

### Personal Information Collection Statement

The provision of information and other personal data by you is on a voluntary basis. However, failure to provide us with the information and other personal data as requested may result in your application/instruction not being able to be processed. The information and other personal data provided by you will only be accessed and handled by Principal Trust Company (Asia) Limited (“the Trustee and Administrator”) and its affiliate(s), Principal Insurance Company (Hong Kong) Limited (“the sponsor”), Principal Investment & Retirement Services Limited (“the promoter”) (collectively, “the Companies”) and the relevant persons stated herein below.

The information and other personal data collected from you from time to time will be used for the purposes of: (1) processing your application for participation under Principal MPF Scheme Series 800 (“the Scheme”); (2) administering and managing your contributions and accrued benefits under the Scheme; (3) carrying out your instructions or responding to any enquiries given or purporting to be given by you or on your behalf; (4) direct marketing of mandatory provident fund (“MPF”), retirement schemes, MPF and retirement schemes related services and products of Principal Trust Company (Asia) Limited and its member company(ies); (5) providing MPF and retirement schemes related services; (6) maintaining statistical data and providing a database for product and market research; (7) compliance with applicable laws, regulations, guidelines or guidance given or issued by any legal, regulatory, governmental, tax, law enforcement or other authorities, or self-regulatory or industry bodies or associations of financial services providers within or outside the Hong Kong Special Administrative Region (“Hong Kong”), including but not limited to the Foreign Account Tax Compliance Act and the Common Reporting Standard; and (8) any other purposes relating or incidental to the above.

Furthermore, for the purpose of automatic exchange of financial account information, such information and information regarding the account holder and any reportable account(s) may be reported by the Trustee and its member company(ies) to the Inland Revenue Department of the Government of Hong Kong (“IRD”) and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112 of the Laws of Hong Kong). You shall advise us of any change in circumstances which affects the tax residency status of the account holder, and to provide us with a suitably updated self-certification form within 30 days of such change in circumstances.

You may visit the IRD website that sets out information relating to the implementation of automatic exchange of financial account information in Hong Kong: [http://www.ird.gov.hk/eng/tax/dta\\_aeo1.htm](http://www.ird.gov.hk/eng/tax/dta_aeo1.htm).

Your personal data (name, contact details and account records) may be used for direct marketing of MPF products, retirement schemes, MPF and retirement schemes related services and products of the Trustee and its member company(ies) only with your consent.

Your personal data may be transferred/disclosed to the following parties (whether within or outside Hong Kong) for any of the purposes stated above: (1) any agent, contractor, third party service provider, or any company(ies) within the same group of companies to which the Trustee belongs which provides administrative, telecommunications, computer, data processing or storage, marketing, professional or other services to the Trustee in connection with their business operations; (2) any person to whom the Trustee is under an obligation to make disclosure under the requirements of any laws and regulations binding on the Trustee or any of its member company(ies) or under and for the purposes of any guidelines issued by regulatory, tax or other authorities with which the Trustee or its member companies are expected to comply; and (3) any actual or proposed assignee of the Trustee or participant or sub-participant or transferee of the rights of the Trustee in respect of you.

Under the Personal Data (Privacy) Ordinance (Cap.486 of the Laws of Hong Kong), you have a right to request access to and correction of any of your personal information held by the Companies and to request not to use your personal data for direct marketing purpose as stated above. The aforesaid requests can be made in writing to: Data Protection Officer, Principal Trust Company (Asia) Limited, 30/F, Millennium City 6, 392 Kwun Tong Road, Kwun Tong, Kowloon, Hong Kong. If you have any questions or wish to know more about our privacy policy, please send your enquiry to the above address or contact us at (852) 2827 1233.

### 個人資料收集說明書

閣下提供的資料及其他個人資料純屬自願性質。然而，如未能提供所需資料及其他個人資料，可能導致閣下的申請/指示不獲處理。閣下提供的資料及其他個人資料僅供信安信託(亞洲)有限公司(「受託人及管理人」)、美國信安保險有限公司(「保薦人」)及信安投資及退休金服務有限公司(「推銷商」)(統稱「公司」)及以下所指的相關人士/機構使用及處理。

向閣下所收集的資料及其他個人資料將會用作下列用途：(1) 處理閣下參與信安強積金計劃800系列(「該計劃」)的申請；(2) 處理及管理閣下於該計劃的供款及累積權益；(3) 執行閣下的指示或答覆閣下或閣下代表的查詢；(4) 直接促銷信安信託(亞洲)有限公司及其成員公司的強制性公積金(「強積金」)產品、退休計劃、強積金及退休計劃的相關服務及產品；(5) 提供強積金及退休計劃的相關服務；(6) 維持統計數據及用作產品及市場研究資料庫；(7) 遵守有關不論於香港特別行政區境內或境外的任何法律、監管、政府、稅務、執法或其他機關，或金融服務供應商的自律監管或行業組織或協會作出或發出的任何適用的法律、規則、指引或指導，包括但不限於《外國帳戶稅務合規法案》及共同匯報標準；及(8) 用作與任何上述有關的用途。

除上述以外，受託人及其成員公司可根據《稅務條例》(香港法例第112章)有關交換財務賬戶資料的法律條文，及作自動交換財務賬戶資料用途，把該等資料和關於賬戶持有人及任何須申報賬戶的資料向香港特別行政區政府稅務局(「稅務局」)申報，從而把資料轉交到賬戶持有人的稅務管轄區的稅務當局。如情況有所改變，以致影響賬戶持有人的稅務居民身分，閣下會通知本公司，並會在情況發生改變後30日內，向本公司提交一份已適當更新的自我證明表格。

閣下可參閱稅務局網站 [http://www.ird.gov.hk/chi/tax/dta\\_aeo1.htm](http://www.ird.gov.hk/chi/tax/dta_aeo1.htm) 以了解香港實施自動交換財務賬戶資料的詳情。

只有在閣下的同意下，閣下的個人資料(姓名，聯絡資料和戶口記錄)或會用於直接促銷本公司及其成員公司的強制性公積金的產品，退休計劃，強積金相關的服務和產品。

閣下的個人資料可能轉移/披露予以下的人士(不論在香港特別行政區內外)作為上述所載的任何用途：(1) 在業務上向受託人提供行政、電訊、電腦、數據處理或儲存、市場推廣、專業或其他任何服務的代理、承包商、第三方服務供應商或本公司所屬公司集團旗下的任何公司；(2) 就受託人或其成員公司所需遵守的法律及規則要求，或按監管機構、稅務或其他主管機構要求受託人或其成員公司需遵守的指引，受託人因而有責任要向其披露的任何人士；及(3) 允許任何受託人的實際或建議承讓人或受託人所持客戶權益的分享者、再分享者、受讓人擁有有關客戶資料的權利。

根據個人資料(私隱)條例(香港法例第486章)，閣下有權要求查閱及更正該公司所持有閣下的個人資料及要求閣下的個人資料不被用作上述的直接促銷用途。上述要求可以書面形式通知保障資料主任，信安信託(亞洲)有限公司，香港九龍觀塘觀塘道392號創紀之城6期30樓，閣下如有任何疑問或欲進一步了解本公司的私隱政策，請致函到上述地址或致電(852) 2827 1233與本公司聯絡。

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Contract No. 合約編號 \_\_\_\_\_

Name of Employer 僱主名稱 \_\_\_\_\_

**Important Notice 重要事項：**

- This Form when adopted shall form part of the Participation Agreement executed by the Employer for the purposes of the Scheme. 此表格一經採用，將成為參與協議書之一部份，作為計劃的用途。
- Please note that any changes relating to Mandatory Contribution or Voluntary Contribution that will result in a detriment to a member's vested benefits or accrued rights under a registered scheme would require approval from the Mandatory Provident Fund Schemes Authority before the change can take effect. 請注意，任何與強制性供款或自願性供款有關之修改，若會損害成員在註冊計劃下的既有利益或累積權益，則該項修改須在獲得強制性公積金計劃管理局的批准後方可生效。
- The change(s) in Plan Particulars will be processed within 1 month from the Effective Date of Change or the receipt date of this request, whichever is later. 計劃資料之更改將於更改生效日期或通知書收訖日期 1 個月內處理(以較後者為準)。
- Please tick the appropriate box and fill in only those changes that are required. 請於適當位置加上✓號並只需填寫資料更改的部份。
- Please use separate sheet if additional space is required. 如空格不足填寫，請另附紙張以提供足夠資料。
- Please use BLOCK LETTERS to complete this Form. 請以正楷填寫本表格。

**CHANGE OF EMPLOYER PARTICULARS 更改僱主資料**

EFFECTIVE DATE 生效日期 \_\_\_\_\_ dd/mm/yyyy 日/月/年

- Legal Name 法定名稱(For limited companies, please provide a true copy of the Certificate of Incorporation and/or the Certificate of Change of Name (where applicable) certified by a Director; for non-Hong Kong companies, please provide a true copy of the Certificate of Registration of Non-Hong Kong Company and/or the Certificate of Registration of Change of Corporate Name of Non-Hong Kong Company (where applicable) certified by a Director; for other types of legal entities, please provide a copy of the Certified extract of information on the Business Register Business Registration provided by the Inland Revenue Department 若為本地公司，請提供由董事核實之公司註冊證書及/或公司更改名稱證書(如適用)的核實副本；若為非香港公司，請提供由董事核實之非香港公司註冊證明書及/或非香港公司更改法人名稱註冊證明書(如適用)的核實副本；若為其他類別的法人實體，請提供由稅務局發出的商業登記冊內資料摘錄的核證本之副本)

- Registered Address 註冊地址 (P.O. Box Address is not accepted 不接納郵箱地址)

Please attach a copy of Business Registration Certificate. 請附上商業登記証副本。

- Business Address 營業地址 (If different from Registered Address 如與註冊地址不同)

- Mailing Address 通訊地址 (If different from Registered Address 如與註冊地址不同)

- Contact Person 聯絡人  Mr. 先生 \_\_\_\_\_ Title 職銜 \_\_\_\_\_  
 Ms. 女士 \_\_\_\_\_
- Telephone No. 電話號碼 \_\_\_\_\_  Fax No. 傳真號碼 \_\_\_\_\_
- Email Address 電郵地址 \_\_\_\_\_

**Remarks 備註:**

Employers should provide Principal an updated Self-Certification Form-Entity (for item 1 - 4 below) or Self-Certification Form-Controlling Person (for item 5 below) within 30 days of below changes:- 若 貴公司有以下更改，請於更改生效後 30 天內向信安提交更新的「自我證明表格 - 公司/機構」(只供下列第一至四項)或「自我證明表格 - 控權人」(只供下列第五項):-

- 1) Change of business or mailing address that involves in a different jurisdiction or country; 更改營業或通訊地址，而涉及改變司法管轄區或國家;
- 2) Change of place of incorporation that involves in a different jurisdiction or country; 更改成立地點，而涉及改變司法管轄區或國家;
- 3) Change of tax residency; 更改稅務居住地;
- 4) Change of entity type; or 更改公司/機構類別; 或
- 5) Change of controlling person (for passive Non Financial Entity) 更改控權人(只供被動非財務實體)

The forms can be downloaded from our website at [www.principal.com.hk](http://www.principal.com.hk). 表格可於本公司網頁 [www.principal.com.hk](http://www.principal.com.hk) 下載。

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**CHANGE OF CONTRIBUTION MODE 更改供款方式****EFFECTIVE DATE** 生效日期 \_\_\_\_\_ dd/mm/yyyy 日/月/年

Contribution Mode and Contribution Period End Day must equal to Payroll Period End Day 供款方式及供款期之最後日必須與發薪期之最後日相同

 **YEARLY** on the \_\_\_\_\_ day of \_\_\_\_\_  
(e.g. last day of December)每年一次在 \_\_\_\_\_ 的 \_\_\_\_\_ 號  
(例: 十二月的最後一日) **QUARTERLY** and the first Contribution Period End Day  
after the Effective Date of change is on \_\_\_\_\_dd/mm/yyyy  
每季一次而計劃生效後的第一個供款期之最後日為  
\_\_\_\_\_ 年 \_\_\_\_\_ 月 \_\_\_\_\_ 日 **MONTHLY** on the last day of each month  
每月一次在每月的最後一日 **WEEKLY** on every \_\_\_\_\_ day of each month (e.g. Monday)  
每週一次在每個星期 \_\_\_\_\_ (例: 星期一) **MONTHLY** on the \_\_\_\_\_ (e.g. first day)

每月一次在每月的 \_\_\_\_\_ 號 (例: 1 號)

 **BI -WEEKLY** and the first  
Contribution Period End Day每兩週一次而計劃生效後的第一個  
dd/mm/yyyy (日 / 月 / 年)  
供款期之最後日為 \_\_\_\_\_ **SEMI - MONTHLY** on the 15<sup>th</sup> and last day of each  
month

每半月一次在每月第十五日與最後一日

 **CANCELLATION OF** Direct Debit Service and last Debit Month on  
\_\_\_\_\_ month

取消自動轉帳最後自動轉帳月份為 \_\_\_\_\_ 月

**CHANGE OF VOLUNTARY CONTRIBUTION PARTICULARS 更改自願性供款之資料****EFFECTIVE DATE** 生效日期 \_\_\_\_\_

dd/mm/yyyy 日/月/年

1. Member Class Description 成員級別:

Class No. 級別

Member Class Description 成員級別

1

2

3

2. Future Contribution Formula 未來供款計算方法:

 **By Flat Amount** 按固定金額

	Class No. 級別	Member Class Description 成員級別	Employer Contribution 僱主供款	Member Contribution 成員供款
Add 新增 / Delete 刪除	1	_____	\$ _____	\$ _____
Add 新增 / Delete 刪除	2	_____	\$ _____	\$ _____
Add 新增 / Delete 刪除	3	_____	\$ _____	\$ _____

 **By Percentage of Income** 按入息之百分比:

Salary Definition on Voluntary Contribution 自願性供款之薪金定義

- a. MPF Relevant Income (with income cap)  
強積金有關入息 (設有入息上限)
- b. MPF Relevant Income (without income cap)  
強積金有關入息 (不設入息上限)
- c. Monthly income (not integrated with Mandatory Contribution)  
每月入息 (非與強積金供款綜合計算)
- d. Monthly income (integrated with Mandatory Contribution)  
每月入息 (與強積金供款綜合計算)

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	Class No. 級別	Member Class Description 成員級別	Employer Contribution 僱主供款*	Member Contribution 成員供款*
Add 新增 / Delete 刪除	1		%	%
Add 新增 / Delete 刪除	2		%	%
Add 新增 / Delete 刪除	3		%	%

\* For Salary Definition **a, b** and **d**, percentage indicated is **inclusive** of Mandatory Contribution Rate

薪金定義 **a, b** 及 **d** 之百分比已**包括**強制性供款率

For Salary Definition **c**, percentage indicated is **exclusive** of Mandatory Contribution Rate

薪金定義 **c** 之百分比已**不包括**強制性供款率

3.  Cessation of future Voluntary Contribution for all member classes  
取消所有成員級別之未來自願性供款
4. Service year count from 服務年資由:
  - Employment with the Employer in completed years 受僱於僱主的完整年數
  - Employment with the Employer in completed years from Date Joined Plan 由參加計劃起計，受僱於僱主的完整年數
5. Early Retirement Age and with the consent of the Employer, a Member may retire, or 在僱主同意下，僱員可於下列情況下提早退休; 或
  - Same as MPF 與強積金相同
  - At age<sup>Note1</sup> 年屆 \_\_\_\_\_ 歲<sup>註1</sup>
  - At age 年屆 \_\_\_\_\_ 歲 and has completed 及於公司服務滿 \_\_\_\_\_ 年 or more years of service<sup>Note2</sup> 或以上<sup>註2</sup>
6. Normal Retirement Age, or 正常退休; 或
  - Same as MPF 與強積金相同
  - At age<sup>Note1</sup> 年屆 \_\_\_\_\_ 歲<sup>註1</sup>

Note 註 1: The options selected are for the purpose of this section “Payment of benefits” only. Please note that the terms “Early Retirement” and “Normal Retirement” may have different meaning as provided in other scheme documents (e.g. the Qualifying Events of Principal Long Term Guaranteed Fund in the MPF Scheme Brochure) and will not be affected by the options selected.

這項選擇只適用於此「提取福利」部份。請注意「提早退休」及「正常退休」在其他計劃文件上可能有不同的意思(例如：在強積金計劃說明書上關於信安長線保證基金的合乎規定事項)，並不會受到這項選擇所影響。

Note 註 2: For purpose of this paragraph, Service means 本段之「服務」一詞指：

- Employment with the Employer in completed years, from Date of Employment 由入職起計，受僱於僱主的完整年數。
- Employment with the Employer in completed years from Date Joined Plan (please attach member details in relation to the Date Joined Plan). 由參加計劃起計，受僱於僱主的完整年數(請附上成員參加計劃日期的有關資料)。

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7. Vesting Schedule on Voluntary Contribution 自願性供款之歸屬權益計算表

Upon termination of employment of a member, plan termination or Employer's failure to contribute for more than 6 months, a member is entitled to the total accrued benefits derived from the Employee Voluntary Contribution together with a percentage of the accrued benefits derived from the Employer Voluntary Contribution up to the date of event in accordance with the following vesting schedule 當成員離職，計劃終止，或僱主沒有作出自願性供款達六個月以上，成員可提取僱員自願性供款的總累算權益，並可根據以下之歸屬權益計算表，提取僱主自願性供款部份的累算權益

Completed Year's of Service 服務年資	Vested Percentage 歸屬百分比 %			
	<input type="checkbox"/> Option 1 選擇	<input type="checkbox"/> Option 2 選擇	<input type="checkbox"/> Option 3 選擇	<input type="checkbox"/> Option 4 選擇
Less than 1	100	0	0	_____
1	100	0	10	_____
2	100	0	20	_____
3	100	30	30	_____
4	100	40	40	_____
5	100	50	50	_____
6	100	60	60	_____
7	100	70	70	_____
8	100	80	80	_____
9	100	90	90	_____
10 or more	100	100	100	_____

8. Future Forfeited Balance is 未來之非既得利益結存

- To be held in cash where there will not be any investment gain or loss, and used to offset future Contribution and /or Charges. 不涉及任何投資 風險；以現金形式存放並用作抵銷未來之供款及/或收費。
- To be invested in Principal Hong Kong Dollar Saving Fund, where the fund price may go up or down, and 投資於信安港元儲蓄基金，而基金價格可升亦可跌，並
  - Used to offset future contribution and/or charges 用作抵銷未來之供款及/或收費
  - Applicable to S800 適用於 800 系列：
 

Automatically refunded to the Employer whenever the amount is greater than HK\$1,000 or refunded upon request if it is equal or less than HK\$1,000 如該數目高於\$1,000 港元，將自動退回予僱主。如該數目相等或少於\$1,000 港元，將應僱主要求才退回僱主
  - Applicable to former S500 employer 適用於前 500 系列僱主：
 

Automatically refunded to the Employer whenever the amount is greater than HK\$500 or refunded upon request if it is equal or less than HK\$500 如該數目高於\$500 港元，將自動退回予僱主。如該數目相等或少於\$500 港元，將應僱主要求才退回僱主
  - Allocated proportionately to remaining Members as Voluntary Contribution on an annual basis according to 按以下之分配方法按比例每年分配予成員作自願性供款
    - Account balance of the member. 成員戶口結餘。
    - Salary of the member. 成員薪金。
    - Length of service of the member. 成員服務年資。

9. Discretionary Benefits 非介定權益

- The Employer may at their discretion to request the Trustee to provide new or additional retirement benefits for any Member or other person entitled to receive benefits under the Scheme provided that the Employer had paid to the Trustee such sums (if any). 僱主可決定及要求受託人提供新或額外退休權益予成員或計劃下可領取權益之其他人，條件是僱主必須已支付受託人該筆權益(如有)。

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10. Beneficial Owner(s) List 實益擁有人名單

Below is the most updated Beneficial Owner(s) List, please supersedes the existing record in the Trustee. 以下是最新的實益擁有人名單，請用此名單取代受託人現行記錄。

(a) In relation to a corporation 關於法團

- means an individual who : (i) owns or controls, directly or indirectly, including through a trust or bearer share holding, more than 25% of the issued share capital of the corporation; or (ii) is, directly or indirectly, entitled to exercise or control the exercise of more than 25% of the voting rights at general meetings of the corporation; or (iii) exercises ultimate control over the management of the corporation; or 所指的個人 : (i) 直接或間接有權攤分或控制該法團已發行股本 25%或以上; 或; (ii) 直接或間接有權行使該法團的成員大會的投票權 25%或以上; 或 (iii) 行使對該法團的管理最終控制權; 或
- if the corporation is acting on behalf of another person, means the other person 如該法團是代表另一人行事，所指該另一人

(b) In relation to a partnership 關於合夥人

- means an individual who : (i) is entitled to or controls, directly or indirectly, more than a 25% share of the capital or profits of the partnership; or (ii) is, directly or indirectly, entitled to exercise or control the exercise of more than 25% of the voting rights in the partnership; or (iii) exercises ultimate control over the management of the partnership; or 所指的個人 : (i) 直接或間接有權攤分或控制該合夥的資本或利潤 25%或以上; 或 (ii) 直接或間接有權行使該合夥的投票權 25%或以上; 或 (iii) 行使對該合夥的管理最終的控制權; 或
- if the partnership is acting on behalf of another person, means the other person 如該合夥人是代表另一人行事，所指該另一人

(c) In relation to a trust 關於信託

- means an individual who is entitled to a vested interest in more than 25% of the capital of the trust property, whether the interest is in possession or in remainder or reversion and whether it is defeasible or not; or 所指的個人享有信託財產的資本的既得權益 25%或以上，而不論該人是享有該權益的管有權、利餘權或復歸權，亦不論該權益是否可予廢除; 或
- the settlor of the trust; or 該信託的財產授予人; 或
- a protector or enforcer of the trust; or 該信託的保護人或執行人; 或
- an individual who has ultimate control over the trust 對該信託擁有最終控制權的個人

(d) In relation to a person not falling within paragraph (a), (b) or (c) 關於不屬(a)至(c)段所指的個人

- means an individual who ultimately owns or controls the person; or 所指的個人最終擁有或控制該人; 或
- if the person is acting on behalf of another person, means the other person; 如該個人代表另一人行事，所指該另一人

- Please note we may request for further information of the Beneficial Owner(s) with less shareholding/ownership/voting right described in the above. 請注意我們可能會要求提供少於上列所述股份/擁有權/投票權的實益擁有人資料。
- If the space is insufficient, please photocopy this page and attach for submission. 如空格不敷應用，請另行影印此頁補充並一併遞交。

1	<p>(a) Owner Name 擁有人姓名 (same as HKID card or passport 必須與身份證或護照相同)</p> <p style="text-align: right;">English 英文</p> <p style="text-align: right;">Chinese 中文</p> <p>(b) Ownership 擁有權 _____ %      (c) Date of Birth 出生日期 _____ D 日 _____ M 月 _____ Y 年      (d) Nationality 國籍 (Country 國家/Region 地區) _____</p>
2	<p>(a) Owner Name 擁有人姓名 (same as HKID card or passport 必須與身份證或護照相同)</p> <p style="text-align: right;">English 英文</p> <p style="text-align: right;">Chinese 中文</p> <p>(b) Ownership 擁有權 _____ %      (c) Date of Birth 出生日期 _____ D 日 _____ M 月 _____ Y 年      (d) Nationality 國籍 (Country 國家/Region 地區) _____</p>
3	<p>(a) Owner Name 擁有人姓名 (same as HKID card or passport 必須與身份證或護照相同)</p> <p style="text-align: right;">English 英文</p> <p style="text-align: right;">Chinese 中文</p> <p>(b) Ownership 擁有權 _____ %      (c) Date of Birth 出生日期 _____ D 日 _____ M 月 _____ Y 年      (d) Nationality 國籍 (Country 國家/Region 地區) _____</p>

Full Name (in BLOCK LETTERS)  
姓名 (以正楷填寫)

Employer's Signature (with company stamp)  
僱主簽署(蓋上公司印鑑)

Date  
日期

Title 職銜

Nationality 國籍

**This form must be signed by: (a) if the Employer is a Corporation, a director, the company secretary or such other duly authorized person of such Corporation; (b) if the Employer is a Sole Proprietorship, the Sole Proprietor; or (c) if the Employer is a Partnership, any one of its partners.** 此表格必須由以下人士簽署：(甲) 倘僱主為法團公司，該公司董事、公司秘書或經公司正式授權人士；(乙) 倘僱主為獨資經營，該獨資經營者；或(丙) 倘僱主為合夥，任何一位合夥人。