

CHECKLIST FOR ACCOUNT OPENING 開戶文件核對清單

戶口號碼 A/C NO.: _____ 姓名 Name: _____

戶口種類 Type of ACC.: 個人 Individual 聯名 Joint 公司 Corporate 新戶 New A/C
 證券 (現金 Cash 保證金 Margin) 網上 By Internet 增加戶口 Add A/C

FOR INDIVIDUAL 個人客戶 / JOINT CLIENTS 聯名客戶

*所有證明文件須為認證副本 Certified True Copies of:

- 港澳居民： 香港/澳門身份證 ID Copy 最近三個月內有效住址證明一張 Residential Address Proof (Recent 3mth)
 內地居民： 中國身份證 PRC ID Copy 通行証 或 護照 Travel Doc./ Passport 入境紙 Entry Paper
 銀行帳號證明 Copy of the cover of bankbook or bank statement： 香港 Hong Kong 澳門 Macau 內地 Mainland
1. 開戶書 Account Opening Form (需合資格人士見證簽署 Qualified Witness Signature)
 2. W8 個人申報表格 W-8BEN Form for Individuals
 3. 個人稅務自我證明表格 Individual Tax Residency Self-Certification Form (CRS-I (HK))

[備註] NOTE: _____

FOR CORPORATE CLIENTS 公司客戶

*所有證明文件須為認證副本 Certified True Copies of:

1. 公司開戶書 Account Opening Form (需合資格人士見證簽署 Qualified Witness Signature)
2. 註冊成立證書 Certificate of Incorporation
3. 商業登記證 Business Registration Certificate
4. 公司組織章程大綱及細則 Memorandum & Articles of Association
5. 最新公司年報及任何公司註冊處變更記錄登記 Latest Annual Return & Companies Registry Change Record)
6. 董事會決議之核證申請開戶口及委任授權人士運作戶口 Board resolution(s) approving A/C Opening & AP(s)
7. 最近公司審計帳目 Latest audited financial statements
8. 董事、被委任授權人士、股東 (持 25%股本或以上) 之香港身份證或中國身份證及通行証或護照，以及最近三個月內有效住址證明一張 HKID / RPC ID AND Travel Doc/ Passport AND Recent 3 mths Residential Address Proof of Director(s), Appointed Authorized Person(s) and Shareholders (holding of 25% or more share capital)
9. 公司銀行帳號證明 Copy of the cover of Company bank statement or bankbook
10. 董事/股東個人擔保書 Personal Guarantee of Director(s)/Shareholder(s)
11. W8 公司申報表格 W-8BEN-E / W-8-IMY Form for Entities
12. 自我證明表格 – 公司或實體 Self-Certification Form – Company or Entity (CRS-E)
13. 自我證明表格 – 控權人 Self-Certification Form – Controlling Person (CRS-CP)

Additional Documents for B.V.I. and Other non-Hong Kong Company 英屬處女群島及其他香港境外公司附加文件:

1. 公司最近三個月內的商業地址證明 Recent 3 mths proof of Company's Place of Business address
2. 確認現任董事及高級人員的在職證書或註冊代理證書 Registered Agent's Certificate identifying the current directors and officers, verified or issued by the registered agent of the Company e.g. ROD and ROM
3. 最新公司實益擁有權的真確資料 (包括但不限於存續証證明、公司責任證明等) Info on the true beneficial ownership of the Company e.g. Certificate of Incumbency and Certificate of Good Standing

[備註] NOTE: _____

OTHER DOCUMENTATIONS 其他文件:

1. 《立橋銀證通》服務申請表 “Well Link Connect” (WLC) Service Application Form
2. 客戶授權信 (《立橋銀證通》保證金賬戶適用) Client Authorization Letter (For WLC Margin ACC Opening Only)
3. 中華通北向交易委託聲明 (適用於滬深通 A 股交易) Consent Letter on Northbound China Stock Connect Orders
4. 「專業投資者」申請書 Professional Investor (PI) Application Form

注意：以上所列文件並非詳盡清單舉例只作參考 NOTE: The above document lists are only a guideline for which by no means exhaustive.

- Document Completed 開戶文件已完成 立橋證券歡迎文件 WLS Welcome Pack
 Outstanding Document 尚欠文件_____

Remark 備註_____

Checked by: _____ (CSM / AE) Received by: _____ (Settlement Dept.)

開戶人 Opened by	客服部經理 CSM Reviewed	文件檢查 Doc. Checked	R.O. 批核 R.O. Approved	輸入系統 System Input	最後檢查 Final Checked

簽名:

日期:

個人帳戶申請表
Personal Account Application Form

香港干諾道中168-200號信德中心招商局大廈11樓13-15室 Unit 13-15, 11/F, China Merchants Tower, Shun Tak Centre, 168-200 Connaught Road Central, Hong Kong. 為證券及期貨事務監察委員會(“證監會”)註冊為持牌法團(CE編號AMB404)、香港聯合交易所有限公司參與者、香港期貨交易所有限公司參與者。 Licensed Corporation with Securities and Future Commission (“SFC”) (CE No.AMB404), Exchange Participant of the Stock Exchange of Hong Kong Ltd, Exchange Participant of Hong Kong Futures Exchange Ltd

內部專用 FOR INTERNAL USE ONLY

 ACN:

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 日期 Date: _____ (日 Day) _____ (月 Month) _____ (年 Year)

注意：1. 請用正楷填寫並在適當的方格內劃上“√”號。 2. 每名聯名帳戶持有人必須填寫一份個人客戶資料書。 3. 任何更改或刪除須經全部有關人士簡簽。

Note: 1. Please fill in BLOCK LETTERS and tick where applicable. 2. Each Joint Account holder MUST complete a Personal Client Details Form. 3. Any alteration or deletion requires the initials of all parties.

個人資訊 PERSONAL INFORMATION

第一客戶個人資料 Primary Client Personal Information

 中文名稱
 Name in Chinese

 英文名稱
 Full name in English

證件資料 IDENTIFICATION DOCUMENTS DETAILS

身份證/護照號碼 ID No./Travel Document No		證件有效期 Expiry Date (日 DD/月 MM /年 YYYY)	
出生日期 Date of Birth (日 DD/月 MM /年 YYYY)	簽發地 Place of Issue	性別 Gender	<input type="checkbox"/> 男 Male <input type="checkbox"/> 女 Female
出生國家 Country of Birth	出生地區 Place of Birth	國籍 Nationality	
婚姻狀況 Marital Status	<input type="checkbox"/> 未婚 Single <input type="checkbox"/> 已婚 Married	<input type="checkbox"/> 離婚 Divorced	<input type="checkbox"/> 鰥寡 Widowed
教育程度 Education Level	<input type="checkbox"/> 小學 Primary <input type="checkbox"/> 中學 Secondary	<input type="checkbox"/> 大專 Diploma	<input type="checkbox"/> 大學以上 University or Above

職業和財務資料 EMPLOYMENT INFORMATION

狀況 Status	<input type="checkbox"/> 商人/自雇 Merchant/Self-Employed	<input type="checkbox"/> 受僱員工 Employed	<input type="checkbox"/> 退休人士 Retired	<input type="checkbox"/> 家庭主婦 Housewife	<input type="checkbox"/> 學生 Student	<input type="checkbox"/> 待業 Unemployed
任職機構/自營機構名稱 Employer/Company Name			電郵 Email			
職位 Job Title			行業 Nature of Business			
任職年期 Years of Employment			辦公電話 Telephone Number			
僱主/自雇公司地址 Company Address						

 收取結單及書信公式 電郵 E-Mail *居住地址 Residential Address *通訊地址 Correspondence Address

 *若客戶選擇透過居住地址或通訊位址接收交易確認通知書或帳戶結單，將收取每月五十元服務費。
 HK\$50 per month will be charged if you choose the Residential Address or Correspondence Address for receiving the trading confirmation statements.

客戶財務資料 CLIENT FINANCIAL INFORMATION

收入來源 Source of Income :	<input type="checkbox"/> 薪金 Salary	<input type="checkbox"/> 業務收入 Business Profit	<input type="checkbox"/> 佣金 Commission	<input type="checkbox"/> 儲蓄 Saving
	<input type="checkbox"/> 租金 Rent	<input type="checkbox"/> 退休金 Pension	<input type="checkbox"/> 投資 Investment	<input type="checkbox"/> 其它 Other
每年收入 Annual Income :	<input type="checkbox"/> Below HK\$200,000 以下		<input type="checkbox"/> HK\$200,000-HK\$500,000	
	<input type="checkbox"/> HK\$500,001-HK1,000,000		<input type="checkbox"/> Over HK\$1,000,000 以上	
估計個人總資產淨值 Estimated Total Net Asset Worth :	<input type="checkbox"/> Below HK\$1,000,000 以下		<input type="checkbox"/> HK\$1,000,000-HK\$5,000,000	
	<input type="checkbox"/> HK\$5,000,001-HK\$10,000,000		<input type="checkbox"/> Over HK\$10,000,000 以上	
住宿 Residence :	<input type="checkbox"/> 租用物業 Rented	<input type="checkbox"/> 自置物業 Self-owned	<input type="checkbox"/> 按揭物業 Mortgage	
	<input type="checkbox"/> 公司宿舍 Company Quarter	<input type="checkbox"/> 與家人同住 Living with Family	<input type="checkbox"/> 其它 Other : _____	

聯絡資料 CONTACT INFORMATION

住宅地址: Residential Address					
通訊地址: Correspondence Address					
公司電話 Office Phone Number		住宅電話 Residential Phone Number		手提電話 Mobile Phone Number	

帳戶類別 ACCOUNT TYPE

<input type="checkbox"/> 網上 By Internet	<input type="checkbox"/> 期貨 Futures	<input type="checkbox"/> 證券 (<input type="checkbox"/> 現金 Cash <input type="checkbox"/> 保證金 Margin)
備註 Remarks:		

客戶指定銀行帳戶資料 CLIENT DESIGNATED BANK ACCOUNT INFORMATION

除非客戶另以書面指示，若客戶指示立橋證券支付客戶賬戶內的現金款項，賬戶資金將被轉入客戶以下的指定銀行戶口：Unless otherwise instructed by the Client in writing, in case the Client instructs Well Link Securities to pay the cash balance in the Account to the Client, the money will be credited to the below Client's Designated Bank Account:

銀行區域	貨幣	收款銀行名稱	帳戶號碼	帳戶持有人名稱
Bank District	Currency	Receiving Bank	Account Number	Name of Account Holder
<input type="checkbox"/> 香港銀行 (Bank, Hong Kong SAR)	<input type="checkbox"/> 港幣 HKD	_____	_____	_____
<input type="checkbox"/> 澳門銀行 (Bank, Macao)	<input type="checkbox"/> 人民幣 CNY	_____	_____	_____
<input type="checkbox"/> 國內銀行 (Bank, Mainland China) 電 匯 (港元) Telegraphic Transfer (HKD)	<input type="checkbox"/> 美元 USD	_____	_____	_____
銀行/分行地址 Bank/ Branch Address:				
銀行代號 SWIFT Code		分行代號 Branch Code		
備註 Remarks:				

客戶投資經驗及目標 CLIENT INVESTMENT PROFILE AND KNOWLEDGE OF DERIVATIVES PRODUCTS

投資經驗 Investment Experience :			
股票 Securities	<input type="checkbox"/> 有 Yes, _____年 year(s)	<input type="checkbox"/> 沒有 No	牛熊證 CCBC
期貨 Futures	<input type="checkbox"/> 有 Yes, _____年 year(s)	<input type="checkbox"/> 沒有 No	衍生權證 (窩輪) Warrants
期權 Options	<input type="checkbox"/> 有 Yes, _____年 year(s)	<input type="checkbox"/> 沒有 No	其它 Other : _____
投資目的 Investment Objective:			
<input type="checkbox"/> 短線 Short-term	<input type="checkbox"/> 中長線 Mid to Long-term	<input type="checkbox"/> 投機 Speculation	<input type="checkbox"/> 對沖 Hedging
<input type="checkbox"/> 其它 Other 請註明 (please specify) _____			
評估客戶對衍生產品的認識 Client's knowledge of Derivatives Products Assessment :			
已接受有關介紹一般衍生產品之性質及風險的培訓或課程 by undergoing training or attending courses that provide general knowledge of the nature and risks of derivatives		<input type="checkbox"/> 有 Yes	<input type="checkbox"/> 沒有 No
從本人/吾等以前與衍生產品有關之工作經驗 from my/our prior work experience related to derivative products		<input type="checkbox"/> 有 Yes	<input type="checkbox"/> 沒有 No
從本人/吾等於過去三年內已進行了五次或以上有關衍生產品之交易 I/we have executed five or more transactions in derivative product within the past three years		<input type="checkbox"/> 有 Yes	<input type="checkbox"/> 沒有 No

相關披露 DISCLOSURE

你是否香港聯合交易所或香港期貨交易所有限公司參與者之董事、僱員或認可人士或任何根據證券及期貨條例的註冊人士或你的現有僱主是否在證券及期貨事務監察委員會下註冊/持牌? Are you a director or an employee or an accredited person of any participant of The Stock Exchange of Hong Kong or Hong Kong Futures Exchange Limited or a registered person under the Securities and Futures Ordinance? Or is your current employer registered/licensed with Securities and Futures Commission?

否 No
 是 Yes, 參與者名稱 /註冊或持牌僱主名稱 Participant/registered or licensed employer Name: _____ 中央編號 CE No. _____

若“是”，就有關確定僱主已同意本人/吾等在立橋證券開立戶口及操作帳戶之事宜，本人/吾等同意提供立橋證券有關本人/吾等的僱主所發出的同意書。本人/吾等同意提供該同意書，完全是本人/吾等的責任。If “yes”, I/We hereby agree to submit my/our employer's consent letter to Well Link Securities to confirm the employer's consent in respect of opening the account(s) and trading in Well Link Securities. I/We agree that I/We fully undertake the sole responsibility to submit the said consent letter.

你是否與立橋證券有限公司(“立橋證券”)或其關聯公司之董事或職員有關連? Are you related to any director(s) or employee(s) of Well Link Securities Limited (“Well Link Securities”) or any of its related company?

否 No
 是 Yes, 職員名稱 Staff Name: _____ 關係 Relationship: _____

關連保證金客戶 RELATED MARGIN CLIENT

閣下的配偶是否持有立橋證券的保證金帳戶? Does your spouse have a margin account with Well Link Securities Limited?

否 No 是 Yes, 配偶姓名 Name of Spouse: _____ 賬戶號碼 Account No. _____

閣下或閣下的配偶是否是立橋證券其它保證金帳戶的實益擁有人或擔保人? Are you or your spouse a beneficial owner or personal guarantor of any other margin account in Well Link Securities?

否 No 是 Yes, 賬戶名稱 Name of Account: _____ 賬戶號碼 Account No.: 1. _____ 2. _____ 3. _____ 是否多於三個 More than 3? 否 No 是

閣下是否單獨或與配偶共同控制立橋證券其他保證金客戶之百分之三十五或以上的投票權? Do you control, either alone or with your spouse, 35% or more of the voting rights of another margin client of Well Link Securities?

否 No 是 Yes, 賬戶名稱 Name of Account: _____ 持有人名稱 Name of Account Holder(s): _____ 賬戶號碼: Account No. _____

客戶聲明 DECLARATION BY CLIENT

本開戶表的資料均屬真實及正確。本人/吾等為此帳戶之最終權益擁有人。立橋證券完全可以依靠這些資料及陳述作適當用途(包括任何立橋證券收到的客戶更新資料之書面通知)。客戶授權立橋證券可在任何時間聯絡任何人，包括客戶的銀行、經紀等或任何信貸機構，藉以確定及查證本開戶表內的資料。本人確認不對開戶後帳戶存入現金所產生的利息提出請求。

The information contained in this Client Information Form is true and accurate. I/We hereby declared that I/we am/are the ultimate beneficial owner(s) of this account. Well Link Securities is entitled to rely fully on such information and representations for applicable purposes (including any change hereof in writing as received by Well Link Securities). Well Link Securities is authorized at any time to contact anyone, including my banks, brokers or any credit agency, for the purpose of verifying the information provide on this Client Information Form. I/We hereby waive the right to the interest generated from cash deposited into the account.

本人/吾等，下述簽署客戶/聯名客戶，明白使用任何立橋證券之服務前，當已閱讀、明白及接受由立橋證券所提供的所有有關最新版本的相關客戶協議書 [包括證券賬戶協議書及/或期貨賬戶協議書] (“該協議書”)的章則條款，並已收到有關條款乙份並明白可從立橋證券網站中下載有關條款。而本文件乃相關協議書的一部份。該本人/吾等現申請開立在「帳戶類別」方格中顯示出別號的相關帳戶，並同意接受可不被修改的該協議書包括其一般條款及通用附表所約束。本人/吾等確認已獲得提供按本人/吾等選擇的語言(中文/英文)附於本表之風險披露聲明，並提出問題及徵求獨立的意見

(如本人/吾等有此意願)。I/We the undersigned Client(s), confirm that prior to usage of any of Well Link Securities service(s), have read, understood and agree to bound by all the relevant terms and conditions stated in the provisions of the current version of the relevant Client Agreement of Well Link Securities including Client Securities Account Agreement and/or Client Futures Account Agreement (“Agreement”) and acknowledge receipt of a copy and understand that I can download the relevant agreement from Well Link Securities' s website. This document forms part of relevant Agreement(s). I/We hereby apply to open the account(s) that I prefer which indicated a tick in the box(s) in the “Account Type” cell and agree to be bound by the Agreement(s) including its General Terms and Conditions and all relevant Schedule(s) as the same may be amended from time to time. I/We acknowledge and confirm that Well Link Securities has provided the Risk Disclosure Statement annexed hereto in a language of my/our choice (Chinese/English) and I/we have been invited to read the Risk Disclosure Statement, to ask questions and take independent advice if I/we wish.

第一客戶簽署 Primary Client Signature
 (如屬個人帳戶，帳戶持有人簽署)
 (如屬聯名帳戶，第一位聯名客戶簽署)
 (For Individual Account, the Account Holder's Signature) (For Joint Account, the First Named Joint Account Holder's Signature)
 日期 Date: _____

第二客戶簽署 Secondary Client Signature
 (如屬聯名帳戶，第二位聯名客戶簽署)
 (For Joint Account, the Second Named Joint Account Holder's Signature)
 日期 Date: _____

見證人簽署 Witness Signature
 見證人姓名 Witness Name
 職位 Job Position
 日期 Date: _____

職員聲明 DECLARATION BY STAFF

我已經按客戶明白的語言(中文/英文)向 _____ (客戶姓名) 於總行/ _____ 清楚解釋風險披露明書的內容，並已邀請客戶閱讀該風險披露聲明，提出問題及徵求獨立的意見(如客戶有此意願)。I have fully explained the contents of the Risk Disclosure Statement to (Name of Client(s)) at headquarter/ _____ in a language (Chinese/English) which the client(s) fully understand(s) and have invited the client(s) to read the Risk Disclosure Statement, ask(s) questions and take(s) independent advice if required.

持牌代表簽署 Signed by Licensed Representative:
 日期 Date: _____

持牌代表全名 Full Name of Licensed Representative:
 中央編號 CE No _____

Individual Tax Residency Self-Certification Form 個人稅務居民自我證明表格 (Applicable to Automatic Exchange of Financial Account Information ("AEOI") and Foreign Account Tax Compliance Act) (適用於自動交換財務賬戶資料(AEOI)及美國外國賬戶稅務合規法案(FATCA))	
Customer Name: 客戶名稱:	Account No: 賬戶號碼:
Part 1 Automatic Exchange of Financial Account Information (AEOI) 第 1 部 自動交換財務賬戶資料(AEOI)	
1. Important Notes 重要提示 :	
<ul style="list-style-type: none"> • This is a self-certification form provided by an account holder to Well Link Securities Limited and its affiliates (together "WLSL") for the purpose of automatic exchange of financial account information. The data collected may be transmitted by WLSL to the Inland Revenue Department for transfer to the tax authority of another jurisdiction. 這是由賬戶持有人向立橋證券有限公司或其附屬公司(統稱「立橋證券」)提供的自我證明表格,以作自動交換財務賬戶資料用途。立橋證券可把收集所得的資料交給稅務局,稅務局會將資料轉交到另一稅務管轄區的稅務當局 • An account holder should report all changes in its tax residency status to WLSL. 如賬戶持有人的稅務居民身分或其他資料有所改變,應盡快將所有變更通知立橋證券。 • All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (*) are required to be reported by WLSL to the Inland Revenue Department. 除不適用或特別註明外,必須填寫這份表格所有部分。如這份表格上的空位不夠應用,可另紙填寫。在欄/部標有星號(*)的項目為立橋證券須向稅務局申報的資料。 	

2 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") * 居留司法管轄區及稅務編號或具有等同功能的識別編號(以下簡稱「稅務編號」)*																					
<p>Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder's TIN for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence. 提供以下資料,列明(a)控權人的居留司法管轄區,亦即控權人的稅務管轄區(香港包括在內)及(b)該居留司法管轄區發給控權人的稅務編號。列出所有(不限於5個)居留司法管轄區。</p> <p>If the controlling person is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card number. 如控權人是香港稅務居民,稅務編號是其香港身份證號碼。</p> <p>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A, B 或 C :</p>																					
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="4" style="text-align: left;">賬戶持有人稅收居所 Account Holder Tax Residence(s)</th> </tr> <tr> <th style="width: 20%;">稅收居所國家 Tax Residence Country</th> <th style="width: 30%;">納稅人識別號碼 Tax Identification Number(TIN)</th> <th style="width: 10%;">No TIN</th> <th style="width: 40%;">原因代碼 Reason Code</th> </tr> </thead> <tbody> <tr> <td>1</td> <td></td> <td style="text-align: center;"><input type="checkbox"/></td> <td></td> </tr> <tr> <td>2</td> <td></td> <td style="text-align: center;"><input type="checkbox"/></td> <td></td> </tr> <tr> <td>3</td> <td></td> <td style="text-align: center;"><input type="checkbox"/></td> <td></td> </tr> </tbody> </table>	賬戶持有人稅收居所 Account Holder Tax Residence(s)				稅收居所國家 Tax Residence Country	納稅人識別號碼 Tax Identification Number(TIN)	No TIN	原因代碼 Reason Code	1		<input type="checkbox"/>		2		<input type="checkbox"/>		3		<input type="checkbox"/>		<p>提供理由 A, B 或 C: If a TIN is unavailable, please provide reason A, B or C where appropriate.</p> <p>原因 A : The jurisdiction where the controlling person is a resident for tax purposes does not issue TINs to its residents. 控權人的居留司法管轄區並沒有向其居民發出稅務編號。</p> <p>原因 B : The controlling person is unable to obtain a TIN. Explain why the controlling person is unable to obtain a TIN if you have selected this reason. 控權人不能取得稅務編號。如選取這一理由,解釋控權人不能取得稅務編號的原因。</p> <p>理由 C : TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed. 控權人毋須提供稅務編號。居留司法管轄區的主管機關不需要控權人披露稅務編號。</p>
賬戶持有人稅收居所 Account Holder Tax Residence(s)																					
稅收居所國家 Tax Residence Country	納稅人識別號碼 Tax Identification Number(TIN)	No TIN	原因代碼 Reason Code																		
1		<input type="checkbox"/>																			
2		<input type="checkbox"/>																			
3		<input type="checkbox"/>																			
<p>如果上面選擇了原因 B, 請在下面相應的行之中解釋為什麼賬戶持有人無法獲得納稅人識別號: If Reason B is selected above, please explain why the Account Holder is unable to obtain a TIN in the corresponding rows below:</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td style="height: 20px;"></td></tr> <tr><td style="height: 20px;"></td></tr> <tr><td style="height: 20px;"></td></tr> </table>																					

Part 2. Foreign Account Tax Compliance Act

第 2 部 美國外國賬戶稅務合規法案 (FATCA)

Important Notes 重要提示:

- The account holder is advised to refer to the US IRS website (<http://www.irs.gov/>) for details in respect of FATCA. 賬戶持有人如要瞭解 FATCA 法案詳情，閣下可參閱美國國家稅務局網站 (<http://www.irs.gov/>) 資訊。
- The account holder shall be fully responsible for the confirmation of his/her/its FATCA status and other information submitted hereunder. 賬戶持有人應對其確認的 FATCA 身份及在本文件內提供的其他信息承擔全部責任。
- The account holder shall ensure the information given and statements made in this form are true, correct and complete, WLSL shall not be liable for any errors or loss that results from such information and statements.

賬戶持有人應確保於本表格內所填報的所有資料和聲明真實、正確和完備。立橋證券不對該等資料和聲的任何錯誤或導致的任何損失承擔任何責任。

WLSL is unable to offer any tax or legal advice to the account holder. For any related question, the account holder is advised to consult his/her/its tax and legal advisors. 立橋證券不能向賬戶持有人提供任何稅務及法律意見。如有相關疑問，請賬戶持有人聯絡其稅務及法律顧問。

Please tick either (1) or (2) or (3) and complete as appropriate:

請在下列其中一個方格內加上 ✓ 號

1 <input type="checkbox"/>	I confirm that I am a U.S. citizen and/or resident in the U.S. for tax purposes (Green Card Holder or resident under the substantial presence test). 本人確認，本人就課稅目的而言為美國公民及 / 或美國居民（綠卡持有人或根據實質居留測試被定性為居民）。
2 <input type="checkbox"/>	I confirm that I was born in the U.S. (or U.S. territory) but am no longer a U.S. citizen as I have voluntarily surrendered my citizenship as evidenced by the Certificate of Loss of Nationality of the United States. 本人確認，本人在美國（或美國境內）出生但不再屬於美國公民，原因是本人自願放棄本人的公民身份，並以美國「喪失原有國籍證明」為憑證。
3 <input type="checkbox"/>	I confirm that I am not a U.S. citizen or resident in the U.S. for tax purposes. 本人確認，本人就課稅目的而言並非美國公民或美國居民。

The substantial presence test is generally met with respect to any calendar year if (a) the individual is present in the U.S. at least 31 days during such year and (b) the sum of the number of days in which such individual is present in the U.S. during such year, 1/3 of the number of such days during the first preceding year, and 1/6 of the number of such days during the second preceding year, equals or exceeds 183 days.

如就任何曆年有下列情況，一般即屬已通過實質居留測試：(a)該名個人在該年度內在美國居留至少31天；及(b)該名個人在該年度內在美國居留的天數，與其在前一年度內居留天數的三分之一及再前一個年度內居留天數的六分之一的總和，相等於或超過183天。

Part 3 Declarations and Signature

第 3 部 聲明及簽署

- I acknowledge and agree that (i) the information contained in this form is collected and may be kept by **WLSL** for the purpose of automatic exchange of financial account information, and (ii) such information and information regarding the controlling person and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with tax authorities of another jurisdiction or jurisdictions in which the controlling person may be resident for tax purposes pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112) .

本人知悉及同意，立橋證券可根據《稅務條例》(第 112 章)有關交換財務賬戶資料的法律條文，(a) 收集本表格所載資料並可備存作自動交換財務賬戶資料用途及 (b) 把該等資料和關於控權人及任何須申報賬戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到控權人的居留司法管轄區的稅務當局。

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

本人證明，就與本表格所有相關的實體賬戶持有人所持有的賬戶，本人是以控權人簽署本表格。

- I undertake to advise **WLSL** of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide **WLSL** with a suitably updated self-certification form within 30 days of such change in circumstances.

本人承諾，如情況有所改變，以致影響本表格所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知立橋證券，並會在情況發生改變後 30 日內，向立橋證券提交一份已適當更新的自我證明表格。

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete. 本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

Signature of the controlling person
控權人簽署

Date:
日期:

Capacity:
身份:

(Indicate the capacity if you are not the individual identified in Part 1. If signing under a power of attorney, attach a certified copy of the +power of attorney. 如您不是第 1 部所述的個人，說明您的身分。如果您是以受權人身分簽署這份表格，須夾附該+授權書 的核證副本。)

Controlling person name:
控權人姓名:

The power of attorney must be in a form satisfactory to the Company. Please note that any existing Letter of Delegation provided by the Company and signed by an account holder will not give the authority to the appointed attorney(s) to sign this form on behalf of the relevant account holder. 授權書必須採用本公司滿意的形式。請注意，由本公司提供及經賬戶持有人簽署的任何現有授權書(Letter of Delegation) 將不會授權委任的代理人代表有關的賬戶持有人簽署本表格。

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

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。



電話 Tel : (852) 3150 7728

網址 Website : www.wlsec.com

香港幹諾道中 168-200 號信德中心招商局大廈 11 樓 13-15 室 Unit 13-15, 11/F.,
China Merchants Tower, Shun Tak Centre, 168-200 Connaught Road Central, Hong Kong
為證券及期貨事務監察委員會 ("證監會") 註冊為持牌法團
(CE 編號 AMB404)、香港聯合交易所有限公司參與者、香港期貨交易所有限公司參與者。
Licensed Corporation with Securities and Future Commission ("SFC") (CE
No.AMB404), Exchange Participant of the Stock Exchange of Hong Kong
Ltd, Exchange Participant of Hong Kong Futures Exchange Ltd

立橋證券有限公司

Well Link Securities

Form **W-8BEN**

(Rev. January 2017)

Department of the Treasury
Internal Revenue Service

Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)

► For use by individuals. Entities must use Form W-8BEN-E.

► Information about Form W-8BEN and its separate instructions is at www.irs.gov/formw8ben.
► Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

Do NOT use this form if:

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

Instead, use Form:

Note: If you are resident in a FATCA partner jurisdiction (i.e., a Model 1 IGA jurisdiction with reciprocity), certain tax account information may be provided to your jurisdiction of residence.

Part I Identification of Beneficial Owner (see instructions)

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

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

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

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

Explain the additional conditions in the Article and paragraph the beneficial owner meets to be eligible for the rate of withholding: _____

Part III Certification

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

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income to which this form relates or am using this form to document myself for chapter 4 purposes,
- The person named on line 1 of this form is not a U.S. person,
- The income to which this form relates is:
 - (a) not effectively connected with the conduct of a trade or business in the United States,
 - (b) effectively connected but is not subject to tax under an applicable income tax treaty, or
 - (c) the partner's share of a partnership's effectively connected income,
- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country, and
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. **I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.**

Sign Here ►

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

Date (MM-DD-YYYY)

Print name of signer

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

致：立橋證券有限公司
立橋證券有限公司 (香港證監會中央編號：AMB404)
香港上環幹諾道中 168-200 號信德中心招商局大廈 11 樓 13-15 室

中華北向交易委託 (投資者識別碼模式) 及個人資料收集聲明
客戶同意書

處理個人資料是中華北向交易的一部分

本人/吾等知悉及同意立橋證券有限公司 (統稱“立橋證券”) 在通過中華北向交易服務過程中，立橋證券將被要求進行以下工作：

- ① 對提交到中華通交易系統的每一個客戶委託，增加一個獨一無二且專屬於客戶的券商客戶編碼 (以下簡稱“BCAN”) (適用於客戶持有單一帳戶)/ 對提交到中華通交易系統的每一個客戶委託，增加一個獨一無二且專屬於客戶的券商客戶編碼 (以下簡稱“BCAN”) 或分配給客戶的聯名帳戶的BCAN碼 (適用於客戶持有聯名帳戶)；及
- ② 向香港交易所提供已經編配給客戶的BCAN及相關客戶識別資訊 (以下稱“客戶識別資訊”或“CID”)，交易所可根據交易所規則而不時提出要求。

在處理與您帳戶相關的個人資料以及向您提供服務時，在不限制立橋證券已經向您作出的通知和已經取得的您的同意情況下，作為中華北向交易服務的一部分，您知悉並同意立橋證券可能會收集、存儲、使用、披露並傳輸您的個人資料，包括以下內容：

- a) 不時向聯交所及其子公司披露及傳輸您的BCAN及CID，包括向中華通交易系統輸入委託指令時標明您的BCAN，並將進一步即時傳遞至相關中華通市場；
- b) 允許聯交所及其相關子公司：(i) 收集、使用以及存儲您的BCAN、CID以及由相關中華通結算機構為市場監測監控目的和執行交易所規則而合併、驗證和配對的BCAN和CID資訊 (資訊由中華通結算機構或聯交所保存)；(ii) 為符合下文(c)及(d)規定的目的，不時將有關資料 (直接或通過相關中華通結算機構) 轉移給中華通市場運營者；(iii) 向香港的相關監管機構和執法機構披露有關資料，以促進其香港金融市場法定職能的履行；
- c) 允許相關中華通結算機構：(i) 收集、使用以及儲存您的BCAN和CID，以促進BCAN和CID的合併、驗證以及BCAN和CID與投資者資料庫的配對，並將相應合併、驗證和配對的BCAN和CID資訊提供給相關中華通市場運營者、聯交所及聯交所相關子公司；(ii) 使用您的BCAN和CID來履行其證券帳戶管理的監管職能；(iii) 向有關轄權的大陸監管機構及執法機構披露有關資料，以促進其內地金融市場的監管、監察及執法職能的履行；
- d) 允許相關中華通市場運營者：(i) 收集、使用以及存儲您的BCAN和CID，通過使用中華通服務及執行相關中華通市場營運商的規則，以促進其中華通市場的證券交易的監測監控；(iii) 向大陸監管機構和執法機構披露有關資料，促進履行其內地金融市場的監管、監察及執法職能的履行。

通過向立橋證券發出關於中華通證券交易的指示，您知悉並同意，為符合與中華北向交易相關而不時更新的聯交所要求和規則，立橋證券可以使用您的個人資料。您亦知悉，儘管您隨後聲稱撤回同意，但無論在您聲稱撤銷同意之前或之後，您的個人資料仍可繼續存儲、使用、披露、轉移以及其他處理以達到上述目的。

未能提供客戶同意書或個人資料所須承擔的後果

若未能向立橋證券提供您的個人資料或就上述作出同意，意味著根據具體情況立橋證券將不會或不能執行您的交易指令或向您提供中華北向交易服務。

確認及同意

本人/吾等確認本人/吾等已經閱讀並理解立橋證券個人資料收集聲明的內容。

通過勾選下面的方框，本人/吾等同意立橋證券根據個人資料收集聲明中的條款和目的使用我的個人資料。

- 本人/吾等同意立橋證券將本人/吾等的個人資料用於個人資料收集聲明所載的目的。

客戶簽署：_____ 日期：_____年____月____日
(如屬公司賬戶，請由授權人簽署及蓋章)

客戶名稱：_____ 客戶帳號：_____
(如屬公司賬戶，請填寫公司及授權人名稱)

TO: Well Link Securities Limited (HK SFC CE No. AMB404). Room 13-15, 11/ F,
China Merchants Tower,
Shun Tak Center, 168-200 Connaught Road Central, Sheung Wan, Hong Kong

**Consent Letter on Northbound China Stock Connect Orders
(Investor Identification Model) and the Personal Information Collection Statement**

Processing of Personal Data as part of the Stock Connect Northbound Trading

I/We acknowledge and agree that in providing Well Link Securities Limited's ("WLSEC") Stock Connect Northbound Trading Services to me/us, WLSEC will be required to:

- (i) tag each of your orders submitted to the China Stock Connect ("CSC") with Broker-to-Client Assigned Number ("BCAN") that is unique to you (for you having single account)/ tag each of your orders submitted to the China Stock Connect ("CSC") with Broker-to-Client Assigned Number ("BCAN") that is unique to you or the BCAN that is assigned to your joint account with WLSEC, as appropriate (for you having a joint account); and
- (ii) provide to The Stock Exchange of Hong Kong Limited (the "Exchange") your assigned BCAN and such identification information ("Client Identification Data" or "CID") relating to you as the Exchange may request from time to time under the Rules of the Exchange.

Without limitation to any notification WLSEC have given you or consent WLSEC have obtained from you in respect of the processing of your personal data in connection with your account and WLSEC's services to you, you acknowledge and agree that WLSEC may collect, store, use, disclose and transfer personal data relating to you as required as part of WLSEC's Stock Connect Northbound Trading Service, including as follows:

- (a) to disclose and transfer your BCAN and CID to the Exchange and the relevant SEHK Subsidiaries from time to time, including by indicating your BCAN when inputting a China Connect Order into the CSC, which will be further routed to the relevant China Connect Market Operator on a real-time basis;
- (b) to allow each of the Exchange and the relevant SEHK Subsidiaries to: (i) collect, use and store your BCAN, CID and any consolidated, validated and mapped BCANs and CID information provided by the relevant China Connect Clearing House (in the case of storage, by any of them or via HKEX) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange; (ii) transfer such information to the relevant China Connect Market Operator (directly or through the relevant China Connect Clearing House) from time to time for the purposes set out in (c) and (d) below; and (iii) disclose such information to the relevant regulators and law enforcement agencies in Hong Kong so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets;
- (c) to allow the relevant China Connect Clearing House to: (i) collect, use and store your BCAN and CID to facilitate the consolidation and validation of BCANs and CID and the mapping of BCANs and CID with its investor identification database, and provide such consolidated, validated and mapped BCANs and CID information to the relevant China Connect Market Operator, the Exchange and the relevant SEHK Subsidiary; (ii) use your BCAN and CID for the performance of its regulatory functions of securities account management; and (iii) disclose such information to the Mainland regulatory authorities and law enforcement agencies having jurisdiction over it so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets; and
- (d) to allow the relevant China Connect Market Operator to: (i) collect, use and store your BCAN and CID to facilitate their surveillance and monitoring of securities trading on the relevant China Connect Market through the use of the China Connect Service and enforcement of the rules of the relevant China Connect Market Operator; and (ii) disclose such information to the Mainland regulatory authorities and law enforcement agencies so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets.

By instructing WLSEC in respect of any transaction relating to China Connect Securities, you acknowledge and agree that WLSEC may use your personal data for the purposes of complying with the requirements of the Exchange and its rules as in force from time to time in connection with the Stock Connect Northbound Trading. You also acknowledge that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, used, disclosed, transferred and otherwise processed for the above purposes, whether before or after such purported withdrawal of consent.

Consequences of failing to provide Personal Data or Consent

Failure to provide WLSEC with your personal data or consent as described above may mean that WLSEC will not, or no longer be able, as the case may be, to carry out your trading instructions or provide you with WLSEC's Stock Connect Northbound Trading Service.

Acknowledgement and Consent

I/We acknowledge I/We have read and understand the content of the above Personal Information Collection Statement of WLSEC. By ticking the box below, I/We signify my/our consent for WLSEC to use my/our personal data on the terms of and for the purposes set out in the Personal Information Collection Statement.

I/We agree to WLSEC's use of my/our personal data for the purposes set out in the Personal Information Collection Statement.

Client Signature : _____ Date : _____ / _____ / _____

(For Company Account, please sign by Authorized Person with Company chop)

Client Name : _____ Client ID : _____

(For Company Account, please fill in Company Name and Name of Authorized Person)

證券 (Securities)

只供客戶主任使用 For Account Executive Only

網上 Int: _____ 最低收 Min Pay: _____

客戶主任 Account Executive: _____ 客戶佣金 Brokerage Rate: _____ 電話 Tel: _____ 最低收 Min Pay: _____

介紹人 Introduced by: _____ (如有 if any) 客戶息率 Loan Interest : _____

關係 Relationship: _____ 信貸限額 Loan/Credit Limit: _____

其他協議 Other Agreement: _____ (如有 if any) 信用查核 Credit Check : _____

其他 Others : _____ Single Trade Limit for POP : _____

內部專用 For Internal Use Only

負責人員 RO / OD 簽署: _____ 戶口種類 Type of Account: _____

日期 Date: _____ 經紀號碼 AE Code _____ 佣金 _____ 息率 _____

交收部 Settlement Dept: _____ 現金買賣限額 Cash Trade Limit: _____

日期 Date: _____ 保證金融資額 Margin Finance Limit: _____

輸入 : _____ 日期 Date: _____ 每日累積交易限額 Daily Accumulate Trading Limit: _____

核對輸入: _____ 日期 Date: _____ 准許交易衍生產品: 是 Yes 否 No

批核 Approved by: _____

日期 Date : _____

期貨 (Futures)

只供客戶主任使用 For Account Executive Only

客戶主任 Account Executive: _____ 客戶佣金 Brokerage rate: _____ (如與標準不同 if differ to standard)

介紹人 Introduced by: _____ (如有 if any) 信貸限額 Loan/Credit Limit: _____

關係 Relationship: _____ 信用查核 Credit Check : _____

其他協議 Other Agreement: _____ (如有 if any) Trade Limit : _____

用戶組別 User Group: CNC / CT

(國內用戶 Mainland Client)

其他 Others : _____

內部專用 For Internal Use Only

負責人員 RO / OD 簽署: _____ 戶口種類 Type of Account: _____

日期 Date: _____ 經紀號碼 AE Code _____ 佣金 _____

交收部 Settlement Dept: _____ 信貸限額 Credit Limit: _____

日期 Date: _____ Max. Margin: _____

輸入 : _____ 日期 Date: _____

核對輸入: _____ 日期 Date: _____

批核 Approved by: _____

日期 Date : _____