

Account Opening Form Supplement (For individual)

(Account No. 賬戶號碼: _____)

開立戶口申請表補充文件 (個人客戶)This form must be completed by any individual who wishes to open a securities account with Public Securities Limited (the "Company").

所有在大眾証券有限公司 (下稱「貴公司」) 開立證券戶口的個人客戶必須填寫此表格。

For joint or multiple account holders, complete a separate form for each individual account holder.

對於聯名帳戶或多人聯名帳戶，每名個人帳戶持有人須分別填寫一份表格。(Please complete in BLOCK LETTERS 請用正楷填寫)

| | | | |
|--|---|--|-------------------------------|
| Last Name or Surname:* 姓氏 | | First or Given Name:* 名字 | |
| Identification Document Type: 身份證明文件種類 | <input type="checkbox"/> HK Identity Card 香港身份證 <input type="checkbox"/> Passport 護照 <input type="checkbox"/> Others 其他 _____ | Document Number : 證件號碼 | |
| Date of Birth (DD/MM/YYYY): 出生日期 (日/月/年) | | Country of Birth: 出生地 | |
| Current Residence Address: 現時住址 | | Mailing Address: (Complete if different to the current residence address) 通訊地址 (如通訊地址與現時住址不同，填寫此欄) | |
| | City: 城市 Country: 國家 | | City: 城市 Country: 國家 |
| Please check "✓" Yes or No for each of the following questions. 請在是或否的方格內加上“✓”號以回答以下問題： | | | |
| | | | Yes 是 No 否 |
| 1. Are you a U.S. Resident? 閣下是否美國居民？ | <input type="checkbox"/> | / | <input type="checkbox"/> |
| 2. Are you a U.S. Tax Resident? 閣下是否美國稅務居民？ | <input type="checkbox"/> | / | <input type="checkbox"/> |
| 3. Are you a U.S. Citizen? 閣下是否美國公民？ | <input type="checkbox"/> | / | <input type="checkbox"/> |
| 4. Do you hold a U.S. Permanent Resident Card (Green Card)? 閣下是否持有美國永久居民身份證 (綠卡)？ | <input type="checkbox"/> | / | <input type="checkbox"/> |

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辨編號 (以下簡稱「稅務編號」)

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the individual is a **resident for tax purposes** and (b) the individual's TIN for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence.

If the individual is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.

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

提供以下資料，列明 (a) 個人客戶的居留司法管轄區，亦即個人客戶的**稅務管轄區** (香港包括在內) 及 (b) 該居留司法管轄區發給個人客戶的稅務編號。列出所有 (不限於 5 個) 居留司法管轄區。

如個人客戶是香港稅務居民，稅務編號是其香港身份證號碼。

如沒有提供稅務編號，必須填寫合適的理由：

Reason A – The jurisdiction where the individual is a resident for tax purposes does not issue TINs to its residents.**Reason B** – The individual is unable to obtain a TIN. Explain why the individual is unable to obtain a TIN if you have selected this reason.**Reason C** – TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.**理由 A** – 個人客戶的居留司法管轄區並沒有向其居民發出稅務編號。**理由 B** – 個人客戶不能取得稅務編號。如選取這一理由，解釋個人客戶不能取得稅務編號的原因。**理由 C** – 個人客戶毋須提供稅務編號。居留司法管轄區的主管機關不需要個人客戶披露稅務編號。

| 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 individual is unable to obtain a TIN if you have selected Reason B 如選取理由 B，解釋個人客戶不能取得稅務編號的原因 |
|--------------------------------------|-------------|---|---|
| 1. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |

I hereby confirm the information provided above is true, accurate and complete. 本人確認以上所提供的資料是真實、準確及完整。

1. Disclosure of information 資料披露

Pursuant to all applicable laws in Hong Kong, I hereby consent for Public Securities Limited (the "Company") to share my information with domestic and overseas regulators or tax authorities where necessary to establish my tax liability in any jurisdiction.

根據所有適用的香港法律，本人同意大眾證券有限公司（「貴公司」）可向國內及海外的監管機構或稅務機構提供本人的個人資料以確立本人於任何司法管轄區的稅務責任。

2. Withholding 預扣

Where required by domestic or overseas regulators or tax authorities, I consent and agree that the Company may withhold from my account(s) such amounts as may be required according to applicable laws, regulations and directives.

因應國內或海外的監管機構或稅務機構需要，本人准許並同意貴公司可按適用的法律、法規和指令在本人賬戶中扣留相關所須的金額款項。

3. Cooperation with enquiries 就查詢予以合作

I undertake to cooperate fully in respect of any enquiry that the Company may make for the purposes of compliance with any compliance requirement including promptly providing all relevant information, details and/or documents as may be necessary to enable the Company to comply with the same.

本人保證本人將對貴公司為遵守任何合規要求而作出的任何查詢予以充分合作，包括盡速提供所有必需的相關資料、詳情及／或文件，以便貴公司遵從該等要求。

4. Termination 終止

I agree that the Company has a right to block transactions, transfer arrangements or terminate all or any of my account(s) or the agreements or arrangements entered into between me and the Company at any time without having to give any reason or notice if I fail to comply with any of the requirements on the account(s).

本人同意，假如本人未能遵從貴公司於賬戶問題上的任何要求，貴公司有權隨時凍結任何交易、轉移任何安排，或終止閣下所有或任何戶口或與貴公司訂立的協議或安排，且毋須給予任何理由或通知。

5. Change of customer information 客戶資料更改

I undertake to notify the Company within 30 calendar days if there is a change in any personal data which I have provided to the Company or causes the information contained with the Company to become incorrect, and to provide Company with a suitably updated self-certification form within 30 calendar days of such change in circumstances.

本人保證本人提供的任何資料如有變更，或引致所提供的資料不正確，本人會通知貴公司，本人會於三十日內通知貴公司，並會在情況發生改變後 30 日內，向貴公司提交一份已適當更新的自我證明表格。

6. CRS Declarations 共同匯報標準聲明

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the Company for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the individual and any reportable account(s) may be reported by the Company 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 individual 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，貴公司可根據《稅務條例》（第 112 章）有關交換財務帳戶資料的法律條文，（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）把該等資料和關於個人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，從而把資料轉交到個人客戶的居留司法管轄區的稅務當局。

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

本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人或獲帳戶持有人授權簽署本表格。本人並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。

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

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

Signature 簽署*: _____

Date 日期(DD/MM/YYYY)*: _____

Name 姓名: _____

Capacity 身分: _____