



亨達証券有限公司

HANTEC SECURITIES COMPANY LIMITED

亨達期貨有限公司

HANTEC FUTURES LIMITED

香港中環雲咸街1-3號南華大廈12樓

12/F South China Building, 1-3 Wyndham Street, Central, Hong Kong

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親愛的客戶：

**在香港投資者識別碼制度及場外證券交易匯報制度下取得客戶同意書**

客戶資料	
帳戶名稱	帳戶號碼

閣下明白並同意，本公司(亨達証券有限公司)為了向閣下提供與在香港聯合交易所(聯交所)上市或買賣的證券相關的服務，以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會(證監會)的規則和規定，本公司可收集、儲存、處理、使用、披露及轉移與閣下有關係的個人資料(包括閣下的客戶識別信息及券商客戶編碼)。在不限制以上的內容的前提下，當中包括—

(a) 根據不時生效的聯交所及證監會規則和規定，向聯交所及/或證監會披露及轉移閣下的個人資料(包括客戶識別信息及券商客戶編碼)；

(b) 允許聯交所：(i)收集、儲存、處理及使用閣下的個人資料(包括客戶識別信息及券商客戶編碼)，以便監察和監管市場及執行《聯交所規則》；(ii)向香港相關監管機構和執法機構(包括但不限於證監會)披露及轉移有關資料，以便他們就香港金融市場履行其法定職能；及(iii)為監察市場目的而使用有關資料進行分析；及

(c) 允許證監會：(i)收集、儲存、處理及使用閣下的個人資料(包括客戶識別信息及券商客戶編碼)，以便其履行法定職能，包括對香港金融市場的監管、監察及執法職能；及(ii)根據適用法例或監管規定向香港相關監管機構和執法機構披露及轉移有關資料。

閣下亦同意，即使閣下其後宣稱撤回同意，本公司在閣下宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移閣下的個人資料以作上述用途。

**閣下如未能向本公司提供個人資料或上述同意，可能意味著本公司不會或不能夠再(視情況而定)執行閣下的交易指示或向閣下提供證券相關服務，惟出售、轉出或提取閣下現有的證券持倉(如有)除外。**

備註：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。

如有任何查詢，請聯絡您的經紀或致電我司客戶服務部，聯絡電話：(852) 2526-1085 或以電郵 [customerservice@hantec.hk](mailto:customerservice@hantec.hk) 與我們聯絡，謝謝！

客戶明白並同意 簽署

客戶姓名：

簽署日期： 年 月 日



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Dear Valued Customers,

**Confirmation of obtaining client consent under the Hong Kong Investor Identification Regime (HKIDR) and Over-the-counter Securities Transactions Reporting Regime (OTCR)**

Client Information	
Account name	Account number

You acknowledge and agree that we (Hantec Securities Co., Limited) may collect, store, process, use, disclose and transfer personal data relating to you (including your CID and BCAN(s)) as required for us to provide services to you in relation to securities listed or traded on the Stock Exchange of Hong Kong (SEHK) and for complying with the rules and requirements of SEHK and the Securities and Futures Commission (SFC) in effect from time to time. Without limiting the foregoing, this includes –

(a) disclosing and transferring your personal data (including CID and BCAN(s)) to SEHK and/or the SFC in accordance with the rules and requirements of SEHK and the SFC in effect from time to time;

(b) allowing SEHK to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK; and (ii) disclose and transfer such information to the relevant regulators and law enforcement agencies in Hong Kong (including, but not limited to, the SFC) so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets; and (iii) use such information for conducting analysis for the purposes of market oversight; and

(c) allowing the SFC to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for the performance of its statutory functions including monitoring, surveillance and enforcement functions with respect to the Hong Kong financial markets; and (ii) disclose and transfer such information to relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements.

You also agree that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.

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

Note: 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.

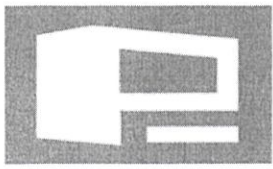
If you have any question, please contact your Account Executive or our Customer Service Department at (852) 2526- 1085 or e-mail to [customerservice@hantec.hk](mailto:customerservice@hantec.hk) .

Signature by the client, acknowledge and agree

Client Name:

Date of signature:





亨達証券有限公司 (中央編號AFL779)

亨達期貨有限公司 (中央編號ARV980)

香港雲咸街1-3號12樓

電話: (852) 2526 1285

傳真: (852) 2868 4887

## 開戶申請表 (適用於公司帳戶)

在本申請表中, 亨達証券是指亨達証券有限公司, 而亨達期貨則是指亨達期貨有限公司。

1. 帳戶類型 (可別選多項)	經紀編號:	帳戶號碼:
<input type="checkbox"/> 1. 現金帳戶 兼具網上服務功能?	<input type="checkbox"/> 2. 保證金帳戶 <input type="checkbox"/> 是, 適用於帳戶類型: 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/>	<input type="checkbox"/> 3. 股票期權帳戶 <small>備註1</small> <input type="checkbox"/> 4. 期貨帳戶 <input type="checkbox"/> 否
備註1: 股票期權帳戶必須與現金帳戶/保證金帳戶同時開立。		

2. 申請人詳細資料			
公司名稱 (中文)			
成立地點		成立日期	
公司註冊證書編號		商業登記/ 牌照號碼 (如適用)	
註冊辦事處地址	大廈名稱、樓、室		街道名稱
	地區	國家	郵政編號
主要營業地 (如與上述註冊辦事處地址不同)	大廈名稱、樓、室		街道名稱
	地區	國家	郵政編號
香港營業地址 (如適用)	大廈名稱、樓、室		街道名稱
	地區	國家	郵政編號
辦公室電話號碼	( ) ( - ) 國家代碼 城市代碼 電話號碼	傳真號碼	( ) ( - ) 國家代碼 城市代碼 電話號碼
電郵地址			
公司網頁			
公司資產淨值	截至 (日期), 資產淨值為 (貨幣) (金額)		
公司上年度稅前純利	截至 為止的財政年度 <input type="checkbox"/> 低於 1 百萬港元 <input type="checkbox"/> 1 百萬港元至 8 百萬港元 <input type="checkbox"/> 高於 8 百萬港元		
業務性質			
資金來源	(請選擇所有適用的項目) <input type="checkbox"/> 公司股東 <input type="checkbox"/> 銷售款項 <input type="checkbox"/> 投資獲利 <input type="checkbox"/> 財務貸款 <input type="checkbox"/> 其他 (請註明):		
財富來源	(請選擇所有適用的項目) <input type="checkbox"/> 業務收益 <input type="checkbox"/> 實益擁有人/股東的投資 <input type="checkbox"/> 投資獲利 <input type="checkbox"/> 出售物業/資產 <input type="checkbox"/> 集團內部融資 <input type="checkbox"/> 其他 (請註明):		

\*申請人簽署: **X** \_\_\_\_\_

\*(必須與本申請表第8頁之授權簽署及/或公司印章一致) 章一致)

3. 董事資料				
董事姓名／名稱	國籍	身份證／旅遊證件號碼	聯絡電話	地址

4. 股東／實益擁有人資料 <small>備註2</small>					
股東／實益擁有人姓名／名稱	成立地點／國籍	牌照號碼／身份證號碼／旅遊證件號碼	聯絡電話	出生地點（如適用）	地址

備註 2：需向經紀人提供標明各方持股百分比 (%) 的集團架構表資料。如股東為一家公司，則需就有關資料作進一步的適當披露。如申請人為一家上市公司，則無須另行提供上述所需資料。

**5. 申請人擔保人的相關資料**  
請向經紀人提供擔保人資料及經簽署的「擔保及彌償契據」。如擔保人為申請人的一名董事／股東，請填寫第一部分。如擔保人為一家上市公司或持牌法團，則請填寫第二部分。

第一部分：個人名義擔保

擔保人姓名（英文）	(Mr./Ms./Miss)
擔保人姓名（中文）	(先生／女士／小姐)

第二部分：以上市公司或持牌法團名義進行擔保的擔保人

擔保人名稱（英文）	
擔保人名稱（中文）	

**6. 申請人就結構或衍生產品所擁有的知識 備註3**

6.1 為申請人作出投資決定的人士（投資決策人）是否了解結構或衍生產品的主要特徵以及衍生交易所涉及的風險？  
 否       是

6.2 投資決策人是否曾參與過有關結構或衍生產品的任何培訓或課程？  
 否       是（請註明相關培訓或課程名稱：\_\_\_\_\_）

6.3 投資決策人是否擁有與結構或衍生產品有關的任何工作經歷？  
 否       是（請說明相關工作經驗：\_\_\_\_\_）

6.4 過去 3 年中，投資決策人曾否執行 5 次或以上有關結構或衍生產品的交易？  
 沒有       有

備註 3：結構或衍生產品包括認股證（窩輪）、牛熊證、股票掛鈎票據、交易所買賣基金、股票期權、期貨和其他衍生金融工具。

**7 帳戶投資目標**

投資目標	(可剔選多項) <input type="checkbox"/> 收益 <input type="checkbox"/> 增長 <input type="checkbox"/> 投機 <input type="checkbox"/> 其他：_____
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\*申請人簽署： **X** \_\_\_\_\_

\*(必須與本申請表第 8 頁之授權簽署及/或公司印章一致)



<b>8. 帳戶通訊資料</b>			
通訊地址	<input type="checkbox"/> 與住宅地址相同 <input type="checkbox"/> 與辦公室地址相同 <input type="checkbox"/> 其他 (請在下方填寫)		
	大廈名稱、樓、室	街道名稱	
	地區	國家	郵政編號
語言	<input type="checkbox"/> 英文 <input type="checkbox"/> 中文	<b>X</b>	
結單寄送方式	<input type="checkbox"/> 透過在本表格上提供的電郵收取。 <input type="checkbox"/> 透過上述通訊地址以郵寄方式收取。備註4		申請人確認簽署
備註 4: 若要求通過郵寄方式接受結單, 則須在每個月底支付每月郵寄費。			

<b>9. 在經紀人處登記的銀行 (用於提取資金) 備註 5</b>			
貨幣	銀行名稱	銀行帳號	銀行帳號名稱
<input type="checkbox"/> 港幣 <input type="checkbox"/> 多種貨幣 <input type="checkbox"/> 其他: _____			
<input type="checkbox"/> 港幣 <input type="checkbox"/> 多種貨幣 <input type="checkbox"/> 其他: _____			
備註 5: 若申請人未選擇在此提供銀行帳戶資料, 則須另行提交提取資金書面指示。銀行帳戶名稱必須與帳戶持有人名稱一致。			

<b>10. 身份聲明</b>	
10.1 申請人是否為帳戶的最終受益人? (備註: 帳戶的最終受益人是指收取交易中的商業或經濟利益及/或承擔其商業或經濟風險的人士或實體)。 <input type="checkbox"/> 是 <input type="checkbox"/> 否 備註6    最終受益人名稱: _____ 關係: _____ 備註 6: 最終受益人需提交補充文件。	
10.2 申請人 (透過其董事或獲授權人士) 是否負責為各項帳戶交易發出最終指示? <input type="checkbox"/> 是 <input type="checkbox"/> 否    發出最終指示的負責人名稱: _____	
10.3 申請人或其董事、大股東、實益擁有人或獲授權人士 (「相關人士」) 及/或相關人士的配偶、合夥人、子女或父母或近親是否屬「政治人物」一類人士? (備註: 政治人物是指受託行使重要公共職能的人士, 包括國家元首、政府首長、資深從政者、國有企業的高級行政人員和重要政黨的幹事; 更詳細定義見《打擊洗錢及恐怖分子資金籌集 (金融機構) 條例》(香港法例第 615 章))。 <input type="checkbox"/> 否 <input type="checkbox"/> 是    政治人物姓名: _____ 關係: _____ 獲授公職及獲授公職地點: _____ 獲授公職任期: _____	
10.4 申請人或其任何董事、實益擁有人或大股東是否一家上市公司? <input type="checkbox"/> 否 <input type="checkbox"/> 是    上市公司的名稱: _____ 股權比例 (如適用): _____ 上市地點: _____	
10.5 申請人或其任何董事、實益擁有人或獲授權人士是否為香港證券及期貨事務監察委員會持牌人士或註冊人士的持牌/註冊人士、僱員或董事? <input type="checkbox"/> 否 <input type="checkbox"/> 是    持牌/註冊法團名稱: _____	
10.6 申請人或申請人的任何股東、董事、實益擁有人或獲授權人士是否為亨達證券/亨達期貨或其控權公司或其控權公司的任何附屬公司的僱員或董事, 或亨達證券/亨達期貨或其控權公司或其控權公司的任何附屬公司的任何僱員或董事的親屬? <input type="checkbox"/> 否 <input type="checkbox"/> 是    董事/僱員姓名: _____ 關係: _____	
(僅適用於保證金帳戶)	
10.7 申請人的任何集團公司是否在亨達證券持有保證金帳戶? <input type="checkbox"/> 否 <input type="checkbox"/> 是    帳戶名稱: _____ 帳號: _____	

\*申請人簽署: **X** \_\_\_\_\_

\*(必須與本申請表第8頁之授權簽署及/或公司印章一致)

10.8 申請人是否控制亨達証券的其他公司保證金帳戶客戶 35% 或以上的表決權？

否  是 帳戶名稱：

帳號：

## 11. 美國《海外帳戶稅收合規法案》下的身份聲明

11.1 你在美國《海外帳戶稅收合規法案》下的身份是？

(本部分使用的英文簡稱均摘錄自《海外帳戶稅收合規法案》詞彙庫)

已參與的外國金融機構 (PFFI) 或《跨政府協議》下有報告義務的金融機構

請提供全球中介機構識別編碼 (GIIN)：

非參與外國金融機構 (NPFFI) 或受限制外國金融機構

被動的非金融外國實體(NFFE)

是否有任何美國人士 (包括公民或居民) 直接或間接擁有控制申請人超過 10% 的股票 (按表決權或股票價值計算)？

否  是, 請提供美國人士資料：

姓名

地址

美國納稅人編號

如屬美國公民或居民, 你是否同意本公司每年向美國國稅局申報你的相關帳戶餘額、相關利息收入總額、股息收入及提取份額以及身份證明資料 (如: 姓名、地址、美國納稅人編號)？

同意  不同意

活躍的非金融外國實體 (NFFE)

認可視同遵守的外國金融機構 (請提供證明文件, 如有)

登記視同遵守的外國金融機構 (請提供證明文件, 如有)

豁免實益擁有人 (請提供證明文件, 如有)

美國金融機構

其他, 請說明: \_\_\_\_\_ (請提供證明文件, 如有)

## 12. 自動交換財務帳戶聲明

### 第一部分 - 自動交換財務帳戶資料

我們知悉及同意, 經紀人可根據《稅務條例》(第 112 章) 有關交換財務帳戶資料的法律條文, (1) 收集本表格所載資料並可備存作自動交換財務帳戶資料用途及 (2) 把該等資料和關於我們及任何須申報帳戶的資料向香港特別行政區政府稅務局申報, 從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。我們聲明我們已被控權人授權簽署此表格。

我們承諾, 如情況有所改變, 以致影響本表格所述的稅務居民身分, 或引致本表格所載的資料不正確, 我們會在情況發生改變後 30 日內通知經紀人。

我們聲明我們是:

(a) 於本地實施的自動交換標準中的身份是:

財務機構

選項類別:  託管機構、存款機構或指明保險公司

投資實體, 但不包括由另一財務機構管理 (例如: 擁有酌情權管理投資實體的資產) 並位於非參與稅務管轄區的投資實體

非財務實體

選項類別:  該非財務實體的股票經常在 \_\_\_\_\_ (一個具規模證券市場) 進行買賣

\_\_\_\_\_ 的有關連實體, 該有關連實體的股票經常在 \_\_\_\_\_ (一個具規模證券市場) 進行買賣

政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體

其他主動非財務實體 - 詳細類別: \_\_\_\_\_

位於非參與稅務管轄區並由另一財務機構管理的投資實體。此類實體被重新分類為被動非財務實體 - 請填寫第二部分

被動非財務實體 (位於非參與稅務管轄區並由另一財務機構管理的投資實體除外) - 請填寫第二部分

(b) 實體為下列司法管轄地的稅務居民

請填寫你為稅務居民所屬的所有司法管轄地及相關的納稅人識別號碼 (「稅務編號」) (香港包括在內)。如果你對你的稅務居民司法管轄地有任何疑問, 請聯絡你的稅務顧問。如帳戶持有人是香港稅務居民, 稅務編號是其香港商業登記號碼。

如未能提供稅務編號, 請填寫理由 A、B 或 C。

理由 A - 申請人的居留司法稅務管轄區並沒有向其居民發出稅務編號。

理由 B - 申請人不能取得稅務編號。(如選取這一理由, 請在下表中解釋申請人不能取得稅務編號的原因)

理由 C - 申請人毋須提供稅務編號。(這理由只適用於居留司法管轄區的主管機關不需要申請人披露稅務編號)

\*申請人簽署: **X** \_\_\_\_\_

\*(必須與本申請表第8頁之授權簽署及/或公司印章一致)



稅務居民司法管轄地	稅務編號	如沒有提供稅務編號，填寫理由 A、B或C	如選取理由 B， 解釋帳戶持有人不能取得稅務編號的原因

此部分只供被分類為被動非財務實體填寫。

就每位控權人士而言，必須填寫每位控權人士持有稅籍之所有司法管轄地及有關稅籍編號 (包括美國和香港，如適用)。就法人實體，如行使控制權的並非自然人，控權人會是該法人實體的高級管理人員。請留意控權人士代表符合指定條件之自然人。如果有超過 4 位控權人士，請使用額外的自我聲明書。

如控權人士是香港稅務居民，稅務編號是其香港身份證號碼。

理由 A - 控權人士的的居留司法稅務管轄區並沒有向其居民發出稅務編號。

理由 B - 控權人士不能取得稅務編號。(如選取這一理由，請在下表中解釋控權人士不能取得稅務編號的原因)

理由 C - 控權人士毋須提供稅務編號。(請注意：這理由只適用於居留司法管轄區的主管機關不需要控權人士披露稅務編號)

控權人士之姓名		控權人士稅務居民司法管轄地	控權人士在該司法管轄地持有稅籍之稅務編號，如果不能提供稅籍編號，請填寫理由A、B或C	如選取理由 B， 解釋不能取得稅務編號的原因
控權人士 1				
控權人士 2				
控權人士 3				
控權人士 4				

在適當方格內加上✓號，指出控權人就每個實體所屬的控權人類別。

實體類別	控權人類別	控權人士 1	控權人士 2	控權人士 3	控權人士 4
法人	擁有控制股權的個人 (即擁有不少於百分之二十五的已發行股本)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	以其他途徑行使控制權或有權行使控制權的個人 (即擁有不少於百分之二十五的表決權)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	擔任該實體的高級管理人員/對該實體的管理行使最終控制權的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
信託	財產授予人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	受託人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	保護人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	受益人或某類別受益人的成員	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	其他 (例如：如財產授予人/受託人/保護人/受益人為另一實體，對該實體行使控制權的個人)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

\*申請人簽署: **X** \_\_\_\_\_

\*(必須與本申請表第8頁之授權簽署及/或公司印章一致)

除信託以外的法律安排	處於相等/相類於財產授予人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	處於相等/相類於受託人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	處於相等/相類於保護人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	處於相等/相類於受益人或某類別受益人的成員位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	其他 (例如: 如處於相等/相類於財產授予人/受託人/保護人/受益人位置的人為另一實體, 對該實體行使控制權的個人)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	控權人士之居住地址	控權人士之出生日期 (日/月/年)
控權人士 1	(城市) (國家)	
控權人士 2	(城市) (國家)	
控權人士 3	(城市) (國家)	

### 13. 授權、承諾、聲明和簽署

就我們向經紀人 (亨達証券及/或亨達期貨; 視情況而定) 提交本開戶申請一事 (簡稱為「該申請」), 我們 (申請人) 謹此授權、承諾、聲明和確認如下 (在本條中未定義的術語應與我們在經紀人處開立相關帳戶時適用的條款及細則所規定的含義相同):

#### 一般事項

我們謹此授權經紀人隨時向我們的銀行索取各類參考及帳戶餘額資訊 (我們謹此豁免所涉及之任何保密責任), 以及聯絡任何第三方以核實本開戶申請表及該申請中所提供的一切資訊。我們亦謹此授權經紀人為確認我們的財務狀況及投資目標實施任何信貸調查。

1. 我們聲明在本開戶申請表中提供的所有資訊以及我們向經紀人就該申請所提交的一切證明及相關文件均為真實、完整、準確的最
2. 新資訊。在經紀人實際收到我們更改此類資訊的任何書面通知之前, 經紀人有權完全依賴此類資訊而作出任何目的之行動。
3. 我們承諾就開戶申請表及該申請所提供的任何資訊出現變化時立即通知經紀人。我們亦承諾將按經紀人不時提出的要求向其提供任何其他資訊/文件, 並確保我們就該申請向經紀人提交的一切資訊在任何時候均為真實、完整、準確的最新資訊。
4. 我們確認並理解, 我們可按需要要求經紀人提交一份本開戶申請表的經簽署副本。我們亦可通過經紀人的網站下載本開戶申請表的標準申請表格。我們確認收到有關本申請的以下文件的中文/英文副本 (按我們所選擇的語言): (1) 開戶條款及細則; (2) 《個人資料 (私隱) 條例》的客戶通知; (3) 風險披露聲明及免責聲明。此類文件及開戶申請表在以下統稱為「客戶協議」。
5. 我們聲明, 我們已獲告知我們應仔細閱讀客戶協議及提出任何疑問, 並應按個人意願尋求獨立意見。
6. 我們進一步聲明, 我們已細閱整份客戶協議內容; 我們接受和同意受該客戶協議條款約束, 尤其是相關條款及細則中關於經紀人抵押的規定; 凡在持牌人面前簽署該開戶申請表, 即表示持牌人已就客戶協議內容以我們能夠理解的語言向我們作出全面及明確說明。我們同意及確認本開戶申請表連同隨之一併遞交/即將遞交的文件將共同構成經紀人及我們之間的完整協議。
7. 我們明白和同意經紀人可透過通知隨時修改、補充或修訂相關條款及細則、《個人資料 (私隱) 條例》的客戶通知和風險披露聲明及免責聲明的條文, 而我們確認我們可隨時索取上述相關條款及細則、《個人資料 (私隱) 條例》的客戶通知和風險披露聲明及免責聲明的一份最新副本作詳細閱讀。
8. 若我們有意指派吾等以外的其他人士操作該帳戶, 我們理解我們應按經紀人提供的格式簽署以經紀人為受益人的「授權書和彌償保證書」。
9. 我們理解簽署本確認書是《證券及期貨事務監察委員會持牌人或註冊人操守準則》的強制要求。我們理解若我們未能在本確認書上簽署並加註日期, 經紀人將無法按我們的指示進行證券/期貨交易。
10. 我們已獲告知, 如我們選擇開立保證金帳戶, 經紀人可再質押我們的證券抵押品。
11. 我們謹此授予適用於該申請的一切直銷活動授權、客戶款項常設授權及/或客戶證券常設授權 (詳見以下段落)。
12. 若此類授權書的中英文版本在解釋或含意上出現分歧, 概以英文版為準。

\*申請人簽署: 

\*(必須與本申請表第8頁之授權簽署及/或公司印章一致)



### 直銷活動授權 (適用於所有帳戶)

除非我們已別選【】下方空格，我們同意經紀人及經紀人集團公司在直銷活動過程中使用我們的個人資料：

我們不同意經紀人及經紀人集團公司在直銷活動過程中使用我們的個人資料。

以上內容代表我們是否同意 貴公司就直銷活動與我們聯絡或向我們發送相關資訊的目前意願。以上內容將取代我們在遞交本申請前通知經紀人的一切原先決定。

上述最新決定同時適用於有關《個人資料 (私隱) 條例》(香港法例第 486 章)的經紀人政策聲明 (連同相關條款及細則一併提供) 中所述的各類直銷產品及服務。我們亦應參考政策聲明中有關直銷活動過程中可能使用的個人資料類別。

### 自動交換財務帳戶資料

我們知悉及同意，經紀人可根據《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文，(1) 收集本表格所載資料並可備存作自動交換財務帳戶資料用途及 (2) 把該等資料和關於我們及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。我們聲明我們已被控權人授權簽署此表格。

我們承諾，如情況有所改變，以致影響本表格所述的稅務居民身分，或引致本表格所載的資料不正確，我們會在情況發生改變後 30 日內通知經紀人。

### 客戶款項常設授權 (適用於所有帳戶)

本授權涵蓋經紀人及／或經紀人集團公司代表我們在香港境內持有或收取一個或多個獨立帳戶中的款項 (簡稱為「款項」) (包括持有該款項而衍生的不屬於經紀人的任何利息)。

除非另有規定，本授權中使用的一切術語的含義應等同該等術語在《證券及期貨條例》(香港法例第 571 章)(《證券及期貨條例》)和《證券及期貨 (客戶款項) 規則》(香港法例第 571H 章)及其不時修訂版本中所具備的含義。

本指示授權經紀人在無須向我們發出通知的情況下作出以下任何行動：

1. 組合或合併我們在經紀人或經紀人集團公司處開立並持有的任何或所有不同性質的獨立帳戶 (定義詳見條款及細則)，且經紀人可抵銷此類帳戶中的任何款項、將任何款項轉帳入其中一個帳戶或在各帳戶之間轉帳任何款額，以清償我們欠付經紀人集團公司任何成員公司的任何責任或債務，無論此類責任和債務是否屬實際或或有、主要或從屬、有擔保或無擔保的責任和債務；
2. 如我們已在經紀人處開立期貨交易帳戶，則將任何款項轉帳至經紀人為代表我們參與環球期貨交易買賣而向代理經紀人及／或清算代理人開立的任何期貨交易／結算／交收帳戶；或
3. 隨時將在經紀人集團公司任何成員處開立並持有的各獨立帳戶之間轉帳可供轉帳的該等款額。  
我們謹此同意就經紀人、其代理經紀人及／或清算代理人據此授權進行交易而招致、蒙受及／或需面對的任何性質的一切損失、損害賠償、利息、成本、支出、訴訟、索求、索賠或司法程序作出一切彌償。

本授權的授予建基於經紀人同意按我們在本開戶申請表中要求開立的一個或多個交易帳戶開立及持續運作該等帳戶。

本授權的授予並不影響經紀人或經紀人集團公司就獨立帳戶中的交易款項可能獲得的其他授權或可能享有的其他權利。

除非經紀人終止接受本授權或我們向經紀人發出撤銷授權通知書，本授權在作出授權之日起十二 (12) 個月內維持有效。我們可按經紀人在上方列明的通訊地址向經紀人的文件控制部發送書面通知撤銷本授權。除非經紀人另行指明，此類通知應自經紀人實際收到該通知後七 (7) 個營業日生效。

我們明白，若經紀人在本授權屆滿日期前至少十四 (14) 日向我們發送提示通知書，本授權即應在無需取得我們進一步書面同意確認下被視為自動續期一次 (最長不超過十二 (12) 個月)，而我們亦不反對在該等屆滿日期前作出的該等被視為續期。

我們確認持牌人或註冊人在香港境外代表我們持有或收取的資產 (包括款項) 均應符合相關海外司法管轄區的適用法律法規規定，而該等法律法規或與《證券及期貨條例》及項下規則有所不同。因此，此類客戶資產或無法享有在香港境內持有或收取該等客戶資產時所能享有的同等保障。

我們確認經紀人已就本授權向我們作出明確說明。我們全面理解本授權內容，並且我們已經徵詢或有機會尋求與此授權內容和效力有關的法律意見。

### 客戶證券常設授權 (僅適用於保證金帳戶)

1. 我們確認我們全面理解本授權的內容，並且我們進一步授權經紀人在適用法律、規則及法規所允許的範圍內處理在經紀人處開立或即將開立的保證金帳戶中的證券。此類行動包括但不限於：
  - (a) 處置任何證券抵押品，以履行 (i) 我們維持約定保證金金額的責任；及 (ii) 我們應向經紀人承擔的任何其他責任；
  - (b) 將保證金帳戶中的證券抵押品存放於認可財務機構 (見《銀行業條例》(香港法例第 155 章)的定義)，作為該認可財務機構向經紀人提供財務通融的抵押品；
  - (c) 將證券抵押品存放於認可結算所 (定義見《證券及期貨條例》) 或其他持牌中介人或獲發牌從事證券交易的中介人，作為解除和清償經紀人結算義務和責任的抵押品；
  - (d) 根據證券借貸協議規定使用證券或證券抵押品；
  - (e) 如經紀人在進行證券交易及經紀人持牌或獲發牌進行的任何其他受規管活動過程中向我們提供財務通融，即可按上述 1(a)、1(b)、1(c) 及／或 1(d) 之規定，運用或處理任何證券抵押品。

\*申請人簽署:  \_\_\_\_\_

\*(必須與本申請表第8頁之授權簽署及/或公司印章一致)



2. 我們確認我們全面理解本授權內容，並且針對以上 1(a) 項中所述事宜的授權應長期有效，而以上第 1(b)、1(c)、1(d) 和 1(e) 項中所述事宜的授權應自相關授權之日起十二 (12) 個月內有效。經紀人將在本授權有效期屆滿前至少十四 (14) 日向我們發出提示通知書。我們理解若經紀人未有在相關授權屆滿日前收到我們的反對通知，該授權將自授權屆滿日期起被視為自動續期十二 (12) 個月 (無需取得我們的書面同意)。我們可隨時撤銷該授權，而該撤銷應自經紀人實際收到我們簽署的撤銷通知正本後七 (7) 個營業日生效。
3. 我們理解若經紀人將保證金帳戶中的任何證券出借給第三方或存放在第三方處，則此類證券的歸還將取決於經紀人對此等第三方所承擔責任的履行情況。
4. 我們確認若我們未依據任何適用法律、規則或法規的規定授予任何必要授權，則經紀人可拒絕向我們提供清償任何交易所需的任何融資。我們確認上述授權可由經紀人或經紀人的受讓人作出轉讓。
5. 我們亦確認，除向經紀人另行書面披露之外，我們並非從屬於該等擁有一名或多名屬於經紀人保證金帳戶客戶的成員的任何集團或公司。

#### 申請人及見證人簽署

申請人簽署：

**X**

授權簽署及／或公司印章

姓名： \_\_\_\_\_

職位： \_\_\_\_\_

見證人

\_\_\_\_\_  
見證人簽署\*

見證人姓名： \_\_\_\_\_

身份證號碼／護照號碼： \_\_\_\_\_

日期： \_\_\_\_\_

\* 見證人必須為持牌人或經紀人集團公司的員工。

#### 持牌人聲明

本人 \_\_\_\_\_ (大寫) (中央編號： \_\_\_\_\_) (大寫) 謹此聲明經紀人已按申請人所選語言 (英文或中文) 向其提供合適的風險披露聲明及免責聲明。本人進一步聲明，本人已邀請申請人仔細閱讀整份風險披露聲明及免責聲明，並已邀請申請人提問及按個人需要尋求獨立意見。

\_\_\_\_\_  
持牌人簽署

\_\_\_\_\_  
日期



核對清單		客戶介紹人 (戶口號碼 )	
<input type="checkbox"/> 證券交易帳戶協議書 <input type="checkbox"/> 開戶資料表格 <input type="checkbox"/> 董事決議書 <input type="checkbox"/> 交易授權書 <input type="checkbox"/> 有關以傳真及電傳指示的授權及賠償 <input type="checkbox"/> 公司註冊證書之認證副本 <input type="checkbox"/> 商業登記證之認證副本 (公司營業事業登記證) <input type="checkbox"/> 公司註冊處之週年申報表/ 董事名單及股東名單及股份分配之認證副本 <input type="checkbox"/> 公司章程之認證副本 <input type="checkbox"/> 公司註冊處之週年申報表/ 董事名單及股東名單及股份分配之認證副本 <input type="checkbox"/> 所有名列於董事名冊之列位董事身份證或護照認證副本 <input type="checkbox"/> 所有授權簽署人及授權人士之身份證或護照認證副本 <input type="checkbox"/> 已經審核後財務報表之認證副本 <input type="checkbox"/> 董事/ 股東/ 其他人士作出之聯合及任何個人擔保書 (具擔保人身份證副本) 或其書面豁免  其他: <input type="checkbox"/> 離岸公司成立超過12個月, 需提供下列文件: <input type="checkbox"/> 董事在職證明書之認證副本 <input type="checkbox"/> 存贖證書之認證副本		經紀名稱 (編號 )與經紀認識 年	
		港股 HK\$	
		普通 %Min \$	
		即日 %Min \$	
		網上 %Min \$	
		佣金代號 %Min \$	
		信貸限額 HK\$	
		利息	
		客戶號碼 :	
		開戶批核 批核人名稱 _____ _____ 日期 _____	
資料輸入 (港股) _____ 日期 _____		密碼發送(股票期權) 經手人 _____ _____ 日期 _____	
資料核對 (港股) _____ 日期 _____		資料輸入 (股票期權) _____ 日期 _____	
資料核對 (股票期權) _____ 日期 _____		備註 :	
同名人士之 CE / Registration No.	同名人士所屬之持牌法團 / 註冊機構名義	本人進一步確認本人並非為任何根據證券及期貨條例註冊持牌法團或銀行業條例之註冊機構之僱員  客戶簽署 : _____ 職員簽署 : _____ _____ 職員姓名 _____ _____ 日期 : _____ 日期 : _____	

Hantec Securities Company Limited / Hantec Futures Limited  
亨達証券有限公司 / 亨達期貨有限公司

Enhanced Customer Due Diligence Questionnaire (For Corporation)  
進階盡職審查問卷 (公司客戶)

Name of the Applicant/Account Holder :  
申請人/戶口持有人姓名 \_\_\_\_\_  
Certificate of Incorporation No :  
註冊證書編號 \_\_\_\_\_  
Account Number :  
戶口編號 \_\_\_\_\_

Please choose the appropriate answer. 請選擇適當答案

1. Net Asset Value 資產淨值?			
As of 截至	_____	Company Net Asset Value is 資產淨值為	_____
	Date 日期		Currency 貨幣      Amount 金額

2. Identification of Sources of Wealth ("SOW") 確定的財富來源? (可選擇多於一項)	
<i>(The SOW refers to the origin of the entire body of client's wealth (i.e. total asset))</i> <i>(財富來源是指源自客戶原有的整體財富(即總資產))</i>	
<input type="checkbox"/>	Shareholder Fund 股東資金 (Please fill in the below 請再填寫下列) Net Worth of Major Shareholders: Equivalent to approximately HKD 主要股東財富淨值: 約折合港元 _____
<input type="checkbox"/>	Business Profit 營業利潤 (Please fill in the below 請再填寫下列) Average Annual Profit: Equivalent to approximately HKD 平均年度利潤金額: 約折合港元 _____
<input type="checkbox"/>	Investment Income 投資收入 (Please further select the below option(s), more than 1 option can be selected 請再選擇下列選項, 可選擇多於一項) 投資收入來源: <input type="checkbox"/> 香港物業投資/ <input type="checkbox"/> 海外物業投資/ <input type="checkbox"/> 港股投資/ <input type="checkbox"/> 海外股票投資 Source of Investment Income: <input type="checkbox"/> Hong Kong Real Estate Investment/ <input type="checkbox"/> Overseas Real Estate Investment/ <input type="checkbox"/> Invest in Hong Kong Stock Market/ <input type="checkbox"/> Invest in Overseas Stock Market
<input type="checkbox"/>	Rental Income 租金收入 (Please further select the below option(s), more than 1 option can be selected 請再選擇下列選項, 可選擇多於一項) Source of Rental Income: <input type="checkbox"/> Residential Property/ <input type="checkbox"/> Factory Building/ <input type="checkbox"/> Office Building/ <input type="checkbox"/> Retail Property 租金收入來源: <input type="checkbox"/> 住宅物業/ <input type="checkbox"/> 工廠/ <input type="checkbox"/> 寫字樓/ <input type="checkbox"/> 商鋪物業
<input type="checkbox"/>	Dividend / Interest 股息/利息
<input type="checkbox"/>	Others 其他: _____
<b>Additional Information (if any) 其他資料(如有)</b> _____	
<i>If the net asset of the customer is not consistent with source of wealth, salesperson shall collect additional evidence to verify the source of wealth information on a risk-sensitive basis (e.g. conduct property search, land search, obtain the company annual report, etc)</i> <i>如客戶的淨資產與財富來源不一致, 經紀需要在充分顧及風險的基礎上收集額外的文件, 從而認證客戶的財富來源。(例如進行財產搜尋、土地搜尋及獲取公司年度報告)</i>	



3. Country/Jurisdiction of SOW Origination 財富來源地?

- Hong Kong 香港                       Mainland China 中國內地                       Macau 澳門  
 Singapore 新加坡                       United States 美國                       Canada 加拿大  
 Others 其他: \_\_\_\_\_

4

Identification of Source of Funds ("SOF") 確定的資金來源?

(The SOF refers to the origin of the particular funds are deposited or remitted by client to Hantec Securities)

(資金來源是指原有的戶口資金是由客戶本人存入或匯入亨達證券戶口)

Please provide information of SOF, some examples are listed below 請提供資金來源的資料:

- Transfer from customer's bank account 由客戶的銀行戶口轉入  
 Transfer from 3<sup>rd</sup> Party's bank account\* 由第三者的銀行戶口轉入  
(Name of 3<sup>rd</sup> Party 第三者姓名: \_\_\_\_\_, Relationship 關係: \_\_\_\_\_)

**Additional Information (if any) 其他資料(如有)**

\_\_\_\_\_  
*\*Please note that our company will not accept any form of third party fund deposit. If the client declares that the fund will be transferred from 3<sup>rd</sup> party's bank account in the above question, our company may reject opening/maintaining this client account.  
\*請注意本公司並不接受第三者存款。如客戶在上述問題中聲明資金會由第三者銀行戶口轉入，本公司可能會拒絕開立/維持客戶帳戶。*

5. Country/Jurisdiction of SOF Origination 資金來源地?

- Hong Kong 香港                       Mainland China 中國內地                       Macau 澳門  
 Singapore 新加坡                       United States 美國                       Canada 加拿大  
 Others 其他: \_\_\_\_\_

6. Estimated daily volume of transactions (in HKD) 估計每日之交投量(以港幣計算)

- Less than HKD 50,000                       Between HKD 50,001 to HKD 250,000  
少於 HKD50,000                      由 HKD50,001 至 HKD 250,000  
 Between HKD 250,001 to HKD 500,000                       More than HKD 500,001  
由 HKD250,001 至 HKD 500,000                      多於 HKD500,001

7. Estimated frequency of monthly transactions 估計每月交投次數

- Less than one month                       1-10 times per month  
少於 1 個月 1 次                      1 個月 1-10 次  
 11- 20 times per month                       More than 21 times per month  
1 個月 11 - 20 次                      1 個月多於 21 次

8. Has the Applicant/Account Holder ever had any account opening application rejected by other financial institutions?  
申請人/戶口持有人是否曾於其他金融機構開立戶口時被拒絕?

- No 否                       Yes 是, Please explain 請說明: \_\_\_\_\_

9. Has the Applicant/Account Holder been involved in any money laundering proceedings?  
申請人/戶口持有人是否曾牽涉於洗錢的訴訟?

- No 否                       Yes 是, Please explain 請說明: \_\_\_\_\_

Please complete either section (A) or (B) below.

Section (A) shall be completed and signed by the client. Section (B) shall be completed and signed by salesperson.

請填寫下列(A)部分或(B)部分。

(A)部分是由客戶填寫及簽署。(B)部分是由經紀填寫及簽署。

**(A) Client Declaration 客戶聲明**

I declare that the information provided above is true and accurate.  
本人確認以上提供之資料均屬真實及準確。

Signature of the Applicant/Account  
Holder 申請人/戶口持有人簽署

:

\_\_\_\_\_  
Name of Client:

X

Date  
日期

:

\_\_\_\_\_

**OR 或**

**(B) Salesperson Declaration 經紀聲明**

I confirmed that I received the above client information via centralized tape recording system with details as below 本人確認本人經紀透過中央電話錄音系統接收上述客戶資料(詳情如下)

Recorded Phone Date & Time  
電話錄音日期及時間

:

\_\_\_\_\_  
Date (DD/MM/YY)

Time  
\_\_\_\_\_

Recorded Phone Number  
錄音電話號碼

:

\_\_\_\_\_

Signature of the Salesperson  
經紀簽署

:

\_\_\_\_\_  
Name of Salesperson:

Date  
日期

:

\_\_\_\_\_

**Approved/Rejected\* by RO for opening/maintaining the account 由負責人員批核開戶/維持戶口**

\_\_\_\_\_  
Signed by Responsible Officer 負責人員簽署

Name of Responsible Officer

負責人員姓名: \_\_\_\_\_

Date 日期: \_\_\_\_\_

\* Please delete as appropriate



# HANTEC SECURITIES COMPANY LIMITED

## 亨達證券有限公司

### Risk Profiling Questionnaire 風險取向問卷

This Risk Profiling Questionnaire ("RPQ") provides a guideline that helps you to understand your risk profile.

本「風險取向問卷」可助您清晰明確地了解您的風險取向。

Client Name (客戶名稱): \_\_\_\_\_ (A/C No. 戶口號碼: \_\_\_\_\_ )

#### 此段由銷售人員填寫 (For Salespersons Only)

If the Client has completed this RPQ in the past 12 months and has no change to the answer of the risk profile below, the Client is not necessary to complete this questionnaire again and the Salesperson can reference to the risk acceptance level of the previous RPQ.

如客戶在過去 12 個月內曾填寫此問卷及以下的風險取向答案並無變更，銷售人員可參考上一次問卷的風險承受程度，而客戶毋需填寫此風險取向問卷。

Risk acceptance level 風險承受程度：

High 高       Medium to High 中至高       Medium 中       Low to Medium 低至中       Low 低

**For joint account, each account holder is required to complete this RPQ, if the risk profile of the account holders are different, then we will choose the lowest one as the risk profile of this joint account.**

如是聯名戶口，每一位戶口持有人皆需要填寫此問卷。當各人的風險承受程度不一致時，本公司會以最低者作為該聯名戶口的風險承受程度。

**For corporate account, the authorized trader(s) is/are required to complete the RPQ.**

如是公司戶口，應由獲授權人士向填寫此問卷。

1. Under extreme circumstances, similar to investments in equity, you may suffer 100% capital loss due to the risk of Investment Products. Do you understand the risk of Investment Products and are you still willing to invest in view of the risks involved?  
在極端情況下，閣下可能會因為投資產品的風險而損失全部的投資本金，就如同投資股票一樣。閣下是否清楚投資產品的風險並在了解其風險後仍願意投資？

- Yes 是, 清楚了解  
 No 否, 不清楚了解

2. Can you accept the liquidity risk of Investment Products?

閣下是否可接受投資產品相關的流動性風險？

- Yes 是, 可接受  
 No 否, 不可接受

3. Investment Products other than Exchange Traded Products is treated as Over-the-Counter Products ("OTC"). As the OTC products are lacking of transparency compared with Exchange Traded Products, can you accept this characteristic related to OTC Products?

場外交易產品為非在交易所買賣的投資產品。場外交易產品市場資訊較不公開，閣下是否能夠接受場外交易產品欠缺透明度的特性？

- Yes 是, 可接受  
 No 否, 不可接受

**If the Client answered "No" in one of the above questions (i.e. Question 1 to 3), the Client will not be eligible for trading OTC products.**

如客戶於問題 1 至 3 曾選取「否」，客戶將不可進行任何場外產品交易。

4. What is your age? (Not applicable to Corporate Account)

閣下的年齡介乎？(不適用於公司戶口)

- ≥ 65 (Note 1) (註 1) (1)  
 51 - 65 (2)  
 36 - 50 (5)  
 18 - 35 (7)

(Note 1: The Overall Investment Appetite/Risk Profile of the Client should be categorized as "Conservative" if you are over the age of 65)

(註 1: 如客戶的年齡是 65 歲或以上，閣下的整體投資取向 / 風險評估情況將被定性為「保守型」)

5. **Education Level 教育程度** (Not applicable to Corporate Account/不適用於公司戶口)

- Primary level or below 小學程度或以下 (Note 1a) (註 1a) (0)
- Tertiary / Secondary level 預科或中學程度 (10)
- University graduate (Note 2) 大學程度 (註 2) (20)/(30)
- Postgraduate or above (Note 2) 碩士程度或以上 (註 2) (30)/(40)

(Note 1a: The Overall Investment Appetite/Risk Profile of the Client should be categorized as "Conservative" if your education level is or below primary level)

(註 1a: 如客戶是小學程度或以下, 閣下的整體投資取向 / 風險評估情況將被定性為"保守型")

(Note 2: Additional 10 marks will be added for finance related course with evidential proof)

(註 2: 與金融相關課程及能提供證明文件可增加 10 分)

6. **How many years of investment experience on investment products (e.g. bonds, funds, etc)?**

閣下有多少年投資金融產品 (例如: 債券、基金等) 的經驗?

- Nil 沒有 (0)
- 1 - 3 years 年 (1)
- 4 - 10 years 年 (5)
- >10 years 年 (10)

7. **Did you invest any of the below investment products? (you can select more than one item)**

閣下曾經投資過以下那類投資產品? (可複選)

- None 沒有 (0)
- Saving / Time Deposit / Foreign Currency Deposit / Principal Guaranteed Products (1)  
儲蓄/定期儲蓄/外幣儲蓄/保本型商品
- Bonds / Certificate of Deposits/ Stocks/ Mutual Funds (3)  
債券/存款證/證券/基金
- Investment-Linked Insurance Plans (5)  
投資相連保險計劃
- Derivatives/Structure Products/Linked Deposits/FX Trading (Margin/Leveraged) (7)  
衍生產品/結構性產品/掛鈎存款/外匯投資 (孖展/槓桿)

(Note 3: The highest point answer will be taken for the calculation of score)

(註 3: 以最高分之答案計分)

8. **Which of the following return objective most closely reflect your investment goal?**

下列哪一項回報目標, 最為貼近閣下的投資目標?

- Capital preservation with a return similar to bank deposit rate (1)  
資本保障, 同時賺取貼近銀行存款利率的回報
- Earn a return which is slightly above bank deposit (3)  
賺取略高於銀行存款的回報
- Stable, balanced income and capital growth (5)  
穩定、均衡的收益及資本增長
- Gradual long-term capital growth (7)  
逐步累積的長線資本增長
- Maximize capital growth as soon as possible (10)  
儘快賺取最高的資本增長

9. **Which of the following statement could best describe your attitude towards investment risk?**

以下那一段句子最能反映您對投資風險的態度?

- I am risk-averse and don't want to take any risks (1)  
我不願意承受任何風險
- I will try to avoid risks but minor ones are still acceptable (3)  
我會盡量回避風險, 但仍可承受較低的波動
- I am trying to strike a balance between risks and returns (5)  
我會平衡風險與回報
- I am willing to accept more risks, as I aim for more returns (7)  
我願意承受較高的風險, 以換取更高回報
- Maximize capital growth as soon as possible; (10)  
務求得到最高資本回報

10. **What portion of your net worth would you like to set aside for investments? (Such products could include one or more of the following: stocks, unit trusts, foreign currencies, commodities, structured investment products, warrants, options, futures, investment-linked insurance plans). Please note that there is a potential for loss of your capital when investing in investment products.**

你會撥作投資的資產淨比例是多少? (該等產品可能包括以下一項或多項的投資產品: 股票、單位信託基金、外幣、商品、結構投資產品、認股權證、期權、期貨以及具投資成份的保險計劃)。請注意, 買賣投資產品可能帶來虧損。

- maximum 20% 最多20% (7)
- 21% - 40% (5)
- 41% - 60% (3)
- >60% (1)



11. The following represents the average potential loss of 5 portfolio samples. Amongst these conditions scenarios, which one is most acceptable to you? (Important note: these figures are averages and hypothetical and they do not represent the actual/future performance of any particular investment. For any of the following options, you recognize that in abnormal or unexpected market conditions, you may lose a significant part or all of your capital.)  
 下列答題選項顯示 5 種不同投資組合的潛在損失，你認為哪一個最適合你？(重要提示：這些投資組合的潛在損失只是平均值和假設，不代表任何特定投資的實際/未來表現。對於任何下列選項，在異常或非預期的市場條件下，你可能會失去較大部分或全部資金。)

**I am willing to accept a potential loss approximately 我願意接受的潛在損失**

- between 0 - 15% of my capital 於資金總額 0 - 15%之間 (1)  
 between 16 - 30% of my capital 於資金總額 16 - 30%之間 (3)  
 between 31 - 60% of my capital 於資金總額 31 - 60%之間 (5)  
 >60% of my capital 多於資金總額 60% (7)  
 Total loss 損失全部投資本金 (20)

12. Over a period of time the value of investments can rise and fall, this is called fluctuation. Generally, the investment has higher investment risk and potential fluctuation also offers a high rate of returns. On the other hand, the investment has lower investment risk and potential fluctuation also offers a lower rate of returns. What level of fluctuation would you generally be comfortable with?

在一段時間內，投資價值可升可跌，我們稱之為波動。一般而言，風險愈高的投資，其潛在波動愈大，但潛在回報亦愈高。相反，風險愈低的投資，其潛在回報亦相對較低。在一般情況下，閣下會願意投資於波動程度多大的投資產品？

- price swing range between -5% to +5% 價格波動介於-5%與+5%之間 (1)  
 price swing range between -10% to +10% 價格波動介於-10%與+10%之間 (3)  
 price swing range between -30% to +30% 價格波動介於-30%與+30%之間 (5)  
 price swing range between -50% to +50% 價格波動介於-50%與+50%之間 (7)  
 price swing range over -50% to +50% 價格波動超過於-50%與+50%之間 (10)

13. Assume inflation rate rises by 3% annually, how would you describe your expected earnings over the next 5 years?

假設每年的通脹率為 3%，下列哪一項最能形容閣下預期未來 5 年之收入？

**(Not applicable to Corporate Account/不適用於公司戶口)**

- No income 沒有收入 (0)  
 I believe my salary will be decreased due to work or personal reasons (1)  
 因為工作或私人原因，預期收入下降  
 I believe my salary increment will be the same as the inflation rate (5)  
 預期入息增幅與通脹同步  
 I believe my salary increment can stay ahead of the inflation rate (10)  
 預期入息增幅高於通脹

14. Assume you have a significant cash requirement immediately for a special situation (e.g. home purchasing, college tuition payment, retirement fund, etc.), you will

假如閣下將有重大的開支（例如：置業、大學學費、退休金等），閣下會如何應付？

- Liquidate all of the investments 將全部投資項目套現 (0)  
 Liquidate a significant portion of the investments 將大部份投資項目套現 (1)  
 Liquidate a small portion of investments 將小部份投資項目套現 (5)  
 Take no actions 不作任何行動 (10)

15. It is generally true that the longer investment horizon, the investor has to tolerate higher risk. What time horizon would you generally be comfortable with when investing in products the value of which can fluctuate? (Please take note that the investment horizon for OTC products such as Bond will be relatively longer due to the product nature)

在一般情況下，投資的年期越長，投資者需承受的風險越高。當投資於價值波動之投資產品時，閣下會願意接受下列哪項投資年期（請注意基於場外交易產品如債券類產品的特性，投資年期一般較長）？

- Less than 1 year 少於1年 (1)  
 more than 1 – less than/equal to 3 years 多於1年至少/等於3年 (3)  
 more than 3 years – less than/equal to 6 years 多於3年至少/等於6年 (5)  
 more than 6 years – less than/equal to 10 years 多於6年至少/等於10年 (7)  
 Over 10 years 多於10年 (10)

**Total Score 總分數：**

### Overall Assessment Result 投資者取向評估結果

Total Score 總分數	For Individual/ Joint Account 個人及聯名戶口	≤ 40	41 – 65	66 – 80	81 – 130	>130
	For Corporate Account 公司戶口	≤ 30	31 – 49	50 – 60	61 – 90	≥ 91
Risk Tolerance Level 風險承受程度	Low 低	Low-to-Medium 低至中	Medium 中	Medium-to-high 中至高	High 高	
Investor Characteristics 投資者特徵	Conservative 保守型	Stable 穩健型	Balance 平衡型	Growth 增長型	Aggressive 進取型	
	An investor who is risk-averse and to whom capital preservation is very important. 投資者對風險採取比較保守的態度及重視保存資本。	An investor who would like to have the capital gain potential, and he/she understands he/she needs to take a low to medium level of risk in respect of the capital invested. 投資者喜愛有資本增值的潛力的投資，同時亦明白到需要承擔低至中度風險。	An investor who is willing to accept a medium level of risk. 投資者願意承擔中等程度風險。	An investor who would like to have greater capital gain potential, and he/she understands that he/she needs to take a high level of risk. 投資者喜愛有較大資本增值潛力的投資，同時亦明白到需要承擔高程度的風險。	An investor who would like to have significant capital gain, and he/she understands that he/she needs to take a very high level of risk in respect of the capital invested. 投資者喜愛有可觀資本增值的投資，同時亦明白到要承擔相當高的風險。	

- All the answers to my/our **RPQ** are true and accurate and are given according to my/our situation. I/We confirm that I/we understand and agree with the result of this RPQ.  
有關我的「風險取向問卷」之答案均根據本人/吾等的情況而選擇的正確答案。本人/吾等確認本人/吾等明白及同意此風險取向問卷之結果。
- I/we understand that this “RPQ” should only be taken as a reference for determining my/our investment risk profile, and should not be taken as conclusive.  
本人/吾等明白此「風險取向問卷」只應作為個人投資風險程度的分析及參考，不應作為投資結論。
- I/We undertake to advise Hantec Securities Company Limited of any change of information provided in the RPQ.  
若「風險取向問卷」內提供的資料有所更改，本人/吾等承諾通知亨達證券有限公司。
- I/We understand that I/we have a right under the Personal Data (Privacy) Ordinance (“PDPO”) to request access to and correction of all of my/our personal information unless there is an exemption under PDPO under which the company may refuse to do so. Request may be made to the company (i.e. Hantec Securities company Limited), which collect my/our information through this questionnaire (i.e. company of my/our broker/independent financial advisor).  
根據個人資料（私穩）條例，本人/吾等有權致函透過此問卷收集本人/吾等個人資料的公司（即申亨達證券有限公司），向該公司提出有關要求取用及要求更正所有個人資料，並且該公司只能根據個人資料（私穩）條例之認可 豁免方可反對此要求。

Signature of the client (客戶簽署)  
(Please do not sign on blank form 請勿在空白表格上簽署)

Date: (DD/MM/YYYY)  
日期: (日/月/年)

Our Company will provide you a copy of Risk Profiling Questionnaire for your record. Kindly specify that you would like to receive the copy: (please choose one option below)

本公司將複印一份風險取向問卷交回閣下以作保存，請說明接收方法：（請選擇以下任何一項）

- by hand 當面收取
- by e-mail 電郵  
(If you have not provided email address to our company in the past, we will send the copy of Risk Profiling Questionnaire by post instead.)  
(若閣下從未提供電郵地址給予本公司，風險取向問卷影印本將以郵遞方式寄出)
- by Post 郵遞



To: Hantec Securities Co. Limited  
 12/F South China Building, 1-3 Wyndham Street, Central, Hong Kong  
 Ref. No.: AFL779

**Self-Certification Form – Entity**

**Important Notes:**

- This is a self-certification form provided by an account holder to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- An account holder should report all changes in its tax residency status to the reporting financial institution.
- All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (\*) are required to be reported by the reporting financial institution to the Inland Revenue Department.

**Part 1 Identification of Entity Account Holder**

(For joint or multiple account holders, complete a separate form for each entity account holder.)

(1) **Legal Name of Entity or Branch \*** \_\_\_\_\_

(2) **Jurisdiction of Incorporation or Organisation** \_\_\_\_\_

(3) **Hong Kong Business Registration Number** \_\_\_\_\_

(4) **Current Business Address**

Line 1 (e.g. Suite, Floor, Building, Street, District) \_\_\_\_\_

Line 2 (City) \* \_\_\_\_\_

Line 3 (e.g. Province, State) \_\_\_\_\_

Country \* \_\_\_\_\_

Post Code/ZIP Code \_\_\_\_\_

(5) **Mailing Address** (Complete if different to the current business address)

Line 1 (e.g. Suite, Floor, Building, Street, District) \_\_\_\_\_

Line 2 (City) \_\_\_\_\_

Line 3 (e.g. Province, State) \_\_\_\_\_

Country \_\_\_\_\_

Post Code/ZIP Code \_\_\_\_\_

**Part 2 Entity Type**

Tick one of the appropriate boxes and provide the relevant information.

Financial Institution	<input type="checkbox"/> Custodial Institution, Depository Institution or Specified Insurance Company <input type="checkbox"/> Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity's assets) and located in a non-participating jurisdiction
Active NFE	<input type="checkbox"/> NFE the stock of which is regularly traded on _____, which is an established securities market <input type="checkbox"/> Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market <input type="checkbox"/> NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities <input type="checkbox"/> Active NFE other than the above (Please specify _____)
Passive NFE	<input type="checkbox"/> Investment entity that is managed by another financial institution and located in a non-participating jurisdiction <input type="checkbox"/> NFE that is not an active NFE

**Part 3 Controlling Persons (Complete this part if the entity account holder is a passive NFE)**

Indicate the name of all controlling person(s) of the account holder in the table below. If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official. Complete Self-Certification Form – Controlling Person for each controlling person.

(1)	(5)
(2)	(6)
(3)	(7)
(4)	(8)

**Part 4 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”) \***

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

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number.

If the account holder is not a tax resident in any jurisdiction (e.g. fiscally transparent), indicate the jurisdiction in which its place of effective management is situated.

If a TIN is unavailable, provide the appropriate reason A, B or C:

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

**Reason B** – The account holder is unable to obtain a TIN. Explain why the account holder is 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.

Jurisdiction of Residence	TIN	Enter Reason A, B or C if no TIN is available	Explain why the account holder is unable to obtain a TIN if you have selected Reason B
(1)			
(2)			
(3)			
(4)			
(5)			

**Part 5 Declarations and Signature**

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution 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 certify that I am authorized to sign for the account holder of all the account(s) to which this form relates.

I undertake to advise \_\_\_\_\_ (state the name of the financial institution) of any change in circumstances which affects the tax residency status of the entity identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide \_\_\_\_\_ (state the name of the financial institution) with a suitably updated self-certification form within 30 days of such change in circumstances.

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

Signature

\_\_\_\_\_ 

Name

\_\_\_\_\_

Capacity

\_\_\_\_\_

(e.g. director or officer of a company, partner of a partnership, trustee of a trust etc.)

Date (dd/mm/yyyy)

\_\_\_\_\_

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



To: Hantec Securities Co. Limited  
12/F South China Building, 1-3 Wyndham Street, Central, Hong Kong  
Ref. No.: AFL779

**Self-Certification Form – Controlling Person**

**Important Notes:**

- This is a self-certification form provided by a controlling person to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- A controlling person should report all changes in his/her tax residency status to the reporting financial institution.
- All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (\*) are required to be reported by the reporting financial institution to the Inland Revenue Department.

**Part 1 Identification of Controlling Person**

**(1) Name of Controlling Person**

Title (e.g. Mr, Mrs, Ms, Miss)

Last Name or Surname \*

First or Given Name \*

Middle Name(s)

**(2) Hong Kong Identity Card or Passport Number**

**(3) Current Residence Address**

Line 1 (e.g. Suite, Floor, Building, Street, District)

Line 2 (City) \*

Line 3 (e.g. Province, State)

Country \*

Post Code/ZIP Code

**(4) Mailing Address (Complete if different to the current residence address)**

Line 1 (e.g. Suite, Floor, Building, Street, District)

Line 2 (City)

Line 3 (e.g. Province, State)

Country

Post Code/ZIP Code

**(5) Date of Birth \* (dd/mm/yyyy)**

**(6) Place of Birth (Not compulsory)**

Town/City

Province/State

Country

**Part 2 The Entity Account Holder(s) of which you are a controlling person**

Enter the name of the entity account holder of which you are a controlling person.

Entity	Name of the Entity Account Holder
(1)	
(2)	
(3)	

**Part 3 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”) \***

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the controlling person is a **resident for tax purposes** and (b) the controlling person’s TIN for each jurisdiction indicated. Indicate **all** (not restricted to five) the jurisdictions of residence.

If the controlling person is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.

If a TIN is unavailable, provide the appropriate reason A, B or C:

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

**Reason B** – The controlling person is unable to obtain a TIN. Explain why the controlling person is 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.

Jurisdiction of Residence	TIN	Enter Reason A, B or C if no TIN is available	Explain why the controlling person is unable to obtain a TIN if you have selected Reason B
(1)			
(2)			
(3)			
(4)			
(5)			

**Part 4 Type of Controlling Person**

Tick the appropriate box to indicate the type of controlling person for each entity stated in Part 2.

Type of Entity	Type of Controlling Person	Entity (1)	Entity (2)	Entity (3)
Legal Person	Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who exercises control/is entitled to exercise control through other means (i.e. not less than 25% of voting rights)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who holds the position of senior managing official/ exercises ultimate control over the management of the entity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trust	Settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Protector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Beneficiary or member of the class of beneficiaries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Legal Arrangement other than Trust	Individual in a position equivalent/similar to settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to protector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (e.g. individual who exercises control over another entity being equivalent/similar to settlor/trustee/protector/beneficiary)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



**Part 5 Declarations and Signature**

I acknowledge and agree that (i) the information contained in this form is collected and may be kept by the financial institution for the purpose of automatic exchange of financial account information, and (ii) such information and information regarding the controlling person 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 tax authorities of another jurisdiction or jurisdictions in which the controlling person 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 certify that I am the controlling person / I am authorized to sign for the controlling person # of all the account(s) held by the entity account holder(s) to which this form relates.

I undertake to advise \_\_\_\_\_ (state the name of the financial institution) of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide \_\_\_\_\_ (state the name of the financial institution) with a suitably updated self-certification form within 30 days of such change in circumstances.

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

Signature \_\_\_\_\_ X  
Name \_\_\_\_\_  
Capacity \_\_\_\_\_ (Indicate the capacity if you are not the individual identified in  
Date (dd/mm/yyyy) \_\_\_\_\_ Part 1. If signing under a power of attorney, attach a certified  
copy of the power of attorney.)

# Delete as appropriate

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

**MARGIN CLIENT'S AUTHORISATION LETTER**  
**保證金客戶授權函件 - 客戶款項常設授權**

To 致： Hantec Securities Co., Limited & Hantec Futures Limited  
亨達証券有限公司及亨達期貨有限公司  
12/F, South China Building, 1-3 Wyndham Street, Central, Hong Kong.  
香港中環雲咸街 1-3 號南華大廈 12 樓

Authority under Securities and Futures (Client Securities) Rule (Cap. 571H of Laws of Hong Kong) to deposit Securities & Futures Contracts.

根據證券及期貨(客戶證券)規則第 571 H 章 所提供有關存放證券及期貨合約的授權。

This letter of authority covers all securities purchased or held by Hantec Securities Co., Limited &/or Hantec Futures Limited ("Hantec") on my/our behalf.

本授權書是有關一切由亨達証券有限公司或/及亨達期貨有限公司(「亨達」)代表本人/吾等購入或持有之證券及期貨合約。

This letter authorize Hantec to 本授權書授權亨達：

1. Apply any of my/our securities or securities collateral pursuant to a securities borrowing and lending agreement;

依據證券借貸協議運用任何有關本人/吾等的證券或證券抵押品；

2. deposit any of my/our securities collateral with an authorized financial institution as collateral for financial accommodation provided to Hantec; or

將任何本人/吾等證券抵押品存放於認可財務機構，作為提供予亨達的財務通融的抵押品；或

3. deposit any of my/our securities collateral with 將任何本人/吾等證券抵押品存放於

(i) a recognized clearing house; or 認可結算所；或

(ii) another intermediary licensed or registered for dealing in securities, as collateral for the discharge and satisfaction of Hantec's settlement obligations and liabilities.

另一獲發牌或獲註冊進行證券交易的中介人，作為解除亨達在交收上的義務和清償亨達在交收上的法律責任的抵押品。

Hantec may do any of these things without giving me/us notice.

亨達可以做以上任何事情而無須通知本人/吾等。

Hantec is accountable to me/us for the return of equivalent securities deposited under this authority after full repayment by me/us of all outstanding loans under the facility.

當本人/吾等已全數清還本人/吾等就亨達所提供之信貸安排的所有未清償的貸款後，亨達証券將會繼續有責任向本人/吾等交還沒有產權負擔的相等證券。

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

本人/吾等明白本人/吾等的證券可能受制之第三者之權利，亨達須於全數抵償該等權利後，方可將本人/吾等的證券退回本人/吾等。

This authority is valid for period of 12 months form the date of this letter.

本授權書的有效日期為十二個月，自本授權書之日起計生效。

This authority may be deemed to be renewed (i.e. without my/our written consent) if Hantec issues me/us a reminder at least 14 days prior to the expiry of the authority, and I/we do not object to such deemed renewal before the expiry date of the authority.

假如亨達在有關授權的期限屆滿前最少 14 日向本人/吾等發出有關授權將被視為已續期的提示，而本人/吾等對於有關授權的期限屆滿前以此方式將該授權延續不表示反對，則該授權將會在沒有本人/吾等的書面同意下被視為已續期。

This letter has been fully explained to me/us in a language that I/we understand and I/we read and agreed to the terms of this letter.

本函件已全部經以本人/吾等明白的語言向本人/吾等解釋清楚。本人/吾等已詳閱並同意本函件的內容。

Signed by 客戶簽名：

Name of Client 客戶姓名：

\_\_\_\_\_ / \_\_\_\_\_

Date 日期：



## STANDING AUTHORITY (CLIENT MONEY)

### 客戶常設授權(客戶款項)

To 致： Hantec Securities Co., Limited & Hantec Futures Limited

亨達証券有限公司及亨達期貨有限公司

12/F, South China Building, 1-3 Wyndham Street, Central, Hong Kong.

香港中環雲咸街 1-3 號南華大廈 12 樓

#### Authority under Securities and Futures (Client Money) Rules

根據《証券及期貨(客戶款項)規則》所設立的常設授權

This letter of authority covers money held or received by you in Hong Kong (including any interest derived from the holding of the money which does not belong to you) in one or more segregated account(s) on my/our behalf ("monies")

本授權涵蓋貴公司為本人/吾等在香港收取或持有並存放於一個或多個獨立賬戶內的款項(包括因持有並非屬於貴公司的款項而產生之任何利息)(下稱「款項」)。

Unless otherwise defined, all the terms used in this authorization letter shall have the same meanings as in the Securities and Futures Ordinance and the Securities and Futures (Client Money) Rules as amended from time to time.

除非另有說明，本授權書之名詞與証券及期貨條例及証券及期貨(客戶款項)規則不時修訂之定義具有相同意思。

This letter authorizes you to:

本授權書授權 貴公司：

1. Combine or consolidate any or all segregated accounts of any natures whatsoever and either individually or jointly with others, maintained by you from time to time and you may transfer any sum of Monies to and between such segregated account(s) to satisfy my/our obligations or liabilities to you, whether such obligations and liabilities are actual, contingent, primary or collateral, secured or unsecured, joint several; and 組合或合併 貴公司為吾等所維持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，貴公司可將該等獨立賬戶內任何數額之款項作出轉移，以解除本人/吾等對 貴公司的義務或法律責任，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
2. Transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by you.

從 貴公司於任何時候維持的任何獨立賬戶之間來回調動任何數額之款項。

You are authorized to perform any of the above-mentioned without giving me/us notice.

貴公司可不向本人/吾等發出通知而採取上述行動。

This authority is given to you in consideration of your agreeing to continue to maintain securities cash and/or margin account(s) for me/us.

此賦予 貴公司之授權乃鑑於 貴公司同意繼續維持本人/吾等之証券現金賬戶/或証券保證金賬戶。

This authority is given without prejudice to other authorities or rights which you may have in relation to dealing in Monies in the segregated accounts.

此賦予 貴公司之授權並不損害 貴公司可享有有關處理該等獨立賬戶內款項的其他授權或權利。

This authority is valid for a period of 12 months from the date of this letter.

本授權書的有效日期為十二個月，自本授權書之日起計生效。

This authority may be revoked by giving you written notice addressed to you at your address specified above.

Such notice shall take effect upon the expiry of two weeks from the date of your actual receipt of such notice.

本人/吾等明白向 貴公司位於上述所列明之地址發出書面通知，撤回本授權書。該等通知之生效日期為 貴公司真正收到該等通知後之 14 日起計。

I/We understand that this authority shall be deemed to be renewed on a continuing basis without my/our written consent if you issue me/us written reminder at least 14 days prior to the expiry date of this authority, and I/we do not object to such deemed renewal before such expiry date.

本人/吾等明白 貴公司若在本授權書的有效期限滿前 14 日之前，向本人/吾等發出書面通知，提醒本人/吾等授權書即將屆滿，而本人/吾等沒有在此授權屆滿前反對授權續期，本授權書應當作不需要本人/吾等的書面同意下按持續的基準已被續期。

In the event of any difference in interpretation or meaning between the Chinese and English version of this authority, I/we agree that the English version shall prevail.

倘本授權書的中文本與英文本在解釋或意義方面有任何歧義，本人/吾等同意應以英文為準。

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

本人/吾等就本授權書內容已獲得解釋，並且本人/吾等明白及同意本授權書的內容。

Client Signature:

客戶簽署

A/C No.:

戶口號碼

Date:

日期

Account Name:

戶口名稱

I.D./Passport/C.I.No.:

身份証/護照/公司註冊號碼

X



STANDING AUTHORITY (CLIENT SECURITIES)  
客戶常設授權 (客戶證券)

To: Hantec Securities Co., Limited & Hantec Futures Limited  
亨達証券有限公司及亨達期貨有限公司  
12/F, South China Building, 1-3 Wyndham Street, Central, Hong Kong.  
香港中環雲咸街 1-3 號南華大廈 12 樓

Authority under Securities and Futures (Client Securities) Rules

根據《證券及期貨(客戶證券)規則》所設立的常設授權

This letter of authority is in respect of the treatment of my/our securities or securities collateral as set out below.

本授權書是有關處置本人/吾等之證券或證券抵押品，詳情如下：

Unless otherwise defined, the terms used in this letter shall have the same meanings as in the Securities and Futures Ordinance and the Securities and Futures (Client Securities) Rules as amended from time to time.

除非另有說明，本授權書之名稱與證券及期貨條例及證券及期貨(客戶證券)規則不時修訂之定義具有相同意思。

This letter authorizes you to:

本授權書授權亨達証券有限公司：

1. Apply any of my/our securities or securities collateral pursuant to a securities borrowing and lending agreement; (apply to accounts where securities borrowing and lending agreement has been signed)  
依據證券借貸協議運用任何本人/吾等的證券或證券抵押品；(只適用於已簽妥證券借貸協議之戶口)
2. Deposit any of my/our securities collateral with an authorized financial institution as collateral for financial accommodation provided to you; (apply to margin accounts only)  
將任何本人/吾等的證券抵押品存放於認可財務機構，作為該機構向 貴公司提供財務通融之抵押品；(只適用於孖展客戶)
3. Deposit any of my/our securities collateral with Hong Kong Securities Clearing Company Limited ("HKSCC") as collateral for the discharge and satisfaction of your settlement obligations and liabilities. I/We understand that HKSCC will have a first fixed charge over my/our securities to the extent of your obligations and liabilities;  
將任何本人/吾等的證券抵押品存放於香港中央結算有限公司(「中央結算」)，作為解除 貴公司在交收上的義務和清償 貴公司在交收上的法律責任的抵押品。本人/吾等明白中央結算因應 貴公司的責任和義務而對本人/吾等的證券設定第一個固定押記；
4. deposit any of my/our securities collateral with any other recognized clearing house, or another intermediary licensed or registered for dealing in securities, as collateral for the discharge and satisfaction of your settlement obligations and liabilities; and  
將任何本人/吾等的證券抵押品存放於任何其他獲認可結算所或任何其他獲發牌或獲註冊進行證券交易的中介人，作為解除 貴公司在交收上的義務和清償 貴公司在交收上的法律責任的抵押品；及
5. apply or deposit any of my/our securities collateral in accordance with paragraphs (1),(2),(3), and/or (4) above if you provide financial accommodation to me/us in the course of dealing in securities and also provide financial accommodation to me/us in the course of any other regulated activity for which you are licensed or registered.  
如 貴公司在進行證券交易及 貴公司獲發牌或獲註冊進行的任何其他受規管活動的過程向本人/吾等提供財務通融，即可按照上述第(1),(2),(3)及或第(4)段所述運用或存放任何本人/吾等的證券抵押品。

You are authorized to perform any of the above-mentioned without giving me/us notice. I/We acknowledge that this authority shall not affect your right to dispose any of my/our securities or securities collateral in settlement of any liabilities owed by or on behalf of me/us to you.

貴公司可不向本人/吾等發出通知而採取上述行動，本人/吾等認本授權書不影響 貴公司為解除由本人/吾等對 貴公司、貴公司之聯繫實體或第三者所負的法律責任，而處理或促使 貴公司的聯繫實體處置本人/吾等之證券或證券抵押品的權利。

This authority is given to you in consideration of your agreeing to continue to maintain the securities trading account(s) for me/us.

此賦予 貴公司之授權乃鑑於 貴公司同意繼續維持本人/吾等之證券交易賬戶。

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

本人/吾等明白本人/吾等的證券可能受制於第三者之權利， 貴公司須全數抵償該等權利後，方可將本人/吾等的證券退回本人/吾等。

This authority is valid for period of 12 months form the date of this letter.

本授權書的有效期限為十二個月，自本授權書之日起計有效。

This authority may be revoked by giving you written notice addressed to you at your address specified above. Such notice will take effect upon expiry of two weeks from the date of your actual receipt of such notice.

本人/吾等可以向 貴公司客戶服務部於上述所列明之地址發出書面通知，撤回本授權書。該等通知之生效日期為 貴公司真正收到該等通知後之 14 日起計。

I/We understand that this authority may be deemed to be renewed on a continuing basis without my/our written consent if you issue me/us a written reminder at least 14 days prior to the expiry date of this authority, and I/we do not object to such deemed renewal before such expiry date.

本人/吾等明白 貴公司若本授權書的有效期限滿前 14 日之前，向本人/吾等發出書面通知，提醒本人/吾等本授權書即將屆滿，而本人/吾等沒有在此授權屆滿前反對此授權續期，本授權書應當在不需要本人/吾等的書面同意下按持續的基準已被續期。

In the event of any difference in interpretation or meaning between the Chinese and English version of this authority I/we agree that the English version shall prevail.

倘若本授權書的中文本與英文本在解釋或意義方面有任何歧義，本人/吾等同意應以英文本為準。

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

本人/吾等就本授權書的內容已獲得解釋，並且本人/吾等明白及同意本授權的內容。

Client Signature:

客戶簽署

A/C No.:

戶口號碼

Date:

日期

Account Name:

戶口名稱

I.D./Passport/C.I.No.:

身份証/護照/公司註冊號碼



## Certified Extract of Meeting Minutes of the Board of Directors

of ..... (the “Company”)

Extract of minutes of the meeting of the Board of Directors of the Company duly convened on the .....  
day of ....., 20.....

---

Quorum: present

Meeting Venue: .....

Chairman: .....

**Re: Opening of Account(s) with Hantec Securities Company Limited and/or Hantec Futures Limited (the “Broker”)**

NOTED THAT:-

1. It is in the best interest of the Company to open and maintain one or more accounts (the “Account(s)”) with the Broker for dealing in securities, futures and options contracts.
2. The following documents of the Broker relating to the Account(s) (the “Account Documentation”) were made available for the directors’ review, including without limitation:-
  - (a) The “Account Opening Form (For Corporate Account)”;
  - (b) The “Terms and Conditions” booklet;
  - (c) The “Circular to Clients relating to the Personal Data (Privacy) Ordinance”; and
  - (d) The “Risk Disclosure Statements and Disclaimers”.

RESOLVED THAT:-

1. The Account(s) be opened and maintained with the Broker in accordance with the terms contained in the Account Documentation and in accordance with such terms and conditions which the Broker may from time to time prescribe for the Account(s).
2. The Account Documentation be accepted and approved.
3. Designated personnel be and was/were hereby appointed as **Authorised Person(s)** of the Company to handle Account(s)-related matters, as more specifically authorised in the following manner:

**Account opening and non-trading acts**

- 3.1 Any one Authorised Person in the immediate following table be and was hereby authorised to sign and/or execute on the Company’s behalf (including the affixing of the Company seal and/or Company official chop, where necessary) any Account Documentation and all other relevant documents in connection with the opening of the Account(s); to deliver to the Broker any such Account Documentation and other relevant documents; and to do any other non-trading acts in connection with the Account(s) as set out in paragraph 3.2 below.

Name of Authorised Person	Address	ID no. / Passport no.	Contact Telephone No(s).	Contact Fax No(s).	Specimen Signature
(1)					
(2)					
(3)					

Name of Authorised Person	Address	ID no. / Passport no.	Contact Telephone No(s).	Contact Fax No(s).	Specimen Signature
(4)					
(5)					

3.2 Non-trading acts in connection with the Account(s) as mentioned in paragraph 3.1 above shall mean:

- (a) withdraw or transfer any money, securities, collateral or other property into or out of the Account(s);
- (b) sign, execute and deliver any agreement, consent, letter or other documents required by the Broker for the withdrawal or transfer as stated in sub-paragraph (a) above and/or for the settlement of transactions of the Account(s);
- (c) close the Account(s) and sign, execute and deliver any documents in relation to the closure of the Account(s); and
- (d) do any other non-trading acts in connection with the Account(s) as approved by the Broker.

3.3 The authorisation under paragraph 3.1 above is subject to the satisfaction of the following **signing arrangement** of the Company:

(Please tick any one of the followings)

<input type="checkbox"/>	Signature of any one Authorised Person only shall suffice	
<input type="checkbox"/>	Signature of any one Authorised Person plus stamping of company chop shall suffice	Specimen company chop
<input type="checkbox"/>	Stamping of company chop only shall suffice	

**Trading acts**

3.4 Any one Authorised Person in the immediate following table be and was hereby authorised to do the following trading acts in connection with the Account(s) for and on behalf of the Company:

- (a) give trading instructions to the Broker, whether in writing, verbally or otherwise, in respect of any transactions of the Account(s);
- (b) sign, execute and deliver any agreement, consent, letter or other documents required by the Broker for the sale, purchase, subscription, placement, redemption and/or other forms of trading of securities in the Account(s); and
- (c) do any other acts in connection with sub-paragraphs (a) and/or (b) above for the Account(s) as approved by the Broker.

Name of Authorised Person	Address	ID no. / Passport no.	Contact Telephone No(s).	Contact Fax No(s).	Specimen Signature
(1)					
(2)					



Name of Authorised Person	Address	ID no. / Passport no.	Contact Telephone No(s).	Contact Fax No(s).	Specimen Signature
(3)					
(4)					
(5)					

3.5 Any written instruction from the Authorised Person pursuant to the authority given under paragraph 3.4 above shall bear the signature of the Authorised Person in order to be valid, unless the Broker otherwise agreed or approved.

4. The Company shall notify the Broker from time to time of any change which may render the information as contained in any Account Documentation or other relevant documents untrue or misleading.
5. The Broker be provided with any documents of the Company which it may require in connection with the opening and operation of the Account(s), including without limitation, copies of the certificate of incorporation, business registration certificate, articles of association, financial statements and board minutes/resolutions in writing.

IT IS HEREBY CERTIFIED THAT:-

The resolutions set forth above:-

- (a) are true and complete records of the resolutions validly passed in accordance with the constitution of the Company on the date first above mentioned;
- (b) have been duly recorded in the minutes book of the Company; and
- (c) remain in full force and effect and that no action has been taken to rescind or amend such resolutions.

Certified by:

\_\_\_\_\_  
Signature of Chairman / Director

Name: \_\_\_\_\_

Dated: \_\_\_\_\_





## Deed of Guarantee and Indemnity

To: **Hantec Securities Company Limited & Hantec Futures Limited**

1. In consideration of your granting and/or continuing to make available advances, credit facilities or other financial accommodation for whatsoever purposes and for so long as you may think fit, to *(Applicant's name)* .....of *(Applicant's address)*..... (the "Applicant") the undersigned *(Guarantor's name)* ..... (the "Guarantor") of *(Guarantor's address)*..... (particulars of Guarantor are set out in Schedule 1 to this Deed) as primary obligor and not merely as surety, hereby irrevocably and unconditionally guarantees and will procure, punctual payment to you, on the respective due dates, of all moneys which are now or may at any time hereafter be or become from time to time due or owing to you by the Applicant anywhere, or in respect of which the Applicant may be or become liable to you, whether on any account or otherwise in any manner whatsoever (in all cases whether alone or jointly with any other person, and in whatever style, name or form, and whether as principal or surety), in each case at the time, in the place and in the manner required of the Applicant, and including (without limitation) the amount of any loans, acceptances, deferred payments or other credits or advances made to the Applicant or others, for the accommodation or at the request of the Applicant, and of any notes or bills, made, accepted, endorsed, discounted or paid, and of any liability under guarantees, indemnities, contracts (spot and forward), documentary or other credits or any instruments whatsoever, from time to time assumed or given by or entered into by you for or at the request of the Applicant, PROVIDED ALWAYS that the maximum liability of the Guarantor hereunder shall not in any event exceed the sum specified in Schedule 2 to this Deed together with interest to date of payment at such rates and upon such terms as may from time to time be payable by the Applicant (or which would have been so payable notwithstanding the death, bankruptcy, liquidation, winding-up or other incapacity of the Applicant), commissions, discounts, fees and other charges, all disbursements and all expenses incurred by you in relation to the Applicant, or the preparation or enforcement of any guarantees or securities for any moneys, obligations or liabilities hereby guaranteed, including all legal costs and all other costs and expenses, penalties or expenditure on a full indemnity basis. For the avoidance of doubt, if no amount is specified in the Schedule, the Guarantor's liability under this Deed shall be unlimited.
2. The Guarantor hereby undertakes to procure that the Applicant will comply with all the Applicant's obligations to you, the beneficiary of this Deed, but should the Applicant default in making payment when due of any payment or default in complying with any other obligation, the Guarantor will, without the need for any demand, make immediate payment or performance thereof as the case may be, at the place, in the funds and currency and/or in the manner required of the Applicant and without any withholding or deduction whatsoever PROVIDED ALWAYS HOWEVER that no time for limitation of liability in respect of this Deed shall begin to run in favour of the Guarantor unless and until you shall have made demand on the Guarantor.
3. The Guarantor hereby agrees to pay interest, from the due date until payment, on all moneys hereby secured and/or guaranteed at such rate as may from time to time be payable by the Applicant in respect of such moneys or would have been payable, notwithstanding the death, bankruptcy, liquidation, winding-up or other incapacity of the Applicant, or any arrangement or composition with the Applicant's creditors or any proceedings in or analogous to bankruptcy, liquidation or winding-up.
4. Any statement of account of the Applicant issued by you shall be conclusive evidence as against the Guarantor of the indebtedness of the Applicant to you.
5. This Deed shall be a continuing security and shall cover and secure the ultimate balance from time to time owing to you by the Applicant on each separate account or in any manner whatsoever, notwithstanding the death, bankruptcy, liquidation, winding-up, incapacity or any change in the constitution or partners of the Applicant or the Guarantor or your receipt of notice of any such occurrence or any settlement of account or other matter whatsoever.
6. The continuing nature of this Deed may be terminated at the expiry of 6 months after the receipt by you from the Guarantor (or in the event of the death or insanity of the Guarantor from the legal personal representative of the Guarantor) of notice in writing to terminate it, PROVIDED ALWAYS that such notice shall not affect the liability of the Guarantor for amounts due or owing, present or future, certain or contingent, incurred or arising out of obligations incurred, created or assumed prior to the expiration of such 6 months period but maturing thereafter, and, for the avoidance of any doubt, the Guarantor hereby expressly agrees and declares that even if you are given notice under this clause you shall still be entitled over the said 6 months' period to continue to make available credit or other facilities or financial accommodation to the Applicant and to make further advances to the Applicant and to open new accounts with or for the Applicant in respect thereof and all such liabilities incurred, created or assumed by the Applicant arising out of or in connection therewith shall be subject to this Deed.
7. This Deed is in addition to and may be enforced notwithstanding any other deed or covenant, guarantee, indemnity, assurance, pledge, lien, bill, note, mortgage, charge, debenture, security, or other right, power or remedy, now or hereafter held by, made in favour of or available to you.
8. Should any purported obligation or liability of the Applicant which, if valid or enforceable, would be the subject of this Deed be or become wholly or in part invalid or unenforceable against the Applicant on any ground whatsoever, including any defect in or insufficiency or want of powers of the Applicant, or irregular or improper purported exercise thereof, or breach or want of authority by any person purporting to act on behalf of the Applicant, or any legal limitation, disability, mental or other incapacity, or any other



fact or circumstance, whether or not known to you, or if, for any other reason whatsoever, the Applicant is not or ceases to be legally liable to discharge any obligation or liability undertaken or purported to be undertaken on the Applicant's behalf, the Guarantor shall nevertheless be liable to you in respect of that obligation or liability or purported obligation or liability as if the same were wholly valid and enforceable and the Guarantor were the principal debtor in respect thereof. You are not to be concerned to see or enquire into the powers of the Applicant or its officers (if the Applicant is a limited company), employees or agents purporting to act on the Applicant's behalf and the Guarantor agrees that you will thus rely on the acts purportedly carried out on behalf of the Applicant as being validly binding on the Applicant so that the Guarantor is estopped from taking or raising any point or defence on such matter(s).

9. The Guarantor shall not be exonerated, nor shall this Deed be in any way discharged or diminished or in any way affected by the existence of any defence, set-off or counter-claim which the Applicant may have or by you, from time to time, without the assent or knowledge of the Guarantor, granting to the Applicant or to any other person, any time, indulgence or concession, or renewing any bills, promissory notes or other negotiable or non-negotiable instruments or securities, varying, realising, releasing or abstaining from perfecting or enforcing any covenants, deeds, guarantees, indemnities, assurances, pledges, liens, bills, notes, mortgages, charges, debentures, securities, or any other rights, powers or remedies, or renewing, waiving, varying, terminating or increasing any credit or facilities to, or the terms or conditions in respect of any transaction with, the Applicant in any manner whatsoever, or agreeing with the Applicant as to the application of any loans or advances made or to be made to or for the account of the Applicant, or the making of any other agreement with the Applicant or compounding with, discharging, releasing or varying the liability of the Applicant, or any other person, or concurring in accepting or varying any compromise, arrangement or settlement or omitting to claim or enforce payment, or by anything done or omitted or any other circumstances which, but for this provision, might operate to exonerate the Guarantor, or any other person.
10. You may enforce this Deed notwithstanding that you may have any outstanding right, power or remedy against the Applicant or any other person and without proceeding or enforcing any claim against the Applicant or any other person. The Guarantor: (a) waives any rights which the Guarantor may have to require you first to proceed against or enforce any other guarantee or security before claiming from the Guarantor and (b) confirms that should you so demand, the Guarantor shall place the Applicant in sufficient funds to repay you should the Applicant, for whatever reason, not have sufficient funds of its own.
11. The Guarantor has not taken and will not take any security from the Applicant or any security extending to any obligations or liabilities of the Guarantor under this Deed and your entitlement against the Applicant and the Guarantor shall not be diminished by the existence of any such security.
12. Should the Guarantor contravene Clause 11 above, the security concerned will be held in trust for you as further security and the Guarantor will forthwith deposit the same and all related documents with you, accounting to you for all moneys at any time received by the Guarantor in respect of such security and if the Guarantor fails to comply with the provisions of this clause 12, the amount for which the Guarantor shall be liable under this Deed shall be increased by the amount by which any dividend in liquidation, bankruptcy or otherwise payable by the Applicant to you is diminished.
13. Any money received by virtue of or in connection with this Deed may be placed to the credit of a separate or suspense account for so long as you may determine with a view to preserving your rights to prove for the whole of your claims against the Applicant, or any other person liable, in the event of any proceedings in or analogous to bankruptcy, liquidation, winding-up, insolvency, composition or arrangement.
14. The Guarantor hereby irrevocably waives any right or power which the Guarantor may have of appropriation in respect of any sum paid by the Guarantor by virtue of or in connection with this Deed.
15. Until all the moneys, obligations and liabilities referred to in clauses 1 and/or 2 and/or 3 of this Deed have been paid, discharged and satisfied in full (which expression shall not include payment of a dividend in bankruptcy or winding-up of less than 100 per cent), the Guarantor waives all rights of subrogation and agrees not to demand or accept repayment in whole or in part of any moneys, obligations or liabilities then or thereafter due to the Guarantor from the Applicant, or to demand or accept any security in respect thereof, or to assign the same or charge the same as security, or to take any step to enforce any right against the Applicant, or to claim any set-off or counterclaim against the Applicant or to claim or prove in competition with you in the bankruptcy, liquidation or winding-up of, or have the benefit of any share in any payment or composition from, the Applicant, any co-Guarantor, or any other person, or in any covenant, deed, guarantee or other security now or hereafter held by you.
16. Any release, discharge or settlement between you and the Guarantor shall be conditional upon no security, disposition or payment to you by the Applicant, the Guarantor, or any other person, being avoided or reduced or repaid pursuant to any provisions or enactments relating to bankruptcy, winding-up, insolvency or circumstances analogous thereto and, for such purpose, you shall be entitled (notwithstanding clause 6) to retain this Deed and any security held for the liability of the Guarantor hereunder in full force and effect for such period as you may determine and, if such condition shall not be fulfilled, you shall be entitled to enforce this Deed and any such security subsequently as if such release, discharge or settlement had not occurred.
17. The Guarantor hereby agrees for itself and as agent for and on behalf of any Guarantor's Group Company that you may, at any time without notice, notwithstanding any settlement of account or other matter whatsoever, combine or consolidate all or any of the Guarantor's and/or Guarantor's Group Company's then existing accounts (of any nature or description whatsoever and whether subject to notice or not) and set-off or transfer any sum standing to the credit of any one or more such accounts wheresoever situate



in or towards satisfaction of any liabilities to you of the Guarantor under this Deed or on any other account, or in any other respect whatsoever, whether such liabilities be present or future, actual or contingent, primary or collateral, several or joint and where such combination, set-off or transfer requires the conversion of one currency into another, such conversion shall be calculated at a fair spot rate of exchange (as determined by you, which determination may take account of incidental and/or indirect expenses) for the currency for which the Guarantor is liable against the existing currency so converted. For the purposes of this clause, the expression "Guarantor's Group Company" shall, if the Guarantor is a body corporate, mean the ultimate holding company of the Guarantor and each and every subsidiary of such holding company.

18. You are hereby authorised to exercise a general lien over all the property of the Guarantor coming into your possession or control for any reason whatsoever, and whether or not in the ordinary course of your business, with unfettered power for you to sell such property as you decide, without the need for judicial proceedings, to satisfy any liabilities whatsoever of the Guarantor to you if not satisfied when due.
19. If, for the purpose of obtaining judgment in any court in any country, it becomes necessary under the laws of such country to convert into a currency (the "Judgment Currency") other than the currency in which the Guarantor's obligations under or pursuant to this Deed are expressed to be payable (the "Agreed Currency") an amount due in the Agreed Currency under or pursuant to this Deed, then the conversion shall be made, to the extent permitted by applicable law, in your sole and absolute discretion, at the rate of exchange (meaning the spot rate at which you are able, in accordance with your usual practice, to purchase the Agreed Currency on the relevant date with the Judgment Currency, including any premium and costs of exchange payable in connection with such purchase) (the "Rate of Exchange") prevailing either on the date of default or on the day on which judgment is given (the "Conversion Date"). If there is a change in the Rate of Exchange prevailing between the Conversion Date and the date of payment of the amount due, the Guarantor will pay such additional amounts (if any) as may be necessary to ensure that the amount paid in the Judgment Currency, when converted at the Rate of Exchange prevailing on the date of payment, will produce the amount then due under this Deed in the Agreed Currency to the intent that the obligations of the Guarantor to make payment in the Agreed Currency of any amounts due to you hereunder shall not be discharged or satisfied by any tender or any recovery pursuant to any judgment which is expressed in or converted into any currency other than the Agreed Currency except to the extent that such tender or recovery shall result in the actual receipt by you at the place at which the Applicant is required to pay the full amount of the Agreed Currency expressed to be payable in respect of the amounts due hereunder. Any amount due from the Guarantor under this clause shall be due as a separate debt and shall not be affected by judgment being obtained for any other sum due under or in respect of this Deed.
20. No waiver of any of your rights or powers or any consent by you shall be valid and/or effective unless signed by one or more of your directors in writing which refers expressly to this clause 20. No failure or delay by you in exercising any right, power or privilege hereunder shall operate as a waiver thereof, nor shall any single or partial exercise preclude any other or further exercise thereof or the exercise of any other right, power or privilege. The remedies provided herein are not to be exclusive of any other remedy and each and every remedy shall be cumulative and in addition to every other remedy given hereunder or now or hereafter existing at law or in equity, by statute or otherwise.
21. The Guarantor hereby undertakes to obtain and maintain in full force effect all governmental and other approvals, authorities and consents required in connection with this Deed, and to do or cause to be done all other acts and things necessary or desirable for the performance of all the obligations of the Applicant and/or the Guarantor howsoever arising.
22. IF THERE ARE TWO OR MORE SIGNATORIES HERETO, the expression "the Guarantor" shall include all and each of them and this Deed shall be of joint and several effect, in which event none of the undersigned shall be entitled to any of the rights or remedies of a surety as regards the obligations of any other of them. Further (i) each of the undersigned agrees and consents to be bound by this Deed, notwithstanding that any others who were intended to sign or to be bound by this Deed may not do so or be effectually bound hereby, and notwithstanding that this Deed may be invalid or unenforceable against any one or more of the undersigned by reason of fraud, forgery or otherwise, whether or not the deficiency is known to you and (ii) you shall be at liberty to release any one or more of the undersigned from this Deed, to compound with or otherwise vary or agree to vary the liability of, or to grant time or other indulgence to, or make other arrangements with, any one or more of the undersigned, without prejudicing or affecting your rights, powers and remedies against any others of the undersigned and (iii) the termination of this Deed in accordance with its terms by one or more of the undersigned shall not diminish or otherwise affect the continuing effect of this Deed against the other(s).
23. If signed by a firm, the expression "the Guarantor" shall include the person or persons from time to time carrying on business in the name of such firm.
24. This Deed shall be binding upon each successor, assignee, personal representative and person lawfully acting on behalf of the Guarantor or any of the undersigned and the expression "the Guarantor" shall be construed accordingly.
25. This Deed shall be enforceable notwithstanding any change in your name or your amalgamation with or absorption by, or of any other corporation.
26. If any one or more of the provisions of this Deed, or any part thereof, shall be declared or adjudged to be illegal, invalid or unenforceable under any applicable law, such illegality, invalidity or unenforceability shall not invalidate any of the other provisions of this Deed, which shall remain in full force, validity and effect.
27. This Deed shall be governed by and construed in all respects in accordance with the laws of the Hong Kong SAR.

- 28. Any notice to the Guarantor under this Deed may be given by delivering such notice addressed to the Guarantor at its address as last known to you and shall be deemed given, on the day of delivery to the said address if by hand, or if by post two (2) days after posting, notwithstanding that the notice actually be undelivered to, or not come to the actual notice of the Guarantor.
- 29. The Guarantor hereby irrevocably submits to the jurisdiction of the Hong Kong SAR Courts, but it shall be open to you to enforce this Deed in the courts of any other competent jurisdictions, even if concurrently. Any legal process (including without limitation writ, summons, petition and pleadings) is agreed to be validly served on the Guarantor in the same way as a notice under clause 28 hereof though the Guarantor agrees to nominate promptly after a request from you, an agent with an address in Hong Kong to accept service of any legal process on behalf of the Guarantor and service of legal process on such agent shall be deemed to constitute good and valid service on the Guarantor. Any judgment, award and/or order of the Hong Kong SAR courts over the Guarantor and/ or its assets shall be deemed to be binding on the Guarantor and valid and fully enforceable in any other jurisdiction as if given by the final appellate court in such other jurisdiction and the Guarantor hereby waives any rights to challenge and/or delay the validity, registration, recognition and / or enforcement of such judgment, award and/or order.
- 30. This Deed may be translated into a language other than English but the English version shall always apply and prevail.

**SCHEDULE 1**

Particulars of Guarantor (see Clause 1)

Type of Guarantor: Individual      Body Corporate

Name of Guarantor (English):..... (Mr. / Ms. / Miss\*)

Name of Guarantor (Chinese): ..... (先生/女士/小姐\*)

(Chinese): ..... (.

ID Card / Passport / Certificate of Incorporation\* No.:.....

Telephone No.: .....Fax No.: .....

Address: .....

.....

.. Guarantor's relationship with the Applicant: .....

Guarantor's personal asset net value (HKD): ..... (as at .....

*\* delete where inappropriate*

**SCHEDULE 2**

Specified sum (if applicable) (see Clause 1)

(Complete in words and figure (in HKD/USD/CNY/other currencies as approved by the Broker). If no amount is stated here, the Guarantor's liability under this Deed shall be unlimited)



IN WITNESS whereof this Deed has been duly signed, sealed and delivered by the Guarantor on (Date).....

**IF THE GUARANTOR IS AN INDIVIDUAL**

Signed and sealed by )  
(Name of Guarantor) )  
)  
) X  
)  
)  
)  
..... )  
.  
in the presence of ) Signed by Guarantor  
(Name and ID No. /Passport No. of Witness) )  
)  
) X  
)  
)  
)  
..... )  
.  
..... ) Signed by Witness



**IF THE GUARANTOR IS A BODY CORPORATE**

**Please select one of the following execution options:**

Sealed with the common seal of )  
the Guarantor and signed by the )  
Authorised Signatory(ies) )  
(Name and Title) )  
)  
) X  
)  
..... )  
..... )  
..... )  
..... )  
..... )  
..... ) Signed by Authorised Signatory(ies)  
)  
in the presence of )  
(Name and ID No. / Passport No. of Witness) )  
)  
) X  
)  
)  
..... )  
..... ) Signed by Witness



**OR**

Signed by two Directors of  
the Guarantor  
*(Name of Director)* )  
) )  
) )  
) X )  
) )  
) )  
..... )  
) Signed by Director  
) )  
*(Name of Director)* )  
) )  
) X )  
) )  
) )  
..... )  
) Signed by Director  
in the presence of )  
*(Name and ID No. /Passport No. of Witness)* )  
) )  
) X )  
) )  
) )  
..... )  
..... ) Signed by Witness

**OR**

Signed by one Director and the  
Company Secretary of the Guarantor  
*(Name of Director)* )  
) )  
) )  
) X )  
) )  
..... )  
) Signed by Director  
) )  
*(Name of Company Secretary)* )  
) )  
) X )  
) )  
) )  
..... )  
) Signed by Company Secretary  
in the presence of )  
*(Name and ID No. / Passport No. of Witness)* )  
) X )  
) )  
) )  
..... )  
..... ) Signed by Witness



Form **W-8BEN-E**

(Rev. October 2021)  
Department of the Treasury  
Internal Revenue Service

**Certificate of Status of Beneficial Owner for  
United States Tax Withholding and Reporting (Entities)**

▶ For use by entities. Individuals must use Form W-8BEN. ▶ Section references are to the Internal Revenue Code.  
▶ Go to [www.irs.gov/FormW8BENE](http://www.irs.gov/FormW8BENE) for instructions and the latest information.  
▶ Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

**Do NOT use this form for:**

- U.S. entity or U.S. citizen or resident . . . . . W-9
- A foreign individual . . . . . W-8BEN (Individual) or Form 8233
- A foreign individual or entity claiming that income is effectively connected with the conduct of trade or business within the United States (unless claiming treaty benefits) . . . . . W-8ECI
- A foreign partnership, a foreign simple trust, or a foreign grantor trust (unless claiming treaty benefits) (see instructions for exceptions) . . . W-8IMY
- A foreign government, international organization, foreign central bank of issue, foreign tax-exempt organization, foreign private foundation, or government of a U.S. possession claiming that income is effectively connected U.S. income or that is claiming the applicability of section(s) 115(2), 501(c), 892, 895, or 1443(b) (unless claiming treaty benefits) (see instructions for other exceptions) . . . . . W-8ECI or W-8EXP
- Any person acting as an intermediary (including a qualified intermediary acting as a qualified derivatives dealer) . . . . . W-8IMY

**Instead use Form:**

**Part I Identification of Beneficial Owner**

<b>1</b> Name of organization that is the beneficial owner	<b>2</b> Country of incorporation or organization
--	---

**3** Name of disregarded entity receiving the payment (if applicable, see instructions)

**4** Chapter 3 Status (entity type) (Must check one box only):

<input type="checkbox"/> Simple trust	<input type="checkbox"/> Tax-exempt organization	<input type="checkbox"/> Corporation	<input type="checkbox"/> Partnership
<input type="checkbox"/> Central Bank of Issue	<input type="checkbox"/> Private foundation	<input type="checkbox"/> Complex trust	<input type="checkbox"/> Foreign Government - Controlled Entity
<input type="checkbox"/> Grantor trust	<input type="checkbox"/> Disregarded entity	<input type="checkbox"/> Estate	<input type="checkbox"/> Foreign Government - Integral Part
		<input type="checkbox"/> International organization	

If you entered disregarded entity, partnership, simple trust, or grantor trust above, is the entity a hybrid making a treaty claim? If "Yes," complete Part III.  Yes  No

**5** Chapter 4 Status (FATCA status) (See instructions for details and complete the certification below for the entity's applicable status.)

<input type="checkbox"/> Nonparticipating FFI (including an FFI related to a Reporting IGA FFI other than a deemed-compliant FFI, participating FFI, or exempt beneficial owner).  <input type="checkbox"/> Participating FFI. <input type="checkbox"/> Reporting Model 1 FFI. <input type="checkbox"/> Reporting Model 2 FFI. <input type="checkbox"/> Registered deemed-compliant FFI (other than a reporting Model 1 FFI, sponsored FFI, or nonreporting IGA FFI covered in Part XII). See instructions.  <input type="checkbox"/> Sponsored FFI. Complete Part IV. <input type="checkbox"/> Certified deemed-compliant nonregistering local bank. Complete Part V. <input type="checkbox"/> Certified deemed-compliant FFI with only low-value accounts. Complete Part VI. <input type="checkbox"/> Certified deemed-compliant sponsored, closely held investment vehicle. Complete Part VII. <input type="checkbox"/> Certified deemed-compliant limited life debt investment entity. Complete Part VIII. <input type="checkbox"/> Certain investment entities that do not maintain financial accounts. Complete Part IX. <input type="checkbox"/> Owner-documented FFI. Complete Part X. <input type="checkbox"/> Restricted distributor. Complete Part XI.	<input type="checkbox"/> Nonreporting IGA FFI. Complete Part XII. <input type="checkbox"/> Foreign government, government of a U.S. possession, or foreign central bank of issue. Complete Part XIII.  <input type="checkbox"/> International organization. Complete Part XIV. <input type="checkbox"/> Exempt retirement plans. Complete Part XV. <input type="checkbox"/> Entity wholly owned by exempt beneficial owners. Complete Part XVI. <input type="checkbox"/> Territory financial institution. Complete Part XVII. <input type="checkbox"/> Excepted nonfinancial group entity. Complete Part XVIII. <input type="checkbox"/> Excepted nonfinancial start-up company. Complete Part XIX. <input type="checkbox"/> Excepted nonfinancial entity in liquidation or bankruptcy. Complete Part XX. <input type="checkbox"/> 501(c) organization. Complete Part XXI. <input type="checkbox"/> Nonprofit organization. Complete Part XXII. <input type="checkbox"/> Publicly traded NFFE or NFFE affiliate of a publicly traded corporation. Complete Part XXIII. <input type="checkbox"/> Excepted territory NFFE. Complete Part XXIV. <input type="checkbox"/> Active NFFE. Complete Part XXV. <input type="checkbox"/> Passive NFFE. Complete Part XXVI. <input type="checkbox"/> Excepted inter-affiliate FFI. Complete Part XXVII. <input type="checkbox"/> Direct reporting NFFE. <input type="checkbox"/> Sponsored direct reporting NFFE. Complete Part XXVIII. <input type="checkbox"/> Account that is not a financial account.
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**6** Permanent residence address (street, apt. or suite no., or rural route). **Do not use a P.O. box or in-care-of address** (other than a registered address).

City or town, state or province. Include postal code where appropriate.	Country
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**7** Mailing address (if different from above)

City or town, state or province. Include postal code where appropriate.	Country
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**Part I Identification of Beneficial Owner** (continued)

8 U.S. taxpayer identification number (TIN), if required

9a GIIN	b Foreign TIN	c Check if FTIN not legally required. <input type="checkbox"/>
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10 Reference number(s) (see instructions)

Note: Please complete remainder of the form including signing the form in Part XXX.

**Part II Disregarded Entity or Branch Receiving Payment.** (Complete only if a disregarded entity with a GIIN or a branch of an FFI in a country other than the FFI's country of residence. See instructions.)

- 11 Chapter 4 Status (FATCA status) of disregarded entity or branch receiving payment
- Branch treated as nonparticipating FFI.       Reporting Model 1 FFI.       U.S. Branch.
- Participating FFI.       Reporting Model 2 FFI.
- 12 Address of disregarded entity or branch (street, apt. or suite no., or rural route). **Do not use a P.O. box or in-care-of address** (other than a registered address).

City or town, state or province. Include postal code where appropriate.

Country

13 GIIN (if any)

**Part III Claim of Tax Treaty Benefits** (if applicable). (For chapter 3 purposes only.)

- 14 I certify that (check all that apply):
- a  The beneficial owner is a resident of \_\_\_\_\_ within the meaning of the income tax treaty between the United States and that country.
- b  The beneficial owner derives the item (or items) of income for which the treaty benefits are claimed, and, if applicable, meets the requirements of the treaty provision dealing with limitation on benefits. The following are types of limitation on benefits provisions that may be included in an applicable tax treaty (check only one; see instructions):
- |  |   |
|--|---|
| <input type="checkbox"/> Government                                  | <input type="checkbox"/> Company that meets the ownership and base erosion test                         |
| <input type="checkbox"/> Tax-exempt pension trust or pension fund    | <input type="checkbox"/> Company that meets the derivative benefits test                                |
| <input type="checkbox"/> Other tax-exempt organization               | <input type="checkbox"/> Company with an item of income that meets active trade or business test        |
| <input type="checkbox"/> Publicly traded corporation                 | <input type="checkbox"/> Favorable discretionary determination by the U.S. competent authority received |
| <input type="checkbox"/> Subsidiary of a publicly traded corporation | <input type="checkbox"/> No LOB article in treaty   |
|  | <input type="checkbox"/> Other (specify Article and paragraph): _____                                   |
- c  The beneficial owner is claiming treaty benefits for U.S. source dividends received from a foreign corporation or interest from a U.S. trade or business of a foreign corporation and meets qualified resident status (see instructions).
- 15 **Special rates and conditions** (if applicable—see instructions):  
 The beneficial owner is claiming the provisions of Article and paragraph \_\_\_\_\_ of the treaty identified on line 14a above to claim a \_\_\_\_\_ % rate of withholding on (specify type of income): \_\_\_\_\_  
 Explain the additional conditions in the Article the beneficial owner meets to be eligible for the rate of withholding: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

**Part IV Sponsored FFI**

- 16 Name of sponsoring entity: \_\_\_\_\_
- 17 **Check whichever box applies.**
- I certify that the entity identified in Part I:
- Is an investment entity;
  - Is not a QI, WP (except to the extent permitted in the withholding foreign partnership agreement), or WT; **and**
  - Has agreed with the entity identified above (that is not a nonparticipating FFI) to act as the sponsoring entity for this entity.
- I certify that the entity identified in Part I:
- Is a controlled foreign corporation as defined in section 957(a);
  - Is not a QI, WP, or WT;
  - Is wholly owned, directly or indirectly, by the U.S. financial institution identified above that agrees to act as the sponsoring entity for this entity; **and**
  - Shares a common electronic account system with the sponsoring entity (identified above) that enables the sponsoring entity to identify all account holders and payees of the entity and to access all account and customer information maintained by the entity including, but not limited to, customer identification information, customer documentation, account balance, and all payments made to account holders or payees.



**Part V Certified Deemed-Compliant Nonregistering Local Bank**18  I certify that the FFI identified in Part I:

- Operates and is licensed solely as a bank or credit union (or similar cooperative credit organization operated without profit) in its country of incorporation or organization;
- Engages primarily in the business of receiving deposits from and making loans to, with respect to a bank, retail customers unrelated to such bank and, with respect to a credit union or similar cooperative credit organization, members, provided that no member has a greater than 5% interest in such credit union or cooperative credit organization;
- Does not solicit account holders outside its country of organization;
- Has no fixed place of business outside such country (for this purpose, a fixed place of business does not include a location that is not advertised to the public and from which the FFI performs solely administrative support functions);
- Has no more than \$175 million in assets on its balance sheet and, if it is a member of an expanded affiliated group, the group has no more than \$500 million in total assets on its consolidated or combined balance sheets; **and**
- Does not have any member of its expanded affiliated group that is a foreign financial institution, other than a foreign financial institution that is incorporated or organized in the same country as the FFI identified in Part I and that meets the requirements set forth in this part.

**Part VI Certified Deemed-Compliant FFI with Only Low-Value Accounts**19  I certify that the FFI identified in Part I:

- Is not engaged primarily in the business of investing, reinvesting, or trading in securities, partnership interests, commodities, notional principal contracts, insurance or annuity contracts, or any interest (including a futures or forward contract or option) in such security, partnership interest, commodity, notional principal contract, insurance contract or annuity contract;
- No financial account maintained by the FFI or any member of its expanded affiliated group, if any, has a balance or value in excess of \$50,000 (as determined after applying applicable account aggregation rules); **and**
- Neither the FFI nor the entire expanded affiliated group, if any, of the FFI, have more than \$50 million in assets on its consolidated or combined balance sheet as of the end of its most recent accounting year.

**Part VII Certified Deemed-Compliant Sponsored, Closely Held Investment Vehicle**

20 Name of sponsoring entity: \_\_\_\_\_

21  I certify that the entity identified in Part I:

- Is an FFI solely because it is an investment entity described in Regulations section 1.1471-5(e)(4);
- Is not a QI, WP, or WT;
- Will have all of its due diligence, withholding, and reporting responsibilities (determined as if the FFI were a participating FFI) fulfilled by the sponsoring entity identified on line 20; **and**
- 20 or fewer individuals own all of the debt and equity interests in the entity (disregarding debt interests owned by U.S. financial institutions, participating FFIs, registered deemed-compliant FFIs, and certified deemed-compliant FFIs and equity interests owned by an entity if that entity owns 100% of the equity interests in the FFI and is itself a sponsored FFI).

**Part VIII Certified Deemed-Compliant Limited Life Debt Investment Entity**22  I certify that the entity identified in Part I:

- Was in existence as of January 17, 2013;
- Issued all classes of its debt or equity interests to investors on or before January 17, 2013, pursuant to a trust indenture or similar agreement; **and**
- Is certified deemed-compliant because it satisfies the requirements to be treated as a limited life debt investment entity (such as the restrictions with respect to its assets and other requirements under Regulations section 1.1471-5(f)(2)(iv)).

**Part IX Certain Investment Entities that Do Not Maintain Financial Accounts**23  I certify that the entity identified in Part I:

- Is a financial institution solely because it is an investment entity described in Regulations section 1.1471-5(e)(4)(i)(A), **and**
- Does not maintain financial accounts.

**Part X Owner-Documented FFI**

**Note:** This status only applies if the U.S. financial institution, participating FFI, or reporting Model 1 FFI to which this form is given has agreed that it will treat the FFI as an owner-documented FFI (see instructions for eligibility requirements). In addition, the FFI must make the certifications below.

24a  (All owner-documented FFIs check here) I certify that the FFI identified in Part I:

- Does not act as an intermediary;
- Does not accept deposits in the ordinary course of a banking or similar business;
- Does not hold, as a substantial portion of its business, financial assets for the account of others;
- Is not an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account;
- Is not owned by or in an expanded affiliated group with an entity that accepts deposits in the ordinary course of a banking or similar business, holds, as a substantial portion of its business, financial assets for the account of others, or is an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account;
- Does not maintain a financial account for any nonparticipating FFI; **and**
- Does not have any specified U.S. persons that own an equity interest or debt interest (other than a debt interest that is not a financial account or that has a balance or value not exceeding \$50,000) in the FFI other than those identified on the FFI owner reporting statement.



**Part X Owner-Documented FFI (continued)****Check box 24b or 24c, whichever applies.**

- b  I certify that the FFI identified in Part I:
- Has provided, or will provide, an FFI owner reporting statement that contains:
    - (i) The name, address, TIN (if any), chapter 4 status, and type of documentation provided (if required) of every individual and specified U.S. person that owns a direct or indirect equity interest in the owner-documented FFI (looking through all entities other than specified U.S. persons);
    - (ii) The name, address, TIN (if any), and chapter 4 status of every individual and specified U.S. person that owns a debt interest in the owner-documented FFI (including any indirect debt interest, which includes debt interests in any entity that directly or indirectly owns the payee or any direct or indirect equity interest in a debt holder of the payee) that constitutes a financial account in excess of \$50,000 (disregarding all such debt interests owned by participating FFIs, registered deemed-compliant FFIs, certified deemed-compliant FFIs, excepted NFFEs, exempt beneficial owners, or U.S. persons other than specified U.S. persons); **and**
    - (iii) Any additional information the withholding agent requests in order to fulfill its obligations with respect to the entity.
  - Has provided, or will provide, valid documentation meeting the requirements of Regulations section 1.1471-3(d)(6)(iii) for each person identified in the FFI owner reporting statement.
- c  I certify that the FFI identified in Part I has provided, or will provide, an auditor's letter, signed within 4 years of the date of payment, from an independent accounting firm or legal representative with a location in the United States stating that the firm or representative has reviewed the FFI's documentation with respect to all of its owners and debt holders identified in Regulations section 1.1471-3(d)(6)(iv)(A)(2), and that the FFI meets all the requirements to be an owner-documented FFI. The FFI identified in Part I has also provided, or will provide, an FFI owner reporting statement of its owners that are specified U.S. persons and Form(s) W-9, with applicable waivers.

**Check box 24d if applicable (optional, see instructions).**

- d  I certify that the entity identified on line 1 is a trust that does not have any contingent beneficiaries or designated classes with unidentified beneficiaries.

**Part XI Restricted Distributor**

- 25a  (All restricted distributors check here) I certify that the entity identified in Part I:
- Operates as a distributor with respect to debt or equity interests of the restricted fund with respect to which this form is furnished;
  - Provides investment services to at least 30 customers unrelated to each other and less than half of its customers are related to each other;
  - Is required to perform AML due diligence procedures under the anti-money laundering laws of its country of organization (which is an FATF-compliant jurisdiction);
  - Operates solely in its country of incorporation or organization, has no fixed place of business outside of that country, and has the same country of incorporation or organization as all members of its affiliated group, if any;
  - Does not solicit customers outside its country of incorporation or organization;
  - Has no more than \$175 million in total assets under management and no more than \$7 million in gross revenue on its income statement for the most recent accounting year;
  - Is not a member of an expanded affiliated group that has more than \$500 million in total assets under management or more than \$20 million in gross revenue for its most recent accounting year on a combined or consolidated income statement; **and**
  - Does not distribute any debt or securities of the restricted fund to specified U.S. persons, passive NFFEs with one or more substantial U.S. owners, or nonparticipating FFIs.

**Check box 25b or 25c, whichever applies.**

I further certify that with respect to all sales of debt or equity interests in the restricted fund with respect to which this form is furnished that are made after December 31, 2011, the entity identified in Part I:

- b  Has been bound by a distribution agreement that contained a general prohibition on the sale of debt or securities to U.S. entities and U.S. resident individuals and is currently bound by a distribution agreement that contains a prohibition of the sale of debt or securities to any specified U.S. person, passive NFFE with one or more substantial U.S. owners, or nonparticipating FFI.
- c  Is currently bound by a distribution agreement that contains a prohibition on the sale of debt or securities to any specified U.S. person, passive NFFE with one or more substantial U.S. owners, or nonparticipating FFI and, for all sales made prior to the time that such a restriction was included in its distribution agreement, has reviewed all accounts related to such sales in accordance with the procedures identified in Regulations section 1.1471-4(c) applicable to preexisting accounts and has redeemed or retired any, or caused the restricted fund to transfer the securities to a distributor that is a participating FFI or reporting Model 1 FFI securities which were sold to specified U.S. persons, passive NFFEs with one or more substantial U.S. owners, or nonparticipating FFIs.



**Part XII Nonreporting IGA FFI**26  I certify that the entity identified in Part I:

- Meets the requirements to be considered a nonreporting financial institution pursuant to an applicable IGA between the United States and \_\_\_\_\_ . The applicable IGA is a  Model 1 IGA or a  Model 2 IGA; and is treated as a \_\_\_\_\_ under the provisions of the applicable IGA or Treasury regulations (if applicable, see instructions);
- If you are a trustee documented trust or a sponsored entity, provide the name of the trustee or sponsor \_\_\_\_\_ .  
The trustee is:  U.S.  Foreign

**Part XIII Foreign Government, Government of a U.S. Possession, or Foreign Central Bank of Issue**27  I certify that the entity identified in Part I is the beneficial owner of the payment, and is not engaged in commercial financial activities of a type engaged in by an insurance company, custodial institution, or depository institution with respect to the payments, accounts, or obligations for which this form is submitted (except as permitted in Regulations section 1.1471-6(h)(2)).**Part XIV International Organization**

Check box 28a or 28b, whichever applies.

28a  I certify that the entity identified in Part I is an international organization described in section 7701(a)(18).b  I certify that the entity identified in Part I:

- Is comprised primarily of foreign governments;
- Is recognized as an intergovernmental or supranational organization under a foreign law similar to the International Organizations Immunities Act or that has in effect a headquarters agreement with a foreign government;
- The benefit of the entity's income does not inure to any private person; **and**
- Is the beneficial owner of the payment and is not engaged in commercial financial activities of a type engaged in by an insurance company, custodial institution, or depository institution with respect to the payments, accounts, or obligations for which this form is submitted (except as permitted in Regulations section 1.1471-6(h)(2)).

**Part XV Exempt Retirement Plans**

Check box 29a, b, c, d, e, or f, whichever applies.

29a  I certify that the entity identified in Part I:

- Is established in a country with which the United States has an income tax treaty in force (see Part III if claiming treaty benefits);
- Is operated principally to administer or provide pension or retirement benefits; **and**
- Is entitled to treaty benefits on income that the fund derives from U.S. sources (or would be entitled to benefits if it derived any such income) as a resident of the other country which satisfies any applicable limitation on benefits requirement.

b  I certify that the entity identified in Part I:

- Is organized for the provision of retirement, disability, or death benefits (or any combination thereof) to beneficiaries that are former employees of one or more employers in consideration for services rendered;
- No single beneficiary has a right to more than 5% of the FFI's assets;
- Is subject to government regulation and provides annual information reporting about its beneficiaries to the relevant tax authorities in the country in which the fund is established or operated; **and**
  - (i) Is generally exempt from tax on investment income under the laws of the country in which it is established or operates due to its status as a retirement or pension plan;
  - (ii) Receives at least 50% of its total contributions from sponsoring employers (disregarding transfers of assets from other plans described in this part, retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, other retirement funds described in an applicable Model 1 or Model 2 IGA, or accounts described in Regulations section 1.1471-5(b)(2)(i)(A));
  - (iii) Either does not permit or penalizes distributions or withdrawals made before the occurrence of specified events related to retirement, disability, or death (except rollover distributions to accounts described in Regulations section 1.1471-5(b)(2)(i)(A) (referring to retirement and pension accounts), to retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, or to other retirement funds described in this part or in an applicable Model 1 or Model 2 IGA); **or**
  - (iv) Limits contributions by employees to the fund by reference to earned income of the employee or may not exceed \$50,000 annually.

c  I certify that the entity identified in Part I:

- Is organized for the provision of retirement, disability, or death benefits (or any combination thereof) to beneficiaries that are former employees of one or more employers in consideration for services rendered;
- Has fewer than 50 participants;
- Is sponsored by one or more employers each of which is not an investment entity or passive NFFE;
- Employee and employer contributions to the fund (disregarding transfers of assets from other plans described in this part, retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, or accounts described in Regulations section 1.1471-5(b)(2)(i)(A)) are limited by reference to earned income and compensation of the employee, respectively;
- Participants that are not residents of the country in which the fund is established or operated are not entitled to more than 20% of the fund's assets; **and**
- Is subject to government regulation and provides annual information reporting about its beneficiaries to the relevant tax authorities in the country in which the fund is established or operates.



**Part XV Exempt Retirement Plans** *(continued)*

- d**  I certify that the entity identified in Part I is formed pursuant to a pension plan that would meet the requirements of section 401(a), other than the requirement that the plan be funded by a trust created or organized in the United States.
- e**  I certify that the entity identified in Part I is established exclusively to earn income for the benefit of one or more retirement funds described in this part or in an applicable Model 1 or Model 2 IGA, or accounts described in Regulations section 1.1471-5(b)(2)(i)(A) (referring to retirement and pension accounts), or retirement and pension accounts described in an applicable Model 1 or Model 2 IGA.
- f**  I certify that the entity identified in Part I:
- Is established and sponsored by a foreign government, international organization, central bank of issue, or government of a U.S. possession (each as defined in Regulations section 1.1471-6) or an exempt beneficial owner described in an applicable Model 1 or Model 2 IGA to provide retirement, disability, or death benefits to beneficiaries or participants that are current or former employees of the sponsor (or persons designated by such employees); **or**
  - Is established and sponsored by a foreign government, international organization, central bank of issue, or government of a U.S. possession (each as defined in Regulations section 1.1471-6) or an exempt beneficial owner described in an applicable Model 1 or Model 2 IGA to provide retirement, disability, or death benefits to beneficiaries or participants that are not current or former employees of such sponsor, but are in consideration of personal services performed for the sponsor.

**Part XVI Entity Wholly Owned by Exempt Beneficial Owners**

- 30**  I certify that the entity identified in Part I:
- Is an FFI solely because it is an investment entity;
  - Each direct holder of an equity interest in the investment entity is an exempt beneficial owner described in Regulations section 1.1471-6 or in an applicable Model 1 or Model 2 IGA;
  - Each direct holder of a debt interest in the investment entity is either a depository institution (with respect to a loan made to such entity) or an exempt beneficial owner described in Regulations section 1.1471-6 or an applicable Model 1 or Model 2 IGA.
  - Has provided an owner reporting statement that contains the name, address, TIN (if any), chapter 4 status, and a description of the type of documentation provided to the withholding agent for every person that owns a debt interest constituting a financial account or direct equity interest in the entity; **and**
  - Has provided documentation establishing that every owner of the entity is an entity described in Regulations section 1.1471-6(b), (c), (d), (e), (f) and/or (g) without regard to whether such owners are beneficial owners.

**Part XVII Territory Financial Institution**

- 31**  I certify that the entity identified in Part I is a financial institution (other than an investment entity) that is incorporated or organized under the laws of a possession of the United States.

**Part XVIII Excepted Nonfinancial Group Entity**

- 32**  I certify that the entity identified in Part I:
- Is a holding company, treasury center, or captive finance company and substantially all of the entity's activities are functions described in Regulations section 1.1471-5(e)(5)(i)(C) through (E);
  - Is a member of a nonfinancial group described in Regulations section 1.1471-5(e)(5)(i)(B);
  - Is not a depository or custodial institution (other than for members of the entity's expanded affiliated group); **and**
  - Does not function (or hold itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle with an investment strategy to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes.

**Part XIX Excepted Nonfinancial Start-Up Company**

- 33**  I certify that the entity identified in Part I:
- Was formed on (or, in the case of a new line of business, the date of board resolution approving the new line of business) \_\_\_\_\_ (date must be less than 24 months prior to date of payment);
  - Is not yet operating a business and has no prior operating history or is investing capital in assets with the intent to operate a new line of business other than that of a financial institution or passive NFFE;
  - Is investing capital into assets with the intent to operate a business other than that of a financial institution; **and**
  - Does not function (or hold itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes.

**Part XX Excepted Nonfinancial Entity in Liquidation or Bankruptcy**

- 34**  I certify that the entity identified in Part I:
- Filed a plan of liquidation, filed a plan of reorganization, or filed for bankruptcy on \_\_\_\_\_;
  - During the past 5 years has not been engaged in business as a financial institution or acted as a passive NFFE;
  - Is either liquidating or emerging from a reorganization or bankruptcy with the intent to continue or recommence operations as a nonfinancial entity; **and**
  - Has, or will provide, documentary evidence such as a bankruptcy filing or other public documentation that supports its claim if it remains in bankruptcy or liquidation for more than 3 years.



**Part XXI 501(c) Organization**

35  I certify that the entity identified in Part I is a 501(c) organization that:

- Has been issued a determination letter from the IRS that is currently in effect concluding that the payee is a section 501(c) organization that is dated \_\_\_\_\_; **or**
- Has provided a copy of an opinion from U.S. counsel certifying that the payee is a section 501(c) organization (without regard to whether the payee is a foreign private foundation).

**Part XXII Nonprofit Organization**

36  I certify that the entity identified in Part I is a nonprofit organization that meets the following requirements.

- The entity is established and maintained in its country of residence exclusively for religious, charitable, scientific, artistic, cultural or educational purposes;
- The entity is exempt from income tax in its country of residence;
- The entity has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
- Neither the applicable laws of the entity's country of residence nor the entity's formation documents permit any income or assets of the entity to be distributed to, or applied for the benefit of, a private person or noncharitable entity other than pursuant to the conduct of the entity's charitable activities or as payment of reasonable compensation for services rendered or payment representing the fair market value of property which the entity has purchased; **and**
- The applicable laws of the entity's country of residence or the entity's formation documents require that, upon the entity's liquidation or dissolution, all of its assets be distributed to an entity that is a foreign government, an integral part of a foreign government, a controlled entity of a foreign government, or another organization that is described in this part or escheats to the government of the entity's country of residence or any political subdivision thereof.

**Part XXIII Publicly Traded NFFE or NFFE Affiliate of a Publicly Traded Corporation**

Check box 37a or 37b, whichever applies.

37a  I certify that:

- The entity identified in Part I is a foreign corporation that is not a financial institution; **and**
- The stock of such corporation is regularly traded on one or more established securities markets, including \_\_\_\_\_ (name one securities exchange upon which the stock is regularly traded).

b  I certify that:

- The entity identified in Part I is a foreign corporation that is not a financial institution;
- The entity identified in Part I is a member of the same expanded affiliated group as an entity the stock of which is regularly traded on an established securities market;
- The name of the entity, the stock of which is regularly traded on an established securities market, is \_\_\_\_\_; **and**
- The name of the securities market on which the stock is regularly traded is \_\_\_\_\_.

**Part XXIV Excepted Territory NFFE**

38  I certify that:

- The entity identified in Part I is an entity that is organized in a possession of the United States;
- The entity identified in Part I:
  - (i) Does not accept deposits in the ordinary course of a banking or similar business;
  - (ii) Does not hold, as a substantial portion of its business, financial assets for the account of others; **or**
  - (iii) Is not an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account; **and**
- All of the owners of the entity identified in Part I are bona fide residents of the possession in which the NFFE is organized or incorporated.

**Part XXV Active NFFE**

39  I certify that:

- The entity identified in Part I is a foreign entity that is not a financial institution;
- Less than 50% of such entity's gross income for the preceding calendar year is passive income; **and**
- Less than 50% of the assets held by such entity are assets that produce or are held for the production of passive income (calculated as a weighted average of the percentage of passive assets measured quarterly) (see instructions for the definition of passive income).

**Part XXVI Passive NFFE**

40a  I certify that the entity identified in Part I is a foreign entity that is not a financial institution (other than an investment entity organized in a possession of the United States) and is not certifying its status as a publicly traded NFFE (or affiliate), excepted territory NFFE, active NFFE, direct reporting NFFE, or sponsored direct reporting NFFE.

Check box 40b or 40c, whichever applies.

- b  I further certify that the entity identified in Part I has no substantial U.S. owners (or, if applicable, no controlling U.S. persons); **or**
- c  I further certify that the entity identified in Part I has provided the name, address, and TIN of each substantial U.S. owner (or, if applicable, controlling U.S. person) of the NFFE in Part XXIX.

**Part XXVII Excepted Inter-Affiliate FFI**

- 41  I certify that the entity identified in Part I:
- Is a member of an expanded affiliated group;
  - Does not maintain financial accounts (other than accounts maintained for members of its expanded affiliated group);
  - Does not make withholdable payments to any person other than to members of its expanded affiliated group;
  - Does not hold an account (other than depository accounts in the country in which the entity is operating to pay for expenses) with or receive payments from any withholding agent other than a member of its expanded affiliated group; **and**
  - Has not agreed to report under Regulations section 1.1471-4(d)(2)(ii)(C) or otherwise act as an agent for chapter 4 purposes on behalf of any financial institution, including a member of its expanded affiliated group.

**Part XXVIII Sponsored Direct Reporting NFFE (see instructions for when this is permitted)**

42 Name of sponsoring entity: \_\_\_\_\_

43  I certify that the entity identified in Part I is a direct reporting NFFE that is sponsored by the entity identified on line 42.

**Part XXIX Substantial U.S. Owners of Passive NFFE**

As required by Part XXVI, provide the name, address, and TIN of each substantial U.S. owner of the NFFE. Please see the instructions for a definition of substantial U.S. owner. If providing the form to an FFI treated as a reporting Model 1 FFI or reporting Model 2 FFI, an NFFE may also use this part for reporting its controlling U.S. persons under an applicable IGA.

Name	Address	TIN

**Part XXX Certification**

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- The entity identified on line 1 of this form is the beneficial owner of all the income or proceeds to which this form relates, is using this form to certify its status for chapter 4 purposes, or is submitting this form for purposes of section 6050W or 6050Y;
- The entity identified on line 1 of this form is not a U.S. person;
- This form relates to: (a) income not effectively connected with the conduct of a trade or business in the United States, (b) income effectively connected with the conduct of a trade or business in the United States but is not subject to tax under an income tax treaty, (c) the partner's share of a partnership's effectively connected taxable income, or (d) the partner's amount realized from the transfer of a partnership interest subject to withholding under section 1446(f); **and**
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which the entity on line 1 is the beneficial owner or any withholding agent that can disburse or make payments of the income of which the entity on line 1 is the beneficial owner.

I agree that I will submit a new form within 30 days if any certification on this form becomes incorrect.

I certify that I have the capacity to sign for the entity identified on line 1 of this form.

Sign Here

\_\_\_\_\_  
Signature of individual authorized to sign for beneficial owner

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Date (MM-DD-YYYY)



Form **W-8BEN**

(Rev. October 2021)

Department of the Treasury  
Internal Revenue Service

**Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)**

- ▶ For use by individuals. Entities must use Form W-8BEN-E.
- ▶ Go to [www.irs.gov/FormW8BEN](http://www.irs.gov/FormW8BEN) for instructions and the latest information.
- ▶ Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

**Do NOT use this form if:**

- You are NOT an individual . . . . . W-8BEN-E
- You are a U.S. citizen or other U.S. person, including a resident alien individual . . . . . W-9
- You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the United States (other than personal services) . . . . . W-8ECI
- You are a beneficial owner who is receiving compensation for personal services performed in the United States . . . . . 8233 or W-4
- You are a person acting as an intermediary . . . . . W-8IMY

**Instead, use Form:**

**Note:** If you are resident in a FATCA partner jurisdiction (that is, a Model 1 IGA jurisdiction with reciprocity), certain tax account information may be provided to your jurisdiction of residence.

**Part I Identification of Beneficial Owner** (see instructions)

1 Name of individual who is the beneficial owner		2 Country of citizenship	
3 Permanent residence address (street, apt. or suite no., or rural route). <b>Do not use a P.O. box or in-care-of address.</b>			
City or town, state or province. Include postal code where appropriate.		Country	
4 Mailing address (if different from above)			
City or town, state or province. Include postal code where appropriate.		Country	
5 U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)			
6a Foreign tax identifying number (see instructions)		6b Check if FTIN not legally required <input type="checkbox"/>	
7 Reference number(s) (see instructions)		8 Date of birth (MM-DD-YYYY) (see instructions)	

**Part II Claim of Tax Treaty Benefits** (for chapter 3 purposes only) (see instructions)

9 I certify that the beneficial owner is a resident of \_\_\_\_\_ within the meaning of the income tax treaty between the United States and that country.

10 **Special rates and conditions** (if applicable—see instructions): The beneficial owner is claiming the provisions of Article and paragraph \_\_\_\_\_ of the treaty identified on line 9 above to claim a \_\_\_\_\_ % rate of withholding on (specify type of income): \_\_\_\_\_

Explain the additional conditions in the Article and paragraph the beneficial owner meets to be eligible for the rate of withholding: \_\_\_\_\_

**Part III Certification**

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income or proceeds to which this form relates or am using this form to document myself for chapter 4 purposes;
- The person named on line 1 of this form is not a U.S. person;
- This form relates to:
  - (a) income not effectively connected with the conduct of a trade or business in the United States;
  - (b) income effectively connected with the conduct of a trade or business in the United States but is not subject to tax under an applicable income tax treaty;
  - (c) the partner's share of a partnership's effectively connected taxable income; or
  - (d) the partner's amount realized from the transfer of a partnership interest subject to withholding under section 1446(f);
- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country; and
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.

**Sign Here**  I certify that I have the capacity to sign for the person identified on line 1 of this form.

\_\_\_\_\_  
Signature of beneficial owner (or individual authorized to sign for beneficial owner)

\_\_\_\_\_  
Date (MM-DD-YYYY)

Print name of signer

# 亨達証券有限公司

## 有關北向中華通買賣盤指示之個人資料收集聲明

處理個人資料作為中華通證券交易之一部分

閣下確認並同意，我司於提供中華通證券交易服務時，如與北向買賣盤有關，我司必須：

- (i) 於閣下每一個向中華證券通系統(“中證通”或“CSC”)提交的買賣盤中附加一個唯一的券商客戶編碼(“券商客戶編碼”或“BCAN”)，或閣下聯名帳戶被編派的一個券商客戶編碼(在適當情況下)；及
- (ii) 向交易所提供編派給閣下的券商客戶編碼及交易所根據交易所規則不時要求的與閣下有關於的識別信息(“客戶識別信息”或“CID”)。

在不限制我司向閣下提供的任何通知或我司從閣下處獲得的關於處理與閣下帳戶及我司服務相關的個人資料的同意的的前提下，閣下確認並同意我司可根據我司提供中華通證券交易服務的需要而收集、存儲、使用、披露及轉移與閣下有關於的個人資料，包括以下內容：

- (a) 向交易所及相關聯交所子公司不時披露或轉移閣下的券商客戶編碼及客戶識別信息，包括向中證通系統輸入中華通買賣盤指示時指明閣下的券商客戶編碼，並將其進一步即時發送至相關中華通市場營運者；
- (b) 允許交易所及相關的聯交所子公司：(i) 收集、使用及儲存(由任何一方或透過香港交易所儲存)閣下之券商識別編碼、客戶識別信息以及任何由相關中華通結算所提供的綜合的、核實的及對應的券商識別編碼及客戶識別資訊信息，以用作市場監控和監察目的及執行交易所規則；(ii) 為以下(c)及(d)項所述之目的，向相關中華通市場營運者(直接或透過相關中華通結算所)不時轉移該等資料；及(iii) 向香港的相關監管機構及執法機關披露該等資料以助他們履行有關香港金融市場的法定職能；
- (c) 允許相關中華通結算所：(i) 收集、使用和儲存閣下的券商客戶編碼及客戶識別信息，以便綜合及核實券商識別編碼與客戶識別信息，並將此類信息與其本身的投資者身份資料庫進行配對，以提供給相關中華通市場營運者、交易所及相關的香港聯交所子公司；(ii) 使用閣下的券商識別編碼與客戶識別信息來協助其履行證券帳戶管理的監管職能；及(iii) 向中國內地有管轄權監管機構及執法機關披露該等信息，以助他們履行對中國內地金融市場的監管、監察及執法職能；及
- (d) 允許相關中華通市場營運者：(i) 收集、使用及儲存閣下的券商客戶編碼及客戶識別信息，以助其就在相關中華通市場營運者處通過中華通服務而進行的證券交易進行監管與監察及執行相關中華通市場營運者規則；及(ii) 向中國內地監管機構及執法機關披露該等資料，以助他們履行有關中國內地金融市場的監管、監察及執法職能。

通過任何有關中華通證券的交易向我司發出指示，閣下確認並同意我司可以使用閣下的個人資料，以符合交易所不時生效的與中華通證券交易相關的要求及規則。閣下亦確認儘管閣下可以隨時撤回閣下的同意，閣下的個人資料可能繼續被儲存、使用、披露、轉移及以其他方式為前述目的而被處理，無論是在撤回該等同意之前還是之後。



### 未能提供個人資料或同意的後果

未能向我司提供閣下的個人資料或上述之同意有可能導致我司將不會或無法（視情況而定）執行閣下的交易指示或向閣下提供中華通證券交易服務。

### 重要提示

- 1.除文意另有所指之外，本文中定義的詞彙應與客戶協議或交易所規則中規定的含義相同。
- 2.本文可被翻譯成任何其他語言，但在任何情況下以英文本為準。
- 3.如閣下對有關個人資料有任何疑問，請發送至亨達證券有限公司資料保護主任，地址為香港中環雲咸街 1-3 號，南華大廈 12 樓。

### 確認及同意

本人/吾等確認本人/吾等已閱讀並明白亨達證券有限公司個人資料收集聲明的內容。本人 /吾等表示本人/吾等同意亨達證券有限公司根據個人資料收集聲明中的條款和目的使用本人/吾等的個人資料。

本人/吾等同意亨達證券有限公司將本人/吾等個人資料用於個人資料收集聲明所載有的目的。

\_\_\_\_\_  
客戶授權代表/簽名

客戶姓名/ 名稱: \_\_\_\_\_

身份證號碼 /護照號碼: \_\_\_\_\_

客戶號碼: \_\_\_\_\_

日期: \_\_\_\_\_

### 僅供內部使用

輸入:

核査:

# Hantec Securities Company Limited

亨達証券有限公司

(the “Broker”)(「經紀人」)

## PROFESSIONAL INVESTOR APPLICATION FORM

專業投資者申請表

(for Corporate Professional investor)

(適用於法團專業投資者)

Name of applicant/client: 申請人/客戶姓名:	
Account number (if applicable): 帳戶號碼(如適用)	(“Account” “帳戶”)

*To be completed by applicant/client 由申請人/客戶填寫*

### Section A: For Corporate Professional Investor 章節甲: 法團專業投資者

You may be eligible to be classified as an “Corporate professional investor” (“Corporate PI”) provided that you have met the Prescribed Portfolio Requirement under Section 3(a), (c) or (d) of the Securities and Futures (Professional Investor) Rules (Cap. 571D of the Laws of Hong Kong) as set forth below: 如閣下符合香港法例第 571D 章《證券及期貨（專業投資者）規則》第 3(a), (c) 或(d)段對閣下的投資組合的規定(見下述表格)，則閣下將可能被歸類為“法團專業投資者”。

### Asset Adequacy Assessment Test 資產充足評估測試

Type of Corporate PI 法團專業投資者組別	Criteria 準則	Supporting Document(s) 所需證明文件
<input type="checkbox"/> Corporation/Partnership 公司/合夥	<input type="checkbox"/> Has a portfolio* of not less than HKD8 million or its equivalent in any foreign currency; or 擁有不少於港幣 800 萬或等值外幣的投資組合*; 或  <input type="checkbox"/> Has a total assets of not less than HKD40 million or its equivalent in any foreign currency at the relevant date 擁有不少於港幣 4000 萬或等值外幣的總資產	<input type="checkbox"/> Most recent audited financial statement prepared in respect of the corporation or partnership; and within the past 16 months; or 過去 16 個月內擬備的最近期的經審計的財務報表; 或  <input type="checkbox"/> One or more custodian statements issued to the corporation or partnership within the past 12 months 過去 12 個月內發出的一份或多份保管人結單
<input type="checkbox"/> Trust Corporation – An trust corporation having been entrusted under the trust or trusts or which it acts as a trustee 信託法團 - 擔任一項或多於一項信託的 信託人	<input type="checkbox"/> Has a total assets of not less than HKD40 million or in its equivalent in any foreign currency 擁有不少於港幣 4000 萬或等值外幣的總資產	<input type="checkbox"/> Most recent audited financial statements prepared in respect of the trust corporation and issued within the past 16 months; or 過去 16 個月內擬備的最近期的經審計的財務報表(信託法團); 或  <input type="checkbox"/> One or more audited financial statements, each being the most recent audited financial statement prepared in respect of the trust or any of the trusts; and prepared within the past 16 months; or 過去 16 個月內擬備的最近期的經審計的財務報表(該項信託或該等信託中任何一項信託);或  <input type="checkbox"/> One or more custodian statements issued to the trust corporation in respect of the trust or any of the trusts; and issued within the past 12 months 過去 12 個月內發給信託法團有關其信託的一份或多份保管人結單



<input type="checkbox"/> Other Corporation - Any corporation the sole business of which is to hold investments and which at the relevant date is wholly owned by one or more of the following persons (please also select one of the options on the right column): 其他法團 - 該公司唯一業務是持有投資項目並由以下任何一名或多於一名人士全資擁有(請再選擇右列其中一個選項) -	<input type="checkbox"/> Trust Corporation having been entrusted under the trust corporation having been entrusted under the trust or trusts of which it acts as a trustee with total assets of not less than HKD 40 million or its equivalent in any foreign currency 信託法團:擔任一項或多於一項信託的信託人,而在該項信託下獲託付不少於港幣 4000 萬或等值外幣的總資產  <input type="checkbox"/> Individual, either alone or with any of his or her associates on a joint account, having a portfolio* of not less than HKD 8 million or its equivalent in any foreign currency 個人(單獨或聯同其有聯繫者的聯名帳戶) 並擁有所謂不少於港幣 800 萬或等值外幣的投資組合*  <input type="checkbox"/> Corporation or partnership having a portfolio* of not less than HKD 8 million or its equivalent in any foreign currency; or total assets of not less than HKD 40 million or its equivalent in any foreign currency 法團或合夥並擁有所謂不少於港幣 800 萬或等值外幣的投資組合*; 或擁有所謂不少於港幣 4000 萬或等值外幣的總資產	<input type="checkbox"/> Document to prove that the client/applicant is wholly owned by one of those individual or Corporation/Partnership or Trust Corporation; and one of the following portfolio/asset proof documents of the shareholder 顯示客戶/申請人由一位或多於一位個人、法團/合夥或信託法團全資擁有的文件; 及下列其中一份額外股東投資組合或資產證明文件  <input type="checkbox"/> Most recent audit financial statement in respect of the trust company / trust / corporation / partnership within prepared within the past 16 months; or 過去 16 個月內擬備的最近期的經審計的財務報表(信託法團 / 信託 / 法團 / 合夥股東); 或  <input type="checkbox"/> One or more custodian statements issued to the trust corporation / trust / corporation / partnership / individual (either alone or with the associate) issued within the past 12 months; or 過去 12 個月內發予信託法團 / 信託 / 法團 / 合夥 / 個人股東(單獨或聯同有關有聯繫者的聯名帳戶) 的一份或多份保管人結單; 或  <input type="checkbox"/> Certificate issued by an auditor or a certificate public accountant of the individual within the past 12 months 核數師或會計師過去 12 個月內發予個人的證明書
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**\*Remarks 備註:**

“Portfolio”, as defined under Section 2 of the Securities and Futures (Professional Investor) Rules (Cap. 571D of the Laws of Hong Kong), means a portfolio comprising any of the following: (a) securities; (b) a certificate of deposit issued by an authorized financial institution or a bank; or (c) money held by a custodian for you.

“投資組合”, 根據香港法例第 571D 章《證券及期貨(專業投資者)規則》第 2 段所定義, 指由任何下述項目組成的投資組合: (a) 證券; (b) 由認可財務機構或銀行發行的存款證; 或(c)由保管人替閣下持有的款項。

**Section B: Consequences of Being Classified as a Professional Investor and the Right to Withdraw from Being Classified as a Professional Investor**

**章節乙: 被歸類為專業投資者的後果及撤回被歸類為專業投資者的權利**

1. You are alerted to pay particular attention to the below consequences of being classified as a Professional Investor. Under the Securities and Futures Ordinance (Cap. 571 of the laws of Hong Kong) (the “SFO”), if a client was categorized as a Professional Investor by reason of the client being a category of person falling under paragraph (j) of the definition of “Professional Investor” in Part 1 of Schedule 1 to the SFO, the Broker would not in relation to the client be required to fulfill certain regulatory requirements under the SFO. 請閣下警惕並特別注意以下被歸類為專業投資者的後果。根據《證券及期貨條例》(香港法例第 571 章) (「條例」), 如果一名客戶由於屬於條例附表 1 第 1 部「專業投資者」的定義第(j)段所指的人士而被歸類為一位專業投資者, 經紀人無需根據條例向該名客戶履行特定的監管要求。
2. You are informed that despite being classified as a Professional Investor, the Broker’s Terms and Conditions for the Account which you received at the time you opened the Account (and as amended from time to time) shall continue to be in full force and effect. If you continue to use the Broker’s dealing services for a Professional Investor, you shall be deemed to have accepted the above consequences and the terms and conditions of the Broker relating to the Account.



閣下知悉儘管被歸類為專業投資者，閣下於開戶時收到的經紀人的「帳戶條款及細則」(經不時之修訂)持續生效並具有完全的效力及作用。如果閣下繼續使用經紀人為專業投資者提供的交易服務，閣下將被視為已經接受上述後果及經紀人的與帳戶有關的條款及細則。

3. You are informed hereby that you have the right to withdraw from being classified as a Professional Investor at any time in respect hereof on giving written notice to the Broker. However, your withdrawal from being classified as a Professional Investor will only be effective upon the Broker's actual receipt of your written notice and at such time you shall cease to be a Professional Investor and the Broker's terms and conditions in relation to the Account shall continue to be in full force and effect.
- 閣下據此知悉閣下可給予經紀人書面通知撤回就本文所述事項而言被歸類為專業投資者的權利。然而，閣下撤回被歸類為專業投資者僅在經紀人實際收到閣下的書面通知後方可生效，並且此時因閣下不再被歸為專業投資者，經紀人與帳戶有關的條款及細則會持續生效並具有完全的效力及作用。

### Section C: Applicant/Client Declaration

#### 章節丙：申請人/客戶聲明

1. I/We confirm that I/we wish to be classified as Professional Investor.  
本人/吾等確認本人/吾等有意被歸類為專業投資者。
2. I/We declare that the information and supporting documents I/we provided are true, complete, accurate and up-to-date.  
本人/吾等聲明本人/吾等提供的資料及證明文件是真實、完整、準確及最新的。
3. I/We declare that the consequences of consenting to be classified as a Professional Investor and the right to withdraw from being classified as such have been explained to me/us and I/we are fully aware of the same.  
本人/吾等聲明經紀人已經向本人/吾等詳細解釋並且本人/吾等完全明白同意被歸類為專業投資者的後果及撤回被歸類為專業投資者的權利。
4. I/We should inform the Broker in writing immediately if I/we no longer fall into the categories of persons pursuant to paragraph (j) of the definition of "professional investor" in section 1 of Part 1 of Schedule 1 to the Securities and Futures Ordinance (Cap. 571) and/or Section 3 of the Professional Investor Rules.  
若本人/吾等不再符合《證券及期貨條例》附表1第1部「專業投資者」的定義第(j)段所描述的「專業投資者」及/或專業投資者規則第3條，本人/吾等應立即以書面方式通知經紀人。
5. In the event of any discrepancy between the English and Chinese version of this Professional Investor Application Form ("Form"), I/we agree that the English version shall prevail.  
本人/吾等同意，倘若本專業投資者申請表("申請表")的中文文本與英文文本有任何歧異，應以英文本為準。

Please tick (✓) where applicable. 請於適用方格加上剔號「✓」。

- Consent to be CLASSIFIED as "Corporate Professional Investor"  
同意被歸類為「法團專業投資者」

I/We, confirm the assessment result in Part A provided by me/us is true, complete and accurate, and consent that the Broker to classify me/us as a "Corporate Professional Investor" pursuant to paragraph (j) of the definition of "professional investor" in section 1 of Part 1 of Schedule 1 to the SFO and Section 3 of the Professional Investor Rules.

本人/吾等謹此確認本人/吾等於甲部提供之評估結果是真實，完整和準確，並同意經紀人根據《證券及期貨條例》附表1第1部「專業投資者」的定義第(j)段所描述的「專業投資者」及專業投資者規則第3條將本人/吾等歸類為「法團專業投資者」。

Authorised Signatory(ies) and/or company chop  
授權簽署及/或公司印章

Name 名稱：

Date 日期：



**For Internal Use Only (to be completed by the Broker)**

僅供內部使用(由經紀人填寫)

**Declaration by a Licensed Person**

持牌人士聲明

I, \_\_\_\_\_ (BLOCK LETTERS) (CE No.: \_\_\_\_\_ (BLOCK LETTERS)), hereby declare that I have assessed the above applicant/client based on the information/proof/relevant supporting documents provided by him/her/them in this Form or together with this Form. I am satisfied that the applicant/client has fulfilled the regulatory requirements for being classified as Professional Investor.

本人, \_\_\_\_\_ (用正楷填寫)(中央編號: \_\_\_\_\_ (請用正楷填寫)), 僅此聲明基於申請人/客戶在本申請表中或聯同本申請表一起提供之資料/證明/相關證明文件, 本人已經評估上述申請人/客戶認為申請人/客戶已經合乎了被歸類為專業投資者的法規要求。

Signature of licensed person  
持牌人士簽署

Name 姓名 :

Date 日期 :

<b>Checked by</b> 審核	<b>Approved by Responsible Officer</b> 負責人員批准	<b>Processed by Document Control</b> 文件部處理
Signature 簽署	Signature 簽署	Signature 簽署
Name 姓名 :	Name 姓名 :	Name 姓名 :
Date 日期 :	Date 日期 :	Date 日期 :