

**ACCOUNT OPENING FORM 開戶申請表格**

(Individual / Joint Account 個人 / 聯名帳戶)

<b>Client Type</b> 客戶類別	<input type="checkbox"/> Individual Account 個人帳戶	/	<input type="checkbox"/> Joint Account 聯名帳戶
<b>Type of Account</b> 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
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**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)
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**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)
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**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	
----------------	--

Issue Country 證件簽發地	(Country 國家)
------------------------	--------------

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



## 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 <sup>1</sup> (issued from your bank account in Hong Kong)  
使用個人支票作核實身分之用途 <sup>1</sup> (由閣下在香港的銀行帳戶發出)
- Arrange a Witness <sup>2</sup> (sign at Part 57, and sign and certified your documents as true copy)  
安排認可的見證人 <sup>2</sup> (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: 1. Use a Personal Cheque to Serve as Verification of Signature and Identity  
第 23 項註釋: 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(該帳戶須於香港持牌銀行開設), 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 "Monex Boom Securities (H.K.) Limited"; and 抬頭寫上「實盛證券(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受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 <sup>1</sup> (issued from your bank account in Hong Kong)  
使用個人支票作核實身分之用途 <sup>1</sup> (由閣下在香港的銀行帳戶發出)
- Arrange a Witness <sup>2</sup> (sign at Part 57, and sign and certified your documents as true copy)  
安排認可的見證人 <sup>2</sup> (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 (  incl. RMB 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 (  incl. RMB 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"/> Now TV <input type="checkbox"/> Others, please specify 其他, 請註明 _____	<input type="checkbox"/> TVB Finance 無線財經台 <input type="checkbox"/> ViuTV	<input type="checkbox"/> TVB News 無線新聞台 <input type="checkbox"/> MyTV Super	<input type="checkbox"/> NowTV APP
<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"/> Banner Ad 網上廣告 <input type="checkbox"/> Others, please specify 其他, 請註明 _____			
<input type="checkbox"/> Others 其他途徑	<input type="checkbox"/> AAStocks <input type="checkbox"/> Google Search 搜尋 <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"/> Referrer 推薦人	<input type="checkbox"/> Webinar 網上投資講座 <input type="checkbox"/> Outdoor ad. 戶外推廣廣告 <input type="checkbox"/> Recycle Bag 環保袋 <input type="checkbox"/> MTR AD 港鐵廣告 <input type="checkbox"/> Others, please specify 其他, 請註明 _____			
	<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  
 \$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 type="text"/> | per annum 按年度 | Volume of Transactions (HKD) 交易金額 (以港元為單位) | <input type="text"/> | per annum 按年度 |
|-----------------------|----------------------|---------------|--------------------------------------------|----------------------|---------------|

## Related Account(s) &amp; 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？

No 否       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

From 由                      To 至

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？

Yes 是  
 No 否

Relationship with you  
與閣下之關係

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：  
\_\_\_\_\_

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

From 由                      To 至

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？

Yes 是  
 No 否

Relationship with you  
與閣下之關係

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 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？

No 否       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

From 由                      To 至

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？

Yes 是  
 No 否

Relationship with you  
與閣下之關係

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：  
\_\_\_\_\_

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

From 由                      To 至

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？

Yes 是  
 No 否

Relationship with you  
與閣下之關係

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：  
\_\_\_\_\_

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 Monex 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 **singly** 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: First Applicant  % Second Applicant  %  
請列明百分比： 第一申請人 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 Monex Boom Securities (H.K.) Limited: **Securities Client Agreement (April 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（二零二四年四月版）**（「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 Monex Boom Securities (H.K.) Limited: **Futures Client Agreement (April 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（二零二四年四月版）**（「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 頁))

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 need 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」。



## Request for Taxpayer Identification Number and Certification

**Give Form to the  
 requester. Do not  
 send to the IRS.**

<b>Print or type See Specific Instructions on page 2.</b>	Name (as shown on your income tax return)	
	Business name/disregarded entity name, if different from above	
	Check appropriate box for federal tax classification: <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"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▶ _____  <input type="checkbox"/> Other (see instructions) ▶ _____	Exemptions (see instructions):  Exempt payee code (if any) _____ Exemption from FATCA reporting code (if any) _____
	Address (number, street, and apt. or suite no.)	Requester's name and address (optional)
	City, state, and ZIP code	
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 the "Name" line to avoid backup withholding. For individuals, this is your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

Social security number									

**Note.** If the account is in more than one name, see the chart on page 4 for guidelines on whose number to enter.

Employer identification number									

### Part II Certification

Under penalties of perjury, I certify that:

1. 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
2. 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
3. I am a U.S. citizen or other U.S. person (defined below), and
4. 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 on page 3.

<b>Sign Here</b>	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.** The IRS has created a page on IRS.gov for information about Form W-9, at [www.irs.gov/w9](http://www.irs.gov/w9). Information about any future developments affecting Form W-9 (such as legislation enacted after we release it) will be posted on that page.

#### Purpose of Form

A person who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) to report, for example, income paid to you, payments made to you in settlement of payment card and third party network transactions, real estate transactions, mortgage interest you paid, acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA.

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN to the person requesting it (the requester) and, when applicable, to:

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. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the

withholding tax on foreign partners' share of effectively connected income, and

4. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct.

**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).

**Special rules for partnerships.** Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax under section 1446 on any foreign partners' share of effectively connected taxable income from such business. Further, in certain cases where a Form W-9 has not been received, the rules under section 1446 require a partnership to presume that a partner is a foreign person, and pay the section 1446 withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid section 1446 withholding on your share of partnership income.

In the cases below, the following person must give Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States:

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

**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, do not use Form W-9. Instead, use the appropriate Form W-8 or Form 8233 (see Publication 515, Withholding of Tax on Nonresident Aliens and Foreign Entities).

**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 his or her 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 his or her 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.

**What is backup withholding?** Persons making certain payments to you must under certain conditions withhold and pay to the IRS a percentage of such payments. This is called "backup withholding." Payments that may be subject to backup withholding include 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 Part II instructions on page 3 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 under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See *Exempt payee code* on page 3 and the separate Instructions for the Requester of Form W-9 for more information.

Also see *Special rules for partnerships* on page 1.

**What is FATCA reporting?** The Foreign Account Tax Compliance Act (FATCA) requires a participating foreign financial institution to report all United States account holders that are specified United States persons. Certain payees are exempt from FATCA reporting. See *Exemption from FATCA reporting code* on page 3 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 no longer are 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

### Name

If you are an individual, you must generally enter the name shown on your income tax return. However, if you have changed your last name, for instance, due to marriage without informing the Social Security Administration of the name change, enter your first name, the last name shown on your social security card, and your new last name.

If the account is in joint names, list first, and then circle, the name of the person or entity whose number you entered in Part I of the form.

**Sole proprietor.** Enter your individual name as shown on your income tax return on the "Name" line. You may enter your business, trade, or "doing business as (DBA)" name on the "Business name/disregarded entity name" line.

**Partnership, C Corporation, or S Corporation.** Enter the entity's name on the "Name" line and any business, trade, or "doing business as (DBA) name" on the "Business name/disregarded entity name" line.

**Disregarded entity.** For U.S. federal tax purposes, an entity that is disregarded as an entity separate from its owner is treated as a "disregarded entity." See Regulation section 301.7701-2(c)(2)(iii). Enter the owner's name on the "Name" line. The name of the entity entered on the "Name" line should never be a disregarded entity. The name on the "Name" line must 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 the "Name" line. 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 the "Business name/disregarded entity name" line. 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.

**Note.** Check the appropriate box for the U.S. federal tax classification of the person whose name is entered on the "Name" line (Individual/sole proprietor, Partnership, C Corporation, S Corporation, Trust/estate).

**Limited Liability Company (LLC).** If the person identified on the "Name" line is an LLC, check the "Limited liability company" box only and enter the appropriate code for the U.S. federal tax classification in the space provided. If you are an LLC that is treated as a partnership for U.S. federal tax purposes, enter "P" for partnership. If you are an LLC that has filed a Form 8832 or a Form 2553 to be taxed as a corporation, enter "C" for C corporation or "S" for S corporation, as appropriate. If you are an LLC that is disregarded as an entity separate from its owner under Regulation section 301.7701-3 (except for employment and excise tax), do not check the LLC box unless the owner of the LLC (required to be identified on the "Name" line) is another LLC that is not disregarded for U.S. federal tax purposes. If the LLC is disregarded as an entity separate from its owner, enter the appropriate tax classification of the owner identified on the "Name" line.

**Other entities.** Enter your business name as shown on required U.S. federal tax documents on the "Name" line. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on the "Business name/disregarded entity name" line.

## Exemptions

If you are exempt from backup withholding and/or FATCA reporting, enter in the *Exemptions* box, any code(s) that may apply to you. See *Exempt payee code* and *Exemption from FATCA reporting code* on page 3.

**Exempt payee code.** Generally, individuals (including sole proprietors) are not exempt from backup withholding. Corporations are exempt from backup withholding for certain payments, such as interest and dividends. Corporations are not exempt from backup withholding for payments made in settlement of payment card or third party network transactions.

**Note.** If you are exempt from backup withholding, you should still complete this form to avoid possible erroneous backup withholding.

The following codes identify payees that are exempt from backup withholding:

- 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 possession of the United States, 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 possession of the United States
- 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
- 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 <sup>1</sup>	Generally, exempt payees 1 through 5 <sup>2</sup>
Payments made in settlement of payment card or third party network transactions	Exempt payees 1 through 4

<sup>1</sup> See Form 1099-MISC, Miscellaneous Income, and its instructions.

<sup>2</sup> 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, 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—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 possession of the United States, 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 Reg. 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 Reg. 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

**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 individual taxpayer identification number (ITIN). Enter it in the social security number box. 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. However, the IRS prefers that you use your SSN.

If you are a single-member LLC that is disregarded as an entity separate from its owner (see *Limited Liability Company (LLC)* on page 2), enter the owner's SSN (or EIN, if the owner has one). Do not enter the disregarded entity's EIN. If the LLC is classified as a corporation or partnership, enter the entity's EIN.

**Note.** See the chart on page 4 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 Social Security Administration office or get this form online at [www.ssa.gov](http://www.ssa.gov). You may also get this form by calling 1-800-772-1213. 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/businesses](http://www.irs.gov/businesses) and clicking on Employer Identification Number (EIN) under Starting a Business. You can get Forms W-7 and SS-4 from the IRS by visiting [IRS.gov](http://IRS.gov) or by calling 1-800-TAX-FORM (1-800-829-3676).

If you are asked to complete Form W-9 but do not have a TIN, apply for a TIN and write "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, generally you will 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.

**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 items 1, 4, or 5 below indicate 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 the "Name" line 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), 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)	The actual owner of the account or, if combined funds, the first individual on the account <sup>1</sup>
3. Custodian account of a minor (Uniform Gift to Minors Act)	The minor <sup>2</sup>
4. a. The usual revocable savings trust (grantor is also trustee)	The grantor-trustee <sup>1</sup>
b. So-called trust account that is not a legal or valid trust under state law	The actual owner <sup>1</sup>
5. Sole proprietorship or disregarded entity owned by an individual	The owner <sup>3</sup>
6. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulation section 1.671-4(b)(2)(i)(A))	The grantor*
For this type of account:	Give name and EIN of:
7. Disregarded entity not owned by an individual	The owner
8. A valid trust, estate, or pension trust	Legal entity <sup>4</sup>
9. Corporation or LLC electing corporate status on Form 8832 or Form 2553	The corporation
10. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
11. Partnership or multi-member LLC	The partnership
12. A broker or registered nominee	The broker or nominee
13. 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
14. Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulation section 1.671-4(b)(2)(i)(B))	The trust

<sup>1</sup> 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.

<sup>2</sup> Circle the minor's name and furnish the minor's SSN.

<sup>3</sup> You must show your individual name and you may also enter your business or "DBA" name on the "Business name/disregarded entity" name line. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.

<sup>4</sup> 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.) Also see *Special rules for partnerships* on page 1.

\***Note.** Grantor also must provide a Form W-9 to trustee of trust.

**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, social security number (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 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 credit report, contact the IRS Identity Theft Hotline at 1-800-908-4490 or submit Form 14039.

For more information, see Publication 4535, Identity Theft Prevention and Victim Assistance.

Victims of identity theft who are experiencing economic harm or a system 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 1-877-777-4778 or TTY/TDD 1-800-829-4059.

**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](mailto: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 at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at: [spam@uce.gov](mailto:spam@uce.gov) or contact them at [www.ftc.gov/idtheft](http://www.ftc.gov/idtheft) or 1-877-IDTHEFT (1-877-438-4338).

Visit [IRS.gov](http://IRS.gov) 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 possessions for use in administering their laws. The information also may 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, payers must generally withhold a percentage of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to the payer. Certain penalties may also apply for providing false or fraudulent information.