

ACCOUNT OPENING FORM 開戶申請表格

(Individual / Joint Account 個人 / 聯名帳戶)

Client Type 客戶類別	<input type="checkbox"/> Individual Account 個人帳戶	/	<input type="checkbox"/> Joint Account 聯名帳戶
Type of Account 帳戶類別	<input type="checkbox"/> Securities Trading (Cash) 證券交易帳戶 (現金) / <input type="checkbox"/> Securities Trading (Margin) 證券交易帳戶 (孖展融資)		
	<input type="checkbox"/> Futures Trading (Additional) 期貨交易帳戶 (附加)		

Return ORIGINAL Form

請交回此申請表正本

Apply Ref. 申請表編號
BOOM Account No. BOOM 帳戶號碼
Futures Trading Account No. 期貨交易帳戶號碼

Personal Information 個人資料

Individual / Joint Account Primary Holder ("First Applicant")

個人 / 聯名帳戶主要持有人 (「第一申請人」)

1. Client Name 客戶姓名 (As printed on ID / passport 如身份證明 / 護照上顯示)

Title 稱謂	<input type="checkbox"/> Mr. 先生	<input type="checkbox"/> Ms. 小姐
	<input type="checkbox"/> Mrs. 太太	<input type="checkbox"/> Dr. 博士

Surname 英文姓氏	First & Middle Name 英文名稱
(Use block letters 請以正楷填寫)	

Chinese Name 中文姓名

2. Gender 性別

<input type="checkbox"/> Male 男
<input type="checkbox"/> Female 女

3. Date of Birth 出生日期

Year 年	Month 月	Day 日
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4. Place of Birth 出生地

(Country 國家)

5. Marital Status 婚姻狀況

<input type="checkbox"/> Single 單身
<input type="checkbox"/> Married 已婚

6. Education Background 教育程度

<input type="checkbox"/> Postgraduate Degree 研究學位
<input type="checkbox"/> Bachelor / Post-secondary 大學 / 大專程度
<input type="checkbox"/> Secondary 中學程度
<input type="checkbox"/> Primary 小學程度

7. Citizenship 國籍

(Country 國家)

8. Official ID 身份證明文件 (Proof of citizenship and identity 國籍及身份之證明)

Type 證件種類 (Please ✓ one 請選擇一項)	(如持有以下香港、中國或澳門證件)
<input type="checkbox"/> HKID	香港身份證
<input type="checkbox"/> Chinese (PRC) Citizens ID	中國公民身份證
<input type="checkbox"/> Macau Permanent Resident ID	澳門永久居民身份證
(if you are a citizen of another country / region)	(如身為其他地方的公民)
<input type="checkbox"/> Passport	個人護照
<input type="checkbox"/> Others*, please specify _____	其他*, 請列明 _____

* If you don't have any of the above, please check with us for other acceptable photo ID type.
倘若閣下沒有以上證件, 請聯絡我們查詢其他可接受的身份證明文件種類。

ID No. 證件號碼	
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Issue Country 證件簽發地	(Country 國家)
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Attach official ID copy 附上身份證明文件副本

Second Joint Account Holder ("Second Applicant")

聯名帳戶第二持有人 (「第二申請人」)

Client Name 客戶姓名 (As printed on ID / passport 如身份證明 / 護照上顯示)

Title 稱謂	<input type="checkbox"/> Mr. 先生	<input type="checkbox"/> Ms. 小姐
	<input type="checkbox"/> Mrs. 太太	<input type="checkbox"/> Dr. 博士

Surname 英文姓氏	First & Middle Name 英文名稱
(Use block letters 請以正楷填寫)	

Chinese Name 中文姓名

Gender 性別

<input type="checkbox"/> Male 男
<input type="checkbox"/> Female 女

Date of Birth 出生日期

Year 年	Month 月	Day 日
--------	---------	-------

Place of Birth 出生地

(Country 國家)

Marital Status 婚姻狀況

<input type="checkbox"/> Single 單身
<input type="checkbox"/> Married 已婚

Education Background 教育程度

<input type="checkbox"/> Postgraduate Degree 研究學位
<input type="checkbox"/> Bachelor / Post-secondary 大學 / 大專程度
<input type="checkbox"/> Secondary 中學程度
<input type="checkbox"/> Primary 小學程度

Citizenship 國籍

(Country 國家)

Official ID 身份證明文件 (Proof of citizenship and identity 國籍及身份之證明)

Type 證件種類 (Please ✓ one 請選擇一項)	(如持有以下香港、中國或澳門證件)
<input type="checkbox"/> HKID	香港身份證
<input type="checkbox"/> Chinese (PRC) Citizens ID	中國公民身份證
<input type="checkbox"/> Macau Permanent Resident ID	澳門永久居民身份證
(if you are a citizen of another country / region)	(如身為其他地方的公民)
<input type="checkbox"/> Passport	個人護照
<input type="checkbox"/> Others*, please specify _____	其他*, 請列明 _____

* If you don't have any of the above, please check with us for other acceptable photo ID type.
倘若閣下沒有以上證件, 請聯絡我們查詢其他可接受的身份證明文件種類。

ID No. 證件號碼	
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Issue Country 證件簽發地	(Country 國家)
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Attach official ID copy 附上身份證明文件副本

Contact Details 聯絡資料

9. Home Tel. 住宅電話 + -

10. Office Tel. 公司電話 + -

11. Mobile Tel. 手提電話 + -

12. Email 電郵地址

(Use for all major account communications 用作帳戶所有主要聯繫)

Home Tel. 住宅電話 + -

Office Tel. 公司電話 + -

Mobile Tel. 手提電話 + -

Email 電郵地址

(Use for all major account communications 用作帳戶所有主要聯繫)

13. Residential Address 住宅地址 (P.O. Box not accepted 郵箱號碼恕不接受)

City & Province 城市及省份

Country 國家

Postal Code 郵政編號

Attach proof of address 附上住址證明副本

Remarks to Part 11 & 12: Please provide your personal mobile number / email address that is exclusively for your own use to ensure that your confidential account or transaction related information is delivered to you and accessed by you only. 請提供您個人專用的手提電話號碼 / 電郵地址，以確保有關您帳戶或交易的信息只能被您接收及開啟。

Residential Address 住宅地址 (P.O. Box not accepted 郵箱號碼恕不接受)

City & Province 城市及省份

Country 國家

Postal Code 郵政編號

Attach proof of address 附上住址證明副本

Business and Occupation Status 營商及就業狀況

14. Occupational Status 就業狀況 (Please ✓ one 請選擇一項)

Owner / Shareholder (please specify Industry at Part 15) 東主 / 股東 (請在第 15 項列明業務性質)

Self-employed (please specify Industry at Part 15) 自僱 (請在第 15 項列明業務性質)

Employed (please specify Industry, Employment Info and Office Address at Part 15-17) 受僱 (請在第 15 至 17 項列明業務性質、就業資料及公司地址)

Unemployed 待業

Retired 退休

Homemaker 主婦

Student 學生

15. Industry 業務性質

Securities / Finance 證券 / 金融

Others, please specify 其他，請列明

16. Employment Info 就業資料

Co. Name 公司名稱

Position 職銜

Ranking 職級 Top Management 管理層 Supervisory 主任
 Managerial 經理 Staff 一般員工

Years of Employment 服務年資

Is your employer registered with the Securities and Futures Commission (SFC) of Hong Kong?

閣下的僱主 / 公司是否香港證券及期貨事務監察委員會(證監會)註冊的公司?

No 否 Yes 是 Attach a written consent from your employer. 請提供閣下僱主的書面同意書。

17. Office Address 公司地址 (P.O. Box not accepted 郵箱號碼恕不接受)

City & Province 城市及省份

Country 國家

Postal Code 郵政編號

Occupational Status 就業狀況 (Please ✓ one 請選擇一項)

Owner / Shareholder (please specify Industry at Part 15) 東主 / 股東 (請在第 15 項列明業務性質)

Self-employed (please specify Industry at Part 15) 自僱 (請在第 15 項列明業務性質)

Employed (please specify Industry, Employment Info and Office Address at Part 15-17) 受僱 (請在第 15 至 17 項列明業務性質、就業資料及公司地址)

Unemployed 待業

Retired 退休

Homemaker 主婦

Student 學生

Industry 業務性質

Securities / Finance 證券 / 金融

Others, please specify 其他，請列明

Employment Info 就業資料

Co. Name 公司名稱

Position 職銜

Ranking 職級 Top Management 管理層 Supervisory 主任
 Managerial 經理 Staff 一般員工

Years of Employment 服務年資

Is your employer registered with the Securities and Futures Commission (SFC) of Hong Kong?

閣下的僱主 / 公司是否香港證券及期貨事務監察委員會(證監會)註冊的公司?

No 否 Yes 是 Attach a written consent from your employer. 請提供閣下僱主的書面同意書。

Office Address 公司地址 (P.O. Box not accepted 郵箱號碼恕不接受)

City & Province 城市及省份

Country 國家

Postal Code 郵政編號

Delivery of Account Statements 遞送帳戶結單

18. Preferred Communication Language # 主要通訊語言

English 英文 Chinese 中文

Note: For Joint Account, the selected language of the First Applicant will apply, and any communication by mail will be sent to the First Applicant only.

請注意: 在聯名帳戶的情況下，帳戶會使用第一申請人所選擇的語言。另外，我們只會把一份資料郵寄至第一申請人之通訊地址。

19. Correspondence Address # 通訊地址 # (Please ✓ one 請選擇一項)

<input type="checkbox"/> Residential Address 住宅地址	<input type="checkbox"/> Others, please specify 其他，請列明 (P.O. Box not accepted) (郵箱號碼恕不接受)	
<input type="checkbox"/> Company Address 公司地址		
City & Province 城市及省份		Country 國家
		Postal Code 郵政編號

20. Delivery of Transaction Records ^{1 2} 交易紀錄的傳送 ^{1 2}

Send to the Registered Email (See Part 12) or Correspondence Address (See Part 19)
發送到 登記電郵地址 (見第 12 項) 或 通訊地址 (見第 19 項)

Daily Activity Statements ³ 日結單 ³	Monthly Activity Statements ³ 月結單 ³
<input type="checkbox"/> Send by email 以電郵傳送 <input type="checkbox"/> Send by post 以郵遞傳送	<input type="checkbox"/> Send by email 以電郵傳送 <input type="checkbox"/> Send by post ⁴ 以郵遞傳送 ⁴ (Handling Fee HKD 10) (行政費港幣 10 元)

Remarks to Part 20 第 20 項註釋:

1. Account Notifications (including trade confirmations and corporate action notices) are sent to you by email only.
帳戶通知 (包括交易確認及公司行動的通知)，將僅以電郵方式發送予閣下。
2. All Transaction Record and Notices for Joint Account will be sent to First Applicant's address or email only.
所有有關聯名帳戶的交易紀錄及通訊，均只會發放到第一申請人的通訊地址或電郵地址。
3. Daily Activity Statements also serve as contract notes. Daily and Monthly Activity Statements are also accessible online. 日結單亦等同成交單據。閣下可隨時經網上查詢日結單及月結單。
4. If your email is undeliverable, we will send statements to you by post. A handling fee of HKD 10 will be charged to your BOOM account for each Monthly Activity Statement mailed to you.
如電子郵件無法傳送到閣下的電郵帳戶，我們會改以郵寄帳戶結單給閣下。郵寄月結單列印版本的行政費為每份港幣 10 元，費用會從閣下的 BOOM 帳戶收取。

Identity and Tax Residence Declaration 個人身份及稅務居民身分聲明

First Applicant 第一申請人

21. Are you a U.S. citizen, a green card holder or residing in the U.S.? 閣下是否美國公民、綠卡持有人或在美國居留？

No 否 Yes 是

Please provide your Taxpayer Identification Number (TIN)
請提供您的納稅人識別號碼

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22. What is the country of your tax residency and Taxpayer Identification Number(s)? 閣下的稅務居民所屬地及納稅人識別號碼 (TIN) 是什麼？

Below is/are my tax resident(s) and TIN(s).
以下 是我的稅務居民所屬地及納稅人識別號碼。

(1) Country of Tax Residence 稅務居民所屬地	(Country 國家)
TIN 納稅人識別號碼	
(2) Country of Tax Residence 稅務居民所屬地	(Country 國家)
TIN 納稅人識別號碼	
(3) Country of Tax Residence 稅務居民所屬地	(Country 國家)
TIN 納稅人識別號碼	

Attach Form W-9 (applicable to U.S. taxpayer)
提供表格 W-9 (適用於美國納稅人)

If a TIN is not available, please explain.
倘若未能提供 TIN，請提供理由。

(1)	
(2)	
(3)	

Not applicable. The country of my tax residency is not currently participating in the CRS.
不適用。我的稅務居民所屬地 未有參加「共同匯報標準」。

Second Applicant 第二申請人

Are you a U.S. citizen, a green card holder or residing in the U.S.? 閣下是否美國公民、綠卡持有人或在美國居留？

No 否 Yes 是

Please provide your Taxpayer Identification Number (TIN)
請提供您的納稅人識別號碼

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What is the country of your tax residency and Taxpayer Identification Number(s)? 閣下的稅務居民所屬地及納稅人識別號碼 (TIN) 是什麼？

Below is/are my tax resident(s) and TIN(s).
以下 是我的稅務居民所屬地及納稅人識別號碼。

(1) Country of Tax Residence 稅務居民所屬地	(Country 國家)
TIN 納稅人識別號碼	
(2) Country of Tax Residence 稅務居民所屬地	(Country 國家)
TIN 納稅人識別號碼	
(3) Country of Tax Residence 稅務居民所屬地	(Country 國家)
TIN 納稅人識別號碼	

Attach Form W-9 (applicable to U.S. taxpayer)
提供表格 W-9 (適用於美國納稅人)

If a TIN is not available, please explain.
倘若未能提供 TIN，請提供理由。

(1)	
(2)	
(3)	

Not applicable. The country of my tax residency is not currently participating in the CRS.
不適用。我的稅務居民所屬地 未有參加「共同匯報標準」。

Remarks to Part 22: Under the Common Reporting Standard ("the CRS"), tax authorities require financial institutions such as BOOM to collect and report certain information relating to their customers' tax statuses. 根據「共同匯報標準」(簡稱「CRS」)規定，稅務機關要求包括 BOOM 在內的財務機構，向其客戶收集及匯報若干與客戶納稅狀況相關的資料。

If you have any questions regarding your tax residency and the acceptable Taxpayer Identification Number (TIN) formats, please refer to the rules that have been published by each tax authority on the following webpages. 倘若閣下不清楚稅務居民所屬地的定義，或不清楚閣下的所屬地對納稅人識別號碼的要求，請參照以下網址查看各個稅務機關所頒布的標準。

Tax Residency Rules 稅務居民所屬地規定: <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/>

Tax Identification Numbers 納稅人識別號碼 (TINs): <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/>

Further Information 其他資料

First Applicant 第一申請人

23. Select a method to verify your signature and identity. (Please ✓ one)

請選擇一種方法來核實您的簽署及身份 (請選擇一項)

This is to establish the true identity of the applicant(s) as required by Securities and Futures Commission (SFC) in Hong Kong.
此項核實申請人真實身份要求是根據香港證券及期貨事務監察委員會(證監會)的指引而建立。

- Attach a Personal Cheque ¹ (issued from your bank account in Hong Kong)
使用個人支票作核實身分之用途 ¹ (由閣下在香港的銀行帳戶發出)
- Arrange a Witness ² (sign at Part 57, and sign and certified your documents as true copy)
安排認可的見證人 ² (在第 57 項簽署並簽署證明閣下的文件為真實副本)

Remarks to Part 23: 第 23 項註釋: 1. Use a Personal Cheque to Serve as Verification of Signature and Identity
個人支票可用作核實簽署及身份

The cheque(s) to attach must be 連同申請表格附上的個人支票必須:

- issued from the Applicant's account with a licensed bank in Hong Kong and bear the Applicant's name; 由申請人的帳戶發出(該帳戶須在香港持牌銀行開設), 並列印有申請人姓名;
- each signed with one (1) applicant's signature that is the same as in the Declaration section of this application form; 每張支票只載有一位申請人的簽名(簽名須與本申請書客戶聲明部份的簽署相同);
- made payable to "Boom Securities (H.K.) Limited"; and 抬頭寫上「寶盛證券(香港)有限公司」; 及
- for minimum amount of HKD 10,000. 數額不少於 10,000 港元。

Your BOOM account will be activated when the cheque is cleared. The funds of the cheque will be credited to your BOOM account for stock trading. 待有關支票兌現後, 閣下的 BOOM 帳戶便會啟動生效。支票金額會存入到閣下的 BOOM 帳戶用作股票交易。

2. Arrange Witness to Verify Signature and Identity Document(s)
請安排認可見證人核實閣下的簽署及身份證明文件

An acceptable witness can be a BOOM employee, a SFC licensed or registered person, a Justice of Peace, or a professional person (such as a branch manager of a licensed bank, lawyer, certified public accountant (practicing), chartered secretary or notary public). 認可的見證人包括 BOOM 僱員、證監會持牌或註冊人士、太平紳士、專業人士(如持牌銀行分行經理、律師、執業會計師、特許秘書、公證人等)。

Arrange a witness to: 安排見證人:

- sign at the witness section in the application form after witnessing your signature(s); and 在目睹閣下簽署後, 填寫申請表上「見證人」一欄並簽署; 及
- sign and state "Certified True Copy" on your official ID cop(ies). 在閣下的身份證明文件副本上, 簽署並註明「經核實之真實副本」。

Your BOOM account can only be activated after all the original signed documents are received. 閣下的 BOOM 帳戶申請須待我們收妥以上文件的簽署正本後, 方才完成。

Second Applicant 第二申請人

Select a method to verify your signature and identity. (Please ✓ one)

請選擇一種方法來核實您的簽署及身份 (請選擇一項)

This is to establish the true identity of the applicant(s) as required by Securities and Futures Commission (SFC) in Hong Kong.
此項核實申請人真實身份要求是根據香港證券及期貨事務監察委員會(證監會)的指引而建立。

- Attach a Personal Cheque ¹ (issued from your bank account in Hong Kong)
使用個人支票作核實身分之用途 ¹ (由閣下在香港的銀行帳戶發出)
- Arrange a Witness ² (sign at Part 57, and sign and certified your documents as true copy)
安排認可的見證人 ² (在第 57 項簽署並簽署證明閣下的文件為真實副本)

Ultimate Beneficiary Declaration 有關最終實益擁有人的聲明

(The SFC in Hong Kong requires the account holder(s) to disclose the identity of the "real" owner (i.e. the person who enjoys the ultimate benefits of operating the BOOM account) if the account holder(s) is only acting as a nominee for such person. 按香港證監會規定, 如帳戶持有人只屬「代理人」, 則該帳戶持有人必須提供帳戶「真正」擁有人(即帳戶利益的最終實益持有人)的身份資料。)

24. Are you the sole beneficial owner of the BOOM account? 閣下是否 BOOM 帳戶的唯一實益擁有人?

- Yes 是
- No 否

Important: "Beneficial Owner" doesn't mean the successor of your assets. It refers to the natural person(s) who stand(s) to gain the commercial or economic benefit of the transactions and/or to bear its / their commercial or economic risk.
重要資訊: 實益擁有人 (Beneficial Owner) 不是指閣下資產的權益繼承人, 是指收取交易所帶來的商業或經濟利益及 / 或承擔其商業或經濟風險的人士。

If you are not the beneficial owner of this BOOM account, please advise the beneficial owner to open account directly with BOOM.
倘若閣下並不是此 BOOM 帳戶的實益擁有人, 請該實益擁有人直接開設 BOOM 帳戶。

Designated Bank Account(s) 指定銀行帳戶

(Information provided below is to register your bank account(s) for giving funds withdrawal instructions online or by phone.)
(以下資料用作登記閣下的銀行帳戶, 以便閣下可透過網上或電話方式給予資金提取的指令。)

Bank account(s) must be held by the BOOM account holder(s) (See Part 1). Transfer to third party bank account is not allowed and will not be handled.
銀行帳戶必須由帳戶持有人持有(見第 1 項)。我們不接受亦不會處理將資金過戶至第三者銀行帳戶的要求。

Designated Bank Account #1 指定銀行帳戶 # 1

Designated Bank Account #2 指定銀行帳戶 # 2

25. Name of Bank Account Holder(s) 帳戶持有人名稱

26. IBAN / Bank Account Number IBAN / 銀行帳戶號碼

27. Currency (Please ✓ one) 貨幣 (請選擇一項)

Note: RMB transfer will be rejected by your bank if your bank account is not RMB-denominated. Bank charges incurred is not refundable.
注意: 如您持有銀行帳戶並不是人民幣結餘帳戶, 銀行將會拒絕將人民幣存入。而因此收取的銀行手續費將不會獲得退還。

- Single-currency (Please specify)
單一貨幣 (請註明)
- Multi-currency (incl. RMB 包括人民幣)
多種貨幣 (包括人民幣)

- Single-currency (Please specify)
單一貨幣 (請註明)
- Multi-currency (incl. RMB 包括人民幣)
多種貨幣 (包括人民幣)

28. Bank Name 銀行名稱

29. Swift Code / Routing Number Swift 號碼 / 匯款路徑號碼

(If applicable 如適用)

(If applicable 如適用)

30. Bank Address (in full) 銀行地址 (全寫)

Attach Form W-9 (if the bank account(s) are set up in U.S.)
提供表格 W-9 (如銀行帳戶設於美國)

(Country 國家)

(Country 國家)

Where Did You Hear About BOOM 認識 BOOM 的途徑

31. Where did you hear about BOOM? (Please ✓ all applicable)

您從哪些途徑認識 BOOM? (可選擇多項)

Coupon Code (if any)

推廣碼 (如有)

<input type="checkbox"/> TV 電視	<input type="checkbox"/> TVB Jade 無線翡翠台 <input type="checkbox"/> TVB Finance 無線財經台 <input type="checkbox"/> TVB News 無線新聞台 <input type="checkbox"/> Now TV <input type="checkbox"/> ViuTV <input type="checkbox"/> MyTV Super <input type="checkbox"/> NowTV APP <input type="checkbox"/> Others, please specify 其他, 請註明 _____
<input type="checkbox"/> Radio 電台	<input type="checkbox"/> Fairchild Radio 加拿大中文電台 1430 <input type="checkbox"/> Others, please specify 其他, 請註明 _____
<input type="checkbox"/> Social Media 社交媒體	<input type="checkbox"/> Facebook <input type="checkbox"/> WeChat 微信 <input type="checkbox"/> YouTube <input type="checkbox"/> Others, please specify 其他, 請註明 _____
<input type="checkbox"/> Online Media 網絡媒體及網站	<input type="checkbox"/> Economic Times 經濟日報 <input type="checkbox"/> Oriental Daily 東方日報 <input type="checkbox"/> Economic Journal 信報 <input type="checkbox"/> iMoney 智富雜誌 <input type="checkbox"/> Others, please specify 其他, 請註明 _____
<input type="checkbox"/> Internet 互聯網	<input type="checkbox"/> ET Net 經濟通 <input type="checkbox"/> AAStocks <input type="checkbox"/> Google Search 搜尋 <input type="checkbox"/> Banner Ad 網上廣告 <input type="checkbox"/> Tasty Money (Leung Sam Yan) 小炒王國 (梁心欣) <input type="checkbox"/> Others, please specify 其他, 請註明 _____
<input type="checkbox"/> Others 其他途徑	<input type="checkbox"/> Webinar 網上投資講座 <input type="checkbox"/> Recycle Bag 環保袋 <input type="checkbox"/> MTR AD 港鐵廣告 <input type="checkbox"/> Outdoor ad. 戶外推廣廣告 <input type="checkbox"/> Others, please specify 其他, 請註明 _____
<input type="checkbox"/> Referrer 推薦人	<input type="checkbox"/> Referred by friends 親友推薦 <input type="checkbox"/> Referred by BOOM member. Member's name BOOM 會員推薦: 會員姓名 _____ <input type="checkbox"/> Others, please specify 其他, 請註明 _____

Investment & Customer Profile 投資紀錄及客戶概況

(The information of financial situation, investment experience, investment objectives and source of funds/wealth are collected for reference only. This is to comply with the Code of Conduct of Securities and Futures Commission (SFC) in Hong Kong. 有關財政狀況、投資經驗、投資目標及資金/財富來源的資料僅作參考之用。此為了遵守香港證券及期貨事務監察委員會 (證監會) 所訂立的操守準則。)

For Joint Account Application, the answers below represent two applicants, as a whole. 申請如聯名賬戶, 請按兩位申請人的共同情況填寫以下項目。

32. Investment Objective 投資目標

- Income Generation - Low Risk / Return 賺取收入 - 低風險 / 低回報
 Controlled Growth - Moderate Risk / Return 穩步增長 - 適度風險 / 適度回報
 Speculative / Short-term - High Risk / Return 投機 / 短線投資 - 高風險 / 高回報
 Combination of Moderate to High Return 適度至高回報組合

33. Investment Knowledge 投資知識

- None 缺乏 Fair 一般 Good 良好 Extensive 豐富

34. Investment Experience 投資經驗

- None 缺乏 Fair 一般 Good 良好 Extensive 豐富

35. Type of Investments You Have
閣下擁有的投資類別

(Please ✓ all applicable 可選擇多項)

- | | |
|--|---|
| <input type="checkbox"/> Equity 股票 | <input type="checkbox"/> Equity Warrants 認股證 |
| <input type="checkbox"/> Equity Options 股票期權 | <input type="checkbox"/> Foreign Exchange 外匯 |
| <input type="checkbox"/> Foreign Exchange Options 外匯期權 | <input type="checkbox"/> Corporate Bonds 公司債券 |
| <input type="checkbox"/> Government Bonds 政府債券 | <input type="checkbox"/> Mutual Funds 互惠基金 |
| <input type="checkbox"/> Index Options 指數期權 | <input type="checkbox"/> Futures 期貨 |

36. Annual Income (HKD)

每年入息 (以港元為單位)

- Below \$200,000 以下 \$200,000 - \$399,999 \$400,000 - \$789,999
 \$790,000 - \$3,949,999 \$3,950,000 or above 或以上

37. Liquid Net Worth (HKD)

流動資產淨值 (以港元為單位)

- Below \$500,000 以下 \$500,000 - \$999,999
 \$1,000,000 - \$1,999,999 \$2,000,000 - \$3,999,999
 \$4,000,000 - \$7,999,999 \$8,000,000 or above 或以上*

* If selected, BOOM may send you information regarding offers of investments exclusive for Professional Investors. 如選擇此項, BOOM 會發給閣下一些僅供「專業投資者」享用的投資產品資料。

38. Source of Funds / Wealth
資金 / 財富來源

(Please ✓ all applicable 可選擇多項)

- | | |
|---|---|
| <input type="checkbox"/> Salary / Income / Bonus 薪金 / 收入 / 花紅 | <input type="checkbox"/> Investment Earnings / Income 投資收益 / 收入 |
| <input type="checkbox"/> Business Profits / Income 生意營利 / 收入 | <input type="checkbox"/> Part-time / Freelance Income 兼職 / 自由工作 |
| <input type="checkbox"/> Sales of Property 出售物業 | <input type="checkbox"/> Rental Income 租金收入 |
| <input type="checkbox"/> Savings / Interests 儲蓄 / 利息收入 | <input type="checkbox"/> Retirement Funds / Pension 退休金 |
| <input type="checkbox"/> Family Allowance / Supports 家人財務資助 | <input type="checkbox"/> Others, please specify 其他, 請列明 _____ |
| <input type="checkbox"/> Inheritance / Gifts 遺產 / 禮物 | |

39. Countr(ies) of Sources of Funds / Wealth
資金 / 財富來源地

40. Purpose of Opening a BOOM Account
開設 BOOM 帳戶的目的

41. Anticipated Level of Trading Activity in the BOOM account
估計將會在 BOOM 帳戶進行的交易頻率

Number of Trades 交易次數	<input style="width: 80%;" type="text"/>	per annum 按年度	Volume of Transactions (HKD) 交易金額 (以港元為單位)	<input style="width: 80%;" type="text"/>	per annum 按年度
--------------------------	--	------------------	---	--	------------------

Related Account(s) & Person(s) 關聯帳戶及人物

42. Are you a relative of any BOOM employee or Director?

閣下是否與 BOOM 之僱員 / 董事有任何關係?

No 否 Yes, please specify. 是, 請列明。

Surname 姓氏	First & Middle Name 名稱
---------------	---------------------------

Self 本人
 Spouse 配偶
 Family Member, please specify:
 家庭成員, 請列明: _____

Close associate, please specify:
 關係密切的人, 請列明: _____

Are you a relative of any BOOM employee or Director?

閣下是否與 BOOM 之僱員 / 董事有任何關係?

No 否 Yes, please specify. 是, 請列明。

Surname 姓氏	First & Middle Name 名稱
---------------	---------------------------

Self 本人
 Spouse 配偶
 Family Member, please specify:
 家庭成員, 請列明: _____

Close associate, please specify:
 關係密切的人, 請列明: _____

43. Does your spouse currently maintain any account with BOOM?

閣下的配偶目前是否持有 BOOM 帳戶?

No 否 Yes, please specify. 是, 請列明。

Surname (English) 英文姓氏	First & Middle Name (English) 英文名稱
---------------------------	---------------------------------------

BOOM Account Number
BOOM 帳戶號碼

Does your spouse currently maintain any account with BOOM?

閣下的配偶目前是否持有 BOOM 帳戶?

No 否 Yes, please specify. 是, 請列明。

Surname (English) 英文姓氏	First & Middle Name (English) 英文名稱
---------------------------	---------------------------------------

BOOM Account Number
BOOM 帳戶號碼

44. Are you a shareholder and/or beneficial owner of a company that maintains an account with BOOM?

閣下是否身為在 BOOM 持有帳戶的公司的個人股東及/或實益擁有人?

No 否 Yes, please specify. 是, 請列明。

Company Name (English)
公司英文名稱

BOOM Account Number
BOOM 帳戶號碼

Do you control, either alone or with your spouse, 35% of more voting rights of this Company?
 閣下是否持有 (無論是個人擁有或與配偶共同擁有) 該公司超過 35% 的投票權?
 No 否 Yes 是

Are you a shareholder and/or beneficial owner of a company that maintains an account with BOOM?

閣下是否身為在 BOOM 持有帳戶的公司的個人股東及/或實益擁有人?

No 否 Yes, please specify. 是, 請列明。

Company Name (English)
公司英文名稱

BOOM Account Number
BOOM 帳戶號碼

Do you control, either alone or with your spouse, 35% of more voting rights of this Company?
 閣下是否持有 (無論是個人擁有或與配偶共同擁有) 該公司超過 35% 的投票權?
 No 否 Yes 是

45. Your relationship with the Second Applicant (Please ✓ one)

閣下與第二申請人的關係 (請選擇一項)

(Applicable if applying a Joint Account 如申請開設聯名帳戶適用)

Spouse 配偶
 Family Member, please specify:
 家庭成員, 請列明: _____
 Close associate, please specify:
 關係密切的人, 請列明: _____

Related Account(s) & Person(s) (cont'd) 關聯帳戶及人物 (續)

46. Are you and/or your family member(s) current or former PEP, or close associate of PEP?

閣下或家庭成員是否現任或前任政治人物，或與政治人物關係密切？

<input type="checkbox"/> No 否	<input type="checkbox"/> Yes, please specify. 是，請列明。
i) Name of the PEP 政治人物名稱	
Place and position entrusted with 地方及所擔任的職銜	
Period of the position entrusted with 政治人物擔任該職銜的年期	
Any expected receipts of large sum of money from governmental bodies or state-owned entities? 任何預期政府機構或國有機構給予的大筆資金收入？	
<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	
Relationship with you 與閣下之關係	
<input type="checkbox"/> Self 本人 <input type="checkbox"/> Spouse 配偶 <input type="checkbox"/> Family Member, please specify: 家庭成員，請列明： <hr/> <input type="checkbox"/> Close associate, please specify: 關係密切的人，請列明： <hr/>	
ii) Name of the PEP 政治人物名稱	
Place and position entrusted with 地方及所擔任的職銜	
Period of the position entrusted with 政治人物擔任該職銜的年期	
Any expected receipts of large sum of money from governmental bodies or state-owned entities? 任何預期政府機構或國有機構給予的大筆資金收入？	
<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	
Relationship with you 與閣下之關係	
<input type="checkbox"/> Self 本人 <input type="checkbox"/> Spouse 配偶 <input type="checkbox"/> Family Member, please specify: 家庭成員，請列明： <hr/> <input type="checkbox"/> Close associate, please specify: 關係密切的人，請列明： <hr/>	

Are you and/or your family member(s) current or former PEP, or close associate of PEP?

閣下或家庭成員是否現任或前任政治人物，或與政治人物關係密切？

<input type="checkbox"/> No 否	<input type="checkbox"/> Yes, please specify. 是，請列明。
i) Name of the PEP 政治人物名稱	
Place and position entrusted with 地方及所擔任的職銜	
Period of the position entrusted with 政治人物擔任該職銜的年期	
Any expected receipts of large sum of money from governmental bodies or state-owned entities? 任何預期政府機構或國有機構給予的大筆資金收入？	
<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	
Relationship with you 與閣下之關係	
<input type="checkbox"/> Self 本人 <input type="checkbox"/> Spouse 配偶 <input type="checkbox"/> Family Member, please specify: 家庭成員，請列明： <hr/> <input type="checkbox"/> Close associate, please specify: 關係密切的人，請列明： <hr/>	
ii) Name of the PEP 政治人物名稱	
Place and position entrusted with 地方及所擔任的職銜	
Period of the position entrusted with 政治人物擔任該職銜的年期	
Any expected receipts of large sum of money from governmental bodies or state-owned entities? 任何預期政府機構或國有機構給予的大筆資金收入？	
<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	
Relationship with you 與閣下之關係	
<input type="checkbox"/> Self 本人 <input type="checkbox"/> Spouse 配偶 <input type="checkbox"/> Family Member, please specify: 家庭成員，請列明： <hr/> <input type="checkbox"/> Close associate, please specify: 關係密切的人，請列明： <hr/>	

Remarks to Part 42, 45 and 46: 第 42、45 及 46 項註釋：
"Family member" includes a parent, child, spouse, sibling and parent-in-law.
 「家庭成員」是指父母、子女、配偶、兄弟姐妹、岳父母。

"Close associate" means a person who is closely connected to the Applicant, either socially or professionally. Examples include partners outside the family unit (e.g. girlfriends, boyfriends, mistresses); prominent members of the same political party, civil organization, labour union as the Applicant; business partners or associates, especially those that share ownership of legal entities with the Applicant, or who are otherwise connected (e.g. through joint membership of a company board). In the case of personal relationships, the social, economic and cultural context may also play a role in determining how close those relationships generally are.

「關係密切的人」是指與申請人有密切聯繫的人，無論是在社交上還是在職業關係上。例子包括家庭以外的伴侶（如女朋友、男朋友、情婦）；與申請人為同一政黨、民間組織、工會的重要成員；商業夥伴或關聯人，特別是那些與申請人同擁有法人實體的股權，或以其他方式關聯（例如公司董事會上的聯合成員）。就個人關係而言，社會、經濟和文化背景也可能影響關係的密切程度。

Remarks to Part 46: 第 46 項註釋：

Politically Exposed Person ("PEP") means a person currently or was formerly entrusted with a prominent public function in any country/region. This includes currently serving as or was formerly:

- (1) head of state, head of government, senior civil or public servant (including head of any statutory board; and chairman or CEO of any government body), senior judicial or military official, senior executive of state-owned enterprises, member of the legislature, and senior political party official; or
- (2) a senior management of an "International Organization". This includes directors, deputy directors and members of the board or equivalent functions of entities established by formal political agreements between member countries that have the status of international treaties and whose existence are recognized by law in member countries. Examples of such entities include the United Nations, World Bank, and affiliated agencies such as the International Monetary Fund; regional international organizations such as the Asian Development Bank, institutions of the European Union, the Organization for Security and Cooperation in Europe; military international organizations; and economic organizations such as the World Trade Organization or the Asia-Pacific Economic Cooperation Secretariat.

政治聯繫人物 (Politically Exposed Person or PEP) 是指目前或以前於任何國家/地區擔任顯著的公共職能的人士。這包括當前仍擔任或曾擔任：

- (1) 國家元首、政府首長、高級公務員（包括任何法定委員會主席；以及任何政府機構的主席或行政總裁）、高級司法或軍事官員、國有企業高管、立法機關成員、及重要政黨幹事；或
- (2) 「國際組織」的高級管理層，這包括具有國際條約地位和法律認可的成員國之間，且根據正式政治協定設立的機構的董事、副董事和董事會成員或同等職能。這些機構的例子包括聯合國、世界銀行和國際貨幣基金組織等附屬機構；亞洲開發銀行、歐洲聯盟機構、歐洲安全與合作組織等區域性國際組織；軍事國際組織；以及世界貿易組織或亞太經濟合作秘書處等經濟組織。

Personal Identity Declaration 個人身分聲明

47. Acknowledgement regarding accuracy of information provided 關於提供準確資料的確認

- I/We declare that all the information provided in this form is, to the best of my/our knowledge and belief, accurate and complete.
本人 / 吾等聲明盡本人 / 吾等所知及所信，本表格所提供的資料均為準確及完整。

48. Acknowledgement regarding use of information provided 關於使用所提供資料的確認

- I/We acknowledge and understand that the information contained in this form,
本人 / 吾等確認及明白本表格所載的資料，
- in particularly my/our identity information under the section "Personal Information" and the Broker-to-Client Assigned Number ("BCAN") that will be assigned to me/us will be submitted to SEHK as required under the Hong Kong Investor Identification Regime ("HKIDR"); and 尤其在「個人資料」一欄下所載本人 / 吾等的身份認證資料及本人 / 吾等將會被編派的「券商客戶編碼」(「BCAN」)，將會按香港投資者識別碼制度的規定提交至聯交所；及
 - any reportable account(s) under the section "Identity and Tax Residence Declaration" may be reported to the tax authorities of the country in which this account is/are maintained and exchanged with tax authorities of another country/jurisdiction in which I/We may be a tax resident pursuant to intergovernmental agreements to exchange financial account information.
任何在「個人身份及稅務居民身分聲明」一欄下所申報帳戶的資料，可能會根據關於與帳戶所在國家交換財務帳戶資訊之政府間協議申報予本人 / 吾等所在國家 / 司法管轄區的稅務機關，並與另一個國家 / 司法管轄區或若干國家司法管轄區稅務機關交換。

I/We agree that any personal information collected from me/us under this form may be used, transferred and retained in the manner and for purposes set out in the "Personal Data Privacy Supplement" attached to the Securities Client Agreement and the Futures Client Agreement (if applicable) between me/us and Boom Securities (H.K.) Limited ("BOOM"), as amended from time to time, or otherwise attached hereto (as applicable).

本人 / 吾等同意本表格所載由本人 / 吾等收集的任何個人資料，可按照本人 / 吾等與寶盛證券(香港)有限公司(「BOOM」)簽訂的「證券客戶協議」及「期貨客戶協議」(如適用)內「個人資料私隱附件」現時有效及不時修改的條文或本表格隨附的其他聲明(如適用)所載的方式及為該聲明所載的目的而使用、轉交及保存或其他用途。

49. Update of information 同意適時更新資料

- I/We undertake to advise BOOM and provide an updated self-certification form within 30 days of the occurrence of any change in circumstance which causes any of the information contained under the section "Personal Information" and/or "Identity and Tax Residence Declaration" to be incorrect or incomplete.
本人 / 吾等承諾在任何可導致「個人資料」及 / 或「個人身份及稅務居民身分聲明」一欄下所載資料失實或不完整的情況變動發生後 30 日內通知 BOOM，以及提供最新的自行證明書。

First Applicant (Individual / Joint Account) 第一申請人(個人 / 聯名帳戶)

Signature 簽署

Date 日期 (YYYY/MM/DD 年/月/日)

Second Applicant (Joint Account) 第二申請人(聯名帳戶)

Signature 簽署

Date 日期 (YYYY/MM/DD 年/月/日)

Important Terminologies to the section "Personal Identity Declaration"
有關「個人身份聲明」一欄的重要用語

About "Hong Kong Investor ID"

有關香港投資者識別碼

Under the Hong Kong Investor Identification Regime ("HKIDR"), each client is assigned with a unique number (i.e. the Broker-to-Client Assigned Number, or "BCAN"), which will be tagged to the client's securities orders on the Stock Exchange of Hong Kong (SEHK) or off-exchange trades reportable to SEHK.
在香港投資者識別碼制度下，每位客戶會被編派一個唯一的數字編碼(即「券商客戶編碼」或「BCAN」)。而每個在香港聯合交易所(「聯交所」)進行的交易指令或向聯交所作出匯報的非自動對盤交易，均須附上相關的券商客戶編碼。

Tax Residence

「稅務居民身分」

Under the CRS, we are required to determine where you are 'tax resident' (this will usually be where you are liable to pay income taxes). If your tax residence is outside Hong Kong (where your BOOM account is held), we may need to give the respective tax authorities the information in this information, along with information relating to your accounts.

根據共同匯報標準，我們須要確定閣下的納稅居住地(這通常是閣下須要繳納入息稅的地方)。若閣下的稅務居民身分地在香港(持有 BOOM 帳戶的地方)以外，我們可能須要向相關稅務機關提供本表格的信息以及與閣下帳戶相關的信息。

Joint Account Declaration 聯名帳戶聲明 (For Joint Account Application Only)

(只適用於聯名帳戶)

Each of the joint account holders specified is authorized to give verbal instructions and/or instructions to BOOM in relation to the purchase or sale of any securities or futures for the Account(s) from time to time. 以下每一位聯名帳戶持有人均有權為帳戶買賣證券或期貨而不時向 BOOM 發出口頭及 / 或一般指示。

50. Signing Arrangement 簽名安排

For validation on any written instructions relating to the operation of the Account(s), each of the applicants hereby agree that:
以下每一位申請人均同意，任何就本聯名帳戶運作之書面指示，

- OR 或
- [A] **Either one** of the account holders sign **singlely** 只須 **其中一位** 聯名帳戶持有人 **單獨簽署**，便為有效。
 - [B] **Both** account holders sign **jointly** 必須由 **兩位** 聯名帳戶持有人 **共同簽署**，方為有效。

51. Ownership by 2 Persons 如帳戶由兩位人士持有

When an account is opened in joint names, each of the applicants hereby declares that the Account(s) is/are held by them as:
以下每一位申請人現聲明，本帳戶是聯名帳戶並附有生者承繼權。本帳戶以：

- OR 或
- [A] **Joint Tenants with Right of Survivorship** 享有生者承繼權的(止於一身的)聯權共有人的形式共同持有
 - [B] **Tenants in Common** (可承繼權的)分權共有人的形式共同持有

Please specify the Percentage:
請列明百分比：

First Applicant
第一申請人

%

Second Applicant
第二申請人

%

52. I/We, the undersigned, have read and fully understood all provisions of Joint Accounts in the Securities Client Agreement and in the Futures Client Agreement (if applicable). I/We accept and agree to be bound by the same in full as it may be amended from time to time.

本人 / 吾等，下述簽署客戶，已閱讀過、完全明白「證券客戶協議」及「期貨客戶協議」(如適用)內的「聯名帳戶」條款。本人 / 吾等接受及同意受該等現時有效及不時修改的條款所約束。

First Applicant (Individual / Joint Account) 第一申請人(個人 / 聯名帳戶)

Signature 簽署

Date 日期 (YYYY/MM/DD 年/月/日)

Second Applicant (Joint Account) 第二申請人(聯名帳戶)

Signature 簽署

Date 日期 (YYYY/MM/DD 年/月/日)

Client Declaration and Signature(s) 客戶聲明及簽署

53. Acknowledgement regarding Risk Disclosure Statement 關於風險披露聲明的確認

For Securities Trading Account Application 申請證券交易帳戶

The Risk Disclosures as set out in the following Clause(s) of the Boom Securities (H.K.) Limited: **Securities Client Agreement (Oct 2024 Edition)** ("the Securities Client Agreement") were provided to me/us in a language of my/our choice (English or Chinese) and I/we was/were invited to read, to ask questions and take independent advice if I/we so wish:

- Clause 25 of the Securities Client Agreement; and
- Clause 10 of Schedule 4: China Connect Service Supplement.

有關寶盛證券(香港)有限公司: **證券客戶協議(二零二四年十月版)**(「證券客戶協議」)內下列條款所列的「風險披露」,本人/吾等已獲提供所選擇語言之文本(英文或中文),並已獲建議閱讀此等「風險披露」,提出問題及在有需要時,徵求獨立意見:

- 「證券客戶協議」內第 25 條;及
- 「附件四:中華通服務附件」內第 10 段。

For Futures Trading Account Application 申請期貨交易帳戶 (If Applicable 如適用)

The Risk Disclosures as set out in the following Clause(s) of the Boom Securities (H.K.) Limited: **Futures Client Agreement (Oct 2024 Edition)** ("the Futures Client Agreement") were provided to me/us in a language of my/our choice (English or Chinese) and I/we was/were invited to read, to ask questions and take independent advice if I/we so wish:

- Clause 26 of the Futures Client Agreement.

有關寶盛證券(香港)有限公司: **期貨客戶協議(二零二四年十月版)**(「期貨客戶協議」)內下列條款所列的「風險披露」,本人/吾等已獲提供所選擇語言之文本(英文或中文),並已獲建議閱讀此等「風險披露」,提出問題及在有需要時,徵求獨立意見:

- 「期貨客戶協議」內第 26 條。

54. Acknowledgement regarding Accuracy of Information provided 關於提供準確資料的確認

- I/We, the undersigned, declare and represent that I/We have examined the information as provided by me/us on this form are true, correct and complete and that the representations made by me/us are accurate. BOOM is entitled to rely fully on such information and representations for all purposes, unless BOOM receives notice in writing of any change.

本人/吾等同意本申請表的資料均屬真實及正確。除非 BOOM 收到任何客戶資料改變的書面通知,BOOM 完全可以依靠這些資料及陳述作任何目的。

55. Acknowledgement regarding Use of Information provided 關於使用所提供資料的確認

- I/We agree that the personal data in relation to any individual(s) provided to BOOM may be used, disclosed and/or transferred by BOOM for such purposes and to such persons in accordance with BOOM's Privacy Policy on BOOM's website. I/We understand that, I/We may arrange to be excluded from any of BOOM's future promotional mailings, at any time and without charges, by giving notification in writing to BOOM.

本人/吾等同意,本申請表內所披露之個人資料,可供 BOOM 進行核對/行政程序,或其他用途根據 BOOM 網站上的個人資料收集聲明。本人/吾等明白,本人/吾等只須致函 BOOM,即可隨時免費選擇不收取 BOOM 以後任何的宣傳郵件。

56. Execution of Agreement(s) 同意受協議條款所約束

For Securities Trading Account Application 申請證券交易帳戶

I/We, the undersigned, have read and fully understood the attached provisions of the **Securities Client Agreement**, which have been provided to me/us in a language of my/our choice (English or Chinese). I/We accept and agree to be bound by the Securities Client Agreement in full as it may be amended from time to time.

本人/吾等,下述簽署客戶,已閱讀過及完全明白附上的、由本人/吾等所選擇語言之文本(英文或中文)的「證券客戶協議」之條款。本人/吾等接受及同意受該「證券客戶協議」現時有效及不時修改的條款所約束。

For Futures Trading Account Application 申請期貨交易帳戶 (If Applicable 如適用)

I/We, the undersigned, have read and fully understood the attached provisions of the **Futures Client Agreement**, which have been provided to me/us in a language of my/our choice (English or Chinese). I/We accept and agree to be bound by the Futures Client Agreement in full as it may be amended from time to time.

本人/吾等,下述簽署客戶,已閱讀過及完全明白附上的、由本人/吾等所選擇語言之文本(英文或中文)的「期貨客戶協議」之條款。本人/吾等接受及同意受該「期貨客戶協議」現時有效及不時修改的條款所約束。

First Applicant (Individual / Joint Account) 第一申請人(個人/聯名帳戶)

Signature 簽署

Date 日期 (YYYY/MM/DD 年/月/日)

Second Applicant (Joint Account) 第二申請人(聯名帳戶)

Signature 簽署

Date 日期 (YYYY/MM/DD 年/月/日)

57. Witness' Signature 見證人的簽署

(Witness signature is required if personal cheque(s) are NOT attached. (See Part 23)
(如沒有提供個人支票作核實身分之用途,便須安排見證人簽署)(見第 23 項)

Name of Witness 見證人姓名

Occupation of Witness 見證人職業

Witness' Signature* 見證人簽署*

Date 日期

* Acceptable witness can be a BOOM employee, a SFC licensed or registered person, a Justice of Peace, or a professional person (such as a branch manager of a licensed bank, lawyer, certified public accountant (practicing), chartered secretary or notary public).

認可的見證人包括 BOOM 僱員、證監會持牌或註冊人士、太平紳士、專業人士(如持牌銀行分行經理、律師、執業會計師、特許秘書、公證人等)。

The witness also needs to sign and state "Certified True Copy" on your official ID / passport cop(ies).
見證人另須於申請人及實益擁有人(如適用)的身份證明文件副本上簽名並寫上「經核證之真實副本」。

Declaration by Staff 職員聲明 (A Licensed or Registered Person) (已登記及註冊人士)

For Securities Trading Account Application 證券交易帳戶的申請

I, the undersigned, confirm that the **Risk Disclosures** as set out in Clause 25 and Clause 10 of Schedule 4 of the **Securities Client Agreement** have been provided to the client in a language of one's choice (English and Chinese), and the client was invited to read and ask questions and to take independent advice, if the client so wishes.

本人，下述簽署註冊人士，確認已將申請人所選擇語言之文本（英文或中文）的「證券客戶協議」內第 25 條及附件四第 10 段所列的「風險披露」提供予申請人。並建議申請人閱讀上述「風險披露」，提出問題及在有需要時，徵求獨立意見。

For Futures Trading Account Application 申請期貨交易帳戶 (If Applicable 如適用)

I, the undersigned, confirm that the **Risk Disclosures** as set out in Clause 26 of the **Futures Client Agreement** have been provided to the client in a language of one's choice (English and Chinese), and the client was invited to read and ask questions and to take independent advice, if the client so wishes.

本人，下述簽署註冊人士，確認已將申請人所選擇語言之文本（英文或中文）的「期貨客戶協議」內第 26 條所列的「風險披露」提供予申請人。並建議申請人閱讀上述「風險披露」，提出問題及在有需要時，徵求獨立意見。

Name of Staff 職員姓名 <small>(Use block letters 請以正楷填寫)</small>	Signature of Staff 職員簽署	CE No. CE 編號 <small>(Use block letters 請以正楷填寫)</small>	Date 日期 <small>(YYYY/MM/DD 年/月/日)</small>
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Applicant(s)' Checklist 申請人覆核文件

Before submitting this application, please
在遞交此申請表前，請

1. Complete and sign **ALL** the sections in this application form
填寫及簽署本開戶表格 **所有** 部份

Attach the following documents 附上以下文件：(* If applicable 如適用)

2. **Official ID Copy** (Proof of citizenship; issued by government body bearing the holder's photo)
身份證明文件副本 (作為國籍及個人身份之證明；由官方機構發出並附有持證人的照片)
(See Part 8) (見第 8 項)

3. **Proof of Address** (Copy of utility bills, bank statements, etc. that was issued within 3 months)
住址證明 (最近三個月內發出的住址證明副本一份，如電費單或銀行月結單等)
(See Part 13) (見第 13 項)

4. **Employer Consent Letter** * (See Part 16)
僱主的書面同意書 * (見第 16 項)

5. **Related Tax Residency Form** * (See Part 22)
相關稅務居民表格 * (見第 22 項)

6. **Signature and Identity Verification** (See Part 23)
核實您的簽署及身份 (見第 23 項)

First Applicant 第一申請人 <small>(Individual / Joint Account 個人 / 聯名帳戶)</small>	Second Applicant 第二申請人 <small>(Joint Account 聯名帳戶)</small>
<input type="checkbox"/> Completed & Signed 已填寫及簽署	<input type="checkbox"/> Completed & Signed 已填寫及簽署
<input type="checkbox"/> Attached 已附上	<input type="checkbox"/> Attached 已附上
<input type="checkbox"/> Certified by Witness* (See Part 57) 已由見證人核證* (見第 57 項)	<input type="checkbox"/> Certified by Witness* (See Part 57) 已由見證人核證* (見第 57 項)
<input type="checkbox"/> Attached 已附上	<input type="checkbox"/> Attached 已附上
<input type="checkbox"/> Attached 已附上	<input type="checkbox"/> Attached 已附上
<input type="checkbox"/> Form W-9 (applicable to U.S. taxpayer) 表格 W-9 (適用於美國納稅人)	<input type="checkbox"/> Form W-9 (applicable to U.S. taxpayer) 表格 W-9 (適用於美國納稅人)
OR 或 <input type="checkbox"/> Attached cheque 已附上個人支票 <input type="checkbox"/> Witness signed at Part 57 見證人已在第 57 項簽署	OR 或 <input type="checkbox"/> Attached cheque 已附上個人支票 <input type="checkbox"/> Witness signed at Part 57 見證人已在第 57 項簽署

For Official Use Only 只供本行使用

Apply Ref. 申請表編號	BOOM A/C No. BOOM 帳戶號碼	Futures A/C No. 期貨帳戶號碼
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Documents Handled and Checked by 處理及覆核文件			
Document Check List 文件查核列：	First Applicant 第一申請人	Second Applicant 第二申請人	Remarks 備註：
1. Official ID 身份證明文件	<input type="checkbox"/> Obtained 取得	<input type="checkbox"/> Obtained 取得	
2. Address Proof 住址證明	<input type="checkbox"/> Obtained 取得	<input type="checkbox"/> Obtained 取得	
3. Consent Letter 同意書	<input type="checkbox"/> Obtained 取得 (if applicable 如適用)	<input type="checkbox"/> Obtained 取得 (if applicable 如適用)	
4. Tax Resident Form 稅務居民表格	<input type="checkbox"/> Obtained 取得 (if applicable 如適用)	<input type="checkbox"/> Obtained 取得 (if applicable 如適用)	
5. Personal Cheque 個人支票	<input type="checkbox"/> Obtained 取得 (if applicable 如適用)	<input type="checkbox"/> Obtained 取得 (if applicable 如適用)	
<input type="checkbox"/> Required information and documents are obtained and checked 已收到及已核對開戶需要資料及文件	<input type="checkbox"/> Securities Client Agreement (& Futures Client Agreement, if app.) have been sent to the Client 已將「證券客戶協議」(及「期貨客戶協議」, 如適用) 交予客戶		
Name of Handling Staff 負責職員姓名 <small>(Use block letters 請以正楷填寫)</small>	Signature of Handling Staff 負責職員簽署		Date 日期 <small>(YYYY/MM/DD 年/月/日)</small>

Reviewed by 核對資料 Functional Head (Securities) 部門主管 (證券) <hr/> Name 姓名 <small>(Use block letters 請以正楷填寫)</small> <hr/> Signature 簽署 <small>Date 日期 (YYYY/MM/DD 年/月/日)</small>	Functional Head (Futures) 部門主管 (期貨) <hr/> Name 姓名 <small>(Use block letters 請以正楷填寫)</small> <hr/> Signature 簽署 <small>Date 日期 (YYYY/MM/DD 年/月/日)</small>	System Setup by 設定系統 Handling Staff 負責職員 <hr/> Name 姓名 <small>(Use block letters 請以正楷填寫)</small> <hr/> Signature 簽署 <small>Date 日期 (YYYY/MM/DD 年/月/日)</small>
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Request for Taxpayer Identification Number and Certification

Go to www.irs.gov/FormW9 for instructions and the latest information.

Give form to the requester. Do not send to the IRS.

Before you begin. For guidance related to the purpose of Form W-9, see *Purpose of Form*, below.

Print or type. See Specific Instructions on page 3.	1 Name of entity/individual. An entry is required. (For a sole proprietor or disregarded entity, enter the owner's name on line 1, and enter the business/disregarded entity's name on line 2.)	
	2 Business name/disregarded entity name, if different from above.	
	3a Check the appropriate box for federal tax classification of the entity/individual whose name is entered on line 1. Check only one of the following seven boxes.	
	<input type="checkbox"/> Individual/sole proprietor <input type="checkbox"/> C corporation <input type="checkbox"/> S corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate <input type="checkbox"/> LLC. Enter the tax classification (C = C corporation, S = S corporation, P = Partnership) _____ Note: Check the "LLC" box above and, in the entry space, enter the appropriate code (C, S, or P) for the tax classification of the LLC, unless it is a disregarded entity. A disregarded entity should instead check the appropriate box for the tax classification of its owner. <input type="checkbox"/> Other (see instructions) _____	
	3b If on line 3a you checked "Partnership" or "Trust/estate," or checked "LLC" and entered "P" as its tax classification, and you are providing this form to a partnership, trust, or estate in which you have an ownership interest, check this box if you have any foreign partners, owners, or beneficiaries. See instructions <input type="checkbox"/>	
	4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):	Exempt payee code (if any) _____
	Exemption from Foreign Account Tax Compliance Act (FATCA) reporting code (if any) _____ <i>(Applies to accounts maintained outside the United States.)</i>	
5 Address (number, street, and apt. or suite no.). See instructions.	Requester's name and address (optional)	
6 City, state, and ZIP code		
7 List account number(s) here (optional)		

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN*, later.

Social security number									
				-			-		
or									
Employer identification number									
				-					

Note: If the account is in more than one name, see the instructions for line 1. See also *What Name and Number To Give the Requester* for guidelines on whose number to enter.

Part II Certification

Under penalties of perjury, I certify that:

- The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
- I am not subject to backup withholding because (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
- I am a U.S. citizen or other U.S. person (defined below); and
- The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and, generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions for Part II, later.

Sign Here	Signature of U.S. person	Date
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General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

Future developments. For the latest information about developments related to Form W-9 and its instructions, such as legislation enacted after they were published, go to www.irs.gov/FormW9.

What's New

Line 3a has been modified to clarify how a disregarded entity completes this line. An LLC that is a disregarded entity should check the appropriate box for the tax classification of its owner. Otherwise, it should check the "LLC" box and enter its appropriate tax classification.

New line 3b has been added to this form. A flow-through entity is required to complete this line to indicate that it has direct or indirect foreign partners, owners, or beneficiaries when it provides the Form W-9 to another flow-through entity in which it has an ownership interest. This change is intended to provide a flow-through entity with information regarding the status of its indirect foreign partners, owners, or beneficiaries, so that it can satisfy any applicable reporting requirements. For example, a partnership that has any indirect foreign partners may be required to complete Schedules K-2 and K-3. See the Partnership Instructions for Schedules K-2 and K-3 (Form 1065).

Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS is giving you this form because they

must obtain your correct taxpayer identification number (TIN), which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following.

- Form 1099-INT (interest earned or paid).
- Form 1099-DIV (dividends, including those from stocks or mutual funds).
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds).
- Form 1099-NEC (nonemployee compensation).
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers).
- Form 1099-S (proceeds from real estate transactions).
- Form 1099-K (merchant card and third-party network transactions).
- Form 1098 (home mortgage interest), 1098-E (student loan interest), and 1098-T (tuition).
- Form 1099-C (canceled debt).
- Form 1099-A (acquisition or abandonment of secured property).

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

Caution: If you don't return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See *What is backup withholding*, later.

By signing the filled-out form, you:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued);
2. Certify that you are not subject to backup withholding; or
3. Claim exemption from backup withholding if you are a U.S. exempt payee; and
4. Certify to your non-foreign status for purposes of withholding under chapter 3 or 4 of the Code (if applicable); and
5. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting is correct. See *What Is FATCA Reporting*, later, for further information.

Note: If you are a U.S. person and a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

Definition of a U.S. person. For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien;
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States;
- An estate (other than a foreign estate); or
- A domestic trust (as defined in Regulations section 301.7701-7).

Establishing U.S. status for purposes of chapter 3 and chapter 4 withholding. Payments made to foreign persons, including certain distributions, allocations of income, or transfers of sales proceeds, may be subject to withholding under chapter 3 or chapter 4 of the Code (sections 1441–1474). Under those rules, if a Form W-9 or other certification of non-foreign status has not been received, a withholding agent, transferee, or partnership (payor) generally applies presumption rules that may require the payor to withhold applicable tax from the recipient, owner, transferor, or partner (payee). See Pub. 515, *Withholding of Tax on Nonresident Aliens and Foreign Entities*.

The following persons must provide Form W-9 to the payor for purposes of establishing its non-foreign status.

- In the case of a disregarded entity with a U.S. owner, the U.S. owner of the disregarded entity and not the disregarded entity.
- In the case of a grantor trust with a U.S. grantor or other U.S. owner, generally, the U.S. grantor or other U.S. owner of the grantor trust and not the grantor trust.
- In the case of a U.S. trust (other than a grantor trust), the U.S. trust and not the beneficiaries of the trust.

See Pub. 515 for more information on providing a Form W-9 or a certification of non-foreign status to avoid withholding.

Foreign person. If you are a foreign person or the U.S. branch of a foreign bank that has elected to be treated as a U.S. person (under Regulations section 1.1441-1(b)(2)(iv) or other applicable section for chapter 3 or 4 purposes), do not use Form W-9. Instead, use the appropriate Form W-8 or Form 8233 (see Pub. 515). If you are a qualified foreign pension fund under Regulations section 1.897(l)-1(d), or a partnership that is wholly owned by qualified foreign pension funds, that is treated as a non-foreign person for purposes of section 1445 withholding, do not use Form W-9. Instead, use Form W-8EXP (or other certification of non-foreign status).

Nonresident alien who becomes a resident alien. Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a saving clause. Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the payee has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement to Form W-9 that specifies the following five items.

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.
2. The treaty article addressing the income.
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.
4. The type and amount of income that qualifies for the exemption from tax.
5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

Example. Article 20 of the U.S.-China income tax treaty allows an exemption from tax for scholarship income received by a Chinese student temporarily present in the United States. Under U.S. law, this student will become a resident alien for tax purposes if their stay in the United States exceeds 5 calendar years. However, paragraph 2 of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first Protocol) and is relying on this exception to claim an exemption from tax on their scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

If you are a nonresident alien or a foreign entity, give the requester the appropriate completed Form W-8 or Form 8233.

Backup Withholding

What is backup withholding? Persons making certain payments to you must under certain conditions withhold and pay to the IRS 24% of such payments. This is called "backup withholding." Payments that may be subject to backup withholding include, but are not limited to, interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, payments made in settlement of payment card and third-party network transactions, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

Payments you receive will be subject to backup withholding if:

1. You do not furnish your TIN to the requester;
2. You do not certify your TIN when required (see the instructions for Part II for details);
3. The IRS tells the requester that you furnished an incorrect TIN;
4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only); or
5. You do not certify to the requester that you are not subject to backup withholding, as described in item 4 under "*By signing the filled-out form*" above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See *Exempt payee code*, later, and the separate Instructions for the Requester of Form W-9 for more information.

See also *Establishing U.S. status for purposes of chapter 3 and chapter 4 withholding*, earlier.

What Is FATCA Reporting?

The Foreign Account Tax Compliance Act (FATCA) requires a participating foreign financial institution to report all U.S. account holders that are specified U.S. persons. Certain payees are exempt from FATCA reporting. See *Exemption from FATCA reporting code*, later, and the Instructions for the Requester of Form W-9 for more information.

Updating Your Information

You must provide updated information to any person to whom you claimed to be an exempt payee if you are no longer an exempt payee and anticipate receiving reportable payments in the future from this person. For example, you may need to provide updated information if you are a C corporation that elects to be an S corporation, or if you are no longer tax exempt. In addition, you must furnish a new Form W-9 if the name or TIN changes for the account, for example, if the grantor of a grantor trust dies.

Penalties

Failure to furnish TIN. If you fail to furnish your correct TIN to a requester, you are subject to a penalty of \$50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

Civil penalty for false information with respect to withholding. If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a \$500 penalty.

Criminal penalty for falsifying information. Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

Misuse of TINs. If the requester discloses or uses TINs in violation of federal law, the requester may be subject to civil and criminal penalties.

Specific Instructions

Line 1

You must enter one of the following on this line; **do not** leave this line blank. The name should match the name on your tax return.

If this Form W-9 is for a joint account (other than an account maintained by a foreign financial institution (FFI)), list first, and then circle, the name of the person or entity whose number you entered in Part I of Form W-9. If you are providing Form W-9 to an FFI to document a joint account, each holder of the account that is a U.S. person must provide a Form W-9.

- **Individual.** Generally, enter the name shown on your tax return. If you have changed your last name without informing the Social Security Administration (SSA) of the name change, enter your first name, the last name as shown on your social security card, and your new last name.

Note for ITIN applicant: Enter your individual name as it was entered on your Form W-7 application, line 1a. This should also be the same as the name you entered on the Form 1040 you filed with your application.

- **Sole proprietor.** Enter your individual name as shown on your Form 1040 on line 1. Enter your business, trade, or “doing business as” (DBA) name on line 2.

- **Partnership, C corporation, S corporation, or LLC, other than a disregarded entity.** Enter the entity’s name as shown on the entity’s tax return on line 1 and any business, trade, or DBA name on line 2.

- **Other entities.** Enter your name as shown on required U.S. federal tax documents on line 1. This name should match the name shown on the charter or other legal document creating the entity. Enter any business, trade, or DBA name on line 2.

- **Disregarded entity.** In general, a business entity that has a single owner, including an LLC, and is not a corporation, is disregarded as an entity separate from its owner (a disregarded entity). See Regulations section 301.7701-2(c)(2). A disregarded entity should check the appropriate box for the tax classification of its owner. Enter the owner’s name on line 1. The name of the owner entered on line 1 should never be a disregarded entity. The name on line 1 should be the name shown on the income tax return on which the income should be reported. For

example, if a foreign LLC that is treated as a disregarded entity for U.S. federal tax purposes has a single owner that is a U.S. person, the U.S. owner’s name is required to be provided on line 1. If the direct owner of the entity is also a disregarded entity, enter the first owner that is not disregarded for federal tax purposes. Enter the disregarded entity’s name on line 2. If the owner of the disregarded entity is a foreign person, the owner must complete an appropriate Form W-8 instead of a Form W-9. This is the case even if the foreign person has a U.S. TIN.

Line 2

If you have a business name, trade name, DBA name, or disregarded entity name, enter it on line 2.

Line 3a

Check the appropriate box on line 3a for the U.S. federal tax classification of the person whose name is entered on line 1. Check only one box on line 3a.

IF the entity/individual on line 1 is a(n) . . .	THEN check the box for . . .
• Corporation	Corporation.
• Individual or • Sole proprietorship	Individual/sole proprietor.
• LLC classified as a partnership for U.S. federal tax purposes or • LLC that has filed Form 8832 or 2553 electing to be taxed as a corporation	Limited liability company and enter the appropriate tax classification: P = Partnership, C = C corporation, or S = S corporation.
• Partnership	Partnership.
• Trust/estate	Trust/estate.

Line 3b

Check this box if you are a partnership (including an LLC classified as a partnership for U.S. federal tax purposes), trust, or estate that has any foreign partners, owners, or beneficiaries, and you are providing this form to a partnership, trust, or estate, in which you have an ownership interest. You must check the box on line 3b if you receive a Form W-8 (or documentary evidence) from any partner, owner, or beneficiary establishing foreign status or if you receive a Form W-9 from any partner, owner, or beneficiary that has checked the box on line 3b.

Note: A partnership that provides a Form W-9 and checks box 3b may be required to complete Schedules K-2 and K-3 (Form 1065). For more information, see the Partnership Instructions for Schedules K-2 and K-3 (Form 1065).

If you are required to complete line 3b but fail to do so, you may not receive the information necessary to file a correct information return with the IRS or furnish a correct payee statement to your partners or beneficiaries. See, for example, sections 6698, 6722, and 6724 for penalties that may apply.

Line 4 Exemptions

If you are exempt from backup withholding and/or FATCA reporting, enter in the appropriate space on line 4 any code(s) that may apply to you.

Exempt payee code.

- Generally, individuals (including sole proprietors) are not exempt from backup withholding.
- Except as provided below, corporations are exempt from backup withholding for certain payments, including interest and dividends.
- Corporations are not exempt from backup withholding for payments made in settlement of payment card or third-party network transactions.
- Corporations are not exempt from backup withholding with respect to attorneys’ fees or gross proceeds paid to attorneys, and corporations that provide medical or health care services are not exempt with respect to payments reportable on Form 1099-MISC.

The following codes identify payees that are exempt from backup withholding. Enter the appropriate code in the space on line 4.

1—An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2).

- 2—The United States or any of its agencies or instrumentalities.
- 3—A state, the District of Columbia, a U.S. commonwealth or territory, or any of their political subdivisions or instrumentalities.
- 4—A foreign government or any of its political subdivisions, agencies, or instrumentalities.
- 5—A corporation.
- 6—A dealer in securities or commodities required to register in the United States, the District of Columbia, or a U.S. commonwealth or territory.
- 7—A futures commission merchant registered with the Commodity Futures Trading Commission.
- 8—A real estate investment trust.
- 9—An entity registered at all times during the tax year under the Investment Company Act of 1940.
- 10—A common trust fund operated by a bank under section 584(a).
- 11—A financial institution as defined under section 581.
- 12—A middleman known in the investment community as a nominee or custodian.
- 13—A trust exempt from tax under section 664 or described in section 4947.

The following chart shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 13.

IF the payment is for . . .	THEN the payment is exempt for . . .
• Interest and dividend payments	All exempt payees except for 7.
• Broker transactions	Exempt payees 1 through 4 and 6 through 11 and all C corporations. S corporations must not enter an exempt payee code because they are exempt only for sales of noncovered securities acquired prior to 2012.
• Barter exchange transactions and patronage dividends	Exempt payees 1 through 4.
• Payments over \$600 required to be reported and direct sales over \$5,000 ¹	Generally, exempt payees 1 through 5. ²
• Payments made in settlement of payment card or third-party network transactions	Exempt payees 1 through 4.

¹ See Form 1099-MISC, Miscellaneous Information, and its instructions.

² However, the following payments made to a corporation and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees, gross proceeds paid to an attorney reportable under section 6045(f), and payments for services paid by a federal executive agency.

Exemption from FATCA reporting code. The following codes identify payees that are exempt from reporting under FATCA. These codes apply to persons submitting this form for accounts maintained outside of the United States by certain foreign financial institutions. Therefore, if you are only submitting this form for an account you hold in the United States, you may leave this field blank. Consult with the person requesting this form if you are uncertain if the financial institution is subject to these requirements. A requester may indicate that a code is not required by providing you with a Form W-9 with "Not Applicable" (or any similar indication) entered on the line for a FATCA exemption code.

- A—An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37).
- B—The United States or any of its agencies or instrumentalities.
- C—A state, the District of Columbia, a U.S. commonwealth or territory, or any of their political subdivisions or instrumentalities.
- D—A corporation the stock of which is regularly traded on one or more established securities markets, as described in Regulations section 1.1472-1(c)(1)(i).
- E—A corporation that is a member of the same expanded affiliated group as a corporation described in Regulations section 1.1472-1(c)(1)(i).

F—A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state.

- G—A real estate investment trust.
- H—A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940.
- I—A common trust fund as defined in section 584(a).
- J—A bank as defined in section 581.
- K—A broker.
- L—A trust exempt from tax under section 664 or described in section 4947(a)(1).
- M—A tax-exempt trust under a section 403(b) plan or section 457(g) plan.

Note: You may wish to consult with the financial institution requesting this form to determine whether the FATCA code and/or exempt payee code should be completed.

Line 5

Enter your address (number, street, and apartment or suite number). This is where the requester of this Form W-9 will mail your information returns. If this address differs from the one the requester already has on file, enter "NEW" at the top. If a new address is provided, there is still a chance the old address will be used until the payor changes your address in their records.

Line 6

Enter your city, state, and ZIP code.

Part I. Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. If you are a resident alien and you do not have, and are not eligible to get, an SSN, your TIN is your IRS ITIN. Enter it in the entry space for the Social security number. If you do not have an ITIN, see *How to get a TIN* below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN.

If you are a single-member LLC that is disregarded as an entity separate from its owner, enter the owner's SSN (or EIN, if the owner has one). If the LLC is classified as a corporation or partnership, enter the entity's EIN.

Note: See *What Name and Number To Give the Requester*, later, for further clarification of name and TIN combinations.

How to get a TIN. If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local SSA office or get this form online at www.SSA.gov. You may also get this form by calling 800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at www.irs.gov/EIN. Go to www.irs.gov/Forms to view, download, or print Form W-7 and/or Form SS-4. Or, you can go to www.irs.gov/OrderForms to place an order and have Form W-7 and/or Form SS-4 mailed to you within 15 business days.

If you are asked to complete Form W-9 but do not have a TIN, apply for a TIN and enter "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, you will generally have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

Note: Entering "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon. See also *Establishing U.S. status for purposes of chapter 3 and chapter 4 withholding*, earlier, for when you may instead be subject to withholding under chapter 3 or 4 of the Code.

Caution: A disregarded U.S. entity that has a foreign owner must use the appropriate Form W-8.

Part II. Certification

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if item 1, 4, or 5 below indicates otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). In the case of a disregarded entity, the person identified on line 1 must sign. Exempt payees, see *Exempt payee code*, earlier.

Signature requirements. Complete the certification as indicated in items 1 through 5 below.

1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983. You must give your correct TIN, but you do not have to sign the certification.

2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983. You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

3. Real estate transactions. You must sign the certification. You may cross out item 2 of the certification.

4. Other payments. You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments made in settlement of payment card and third-party network transactions, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), ABLE accounts (under section 529A), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions. You must give your correct TIN, but you do not have to sign the certification.

What Name and Number To Give the Requester

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account) other than an account maintained by an FFI	The actual owner of the account or, if combined funds, the first individual on the account ¹
3. Two or more U.S. persons (joint account maintained by an FFI)	Each holder of the account
4. Custodial account of a minor (Uniform Gift to Minors Act)	The minor ²
5. a. The usual revocable savings trust (grantor is also trustee)	The grantor-trustee ¹
b. So-called trust account that is not a legal or valid trust under state law	The actual owner ¹
6. Sole proprietorship or disregarded entity owned by an individual	The owner ³
7. Grantor trust filing under Optional Filing Method 1 (see Regulations section 1.671-4(b)(2)(i)(A))**	The grantor*

For this type of account:	Give name and EIN of:
8. Disregarded entity not owned by an individual	The owner
9. A valid trust, estate, or pension trust	Legal entity ⁴
10. Corporation or LLC electing corporate status on Form 8832 or Form 2553	The corporation
11. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
12. Partnership or multi-member LLC	The partnership
13. A broker or registered nominee	The broker or nominee
14. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity
15. Grantor trust filing Form 1041 or under the Optional Filing Method 2, requiring Form 1099 (see Regulations section 1.671-4(b)(2)(i)(B))**	The trust

¹ List first and circle the name of the person whose number you furnish. If only one person on a joint account has an SSN, that person's number must be furnished.

² Circle the minor's name and furnish the minor's SSN.

³ You must show your individual name on line 1, and enter your business or DBA name, if any, on line 2. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.

⁴ List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.)

* **Note:** The grantor must also provide a Form W-9 to the trustee of the trust.

** For more information on optional filing methods for grantor trusts, see the Instructions for Form 1041.

Note: If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

Secure Your Tax Records From Identity Theft

Identity theft occurs when someone uses your personal information, such as your name, SSN, or other identifying information, without your permission to commit fraud or other crimes. An identity thief may use your SSN to get a job or may file a tax return using your SSN to receive a refund.

To reduce your risk:

- Protect your SSN,
- Ensure your employer is protecting your SSN, and
- Be careful when choosing a tax return preparer.

If your tax records are affected by identity theft and you receive a notice from the IRS, respond right away to the name and phone number printed on the IRS notice or letter.

If your tax records are not currently affected by identity theft but you think you are at risk due to a lost or stolen purse or wallet, questionable credit card activity, or a questionable credit report, contact the IRS Identity Theft Hotline at 800-908-4490 or submit Form 14039.

For more information, see Pub. 5027, Identity Theft Information for Taxpayers.

Victims of identity theft who are experiencing economic harm or a systemic problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be eligible for Taxpayer Advocate Service (TAS) assistance. You can reach TAS by calling the TAS toll-free case intake line at 877-777-4778 or TTY/TDD 800-829-4059.

Protect yourself from suspicious emails or phishing schemes.

Phishing is the creation and use of email and websites designed to mimic legitimate business emails and websites. The most common act is sending an email to a user falsely claiming to be an established legitimate enterprise in an attempt to scam the user into surrendering private information that will be used for identity theft.

The IRS does not initiate contacts with taxpayers via emails. Also, the IRS does not request personal detailed information through email or ask taxpayers for the PIN numbers, passwords, or similar secret access information for their credit card, bank, or other financial accounts.

If you receive an unsolicited email claiming to be from the IRS, forward this message to phishing@irs.gov. You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration (TIGTA) at 800-366-4484. You can forward suspicious emails to the Federal Trade Commission at spam@uce.gov or report them at www.ftc.gov/complaint. You can contact the FTC at www.ftc.gov/idtheft or 877-IDTHEFT (877-438-4338). If you have been the victim of identity theft, see www.IdentityTheft.gov and Pub. 5027.

Go to www.irs.gov/IdentityTheft to learn more about identity theft and how to reduce your risk.

Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons (including federal agencies) who are required to file information returns with the IRS to report interest, dividends, or certain other income paid to you; mortgage interest you paid; the acquisition or abandonment of secured property; the cancellation of debt; or contributions you made to an IRA, Archer MSA, or HSA. The person collecting this form uses the information on the form to file information returns with the IRS, reporting the above information. Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation and to cities, states, the District of Columbia, and U.S. commonwealths and territories for use in administering their laws. The information may also be disclosed to other countries under a treaty, to federal and state agencies to enforce civil and criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism. You must provide your TIN whether or not you are required to file a tax return. Under section 3406, payors must generally withhold a percentage of taxable interest, dividends, and certain other payments to a payee who does not give a TIN to the payor. Certain penalties may also apply for providing false or fraudulent information.