



山金証券(香港)有限公司
SDG Securities (HK) Limited

Corporate Account Opening Form 法團開戶表格

For Internal Use Only 內部專用

Account Number: 帳戶號碼 : _____

Client Name: 客戶名稱 : _____

Account Opening Date: 開戶日期 : _____



SDG Securities (HK) Limited (CE Number: BMB958) 山金證券(香港)有限公司(中央編號: BMB958)

Corporate Account Opening Form 法團開戶表格

SDG Securities (HK) Limited ("SDGS") is licensed to carry on Type 1 (dealing in securities), Type 2 (dealing in futures contracts), Type 4 (advising on securities) and Type 5 (advising on futures contracts) regulated activities under the Securities and Futures Ordinance (Cap. 571 of the Laws of Hong Kong) ("SFO"). 山金證券(香港)有限公司(「山金證券」)根據香港法例第 571 章《證券及期貨條例》(「《證券及期貨條例》」)獲發牌經營第一類(證券交易)、第二類(期貨合約交易)、第四類(就證券提供意見)及第五類(就期貨合約提供意見)受規管活動。

1. Account Information 帳戶資料	
Client Type 客戶類別 <input type="checkbox"/> General investor 一般投資者 <input type="checkbox"/> Professional investor 專業投資者 * * Please complete Professional Investor Assessment Form 請填寫專業投資者評估表格	
Market Type (choose all that apply) 市場類別 (選擇所有適用選項) <input type="checkbox"/> Hong Kong equities (cash) 香港股票 (現金) <input type="checkbox"/> Hong Kong equities (margin) 香港股票 (保證金) <input type="checkbox"/> Global equities 環球股票 <input type="checkbox"/> Bonds (professional investors only) 債券 (只限專業投資者) <input type="checkbox"/> Futures 期貨	
Service Type 服務類別 <input type="checkbox"/> Electronic trading 電子交易	

2. Entity Information 實體資料		
Corporate Name (English) 法團名稱 (英文) (“Client”) (「客戶」)		Corporate Name (Chinese) 法團名稱 (中文)
Place of Incorporation 註冊地點		Date of Incorporation (dd/mm/yyyy) 註冊日期 (日 / 月 / 年)
Certificate of Incorporation Number 註冊證書號碼		Business Registration Number 商業登記號碼
Entity Type 實體類別 <input type="checkbox"/> Corporation 法團 <input type="checkbox"/> Trust 信託 <input type="checkbox"/> Partnership 合夥 <input type="checkbox"/> Sole proprietorship 獨資經營		Nature of Business 業務性質
Email Address 電郵地址	Office Phone Number 公司電話號碼	Fax Number 傳真號碼
Registered Address 註冊地址		
Principal Place of Business Address (if different from the above) 主要辦事處地址 (如與上述不同)		

3. Shareholder(s) and Director(s) Information 股東及董事資料			
#1	Capacity (choose all that apply) 身份 (選擇所有適用選項) <input type="checkbox"/> Shareholder 股東 <input type="checkbox"/> Director 董事		
	Name 姓名	ID/Passport Number 身份證 / 護照號碼	Nationality 國籍
#2	Capacity (choose all that apply) 身份 (選擇所有適用選項) <input type="checkbox"/> Shareholder 股東 <input type="checkbox"/> Director 董事		
	Name 姓名	ID/Passport Number 身份證 / 護照號碼	Nationality 國籍
#3	Capacity (choose all that apply) 身份 (選擇所有適用選項) <input type="checkbox"/> Shareholder 股東 <input type="checkbox"/> Director 董事		
	Name 姓名	ID/Passport Number 身份證 / 護照號碼	Nationality 國籍

4. Financial Information 財務資料				
Financial Profile 財務狀況				
Source(s) of Wealth (choose all that apply) 財富來源 (選擇所有適用選項) <input type="checkbox"/> Shareholder's fund 股東資金 <input type="checkbox"/> Client money 客戶資金 <input type="checkbox"/> Business profit 業務溢利 <input type="checkbox"/> Investment income 投資收入 <input type="checkbox"/> Rental income 租金收入 <input type="checkbox"/> Others: 其他: _____				
Net Profit (HK\$) 淨利潤 (港元) <input type="checkbox"/> <100,000 <input type="checkbox"/> 100,000~500,000 <input type="checkbox"/> 500,001~1,000,000 <input type="checkbox"/> 1,000,001~5,000,000 <input type="checkbox"/> 5,000,001~10,000,000 <input type="checkbox"/> 10,000,001~15,000,000 <input type="checkbox"/> >15,000,000				
Net Asset Value (HK\$) 資產淨值 (港元) <input type="checkbox"/> <100,000 <input type="checkbox"/> 100,000~500,000 <input type="checkbox"/> 500,001~1,000,000 <input type="checkbox"/> 1,000,001~5,000,000 <input type="checkbox"/> 5,000,001~10,000,000 <input type="checkbox"/> 10,000,001~15,000,000 <input type="checkbox"/> >15,000,000				
Net Liquid Asset Value (HK\$) 流動資產淨值 (港元) <input type="checkbox"/> <100,000 <input type="checkbox"/> 100,000~500,000 <input type="checkbox"/> 500,001~1,000,000 <input type="checkbox"/> 1,000,001~5,000,000 <input type="checkbox"/> 5,000,001~10,000,000 <input type="checkbox"/> 10,000,001~15,000,000 <input type="checkbox"/> >15,000,000				
Settlement Bank Account Information 結算銀行帳戶資料				
<i>Bank account name must be in the same name of the Client 銀行帳戶名稱必須與客戶名稱相同</i>				
#1	Currency 貨幣 <input type="checkbox"/> HKD 港元 <input type="checkbox"/> USD 美元 <input type="checkbox"/> RMB 人民幣			
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Bank Name 銀行名稱</td> <td style="width: 50%;">Account Number 帳戶號碼</td> </tr> <tr> <td style="height: 40px;"></td> <td></td> </tr> </table>	Bank Name 銀行名稱	Account Number 帳戶號碼	
Bank Name 銀行名稱	Account Number 帳戶號碼			
#2	Currency 貨幣 <input type="checkbox"/> HKD 港元 <input type="checkbox"/> USD 美元 <input type="checkbox"/> RMB 人民幣			
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Bank Name 銀行名稱</td> <td style="width: 50%;">Account Number 帳戶號碼</td> </tr> <tr> <td style="height: 40px;"></td> <td></td> </tr> </table>	Bank Name 銀行名稱	Account Number 帳戶號碼	
Bank Name 銀行名稱	Account Number 帳戶號碼			
#3	Currency 貨幣 <input type="checkbox"/> HKD 港元 <input type="checkbox"/> USD 美元 <input type="checkbox"/> RMB 人民幣			
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Bank Name 銀行名稱</td> <td style="width: 50%;">Account Number 帳戶號碼</td> </tr> <tr> <td style="height: 40px;"></td> <td></td> </tr> </table>	Bank Name 銀行名稱	Account Number 帳戶號碼	
Bank Name 銀行名稱	Account Number 帳戶號碼			

5. Investment Objectives 投資目的	
Investment Objective 投資目的 <input type="checkbox"/> Capital Gain 資本增值 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Income 收入 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Others: 其他: _____	
Estimated Investment Amount (HK\$) 估計投資金額 (港元) <input type="checkbox"/> <100,000 <input type="checkbox"/> 100,000~500,000 <input type="checkbox"/> 500,001~1,000,000 <input type="checkbox"/> 1,000,001~5,000,000 <input type="checkbox"/> 5,000,001~10,000,000 <input type="checkbox"/> 10,000,001~15,000,000 <input type="checkbox"/> >15,000,000	

6. Derivative Products Knowledge Assessment 衍生產品知識評估	
◆	Do you (i) have in-house treasury or investment function; (ii) have a designated investment committee; and/or (iii) engage an independent investment advisor, responsible for the investment strategies and decisions? 閣下是否(i)於內部設有司庫 / 投資團隊; (ii)設有專責投資委員會; 及 / 或(iii) 聘請獨立投資顧問, 以負責閣下的投資戰略和決策? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
◆	Is the person making investment decisions have sufficient investment background? 負責代表閣下 作出投資決定的人士是否具備充分的投資背景? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否

7. Client Disclosures 客戶披露		
◆	Is the Client acting as an intermediary for the account? 客戶是否以中介人身份操作帳戶? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 If yes, please specify the name, ID/passport number and residential address of the ultimate beneficial owner(s): 如是, 請提供最終權益擁有人的姓名、身份證 / 護照號碼及住宅地址:	
◆	Is the Client a licensed corporation under the SFO or a registered institution under the Banking Ordinance? 客戶是否為根據《證券及期貨條例》之持牌法團或《銀行業條例》之註冊機構? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 If yes, please specify the SFC CE number/HKMA registration number: 如是, 請提供證監會中央編號 / 金管局註冊號碼:	
◆	Is any shareholder, director, authorized person or ultimate beneficial owner of the Client an employee of a licensed corporation under the SFO or a registered institution under the Banking Ordinance? 客戶的股東、董事、授權人士或最終權益擁有人是否為根據《證券及期貨條例》之持牌法團或《銀行業條例》之註冊機構之僱員? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 If yes, please specify the name of the shareholder(s)/director(s)/authorized person(s)/ultimate beneficial owner(s), SFC CE number/HKMA registration number (if any), employer name and submit an employer consent letter which provides consent to open an account with SDGS: 如是, 請提供股東 / 董事 / 授權人士 / 最終權益擁有人姓名、證監會中央編號 / 金管局註冊號碼 (如有)、僱主名稱及由僱主發出同意閣下於山金證券開設帳戶的同意書:	
◆	Does any shareholder, director, authorized person or ultimate beneficial owner of the Client have any relationship with any director, employee or licensed persons of SDGS? 客戶的股東、董事、授權人士或最終權益擁有人是否與山金證券的任何董事、僱員或持牌人有任何關係? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 If yes, please specify the name of the shareholder(s)/director(s)/authorized person(s)/ultimate beneficial owner(s), name of director/employee/licensed person of SDGS and relationship: 如是, 請提供股東 / 董事 / 授權人士 / 最終權益擁有人姓名、山金證券的董事 / 僱員 / 持牌人姓名及關係:	
◆	Is any shareholder, director, authorized person or ultimate beneficial owner of the Client a client of SDGS? 客戶的的股東、董事、授權人士或最終權益擁有人是否山金證券的客戶? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 If yes, please specify the account name and the account number: 如是, 請提供帳戶名稱及帳戶號碼:	
◆	Is the Client and/or any member of the same group of companies of the Client in control of 35% or more of the voting rights of any margin account of SDGS? 客戶及 / 或客戶的公司集團任何成員是否控制山金證券任何保證金帳戶 35%或以上表決權? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 If yes, please specify the account name and the account number: 如是, 請提供帳戶名稱及帳戶號碼:	
◆	Is any shareholder, director, authorized person or ultimate beneficial owner of the Client entrusted or has been entrusted with a prominent public function, includes a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a stated-owned corporation, an important political party official and international organization politically exposed persons? 客戶的的股東、董事、授權人士或最終權益擁有人是否擔任或曾擔任重要公職, 包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員、重要政黨幹事及國際組織政治人物? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 If yes, please provide details: 如是, 請提供詳情:	
◆	Are you incorporated in U.S. or do you generate income from U.S. for tax purpose? 閣下是否在美國註冊成立或有美國稅務目的產生的收入? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 If yes, please contact SDGS client service department, otherwise please submit Form W-8BEN-E. 如是, 請聯絡山金證券客戶服務部, 否則請填寫 W-8BEN-E 表格。	

8. Self-Certification 自我證明		
Instruction 指引		
<p>Pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap. 112 of the Laws of Hong Kong) ("IRO"), please provide all of your jurisdiction of residence and taxpayer identification number or its functional equivalent ("TIN"). If a TIN is unavailable, provide the appropriate reason A, B or C: 根據香港法例第 112 章《稅務條例》(「《稅務條例》」) 有關交換財務帳戶資料的法律條文, 請提供閣下所有的居留司法管轄區及稅務編號或具有等同功能的識別編號(「稅務編號」)。如沒有提供稅務編號, 必須填寫合適的理由:</p> <ul style="list-style-type: none"> ◆ Reason A – The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents. 理由 A—帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。 ◆ Reason 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. 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。 ◆ 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. 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>Indicate the name of all controlling person(s) of the account holder in the section of Controlling Person below. If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official. Complete Self-Certification Form – Controlling Person for each controlling person. 就帳戶持有人, 填寫所有控權人的姓名在控權人部分內。就法人實體, 如行使控制權的並非自然人, 控權人會是該法人實體的高級管理人員。每名控權人須分別填寫一份自我證明表格—控權人。</p> <p>If you have more than one tax residence other than Hong Kong and PRC, please attach and sign extra self-certification. 如閣下持有多於一個香港及中國以外稅務居民資格, 請另附自我證明及簽署。</p>		
Entity Type 實體類別		
Choose the most appropriate option 選擇最合適的選項		
Financial Institution 金融機構	<input type="checkbox"/> Custodial Institution, Depository Institution or Specified Insurance Company 託管機構、存款機構或指明保險公司 <input type="checkbox"/> Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity's assets) and located in a non-participating jurisdiction 投資實體, 但不包括由另一財務機構管理(例如: 擁有酌情權管理投資實體的資產) 並位於非參與稅務管轄區的投資實體	
Active NFE 主動非財務實體	<input type="checkbox"/> NFE the stock of which is regularly traded on an established securities market (please specify the securities market): 該非財務實體的股票經常在一個具規模證券市場進行買賣(請說明證券市場): _____ <input type="checkbox"/> Related entity of a stock of which is regularly traded on an established securities market (please specify the stock and the securities market): 一個股票經常在一個具規模證券市場進行買賣的實體的有關連實體(請說明股票及證券市場): _____ <input type="checkbox"/> NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities 政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體 <input type="checkbox"/> Active NFE other than the above (please specify): 除上述以外的主動非財務實體(請說明): _____	
Passive NFE 被動非財務實體	<input type="checkbox"/> Investment entity that is managed by another financial institution and located in a non-participating jurisdiction 位於非參與稅務管轄區並由另一財務機構管理的投資實體 <input type="checkbox"/> NFE that is not an active NFE 不屬主動非財務實體的非財務實體	
Controlling Person 控權人		
Please complete the following if you are a passive NFE 請填寫以下如閣下是被動非財務實體		
(1)	(2)	(3)
Jurisdiction of Residence and TIN 居留司法管轄區及稅務編號		
Tax Residence (choose all that apply) 稅務居民 (選擇所有適用選項) <input type="checkbox"/> We hold Hong Kong tax residence 吾等持有香港稅務居民資格 <input type="checkbox"/> We hold PRC tax residence 吾等持有中國稅務居民資格 <input type="checkbox"/> We hold tax residence other than Hong Kong 吾等持有香港以外稅務居民資格		
Please complete the following if you hold tax residence other than Hong Kong and PRC 請填寫以下如閣下持有香港及中國以外稅務居民資格		
Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	
Select Reason A, B or C if No TIN is Available 如沒有提供稅務編號, 選擇理由 A、B 或 C <input type="checkbox"/> Reason A 理由 A <input type="checkbox"/> Reason B 理由 B <input type="checkbox"/> Reason C 理由 C		
Explain Why the Account Holder is Unable to Obtain a TIN if You Have Selected Reason B 如選取理由 B, 解釋帳戶持有人不能取得稅務編號的原因		

8. Self-Certification (Continued) 自我證明 (續)
Declaration 聲明

- ◆ We acknowledge and agree that: (a) the information contained in this form is collected and may be kept by SDGS for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by SDGS to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the IRO. 吾等知悉及同意，山金證券可根據《稅務條例》有關交換財務帳戶資料的法律條文：(a)收集本表格所載資料並可備存作自動交換財務帳戶資料用途及(b)把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。
- ◆ We undertake to advise SDGS of any change in 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 SDGS with suitably updated information within thirty (30) days of such change in circumstances. 吾等承諾，如情況有所改變，以致影響本表格所述的實體的稅務居民身份，或引致本表格所載的資料不正確，吾等會通知山金證券，並會在情況發生改變後三十(30)日內，向山金證券提交已適當更新的資料。
- ◆ 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。

Warning 警告

It is an offence under section 80(2E) of the IRO 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). 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。

9. Other Information 其他資料
Statement Language 結單語言

☐ Simplified Chinese 簡體中文 ☐ Traditional Chinese 繁體中文 ☐ English 英文

Statement Delivery Method 結單遞送方式

☐ By email 電郵 ☐ By post to registered address 郵寄至註冊地址
☐ By post to principal place of business address 郵寄至主要辦事處地址

Collection by post is subject to a charge of HK\$50 per month 郵寄收費每月 50 港元

Use of Personal Data 個人資料使用

We object SDGS to use our personal data in direct marketing via the following channel(s) (may choose more than one option): 吾等反對山金證券使用吾等的個人資料經以下渠道作直接促銷（可選多於一欄）：

☐ Email 電郵 ☐ Mobile message 手機訊息 ☐ Mail 郵件 ☐ Phone call 電話

10. Client Declaration 客戶聲明

- ◆ We, the undersigned, hereby confirm and represent that the information on this Account Opening Form is in all respects true, complete, correct and not misleading. SDGS is entitled to rely fully on such information and representations for all purposes, unless SDGS receives from us notice in writing of any change. SDGS and any of its agent is hereby authorized at any time to contact anyone, including our banks or any credit agency, for the purpose of verifying the information provided on this Account Opening Form. 吾等（在下面簽署的客戶）謹此聲明在本開戶表格所提供之全部資料在各方面皆為真實、完整、正確及無誤導性。除非山金證券從吾等接到更改有關本開戶表格內容之書面通知，否則山金證券有權完全依賴此等資料及聲明作一切用途。山金證券及其代理獲授權可隨時就核對本開戶表格資料事宜，與任何人包括吾等之銀行或任何信用機構進行諮詢。
- ◆ We also undertake to notify SDGS immediately of any changes to the information given above. Upon request, we shall also promptly provide SDGS any additional documentation, including without limitation to change in information of the self-certification. We understand that SDGS may disclose and/or submit certain of our account information to the competent regulatory or Government Authority in the relevant jurisdiction(s) (including without limitation to U.S. Internal Revenue Service, U.S. Department of the Treasury and the Hong Kong Inland Revenue Department) for the purpose of complying with Foreign Account Tax Compliance Act, Common Reporting Standard and other related laws, regulations, codes and rules. 吾等亦同意如上述資料有任何改變，會立即通知山金證券。如山金證券要求，吾等亦會盡快向山金證券提供所需的額外文件，包括但不限於自我證明的資料變更。吾等明白山金證券可能根據有關的資料變更加向相關司法管轄區內的合資格監管及 / 或政府當局（包括但不限於美國國家稅務局、美國財政部和香港稅務局）披露及 / 或提交吾等之相關帳戶資料，以符合美國《海外帳戶稅收合規法案》、《共同匯報標 / 條例》和其他相關法規、守則和規則的規定。

10. Client Declaration (Continued) 客戶聲明 (續)	
<p>◆ We hereby apply to open the types of account(s) and service(s) which we choose on this Account Opening Form, and we hereby give SDGS notice in writing that we confirm and authorize SDGS to exercise all the powers of the standing authorities granted to SDGS by us. 吾等現申請開立吾等在本開戶表格選擇之帳戶及服務類別。吾等在此以書面通知及確認並授權山金證券行使吾等給予山金證券的全部常設授權。</p> <p>◆ We acknowledge and confirm that we have been invited by SDGS to read the Risk Disclosure Statement, ask questions and to take independent advice if we wished to. 吾等知悉及確認山金證券已經邀請吾等閱讀風險披露聲明、提出問題及徵求獨立的意見 (如吾等有此意願)。</p> <p>◆ We have carefully read, fully understood and agreed to accept and be bound by the Personal Information Collection Statement. 吾等已仔細閱讀、完全理解並同意接受及遵守個人資料收集聲明。</p>	
Signed by Authorized Person 授權人士簽署	Name 姓名
	Date (dd/mm/yyyy) 日期 (日 / 月 / 年)

11. Witness Declaration 見證人聲明		
I hereby certify that I have witnessed the signing of this Account Opening Form by the Client. I further confirm that I have verified the Client's identity against its identification document. 本人現特此證明客戶簽署本開戶表格。本人進一步確認本人已驗證了客戶的身份證明文件。		
Signed by Witness 見證人簽署	Witness Name 見證人姓名	Occupation 職業 <input type="checkbox"/> Licensed or registered person 持牌人或註冊人 <input type="checkbox"/> Branch manager of a bank 銀行分行經理 <input type="checkbox"/> Certified public accountant 執業會計師 <input type="checkbox"/> Justice of the Peace 太平紳士 <input type="checkbox"/> Lawyer 律師 <input type="checkbox"/> Notary public 公證人 <input type="checkbox"/> Chartered secretary 特許秘書
	Date (dd/mm/yyyy) 日期 (日 / 月 / 年)	
# A witness should provide SDGS with self-certified ID copy and copy of his/her professional qualification documents 見證人需提供其已簽署之身份證明文件及專業資格證明文件之副本予山金證券		

12. Licensed Person Declaration 持牌人聲明		
I, a licensed person, declare that I have provided the Client with a copy of the Risk Disclosure Statement in a language of the Client's choice, invited the client to read the Risk Disclosure Statement, ask questions and take independent advice if the client wishes. If the client is characterized as " without knowledge of derivatives ", I further declare that I have explained to the client the relevant risks associated with trading of exchange-traded derivatives product which are specified in the Risk Disclosure Statement. 本人，以持牌人身份，確認本人已按照上述客戶所選擇的語言 (英文或中文) 提供風險披露聲明之副本及邀請客戶閱讀該風險披露聲明、提出問題及徵求獨立意見 (如客戶有此意願)。如客戶被歸類為「 對衍生產品沒有認識 」，本人進一步確認已向客戶解釋在風險披露聲明內所列明的有關買賣在交易所買賣的衍生產品所涉及的風險。		
Signed by Licensed Person 持牌人簽署	Name of Licensed Person 持牌人姓名	Account Opening Method 開戶方式 <input type="checkbox"/> Face-to-face 面對面 <input type="checkbox"/> Non-face-to-face 非面對面
	CE Number 中央編號	Date (dd/mm/yyyy) 日期 (日 / 月 / 年) Time: 時間: (ext.)

For Internal Use Only 內部專用			
Checklist 檢查清單			
Supporting Document 支持文件 <input type="checkbox"/> Certificate of Incorporation 公司註冊證書 <input type="checkbox"/> Register of Directors and Secretaries 董事及秘書名冊 <input type="checkbox"/> Business Registration Certificate 商業登記證 <input type="checkbox"/> Board Resolutions for Account Opening 開戶董事會決議 <input type="checkbox"/> Latest Annual Return 最近的週年申報表 <input type="checkbox"/> Ownership and Control Chart 擁有權及控制權結構圖			
<input type="checkbox"/> Memorandum and Articles of Association 公司章程 <input type="checkbox"/> Register of Members 股東名冊 <input type="checkbox"/> Certificate of Incumbency 在職證明書 <input type="checkbox"/> ID Card/Passport 身份證 / 護照 <input type="checkbox"/> Latest Audited Financial Statements 最近的經審計的財務報表			
Form 表格 <input type="checkbox"/> Deed of Guarantee 擔保契約 <input type="checkbox"/> Self-Certification Form – Entity 自我證明表格—實體 <input type="checkbox"/> Form W-8BEN-E W-8BEN-E 表格			
<input type="checkbox"/> Risk Profiling Questionnaire 風險取向問卷 <input type="checkbox"/> Self-Certification Form – Controlling Person 自我證明表格—控權人 <input type="checkbox"/> Professional Investor Assessment Form 專業投資者評估表格			
Limit 限額			
Trading Limit 交易限額		Margin Limit 保證金限額	
Commission/Interest Rate 佣金 / 利息比率			
Telephone Trading 電話交易 Commission Rate 佣金比率 Minimum Charge 最低收費 (%)		Electronic Trading 電子交易 Commission Rate 佣金比率 Minimum Charge 最低收費 (%)	
Overdue Interest Rate 逾期交收利息比率 (%)		Margin Interest Rate 保證金利息比率 (%)	
Others 其他			
Source of Client 客戶來源 <input type="checkbox"/> Referral 轉介 <input type="checkbox"/> Walk-in 自來		Employee Account 員工帳戶 <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	
Remarks 備註			
Approval 審批			
Forms and Documents Checked by Client Onboarding Officer 客戶入職主任檢查表格及文件 Date: 日期 :		Limits Approved by Risk Officer 風險主任批准限額 Date: 日期 :	
Approved by Responsible Officer 負責人員批准開戶 Date: 日期 :		Approved by Chief Operating Officer 營運總監批准開戶 Date: 日期 :	
Data Inputted by Settlement Officer 結算主任輸入資料 Date: 日期 :		Inputted Data Checked by Settlement Officer 結算主任檢查已輸入資料 Date: 日期 :	

SDG Securities (HK) Limited (CE Number: BMB958) 山金證券(香港)有限公司(中央編號: BMB958)

Risk Profiling Questionnaire 風險取向問卷

Note 注意	
◆	This questionnaire is designed to assess your attitude towards risk and risk tolerance level. It may not accurately reflect your actual risk tolerance level. Please seek professional advice if necessary. 本問卷旨在評估閣下對風險的態度及對投資風險的承受程度，未必能準確反映閣下的實際可接受的風險水平。如有需要，請尋求專業意見。
◆	For joint accounts, the individual who places orders or makes investment decisions for the account should complete this questionnaire. 如為聯名帳戶，代表該帳戶發出指示或作出投資決定之帳戶持有人應填寫本問卷。
◆	For corporate accounts, the authorized person who makes investment decisions on behalf of the client should complete this questionnaire. 如為法團帳戶，代表該公司客戶作出投資決定之授權人士應填寫本問卷。
◆	This questionnaire and the test results are for reference only. It does not constitute any investment advice and should not be regarded as a solicitation for an offer to buy or sell any investment product or service. The questionnaire is not a substitute for independent professional advice. 本問卷及測試結果僅供參考，並不構成任何投資建議，亦不得視為招攬買賣任何投資產品或服務。本問卷並不能取代獨立專業意見。

Client Information 客戶資料	
Account Name 帳戶名稱	Account Number 帳戶號碼

("Client") ("客戶")

Risk Tolerance Level – Knowledge and Experience 風險承受水平—知識和經驗	
Please choose the most appropriate answer below 請選擇下列最適當答案	Score 分數
◆ What is your highest education level? 閣下的最高教育程度為?	
<input type="checkbox"/> Primary or below 小學或以下	1
<input type="checkbox"/> Secondary 中學	2
<input type="checkbox"/> Tertiary or above 大學或以上	3
◆ What is your level of knowledge and experience with investment products? 閣下對以下投資產品的知識和經驗為?	
▪ Equities 股票	
<input type="checkbox"/> No knowledge nor experience 沒有知識或經驗	0
<input type="checkbox"/> Have knowledge but no experience 擁有知識但沒有經驗	1
<input type="checkbox"/> Have knowledge and with less than 2 years of experience 擁有知識及少於2年經驗	2
<input type="checkbox"/> Have knowledge and with 2 years of experience or more 擁有知識及2年或以上經驗	3
▪ Fixed income (e.g. bonds) 固定收益 (如債券)	
<input type="checkbox"/> No knowledge nor experience 沒有知識或經驗	0
<input type="checkbox"/> Have knowledge but no experience 擁有知識但沒有經驗	1
<input type="checkbox"/> Have knowledge and with less than 2 years of experience 擁有知識及少於2年經驗	2
<input type="checkbox"/> Have knowledge and with 2 years of experience or more 擁有知識及2年或以上經驗	3
▪ Futures/Options 期貨 / 期權	
<input type="checkbox"/> No knowledge nor experience 沒有知識或經驗	0
<input type="checkbox"/> Have knowledge but no experience 擁有知識但沒有經驗	1
<input type="checkbox"/> Have knowledge and with less than 2 years of experience 擁有知識及少於2年經驗	2
<input type="checkbox"/> Have knowledge and with 2 years of experience or more 擁有知識及2年或以上經驗	3
▪ Warrants/Callable bull/bear contracts 認股證 / 牛熊證	
<input type="checkbox"/> No knowledge nor experience 沒有知識或經驗	0
<input type="checkbox"/> Have knowledge but no experience 擁有知識但沒有經驗	1
<input type="checkbox"/> Have knowledge and with less than 2 years of experience 擁有知識及少於2年經驗	2
<input type="checkbox"/> Have knowledge and with 2 years of experience or more 擁有知識及2年或以上經驗	3

Risk Tolerance Level – Knowledge and Experience (Continue) 風險承受水平—知識和經驗 (續)	
Please choose the most appropriate answer below 請選擇下列最適當答案	Score 分數
♦ What is your level of knowledge and experience with investment products? 閣下對以下投資產品的知識和經驗為?	
▪ Funds 基金	
<input type="checkbox"/> No knowledge nor experience 沒有知識或經驗	0
<input type="checkbox"/> Have knowledge but no experience 擁有知識但沒有經驗	1
<input type="checkbox"/> Have knowledge and with less than 2 years of experience 擁有知識及少於 2 年經驗	2
<input type="checkbox"/> Have knowledge and with 2 years of experience or more 擁有知識及 2 年或以上經驗	3
▪ Others derivatives (e.g. equity-linked investments, equity-linked notes, convertible bonds, etc.) 其他衍生產品 (如股票掛鈎投資、股票掛鈎票據、可換股債券等)	
<input type="checkbox"/> No knowledge nor experience 沒有知識或經驗	0
<input type="checkbox"/> Have knowledge but no experience 擁有知識但沒有經驗	1
<input type="checkbox"/> Have knowledge and with less than 2 years of experience 擁有知識及少於 2 年經驗	2
<input type="checkbox"/> Have knowledge and with 2 years of experience or more 擁有知識及 2 年或以上經驗	3
Total score 總分數	
<input type="checkbox"/> <6 – Low 低 <input type="checkbox"/> 6 – 13 – Medium 中 <input type="checkbox"/> >13 – High 高	

Risk Tolerance Level – Appetite 風險承受水平—取向	
Please choose the most appropriate answer below 請選擇下列最適當答案	Score 分數
♦ What is the highest level of price fluctuation that you are willing to accept for a single investment? 閣下可接受的單項投資最高價格波幅為?	
<input type="checkbox"/> ≤±8%	1
<input type="checkbox"/> ≤±35%	2
<input type="checkbox"/> ≤±100%	3
<input type="checkbox"/> >±100%	4
♦ What is the most likely action you will take if your investment goes down by 20% in value? 當投資價值下跌 20% · 閣下最有可能採取的行動為?	
<input type="checkbox"/> Sell all of the investment to cut loss 賣去所有已投資以減少損失	1
<input type="checkbox"/> Sell some of the investment 賣去部分投資	2
<input type="checkbox"/> Do nothing 沒有任何行動	3
<input type="checkbox"/> Invest more at a lower price 在低價格時再作投資	4
♦ What percentage of your net liquid asset value are you able to set aside for investment? (Note: liquid net worth excludes property, etc.) 閣下的流動資產淨值多少個百分比可作投資? (註: 流動資產淨值不包括物業等)	
<input type="checkbox"/> <10%	1
<input type="checkbox"/> 10% – 30%	2
<input type="checkbox"/> 31% – 50%	3
<input type="checkbox"/> >50%	4
♦ Under general market conditions, how long do you intend to keep your portfolio with market exposure? 在一般市場情況下 · 閣下預期的活躍投資期為?	
<input type="checkbox"/> <6 months 月	1
<input type="checkbox"/> 6 months 月 – 1 year 年	2
<input type="checkbox"/> 1 – 3 years 年	3
<input type="checkbox"/> >3 years 年	4
♦ What is the average percentage of your after-tax income that can be set aside for savings or investment? 閣下的稅後收入平均多少個百分比可作儲蓄或投資?	
<input type="checkbox"/> <10%	1
<input type="checkbox"/> 10% – 30%	2
<input type="checkbox"/> 31% – 50%	3
<input type="checkbox"/> >50%	4
Total score 總分數	
<input type="checkbox"/> <6 – Low 低 <input type="checkbox"/> 6 – 13 – Medium 中 <input type="checkbox"/> >13 – High 高	

Overall Assessment Results 整體評估結果				
Overall Risk Tolerance Level 整體風險承受水平		Risk Tolerance Level – Appetite 風險承受水平—取向		
		Low 低	Medium 中	High 高
Risk Tolerance Level – Knowledge and Experience 風險承受水平—知識和經驗	Low 低	<input type="checkbox"/> Low 低	<input type="checkbox"/> Low 低	<input type="checkbox"/> Medium 中
	Medium 中	<input type="checkbox"/> Low 低	<input type="checkbox"/> Medium 中	<input type="checkbox"/> High 高
	High 高	<input type="checkbox"/> Medium 中	<input type="checkbox"/> High 高	<input type="checkbox"/> High 高

Risk Tolerance Analysis 風險承受能力分析			
Overall Risk Tolerance Level 整體風險承受水平	Low 低	Medium 中	High 高
Investor Characteristics 投資者的一般特徵	General Conservative – you are willing to accept low level of risk, in return, you understand that you will receive low returns 保守型—閣下願意承受低度的風險，亦明白會獲得比較保守回報	Balanced – you are willing to accept medium level of risk in exchange for potential returns over the medium to long term 平衡型—閣下願意承受中度的風險，於中長線換取潛在回報	Aggressive – you are willing to accept high level of risk to maximize your potential return over the long term and you understand that you may lose a significant part or all of your capital 進取型—閣下願意承受高度的風險，以令長線的潛在回報最大化，亦明白有可能招致損失大部份或全部本金

Client Declaration 客戶聲明	
<ul style="list-style-type: none"> I/We declare that the information provided in this questionnaire is true and accurate to the best of my/our knowledge. 本人 / 吾等謹此聲明，按本人 / 吾等所知，本人 / 吾等在本問卷提供的資料以本人 / 吾等所知真實無誤。 I/We agree to inform SDG Securities (HK) Limited (“SDGS”) in writing as soon as practicable of any change to the information provided in this questionnaire. 本人 / 吾等同意，如本問卷提供的資料有任何變動，本人 / 吾等將會在可行情況下儘快以書面通知山金證券（香港）有限公司（「山金證券」）。 I/We acknowledge and agree that my/our risk profile is as above. 本人 / 吾等確認及同意以上的風險評估結果。 I/We acknowledge that SDGS takes no responsibilities for any act or omission resulting from the provision of incomplete or inaccurate information by me. 本人 / 吾等確認，就因本人 / 吾等提供不完整或不正確資料所導致的任何行動或遺漏，山金證券概不負上任何責任。 	
Signed by Client 客戶簽署	Name 姓名
	Date (dd/mm/yyyy) 日期（日 / 月 / 年）

For Internal Use Only 內部專用	
Approval 審批	
Checked by Licensed Person 持牌人檢查 Date: 日期：	Data Inputted by Settlement Officer 結算主任輸入資料 Date: 日期：
Inputted Data Checked by Settlement Officer 結算主任檢查已輸入資料 Date: 日期：	Approved by Responsible Officer 負責人員審批 Date: 日期：
Approved by Chief Operating Officer 營運總監審批 Date: 日期：	

Board Resolution 董事會決議

We hereby certify that the following board resolutions have been passed by the board of directors of (company name) _____ (the "Company") (the "Board") at a meeting of the Board duly convened and held at (venue) _____ on (date) _____ at which a quorum was present and acted throughout in accordance with the articles of association of the Company and have been duly recorded in the minutes book of the Company without amendment and that the same have not been revoked and are now in full force and effect. 本公司茲確認，下列決議案經（公司名稱）_____（「本公司」）董事會（「董事會」）於（日期）_____年____月____日於（地方）_____正式召開之董事會會議通過，該會議自始至終有足夠法定人數出席，按照本公司章程規定並載入本公司之會議紀錄冊內，而該決議案未有被修訂或撤銷，並且正全面生效及有效。

It was resolved that: 決議通過：

1. the Company would open and maintain the following account(s) (the "Accounts") at SDG Securities (HK) Limited ("SDGS") in accordance with the terms and conditions as stipulated by SDGS from time-to-time; 以本公司名義在山金證券（香港）有限公司（「山金證券」）按山金證券不時規定的條款和細則開立及維持以下帳戶（「該等帳戶」）；

Market Type (choose all that apply) 市場類別（選擇所有適用選項）

- | | |
|---|--|
| <input type="checkbox"/> Hong Kong equities (cash) 香港股票（現金） | <input type="checkbox"/> Hong Kong equities (margin) 香港股票（保證金） |
| <input type="checkbox"/> Global equities 環球股票 | <input type="checkbox"/> Bonds 債券 |
| <input type="checkbox"/> Futures 期貨 | |

2. the account opening form, client agreement, deed of guarantee, and their ancillary documents be and were thereby approved and any one director of the Company be and was thereby authorized to sign the same for and on behalf of the Company and to deliver the signed originals to SDGS; and 批准經填妥並於本次會議上提交之開戶表格、客戶協議、擔保契約及其附屬文件，並授權本公司任何一位董事代表本公司簽署上述文件，並將經簽署的該等文件正本送交山金證券；及
3. in relation to the operations of the Accounts, authorized person(s) whose specimen signature and authorization is/are set out in Appendix I be and was/were thereby authorized to give oral or written instructions on behalf of the Company, by telephone or in person or by facsimile or by letter or otherwise in the matters affecting the Accounts in accordance with the signatory arrangement set out in Appendix II. 授權附表 I 中載有其簽名式樣及授權範圍的授權人士代表本公司用電話或親臨或電傳或信函或其他方法並根據附表 II 的簽署安排處理該等帳戶。

Appendix I – List of Authorised Person 附表 I—授權人士列表

#1	Name 姓名	ID/Passport Number 身份證 / 護照號碼	Specimen Signature 簽名式樣
	Authorization 授權範圍 <input type="checkbox"/> Give all instructions 作出所有指示 <input type="checkbox"/> Securities trading 買賣證券 <input type="checkbox"/> Transfer of funds 轉移資金 <input type="checkbox"/> Delivery and transfer of securities 交收證券 <input type="checkbox"/> Sign documents, statements and confirmations 簽署文件、結算單及確認書		
#2	Name 姓名	ID/Passport Number 身份證 / 護照號碼	Specimen Signature 簽名式樣
	Authorization 授權範圍 <input type="checkbox"/> Give all instructions 作出所有指示 <input type="checkbox"/> Securities trading 買賣證券 <input type="checkbox"/> Transfer of funds 轉移資金 <input type="checkbox"/> Delivery and transfer of securities 交收證券 <input type="checkbox"/> Sign documents, statements and confirmations 簽署文件、結算單及確認書		
#3	Name 姓名	ID/Passport Number 身份證 / 護照號碼	Specimen Signature 簽名式樣
	Authorization 授權範圍 <input type="checkbox"/> Give all instructions 作出所有指示 <input type="checkbox"/> Securities trading 買賣證券 <input type="checkbox"/> Transfer of funds 轉移資金 <input type="checkbox"/> Delivery and transfer of securities 交收證券 <input type="checkbox"/> Sign documents, statements and confirmations 簽署文件、結算單及確認書		

Appendix II – Signatory Arrangement 附表 II—簽署安排

Written Instruction 書面指示 <input type="checkbox"/> Any authorized person signing singly validates any written instructions relating to the operation of the account. 任何授權人士單獨簽署任何就帳戶運作之書面指示，方為有效。 <input type="checkbox"/> Any _____ authorized persons signing jointly validates any written instructions relating to the operation of the account. 任何_____位授權人士共同簽署任何就帳戶運作之書面指示，方為有效。 <input type="checkbox"/> Others: 其他：_____
Verbal/Electronic Instruction 口頭 / 電子指示 <input type="checkbox"/> Any authorized person is authorized to give instruction verbally from time to time and/or through the electronic services (where applicable) in relation to the purchase or sale of any securities for the account. 任何授權人士均有權為帳戶買賣任何證券而不時發出口頭指示及 / 或透過電子服務 (如適用) 發出指示。 <input type="checkbox"/> Others: 其他：_____

Certified by: 認證：

Name: 姓名：

Director 董事



SDG Securities (HK) Limited (CE Number: BMB958) 山金證券(香港)有限公司(中央編號: BMB958)

Deed of Guarantee 擔保契約

Date: 日期: _____

SDG Securities (HK) Limited
Suites 5806-5807, 58/F
Two International Finance Centre
8 Finance Street, Central
Hong Kong
("SDGS")

山金證券(香港)有限公司
香港中環金融街8號
國際金融中心二期58樓06-07室
(「山金證券」)

Client Information 客戶資料
Account Name 帳戶名稱

("Principal") (「委託人」)

Guarantor Information 擔保人資料	
Guarantor Name 擔保人姓名	ID/Passport/Certificate of Incorporation Number 身份證 / 護照 / 註冊證書號碼
Address 地址	

("Guarantor") (「擔保人」)

Re: Account Guarantee

有關: 帳戶擔保

In consideration of SDGS's having agreed to open an account (the "**Account**") and from time to time making advances, giving credit or granting time to the Principal under and in accordance with the terms and conditions in the Principal Agreement (collectively, the "**Agreements**"), the Guarantor hereby guarantees to SDGS that the Principal will observe and perform the covenants terms and conditions on the part of the Principal under the Agreements and the Guarantor hereby agree and covenant with SDGS and declare as follows:

擔保人考慮到山金證券為委託人開設帳戶(「該帳戶」)、及不時根據委託人簽字的客戶協議條規及細則協定,向委託人借款、提供信貸或提供延期(統稱為「上述協議」)、擔保人在此向山金證券擔保,委託人一定會遵守和執行上述協議的條款和細則,擔保人在此同意並與山金證券訂立契約,並且聲明:

- The Guarantor will fully indemnify and save SDGS harmless from any and all damages which SDGS may suffer on account of the Principal's default in the observance and performance of the covenants, terms and conditions contained in the Agreements or any of them.
擔保人會完全彌償山金證券並使山金證券免受因委託人不遵守和執行上述協議或其中任何一個協議的條款和細則時所造成的任何及所有損害。
- The Guarantor will pay SDGS on demand and hereby guarantees the repayment to SDGS on demand of all sums of money which now are or shall hereafter become due to SDGS from the Principal in respect of any transaction in the Account with all interest, costs, commissions and other charges and expenses which SDGS may charge against the Principal and all costs, charges and expenses which SDGS may incur in enforcing or obtaining payment of the sums of money due to SDGS from the Principal. It shall not be necessary for SDGS to make any demand on or take any action against the Principal before making any demand on or recovering payment from the Guarantor.
擔保人會根據山金證券的要求,向山金證券付款並且在此保證償還委託人就該帳戶的任何交易於現在或將來應向山金證券支付的所有款項,以及所有的利息、成本、佣金和山金證券可能向委託人收取的其他收費及開支,以及山金證券為促使委託人還款或試圖讓其還款的過程中所引致的成本、收費及開支。山金證券在向擔保人提出彌償要求前不必先向委託人提出或進行任何索償行動。
- This Guarantee shall continue in force and be a continuing guarantee and shall be applicable to the whole outstanding balance that may become due to SDGS from the Principal.
本擔保契約持續有效,是一份持續性擔保契約,適用於委託人應向山金證券支付款項的所有餘額。
- Where the Guarantor consists of more than one person, the liability of the Guarantor hereunder shall be deemed to be the joint and several liabilities of each such persons.
當擔保人是由多個人共同組成時,擔保人所承擔的責任被視為這幾個人的個別及共同責任。

5. This Guarantee shall not be determined or affected by the death of the Guarantor or of any one or more of the persons constituting the Guarantor. The Guarantor or the survivor or survivors of such persons aforesaid and the personal representatives of the Guarantor or any of such persons who may be dead may at any time give SDGS notice in writing to determine this Guarantee at a date not less than three (3) calendar months after the receipt by SDGS of such notice. This Guarantee shall cease with respect to all future transaction after the determination date. However, the Guarantor shall remain liable to the extent of the amount due to SDGS from the Principal at the same date with interest and for such costs and expenses as aforesaid.
- 本擔保契約不因擔保人或組成擔保人的幾個人中的一個或幾個死亡而終止或受到影響。擔保人或上述個人中的存活者和可能已經死亡的擔保人或這些人中任何一個的個人代表可以在任何時間以書面形式通知山金證券終止本擔保契約。確定從山金證券收到通知後不少於三(3)個月後的某一天起,本擔保契約將不再對此後發生的交易有效。但是,擔保人對截止該日委託人應付給山金證券的款項和利息以及上述成本和費用仍然承擔償付責任。
6. Notwithstanding any such notice of determination as aforesaid, this Guarantee shall as well before as after such notice of determination be a security for all monies becoming due to SDGS from the Principal in respect of any transaction entered into prior to the date of determination under the provision of clause 5.
- 儘管有上述的終止擔保通知,不論在終止通知之前還是之後,本擔保契約對所有第5條規定的委託人在擔保終止日之前發生的交易所造成對山金證券的應付款項仍然有效。
7. It shall be lawful for SDGS after notice to determine this Guarantee has been given under clause 5 or after payment of the monies hereby guaranteed has been demanded of the Guarantor to continue any existing account or to open any new account with the Principal. No money thereafter paid into such accounts shall be appropriated in discharge of any monies hereby guaranteed unless expressly directly by the person paying the same at the time of such payment to be so appropriated.
- 即使山金證券收到擔保人根據第5條所發出的終止擔保的通知,或者已向擔保人提出償還擔保的款項的要求,山金證券仍可合法地繼續維持委託人的現有帳戶或為委託人開立一個或多個新帳戶。此後支付到這些帳戶中的款項不能被撥付以償還之前被擔保的款項,除非支付人在支付款項時直接表明該筆款項用於有關用途。
8. The bankruptcy or insolvency of the Principal shall not affect or determine the liability of the Guarantor under this Guarantee but such liability shall continue in full force and effect until SDGS shall have been repaid all monies due to SDGS from the Principal immediately before the bankruptcy or insolvency of the Principal.
- 根據本擔保契約,委託人破產或喪失清償能力不影響或終止擔保人的債務責任,當委託人在破產或喪失清償能力之前發生的對山金證券的應付款被完全清償之前,這些債務持續完全有效。
9. This Guarantee shall not be revocable or discharged or impaired by the winding up of the Principal or by any change in the constitution of the Principal.
- 本擔保契約保不因委託人的業務終結或章程修改而被撤回、撤消或削弱。
10. So long as there are any monies outstanding from the Principal, this guarantee shall be irrevocable and binding as a continuing security on the Guarantor, the Guarantor's assigns, executors and administrators.
- 只要委託人還有未清償的應支付給山金證券的款項,本擔保契約就不可撤消並具有約束力,亦是擔保人、擔保人的受讓人、遺產執行人及遺產管理人作出的持續性保證。
11. This Guarantee and SDGS's rights under it shall be in addition to and shall not be affected or prejudiced by SDGS's holding or taking any other or further securities which SDGS may now or hereafter hold from or on account of the Principal or by SDGS's varying, releasing, omitting or neglecting to enforce any such securities or by SDGS's varying or determining any credit to the Principal or by SDGS's renewing bills of exchange, promissory notes or other negotiable instruments or giving time for payment or granting any other indulgence to or making any other arrangements with or accepting any composition from the Principal or persons, corporation or corporations liable on any bills of exchange, promissory notes or other negotiable instruments or securities held or to be held by SDGS.
- 本擔保契約和山金證券據此所享有的權利是以下擔保的附加,並不因以下事項而受影響或損害,即山金證券現在或今後從委託人處獲得或以委託人的名義而獲得其他或更多擔保,山金證券修改、放棄、刪除或忽略這些擔保的實施,或山金證券修改或終止對委託人的債權,或者山金證券將持有的匯票、本票或其他可轉讓票據展期,或者給予一定期限付款、准許延期付款或者跟委託人或者對匯票、本票或其他可轉讓票據承擔付款責任的個人或公司簽定其他協定或接受妥協方案。
12. All dividends compositions and monies received by SDGS from the Principal or from the assets of the Principal capable of being applied by SDGS in reduction of the indebtedness of the Principal shall be regarded for all purposes as payments of the amount due. The Guarantor's right to subrogate SDGS in respect thereof shall not arise until SDGS shall have received the full amount of SDGS's claims against the Principal.
- 山金證券從委託人處或其資產中收取的所有紅利組合及款項,都應該視為對山金證券的償還,直至山金證券從委託人處取回所有欠款後,擔保人才有權利取代山金證券向委託人追討。
13. No assurance, security or payment may be avoided under any enactment relating to insolvency under the provisions of the Companies (Winding Up and Miscellaneous Provisions) Ordinance (Cap. 32 of the Laws of Hong Kong). No release settlement or discharge which may have been given or made on the faith of any such assurance, security or payment shall prejudice or affect SDGS's right to recover from the Guarantor to the full extent of this guarantee.
- 所有保證、擔保或支付的承諾,不會受到香港法例第32章《公司(清盤及雜項條文)條例》的修改和修訂而引起的無力償還行為所影響。任何保證、擔保或支付下的付款,都不能損害或影響山金證券按本擔保契約向擔保人追討全數欠款的權利。

14. SDGS shall be at liberty but not bound to resort to SDGS's own benefit to any other means of payment at any time and in any order SDGS think fit without thereby diminishing the liability of the Guarantor. SDGS may put this Guarantee in force either for the payment of the outstanding balance after resorting to other means of payment or for the balance due at any time notwithstanding that other means of payment have not been resorted to.
山金證券有自由且不受限制地為了自己的利益而隨時以山金證券認為合適的方式獲得償還，而擔保人的債務責任並不會因此而減輕。山金證券可以在尋求其他償還方式之後使擔保契約生效，也可以在不尋求其他償還方式的情況下，在任何時間要求應付餘額被償還。
15. If any monies paid to SDGS in reduction of the indebtedness under the facilities have to be repaid by SDGS on the ground of fraudulent preference or on any other ground, the liability of the Guarantor shall be computed as if such monies had never been paid to SDGS at all. 倘山金證券由於欺詐性的優惠或任何其他原因而支付用於扣減根據該服務之債務而收取之任何款項，則計算擔保人之債務時，擔保人被視為從來沒有向山金證券償還有關款項而論。
16. Any amount as stated by SDGS and the Principal or on his behalf may be adduced by SDGS and shall be accepted by the Guarantor as conclusive evidence of the amount be due from the Principal to SDGS. Any payment to SDGS by the Principal on account of his liability whether for advances or interest or charges and any acknowledgement by acquiescence in account or otherwise by or on behalf of the Principal of such liability shall operate as an acknowledgement of the liability of the Guarantor according to the terms thereof.
山金證券和委託人或代表其利益的其他人之間確認的款項，擔保人必須將其作為委託人對山金證券的應付款帳目的確鑿證據並且加以接受。委託人或他人代表委託人向山金證券償還的任何款項，不論是貸款、利息還是費用，以及委託人或代表其利益的其他人默許認可的應付款，根據本擔保契約的條款規定，都表示擔保人對該責任的認可。
17. A certificate by an officer of SDGS as to the money and liabilities for the time being due to SDGS from the Principal shall be conclusive evidence in any legal proceedings against the Guarantor or any of the Guarantor.
山金證券職員提供的關於委託人對山金證券的債務欠款證明，在任何對擔保人或擔保人中的任何一人的法律程序中應該作為確鑿證據。
18. Any indebtedness of the Principal now or hereafter held by the Guarantor is hereby subordinated to the indebtedness of the Principal to SDGS. Such indebtedness of the Principal to the Guarantor if SDGS so require shall be collected, enforced and received by the Guarantor as trustee for SDGS and be paid over to SDGS on account of the indebtedness of the Principal to SDGS but without reducing or affecting in any manner the liability of the Guarantor under the other provisions of this guarantee.
現在和今後委託人對擔保人的欠債，皆從屬於委託人對山金證券的債務。委託人對擔保人的債務應該由擔保人以山金證券信託人身份從委託人處收款、執行和收回，然後根據委託人對山金證券的債務支付給山金證券，但是這並不應該在任何程度上減少或影響擔保人根據本擔保契約的條款應承擔的責任。
19. SDGS shall so long as any money remains owing hereunder have a lien therefor on all monies now or hereafter standing to the credit of the Guarantor with SDGS on any account.
只要還有欠款未還清，山金證券就對擔保人在山金證券維持的任何帳戶上現在和今後的存款享有扣押權。
20. The Guarantor hereby represents and warrants to SDGS that it has power to enter into this Guarantee and to perform its obligations hereunder. The Guarantor has read and understood the contents of this Guarantee and has taken independent legal advice as to the effect hereof.
擔保人謹此向山金證券表示並保證擔保人有權訂立本擔保契約並履行有關責任。擔保人已細閱並明白本擔保契約之內容，並已就其效力尋求獨立法律意見。
21. The security conferred by this Guarantee is in addition to and not in substitution for and shall not in any way affect or be affected by any other security or guarantee which SDGS may now or hereafter hold or take from the Principal or any other person in respect of the facilities. 本擔保契約所賦予之保證乃額外保證，不可代替或以任何形式影響山金證券就該服務而在目前或日後持有或接受委託人或任何其他人士之任何其他保證或擔保，或受有關保證或擔保影響。
22. Save as may be expressly provided herein to the contrary, time shall be of the essence of this Guarantee. No failure or delay on the part of SDGS to exercise any right, power or remedy under this Guarantee shall operate as a waiver thereof nor shall a waiver by SDGS of any particular default by the Guarantor affect or prejudice the right, power or remedy of SDGS in respect of any other default or any subsequent default of the same or a different kind nor shall any single or partial exercise by SDGS of any right, power or remedy hereunder preclude any other or further exercise thereof or the exercise of any other right, power or remedy.
除非本擔保契約有明確之相反規定，否則時間對本擔保契約極為重要。山金證券在沒有或延遲行使本擔保契約之任何部份權利、權力或補償，不可視為放棄有關權利、權力或補償，亦不可視為放棄追究擔保人任何個別失責行為，亦不影響或損害山金證券有關任何其他失責或日後其他同類或不同類之失責行為之權利、權力或補償，且山金證券行使本擔保契約任何權利、權力或補償之任何一項或部份並不損害任何其他或進一步行使有關權利、權力或補償之其他部份，亦不損害其行使任何其他權利、權力或補償。
23. If at any time any provision of this Guarantee is or becomes illegal, invalid or unenforceable in any respect under the laws of any jurisdiction, neither the legality, validity nor enforceability of the remaining provisions of this Guarantee nor the legality, validity or enforceability of such provision under the laws of any other jurisdiction shall in any way be affected or impaired thereby.
倘本擔保契約之任何條款在任何時間根據任何司法權區法例屬於或成為非法、無效或無法執行，則本擔保契約其他條款之合法性、有效性或可執行性，或有關條款根據任何其他司法權區法例之合法性、有效性或可執行性，無論如何均不會受到影響或損害。
24. The Guarantor may not assign any of its rights or obligations hereunder. SDGS may assign any of its rights hereunder to a person in favour of whom an assignment has been made under the facilities.
擔保人不可轉讓本擔保契約之任何權利或責任。山金證券則可根據該服務作出轉讓後，將本擔保契約之任何權利轉讓予承讓人。

25. This Guarantee shall continue notwithstanding the death of the Principal.
本擔保契約不會因為委託人死亡而終止。
26. Notwithstanding that the Principal is a committee or association or other unincorporated body which has no legal existence, this Guarantee shall be valid and binding on the Guarantor and have effect as though the Guarantor were joint and several Principal debtors.
不論委託人是否一個委員會或協會或其他無法人身份的機構，本擔保契約對擔保人有效並具有約束力，猶如擔保人是委託人的共同和個別的債務人。
27. This Guarantee shall continue to bind the Guarantor notwithstanding any amalgamation that may be effected by SDGS with any other company or companies, person or persons or notwithstanding any reconstruction by SDGS involving the formation of and transfer of all or any of SDGS's assets to a new company or notwithstanding the sale of all or any part of SDGS's undertaking and assets to another company whether the company or companies with which SDGS amalgamate or the company to which SDGS transfer all or any of SDGS's assets either on a reconstruction or sale as aforesaid shall or shall not differ in their or its objects character and constitution from SDGS it being the intent of the Guarantor that this guarantee shall remain valid and effectual in all respects in favor of, against and with reference to and that the benefit of this guarantee and all rights conferred upon SDGS hereby may be assigned to and enforced by any such company or companies, person or persons and proceeded on in the same manner to all intents and purposes as if such company or companies, person or persons had been named herein instead of SDGS.
本擔保契約仍然對擔保人有約束力，即使山金證券可能和其他公司或數個公司、個人或幾個人發生合併，或者山金證券進行結構重組，並把山金證券所有或一部分的資產轉移給新公司，或者山金證券把企業或資產的全部或部分賣給其他企業，不論上述與山金證券合併的公司和因為重組或出售使得全部或部分資產轉移至的新公司在公司目標、特點和章程上是否與山金證券相同，擔保人的意圖是本擔保契約仍然在有利於山金證券的所有方面保持有效，本擔保契約的利益和所有授予山金證券的權利都轉讓給上述企業或幾個企業、個人或幾個人，由他們行使，而且按照所有的目的和意圖依照相同程度執行，就好像在擔保契約中所指的不是山金證券，而是這個或這幾個公司、這個或這幾個人。
28. Every notice under this Guarantee shall be in writing and may be given or made by post, facsimile or cable to the Guarantor or SDGS at their respective addresses given above. Every notice shall be deemed to have been received, in the case of a facsimile or cable at the time of despatch and in the case of a letter two days after its posting.
有關本擔保契約之各項通知均須以書面形式送交、郵遞、傳真或發出電報予擔保人或山金證券各自在上文所列之地址。每份通知應在發出傳真或電報時（倘發出當日在收件人所在地並非工作日，則在發出後下一個工作日），或投遞函件後兩日被視為送達。
29. This Guarantee shall be governed by and construed in accordance with the laws of the Hong Kong Special Administrative Region and the Guarantor hereby submits to the non-exclusive jurisdiction of the Hong Kong courts.
本擔保契約受香港法例監管並按該等法例詮釋，擔保人謹此不可撤回地接受香港及其他地區法院之裁判。
30. If there is any inconsistency or ambiguity between the English version and the Chinese version, the English version shall prevail.
如中、英文兩個版本有任何抵觸或不相符之處，應以英文版本為準。

Signed, Sealed and Delivered as a Deed by the Guarantor 由擔保人以契據形式簽署、蓋印並送交

Sign by Guarantor 擔保人簽署	Guarantor Name 擔保人姓名
	Capacity (where the Guarantor is a corporate) 身份（如擔保人為法團）

In the Presence of 由以下人士見證

Sign by Witness 見證人簽署	Witness Name 見證人姓名
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**Certificate of Status of Beneficial Owner for
United States Tax Withholding and Reporting (Entities)**

► For use by entities. Individuals must use Form W-8BEN. ► Section references are to the Internal Revenue Code.
► Go to www.irs.gov/FormW8BENE for instructions and the latest information.
► Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

Do NOT use this form for:

- U.S. entity or U.S. citizen or resident W-9
- A foreign individual W-8BEN (Individual) or Form 8233
- A foreign individual or entity claiming that income is effectively connected with the conduct of trade or business within the U.S. (unless claiming treaty benefits) W-8ECI
- A foreign partnership, a foreign simple trust, or a foreign grantor trust (unless claiming treaty benefits) (see instructions for exceptions) . . . W-8IMY
- A foreign government, international organization, foreign central bank of issue, foreign tax-exempt organization, foreign private foundation, or government of a U.S. possession claiming that income is effectively connected U.S. income or that is claiming the applicability of section(s) 115(2), 501(c), 892, 895, or 1443(b) (unless claiming treaty benefits) (see instructions for other exceptions) W-8ECI or W-8EXP
- Any person acting as an intermediary (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): <table border="0" style="width:100%"><tr><td><input type="checkbox"/> Simple trust</td><td><input type="checkbox"/> Grantor trust</td><td><input type="checkbox"/> Complex trust</td><td><input type="checkbox"/> Estate</td><td><input type="checkbox"/> Partnership</td></tr><tr><td><input type="checkbox"/> Central Bank of Issue</td><td><input type="checkbox"/> Tax-exempt organization</td><td><input type="checkbox"/> Private foundation</td><td><input type="checkbox"/> International organization</td><td><input type="checkbox"/> Government</td></tr></table> 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				<input type="checkbox"/> Simple trust	<input type="checkbox"/> Grantor trust	<input type="checkbox"/> Complex trust	<input type="checkbox"/> Estate	<input type="checkbox"/> Partnership	<input type="checkbox"/> Central Bank of Issue	<input type="checkbox"/> Tax-exempt organization	<input type="checkbox"/> Private foundation	<input type="checkbox"/> International organization	<input type="checkbox"/> Government
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5 Chapter 4 Status (FATCA status) (See instructions for details and complete the certification below for the entity's applicable status.) <table border="0" style="width:100%"><tr><td style="vertical-align:top; width:50%"><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.</td><td style="vertical-align:top; width:50%"><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. 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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). <table border="1" style="width:100%"><tr><td style="width:70%">City or town, state or province. Include postal code where appropriate.</td><td style="width:30%">Country</td></tr></table>				City or town, state or province. Include postal code where appropriate.	Country								
City or town, state or province. Include postal code where appropriate.	Country												
7 Mailing address (if different from above) <table border="1" style="width:100%"><tr><td style="width:70%">City or town, state or province. Include postal code where appropriate.</td><td style="width:30%">Country</td></tr></table>				City or town, state or province. Include postal code where appropriate.	Country								
City or town, state or province. Include postal code where appropriate.	Country												
8 U.S. taxpayer identification number (TIN), if required		9a GIIN	b Foreign TIN										
10 Reference number(s) (see instructions)													

Note: Please complete remainder of the form including signing the form in Part XXX.

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):
- | | |
|--|---|
| <input type="checkbox"/> Government | <input type="checkbox"/> Company that meets the ownership and base erosion test |
| <input type="checkbox"/> Tax exempt pension trust or pension fund | <input type="checkbox"/> Company that meets the derivative benefits test |
| <input type="checkbox"/> Other tax exempt organization | <input type="checkbox"/> Company with an item of income that meets active trade or business test |
| <input type="checkbox"/> Publicly traded corporation | <input type="checkbox"/> Favorable discretionary determination by the U.S. competent authority received |
| <input type="checkbox"/> Subsidiary of a publicly traded corporation | <input type="checkbox"/> 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 Bank18 ☐ 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 Accounts19 ☐ 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 QI, WP, or WT;
- Will have all of its due diligence, withholding, and reporting responsibilities (determined as if the FFI were a participating FFI) fulfilled by the sponsoring entity identified on line 20; **and**
- 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 Entity22 ☐ 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 Accounts23 ☐ 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 FFI41 ☐ 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 to which this form relates, is using this form to certify its status for chapter 4 purposes, or is a merchant submitting this form for purposes of section 6050W;
- The entity identified 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 income tax treaty, or (c) the partner's share of a partnership's effectively connected income; **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.

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

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