

**實德證券有限公司**  
**SUCCESS SECURITIES LIMITED**

**客戶補充聲明書**  
**Supplementary Statement for Client**

客戶名稱 Client's name : \_\_\_\_\_ 戶口號碼 Account No.: \_\_\_\_\_

<b>客戶補充資料</b> Supplementary Information of the Client	
<b>美國出生</b> Country of Birth	<p><b>個人/聯名戶口 Individual/Joint Account</b></p> <p>你是否在美國出生？ Are you born in U.S.?</p> <p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No</p>
	<p><b>公司戶口 Corporate Account</b></p> <p>貴公司有沒有任何大股東或最終實益擁有人在美國出生？ Is there any substantial shareholder/ultimate beneficial owner of your corporation who is born in U.S.?</p> <p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No</p>
<b>美國公民或居民</b> U.S. citizen or resident	<p><b>個人/聯名戶口 Individual/Joint Account</b></p> <p>你是否美國公民或居民？ Are you a U.S. citizen or resident?</p> <p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No</p>
	<p><b>公司戶口 Corporate Account</b></p> <p>貴公司有沒有任何大股東或最終實益擁有人屬美國公民或居民？ Is there any substantial shareholder/ultimate beneficial owner of your corporation who is a U.S. citizen or resident?</p> <p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No</p>
<b>美國住址/通訊地址</b> U.S. Residential/Correspondence Address	<p><b>個人/聯名戶口 Individual/Joint Account</b></p> <p>你有沒有美國的住址/通訊地址（包括美國郵政信箱）？ Do you have any U.S. residential/correspondence address (including U.S. post office box)?</p> <p><input type="checkbox"/> 是 Yes , 地址 Address: _____</p> <p><input type="checkbox"/> 否 No</p>
	<p><b>公司戶口 Corporate Account</b></p> <p>(1) 貴公司有沒有美國的住址/通訊地址（包括美國郵政信箱）？ Does your company have any U.S. residential/ correspondence address (including U.S. post office box)?</p> <p><input type="checkbox"/> 是 Yes, 地址 Address: _____</p> <p><input type="checkbox"/> 否 No</p> <p>(2) 貴公司有沒有任何大股東或最終實益擁有人擁有美國的住址/通訊地址（包括美國郵政信箱）？ Is there any substantial shareholder/ultimate beneficial owner of your corporation who has a U.S. residential/correspondence address (including U.S. post office box)?</p> <p><input type="checkbox"/> 是 Yes , 地址 Address: _____</p> <p><input type="checkbox"/> 否 No</p>
<b>美國電話號碼</b> U.S. Telephone Number	<p><b>個人/聯名戶口 Individual/Joint Account</b></p> <p>你有沒有美國電話號碼？ Do you have any U.S. telephone number?</p> <p><input type="checkbox"/> 是 Yes , 電話號碼 Tel. no.: _____</p> <p><input type="checkbox"/> 否 No</p>
	<p><b>公司戶口 Corporate Account</b></p> <p>(1) 貴公司有沒有美國電話號碼？ Does your company have any U.S. telephone number?</p> <p><input type="checkbox"/> 是 Yes, 電話號碼 Tel. no.: _____</p> <p><input type="checkbox"/> 否 No</p>

	<p>(2) 貴公司有沒有任何大股東或最終實益擁有人擁有美國電話號碼？ Is there any substantial shareholder/ultimate beneficial owner of your corporation who has a U.S. telephone number?</p> <p><input type="checkbox"/> 是 Yes, 電話號碼 Tel. no.: _____</p> <p><input type="checkbox"/> 否 No</p>
<p><b>美國稅務狀況</b> US taxation status</p>	<p><b>個人/聯名戶口 Individual/Joint Account</b> 你現時有否於美國報稅？ Do you currently file tax return in the U.S.?</p> <p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No</p>
	<p><b>公司戶口 Corporate Account</b> (1) 貴公司現時有否於美國報稅？ Does your company currently file tax return in the U.S. ? <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No</p> <p>(2) 貴公司有沒有任何大股東或最終實益擁有人現時於美國報稅？ Is there any substantial shareholder/ultimate beneficial owner of your corporation who currently file tax return in the U.S.? <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No</p>
<p>* 大股東 - 於公司直接或間接持有百分之十或以上的股份或控制百分之十或以上的投票權 Substantial shareholder – holding 10% or more shares or exercising the control of 10% or more voting rights of the Company</p>	

## 客戶聲明 Client's Declaration

本人茲聲明以上資料全部為真實，完整及正確。除非實德證券有限公司（「實德」）接到更改有關內容的書面通知，否則實德有權完全依賴此等資料之聲明作一切用途。實德有權可隨時就核對上述資料文件所提供之資料事宜，與任何人包括本人之銀行，經紀或任何信用機構進行查詢。  
I/We represent that the above information is true, complete and correct. Success Securities Limited (“SSL”) is entitled to rely fully on such information and representations for all purposes, unless they receive notice in writing of any change. SSL is authorized at any time to contact anyone, including my banks, brokers or any credit agency, for the purpose of verifying the information provided on the above documents.

本人 / 我們聲明及同意(1) 實德有權要求本人 / 我們提供實德可能合理索取的資料（及 / 或填寫及簽署與此相關的文件），包括但不限於姓名、出生地點、住宅和郵遞地址、納稅人識別編號、社會安全號碼、國籍、居留地、稅務居留地及相關人士在報稅或納稅責任方面須遵守的稅制，以及向香港境內或境外任何有關當局披露任何 / 所有資料（包括但不限於美國國家稅務局（「美國國稅局」））；(2) 倘若上文第(1)點所述資料發生任何變化或增加，本人 / 我們將從速通知實德，並且實德有權要求其他各相關人士就其個人資料的任何變化或增加通知實德；(3) 倘若任何相關人士未能 (a) 提供準確及完整的資料，或 (b) 當(a)段的資料有任何變化或增加時，準確及從速通知實德，或(c) 在實德為了確保遵守適用法律法規（包括但不限於美國《海外賬戶稅收合規法案》）或實德與任何司法管轄區的任何政府或稅務當局訂立的任何協議而可能合理要求的時限內，及時作出所需行動；或若實德被禁止向香港境內或境外的任何相關當局（包括但不限於美國國稅局）披露本人 / 我們的任何 / 所有資料；則為了確保實德遵守上述法律、法規或協議，實德可以 (i) 扣減或扣起根據證券交易應付的任何款項；及 / 或 (ii) 向香港境內或境外的任何相關當局（包括但不限於美國國稅局）提供本人 / 我們的任何 / 所有資料；(4) 對於實德由於本人 / 我們提供的不正確、不完整或具誤導性的資料而蒙受的任何損害或損失，本人 / 我們同意向實德作出完全彌償。

I/We declare and agree that (1) SSL shall have the right to request me/us to provide (and/or complete and sign such document relating to) such information as SSL may reasonably require including without limitation, name, place of birth, residential and mailing addresses, taxpayer identification number, social security number, citizenship, residency, tax residency and the tax regime(s) to which I/we am/are subject in respect of tax reporting or payment responsibility, and disclose any/all of the information to any authorities within or outside of Hong Kong (including without limitation the US Internal Revenue Service (“IRS”)); (2) I/we shall update SSL promptly on any change or addition to the information stated in (1) above; and SSL shall have the right to request me/us to update it of any change or addition to my/our information; (3) if I/we fail to (a) provide accurate and complete information, or (b) accurately and promptly update SSL with any changes or additions to the information in (a), or (c) do such things in a timely manner and within such timeframe as SSL may reasonably require for ensuring SSL' compliance with applicable laws and regulations (including without limitation the US Foreign Account Tax Compliance Act) or any agreements that SSL has with any government or tax authority in any jurisdiction; or if SSL is prevented from making disclosure of any/all of my/our information to any authorities within or outside Hong Kong (including without limitation the US IRS); then SSL may, for ensuring SSL' compliance with the aforesaid laws, regulations or agreements, (i) deduct or withhold such amount from any payment payable to me/us under the securities trading; and/or (ii) provide any/all of my/our information to any authorities within or outside Hong Kong (including without limitation the US IRS); (4) I/we agree to indemnify SSL for any damage or loss suffered by SSL due to incorrect, incomplete or misleading information provided by me/us above.

本人 / 我們明白若此補充客戶聲明書的中、英文兩個版本有任何抵觸或不相符之處，應以英文版本為準。

I/We understand that if there is any inconsistency or ambiguity between the English version and the Chinese version of this Supplementary Statement for Client, the English version shall prevail.

本人 / 我們確認，本人 / 我們已經細讀以上段落，並且實德已經向本人 / 我們作出充分的解釋；本人 / 我們完全明白以上段落的含義，亦明白本人 / 我們根據以上段落作出的同意、豁免及確認均不可撤銷。本人 / 我們進一步同意，對於本人 / 我們由於實德採取以上段落准許的行動而蒙受的任何代價或損失，實德概不負責。

I/we confirm that I/we have read the above paragraphs and have received adequate explanation from SSL; I/we fully understand the implications of the above paragraphs in this section; my/our agreement, waiver and confirmations given under the above paragraphs in this section are irrevocable. I/we further agree that SSL shall not be liable for any costs or loss that I/we may incur because of SSL taking any of the actions permitted by the above paragraphs.

客戶簽署 Client Signature

日期 Date