

# Account Opening Form(Corporate Account)

## 開戶表格(公司帳戶)



Account Number 帳戶號碼:\_\_\_\_\_

Client Name 客戶姓名:\_\_\_\_\_

Conrad Investment Services Limited

Flat/Rm4 , Blk D, 4/F , General Commercial Building ,

No.156-164,Des Voeux Road , Central , HK

香港中環德輔道中 156-164 號通用商業大廈 4 樓 404 室

Tel 電話:852-3980-2300 Fax 傳真:852-2323-1661

Conrad Investment Services Limited 〈 “CONRAD” 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.BIV795 〉

Conrad Investment Services Limited 〈 “CONRAD” 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:BIV795〉。

# Conrad Investment Services Limited

SFC CE No.: BIV795

4th Floor, Block D, General Commercial Building, No. 156-164 Des Voeux Road Central, Hong Kong  
香港中環德輔道中156-164號通用商業404 室

Conrad Investment Services Limited ("CONRAD" 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.: BIV795).

Conrad Investment Services Limited ("CONRAD" or "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：BIV795）。

| 1. Account Type 帳戶類別              |  |
|-----------------------------------|--|
| Securities Trading Account 證券交易帳戶 |  |
| Account No. 帳戶號碼                  |  |
| Type of Account 帳戶類別              | <input type="checkbox"/> Margin 保證金 <input type="checkbox"/> Cash 現金 |
| Account Service 戶口服務              | <input type="checkbox"/> Internet & mobile trading 網上及手機交易           |

Please complete in BLOCK LETTERS 請用正楷填寫

| 2. Corporate Information 公司資料  |  |
|--|--|
| Company Name 公司姓名  |  |
| English 英文: _____  |  |
| Chinese 中文: _____  | Scope of Business 業務範圍: _____                  |
| Registered Address 註冊地址: _____   |  |
| Business Address 商業地址: _____   |  |
| Nature of Entity: <input type="checkbox"/> Private limited company 私人公司 <input type="checkbox"/> Public limited company 公共企業 <input type="checkbox"/> Sole proprietor 獨資經營 |  |
| Company nature: <input type="checkbox"/> Partnership 合夥經營 <input type="checkbox"/> Others 其他 _____   |  |
| 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: _____   |  |

| 3. Director(s) 董事     |                          |                |                    |            |
|-----------------------|--------------------------|----------------|--------------------|------------|
| Name of Director 董事姓名 | ID/Passport No. 身分證/護照號碼 | Nationality 國籍 | Telephone No. 電話號碼 | Address 地址 |
|                       |                          |                |                    |            |
|                       |                          |                |                    |            |
|                       |                          |                |                    |            |

| 4. Shareholder(s) 股東          |                          |                      |                |            |
|-------------------------------|--------------------------|----------------------|----------------|------------|
| Registered Shareholder 註冊股東姓名 | ID/Passport No. 身分證/護照號碼 | Shareholding% 股權 (%) | Nationality 國籍 | Address 地址 |
|                               |                          |                      |                |            |
|                               |                          |                      |                |            |
|                               |                          |                      |                |            |
|                               |                          |                      |                |            |

| 5. The Ultimate Beneficial Owner(s) 最終權益擁有人  |                          |                      |                |            |
|--|--------------------------|----------------------|----------------|------------|
| The shareholder(s) above is/are the ultimate beneficial owner(s) of the account. 以上股東是該帳戶的最終實益擁有人。 |                          |                      |                |            |
| <input type="checkbox"/> Yes 是 <input type="checkbox"/> No, please specify 否，請填寫以下部份               |                          |                      |                |            |
| Name. 姓名   | ID/Passport No. 身分證/護照號碼 | Shareholding% 股權 (%) | Nationality 國籍 | Address 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

i) Profit/ Loss 盈利/虧損

☐ Below 少於\$100,000

☐ \$100,000~\$500,000

☐ \$500,001~\$1,000,000

☐ \$1,000,001~\$5,000,000

☐ \$5,000,001~\$10,000,000

☐ \$10,000,001~\$15,000,000

☐ Above 多於 \$15,000,000

ii) Net Worth 資產淨值

☐ Below 少於\$100,000

☐ \$100,000~\$500,000

☐ \$500,001~\$1,000,000

☐ \$1,000,001~\$5,000,000

☐ \$5,000,001~\$10,000,000

☐ \$10,000,001~\$15,000,000

☐ Above 多於 \$15,000,000

iii) Liquid Assets 流動資產

☐ Below 少於\$100,000

☐ \$100,000~\$500,000

☐ \$500,001~\$1,000,000

☐ \$1,000,001~\$5,000,000

☐ \$5,000,001~\$10,000,000

☐ \$10,000,001~\$15,000,000

☐ Above 多於 \$15,000,000

iv) Source of Funds(multiple selection) 資金來源(可多選):

☐ Shareholders Capital 股東資本

☐ Business Profits 營業溢利

☐ Rental Income 租金收入

☐ Investment Profits 投資溢利

☐ others 其他 \_\_\_\_\_

## 8. Investment Experience 投資經驗

Investment Products and Investment Experience (It is not necessary to choose if you have no experience)

曾買賣產品及投資經驗：(如無經驗,則不需選擇)

Shares 股票

☐ < 1 year 少於一年

☐ 1-5 years 一至五年

☐ 6-10 years 六至十年

☐ > 10 years 多於十年

CBBC 牛熊證

☐ < 1 year 少於一年

☐ 1-5 years 一至五年

☐ 6-10 years 六至十年

☐ > 10 years 多於十年

Warrants 衍生權證 (窩輪)

☐ < 1 year 少於一年

☐ 1-5 years 一至五年

☐ 6-10 years 六至十年

☐ > 10 years 多於十年

Futures 期貨

☐ < 1 year 少於一年

☐ 1-5 years 一至五年

☐ 6-10 years 六至十年

☐ > 10 years 多於十年

Options 期權

☐ < 1 year 少於一年

☐ 1-5 years 一至五年

☐ 6-10 years 六至十年

☐ > 10 years 多於十年

Others 其他：\_\_\_\_\_

☐ < 1 year 少於一年

☐ 1-5 years 一至五年

☐ 6-10 years 六至十年

☐ > 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) Estimated investment amount 估計投資金額

☐ Below 少於\$100,000

☐ \$100,000~\$500,000

☐ \$500,001~\$1,000,000

☐ \$1,000,001~\$5,000,000

☐ \$5,000,001~\$10,000,000

☐ \$10,000,001~\$15,000,000

☐ Above 多於 \$15,000,000

iii) Investment horizon 投資年期

☐ Short Term 短線

☐ Medium Term 中線

☐ Long Term 長線

iv) Risk Tolerance\*可承受風險\*

☐ Low 低風險

☐ Medium 中等風險

☐ High 高風險

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

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

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. 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。

At least one of the person(s) responsible for making investment decisions

最少一位作投資決定的人士

☐ 1. underwent training or attended courses on derivative products.

曾接受有關衍生產品的培訓或修讀相關課程。

☐ 2. has current or previous work experience related to derivative products.

現時或過去擁有與衍生產品有關的工作經驗。

☐ 3. executed five or more transactions within the past three years in derivative products.

於過去 3 年曾執行 5 次或以上有關衍生產品的交易。

☐ 4. The person(s) responsible for making investment decisions has **NOT** acquired knowledge of derivative products.

客戶沒有衍生工具之認識。

**11. Settlement Account Information 結算帳戶資料**

The Client hereby instructs and authorizes that the following bank account will be used as the settlement. (the account must be your name)

客戶謹此指示及授權使用以下的銀行帳戶，作為結算帳戶。(必須與客戶名稱相同)

Currency 貨幣      Name of Bank 銀行名稱      Account No. 戶口號碼

HKD 港幣      \_\_\_\_\_

USD 美元      \_\_\_\_\_

CNY 人民幣      \_\_\_\_\_

**12. Method of Communication and Language of Statement 通訊方法及結單語言**

Please select one of the following method of communication 請選擇以下其中一項通訊方法：

☐ E-mail Address 電郵地址      ☐ Business Address 商業地址\*      ☐ Registered Address 注册地址\*

☐ Other address, please specify (其他地址，請說明) \_\_\_\_\_

\*Mailing Services will be charged \$50 administration fee per month 郵寄服務將會收取每月\$50 行政費用

Language of Statement 結單語言：☐ Simplified Chinese 簡體中文      ☐ English 英文      ☐ Traditional Chinese 繁體中文

**13. Additional Bank of Communication Sub Account Services 附加交通銀行子帳戶服務**

Please tick the box below if agree to apply the sub account services: 如同意申請子帳戶服務，請在以下空格加上「✓」號

☐ I/We hereby write to apply for the Bank of Communication sub account services

本人/吾等現向貴公司申請交通銀行子帳戶服務。

The Company will terminate the Bank of Communication Sub Account Services immediately, when the account is being closed.

當客戶取消在本公司開立之上述戶口時，本公司將同時取消客戶的交通銀行子帳戶。

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

i) Is the Client's shareholder, director, authorized person or ultimate beneficial owner related to any employee or director of the Company or its associated companies?

客戶之股東、董事、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？

☐ 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) 客戶之股東、董事、獲授權人或帳戶最終權益擁有人是否 Conrad Investment Services Limited 的客戶？

Is the Client's shareholder, director, authorized person or ultimate beneficial owner a client of Conrad Investment Services Limited?

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

Name of the relevant member(s) \_\_\_\_\_ Account No. \_\_\_\_\_

有關成員帳戶名稱: \_\_\_\_\_ 帳戶號碼: \_\_\_\_\_

iii) 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 margin client of the Company?

客戶及/或客戶的公司集團任何成員是否控制本公司任何保證金客戶的 35% 或以上的表決權？

☐ 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 : \_\_\_\_\_ Account No. 帳戶號碼: \_\_\_\_\_

**15. Disclosure of Identity 披露身份**

i) Is the Client acting as an intermediary for the account?

客戶是否以中介人身份操作帳戶？

☐ No 否      ☐ Yes, the ultimate beneficial owner(s) as follows 是，戶口的最終權益擁有人是：

Name 姓名: \_\_\_\_\_ ID Card/Passport No. 身份證 / 護照號碼: \_\_\_\_\_

Residential Address 住宅地址: \_\_\_\_\_

ii) Is the Client's shareholder, director, authorized person or ultimate beneficial owner, a licensed person or a director or an employee of any licensed corporation/authorized institution registered with the Securities and Futures Commission?

客戶之股東、董事、獲授權人或帳戶最終權益擁有人是否證券及期貨事務監察委員會註冊的持牌人士或持牌法團/註冊機構的董事或僱員？

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

Name of the licensed person or licensed corporation/registered institution

持牌人士或持牌法團/註冊機構名稱：\_\_\_\_\_

iii) Is the Client's shareholder, director, authorized person or ultimate beneficial owner, includes a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a stated-owned corporation and an important political party official?

客戶之股東、董事、獲授權人或帳戶最終權益擁有人，是否擔任或曾擔任重要公職，包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事？

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

#### 16. United States Status Certification 美國身分聲明

☐ The client certifies that the client **does NOT have** any beneficial owner(s)(Note 1) who is/are U.S. citizens or residents.

客戶聲明及保證客戶**沒有**任何實益擁有人(注 1)為美國公民或居民。

☐ The client certifies that the client **has** beneficial owner(s)(Note 1) who is/are U.S. citizens or residents as list below.

客戶聲明及保證客戶**擁有**實益擁有人(注 1)為美國公民或居民如下：

| Name<br>姓名 | TIN | % of shareholding<br>持有股份% |
|------------|-----|----------------------------|
|            |     |                            |
|            |     |                            |
|            |     |                            |

Note 1: Beneficial Owner(s) holding 10% or more of the ultimate beneficial interest of the company.

注 1: 擁有 10%或以上的公司最終權益擁有人

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

The Client has carefully read, fully understood and agreed to accept and be bound by the Personal Data (Privacy) Ordinance in CONRAD's Terms and Conditions.

客戶已仔細閱讀，完全理解並同意接受並遵守載於 CONRAD 條款及條件中關於《個人資料(私隱)條例》致客戶的解釋說明。

Please tick the box below if agree: 如同意，請在以下空格加上「✓」號

☐ I/We AGREE that Conrad Investment Services Limited and/or any member of the Group to use my/our personal data in direct marketing via personal call, mail, E-mail, SMS, fax or others. 本人/吾等同意 Conrad Investment Services Limited 及其集團任何成員使用本人/吾等的個人資料透過專人電話、郵寄、電郵、電話短訊、傳真或其他的途徑作直接促銷。

#### 18. Client's Declaration and Signature 客戶聲明和簽署

I / We represent that the information on this Client Information Statement is true, complete and correct that the representations in the attached agreement are accurate. Conrad Investment Services Limited ("CONRAD") is entitled to rely fully on such information and representations for all purposes, unless it / they receive(s) notice in writing of any change.

I / We also undertake to notify the Companies immediately (in any event, within 30 days) of any changes to the information given above. Upon request, I / We shall also promptly (in any event, within 30 days) provide the Companies any additional documentation, including without limitation to the self-certification, in relation to the changes to such information. If the additional documentation is not provided timely, I / We understand that the Companies may disclose and / or submit certain of my / our account information in relation to the changes to the competent regulatory or Government Authority in the relevant jurisdiction(s) (including without limitation to U.S. Internal Revenue Service, U.S. Department of the Treasury and the Hong Kong Inland Revenue Department) for the purpose of complying with FATCA, Common Reporting Standard and other related laws, regulations, codes and rules. The Companies are authorized at any time to contact anyone, including my / our banks, brokers or any credit agency, for the purposes of verifying the information provided on this Client Information Statement.

本人/吾等茲聲明在客戶資料表所提供之資料全部真實、完整及正確，並且所附協定內容皆為準確。除非 Conrad Investment Services Limited ("CONRAD")接到更改有關本資料表內容的書面通知，否則上述公司有權完全依賴此等資料及聲明作一切用途。

本人/吾等亦同意如上述資料有任何改變，會立即（在任何情況下，在 30 天內）通知上述公司。如上述公司要求，本人/吾等亦會盡快（在任何情況下，在 30 天內）向上述公司提供所需的額外文件，包括但不限於更新資料變更後的自我證明。如本人/吾等未能在指定時間內提供所需的額外文件，本人/吾等明白上述公司可能根據有關的資料變更向相關司法管轄區內的合資格監管及/或政府當局（包括但不限於美國國家稅務局、美國財政部和香港稅務局）披露及/或提交本人/吾等之相關賬戶資料，以符合 FATCA、《共同匯報標準/條例》和其他相關法規、守則和規則的規定。上述公司獲授權可隨時就核對本資料事宜，與任何人包括本人/吾等之銀行、經理或任何信用機構進行諮詢。

I/ We undertake to advise CONRAD of any change in circumstances which affects the tax residency status or causes the information contained herein to become incorrect, and to provide CONRAD with a suitably updated self-certification form within 30 days of such change in circumstances. 本人/吾等承諾，如情況有所改變，以致影響本人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知 CONRAD，並會在情況發生改變後 30 日內，向 CONRAD 提交一份已適當更新的自我證明表。

I/We, the undersigned Client(s), hereby apply to open Securities Account. I/We have read and understood the provisions of the Agreement of which this document forms a part and agree to be bound by the agreement (receipt of a copy whereof is hereby acknowledged by me/us) as the same may be amended from time to time.

I/We acknowledge and confirm that CONRAD has provided the Risk Disclosure Statements and Disclaimers annexed hereto in a language of my/our choice (English or Chinese) and I/we have been invited to read the same, to ask questions and take independent advice if I/we wish.

本人/吾等，下述簽署客戶，現申請開立證券買賣帳戶。本人/吾等已閱讀過及明白附上的該協議書，而本文件乃該協議書的一部份，並同意接受可不時被修改的該協議書(謹此聲明本人/吾等已收妥其副本)所約束。

本人/吾等確認 CONRAD 證券已按照本人/吾等選擇的語言(中文或英文)獲提供附於本表的風險披露聲明及免責聲明，及已獲邀閱讀該等聲明、提出問題及徵求獨立的意見(如本人/吾等有此意願)。

|   |   |
|---|---|
| <b>Company Chop &amp; Authorized Signature</b><br>公司印章及授權人簽署<br><br>   | <b>Name of Authorized Person</b><br>授權人姓名   |
| <b>Date(dd/mm/yy)日期(日/月/年):</b>   | <b>Position 職位:</b>   |
| <b>Witness Signature 見證人簽署:</b>   | <b>Witness Name 見證人姓名:</b><br><br><b>ID No./Passport No. 身份證/護照號碼:</b>                          |
| <b>19. Declaration by the licensed or registered staff 持牌或註冊人員之聲明</b>   |   |
| <p>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.</p> <p>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。</p> |   |
| <input type="checkbox"/> Face-to-face 直接會面 <input type="checkbox"/> Non Face-to-face 非直接會面 (Please complete the Phone Risk Disclosure Form 請填寫電話風險聲明表格)   |   |
| <b>Signature of licensed or registered staff 持牌或註冊人員簽署</b>  | <b>Name of licensed or registered staff (in block letters)</b><br>持牌或註冊職員姓名 (正楷填寫)<br><br><hr/> |
| <b>Date(dd/mm/yy)日期(日/月/年)</b> _____  | <b>C.E. No.證監會中央編號</b> : _____  |



## EXTRACT OF BOARD RESOLUTION

### 董事會決議摘錄

TO: CONRAD INVESTMENT SERVICES LIMITED

致: Conrad Investment Services Limited

Extracts from the Minutes of the Meeting of the Board of Directors of (name of the Company) \_\_\_\_\_ (the "Company") held at (place) \_\_\_\_\_ on (date) \_\_\_\_\_ at which a quorum was present and which resolutions were duly passed and are now in full force and effect.

摘錄自(公司名稱) \_\_\_\_\_ (「本公司」) 於(日期) \_\_\_\_\_ 假座(地點) \_\_\_\_\_ 舉行的董事會會議的會議紀錄, 此會議均有足夠法定人數出席, 並正式通過以下已全面實施並生效之決議案。

It was RESOLVED that: 以下決議經已正式通過:

1. (an) account(s) (the "Account") be opened and maintained in the name of the Company with Conrad Investment Services Limited (the "CONRAD") for the purpose of holding funds relating to any purchases, sales, holdings and other dealings in Securities as the Company may instruct CONRAD as its agent to effect from time to time on behalf of the Company and that the Account and all such purchases, sales, holdings and other dealings be effected subject to and in accordance with, wherever applicable, the Terms and Conditions contained in the Client Account Agreement including the Margin Terms (if applicable, presently or in the future) as well as Account Opening Form inter alia their appendix, supplements and amendments (the "Agreement") to be entered into by the Company with CONRAD in connection with the opening of the Account;

以本公司的名義於 Conrad Investment Services Limited (「CONRAD」) 開立及維持帳戶(「帳戶」), 以持有與本公司可能指示 CONRAD 以其代理人身分代表本公司不時進行的任何證券買賣、持有及其他交易有關的資金, 並根據及按照(如適用)本公司與 CONRAD 將就開立帳戶訂立的客戶帳戶協議以及開戶表格包括其附件、補充及變更等(「協議」)所載的條款及條件, 包括保證金條款(若現在或未來適用)操作帳戶及進行一切有關買賣、持有及其他交易;

2. the Agreement in such form as completed and produced to the Meeting be and are hereby approved and any \_\_\_\_\_ Director(s) and/or \_\_\_\_\_ (name) of the Company be authorized to open the Account with CONRAD and to sign the Agreement and Account Opening Information Form for and on behalf of the Company and the signed originals thereof be delivered to CONRAD and to affix the Company's Common Seal (if required) to any instruments, documents or agreements;

批准有關格式為已填妥及提呈此會議的協議及開戶表格, 授權任何 \_\_\_\_\_ 名董事及/或本公司的 \_\_\_\_\_ (姓名) 於 CONRAD 開立帳戶及代表本公司簽署協議, 並將其已簽署之協議正本送交經紀及於任何文據、文件或協議加蓋本公司印章(如需要);

3. the undermentioned designated persons be hereby authorized and empowered, on behalf of the Company as follows:-

以下列方式授權及賦權下述指定人士代表本公司:

#### i) Verbal Instructions 口頭指示

Verbal instructions given by any one of the following Authorized Person(s) will be valid:

以下任何一位獲授權人士所給予的口頭指示均為有效:

|                                   | Authorized Person (1)<br>獲授權人士 (1) | Authorized Person (2)<br>獲授權人士 (2) | Authorized Person (3)<br>獲授權人士 (3) |
|-----------------------------------|------------------------------------|------------------------------------|------------------------------------|
| Name<br>姓名:                       | _____                              | _____                              | _____                              |
| HKID / Passport No.<br>香港身份證護照號碼: | _____                              | _____                              | _____                              |
| Contact No.<br>聯絡電話號碼:            | _____                              | _____                              | _____                              |

#### ii) Written Instructions 書面指示

Written instructions given by any \_\_\_\_\_ of the following Authorized person(s) will be valid:

以下 \_\_\_\_\_ 位獲授權人士所給予的書面指示均為有效:


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



iii) Settlement Instructions 交收指示

Settlement instructions given by any \_\_\_\_\_ of the following Authorized person(s) will be valid:

以下 \_\_\_\_\_ 位獲授權人士所給予的交收指示均為有效:

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

I/We certify that the above is a true extract from the minutes of a duly convened and held meeting of the Board of Directors

本人／吾等證明上文是正式召開及舉行董事會會議之會議紀錄的真實摘錄。

Signature  
簽署 : \_\_\_\_\_ 

Name of Director:  
公司董事姓名

Signature  
簽署 : \_\_\_\_\_

Name of Director  
公司董事姓名:

\_\_\_\_\_  
Company Chop  
公司蓋章



## 自我證明表格 – 實體

### Self-Certification Form – Entity

#### 重要提示：Important Notes:

- ☐ 這是由帳戶持有人向 **Conrad Investment Services Limited (“CONRAD”)** 提供的自我證明表格，以作自動交換財務帳戶資料用途。 (“CONRAD”) 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。
- This is a self-certification form provided by an account holder to **Conrad Investment Services Limited (“CONRAD”)** for the purpose of automatic exchange of financial account information. The data collected may be transmitted by (“CONRAD”) to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- ☐ 如帳戶持有人的稅務居民身分有所改變，應盡快將所有變更通知 (“CONRAD”)。
- An account holder should report all changes in its tax residency status to (“CONRAD”).
- ☐ 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 (“CONRAD”) 須向稅務局申報的資料。
- 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 (“CONRAD”) to the Inland Revenue Department.

#### 第 1 部 實體帳戶持有人的身分識別資料 (對於聯名帳戶或多人聯名帳戶，每名實體帳戶持有人須分別填寫一份表格)

##### Part 1 Identification of Entity Account Holder (For joint or multiple account holders, complete a separate form for each entity account holder.)

|   |                                  |            |  |             |                  |
|---|----------------------------------|------------|--|-------------|------------------|
| 實體或分支機構的法定名稱 *  | Legal Name of Entity or Branch * |            |  |             |                  |
| 香港商業登記號碼<br>Hong Kong Business Registration Number  |                                  |            | 實體成立為法團或設立所在的稅務管轄區* Jurisdiction of Incorporation or Organization* |             |                  |
| 現時營業地址<br>Current Residence Address   | 室 Suite                          | 樓層 Floor   | 大廈 Building  | 街道 Street   | 地區 District      |
|   | *城市 City                         | 省 Province | 州 State  | *國家 Country | 郵政編號 Postal code |
| 通訊住址 Mailing Address<br>(如通訊地址與現時住址不同，填寫此欄)<br>(Complete if different to the current residence address) | 室 Suite                          | 樓層 Floor   | 大廈 Building  | 街道 Street   | 地區 District      |
|   | *城市 City                         | 省 Province | 州 State  | *國家 Country | 郵政編號 Postal code |

#### 第 2 部 實體類別，在其中一個適當的方格內加上✓號，並提供有關資料。

##### Part 2 Entity Type, Tick one of the appropriate boxes and provide the relevant information.

|                               |  |  |  |                                     |
|-------------------------------|--|--|--|-------------------------------------|
| 金融機構<br>Financial Institution | <input type="checkbox"/> 銀行<br>Bank  | <input type="checkbox"/> 資產/基金管理<br>Assets/Fund Management             | <input type="checkbox"/> 股票操作經紀<br>Operator Stock Broking  | <input type="checkbox"/> 基金<br>Fund |
|                               | <input type="checkbox"/> 金融市場<br>Financial Market  | <input type="checkbox"/> 代理人/託管<br>Nominees Custodian                  | <input type="checkbox"/> 保險公司<br>Insurance Company         |                                     |
| 主動非財務實體<br>Active NFE         | <input type="checkbox"/> 上市公司<br>List on Exchange  | <input type="checkbox"/> 上市公司之關連實體<br>Related entity of Listed Company | <input type="checkbox"/> 政府公司/機構<br>Government Firm/Agency |                                     |
|                               | <input type="checkbox"/> 其他[主動] 非金融實體 (請說明)<br>Other active NFE (please specify)   |  |  |                                     |
| 被動非財務實體<br>Passive NFE        | <input type="checkbox"/> 位於非參與稅務管轄區並由另一財務機構管理的投資實體<br>Investment entity that is managed by another financial institution and located in a non-participating jurisdiction |  |  |                                     |
|                               | <input type="checkbox"/> 不屬主動非財務實體的非財務實體<br>NFE that is not an active NFE  |  |  |                                     |

#### 第 3 部 控權人 (如實體帳戶持有人是被動非財務實體，填寫此部)

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

就帳戶持有人，填寫所有控權人的姓名在列表內。就法人實體，如行使控制權的並非自然人，控權人會是該法人實體的高級管理人員。每名控權人須分別填寫一份 IR1457 表格 (自我證明表格 – 控權人)。

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) |

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

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

提供以下資料，列明 (a) 帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區（香港包括在內）及 (b) 該居留司法管轄區發給帳戶持有人的稅務編號。列出所有（不限於 5 個）居留司法管轄區。如帳戶持有人是香港稅務居民，稅務編號是其香港商業登記號碼。如果帳戶持有人並非任何稅務管轄區的稅務居民（例如：它是財政透明實體），填寫實際管理機構所在的稅務管轄區。如沒有提供稅務編號，必須填寫合適的理由：

**理由 A** – 帳戶持有人的居留司法稅務管轄區並沒有向其居民發出稅務編號。

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

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

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.

|   |  |  |  |  |  |
|---|--|--|--|--|--|
| 居留司法管轄區<br>Jurisdiction of Residence            | (1)  | (2)  | (3)  | (4)  | (5)  |
| 稅務編號 TIN :                                      | (1)  | (2)  | (3)  | (4)  | (5)  |
| 沒有稅務編號理由<br>No TIN Reason                       | <input type="checkbox"/> 理由 A Reason A<br><input type="checkbox"/> 理由 B Reason B<br><input type="checkbox"/> 理由 C Reason C | <input type="checkbox"/> 理由 A Reason A<br><input type="checkbox"/> 理由 B Reason B<br><input type="checkbox"/> 理由 C Reason C | <input type="checkbox"/> 理由 A Reason A<br><input type="checkbox"/> 理由 B Reason B<br><input type="checkbox"/> 理由 C Reason C | <input type="checkbox"/> 理由 A Reason A<br><input type="checkbox"/> 理由 B Reason B<br><input type="checkbox"/> 理由 C Reason C | <input type="checkbox"/> 理由 A Reason A<br><input type="checkbox"/> 理由 B Reason B<br><input type="checkbox"/> 理由 C Reason C |
| 選取理由 B 的原因<br>Explanation to selected Reason B: |  |  |  |  |  |

#### 第 5 部 聲明及簽署 Part 5 Declarations and Signature

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 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).

本人證明，就與本表格所有相關的帳戶，本人獲帳戶持有人授權簽署本表格。本人承諾，如情況有所改變，以致影響本表格第 1 部所述的實體的稅務居民身分，或引致本表格所載的資料不正確，本人會通知 **Conrad Investment Services Limited ("CONRAD")**，並會在情況發生改變後 30 日內，向 **("CONRAD")** 提交一份已適當更新的自我證明表格。

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 **Conrad Investment Services Limited ("CONRAD")** 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 **("CONRAD")** with a suitably updated self-certification form within 30 days of such change in circumstances.

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。

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.

|  |  |
|--|--|
| <b>簽署人 Signed by:</b><br><br><br><br><br>姓名 Name : _____<br>身分 Capacity # : _____<br>日期 Date : _____ | (# 例如：公司的董事或高級人員、合夥的合夥人、信託的受託人等)<br>(# e.g. director or officer of a company, partner of a partnership, trustee of a trust etc.)<br><br><b>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。</b><br><br><b>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).</b> |
|--|--|

## 自我證明表格 – 控權人

### Self-Certification Form – Controlling Person

#### 重要提示：Important Notes:

- 這是由控權人向 **Conrad Investment Services Limited (“CONRAD”)** 提供的自我證明表格，以作自動交換財務帳戶資料用途。 (“CONRAD”) 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。  
This is a self-certification form provided by a controlling person to **Conrad Investment Services Limited (“CONRAD”)** for the purpose of automatic exchange of financial account information. The data collected may be transmitted by (“CONRAD”) to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- 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 (“CONRAD”)。  
A controlling person should report all changes in his/her tax residency status to (“CONRAD”).
- 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 (“CONRAD”) 須向稅務局申報的資料。  
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.

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

|  |                            |            |  |             |                  |
|--|----------------------------|------------|--|-------------|------------------|
| 姓名 Name  | *姓氏 Last Name or Surname : |            | *名字 First or Given Name:                     |             |                  |
| 香港身份證或護照號碼<br>Hong Kong Identity Card or<br>Passport No.   |                            |            | 出生日期* (日/月/年)<br>Date of Birth* (dd/mm/yyyy) |             |                  |
| 現時住址<br>Current Residence Address  | 室 Suite                    | 樓層 Floor   | 大廈 Building                                  | 街道 Street   | 地區 District      |
|  | *城市 City                   | 省 Province | 州 State                                      | *國家 Country | 郵政編號 Postal code |
| 通訊住址 Mailing Address<br>(如通訊地址與現時住址不同，<br>填寫此欄)<br>(Complete if different to the<br>current residence address) | 室 Suite                    | 樓層 Floor   | 大廈 Building                                  | 街道 Street   | 地區 District      |
|  | *城市 City                   | 省 Province | 州 State                                      | *國家 Country | 郵政編號 Postal code |

#### 第 2 部 你作為控權人的實體帳戶持有人 Part 2 The Entity Account Holder(s) of which you are a controlling person

| 實體 Entity | 實體帳戶持有人的名稱 Name of the Entity Account Holder |
|-----------|--|
| (1)       |  |
| (2)       |  |
| (3)       |  |

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

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

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

**理由 A** – 控權人的居留司法稅務管轄區並沒有向其居民發出稅務編號。  
**理由 B** – 控權人不能取得稅務編號。如選取這一理由，解釋控權人不能取得稅務編號的原因。  
**理由 C** – 控權人毋須提供稅務編號。居留司法管轄區的主管機關不需要控權人披露稅務編號。

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.

|   |  |  |  |  |  |
|---|--|--|--|--|--|
| 居留司法管轄區<br>Jurisdiction of Residence            | (1)  | (2)  | (3)  | (4)  | (5)  |
| 稅務編號 TIN :                                      | (1)  | (2)  | (3)  | (4)  | (5)  |
| 沒有稅務編號理由<br>No TIN Reason                       | <input type="checkbox"/> 理由 A Reason A<br><input type="checkbox"/> 理由 B Reason B<br><input type="checkbox"/> 理由 C Reason C | <input type="checkbox"/> 理由 A Reason A<br><input type="checkbox"/> 理由 B Reason B<br><input type="checkbox"/> 理由 C Reason C | <input type="checkbox"/> 理由 A Reason A<br><input type="checkbox"/> 理由 B Reason B<br><input type="checkbox"/> 理由 C Reason C | <input type="checkbox"/> 理由 A Reason A<br><input type="checkbox"/> 理由 B Reason B<br><input type="checkbox"/> 理由 C Reason C | <input type="checkbox"/> 理由 A Reason A<br><input type="checkbox"/> 理由 B Reason B<br><input type="checkbox"/> 理由 C Reason C |
| 選取理由 B 的原因<br>Explanation to selected Reason B: |  |  |  |  |  |

**第 4 部 控權人類別** (就第 2 部所載的每個實體，在適當方格內加上✓號，指出控權人就每個實體所屬的控權人類別。)

**Part 4 Type of Controlling Person** (Tick the appropriate box to indicate the type of controlling person for each entity stated in Part 2.)

| 實體類別<br>Type of Entity                           | 控權人類別<br>Type of Controlling Person   | 實體 (1)<br>Entity (1)     | 實體 (2)<br>Entity (2)     | 實體 (3)<br>Entity (3)     |
|--|---|--------------------------|--------------------------|--------------------------|
| 法人<br>Legal Person                               | 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) 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"/> |
|  | 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) 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"/> |
|  | 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 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"/> |
| 信託 Trust   | 財產授予人 Settlor   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  | 受託人 Trustee   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  | 保護人 Protector   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  | 受益人或某類別受益人的成員 Beneficiary or member of the class of beneficiaries   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  | 其他 (例如：如財產授予人/受託人/保護人/受益人為另一實體，對該實體行使控制權的個人 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"/> |
| 除信託以外的法律安排<br>Legal Arrangement other than Trust | 處於相等/相類於財產授予人位置的個人 Individual in a position equivalent/similar to settlor   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  | 處於相等/相類於受託人位置的個人 Individual in a position equivalent/similar to trustee   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  | 處於相等/相類於保護人位置的個人 Individual in a position equivalent/similar to protector   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  | 處於相等/相類於受益人或某類別受益人的成員位置的個人 Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  | 其他 (例如：如處於相等/相類於財產授予人/受託人/保護人/受益人位置的人為另一實體，對該實體行使控制權的個人 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"/> |

**第 5 部 聲明及簽署 Part 5 Declarations and Signature**

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 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 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).

本人證明，就與本表格所有相關的實體帳戶持有人所持有的帳戶，本人是控權人 / 本人獲控權人授權簽署本表格 #。本人承諾，如情況有所改變，以致影響本表格第 1 部所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知 **Conrad Investment Services Limited ("CONRAD")**，並會在情況發生改變後 30 日內，向 ("CONRAD") 提交一份已適當更新的自我證明表格。

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 **Conrad Investment Services Limited ("CONRAD")** 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 ("CONRAD") with a suitably updated self-certification form within 30 days of such change in circumstances.

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。

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.

|  |  |
|--|--|
| <b>控權人簽署 Controlling Person Signature:</b><br><br>姓名 Name : _____<br>身分 Capacity : _____<br>日期 Date: : _____ | (如你不是第 1 部所述的個人，說明你的身分。如果你是以授權人身分簽署這份表格，須夾附該授權書的核證副本。) (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.)<br><b>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。</b><br><b>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.)</b> |
|--|--|

# 刪去不適用者# Delete as appropriate

|                          | <b>Document(s) Check list</b><br>文件檢查清單  | <b>HK Company</b><br>香港公司 | <b>Overseas Company</b><br>海外公司 |
|--------------------------|--|---------------------------|---------------------------------|
| <input type="checkbox"/> | Board Resolution<br>董事會決議  | ✓                         | ✓                               |
| <input type="checkbox"/> | Certified true copies of the Hong Kong ID Card(s) or Passport(s) of all Authorized Persons, Directors and Ultimate beneficial owner(s).<br>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    | ✓                         | ✓                               |
| <input type="checkbox"/> | Certified true copies of address proof within the last 3 months of all Authorized Persons, Directors and Ultimate beneficial owner(s).<br>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 個月的地址證明核證副本 | ✓                         | ✓                               |
| <input type="checkbox"/> | Certified true copy of Register of Members and Register of Directors<br>董事名單及股東名單之核證副本   |                           | ✓                               |
| <input type="checkbox"/> | Certified true copy of Certificate of Incorporation<br>公司註冊證書之核證副本   | ✓                         | ✓                               |
| <input type="checkbox"/> | Certified true copy of Memorandum and Articles of Association<br>組織章程大綱及細則之核證副本  | ✓                         | ✓                               |
| <input type="checkbox"/> | Certified true copy of Certificate of Incumbency (issued within last 6 months)<br>董事在職證明之核證副本 (在過去 6 個月內簽發)  |                           | ✓                               |
| <input type="checkbox"/> | Certified true copy of Business Registration Certificate<br>商業登記證之核證副本   | ✓                         | (if applicable<br>如適用)          |
| <input type="checkbox"/> | Certified true copy of Latest Annual Return<br>最近的公司週年申報表之核證副本   | ✓                         |                                 |
| <input type="checkbox"/> | Certified true copy of Latest Audited Accounts/ Certificate of Good Standing<br>最近期財政報告或良好記錄證書之核證副本  | (if applicable<br>如適用)    | (if applicable<br>如適用)          |
| <input type="checkbox"/> | W-8BEN-E form  | ✓                         | ✓                               |
| <input type="checkbox"/> | Standing Authority (For Margin Client Only)<br>常設授權書   | (if applicable<br>如適用)    | (if applicable<br>如適用)          |
| <input type="checkbox"/> | Letter of Guarantee (For Margin Client Only)<br>擔保書  | (if applicable<br>如適用)    | (if applicable<br>如適用)          |
| <input type="checkbox"/> | Corporate FATCA Self-Certification<br>公司《海外帳戶稅收合規法案》自行認證   | ✓                         | ✓                               |

Note 注意:

Copies of those documents set out above must be certified as a true copy by certified public accountant (CPA), lawyer, or notary public.

所有提交本公司的文件副本須經由執業會計師、執業律師或註冊公證人認證為真確的副本。

For Office Use Only 內部填寫:

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| For Official Use Only 只供本行使用      |                                      |
|-----------------------------------|--------------------------------------|
| Introduced by 介紹人:                | How Long Known to Client 與客戶相識年期:    |
| Name of Account Executive 客戶主任姓名: | AE No 客戶主任號碼:                        |
| Sub A/C Number 子帳戶號碼:             | Sub A/C Name 子帳戶名稱:                  |
| Commission Rate 佣金比率              | Interest Rate 利息                     |
| Telephone: % (Min HKD/RMB)        | Overdue Interest 逾期交收利息: %           |
| Internet: % (Min HKD/RMB)         | Margin Lending Interest 保證金客戶借貸利息: % |
| Documents Checked By 文件查核:        | Account Approved By RO 負責人開戶批准:      |
| Data Input By 資料輸入:               | Data Checked By 資料查核:                |



## Standing Authority (For Margin Client Only) 常設授權書 (只供保證金客戶簽署)

To 致: Conrad Investment Services Limited

### Standing Authority under Securities & Futures (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 standing authority is in respect of the treatment of our securities collateral as set out below:

本常設授權是有關處置吾等之證券或證券抵押品，詳列如下：

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

除非另有說明，本授權書之名稱與《證券及期貨條例》及《證券及期貨(客戶證券)規則》不時修訂之定義具有相同意思。

This standing authority authorizes you to 本常設授權書授權貴公司：

1. apply any of our securities or securities collateral in accordance to Terms and Conditions of Client Agreement of Margin client paragraph 19;  
依據證券保證金客戶協議之條款及守則第 19 條，貴公司可運用任何吾等的證券或證券抵押品；
2. deposit any of our securities collateral with an authorized financial institution as collateral for financial accommodation provided to you;  
將任何吾等的證券抵押品存放於認可財務機構，作為該機構向 貴公司提供財務通融之抵押品；
3. deposit any of our securities collateral with Hong Kong Securities Clearing Company Limited ("HKSCC") as collateral for the discharge and satisfaction of your settlement obligations and liabilities. We understand that HKSCC will have a first fixed charge over our securities to the extent of your obligations and liabilities;  
將任何吾等的證券抵押品存於香港中央結算有限公司(「中央結算」)，作為解除 貴公司在交收上的義務和清償 貴公司在交收上的法律責任的抵押品。吾等明白中央結算因應 貴公司的責任和義務而對吾等的證券設定第一固定押記；
4. deposit any of our securities collateral with any other recognized clearing house, or another intermediary licensed or registered for dealing in securities, as collateral for the discharge and satisfaction of your settlement obligations and liabilities; and  
將任何吾等的證券抵押品存於任何其他認可結算所或任何其他獲發牌或獲註冊進行證券交易的中介人，作為解除 貴公司在交收上的責任和義務和清償 貴公司在交收上的法律責任的抵押品；及
5. apply or deposit any of our securities collateral in accordance with paragraphs 1,2,3, and/or 4 above if you provide financial accommodation to us in the course of dealing in securities and also provide financial accommodation to us in the course of any other regulated activity for which you are licensed or registered  
如貴公司在進行證券交易及貴公司獲發牌或獲註冊進行的任何其他受規管活動的過程中向吾等提供財務通融，即可按照上述第(1)、第(2)、第(3)及/或第(4)段所述運用或存放任何吾等的證券抵押品。

You may do any of these things without giving us notice. We acknowledge that this standing authority shall not affect your right to dispose or initiate a disposal by our affiliates of our securities or securities collateral in settlement of any liability owned by or on behalf of us to you, the affiliates or a third person.

貴公司可不向吾等發出事前通知而採取上述行動。吾等確認本授權書不影響 貴公司為解除由吾等或代吾等對 貴公司、貴公司之聯繫實體或第三者所負的法律責任，而處置或促使 貴公司的聯繫實體處置吾等之證券或證券抵押品的權利。

This standing authority is given to you in consideration of your agreeing to continue to maintain the securities margin account(s) for us.

此賦予 貴公司之授權乃鑑於 貴公司同意繼續維持吾等之證券保證金帳戶。吾等明白吾等的證券可能受制於第三者之權利，貴公司須全數抵償該等權利後，方可將吾等的證券退回吾等。

We understand that a third party may have rights to our securities, which you must satisfy before our securities can be returned to us.

吾等明白吾等的證券可能受制於第三者之權利，貴公司須全數抵償該等權利後，方可將吾等的證券退回給吾等。

This standing authority is valid for a period of not more than 12 months until 31-December this year. We understand that this standing authority may be revoked by giving you written notice. Such notice shall take effect upon the expiry of 14 days from the date of your actual receipt of such notice.

本常設授權書的有效期限為十二個月，自本授權書之日起計有效。吾等可以向 貴公司客戶服務部位於上述所列明之地址發出書面通知，撤回本授權書。該等通知之生效日期為 貴公司真正收到該等通知後之 14 日起計。

We understand that this standing authority may be deemed to be renewed on a continuing basis without our consent if you issue us a written reminder at least 14 days prior to the expiry date of this standing authority, and we do not object to such expiry date.

吾等明白 貴公司若在本常設授權書的有效期限屆滿前 14 日之前，向吾等發出書面通知，提醒吾等本授權書即將屆滿，而吾等沒有在此授權屆滿前反對此授權續期，本授權書應當作在不需要吾等的書面同意下按持續的基準已被續期。

In the event of any difference in interpretation or meaning between the Chinese version and English version of this standing authority, we agree that the English version shall prevail.

倘若本授權書的中文本與英文本在解釋或意義方面有任何異議，吾等同意應以英文本為準。

We acknowledge that this standing authority and re-pledging practice of your Company has been fully explained to us and we understand and agree with the contents of this standing authority.

吾等就本常設授權書的內容及貴公司的轉按政策獲得解釋，並且吾等明白及同意本授權書的內容。

Client Signature 客戶簽署

Authorized Signature(s) and Business Chop 授權簽署及商業印章

Date 日期



## GUARANTEE LETTER

### 擔保書

To: CONRAD INVESTMENT SERVICES LIMITED (the "CONRAD")

致: Conrad Investment Services Limited( "CONRAD" )

4th Floor, Block D, General Commercial Building, No. 156-164 Des Voeux Road Central, Hong Kong

香港中環德輔道中 156-164 號通用商業 404 室

Date: 日期: \_\_\_\_\_

From: 由: \_\_\_\_\_ (the "Guarantor" ) (「擔保人」)

Address of Guarantor: 擔保人地址: \_\_\_\_\_

- In consideration of CONRAD, at my/our request, making available to (name of Client) \_\_\_\_\_ (the "Client") securities trading facilities by way of an Account Opening Form and Client Account Agreement including but not limited to (if applicable) the Margin Terms dated \_\_\_\_\_ (such services hereinafter referred to as the "Facilities") I/we, the Guarantor irrevocably and unconditionally guarantee the full and punctual payment of all sums payable by the Client to CONRAD and undertake that if for any reason the Client shall fail to pay any such sum in accordance with the terms of the said Account Opening Form and the Client Account Agreement the Guarantor shall immediately on demand by CONRAD unconditionally pay that sum to CONRAD.  
鑑於 CONRAD 應擔保人要求, 於(日期) \_\_\_\_\_ 訂立之開戶表格及客戶帳戶協議包括但不限於(如適用)保證金條款, 向(客戶姓名) \_\_\_\_\_ (「該客戶」) 提供證券買賣服務(以下稱為「該服務」), 擔保人以擔保人身份不可撤回及無條件地擔保, 該客戶將全數及準時向 CONRAD 支付該客戶應付之所有款項, 並保證倘該客戶由於任何原因無法根據上述之開戶表格及客戶帳戶協議之條款償還任何有關款項, 則擔保人將應 CONRAD 要求即時無條件向 CONRAD 償還有關款項。
- The Guarantor's liability under this Guarantee shall not be discharged in whole or in part or otherwise be affected in any way by reason of (i) CONRAD giving the Client time or any other concession or taking, holding, varying, realizing or not enforcing any other security for the liabilities of the Client under the Facilities, (ii) any legal limitation or incapacity relating to the Client, (iii) the invalidity or unenforceability of the obligations of the Client under the Facilities or (iv) any other act or omission of CONRAD or any other circumstances which but for this provision would have discharged the Guarantor from its obligations hereunder. Any monies expressed to be payable by the Client under the Facilities which may not be recoverable from the Client for any foregoing reason shall be recoverable by CONRAD from the Guarantor as principal debtor.  
此擔保書規定擔保人之全部或部分責任不會由於以下理由而解除或受到影響: (i) CONRAD 給予該客戶時間或任何其他寬限, 或根據該服務規定沒收、持有、修改、變賣或執行該客戶債務之任何其他抵押, (ii) 有關該客戶之任何法律限制或該客戶無力償債, (iii) 於該等服務所規定該客戶之責任無效或不能履行, 或(iv) CONRAD 採取或不採取任何其他行動或出現任何其他情況而原可解除此擔保書所規定擔保人之責任(因本條款而不能解除)。CONRAD 由於上文任何原因未能索取該客戶根據該服務所明確規定該客戶須支付之任何款項, 則 CONRAD 可向擔保人作為主要債務人而追收欠款。
- This Guarantee is a continuing security and shall continue in effect until all sums whatsoever payable by the Client under the Facilities have been paid in full.  
此擔保書乃持續擔保並一直維持有效, 直至該客戶全數支付該服務規定之任何所有款項為止。
- CONRAD may enforce this Guarantee without first making demand on, or taking any proceeding against the Client.  
CONRAD 可執行此擔保書, 事前毋須向該客戶提出任何要求或任何訴訟。
- The Guarantor hereby represents and warrants to and undertakes with CONRAD that the Guarantor does not hold and will not hereafter, without the prior written consent of CONRAD, take or hold on any account whatsoever any security from the Client or any other person for the obligations and liabilities of the Client hereunder, and in the event of the Guarantor now or hereafter taking or holding any such security, whether with or without the consent of CONRAD, the Guarantor will hold their right to the same and all amounts at any time received in respect thereof in trust for CONRAD and the Guarantor shall forthwith deposit the same and any documents relating thereto with CONRAD.  
擔保人謹此向 CONRAD 聲明、保證並承諾, 擔保人目前並無持有, 而未經 CONRAD 書面同意, 將來亦不會接受或持有該客戶或任何其他人士根據此擔保書作為承擔及債務保證之其他抵押, 而倘擔保人目前或日後接受或持有任何有關抵押, 則不論是否取得 CONRAD 之書面同意, 均須以信託形式代 CONRAD 保持任何時候獲得有關抵押之同等權力及所有款項, 並須即時將同等權力及款項連同任何有關文件交予 CONRAD。
- No payment to CONRAD under this Guarantee pursuant to any judgement or order of any court or otherwise shall operate to discharge the obligations of The Guarantor in respect of which it was made unless and until payment in full shall have been received by CONRAD.  
CONRAD 根據任何裁決或任何法庭或其他令狀, 按照此擔保書獲得之款項概不可解除擔保人所作之有關責任, 除非及直至 CONRAD 全數收取款項為止。
- CONRAD may apply any credit balance to which the Guarantor is entitled on any account of the Guarantor with CONRAD in or towards satisfaction of any sum then due and payable from the Guarantor hereunder.  
CONRAD 可使用擔保人就其任何戶口在 CONRAD 有權獲得之任何信貸結餘, 以支付到期及擔保人根據此擔保書應付之任何款項。
- If any monies paid to CONRAD in reduction of the indebtedness under the Facilities have to be repaid by CONRAD on the ground of fraudulent preference or on any other ground, the liability of the Guarantor shall be computed as if such monies had never been paid to CONRAD at all.  
倘 CONRAD 由於欺詐性的優惠或任何其他原因而支付用於扣減根據該服務之債務而收取之任何款項, 則計算擔保人之債務時, 擔保人被視為從來沒有向 CONRAD 償還有關款項而論。
- The Guarantor hereby represents and warrants to CONRAD that it has power to enter into this Guarantee and to perform its obligations hereunder. The Guarantor has read and understood the contents of this Guarantee and has taken independent legal advice as to the effect hereof.  
擔保人謹此向 CONRAD 表示並保證擔保人有權訂立此擔保書並履行有關責任。擔保人已細閱並明白此擔保書之內容, 並已就其效力尋求獨立法律意見。
- The security conferred by this Guarantee is in addition to and not in substitution for and shall not in any way affect or be affected by any other security or guarantee which CONRAD may now or hereafter hold or take from the Client or any other person in respect of the Facilities.  
此擔保書所賦予之保證乃額外保證, 不可代替或以任何形式影響 CONRAD 就該服務而在目前或日後持有或接受該客戶或任何其他人士之任何其

他保證或擔保，或受有關保證或擔保影響。

11. Save as may be expressly provided herein to the contrary, time shall be of the essence of this Guarantee. No failure or delay on the part of CONRAD to exercise any right, power or remedy under this Guarantee shall operate as a waiver thereof nor shall a waiver by CONRAD of any particular default by the Guarantor affect or prejudice the right, power or remedy of CONRAD in respect of any other default or any subsequent default of the same or a different kind nor shall any single or partial exercise by CONRAD of any right, power or remedy hereunder preclude any other or further exercise thereof or the exercise of any other right, power or remedy.  
除非此擔保書有明確之相反規定，否則時間對此擔保書極為重要。CONRAD 在沒有或延遲行使此擔保書之任何部份權利、權力或補償，不可視為放棄有關權利、權力或補償，亦不可視為放棄追究擔保人任何個別失責行為，亦不影響或損害 CONRAD 有關任何其他失責或日後其他同類或不同類之失責行為之權利、權力或補償，且 CONRAD 行使此擔保書任何權利、權力或補償之任何一項或部份並不損害任何其他或進一步行使有關權利、權力或補償之其他部份，亦不損害其行使任何其他權利、權力或補償。
12. If at any time any provision of this Guarantee is or becomes illegal, invalid or unenforceable in any respect under the laws of any jurisdiction, neither the legality, validity or enforceability of the remaining provisions of this Guarantee nor the legality, validity or enforceability of such provision under the laws of any other jurisdiction shall in any way be affected or impaired thereby.  
倘此擔保書之任何條款在任何時間根據任何司法權區法例屬於或成為非法、無效或無法執行，則此擔保書其他條款之合法性、有效性或可執行性，或有關條款根據任何其他司法權區法例之合法性、有效性或可執行性，無論如何均不會受到影響或損害。
13. The Guarantor may not assign any of its rights or obligations hereunder. CONRAD may assign any of its rights hereunder to a person in favour of whom an assignment has been made under the Facilities.  
擔保人不可轉讓此擔保書之任何權利或責任。CONRAD 則可根據該服務作出轉讓後，將此擔保書之任何權利轉讓予承讓人。
14. Every notice under this Guarantee shall be in writing and may be given or made by post, facsimile or cable to the Guarantor or CONRAD at their respective addresses given above. Every notice shall be deemed to have been received, in the case of a facsimile or cable at the time of despatch and in the case of a letter two days after its posting.  
有關此擔保書之各項通知均須以書面形式送交、郵遞、傳真或發出電報予擔保人或 CONRAD 各自在上文所列之地址。每份通知應在發出傳真或電報時（倘發出當日在收件人所在地並非工作日，則在發出後下一個工作日），或投遞函件後兩日被視為送達。
15. In the event of the Guarantor being made up of more than one legal entity, all such legal entities' liabilities and obligations as Guarantor hereunder shall be joint and several.  
倘擔保人由超過一個法定團體組成，則全部有關法定團體應共同及個別承擔此擔保書規定之擔保人責任及義務。
16. This Guarantee shall be governed by and construed in accordance with the laws of the Hong Kong Special Administrative Region and the Guarantor hereby submits to the non-exclusive jurisdiction of the Hong Kong courts.  
此擔保書受香港法例監管並按該等法例詮釋，擔保人謹此不可撤回地接受香港及其他地區法院之裁判。

IN WITNESSETH whereof the Guarantor has hereunto executed this Guarantee the day and year first above written.

擔保人於上述日期簽署承認本擔保書。

INDIVIDUAL GUARANTOR  
個人擔保人

CORPORATE GUARANTOR  
公司擔保人

Signature 簽署：\_\_\_\_\_

Name 姓名：\_\_\_\_\_

HKID / Passport No.:  
香港身份證號碼／護照號碼：\_\_\_\_\_



Signature 簽署：\_\_\_\_\_

Name of Director 董事姓名：\_\_\_\_\_

Company Chop 法團公章：\_\_\_\_\_

In the presence of:-

Signature of witness  
見證人簽署：\_\_\_\_\_

Name of witness  
見證人姓名：\_\_\_\_\_

Passport No./I.D. Card No. of witness  
見證人護照號碼／香港身份證號碼：\_\_\_\_\_

**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](http://www.irs.gov/formw8bene).  
► Give this form to the withholding agent or payer. Do not send to the IRS.

**Do NOT use this form for:**

- U.S. entity or U.S. citizen or resident . . . . . W-9
- A foreign individual . . . . . W-8BEN (Individual) or Form 8233
- A foreign individual or entity claiming that income is effectively connected with the conduct of trade or business within the 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 for other exceptions) . . . . . 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, see instructions)**4** Chapter 3 Status (entity type) (Must check one box only):☐ Simple trust☐ Grantor trust☐ Corporation☐ Complex trust☐ Central Bank of Issue☐ Tax-exempt organization☐ Private foundation☐ Disregarded entity☐ Estate☐ International organization☐ 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) (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 deemed-compliant FFI, participating FFI, or exempt beneficial owner).☐ Participating FFI.☐ Reporting Model 1 FFI.☐ Reporting Model 2 FFI.☐ Registered deemed-compliant FFI (other than a reporting Model 1 FFI, sponsored FFI, or nonreporting IGA FFI covered in Part XII). See instructions.☐ Sponsored FFI. 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. 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.☐ Account that is not a financial account.**6** Permanent residence address (street, apt. or suite no., or rural route). **Do not use a P.O. box or in-care-of address** (other than a registered address).

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

Country

**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 XXX.**For Paperwork Reduction Act Notice, see separate instructions.**

Cat. No. 59689N

Form **W-8BEN-E** (Rev. 4-2016)

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

- 11** Chapter 4 Status (FATCA status) of disregarded entity or branch receiving payment
- ☐ Limited Branch (see instructions). ☐ Reporting Model 1 FFI. ☐ U.S. Branch.
- ☐ Participating FFI. ☐ Reporting Model 2 FFI.
- 12** Address of disregarded entity or branch (street, apt. or suite no., or rural route). **Do not use a P.O. box or in-care-of address** (other than a registered address).

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

Country

- 13** GIIN (if any)

**Part III Claim of Tax Treaty Benefits** (if applicable). (For chapter 3 purposes only.)

- 14** I certify that (check all that apply):
- a** ☐ The beneficial owner is a resident of \_\_\_\_\_ within the meaning of the income tax treaty between the United States and that country.
- b** ☐ The beneficial owner derives the item (or items) of income for which the treaty benefits are claimed, and, if applicable, meets the requirements of the treaty provision dealing with limitation on benefits. The following are types of limitation on benefits provisions that may be included in an applicable tax treaty (check only one; see instructions):
- ☐ Government ☐ Company that meets the ownership and base erosion test
- ☐ Tax exempt pension trust or pension fund ☐ Company that meets the derivative benefits test
- ☐ Other tax exempt organization ☐ Company with an item of income that meets active trade or business test
- ☐ Publicly traded corporation ☐ Favorable discretionary determination by the U.S. competent authority received
- ☐ Subsidiary of a publicly traded corporation ☐ Other (specify Article and paragraph): \_\_\_\_\_
- c** ☐ The beneficial owner is claiming treaty benefits for U.S. source dividends received from a foreign corporation or interest from a U.S. trade or business of a foreign corporation and meets qualified resident status (see instructions).
- 15** **Special rates and conditions** (if applicable—see instructions):
- The beneficial owner is claiming the provisions of Article and paragraph \_\_\_\_\_
- of the treaty identified on line 14a above to claim a \_\_\_\_\_ % rate of withholding on (specify type of income): \_\_\_\_\_
- Explain the additional conditions in the Article the beneficial owner meets to be eligible for the rate of withholding: \_\_\_\_\_

**Part IV Sponsored FFI**

- 16** Name of sponsoring entity: \_\_\_\_\_
- GIIN of sponsoring entity: \_\_\_\_\_
- 17** **Check whichever box applies.**
- ☐ I certify that the entity identified in Part I:
- Is an investment entity;
  - Is not a QI, WP, 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;
- Will have all of its due diligence, withholding, and reporting responsibilities (determined as if the FFI were a participating FFI) fulfilled by the sponsoring entity identified on line 20; **and**
- 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, participating FFI, or reporting Model 1 FFI to which this form is given has agreed that it will treat the FFI as an owner-documented FFI (see instructions for eligibility requirements). In addition, the FFI must make the certifications below.

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

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

**Part X Owner-Documented FFI (continued)****Check box 24b or 24c, whichever applies.**

- b** ☐ I certify that the FFI identified in Part I:
- Has provided, or will provide, an FFI owner reporting statement that contains:
    - 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), and chapter 4 status of every individual and specified U.S. person that owns a debt interest in the owner-documented FFI (including any indirect debt interest, which includes debt interests in any entity that directly or indirectly owns the payee or any direct or indirect equity interest in a debt holder of the payee) that constitutes a financial account in excess of \$50,000 (disregarding all such debt interests owned by participating FFIs, registered deemed-compliant FFIs, certified deemed-compliant FFIs, excepted NFFEs, exempt beneficial owners, or U.S. persons other than specified U.S. persons); **and**
    - Any additional information the withholding agent requests in order to fulfill its obligations with respect to the entity.
  - Has provided, or will provide, valid documentation meeting the requirements of §1.1471-3(d)(6)(iii) for each person identified in the FFI owner reporting statement.
- c** ☐ I certify that the FFI identified in Part I has provided, or will provide, an auditor's letter, signed within 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 (optional, see instructions).**

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

**Part XI Restricted Distributor**

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

**Check box 25b or 25c, whichever applies.**

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

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



**Part XII Nonreporting IGA FFI**

**26** ☐ I certify that the entity identified in Part I:

- Meets the requirements to be considered a nonreporting financial institution pursuant to an applicable IGA between the United States and \_\_\_\_\_ . The applicable IGA is a ☐ Model 1 IGA or a ☐ Model 2 IGA; and is treated as a \_\_\_\_\_ under the provisions of the applicable IGA or Treasury regulations (if applicable, see instructions);
- If you are a trustee documented trust or a sponsored entity, provide the name of the trustee or sponsor whose GIIN is provided on line 9a (if any) \_\_\_\_\_ ; and your GIIN (if issued to you) \_\_\_\_\_ .

**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 or that has in effect a headquarters agreement with a foreign government;
- The benefit of the entity's income does not inure to any private person;
- 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.

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

- d ☐ I certify that the entity identified in Part I is formed pursuant to a pension plan that would meet the requirements of section 401(a), other than the requirement that the plan be funded by a trust created or organized in the United States.
- e ☐ I certify that the entity identified in Part I is established exclusively to earn income for the benefit of one or more retirement funds described in this part or in an applicable Model 1 or Model 2 IGA, 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.
- 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 Owners**

- 30 ☐ I certify that the entity identified in Part I:
- Is an FFI solely because it is an investment entity;
  - Each direct holder of an equity interest in the investment entity is an exempt beneficial owner described in §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 Institution**

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

**Part XVIII Excepted Nonfinancial Group Entity**

- 32 ☐ I certify that the entity identified in Part I:
- Is a holding company, treasury center, or captive finance company and substantially all of the entity's activities are functions described in §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 Company**

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

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

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

**Part XXI 501(c) Organization**

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

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

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

**41** ☐ I certify that the entity identified in Part I:

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

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

[illegible]