

# CORPORATE ACCOUNT APPLICATION

## 公司帳戶開戶申請書

Please send the completed form via e-mail to [apply@blackwellglobal.com.hk](mailto:apply@blackwellglobal.com.hk). Following which, please send the hardcopy form by mail to the address stated herein.

請將填妥的申請表及證明文件掃描檔寄至 [apply@blackwellglobal.com.hk](mailto:apply@blackwellglobal.com.hk)。之後再將正本郵寄至頁尾詳載的聯絡地址。

To comply with anti-money laundering regulations, you are required to send in the following:

為遵守國際反洗錢法條例，申請開戶需遞交以下證明文件：

**1) PROOF OF IDENTITY** (for all directors, beneficial owners, shareholders, authorized traders and authorised signatories)

身份證明(全體董事、最終受益人、股東、核准交易員及授權簽署人均須提供)

**Certified true copy of your valid passport or ID** / 有效期內護照或身份證認證影本

- The copy must be fully legible / 影本內容須完全清晰可讀
- The copy must be certified true copy by a public notary, official government authority or lawyer 影本須經公證人、政府機關或律師認證
- The copy must carry a clear and identifiable photograph / 影本須附有清晰、可識別照片
- The copy must carry a signature which is the same signature in this form's declaration / 影本須附有與此表格簽署欄位相同的簽名式樣

**2) PROOF OF RESIDENCE** (for all directors, beneficial owners, shareholders and authorised signatories)

地址證明(全體董事、最終受益人、股東及授權簽署人均須提供)

**Original or certified true copy of your bank statement / utility bill** / 銀行月結單或公用事業帳單原件或影本

- If the copy is not an original, it must be certified true copy by a public notary, official government authority or lawyer; or sighted as original by an authorised representative of Blackwell Global / 若非正本，影本須經公證人、政府機關或律師認證；或經 Blackwell Global 授權代表認可後視為原件處理
- The copy must be issued in your name / 影本須以申請人的名字發出
- The copy must contain your registered address 影本須包含地址的詳細資訊
- The copy must be issued within the last 3 months / 影本須於遞交開戶申請表當日前的三個月內發出
- The copy cannot be the same as provided for in proof of identity / 地址證明文件不可與身份證明文件相同

**3) DOCUMENTATION (including all beneficial owners of the company, if applicable) / 文件(包括公司所有最終受益人，若適用)**

**All documents required are to be certified true copy by a public notary, official government authority or lawyer**

所需文件影本須經公證人，政府機關或律師認證

- Certificate of Incorporation / 公司註冊證書
- Business Registration Certificate / 商業登記證
- Recent address proof (within 3 months) of the company / 公司最近 3 個月之地址證明
- Latest audited financial statements / 最近期經審計之財務報表
- W8-BEN-E form / W8-BEN-E 表格
- Latest Annual Return & Notification of changes of secretary & directors / 最近期之週年申報表、秘書及董事資料更改通知書  
(If company is incorporated less than one year, then please submit personal guarantee provided by any one of the directors / 如果公司成立少於一年，則需要由任何一位董事提供之個人擔保書)
- Certificate of Incumbency (issued within the last 6 months) (for overseas company) / 董事在職證明 (須於遞交申請表當日前的六個月內發出)(海外公司適用)
- Board Resolution (please include the list of authorized traders with their signatures) / 董事會議記錄 (請提供核准交易員的姓名及簽名)
- Memorandum & Articles of Association / 公司組織章程
- Certificate of Incumbency, or an official document, listing the directors in charge (issued by an official state authority)  
董事任職證明 (或其它相關文件): 包含董事會成員名單 (需經政府機關核發)
- Recent bank statement / utilities bill / local tax bill of the company (issued within the last 3 months)  
近期銀行月結單/公用事業帳單/公司所在地稅單(須於遞交申請表當日前的三個月內以申請人名義發出)

Please make sure that you have read and understood all information regarding Blackwell Global's Corporate Trading Account and its Terms of Business before completing this form.

填表前，請確保您已詳閱並了解所有 Blackwell Global 交易帳戶資訊及『一般交易條款』。

Please fill in your information clearly and as accurately as possible in BLOCK CAPITALS. 請準確如實並以正楷大寫填入您的資訊。

## 1.1 CORPORATE DETAILS / 公司資訊

<b>Company Name</b> 公司名稱							
<b>Date of Incorporation (dd/mm/yyyy)</b> 成立日期(日/月/年)				<b>Country of Incorporation</b> 註冊國家			
<b>Company Registration No.</b> 公司註冊號碼				<b>Company Website</b> 公司網站			
<b>Shareholder's Equity Fund</b> 股東股權基金				<b>Paid Up Capital</b> 實收資本			
<b>Organisation Type</b> 機構類型		<input type="checkbox"/> Private Limited Company 私人有限公司		<input type="checkbox"/> Sole Proprietorship 獨資		<input type="checkbox"/> Public Listed Company 上市公司	
		<input type="checkbox"/> Partnership 合作關係		<input type="checkbox"/> Others, please elaborate 其他，請詳細說明			

## 1.2. CONTACT DETAILS / 聯絡資訊

**Salutation / 稱謂** ☐ Mr/ 先生 ☐ Mrs / 太太 ☐ Ms / 小姐 ☐ Mdm / 女士 ☐ Dr / 博士

**Full Name of Main Contact Person**  
主要聯絡人全名

**Position and Title**  
職位及職稱

**Mobile Phone No.**  
行動電話號碼

**Business Phone No.**  
公司電話號碼

**Fax No.**  
傳真號碼

**Email Address** (This will be the primary method used to contact you)  
電子信箱(我們與您聯絡的主要方式)

## 1.3. REGISTERED ADDRESS / 註冊地址

**Address / 地址**

**City**  
城市

**State / Province**  
州 / 省

**Country**  
國家

**Postal Code**  
郵遞區號

## 1.4. MAILING ADDRESS (If different from above) / 通訊地址(若與上述地址不同)

**Address / 地址**

**City**  
城市

**State / Province**  
州 / 省

**Country**  
國家

**Postal Code**  
郵遞區號

## 2. CORPORATE BANK ACCOUNT DETAILS / 公司銀行帳戶資訊

**Bank Name**  
銀行名稱

**Bank Address**  
銀行地址

**Bank Account Holder's Name**  
銀行帳戶持有人姓名

**Bank Account No.**  
銀行帳戶號碼

**SWIFT Code / ABA / IBAN**  
國際匯款代碼 / ABA / IBAN

### 3. ACCOUNT DETAILS / 帳戶資訊

Please choose the type of account you would like to open / 請選擇您的帳戶類型:

- ☐ Mini 迷你型帳戶
 ☐ Standard 標準型帳戶
 ☐ Institutional 機構型帳戶

Estimated Initial Deposit Amount

預計初始存款金額

Base Currency of Your Account:

帳戶基準貨幣單位

- ☐ USD / 美金
 ☐ HKD / 港幣

### 4. NATURE OF TRADING ACCOUNT / 交易帳戶的性質

- ☐ Hedging 對沖
 ☐ Speculative 投機
 ☐ Arbitrage 套利
 ☐ Others, please elaborate 其他，請詳細說明

### 5. FINANCIAL DETAILS / 財務資訊

Approximate Annual Income or Profits (in HKD) / 約略年收入或紅利 (以港元計)

- ☐ Less than \$100,000 / \$100,000 港元以下
 ☐ \$100,001 to \$300,000 / \$100,001 港元至 \$300,000 港元
 ☐ \$300,001 to \$500,000 / \$300,001 港元至 \$500,000 港元
- ☐ \$500,001 to \$700,000 / \$500,001 港元至 \$700,000 港元
 ☐ \$700,001 to \$1,000,000 / \$700,001 港元至 \$1,000,000 港元
 ☐ Above \$1,000,000 / \$1,000,000 港元以上

Approximate Net Worth of Your Financial Instrument Portfolio (in HKD) / 約略金融工具組合淨值 (以港元計)

- ☐ Less than \$100,000 / \$100,000 港元以下
 ☐ \$100,001 to \$300,000 / \$100,001 港元至 \$300,000 港元
 ☐ \$300,001 to \$500,000 / \$300,001 港元至 \$500,000 港元
- ☐ \$500,001 to \$700,000 / \$500,001 港元至 \$700,000 港元
 ☐ \$700,001 to \$1,000,000 / \$700,001 港元至 \$1,000,000 港元
 ☐ Above \$1,000,000 / \$1,000,000 港元以上

### 6. TRADING EXPERIENCE / 交易經驗

To help us assess your trading knowledge and experience, please check the appropriate boxes.

為協助我們評估您的交易知識及經驗，請在適用的框內打勾。

	No experience 無經驗	Less than 1 year of experience 1年以下經驗	1 to 3 years of experience 1-3年經驗	More than 3 year of experience 3年以上經驗
<b>FOREX</b> 外匯	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>CFDs</b> 差價合約	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Shares</b> 股票	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Futures / Options</b> 期貨 / 選擇權	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Bonds</b> 債券	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

If you have experience trading any of the products above, please answer the following questions:

若您對上述任何商品有交易經驗，請回答以下問題：

What is the approximate number of trades performed per quarter? / 您每季度交易次數約略多少？

- ☐ Less than 15 / 15 次以下
 ☐ 16 to 30 / 16 至 30 次
 ☐ 31 to 45 / 31 至 45 次
 ☐ 46 to 60 / 46 至 60 次
 ☐ Above 60 / 60 次以上

What is the approximate size of each trade performed (in HKD)? / 您每筆交易量約略多少 (以港元計) ?

- ☐ Less than \$100,000 / \$100,000 港元以下
 ☐ \$100,001 to \$300,000 / \$100,001 港元至 \$300,000 港元
 ☐ \$300,001 to \$500,000 / \$300,001 港元至 \$500,000 港元
- ☐ \$500,001 to \$700,000 / \$500,001 港元至 \$700,000 港元
 ☐ \$700,001 to \$1,000,000 / \$700,001 港元至 \$1,000,000 港元
 ☐ Above \$1,000,000 / \$1,000,000 港元以上

## 7. DIRECTOR(S) OF COMPANY / 公司董事

## DIRECTOR ONE (1) / 董事(一)

Full Name / 全名

Date of Birth (dd / mm / yyyy)

出生日期 (日/月/年)

Nationality

國籍

Passport No. / ID No.

護照號碼 / 身分證號碼

Phone No.

電話號碼

Email Address

電子信箱

Residential Address

居住地址

## DIRECTOR TWO (2) / 董事(二)

Full Name / 全名

Date of Birth (dd / mm / yyyy)

出生日期 (日/月/年)

Nationality

國籍

Passport No. / ID No.

護照號碼 / 身分證號碼

Phone No.

電話號碼

Email Address

電子信箱

Residential Address

居住地址

## DIRECTOR THREE (3) / 董事(三)

Full Name / 全名

Date of Birth (dd / mm / yyyy)

出生日期 (日/月/年)

Nationality

國籍

Passport No. / ID No.

護照號碼 / 身分證號碼

Phone No.

電話號碼

Email Address

電子信箱

Residential Address

居住地址

## DIRECTOR FOUR (4) / 董事(四)

Full Name / 全名

Date of Birth (dd / mm / yyyy)

出生日期 (日/月/年)

Nationality

國籍

Passport No. / ID No.

護照號碼 / 身分證號碼

Phone No.

電話號碼

Email Address

電子信箱

Residential Address

居住地址

**8. BENEFICIAL OWNER(S)** *(Individuals or companies owning more than 10% of the company)*

受益人 (個人或公司持有公司股份10%以上)

**BENEFICIAL OWNER ONE (1) / 受益人(一)**
**Full Name of Individual or Company**

個人或公司全名

**Nationality or Country of Incorp.**

國籍或註冊國家

**Passport No. or Company**
**Registration No.**

護照或公司註冊號碼

**Date of Birth or Date of Incorp.**
*(dd/mm/yyyy)*

出生日期 (日/月/年)

**Phone No.**

電話號碼

**Shareholding Percentage**

持有股份百分比

**Email Address**

電子信箱

**Residential or Registered Address**

居住地址或註冊地址

**BENEFICIAL OWNER TWO (2) / 受益人(二)**
**Full Name of Individual or Company**

個人或公司全名

**Nationality or Country of Incorp.**

國籍或註冊國家

**Passport No. or Company**
**Registration No.**

護照或公司註冊號碼

**Date of Birth or Date of Incorp.**
*(dd/mm/yyyy)*

出生日期 (日/月/年)

**Phone No.**

電話號碼

**Shareholding Percentage**

持有股份百分比

**Email Address**

電子信箱

**Residential or Registered Address**

居住地址或註冊地址

**BENEFICIAL OWNER THREE (3) / 受益人(三)**
**Full Name of Individual or Company**

個人或公司全名

**Nationality or Country of Incorp.**

國籍或註冊國家

**Passport No. or Company**
**Registration No.**

護照或公司註冊號碼

**Date of Birth or Date of Incorp.**
*(dd/mm/yyyy)*

出生日期 (日/月/年)

**Phone No.**

電話號碼

**Shareholding Percentage**

持有股份百分比

**Email Address**

電子信箱

**Residential or Registered Address**

居住地址或註冊地址

**BENEFICIAL OWNER FOUR (4) / 受益人(四)**
**Full Name of Individual or Company**

個人或公司全名

**Nationality or Country of Incorp.**

國籍或註冊國家

**Passport No. or Company**
**Registration No.**

護照或公司註冊號碼

**Date of Birth or Date of Incorp.**
*(dd/mm/yyyy)*

出生日期 (日/月/年)

**Phone No.**

電話號碼

**Shareholding Percentage**

持有股份百分比

**Email Address**

電子信箱

**Residential or Registered Address**

居住地址或註冊地址

**Is the company a state-owned company, or does the company belong to a group of companies? /**

貴公司是否為國有機構，或隸屬於某集團之子公司？

☐ No / 否 ☐ Yes / 是

**If yes, please elaborate / 若是，請詳述：**

**Does any of the director(s) or beneficial owner(s) hold or have held any prominent public functions in the last 12 months? (i.e. head of state, head of government, minister or deputy or assistant minister; member of parliament; member of supreme courts, of constitutional courts or of other high-level judicial bodies; member of courts of auditors or of the boards of central bank; ambassador; high-ranking officer in the armed forces; member of the administrative, management or supervisory bodies of State-owned enterprises)**

是否有公司董事或受益人擔任或在過去的 12 個月內擔任任何政府部門官員職位？(例如國家元首、政府首長、部長或副部長或部長助理；議會成員；最高法院、憲法院或其它高等司法機構成員；法院審計成員或中央銀行董事會成員；大使；軍隊高級軍官；國有企業行政、管理、監督部門成員)

☐ No / 否 ☐ Yes / 是

**If yes, please elaborate / 若是，請詳述：**

**Is any of the immediate family members or close associate of any of the director(s) or beneficial owner(s) of the company such a person? (Spouse or the person with which cohabit for at least one year, children and their spouses or the persons with which cohabit for at least one year, parents, any natural person who is known to have joint beneficial ownership of legal entities or legal arrangements, or any other close business relations, with a Politically Exposed Person (PEP), any natural person who has sole beneficial ownership of a legal entity or legal arrangement which is known to have been set up for the benefit de facto of a PEP) / 公司董事或受益人的任何直系親屬或近親是否有此類人士？(配偶或同居至少一年者、子女及其子女的配偶或者與其子同居至少一年者、父母、任何擁有法人公司實體或法律安排具有合資營利擁有權的自然人，或與政界人士有其它密切業務關係，對合法實體或法律安排具有獨立營利擁有權，實質是以某位政界人士利益而建立。)**

☐ No / 否 ☐ Yes / 是

**If yes, please elaborate / 若是，請詳述：**

**Is any of the director(s) or beneficial owner(s) of the company engaged in business activities involving electronic gambling / gaming activities through the internet? / 是否有公司董事或受益人參與線上博奕或電玩相關活動？**

☐ No / 否 ☐ Yes / 是

**If yes, please elaborate / 若是，請詳述：**

**Does any of the director(s) or beneficial owner(s) of the company offer services (e.g. payment provider, software house, card acquirer) to persons involved in electronic gambling / gaming activities through the internet? / 是否有公司董事或受益人向參與線上博奕或電玩活動的人士提供相關服務(例如：線上支付服務提供商，軟體商，收單機構)？**

☐ No / 否 ☐ Yes / 是

**If yes, please elaborate / 若是，請詳述：**

**Has any of the director(s) or beneficial owner(s) of the company ever been declared bankrupt? / 是否有公司董事或受益人曾宣告破產？**

☐ No / 否 ☐ Yes / 是

**If yes, please elaborate / 若是，請詳述：**

## 9. AUTHORISED SIGNATORY(IES) / 授權簽署人士

How many signatory(ies) are required to authorise any transactions and/or changes for the account?

請選擇可執行任何帳戶變更及匯款相關事項的授權簽署人士

- ☐ 1 signatory only  
一位簽署人
 ☐ Any 2 signatories  
任何兩位簽署人
 ☐ Any 3 signatories  
任何三位簽署人
 ☐ All 4 signatories  
四位簽署人

### SIGNATURE ONE (1) / 簽署人(一)

<b>Full Name / 全名</b>		<b>Designation</b> 職位	
<b>Date of Birth (dd/mm/yyyy)</b> 出生日期 (日/月/年)		<b>Nationality</b> 國籍	
<b>Passport No. / ID No.</b> 護照號碼 / 身分證號碼		<b>Phone No.</b> 電話號碼	
<b>Email Address</b> 電子信箱			
<b>Registered Address</b> 居住地址		<b>Specimen Signature</b> 簽署式樣	

### SIGNATURE TWO (2) / 簽署人(二)

<b>Full Name / 全名</b>		<b>Designation</b> 職位	
<b>Date of Birth (dd/mm/yyyy)</b> 出生日期 (日/月/年)		<b>Nationality</b> 國籍	
<b>Passport No. / ID No.</b> 護照號碼 / 身分證號碼		<b>Phone No.</b> 電話號碼	
<b>Email Address</b> 電子信箱			
<b>Registered Address</b> 居住地址		<b>Specimen Signature</b> 簽署式樣	

### SIGNATURE THREE (3) / 簽署人(三)

<b>Full Name / 全名</b>		<b>Designation</b> 職位	
<b>Date of Birth (dd/mm/yyyy)</b> 出生日期 (日/月/年)		<b>Nationality</b> 國籍	
<b>Passport No. / ID No.</b> 護照號碼 / 身分證號碼		<b>Phone No.</b> 電話號碼	
<b>Email Address</b> 電子信箱			
<b>Registered Address</b> 居住地址		<b>Specimen Signature</b> 簽署式樣	

### SIGNATURE FOUR (4) / 簽署人(四)

<b>Full Name / 全名</b>		<b>Designation</b> 職位	
<b>Date of Birth (dd/mm/yyyy)</b> 出生日期 (日/月/年)		<b>Nationality</b> 國籍	
<b>Passport No. / ID No.</b> 護照號碼 / 身分證號碼		<b>Phone No.</b> 電話號碼	
<b>Email Address</b> 電子信箱			
<b>Registered Address</b> 居住地址		<b>Specimen Signature</b> 簽署式樣	

**10. AUTHORISED TRADER / 核准交易員****TRADER ONE (1) / 核准交易員 (一)**

<b>Full Name</b> 全名		<b>Designation</b> 職位	
<b>Date of Birth (dd / mm / yyyy)</b> 出生日期 (日/月/年)		<b>Nationality</b> 國籍	
<b>Passport No. / ID No.</b> 護照號碼 / 身分證號碼		<b>Phone No.</b> 電話號碼	
<b>Email Address</b> 電子信箱			
<b>Specimen Signature</b> 簽署式樣			

**TRADER TWO (2) / 核准交易員 (二)**

<b>Full Name</b> 全名		<b>Designation</b> 職位	
<b>Date of Birth (dd / mm / yyyy)</b> 出生日期 (日/月/年)		<b>Nationality</b> 國籍	
<b>Passport No. / ID No.</b> 護照號碼 / 身分證號碼		<b>Phone No.</b> 電話號碼	
<b>Email Address</b> 電子信箱			
<b>Specimen Signature</b> 簽署式樣			

**TRADER THREE (3) / 核准交易員 (三)**

<b>Full Name</b> 全名		<b>Designation</b> 職位	
<b>Date of Birth (dd / mm / yyyy)</b> 出生日期 (日/月/年)		<b>Nationality</b> 國籍	
<b>Passport No. / ID No.</b> 護照號碼 / 身分證號碼		<b>Phone No.</b> 電話號碼	
<b>Email Address</b> 電子信箱			
<b>Specimen Signature</b> 簽署式樣			

**TRADER FOUR (4) / 核准交易員 (四)**

<b>Full Name</b> 全名		<b>Designation</b> 職位	
<b>Date of Birth (dd / mm / yyyy)</b> 出生日期 (日/月/年)		<b>Nationality</b> 國籍	
<b>Passport No. / ID No.</b> 護照號碼 / 身分證號碼		<b>Phone No.</b> 電話號碼	
<b>Email Address</b> 電子信箱			
<b>Specimen Signature</b> 簽署式樣			

**11. REFERENCE** (If applicable) / 推薦人 (若適用)

**Got to know us from a partner? Please select.** / 您是從哪一類型的合作夥伴得知我們的?

- ☐ Introducing Broker 推薦經紀商
 ☐ Money Manager 資產管理人
 ☐ Introducing Agent 推薦顧問
 ☐ Business Representative 業務代表

**Please key in Referrer's No.**

請輸入推薦人號碼

**12. ACKNOWLEDGEMENT** / 條款確認聲明

I/We hereby confirm that all the information above is true and correct and I/we will inform Blackwell Global about any change in the information submitted. I/We have also been notified that this information is confidential and will not be disclosed to anybody by Blackwell Global.

本人/我們謹此確認以上所填寫的所有資訊均為真實及正確。若上述資訊有任何更改，本人/我們將會通知 Blackwell Global。本人/我們亦被告知，Blackwell Global 將對本人/我們所提供的資訊保密，不會向任何人揭露上述資訊。

**I/We acknowledge that I/we have received, read and understood the following documents:**

本人/我們僅此確認，本人/我們已收到、詳閱並瞭解以下文件：

- ☐ Terms of Business 一般交易條款
 ☐ Risk Disclosure 風險披露聲明
 ☐ Order Execution Policy 交易執行政策

**I/We have a good understanding of the risks involved in trading in leveraged derivatives.**

本人/我們已詳細瞭解交易槓桿衍生性商品所涉及的風險。

- ☐ Yes / 是
 ☐ No / 否

**13. CLIENT'S SIGNATORY(IES) WITH COMPANY STAMP** / 客戶簽署加蓋公司章**AUTHORISED SIGNATURE 1 / 授權簽署 (一)**


**Print Name**

姓名正楷

**Date (dd/mm/yyyy)**

日期 (日/月/年)

**AUTHORISED SIGNATURE 2 / 授權簽署 (二)**


**Print Name**

姓名正楷

**Date (dd/mm/yyyy)**

日期 (日/月/年)

**AUTHORISED SIGNATURE 3 / 授權簽署 (三)**


**Print Name**

姓名正楷

**Date (dd/mm/yyyy)**

日期 (日/月/年)

**AUTHORISED SIGNATURE 4 / 授權簽署 (四)**


**Print Name**

姓名正楷

**Date (dd/mm/yyyy)**

日期 (日/月/年)

**Certificate of Status of Beneficial Owner for  
United States Tax Withholding and Reporting (Entities)**

► For use by entities. Individuals must use Form W-8BEN. ► Section references are to the Internal Revenue Code.  
► Information about Form W-8BEN-E and its separate instructions is at [www.irs.gov/formw8bene](http://www.irs.gov/formw8bene).  
► Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

**Do NOT use this form for:**

- U.S. entity or U.S. citizen or resident . . . . . W-9
- A foreign individual . . . . . W-8BEN (Individual) or Form 8233
- A foreign individual or entity claiming that income is effectively connected with the conduct of trade or business within the U.S. (unless claiming treaty benefits) . . . . . W-8ECI
- A foreign partnership, a foreign simple trust, or a foreign grantor trust (unless claiming treaty benefits) (see instructions for exceptions) . . . W-8IMY
- A foreign government, international organization, foreign central bank of issue, foreign tax-exempt organization, foreign private foundation, or government of a U.S. possession claiming that income is effectively connected U.S. income or that is claiming the applicability of section(s) 115(2), 501(c), 892, 895, or 1443(b) (unless claiming treaty benefits) (see instructions for other exceptions) . . . . . W-8ECI or W-8EXP
- Any person acting as an intermediary . . . . . W-8IMY

**Instead use Form:****Part I Identification of Beneficial Owner****1** Name of organization that is the beneficial owner**2** Country of incorporation or organization**3** Name of disregarded entity receiving the payment (if applicable, see instructions)**4** Chapter 3 Status (entity type) (Must check one box only):☐ Simple trust☐ Grantor trust☐ Corporation☐ Complex trust☐ Central Bank of Issue☐ Tax-exempt organization☐ Private foundation☐ Disregarded entity☐ Estate☐ International organization☐ Partnership☐ Government

If you entered disregarded entity, partnership, simple trust, or grantor trust above, is the entity a hybrid making a treaty claim? If "Yes" complete Part III.

☐ Yes ☐ No**5** Chapter 4 Status (FATCA status) (See instructions for details and complete the certification below for the entity's applicable status).☐ Nonparticipating FFI (including a limited FFI or an FFI related to a Reporting IGA FFI other than a deemed-compliant FFI, participating FFI, or exempt beneficial owner).☐ Participating FFI.☐ Reporting Model 1 FFI.☐ Reporting Model 2 FFI.☐ Registered deemed-compliant FFI (other than a reporting Model 1 FFI, sponsored FFI, or nonreporting IGA FFI covered in Part XII). See instructions.☐ Sponsored FFI. Complete Part IV.☐ Certified deemed-compliant nonregistering local bank. Complete Part V.☐ Certified deemed-compliant FFI with only low-value accounts. Complete Part VI.☐ Certified deemed-compliant sponsored, closely held investment vehicle. Complete Part VII.☐ Certified deemed-compliant limited life debt investment entity. Complete Part VIII.☐ Certified deemed-compliant investment advisors and investment managers. Complete Part IX.☐ Owner-documented FFI. Complete Part X.☐ Restricted distributor. Complete Part XI.☐ Nonreporting IGA FFI. Complete Part XII.☐ Foreign government, government of a U.S. possession, or foreign central bank of issue. Complete Part XIII.☐ International organization. Complete Part XIV.☐ Exempt retirement plans. Complete Part XV.☐ Entity wholly owned by exempt beneficial owners. Complete Part XVI.☐ Territory financial institution. Complete Part XVII.☐ Nonfinancial group entity. Complete Part XVIII.☐ Excepted nonfinancial start-up company. Complete Part XIX.☐ Excepted nonfinancial entity in liquidation or bankruptcy. Complete Part XX.☐ 501(c) organization. Complete Part XXI.☐ Nonprofit organization. Complete Part XXII.☐ Publicly traded NFFE or NFFE affiliate of a publicly traded corporation. Complete Part XXIII.☐ Excepted territory NFFE. Complete Part XXIV.☐ Active NFFE. Complete Part XXV.☐ Passive NFFE. Complete Part XXVI.☐ Excepted inter-affiliate FFI. Complete Part XXVII.☐ Direct reporting NFFE.☐ Sponsored direct reporting NFFE. Complete Part XXVIII.☐ Account that is not a financial account.**6** Permanent residence address (street, apt. or suite no., or rural route). **Do not use a P.O. box or in-care-of address** (other than a registered address).

City or town, state or province. Include postal code where appropriate.

Country

**7** Mailing address (if different from above)

City or town, state or province. Include postal code where appropriate.

Country

**8** U.S. taxpayer identification number (TIN), if required**9a** GIIN**b** Foreign TIN**10** Reference number(s) (see instructions)**Note:** Please complete remainder of the form including signing the form in Part XXX.**For Paperwork Reduction Act Notice, see separate instructions.**

Cat. No. 59689N

Form **W-8BEN-E** (Rev. 4-2016)

**Part II Disregarded Entity or Branch Receiving Payment.** (Complete only if a disregarded entity with a GIIN or a branch of an FFI in a country other than the FFI's country of residence. See instructions.)

- 11** Chapter 4 Status (FATCA status) of disregarded entity or branch receiving payment
- ☐ Limited Branch (see instructions). ☐ Reporting Model 1 FFI. ☐ U.S. Branch.
- ☐ Participating FFI. ☐ Reporting Model 2 FFI.
- 12** Address of disregarded entity or branch (street, apt. or suite no., or rural route). **Do not use a P.O. box or in-care-of address** (other than a registered address).

City or town, state or province. Include postal code where appropriate.

Country

- 13** GIIN (if any)

**Part III Claim of Tax Treaty Benefits** (if applicable). (For chapter 3 purposes only.)

- 14** I certify that (check all that apply):
- a** ☐ The beneficial owner is a resident of \_\_\_\_\_ within the meaning of the income tax treaty between the United States and that country.
- b** ☐ The beneficial owner derives the item (or items) of income for which the treaty benefits are claimed, and, if applicable, meets the requirements of the treaty provision dealing with limitation on benefits. The following are types of limitation on benefits provisions that may be included in an applicable tax treaty (check only one; see instructions):
- ☐ Government ☐ Company that meets the ownership and base erosion test
- ☐ Tax exempt pension trust or pension fund ☐ Company that meets the derivative benefits test
- ☐ Other tax exempt organization ☐ Company with an item of income that meets active trade or business test
- ☐ Publicly traded corporation ☐ Favorable discretionary determination by the U.S. competent authority received
- ☐ Subsidiary of a publicly traded corporation ☐ Other (specify Article and paragraph): \_\_\_\_\_
- c** ☐ The beneficial owner is claiming treaty benefits for U.S. source dividends received from a foreign corporation or interest from a U.S. trade or business of a foreign corporation and meets qualified resident status (see instructions).
- 15** **Special rates and conditions** (if applicable—see instructions):
- The beneficial owner is claiming the provisions of Article and paragraph \_\_\_\_\_ of the treaty identified on line 14a above to claim a \_\_\_\_\_ % rate of withholding on (specify type of income): \_\_\_\_\_
- Explain the additional conditions in the Article the beneficial owner meets to be eligible for the rate of withholding: \_\_\_\_\_

**Part IV Sponsored FFI**

- 16** Name of sponsoring entity: \_\_\_\_\_
- GIIN of sponsoring entity: \_\_\_\_\_
- 17** **Check whichever box applies.**
- ☐ I certify that the entity identified in Part I:
- Is an investment entity;
  - Is not a QI, WP, or WT; **and**
  - Has agreed with the entity identified above (that is not a nonparticipating FFI) to act as the sponsoring entity for this entity.
- ☐ I certify that the entity identified in Part I:
- Is a controlled foreign corporation as defined in section 957(a);
  - Is not a QI, WP, or WT;
  - Is wholly owned, directly or indirectly, by the U.S. financial institution identified above that agrees to act as the sponsoring entity for this entity; **and**
  - Shares a common electronic account system with the sponsoring entity (identified above) that enables the sponsoring entity to identify all account holders and payees of the entity and to access all account and customer information maintained by the entity including, but not limited to, customer identification information, customer documentation, account balance, and all payments made to account holders or payees.

**Part V Certified Deemed-Compliant Nonregistering Local Bank**18 ☐ I certify that the FFI identified in Part I:

- Operates and is licensed solely as a bank or credit union (or similar cooperative credit organization operated without profit) in its country of incorporation or organization;
- Engages primarily in the business of receiving deposits from and making loans to, with respect to a bank, retail customers unrelated to such bank and, with respect to a credit union or similar cooperative credit organization, members, provided that no member has a greater than five percent interest in such credit union or cooperative credit organization;
- Does not solicit account holders outside its country of organization;
- Has no fixed place of business outside such country (for this purpose, a fixed place of business does not include a location that is not advertised to the public and from which the FFI performs solely administrative support functions);
- Has no more than \$175 million in assets on its balance sheet and, if it is a member of an expanded affiliated group, the group has no more than \$500 million in total assets on its consolidated or combined balance sheets; **and**
- Does not have any member of its expanded affiliated group that is a foreign financial institution, other than a foreign financial institution that is incorporated or organized in the same country as the FFI identified in Part I and that meets the requirements set forth in this Part V.

**Part VI Certified Deemed-Compliant FFI with Only Low-Value Accounts**19 ☐ I certify that the FFI identified in Part I:

- Is not engaged primarily in the business of investing, reinvesting, or trading in securities, partnership interests, commodities, notional principal contracts, insurance or annuity contracts, or any interest (including a futures or forward contract or option) in such security, partnership interest, commodity, notional principal contract, insurance contract or annuity contract;
- No financial account maintained by the FFI or any member of its expanded affiliated group, if any, has a balance or value in excess of \$50,000 (as determined after applying applicable account aggregation rules); **and**
- Neither the FFI nor the entire expanded affiliated group, if any, of the FFI, have more than \$50 million in assets on its consolidated or combined balance sheet as of the end of its most recent accounting year.

**Part VII Certified Deemed-Compliant Sponsored, Closely Held Investment Vehicle**

20 Name of sponsoring entity: \_\_\_\_\_

21 ☐ I certify that the entity identified in Part I:

- Is an FFI solely because it is an investment entity described in §1.1471-5(e)(4);
- Is not a QI, WP, or WT;
- Will have all of its due diligence, withholding, and reporting responsibilities (determined as if the FFI were a participating FFI) fulfilled by the sponsoring entity identified on line 20; **and**
- Twenty or fewer individuals own all of the debt and equity interests in the entity (disregarding debt interests owned by U.S. financial institutions, participating FFIs, registered deemed-compliant FFIs, and certified deemed-compliant FFIs and equity interests owned by an entity if that entity owns 100 percent of the equity interests in the FFI and is itself a sponsored FFI).

**Part VIII Certified Deemed-Compliant Limited Life Debt Investment Entity**22 ☐ I certify that the entity identified in Part I:

- Was in existence as of January 17, 2013;
- Issued all classes of its debt or equity interests to investors on or before January 17, 2013, pursuant to a trust indenture or similar agreement; **and**
- Is certified deemed-compliant because it satisfies the requirements to be treated as a limited life debt investment entity (such as the restrictions with respect to its assets and other requirements under § 1.1471-5(f)(2)(iv)).

**Part IX Certified Deemed-Compliant Investment Advisors and Investment Managers**23 ☐ I certify that the entity identified in Part I:

- Is a financial institution solely because it is an investment entity described in §1.1471-5(e)(4)(i)(A), **and**
- Does not maintain financial accounts.

**Part X Owner-Documented FFI**

**Note:** This status only applies if the U.S. financial institution, participating FFI, or reporting Model 1 FFI to which this form is given has agreed that it will treat the FFI as an owner-documented FFI (see instructions for eligibility requirements). In addition, the FFI must make the certifications below.

24a ☐ (All owner-documented FFIs check here) I certify that the FFI identified in Part I:

- Does not act as an intermediary;
- Does not accept deposits in the ordinary course of a banking or similar business;
- Does not hold, as a substantial portion of its business, financial assets for the account of others;
- Is not an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account;
- Is not owned by or in an expanded affiliated group with an entity that accepts deposits in the ordinary course of a banking or similar business, holds, as a substantial portion of its business, financial assets for the account of others, or is an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account;
- Does not maintain a financial account for any nonparticipating FFI; **and**
- Does not have any specified U.S. persons that own an equity interest or debt interest (other than a debt interest that is not a financial account or that has a balance or value not exceeding \$50,000) in the FFI other than those identified on the FFI owner reporting statement.

**Part X Owner-Documented FFI (continued)****Check box 24b or 24c, whichever applies.**

- b** ☐ I certify that the FFI identified in Part I:
- Has provided, or will provide, an FFI owner reporting statement that contains:
    - The name, address, TIN (if any), chapter 4 status, and type of documentation provided (if required) of every individual and specified U.S. person that owns a direct or indirect equity interest in the owner-documented FFI (looking through all entities other than specified U.S. persons);
    - The name, address, TIN (if any), and chapter 4 status of every individual and specified U.S. person that owns a debt interest in the owner-documented FFI (including any indirect debt interest, which includes debt interests in any entity that directly or indirectly owns the payee or any direct or indirect equity interest in a debt holder of the payee) that constitutes a financial account in excess of \$50,000 (disregarding all such debt interests owned by participating FFIs, registered deemed-compliant FFIs, certified deemed-compliant FFIs, excepted NFFEs, exempt beneficial owners, or U.S. persons other than specified U.S. persons); **and**
    - Any additional information the withholding agent requests in order to fulfill its obligations with respect to the entity.
  - Has provided, or will provide, valid documentation meeting the requirements of §1.1471-3(d)(6)(iii) for each person identified in the FFI owner reporting statement.
- c** ☐ I certify that the FFI identified in Part I has provided, or will provide, an auditor's letter, signed within four years of the date of payment, from an independent accounting firm or legal representative with a location in the United States stating that the firm or representative has reviewed the FFI's documentation with respect to all of its owners and debt holders identified in §1.1471-3(d)(6)(iv)(A)(2), and that the FFI meets all the requirements to be an owner-documented FFI. The FFI identified in Part I has also provided, or will provide, an FFI owner reporting statement of its owners that are specified U.S. persons and Form(s) W-9, with applicable waivers.

**Check box 24d if applicable (optional, see instructions).**

- d** ☐ I certify that the entity identified on line 1 is a trust that does not have any contingent beneficiaries or designated classes with unidentified beneficiaries.

**Part XI Restricted Distributor**

- 25a** ☐ (All restricted distributors check here) I certify that the entity identified in Part I:
- Operates as a distributor with respect to debt or equity interests of the restricted fund with respect to which this form is furnished;
  - Provides investment services to at least 30 customers unrelated to each other and less than half of its customers are related to each other;
  - Is required to perform AML due diligence procedures under the anti-money laundering laws of its country of organization (which is an FATF-compliant jurisdiction);
  - Operates solely in its country of incorporation or organization, has no fixed place of business outside of that country, and has the same country of incorporation or organization as all members of its affiliated group, if any;
  - Does not solicit customers outside its country of incorporation or organization;
  - Has no more than \$175 million in total assets under management and no more than \$7 million in gross revenue on its income statement for the most recent accounting year;
  - Is not a member of an expanded affiliated group that has more than \$500 million in total assets under management or more than \$20 million in gross revenue for its most recent accounting year on a combined or consolidated income statement; **and**
  - Does not distribute any debt or securities of the restricted fund to specified U.S. persons, passive NFFEs with one or more substantial U.S. owners, or nonparticipating FFIs.

**Check box 25b or 25c, whichever applies.**

I further certify that with respect to all sales of debt or equity interests in the restricted fund with respect to which this form is furnished that are made after December 31, 2011, the entity identified in Part I:

- b** ☐ Has been bound by a distribution agreement that contained a general prohibition on the sale of debt or securities to U.S. entities and U.S. resident individuals and is currently bound by a distribution agreement that contains a prohibition of the sale of debt or securities to any specified U.S. person, passive NFFE with one or more substantial U.S. owners, or nonparticipating FFI.
- c** ☐ Is currently bound by a distribution agreement that contains a prohibition on the sale of debt or securities to any specified U.S. person, passive NFFE with one or more substantial U.S. owners, or nonparticipating FFI and, for all sales made prior to the time that such a restriction was included in its distribution agreement, has reviewed all accounts related to such sales in accordance with the procedures identified in §1.1471-4(c) applicable to preexisting accounts and has redeemed or retired any, or caused the restricted fund to transfer the securities to a distributor that is a participating FFI or reporting Model 1 FFI securities which were sold to specified U.S. persons, passive NFFEs with one or more substantial U.S. owners, or nonparticipating FFIs.

**Part XII Nonreporting IGA FFI**

**26** ☐ I certify that the entity identified in Part I:

- Meets the requirements to be considered a nonreporting financial institution pursuant to an applicable IGA between the United States and \_\_\_\_\_ . The applicable IGA is a ☐ Model 1 IGA or a ☐ Model 2 IGA; and is treated as a \_\_\_\_\_ under the provisions of the applicable IGA or Treasury regulations (if applicable, see instructions);
- If you are a trustee documented trust or a sponsored entity, provide the name of the trustee or sponsor whose GIIN is provided on line 9a (if any) \_\_\_\_\_ ; and your GIIN (if issued to you) \_\_\_\_\_ .

**Part XIII Foreign Government, Government of a U.S. Possession, or Foreign Central Bank of Issue**

**27** ☐ I certify that the entity identified in Part I is the beneficial owner of the payment and is not engaged in commercial financial activities of a type engaged in by an insurance company, custodial institution, or depository institution with respect to the payments, accounts, or obligations for which this form is submitted (except as permitted in §1.1471-6(h)(2)).

**Part XIV International Organization**

**Check box 28a or 28b, whichever applies.**

**28a** ☐ I certify that the entity identified in Part I is an international organization described in section 7701(a)(18).

**b** ☐ I certify that the entity identified in Part I:

- Is comprised primarily of foreign governments;
- Is recognized as an intergovernmental or supranational organization under a foreign law similar to the International Organizations Immunities Act or that has in effect a headquarters agreement with a foreign government;
- The benefit of the entity's income does not inure to any private person;
- Is the beneficial owner of the payment and is not engaged in commercial financial activities of a type engaged in by an insurance company, custodial institution, or depository institution with respect to the payments, accounts, or obligations for which this form is submitted (except as permitted in §1.1471-6(h)(2)).

**Part XV Exempt Retirement Plans**

**Check box 29a, b, c, d, e, or f, whichever applies.**

**29a** ☐ I certify that the entity identified in Part I:

- Is established in a country with which the United States has an income tax treaty in force (see Part III if claiming treaty benefits);
- Is operated principally to administer or provide pension or retirement benefits; **and**
- Is entitled to treaty benefits on income that the fund derives from U.S. sources (or would be entitled to benefits if it derived any such income) as a resident of the other country which satisfies any applicable limitation on benefits requirement.

**b** ☐ I certify that the entity identified in Part I:

- Is organized for the provision of retirement, disability, or death benefits (or any combination thereof) to beneficiaries that are former employees of one or more employers in consideration for services rendered;
- No single beneficiary has a right to more than 5% of the FFI's assets;
- Is subject to government regulation and provides annual information reporting about its beneficiaries to the relevant tax authorities in the country in which the fund is established or operated; **and**
  - Is generally exempt from tax on investment income under the laws of the country in which it is established or operates due to its status as a retirement or pension plan;
  - Receives at least 50% of its total contributions from sponsoring employers (disregarding transfers of assets from other plans described in this part, retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, other retirement funds described in an applicable Model 1 or Model 2 IGA, or accounts described in §1.1471-5(b)(2)(i)(A));
  - Either does not permit or penalizes distributions or withdrawals made before the occurrence of specified events related to retirement, disability, or death (except rollover distributions to accounts described in §1.1471-5(b)(2)(i)(A) (referring to retirement and pension accounts), to retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, or to other retirement funds described in this part or in an applicable Model 1 or Model 2 IGA); **or**
  - Limits contributions by employees to the fund by reference to earned income of the employee or may not exceed \$50,000 annually.

**c** ☐ I certify that the entity identified in Part I:

- Is organized for the provision of retirement, disability, or death benefits (or any combination thereof) to beneficiaries that are former employees of one or more employers in consideration for services rendered;
- Has fewer than 50 participants;
- Is sponsored by one or more employers each of which is not an investment entity or passive NFFE;
- Employee and employer contributions to the fund (disregarding transfers of assets from other plans described in this part, retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, or accounts described in §1.1471-5(b)(2)(i)(A)) are limited by reference to earned income and compensation of the employee, respectively;
- Participants that are not residents of the country in which the fund is established or operated are not entitled to more than 20 percent of the fund's assets; **and**
- Is subject to government regulation and provides annual information reporting about its beneficiaries to the relevant tax authorities in the country in which the fund is established or operates.

**Part XV Exempt Retirement Plans (continued)**

- d** ☐ I certify that the entity identified in Part I is formed pursuant to a pension plan that would meet the requirements of section 401(a), other than the requirement that the plan be funded by a trust created or organized in the United States.
- e** ☐ I certify that the entity identified in Part I is established exclusively to earn income for the benefit of one or more retirement funds described in this part or in an applicable Model 1 or Model 2 IGA, accounts described in §1.1471-5(b)(2)(i)(A) (referring to retirement and pension accounts), or retirement and pension accounts described in an applicable Model 1 or Model 2 IGA.
- f** ☐ I certify that the entity identified in Part I:
- Is established and sponsored by a foreign government, international organization, central bank of issue, or government of a U.S. possession (each as defined in §1.1471-6) or an exempt beneficial owner described in an applicable Model 1 or Model 2 IGA to provide retirement, disability, or death benefits to beneficiaries or participants that are current or former employees of the sponsor (or persons designated by such employees); **or**
  - Is established and sponsored by a foreign government, international organization, central bank of issue, or government of a U.S. possession (each as defined in §1.1471-6) or an exempt beneficial owner described in an applicable Model 1 or Model 2 IGA to provide retirement, disability, or death benefits to beneficiaries or participants that are not current or former employees of such sponsor, but are in consideration of personal services performed for the sponsor.

**Part XVI Entity Wholly Owned by Exempt Beneficial Owners**

- 30** ☐ I certify that the entity identified in Part I:
- Is an FFI solely because it is an investment entity;
  - Each direct holder of an equity interest in the investment entity is an exempt beneficial owner described in §1.1471-6 or in an applicable Model 1 or Model 2 IGA;
  - Each direct holder of a debt interest in the investment entity is either a depository institution (with respect to a loan made to such entity) or an exempt beneficial owner described in §1.1471-6 or an applicable Model 1 or Model 2 IGA.
  - Has provided an owner reporting statement that contains the name, address, TIN (if any), chapter 4 status, and a description of the type of documentation provided to the withholding agent for every person that owns a debt interest constituting a financial account or direct equity interest in the entity; **and**
  - Has provided documentation establishing that every owner of the entity is an entity described in §1.1471-6(b), (c), (d), (e), (f) and/or (g) without regard to whether such owners are beneficial owners.

**Part XVII Territory Financial Institution**

- 31** ☐ I certify that the entity identified in Part I is a financial institution (other than an investment entity) that is incorporated or organized under the laws of a possession of the United States.

**Part XVIII Excepted Nonfinancial Group Entity**

- 32** ☐ I certify that the entity identified in Part I:
- Is a holding company, treasury center, or captive finance company and substantially all of the entity's activities are functions described in §1.1471-5(e)(5)(i)(C) through (E);
  - Is a member of a nonfinancial group described in §1.1471-5(e)(5)(i)(B);
  - Is not a depository or custodial institution (other than for members of the entity's expanded affiliated group); **and**
  - Does not function (or hold itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle with an investment strategy to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes.

**Part XIX Excepted Nonfinancial Start-Up Company**

- 33** ☐ I certify that the entity identified in Part I:
- Was formed on (or, in the case of a new line of business, the date of board resolution approving the new line of business) \_\_\_\_\_ (date must be less than 24 months prior to date of payment);
  - Is not yet operating a business and has no prior operating history or is investing capital in assets with the intent to operate a new line of business other than that of a financial institution or passive NFFE;
  - Is investing capital into assets with the intent to operate a business other than that of a financial institution; **and**
  - Does not function (or hold itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes.

**Part XX Excepted Nonfinancial Entity in Liquidation or Bankruptcy**

- 34** ☐ I certify that the entity identified in Part I:
- Filed a plan of liquidation, filed a plan of reorganization, or filed for bankruptcy on \_\_\_\_\_;
  - During the past 5 years has not been engaged in business as a financial institution or acted as a passive NFFE;
  - Is either liquidating or emerging from a reorganization or bankruptcy with the intent to continue or recommence operations as a nonfinancial entity; **and**
  - Has, or will provide, documentary evidence such as a bankruptcy filing or other public documentation that supports its claim if it remains in bankruptcy or liquidation for more than three years.

**Part XXI 501(c) Organization**

**35** ☐ I certify that the entity identified in Part I is a 501(c) organization that:

- Has been issued a determination letter from the IRS that is currently in effect concluding that the payee is a section 501(c) organization that is dated \_\_\_\_\_; **or**
- Has provided a copy of an opinion from U.S. counsel certifying that the payee is a section 501(c) organization (without regard to whether the payee is a foreign private foundation).

**Part XXII Non-Profit Organization**

**36** ☐ I certify that the entity identified in Part I is a non-profit organization that meets the following requirements:

- The entity is established and maintained in its country of residence exclusively for religious, charitable, scientific, artistic, cultural or educational purposes;
- The entity is exempt from income tax in its country of residence;
- The entity has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
- Neither the applicable laws of the entity's country of residence nor the entity's formation documents permit any income or assets of the entity to be distributed to, or applied for the benefit of, a private person or non-charitable entity other than pursuant to the conduct of the entity's charitable activities or as payment of reasonable compensation for services rendered or payment representing the fair market value of property which the entity has purchased; **and**
- The applicable laws of the entity's country of residence or the entity's formation documents require that, upon the entity's liquidation or dissolution, all of its assets be distributed to an entity that is a foreign government, an integral part of a foreign government, a controlled entity of a foreign government, or another organization that is described in this Part XXII or escheats to the government of the entity's country of residence or any political subdivision thereof.

**Part XXIII Publicly Traded NFFE or NFFE Affiliate of a Publicly Traded Corporation**

**Check box 37a or 37b, whichever applies.**

**37a** ☐ I certify that:

- The entity identified in Part I is a foreign corporation that is not a financial institution; **and**
- The stock of such corporation is regularly traded on one or more established securities markets, including \_\_\_\_\_ (name one securities exchange upon which the stock is regularly traded).

**b** ☐ I certify that:

- The entity identified in Part I is a foreign corporation that is not a financial institution;
- The entity identified in Part I is a member of the same expanded affiliated group as an entity the stock of which is regularly traded on an established securities market;
- The name of the entity, the stock of which is regularly traded on an established securities market, is \_\_\_\_\_; **and**
- The name of the securities market on which the stock is regularly traded is \_\_\_\_\_.

**Part XXIV Excepted Territory NFFE**

**38** ☐ I certify that:

- The entity identified in Part I is an entity that is organized in a possession of the United States;
- The entity identified in Part I:
  - Does not accept deposits in the ordinary course of a banking or similar business,
  - Does not hold, as a substantial portion of its business, financial assets for the account of others, or
  - Is not an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account; **and**
- All of the owners of the entity identified in Part I are bona fide residents of the possession in which the NFFE is organized or incorporated.

**Part XXV Active NFFE**

**39** ☐ I certify that:

- The entity identified in Part I is a foreign entity that is not a financial institution;
- Less than 50% of such entity's gross income for the preceding calendar year is passive income; **and**
- Less than 50% of the assets held by such entity are assets that produce or are held for the production of passive income (calculated as a weighted average of the percentage of passive assets measured quarterly) (see instructions for the definition of passive income).

**Part XXVI Passive NFFE**

**40a** ☐ I certify that the entity identified in Part I is a foreign entity that is not a financial institution (other than an investment entity organized in a possession of the United States) and is not certifying its status as a publicly traded NFFE (or affiliate), excepted territory NFFE, active NFFE, direct reporting NFFE, or sponsored direct reporting NFFE.

**Check box 40b or 40c, whichever applies.**

- b** ☐ I further certify that the entity identified in Part I has no substantial U.S. owners (or, if applicable, no controlling U.S. persons), **or**
- c** ☐ I further certify that the entity identified in Part I has provided the name, address, and TIN of each substantial U.S. owner (or, if applicable, controlling U.S. person) of the NFFE in Part XXIX.

**Part XXVII Excepted Inter-Affiliate FFI****41** ☐ I certify that the entity identified in Part I:

- Is a member of an expanded affiliated group;
- Does not maintain financial accounts (other than accounts maintained for members of its expanded affiliated group);
- Does not make withholdable payments to any person other than to members of its expanded affiliated group that are not limited FFIs or limited branches;
- Does not hold an account (other than a depository account in the country in which the entity is operating to pay for expenses) with or receive payments from any withholding agent other than a member of its expanded affiliated group; **and**
- Has not agreed to report under §1.1471-4(d)(2)(ii)(C) or otherwise act as an agent for chapter 4 purposes on behalf of any financial institution, including a member of its expanded affiliated group.

**Part XXVIII Sponsored Direct Reporting NFFE** (see instructions for when this is permitted)**42** Name of sponsoring entity: \_\_\_\_\_

GIIN of sponsoring entity: \_\_\_\_\_

**43** ☐ I certify that the entity identified in Part I is a direct reporting NFFE that is sponsored by the entity identified on line 42.**Part XXIX Substantial U.S. Owners of Passive NFFE**

As required by Part XXVI, provide the name, address, and TIN of each substantial U.S. owner of the NFFE. Please see instructions for definition of substantial U.S. owner. If providing the form to an FFI treated as a reporting Model 1 FFI or reporting Model 2 FFI, an NFFE may also use this Part for reporting its controlling U.S. persons under an applicable IGA.

Name	Address	TIN

**Part XXX Certification**

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

- The entity identified on line 1 of this form is the beneficial owner of all the income to which this form relates, is using this form to certify its status for chapter 4 purposes, or is a merchant submitting this form for purposes of section 6050W,
- The entity identified on line 1 of this form is not a U.S. person,
- The income to which this form relates is: (a) not effectively connected with the conduct of a trade or business in the United States, (b) effectively connected but is not subject to tax under an income tax treaty, or (c) the partner's share of a partnership's effectively connected income, **and**
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which the entity on line 1 is the beneficial owner or any withholding agent that can disburse or make payments of the income of which the entity on line 1 is the beneficial owner.

I agree that I will submit a new form within 30 days if any certification on this form becomes incorrect.

**Sign Here**

Signature of individual authorized to sign for beneficial owner

Print Name

Date (MM-DD-YYYY)

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

## SELF-CERTIFICATION FORM – COMPANY OR ENTITY (CRS-E)

### 自我證明表格 - 公司或實體 (CRS-E)

#### Part 1: Identification of Company or Entity Account Holder

##### 第 1 部：公司或實體賬戶持有人資料

If you have any questions on how to define your tax residency status, please visit the OECD website at [www.oecd.org/tax/automatic-exchange/](http://www.oecd.org/tax/automatic-exchange/) or consult your tax advisor before completing the form.

如您對判定您的稅務居民身分有任何疑問，請瀏覽經合組織網站 [www.oecd.org/tax/automatic-exchange/](http://www.oecd.org/tax/automatic-exchange/) 或於填寫本表格前諮詢您的稅務顧問。

**Legal Name of Company or Entity**

公司或實體的法定名稱

**Jurisdiction of Incorporation or Registration**

公司或實體成立或註冊的稅務管轄區

**Certificate of Incorporation or Business Registration Number**

公司註冊或商業登記號碼

**Current Business Address and Mailing Address**

現時營業地址及通訊住址

**Address**

地址

**City & Country**

城市及國家

#### Part 2: Company or Entity Type

##### 第 2 部：公司或實體類別

Tick one of the appropriate boxes and provide the relevant information.

在其中一個適當的方格內加上剔號，並提供有關資料。

**Financial Institution** 金融 / 財務機構

☐

Custodial Institution, Depository Institution or Specified Insurance Company

託管機構、存款機構或指明保險公司

☐

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，但不包括由另一金融／財務機構管理

(例如：擁有酌情權管理投資實體的資產) 並位於非參與稅務管轄區的投資實體

**Active NFE** 主動非財務實體

☐

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

☐

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

☐

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

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** - 50% or more of the entity's income is passive income OR 50% or more of its assets produce passive income  
被動非財務實體 - 實體50%或以上的收入是被動收入 或 實體50%或以上資產用於產生被動收入

NFE that is not an Active NFE  
不屬「主動非財務實體」的非財務實體

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金融/財務機構管理的投資實體

### Part 3: Controlling Persons (Complete this part if the company or entity account holder is a passive NFE) 第3部：控權人 (如公司或實體賬戶持有人是被動非財務實體，填寫此部)

Indicate the name of all controlling person(s) of the account holder in the table below. If no natural person exercises control over a company or 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 (CRS-CP) for each controlling person.

就賬戶持有人，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 (CRS-CP)。

1		2	
3		4	

### Part 4: Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") 第4部：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」)

Complete the following table indicating 提供以下資料，列明：

- (a) each jurisdiction where the account holder is a resident for tax purposes; and  
賬戶持有人的居留司法管轄區，亦即賬戶持有人的稅務管轄區；及
- (b) the account holder's TIN for each jurisdiction indicated.  
該居留司法管轄區發給賬戶持有人的稅務編號。

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

如賬戶持有人是香港稅務居民，稅務編號是其商業登記號碼。

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.

如賬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A、B或C

#

Reason A – The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

理由A – 賬戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

Reason B – The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.

理由B – 賬戶持有人不能取得稅務編號。如選取這一理由，解釋賬戶持有人不能取得稅務編號的原因。

Reason C – TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

理由C – 賬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賬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，解釋賬戶持有人不能取得稅務編號的原因

## Part 5: Declarations and Signature

### 第 5 部：聲明及簽署

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 account holder 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 account holder 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) 把該等資料和關於賬戶持有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，從而把資料轉交到賬戶持有人的居留司法管轄區的稅務當局。

I certify that I am authorized to sign for the account holder of all the account(s) to which this form relates. I further 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賬戶，本人是賬戶持有人簽署本表格。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。

I undertake to provide the Company with a suitably updated self-certification form within 30 days of any change in circumstances which affects the information contained herein to become incorrect.

本人承諾，如情況有所改變，以致影響本表格所載的資料不正確，本人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。

#### ACCOUNT HOLDER'S SIGNATURE AND CHOP 賬戶持有人簽署及印鑑



**Print Name**

正楷姓名

**Account No.**

賬戶編號

**Date (dd/mm/yyyy)**

日期 (日/月/年)

**Name of Authorized Person**

獲授權人士姓名

**Capacity of Authorized Person**

獲授權人士身份

(Indicate the capacity in which you are signing the form e.g. director or officer of a company, partner of a partnership, trustee of a trust, Authorized Officer, etc. )

(說明您簽署這份表格的身份。例如：公司的董事或高級人員、合夥的合夥人、信託的受託人或獲授權人員等。)

**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。

# BLACKWELL GLOBAL - RISK PROFILING QUESTIONNAIRE

## 博威環球-風險取向問卷

Full Name of Individual  
/ Primary Account Holder  
個人/主要帳戶持有人姓名

Full Name of Secondary  
Joint Account Holder  
聯名帳戶持有人姓名

Client's A/C  
客戶號碼

This questionnaire is designed to help you consider your risk tolerance.

這份問卷是為幫助您評估您的投資風險取向而設的。

It asks questions that provide some indication of the risk tolerance for a typical investor displaying your personal investment characteristics (concerning investment products). It may not match your actual attitude toward investment risk, but it indicates the profile you fit into.

這份問卷的問題用以表示擁有類似您個人投資特性的典型投資者（有關購買投資產品）的風險取向。這部分會顯示符合您特性的投資風險取向，但未必與您的實際投資風險取向相符。

For Question 1-6, the terms "investment/ investing" refer to all investment products # [# Such products could include one or more of the following: stocks, unit trusts, foreign currencies, commodities, structured investment products, warrants, options and futures.]

問題1-6中的「投資」泛指所有理財產品，包括投資產品# [# 該等產品可能包括以下一項或多項的產品：股票、單位信託基金、外幣、商品、結構投資產品、認股權證、期權、期貨。]

This will take around 10 minutes. Based on the answers you have provided, you can check your risk tolerance.

完成問卷需時大約十分鐘。根據您所提供的答案，您可了解自己的投資風險取向。

1. Which of the below statements best describe your account or current financial situation?

以下哪一個選項最適合形容您現時的財政狀況？

a. My current income needs are fully relied on my investments.

我完全依賴我的投資作為我目前的收入來源。

b. My current income needs are partly relied on my investments.

我依賴我的投資作為我部分的收入來源。

c. My current income needs do not rely on my investments.

我不依賴我的投資作為我目前的收入來源。

2. How many years of experience do you have with investment products? These investment products could include, for example, equities, mutual funds, foreign currencies, bonds, commodities, structured products, warrants, futures, options, and alternative investments such as hedge funds and private equity.

您對投資產品有多少年的經驗？這些投資產品可能包括股票、互惠基金、外匯、債券、商品、結構性產品、窩輪、期貨、期權及另類投資如對沖基金和私募股權等。

a. No experience

無經驗

b. < 1 year

少於一年

c. 1-3 years

一至三年

d. 3-5 years

三至五年

e. > 5 years

多於五年

3. How much of your investments would you liquidate to meet liquidity need or an unforeseen event?

為了滿足生活的流動性需求或出現突發事件，您將對您的投資組合進行多少出售？

a. I would sell more than 50% of my investment portfolio.

我會出售投資組合內超過百分之五十的產品。

b. I would sell 30% to 50% of my investment portfolio.

我會出售投資組合內百分之三十至百分之五十的產品。

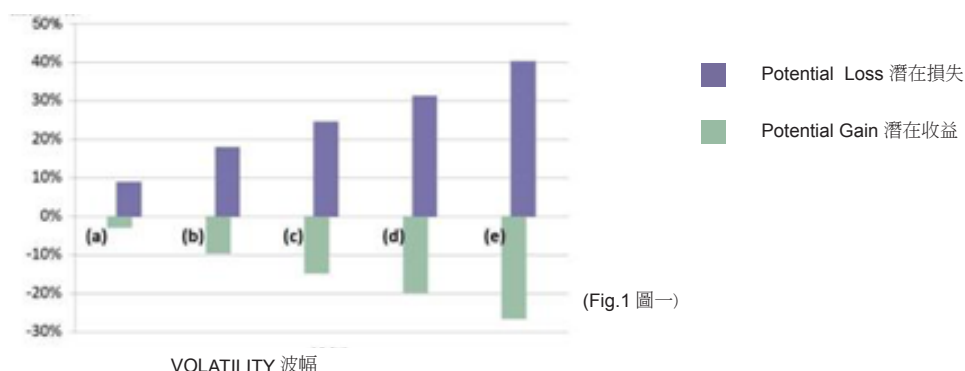
- ☐ c. I would sell 20% to 30% of my investment portfolio.  
我會出售投資組合內百分之二十至百分之三十的產品。
- ☐ d. I would sell no more than 20% of my investment portfolio.  
我會出售投資組合內不多於百分之二十的產品。
- ☐ e. I would not have to sell any of my investment portfolio.  
我不會出售任何投資組合內的產品。
4. It is generally true that the longer the investment horizon, the higher the risk an investor can tolerate, and the values of investment products will fluctuate. What time horizon would you generally be comfortable with when investing in investment products?  
一般以言, 投資時間越長代表投資者能承受的風險越高以及投資產品的價值波動越大。您在投資時, 通常會選擇投資多長時間?
- ☐ a. Less than 1 year  
少於一年
- ☐ b. 1-3 years  
一至三年
- ☐ c. 3-5 years  
三至五年
- ☐ d. 5-10 years  
五至十年
- ☐ e. >10 years  
多於十年
5. What portion of your net worth would you intend to invest and accept that the investment may suffer a potential loss?  
您會撥作投資的資產淨值比例是多少? 請注意, 買賣投資產品可能帶來虧損。
- ☐ a. 0%
- ☐ b. >0% and 50%  
大過0%至50%
- ☐ c. Over 50%  
大過50%
6. Generally, investment involves a trade-off between risk and return which indicates that higher risk will result in high return with high fluctuations, and vice versa. In order to achieve your expected returns, which statement best describes the degree of losses you are willing to take?  
投資通常是風險與回報的取捨。獲得高回報的投資者往往承受的波動與損失風險較高。以下哪項描述最符合您為達致預期回報而願意承受損失的程度?
- ☐ a. I am willing to accept minimal amount of capital loss.  
我願意接受輕微的資金損失。
- ☐ b. >0% and 50%  
我願意接受中度的資金損失。
- ☐ c. Over 50%  
我願意接受大額的資金損失。
7. On the whole, which of the following best describes your investment objective?  
以下哪一項最能描述您的投資目的?
- ☐ a. Wealth preservation (Only small amount of capital loss could be accept)  
財富保值 (願意接受輕微的資金損失)
- ☐ b. A regular stream of stable income  
穩定收入來源
- ☐ c. A combination of income and capital growth  
收入及資本增長
- ☐ d. Achieve substantial long term capital growth  
長期實質的資本增長
- ☐ e. High capital appreciation  
大幅資本增長

8. The following answer options are descriptions of 5 sample portfolios (fig.1) and their potential portfolio gain and loss outcomes over a short time horizon (i.e. 1 year). Which of the sample portfolio would be most attractive to you?

下列答題選項顯示5種不同投資組合(圖1)於較短投資期(如1年)的潛在收益和損失。您認為哪一個投資組合最吸引您?

- a. Portfolio (a) - I am willing to accept a potential loss of 3% in exchange for 9% potential upside.  
投資組合(a) - 我願意接受3%的潛在損失,以換取9%的潛在回報。
- b. Portfolio (b) - I am willing to accept a potential loss of 10% in exchange for 18% potential upside.  
投資組合(b) - 我願意接受10%的潛在損失,以換取18%的潛在回報。
- c. Portfolio (c) - I am willing to accept a potential loss of 15% in exchange for 25% potential upside.  
投資組合(c) - 我願意接受15%的潛在損失,以換取25%的潛在回報。
- d. Portfolio (d) - I am willing to accept a potential loss of 20% in exchange for 31% potential upside.  
投資組合(d) - 我願意接受20%的潛在損失,以換取31%的潛在回報。
- e. Portfolio (e) - I am willing to accept a potential loss of 27% in exchange for 40% potential upside.  
投資組合(e) - 我願意接受27%的潛在損失,以換取40%的潛在回報。

PORTFOLIO RETURN 組合回報



9. Which option shown below would best describe your action when your value of investments drop over a period of time due to market fluctuations? 倘若您的投資價值經過一段時間後由於市場波動而下跌, 您會如何處置?

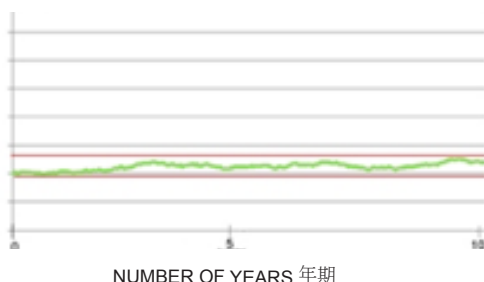
- a. I do not wish to hold on to any investments at a loss and will sell the investments immediately even if the drop in value is small.  
我不願意持有任何虧損的投資, 即使跌幅輕微也會立刻出售。
- b. I will sell the investments if the drop in value is large.  
倘若下跌幅度較大, 我會將投資出售。
- c. I will sell some of the investments if the drop in value is large, and wait for the remaining investments to recover in value.  
倘若下跌幅度較大, 我會將部分投資出售, 保留其餘投資等待價值回升。
- d. I will not sell the investments, regardless of the drop in value, as I would like to wait for the investment to recover in value.  
即使投資價值下跌, 我也不會出售投資, 而會願意等待其價值回升。
- e. I will not sell the investments, regardless of the drop in value, and will buy more to capitalise on the cheaper price.  
即使投資價值下跌, 我也不會出售投資, 反而會考慮趁低吸納。

10. Generally, higher returns are coupled with higher risks and fluctuations. The following answer options describe the level of fluctuations in the value of 5 different investment portfolios over a long period of time, e.g. 10 years. Which would you be most comfortable investing in?

一般而言, 回報越高, 風險及波動亦越大。下列答題選項顯示5種不同投資組合於較長投資期(如10年)的波動水平, 您會選擇哪項投資?

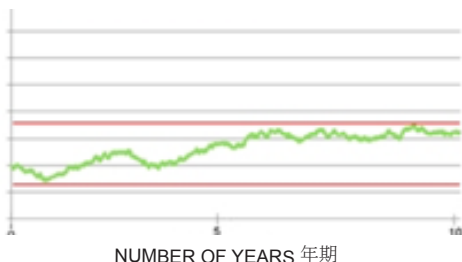
- a. Portfolio (a) - Limited fluctuation of 5% with small potential gain/loss  
投資組合(a) - 價值可能波動不大, 上下波幅5%, 潛在收益及損失較少。

INDEX PRICE 指數價格



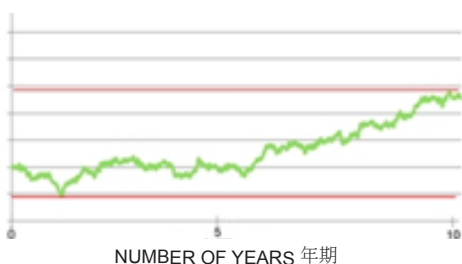
- b. Portfolio (b) - Fluctuation of more than 10% with more potential gain/loss  
投資組合(b) — 價值可能有較多波動，上下波幅10%，潛在收益及損失較多。

INDEX PRICE 指數價格



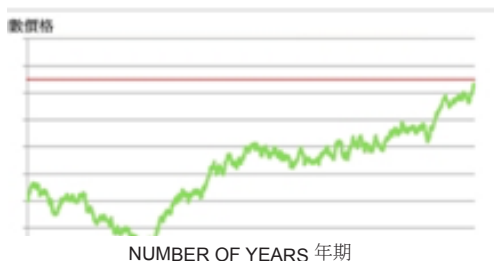
- c. Portfolio (c) - Fluctuation of more than 15% with moderate gain/loss  
投資組合(c) — 價值可能有適度波動，上下波幅15%，潛在收益及損失適中。

INDEX PRICE 指數價格



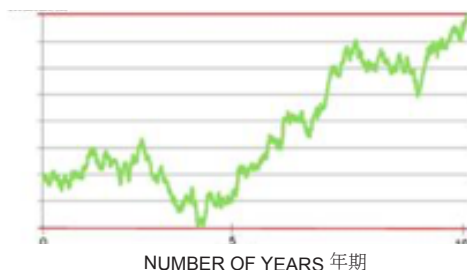
- d. Portfolio (d) - Fluctuation of more than 20% with high gain/loss  
投資組合(d) — 價值可能有相當大幅波動，上下波幅20%，潛在收益及損失頗多。

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- e. Portfolio (e) - Fluctuation of more than 25% with substantial gain/loss  
投資組合(e) — 價值可能大幅波動，上下波幅超過25%，潛在收益及損失相當多。

INDEX PRICE 指數價格



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# RESULT

## 結果

### 0 SECURE 穩當型

You generally do not want to take any investment risk, since you can accept no investment loss. Financial products with an investment element are not suitable for you. Products that are potentially suitable for you are likely to produce returns that are based on prevailing interest rates which may or may not keep pace with inflation.

你基本上不希望承受任何投資風險，因為你無法承受任何投資損失。含投資成分的金融產品不適合您。可能適合您的產品回報很可能僅相當於當時的利率，未必能夠彌補通脹。

### 1 VERY CAUTIOUS 非常謹慎型

You are generally comfortable with achieving minimal level of return potential on your investment coupled with minimal risks. Capital values of products that are potentially suitable for you can fluctuate and may fall below your original investment. In normal market conditions fluctuation is expected to be minimal (although this is not guaranteed), and you are comfortable with this level of fluctuation. Based on the information you provided, you can consider whether investment products with risk rating 1 are suitable for you.

你基本上接受輕微的損失，以換取輕微的潛在投資回報。可能適合您的產品之資本價值可能波動並跌至低於您原本的投資額。預期在正常市況下僅輕微波動（縱使不能保證），而您可接受此程度的波動。根據您提供的資料，您可以考慮評為一級風險的投資產品適合您。

### 2 CAUTIOUS 非常謹慎型

You are generally comfortable with achieving a low level of return potential on your investment coupled with a low level of risk. Capital values of products that are potentially suitable for you can fluctuate and may fall below your original investment. In normal market conditions fluctuation is expected to be low (although this is not guaranteed), and you are comfortable with this level of fluctuation. Based on the information you provided, you can consider whether investment products with risk rating 2 or below are suitable for you.

你基本上接受低程度的損失，以換取低程度的潛在投資回報。可能適合您的產品之資本價值可能波動並跌至低於您原本的投資額。預期在正常市況下波動較小（縱使不能保證），而您可接受此程度的波動。根據您提供的資料，您可以考慮評為二級或以下風險的投資產品適合您。

### 3 BALANCED 平衡型

You are generally comfortable with achieving a moderate level of return potential on your investment coupled with a moderate level of risk. Capital values can fluctuate and may fall below your original investment. Fluctuation is expected to be higher than products that are suitable for investors in lower risk tolerance categories, but not as much as for higher risk tolerance categories. Based on the information you provided, you can consider whether investment products with risk rating 3 or below are suitable for you.

你基本上接受中度的損失，以換取中度的潛在投資回報。資本價值可能波動並跌至低於您原本的投資額。預期產品波動大於適合較低風險承受能力投資者的產品，惟小於適合較高風險承受能力投資者的產品。根據您提供的資料，您可以考慮評為三級或以下風險的投資產品適合您。

### 4 ADVENTUROUS 進取型

You are generally comfortable with achieving a high level of return potential on your investment coupled with high level of risk. Capital values can fluctuate significantly and may fall quite substantially below your original investment. You understand the risk/reward equation, and are comfortable with this level of fluctuation. Based on the information you provided, you can consider whether investment products with risk rating 4 or below are suitable for you.

你基本上接受高程度的損失，以換取高程度的潛在投資回報。資本價值可能有相當大幅的波動並跌至頗低於您原本的投資額。您明白風險越大，回報越高的原則，而您可接受此程度的波動。根據您提供的資料，您可以考慮評為四級或以下風險的投資產品適合您。

### 5 SPECULATIVE 投機型

You are generally comfortable with maximising your return potential on investment coupled with maximised risk. Capital values can fluctuate widely and may fall substantially below your original investment. You understand the risk/reward equation, and are comfortable with this level of fluctuation. Based on the information you provided, you can consider whether investment products with risk rating 5 or below are suitable for you.

你基本上接受高程度的損失，以換取高程度的潛在投資回報。資本價值可能有相當大幅的波動並跌至頗低於您原本的投資額。您明白風險越大，回報越高的原則，而您可接受此程度的波動。根據您提供的資料，您可以考慮評為四級或以下風險的投資產品適合您。

Your tolerance to investment risk has been assessed as  
您的投資風險承受能力被評定為：

CLIENT'S INITIAL 客戶簽署

STAFF'S INITIAL 經紀簽署

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請注意，倘若您未能全面披露所有或任何有關您的個人狀況(如財務狀況)、不正確、不完整或過時的資料可能影響本集團評估您對投資風險的態度及承受能力。如您的狀況出現變動而可能影響本問卷中任何問題的答案，我們極力建議您再次填寫本問卷。

## CUSTOMER DECLARATION 客戶聲明

I hereby declare that the information I have provided in this form is in all respects true, accurate and complete and agree that my investment risk tolerance analysis is correctly stated above.

本人(等) 謹此聲明: 本人(等) 為本問卷所提供資料為真實、正確及全面，並同意上述的投資風險承受能力分析為正確。

### SIGNATURE OF INDIVIDUAL/ PRIMARY ACCOUNT HOLDER 個人/主要帳戶持有人簽署

Print Name

正楷姓名

Date (dd/mm/yyyy)

日期 (日/月/年)

### SIGNATURE OF SECONDARY JOINT ACCOUNT HOLDER 聯名帳戶持有人簽署

Print Name

正楷姓名

Date (dd/mm/yyyy)

日期 (日/月/年)