

個人客戶自我聲明書 Individual Customer Self-Certification

中文姓名:
Chinese Name:

英文姓名:
English Name:

賬戶號碼 (註):

Account Number (Note): _____

註: 請填寫本公司的任何一個現存賬戶號碼

Note: Please fill in any existing account number of our company.

身份證明文件種類: 香港身份證 護照/旅行證件 其他 (請列明)

Identity Document Type: HKID Passport/Travel Document Other (Please specify) _____

身份證明文件號碼:

Identity Document Number: _____

請在適當的方格內加上“✓”號以回答以下問題: Please check “✓” the applicable box for each of the following questions:

- | | 是/Yes | 否/No |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|--------------------------|
| 1. 閣下是否美國納稅人? Are you a U.S. Taxpayer? | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. 閣下是否美國公民或美國居民? Are you a U.S. Citizen or U.S. Resident? | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. 閣下是否持有美國永久居民身份證(綠卡)?
Do you hold a U.S. Permanent Resident Card (Green Card)? | <input type="checkbox"/> | <input type="checkbox"/> |
| 4. 如對以上問題 1-3 回覆其中一項為“是”, 請提供閣下之美國稅務編號(TIN):
If the reply to any of Questions 1-3 above is “Yes”, please provide your U.S. Taxpayer Identification Number (TIN): | _____ | |

致:寶生證券及期貨有限公司(「公司」)(註:只適用於如或當閣下為有關公司的客戶)

To: Po Sang Securities and Futures Limited (“Company”) (Note: only applicable if or when you are a customer of the relevant Company(ies))

本人確認以上所提供的資料是真實、準確以及完整。

I hereby confirm the information provided above is true, accurate and complete.

本人同意 貴公司可使用及披露本人的個人資料 (不論是在上述提供的或由 貴公司於之前或將來獲得的) (「個人資料」) 作載於 貴公司最新近的「資料政策通告」上的用途及分享本人的個人資料予其他集團公司(「集團公司」指貴公司及其控股公司、分行、附屬公司、代表辦事處及附屬成員, 不論其所在地, 而附屬成員包括貴公司的控股公司之分行、附屬公司、代表辦事處及附屬成員, 不論其所在地。)以遵守其任何須承擔或獲施加與本地或海外之法定、監管、政府、稅務、執法或其他機構或金融服務提供者之自律監管或行業團體或組織之間的現有或將來之任何合約承諾或其他承諾(「承諾」)。本人明白如不給予以上同意, 可能會導致 貴公司無法向本人提供服務。

I consent to the Company using and disclosing my personal data (whether provided above or otherwise obtained by the Company previously or in the future) (“Personal Data”) for the purpose(s) as shown in the Company’s latest “Data Policy Notice” and sharing my Personal Data with the other Group Companies (“Group Companies” means the Company and its holding companies, branches, subsidiaries, representative offices and affiliates, wherever situated and “affiliates” include branches, subsidiaries, representatives offices and affiliates of the Company’s holding companies, wherever situated) for their compliance with any present or future contractual or other commitment with local or foreign legal, regulatory, governmental, tax, law enforcement or other authorities, or self-regulatory or industry bodies or associations of financial services providers (“Commitment”). I understand that if I do not give the above consent, the Company may be prevented from providing me with services.

本人同意 貴公司可按適用的法律、法規、指令和承諾在本人賬戶中扣留相關所須的金額款項。

I agree that the Company may withhold from my account(s) such amounts as may be required according to applicable laws, regulations, directives and Commitment.

本人保證本人向 貴公司提供的任何資料如有變更, 本人會於三十日內通知 貴公司。

I undertake to notify the Company within 30 calendar days if there is a change in any information which I have provided to the Company.

簽署

Signature: _____

(請以留存公司的印鑑式樣簽)

(Please sign in the same form as your specimen furnished for the Company’s records.)

日期

Date: _____

公司專用	
S.V	Checked by