



## Account Opening Form 開戶表格

Please tick the appropriate box 請在適當空格加 ✓

\*Please delete whichever is inapplicable 請刪去不適用者

Account Opening Date 開戶日期: \_\_\_\_\_

To: Guodu Securities (Hong Kong) Limited 致: 國都證券(香港)有限公司

I/We hereby apply to Guodu Securities (Hong Kong) Limited to open and maintain a securities trading account ("Securities Trading Account") in my/our name for the purpose of instructing Guodu Securities (Hong Kong) Limited to buy and sell, and otherwise deal with, securities and other investments on my/our behalf and I/we hereby accept and agree to be bound by the provisions of this Account Opening Form and the Terms and Conditions for Securities Trading Account.

本人/吾等謹此向國都證券(香港)有限公司申請以本人/吾等的名義開設及維持證券交易帳戶(「證券交易帳戶」), 以用作指示國都證券(香港)有限公司代本人/吾等買賣及以其他方式處置證券及其他投資;而本人/吾等謹此接納並同意受本開戶表格及規限證券交易帳戶之條款約束。

Please choose 請選擇:

☐ Cash Account 現金賬戶

☐ Designated Account for CIES 投資移民賬戶

☐ Margin Account 孖展賬戶 (Margin Account has to sign on page 5) (孖展賬戶需同時簽署本表格第5頁)

Do you require internet trading facilities for the following market:

您是否需要開通以下股票市場之網上交易服務:

☐ Yes 是

☐ No 否

Please choose 請選擇:

☐ HK shares 香港股票

☐ U.S. shares 美國股票

☐ A shares 中國A股

☐ B shares 中國B股

☐ Others 其他 \_\_\_\_\_

### Account Holder's Personal Information 帳戶持有人個人資料

Name 姓名

☐ Mr. 先生

☐ Ms. 女士

In English 英文:

In Chinese 中文:

ID / Passport No.\* 身份證/ 護照號碼\*

Nationality 國籍

Date of Birth 出生日期 (dd/mm/yyyy 日/月/年)

Home Phone No. 住宅電話

Mobile Phone No. 手提電話

Fax No. 傳真號碼

Residential Address 住宅地址

☐ Owned 自置

☐ Mortgaged / Monthly / Installment 按揭 / 每月供款\$ \_\_\_\_\_

☐ With Parents 與父母同住

☐ Others 其他

Employer Name 僱主名稱

Employer Phone No. 公司電話

Year(s) with Existing Employer 已任職年期

Position 職位

Office Address 公司地址

### Address for correspondence and forwarding of confirmations and statements 單據往來地址

☐ E-mail address 電郵地址 (Please state 請列明): \_\_\_\_\_

☐ Residential address 住宅地址

☐ Office address 公司地址

### Receiving Bank Account 收款銀行戶口

Please provide details of Client's bank account to which Client's money will be transferred.

請提供可供轉入客戶款項的客戶銀行戶口資料

Banker's Name 銀行名稱

☐ HKD 港幣

☐ USD 美元

☐ CNY 人民幣

A/C Holder's Name 賬戶名稱

A/C No. 賬戶號碼

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Account Holder's Financial Profile and Investment Experience 帳戶持有人之財務紀錄及投資經驗

(The Company is required to obtain this information to fulfill the "know-your-client requirements" of the Securities and Futures Commission of Hong Kong. 本公司根據香港證券及期貨事務監察委員會所制定之 [認識你的客戶要求] 而索取有關資料。)

Estimated Annual Income (HK\$)

估計年薪(港元)

- ☐ HK\$200,000 - HK\$500,000  
☐ HK\$500,001 - HK\$1,000,000  
☐ HK\$1,000,001 - HK\$5,000,000  
☐ Above HK\$5,000,000 以上  
☐ Other income Source:  
☐ 其他收入來源: \_\_\_\_\_

Approximate net asset value (HK\$)(Total Asset - Total Liabilities)

估計資產淨值(港元)(總資產 - 總負債)

- ☐ Under HK\$500,000 以下  
☐ HK\$500,001 - HK\$2,500,000  
☐ HK\$2,500,001 - HK\$5,000,000  
☐ Above HK\$5,000,000 以上

Investment Objectives 投資目標

- ☐ Long Term 長線 ☐ Medium Term 中線 ☐ Short Term 短線  
☐ Capital Growth 增值 ☐ Dividend Income 股息收入 ☐ Others 其他 \_\_\_\_\_

Investment Experience 投資經驗(年資)

- ☐ Nil 沒有 ☐ Less than 1 Year 少於1年 ☐ 1-3 Years 年 ☐ 3-5 Years 3-5年 ☐ 5-10 Years 5-10年 ☐ Over 10 Years 超過10年

Products 投資產品

	Average-Portfolio Value(HK\$) 過去三年平均價值(港元)		Average-Portfolio Value(HK\$) 過去三年平均價值(港元)
Shares 股票	_____	Futures/Option 期貨/期權	_____
Bonds 債券	_____	Purpose: Speculation / Hedging / Investment	_____
Leverage Foreign Exchange 槓桿外匯	_____	目的: <input type="checkbox"/> 投機 <input type="checkbox"/> 對沖 <input type="checkbox"/> 投資	_____
Precious Metals 貴重金屬	_____	Other relevant Investment experience 其他投資經驗	_____

Derivative Products Knowledge Evaluation 衍生產品之知識評估

I/We have acquired knowledge of derivative products (Please choose one)

本人/吾等從以下途徑已獲得對衍生產品之知識(請選擇一項)

- ☐ By undergoing training or attending courses that provide general knowledge of the nature and risk of derivatives (e.g. relevant online or classroom courses offered by academic institutions or financial institutions)  
已接受有關介紹一般衍生產品之性質及風險的培訓或課程(例如由學術機構或金融機構所提供之網上課程或教室課程)
- ☐ From my/our previous work experience related to derivative products  
從本人/吾等以前與衍生產品有關之工作經驗  
From my/our work experience in financial institutions (e.g. Banks, Securities Brokerage Firms etc.) or any others  
本人/吾等於金融機構(例如銀行, 證券公司等)擁有相關工作經驗或其他  
Please specify 請註明 \_\_\_\_\_
- ☐ From my/our relevant trading experience i.e. I/we have executed five or more transactions in derivative products (whether traded on an exchange or not) within the past three years  
從本人/吾等相關之交易經驗, 即本人/吾等於過去三年內已進行了五次或以上有關衍生產品之交易(不論是否交易所進行交易)
- ☐ I/We have NOT acquired knowledge of derivative products.  
從本人/吾等並未有衍生產品之知識

Licensed / Registered Person Declaration 持牌/註冊人士申報

Are you a licensed/registered securities or commodities professional, or an employee of a licensed/registered person (e.g. Employee of a brokerage firm/bank, etc.) with the Securities and Futures Commission?

閣下是否為證券及期貨事務監察委員會的持牌/註冊證券或期貨從事員, 或其持牌/註冊機構(如經紀行/銀行)等僱員?

- ☐ No 否 ☐ Yes, Please specify 是, 請列明: \_\_\_\_\_

Do you have any relative(s) working in Guodu Securities (Hong Kong) Limited?

閣下的直系親屬是否國都證券(香港)之員工?

- ☐ No 否 ☐ Yes 是, Name 姓名: \_\_\_\_\_ Relationship 關係: \_\_\_\_\_



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Nationality Declaration 國籍聲明

I/We, to the best of my/our knowledge, hereby acknowledge and confirm that the following declaration is true, correct, and complete.

本人/吾等謹就以下列點作出聲明，並盡我所知確認此聲明真實、準確且完整：

1. I/We were not born in U.S;  
本人/吾等并非于美國出生
2. I/We are not the U.S. residents;  
本人/吾等并非于美國居住
3. I/We do not have any U.S. residence address or mailing address;  
本人/吾等沒有擁有美國的居住位址、通訊位址。
4. I/We do not have any U.S. contact number or fax number;  
本人/吾等沒有擁有任何一個美國的聯絡電話或傳真號碼
5. I/We are not the U.S. citizen(s);  
本人/吾等沒有擁有美國之國籍
6. I/We do not hold the U.S green card(s);  
本人/吾等沒有持有美國綠卡
7. I/We are not subject to U.S. tax under an applicable income tax treaty;  
本人/吾等無需申報美國稅，或就任何收入報繳美國稅
8. I/We are the ultimate beneficial owner of the stock account;  
本人/吾等為該帳戶之實際受益擁有人
9. I/We have never granted any U.S. citizens (or any other U.S. persons, including residents etc.) the authority to sign or manage the account on behalf of me/us.  
本人/吾等從未授予任何美國人(或任何可能具有美國身份之個人，如擁有美國住址等)該帳戶之代理或代其簽名之權限

**I/We, signed below, certify that I/we are not the U.S. citizen(s) or other U.S. person(s) subject to tax.**

簽署此申請表格時，本人/吾等確認本人/吾等不是美國公民或就稅務目的而言的居民。

Account Applicant's Declaration 戶口申請人聲明

Are you the ultimate beneficial owner(s) of the account? (The information is required by The Securities & Futures Commission's Client Identity Rules)

閣下是否此戶口之最終受益擁有人？(所需資料是根據香港證券及期貨事務監察委員會所制定的客戶身份規則索取)

☐ Yes 是 ☐ No, please provide details 否、請提供詳細資料：

Name 姓名	ID / Passport No.* 身份證/護照號碼*	Contact Phone No. 聯絡電話
Address 地址		

Do you maintain any other account(s) with Guodu Securities (Hong Kong) Limited?

閣下現時是否已持有其他國都證券(香港)有限公司之戶口？

☐ No 否 ☐ Yes, please provide details 是、請提供詳細資料：

Account Name 客戶姓名	Account Type. 戶口類別	Account No. 戶口號碼
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Client Signature 客戶簽署

I/We hereby declare that the information as set out in the above Client Information Statement is true, complete and accurate and can be relied upon by you in the satisfaction of your obligations. I/We undertake to notify you promptly in case of any change of information.  
本人/吾等謹此聲明開列於上列客戶資料表的資料屬真實、完整及為正確無誤。貴公司可倚賴此等資料以履行其義務。凡上述資料如有任何更改，本人/吾等謹此承諾儘快通知貴公司。



請在此處簽名

Account Holder's Signature  
戶口持有人簽署

Date 日期

## Signatures Page 簽署頁

### I/we hereby acknowledge and confirm that:

- ☐ I/we have received, read and understood the Terms and Conditions for Securities Trading Account (and the schedules, appendices and annexes thereto, if any) ("Securities Trading Account Terms"), and I/we accept and agree to be bound by them; the risk disclosure statements (as contained in the Securities Trading Account Terms) were provided to me/us in a language of my/our choice (English or Chinese); I/we was/were invited to read the risk disclosure statements, and to ask questions and take independent advice if I/we so wished, understand it and agree to its terms;
- ☐ I/we have received, read and understood GUODU's Notice to Customers on the Personal Data(Privacy) Ordinance;
- ☐ I/we have received and read The Risks of the Trading of Derivative Products Explanatory Note and completed the relevant products knowledge evaluation, and I / we understood that I / we before making any investment decision in the relevant products should read carefully the related offering documentation and any other relevant documentation, in particular, detailed risks relating to each product contained in such documents.
- ☐ I/We, signed below, certify that I/we are not the U.S. citizen(s) or other U.S. person(s) subject to tax.

### 本人/吾等謹此承諾並確認:

- ☐ 本人/吾等已收到、閱讀及明白規限證券交易帳戶之條款(包括其附表、附錄及附件(如有)(證券交易帳戶條款)), 而本人/吾等接納並同意受該等條款約束; 本人/吾等已獲提供以本人/吾等選擇語言(英文或中文)所撰寫的風險披露聲明(載於證券交易帳戶條款內); 本人/吾等已獲邀請參閱風險披露聲明, 並按其意願提出問題及諮詢獨立意見, 並明白且同意其條款;
- ☐ 本人/吾等已收到、閱讀及明白國都給予客戶有關《個人資料(私隱)條例》的通知;
- ☐ 本人/吾等已收到、參閱《買賣衍生產品風險說明》及填寫有關產品的知識評估, 理解本人/吾等在投資有關產品前應仔細閱讀有關上市發售文件及任何其他相關文件, 特別是該些文件中列載關於各種產品的風險詳情;
- ☐ 簽署此申請表格時, 本人/吾等確認本人/吾等不是美國公民或就稅務目的而言的美國居民。



請在此處簽名

Account Holder's Signature  
戶口持有人簽署

Date 日期

## Certification 見證

To be certified by a person licensed or registered with Hong Kong SFC, a staff member of Guodu Securities(Hong Kong) Limited or an affiliate of a licensed or registered person, a Justice of the Peace, Or a professional person (such as a branch manager of a bank, certified public accountant, lawyer or notary public).

由香港證監會發牌或註冊之人士、國都證券(香港)有限公司職員或其聯繫人士、太平紳士或專業人士(如銀行分行經理、執業會計師、律師或公證人)核證。

I, named below, certify that I have met and identified each of the person(s) who executed this Form before me, and reviewed the original of his/their ID card(s) or passport(s).

本人(姓名見下)核證已經與本表格簽署人會晤及核對其身份證或護照正本, 他(們)並在本人面前簽署本表格。

Signature of Witness 見證人簽署

Name 見證人姓名:

Profession 職業:

Date 日期:

## Margin Account Standing Authority 保證金帳戶常設授權書

Dear Sir / Madam 敬啟者：

### Margin Account Standing Authority \* 保證金帳戶常設授權書

This letter of standing authority covers all securities purchased or held by you on my/our behalf.  
本常設授權書是有關一切由貴公司代表本人/吾等購入或持有之證券。

This letter authorizes you to:

1. Apply any of my/our securities or securities collateral to a securities borrowing and lending agreement;
2. deposit any of my/our securities collateral with an authorized financial institution as collateral for financial accommodation provided to you; and/or
3. deposit any of my/our securities collateral with a recognized clearing house or another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of your settlement obligations and liabilities, without notice to me/us, pursuant to Section 7 of the Securities and Futures (Client Securities) Rules.

本常設授權書，根據《證券及期貨(客戶證券)規則》第7條的規定，授權貴公司：

1. 依據證券借貸協議運用任何本人/吾等的證券或證券抵押品；
2. 將任何本人/吾等的證券抵押品存放於認可財務機構，作為提供予貴公司的財務通融的抵押品；
3. 將任何本人/吾等的證券抵押品存放於認可結算所或另一獲發牌或獲註冊進行證券交易的中介人，作為解除貴公司在交收上的義務和清償貴公司在交收上的法律責任的抵押品，而無須通知本人/吾等。

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

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

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

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

You are accountable to me/us for the return of any securities borrowed, lent, or deposited under this authority.  
貴公司須向本人/吾等負責償還有關根據本授權書而作出借、貸或存放之證券。

I/We understand that a third party may have rights to my/our securities, which you must satisfy before my/our securities can be returned to me/us.  
本人/吾等明白本人/吾等的證券可能受制於第三者之權利，貴公司可於全數抵償該等權利後，方將本人/吾等的證券退回本人/吾等。

This authority is valid for a period of up to 12 months from the date hereof and maybe renewed for subsequent periods of 12 months either with my/our written consent or if I/we are given a written notice from you at least 14 days prior to the expiry of such authority and do not object to the renewal of such authority before its expiry. This authority may be revoked at any time on giving 30 days prior written notice to you.

本常設授權書以本函件日期起計十二個月內有效，並可於下列情況予以續期，每次續期的有效期為十二個月：本人/吾等以書面形式同意續期；或貴公司於授權有效期屆滿前不少於十四日向本人/吾等發出書面通知，而本人/吾等於授權有效期屆滿前未有提出反對續期。本人/吾等有權隨時以三十天書面通知貴公司撤銷此常設授權書。

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

本函件已全部向本人/吾等解釋清楚，並已被提醒可尋求獨立意見。本人/吾等明白本函件的内容。

### Client Signature 客戶簽署

\* Margin securities account clients must sign this Form, other clients need not  
保證金證券賬戶客戶必須簽署此授權書，其他客戶不需簽署



請在此處簽名

Account Holder's Signature  
戶口持有人簽署

Date 日期

Form **W-8BEN**

(Rev. February 2014)

Department of the Treasury  
Internal Revenue Service**Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)**

► For use by individuals. Entities must use Form W-8BEN-E.  
► Information about Form W-8BEN and its separate instructions is at [www.irs.gov/formw8ben](http://www.irs.gov/formw8ben).  
► Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

**Do NOT use this form if:**

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

**Instead, use Form:****Part I Identification of Beneficial Owner (see instructions)**

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

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

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

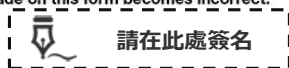
10 **Special rates and conditions** (if applicable—see instructions): The beneficial owner is claiming the provisions of Article \_\_\_\_\_ of the treaty identified on line 9 above to claim a \_\_\_\_\_ % rate of withholding on (specify type of income): \_\_\_\_\_

Explain the reasons the beneficial owner meets the terms of the treaty article: \_\_\_\_\_

**Part III Certification**

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

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income to which this form relates or am using this form to document myself as an individual that is an owner or account holder of a foreign financial institution,
  - The person named on line 1 of this form is not a U.S. person,
  - The income to which this form relates is:
    - (a) not effectively connected with the conduct of a trade or business in the United States,
    - (b) effectively connected but is not subject to tax under an applicable income tax treaty, or
    - (c) the partner's share of a partnership's effectively connected income,
  - The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country, and
  - For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.
- Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. **I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.**

**Sign Here**

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

Date (MM-DD-YYYY)

Print name of signer

Capacity in which acting (if form is not signed by beneficial owner)

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

Cat. No. 25047Z

Form **W-8BEN** (Rev. 2-2014)

## Self-Certification For Common Reporting Standard (CRS)-Individual

### 共同匯報標準客戶聲明 - 個人客戶

Important Notice to Customer(s): Please read this section before completing this form.

客戶須知: 填寫此表格前, 請先閱讀本節。

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.

金融機構均不允許給予客戶稅務諮詢。

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, 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。

(<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>)

Please note that where there are joint account holders, each account holder is required to complete a separate Self-Certification.

請注意: 如果客戶為聯名帳戶, 各聯名帳戶持有人必須各自填寫一份自我聲明。

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, 以核實此表格上之內容。

#### Section 1: Account Holder Identification 第一部份: 帳戶持有人身份

I hereby confirm that my personal information filled here are as per the account opening form.

本人聲明本人為帳戶持有人, 個人資料填報如開戶表格。

#### Section 2: Declaration of Residence for tax purpose 第二部份: 稅務居民身份

I hereby confirm that I am, for tax purposes, resident in the following jurisdiction(s).

本人聲明本人為下列司法管轄區之稅務居民。

Please fill in ALL jurisdiction(s) and the associated TIN(s) where you are a tax resident (including HKSAR of PRC). If you have any questions about your jurisdiction(s) of tax residency, please contact your tax advisor or relevant tax authority.

請填寫您為稅務居民所屬的所有司法管轄區及相應的稅務編號(包括中國香港在內)。如果您對您的稅務居民司法管轄區有任何疑問, 請聯繫您的稅務顧問或相關稅務機關。

If the account holder is a tax resident of HKSAR of PRC / Mainland China, the TIN is the HKSAR of PRC / Mainland China Identity Card Number.

如帳戶持有人是中國香港/中國內地稅務居民, 稅務編號是其中國香港/中國內地身份證號碼。

If a TIN is unavailable, please provide the appropriate reason A, B or C:

如未能提供稅務編號, 請填寫理由 A, B 或 C。

- |                  |   |
|------------------|---|
| Reason A<br>理由 A | The jurisdiction where the Account Holder is a resident for tax purposes does not issue TINs to its residents<br>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。  |
| Reason B<br>理由 B | The Account Holder is unable to obtain a TIN or equivalent number<br>(Please explain why you are unable to obtain a TIN in the below table)<br>帳戶持有人不能取得稅務編號。(請在下表中解釋不能取得稅務編號的原因)                 |
| Reason C<br>理由 C | TIN is not required. Select this reason only if the authorities of the jurisdiction of tax residence do not require the TIN to be disclosed.<br>帳戶持有人毋須提供稅務編號。(這理由只適用於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) |

Jurisdiction of Tax Residence 稅務居民司法管轄地	TIN 稅務編號	Enter Reason A, B or C if TIN is unavailable 如未能提供稅務編號, 請填寫理由 A, B 或 C.

Note: No need to complete this area if the account holder is a tax resident of HKSAR of PRC / Mainland China.  
注: 如帳戶持有人是中國香港/中國內地稅務居民, 此欄無需填寫。



**Additional Disclosure (if applicable) 額外披露 (如適用)**

**Common Reporting Standard Declarations 共同匯報標準聲明**

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.

本人在此聲明本人已查閱此自我聲明書之內容及陳述，並盡本人所知及確信，聲明內容均屬真實、正確及完整。

I acknowledge that the information contained in this form and information regarding the account holder may be reported to any local or foreign governmental, regulatory or tax authorities or bodies (including but not limited to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region of the People's Republic of China and the U.S. Internal Revenue Service), and to any other local foreign persons or entities required or directed by applicable laws, regulations, practices or guidelines (including but not limited to the Hong Kong Inland Revenue Ordinance, any local implementation of the OECD Standard for Automatic Exchange of Financial Information in Tax Matters/Common Reporting Standard, the U.S. Foreign Account Tax Compliance Act (FATCA) and local implementation hereof, and any similar tax information sharing regime put in place in Hong Kong or any other relevant jurisdiction) or deemed necessary by Guodu Securities (Hong Kong) Limited; and stored, used and disclosed by Guodu Securities (Hong Kong) Limited so that it can comply with obligations, commitments, arrangement or market practices in relation to providing services to me.

本人明白既承認此聲明書及有關本人及須申報賬戶的任何資料可向任何本地或海外政府、監管或稅務機關或機構(包括但不限於中華人民共和國香港特別行政區政府稅務局及美國國稅局)提供，以及向適用法例、法規、慣例或指引(包括但不限於香港稅務條例、任何在本地實施的OECD「經濟合作與發展組織稅務金融訊息自動交換標準/通用報告準則」、美國《外國賬戶稅收合規法案》及在香港或任何其他相關司法管轄地已落實的同類稅務資訊共用制度)所規定或指示或國都證券(香港)有限公司認為必要的任何其他本地或海外人士或單位提供；及可由國都證券(香港)有限公司存儲、使用及披露，以便其遵從有關向本人提供服務的義務、承諾、安排或市場慣例。

I undertake to advise Guodu Securities (Hong Kong) Limited of on any change in circumstances which affects the tax residency status of the individual identified in Section 1 of this form or cause the information contained herein to become incorrect, and to provide Guodu Securities (Hong Kong) Limited with a suitably updated Self-Certification form within 30 calendar days of such change in circumstances. 本人承諾如以上聲明有任何情況改變，而影響本表格的第一部分識別個人的稅務收居民身份有任何變化或導致此自我聲明書之內容及陳述變得不正確的信息時，將通知國都證券(香港)有限公司，並於情況改變發生的三十日內向國都證券(香港)有限公司重新提供正確的自我聲明書。

I certify that I am the account holder of all the account(s) to which this form relates.

本人聲明本人為帳戶持有人。

\_\_\_\_\_  
帳戶持有人簽署  
Signature of Account Holder

\_\_\_\_\_  
正楷姓名  
Print Name

\_\_\_\_\_  
日期 (日/月/年)  
Date (dd/mm/yyyy)

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a selfcertification, 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，可處第三級（即\$10,000）罰款。

In the event of any inconsistency between the English and Chinese language text on this Self-Certification form, the English version will prevail and all information provided by you on this form will be treated as addressing the English text.

如此表格的中、英文兩個版本有任何不相符之處，應以英文版本為準，所有您在此聲明書提供的資料會被視為回應英文版本原文。