



聯合證券有限公司

HEAD & SHOULDERS SECURITIES LIMITED

EXCHANGE PARTICIPANT OF THE STOCK EXCHANGE OF H.K. LTD.

Declaration of Non-US/US Person Status 非美國/美國人士狀況聲明

(Please tick appropriate 請於適當欄內加上✓號)

i. Are you a US citizen?

閣下是否美國公民?

(The Client must answer “Yes” if the Client holds multiple citizenships, one of which is a US citizenship)

(如閣下擁有多於一個公民身份而其中一個為美國公民身份，閣下必須答「是」)

Yes 是 No 否

ii. Were you born in US?

閣下是否出生於美國?

Yes 是 No 否

iii. Are you a US green card holder (irrespective of expiry date)?

(e.g. in possession of a US alien registration card as a lawful permanent resident issued by the US Citizenship and Immigration Service)

閣下是否美國綠卡持有人(不論到期日)?

(例如：持有由美國公民及移民服務處發出作為合法永久居民的美國外籍人登記卡)

Yes 是 No 否

iv. Are you a resident of the US for US tax purposes?

閣下是否為繳納美國稅之美國居民?

Yes 是 No 否

If the answer for any of the above is “Yes”, please provides Tax Identification Number _____ and gives your consent to Head & Shoulders Securities Limited (“HSSL”) for providing the information of your account opened with HSSL to Internal Revenue Service of the United States.

如以上任何一項答「是」，閣下請提供繳稅識別號碼_____ 並同意「聯合證券有限公司」提供閣下在「聯合證券有限公司」開立之帳戶資料予美國國家稅務局。

Client's Signature 客戶簽署 _____

Date 日期 _____