

Dragon Service Company Limited

龍騰服務有限公司

Unit A, 16/F., Queen's Centre, 58-64 Queen's Road East, Wan Chai, Hong Kong.

香港灣仔皇后大道東 58-64 號帝后商業中心 16 樓 A 室

Tel 電話: (852) 93463801

Individual Questionnaire 個人問卷

(Customer Due Diligence 客戶盡職審查)

In accordance with Anti-Money Laundering and Counter-Terrorist Financing Ordinance, Chapter 615 of the Laws of Hong Kong ("AMLO"), we are required to obtain information relating to customer due diligence.

根據香港法例第 615 章《打擊洗錢及恐怖分子資金籌集條例》(下稱「《打擊洗錢條例》」)·我們須取得有關客戶盡職審查的資料。

This questionnaire must be completed and signed by a shareholder or director of the subject company. This form should be completed in English.

此問卷必須由從屬公司的董事或股東填寫及簽署。此表格須以英文填寫。

After completion and signature, please return this questionnaire together with required documents via email and send the original via ordinary mail marked strictly private and confidential to the following address:

完成並簽署後·請透過電子郵件將此問卷連同所需文件一併寄回·並將正本透過嚴格私密和保密的普通郵件寄送至以下地址：

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william@dragonzone.co

Kindly note that all required information provided is for our attention only and will be treated with the strictest of confidence. We will only disclose personal information to the extent that we are required to do so under applicable laws and regulations.

請注意·提供的所有必要資料僅供我們關注·並將以嚴格保密處理。我們只會根據適用法例及法規要求披露個人資料。

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1. As a general rule, a beneficial owner of a customer is an individual who ultimately owns or controls the customer (owning or controlling, in the case of a customer that is a corporation, partnership or trust, more than 25% of the shares, voting rights, profits or capital, as the case may be) or on whose behalf a transaction or activity is being conducted.
 1. 一般而言·客戶的實益擁有人是指最終擁有、控制客戶(如客戶是法人團體、合夥或信託·指擁有或控制超過 25%的股份、表決權、利潤或資本·視屬何情況而定)或由客戶代其進行交易或活動的個人。

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A) Personal Information 個人資料				
1. Name 名稱	Surname 姓氏	First Name 名字	Middle Name 中名	Alias 別名
2. Previous Names 前用名稱				
3. Date of Birth 出生日期	(dd/mm/yy)(日/月/年)			
4. Gender 性別	<input type="checkbox"/> Male 男	<input type="checkbox"/> Female 女		
5. Place of Birth 出生地				
6. Identity/Travel document 身分證明/旅遊證件 Document No.文件編號 Government/State issued 簽發政府/國家				
7. Nationality 國籍	(please list all citizenship 請全數列出所有國籍)			
8. US Person 美國人士	<input type="checkbox"/> Yes (I am a US Citizen, Permanent Resident or Green Card Holder 是 (我是美國公民、永久居民或綠卡持有人)	<input type="checkbox"/> No 否		
9. Tax Residence 稅務居民	(Country/Region & Tax identification no.) (國家/地區及稅務編號)			
10. Occupation 職業				
11. Employer 僱主				
Address 地址				Country/Region 國家 / 地區

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B) Contact Information 聯絡資料		
1. Residential Address 常住地址		Country/Region 國家 / 地區
2. Correspondence Address 通訊地址 <i>(If different from Residential Address 如與常住地址不同)</i>		Country/Region 國家 / 地區
3. Telephone no. 電話	(Office 辦公)	(Mobile 流動)
4. Email 電郵		

C) Politically Exposed Persons 政治人物		
<p>Please confirm whether you or any of your immediate family member or close associate² is, Politically Exposed Person as defined in AMLO. If Yes, please ✓ the appropriate box(es) and complete the Country/Region column.</p> <p>請確認閣下或家屬或關係密切的人²是否《打擊洗錢條例》指明的政治人物。如是，請✓合適方格並填寫國家/地區一欄。</p>	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	
	I am or my immediate family member or close associate is a... 本人或家屬或關係密切的人是...	Country/Region 國家 / 地區
	<input type="checkbox"/> Head of state 國家元首	
	<input type="checkbox"/> Head of government 政府首長	
	<input type="checkbox"/> Senior politician 資深從政者	
	<input type="checkbox"/> Senior government official 高級政府官員	
	<input type="checkbox"/> Judicial official 司法官員	
	<input type="checkbox"/> Military official 軍事官員	
	<input type="checkbox"/> Senior executive of a state-owned corporation 國有企業高級行政人員	
<input type="checkbox"/> Important political party official 重要政黨幹事		

² A close associate defines as (a) an individual who has close business relations with a political exposed person, including an individual who is a beneficial owner of a legal person or trust of which the political exposed person is also a beneficial owner; or (b) an individual who is the beneficial owner of a legal person or trust that is set up for the benefit of a political exposed person.

² 關係密切的人界定為(a)該人為與政治人物有密切業務關係的個人(政治人物屬某法人或信託的實益擁有人的情況下，包括同樣屬該法人或信託的實益擁有人的個人)；或(b)該人是屬某法人或信託的實益擁有人的個人，而該法人或信託是為政治人物的利益而成立的。

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D) Questions 問題				
<i>If answer to any of the questions is "YES", please provide details in writing separately</i> 如任何問題的答案為「是」，請以書面方式提供有關該答案的詳情		Yes 是	No 否	
	1. Are you holding shares on behalf of another individual? If applicable, a copy of the Declaration of Trust must be provided and please confirm your relationship in writing 閣下是代表另一人士持有股份？ 如適用，必須提供“信託聲明”的副本，並以書面形式確認你與委託人的關係			
	2. Have you ever been refused to register a company in Hong Kong? 閣下有否曾被拒絕在香港註冊公司？			
	3. Are you, or have you ever been, bankrupt? 閣下已或 閣下曾經破產？			
	4. Have you ever been convicted of a criminal offence involving fraud or dishonesty? 閣下是否曾被判犯有涉及欺詐或不誠實的刑事罪？			
	5. Has fraud or dishonesty been proven against you in any civil proceedings? 在任何民事訴訟程序中，閣下是否曾被證實欺詐或作出不誠實行為？			
	6. Have you ever been the subject of a judicial or the other official enquiry? 閣下是否為司法或其他官方調查對象？			
	7. In carrying out your duties will you be acting on the direction or instruction of other individual? Please specify the name, identification information and contact details of this individual. 在履行職責時，閣下會按照其他人士的指示或指令行事？請註明該人士的姓名，身份資料及聯絡詳情。			

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E) Source of Funds/Wealth 資金/財富來源 (If you choose a special service in the subject company questionnaire, please fill in briefly and we may request further supporting documents) (如閣下在從屬公司問卷中選擇特別服務，請簡要填寫此部，我們可能要求提供個別證明文件)	
1. The beneficial owner has funded to the subject company 實益擁有人已向從屬公司提供的資金	Sales of Investment (please state the type of investment, value of sale, date of sale) 投資出售 請說明投資類別 · 出售價值 · 出售日期
	Personal Business Income (please state the name and nature of business, website, annual profit, etc. 請說明業務名稱及性質 · 網址 · 年度盈利等) 個人業務收入
	Personal Asset (please state type of assets, value of assets, etc. 請說明資產類別 · 資產值等) 個人資產
	Family Business (please state the name and nature of business, website, annual profit, etc. 請說明業務名稱及性質 · 網址 · 年度盈利等) 家族業務
	Inheritance (please state name of deceased/donor, type of business/investment/asset, relationship, amount received 請說明死者/捐贈者的姓名 · 業務/投資/資產類別 · 關係 · 已收金額) 承受遺產
	Borrowings/Loans (please state the name of banker or financial institutes, amount and terms of borrowings/loans, any restrictive covenant 請說明銀行或金融機構的名稱 · 借款/貸款的金額和條款 · 任何限制性契約) 借/貸
	Salary (please state the name of employer, position, annual salary with bonus 請說明僱主的名稱 · 職位 · 年薪和花紅) 薪酬
	Other Individual (please state the name of individual(s) who provide funding and details of how such funds are accumulated by that individual(s) 請說明提供資金的人士的姓名以及該人士如何累積此等資金的詳情) 其他人士
	Other (please state in details 請說明詳情) 其他

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2. The beneficial owner present financial standing 實益擁有人現時的財務狀況	Investment 投資	<i>(please state the name of investment manager, value of portfolio, origin of investment funds 請說明投資經理的名稱·投資組合的價值·投資資金的來源)</i>
	Business Income 業務收入	<i>(please state the names and natures of all your businesses, websites, accumulative profits, etc. 請說明閣下全部業務名稱及性質·網址·合部累計利潤等)</i>
	Personal Asset 個人資產	<i>(please state type of assets, value of assets, etc. 請說明資產類別·資產值等)</i>
	Family Wealth 家族財富	<i>(please state the names and natures of all your family businesses, websites, accumulative profits, all assets owned by your family etc. 請說明閣下全部家族業務名稱及性質·網址·合部累計利潤·閣下家族擁有的全部資產等)</i>
	Inheritance 承受遺產	<i>(please state name of deceased/donor, type of business/investment/asset, relationship, amount received 請說明死者/捐贈者的姓名·業務/投資/資產類別·關係·已收金額)</i>
	Salary 薪酬	<i>(please state the name of employer, position, annual salary with bonus 請說明雇主的名稱·職位·年薪和花紅)</i>
	Other Individual 其他人士	<i>(please state the name of individual(s) who provide funding and details of how such funds are accumulated by that individual(s) 請說明提供資金的人士的姓名以及該人士如何累積此等資金的詳情)</i>
	Other 其他	<i>(please state in details 請說明詳情)</i>

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Statement on Collection of Personal Data 收集個人資料聲明

- (i) The information provided above will be used in relation to services provided or to be provided by us for due diligence purposes pursuant to AMLO and/or other relevant laws and regulations.
以上資料將在我們提供或將提供的服務時根據《打擊洗錢條例》和/或其他相關法律及法規為進行盡職審查目的之用。
- (ii) The information provided by you herein may be made available to our related companies or associates, group sister companies, or service providers or other professional bodies or government bodies or regulators, as may be necessary for any of the said purposes.
閣下在此提供的資料可能會（於任何該等目的可能是必須時）提供給我們的有關聯的公司或聯營公司、集團姊妹公司、或服務提供者或其他專業機構或政府機構或監管機構。
- (iii) Apart from the purposes stated above, personal information will not be transferred to any other parties, unless such parties are authorized by law and request the information.
除上述註明目的外，個人資料將不會轉移給任何其他人士，除非該等人士經法律授權並要求提供該等資料。
- (iv) You have a right to request access to and correction of your personal data. Such requests may be made in writing to Dragon Service Company Limited at Unit A, 16/F., Queen's Centre, 58-64 Queen's Road East, Wan Chai, Hong Kong, or by email us at william@dragonzone.co.
閣下有權要求查閱及更改個人資料。此類要求可以書面形式發送至我們龍騰服務有限公司，地址為香港灣仔皇后大道東 58-64 號帝后商業中心 16 樓 A 室，或以電郵發送給我們，電郵地址為 william@dragonzone.co。

Declaration and Confirmation 聲明及確認

I declare and confirm that the details provided are accurate, true and correct to the best of my knowledge and agree to notify Dragon Service Company Limited in the event of any changes. I also confirm that I have read and understand the above statement on collection of personal data and agree to be bound by it.

本人，盡本人所知，在此聲明並確認所提供的詳細資料均是準確、真實及正確，並且同意在發生任何變更時通知龍騰服務有限公司，本人亦確認本人已閱讀並理解上述有關收集個人資料聲明，並同意受其約束。

Name 姓名

Signature 簽署

Date 日期

SUPPORTING DOCUMENTS CHECKLIST 證明文件清單

Please ensure the below documents should be submitted together with the Individual Questionnaire (Customer Due Diligence). Please check the below boxes by a tick "✓" before submission.

請確保以下文件須與從屬個人問卷（客戶盡職審查）一起提交。在提交問卷前，請以“✓”檢查以下文件已一併提交。

- Copy of current valid passport 現時有效護照副本
- Copy of valid government issued photo identity card 有效政府頒發附有照片的身份證副本
- Original/copy of residential address proof (e.g. utility bill, bank statement, etc.) within three months from the date of submission of questionnaire 提交問卷之日起計三個月內的常用住址證明正本/副本（如水電費賬單、銀行賬單等）
- Copy of declaration of trust, if any 如有，信託聲明書副本
- Copy of nominee shareholding agreement, if any 如有，股份代理人協議副本

* all copy of documents should be certified by lawyer, qualified accountant, TCSP licensee, estate agent, a member of the judiciary, an officer of an embassy, consulate or high commission, a justice of the Peace

*全部文件副本須由律師、合資格會計師、TCSP 持牌人、地產代理、司法人員、大使館的人員、領事館的人員或高級專員公署的人員、及太平紳士認證