

依據證券及期貨條例(第 571 章)登記 1 號牌之持牌人(CE 號碼:AEU219)

A licensed corporation for Type 1 (Dealing in Securities) under the Securities and Futures Ordinance (Cap 571) (CE No.AEU219)

## 專業投資者客戶資料表 (個人/聯名帳戶) Professional Investor (PI) Customer Information Form (Individual/Joint Account)

開戶日期 Account Opening Date		客戶號碼 Client Account No.:	
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

### 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		
性別 Gender	<input type="checkbox"/> 先生 Mr.	<input type="checkbox"/> 女士 Ms.	性別 Gender	<input type="checkbox"/> 先生 Mr.	<input type="checkbox"/> 女士 Ms.
			與帳戶主要持有人的關係 Relationship with Primary Account Holder		
中文姓名 Name in Chinese			中文姓名 Name in Chinese		
英文姓名 Name in English :			英文姓名 Name in English :		
身份證/護照號碼 ID Card/Passport No.			身份證/護照號碼 ID Card/Passport No		
簽發國家 Place of Issue:			簽發國家 Place of Issue:		
國籍 Nationality			國籍 Nationality		
出生地點 Place of Birth			出生地點 Place of Birth		
出生日期 (日/月/年) Date of birth (DD/MM/YY)			出生日期 (日/月/年) Date of birth (DD/MM/YY)		
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	
婚姻狀況 Marital Status	<input type="checkbox"/> 單身 Single <input type="checkbox"/> 已婚 Married <input type="checkbox"/> 離婚 Divorced <input type="checkbox"/> 喪偶 Widowed		婚姻狀況 Marital Status	<input type="checkbox"/> 單身 Single <input type="checkbox"/> 已婚 Married <input type="checkbox"/> 離婚 Divorced <input type="checkbox"/> 喪偶 Widowed	
配偶姓名 Spouse Name			配偶姓名 Spouse Name		

Address: Unit 2810, 28/F., China Merchants Tower, Shun Tak Centre, 168-200 Connaught Road C., Hong Kong

地址: 香港干諾道中 168-200 號信德中心招商局大廈 28 樓 281 室

Tel: (852) 2267 0998 Fax: (852) 2267 0099 電話: (852) 2267 0998 傳真: (852) 2267 0099

## 個人資料 Personal Information

現居住地址 Current Residential Address:		現居住地址 Current Residential Address:	
通訊地址 Correspondence Address:		通訊地址 Correspondence Address:	
住宅電話號碼 Residential Telephone No.		住宅電話號碼 Residential Telephone No.	
手提電話號碼 Mobile Telephone No.		手提電話號碼 Mobile Telephone No.	
電郵地址 E-mail Address:		電郵地址 E-mail Address:	

## 通訊方式 Method of Communication

請提供閣下的最新電郵地址及郵寄地址,以及時收取通告、成交單據、戶口結單及收據。

Please provide your latest e-mail address or postal address for receiving your notices, contract notes, statements of accounts and receipts promptly.

通告、成交單據、戶口結單及收據以下列其中一項方式發送至本人/吾等:

Notices, contract notes, statements of accounts and receipts shall be sent to me/us by one of the following method:

☐ 郵遞 By Mail
 ☐ 居住地址 Residential Address
 ☐ 通訊地址 Correspondence Address
 ☐ 公司地址 Office Address

如選用郵遞形式,將收取郵寄費用每月港幣 20 元

If you preferred method of communication is mailing, a postal charges shall be charged for HK\$20.00 for each month.

☐ 電郵至個人資料提供的電郵地址 By E-mail to the E-mail address as mentioned in Personal Information

## 結算銀行資料 Settlement Bank Information

吾等謹此指定以下的銀行帳戶作為提取款項用途的銀行帳戶。吾等謹此指示及授權凱敏證券將任何或所有應付予吾等之款項存入以下銀行帳戶。吾等同意凱敏證券一概不應對基於任何原因而延遲存入款項令吾等蒙受的任何損失、費用或賠償承擔任何責任。

The following bank account(s) is(are) hereby designated by us as the bank account for the purpose of withdrawal of funds. We hereby instruct and authorize HSL to deposit any or all funds payable to us into the following bank account(s). We agreed that HSL should not be held liable for any loss, expenses or damages suffered by us as a result of any delay in depositing such payments caused by any reasons whatsoever.

貨幣 Currency	銀行名稱 Name of Bank	帳戶號碼 Account No	收款銀行所在國家/地區 Country /Area of Receiving Bank
港幣 HKD			
人民幣 CNY			
美元 USD			

## 財務狀況 Financial Profile

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
總資產淨值 (HKD) Total Net Worth (HKD)	<input type="checkbox"/> <HKD500,000 <input type="checkbox"/> HKD500,001 – HKD1,000,000 <input type="checkbox"/> HKD1,000,001 – HKD5,000,000 <input type="checkbox"/> HKD5,000,001 – HKD8,000,000 <input type="checkbox"/> >HKD8,000,000	總資產淨值 (HKD) Total Net Worth (HKD)	<input type="checkbox"/> <HKD500,000 <input type="checkbox"/> HKD500,001 – HKD1,000,000 <input type="checkbox"/> HKD1,000,001 – HKD5,000,000 <input type="checkbox"/> HKD5,000,001 – HKD8,000,000 <input type="checkbox"/> >HKD8,000,000
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: _____
財產來源 Source of Wealth	<input type="checkbox"/> 薪金儲蓄 Savings from Salary <input type="checkbox"/> 退休金 Pension <input type="checkbox"/> 投資回報 Return on Investments <input type="checkbox"/> 遺產 Inheritance <input type="checkbox"/> 金融機構貸款 Loan from Financial Institution <input type="checkbox"/> 其他 Other: _____	財產來源 Source of Wealth	<input type="checkbox"/> 薪金儲蓄 Savings from Salary <input type="checkbox"/> 退休金 Pension <input type="checkbox"/> 投資回報 Return on Investments <input type="checkbox"/> 遺產 Inheritance <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

## 投資概況 Investment Profile

投資目的 Investment Objective: <input type="checkbox"/> 股息收入 Dividend Income <input type="checkbox"/> 資本增值 Capital Appreciation <input type="checkbox"/> 高速增長 High Growth <input type="checkbox"/> 投機 Speculation <input type="checkbox"/> 對沖 Hedging			
目標投資年期 Target Investment Horizon <input type="checkbox"/> 少於 1 年 Less than 1 Year <input type="checkbox"/> 介乎 1 至 3 年 Between 1 to 3 Years <input type="checkbox"/> 多於 3 年 More than 3 Years			
預計每年投資金額(港元): Anticipated Investment Amount Per Year (HK\$) <input type="checkbox"/> <\$300,000.00 <input type="checkbox"/> \$300,000.00 - \$1,000,000.00 <input type="checkbox"/> \$1,000,000.00 - \$5,000,000.00 <input type="checkbox"/> >\$5,000,000.00			

## 投資經驗及知識

### Investment Experience and knowledge

投資產品及投資經驗 Investment Product(s) and Investment Experience						投資產品及投資經驗 Investment Product(s) and Investment Experience					
	沒有 None	0-1	2-5	6-10	>10 年 Years		沒有 None	0-1	2-5	6-10	>10 年 Years
股票 Shares	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	股票 Shares	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
衍生權證 Derivative Warrants	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	衍生權證 Derivative Warrants	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
股票期權 Stock Options	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	股票期權 Stock Options	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
期貨 Future Contracts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	期貨 Future Contracts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
互惠基金 Mutual Funds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	互惠基金 Mutual Funds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
債券 Bonds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	債券 Bonds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	本人曾接受有關衍生產品的培訓或修讀相關課程。 I have undergone training or attended courses on derivatives products.					<input type="checkbox"/>	本人曾接受有關衍生產品的培訓或修讀相關課程。 I have undergone training or attended courses on derivatives products.				
<input type="checkbox"/>	本人現時及過去擁有與衍生產品有關的工作經驗。 I have current or previous work experience related to derivatives products.					<input type="checkbox"/>	本人現時及過去擁有與衍生產品有關的工作經驗。 I have current or previous work experience related to derivatives products.				
<input type="checkbox"/>	本人過去 3 年曾執行 5 次或以上有關衍生產品的交易(例如:衍生權證、牛熊證、交易所買賣基金及股票掛鈎票據)。 I have executed 5 or more transactions within the past 3 years in derivative products(e.g.) Derivative Warrants, Callable Bull/Bear Contracts, Exchange Traded Funds, Equity Linked Instruments, etc.)					<input type="checkbox"/>	本人過去 3 年曾執行 5 次或以上有關衍生產品的交易(例如:衍生權證、牛熊證、交易所買賣基金及股票掛鈎票據)。 I have executed 5 or more transactions within the past 3 years in derivative products(e.g.) Derivative Warrants, Callable Bull/Bear Contracts, Exchange Traded Funds, Equity Linked Instruments, etc.)				
<input type="checkbox"/>	本人確認,本人已閱讀並完全明白客戶協議書內關於衍生產品的第 15 條條款,包括附帶於衍生產品的相關風險。本人再進一步確認凱敏證券職員已完全向本人解釋衍生產品的性質和風險。 I confirm that I have carefully read and fully understood the Clause 15 of Client Agreement relating to Derivative Products, including risks associated with Derivative Products. I further confirmed that HSL's representative has fully explained to me the nature and risks of Derivative Products.					<input type="checkbox"/>	本人確認,本人已閱讀並完全明白客戶協議書內關於衍生產品的第 15 條條款,包括附帶於衍生產品的相關風險。本人再進一步確認凱敏證券職員已完全向本人解釋衍生產品的性質和風險。 I confirm that I have carefully read and fully understood the Clause 15 of Client Agreement relating to Derivative Products, including risks associated with Derivative Products. I further confirmed that HSL's representative has fully explained to me the nature and risks of Derivative Products.				

## 注意事項 Notes

<p>1. 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.</p> <p>2. 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.</p> <p>3. 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.</p> <p>4. 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.</p> <p>5. 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.</p> <p>6. 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:</p> <p style="margin-left: 20px;">(i) 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</p> <p style="margin-left: 20px;">(ii) 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.</p> <p>7. 根據“稅務條例”,任何人獲悉在聲明上作出具誤導性,虛假或不正當的陳述,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).</p>	<p>1. 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.</p> <p>2. 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.</p> <p>3. 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. 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Any exception is subject to prior management approval.</p> <p>6. 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:</p> <p style="margin-left: 20px;">(i) 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</p> <p style="margin-left: 20px;">(ii) 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.</p> <p>7. 根據“稅務條例”,任何人獲悉在聲明上作出具誤導性,虛假或不正當的陳述,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).</p>
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## 美國公民/居民自我聲明 Self-Certification of U.S. Citizen/Resident

根據美國(外國帳戶收合規法案)「FATCA」的條文，請確認閣下的美國稅務狀況。

Please confirm your U.S. tax status under the provisions of the U.S. Foreign Account Tax Compliance Act "FATCA"

閣下是否美國公民(如持有美國護照)?  
Are you a U.S. Citizen (e.g. holding a U.S. passport)?

帳戶持有人 Account Holder (1)  
☐ 是 Yes ☐ 否 No

帳戶持有人 Account Holder (2)  
☐ 是 Yes ☐ 否 No

閣下是否美國公民(如持有美國綠卡)?  
Are you a U.S. Citizen (e.g. holding a U.S. green card)?

☐ 是 Yes ☐ 否 No

☐ 是 Yes ☐ 否 No

如閣下是美國公民/美國居民，請提供閣下的聯邦納稅人識別號碼(納稅人號碼)  
If you are a U.S. Citizen/U.S. Resident, please provide your Tax Identification Number ("TIN")

## 共同匯報自我證明標準

## Self-Certification of Common Reporting Standard

根據[共同匯報標準]「CRS」的規定，請確認閣下的稅務居民身份狀況。提供以下資料，列明(i)閣下的居留司法管轄區，亦即閣下的稅務管轄區(香港包括在內)及(ii)該居留司法管轄區發給閣下的稅務編號或具有同等功能的識別編號『稅務編號』。列出所有(不限於5個)居留司法管轄區。

Please confirm your tax residency status under the requirements of Common Reporting Standard "CRS". Please complete the following table indicating (i) the jurisdiction of residence (including Hong Kong) where you are a resident for tax purposes and (ii) your Taxpayer Identification Number or Functional Equivalent "TIN" for each jurisdiction indicated. Indicate ALL (not restricted to five) jurisdictions of residence.

若閣下是香港/中國稅務居民，稅務編號是其香港身份證/中國居民身份證號碼。

If you are a tax resident of Hong Kong/China, the TIN is your HKID Card No./Chinese Resident Id Card No.

若沒有提供稅務編號，必須填寫合適的理由A、B或C：

If no TIN is available, provide the appropriate reason A, B or C:

理由A—閣下的居留司法管轄區並沒有向其居民發出稅務編號。

理由B—閣下不能取得稅務編號。如選取這一理由，請解釋閣下不能取得稅務編號的原因。

理由C—閣下毋須提供稅務編號。居留的司法管轄區的主管機關不需要閣下披露稅務編號。

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. Please 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.

帳戶持有人 Account Holder (1)	居留司法管轄區(國家) Jurisdiction of Residence (Country)	稅務編號 TIN	如沒有提供稅務編號，請填寫理由A、B或C Indicate Reason A, B or C if no TIN is available	如選取理由B，請解釋閣下不能取得稅務編號的原因 Explain why you are unable to obtain a TIN
	(1)			
	(2)			
	(3)			
	(4)			
	(5)			
帳戶持有人 Account Holder (2)	居留司法管轄區(國家) Jurisdiction of Residence (Country)	稅務編號 TIN	如沒有提供稅務編號，請填寫理由A、B或C Indicate Reason A, B or C if no TIN is available	如選取理由B，請解釋閣下不能取得稅務編號的原因 Explain why you are unable to obtain a TIN
	(1)			
	(2)			
	(3)			
	(4)			
	(5)			

## 客戶聲明 CLIENT DECLARATION

閣下是否與凱敏證券董事或僱員有任何關係? Do you have any relationship with the Director(s) or Employee(s) of HSL?		
<input type="checkbox"/> 否 No	<input type="checkbox"/> 是 請註明 Yes Please specify:	
		董事或僱員姓名 Name of Director or Employee      關係 Relationship
閣下是證券及期貨事務監察委員會「證監會」持牌人/註冊人或交易所參與者之董事或僱員? Are you a Director or an Employee of any Licensed/Registered Person of the Securities and Futures Commission "SFC" or any Exchange Participant?		
<input type="checkbox"/> 否 No	<input type="checkbox"/> 是 請註明 Yes Please specify:	
		證監會持牌人/註冊人或交易所參與者之董事或僱員姓名 Name of Licensed/Registered Person of the SFC or the Exchange Participant Please also provide the Employer's consent letter.
閣下 是否任何上市公司的董事、行政總裁或主要股東? Are you a Director, Chief Executive or Substantial Shareholder of any Company?		
<input type="checkbox"/> 否 No	<input type="checkbox"/> 是 請註明 Yes Please specify:	
		上市公司 Listed Company      職位 Position
閣下、閣下之配偶、伴侶、子女、父母、子女之配偶或伴侶、與閣下關係密切的人士是否「政治人物」(即該人士在任何地方及/或國際組織擔任或曾擔任重要公職、包括但不限於國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事)? Are you, your spouse, partner, children, parents, spouse or partner of your children, or any close associate of you a "Politically Exposed Person" ("PEP")(i.e. an individual is or has been entrusted with a prominent public function in any place and/or by any international organization, including but not limited to a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and an important political party official)?		
<input type="checkbox"/> 否 No	<input type="checkbox"/> 是 請註明 Yes Please specify:	
		政治人物姓名 Name of PEP      地方及所擔任的公職 Place and Public Function entrusted with      關係 Relationship
閣下是否帳戶之最終負責發出指示人? Are you the Person(s) ultimately responsible for originating instructions for the Account?		
<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 否 請註明: No Please specify	
		最終負責發出交易指出人士之姓名 Name of the Person(s) ultimately responsible for originating instructions for the Account
地址: Address		身份證/護照號碼 ID Card/Passport No.      簽發國家 Issuing Country      電話號碼 Telephone No.:
		與客戶的關係及原因 Relationship with the Client and reasons

閣下是否帳戶之最終受益擁有者? Are you the Ultimate Beneficial Owner of the Account?		
<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 否 No 請註明 Please specify:	
		最終受益擁有者之姓名 Name of the Ultimate Beneficial Owner of the Account
地址: Address		身份證/護照號碼 ID Card/Passport No.:      簽發國家 Issuing Country:      電話號碼 Telephone No.:
		與客戶的關係及原因 Relationship with the Client and reasons:

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

☐ We hereby acknowledge and undertake that:  
吾等謹此確認及承諾

**戶口種類 Account Type**

**託管帳戶 Custodian Account**

Please open a Custodian Account for me/us. We have read and understand the provisions of the Securities Client Agreement and agree to be bound by same.

請為我們開立託管帳戶。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。

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.

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。

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 From within 30 day of such change in circumstances.** Hermes Securities Limited is authorized to contact anyone, including Customer's banks, brokers or any credit agency, for verifying the information provided on this form.

我們知悉在這客戶資料表情("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們的居留私法管轄區的稅務當局。我們確認表格中提供的訊息和聲明是真實和準確的。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。包括客戶的銀行，經紀人或任何信用機構，以驗證本表格上提供的訊息。**

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 Clients 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。

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 I/We or give I/We sufficient time to deposit additional funds, before liquidation of positions.

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客戶進行額外的存款。

The information provided in this Account Opening Form is true, correct and complete, and we have not willfully withheld any material fact(s). We authorize HSL to confirm and verify the information from any source that HSL considers appropriate, including performing any credit checks on us. HSL is entitled to rely fully on such information and representations for all purposes, unless HSL receives notice in writing of any change. We confirm and undertake that we will notify HSL in writing on any changes within fourteen (14) days.

本開戶表格中所提供的資料均屬真實、完整及準確無訛，及吾等並未刻意隱瞞任何重要事實。吾等授權凱敏證券可向任何凱敏證券認為適當的資料來源確定和查證，包括進行任何對於吾等的信貸查證。除非凱敏證券收到任何資料改變的收書面通知，凱敏證券可完全依據這些資料及陳述，作任何用途。吾等確認及承諾，如所提供之資料有任何更改，均會於十四(14)天內以面通知凱敏證券。

We have received, read and understood the terms and conditions of Client Agreement (Securities Trading Account) and Personal Information Collection Statement ("the Agreements") applicable to us. We apply to open the above type(s) of Account(s) and agree to be bound by the terms and conditions of Agreements. HSL has the absolute right to change, amend, delete or substitute any terms and conditions of the Agreements from time to time by giving us such notice. Such changes, amendment, deletion or substitution shall be deemed as effective and incorporated therein (and shall form part of the Agreement) on the date of publication or issue of such notice. Unless HSL has received our request to close the Account(s), if we continue to use the Account(s), we shall be deemed to have accepted such change, amendment, deletion or substitution.

吾等已收取、閱讀及明白客戶協議書(證券交易帳戶)，及個人資料收集聲明「協議書」的條款及細則。吾等申請開立上述類別的帳戶，並同意及接納受協議書的條款及細則約束。凱敏證券有絕對酌情權不時修訂、更改、刪減或取代協議書的條款及細則，並向吾等發出通知。該修訂、更改、刪減或取代的條款及細則將於相關通知刊載之日起生效，並被視為納入本協議書內。除非凱敏證券收到吾等取消帳戶通知，否則表示吾等接納該更改條款及細則。

We confirm that Risk Disclosure Statements as contained in the Agreements have been provided to us in the language of our choice (English or Chinese).

We have been invited to read such Risk Disclosure Statements, ask questions relating thereto and seek any independent advice as we wish before signing this Account Opening Form. We further understand that the Risk Disclosure Statements do not purport to disclose or explain all the risks and other important aspects of trading in financial products concerned, and we have been advised not to engage in trading in financial products unless we understand the nature

and risks of such financial products. We should carefully consider whether trading in the relevant financial products is appropriate for us in light of our investment objectives, experience, risk appetite and financial resources, and we are advised to seek independent and professional advice.

吾等確認已按照吾等所選擇語言（英文或中文）獲提供協議書的風險披露聲明，且已獲邀在簽署本開戶表格前，閱讀該風險披露聲明、提出問題及徵求獨立的意見（如吾等有此意願）。吾等進一步明白該風險披露聲明並未能披露或解釋涉及金融產品交易的所有風險或其他重要事項，除非吾等明白所進行金融產品交易之性質及其風險程度，吾等已被建議不應進行該金融產品的交易。吾等應根據其投資目標、經驗、風險承受能力、財政資源小心考慮進行相關金融產品之交易是否適合吾等，且吾等如有疑問應尋求獨立及專業的意見。

We acknowledge and confirm that we have carefully read and fully understood Clause 15 of the Agreement concerning derivative products, especially nature and risks of derivative products. We further confirm and declare that the licensed representative of HSL has fully explained Clause 15 of the Agreement to us in the plain language(s) of our choice. If we decide to trade in derivative products, we shall understand the nature and risks of derivative products and have sufficient net worth to assume the risks and bear the potential losses of trading in derivative products. HSL will not solicit or provide recommendations to a client on trading in derivative products if he/she does not have any knowledge or experience in trading in derivative products.

吾等承認並確認，吾等已細閱及完全明白協議書內關於衍生產品的第 15 條條款，特別是衍生產品的性質及風險。吾等進一步確認凱敏證券的持牌代表已按照吾等所選擇的淺白語言向吾等詳細解釋協議書的第 15 條條款。假如吾等打算買賣衍生產品，吾等應明白衍生產品的性質及風險，並有足夠的淨資產來承擔因買賣衍生產品而可能招致的風險和損失。假如客戶並沒有衍生工具產品的任何知識或經驗，凱敏證券不會向客戶就衍生產品作出建議或招攬行為。

According to the Foreign Account Tax Compliance Act (“FATCA”), we give consent to HSL to report our corporate information to the U.S. Internal Revenue Service or other relevant tax authorities in order to comply with the FATCA. We understand and acknowledge that HSL may suffer loss or incur penalty and/or damage if the information provided in the “Entity Self-Certification Form (FATCA and CRS)” (“the Entity Self-Certification Form”) is or proves to be incorrect, false or misleading when made. We agree to indemnify HSL on demand for such loss, penalty and/or damage. We further agree that we will notify HSL in writing within fourteen (14) days of any change of our U.S. tax status.

根據海外帳戶稅收合規法案（「FATCA」），吾等同意凱敏證券將吾等的公司資料匯報予美國國家稅務局或其他有關稅務當局，以遵從 FATCA。吾等知道及確認，倘若所載於「實體自我證明表格（海外帳戶稅收合規法案及共同匯報標準）」（「實體自我證明表格」）的資料是或被證明是不正確、虛假或具誤導性，凱敏證券可能因此蒙受損失或招致刑罰及／或損害。吾等就所有該等損失、刑罰及／或損害對凱敏證券作出補償。吾等同意，倘若吾等的美國稅務狀況有任何改變，吾等於十四（14）天內以書面方式通告凱敏證券。

According to the Common Reporting Standard (“CRS”), “Tax Residents of Reportable Jurisdictions” refer to those who are liable to tax by reason of residence in the jurisdictions. In general, whether or not an individual is a tax resident of a jurisdiction is determined by having regard to the person’s physical presence or stay in a place (e.g. whether over 183 days within a tax year). HSL will request a self-certification and/or other relevant documentation in order to establish our tax residence for automatic exchange of account information purposes. If there is any change in circumstances that would affect our tax residence or there is a reason for HSL to know that the self-certification is incorrect or unreliable, HSL reserves the right to request and we have the obligation to provide a new self-certification and/or additional documentation. As an account holder, we shall be deemed to acknowledge that further information may need to be provided to HSL. HSL’s compliance with the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap. 112) and/or guidance may result in gathering, storing, using, and processing our information. Our information may also be disclosed to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region, which is further exchanged with tax authorities of another jurisdiction or jurisdictions in which we may be resident for tax purposes. Where we fail to provide any requested information (regardless of the consequences), HSL reserves the right to take any action and/or pursue all remedies at its disposal including, without limitation to restrict or terminate the operation of the account. We also agree to inform HSL in writing within fourteen (14) days upon any changes in the information provided in the Entity Self-Certification Form. We understand and acknowledged that HSL may suffer loss or incur penalty and/or damage if such information provided is or proves to be incorrect, false or misleading when made. We agreed to indemnify HSL on demand for such loss, penalty and/or damage.

根據共同匯報標準（「CRS」）的條文，「申報稅務管轄區的稅務居民」是指該些在相關稅務管轄區因其居民身分而有繳稅責任的人。一般而言，要斷定某人是否屬一個稅務管轄區的稅務居民，會根據該人身處之地或逗留於該地的時間（例如一個課稅年度超過 183 天）。凱敏證券要求吾等提供自我證明或其他檔以揭示吾等納稅所在地，以作自動交換帳戶資料用途。如吾等因任何情況而影響吾等的納稅所在地，或令凱敏證券有理由相信吾等之自我證明有不正確或不可靠時，凱敏證券保留權利可要求吾等遞交新的自我證明及／或額外檔。作為帳戶持有人，吾等承諾及同意向凱敏證券提供進一步的資料。凱敏證券為遵守香港《稅務條例》（第 112 章）有關交換財務帳戶資料的法律條文及／或指引，可能導致收集、儲存、使用及處理吾等的資料。吾等的資料亦可向香港特別行政區政府稅務局披露，從而把資料轉交到吾等的居留司法管轄區的稅務當局。如果吾等未能提供任何所要求的資料，凱敏證券保留採取任何補救措施的權利，包括（但不限於）限制及終止帳戶的運作。吾等同意，若吾等所載於實體自我證明表格內的資料有任何變更，會於十四（14）天內以書面通知凱敏證券。吾等知道及確認，倘若該等資料是或被證明是不正確、虛假或具誤導性，凱敏證券可能因此蒙受損失或招致刑罰及／或損害。吾等就所有該等損失、刑罰及／或損害對凱敏證券作出彌償。

We agree that HSL may contact us via telephone or e-mail from time to time, for the purpose of improving client communication and delivering better quality customer service.

吾等同意凱敏證券可以不時以電話或電郵聯絡吾等，以改善客戶溝通及提供更優質客戶服務為目的。

We understand and agree that HSL has the rights to suspend our account(s) held with HSL and request us to provide more information if there are any abnormal or suspicious activities in our account(s).

吾等明白及同意，若吾等的帳戶有任何不尋常或可疑活動，凱敏證券有權凍結吾等的帳戶並要求吾等的帳戶提供更多資料。

We understand that, in the event of any discrepancy between the English and Chinese version, the English version shall prevail.

吾等明白，倘若中文版本與英文版本在解釋或意義方面有任何歧義，應以英文版本為準。



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

<p>本人/吾等明白凱敏證券(視情況而定)有最終接納開戶與否之權利。 I/We understand that the opening of the Account(s) is subject to the final acceptance of HSL as the case may be.</p> <p>倘若中文牌本與英文牌本在解釋或意義方面有任何歧異,本人/吾等同意應以英文牌本為準。 I/We agree that, in the event of any discrepancy between the Chinese and English version, the English version shall prevail.</p>			
<p>客戶確認及承諾 Acknowledged and undertaken by the Client:</p>			
<p>個人/聯名帳戶主要持有人 Individual/Primary Joint Account Holder</p>		<p>聯名帳戶第二持有人 Secondary Joint Account Holder</p>	
<p>客戶簽署 Client Signature _____</p>		<p>客戶簽署 Client Signature _____</p>	
<p>客戶姓名 Client Name: _____</p>		<p>客戶姓名 Client Name: _____</p>	
<p>日期 Date _____</p>		<p>日期 Date _____</p>	
<p><b>只適用於聯名帳戶 For Joint Account Only</b></p>			
<p>所有帳戶書面指示須由 All written instructions of the account shall be:</p>			
<p>個人/聯名帳戶主要持有人及第二持有人同時簽署 <input type="checkbox"/> Individual/Primary Joint Account Holder <b>AND</b> Secondary Joint Account Holder</p>	<p>個人/聯名帳戶主要持有人或第二持有人同時簽署 <input type="checkbox"/> Individual/Primary Joint Account Holder <b>OR</b> Secondary Joint Account Holder</p>	<p>個人/聯名帳戶主要持有人獨立簽署 <input type="checkbox"/> Singly signed by Individual/Primary Joint Account Holder</p>	<p>聯名帳戶第二持有人獨立簽署 <input type="checkbox"/> Singly signed by Secondary Joint Account Holder</p>

## 驗證(由凱敏證券持牌代表專業人士填寫) Certification (to be completed by HSL's Licensed Representative or Professional)

<p>本人謹此驗證,在開戶表格中的客戶聲明所寫的日期當日,本開戶表格所指明的客戶的表格的簽立及有關正本身份證明文件的見證在本人面前執行及驗證。 I hereby certify that the signing of the Account Opening Form by the Client(s) named in this Account Opening Form and sighting of the related original identity documents of the Client(s) is/are executed and certified in my presence on the date written in Client Declaration of this Account Opening Form.</p>		
<p>*見證人姓名 Name of Witness</p>	<p>見證人簽署 Signature of Witness</p>	<p>日期 Date</p>
<p>見證人身份 Capacity of Witness:</p> <p><input type="checkbox"/> 凱敏證券持牌代表 Licensed Representative of HSL (中央編號 CE No: _____)</p> <p><input type="checkbox"/> 太平紳士 Justice of the Peace</p> <p><input type="checkbox"/> 專業人士(請提供名片)Professional Person (Please provide name card) 職業 Occupation: _____</p>		
<p>如本開戶表格並非在凱敏證券持牌代表前簽立,則客戶的本開戶表格的簽立,及有關正本身份證明文件的見證,應由其他持牌人/註冊人的持牌代表或聯繫人士、太平紳士或專業人士(例如銀行分行經理、執業會計師、律師或公證人)的面前執行及驗證。此外,客戶的身份亦可以適當地核實:客戶提凱敏證券在香港的持牌銀行開立的帳戶並由客戶所簽發(該簽名須與此客戶表格上的客戶簽名相符並載有客戶在其身份證明文件上所顯示的姓名的一張劃線支票,而該支票抬頭人須為「凱敏證券有限公司」及其數額不得少於港幣 10,000,新帳戶必須待清算支票後才可使用。 If this Account Opening Forms are not executed in the presence of licensed representative of HSL, the signing of this Account Opening Form and sighting of related original identity documents of the Client(s) by the Client(s) should be certified in the presence of any licensed representative or an affiliate of other licensed or registered person, a Justice of the Peace, a Professional Person (such as a Branch Manager of a Licensed Bank, a Certified Public Accountant, a</p>		

Lawyer or a Notary Public). Alternatively, the identity of the Client(s) can be properly verified: Client(s) gives HSL a crossed cheque bearing the Client's name shown in his identity document and drawn on his bank account with a licensed bank in Hong Kong with his same signature(s) as shown on this Account Opening Form in favour of "Hermes Securities Limited" for not less than HK\$10,000. The new account will not be activated until the cheque is cleared.