

金裕富證券有限公司"金裕富證券"
Golden Rich Securities Limited "GRS"
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中央編號 : BGQ899
CE No.: BGQ899

*僅供職員填寫 For official use only	
經紀編號 A.E. Code	
帳戶號碼 Account No.	
開戶日期 Account Opening Date	
衍生產品 Derivatives Products	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否

(如適用請加 "✓" Please "✓" as appropriate)

客戶資料表格 (個人/聯名帳戶)
Customer Information Statement (Individual/ Joint Account)

<input type="checkbox"/> 網上交易服務 Internet Trading Services (必須提供有效電郵地址) (must provide valid e-mail address)	客戶種類 Customer Type	帳戶類別 Account Type
	<input type="checkbox"/> 個人 Individual <input type="checkbox"/> 聯名 Joint	<input type="checkbox"/> 證券現金帳戶 Securities Cash Account <input type="checkbox"/> 證券保證金帳戶 Securities Margin Account

第 1 部份 - 申請人個人資料 Section 1 - Applicant's Personal Information

(註：聯名戶口每戶口持有人需分別填寫一份客戶資料表格)
(Note: For Joint Account, each account holder should complete a separate Customer Information Statement)

Name (Chinese) _____		Name (English) _____	
性別 <input type="checkbox"/> 男 Male	身份證/護照號碼	簽發國家	<input type="checkbox"/> 香港 <input type="checkbox"/> 中國 <input type="checkbox"/> 其他 HKSAR China Others _____
Gender <input type="checkbox"/> 女 Female	I.D./ Passport No. _____	Country of Issue	
出生日期	出生地點	國籍	
Date of Birth _____	Place of Birth _____	Nationality _____	
手提電話	住宅電話	傳真號碼	
Mobile Phone () _____	Home Tel No. () _____	Fax No. () _____	
住宅地址 Residential Address _____			
就業情況 <input type="checkbox"/> 受僱 <input type="checkbox"/> 自僱 <input type="checkbox"/> 退休 <input type="checkbox"/> 學生 <input type="checkbox"/> 其他 (請述明) Employment Status Employed Self-employed Retired Student Others (please specify) _____			
僱主名稱		業務類型	
Name of Employer _____		Business Type _____	
職位	服務年期	辦事處電話	
Position _____	Years of Service _____	Office Tel No. () _____	
公司地址 Business Address _____			
電郵地址 E-mail Address _____			

結單語言選擇 Language of the statement <input type="checkbox"/> 繁體中文 <input type="checkbox"/> 英文 <input type="checkbox"/> 簡體中文 Traditional Chinese English Simplified Chinese	結單送遞至 Statements to be sent to <input type="checkbox"/> 電郵地址 <input type="checkbox"/> 住宅地址 <input type="checkbox"/> 公司地址 E-mail Address Residential Address Business Address
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➤ 客戶確認使用電子交易服務及同意和了解協議書條款附錄 3 之內文及香港證監會持牌人操守準則第 18 條有關電子交易之條文。金裕富證券將不會對因通訊設施之故障或傳送失靈，或非金裕富證券控制範圍或預測之任何其他原因所造成傳送或收取資訊之延誤負責。
The Client undertakes electronic trading as the trading method and understand and agrees to be bounded by the terms and condition -Appendix 3 and the electronic regulation as stated in Section 18 of the Code of Conduct of the HKSCF. GRS will not be responsible for any delays, technical errors, incorrect transmission, failure of the communication equipment or incompleteness transmission, breakdown or the transmission malfunction because of the communication facility, either beyond GRS control or any other reasons

第 2 部份 - 銀行帳戶記錄 Section 2 - Bank Account Record

客戶現授權金裕富證券由即日起接納我/ 我們之電話/ 口頭通知，作為提款提示，自客戶之證券提取款項並開立以客戶為抬頭人之支票，存入客戶知會金裕富證券之銀行帳戶如下。 The Client hereby authorizes GRS to accept telephone/ verbal instruction for fund withdrawal from the Securities Account to the following designated bank account under client's name with immediate effect.			
貨幣 Currency	銀行名稱 Name of Bank	帳戶號碼 Account No.	帳戶持有人姓名 Name of Account Holder
<input type="checkbox"/> 港幣 HKD <input type="checkbox"/> 人民幣 CNY <input type="checkbox"/> 美元 USD			

➤ 銀行帳戶名稱必須與客戶名稱相同及只供存款用途 Bank account name must match with name of the Client and for fund deposit only

第 3 部份 - 申請人之財務概況、投資經驗及目標

Section 3 - Applicant's Financial Profile, Investment Experience and Objective

每年收入 (港幣) Annual Income (HK\$)		資產淨值 (港幣) Total Net Value of Assets (HK\$)		住宅業權 Ownership of Residence		
<input type="checkbox"/> < 200,000 <input type="checkbox"/> 200,001 - 500,000 <input type="checkbox"/> 500,001 - 1,000,000 <input type="checkbox"/> 1,000,001 - 5,000,000 <input type="checkbox"/> 5,000,001 - 10,000,000 <input type="checkbox"/> > 10,000,000		<input type="checkbox"/> < 500,000 <input type="checkbox"/> 500,001 - 1,000,000 <input type="checkbox"/> 1,000,001 - 5,000,000 <input type="checkbox"/> 5,000,001 - 10,000,000 <input type="checkbox"/> 10,000,001 - 50,000,000 <input type="checkbox"/> > 50,000,000		<input type="checkbox"/> 租用 Rented <input type="checkbox"/> 自置 Owned <input type="checkbox"/> 按揭 Mortgaged <input type="checkbox"/> 與家人同住 Living with Family 物業估值 Property Estimated Value:		
教育程度 Education Level	投資目標 Investment Objectives	投資經驗 Investment Experience				
<input type="checkbox"/> 小學或以下 Primary or below <input type="checkbox"/> 中學 Secondary <input type="checkbox"/> 專上學院 Post-Secondary <input type="checkbox"/> 大學或以上 Tertiary or above	<input type="checkbox"/> 投機 Speculation <input type="checkbox"/> 短線 Short Term <input type="checkbox"/> 中線 Medium Term <input type="checkbox"/> 長線 Long Term	股票 Shares <input type="checkbox"/> 沒有 No <input type="checkbox"/> 少於一年 < 1 year <input type="checkbox"/> 一至五年 1 - 5 years <input type="checkbox"/> 六至十年 6 - 10 years <input type="checkbox"/> 多於十年 > 10 years	牛熊證 CBBC <input type="checkbox"/> 沒有 No <input type="checkbox"/> 少於一年 < 1 year <input type="checkbox"/> 一至五年 1 - 5 years <input type="checkbox"/> 六至十年 6 - 10 years <input type="checkbox"/> 多於十年 > 10 years	衍生權證 (窩輪) Warrants <input type="checkbox"/> 沒有 No <input type="checkbox"/> 少於一年 < 1 year <input type="checkbox"/> 一至五年 1 - 5 years <input type="checkbox"/> 六至十年 6 - 10 years <input type="checkbox"/> 多於十年 > 10 years	期貨 Futures <input type="checkbox"/> 沒有 No <input type="checkbox"/> 少於一年 < 1 year <input type="checkbox"/> 一至五年 1 - 5 years <input type="checkbox"/> 六至十年 6 - 10 years <input type="checkbox"/> 多於十年 > 10 years	期權 Options <input type="checkbox"/> 沒有 No <input type="checkbox"/> 少於一年 < 1 year <input type="checkbox"/> 一至五年 1 - 5 years <input type="checkbox"/> 六至十年 6 - 10 years <input type="checkbox"/> 多於十年 > 10 years

根據證券及期貨事務監察委員會持牌人或註冊人操守準則第 5.1A 的要求，本公司在執行認識你的客戶程序時，需評估客戶對衍生工具的認識，並根據客戶對衍生工具的認識將客戶分類及索取有關資料（除第 15 段專業投資者操守準則外）。

Under paragraph 5.1A of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission, GRS should, as part of the know your client procedures, assess a client's knowledge of derivatives and characterize the client (other than professional investors for the purpose of paragraph 15 of the Code of Conduct) based on such knowledge and obtain the relevant information.

評估客戶對衍生產品的認識準則：

Criteria for Assessing a Client's Knowledge of Derivatives Products:

- ☐ 曾接受衍生產品的培訓或修讀相關課程
Undergone training or attended courses on derivative products
- ☐ 現時或過去與衍生產品有關的工作經驗
Current or previous work experience related to derivative products
- ☐ 曾買賣衍生產品的經驗(如在過去 3 年曾執行過 5 次或以上衍生產品的交易)
Prior trading experience in derivative products. (A client will be considered as having knowledge of derivatives if he has executed five or more transactions in any derivative product (whether traded on an exchange or not), within the past three years)
- ☐ 本人/ 我們確認已仔細閱讀及完全明白，由金裕富證券提供，並以本人/ 我們所選擇之語言(英文或中文)的風險披露聲明書內每一項衍生工具產品所附帶的相關風險。本人/ 我們並願意承擔日後執行買賣衍生工具產品的風險。
I/ We acknowledge that I/ We have read and fully understood the details of the Risk Disclosure Statement relates to the risk on derivative product provided by GRS language of my/ our choice (English or Chinese). I/ We am/ are willing to accept the risks associated with trading derivative products in the future transactions.

第 4 部份 - 美國《海外賬戶稅收合規法案》

Section 4 - Foreign Account Tax Compliance Act ("FATCA")

客戶是否美國聯邦所得稅所定義的特定美國人、美國公民、美國永久居民 (含綠卡持有人) 或持有美國國籍？

Is the Client a United States ("US") Person, Resident of US (Including Green Card Holder) or having US nationality ?

- ☐ 否 No
☐ 是，請述明 Yes, please specify:

客戶的出生地是否美國？

Was the Client born in US?

- ☐ 否 No
☐ 是，請述明 Yes, please specify:

客戶是否在最近 1 年在美國居留超過 31 個公曆日或在最近一個稅務年度前 3 年內居留美國超過 183 個公曆日？

Was the Client have presence in US over 31 days in the current calendar year or 183 days out of the 3 years period prior to the current tax year?

- ☐ 否 No
☐ 是，請述明 Yes, please specify:

客戶是否擁有美國電話號碼 (如住宅、工作、行動、傳真號碼)？

Does the Client have any US telephone number (e.g. home, work, mobile, fax number)?

- ☐ 否 No
☐ 是，請述明 Yes, please specify:

客戶是否擁有美國地址 (如居住地址、郵寄地址、郵政信箱) ?

Does the Client have any US address (e.g. residential address, mailing address, P.O. box)?

☐ 否 No

☐ 是，請述明 Yes, please specify:

客戶會否向金裕富證券發出向某美國銀行帳戶轉帳款項的常設授權指示？

Does the Client give standing instruction to GRS to pay amounts to an account maintained in the US?

☐ 否 No

☐ 是，請述明 Yes, please specify:

如第 4 部份之任何答案為“是”，請填寫 W-9 表格，否則請填寫 W-8BEN 表格。

If any of the answers in section 4 is "Yes", please fill in Form W-9. Otherwise, please fill in Form W-8BEN

第 5 部份 - 防止洗黑錢/ 恐怖份子籌資

Section 5 - Anti-Money Laundering and Counter-Terrorist Financing

客戶是否擔任或曾擔任重要公職之政界人士 (包括國家元首、政府首長、資深從政者、高級政府官員、司法或軍事官員、國有企業高級行政人員及重要政黨 幹事) ，或是以上人士之家人 (包括配偶、伴侶、子女或父母，或該名個人的子女的配偶或伴侶) 及其他關係密切的人？

Is the Client linked to politically exposed persons? (Politically exposed person - individual who is or has been entrusted with prominent public function e.g. head of state/ government, senior politician, senior executive of government-owned corporation, important political party official, etc.), or the closed members of the aforesaid person (including spouse, companion, children or parents, or spouse or companion of the children) and other closely connected person?

☐ 否 No

☐ 是，請述明 Yes, please specify:

客戶 (包括聯名帳戶各持有人及合夥帳戶之各合夥人) 的業務性質/ 職業是否特別容易蒙受較高的洗錢/ 恐怖分子資金籌集風險或接觸大量現金往來 (如貨幣兌換、博彩業、珠寶業、娛樂服務業) ？

Is the nature of the Client (including any of the joint account holders and partners of a partnership firm)'s business particularly susceptible to money laundering/ terrorist financing risk? (For example, money changer or casino business that handles large amount of cash)

☐ 否 No

☐ 是，請述明 Yes, please specify:

第 6 部份 - 客戶個人資料之使用及轉移

Section 6 – Use and Proving Client's Personal Data to Another Person

客戶是否已經閱讀及理解《個人資料收集聲明》，並同意個人資料被使用及/ 或轉移予集團其他成員公司用於直接促銷目的？

The Client has read and understood the 〈Personal Data Collection Statements〉 and agreed the personal data to be used by GRS and/ or to be provided to other Group members for direct marketing purpose?

☐ 同意 Yes

☐ 不同意 No

第 7 部份 - 其他披露

Section 7 – Other Disclosures

閣下是否為任何根據證券及期貨條例註冊持牌法團或銀行業條例之註冊機構之僱員 (不管閣下現時是否為證監會持牌代表/ 金管局註冊人士) ？如是，請提供僱主之書面同意書。

Are you an employee of a licensed corporation under the Securities and Futures Ordinance, or a registered institution under the Banking Ordinance (whether you are currently a SFC licensed representative/ HKMA registered person or not)? If yes, please provide employer's consent letter.

☐ 否 No

☐ 是 Yes 中央編號 CE No. (Employer 僱主)

中央編號 CE No. (Employee 僱員)

閣下與本公司職員/ 董事是否有親戚關係？

Do you have any relationship with any employee/ director of our company?

☐ 否 No

☐ 是 Yes 僱員/ 董事 姓名 Name of employee/ director

關係 Relationship

閣下的配偶是否金裕富證券的保證金客戶？

Is your spouse a margin client of GRS?

☐ 否 No

☐ 是 Yes 帳戶號碼 Account No

帳戶名稱 Account Name

閣下是否單獨或與閣下的配偶共同控制任何金裕富證券的公司保證金帳戶 35% 或以上投票權？

Are you, either alone or with your spouse, in control of 35% or more of the voting rights of any corporate margin account of GRS?

☐ 否 No

☐ 是 Yes 帳戶號碼 Account No

帳戶名稱 Account Name

閣下是否戶口最終權益擁有人？

Are you the ultimate beneficial owner of the account?

☐ 是 Yes

☐ 否，請列明以下資料
No, Please specify below

姓名 身份證/ 護照/ 公司註冊號碼

地址

Name ID/ Passport/ Incorporation No.

Address

1. 本開戶表的資料均屬真實及正確。除非金裕富證券收到任何客戶資料改變的書面通知，金裕富證券完全可以依靠這些資料及陳述作任何用途。客戶授權金裕富證券可在任何時間聯絡任何人，包括客戶的銀行、經紀等或任何信貸機構，藉以確定及查證本開戶表內的資料。客戶可隨時要求金裕富證券提供個人資料收集聲明副本。
The information contained in this Account Opening Form is true and accurate. GRS is entitled to rely fully on such information and representations for all purposes, unless GRS receives notice in writing of any change. GRS is authorized at any time to contact anyone, including the Client's banks, brokers or any credit agency, for the purpose of verifying the information provided on this Account Opening Form. A copy of GRS's Personal Information Collection Statement is available upon request.
2. 客戶已閱讀過及明白提供的金裕富證券協議書條款而本文件乃該協議書的一部份。所有由客戶與或透過金裕富證券進行之交易均受協議書條款文限制。客戶現申請開立上述類別的帳戶，並同意受可不時被修改或補充的該協議書條款包括其標準條款及細則及有關的附表所約束。客戶確認金裕富證券已按照客戶選擇的語言（中文或英文）獲提供之風險披露聲明書，及已獲邀閱讀該風險披露聲明書、提出問題及徵求獨立的意見（如客戶有此意願）。
The Client has read and understood the provisions of the attached current version of the Client Agreement of GRS, of which this document forms a part. All transactions to be concluded by the Client with or through GRS shall be subject to the terms and conditions of the Agreement. GRS hereby applies to open the above type(s) of account and agree to be bound by the Agreement including its Standard Terms and Conditions and relevant Schedule(s) as the same may be amended or supplemented from time to time. The Client acknowledges and confirms that GRS has provided the Risk Disclosure Statements annexed hereto in a language of client's choice (English or Chinese) and the Client has been invited to read the Risk Disclosure Statements, to ask questions and take independent advice if the Client wishes.
3. 客戶明白並同意接受及遵守客戶協議書內之個人資料收集聲明。
The Client understands and agrees to accept and be bound by the Personal Information Collection Statement of the Agreement.
4. 除已有說明外，本開戶表所指名的申請人是帳戶及交易的最終實益持有人和最終發出交易指示的人。
Unless otherwise specify, the Account Holder named in this Account Opening Form is the ultimate beneficial owner and is the person who will give instructions of the Account and transaction.
5. 保證金帳戶適用：客戶承認並確定客戶已根據保證金客戶協議第 8 條授權金裕富證券處置協議內所定義的款項、證券及證券抵押品，並且本人就該條款的內容已獲得解釋，及本人明白該條款的內容。
For Margin Account: The Client acknowledges and confirms that the Client has authorized GRS to deal with Monies and securities or securities collateral in accordance with Clause 8 of the Client Agreement for Margin Accounts and the contents of that Clause have been explained to the Client and the Client understands the content of that Clause.
6. 客戶明白客戶提交此開戶表予金裕富證券接納此開戶表並非表示已經同意為客戶開立相關帳戶，金裕富證券保留無條件謝絕客戶開戶申請之權利；如果客戶的申請被拒絕，客戶明白、同意並接受客戶之任何開戶申請文件將不予退回。
The Client understands and agrees application maybe rejected for reasons which are unrelated to the Client and the Client's application and neither GRS nor GRS's agent shall, in the absence of fraud, negligence or willful default, be liable to the Client or any other person in consequence of such rejection and all application documents will not be returned.
7. 本人同意金裕富證券於銷售過程中參考本人於金裕富證券的戶口資料，以便為本人提供相關投資產品/ 服務及/ 或投資相連保險資料。
The Client provides consent for GRS to make reference to the account information given GRS during the sales process in order to provide the Client with information in relevant investment product/ service and/ or investment linked insurance.
8. 有關於本開戶表第 3 部 — 客戶對衍生產品的認識，客戶完全明白金裕富證券將基於該部提供之資料以評估客戶是否具有衍生及/ 或結構性產品的基本認識，與及客戶於日後可能需要再次更新及提供該部，以作重新評估。客戶完全明白倘若該部提供之資料不真實、完全及正確，金裕富證券將無法評估本人/ 吾等所要求的服務及/ 或產品之適合性。本人/ 吾等謹此確認及聲明所有於該部提供之資料均屬真實、完全及正確，並承諾於該部提供之資料有變時立即通知金裕富證券。
In connection to Section 3 - Client's Knowledge of Derivative Products, the Client fully understands that GRS will base on the information provided in Section 2 for assessing whether the Client has general knowledge of the derivative and/ or structured products and the Client may be required to complete this section again in future for re-assessment. The Client fully understands that GRS will be unable to assess client's suitability of the requested services and/ or products if the Client fails to provide accurate, true and complete information in this section. The Client hereby confirms and declares that all the information provided in this section is true, complete and accurate and undertake to inform GRS any changes of the information provided in this questionnaire at once.
9. 客戶同意遵守聯交所、香港證券結算有限公司、或其他監管組織對於在前述股票交易所及結算系統或任何其他股票交易所或結算系統上市的證券的買賣作出並不時修訂的監管規則及規例。
The Client agrees to abide by the Rules and Regulations of the Exchange, Hong Kong Securities Clearing Company Limited, or any regulatory bodies from time to time governing the purchase and sale of securities quoted on the aforementioned stock exchanges and clearing system or any other stock exchanges or clearing systems.
10. 除非金裕富證券另以書面表示，否則本開戶表、協議書條款及其他開戶文件將一起構成為所有客戶與本公司預期之事宜的全部協議及諒解。本開戶表所用之詞語與客戶協議所定義具相同釋義。
Unless otherwise indicated in writing by GRS, the Account Application form, the Client Agreement and other account opening documents shall together constitute the entire agreement and understanding between the Client and GRS in respect of the matters contemplated under the documents. Terms defined in the terms and condition have the same meanings when used in this account application (save where otherwise expressly provided in this account application).
11. 客戶亦明白風險披露文件可能未申述所有上市衍生產品的風險，客戶在買賣上市衍生產品前將自行作出評估及確定有足夠的淨資產來承擔風險和潛在的損失。
The Client further acknowledges that the Risk Disclosure document may not cover all risks of listed derivative products and the Client shall make his own assessment and ensure that he has sufficient net worth to assume the risks and bear the potential losses before trading in listed derivative products.
12. 客戶承認於成交單據或綜合日結單內顯示的價格，由金裕富證券可能在其認為合適的情況下，就客戶於同一天內購買或售賣（視乎情況而定）的所有同一種類證券，以每個單位的平均價格或每個成交單位的價格來顯示於成交單據或綜合日結單內。客戶收到成交單據或綜合日結單後，應加以核對，如客戶欲以以上另一價格方式顯示於成交單據或綜合日結單，請盡快通知金裕富證券。如金裕富證券未於成交單據或綜合日結單中規定的特定期限內接獲客戶的書面異議，則客戶應被視為已接受該成交單據或綜合日結單所載的編排。
The Client acknowledges that the price quoted in the contract note or daily statement to be provided by GRS may be, at its sole discretion, the average price of the total purchase or sale (as the case may be) or the price per unit for each transaction of securities in the case that there is more than one purchase or sale transaction (as the case may be) of the securities in the account during the same day. The Client shall upon receipt of the contract note or daily statement examine the same and promptly notify GRS in writing if the Client wants such prices to be quoted. Otherwise, if GRS does not receive any written objection from the Client within the period stipulated in the contract note or daily statement, the Client shall be deemed to have accepted the presentation of such contract note or daily statement.

客戶簽署 Client Signature		客戶姓名 Name	
		日期 Date	
聯名帳戶適用 For Joint Account only	此帳戶可根據以下書面指示方式操作（請在適當空格加"✓"）： The Account can be operated under the written instruction of (please "✓" the appropriate box): <input type="checkbox"/> 任何一位帳戶持有人的指示 <input type="checkbox"/> 兩位帳戶持有人的指示 <input type="checkbox"/> _____ 位帳戶持有人的指示 Either one of the account holder Both account holders _____ account holders		

以下簽署人 *特此核證客戶簽署本開戶表格及見證客戶的有關身份證明文件。 The undersigned * hereby certifies the signing of this Account Opening Form by the Client and the witness of the identification proof of the Client.	
見證人簽名及核證 Signed and Certified by	見證人姓名 Name of Witness
X	
	日期 Date
所屬專業/ 職銜/ 中央編號 Profession/ Title/ CE No.	聯絡電話 Contact No.
聯絡地址 Contact Address	
<p>* 若客戶/ 聯名客戶並非在金裕富證券之指定僱員面前簽立本開戶表格或本開戶表格並非連同恰當的支票 + 一併遞交，則以下部分應由指定人士，包括其他證監會持牌人或註冊人、太平紳士或專業人士例如銀行分行經理、執業會計師、律師或公證人，簽署驗證。而該指定人士需提供其已簽署之身份證明文件副本及專業資格證明文件之副本。</p> <p>If this Account Opening Form is not executed in front of GRS's SFC licenced employee or is not submitted with an appropriate cheque +, a specified person, including any SFC licensed or registered person, a Justice of Peace, a Branch Manager of a bank, Certified Public Accountant or Notary Public, should be required to sign below. The specified person should provide us with self-certified ID copy and copy of the professional qualification documents.</p> <p>+ 客戶須遞交在香港的持牌銀行開立的帳戶並由客戶所簽發（該簽名須與此開戶申請表上的客戶簽名相符）並載有客戶在其身份證明文件上所顯示的姓名的劃線支票，而該支票抬頭人須為"金裕富證券有限公司"及其數額不得少於 10,000 港元（或金裕富證券通知客戶的其他數額）。客戶被批核的新帳戶必須待支票兌現後才可使用。</p> <p>A crossed cheque for such purpose shall bear name shown in client's identity document and drawn on client's account with a licensed bank in Hong Kong with same signature(s) as shown on this Form in favour of "Golden Rich Securities Limited" for not less than HKD10,000 (or such other amount as may be advised by GRS). The approved new account will not be activated until the cheque is cleared.</p>	
金裕富證券有限公司的持牌代表人之聲明 Declaration by a licensed representative of Golden Rich Securities Limited 本人，以註冊人身份，確認本人已按照上述客戶所選擇的語言（英文或中文），向客戶提供風險披露聲明，並已邀請客戶閱讀該風險披露聲明，提出問題及徵詢獨立意見（如客戶有此意願）。 I, a registered person, declare that I have provided the above Client with the risk disclosure statements in a language of the Client's choice (English or Chinese) and invited the Client to read the risk disclosure statements, ask questions and take independent advice if the Client wish.	
持牌代表簽署 Licensed representative's signature	持牌代表姓名及(中央編號) Name of Licensed representative's and (CE No.)
X	
	日期 Date

經由金裕富證券有限公司核准及接納 Approved and Accepted by Golden Rich Securities Limited	
授權簽名 Authorized Signature	授權人姓名 Name of Authorized Person
X	
	日期 Date

個人/ 聯名帳戶開戶核對表 (內部使用) Individual/ Joint account opening checklist (internal use)

帳戶號碼 Account Number		帳戶名稱 Account Name	
部門 Department		經紀姓名/ 經紀編號 A.E. Name/ A.E. Code	()

特定美國人 Specified U.S. Person	<input type="checkbox"/> 是 Yes	W-9 表格 Form W-9	<input type="checkbox"/> 否 No	W-8BEN 表格 Form W-8BEN
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佣金 Commission (港幣 HKD)		額度 Limit (港幣 HKD)	
證券 Securities	網上 Internet %, 最低收費 min \$	交易額度 Trading limit	信貸額度 (保證金帳戶適用) Credit limit (Margin AC only)
	電話 Terminal %, 最低收費 min \$	利率 Interest	P+ %

文件清單 Document Checklist	
開戶文件 Account Opening Document	<input type="checkbox"/> 已簽署之開戶表格 Signed copy of Account Opening Form <input type="checkbox"/> 持牌人士開戶同意書 Licensed Person Consent Letter <input type="checkbox"/> 第三方操作授權書 3rd party Authorization Application
身份證明文件 Identity Document	<input type="checkbox"/> 身份證或護照副本 ID Card or Passport Copy <input type="checkbox"/> 住宅地址證明 Residential Address Proof <input type="checkbox"/> 通訊地址證明 Correspondence Address Proof <input type="checkbox"/> 美國國籍棄籍證明及其他國籍證明文件 (如適用) Certificate of loss of nationality of U.S. and proof of other nationality (if applicable) <input type="checkbox"/> 客戶提交由客戶名下於香港註冊銀行開設的賬戶所發出不少於 HK\$10,000 的支票 (如適用) Initial deposit (cheque in the amount not less than HK\$10,000 bearing the Client's name as shown in HKID Card issued by the Client and drawn on the Client's account with a licensed bank in Hong Kong) (if applicable)

Prepared by	Checked by	Approved by	Input by	Checked by

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.
► Go to www.irs.gov/FormW8BEN for instructions and the latest information.
► 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
- You are a person acting as an intermediary W-8IMY

Instead, use Form:

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)

共同匯報標準自我證明表格 (個人/ 聯名帳戶)

Common Reporting Standard Self-Certification Form (Individual/ Joint Account)

(如適用請加"✓" Please "✓" as appropriate)

第 1 部份 - 戶口持有人資料

Section 1 - Account Holder Information

(註：群名戶口每戶口持有人需分別填寫一份表格)

(Note: For Joint Account, each account holder should complete a separate Form)

帳戶號碼 Account No.			
客戶稱謂 Client Title	<input type="checkbox"/> 先生 Mr.	<input type="checkbox"/> 太太 Mrs.	<input type="checkbox"/> 女士 Mdm.
			<input type="checkbox"/> 小姐 Miss
中文姓名 Name (Chinese)			英文姓名 Name (English)
身份證/ 護照號碼 I.D./ Passport No.			出生日期 Date of Birth
出生地點 Place of Birth			國籍 Nationality
住宅地址 Residential Address			
通訊地址 (如與以上不同) Correspondence Address (if different from above)			

第 2 部份 - 居留司法管轄區及稅務編號或具有等同功能的識別編號 (以下簡稱「稅務編號」)

Section 2 - Jurisdiction of Residence and Taxpayer Identification Number or its Functional

請提供以下資料，列明 (a) 帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區 (香港包括在內) 及 (b) 該居留司法管轄區發給帳戶持有人的稅務編號，請列出所有 (不限於 5 個) 居留司法管轄區。

Please complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder's TIN for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence.

如帳戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。如沒有提供稅務編號，必須填寫合適的理由：

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. If a TIN is unavailable, provide the appropriate reason A, B or C:

理由 A 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

Reason A The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

理由 B 帳戶持有人不能取得稅務編號。如選取這一理由，請解釋帳戶持有人不能取得稅務編號的原因。

Reason B The account holder is unable to obtain a TIN. Please explain why the account holder is unable to obtain a TIN if you have selected this reason.

理由 C 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

Reason C TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

	居留司法管轄區 Jurisdiction of Residence	稅務編號 TIN	如沒有提供稅務編號，請填寫理由 A、B 或 C Please enter Reason A, B or C if no TIN is available	如選取理由 B，請解釋帳戶持有人不能取得稅務編號的原因 Please explain why you are unable to obtain a TIN if you have selected Reason B
1.			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
2.			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
3.			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
4.			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
5.			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	

第3部份-聲明及簽署 Section 3 - Declarations and Signature

本人知悉及同意，金裕富根據《稅務條例》(第112章)有關交換財務帳戶資料的法律條文，收集本表格所載資料並可備存作自動交換財務帳戶資料用途及把該等資料和關於本人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到本人的居留司法管轄區的稅務當局。

I acknowledge and agree that the information contained in this form is collected and may be kept by GRSL for the purpose of automatic exchange of financial account information, and such information and information regarding the client and any reportable account(s) may be reported by GRSL to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the client 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).

本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人。
I certify that I am the account holder of all the account(s) to which this form relates.

本人承諾，如有任何更改有關納稅居住地資料或有任何資料有所改變，本人會在情況發生改變後30日內，向金裕富提交一份已適當更新的自我證明表格。

I undertake to advise GRSL of any change in circumstances which affects the tax residency status of the individual identified in this form or causes the information contained herein to become incorrect, and to provide to GRSL with a suitably updated self-certification form within 30 days of such change in circumstances.

本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

客戶簽署 Client Signature ()	客戶姓名 Name ()
	日期 Date

註：金裕富未能提供有關閣下納稅居住地的意見。如有任何疑問，請與閣下的稅務顧問或當地稅務機關聯絡。

Note: GRSL is unable to provide any advice about your tax residence. If you have any questions, please contact your tax adviser or domestic tax authority.

重要提示

Important Notes:

- 這是由帳戶持有人向金裕富提供的自我證明表格，以作自動交換財務帳戶資料用途。金裕富可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
This is a self-certification form provided by an account holder to GRSL for the purpose of automatic exchange of financial account information. The data collected may be transmitted by GRSL to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- 如帳戶持有人的稅務居民身分有所改變，應盡快將所有變更通知金裕富。
An account holder should report all changes in his/ her tax residency status to GRSL.
- 除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。
All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s).
- 根據《稅務條例》第80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪，一經定罪，可處第3級(即\$10,000)罰款。
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 (i.e. \$10,000).



客戶風險承擔能力評估表格 RISK TOLERANCE FOR CLIENTS QUESTIONNAIRE

Please answer these questions to understand your tolerance of risk and the attitude towards risk.
請回答下列問題以瞭解閣下對風險的承擔能力及投資取態。

1. What is your current age? 請問您現時的年紀?

- | | | |
|---------------------------------------|-----------|---|
| <input type="checkbox"/> 30 or under. | 30 歲或以下 | 5 |
| <input type="checkbox"/> 31 - 45 | 31 至 45 歲 | 4 |
| <input type="checkbox"/> 46 - 65 | 46 至 65 歲 | 3 |
| <input type="checkbox"/> 66 - 70 | 66 至 70 歲 | 2 |
| <input type="checkbox"/> 71 or above | 71 歲或以上 | 1 |

2. What is your knowledge of financial market and investment? 請問您對金融市場及投資的認識是多少?

- | | | |
|--|------------------|---|
| <input type="checkbox"/> None. I have no knowledge of financial market at all. | 我對金融市場一無所知 | 1 |
| <input type="checkbox"/> I have basic knowledge of financial market. | 我對金融市場只有基本知識 | 2 |
| <input type="checkbox"/> I have knowledge above basic level. | 我對金融市場達基本知識以上的水平 | 3 |
| <input type="checkbox"/> High. I know the factors affecting the prices of stocks and bonds | 我瞭解影響股票及債券價格的因素 | 4 |
| <input type="checkbox"/> Advance. I am familiar with most of the financial products. | 我對大部份的金融產品都非常熟悉 | 5 |

3. What is your acceptable level of potential loss? 請問您可接受潛在虧損的程度是多少?

- | | | |
|--|-----------------|---|
| <input type="checkbox"/> No capital losses are acceptable. | 我並不接受任何虧損 | 1 |
| <input type="checkbox"/> A small loss up to 5%. | 可接受最高 5% 的輕微虧損 | 2 |
| <input type="checkbox"/> A medium loss up to 15%. | 可接受最高 15% 的輕微虧損 | 3 |
| <input type="checkbox"/> A large loss up to 30%. | 可接受最高 30% 的大幅虧損 | 4 |
| <input type="checkbox"/> A large loss of more than 30%. | 可接受超過 30% 的大幅虧損 | 5 |

4. What would you react if the market plunged 10% in three days? 如果市場在三天內暴跌 10%，你會如何反應?

- | | | |
|---|------------------------|---|
| <input type="checkbox"/> I would see it as an opportunity to invest more immediately. | 我認為這是一個更多投資的機會 | 5 |
| <input type="checkbox"/> I would do nothing and monitor the market closely. | 我甚麼都不做並密切關注市場動向 | 4 |
| <input type="checkbox"/> I would see it as an opportunity to increase the investment gradually over a period of time. | 我認為這是一個在一段時間內逐漸增加投資的機會 | 3 |
| <input type="checkbox"/> I would sell at least half of my investments to limit my loss. | 我會出售至少一半的投資來限制我的損失 | 2 |
| <input type="checkbox"/> I would sell all my investment and avoid further loss. | 我會出售所有投資，避免進一步損失 | 1 |

5. How long will your investment horizon be? 您的投資期限是多久?

- | | | |
|---|------|---|
| <input type="checkbox"/> Below 1 year. | 少於一年 | 1 |
| <input type="checkbox"/> 1 to 2 years. | 一至二年 | 2 |
| <input type="checkbox"/> 3 to 5 years. | 三至五年 | 3 |
| <input type="checkbox"/> 6 to 10 years | 六至十年 | 4 |
| <input type="checkbox"/> Over 10 years. | 十年以上 | 5 |



6. What is your objective for investment? 您的投資目標是什麼?

- | | | |
|---|--------------|---|
| <input type="checkbox"/> Capital preservation | 資本保障 | 1 |
| <input type="checkbox"/> Earn a return which is slightly above bank deposit | 賺取略高於銀行存款的回報 | 2 |
| <input type="checkbox"/> Stable and balanced income | 穩定、平衡收入 | 3 |
| <input type="checkbox"/> Gradual long-term capital growth | 資本長期地逐漸增長 | 4 |
| <input type="checkbox"/> Maximize capital growth as soon as possible | 以最短時間，爭取最高回報 | 5 |

7. Do you have emergency saving? 您有應急備用錢嗎?

- | | | |
|---|----------------|---|
| <input type="checkbox"/> Yes, more than 6 months income | 有，金額多於六個月的收入 | 5 |
| <input type="checkbox"/> Yes, 3- 6 months income | 有，金額介乎三至六個月的收入 | 4 |
| <input type="checkbox"/> Yes, 1- 2 months income | 有，金額介乎一至二個月的收入 | 3 |
| <input type="checkbox"/> Yes, less than 1 month income | 有，金額少於一個月的收入 | 2 |
| <input type="checkbox"/> No. | 沒有 | 1 |

8. What is your monthly household disposable income on average? 您每月平均家庭可動用收入有多少?

- | | | |
|--|------------------------|---|
| <input type="checkbox"/> Below \$4,000. | 少於港幣 4,000 元 | 1 |
| <input type="checkbox"/> \$4,000 - \$15,000 | 介乎港幣 4,000 至 15,000 元 | 2 |
| <input type="checkbox"/> \$15,001 - \$30,000 | 介乎港幣 15,001 至 30,000 元 | 3 |
| <input type="checkbox"/> \$30,001 - \$60,000 | 介乎港幣 30,001 至 60,000 元 | 4 |
| <input type="checkbox"/> Over \$60,000 | 多於港幣 60,000 元 | 5 |

9. What is your expectation growth of your income in the next five years? 請問您期望五年後您的收入增長如何?

- | | | |
|---|------------|---|
| <input type="checkbox"/> Rapid grow and greater than inflation. | 急速增長並大於通脹 | 5 |
| <input type="checkbox"/> Grow fast and slightly greater than inflation. | 快速增長並略大於通脹 | 4 |
| <input type="checkbox"/> Grow with inflation. | 與通脹同步增長 | 3 |
| <input type="checkbox"/> Grow less than inflation. | 有增長但低於通脹 | 2 |
| <input type="checkbox"/> Remain unchanged. | 維持不變 | 1 |

10. Are you confident enough to make investment decision individually? 您有足夠的信心以單獨作出投資決定嗎?

- | | | |
|--|--------------------|---|
| <input type="checkbox"/> No. I rely on my investment advisor. | 不，我依賴的的投資顧問作出決定 | 1 |
| <input type="checkbox"/> Sometime, but mostly follow the suggestion of the advisor. | 間中，但多數都依從顧問的意見 | 2 |
| <input type="checkbox"/> Sometimes, I would listen to my advisors' suggestion | 間中，我會參考顧問的意見 | 3 |
| <input type="checkbox"/> Yes, I am able to make decision when I have to do it on my own. | 當我需要自己作投資決定時，我能夠做到 | 4 |
| <input type="checkbox"/> Yes, I am confident enough to make my own investment decision. | 我完全有信心去作投資決定 | 5 |



IMPORTANT INFORMATION 責任聲明

The results of this questionnaire are derived from the information that you have provided to the Company and on certain generally accepted assumptions and reasonable estimates. Calculations and values used in this questionnaire are used for illustration purpose only.

本問卷的結果是從您向本行提供的資料，並根據若干普遍接納的假設及合理估算而得出。本問卷採用的計算方法及取值僅供說明途。

This questionnaire and the results only serve as a reference for your consideration, and are not an offer to sell or a solicitation for an offer to buy any financial products and services and they should not be considered as investment advice or recommendation.

本問卷及所得結果僅供您參考，並非購買或出售任何金融產品及服務的要約或招攬，亦不應被視為投資意見或推薦。

Answers you give to the questions in this questionnaire help to provide some indication as to which Risk Profile you may fit in. It does not represent the suitability of any investment product for you.

您於本問卷提供的答案有助顯示因應您的個人情況而指出您對風險的取態及您所屬的風險取向類別。

Please be reminded that any failure to fully disclose all or any of your personal circumstances (e.g. financial situation), inaccurate, incomplete or outdated information may affect our assessment of your attitude towards investment risks. If there is any change in circumstances which may affect your answer(s) to any question in this questionnaire, we strongly recommend that you should complete this questionnaire again.

請注意，倘若您未能全面披露所有或任何有關您的個人狀況（如財務狀況）、不正確、不完整或過時的資料，可能影響本行就本問卷得出的評估結果。如您的狀況出現變動而可能影響本問卷中任何問題的答案，我們極力建議您再次填寫本問卷。

Personal data collected in this questionnaire will be kept confidential by the Company. The data may be used by the Company, or third party insurer or any other companies within the Group under a duty of confidentiality to the Company, for designing and/ or marketing of financial products or insurance products and services.

本問卷所收集的個人資料保密，本行、供應商、保險公司或其他屬於集團的公司須按照本行的保密責任使用該等資料設計及/ 或推廣金融產品或保險產品及服務。

Client's Information 客戶資料			
Account No. 帳號：		<input type="checkbox"/> Cash 現金客戶	<input type="checkbox"/> Margin 保證金客戶
Client's Signature 客戶簽署		Client's Name 客戶姓名： _____ Date 日期： _____	
*** FOR OFFICE USE ONLY 祇供本行使用 ***			
Tolerance level of Client 客戶之風險承擔能力			
<input type="checkbox"/> 43 - 50	Very High Risk	非常高風險	：此類投資者客戶屬非常進取型之客戶，並願意承受更大風險換取更多的資本增值
<input type="checkbox"/> 32 - 42	High Risk	高風險	：此類投資者屬高風險之客戶，能接受較長線的投資或承受高風險以增值資本
<input type="checkbox"/> 15 - 31	Low to medium risk	低至中等風險	：此類投資者屬穩健型之客戶，投資取向傾向於平衡分佈
<input type="checkbox"/> below 15	Low risk	低風險	：此類客戶為保守型之客戶，即使回報不高亦傾向承受較少風險
A.E./ Staff Signature 客戶經理/ 職員簽署		Name 客戶經理/ 職員姓名： _____ C.E. No. 證監會中央編號： _____ Date 日期： _____	

客戶常設授權
Client Standing Authority

To: 金裕富證券有限公司 「貴公司」
Golden Rich Securities Limited ("The Company")
香港灣仔駱克道 188 號兆安中心 22 樓
22/F., Siu On Centre, 188 Lockhart Road, Wan Chai, Hong Kong

帳戶號碼
Account No.

Attn: 結算部 Settlement Department

除非另有定義，本授權函使用的術語應與不時修訂的《證券及期貨條例》；(客戶證券)和(客戶款項)規則中的定義相同。
Unless otherwise defined, the terms used in this letter shall have the same meanings as in the Securities and Futures Ordinance, (Client Securities) Rules and (Client Money) Rules as amended from time to time.

客戶款項常設授權
Client Money Standing Authority

客戶款項的常設授權範圍包括貴公司在香港代表本人/ 吾等開立的一個或多個獨立帳戶中持有或收到的款項 (包括因持有任何 (不屬於貴公司的) 款項所獲取的利息) (「款項」)。

The Client Money Standing Authority covers money held or received by the Company in Hong Kong (including any interest derived from the holding of the money which does not belong to the Company) in one or more segregated account(s) on my/ our behalf ("Monies").

本人/ 吾等授權貴公司：
I/ We authorize the Company to:

- (a) 將貴公司或貴公司集團任何成員 (定義見不時修訂的貴公司的標準條款及細則) 單獨或與他人共同維持的任何性質的任何或所有獨立帳戶合併或綜合。貴公司可將款項的任何款額轉給其他獨立帳戶或在獨立帳戶之間相互轉帳，以結清本人/ 吾等對貴公司或貴公司集團任何成員負有的債責 (定義見不時修訂的貴公司的標準條款及細則)，而該帳戶為一個獨立帳戶；
combine or consolidate any or all segregated accounts, of any nature whatsoever and either individually or jointly with others, maintained by the Company or any of the Company's Group Members (as defined in the Company's Standard Terms and Conditions as amended from time to time) and the Company may transfer any sum of Monies to and between such segregated account(s) to satisfy my/ our Liabilities (as defined in the Company's Standard Terms and Conditions as amended from time to time) to the Company or any of the Company's Group Members and that account is a segregated account;
- (b) 貴公司或貴公司集團的任何成員可將款項的任何款額任何時間維持的獨立帳戶之間轉入轉出以結清本人/ 吾等對貴公司或貴公司集團成員負有的債責；
set-off or transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by the Company or any of the Company's Group Members towards satisfaction of any of the Liabilities to the Company or any of the Company's Group Members;
- (c) 將本人/ 吾等在任何時間在貴公司集團任何成員維持的帳戶不時的任何資金轉入「帳戶」(定義見不時修訂的貴公司的標準條款及細則) 和/ 或本人/ 吾等在任何時間在貴公司集團任何成員維持的任何其他帳戶；和
transfer any funds standing from time to time in any account maintained at any time by me/ us with any of the Company's Group Member to the Account (as defined in the Company's Standard Terms and Conditions as amended from time to time) and/ or to any other account maintained at any time by me/ us with any of the Company's Group Member; and
- (d) 將貴公司在香港為本人/ 吾等持有或收到的款項轉入香港以外的帳戶。
transfer our Monies held or received by you in Hong Kong to an account outside Hong Kong.

客戶證券常設授權
Client Securities Standing Authority

客戶證券的常設授權事關按下述方式處理客戶的證券或證券抵押品：
The Client Securities Standing Authority is in respect of the treatment of the Client's securities or securities collateral as set out below.

本人/ 吾等授權貴公司：
I/ We authorize the Company to:

- (a) 根據證券借貸協議使用本人/ 吾等的證券或證券抵押品；
apply any of my/ our securities or securities collateral pursuant to a securities borrowing and lending agreement;
- (b) 將本人/ 吾等的任何證券抵押品存放於一認可財務機構，作為提供予貴公司的財務通融的抵押品；
deposit any of my/ our securities collateral with an authorized financial institution as collateral for financial accommodation provided to the Company;
- (c) 將本人/ 吾等的任何證券抵押品存放於香港中央結算有限公司，作為解除貴公司在交收上的義務和清償貴公司在交收上的法律責任的抵押品。本人/ 吾等明白，香港中央結算有限公司將在貴公司的義務和責任範圍內對客戶的證券享有第一固定抵押權；
deposit any of my/ our securities collateral with HKSCC as collateral for the discharge and satisfaction of the Company's settlement obligations and liabilities. I/ We understand that HKSCC will have a first fixed charge over the Client's securities to the extent of the Company's obligations and liabilities;

- (d) 將本人/ 吾等的任何證券抵押品存放於任何其他認可結算所或另一獲發牌或獲註冊進行證券交易的中介人，作為解除貴公司在交收上的義務和清償貴公司在交收上的法律責任的抵押品；和
deposit any of my/ our securities collateral with any other recognized clearing house, or another intermediary licensed or registered for dealing in securities, as collateral for the discharge and satisfaction of the Company's settlement obligations and liabilities; and
- (e) 若貴公司在進行證券交易的過程中向本人/ 吾等提供財務通融；和在貴公司獲發牌或獲註冊進行的任何其他受規管活動的過程中向本人/ 吾等提供財務通融，可按照以上 (a)、(b)、(c) 和/ 或 (d) 款運用或存放本人/ 吾等的任何證券抵押品。
apply or deposit any of my/ our securities collateral in accordance with Clauses (a), (b), (c) and/ or (d) above if the Company provides financial accommodation to me/ us in the course of dealing in securities and also provides financial accommodation to me/ us in the course of any other regulated activity for which the Company is licensed or registered.

本人/ 吾等確認並同意，貴公司可不通知本人/ 吾等而從事任何上述事項。

I/ We acknowledge and agree that the Company may do any of the things set out above without giving me/ us notice.

本人/ 吾等確認：

I/ We also acknowledge that:

- (a) 客戶款項常設授權是在不影響貴公司或貴公司、集團的任何成員就處理獨立帳戶中的款項可能有的其他授權或權利情況下授予的；和
the Client Money Standing Authority is given without prejudice to other authorities or rights which the Company or any of the Company's Group Members may have in relation to dealing in Monies in the segregated accounts; and
- (b) 客戶證券常設授權不應影響貴公司行使權利處置或貴公司聯係實體行使權利處置本人/ 吾等的證券或證券抵押品，以清償本人/ 吾等或代表本人/ 吾等在交收上對貴公司、貴公司聯係實體或第三方負有的任何法律責任。
the Client Securities Standing Authority shall not affect the Company's right to dispose or initiate a disposal by the Company's associated entity of my/ our securities or securities collateral in settlement of any liability owed by or on behalf of me/ us to the Company, the associated entity or a third person.

本人/ 吾等明白，本人/ 吾等的證券可能受某第三方留置權的制約，而貴公司須在清償該等留置權後方可將本人/ 吾等的證券退回。

I/ We understand that a third party may have rights to my/ our securities, which the Company must satisfy before my/ our securities can be returned to the Client.

客戶款項常設授權和客戶證券常設授權自本信函之日起有效期 12 個月，但可由本人/ 吾等續期或按照以下提到的客戶款項規則或客戶證券規則 (情況而定) 規定視為續期。

Each of the Client Money Standing Authority and the Client Securities Standing Authority is valid for a period of 12 months from the date of this letter, subject to renewal by me/ us or deemed renewal under the Client Money Rules or Client Securities Rules (as the case may be) referred to below.

客戶款項常設授權和客戶證券常設授權可按帳戶開表格載明的貴公司地址或貴公司就此目的可能書面通知本人/ 吾等的其他地址，以標明結算部為收件人的書面通知方式撤銷。通知在貴公司實際收到通知之日後 30 日屆滿時生效。

Each of the Client Money Standing Authority and the Client Securities Standing Authority may be revoked by giving the Company written notice addressed to the Settlement Department at the Company's address specified in the Account Opening Form or such other address which the Company may notify me/ us in writing for this purpose. Such notice shall take effect upon the expiry of 30 days from the date of the Company's actual receipt of such notice.

本人/ 吾等明白，倘若貴公司在客戶款項常設授權和客戶證券常設授權有效期屆滿前最少 14 日向本人/ 吾等發出有關授權將被視為續期的書面提示，而本人/ 吾等對於在有關授權的期限屆滿前以此方式將該授權延續不表示反對，則客戶款項常設授權和客戶證券常設授權將會在沒有本人/ 吾等書面同意下被視為已續期。

I/ We understand that each of the Client Money Standing Authority and the Client Securities Standing Authority shall be deemed to be renewed on a continuing basis without my/ our written consent if the Company issues me/ us a written reminder at least 14 days prior to the expiry date of the relevant authority, and I/ we do(es) not object to such deemed renewal before such expiry date.

已經向本人/ 吾等解釋本函的內容，並且本人/ 吾等理解本函的內容。

This letter has been explained to me/ us and I/ we understand and agree with the contents of this letter.

個人/ 聯名帳戶

Individual/ Joint Account

公司帳戶

Corporate Account

✍

✍

客戶簽署：個人/ 聯名帳戶持有人

Signed by client: Individual/ Joint Account Holder

客戶姓名

Name of Client:

日期

Date:

授權代表簽署及公司蓋章

Authorized Signatory and Company Chop

客戶姓名

Name of Client:

日期

Date: