

公司賬戶申請表 **Corporate Account Application Form**

開戶文件 Account Opening Documents

- ☐ 公司賬戶開戶表格 Account application form
 - 客戶資金常設授權 Client money standing authority#
 - 衍生工具產品及複雜產品常識問卷 Derivatives and Complex Products Knowledge Questionnaire#
 - 客戶投資風險評估問卷 Client Investment Risk Profiling Questionnaire
 - 自我證明表格-實體/控權人 Self-certification form – Entity / Controlling Person
 - 表格 Form W-8BEN-E / Form W-8IMY
- ☐ 客戶同意收集及處理個人資料 Client Consent for Collection and Handling of Personal Data
- ☐ 專業投資者問卷（適用於專業投資者及/或資產管理專戶）
Professional Investor Assessment (for PI and/or Asset Management Investment Account)
- ☐ 投資管理協議（適用於資產管理專戶）
Investment Management Agreement (for Asset Management Investment Account)
- ☐ 投資顧問協議 Investment Advisory Agreement (for Investment Advisory Account)
- ☐ 打擊洗錢調查問卷 AML Questionnaire (if applicable)
- ☐ 常設授權（適用於保證金客戶） Standing authority (for Margin Account)
- ☐ 擔保書(如適用) Deed of Guarantee (if applicable)

所需文件 Required Documents

- ☐ 公司註冊證書 Certificate of incorporation*
- ☐ 組織章程大綱 Memorandum of Association / 組織章程細則 Articles of Association*
- ☐ 董事會決議案 Board Resolution
- ☐ 公司擁有權及架構圖 Details of the ownership and structure group chart*
- ☐ 公司地址證明（過去 3 個月內發出的近期公用事業賬單、政府部門通訊、銀行戶口月結單） Proof of office address (copy of utility bills, correspondence with HKSAR, monthly bank statements issued within the last 3 months)
- ☐ 交收銀行資料副本 Copy of client's settlement bank account
- ☐ 所有董事、授權人士、實益擁有人（擁有 10%或以上股權）身份證及／或護照副本。Copies of ID/passport of all directors, authorised persons, beneficial owners (shareholding of 10% or more)
- ☐ 所有董事、授權人士、實益擁有人（擁有 10%或以上股權）的住址證明（過去 3 個月內發出的近期公用事業賬單、流動電話結單、銀行戶口月結單或信用卡月結單副本）。Proof of residential address of all directors, authorised persons, beneficial owners (shareholding of 10% or more) (recent copy of utility bills, mobile phone statements, monthly bank account statements or credit card statements issued within the last 3 months)
- ☐ 資產證明 Asset Adequacy and proof (for PI)*
- ☐ 近期財務報表 Most recent financial report (if any)*

香港公司額外所需文件 Additional required documents for Hong Kong Company

- ☐ 商業登記證 Business registration certificate*
- ☐ 公司註冊處發出的公司報告 Company report (Form NAR1 / Form D2) obtained from the Hong Kong Companies Registry*

海外公司額外所需文件 Additional required documents for Overseas Company

- ☐ 公司註冊代理於過去 6 個月內發出的經核證為真實副本的職權證明書商業登記證 Certified copy of Certificate of incumbency (or equivalent) issued by the company's registered agent within the past 6 months*
- ☐ 董事登記冊 Register of Directors*
- ☐ 成員登記冊 Register of Members*

內地註冊公司所需文件 Additional required documents for Mainland Registered Company

- ☐ 營業執照副本*
- ☐ 稅務登記證副本*

致申請人 To applicants	
<input type="checkbox"/>	帳戶服務條款及細則 Terms and conditions of account
<input type="checkbox"/>	收費表 Fee schedule
<input type="checkbox"/>	衍生工具產品及複雜產品基本常識 General knowledge of derivatives products/complex products
<input type="checkbox"/>	衍生工具產品及複雜產品常識問卷答案 Answers to the derivatives and complex products knowledge questionnaire

* 請提供核實真本: 須經由董事、銀行的分行經理、律師、註冊會計師、特許秘書、註冊公證人或本公司持牌人士認證。

* Please provide Certified true copy: Certified by Directors, Branch Manager in licensed bank, Lawyer, Certified Public Accountant, Chartered Secretary, Notary Public or our Licensed Representative

其餘文件副本可由本公司職員認證。

Other required documents certified by our staff.

不適用於外部資產管理服務客戶 *Not applicable to EAM clients*

請以下列其中一種途徑提交閣下的申請：

Submit your application by one of the following channels:

- 攜同本賬戶申請表及所有證明文件至香港中環德輔道中 141 號中保集團大廈 27 樓 2709 室。閣下的簽署須經我們的持牌代表見證。Bring this Account Application Form and all supporting documents to our office at Room 2709, 27/F, China Insurance Group Building, 141 Des Voeux Road Central, Hong Kong. Your signature has to be witnessed by our licensed representative.
- 簽署賬戶申請表，連同所有證明文件及以「富喬鑫資本(香港)有限公司」為收款人的最少為 10,000 港元的支票，郵寄至我們的辦事處。支票須自閣下於香港持牌銀行的戶口發出，其上應載有與閣下身份證或護照所示相同的姓名，且簽署須與賬戶申請表相同。閣下的賬戶須待支票結算後方可啟動。Sign the Account Application Form, mail it to our office together with all the supporting documents AND a cheque payable to “JMC Capital HK Limited” for a minimum of HKD 10,000. The cheque should bear your name as shown on your Hong Kong ID card(s) or Passport(s) drawn on your account with a Hong Kong licensed bank and an identical signature to that on the Account Application Form. Your Account will not be activated until the cheque is cleared.
- 如閣下身在香港境外，請簽署賬戶申請表，經由香港持牌人士、太平紳士、銀行的分行經理、律師、註冊會計師、特許秘書或公證人見證，將賬戶申請表連同所有證明文件郵寄至我們的辦事處。證明文件亦應由上列人士過目及核證。見證人須填寫賬戶申請表末處的見證人聲明部分。If you are outside Hong Kong, sign the Account Application Form, as witnessed by a Hong Kong licensed person, a Justice of the Peace, branch manager of a bank, lawyer, certified public accountant, chartered secretary or Notary Public, and mail it to our office together with all supporting documents. Supporting documents should also be sighted and certified by the types of persons listed above. The witness must complete the Declaration by witness section at the end of the Account Application Form.

JMC Capital HK Limited
富喬鑫資本(香港)有限公司

JMC Capital HK Limited (CE No.: BMR281)
富喬鑫資本(香港)有限公司(中央編號:BMR281)

For Internal Use 內部使用:

Client A/C No(Cash/Margin A/C): _____

Client A/C No(Discretionary A/C): 9D- _____

Client Identity No : _____

Related Account(s) : _____

AE Code : _____

NOTE 注意

1. Please complete all relevant sections in BLOCK LETTERS. 請以正楷填寫本表格 2. Please tick appropriate box, where applicable. 請在適用的方格內加上剔(√)號
3. Any amendment should be crossed out and initialed. 任何更改必須刪劃後在旁加簽 4. The defined terms in the "Terms and Conditions of Securities Service" are adopted in the account opening form unless the context otherwise requires. 除非上下文另有規定, 否則本表格採納“證券服務條款及細則”的定義詞語

ACCOUNT OPENING FORM (CORPORATE) 開戶申請表格(公司帳戶)

1	ACCOUNT TYPE 帳戶類別 (Please tick appropriate box 請在適當空格加√)	
<input type="checkbox"/> Wealth Management Investment Account 財富管理專戶 () Cash Securities account 現金證券帳戶 () Margin Securities Account 保證金證券帳戶 <input type="checkbox"/> Asset Management Investment Account 資產管理專戶 <input type="checkbox"/> Investment Advisor Account 投資顧問專戶		
<input type="checkbox"/> Hong Kong Market 香港市場 <input type="checkbox"/> Global Markets 環球市場: _____ () Apply for internet trade 申請網上交易		
2	Statement and general correspondence sent to (please tick one only) 接收結單和一般函件方式(請僅選擇其一)	
<input type="checkbox"/> E-mail 電郵 <input type="checkbox"/> Residential Address 住宅地址 (HKD\$200 per month will be deducted from your account 每月從帳戶扣取港幣 \$200 費用) <input type="checkbox"/> Correspondence Address 通訊地址 (HKD\$200 per month will be deducted from your account 每月從帳戶扣取港幣 \$200 費用)		
3	CORPORATE INFORMATION 公司資料 (Please tick appropriate box. 請在適當空格加√)	
Company Name (Chinese) 公司名稱 (中文):		Company Name (English) 公司名稱 (英文):
Type of Company 公司類別: <input type="checkbox"/> State-owned company 國有企業 <input type="checkbox"/> Limited company 有限公司 <input type="checkbox"/> Listed Company 上市公司 <input type="checkbox"/> Not-for-profit organization 非盈利性組織 <input type="checkbox"/> Partnerships and unincorporated bodies 合夥及非法團團體		
Business Registration Number 商業登記號碼:		Certificate of Incorporation Number 公司註冊號碼:
Date of Incorporation 註冊日期:		Nature of Business 業務性質:
Registered Address 註冊地址:		Registered Country 註冊地國家:
Business Address 營業地址:		Business Country 營業地國家:
Correspondence Address 通訊地址:		E-mail 電郵:
Office Telephone Number 辦公室電話號碼 / Fax Number 傳真號碼:		Mobile Phone Number 手提電話號碼:

4	DIRECTOR INFORMATION 董事資料						
	Name 姓名	Residential Address 住宅地址	Date of Birth (DD/MM/YY) 出生日期 (日/月/年)	ID Card / Passport No. 身份證/護照號碼	Nationality 國籍		
(1)							
(2)							
(3)							
(4)							
(5)							
5	ULTIMATE BENEFICIAL OWNER INFORMATION 最終實益擁有人資料						
	Name 姓名	Residential Address 住宅地址	Date of Birth(DD/MM/YY) 出生日期 (日/月/年)	ID Card / Passport No. 身份證/ 護照號碼	Nationality 國籍	Family Relationship with Other Shareholder(s) 與其他股東存在家屬關係	Shareholding (%) 所佔股權 (%)
(1)							
(2)							
(3)							

6	FINANCIAL AND INVESTMENT EXPERIENCE 客戶財務資料及投資經驗 (Please tick appropriate box 請在適當空格加√) (Required by the SFC 證監會規定填寫)																						
Issued Share Capital 已發行股本		Price Per Share 每股面值																					
Annual Sales (HK\$) 年營業額(港幣)		Annual Net Profit (HK\$) 年淨利潤(港幣)																					
Net Assets (HK\$) 淨資產(港幣)		Investable Current Assets (HK\$) 可用作投資的流動資產(港幣)																					
Initial Source of Funds 初始資金來源: <input type="checkbox"/> Business Income 營業收入 <input type="checkbox"/> Investment Return 投資收益 <input type="checkbox"/> Rental Income 租金 <input type="checkbox"/> Sale of Property / Assets 出售物業/資產 <input type="checkbox"/> Savings 儲蓄 <input type="checkbox"/> Inheritance 遺產 <input type="checkbox"/> Others, please specify 其他, 請註明: _____																							
Ongoing Source of Wealth or Income 持續的財富及收入來源: : <input type="checkbox"/> Business Income 營業收入 <input type="checkbox"/> Investment Return 投資收益 <input type="checkbox"/> Rental Income 租金 <input type="checkbox"/> Sale of Property / Assets 出售物業/資產 <input type="checkbox"/> Savings 儲蓄 <input type="checkbox"/> Inheritance 遺產 <input type="checkbox"/> Others, please specify 其他, 請註明: _____																							
Investment Objective 投資目標: <input type="checkbox"/> Capital Preservation 保本 <input type="checkbox"/> Capital Growth 資本增值 <input type="checkbox"/> Dividend 股息 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Others, please specify 其他, 請註明: _____																							
Typical Transactions to be Undertaken 作出的典型交易:																							
Anticipated Level of Activity (Please specify the annual investment turnover and the number of transactions per year.) 預計戶口活動 (請註明年度投資金額及每年的交易次數)																							
Investment Experience 投資經驗: <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <tr> <td style="width: 30%;">Hong Kong Stocks 香港上市股票</td> <td style="width: 20%;">Year(s) 年</td> <td style="width: 30%;">Futures 期貨</td> <td style="width: 20%;">Year(s) 年</td> </tr> <tr> <td>A Shares A 股</td> <td>Year(s) 年</td> <td>Options 期權</td> <td>Year(s) 年</td> </tr> <tr> <td>Overseas Stocks 海外股票</td> <td>Year(s) 年</td> <td>Funds 基金</td> <td>Year(s) 年</td> </tr> <tr> <td>FX / Commodities 外匯 / 商品</td> <td>Year(s) 年</td> <td>Bonds 債券</td> <td>Year(s) 年</td> </tr> <tr> <td>Structured Products 結構性產品</td> <td>Year(s) 年</td> <td>Others, please identify 其他, 請註明: _____</td> <td>Year(s) 年</td> </tr> </table>				Hong Kong Stocks 香港上市股票	Year(s) 年	Futures 期貨	Year(s) 年	A Shares A 股	Year(s) 年	Options 期權	Year(s) 年	Overseas Stocks 海外股票	Year(s) 年	Funds 基金	Year(s) 年	FX / Commodities 外匯 / 商品	Year(s) 年	Bonds 債券	Year(s) 年	Structured Products 結構性產品	Year(s) 年	Others, please identify 其他, 請註明: _____	Year(s) 年
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7	KNOWLEDGE OF STRUCTURED OR DERIVATIVES PRODUCT(S) 結構性或衍生產品的認識 (Please tick appropriate box 請在適當空格加✓) (Required by the SFC 證監會規定必須填寫)																																												
<p>A. Do you need to trade structured or derivatives products? 貴公司是否需要投資結構性或衍生產品? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是,</p> <p>B. Do you ever have any trading experience in Structured or Derivatives Product(s)? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是,</p> <p>If yes, please state the Structured or Derivatives Products you traded. 貴公司以往曾否有買賣結構性或衍生投資產品? 如是, 請提供您以往有買賣的結構性或衍生投資產品:</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 25%;">Structured or Derivatives Products 結構性或衍生投資產品</th> <th style="width: 25%;">Trading experience (If yes, please tick appropriate box.) 交易/投資經驗 (如有, 請在空格加✓)</th> <th style="width: 25%;">Structured or Derivatives Products 結構性或衍生投資產品</th> <th style="width: 25%;">Trading experience (If yes, please tick appropriate box.) 交易/投資經驗 (如有, 請在空格加✓)</th> </tr> </thead> <tbody> <tr> <td>Callable Bull / Bear Contracts 牛熊證</td> <td style="text-align: center;"><input type="checkbox"/></td> <td>Futures and Options 期貨或期權</td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>Derivatives Warrants 衍生權證(窩輪)</td> <td style="text-align: center;"><input type="checkbox"/></td> <td>Hedge Funds / Private Equity Fund 對沖基金/私募股權基金</td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>Equity Linked Instruments / Notes 股票掛鉤產品/票據</td> <td style="text-align: center;"><input type="checkbox"/></td> <td>OTC Derivatives 場外衍生工具</td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>Exchange Traded Convertible Bonds 交易所買賣換股債券</td> <td style="text-align: center;"><input type="checkbox"/></td> <td>Exchange Traded Funds 交易所買賣基金</td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td>Others 其他</td> <td colspan="3">Please identify: 請註明: _____</td> </tr> </tbody> </table> <p>C. Have you executed five or more transactions in structured or derivative products within the past three years? 貴公司曾否在以往三年內執行過五宗或以上結構性或衍生產品交易? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是</p> <p>D. Have you ever undergone training or attended courses or seminars on structured or derivatives product(s)? 貴公司以往是否曾接受有關結構性或衍生產品的培訓或修讀相關課程? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, I have attended the following training / courses / seminars 是,本公司過往曾接受培訓或修讀以下課程:</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 60%;">Name of Training / Courses / Seminars 課程名稱</th> <th style="width: 40%;">Date 受培訓或修讀日期</th> </tr> </thead> <tbody> <tr> <td>1)</td> <td></td> </tr> <tr> <td>2)</td> <td></td> </tr> </tbody> </table> <p>E. Do you have current or previous work experience related to structured or derivatives product(s)? 貴公司現在或以往的工作經驗是否與結構性或衍生性產品相關? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify 有,請註明:</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 40%;">Employer's Name 僱主名稱</th> <th style="width: 20%;">Department 部門</th> <th style="width: 20%;">Title 職位</th> <th style="width: 20%;">Date of Employed 受聘日期</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>				Structured or Derivatives Products 結構性或衍生投資產品	Trading experience (If yes, please tick appropriate box.) 交易/投資經驗 (如有, 請在空格加✓)	Structured or Derivatives Products 結構性或衍生投資產品	Trading experience (If yes, please tick appropriate box.) 交易/投資經驗 (如有, 請在空格加✓)	Callable Bull / Bear Contracts 牛熊證	<input type="checkbox"/>	Futures and Options 期貨或期權	<input type="checkbox"/>	Derivatives Warrants 衍生權證(窩輪)	<input type="checkbox"/>	Hedge Funds / Private Equity Fund 對沖基金/私募股權基金	<input type="checkbox"/>	Equity Linked Instruments / Notes 股票掛鉤產品/票據	<input type="checkbox"/>	OTC Derivatives 場外衍生工具	<input type="checkbox"/>	Exchange Traded Convertible Bonds 交易所買賣換股債券	<input type="checkbox"/>	Exchange Traded Funds 交易所買賣基金	<input type="checkbox"/>	Others 其他	Please identify: 請註明: _____			Name of Training / Courses / Seminars 課程名稱	Date 受培訓或修讀日期	1)		2)		Employer's Name 僱主名稱	Department 部門	Title 職位	Date of Employed 受聘日期								
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8	CLIENT BANK ACCOUNT DETAILS 客戶銀行帳戶詳情		
Account holder's name should be same as name of applicant on this account opening form. Unless otherwise instructed by you, all monies payable to you are to be credited to the following bank account(s). 銀行帳戶持有人名稱須與本開戶申請表格申請人名稱相, 除經您另行指示,否則所有須付予您的款項將被轉入下列帳戶。			
HKD Account 港幣帳戶			
Bank Name 銀行名稱			
Branch Name 分行名稱			
Account Holder's Name 銀行帳戶持有人名稱			
Account Number 賬戶號碼			
Remarks 備註			
Foreign Currency Account, Currency 外幣帳戶,貨幣:			
Bank Name 銀行名稱			
SWIFT Code 銀行 SWIFT 代號			
Branch Name 分行名稱			
Bank Address 銀行地址			
Account Holder's Name 銀行帳戶持有人名稱			
Account Number 賬戶號碼			
Intermediary Bank 中介銀行			
Intermediary Bank SWIFT Code 中介銀行 SWIFT 代號			
Remarks 備註			
9	OTHER DISCLOSURES 其他資料披露 (Please tick appropriate box 請在適當空格加√)		
A. Are the shareholders above the ultimate beneficial owner of the Account? 上述股東是否為本帳戶的最終實益擁有人?			
<input type="checkbox"/> Yes 是			
<input type="checkbox"/> No 否 (Please provide details with supporting documents of the ultimate beneficial owner 請填寫最終權益擁有人資訊及附上有關文件:			
Chinese Name 中文姓名		English Name 英文姓名	
ID Card / Passport Number 身份證/護照號碼		ID Card / Passport Issue Country 身份證/護照簽發國家	
Date of Birth 出生日期		Country of Birth 出生國家	
Residential Address 住宅地址			
(Country Code) Home Phone Number(國家區號)住宅電話號碼		(Country Code) Mobile Phone Number 國家區號)手提電話號碼	
Relationship with the you and reasons (if any) 與貴公司的關係及原因 (如有):			

B. Is your company acting as nominee company for a third party (eg. The ultimate beneficial owner of this Account / person ultimately responsible for originating instructions for the account / person ultimately benefiting from the transactions and bearing the risk)? 貴公司是否作為代理人公司替第三者（如最終實益擁有人/最終負責發出指示的人士/最終受益於交易及承擔風險人士）處理帳戶？

☐ No 否

☐ Yes, please specify the person ultimately responsible for originating instructions for the account is 是,請註明最終負責向帳戶發出指示的人士

Chinese Name 中文姓名		English Name 英文姓名	
ID Card /Passport Number 身份證/ 護照號碼		ID Card / Passport Issue Country 身份證/護照簽發國家	
Date of Birth 出生日期		Country of Birth 出生國家	
Residential Address 住宅地址			
(Country Code) Home Phone Number(國家區號)住宅電話號碼		(Country Code) Mobile Phone Number 國家區號)手提電話號碼	
Relationship with the you and reasons (if any) 與貴公司的關係及原因 (如有):			

C. Are you an employee or director of JMC or related to any employee or director of JMC? 貴公司之董事/股東是否富喬鑫之僱員或董事或與富喬鑫之任何僱員或董事有親屬關係？

☐ No 否

☐ Yes, please provide the category of the relationship 是, 請您填寫關係類別:

Name of Employee or Director 僱員或董事姓名	Category of the Relationship (such as father and son, mother and son) 關係類別 (例如父子, 母子)

D. Is your company and its shareholder(s), in control of 35% or more of the issued shares of any corporate client of JMC? 貴公司及其股東是否控制任何富喬鑫的公司客戶 35%或以上的股權？

☐ No 否

☐ Yes, please specify 是,請註明

Account Name 帳名	Account Number 帳號
1)	
2)	
3).	

E. Has your company and its shareholder(s) established and maintained a margin account with JMC Capital HK Limited? 貴公司及其股東有否在富喬鑫資本(香港)有限公司設立保證金帳戶?

☐ No 否

☐ Yes, please specify 是,請註明

Account Name 帳名	Account Number 帳號
1)	
2)	

F. Is member of your group company(ies) currently maintaining account(s) with JMC? 貴公司隸屬之集團及旗下公司成員有否在富喬鑫開設帳戶?

☐ No 沒有

☐ Yes, please specify account name and number 有, 請註明帳戶名稱及號碼:

Account Name 帳名	Account Number 帳號

G. Are your director, substantial shareholder, authorized person, or ultimate beneficial owner a licensed corporation or registered institution or a director or an employee of an entity, licensed or registered with the Securities & Futures Commission? 貴公司的董事、大股東、授權人或實益擁有人是否任何持牌法團或註冊機構或證監會持牌法團或註冊機構之董事或僱員?

☐ No 否

☐ Yes, please write the name and the CE number of the licensed or registered person / licensed corporation / registered institution.是, 請填寫持牌人或註冊人/持牌法團/註冊機構的名稱和證監會中央編號

Name of Licensed Person / Registered Person / Licensed Corporation / Registered Institution 持牌人/註冊人/持牌法團/註冊機構名稱	CE Number 證監會中央編號
1)	
2)	

H. Are you and/or your director, substantial shareholder, beneficial owner or authorized person ("Relevant Person") and /or the relevant person's spouse, partners, children or parents or close associates being entrusted with prominent public function in any place, e.g. head of state or government, senior politician, senior government, judicial or military official, senior executive of a state owned corporation, important political party official ("politically exposed person" as defined under the Anti-Money Laundering and Counter-Terrorist Financing (Financial Institutions) Ordinance)? 您及/或公司的董事、大股東、實益擁有人或獲授權人士("相關人士")或上述相關人士的配偶、合夥人、子女或父母或近親是否在任何地方擔任或曾擔任重要公職, 例如國家或政府元首, 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或重要政黨幹事("政治人物"定義詳見《打擊洗錢及恐怖分子資金籌集(金融機構)條例》)?

☐ No 否

☐ Yes, please specify 是, 請註明

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

10	SIGNING ARRANGEMENT 簽署安排 <input type="checkbox"/> Any _____ of the below signing officers can act on behalf of the Company 下列任何 _____ 位授權簽署人可代表本公司： (i) to sign, execute and deliver all agreements and documents in relations to the account; and 簽署、簽訂及交付與帳戶相關之所有協議或文件；及 (ii) to sign instruction to transfer / withdraw any money, securities, collateral or other property into or out of the account, and deal with all settlement matters in relation to the account 簽發指令從 / 向帳戶提取 / 轉帳任何資金、證券、抵押品或其他資產，及處理所有與帳戶結算相關之事宜。 <input type="checkbox"/> Please refer to attached Directors Resolution (or equivalent) 請參照附上之董事決議授權書 (或同等授權文件) 。					
	Name 姓名	Date of Birth 出生日期	ID / Passport No. 身份證/護照號碼	Nationality 國籍	Contact Tel. Number 聯絡電話號碼	Specimen Signature 簽名式樣
	(1)					
	(2)					
	(3)					
	(4)					
(5)						
11	TRADING AUTHORIZATION 交易授權 <input type="checkbox"/> The following person(s) is / are appointed as trading officer and authorized to give trading instructions (whether verbally, electronically, in writing or otherwise) for and on behalf of the Company 下列人士被授權為本公司帳戶的交易人，並代表本公司進行買賣 (包括透過以口頭，電子、書面或其他方式)： <input type="checkbox"/> Please refer to attached Directors Resolution (or equivalent) 請參照附上之董事決議授權書 (或同等授權文件) 。					
	Name 姓名	Date of Birth 出生日期	ID / Passport No. 身份證/護照號碼	Nationality 國籍	Contact Tel. Number 聯絡電話號碼	Specimen Signature 簽名式樣
	(1)					
	(2)					
	(3)					
	(4)					
(5)						

12	CUSTOMER ACKNOWLEDGEMENT AND CONSENT 客戶確認及聲明		* please delete as appropriate 請刪去不適用者
<p>1. I/We declare that the information and data given to JMC Capital HK Limited and/or JMC Capital International Limited ("JMC") in this account opening form is complete, true, accurate and update, and I/we have not willfully withheld any material fact(s). JMC is entitled to rely fully on such information and data for all purposes. I/We further undertake to notify JMC in writing forthwith in case of any change of such information and data. 本人/吾等向富喬鑫資本(香港)有限公司及/或富喬鑫國際投資有限公司(統稱「富喬鑫」), 在本開戶表格內所提供的資料及資訊均為完整、真實、準確及最新的, 且本人/吾等並未刻意隱瞞任何重要事實。富喬鑫有權全面依賴此等資料及資訊。本人/吾等進一步承諾, 如本開戶表格所載列之任何資料及資訊有任何更改, 本人/吾等會即時以書面通知富喬鑫。 2. I/We request JMC to open an account (the "Account"). I/We have read and understood the provisions of the current version of the Terms and Conditions of Account Service (the "Agreement") of JMC of which this account opening form forms an integral part of the Agreement and I/we hereby agree to be bound by the Agreement as a whole (receipt of a copy whereof is hereby acknowledged by me/us) as the same may be amended from time to time (if applicable). 本人/吾等向富喬鑫申請開立帳戶。本人/吾等已閱讀過及明白富喬鑫現行版本的帳戶服務條款及細則, 而本開戶表格構成協議書的一部分(謹此聲明本人/吾等已收受其副本); 本人/吾等在此同意受可不時被修改的該協議之整體所約束。(如適用) 3. (Applicable to open Investment Management Account) I/We request JMC Capital HK Limited to open an Investment Management Account. I/We have read and understood the provisions of the Investment Management Agreement between JMC Capital HK Limited and me / us of which this account opening form forms an integral part of the Agreement and I / we hereby agree to bound by the Agreement as a whole (receipt of a copy whereof is hereby acknowledged by me / us) as the same may be amended from time to time. (開立投資管理帳戶適用)本人/吾等向富喬鑫資本(香港)有限公司申請開立投資管理帳戶。本人/吾等已閱讀過及明白富喬鑫資本(香港)有限公司與本人/吾等之間的投資管理協議, 而本開戶表格構成協議書的一部分(謹此聲明本人/吾等已收受其副本); 本人/吾等在此同意受可不時被修改的該協議之整體所約束。 4. I/We understand that my/our submission of this account opening form and the acceptance of this account opening form by JMC in no way implies approval for opening of an account for me/us and that JMC may reserve the right to reject my/our application.本人/吾等明白本人/吾等遞交此表格及富喬鑫接納此表格並非表示富喬鑫同意開立交易帳戶, 並清楚富喬鑫保留拒絕本人/吾等開戶申請之權力。 5. I/We agree to abide by the rules and regulations of The Stock Exchange of Hong Kong Limited ("SEHK") or any other regulatory body(ies) as amended from time to time governing the purchase and sale of securities quoted on the SEHK or any other stock exchanges.本人/吾等在此同意遵守香港聯合交易所有限公司("聯交所")及其他監管機構不時修訂以監管於聯交所或其他交易所進行證券買賣之條例及規則。 6. (if applicable) I/We acknowledge that if I/we decide to trade Derivatives Products/Complex Products, I/we agree to bear the risks involved. I/We confirm that I/we shall make my/our own risk assessment or seek independent professional advice and I/we have sufficient net worth to be able to assume the risks and bear the potential losses of trading Derivatives Products/ Complex Products. I/We understand that JMC does not encourage clients to trade Derivatives Products/ Complex Products if clients do not have any knowledge or experience in Derivatives Products/Complex Products. (如適用) 本人/吾等確認, 如果本人/吾等決定買賣該等衍生工具產品/複雜產品時, 本人/吾等同意承擔有關風險。本人/吾等確認, 在買賣衍生工具產品/複雜產品前, 本人/吾等將會進行自我風險評估或尋求獨立專業意見, 並擁有足夠資本承擔有關風險及損失。本人/吾等明白, 如客戶並沒有衍生工具產品/複雜產品的知識或經驗, 富喬鑫並不鼓勵客戶進行衍生工具產品/複雜產品買賣。 7. I/We have read the <Notes Relating to the Personal Data (Privacy) Ordinance of Hong Kong> (as contained in the agreement), understood and agree to them. 本人(等)已閱讀及同意載於帳戶服務條款及細則內有關香港個人資料(私隱)條例之附注。 8. I/We certify that the information provided in the SELF-CERTIFICATION FORM - ENTITY / CORPORATE (FATCA & CRS) annexed to this account opening form are true, accurate and complete.本人(等)聲明隨此帳戶申請書附上關於自我證明表格-實體 / 公司 (FATCA 和 CRS) 的資料均屬真實、準確及完整。 9. The English version of this Account Opening Form shall prevail in case of any discrepancy between the English and Chinese versions. 本開戶申請表格之中英文版本如有歧異, 應以英文版本為準。 10. I/we (wish/do not wish*) to receive any direct marketing materials or messages from JMC through (email/mail/phone*) 本人/吾等 (欲/不欲*) 收取富喬鑫經 (電郵/郵寄/電話*) 的任何直銷推廣資料或訊息。</p> <p><input type="checkbox"/> # I/we have carefully read and fully understand the content of "General Knowledge of Derivatives Products/Complex Products". 本人/吾等已細心閱讀及完全明白在衍生工具產品/複雜產品基本常識文件的內容。</p> <p><input type="checkbox"/> # I/we have carefully read and fully understand the content of "Risk Disclosure Statements" contained in the Terms and Conditions of Account. 本人/吾等已細心閱讀及完全明白在帳戶服務條款及細則[風險披露聲明]的內容。</p> <p><input type="checkbox"/> # I/we acknowledge receipt of : (i) Terms and conditions of account (ii) Fee schedule (iii) General knowledge of derivatives products/complex products (iv) Answers to the derivatives and complex products. 本人/吾等確認收到 : (i) 帳戶服務條款及細則 (ii) 收費表 (iii) 衍生工具產品/複雜產品基本常識 (iv) 衍生工具產品/複雜產品常識問卷答案。 # Not applicable to EAM clients 不適用於外部資產管理客戶</p> <p>Client Signature / Specimen Signature and Company Chop* (if applicable) 客戶簽署 / 簽署式樣及公司蓋章 (如適用)</p>			
<div style="display: flex; justify-content: space-between; align-items: flex-end;"> <div style="width: 30%; border-top: 1px solid black; height: 20px;"></div> <div style="width: 40%; border-top: 1px solid black; height: 20px;"></div> <div style="width: 25%; border-top: 1px solid black; height: 20px;"></div> </div> <div style="display: flex; justify-content: space-between; align-items: flex-end; margin-top: 5px;"> <div style="width: 30%;">Sole/ Primary Client Signature 客戶簽名</div> <div style="width: 40%;">Name of Authorized signatory(ies) (Please print) 被授權簽署人姓名 (請書寫)</div> <div style="width: 25%;">Date 日期(DD/MM/YY)</div> </div>			
13	DECLARATION BY WITNESS 見證人聲明		
<p>I, the undersigned, have witnessed the signature and inspected the original identity documents of the above-named client. 本人已見證及驗證上述客戶之簽署及有關其身份證明文件之正本。</p>			
<div style="display: flex; justify-content: space-between; align-items: flex-end;"> <div style="width: 30%; border-top: 1px solid black; height: 20px;"></div> <div style="width: 30%; border-top: 1px solid black; height: 20px;"></div> <div style="width: 35%; border-top: 1px solid black; height: 20px;"></div> </div> <div style="display: flex; justify-content: space-between; align-items: flex-end; margin-top: 5px;"> <div style="width: 30%;">Signature of Witness 見證人簽署</div> <div style="width: 30%;">Name of Witness 見證人姓名</div> <div style="width: 35%;">Date(DD/MM/YY) 日期(日/月/年)</div> </div>			
<div style="display: flex; justify-content: space-between; align-items: flex-end;"> <div style="width: 30%; border-top: 1px solid black; height: 20px;"></div> <div style="width: 30%; border-top: 1px solid black; height: 20px;"></div> <div style="width: 35%; border-top: 1px solid black; height: 20px;"></div> </div> <div style="display: flex; justify-content: space-between; align-items: flex-end; margin-top: 5px;"> <div style="width: 30%;">Qualification / Title 職位</div> <div style="width: 30%;">Contact Telephone Number 聯絡電話</div> <div style="width: 35%;">Professional License Number 專業牌照號碼</div> </div>			
<div style="border-top: 1px solid black; height: 20px; margin-bottom: 5px;"></div> <div style="border-top: 1px solid black; height: 20px;"></div>			
<div style="border-top: 1px solid black; height: 20px; margin-bottom: 5px;"></div> <div style="border-top: 1px solid black; height: 20px;"></div>			

備註: 如開戶文件並非在本公司持牌人或僱員面前簽立, 見證人須為持牌人士、太平紳士、銀行分行經理、律師、執業會計師、公證人或特許秘書。見證人應提供 (1)本人的名片, 或(2)本人專業資格證明文件的副本。見證人亦應核證各賬戶持有人的身份證及/護照副本。

Notes : If the account opening document is not executed in front of our company's licensee or employee, the witness should be the licensee, justice of the peace, bank branch manager, lawyer, certified public accountant, notary or chartered secretary. The witness should provide (1) my business card, or (2) a copy of my professional qualification certificate. The witness should also certify copy of the ID card and/or passport of each account holder.

14	DECLARATION BY LICENSED REPRESENTATIVE 持牌代表聲明
<p>I, confirmed that I have provided the Risk Disclosure Statements and disclaimers to the client in a language of his/her choice(English or Chinese) and have invited the client to read the Risk Disclosure Statements and disclaimers carefully, ask questions and take independent advice if the client so wishes.我確認已經以客戶選擇的語言（中文或英文）提供風險披露聲明及免責聲名，我並已邀請客戶閱讀風險披露聲明及免責聲名，提出有關問題及徵求獨立的意見（如客戶有此意願）。</p>	
<p>Signature of LICENSED REPRESENTATIVE 持牌代表簽署 _____ CE Number of Licensed Representative 持牌代表中央編號 _____</p>	
<p>Risk Disclosed By: <input type="checkbox"/> Face-to-Face 面對面</p> <p>風險披露途徑: <input type="checkbox"/> Tel, Recorded Line No. 電話,錄音號碼: _____ Date 日期(DD/MM/YY) _____ Time 時間: _____</p>	

For Official Use Only – Commission and/ Or Service Charges						
Stock	Commission Rate 佣金率(%)					
	Internet 網上			Phone 電話		
Hong Kong Stock	%, Min			%, Min		
Others 其他:	Min			Min		
Futures	Currency		手續費（單邊每手）			
美國期貨產品（CME / ICE 等）	USD					
NYBOT / CBOT 農產品（大型）	USD					
CME 日經	USD					
倫敦金屬交易所（LME）	USD		公司佣金:		總費用:	
			交易所費用:			
香港期貨交易所	HSI (HKD)	HHI (HKD)	MCH (HKD)	MHI (HKD)	CUS (RMB)	
	公司佣金:					
	交易所費用:					
	總費用:					
東京工業品交易所	JPY					
新加坡交易所(除中國 A50 指數)	USD					
SGX-中國 A50 指數	USD					
馬來西亞衍生品交易所	USD					
德國 DAX 指數	EUR					
系統費	是否添加?		<input type="checkbox"/> 是		<input type="checkbox"/> 否	
			HKD: _____ USD: _____ CNY: _____ JPY: _____			
			EUR: _____			
*除倫敦金屬交易所, 香港期貨交易所外, 其他產品收費已包含交易所費用。						

Client Money Standing Authority

客戶款項常設授權

Authority under Securities and Futures (Client Money) Rules in relation to client money

根據《證券及期貨(客戶款項)規則》關於客戶款項所設立之常設授權

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

本授權書涵蓋爾等為本人/吾等在香港收取或持有並存放於一個或多個獨立帳戶內的款項（包括因持有並非屬於爾等的款項而產生之任何利息）（下稱「款項」）。

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

除非另有說明，本授權書之名詞與證券及期貨條例及證券及期貨（客戶款項）規則不時修訂之定義具有相同意思。

This letter authorizes you to:

本授權書授權爾等：

1. Combine or consolidate any or all segregated accounts, of any nature whatsoever and either individually or jointly with others, maintained by you, i.e. JMC Capital HK Limited and/or JMC Capital International Limited and/or any of its subsidiaries (collectively "JMC") from time to time and you may transfer any sum of Monies to and between such segregated account(s) to satisfy my/our obligations or liabilities to any member of the JMC, whether such obligations and liabilities are actual, contingent, primary or collateral, secured or unsecured, or joint or several; and

組合或合併爾等，即富喬鑫資本(香港)有限公司及/或富喬鑫國際投資有限公司及/或其任何附屬公司(統稱“富喬鑫”)所維持的任何或全部獨立帳戶，此等組合或合併活動可以個別地或與其他帳戶聯合進行，爾等可將該等獨立帳戶內任何數額之款項作出轉移，以解除本人/吾等對富喬鑫內任何成員的義務或法律責任，不論此等義務和法律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；及

2. Transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by any member of JMC ; and
從富喬鑫於任何時候維持的任何獨立帳戶之間來回調動任何數額之款項；及

3. Transfer any sum of Monies to the client account(s) of any clearing firm(s) or financial institution(s) in Hong Kong or overseas for the purpose of trading or meeting the settlement or my/our financial obligations in my/our trading in Hong Kong or overseas through that clearing firm(s) or financial institution(s); and 轉帳任何數額之款項至任何香港或海外清算行或金融機構的客戶帳戶，以應付交易用途、交收或本人/吾等經該清算行或金融機構所要履行的財務責任；及

4. Exchange my/our money into any other currency(ies).
將本人/吾等的款項兌換至任何貨幣。

5. You may do any of the above without giving me/us prior notice.
爾等可不向本人/吾等預先發出通知而採取上述行動。

6. The authority is given to JMC in consideration of its agreeing to continue to maintain securities cash and/or margin account(s) and/or stock options account(s) and/or futures account(s) for me/us. The authority is given without prejudice to other authorities or rights which JMC may have in relation to dealing in the Monies in the segregated accounts.

此賦予富喬鑫之授權乃鑑於富喬鑫同意繼續維持本人/吾等之證券現金及/或保證金帳戶及/或股票期權帳戶及/或期貨帳戶。此賦予爾等之授權並不損害富喬鑫可享有有關處理該等獨立帳戶內款項的其他授權或權利。

7. This Authority is valid for a period of 12 months from the date of this letter.
本授權書的有效期限為12個月，自本授權書之日起計生效。

8. This authority may be revoked by giving you written notice addressed to the Customer Service Department at your address specified above. Such notice shall take effect upon the expiry of 14 days from the date of your actual receipt of such notice.

本人/吾等可以向爾等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爾等真正收到該等通知後之14日起計。

9. This letter of authority is valid for period of 12 months only. JMC will send me/us a reminder at least fourteen days prior to the expiry of this letter of authority. I/We understand that if no objection is received by JMC before the expiry date of the then existing authority, the authority is deemed to be renewed (without my/our written consent) for another twelve months from the date of expiry. At any point in time, the authority may be revoked and the revocation will be effective seven Business Days after JMC's actual receipt of the original written revocation bearing my/our signature.

本授權書的有效期限為十二個月，富喬鑫將在本授權有效期屆滿前至少十四日向本人/吾等發出提示通知書。本人/吾等理解若富喬鑫未有在相關授權屆滿日前收到本人/吾等的反對通知，該授權將自授權屆滿日期起被視為自動續期十二個月（無需取得本人/吾等的書面同意）。本人/吾等可隨時撤銷該授權，而該撤銷應自富喬鑫實際收到本人/吾等簽署的撤銷通知正本後七個營業日生效。

10. I/We hereby agree to indemnify JMC and keep JMC indemnified, from and against all losses, damages, interests, costs, expenses, actions, demands, claims or litigation which JMC may incur as a consequence of any transaction under this standing authority.

本人/吾等謹此同意賠償富喬鑫及使富喬鑫因根據本常設授權進行任何交易而可能蒙受及/或招致的一切損失、賠償、利息、費用、開支、法律行動、付款要求、申索或訴訟獲得賠償。

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

倘若本授權書的中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。

This authority has been explained to me/us and I/we understand and agree with the contents of this authority.

本人/吾等就本授權書的內容已獲得解釋，並且本人/吾等明白及同意本授權書的內容。

Client Signature 客戶簽署:  _____

Date 日期: _____

Account Number 帳戶號碼: _____



Derivatives and Complex Products Knowledge Questionnaire 衍生工具及複雜產品常識問卷

This questionnaire is designed to help assist JMC Capital HK Limited and/ or JMC Capital International Limited (collectively "JMC") to understand your knowledge in derivatives products and complex products and assess whether you are suitable to purchase the derivative products and complex products. 本問卷用以協助富喬鑫資本（香港）有限公司及/或富喬鑫國際投資有限公司（統稱「富喬鑫」）了解您對衍生工具產品及複雜產品的認識，並評估您是否適合認購衍生工具產品及複雜產品。

The results of this questionnaire are derived from information you provided to us. You must provide information that is valid, true, complete, accurate and up-to-date. Your failure in doing so would materially affect this assessment and thereby your investment decision.

本問卷的結果乃根據您提供給我們的資料得出。請您務必提供有效、真實、完整、準確及最新的資料。您未能提供該等資料將會對本行的合適性評估產生重大影響。

For joint account, the person(s) who is/are going to place order or operate the joint account must complete this questionnaire. Depending on the firm type, investment process and management structure, this questionnaire shall be completed by the person(s) with whom the investment decisions of the Company rest. 如果此乃聯名賬戶，所有將會為此聯名賬戶下單或操作此聯名賬戶的持有人，均須完成此評估。如果此乃公司帳戶，視乎公司類別、投資程式及管理架構，本問卷必須由負責為公司作出投資決定的個人填寫。

Successful completion of this assessment, you will be classified by JMC as having general knowledge of derivatives products and complex products. 當您完成此問卷並成功通過評估後，您將被富喬鑫分類為「對衍生工具產品及複雜產品有一般認識的客戶」。

Name of Client 客戶名稱: _____ Proof No. 證明文件號碼: _____

Account No. 賬戶編號: _____

Note 注意:

Please choose the most appropriate answer. 請選擇最適合的一項答案。Please complete in Block Letters and tick where applicable. 請用正楷填寫，並在適當地方加上「✓」號。

1. What is derivative? 甚麼是衍生產品？

- ☐ a. A stock or any other security representing an ownership interest 附帶股權權益的股份或任何其他證券
- b. A securities representing loans of an entity 附帶債務的證券
- c. A financial product whose value depends on, or derives from the value of another "underlying" asset. 一種金融產品，其價值取決於或衍生於另外一個資產的價值
- d. Bank deposit 銀行存款

2. Which of the following is/are the key risk(s) of using derivatives? 以下哪些項目是使用衍生工具涉及的主要風險？

- a. Counter party risk 交易對手風險
- b. Market risk 市場風險
- c. Leverage risk 槓桿風險
- d. All of the above 以上皆是

3. Which of the following is/are the correct description(s) of futures? 以下哪些項目有關於期貨的描述是對的？

- a. The underlying asset of futures can be quite varied, generally include stock, market index, currency or commodity. 期貨可與不同的資產掛鉤，一般包括股票、市場指數、貨幣或商品
- b. When investor buys a futures contract, he/she is holding a long position and has to buy the underlying asset on the final settlement date. 投資者買入期貨合約，即持有了有關合約的「長倉」，買方必須在最後結算日買入相關的資產
- c. When investor sells a futures contract, he/she is holding a short position and has to sell the underlying asset according to the contract terms. 投資者沽出期貨合約，即持有了有關合約的「短倉」，賣方必須在最後結算日，按照合約的條款沽出相關資產
- d. All of the above 以上皆是

4. Which of the following is/are common feature(s) of options? 以下哪些項目是期權的常見特色?

- a. The payoff pattern is non-linear and asymmetric. 盈利模式是非線性和非對稱的
- b. Unlimited potential gain for buyers; limited to premium received for sellers 買方擁有無限的獲利機會；賣方的盈利則只限於所收取的期權金
- c. The potential loss is limited to premium paid for buyers; unlimited for sellers 買方的潛在虧損只限於所繳付的期金；賣方則承受無限風險
- d. All of the above 以上皆是

5. What are CBBC? 甚麼是牛熊證?

- a. CBBC are not leveraged investments. Investors taking bullish positions on the underlying assets can buy the bull contracts; otherwise, investors can buy the bear contracts when taking bearish positions on the underlying assets. 牛熊證不是一種槓桿投資工具，投資者看好相關資產可以買入牛證；相反，看淡相關資產時可以買入熊證
- b. CBBC are not leveraged investments. Investors taking bullish positions on the underlying assets can buy the bear contracts; otherwise, investors can buy the bull contracts when taking bearish positions on the underlying assets. 牛熊證不是一種槓桿投資工具，投資者看好相關資產可以買入熊證；相反，看淡相關資產時可以買入牛證
- c. CBBC are leveraged investments. Investors taking bullish positions on the underlying assets can buy the bull contracts; otherwise, investors can buy the bear contracts when taking bearish positions on the underlying assets. 牛熊證是一種槓桿投資工具，投資者看好相關資產可以買入牛證；相反，看淡相關資產時可以買入熊證
- d. CBBC are leveraged investments. Investors taking bullish positions on the underlying assets can buy the bear contracts; otherwise, investors can buy the bull contracts when taking bearish positions on the underlying assets. 牛熊證是一種槓桿投資工具，投資者看好相關資產可以買入熊證；相反，看淡相關資產時可以買入牛證

6. Which of the following Type(s) on Bonds is common? 常見債券類別有?

- a. Corporate bonds 企業債
- b. Government bonds 政府債券
- c. Perpetual bonds 永續債券
- d. All of the above 以上皆是

7. Which are the commonly used bond yield measures? 目前常用的債券孳息率指標有?

- a. Current yield 現時孳息率
- b. Yield to maturity 到期孳息率
- c. Yield to call 至通知贖回時孳息率
- d. All of the above 以上皆是

8. Which are the relationship between yield and price? 孳息率與債券價格互有關連，一般會出現什麼走勢？

- a. If buy a bond at par and hold it until it matures, then the yield is the same as the coupon rate. 若按票面值買入債券並持有至到期日，孳息率將與票面息率相同。
- b. When a bond sells for more than its par value, i.e. at a premium, the yield is lower than the coupon rate. 若以高於票面值的價格買入債券，孳息率將低於票面息率。
- c. When a bond is bought at a discount (below par value), the yield is higher than the coupon rate. 若以低於票面值的價格買入債券，孳息率將高於票面息率。
- d. All of the above 以上皆是

9. Which of the following is a common feature that can be found in bond? 以下哪一項是債券的常見特色?

- a. Leverage 槓桿
- b. Premium 期權金
- c. Margin 合約按金
- d. None of the above 以上皆不是

10. Which of the following is the types of Coupon rate? 票面息率的類型有?

- a. Fixed Rate 定息
- b. Floating Rate 浮息
- c. Zero Rate 零息
- d. All of the above 以上皆是

CUSTOMER ACKNOWLEDGEMENT AND CONSENT 客戶確認及聲明

I/we hereby confirm that the above information provided is true and complete. I/we also understand that JMC rely on the above information provided to assess whether I/we have acquired knowledge of derivative products/complex products, in order to comply with relevant requirements of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.

本人/吾等確認上述資料完全真實及完整，並明白富喬鑫將根據上述資料評估本人/吾等是否擁有對衍生工具產品/複雜產品之認識，以符合證券及期貨事務監察委員會持牌人或註冊人操守準則之有關要求。



Signature / 客戶簽署*:

Name / 客戶姓名:

Date / 日期:

For Office Use Only:

**** Please completed this part if the questionnaire was conducted via recorded office phone**

AE's Signature /

Print Name:

Date:

Phone No. (Recorded Line No.):

Extension:

Assessment Result:

**** Client is required to answer at least 3 in Q1-Q5 and 3 in Q6-Q10 multiple choice questions correctly in order to pass.**

Client's Result:

Q1-Q5: / 5

Q6-Q10: / 5

Total: /10

☐ Passed in bond/derivatives/both (please delete as appropriate)

☐ Failed in bond/derivatives/both (please delete as appropriate)

CLIENT INVESTMENT RISK PROFILING QUESTIONNAIRE

客戶投資風險評估問卷

Client Name & Account Number 客戶姓名和帳戶編號	
Client English Name 客戶英文姓名	
Client Chinese Name 客戶中文姓名	
Account Number 帳戶編號	

Important Notes 重要提示
<p>➤ The purpose of this Questionnaire is to understand your general personal circumstances and to assess your overall general attitude towards risk and risk tolerance level as an investor. The accuracy of the analysis result of the Questionnaire is subject to the answers submitted by you. Such result is for reference only and should not replace any suitable and independent professional advice. If there is any doubt, you should conduct independent assessment on the suitability of a financial product. 本客戶風險評估問卷旨在了解您的一般個人狀況及評估您作為投資者整體上對投資風險和風險的承受程度的一般態度。本問卷分析結果的準確性視乎您所填寫的答案而定。該分析結果僅供參考之用，並不取代任何合適及獨立的專業意見。如有任何疑問，您應該對投資產品是否合適進行獨立評估。</p> <p>➤ If your situation or investment goal or investment risk preference changes, you should contact us and update your information as soon as possible for us to re-assess your risk profile. JMC Capital HK Limited may use such updated information/investment risk preference as reference for provision of service. 如您的情況或投資目標或投資風險取向有變動，應儘快聯絡我們及更新您的資料，以便重新評估您的投資風險取向。富喬鑫資本（香港）有限公司將以您提供最新的資料/投資風險取向作為提供服務的參考依據。</p> <p>➤ For joint account, the applicant(s) / account holder(s) who place(s) orders or make(s) investment decisions should complete and sign this Questionnaire. 如為聯名戶口，代表該帳戶發出有關指示或作出投資決定的申請人 / 帳戶持有人應填寫及簽署本問卷。</p> <p>➤ For corporate account, the authorized signatory who makes investment decisions on behalf of the company should complete and sign this Questionnaire. 如為法團機構帳戶，代表該公司作出投資決定之授權簽署人應填寫及簽署本問卷。</p>

Please choose the appropriate answer. 請選擇適當答案

1) (Applicable to individual client only) What is your age range? (僅適用於個人客戶) 您屬於以下哪個一個年齡組別?

- ☐ A) Between 18 and 24. 18 歲至 24 歲
- ☐ B) Between 25 and 34. 25 歲至 34 歲
- ☐ C) Between 35 and 49. 35 歲至 49 歲
- ☐ D) Between 50 and 64. 50 歲至 64 歲
- ☐ E) Above 64. 64 歲以上

(Applicable to corporate client only) Does your company have any qualified professionals to make investment decisions?
(僅適用於公司客戶) 貴公司是否擁有合資格的專業人員負責投資決策?

- ☐ A) Yes, we have an independent division / team within our company to make investment decision.
是，公司內部擁有一個獨立部門 / 團隊負責投資決策。
- ☐ B) Yes, we have the senior management with relevant professional qualifications to make investment decisions.
是，我們的高級管理人員具備專業資格可負責投資。
- ☐ C) No, but we have adequate knowledge in financial investment. 否，但我們對金融投資有足夠的認識。
- ☐ D) No, but we have some knowledge in financial investment. 否，但我們對金融投資略有認識。
- ☐ E) No, we have little knowledge in financial investment. 否，我們對金融投資認識不多

- 2) What is your highest academic qualification / education level? (applicable to individual client / person who makes investment decision)
您的最高學歷 / 教育程度是? (適用於個人客戶/負責投資決策人士)
- ☐ A) Finance degree or above / equivalent finance professional qualification 大學或以上(財務學相關) / 同等財務學相關專業資格
- ☐ B) Non-finance related degree or above 大學或以上 (非財務學相關)
- ☐ C) Post-secondary 大專
- ☐ D) Secondary 中學
- ☐ E) Primary below 小學或以下
- 3) How long is your / your company's expected investment horizon? 您 / 貴公司預期中的投資年期為多久?
- ☐ A) 10 years or above. 10 年以上
- ☐ B) 7 to 10 years. 7 年至 10 年
- ☐ C) 4 to 6 years. 4 年至 6 年
- ☐ D) 1 to 3 years. 1 年至 3 年
- ☐ E) Less than 1 year. 少於 1 年
- 4) What is your / your company's current investment objective? 您/貴公司現時之投資目標是?
- ☐ A) Maximize capital growth as soon as possible 以最短時間爭取最高回報
- ☐ B) Gradual long term capital growth 資本長期地逐漸增長
- ☐ C) Stable, balanced income and capital growth 穩定, 平衡收入與資本增長
- ☐ D) Earn a return which is slightly above bank deposit 賺取略高於銀行存款的回報
- ☐ E) Capital preservation with a return similar to bank deposit rate 保本及賺取相約於銀行存款的回報
- 5) How many years of investment experience (exclude savings, fixed deposit and foreign currency deposit) do /does you / your company have?
您 / 貴公司有多少年的投資經驗 (不包括儲蓄存款, 定期存款, 外幣定期存款)?
- ☐ A) 10 years or above 10 年以上
- ☐ B) 7 to 10 years 7 年至 10 年
- ☐ C) 4 to 6 years 4 年至 6 年
- ☐ D) 1 to 3 years 1 年至 3 年
- ☐ E) None or less than 1 year 沒有或少於 1 年
- 6) Which of the following products have you / has your company held in the past 24 months? (You may select more than one option.)
您 / 貴公司過去 24 個月曾否持有以下產品? (您可選擇多於 1 項)
- ☐ A) Margin trading / futures / options / equity options / accumulators / forward contracts / credit linked notes with exposure to structured products 保證金交易 / 期貨 / 期權 / 股票期權 / 累計認股證 / 遠期合約 / 涉及結構性產品的信貸相連票據
- ☐ B) Equity / equity linked investment (non-blue chips) / investment funds exposed to emerging markets, regional markets, single country or single sector / hedge fund / foreign exchange options / option embedded products 股票 / 股票相連投資(非藍籌) / 投資於新興市場, 地區市場, 單一國家或單一行業的投資基金 / 對沖基金 / 外匯期權 / 含期權產品
- ☐ C) Equity / equity linked investment (blue chips) / global equity investment funds / balanced funds / bond funds exposed to emerging markets, regional markets, single country / high yield bond funds / currency linked deposits / credit linked notes without exposure to structured products 股票 / 股票相連投資(藍籌) / 環球股票投資基金 / 均衡基金 / 投資於新興市場, 地區市場, 單一國家的債券投資基金 / 高收益債券投資基金 / 外幣掛鈎存款 / 不涉及結構性產品的信貸相連票據
- ☐ D) Bonds / global bond investment fund / foreign currency 債券 / 環球債券投資基金 / 外幣
- ☐ E) Certificates of deposit / capital preservation investment products / money market funds 存款證 / 保本型投資產品 / 貨幣市場基金
- ☐ F) None of the above in the past 24 months but some of the above or other financial products prior to the past 24 months
過去 24 個月未持有以上投資產品, 惟過去 24 個月之前曾投資於上述部分產品或其他金融產品
- ☐ G) Has never held any investment products so far 迄今從未持有任何投資產品

7) How would you / your company best describe your / your company's attitude towards risk?

以下那一項最能反映您/貴公司對風險的態度?

- ☐ A) I/We am /are willing to accept all risks, as I/we aim to maximize returns 本人/吾等願意承受所有風險，務求得到最高回報
- ☐ B) I/We am/are willing to accept more risks, as I/we aim for more returns 本人/吾等願意承受較高的風險，以換取更高的回報
- ☐ C) I / We am / are trying to strike a balance between risk and return 本人 / 吾等會平衡風險與回報
- ☐ D) I / We will try to avoid risks but minor ones are still acceptable 本人 / 吾等會盡量回避風險，但仍可承受較低的波動
- ☐ E) I / We am / are risk averse and don't want to take any risks 本人 / 吾等不願意承受任何風險

8) Generally, the higher the expected return the higher price fluctuation may be involved. What level of price fluctuation would you / your company generally be comfortable with?

一般而言，預期較高回報，亦會涉及較高的價格波幅。您/貴公司可接受以下哪個價格波幅？

- ☐ A) More than $-/+20\%$ 超過 $-/+20\%$ 的波動
- ☐ B) Between -20% and $+20\%$ 介乎 -20% 至 $+20\%$ 之間的波動
- ☐ C) Between -15% and $+15\%$ 介乎 -15% 至 $+15\%$ 之間的波動
- ☐ D) Between -10% and $+10\%$ 介乎 -10% 至 $+10\%$ 之間的波動
- ☐ E) Between -5% and $+5\%$ 介乎 -5% 至 $+5\%$ 之間的波動

9) What is the average percentage of your / your company's after-tax income that is available for investment?

您 / 貴公司的除稅後收入平均多少個百分比可作投資？

- ☐ A) 50% or above 多於50%
- ☐ B) 31% to 50% 31% 至50%
- ☐ C) 21% to 30% 21% 至30%
- ☐ D) 10% to 20% 10% 至20%
- ☐ E) Less than 10% 少於 10%

10) What is the percentage of your / your company's liquid net worth you'd like to invest in this account or your private bank account?

你/貴公司希望此戶口或私人銀行戶口理財組合的投資佔閣下的流動資產淨值多少個百分比？

- ☐ A) More than 50% 多於 50%
- ☐ B) 31% to 50% 31% 至 50%
- ☐ C) 21% to 30% 21% 至 30%
- ☐ D) 10% to 20% 10% 至 20%
- ☐ E) Less than 10% 少於 10%

11) How many months of your household's / company's expenses could be covered by your / your company's liquid assets (i.e. assets easily converted into cash) in case of any unexpected event?

如發生突發事件，您 / 貴公司現時的流動資產（易於變現金的資產）足夠應付多少個月的日常一般開支？

- ☐ A) More than 24 months 多於 24 個月
- ☐ B) 12 to 24 months 12至24個月
- ☐ C) 7 to 12 months 7至12個月
- ☐ D) 1 to 6 months 1至6個月
- ☐ E) Less than 1 month 少於1個月

12) Which of the following channels do you / does your company use to acquire investment knowledge? (You may select more than one option) 您/貴公司曾經或現時從以下哪些途徑汲取投資知識？（您可選擇多於一項）

- ☐ A) From attending financial courses together with self-study 研究投資或財務相關事宜，及參加投資或財務相關課程，論壇，簡報會，研討會或工作坊
- ☐ B) Self-study 從多個途徑閱讀及分析有關投資或財務資料
- ☐ C) From financial programs of mass media without further self-study 閱讀及/或收聽有關投資或財經新聞
- ☐ D) From relatives and / or colleagues without further self-study 與親友及/或同事討論投資或理財話題
- ☐ E) Never attempt to acquire investment knowledge 從未汲取 / 或沒有興趣汲取任何投資知識

Please count the total scores according to the table as below 請根據以下表計算您 / 貴公司的得分：

Scoring Table 計分表								
	A	B	C	D	E	F	G	Your Scores 您的得分
Question 問題 1 (for individual client) (適用於個人客戶)	1	3	5	3	1			
Question 問題 1 (for corporate client) (適用於公司客戶)	5	4	3	2	1			
Question 問題 2	7	5	3	2	1			
Question 問題 3	5	4	3	2	1			
Question 問題 4	5	4	3	2	1			
Question 問題 5	5	4	3	2	0			
Question 問題 6*	9	7	5	3	1	1	0	
Question 問題 7	5	4	3	1	0			
Question 問題 8	5	4	3	1	0			
Question 問題 9	5	4	3	2	1			
Question 問題 10	5	4	3	2	1			
Question 問題 11	5	5	3	1	0			
Question 問題 12*	5	4	3	2	0			

* As this question allows multiple answers, only the answer carries the highest score is used in the calculation.
由於問題可選擇多於一個答案，計算時請選用得分最高的答案。

Please total your scores from the 12 questions above and write your risk score in the box.
請將 12 條問題的得分加起來，並在方格內寫出您的風險分數。

Total Score 總分	Risk Categories 風險類別	Investment Risk Profiles 投資風險分析
6 - 14	Conservative 保守	You are a cautious investor who is willing to accept low risk / volatility. You may choose the financial products with LOW product risk level, and emphasis on bonds and cash to seek for capital preservation. 您是一位謹慎的投資者，可接受低的風險及價格波動。您可選擇投資於低風險的投資產品，以債券及現金為主以達到穩定回報的目的。
15 - 29	Moderate 中度	You can accept low to medium risk exposure and price fluctuation, favor capital preservation investment and need some current income from your investment. 您可以接受低至中風險及價格波動，適合進行保本投資及需要一些投資回報。
30 - 44	Balanced 均衡	You can choose a diversified but more balanced mix of stocks, bonds and cash. You are willing to accept medium risks in exchange for some potential returns over the medium to long term. 您可選擇多元化及較均衡的股票、債券及現金投資組合。您願意承擔中等級別的風險，以便在中長期內賺取一些潛在回報。
45 - 56	Growth 增長	You can accept growth of capital with high risk exposure and price fluctuation. 您可以接受高風險及價格波動，並且有資本增長的投資。
57 - 66	Aggressive 進取	You may choose to invest your money in derivative product, investment funds and/or other financial products with any product risk level. You are willing to accept very high risks to maximum your potential return over the long term. You understand that you may lose a significant part or all of your capital. You may even be required to make good the losses over and above your capital. 您可選擇投資於任何產品風險級別的衍生產品、投資基金和/或其他金融產品。您願意承擔高級別的風險，以便在長期內得到最大的潛在回報。您知道您可能損失大部份或全部資本，您甚至可能須對資本以外的虧損作出補償。

To be completed by JMC Capital HK Limited's Staff 由富喬鑫資本（香港）有限公司之員工填寫

Based on your responses, your risk category is: 根據您的回應，您的風險評估結果為：	Conservative 保守	Moderate 中度	Balanced 均衡	Growth 增長	Aggressive 進取

If you choose to deviate in any respect from the Risk Profile process, you must indicate your reason(s) in writing. Your investment appetite / risk profile is classified as "Conservative." (Client must complete explanation in own handwriting in this box.)

如您選擇不填報上述風險評估，您必須書面詳述有關原因。您的整體投資取向 / 風險概況將定為"保守型"。（客戶必須在此親筆填寫解釋）

Applicable only if client is over 65 years old

僅適用於 65 歲或以上客戶

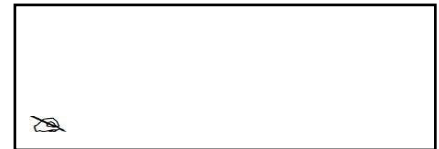
- ☐ If you are at or over 65 years old, in order to protect your interest, JMC Capital HK Limited will profile you as a conservative investor and as a consequence we will not accept your subscription instruction in high risk investment products. 如您已達 65 歲或以上，為保障您的利益，富喬鑫資本（香港）有限公司將您定為保守型投資者。因此，富喬鑫資本（香港）有限公司不會接受您認購高風險的投資產品。

However, if you consider that you should not be profiled as a conservative investor given your higher risk appetite and as such would be keen to deal in a wider range of investment products of a higher risk profile, please check the box in the left-hand side with signature below. By signing and checking the box, you confirmed that notwithstanding your age, you may want to deal in investment products of a higher risk profile and you understand that your investment in such products may involve higher risk (including the possibility of loss of the capital invested) than what you can take and therefore may not be in your best interest.

然而，您如果認為可承受較高風險而不應被定為保守型投資者，並有意買賣較廣泛的投資產品（包括較高風險的產品），請在左面方格內加上 √ 號並在下方簽署。透過在方格內加上 √ 號及簽署，您確認儘管考慮年齡狀況，您仍有意買賣較高風險的投資產品，並明白該等產品的投資涉及的風險可能較您可承受的為高（包括可能損失投資本金），未必屬於您的最佳利益。

Client's Signature

客戶簽署



DISCLAIMER 免責聲明

This questionnaire and the result is only one of the factors you may take into account when investing. This should not be regarded as investment advice, an offer to sell, or a solicitation to buy any financial products. You should carefully consider your investment objective and risk tolerance ability and seek for independent professional advice before making any investment decision. JMC Capital HK Limited accepts no responsibility or liability as to the accuracy or completeness of the information provided by you in this questionnaire and / or the results.

Investors should note that investment involves risks, including the possibility of loss of the entire capital invested, price of investment products may go up as well as down and past performance information presented is not indicative of future performance. Investors should understand the nature and the risks associated with the product before making any investment decision.

本問卷和結果只是您考慮投資的其中一個因素。以上並不應被視為投資建議，要約出售，或徵求購買任何金融產品。您應該仔細考慮您的投資目標及承受風險能力，並尋求獨立專業意見，才作出任何投資決定。富喬鑫資本（香港）有限公司對於本問卷由您提供的資料及/或結果的準確性或完整性不承擔任何責任。

投資者須注意投資涉及風險，包括可能損失全部投資本金，投資產品價格可升亦可跌，而所呈列的過往表現資料並不表示將來亦有類似表現。投資者作出任何投資決定前，應詳細了解該產品的性質和風險。

PERSONAL INFORMATION COLLECTION STATEMENT 個人資料收集聲明

The personal information collected will be used for any of the purposes set out above. Depending on the actual business or operational needs, the personal information collected may be transferred to

- I. The administrative, operating or information departments of JMC Capital HK Limited.
- II. Any third-party service provider to JMC Capital HK Limited who has a legitimate need to obtain the information in connection with the provision of the relevant service to JMC Capital HK Limited
- III. Any business partner or other financial product issuer having business relationship with JMC Capital HK Limited who has a legitimate need to obtain the information in connection with the provision of the relevant financial product to the client; and
- IV. Any governmental, judicial, statutory or self-regulatory authority having competent jurisdiction over JMC Capital HK Limited whether in Hong Kong or elsewhere. Subject to the aforesaid, the personal information held by us is kept confidential. This form will be destroyed not later than 1 year after it no longer serves any of the purposes set out herein. as part of the business records of JMC Capital HK Limited, this form may be retained

for a substantial period of time due to the need to comply with the applicable laws or regulatory requirements.

Clients may access or make corrections to any personal information provided to or collected by JMC Capital HK Limited, and such request can be made to JMC Capital HK Limited.

此表格所收集之個人資料將被使用於以下用途。基於實際的商業及營運需要，該等資料可能被傳送至

- I. 富喬鑫資本（香港）有限公司之行政，運作及資訊科技部門；
- II. 任何向富喬鑫資本（香港）有限公司提供服務之供應商，而該服務供應商就其提供有關服務是有合理需要知道相關資料的；
- III. 任何與本集團有業務關係的商業夥伴或其他金融產品發行人，而該夥伴或發行人就其提供有關金融產品予客戶是有合理需要知道相關資料的；及
- IV. 任何對本公司具有適當管轄權之政府機關，司法機關，法定機關或業界自我監管機關。除用於上述目的外，您的個人資料將會保密。如此表格不再適用於以上所提及之任何用途，將於其後一年內被銷毀；但此表格可能會被保留一段相當時間，以符合有關法律及監管要求。

閣下有權查閱及要求更正本公司持有有關閣下的個人資料，並以書面向本公司提出要求。

CLIENT'S DECLARATION 客戶聲明

I / We hereby declare and agree that all the information provided herein is complete, true and accurate to the best of my / our knowledge. I / We agree to inform JMC Capital HK Limited in writing as soon as reasonably possible of any changes to this information. I / We acknowledge and agree that my / our risk profile is as above. I / We acknowledge that a copy of "Client Investment Risk Profiling Questionnaire" has been given to me. I / We acknowledge that JMC Capital HK Limited takes no responsibility for any acts or omissions resulting from the provision of incomplete or inaccurate information by me.

本人/吾等謹此聲明並同意，按本人/吾等所知，本人/吾等在本文件提供的資料是完整，真實及準確。本人/吾等同意，如此資料有任何變動，本人/吾等將會在合理可行情況下儘快以書面通知富喬鑫資本（香港）有限公司。本人/吾等同意富喬鑫資本（香港）有限公司以上的投資風險評估結果。本人/吾等確認收到“風險承受能力問卷”的副本。本人/吾等確認，就因本人提供不完整或不正確資料所導致的任何行動或遺漏，富喬鑫資本（香港）有限公司概不負上任何責任。

☐ I / We agree and accept that the above assessment of my / our investment appetite / risk profile is _____ (Level _____). I / We understand that the above investment risk preference analysis result will override my/our answer on the Account Opening Form. 本人/吾等同意並接受上述評估結果，評定投資風險取向為_____及本人/吾等確認同意本問卷評估本人/吾等所屬的投資取向/風險概況。本人/吾等明白上述投資風險取向分析的結果將取代本人/吾等於開戶表之答案。

☐ I / We disagree with the above assessment and my / our investment appetite / risk profile should be _____
本人/吾等不同意上述評估結果，且認為本人/吾等的投資取向/風險概況為：_____

Reason 原因：

Client's Signature 客戶簽署

Client's Name 客戶姓名（適用於個人帳戶）：

Company Name 公司名稱（適用於公司帳戶）：

Date 日期：

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Signature and Declaration of Licensed Person
持牌人簽署及聲明

Approved by Department Head or Responsible Officer
部門主管或負責人員批核

Declaration: I hereby declare and confirm that this questionnaire is duly completed by the client. 聲明: 本人謹此聲明及確認此問卷由客戶親自填寫。

Name 姓名:

Name 姓名:

Date 日期:

Date 日期:

CE No. 中央編號:

CE No. 中央編號:



SELF-CERTIFICATION FORM - ENTITY / CORPORATE (FATCA & CRS)

自我證明表格 - 實體 / 公司 (FATCA 和 CRS)

CLIENT NAME & ACCOUNT NUMBER 客戶姓名和帳戶編號	
Client English Name 客戶英文姓名	
Client Chinese Name 客戶中文姓名	
Account Number 帳戶編號	

IMPORTANT NOTES 重要提示	
<p>➤ This is a self-certification form provided by an account holder to JMC Capital HK Limited ("JMC") for the purpose of automatic exchange of financial account information. The data collected may be transmitted by JMC Capital to the Inland Revenue Department for transfer to the tax authority of another jurisdiction. 這是由帳戶持有人向富喬鑫資本（香港）有限公司（“富喬鑫”）提供的自我證明表格，以作自動交換財務帳戶資料用途。富喬鑫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局。</p> <p>➤ An account holder should report all changes in his / her tax residency status to JMC. 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富喬鑫。</p> <p>➤ 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 JMC to the Inland Revenue Department. 除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄 / 部標有星號（*）的項目為富喬鑫須向稅務局申報的資料。</p> <p>➤ Financial institutions are not allowed to provide tax advice. If you have any questions regarding this form or defining your tax residency status, please speak to your tax adviser or relevant tax authority. Please find out more on the OECD website (http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/), including a list of jurisdictions that have signed agreements to exchange information automatically, along with details about the information being requested. 金融機構均不被允許向客戶提供稅務諮詢。如果您對此表格或您的稅務居民身份定義有任何疑問，請聯繫您的稅務顧問或相關稅務機關。您可以從經濟合作與發展組織（OECD）自動訊息交換網站獲取更多詳情（http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/），包括已簽署自動交換信息協議的司法管轄區的名單及被請求交換的有關信息。</p> <p>➤ You may be asked to provide additional documents to evidence the declaration made on this form. 您可能會被要求提供額外證明文件，以核實此表格上的內容。</p>	

A	IDENTIFICATION OF ENTITY ACCOUNT HOLDER 實體帳戶持有人的身分識別資料
(1) Legal Name of Entity or Branch* 實體或分支機構的法定名稱*	
(2) Jurisdiction of Incorporation or Organization 實體成立為法團或設立所在的稅務管轄區	
(3) Certificate of Incorporation Number 公司註冊號碼	
(4) Business Registration Number 商業登記號碼	

(5) Current Business Address* 現時營業地址*	Line 1 (Eg. Suite, Floor, Building, Street, District) 第一行 (例如: 室, 樓層, 大廈, 街道, 地區)
	Line 2 (City)* 第二行 (城市) *
	Line 3 (Eg. Province, State) 第三行 (例如: 省, 州)
	Country* 國家*
	Postal Code / ZIP Code 郵政編碼 / 郵遞區號碼
(6) Mailing Address (complete if different from the current business address)* 通訊地址 (如通訊地址與現時營業地址不同, 填寫此欄)	Line 1 (Eg. Suite, Floor, Building, Street, District) 第一行 (例如: 室, 樓層, 大廈, 街道, 地區)
	Line 2 (City)* 第二行 (城市) *
	Line 3 (Eg. Province, State) 第三行 (例如: 省, 州)
	Country* 國家*
	Postal Code / ZIP Code 郵政編碼 / 郵遞區號碼

B	ACCOUNT HOLDER'S CLASSIFICATION UNDER APPLICABLE TAX REGULATIONS 帳戶持有人根據適用稅務法例的分類
1	FATCA CLASSIFICATION 外國帳戶稅務遵從法分類
Please tick one of the appropriate boxes and provide the relevant information. 請在其中一個適當的方格內加上“√”號, 並提供有關資料。	
<input type="checkbox"/>	a) Reporting FI in an IGA jurisdiction (please provide GIIN below) 跨政府協議司法管轄區內有申報義務的金融機構 (請在下欄提供全球中介機構識別號碼)
<input type="checkbox"/>	b) Participating Foreign Financial Institution in a non-IGA jurisdiction (please provide GIIN below) 非跨政府協議司法管轄區的參與海外金融機構 (請在下欄提供全球中介機構識別號碼)
<input type="checkbox"/>	c) Non-Participating Foreign Financial Institution 非參與海外金融機構
<input type="checkbox"/>	d) Deemed-Compliant Foreign Financial Institution (please provide GIIN below if you are a registered deemed-compliant foreign financial institution or sponsored entity with a GIIN) 視作合規海外金融機構 (倘您是已註冊視作合規海外金融機構或具有全球中介機構識別號碼的資助實體, 請在下欄提供全球中介機構識別號碼) For trustee documented trust or sponsored entity, please provide the name of the trustee or sponsor and associated GIIN: 受托人信托或資助實體, 請提供受托人或資助人名稱及相關全球中介機構識別號碼: Name of Trustee(s) or Sponsor(s): 受托人或資助人名稱: _____ Global Intermediary Identification Number (GIIN) of the Trustee(s) or Sponsor(s): 受托人或資助人的全球中介機構識別號碼: _____
<input type="checkbox"/>	e) Exempt Beneficial Owner 獲豁免實益擁有人
<input type="checkbox"/>	f) Passive Non-Financial Foreign Entity (Passive NFFE) 非實質營運的非金融海外實體
<input type="checkbox"/>	g) Active Non-Financial Foreign Entity (Active NFFE) 實質營運的非金融海外實體 Please specify: 請註明: _____

<input type="checkbox"/>	h) Others, please specify: 其他，請註明：_____
Global Intermediary Identification Number (GIIN) of the account holder: 帳戶持有人的全球中介機構識別號碼：_____	
2	CRS CLASSIFICATION 共同申報準則分類
Please tick one of the appropriate boxes and provide the relevant information. 請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. 托管機構，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 (eg. With discretion to manage the entity's assets) and located in a non-participating jurisdiction. 投資實體，但不包括由另一財務機構管理（例如：擁有酌情權管理投資實體的資產）並位於非參與稅務管轄區的投資實體
Active NFE 主動非財務實體	<input type="checkbox"/> NFE the stock of which is regularly traded _____, which is on an established securities market. 該非財務實體的股票在_____（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

C	CONTROLLING PERSON (Complete this part if the entity account holder is a “Passive NFE” in FATCA classification or a “Passive NFE” in CRS classification) 控權人(如實體帳戶持有人於外國帳戶稅務遵從法分類為“非實質營運的非金融海外實體”或於共同申報準則分類為“被動非財務實體”，填寫此部)	
Indicate the name of all controlling person(s) of the account holder in the table below. If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official. 就帳戶持有人，填寫所有控權人的姓名在列表內。就法人實體，如行使控制權的並非自然人，控權人會是該法人實體的高級管理人員。 Complete “Self-Certification Form - Controlling Person (FATCA and CRS)” for each controlling person. 每名控權人須分別填寫“自我證明表格 - 控權人 (FATCA and CRS)”		
(1)		(5)
(2)		(6)
(3)		(7)
(4)		(8)

D	JURISDICTION OF RESIDENCE & TAXPAYER IDENTIFICATION NUMBER OR ITS FUNCTIONAL EQUIVALENT ("TIN")* 居留司法管轄區及稅務編號或具有等同功能的識別編號（以下簡稱“稅務編號”）*			
1	DECLARATION OF US TAX STATUS 美國稅務身份聲明			
<p>Is the account holder a Specified US Person or US Person? 帳戶持有人是否特定美國人士 / 美國人士？</p> <p><input type="checkbox"/> Yes - US Federal Taxpayer Identification Number ("TIN") 是 - 其美國聯邦納稅人識別號碼為：_____</p> <p><input type="checkbox"/> No 否</p>				
2	DECLARATION OF TAX RESIDENCE 納稅居住地聲明			
<p>Please complete the following table indicating:</p> <p>(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) the jurisdictions of residence.</p> <p>請提供以下資料，列明：</p> <p>(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（包括香港在內）；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。</p> <p>If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number. 如帳戶持有人是香港稅務居民，稅務編號是其香港商業登記號碼。</p> <p>If the account holder is not a tax resident in any jurisdiction (eg. Fiscally transparent), indicate the jurisdiction in which its place of effective management is situated. 如果帳戶持有人並非任何稅務管轄區的稅務居民（例如：它是財政透明實體），填寫實際管理機構所在的稅務管轄區。</p> <p>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. 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。</p>				
Jurisdiction of Tax Residence 稅務管轄權所屬國家/地區		TIN# 稅務編號	Enter Reason A, B or C if no TIN is available 如未能提供有關稅務編號須填寫理由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，請解釋帳戶持有人不能取得稅務編號的原因
1				
2				
3				
4				
5				

E

DECLARATIONS AND SIGNATURE 聲明及簽署

We acknowledge and agree that (i) the information contained in this form is collected and may be kept by JMC for the purpose of automatic exchange of financial account information, and (ii) such information and information regarding the account holder and any reportable account(s) may be reported by JMC to any regulator(s) / tax authority(ies) where applicable law(s) require(s), and in particular, 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).

吾等知悉及同意，富喬鑫資本（香港）有限公司（“富喬鑫”）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，（i）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（ii）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監管機構或稅務機構（如適用），尤其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。

We agree that the information contained in this form may be shared and used by any member of JMC Group (including JMC, its holding, subsidiary and associated companies) for the purpose of automatic exchange of financial account information provided under the Inland Revenue Ordinance (Cap 112).

吾等同意富喬鑫集團成員（包括富喬鑫、其控股公司、附屬公司及聯營公司）可分享及使用本表格所載列的資料，作有關稅務條例中自動交換財務帳戶資料的用途。

Subject to applicable law(s) of any jurisdiction, we hereby give our consent to JMC for sharing our information with domestic and overseas regulators or tax authorities where necessary to establish our tax liability in any jurisdiction. Where required by domestic or overseas regulators or tax authorities, we consent and agree that JMC may withhold from our account(s) of such amounts as may be required according to applicable laws, regulations and directives.

根據任何司法管轄區適用法律，吾等同意富喬鑫可向本地或海外的監管機構或稅務機構提供吾等資料以確立吾等在任何司法管轄區的稅務責任。因應本地或海外的監管機構或稅務機構需要，吾等准許並同意富喬鑫可按適用的法律，法規和指令在吾等帳戶中扣留相關所須的金額款項。

We certify that we are the account holder / we are authorized to sign for the account holder of all the account(s) to which this form relates.

吾等證明，就與本表格所有相關的帳戶，吾等是帳戶持有人/吾等獲帳戶持有人授權簽署本表格。

We undertake to advise JMC of any change in any information or circumstances which affects the tax residency status of the entity identified in this form or causes the information contained herein to become incorrect, and to provide JMC with a suitably updated self-certification form within 30 days of such change in circumstances [or information].

吾等承諾，如資料或情況有所改變，以致影響本表格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，吾等會通知富喬鑫，並會在情況或資料發生改變後 30 日內，向富喬鑫提交一份已適當更新的自我證明表格。

We declare that the information given and statements made in this form are, to the best of our knowledge and belief, true, correct and complete.

吾等聲明就吾等所知所信，本表格內所填報的所有資料和聲明均屬真實，正確和完備。

Signature 簽署:  _____

Name 姓名: _____

Capacity 身份: _____

(eg. Director or officer of a company, partner of a partnership, trustee of a trust etc.)(例如:

公司的董事或高級人員，合夥的合夥人，信托的受托人等)

Date (dd/mm/yyyy) 日期(日/月/年): _____

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。

SELF-CERTIFICATION FORM - CONTROLLING PERSON (FATCA & CRS)
自我證明表格 - 控權人 (FATCA 和 CRS)

CLIENT NAME & ACCOUNT NUMBER 客戶姓名和帳戶編號	
Client English Name 客戶英文姓名	
Client Chinese Name 客戶中文姓名	
Account Number 帳戶編號	

IMPORTANT NOTES 重要提示
<p>➤ This is a self-certification form provided by a controlling person to JMC Capital HK Limited ("JMC") for the purpose of automatic exchange of financial account information. The data collected may be transmitted by JMC Capital to the Inland Revenue Department for transfer to the tax authority of another jurisdiction. 這是由控權人向富喬鑫資本（香港）有限公司（“富喬鑫”）提供的自我證明表格，以作自動交換財務帳戶資料用途。富喬鑫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局。</p> <p>➤ A controlling person should report all changes in his / her tax residency status to JMC. 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富喬鑫。</p> <p>➤ 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 JMC to the Inland Revenue Department. 除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄 / 部標有星號 (*) 的項目為富喬鑫須向稅務局申報的資料。</p> <p>➤ Financial institutions are not allowed to provide tax advice. If you have any questions regarding this form or defining your tax residency status, please speak to your tax adviser or relevant tax authority. Please find out more on the OECD website (http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/), including a list of jurisdictions that have signed agreements to exchange information automatically, along with details about the information being requested. 金融機構均不被允許向客戶提供稅務諮詢。如果您對此表格或您的稅務居民身份定義有任何疑問，請聯繫您的稅務顧問或相關稅務機關。您可以從經濟合作與發展組織（OECD）自動訊息交換網站獲取更多詳情 (http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/)，包括已簽署自動交換信息協議的司法管轄區的名單及被請求交換的有關信息。</p> <p>➤ You may be asked to provide additional documents to evidence the declaration made on this form. 您可能被要求提供額外證明文件，以核實此表格上的內容。</p>

A	IDENTIFICATION OF CONTROLLING PERSON 實體帳戶持有人的身分識別資料	
(1) Name of Controlling Person 控權人姓名	Title 稱謂: <input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Mrs. 太太 <input type="checkbox"/> Ms. 女士 <input type="checkbox"/> Miss 小姐 <input type="checkbox"/> Other 其他 _____	
	Last Name or Surname* 姓氏*	
	First or Given Name* 名字*	
	Middle Name(s) 中間名	
(2) Hong Kong Identity Card or Passport Number 香港身份證或護照號碼		

(3) Current Residential Address 現時住址	Line 1 (Eg. Suite, Floor, Building, Street, District) 第一行 (例如: 室, 樓層, 大廈, 街道, 地區)		
	Line 2 (City)* 第二行 (城市) *		
	Line 3 (Eg. Province, State) 第三行 (例如: 省, 州)		
	Country* 國家*		
	Postal Code / ZIP Code 郵政編碼 / 郵遞區號碼		
(4) Mailing Address (Complete if different from the current residential address) 通訊地址 (如通訊地址與現時住址不同, 填寫此欄)	Line 1 (Eg. Suite, Floor, Building, Street, District) 第一行 (例如: 室, 樓層, 大廈, 街道, 地區)		
	Line 2 (City)* 第二行 (城市) *		
	Line 3 (Eg. Province, State) 第三行 (例如: 省, 州)		
	Country* 國家*		
	Postal Code / ZIP Code 郵政編碼 / 郵遞區號碼		
(5) Date of Birth (dd/mm/yyyy) * 出生日期 (日/月/年) *			
(6) Place of Birth 出生地	Town / City 鎮 / 城市	Province / State 省 / 州	Country 國家

B	THE ENTITY ACCOUNT HOLDER(S) OF WHICH YOU ARE A CONTROLLING PERSON 你作為控權人的實體帳戶持有人	
Enter the name of the entity account holder of which you are a controlling person. 填寫你作為控權人的實體帳戶持有人的名稱		
Entity 實體	Name of the Entity Account Holder 實體帳戶持有人的名稱	
(1)		
(2)		
(3)		

C	FATCA DECLARATION FATCA 聲明	
Please tick "Yes" or "No" for each of the following questions. 請在“是”或“否”的方格內打“√”以回答以下問題。		
	Yes 是	No 否
(1) Are you a US resident? 閣下是否美國居民?		
(2) Are you a US citizen? 閣下是否美國公民?		
(3) Do you hold a US Permanent Resident Card (Green Card)? 閣下是否持有美國永久居民身份證?		
If yes, please provide US TIN 如有, 請提供美國 TIN: _____		

D		JURISDICTION OF RESIDENCE AND TAXPAYER IDENTIFICATION NUMBER OR ITS FUNCTIONAL EQUIVALENT ("TIN")* 居留司法管轄區及稅務編號或具有等同功能的識別編號（以下簡稱“稅務編號”）*		
<p>Please complete the following table indicating:</p> <p>(a) the jurisdiction of residence (including Hong Kong) where the controlling person is a resident for tax purposes; and</p> <p>(b) the controlling person's TIN for each jurisdiction indicated. Indicate all (not restricted to five) the jurisdictions of residence.</p> <p>請提供以下資料，列明：</p> <p>(a) 控權人的居留司法管轄區，亦即控權人的稅務管轄區（包括香港在內）；及</p> <p>(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。</p> <p>If the controlling person is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. 如控權人是香港稅務居民，稅務編號是其香港身份證號碼。</p> <p>TIN for a Chinese individual will be the ID number on the Chinese ID card. 中國之稅務編號是公民身份證號碼。</p> <p>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. 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。</p>				
Jurisdiction of Tax Residence 稅務管轄權所屬國家/地區		TIN# 稅務編號	Enter Reason A, B or C if no TIN is available 如 如未能提供有關稅務編 號須填寫理由A，B或C	Explain why the controlling person is unable to obtain a TIN if you have selected Reason B 如選取理由 B，解釋控權人不能取得 稅務編號的原因
1				
2				
3				
4				
5				

E	TYPE OF CONTROLLING PERSON 控權人類別			
Tick the appropriate box to indicate the type of controlling person for each entity stated in Part B. 就 B 部所載的每個實體，在適當方格內加上√號，指出控權人就每個實體所屬的控權人類別。				
Type of Entity 實體類別	Type of Controlling Person 控權人類別	Entity 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). Please specify shareholding: _____ % 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）請註明持股量： _____ %	<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) Please specify shareholding: _____ % 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）請註明持股量： _____ %	<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 信托	Settlor 財產授予人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Trustee 受托人	<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"/>
	Others (eg. Individual who exercises control over another entity being the settlor / trustee / protector / beneficiary) 其他（例如：如財產授予人/ 受托人/ 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 除信托以外的法律安排	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/相類於受托人位置的個人	<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"/>
	Others (eg. 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/受托人/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"/>

I acknowledge and agree that (i) the information contained in this form is collected and may be kept by JMC for the purpose of automatic exchange of financial account information, and (ii) such information and information regarding the controlling person and any reportable account(s) may be reported by JMC to any regulator(s) / tax authority(ies) where applicable law(s) require(s), and in particular, 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 controlling person may be resident for tax purposes pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap. 112).

本人知悉及同意，富喬鑫可根據《稅務條例》（第112章）有關交換財務帳戶資料的法律條文，（i）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（ii）把該等資料和關於控權人及任何須申報帳戶的資料向監管機構或稅務機構（如適用），尤其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 agree that the information contained in this form may be shared and used by any member of JMC Group (including JMC, its holding, subsidiary and associated companies) for the purpose of automatic exchange of financial account information provided under the Inland Revenue Ordinance (Cap. 112).

本人同意富喬鑫集團成員（包括富喬鑫、其控股公司、附屬公司及聯營公司）可分享及使用本表格所載列的資料，作有關稅務條例中自動交換財務帳戶資料的用途。

Subject to applicable law(s) of any jurisdiction, I hereby give my consent to JMC for sharing my information with domestic and overseas regulators or tax authorities where necessary to establish my tax liability in any jurisdiction. Where required by domestic or overseas regulators or tax authorities, I consent and agree that JMC may withhold from my account(s) of such amounts as may be required according to applicable laws, regulations and directives.

根據任何司法管轄區適用法律，本人同意富喬鑫可向本地或海外的監管機構或稅務機構提供本人資料以確立本人在任何司法管轄區的稅務責任。因應本地或海外的監管機構或稅務機構需要，本人准許並同意富喬鑫可按適用的法律，法規和指令在本人帳戶中扣留相關所須的金額款項。

I certify that I am the controlling person / I am authorized to sign for the controlling person of all the account(s) held by the entity account holder(s) to which this form relates.

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

I undertake to advise JMC of any change in any information or circumstances which affects the tax residency status of the individual identified in this form or causes the information contained herein to become incorrect, and to provide JMC with a suitably updated self-certification form within 30 days of such change in circumstances [or information].

本人承諾，如資料或情況有所改變，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，本人會通知富喬鑫，並會在情況或資料發生改變後30日內，向富喬鑫提交一份已適當更新的自我證明表格。

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

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

Signature 簽署:  _____

Name 姓名: _____

Capacity 身份: _____

(Indicate the capacity if you are not the individual identified in Section A. If signing under a power of attorney, attach a certified copy of the power of attorney.)

(如你不是甲部所述的個人，說明你的身份。如果你是以授權人身份簽署這份表格，附上該授權書的核證副本。)

Date (dd/mm/yyyy) 日期(日/月/年): _____

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。

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 United States (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 (including a qualified intermediary acting as a qualified derivatives dealer) 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): <div><div><input type="checkbox"/> Simple trust <input type="checkbox"/> Central Bank of Issue <input type="checkbox"/> Grantor trust</div><div><input type="checkbox"/> Tax-exempt organization <input type="checkbox"/> Private foundation <input type="checkbox"/> Disregarded entity</div><div><input type="checkbox"/> Corporation <input type="checkbox"/> Complex trust <input type="checkbox"/> Estate <input type="checkbox"/> International organization</div><div><input type="checkbox"/> Partnership <input type="checkbox"/> Foreign Government - Controlled Entity <input type="checkbox"/> Foreign Government - Integral Part</div></div> <div>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. <input type="checkbox"/> Yes <input type="checkbox"/> No</div>	
5 Chapter 4 Status (FATCA status) (See instructions for details and complete the certification below for the entity's applicable status.) <div><div><input type="checkbox"/> Nonparticipating FFI (including an FFI related to a Reporting IGA FFI other than a deemed-compliant FFI, participating FFI, or exempt beneficial owner). <input type="checkbox"/> Participating FFI. <input type="checkbox"/> Reporting Model 1 FFI. <input type="checkbox"/> Reporting Model 2 FFI. <input type="checkbox"/> Registered deemed-compliant FFI (other than a reporting Model 1 FFI, sponsored FFI, or nonreporting IGA FFI covered in Part XII). See instructions. <input type="checkbox"/> Sponsored FFI. Complete Part IV. <input type="checkbox"/> Certified deemed-compliant nonregistering local bank. Complete Part V. <input type="checkbox"/> Certified deemed-compliant FFI with only low-value accounts. Complete Part VI. <input type="checkbox"/> Certified deemed-compliant sponsored, closely held investment vehicle. Complete Part VII. <input type="checkbox"/> Certified deemed-compliant limited life debt investment entity. Complete Part VIII. <input type="checkbox"/> Certain investment entities that do not maintain financial accounts. Complete Part IX. <input type="checkbox"/> Owner-documented FFI. Complete Part X. <input type="checkbox"/> Restricted distributor. Complete Part XI.</div><div><input type="checkbox"/> Nonreporting IGA FFI. Complete Part XII. <input type="checkbox"/> Foreign government, government of a U.S. possession, or foreign central bank of issue. Complete Part XIII. <input type="checkbox"/> International organization. Complete Part XIV. <input type="checkbox"/> Exempt retirement plans. Complete Part XV. <input type="checkbox"/> Entity wholly owned by exempt beneficial owners. Complete Part XVI. <input type="checkbox"/> Territory financial institution. Complete Part XVII. <input type="checkbox"/> Excepted nonfinancial group entity. Complete Part XVIII. <input type="checkbox"/> Excepted nonfinancial start-up company. Complete Part XIX. <input type="checkbox"/> Excepted nonfinancial entity in liquidation or bankruptcy. Complete Part XX. <input type="checkbox"/> 501(c) organization. Complete Part XXI. <input type="checkbox"/> Nonprofit organization. Complete Part XXII. <input type="checkbox"/> Publicly traded NFFE or NFFE affiliate of a publicly traded corporation. Complete Part XXIII. <input type="checkbox"/> Excepted territory NFFE. Complete Part XXIV. <input type="checkbox"/> Active NFFE. Complete Part XXV. <input type="checkbox"/> Passive NFFE. Complete Part XXVI. <input type="checkbox"/> Excepted inter-affiliate FFI. Complete Part XXVII. <input type="checkbox"/> Direct reporting NFFE. <input type="checkbox"/> Sponsored direct reporting NFFE. Complete Part XXVIII. <input type="checkbox"/> Account that is not a financial account.</div></div>	
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

Part I Identification of Beneficial Owner *(continued)***8** U.S. taxpayer identification number (TIN), if required**9a** GIIN**b** Foreign TIN**c** Check if FTIN not legally required. ☐**10** Reference number(s) (see instructions)**Note:** Please complete remainder of the form including signing the form in Part XXX.**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☐ Branch treated as nonparticipating FFI.☐ 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☐ No LOB article in treaty☐ 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: _____**17** **Check whichever box applies.**☐ I certify that the entity identified in Part I:

• Is an investment entity;

• Is not a QI, WP (except to the extent permitted in the withholding foreign partnership agreement), 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 5% 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.

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 Regulations section 1.1471-5(e)(4);
- Is not a QL, 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**
- 20 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% 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 Regulations section 1.1471-5(f)(2)(iv)).

Part IX Certain Investment Entities that Do Not Maintain Financial Accounts**23** ☐ I certify that the entity identified in Part I:

- Is a financial institution solely because it is an investment entity described in Regulations section 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:
 - (i) 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);
 - (ii) 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**
 - (iii) 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 Regulations section 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 4 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 Regulations section 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 Regulations section 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 _____.
- The trustee is: ☐ U.S. ☐ Foreign

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 Regulations section 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; **and**
- 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 Regulations section 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**
 - (i) 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;
 - (ii) 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 Regulations section 1.1471-5(b)(2)(i)(A));
 - (iii) 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 Regulations section 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**
 - (iv) 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 Regulations section 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% 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, or accounts described in Regulations section 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 Regulations section 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 Regulations section 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 Regulations section 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 Regulations section 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 Regulations section 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 Regulations section 1.1471-5(e)(5)(i)(C) through (E);
 - Is a member of a nonfinancial group described in Regulations section 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 3 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 Nonprofit Organization

- 36** ☐ I certify that the entity identified in Part I is a nonprofit 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 noncharitable 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 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:
 - (i) Does not accept deposits in the ordinary course of a banking or similar business;
 - (ii) Does not hold, as a substantial portion of its business, financial assets for the account of others; **or**
 - (iii) 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.

Part XXVII Excepted Inter-Affiliate FFI**41** ☐ I certify that the entity identified in Part I:

- Is a member of an expanded affiliated group;
- Does not maintain financial accounts (other than accounts maintained for members of its expanded affiliated group);
- Does not make withholdable payments to any person other than to members of its expanded affiliated group;
- Does not hold an account (other than depository accounts in the country in which the entity is operating to pay for expenses) with or receive payments from any withholding agent other than a member of its expanded affiliated group; **and**
- Has not agreed to report under Regulations section 1.1471-4(d)(2)(ii)(C) or otherwise act as an agent for chapter 4 purposes on behalf of any financial institution, including a member of its expanded affiliated group.

Part XXVIII Sponsored Direct Reporting NFFE (see instructions for when this is permitted)**42** Name of sponsoring entity: _____**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.**Part XXIX Substantial U.S. Owners of Passive NFFE**

As required by Part XXVI, provide the name, address, and TIN of each substantial U.S. owner of the NFFE. Please see the instructions for a definition of substantial U.S. owner. If providing the form to an FFI treated as a reporting Model 1 FFI or reporting Model 2 FFI, an NFFE may also use this part for reporting its controlling U.S. persons under an applicable IGA.

Name	Address	TIN

Part XXX 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:

- The entity identified on line 1 of this form is the beneficial owner of all the income or proceeds to which this form relates, is using this form to certify its status for chapter 4 purposes, or is submitting this form for purposes of section 6050W or 6050Y;
- The entity identified on line 1 of this form is not a U.S. person;
- This form relates to: (a) income not effectively connected with the conduct of a trade or business in the United States, (b) income effectively connected with the conduct of a trade or business in the United States but is not subject to tax under an income tax treaty, (c) the partner's share of a partnership's effectively connected taxable income, or (d) the partner's amount realized from the transfer of a partnership interest subject to withholding under section 1446(f); **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 the entity on line 1 is the beneficial owner or any withholding agent that can disburse or make payments of the income of which the entity on line 1 is the beneficial owner.

I agree that I will submit a new form within 30 days if any certification on this form becomes incorrect.

☐ I certify that I have the capacity to sign for the entity identified on line 1 of this form.

Sign Here_____
Signature of individual authorized to sign for beneficial owner_____
Print Name_____
Date (MM-DD-YYYY)