

HERMES SECURITIES LIMITED

依據證券及期貨條例登記之持牌人(CE 號碼：AEU219)

A licensed corporation under the Securities and Futures Ordinance

客戶資料表 CUSTOMER INFORMATION FROM

(個人/聯名帳戶 INDIVIDUAL/JOINT ACCOUNT)

負責客戶主任姓名 Responsible AE		與客戶主任相識年期 How long known to AE	
負責客戶主任編號 Responsible AE Code		介紹人 Introduced by	
戶口種類 Account Type	<input type="checkbox"/> 現金帳戶 Cash Account	帳戶形式 Account Nature	<input type="checkbox"/> 個人帳戶 <input type="checkbox"/> 聯名帳戶 Individual Account Joint Account
客戶編號 Client Code :		客戶編號 Client Code :	

個人資料 Personal Information

個人/聯名帳戶主要持有人 Individual/Primary Joint Account Holder		聯名帳戶第二持有人 Secondary Joint Account Holder	
中文姓名 Name in Chinese	先生 / 女士	中文姓名 Name in Chinese	先生 / 女士
英文姓名 Name in English :	Mr./Ms	英文姓名 Name in English :	Mr./Ms
住宅地址 Residential Address		住宅地址 Residential Address	
	國家 郵政編號 Country Postal Code		國家 郵政編號 Country Postal Code
住宅電話 Home No.		住宅電話 Home No.	
流動電話 Mobile No.	1. (+)	流動電話 Mobile No.	1. (+) 2. (+)
出生日期 (日/月/年) Date of birth (DD/MM/YY)	簽發地點 Place of Issue	出生日期 (日/月/年) Date of birth (DD/MM/YY)	簽發地點 Place of Issue
身份證號碼 ID. Card No.	簽發地點 Place of Issue	身份證號碼 ID. Card No.	簽發地點 Place of Issue
護照號碼 Passport No.		護照號碼 Passport No.	
出生地點 Country of birth		出生地點 Country of birth	
國籍/公民身份 Nationality/Citizenship		國籍/公民身份 Nationality/Citizenship	
學歷程度 Education Level	<input type="checkbox"/> 小學或以下 Primary School or Below <input type="checkbox"/> 中學 Secondary School <input type="checkbox"/> 大專或以上 College r above	學歷程度 Education Level	<input type="checkbox"/> 小學或以下 Primary School or Below <input type="checkbox"/> 中學 Secondary School <input type="checkbox"/> 大專或以上 College r above
指定銀行 Designated Bank	銀行名稱 Name of Bank:	銀行戶口 Account No.:	帳戶名稱 Account Name:
電郵地址 E-mail Address	與主要戶口持有人關係 Relationship with Primary Account Holder		<input type="checkbox"/> 直系親屬，請註明 <input type="checkbox"/> Immediate family, please specify_____ <input type="checkbox"/> 親戚 <input type="checkbox"/> 朋友 <input type="checkbox"/> 其他 Relative Friend Other
(只須由個人/主要戶口持有人填寫 Individual/Primary Joint Account Holder Only)			
1. 交易確認及帳單透過以下方式發送 (只選一項) Trading confirmations and statements will be sent by the following means (select one): <input type="checkbox"/> 電郵方式 By email <input type="checkbox"/> 郵遞方式 By post <input type="checkbox"/> (每月收取郵政費\$20.00 Postal charges \$20.00 per month received)			
2. 所有郵遞信件將會發送到以下地址 (只選一項) All postal correspondence will be sent to the following address (sent one): <input type="checkbox"/> 住宅地址 Residential address <input type="checkbox"/> 辦公室地址 Office address <input type="checkbox"/> 其他地址 Other address _____			

工作狀況 Employment Status

主要戶口持有人 Primary Joint Account Holder		第二戶口持有人 Secondary Joint Account Holder	
行業 Occupation		行業 Occupation	
職位 Job Title		職位 Job Title	
雇主名稱 Name of Employer		雇主名稱 Name of Employer	
受僱年期 Duration with Employer		受僱年期 Duration with Employer	
辦公室電話 Office No.		辦公室電話 Office No.	
辦公室地址 Office Address		辦公室地址 Office Address	
	國家 郵政編號 Country Postal Code		國家 郵政編號 Country Postal Code

投資經驗及衍生產品認識 Investment Experience & Derivative Products Knowledge

投資目標: Investment Objective:	<input type="checkbox"/> 資本增值 <input type="checkbox"/> 股息收益 <input type="checkbox"/> 對沖 <input type="checkbox"/> 投機 <input type="checkbox"/> 其他 Capital Gain Dividend Yield Hedging Speculation Other			
對衍生產品認識	主要戶口持有人 Primary Joint Account Holder		第二戶口持有人 Secondary Joint Account Holder	
Derivative Products Knowledge *請在下面說明和你相關的衍生投資經驗 *Please indicate your relevant derivative investment experience below. *如客戶沒有衍生產品的認識,就不能開立股票期權戶口。任何例外情況需要管理層的預先批准。 *if client does not have derivative knowledge, cannot open Stock options Account. Any exception is subject to prior management approval.	<input type="checkbox"/> 本人了解衍生產品的性質和風險: I understand the nature and risks of derivative products by: 1. <input type="checkbox"/> 曾接受有關衍生產品的培訓或修讀相關課程; 及/或 Underwent training or attended courses on derivative products: and/or 2. <input type="checkbox"/> 於現時或過去擁有與衍生產品有關的工作經驗; has current or previous work experience related to derivative products; and/or 3. <input type="checkbox"/> 於過去三年內進行了五次或以上有關衍生產品之交易 (不論是否於交易所進行交易)# Executing five or more transactions in derivative products (whether traded on an exchange or not) within the past three years.# <input type="checkbox"/> 本人並未有衍生產品之認識 I have NO knowledge of derivative products.		<input type="checkbox"/> 本人了解衍生產品的性質和風險: I understand the nature and risks of derivative products by: 1. <input type="checkbox"/> 曾接受有關衍生產品的培訓或修讀相關課程; 及/或 Underwent training or attended courses on derivative products: and/or 2. <input type="checkbox"/> 於現時或過去擁有與衍生產品有關的工作經驗; has current or previous work experience related to derivative products; and/or 3. <input type="checkbox"/> 於過去三年內進行了五次或以上有關衍生產品之交易 (不論是否於交易所進行交易)# Executing five or more transactions in derivative products (whether traded on an exchange or not) within the past three years.# <input type="checkbox"/> 本人並未有衍生產品之認識 I have NO knowledge of derivative products.	
投資經驗: Investment Experience: (可選多於一項) (Can choose more than one)	<input type="checkbox"/> 上市證券 Listed Securities 年數 Year(s) () <input type="checkbox"/> 牛熊證/窩輪 CBBC/Warrants 年數 Year(s) () <input type="checkbox"/> 期貨或期權 Futures or Options 年數 Year(s) () <input type="checkbox"/> 槓桿式外匯 Leveraged Foreign Exchange 年數 Year(s) () <input type="checkbox"/> 單位信託基金或債券 Unit Trusts or Bonds 年數 Year(s) () <input type="checkbox"/> 結構性產品 Structured Product 年數 Year(s) () <input type="checkbox"/> 槓桿及反向產品 Leveraged and Inverse Product 年數 Year(s) () <input type="checkbox"/> 其他 Other _____ <input type="checkbox"/> 沒有		<input type="checkbox"/> 上市證券 Listed Securities 年數 Year(s) () <input type="checkbox"/> 牛熊證/窩輪 CBBC/Warrants 年數 Year(s) () <input type="checkbox"/> 期貨或期權 Futures or Options 年數 Year(s) () <input type="checkbox"/> 槓桿式外匯 Leveraged Foreign Exchange 年數 Year(s) () <input type="checkbox"/> 單位信託基金或債券 Unit Trusts or Bonds 年數 Year(s) () <input type="checkbox"/> 結構性產品 Structured Product 年數 Year(s) () <input type="checkbox"/> 槓桿及反向產品 Leveraged and Inverse Product 年數 Year(s) () <input type="checkbox"/> 其他 Other _____ <input type="checkbox"/> 沒有	

Hermes Securities has accessed the Client based on the information provided above, and have notified the Client that it is compulsory to understand the derivative products before trading them. Hermes Securities have also warned the Client about the nature and risk of the derivative products.

凱敏證券已根據以上的資料對客戶進行評估，並已通知客戶買賣有關衍生產品前必須先具備足夠的認識，及提示客戶有關衍生產品之性質及風險。

財政狀況 Financial Situation

主要戶口持有人 Primary Joint Account Holder		第二戶口持有人 Secondary Joint Account Holder	
年薪 (HKD) Annual Income (HKD)	<input type="checkbox"/> <HKD 100,000 <input type="checkbox"/> HKD100,000 – HKD200,000 <input type="checkbox"/> HKD200,001 – HKD500,000 <input type="checkbox"/> HKD500,001 – HKD1,000,000 <input type="checkbox"/> >HKD1,000,000	年薪 (HKD) Annual Income (HKD)	<input type="checkbox"/> <HKD 100,000 <input type="checkbox"/> HKD100,000 – HKD200,000 <input type="checkbox"/> HKD200,001 – HKD500,000 <input type="checkbox"/> HKD500,001 – HKD1,000,000 <input type="checkbox"/> >HKD1,000,000
資金來源 Source of Funds	<input type="checkbox"/> 薪金儲蓄 Savings from Salary <input type="checkbox"/> 家庭 Family <input type="checkbox"/> 營業溢利 Trading Profits <input type="checkbox"/> 租金收入 Rental Income <input type="checkbox"/> 金融機構貸款 Loan from Financial Institution <input type="checkbox"/> 其他 Other: _____	資金來源 Source of Funds	<input type="checkbox"/> 薪金儲蓄 Savings from Salary <input type="checkbox"/> 家庭 Family <input type="checkbox"/> 營業溢利 Trading Profits <input type="checkbox"/> 租金收入 Rental Income <input type="checkbox"/> 金融機構貸款 Loan from Financial Institution <input type="checkbox"/> 其他 Other: _____
住屋業權 Ownership of Residence	<input type="checkbox"/> 擁有 Owned <input type="checkbox"/> 已抵押 Mortgaged <input type="checkbox"/> 沒有抵押 Not Mortgaged <input type="checkbox"/> 沒有 Not Owned <input type="checkbox"/> 租住 Rented <input type="checkbox"/> 與家人同住 Living with Family	住屋業權 Ownership of Residence	<input type="checkbox"/> 擁有 Owned <input type="checkbox"/> 已抵押 Mortgaged <input type="checkbox"/> 沒有抵押 Not Mortgaged <input type="checkbox"/> 沒有 Not Owned <input type="checkbox"/> 租住 Rented <input type="checkbox"/> 與家人同住 Living with Family

Settlement Bank Information 結算銀行資料

公司名稱 Company name: _____	Bank Name 銀行名稱: _____ Account Name 戶口名稱: _____	Currency 貨幣: <input type="checkbox"/> HKD <input type="checkbox"/> RMB <input type="checkbox"/> USD <input type="checkbox"/> Multi Account Number 戶口號碼: _____
Bank Address (for overseas bank only) 銀行地址 (海外銀行戶口方須填寫): _____		

Authorized Person 獲授權人士

<p>I/We (the Client) hereby agree and appoint the following person as the Authorized Person as defined in the "Terms and Condition". All account(s) maintained by the Client can be operated on the instructions of the Authorized Person. I/We (the Client) hereby declare that I/we (the client) shall be fully responsible for any instructions given or purported to be given by the Authorized Person (including but not limited to the verbal instructions or written instructions), and shall fully indemnify the Hermes Securities Limited against all damages, losses, costs and expenses whatsoever incurred as a result of any act, inactivity or omission of the Authorized Person.</p> <p>本人(等)(客戶)謹此委任下列人士作為《交易帳戶條款及條件》中所定義的獲授權人士。客戶持有之所有帳戶可根據獲授權人士之指示運作。本人(等)(客戶)茲聲明對由獲授權人士或聲稱為獲授權人士所發出之任何指示(包括但不限於口頭指示或書面指示)承擔全部責任，並會就凱敏證券有限公司因該等獲授權人士之任何行為，不作為或遺漏而引致的一切賠償、損失、費用及開支向凱敏證券有限公司出全部彌償。</p> <p>When I, the Authorized Person listed below, after signing in the signature column herein below, indicated that I accept the abovementioned Client's authorization to become its Authorized Person. I hereby agree that shall be fully responsible for all the liabilities arising from the Client's relevant account(s) with the Hermes Securities Limited and shall fully indemnify the Hermes Securities Limited against all damages, losses, costs and expenses whatsoever incurred as a result of any act, inactivity or omission of the Client and/or myself.</p> <p>當本人(獲授權人士)於下列簽署欄內簽署後，即表示同意接受客戶的授權成為其獲授權人士，並同意承擔客戶之帳戶內之一切責任，亦須就凱敏證券有限公司因客戶及／或本人之任何行為，不作為或遺漏而引致的一切賠償、損失、費用及開支向凱敏證券有限公司作出全部彌償。</p>	
Accepted and Signed by Authorized Person:	
Name of Authorized Person 獲授權人士姓名:	出生地點/Place of Birth: 出生日期/Date of Birth:
HKID 香港身份證/Passport No.護照號碼: 國籍/ Nationality:	Contact No./聯絡電話:
Relationship between Authorised Person and Primary Joint Account Holder: 主要戶口持有人與獲授權人士之關係:	Relationship between Authorised Person and Secondary Joint Account Holder: 第二戶口持有人與獲授權人士之關係:

Confirmed and Signed by Primary Joint Account Holder 主要戶口持有人確認及簽署：	Confirmed and Signed by Secondary Joint Account Holder 第二戶口持有人確認及簽署：
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最終實益擁有人及利益關係申報 Beneficiary Ownership and Interest Declaration

主要戶口持有人 Primary Joint Account Holder	第二戶口持有人 Secondary Joint Account Holder
<p>1. 你（及/或聯名帳戶第二持有人）是否此帳戶的最終受益擁有人？ (即你是否為本身而非第三者運作此帳戶?)</p> <p>Are you (and /or the Secondary Joint Account Holder) the ultimate beneficial owner(s) in relation to the account? (i.e. Are you acting for your own account and not for a third party?)</p> <p><input type="checkbox"/> 是 Yes</p> <p><input type="checkbox"/> 否，帳戶的最終受益擁有人是: no, details of the ultimate beneficial owner(s) is/ are:</p> <p>名稱 Name: _____</p> <p>身份證/ 護照號碼 ID/ Passport No. _____</p> <p>地址 Address: _____</p>	<p>1. 你（及/或聯名帳戶第二持有人）是否此帳戶的最終受益擁有人？ (即你是否為本身而非第三者運作此帳戶?)</p> <p>Are you (and /or the Secondary Joint Account Holder) the ultimate beneficial owner(s) in relation to the account? (i.e. Are you acting for your own account and not for a third party?)</p> <p><input type="checkbox"/> 是 Yes</p> <p><input type="checkbox"/> 否，帳戶的最終受益擁有人是: no, details of the ultimate beneficial owner(s) is/ are:</p> <p>名稱 Name: _____</p> <p>身份證/ 護照號碼 ID/ Passport No. _____</p> <p>地址 Address: _____</p>
<p>2. Does the Client have any relationship with the director(s) or employee(s) of Hermes Securities or their respective associated companies? 客戶是否與凱敏證券或其各自之聯營公司之董事或僱員有任何關係？</p> <p><input type="checkbox"/> No 否</p> <p><input type="checkbox"/> Yes, the Client has the following relationship with the director(s) or employee(s) of Hermes Securities or its respective associated companies: 是，客戶與凱敏證券或其各自之聯營公司之董事或僱員有以下</p> <p>_____ (Name of Director or Employee 董事或僱員姓名 / Relationship 關係)</p>	<p>2. Does the Client have any relationship with the director(s) or employee(s) of Hermes Securities or their respective associated companies? 客戶是否與凱敏證券或其各自之聯營公司之董事或僱員有任何關係？</p> <p><input type="checkbox"/> No 否</p> <p><input type="checkbox"/> Yes, the Client has the following relationship with the director(s) or employee(s) of Hermes Securities or its respective associated companies: 是，客戶與凱敏證券或其各自之聯營公司之董事或僱員有以下</p> <p>_____ (Name of Director or Employee 董事或僱員姓名 / Relationship 關係)</p>
<p>3. Is the Client a director or an employee or an accredited person of any exchange participant of the Hong Kong Exchange or any licensed or registered person of the Securities and Futures Commission? 客戶是否香港交易所之交易所參與者或證監會之持牌人或註冊人之董事、僱員或認可人士？</p> <p><input type="checkbox"/> No 否</p> <p><input type="checkbox"/> Yes, the Client is a director or an employee or an accredited person of the following exchange participant of the Hong Kong Exchange or licensed or registered person of the Securities and Futures Commission: (Please provide details) 是，客戶為以下香港交易所之交易所參與者或證監會之持牌人或註冊人之董事、僱員或認可人士：(請詳述)</p> <p>_____ (Please provide employer's written consent letter 請提供僱主之書面同意書)</p>	<p>3. Is the Client a director or an employee or an accredited person of any exchange participant of the Hong Kong Exchange or any licensed or registered person of the Securities and Futures Commission? 客戶是否香港交易所之交易所參與者或證監會之持牌人或註冊人之董事、僱員或認可人士？</p> <p><input type="checkbox"/> No 否</p> <p><input type="checkbox"/> Yes, the Client is a director or an employee or an accredited person of the following exchange participant of the Hong Kong Exchange or licensed or registered person of the Securities and Futures Commission: (Please provide details) 是，客戶為以下香港交易所之交易所參與者或證監會之持牌人或註冊人之董事、僱員或認可人士：(請詳述)</p> <p>_____ (Please provide employer's written consent letter 請提供僱主之書面同意書)</p>

稅務居民資料 Tax Residency*

根據《稅務條例》有關交換財務帳戶資料的法律條文，請提供你及/或聯名帳戶第二持有人) 的稅務編號。如沒有提供稅務編號，必須填寫合適的理由：

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。

理由 B – 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。

理由 C – 帳戶持有人不能取得稅務編號。(如選取理由 C，解釋帳戶持有人不能取得稅務編號的原因)

Pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance. Please provide you (and /or the Secondary Joint Account Holder's) jurisdiction of residence where the account holder(s) is a resident for tax purposes and TIN for each jurisdiction indicated. If a TIN is unavailable, provide an appropriate reason:

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

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

Reason C – The account holder is unable to obtain a TIN. (Explain why the account holder is unable to obtain a TIN if you have selected Reason C)

主要戶口持有人 Primary Joint Account Holder			第二戶口持有人 Secondary Joint Account Holder		
<input type="checkbox"/> 本人持有 香港 稅務居民資格 I hold Hong Kong Tax residence			<input type="checkbox"/> 本人持有 香港 稅務居民資格 I hold Hong Kong Tax residence		
及/或 and / or			及/或 and / or		
<input type="checkbox"/> 本人持有 香港以外 稅務居民資格 I holder tax residency status outside Hong Kong			<input type="checkbox"/> 本人持有 香港以外 稅務居民資格 I holder tax residency status outside Hong Kong		
稅務管轄區: Jurisdiction of Residence:	(1)	(2)	稅務管轄區: Jurisdiction of Residence:	(1)	(2)
稅務編號: TIN:	(1)	(2)	稅務編號: TIN:	(1)	(2)
沒有稅務編號理由: No TIN Reason:	<input type="checkbox"/> 理由 A Reason A <input type="checkbox"/> 理由 B Reason B <input type="checkbox"/> 理由 C Reason C	<input type="checkbox"/> 理由 A Reason A <input type="checkbox"/> 理由 B Reason B <input type="checkbox"/> 理由 C Reason C	沒有稅務編號理由: No TIN Reason:	<input type="checkbox"/> 理由 A Reason A <input type="checkbox"/> 理由 B Reason B <input type="checkbox"/> 理由 C Reason C	<input type="checkbox"/> 理由 A Reason A <input type="checkbox"/> 理由 B Reason B <input type="checkbox"/> 理由 C Reason C
選取理由 C 的原因: Explanation to Selected Reason C:			選取理由 C 的原因: Explanation to Selected Reason C:		
額外資料 Additional Information:			額外資料 Additional Information:		

* 若空格不敷使用，請另付自我證明表格及簽署。Please attach and sign Self-Certification Form for additional tax residency if necessary.

G. 注意事項 Notes

- 請隨本表格附上全部帳戶持有人之身份證副本及最近三個月內之住宅及通訊地址證明文件(郵政信箱恕不接受)。
Please enclose an ID copy and residential and correspondence address(es) proof dated within the last 3 months (P.O. box is not accepted) for all account holders with this Form.
- 全部帳戶持有人必須在凱敏證券或聯繫人士的職員/代理人面前填妥及簽署本表格；如非親身開戶，請參看下方的注解 6。
This Form should be completed and signed by all account holders in front of an employee or agent of Hermes Securities or its Associates. Otherwise, please see Note 6 below.
- 全部帳戶持有人此應向凱敏證券報告公司的稅務身份的變化。任何有關個人資料的刪改必須由全部帳戶持有人簽署作實。Account holder(s) should report all changes in his/her tax residency status to Hermes securities Limited. Any deletion or amendment of the personal information must be signed by all account holders.
- 帳戶持有人的款項將會被存入本表格內所提供的指定銀行賬戶，除非另行通知。
All monies payable to the account holder will be credited to the designated bank account(s) nominated on this Form, unless otherwise instructed.
- 凱敏證券恕不接受第三者存款。任何例外情況都需要管理層的預先批准。
Third-party deposit will not be accepted. Any exception is subject to prior management approval.
- 如資料表示並非在凱敏證券或聯繫人士的職員/代理人面前簽署，帳戶持有人必須遵從以下其中一個程序要求：
If this Form is not executed by the account holders in front of an employee or agent of Hermes Securities or its Associates, the account holders should comply with either one of the following procedural requirements:
 - 交給凱敏證券在香港持牌銀行開立的帳戶所簽發不少於 10,000 港元的個人支票，該支票的簽名及姓名須與本表格的客戶簽名及身份證文件相符，而支票抬頭須為“凱敏證券有限公司”。客戶的帳戶必須待支票兌現後才可使用；或
Send a personal cheque in favour of Hermes securities Limited for not less than HK\$10,000 drawn on an account with a licensed bank in Hong Kong, bearing the signature(s) as on this Form and name(s) as on the identity document(s). The new account will not be activated until the cheque is cleared; or
 - 由其他持牌人或註冊人、凱敏證券的聯繫人士、太平紳士、銀行分行經理、執業會計師、律師或公證人見證客戶的簽名及身份證明文件。
Have any other licensed or registered person, Associate of Hermes Securities, justice of the peace, branch manager of a bank, certified public accountant (practising), lawyer or notary public certify the signature and identity documents of the account holders.
- 根據“稅務條例”，任何人獲悉在聲明上作出具誤導性，虛假或不正確的陳述，或罔顧該聲明在陳述上是否具誤導性，虛假或不準確之處，即屬違法。任何人觸犯該罪行，一經定罪，可處第 3 級罰款(即\$10,000)。
It is an offence under the Inland Revenue Ordinance if any person, 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).

客戶確認及簽署 Acknowledgement and Execution by Customer

戶口種類 Account Type	選擇服務 Select Service(s)
現金帳戶 Cash Account 請為我/我們開立現金帳戶。我/我們已經閱讀並明白證券客戶協議的條款，並接受這些條款的約束。 Please open a Cash Account for me/us. I/We have read and understand the provisions of the Securities Client Agreement and agree to be bound by same.	<input type="checkbox"/> 現金帳戶 Cash Account
客戶確認 Acknowledgement by Customer	
我 / 我們同意凱敏證券或連絡人士以各種方式提供投資或有關財務產品及服務的資料，其包括研究報告及特別優惠等。 I / We consent to Hermes Securities or its Associates providing information about investment or financial related products and services including research reports and special offers by any means. <input type="checkbox"/>	
我 / 我們知悉在這客戶資料表格("表格")上所記載之資料，將有可能以作先自動交換財務帳戶資料用途。我/我們知悉及同意，凱敏證券可根據《稅務條例》(第 112 章) 有關交換財務帳戶資料的法律條文，(a)收集本表格所載資料並可備全作自動交換財務帳戶資料用途及(b)把該等資料和關於我/我們的資料向香港特別行政區政府稅務局申報，從而把資料轉交到我/我們的居留私法管轄區的稅務當局。我/我們確認表格中提供的訊息和聲明是真實和準確的。我/我們承諾，如情況有所改變，以致影響本表格所述的個人的稅務局居民身份，或引致本表格所載的資料不正確，我/我們會通知凱敏證券，並會在情況發生改變後 30 日內，向凱敏證券提交一份已適當更新的綜合戶口資料更改書。凱敏證券有權聯繫任何人，包括我/我們的銀行，經紀人或任何信用機構，以驗證本表格上提供的訊息。 I / We acknowledge that any information contained in this Customer Information Form ("the Form") may be provide to a reporting financial institution for the purpose of automatic exchange of financial account information. I / We agree that (a) the information contained in this form is collected and may be kept by Hermes Securities Limited for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the financial institution 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 account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112). I / We declare that the information given and statements made in this form is true and accurate. I / We undertake to advise Hermes Securities Limited of any change in circumstances which affects the tax residency status of the Account Holder(s) of this form or causes the information contained herein to become incorrect, and to provide Hermes Securities Limited with a suitably updated Account Particulars Amendment Form within 30 day of such change in circumstances. Hermes Securities Limited is authorized to contact anyone, including my/ours banks, brokers or any credit agency, for verifying the information provided on this form. <input type="checkbox"/>	
The Client hereby declares that he or she is not a United States resident for Foreign Account Tax Compliance Act (FATCA) purposes, and the income to which the said Account(s) related is not subjected to tax under FATCA. The Client undertakes to notify Hermes Securities and relevant authorities within 30 days for any change of circumstances stated in the W8BEN Form, without which the Client agrees that the W8BEN Form will be deemed renewed. The Client shall fully indemnify and hold harmless Hermes Securities from and against all claims, damages, losses, costs and expenses whatsoever incurred as a result of such non-compliance or omission. 客戶謹此聲明其並非《海外帳戶稅收合規法案》下所定義的美國人士，而且此帳戶下之相關的收入依《海外帳戶稅收合規法案》毋須扣繳稅款。客戶承諾 如於 W8BEN 表格中的情況有任何更改，客戶須於 30 天內通知凱敏證券及相關部門，否則客戶同意該 W8BEN 表格會 被當作續期。客戶亦同意悉數對凱敏證券因客戶違規或遺漏而蒙受的任何索償、損害、損失、費用及開支作出彌償並保證其利益不受損害。	
The Client is the ultimate and sole beneficial owner(s) of the Account(s) and is fully responsible for all instructions for the operation of the said Account(s). 客戶是帳戶的最終及唯一實益擁有人，並完全負責為該(等)帳戶運作所發出的一切指示。	
我 / 我們確認凱敏證券以客戶選擇的語言(英文或中文)提供證券客戶協議包括其附表 3 的風險披露聲明及免責聲明。我/我們進一步確認凱敏證券已經邀請我/我們閱讀風險披露聲明。提出問題及徵求獨立的意見(如我/我們有此意願)。我/我們應經常密切留意市況，凱敏證券可能在強制平仓前無法與我/我們聯絡或未能提供足夠時間讓我/我們進行額外的存款。 I / We acknowledge that the Securities Client Agreement including the Risk Disclosure Statements and Disclaimers in Schedule 3 attached were provided in a language(English or Chinese) of the Customer's choice. I/We further acknowledges that I/We was invited to read the risk disclosure statement, ask question and take independent advice, if the Customer wished. I/We acknowledge that I/We should closely monitor positions, as Hermes Securities Limited may not be able to contact me/us or give me/us sufficient time to deposit additional funds, before liquidation of positions.	

授權簽名式樣 Specimen Authorized Signatures:

* 個人/ 主要帳戶持有人簽署 Individual/Primary Joint Holder's Signature:	* 聯名帳戶第二持有人簽署 Secondary Joint Account Holder's Signature
日期 Date: 香港身分證號碼 / 護照號碼 HK I.D. Card No / Passport No. :	日期 Date: 香港身分證號碼 / 護照號碼 HK I.D. Card No / Passport No. :

* 將被用作簽名式樣 Will be used as Specimen Signature

職員 / 經紀聲明 Declaration by Staff / Account Executive

我確認已經以客戶選擇的語言（英文或中文）提供證券客戶協議包括風險披露聲明，並且我已經邀請客戶閱讀風險披露聲明，提出有關問題及尋求獨立意見（如客戶有此意願）。

I confirm that I here provided the Risk Disclosure Statement as set out in the Securities Client Agreement in a language (English or Chinese) of the Custom's choice. I have also invited the Customer to read this Risk Disclosure Statement, ask questions and take independent advice if the Customer wishes.

持第 1 類 (證券買賣) Licensed for Type 1 (Licensed Corporation)		日期 Date:
職員/經紀簽署 Signature of Staff/ AE:	職員/經紀姓名 Name of Staff/AE:	CE 編號 CE No. :
AML 風險類別 AML Risk category	<input type="checkbox"/> 低 Low <input type="checkbox"/> 中 Medium <input type="checkbox"/> 高 High (如選擇此項，請填寫右欄) (if you choose this option, Please fill in the right column)	高風險理由 Reason for High Risk

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文件查核列表 Document check list 1. 已核實的身份證或護照副本 Certified I.D Card/Passport Copy <input type="checkbox"/> 是 Yes 2. 地址證明副本 Address proof <input type="checkbox"/> 是 Yes 3. 已核實 W-8ben 或 W-9 表格 Certified W-8ben/W-9 from <input type="checkbox"/> 是 Yes 4. 銀行及信貸參考(如適用)Bank and Credit Reference (if applicable) (例如：銀行結單、屋契等) (e.g. Bank statement, title deeds etc.) <input type="checkbox"/> 是 Yes <input type="checkbox"/> 不適合 N/A 5. 僱主書面同意(如適用) Employer consent letter (if applicable) <input type="checkbox"/> 是 Yes <input type="checkbox"/> 不適合 N/A					
文件確認 Document reviewed by					
職員姓名： Name of Staff:		職員簽署： Signature of Staff:		日期： Date:	
客戶資料核對 Customer information approved by					
職員姓名： Name of Staff:		職員簽署： Signature of Staff:		日期： Date:	
開戶批核 Account opening approved by					
職員姓名： Name of Staff:		職員簽署： Signature of Staff:		職位： Position:	
備註： Remarks:					