

SoFi Securities (Hong Kong) Limited

(CE Number: AXLI43)

www.sofi.hk

15th Floor, 1 Lyndhurst Tower,

1 Lyndhurst Terrace, Central

Hong Kong

香港中環擺花街1號

一號廣場15樓

Questions about your account?

E hello@sofi.hk

T +852 2693 8888

F +852 2693 8860

若有任何關於帳戶的問題?

電郵 hello@sofi.hk

電話 +852 2693 8888

傳真 +852 2693 8860

Please check that the following documents are attached 請確保附下列文件：

- Photocopy of Hong Kong Permanent ID card(s) or/and Passport(s) of the account holder(s).
Passport copy is required for any non Hong Kong citizens.
所有帳戶持有人的香港永久性居民身份證或/及護照副本。所有非香港公民必須提供護照副本。
- Proof of bank account(s). The account name(s) and account number(s) must be shown on one single page and are identical to the applicant's name and registered bank account number(s) on the Application Form (For example, bank statement, ATM card or bank book).
銀行帳戶證明。該帳戶持有人名稱及帳戶號碼必須顯示於單一頁內並且與申請表格上的申請人名稱及登記銀行帳戶號碼一樣 (例如：銀行結單、提款卡或銀行存摺)。
- Proof of residential address is used within last 3 months.
3個月內住址證明副本乙份。

Submit your application by one of the following channels 請通過以下其中之一途徑提交您的申請表格：

Option 1 : In-Person 選擇一：親臨見面

Bring the Application form and all supporting documents to our office at 15th Floor, 1 Lyndhurst Tower, 1 Lyndhurst Terrace, Central, Hong Kong. Your signature has to be witnessed by our licensed representatives.

親臨本公司提交申請表格以及所有文件和完成申請手續，地址：香港中環擺花街1號一號廣場15樓。

Option 2 : By-Email 選擇二：電郵申請

Sign and scan the Application Form, email it to hello@sofi.hk together with all the supporting documents AND successfully transfer an initial deposit of not less than HK\$10,000 from your registered Hong Kong licensed bank account(s) to 8 Securities Limited's BOC or HSBC accounts.

簽署及掃描申請表格後，與所有文件一同電郵至 hello@sofi.hk，並成功由閣下登記之香港持牌銀行帳戶轉帳一筆最低金額為港幣 10,000 的首筆存款至 8 Securities Limited 的匯豐銀行或中國銀行帳戶。

All future deposits and withdrawals for your trading account must be conducted through the registered bank account(s) only. You may designate more than one bank account as registered bank account provided that the proof of bank account is submitted to us and the same verification by way of a bank transfer is completed.

日後就閣下交易帳戶作出的所有存款及提款只能透過登記銀行帳戶進行。閣下可指定多於一個銀行帳戶作為登記銀行帳戶，前提是該登記銀行帳戶已透過銀行轉帳完成了相同的核實程序。

Type of Account 帳戶類別 Individual Cash Account 個人現金帳戶

or 或

 Joint Cash Account 聯名現金帳戶

1. Personal Information: Account Holder 1 個人資料：個人 / 主要帳戶持有人		Personal Information: Account Holder 2 個人資料：聯名帳戶持有人	
<input type="checkbox"/> Mr 先生 <input type="checkbox"/> Mrs 太太 <input type="checkbox"/> Miss 小姐 <input type="checkbox"/> Ms 女士		<input type="checkbox"/> Mr 先生 <input type="checkbox"/> Mrs 太太 <input type="checkbox"/> Miss 小姐 <input type="checkbox"/> Ms 女士	
Chinese Name 中文姓名		Chinese Name 中文姓名	
English Name 英文姓名 Surname	Given Name	English Name 英文姓名 Surname	Given Name
ID No./Passport No. 身份證號碼/護照號碼	Date of Birth (dd/mm/yyyy) 出生日期 (日/月/年)	ID No./Passport No. 身份證號碼/護照號碼	Date of Birth (dd/mm/yyyy) 出生日期 (日/月/年)
Nationality/Citizenship 國籍/公民身份	Country of Residence 居住國家	Nationality/Citizenship 國籍/公民身份	Country of Residence 居住國家
Home Number 住宅電話	Mobile Phone 手提電話	Home Number 住宅電話	Mobile Phone 手提電話
Residential Address (P.O. Box is not allowed) 住宅地址 (不接受郵政信箱)		Residential Address (P.O. Box is not allowed) 住宅地址 (不接受郵政信箱)	
Correspondence Address (if different from above, P.O. Box is not allowed) 通訊地址 (如與以上不同，不接受郵政信箱)		Correspondence Address (if different from above, P.O. Box is not allowed) 通訊地址 (如與以上不同，不接受郵政信箱)	
E-mail Address 電郵地址		E-mail Address 電郵地址	
Are you already a SoFi Securities (Hong Kong) Limited customer? 閣下是否現有 SoFi Securities (Hong Kong) Limited 客戶?		Are you already a SoFi Securities (Hong Kong) Limited customer? 閣下是否現有 SoFi Securities (Hong Kong) Limited 客戶?	
<input type="checkbox"/> Yes 是 (AC No. 帳戶號碼: _____) <input type="checkbox"/> No 否		<input type="checkbox"/> Yes 是 (AC No. 帳戶號碼: _____) <input type="checkbox"/> No 否	

2. Employment: Account Holder 1 職業：個人 / 主要帳戶持有人	Employment: Account Holder 2 職業：聯名帳戶持有人
Occupation/Title 職業/職位	Occupation/Title 職業/職位
Company Industry 公司業務性質	Company Industry 公司業務性質
Name of Employer 僱主名稱	Name of Employer 僱主名稱
Address of Employer 僱主地址	Address of Employer 僱主地址
Office Telephone No. 公司電話號碼	Office Telephone No. 公司電話號碼

Please confirm if Account Holder 1 or Account Holder 2 請確認個人/主要帳戶持有人或聯名帳戶持有人：

- Do not meet any of the following descriptions and declare that both are a NON-PROFESSIONAL investor as defined in US stock market:
現確認並不屬於以下任何一項情況。帳戶持有人謹此聲明本人並不屬於美國股票市場所界定的專業投資者。
- I am subscribing on behalf of a firm, corporation, partnership, trust, or association. 本人正代表公司、團體、合伙人、信託或會社申請開戶。
 - I use the information in connection with any trade or business activities and not for personal investment. 本人將使用市場資訊作其他商業或貿易用途，而非作個人投資用途。
 - I plan to furnish the information to any other person(s). 本人計劃將市場資訊轉發給他人。
 - I am a securities broker-dealer, registered representative, investment advisor, investment banker, futures commission merchant, commodities introducing broker or commodity trading advisor, money manager, member of the Securities Exchange or Association or Futures Contract market, or any owner, partner, or associated person of the foregoing.
本人現為證券經紀交易商、註冊代表、投資顧問、投資銀行家、期貨交易商、商品介紹經紀或商品交易顧問、資金經理、證券及期貨合約市場交易所及團體會員或其主事人、合伙人或其聯繫人士。
 - I am employed by a bank or an insurance company or an affiliate of either to perform functions related to securities or commodity futures investment or trading activity.
本人現正受僱於銀行或保險公司或其關聯公司，而其職責主要為負責證券或商品期貨之投資或交易活動。

3. Personal Financial Information 財務資料 (for Joint Account, please aggregate 如聯名帳戶，請提供總和) :

Annual Income (HK\$) 每年收入 (港元)

- Less than 少於 \$250,000 \$250,001 – \$500,000 \$500,001 – \$1,000,000 More than \$1,000,000 以上

Total Asset Net Worth (HK\$) 總資產淨值 (港元)

- Less than 少於 \$200,000 \$200,001 – \$1,000,000 \$1,000,001 – \$5,000,000 More than \$5,000,000 以上

Residence Status 住宅情況

- Self-owned 自有房屋 Mortgage 按揭貸款 Rented 租住 Living with family 與家人同住
 Quarters 宿舍

Source(s) of funds 資金來源

- Investment 投資 Inheritance/Gifts 繼承/禮物 MPF/Pension 強積金/退休金 Salary/Wages/Savings 月薪/工資/儲蓄
 Business Income 業務收入 Please specify 請註明: _____
 Other 其他 Please specify 請註明: _____

4. Investment Background 投資資料 (for Joint Account, please aggregate 如聯名帳戶，請提供總和) :

Investment Objective (please choose one) 投資目標 (任選其一)

- Capital preservation 減少資本損失 Balance between income and capital growth 平衡穩定的收入和資本增值 Long-term growth 長線資本增值
 Speculation 承擔最大風險以獲取最高的資本增值

Investment Experience in Securities Trading 證券交易投資經驗

- None 無
 0 to 3 years 零至三年 4 to 6 years 四至六年 7 to 10 years 七至十年 Over 10 years 十年以上

Type 種類 (if applicable 如適用) :

- Stock 股票 Warrants 認股權証 Callable Bull/Bear Contracts ("CBBC") 牛熊証
 Equity/Market-linked Notes 股票/市場掛鈎票據 Futures/Options 期貨/期權 Exchange Traded Fund ("ETF") 交易所買賣基金
 Investment Funds 基金 Bonds 債券 Others 其他

How often do you trade? 你參與買賣的頻率是多少?

- 0 – 3 trades per month 每個月 0 – 3 次 4 – 9 trades per month 每個月 4 – 9 次 10 trades or above per month 每個月 10 次或以上

5. Derivative Products Knowledge Assessment 衍生投資產品的認知評估

Please choose one of the followings 請選擇以下選項:

- I have the below experience and/or knowledge on derivative product(s)* 我對衍生產品具有以下經驗及/或知識*
 I do not have the below experience and/or knowledge on derivative product(s), but I confirm that I fully read, agreed and understood the relevant risks of the derivative product(s). I understand that I have to acquire enough understanding on derivative product(s) before trading them and I fully accept all relevant risks.** 我沒有以下關於衍生產品的經驗及/或知識，但我確認我已完全閱讀、同意並理解衍生產品的相關風險。我明白在交易衍生產品之前，我必須對衍生產品有足夠的理解，我並且完全接受所有相關風險。 **

1. I have undergone training or attended courses on derivative products; and/or 我曾接受有關衍生產品的培訓/修讀課程; 及/或
2. I have current or previous work experience related to derivative products; and/or 我擁有有關衍生產品的工作經驗; 及/或
3. I have executed five or more transactions within the past three years in derivative products. 我在過去三年內執行過五次或以上衍生產品的交易。

* Example of derivative products include warrants, callable bull bear contracts, equity-linked notes, exchange traded fund, options and other products embedded with derivatives, etc.
衍生產品的例子包括認股權證、牛熊證、股票掛鈎票據、交易所買賣基金、期權及其他與衍生工具掛鈎的產品。

** SoFi Securities (Hong Kong) Limited have assessed you based on the information provided, and have notified you that it is compulsory to understand the derivative products before trading and warned you about the nature and risk of the products.
SoFi Securities (Hong Kong) Limited 已根據您所提供的資料對您進行了評估，並已提示您在交易衍生產品之前必須了解這些衍生產品及提示您有關產品的性質與風險。

6. Other Disclosure 其他資料披露

Please confirm if Account Holder 1 or Account Holder 2 is 請確認個人/主要帳戶持有人或聯名帳戶持有人:

A senior officer or director of any listed company whose shares are traded on any exchange or market?

是否出任任何交易所或市場上市公司之高級職員/董事?

- Yes 是 No 否

If Yes, please specify the company name(s) and stock code(s) 如是，請填妥相關的公司名稱及股票編號:

A person licensed by or registered with the Hong Kong Securities and Futures Commission or employed by a licensed corporation or registered institution, a registered securities broker dealer, a stock exchange, the US Securities and Exchange Commission, and the FINRA? 閣下是否為香港證券及期貨事務監察委員會("證監會")之持牌法團或註冊人或受僱於證監會之註冊機構或註冊證券經紀交易商、證券交易所、美國證監會或FINRA?

- Yes 是 No 否

If Yes, please specify the CE no, the name of employer, and submit an employer consent letter which provides consent to open account with SoFi Securities (Hong Kong) Limited 如是，請填妥中央註冊號碼、僱主名稱及提交閣下僱主有關同意閣下於 SoFi Securities (Hong Kong) Limited 開戶之書面同意:

7. Other Information 其他資料

Register bank account - please provide your bank account details for fund deposits and withdrawals from your SoFi Securities (Hong Kong) Limited account. All funds must be transferred through the registered bank account. SoFi Securities (Hong Kong) Limited does not accept cash deposits, or deposits from any unregistered or 3rd party bank account. A handling fee may apply to bank transfers. Please refer to www.sofi.hk for a full list of charges. Please note: if you want to change your bank details or register more than one bank account in the future, you must notify SoFi Securities (Hong Kong) Limited in writing.

登記銀行帳戶 - 請提供閣下的銀行帳戶資料，以便處理日後從閣下的 SoFi Securities (Hong Kong) Limited 帳戶存款或提取款項。所有往來款項必須通過此登記銀行帳戶。SoFi Securities (Hong Kong) Limited 不接受通過非登記或第三方之銀行帳戶存款或現金存款。閣下或會被收取相關轉帳手續費。詳細收費表請參閱 www.sofi.hk。請注意：如閣下日後需要更改銀行資料或登記多於一個銀行帳戶，須以書面通知 SoFi Securities (Hong Kong) Limited。

Name of Bank 銀行名稱：

Name of Overseas Bank 海外銀行名稱 (For Overseas transfer only 只適用於海外轉帳)：

Name of Account Holder 帳戶持有人姓名：	Account No. 帳戶號碼：	Account Type 帳戶類別 <input type="checkbox"/> USD 美元 <input type="checkbox"/> HKD 港幣 <input type="checkbox"/> CNY 人民幣 <input type="checkbox"/> Multi-currency 綜合貨幣 <input type="checkbox"/> Other 其它
ABA No./SWIFT Code (For Overseas Transfer only) ABA 號碼/SWIFT編碼 (只作海外轉帳之用)	Bank Address (For Overseas Transfer only) 銀行地址 (只作海外轉帳之用)	

Statement Language Preference 結單語言喜好

Account Statement 帳戶結單 English 英文 Traditional Chinese 繁體中文 Simplified Chinese 簡體中文

All statements will be delivered electronically to your designated email account 所有結單將會以電子方式寄到你指定的電郵地址

8. Risk Disclosure Statement and Disclaimers Acknowledgement 風險披露及免責聲明確認

1. I/We hereby declare that: (a) the information and representation contained in this Account Application are true, complete and correct; (b) unless specifically stated otherwise, I am/we are the person(s) who is/are ultimately responsible for originating the instructions, and (c) unless specifically stated otherwise, I am/we are the ultimate beneficial owner(s) who stand(s) to gain the commercial/economic benefit of the transaction and/or bear the commercial/economic risk.
本人(吾等)聲明：(a)載於本帳戶申請表的資料及聲明乃屬真實、完整及正確；(b)除非另有指明，本人(吾等)對所發出指示負有最終責任的人士；及(c)除非另有指明，本人(吾等)乃屬將會從交易取得商業/經濟利益及/或承擔其商業/經濟風險的最終受益人。

2. I/We hereby accept and agree that the Services and Account are subject to the Customer Agreement and/or Terms of Use and as amended by SoFi Securities (Hong Kong) Limited from time to time. I/We confirm that I/we have read and understood the Customer Agreement and/or Terms of Use and agree to be bound by the terms and conditions as set forth in the Customer Agreement and/or Terms of Use. Unless the context requires otherwise, terms and expressions used and defined in the Customer Agreement and/or Terms of Use shall have the same meaning when used herein.
本人(吾等)接受及同意服務及帳戶受客戶協議及/或使用條款所規限，該協議由 SoFi Securities (Hong Kong) Limited 不時作出修訂。本人(吾等)確認本人(吾等)已經細閱及明白客戶協議及/或使用條款及接受客戶協議及/或使用條款所訂立的條款及條件所約束。除非文義另有所指，客戶協議及/或使用條款所用及定義的詞彙與本帳戶申請表所用者相同。

3. I/We hereby acknowledge and agree that SoFi Securities (Hong Kong) Limited may rely fully on such information and representations for all purpose, unless and until SoFi Securities (Hong Kong) Limited receives notice in writing from me/us of any change.
本人(吾等)知悉及同意除非及直至 SoFi Securities (Hong Kong) Limited 接到本人(吾等)發出更改本申請表內容的書面通知，SoFi Securities (Hong Kong) Limited 可完全依賴該等資料及聲明作一切用途。

4. I/We acknowledge that SoFi Securities (Hong Kong) Limited does not provide investment, tax or legal advice or recommendations.
本人(吾等)知悉 SoFi Securities (Hong Kong) Limited 並不提供投資、稅務或法律意見或推薦建議。

5. I/We acknowledge and confirm that I/we have read the relevant risk disclosure statements and disclaimers which were provided in a language of my/our choice as set out in the Customer Agreement and/or Terms of Use and/or Derivative Products Risk Disclosure Statement and/or Notice to Customers relating to the Personal Data (Privacy) Ordinance. I/We also acknowledge that I/we was/were invited to read the relevant risk disclosure statements and disclaimers as set out in the Customer Agreement and/or Terms of Use and/or Derivative Products Risk Disclosure Statement and/or Notice to Customers relating to the Personal Data (Privacy) Ordinance, ask questions and take independent advice if I/we wish.
本人(吾等)承認及確認已閱讀本人(吾等)所選擇語言之客戶協議及/或使用條款及/或衍生產品風險披露聲明及/或個人私隱條例的客戶通告內有關的風險披露聲明及免責聲明。本人(吾等)亦確認獲邀閱讀客戶協議及/或使用條款及/或衍生產品風險披露聲明及/或個人私隱條例的客戶通告內有關的風險披露聲明及免責聲明，並可提出問題及徵求獨立的意見(如本人(吾等)有此意願)。

6. I/We hereby acknowledge and confirm that I/we have authorized SoFi Securities (Hong Kong) Limited ("SoFi HK") to deal with my/our moneys upon and in accordance with the relevant part of the Customer Agreement ("Standing Authorization for Client Money"). I/We acknowledge and confirm that I/we have read the contents of the Standing Authorization for Client Money, and I/we fully understand the contents and effects of this authority.
本人(吾等)謹止知悉及確認，本人(吾等)已根據客戶協議內之適用部份("客戶款項常設授權")，授權 SoFi Securities (Hong Kong) Limited ("SoFi HK") 處置本人(吾等)的款項。本人(吾等)知悉及確認本人(吾等)已經細閱客戶款項常設授權的內容及完全明白本授權的內容及作用。

I/We acknowledge and confirm that this authority shall be valid for a period of twelve (12) months from the date of this acknowledgement and shall be deemed to be renewed on a continuing basis for a further period of not more than twelve (12) months without my/our consent, unless otherwise terminated by SoFi HK or revoked by me/us with notice in writing to SoFi HK upon and in accordance with the relevant part of the Customer Agreement ("Standing Authorization for Client Money")

本人(吾等)知悉及確認，根據客戶協議內之適用部份("客戶款項常設授權")，除非 SoFi HK 終止接受本授權或本人(吾等)向 SoFi HK 發送書面通知撤銷本授權，本授權在作出確認之日起十二 (12) 個月內維持有效並在無需取得本人(吾等)進一步書面同意確認下被視為自動續期一次 (最長不超過十二 (12) 個月)。

7. This Account Application is prepared in both English and Chinese versions, in the event of discrepancy between the versions, the English version shall prevail.
本帳戶申請表分中文及英文版本，如兩者出現歧義，須以英文版本為準。

Signed, sealed and delivered 由以下人士簽署、蓋印及提交

Signed, sealed and delivered 由以下人士簽署、蓋印及提交

Account Holder 1's Signature 主要帳戶持有人簽名
By _____
Account Holder 1's Name 主要帳戶持有人姓名
Date 日期：_____
In the presence of the Witness specified under section 9 below 在以下第九節所述的見證人見證下

Account Holder 2's Signature 主要帳戶持有人簽名
By _____
Account Holder 2's Name 主要帳戶持有人姓名
Date 日期：_____
In the presence of the Witness specified under section 9 below 在以下第九節所述的見證人見證下

9. Certification of Client Signature and Identity Proof 客戶簽署見證及身份證明文件驗證

This is to certify that I* have witnessed to signing of the Account Application Form of SoFi Securities (Hong Kong) Limited by the applicant, _____
I further confirm that I have verified the applicant's identity against his/her identification documentation.

本人* 謹此認證，見證申請人 _____ 簽署 SoFi Securities (Hong Kong) Limited 的帳戶申請表。本人已索取並核實申請人的身份證明文件，確認其身份。

Signature of Witness 見證人簽署： _____ Date 日期： _____

Name of Witness 見證人姓名： _____ Occupation 職業： _____

Professional Qualification Obtained by the Witness and the License Number
見證人已取得的專業資格及牌照號碼：

Employer Address of the Witness 見證人僱主的地址：

* Caution: A witness has to be a registered or licensed person, a Justice of the Peace, branch manager of a bank, lawyer, certified public accountant or Notary Public.

* 請注意：見證人需為註冊人士或持牌人，太平紳士，銀行分行經理，律師，執業會計師或公證人。

SoFi Securities (Hong Kong) Limited is a licensed corporation under Securities and Futures Commission
SoFi Securities (Hong Kong) Limited 乃香港證券及期貨事務監察委員會之持牌法團。

10. Declaration by licensed or registered staff 持牌或註冊人士聲明

The customer acknowledges the receipt and understanding of the following documents when he/she opens an account with SoFi Securities (Hong Kong) Limited:

Customer Agreement;
Derivative products risk disclosure statement;
Fees and charges table;
Notice to Customers relating to the Personal Data (Privacy) Ordinance (the "PDPO"); and
Chloe Terms of Use – Chloe Services (if applicable).

客戶確認於 SoFi Securities (Hong Kong) Limited 開立帳戶時已收妥及明白下列之文件：

客戶協議；
衍生工具風險披露聲明；
費用和收費表；
有關個人資料(私隱)條例之客戶告示；和
使用條款 – Chloe 服務 (如適用)。

The customer has been provided with the relevant risk disclosure statements and disclaimers in a language of the customer's choice. The undersigned licensed or registered staff has invited the customer to read the relevant risk disclosure statements and disclaimers as set out in the Customer Agreement and/or Terms of Use, ask questions and take independent advice if the customer wishes.

客戶已獲提供所選語言之有關風險披露聲明及免責聲明，以下簽署之持牌或註冊人員已邀請客戶閱讀客戶協議及/或使用條款內有關的風險披露聲明及免責聲明，並可提出問題及徵求獨立的意見(如客戶有此意願)。

Signature of Staff Member 員工簽署
(CE No. _____)

Date 日期

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

(Rev. January 2017)

► For use by individuals. Entities must use Form W-8BEN-E.

OMB No. 1545-1621

Department of the Treasury
Internal Revenue Service

► 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.

Do NOT use this form if:

Instead, use Form:

- 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
- You are a person acting as an intermediary W-8IMY

Note: If you are resident in a FATCA partner jurisdiction (i.e., a Model 1 IGA jurisdiction with reciprocity), certain tax account information may be provided to your jurisdiction of residence.

Part I Identification of Beneficial Owner (see instructions)

1 Name of individual who is the beneficial owner		2 Country of citizenship	
3 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address.			
City or town, state or province. Include postal code where appropriate.		Country	
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)	

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 and paragraph _____ of the treaty identified on line 9 above to claim a _____ % rate of withholding on (specify type of income): _____

Explain the additional conditions in the Article and paragraph the beneficial owner meets to be eligible for the rate of withholding: _____

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 for chapter 4 purposes,
- 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) Date (MM-DD-YYYY)

Print name of signer Capacity in which acting (if form is not signed by beneficial owner)

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

(Rev. January 2017)

► For use by individuals. Entities must use Form W-8BEN-E.

OMB No. 1545-1621

Department of the Treasury
Internal Revenue Service

► Information about Form W-8BEN and its separate instructions is at www.irs.gov/formw8ben.

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Do NOT use this form if:

Instead, use Form:

- 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
- You are a person acting as an intermediary W-8IMY

Note: If you are resident in a FATCA partner jurisdiction (i.e., a Model 1 IGA jurisdiction with reciprocity), certain tax account information may be provided to your jurisdiction of residence.

Part I Identification of Beneficial Owner (see instructions)

1 Name of individual who is the beneficial owner		2 Country of citizenship	
3 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address.			
City or town, state or province. Include postal code where appropriate.		Country	
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)	

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 and paragraph _____ of the treaty identified on line 9 above to claim a _____ % rate of withholding on (specify type of income): _____

Explain the additional conditions in the Article and paragraph the beneficial owner meets to be eligible for the rate of withholding: _____

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 for chapter 4 purposes,
- 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)

Date (MM-DD-YYYY)

Print name of signer

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

Individual Self – Certification

SoFi Securities (Hong Kong) Limited are obliged under the United States FATCA legislation and the Inland Revenue (Amendment) (No.3) Ordinance 2016 in relation to the automatic exchange of information for tax matters ("AEOI"), to collect certain information about each account holder's tax status and tax residency. Please complete the sections below as directed and provide any additional information that is requested. Please note that we may be obliged to share this information with relevant tax authorities including that Hong Kong Inland Revenue Department for transfer of information to the tax authority of another jurisdiction. Terms referenced in this Form shall have the same meaning as applicable under the relevant FATCA and CRS regulations.

If you have any questions about how to complete this form, please refer to accompanying guidelines for completion or contact your tax advisor.

Please note that where there are joint account holders each investor is required to complete a separate Self-Certification form.

All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s).

Name

HKID/Passport Number

Place and Country of Birth

I hereby confirm that I am, for tax purpose, resident in the following jurisdictions (indicate the tax reference number type and number applicable in each jurisdiction). Eg. If you are a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.

Jurisdiction / Jurisdictions of Tax Residency Indicate all jurisdictions of residence (not restricted to three)	TIN	Enter Reason A, B or C if no TIN is available	Explain why you are unable to obtain a TIN if you selected Reason B

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

Reason A – The country/jurisdiction where I am resident does not issue TINs to its residents.

Reason B – I am otherwise unable to obtain a TIN or equivalent number.

Reason C – No TIN is required. (**NOTE** Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction)

I declare that the information provided in this form is, to the best of my knowledge and belief, accurate and complete. I undertake to advise SoFi Securities (Hong Kong) Limited promptly and provide an updated Self-Certification from within 30 days where any change in circumstances occurs which causes any of the information contained in this form to be inaccurate or incomplete. Where legally obliged to do so, I hereby consent to SoFi Securities (Hong Kong) Limited sharing this information with relevant tax authorities.

I certify that I am the account holder/I am authorized to sign for the account holders[#] of all accounts to which this form relates.

[#]Delete as appropriate

Signature

Date (dd/mm/yyyy)

NOTE If you are not the individual, please indicate the capacity in which you are signing the form. If signing under a power of attorney, please also attach a certificated copy of the power of attorney.

Capacity

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 (ie. HKD10,000)

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Jurisdiction / Jurisdictions of Tax Residency Indicate all jurisdictions of residence (not restricted to three)	TIN	Enter Reason A, B or C if no TIN is available	Explain why you are unable to obtain a TIN if you selected Reason B

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

Reason A – The country/jurisdiction where I am resident does not issue TINs to its residents.

Reason B – I am otherwise unable to obtain a TIN or equivalent number.

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I certify that I am the account holder/I am authorized to sign for the account holders[#] of all accounts to which this form relates.

[#]Delete as appropriate

Signature

Date (dd/mm/yyyy)

NOTE If you are not the individual, please indicate the capacity in which you are signing the form. If signing under a power of attorney, please also attach a certificated copy of the power of attorney.

Capacity

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