亨達証券有限公司 亨達期貨有限公司
HANTEC SECURITIES COMPANY LIMITED 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
TEL : (852) 2526 1085 FAX : (852) 2868 4887 EMAIL : internet@hantec.hk Whatsapp : 52821708

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 與我們聯絡，謝謝！

客戶明白並同意 簽署

X
____

客戶姓名：

簽署日期： 年 月 日

亨達証券有限公司 亨達期貨有限公司
HANTEC SECURITIES COMPANY LIMITED 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
TEL : (852) 2526 1085 FAX : (852) 2868 4887 EMAIL : internet@hantec.hk Whatsapp : 52821708

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 .

Signature by the client, acknowledge and agree

X
____

Client Name:
Date of signature:

ACCOUNT OPENING APPLICATION FORM

開戶申請表

☐ INDIVIDUAL ACCOUNT / 個人帳戶

☐ JOINT ACCOUNT / 聯名帳戶

Hantec Securities Co., Limited

Hantec Futures Limited

亨達証券有限公司

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

Client's Name 客戶名稱：______________________________

Securities Account Number 證券帳號：______________________

Futures Account Number 期貨帳號：______________________

Stock Options Account Number 股票期權帳號 ：________________

In the event that there is any inconsistency between the English version and the Chinese version in this Account Opening Application Form, the English version shall prevail.
開戶申請表之中文版本及英文版本如有任何歧義，概以英文版本為準。

亨達 証券有限公司 期貨有限公司
HANTEC SECURITIES & FUTURES

ACCOUNT OPENING CHECKLIST 開戶核對表

I. DOCUMENTS TO BE COMPLETED 需要填妥的文件

- ☐ Duly completed and signed Account Opening Application Form 已填妥及簽署的開戶申請表
- ☐ Authorization for Third Party to Operate Account(s) with Certified True Copy of ID/ Passport copy of the Authorized Person(s) (If applicable)
  授權第三者操作戶口授權書（附被授權人之身份證/護照的核證副本）（如適用）
- ☐ Duly completed and signed Customer Investment Risk Questionnaire by each account holder (applicable to clients who will trade OTC products or funds)
  由每位帳戶持有人填妥及簽署的客戶投資風險問卷（適用於交易 OTC 產品或買賣基金的客戶）

II. BASIC SUPPORTING DOCUMENTS FOR VERIFICATION 供核實的基本證明文件

- ☐ Proof of Residential Address[1] (see Note 1) 住址證明(見註 1)
- ☐ Proof of Correspondence Address (see Note 1) (if different from Residential Address)
  通訊地址證明(見註 1)（如與住址證明不同）
- ☐ Employer Consent Letter (applicable to Client who is licensed or registered persons with the SFC at another financial institution)
  僱主同意書（適用於其他金融機構作證監會之持牌或註冊人士的客戶）
- ☐ Bank Statement Copy (if applicable) 銀行月結單副本（如適用）
- ☐ Form W-8BEN (Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)) (with Chinese translation)
  (W-8BEN 外國人扣繳憑證表單)(個人) (附中文譯文)
- ☐ CRS Self-Certification Form 共同匯報標準自我證明表格
- ☐ A cheque issued by a Hong Kong licensed bank with a sum not less than HK$10,000, made payable to "Hantec Securities Co., Limited" or "Hantec Futures Limited".
  - Bearing your name identical to your identity documents.
  - Bearing your signature identical to the signature shown on the Account Opening Form.

  在香港持牌銀行開立的帳戶所簽發的支票，該支票需符合數額不得少於 HK$10,000，支票抬頭必須為「亨達証券有限公司」或「亨達期貨有限公司」。
  - 須載有客戶在身份證明文件上所顯示之姓名
  - 客戶支票的簽名須與開戶表格上之客戶簽署相符

III. SPECIFIC SUPPORTING DOCUMENTS REQUIRED FOR CLIENTS WITH DIFFERENT RESIDENTIAL STATUS 有不同居留身份的客戶需要提供的證明文件

For Hong Kong Permanent Resident (if applicable) 香港永久居民適用

- ☐ Hong Kong Identity Card of Client 客戶香港身份證明

For Non-Hong Kong Permanent Resident (if applicable) 非香港永久居民適用

- ☐ Valid Passport or Travel Document of Client 客戶有效護照或旅行證件
- ☐ National (e.g. government or state-issued) Identity Card bearing the Client's photograph
  附有客戶照片的國家（如政府或州簽發的）身份證件

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[1] Note 1: Utility bill, correspondence from a government department or agency, statement issued by a bank in Hong Kong or overseas that have been issued within 3 months
註 1: 近三個月內發出的水電費帳單、政府部門或機構發出的通訊或香港或海外持牌銀行發出的銀行結單

IV. IMPORTANT NOTES 注意事項

Non Face-to-Face Approach 非面對面方式：

If this Account Opening Application Form is not executed by the Client in the presence of a SFC licensed employee of Hantec Securities Co., Limited or Hantec Futures Limited ("HANTEC")
若客戶並非在亨達証券有限公司或亨達期貨有限公司 ("亨達") 已獲香港證監會發牌的僱員面前簽署本開戶申請表

Method 1 (方式 1):
The Client may submit the following items to HANTEC:
則客戶可提供下列文件予亨達:

(a) the duly completed and signed Account Opening Application Form witnessed by a specified person[2] (see Note 2); and
已填妥及由指定人士（見註2）見證簽署的《開戶申請表》；及

(b) all the documents as required under the Account Opening Checklist certified by a specified person (see Note 2).
開戶核對表中所要求由指定人士（見註2）核證的所有文件

Method 2 (方式 2):
Alternatively, the Client may submit the following items to HANTEC:
或者，客戶可提交以下文件予亨達：

(a) the duly completed and signed Account Opening Application Form;
已填妥及簽署的《開戶申請表》；

(b) copy of all the documents as required under the Account Opening Checklist; and
開戶核對表中所要求的所有文件；及

(c) an appropriate cheque (see Note 3) [3]
適當的支票（見註3）

2 Note 2: Any Practising Lawyer, Practising Certified Public Accountant or Notary Public
註 2:任何執業律師、執業會計師或法律公證人

3 Note 3: A crossed cheque in the sum of not less than HK$10,000 (or such amount as may be advised by HANTEC) bearing the Client's name shown in the identity document and drawn on the Client's bank account with a licensed bank in Hong Kong with the Client's authorized signature(s) as shown on this Account Opening Application Form in favour of "Hantec Securities Co., Limited or Hantec Futures Limited".
註 3: 由客戶在香港的持牌銀行開立的帳戶所簽發的劃線支票，而該支票抬頭人須為「亨達証券有限公司或亨達期貨有限公司」及其數額不得少於 10,000 港元(或亨達通知客戶的指定金額)，並須載客戶在身份證明文件上所顯示的姓名。

此乃空白頁

Hantec Securities Co., Limited 亨達証券有限公司
Hantec Futures Limited 亨達期貨有限公司
12F, 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樓全層

Hantec Securities Co., Limited is a licensed corporation under the Securities and Futures Ordinance (Cap. 571) (**"SFO"**) licensed to conduct Type 1 (dealing in securities) regulated activities and registered as such with the Securities and Futures Commission of Hong Kong (**"SFC"**) (CE number AFL 779)

亨達証券有限公司乃根據《證券及期貨條例》(第571章)(「**證券條例**」)獲發牌進行第1類(證券交易)受規管活動之持牌法團，並就此於香港證券及期貨事務監察委員會(「**證監會**」)註冊(中央編號為AFL 779)。

Hantec Futures Limited is also a licensed corporation under the SFO licensed to Type 2 (dealing futures contracts) regulated activities and registered as such with the SFC (CE number ARV 980), and an exchange participant of the Hong Kong Futures Exchange Limited.

亨達期貨有限公司乃根據《證券及期貨條例》獲准許進行第2類(期貨合約交易)受規管活動之持牌法團，並就此於證監會註冊(中央編號為ARV 980)，並獲香港期貨交易所有限公司參與者資格。

FOR OFFICE USE ONLY 僅供內部使用：

帳戶佣金手續費設定

客戶帳戶號碼：____________________

負責經紀姓名及編號：____________________

手續費設定日期：____________________

負責經紀簽署：____________________

☐ Securities Trading Account 股票交易帳戶:

__________% Minimum 最低收費__________

Interest Charge 利息 :________________

☐ Hong Kong Stock Options Trading Account

香港股票期權交易帳戶:

Per contract 每張期權合約________________

Minimum 最低收費________________

☐ Futures Trading Account 期貨交易帳戶:

____

____

____

Professional Investor 專業投資者:

☐ Yes* 是* ☐ No 否

Third Party Authorization 第三者授權:

☐ Yes* 是* ☐ No 否

*Please fill the relevant application form to us while you choice the answer "Yes" *如以上答案選擇"是"，煩請 閣下填寫我司相關申報表格及申請表

亨達 証券有限公司 期貨有限公司
HANTEC SECURITIES & FUTURES

ACCOUNT OPENING APPLICATION FORM 開立帳戶申請表
FOR INDIVIDUAL/JOINT ACCOUNT 個人/聯名帳戶適用

Note 注意：
1. Please complete in block letters and tick (√) the appropriate box where applicable.
請用正楷填寫，並在適當空格內加上剔號(√)。
2. *Please delete whichever is not appropriate and mark "N/A" on the unfilled spaces.
*請刪去不適用者，並在不適用者填上"N/A"

1. ACCOUNT TYPE 帳戶類別

Securities Account
證券帳戶

Account Type 帳戶種類
☐ Cash Account 現金帳戶
☐ Margin Account 孖展帳戶(即融資帳戶)

Customer Type 客戶種類
☐ Individual 個人
☐ Joint 聯名 (please fill in Appendix 1 請填寫附錄 1)

Futures、Futures Options and Stock Options Account
期貨、期權及股票期權帳戶

Contract Type 合約種類
☐ Futures and Options Account 期貨及期權帳戶
☐ Stock Options Account 股票期權帳戶

Customer Type 客戶種類
☐ Individual 個人
☐ Joint 聯名 (please fill in Appendix 1 請填寫附錄 1)

Please select the type of services you require 請選擇所需的產品服務:
☐ Hong Kong Equity 香港股票
☐ Global Stock 環球股票
☐ Hong Kong Futures 香港期貨
☐ Stock Options 股票期權
☐ OTC Products 場外交易產品

Method of Placing Order 落盤方式
☐ Telephone (Manual) 電話專人落盤
☐ Electronic Trading 電子交易

<APPLICABLE TO JOINT ACCOUNTS ONLY 只適用於聯名帳戶>

The Account can be operated under the following signing instructions of 此帳戶可根據以下書面指示方式操作

☐ Singly by any one of the Joint Account Holders
任何一位聯名帳戶持有人發出
☐ Jointly by the Joint Account Holders
聯名帳戶所有持有人共同發出

2. PERSONAL INFORMATION OF PRIMARY CLIENT 主要客戶的個人資料

☐ Mr. 先生 ☐ Ms. 女士 ☐ Mrs.太太	English Name 英文姓名	Chinese Name 中文姓名	
Marital Status 婚姻狀況 ☐ Single 未婚 ☐ Married 已婚 ☐ Divorced 離婚	ID No. / Passport No. and Issuing Country 身份證號碼 / 護照號碼及簽發國家	Nationality 國籍 Place of Birth 出生地點	Date of Birth (dd/mm/yy) 出生日期

Residential Address 住宅地址

Correspondence Address (If different from Residential Address) 通訊地址（如與住宅地址不同）:

Home Tel. No. 住宅電話	Fax No. 傳真號碼	Mobile No. 手提電話	E-Mail Address 電郵地址

Monthly Account Statements and General Correspondence to be sent to (Please select one only) 帳戶月結單及一般通訊以以下方式送交（請只選一項）	Monthly Account Statements and General Correspondence Language (Please select one only) 帳戶月結單及一般通訊以中文或英文收取（請只選一項）
☐ Email Address (recommended) 電郵地址 (建議選用) ☐ Residential Address 住宅地址 ☐ Correspondence Address 通訊地址	☐ Chinese 中文 ☐ English 英文

Education 教育程度:	☐ Primary or below 小學或以下 ☐ Graduate 大學	☐ Secondary 中學 ☐ Postgraduate or above 碩士或以上
Employment 就業情況:	☐ Full-time Employment 受僱 ☐ Un-employment 無業 ☐ Employer 僱主/Self-employed 自僱, please specify 謹請說明：__________ ☐ Student 學生 ☐ Housewife 家庭主婦 ☐ Retired 退休 ☐ Others, please specify 其他，謹請說明：__________	

Name of Employer 僱主名稱	Nature of Business 業務性質

Business Address 公司地址

Job Title 職位	Business Tel. No. 公司電話	Fax No. 傳真號碼	Years in the Occupation 工作年期

3. SETTLEMENT ARRANGEMENT 結算安排

Bank Name **銀行名稱**	**Hong Kong Bank Account No.** **香港銀行帳戶號碼**	**Name of the Account Holder** **帳戶持有人名稱**

4. FINANCIAL SUMMARY 個人 / 聯名帳戶持有人財務資料簡要

Source of Income/Funds (can choose more than one) 收入/資金來源 (可選多於一項)	☐ Salary 薪金 ☐ Inheritance / Estate 遺產承繼 ☐ Return of Investment 投資獲利 ☐ Sales of Property 出售物業資產 ☐ Retirement Fund 退休金 / Saving 儲蓄 ☐ Commission / Business Income 佣金及業務利潤 ☐ Income Accumulation 收入累積 ☐ Others 其他：__________
Annual Income (HK$) 每年收入（港幣）	☐ 0-120,000 (I1) ☐ 120,001 – 360,000 (I2) ☐ 360,001 – 600,000 (I3) ☐ 600,001 – 1,200,000 (I4) ☐ ≥ 1,200,000 (I5)
Estimated Net Worth (HK$) 估計淨資產值（港幣）	☐ ≤ 500,000 (L) ☐ 500,001 – 1,000,000 (M) ☐ ≥ 1,000,000 (H)
Ownership of Property / Real Estate 物業/房地產擁有權	☐ No 否 ☐ Yes 是 If yes, please specify 如是，謹請說明：__________ ☐ With financing 融資 ☐ Without financing 未融資

5. INVESTMENT OBJECTIVES AND EXPERIENCE 投資目的及經驗

Investment Knowledge 投資知識 ☐ None 無投資經驗 ☐ Limited 投資經驗有限 ☐ Some 略有投資經驗 ☐ Good 投資經驗豐富	☐ No experience at all 沒有投資經驗 ☐ HK listed Securities 香港上市證券 ____________ years 年 (average trade size 平均交易額 HK$____________________) ☐ HK Futures and Options 香港期貨及期權 _______ years 年 (number of contracts and products 合約及產品數量 ______________________) ☐ Overseas listed Securities 海外上市證券_________ years 年 (average trade size 平均交易額 HK$____________________) ☐ HK Stock Options 香港股票期權 ______________ years 年 (number of contracts and products 合約及產品數量 ______________________) ☐ Other(s) 其他 ________________ ; years 年 _____________
Investment Objectives **(can choose more than one)** **投資目的 (可複選)**	☐ Capital Appreciation 資本增長 ☐ Dividend Income 利息收入 ☐ Hedging 對沖 ☐ Arbitrage 套戥 ☐ Speculation 投機 ☐ Others 其他

Investment Horizon 預計投資期	**Risk Tolerance 風險承受程度 (請擇其一)**	**Please specify any brokerage firms that has ever provided services to you 請列出曾經替你服務的經紀公司**
☐ No Constraint 沒有限制 ☐ Short Term (<3 months) 短期(少於3個月) ☐ Medium Term (3-12 months) 中期(3-12個月) ☐ Long Term (>1year) 長期(1年以上)	☐ Low 保守 ☐ Medium 適中 ☐ High 積極 * securities margin account belongs to medium and/or high risk categories 證券保證金帳戶屬於適中及/或積極風險類別	(1)________________________ ________________________ (2)________________________ ________________________

6. PERSONAL DISCLOSURE 個人資料披露

1. Is your spouse, parent or children a client of HANTEC?
閣下的配偶、父母或子女是否亨達的客戶?
☐ No 否 ☐ Yes 是
If yes, the Account Name is 如是，其帳戶姓名為：____________________(Account No 帳戶號碼：______________)

2. Are you operating another account in HANTEC either by yourself or jointly with your spouse, parent and/or children?
閣下是否以個人或與配偶、父母、及/或子女共同操作另一個設立於亨達的帳戶?
☐ No 否 ☐ Yes 是
If yes, the Account Name is 如是，其帳戶姓名為：____________________(Account No 帳戶號碼：______________)

3. Are you controlling 35% or more of the voting rights of any corporate clients of HANTEC either by yourself or jointly with your spouse?
閣下是否以個人或與配偶共同控制任何亨達客戶超過35%或以上的投票權?
☐ No 否 ☐ Yes 是
If yes, the Account Name is 如是，其帳戶姓名為：____________________(Account No 帳戶號碼：______________)

4. Are you or your authorized person (if applicable) a licensed or registered person, director or employee of a person licensed by or registered with the SFC?
閣下或其授權人(如適用)是否證監會之持牌或註冊人士或持牌或註冊人士之董事或僱員?
☐ No 否 ☐ Yes 是 If yes, please specify 如是，謹請說明：**Name of Person(s)姓名** **Name of the Institution 機構名稱**

________________ ____________________

Is a consent letter obtained from the employer for the opening of the Account?
是否已接獲其僱主對於客戶在亨達開立帳戶的同意書? ☐ Yes 是 ☐ No 否

5. Are you or any person connected with you (e.g. your spouse, parent or children) a senior officer or director of any company whose shares are traded on any exchange or market or otherwise in control of such company?
閣下或閣下之任何關連人士如配偶、父母或子女等，是否任何公司之高級行政人員或董事或控制任何公司之人士而該公司之股份在任何交易所或市場買賣?
☐ No 否 ☐ Yes 是 If yes, please specify 如是，謹請說明：

Name of Person(s)姓名	**Position 職務**	**Name of the Listed Company & Stock Code 上市公司名稱和股票代號**
____________	____________	____________________
____________	____________	____________________
____________	____________	____________________

6. Are you or your authorized person (if applicable) an employee or director of HANTEC or POLYTEC Group or a relative of any employee or director of HANTEC or POLYTEC Group?
閣下或閣下之授權人（如適用）是否亨達或保利達集團的僱員或董事或僱員或董事之親屬？
☐ No 否 ☐ Yes 是 If yes, please specify 如是，謹請說明： **Name of Person(s)姓名** **Name of the Institution 機構名稱**

________________ ____________________

"**POLYTEC Group**" means POLYTEC, HANTEC's holding company (as defined in the Companies Ordinance of Hong Kong), subsidiaries (as defined in the Companies Ordinance of Hong Kong) of such holding company or any of POLYTEC or HANTEC's subsidiaries.
「保利達集團」指保利達、亨達的控股公司（按香港《公司條例》定義）或該控股公司的任何保利達子公司（按香港《公司條例》定義）或任何亨達的子公司。

7. Politically Exposed Person 政治人物

Are you and/or your authorized person (if applicable), any of their respective spouses, partners, children or parents, or a spouse or a partner of a child of such individual, or close associate of such individual is or has been entrusted with a prominent public function or holding senior public office in any place (which shall include a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and an important political party official)?

閣下及/或閣下之授權人（如適用）、其各自的配偶、伴侶、子女或父母、或該名個人的子女的配偶或伴侶、或與該名個人有關係密切的人是否在任何地方擔任或曾擔任重要的公職 (包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事)?

☐ No 否 ☐ Yes 是

Are you and/or your authorized person (if applicable), any of their respective spouses, partners, children or parents, or a spouse or a partner of a child of such individual, or close associate of such individual is or has been is a sub-national political figure in any place (which shall include but not limited to heads of regional governments, regional government ministers or large city mayors)?

閣下及/或閣下之授權人（如適用）、其各自的配偶、伴侶、子女或父母、或該名個人的子女的配偶或伴侶、或與該名個人有關係密切的人是否在任何地方為或曾為國家次級政要（其中包括但不限於地區級政府首長、地區政府部長或大城市市長）？

☐ No 否 ☐ Yes 是

<u>If yes to any of the questions above, please provide 如任何問題的答案為是，請提供：</u>

Name of the politically exposed person 政治人物的名稱：____________________

Place and public function entrusted with 地方及所擔任的公職：____________________

Term of the public function entrusted with 所擔任公職的年期：____________________

Relationship with you 與閣下之關係：____________________

8. Are you the ultimate beneficiary owner(s) of the Account?
閣下是否此帳戶最終受益人或擁有人? ☐ Yes 是 ☐ No 否

If no, give detailed particulars of the ultimate beneficiary owner(s)
如否，請提供最終受益人或擁有人之詳盡資料：____________________

9. Are you the person ultimately responsible for originating instructions?
閣下對發出指令負最終責任嗎？
☐ Yes 是 ☐ No 否

10. Are you the person ultimately benefiting from the transactions and/or bearing the commercial or economic risk?
閣下是否交易最終受益人及/或負責承擔商業或經濟風險的人？

☐ Yes 是 ☐ No 否

If you indicate "no" to any of the questions above, please give details of such person
如任何問題的答案為「不是」，請提供相關人士的詳細資料：____________________

11. Are you a trustee of a trust?
閣下是信託基金受託人嗎？ ☐ No 否 ☐ Yes 是

12. Are you carrying out a transaction on behalf of a trust?
閣下是否代表信託執行交易嗎？ ☐ No 否 ☐ Yes 是

If yes, give detailed particulars of the trust 如是，請提供信託基金的詳細資訊：____________________

Name of Trust 信託基金名稱：____________________

Date of Establishment/ Settlement 訂立/結算日期：____________________

Jurisdiction/ Laws Governing the Trust 信託司法管轄區/管轄法律：____________________

Name of Settlor 財產授予人姓名：____________________

Identification Information of Settlor 財產授予人身份資料：____________________

Name of Protector(s) or Enforcer(s) 信託保護人或執行人身份姓名：____________________

Identification Information of Protector(s) or Enforcer(s) 信託保護人或執行人身份資料：____________________

Name of Beneficiary(ies) 受益人姓名：____________________

Identification Information of Beneficiary(ies) 受益人身份資料：____________________

Please provide a copy of the Trust Deed for verification. 請提供信託契約副本以供核實。

13. Do you reside outside Hong Kong?
閣下是否居住在香港以外？ ☐ No 否 ☐ Yes 是

7. DERIVATIVE KNOWLEDGE ASSESSMENT QUESTIONNAIRE 對結構性及衍生產品認識之評估問卷

1. Have you undergone or attended any training courses or seminars that provide general knowledge of the nature and risks of structured or derivative products(s) (e.g. courses offered by financial or academic institutions)?
閣下有否參與過有關結構性或衍生產品之一般性質及風險的培訓課程 (例如：由金融或學術機構所提供之課程)?

☐ **Yes 有** ☐ **No 否**

2. Have you had any current or previous work experience related to structured or derivative product(s) (e.g. financial institutions such as bank, fund house, brokerage firm, regulatory authority, etc)?
閣下現時或以前的工作經驗與結構性或衍生產品有關(例如： 金融機構如銀行、基金公司、經紀行、監管機構等)?

☐ **Yes 有** ☐ **No 否**

If yes, please specify **如有，**謹請說明：

____

3. Have you invested into any of the product(s) below more than <u>five</u> times in the past <u>three</u> years?
你是否於過去<u>三</u>年內已進行**五**宗或以上有關以下任何產品的交易?

☐ **Yes 有** ☐ **No 沒有**

If yes, please select the products below (multiple options if applicable)
如有，請選擇以下產品（如適用，可選多項)：

☐ Exchange Traded Convertible Bonds 在交易所買賣的可換股債券	☐ Equity Linked Instruments / Notes (ELI/ELN) 與股票掛鈎的投資工具/票據
☐ Callable Bull/Bear Contract (CBBC) 牛熊證	☐ Exchange Traded Funds (ETF) 交易所買賣基金
☐ Rights 供股權	☐ Futures and Options 期貨或期權合約交易
☐ Stock Options 股票期權	☐ Derivative Warrants 衍生認股權證

☐ **I have NO knowledge about structured or derivative products. 本人對結構性或衍生產品並無認識。**

For more details of relevant risks and nature of structured and derivative products, please refer to the following websites
欲了解更多有關結構性及衍生產品風險和性質詳情，請參考以下網站：
www.sfc.hk (Securities and Futures Commission / 證券及期貨事務監察委員會)
www.hkex.com.hk (HK Exchange and Clearing Limited / 香港交易所)
http://www.hkiec.hk/web/en (Investor Education Centre /投資者教育中心)

8. CLIENT'S AKNOWLEDGEMENT AND DECLARATION 客戶的確認及聲明

Prior to signing this Account Opening Application Form, please:
在簽署本《開戶申請表》前，請：

(a) note that all transactions to be concluded with or through HANTEC shall be subject to the terms and conditions of the Client Agreement; and
注意所有與亨達達成或通過亨達達成的交易均受限於《客戶協議》的條款及條件；及

(b) read the Client Agreement (including the Risk Disclosure Statement) carefully, ask questions and take independent advice if the Client so wishes.
仔細閱讀《客戶協議》(包括《風險披露聲明》)，提出問題及徵求獨立的意見(如客戶有此意願)。

☐ I/We hereby declare and confirm that I/we have received, read and understood the Client Agreement of which this document and its attachments form a part (the **"Agreement"**), including the Risk Disclosure Statements contained in the aforesaid Client Agreement, Personal Data (Privacy) Collection Statement and other supplements which may be entered into in writing between HANTEC and me/us from time to time, any letters of authorizations relating to securities margin financing, and accept and agree to be bounded by each of the above as amended and/or supplemented from time to time. 本人/我們在此聲明並確認本人/我們已經收到、閱讀和理解由本文件及其附件構成的《客戶協議》(「該協議」)，包括在上述《客戶協議》內所包含有關的《風險披露聲明》、個人資料(隱私)收集聲明和其他有可能由亨達與本人/我們之間不時以書面達成的補充協議、任何與證券保證金融資相關的授權書，並且接受和同意受以上各項之不時修訂及/或補充協議的約束。

☐ I/We hereby declare and confirm that the information in this Account Opening Application Form is true, complete, up-to-date and correct and I/we undertake that I/we will advise HANTEC forthwith of any changes to the information supplied herein and all attachments herewith. HANTEC is entitled to rely fully on such information for all purposes unless HANTEC has received actual prior written notice of any change from me/us.
本人/我們在此聲明並確認本《開戶申請表》的資料均屬真實、完整、符合現況和正確的，並且本人/我們將通知亨達任何本表格及其附件內所提供資料的變更。亨達有權在各方面而言完全依賴這些資料，除非亨達收到了從本人/我們就任何變更發出的實際事先的書面通知。

Furthermore, HANTEC is authorized to obtain at any time references and account balances from my/our bankers (I/we waive any duty of confidentiality involved) and to contact any other persons to check the information provided herein. Further, I/we hereby authorize HANTEC to conduct credit enquiries and checks for the purpose of ascertaining my/our financial situation and investment objective.
此外，亨達經已被授權可在任何時間從本人/我們的銀行獲得參考及帳戶結餘的資料(本人/我們放棄其中涉及的任何保密責任)，並與任何其他人聯繫以核實本文件所提供的資料。另外，本人/我們在此授權亨達為確認本人/我們的財務狀況和投資目的而作出的信貸查詢和核查。

I/We understand that I/we may be required to provide additional information or submit documentary proof as to the information provided in this form when requested by HANTEC. I/We understand that my/our submission of this form and the acceptance of this form by HANTEC in no way implies approval for opening of the Account for me/us and that HANTEC reserves the unconditional right to reject my/our application.
本人/我們理解亨達有可能要求本人/我們提供本表格以外的其他資料或證明文件。本人/我們理解本人/我們提交本表格予亨達及亨達接受本表格並不以任何方式意味開立帳戶已獲批準，且亨達保留無條件拒絕本人/我們申請的權利。

I/We hereby apply to open the above type(s) of account and agree to be bound by the Agreement (receipt of a copy whereof is hereby acknowledged by me/us) including its Standard Terms and Conditions and relevant Schedule(s) as the same may be amended and supplemented from time to time.
本人/我們在此申請開立上述類型的帳戶並同意受該協議約束(本人/我們確認已經收到了該協議的副本)，包括該協議的標準條件和條款以及相關附件和不時可能作出的修訂和補充。

Primary Client Signature/Specimen Signature
主要客戶簽署/簽署式樣

Client Name 客戶名稱：

Date 日期：

[For Joint Account Only 僅適用於聯名帳戶]
Joint Client Signature/Specimen Signature
聯名客戶簽署/簽署式樣

Client Name 客戶名稱：

Date 日期：

9. ACKNOWLEDGEMENT BY CLIENT 客戶確認

I/We, ______________________________ (Name in Block Letters), hereby acknowledge and confirm that I/we have been provided with the Risk Disclosure Statements contained in the Client Agreement in English/ Chinese* which is a language of my/our choice and that I/we have been invited to read the same, to ask questions and to take independent advice (if I/we so wish).

本人/我們，______________________________（姓名以正楷填寫），在此確認本人/我們已經收到了《客戶協議》當中所包含按本人/我們選擇提供的**英文/中文***版本的《風險披露聲明》，且本人/我們已經按邀閱讀了該聲明，提出問題並徵求獨立意見（如果本人/我們有此意願）。

* delete if not applicable 請刪去不適用者

Signature of Primary Client **主要客戶簽署**	**Signature of Joint Client** **聯名客戶簽署**
Date **日期**	**Date** **日期**

10. TO BE COMPLETED BY THE LICENSED REPRESENTATIVE OF HANTEC OR PROFESSIONAL#
由亨達的持牌代表或專業人士#填寫

Name 姓名	
Qualification 資格/職位	
Address 地址	
Witness Signature 見證人簽署	Date 日期

Acknowledged and Accepted by
For and on behalf of Hantec Securities Co., Limited or Hantec Futures Limited
經由代表亨達証券有限公司 / 亨達期貨有限公司確認及接納

____
Authorized Signature with Company Chop
授權簽署及公司蓋章
Date 日期：

 # Professional: Any Practising Lawyer, Practising Certified Public Accountant or Notary Public
專業人士：執業律師、執業會計師或法律公證人

11. DECLARATION TO BE COMPLETED BY LICENSED REPRESENTATIVE OF HANTEC 由亨達的持牌代表填寫聲明

I, ______________________________ (Name in Block Letters) with C.E. Number______________ being a member of staff of HANTEC, and a person licensed as a representative under the SFO, hereby declare and confirm that I have provided the Risk Disclosure Statements contained in the Client Agreement in **English/ Chinese*** which is a language of the above Client's choice to the above Client(s) and that I have invited the Client(s) to read the same, to ask questions and to take independent advice (if the Client(s) so wish(es)).

本人______________________(姓名以正楷填寫)中央編號________________，作為亨達的僱員及根據《證券及期貨條例》(香港法例第 571 條)下獲發牌人士，聲明及確認本人已按上述客戶選擇的中/英文語言版本而提供《客戶協議》當中所包含的《風險披露聲明》，且本人並邀請該客戶閱讀該等條款、提出問題及徵求獨立意見（如客戶有此意願）。

* delete if not applicable 請刪去不適用者

By way of 通過： ☐ Face to Face; or 面對面；或 ☐ Telephone 電話 Recorded Line No. 電話錄音號碼: ________________	Date & Time 日期及時間 ______________ ______________________________ Signature of Licensed Representative 持牌代表簽署

亨達 證券有限公司 期貨有限公司 HANTEC SECURITIES & FUTURES

APPENDIX 1: PERSONAL INFORMATION PAGE FOR JOINT ACCOUNT HOLDER(S)

附錄 1: 聯名帳戶持有人的個人資料頁

1. PERSONAL INFORMATION OF JOINT CLIENT 聯名客戶的個人資料

☐ Mr. 先生 ☐ Ms. 女士 ☐ Mrs.太太	English Name 英文姓名	Chinese Name 中文姓名	
Marital Status 婚姻狀況 ☐ Single 未婚 ☐ Married 已婚 ☐ Divorced 離婚	ID No./Passport No. and Issuing Country 身份證號碼/護照號碼及簽發國家	Nationality 國籍 Place of Birth 出生地點	Date of Birth (dd/mm/yy) 出生日期

Residential Address 住宅地址

Correspondence Address (If different from Residential Address) 通訊地址（如與住宅地址不同）:

Home Tel. No. 住宅電話	Fax No. 傳真號碼	Mobile No. 手提電話	E-Mail Address 電郵地址

Monthly Account Statements and General Correspondence to be sent to (Please select one only)
帳戶月結單及一般通訊以以下方式送交（請只選一項）

☐ Email Address (recommended) 電郵地址(建議選用)
☐ Residential Address 住宅地址
☐ Correspondence Address 通訊地址

Education 教育程度	☐ Primary or below 小學或以下 ☐ Secondary 中學 ☐ Graduate 大學 ☐ Postgraduate or above 碩士或以上
Employment 就業情況:	☐ Full-time Employment 受僱 ☐ Un-employment 無業 ☐ Employer 僱主/Self-employed 自僱, please specify 謹請說明：________________ ☐ Student 學生 ☐ Housewife 家庭主婦 ☐ Retired 退休 ☐ Others, please specify 其他，謹請說明：________________

Name of Employer 僱主名稱	Nature of Business 業務性質

Business Address 公司地址

Job Title 職位	Business Tel. No. 公司電話	Fax No. 傳真號碼	Years in the Occupation 工作年期

2. SETTLEMENT ARRANGEMENT 結算安排

Bank Name 銀行名稱	**Hong Kong Bank Account No. 香港銀行帳戶號碼**	**Name of the Account Holder 帳戶持有人名稱**

3. FINANCIAL SUMMARY 個人 / 聯名帳戶持有人財務資料簡要

Source of Income/Funds (can choose more than one) 收入/資金來源 (可選多於一項)	☐ Salary 薪金 ☐ Retirement Fund 退休金 / Saving 儲蓄 ☐ Others 其他：________________	☐ Inheritance / Estate 遺產承繼 ☐ Commission / Business Income 佣金及業務利潤	☐Return of Investment 投資獲利 ☐ Sales of Property 出售物業資產 ☐ Income Accumulation 收入累積
Annual Income (HK$) 每年收入（港幣）	☐ 0-120,000 (I1) ☐ 600,001 – 1,200,000 (I4)	☐ 120,001 – 360,000 (I2) ☐ ≥ 1,200,000 (I5)	☐ 360,001 – 600,000 (I3)
Estimated Net Worth (HK$) 估計淨資產值（港幣）	☐ ≤ 500,000 (L)	☐ 500,001 – 1,000,000 (M)	☐ ≥ 1,000,000 (H)
Ownership of Property/ Real Estate **物業/房地產擁有權**	☐ No 否 ☐Yes 是	If yes, please specify 如是，謹請說明：________________ ☐ With financing 融資	☐ Without financing 未融資

4. INVESTMENT OBJECTIVES AND EXPERIENCE 投資目的及經驗 (帳戶個人)

Investment Knowledge **投資知識** ☐ None 無投資經驗 ☐ Limited 投資經驗有限 ☐ Some 略有投資經驗 ☐ Good 投資經驗豐富	☐ No experience at all 沒有投資經驗 ☐ HK listed Securities 香港上市證券 ____________ years 年 (average trade size 平均交易額 HK$____________________) ☐ HK Futures and Options 香港期貨及期權_______ years 年 (number of contracts and products 合約及產品數量 ____________________________________) ☐ Overseas listed Securities 海外上市證券________ years 年 (average trade size 平均交易額 HK$____________________) ☐ HK Stock Options 香港股票期權 ______________ years 年 (number of contracts and products 合約及產品數量 ____________________________________) ☐ Other(s) 其他 ________________ ; years 年 ______________
Investment Objectives **(can choose more than one)** **投資目的 (可複選)**	☐ Capital Appreciation 資本增長 ☐ Generating Income 賺取收入 ☐ Hedging 對沖 ☐ Arbitrage 套戥 ☐ Speculation 投機 ☐ Others 其他

Investment Horizon **預計投資期**	**Risk Tolerance** **風險承受程度 (請擇其一)**	**Please specify any brokerage firms that has ever provided services to you** **請列出曾經替你服務的經紀公司**
☐ No Constraint 沒有限制 ☐ Short Term (<3 months) 短期（少於 3 個月） ☐ Medium Term (3-12 months) 中期（3-12 個月） ☐ Long Term (>1year) 長期（1 年以上）	☐ Low 保守 ☐ Medium 適中 ☐ High 積極 * securities margin account belongs to medium and/or high risk categories 證券保證金帳戶屬於適中及/或積極風險類別	(1)______________________________ ______________________________ (2)______________________________ ______________________________

5. INVESTMENT OBJECTIVES AND EXPERIENCE 投資目的及經驗 (帳戶聯名人)

Investment Knowledge **投資知識** ☐ None 無投資經驗 ☐ Limited 投資經驗有限 ☐ Some 略有投資經驗 ☐ Good 投資經驗豐富	☐ No experience at all 沒有投資經驗 ☐ HK listed Securities 香港上市證券 ____________ years 年 (average trade size 平均交易額 HK$____________________) ☐ HK Futures and Options 香港期貨及期權_______ years 年 (number of contracts and products 合約及產品數量 ____________________________________) ☐ Overseas listed Securities 海外上市證券________ years 年 (average trade size 平均交易額 HK$____________________) ☐ HK Stock Options 香港股票期權 ______________ years 年 (number of contracts and products 合約及產品數量 ____________________________________) ☐ Other(s) 其他 ________________ ; years 年 ______________
Investment Objectives **(can choose more than one)** **投資目的 (可複選)**	☐ Capital Appreciation 資本增長 ☐ Generating Income 賺取收入 ☐ Hedging 對沖 ☐ Arbitrage 套戥 ☐ Speculation 投機 ☐ Others 其他

Investment Horizon **預計投資期**	**Risk Tolerance** **風險承受程度 (請擇其一)**	**Please specify any brokerage firms that has ever provided services to you** **請列出曾經替你服務的經紀公司**
☐ No Constraint 沒有限制 ☐ Short Term (<3 months) 短期（少於 3 個月） ☐ Medium Term (3-12 months) 中期（3-12 個月） ☐ Long Term (>1year) 長期（1 年以上）	☐ Low 保守 ☐ Medium 適中 ☐ High 積極 * securities margin account belongs to medium and/or high risk categories 證券保證金帳戶屬於適中及/或積極風險類別	(1)______________________________ ______________________________ (2)______________________________ ______________________________

6. PERSONAL DISCLOSURE 個人資料披露

1. Is your spouse, parent or children a client of HANTEC?
閣下的配偶、父母或子女是否亨達的客戶？
☐ No 否 ☐ Yes 是
If yes, the Account Name is 如是，其帳戶姓名為：____________________(Account No 帳戶號碼：________________)

2. Are you operating another account in HANTEC either by yourself or jointly with your spouse, parent and/or children?
閣下是否以個人或與配偶、父母、及/或子女共同操作另一個設立於亨達的帳戶？
☐ No 否 ☐ Yes 是
If yes, the Account Name is 如是，其帳戶姓名為：____________________(Account No 帳戶號碼：________________)

3. Are you controlling 35% or more of the voting rights of any corporate clients of HANTEC either by yourself or jointly with your spouse?
閣下是否以個人或與配偶共同控制任何亨達客戶超過35%或以上的投票權?
☐ No 否 ☐ Yes 是
If yes, the Account Name is 如是，其帳戶姓名為：____________________(Account No 帳戶號碼：________________)

4. Are you or your authorized person (if applicable) a licensed or registered person, director or employee of a person licensed by or registered with the SFC?
閣下或其授權人（如適用）是否證監會之持牌或註冊人士或持牌或註冊人士之董事或僱員?
☐ No 否 ☐ Yes 是 If yes, please specify 如是，謹請說明：**Name of Person(s)姓名** **Name of the Institution 機構名稱**

____________________ ____________________

Is a consent letter obtained from the employer for the opening of the Account?
是否已接獲其僱主對於客戶在亨達開立帳戶的同意書? ☐ Yes 是 ☐ No 否

5. Are you or any person connected with you (e.g. your spouse, parent or children) a senior officer or director of any company whose shares are traded on any exchange or market or otherwise in control of such company?
閣下或閣下之任何關連人士如配偶、父母或子女等，是否任何公司之高級行政人員或董事或控制任何公司之人士而該公司之股份在任何交易所或市場買賣？
☐ No 否 ☐ Yes 是 If yes, please specify 如是，謹請說明：____

6. Are you or your authorized person (if applicable) an employee or director of HANTEC or POLYTEC Group or a relative of any employee or director of HANTEC or POLYTEC Group?
閣下或閣下之授權人（如適用）是否亨達或保利達集團的僱員或董事或僱員或董事之親屬？
☐ No 否 ☐Yes 是 If yes, please specify 如是，謹請說明： **Name of Person(s)姓名** **Name of the Institution 機構名稱**

____________________ ____________________

"**POLYTEC Group**" means POLYTEC, HANTEC's holding company (as defined in the Companies Ordinance of Hong Kong), subsidiaries (as defined in the Companies Ordinance of Hong Kong) of such holding company or any of POLYTEC or HANTEC's subsidiaries.
「保利達集團」指保利達、亨達的控股公司（按香港《公司條例》定義）或該控股公司的任何保利達子公司（按香港《公司條例》定義）或任何亨達的子公司。

7. Politically Exposed Person 政治人物

Are you and/or your authorized person (if applicable), any of their respective spouses, partners, children or parents, or a spouse or a partner of a child of such individual, or close associate of such individual is or has been entrusted with a prominent public function or holding senior public office in any place (which shall include a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and an important political party official)?

閣下及/或閣下之授權人（如適用）、其各自的配偶、伴侶、子女或父母、或該名個人的子女的配偶或伴侶、或與該名個人有關係密切的人是否在任何地方擔任或曾擔任重要的公職 (包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事)?

☐ No 否 ☐ Yes 是

Are you and/or your authorized person (if applicable), any of their respective spouses, partners, children or parents, or a spouse or a partner of a child of such individual, or close associate of such individual is or has been is a sub-national political figure in any place (which shall include but not limited to heads of regional governments, regional government ministers or large city mayors)?

閣下及/或閣下之授權人（如適用）、其各自的配偶、伴侶、子女或父母、或該名個人的子女的配偶或伴侶、或與該名個人有關係密切的人是否在任何地方為或曾為國家次級政要（其中包括但不限於地區級政府首長、地區政府部長或大城市市長）？

☐ No 否 ☐ Yes 是

<u>If yes to any of the questions above, please provide 如任何問題的答案為是，請提供：</u>

Name of the politically exposed person 政治人物的名稱：________________________________

Place and public function entrusted with 地方及所擔任的公職：________________________________

Term of the public function entrusted with 所擔任公職的年期：________________________________

Relationship with you 與閣下之關係：________________________________

8. Are you the ultimate beneficiary owner(s) of the Account?
閣下是否此帳戶最終受益人或擁有人? ☐ Yes 是 ☐ No 否

If no, give detailed particulars of the ultimate beneficiary owner(s)

如否，請提供最終受益人或擁有人之詳盡資料：____

9. Are you the person ultimately responsible for originating instructions?
閣下對發出指令負最終責任嗎？

☐ Yes 是 ☐ No 否

10. Are you the person ultimately benefiting from the transactions and/or bearing the commercial or economic risk?
閣下是否交易最終受益人及/或負責承擔商業或經濟風險的人？

☐ Yes 是 ☐ No 否

If you indicate "no" to any of the questions above, please give details of such person

如任何問題的答案為「不是」，請提供相關人士的詳細資料：____________________

11. Are you a trustee of a trust?
閣下是信託基金受託人嗎？ ☐ No 否 ☐ Yes 是

12. Are you carrying out a transaction on behalf of a trust?
閣下是否代表信託執行交易嗎？ ☐ No 否 ☐ Yes 是

If yes, give detailed particulars of the trust 如是，請提供信託基金的詳細資訊：____________________

Name of Trust 信託基金名稱：____________________

Date of Establishment/ Settlement 訂立/結算日期：____________________

Jurisdiction/ Laws Governing the Trust 信託司法管轄區/管轄法律：____________________

Name of Settlor 財產授予人姓名：____________________

Identification Information of Settlor 財產授予人身份資料：____________________

Name of Protector(s) or Enforcer(s) 信託保護人或執行人身份姓名：____________________

Identification Information of Protector(s) or Enforcer(s) 信託保護人或執行人身份資料：____________________

Name of Beneficiary(ies) 受益人姓名：____________________

Identification Information of Beneficiary(ies) 受益人身份資料：____________________

Please provide a copy of the Trust Deed for verification. 請提供信託契約副本以供核實。

13. Do you reside outside Hong Kong?

閣下是否居住在香港以外？ ☐ No 否 ☐ Yes 是

7. DERIVATIVE KNOWLEDGE ASSESSMENT QUESTIONNAIRE 對結構性及衍生產品認識之評估問卷

1. Have you undergone or attended any training courses or seminars that provide general knowledge of the nature and risks of structured or derivative products(s) (e.g. courses offered by financial or academic institutions)?
閣下有否參與過有關結構性或衍生產品之一般性質及風險的培訓課程 (例如：由金融或學術機構所提供之課程)?

☐ **Yes 有** ☐ **No 否**

2. Have you had any current or previous work experience related to structured or derivative product(s) (e.g. financial institutions such as bank, fund house, brokerage firm, regulatory authority, etc)?
閣下現時或以前的工作經驗與結構性或衍生產品有關(例如： 金融機構如銀行、基金公司、經紀行、監管機構等)?

☐ **Yes 有** ☐ **No 否**

If yes, please specify **如有**，謹請說明：

____

3. Have you invested into any of the product(s) below more than **five** times in the past **three** years?
你是否於過去三年內已進行**五**宗或以上有關以下任何產品的交易?

☐ **Yes 有** ☐ **No 沒有**

If yes, please select the products below (multiple options if applicable)
如有，請選擇以下產品（如適用，可選多項）：

☐ Exchange Traded Convertible Bonds 在交易所買賣的可換股債券	☐ Equity Linked Instruments / Notes (ELI/ELN) 與股票掛鈎的投資工具/票據
☐ Callable Bull/Bear Contract (CBBC) 牛熊證	☐ Exchange Traded Funds (ETF) 交易所買賣基金
☐ Rights 供股權	☐ Futures and Options 期貨或期權合約交易
☐ Stock Options 股票期權	☐ Derivative Warrants 衍生認股權證
☐ **I have NO knowledge about structured or derivative products. 本人對結構性或衍生產品並無認識。**	
For more details of relevant risks and nature of structured and derivative products, please refer to the following websites 欲了解更多有關結構性及衍生產品風險和性質詳情，請參考以下網站： www.sfc.hk (Securities and Futures Commission / 證券及期貨事務監察委員會) www.hkex.com.hk (HK Exchange and Clearing Limited / 香港交易所) http://www.hkiec.hk/web/en (Investor Education Centre /投資者教育中心	

Client Investment Risk Questionnaire ("CIRQ")

客戶投資風險問卷(「此問卷」)

Client Account No. 客戶帳戶號碼	Client Name 客戶姓名	Name of Authorized Person (For Corporate Client) 獲授權人姓名 (企業帳戶適用)

This CIRQ aims at assessing Client's general risk tolerance and investment portfolio in order to assist Client in making investment decisions and assist us in understanding Client's objectives and needs.
此問卷的主要目的是為幫助評估客戶的一般承受風險能力及投資取向，以協助客戶作出投資決定及協助我們了解客戶的投資目標及需要。

NOTICE TO CLIENTS 客戶注意事項：

1. For Joint Account 對於聯名帳戶:
   Each account holder of a joint account is required to complete the CIRQ separately. The lowest risk aptitude rating for any account holder would be adopted as the investor risk profile for the relevant joint account.
   聯名帳戶的每位帳戶持有人必須分別完成此問卷。聯名戶口持有人中最低的評分會被採納為該聯名帳戶的投資風險範圍。

2. For Corporate Account 對於企業帳戶:
   The risk assessment of the account is conducted based on information provided by each of the authorized person(s) who is authorized to operate and make investment decisions for the account under the Account Opening Application Form. The lowest risk aptitude rating for any authorized person would be adopted as the investor risk profile for the relevant account.
   帳戶之風險評估是按照每個根據開立帳戶申請表格獲授權操作帳戶和作出投資決定的獲授權人所提供的資料進行。所有獲授權人中最低的評分會被採納為該帳戶的投資風險範圍。

3. Please note that if you do not provide a complete and accurate disclosure of your existing financial situation, investment experience and/or investment objectives in this CIRQ, Hantec Securities Co., Limited or Hantec Futures Limited ("HANTEC") would not be able to assess the suitability of the financial products or services shortlisted.
   請注意，若你在此問卷中未能就你現時財政狀況、投資經驗及/或投資目標提供完整及準確的披露，亨達証券有限公司(「亨達」)將不能夠評估適合的金融產品或服務。

4. We recommend that you review your financial situation, investment experience and/or investment objectives on a regular basis or whenever your financial situation and/or personal circumstance is changed. Please feel free to contact us if you wish to review or update the information set out in this CIRQ.
   我們建議你定期或在你的財政狀況及/或個人情況出現變更時，審視你的財務狀況、投資經驗及／或投資目標。如你欲審視或更新此問卷內的資料，請隨時聯絡我們。

5. In order to enhance customer protections, if you are 65 years old or above; with education level of primary or below; and/or have any difficulty in reading documents and/or suffer from any long-term illness or impairments which may cause you difficulty in understanding the investment product(s) and the risks involved, you are recommended to take one of the following protective measures:
   (a) To have an additional salesperson of HANTEC to handle the investment sales process; or
   (b) To bring alone your companion, who is 18 to 64 years old; with education level of secondary or above; and with sufficient investment knowledge or experience, to witness the sales process; or
   (c) To seek independent third party or professional advice.
   為加強對客戶的保障，如你屬於65歲或以上；教育程度為小學或以下；及／或在閱讀文件時有任何困難或你患有長期病患或殘障從而可能會令你難以理解投資產品及其涉及的風險，我們建議你採取以下其中一項保護措施：
   (a) 讓多一位亨達職員去處理該投資銷售程序；或
   (b) 攜同一位18-64歲；教育程度為中學或以上；及擁有充足投資知識及經驗的同伴參與見證銷售過程；或
   (c) 尋求獨立的第三方或專業意見。

To complete this CIRQ, please kindly fill out Section 1 and Section 2 below.

請填寫以下第一部分和第二部分以完成此問卷。

Client Investment Risk Questionnaire ("CIRQ")

客戶投資風險問卷(「此問卷」)

Client Account No. 客戶帳戶號碼	Client Name 客戶姓名	Name of Authorized Person (For Corporate Client) 獲授權人姓名 (企業帳戶適用)

This CIRQ aims at assessing Client's general risk tolerance and investment portfolio in order to assist Client in making investment decisions and assist us in understanding Client's objectives and needs.
此問卷的主要目的是為幫助評估客戶的一般承受風險能力及投資取向，以協助客戶作出投資決定及協助我們了解客戶的投資目標及需要。

NOTICE TO CLIENTS 客戶注意事項：

6. For Joint Account 對於聯名帳戶:
Each account holder of a joint account is required to complete the CIRQ separately. The lowest risk aptitude rating for any account holder would be adopted as the investor risk profile for the relevant joint account.
聯名帳戶的每位帳戶持有人必須分別完成此問卷。聯名戶口持有人中最低的評分會被採納為該聯名帳戶的投資風險範圍。

7. For Corporate Account 對於企業帳戶:
The risk assessment of the account is conducted based on information provided by each of the authorized person(s) who is authorized to operate and make investment decisions for the account under the Account Opening Application Form. The lowest risk aptitude rating for any authorized person would be adopted as the investor risk profile for the relevant account.
帳戶之風險評估是按照每個根據開立帳戶申請表格獲授權操作帳戶和作出投資決定的獲授權人所提供的資料進行。所有獲授權人中最低的評分會被採納為該帳戶的投資風險範圍。

8. Please note that if you do not provide a complete and accurate disclosure of your existing financial situation, investment experience and/or investment objectives in this CIRQ, Hantec Securities Co., Limited ("HANTEC") would not be able to assess the suitability of the financial products or services shortlisted.
請注意，若你在此問卷中未能就你現時財政狀況、投資經驗及/或投資目標提供完整及準確的披露，亨達証券有限公司(「亨達」)將不能夠評估適合的金融產品或服務。

9. We recommend that you review your financial situation, investment experience and/or investment objectives on a regular basis or whenever your financial situation and/or personal circumstance is changed. Please feel free to contact us if you wish to review or update the information set out in this CIRQ.
我們建議你定期或在你的財政狀況及/或個人情況出現變更時，審視你的財務狀況、投資經驗及／或投資目標。如你欲審視或更新此問卷內的資料，請隨時聯絡我們。

10. In order to enhance customer protections, if you are 65 years old or above; with education level of primary or below; and/or have any difficulty in reading documents and/or suffer from any long-term illness or impairments which may cause you difficulty in understanding the investment product(s) and the risks involved, you are recommended to take one of the following protective measures:
(d) To have an additional salesperson of HANTEC to handle the investment sales process; or
(e) To bring alone your companion, who is 18 to 64 years old; with education level of secondary or above; and with sufficient investment knowledge or experience, to witness the sales process; or
(f) To seek independent third party or professional advice.
為加強對客戶的保障，如你屬於65歲或以上；教育程度為小學或以下；及／或在閱讀文件時有任何困難或你患有長期病患或殘障從而可能會令你難以理解投資產品及其涉及的風險，我們建議你採取以下其中一項保護措施：
(d) 讓多一位亨達職員去處理該投資銷售程序；或
(e) 攜同一位18-64歲；教育程度為中學或以上；及擁有充足投資知識及經驗的同伴參與見證銷售過程；或
(f) 尋求獨立的第三方或專業意見。

To complete this CIRQ, please kindly fill out Section 1 and Section 2 below.

請填寫以下第一部分和第二部分以完成此問卷。

Section 1: Qualitative Risk Assessment
第一部份: 定性風險評估

PLEASE SELECT (√) THE MOST APPROPRIATE ANSWER
請選擇（√）最合適的答案

1.1 Which age group do you belong to? 你屬於哪一個年齡組別?

- ☐ a. age 18-24 — 18-24 歲
- ☐ b. age 25-34 — 25-34 歲
- ☐ c. age 35-49 — 35-49 歲
- ☐ d. age 50-64 — 50-64 歲
- ☐ e. age 65 or above — 65 歲或以上

1.2 What is the highest level of education level you have attained? 你的教育程度是:

- ☐ a. Primary school or below 小學或以下
- ☐ b. Secondary school 中學
- ☐ c. Post-Secondary (including diploma and associate degree) 大專（包括文憑及副學士）
- ☐ d. Bachelor Degree/University or above 學士/大學或以上
- ☐ e. Professional qualifications such as CFP[CM]、CFA ® or CPA (if applicable)
  CFP[CM]、CFA ®或 CPA 等認可專業資格（如適用）

1.3 Do you have any difficulty in reading documents and/or do you suffer from any long-term illness or impairments which may cause you (i) difficulty in understanding the investment product(s) and the risks involved; or (ii) financial hardship?
你是否在閱讀文件時有任何困難或你患有長期病患或殘障從而可能會令你：（i）難以理解投資產品及其涉及的風險；或（ii） 陷於財政困難?

- ☐ a. Yes 是
- ☐ b. No 否

1.4 <u>Individual/ joint account clients:</u> What is the amount of your annual income?#
<u>Corporate clients:</u> What is the amount of financial resources available for investment in the business each year?#
<u>**個人/聯名客戶**</u>：你每年收入是多少?#
<u>**企業客戶**</u>：公司每年可用作投資的財政資源有多少?#

- ☐ a. HKD 0 — 港幣 0
- ☐ b. HKD 1 – 500,000 — 港幣 1 – 500,000
- ☐ c. HKD 500,001 – 1,000,000 — 港幣 500,001 – 1,000,000
- ☐ d. HKD 1,000,001 – 2,000,000 — 港幣 1,000,001 – 2,000,000
- ☐ e. HKD 2,000,001 – 3,000,000 — 港幣 2,000,001 – 3,000,000
- ☐ f. HKD 3,000,000 or more — 港幣 3,000,000 或以上

1.5 What is the amount of your total **<u>net</u>** liquid assets* (i.e. liquid assets – liquid liabilities)?#
你的**<u>淨</u>**流動資產*總額是多少(即流動資產–流動負債)?#

HKD ________________
港幣________________

*Liquid assets are assets which may be turned easily into cash, such as cash, money in bank accounts, savings deposits, time deposits, cash value of insurance policies, etc.
*流動資產是指可以輕易轉換為現金的資產，如現金、銀行存款、儲蓄存款、定期存款、保險現金值等。

#Remarks: The information collected from Q4 and Q5 above may be used by HANTEC in assessing your concentration risk. If information is not provided, we will assess your concentration risk based on your assets/ investment portfolio held within HANTEC.
#備注：亨達可能會使用上述第 4 條及第 5 條的資料來評估你的集中風險。如果你未有提供有關資料，我們將根據你在亨達中持有的資產/投資組合來評估你的集中風險。

Section 2: Quantitative Risk Assessment
第二部份: 定量風險評估

PLEASE SELECT (√) THE MOST SUITABLE ANSWER 請選擇最恰當的答案	SCORE 分數
2.1 <u>Individual/ joint account clients:</u> How many months can your savings meet your basic family expenses? <u>Corporate clients:</u> How many months can your current working capital (current assets minus current liabilities) meet your company's expenses? <u>個人/聯名客戶</u>：你的儲蓄金額大約可應付多少個月的家庭基本開支? <u>企業客戶</u>：你的流動營運資本（流動資產減去流動負債）大約可應付多少個月的公司開支?	
☐ a. Less than 2 months 少於二個月	1
☐ b. Between 2 months and no more than 5 months 二個月至少於五個月	2
☐ c. Between 5 months and no more than 8 months 五個月至少於八個月	3
☐ d. Between 8 months and no more than 12 months 八個月至少於十二個月	4
☐ e. Over 12 months 超過十二個月	5
2.2 How many years of experience do you have in relation to investment products the price of which fluctuates (including "buy and hold" and active trading)? Investment products subject to price fluctuation may include, for example, stocks, unit trusts, foreign currencies, commodities, structured investment products, warrants, options, futures, investment-linked insurance plans. 你有多少年投資於價值波動之投資產品的經驗(包括長期持有及頻繁交易)? 價值會波動之投資產品可包括，例如股票、單位信託基金、外幣、商品、結構性產品、認股權證(俗稱「窩輪」)、期權、期貨、投資相連保單等。	
☐ a. No experience or less than 1 year 沒有經驗或少過 1 年	1
☐ b. Between 1 and 3 years 1 至 3 年	3
☐ c. Over 3 years 多過 3 年	5
2.3 In the past year, which of the following investment products have you held or purchased? (you may have more than 1 choice) 在過去一年內，你持有或購買過以下哪些投資產品? （可選擇多於一項）	
☐ a. Cash , deposit, certificate of deposit, capital protected products, bonds, bond funds 現金、存款、存款證、保本產品、債券、債券基金	1
☐ b. Developed markets equity funds or stocks (e.g. Europe, US, Japan, Hong Kong, etc), developing market/ emerging market equity funds or stocks (e.g. China, Eastern Europe, etc) 已發展市場股票基金或股票 （例如：歐洲、美國、日本、香港等）、發展中市場／新興市場股票基金或股票 （例如：中國、東歐等）	3
☐ c. Hedge Fund, foreign exchange margin account, structured products (e.g. currency-linked, equity-linked and credit-linked instruments), or derivatives (e.g. options, futures, warrants, swap contracts, etc) 對沖基金、外匯保證金帳戶、結構性產品（例如：外幣掛鈎、股票掛鈎、信用掛鈎工具等）或衍生工具（例如：期權、期貨、認股證、掉期合約等）	5
2.4 During the past year, how many derivatives transactions have you executed (buying or selling derivatives/ other financial instruments)? 在過去一年，你曾執行過多少次衍生產品交易 (買賣衍生工具或其他金融工具)?	
☐ a. None 完全沒有	0
☐ b. Between 0 and 5 transactions 0 次至 5 次	1
☐ c. Between 5 and 10 transactions 5 次至 10 次	3
☐ d. More than 10 transactions 多於 10 次	5

2.5 In an ideal case, what percentage of your assets would you invest in financial products that contain market risk (e.g. equity risk, interest rate risk, currency risk, commodity risk, etc)? 在理想情況下，你願意把你的資產中多少百分比投資於有市場風險的金融產品（例如：股票風險、利息風險、貨幣風險、商品風險等)?	
☐ a. Below 10% 10% 以下	**1**
☐ b. More than 10% and up to 20% 10% 以上至 20%	**2**
☐ c. More than 20% and up to 40% 20% 以上至 40%	**3**
☐ d. More than 40% and up to 60% 40% 以上至 60%	**4**
☐ e. More than 60% 60% 以上	**5**
2.6 Which of the following statements best describes your attitude towards investment risk? 以下哪句最能形容你對投資風險的態度?	
☐ a. You are very concerned about price volatility, and prefer to have a low return in order to avoid all the risk. 你非常關注價格波幅，寧願接受低回報來避免所有風險。	**1**
☐ b. You have some concern about price volatility, and prefer to have less return in order to avoid most of the risk. 你關注價格波幅，寧願以較少的回報來避免大部份風險。	**2**
☐ c. You are willing to accept some price volatility with a reasonable return. 你願意接受一些價格波幅以換取合理的回報。	**3**
☐ d. You are willing to accept higher price volatility as long as the return is attractive. 你在回報吸引的情況下願意接受較高的價格波幅。	**4**
☐ e. You are willing to tolerate very high price volatility in order to maximize return. 你願意承受極高的價格波幅以追求最大的回報。	**5**
2.7 How much of all your current investments and low risk assets (e.g. savings deposits, time deposits, cash value of insurance policies, government debt securities such as Exchange Fund Bills and Notes, etc) account for your total investable assets*? 綜觀你現時所有的投資及低風險的資產（例如：儲蓄存款、定期存款、保險現金值、政府債券如外匯基金票據及債券等)佔你的可投資資產中的比例是多少?	
☐ a. More than 80% 80%以上	**1**
☐ b. Over 60% and up to 80% 60%以上至 80%	**2**
☐ c. Over 40% and up to 60% 40%以上至 60%	**3**
☐ d. Over 20% and up to 40% 20%至 40%	**4**
☐ e. Less than 20% 20%以下	**5**
* Investable assets include all financial assets, except for the residential property owned for self-occupied purposes. 可投資資產包括所有金融資產（自住物業除外）。	
2.8 What is the level of price fluctuation you are willing to accept for your investment? 你願意投資於波幅程度多大的投資產品?	
☐ a. Fluctuation between -15% and +15% 於-15% 至+15%之間的波幅	**5**
☐ b. Fluctuation between -30% and +30% 於-30% 至+30%之間的波幅	**10**
☐ c. Fluctuation between under -30% and over +30% 多於-30% 至+30%之間的波幅	**15**
2.9 What degree of losses you are willing to take for your investment portfolio? 你接受你的投資組合最多虧損多少?	
☐ a. 5% or below 5%或以下	**1**
☐ b. 10% or below 10%或以下	**2**
☐ c. More than 10% and up to 20% 10%以上至 20%	**3**
☐ d. More than 20% and up to 35% 20%以上至 35%	**4**
☐ e. More than 35% 35%以上	**5**

2.10 Which of the following best describes your investment objective? 以下哪一項最適合形容你的投資目標?	
☐ a. Safety and emergency needs 為安全及緊急需要	**1**
☐ b. Capital preservation and liquidity purposes 保本及作周轉用途	**2**
☐ c. Wealth accumulation (investment returns that can keep up with inflation) 積累財富(投資回報能趕上通脹)	**3**
☐ d. Wealth accumulation (investment returns that can beat inflation by a meaningful margin) 積累財富(投資回報能明顯高於通脹)	**4**
☐ e. Wealth maximization (highest risk, aggressive) 賺取最多財富(高風險及進取)	**5**
2.11 How long do you intend to keep your investment portfolio? 你打算持有你的投資組合多久?	
☐ a. Up to 3 months 最長 3 個月	**1**
☐ b. More than 3 months and up to 6 months 3 個月以上至 6 個月	**2**
☐ b. More than 6 months and up to 12 months 6 個月以上至 12 個月	**3**
☐ d. More than 1 year and up to 3 years 1 年以上至 3 年	**4**
☐ d. More than 3 years 3 年以上	**5**
2.12 Do you have to rely on your investments to meet your liquidity needs? 你是否需要依賴你的投資作周轉用途?	
☐ a. No, I do not have to rely on my investments to meet my liquidity needs. 我不需要依賴我的投資作周轉。	**1**
☐ b. Yes, I have to sell not more than 15% of my investments this year to meet my liquidity needs. 我今年需要出售不多於 15%的投資作周轉。	**2**
☐ c. Yes, I have to sell more than 15% but less than 25% of my investments this year to meet my liquidity needs. 我今年需要出售多於 15%但少於 25%的投資作周轉。	**3**
☐ d. Yes, I have to sell more than 25% but less than 50% of my investments this year to meet my liquidity needs. 我今年需要出售多於 25%但少於 50%的投資作周轉。	**4**
☐ e. Yes, I have to sell more than 50% of my investments this year to meet my liquidity needs. 我今年需要出售多於 50%的投資作周轉。	**5**
TOTAL SCORE 總分	

Section 3: Investment Risk Profile Summary (To be completed by Staff of HANTEC)
第三部份: 投資風險程度總結 （由亨達職員填寫）

Assessment Results/ Comments 評估結果/意見

1) **Your Investment Risk Profile** is 客户可承擔的投資風險程度為:

- ☐ **Conservative** **保守型**
- ☐ **Moderately Conservative** **中度保守型**
- ☐ **Balanced** **平衡型**
- ☐ **Moderately Aggressive** **中度進取型**
- ☐ **Aggressive** **進取型**

2) Due to the following reason(s), you (or any one of the authorized persons of the corporate client) are considered to be a **Vulnerable Client**:
基於以下原因，你（或企業客戶的其中一位獲授權人）被界定為**弱勢客戶**:

- ☐ Aged 65 or above 65 歲或以上
- ☐ With education level of primary school or below 小學或以下的教育程度
- ☐ With visual impairment 有視力障礙

Risk Profile Analysis as Compared to Risk Level of Investment Products
投資產品風險級別與風險取向分析之對比

Investment Risk Profile 投資風險程度	Score 分數	Risk Profile Analysis 風險取向分析 The risk profile analysis of each risk profile mentioned herein is to describe the Client's risk tolerance level under general conditions. 以下就每個風險程度的風險取向分析旨在描述客戶在一般情況下的風險承擔程度。	Risk Level of Investment Products Suitable for your Consideration 可供考慮的投資產品風險級別
Conservative 保守型	1-14	You can only tolerate little price and value fluctuations (i.e. investment risk) for your investment. You also realize that your investment choices may not earn return high enough to match inflation rates in the long run. Nevertheless, you prefer investment products with no or very little price fluctuations. 你可承受少量價格及市值波動（即投資風險）。儘管你亦明白自己的投資選擇所帶來的回報長遠未必能高於通脹率，你仍選擇沒有價格波動或波動較低之投資產品。	RR1
Moderately Conservative 中度保守型	15-28	You can tolerate some price and value fluctuations in order to achieve higher return. However, you do not prefer investment products with wide range of price fluctuations. Moreover, you do not prefer to have a large percentage of risky assets in your portfolios. Your expectation is to have investment returns that keep up with inflation in the long run. 你可承受一些價格及市值波動以換取較高回報，但你並不接受價格波動程度較大的投資產品。此外，你並不希望自己的投資組合持有大比重的具風險資產。你期望投資回報長遠能趕上通脹。	RR2
Balanced 平衡型	29-42	You can tolerate a wide range of price and value fluctuations. You are also willing to have risky assets in your portfolio. By accepting investment products with medium level of investment risk, you hope to achieve a higher investment return that can beat inflation by a meaningful margin in the long run. 你可承受較大的價格及市值波動程度。你願意投資組合內持有具風險之資產。你接受中度投資風險的投資產品，從而希望長遠能獲取明顯高於通脹的回報。	RR3
Moderately Aggressive 中度進取型	43-56	You can tolerate a relatively high level of investment risk and are willing to accept a high price and value fluctuations in order to increase your return. You accept that such a risk is necessary to earn higher return in the long run. 你可承受較高的投資風險及願意接受高的價格及市值波動來增加回報。你接受必需以較高風險換取長遠較高回報。	RR4
Aggressive 進取型	57-70	You can tolerate high level of investment risk and are willing to accept a very high price and value fluctuations in order to maximize your return. You accept that such a high risk is necessary to maximize return in the long run. 你可承受高度投資風險及願意接受很高的價格及市值波動來換取最高的回報。你接受必需以高風險換取長遠最高的回報。	RR5

Disclaimers 免責聲明

This CIRQ and the results should be used only as a reference in making your own investment decisions. This CIRQ and the results are not an offer to sell or solicitation for an offer to buy any financial products and services and they should not be considered as investment advice. The results of this CIRQ are derived from the information provided to HANTEC by you. HANTEC accept no responsibility or liability as to the accuracy or completeness of such information and the results of this CIRQ.

Your preference and investment decision may be different from the results of this CIRQ. Before making any investment decision, you should fully understand the relevant financial product's risks and merits, determine that the investment is consistent with your financial situation, investment knowledge and experience and investment objectives and that you are able to assume all risks.

Personal information collected in this CIRQ will be kept confidential by HANTEC. The information may be used by HANTEC under a duty of confidentiality to HANTEC, for the purposes set out in our Personal Data (Privacy) Collection Statement that has been delivered to you with the relevant account opening documents.

此問卷及所得的分析結果只供你在考慮作出投資決定時作參考之用。此問卷及所得的分析結果並不應被視為是對任何投資產品及服務的銷售或購買邀請，亦不應當為投資建議。此問卷的分析結果乃根據你向亨達提供的資料所得，亨達不會為該等資料的準確性或完整性及問卷結果負上任何責任。

你的風險取向和決定可能與此問卷的分析結果不同。作出任何投資決定前，你應全面了解有關金融產品的風險和回報，確定該投資符合你的財務狀況、投資知識和經驗及投資目標，且有關風險亦在你承受能力之內。

亨達將確保此問卷內的個人資料得到保密。你提供的資料只會在保密的情況下，按亨達已交付予你的有關開戶文件資料內隨附的收集個人資料（私隱）聲明政策所載的目的使用。

Section 4: Confirmation and Declaration by Client
第四部份: 客戶確認與聲明

Client Account No. 客戶帳戶號碼	Client Name 客戶姓名	Name of Authorized Person (For Corporate Account) 獲授權人姓名 （企業帳戶適用）

- I, the undersigned, hereby confirm that contents of this CIRQ, the investment risk profile and the risk profile analysis have been explained to me in a language of my choice (English or Chinese).
- I have been invited to read questions in this CIRQ as well as the disclaimers carefully, to ask questions and to take independent advice if I so wish. I understand that I may also discuss my investment planning and the portfolio with an Account Executive of HANTEC.
- I hereby affirm that all the answers to this CIRQ reflect my current financial situation, investment knowledge experience and investment objectives and they are up-to-date, complete and accurate to the best of my knowledge. I undertake to inform HANTEC about any changes in the above-mentioned information.
- I understand that by filling in the CIRQ incorrectly, HANTEC will not be able to assess the suitability of the requested service. I hereby confirm that I fully understand and agree the results of this investment risk profiling exercise.
- I acknowledge that (i) this CIRQ only serves as a reference for my consideration in making my own investment decisions and the results do not constitute an offer to sell or solicitation for an offer to buy any financial products and services and they should not be considered as investment advice; (ii) the results of this CIRQ are derived from the information provided to HANTEC by me; (iii) HANTEC accepts no responsibility or liability as to the accuracy or completeness of such information and the results of this CIRQ; and (iv) before making any investment decisions, I should fully understand the relevant financial product's risks and merits, determine that the investment is consistent with my financial situation, investment knowledge and experience and investment objectives, and that I am able to assume all risks.
- I shall be making all my own independent investment decision.

- 本人（下述簽署人）在此確認此問卷的內容、投資風險程度和風險取向分析均按本人所選擇的語言（英文或中文）向本人作出解釋。
- 本人應邀仔細閱讀了此問卷內的問題及免責聲明，並提出問題和徵求獨立意見（如本人有此意願）。本人明白亦可與亨達的客戶經理聯絡及討論適合本人的投資計劃及組合。
- 本人在此確認上述答案反映了本人現時的財務狀況、投資知識和經驗及投資目標，上述答案就本人所知屬最新、完整和準確。如上述資料有任何改變，本人承諾通知亨達。
- 本人明白如不正確地填寫此問卷，亨達將不能夠評估所需服務對本人的適合性。本人在此確認本人完全明白及同意此風險評估的結果。
- 本人確認 (i) 此問卷只供我在考慮作出投資決定時作參考之用，此問卷所得的分析結果並不應被視為是對任何投資產品或服務的銷售或購買邀請，亦不應當為投資建議；(ii) 此問卷的分析結果乃根據我向亨達提供的資料所得；(iii) 亨達不會為該等資料的準確性或完整性及問卷結果負上任何責任；及 (iv) 在作出任何投資決定前，我應全面了解有關金融產品的風險和回報，確定該投資符合我的財務狀況、投資知識和經驗及投資目標，及有關風險亦在我承受能力之內。
- 本人作出的任何投資均由本人親自決定。

I hereby acknowledge receipt of a copy of this CIRQ which has been duly completed and signed by me.
本人確認已收妥由本人填妥並簽署此問卷的副本。

X

Client/Authorized Signatory 客戶/授權簽署:

Date 日期:

亨達 證券有限公司 期貨有限公司
HANTEC SECURITIES & FUTURES

Section 5: Staff / A.E. Declaration
第五部份: 職員聲明

Declaration by Staff / A.E. of HANTEC 亨達職員 / 經紀聲明

- I, the undersigned, confirm that the contents of this CIRQ, the investment risk profile and the risk profile analysis have been explained to the Client in a language of the Client's choice (English or Chinese)
- I have also explained and invited the Client to read the Disclaimers, ask questions and take independent advice if the Client wishes.
- A copy of the duly completed and signed CIRQ has been given to the above Client.

- 本人（下述簽署人）確認已按照上述客戶所選擇的語言（英文或中文）向客戶解釋此問卷的內容、投資風險程度及風險取向分析。
- 本人已解釋並邀請客戶閱讀免責聲明、提出問題及徵求獨立意見（如客戶有此意願）。
- 本人已將一份已填妥並簽署此問卷的副本給予上述客戶。

________________________(CE No.: ____________)
Signature of Staff/ A.E. 職員/負責經紀簽署

Name 職員姓名: ____________________ Department 部門: ____________________

For Official Use Only 僅供內部使用

A.E. Code 經紀代號		CIRQ Type 客戶投資風險問卷狀況	☐ New 新填報 ☐ Renewal 續期
Date 日期		Channel 填報渠道	☐ In Person 親身填報 ☐ By Phone, 以電話回覆 Ext. No.內線 ________
Staff Name 職員姓名		Department 部門	Handling Staff Signature 負責職員簽署
Back Office Handling 後台作業	Data Inputted by 資料輸入	Checked By 資料核對人	Account Opening Approved By 開戶批核人
Date 日期			
	Password Sent By (Securities) 股票密碼發送人 Name :	Password Sent By (Futures & Options) 期貨及期權密碼發送人 Name :	Password Sent By (Stock Options) 股票期權密碼發送人 Name :

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，亨達證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：

X

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 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 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屆滿前 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 ______________________ X

Account Name:
戶口名稱 ______________________

A/C No.:
戶口號碼 ______________________

I.D./Passport/C.I.No.:
身份証/護照/公司註冊號碼 ______________________

Date:
日期 ______________________

STANDING AUTHORITY (CLIENT SECURITIES)
客 戶 常 設 授 權 (客 戶 証 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《証券及期貨(客戶証券)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/吾等之証券或証券抵押品，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，本授權書之名詞與証券及期貨條例及証券及期貨(客戶証券)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)
   依據証券借貸協議運用任何本人/吾等的証券或証券抵押品；(只適用於已簽妥証券借貸協議之戶口)
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/吾等的証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/吾等的証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/吾等的証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/吾等的証券抵押品存放於任何其他的認可結算所或任何其他獲發牌或獲註冊進行証券交易的中介人，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 貴公司在進行証券交易及 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/吾等的証券抵押品。

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/吾等之証券或証券抵押品的權利。

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/吾等之証券交易賬戶。

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/吾等的証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/吾等的証券退回本人/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屆滿前 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，本授權書應當作在不需要本人/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 ______________________

Account Name:
戶口名稱 ______________________

A/C No.:
戶口號碼 ______________________

I.D./Passport/C.I.No.:
身份証/護照/公司註冊號碼 ______________________

Date:
日期 ______________________

致　**亨達証券有限公司 (AFL779) / 亨達期貨有限公司 (ARV980)**
香港 中環 雲咸街 1-3 號 南華大廈 12 樓

帳戶號碼: ____________________

自我證明表格 – 個人

重要提示：
- 這是由帳戶持有人向申報財務機構提供的自我證明表格，以作自動交換財務帳戶資料用途。申報財務機構可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- 如帳戶持有人的稅務居民身分有所改變，應盡快將所有變更通知申報財務機構。
- 除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不敷應用，可以新紙填寫。在欄/部標有星號（*）的項目為申報財務機構須向稅務局申報的資料。

第 1 部　個人帳戶持有人的身分識辨資料

（對於聯名帳戶或多人聯名帳戶，每名個人帳戶持有人須分別填寫一份表格）

(1)　帳戶持有人的姓名

稱謂 （例如：先生、太太、女士、小姐） ____________________

姓氏 * ____________________

名字 * ____________________

中間名 ____________________

(2)　香港身份證或護照號碼 ____________________

(3)　現時住址

第 1 行（例如：室、樓層、大廈、街道、地區） ____________________

第 2 行（城市）* ____________________

第 3 行（例如：省、州） ____________________

國家 * ____________________

郵政編碼/郵遞區號碼 ____________________

(4)　通訊地址（如通訊地址與現時住址不同，填寫此欄）

第 1 行（例如：室、樓層、大廈、街道、地區） ____________________

第 2 行（城市） ____________________

第 3 行（例如：省、州） ____________________

國家 ____________________

郵政編碼/郵遞區號碼 ____________________

(5)　出生日期 * （日/月/年） ____________________

(6)　出生地點 （可不填寫）

鎮/城市 ____________________

省/州 ____________________

國家 ____________________

第 2 部　居留司法管轄區及稅務編號或具有等同功能的識辨編號（以下簡稱「稅務編號」）*

提供以下資料，列明（a）帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區（香港包括在內）及（b）該居留司法管轄區發給帳戶持有人的稅務編號。列出**所有**（不限於 5 個）居留司法管轄區。

如帳戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。

如沒有提供稅務編號，必須填寫合適的理由：

理由 A – 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

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

理由 C – 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

居留司法管轄區	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
(1)			
(2)			
(3)			
(4)			
(5)			

第 3 部　聲明及簽署

本人知悉及同意，財務機構可根據《稅務條例》（第 112 章）有關交換財務帳戶資料的法律條文，（a）收集本表格所載資料並可備存作自動交換財務帳戶資料用途及（b）把該等資料和關於帳戶持有人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。

本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人 / 本人獲帳戶持有人授權簽署本表格 #。

本人承諾，如情況有所改變，以致影響本表格第 1 部所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知____________________________（財務機構的名稱），並會在情況發生改變後 30 日內，向____________________________（財務機構的名稱）提交一份已適當更新的自我證明表格。

本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

X

簽署 ____________________

姓名 ____________________

身分 ____________________（如你不是第 1 部所述的個人，說明你的身分。如果你是以受權人身分簽署這份表格，須夾附該授權書的核證副本。）

日期（日/月/年） ____________________

刪去不適用者

警告: 根據《稅務條例》第 80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級（即港幣 10,000）罰款。

Form **W-8BEN**

(Rev. October 2021)

Department of the Treasury
Internal Revenue Service

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

▶ **For use by individuals. Entities must use Form W-8BEN-E.**

▶ **Go to *www.irs.gov/FormW8BEN* for instructions and the latest information.**

▶ **Give this form to the withholding agent or payer. Do not send to the IRS.**

OMB No. 1545-1621

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

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

Part I Identification of Beneficial Owner (see instructions)

1 Name of individual who is the beneficial owner

2 Country of citizenship

3 Permanent residence address (street, apt. or suite no., or rural route). **Do not use a P.O. box or in-care-of address.**

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

Country

4 Mailing address (if different from above)

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

Country

5 U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)

6a Foreign tax identifying number (see instructions)

6b Check if FTIN not legally required ☐

7 Reference number(s) (see instructions)

8 Date of birth (MM-DD-YYYY) (see instructions)

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

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

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

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

Part III Certification

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

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

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

Sign Here ▶

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

X

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

Print name of signer