



Customer(s)' Self -Declaration Form for Physical Scrip Certificate Deposit 客戶存入實物股票證書之自我聲明表格

| | |
|-----------------------|------------------------|
| Account No.: 帳戶編號: | Account Name: 帳戶名稱: |
|-----------------------|------------------------|

This Self-declaration form should be completed by client(s) who deposits physical scrip certificate of any securities into the above account with United Securities Limited. No physical scrip deposit would be accepted if the client(s) fails to complete this Self-declaration form. We may require you to provide supporting documentation upon our request.

凡客戶要求以實貨形式存入股份於上述之團結證券有限公司之帳戶，均須填寫本自我聲明表格。若客戶拒絕填寫本自我聲明表格，團結證券有限公司將不接受該客戶以實貨形式存入股份之申請。我司可能會要求閣下提供有關證明文件要求。

1. Please specify the detail of the physical scrip(s) to be deposited to your account.

請注明將存入閣下／貴公司的帳戶的實物股票詳情。

| | |
|---|--|
| Stock Code 股票代號 | |
| Stock Name 股票名稱 | |
| No. of shares to be deposited 存入股份數量 | |
| Share Certificate Number 實物股票證書編號 | |

2. When and how did you acquire the above-mentioned shares?

閣下／貴公司於何時及以什麼形式獲取上述股票？

Date of Acquisition

獲取日期

- | | |
|---|--|
| <input type="checkbox"/> Purchased from other Securities Broker 從其他證券行購入 | <input type="checkbox"/> IPO Subscription 首次公開認購 |
| <input type="checkbox"/> Private Placement 私人配售 | <input type="checkbox"/> Off-market Share Transfer 場外股權轉讓 |
| <input type="checkbox"/> Others 其它, Please specify 請注明: _____ | |

3. Please provide your source of funds for obtaining the above-mentioned shares.

請提供閣下／貴公司獲取上述股票的資金來源。

- | | | |
|--|---|--|
| <input type="checkbox"/> Sale of Property 出售物業 | <input type="checkbox"/> Savings from Earnings / Bonus 收入儲蓄/獎金 | <input type="checkbox"/> Return on Investments 投資回報 |
| <input type="checkbox"/> Inheritance / Gift 繼承/饋贈 | <input type="checkbox"/> Return on Investments 投資回報 | |
| <input type="checkbox"/> Others 其它, Please specify 請注明: _____ | | |

4. Please provide the jurisdiction for your source of funds for obtaining the above-mentioned shares.

請提供閣下／貴公司獲取上述股票的資金來源之司法管轄區。

- | | | |
|--|--------------------------------------|--|
| <input type="checkbox"/> Hong Kong 香港 | <input type="checkbox"/> China 中國 | <input type="checkbox"/> Others 其它, Please specify 請注明: _____ |
|--|--------------------------------------|--|



5. Do you have any relationship with the listed corporation in concern? If yes, please specify.

閣下／貴公司是否與相關上市公司有任何關係？如有，請注明。

- No 無
 Yes 有，

Please specify 請注明： _____

6. Are you the ultimate beneficiary of the above-mentioned shares? If no, please provide details of the ultimate beneficial owner and reason for holding the shares.

閣下／貴公司是否上述股票的最終實益擁有人？如否，請提供詳細的最終實益擁有人的資料及為其持有該股票的理由。

- Yes 是
 No 否

Name of ultimate beneficial owner
最終實益擁有人的姓名： _____

Identity Card / Passport No.:
身份證 / 護照號碼： _____

Issue Place of Identity Card / Passport
身份證 / 護照簽發地區： _____

Reason for holding such shares
持有該股票的理由： _____

7. Apart from the physical scrip(s) deposited this time, how many physical scrip(s) (on the same stock) are you holding? Do you expect to deposit them into your account in future?

除上述存入之實貨股票外，閣下／貴公司還持有多少同一股票名稱之實貨股票？閣下／貴公司會否將其存入帳戶內？

- No 無
 Yes 有

Please specify the quantity
請注明數量： _____

Will you deposit them into your account? Yes 會 No 不會
閣下／貴公司會否將其存入帳戶內？

DECLARATION BY ACCOUNT HOLDER / AUTHORIZED PERSON 帳戶持有人/授權人聲明:

I/WE, THE UNDERSIGNED, BEING THE ACCOUNT HOLDER / AUTHORIZED PERSON FOR THE ABOVE-MENTIONED ACCOUNT HEREBY CONFIRM THAT THE INFORMATION PROVIDED IN THIS SELF-DECLARATION FORM IS TRUE, COMPLETE AND CORRECT.

本人/我司，下列署名者，為上述帳戶的帳戶持有人/授權人，現謹確認本自我聲明表格內提供的資料均為屬實、完整及正確。

CLIENT'S SIGNATORY AND
COMPANY CHOP:
客戶簽署及蓋章： _____

DATE OF
SIGNATORY
簽署日期： _____



| Internal Review Record (For Official Use Only) 內部審核記錄 (只供本行使用) | |
|---|------------------------------------|
| Handled By (Name/Signature/Date): | Approved By (Name/Signature/Date): |
| Endorsed By (Name/Signature/Date): | Input By (Name/Signature/Date): |
| Data Checked By (Name/Signature/Date): | Remarks: |