



Goldhorse Securities Limited
金馬證券有限公司
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Update of Client Information Form (Corporate Account)
客戶資料更新表格 (企業帳戶)

Name of Account
帳戶名稱

Account Number
帳戶號碼

Note 註: 1. Please tick ✓ the appropriate box. 請於適當空格內加上剔✓號。
2. For item with + symbol, please provide supporting document. 對於帶+號的項目, 請提供證明文件。

1. Account Information 帳戶資料	
1.1 General Information 基本資料	
Chinese Name ⁺ 中文名稱 ⁺	
English Name ⁺ 英文名稱 ⁺	
Hong Kong Business Registration Number (if applicable) ⁺ 香港商業登記號碼 (如適用) ⁺	
Nature of Business 業務性質	
Information of Contact Person 聯絡人資料	Name 姓名 _____ Position 職位 _____
Contact Phone Number 聯絡電話號碼	Country/Area Code 國家/地區編號 - Number 號碼 _____
E-mail (for receiving statement and notification) 電郵地址 (用作收取結單及通知)	
Mode of Receiving Statement and Notification 結單及通知收取方式	<input type="checkbox"/> By E-mail 電郵 <input type="checkbox"/> By Mail (with charge) 郵寄 (需收費)
Language for Communication 通訊語言	<input type="checkbox"/> Chinese 中文 <input type="checkbox"/> English 英文
Registration Address ⁺ 註冊地址 ⁺	Suite/Floor/Building/Street/District 室/樓層/大廈/街道/地區 _____ City 城市 _____ Province/State 省/州 _____ Country 國家 _____ Post Code/ZIP Code 郵政編碼/郵遞區號碼 _____
Principal/Current Business Address 主要/現時營業地址	Suite/Floor/Building/Street/District 室/樓層/大廈/街道/地區 _____ City 城市 _____ Province/State 省/州 _____ Country 國家 _____ Post Code/ZIP Code 郵政編碼/郵遞區號碼 _____

Correspondence Address
通訊地址

(if different from above 如與上址不同)

Suite/Floor/Building/Street/District
室/樓層/大廈/街道/地區
City
城市
Province/State
省/州
Country
國家
Post Code/ZIP Code
郵政編碼/郵遞區號碼

1.2 Information of Director(s) 董事資料

Name ⁺ 姓名 ⁺	Identity Card/Passport ⁺ 身份證/護照 ⁺		Contact Phone Number 聯絡電話號碼	Residential Address ⁺ 住宅地址 ⁺
	Number 號碼	Issuing Country 簽發國家		
<input type="checkbox"/> Add 新增 ⁺ <input type="checkbox"/> Remove 移除				
<input type="checkbox"/> Add 新增 ⁺ <input type="checkbox"/> Remove 移除				
<input type="checkbox"/> Add 新增 ⁺ <input type="checkbox"/> Remove 移除				

1.3 Information of Substantial Shareholder(s) 主要股東資料

Substantial Shareholder: Any person has the right to exercise or control the exercise of 10% or more of the issued shares or voting rights at any shareholder meeting of a company.

主要股東: 任何人士有權於一間公司之任何股東大會上行使或可控制行使 10%或以上之股權或投票權。

Name ⁺ 姓名 ⁺	Identity Card/Passport ⁺ 身份證/護照 ⁺		Contact Phone Number 聯絡電話號碼	Residential Address ⁺ 住宅地址 ⁺
	Number 號碼	Issuing Country 簽發國家		
Shareholding 持股 (%): <input type="checkbox"/> Add 新增 ⁺ <input type="checkbox"/> Remove 移除				
Shareholding 持股 (%): <input type="checkbox"/> Add 新增 ⁺ <input type="checkbox"/> Remove 移除				
Shareholding 持股 (%): <input type="checkbox"/> Add 新增 ⁺ <input type="checkbox"/> Remove 移除				

1.4 Information for the Authorized Person(s) to Operate the Account 獲授權操作帳戶人士資料

Name ⁺ 姓名 ⁺	Identity Card/Passport ⁺ 身份證/護照 ⁺		Contact Phone Number 聯絡電話號碼	Position 職位	Specimen Signature 簽署式樣
	Number 號碼	Issuing Country 簽發國家			
<input type="checkbox"/> Add 新增 ⁺ <input type="checkbox"/> Remove 移除					
<input type="checkbox"/> Add 新增 ⁺ <input type="checkbox"/> Remove 移除					
<input type="checkbox"/> Add 新增 ⁺ <input type="checkbox"/> Remove 移除					

Signature Arrangement 簽署安排

Written instruction(s) signed by any one of the above-mentioned authorized person(s). 任何一位上述獲授權人士簽署之書面指示。

Written instruction(s) signed by any ___ of the above-mentioned authorized person(s). 任何 ___ 位上述獲授權人士簽署之書面指示。

1.5 Financial Status 財政狀況

Initial and Ongoing Source of Funds and Wealth 初次及持續資金及財富來源	<input type="checkbox"/> Business Income/Profit 營業收入/利潤 <input type="checkbox"/> Rental Income 租金收入 <input type="checkbox"/> Return on Investments 投資回報 <input type="checkbox"/> Others 其他 (Please specify 請註明): _____	<input type="checkbox"/> Commission 佣金 <input type="checkbox"/> Dividends/Interests 股息/利息 <input type="checkbox"/> Investment by Shareholder(s) 股東之投資	
Profit after Tax (HKD) 稅後利潤(港幣)	<input type="checkbox"/> < 120,000 <input type="checkbox"/> 1,000,001-5,000,000	<input type="checkbox"/> 120,000-500,000 <input type="checkbox"/> 5,000,001-10,000,000	<input type="checkbox"/> 500,001-1,000,000 <input type="checkbox"/> > 10,000,000
Place of Source of Funds 資金來源地	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> China 中國 <input type="checkbox"/> Others 其他 (Please specify 請註明): _____		
Asset Item(s) 資產項目	<input type="checkbox"/> Property 房地產 <input type="checkbox"/> Bonds 債券	<input type="checkbox"/> Cash/Deposits 現金/存款 <input type="checkbox"/> Others 其他 (Please specify 請註明): _____	<input type="checkbox"/> Listed Stocks 上市股票
Net Asset Value (HKD) 資產淨值 (港幣)	<input type="checkbox"/> ≤ 500,000 <input type="checkbox"/> 5,000,001-10,000,000 <input type="checkbox"/> > 100,000,000	<input type="checkbox"/> 500,001-1,000,000 <input type="checkbox"/> 10,000,001-50,000,000	<input type="checkbox"/> 1,000,001-5,000,000 <input type="checkbox"/> 50,000,001- 100,000,000

1.6 Declaration of Tax Residency 稅務居民身份聲明

1.6.1 Foreign Account Tax Compliance Act (“FATCA”) 海外帳戶稅收合規法案

- a. Is your company registered in United States (“U.S.”) as corporate/fund/trust?
貴司是否為美國註冊的企業/基金/信托?
 No, please fill in Form W-8BEN-E. 否，請填寫 W-8BEN-E 表格。 Yes, please fill in Form W-9. 是，請填寫 W-9 表格。
- b. Is any director and/or substantial shareholder of your company a resident, citizen (including holder of Green Card) or taxpayer of U.S.?
貴司之任何董事及/或主要股東是否為美國公民、居民(包括綠卡持有者)或納稅人?
 No 否 Yes, please ask relevant person to fill in Form W-9. 是，請有關人士填寫 W-9 表格。

1.6.2 Automatic Exchange of Financial Account Information 自動交換財務帳戶資料

a. Entity Type 實體類別

Financial Institution 財務機構	<input type="checkbox"/> Custodial Institution, Depository Institution or Special 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 Non-financial Entity (“NFE”) 主動非財務實體	<input type="checkbox"/> NFE the stock of which is regularly traded on _____, which is an established securities market 該非財務實體的股票經常在 _____ (一個具規模證券市場)進行買賣 <input type="checkbox"/> Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market 的有關連實體，該有關連實體的股票經常在 _____ (一個具規模證券市場)進行買賣 <input type="checkbox"/> NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities 政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體 <input type="checkbox"/> Active NFE other than the above (Please specify _____) 除上述以外的主動非財務實體(請說明 _____)
Passive NFE 被動非財務實體	<input type="checkbox"/> Investment entity that is managed by another financial institution and located in a non-participating jurisdiction 位於非參與稅務管轄區並由另一財務機構管理的投資實體 <input type="checkbox"/> NFE that is not an active NFE 不屬主動非財務實體的非財務實體

b. Controlling Persons (Complete this part if the account holder is a passive NFE)
控權人(如帳戶持有人是被動非財務實體，需填此部分)

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

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列表內。就法人實體，如行使控制權的並非自然人，控權人會是該法人實體的高級管理人員。

每名控權人須分別填寫一份自我證明表格-控權人。

(i)	(v)
(ii)	(vi)
(iii)	(vii)
(iv)	(viii)

- c. Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder's taxpayer identification number or its functional equivalent ("TIN") for each jurisdiction indicated. Indicate all jurisdictions of residence.

提供以下資料，列明(a)帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區(香港包括在內)及(b)該居留司法管轄區發給帳戶持有人的稅務編號或具有等同功能的識別編號(以下簡稱「稅務編號」)。列出所有居留司法管轄區。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number.

如帳戶持有人是香港稅務居民，稅務編號是其香港商業登記號碼。

If the account holder is not a tax resident in any jurisdiction (e.g. fiscally transparent), indicate the jurisdiction in which its place of effective management is situated.

如果帳戶持有人並非任何稅務管轄區的稅務居民(例如：它是財政透明實體)，填寫實際管理機構所在的稅務管轄區。

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

如沒有提供稅務編號，必須填寫合適的理由：

Reason 理由 A The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.
帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

Reason 理由 B The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.
帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得稅務編號的原因。

Reason 理由 C TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.
帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

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

1.7 Settlement Bank Account Information 結算銀行帳戶資料

Currency 貨幣	Name of Bank 銀行名稱	Account Number 帳戶號碼	Name of Bank Account Holder 銀行帳戶持有人姓名
HKD 港幣	_____	_____	_____
CNY 人民幣	_____	_____	_____
USD 美元	_____	_____	_____

2. Investment Objective, Investment Experience and Knowledge of Derivative Products 投資目標、投資經驗及對衍生產品之認識

2.1 Investment Objective 投資目標

- Capital Appreciation 資本增值 Speculation 投機 Dividend or Interest Income 股息或利息收入
 Hedging 對沖 Others 其他 (Please specify 請註明): _____

2.2 Investment Experience 投資經驗

Product(s) 產品	Year(s) 年數					
	Nil 沒有	< 1	1-3	4-6	7-9	> 10
<input type="checkbox"/> Stock 股票	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Bond 債券	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Derivative Warrants 衍生權證	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Inline Warrants 界內證	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Call Bull/Bear Contracts 牛熊證	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Exchange Traded Products 交易所買賣產品 ^{##}	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Structured/Complex/OTC Products 結構性/複雜性/場外交易產品	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Others 其他 (Please specify 請註明): _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

^{##} Exchange Traded Products include 交易所買賣產品包括:

Exchange Traded Funds 交易所買賣基金, Leveraged & Inverse Products 槓桿及反向產品, Unit Trusts 單位信託, Mutual Funds 互惠基金 and 及 REITs 房地產投資信託基金

2.3 Knowledge of Derivative Products 對衍生產品之認識

Derivative Products include 衍生產品包括:

Derivative Warrants 衍生權證, Inline Warrants 界內證, Call Bull/Bear Contracts 牛熊證, Exchange Traded Funds 交易所買賣基金, Leveraged & Inverse Products 槓桿及反向產品, Structured/Complex/OTC Products 結構性/複雜性/場外交易產品, etc 等。

2.3.1 Are you interested in trading Derivative Products? 貴司有意買賣衍生產品嗎?

(If you are not interested in trading Derivative Products, Goldhorse Securities Limited shall not offer related trading rights to your account.
如貴司對買賣衍生產品不感興趣，金馬證券有限公司不會向貴司帳戶提供相關交易權。)

- No 沒有 Yes 有

- 2.3.2** Does/do your authorized person(s) have any knowledge of Derivative Products?
貴司之獲授權人士有否衍生產品之認識?
- No 沒有 Yes 有, please complete 請完成 2.3.3 – 2.3.5
- 2.3.3** Has/have your authorized person(s) taken any training on Derivative Products that provide general knowledge of the nature and risks of Derivative Products?
貴司之獲授權人士曾否接受任何有關介紹一般衍生產品之性質及風險的培訓?
- No 沒有 Yes 有+, please specify 請註明:
- Name of Course/Seminar 課程/研討會名稱 _____
- Organization 主辦機構 _____ Year of Participation 參與年份 _____
- 2.3.4** Does/do/did you your authorized person(s) have any work experience related to Derivative Products?
貴司之獲授權人士是否/曾否擁有與衍生產品有關的工作經驗?
- No 沒有 Yes 有+, please specify 請註明:
- Name of Company 任職公司名稱 _____ Position 職位 _____
- Period of Employment 任職時段 _____
- 2.3.5** Have you executed five or more transactions in any Derivative Products within the past three years?
貴司下曾否在過去三年執行過五次或以上任何衍生產品的交易?
- No 沒有 Yes 有+, please specify 請註明:
- Derivative Warrants 衍生權證 Inline Warrants 界內證 Call Bull/Bear Contracts 牛熊證
- Exchange Traded Funds 交易所買賣基金 Leveraged & Inverse Products 槓桿及反向產品
- Structured/Complex/OTC Products 結構性/複雜性/場外交易產品
- Others 其他 (Please specify 請註明): _____

3. Anticipated Account Trading Volume 預期帳戶交易量

Anticipated Product(s) Invested 預期投資產品	Anticipated Number of Transactions Per Month 預計每月交易次數			Anticipated Amount of Transactions Per Month (HKD in million) 預計每月交易金額(百萬港幣)			
	< 100	100-300	> 300	≤ 3	4-6	7-9	> 10
<input type="checkbox"/> Stock 股票	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Bond 債券	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Derivative Warrants 衍生權證	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Inline Warrants 界內證	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Call Bull/Bear Contracts 牛熊證	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Exchange Traded Products 交易所買賣產品	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Structured/Complex/OTC Products 結構性/複雜性/場外交易產品	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Others 其他 (Please specify 請註明): _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

4. Uses of Personal Data 個人資料之使用 (Please refer to Personal Information Collection Statement 請參閱個人資料收集聲明)

4.1 China Connect Securities (Northbound Trading) Service 中華通證券(北向交易)服務

- Agree the terms and conditions of China Connect Securities (Northbound Trading) Service of Personal Information Collection Statement.
同意個人資料收集聲明部分之中華通證券(北向交易)服務之所有細節及條款。
- Not agree the terms and conditions of China Connect Securities (Northbound Trading) Service of Personal Information Collection Statement.
不同意個人資料收集聲明部分之中華通證券(北向交易)服務之所有細節及條款。
(If you select this option, Goldhorse Securities Limited shall not offer Shanghai and Shenzhen Connect trading service to you.
如貴司選取此項, 金馬證券有限公司不會向貴司提供滬港通及深港通交易服務。)

4.2 Cross-border Transfer of Personal Data 跨境個人資料轉讓

- Agree the terms and conditions of Cross-border Transfer of Personal Data of Personal Information Collection Statement.
同意個人資料收集聲明部分之跨境個人資料轉讓之所有細節及條款。
- Not agree the terms and conditions of Cross-border Transfer of Personal Data of Personal Information Collection Statement.
不同意個人資料收集聲明部分之跨境個人資料轉讓之所有細節及條款。
(If you select this option, Goldhorse Securities Limited shall not offer any trading service to you.
如貴司選取此項, 金馬證券有限公司不會向貴司提供任何交易服務。)

4.3 Direct Marketing 直接促銷

- Agree to use my personal information to do any direct marketing according to the Personal Information Collection Statement.
同意個人資料收集聲明所載使用貴司之個人資料作任何直接促銷。
- All Means 任何途徑 Email 電郵 Phone 電話 SMS 短訊 Mail 郵寄
- Instant Messaging of Mobile Application 即時通訊流動應用程式
- Not agree to use my personal information to do any direct marketing according to the Personal Information Collection Statement.
不同意個人資料收集聲明所載使用貴司之個人資料作任何直接促銷。

5. Ultimate Beneficiary and Person to Originate Instruction of the Securities Account 證券帳戶最終受益人及交易指示發出者

5.1 Are you the ultimate beneficiary of the securities account? 貴司是否證券帳戶的最終受益人?

Yes 是

No 否, the details of the related person are as follows 有關人士之資料如下:

Name 姓名 _____ Date of Birth (DD/MM/YYYY) 出生日期 (日/月/年) _____

Nationality 國籍 _____ Identity Card/Passport Number and its Issuing Country 身份證/護照號碼及其簽發國家 _____

Residential Address 住宅地址 _____

Mobile Phone Number 手提電話號碼 _____

5.2 Are you the person that stands to gain and/or bear any commercial or economic benefit and/or risk of the transaction of the securities account? 貴司是否將會從證券帳戶之交易取得及/或承擔商業或經濟利益及/或風險的人士?

Yes 是

No 否, the details of the related person are as follows 有關人士之資料如下:

Name 姓名 _____ Date of Birth (DD/MM/YYYY) 出生日期 (日/月/年) _____

Nationality 國籍 _____ Identity Card/Passport Number and its Issuing Country 身份證/護照號碼及其簽發國家 _____

Residential Address 住宅地址 _____

Mobile Phone Number 手提電話號碼 _____

5.3 Are you the person ultimately responsible for originating the instruction in relation to the transaction(s) of the securities account? 貴司是否證券帳戶最初負責發出交易指示的人士?

Yes 是

No 否, the details of the related person are as follows 有關人士之資料如下:

Name 姓名 _____ Date of Birth (DD/MM/YYYY) 出生日期 (日/月/年) _____

Nationality 國籍 _____ Identity Card/Passport Number and its Issuing Country 身份證/護照號碼及其簽發國家 _____

Residential Address 住宅地址 _____

Mobile Phone Number 手提電話號碼 _____

6. Disclosures for Due Diligence 盡職審查披露

6.1 Are you a licensed corporation or registered institution of Securities and Futures Commission of Hong Kong? 貴司是否香港證監會持牌法團或註冊機構?

No 否

Yes 是

6.2 Is/are your director(s), substantial shareholder(s) and/or authorized person(s) a director or an employee of the licensed corporation or registered institution of Securities and Futures Commission of Hong Kong? 貴司之董事、主要股東及/或獲授權人士是否香港證監會持牌法團或註冊機構之董事或僱員?

No 否

Yes 是, Name of Relevant Person(s) 有關人士姓名: _____

Company Name 公司名稱: _____

(If you select this option, please ask the relevant person(s) to provide the consent letter for maintaining this account by this company. 如貴司選取此項, 請有關人士提供由此公司發出之保留此帳戶同意信。)

6.3 Is/are your director(s), substantial shareholder(s) and/or authorized person(s) a licensed representative or responsible officer registered under Securities and Futures Commission of Hong Kong? 貴司之董事、主要股東及/或獲授權人士是否香港證監會註冊之持牌代表或負責人員?

No 否

Yes 是, Name of Relevant Person(s) 有關人士姓名: _____

CE Number 中央編號: _____

6.4 Is/are your director(s), substantial shareholder(s) and/or authorized person(s) an employee, a business manager or a relative of such person of Goldhorse Securities Limited? 貴司之董事、主要股東及/或獲授權人士是否金馬證券有限公司之僱員、業務經理或該人士之親屬?

No 否

Yes 是, Name of Relevant Person(s) 有關人士姓名: _____

Name of Employee/Business Manager 僱員/業務經理姓名: _____

Relationship 關係: _____

6.5 Are you a substantial shareholder[@] of any listed company whose shares can be traded on any exchange?
貴司是否任何其股份可在任何交易所買賣之上市公司之主要股東[@]?

[@]Substantial shareholder 主要股東:

Any person has the right to exercise or control the exercise of 10% or more of the issued shares or voting rights at any shareholder meeting of a company.

任何人士有權於一間公司之任何股東大會上行使或可控制行使 10%或以上之股權或投票權。

No 否 Yes 是, Company Name 公司名稱: _____ Listing Code 上市編號 _____

6.6 Is/are your director(s), substantial shareholder(s) and/or authorized person(s) a Politically Exposed Person[^] (the "PEP"), or a close associate^{^^} of the PEP?

貴司之董事、主要股東及/或獲授權人士於過往或現在是否政治人物[^]或與任何政治人物有聯繫或關係^{^^}?

[^]Politically Exposed Person 政治人物:

an individual who is or has been entrusted with a prominent public function in any country/province/state/city, including a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and an important political party official.

任何國家/省/州/城市擔任或曾擔任重要公職的個人，包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事。

^{^^}Close associate 聯繫或關係:

i. a spouse, a partner, a child or a parent of the PEP, or a spouse or a partner of a child of the PEP;

為政治人物的配偶、伴侶、子女或父母，或政治人物子女的配偶或伴侶;

ii. the PEP as a beneficial owner of a legal person (company or corporate);

為政治人物擁有實益控制權的法人(即公司或企業);

iii. an individual who has close business relations with the PEP, including an individual who is a beneficial owner of a legal person (company or corporate) or trust of which the PEP is also a beneficial owner; or

該人為與政治人物有密切業務關係的個人，包括屬法人(即公司或企業)或信託的實益擁有人的個人，而政治人物亦是該法人或信託的實益擁有人;或

iv. an individual who is the beneficial owner of a legal person (company or corporate) or trust that is set up for the benefit of the PEP.

替政治人物持有法人(即公司或企業)或信託的個人，而有關法人是為政治人物的利益而成立的。

No 否 Yes 是, Please specify 請註明: _____

6.7 Did your director(s), substantial shareholder(s) and/or authorized person(s) have any criminal record in the past and/or is/are your director(s), substantial shareholder(s) and/or authorized person(s) currently undergoing any criminal trial or investigation?

貴司之董事、主要股東及/或獲授權人士於過往有否任何刑事犯罪紀錄及/或現在是否接受任何刑事訴訟案件審訊或調查?

No 否 Yes 是, Please specify 請註明: _____

6.8 Did/does/do your director(s), substantial shareholder(s) and/or authorized person(s) have any professional qualification licenses (such as lawyer, accountant, doctor, etc.) and/or regulated licenses (such as securities, real estate, insurance, etc.) in the past or at present?

貴司之董事、主要股東及/或獲授權人士於過往或現在是否持有任何專業資格牌照(如律師、會計師、醫生等)及/或受監管的牌照(如證券、地產、保險等)?

No 否 Yes 是, Please complete 請完成 6.9.

6.9 If your director(s), substantial shareholder(s) and/or authorized person(s) hold(s) any professional qualification and/or regulated licenses, did your director(s), substantial shareholder(s) and/or authorized person(s) have any disciplinary records in the past and/or is/are your director(s), substantial shareholder(s) and/or authorized person(s) currently subject to any disciplinary investigations in relation to the professional qualification and/or regulated licenses?

如貴司之董事、主要股東及/或獲授權人士持有任何專業資格及/或受監管牌照，貴司之董事、主要股東及/或獲授權人士過往有否任何違規紀錄及/或現在是否接受任何與其專業資格牌照及/或受監管牌照有關的違規調查?

No 否 Yes 是, Please specify 請註明: _____

The following questions are only for client who owns a margin securities account to answer. 以下問題只供擁有保證金證券帳戶之客戶作答。

6.10 Does/do your substantial shareholder(s) and/or his/her/their spouse(s) have an/a individual/joint margin securities account with Goldhorse Securities Limited?

貴司之主要股東及/或其配偶是否擁有金馬證券有限公司個人/聯名保證金證券帳戶?

No 否 Yes 是, Name of Relevant Person(s) _____ Account Number _____
有關人士姓名 帳戶號碼
Name of the Spouse of Relevant Person(s) _____ Account Number _____
有關人士配偶姓名 帳戶號碼

6.11 Does/do your substantial shareholder(s) and/or his/her/their spouse(s) individually or jointly control 35% or more of the issued shares or voting rights of any corporate client's margin securities account of Goldhorse Securities Limited?

貴司之主要股東及/或其配偶是否單獨或共同控制任何金馬證券有限公司企業客戶保證金證券帳戶 35% 或以上之股權或表決權?

No 否 Yes 是, Name of Relevant Person(s) _____
有關人士姓名
Name of the Spouse of Relevant Person(s) _____
有關人士配偶姓名
Name of Account _____ Account Number _____
帳戶名稱 帳戶號碼

7. Client's Declaration and Acknowledgement 客戶聲明及確認

7.1 General Declaration 一般聲明

- 7.1.1 The Client (that is/are the person(s) who signed this form) agrees that Goldhorse Securities Limited ("Goldhorse Securities") replaces the original information record of the Client with the information provided above.
客戶(即簽署此表格之人士)同意金馬證券有限公司(下稱「金馬證券」)以其上述所提供之資料取代其原有之資料紀錄。
- 7.1.2 The Client clearly understands that Goldhorse Securities shall request more relevant information or supporting documents from the Client for the purpose of updating the above-mentioned account information.
客戶清楚明白金馬證券會要求其提供更多相關的資料或證明文件以作更新上述帳戶資料之用。
- 7.1.3 The Client confirms that the information provided in this form are true and accurate. Goldhorse Securities reserves the right to continue to rely on the information provided by the Client for any purpose.
客戶確認其於此表格內提供的資料是真實和準確的。金馬證券有權為任何目的繼續信賴客戶已向其提供的資料。
- 7.1.4 The Client agrees that Goldhorse Securities can contact any person at any time, including banks or credit rating agencies, to check or review the information provided by the Client.
客戶同意金馬證券能隨時聯絡任何人士，包括銀行或信用評估機構，以查核或審核客戶所提供之資料。
- 7.1.5 If there is any further change to the Client's personal or account information, the Client confirms that the Client shall immediately notify Goldhorse Securities in a manner approved by Goldhorse Securities.
如客戶的個人或帳戶資料再有任何變更，客戶確認其會立即以金馬證券認可之方式通知金馬證券。
- 7.1.6 The Client acknowledges that the Client has carefully read the Personal Information Collection Statement and fully agrees to such relevant terms and conditions and that Goldhorse Securities can use the Client's personal data in accordance with such relevant terms and conditions (except as described in section 4 of this form). The Client also understands and acknowledges that Goldhorse Securities intends to use the Client's personal data for direct marketing and cross-border transfer of personal data. Goldhorse Securities must receive the Client's consent for the use of such personal data, otherwise Goldhorse Securities shall not use such personal data. The Client clearly understands, acknowledges and agrees that unless the Client decides to notify Goldhorse Securities in section 4 of this form or at any time in accordance with the Personal Information Collection Statement to refuse the use of such personal data, Goldhorse Securities shall comply with the Personal Information Collection Statement to use the Client's personal data by any means in direct marketing and cross-border transfer of personal data.
客戶承認已詳閱個人資料收集聲明，並完全同意相關條款及細則及金馬證券可根據相關條款及細則使用客戶的個人資料(此表格第 4 部份所述除外)。客戶亦明白及承認金馬證券擬把客戶之個人資料使用於直接促銷及跨境個人資料轉讓，金馬證券須收到客戶對該等個人資料使用的同意，否則不得如此使用該等個人資料。客戶清楚明白、承認及同意除非客戶決定如此表格第 4 部份所述或根據個人資料收集聲明所載隨時通知金馬證券而拒絕該等個人資料之使用，金馬證券能將根據個人資料收集聲明使用客戶之個人資料以任何途徑於直接促銷及跨境個人資料轉讓。
- 7.1.7 The Client confirms and agrees that Goldhorse Securities has no responsibility or obligation to provide any tax advice to the Client. If the Client has any tax questions or does not know the tax status or residency, the Client must seek independent advice.
客戶確認及同意金馬證券沒有任何責任及義務向客戶提供任何關於稅務方面之建議。如客戶有任何稅務方面之疑問或不了解其稅務身份或居所狀況，客戶須徵求獨立之意見。
- 7.1.8 If there is any ambiguity between the Chinese and English versions of this form, the English version shall prevail.
如此表格之中英文版本有任何歧義，將以英文版本為準。

7.2 Declaration of Foreign Account Tax Compliance Act 海外帳戶稅收合規法案聲明

Important Notes 重要提示：

With effect from July 2014, Foreign Account Tax Compliance Act ("FATCA") has been enacted by U.S. FATCA aims to prevent the non-compliance with U.S. tax obligations by U.S. taxpayers holding foreign financial accounts. According to the information published by the U.S. Internal Revenue Service (the "IRS"), FATCA requires foreign financial institutions ("FFIs") to conduct certain due diligence procedures to identify and report to the IRS information in respect of foreign financial accounts held by (i) U.S. taxpayers; or (ii) foreign entities in which U.S. taxpayers hold a substantial ownership interests.

美國制定的海外帳戶稅收合規法案(下稱「FATCA」)於 2014 年 7 月起生效。FATCA 旨在防止美國納稅人利用海外金融帳戶不遵守美國稅收義務。據美國國稅局表示，FATCA 要求海外金融機構遵從有關盡職調查程序，以辨認及向美國國稅局匯報 (i) 美國人士或 (ii) 美國納稅人持有主要權益之海外實體所持有的海外金融戶口資料。

- 7.2.1 The Client acknowledges and agrees that (i) the information contained in this form is collected and may be kept by Goldhorse Securities for the purpose of FATCA, and (ii) such information and information regarding the Client and any reportable account(s) may be reported by Goldhorse Securities to the IRS for tax purposes.
客戶知悉及同意，金馬證券可根據 FATCA，(i) 收集此表格所載資料並可備存作 FATCA 用途及(ii) 把該等資料和關於客戶及任何須申報帳戶的資料向美國國稅局申報。
- 7.2.2 The Client undertakes to advise Goldhorse Securities of any change in circumstances which affects the tax residency status of the Client identified in this form or causes the information contained herein to become incorrect, and to provide Goldhorse Securities with a suitably updated W-8BEN or W9 form within 30 days of such change in circumstances.
客戶承諾，如情況有所改變，以致影響此表格所述的個人稅務居民身分，或引致本表格所載的資料不正確，客戶會通知金馬證券，並會在情況發生改變後 30 日內，向金馬證券提交一份已適當更新的 W-8BEN 或 W9 表格。
- 7.2.3 The Client agrees that the Client is required to provide any information or documents required by Goldhorse Securities to comply with FATCA in a timely manner.
客戶同意其需及時提供金馬證券為遵守 FATCA 之任何資料或文件。
- 7.2.4 The Client agrees that Goldhorse Securities can disclose any information (including the Client's tax status, identity and other payment information) and/or documents provided by the Client to the IRS.
客戶同意金馬證券能透露任何由其提供的任何信息(包括客戶之稅收狀況、身份及其他付款信息)及/或文件予美國國稅局。
- 7.2.5 The Client agrees that the Client has no right to claim against Goldhorse Securities for any losses, liabilities, costs or expenses incurred by the Client owing to the proper use or disclosure of such information or documents to the IRS by Goldhorse Securities in order to comply with FATCA.
就客戶因金馬證券為遵守 FATCA 而恰當使用或向美國國稅局披露此等資料或文件而使其蒙受的任何損失、責任、成本或開支，客戶同意其無權向金馬證券申索。

- 7.2.6 The Client agrees that in view of the loss or expenses incurred by Goldhorse Securities in relation to the Client's violation of the above-mentioned declarations and agreement and/or the failure of the Client to provide any information or documents required by Goldhorse Securities to comply with FATCA, the Client agrees to make compensation to Goldhorse Securities.
客戶同意對金馬證券就因其違反上述聲明及協議及/或其未能提供金馬證券為遵守 FATCA 所要求的任何資料或文件，而產生的損失或開支，客戶同意向金馬證券作出賠償。
- 7.2.7 The Client declares that the information given and statements made in this form in relation to FATCA are, to the best of the Client's knowledge and belief, true, correct and complete.
客戶聲明就其所知所信，此表格內所填報關於 FATCA 的所有資料及聲明均屬真實、正確和完備。
- 7.2.8 The Client agrees that Goldhorse Securities has the sole and absolute discretion to reserve and/or deduct any funds from the Client's account to meet the requirements of FATCA. The Client confirms that, under any circumstances, Goldhorse Securities shall not be liable for any loss or damage to the Client caused by the withholding or deduction of the relevant funds under FATCA requirements.
客戶同意金馬證券，享有唯一及絕對的酌情權，從其帳戶中，預留及/或扣除任何款項以符合 FATCA 之要求。客戶確認，在任何情況下，金馬證券將不會為任何因履行 FATCA 要求下預扣或扣除有關款項所引致客戶之損失及損害負上責任。

7.3 Declaration of Automatic Exchange of Financial Account Information 自動交換財務帳戶資料聲明

Important Notes 重要提示：

- This is a self-certification form provided by the Client to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
這是由客戶向申報財務機構提供的自我證明表格，以作自動交換財務帳戶資料用途。申報財務機構可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- The Client should report all changes in its tax residency status to the reporting financial institution.
如客戶的稅務居民身分有所改變，應盡快將所有變更通知申報財務機構。
- If space provided is insufficient, continue on additional sheet(s). All the personal information of the Client, including but not limited to legal name, business address, TIN and details of transactions are required to be reported by the reporting financial institution to the Inland Revenue Department.
如表格上的空位不夠應用，可另紙填寫。客戶的所有個人資料，包括但不限於法定名稱、營業地址、稅務編號及交易詳情均為申報財務機構須向稅務局申報的資料。
- Goldhorse Securities means Goldhorse Securities, its staff and agent.
金馬證券指金馬證券、其員工及代理人。

- 7.3.1 The Client acknowledges and agrees that (i) the information contained in this form is collected and may be kept by Goldhorse Securities for the purpose of automatic exchange of financial account information ("AEOI"), and (ii) such information and information regarding the Client and any reportable account(s) may be reported by Goldhorse Securities 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 Client may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).
客戶知悉及同意，金馬證券可根據《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文，(i) 收集此表格所載資料並可備存作自動交換財務帳戶資料用途(下稱「AEOI」)及(ii) 把該等資料和關於客戶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，從而把資料轉交到客戶的居留司法管轄區的稅務當局。
- 7.3.2 The Client undertakes to advise Goldhorse Securities of any change in circumstances which affects the tax residency status of the Client identified in this form or causes the information contained herein to become incorrect, and to provide Goldhorse Securities with a suitably updated self-certification form within 30 days of such change in circumstances.
客戶承諾，如情況有所改變，以致影響此表格所述的個人稅務居民身分，或引致本表格所載的資料不正確，客戶會通知金馬證券，並會在情況發生改變後 30 日內，向金馬證券提交一份已適當更新的自我證明表格。
- 7.3.3 The authorized person(s) of the Client certify(ies) that he/she/they is/are authorized to sign for the Client of all the account(s) to which this form relates.
客戶之獲授權人士證明，就與此表格所有相關的帳戶，其獲客戶授權簽署此表格。
- 7.3.4 The Client agrees that the Client is required to provide any information or documents required by Goldhorse Securities to comply with AEOI and/or any applicable laws or regulations in a timely manner.
客戶同意其需及時提供金馬證券為遵守 AEOI 及/或任何適用之法例或規例下之任何資料或文件。
- 7.3.5 The Client agrees that Goldhorse Securities can disclose any information (including the Client's tax status, identity, place of business and other payment information) and/or documents provided by the Client to the relevant tax authorities, the government of Hong Kong Special Administrative Region and/or other similar agencies in other countries (collectively "Governmental Agency").
客戶同意金馬證券可透露任何由其提供的任何信息(包括客戶之稅收狀況、身份、營業地方及其他付款信息)及/或文件予有關稅務機關、香港特別行政區政府及/或其他國家相類之機關(統稱為「政府機構」)。
- 7.3.6 The Client agrees that the Client has no right to claim against Goldhorse Securities for any losses, liabilities, costs or expenses incurred by the Client owing to the proper use or disclosure of such information or documents to any Governmental Agency by Goldhorse Securities in order to comply with the AEOI.
就客戶因金馬證券為遵守 AEOI 而恰當使用或向任何政府機構披露此等資料或文件而使其蒙受的任何損失、責任、成本或開支，客戶同意其無權向金馬證券申索。
- 7.3.7 The Client agrees that in view of the loss or expenses incurred by Goldhorse Securities in relation to the Client's violation of the above-mentioned declarations and agreement and/or the failure of the Client to provide any information or documents required by Goldhorse Securities to comply with the AEOI or other laws or regulations, the Client agrees to make compensation to Goldhorse Securities.
客戶同意對金馬證券就因其違反上述聲明及協議及/或其未能提供金馬證券為遵守 AEOI 或其他法例或規例所要求的任何資料或文件，而產生的損失或開支，客戶同意向金馬證券作出賠償。
- 7.3.8 The Client declares that the information given and statements made in this form in relation to AEOI are, to the best of the Client's knowledge and belief, true, correct and complete.
客戶聲明就其所知所信，此表格內所填報關於 AEOI 的所有資料及聲明均屬真實、正確和完備。

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

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

7.4 Client's Signature 客戶簽署

Signature 簽署

Date 日期