永豐金證券(亞洲)
SinoPac Securities (Asia)
(CE Number with The Securities & Futures Commission: BIZ502)

中央結算參與者編號: B01497
CCASS Participant ID (SI / ISI): B01497

Registered Office: 7th Floor, Lee Garden Three, 1 Sunning Road , Causeway Bay , Hong Kong
註冊辦事處：香港銅鑼灣新寧道一號利園三期七樓
Tel 電話: (852) 2586 8288 Fax 傳真: (852) 2586 8300

Account Opening Form
(Securities (Cash / Margin) / Futures / Stock Options)

開戶表格
(證券 (現金 / 保證金) / 期貨 / 股票期權)

Client Name 客戶姓名：_____

Account No 客戶帳號：_____

SinoPac Securities (Asia) Ltd is a licensed corporation for Type 1,2,4,5 and 9 regulated activities under the Securities and Futures Ordinance (CE Number:BIZ502)

永豐金證券(亞洲)有限公司乃一家根據證券及期貨條例獲發牌進行第一、二、四、五及第九類受規管活動的持牌法團(中央編號：BIZ502)

IMPORTANT : In the event of any inconsistency between Chinese and English version of this Account Opening Form, the English version of this Account Opening Form shall prevail

重要提示：倘本開戶表格中文版與英文版有任何歧異，以英文版為準

Version 010 Feb 2022
(SINO/CC/F001)

Account Opening Guide 開戶須知

Individual/Joint Account Documents Checklist 個人 / 聯名帳戶文件清單

Where this Account Opening Form is executed in the presence of an employee of SinoPac Securities (Asia) Limited, the Client shall provide the documents as required in Box A.

如本開戶表格於永豐金證券(亞洲)有限公司的僱員見證下簽署，則客戶須提供A欄內的文件。

Where is Account Opening Form is not executed in the presence of an employee of SinoPac Securities (Asia) Limited, the Client may choose to provide the documents as required in Box B or C.

如本開戶表格並非於永豐金證券(亞洲)有限公司的僱員見證下簽署，則客戶可選擇提供列名於B欄或C欄內的文件。

Box A (A欄)

- Signed copy of this Account Opening Form
  本開戶表格的簽署本
- Certified true copy of ID Card (Both Sides) / Passport of Client
  客戶之身份證正反面或護照經認證真確副本
- Certified true copy of valid travel documents (for non Hong Kong permanent resident and non Hong Kong resident)
  客戶之有效旅遊證件經認證真確副本 (適用於非香港永久性居民及非香港居民)
- Proof of Residential Address dated with 3 months (e.g. utility or telephone bill, investment statement, the address as stated in the ID)
  三個月內發出之住址證明 (如：水電費或電話帳單、投資月結單、身份證之地址)
- Certified true copy of ID Card (Both Sides) / Passport and residential address proof of beneficial owner (if applicable)
  最終受益人之身份證正反面或護照經認證真確副本及住址證明 (如適用)
- Consent letter from employer (if client is a SFC licensed person or employee of another licensed corporation or registered institution)
  僱主同意書 (如客戶為證監會註冊人士或受僱於證監會發牌機構)
- W-8BEN (non U.S. taxpayer) (Please complete W-8BEN on Account Opening Form Supplemental Documents)
  W-8BEN表格 (非美國稅務居民) (請填妥開戶表格補充文件內的W-8BEN表格)
- Third Party Authorization Letter (Please complete the letter of authorization on Account Opening Form Supplemental Documents) (if applicable)
  第三者操作授權書 (請填妥開戶表格補充文件內的授權書) (如適用)
- Certified true copy of ID Card (Both Sides) / Passport and residential address proof of authorised person (if applicable)
  被授權人之身份證正反面或護照經認證真確副本及住址證明 (如適用)
- Client Investment Suitability Questionnaire (please complete the Questionnaire on Account Opening Form Supplemental Documents)
  客戶投資屬性問卷 (請填妥開戶表格補充文件內的問卷)

(Account Executive must certify and sign if any of the abovementioned document is a copy)
(以上任何文件若為副本須由客戶主任認證及簽署)

Box B (B欄)

Documents set out in Box A which shall be certified by :
A欄所載的文件須由下列人士認證：

(a) a person licensed by or registered with the SFC or its affiliate ;
獲證監會發牌或註冊的人士或其聯號；

(b) a Justice of the Peace ; or
太平紳士；或

(c) a professional person such as a certified public accountant, a lawyer, a notary public or a chartered secretary.
專業人士，例如執業會計師、律師、公證人或特許秘書等。

Box C (C欄)

(not applicable for opening Joint Account)
(不適用於開立聯名帳戶)

Documents set out in Box A; and
A欄所載的文件；及

Provide a cheque in the amount of not less than HK$10,000 bearing the Client's name(as shown in HKID Card or Passport) issued by the client and drawn on the Client's account with a licensed bank in Hong Kong (the signature on the cheque and the signature on the Account Opening Form must be the same); and

客戶由名下於香港的持牌銀行開設的帳戶發出不少於一萬港元的支票(該支票的簽署必須與開戶表格的簽署相同)；及

Account(s) will not be activated until the cheque is cleared.
帳戶須於該支票兑現後始能啓用。

永豐金證券(亞洲)
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(CE Number with The Securities & Futures Commission: BIZ502)

中央結算參與者編號: B01497
CCASS Participant ID (SI / ISI): B01497

For Internal Use Only 只供內部使用

Account Opening Date 開戶日期 :

Referral 渠道號 :

香港銅鑼灣新寧道一號利園三期七樓
7/F, Lee Garden Three, 1 Sunning Road Causeway Bay, Hong Kong
電話 Tel: (852) 2586 8288 傳真 Fax: (852) 2586 8300

Account opening form (Individual / Joint account)
開戶表格 (個人 / 聯名帳戶)

Application for (Please check one only) 申請帳戶為 (請選擇其一)

☐ Individual Account 個人帳戶 | ☐ Joint Account 聯名帳戶 [Please complete "Account Opening Form Joint Account (Continuation)" 請填妥「開戶表格 聯名帳戶 (附頁)」]

Please "✓" as appropriate 請在適當位置加"✓"

☐ China Stock Connect 中華通股票

[Please sign the "Confirmation Regarding Investor Identification Regime for Northbound Trading" of Supplemental Documents 請簽署補充文件內的『北向交易投資者識別碼制度確認書』]

☐ US Stock 美股

☐ TW Stock 台股

[Please sign the "Declaration for Taiwan Securities and Futures Trading" of Supplemental Documents 請簽署補充文件內的『交易台灣證券及期貨客戶聲明書』]

Account Type(s) 帳戶類別 (Please "✓" as appropriate 請在適當位置加"✓")

☐ Cash Account 現金帳戶	Account No. 帳戶編號 :
☐ Margin Account 保證金帳戶	Account No. 帳戶編號 :
☐ HK Stock Options Trading Account and Securities (Cash) Account 香港股票期權帳戶及現金帳戶	Account No. 帳戶編號 :
☐ U.S. Stock Options Trading Account and Securities (Margin) Account 美國股票期權帳戶及保證金帳戶	Account No. 帳戶編號 :
☐ Futures Account 期貨帳戶	Account No. 帳戶編號 :

Electronic Services 電子服務 (Please "✓" as appropriate 請在適當位置加"✓")

Application for Electronic Trading Services 申請電子交易服務

Stock 股票	☐ Apply Trading Service 申請交易服務	
Stock Options / Futures 股票期權 / 期貨	☐ Apply Sharp Point System	☐ Apply Esunny 易盛啟明星

Primary Client 主要客戶

Personal Information 個人資料 (Please complete in BLOCK LETTERS 請用正楷填寫)

Basic Information 基本資料

English 英文名稱	Surname	Given Name	☐ Mr. 先生 ☐ Mrs. 太太
Chinese Name 中文名稱	姓	名	☐ Miss 小姐 ☐ Ms. 女士

Place of Birth 出生地 **Date of Birth 出生日期** DD 日 MM月 YYYY年 **Nationality 國籍**

ID Card No. 身分證號碼 **Issuing Place 簽發地區**

Passport No. 護照號碼 **Issuing Place 簽發地區**

Contact Number(s) 聯絡號碼

	Country code 國家編號	Area Code 地區編號	Number 號碼
Home Tel No. 住宅電話號碼			
Mobile Tel No. 手提電話			
Fax No. (Home or business) 傳真號碼 (住宅或商業)			

Email Address 電郵地址

Address Information 地址資料 (P.O. Box is not acceptable 不接受郵政信箱)

Home Address 住宅地址

Flat 單位	Floor 層數	Block 座	Building Name 大廈名稱

Estate Name 屋苑名稱

Street name and Number 街道名稱及號碼

District / Province / City 地區 / 省 / 市

Country / Place 國家 / 地區
☐ HK 香港 ☐ China 中國
☐ Taiwan 台灣 ☐ Others 其他: _____

Postal Code 郵政編號

Correspondence Address (if different from Home Address) 通訊地址 (如與住宅地址不同)

Flat 單位	Floor 層數	Block 座	Building Name 大廈名稱

Estate Name 屋苑名稱

Street name and Number 街道名稱及號碼

District / Province / City 地區 / 省 / 市

Country / Place 國家 / 地區
☐ HK 香港 ☐ China 中國
☐ Taiwan 台灣 ☐ Others 其他: _____

Postal Code 郵政編號

Employment / Occupation Information 受僱 / 職業資料

Employment Status 受僱狀況
☐ Employed 受僱 ☐ Self Employed 自僱
☐ Retired 退休 ☐ Others 其他:

Occupation 職業

Name of Current Employer 目前僱主名稱	Nature of Business 商業性質	Year of Service 服務年資

Position 職位
☐ Staff 僱員 ☐ Middle Management 中級管理人員 ☐ Senior Management 高級管理人員
☐ Partner / Sole Proprietor 合夥人 / 獨資經營者 ☐ Others 其他: _____

Business Address 商業地址

Flat 單位	Floor 層數	Block 座	Building Name 大廈名稱

Estate Name 屋苑名稱

Street name and Number 街道名稱及號碼

District / Province / City 地區 / 省 / 市

Country / Place 國家 / 地區
☐ HK 香港 ☐ China 中國
☐ Taiwan 台灣 ☐ Others 其他: _____

Postal Code 郵政編號

Designated Bank Account 指定銀行帳戶

Unless otherwise instructed by you, all monies payable to you are to be credited to the following bank account
除經客戶另行指示外，須付予客戶的款項將會被轉入下列銀行帳戶

Bank Account Holder's Name (name(s) shown on bank statements and Client's name(s) on this Form should match)
銀行帳戶持有人名稱 (銀行結單上的名稱須與客戶在此表格上的名稱相符)

Bank Name 銀行名稱	Account No. 帳戶號碼	Currency 貨幣	Country / Area of Designated Bank 指定銀行所在國家 / 地區

eStatement & eCorrespondence Services 電子結單及電子函件服務

eStatement & eCorrespondence Services 電子結單及電子函件服務	Daily Statements, Monthly Statements, Contract Notes, Trade Confirmation & General Correspondence 日結單 / 月結單 / 成交單據 / 交易核實資料書及一般函件 ☐ Apply 申請

Physical Statement and Correspondence Services 實物結單及函件服務

Daily Statements, Monthly Statements & General Correspondence 日結單 / 月結單及一般函件	By Mail to the Correspondence address in Personal Information Part 郵寄至個人資料部分的通訊地址 ☐ Apply 申請

Notes 注意:

- Unless the Client registers for the use of eStatement & eCorrespondence Services, general correspondence and any physical account statements and contract notes (as applicable) will be sent to the registered Correspondence Address. A monthly fee for receiving physical account statements and contract notes is imposed for receiving physical account statements and contract notes. For more details on such fee, please visit our website at www.sinopacasia.com.
- Upon application for eStatement & eCorrespondence Services, the Client agrees to receive account statements, contract notes and correspondence in electronic form in lieu of physical form.
- E-mail address is mandatory for eStatement & eCorrespondence Services. If not provided, the application will not be processed.
- Email address registered to receive eStatement & eCorrespondence is automatically registered for Client Activities Notification* (if applicable).
  *Client Activities (e.g. System Login, Reset Password, Trade Execution)
- 除非客戶登記使用電子結單服務及電子函件服務，一般函件及任何實物帳戶結單與及成交單據 (按適用情況) 會被送遞到已登記的通訊地址。收取實物帳戶結單及成交單據須繳付收取實物帳戶結單及成交單據月費。有關此收費詳情，請參閱網址 www.sinopacasia.com。

* 申請電子結單服務及電子函件服務後，客戶同意以電子形式取代以實物形式收取帳戶結單、成交單據及一般函件。

- 如欲申請啓用電子結單及電子函件服務，客戶必須提供電郵地址，否則申請將不獲處理。
- 已登記為接收電子結單及電子函件服務的電郵地址會自動登記為接收客戶活動通知* (如適用) 之用。
  *客戶活動 (例如: 登入系統、重設密碼、執行交易)

Financial and Investment Profile 財務及投資概況

Annual Income (HKD) 每年收入 (港元) (Please check one only) (請選擇其一)	Source of funds / wealth 資金 / 財富來源 (Fill in all those applicable 請填寫所有適用項目)	Ownership of Residence 住宅業權 (Please check one only) (請選擇其一)
☐ Under / 少於 $200,000	☐ Salary / Commission 薪金 / 佣金	☐ Living with Family 與家人同住
☐ $200,001 - $500,000	☐ Savings 儲蓄	☐ Rented 租用
☐ $500,001 - $1,000,000	☐ Own business 自營業務	☐ Owned 自置
☐ $1,000,001 - $2,000,000	☐ Investment 投資	☐ Mortgaged 房貸
☐ $2,000,001 - $5,000,000	☐ Inheritance 遺產	Others 其他 (Please specify 請指明):
☐ Above / 多於 $5,000,000	Others 其他 (Please specify 請指明):	
Others 其他 (Please specify 請指明):		

Total net worth (HKD) 總資產淨值 (港元):

Investment experience 投資經驗

☐ I don't have any investment experience. 本人並沒有任何投資經驗。

☐ I have the following investment experience. 本人有以下投資經驗:

Securities	證券產品	Experience (in year(s)) 經驗 (年計)					Others (Please specify) 其他 (請註明):
		No 沒有	0-1	2-5	6-10	>10	
HK listed securities	香港上市證券	☐	☐	☐	☐	☐	
Derivative Warrants	衍生權證	☐	☐	☐	☐	☐	
Exchange Traded Funds	交易所買賣基金	☐	☐	☐	☐	☐	
REIT	房地產投資信託基金	☐	☐	☐	☐	☐	
Listing Debt Securities	債務證券	☐	☐	☐	☐	☐	

Your investment objective(s) and risk tolerance 客戶投資目的及可承受風險

• Investment objective(s) (May select more than one) 投資目的 (可選擇多於一項)

☐ Hedging 對沖 ☐ Capital Gain 資本增值 ☐ Speculation 投機 ☐ Other 其他:

• Risk tolerance (Please check one only) 可承受風險 (請選擇其一)

* Securities Margin Account, Stock Options Account and Futures Account belong to Medium or High risk categories.
證券保證金帳戶、股票期權帳戶及期貨帳戶屬於 "中等風險" 或 "高風險" 類別。

☐ Low 低風險 ☐ Medium 中等風險 ☐ High 高風險

• Anticipated Investment Amount Per Year (HKD) 預計每年投資金額 (港元):

☐ < $300,000 ☐ $300,000 - $1,000,000 ☐ $1,000,001 - $5,000,000 ☐ ≥ $5,000,000

Investment period preference (May select more than one) 投資期間偏好 (可選擇多於一項)

☐ Long term 長期 (> 1 year 1年以上) ☐ Medium term 中期 (3-12 months 3-12 個月) ☐ Short term 短期 (< 3 months 3 個月以下)

Assess Client's Knowledge of Derivatives 評估客戶對衍生工具的認識

Do you have knowledge of the nature and risks of derivatives? 閣下是否對衍生工具的性質及風險擁有相關的認識?

☐ No, please refer to the "Acknowledgment of Risks Associated with Derivative Products" below
否，請注意以下「就衍生產品所附帶的風險」的客戶聲明

☐ Yes, please continue to Criteria 1 and / or 2 below
是，請接以下準則 1 及 / 或 2

Acknowledgment of Risks Associated With Derivative Products

I hereby acknowledge and confirm that:

- I have read and fully understood the risks associated with derivative products as set out in Risk Disclosure Statements for Derivative Products Traded on Specified Stock Exchange in a language of my choice (English or Chinese). I acknowledge that if I have any question in relation thereto, I should seek independent professional advice. I further acknowledge that such document may not cover all risks associated with such derivative products and I shall make my own assessment and ensures that I have sufficient net worth to assume the risks and bear the potential losses in respect of the derivative products I trade.
- I am willing to accept the risks associated with trading derivative products.

「就衍生產品所附有的風險」的客戶聲明

本人謹此聲明及確認:

- 本人已仔細閱讀及完全明白，以本人選擇之語言 (英文或中文)，於指名證券交易所買賣之衍生產品額外風險披露中有關衍生產品的風險。本人確認假若本人對此有任何疑問，本人應當尋求獨立專業意見。本人並且確認該文件可能未能披露全部投資衍生產品可能涉及的風險，與及本人須就投資這些產品作出本人自己的判斷，並確保本人擁有足夠的淨資產以承擔風險及潛在的損失。
- 本人願意承擔交易衍生產品所帶來的相關風險。

☐ Criteria 1 準則 1

I have executed five or more transactions in derivative products (whether traded on an exchange or not), e.g. Derivative Warrants, Callable Bull / Bear Contracts, Stock Options, Futures, Commodities, Structured Products and ETFs, etc. within the past three years.

本人於過去三年曾執行五次或以上有關衍生產品 (不論是否在交易所買賣) 的交易，例如: 牛熊證、股票期權、期貨、商品，結構性產品及交易所買賣基金等。

Relevant Financial Institution(s) 相關金融機構	Product Type 產品種類	Trading Period 交易期間 (mm/yyyy 月/年) to 至 (mm/yyyy 月/年)
		To 至

☐ Criteria 2 準則 2

I have current or previous work experience related to derivative products.
本人於現時或過去擁有與衍生產品有關等工作經驗。

Position 職位	Job Duties 工作職責	No. of Years of Experience 工作年期	Name of Employer(s) 僱主名稱

Declaration 聲明

I hereby declare that I have fulfilled the above-mentioned assessment criteria and provided the relevant supporting information acceptable to SinoPac Securities (Asia) Limited and SinoPac Securities (Asia) Limited is entitled to fully rely on the information provided by me.

本人謹此聲明本人已符合上述評估條件，並已提供永豐金證券 (亞洲) 有限公司可接受的相關資料及永豐金證券 (亞洲) 有限公司可完全倚賴本人所提供的資料。

Self-Certification of Tax Residency Status and Declaration 稅務居民身分自我證明及聲明

Note 注意:

- SinoPac Securities (Asia) Limited does not provide advice on any tax or tax-related matters
- 永豐金證券 (亞洲) 有限公司不會提供任何稅務或與稅務有關的意見。

US Tax Obligations 美國稅務責任

☐ The Client has no U.S. tax obligations 客戶沒有美國稅務責任

Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN")
居留司法管轄區及稅務編號或具有同等功能等識辨編號 (以下簡稱「稅務編號」)

- Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where you are a resident for tax purposes and (b) your TIN for each jurisdiction indicated. Indicate all (not restricted to four) jurisdictions of residence.
- If you are 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:

  Reason A - The jurisdiction where you are a resident for tax purposes does not issue TINs to its residents.

  Reason B - You are unable to obtain a TIN. Explain why you are unable to obtain a TIN if you have selected this reason.

  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.

- 提供以下資料，列明(a)客戶的居留司法管轄區，亦即客戶的稅務管轄區(香港包括在內) 及(b) 該居留司法管轄區發給客戶的稅務編號。列出所有 (不限於4個) 居留司法管轄區。
- 如客戶是香港稅務居民，稅務編號是其香港身分證號碼。
- 如沒有提供稅務編號，必須填寫合適的理由:

  理由 A — 客戶的居留司法管轄區並沒有向其居民發出稅務編號。

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

  理由 C — 客戶毋須提供稅務編號。居留司法管轄區的主管機關不需要客戶披露稅務編號。

Jurisdiction of residence 居留司法管轄區	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號，填寫理由A、B或C	Explain why you are unable to obtain a TIN if you have selected Reason B 如選取理由B，解釋不能取得稅務編號的原因

Confirmation and Declaration 確認及聲明

You confirm that you are not a tax resident of the United States and you are not a U.S. citizen.
客戶確認客戶本人並非就美國稅務目的而言的美國稅務居民，也並不是美國居民。

Note: A U.S. citizen, a Green Card holder, or a qualified U.S. resident^ is considered a tax resident of the United States, regardless of whether he/she is a tax resident of another country / jurisdiction.

^ Refers to an individual working, living or studying in U.S., staying at least 31 days during the current year, and 183 days during the 3-year period that includes the current year and the 2 years immediately before that, counting: all the days you were present in the current year, and 1/3 of the days you were present in the first year before the current year, and 1/6 of the days you were present in the second, to be considered a U.S. resident for tax purposes.

注意: 美國公民、綠卡持有人或通過測試的美國居民^視為美國的稅務居民，無論他/她是否其他國家或司法管轄區的稅務居民。

^ 指在美國工作 / 居住 / 求學之個人，本年度在美國境內停留天數≥ 31 天，且(本年在美國境內停留天數 *1/3+ 前年在美國境內停留天數 *1/6) ≥ 183 天者，即為美國稅務居民。

Declaration 聲明

I, the undersigned Primary Client identified in this form, acknowledge and agree that (a) the information contained in this form is collected any may be kept by SinoPac Securities (Asia) Limited for the purposes of automatic exchange of financial account information and/or tax or regulatory reporting or compliance, and (b) such information and information regarding or relating to the account holder (or any joint account holder, if any) and any reportable account(s) may be reported or provided by SinoPac Securities (Asia) Limited to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region, the U.S. Internal Revenue Service and/or other tax authorities and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder (or any joint account holder, if any) may be resident for tax purposes and to other relevant local or foreign persons or authorities pursuant to the applicable legal provisions or inter-governmental agreements for exchange of financial account information and/or other applicable laws, rules, regulations, guidelines or practices.

I certify that I am the account holder (or a joint account holder, if applicable) of all the account(s) to which this form relates.

I undertake to advise SinoPac Securities (Asia) Limited of any change in circumstances which affects my tax residency status or cause the information relating to self-certification of tax residency status contained herein to become incorrect, and to provide SinoPac Securities (Asia) Limited with suitably updated self-certification form with 30 days of such change circumstances.

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.

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance of Hong Kong if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in material particular AND knows, or is reckless as to whether, the statements is misleading, false or incorrect in a material particular. A person who commits the offence is liable in conviction to a fine at level 3 (i.e. $10,000).

本人，本表格所述以下簽署的主要客戶，知悉及同意，永豐金證券 (亞洲) 有限公司可根據適用的有關交換財務帳戶資料的法律條文或跨政府協議及 /或其他適用法律、規則，規例、指引或慣例，(a) 收集本表格所載資料並可備存作自動交換財務帳戶資料及 / 或稅務或規管申報或合規用途及 (b) 把該等資料和關於帳戶持有人 (或任何聯名帳戶持有人，如有) 及任何須報帳戶或與其相關的資料向香港特別行政區政府稅務局，美國國家稅務局及 /或其他稅務機構申報或提供，及從而把資料轉交到帳戶持有人 (或任何聯名帳戶持有人，如有) 的居留司法管轄區的稅務當局，或申報或提供予其他相關或海外人士或機構。

本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人 (或一位聯名帳戶持有人，如適用)。

本人承諾，如情況有所改變，以致影響本人的稅務居民身分，或引致本表格所載關於稅務居民身分自我證明的資料不正確，本人會通知永豐金證券 (亞洲) 有限公司，並會在情況發生改變後30日內，向永豐金證券 (亞洲) 有限公司提交一份已適當更新的自我證明表格。

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。

警告: 根據香港《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。

Relevant Disclosure 相關披露

Are you, either alone or with your spouse, in control of 35% or more of the voting rights of any corporate client of SinoPac Securities (Asia) Limited or its associates? 客戶是否單獨或與配偶共同控制任何永豐金證券(亞洲) 有限公司或其聯號的公司客戶35%或以上的投票權?	☐ No 不是	☐ Yes, company name(s): 是，公司名稱:
Is your spouse a client of SinoPac Securities (Asia) Limited or its associates? 客戶配偶是否永豐金證券 (亞洲) 有限公司或其聯號的客戶?	☐ No 不是	☐ Yes, whose name and account number are 是，其姓名及帳戶號碼為:
Are you a relative of any director or staff member of SinoPac Securities (Asia) Limited or its associates? 客戶是否永豐金證券 (亞洲) 有限公司或其聯號任何董事或職員的親屬?	☐ No 不是	☐ Yes, such director's or employee's name and staff number are 是，該董事或職員姓名及職員號碼為: Your family relationship with such individual is: 客戶與該人士的親屬關係為:
Are you a director or staff member of a person licensed or registered with Hong Kong SFC? 客戶是否香港證監會持牌人或註冊人的董事或職員?	☐ No 不是	☐ Yes, details are 是，詳情為:
Are you a director or major shareholder (shareholding of 5% or more) of any listed company? 客戶是否任何上市公司的董事或持股5%或以上的主要股東?	☐ No 不是	☐ Yes, details are 是，詳情為:
Are you (1) a current or former politically exposed person (i.e. a current or former domestic PEP, foreign PEP or international organization PEP, each a "PEP") or (2) a spouse, partner, child or parent of a PEP or (3) a spouse or partner of a child of a PEP or (4) a close associate of a PEP? 客戶是否 (1) 現任或前任本地政治人物、外地政治人物或國際組織政治人物 (「政治人物」)，或 (2) 任何政治人物的配偶、伴侶、子女或父母，或 (3) 任何政治人物的子女的配偶或伴侶，或 (4) 與任何政治人物關係密切的人? In this section, for the meaning of the respective terms of "domestic PEP" , "foreign PEP", "international organization PEP" and "close associate", please refer to the Guideline of Anti-Money Laundering and Counter-Financing of Terrorism (For Licensed Corporations) issued by the Securities and Futures Commission of Hong Kong. 就本節而言，有關「本地政治人物」、「外地政治人物」、「國際組織政治人物」及「關係密切的人」各名詞的意思，請參閱香港證券及期貨事務監察委員會發布的《打擊洗錢及恐怖分子資金籌集指引(適用於持牌法團)》。	☐ No 不是	☐ Yes, details are 是，詳情為:

Client Consent Relating to the Hong Kong Investor Identification Regime and the Over-the-counter Securities Transactions Reporting Regime
香港投資者識別碼制度及場外證券交易匯報制度客戶同意書

☐ **I / we acknowledge and understand the below Client Consent Relating to the Hong Kong Investor Identification Regime and the Over-the-counter Securities Transactions Reporting Regime and hereby agree to provide the requisite consent.**
本人 / 吾等確認及明白以下關於香港投資者識別碼制度及場外證券交易匯報制度的客戶同意書內容及在此給予所需同意。

With the implementation of the Hong Kong Investor Identification Regime (HKIDR) and the Over-the-counter Securities Transactions Reporting Regime (OTCR), you acknowledge and agree that we, SinoPac Securities (Asia) Limited, may collect, store, process, use, disclose and transfer personal data relating to you (including your CID and BCAN(s)) as required for us to provide services to you in relation to securities listed or traded on the Stock Exchange of Hong Kong (SEHK) and for complying with the rules and requirements of SEHK and the Securities and Futures Commission (SFC) in effect from time to time. Without limiting the foregoing, this includes:-

因應香港投資者識別碼制度及場外證券交易匯報制度的實施，閣下明白並同意，我們 [永豐金證券 (亞洲) 有限公司] 為了向閣下提供與在香港聯合交易所 (聯交所) 上市或買賣的證券相關的服務，以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會 (證監會) 的規則和規定，我們可收集、儲存、處理、使用、披露及轉移與閣下有關的個人資料 (包括閣下的客戶識別信息及券商客戶編碼)。在不限制以上的內容的前提下，當中包括：

(a) disclosing and transferring your personal data (including CID and BCAN(s)) to SEHK and/or the SFC in accordance with the rules and requirements of SEHK and the SFC in effect from time to time;
根據不時生效的聯交所及證監會規則和規定，向聯交所及/ 或證監會披露及轉移閣下的個人資料（包括客戶識別信息及券商客戶編碼）；

(b) allowing SEHK to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK; and (ii) disclose and transfer such information to the relevant regulators and law enforcement agencies in Hong Kong (including, but not limited to, the SFC) so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets; and (iii) use such information for conducting analysis for the purposes of market oversight; and
允許聯交所：(i) 收集、儲存、處理及使用閣下的個人資料 (包括客戶識別信息及券商客戶編碼)，以便監察和監管市場及執行《聯交所規則》；(ii) 向香港相關監管機構和執法機構 (包括但不限於證監會) 披露及轉移有關資料，以便他們就香港金融市場履行其法定職能；及(iii) 為監察市場目的而使用有關資料進行分析；及

(c) allowing the SFC to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for the performance of its statutory functions including monitoring, surveillance and enforcement functions with respect to the Hong Kong financial markets; and (ii) disclose and transfer such information to relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements.
允許證監會：(i) 收集、儲存、處理及使用閣下的個人資料 (包括客戶識別信息及券商客戶編碼)，以便其履行法定職能，包括對香港金融市場的監管、監察及執法職能；及 (ii) 根據適用法例或監管規定向香港相關監管機構和執法機構披露及轉移有關資料。

You also agree that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.
閣下亦同意，即使閣下其後宣稱撤回同意，我們在閣下宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移閣下的個人資料以作上述用途。

Failure to provide us with your personal data or consent as described above may mean that we will not, or will no longer be able to, as the case may be, carry out your trading instructions or provide you with securities related services (other than to sell, transfer out or withdraw your existing holdings of securities, if any).
閣下如未能向我們提供個人資料或上述同意，可能意味著我們不會或不能夠再 (視情況而定) 執行閣下的交易指示或向閣下提供證券相關服務，惟出售、轉出或提取閣下現有的證券持倉 (如有) 除外。

Joint Account 聯名客戶

- For joint account, please complete and attach " Account Opening Form - Joint Account (Continuation)".
  如為聯名客戶，請填妥 「開戶表格 - 聯名帳戶 (附頁)」。
- Correspondence address of the Primary Client will be the main correspondence address of the account
  帳戶通訊地址以主要客戶通訊地址為主。

Standing Authority 常設授權

Applicable to margin securities account type only 只適用於保證金證券帳戶類別

This letter of standing authority covers all securities purchased or held by you on my / our behalf.

本常設授權函件涵蓋一切由 貴公司代表本人 / 吾等購入或持有之證券。

This letter authorizes you to :-

1. Apply any of my / our securities or securities collateral to securities borrowing and lending agreement(s);
2. Deposit any of my / our securities collateral with authorized financial institution(s) as collateral for financial accommodation provided to you; and/or
3. Deposit any of my / our securities collateral with a recognized clearing house or any other intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of your settlement obligations and liabilities, without notice to me / us, pursuant to Section 7 of the Securities and Futures (Client Securities) Rules.

本函件授權 貴公司：

1. 運用任何本人 / 吾等的證券或證券抵押品於證券借貸協議；
2. 任何本人 / 吾等的證券抵押品存放於認可財務機構，作為提供予 貴公司的財務通融的抵押品；及 / 或
3. 將任何本人 / 吾等的證券抵押品存放於認可結算所或另一持牌或註冊進行證券交易的中介人，作為解除和清償 貴公司在交收上的責任及債務的抵押品，且根據《證券及期貨(客戶證券)規則》第7 條的規定，無須通知本人 / 吾等。

I / We understand that the recognized clearing house or the intermediary licensed or registered for dealing in securities will have a first fixed charge over my/our securities collateral to the extent of your settlement obligations and liabilities.

本人 / 吾等明白認可結算所交收上的責任及債務的限度之內而對本人 / 吾等的證券抵押品設定第一固定押記。

This standing authority does not cover any consideration I / we must pay or be paid for your borrowing, lending, or depositing any of my / our securities. Any consideration must be set in a separate agreement between us.

本常設授權並不涵蓋就 貴公司借入、貸出或存放本人 / 吾等任何證券而須支付或收取的任何代價。任何代價均須由本人 / 吾等與貴公司另行簽約訂明。

You are accountable to me / us for the return of any of my / our securities borrowed, lent, or deposited under this authority.

貴公司須向本人 / 吾等就交還有關根據本常設授權而作出借入、貸出或存放之證券負責。

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

本人 / 吾等明白本人 / 吾等的證券可能受制於第三者之權利， 貴公司必須於抵償該等權利後，方將本人 / 吾等的證券交還本人 / 吾等。

This authority is **valid for a period of up to 12 months** from the date hereof and may be renewed or deemed to be renewed for subsequent periods of up to 12 months each either with my/our written consent or if I / we am / are given a written notice by you at least 14 days prior to the expiry of such authority and do not object to the renewal of such authority before its expiry. This authority may be revoked by me / us at any time on giving at least 30 days prior written notice to you.

本常設授權以本函件日期起計**十二個月內有效**，並可於下列情況予以續期，每次續期可有效十二個月：本人 / 吾等以書面同意續期；或 貴公司於授權有效期屆滿前不少於十四日向本人 / 吾等屆滿前未有提出反對續期。本人 / 吾等 有權隨時以三十天書面通知 貴公司撤銷此常設授權書。

Client's Acknowledgement, Undertaking and Signature 客戶確認、承諾及簽署

Acknowledgement, Declaration & Signatures 承諾，聲明及簽署

The undersigned hereby acknowledges, declares and confirms that: 以下簽署人謹此承諾、聲明並確認：

- The information set out in this Account Opening Form is true, complete and correct and SinoPac Securities (Asia) Limited is entitled to rely fully on such information for all purposes relating to the Account(s) and the transactions contemplated by the SinoPac Securities (Asia) Limited Terms and Conditions ("Terms and Conditions"). The undersigned undertakes to notify SinoPac Securities (Asia) Limited promptly in case of any change of information;

  本開戶表格內所載資料屬真實、完整及為正確無誤，而永豐金證券(亞洲)有限公司有權全面依賴此等資料就有關帳戶及按照永豐金證券(亞洲)有限公司條款及條件(「條款及條件」) 預計進行的交易作任何用途。倘資料有任何更改，以下簽署人承諾盡快知會永豐金證券(亞洲) 有限公司；

- The undersigned has received, read and understood the Terms and Conditions (including the schedules, appendices and annexes thereto, if any), and the undersigned accepts and agrees to be bound by them;

  以下簽署人已收到、閱讀及明白條款及條件 (包括其附表、附錄及附件 (如有))，且接納並同意受該等條款約束；

- The risk disclosure statements and disclaimers (as contained in the Terms and Conditions) were provided to the undersigned in a language of the undersigned's choice (English or Chinese);

  風險披露聲明及免責聲明(載於條款及條件內)按以下簽署人選擇的語言 (英文或中文) 的版本提供予以下簽署人；

- The undersigned was invited to read the risk disclosure statements, and to ask questions and take independent advice if the undersigned so wishes;

  以下簽署人已獲邀請閱讀風險披露聲明，並按其意願提出問題及諮詢獨立意見；

- The undersigned understands and agrees to the contents of the standing authority;

  以下簽署人已明白及同意常設授權中的內容。；

- The undersigned undertakes to promptly notify SinoPac Securities (Asia) Limited if the undersigned becomes employed by any licensed or registered person with Securities and Futures Commission Hong Kong;

  倘以下簽署人受聘於香港證券及期貨事務監察委員會發牌或註冊的任何人士，則以下簽署人承諾盡快通知永豐金證券 (亞洲) 有限公司；

- The undersigned is over 18 years of age;

  以下簽署人已年滿十八歲；

- The undersigned is and will be acting as principal, unless where particulars of the ultimate beneficial owner(s) are provided in this Account Opening Form in which case the undersigned confirms that the person(s) whose particulars are so provided is/are the ultimate beneficial owner(s) of the Account(s);

  除非於本開戶表格提供最終實益擁有人的詳情，否則以下簽署人乃以及將以當事人之身份行事，而倘於本開戶表格已提供最終實益擁有人的詳情，則以下簽署人確認所提供詳情的人士(一名或多名)為帳戶(一個或多個)的最終實益擁有人(一名或多名)；

- The undersigned has the authority and power and legal capacity to sign this Account Opening Form, to maintain and operate the Account(s), to effect the transactions contemplated by the Terms and Conditions, and to perform all the undersigned's obligations under this Account Opening Form and the Terms and Conditions, and this Account Opening Form and the Terms and Conditions constitute valid and legally binding obligations on the undersigned enforceable in accordance with their respective terms; and

  以下簽署人獲授權，並有權力和法定身份去簽署本開戶表格、保留及操作帳戶(一個或多個)、進行條款及條件預計進行的交易，及根據本開戶表格以及其條款及條件履行以下簽署人的所有義務，而本開戶表格以及其條款及條件按照其各自的條款，構成對以下簽署人可強制執行的有效和具有法律約束力的義務；及

- The undersigned has read and understood the privacy policy of SinoPac Securities (Asia) Limited set out in the "Notice to Customers Relating to the Personal Data (Privacy) Ordinance", "GDPR Privacy Statements" (where applicable) "Notice to Customers Relating to the Use of Personal Data Relating to Tax Compliance" contained in the Terms and Conditions (collectively "Privacy Policy"). The undersigned agrees that the personal data collected by SinoPac Securities (Asia) Limited from time to time may be used and disclosed for such purpose and to such persons (whether in or outside Hong Kong) as set out in the Privacy Policy. The undersigned accepts SinoPac Securities (Asia) Limited may use the undersigned's personal data for direct marketing. (Please check the box below if the undersigned opposes the use of the personal data for direct marketing.)

  以下簽署人已閱讀及明白永豐金證券(亞洲)有限公司於條款及條件中「給予客戶關於《個人資料(私隱)條例》的客戶通知」、「歐盟個人資料保護規則 (GDPR) 私隱政策聲明」(如適用) 及「關於就稅務合規使用個人資料的客戶通知」所載之私隱政策(合稱「私隱政策」)。以下簽署人同意由永豐金證券(亞洲)有限公司不時蒐集的個人資料可按照私隱政策用於其所述用途及向其所述人士(不論在香港境內或境外)披露。以下簽署人接受永豐金證券(亞洲)有限公司可使用其個人資料作直接促銷。(如以下簽署人反對個人資料被用作直接促銷，請於以下空格填上“✓”號。)

☐ The undersigned objects to the proposed use of his/her personal data in direct marketing.
以下簽署人反對使用其個人資料作直接促銷用途。

Client's Acknowledgement, Undertaking and Signature 客戶確認、承諾及簽署

Acknowledged and undertaken by the Client 客戶確認及承諾:

Specimen Signature 簽署式樣	Client Name 客戶名稱	Date (dd/mm/yyyy) 日期 (日/月/年)

For Joint Account Only 只適用於聯名帳戶

Signature 簽署	Client Name 客戶名稱	Date (dd/mm/yyyy) 日期 (日/月/年)

All written instructions of the account shall be 所有帳戶書面指示須由:

☐ Any ___ of the joint account holder(s) is / are authorized to give all written instructions of the account.

任何 ___ 位聯名帳戶持有人士獲授權發出有關本帳戶的所有書面指示。

☐ Others 其他 (Please specify 請註明):

IF THIS ACCOUNT OPENING FORM IS NOT EXECUTED BY THE CLIENT(S) IN FRONT OF SinoPac Securities (Asia) Limited's EMPLOYEE OR SUBMITTED WITH AN APPROPRIATE CHEQUE△, BELOW SHOULD BE SIGNED BY A CERTIFYING PERSON◇ [if applicable].

若客戶 / 聯名客戶並非在永豐金證券 (亞洲) 有限公司的僱員面前簽立此開戶表格或連同適當支票△ 一併遞交，則以下應由一位驗證人士◇簽署 [如適用]

The undersigned person hereby certifies the signing of this Account Opening Form before me by the above Client / Joint Clients and reviewed the originals of related identity documents of such Client(s).

下述簽署人士謹此驗證上述客戶 / 聯名客戶於本人面前簽立此開戶表格及本人已核對其有關的身分證明文件正本。

Signed and Certified by 簽署及驗證

Signature 簽署	Name 姓名	Profession / Title 所屬專業 / 職銜
Date (dd/mm/yyyy) 日期 (日/月/年)	Contact details 聯絡資料	

△ Crossed cheque(s) bearing your name shown in your identity document and drawn on your account with a license bank in Hong Kong with your same signature(s)as shown on this Account Opening Form in favour of SinoPac Securities (Asia) Limited for not less than HKD10,000 for each cheque (or such other amount as may be advised by SinoPac Securities (Asia) Limited). Your approved new account(s) will not be activated until the cheque(s) is/are cleared.

客戶在香港的持牌銀行開立的帳戶並由客戶所簽發 (該簽名須與此開戶表格上的客戶簽名相符) 並載有客戶在其身分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永豐金證券 (亞洲) 有限公司及每張支票數額不得少於10,000港元) (或永豐金證券 (亞洲) 有限公司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。

◇ A person licensed by or registered with the Securities and Futures Commission of Hong Kong or such person's affiliate, a Justice of the Peace, or a professional person such as certified public accountant, lawyer, company secretary or notary public.

香港證監會持牌人或註冊人、該持牌人或註冊人的聯繫人士、太平紳士或專業人士例如執業會計師、公司秘書或公證人。

FOR OFFICE USE ONLY 只供本公司使用

I, the undersigned licensed staff member of SinoPac Securities (Asia) Limited, hereby declare and confirm that I have provided the Risk Disclosure Statements as contained in the Terms and Conditions in a language of the Client's choice (English or Chinese) and invited the Client(s) to read the Risk Disclosure Statements, ask questions and take independent advice if the Client(s) wish(es).

本人，為永豐金證券(亞洲)有限公司持牌職員，謹此聲明及確認本人已按照客戶所選的語言 (中文或英文) 提供載列於條款及條件內的風險披露聲明，及邀請客戶閱讀該等風險披露聲明、提出問題及徵求獨立意見 (如客戶有此意願)。

The above Client / Joint Client signature(s) was / were made in my presence.
以上客戶 / 聯名客戶簽署乃於本人面前簽立。

(# This sentence must be deleted if not applicable. 如不適用者，必須刪去此句子。)

Signature of Staff 職員簽署	Name and CE No. (in block letters) 姓名及中央編號 (以英文大楷或中文正楷填寫)	Date (dd/mm/yyyy) 日期

How long have you known the Client(s) or who introduced to you the Client(s)?
你認識這客戶 / 聯名客戶已多久或誰人介紹這客戶 / 聯名客戶?

Risk disclosed by 風險披露途徑:

☐ Face-to-face 面對面 ☐ Email 電郵 ☐ Phone 電話 ☐ Others 其他: _____

Date and Time 日期及時間 (錄音內線 ext): _____

APPROVED AND ACCEPTED BY SinoPac Securities (Asia) Limited 永豐金證券 (亞洲) 有限公司批核及接納

Signature of Approving Officer 批核主任名稱	Name of Approving Officer 批核主任簽署	Approval Date (dd/mm/yyyy) 批核日期 (日/月/年)

Account Name 客戶姓名: Account No. 客戶帳號:

Commission Rate 佣金: Securities Trading Account (證券交易帳戶)

Market 市場	Brokerage % 佣金百分率	Minimum Amount 最低金額
Hong Kong – Phone (HKD) 香港 – 電話落盤 (港元)		
Hong Kong – Internet (HKD) 香港 – 網上落盤 (港元)		
HK Stock Options – Phone (HKD) 香港股票期權 – 電話落盤 (港元)		
HK Stock Options – Internet (HKD) 香港股票期權 – 網上落盤 (港元)		
Taiwan – Phone (TWD) 台灣 – 電話落盤 (台幣)		
Taiwan – Internet (TWD) 台灣 – 網上落盤 (台幣)		
MAMK – Phone (RMB) 滬港通 電話落盤 人民幣		
MAMK – Internet (RMB) 滬港通 網上落盤 人民幣		
SZMK – Phone (RMB) 深港通 電話落盤 人民幣		
SZMK – Internet (RMB) 深港通 網上落盤 人民幣		
US stock – Phone (USD) 美股 – 電話落盤 (美元)		
US stock – Internet (USD) 美股 – 網上落盤 (美元)		

Rate of Margin Interest 融資利率: _____

Others 其他: _____

Commission Rate 佣金: Futures Trading Account (期貨交易帳戶)

Types of Futures Contract 期貨合約種類	Commission (per lot per side) 佣金 (每張合約單邊計)
HSI (Day Trade) 恒生指數期貨 (即日盤)	
HIS (O/N Trade) 恒生指數期貨 (過夜盤)	
MHI (Day Trade) 小型恒生指數期貨 (即日盤)	
MHI (O/N Trade) 小型恒生指數期貨 (過夜盤)	
HHI (Day Trade) H 股指數期貨 (即日盤)	
HHI (O/N Trade) H 股指數期貨 (過夜盤)	
MCH (Day Trade) 小型H股指數期貨 (即日盤)	
MCH (O/N Trade) 小型H股指數期貨 (過夜盤)	
Overseas Index Futures (Day Trade) 海外指數期貨 (即日盤)	
Overseas Index Futures (O/N Trade) 海外指數期貨 (過夜盤)	
Overseas Non-index Futures (Day Trade) 海外非指數期貨 (即日盤)	
Overseas Non-index Futures (O/N Trade) 海外非指數期貨 (過夜盤)	
Others (Day Trade) 其他 (即日盤) _____	
Others (O/N Trade 其他 (過夜盤) _____	

Expiry date commission is equivalent to over-night trade commission 結算日自動平倉佣金為過盤佣金

Account Name 客戶姓名:

Account No. 客戶帳號:

I have assessed Client's money laundering risk based on the criteria of high money laundering risk as defined in SOP and my knowledge of Client

我已跟據 SOP 內高洗黑錢風險的定義及我對客戶的認識作洗黑錢風險分類評估:

Money laundering Risk Classification 洗黑錢風險分類: *Low Risk 低風險 / High Risk 高風險

Signature of Account Executive 客戶主任簽署:

Date (dd/mm/yyyy) 日期 (日/月/年):

Name of Account Executive 客戶主任名稱:

A/E Code 客戶主任編號:

Approved by Sales Head / RO 業務部門主管 / 負責人員批准:

Date (dd/mm/yyyy) 日期 (日/月/年):

Approved by Division Head (If applicable):

Date (dd/mm/yyyy) 日期 (日/月/年):

Approved by MD (If applicable):

Date (dd/mm/yyyy) 日期 (日/月/年):

Money Laundering Risk Classification checked by 洗黑錢風險分類核實人:

Date (dd/mm/yyyy) 日期 (日/月/年):

Client Investment Suitability Classification 客戶投資屬性分類: *Grade 第 1 / 2 / 3 / 4 / 5 級

Client Investment Suitability Policy checked by 客戶投資屬性政策核實人:

Date (dd/mm/yyyy) 日期 (日/月/年):

Documentation checked by 文件核實人:

Date (dd/mm/yyyy) 日期 (日/月/年):

Approved by 批准人:

Date (dd/mm/yyyy) 日期 (日/月/年):

Remarks 附註:

(*Delete if not applicable 請將不適用者刪去)

永豐金證券(亞洲)
SinoPac Securities (Asia)
(CE Number with The Securities & Futures Commission: BIZ502)

中央結算參與者編號: B01497
CCASS Participant ID (SI / ISI): B01497

Registered Office: 7th Floor, Lee Garden Three, 1 Sunning Road , Causeway Bay , Hong Kong
註冊辦事處：香港銅鑼灣新寧道一號利園三期七樓
Tel 電話: (852) 2586 8288 Fax 傳真: (852) 2586 8300

Account Opening Form Supplemental Documents (Securities (Cash / Margin) / Futures / Stock Options)

開戶表格補充文件 (證券 (現金 / 保證金) / 期貨 / 股票期權)

Client Name 客戶姓名：_____

Account No 客戶帳號：_____

SinoPac Securities (Asia) Ltd is a licensed corporation for Type 1,2,4,5 and 9 regulated activities under the Securities and Futures Ordinance (CE Number:BIZ502)

永豐金證券(亞洲)有限公司乃一家根據證券及期貨條例獲發牌進行第一、二、四、五及第九類受規管活動的持牌法團(中央編號：BIZ502)

IMPORTANT : In the event of any inconsistency between Chinese and English version of this Account Opening Form, the English version of this Account Opening Form shall prevail

重要提示：倘本開戶表格中文版與英文版有任何歧異，以英文版為準

Version 011 Feb 2022
(SINO/CC/F001)

CONTENT 目錄

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美國海外帳戶稅收遵循法案 W-8BEN 表格

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第三者操作授權書

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客戶投資屬性問卷

Form **W-8BEN**

(Rev. October 2021)

Department of the Treasury
Internal Revenue Service

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:	**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 United States (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 (that is, 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)

6a Foreign tax identifying number (see instructions)

6b Check if FTIN not legally required ☐

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 or proceeds 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;
- This form relates to:
  (a) income not effectively connected with the conduct of a trade or business in the United States;
  (b) income effectively connected with the conduct of a trade or business in the United States but is not subject to tax under an applicable income tax treaty;
  (c) the partner's share of a partnership's effectively connected taxable income; or
  (d) the partner's amount realized from the transfer of a partnership interest subject to withholding under section 1446(f);
- 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 ▶ ☐ I certify that I have the capacity to sign for the person identified on line 1 of this form.

Signature of beneficial owner (or individual authorized to sign for beneficial owner) | Date (MM-DD-YYYY)

Print name of signer

Third Party Authorization Letter 第三者操作授權書

To 致 : SinoPac Securities (Asia) Limited 永豐金證券(亞洲)有限公司

Re 有關 : Client Account No. 客戶帳戶號碼 _____ (the "**Account 帳戶**")

I / We as the undersigned client(s) hereby authorize the following person (the "Authorized Person") as described in the below table to operate on my / our behalf the above account(s) maintained with you in the name of me / us in the ways specified in this Authorization Letter:
本人 / 吾等為下述簽署的客戶，在此授權列於下表所列的人士(「獲授權人士」)代表本人 / 吾等按本授權書所列方式操作上述以本人 / 吾等名義於 貴公司開立之帳戶：

English name 英文姓名		Chinese name 中文姓名
ID /Passport no. 身份證 / 護照號碼		SinoPac account no. (if any) 永豐金證券客戶帳號 (如有)
Residential address 住址		
Mobile phone no. 手提電話號碼		Other contact phone no. 其他聯絡電話號碼
Occupation 職業	Name of employer 僱主名稱	Holder of Hong Kong SFC Licence 香港證監會持牌人士 ☐ Yes 是 ☐ No 否
Relationship with account holder 與帳戶持有人關係		
Reason for authorization 授權原因		
Authorized Person specimen signature 獲授權人士簽署式樣		

• Please provide certified true copy of ID / passport 請提供身份證 / 護照經核證副本
• Please provide original or certified true copy of address proof 請提供住址證明正本或經核證副本

Declaration 聲明

I / We and the Authorized Person represent and warrant that the above information is true, complete and accurate, and undertakes that supporting information and documents will be provided as soon as practicable upon request.
本人 / 吾等及獲授權人士聲明及保證以上資料為真實、完整及準確，並承諾當有需要時盡快提供佐證資料和文件。

Scope of Authorization 授權範圍

1. Place trading instructions;
   下達交易指示；
2. Provide funds / stock deposit notifications; and
   給予資金 / 股票存入通知；及
3. Provide currency conversion / funds / stock withdrawal instructions to the account holder's designated bank account / securities account.
   給予貨幣兑換/資金/股票提取指令，以存入帳戶持有人的指定銀行 / 證券帳戶。

I / We agree that you may, at your absolute discretion, rely upon and act in accordance with any of the instructions given or purported to be given by the Authorized Person exercising any of the power granted to the Authorized Person under this Authorization Letter. You shall have no obligation to verify the instructions given by the Authorized Person with me / us. I / We also agree that all such instructions shall be deemed to be my / our instructions and shall be binding on me / us.

I / We undertake that I / we shall do all things and execute all necessary documents as may be required to ratify, confirm, perfect, validate or otherwise give full legal effect to all such actions taken and all such contracts, agreements and other documents executed on my / our behalf by the Authorized Person.

I / We shall be responsible for all consequences resulting from the instructions given by the Authorized Person and I / we shall indemnify you against all loss, damages, claims, liabilities, costs, expenses and otherwise that you may suffer or incur arising from or in connection with your acting, or refusing to act, on the instructions given by the Authorized Person.

I / We confirm that if the Authorized Person is / becomes a licensed or registered person of any licensed corporation or registered institution as defined in the Securities and Futures Ordinance (Cap. 571), I / we will provide or procure the Authorized Person to provide his / her principal's consent in writing to you in relation to his / her authorization under this Authorization Letter.

I / We confirm that the Authorized Person is not an employee or a representative of SinoPac Securities (Asia) Limited.

This Authorization Letter is revocable by at least one month's prior notice in writing duly signed by me / us on you provided that such revocation will not release me / us from any liability under the terms of this Authorization Letter in respect of any act performed by you pursuant to this Authorization Letter before actual receipt of the revocation notice or the expiry of such notice period.

I / We agree that this Authorization Letter shall be effective on a continuous basis unless and until revoked in accordance with the above provision.

I / We confirm that I / we have read and fully understand the terms of this Authorization Letter which have been explained to me / us in a language I / we understand. I / We accept to be bound by this Authorization Letter.

本人 / 吾等同意　貴公司有絕對酌情權可依賴及執行獲授權人士根據本授權書賦予的任何權力所發出或看似由獲授權人士發出的任何指示。　貴公司沒有義務與本人 / 吾等確認獲授權人士所發出的指示。本人 / 吾等亦同意所有該等指示均須視作等同本人 / 吾等的指示，並對本人 / 吾等具有約束力。

本人 / 吾等承諾會作出一切事情及簽立一切必要的文件，以追認、確認、完備、確證獲授權人士代表本人 / 吾等所採取的一切該等行動或簽立的一切該等合約、協議及其他文件，及使上述行動及文件有效，或給予上述行動及文件十足的法律效力。

本人 / 吾等同意對獲授權人士的指示導致的所有後果負全責，及彌償　貴公司因執行或拒絕執行獲授權人士指示而引致或有關而令　貴公司可能蒙受或承擔的所有損失、損害、索償、義務、費用、開支及其他。

本人 / 吾等確認如獲授權人士是或成為證券及期貨條例 (香港法例第571章) 所定義之持牌法團或註冊機構的持牌人或註冊人，本人 / 吾等將提供或促使獲授權人士提供其主事人之書面同意有關本授權書下獲授權人士的授權予　貴公司。

本人 / 吾等確認獲授權人士並非永豐金證券 (亞洲) 有限公司的僱員或營業代表。

本授權書可憑由本人 / 吾等妥為簽署以一個月前的書面通知予以撤銷。惟撤銷授權不能免除本人 / 吾等在　貴公司接獲撤銷通知或通知期到期前，　貴公司根據本授權書而採取的任何行動所應負的任何責任。

本人 / 吾等同意本授權書將持續有效，除非及直至根據上述條文撤銷授權。

本人 / 吾等確認已細閱並完全明白本授權書的條款，而本授權書的內容已以本人 / 吾等所理解的語言向本人 / 吾等解釋清楚。本人 / 吾等接納並同意受本授權書約束。

Date日期: (dd日 / mm月 / yyyy年)

Name of client
客戶姓名 _____

Signature
簽署 _____

ALL joint account holders (if applicable) are required to sign　所有聯名帳戶持有人 (如適用) 均須簽署

Account Executive

Signature
簽署 _____

Name
姓名 _____

Date 日期: (dd日 / mm月 / yyyy年)

Responsible Officer

Signature
簽署 _____

Name
姓名 _____

Date 日期: (dd日 / mm月 / yyyy年)

Confirmation Regarding Investor Identification Regime for Northbound Trading 北向交易投資者識別碼制度確認書

For Client Wishing to Use Shanghai-HK and Shenzhen-HK Stock Connect Services
供有意使用滬港及深港股票市場交易互聯互通機制服務的客戶填寫

To 致: SinoPac Securities (Asia) Limited 永豐金證券(亞洲)有限公司

I / We have read, understood and agreed with the following notice to me / us from you regarding Investor Identification Regime for Northbound Trading:
本人 / 吾等已閱讀，明白及同意以下由 貴公司給予本人 / 吾等之北向交易投資者識別碼制度通知：

Dear Valued Client,
尊敬的客戶：

The Securities and Futures Commission of Hong Kong has introduced an investor identification regime for Northbound trading under Mainland-Hong Kong Stock Connect (“Investor Identification Regime”), which has already been implemented in the third quarter of 2018.
香港證券及期貨事務監察委員會已提出內地與香港股票市場交易互聯互通機制下的北向交易投資者識別碼制度（「投資者識別碼制度」），並已在2018年第三季實施。

We, as a China Connect Exchange Participant, are required by the Stock Exchange of Hong Kong Limited (the “Exchange” or “HKEX”) under the Investor Identification Regime to:
本公司作為中華通交易所參與者於投資者識別碼制度下將按香港聯合交易所有限公司（「香港交易所」）要求：

(i) tag each of your orders submitted to the China Stock Connect System with “a Broker-to-Client Assigned Number ("BCAN") that is unique to you or the BCAN that is assigned to your joint account with us, as appropriate; and
須在遞交客戶每個北向買賣盤予買賣盤訂單傳遞系統時附加券商客戶編碼（「券商客戶編碼」），而該等券商客戶編碼應是唯一編配予客戶／ 客戶之每一聯名證券賬戶（如適用）；及

(ii) provide to the Exchange your assigned BCAN and such identification information (“Client Identification Data” or “CID”) relating to you as the Exchange may request from time to time under the Rules of the Exchange.
香港交易所可不時根據《交易所規則》要求本公司呈交每位客戶的券商客戶編碼及相對應的個人身份信息（「客戶識別信息」）。

Please note that:
客戶請注意：

A. Applicable to Individual and Joint Account
個人及聯名帳戶適用

Under the Investor Identification Regime, in order to comply with the requirements of the Exchange and its rules as in force from time to time, we may use the personal data relating to or provided by you when providing our Shanghai-HK and Shenzhen-HK Stock Connect Services to you, including:
在投資者識別碼制度下，為遵守不時生效的香港交易所及其規則的要求，本公司在向客戶提供滬港及深港股票市場交易互聯互通機制服務時，可能使用與客戶有關或由客戶提供的個人資料，包括：

(a) to disclose and transfer your BCAN and CID to HKEX and the relevant subsidiaries of HKEX (“HKEX Subsidiaries”) from time to time, including by indicating your BCAN when inputting a China Connect Order into the China Stock Connect System, which will be further routed to the relevant China Connect Market Operator on a real-time basis;
不時向香港交易所及香港交易所子公司披露和轉移客戶的券商客戶編碼及客戶識別信息，包括在輸入北向買賣盤予買賣盤訂單傳遞系統時註明券商客戶編碼，並進一步實時發送到相關內地交易所；

(b) to allow each of HKEX and the relevant HKEX Subsidiaries to: (i) collect, use and store your BCAN, CID and any consolidated, validated and mapped BCANs and CID information provided by the relevant China Connect Clearing House (in the case of storage, by any of them or via the HKEX) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange; (ii) transfer such information to the relevant China Connect Market Operator (directly or through the relevant China Connect Clearing House) from time to time for the purposes set out in (c) and (d) below; and (iii) disclose such information to the relevant regulators and law enforcement agencies in Hong Kong so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets;
同意香港交易所及香港交易所子公司：(i) 收集、使用及儲存客戶的券商客戶編碼、客戶識別信息及其他由中國結算綜合、核實及與其本身的投資者身份數據庫進行配對後的券商客戶編碼與客戶識別信息（關於儲存，可經由相關中國結算或香港交易所），並將此類信息與其本身的投資者身份數據庫進行配對，用作市場監控和監察目的及執行《交易所規則》；(ii) 不時向內地交易所（直接或透過中國結算）轉移此等資料用作以下(c)及(d)的目的；(iii) 向在香港的相關監管機構及執法機關披露此等資料，以助他們履行有關香港證券市場的監控、監察及執法職能；

(c) to allow the relevant China Connect Clearing House to: (i) collect, use and store your BCAN and CID to facilitate the consolidation and validation of BCANs and CID and the mapping of BCANs and CID with its investor identification database, and provide such consolidated, validated and mapped BCANs and CID information to the relevant China Connect Market Operator, HKEX and the relevant HKEX Subsidiary; (ii) use your BCAN and CID for the performance of its regulatory functions of securities account management; and (iii) disclose such information to the Mainland regulatory authorities and law enforcement agencies having jurisdiction over it so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets; and
同意中國結算：(i) 收集、使用及儲存客戶的券商客戶編碼及客戶識別信息，以便綜合及核實券商客戶編碼與客戶識別信息，並將此類信息與其本身的投資者身份數據庫進行配對，以將此類經綜合、核實及配對後的券商客戶編碼與客戶識別信息提供給內地交易所、香港交易所和香港交易所子公司；(ii) 使用客戶的券商客戶編碼與客戶識別信息來協助其履行證券賬戶管理的監管職能；及(iii) 向管轄中國結算的內地監管機構及執法機關披露此等資料，以助他們履行有關中國證券市場的監控、監察及執法職能；

(d) to allow the relevant China Connect Market Operator to: (i) collect, use and store your BCAN and CID to facilitate their surveillance and monitoring of securities trading on the relevant China Connect Market through the use of the China Connect Service and enforcement of the rules of the relevant China Connect Market Operator; and (ii) disclose such information to the Mainland regulatory authorities and law enforcement agencies so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets.
同意內地交易所：(i) 收集、使用及儲存客戶的券商客戶編碼及客戶識別信息，以助其就滬股通及深股通下在內地交易所進行的證券交易進行監管與監察及執行內地交易所規則；及(ii) 向內地的監管機構及執法機關披露此等資料，以助他們履行有關內地證券市場的監管、監察及執法職能。

We will use and transfer your personal data in accordance with our Notice to Customers Relating to the Personal Data (Privacy) Ordinance as contained in our Terms & Conditions, terms of which have been agreed by you upon account opening. By instructing us in respect of any transaction relating to China Connect Securities, you acknowledge and agree that we may use your personal data for the purposes of complying with the requirements of HKEX and its rules as in force from time to time in connection with Mainland-Hong Kong Stock Connect. You also acknowledge that despite any subsequent purported withdrawal of consent by customer, the personal data may continue to be stored, used, disclosed, transferred and otherwise processed for the above purposes, whether before or after such purported withdrawal of consent.

本公司將按客戶於開戶時已同意之《給予客戶關於〈個人資料（私隱）條例〉的客戶通知》（載於本公司的《條款及條件》內）使用及傳輸客戶的個人資料。如客戶就任何有關滬港及深港股票市場交易互聯互通證券的交易向本公司發出指示，即表示客戶確認並同意，本公司可能會將客戶的個人資料用於遵守香港交易所的要求及其規則中關於內地與香港股票市場交易互聯互通機制的不時有效的規定。客戶也了解，儘管客戶隨後可表示撤回同意，但客戶的個人資料可繼續被儲存、使用、披露、轉讓及以其他方式處理，以用於上述目的，無論是在此類聲稱的撤回同意之前還是之後。

B. Applicable to Corporate Account
機構帳戶適用

For corporate client, the CID provided to the Exchange shall include the following items:
就機構客戶而言，向香港交易所提供的客戶識別信息將包含以下資訊：

(i) The entity's name as shown on the certificate of incorporation or Legal Entity Identifier ("LEI");
於成立證書或全球法人機構識別編碼（「LEI」）上所載之機構名稱；

(ii) Place of incorporation;
成立之地點；及

(iii) Certificate number or LEI.
證書編號或 LEI。

Please note that for each client which is an asset management company managing multiple funds or discretionary accounts through us, a single BCAN will be by default assigned by us at asset management company level. Should you wish to have BCAN assigned at a fund / underlying client level, you will need to provide the CID to us on each fund and also trade at fund level.
請注意，每個客戶如屬管理若干基金或全權委託帳戶的資產管理公司，本公司將預設為其於資產管理公司層面附加一個券商客戶編碼。如客戶希望於每個基金 / 底層客戶層面附加券商客戶編碼，客戶須就每一個基金向本公司提供客戶識別信息，而客戶亦須以基金層面進行交易。

Regards,
SinoPac Securities (Asia) Limited
此致
永豐金證券（亞洲）有限公司

Signature
客戶簽署：

Name of Client(s)
客戶姓名：

Date 日期: (dd日 / mm月 / yyyy年)

Account No.
帳戶號碼：

If there is any discrepancy between the English and Chinese versions, the English version shall prevail.
如中、英文版本有不同詮釋，概以英文版本為準。

Declaration for Taiwan Securities and Futures Trading 交易台灣證券及期貨客戶聲明書

To: SinoPac Securities (Asia) Limited ("the Company")

致: 永豐金證券(亞洲)有限公司 （「貴公司」）

Re : Account No.
有關： 帳戶號碼：

Client Name(s):
客戶姓名 / 名稱：

I / We am / are the holder(s) of the captioned account and have selected to invest in Taiwan securities and / or futures through the captioned account. In this connection, I / We hereby represent and warrant that:
本人 / 吾等為前述帳戶的持有人並選擇透過前述帳戶投資台灣證券及 / 或期貨。為此，現謹此聲明並保證：

A. The funds to be transmitted to Taiwan for investing in Taiwan securities and / or futures by me / us or the ultimate beneficial owner(s) of the captioned account is / are not originated from Taiwan or Mainland China.
本人 / 吾等或前述帳戶的最終受益人擬匯入台灣投資有價證券及 / 或期貨之資金非來自台灣或中國大陸。

B. I / We shall not use unjust measures to affect the fairness or order of the Taiwan financial market and also will abide by the regulations stipulated by all relevant regulatory authorities.
本人 / 吾等絕不以不當手段干擾台灣金融市場運作，亦會遵守所有相關監管機構的規定。

C. (For individual client / clients) **I / We do not hold household registration in Taiwan.**
(適用於個人客戶) **本人 / 吾等沒有持有台灣的戶籍。**
(For institutional client) **Our place of incorporation is not Taiwan.**
(適用於機構客戶) **吾等之成立地並非台灣。**

D. I / We understand that, in this Declaration, **Mainland China Investor** means:
本人 / 吾等理解，在此份聲明書中，**中國大陸投資人**指：
   (i) An individual who has household registration in Mainland China (hereinafter "Mainland Individual");
   在中國大陸設有戶籍的個人(以下簡稱"大陸籍個人");
   (ii) A juristic person, organization or other institution incorporated in Mainland China (hereinafter "Mainland Institution");
   在中國大陸成立的法人、團體或其他機構(以下簡稱"大陸機構");
   (iii) A company in which one or more Mainland Individual(s) and / or Mainland Institution(s) invest in Hong Kong or any other Third Area (for the purpose of this Declaration, a "Third Area" means any area other than Taiwan and Mainland China), and:
   一個或一個以上大陸籍個人及 / 或大陸機構在香港或任何其他第三地區(為本聲明書的目的，"第三地區"指台灣和中國大陸以外的任何地區)投資的公司，且:
      (1) One or More Mainland Individual(s) and / or Mainland Institution(s), individually or collectively, hold(s), directly or indirectly, more than 30% of the issued shares in the said company / right(s) to more than 30% of the capital of the said company; or
      一個或一個以上大陸籍個人及 / 或大陸機構單獨或共同、直接或間接持有該公司已發行股份總數或出資的30%; 或
      (2) One or More Mainland Individual(s) and / or Mainland Institution(s), individually or collectively, has / have control power over the said company[1].
      一個或一個以上大陸籍個人及 / 或大陸機構單獨或共同對該公司具有控制能力[1]。

1 An individual, juristic person, organization or any other institution will be deemed to have "control power" over a company, if it:
對一公司"具有控制能力"，係指有下列情形之一者：
1. has control over the majority of the voting shares pursuant to an agreement with other investors;
與其他投資人約定下，具超過半數之有表決權股份之能力；
2. has control over the financial, operational, and / or human resources policies pursuant to the law or regulations or contractual commitments;
依法令或契約約定，可操控公司之財務、營運及人事方針；
3. has the right to appoint or discharge a majority of the members on the board or other organization which has control over the company's operations;
有權任免董事會或其他可決定公司營運方針之組織超過半數之主要成員，且公司之控制操控於該董事會或其他可決定公司營運方針之組織；
4. has control over the majority of the votes of the members on the board or other organization which has control over the company's operations; or
有權主導董事會或其他可決定公司營運方針之組織超過半數之投票權，且公司之控制操控於該董事會或其他可決定公司營運方針之組織；或
5. has other control power as defined under International Financial Reporting Standards or Enterprise Accounting Standards.
其他依據國際財務報導準則或企業會計準則公報具有控制情形者。

E. **I am / We are not and will not become a Mainland China Investor as defined in Paragraph D of this Declaration.**
本人 / 吾等不是且不會成為本聲明書第D段定義的中國大陸投資人。

F. For Client Acting as Agent / Nominee / Trustee / Fund Manager 代理人 / 受託人 / 基金經理客戶適用:
I / We will not deal in Taiwan securities and / or futures on behalf of / for the beneficial interest of any Mainland China Investor as defined in Paragraph D of this Declaration, no matter being aware or unaware of the fact that the / one of the principal(s) / trustor(s) / beneficiary(ies) / fund investor(s) / beneficial owner(s) is a Mainland China Investor.
本人 / 吾等不會為任何本聲明書第D段定義的中國大陸投資人代為 / 為其實益權益交易台灣證券及 / 或期貨，不論知道或不知道該名 / 任一委託人 / 受益人 / 基金投資人 / 實質控制人是中國大陸投資人。

G. I / We acknowledge and agree that this Declaration is a part of the Agreement (comprised of the General Terms and Conditions, the Special Terms and Conditions, the Account Opening Form and the Miscellaneous Documents) between the Company and me / us. Nothing contained in this Declaration should be construed as preventing the Company from exercising any right under the other parts of the Agreement. A breach of any representation or warranty in this Declaration constitutes a breach of contract by me / us.
本人 / 吾等知悉且同意此份聲明書是貴公司和本人 / 吾等之間協議(由一般條款、特別條款、開戶表格、雜項文件組成)的一部分。此份聲明書的任何內容皆不應被解釋為反對貴公司行使協議其他部分約定的任何權利。違反此份聲明書的任何聲明或保證即構成本人 / 吾等的違約。

H. I / We agree that, in the event that any representation or warranty given by me / us in this Declaration is or becomes untrue when made or repeated, the Company shall be entitled at its absolute discretion, without further notice or demand to the client, to forthwith:
本人 / 吾等同意，本人 / 吾等在本聲明書所為任何聲明或保證如有現在不真實或將來成為不真實，貴公司將取得絕對酌情權，不須進一步通知或請求本人 / 吾等，即可以立刻:
   (i) suspend or terminate all or any of the Company's services;
   暫停或終止全部或任何貴公司提供的服務;
   (ii) cancel all or any unexecuted instructions of me / us;
   取消全部或任何未執行的本人 / 吾等的指示;
   (iii) liquidate any long position with the Company through the sale of securities on the relevant exchange(s);
   在有關交易所售出證券以出清任何在貴公司持有的長倉;
   (iv) close out and / or sell any futures contract in the captioned account and make or take delivery of the underlying commodities and / or securities in respect of any such contract.
   平倉及 / 或沽售前述帳戶中任何期貨合約，並就任何合約的有關商品及 / 或證券進行交收。

I. I / We agree that, in the event that the Company is requested by any relevant regulator to sell any Taiwan securities or futures contracts purchased or held by the Company for and on my / our behalf, the Company shall be entitled at its absolute discretion, without further notice or demand to me / us, to forthwith:
本人 / 吾等同意，如貴公司遭任何相關監管機構要求出售其代客戶購買或保管之台灣證券或期貨合約時，貴公司將取得絕對酌情權，不須進一步通知或請求本人 / 吾等，即可以立刻:

(i) suspend or terminate all or any of the Company's services;
暫停或終止全部或任何貴公司提供的服務;

(ii) cancel all or any unexecuted instructions of me / us;
取消全部或任何未執行的本人 / 吾等的指示;

(iii) liquidate any long position with the Company through the sale of securities on the relevant exchange(s);
在有關交易所售出證券以出清任何在貴公司持有的長倉;

(iv) close out and / or sell any futures contracts in the captioned account and make or take delivery of the underlying commodities and / or securities in respect of any futures contracts.
平倉及 / 或沽售帳戶中任何期貨合約，並就任何期貨合約的有關商品及 / 或證券進行交收。

J. In the event that the Company exercises its discretion under Paragraph H or I of this Declaration, I / we agree that the Company is not obligated to give prior notice to me / us, to obtain consent from me / us, or to follow any instruction of me / us, and may sell any of such securities, futures contracts or other assets of me / us on a single or collective basis. The Company shall not be liable for any loss howsoever caused arising from the exercise by the Company of its rights and powers conferred by Paragraph H or I of this Declaration, whether in relation to the timing or manner of the exercise of such rights or powers or otherwise, unless due to the gross negligence, fraud or willful default of the Company or any of its officers, employees or affiliates and only to the extent of direct and reasonably foreseeable loss and damage (if any) arising directly and solely therefrom.
當貴公司行使此份聲明書第H或I段賦予的酌情權，本人 / 吾等同意貴公司無義務事先通知本人 / 吾等、取得本人 / 吾等同意、或遵從本人 / 吾等指示，並可以單一或集合基準出售本人 / 吾等的任何該等證券、期貨合約或其他資產。貴公司將毋須就貴公司行使此份聲明書第H或I段賦予的酌情權當中的權利或權力產生的任何損失負責，不論有關行使權利或權力時間或方式或其他原因，除非基於貴公司或其任何主管人員、僱員或聯屬人的嚴重疏忽、欺詐或蓄意失責所致，及只限於直接及合理預見直接及純粹由上述行為造成的損失及賠償（如有）。

K. I / We shall immediately notify the Company should any representation or warranty given by me / us herein becomes untrue after the execution of this Declaration.
本人 / 吾等在此所為任何聲明或保證如果在本聲明書簽署後成為不真實，本人 / 吾等應當立即通知貴公司。

L. The representations, warranties and undertakings contained herein shall be deemed to be repeated immediately before each instruction in relation to my / our investment in Taiwan securities and / or futures is given or executed through the captioned account.
上述的聲明、保證及承諾將會被視為在透過前述帳戶發出或執行的每項與本人 / 吾等之台灣證券及 / 或期貨投資相關的指示前已再次重複作出。

Declaration (to be signed by all co-owners, if applicable)
客戶聲明書 (所有聯名客戶必須簽署，如適用)

Signature(s)
簽署

Name of Client(s)
客戶名稱:

Name of Authorized Signatory(ies) (if applicable)
獲授權簽名人(如適用):

Date日期: (dd / mm / yyyy 日 / 月 / 年)

永豐金證券(亞洲)
SinoPac Securities (Asia)
(CE Number with The Securities & Futures Commission: BIZ502)

中央結算參與者編號: B01497
CCASS Participant ID (SI / ISI): B01497

香港銅鑼灣新寧道一號利園三期七樓
7/F, Lee Garden Three, 1 Sunning Road Causeway Bay, Hong Kong
電話 Tel: (852) 2586 8288 傳真 Fax: (852) 2586 8300

Client Investment Suitability Questionnaire
客戶投資屬性問卷

This assessment is designed to help you consider your attitude toward investment risk. It asks questions which provide some indications of the overall general attitude toward risk for a typical investor displaying your personal investment characteristics. It may not match your actual attitude d investment risk, but it indicates the profile you fit into. Please refer to our Assessment Disclaimer Statement.

本評估表依據合理的假設及預估架構設計，協助您瞭解本身的風險承受度、理財需求與投資屬性，方便您設定理財規劃。相關評估數據僅供參考並不一定實際反映您對投資風險的態度。請參閱評估表責任聲明說明。

Please tick the appropriate boxes. 請於適當空格填上「✓」號。	A	B	C	D	E
1 How many years of investment experience do you have? 請問您的投資累積資歷為何? A. None 完全沒有經驗 B. 1 - 3 years 年 C. 4 - 6 years 年 D. 7 - 9 years 年 E. 10 years or above 年或以上	☐	☐	☐	☐	☐
2 Are you currently holding any of the below investment products? (you may select more than 1 option) 現在您是否持有以下任何投資產品? (可複選，以最高分之答案計分) A. Cash, deposits, certificates of deposit, capital protected products 現金、存款、存款證、保本產品 B. Bond, bond funds 債券、債券基金 C. Foreign currencies, non capital protected currency linked structured products 外幣、非保本之貨幣掛鈎結構投資產品 D. Stocks, open-end funds excluding bond funds and money market funds, non capital protected equity linked structured products, investment- linked insurance plans, commodities 股票、開放式基金 (不包括債券基金或貨幣市場基金) 、非保本之股票掛鈎結構投資產品、具投資成分的保險計劃、商品 E. Options, futures, warrants 期權、期貨、認股權證 (俗稱「窩輪」)	☐	☐	☐	☐	☐
3 Which of the below investment portfolios with particular risk and return do you prefer? 您會偏好以下何種投資報酬及風險之組合? A. No idea 沒有概念 B. Absolute low risk investment portfolios + secure of principal protection 絕對低度風險投資組合 + 接近保本之報酬 C. Low risk investment portfolios + low return 低度風險投資組合 + 低報酬 D. Medium risk investment portfolios + medium return 中度風險投資組合 + 中報酬 E. High risk investment portfolios + high return 高度風險投資組合 + 高報酬	☐	☐	☐	☐	☐

	A	B	C	D	E
4 If you have HK$1 million investment portfolio, what is the extent as to the fall you can bear? 如果您有 100 萬港元之投資組合，您能承受最大本金下跌幅度何？ A. 0% B. -5% C. -10% D. -15% E. -20% or above 或以上	☐	☐	☐	☐	☐
5 If your investment holding exceeds the preset stop-loss or limit-selling price, which of the following action would you adopt? 如果您的投資的績效已超過預設之停損、停利點時，您會採取下 列何種方式？ A. Sell out immediately 立即賣出所有部位 B. Sell half or more 先賣出一半或以上之部位 C. Sell not more than half 先賣出一半以內之部位 D. Hold and observe for 5 days 暫時觀望五天 E. Hold until fully recovered or stop in price-rising 繼續持有直至回本或不漲為止	☐	☐	☐	☐	☐
6 When investing in investment products, how long will your investment horizon be? In general, the longer the investment horizon, the more you can ride out the ups and downs of the market. That is, the chance to lose money is generally lower when the investment horizon increases, but the money needs to be locked in longer. 購買投資產品時，您認為持有多久才合適? 一般來說，投資年期長，您投資價值的波動越少。換言之，投資年期較長，錄得虧損的機會會一般較低，但資金需要被鎖定一段較長時間。 A. Over 10 years 10 年以上 B. 6 to 10 years 6 至 10 年 C. More than 3 years but less than 6 years 3 年以上，6 年以下 D. 1 to 3 years 1 至 3 年 E. Below 1 year 1 年以下	☐	☐	☐	☐	☐
7 Assuming there are two investment products A & B, Product A has an average return of 3% in the past few years with lower fluctuation while Product B has an average return of 10% in the past few years but high fluctuation. If you have a lump sum for investment, what is your investment allocation? 假設有下列兩項投資工具 A 與 B: 投資工具 A 的最近歷年平均報酬為 3%, 而且波動很低; 投資工具 B 的最近歷年平均報酬為10%, 但是波動很高。如果您有一筆資金可投資, 您會如何調配： A. All in Product A 全部投資工具 A，不投資工具 B B. 80% in A, 20% in B 80% 投資工具 A，20% 投資工具 B C. 50% in A, 50% in B 50% 投資工具 A，50% 投資工具 B D. 20% in A, 80% in B 20% 投資工具 A，80% 投資工具 B E. All in Product B 全部投資工具 B，不投資工具 A	☐	☐	☐	☐	☐
8 When you invest, what is your main concern? 請問您投資時，最主要之考量為何? A. Maintain high liquidity of assets 保持資金之流動性 B. Secure of principal protection 本金需要保本 C. Earn fixed interest income 賺取固定利息收益 D. Earn capital gain and interest 賺取資本利得 E. Maximize absolute return 追求最大報酬	☐	☐	☐	☐	☐

	A	B	C	D	E
9 What is your knowledge of financial markets and investments? 您對金融市場和投資的認識有多少？ A. None, I have no knowledge of financial markets at all and have no interest in understanding them. 並無認識：我對金融市場一無所知，亦無興趣深入瞭解。 B. Low, I have only some basic knowledge offinancial markets such as differences between stocks and bonds. 低水平：我對金融市場只有一些基本知識，例如股票和債券的分別。 C. Medium, I have above basic knowledge andunderstand the importance of diversification and practice it (i.e., I have my money in different types of investments to spread the risks). 中等水平：達基本知識以上的水平，明白分散投資的重要性，並作出分散投資 (即把資金配置於不同類別的投資，以分散風險) 。 D. High, I know how to read a company's financial reports (i.e., profit and loss statements and balance sheet) and understand the factors affecting the prices of stocks and bonds. 高水平：我懂得閱讀一家公司的財務報告(即損益表及資產負債表) ，並明白影響股票和債券價格的因素。 E. Advanced, I am familiar with most financial products (including bonds, stocks, warrants, options, and futures) and understand the various factors that may affect the risk and performance of these financial products. 精通：我熟識大部份金融產品 (包括債券、股票債券、認股權證、期權及期貨) ，並明白影響這些金融產品的風險和表現的各項因素。	☐	☐	☐	☐	☐
10 Client Age (according to date of birth) 客戶年齡 (依客戶出生年月日試算) A. 70 歲或以上 (1分) B. 65 — 69歲 (5分) C. 46 — 65歲 (7分) D. 31 — 45歲 (9分) E. 30 歲 (含) 以下 (10分)	☐	☐	☐	☐	☐

Calculating Method: Sum of 10 questions
評分方法: 十題之評分總和評分方法：

Total Score 總評分：

Grading 客戶風險等級評分方式：

Scoring System 計分方式	Total score 總評分範圍	Grade 客戶風險等級	Description 投資屬性分析
A - Score 1 分	10 ≦ Total Score 總評分 < 15	1 第一級	Secure 穩健型
B - Score 3 分	15 ≦ Total Score 總評分 < 37	2 第二級	Cautious 審慎型
C - Score 5 分	37 ≦ Total Score 總評分 < 74	3 第三級	Balanced 均衡型
D - Score 7 分	74 ≦ Total Score 總評分 < 95	4 第四級	Adventurous 進取型
E - Score 10 分	95 ≦ Total Score 總評分	5 第五級	Speculative 投機型

Signature
客戶簽署：

Name of Client(s)
客戶姓名：

Date 日期: (dd日 / mm月 / yyyy年)

Account No.
帳戶號碼：

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