

公司戶口適用  
APPLICABLE FOR CORPORATE ACCOUNT

*Winner*

贏家國際證券有限公司  
WINNER INTERNATIONAL SECURITIES LIMITED

開立現金/保證金證券戶口  
Account Opening For Cash/Margin Account



**WINNER INTERNATIONAL SECURITIES LIMITED**  
**贏家國際證券有限公司**

**Appointment Form For Account Opening**  
**開戶預約單**

I/We apply for appointment of account opening –  
本人申請向贏家國際證券預約開戶，所開戶口類別（請勾選）

- Corporate Cash Account 公司現金證券戶口  
 Corporate Margin Account 公司保證金證券戶口

Client Information as below 主要個人資訊如下：

<b>Name 姓名</b>		<b>Contact No 聯繫電話</b>	
<b>E-Mail 電子郵件</b>			
<b>Please sign if reply by post 經郵寄方式回覆之客戶請簽名</b>			

Please sign and return this form via as below:

E-mail to [hkics@hkifsgroup.com](mailto:hkics@hkifsgroup.com) or

Fax to 852-28155652 or

By post to Room 1809-1811, 18/F, Great Eagle Centre, 23 Harbour Road, Wan Chai, Hong Kong

請閣下簽名後將此表格通過以下方式遞交：

電子郵件發送至 [hkics@hkifsgroup.com](mailto:hkics@hkifsgroup.com) 或

傳真至 852-28155652 或

郵寄至香港灣仔港灣道 23 號鷹君中心 18 樓 1809-1811 室。

**WINNER INTERNATIONAL SECURITIES LIMITED****贏家國際證券有限公司**

CE No 中央編號: AAB856

Room 1809-1811, 18/F, Great Eagle Centre, 23 Harbour Road, Wan Chai, HK

香港灣仔港灣道 23 號鷹君中心 18 樓 1809-1811 室

Tel 電話: (852)-2853-8000 Fax 傳真: (852)-2815-5652 Website 網址: www.hkifsgroup.com

Securities Account No:

證券戶口號碼:

Account Opening Date

開戶日期:

**ACCOUNT OPENING FORM – CORPORATE ACCOUNT****開戶表格-公司戶口**

Application for 申請戶口為:

 Cash Account 現金證券戶口 Margin Account 保證金證券戶口**Please Provide Following Documents Copy (Documents should be Certified by Certified Public Accountant / Solicitor / Banker)**

- Board Resolution for Account Opening
- Certified true copy of Certificate of Incorporation
- Certified true copy of Memorandum & Articles of Association or Other Constitutional Documents
- Business Registration Certificate
- Chart of Company Structure
- Annual Return and Form ND2A – Notice of Change of Company Secretary and Director
- Specimen signature of the Directors and authorized signatories
- Certified true copy of Signed Identity proof\* of All Director, Authorized Persons, Authorized Trading Persons, the individuals who hold 10% or more the ultimate beneficial interest of the Company.
- Certified true copy of Signed address proof\*\* of All Director, Authorized Persons, Authorized Trading Persons, the individuals who hold 10% or more the ultimate beneficial interest of the Company.
- Appropriate documents showing the current list of shareholder(s) and Director(s) (e.g. Register of Directors and Register of Members)
- Certificate of Incumbency (Issue date should be within the past 6 months)
- Bank Account Proof: Copy of a bank account statement /bank card within the last 3 months

**請提供以下文件副本(需由會計師事務所/律師事務所/銀行核證):**

- 公司授權開戶決議書
- 公司註冊證書核證副本
- 公司章程及任何修改章程的特別股東決議核證副本
- 商業登記證核證副本
- 公司結構圖
- 周年申報表及受委任的文件核證副本
- 董事及授權簽字人之簽名式樣
- 所有董事, 授權簽字人, 授權交易人士, 擁有百分之十或以上之公司最終權益擁有人之身份證明文件\*簽署及核證副本
- 所有董事, 授權簽字人, 授權交易人士, 擁有百分之十或以上之公司最終權益擁有人之住址證明\*\*核證副本
- 顯示當前股東和董事名單的適當文件(例如:董事名冊及成員名冊)
- Certificate of Incumbency (發出日期為最近 6 個月內)
- 銀行帳戶證明:請提供最近 3 個月的銀行結單/銀行卡副本

**Identity Proof Document of company (The following order of Priority): LEI Registration Document; (2) Certificate of Incorporation; (3) Business Registration Certificate; (4) Other Equivalent Documents**

公司身分證明文件(根據以下優先次序提供): (1)法律實體識別編碼 (LEI)登記文件; (2)公司註冊證明書; (3)商業登記證; 或(4)其他同等文件

\*Identity Proof (The following order of Priority): (1) Hong Kong Residents – Hong Kong ID Card; (2) Mainland China Residents – Mainland China ID Card and "Exit-entry Permit for Travelling to and from Hong Kong and Macao" OR Mainland China ID Card and Passport; (3) Other National Identification Doc.; (4) Overseas Residents – Passport

身份證明文件(根據以下優先次序提供): (1)香港居民-香港身份證; (2)中國居民-中國身份證及通行證或中國身份證及護照; (3)其他國民身份證明文件; (4) 海外居民-護照

\*\*Residential address proof should be public utilities bills or bank statements within the past three months (same address as "Client Information Statement")

住址證明: 必須為最近 3 個月之公用事業帳單或銀行月結單等 (必須與"開戶資料聲明"上填寫的住址相同)

PLEASE PROVIDE FOLLOWING DOCUMENTATION IF IN NEED 根據需要提供額外文件:

- APPLICATION FOR THE STOCK CONNECT NORTHBOUND TRADING (ONLY FOR CASH CLIENT)中華通北向交易服務申請 (只限現金客戶適用)
- Form W-8BEN (7-2017) Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and reporting (FOR NON U.S. CITIZENS)W-8BEN 稅表(個人)
- Form W-8BEN-E (7-2017) Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and reporting (Corporate)W-8BEN 稅表(公司)

**PART I : CLIENT INFORMATIONAL STATEMENT 第一部份: 客戶資料聲明****CORPORATE INFORMATION 公司資料**

Company Name (English):

公司名稱(英文):

Company Name (Chinese):

公司名稱(中文):

 1. Legal entity identifier (LEI) No. 法律實體識別編碼 (LEI): 2. Certificate of Incorporation No. 公司註冊證明書編號: 3. Business registration No. (Hong Kong) 香港商業登記編號: 4. Registered No. in country of incorporating / establishment 在註冊地的註冊編號:

Nature of client's business :客戶業務性質:

Nature of entity

公司性質

- Sole Proprietorship 獨資企業     Partnership 合夥企業     Fund/Asset Management 基金/資產管理  
 Non-Bank Financial Institution 非銀行金融機構     Financial Institution 金融機構     Unlisted Limited Company 非上市有限公司  
 Listed Company 上市公司-(Country of Listing 上市國家 \_\_\_\_\_ Stock Code 股票代碼 \_\_\_\_\_)  
 Others, please specify 其他:請註明 \_\_\_\_\_

Date of Incorporation

註冊日期:

Country of Incorporation

註冊國家:

Registered office in country of incorporation / establishment:

註冊地的註冊辦事處地址:

Country 國家:

Postal Code 郵政編號:

Phone No.電話號碼:

Facsimile No 傳真號碼:

Principal place of business (if different):總辦事處地址 (如有異於上述):

Country 國家:

Postal Code 郵政編號:

Phone No.電話號碼:

Facsimile No 傳真號碼:

**GENERAL INFORMATION 一般資料:**

Settlement Bank A/C : 交收銀行帳戶:

**【Client shall not settle any trading transaction with third-party cheques】【客戶不能以第三者支票交收】**

Bank Name 銀行名稱: \_\_\_\_\_ Bank A/C No. 銀行戶口號碼: \_\_\_\_\_ Currency 貨幣: \_\_\_\_\_

**Attention 注意: All credit balance are deposited into the Client's Securities Account 所有結餘存放於客戶證券戶口內**

E-mail 電郵:

**Method of receiving confirmations and statements 買賣單據及結單收取方式: (Please choose one) (只選一項)** By E-mail 電郵  By Post (Postal fee will be charged) 郵寄(郵寄形式將收取費用)**Statement Language 買賣單據及結單語言:**  Traditional Chinese 繁體中文  Simplified Chinese 簡體中文  English 英文**INFORMATION DISCLOSURES 資料披露:**

Are you a member or participant registered with any of SEHK/HKFE Participant?

客戶是否為任何香港聯合交易所/期貨交易所的註冊會員或參與者?

 No 否 Yes 是(Please give details:請詳述:\_\_\_\_\_)

Does any director, substantial shareholder, ultimate beneficiary or Authorized Person of the Client have any relationship with the director or employee of our company?

客戶之任何董事、主要股東、最終實益持有人或獲授權人士是否與本公司之董事或僱員有任何關係? :

 No 否 Yes 是(Name of Director or Employee 董事或僱員姓名: \_\_\_\_\_, Relationship 關係: \_\_\_\_\_)

Is any director, substantial shareholder, ultimate beneficiary or Authorized Person of the Client a director or an employee or an accredited person of any SEHK/HKFE Participant or any licensed or registered person of the Securities and Futures Commission?

客戶之任何董事、主要股東、最終實益持有人或獲授權人士是否香港聯合交易所/期貨交易所參與者或證監會之持牌人或註冊人之董事、僱員或認可人士?

 No 否 Yes 是(Please provide Employer's Consent Letter and specify) (請提供僱主同意書及述明具體: )

Name of Licensed Corporation/Registered Institution

持牌法團或註冊機構名稱: \_\_\_\_\_ CE Number 中央編號: \_\_\_\_\_

Is the Client, his/her spouse, partner, child, parent, spouse or partner of his/her child, or a close associate of the Client entrusted or has been entrusted with a prominent public function, includes a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a stated-owned enterprise and an important political party official?

客戶、客戶之配偶、伴侶、子女或父母, 或客戶的子女的配偶或伴侶, 或與客戶關係密切的人, 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

Name of PEP 政治人物姓名: \_\_\_\_\_ Position of PEP 政治人物職位: \_\_\_\_\_

Country the PEP belongs 政治人物所屬國家: \_\_\_\_\_ PEP relationship with you 政治人物與你之關係: \_\_\_\_\_

**Corporate Account Opening - DECLARATION OF FATCA INFORMATION 開立公司戶口 - 海外帳戶稅收合規法案聲明****YES 是 NO 否**

1. Any substantial shareholder (10% or above shareholding) a U.S. citizen/resident?

本公司的具影響力股東(持有 10%或以上股權)是否美國公民/居民?

 

2. Is your corporation used as an investment vehicle (e.g. a hedge fund)? 公司是否被用作投資工具(如對沖基金)?

If yes, any shareholder of your corporation a U.S. citizen/resident? 如是, 本公司的任何一位股東是否美國公民/居民?

  

3. Is this a trust account? 此戶口是否屬於信託戶口?

If yes, is the beneficiary of this account a U.S. citizen/resident? 如是, 此戶口的受益人是否美國公民/居民?

  **Corporate Structure 公司結構:**

The individuals who hold 10% or more the ultimate beneficial interest of the Company (not applicable to public listed companies)

擁有百分之十或以上之公司最終權益擁有人 (上市公司不用填寫)

Name 姓名: \_\_\_\_\_ Address 地址: \_\_\_\_\_ ID No./Passport No and Country of Issue 身份證/護照號碼及簽發國家 \_\_\_\_\_ % of Shareholding 所持股份百分比 \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

The following individuals are authorized on behalf of the Client to give instructions in relation to the operation of the account.

以下人士為授權代表客戶給予關於戶口運作的指示

English Name 英文姓名 Chinese Name 中文姓名 ID No./Passport No and Country of Issue 身份證/護照號碼及簽發國家 Contact No 聯絡電話 Specimen Signatures 簽署樣式

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**FINANCIAL SUMMARY 財務狀況:**

Annual Income (In HK\$) 全年收入 (以港幣計) :	Financial Year 財政年度
Annual Net Profit (In HK\$) 全年淨利潤 (以港幣計) :	Paid Up Capital (In HK\$) 繳足股本 (以港幣計) :
Liquid Assets (In HK\$) 流動資產 (以港幣計) :	Net Asset Value (In HK\$) 資產淨值 (以港幣計) :
Source of Funds 資金來源 <input type="checkbox"/> Business income 業務收益 <input type="checkbox"/> Sales of Property 售出物業 <input type="checkbox"/> Shareholder Funds 股東資金 <input type="checkbox"/> Investment Return 投資收益 <input type="checkbox"/> Others, please specify 其他:請註明 _____ (tick more than one box, if appropriate 如有需要, 可勾選多於一項 )	
Average Size of Trades (in HK\$) 預期平均交易金額 (以港幣計) <input type="checkbox"/> \$10,000 - \$50,000 <input type="checkbox"/> \$50,001 - \$200,000 <input type="checkbox"/> \$200,001 - \$1,000,000 <input type="checkbox"/> \$1,000,000 or above 以上	
Origins of Source of Funds 資金來源地 <input type="checkbox"/> HK 香港 <input type="checkbox"/> China 中國 <input type="checkbox"/> Taiwan 台灣 <input type="checkbox"/> US 美國 <input type="checkbox"/> Others, please specify 其他:請註明 _____ (tick more than one box, if appropriate 如有需要, 可勾選多於一項 )	

**PART II : ACCOUNT OPENING QUESTIONNAIRE 第二部份: 開戶問卷**

Below information is collected according to the "know-your-client requirements" and Paragraph 5.1A of Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission of the Securities and Futures Commission of Hong Kong.  
本公司根據香港證券及期貨事務監察委員會所制定之《認識你的客戶要求》及《操守準則》內有關衍生產品的規定而索取有關資料。

**【Please "✓" on the most appropriate choice and fill in information】【請在下列最適當的選擇旁加上 "✓" 及填寫相關資料】**

**INVESTMENT EXPERIENCE AND RISK TOLERANCE 投資經驗及風險承受程度**

<b>Years of Investment Experience in 投資經驗年期:</b>	
(a) Securities 證券	<input type="checkbox"/> NIL 無 <input type="checkbox"/> 1 - 2 <input type="checkbox"/> 3 - 5 <input type="checkbox"/> 6 - 10 <input type="checkbox"/> >10
(b) Derivative Warrants 衍生權證	<input type="checkbox"/> NIL 無 <input type="checkbox"/> 1 - 2 <input type="checkbox"/> 3 - 5 <input type="checkbox"/> 6 - 10 <input type="checkbox"/> >10
(c) Callable Bull/Bear Contracts 牛熊證	<input type="checkbox"/> NIL 無 <input type="checkbox"/> 1 - 2 <input type="checkbox"/> 3 - 5 <input type="checkbox"/> 6 - 10 <input type="checkbox"/> >10
(d) Index Futures 指數期貨	<input type="checkbox"/> NIL 無 <input type="checkbox"/> 1 - 2 <input type="checkbox"/> 3 - 5 <input type="checkbox"/> 6 - 10 <input type="checkbox"/> >10
(e) Exchanged Traded Fund (ETF)交易所買賣基金	<input type="checkbox"/> NIL 無 <input type="checkbox"/> 1 - 2 <input type="checkbox"/> 3 - 5 <input type="checkbox"/> 6 - 10 <input type="checkbox"/> >10
(f) Structured Products 結構性產品	<input type="checkbox"/> NIL 無 <input type="checkbox"/> 1 - 2 <input type="checkbox"/> 3 - 5 <input type="checkbox"/> 6 - 10 <input type="checkbox"/> >10
(g) Bonds 債券	<input type="checkbox"/> NIL 無 <input type="checkbox"/> 1 - 2 <input type="checkbox"/> 3 - 5 <input type="checkbox"/> 6 - 10 <input type="checkbox"/> >10
<b>1. Investment Objectives 投資目的</b>	
<input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Arbitrage 套戥 <input type="checkbox"/> Capital Gain 資本增值 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Dividend Income 股息收入	
<input type="checkbox"/> Other, please specify 其他,請說明 _____	
<b>2. Expected Investment Period 預計投資時間</b>	
<input type="checkbox"/> Short Term(Less than 6 Months)短期(少於 6 個月) <input type="checkbox"/> Medium Term(6-12 Months) 中期(6-12 個月) <input type="checkbox"/> Long Term (over 1 year) 長期(1 年以上)	
<b>4. Client Risk Tolerance 客戶可承受風險</b>	
<input type="checkbox"/> Low 低 <input type="checkbox"/> Medium 中 <input type="checkbox"/> High 高	

**KNOWLEDGE OF DERIVATIVE PRODUCTS 衍生產品認識**

<b>5. Have you ever undergone training or attended courses on below investment products in the past 5 years?</b> 客戶在過去 5 年內有否曾接受有關投資產品的培訓或修讀相關課程? <input type="checkbox"/> *No 否 <input type="checkbox"/> Yes 是 Name of the academic institution or financial institution:學術或金融機構名稱: _____ Name of the courses/Seminars 培訓或修讀相關課程之名稱 _____ Date of attending the above courses/seminars 培訓或修讀以上相關課程之日期 _____
<b>6. Have you ever had work experience related to investment products?</b> 客戶在現時或過去與投資產品有關的工作經驗?? <input type="checkbox"/> *No 否 <input type="checkbox"/> Yes 是 Company Name 公司名稱: _____ Nature of Business & Job Position 行業及職位名稱: _____ Years of experience 工作年資 _____
<b>7. The Client has executed five or more transactions within the past three years in derivative products, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Index Futures, Structured Products, and Exchange Traded Funds, etc.</b> 客戶於過去 3 年曾執行 5 次或以上有關衍生產品的交易, 例如: 衍生權證、牛熊證、指數期貨、結構性產品及交易所買賣基金等。 <input type="checkbox"/> *No 否 <input type="checkbox"/> Yes 是(Please give details:請詳述: _____)

If your selection is "NO" on the above Part II, the following registered Licensed Person based on you lack of knowledge and investment experience of derivative products, that have fully and clearly explained the characteristics and/or related risks disclosure of derivative products to you.  
如在這部份你選擇是「否」, 下列註冊持牌人基於閣下對衍生產品缺乏認識及相關投資經驗, 已充份向閣下清楚解釋衍生產品的特點 / 或相關風險的披露。

Name of Registered

Licensed Person

註冊持牌人姓名: \_\_\_\_\_

IN PERSON 現場

PHONE 透過電話

Date 日期: \_\_\_\_\_

**PART III: SIGNATURE CARD****第三部份: 印鑑咭****Company Name:**

公司名稱:

**SPECIMEN AUTHORISED SIGNATURE(S)授權簽署式樣**

(1)  Name:姓名: ID / Passport No.身份證/護照號碼:	(2)  Name:姓名: ID / Passport No.身份證/護照號碼:
(3)  Name:姓名: 身份證/護照號碼:	(4)  Name:姓名: ID / Passport No.身份證/護照號碼:
(5)  Name:姓名: ID / Passport No.身份證/護照號碼:	(6)  Name:姓名: ID / Passport No.身份證/護照號碼:

**(Cross out blanks spaces) (請將不用之簽署式樣空格刪去)**

SIGNING INSTRUCTION:簽署規則:  <input type="checkbox"/> Any of the above signature(s)/together with the company chop will be effective. 上列 式憑任何 式簽署/連同印章始為有效。  <input type="checkbox"/> Others 其他 _____	SPECIMEN OF BUSINESS CHOP/SEAL (APPLICABLE FOR CORPORATE ACCOUNT) 公司印章 (公司客戶適用)
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**PART VI: ANTI MONEY LAUNDERING & ANTI TERRORIST FINANCING QUESTIONNAIRE****第四部份: 防止洗黑錢及防止恐怖份子籌資活動問卷**

PLEASE ANSWER PART (a). ANSWER PART(b)if in need. 請答(a), 根據需要選答(b). Note: If the answer to any of the following questions is "No", the result of the risk assessment would be "High". 註: 【如以下任何一項問題的答案是“否”的話, 風險評估將視之為“高”】	<b>Corporate Account</b> 公司客戶
<b>(a) For Local/ Overseas Client (i.e. Residents of Hong Kong/ Non residents of Hong Kong)</b> 本地/海外客戶(如香港居民/非本港居民)	<b>YES 是      NO 否</b>
A. Are your company not linked to politically exposed persons? (Politically exposed person - individual who is or has been entrusted with prominent public function, e.g. head of state/government, senior politician, senior executive of government-owned corporation, important political party official, etc) 貴公司並沒有與政界人士有聯繫? (政界人士: 指目前或以往曾經擔任重要公職的人士, 如國家或政府的首長, 資深政客, 政府高級官員和重要政黨官員等)	<input type="checkbox"/> <input type="checkbox"/>
B. Is the nature of your company's business not particularly susceptible to money laundering risk? (For example, money changer or casino business that handles large amount of cash) 貴公司的業務性質並不是特別容易蒙受較高的洗黑錢風險? (舉例:如會接觸大量現金往來,找換業或博彩業)	<input type="checkbox"/> <input type="checkbox"/>
C. Does your company's money might not be arising from or related to proceeds of crimes? 貴公司的金錢來源並不是源於或涉及非法所得?	<input type="checkbox"/> <input type="checkbox"/>
<b>(b) For client whose business involves handling third party assets (e.g. fund manager, stockbrokers), please answer the following questions.</b> 如貴公司的業務涉及處理第三者的資產(如基金經理, 股票經紀), 請回答以下的問題。	
A. Do your company (including foreign branches and subsidiaries, if any) have established written policies and implemented internal procedures and controls to combat money laundering? 貴公司(包括外國的分行及子公司)是否已制訂書面政策, 並執行內部程序和管理, 以打擊洗黑錢的活動?	<input type="checkbox"/> <input type="checkbox"/>
B. Are there documented procedures of your institution for reporting suspicious activities and transactions to the appropriate authorities? 貴公司所屬的機構, 就舉報可疑的活動和交易是否已確立程序向適當的監控組織報告?	<input type="checkbox"/> <input type="checkbox"/>
C. Has your institution established policies and procedures to ensure that reasonable measures are taken to obtain information about the true identity of its customers, and are these records retained for a period of time specified by the applicable law? 貴公司所屬的機構有否已制訂政策與程序, 確保已採用合理方法去取得客戶真正身份的資料, 並將有關資料於適用的法律所規定時限內予以保留?	<input type="checkbox"/> <input type="checkbox"/>

\*\*\* For client whose nature of business is Financial Institutions, please completed the form "Anti-Money Laundering & Anti-Terrorist Financing Questionnaire (Financial Institutions)". 如貴公司的業務性質是金融機構, 請另完成"防止洗黑錢及防止恐怖份子籌資活動問卷 (金融機構)". \*\*\*

**PART V: DECLARATION OF FATCA INFORMATION****第五部份: 海外帳戶稅收合規法案聲明****Related to the U.S. Foreign Account Tax Compliance Act ("FATCA")有關美國之《海外帳戶稅收合規法案》**

Director 公司董事    Authorized person of Corporate 公司授權代表    Shareholder 公司股東    Beneficial Owner 受益人

Name 姓名: \_\_\_\_\_

Identity Document Type: 身份證明文件種類:  HK ID 香港身份證    PRC ID 中國身份證    Passport/Travel Doc. 護照/旅遊證件    Others 其他: \_\_\_\_\_

ID Card No. / Passport No. 身份證明文件號碼: \_\_\_\_\_

Nature of Business: 工作行業: \_\_\_\_\_ Job Position 工作職位: \_\_\_\_\_

Country of Residence 居住國家: \_\_\_\_\_ Country of Birth: 出生地: \_\_\_\_\_

Signature 簽署

1. Are you a U.S. Resident? 閣下是否美國居民?	YES 是 <input type="checkbox"/>	NO 否 <input type="checkbox"/>
2. Are you a U.S. Citizen? 閣下是否美國公民?	<input type="checkbox"/>	<input type="checkbox"/>
3. Do you hold a U.S. Permanent Resident Card (Green Card)? 閣下是否持有美國永久居民身份證(綠卡)?	<input type="checkbox"/>	<input type="checkbox"/>

**Related to the U.S. Foreign Account Tax Compliance Act ("FATCA")有關美國之《海外帳戶稅收合規法案》**

Director 公司董事    Authorized person of Corporate 公司授權代表    Shareholder 公司股東    Beneficial Owner 受益人

Name 姓名: \_\_\_\_\_

Identity Document Type: 身份證明文件種類:  HK ID 香港身份證    PRC ID 中國身份證    Passport/Travel Doc. 護照/旅遊證件    Others 其他: \_\_\_\_\_

ID Card No. / Passport No. 身份證明文件號碼: \_\_\_\_\_

Nature of Business: 工作行業: \_\_\_\_\_ Job Position 工作職位: \_\_\_\_\_

Country of Residence 居住國家: \_\_\_\_\_ Country of Birth: 出生地: \_\_\_\_\_

Signature 簽署

1. Are you a U.S. Resident? 閣下是否美國居民?	YES 是 <input type="checkbox"/>	NO 否 <input type="checkbox"/>
2. Are you a U.S. Citizen? 閣下是否美國公民?	<input type="checkbox"/>	<input type="checkbox"/>
3. Do you hold a U.S. Permanent Resident Card (Green Card)? 閣下是否持有美國永久居民身份證(綠卡)?	<input type="checkbox"/>	<input type="checkbox"/>

**Related to the U.S. Foreign Account Tax Compliance Act ("FATCA")有關美國之《海外帳戶稅收合規法案》**

Director 公司董事    Authorized person of Corporate 公司授權代表    Shareholder 公司股東    Beneficial Owner 受益人

Name 姓名: \_\_\_\_\_

Identity Document Type: 身份證明文件種類:  HK ID 香港身份證    PRC ID 中國身份證    Passport/Travel Doc. 護照/旅遊證件    Others 其他: \_\_\_\_\_

ID Card No. / Passport No. 身份證明文件號碼: \_\_\_\_\_

Nature of Business: 工作行業: \_\_\_\_\_ Job Position 工作職位: \_\_\_\_\_

Country of Residence 居住國家: \_\_\_\_\_ Country of Birth: 出生地: \_\_\_\_\_

Signature 簽署

1. Are you a U.S. Resident? 閣下是否美國居民?	YES 是 <input type="checkbox"/>	NO 否 <input type="checkbox"/>
2. Are you a U.S. Citizen? 閣下是否美國公民?	<input type="checkbox"/>	<input type="checkbox"/>
3. Do you hold a U.S. Permanent Resident Card (Green Card)? 閣下是否持有美國永久居民身份證(綠卡)?	<input type="checkbox"/>	<input type="checkbox"/>

**Related to the U.S. Foreign Account Tax Compliance Act ("FATCA")有關美國之《海外帳戶稅收合規法案》**

Director 公司董事    Authorized person of Corporate 公司授權代表    Shareholder 公司股東    Beneficial Owner 受益人

Name 姓名: \_\_\_\_\_

Identity Document Type: 身份證明文件種類:  HK ID 香港身份證    PRC ID 中國身份證    Passport/Travel Doc. 護照/旅遊證件    Others 其他: \_\_\_\_\_

ID Card No. / Passport No. 身份證明文件號碼: \_\_\_\_\_

Nature of Business: 工作行業: \_\_\_\_\_ Job Position 工作職位: \_\_\_\_\_

Country of Residence 居住國家: \_\_\_\_\_ Country of Birth: 出生地: \_\_\_\_\_

Signature 簽署

1. Are you a U.S. Resident? 閣下是否美國居民?	YES 是 <input type="checkbox"/>	NO 否 <input type="checkbox"/>
2. Are you a U.S. Citizen? 閣下是否美國公民?	<input type="checkbox"/>	<input type="checkbox"/>
3. Do you hold a U.S. Permanent Resident Card (Green Card)? 閣下是否持有美國永久居民身份證(綠卡)?	<input type="checkbox"/>	<input type="checkbox"/>

*Please copy this page to complete if more than 4 person and sign on the supplementary page.  
如多於 4 人, 請複印此頁填寫, 並在附加頁上簽署。*



## PART VI : A - TAX STATUS - SELF-CERTIFICATION FORM (ENTITY)

## 第六部份: 甲 - 稅務狀況 - 自我證明表格(實體)

## Identification of Entity Account Holder 實體帳戶持有人的身分識辨資料

Legal Name of Entity or Branch 實體或分支機構的法定名稱 \_\_\_\_\_

Jurisdiction of Incorporation or Organisation \_\_\_\_\_

實體成立為法團或設立所在的稅務管轄區 \_\_\_\_\_

## Entity Type 實體類別

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

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

## Controlling Persons/ Beneficial Owner (Complete this part if the entity account holder is a passive NFE)

控權人/受益人(如實體帳戶持有者是主動非財務實體，填寫此部)

Indicate the name of all controlling person(s) /Beneficial Owner(s) of the account holder in the table below. If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official.

就帳戶持有人，填寫所有控權人/受益人的姓名在列表內。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。

(1)	(2)	(3)
(4)	(5)	(6)

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

居留司法管轄區及稅務編號或具有等同功能的識辨編號（以下簡稱「稅務編號」）

● Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder's TIN for each jurisdiction indicated. **Indicate all (not restricted to three) jurisdictions of residence.**

提供以下資料，列明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 3 個）居留司法管轄區。

● If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.

如帳戶持有者是香港稅務居民，稅務編號是其香港身份證號碼。

● If a TIN is unavailable, provide the appropriate reason A, B or C: 沒有提供稅務編號，必須填寫合適的理由：

**Reason 理由 A**—The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

**Reason 理由 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.

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

**Reason 理由 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.

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。

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

Client Signature and Company Chop

客戶簽署及公司蓋章

Name 姓名: \_\_\_\_\_

Signature Capacity 簽署身份: \_\_\_\_\_

Date 日期: \_\_\_\_\_

**WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).**

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



## PART VI : B - TAX STATUS - SELF-CERTIFICATION FORM (CONTROLLING PERSON/ BENEFICIAL OWNER)

## 第六部份: 乙-稅務狀況 - 自我證明表格(控權人/受益人)

*Please copy this Part to complete if more than 1 person of Controlling Person/ Beneficial Owner and sign on the supplementary page.*  
**如多於 1 人為控權人/受益人, 請複印此部份填寫, 並在附加頁上簽署。**

## Identification of Controlling Person/ Beneficial Owner

## 控權人/受益人的身份識辨資料

<input type="checkbox"/> Mr.先生 <input type="checkbox"/> Miss 小姐 <input type="checkbox"/> Mrs.女士	Chinese Name: 中文姓名
Nationality 國籍:	English Name: 英文姓名:
Country of Birth 出生地:	Date of Birth 出生日期: D 日 M 月 Y 年
Identity Document Type:身份證明文件種類: <input type="checkbox"/> Hong Kong ID 香港身份證 <input type="checkbox"/> PRC ID 中國身份證 <input type="checkbox"/> Passport/Travel Doc.護照/旅遊證件 <input type="checkbox"/> Others 其他:_____	
Place of Issue: 發出國家:	ID Card No. / Passport No.: 身份證明文件號碼:
Residential Address:客戶住址:	
Country and City:國家及城市:	
Correspondence Address:客戶通訊地址:	
Country and City:居住國家及城市:	

## The Entity Account Holder(s) of which you are a Controlling Person/ Beneficial Owner

## 你作為控權人/受益人的實體帳戶持有人

Enter the name of the entity account holder of which you are a Controlling Person/ Beneficial Owner.填寫你作為控權人/受益人的實體帳戶持有人的名稱。

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

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

## 居留司法管轄區及稅務編號或具有等同功能的識辨編號 (以下簡稱「稅務編號」)

- Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the Controlling Person/ Beneficial Owner is a resident for tax purposes and (b) the Controlling Person's / Beneficial Owner's TIN for each jurisdiction indicated. **Indicate all (not restricted to three) jurisdictions of residence.**

提供以下資料, 列明控權人/受益人的居留司法管轄區, 亦即控權人/受益人的稅務管轄區 (香港包括在內) 及該居留司法管轄區發給控權人/受益人的稅務編號。列出所有 (不限於 3 個) 居留司法管轄區。

- If the Controlling Person/ Beneficial Owner is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.

如控權人/受益人是香港稅務居民, 稅務編號是其香港身份證號碼。

- If a TIN is unavailable, provide the appropriate reason A, B or C:沒有提供稅務編號, 必須填寫合適的理由:

**Reason 理由 A**—The jurisdiction where the Controlling Person/ Beneficial Owner is a resident for tax purposes does not issue TINs to its residents.

控權人/受益人的居留司法管轄區並沒有向其居民發出稅務編號。

**Reason 理由 B**—The Controlling Person/ Beneficial Owner is unable to obtain a TIN. Explain why the Controlling Person/ Beneficial Owner is unable to obtain a TIN if you have selected this reason.

控權人/受益人不能取得稅務編號。如選取這一理由, 解釋控權人/受益人不能取得稅務編號的原因。

**Reason 理由 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.

控權人/受益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/受益人披露稅務編號。

Name of Controlling Person/ Beneficial Owner 控權人/受益人姓名	Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號, 填寫 理由 A、B 或 C	Explain why the Controlling Person/ Beneficial Owner is unable to obtain a TIN if you have selected Reason B 如選取理由 B, 解釋控權人/受益人不能取得稅務編號的原因

**Type of Controlling Person/ Beneficial Owner**

**控權人/受益人類別**

Tick the appropriate box to indicate the type of Controlling Person/ Beneficial Owner for each entity stated as above.

就上述所載的每個實體，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/受益人類別。

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

Client Signature and Company Chop

客戶簽署及公司蓋章

Name 姓名: \_\_\_\_\_

Signature Capacity 簽署身份: \_\_\_\_\_

Date 日期: \_\_\_\_\_

**WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).**

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

**PART VII: LETTER OF CLIENT CONSENT - THE HONG KONG INVESTOR IDENTIFICATION REGIME (HKIDR) AND OVER-THE-COUNTER SECURITIES TRANSACTIONS REPORTING REGIME (OTCR)**

**第七部份：香港投資者識別碼制度及場外證券交易匯報制度之客戶同意書**

**LETTER OF CLIENT CONSENT - THE HONG KONG INVESTOR IDENTIFICATION REGIME (HKIDR) AND OVER-THE-COUNTER SECURITIES TRANSACTIONS REPORTING REGIME (OTCR)**

**香港投資者識別碼制度及場外證券交易匯報制度之客戶同意書**

I/We hereby declared that:

本人 / 吾等特此聲明：

I /We acknowledge and agree that as following purposes of use of personal data  
本人/吾等明白並同意以下個人資料使用目的

I /We disagree that as following purposes of use of personal data  
本人/吾等未能同意以下個人資料使用目的

*(If disagree as following purposes of use of personal data, the company will not or will no longer be able to, provide to me/us with securities related services 如未能同意以下個人資料使用目的，本公司不會或不能夠再向本人/吾等提供證券相關服務)*

The company (WINNER INTERNATIONAL SECURITIES LIMITED) may collect, store, process, use, disclose and transfer personal data relating to me/us (including my/our CID and BCAN(s)) as required for the company to provide services to me/us in relation to securities listed or traded on the Stock Exchange of Hong Kong (SEHK) and for complying with the rules and requirements of SEHK and the Securities and Futures Commission (SFC) in effect from time to time. Without limiting the foregoing, this includes -

本公司(贏家國際證券有限公司)為了向本人/吾等提供與在香港聯合交易所(聯交所)上市或買賣的證券相關的服務，以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會(證監會)的規則和規定，本公司可收集、儲存、處理、使用、披露及轉移與本人/吾等有關的個人資料(包括本人/吾等的客戶識別信息及券商客戶編碼)。在不限制以上的內容的前提下，當中包括——

(a) Disclosing and transferring my/our personal data (including CID and BCAN(s)) to SEHK and/or the SFC in accordance with the rules and requirements of SEHK and the SFC in effect from time to time;

根據不時生效的聯交所及證監會規則和規定，向聯交所及 / 或證監會披露及轉移本人/吾等的個人資料(包括客戶識別信息及券商客戶編碼)；

(b) Allowing SEHK to: (i) collect, store, process and use my/our personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK; and (ii) disclose and transfer such information to the relevant regulators and law enforcement agencies in Hong Kong (including, but not limited to, the SFC) so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets; and (iii) use such information for conducting analysis for the purposes of market oversight; and

允許聯交所：(i)收集、儲存、處理及使用本人/吾等的個人資料(包括客戶識別信息及券商客戶編碼)，以便監察和監管市場及執行《聯交所規則》；(ii)向香港相關監管機構和執法機構(包括但不限於證監會)披露及轉移有關資料，以便他們就香港金融市場履行其法定職能；及(iii)為監察市場目的而使用有關資料進行分析；及

(c) Allowing the SFC to: (i) collect, store, process and use my/our personal data (including CID and BCAN(s)) for the performance of its statutory functions including monitoring, surveillance and enforcement functions with respect to the Hong Kong financial markets; and (ii) disclose and transfer such information to relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements.

允許證監會：(i)收集、儲存、處理及使用本人/吾等的個人資料(包括客戶識別信息及券商客戶編碼)，以便其履行法定職能，包括對香港金融市場的監管、監察及執法職能；及(ii)根據適用法例或監管規定向香港相關監管機構和執法機構披露及轉移有關資料。

(d) Providing BCAN to Hong Kong Securities Clearing Company Limited (HKSCC) allowing HKSCC to: (i) retrieve from SEHK (which is allowed to disclose and transfer to HKSCC), process and store your CID and transfer your CID to the issuer's share registrar to enable HKSCC and/or the issuer's share registrar to verify that you have not made any duplicate applications for the relevant share subscription and to facilitate IPO balloting and IPO settlement; and (ii) process and store your CID and transfer your CID to the issuer, the issuer's share registrar, the SFC, SEHK and any other party involved in the IPO for the purposes of processing your application for the relevant share subscription or any other purpose set out in the IPO issuer's prospectus.

向香港中央結算有限公司(香港結算)提供券商客戶編碼以允許香港結算：(i)從聯交所取得、處理及儲存允許披露及轉移給香港結算屬於閣下的客戶識別信息，及向發行人的股份過戶登記處轉移閣下的客戶識別信息，以便核實閣下未就相關股份認購進行重複申請，以及便利首次公開招股抽籤及首次公開招股結算程序；及(ii)處理及儲存閣下的客戶識別信息，及向發行人、發行人的股份過戶登記處、證監會、聯交所及其他公開招股的有關各方轉移閣下的客戶識別信息，以便處理閣下對有關股份認購的申請，或為載於公開招股發行人的招股章程的任何其他目的。

I /We also agree that despite any subsequent purported withdrawal of consent by me/us, my/our personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.

本人/吾等亦同意，即使本人/吾等其後宣稱撤回同意，本公司在本人/吾等宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移本人/吾等的個人資料以作上述用途。

Failure to provide the company with my/our personal data or consent as described above may mean that the company will not, or will no longer be able to, as the case may be, carry out your trading instructions or provide to me/us with securities related services (other than to sell, transfer out or withdraw your existing holdings of securities, if any).

本人/吾等如未能向本公司提供個人資料或上述同意，可能意味著本公司不會或不能夠再(視情況而定)執行本人/吾等的交易指示或向本人/吾等提供證券相關服務，惟出售、轉出或提取本人/吾等現有的證券持倉(如有)除外。

*Note: The terms "BCAN" and "CID" used in this clause shall bear the meanings as defined in paragraph 5.6 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.*

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

**Relevant Regulated Intermediary ("RRI") required to complete the form "Letter of Confirmation and Undertaking of Client Identification Information for Hong Kong Investor Identification Regime ("HKIDR")"**  
**相關受規管中介人需另外填寫“香港投資者識別碼制度 ("HKIDR") 客戶識別信息確認及承諾書”表格**

**PART VIII: GROUP OF RELATED MARGIN CLIENTS ("GRMC") (APPLICABLE FOR MARGIN ACCOUNT)**

**第八部份：一組關連保證金客戶聲明 (只適用於開立保證金客戶)**

I/We am/are going to open a margin finance account with your company and hereby declare that:  
本人 / 吾等 與貴公司開立保證金戶口，及特此聲明：

I/we am/are not included in the meaning of GRMC. 本人 / 吾等不包括在關連保證金客戶的含意

I/we am/are included in the meaning of GRMC as follow :本人 / 吾等包括以下關連之保證金客戶或組別的含意：

As spouse of another margin client 作為另一個保證金客戶的配偶 -  
Account Name 戶口姓名： \_\_\_\_\_ Account No.戶口號碼： \_\_\_\_\_

I/we am/are in control, either alone or with my/our spouse, of 35% or more of the voting rights of your margin client(s) :-

本人 / 吾等是單獨或與配偶控制貴公司的一名或各保證金客戶 35%或以上表決權:-  
Account Name 戶口姓名： \_\_\_\_\_ Account No.戶口號碼： \_\_\_\_\_  
Account Name 戶口姓名： \_\_\_\_\_ Account No.戶口號碼： \_\_\_\_\_  
Account Name 戶口姓名： \_\_\_\_\_ Account No.戶口號碼： \_\_\_\_\_

We are members of the same group of the following companies :

吾等是以下公司的同一公司集團的成員：  
Account Name 戶口姓名： \_\_\_\_\_ Account No.戶口號碼： \_\_\_\_\_  
Account Name 戶口姓名： \_\_\_\_\_ Account No.戶口號碼： \_\_\_\_\_  
Account Name 戶口姓名： \_\_\_\_\_ Account No.戶口號碼： \_\_\_\_\_

**PART IX : AUTHORISATION LETTER FROM MARGIN CLIENTS (APPLICABLE FOR MARGIN ACCOUNT)**

**第九部份：保證金客戶授權函件 (只適用於開立保證金客戶)**

**AUTHORISATION LETTER FROM MARGIN CLIENTS**

**保證金客戶授權函件**

**Authority under Cap. 571(H) of the Securities and Futures Rules**

**證券及期貨規則第 571(H)**

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

本授權書是有關一切由 閣下代表本人 / 吾等購入或持有之證券。

This letter authorises you to:-

本授權書授權 閣下：

- (a) Deposit the relevant securities with an authorized financial institution as collateral for financial accommodation provided to you; or  
將有關的證券作為對 閣下提供財務通融的抵押品而存放於任何認可機構；或
  - (b) Lend or deposit the securities to an intermediary as defend in schedule 1 of the Securities and Futures Rules Cap. 571 or its associated entity as collateral for the discharge and satisfaction of your settlement obligations and liabilities; or  
將該等證券借予或存放於證券及期貨規則第 571 章附表 1 所說明的中介人或該有聯繫實體，作為解除 閣下在交收上的義務和清償 閣下在交收上的法律責任的抵押品；或
  - (c) Deposit the securities with the recognized clearing house or another intermediary licensed or registered for dealing in futures contracts as collateral for the discharge and satisfaction of your settlement obligations and liabilities.  
將該等證券存放於認可之結算所或其他獲發牌或獲註冊進行期貨合約交易的中介人，作為解除 閣下在交收上的義務和清償 閣下在交收上的法律責任的抵押品。
- You may do any of these things without giving me/us notice.  
閣下可以做以上任何事情而無須通知本人 / 吾等。
  - This authority does not cover any consideration I/we must pay or be paid for your borrowing, lending or depositing any of my/our securities. Any consideration must be set in a separate agreement between us.  
本授權書並不涉及就 閣下借、貸或存放本人 / 吾等任何證券而須支付或收取的任何代價。任何代價均須由本人 / 吾等與 閣下另行簽約訂明。
  - You are accountable to me/us for the return of any securities borrowed, lent, or deposited under this authority.  
有關根據本授權書而借、貸或存放之證券， 閣下仍須向本人 / 吾等負責歸還。
  - I/We understand that a third party may have rights to my/our securities, which you must satisfy before my/our securities can be returned to me/us.  
本人 / 吾等明白本人 / 吾等的證券可能受制於第三者之權利， 閣下須於全數抵償該等權利後，方可將本人 / 吾等的證券退回本人 / 吾等。
  - This authority is valid for period of 12 months only, and will expire on \_\_\_\_\_ or sooner upon written revocation received by you.  
本授權書的有效期只為十二個月，並於 \_\_\_\_\_ 或 閣下收訖本人 / 吾等撤銷通知書起無效。
  - I/We understand this authority can be renewed for one or more further period in accordance with the procedure set out in S.4(3) of the Securities and Futures Rules (Cap 571(H)).  
本人 / 吾等明白本授權書可根據證券及期貨規則第 571(H)內第 4(3)條中說明的程序續期一次或多於一次。
  - This letter has been fully explained to me/us, and I/we understand the contents of this letter.  
本函件已全部向本人 / 吾等解釋清楚。本人 / 吾等明白本函件的內容。

Client Signature and Company Chop  
客戶簽署及公司蓋章

Client Name 客戶名稱 \_\_\_\_\_

Account No.戶口號碼 \_\_\_\_\_

Date 日期 \_\_\_\_\_

**PART X: PERSONAL GUARANTEE**

**第十部份: 個人擔保書**

**PERSONAL GUARANTEE**

TO: WINNER INTERNATIONAL SECURITIES LIMITED

Dear Sirs,

Re : The Account of \_\_\_\_\_ ("the Client") with WINNER INTERNATIONAL SECURITIES LIMITED IN CONSIDERATION of your at my request agreeing to accept \_\_\_\_\_ ("the Client") as a client of you and to deal on the Client's behalf in Hong Kong Exchanges and Clearing Limited and/or any other recognized futures exchanges in the world, I, \_\_\_\_\_ of \_\_\_\_\_

(Residential Address) [Holder of HKID/ PRC ID/ Passport\* : \_\_\_\_\_] hereby GUARANTEE as principal debtor and not merely as surety the due and punctual payment of all money as may from time to time due to you by the Client and hereby DECLARE that this is a continuing guarantee and shall be binding on my executors or administrators thereof and notwithstanding anything in law or in equity to the contrary any indulgence waiver or time granted to the Client by you shall not discharge me from any obligation under this guarantee.

IN WITNESS whereof I, the said \_\_\_\_\_ hereunto set my hand and seal this \_\_\_\_\_ (Date).

Signature(s)

Witness by

Interpreted by

Name:

Signature(s)

Signature(s)

ID/Passport NO.:

Name:

Name:

ID/Passport NO.:

ID/Passport NO.:

\* Delete as appropriate

**個人擔保書**

致 : 贏家國際證券有限公司

敬啟者:

根據贏家國際證券有限公司同意接受 \_\_\_\_\_ (以下簡稱"客戶") 作為你的客戶, 並代表客戶處理香港交易及結算所有有限公司和/或任何其他公認的世界上的股票交易所之交易及事務, 我 \_\_\_\_\_, 地址 \_\_\_\_\_, [ 持有香港 / 中國身份證號碼或護照號碼

\*: \_\_\_\_\_ ], 特此保證為主債務人, 而不是僅僅作為擔保人, 確保準時以適當方式支付所有款項。同時, 特此聲明, 這是一個不間斷保證, 並對我的遺囑執行人或管理員有效, 以及不論你方授予客戶在法律上或權益上授予客戶任何程度或時間上的要求, 我據此項而產生的任何擔保義務應具有約束力。

以昭信守, 我, \_\_\_\_\_, 在此簽名於 \_\_\_\_\_ 年 \_\_\_\_\_ 月 \_\_\_\_\_ 日。

簽署

見證人:

解釋人:

姓名:

簽署

簽署

身份證/護照號碼:

姓名:

姓名:

身份證/護照號碼:

身份證/護照號碼:

\*刪去不適用者



## PART XI: CLIENT DECLARATION, ACKNOWLEDGMENT AND SIGNATURE

### 第十一部分：客戶聲明，確認及簽署

#### I/We declare and acknowledge that:

#### 本人/吾等聲明及確認：

- I/We hereby confirm that all information (including the Client Informational Statement, Account Opening Questionnaire, Signature Card, Anti Money Laundering & Anti-Terrorist Financing Questionnaire, Declaration Of FATCA Information, Tax Status - Self-Certification Form (Entity), Tax Status - Self-Certification Form (Controlling Person/ Beneficial Owner), Letter Of Client Consent - The Hong Kong Investor Identification Regime (HKIDR) and Over-The-Counter Securities Transactions Reporting Regime (OTCR), Group Of Related Margin Clients ("GRMC")(If applicable), Authorisation Letter From Margin Clients(If applicable) and Personal Guarantee) written on the Account Opening Form are complete, true and correct.  
本人/吾等確認開戶申請書所載之資料(包括客戶資料聲明, 開戶問卷, 印鑑咭, 防止洗黑錢及防止恐怖份子籌資活動問卷, 海外帳戶稅收合規法案聲明, 稅務狀況 - 自我證明表格(實體), 稅務狀況 - 自我證明表格(控權人/受益人), 香港投資者識別碼制度及場外證券交易匯報制度之客戶同意書, 一組關連保證金客戶聲明(如適用), 保證金客戶授權函件(如適用)及個人擔保書)內的資料屬真實、完整及正面。
- I/We, the undersigned Account Applicant, confirm that I/We have understood the risks of derivative products clearly. I/We fully understand the underlying risk(s) associated with/arising from trading the relevant derivative product before I/We make the decision to invest in the relevant derivative products, and I am/We are willing and able to assume all the risks associated with/arising from trading the relevant derivative products. 本人/吾等已清楚明白衍生產品的相關風險。本人/吾等作出投資決定前已充分認識交易相關投資產品所附帶的風險, 並願意承擔交易相關投資產品的所有風險。
- I/We also undertake to notify our company immediately of any changes to the above information. Our company is entitled to rely fully on such information and statement for all purposes.  
除非本公司接到更改有關聲明的內容的書面通知, 本公司有權在任何用途上完全依賴這些資料及聲明。
- I/We hereby accept and agree to be bound by the Terms and Conditions. Our Company may amend the Terms and Conditions from time to time by giving me/us notice of such amendment. Unless our company has received my/our request to close the account(s), if I/we continue to use the account(s) I/we shall be deemed to have accepted such changes.  
本人/吾等特此接納及同意受條款及條件約束。本公司有權不時修訂條款及條件, 並向本人/吾等發出通知。除非本公司收到本人/吾等通知取消帳戶, 否則本人/吾等繼續使用帳戶即表示本人/吾等接納該修訂條款及條件。
- Our company has the right at any time to contact anyone, including my/our banks, brokers or any credits agency, for the purpose of verifying the client informational statement.  
本公司有權隨時聯絡任何人, 包括本人/吾等之銀行、經紀或任何信貸調查機構, 以求証實此客戶資料聲明內所載之內容。
- I/We confirm that I/We received, read and understood the (a) Uniform Cash Client's Agreement In Plain Language or Uniform Margin Client's Agreement (b) Risk Disclosure Statement (c) Client Data Privacy Policy in the language at my/our choice.  
本人/吾等確認已收到、閱讀並明白(a) 按本人/吾等選擇的語言提供的淺白語言統一現金客戶協議書或統一保證金客戶協議書(b)風險披露聲明書及(c)客戶資料私隱政策。
- I/We hereby confirm I/We have been invited to read the Risk Disclosure Statement, to ask questions and to take independent advice if I/We wish.  
本人/吾等確認已獲邀請細閱風險披露聲明書, 提出問題及徵求獨立的意見(如本人/吾等有此意願)。

#### Related to the U.S. Foreign Account Tax Compliance Act ("FATCA")

#### 有關美國之《海外帳戶稅收合規法案》

- I/We hereby declare and confirm that the information provided above is true, accurate and complete and that the beneficiary of the Account with the Company shall be me.  
本人 / 吾等聲明及確認以上所提供的資料是真實、準確以及完整及本人之戶口的受益人為本人。
- I/We hereby consent for WISL (the Company) or any of its affiliates (collectively "the Group") to share my information with domestic and U.S. regulators or tax authorities where necessary to establish my tax liability in the U.S.  
本人 / 吾等同意贏家國際證券有限公司(本公司)或其任何成員機構(統稱「集團」)可向本地及美國的監管機構或稅務機構提供本人資料以確立本人在美國的稅務責任。
- Where required by domestic or U.S. regulators or tax authorities, I/We consent and agree that the Group may withhold from the Account such amounts as may be required according to applicable laws, regulations and directives.  
因應本地或美國的監管機構或稅務機構需要, 本人 / 吾等准許並同意集團可按適用的法律、法規和指令在本人 / 吾等帳戶中扣留相關所須的金額款項。
- If there is any change in any of the above information or my U.S. citizenship or resident status or beneficiary of the Account, I/We shall notify the Company of the changes within 30 calendar days.  
如以上資料或美國公民、居民身份或戶口受益人有任何改動, 本人 / 吾等會於三十日內通知本公司有關改動。
- In consideration of the Company processing my application (which may or may not lead to opening the Account), I/We undertake and agree that I/We will not hold the Company liable for any loss, damages and expenses incurred and suffered arising from the Company sharing my information and/or withholding an amount from the Account as mentioned above.  
就本公司處理本人 / 吾等申請開立戶口之過程(無論成功或失敗開立戶口), 本人 / 吾等承諾及同意本人不會要求本公司負責因本公司執行於以上提及之提供資料及/或扣留金額款項而引致的任何損失、損害及支出。

#### Tax Status - Self-Certification Form (Applicable for Entity and or Controlling Person/ Beneficial Owner)

#### 稅務狀況 - 自我證明表格(適用於實體及或控權人/受益人)

- This is a self-certification form provided by an account holder and or Controlling Person/ Beneficial Owner to a reporting financial institution (our company) for the purpose of automatic exchange of financial account information. The data collected may be transmitted by our company to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.  
這是由帳戶持有人及或控權人/受益人向申報財務機構(本公司)提供的自我證明表格, 以作自動交換財務帳戶資料用途。本公司可把收集所得的資料交給稅務局, 稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- An account holder and or Controlling Person/ Beneficial Owner should report all changes in his/her tax residency status to our company.  
如帳戶持有人及或控權人/受益人的稅務居民身分有所改變, 應盡快將所有變更通知本公司。
- I/We acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder maybe 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 / 吾等知悉及同意, 財務機構可根據《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文, (a) 收集本表格所載資料並可備存作自動交換財務帳戶資料用途及 (b) 把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報, 從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。



4. I /We certify that I/We am/are authorized to sign for the account holder and or Controlling Person/ Beneficial Owner of all the account(s) to which this form relates.  
本人 / 吾等證明，就與本表格所有相關的帳戶，本人 / 吾等獲帳戶持有人及或控權人/ 受益人授權簽署本表格。
5. I /We undertake to advise our company of any change in circumstances which affects the tax residency status of the individual identified of this form or causes the information contained herein to become incorrect, and to provide our company 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，以致影響本表格所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人 / 吾等會通知本公司，並會在情況發生改變後 30 日內，向本公司提交一份已適當更新的自我證明表格。
6. I /We declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.  
本人 / 吾等聲明就本人 / 吾等所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。
7. WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).  
警告: 根據《稅務條例》第 80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級 (即\$10,000) 罰款。

Client's signature / Company Chop and authorized signature(s)  
客戶簽署及公司蓋章

Name of authorized for and behalf of the Client:  
客戶簽署代表人姓名:  
Account No: 戶口號碼:

In the presence of:  
Witness name 見證人姓名:-:  
Occupation 職業:  
Address 地址:  
Date 日期:

Witness Signature 見證人簽署

## APPROVAL FOR ACCOUNT OPENING

### 開戶批核

#### DECLARATION BY THE REGISTERED PERSON

##### 由註冊人士作出之聲明

I, \_\_\_\_\_, registered with the Securities and Futures Commission ("SFC") as a dealing in securities Licensed Responsible Officer / Licensed Representative\* (CE number \_\_\_\_\_) have fully explained the contents of this risk disclosure statement to the above client.

本人 \_\_\_\_\_ 為證券及期貨事務監察委員會 (「證監會」) 註冊的證券交易的持牌負責人員 / 持牌代表\* (CE 編號 \_\_\_\_\_) 經已以他 / 他們明白的語言，向上列簽署之客戶全部清楚解釋此風險披露聲明書的內容。

Signed by  
registered person:  
註冊人簽署

Date:  
日期:

\* Delete where inappropriate\* 請刪去不適用者

SIGNED by  
for and on behalf of  
WINNER INTERNATIONAL SECURITIES LIMITED  
由 贏家國際證券有限公司  
確認及接受

Authorised Signature/Business Chop 授權簽名 / 公司印章

In the presence of:  
Witness name 見證人姓名:-:  
Occupation 職業:  
Address 地址:  
Date 日期:

Witness Signature 見證人簽署