



北京首通證券香港集團有限公司

BEIJING SHOUTONG SECURITIES HONG KONG GROUP LIMITED

香港灣仔港灣道 18 號中環廣場 4005 室

電話 Tel : (852) 3899 1333

Suite 4005, Central Plaza, 18 Harbour Road, Wanchai, Hong Kong 傳真 Fax : (852) 3899 1388

1. Name of the Company in connection with which this declaration is being complete: _____
2. Surname: _____ Given Name _____
3. Gender: ☐ Male ☐ Female
4. Date of Birth _____ ID / Passport No. _____ Place of Birth _____
5. Residential Address _____
6. Are You
 - a) a Director of the Company? ☐ No ☐ Yes
 - b) a Shareholder of the Company? ☐ No ☐ Yes, _____ % controlling interest
7. Are you an ULTIMATE Beneficial Owner of the Company?
☐ No, the ULTIMATE Beneficial Owner(s) is/are:
Name _____ ID/Passport No. _____ Tel _____
Address _____
☐ Yes,
 - a) _____ % controlling interest
 - b) please specify the nature and distribution of the interests in the Company

 - c) please specify (in any) the nature and extent of any business, contractual or family relationship among the ULTIMATE Beneficial Owners

8. Are you a senior officer or director of any (listed) company whose shares are traded on any exchange or market?
☐ No
☐ Yes, the company name and stock code are: _____
9. Are you a person, or director or employee of a person, licensed by or registered with the Securities and Futures (SFC) of Hong Kong?
☐ No
☐ Yes, name of licensed or registered person _____ Capacity : _____
10. Are you related to any employee or director of Hang Fat Capital Limited?
☐ No
☐ Yes, Name of the employee/director _____ Relationship: _____
11. Are you a person entrusted with prominent public functions (e.g. Head of State or of government, senior politicians/important political officials, senior government officials, senior judicial officials, senior military officials, senior executives of state owned enterprises, religious leaders, or family members or close associates of the above-mentioned parties)?
☐ No
☐ Yes, please specify _____

I CERTIFY that the above information is complete and correct to the best of my knowledge and belief, and I undertake that I will promptly notify **HANG FAT CAPITAL LIMITED LIMITED** of any material changes affecting the completeness of the answers to the above questions on DIRECTOR/SHAREHOLDER/ULTIMATE BENEFICIAL OWNER of the above company.

Signed by

Witnessed# by

Name:

Date:

Name:

Profession/Title

Date:



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A suitable witness shall include a Notary Public, Lawyer, Certified Public Accountant, a Chartered Secretary, a Branch Manager of a licensed Bank, a Justice of Peace, an officer of an embassy, consulate or high commission of the country of issue of documentary verification of identity or any other SFC licensed person.

1. 本「個人申報」內容所述之公司名稱: _____
2. 申報人姓名: _____
3. 性別: ☐ 男性 ☐ 女性
4. 出生日期 _____ 身份證/護照號碼 _____ 出生地方 _____
5. 住址 _____
6. 閣下是否
 - a) 公司董事之一? ☐ 否 ☐ 是
 - b) 公司股東之一? ☐ 否 ☐ 是, _____ % 控權
7. 閣下是否最終權益擁有人?
☐ 否, 最終權益擁有人如下:
姓名 _____ 身份證/護照號碼 _____ 電話 _____
住址 _____
☐ 是,
 - a) _____ % 控權
 - b) 請說明當中的利益分布
 - c) 請說明 (如有) 與其他權益擁有人之間的業務, 合約或家族關係
8. 閣下是否任何其股份可在交易所或市場買賣的(上市)公司之高級人員或董事? ☐ 否
☐ 是, 有關公司名稱及上市編號如下: _____
9. 閣下是否香港證券及期貨事務監察委員會的持牌人, 或該等持牌人或註冊人之董事或僱員?
☐ 否
☐ 是, 有關持牌或註冊人士姓名/名稱如下: _____ 職位: _____
10. 閣下是否與「恒發金融有限公司」任何僱員或董事有親屬關係?
☐ 否
☐ 是, 僱員/董事姓名 _____ 關係: _____
11. 閣下是否被委任為重要公職(例如: 國家或政府元首、重要政客、高級政府官員、高級司法人員、高級軍官、國家企業高級行政人員、宗教領袖或以上人士的家人或有聯繫人士)?
☐ 否
☐ 是, 請說明 _____

本人茲此聲明及保證上列陳述均為真實無訛, 並承諾即時知會「恒發金融有限公司」有關上述公司董事/股東/實益擁有人的申報有所變動的情況。

簽署

見證#



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簽署人姓名:

見證人姓名

日期: :

所屬專業/職銜:

日期:

合的見證人包括公證人、律師、會計師、特許秘書、持牌銀行分行經理、太平紳士、發出身分核實文件的國家的大使館、領事館或高級專員公署的人員或其他證監會持牌人