

FOR OFFICIAL USE ONLY	
Account No (HK Securities)	
Account No (HK Futures)	

UNIT 1202, 12/F, TELECOM DIGITAL TOWER, 58 TSUN YIP STREET, KWUN TONG, KOWLOON, HK
香港九龍觀塘駿業街 58 號電訊數碼大樓 12 樓 1202 室

Telecom King Securities Limited is an Exchange Participant of the Stock Exchange of Hong Kong Limited and a Futures Commission Merchant of Hong Kong Futures Exchange Limited; and is a registered with the Securities and Futures Commission as a licensed corporation to conduct Type 1 (dealing in securities) and Type 2 (dealing in futures) regulated activities whose CE number is API286.

電訊數碼證券有限公司為香港聯合交易所有限公司之交易所參與者及香港期貨交易所有限公司之期貨代理商；及於證券及期貨事務監察委員會註冊之持牌法團專營第 1 類（證券交易）及第 2 類（期貨合約交易）受規管活動，CE 編號 API286。

Please provide: 請提供

- Copy of Primary (and Joint) Client's ID card or passport.
個人(及聯名) 帳戶持有人的身份證或護照副本
- Proof of home address of the last 3 months e.g. bank statement, bill of electricity, rates & Government rent , etc
三個月內的住址證明，例如：銀行月結單、電費單、差餉及地租單等

CLIENT INFORMATION STATEMENT (INDIVIDUAL / JOINT ACCOUNT) 客戶資料表 (個人/ 聯名帳戶)				
Account : 帳戶	<input type="checkbox"/> Individual Account 個人帳戶	<input type="checkbox"/> Joint Account 聯名帳戶	<i>(Each joint account holder is required to fill in a separate Supplementary Client Information Statement. 每一聯名帳戶持有人, 謹請分別填寫客戶資料表補充文件)</i>	
Account Operation (For Joint Account Only) 帳戶操作(只適用聯名帳戶)	<input type="checkbox"/> Any One 任何一位	<input type="checkbox"/> Both 兩位	<input type="checkbox"/> Primary A/C Holder 第一聯名帳戶持有人	<input type="checkbox"/> Secondary A/C Holder 第二聯名帳戶持有人
Account Type : 帳戶類別	<input type="checkbox"/> HK Securities Cash Account 證券現金帳戶(港股)	<input type="checkbox"/> HK Securities Margin Account 證券保證金帳戶(港股)	<input type="checkbox"/> HK Futures Account 期貨帳戶(香港)	
Account requiring Electronic Trading 選用電子交易服務	<input type="checkbox"/> HK Securities Cash Account 證券現金帳戶(港股) <input type="checkbox"/> HK Securities Margin Account 證券保證金帳戶(港股) <input type="checkbox"/> HK Futures Account 期貨帳戶(香港)			

1. **Client Information 客戶資料**

Individual / Primary Joint Account Holder 個人 / 第一聯名帳戶持有人

Name of Client Mr. / Ms English 英文 Chinese 中文
 客戶姓名： 先生 / 女士 _____

ID/Passport No. Nationality Place of Birth Date of Birth
 身分證/護照號碼：_____ 國籍：_____ 出生地點：_____ 出生日期：_____

Home Address
 住宅地址：_____

Home Tel No. Mobile Phone No. Home Fax No.
 住宅電話：_____ 手提電話：_____ 住宅傳真：_____

Email Address
 電郵地址：_____ ** Must be provided for Account(s) requiring electronic trading services*
 電子交易服務帳戶必須提供

Employment Status Employed Self-employed Retired Student Others (please specify)
 就業狀況 受僱 自僱 退休 學生 其他(請述明) _____

Name of Employer Position
 僱主名稱：_____ 職位：_____

Office Tel No. Occupation Years in Occupation
 公司電話：_____ 行業：_____ 從業年數：_____

Office Address
 公司地址：_____

I confirm that all combined daily statement of account and contract notes, monthly statement and correspondence to be sent to (please tick one only) 本人確認所有綜合成交單據及帳戶日結單，月結單及通訊送交(只可選一項)

Home address (HK\$30 per month) Office address (HK\$30 per month) E-mail address (Free of Charge)
 住宅地址〔月費港幣 30 元〕 公司地址〔月費港幣 30 元〕 電郵地址〔免費〕

Statement Language English Traditional Chinese Simplified Chinese (not applicable to Futures A/C)
 結單語言 英文 繁體中文 簡體中文 (期貨帳戶不適用)

Order Confirmation Service 覆盤服務

只要客戶曾經在其行動裝置使用金股至尊 Telecom PRO 或電訊期指 Futures PRO 流動應用程式登入其證券或期貨帳戶，將由金股至尊 Telecom PRO 或電訊期指 Futures PRO 推送通知作買賣覆盤。客戶須在其行動裝置允許及開啟應用程式通知功能才能接收推送通知。如客戶未曾於其行動裝置安裝及登入金股至尊或電訊期指流動應用程式，將由 SMS 短訊作覆盤。

除非客戶另行通知，覆盤語言將預設為中文。

(電訊證券並不聲明或保證任何通知及短訊的準確性、有效性、充分性、先後次序、及時性或完整性，亦不會為任何人士因依據所提供訊息，所作出的決定或行動而負責。)

As long as the client uses Telecom PRO or Futures PRO App to login his/her securities or futures account, order confirmation will be published by push notification via app. Client must allow and turn on the app notification function on his/her mobile device in order to receive the order confirmation. If the client does not install and login the Telecom PRO or Futures PRO App on his/her mobile device, order confirmation will be sent by SMS. Order confirmation language is defaulted as Chinese unless further notice by client.

(Telecom King Securities does not represent or warrant, whether expressly or impliedly, the accuracy, validity, adequacy, sequence, timeliness or completeness of SMS Information and will not be responsible for decisions or actions made by any person on the basis of the information provided.)

Bank Account Information 銀行戶口資料

Unless otherwise instructed by client, all monies payable to client is to be credited to the following bank account

除經客戶另行指示外，付予客戶的款項將存入下列銀行賬戶

Name of Bank	<input type="checkbox"/>	HKD	Bank Account No.
銀行名稱: _____		港幣	銀行戶口號碼: _____
Name of Bank	<input type="checkbox"/>	RMB	Bank Account No.
銀行名稱: _____		人民幣	銀行戶口號碼: _____
Name of Bank	<input type="checkbox"/>	USD	Bank Account No.
銀行名稱: _____		美元	銀行戶口號碼: _____

(Bank account name must be in the name of the Client 銀行戶口名稱必須與客戶名稱相同)

Pre-approved Purchasing Power Service 預先批核購買力服務 (Cash Account Only 現金帳戶適用)

NEED 需要 **DO NOT NEED 不需要**

I /We fully understand and agree the following contents 本人/吾等清楚明白及同意以下內容:

- All eligible securities included in the list of the pre-approval purchasing power are subject to change without prior notice ;
有關預先批核購買力之認可股票名單如有任何更改，恕不另行通知；
- If I /We cannot settle the overdue amount before 10:00am on T+3, you will sell the relevant securities and/or other securities in my/our securities account on my /our behalf after the deadline at once to settle the overdue amount compulsory.
若本人/吾等未能在 T+3 上午十時前結算過期款項，貴公司將在限期後即時代本人/吾等強制沽售相關的股票及/或帳戶內其他的股票以清還欠款。

2. Financial Summary 財務資料簡要

Annual Income < HK\$200,000 HK\$200,001 – HK\$500,000 HK\$500,001 – HK\$1,000,000 > HK\$1,000,000

每年總收入:

Approximate Net Asset Value < HK\$500,000 HK\$500,001–HK\$2,000,000 HK\$2,000,001–HK\$5,000,000

資產淨值概算:

HK\$5,000,001–HK\$10,000,000 >HK\$10,000,000

Source of funds/ Wealth Savings Inheritance Rental Investment Others(please specify)

資金/財富來源

儲蓄

遺產

租金

投資

其他(請說明)_____

Ownership of Residence Mortgage Self-owned Rented Quarters Living with family

住宅業權

按揭物業

自置物業

租用物業

宿舍

與家人同住

3. Investment Experiences and Objectives 投資經驗及目的

3a. Investment Experience 投資經驗: Yes 有 No 沒有 (If No, go to 3c direct. 如沒有，直往 3c.)

Share 股票 Warrants/CBBC 認股權證/牛熊證 Futures/Options 期貨/期權

Exchange-traded Fund 交易所買賣基金 Inline Warrants 界內證 Leveraged and inverse products 槓桿及反向產品

Virtual asset and virtual asset-related products 虛擬資產或虛擬資產相關產品

Others/其他(e.g. Bonds)_____

3b. Year of Experience 投資經驗年資: < 1 year 1-3 years 3-5 years >5 years

3c. Investment Objectives 投資目的: Capital gain 資本增值 Dividend income 股息收入 Speculation 投機

Hedge 對沖

3d. Expected Daily Trade Volume 預計每日交投額: <HK\$50,000 \$50,001-\$1,000,000 >HK\$1,000,000

評估客戶對衍生產品的認識 Assessment of client's knowledge on derivative products	Warrants/CBBC 認股權證/牛熊證	Futures/Options 期貨/期權	Exchange-traded Fund 交易所買賣基金	Inline Warrants 界內證	Leveraged and inverse products 槓桿及反向產品	Virtual asset and virtual asset-related products 虛擬資產或虛擬資產 相關產品
*1.本人曾在最近三年內買賣過五次或以上有關衍生產品的交易(不論是否在交易所買賣) I/We have executed five or more transactions in any derivative product (whether traded on an exchange or not), nearest the past three years.	<input type="checkbox"/> 無 No <input type="checkbox"/> 有 Yes	<input type="checkbox"/> 無 No <input type="checkbox"/> 有 Yes	<input type="checkbox"/> 無 No <input type="checkbox"/> 有 Yes	<input type="checkbox"/> 無 No <input type="checkbox"/> 有 Yes	<input type="checkbox"/> 無 No <input type="checkbox"/> 有 Yes	<input type="checkbox"/> 無 No <input type="checkbox"/> 有 Yes
*2.本人曾接受有關衍生產品的培訓或修讀相關課程 I/We have undergone training or attended courses on derivative products	<input type="checkbox"/> 無 No <input type="checkbox"/> 有 Yes	<input type="checkbox"/> 無 No <input type="checkbox"/> 有 Yes	<input type="checkbox"/> 無 No <input type="checkbox"/> 有 Yes	<input type="checkbox"/> 無 No <input type="checkbox"/> 有 Yes	<input type="checkbox"/> 無 No <input type="checkbox"/> 有 Yes	<input type="checkbox"/> 無 No <input type="checkbox"/> 有 Yes
*3.本人現時或過去與衍生產品有關的工作經驗 I/We have current or previous work experience related to derivative products.	<input type="checkbox"/> 無 No <input type="checkbox"/> 有 Yes	<input type="checkbox"/> 無 No <input type="checkbox"/> 有 Yes	<input type="checkbox"/> 無 No <input type="checkbox"/> 有 Yes	<input type="checkbox"/> 無 No <input type="checkbox"/> 有 Yes	<input type="checkbox"/> 無 No <input type="checkbox"/> 有 Yes	<input type="checkbox"/> 無 No <input type="checkbox"/> 有 Yes

Name(s) of responsible person(s) for making investment decisions (Corporate client only) 負責投資決定人士之姓名(公司客戶適用)
Investment Intention 投資意向
<input type="checkbox"/> I/We wish to trade exchange-traded derivative products and accept to bear the relevant potential risks associated with the derivative products. 本人/吾等 有意 買賣在交易所買賣之衍生產品，並同意承擔衍生產品所附帶的相關潛在風險 <input type="checkbox"/> I/We do not wish to trade exchange-traded derivative products 本人/吾等 無意 買賣在交易所買賣之衍生產品 Note : Exchange-traded derivative products include but are not limited to derivative warrants, callable bull/bear contracts, synthetic exchange-traded funds, Leveraged and inverse products, Inline Warrants, Virtual asset spot/ futures ETF etc. 註：交易所買賣之衍生產品包括但不限於衍生權證、牛熊證、合成交易所買賣基金、槓桿及反向產品、界內證、虛擬資產現貨或期貨 ETF 等。

4. Disclosure of Identity 披露身份

I declare and confirm that (please tick as appropriate): 本人聲明及確認如下(請於適當處 '✓'):

- i. I am the ultimate beneficial owner of the Account; or 本人乃帳戶之最終實益擁有人; 或
 I am not the ultimate beneficial owner of the Account. The ultimate beneficial owner(s) is/are;
 本人並非帳戶之最終實益擁有人。最終實益擁有人如下;

Name 姓名:	ID/ Passport/ C.I. / BR No. 身分證/護照/公司註冊証/商業登記証號碼:
Address 地址:	Tel. No. 電話號碼:

- ii. Are you a licensed/registered person, or a director or an employee of any licensed corporation/registered institution of Securities and Futures Commission in Hong Kong?
閣下是否香港證券及期貨事務監察會之持牌或註冊人士，或任何持牌法團或註冊機構之董事或僱員?

No Yes Name of licensed or registered person
否 是，持牌或註冊人士姓名/名稱: _____

Please attach consent letter from your employer. 請提供閣下僱主的同意信。

5. **Related Account 關連帳戶**

- i. Do you, the ultimate beneficial owner(s) of the Account, have any relationship with the director(s) or employee(s) of Telecom King Securities Limited?

閣下作為此帳戶最終實益擁有人與電訊數碼證券有限公司之董事或僱員是否有親屬關係?

No Yes, Name of the director(s) or employee(s)

否

是, 董事或僱員之姓名: _____

Relationship: Husband/Wife Father/ Mother/Son/ Daughter Other

關係

丈夫/妻子

父 / 母 / 子 / 女

其他: _____

- ii. Are you, either alone or with your spouse in control of 35% or more of the voting rights of any client of Telecom King Securities Limited?

閣下是否個人或與閣下的配偶共同控制任何電訊數碼證券有限公司的客戶 35%或以上的投票權?

No 否 Yes 是 Name 姓名: _____ Account No 帳戶號碼: _____

- iii. Is your spouse a client of Telecom King Securities Limited?

閣下的配偶是否電訊數碼證券有限公司的客戶?

No 否 Yes 是 Name 姓名: _____ Account No 帳戶號碼: _____

Declaration By Client 客戶聲明

By signing this Part, I/We declare, acknowledge and confirm that:

倘簽署本部份, 本人/吾等即聲明、同意及確認:

- the information provided in this Client Information Statement is complete, true and accurate;
本客戶資料表提供的資料, 均為完整、真實及準確;
- the Risk Disclosure Statements was provided to me/us in a language of the my/our choice (English or Chinese) and I/We have been invited to read the Risk Disclosure Statements, to ask questions and take independent advice if I/We so wished.
本人/吾等已獲提供風險披露聲明(英文或中文), 及已獲邀閱讀該風險披露聲明, 並按其意願提出問題及徵求獨立的意見;
- the Notice of FATCA was provided to me/us and I/We have been invited to read the Notice of FATCA, to ask questions and take independent advice if I/We so wished;
本人/吾等已獲提供FATCA說明書, 及已獲邀閱讀該說明書, 並按其意願提出問題及徵求獨立的意見;
- The FATCA Self-Certification Form was provided to me/us and I/We have read, understood and confirmed, and agree to be bound by all the provisions of this form and terms set out in the appendix;
本人/吾等已獲提供美國海外帳戶FATCA聲明書, 並已閱讀、明白和確認及同意前述之聲明書及附件一所列條款, 並同意接受期約束;
- the contents of the relevant and applicable parts of Terms and Conditions have been fully explained to me/us in a language which I/We understand;
賬戶條款之內容及條件之相關及適用部份已以本人/吾等明白的語言向本人/吾等作出充份解釋;
- Where a Futures Account is to be opened, I/We have read the Disclaimer delivered by the Exchange (as contained in the Terms and Conditions of Futures Client Agreement), understand it and agree to its terms; and
如本人/吾等欲開立期貨賬戶, 本人/吾等已參閱期交所免責聲明(載於期貨客戶協議書之條款及條件內), 並明白且同意其條款; 及
- I/We have read, understood and confirmed, and agree and accept to be bound by all the provisions of this Client Information Statement, the Client Agreement, Terms and Conditions applicable to the type of Account(s) that I/We applied to open with Telecom King Securities Limited.
本人/吾等已閱讀、明白和確認及同意本客戶資料表、客戶協議書及有關與電訊數碼證券有限公司申請開立的有關類別賬戶之一切有關條款, 並同意接受其約束。

Declaration for Data Protection 個人資料保障聲明

I/We have read and understood the contents of the Notice to Clients on the Personal Data (Privacy) Ordinance (“Notice”) of Telecom King Securities Limited (“TKSL”), and agree to its terms. I/We acknowledge receipt of a copy of the Notice.



本人/吾等已參閱及明白電訊數碼證券有限公司(“電訊數碼證券”)的<個人資料(私隱)條例>的客戶通知(“通知”),並且同意其條款。本人/吾等確認已收妥該通知的副本。


- I/We have hereby consent to the contents of the Notice and the use of my/our personal data by TKSL in direct marketing and I/We understand that I/We can exercise the opt-out right by notifying TKSL in writing from time to time.

本人/吾等謹此同意該通知的所有內容及同意電訊數碼證券使用本人/吾等的個人資料作直接促銷用途,並明白本人/吾等可以隨時以書面形式通知電訊數碼證券以行使本人/吾等的選擇權拒絕促銷。

- I/We do not consent to the use of my/our personal data in direct marketing for financial, securities, commodities, derivatives, investment, financing, insurance, wealth management and related services, products and facilities, reward, loyalty or privileges programmes or donations and contributions for charitable and/or non-profit making purposes.

本人/吾等不同意電訊數碼證券有限公司使用本人/吾等的個人資料於直接促銷金融、證券、商品、衍生產品、投資、信貸、保險、財富管理及相關服務、產品及設施,獎賞、年資獎勵或優惠計劃或慈善及/或非牟利目的而作出之捐款及捐贈。

<p>(Individual/ Primary Joint Account Holder) (個人 / 基本聯名賬戶持有人)</p> <p></p> <hr/> <p>Client Signature 客戶簽名</p> <p>Date日期 :</p>	<p>(Second Joint Account Holder) (第二聯名賬戶持有人)</p> <p></p> <hr/> <p>Client Signature 客戶簽名</p> <p>Date日期 :</p>
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<p>The undersigned* hereby certifies the signing of this Client Information Statement by the Client and the sighting of the related identity of the Client.</p> <p>以下簽署人* 特此核證客戶簽署本客戶資料表及見證客戶的有關身分證明文件。</p> <p>.....</p> <p>Signed and Certified by 見證人簽名及核證:</p> <p></p> <hr/> <p>Name of Witness 見證人姓名: _____</p> <p>Occupation 職業: _____</p> <p>CE No CE 號碼: _____</p> <p>Date 日期: _____</p> <p>Contact details 聯絡資料</p> <hr/>	<p>* 1 Where this Client Information Statement is not executed by the Client(s) in front of Telecom King Securities Limited’s employee or submitted with an appropriate cheque, this Client Information Statement must be certified by (a) any HK SFC licensed or registered person; (b) an affiliate of such person stated as (a); (c) a Justice of the Peace; or (d) a professional person such as a branch manager of a bank, a certified public accountant, a lawyer or a notary public.</p> <p>如本客戶資料表並非在電訊數碼證券有限公司的員工面前簽名或連同適當的支票 # 一併遞交,則本客戶資料表必須由(a) 任何香港證監會持牌人或註冊人士;(b) 以上(a) 之聯繫人士;(c) 太平紳士;或(d) 專業人士例如銀行分行經理、執業會計師、律師或公證人核證其簽名。</p> <p># A crossed cheque bearing your name shown in your identity document and drawn on your account with a licensed bank in Hong Kong with your same signature(s) as shown on this Form in favour of " Telecom King Securities Limited " for not less than HKD10,000. Your approved new account will not be activated until the cheque is cleared.</p> <p>客戶在香港的持牌銀行開立的帳戶並由客戶所簽發(該簽名須與此開戶表上的客戶簽名相符)並載有客戶在其身份證明文件上所顯示的姓名的劃線支票,而該支票抬頭人須為 " 電訊數碼證券有限公司 " 及其數額不得少於 10,000 港元。客戶被批核的新賬戶必須待支票兌現後才可使用。</p>
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Risk Disclosure Statement 風險披露聲明 (to be completed by the Company 由本公司填寫)

I/We, TKSL representative(s), hereby declare and confirm that I/we have provided the risk disclosure statement annexed hereto in a language of Client's Choice (English/Chinese); and
 本人/吾等為電訊數碼證券的註冊職員，並謹此聲明及確認本人/吾等已按照上述客戶所選擇的語言(英文或中文) 提供附於本表的風險披露聲明；及

The Client was invited to read the enclosed risk disclosure statement, to ask questions and take independent advice if the Client so wished.

客戶已被邀請閱讀附上之風險披露聲明書、提出問題及徵求獨立的意見（如客戶有此意見）。

Face to Face 面對面

Telephone 電話

Signature of Licensed Person 持牌人簽名	Name of Licensed Person 持牌人姓名	CE No. 中央編號	Date 日期	Recorded Line No 電話錄音號碼	Time 時間
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Approved and Accepted by 核准及接納:
Telecom King Securities Limited 電訊數碼證券有限公司

Authorized Signature 授權簽名: _____ Name of Authorized Person 授權人姓名: _____ Date 日期: _____



Checklist of Documentation for Account Opening

- Signed copy of Account Opening Form
已簽署之開戶表格
- Copy of Hong Kong Identity Card or Passport
香港身份證或護照副本
- Client Money Standing Authority (if applicable)
客戶款項常設授權 (如適用)
- Initial deposit (cheque in the amount not less than HK\$10,000 bearing the Client's name as shown in HKID Card issued by the Client and drawn on the Client's account with a licensed bank in Hong Kong) (if applicable)
客戶提交由客戶名下於香港註冊銀行開設的賬戶所發出不少於HK\$10,000並載有客戶在其身份證明文件上所顯示的姓名的支票 (如適用)
- Signed copy of FATCA Self-Certification Form for Individual Customer
已簽署之美國海外帳戶FATCA身分聲明書【個人版】
- Signed copy of W-8BEN / W9 (if applicable)
已簽署之W-8BEN / W9 (如適用)
- Certificate of loss of U.S. citizenship and proof of other nationality (if applicable)
美國國籍棄籍證明及其他國籍證明文件 (如適用)
- CRS Self-Certification Form - Individual
共同匯報標準 自我證明表格 - 個人
- Address proof within 3 months
最近三個月之住宅地址證明
- Margin Clients Money Standing Authority (if applicable)
保證金客戶常設授權 (如適用)
- HKIDR consent letter
投資者識別碼制度客戶同意書

	Handled by	Document Checked	Input by	Specimen Scanned	Data Checked	Approved by	Compliance
Initial							
Date							
Margin Loan Limit(HK\$)/ 孖展貸款限額港幣 _____							
Margin Annual Interest Rate/孖展年利率: _____ %							
Terms and Conditions of Client Agreement – Securities 證券客戶協議書之條款及條件			Terms and Conditions of First Schedule -Margin Trading 保證金客戶附件一之條款及條件		Terms and Conditions of Futures Client Agreement 期貨客戶協議書之條款及條件		
Version 版本：20191216			Version 版本：20191216		Version 版本：20191216		

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

(Rev. February 2014)

► For use by individuals. Entities must use Form W-8BEN-E.

OMB No. 1545-1621

Department of the Treasury
Internal Revenue Service

► Information about Form W-8BEN and its separate instructions is at www.irs.gov/formw8ben.

► Give this form to the withholding agent or payer. Do not send to the IRS.

Do NOT use this form if:

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

Instead, use Form:

Part I Identification of Beneficial Owner (see instructions)

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

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

9 I certify that the beneficial owner is a resident of _____ within the meaning of the income tax treaty between the United States and that country.

10 Special rates and conditions (if applicable—see instructions): The beneficial owner is claiming the provisions of Article _____ of the treaty identified on line 9 above to claim a _____ % rate of withholding on (specify type of income): _____

Explain the reasons the beneficial owner meets the terms of the treaty article: _____

Part III Certification

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

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income to which this form relates or am using this form to document myself as an individual that is an owner or account holder of a foreign financial institution,
- The person named on line 1 of this form is not a U.S. person,
- The income to which this form relates is:
 - (a) not effectively connected with the conduct of a trade or business in the United States,
 - (b) effectively connected but is not subject to tax under an applicable income tax treaty, or
 - (c) the partner's share of a partnership's effectively connected income,
- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country, and
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

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

Sign Here ►

Signature of beneficial owner (or individual authorized to sign for beneficial owner) Date (MM-DD-YYYY)

Print name of signer Capacity in which acting (if form is not signed by beneficial owner)

FATCA Self-Certification for Individual Client
美國海外帳戶 FATCA 身分聲明書【個人客戶】

INSTRUCTIONS FOR COMPLETING AND SUBMITTING THIS CERTIFICATION FORM

Please carefully read the entire form, including the accompanying Appendix for completing this certification form. Please consult with a U.S. immigration or tax lawyer or a U.S. tax specialist if necessary.

填寫說明

請仔細的讀完整份聲明書(含附件)後再填寫。如有必要，請諮詢美國移民律師、稅務律師或美國稅務專家。

I, (Name of Client) _____, hereby certify the following item I selected to be true and accurate:

本人(客戶名稱)_____聲明下述選擇關於本人的資訊屬實：

1. **I am a U.S. taxpayer (meeting one of the following two definitions), and I am willing to provide and sign a Form W-9 to demonstrate this identity.**

本人為美國納稅義務人(即符合下述任何一款定義)，且願意提供 W-9 以茲證明 FATCA 身分。

- A. I am a U.S. citizen and possess the right of permanent residence of the United States (includes, but not limited to, green card holder) as well as a U.S. taxpayer defined under relevant U.S. tax laws.

本人為美國公民、且具美國永久居留權(包括但不限於綠卡持有人)，亦屬其他美國稅法定義之納稅義務人。

- B. I am NOT a U.S. nonresident alien (or I am a U.S. resident not holding A, F, G, J, M, Q visa) **BUT** my days of stay in the United States meet the Substantial Presence Test that I physically present in the United States in the past three years and my number of days in the United States meets the following:

- (1) Exceeds 183 days in the current year; or
- (2) Exceeds 31 days but less than 183 days in the current year and the total number of days I was present during the past three year period, inclusive of the current year, exceeds 183 days, by counting:
 - i、 All the days I was present in the previous year, and
 - ii、 $\frac{1}{3}$ of the days I was present in the year prior to the previous year, and
 - iii、 $\frac{1}{6}$ of the days I was present in the year two years prior to the previous year.

本人符合下述可被認定為美國稅務居民的情形，即未持有 A、F、G、J、M、Q 等型簽證，仍於過去三年中於美國領域(50 州、哥倫比亞特區、領海及專屬經濟海域，不包括海外屬地)實際居住超過 183 天(當年度實際在美國天數超過 183 天；或當年度不滿 183 天但超過 31 天者，其當年度全部在美國天數、前一年度在美國天數的 1/3 及再前一年度在美國天數的 1/6 之總和超過 183 天)。

2. I am not a U.S. taxpayer (meeting one of the following two definitions):

本人非屬美國納稅義務人(即符合下述任何何一款定義)

- A. I am NOT a U.S. citizen, a U.S. resident (includes, but not limited to, green card holder), or a U.S. taxpayer defined otherwise under the relevant U.S. tax laws.

本人非屬美國公民、不具美國永久居留權(包括但不限於綠卡持有人),亦非其他美國稅法定義之納稅義務人。

- B. I am NOT a U.S. resident alien (holding A, F, G, J, M or Q visa) and my days of stay in the United States **DO NOT** meet the Substantial Presence Test.

本人不符合下述可被認定為美國稅務居民的情形:即未持有 A、F、G、J、M、Q 等型簽證,仍於過去三年中於美國領域(50 州、哥倫比亞特區、領海及專屬經濟海域,不包括海外屬地)實際居住超過 183 天(當年度實際在美國天數超過 183 天;或當年度不滿 183 天但超過 31 天者,其當年度全部在美國天數、前一年度在美國天數的 1/3 及再前一年度在美國天數的 1/6 之總和超過 183 天)。

I understand and agree that Telecom King Securities Limited (or hereafter “the Company”) may request additional information to verify the self-certifications hereunder, and provide such on behalf of me to the withholding agent(s) to prove my identity certified as a Non-U.S. taxpayer. I also have read **【Appendix I】 Foreign Account Tax Compliance Act of the United States**, understand and agree to its regulations and requirements.

本人了解並同意電訊數碼證券有限公司(以下簡稱 貴公司)為證實上開聲明內容得於必要時向本人索取相關證明文件;得代理本人向美國稅法的扣繳義務人出示本聲明書或交付本聲明書之複本以協助本人聲明美國內地稅法第四章身分。本人已詳細閱讀【附錄一】美國海外帳戶稅收遵循法條款,了解並同意其規定與要求。

I will inform the Company of any changes on contents made on this self-certification within 30 days of the occurrence, and I understand and agree that the Company has the power and right to verify the validity of the self-certification and modify the rights of the account holder accordingly, including but not limited to withholding U.S. taxes or closing the account according to Chapter 4 of the U.S. Internal Revenue Codes.

若上述聲明內容及其他開戶相關文件之資訊產生變動,而造成本開戶文件不正確或不完整時,本人至遲應於變更日起 30 天內主動通知 貴公司。本人了解並同意 貴公司有權合理認定上開聲明內容之真偽或變更情形而對本人帳戶權利為必要的處置行為,包括但不限於辦理美國稅扣繳或終止帳戶服務。

Signature 簽名

Date 日期 (MM/DD/YYYY)

客戶款項常設授權

致： 電訊數碼證券有限公司
香港九龍觀塘駿業街58號
電訊數碼大樓12樓1202室

根據《證券及期貨(客戶款項)規則》所設立的常設授權

本常設授權函件涵蓋一切由電訊數碼證券有限公司代表本人/吾等於香港收取或持有之客戶款項(「款項」)。

除另有界定或文義另有所指外，《證券及期貨條例》及《證券及期貨(客戶款項)規則》所定義的所有詞彙，與本常設授權所用者具相同涵義。

本函件授權電訊數碼證券有限公司及/或其有聯繫實體：

就電訊數碼證券有限公司及/或其聯繫公司認為合適的目的(包括但不限於解除本人/吾等對電訊數碼證券有限公司及/或其聯繫公司的義務或責任，不論此等義務和責任是確實或或然的、原有或附帶的、有抵押或無抵押的、共同或分別的)，於電訊數碼證券有限公司及/或其有聯繫實體所開立和維持的任何獨立帳戶之間調動任何數額之款項，無須通知本人/吾等。

本常設授權以開戶日期起計十二個月內有效，並可於下列情況予以續期，每次續期可有效十二個月：本人/吾等以書面同意續期；或電訊數碼證券有限公司於該授權有效期屆滿前不少於十四日向本人/吾等發出書面通知，而本人/吾等於該授權有效期屆滿前未有提出反對續期。

本人/吾等有權隨時以十四天書面通知電訊數碼證券有限公司撤銷此常設授權書。

本人/吾等承諾就電訊數碼證券有限公司及/或其有聯繫實體因為根據本常設授權而行事而招致或蒙受的所有成本、開支、負債、損失或損害賠償，向電訊數碼證券有限公司及/或其有聯繫實體作出彌償。

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歧義，本人/吾等同意應以英文本為準。

本函件已全部向本人/吾等解釋清楚。本人/吾等明白本函件的內容。

CLIENT MONEY STANDING AUTHORITY

To: Telecom King Securities Limited
Unit 1202, 12/F, Telecom Digital Tower,
58 Tsun Yip Street, Kwun Tong, Kowloon, Hong Kong.

Authority under Securities and Futures (Client Money) Rules

This letter of standing authority covers all client money received or held in Hong Kong by Telecom King Securities Limited on my/our behalf (“Monies”).

Unless redefined herein or the context requires otherwise, all expressions defined in the Securities and Futures Ordinance and the Securities and Futures (Client Money) Rules shall have the same meanings when used herein.

This letter authorizes Telecom King Securities Limited and/or its associated entity to: -
transfer any sum of Monies between any of the segregated accounts established and maintained by Telecom King Securities Limited and/or its associated entity for such purposes as Telecom King Securities Limited and/or its affiliates consider appropriate, including but not limited to satisfying my/our obligations or liabilities to Telecom King Securities Limited and/or its affiliates, whether such obligations and liabilities are actual, contingent, primary or collateral, secured or unsecured or joint or several, without notice to me/us.

This standing authority is given without prejudice to other authorities or rights which Telecom King Securities Limited may have in relation to the treatment of Monies.

This standing authority is **valid for a period of up to 12 months** from the date of account opening and may be renewed for subsequent periods of 12 months either with my/our written consent or if I/we am/are given a written notice from Telecom King Securities Limited at least 14 days prior to the expiry of such authority and do not object to the renewal of such authority before its expiry.

This standing authority may be revoked at any time on giving 14 days prior written notice to Telecom King Securities Limited.

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

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

This letter has been fully explained to me/us, and I/we understand the contents of this letter.

客戶簽署 / Client Signature:  _____

帳戶名稱 / Account Name: _____

身份證/護照號碼 / ID/Passport No.: _____

帳戶號碼 / Account Number: (香港證券帳戶 HK Securities Account) _____
(香港期貨帳戶 HK Futures Account) _____

本公司專用 FOR OFFICIAL USE ONLY				
	Signature verified by	Input by	Checked by	Compliance
Initial				
Date				

日期 / Date: _____