

A/C No.	
A/C Name	
AE Code	
A/C Open Date	



**潮商証券有限公司**  
**ChaoShang Securities Limited**

**ACCOUNT OPENING FORM (Individual / Joint Account)**  
**(CASH ACCOUNT/MARGIN ACCOUNT)**

帳戶開戶表格(個人/聯名帳戶)  
(現金帳戶/保證金帳戶)

**Required Supporting Documents for Account Opening**  
**開立帳戶之所需證明文件**

**Important note: All documents submitted must either be an original or a copy certified by a recognized person or staff members of CSL.**  
**重要事項：所有提交的文件如非正本，必須經認可人士或潮商證券員工認證後，方為有效。**

**Individual/Joint Account 個人/聯名帳戶**

請提供以下文件 Please provide the following documents:

1. Identity Card(s) / Passport(s) of the Individual/Joint account holder  
個人 / 聯名戶口持有人身份證 / 護照副本
2. Proof of Residential Address (e.g. Utilities / Bank Statement, etc. not later than 3 months)  
住宅地址證明 ( 如：水、電費單 / 銀行結單等, 只接受最近三個月 )
3. Proof of Correspondence Address (If applicable)  
通訊地址證明 (如適用)
4. Standing Authority of Client Money Rule  
客戶款項常設授權書
5. Standing Authority of Client Securities Rule (Margin client only)  
客戶款項常設授權書 (只限保證金帳戶適用)
6. W-8BEN Form (Trading US Stock only)  
W-8BEN Form (買賣美股適用)
7. Northbound China Connect Trading Services (A Shares Only)  
中華通北向交易服務(只限買賣 A 股適用)
8. Any other documents and/or information as CSL may reasonably requires  
潮商證券合理情況下需要的其他文件或資料

**\* Please have all documents signed and marked “Certified True Copy”**  
**請在有關文件上簽署及蓋上「經認證副本」印章。**

## CLIENT INFORMATION STATEMENT

## 客戶資料 (個人 / 聯名帳戶)

<b>1 Account Type 戶口種類</b>	
AE Code 經紀編號	Account No. 帳戶號碼
A/C Opening Date 開戶日期:	
Account for Securities trading with CSL 於潮商證券的證券交易帳戶	
Customer Type 客戶類別	<input type="checkbox"/> Individual 個人 <input type="checkbox"/> Joint 聯名
Account Type 帳戶類別	<input type="checkbox"/> Cash Account 現金帳戶 <input type="checkbox"/> Margin Account 保證金帳戶
Internet Trading Services 網上交易服務 <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	
Selection of trading securities (Please tick the relevant box(es)) 證券市場交易種類 (請選擇):	
<input type="checkbox"/> A Shares – Mainland China 中國 A 股 <input type="checkbox"/> H.K. Share 港股 <input type="checkbox"/> U.S. Stocks 美國股票 <input type="checkbox"/> Fund / Bond 基金 / 債券 <input type="checkbox"/> Others 其他 _____	
Method of Receiving Statement 接收結單方式	Language 語言
<input type="checkbox"/> Email Address 電郵地址 <input type="checkbox"/> Residential Address 住宅地址 <input type="checkbox"/> Correspondence Address 通訊地址 (Please note that the contract notes and statements will be sent to the Primary Joint Account Holder) (請注意成交單據及帳單將會寄往第一帳戶持有人)	<input type="checkbox"/> Traditional Chinese 繁體中文 <input type="checkbox"/> Simplified Chinese 簡體中文 <input type="checkbox"/> English 英文
<b>2 INDIVIDUAL / PRIMARY HOLDER OF JOINT ACCOUNT INFORMATION 個人帳戶 / 聯名帳戶第一持有人資料</b>	
<input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Ms. 女士 Marital Status 婚姻狀況: _____	
Name in English 英文姓名	Last Name or Surname 姓氏 _____ First or Given Name 名字 _____
Name in Chinese 中文姓名	Date of Birth 出生日期(日 DD/月 MM/年 YYYY)
Place of Birth 出生地點	ID/Passport No. 身份證/護照號碼
Nationality 國籍	
Current Residential Address 現時住宅地址 (P.O. Box is not accepted. 不接受郵政信箱):	
Room /Floor/ Building/ Street/ District 室 / 樓層 / 大廈 / 街道 / 地區	
City 城市	
Province / State 省 / 州	
Country 國家	
Post Code/ZIP Code 郵政編碼/郵遞區	
Correspondence Address (if different from above) 通訊地址 (如與以上有異):	
Room /Floor/ Building/ Street/ District 室 / 樓層 / 大廈 / 街道 / 地區	
City 城市	
Province / State 省 / 州	
Country 國家	
Post Code/ZIP Code 郵政編碼/郵遞區	
Home Tel No. 住宅電話號碼	Mobile Phone No. 手提電話號碼
Wechat ID No. 微信帳號	Email Address 電郵地址
<b>3 Employment Status 就業情況</b>	
<input type="checkbox"/> Full time 全職 <input type="checkbox"/> Part time 兼職 <input type="checkbox"/> Self-Employed 自僱 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Housewife 家庭主婦 <input type="checkbox"/> Others 其他	
Name of Employer / Company (if self-employed, please fill in the nature of business) 僱主 / 公司* (若自僱，請填行業名稱)	
Office Address 公司地址	
Post Code 郵政編碼	Occupation/Business Nature 職業/業務性質
Position 職位	
Years with Employer 服務年期	Office Tel. No. 公司電話號碼
Office Fax No. 公司傳真號碼	

<b>4</b>	<b>Education Level 教育程度</b>						
<input type="checkbox"/> Primary 小學 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Tertiary Education 大專 <input type="checkbox"/> University or Above 大學或以上 <input type="checkbox"/> Professional Qualification 專業資格 <input type="checkbox"/> Others 其他 (Pls. specify 請說明): _____							
<b>5</b>	<b>Financial Profile 財務狀況</b>						
Annual Income (HKD) 每年收入 (港幣)		<input type="checkbox"/> \$200,000 or Less 或以下 <input type="checkbox"/> \$1,000,001 - \$1,500,000		<input type="checkbox"/> \$200,001 - \$500,000 <input type="checkbox"/> \$1,500,001 - \$2,000,000		<input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> Above \$2,000,000 以上	
Source of Income (HKD) 收入來源 (港幣)		<input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Interest Income 利息收入		<input type="checkbox"/> Business Profit 業務收益 <input type="checkbox"/> Rent 租金		<input type="checkbox"/> Commission 佣金 <input type="checkbox"/> Others 其他 _____	
Net Asset Value (HKD) 資產淨值 (港幣)		<input type="checkbox"/> \$1,000,000 or Less 或以下 <input type="checkbox"/> \$10,000,001 - \$15,000,000		<input type="checkbox"/> \$1,000,001 - \$5,000,000 <input type="checkbox"/> \$15,000,001 - \$20,000,000		<input type="checkbox"/> \$5,000,001 - \$10,000,000 <input type="checkbox"/> Above \$20,000,000 以上	
Ownership of Residence 住宅業權		<input type="checkbox"/> Living with Family 與家人同住 <input type="checkbox"/> Rented 租用		<input type="checkbox"/> Mortgaged 已按揭 <input type="checkbox"/> Others 其他 _____		<input type="checkbox"/> Owned 自置	
Amount of Liquidity for Investment at Account Opening 開戶時可用作投資的流動資產		<input type="checkbox"/> \$1,000,000 or Less 或以下 <input type="checkbox"/> \$10,000,001 - \$15,000,000		<input type="checkbox"/> \$1,000,001 - \$5,000,000 <input type="checkbox"/> \$15,000,001 - \$20,000,000		<input type="checkbox"/> \$5,000,001 - \$10,000,000 <input type="checkbox"/> Above \$20,000,000 以上	
Source of Funds 投資資金來源		<input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Interest 利息 <input type="checkbox"/> Others 其它: _____		<input type="checkbox"/> Commission 佣金 <input type="checkbox"/> Pension 退休金		<input type="checkbox"/> Rent 租金 <input type="checkbox"/> No 沒有	
Origin of Funds 資金來源地		<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Others (please specify) 其他(請說明): _____		<input type="checkbox"/> Mainland China 中國內地			
<b>6</b>	<b>Anticipated Level of Trading Activity in the Account 預計在本戶口的交易量</b>						
Transaction amount per month (HKD) 每月交易金額 (港幣)		<input type="checkbox"/> < \$500,000		<input type="checkbox"/> > \$500,000			
Number of Transaction per month 每月交易合約次數		<input type="checkbox"/> < 20		<input type="checkbox"/> 20 - 40		<input type="checkbox"/> > 40	
Investments Products 投資產品		<input type="checkbox"/> Stocks 證券		<input type="checkbox"/> Derivative products 衍生產品 結構性及衍生產品		<input type="checkbox"/> Mutual funds or Bonds 單位信托基金或債券	
<b>7</b>	<b>Investment Objective 投資目標</b>						
<input type="checkbox"/> Stable Growth 平穩增長 <input type="checkbox"/> Balance Growth 均衡增長 <input type="checkbox"/> High Growth 高速增長 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Speculative 投機							
<b>8</b>	<b>Investment Experience (can choose more than one) 投資經驗 (可選多於一項)</b>						
Product 產品		Experience (in Terms of Year) 經驗 (以年計算)					
		Nil 無	< 1	1 - 3	3 - 5	5 - 10	> 10
Stocks 證券							
Structured and derivative product 結構性及衍生產品							
Bond / Fund 債券 / 基金							
Others 其他 _____							
<b>9</b>	<b>Derivatives Knowledge 衍生工具知識</b>						
(i) Do you have Derivatives Knowledge 您有沒有衍生產品知識? <input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有							
(ii) If yes, how do you acquire the relevant knowledge of derivatives? 如有，您如何獲得有關衍生工具知識?							
<input type="checkbox"/> I have trading experience in any kinds of derivatives products, for example at least 5 transactions of any derivatives products in the past three years. 我擁有曾買賣衍生產品的經驗，例如最少在過去3年內進行5次或以上任何類別的衍生產品交易。							
<input type="checkbox"/> I have undergone training or attended courses on derivatives products. 我曾接受有關衍生產品的培訓或修讀相關課程。							
<input type="checkbox"/> I have working experience involved in derivative. 我擁有涉及衍生產品的工作經驗。							
<input type="checkbox"/> Others 其他 _____							
For clients do not have any of the above-mentioned knowledge and experience, such clients will be considered as without knowledge of structured and / or derivatives product(s). Before trading in structured and/ or derivative product(s), the Client has read and understood the risks disclosure statements of Derivatives traded on Exchange included in the Client Account Agreement and agree to bear the risks involved.  如客戶沒有以上任何一項經驗及認識，客戶將被視作沒有結構性及/或衍生工具產品認識。在客戶買賣結構性及/或衍生工具產品之前，客戶就此確認已閱讀及理解包括於證券帳戶協議中有關在交易所買賣的衍生產品的風險披露聲明，並同意承擔有關風險。							
<b>10</b>	<b>Risk Tolerance 風險承受程度</b>						
Annual volatility of investment portfolio 投資組合按年所承受波幅		<input type="checkbox"/> Aggressive 高		<input type="checkbox"/> Moderate 中		<input type="checkbox"/> Conservative 低	

<b>11</b>	<b>Self-Certification of U.S. Resident / Citizen 美國居民/公民自我證明</b>			
(i)	Are you a U.S. tax resident? 您是否美國稅務居民?	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 不是		
(ii)	Are you a U.S. citizen? (If you hold multiple citizenships, tick "Yes" if one of them is U.S.) 您是否美國公民 (如您持有多重國籍身份而其一為美國國籍, 請回答"是")	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 不是		
<b>12</b>	<b>Self-Certification of Common Reporting Standard 共同匯報標準自我證明</b>			
<p>Please 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 Taxpayer Identification Number ("TIN") for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence. 請提供以下資料, 列明 (a) 帳戶持有人的居留司法管轄區, 亦即帳戶持有人的稅務管轄區 (香港包括在內) 及 (b) 該居留司法管轄區發給帳戶持有人的稅務編號。請列出所有 (不限於 5 個) 居留司法管轄區。</p> <p>If the account holder 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: 如帳戶持有人是香港稅務居民, 稅務編號是其香港身份證號碼。如沒有提供稅務編號, 必須填寫合適的理由:</p> <p>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。</p> <p>Reason B – The account holder is unable to obtain a TIN. Please 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, 請解釋帳戶持有人不能取得稅務編號的原因。</p> <p>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。</p>				
	<b>居留司法管轄區 Jurisdiction of Residence</b>	<b>稅務編號 TIN</b>	<b>如沒有提供稅務編號, 請填寫理由 A、B 或 C Please enter Reason A, B or C if no TIN is available</b>	<b>如選取理由 B, 請解釋帳戶持有人不能取得稅務編號的原因 Please explain why you are unable to obtain a TIN if you have selected Reason B</b>
1			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
2			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
3			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
4			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
5			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
<p><b>Under the subsection of Client Tax Residence and Self-certification: 就客戶稅務居民身份及自我證明之分部:</b></p> <p>- I/we 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).</p> <p>- 本人/吾等知悉及同意, 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;</p> <p>- I/we undertake to advise CSL of any change in circumstances which affects the tax residency status of the individual identified in Section B of this Account Opening Form or causes the information contained herein to become incorrect, and to provide CSL with a suitably updated self-certification form within 30 days of such change in circumstances.</p> <p>- 本人/吾等承諾, 如情況有所改變, 以致影響本開戶表格 B 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/吾等會通知潮商證券, 並會在情況發生改變後 30 日內, 向潮商證券提交一份已適當更新的自我證明表格。</p>				

<b>13</b>	<b>Designated Bank Account 指定銀行戶口</b>			
<p>Unless otherwise instructed by the Client in writing, in case the Client instructs CSL to pay the cash balance in the Account to the Client, the money will be credited to the below Client's Designated Bank Account: 除非客戶另以書面指示, 若客戶指示潮商證券支付客戶帳戶內的現金款項, 帳戶資金將被轉入客戶以下的指定銀行戶口</p>				
	<b>Currency 貨幣</b>	<b>Name of Bank 銀行名稱</b>	<b>Bank Account no. 銀行帳戶號碼</b>	<b>Name of Account Holder 銀行帳戶名稱</b>
	HKD 港幣			
	CNY 人民幣			
	USD 美元			
	Others _____			
<b>14</b>	<b>Use of Personal Data in Direct Marketing Consent Letter 使用個人資料作直接促銷同意書</b>			
<p>I/we hereby confirm that I/we have understood personal information collection statement. I/we understand that it is not obligatory for me/us to allow my/our personal data to be used for direct marketing, that I/we may opt-out now by checking the relevant box or boxes below, and that the Broker cannot use or provide my/our personal data for direct marketing by itself or other parties without receiving my/our written consent. I/we agree that the instruction below overrides any choice communicated by me/us to the Broker prior to this request.</p> <p>本人/吾等確認, 本人/吾等已了解潮商證券的個人資料收集聲明。本人/吾等了解, 本人/吾等並無責任容許用本人/吾等的個人資料作直接促銷用途, 本人/吾等現在可以 <input checked="" type="checkbox"/> 號選擇以下一個或多個相關空格, 以拒絕使用/提供個人資料作直接促銷, 在未取得本人/吾等的書面同意前, 經紀不得使用或提供本人/吾等的個人資料以供其本身或其他人士作直接促銷之用。本人/吾等同意, 下列指示凌駕於本人/吾等在提出本要求前向經紀傳達的任何選擇。</p> <p><input type="checkbox"/> I/we do not wish to have my/our personal data used for direct marketing purposes and do not want to receive any marketing communications from the Broker, or any other persons. 本人/吾等不希望本人/吾等的個人資料被使用作直接促銷用途, 亦不希望收到經紀或任何其他人士發出的任何促銷通訊。</p> <p><input type="checkbox"/> I/we do not wish the Broker to provide my personal data to other persons for their use in direct marketing under any circumstances. Please advise any third parties to whom my personal data have been provided for direct marketing purposes that they may no longer use these data for direct marketing, if applicable.</p> <p>本人/吾等無論如何不希望經紀向他人提供本人/吾等的個人資料以供彼等作直接促銷用途。如有任何第三者獲提供本人的個人資料作直接促銷用途, 請告知該第三者等不得再使用該等資料作直接促銷 (如適用)。</p>				

<b>15</b>	<b>Disclosure of Identity 身份披露</b>				
(i)	Are you the ultimate beneficial owner(s) of the Account(s)? 閣下是否帳戶的最終實益擁有人? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No, detail of the ultimate beneficial owner is (if more than one, please specify on an additional paper): 否, 帳戶最終實益擁有人是 (如多於一位, 請另說明):				
Name of ultimate beneficial owner 最終實益擁有人姓名		HKID/Passport No 香港身份證 / 護照號碼	Place & Date of Birth 出生地點及日期	Nationality 國籍	Phone No. 電話號碼
Residential Address 住址				Relationship with account holder(s) 與帳戶持有人的關係	
(ii)	Are you ultimately responsible for originating instructions for the Account(s)? 閣下是否此帳戶進行交易的最終負責發出指示人士? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No, detail of the person ultimately responsible for originating instructions is (if more than one, please specify on an additional paper) : 否, 帳戶進行交易的最終負責發出指示人是 (如多於一位, 請另說明):				
Name of ultimate responsible for giving instructions 最終負責發出指示人士姓名		HKID/Passport No 香港身份證 / 護照號碼	Place & Date of Birth 出生地點及日期	Nationality 國籍	Phone No. 電話號碼
Residential Address 住址				Relationship with account holder(s) 與帳戶持有人的關係	
(iii)	Is the Client or any other person referred to hereof a senior officer or director or in control of any company whose shares are traded on any exchange or market? 本文提述之客戶或任何人士, 是否任何公司之高級行政人員或董事或控制任何公司之人士, 而該公司之股份在交易所或市場買賣? <input type="checkbox"/> No 不是 <input type="checkbox"/> Yes, please specify 是, 請說明: _____				
(iv)	Is the Client or any other person referred to hereof an employee of a Licensed/Registered Person under the Securities and Futures Commission or an Exchange Participant? If yes, please attach a consent letter from the employer. 本文提述之客戶或任何人士, 是否證監會持牌 / 註冊人士或聯交所參與者的職員? 如回答是, 請提供僱主同意書。 <input type="checkbox"/> No 不是 <input type="checkbox"/> Yes, please specify 是, 請說明: _____				
(v)	Is the Client or any other person referred to hereof a relative of any director or employee of CSL or any of its subsidiaries? 本文提述之客戶或任何人士, 是否潮商證券或其附屬公司之任何董事或僱員之親屬? <input type="checkbox"/> No 不是 <input type="checkbox"/> Yes, please specify 是, 請說明: _____				
(vi)	Is the Client related to any other person(s) holding an account with ChaoShang Securities Limited? (I.e.: Family member and relative) 客戶與持有潮商證券有限公司任何戶口之任何人士是否有關連? 如: 任何親屬 <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify 是, 請說明: _____				

Client Acknowledgement and Consent 客戶確認及承諾	
D1.	I/We, the undersigned client(s) hereby confirm that I/We have been provided the Client Agreement (the "Agreement") of ChaoShang Securities Limited ("CSL") and the Risk Disclosure Statement. 本人/吾等(在下面簽署的客戶)確認潮商證券有限公司(下稱“潮商證券”)已提供了客戶協議書("協議書")及風險披露聲明之副本。
D2.	I/We, the undersigned client(s) hereby confirm and represent that the information on this Account Opening Form is true, complete and correct. CSL is entitled to rely fully on such information and representations for all purposes, unless CSL receives notice in writing of any change. CSL or any of its agents is hereby authorized at any time to contact anyone, including my/our banks or any credit agency, for the purpose of verifying the information provided on this Account Opening Form. 本人/吾等(在下面簽署的客戶)謹此聲明在本開戶表格所提供之資料全部為真實、完整及正確，除非潮商證券接到更改有關本開戶表格內容之書面通知，否則潮商證券有權完全依賴此等資料及聲明作一切用途。潮商證券或其代理獲授權可隨時就核對本開戶表格資料事宜，與任何人包括本人/吾等之銀行、經紀或任何信用機構進行諮詢。
D3.	I/We, the undersigned client(s) hereby apply to open the types of account(s) and service(s) which I/We choose on the front page of this Account Opening Form and confirm that I/We have read and understand the relevant provisions of the attached Agreement and accept and agree to be bound by the Agreement as the same may be amended from time to time, and I/We hereby give you notice in writing that I/we confirm and authorize CSL to exercise all the powers of the Standing Authorities under the Agreement. 本人/吾等(在下面簽署的客戶)現申請開立本人/吾等在本開戶表格頁首選擇之帳戶及服務類別。本人/吾等確認已閱讀並明白附上之協議書的所有有關條款並且接受及同意受其所約束；及本人/吾等接受及同意潮商證券可不時修改該協議書之條款，本人/吾等在此以書面通知確認並授權潮商證券行使在該協議書內的全部常設授權。
D4.	I/We, the undersigned client(s) further acknowledge and confirm that I/We have been invited by CSL to read the Risk Disclosure Statement, ask questions and take independent advice, if I/We wish; and I/We, the undersigned client(s) have carefully read, fully understood and agreed to accept and be bound by the Agreement as the same may be amended from time to time, and I/We hereby give you notice in writing that I/we confirm and authorize CSL to exercise all the powers of the Standing Authorities under the Agreement. 本人/吾等(在下面簽署的客戶)進一步確認潮商證券已經邀請本人/吾等閱讀風險披露聲明，提出問題及徵求獨立的意見(如本人/吾等有此意願)本人/吾等(在下面簽署的客戶)已仔細閱讀，完全理解並同意接受及遵守客戶協議書內之個人資料收集政策聲明。
D5.	I/we hereby declare that after signing in the signature column herein below by myself/ourselves (the Client), indicated that I/we have already fully read, confirmed, agreed, accepted and understood All Those Terms and Conditions (including all the relevant contents and provisions of this Account Opening Form). In relation to all the above-mentioned contents and provisions, I/we have already have also understood all the contents and provisions and have no questions to ask. 本人/吾等茲聲明，當本人/吾等於下列簽署欄內簽署後，即表示本人/吾等已完全細閱、確認、同意、接受及明白該等條款及條件(包括本開戶表格內所有內容)所有內容和細則。關於上述各項所有內容和細則，本人/吾等已明白所有其內容和細則及沒有任何疑問。
<div> <div> <b>Individual /Primary Joint A/C Holder's Signature</b>            (Specimen Signature will be used to verify all written instructions given relating to the operation of the account(s))  <b>個人/聯名戶口第一持有人簽署</b>            簽署式樣將被用作核證任何就戶口運作之書面指示。         </div> <div> <b>Secondary Joint A/C Holder's Signature (If Applicable)</b>            (Specimen Signature will be used to verify all written instructions given relating to the operation of the account(s))  <b>聯名戶口第二持有人簽署 (如適用)</b>            簽署式樣將被用作核證任何就戶口運作之書面指示。         </div> </div>	
<div> <div>X _____</div> <div>Name 姓名:</div> <div>Date 日期:</div> </div> <div> <div>X _____</div> <div>Name 姓名:</div> <div>Date 日期:</div> </div>	

請於最適當的選擇加上“✓”。 Please “✓” on the most appropriate choice.

\* 刪除不適用。 \*Delete if not applicable

E. CERTIFICATION OF CLIENT SIGNATURE AND IDENTITY PROOF (if applicable) 見證客戶簽署及證明文件驗證 (如適用)		
The undersigned person hereby certifies the signing of this Form by the above Client(s) and sighting of related identity documents of such Client(s) and the above Client signature(s) was/were made in my presence. The suitable certifier(s), such as licensed or registered person, practicing solicitor or certified public accountant in Hong Kong, as well as professional third party. 下述簽署人士謹此驗證上述客戶/聯名客戶簽立此文件及其有關的身份證明文件及以上客戶簽署乃於本人面前簽立。 就認證身分核實文件的適合證明人，如持牌人或註冊人或香港執業之律師或會計師等專業第三者		
Witness Signature 見證人簽署	Name and Occupation of Witness (In block letter) 見證人姓名及職業 (以英文大楷或中文正楷填寫)	Date (dd/mm/yyyy) 日期(日/月/年)
<b>Declaration Made by a Licensed Representative 持牌代表聲明</b> I, the undersigned representative of CSL, hereby declare and confirm that I have provided the Risk Disclosure Statements in a language of the Client's choice and have fully explained the contents of Risk Disclosure Statements (including any additional risk disclosure statements) to the Client. I have invited the Client to read the Risk Disclosure Statements, ask questions and seek independent advice if the client wishes. 本人為以下簽署者潮商證券之代表，謹此聲明及確認本人已經以客戶所選擇能夠明白的語言向客戶完全解釋上述風險披露聲明(包括任何加入的風險披露聲明) 的內容。並已邀請客戶細閱有關風險披露聲明及進行提問，如客戶有此意願，可就風險披露聲明徵求獨立意見。 the date first above written or 以上第一個所述日期或 _____ Signature of licensed representative 持牌代表簽署 Name of licensed representative 持牌代表姓名 CE Number 中央編號 For and on behalf of ChaoShang Securities Limited 潮商證券有限公司承認及接納 _____ Authorized Signature 潮商證券授權代表簽署 Name of licensed representative 潮商證券授權姓名 Date (dd/mm/yyyy) 日期(日/月/年)		

Note: 注意事項:

- If client is not physically presented in front of CSL's employee or is not submitted with an appropriate cheque<sup>2</sup>, it is required to provide the certified, copy<sup>3</sup> of supporting document(s) and sign above to on behalf.  
若客戶並非親身出現於潮商證券之僱員面前簽立本開戶表格或本開戶表格並非連同恰當的支票，一併遞交，則需提交已認證<sup>3</sup>之支持文件複本及於上欄簽名作驗證代替。
- A crossed cheque (in favour of "ChaoShang Securities Limited" and amount not less than HK\$10,000 and bearing the client's name as shown in the identity document) is issued by the new client and drawn on the client's account with a licensed bank in Hong Kong and the signature on the cheque issued by the client and the signature on this Account Opening Form must be the same. Client's account will not be activated until the cheque is cleared.  
客戶在香港持牌銀行開立的帳戶所簽發的支票(抬頭人須為“潮商證券有限公司”及該支票的數額不得少於10,000 港元，並須載有該客戶在身分證明文件上所顯示的姓名)及該客戶簽發的支票上的簽名，必須與本開戶表格的簽名相符。客戶帳戶必須待支票兌現後才可使用。
- Certified supporting document must be signed by suitable certifier<sup>4</sup> with the clear details of the certified date, the position and identity of certifier and the purpose of "Certified True Copy"  
需由適合的證明人於文件的複本上簽署及寫上日期，並清楚註明其職位或身份等及說明該複本文件為正本文件的真確複本。

## STANDING AUTHORITY (Client Money)

常設授權書 (客戶款項)

To: CHAOSHANG SECURITIES LIMITED  
 致： 潮商證券有限公司  
 Address: Room 2206-2210, China Resources Building, 26 Harbour Road, Wan Chai H.K.  
 地址： 香港灣仔港灣道 26 號華潤大廈 2206-2210 室

## STANDING AUTHORITY UNDER SECURITIES &amp; FUTURE (CLIENT MONEY) RULES

## 根據《證券及期貨(客戶款項)規則》所設立的常設授權

This Standing Authority covers money held or received by ChaoShang Securities Limited ("CSL") in Hong Kong (including any interest derived from the holding of the money which does not belong to CSL) in one or more segregated account(s) on my/our behalf (the "Monies").

本授權涵蓋潮商證券有限公司(「潮商證券」)為本人/吾等在香港收取或持有並存放一個或多個獨立帳戶內之款項(包括因持有並非屬於潮商證券之款項而產生之利息)(下稱「款項」)。

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

除另有界定或文義另有所指外，本授權內之所有名詞，與《證券及期貨條例》及《證券及期貨(客戶款項)規則》不時修訂之定義具有相同涵義。

This Standing Authority authorizes CSL to, in CSL sole discretion and without having to provide me/us with any prior notice or to obtain any prior confirmation and/or direction from me/us, to:

本授權書是給予潮商證券按其酌情權，並在毋須事前給予本人/吾等任何通知或取得本人/吾等的確認及/或指示的情況下：

- (1) Combine or consolidate any or all segregated accounts of any name whatsoever and either individually or jointly with others, maintained by CSL for the purpose of satisfying my/our obligations or liabilities are actual or contingent, primary or collateral, secured or unsecured or joint or several;  
 合併或綜合潮商證券，即潮商證券以任何名義所維持的任何或全部獨立帳戶，此等組合或合併活動可以個別地或與其他帳戶聯合進行，以履行本人/吾等對潮商證券任何成員公司的義務或法律責任，無論此等業務或法律責任為確實或或然的、原有或附帶的、有抵押的或無抵押的、共同或分別的；
- (2) Transfer any sum of monies interchangeably between any of the segregated accounts maintained at any time by CSL;  
 從潮商證券於任何時間維持的任何獨立帳戶之間來回調動任何數額之款項；
- (3) Transfer any sum of Monies interchangeable between any of the segregated accounts maintained at any time by CSL and any segregated accounts maintained with counter-broker (whether in Hong Kong or overseas) upon or before any instructions have been given;  
 在指示發出或之前，從潮商證券於任何時間維持的獨立帳戶及於交易對手（不論香港或海外）維持的任何獨立帳戶，來回調動任何數額之款項；
- (4) Keep my/our Monies with overseas clearing firm(s) or broker(s) after trading to facilitate future trading or to transfer my/our Monies interchangeably between the segregated account(s) opened and maintained by CSL in Hong Kong and the segregated account(s) opened and maintained by CSL with any overseas clearing firm(s) or broker(s) outside Hong Kong;  
 於完成交易後，將本人/吾等之款項存放於海外清算行或券商，以便日後之交易，或將本人/吾等之款項於潮商證券於香港開立及維持之獨立帳戶及在潮商證券於任何海外清算行或券商開立及維持之獨立帳戶之間交替地轉移；
- (5) Exchange my/our Monies into any other currency(ies) at the rate of exchange conclusively determined by CSL; and  
 可將帳戶內的款項以潮商證券最終確定的匯率兌換成任何其他貨幣；及
- (6) This Standing Authority is given to CSL in consideration of CSL agreeing to continue to maintain the relevant trading account(s) for me/us.  
 此授權書賦予潮商證券同意繼續維持本人/吾等之相關交易帳戶。

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

此賦予潮商證券之授權並不損害潮商證券有關處理該等獨立帳戶內款項的其他授權或權利。

I/We acknowledge and understand that client money held by CSL outside Hong Kong are subject to the applicable laws and regulations of the relevant overseas jurisdiction which may be different from the Securities and Futures Ordinance and the rules made thereunder including the Securities and Futures (Client Money) Rules. Consequently, such client money may not enjoy the same protection as that conferred on client money held in Hong Kong.

本人/吾等確認及明白，潮商證券在香港以外地方收取或持有的客戶款項，是受到有關海外司法管轄區的適用法律及規例所監管的。這些法律及規例與《證券及期貨條例》及根據該條例制訂的規例(包括《證券及期貨(客戶款項)規則》)可能有所不同。因此，有關客戶款項將可能不會享有賦予在香港收取或持有的客戶款項的相同保障。

This authority is valid for a period of 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 are given a written notice from you 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 authority may be revoked at any time on giving 30 days prior written notice to you. Such revocation shall not take effect until 2 business days subsequent to the actual receipt by CSL of such written notice and shall not affect any transactions undertaken by CSL pursuant to this Standing Authority prior to such revocation taking effect.

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，每次續期可有效期十二個月：本人/吾等以書面同意續期；或貴公司於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/吾等有權隨時以三十天書面通知貴公司撤銷此常設授權書。

本授權將於潮商證券正式收到該書面通知後兩個工作天後正式撤銷。然而在此撤銷正式生效前，所有潮商證券按本授權所達成的任何交易均不受該項撤銷所影響。

In the event of any difference in interpretation or meaning between the English and Chinese version of this Standing Authority, the English version shall prevail. I/We confirm that this Standing Authority has been explained to me/us and I/we fully understand the contents of this Standing Authority and have sought, or have had the opportunity to seek, legal advice concerning its contents and effect.

如本授權中、英文本之解釋或意思有任何歧義，概以英文本為準。本人/吾等確認本人/吾等就本授權的內容獲得解釋，並且完全明白本授權的內容，或本人/吾等已經或曾被賦予機會，就本授權的內容及效力尋求法律顧問的意見。

Individual /Primary Joint A/C Holder's Signature 個人/聯名戶口第一持有人簽署	Secondary Joint A/C Holder's Signature 聯名戶口第二持有人簽署
<p>X _____</p> <p>Name 姓名:</p> <p>Date 日期: (dd/mm/yyyy)</p>	<p>X _____</p> <p>Name 姓名:</p> <p>Date 日期: (dd/mm/yyyy)</p>



**STANDING AUTHORITY (Client Securities)**  
**(Margin securities account clients only)**  
**常設授權書 (客戶證券)**  
**(只供保證金證券帳戶客戶使用)**

To: CHAOSHANG SECURITIES LIMITED

致： 潮商證券有限公司

Address: Room 2206-2210, China Resources Building, 26 Harbour Road, Wan Chai H.K.

地址： 香港灣仔港灣道 26 號華潤大廈 2206-2210 室

**STANDING AUTHORITY UNDER SECURITIES & FUTURE (CLIENT SECURITIES) RULES**

**根據《證券及期貨(客戶證券)規則》所設立的常設授權**

This letter of Standing Authority covers all securities purchased or held by you on my/our behalf.

本常設授權函件涵蓋一切由 貴公司代表本人/ 吾等購入或持有之證券。

Pursuant to Section 7 of the Securities and Futures (Client Securities) Rules, this letter authorizes you to:

本常設授權書，根據《證券及期貨(客戶證券)規則》第 7 條的規定，授權貴公司：

1. apply any of my/our securities or securities collateral to a securities borrowing and lending agreement(s);  
運用任何本人/ 吾等的證券或證券抵押品於證券借貸協議；
2. deposit any of my/our securities collateral with an authorized financial institution as collateral for financial accommodation provided to you; and/or  
將任何本人/ 吾等的證券抵押品存放於認可財務機構，作為提供予貴公司的財務通融的抵押品；及/或
3. deposit any of my/our securities collateral with a recognized clearing house or another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of your settlement obligations and liabilities, without notice to me/us.  
將任何本人/ 吾等的證券抵押品存放於認可結算所或另一持牌或註冊進行證券交易的中介人，作為解除和清償 貴公司在交收上的責任及債務的抵押品，而無須通知本人。

I/We understand that the recognized clearing house or the intermediary licensed or registered for dealing in securities will have a first fixed charge over my securities collateral to the extent of your settlement obligations and liabilities.

本人/ 吾等明白認可結算所或其它獲發牌或獲註冊進行證券交易的仲介人，將因應貴公司在交收上的責任及債務而對本人的證券抵押品設定為第一固定押記。

This standing authority does not cover any consideration I/we must pay or be paid for your borrowing, lending, or depositing any of my securities. Any consideration must be set in a separate agreement between us.

本授權書並不涉及就貴公司借、貸或存放本人任何證券而須支付或收取的任何代價。任何代價均須由本人/ 吾等與貴公司另行簽約訂明。

You are accountable to me/us for the return of any securities borrowed, lent, or deposited under this authority.

貴公司須向本人/ 吾等就交還有關根據本常設授權而作出借入、貸出或存放之證券負責。

I/We understand that a third party may have rights to my securities, which you must satisfy before my securities can be returned to me.

本人/ 吾等明白本人/ 吾等的證券可能受制於第三者之權利，貴公司必須於抵償該等權利後，方將本人/ 吾等的證券交還本人/ 吾等。

This authority is valid for a period of 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 given a written notice from you 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 authority may be revoked at any time on giving 30 days prior written notice to you. Such revocation shall not take effect until 2 business days subsequent to the actual receipt by CSL of such written notice and shall not affect any transactions undertaken by CSL pursuant to this Standing Authority prior to such revocation taking effect.

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；或貴公司於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/ 吾等有權隨時以三十天書面通知貴公司撤銷此常設授權書。

本授權將於潮商證券正式收到該書面通知後兩個工作天後正式撤銷。然而在此撤銷正式生效前，所有潮商證券按本授權所達成的任何交易均不受該項撤銷所影響。

This letter has been fully explained to me and I/we have been advised to seek independent advice, and I/we understand the contents of this letter.

已全部向本人/ 吾等解釋清楚本函件，本人/ 吾等明白及接受本函件的內容。

Individual /Primary Joint A/C Holder's Signature 個人/聯名戶口第一持有人簽署	Secondary Joint A/C Holder's Signature 聯名戶口第二持有人簽署
<p>X _____</p> <p>Name 姓名:</p> <p>Date 日期: (dd/mm/yyyy)</p>	<p>X _____</p> <p>Name 姓名:</p> <p>Date 日期: (dd/mm/yyyy)</p>





潮商證券有限公司  
**ChaoShang Securities Limited**  
SFC Licensed Corporation (CE No.: BGH629)

Exchange Participant of the Stock Exchange of Hong Kong Ltd.  
Broker No. 0916,  
SFC CE No. BGH629  
香港聯合交易所參與者 經紀編號 0916,  
證監會註冊號碼: BGH629

**Acknowledgement – Consent for the collection and handling of personal data**  
**(Applicable to individual clients only)**

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

- (a) disclosing and transferring your personal data (including CID and BCAN(s)) to SEHK and/or the SFC in accordance with the rules and requirements of SEHK and the SFC in effect from time to time;
- (b) allowing SEHK to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK; and (ii) disclose and transfer such information to the relevant regulators and law enforcement agencies in Hong Kong (including, but not limited to, the SFC) so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets; and (iii) use such information for conducting analysis for the purposes of market oversight; and 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.
- (c)

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).

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.

*Signed by:* \_\_\_\_\_

*Name of individual:* \_\_\_\_\_

*Account number:* \_\_\_\_\_

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

*Remarks: Client must sign in conformity with the specimen already registered with the Company.*



潮商證券有限公司  
ChaoShang Securities Limited  
SFC Licensed Corporation (CE No.: BGH629)

Exchange Participant of the Stock Exchange of Hong Kong Ltd.  
Broker No. 0916,  
SFC CE No. BGH629  
香港聯合交易所參與者 經紀編號 0916,  
證監會註冊號碼: BGH629

## 承認書 - 同意收集及處理個人資料（只適用於個人客戶）

閣下明白並同意，我們潮商證券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。

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

簽署：\_\_\_\_\_  
簽署人姓名：\_\_\_\_\_  
帳戶號碼：\_\_\_\_\_  
日期：\_\_\_\_\_(日/月/年)  
備註：客戶簽署必須與本公司記錄之簽署式樣相同。

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

- For use by individuals. Entities must use Form W-8BEN-E.
- Go to [www.irs.gov/FormW8BEN](http://www.irs.gov/FormW8BEN) for instructions and the latest information.
- Give this form to the withholding agent or payer. Do not send to the IRS.

**Do NOT use this form if:**

- You are NOT an individual . . . . . W-8BEN-E
- You are a U.S. citizen or other U.S. person, including a resident alien individual . . . . . W-9
- You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the United States (other than personal services) . . . . . W-8ECI
- You are a beneficial owner who is receiving compensation for personal services performed in the United States . . . . . 8233 or W-4
- You are a person acting as an intermediary . . . . . W-8IMY

**Instead, use Form:**

**Note:** If you are resident in a FATCA partner jurisdiction (that is, a Model 1 IGA jurisdiction with reciprocity), certain tax account information may be provided to your jurisdiction of residence.

**Part I Identification of Beneficial Owner** (see instructions)

<b>1</b> Name of individual who is the beneficial owner	<b>2</b> Country of citizenship
<b>3</b> Permanent residence address (street, apt. or suite no., or rural route). <b>Do not use a P.O. box or in-care-of address.</b>	
City or town, state or province. Include postal code where appropriate.	Country
<b>4</b> Mailing address (if different from above)	
City or town, state or province. Include postal code where appropriate.	Country
<b>5</b> U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)	
<b>6a</b> Foreign tax identifying number (see instructions)	<b>6b</b> Check if FTIN not legally required . . . . . <input type="checkbox"/>
<b>7</b> Reference number(s) (see instructions)	<b>8</b> Date of birth (MM-DD-YYYY) (see instructions)

**Part II Claim of Tax Treaty Benefits** (for chapter 3 purposes only) (see instructions)

- 9** I certify that the beneficial owner is a resident of \_\_\_\_\_ within the meaning of the income tax treaty between the United States and that country.
- 10 Special rates and conditions** (if applicable—see instructions): The beneficial owner is claiming the provisions of Article and paragraph \_\_\_\_\_ of the treaty identified on line 9 above to claim a \_\_\_\_\_ % rate of withholding on (specify type of income): \_\_\_\_\_.
- Explain the additional conditions in the Article and paragraph the beneficial owner meets to be eligible for the rate of withholding: \_\_\_\_\_.

**Part III Certification**

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

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income or proceeds to which this form relates or am using this form to document myself for chapter 4 purposes;
- The person named on line 1 of this form is not a U.S. person;
- This form relates to:
  - (a) income not effectively connected with the conduct of a trade or business in the United States;
  - (b) income effectively connected with the conduct of a trade or business in the United States but is not subject to tax under an applicable income tax treaty;
  - (c) the partner's share of a partnership's effectively connected taxable income; or
  - (d) the partner's amount realized from the transfer of a partnership interest subject to withholding under section 1446(f);
- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country; and
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. **I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.**

**Sign Here**
☐ I certify that I have the capacity to sign for the person identified on line 1 of this form.

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

Date (MM-DD-YYYY)

Print name of signer