

Declaration for Taiwan Securities Trading
買賣台灣證券及期貨客戶聲明

To: Guoyuan Securities Brokerage (Hong Kong) Limited ("the Company")

致：國元証券經紀(香港)有限公司（「貴公司」）

Re: Account Name:

有關：賬戶姓名： _____

Account No.:

賬戶號碼： _____

I/we hereby declare that:

本人/吾等現謹此聲明：

A. I/We shall invest in Taiwan securities via the Company and the fund(s) to be transmitted to Taiwan for investing in Taiwan securities by me/us or the ultimate beneficial owner(s) of the captioned account is/are not originated from Taiwan or the Mainland China.

本人/吾等透過 貴公司投資台灣有價證券，而本人/吾等或述明之賬戶的最終受益人擬匯入台灣投資有價證券之資金並非來自台灣或中國大陸地區。

B. I/We will not use unjust measures to affect the fairness or order of the Taiwan financial market and also will abide by the regulations stipulated by all relevant regulatory authorities.

本人/吾等絕不以不當手段干擾台灣金融市場運作，亦會遵守所有相關監管機構的規定。

C. For Individual Clients(s)個人客戶適用:

I/We and the ultimate beneficial owner(s) of the captioned account (if applicable) do(es) not hold household registration of Taiwan or the Mainland China or passport issued by Taiwan or the Mainland China.

本人/吾等述明之賬戶的最終受益人（如適用）沒有持有台灣或中國大陸地區的戶籍或護照。

For Corporate Client 公司客戶適用:

(i) Our place of incorporation is not Taiwan or the Mainland China;

吾等之成立地並非台灣或中國大陸地區；

(ii) The number of the shares of us held, or the amount of capital of us contributed, directly or indirectly by individual(s)⁽¹⁾, juristic person(s), organization(s) or any other institution(s) of the Mainland China does not exceed 30% of the total shares or capital of us;

中國大陸地區人民⁽¹⁾、法人團體或其他機構直接或間接持有吾等股份的數目或出資的數額並未超越吾等股份總數或出資總額的百分之三十；

(iii) No individual, juristic person, organization and/or any other institution of the Mainland China has control power⁽²⁾ over us; and

沒有任何中國大陸地區人民⁽¹⁾、法人、團體或其他機構對吾等具有控制能力⁽²⁾；及

(iv) Please select the appropriate by checking the box:

請勾選合適選項：

No individual, juristic person, organization and/or any other institution of Taiwan has control power⁽²⁾ over us;

沒有任何台灣地區人民、法人、團體或其他機構對吾等具有控制能力⁽²⁾。

There exists:

存在以下情況：

(a) shareholder(s) of us that is/are individual, juristic person, organization and/or any other institution of Taiwan;

吾等之股東有台灣地區人民、法人、團體及其他機構；

(b) beneficial owner(s)⁽³⁾ of us that is/are individual(s) of Taiwan; and/or

吾等之實益擁有人⁽³⁾有台灣地區人民；及/或；

- (c) individual, juristic person, organization or any other institution of Taiwan has/have control power⁽²⁾ over us;
有台灣地區人民、法人、團體及其他機構對吾等具有控制能力⁽³⁾；而
we have submitted documentary proofs showing that the transmitted funds were not originated from Taiwan.
吾等已提交文件證明匯入資金並非來自台灣。

D. I/We shall immediately notify the Company should there be any changes to the content hereof after signing this Declaration.

本聲明之內容若在簽署本聲明后有任何更改，本人/吾等將即時通知 貴公司以作修正。

E. For Individual Client(s)個人客戶適用:

I/We undertake that I/We shall, upon the Company's request, provide any documents and/or information for identifying or verifying the identity(ies) of me/us and/or the ultimate beneficial owner(s) of the captioned account(if applicable). I/We also agree to provide any documentary proofs showing that the transmitted funds were not originated from Taiwan or the Mainland China upon the Company's request.

本人/吾等承諾，本人/吾等將依 貴公司要求，提供任何可識別或核實本人/吾等及/或述明之賬戶的最終受益人（如適用）之身份的文件及/或資料。本人/吾等并同意依 貴公司要求提供匯入資金並非來自台灣或中國大陸地區至證明文件。

For Corporate Client 公司客戶適用:

we hereby undertake that we shall, upon the Company's request, provide any documents and/or information for identifying or verifying the identity(ies) if(i)us; (ii) any company within the ownership structure of us; (iii) the director(s) and/or shareholder(s) and/or any controlling person(s) of any above said company(including us); (iv) the beneficial owner(s) of us; and/or (v) the ultimate beneficial owner(s) of the captioned account(if applicable). we also agree to provide any documentary proofs showing that the transmitted funds were not originated from Taiwan or the Mainland China upon the Company's request.

吾等承諾，吾等將依 貴公司要求，提供任何可識別或核實（i）吾等；（ii）吾等所屬至擁有權結構中之任何公司；（iii）上述任何公司（包括吾等）之董事、股東及/或任何控制該公司人士；（iv）吾等之實益擁有人；及/或（v）述明之賬戶的最終受益人（如適用）之身份的文件及/或資料。吾等并同意依 貴公司要求提供匯入資金並非來自台灣或中國大陸地區至證明文件。

F. I/We shall be legally liable if this Declaration is untrue.

本聲明如有不實，本人/吾等願負一切法律責任。

Declaration(to be signed by the authorized representative(s) of the account)

客戶聲明（賬戶授權代表簽署）

Name of Client 客戶姓名:

Date 日期:

⁽¹⁾ Individual of the Mainland China means (i) any individual holding household of the Mainland China or (ii) any individual holding passport issued by the Mainland China.

中國大陸地區人民指 (i) 持有中國大陸居籍之個人或 (ii) 持有中國大陸發出之護照之個人。

⁽²⁾ An individual, juristic person, organization or any other institution will be deemed to have " control power " over another company, if it:

- (i) has control over the majority if the votes pursuant to an agreement with other investors;
與其他投資人約定下，具有超過半數之有表決權股份之能力；
- (ii) has control over the financial, operational, and/or human resources policies pursuant to the law or regulations or contractual commitments;
依法令或契約約定，可操控公司之財務、營運及人事方針；
- (iii) has the right to appoint or discharge a majority of the directors on the board (or its equivalent organization), which has control over the company's operations;
有權任免董事會（或約當組織）超過半數之主要成員，且公司之控制操控於該董事會（或約當組織）；
- (iv) has control over the majority of the votes of the directors on the board (or its equivalent organization), which has control over the company's operations; or
有權任免董事會（或約當組織）超過半數之投票權，且公司之控制操控於該董事會（或約當組織）；或
has control power as defined under the Statements of Financial Accounting Standards No.5 and No.7 published by the Accounting Research and Development Foundation of the Republic of China.
依據財團法人中華民國會計研究發展基金會公佈之財務會計準則公報第五號、第七號所規定至其他具有控制能力。

⁽³⁾ In relation to a corporation, "beneficial owner" means an individual who:

- (i) owns or controls, directly or indirectly, including through a trust or bearer share holding, not less than 10% of the issued share capital of the corporation; or
直接或間接地擁有或控制（包括透過信託或持票人股份持有）該法團已發行股本的不少於 10%；或
- (ii) is directly or indirectly, entitled to exercise or control the exercise of not less than 10% of the voting rights general meeting of the corporation; or
直接或間接地有權行使在該法團的成員大會上的投票權的不少於 10%；或支配該比重的投票權的行使；或
- (iii) exercises ultimate control over the management of the corporation; or
行使對該法團的管理最終的控制權；或
- (iv) if the corporation is acting on behalf of another person, means the other person.
（如法團是代表另一人行事）至該另一人。