

開戶資料 ACCOUNT OPENING INFORMATION

戶口姓名 Name of Account		英文 English		戶口號碼	
客戶婚姻狀況 Marital Status		未婚 Single/ 已婚 Married (delete if inapplicable)			
住宅電話 /Home Tel				公司電話 /Office Tel	
手提電話/傳呼機 Mobile/Pager				傳真機 /Fax No.	
住址 /Home Address					
公司地址 /Off Address					
職業/業務性質 Occupation/ Nature of Business		香港身份証/護照號碼 HKID/Passport #			
交收銀行資料 Settlement Bank A/C		銀行名稱 Bank Name 戶口號碼 A/C Number			
投資經驗 Year of Experience in Securities Invest.		<input type="checkbox"/> 無 Nil <input type="checkbox"/> 1-3 年 Years <input type="checkbox"/> 3-5 年 Years <input type="checkbox"/> 5-10 年 Years <input type="checkbox"/> Above 10 年 Years 以上			
投資目的 Investment Objective in General		<input type="checkbox"/> 短線 Short term speculation <input type="checkbox"/> 中線 Medium term <input type="checkbox"/> 長線 Long term			
年薪(港幣) Annual Salary (in HK\$)		<input type="checkbox"/> Below 250,000 以下 <input type="checkbox"/> 250,000-500,000 <input type="checkbox"/> 500,000-1,000,000 <input type="checkbox"/> Over 1,000,000 以上			
簽名式樣 Specimen Signature		簽名式樣 Specimen Signature			
只供本行使用 For Office Use Only		介紹人		文件查核	
客戶主任姓名		與客戶主任 相識年期		批准	
開戶日期		已獲銀行及信貸 參考		是/ 否	

除特別列明外，戶口可根據任何一式簽名式樣指示下運作(聯名戶口用)
The account can be operated on the instruction of any one signature (if in joint names), unless specified.
客戶必須填妥及簽署本表格所附之戶口運作一般條款
The attached general terms and conditions to the operation of this account must be completed and signed by the client.

統一現金客戶合約(主版)

致To: 羅沙證券有限公司
ROSA SECURITIES LTD.

本人/吾等 茲同意 閣下根據下列條款代表本人/吾等營運一現金證券買賣戶口(「戶口」):

I/We, , hereby agree to you operating a cash securities trading account ("account") on my / our behalf on and subject to the following terms and conditions :

- 一切為或代表本人/吾等在香港進行之證券交易，須受香港聯合交易所(「聯交所」)及香港中央結算有限公司(「結算公司」)之憲章、規則、規例、附例、習俗及慣例中有關之規定約束，亦受制於不時修定之香港法例。
All transactions in securities made for or on my/our behalf in Hong Kong shall be subject to the relevant provisions of the constitution, Rules, regulations, bye-laws, customs and usages of The Stock Exchange of Hong Kong ("the Exchange") and the Hong Kong Securities Clearing Company Limited ("HKSCC") and of the Laws of Hong Kong as amended from time to time.
- 依本人/吾等指示在交易大堂完成之一切交易須付交易徵費及由聯交所不時徵收的任何其他費用。閣下獲授權根據聯交所不時指定之規則收取該等徵費。
All transactions executed on my/our instructions on the floor of the Exchange shall be subject to a transaction levy and any other levies that the Exchange from time to time may impose. You are authorised to collect any such levies in accordance with the Rules prescribed by the Exchange from time to time.
- 有關依本人/吾等指示達成之一切交易，聯交所及結算公司之規則(尤其有關交易及交收之規則)對閣下及本人/吾等均具約束力。
The Rules of the Exchange and HKSCC, in particular those Rules which relate to trading and settlement, shall be binding on both yourself and myself/ourselves in respect of transactions concluded on my/our instructions.
- 除非另有協議，本人/吾等同意當閣下代本人/吾等進行一宗買入或賣出的交易時，本人/吾等將在到期交收日，就買入的股票付款予閣下，或記入入本人的戶口，或收到閣下的款項時，送交賣出的股票，視乎情況而定。
Unless otherwise agree, I/we agree that when you have executed a purchase or sale transaction on my/our behalf, I/we will by the due settlement date make payment to you against delivery of or credit to my account for purchased securities, or make good delivery of sold securities to you against payment, as the case may be.

除非另有協議，本人/吾等同意當本人/吾等在到期交收日不能如上文所述支付款項或送交股票時，授權閣下：Unless otherwise agree, I/we agree that should I/we fail to make such payment or delivery of securities by the due date as mentioned above, you are hereby authorised to:-

- 若為買入交易，轉讓或賣出任何該等股票，以償還本人/吾等對閣下的責任，或在該等股票之購買交易，以償還本人/吾等對閣下的責任，或
- 若為賣出交易，借入及/或買入此等沽出股票，以償還本人/吾等對閣下的責任。

現本人/吾等確認，本人/吾等將就本人/吾等不能如上文所述在到期交收日達成本人/吾等的責任，向閣下負責任何有關的損失，成本、費用及開支。
I/We hereby acknowledge that I/we will be responsible to you for any loss, costs, fees and expenses in connection with my/our failure to meet my/our obligations due by settlement dates as described above.

- 若閣下未能履行《證券條例》所規定之責任，以致本人/吾等蒙受金錢上之損失，本人/吾等明白根據《證券條例》(第333章)而成立之賠償基金，本人/吾等之索償權利僅限於該條例所規定之範圍。
In the event that you commit a default as defined in the Securities Ordinance and I/we thereby suffer a pecuniary loss, I/we understand that my/our right to claim under the Compensation Fund established under the Securities Ordinance (Cap 333) will be restricted to the extent provided for therein.
- 任何及一切為或代表本人/吾等取得之證券，或本人/吾等有權益之證券而由閣下為本人/吾等之戶口持有者，皆受制於閣下之全面性留置權，以確保本人/吾等履行對閣下因買賣證券業務而產生之責任。
Any and all securities, acquired for or on my/our behalf, or in which I/we have an interest which are held for my/our account shall be subject to a general lien for the discharge of my/our obligations to you arising from the business of dealing in securities.
- 「開戶資料表格」內所載之資料，皆為完整、真實及正確。閣下有權倚賴此等資料，直至收到本人/吾等書面

通知有關任何變更為止。

The information contained in the "Account Opening Information Form" is complete, true and correct. You are entitled to rely on such information until you have received written notice from me/us of any changes therein.

7. 本人/吾等授權 閣下進行對本人/吾等之信用諮詢或查證，以確定本人/吾等之財政狀況及投資目標。
I/We hereby authorise you to conduct a [personal] credit enquiry or check on me/us for the purpose of ascertaining my/our financial situation and investment objectives.
8. 任何寄存於 閣下之證券，或由 閣下代表本人/吾等購入而由 閣下持有保存者，可由 閣下酌情決定：
Any securities deposited by me/us with you or purchased by you on my/our behalf, and held by you for safe keeping may, at your discretion be either:-
- (a) 以本人/吾等或 閣下之指定代理人的名稱註冊；或
registered in my/our names or in the name of your nominee; or
- (b) 寄存於 閣下之往來銀行一特定戶口，或其他提供保存文件之設施之機構，妥為保存；唯該等機構須為證券及期貨事務監察委員會滿意者。
deposited in safe custody in a designated account of your banker or with another institution which, to the satisfaction of the Securities and Futures Commission, provides facilities for the safe custody of documents.
9. 本人/吾等寄存於 閣下處而未以本人/吾等之姓名註冊之證券，若產生股息或其他的派發或利益， 閣下須根據代表本人/吾等持有之證券數目或數額，按此例將該等利益存入本人/吾等之戶口內（或按協議向本人/吾等支付）。
- If in relation to any securities deposited with you which are not registered in my/our name any dividends or other distributions or benefits accrue in respect of such securities, my/our account with you shall be credited (or payment made to me/us as may be agreed) with the proportion of such benefit equal to the proportion of the total number or amount of securities which shall comprise securities held on my/our behalf.
10. 未有本人/吾等事前書面同意， 閣下不得將本人/吾等之任何證券，作為 閣下取得貸款或墊支之抵押品寄存，或無論為任何目的，將證券借出或放棄其特有權。
You shall not, without my/our prior written consent, deposit any of my/our securities as security for loans or advances or lend or otherwise part with the possession of any such securities for any purpose.
11. 雖則本人/吾等預期 閣下保持本人/吾等戶口的一切資料機密，惟本人/吾等仍明確同意 閣下可於聯交所要求下，向聯交所提供本人/吾等的戶口詳情，以協助聯交所進行任何調查或查詢。
Whilst I/we expect you to keep confidential all matters relating to my/our account, I/we hereby expressly agree that you may, if requested by the Exchange, provide to the Exchange details of my/our account, in order to assist the Exchange with any investigation or enquiry it is undertaking.
12. 若 閣下代表本人/吾等購入證券，而由於賣方經紀未能於交收日內進行交收而須從公開市場上購買證券， 閣下須負擔該等公開市場購入涉及之差價及有關之支出。
In the event that you have to obtain securities, which you have purchased on my/our behalf, in the open market, following the failure of the selling broker to deliver on the settlement date, you will be responsible for any difference in price and all incidental expenses in connection with such open market purchase.
13. 本人/吾等欠 閣下之過期未付餘款，本人/吾等同意付息（法庭裁決之前或之後），按 閣下要求之利率計算，惟不得高於香港最優惠利率加百分之 5，於每月月底計算及繳付，或於 閣下追討時繳付。
I/We hereby agree to pay interest on all overdue balances owing by me/us to you (after as well as before any judgement), at such rate(s), not exceeding Hong Kong Prime Rate + 5 % as demanded by you and be calculated and payable on the last day of each calendar month or upon any demand being made by you.
- 13A. 本人/吾等承諾當一個沽盤是有關本人/吾等不擁有的證券時，即賣空，本人/吾等會通知 閣下。
I/We hereby undertake to inform you when a sell order is in respect of securities which I/we do not own i.e. is a short sale.
14. **風險披露聲明書 RISK DISCLOSURE STATEMENT**

本人/吾等知悉證券價格可能及肯定會波動，而任何個別證券的價格皆可能下跌，在某些情況下更可能變成毫無價值。故本人/吾等瞭解在證券買賣中固有之風險，即除可能獲利外，亦可能有損失。本人/吾等願意承擔此風險。

I/We acknowledge that the price of securities can and does fluctuate, and that any individual security may experience

downward movements, and may under some circumstances even become valueless. I/We appreciate therefore that there is an inherent risk that losses may be incurred rather than profit made, as a result of buying and selling securities. This is a risk that I/we are prepared to accept.

15. 本人/吾等亦知悉將證券寄存於 閣下處，或授權 閣下寄存證券作為 閣下取得貸款或墊支之抵押，或授權 閣下借貸證券等，均有風險。
I/We also acknowledge that there are risks in leaving securities in your custody or in authorising you to deposit securities as collateral for loans or advances made to you or authorising you to borrow or loan securities.
16. 本人/吾等確認已詳閱本合約之中/英文本，其中內容亦已全部以本人/吾等明白之語文，向本人/吾等解釋清楚。本人/吾等贊成及同意本合約內之一切條款。
I/We confirm that I/we have read the English/Chinese version of this Agreement and that the contents of this Agreement have been fully explained to me/us in a language which I/we understand, and that I/we accept this Agreement.
17. 本合約及其中之一切權利、義務及責任，須受制於香港法律，並按香港法律詮釋及執行。
This Agreement and all rights, obligations and liabilities hereunder shall be governed by and construed in accordance with the Laws of Hong Kong and may be enforced in accordance with the Laws of Hong Kong.

由 Sign by

簽署

見證人 In the presence of :- (witness)

姓名 Name:

地址 Address:

職業 Occupation:

由 Acknowledged and accepted by

Rosa Securities Limited

確認及接受

授權簽名/公司印章
Client(s) Signature (and Chop)

見證人 Witness Signature

授權簽名/公司印章
Broker Signature and Chop

身份証副本

COPY OF HK IDENTITY CARD

風險披露聲明書(創業板)
RISK DISCLOSURE STATEMENT (GEM)

致 To : Rosa Securities Limited

日期 Date : []

1. 本人/吾等知悉創業板的證券價格可能會波動，任何個別證券的價格皆可上升或下跌，甚至可能變成毫無價值。買賣創業板證券不一定獲利，而且存在著可能損失的風險。本人/吾等也知道將證券交給閣下保管可能存在風險。例如當閣下持有本人/吾等的證券而閣下無力償債時，本人/吾等取回證券的時間可能會受到嚴重阻延。本人/吾等願意承擔此風險。
I/We acknowledge that the price of securities traded on GEM can and does fluctuate, and any individual security may experience upwards or downwards movements, and may even become valueless. There is an inherent risk that losses may be incurred rather than profit made as a result of buying and selling securities traded on GEM. I/We also acknowledge that there may be risks in leaving securities in your safekeeping. For example, if you are holding my/our securities and you become insolvent, I/we may experience significant delay in recovering the securities. These are risks that I/we am/are prepared to accept.
2. 本人/吾等明白創業板之市場設計乃為可能附有高風險的公司而設，本人/吾等亦尤其明白公司可在沒有往績紀錄及在不需負責預測未來表現的情況下在創業板上市。本人/吾等清楚了解，因創業板上市公司的新興發展性質，其營運的業務行業或國家而所引致的風險。
I/We understand that GEM has been established as a market designed to accommodate companies to which a high investment risk may be attached. In particular, I/we understand that companies may list on GEM with neither a track record of profitability nor any obligation to forecast future profitability. I/We appreciate that there may be risks arising out of the emerging nature of companies listed on GEM and the business sectors or countries in which the companies operate.
3. 本人/吾等知道投資在此類公司的潛在風險，故此本人/吾等明白必須經過審慎考慮後才作投資決定。本人/吾等亦明白創業板的較高風險性質及其他特點，應當更適合專業及其他熟悉投資技巧的投資者。
I/We am/are aware of the potential risks of investing in such companies and understand that I/we should make the decision to invest only after due and careful consideration. I/We understand the greater risk profile and other characteristics of GEM mean that it is a market more suited to professional and other sophisticated investors.
4. 基於創業板上市公司的新興發展性質，本人/吾等明白於創業板進行買賣將可能面對比較於主板買賣證券為高的市場波幅及不確保於創業板買賣時得到一個有流通量的市場。
Given the emerging nature of companies listed on GEM, I/we understand there is a risk that securities traded on GEM may be susceptible to higher market volatility compared to securities traded on the Main Board and no assurance is given that there will be a liquid market in the securities traded on GEM.
5. 本人/吾等亦明白創業板的主要信息發放渠道是透過聯交所運作的互聯網網頁刊登消息。創業板上市公司一般不須在憲報所登的報章上刊登付費公告。因此，本人/吾等知悉本人/吾等須獲取經由創業板網頁發佈的創業板上市公司的最新資料。
I/We further understand that the principal means of information dissemination on GEM is publication on the internet website operated by the Exchange. Companies listed on GEM are not generally required to issue paid announcements in gazetted newspapers. Accordingly, I/we acknowledge that I/we need to have access to up-to-date information on GEM-listed companies as published on the GEM website.
6. 本人/吾等確認此風險披露聲明書並不能申述所有風險及其他創業板的主要內容。本人/吾等明白在進行買賣活動之前須自行進行資料搜隻及研究有關證券的買賣。
I/We acknowledge that this risk disclosure statement does not purport to disclose all the risks and other significant aspects of GEM. I/We understand that I/we should undertake my/our own research and study on the trading of securities on GEM before commencing any trading activities.
7. 本人/吾等明白如本人/吾等對此風險披露聲明書的任何方面或對買賣創業板證券的性質及風險有不明確或不明白之處，本人/吾等須取得獨立專業的意見。
I/We understand that I/we should seek independent professional advice if I/we am/are uncertain of or have not understood any aspect of this risk disclosure statement or the nature and risks involved in trading of securities on GEM.
8. 本人/吾等明白簽署此風險披露聲明書是交易所規則的硬性規定。本人/吾等明白本人/吾等未能簽署及確認此聲明書，閣下將不可以執行本人/吾等於創業板買賣的指令。
I/We understand that the signing of this risk disclosure statement is mandatory under the Rules of the Exchange. I/We

understand that you will not be able to effect my/our instructions to deal in securities on GEM if this statement is not signed and acknowledged by me/us.

9. 此風險披露聲明書已由【以下之註冊人士】向本人/吾等全部解釋清楚，而本人/吾等亦明白其內容。本人/吾等明白根據交易所規則閣下必須為本人/吾等提供此份由本人/吾等簽署及填上日期、並載有由【以下之註冊人士】的聲明的風險披露聲明書之副本。
This risk disclosure statement has been fully explained to me/us by [the following *registered person*] and I/we fully understand the contents hereof. I/We understand that you are required under the Rules of the Exchange to ensure that I/we am/are provided with a copy of this risk disclosure statement signed and dated by me/us and contains the declaration by [the following *registered person*].

由 Explained by _____ 解釋 (職務 Position : _____)

由 Sign by (客戶 Client) _____)
_____)
_____)
_____)
簽署 _____)
_____) (客戶簽名 Signed by client)

上述註冊人士的聲明
Declaration by the above mentioned registered person

我經已於下所列地點，以他/他們明白的語言，向以上簽名之客戶全部清楚解釋此風險披露聲明書的內容。
I have fully explained the contents of this risk disclosure statement to the above signed client at the under mentioned address in a language which he/they understand(s).

解釋地點 Place of Explanation : _____

解釋日期 Date of Explanation : _____

由 Sign by (註冊人士 Registered Person) _____)
_____)
_____)
_____)
簽署 _____)
_____) (註冊人士簽名 Signed by Registered Person)

Additional Terms for Trading Account (Addendum)

補充條款(證券戶口) 附錄

To Rosa Securities Limited 羅沙證券有限公司 (CE Number: AFP826) Unit 701 Nine Queen’s Road Central Hong Kong

I/we hereby agreed the followings in addition to the terms contained in the client agreement for securities trading account previously signed between us (“agreement”) and this addendum is a supplement to and varies the agreement to the extent herein mentioned:- 本人/吾等同意除客戶合約外之以下補充條款：

1. **BROKERAGE, CHARGES AND FEE 佣金/費用** In respect of every transaction, I/We shall pay to you forthwith on demand such commission and charges as you may determine from time to time. You may levy addition charges or minimum transaction fees or subscription fees for the use of the services provided by you. The adjustments of the commission and charges rates shall not in any case cause prejudice to the validity of the client agreement and the addendum(s). I/We may demand from you the latest schedule for the commission and charges rates of your service. 在每項交易時，本人/吾等須在被要求時立即向閣下支付閣下可能不時確定的佣金和收費。閣下可以就有關服務的使用而徵收其他費用或最低交易費或訂用服務費。任何佣金率或佣金制之調整在任何情況下不會影響客戶合約及附錄之有效性。本人/吾等可向閣下索取最新之佣金及費用表。
2. **ACCESS CODE 代碼** I/We agree that you or other regulated authorities or other companies appointed by you, like Hong Kong Post Office, may give me/us Access Code(s) for accessing the service provided by you, including electronic trading and account maintenance, and I/we agree to be the sole user of the Access Code(s) and not to disclose the Access Code(s) to any other person, and to be solely responsible for the use and protection of the Access Code(s) and all instructions entered through the Service using the Access Code(s). I/we agree that I/we shall forthwith notify you that I/We becomes aware of any apparent unauthorized use of any of my/our Access Code(s) or any other matter(s) that may contradict to my/our or/and your interest(s). 本人/吾等同意閣下、監管機構或其他閣下指定之機構可會向本人或吾等發出代碼；本人/吾等同意作為接達代碼的唯一使用者，將不會向任何其他人士披露接達代碼，獨自負責接達代碼的使用和保護，以及獨自負責通過使用接達代碼的有關服務而鍵入的所有指令。本人/吾等同意若本人/吾等察覺其任何接達代碼發生了明顯地未經授權使用情況或其他可能對本人/吾等及閣下利益有損的事項，本人/吾等應立即通知閣下。
3. **LIENS 處置留置權** All investments held for my/our Account shall be subject to a general lien in your favour, for the performance of my/our obligations to you arising in respect of dealing in investments for me/us. If I/We commit a default in payment on demand payable to you for the performance of my/our obligations to you arising in respect of dealing in investments for me/us on the due date (for any investment, the due date shall be any date on or after the trade date in which you considered to be appropriate), you shall have the right to dispose of any or all investments held or any other holdings for or on my/our behalf and to apply the proceeds thereof and any cash deposit(s) to pay you all outstanding balances owing to you. Any monies remaining after such application shall be refunded to me/us. 所有本人/吾等戶口內的投資均受制於閣下的全面留置權，以確保本人/吾等履行對閣下代本人/吾等買賣投資而產生的責任。如本人/吾等未能於經紀要求之限期(任何投資之交收限期是閣下因應個別情況而定的)內繳付因閣下代本人/吾等買賣投資而產生的責任款項，閣下有權無須通知本人/吾等處置任何或一切為本人/吾等持有之投資工具或其他資產，將之出售所得款項及任何存款，用以清償一切未付還閣下之餘數，而清還後之餘款須退還予本人/吾等。
4. **JOINT NAME ACCOUNT 聯名戶口** Where we are joint account holders or partners of a partnership, any reference in the Client Agreement and Addendum(s) to “we”, “our” or “us” includes all holders or partners (as the case may be), and Each of us agrees with the others to be jointly and severally liable for all obligations and liabilities in connection with the Client Agreement and addendum(s). As if each of us alone were the sole beneficial owner of the Account and/or the holdings in our account, each of us shall have authority to exercise all our rights, powers and discretions under the Client Agreement and Addendum(s) and generally to deal with you, without notice to the other(s). You may follow the instructions of any of us and shall not be obliged to inquire into or see to the application of any monies or property as between us, including withdrawing money and securities from our account. We hereby authorize you to accept money, securities or the alike from either one of us deposit to our account. If any of us pass away, upon your approval, we authorize you the survivor(s) can operate the account and/or to transfer the holdings to the survivor(s) with presentation of required documents and payment of applicable handling charges. We indemnify you against losses or claims from whatsoever party arising from carrying out instruction(s) in favor of either party(s) of us. 若吾等乃聯名賬戶持有人或合夥商行合夥人，客戶合約及附錄中「吾等」一詞將包括所有持有人或合夥人(視情況而定)，而吾等每方將聯合及個別地承擔客戶合約及附錄訂明之義務及責任。就猶如吾等每方乃戶口之唯一實益所有人，每方均有權根據客戶合約及附錄行使吾等之權利，權力及酌情權，以及與閣下作一般性交易，而無須通知其他方。閣下可聽從吾等任何一人發出之指示(包括提取款項及股票)，而並無責任查詢或監察吾等之間款項或財產如何運用。吾等授與閣下權力以接受吾等任何一方之金錢、股票等存入吾等之戶口。若吾等其中成員逝世，吾等授權閣下於閣下批准後，吾等之生還者可繼續操作帳戶，及/或於提供相關證明及費用後，將吾等之存倉轉至生還者之帳戶。吾等承擔閣下因執行對吾等任何一方有利益之指示而產生之任何人士追討及責任。
5. **NOTICE 通知** I/We undertake to notify you without delay if for any reason there is an error in any of the statements and/or contract notes supplied to me/us or if I/We do not receive statements and/or contract notes promptly after any dealing have taken place. I/We shall check all contract notes and statements thoroughly and if I/We do not object in writing within 7 days from the date thereof in the absence of manifest error, I/We accepts that such contract notes and/or statements are to be conclusively binding on me/us as to the correctness of the matters stated therein. 若因任何理由，提供予本人/吾等的任何結單、買賣單據出錯或若本人/吾等在任何交易發生後沒有按時收到結單和/或買賣單據，本人/吾等承諾立即通知閣下。本人/吾等會徹底覆核所有買賣單據和結單，若本人/吾等自上述單據日期起七天內不以書面提出反對，在沒有明顯錯失的情況下，本人/吾等承認此等買賣單據和/或結單內容的準確性，對本人/吾等而言是有決定性的約束力的。
6. **ORDER/INTSTRUCTION 指令** Unless I/We give specific instructions to you, I/We agree and acknowledge that all orders and instructions are good for the day only and will lapse at the end of the official trading day of the Exchange in respect of which they are given. 除非本人/吾等給予閣下特定指令，否則本人/吾等同意及確認所有命令和指令只於當日有效，並會於上述命令和指令所涉及的相關交易所的正式交易日完結時失效。
7. **AUTHORIZATION 授權** I/We agree and acknowledge that any appointment or subsequent appointment of an Authorised Person or an Authorised Third Party must be notified to you by me/us in writing provided that such appointment, subsequent appointment, change, removal or revocation shall not take effect until 5 days (or shorter time acceptable to you) after the actual receipt by you of such written notification. 本人/吾等同意及確認任何委任、日後委任或任何撤銷、免除或變動之授權人士或授權第三者，本人/吾等必須以書面通知閣下，但上述日後委任、變動、免除或撤銷應於閣下實際接獲上述書面通知後五天(或閣下可接受的較短時間)才生效。
8. **NEW ISSUE 申請新股** Subject to all other provisions of this Agreement, I/We may request you to apply on my/our behalf for securities in a new issue for listing on an Exchange (“an Application”) and the provisions of this clause shall apply. I/We agree to be bound by the terms of the new issue and in particular, I/We hereby warrants and undertakes that the Application shall be the only

application made for me/our benefit in respect of the same issue of securities and that I/We shall make no other application in that issue. 在客戶協議及附錄的所有條款規限下，本人/吾等可要求閣下代本人/吾等申請在交易所上市的新發行證券(“申請”)，而本條款的規定則適用。本人/吾等同意受新發行的條款約束，尤其是本人/吾等特此保證及承諾申請乃是為本人/吾等利益，遞交有關同一次證券發行所作出的唯一申請，而本人/吾等在該次發行並沒有作其他申請。

9. **SET-OFF 抵銷** I/We agree that you may set-ff or transfer any sum in whatever currency standing to the credit of any of my/our accounts with you in or towards satisfaction of any or my/our liabilities of whatever nature (including liabilities incurred as principal or surety and whether such liabilities be actual or contingent, primary or collateral, several or joint) to you, which shall also includes debit and credit transaction(s), outstanding balances and credit balance within the same account arising in respect of dealing in securities or other transaction(s) for me/us on the same or different trading day(s). 本人/吾等同意閣下可以抵銷或轉移本人/吾等存放在閣下的任何戶口內的任何貨幣的任何款項，以清償本人/吾等對閣下的不論何種性質的任何負債(包括輩以當事人或擔保人身份招致的債務及不論此等債務為實際或或然、主要或附屬、個別或共同)；其中同一戶口內於同一交易日或不同交易日股份買賣或其他交易所產之結欠及結餘亦應包括在內。
10. **AMENDMENT AND TERMINATION 修訂與終止** I/We agree that you may at your discretion, suspend or terminate the Account and cease to act on my/our behalf further. Upon termination of the Account, all monies owing from me/us to you shall immediately become due and payable. I/We agree that the terms and conditions of the Client Agreement and this addendum may be varied by you from time to time, at your discretion, by notice in writing from you to me/us, in which event such terms and conditions so varied shall continue to apply with effect from the date of the notice or such later date specified in such notice. 本人/吾等同意閣下可酌情暫停或終止本人/吾等的戶口，並停止代表本人/吾等採取進一步的行動。戶口終止時，本人/吾等拖欠閣下的所有款項會立即到期和繳付。本人/吾等同意客戶協議及附錄的條款和條件可由閣下酌情不時更改，並以書面通知本人/吾等；在此情況下，如此更改的條款和條件應從通知日期或該通知內指明的較後日起適用。
11. **MONEY LAUNDRY 洗黑錢條款** I/We notice, understand and agree to the following terms, which are outlined according to Chapter 405 DRUG TRAFFICKING (RECOVERY OF PROCEEDS) ORDINANCE and Chapter 455 ORGANIZED AND SERIOUS CRIMES ORDINANCE for prevention of money laundry activities, 本人/吾等注意、明白及同意以下是根據《販毒（追討得益）條例》及《有組織及嚴重罪行條例》而定立之防止洗黑錢條款。

i. I/We shall not deposit any cash for more than 10,000 dollars and/or present any third-party cheque to you, and/or deposit money from any third party in whatsoever ways to any accounts with you for margin, settlement and/or custody purposes; 本人/吾等不會以任何方式繳交多於 1 萬元現金及/或交與閣下第三者發出的支票及/或以任何方法存入由第三者發出之金錢作為保證金、交收、托管之用途；

ii. In case of deposit as described in 11 (i) with you, I/We shall provide written documents from a qualified solicitors registered in Hong Kong verifying that I/We own the said sum of money and both the qualified solicitors and me/us should indemnify and keep you indemnify against any damages, losses and claims from me/us and/or any other third party. I/We shall bare full cost in preparing such guarantee and indemnity. You reserve the right to retain the said sum of money at your absolute discretion. And 若本人/吾等如 11(i) 所述存入金錢，本人/吾等須該提供本港執業律師書面證明本人/吾等完全擁有該款項之權益(費用由本人/吾等承擔)。該執業律師及本人/吾等均須承擔及持續承擔因此存款而可能令閣下引致之任何損失。閣下保留扣押該款項之完全權利；及

iii. I/We shall only give you money withdrawal instructions payable in my/our name and I/We authorize you to deposit such money to my/our registered bank account. 本人/吾等祇會向閣下發出發與本人/吾等之提款指示，並授權將款項存入指定銀行帳戶。
12. **INTEREST 利息** I/We agree that you shall not and/or shall not be obliged to pay any interest to the money held in my/our account. 本人/吾等同意閣下不會及/或並無責任向本人/吾等帳戶內之結餘派發或支付任何利息。
13. **RECORDING 錄音** I/We agree that you may record telephone conversations with me/us and the contents of any such recording shall be final and conclusive evidence of the conversation concerned and its content. 本人/吾等同意閣下可以記錄其與本人/吾等的電話對話，且任何該等記錄的內容應是有關電話對話和其內容的最終和結論性的證據。
14. **INFORMATION 資訊** I/We acknowledge that while you, the Stock Exchange and all related parties endeavor to ensure the accuracy and reliability of the any information and/or any comments provided, there is no guarantee that such information is accurate and reliable and that you, the Stock Exchange and all related parties do not accept any liability (whether in text or contract or otherwise) for any loss or damage arising from any inaccuracies or omissions. 本人 / 吾等確認雖然閣下、聯交所及所有有關人士致力確保提供資料之準確性及可靠性，惟資料之準確性及可靠性並無保證，且閣下、聯交所及所有有關人士概不須就任何因不準確或錯漏所產生之任何損失或損毀承擔任何責任（不論以文本或合約或其他形式）。
15. **LIMITED COMPANY 有限公司** Where we are a limited company which fail to comply with clauses in any of the account opening agreement(s) and/or fail to perform our obligations to you arising in respect of dealing in investments for us, the person(s) who signed the agreement on behalf of the limited company shall be personally liable for all obligations and/or damages due to you. 若吾等乃有限公司及未能遵守開戶合約內之條文及/或未能履行吾等對閣下因投資交易而產生之責任，該名(或多名)簽署開戶合約之公司代表須個人承擔對閣下之損失及責任。
16. **CCASS Investor Account 香港結算投資者戶口** I/we confirm that I/we have been advised to open an Investor Account with CCASS for management of my/our holdings. 本人/吾等確認已明白閣下對開設香港結算個人投資者戶口之見議。
17. **MISCELLANEOUS 其他** If there is any inconsistency between the Chinese and English versions of the Client Agreement, this addendum and any other account opening documents, the English version shall apply and prevail. 客戶協議、附錄及其他開戶文件的中文本及英文本之間出現任何不一致之處，應以英文本為準。

Date 日期	由 Sign by	見證人 In the presence of :-	
	簽署 (客戶姓名)	客戶簽名 Signature	(姓名 Name)
			見證人簽名 Signature

DECLARATION OF NON U.S. PERSON(S)/ NON U.S. PERSON(S)
OWNED COMPANY (非美國人/非美國公司申報)

To Rosa Securities Limited 羅沙證券有限公司 (CE Number: AFP826)

To HKSAR Governement 香港特別行政區政府

To Department of the Treasury, Internal Revenue Service, United States of America

I/we declare that I/we and our owner(s) and/or shareholder(s) in case of a company:

本人/吾等聲明本人/吾等及公司持有人及/或公司股東

<input type="checkbox"/>	am/are neither a United States of America (“U.S.”) citizen nor a U.S. resident for tax purposes/ or NOT a company established and/or registered in U.S. 並非美國公民、並非稅務下的美國居民、並非於美國成立之公司、並非美國註冊之公司
<input type="checkbox"/>	do NOT hold U.S. passport(s) 不持有美國護照
<input type="checkbox"/>	do NOT hold U.S. green card(s) 不持有美國綠咭
<input type="checkbox"/>	was/were NOT born in U.S. 不是於美國出生
<input type="checkbox"/>	do NOT hold U.S. Social security number(s) 不持有美國 Social security number(s)
<input type="checkbox"/>	do NOT hold U.S. 不持有美國 Employer identification number (s) (applicable to entity only)
<input type="checkbox"/>	do NOT live in U.S. and do NOT have any residential or communication address in U.S. (including a U.S. post office box) 不是於美國居住、並不擁有美國居住地址、美國通訊地址(包括美國郵箱)
<input type="checkbox"/>	do NOT have a U.S. telephone account/number for communication. 不擁有作通訊之美國電話帳戶及號碼
<input type="checkbox"/>	do NOT have a standing instruction to transfer funds to an account maintained in the U.S. 沒有常設轉付指示轉帳到開設於美國的戶口
<input type="checkbox"/>	have/will NOT grant(ed) power of attorney to any person holding U.S. passport/holding U.S. green card/with an U.S. address/who is U.S. citizen 沒有/將不會授權任何持有美國護照、美國綠咭、美國公民、擁有美國地址之人任
<input type="checkbox"/>	have at least one address other than an “in care of” address and/or “hold mail” address. 有最少一個非轉交及/或 免寄地址

Furthermore, I/we agree to fill in form **W-8BEN** or **W-8BEN-E** and I/we authorize all my/our personal information including this and the said **W-8BEN** or **W-8BEN-E** to be provided to any regulatory body and/or income withholding agent and/or any other body that you think is fit and appropriate. 本人/吾等同意填妥及簽署表格 **W-8BEN** 或 **W-8BEN-E**，並授權閣下可將本人/吾等之個人資料包括本表格及表格 W-8BEN 或 W-8BEN-E 提交與任何閣下認為合適之監管機構、入息扣查代理及/或任何機構。 I/We have examined the information on this form and the said **W-8BEN** or **W-8BEN-E** and to the best of my knowledge and believe it is true and correct and complete. 本人/吾等已檢查本表格及 **W-8BEN** 或 **W-8BEN-E** 上的資料，並以本人/吾等認知為真實、正確及完整。 I/We agree that I/we will submit new form(s) within 30 days if any certification made on this form and the said **W-8BEN** or **W-8BEN-E** becomes incorrect. 本人/吾等承諾若本表格及 **W-8BEN** 或 **W-8BEN-E** 上的資料變成不盡正確，本人/吾等將會於 30 天內遞交新聲明表格。

Date 日期	由 Signed by	見證人 In the presence of :-	
	簽署 (客戶姓名)	客戶簽名 Signature	(姓名 Name) 見證人簽名 Signature

風險披露聲明 Risk Disclosure Statement

客戶聲明 Upon signing the Account Opening Form, I/We confirm that I/We are provided with a risk disclosure statement in both Chinese and English contained in the Account Opening Form and I/We have been invited to read the said statement, to ask questions and take independent advice if I/We wish. 本人/吾等已於客戶簽署開戶表格時，確認收到於開戶表格內提供之中英文之風險披露聲明書，並確認註冊人已見識本人/吾等閱讀該聲明書、發問問題、及如有須要可諮詢獨立意見。	客戶簽名
註冊人聲明我經已於以上日期客戶簽署開戶表格時，於開戶表格內向以上客戶提供中英文之風險披露聲明書，並見識客戶閱讀該聲明書、發問問題、及如有須要可諮詢獨立意見。	Date 日期： 註冊人 CE 編號、簽名

CashAgreeAdd090401

Additional Information 新增資料

Account Name & No.	Email 電郵	Nationality 國籍
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只供本行使用 -- 核實表

<input type="checkbox"/> 住址證明副本	<input type="checkbox"/> 銀行月結單或財務參考副本	<input type="checkbox"/> 身份證副本
<input type="checkbox"/> 於 BACKOFFICE 輸入資料	<input type="checkbox"/> 於 MWS/3 輸入資料 <input type="checkbox"/> 要 <input type="checkbox"/> 不要	<input type="checkbox"/> 於客戶簽名則蓋上日期印
<input type="checkbox"/> 佣金率: [以下]: [以上]:	<input type="checkbox"/> 最低佣金: <input type="checkbox"/> 最高佣金:	<input type="checkbox"/> 查詢會否使用電子交易 <input type="checkbox"/> 要(另填寫電子交易協議書) <input type="checkbox"/> 不要
<input type="checkbox"/> 查詢:須要登記 aastocks <input type="checkbox"/> 要 (請另填寫登記表) <input type="checkbox"/> 不要	戶口種類 <input type="checkbox"/> 基本現金戶口 <input type="checkbox"/> 尊貴戶口 <input type="checkbox"/> 短線極速戶口 (另填寫持續結欠協議書) <input type="checkbox"/> 機構/大戶戶口	
<input type="checkbox"/> 查詢:傳真單據至其指定傳真機 <input type="checkbox"/> 要 <input type="checkbox"/> 不要	<input type="checkbox"/> 查詢:授權與指定人任操作戶口 <input type="checkbox"/> 有 (請另填寫授權書) <input type="checkbox"/> 沒有	<input type="checkbox"/> 稱謂 <input type="checkbox"/> 客戶於投資經驗及投資目的旁簽署
<input type="checkbox"/> 統一現金客戶合約 <input type="checkbox"/> 已簽署 <input type="checkbox"/> GEM 創業版風險聲明書 <input type="checkbox"/> 已簽署 <input type="checkbox"/> 補充/條款 <input type="checkbox"/> 已簽署 <input type="checkbox"/> 風險承受評估 <input type="checkbox"/> 已簽署	<input type="checkbox"/> 非美國人申報 <input type="checkbox"/> 已簽署 <input type="checkbox"/> W-8BEN / W-8BEN-E <input type="checkbox"/> 已簽署 <input type="checkbox"/> 已填妥表格內所有資料、簽名 <input type="checkbox"/> 介紹人：	<input type="checkbox"/> 掃描表格 <input type="checkbox"/> 查核香港雅虎公眾政治人仕 <input type="checkbox"/> 查核證監恐 怖份子表列

審核開戶及交易條件

- ☐ 不能承受損失全部投資本金之風險 --不接納開戶
- ☐ 65 歲以上 ☐ 未有親友作見證人 --不接納開戶
- ☐ 無投資經驗 ☐ 65 歲以上 --不接納開戶
- ☐ 無投資經驗 ☐ 65 歲以下 ☐ 投資目的為中長線 --接納開戶、每交易或須審批投資項目適合程度
- ☐ 無投資經驗 ☐ 65 歲以下 ☐ 投資目的包括短線 --不接納開戶
- ☐ 有投資經驗 ☐ 65 歲以上 ☐ 投資目的為中長線 --接納開戶、每交易必須審批投資項目適合程度
- ☐ 有投資經驗 ☐ 65 歲以上 ☐ 投資目的包括短線 --接納開戶
- ☐ 有投資經驗 ☐ 65 歲以下 ☐ 投資目的為中長線 --接納開戶、每交易或須審批投資項目適合程度
- ☐ 有投資經驗 ☐ 65 歲以下 ☐ 投資目的包括短線 --接納開戶

交易上限計算表

<input type="checkbox"/> 沒有遞交財務參考(較低者為準) <input type="checkbox"/> 由現有客戶介紹 -- 跟現有客戶交易上限一樣或 \$50,000 (較低者為準) <input type="checkbox"/> 未能提供手提電話以外電話 --\$20,000 / 未能提供公司地址(退休人士除外) --\$30,000 <input type="checkbox"/> 無現有客戶介紹 -- \$10,000	<input type="checkbox"/> 已遞交財務參考(較低者為準) <input type="checkbox"/> 入息證明 (如糧單、公司信、出量戶口月結單) -- 月薪 3 倍 或 \$1,000,000 (較低者為準) <input type="checkbox"/> 定期存款單、銀行存摺、月結單(存款金額 2 倍)或\$1,000,000 (較低者為準) <input type="checkbox"/> 銀行透支額 (透支額) 或 \$1,000,000 (較低者為準) <input type="checkbox"/> 轉至本行股份市值 (市值 3 倍) 或 \$1,000,000 (較低者為準) <input type="checkbox"/> 由主管/AE 提高 (最多 2 倍)、由經理提高 (最多 5 倍)、由總裁提高 (無限定)	完成 <input type="checkbox"/> 由 David 編排工作 <input type="checkbox"/> 由_____影印(不連住址證明/核實表) 及寄給客戶 <input type="checkbox"/> 由_____掃描所有文件 <input type="checkbox"/> 由_____file 所有文件
交易上限:	提高交易上限人任姓名	提高交易上限人任簽名

To: **Rosa Securities Limited**
羅沙證券有限公司 CE Number: AFP826
Unit 701 Nine Queen's Road Central Hong Kong Tel.2525 4241 Fax 2525 2442

Risk Tolerance Assessment

風險承受評估 (現有客戶)

I/We confirm that the following is my/our latest personal information and will, and these supersede all previous statement(s) including those contained in the account open form maintained by you. Upon signing this risk tolerance assessment, I/We confirm that I/We understand the risk(s) involved in trading of securities, derivatives and/or other investment product(s) (the "Investment(s)"). I/We acknowledge that the price of the "Investment(s)" can and do fluctuate and that the "Investment(s)" may experience downward movements and may under some circumstances even become valueless. I/We appreciate therefore that there is an inherent risk that losses may be incurred rather than profit made, as a result of buying and selling the "Investment(s)". This is a risk that I/We are prepared to accept. I/We have been invited to read this form, to ask questions and take independent advice if I/We wish.

本人/吾等確認以下為本人/吾等最新之個人資料及意願，並取代本人/吾等曾經作出之聲明，包括於閣下保存之開戶表格內之聲明。本人/吾等於簽署本風險承受評估時，本人/吾等明白股份、衍生工具及/或其他投資工具("投資工具")之投資風險。本人/吾等知悉"投資工具"價格可能及肯定會波動，而任何"投資工具"的價格皆可能下跌，在某些情況下更可能變成毫無價值。故本人/吾等瞭解在"投資工具"買賣中固有之風險，即除可能獲利外，亦可能有損失。本人/吾等願意承擔此風險。本人/吾等確認本人/吾等已見識閱讀此評估書、發問問題、及如有須要可諮詢獨立意見。

If you, ROSA SECURITIES LIMITED, solicit the sale of or recommend any financial product to me/us, the financial product must be reasonably suitable for me/us having regard to my/our financial situation, investment experience and investment objectives. No other provision of this agreement or any other document you, ROSA SECURITIES LIMITED, may ask me/us to sign and no statement you, ROSA SECURITIES LTD, may ask me/us to make derogates from this clause.

假如閣下向本人/吾等招攬銷售或建議任何金融產品，該金融產品必須是我們經考慮閣下的財政狀況、投資經驗及投資目標後而認為合理地適合本人/吾等的，本協議的其他條文或任何其他閣下可能要求本人/吾等簽署的文件及閣下可能要求本人/吾等作出的聲明概不會減損本條款的功效。

AE或僱員可於客戶同意下先當面或電話解釋以下風險承受評估內容、代為填寫後由客戶簽署

Account : () 賬號/戶名		Date : 日期	
年齡 Age (歲 Years old) <input type="checkbox"/> Above 65 以上 <input type="checkbox"/> Below 65 以下			
投資經驗 Year of Experience in trading		Experience 經驗	
Equity, bonds, warrant, bull and bear notes 股票、債券、認股證、牛熊證		<input type="checkbox"/> 無 No	<input type="checkbox"/> 有 Yes
Options 期權		<input type="checkbox"/> 無 No	<input type="checkbox"/> 有 Yes
Futures 期貨		<input type="checkbox"/> 無 No	<input type="checkbox"/> 有 Yes
Equity Accumulators & Decumulators 股票累積/累售證		<input type="checkbox"/> 無 No	<input type="checkbox"/> 有 Yes
投資目的 (可選多於一項，Choose 1 or more)			
Investment Objective in General <input type="checkbox"/> 短線 Short term speculation <input type="checkbox"/> 中線 Medium term <input type="checkbox"/> 長線 Long term			
年薪 (港幣) <input type="checkbox"/> Below 250,000 以下 <input type="checkbox"/> 250,000-500,000 <input type="checkbox"/> 500,000-1,000,000			
Annual Salary (in HK\$) <input type="checkbox"/> Over 1,000,000 以上			
過往12個月投資於港交所上市工具平均總值 (HK\$) <input type="checkbox"/> Over \$8,000,000 以上			
Average portfolio value of HKEX listed investment products in last 12 months 或 證監會界定為專業投資者 (SFC defined professional investors) <input type="checkbox"/> Below \$8,000,000 以下			
(請提交香港註冊金融機構發出之結單Please submit statement(s) issued by Hong Kong Financial Institution(s))			
金融產品認識程度		<input type="checkbox"/> Have good knowledge of traditional and some sophisticated financial investments	
Knowledge and understanding of investments in financial market		<input type="checkbox"/> 對傳統(如存款、債券)及香港交易所上市之投資工具(如股票、認股證、牛熊證)有良好認識 <input type="checkbox"/> Naive -- have only had limited knowledge in traditional financial assests, such as deposits 僅對傳統金融產品如存款有認識	
承受風險能力		<input type="checkbox"/> Able to take risk that investment product(s) become valueless and/or not able to liquidate in years	
Risk Tolerance Ability		<input type="checkbox"/> 能承受投資變成毫無價值及/或多年均不能吐現之風險 <input type="checkbox"/> Not able to accept risk that investment product(s) become valueless and/or not able to liquidate in years 不能承受投資變成毫無價值及/或多年均不能吐現之風險	
接受借貸水平		<input type="checkbox"/> 1 倍 或以上 100% or more	
Your acceptable level of borrowing		<input type="checkbox"/> 少於1倍 Less than 100% <input type="checkbox"/> 無 None	
Signature of Account holder 客戶簽名		<input type="checkbox"/> 核實身份證/簽名 <input type="checkbox"/> 掃描 <input type="checkbox"/> File於開戶表格	<input type="checkbox"/> 解釋職員姓名、簽名
For office use only			
<input type="checkbox"/> 不能承受損失全部投資本金之風險或沒有對傳統及複雜投資工具有良好認識 --不可進行交易			
<input type="checkbox"/> 證監會界定為專業投資者 --可直接進行交易			
<input type="checkbox"/> 無投資經驗	<input type="checkbox"/> 65歲以上	<input type="checkbox"/> 不接納開戶	
<input type="checkbox"/> 無投資經驗	<input type="checkbox"/> 65歲以下	<input type="checkbox"/> 投資目的為中長線 --每交易必須審批投資項目適合程度	
<input type="checkbox"/> 無投資經驗	<input type="checkbox"/> 65歲以下	<input type="checkbox"/> 投資目的包括短線 --不接納開戶	
<input type="checkbox"/> 有投資經驗	<input type="checkbox"/> 65歲以上	<input type="checkbox"/> 投資目的為中長線 --每交易必須審批投資項目適合程度	
<input type="checkbox"/> 有投資經驗	<input type="checkbox"/> 65歲以上	<input type="checkbox"/> 投資目的包括短線--可直接進行交易	
<input type="checkbox"/> 有投資經驗	<input type="checkbox"/> 65歲以下	<input type="checkbox"/> 投資目的為中長線 --每交易或須審批投資項目適合程度	
<input type="checkbox"/> 有投資經驗	<input type="checkbox"/> 65歲以下	<input type="checkbox"/> 投資目的包括短線 --可直接進行交易	

Form W-8BEN (Rev. February 2014) Department of the Treasury Internal Revenue Service	Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals) ► For use by individuals. Entities must use Form W-8BEN-E. ► Information about Form W-8BEN and its separate instructions is at www.irs.gov/formw8ben . ► Give this form to the withholding agent or payer. Do not send to the IRS.	OMB No. 1545-1621
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Do NOT use this form if: **Instead, use Form:**

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

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 _____ of the treaty identified on line 9 above to claim a _____ % rate of withholding on (specify type of income): _____	
Explain the reasons the beneficial owner meets the terms of the treaty article: _____	

Part III Certification	
Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:	
<ul style="list-style-type: none">• I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income to which this form relates or am using this form to document myself as an individual that is an owner or account holder of a foreign financial institution,• The person named on line 1 of this form is not a U.S. person,• The income to which this form relates is:<ul style="list-style-type: none">(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)