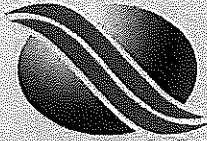


A/C No.: | | | | | | | | |

Client's Name: 迅 達 有 限 公 司

A.E. Code:



信達國際證券有限公司
CINDA INTERNATIONAL SECURITIES LIMITED

現金證券買賣戶口開戶申請表
(公司/機構戶口)

ACCOUNT OPENING FORM OF CASH SECURITIES TRADING ACCOUNT
(FOR CORPORATION/INSTITUTIONAL ACCOUNT)

香港皇后大道中183號中遠大廈45樓
45th Floor, COSCO Tower, 183 Queen's Road Central, Hong Kong
電話Tel: (852) 2235-7888 傳真Fax: (852) 2235-7878
網址Website: <http://www.cinda.com.hk>



現金證券買賣戶口開戶申請表(公司／機構戶口)

致： 信達國際證券有限公司，於證券及期貨事務監察委員會獲發牌為持牌法團(中央編號 AEL202)可從事證券交易及為香港聯合交易所有限公司(「聯交所」)參與者，其註冊地址位於香港皇后大道中183號中遠大廈45樓(下稱「信達國際證券」)

1. 開戶申請

本公司 迅達有限公司，
商業登記證／公司註冊證明書號碼為 31212121 (下稱「客戶」)

茲要求「信達國際證券」為本公司：

- 依照客戶協議中的條款及條件(下稱「條款及條件」)，開立及維持一個或多個不設有電子交易服務的現金證券買賣戶口
- 依照條款及條件及客戶協議中的電子交易服務的條款及條件(下稱「額外條款及條件」)，開立及維持一個或多個電子交易服務的現金證券買賣戶口，並為本公司提供一個密碼及用戶名稱以便使用「信達國際證券」網上服務
- 網上交易用戶登記
- 串流式即時報價(月費為港幣三百五十元) 點擊報價(免費)

* 請選擇適當項目

2. 服務種類

本公司於「信達國際證券」開立一個或多個現金證券買賣戶口(下稱「該戶口」)以進行證券買賣。「信達國際證券」同意不時應本公司要求，按其獨自酌情權讓本公司在「信達國際證券」開立一個或多個戶口並以代理人身份行事(除非客戶協議之條款及條件中特別註明「信達國際證券」為主事人)。

3. 傳真／電郵訊息保障書

本公司現授權「信達國際證券」接受任何本公司發出之傳真及／或電郵訊息為原本指示及「信達國際證券」因執行此指示而招致、蒙受或遭受一切損失、賠款、利息、成本、費用及一切因法律行動而招致、蒙受或遭受之索償，向「信達國際證券」作出賠償保證及保障「信達國際證券」不會因此蒙受損失。本公司免除「信達國際證券」因此授權所引起的責任及損害。

4. 申請電子結單服務

本公司現申請「信達國際證券」之電子結單服務。在填妥本部份後，本公司同意以電子郵件形式收取本公司之戶口結單，並授權「信達國際證券」不再郵寄所有的結單到本公司之通訊地址。本公司並承諾如本公司之電郵地址有所更改，會於七個曆日前通知「信達國際證券」。

請選擇適當項目：

本公司要求以電子形式收取結單，請把結單電郵至客戶資料表所列本公司之電郵地址

本公司要求同時以郵寄及電子形式收取結單

(如同時要求以郵寄及電子形式收取結單，本公司需被收取港幣壹佰元服務月費)

* 請選擇適當項目

註：於傳送電子結單予本公司時，本公司將被視作已收到該結單。

5. 股票網上交易密碼(只適用於網上交易戶口)

本公司將獲取股票網上交易密碼，以便本公司進行買賣交易。本公司完全明白戶口密碼是絕對保密。本公司須對「信達國際證券」核實密碼後被接納的所有買賣、損失、費用及支出負全部責任。

6. 投資帳戶資料

本公司現聲明

本公司在「信達國際」集團公司維持了一個或以上之投資戶口，投資帳戶號碼如下：

證券：_____ 期貨：_____

本公司在「信達國際」集團公司沒有維持任何投資戶口。

* 請選擇適當項目

7. 海外帳戶稅收合規法案

本公司現聲明若本公司之受益人在日後成為美國公民／美國綠卡持有人／美國納稅人，本公司會於21天內通知「信達國際證券」。

8. 個人資料(私隱)條例通知(見頁三)

- 本公司確認個人資料(私隱)條例通知並同意「信達國際證券」使用及向其他人士提供本公司的資料作直接促銷用途。
- 本公司確認個人資料(私隱)條例通知但不同意「信達國際證券」使用或提供本公司的資料予其他人士作直接促銷用途。

* 請選擇適當項目

9. 聲明及確認

本公司現聲明已閱悉及同意「信達國際證券」開戶申請表，並已填寫客戶資料表，及已閱悉及同意客戶協議中的條款及條件、個人資料(私隱)條例通知、滙港通客戶通知及額外條款及條件(如同時申請網上服務)。上述所有文件均構成「信達國際證券」與本公司就該戶口達成的協議。

本公司現聲明及確認由「信達國際證券」給予本公司之協議，包括但不限於客戶協議中附錄一的風險披露聲明、個人資料(私隱)條例通知、滙港通客戶通知以及額外條款及條件的第九條(如同時申請網上服務)。「信達國際證券」是按本公司選擇的語言(英文或中文)提供。本公司獲邀請閱讀該風險披露聲明、個人資料(私隱)條例通知及滙港通客戶通知、提出問題並按本身意願選擇是否聽取獨立法律意見。本公司已獲解釋該風險披露聲明。

本公司同意上述第1至9項、個人資料(私隱)條例通知(見頁三)及滙港通客戶通知(見頁四)之安排及選擇。

授權簽署及公司印章

For and on behalf of
SUIEN TAT COMPANY
迅達有限公司

Bill

.....
Authorized Signature(s)

見證人簽署

戶口名稱：迅達有限公司

公司註冊證明書號碼：31212121

日期：20XX年XX月XX日

見證人姓名：_____

身份證／護照號碼：_____

日期：_____

10. 持牌人聲明

本人已按客戶選擇的語言(英文或中文)給予及向客戶解釋有關之風險披露聲明，並已邀請客戶閱讀該風險披露聲明、個人資料(私隱)條例通知及滙港通客戶通知、提出問題，並按其本身意願選擇是否聽取獨立法律意見。

本人現聲明當本人知悉或發現以下情況會於五天內通知「信達國際證券」：

1. 客戶是美國人士。
2. 客戶之受益人因情況轉變而成為美國人士。
3. 客戶直接或間接在「信達國際證券」擁有、控制或開立任何其他帳戶。

持牌人簽署

姓名(請用正楷書寫)：_____

中央編號：_____

日期：_____

信達國際證券有限公司確認

信達國際證券有限公司確認並同意此開戶申請表

日期：_____

信達國際證券有限公司授權人士

個人資料(私隱)條例通知

- 1 個人名義的客戶必須不時向信達國際證券有限公司(「信達國際證券」)提供其個人資料(「資料」)，以作《個人資料(私隱)條例》(香港法例第486章)所述用途。有關客戶的資料(及其他資料)可作以下用途：
 - 向客戶提供之服務及設施之日常運作；
 - 進行信貸審查及確保客戶的信用維持良好；
 - 協助其他機構進行信貸審查；
 - 為客戶設計及向客戶推廣金融服務或相關產品；
 - 根據任何法例或規例之規定，符合作出披露之要求；及
 - 與信達國際證券或其集團公司之業務或交易有關之其他任何用途。
- 2 信達國際證券持有之客戶有關的資料(及其他資料)將會保密，但信達國際證券可向以下人士披露所有資料(及其他資料)：
 - 任何向信達國際證券提供有關信達國際證券業務運作之行政、信貸資料、債務追討、電訊、電腦、繳款或其他服務之高級職員、僱員、代理、承包商或第三者；
 - 客戶已有或擬與之進行交易之任何金融機構；
 - 監管或司法當局及其他有關政府或法定機構；
 - 任何有責任為信達國際證券保密之其他人士，包括承諾保持此等資料機密之信達國際證券之集團公司；
 - 信達國際證券與其集團公司之間對客戶之資料使用，須依據嚴格之內部安全標準、保密政策及適用法律；
 - 信達國際證券約束僱員完全遵守該等標準、政策及法律；
 - 除為了進行業務、遵守適用法律、保護免受欺詐或作出信達國際證券認為可能符合客戶利益之產品及服務優惠外，信達國際證券不會將有關客戶的資料分發予其他公司。信達國際證券亦可依據適用法律向監管當局及執法人員提供資料；及
 - 信達國際證券訂立了極高標準，以保護其客戶的資料免受未經授權之更改或破壞。
- 3 信達國際證券擬使用閣下的個人資料作直接促銷，為此信達國際證券須取得閣下的同意(包括表示不反對)。2012年《個人資料(私隱)(修訂)條例》第VIA部引入關於取得閣下同意的具體要求(包括表示不反對)。就此，務請閣下注意：
 - a. 信達國際證券不時持有的閣下的姓名、聯絡詳情、產品及服務投資組合信息、交易模式及行為、財務背景及統計資料可由信達國際證券用於直接促銷；
 - b. 以下服務、產品及標的類別可作推廣：
 - i. 財務、保險、證券、商品、投資及相關服務和產品及授信；及
 - ii. 有關上文第3(b)(i)款所述促銷標的類別的獎賞、年資獎勵或優惠計劃或其任何附帶計劃。
- 4 根據及依據《個人資料(私隱)條例》之條款，每位客戶均有權：
 - a. 檢查信達國際證券是否持有有關客戶之資料，及是否有權使用該等資料；
 - b. 要求信達國際證券更改有關客戶之任何錯誤資料；及
 - c. 確定信達國際證券有關資料之政策及做法，以及獲知信達國際證券持有有關其個人資料種類。
- 5 查閱及／或改正客戶所提交之任何資料的要求送交以下地址：

信達國際證券有限公司
香港皇后大道中183號中遠大廈45樓
業務支援組收或致電2235-7789
- 6 依據《個人資料(私隱)條例》之條款，信達國際證券有權就處理任何資料索取查閱之申請收取合理費用。

滬港通客戶通知

滬港股票交易機制(「滬港通」)是由香港聯合交易所有限公司(「聯交所」)、上海證券交易所(「上交所」)、中國證券登記結算有限責任公司及香港中央結算有限公司(「香港結算」)推出的互联互通機制試點,旨在實現中國內地與香港兩地投資者直接進入對方市場的目標。滬港通讓香港及海外投資者可對上交所股票進行交易(「北向交易」/「滬股通」)。

1. 北向交易是以人民幣進行交易和交收。信達國際證券有限公司(「信達國際」)並不負責有關北向投資的人民幣兌換。
2. 人民幣兌換匯率會因為不同因素而波動。此外,人民幣現時受監管限制而不能自由兌換,這些限制將不時更改。此等人民幣匯率風險及兌換限制可能會影響投資回報。
3. 除聯交所及上交所特別列明不應用在滬港通投資的交易安排及特徵外,上交所的北向交易將根據上交所的交易規則進行。投資者應完全瞭解並遵守內地有關短線交易利潤及披露責任的法規。投資者必須遵守上交所規則及中國內地有關滬股通交易的適用法律。
4. 滬港通的北向交易只涉及上交所A股的二級市場。北向交易投資者不能參與上交所的首次公開招股活動。
5. 上交所股票發行公司只被要求以簡體中文發佈公司文件,並不能提供英文翻譯版本。
6. 根據現行內地慣例,北向交易投資者作為上交所股票的實益擁有人並不能委任代表代其親身出席股東大會。但是,香港結算會整合投資者的投票指示,盡力透過指定網路投票平台遞交一份綜合投票結果予相關的上交所股票發行公司。
7. 北向交易只限於包括在合資格滬股通股票名單(「名單」)的股票,此名單可不時更改。如果其中一隻股票從名單上被移除,該股票只能被賣出而不能被買入。這可能會影響北向交易投資者的投資組合及策略。
8. 北向交易將按照上交所的交易時間進行。聯交所將於上交所上下午開市前5分鐘開始接受訂單。
9. 北向交易只有在香港及上海兩地市場均為交易日、而且兩地市場的銀行在相應的款項交收日均開放時才會開放。客戶須因應其自身的風險承受能力決定是否在不能進行北向交易的期間承擔A股價格波動的風險。
10. 滬股通投資將受制於跨境投資總額度以及每日額度。如果滬股通的交易金額超過其相關額度規定,買盤將會被拒絕。
11. 北向交易全日只接受限價訂單(上交所限價訂單可於指定價格或更優價格撮合)。滬股通並不接受修改訂單。客戶若要修改滬股通訂單,必須先取消原有訂單,然後根據當時額度餘額情況再重新輸入新訂單,並重新排隊。
12. 上交所對股票設有價格限制,聯交所亦會對北向買盤進行動態價格檢查。如果北向訂單的價格超出價格限制,訂單將會被拒絕。
13. 滬股通投資將受制於中國證券監督管理委員會實施的境外持股比例限制。根據相關規定,北向交易投資者的訂單有機會被拒絕,甚或被強制出售其股份。
14. 北向交易不可進行上交所A股的無備兌賣空或其他任何融券活動。所有交易必須在上交所進行,不設場外交易或非自動對盤交易。另外,由於滬股通股票均以無紙化形式發行,中央結算系統證券存管處將不設滬股通股票的實物股票記存及提取服務。
15. 上交所A股市場不允許回轉交易,客戶只可於T+1日或之後出售相關股票。滬股通設有交易前檢查。客戶如需經信達國際沽出所持有的A股,必須在不遲於沽出當天(T日)開市前成功把該A股股票轉至客戶於信達國際持有的證券帳戶中。如果客戶的信達國際證券帳戶於當天開市前沒有足夠相關賣盤的股票數量,信達國際將拒絕相關賣盤。
16. 信達國際有權於緊急情況(如惡劣天氣情況)下取消客戶訂單。如果在緊急情況(例如聯交所失去與上交所的所有聯絡管道等)下,客戶的取消買賣盤指令未能發出,而訂單經已配對及執行,客戶須承擔交收責任。
17. 關於北向交易,股份於T日交收;投資者需於T+1日交收款項。
18. 北向交易投資者需繳交由相關監管機構制定而有別於一般香港上市股票交易的費用,包括交易費用、印花稅及其他稅項等,此等規定將不時改變。
19. 滬股通投資並不屬於香港的投資者賠償基金(「賠償基金」)的涵蓋範圍,北向交易投資者並不會因持牌中介人或認可財務機構的違約事項導致任何金錢損失而得到賠償基金的賠償。
20. 投資者須接納滬股通所涉及的風險,包括但不限於買賣滬股通股票的禁限、對違反上交所上市規則、上交所規則及其他適用法律及規例負責或承擔法律責任。
21. 聯交所或會應上交所要求,要求信達國際拒絕處理客戶訂單。
22. 信達國際有權於接獲聯交所的強制出售通知時強制出售客戶股份。
23. 上交所或會要求聯交所要求信達國際向客戶發出口頭或書面警告,以及不向客戶提供滬股通交易服務。
24. 倘有違反上交所規則、或上交所的上市規則或上交所規則所述的披露及其他責任的情況,上交所所有權進行調查,並可能透過聯交所要求信達國際提供相關資料及材料協助調查。
25. 投資者或任何第三方若因為滬股通交易或買賣盤訂單傳遞系統而直接或間接蒙受任何損失或損害,香港交易所、聯交所、聯交所子公司、上交所及上交所子公司以及其各自的董事、僱員及代理人概不負責。
26. 滬港通的規則會於聯交所網站(<http://www.hkex.com.hk>)及上交所網站(<http://www.sse.com.cn>)作不時更改,客戶須於參與北向交易前瀏覽該等網站並詳閱相關文件。

Account Opening Form of Cash Securities Trading Account (For Corporation/Institutional Account)

To: Cinda International Securities Limited, a licensed corporation (CE No. AEL202) licensed by the Securities and Futures Commission under the Securities and Futures Ordinance carrying out the regulated activity of dealing in securities and an Exchange Participant of the Stock Exchange of Hong Kong Limited whose registered office is situated at 45/F, Cosco Tower, 183 Queen 's Road Central, Hong Kong ("CISL")

1. **Account Opening Application**

We SHUN TAT COMPANY LTD

Business Registration Certificate/Certificate of Incorporation No. 31212121
("Client")

hereby apply to open and maintain:

- a cash securities trading account or accounts **without electronic trading services** on the terms and conditions set out in Client's Agreement for Cash Securities Trading Account Terms and Conditions ("Terms and Conditions")
- a cash securities trading account or accounts **with electronic trading services** on the Terms and Conditions and terms and conditions set out in Client's Agreement for Electronic Trading Services Terms and Conditions ("Additional Terms and Conditions") and to provide us with a Password and User ID in order to access the CISL Web Services

On-Line Trading Registration

- Streaming Real Time Stock Quote (MiniQW) Snapshot Stock Quote (free of charge)
(monthly fee of HK\$350)

* Please tick whichever is appropriate

2. **Type of Service**

We wish to open one or more cash securities trading account (the "Account(s)") with CISL for the purchase or sale of securities. CISL agrees that CISL will from time to time at our request at CISL's sole discretion allow us to open one or more Account(s) with CISL and will act as agent (except as principal on occasions specified in Client's Agreement for the Account(s) subject to the Terms and Conditions).

3. **Fax/Email Indemnity Letter**

We hereby authorize CISL to accept any fax and/or email message from us as the original instruction, and we shall fully indemnify CISL from and against all losses, damages, interest, costs, expenses, actions, demands, claims, proceedings whatsoever which may incur, suffer or sustain as a result of or arising from the exercise of that instruction. We hereby waive any liabilities for CISL that may arise from these authorizations.

4. **Subscription of Electronic Statement Service**

We hereby apply to subscribe for CISL electronic statement service. By completing this part, we hereby consent to receive our statement of account through our email address and authorize CISL not to deliver any physical statement of account to our correspondence address. We undertake to notify CISL of any change in our email address 7 calendar days before such change.

Please tick whichever is appropriate:

- We hereby request to receive electronic statement at our email address as stated on Client's Information Statement
- We hereby request for physical statement in addition to electronic statement
(If requested for physical and electronic statement, services fee of HK\$100 per month will be charged to our account)

* Please tick whichever is appropriate

Remarks: We will be deemed to have received the statement by email at the time of transmission to us.

5. **E-Trade Password (For Account with E-Trade)**

We will receive our account password for E-Trade. We understand that our password is strictly confidential and we are responsible for all loss, cost and expenses, should any transaction be accepted and concluded by CISL on quoting of the said password.

6. **Investment Account(s) Information**

We hereby declare that

- We have one or more investment account(s) maintained with Cinda International group companies, the account number(s) is(are) as follow:
Securities: _____ Futures: _____

We do not have any investment account maintained with Cinda International group companies.

* Please tick whichever is appropriate

7. **Foreign Account Tax Compliance Act**

We hereby declare that if the beneficial owner(s) of our company become(s) a US citizen/US green card holder/US taxpayer in future, we will notify CISL within 21 days.

8. **Notice of Personal Data (Privacy) Policy (see page 7)**

- We acknowledge Notice of Personal Data (Privacy) Policy and consent CISL to use or provide to other persons our data for use in direct marketing.
- We acknowledge Notice of Personal Data (Privacy) Policy but do not consent CISL to use or provide to other persons our data for use in direct marketing.

* Please tick whichever is appropriate

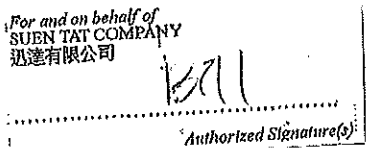
9. **Declaration and Acknowledgments**

We hereby declare that we have read and agreed to Client's Account Opening Form, completed Client's Information Statement and have read and agreed to Terms and Conditions, Notice of Personal Data (Privacy) Policy, Notice to Clients under Shanghai-Hong Kong Stock Connect and Additional Terms and Conditions of Client's Agreement (if also apply for Web Services) which form the agreement made between CISL and us in relation to the Account(s).

We hereby acknowledge and confirm that Client's Agreement(s), including but not limited to the Risk Disclosure Statements set out in Appendix 1 of Client's Agreement, Notice of Personal Data (Privacy) Policy, Notice to Clients under Shanghai-Hong Kong Stock Connect and Clause 9 of Additional Terms and Conditions (if also apply for Web Services) of Client's Agreement was provided to us in a language of our choice (English or Chinese). We were invited to read the Risk Disclosure Statements, Notice of Personal Data (Privacy) Policy and Notice to Clients under Shanghai-Hong Kong Stock Connect carefully, ask questions and take independent legal advice if we wish. We have been explained the Risk Disclosure Statements.

We hereby agree the arrangements and choices listed in items 1 to 9 as shown above, Notice of Personal Data (Privacy) Policy (see page 7) and Notice to Clients under Shanghai-Hong Kong Stock Connect (see page 8)

Authorized Signature with Company Chop



For and on behalf of
SHUN TAT COMPANY
迅達有限公司

Authorized Signature(s)

Signature of Witness

Name of Account: SHUN TAT COMPANY LTD

Certificate of Incorporation No.: 31212121

Date: 20XX-XX-XX

Name of Witness: _____

ID/Passport No.: _____

Date: _____

10. **Declaration by Licensed Person**

I have provided and explained the Risk Disclosure Statements to the Client in a language of their choice (English or Chinese) and have invited them to read the Risk Disclosure Statements, Notice of Personal Data (Privacy) Policy and Notice to Clients under Shanghai-Hong Kong Stock Connect carefully, ask questions and take independent legal advice if they wish.

I hereby declare that I would notify CISL within 5 days when it comes to my knowledge or understanding that:

1. The Client is a US Person.
2. The beneficial owner(s) of the Client become(s) a US Person subject to change in circumstances.
3. The Client directly or indirectly owns, controls or establishes any other account(s) with CISL.

Signature of Licensed Person

Name in Block Letters: _____

CE No.: _____

Date: _____

Acknowledgement by Cinda International Securities Limited

Cinda International Securities Limited acknowledge and agree to the above

Duly authorized for and on behalf of
Cinda International Securities Limited

Date: _____

NOTICE OF PERSONAL DATA (PRIVACY) POLICY

- 1 From time to time, it is necessary for clients who are individuals to supply Cinda International Securities Limited ("CISL") with data which are personal data ("Data") for the purposes of the Personal Data (Privacy) Ordinance (Cap. 486 of the laws of Hong Kong). The purposes for which Data (and other information) relating to clients may be used as follows:
- the daily operation of the services and facilities provided to clients;
 - conducting credit checks and ensuring client's ongoing credit worthiness;
 - assisting other institutions to conduct credit checks;
 - designing and marketing financial services or related products to clients;
 - meeting the requirements to make disclosure under the requirements of any law or regulations; and
 - any other purpose relating to or in connection with CISL's business or dealing or the business or dealings of CISL's group companies.
- 2 Data (and other information) held by CISL relating to clients will be kept confidential but CISL may disclose all Data (and other information) to:
- any officer, employee, agent, contractor or third party who provides administrative, credit information, debt collection, telecommunications, computer, payment or other services to CISL in connection with the operation of CISL's business;
 - any financial institution with which the client has or proposes to have dealings;
 - regulatory or judicial authorities and other relevant government or statutory bodies;
 - any other person under a duty of confidentiality to CISL including CISL's group companies which has undertaken to keep such information confidential;
 - CISL shares information regarding clients among CISL and its group companies only in accordance with strict internal security standards and confidentiality policies and with applicable law;
 - CISL holds its employees fully accountable for adhering to those standards, policies and laws;
 - CISL does not share information about its clients with other companies except in order to conduct its business, comply with applicable law, protect against fraud or make available special offers of products and services that CISL feels may be of interest to its clients. CISL may also provide information to regulatory authorities and law enforcement officials in accordance with applicable law; and
 - CISL has established high standards for protecting information regarding its clients from unauthorized alteration or destruction.
- 3 CISL intends to use your personal data in direct marketing and CISL requires your consent (which includes an indication of no objection) for that purpose. The specific requirement regarding your consent (which includes an indication of no objection) is introduced in Part VIA of the Personal Data (Privacy) Amendment Ordinance 2012. In this connection, please note that:
- a. your name, contact details, products and services portfolio information, transaction pattern and behaviour, financial background and demographic data held by CISL from time to time may be used by CISL in direct marketing;
 - b. the following classes of services, products and subjects may be marketed:
 - i. financial, insurance, securities, commodities, investment and related services and products and facilities; and
 - ii. reward, loyalty or privileges programmes or any programme incidental to them in relation to the class of marketing subjects as referred to in clause 3b(i) above.
- 4 Under and in accordance with the terms of the Personal Data (Privacy) Ordinance each client has a right to:
- a. check whether CISL hold Data about the client and the right of access to such Data;
 - b. require CISL to correct any Data relating to the client which is inaccurate; and
 - c. ascertain CISL's policies and practices in relation to Data and be informed of the kind of his/her personal data held by CISL.
- 5 Request for access and/or correct any data that client has submitted shall be sent to the following address:
Cinda International Securities Limited
45/F, Cosco Tower,
183 Queen's Road Central, Hong Kong
Attn : Business Support Team or phone to 2235-7789
- 6 In accordance with the terms of the Personal Data (Privacy) Ordinance, CISL has the right to charge a reasonable fee for the processing of any Data access request.

NOTICE TO CLIENTS UNDER SHANGHAI-HONG KONG STOCK CONNECT

Shanghai-Hong Kong Stock Connect (the "Scheme") is a pilot scheme launched by Stock Exchange of Hong Kong Limited ("SEHK"), Shanghai Stock Exchange ("SSE"), China Securities Depository and Clearing Corporation Limited and Hong Kong Securities Clearing Company Limited ("HKSCC") which aims to achieve a breakthrough in mutual market access between Mainland China and Hong Kong. The Scheme allows Hong Kong and overseas investors to make trading of SSE securities ("Northbound trading").

1. Northbound trading is traded and settled in Renminbi ("RMB"). Cinda International Securities Limited ("CISL") is not responsible for RMB conversion relevant to Northbound investment.
2. RMB exchange rate might fluctuate due to various factors. Besides, RMB is currently not freely convertible subject to regulatory restrictions. These restrictions might vary from time to time. This RMB exchange rate fluctuation and conversion restriction might affect investment returns.
3. Except the trading arrangements and features specified by SEHK and SSE are not applicable to investment under the Scheme, Northbound trading executed on SSE will have to follow SSE trading rules. Investors should fully understand the Mainland rules and regulations in relation to short-swing profits and disclosure obligations and follow such rules and regulations accordingly. Investors must comply with SSE Rules and other applicable laws of Mainland China relating to Northbound trading.
4. Under the Scheme, Northbound trading can only involve SSE A shares in secondary markets. Northbound trading investors cannot participate in SSE's initial public offering activities.
5. SSE-listed issuers are only required to publish corporate documents in simplified Chinese, and English translation will not be available.
6. According to existing Mainland practices, Northbound trading investors being the beneficial owners of SSE securities are not allowed to appoint proxies to attend shareholders' meetings on their behalf. However, HKSCC will consolidate the voting instructions from investors and endeavor to submit a combined single voting instruction to the relevant SSE-listed company via the designated on-line voting platform.
7. Northbound trading is only limited to shares being included in the List of Eligible Stocks for Northbound Trading (the "List"), and the List might vary from time to time. In case of a stock being removed from the List, it can only be sold but restricted from being bought. This might affect the investment portfolio and strategies of Northbound trading investors.
8. Northbound trading hours will follow that of SSE. SEHK will begin to accept orders starting from 5 minutes before SSE's morning and afternoon sessions.
9. Northbound trading will only be available when both Hong Kong and Shanghai markets are open for trading and when banks in both markets are open on the corresponding settlement days. Clients should take note of their own risk tolerance whether or not to take on price fluctuation risk in A shares when Northbound trading is not available.
10. Investment under the Scheme is subject to the maximum cross-boundary investment quota and the daily quota. Purchase orders of Northbound trading will be rejected if the trading volume has exceeded its quotas according to the relevant regulations.
11. Only limit orders (SSE limit orders can be matched at the specified or better price) will be accepted throughout the day for Northbound trading. Northbound orders cannot be amended. Clients who wish to amend their Northbound orders must cancel the original orders first and then input new orders subject to the quota balance at that moment and queue up again.
12. SSE has imposed price limit on securities orders. SEHK will also apply dynamic price check on Northbound purchase orders. Northbound orders with prices beyond the price limit will be rejected.
13. Investment under the Scheme is subject to the foreign shareholding restrictions imposed by the China Securities Regulatory Commission. Northbound trading investors might be rejected for order placements or even be forced to sell their shares according to the relevant rules.
14. Short selling in or any other securities lending activities of SSE A shares is not allowed via Northbound trading. All trading must be conducted on SSE, i.e. no over-the-counter or manual trades are allowed. Besides, as shares traded on SSE are issued in scripless form, physical deposits and withdrawals of SSE Securities into/from the Central Clearing and Settlement System Depository will not be available.
15. Day trading is prohibited for SSE A shares. Clients are only allowed to sell the stocks on or after T+1 day. Pre-trade checking is applicable to Northbound Trading. If customers want to sell A shares via CISL, the A shares must be transferred to the securities accounts held by customers in CISL before the market opens on the day of selling (T-day). Sell orders will be rejected by CISL if there are no sufficient stocks in their CISL securities accounts before the market open on the day.
16. CISL might cancel clients' orders in case of contingency such as severe weather conditions. If client's order cancellation request cannot be sent in case of contingency such as when SEHK loses all its communication lines with SSE, etc, and if the orders are matched and executed, client should still bear the settlement obligations.
17. For Northbound trading, shares will be settled on T day, and investors are required to settle money on T+1 day.
18. Investors involving Northbound trading might be subject to charges determined by relevant regulatory bodies different from that of Hong Kong listed securities trading, including trading fees, stamp duties and other taxes, etc. These regulations will be changed from time to time.
19. Investment under the Scheme will not be covered by Hong Kong's Investor Compensation Fund ("ICF"). Northbound trading investors will not receive any compensation from ICF for pecuniary losses as a result of default of a licensed intermediary or authorized financial institution.
20. Investors need to accept the risks concerned in Northbound trading, including but not limited to prohibition of trading SSE Securities, being liable or responsible for breaching SSE Listing Rules, SSE Rules and other applicable laws and regulations.
21. SEHK may upon SSE's request, require CISL to reject orders from client.
22. CISL has the right to force-sell client's shares upon receiving the forced-sale notification from SEHK.
23. SSE may request SEHK to require CISL to issue warning statements (verbally or in writing) to its clients, and not to extend Northbound trading service to its clients.
24. If SSE Rules are breached, or the disclosure and other obligations referred to in SSE Listing Rules or SSE Rules is breached, SSE has the power to carry out an investigation, and may, through SEHK, require CISL to provide relevant information and materials and to assist in its investigation.
25. HKEx, SEHK, SEHK Subsidiary, SSE and SSE Subsidiary and their respective directors, employees and agents shall not be responsible or held liable for any loss or damage directly or indirectly suffered by investors or any third parties arising from or in connection with Northbound trading or the China Stock Connect System.
26. The rules of the Scheme will be updated from time to time in SEHK website (<http://www.hkex.com.hk>) and SSE website (<http://www.sse.com.cn>). Clients should visit the websites and read the relevant documents in details before participating in Northbound trading.

CLIENT'S INFORMATION STATEMENT (FOR CORPORATION/INSTITUTIONAL ACCOUNT)
客戶資料表(公司/機構戶口)

CLIENT PARTICULARS 客戶資料：		
Name of Account 戶名： English 英文：SUEN TAT COMPANY LTD Chinese 中文：迅達有限公司	Account No. 帳號：	Date Opened 開戶日期：
Place of Incorporation 註冊地點： HONG KONG	Date of Incorporation 註冊日期： 1982-11-23	Business Registration Certificate No.: 商業登記證號碼：31212121
Certificate of Incorporation No.: 公司註冊證明書號碼：	Registered Address 註冊地址： 香港皇后大道中173號萬國大廈17樓	Telephone No. 電話：21721772
Correspondence Address 通訊地址： (Please state if differ from above 如與上述有異請註明)	Fax No. 傳真號碼：21733333	Email Address 電郵地址：STAT@yahoo.com
Bank Reference 銀行資料： Banker(s) Address 銀行地址： Account No. 帳號： Type of Account 戶口種類：	Broker(s) References 經紀行資料： Broker(s) Address 經紀行地址： Type of Account 戶口種類： (e.g. securities (cash or margin), commodities or futures 例如：股票(現金或按金)，商品或期貨)	
CORPORATE STRUCTURE 公司結構：		
Particulars of individuals who or who through intermediary company(ies) beneficially own or hold the issued share capital of the Client : 透過中間公司持有股份的個人之資料：		
Name 姓名	% of holding 所佔比例	Address 地址
劉福榮	100%	香港中環士丹利街17號17樓
PARTICULARS OF DIRECTORS OF THE CLIENT 客戶董事資料：		
(1) Name 戶名：劉福榮 H.K.I.D. Card/Passport No. 身份證/護照號碼：A132121(5) Address 地址：香港中環士丹利街17號17樓		
(2) Name 戶名： H.K.I.D. Card/Passport No. 身份證/護照號碼： Address 地址：		
SPECIMEN AUTHORIZED SIGNATURES 授權簽章式樣：		
(1) Name 戶名：劉福榮 H.K.I.D. Card/Passport No. 身份證/護照號碼：A132121(5) Contact Phone No. 聯絡電話：94778777 Address 地址：香港中環士丹利街17號17樓	Specimen Signature: 簽章式樣： Bill	
(2) Name 戶名： H.K.I.D. Card/Passport No. 身份證/護照號碼： Contact Phone No. 聯絡電話： Address 地址：	Specimen Signature: 簽章式樣：	
SPECIMEN OF CHOP/SEAL 公司印章式樣：		
<p align="center">For and on behalf of SUEN TAT COMPANY 迅達有限公司</p> <p align="center">..... Authorized Signature(s)</p>		
<p>Note 1: The Account can be operated on the instructions of any two or more signatures/any one signature* (if more than one authorized signature). 戶口須由兩人或以上/任何一人*簽署方為有效(若印鑑式樣多於一人)</p> <p>(* Delete if inapplicable 請刪去不適用者)</p>		

1. DECLARATION OF NON-US/US ENTITY STATUS 非美國/美國實體狀況聲明

(Please tick whichever is appropriate 請於適當欄內加上☐號)

- Participating Foreign Financial Institution/Registered Deemed-Compliant Foreign Financial Institution
參與之海外金融機構/已註冊視作合規海外金融機構
(Global Intermediary Identification Number 全球中介機構識別號碼 _____)
- US Company 美國公司
(Tax Identification Number 繳稅識別號碼 _____)

The Client hereby declares that consent is given to CISL for providing the information of the account opened with CISL to Internal Revenue Service of the United States.

客戶現聲明同意「信達國際證券」提供其在「信達國際證券」開立之帳戶資料予美國國家稅務局。

Others 其他

If any beneficial owner of the Client is a US Person, the Client hereby declares that consent is given to CISL for providing the information of the account opened with CISL to Internal Revenue Service of the United States.

如客戶之任何受益人為美國人士，客戶現聲明同意「信達國際證券」提供其在「信達國際證券」開立之帳戶資料予美國國家稅務局。

In order to comply with the requirements of Foreign Account Tax Compliance Act, CISL could not open any account with the Client if the Client would not provide the above information and/or give its consent to CISL for providing the information of its account opened with CISL to Internal Revenue Service of the United States.

為符合海外帳戶稅收合規法案的要求，如客戶不提供以上的資料及/或不同意「信達國際證券」提供其在「信達國際證券」開立之帳戶資料予美國國家稅務局，「信達國際證券」不可以為客戶開立任何帳戶。

For and on behalf of
SUEN TAT COMPANY
迅達有限公司

Authorized Signature with Company Chop
授權簽署及公司印章 _____

Authorized Signature(s) _____

2. Payment Instruction 收款指示：(Please tick whichever is appropriate 請於適當欄內加上☐號)

- Hold payment and credit to our bank account as follows (if any) when necessary
資金保留帳戶內，待日後提取時，請存入本公司下列銀行戶口(如有)
- Credit to our bank account as follows (if any)
請存入本公司下列銀行戶口(如有)

Client's Banker References 客戶銀行資料

(This information is for settlement purpose. Unless otherwise instructed by the Client, all monies payable to the Client will be credited to the following bank account. 此資料為交收之用。除非客戶另行給予指示，其所有款項將存入下列銀行戶口)

Banker's Name 銀行名稱 _____

Account No. 帳戶號碼 _____

主要帳戶 _____

其他帳戶 _____

3. Financial Information for Corporation/Institutional Clients 公司/機構客戶財務資料：

Share Capital 股本

Authorized Share Capital 法定股本： 10,000 Issued Share Capital 已發行股本： 1,000

Shareholders (name and address) 股東(名稱及地址)：

劉福傑 香港中環士丹利街17號11樓

Net profit after tax and net asset value of the preceding three years 過往三年稅後純利及資產淨值：

	Net profit/loss 純盈/虧	Net asset value 資產淨值
Year to 至 _____	HK\$ _____	HK\$ _____
Year to 至 _____	HK\$ _____	HK\$ _____
Year to 至 _____	HK\$ _____	HK\$ _____

Others 其他： _____

4. Investment History 投資紀錄：(Please tick whichever is appropriate 請於適當欄內加上☐號)

Does the Client have any investment experience? 客戶是否有投資經驗? Yes 是 No 否

- a. Securities 股票： 10 year(s) 年 b. Futures/Options 期貨/期權： _____ year(s) 年
- c. Forex 外匯： _____ year(s) 年 d. Others 其他： _____ year(s) 年

5. Investment Objectives and Strategy 投資目的及策略：(Please tick whichever is appropriate 請於適當欄內加上☐號)

- i. Long Term 長線投資 Short Term 短線投資 Capital Growth 資本增值
- Dividends 股息 Hedging Purpose 對沖 Others 其他 (please specify 請說明) _____
- ii. High Risk 高風險 Medium Risk 中風險 Low Risk 低風險

6. Checklist for Client's Knowledge on Derivative Products 客戶對衍生工具之認識清單：
(Please tick whichever is appropriate 請於適當欄內加上回號)

Which of the following product(s) does the Client *have knowledge*?

客戶對下列哪種產品有認識？

- Warrants 權證 Callable Bull/Bear Contracts ("CBBCs") 牛熊證
 Stock Options 股票期權 Equity Linked Instruments ("ELIs") 股票掛鉤票據
 Exchange Traded Funds with Synthetic Replication Strategies ("ETFs") 交易所買賣基金 (綜合複製策略)

For the product(s) of which the Client has knowledge, please fill in questions 1 to 3.

就有認識之產品，請完成第1至第3條問題。

The Client has obtained the knowledge of the relevant derivative product(s) from:

客戶是從以下途徑獲取相關產品之認識：

		Warrants 權證	Stock Options 股票期權	CBBCs 牛熊證	ETFs 交易所買賣基金 (綜合複製策略)	ELIs 股票掛鉤 票據
1.	The Client has undergone training or attended course on* 客戶曾接受有關培訓或修讀相關課程*					
2.	The Client has current or previous work experience on* 客戶現時或過去有有關的工作經驗*					
3.	The Client has prior trading experience on (executed 5 or more transactions within the past 3 years)* 客戶有有關的買賣經驗 (在過去三年曾執行過五次或 以上有關的交易)*					

* Please provide the supporting document(s) 請提供有關證明文件

Which of the following product(s) does the Client *have NO knowledge*?

客戶對下列哪種產品沒有認識？

- Warrants 權證 CBBCs 牛熊證
 Stock Options 股票期權 ELIs 股票掛鉤票據
 ETFs 交易所買賣基金 (綜合複製策略)

For the product(s) of which the Client has NO knowledge, please confirm the account executive ("AE") has made the relevant risk disclosure declaration.

就沒有認識之產品，請確認經紀已作出相關的風險披露聲明。

	Warrants 權證	Stock Options 股票期權	CBBCs 牛熊證	ETFs 交易所買賣基金 (綜合複製策略)	ELIs 股票掛鉤 票據
AE has provided an explanation of the risks of the relevant derivative product(s) traded on an exchange to the Client. 經紀已向客戶解釋在交易所買賣的有關衍生產品的風險。					

7. Declaration 聲明

The Client represents that the information on Client's Information Statement is true, complete and correct and that the representations in the attached Client's Agreement are accurate. CISL is entitled to rely fully on such information and representations for all purposes, unless CISL receives notice in writing of any change. CISL is authorized at any time to contact anyone, including the Client's bankers, brokers or any credit agency, for the purposes of verifying the information provided on this Client's Information Statement.

客戶茲聲明在客戶資料表內的資料屬真實、完整及正確，隨附客戶協議內之一切聲明亦準確。除非「信達國際證券」接到書面更改通知，否則「信達國際證券」有權為所有目的，完全依賴這些資料及聲明。「信達國際證券」有權隨時聯絡任何人，包括客戶之銀行、經紀或任何信貸調查機構，以求證實此客戶資料表內所載之內容。

<p>AUTHORIZED SIGNATURE WITH COMPANY CHOP 授權簽署及公司印章</p> <p>For and on behalf of SUEN TAT COMPANY 迅達有限公司</p> <p><i>Bill</i></p> <p>..... Authorized Signature(s)</p>

Name of account 戶口名稱： SUEN TAT COMPANY LTD

Date 日期： 20xx-xx-xx

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Form **W-8BEN**

(Rev. February 2014)

Department of the Treasury
Internal Revenue Service

Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)

► For use by individuals. Entities must use Form W-8BEN-E.
► Information about Form W-8BEN and its separate instructions is at www.irs.gov/formw8ben.
► Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

Do NOT use this form if:

- You are NOT an individual **W-8BEN-E**
- You are a U.S. citizen or other U.S. person, including a resident alien individual **W-9**
- You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the U.S. (other than personal services) **W-8ECI**
- You are a beneficial owner who is receiving compensation for personal services performed in the United States **8233 or W-4**
- A person acting as an intermediary **W-8IMY**

Instead, use Form:

Part I Identification of Beneficial Owner (see instructions)

1 Name of individual who is the beneficial owner LAN FOOK WING		2 Country of citizenship CHINA	
3 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address. 191F, 17 Stanley Street, Central			
City or town, state or province. Include postal code where appropriate. Hong Kong		Country CHINA	
4 Mailing address (if different from above)			
City or town, state or province. Include postal code where appropriate.		Country	
5 U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)		6 Foreign tax identifying number (see instructions)	
7 Reference number(s) (see instructions)		8 Date of birth (MM-DD-YYYY) (see instructions) 01-01-1960	

Part II Claim of Tax Treaty Benefits (for chapter 3 purposes only) (see instructions)

9 I certify that the beneficial owner is a resident of _____ within the meaning of the income tax treaty between the United States and that country.

10 Special rates and conditions (if applicable—see instructions): The beneficial owner is claiming the provisions of Article _____ of the treaty identified on line 9 above to claim a _____ % rate of withholding on (specify type of income): _____

Explain the reasons the beneficial owner meets the terms of the treaty article: _____

Part III Certification

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income to which this form relates or am using this form to document myself as an individual that is an owner or account holder of a foreign financial institution,
 - The person named on line 1 of this form is not a U.S. person,
 - The income to which this form relates is:
 - (a) not effectively connected with the conduct of a trade or business in the United States,
 - (b) effectively connected but is not subject to tax under an applicable income tax treaty, or
 - (c) the partner's share of a partnership's effectively connected income,
 - The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country, and
 - For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.
- Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.

Sign Here

Signature of beneficial owner (or individual authorized to sign for beneficial owner) **Bill** Date (MM-DD-YYYY) **20XX-XX-XX**

Print name of signer

Capacity in which acting (if form is not signed by beneficial owner)

Request for Taxpayer Identification Number and Certification

**Give Form to the
 requester. Do not
 send to the IRS.**

Print or type See Specific Instructions on page 2.	Name (as shown on your income tax return) LAW FOOK WING	
	Business name/disregarded entity name, if different from above	
	Check appropriate box for federal tax classification: <input type="checkbox"/> Individual/sole proprietor <input type="checkbox"/> C Corporation <input type="checkbox"/> S Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▶ _____ <input type="checkbox"/> Other (see instructions) ▶ _____	Exemptions (see instructions): Exempt payee code (if any) _____ Exemption from FATCA reporting code (if any) _____
	Address (number, street, and apt. or suite no.) 19/F, 17 Stanley Street, Central City, state, and ZIP code Hong Kong	Requester's name and address (optional)
List account number(s) here (optional)		

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on the "Name" line to avoid backup withholding. For individuals, this is your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

Social security number		
123	-45	-6789

Note. If the account is in more than one name, see the chart on page 4 for guidelines on whose number to enter.

Employer identification number		
	-	

Part II Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
3. I am a U.S. citizen or other U.S. person (defined below), and
4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 3.

Sign Here	Signature of U.S. person ▶ Bill	Date ▶ 20XX-XX-XX
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General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

Future developments. The IRS has created a page on IRS.gov for information about Form W-9, at www.irs.gov/w9. Information about any future developments affecting Form W-9 (such as legislation enacted after we release it) will be posted on that page.

Purpose of Form

A person who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) to report, for example, income paid to you, payments made to you in settlement of payment card and third party network transactions, real estate transactions, mortgage interest you paid, acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA.

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN to the person requesting it (the requester) and, when applicable, to:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the

withholding tax on foreign partners' share of effectively connected income, and

4. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct.

Note. If you are a U.S. person and a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

Definition of a U.S. person. For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien,
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States,
- An estate (other than a foreign estate), or
- A domestic trust (as defined in Regulations section 301.7701-7).

Special rules for partnerships. Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax under section 1446 on any foreign partners' share of effectively connected taxable income from such business. Further, in certain cases where a Form W-9 has not been received, the rules under section 1446 require a partnership to presume that a partner is a foreign person, and pay the section 1446 withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid section 1446 withholding on your share of partnership income.

