



凱敏證券有限公司

HERMES SECURITIES LIMITED

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凱敏證券有限公司（「凱敏證券」）是根據《證券及期貨條例》（第571章）就第一類受規管活動（即證券交易）、第四類受規管活動（即就證券提供意見）及第九類受規管活動（即提供資產管理）獲發牌的持牌法團，其中央編號為AEU219，為香港聯合交易所有限公司的交易所參與者。

Hermes Securities Limited ("HSL") is a licensed corporation that is licensed for Type 1 Regulated Activity (i.e. Dealing in Securities), Type 4 Regulated Activity (i.e. Advising on Securities) and Type 9 Regulated Activity (i.e. Asset Management) under the Securities and Futures Ordinance (Cap. 571) with CE No. AEU219 and is an Exchange Participant of The Stock Exchange of Hong Kong Limited.

開戶表格 ACCOUNT OPENING FORM (個人/聯名賬戶 INDIVIDUAL/JOINT ACCOUNT)

(只供內部使用 For Internal Use Only)

負責客戶主任姓名及編號 Responsible AE Name & Code		介紹人 Introduced by	
賬戶號碼 Account No		開戶日期 Account Opening Date	

A. 賬戶類別 Account Type

賬戶類別 Account Type	<input type="checkbox"/> 現金賬戶 Cash Account	<input type="checkbox"/> 融資賬戶 Margin Account	賬戶形式 Account Nature	<input type="checkbox"/> 個人賬戶 Individual Account	<input type="checkbox"/> 聯名賬戶 Joint Account
是否需要網上交易服務? Require internet trading services?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No		是否需要買賣美股服務? Require services in trading U.S. stocks?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No	

B1. 個人資料 Personal Information

個人/聯名賬戶主要持有人 Individual/Primary Joint Account Holder		聯名賬戶第二持有人 Secondary Joint Account Holder	
<input type="checkbox"/> 先生 Mr <input type="checkbox"/> 女士 Ms		<input type="checkbox"/> 先生 Mr <input type="checkbox"/> 女士 Ms	
中文姓名 Name in Chinese		中文姓名 Name in Chinese	
英文姓名 (先寫姓氏) · 姓名必須與閣下的身份證/護照的 記錄相符 Name in English (Surname First) as per your ID Card/Passport		英文姓名 (先寫姓氏) · 姓名必須與閣下的身份證/護照的記 錄相符 Name in English (Surname First) as per your ID Card/Passport	
居住地址 Residential Address		居住地址 Residential Address	
通訊地址 Correspondence Address		通訊地址 Correspondence Address	
住宅電話號碼 Home Phone No.		住宅電話號碼 Home Phone No.	
手提電話號碼 Mobile Phone No.		手提電話號碼 Mobile Phone No.	
電郵地址 E-mail Address		電郵地址 E-mail Address	
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	
出生日期 (日/月/年) Date of birth (DD/MM/YY)		出生日期 (日/月/年) Date of birth (DD/MM/YY)	
出生地點 Place of Birth		出生地點 Place of Birth	
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 or 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 or Above

B2. 工作狀況 Employment Status

個人/聯名賬戶主要持有人 Individual/Primary Joint Account Holder		聯名賬戶第二持有人 Secondary Joint Account Holder	
<input type="checkbox"/> 自僱 / 僱主 Self-Employed / Owner <input type="checkbox"/> 受僱 Employed <input type="checkbox"/> 待業 Unemployed <input type="checkbox"/> 退休 Retired <input type="checkbox"/> 家庭主婦 Housewife <input type="checkbox"/> 學生 Student <input type="checkbox"/> 其他 (請註明) Other (Please specify): _____		<input type="checkbox"/> 自僱 / 僱主 Self-Employed / Owner <input type="checkbox"/> 受僱 Employed <input type="checkbox"/> 待業 Unemployed <input type="checkbox"/> 退休 Retired <input type="checkbox"/> 家庭主婦 Housewife <input type="checkbox"/> 學生 Student <input type="checkbox"/> 其他 (請註明) Other (Please specify): _____	
職業行業 Occupation Industry		職業行業 Occupation Industry	
職位 Position		職位 Position	
公司名稱 Name of Employer		公司名稱 Name of Employer	
公司地址 Office Address		公司地址 Office Address	
公司電話號碼 Office Phone No.		公司電話號碼 Office Phone No.	
工作年期 Year of Employment		工作年期 Year of Employment	

B3. 財政狀況 Financial Profile

個人/聯名賬戶主要持有人 Individual/Primary Joint Account Holder		聯名賬戶第二持有人 Secondary Joint Account Holder	
每年收入 (港幣) Annual Income (HKD)	<input type="checkbox"/> <HKD 200,000 <input type="checkbox"/> HKD200,000 – HKD500,000 <input type="checkbox"/> HKD500,001 – HKD1,000,000 <input type="checkbox"/> HKD1,000,001 – HKD3,000,000 <input type="checkbox"/> >HKD3,000,000 (請註明 Please specify): _____	每年收入 (港幣) Annual Income (HKD)	<input type="checkbox"/> <HKD 200,000 <input type="checkbox"/> HKD200,000 – HKD500,000 <input type="checkbox"/> HKD500,001 – HKD1,000,000 <input type="checkbox"/> HKD1,000,001 – HKD3,000,000 <input type="checkbox"/> >HKD3,000,000 (請註明 Please specify): _____
總資產淨值 (港幣) Total Net Worth (HKD)	<input type="checkbox"/> <HKD 500,000 <input type="checkbox"/> HKD500,000 – 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 (請註明 Please specify): _____	總資產淨值 (港幣) Total Net Worth (HKD)	<input type="checkbox"/> <HKD 500,000 <input type="checkbox"/> HKD500,000 – 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 (請註明 Please specify): _____
資金來源 Source of Funds	<input type="checkbox"/> 受僱收入 Employment Income <input type="checkbox"/> 投資利潤 Investment Profit <input type="checkbox"/> 個人業務收益 Profit from own business <input type="checkbox"/> 退休金 Pension <input type="checkbox"/> 出售資產 / 物業 Sales of Assets / Property <input type="checkbox"/> 其他 (請註明) Other (Please specify): _____	資金來源 Source of Funds	<input type="checkbox"/> 受僱收入 Employment Income <input type="checkbox"/> 投資利潤 Investment Profit <input type="checkbox"/> 個人業務收益 Profit from own business <input type="checkbox"/> 退休金 Pension <input type="checkbox"/> 出售資產 / 物業 Sales of Assets / Property <input type="checkbox"/> 其他 (請註明) Other (Please specify): _____
住宅業權 Ownership of Residence	<input type="checkbox"/> 自置 Owned <input type="checkbox"/> 租住 Rented <input type="checkbox"/> 按揭 Mortgaged <input type="checkbox"/> 與家人同住 Living with Family <input type="checkbox"/> 其他 (請註明) Other (Please specify): _____	住宅業權 Ownership of Residence	<input type="checkbox"/> 自置 Owned <input type="checkbox"/> 租住 Rented <input type="checkbox"/> 按揭 Mortgaged <input type="checkbox"/> 與家人同住 Living with Family <input type="checkbox"/> 其他 (請註明) Other (Please specify): _____

B4. 投資經驗，知識及風險狀況 Investment Experience, Knowledge & Risk Profile

投資目標 Investment Objective	<input type="checkbox"/> 保本主導 Capital Preservation <input type="checkbox"/> 收入主導 Income Oriented <input type="checkbox"/> 增長主導 Growth Oriented <input type="checkbox"/> 收入及增長主導 Income & Growth Oriented <input type="checkbox"/> 積極增長 Aggressive Growth									
	個人/聯名賬戶主要持有人 Individual/Primary Joint Account Holder					聯名賬戶第二持有人 Secondary Joint Account Holder				
投資產品及經驗 Investment Product(s) & Experience (a) 股票 Stocks (b) 交易所買賣基金 Exchange Traded Funds (c) 非交易所買賣基金 Non Exchange Traded Funds (d) 固定收益產品(傳統) Fixed Income Products (Plain Vanilla) (e) 固定收益產品(複雜) Fixed Income Products (Complex) (f) 投資相連保險計劃 Investment-lined Insurance Plans (g) 上市衍生工具/結構性 產品 Listed Derivatives / Structured Products (h) 場外衍生工具/結構性 產品 OTC Derivatives / Structured Products (i) 槓桿外匯投資 Leveraged FX Trading	沒有 None	0-3	4-6	7-10	>10 年 Years	沒有 None	0-3	4-6	7-10	>10 年 Years
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
衍生產品的知識 Knowledge of Derivative Products (衍生產品包括衍生權 證、牛熊證、交易所買賣 基金及股票掛鈎票據。 Derivative products included derivative warrants, callable bull/bear contracts, exchange traded funds and equity linked instruments.)	<input type="checkbox"/> 本人曾接受有關衍生產品的培訓或修讀相關課。 I have undergone training or attended courses on derivative products. <input type="checkbox"/> 本人現時或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 derivative 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"/> 本人曾接受有關衍生產品的培訓或修讀相關課。 I have undergone training or attended courses on derivative products. <input type="checkbox"/> 本人現時或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 derivative 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.				

B5. 指定銀行賬戶 (提取款項) Designated Bank Account (Withdrawal of Funds)

(銀行賬戶持有人的名稱必須與客戶全名相符 Bank Account Holder's name must be the same as the Client's Full name)

本人/吾等謹此指定以下的銀行賬戶作為提取款項用途的銀行賬戶。本人/吾等謹此指示及授權凱敏證券將任何或所應付予本人/吾等之款項存入以下銀行賬戶。本人/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本人/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 me/us as the bank account for the purpose of withdrawal of funds. I/We hereby instruct and authorize HSL to deposit any or all funds payable to me/us into the following bank account(s). I/We agree that HSL should not be held liable for any loss, expenses or damages suffered by me/us as a result of any delay in depositing such payments caused by any reasons whatsoever.	
貨幣 Currency: <input type="checkbox"/> 港幣 HKD <input type="checkbox"/> 人民幣 RMB <input type="checkbox"/> 美元 USD 銀行名稱 Bank Name: _____ 賬戶號碼 Account Number: _____ 指定銀行所在國家/地區 Country/Area of Designated Bank: _____	貨幣 Currency: <input type="checkbox"/> 港幣 HKD <input type="checkbox"/> 人民幣 RMB <input type="checkbox"/> 美元 USD 銀行名稱 Bank Name: _____ 賬戶號碼 Account Number: _____ 指定銀行所在國家/地區 Country/Area of Designated Bank: _____

B6. 通訊方法 Method of Communication

請提供閣下/吾等的最新的電郵地址或郵寄地址，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、戶口結單及收據將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 means :

- 電郵方式 By E-mail
- 郵遞方式*至 By Mail* to :
- 居住地址 Residential Address 通訊地址 Correspondence Address 公司地址 Office Address

就聯名賬戶，通告、成交單據、戶口結單及收據將寄往至聯名賬戶主要持有人。
For Joint Account, notice, contract notes, statements of accounts and receipts will be sent to Primary Joint Account Holder.

*如選用郵遞方式，將收取郵遞服務費每月港幣\$200.00
*If your preferred method of communication is mailing, a postage service fee shall be charged HKD200.00 each month.

C. 關連賬戶 Related Account

個人/聯名賬戶主要持有人 Individual/Primary Joint Account Holder	聯名賬戶第二持有人 Secondary Joint Account Holder
<p>1. 閣下的配偶是否持有任何凱敏證券賬戶? Does your spouse maintain any account(s) with HSL?</p> <p><input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes, 請註明 Please specify :</p> <p>賬戶持有人姓名 _____ 身份證/賬戶號碼 _____ Name of Account Holder ID Card/Account No.</p>	<p>1. 閣下的配偶是否持有任何凱敏證券賬戶? Does your spouse maintain any account(s) with HSL?</p> <p><input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes, 請註明 Please specify :</p> <p>賬戶持有人姓名 _____ 身份證/賬戶號碼 _____ Name of Account Holder ID Card/Account No.</p>
<p>2. 閣下是否單獨或與其配偶共同控制凱敏證券任何融資公司賬戶的 35% 或以上表決權? Are you in control, either alone or with your spouse, of 35% or more of the voting rights of any margin corporate account(s) of HSL?</p> <p><input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes, 請註明 Please specify :</p> <p>賬戶持有人姓名 _____ 公司編號/賬戶號碼 _____ Name of Account Holder Company/Account No.</p>	<p>2. 閣下是否單獨或與其配偶共同控制凱敏證券任何融資公司賬戶的 35% 或以上表決權? Are you in control, either alone or with your spouse, of 35% or more of the voting rights of any margin corporate account(s) of HSL?</p> <p><input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes, 請註明 Please specify :</p> <p>賬戶持有人姓名 _____ 公司編號/賬戶號碼 _____ Name of Account Holder Company/Account No.</p>

D. 客戶聲明 Client Declaration

個人/聯名賬戶主要持有人 Individual/Primary Joint Account Holder	聯名賬戶第二持有人 Secondary Joint Account Holder
<p>1. 閣下是否與凱敏證券之董事或僱員有任何關係? Do you have any relationship with the director(s) or employee(s) of HSL?</p> <p><input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes, 請註明 Please specify :</p> <p>董事/僱員姓名 _____ 關係 _____ Name of Director/Employee Relationship</p>	<p>1. 閣下是否與凱敏證券之董事或僱員有任何關係? Do you have any relationship with the director(s) or employee(s) of HSL?</p> <p><input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes, 請註明 Please specify :</p> <p>董事/僱員姓名 _____ 關係 _____ Name of Director/Employee Relationship</p>
<p>2. 閣下是否任何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的僱員或董事? Are you an employee or a director of any Licensed/Registered Person of the Securities and Futures Commission ("SFC") or any Exchange Participant?</p> <p><input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes, 請註明 Please specify :</p> <p>證監會持牌人/註冊人或交易所參與者之姓名 Name of Licensed/Registered Person of the SFC or the Exchange Participant</p> <p>請提供閣下僱主之書面同意書。 Please also provide employer's written consent letter.</p>	<p>2. 閣下是否任何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的僱員或董事? Are you an employee or a director of any Licensed/Registered Person of the Securities and Futures Commission ("SFC") or any Exchange Participant?</p> <p><input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes, 請註明 Please specify :</p> <p>證監會持牌人/註冊人或交易所參與者之姓名 Name of Licensed/Registered Person of the SFC or the Exchange Participant</p> <p>請提供閣下僱主之書面同意書。 Please also provide employer's written consent letter.</p>

3. 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 listed company?

否 No 是 Yes，請註明 Please specify：

上市公司姓名 職位
Name of Listed Company Position

4. 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 government, judicial or military official, senior executive of a state-owned corporation and an important political party official)?

否 No 是 Yes，請註明 Please specify：

政治人物姓名 關係
Name of PEP Relationship

地方及所擔任的公職
Place & Public Function entrusted with

3. 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 listed company?

否 No 是 Yes，請註明 Please specify：

上市公司姓名 職位
Name of Listed Company Position

4. 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 government, judicial or military official, senior executive of a state-owned corporation and an important political party official)?

否 No 是 Yes，請註明 Please specify：

政治人物姓名 關係
Name of PEP Relationship

地方及所擔任的公職
Place & Public Function entrusted with

5. 閣下是否此賬戶之最終負責發出指示人？
Are you the Person(s) ultimately responsible for originating instructions for the Account?

是 Yes 否 No，請註明 Please specify：

最終負責發出交易指示人士之姓名
Name of the Person(s) ultimately responsible for originating instructions for the Account

身份證/護照號碼
ID Card/Passport No.

簽發國家
Issuing Country

地址
Address

電話號碼
Telephone No.

與客戶的關係及原因
Relationship with the Client and reasons

6. 閣下是否此賬戶之最終受益擁有人？
Are you the ultimate beneficial owner of the Account?

是 Yes 否 No，請註明 Please specify：

最終受益擁有人之姓名
Name of the ultimate beneficial owner of the Account

身份證/護照號碼
ID Card/Passport No.

簽發國家
Issuing Country

地址
Address

電話號碼
Telephone No.

與客戶的關係及原因
Relationship with the Client and reasons

E. 美國公民/居民自我聲明 Self-Certification of U.S. Citizen/Resident

根據美國《外國賬戶稅收合規法案》「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".

	個人/聯名賬戶主要持有人 Individual/Primary Joint Account Holder	聯名賬戶第二持有人 Secondary Joint Account Holder
1. 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)?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
2. 閣下是否美國居民 (如持有美國綠卡)? Are you a U.S. Resident (e.g. holding a U.S. green card)?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
如閣下是美國公民/居民，請提供閣下的聯邦納稅人識別證號碼 (「納稅人號碼」)。 If you are a U.S. Citizen / Resident, please provide your Tax Identification Number ("TIN").	_____	_____

F. 共同匯報標準自我聲明 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。請提供以下資料，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等同功能的識別編號「稅務編號」。列出所有 (不限於 2 個) 居留司法管轄區。

若閣下是香港/中國稅務居民，稅務編號是其香港身份證號碼/中國居民身份證號碼。

若沒有提供稅務編號，必須填寫合適的理由 A、B 或 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。居留司法管轄區的主管機關不需要閣下披露稅務編號。

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 two)** jurisdictions of residence.

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

If no TIN is available, 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. 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.

個人/聯名賬戶主要持有人 Individual/Primary Joint Account Holder			聯名賬戶第二持有人 Secondary Joint Account Holder		
居民司法管轄區 (國家) Jurisdiction of Residence (Country)	(1)	(2)	居民司法管轄區 (國家) Jurisdiction of Residence (Country)	(1)	(2)
稅務編號 TIN			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	<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	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	<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
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 if selected Reason B			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 if selected Reason B		

G. 使用個人資料作直接促銷 Use of Personal Data in Direct Marketing

凱敏證券擬使用閣下/吾等的個人資料作直接促銷。該等個人資料包括閣下/吾等在開戶文件中向凱敏證券提供的及凱敏證券不時獲得的姓名、聯絡詳情、財務背景、人口及統計資料等。本人/吾等明確同意，凱敏證券可使用或轉移本人/吾等的個人資料，作直接促銷用途。本人/吾等進一步同意收取凱敏證券該等直接促銷資料，除非本人/吾等在下方表示反對：

HSL intends to use your personal data for direct marketing. Personal data includes name, contact details, financial backgrounds, as well as demographic and statistical data which are provided to HSL under the account opening documents or obtained by HSL from time to time. I/We explicitly agree that my/our personal data may be used by or transferred to HSL for direct marketing purpose. I/We further agree to receive such direct marketing materials from HSL, unless I/We indicate an objection herein below:

本人/吾等反對凱敏證券使用或轉移本人/吾等的個人資料，作各種直接促銷用途。

I/We object to the proposed use or transfer of my/our personal data by HSL for all kinds of direct marketing purpose.

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

本人/吾等謹此確認及承諾如下：
I/We hereby acknowledge and undertake the followings:

本開戶表格中所提供的資料均屬真實、完整及準確無訛，及本人/吾等並未刻意隱瞞任何重要事實。本人/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，包括進行任何對於本人/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。本人/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）天內以書面通知凱敏證券。

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

本人/吾等已收取、閱讀及明白客戶協議書(證券交易賬戶)，包括但不限於融資客戶協議書及個人資料收集聲明(「協議書」)的條款及細則。本人/吾等申請開立上述類別的賬戶，並同意及接納受協議書的條款及細則約束。凱敏證券有絕對的情權不時修訂、更改、刪減或取代協議書的條款及細則，並向本人/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，並被視為納入協議書內。除非凱敏證券收到本人/吾等取消賬戶通知，否則表示本人/吾等接納該更改條款及細則。

I/We have received, read and understood the terms and conditions of Client Agreement (Securities Trading Account), including but not limited to Margin Client Agreement (Securities Trading Account) and Personal Information Collection Statement ("the Agreement") applicable to me/us. I/We apply to open the above type(s) of Account and agree to be bound by the terms and conditions of Agreement. HSL has the absolute right to change, amend, delete or substitute any terms and conditions of the Agreement from time to time by giving me/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 my/our request to close the Account(s), if I/we continue to use the Account(s), I/we shall be deemed to have accepted such change, amendment, deletion or substitution.

本人/吾等確認已按照本人/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(如本人/吾等有此意願)。本人/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，除非本人/吾等明白所進行金融產品交易之性質及其風險程度，本人/吾等已被建議不應進行該金融產品的交易。本人/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本人/吾等，且本人/吾等如有疑問應尋求獨立及專業的意見。

I/We confirm that Risk Disclosure Statements as contained in the Agreement have been provided to me/us in the language of my/our choice (English and Chinese). I/We have been invited to read such Risk Disclosure Statements, ask questions relating thereto and seek any independent advice as I/we wish before signing this Account Opening Form. I/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 I/We have been advised not to engage in trading in financial products unless I/we understand the nature and risk of such financial products. I/We should carefully consider whether trading in the relevant financial products is appropriate for me/us in light of my/our investment objectives, experience, risk appetite and financial resources, and I/we am/are advised to seek independent and professional advice.

本人/吾等承認並確認，本人/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。本人/吾等進一步確認凱敏證券的持牌代表已按照本人/吾等所選擇的淺白語言向本人/吾等詳細解釋協議書的第15條條款。假如本人/吾等打算買賣衍生產品，本人/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。假如本人/吾等並沒有衍生工具產品的任何知識或經驗，凱敏證券不會向本人/吾等就衍生產品作出建議或招攬行為。

I/We acknowledge and confirm that I/we have carefully read and fully understood Clause 15 of the Agreement concerning Derivative Products, especially nature and risks of Derivative Products. I/we further confirm and declare that the licensed representative of HSL has fully explained Clause 15 of the Agreement to me/us in the plain language(s) of my/our choice. If I/we decide to trade in Derivative Products, I/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 me/us on trading in Derivative Products if I/we do not have any knowledge or experience in trading in Derivative Products.

本人/吾等確保本人/吾等對存入的款項、從本人/吾等銀行賬戶發出的支票、證券及/或抵押品擁有其擁有權。凱敏證券有絕對的情權決定是否接納該等本人/吾等存入的款項、支票、證券及/或抵押品，並須承擔任何蒙受及/招致的罰款、債項、損害、賠償、費用、損失及開支。

I/We assure that funds, cheques issued from my/our bank account(s), securities and/or collateral(s) is/are solely held by myself/ourselves. HSL shall have the absolute discretion on whether to accept the deposit of such funds, cheques, securities and/or collateral(s) and shall not be liable for any penalty, debt, damages, costs, loss and expenses suffered and/or incurred.

根據 FATCA 的條文，本人/吾等同意凱敏證券將本人/吾等的個人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 的條文。本人/吾等知道及確認，倘若所載於美國公民/居民自我聲明之資料(即開戶表格中的 E 部份)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。本人/吾等就所有該等損失、刑罰及/或損害對凱敏證券作出補償。本人/吾等同意，倘若本人/吾等的美國稅務狀況有任何改變，本人/吾等於十四（14）天內以書面方式通知凱敏證券。

According to the provision of FATCA, I/we give consent to HSL to report my/our personal information to the U.S. Internal Revenue Service or other relevant tax authorities in order to comply with the provisions of FATCA. I/We understand and acknowledge that HSL may suffer loss or incur penalty and/or damage if the information provided in "Self-Certification of U.S. Citizen/Resident" (i.e. Part E of the Account Opening Form) is or proves to be incorrect, false or misleading when made. I/We agree to indemnify HSL on demand for such loss, penalty and/or damage. I/We further agree that I/we will notify HSL in writing within fourteen (14) days of any of change of my/our U.S. tax status.

根據 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)。凱敏證券要求本人/吾等提供自我證明或其他文件以揭示本人/吾等納稅所在地，以作自動交換賬戶資料用途。如本人/吾等因任何情況而影響本人/吾等的納稅所在地，或令凱敏證券有理由相信本人/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本人/吾等遞交新的自我證明及/或額外文件。作為凱敏證券的賬戶持有人，本人/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)有關交換財務賬戶資料的法律條文及/或指引，可能導致收集、儲存、使用及處理本人/吾等的資料。本人/吾等的資料亦可向香港特別行政區政府稅務局披露，從而把資料轉交到本人/吾等的居留司法管轄區的稅務當局。如果本人/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)限制及終止賬戶的運作。

According to the provision of 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 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 my/our tax residence for automatic exchange of account information purposes. If there is any change in circumstances that would affect my/our tax residence or HSL has reasonable cause(s) to believe that the self-certification is incorrect or unreliable, HSL reserves the right to request and I/we have the obligation to provide a new self-certification and/or additional documentation. As an account holder(s) of HSL, I/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 my/our information. My/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 I/we may be resident for tax purposes. Where I/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 restriction or termination of my/our account(s).

本人／吾等同意，若本人／吾等所載於共同匯報標準自我證明的資料（即賬戶開戶表格 F 部份）有任何變更，會於十四（14）天內以書面通知凱敏證券。本人／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。本人／吾等同意就所有該等損失、刑罰及/或損害對凱敏證券作出彌償。

I/We also agree to inform HSL in writing within fourteen (14) days upon any changes in the information provided in the Self-Certification of Common Reporting Standard (i.e. Part F of the Account Opening Form). I/We understand and acknowledge 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. I/We agree to indemnify HSL on demand for such loss, penalty and/or damage.

本人／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。

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

本人／吾等明白及同意，若本人／吾等的賬戶有任何不尋常或可疑活動，凱敏證券有權凍結本人／吾等的賬戶並要求本人／吾等的賬戶提供更多資料。

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

本人／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。

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

H1. 常設授權 STANDING AUTHORITY

本人／吾等確認本人／吾等完全理解並同意本常設授權的內容。

I/We confirm that I/we fully understand and agree to the contents of this Standing Authority.

常設授權通用條款（適用於所有賬戶）

STANDING AUTHORITY GENERAL TERMS (FOR ALL TYPES OF ACCOUNTS)

除文義另有所指外，於本常設授權書內的任何名詞，與《證券及期貨條例》(第571章)、《證券及期貨（客戶款項）規則》及《證券及期貨（客戶證券）規則》不時修訂之定義具有相同意思。

Unless otherwise specified, any term in this Standing Authority shall have the same meaning as defined and amended in the Securities and Futures Ordinance (Cap 571), Securities and Futures (Client Money) Rules and Securities and Futures (Client Securities) Rules from time to time.

為向所有客戶提供標準化服務，本公司現對所有客戶之常設授權設立以下到期日安排：

- 於每年1月1日至6月30日期間開立之賬戶，其常設授權到期日為同年7月31日；及
- 於每年7月1日至12月31日期間開立之賬戶，其常設授權到期日則為下一年7月31日。

此安排旨在統一處理有關的續期工作。

With a view to providing standardized services to all clients, we have adopted the following arrangement for the expiry date of all clients' standing authorities:

- For account(s) opened from 1 January to 30 June, the expiry date of all standing authorities will be set as 31 July of the same year; and
- For account(s) opened from 1 July to 31 December, the expiry date will be set as 31 July of the following year.

This arrangement is designed to synchronize the relevant renewal process for all clients.

本人／吾等明白本人／吾等可以以書面形式向凱敏證券於上述所列明之地址發出通知，撤回本授權書。撤回本授權書之生效日期為凱敏證券收到該通知後起計三十（30）天。

I/We understand that I/we may revoke this Standing Authority by giving written notice to HSL at the above address. The effective date of the revocation shall be 30 days from the date of HSL's receipt of the written notice.

本人／吾等明白常設授權續期通知書將於常設授權屆滿前最少十四天寄予本人／吾等。如凱敏證券於常設授權有效期屆滿前未有接獲本人／吾等書面反對，則本人／吾等之常設授權會在屆滿時按照常設授權的條款及細則視作為同意續期十二個月。

I/We understand that a notice of renewal of the Standing Authority shall be sent to me/us at least 14 days prior to its expiry. If HSL does not receive a letter of objection to the renewal of the Standing Authority prior to its expiry, I/we shall be deemed to have agreed to renew the Standing Authority for a period of 12 months upon the terms and conditions as specified in the Standing Authority.

除非本常設授權書到期或於到期前被撤回（以較早者為準），否則本常設授權書保持有效。

This Standing Authority shall remain effective until the expiration date or until the Standing Authority is revoked by me/us, whichever is earlier.

本人／吾等明白及同意，若本人／吾等的賬戶有任何不尋常或可疑活動，凱敏證券有權凍結本人／吾等的賬戶並要求本人／吾等的賬戶提供更多資料。

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

本人／吾等確認凱敏證券已向其解釋本常設授權書，本人／吾等完全明白本常設授權書的內容，並已經或有機會就其內容及效力尋求法律顧問的意見。I/We confirm that this Standing Authority has been explained to me/us and I/we fully understand the contents of this Standing Authority and have sought, or have had the opportunity to seek, legal advice concerning its contents and effect.

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

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

本人／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。

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

證券及期貨（客戶款項）規則規定的常設授權

STANDING AUTHORITY UNDER THE SECURITIES AND FUTURES (CLIENT MONEY) RULES

本常設授權是涵蓋凱敏證券為本人／吾等在香港以及海外收取或持有並存放於一個或多個獨立賬戶內之款項（包括因持有並非屬於凱敏證券之款項而產生之任何利息）（下稱「款項」）。本人／吾等茲授權凱敏證券處理此等款項。

This Standing Authority covers money held or received by HSL in Hong Kong and overseas (including any interest derived from the holding of the money which does not belong to HSL) in one or more segregated account(s) on my/our behalf ("Monies"). I/We hereby authorize HSL to handle the Monies on my/our behalf.

就凱敏證券為本人／吾等在香港收取或持有的款項，本人／吾等進一步授權凱敏證券：-

Regarding the Monies held or received by HSL in Hong Kong, I/we hereby further authorize HSL to:-

1. 組合或合併凱敏證券所維持的任何性質的任何或全部獨立賬戶，此等組合或合併活動可以個別地或與其他賬戶聯合進行，凱敏證券可將該等獨立賬戶內任何數額之款項作出轉移，以解除吾等對凱敏證券的義務或法律責任，不論此等義務和法律責任是確實或或然的、原有或附帶的、有抵押或無抵押的、共同或分別的；及
Combine or consolidate any or all segregated accounts, of any nature whatsoever and either individually or jointly with others, maintained by HSL from time to time, and HSL may transfer any sum of Monies to and between such segregated account(s) to satisfy my/our obligations or liabilities to HSL, whether such obligations and liabilities are actual or contingent, primary or collateral, secured or unsecured, joint or several; and
2. 凱敏證券可將款項的任何款額任何時間維持的獨立賬戶之間轉入轉出以結清本人／吾等對凱敏證券負有的債務；及
Set-off or transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by HSL towards satisfaction of any of my/our liabilities to HSL; and
3. 可將賬戶內的款項以凱敏證券最終確定的匯率兌換成任何其他貨幣。
Exchange our Monies into any other currency(ies) at the rate of exchange conclusively determined by HSL.

就凱敏證券為本人／吾等在海外收取或持有的款項，本人／吾等進一步授權凱敏證券：-
Regarding the Monies held or received by HSL overseas, I/we hereby further authorize HSL to:-

1. 本常設授權書授權凱敏證券不需事先通知或取得的確認及／或指示可酌情動用款項的全部或部份作買賣海外證券之用、符合交收或按金要求及其他用途；及／或
Use all or part of the Monies at its discretion without prior notice, confirmation and/or instructions for the purposes of sale and purchase of overseas securities and/or compliance with settlement and/or deposit requirements; and/or
2. 將任何數額之款項支付／轉往本人／吾等於凱敏證券的賬戶及／或任何海外金融機構及／或結算公司的期貨賬戶及其繼承人及受讓人以作本人／吾等買賣海外證券之用或符合交收或按金的要求（如適用）；及／或
Pay/transfer any sum of Monies to my/our securities account held with HSL, the futures account(s) of any overseas financial institution(s) and/or overseas clearing firm(s) and their successors for the purpose of trading or meeting the settlement or margin requirement (if applicable) of my/our overseas securities transactions;
3. 從凱敏證券在香港或其他地方設立之一或多個獨立賬戶及在任何海外金融機構及／或結算公司設立之獨立賬戶或於該等賬戶之間來回調動；及／或
Transfer the Monies interchangeably between the segregated account(s) opened and maintained by HSL in Hong Kong and the segregated account(s) opened and maintained by HSL with any overseas financial institution(s) and/or overseas clearing firm(s) outside Hong Kong; and/or
4. 訂立外幣兌換合約，適用於當日或之前為了購買海外期貨合約之用或符合交收或按金的要求（如適用）而需要將資金轉換為其他貨幣，此等兌換合約按凱敏證券慣例並以市場匯率訂立。外幣兌換合約的內容（包括但不限於訂約時間）由凱敏證券全權決定。
Enter into foreign exchange contracts necessary to facilitate the purchase or meet the settlement or margin requirement (if applicable) of the overseas securities on or before the date when the Monies are required to be converted into other currencies for payment at market rates in accordance with HSL's normal practice. HSL has sole discretion to decide the content of the foreign exchange contracts including but not limited to the timing.

凱敏證券可以不向本人／吾等發出通知而採取上述行動。
I/We understand that HSL can take any of the above actions without giving notice to me/us.

本人／吾等明白本常設授權乃鑑於凱敏證券同意開立及繼續維持吾等的證券現金／融資交易賬戶。
I/We understand that this Standing Authority is given to HSL in consideration of HSL's agreement in opening and continuous maintaining Securities Cash/Margin Trading Account for me/us with HSL.

本人／吾等明白本人／吾等的證券可能受制於第三者之權利，凱敏證券可於全數抵償該等權利後，方將本人／吾等的證券退回給本人／吾等。
I/We understand this Standing Authority is given without prejudice to other authorities or rights which HSL may have in relation to dealing in Monies in the segregated accounts.

本人／吾等確認，凱敏證券在香港以外地方收取或持有的本人／吾等的資產，是受到有關海外司法管轄區的適用法律及規例所監管的。這些法律及規例與《證券及期貨條例》（第571條）及根據該條例制訂的規則可能有所不同。因此，有關資產有可能不會享有賦予本人／吾等在香港收取或持有的資產的相同保障。
I/We acknowledge and confirm that my/our assets (including the Monies) received or held by HSL overseas are subject to applicable laws and regulations of the relevant overseas jurisdiction which may be different from the Securities and Futures Ordinance (Cap.571) and the rules made thereunder. Consequently, such assets may not enjoy the same protection as that conferred on my/our assets received or held in Hong Kong.

（本段只適用於證券融資賬戶）當本人／吾等在凱敏證券的個人及／或聯名賬戶沒有現金結餘時，若透過本人／吾等的個人及／或聯名賬戶進行股票孖展貸款，提取資金以滿足其他戶口的按金或交收要求，本人／吾等將面對額外的風險與成本，包括市場風險、保證金交易風險等和需要承擔額外的利息成本。

(This paragraph is only applicable to margin accounts.) When I/We does not have any cash balance in my/our personal and/or joint account at HSL, and I/We, through my/our personal account and/or joint account, trades on margin and withdraw funds to meet the deposit and/or settlement requirements of other accounts, I/we may face additional risks and costs, including market risk, margin trading risk and any additional interest costs.

證券及期貨（客戶證券）規則規定的常設授權（只適用於證券融資賬戶）
STANDING AUTHORITY UNDER THE SECURITIES AND FUTURES (CLIENT SECURITIES) RULES (FOR SECURITIES MARGIN TRADING ACCOUNTS ONLY)

本人／吾等確認本人／吾等完全明白本常設授權的內容，並且本人／吾等進一步確認本人／吾等授權凱敏證券處理在凱敏證券處即將開立的證券融資賬戶中所有證券。本人／吾等確認本人／吾等授權凱敏證券：-
I/We confirm that I/we fully understand the contents of this Standing Authority and I/we further confirm that my/our authorization to HSL to deal with all the securities in the Securities Margin Account to be opened with HSL. I/We confirm to authorize HSL to:-

1. 根據證券借貸協議，運用本人／吾等的任何證券或證券抵押品；
Use my/our securities or securities collateral in accordance with the securities borrowing and lending agreement;
2. 把本人／吾等的任何證券抵押品存放於任何認可財務機構，作為該機構向凱敏證券提供財務通融的抵押品；
Deposit any of my/our securities collateral in any recognized financial institution as collateral for financial accommodation provided to HSL;
3. 將本人／吾等的任何證券抵押品存放給香港中央結算有限公司（下稱「香港結算」），用作履行及清償本人／吾等的清算責任和債務。本人／吾等明白香港結算因應凱敏證券承擔的義務對本人／吾等的證券設定第一固定押記；

Deposit any of my/our securities collateral to Hong Kong Securities Clearing Company Limited (“HKSCC”) to discharge and fulfill my/our liquidation obligations and liabilities. I/We understand that HKSCC, in light of HSL’s liability and obligations, sets my/our securities as the first fixed charge;

4. 將本人／吾等的任何證券抵押品存放給任何其他認可結算所或者其他有獲發牌或獲註冊進行證券交易的中介人，作為解除凱敏證券在交收上的法律責任的抵押品；以及
Deposit any of my/our securities collateral to any other recognized clearing house or any other registered and licensed intermediary which conducts securities transactions as a collateral to discharge and satisfy HSL’s settlement obligations and liabilities;
5. 若凱敏證券在證券交易過程中以及任何其他已經獲發牌或已獲註冊的受規管活動過程中，向本人／吾等提供財務通融，可根據上述第（1）、（2）、（3）和／或（4）段所述調動或存放本人／吾等的任何證券抵押品。
If HSL provides financial accommodation to me/us during the course of the securities transaction and any other approved or registered regulated activities, HSL may conduct actions stated in (1), (2), (3) and/or (4) above to transfer or store any of my/our securities collateral as described in the paragraph.

凱敏證券可以不向本人／吾等發出通知而採取上述行動。

I/We understand that HSL can take any of the above actions without giving notice to me/us.

本人／吾等明白本授權書不影響凱敏證券為解除由本人／吾等對凱敏證券或第三者所負的法律責任，而處置或促使凱敏證券處置本人／吾等證券抵押品的權利。

I/We understand that this Standing Authority does not affect HSL's right to dispose of my/our securities collateral for the purposes of discharging my/our legal obligations or liability to HSL or any other third party.

此賦予凱敏證券之授權乃鑒於凱敏證券同意繼續維持本人／吾等之證券融資賬戶戶口。

This Standing Authority is issued to HSL in view of HSL's agreement to continue to maintain my/our securities margin account.

H2. 香港投資者識別碼制度及場外證券交易匯報制度- 個人資料使用同意

Hong Kong Investor Identification Regime and Over-the-counter Securities Transactions Reporting Regime – Consent Letter for Personal Data Processing

- 本人／吾等確認已閱讀並明白本同意書的內容及明白取得同意的目的，本人／吾等並在此同意接受本同意書的條款及確認向凱敏證券提供該項同意。
I/We acknowledge that I/we have read and understand the content and understand the purpose of HSL obtaining consent from me/us of this Consent Letter, and I/we hereby agree to accept the terms of this Consent Letter and provide such consent to HSL.

本人／吾等明白並同意，凱敏證券為了向本人／吾等提供與在香港聯合交易所（下稱「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（下稱「證監會」）的規則和規定，凱敏證券可收集、儲存、處理、使用、披露及轉移與本人／吾等有關的個人資料（包括本人／吾等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 —

I/we acknowledge and agree that HSL may collect, store, process, use, disclose and transfer personal data relating to me/us (including my/our CID and BCAN(s)_____) as required for HSL to provide services to me/us 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 –

- (a) 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本人／吾等的個人資料（包括客戶識別信息及券商客戶編碼）；
disclosing and transferring my/our 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;
- (b) 允許聯交所 allowing SEHK to :-
- 收集、儲存、處理及使用本人／吾等的個人資料（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》；及
collect, store, process and use my/our personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK; and
 - 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
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
 - 為監察市場目的而使用有關資料進行分析；及
use such information for conducting analysis for the purposes of market oversight; and
- (c) 允許證監會 allowing the SFC to :-
- 收集、儲存、處理及使用本人／吾等的個人資料（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
collect, store, process and use my/our 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
 - 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。
disclose and transfer such information to relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements.
- (d) 本人／吾等允許及同意凱敏證券向香港中央結算有限公司（「香港結算」）提供券商客戶編碼，並允許香港結算：
I/we allow and agree HSL to provide BCAN to Hong Kong Securities Clearing Company Limited (“HKSCC”), such as to allow HKSCC to
- 從聯交所取得、處理及儲存允許披露及轉移給香港結算屬於客戶的身份識別資料，及向發行人的股份過戶登記處轉移客戶的身份識別資料，以便核實客戶未就相關股份認購進行重複申請，以及便利首次公開招股抽籤及首次公開招股結算程序；及
retrieve from SEHK (which is allowed to disclose and transfer to HKSCC), process and store my/our CID and transfer my/our CID to the issuer’s share registrar to enable HKSCC and/or the issuer’s share registrar to verify that I/we have not made any duplicate applications for the relevant share subscription and to facilitate IPO balloting and IPO settlement; and
 - 處理及儲存客戶的身份識別資料，及向發行人、發行人的股份過戶登記處、證監會、聯交所及其他公開招股的有關各方轉移客戶的身份識別資料，以便處理客戶對有關股份認購的申請，或為載於公開招股發行人的招股章程的任何其他目的。
process and store my/our CID and transfer my/our CID to the issuer, the issuer’s share registrar, the SFC, SEHK and any other party involved in the IPO for the purposes of processing my/our application for the relevant share subscription or any other purpose set out in the IPO issuer’s prospectus.

本人／吾等亦同意，即使本人／吾等其後宣稱撤回同意，凱敏證券在本人／吾等宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移本人／吾等的個人資料以作上述用途。

I/we also agree that despite any subsequent purported withdrawal of consent by me/us, my/our personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.

本人/吾等亦明白，為避免疑義，本同意表格為對《客戶協議書》的補充，而非替代。

I/we also understand that for the avoidance of doubt, this Consent Letter shall be supplemental to, but not as substitute for, the Client's Agreement.

本人/吾等如未能向凱敏證券供個人資料或上述同意，可能意味著凱敏證券不會或不能夠再(視情況而定) 執行本人/吾等的交易指示或向本人/吾等提供證券相關服務，惟出售、轉出或提取本人/吾等現有的證券持倉(如有) 除外。

Failure to provide us with my/our personal data or consent as described above may mean that HSL will not, or will no longer be able to, as the case may be, carry out my/our trading instructions or provide me/us with securities related services (other than to sell, transfer out or withdraw my/our existing holdings of securities, if any).

備註 Notes :-

本條文所述的“券商客戶編碼”及“客戶識別信息”具有《證券及期貨事務監察委員會持牌人或註冊人操守準則》第5.6 段所界定的含義。

The terms “BCAN” and “CID” used in this clause shall bear the meanings as defined in paragraph 5.6 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.

- 本人/吾等確認已閱讀並同意以上所有(由其是H部份的)條款及條件。
I/We confirm that I/we have read, fully understand and agree to all the terms and conditions contained hereinabove, in particular Section H.
- 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.
- 倘若中文版本與英文版本在解釋或意義方面有任何歧義，本人/吾等同意應以英文版本為準。
I/We agree that, in the event of any discrepancy between the Chinese and English version, the English version shall prevail.

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

個人/聯名賬戶主要持有人
Individual/Primary Joint Account Holder

聯名賬戶第二持有人
Secondary Joint Account Holder

客戶簽署 Client Signature

客戶簽署 Client Signature

客戶姓名 Client Name

客戶姓名 Client Name

日期 Date

日期 Date

只適用於聯名賬戶 For Joint Account Only

聯名賬戶主要持有人與聯名賬戶第二持有人的關係，請註明：

Relationship of Primary Joint Account Holder and Secondary Joint Account Holder, please specify: _____

所有賬戶書面指示須由 All written instructions of the account shall be:-

- 聯名賬戶主要持有人及聯名賬戶第二持有人同時簽署
Jointly signed by Primary Joint Account Holder and Secondary Joint Account Holder
- 聯名賬戶主要持有人或聯名賬戶第二持有人獨立簽署
Singly signed by either Primary Joint Account Holder or Secondary Joint Account Holder
- 聯名賬戶主要持有人獨立簽署
Singly signed by Primary Joint Account Holder
- 聯名賬戶第二持有人獨立簽署
Singly signed by Secondary Joint Account Holder

I. 驗證 Certification (由持牌代表/註冊人士或專業人士填寫 to be completed by Licensed/Registered Persons or Professional)

本人謹此驗證本開戶表格所指明的客戶的開戶表格的簽立及有關正本身分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 Clients(s) is/are executed.

見證人簽署*
Signature of Witness*

見證人姓名
Name of Witness

日期
Date

見證人身份 Capacity of Witness :-

- 凱敏證券持牌代表 Licensed Representative of HSL (中央編號 CE No. : _____)
- 太平紳士 Justice of the Peace
- 專業人士(請提供名片) Professional Person (Please provide name card) (職業 Occupation : _____)

*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，及有關正本身分證明文件的見證，應由太平紳士或專業人士(例如執業會計師、律師、公證人或特許秘書)的面前執行及驗證。此外，客戶亦可以選擇向凱敏證券提供一張劃線支票，該支票需要是客戶在香港的持牌銀行開立的賬戶所簽發的支票，並載有客戶在其身分證明文件上所顯示的姓名，該支票的數額不得少於港幣10,000.00元正，而該支票抬頭人須為「凱敏證券有限公司」。客戶請注意新賬戶必須待清算支票後才可使用。

*If this Account Opening Form is not executed in the presence of a licensed representative of HSL, the signing of this Account Opening Form by the Client(s) and the sighting of related identity documents of the Clients(s) should be certified in the presence of a Justice of the Peace or a professional person (such as a certified public accountant (practising), a lawyer, a notary public or a chartered secretary). Alternatively, the Client(s) may choose to give HSL a crossed cheque bearing the Client's name shown in his/her identity document and drawn on his/her bank account with a licensed bank in Hong Kong in favour of "Hermes Securities Limited" at the amount of no less than HK\$10,000.00. The signature on the cheque issued by the Client(s) and the signature of the Client(s) on this Account Opening Form shall be the same. Kindly note that the new account will not be activated until the cheque is cleared.

J. 凱敏證券持牌代表聲明 Declaration by HSL's Licensed Representative

本人，（凱敏證券持牌代表的姓名）_____（中央編號）_____，謹此聲明，本人：-
 I, (Name of HSL's Licensed Representative) _____ (CE No.) _____, hereby declare that I have:-

- 已按照客戶所選擇的語言（英文或中文）提供風險披露聲明書；及
 Provided the Risk Disclosure Statements in the language of the Client's choice (English or Chinese); and
- 邀請客戶閱讀該風險披露聲明書、提出有關問題及徵詢獨立意見（如客戶有此意願）；及
 Invited the Client to read such Risk Disclosure Statements, to ask questions and take independent advice if the Client wishes; and
- 已按照客戶所理解的語言，向客戶完全解釋風險披露聲明的內容。
 Fully explained the contents of Risk Disclosure Statements to the Client in a language which the Client understands.

 凱敏證券持牌代表簽署
 Signature of HSL's Licensed Representative

 日期
 Date

只供內部使用 For Internal Use Only			
Account Information			
Trading Limit (HK\$)	Credit Limit (HK\$)	Annual Overdue Interest Rate (%)	
HKD Brokerage (%)	HKD Min. Commission	HKD Commission Rebate (%)	
USD Brokerage (%)	USD Min. Commission	USD Commission Rebate (%)	
CNY Brokerage (%)	CNY Min. Commission	CNY Commission Rebate (%)	
Remarks			
Account Approved and Accepted by HSL			
Documents checked by	Name	Signature	Date
Information input by	Name	Signature	Date
Information verified by	Name	Signature	Date
Account approved by	Name	Signature	Date