director or employee 如是，請詳列該董事或職員之資料：

Name 姓名：_____ Position Held 職位：_____

Relationship 關係：Husband / Wife 丈夫/妻子 Father / Mother / Son / Daughter 父親/母親/兒子/女兒 Brother/Sister 兄弟/姊妹

H. Bank Information 銀行資料

Bank Name 銀行名稱：_____

Bank Address (for overseas bank only)

銀行地址 (海外銀行戶口方須填寫)：_____

Bank Account Name 銀行戶口名稱：_____

Account No. 戶口號碼：_____

Currency 貨幣：_____

I. Financial Background and General Disclosure 財務背景及基本資料

Annual profit ☐ Under 低於 HK\$ 5,000,000 ☐ HK\$ 5,000,000 – 19,999,999 ☐ HK\$ 20,000,000 – 100,000,000

每年盈利：☐ HK\$ 100,000,000 – 299,999,999 ☐ Over 高於 HK\$ 300,000,000

Liquid Assets (Stock) ☐ Under 低於 HK\$ 300,000 ☐ HK\$ 300,000 - 999,999 ☐ HK\$ 1,000,000 – 4,999,999

流動資產(投資組合)：☐ HK\$ 5,000,000 – 7,999,999 ☐ Over 高於 HK\$ 8,000,000

Total Net Worth ☐ Under 低於 HK\$ 3,000,000 ☐ HK\$ 3,000,000 - 9,999,999 ☐ HK\$ 10,000,000 - 39,999,999

總資產淨值：☐ Over 高於 HK\$ 40,000,000

Source of Funds/Wealth

資金/財富來源：_____

Country of Sources of Income ☐ Hong Kong 香港 ☐ Macau 澳門 ☐ China 中國

收入來源地：☐ United States 美國 ☐ Others 其他：_____

- 1.) Do you have experience in securities trading?

貴公司是否有股票投資經驗？

☐ No 否 ☐ Yes 是，_____ years of experience 年經驗

- 2.) Do you have experience in other investment trading?

貴公司是否有其他投資買賣經驗？

☐ No 否 ☐ Yes 是，

☐ Futures 期貨_____ years 年 ☐ Options 期權_____ years 年 ☐ Commodities 商品_____ years 年

☐ Foreign Exchange 外匯_____ years 年 ☐ Fund 基金_____ years 年 ☐ Bond 債券_____ years 年

☐ Derivative Products 衍生產品_____ years 年 ☐ Other, please specify 其他，請注明_____，_____ years 年

- 3.) How much do you plan to put into securities trading investment?

貴公司計劃用作股票買賣投資的金額？

☐ Under 低於 HK\$ 300,000 ☐ HK\$ 300,000 - 999,999 ☐ HK\$ 1,000,000 - 9,999,999 ☐ Over 高於 HK\$10,000,000

4.) What level of risk could you tolerate? (in percentage of loss in relation to your portfolio)

貴公司能夠承受的風險程度？虧損佔貴公司投資組合百分比？

☐20% ☐30% ☐40% ☐50% ☐More than 超過 50%

5.) What is your investment objective?

貴公司的投資目標是？

☐Long Term 長期投資 ☐Medium Term 中期投資 ☐Short Term 短期投資
☐Capital increase 資本增值 ☐Hedging 對沖 ☐Speculative 投機
☐Dividend Yield 股息回報 ☐Others, please specify 其他，請注明_____

6.) Assessment of client's knowledge on derivative products

YES NO

評估客戶對衍生產品的認識

有 否

1. Does/Do the authorized person(s) has/have executed five or more transactions in any derivative product (whether traded on an exchange or not), within the past three years.

☐ ☐

獲授權人有否曾在過去三年內買賣過五次或以上有關衍生產品的交易
(不論是否在交易所買賣)

2. Has/Have the authorized person(s) ever undergone training or attended courses on derivative products.

☐ ☐

獲授權人過去有否曾接受過有關衍生產品的培訓或修讀相關課程

3. Does/Do the authorized person(s) has/have any work experience related to derivative products

☐ ☐

獲授權人現時或過去有否從事與衍生產品有關的工作經驗

Name(s) of authorized person(s) for making investment decisions

負責投資決定人士之姓名:

- ☐ If No, I/We have read and understood the Risk Disclosure Statement – Risks Associated with Structured Products, Additional Risks Involved in Trading Derivative Warrants and Additional Risks Involved in Trading CBBCS included in the Client Agreement. 如否，本人/吾等已閱讀及明白包括於客戶協議中的風險披露聲明-結構性產品相關風險，買賣衍生權證的額外風險和買賣牛熊證的一些額外風險。

J. FATCA SELF-CERTIFICATION 海外帳戶稅收合規法案聲明書

The Foreign Account Tax Compliance Act ("FATCA") enacted in the United States of America ("US") become effective 1 July 2014. The new US tax regulations require Hong Kong financial institutions to identify and report US persons to the relevant tax authority. To certify whether you are a US citizen or resident, please complete and sign this self-certification form. Please select the appropriate boxes below:

美國制定的《海外帳戶稅收合規法案》於 2014 年 7 月 1 日起生效。此等新稅務條例要求香港金融機構識別客戶 是否美國公民或居民，並向美國稅務當局匯報。現就此事懇請閣下填妥及簽署此聲明書。請就以下問題填寫合適答案：

1. I certify that our company is registered in United States of America.

本人聲明本公司為美國註冊公司。

☐ No 否 ☐ Yes 是，Please ref to form W-9BEN 請填寫#W-9BEN 之表格。

2. I certify that shareholders in our company are citizen of the United States of America.

本人聲明本公司之股東為美國公民。

☐ No 否 ☐ Yes 是，Please ref to form W-8BEN 請填寫#W-8BEN 之表格。

3. I certify that shareholders in our company are resident of the United States of America for US federal income tax purposes.

(Includes green card holder)

本人聲明本公司之股東為美國居民 (包括綠卡持有者)。

☐ No 否 ☐ Yes 是，Please ref to form W-8BEN 請填寫#W-8BEN 之表格。

I declare that I have examined the information on this self-certification and to the best of my knowledge and belief; it is true, correct, and complete. I will inform your company within 30 days if any information herein becomes incorrect.

聲明本人已查閱此聲明之內容，並盡本人所知及確信，聲明內容均屬真實，正確及完整。本人同意如以上聲明有變更，將於 30 日內通知貴公司。



Signature of beneficial owner (or individual authorized to sign for beneficial owner)

受益人簽名 (或受益人授權之簽署人簽名)

Name 姓名：

HKID Card / Passport No.

Date 日期：

香港身份證/護照號碼：

K. Self-Certification Form – Entity (Sample form for reference and adoption by financial institutions)
自我證明表格 – 實體（財務機構參照適用之樣表）

Important Notes 重要提示:

- This is a self-certification form provided by a controlling person to Wan lung Securities Limited for the purpose of automatic exchange of financial account information. The data collected may be transmitted by Wan lung Securities Limited to the Inland Revenue Department for transfer to the tax authority of another jurisdiction. 這是由控權人向萬隆證券有限公司提供的自我證明表格，以作自動交換財務帳戶資料用途。萬隆證券有限公司可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- A controlling person should report all changes in his/her tax residency status to Wan lung Securities Limited. 如控權人的稅務居民身分有所改變，應盡快將所有變更通知萬隆證券有限公司。
- 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 Wan lung Securities Limited to the Inland Revenue Department. 除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠用，可另紙填寫。在欄/部標有星號 (*) 的項目為萬隆證券有限公司須向稅務局申報的資料。

Part 1 Identification of Entity Account Holder 實體帳戶持有人的身分識別資料

第一部 (For joint or multiple account holders, complete a separate form for each entity account holder.) (對於聯名帳戶或多人聯名帳戶，每名實體帳戶持有人須分別填寫一份表格)

1. Legal Name of Entity or Branch 實體或分支機構的法定名稱*

2. Jurisdiction of Incorporation or Organisation

實體成立為法團或設立所在的稅務管轄區

3. Hong Kong Business Registration Number

香港商業登記號碼

4. Current Business Address 現時營業地址

Suite 室, Floor 樓層, Building 大廈, Street 街道, District 地區

City 城市 *

Province 省, State 州

Country 國家 *

Post Code/ZIP Code 郵政編碼/郵遞區號碼

5. Mailing Address (Complete if different to the current business address)

通訊地址 (如營業地址與現時住址不同，填寫此欄)

Suite 室, Floor 樓層, Building 大廈, Street 街道, District 地區

City 城市 *

Province 省, State 州

Country 國家 *

Post Code 郵政編碼 / ZIP Code 郵遞區號碼

Part 2 Entity Type 實體類別

第二部 Tick one of the appropriate boxes and provide the relevant information. 在其中一個適當的方格內加上✓號，並提供有關資料。

Financial Institution 財務機構	<input type="checkbox"/> Custodial Institution, Depository Institution or Specified Insurance Company 託管機構、存款機構或指明保險公司 <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 投資實體，但不包括由另一財務機構管理（例如：擁有酌情權管理投資實體的資產）並位於非參與稅務管轄區的投資實體
Active NFE 主動非財務實體	<input type="checkbox"/> NFE the stock of which is regularly traded on _____, which is an established securities market 該非財務實體的股票經常在 _____ (一個具規模證券市場) 進行買賣 <input type="checkbox"/> Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market _____ 的有關連實體，該有關連實體的股票經常在 _____ (一個具規模證券市場) 進行買賣 <input type="checkbox"/> NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities 政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體 <input type="checkbox"/> Active NFE other than the above (Please specify _____) 除上述以外的主動非財務實體 (請說明 _____)
Passive NFE 被動非財務實體	<input type="checkbox"/> Investment entity that is managed by another financial institution and located in a non-participating jurisdiction 位於非參與稅務管轄區並由另一財務機構管理的投資實體 <input type="checkbox"/> NFE that is not an active NFE 不屬主動非財務實體的非財務實體

Part 3
第三部

Controlling Persons 控權人

(Complete this part if the entity account holder is a passive NFE 如實體帳戶持有人是被动非財務實體，填寫此部)

- 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. 就帳戶持有人，填寫所有控權人的姓名在列表內。就法人實體，如行使控制權的並非自然人，控權人會是該法人實體的高級管理人員。
- Complete Self-Certification Form – Controlling Person for each controlling person. 每名控權人須分別填寫一份表格（自我證明表格 – 控權人）。

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

Part 4
第四部

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

居留司法管轄區及稅務編號或具有等同功能的識別編號（以下簡稱「稅務編號」）*

- 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.
提供以下資料，列明（a）帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區（香港包括在內）及（b）該居留司法管轄區發給帳戶持有人的稅務編號。列出所有（不限於 5 個）居留司法管轄區。
- If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number.
如帳戶持有人是香港稅務居民，稅務編號是其香港商業登記號碼。
- 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.
如果帳戶持有人並非任何稅務管轄區的稅務居民（例如：它是財政透明實體），填寫實際管理機構所在的稅務管轄區。
- If a TIN is unavailable, provide the appropriate reason A, B or C 如沒有提供稅務編號，必須填寫合適的理由：
Reason A – The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.
理由 A – 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。
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.
理由 B – 帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得稅務編號的原因。
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.
理由 C – 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號，填寫理由 A、B 或 C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選取理由 B，解釋帳戶持有人不能取得稅務編號的原因
1.			
2.			
3.			
4.			
5.			

Part 5 Declarations and Signature 聲明及簽署

第五部

- 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).

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

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

本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人 / 本人獲帳戶持有人授權簽署本表格 #。

- I undertake to advise Wan lung 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 Wan lung Securities Limited with a suitably updated self-certification form within 30 days of such change in circumstances.

本人承諾，如情況有所改變，以致影響本表格第 1 部所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知萬隆證券有限公司，並會在情況發生改變後 30 日內，向萬隆證券有限公司提交一份已適當更新的自我證明表格。

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.

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

Signature 簽署



Name 姓名

Capacity 身分

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

Date 日期(dd 日/mm 月/yyyy

trust etc.例如：公司的董事或高級人員、合夥的合夥人、信託的受託人

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).

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

L. Self-Certification Form – Controlling Person(Sample form for reference and adoption of financial institutions)
自我證明表格 – 控權人（財務機構參照適用之樣表）

Important Notes 重要提示:

- This is a self-certification form provided by a controlling person to Wan lung Securities Limited for the purpose of automatic exchange of financial account information. The data collected may be transmitted by Wan lung Securities Limited to the Inland Revenue Department for transfer to the tax authority of another jurisdiction. 這是由控權人向萬隆證券有限公司提供的自我證明表格，以作自動交換財務帳戶資料用途。萬隆證券有限公司可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- A controlling person should report all changes in his/her tax residency status to Wan lung Securities Limited. 如控權人的稅務居民身分有所改變，應盡快將所有變更通知萬隆證券有限公司。
- 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 Wan lung Securities Limited to the Inland Revenue Department. 除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄/部標有星號（*）的項目為萬隆證券有限公司須向稅務局申報的資料。

Part 1 Identification of Controlling Person 控權人的身分識別資料

第一部

1. Name of Controlling Person 控權人的姓名

Title (e.g. Mr, Mrs, Ms, Miss) 稱謂(例如:先生、太太、女士、小姐)

Last Name or Surname 姓氏 *

First or Given Name 名字*

Middle Name(s) 中間名

2. Hong Kong Identity Card or Passport Number

香港身份證或護照號碼

3. Current Residence Address 現時住址

Suite 室, Floor 樓層, Building 大廈, Street 街道, District 地區

City 城市 *

Province 省, State 州

Country 國家 *

Post Code/ZIP Code 郵政編碼/郵遞區號碼

4. Mailing Address (Complete if different to the current residence

通訊地址（如通訊地址與現時住址不同，填寫此欄）

Suite 室, Floor 樓層, Building 大廈, Street 街道, District 地區

City 城市 *

Province 省, State 州

Country 國家 *

Post Code 郵政編碼 / ZIP Code 郵遞區號碼

5. Date of Birth 出生日期 * (dd 日/mm 月/yyyy 年)

6. Place of Birth 出生地點(Not compulsory 可不填寫)

Town/City

Province 省 / State 州

Country 國家

Part 2 The Entity Account Holder(s) of which you are a controlling person. 你作為控權人的實體帳戶持有人
 第二部 Enter the name of the entity account holder of which you are a controlling person. 填寫你作為控權人的實體帳戶持有人的名稱

Entity 實體	Name of the Entity Account Holder 實體帳戶持有人的名稱
1.	
2.	
3.	

Part 3 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") 居留司法管轄區及稅務編號
 第三部 能的識辨編號（以下簡稱「稅務編號」）*

- 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. 提供以下資料，列明（a）控權人的居留司法管轄區，亦即控權人的稅務管轄區（香港包括在內）及（b）該居留司法管轄區發給控權人的稅務編號。列出所有（不限於 5 個）居留司法管轄區。
- If the controlling person is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. 如控權人是香港稅務居民，稅務編號是其香港身份證號碼。
- If a TIN is unavailable, provide the appropriate reason A, B or C 如沒有提供稅務編號，必須填寫合適的理由：

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

理由 A – 控權人的居留司法稅務管轄區並沒有向其居民發出稅務編號。

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. 理由 B – 控權人不能取得稅務編號。如選取這一理由，解釋控權人不能取得稅務編號的原因。

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.

理由 C – 控權人毋須提供稅務編號。居留司法管轄區的主管機關不需要控權人披露稅務編號。

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號，填寫理由 A、B 或 C	Explain why the controlling person is unable to obtain a TIN if you have selected Reason B 如選擇理由 B，解釋控權人不能取得稅務編號的原因
1.			
2.			
3.			
4.			
5.			

Part 4 Type of Controlling Person 控權人類別

第四部 Tick the appropriate box to indicate the type of controlling person for each entity stated in Part 2.

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

Type of Entity 實體類別	Type of Controlling Person 控權人類別	Entity(1) 實體(1)	Entity(2) 實體(2)	Entity(3) 實體(3)
Legal Person 法人	Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital) 擁有控制股權的個人（即擁有不少於百分之二十五的已發行股本）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who exercises control/is entitled to exercise control through other means (i.e. not less than 25% of voting rights) 以其他途徑行使控制權或有權行使控制權的個人（即擁有不少於百分之二十五的表決權）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who holds the position of senior managing official/exercises ultimate control over the management of the entity 擔任該實體的高級管理人員/對該實體的管理行使最終控制權的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trust 信託	Settlor 財產授予人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Trustee 受託人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Protector 保護人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Beneficiary or member of the class of beneficiaries 受益人或某類別受益人的成員	<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) 其他(例如：如財產授予人/受託人/保護人/受益人為另一實體，對該實體行使控制權的個人)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Legal Arrangement other than Trust 除信託以外的法律安排	Individual in a position equivalent/similar to settlor 處於相等/相類於財產授予人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to trustee 處於相等/相類於受託人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to protector 處於相等/相類於保護人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries 處於相等/相類於受益人或某類別受益人的成員位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (e.g. individual who exercises control over another entity being equivalent/similar to settlor/trustee/protector/beneficiary) 其他(例如：如處於相等/相類於財產授予人/受託人/保護人/受益人位置的人為另一實體，對該實體行使控制權的個人)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

第五部

- 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).

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

- 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.

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

- I undertake to advise Wan lung 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 Wan lung Securities Limited with a suitably updated self-certification form within 30 days of such change in circumstances.

本人承諾，如情況有所改變，以致影響本表格第 1 部所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知萬隆證券有限公司，並會在情況發生改變後 30 日內，向萬隆證券有限公司提交一份已適當更新的自我證明表格。

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.

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

Signature 簽署



Name 姓名

Capacity 身分

Date 日期(dd 日/mm 月/yyyy 年)

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

Delete as appropriate 刪去不適用者

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).

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

Declaration 聲明

We hereby declare and confirm that, 本公司聲明及確認，

- the information stated in the Client Information Statement is true, complete and correct; and
本公司資料報表內陳述的資料為真實、完整及準確；及
- I understand all Terms & Conditions set out in this Client Services Agreement and accept and agree to be bound thereby; and
本公司明白本客戶服務協議所載的條款及細則，並接受及同意受該等文件約束；及
- the Account Holder(s) named in this Client Information is/ are the ultimate beneficial owner(s) of the Account(s) and transaction(s); and
本開戶表格所指明的申請人是帳戶及交易的最終實益持有人；及
- the Account Opening Documents could be given by Wan lung Securities Limited at any time.
所有有關開戶之文件可隨時向萬隆證券有限公司索取。



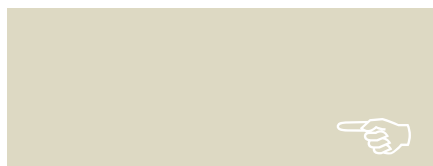
Authorized Signature(s) with Company Chop

獲授權人簽署及公司蓋章

Name 姓名：

Title 職位：

Date 日期：



Authorized Signature(s) with Company Chop

獲授權人簽署及公司蓋章

Name 姓名：

Title 職位：

Date 日期：

EXECUTION OF CLIENT SERVICES AGREEMENT 客戶服務協議的確立

I/We have read and fully understand and accept in full the terms of this Client Services Agreement of Wan Lung Securities Limited.

本人 (等) 已閱讀及完全明白及全面接納萬隆證券有限公司的客戶服務協議的全部條款。

- ☐ If for Individual, signed by the Individual 如為個人，由個人簽署
☐ If for a Partnership, signed by all the Partners 如為合夥經營，由所有合夥人簽署
☐ If for a Corporation, signed by the Authorized Persons or Directors 如為公司，由授權簽字人或董事簽署



Authorized/Director Signature 授權簽字人/董事簽署

Name 姓名：

Date 日期：



Authorized/Director Signature 授權簽字人/董事簽署

Name 姓名：

Date 日期：

In each case 每項情況

Signed by the Witness 見證人簽署：

Name 姓名：

Address 地址：

Date 日期：

Name 姓名：

Address 地址：

Date 日期：

INTERNET/APP SERVICE INSTRUCTION 網上 / 手機服務指示

New 新申請

Type (Can Select more than 1 item) 申請種類 (可選擇多於一項)

☐ Internet Trade / App Trade(Free) 網上 / 手機交易 (免費)

☐ Electronic Statement(Please provide your email address)

電子帳單 (請提供郵址)

Password to be received 密碼收取方式

☐ By mail (Internet / App Trading will be activated after we receive your acknowledgement reply)

以郵寄 (網上 / 手機交易系統將在本公司收到閣下之確認回覆後才生效)

The password will be posted to you after 3 trading days or to be collected by you at our office in person during office hours. Please change the password on first logon and every 3 months.

密碼將於 3 個交易日後寄出或由閣下於辦公時間內親臨本公司領取，敬請閣下於首次登入時及每隔 3 個月更改密碼。

☐ By selecting this option, you re-confirm that you have renounced to receive statement by mail. You understand and will bear the risk that your account information may be delayed, leaked or loss during the Internet Transmission process. We expressly deny any responsibility due to such transmission errors.

閣下選擇此項時，閣下再次確認已放棄以郵寄方式收取成交單據及明白到並同意承擔閣下之客戶資料可能在互聯網傳訊過程中延誤接收，洩漏或遺失之風險。本公司聲明將不會承擔因傳訊錯誤所引致的任何責任。



Authorized/Director Signature 授權簽字人/董事簽署

Name 姓名:

Date 日期:



Authorized/Director Signature 授權簽字人/董事簽署

Name 姓名:

Date 日期:

RISK DISCLOSURE ACKNOWLEDGEMENT 風險披露確認

I/We confirm that:

本人 (等) 確認:

- (i) the above Risk Disclosure Statements have been provided to me/us in a language of my/our choice (English or Chinese); and
本人 (等) 獲提供屬於本人 (等) 所選擇語文 (英文或中文) 的以上風險披露聲明; 及
- (ii) I was /We were invited to read the Risk Disclosure Statements, to ask questions and take independent advice if I/we so wish.
本人 (等) 獲邀請閱讀風險披露聲明、提出疑問、以及如本人 (等) 認為需要、尋求獨立意見。



Authorized/Director Signature 授權簽字人/董事簽署



Authorized/Director Signature 授權簽字人/董事簽署

Name 姓名:

Date 日期:

Name 姓名:

Date 日期:

FOR OFFICE USE ONLY 公司專用 Declaration by Licensed Person 持牌人員聲明

Risk Disclosure Statements & Acknowledgement 風險披露聲明及確認

I confirm that the above Risk Disclosure Statements have been provided to the Client in a language of the Clients' choice (English or Chinese) in below location. I have invited the Client to read the Risk Disclosure Statements, ask questions and take independent advice if the Client so wishes.

本人確認，以上風險披露聲明已按客戶選擇的語言 (英文或中文) 並在以下地點提供予客戶。本人已邀請客戶閱讀風險披露聲明、提出疑問、以及如客戶認為需要、尋求獨立意見。

Location 地點:

☐ Company 本公司

☐ Others, please specify 其他，請注明:

.....
.....
.....

Signature 簽署:

Name of Licensed Person 持牌人員姓名:

CE No. 中央編號:

DATA PRIVACY POLICY 私 隱 政 策

1. As a client of The Broker (the "Client"), it is necessary from time to time for the Client to supply his/her personal data ("Personal Data"), within the meaning ascribed in the Personal Data (Privacy) Ordinance (Chapter 486 of the laws of Hong Kong) (the "Privacy Ordinance") to The Broker or WAN LUNG when opening or continuation of accounts, or in the establishment, continuation or provision of investment, dealing or related services.
2. Failure to supply Personal Data may result in The Broker being unable to open or continue accounts or establish, continue or provide investment, dealing or related services.
3. Personal Data may also be collected in the ordinary course of continuation of the business relationship with WAN LUNG.
4. Subject to the provisions of the Privacy Ordinance, any Personal Data may be used for the following purposes:
 - (a) the daily operation of the services provided to the Client;
 - (b) conducting credit checks;
 - (c) ensuring ongoing credit worthiness of the Client;
 - (d) marketing investment, dealing or related services or products;
 - (e) supporting any statements made in any documents in connection with the services of The Broker;
 - (f) assisting other relevant parties, professionals, institutions or relevant regulatory authorities to verify certain facts in connection with the services of The Broker;
 - (g) meeting the requirements to make disclosures under the requirements of any laws and/or regulations binding on The Broker;
 - (h) forming part of the records of the recipient of the data as to the business carried on by it; and
 - (i) any other purposes relating to or incidental to any of the above.
5. The Broker will keep Personal Data confidential but The Broker may provide Personal Data to the following persons in furtherance of the purposes set in the above paragraph (4):
 - (a) any agent or third party service provider who provides services to The Broker in connection with the operation of its business;
 - (b) an appropriate person under a duty of confidentiality to The Broker including any WAN LUNG Company which has undertaken to keep such information confidential;
 - (c) any person or institution with which the Client has or proposes to have dealings;
 - (d) credit reference agencies and debt collection agencies (in the event of default payment);
 - (e) any regulatory authorities or exchanges which relate to or govern any business of The Broker and any WAN LUNG Company;
 - (f) any assignee, transferee, delegate, successor or person to whom the account of the Client is transferred and the authorised person of the Client; and
 - (g) any of The Broker actual or proposed assignee or participant or sub-participant or transferee.
6. The Personal Data may be transferred to any place outside Hong Kong, whether for the processing, holding or use of such data outside Hong Kong, and also to service providers which offer services to any WAN LUNG Company in connection with the operation of its business.
7. To the extent permitted by law, the Personal Data collected by The Broker from time to time may be used and disclosed in accordance with the Data Privacy Policy.
8. In accordance with the terms of the Privacy Ordinance, any individual has the right to:
 - (a) check whether The Broker holds data about him/her and access to such data;
 - (b) required The Broker to correct any data relating to him/her which is inaccurate;
 - (c) ascertain The Broker's policies and practices in relation to data and be informed of the kind of personal data held by The Broker; and
 - (d) in relation to customer credit, request to be informed which items of personal data are routinely disclosed to credit reference agencies or debt collection agencies, and be provided with further information to enable the making of an access and correction request to the relevant credit reference agency or debt collection agency.
9. In accordance with the Privacy Ordinance, The Broker has the right to charge a reasonable fee for the processing of any data access request. All requests for access to data or correction of data (when client considers that his/her personal data, supplied by The Broker following a data access request, are inaccurate) or for information regarding policies and practices and kinds of data held should be addressed as follows:
 1. 作為經紀之客戶（「客戶」），當申請開立或延續戶口或建立、延續或提供投資、交易或相關服務時，需不時向經紀或萬隆提供有關之個人資料（「個人資料」）按《個人資料（私隱）條例》（香港法例第 486 章）（「私隱條例」）所賦予之定義。
 2. 若未能向經紀提供有關資料，將會導致經紀無法開立或延續戶口或建立、延續或提供投資、交易或相關服務。
 3. 個人資料將可能在與萬隆的正常業務往來過程中被收集。
 4. 根據隱私條例，資料將可能用於下列用途：
 - (a) 為提供服務給客戶之日常運作；
 - (b) 作信貸檢查；
 - (c) 確保客戶之信用維持良好；
 - (d) 宣傳投資、交易或相關服務或產品；
 - (e) 支援經紀在有關服務上作出之任何文件內之任何聲明；
 - (f) 協助其他有關第三者、專業人員、機構及有關監管機構確認經紀在有關服務上之某些事實；
 - (g) 根據經紀須遵守之有關法例及／或條例要求作出披露；
 - (h) 組成接收資料者以此開展的經營業務之數據的一部份；及
 - (i) 與上述有關或隨附之其他用途。
 5. 經紀會把個人資料保密，但為達至上述第(4)段所述的用途，經紀可能會把有關資料提供給：
 - (a) 任何中間人，或提供與經紀業務運作有關服務之第三者服務供應人；
 - (b) 任何對經紀有保密責任之適當人仕，包括對經紀有保密承諾的萬隆關連公司；
 - (c) 任何與客戶已有或建議有交易之人仕及機構；
 - (d) 信貸諮詢機構及（發生拖欠付款時）收數公司；
 - (e) 任何管治或與經紀及萬隆關連公司的業務有關的監管機構及交易所；
 - (f) 任何承讓人、受讓人、代表、繼承人或獲轉讓有關帳戶之人士及授權人士；及
 - (g) 任何經紀之實在或建議承讓人或參與人或附屬參與人或受讓人。
 6. 客戶同意個人資料可轉到香港以外的任何地點（不論是用在香港以外處理、持有或使用該等資料），並同意可轉發給向任何萬隆關連公司就其業務經營而提供服務的服務提供者。
 7. 在法律許可的範圍內，客戶同意經紀不時收集的個人資料可按照私隱政策的規定使用及披露。
 8. 根據私隱條例中之條文，任何人有權：
 - (a) 審查經紀是否持有他／她的資料及查閱有關之資料；
 - (b) 要求經紀改正有關他／她不準確之資料；
 - (c) 查悉經紀對於資料之政策及實際運用及被通知經紀持有任何種個人資料；及
 - (d) 就客戶信貸而要求獲通知哪項個人資料是例行披露予信貸諮詢機構或收數公司，以及獲提供進一步的資訊以便向有關的信貸諮詢機構或收數公司作出查閱及改正要求。
 9. 根據私隱條例規定，經紀有權就處理任何查閱資料之要求收取合理費用，任何關於資料查閱或改正資料（當客戶認為由經紀經查閱資料後所提供有關他／她的資料不準確時）或關於資料政策及實際應用或持有的資料種類之要求，應向下列人仕提出：

Data Privacy Officer
Unit 1712, 17/F., West Tower, Shun Tak Centre, 168-200 Connaught Road Central, Sheung Wan, Hong Kong.
Tel: +852 3700 8900

私隱資料主任
香港上環干諾道中 168-200 號信德中心西翼 17 樓 1712 室
電話：+852 3700 8900

Hong Kong limited company 香港有限公司

- ☐ 1. Certified true copy of Certificate of Incorporation
公司註冊證書之核證副本
- ☐ 2. Copy of Business Registration Certificate/Proof of address (within 3 months)
商業登記證或三個月內之公司地址副本
- ☐ 3. Certified true copy of Memorandum and Articles of Association
公司組織章程大綱及細則之核證副本
- ☐ 4. Most recent certified Audited report and Accounts
最近經審核報告及賬目之核證副本
- ☐ 5. Copy of Address Proof (within 3 months) of Director(s) & Guarantor(s)
每名董事及擔保人三個月內之住址證明
- ☐ 6. Copy of HKID card or Passport of Authorized Person(s), director(s), shareholder(s) (for listed company who own 10% shares or above), beneficial owner(s) & guarantor(s)
每名授權人士、董事、股東、最終權益擁有人及擔保人之香港身份證或護照副本 (如上市公司的股東持股 10%或以上)
- ☐ 7. Certified ownership organization chart identifying individual ultimately beneficial owner
擁有權結構圖以識別最終受益人之核證副本
- ☐ 8. Certified true copy of Register of shareholders (only applicable for HK limited company)
股東名冊之核證副本 (只適用於香港有限公司)
- ☐ 9. Certified true copy of Register of directors (only applicable for HK limited company)
董事名冊之核證副本 (只適用於香港有限公司)

* All certified true copy must be signed within 3 months by registered Lawyer / Accountant / Director
所有核證副本必須由註冊律師或執業會計師或董事於 3 個月內簽署證明

Additional documents required Limited company registered outside HK e.g. BVI 海外註冊的有限公司(如英屬維京群島)之額外文件

- ☐ 1. A certificate of incumbency, or registered agent's certificate identifying the current directors and officers which verified or issued by
registered agent (within 6 months) or certified true copy of incumbency
由註冊公司代理簽署證明公司現時有效的職權證明書 (6 個月內) 或職權證明書之核證副本
- ☐ 2. Certified true copy of Certificate of Good Standing (within 6 months)
信譽良好證明書之核證副本 (6 個月內)
- ☐ 3. Certified true copy of Register of shareholders
股東名冊之核證副本
- ☐ 4. Certified true copy of Register of directors
董事名冊之核證副本

* All certified true copy must be signed within 3 months by registered Lawyer / Accountant
所有核證副本必須由註冊律師或執業會計師於 3 個月內簽署證明

Introduced by 推介人 (Options) (可選填):	AE/ HSE Code:	Print Cheque 支票: Yes/ No 是 / 否
Period of relationship 服務期限:	Commission 佣金:	Min. Commission 最低佣金:
Trading Limit 交易限額:	Credit Limit 信貸限額:	Checked by 覆核人:
Company Search by 公司資料查詢人: (latest AR & the after changes)最新周年申報表及之後的變更		