

香港上環干諾道西3號億利商業大廈1101-03室

Room 1101-03, 11/F, Yardley Commercial Building, 3 Connaught Road West, Hong Kong

 Website: <https://www.victorysec.com.hk> Email: [cs@victorysec.com.hk](mailto:cs@victorysec.com.hk) Tel: 2525 2437 Fax: 2810 7616 CE NO.: ABN091

**ACCOUNT OPENING FORM 開戶表格 (Individual 個人/ Joint 聯名)**
☒ Individual Account 個人賬戶

☐ Joint Account 聯名賬戶

Account Type(s) 賬戶類別 (Please tick appropriate box(es). 請在適當空格加✓)

☒ Securities Account (Cash) 證券賬戶 (現金)

☒ Securities Account (Margin) 證券賬戶 (保證金)

☐ Futures Account 期貨賬戶

☐ Global Trading Account 環球股票賬戶

**Individual/ Joint Account Information 個人/聯名賬戶資料**

Account Holder (1) 賬戶持有人(1)		Account Holder (2) 賬戶持有人(2) (For Joint Account only 只適用於聯名賬戶)		Relationship 關係:
<input checked="" type="checkbox"/> Mr. 先生	English Name: <b>CHAN SIU MING</b> 英文姓名:	<input type="checkbox"/> Mr. 先生	English Name:	
<input type="checkbox"/> Ms. 女士	Chinese Name: <b>陳曉明</b> 中文姓名:	<input type="checkbox"/> Ms. 女士	Chinese Name:	
ID Card/ Passport No. 身份證/護照號碼: <b>Z123456 (7)</b>		ID Card/ Passport No. 身份證/護照號碼:		
If you are a U.S. Citizen, a green card holder or residing in the U.S., please provide your Taxpayer Identification Number (TIN) 如閣下是美國公民, 綠卡持有人或居於美國, 請提供閣下的稅項代碼:		If you are a U.S. Citizen, a green card holder or residing in the U.S., please provide your Taxpayer Identification Number (TIN) 如閣下是美國公民, 綠卡持有人或居於美國, 請提供閣下的稅項代碼:		
Place of birth: <b>香港(HK)</b> 出生地點:	Nationality: <b>中國(CHN)</b> 國籍:	Place of birth:	Nationality:	
Date of Birth 出生日期 (DD/MM/YYYY): <b>01/01/1989</b>		Date of Birth 出生日期 (DD/MM/YYYY):		
Residential Address: <b>香港上環干諾道西3號億利商業大廈30樓D室/ Room D, 30/F, Yardley Commercial Building, 3 Connaught Road West, Hong Kong</b>		Residential Address:		
Correspondence Address: <input checked="" type="checkbox"/> Same as above 同上 通訊地址: <input type="checkbox"/> Others (please specify) 其他(請註明)		Correspondence Address: <input type="checkbox"/> Same as above 同上 通訊地址: <input type="checkbox"/> Others (please specify) 其他(請註明)		
Contact Phone No.: <input checked="" type="checkbox"/> Mobile No. 手機號碼 <b>87654321</b> 聯絡電話號碼: <input type="checkbox"/> Home No. 住宅電話 _____ <input type="checkbox"/> Office No. 公司電話 _____ <input type="checkbox"/> Fax No. 傳真號碼 _____		Contact Phone No.: <input type="checkbox"/> Mobile No. 手機號碼 _____ 聯絡電話號碼: <input type="checkbox"/> Home No. 住宅電話 _____ <input type="checkbox"/> Office No. 公司電話 _____ <input type="checkbox"/> Fax No. 傳真號碼 _____		
Email Address: <b>12345678@gmail.com</b> 電郵地址:		Email Address: 電郵地址:		
All Correspondence and Statement to be sent to: (Please select either one) <input checked="" type="checkbox"/> E-statement 電子結單 (透過勝利網站自行查閱/下載日結單及月結單) (To check/download your daily/monthly statement in electronic format via "VSCL" website)		所有通訊及賬單請寄交本人: (只選一項) <input type="checkbox"/> Correspondence Address 通訊地址		
Education Level 教育程度: <input type="checkbox"/> Secondary or below 中學或以下 <input type="checkbox"/> Tertiary 大專 <input checked="" type="checkbox"/> Degree or above 學士或以上		Education Level 教育程度: <input type="checkbox"/> Secondary or below 中學或以下 <input type="checkbox"/> Tertiary 大專 <input type="checkbox"/> Degree or above 學士或以上		
<b>Employment Information 受僱資料</b>				
Name of Employer of Account Holder (1): <b>ABC Company/ABC公司</b> 客戶(1)受僱機構名稱:		Name of Employer of Account Holder (2): 客戶(2)受僱機構名稱:		
Nature of Business: <b>Trading/貿易</b> 業務性質:	Years of Service: <b>5</b> 服務年資:	Current Position: <b>CEO</b> 現時職位:	Nature of Business: 業務性質:	Years of Service: 服務年資:
Office Address: <b>香港上環干諾道西3號億利商業大廈38樓D室/Room D, 38/F, Yardley Commercial Building, 3 Connaught Road West, Hong Kong</b>		Office Address: 辦公室地址:		



Financial Profile 財務狀況	
<b>Annual Income 每年收入 (HK\$港幣):</b> <input type="checkbox"/> <HK\$200,000 <input type="checkbox"/> HK\$200,000-HK\$500,000 <input type="checkbox"/> HK\$500,001-HK\$1,000,000 <input type="checkbox"/> HK\$1,000,001-HK\$3,000,000 <input checked="" type="checkbox"/> >HK\$3,000,000	<b>Annual Income 每年收入 (HK\$港幣):</b> <input type="checkbox"/> <HK\$200,000 <input type="checkbox"/> HK\$200,000-HK\$500,000 <input type="checkbox"/> HK\$500,001-HK\$1,000,000 <input type="checkbox"/> HK\$1,000,001-HK\$3,000,000 <input type="checkbox"/> >HK\$3,000,000
<b>Estimated Net Worth 估計資產淨值 (HK\$港幣):</b> (Net Worth = Asset - Liabilities) (淨值 = 資產 - 負債) <input type="checkbox"/> <HK\$1,000,000 <input type="checkbox"/> HK\$1,000,000-HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001-HK\$8,000,000 <input type="checkbox"/> HK\$8,000,001-HK\$30,000,000 <input checked="" type="checkbox"/> >HK\$30,000,000	<b>Estimated Net Worth 估計資產淨值 (HK\$港幣):</b> (Net Worth = Asset - Liabilities) (淨值 = 資產 - 負債) <input type="checkbox"/> <HK\$1,000,000 <input type="checkbox"/> HK\$1,000,000-HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001-HK\$8,000,000 <input type="checkbox"/> HK\$8,000,001-HK\$30,000,000 <input type="checkbox"/> >HK\$30,000,000
<b>Place of Origin of the Funding Source 資金來源地:</b> <input checked="" type="checkbox"/> HKSAR 中國香港特別行政區 <input type="checkbox"/> Mainland China 中國大陸 <input type="checkbox"/> U.S. 美國 <input type="checkbox"/> Others 其他: _____	<b>Place of Origin of the Funding Source 資金來源地:</b> <input type="checkbox"/> HKSAR 中國香港特別行政區 <input type="checkbox"/> Mainland China 中國大陸 <input type="checkbox"/> U.S. 美國 <input type="checkbox"/> Others 其他: _____
<b>Initial Source(s) of Funds 資金最初來自:</b> (Can select more than one option) (可選多於一項) <input checked="" type="checkbox"/> Salary 薪金 <input checked="" type="checkbox"/> Operational Income 營運收入 <input type="checkbox"/> Interest Income 利息收入 <input type="checkbox"/> Estate 遺產 <input type="checkbox"/> Family gift 家人贈予 <input checked="" type="checkbox"/> Investment Income 投資收入 <input type="checkbox"/> Rental Income 租金收入 <input type="checkbox"/> External Borrowing 對外借貸 <input type="checkbox"/> Others 其他: _____	<b>Initial Source(s) of Funds 資金最初來自:</b> (Can select more than one option) (可選多於一項) <input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Operational Income 營運收入 <input type="checkbox"/> Interest Income 利息收入 <input type="checkbox"/> Estate 遺產 <input type="checkbox"/> Family gift 家人贈予 <input type="checkbox"/> Investment Income 投資收入 <input type="checkbox"/> Rental Income 租金收入 <input type="checkbox"/> External Borrowing 對外借貸 <input type="checkbox"/> Others 其他: _____
<b>On-going Source(s) of Funds 資金持續來源:</b> (Can select more than one option) (可選多於一項) <input checked="" type="checkbox"/> Salary 薪金 <input checked="" type="checkbox"/> Operational Income 營運收入 <input type="checkbox"/> Interest Income 利息收入 <input type="checkbox"/> Estate 遺產 <input type="checkbox"/> Family gift 家人贈予 <input type="checkbox"/> Investment Income 投資收入 <input type="checkbox"/> Rental Income 租金收入 <input type="checkbox"/> External Borrowing 對外借貸 <input type="checkbox"/> Others 其他: _____	<b>On-going Source(s) of Funds 資金持續來源:</b> (Can select more than one option) (可選多於一項) <input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Operational Income 營運收入 <input type="checkbox"/> Interest Income 利息收入 <input type="checkbox"/> Estate 遺產 <input type="checkbox"/> Family gift 家人贈予 <input type="checkbox"/> Investment Income 投資收入 <input type="checkbox"/> Rental Income 租金收入 <input type="checkbox"/> External Borrowing 對外借貸 <input type="checkbox"/> Others 其他: _____
<b>Ownership of Residence 住屋業權</b> <input checked="" type="checkbox"/> Owned 擁有 <input type="checkbox"/> Not Owned 沒有擁有 <input type="checkbox"/> Rented 租用 <input type="checkbox"/> Living with family 與家人同住 <input type="checkbox"/> Mortgage 按揭 <input type="checkbox"/> Quarters 宿舍	<b>Ownership of Residence 住屋業權</b> <input type="checkbox"/> Owned 擁有 <input type="checkbox"/> Not Owned 沒有擁有 <input type="checkbox"/> Rented 租用 <input type="checkbox"/> Living with family 與家人同住 <input type="checkbox"/> Mortgage 按揭 <input type="checkbox"/> Quarters 宿舍
<b>Client Investment Experience and Objective 客戶投資經驗及目標</b>	
<b>Investment Experience 投資經驗:</b> (Can select more than one option) (可選多於一項) <input type="checkbox"/> Nil 沒有 <input checked="" type="checkbox"/> Stocks 股票 <input type="checkbox"/> Warrants 認股權證 <input type="checkbox"/> Options 期權 <input checked="" type="checkbox"/> Bonds 債券 <input type="checkbox"/> Futures 期貨 <input type="checkbox"/> Foreign currency 外匯 <input type="checkbox"/> Fund 基金 <input type="checkbox"/> Other Derivatives 其他衍生工具	<b>Investment Experience 投資經驗:</b> (Can select more than one option) (可選多於一項) <input type="checkbox"/> Nil 沒有 <input type="checkbox"/> Stocks 股票 <input type="checkbox"/> Warrants 認股權證 <input type="checkbox"/> Options 期權 <input type="checkbox"/> Bonds 債券 <input type="checkbox"/> Futures 期貨 <input type="checkbox"/> Foreign currency 外匯 <input type="checkbox"/> Fund 基金 <input type="checkbox"/> Other Derivatives 其他衍生工具
<b>Years of Experience 投資經驗年資:</b> <input type="checkbox"/> Nil 沒有 <input type="checkbox"/> 1-3 years 一至三年 <input type="checkbox"/> 3-5 years 三至五年 <input checked="" type="checkbox"/> 5-10 years 五至十年 <input type="checkbox"/> Over 10 years 超過十年	<b>Years of Experience 投資經驗年資:</b> <input type="checkbox"/> Nil 沒有 <input type="checkbox"/> 1-3 years 一至三年 <input type="checkbox"/> 3-5 years 三至五年 <input type="checkbox"/> 5-10 years 五至十年 <input type="checkbox"/> Over 10 years 超過十年
<b>Expected Investment Horizon 預期投資年期:</b> <input checked="" type="checkbox"/> Long Term 長線 (Over 3 years 3年以上) <input type="checkbox"/> Medium Term 中線 (1-3 years 1年至3年) <input type="checkbox"/> Short Term 短線 (Less than 1 year 1年內)	<b>Expected Investment Horizon 預期投資年期:</b> <input type="checkbox"/> Long Term 長線 (Over 3 years 3年以上) <input type="checkbox"/> Medium Term 中線 (1-3 years 1年至3年) <input type="checkbox"/> Short Term 短線 (Less than 1 year 1年內)
<b>Investment Objective 投資目標: *Note 1 附註一</b> (Can select more than one option) (可選多於一項) <input checked="" type="checkbox"/> Growth 增長 <input checked="" type="checkbox"/> Income 收入 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Balanced 均衡 <input type="checkbox"/> Others 其他: _____	<b>Investment Objective 投資目標: *Note 1 附註一</b> (Can select more than one option) (可選多於一項) <input type="checkbox"/> Growth 增長 <input type="checkbox"/> Income 收入 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Balanced 均衡 <input type="checkbox"/> Others 其他: _____
<b>Risk Tolerance 風險承受程度: *Note 2 附註二</b> (Please select either one) (只選一項) <input type="checkbox"/> Low 低 <input type="checkbox"/> Low to Moderate 低至中度 <input type="checkbox"/> Moderate 中度 <input checked="" type="checkbox"/> Moderate to High 中度至高 <input type="checkbox"/> High 高	<b>Risk Tolerance 風險承受程度: *Note 2 附註二</b> (Please select either one) (只選一項) <input type="checkbox"/> Low 低 <input type="checkbox"/> Low to Moderate 低至中度 <input type="checkbox"/> Moderate 中度 <input type="checkbox"/> Moderate to High 中度至高 <input type="checkbox"/> High 高



<p><b>Client's Knowledge of Derivative Products 客戶對衍生產品的認識</b></p> <p>本人知悉及明白勝利證券有限公司("勝利證券")將根據以下的資料以評估本人是否對衍生工具產品有認識。 I acknowledge and understand VICTORY SECURITIES COMPANY LIMITED ("VSCL") will assess whether I have adequate knowledge on derivative products according to the information that I provided.</p> <p>(可選多於一項) (Can select more than one option)</p> <p><input checked="" type="checkbox"/> 1. 本人沒有對衍生產品有認識。 I do not have any knowledge of derivative products.</p> <p><input type="checkbox"/> 2. 本人現時或過去3年內擁有與衍生產品有關的工作經驗。 I have current or previous work experience within the past three years related to derivative products.</p> <p><input type="checkbox"/> 3. 本人於過去3年曾執行5次或以上有關衍生產品的交易。 I have executed five or more transactions in derivative products within the past three years.</p> <p><input type="checkbox"/> 4. 本人於過去3年內已接受有關介紹一般衍生產品之性質及風險的培訓或課程(例如學術機構或金融機構所提供之課程)。 I underwent training or attended courses on derivative products within the past three years that provide general knowledge of the nature and risk of derivatives (e.g. courses offered by academic or financial institutions).</p>	<p><b>Client's Knowledge of Derivative Products 客戶對衍生產品的認識</b></p> <p>本人知悉及明白勝利證券有限公司("勝利證券")將根據以下的資料以評估本人是否對衍生工具產品有認識。 I acknowledge and understand VICTORY SECURITIES COMPANY LIMITED ("VSCL") will assess whether I have adequate knowledge on derivative products according to the information that I provided.</p> <p>(可選多於一項) (Can select more than one option)</p> <p><input type="checkbox"/> 1. 本人沒有對衍生產品有認識。 I do not have any knowledge of derivative products.</p> <p><input type="checkbox"/> 2. 本人現時或過去3年內擁有與衍生產品有關的工作經驗。 I have current or previous work experience within the past three years related to derivative products.</p> <p><input type="checkbox"/> 3. 本人於過去3年曾執行5次或以上有關衍生產品的交易。 I have executed five or more transactions in derivative products within the past three years.</p> <p><input type="checkbox"/> 4. 本人於過去3年內已接受有關介紹一般衍生產品之性質及風險的培訓或課程(例如學術機構或金融機構所提供之課程)。 I underwent training or attended courses on derivative products within the past three years that provide general knowledge of the nature and risk of derivatives (e.g. courses offered by academic or financial institutions).</p>
<p><b>Identity Declaration 身份聲明</b></p> <p><b>Identity of the Ultimate Beneficial Owner(s) of the Account 賬戶最終實益擁有人的身份</b></p> <p><input checked="" type="checkbox"/> The Client 客戶本人      <input type="checkbox"/> Others (Please Specify) 其他 (請填寫):</p> <p>Name 姓名: _____ ID/ Passport No. 身份證/護照號碼: _____ Tel. 電話: _____</p> <p>Nationality 國籍: _____ Address 住址: _____</p>	
<p><b>Disclosure of Identity 相關身份披露</b></p> <p>閣下、最終實益擁有人及/或有關人士(你的配偶及/或未成年子女)是否 Are you, the Ultimate Beneficial Owner(s) and/or the Relevant Person(s) (your spouse and/or minor children)</p> <p>註: 如「是」, 必須提供由持牌人或註冊人發出的同意書 Note: If "Yes", a consent letter from the licensed or registered person(s) must be provided</p> <p>(a) 持牌人或註冊人 a licensed or registered person <span style="float: right;"><input type="checkbox"/> 是 Yes <input checked="" type="checkbox"/> 否 No 中央編號: _____</span></p> <p>(b) 香港證券及期貨事務監察委員會的任何持牌人或註冊人的董事或僱員 a director or an employee of any licensed or registered person of the "SFC" <span style="float: right;"><input type="checkbox"/> 是 Yes <input checked="" type="checkbox"/> 否 No CE No: _____</span></p> <p>(c) 香港金融管理局的有關人士 a relevant individual of the Hong Kong Monetary Authority <span style="float: right;"><input type="checkbox"/> 是 Yes <input checked="" type="checkbox"/> 否 No</span></p> <p>(d) 香港交易所的有關人士 a relevant individual of HKEX <span style="float: right;"><input type="checkbox"/> 是 Yes <input checked="" type="checkbox"/> 否 No</span></p> <p>持牌人或註冊人的姓名(如非客戶本人): _____ 關係: _____</p> <p>Name of the licensed or registered person(s) (if not being the Customer): _____ Relationship: _____</p>	
<p><b>Authorized Third Party Information 授權第三者資料</b> <small>*(This part is not mandatory for account opening) (此部分為非必須要填寫)</small></p> <p>以下人士獲授權執行: (i)發出指令以保證金或其他方式買賣任何及所有之證券, 包括但不限於由任何機構及地區發行之股份、股票、公司債券、債股、單位信託基金、互惠基金、認股証、期權、債券、票據(一律稱為"證券"), 風險概由本人/吾等承擔; (ii)指示貴公司從戶口支取款項, 並以本人/吾等為抬頭人之支票之方式收取及支付款項, 或直接将款項存入本人/吾等名下之銀行賬戶; (iii)就以本人/吾等名義於其他經紀行、經紀公司或結算所開立之客戶賬戶發出交付指示。 The following individual is authorized to give oral and written instructions on behalf of the client (i) To place order(s) to effect purchases and sales of, and to trade in any and all kinds of securities, including but not limited to, shares, stocks, debentures, loan stocks, unit trusts, mutual funds, warrants, options, bonds and notes whatsoever and wheresoever issued (all of which are referred to as "Securities"), on margin or otherwise, at my/our risk; (ii) To instruct you to make payment of monies from the Account, and to receive and direct payments therefrom by way of cheque (s) payable to me/us or direct deposit into such bank account(s) in my/our name; and (iii) To give settlement instructions in relation to such client account(s) in my/our name maintained with any other brokerage house or firm or clearing house.</p> <p>授權戶口類別 Authorized Account Type(s):  <input type="checkbox"/> 現金戶口 Cash Account    <input type="checkbox"/> 保證金戶口 Margin Account    <input type="checkbox"/> 兩者皆是 Both</p> <p>Name 姓名: _____ ID/ Passport No. 身份證/護照號碼: _____ Tel. 電話: _____</p> <p>Nationality 國籍: _____ Relationship 關係: _____ Employee of Person Licensed by SFC 證監會註冊持牌人士僱員: <input type="checkbox"/> Yes 是 / <input type="checkbox"/> No 否</p> <p>Authorized Person Signature 被授權人士簽署: _____</p> <p>Address 住址: _____ <small>(Address proof within latest three months 需提供近三個月地址證明)</small></p>	
<p><b>Related Account 關聯賬戶</b></p> <p>閣下、最終實益擁有人及/或有關人士是否與勝利證券有限公司及/或其附屬公司之董事或員工有任何親屬關係? Do you, the Ultimate Beneficial Owner(s) and/or the Relevant Person(s) have any family relationship with the director(s) or employee(s) of Victory Securities Co., Limited and/or its subsidiaries?</p> <p><input type="checkbox"/> 是 Yes      <input type="checkbox"/> 否 No</p> <p>有關人士的姓名: _____ 關係: <input type="checkbox"/> 配偶 Spouse      <input type="checkbox"/> 其他 Other: _____</p> <p>Name of the Relevant Person(s): _____ Relationship: <input type="checkbox"/> 父親/母親/兒子/女兒 Father/Mother/Son/Daughter</p>	



<b>Standing Authority (Issue of Cheque &amp; Transfer of Fund by Phone) 常設授權 (發出支票及電話轉賬)</b>			
<b>款項將根據客戶的提款指示轉入以下銀行賬戶 Funds will be transferred to the following bank accounts pursuant to your fund withdrawal instruction.</b>			
本人/吾等願意對本人/吾等所發出指示的絕對準確性負上全部責任，特別是有關本人/吾等之受款銀行賬戶名稱及號碼之詳細資料。 對於因輸入的資料不準確而導致款項錯誤存入或轉出，本人/吾等將不會為收回款項之延誤或追討賠償而向貴公司作出要求、索償或訴訟，貴公司毋須為此負上任何責任。 本人/吾等確認及同意本常設授權 (發出支票及電話轉賬) 自即日起生效直至另行通知為止。 I/We accept full responsibility for the absolute correctness of my/our instruction, in particular, the absolute correctness of my/our account name and number, particulars of the payee bank as the case may be. I/We will not demand, claim or prosecute against VSCL for recovery of damage and generally hold VSCL harmless in the event that the funds were wrongly deposited or paid out on delay due to mistakes in the entered particulars. I/We acknowledge and agree that this Standing Authority (Issue of Cheque & Transfer of Fund by Phone) is effective from the date hereof until further notice.			
Currency 貨幣	Name of Bank 銀行名稱	Account Name 賬戶名稱	Account No. 賬戶號碼
HKD (1)	BOC (HK)/中銀香港	CHAN SIU MING	012-123456-789
HKD (2)			
USD (1)			
CNY (1)			
CNY (2)			
<b>Related Margin Financing Account(s) (For Securities Account (Margin) only) 相關保證金融資賬戶 (僅適用於證券賬戶(保證金))</b>			
*勝利證券會於每年年底進行保險金戶口審閱，公司有權因應閣下的交易行為調整保證金信貸限額。 *VSCL would conduct clients' margin review at the end of each year. VSCL reserves the right to adjust your margin credit limit accordingly based on your trading activities.			
1. 你(及/或聯名賬戶第二持有人)的配偶是否持有勝利證券的保證金賬戶? Does the spouse of you (and/or the Secondary Joint Account Holder) have a margin account with VSCL? <input type="checkbox"/> 是 Yes <input checked="" type="checkbox"/> 否 No 配偶姓名: Name of the Spouse: _____ 賬戶號碼: Account No: _____			
2. 你(及/或聯名賬戶第二持有人)是否單獨或與配偶共同控制另一保證金客戶或任何勝利證券公司保證金賬戶 35%或以上之表決(投票)權? Are you (and/or the Secondary Joint Account Holder), either alone or with your spouse, in control of 35% or more of the voting rights of another Margin Customer or any Corporate Margin Account(s) of VSCL? <input type="checkbox"/> 是 Yes <input checked="" type="checkbox"/> 否 No 配偶姓名: Name of the Spouse: _____ 賬戶號碼: Account No: _____			
<b>Operation of the Account(s) (For Joint Account Only) 賬戶的操作 (僅適用於聯名賬戶)</b>			
此賬戶可根據以下指示方式操作 (請在適當空格加 <input checked="" type="checkbox"/> ): The Account can be operated under the instruction of (please tick the appropriate box): 各聯名賬戶持有人均有權不時及單獨地對賬戶的操作作出指示 (書面、口頭或透過電子服務 (如適用)) ; 及 Each of the joint account holders is authorised to give instructions (written, oral or through the Electronic Services (where applicable)) in relation to <input type="checkbox"/> 任何一位賬戶持有人的指示 Either one of the account holder <input type="checkbox"/> 兩位賬戶持有人的指示 Both account holders			
<b>Global Trading System Application (For Global Trading Account Only) 環球股票交易系統申請 (僅適用於環球股票賬戶)</b>			
本人欲申請環球股票交易系統並選擇環球市場 I/We would like to apply for the Global Trading System and choose the following markets: <input type="checkbox"/> 中華通 China Connect <input type="checkbox"/> B 股 (上海/深圳 B 股) Shanghai/Shenzhen B share <input type="checkbox"/> 日本股票 Japan Stocks <input type="checkbox"/> 加拿大股票 CA Stocks <input type="checkbox"/> 美股 US Stocks <input type="checkbox"/> 英國股票 UK Stocks <input type="checkbox"/> 澳洲股票 AUS Stocks <input type="checkbox"/> 歐洲/歐元股票 EU Stocks <input type="checkbox"/> 其他地方股票 (請註明) Others: _____			
本人已閱讀附帶的風險披露聲明，並明白及接受參與環球股票交易所涉及的風險。(文件編號AT0805的第20-23頁) I/We have read and I/We understand the Risk Disclosure Statement of the Derivative Products provided to me by "VSCL". I/We fully understand the underlying risk(s) associated with/arising from global trading. (Document Number AT0805, P.21-24)			
<b>E-trade Application 使用勝利網上交易申請 *(This part is not mandatory for account opening) (此部分為非必須要填寫)</b>			
本人/吾等欲申請貴公司提供之網上交易服務，並將有關資料提供如下。本人/吾等確認已閱讀風險披露聲明，完全明白及同意承擔網上交易所涉及之風險。 I/We would like to apply for e-trade service provided by your company and append hereunder relevant information for your consideration. I/we acknowledge that I/we have read the Risk Disclosure Statement of this application, fully understood and agreed to bear the risks involved in e-trade. 所需服務: <input checked="" type="checkbox"/> 網上交易功能 E-trade function Service Required:			
<b>客戶佣金及最低佣金:</b> _____ <b>Client Commission Rate and Minimum Commission:</b> _____ (只適用於證券賬戶(保證金)) 申請信貸限額 Applied Credit Limit: _____		<b>結算方法:</b> <input checked="" type="checkbox"/> 自動結算 Autosettlement <b>Settlement Method:</b> <input type="checkbox"/> 銀行自動轉賬 Bank Autopay	
(填寫此欄前請先諮詢客戶主任) (Please consult your Account Executive before filling in this column)			



#### Notes of E-statement 電子結單附註

- (i) 選擇收取「電子結單」之賬戶將不獲寄發相關結單的列印本。該等證券賬戶如日後申請補發結單的列印本，須按本公司當時之收費表相關項目繳付費用。  
《綜合日結單》須於30個曆日內(如：2018年1月1日之《綜合日結單》須於2018年1月31日或之前)下載；  
(ii) 《月結單》則須於12個曆月內(如2018年1月份之《月結單》須於2018年12月31日或之前)下載。所有結單下載只適用「電子結單」服務生效日起計，過往結單均不能下載；  
(iii) 客戶同意當「電子結單」備妥並開始供客戶下載時，將被視為已送達客戶，不論客戶其後有否審閱及/或儲存該等結單；另客戶同意就有關結單所列交易資料或存在錯誤之查詢，客戶須於該結單備妥並開始供客戶下載首日起計之七天內向本公司提出。  
(iv) 所有電子通訊，均在本公司記錄顯示已成功發送或已重發至客戶於本公司登記之電郵地址時視為已送達客戶。  
(v) 申請成功後，本公司會向客戶所提供之電郵地址發送『確認』電郵。客戶若於呈交申請表五個工作天後仍未收到該『確認』電郵，請致電本公司熱線2525 2437。

- (i) Those accounts opting for electronic statements shall not be entitled to hardcopy ones from the effective date. If account holders apply for a previous hardcopy statement on a future date, a fee shall be charged in accordance with the then enforceable Service Fee Table. Daily Combined Statements are available to be downloaded within 30 days after its initial issuance date. (For instance, your Daily Combined Statement as of 1 March 2018 can only be downloaded by 31 March 2018.)  
(ii) Monthly Statements are available to be downloaded within 12 calendar months after its month of issuance. (For instance, your Monthly Statement as of January 2018 can only be downloaded by 31 December 2018.) Electronic statements as of the dates starting from the effective date of "electronic statement service" are open to downloading. Electronic statements as of the dates prior to the effective date are not open to downloading.  
(iii) When electronic statements are available to be downloaded by clients, it is deemed to be successfully delivered regardless of whether the clients have reviewed or kept in record the statements themselves. Shall a client would like to raise enquiries about the correctness of the information shown on their statements, they should do so within 7 days after the date that the statement concerned is available to be downloaded.  
(iv) All electronic communications to clients shall be deemed to be successfully delivered if our Company's own record shows that it has been already sent or resent to the email addresses registered by clients.  
(v) A confirmation email will be sent to the email address provided by the client upon successful application. If a client has not received the confirmation email within 5 working days after submission of application, please dial our hotline number 2525 2437.

#### Use of Personal Data in direct marketing 使用個人資料作直銷用途

I acknowledge and agree to all the following 本人承認和同意以下各項：

- (1) 「勝利證券」有意使用客戶個人資料作直銷用途，而這是包含在按照《個人資料(私隱)條例》(第486章)及任何適用規則、規例及指引的基準下處理和處置客戶、實益擁有人及就賬戶作出指示的有關人士的任何個人資料。  
(2) 「勝利證券」所持有客戶的名字、聯絡資料、產品及其他服務組合資料、交易模式和行為、財務背景及人口數據，可不時由「勝利證券」用作直銷用途，並須就此徵求客戶同意(包括客戶對此表示不反對)。  
(3) 本人即明確表示同意「勝利證券」使用本人的個人資料作直銷用途，但本人明白倘本人不同意「勝利證券」使用本人的個人資料及倘接獲本人之書面或口頭要求，該使用將停止。本人亦明白如本人不欲將本人的個人資料用作上述直銷用途，本人應在下段的方格內加上“✓”號，以表示不同意。

☐ 本人不同意使用我的個人資料作直銷用途

☐ 本人不同意「勝利證券」轉交我的個人資料作直銷用途

- (4) 除就上述服務、產品及項目進行銷售外，「勝利證券」亦有意向上文第3段所述的所有或任何人士提供上文第2段所述的個人資料，以供彼等在銷售服務、產品及項目時使用，並須就此徵求客戶的書面同意(包括客戶對此表示不反對)。

- (5) 「勝利證券」或會因按上文第4段所述向其他人士提供個人資料而收取金錢或財物，而當「勝利證券」按第4段徵求客戶的同意或不反對表示時，「勝利證券」將通知客戶是否會因向其他人士提供個人資料而收取任何金錢或其他財物。

- (6) 若客戶不願「勝利證券」使用或向其他人士提供客戶的個人資料作上述直銷用途，客戶可通知「勝利證券」以行使其選擇退出權，而「勝利證券」將應客戶的要求不再使用其個人資料作直銷用途而且不收取費用。

- (7) 客戶同意向實益擁有人及有關人士(即「勝利證券」在向客戶提供服務過程中可能不時向其收集個人資料的人士)傳閱在證券賬戶協議內有關《個人資料(私隱)條例》的通知。

- (1) "VSCL" intends to use the Customer's data in direct marketing on the basis that any personal data of the Customer, the Beneficial Owner(s) and the Relevant Person(s) for giving instructions for the Account(s) will be handled and dealt with in compliance with the Personal Data (Privacy) Ordinance (Cap.486) and any applicable rules, regulations and guidelines.

- (2) The name, contact details, products and other service portfolio information, transaction pattern and behavior, financial background and demographic data of the Customer held by "VSCL" may from time to time be used by "VSCL" in direct marketing and "VSCL" requires the Customer's consent (with includes an indication of no objection) for that purpose.

- (3) I expressly consent to the use of my personal data for the purpose of direct marketing by "VSCL"; but I understand that "VSCL" cannot make such use of my personal data without my consent and will cease upon my written or verbal request. I further understand that if I do not wish to consent to my personal data being used for the said direct marketing purpose, I should indicate that no consent is given, by ticking the boxes below.

☐ I do not wish "VSCL" to use my personal data for direct marketing

☐ I do not wish "VSCL" to transfer my personal data for direct marketing

- (4) In addition to marketing the above services, products and subjects itself, "VSCL" also intends to provide the personal data described in paragraph 2 above to all or any

of the persons described in paragraph 3 above for use by them in marketing those services, products and subjects, and "VSCL" requires the Customer's and "VSCL" requires the Customer's written consent (which includes an indication of no objection) for that purpose.

(5) "VSCL" may receive money or other property in return for providing the personal data to other persons as mentioned in paragraph 4 above and, when requesting the Customer's consent or no objection as described in such paragraph 4, "VSCL" will inform the Customer if it will receive any money or other property in return for providing the personal data to the other persons.

(6) If Customer does not wish "VSCL" to use or provide the Customer's personal data to other persons for use in direct marketing as described above, the Customer may exercise its opt-out right by notifying "VSCL" and "VSCL" will cease to use the Customer's personal data for direct marketing purposes without charge if the Customer requests so.

(7) Customer agrees to circulate the Notice relating to the Personal Data (Privacy) Ordinance in the Securities Account Agreement to the Beneficial Owner(s) and the Relevant Person(s) whom "VSCL" may need to collect their personal data from time to time in the course of "VSCL" provision of services to the Customer.

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

(1) 我/我們明白不能以第三者支票交收。

(2) 我/我們確認，我/我們是該賬戶的實益所有人，並且不會為任何第三者的利益或按任何第三者的指示而操作該賬戶。

(3) 我/我們明白此申請書所要求的資料是根據個人資料(私隱)條例的規定而提供的，及該條例容許貴公司收集及紀錄客戶的資料為日後參考之用及達到履行貴公司作為註冊交易商的責任的目的。

(4) 我/我們亦明白我/我們須隨時應貴公司的要求提供進一步資料或就此申請書上所提供的資料呈遞書面證明。

(5) 我/我們同意遵守聯交所、香港證券結算有限公司、新加坡股票交易所或其他監管組織對於在前述股票交易所及結算系統或任何其他股票交易所或結算系統上市的股票的買賣作出並不時修訂的監管規則及規例。

(6) 我/我們授權貴公司對我/我們進行信用查詢或查核，以確認我/我們的財務狀況及/或投資目的。

(7) 我/我們謹此授權貴公司，在我/我們仍然在貴公司維持有賬戶的整段時間內，為批准此申請書或其他貴公司認為適合的目的，核實或與任何貴公司認為恰當的第三者交換此文件中所載的資料及其他關乎我/我們的詳細及銀行賬戶的資料。

(8) 貴公司有權為任何目的全面依賴上述之資料及聲明，直至貴公司收到以書面形式發出之更改通知為止。貴公司已獲授權隨時接觸任何人仕，包括我/我們的銀行、經紀或信貸機構，以達核證在本協議書上所載的資料的目的。

(9) 如本人選擇收取電子日結單，則貴公司無須再寄付日結單列印本與本人。

(10) 假如貴公司向我們招攬銷售或建議任何金融產品，該金融產品必須是貴公司經考慮我/我們的財政狀況、投資經驗及投資目標後而認為合理地適合我/我們的。本協議的其他條文或任何其他貴公司可能要求我/我們簽署的文件及貴公司可能要求我/我們作出的聲明概不會減損本條款的效力。

(1) I am/We are aware that I/We shall not settle any trading transaction with third party cheques.

(2) I/We confirm that I/we are the beneficial owner(s) of the Account and will not operate the Account for the benefit of, or on the instructions of, a third party.

(3) I/We understand that the information requested in this application is supplied pursuant to the Personal Data (Privacy) Ordinance which permits you to collect and record clients' information for future reference, and for the purpose of discharging "VSCL"'s obligation as a registered dealer.

(4) I/We further understand that I/we may be required to provide additional information or submit documentary proof as to the information provided in this application as and when requested by "VSCL".

(5) I/We agree to abide by the Rules and Regulations of the Exchange, Hong Kong Securities Clearing Company Limited, the Stock Exchange of Singapore or any regulatory bodies from time to time governing the purchase and sale of shares quoted on the aforementioned stock exchanges and clearing system or any other stock exchanges or clearing systems.

(6) I/We hereby authorise "VSCL" to conduct a credit enquiry or check on me/us for the purpose of ascertaining my/our financial situation and/or investment objectives.

(7) I/We hereby authorize "VSCL" to verify and exchange the information contained herein and such other information relating to my/our particulars and my/our bank accounts between "VSCL" and such other third parties as "VSCL" may deem appropriate for the purpose of approving this application and for such other purposes as "VSCL" may deem fit as long as I/we shall retain an account with "VSCL".

(8) "VSCL" are entitled to rely fully on such information and representations for all purposes unless "VSCL" receive notice in writing of any change. "VSCL" is authorised notice in writing of any change. "VSCL" is authorised at any time to contact anyone, including our banks, brokers or any credit agency, for purposes of verifying the information provided herein.

(9) If I/we choose to receive daily account statements by e-statement method, I/we agree that "VSCL" need not deliver the such original statements to me/us.

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

由於通訊擠塞及其他原因，任何電子渠道和互聯網屬不可靠通訊媒體，而此不可靠本質並非貴公司所能控制。本人確認由於有此不可靠本質，在傳送及接收指令及其他通訊時會存在保安風險及無法傳送及接收以及延誤風險，影響資料的完整性和私隱性，或導致無法或延誤執行指令及/或執行指令時之價位有別於指令發出時之價位。本人進一步確認及同意，在任何通訊中均存在指令遭人截取、誤解或出錯之風險，而此等風險須由本人全部承擔。本人確認及同意指令一經發出，通常不能撤銷。本人明白及同意承擔所有經電子方式進行買賣及交易之風險。

All electronic channel and internet is, due to unpredictable traffic congestion and other reason, an inherently unreliable medium of communication and that such unreliability is beyond the control of the company. I/We acknowledge that, as a result of such unreliability, there are security risks and risks of failure or delay in the transmission and receipt of instructions and other information and that this may result in influence on integrity and privacy of data, failure or delay in the execution of instructions and/or the execution of instructions at prices different from those prevailing at the time the instructions were given. I/We further acknowledge and agree that there are risks of interception of instructions as well as of misunderstanding or errors in any communication and that such risks shall be absolutely borne by me/us. I/We



acknowledge and agree that it is not usually possible to cancel an instruction after it has been given. I/We understand and agree to bear all risks involved in trade and transaction entered through electronic means.

請參閱附帶的風險披露聲明。(文件編號AT0805的第12-18頁)

Please read the relevant Agreement Terms and Risk Disclosure Statement (document Number AT0805)

#### Declaration 聲明

本人/吾等陳述及保證，客戶資料表內的資料均為真實、完整及準確，並明白勝利證券有限公司(「勝利證券」)將根據上述資料評估本人/吾等是否擁有對相關投資產品之知識及經驗，以符合《證券及期貨事務監察委員會持牌人或註冊人操作守則》之有關要求。本人/吾等已閱讀及明白「勝利證券」提供的有關交易衍生工具的風險披露文件。本人/吾等作出投資決定前已充分認識交易相關投資產品所附帶的風險，並願意承擔交易相關投資產品的所有風險。「勝利證券」有權完全依賴該等資料作一切用途，除非其收到關於任何變動的書面通知。「勝利證券」有權隨時聯絡任何人士(包括本人/吾等的銀行、經紀或任何信用調查機構)以核實本客戶資料表內的資料。

I/We represent and warrant that the information on this Customer Information Form is true, complete and accurate. In addition, I/We understand that "VSCL" will rely on the above stated information for assessment of my/our knowledge of and experience in the relevant derivative products in order to satisfy the corresponding requirements under the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission as applicable from time to time. I/We have read and I/We understand the Risk Disclosure Statement of the Derivative Products provided to me by "VSCL". I/We fully understand the underlying risk(s) associated with/arising from trading the relevant derivative products before I/We make the decision to invest in the relevant derivative products, and I am/We are willing and able to assume all the risk associated with/arising from trading the relevant derivative products. "VSCL" is entitled to rely fully on such information for all purposes, unless it receives notice in writing of any change. "VSCL" is authorised at any time to contact anyone, including my/our banks, brokers, or any credit agency, for the purpose of verifying the information provided on the Customer Information Form.

本人/吾等確認收到 貴公司的協議書條款及風險披露聲明書，並同意接納本協議書及聲明書之內容。(文件編號AT0805的第1-33頁)

I/We hereby confirm that I/we have received this Agreement Terms and Risk Disclosure Statement, and also confirm that I/we accept the content of this document. (Document Number AT0805 P.1 to 33).

客戶確認已按照客戶選擇的語言(中文或英文)獲得風險披露聲明及已獲邀閱讀該風險披露聲明(包括保證金交易條款及條件、環球股票交易所涉及的風險以及期貨交易須知)、提出問題及徵求獨立的意見(如客戶有此意願)。

The customer acknowledges that the Risk Disclosure Statement was provided in a language of the customer's choice (Chinese or English) and the customer was invited to read the Risk Disclosure Statement (including Terms and Conditions for Margin Trading, Global Trading and Futures Trading) and to ask questions and take independent advice if the customer wishes.

Account Holder (1) Signature:

賬戶持有人(1) 簽署:

陳

Account Holder (2) Signature:

賬戶持有人(2) 簽署:

Client's Name 客戶名稱: CHAN SIU MING/陳曉明

Date 日期: 1/1/2019

Client's Name 客戶名稱:

Date 日期:

Signature of Witness:

見證人簽署:

Name of Witness:

見證人姓名:

#### Declaration by Licensed Staff 持牌職員聲明:

本人，以持牌人士或註冊人士身份，確認本人已按照上述客戶所選擇的語言(中文或英文)提供客戶協議書、風險披露聲明及電子交易服務條款(如適用)之副本及邀請客戶閱讀客戶協議書、風險披露聲明及電子交易服務條款(如適用)，提出問題及徵求獨立意見(如客戶有此意願)。I, a licensed or registered person, hereby declare that I have provided the above client with a copy of the Client Agreement, the Risk Disclosure Statement and the terms of Electronic Trading Service (if applicable) in a language of the Client's choice (Chinese or English) and invited the client to read the Client Agreement, the Risk Disclosure Statement and the terms of Electronic Trading Service, ask questions and take independent advice if the client so wishes.

Signature of Licensed Person:

持牌人士簽署:

CE No.:

中央編號:

Name of Licensed Person:

持牌人士姓名:

Date:

日期:

Remarks 備註:

**Note 1 附註一**

(a) "Income" is defined as your objective is to generate current income from investments and you are less concerned with capital appreciation

"收入" 指閣下目標是從投資賺取經常收入，少重於資本增值

(b) "Growth" is defined as your objective is capital appreciation and current income from investments is not a requirement

"增長" 指閣下目標是資本增值，無須從投資賺取經常收入

(c) "Balanced" is defined as your objective is a combination of income and growth

"均衡" 指閣下目標是結合收入和增長

(d) "Hedging" is defined as your objective is to off-set potential losses/gains that may be incurred by other investments

"對沖" 指閣下目標是抵銷因其他投資而可能產生的潛在損失/收益

(e) "Speculation" is defined as your objective is to maximize returns through capital appreciation from higher risk investments

"投機" 指閣下目標是透過較高風險的投資，從而做到資本增值以賺取最大回報

**Note 2 附註二**

(a) "High" is defined as High risk investments demonstrate high volatility and are for investors that are growth oriented and are willing to accept significant short-term fluctuations in portfolio value in exchange for potentially higher long-term returns (Potential Loss: >30%)

"高"指高風險投資具高波動性，適合注重增長並願意接受投資組合價值在短期內大幅波動的投資者，以換取潛在較高的長期回報(潛在損失:>30%)

(b) "Moderate to High" is defined as Moderate to High risk investments demonstrate a medium to high volatility and are for investors that are looking for long term growth (Potential Loss: 20%-30%) "中度至高" 指中度至高風險投資展示中度至高波動性，適合尋求長期增長的投資者(潛在損失: 20%-30%)

(c) "Moderate" is defined as Moderate risk investments demonstrate medium volatility and are for investors looking for moderate growth over longer period of time (Potential Loss: 10%-20%) "中度"指中度風險投資具中度波動性，適合希望在較長期間內獲得中度增長的投資者(潛在損失: 10%-20%)

(d) "Low to Moderate" is defined as Low to Moderate risk investments demonstrate low to medium volatility but a lower volatility than those described above (Potential Loss: 5%-10%) "低至中度" 指低至中度風險投資具低至中度波動性，但波動性較上述者為低(潛在損失: 5%-10%)

(e) "Low" is defined as Low risk investments demonstrate low volatility and are for investors who are willing to accept lower returns for greater safety of capital (Potential Loss: <5%) "低"指低風險投資具低波動性，適合願意接受較低回報而換取更大資金安全性的投資者(潛在損失:<5%)

**For Office Use Only 公司專用**

**合約文件核對表 Agreement Checklist**

	【必須】	【可選】
1 Trading Agreement 買賣合約	<input type="checkbox"/>	
2 Form W-8 Ben 非美國公民聲明/ Form W-9 美國納稅義務人稅籍編號暨聲明書	<input type="checkbox"/>	
3 Self-Certification Form CRS 自我聲明表格	<input type="checkbox"/>	
4 ID Copy / Address proof 身份證副本 / 住址證明複印本【3個月之內有效】	<input type="checkbox"/>	
5 Application & Standing Authority for Margin Account 保證金客戶授權書		<input type="checkbox"/>
6 Derivatives product trading Agreement 衍生產品交易合約		<input type="checkbox"/>
7 Risk Profile Questionnaire(Discretionary & AM Account)風險承受能力問卷-委託賬戶&資產管理賬戶		<input type="checkbox"/>
8 Application & Standing Authority for Rolling Balance Account 滾額戶口申請及客戶授權書		<input type="checkbox"/>
9. Futures Account Agreement 期貨交易合約		<input type="checkbox"/>
10 指明被聯合國委員會指定為恐怖分子或與恐怖分子有聯繫者的人士	是 <input type="checkbox"/>	否 <input type="checkbox"/>
11 政治人物或其關連人士	是 <input type="checkbox"/>	否 <input type="checkbox"/>
12 客戶風險評估	高 <input type="checkbox"/> 中 <input type="checkbox"/> 低 <input type="checkbox"/>	

Assessor: \_\_\_\_\_

賬戶介紹人:

Account introduced by:

資料輸入 Inputted by

職員姓名 Name of the Staff:

文件查核 Document checked by:

職員姓名 Name of the Staff:

開戶批核 Account Opening Approval:

職員姓名 Name of the Staff:

客戶佣金及最低佣金:

Client Commission rate and Minimum Commission:

只適用於證券賬戶(保證金)

批核信貸限額:

Credit Credit Limit: \_\_\_\_\_

經紀姓名及編號:

Name and Code of AE:

簽署 Signature:

日期 Date:

簽署 Signature:

日期 Date:

簽署 Signature:

日期 Date:

交易限額/信貸限額:

Trading Limit / Credit Limit:

謹代表勝利證券有限公司接納

Accepted for and on behalf of Victory Securities Company Limited



保證金客戶授權書 AUTHORIZATION LETTER FROM MARGIN CLIENTS

致 To: 勝利證券有限公司 Victory Securities Company Limited

常設授權書 STANDING AUTHORITY

本常設授權書是有關一切由貴公司代表本人/吾等購入或持有之證券。

This letter of standing authority covers all securities purchased or held by you on my/our behalf.

本常設授權書授權貴公司，根據《證券及期貨（客戶證券）規則》第7(2)條的規定：

Without notice to me/us, pursuant to Section 7(2) of the Securities and Future (Client Securities) rules, this letter authorize you to:-

- (1) 依據證券借貸協議運用任何有關客戶證券或證券抵押品；  
apply any of my/our securities or securities collateral to a securities borrowing and lending agreement;
- (2) 將任何有關證券抵押品存放於認可財務機構，作為提供予該中介人的財務通融的抵押品；及/或  
deposit any of my/our securities collateral with an authorized financial institution as collateral for financial accommodation provided to you; and/or
- (3) 將任何有關證券抵押品存放於認可結算所；或另一或發牌或獲註冊進行證券交易的中介人，作為解除該中介人在交收上的義務和清償該中介人在交收上的法律責任的抵押品，而毋須通知本人/吾等。  
deposit any of my/our securities collateral with a recognized clearing house or another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of your settlement obligations and liabilities,

本人/吾等明白香港中央結算有限公司因貴公司在交收上的責任而對本人/吾等的證券設定第一固定押記。

I/We understand that the recognized clearing house or the intermediary licensed or registered for dealing in securities will have a first fixed charge over my/our securities collateral to the extent of your settlement obligation and liabilities

本授權書並不涉及就貴公司借、貸或存放本人/吾等任何證券而須支付或收取的任何代價。任何代價均須由本人/吾等與貴公司另行簽約訂明。

This standing authority does not cover any consideration I/we must pay or be paid for your borrowing, lending, or depositing any or my/our securities. Any consideration must be set in a separate agreement between us.

有關根據本協議書而借、貸或存放之證券，貴公司仍須向本人/吾等負責歸還。

You are accountable to me/us for the return of any securities borrowed, lent, or deposited under this authority.

本人/吾等明白本人/吾等的證券可能受制于第三者之權利，貴公司可於全數抵償該等權利後，方將本人/吾等的證券退回本人/吾等。

I/We understand that a third party may have rights to my/our securities, which you must satisfy before my/our securities can be returned to me/us

本常設授權書的有效期為十二個月，並於2019年1月1日至2019年12月31日期間生效。本人/吾等有權隨時以一星期事先書面通知貴公司撤銷此常設授權書。本授權書將被當作續期一或多次，每次不超過十二個月，假如:-

- (a) 貴公司於到期日前不少於十四天向本人/吾等發出到期及續期通知；及
- (b) 貴公司於到期日前並無收到本人/吾等書面反對續期；及
- (c) 貴公司於到期日後七天內以書面向本人/吾等確認此續期。

This authority is valid for period of 12 months from \_\_\_\_\_ and will expire on \_\_\_\_\_ or may be revoked at any time on giving 1 week prior written notice to you. It will be deemed to have been renewed for one or more periods each not exceeding 12 months if:-

- (a) you have served expiry and renewal notice on me/us at least 14 days prior to the expiry date; and
- (b) you have not received my/our objection in writing for such renewal before the expiry date; and
- (c) you confirm such deemed renewal in writing to me/us within 7 days after the expiry date.

本函件已全部向本人/吾等解釋清楚。本人/吾等明白本函件的內容。

This letter has been fully explained to me/us, and I/we understand the contents of this letter.

Yours faithfully,

簽署：

陳

(聯名戶口均需聯合簽署)(Joint Signatures are required for joint name account)

客戶號碼及姓名：

Client Account Number and Name:

CHAN SIU MING/陳曉明

日期：

Date:

1/1/2019



致： 勝利證券有限公司

自我證明表格 – 個人

**重要提示：**

- 這是由帳戶持有人向申報財務機構提供的自我證明表格，以作自動交換財務帳戶資料用途。申報財務機構可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- 如帳戶持有人的稅務居民身分有所改變，應盡快將所有變更通知申報財務機構。
- 除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄/部標有星號（\*）的項目為申報財務機構須向稅務局申報的資料。

**第 1 部 個人帳戶持有人的身分識別資料**

（對於聯名帳戶或多人聯名帳戶，每名個人帳戶持有人須分別填寫一份表格）

**(1) 帳戶持有人的姓名**

稱謂（例如：先生、太太、女士、小姐）

姓氏 \*

陳

名字 \*

曉明

中間名

**(2) 香港身份證或護照號碼**

Z123456(7)

**(3) 現時住址**

第 1 行（例如：室、樓層、大廈、街道、地區）

上環干諾道西3號億利商業大廈30樓D室

第 2 行（城市）\*

香港

第 3 行（例如：省、州）

國家 \*

中國

郵政編碼/郵遞區號碼

**(4) 通訊地址（如通訊地址與現時住址不同，填寫此欄）**

第 1 行（例如：室、樓層、大廈、街道、地區）

第 2 行（城市）

第 3 行（例如：省、州）

國家

郵政編碼/郵遞區號碼

**(5) 出生日期 \*（日/月/年）**

1/1/1989

**(6) 出生地點（可不填寫）**

鎮/城市

省/州

國家



## 第 2 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」）\*

提供以下資料，列明（a）帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區（香港包括在內）及（b）該居留司法管轄區發給帳戶持有人的稅務編號。列出**所有**（不限於 5 個）居留司法管轄區。

如帳戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。

如沒有提供稅務編號，必須填寫合適的理由：

**理由 A** – 帳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。

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

**理由 C** – 帳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帳戶持有人披露稅務編號。

居留司法管轄區	稅務編號	如沒有提供稅務編號， 填寫理由 A、B 或 C	如選取理由 B， 解釋帳戶持有人不能取得稅務編號的原因
(1) 香港	Z123456(7)		
(2)			
(3)			
(4)			
(5)			

## 第 3 部 聲明及簽署

本人知悉及同意，財務機構可根據《稅務條例》（第 112 章）有關交換財務帳戶資料的法律條文，（a）收集本表格所載資料並可備存作自動交換財務帳戶資料用途及（b）把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。

本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人 / 本人獲帳戶持有人授權簽署本表格<sup>#</sup>。

本人承諾，如情況有所改變，以致影響本表格第 1 部所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知勝利證券有限公司，並會在情況發生改變後 30 日內，向勝利證券有限公司提交一份已適當更新的自我證明表格。

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。

簽署

姓名

身分

日期（日/月/年）

陳

陳曉明

本人

1/1/2019

（如你不是第 1 部所述的個人，說明你的身分。如果你是以授權人身分簽署這份表格，須夾附該授權書的核證副本。）

<sup>#</sup> 刪去不適用者

**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。



樣本

Form **W-8BEN**

(Rev. July 2017)

Department of the Treasury  
Internal Revenue Service

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

- ▶ For use by individuals. Entities must use Form W-8BEN-E.
- ▶ Go to [www.irs.gov/FormW8BEN](http://www.irs.gov/FormW8BEN) for instructions and the latest information.
- ▶ Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

**Do NOT use this form if:**

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

**Note:** If you are resident in a FATCA partner jurisdiction (i.e., a Model 1 IGA jurisdiction with reciprocity), certain tax account information may be provided to your jurisdiction of residence.

**Instead, use Form:**

**Part I Identification of Beneficial Owner (see instructions)**

<b>1</b> Name of individual who is the beneficial owner  <div style="text-align: center;"><b>CHAN SIU MING</b></div>	<b>2</b> Country of citizenship  <div style="text-align: center;"><b>HONG KONG</b></div>
<b>3</b> Permanent residence address (street, apt. or suite no., or rural route). <b>Do not use a P.O. box or in-care-of address.</b>  <div style="display: flex; justify-content: space-between;"> <div style="width: 70%;"> City or town, state or province. Include postal code where appropriate.  <b>Room D, 30/F, Yardley Commercial Building, 3 Connaught Road West, Hong Kong</b> </div> <div style="width: 30%;"> Country  <b>CHINA</b> </div> </div>	
<b>4</b> Mailing address (if different from above)  <div style="display: flex; justify-content: space-between;"> <div style="width: 70%;"> City or town, state or province. Include postal code where appropriate. </div> <div style="width: 30%;"> Country </div> </div>	
<b>5</b> U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)	<b>6</b> Foreign tax identifying number (see instructions)
<b>7</b> Reference number(s) (see instructions)	<b>8</b> Date of birth (MM-DD-YYYY) (see instructions)  <div style="text-align: center;"><b>1/1/1989</b></div>

**Part II Claim of Tax Treaty Benefits (for chapter 3 purposes only) (see instructions)**

- 9** I certify that the beneficial owner is a resident of \_\_\_\_\_ within the meaning of the income tax treaty between the United States and that country.
- 10 Special rates and conditions** (if applicable—see instructions): The beneficial owner is claiming the provisions of Article and paragraph \_\_\_\_\_ of the treaty identified on line 9 above to claim a \_\_\_\_\_ % rate of withholding on (specify type of income): \_\_\_\_\_
- Explain the additional conditions in the Article and paragraph the beneficial owner meets to be eligible for the rate of withholding: \_\_\_\_\_

**Part III Certification**

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

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income to which this form relates or am using this form to document myself for chapter 4 purposes,
  - The person named 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 applicable income tax treaty, or
    - (c) the partner's share of a partnership's effectively connected income,
  - The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country, and
  - For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.
- Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.

Sign Here



Signature of beneficial owner (or individual authorized to sign for beneficial owner)

**1/1/2019**

Date (MM-DD-YYYY)

**CHAN SIU MING**

Print name of signer

Capacity in which acting (if form is not signed by beneficial owner)

For Paperwork Reduction Act Notice, see separate instructions.

Cat. No. 25047Z

Form **W-8BEN** (Rev. 7-2017)



W-8BEN — 美國預扣稅及申報實益擁有人之外籍身分證明(個人)



如為聯名戶口，每位戶口持有人必須分別填寫一份表格。

W-8BEN表格必須準確填寫，不得塗改。

如果填寫有誤，請用新表格重新填寫。

請勿使用塗改液或其他塗改工具。

所有W表格均必須以英文填寫。

Form **W-8BEN** **Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)**

(Rev. February 2014)

Department of the Treasury Internal Revenue Service

OMB No. 1545-1621

**Do NOT use this form if:**

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

**Instead, use Form:**

- W-8BEN-E
- W-9
- W-8ECI
- 8233 or W-4
- W-8IMY

**Part I Identification of Beneficial Owner (see instructions)**

1 Name of individual who is the beneficial owner  
**David Wieslaw Tadeusz**

2 Country of citizenship  
**Malaysia**

3 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address.  
**168 Jalan Garden**  
City or town, state or province. Include postal code where appropriate.  
**12873 AS 20, Selangor, Malaysia**

4 Mailing address (if different from above)  
City or town, state or province. Include postal code where appropriate.  
Country  
**Malaysia**

5 U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)

6 Foreign tax identifying number (see instructions)

7 Reference number(s) (see instructions)

8 Date of birth (MM-DD-YYYY) (see instructions)

**Part II Claim of Tax Treaty Benefits (for chapter 3 purposes only) (see instructions)**

9 I certify that the beneficial owner is a resident of \_\_\_\_\_ within the meaning of the income tax treaty between the United States and that country.

10 Special rates and conditions (if applicable—see instructions): The beneficial owner is claiming the provisions of Article \_\_\_\_\_ of the treaty identified on line 9 above to claim a \_\_\_\_\_ % rate of withholding on (specify type of income): \_\_\_\_\_

Explain the reasons the beneficial owner meets the terms of the treaty article: \_\_\_\_\_

**Part III Certification**

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

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income to which this form relates or am using this form to document myself as an individual that is an owner or account holder of a foreign financial institution,
- The person named on line 1 of this form is not a U.S. person,
- The income to which this form relates is:  
(a) not effectively connected with the conduct of a trade or business in the United States,  
(b) effectively connected but is not subject to tax under an applicable income tax treaty, or  
(c) the partner's share of a partnership's effectively connected income,
- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country, and
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.

**Sign Here**

1 Signature of beneficial owner (or individual authorized to sign for beneficial owner)

2 Date (MM-DD-YYYY)

3 Print name of signer

Capacity in which acting (if form is not signed by beneficial owner)

For Paperwork Reduction Act Notice, see separate instructions. Cat. No. 25047Z Form **W-8BEN** (Rev. 2-2014)

A. 請詳閱本節和相關指引，以確保使用正確的W表格。

B. 第一部分 (實益擁有人身分)

第1欄 全名 (姓名)

第2欄 國籍

第3欄 在第一行填寫完整的街道地址，在第二行填寫城市或城鎮、州或省，包括郵政編碼。

請勿使用：

郵政信箱或代收地址

第三方姓名

金融機構的地址

美國地址

第4欄 如果您的郵寄地址與永久居住地址不同，請填寫郵寄地址。

注意：如果填寫美國郵寄地址，必須書面說明使用美國郵寄地址的原因。如果填寫的國家與永久居住地所在國家不同，也必須書面說明原因。

第5欄 填寫您的美國納稅人識別號碼(TIN)。該號碼為您的社會保障號碼(SSN)或個人納稅人識別號碼(ITIN)。有效的納稅人識別號碼應由9個數字組成。

納稅人識別號碼不會：

(1) 含有數字以外的內容，

(2) 少於或超過9個數字，

(3) 含有9個相同的數字，或

(4) 含有9個順序排列的數字（無論升序還是降序）。

第6欄 填寫您在美國以外的稅務識別號碼。如果沒有外國稅務識別號碼，請轉至

第8欄 並填寫您的出生日期（月/ 日/ 年年年年）

第7欄 請勿填寫戶口號碼，否則表格將僅限於所列戶口使用，您可能須為您的其他戶口另外填寫表格。

注意：有關誰是實益擁有人的進一步說明，請參閱W-8BEN指引。

C. 第二部分 (申請稅務協定利益)

第9欄和第10欄 僅當您是協定國居民並有權申請稅務協定利益，即您收到源自美國的固定或可確定年度或定期(FDAP)收入（例如股息）時，才需填寫本節內容。如果對您是否有資格申請稅務協定利益存有疑問，我們建議您尋求獨立稅務意見。

D. 第三部分 (證明)

1. 請在表格上簽名，並在簽名下方的橫線上以正楷工整書寫姓名。

2. 請以月/ 日/ 年年年年的格式填寫日期。

3. 如果您代表第1欄所述的人士簽名，請填寫行事代表人這一欄。

注意：除非授權書特別注明代理人/ 律師可以簽署稅務文件或稅務表格（並提供或持有相關副本），或者提供國稅局2848表格，否則本表格不得通過授權書授權簽署。

\* 勝利證券不能提供任何稅務建議。如需有關建議，請諮詢獨立稅務顧問。



# W-8BEN – Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)

For Joint Accounts, each account holder must complete a separate form.  
A form W-8BEN must be completed correctly without any alterations.  
If you make a mistake, please start over using a new form.  
*Do not use liquid paper or any other correctional tool.*

All W Forms must be completed in English.

Form **W-8BEN**  
(Rev. February 2014)  
Department of the Treasury  
Internal Revenue Service

**Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)**  
► For use by individuals. Entities must use Form W-8BEN-E.  
► Information about Form W-8BEN and its separate instructions is at [www.irs.gov/formw8ben](http://www.irs.gov/formw8ben).  
► Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

**Do NOT use this form if:**

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

**Instead, use Form:**

- W-8BEN-E
- W-9
- W-8ECI
- 8233 or W-4
- W-8IMY

**Part I Identification of Beneficial Owner** (see instructions)

1 Name of individual who is the beneficial owner  
David Wieslaw Tadeusz

2 Country of citizenship  
Malaysia

3 Permanent residence address (street, apt. or suite no., or rural route). **Do not use a P.O. box or in-care-of address.**  
168 Jalan Garden  
City or town, state or province. Include postal code where appropriate.  
12873 AS 20, Selangor, Malaysia

Country  
Malaysia

4 Mailing address (if different from above)  
  
City or town, state or province. Include postal code where appropriate.  
  
Country

5 U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)

6 Foreign tax identifying number (see instructions)

7 Reference number(s) (see instructions)

8 Date of birth (MM-DD-YYYY) (see instructions)

**Part II Claim of Tax Treaty Benefits** (for chapter 3 purposes only) (see instructions)

9 I certify that the beneficial owner is a resident of \_\_\_\_\_ within the meaning of the income tax treaty between the United States and that country.

10 **Special rates and conditions** (if applicable—see instructions): The beneficial owner is claiming the provisions of Article \_\_\_\_\_ of the treaty identified on line 9 above to claim a \_\_\_\_\_ % rate of withholding on (specify type of income): \_\_\_\_\_  
Explain the reasons the beneficial owner meets the terms of the treaty article: \_\_\_\_\_

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

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income to which this form relates or am using this form to document myself as an individual that is an owner or account holder of a foreign financial institution,
- The person named on line 1 of this form is not a U.S. person,
- The income to which this form relates is:
  - (a) not effectively connected with the conduct of a trade or business in the United States,
  - (b) effectively connected but is not subject to tax under an applicable income tax treaty, or
  - (c) the partner's share of a partnership's effectively connected income,
- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country, and
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. **I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.**

**Sign Here** ►

1  
Signature of beneficial owner (or individual authorized to sign for beneficial owner)

2  
Date (MM-DD-YYYY)

Print name of signer

Capacity in which acting (if form is not signed by beneficial owner)

For Paperwork Reduction Act Notice, see separate instructions.

Cat. No. 25047Z

Form **W-8BEN** (Rev. 2-2014)

A. Please read this section and the associated instructions to ensure you are completing the correct W form.

B. PART I (Identification of Beneficial Owner)

Line 1 Full Name (First Name and Last Name).

Line 2 Country of Citizenship

Line 3 Insert full street address on the first line, and the City or town, state or province including post code on the 2nd line.

DO NOT USE:

PO Box or C/O address

Name of a third party

Address at a Financial Institution

US address

Line 4 Insert a mailing address only if it is different from your Permanent residence address.

Note: If a US mailing address is entered, a written explanation/reason for the US mailing address will be required. If the country differs to the country in the permanent residence address then a written explanation will be required.

Line 5 Insert your US Taxpayer Identification Number (TIN). It will either be a Social Security Number (SSN) or an Individual Taxpayer Identification Number (ITIN). A valid TIN will always be made up of 9 digits.

A TIN should not:

(1) contain something other than numbers,

(2) contain fewer than or more than nine digits,

(3) consist of nine of the same number, or

(4) consist of nine sequential numbers (whether ascending or descending order).

Line 6 Insert your non-US tax identifying number. If you do not have one, go to

Line 8 and write down your date of birth (MM/DD/YYYY).

Line 7 DO NOT LIST ACCOUNT NUMBERS as this could limit the form to the accounts listed and you may have to provide another form for your other accounts.

Note: Please refer to the W-8BEN instructions for further guidance on who is the beneficial owner.

C. PART II (Claim of Tax Treaty Benefits)

Lines 9 and 10 Only complete this section if you are resident in a treaty country and entitled to claim tax treaty benefits, ie if you are receiving fixed or determinable, annual or periodical (FDAP) income, for example dividend payments, and the payment is from sources within the US. If you have any queries regarding your eligibility to claim tax treaty benefits, we suggest that you seek independent tax advice.

D. PART III (Certification)

1. Please sign the form and print your name on the line below your signature.

2. Please date the form using the MM/DD/YYYY format.

3. If you are signing on behalf of the person stated on Line 1, please complete the capacity field.

Note: This form cannot be signed under a Power of Attorney (POA) unless the POA document specifically mentions that the agent/attorney is able to sign on tax matters or on tax forms (and a copy is provided, or held), or alternatively if an IRS Form 2848 is provided.

\* Victory Securities are unable to provide any Tax advice. If you require any advice please refer to an independent tax advisor.