

## 遵守反洗錢(“AML”)及反恐融資(“CTF”)要求之確認書

致：瑞城證券有限公司

我方(詳細資料見下文)，已妥為制定相關政策及程序，以確保符合 AML 及 CTF 之要求。

公司名稱：\_\_\_\_\_

地址：\_\_\_\_\_

管轄地(國家 / 司法轄區)：\_\_\_\_\_

監管機構(監管機構名稱)：\_\_\_\_\_

管轄法律(相關 AML/CTF 法規名稱)：\_\_\_\_\_

我方確認，我方已進行全面的盡職調查，以確認及核實所有潛在客戶及實益擁有人的身份，實益擁有人包括：

- (a) 擁有該客戶至少 10%(高風險情況) / 25%(一般風險情況)的表決權或股本任何人士，
- (b) 對該客戶的管理行使最終控制權任何個人，或者
- (c) 客戶代表其行事的任何人士。

我方已對所有潛在客戶及實益擁有人進行審查，以確認其是否為政治人物或為政治人物的直系家庭成員或關係密切人士(“PEP”)，倘若該潛在客戶或實益擁有人為 PEP，則已查明相關財產來源及資金來源。如若潛在客戶未親身到場驗明身份，我方已採取額 額外措施核實客戶的身份，以消除洗錢及恐怖分子籌資的風險。

我方保證，就我方所知範圍及依據記錄，潛在客戶實益擁有人並非美國財政部海外資產控制辦公室所列名單或聯合國安理會所列名單中的特別指定 / 被禁的人士或機構。

我方會在與潛客戶結束業務關係後，將潛在客戶及實益擁有人的盡職調查記錄和資料留存至少 6 年。我方會按照相關要求，向瑞城證券有限公司及其他監管機構提供我方獲得的該等記錄和資料。

簽署：\_\_\_\_\_

姓名：\_\_\_\_\_

職務：\_\_\_\_\_

公司名稱：\_\_\_\_\_

日期：\_\_\_\_\_

## Confirmation of Comply with Anti-Money Laundering (“AML”) and Counter – Financing of Terrorism (“CTF”) Requirements

To : Gransing Securities Co., Limited

We, (details of our Company are as below), has duly formulate relevant policies and procedures to ensure compliance with the legal and supervisory requirements of the AML and CTF.

Company Name : \_\_\_\_\_

Address : \_\_\_\_\_

Jurisdiction: (country / jurisdiction) : \_\_\_\_\_

Regulatory Body: (regulatory agency name) : \_\_\_\_\_

We confirm that, we have conducted a comprehensive due diligence and verify the identity of all potential customers of beneficial owners.

Beneficial owners includes:-

- (a) Any person who holds 10% or more (for high risk client)/ 25% or more (for normal risk client) of the voting rights or share capital of the client;
- (b) Any individual who exercises ultimate control over the management of the client: OR
- (c) If the corporation is acting on behalf of another person, means the other person.

We have conducted a comprehensive due diligence of all potential customers of beneficial owners, we have checked and confirm that they are not PEP or their immediate family member of their close associates. If that potential customers or beneficial owners is a PEP, then we can confirm that we have already identify the relevant sources of property and sources of fund. If account opening with the potential customers of beneficial owners is using a non face-to-face approach, we have taken additional measures to verify the identity of the customer, in order to eliminate the risk of money laundering and terrorist financing.

We guarantee that, to our best knowledge and based on our record, the potential customers of beneficial owners are not listed in the list of persons of organizations of The Office of Foreign Assets Control of the US Department of the Treasury OR United Nations Securities Council's Sanctions List.

The potential customers or beneficial owners' due diligence record and information will be keeping for at least 6(six) years after the potential customers ended the business relationship with us. We will provide client's information and trading record to Gransing Securities Co., Limited and other regulatory body upon request.

Signature : \_\_\_\_\_

Name : \_\_\_\_\_

Title : \_\_\_\_\_

Company Name: \_\_\_\_\_

Date : \_\_\_\_\_