

To: Celestial Securities Limited / Celestial Commodities Limited / Celestial Finance Limited
 致：時富證券有限公司 / 時富商品有限公司 / 時富財務有限公司

Please post your completed form to **Client Services Department, 22/F, Manhattan Place, 23 Wang Tai Road, Kowloon Bay, Hong Kong** or by visiting the Services Centres of CASH Financial Services Group. Your request will be processed within 2 working days upon receipt of the duly completed form. For inquiries, please do not hesitate to contact us at **(852) 2663 8888**. 請將已填妥的表格郵寄至**香港九龍灣宏泰道 23 號 Manhattan Place 22 樓客戶服務部**或交回時富金融服務集團各服務中心。本公司將在收到填妥的表格後兩個工作天內處理您的申請。如欲查詢，請致電**(852) 2663 8888**與客戶服務部聯絡。

I/We hereby request to close the account(s):
 本人/吾等現要求貴公司結束戶口：

Effective Date 生效日期	day 日 / month 月 / year 年	Contact Number 聯絡號碼	
------------------------	--------------------------	------------------------	--

Reasons for closing account (Please put a tick at the appropriate box(es). You may choose more than one.)
取消戶口的原因 (請在適當方格上劃上✓號, 可選擇多於一個。)

- | | |
|--|---|
| <input type="checkbox"/> Not interested in securities / commodities / stock options / asset management trading
對股票/商品/股票期權/資產管理買賣無興趣
<input type="checkbox"/> Staying abroad / infrequent trading
長時間不在香港/很少買賣
<input type="checkbox"/> Insufficient fund
資金不足
<input type="checkbox"/> Without permission from employer
僱主不容許
<input type="checkbox"/> No internet access for trading in office (for electronic accounts only)
公司不能上網買賣 (只適用於電子賬戶) | <input type="checkbox"/> Family member opposition
家人反對
<input type="checkbox"/> Account operation change
更改戶口操作形式
<input type="checkbox"/> Difficulty in login / online trading (applicable to electronic accounts only)
網上登入/買賣有困難 (只適用於電子賬戶)
<input type="checkbox"/> Others, please specify:
其他, 請加以說明:

_____ |
|--|---|

In compared with other investment companies, other companies provide: (Please put a tick at the appropriate box(es). You may choose more than one.)
與其他投資公司比較, 其他公司提供: (請在適當方格上劃上✓號, 可選擇多於一個。)

- | | |
|---|--|
| <input type="checkbox"/> More convenient settlement procedure
較方便的交收程序
<input type="checkbox"/> More efficient trading procedure
較快捷的落盤程序
<input type="checkbox"/> Lower commission rate
較便宜的佣金收費
<input type="checkbox"/> Lower dormant / custody fee
較便宜的不動戶口收費/存倉費
<input type="checkbox"/> Higher security in trading
較安全的買賣方式 | <input type="checkbox"/> Better service of Account Executive
較滿意的營業代表服務
<input type="checkbox"/> Better electronic trading service (applicable to electronic accounts only)
較完善的網上投資服務 (只適用於電子賬戶)
<input type="checkbox"/> Others, please specify:
其他, 請加以說明:

_____ |
|---|--|

Do you have any suggestion to our company?
閣下對本公司還有沒有其他建議呢?

Thank you for your opinion and support to our company. We hope we will be able to serve you in the future.
 多謝閣下對本公司的意見及過往的支持, 希望日後仍能為閣下服務。

Client Signature(s) 客戶簽署	× Please use the signature(s) field with our company 請用留存本公司之印鑑式樣	Account No. 戶口號碼	
Client Name 客戶名稱		Date 日期	day 日 / month 月 / year 年

For official use only 僅供職員填寫

AE code	Account change	Quote plan <input type="checkbox"/> No <input type="checkbox"/> Yes	Dividend to be paid <input type="checkbox"/> No <input type="checkbox"/> Yes	Cash <input type="checkbox"/> No <input type="checkbox"/> Yes	Stock <input type="checkbox"/> No <input type="checkbox"/> Yes
<input type="checkbox"/> Power of Attorney <input type="checkbox"/> Smart account <input type="checkbox"/> Inform IT (ME/ Professional Trading Platform _____)	<input type="checkbox"/> Original <input type="checkbox"/> Face to face <input type="checkbox"/> Notification letter <input type="checkbox"/> Self-Certification Form	Phone verified by	Phone number	Date	Time
Handled by	Verified by	Approved by	Input by	Checked by	

Self-Certification Form – Individual

To: Celestial Securities Limited / Celestial Commodities Limited / Celestial Finance Limited[#]

Important Notes:

- This is a self-certification form provided by an account holder to Celestial Securities Limited / Celestial Commodities Limited / Celestial Finance Limited[#] for the purpose of automatic exchange of financial account information. The data collected may be transmitted by Celestial Securities Limited / Celestial Commodities Limited / Celestial Finance Limited[#] to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- An account holder should report all changes in his/her tax residency status to Celestial Securities Limited / Celestial Commodities Limited / Celestial Finance Limited[#].
- All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (*) are required to be reported by Celestial Securities Limited / Celestial Commodities Limited / Celestial Finance Limited[#] to the Inland Revenue Department.

Part 1 Identification of Individual Account Holder

(For joint or multiple account holders, complete a separate form for each individual account holder.)

(1) Name of Account Holder

Title (e.g. Mr, Mrs, Ms, Miss) _____

Last Name or Surname * _____

First or Given Name * _____

Middle Name(s) _____

(2) Identity Card or Passport Number

(3) Current Residence Address

Line 1 (e.g. Suite, Floor, Building, Street, District) _____

Line 2 (City) * _____

Line 3 (e.g. Province, State) _____

Country * _____

Post Code/ZIP Code _____

(4) Mailing Address (Complete if different to the current residence address)

Line 1 (e.g. Suite, Floor, Building, Street, District) _____

Line 2 (City) _____

Line 3 (e.g. Province, State) _____

Country _____

Post Code/ZIP Code _____

(5) Date of Birth * (dd/mm/yyyy)

(6) Place of Birth

Town/City _____

Province/State _____

Country _____

Part 2 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”) *

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a **resident for tax purposes** and (b) the account holder’s TIN for each jurisdiction indicated. Indicate **all** (not restricted to five) jurisdictions of residence.

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.

If a TIN is unavailable, provide the appropriate reason A, B or C:

Reason A — The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

Reason B — The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.

Reason 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.

	Jurisdiction of Residence	TIN	Enter Reason A, B or C if no TIN is available	Explain why the account holder is unable to obtain a TIN if you have selected Reason B
(1)				
(2)				
(3)				
(4)				
(5)				

Part 3 Declarations and Signature

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by Celestial Securities Limited / Celestial Commodities Limited / Celestial Finance Limited[#] for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by Celestial Securities Limited / Celestial Commodities Limited / Celestial Finance Limited[#] to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder 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 account holder / I am authorized to sign for the account holder [#] of all the account(s) to which this form relates. I undertake to advise Celestial Securities Limited / Celestial Commodities Limited / Celestial Finance Limited[#] of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide Celestial Securities Limited / Celestial Commodities Limited / Celestial Finance Limited[#] with a suitably updated self-certification form within **30** days of such change in circumstances.

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

Signature _____

Name _____

Capacity _____

(Indicate the capacity if you are not the individual identified in Part 1. If signing under a power of attorney, attach a certified copy of the power of attorney.)

Date (dd/mm/yyyy) _____

Delete as appropriate

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. \$10,000).