



加多利證券有限公司 Gary Cheng Securities Limited

Office Address 辦公室地址：
Unit 1201, Elite Centre, 22 Hung To Road, Kwun Tong, Kowloon, Hong Kong
香港九龍觀塘鴻圖道22號俊匯中心12樓01室
Tel. 電話：(852) 2199 6700 Fax. 傳真：(852) 2199 7381
CE No. 中央編號：BG8334 Broker No. 經紀編號：7288

Notes 注意事項：

■ This form should be completed and signed by the Client in the presence of Gary Cheng employee or account executive. Otherwise, Please fill in Non-face to face Account Opening Application Section, also.
客戶必須在加多利的僱員或持牌經紀面前填妥及簽署本表格；如非親身開戶，請同時簽署非親身開戶部份

■ Any deletion or amendment must be initiated by all account holders.
任何刪除或修改必須由客戶簡簽作實。

■ Third-Party cheque(s) cannot be used to settle any trading transaction.
不能以第三者支票交收。

Private & Confidential 資料保密		
<input type="checkbox"/> Individual Account 個人帳戶	<input type="checkbox"/> Cash Account Code 現金帳戶號碼	<input type="checkbox"/> Internet Securities Trading Service 使用互聯網證券買賣服務
<input type="checkbox"/> Joint Account 聯名帳戶	<input type="checkbox"/> Margin Account Code 保證金帳戶號碼	<input type="checkbox"/> Internet Securities Trading Service 使用互聯網證券買賣服務
Account Set Up Date 開戶日期		

Please Attach 請附上：

- Copy of Primary (and Joint) Client's ID card or passport.
個人(及聯名)帳戶持有人的身份證或護照副本。
- Copy of a bank statement or utility bill within the last 3 months for proof of home address.
最近3個月的銀行結單或公共服務單據副本作為提供住址證明。
- If your designated bank account is outside Hong Kong, copy of a bank account statement within the last 3 months.
若指定銀行為香港以外銀行帳戶，請提供最近3個月的銀行結單副本。

THE APPLICANT'S PARTICULARS 申請人資料

Name (in English) Surname Given names <input type="checkbox"/> Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Miss <input type="checkbox"/> Ms		Date of Birth 出生日期 DD / MM / YYYY		Nationality 國籍
姓名(中文) 姓 名 <input type="checkbox"/> 先生 <input type="checkbox"/> 太太 <input type="checkbox"/> 小姐 <input type="checkbox"/> 女士		Identity Card or Passport No. 身份證或護照號碼		
Marital Status 婚姻狀況 <input type="checkbox"/> Single 未婚 <input type="checkbox"/> Married 已婚	Education Level 學歷 <input type="checkbox"/> Primary 小學 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Post Secondary 大專 <input type="checkbox"/> University or above 大學或以上	Sex 性別 <input type="checkbox"/> Male 男性 <input type="checkbox"/> Female 女性		
Residential Address 住址 Flat/Floor/Bldg 室/樓/大廈 <input type="checkbox"/> Owned 自置 <input type="checkbox"/> Rented 租用 <input type="checkbox"/> Others 其他: _____	Business/Office Address 公司地址 Flat/Floor/Bldg 室/樓/大廈	Correspondence Address (if different) 通訊地址(如不同) Flat/Floor/Bldg 室/樓/大廈		
Estate/Court 屋苑	Street/街	Street/街		
District 地區	District 地區	District 地區		
<input type="checkbox"/> H.K. 香港 <input type="checkbox"/> KLN. 九龍 <input type="checkbox"/> N.T. 新界 <input type="checkbox"/> Local 本地 <input type="checkbox"/> Overseas 海外:	<input type="checkbox"/> H.K. 香港 <input type="checkbox"/> KLN. 九龍 <input type="checkbox"/> N.T. 新界 <input type="checkbox"/> Local 本地 <input type="checkbox"/> Overseas 海外:	<input type="checkbox"/> H.K. 香港 <input type="checkbox"/> KLN. 九龍 <input type="checkbox"/> N.T. 新界 <input type="checkbox"/> Local 本地 <input type="checkbox"/> Overseas 海外:		
Home Tel. No. 住宅電話	Name of Current Employer 任職公司名稱	<input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-Employed 自僱		
Mobile Phone No. 手提電話	Nature of Business 業務性質	Business Tel. No. 公司電話號碼		
Home Fax No. 傳真	Position 職銜	Years of Service 服務年資	Business Fax No. 公司傳真	
Personal E-mail 個人電郵				
Name of Designated Bank 指定往來銀行名稱		A/C No. 銀行帳戶號碼		
Method of Statement Collection 收取結單之方式 <input type="checkbox"/> by E-mail 以電郵 <input type="checkbox"/> by Mail 以郵寄		<input type="checkbox"/> Residential Address 住址 <input type="checkbox"/> Business/Office Address 公司地址 <input type="checkbox"/> Correspondence Address 通訊地址		Language of Statement 結單語言 <input type="checkbox"/> Chinese 中文 <input type="checkbox"/> English 英文

THE CO-APPLICANT'S PARTICULARS 聯名帳戶第二申請人資料

For Joint Account Applicant(s) Only
開設聯名帳戶申請者須同時填寫下列部份

Name (in English) Surname Given names <input type="checkbox"/> Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Miss <input type="checkbox"/> Ms		Date of Birth 出生日期 DD / MM / YYYY		Nationality 國籍
姓名(中文) 姓 名 <input type="checkbox"/> 先生 <input type="checkbox"/> 太太 <input type="checkbox"/> 小姐 <input type="checkbox"/> 女士		Identity Card or Passport No. 身份證或護照號碼		
Marital Status 婚姻狀況 <input type="checkbox"/> Single 未婚 <input type="checkbox"/> Married 已婚	Education Level 學歷 <input type="checkbox"/> Primary 小學 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Post Secondary 大專 <input type="checkbox"/> University or above 大學或以上	Sex 性別 <input type="checkbox"/> Male 男性 <input type="checkbox"/> Female 女性		
Residential Address 住址 Flat/Floor/Bldg 室/樓/大廈 <input type="checkbox"/> Owned 自置 <input type="checkbox"/> Rented 租用 <input type="checkbox"/> Others 其他: _____	Business/Office Address 公司地址 Flat/Floor/Bldg 室/樓/大廈	Correspondence Address (if different) 通訊地址(如不同) Flat/Floor/Bldg 室/樓/大廈		
Estate/Court 屋苑	Street/街	Street/街		
District 地區	District 地區	District 地區		
<input type="checkbox"/> H.K. 香港 <input type="checkbox"/> KLN. 九龍 <input type="checkbox"/> N.T. 新界 <input type="checkbox"/> Local 本地 <input type="checkbox"/> Overseas 海外:	<input type="checkbox"/> H.K. 香港 <input type="checkbox"/> KLN. 九龍 <input type="checkbox"/> N.T. 新界 <input type="checkbox"/> Local 本地 <input type="checkbox"/> Overseas 海外:	<input type="checkbox"/> H.K. 香港 <input type="checkbox"/> KLN. 九龍 <input type="checkbox"/> N.T. 新界 <input type="checkbox"/> Local 本地 <input type="checkbox"/> Overseas 海外:		
Home Tel. No. 住宅電話	Personal E-mail 個人電郵	Name of Current Employer 任職公司名稱		<input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-Employed 自僱
Mobile Phone No. 手提電話	Nature of Business 業務性質		Business Tel. No. 公司電話號碼	
Home Fax No. 傳真	Position 職銜	Years of Service 服務年資	Business Fax No. 公司傳真	

FINANCIAL PROFILE
財政概況

Annual Income 每年收入 (HKD 港幣)	<input type="checkbox"/> ≤ \$250,000	<input type="checkbox"/> \$250,001 - \$500,000	<input type="checkbox"/> \$500,001 - \$1,000,000	<input type="checkbox"/> > \$1,000,000
Personal Net Assets 個人資產淨值 (HKD 港幣)	<input type="checkbox"/> ≤ \$500,000	<input type="checkbox"/> \$500,001 - \$1,000,000	<input type="checkbox"/> \$1,000,001 - \$5,000,000	<input type="checkbox"/> > \$5,000,000
Risk Tolerance Level 承受風險程度	Investment Horizon 投資期	Investment Experience 投資經驗		Investment objective 投資目的
<input type="checkbox"/> Aggressive 進取	<input type="checkbox"/> Short Term 短綫	Stock 股票 <input type="checkbox"/> Yes ____ Year(s) 年	Gold/FX/Commodities 黃金/外匯/商品 <input type="checkbox"/> Yes ____ Year(s) 年	<input type="checkbox"/> Asset growth 資產增值
<input type="checkbox"/> Moderate 穩健	<input type="checkbox"/> Medium Term 中綫	Warrants 窩輪 <input type="checkbox"/> Yes ____ Year(s) 年	Mutual Fund 基金 <input type="checkbox"/> Yes ____ Year(s) 年	<input type="checkbox"/> Combat inflation risk 抗通脹
<input type="checkbox"/> Conservative 保守	<input type="checkbox"/> Long Term 長綫	Futures 期貨 <input type="checkbox"/> Yes ____ Year(s) 年	Structured Products 結構性產品 <input type="checkbox"/> Yes ____ Year(s) 年	<input type="checkbox"/> Retirement 退休

KNOWLEDGE OF DERIVATIVES
對衍生工具的認識

Do you have knowledge of derivative product(s)? 你是否對衍生產品有認識?

<input type="checkbox"/> Yes 是 Please indicate one of the followings 並從以下途徑認知			<input type="checkbox"/> No 否
1) Attended training or courses that provide general knowledge of the nature and risks of derivatives 曾接受有關介紹一般衍生產品之性質及風險的培訓或課程	2) Relevant work experience related to derivative products 擁有相關衍生產品的工作經驗	3) Executed at least 5 transactions in any derivative products within past 3 years 在過去三年執行過最少五次有關任何衍生產品的交易	
Name of Institution Providing Courses 提供相關課程之機構	Name of Employer 任職公司名稱	<input type="checkbox"/> Callable Bull/ Bear Contracts (CBBC) 牛熊證 <input type="checkbox"/> Exchange Traded Funds (ETF) 交易所買賣基金 <input type="checkbox"/> Futures or Options 期貨或期權合約交易 <input type="checkbox"/> Others (Please specify) 其他 (請註明)	
Name of Course/ Seminar 課程/研討會名稱	Position 職銜	<input type="checkbox"/> Derivative Warrants 衍生認股證 <input type="checkbox"/> Rights 供股權 <input type="checkbox"/> Stock Options 股票期權	
Period Attended 參與時期 MM / YYYY - MM / YYYY	*** FOR OFFICIAL USE ONLY 供本公司使用***		Applicant is classified as 申請人已被分類為: <input type="checkbox"/> with knowledge in derivative product(s) 對衍生產品有認識 <input type="checkbox"/> without knowledge in derivative product(s) 對衍生產品沒有認識

IDENTITY DECLARATION
身份聲明

Is the Applicant 申請人是否:

1) A senior officer or director of any listed company whose shares are traded on any exchange or market? (If yes, please specify the company name and stock code) 其股份在任何交易所或市場買賣的上市公司之高級人員或董事? (如是, 請說明公司名稱及上市編號)	2) A person licensed by or registered with the SFC or an employee of such organization? (If yes, please state CE no.) 香港證監會註冊人士或該公司的僱員 (如是, 請說明中央編號)	3) A relative of employee of Gary Cheng Securities Limited? (If yes, please state relationship.) 加多利證券有限公司僱員之親屬? (如是, 請陳述其關係)	4) A person holding prominent public office? (If yes, please specify) 擔任重要公職人士? (如是, 請說明)
<input type="checkbox"/> Yes 是 Company Name & Stock code 公司名稱及上市編號	<input type="checkbox"/> Yes 是 CE no. 中央編號	<input type="checkbox"/> Yes 是 Relationship 關係	<input type="checkbox"/> Yes 是 Position 職銜
<input type="checkbox"/> No 否	<input type="checkbox"/> No 否	<input type="checkbox"/> No 否	<input type="checkbox"/> No 否
5) The ultimate beneficiary of the account and transactions 帳戶及交易的最終實益持有人		6) Ultimately responsible for originating the instruction in relation to a transaction 最終負責作出交易指示的人士	7) The only person with authority to operate the account 唯一有權操作此帳戶者
<input type="checkbox"/> No 否 Please fill in the details of ultimate beneficial owner(s) 須同時填寫最終實益持有人詳細資料		<input type="checkbox"/> Yes 是	<input type="checkbox"/> Yes 是
<input type="checkbox"/> Yes 是	Name 姓名 Identity Card or Passport No. 身份證或護照號碼 Relationship with Applicant 與申請人關係 Address 地址	Occupation 職業 Contact No. 聯絡電話	<input type="checkbox"/> No 否 Please complete "Third Party Authorization" 須同時填寫「第三者授權」表格
Gary Cheng Securities Limited normally will not accept Applicant who is not the ultimate beneficiary or not the ultimately responsible person 加多利證券有限公司通常不會接受非最終實益持有人之申請人或非最終負責作出交易指示的人士			Except Joint Account Applicant 開設聯名帳戶人士除外
For Margin Account Applicant(s) Only 只適合保證金帳戶申請者填寫			
To be completed by the <u>Only</u> or <u>First</u> Applicant 由 <u>唯一</u> 或 <u>第一</u> 申請人填寫		To be completed by the <u>Co-Applicant</u> (if any) 由聯名帳戶 <u>第二</u> 申請人填寫 (如適用)	
Is your spouse a margin client of Gary Cheng Securities Limited? If yes, please provide details 申請人配偶是否加多利證券有限公司之孖展客戶? 如是, 請詳細說明。		Is your spouse a margin client of Gary Cheng Securities Limited? If yes, please provide details 申請人配偶是否加多利證券有限公司之孖展客戶? 如是, 請詳細說明。	
<input type="checkbox"/> Yes 是 Name of Spouse 配偶名稱	<input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 Name of Spouse 配偶名稱	<input type="checkbox"/> No 否
Account Code 帳戶號碼		Account Code 帳戶號碼	
Is the Applicant at any time during the past 12 months, directly or indirectly connected or associated with any director, chief executive or substantial shareholders of Gary Cheng Securities Limited (connected person). If yes, please provide details 申請人在過去12個月內, 是否直接或間接跟加多利證券有限公司的任何董事、行政總裁、或主要股東有所關連(關連人士)? 如是, 請詳細說明。			
<input type="checkbox"/> Yes 是 Name of Connected Person 關連人士名稱			<input type="checkbox"/> No 否

APPLICANT'S AGREEMENT & ACKNOWLEDGEMENT

申請人之協議及確認

Please indicate the type of Account you want to make by ticking "√" and signing the appropriate boxes below
請在以下適當的方格加上"√"並在相應空格內簽署

Client Account Opening Execution 客戶開戶執行指示		
<input type="checkbox"/> Cash Account 現金帳戶 Please open a Cash Account for me/us, the undersigned Client(s). I/We have read, understood and accepted the provisions of the Cash Client Agreement as set out in the Standard Terms and Conditions of Gary Cheng Securities Limited and I/We agree to be bound by the same. 請為本人(等)(為下方簽署之客戶)開立現金帳戶。本人(等)已經閱讀並明白在加多利證券有限公司的標準章程中，所載之現金帳戶協議的條款，並接受這些條款的約束。	<input type="checkbox"/> Margin Account 保證金帳戶 Please open a Margin Account for me/us, the undersigned Client(s). I/We have read, understood and accepted the provisions of the Margin Client Agreement as set out in the Standard Terms and Conditions of Gary Cheng Securities Limited and I/We agree to be bound by the same. 請為本人(等)(為下方簽署之客戶)開立保證金帳戶。本人(等)已經閱讀並明白在加多利證券有限公司的標準章程中，所載之保證金帳戶協議的條款，並接受這些條款的約束。	
Applicant's Signature 申請人簽署 Date 日期:	Co-Applicant's Signature (if any) 聯名帳戶第二申請人簽署 (如適用) Date 日期:	<input checked="" type="checkbox"/> _____ Witness Signature 見證人簽署 Witness Name Witness Occupation 見證人姓名 見證人職業 _____ Date 日期
Internet Securities Trading Execution 互聯網證券交易執行指示		
For Internet Securities Trading Service Account Applicant(s) Only 只適用於使用互聯網證券交易申請者填寫		
<input type="checkbox"/> Cash Account 現金帳戶 <input type="checkbox"/> Internet Securities Trading Service 互聯網證券買賣服務	<input type="checkbox"/> Margin Account 保證金帳戶 <input type="checkbox"/> Internet Securities Trading Service 互聯網證券買賣服務	
I/We declare that I/We want to use the Internet Securities Trading Service. I/We have read, understood and accepted the provisions of the Internet Securities Trading Agreement as set out in the Standard Terms and Conditions of Gary Cheng Securities Limited and I/We agree to be bound by the same. 本人(等)聲明欲使用互聯網證券交易服務。本人(等)已經閱讀並明白在加多利證券有限公司的標準章程中，所載之互聯網證券交易協議的條款，並接受這些條款的約束。		
Applicant's Signature 申請人簽署 Date 日期:	Co-Applicant's Signature (if any) 聯名帳戶第二申請人簽署 (如適用) Date 日期:	<input checked="" type="checkbox"/> _____ Witness Signature 見證人簽署 Witness Name Witness Occupation 見證人姓名 見證人職業 _____ Date 日期
Non-face to face Account Opening Application Only 只適用於非親身開戶人士		
Declaration by Client 客戶聲明		Declaration by Witness 見證人聲明
In case I/We execute this Account Application not in the presence of a Gary Cheng Securities Limited licensed representative, or in case I/We execute this Account Application in accordance with any non-face to face procedures as may be permitted by the applicable laws and/or regulatory requirements, I/We confirm that I am/We are aware that (1) Gary Cheng Securities Limited will contact me/us via telephone (follow-up call) to explain to me/us the Risk Disclosure Statements and, if applicable, the Risk Disclosure Information before permitting me/us to trade under any account to be opened under this Account Application, and (2) if I/We do not confirm that I/We fully understand and accept the relevant risks during such follow-up call, I/We can immediately withdraw this Account Application and have the Account Application Form and supporting documents returned to me/us. 若本人(等)非在一名加多利證券有限公司持牌代表前簽署此開戶申請表，或本人(等)在適用法律及/或監管規定准許的情況下根據非親身開戶程序簽署此開戶申請表，本人(等)確認知悉(1)在本人(等)獲准在根據此開戶申請表開立的帳戶內進行交易前，加多利證券有限公司將會電話聯絡本人(等)(跟進電話)以解釋風險披露聲明或其風險披露資料(若適用)；及(2)若本人(等)在跟進電話中不確認本人(等)完全明白並接受有關的風險，本人(等)可以立刻取消有關申請並取回此開戶申請表及相關證明文件。		I am a* Justice of the Peace/branch manager of a licensed bank/practicing lawyer/certified public accountant/notary public. I hereby certify that on the date above written in this Account Application was executed by the Applicant named in this Account Application who had been previously identified by production of the original of his/her identity card or passport in my presence. *Please delete as appropriate. 本人乃*太平紳士/持牌銀行分行總理/執業律師/執業會計師/公證人。本人證實：於以上所寫的日期當日，本開戶申請表乃由本開戶申請表所指名的申請人於本人面前簽訂。 *請刪去不適用者。
Applicant's Signature 申請人簽署 Date 日期:	Co-Applicant's Signature (if any) 聯名帳戶第二申請人簽署 (如適用) Date 日期:	<input checked="" type="checkbox"/> _____ Witness Signature 見證人簽署 Witness Name Witness Occupation 見證人姓名 見證人職業 _____ Date 日期
3 of 6		Client's Initial 客戶簡簽

Declaration by Client
客戶聲明

I/We, the undersigned Client(s) certify that the above information is accurate and complete. I am /We are aware that Gary Cheng Securities Limited reserves the right to cancel my/our application at any time if the information given in this application is found to be untrue.

本人(等)為下方簽署客戶，確認以上資料皆屬實，本人(等)明白若發現任何刻意隱瞞之事實，加多利證券有限公司將保留取消此申請之權利。

I/We also confirm that the RISKS OF TRADING IN EXCHANGE-TRADED STRUCTURED PRODUCTS (e.g. derivative warrants, callable bull/bear contracts) contained in the above-mentioned Risk Disclosure Statements have been explained to me/us and I/We have understood the contents thereof.

本人(等)確認已獲載於以上風險披露聲明之『買賣交易所買賣之結構性產品及衍生工具(例如：衍生權證、牛熊證)的一些相關風險』之解釋，且本人已明白其內容。

I/We understand that Gary Cheng Securities Limited will rely on the above information to assess whether I/We have acquired the knowledge of derivative products.

本人(等)明白貴司將會根據以上資料來評核本人(等)是否對衍生產品有認識。

I/We acknowledge receipt of the Standard Terms and Conditions of Gary Cheng Securities Limited.

本人(等)確認已收取了加多利證券有限公司之標準章則。

I/We have read and fully understood the contents of this Account application and the Client Agreement and agreed to be bound by them.

本人(等)已經閱讀並完全明白開戶申請表及客戶協議之內容，並同意受其等所約束。

I/We confirm that the Risk Disclosure Statements, and, if applicable, Risk Disclosure Information, in or accompanying the Client Agreement have been provided in a language of my choice (English or Chinese) and that I/We have read and accepted the nature and contents thereof. I/We appreciate that they are not and cannot be taken as a comprehensive or exhaustive list of all possible risks. I/We confirm that I/We have been given the opportunity to ask questions and seek independent advice if I/We so wish.

本人(等)確認載或附於客戶協議之風險披露聲明已按本人選擇之語言(英文或中文)提供予本人，及本人(等)已閱讀、瞭解和接受其(其等(若適用))性質和內容。本人(等)明白這不是而且不能被當為一份完全或徹底列舉所有潛在風險的清單。此外，本人(等)已被給予機會提出問題及徵求獨立的意見(若本人(等)有此意願)。

Declaration by Staff
職員聲明

I, a licensed or registered person, hereby declare that I have provided the client with a copy of the Risk Disclosure Statement and the Risk Disclosure Statement in the Internet Securities Trading Agreement (if applicable) in a language of the client's choice (English or Chinese).

本人，以持牌人或註冊人身份，確認本人已按照下方簽署客戶所選擇的語言(英文或中文)提供風險披露聲明及互聯網證券交易協議所載之風險披露聲明(如適用)。

I have invited the client to read the Risk Disclosure Statement referred to the Cash Client Agreement and/or the Margin Client Agreement, and the Risk Disclosure Statement in the Internet Securities Trading Agreement (if applicable).

本人已提示客戶閱讀現金客戶協議書及/或保證金客戶協議書內之風險披露聲明及互聯網證券交易協議所載之風險披露聲明(如適用)。

I have invited the client to read the Risk Disclosure Statement in relation to the trading of RMB securities and derivative products and explained the relevant risks associated with the derivative products to the Client who is characterized as:

with knowledge of derivatives.

without knowledge of derivatives.

本人已提示客戶閱讀風險披露聲明內有關買賣人民幣證券及衍生產品的條款，並已對被分類為對衍生產品

擁有認識的客戶

沒擁有認識的客戶

解釋衍生產品所附帶的相關風險。

I have encouraged the client to ask questions and seek independent advice if the client so wishes.

本人已鼓勵客戶有需要可以提出問題及徵求獨立的意見。

Applicant's Signature
申請人簽署

Date 日期:

Co-Applicant's Signature (if any)
聯名帳戶第二申請人簽署 (如適用)

Date 日期:

Licensed or Registered Person Signature
持牌人或註冊人簽署

Name of Licensed or Registered Person CE No.
持牌人或註冊人姓名 中央編號

Date 日期

Accepted and acknowledged by:
For and on behalf of
Gary Cheng Securities Limited

Authorized Director(s)/ Responsible Officer(s) Signature with Company Chop
獲授權董事/負責人簽署及公司印章

Date 日期

*** FOR OFFICIAL USE ONLY 供本公司使用***

Name of AE 客戶主任姓名	Years Client known to AE 客戶與客戶主任相識年期	Introduced by 介紹人	Documentation Checked by 文件查核	Approved by 批准
Brokerage 佣金	Min. 最低佣金	Credit Limit 信貸額	Interest Rate 利率	Bank and Credit references obtained 已獲銀行及信貸參考
				Client A/C Code 客戶編號

LETTER OF AUTHORIZATION
授權通知書

To 致: Gary Cheng Securities Limited 加多利證券有限公司
Unit 1201, Elite Centre, 22 Hung To Road, Kwun Tong, Kowloon, Hong Kong
香港九龍觀塘鴻圖道22號俊匯中心12樓01室

LETTER OF AUTHORIZATION FOR SECURITIES COLLATERAL
抵押證券授權書

For Margin Account Applicant(s) Only
只適用於開設保證金帳戶申請者填寫

Re: Authority under section 148 of the Securities and Futures Ordinance and the Securities and Futures (Client Securities) Rules made under that section to lend or deposit securities
根據【證券及期貨條例】(第148及其下之證券及期貨(客戶證券)規則)

This letter of authority covers securities deposited with you as collateral.
本授權書是有關一切由 貴司代表本人(等)存於 貴司處作為抵押品之證券。

This letter authorizes you to:-
本授權書授權 貴司:-

- (1) deposit any of my/our securities with an authorized financial institution (as defined by the Banking Ordinance) as collateral for financial accommodation provided to you;
將本人(等)之證券存於一認可財務機構(根據<銀行條例>所作之定義)·作為向 貴司提供財務通融之抵押品。
- (2) lend or deposit any of my/our securities to fulfill settlement obligations between the exchange participants of Hong Kong Exchanges and Clearing Limited ("HKEX"). Any lending or depositing must be in accordance with the regulations of HKEX; and
貸出或存放任何本人(等)之證券·以完成香港交易及結算有限公司(「港交所」)的交易所參與者之間之交收責任·任何證券貸出或存放須依照聯交所規則進行;及
- (3) deposit any of my/our securities with Hong Kong Securities Clearing Company Limited ("HKSCC") as collateral for the discharge and satisfaction of your clearing obligations and liabilities under the General Rules of the Central Clearing and Settlement System. 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(等)之證券存於香港中央結算有限公司(「香港結算」)·作為該機構之抵押品·以履行並完成閣下(根據<中央結算系統一般規則>)之結算責任·本人(等)明白中央結算因應 貴司的責任而對本人(等)之證券設定為第一固定押記。

You may do any of these things without giving me/us notice. I/We acknowledge that this authority shall not affect your right to dispose of my/our securities in settlement of:-
貴司可以做以上任何事情毋須通知本人(等)·本人(等)確認本授權書不影響 貴司為以下目的而處罰本人(等)之證券的權利

- (1) my/our obligation to maintain the Margin (as defined in the Margin Client Agreement);
履行本人(等)維持保證金的義務(根據<保證金客戶協議書>所作之定義);
- (2) any of my/our liability to repay or discharge the financial accommodation provided by you;
履行本人(等)償還或解除由 貴司所提供的財務通融的法律責任;
- (3) any of my/our liability to settle a transaction in securities against which collateral has been provided by me/us; or
履行本人(等)就某證券交易進行交收的法律責任·而本人(等)已就該法律責任提供抵押品;或
- (4) any of my/our liability owed to you for dealing in securities which remains outstanding after you have disposed of all other assets designated as collateral for securing the settlement of that liability.
履行本人(等)就證券交易而對 貴司負有的法律責任·而該法律責任是指在 貴司已將指定作為保證履行該法律責任的抵押品的所有其他資產處置後仍未履行的法律責任。

This authority is given to you in consideration of your agreeing to continue to maintain the securities margin account for me/us.
此賦予 貴司之授權乃鑒於 貴司同意繼續維持本人(等)之證券保證金帳戶。

You are accountable to me/us for the return of any securities lent, deposited or delivered under this authority.
貴司仍須就根據本授權書貸出·存放或交收之任何證券的歸還向本人(等)負責。

This authority is valid from the date of this letter and will expire on 31st DEC _____ but it may be renewed for subsequent periods of 12 months with my/our consent or automatically if I/We do not object to a written renewal notice that you will send to me/us. I/We understand that I/We may revoke the Authority by giving you written notice provide that I/We have settled all outstanding debts due to you and such notice shall take effect upon the expiry of 14 business days from the date of your actual receipt of such notice.

授權書的有效日期由本信日期開始·並於_____年12月31日後無效·但可以在本人(等)同意下另授權續約·或在本人(等)就 貴司將發出的續約通知書不提出反對下自動續約·每週期為12個月·本人(等)明白本人(等)可以在清還所有欠款後向 貴司發出書面通知撤回授權書·通知在 貴司收訖該等書面通知後14個工作天屆滿時生效。

This letter has been fully explained to me/us, and I/We understand the contents of this letter.
本函件已全部向本人(等)解釋清楚·本人(等)明白本函件的內容。

Applicant's Signature
申請人簽署

Name of Applicant 申請人姓名

ID/ Passport No. 身份證/護照號碼

Date 日期

Co-Applicant's Signature (if any)
聯名帳戶第二申請人簽署 (如適用)

Name of Co-Applicant 第二申請人姓名

ID/ Passport No. 身份證/護照號碼

Date 日期

To 致: Gary Cheng Securities Limited 加多利證券有限公司

Unit 1201, Elite Centre, 22 Hung To Road, Kwun Tong, Kowloon, Hong Kong
香港九龍觀塘鴻圖道22號俊匯中心12樓01室

Joint Account Mandate
聯名帳戶開戶委託書

For Joint Account Applicants Only
只適用於開設聯名帳戶申請者填寫

We, the undersign
本人等(請填全名)

(Applicant 第一申請人)

(Co-Applicant 第二申請人)

HEREBY REQUEST YOU AND AUTHORIZE YOU:

茲聯同請求及授權 貴公司辦理下列各項事宜:

- (1) To open and/or continue an account with you in our joint names and at any time hereafter to open such further accounts in our joint names as any one/all of us may from time to time direct.
用本人等聯名在 貴公司開立或繼續開立股票買賣帳戶(現金或保證金帳戶)·並得於今後隨時依照本人等之中任何一人/全體所指示·代本人等聯名另行開立戶口。
- (2) To honour and pay bills of exchange, drafts, promissory notes or orders for payment, drawn, accepted, or made, or accept and act upon receipts for monies overdrawn by us, or for monies owing by us to you on any account whatsoever, or any other documents, or written instructions of whatsoever nature, kind or description, and to debit the same to our joint account or accounts provided such drafts, bills, notes, orders, receipts, documents, or instructions are signed by any one/all of us; the signature of each of us is appended hereunder, any to carry out any instruction of anyone/all of us in connection with our joint account or accounts notwithstanding that any such debiting or carry out may:-
該聯名戶口所發出之支付憑票或在 貴公司透支款項之收據或本人等聯名在 貴公司存款之滙票、本票、支票、承兌票據、付款通知、收據或任何其他文件或書面指示·倘經本人等任何一人/全體*簽署(式樣如下)均得照予支帳·並得依照本人等任何一人/全體*之指示處理一切與各該聯名戶口有關事宜·而該等指示即使引致下列情況·仍屬有效:
(i) Direct a transfer to an account in the individual name of anyone of us.
由聯名戶口調撥款項轉入本人等任何一人之私人戶口。
(ii) Require you to make payment to anyone of us.
要求 貴公司付款給予本人等之任何一人。
(iii) Cause such joint account or accounts to be in debit, or any debit balance hereon to be increased but without prejudice to your right to refuse to allow any such debit balance or increase in debit balance.
引致各該聯名戶口產生透支或增加透支數額情況·但如有此等情況 貴公司得保留拒絕透支或增加透支數額之權利。

And we shall be jointly and severally responsible for the repayment on demand of any such debit balance and interest, and of any money that you may from time to time advance to us on any joint loan account together with interest hereon.
本人等茲同意個別及聯同負責·一經 貴公司通知·即當如數將所有透支款項連同應付利息及其他一切由本人等聯名向 貴公司借到之款項連同應付利息一併清償·絕無異議。

- (3) Without in any way limiting the foregoing general request to make at the request of anyone/all of us any advance to use by way of loan, advance, discount, or in any manner howsoever with or without security.
除上列範圍外·貴公司亦可接納本人等任何一人/全體*之請求·以放款、透支、貼現或任何其他方式·不論有抵押或無抵押。
- (4) Without in any way limiting the foregoing general request to make at the request of anyone/all of us any securities, deeds, boxes, and parcels, and their contents, and property of any description held in our joint names.
同時亦可接納本人等任何一人/全體*之請求移交由本人等聯名寄存 貴公司之任何證券、契據、包裹或其他財物給予指名人仕收受。
- (5) To accept for collection any cheque, or other documents payable to anyone or more of us, and to credit the proceeds thereof to our joint account or accounts, even though such cheque, order, or document has not been endorsed by the payee or payees thereof.
由本人等存入 貴公司而列明本人等任何一人或多人為受款人之支票·支付委託書或其他票據·雖未經受款人背書·仍均可由 貴公司接受代受·收受後記入本人等聯名戶口。
- (6) To place to the credit of our joint account or accounts, all sums of money, interests, dividends etc., which you may receive on account of anyone or more of us, or our joint and several account or on joint account.
貴公司代本人等個別或聯名收受之一切款項·包括利息、股息等等·均可照數記入本人等聯名帳戶內。
- (7) Subject to any claim or objection of the part of the Estate Duty Commissioner or any other appropriate authority, to hold on the death of anyone of us any credit balance or balances of any account or accounts in our joint names, and any securities deeds, boxes, and parcels, and their contents and property of any description held in our joint names to the order of the survivors of survivor of us or the executors or administrators of the last survivor of us without prejudice to any right you may have in respect of such balance or balances, securities etc., arising out of any lien, charge, set-off counter claim, or otherwise whatsoever, or any step or any legal proceedings which you may in your absolute discretion deem it desirable to take in view of any claim by any person, other than the survivors or survivor of us or the executors or administrators of the last survivor of us.
除香港遺產稅徵收主任或其他政府機關有提出要求或提出反對等情況外·貴公司可於本人等中任何一人身故後·代為保管各該聯名戶口之存款·與及本人等聯名寄存 貴公司之任何證券、契據、包裹或其他財物·而依照生存在世之本人等唯一生存者之遺產承辦人或管業人之指示加以處理·而不得損害 貴公司對存款、證券等等應有之留置權、抵押權、典質權、比對權·及要求或任何其他權利為原則·又除本人等中之生存者或其遺產承辦人或管業人可外·不論何人·如有要求享受該存款、證券等等之權益者·貴公司亦有斟酌選擇之絕對自由·對該等人士採取任何合乎需要之步驟或向法院提出任何訴訟程序。

We agree that any liability whatsoever incurred to you by us in respect of the foregoing shall be our joint and several liabilities.
如有因此請求及授權 貴公司處理上述事項而致產生債務者·本人等同意個別及共同負責。

We agree to observe and be bound by such of your Rules for the time being in force as will be applicable to the appropriate nature of each of our accounts provided that if there is any conflict between the said Rules on the one hand and the foregoing terms and conditions contained herein on the other hand, the latter shall prevail.
本人等同意遵守 貴公司所訂有關而適用於本人等在 貴公司所開立每一戶口之章程·及接受該等章程約束至於該等章程與本委託書互有抵觸之處·則應以本委託書訂定之條文為準。

If there is a discrepancy between the English and Chinese versions of this Document, the English version shall prevail.
本文件之中英版本義如有歧義·請以英文版本為準。

In the absence of contrary written instructions signed by all of us, the foregoing conditions shall apply to each and every account of whatever nature now or hereafter opened by you in our joint names.
上列條文均適用於 貴公司此次或日後代本人等開立之聯名戶口·直至本人等以聯名簽署之書面通知取消為止。

Applicant's Signature
申請人簽署

Date 日期:

Co-Applicant's Signature
聯名帳戶第二申請人簽署

Date 日期:

This form must be completed by any individual who wishes to open a securities trading account.
所有欲開立證券帳戶的個人客戶必須填寫此表格。

Please complete in **BLOCK LETTERS** 請用**正楷填寫**

Identity Document Type: 身份證明文件種類：	<input type="checkbox"/> Hong Kong Identity Card 香港身份證	<input type="checkbox"/> Passport 護照	<input type="checkbox"/> Others: 其他： _____
Identity Document Number 身份證明文件號碼：	_____		
Name 姓名：	_____		
Country of Residence 居住國家：	_____		
Country of Birth 出生地：	_____		
Please check "✓" Yes or No for each of the following questions: 請在是或否的方格內加上“✓”號以回答以下問題：			
	Yes 是	/	No 否
1. Are you a U.S. Resident? 閣下是否美國居民？	<input type="checkbox"/>		<input type="checkbox"/>
2. Are you a U.S. Citizen? 閣下是否美國公民？	<input type="checkbox"/>		<input type="checkbox"/>
3. Do you hold a U.S. Permanent Resident Card (Green Card)? 閣下是否持有美國永久居民身份證(綠卡)？	<input type="checkbox"/>		<input type="checkbox"/>

To: Gary Cheng Securities Limited
致：加多利證券有限公司

I hereby confirm the information provided above is true, accurate and complete.
本人確認以上所提供的資料是真實、準確及完整。

Subject to applicable local laws, I hereby consent for Gary Cheng Securities Limited to share my information with domestic and overseas regulators or tax authorities where necessary to establish my tax liability in any jurisdiction.
在不抵觸當地適用法律的情況下，本人同意加多利證券有限公司可向本地及海外的監管機構或稅務機構提供本人的個人資料以確立本人於任何司法管轄區的稅務責任。

Where required by domestic or overseas regulators or tax authorities, I consent and agree that Gary Cheng Securities Limited may withhold from my account(s) such amounts as may be required according to applicable laws, regulations and directives.

因應本地或海外的監管機構或稅務機構需要，本人准許並同意加多利證券有限公司可按適用的法律、法規和指令在本人帳戶中扣留相關所須的金額款項。

I undertake to notify Gary Cheng Securities Limited within 30 calendar days if there is a change in any information which I have provided to Gary Cheng Securities Limited.

本人保證本人向加多利證券有限公司所提供的任何資料如有變更，本人會於30日內通知加多利證券有限公司。

Signature 簽署： _____

S.V.

Date 日期： _____

Remarks: Every person of individual/joint account holder should fill in one separate of this form and W-8/W-9 before account opening.
備註：每一位個人或聯名戶口持有人於開立戶口前，須每人分別填寫本表格及W-8/W-9表格。

FATCA Overview 外國賬戶稅務合規法案概述

There are a number of substantial changes being made by financial regulators, governments and banks across the world, to ensure the protection and long-term safety of both the financial system and our customers' interests.

全球金融監管機構、政府及銀行正在實施一系列改革措施，以確保能長遠保障金融系統及客戶利益。

One of these regulations is the Foreign Account Tax Compliance Act (FATCA), effective from 30 June 2014 that primarily aims to prevent tax evasion by US taxpayers using non-US financial institutions and offshore investment instruments.

其中一項新規則「外國賬戶稅務合規法案(FATCA)」將於2014年6月30日起生效。FATCA是一項美國法案，主要防止美國納稅人利用非美國金融機構及離岸投資工具逃避美國稅項。

Impact to GCS and our Customer 對加多利及客戶的影響

Gary Cheng Securities Limited ("GCS") is committed to becoming fully FATCA compliant. To comply with the new regulations, GCS may be contacting you to request further information or documentation in order to verify your tax status under FATCA.

加多利證券有限公司("加多利")將全面遵守外國賬戶稅務合規法案。為遵守有關新規定，加多利或需與閣下聯繫，要求進一步的資料或文件，以便核實閣下的稅務狀況。

Frequently Asked Question 常見問題

<p>1. What is FATCA? 甚麼是外國賬戶稅務合規法案?</p>	<ul style="list-style-type: none"> - FATCA is United States ("US") legislation that primarily aims to prevent tax evasion by US taxpayers by using non-US financial institutions and offshore investment instruments. 外國賬戶稅務合規法案是一項美國法案，主要旨在防止美國納稅人利用非美國金融機構及離岸投資工具逃避美國稅項。
<p>2. Which customers are affected by FATCA? 那些客戶會受到影響?</p>	<ul style="list-style-type: none"> - FATCA will mostly affect customers who are treated as US Persons for US tax purposes and customers who have been identified as having links to the US, such as with US nationality, place of birth in US, a US mailing address or a US telephone number. 外國賬戶稅務合規法案主要會影響在美國納稅法案下被定義為"美國人"的客戶及對有表徵顯示與美國有關聯(例如擁有美國國籍，在美國出生，顯示美國的郵寄地址或美國的電話號碼)的客戶。 - FATCA will also affect non-US entity customers who are substantially owned by US Persons. 此外，由美國人持有重大權益的非美國機構客戶均會受到外國賬戶稅務合規法案的影響。
<p>3. What do GCS have to do to comply with FATCA? 加多利會做甚麼以遵守外國賬戶稅務合規法案?</p>	<ul style="list-style-type: none"> - FATCA requires GCS to identify accounts held directly or indirectly by US Persons and to report the relevant account information to the US Internal Revenue Services (the "IRS"). 外國賬戶稅務合規法案要求加多利識別由美國人直接或間接持有的賬戶，並向美國國稅局申報相關賬戶資料。 - In order to ascertain customers' US or non-US tax status, FATCA requires GCS to collect additional information or documentation from customers. 為確定客戶之美國或非美國稅務身份，外國賬戶稅務合規法案要求加多利收集客戶額外資料或文件。 - Where customers fail to provide the requested information or documentation, GCS are required to apply a 30% US withholding tax on certain types of US source income paid to such customers who have not provided the requested information or documentation, or who have provided incomplete information or documentation. 如客戶未能提供所需的額外資料或文件，加多利在支付指定的源自美國收入予該類客戶時，需按30%稅率扣繳美國預提稅。
<p>4. What information may GCS report to the IRS? 加多利將提供甚麼客戶賬戶資料予美國國稅局?</p>	<ul style="list-style-type: none"> - GCS are required to report information on certain account holders, including name, address, US Taxpayer Identification Number, account number, account balance to the IRS directly or through the local competent authority. 加多利須直接或通過本地的相關機構向美國國稅局申報某些客戶賬戶資料，包括姓名、地址、美國稅編碼、賬戶號碼及賬戶餘額予美國國稅局。 - For a non-US entity substantially owned by US Persons, GCS are required to also report information of the entity's US owners. 對於由美國人持有重大權益的非美國機構，加多利須申報其美國擁有人的資料。
<p>5. What is the consequence if customers do not provide the requested information or documentation? 如客戶不願意提供加多利所需資料或文件，會有甚麼後果?</p>	<ul style="list-style-type: none"> - Subject to applicable local laws, GCS would be required to report such account information on a pooled basis to the IRS directly or through the local competent authority. 在不抵觸本地適用法律的情況下，加多利需按匯總的方式直接申報或通過本地的相關機構申報該類客戶的賬戶資料予美國國稅局。 - GCS would be required to apply a 30% US withholding tax on certain types of US source income paid to such customers who have not provided the requested information or documentation, or who have provided incomplete information or documentation. 當加多利支付指定的源自美國收入予客戶時，或需按30%稅率扣繳美國預提稅。 - GCS may decline account opening applications or terminate services to such customers. 加多利或會不接受其開戶申請或終止其服務。
<p>6. What types of information or documentation that GCS may request from customers? 加多利會要求客戶提供甚麼類型的資料或文件?</p>	<ul style="list-style-type: none"> - GCS may request customers to provide US tax forms (W-8/W-9 Forms) or a self-certification form to support the customers' claim of their non-US or US tax status. 加多利或會要求客戶提供美國稅務表格(W-8/W-9類表格)或客戶外國賬戶稅務合規法案身份的自我聲明書以確定其非美國或美國的稅務身份。 - Where applicable, GCS may also request customers provide a consent form that enables GCS to report relevant account information to the IRS. 此外，(如適用)加多利或會要求客戶提供同意書，容許銀行申報其賬戶資料予美國國稅局。
<p>7. How and where can customers get additional assistance 客戶如何及可在哪裡得到有關外國賬戶稅務合規法案的進一步協助?</p>	<ul style="list-style-type: none"> - Please note that GCS are unable to offer US Tax advice. For tax related questions, customers should seek advice from professional tax advisors or refer to the IRS website. 加多利不能向客戶提供美國稅務意見。就有關稅務問題，客戶應自行向專業稅務顧問尋求意見或參考美國國稅局網頁。

Reference 參考資料

1. http://www.hkex.com.hk/chi/market/clr/specialtopics/fatca_c.htm
2. <http://www.irs.gov/Businesses/Corporations/Foreign-Account-Tax-Compliance-Act-FATCA>

Individual customers should complete this form. Sole trader customers should also complete this form with the owner's information.
個人客戶須填寫本表格。獨資業務客戶亦須以擁有人的資料填寫本表格。

If you need to self-certify on behalf of an entity (which includes businesses, trusts and partnerships), complete an "Entity Tax Residency Self-Certification Form" (CRS-E). Similarly, if you are a controlling person of an entity, complete a "Controlling Person Tax Residency Self-Certification Form" (CRS-CP). You can find these forms at http://www.garychengsec.com/en/download_area.php.
如閣下需代表實體(包括企業、信託和合夥)作自我證明,請填寫『實體稅務居民身分自我證明表格』(CRS-E)。同樣地,如閣下是實體控股人,請填寫『控股人稅務居民身分自我證明表格』(CRS-CP)。這些表格載於http://www.garychengsec.com/tc/download_area.php。

Even if you have already provided information in relation to the United States Government's Foreign Account Tax Compliance Act ("FATCA"), you may still need to provide additional information for the CRS as this is a separate regulation.
即使閣下已根據美國政府《外國賬戶稅務合規法案》(簡稱「FATCA」)提供所需資料,閣下仍可能需就CRS提供額外資料,因為兩者為獨立的規例。

If you are completing this form on behalf of someone else, please ensure that you let them know that you have done so and tell us in what capacity you are signing in Part 3. For example, you might be completing this form as a custodian or nominee of an account or under a Power of Attorney.
如閣下代表他人填寫本表格,請確保他們知悉此事,並在表格的第3部說明你以何種身分簽署本表格。例如:閣下可能是以帳戶的託管人或代名人身分或根據授權書以授權人身分填寫本表格。

Important Notes 重要提示

- 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.
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。
- An account holder should report all changes in his/her tax residency status to the reporting financial institution.
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。
- 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.
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夠應用,可另紙填寫。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。

Part 1: Identification of Individual Account Holder

第1部:個人帳戶持有人的身分辨識資料

(For joint account holders, please complete a separate form for each individual account holder. 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。)

Note 注意: Please tick where applicable. 請在適當的地方加上剔號。

(1) Name of Account Holder 帳戶持有人的姓名	Title 稱謂: <input type="checkbox"/> Mr 先生 <input type="checkbox"/> Mrs 太太 <input type="checkbox"/> Miss 小姐 <input type="checkbox"/> Ms 女士 <input type="checkbox"/> Other 其他: _____		
(2) Hong Kong Identity Card or Passport Number 香港身分證或護照號碼		Passport Issuing Country 護照簽發國家	
(3) Current Residence Address 現時住址	Suite/Floor/Building/Street/District 室/樓層/大廈/街道/地區 *City 城市 Province/State 省/州 *Country 國家 Post Code/ZIP Code 郵政編碼/郵遞區號碼		
(4) Mailing Address 通訊地址 (Complete if different to the above current residence address 如通訊地址與上邊現時住址不同,填寫此欄。)	Suite/Floor/Building/Street/District 室/樓層/大廈/街道/地區 City 城市 Province/State 省/州 Country 國家 Post Code/ZIP Code 郵政編碼/郵遞區號碼		
(5) *Date of Birth 出生日期	DD	MM	(6) Place of Birth 出生地點

Part 2: *Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN")

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

Please complete the following table and indicating **all** (not restricted to five) 請提供以下資料，並列明**所有**（不限於5個）：

(a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes; and

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) the account holder's TIN for each jurisdiction indicated.

該居留司法管轄區發給帳戶持有人的稅務編號。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number (HKID).

如帳戶持有人的香港稅務居民，稅務編號是帳戶持有人的香港身份證號碼。


If a TIN is unavailable, provide the appropriate reason A, B or C 如沒有提供稅務編號，必須填寫合適的理由：

- | | |
|------------|--|
| # Reason A | - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents. |
| 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。 |
| 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. |
| 理由 B | - 帳戶持有人不能取得稅務編號。如選取這一理由，請解釋帳戶持有人不能取得稅務編號的原因。 |
| 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. |
| 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。 |

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	# Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號， 填寫理由A、B或C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 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)			

Part 3: Declarations and Signature

第3部：聲明及簽署

To: Gary Cheng Securities Limited 致：加多利證券有限公司	
I acknowledge and agree that (a) the information contained in this form is collected and may be kept by Gary Cheng Securities Limited (the "Company") 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 Company 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). 本人知悉及同意，加多利證券有限公司（「貴司」）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。	
I certify that I am the account holder (or I am authorized to sign for the account holder) of all the account(s) currently held with the Company by the individual identified in Part 1 of this form. 本人證明，就有關本表格第1部所述的個人現於貴司持有的所有帳戶，本人是帳戶持有人（或本人獲帳戶持有人授權代其簽署）。	
I undertake to advise the Company 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 the Company with a suitably updated self-certification form within 30 days of such change in circumstances. 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，本人會通知貴司，並會在情況發生改變後30日內，向貴司提交一份已適當更新的自我證明表格。	
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. 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。	
Signature 簽署	Capacity 身分 <input type="text"/> (Indicate the capacity if you are not the individual identified in Part 1. If signing under a power of attorney, attached a certified copy of the power of attorney. 如你不是第1部所述的個人，說明你的身分。如果你是以授權人身分簽署這份表格，須夾附該授權書的核證副本。)
 Date (dd/mm/yyyy) 日期（日/月/年）： Name 姓名	^ The power of attorney must be in a form satisfactory to the Company. Please note that any existing Letter of Delegation provided by the Company and signed by an account holder will not give the authority to the appointed attorney(s) to sign this form on behalf of the relevant account holder. 授權書必須採用本行滿意的形式。請注意，由本行提供及經帳戶持有人簽署的任何現有授權書(Letter of Delegation) 將不會授權委任的代理人代表有關的帳戶持有人簽署本表格。

WARNING: It is a serious offence under 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. Heavy penalty may apply upon conviction.

警告：根據《稅務條例》，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，即屬嚴重罪行。一經定罪，可致重罰。

CRS Overview 共同匯報標準 (CRS) 概覽

To help fight against tax evasion and protect the integrity of tax systems, governments around the world are introducing a new information-gathering and reporting requirement for financial institutions. This is known as the Common Reporting Standard ("the CRS").
為協助打擊逃稅，維護稅制完整，全球各地政府現正推出適用於金融機構的資料收集及申報新規定，名為「共同匯報標準」（簡稱「CRS」）。

The Inland Revenue (Amendment) (No. 3) Ordinance 2016 ("the Amendment Ordinance") came into effect on 30 June 2016 and has put in place a legislative framework for Hong Kong to implement the new international standard on Automatic Exchange of Financial Account Information ("AEOI"). The first exchange of information will occur by 2018. You can find more information on the Hong Kong Inland Revenue Department website.

《2016年稅務（修訂）（第3號）條例》（簡稱「修訂條例」）於2016年6月30日生效，為香港實施自動交換財務賬戶資料國際新標準（簡稱「AEOI」）訂立了法律框架。首次自動交換資料將於2018年進行，詳情請參閱香港稅務局網站。

Impact to GCS and our Customer 對加多利及客戶的影響

Under the CRS, Gary Cheng Securities Limited ("GCS") are required to determine where you are "tax resident" (this will usually be where you are liable to pay income or corporate taxes). We will base this on information we have already or we may ask you for additional details.

根據CRS規定，加多利證券有限公司("加多利")必須確定閣下的「稅務居住地」（這通常是您有義務繳納薪俸稅或利得稅的國家／地區）。我們將根據已有的資料或向您額外索取的資料作出合適判斷。

If you are tax resident outside Hong Kong then we may be required to provide details, including information relating to your accounts, to the local tax authority. They may then share that information with the tax authority of the country (or countries) where you are tax resident.

若您的稅務居住地位於香港以外地區，我們或需向本地稅務機構申報此情況及您的帳戶資料。這些資料將會被傳送給其他國家／地區的稅務機構。

Frequently Asked Question 常見問題

<p>1. What is CRS? 甚麼是共同匯報標準(CRS) ?</p>	<p>The Common Reporting Standard (CRS) is an information-gathering and reporting requirement for financial institutions in participating countries, to help fight against tax evasion and protect the integrity of tax systems. 共同匯報標準（簡稱「CRS」）是為協助打擊逃稅和維護稅制完整而制訂的資料收集及申報新規定，參與稅務管轄區的金融機構都必須遵守。</p>
<p>2. What is AEOI? 何謂自動交換資料(AEOI) ?</p>	<p>AEIOI is a new system that involves the transmission of financial account information from Hong Kong to an overseas tax jurisdiction with which Hong Kong has entered into an AEOI agreement (or known as an "AEOI partner"). The information relates only to the tax residents of the jurisdiction of the AEOI partner. 自動交換資料是一項新機制，涉及把財務帳戶資料由香港傳送至與香港簽訂了自動交換資料協議的海外稅務管轄區(或稱為「自動交換資料伙伴」)。有關資料只涉及屬自動交換資料伙伴的稅務管轄區的稅務居民。</p>
<p>3. Who is reportable? 哪些人士的資料須予申報 ?</p>	<p>The CRS/AEOI seeks to establish the tax residency of customers. Under the CRS/AEOI, financial institutions are required to identify customers who appear to be tax resident outside of the country where they hold their accounts and products, and report certain information to our local tax authority. They may then share that information with the tax authority where you are tax resident. CRS/AEOI旨在確定客戶的稅務居住地。根據CRS/AEOI規定，金融機構必須辨識稅務居住地有別於財務帳戶及產品所在地的客戶，並向當地稅務機構申報有關資料。這些資料將會被傳送給客戶稅務居住地的稅務機構。</p>
<p>4. Why are you asking me for my jurisdiction(s) of tax residency? 為何需要了解自己的居留司法管轄區 ?</p>	<p>Under the CRS/AEOI, tax authorities require financial institutions such as GCS to collect and report certain information relating to their customers' tax statuses. 根據CRS/AEOI，稅務機構要求金融機構（如加多利）收集並申報有關其客戶稅務身分的若干資料。 If you open a new securities trading account, invest in new financial products or change your circumstances in some way, we will ask you to certify a number of details about yourself. This process is called "self-certification" and we are required to collect this information under the CRS/AEOI. 例如，當您開立新的證券交易帳戶、投資新的金融產品或現況因某種原因有所改變，我們將要求您確認若干資料。此流程稱為「自我證明」。根據CRS/AEOI，我們必須收集「自我證明」資料。</p>
<p>5. Are all securities firms doing this? 所有證券公司都必須如此嗎 ?</p>	<p>All financial institutions (except those exempted) in Hong Kong are required by law to implement the CRS/AEOI framework. 香港的所有金融機構（除獲豁免的金融機構外）都必須遵守CRS/AEOI規定。</p>
<p>6. What information are you asking customers to provide and verify? 加多利需要客戶提供和核實哪些資料 ?</p>	<p>In line with the CRS/AEOI requirements, we will ask you for your: 根據CRS/AEOI規定，加多利將要求客戶提供： <ul style="list-style-type: none"> • Name 姓名／名稱 • Address 地址 • Date of birth (for Individual and Controlling Persons) 出生日期（適用於獨資經營者及控權人） • Country(ies) of tax residence 稅務居住地 • Taxpayer identification number(s) 稅務編號 • Place of registration/incorporation (for Entities) 註冊地／成立地（適用於實體） • Entity Type (for Entities) 實體類別（適用於實體） • Controlling Person Type for certain Entity Types (for Controlling Persons) 特定類別實體的控權人類別（適用於控權人） </p>

<p>7. How is my tax residence defined? 如何判定稅務居住地？</p>	<p>This will depend on your circumstances. Please seek advice from a professional tax advisor or check the OECD website for more information on how to determine your tax residency, as GCS are unable to give comment about tax. 將視乎您的具體情況而定。有關判定稅務居住地的詳情，請諮詢專業稅務顧問或瀏覽經合組織網站（只提供英文版本），加多利無法提供稅務意見。</p>
<p>8. The Self-Certification Form is similar to the information I have been asked for under FATCA. Why is this different? 自我證明表格要求填寫的內容與此前就FATCA提供的資料相似。兩者有何不同？</p>	<p>Even if you have already provided information under the United States government's Foreign Account Tax Compliance Act (FATCA), you may still need to provide additional information for the CRS as these are different regulations with different requirements. 即使您已根據美國政府《外國賬戶稅務合規法案》（簡稱「FATCA」）提供所需資料，您仍可能需就CRS提供額外資料，因為兩者是不同的監管規定，要求亦有所不同。</p> <p>FATCA is US Law and requires financial institutions to identify US Persons and report in line with FATCA regulations, based on citizenship. The CRS requires financial institutions to identify all tax residencies of customers and in most cases report information on customers who are tax resident outside of the country where they hold their accounts. FATCA是美國法例，要求金融機構根據居民身分識別美國人士並按FATCA規定申報資料。CRS則要求金融機構識別客戶的所有稅務居住地，並在多數情況下就稅務居住地有別於賬戶所在地的客戶申報資料。</p>
<p>9. I live in the same country as I pay tax so why do I need to give you these details? 我在居住地納稅，為何仍需提供這</p>	<p>Under the CRS/AEOI, we are legally required to establish the tax residency status of all our customers, even if you are tax resident in the same country as where you hold your account. However, typically your details will not be reportable to the tax authorities for CRS/AEOI purposes. 根據CRS/AEOI規定，我們有法律責任確定所有客戶的稅務居住地，包括稅務居住地與持有賬戶所在地相同的客戶。不過就CRS/AEOI而言，這種情況一般不需要向稅務機構申報資料。</p>
<p>10. How often will I need to provide this information? 這些資料多長時間需提供一次？</p>	<p>Once we have a valid self-certification on file, you will only be asked to complete another when you update certain information on your account or we believe your reportable status may have changed. 當我們已存檔您的有效自我證明表格，僅會在您更新若干賬戶資料或我們相信您的CRS/AEOI相關資料有變時，要求您再次填寫自我證明表格。</p>
<p>11. Why is GCS providing tax authorities with my tax details? 為何加多利要向稅務機構提供我的稅務資料？</p>	<p>GCS is required to report your tax details under the legal requirements introduced by countries participating in the CRS/AEOI. 根據CRS/AEOI參與稅務管轄區的法律規定，加多利必須申報您的稅務資料。</p>
<p>12. Will GCS respect my data privacy? 加多利是否會保護我的個人資料私</p>	<p>Yes. We will only disclose your information to the relevant tax authorities if we are legally required to do so. 是。我們僅會於法律規定下向相關稅務機構披露您的資料。</p>
<p>13. Is my information safe? 我的資料是否安全？</p>	<p>Customer information is protected by a strict code of secrecy and security which all members of Gary Cheng Group, their staff and third parties are subject to. 客戶資料受嚴格的保密及保安守則保護，所有加多利集團成員、其僱員及第三方均須遵守。</p>
<p>14. I have provided you with my details. Why are you asking me for supporting documents? 我已提交所需資料，為何仍需提供文件證據？</p>	<p>We are required by law to verify the details you have provided as part of your self-certification. We might ask you for a copy of your passport to verify your identity or for some other evidence of your tax residency declared in your self-certification. 法律要求我們必須核實您於自我證明表格中提供的資料。我們可能需要您提供護照副本以核實身分，又或提供其他證據證明您於自我證明表格中所述的稅務居住地屬實。</p>
<p>15. What information will be reported to tax authorities? 哪些資料要向稅務機構申報？</p>	<p>The information provided in the self-certification form, and details about the accounts and products you have with us, including, but not limited to: 自我證明表格中提供的資料，以及您所持賬戶和產品的詳情，包括但不限於：</p> <ul style="list-style-type: none"> • the balance or value 結餘或總價值 • the total amounts of interest paid 利息總款額
<p>16. Which countries are participating in the CRS/AEOI? 參與CRS/AEOI的國家／地區有哪些？</p>	<p>For a list of countries participating in the CRS/AEOI, alongside the dates that they will start exchanging information, please see the OECD CRS portal – CRS by jurisdiction. 關於參與稅務管轄區的完整名單及其開始交換資料的日期等資訊，請瀏覽經合組織CRS網站的司法管轄區網頁（只提供英文版本）。</p>
<p>17. Where can I find further information and advice? 哪裡可以獲取更多資訊與建議？</p>	<p>For further information on your tax residency, please refer to the rules governing tax residence that have been published by each local tax authority. You can also find out more at the Hong Kong Inland Revenue Department website and OECD CRS portal. 有關您稅務居住地的更多資訊，請參閱各當地稅務機構發布的稅務居住地相關規定（只提供英文版本）。您亦可瀏覽香港稅務局網站及經合組織CRS網站（只提供英文版本），了解更多相關資訊。</p>

Reference 參考資料

1. http://www.ird.gov.hk/chi/tax/ta_aei.htm
2. <http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/> (English Only 只提供英文版本)

電郵發放日/月結單表格
Provision of daily / monthly statements by email only

客戶名稱 Client Name: _____

客戶號碼 Account Number: _____

Gary Cheng Securities Limited would like to draw the client's attention to the risks associated with the provision of daily/monthly statements by email as follows:

加多利證券有限公司向客戶闡述就以電子郵件形式發放日/月結單所存在的風險如下：

1. Appropriate computer equipment and software, internet access and a specific email address provided and designated by the client are required for using the service.
客戶須配備適當的電腦設備和軟件、接達互聯網，及提供和指定一個電郵位址，方可使用該服務。
2. Internet and email services may be subject to certain IT risks and disruption.
互聯網及電郵服務可能涉及若干資訊科技風險及出現中斷。
3. Email will be the client's only notice that statements have been provided, and the client should check his designated email address regularly for such statements.
電郵將會是客戶獲知結算單的唯一途徑，故客戶應定期查看其指定電郵地址以收取該結算單。
4. Revocation of consent to the provision of statements by email will be subject to the giving of advance written notice by the client.
同意以透過電郵收取結算單的客戶如欲撤銷同意，須給予事先書面通知。
5. The client may be required to pay a reasonable charge for obtaining a hard copy of any statement.
客戶如要取得結算單的列印本，或須繳付合理費用。

Moreover, client is advised that:
此外，客戶應獲告知以下事宜：

- (a) client should inform us in writing as soon as practicable upon a change in the designated email address;
客戶如已更改指定電郵地址，應盡快通知我們；
- (b) client should promptly review the statements received by email to ensure that any errors are detected and reported to us as soon as practicable;
客戶收到電郵後，應從速查閱結算單，以確保盡快發現任何錯漏並向我們提出指正；
- (c) client should save an electronic copy in the client's own computer storage or print a hard copy of the statements for future reference.
客戶應把結算單的電子版本儲存於本身的電腦存儲裝置，或備存一份列印本，以作日後參考。

Note: Internet and email services may be subject to IT risks and disruption. Gary Cheng Securities Limited will not be held liable for any failure to transmit statements by email to client due to technology problems. In case of any returned undelivered email notification received by Gary Cheng Securities Limited, we will mail out hard copy statements to client at client's address.

注意：互聯網及電郵服務可能涉及若干資訊科技風險及出現中斷。加多利證券有限公司將不會由於任何技術問題引致結算單未能傳遞而負上任何法律責任。如果加多利證券有限公司收到客戶未能成功獲取電郵結算單通知，公司將會向客戶所登記之地址郵寄結算單之列印本。



To be completed by Client:

由客戶填寫：

I confirm that I agree to receive all daily and monthly statements from Gary Cheng Securities Limited **by email** to my email address stated below in lieu of hard copy daily and monthly statements by post. Should I wish to change the above arrangement, I will give written notice to Gary Cheng Securities Limited.

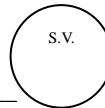
本人確認同意加多利證券有限公司將所有的日/月結算單電郵至下列本人之電郵地址來取代郵寄列印本。任何對上述安排的更改，本人將以書面形式通知加多利證券有限公司。

本人的電郵地址是：

My email address is: _____

I acknowledge and understand the risks associated with the provision of statements by email.

本人確認和明白以電郵發放結算單所存在的風險。



客戶簽署 Client's Authorized Signature(s): _____ 日期 Date: _____

客戶主任簽署

Account Executive Signature: _____

For Office Use Only

_____	_____	_____	_____
Approved By RO	Input By Settlement	Customer Service	Compliance

個人資料收集聲明

本聲明有關個人資料(私隱)政策《個人資料收集聲明》。本聲明是根據香港《個人資料(私隱)條例》(「條例」)之要求而提供予加多利證券有限公司的客户。

1 披露義務

除特別聲明外，客户必須按開戶表格上的要求，將個人資料提供給本集團。假如客户不提供此等資料，本公司將沒有足夠資料來为客户開設及管理帳戶。

2 個人資料之使用

2.1 使用者

有關客户的所有個人資料(不論是由客户所提供，還是由其他人士所提供；及不論這些資料是在客户收到現金客户協議之前，還是之後)將可被任何下列之公司或人士使用(各為一「使用者」)：

- (i) 本公司的任何成員；
- (ii) 本公司的任何董事、高級職員、僱員或代理人；
- (iii) 執行客户指示和/或從事本公司業務而由本公司授權的任何人士(例如律師、顧問、代名人、托管人等)；
- (iv) 本公司持有與客户相關的任何權利和義務的任何實際或建議的承讓人；及
- (v) 任何政府機構、監管機構或其他團體或機構(不論是法例或是任何集團成員適用的規例所要求)。

2.2 目的

客户的所有個人資料可被任何使用者用於下列目的：

- (i) 執行新的或現有顧客的查核及信用調查程序，以及協助其他金融機構從事此類工作；
- (ii) 持續帳目管理，包括收取欠款，強制執行擔保、抵押或其他權利和利益；
- (iii) 設計提供予客户之新產品和服務，或向客户推廣集團的產品；
- (iv) 將此等資料轉移到香港以外的任何地方；
- (v) 為了下列目的而進行客户個人資料的比較(不論收集此等資料的目的及來源，及不論此等資料是向使用者或任何其他人士所收集的)：(A) 信用調查；(B) 資料核實；和/或(C) 編製或核實資料，以便採取使用者或任何其他人士認為合適的行動(包括可能與客户或任何其他人的權利、義務或權益有關的行動)；
- (vi) 用於與客户有關的任何其他協議和服務之條款所規定之目的；
- (vii) 有關遵守任何法律、規例、法院判決或其他任何監管機構之判決的任何目的；及
- (viii) 任何有關於執行客户指示或與集團業務或交易有關連的目的。

2.3 使用資料作直接促銷

本公司可使用及/或轉送客户的資料給本公司的任何成員作直接促銷，而本公司須為此目的取得客户同意(其包括客户不反對之表示)。因此，請注意以下兩點：

- (i) 客户的姓名、聯絡詳情、投資組合資料、交易模式及財務背景可被用於直接促銷本公司的投資及有關財務產品及服務；及
- (ii) 若客户不願意本公司使用及/或轉送個人資料作直接促銷，客户可行使其不同意此安排的權利。

3 查閱和修正的權利

根據條例之規定，客户有權查閱和修正客户的個人資料。一般來說(除某些豁免外)客户有以下的權利：

- (i) 詢問本公司是否持有與客户有關的個人資料；
- (ii) 在合理的時間內，客户可查閱其個人資料；本公司將以合理的方式及清楚易明的格式回覆客户，但須收取合理的費用。
- (iii) 要求修正客户的個人資料；及
- (iv) 如客户要求查閱或修正個人資料被拒絕，客户有權要求說明被拒絕的理由及反對任何該等拒絕。

4 聯絡人

如客户要求查閱及/或修正個人資料及/或不同意收取直接促銷的資料，客户可致電 2199 6700 與本集團的資料保護專員聯絡。

我 / 我們同意加多利證券有限公司以各種方式提供投資或有關財務產品及服務的資料，其包括研究報告及特別優惠等。

個人 / 公司 / 主要帳戶持有人簽署: _____

日期:

聯名帳戶第二戶口持有人: _____

日期:

PERSONAL INFORMATION COLLECTION STATEMENT

This Statement declares in accordance with the Hong Kong Personal Data (Privacy) Ordinance 《Notice on Personal Data(Privacy)》. This Statement is provided to the Customer as a Customer of Gary Cheng Securities Limited, in accordance with the requirements of the Hong Kong Personal Data (Privacy) Ordinance (the “Ordinance”).

1 Disclosure Obligation

Unless otherwise stated the Customer must supply the personal data requested on the account opening form to the Company. If the Customer does not supply this data, it will not be possible for the Customer to open an account with the Company as the Company will not have sufficient information to open and administer the account.

2 Use of Personal Data

2.1 Users

All personal data concerning the Customer (whether provided by the Customer or any other person, and whether provided before or after the date the Customer receives the client agreement containing this information) may be used by any of the following companies or persons (each, a “User”):

- (i) any member of the Company;
- (ii) any director, officer or employee or agent of the Company;
- (iii) any person (such as lawyers, advisers, nominee, custodian etc.) authorized by the Company when carrying out the Customer’s Instructions and/or the business of the Company;
- (iv) any actual or proposed assignee of any rights and obligations of the Company in relation to the Customer; and
- (v) any governmental, regulatory or other bodies or institutions, whether as required by law or regulations applicable to any member of the Group.

2.2 Purposes

All personal data concerning the Customer may be used by any User for the following purposes:

- (i) carrying out new or existing client verification and credit checking procedures and assisting other financial institutions to do so;
- (ii) ongoing account administration, including the collection of amounts due, enforcement of security, charge or other rights and interests;
- (iii) designing further products and services or marketing a company Product to the Customer;
- (iv) transfer of such data to any place outside Hong Kong;
- (v) comparison with the Customer’s personal data (irrespective of the purposes and sources for which such data were collected, and whether collected by a User or any other person) for the purpose of: (A) credit checking; (B) data verification; and/or (C) otherwise producing or verifying data which may be used for the purpose of taking such action that a User or any other person may consider appropriate (including action that may relate to the rights, obligations or interest of the Customer or any other person);
- (vi) providing on the terms of any other agreements and services relating to the Customer;
- (vii) any purpose relating to or in connection with compliance with any law, regulation, court order or order of any regulatory body; and
- (viii) any other purpose relating to the execution of the Customer’s Instructions or in connection with the business or dealings of the Company.

2.3 Use of Data in Direct Marketing

The Company intends to use and/or transfer the Customer’s data to other members of the Company for direct marketing and the Company requires the consent (including no objection) of the Customer for that purpose. In this connection, please note that:

- (i) the name, contact details, portfolio information, transaction pattern and financial background of the Customer may be used in direct marketing of investment or financial related products and services of the Company; and
- (ii) If a Customer does not wish the Company to use and/or transfer the Customer’s data for use in direct marketing, the Customer may, without charge, exercise the right to opt-out.

3 Rights of Access and Correction

The Customer has the right to have access to and correction of the Customer’s personal data as set out in the Ordinance. In general, and subject to certain exemptions, the Customer is entitled to:

- (i) enquire whether the Company holds personal data in relation to the Customer;
- (ii) request access to the Customer’s personal data within a reasonable time, at a fee which is not excessive, in a reasonable manner and in a form that is intelligible;
- (iii) request the correction of the Customer’s personal data; and
- (iv) be given reasons if a request for access or correction is refused, and object to any such refusal.

4 Contact Person

If the Customer wishes to request access to and/or correct personal data and/or opt out of receiving direct marketing material, the Customer should contact the Data Protection Officer on **2199 6700**.

I / We consent to the Company providing information about investment or financial related products and services including research reports and special offers by any means.

Individual/Corporation / Primary Joint Holder's Signature: _____ Secondary Joint Account Holder's Signature: _____
Date: _____ Date: _____

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

(Rev. February 2014)

OMB No. 1545-1621

Department of the Treasury
Internal Revenue Service

► For use by individuals. Entities must use Form W-8BEN-E.
► Information about Form W-8BEN and its separate instructions is at www.irs.gov/formw8ben.
► Give this form to the withholding agent or payer. Do not send to the IRS.

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 U.S. (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
- A person acting as an intermediary W-8IMY

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)		6 Foreign tax identifying number (see instructions)	
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 _____ of the treaty identified on line 9 above to claim a _____ % rate of withholding on (specify type of income): _____

Explain the reasons the beneficial owner meets the terms of the treaty article: _____

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 to which this form relates or am using this form to document myself as an individual that is an owner or account holder of a foreign financial institution,
 - The person named on line 1 of this form is not a U.S. person,
 - The income to which this form relates is:
 - (a) not effectively connected with the conduct of a trade or business in the United States,
 - (b) effectively connected but is not subject to tax under an applicable income tax treaty, or
 - (c) the partner's share of a partnership's effectively connected income,
 - 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



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

Date (MM-DD-YYYY)

Print name of signer

Capacity in which acting (if form is not signed by beneficial owner)