



**Goldhorse Securities Limited**  
**金馬證券有限公司**  
Participants of The Stock Exchange of Hong Kong Limited  
香港聯合交易所有限公司參與者  
SFC C.E. No. 證監會中央編號：BFU406

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To: Goldhorse Securities Limited ("GHSL")  
致：金馬證券有限公司 (「金馬證券」)

Account Number  
帳戶號碼：

## Self-Certification Form - Controlling Person 自我證明表格 - 控權人

### IMPORTANT NOTES 重要提示：

- This is a self-certification form provided by each of the controlling persons of the Entity as stated in the "Account Opening Form (Corporate Account)" to GHSL for the purpose of automatic exchange of financial account information. The data (including tax residency) collected may be transmitted by GHSL to the Inland Revenue Department of Hong Kong for further transfer to the tax authority of another jurisdiction.  
這是由「開戶表格 (公司帳戶)」所列出實體之每一位控權人向金馬證券提供的自我證明表格，以遵從共同匯報標準的目的。金馬證券有可能將收集所得的資料 (包括稅務居住身份) 轉送至香港稅務局，香港稅務局將進一步把資料轉交到另一稅務管轄區的稅務當局。
- A controlling person should report all changes in his/her tax residency status to GHSL as soon as practicable.  
如控權人的稅務居民身分有所改變，應盡快將所有變更通知金馬證券。
- All parts of the form must be completed (unless not applicable or otherwise specified). The controlling person shall ensure that the information given in this form is true, correct and complete, GHSL shall not be liable for any errors or loss that resulted from such information.  
除不適用或特別註明外，必須填寫這份表格所有部分。控權人需確保所提供的資料均屬真確無訛及完整，金馬證券不會對資料所引起的錯誤或損失負責。
- GHSL **IS NOT ALLOWED** to provide any legal and tax advice to the controlling person, he/she is advised to consult his/her legal or tax advisor.  
金馬證券**不允許**向控權人提供任何法律和稅務建議，建議他諮詢他的法律或稅務顧問。

### Part 1 Identification of Controlling Person

#### 第 1 部 控權人的身分識別資料

(1)	Full Name of Controlling Person 控權人的名稱	Last Name 姓氏	First Name 名字	Middle Name(s) 中間名
(2)	Hong Kong Identity Card or Passport Number 香港身份證或護照號碼			
(3)	Date of Birth 出生日期			
(4)	Place of Birth (City, Country) 出生地點 (城市、國家)			
(5)	Current Residential Address 現時住宅地址			
	Line 1 (e.g. Suite, Floor, Building, Street, District) 第 1 行 (例如：室、樓層、大廈、街道、地區)			
	Line 2 (City) 第 2 行 (城市)			
	Line 3 (e.g. Province, State) 第 3 行 (例如：省、州)			
	Country 國家			
	Post Code/ZIP Code 郵政編碼/郵遞區號碼			
(6)	Mailing Address (Complete if different to the Current Residential Address) 通訊地址 (如通訊地址與現時住宅地址不同，填寫此欄)			
	Line 1 (e.g. Suite, Floor, Building, Street, District) 第 1 行 (例如：室、樓層、大廈、街道、地區)			
	Line 2 (City) 第 2 行 (城市)			
	Line 3 (e.g. Province, State) 第 3 行 (例如：省、州)			
	Country 國家			
	Post Code/ZIP Code 郵政編碼/郵遞區號碼			

Part 2 THE ENTITY ACCOUNT HOLDER(S) OF WHICH YOU ARE A CONTROLLING PERSON
第 2 部 閣下作為控權人的實體帳戶持有人

Enter the name of the entity account holder of which you are a controlling person.
填寫閣下作為控權人的實體帳戶持有人的名稱。

Table with 2 columns: Entity (實體), Name of the Entity Account Holder (實體帳戶持有人的名稱). Rows (1), (2), (3).

Part 3 DECLARATION OF JURISDICTION OF RESIDENCE
第 3 部 居留司法管轄區聲明

Please complete the following table indicating (i) the jurisdiction of residence (including Hong Kong) where the controlling person is a resident for tax purposes and (ii) the controlling person’s Taxpayer Identification Number or Functional Equivalent (“TIN”) for each jurisdiction indicated. Indicate ALL (not restricted to five) jurisdictions of residence.
請確認控權人的稅務居民身份狀況。請提供以下資料，列明 (i) 控權人的居留司法管轄區，亦即控權人的稅務管轄區 (香港包括在內) 及 (ii) 該居留司法管轄區發給控權人的稅務編號或具有等同功能的識別編號 (「稅務編號」)。列出所有 (不限於 5 個) 居留司法管轄區。

If the controlling person is a tax resident of Hong Kong/China, the TIN is the controlling person’s HK ID Card No./Chinese Resident ID Card No.
若控權人是香港/中國稅務居民，稅務編號是其香港身份證號碼/中國居民身份證號碼。

If a TIN is unavailable, provide the appropriate reason A, B or C:
若沒有提供稅務編號，必須填寫合適的理由 A、B 或 C：

- Reason 理由 A The jurisdiction where the controlling person are a resident for tax purposes does not issue TINs to its residents.
控權人的居留司法管轄區並沒有向其居民發出稅務編號。
- Reason 理由 B The controlling person are unable to obtain a TIN. Please explain why the controlling person are unable to obtain a TIN if he has selected this reason.
控權人不能取得稅務編號。如選取這一理由，請解釋控權人不能取得稅務編號的原因。
- Reason 理由 C TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.
控權人毋須提供稅務編號。居留司法管轄區的主管機關不需要閣下披露稅務編號。

Table with 4 columns: Jurisdiction of Residence (居留司法管轄區), TIN (稅務編號), Enter Reason A, B or C if no TIN is available (如沒有提供稅務編號，填寫理由 A、B 或 C), Explain why the account holder is unable to obtain a TIN if you have selected Reason B (如選取理由 B，解釋帳戶持有人不能取得稅務編號的原因). Rows (i), (ii), (iii), (iv), (v).

**Part 4 TYPE OF CONTROLLING PERSON**  
**第 4 部 控權人類別**

Please put a “✓” in the appropriate box to indicate the type of controlling person for each entity stated in Part 2.  
 就第 2 部所載的每個實體，請於適當空格內加上「✓」號，指出控權人就每個實體所屬的控權人類別。

Type of Entity 實體類別	Type of Controlling Person 控權人類別	Entity 1 實體 1	Entity 2 實體 2	Entity 3 實體 3
Legal Person 法人	Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital) 擁有控制股權的個人（即擁有不少於百分之二十五的已發行股本）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who exercises control/is entitled to exercise control through other means (i.e. not less than 25% of voting rights) 以其他途徑行使控制權或有權行使控制權的個人（即擁有不少於百分之二十五的表決權）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who holds the position of senior managing official/exercises ultimate control over the management of the entity 擔任該實體的高級管理人員/對該實體的管理行使最終控制權的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trust 信託	Settlor 財產授予人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Trustee 受託人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Protector or Enforcer 保護人或執行人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Beneficiary or member of the class of beneficiaries 受益人或某類別受益人的成員	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary) 其他（例如：如財產授予人/受託人/保護人/受益人為另一實體，對該實體行使控制權的個人）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Legal Arrangement other than Trust 除信託以外的法律安排	Individual in a position equivalent/similar to settlor 處於相等/相類於財產授予人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to trustee 處於相等/相類於受託人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to protector 處於相等/相類於保護人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries 處於相等/相類於受益人或某類別受益人的成員位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (e.g. individual who exercises control over another entity being equivalent/similar to settlor/trustee/protector/beneficiary) 其他（例如：如處於相等/相類於財產授予人/受託人/保護人/受益人位置的人為另一實體，對該實體行使控制權的個人）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Part 5 DECLARATION AND SIGNATURE BY CONTROLLING PERSON
第 5 部 控權人聲明及簽署

I acknowledge and agree that (i) the information contained in this form is collected and may be kept by GHSL for the purpose of automatic exchange of financial account information, and (ii) such information and information regarding the controlling person and any reportable account(s) may be reported by GHSL to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with tax authorities of another jurisdiction or jurisdictions in which the controlling person may be resident for tax purposes pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

I certify that I am the controlling person (or I am authorized to sign for the controlling person) of all the account(s) currently held by the Entity Account Holder with GHSL.

I undertake to advise GHSL of any change in circumstances which affects the tax residency status of the controlling person identified in Section 1 of this Form or causes the information contained herein to become incorrect, and to provide GHSL with a suitably updated Self-certification Form within 14 days of such change in circumstances.

I declare that the information given and statements made in this Form, to the best of our knowledge and belief, is true, correct and complete.

If there is any inconsistency or ambiguity between the English version and the Chinese version of this Form, the English version shall prevail.

SIGNED by
簽署

Signature 簽署 Date 日期

Signer Name 簽署人姓名 Signer Capacity\* 簽署人身份\*

\* Indicate the capacity if you are not the controlling person. If signing under a power of attorney, please attach a certified true copy of the power of attorney.

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. HK\$10,000).