

TRADEMASTER SECURITIES (HONG KONG) LIMITED
淘金者證券(香港)有限公司

Corporate Account Opening Form
公司帳戶開戶表格

Client Name 客戶名稱： _____

Account No. 帳戶號碼： _____

TradeMaster Securities (Hong Kong) Limited (the "Company") has been licensed by the Securities and Futures Commission in Hong Kong (with CE no. BHJ844) to carry on Type 1 (dealing in securities), Type 2 (dealing in futures contracts), Type 4 (advising on securities), Type 5 (advising on futures contracts) and Type 9 (asset management) regulated activities under the Securities and Futures Ordinance.

淘金者證券(香港)有限公司(即「本公司」)獲香港證券及期貨事務監察委員會發牌(中央編號為BHJ844)按證券及期貨條例經營第一類(證券交易)、第二類(期貨合約交易)、第四類(就證券提供意見)、第五類(就期貨合約提供意見)及第九類(提供資產管理)受規管活動。

Note: This is an important document. You (the "Client") should carefully read and fully understand the contents of the Agreement comprised of this Account Opening Form and the Terms and Conditions of the Master Agreement (with all Schedules thereto) for one or more trading accounts (the "Account(s)") to be opened and maintained with the Company. Before signing the Account Opening Form, the Client should firstly obtain independent legal or other professional advice as the Client may deem necessary. In case of any discrepancy between the English and Chinese versions of this Account Opening Form, the English version shall prevail.

備註: 此乃重要文件。閣下(即「客戶」)應仔細閱讀並充份理解本協議之內容包括開戶申請表與綜合協議之條款及條件(連同所有附表)有關於本公司開立及持有一個或多個之交易帳戶(即「帳戶」)。客戶在簽署本開戶申請表前,如有所需,應先尋求獨立法律或其他專業意見。倘若本開戶申請表的中英文版本有任何歧異,一概以英文版本為準。

ACCOUNT OPENING FORM

開戶申請表

ACCOUNT TYPE

帳戶類別

Please check one or more boxes below:

可選擇超過一項:

<input type="checkbox"/> Cash Account – HK Securities 現金帳戶 - 香港證券	<input type="checkbox"/> Shanghai-HK Stock Connect/ Shenzhen-HK Connect (China Connect) 滬港通及/或深港通	<input type="checkbox"/> Discretionary Investment Management Account# 全權委託投資管理戶口
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*Please also sign a Client Agreement in respect of the Capital Investment Entrant Scheme ("CIES")

請同時簽署有關資本投資者入境計劃之客戶協議

Please also sign the Discretionary Investment Management Agreement ("DMA")

請同時簽署有關全權委託投資管理戶口

ELECTRONIC SERVICES

電子服務

Electronic Trading Services 電子交易服務 (including Internet and Mobile)
(包括互聯網及手機)

I/We wish to use the Electronic Trading Service specified in this Agreement. I/We confirm that I/we have read and understood the provisions relating to Electronic Trading Service as set out in the Agreement and I/we agree to be bound by the same.

吾/吾等欲使用電子交易服務。吾/吾等確認吾/吾等已閱讀並明白本協議中有關電子交易服務之條款,並同意接受這些條款之約束。

E-Statement Services 電子結算單服務

I/We wish to use the E-Statement Service specified in this Agreement. I/We confirm that I/we have read and understood the provisions relating to E-Statement Service as set out in the Agreement (and I/we agree to be bound by the same).

吾/吾等欲使用電子結算單服務。吾/吾等確認吾/吾等已閱讀並明白本協議中有關電子結算單服務之條款,並同意接受這些條款之約束。

Note: To be eligible for Electronic Trading Services and/or E-Statement Services, you must provide a valid designated e-mail address. This designated e-mail address should be restricted for all electronic communications pertaining to your Account(s).

備註: 閣下必須提供有效之特定電郵地址才可使用電子交易服務及/或電子結算單服務。此特定電郵地址應只限閣下與本公司就有關閣下之帳戶之電子通訊。

Email Address:

電郵地址: _____

SECTION 1
第一部份

CLIENT INFORMATION
客戶資料

CORPORATE INFORMATION

公司資料

Name (English) 名稱 (英文)			
Chinese Name 中文名稱		Business Nature 業務性質	
Nature of Entity 團體性質	<input type="checkbox"/> Listed Company 上市公司 <input type="checkbox"/> Private Company 非上市公司 <input type="checkbox"/> Sole Proprietorship 獨資經營 <input type="checkbox"/> Partnership 合夥經營 <input type="checkbox"/> Others 其他 _____		
Country of Incorporation 成立國家		Incorporation Date 成立日期	DD 日 / MM 月 / YY 年
Incorporation No. 成立號碼		Business Registration No. 商業登記號碼	

CONTACT DETAILS

聯絡資料

Registered Office 註冊辦事處	Flat/Room 室	Floor 樓	Block 座			
	Building 大廈				District/City 地區/城市	<input type="checkbox"/> HK 香港 <input type="checkbox"/> KLN 九龍 <input type="checkbox"/> NT 新界
	Street 街道				Province 省份	Country 國家
				Postal/Zip Code 郵區編碼	(If applicable 如適用)	
Business Address 營業地址 <small>(if different from above) (若與上述地址不同)</small>	Flat/Room 室	Floor 樓	Block 座			
	Building 大廈				District/City 地區/城市	<input type="checkbox"/> HK 香港 <input type="checkbox"/> KLN 九龍 <input type="checkbox"/> NT 新界
	Street 街道				Province 省份	Country 國家
				Postal/Zip Code 郵區編碼	(If applicable 如適用)	
Tel. No. 電話號碼	Fax No. 傳真號碼		Mobile No. 手提電話			
Email Address 電郵地址						

MAILING ADDRESS

通訊地址

Please check one box only 只可選擇一項：

- Registered Office 註冊辦事處
 Business Address 營業地址
 Others (Please specify): 其他(請說明): _____

PARTICULARS OF DIRECTOR(S)

董事資料

Name 姓名	Residential Address 居住地址	ID/Passport # 身份證/護照號碼

**PARTICULARS OF SOLE PROPRIETOR / PARTNER(S) /
SHAREHOLDER(S) (INDIVIDUAL) (N/A to Listed Company)**

**獨資經營者／合夥人／
股東個人資料 (不適用於上市公司)**

Name 姓名	Residential Address 居住地址	Controlling Interest (%) 控制權

FINANCIAL INFORMATION

財務資料

Share Capital (Please specify currency) 股本 (請指明貨幣)	Authorised Share Capital 法定股本	Issued and Paid Up Share Capital 已發行及繳足股本
Annual Net Profit Before Tax (HKD) 每年稅前純利 (港幣)	<input type="checkbox"/> < 200,000 <input type="checkbox"/> 200,000 – 499,999 <input type="checkbox"/> 500,000 – 999,999 <input type="checkbox"/> 1,000,000 – 1,999,999 <input type="checkbox"/> > 2,000,000	
Net Assets (HKD) 資產淨值 (港幣)	<input type="checkbox"/> < 500,000 <input type="checkbox"/> 500,000 – 999,999 <input type="checkbox"/> 1,000,000 – 4,999,999 <input type="checkbox"/> 5,000,000 – 9,999,999 <input type="checkbox"/> > 10,000,000	
Liquid Assets (HKD) 流動資產 (港幣)	<input type="checkbox"/> < 200,000 <input type="checkbox"/> 200,000 – 499,999 <input type="checkbox"/> 500,000 – 999,999 <input type="checkbox"/> 1,000,000 – 4,999,999 <input type="checkbox"/> > 5,000,000-7,999,999 <input type="checkbox"/> >8,000,000	
Source of income (none or more) 收入來源 (可加項)	<input type="checkbox"/> Trading Profits 營業溢利 <input type="checkbox"/> Manufacturing Profits 生產利潤 <input type="checkbox"/> Dividend / Interest 股息 / 利息 <input type="checkbox"/> Service Income 服務收入 <input type="checkbox"/> Rental Income 租金收入 <input type="checkbox"/> Others 其他: _____	

INVESTMENT PROFILE

投資紀錄

Product Experience 產品經驗	<input type="checkbox"/> Equities 股票 Number of Year(s) 年數 []	<input type="checkbox"/> Structured Investment Products 結構性產品 Number of Year(s) 年數 []	<input type="checkbox"/> Futures/ Options 期貨 / 期權 Number of Year(s) 年數 []
	<input type="checkbox"/> Foreign Exchange 外匯 Number of Year(s) 年數 []	<input type="checkbox"/> Warrants/ Stock Options 窩輪 / 股票期權 Number of Year(s) 年數 []	<input type="checkbox"/> Precious Metal (e.g. Gold) 貴金屬 (如黃金) Number of Year(s) 年數 []
	<input type="checkbox"/> Bonds 債券 Number of Year(s) 年數 []	<input type="checkbox"/> Mutual Funds/Unit Trust 互惠基金 / 單位信託 Number of Year(s) 年數 []	<input type="checkbox"/> Hedge Funds 對沖基金 Number of Year(s) 年數 []
Market Experience 市場經驗 (Please see the Market Group Definition) (請參閱市場組別定義)	<input type="checkbox"/> HK and/or PRC 香港及 / 或中國		<input type="checkbox"/> Developed Market 發達市場
	<input type="checkbox"/> Emerging Market 新興市場		<input type="checkbox"/> Frontier Market 前沿市場
Investment Objective 投資目標	<input type="checkbox"/> Conservative 保守		<input type="checkbox"/> Capital Growth 資金增長
	<input type="checkbox"/> Income Generation 賺取收入		<input type="checkbox"/> Speculative 投機

Market Group Definition 市場組別定義:

Market Group 市場組別	Economies in the Groups 市場組別內的經濟體
HK and/or PRC 香港及 / 或中國	Hong Kong SAR (HK) / The People's Republic of China (PRC) 香港特區 (香港) / 中華人民共和國 (中國)
Developed Market 發達市場	U.S.A. / Australia / Canada / France / Germany / Japan / New Zealand / Singapore / South Korea / Sweden / United Kingdom / Austria / Belgium / Luxembourg / Denmark / Finland / Greece / Ireland / Israel / Italy / Netherlands / Norway / Spain / Switzerland 美國 / 澳大利亞 / 加拿大 / 法國 / 德國 / 日本 / 新西蘭 / 新加坡 / 韓國 / 瑞典 / 英國 / 奧地利 / 比利時 / 盧森堡 / 丹麥 / 芬蘭 / 希臘 / 愛爾蘭 / 以色列 / 意大利 / 荷蘭 / 挪威 / 西班牙 / 瑞士

Emerging Market 新興市場	Indonesia / Malaysia / Philippines / South Africa / Taiwan / Thailand / Brazil / Chile / Colombia / Czech Republic / Egypt / Hungary / India / Mexico / Morocco / Pakistan / Peru / Poland / Russia / Turkey / United Arab Emirates 印度尼西亞 / 馬來西亞 / 菲律賓 / 南非 / 台灣 / 泰國 / 巴西 / 智利 / 哥倫比亞 / 捷克共和國 / 埃及 / 匈牙利 / 印度 / 墨西哥 / 摩洛哥 / 巴基斯坦 / 秘魯 / 波蘭 / 俄羅斯 / 土耳其 / 阿拉伯聯合酋長國
Frontier Market 前沿市場	Argentina / Bahrain / Bangladesh / Botswana / Bulgaria / Côte d'Ivoire / Croatia / Cyprus / Estonia / Jordan / Kazakhstan / Kenya / Lebanon / Lithuania / Macedonia / Malta / Mauritius / Nigeria / Oman / Qatar / Romania / Serbia / Slovakia / Slovenia / Sri Lanka / Tunisia / Uruguay / Venezuela / Vietnam 阿根廷 / 巴林 / 孟加拉國 / 博茨瓦納 / 保加利亞 / 科特迪瓦 / 克羅地亞 / 塞浦路斯 / 愛沙尼亞 / 約旦 / 哈薩克斯坦 / 肯尼亞 / 黎巴嫩 / 立陶宛 / 馬其頓 / 馬耳他 / 毛里求斯 / 尼日利亞 / 阿曼 / 卡塔爾 / 羅馬尼亞 / 塞爾維亞 / 斯洛伐克 / 斯洛文尼亞 / 斯里蘭卡 / 突尼斯 / 烏拉圭 / 委內瑞拉 / 越南

SECTION 2 第二部份

BANK ACCOUNT INFORMATION

銀行帳戶資料

(Not Applicable for External Asset Management)

Account 不適用於外部資產管理戶口)

Unless otherwise instructed by you, this account will be used as the settlement bank account. Payment due from the Company to you shall, at your costs and risks, be settled by way of deposit of a cheque or transfer to the following bank account.

除閣下另行指示外，此帳戶將用作交收銀行帳戶。本公司須支付閣下的款項，將以支票或轉帳形式存入下列銀行帳戶，一切費用及風險均由閣下承擔。

Bank Name

銀行名稱

Account Name

帳戶名稱

Account No.

帳戶號碼

Swift Code

銀行國際代碼

Note: The cheque issued by the Company will be in favour of the account holder(s) of the Account named above.

備註：本公司發出之支票將依據以上之帳戶持有人名稱。

SECTION 3

第三部份

SPECIMEN SIGNATURE OF AUTHORISED SIGNATORIES

簽署式樣

Name 姓名		Specimen Signature 簽署式樣
Title 職位	<input type="checkbox"/> <input type="checkbox"/>	
ID / Passport # 身份證/ 護照號碼	ID Passport 身份證 護照 Number 號碼: Place of Issue 簽發地點:	

Name 姓名		Specimen Signature 簽署式樣
Title 職位	<input type="checkbox"/> <input type="checkbox"/>	
ID / Passport # 身份證/ 護照號碼	ID Passport 身份證 護照 Number 號碼: Place of Issue 簽發地點:	

Name 姓名		Specimen Signature 簽署式樣
Title 職位		
ID / Passport # 身份證/ 護照號碼	<input type="checkbox"/> ID 身份證 <input type="checkbox"/> Passport 護照 Number 號碼: Place of Issue 簽發地點:	

Name 姓名		Specimen Signature 簽署式樣
Title 職位		
ID / Passport # 身份證/ 護照號碼	<input type="checkbox"/> ID 身份證 <input type="checkbox"/> Passport 護照 Number 號碼: Place of Issue 簽發地點:	

Specimen Chop or Seal 印章或印鑑式樣	
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With respect to the abovenamed Authorised Signatories, the Company shall be entitled to assume that any of them has full and unrestricted powers and authority subject to the Account Mandate set out in Section 4 below to perform the acts listed above on behalf of you and shall not be under any duty to verify the authenticity of the instructions or identity of such person(s). You agree to be bound by instructions given on behalf of you by the abovenamed Authorised Signatories.

就上述獲授權簽署人而言，本公司有權假定任何上述有關人士具有全面及不受限制之權力及授權但受列明於第四部之權限所約束，可代閣下執行上文所列作為，並無任何責任核實有關人士的指示或身份是否真確。閣下同意受上述人士代閣下所發出的指示約束。

SECTION 4 第四部份

ACCOUNT MANDATE 帳戶授權書

(Not Applicable for External Asset Management Account 不適用於外部資產管理戶口)

The Authorised Signatories of the Client have been authorised to issue instructions to the Company subject to the following mandate for operation of the Account(s) (*Delete where not applicable):

閣下之獲授權人已被授權可按照下列權限發出指示予本公司以運作閣下之帳戶 (*請刪去不適用者):

Extent of Authority 權限	Type of Instructions 指示種類	
	Trading Instructions 買賣指示	Other Instructions (e.g. fund withdrawal and/or transfer) 其他指示 (如: 提取現金及 / 或轉帳)
(Please choose one below) (請選擇以下一項)		
Issued singly by any one of the Authorised Signatories named in Section 3 above 列於第三部份之任何一位獲授權人單獨發出	Yes 是 / No 否 *	Yes 是 / No 否 *
Issued jointly by any _____ of the Authorised Signatories named in Section 3 above 列於第三部份之任何 _____ 位獲授權人聯合發出	N/A 不適用	Yes 是 / No 否 *
Others (please specify): 其他 (請說明):		

DISCLOSURE OF RELATED ACCOUNT(S)

關連帳戶資料之披露

<p>Are you and/or any of the ultimate beneficial owner(s) of the Account a person licensed by or registered with Securities and Futures Commission (SFC) of Hong Kong or an employee of a licensed/registered person? 閣下及/或任何之最終實益擁有人是否香港證券及期貨事務監察委員會發牌或註冊人士或其僱員?</p>	<p><input type="checkbox"/> Yes (Please provide the consent letter from employer and the details below) 是 (請提供僱主同意書及以下資料) Name of the licensed or registered person and C.E. No. (If applicable) 持牌或註冊人士姓名及中央編號 (如適用)</p> <p>_____</p> <p><input type="checkbox"/> No 否</p>												
<p>Are you and/or any of the shareholder(s), director(s), partner(s), authorized person(s) or ultimate beneficial owner(s) of any Client Account under TradeMaster Securities (Hong Kong) Limited? 閣下及/或任何之股東、董事、合夥人、獲授權人士或最終實益擁有人是否為淘金者證券(香港)有限公司之客戶?</p>	<p><input type="checkbox"/> Yes (Please provide the details below) 是 (請提供僱主同意書及以下資料) Name of Account 帳戶名稱</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>Account Number 帳戶號碼</p> <p><input type="checkbox"/> No 否</p>												
<p>Are your shareholder's, director's, partner's, authorized person's or ultimate beneficial owner's spouse a client of TradeMaster Securities (Hong Kong) Limited or its associates? 閣下之股東、董事、合夥人、獲授權人士或最終實益擁有人之配偶是否為淘金者證券(香港)有限公司之客戶?</p>	<p><input type="checkbox"/> Yes (Please provide the details below) 是 (請提供僱主同意書及以下資料) Name of Account 帳戶名稱</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>Account Number 帳戶號碼</p> <p><input type="checkbox"/> No 否</p>												
<p>Are you related to any employee or director of the Company? 閣下是否與本公司任何僱員或董事有親屬關係?</p>	<p><input type="checkbox"/> Yes, details of the employee / director are: 是，僱員／董事資料如下：</p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left; border-bottom: 1px solid black;">Name 姓名</th> <th style="text-align: left; border-bottom: 1px solid black;">Position 職位</th> <th style="text-align: left; border-bottom: 1px solid black;">Relationship 關係</th> </tr> </thead> <tbody> <tr> <td style="border-bottom: 1px solid black;">_____</td> <td style="border-bottom: 1px solid black;">_____</td> <td style="border-bottom: 1px solid black;">_____</td> </tr> <tr> <td style="border-bottom: 1px solid black;">_____</td> <td style="border-bottom: 1px solid black;">_____</td> <td style="border-bottom: 1px solid black;">_____</td> </tr> <tr> <td style="border-bottom: 1px solid black;">_____</td> <td style="border-bottom: 1px solid black;">_____</td> <td style="border-bottom: 1px solid black;">_____</td> </tr> </tbody> </table> <p><input type="checkbox"/> No 否</p>	Name 姓名	Position 職位	Relationship 關係	_____	_____	_____	_____	_____	_____	_____	_____	_____
Name 姓名	Position 職位	Relationship 關係											
_____	_____	_____											
_____	_____	_____											
_____	_____	_____											

RISK DISCLOSURE STATEMENT

風險披露聲明書

You acknowledge and confirm that you have been provided the relevant Risk Disclosure Statement in a language of your choice (English or Chinese) as set out in the Master Agreement. You also acknowledge that you have been invited to read the relevant Risk Disclosure Statement, to ask questions, and to take independent advice if you wish.

閣下承認及確認已獲提供其所選擇語言(英文或中文)綜合協議之條款及條件中有關的風險披露聲明書。閣下亦確認獲邀閱讀綜合協議中有關的風險披露聲明書，提出問題及徵求獨立的意見(如閣下有此意願)。

DECLARATION BY CLIENT

客戶聲明

The Client agrees to open the above Account(s) with the Company on all provisions of the Agreement comprised of this Account Opening Form and the Terms and Conditions of the Master Agreement (with all Schedules thereto) applicable to the type of Account(s) that the Client(s) applies to open.

客戶同意按照本協議包括開戶申請表與綜合協議之條款及條件(連同所有附表)內列載適用於客戶申請開立的有關類別帳戶之一切有關條款，在本公司開立上述一個或多個帳戶。

By signing off this Section, the Client declares, agrees and confirms that:

倘簽署本部份，客戶即聲明、同意及確認如下：

- (i) the information provided in Section 1 to 5 of this Account Opening Form is complete, true and accurate. The Company is entitled to rely fully on such representations and information for all purposes, unless the Client informs the Company in writing of any change to that information. The Company is authorised at any time to contact anyone, including the Client's bankers, brokers or any credit agency, for the purpose of verifying the information provided on this Account Opening Form;
本開戶申請表第一至第五部份提供的資料，均為完整、真實及準確。本公司有權基於一切目的而完全倚賴有關陳述及資料，除非客戶以書面通知本公司有關資料有任何改變，則作別論。本公司獲授權可隨時聯絡任何人，包括客戶之銀行、經紀或任何信用機構，藉以核實本開戶申請表中所提供之資料；
- (ii) the Client has read, understood and confirmed, and agreed to be bound by all provisions of this Account Opening Form and the Terms and Conditions of the Master Agreement (with all Schedules and as amended from time to time) applicable to the type of Account(s) that the Client applies to open with the Company; 客戶已閱讀、明白，和確認及同意本開戶申請表及綜合協議之條款及條件(包括所有附表並可隨時作出修改)內，有關與本公司申請開立的有關類別帳戶之一切有關條款，並同意接受其約束；
- (iii) the contents of the relevant and applicable parts of the Terms and Conditions of the Master Agreement have been fully explained to the Client in a language which the Client understands;
綜合協議之條款及條件之相關及適用部份已以客戶明白之語言向客戶作出充份解釋；
- (iv) where the Client has completed this Account Opening Form in Chinese and/or read the Chinese version of the Terms and Conditions of the Master Agreement, the Client is aware that the English version of the same prevails over the Chinese version; and
如客戶用中文填寫此開戶申請表及/或已閱讀綜合協議之條款及條件的中文版本，客戶知悉條文的詮釋以英文版本為準；及
- (v) the Client has read and understood the Personal Data policy of the Company as contained in Section C to the Terms and Conditions of the Master Agreement, and agreed to and accepted such terms.
客戶已閱讀並明白本公司於綜合協議之條款及條件中C部份之個人資料政策的部份，同意及接受其條款。
- (vi) the Client was invited to read the risk disclosure statements, and to ask questions and take independent advice if Client so wishes;
客戶已獲邀請閱讀風險披露聲明，並按其意願提出問題及諮詢獨立意見；
- (vii) Client is and will be acting as principal, unless where particulars of the ultimate beneficial owner(s) are provided in this Account Opening Form in which case Client confirm that the person(s) whose particulars are so provide is/are the ultimate beneficial owner(s) of the Account(s);
除非於本開戶表格提供最終實益擁有人的詳情，否則客人將以當事人之身份行事，而倘於本開戶表格已提供最終實益擁有人的詳情，則客人確認所提供詳情的人士(一名或多名)為帳戶(一個或多個)的最終實益擁有人(一名或多名)；
- (viii) The undersigned client undertakes to promptly notify TMSHK if any of its shareholders and/or directors becomes employed by any licensed or registered person with Securities and Futures Commission of Hong Kong.
倘以下簽署客戶的任何股東及/或董事為受聘於香港證券及期貨事務監察委員會牌照或註冊的任何人士，則以下簽署客戶承諾盡快通知淘金者；
- (ix) Each of the undersigned client's shareholder(s) and director(s) is over 18 years of age;
以下簽署客戶各股東及董事已年滿十八歲；
- (x) Client has the authority and power and legal capacity to sign this Account Opening Form, to maintain and operate the Account(s), to effect the transactions contemplated by the Terms and Conditions of the Master Agreement, and to perform all my/our obligations under this Account Opening Form and the Terms and Conditions of the Master Agreement, and this Account Opening Form and the Terms and Conditions of the Master Agreement constitute valid and legally binding obligations on me/us enforceable in accordance with their respective terms; and
客人獲授權，並有權力和法定身份去簽署本開戶表格、保留及操作帳戶(一個或多個)、進行綜合協議之條款及條件預計進行的交易，及根據本開戶表格以及其綜合協議之條款及條件履行客人的所有義務，而本開戶表格以及其綜合協議之條款及條件按照其各自的條款，構成對客人可強制執行的有效和具有法律約束力的義務；

Client object to the proposed use of his/her personal data in direct marketing.

客人反對使用其個人資料作直接促銷用途。

(1) Authorised Signatory

獲授權人

(2) Authorised Signatory

獲授權人

Authorised Signature

of the Client

(with company chop)

客戶簽署

(蓋上公司印章)

Name

姓名

Date

日期

SECTION 7**第七部份****WITNESSING OF CLIENT SIGNATURE (if applicable)****見證客戶簽署(如適用)**

If this Account Opening Form is not executed in the presence of the Company's licensed representative or is not submitted with an appropriate cheque⁺, then signing of this Account Opening Form and sighting of related identity documents should be certified by a Notary Public, Lawyer, Certified Public Accountant, a Chartered Secretary, a Branch Manager of a Bank, a JP (Justice of the Peace), an officer of an embassy, consulate or high commission of the country of the issue of documentary verification of identity or any other SFC licensed person or any other SFC licensed person.

客戶須在本公司之持牌代表面前簽立本開戶申請表，或將本開戶申請表連同恰當的支票⁺一併交回本公司，否則本開戶文件的簽立及有關的身分證明文件的見證，應由適合的證明人包括公證人、律師、會計師、特許秘書、持牌銀行分行經理、太平紳士、發出身分核實文件的國家的大使館、領事館或高級專員公署的人員或其他證監會持牌人加以驗證。

I, the undersigned hereby certify that I have witnessed the signing of this Account Opening Form (forming an integral part of the Agreement) by the Client and have seen the original of the relevant identity documents of the Client:

本人謹此見證上述客戶簽立此開戶申請表(構成本協議之重要文件)及其有關身份證明文件之正本:

Signature of Witness

見證人簽署

Name

姓名

Profession / Title

所屬專業及職銜

Date

日期

+ A crossed cheque of not less than HKD10,000 in favour of "TradeMaster Securities (Hong Kong) Limited" bearing Client's name and signature as shown in this Account Opening Form and drawn on a licensed bank in Hong Kong. The new account cannot be activated for use until the cheque has been cleared.

+ 數額不少於港幣10,000的劃線支票。支票須由客戶本人簽發予「淘金者證券(香港)有限公司」，而支票簽發人姓名及簽名模式須與本開戶申請表上之客戶名稱及簽署相符。新客戶帳戶須在支票兌現後方可使用。

SECTION 8**第八部份****DECLARATION BY THE LICENSED REPRESENTATIVE****持牌代表之聲明**

(Not Applicable for External Asset Management Account 不適用於外部資產管理戶口)

FOR SECURITIES ACCOUNT ONLY 只適用於證券帳戶

The Client has been provided with the relevant Risk Disclosure Statement pertaining to trading in Securities in a language of the Client's choice. I, the undersigned licensed representative has invited the Client to read the relevant Risk Disclosure Statement pertaining to trading in securities as set out in the Terms and Conditions, to ask questions and to take independent advice if the Client wishes. Where a Margin Account is to be opened, the Client has also been informed that the Company has the practice of repledging securities collateral.

客戶已獲提供所選語言之有關證券買賣之風險披露聲明書。以下簽署之持牌代表已邀請客戶閱讀帳戶條款及條件內有關證券買賣之風險披露聲明書，並可提出問題及徵求獨立的意見(如客戶有此意願)。如客戶欲開立之帳戶為保證金帳戶，亦已通知客戶本公司會再質押證券抵押品。

Name of licensed representative (in BLOCK letters) 持牌代表姓名(正楷填寫)		Signature of licensed representative 持牌代表簽署	
CE No. 中央編號		Date 日期	

SECTION 9**第九部份****Risk Profiling Questionnaire****風險承擔能力問卷**

This questionnaire aims to assess whether transacting a given Investment product ("Product") is suitable for the prospective customer (the "Customer"). The following twelve questions are designed for generating indications as to the risk profile and personal circumstances of the Customer for matching with the risk level of the Product, which may not be the actual level of risk acceptable to the Customer.

本問卷旨在評估客戶所選擇的投資產品是否適合客戶本身。下列十二條問題僅提供一些指引予客戶，用以評估客戶的風險狀況及個人情況是否適合投資產品的風險水平，未必能準確反映客戶實際可接受的風險水平。

For a joint account, the individual applicant/holder who places orders or makes Investment decisions for the account should complete and sign the form. 如為聯名戶口，代表該賬戶發出有關指示或作出投資決定的申請/持有人應填寫及簽署本問卷。

For a corporate account, the authorized signatory who makes investment decisions on behalf of the company should complete and sign this questionnaire. 如為法團機構賬戶，代表該公司作出投資決定之授權簽署人應填寫及簽署本問卷。

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

- What is your age range?
您屬於以下哪個年齡組別?

A) 18-24. 18 歲至 24 歲

B) 25-34. 25 歲至 34 歲

C) 35-49. 35 歲至 49 歲

D) 50-64. 50 歲至 64 歲

E) Under 18 or Above 64. 18 歲以下或 64 歲以上
- What is your leave of education?
您的教育程度?

A) Primary school or below. 小學或以下

B) Secondary school. 中學

C) Post-secondary school. 預科

D) University/professional qualification unrelated to Economics or Finance. 大學/專業資格(經濟學/財務學以外)

E) University/professional qualification related to Economics or Finance. 大學/專業資格(經濟學/財務學相關)
- How long is your/your company's expected investment horizon?
您/貴公司預期中的投資年期為多久?

A) Less than 1 year. 少於 1 年

B) 1-5 year(s). 1 年至 5 年

C) 6-10 years. 6 年至 10 年

D) 11-20 years. 11 年至 20 年

E) More than 20 years. 20 年以上
- Which of the following statements best describe you/your company's investment objective?
以下哪項最能形容您/貴公司的投資目標?

- A) Conservative with a return similar to bank deposit rate 保守及賺取相約於銀行存款的回報
- B) Earn a return which is slightly above bank deposit 賺取略高於銀行存款的回報
- C) Stable, balanced income and capital growth 穩定平衡收入與資本增長
- D) Gradual long-term capital growth 資本長期地逐漸增長
- E) Maximize capital growth as soon as possible 以最短時間爭取最高回報
5. How long is your/your company's investment experience in product with appreciable price volatility (e.g. certificates of deposits, foreign currencies, stocks, bonds, investment funds, credit linked notes, structured products, futures, warrants, and commodities, etc)?
您/貴公司投資於價格波動的財務產品經驗有多久 (例如: 存款證、外幣、股票、投資基金、信貸相連票據、結構性產品、債券、期貨、認股權證、商品等)?
- A) No such experience. 全無經驗
- B) Less than 2 years. 少於 2 年
- C) 2-4 years. 2 年至 4 年
- D) 5-7 years. 5 年至 7 年
- E) More than 7 years. 7 年以上
6. What investment product(s) have you/your company ever held during the past 24 months (Tick one or more)?
您/貴公司過去24個月曾持有哪些投資產品 (可選擇多於一項)?
- A) Margin Trading/Futures/Options/Equity Options/Accumulators/Forwards/Credit-linked Notes with exposure to Structured Products.
保證金交易/期貨/期權/股票期權/累計認證股證/遠期合約/涉及結構性產品的信貸相連票據
- B) Stocks/Equity-linked Investments (non-Blue Chips)/Investment Funds exposed to emerging markets, regional markets, single country or single sector/Hedge Funds/Foreign Exchange Options/Option Embedded Products.
股票/股票相連投資(非藍籌)/投資於新興市場、地區市場、單一國家或單一行業的投資基金/對沖基金/外匯期權/含期權產品
- C) Stocks/Equity-linked Investments (non-Blue Chips)/Global Equity Investment Funds/Balanced Investment Funds/Bond investment Funds exposed to emerging markets, regional markets, single country/High-yield Bond Investment Funds/Currency-linked Deposits/Credit-linked Notes without exposure to Structured Products.
股票/股票相連投資(藍籌)/環球股票投資基金/均衡基金/投資於新興市場、地區市場、單一國家的債券投資基金/高收益債券投資基金/外幣掛鈎存款/不涉及結構性產品的信貸相連票據
- D) Bonds/Global Bond Investment Funds/Foreign Currencies.
債券/環球債券投資基金/外幣
- E) Certificates of Deposits/Capital-guaranteed Investment Products/Money Market Funds.
存款證/保本型投資產品/貨幣市場基金
- F) None of the above during the past 24 months but some of the above or other financial products prior to the past 24 months.
過去24個月未持有以上投資產品, 惟過去24個月之前曾投資於上述部份產品或其他金融產品
- G) Never held any investment products so far.
迄今從未持有任何投資產品
7. Which of the following channels is/are your investment knowledge acquired (Tick one or more)?
您曾經或現時從以下哪些途徑汲取投資知識 (可選擇多於一項)?
- A) Never attempting to acquire investment knowledge. 從未汲取/或沒有興趣汲取任何投資知識
- B) From relatives and/or colleagues without further self-study. 與親友及/或同事討論投資或理財話題
- C) From financial programmes of mass media without further self-study. 閱讀及/或收聽有關投或財經新聞
- D) Self-study. 從多個途徑閱讀及分析有關投資或財務資料
- E) From attending financial courses together with self-study.
研究投資或財務相關事宜, 或參加投資或財務相關課程、論壇、簡報會、研討會或工作坊
8. What is the percentage of your/your company's liquid assets (i.e. assets easily converted into cash) that can be allowed for investing in product with appreciable price volatility?
您/貴公司現正持有的價格波動財務產品佔總流動資產(易於變現金的資產)的多少個百分比?
- A) Less than 10% 少於 10%
- B) 10% to 20% 10%至 20%
- C) 21% to 30% 21%至 30%
- D) 31% to 50% 31%至 50%
- E) More than 50% 多於 50%
9. How much price volatility of investment you/your company can accept?
您/貴公司可以接受財務產品的價格出現多大波幅?

- A) Less than 10% price fluctuation. 少於 10%的升跌
- B) 10% price fluctuation. 10%的升跌
- C) 15% price fluctuation. 15%的升跌
- D) 20% price fluctuation. 20%的升跌
- E) More than 20% price fluctuation. 超過 20%的升跌

10. What portion of your/your company's overall income is available for investment for each month?

您/貴公司每月可用作投資的金額，佔總收入多少個百分比？

- A) Less than 10% 少於 10%
- B) 10% to 29% 10%至 29%
- C) 30% to 49% 30%至 49%
- D) 50% to 69% 50%至 69%
- E) More than 70% 多於 70%

11. If there is a fall of 15% or over in your overall investment portfolio, what level of your living will be suffered.

若您整體投資資產下跌超過百分之十五，對您的生活影響程度如何？

- A) Intolerable 無法承受
- B) Great impact 影響程度大
- C) Medium impact 中度影響
- D) Little impact 影響程度小
- E) No impact 不會有影響

12. How would you best describe your/your company's attitude towards investing?

您會怎樣形容您/貴公司對投資的取向？

- A) I/We cannot put up with any price fluctuation
我/我們不能接受任何價格波動
- B) I/We can only put up with little price fluctuation and wish up to have earnings slightly higher than bank deposit rate.
我/我們只能接受較小幅度的價格波動，並且希望賺取稍高於銀行存款利率的回報
- C) I/We can put up with some price fluctuation and wish to have earnings much better than bank deposit rates
我/我們可接受若干價格波動，並希望賺取遠高於銀行存款利率的回報
- D) I/We can put up with high degree of price fluctuation and wish to have earnings comparable to stock market indexes.
我/我們可接受大幅度的價格波動，並希望賺取與股市表現相若的回報
- E) I/We can put up with any price fluctuation and wish to have earnings remarkably higher than stock market indexes.
我/我們可接受任何幅度的價格波動，並希望回報能跑贏股市

How to Score the Risk Profiling Questionnaire 如何為風險取問卷計分？

Please count the total score according to the table as below 請根據以下表計算您的得分：

Question	問題	A	B	C	D	E	F	G	Your Points 您的總分
Question 1	問題 1	1	3	5	3	1			
Question 2	問題 2	1	2	3	5	7			
Question 3	問題 3	1	2	3	5	5			
Question 4	問題 4	1	2	3	5	5			
Question 5	問題 5	0	2	3	4	5			
Question 6 *	問題 6*	9	7	5	3	1	1	0	
Question 7 *	問題 7*	0	2	3	4	5			
Question 8	問題 8	1	2	3	5	5			
Question 9	問題 9	1	2	3	4	5			
Question 10	問題 10	1	2	3	4	5			
Question 11	問題 11	0	1	3	5	5			
Question 12	問題 12	0	1	3	4	5			

* As the question allows multiple answers, only the answer carries the highest score is used in the calculation

由於問題可選擇多於一個答案，計算時請選用得分最高的答案。

Please total your points from the above twelve questions and write your risk score in the box.

請將十二條問題的得分加起來，並在方格內寫出您的風險分數：

Total Score 總分	Risk Categories 風險類別	Investment Risk Profiles 投資風險分析
7-14	Conservative 穩健	You may choose the financial products with LOW product risk level, and emphasis on bonds and cash to seek for capital preservation. In return, you understand that you will receive low returns. 您可選擇投資於低風險的投資產品，以債券及現金為主以達到穩定回報的目的。如此一來，您要知道明白所收取的回報也較低。
15-29	Moderate 中度	You can accept some returns of your investments with low to medium risk exposure and price fluctuation. 您可以接受低至中風險及價格波動，並有一些的投資回報。
30-44	Balanced 均衡	You can choose a diversified but more balanced mix of stocks, bonds and cash. You are willing to accept medium risks in exchange for some potential returns over the medium to long term. 您可選擇多元化及較均衡的股票、債券及現金投資組合。您願意承擔中等級別的風險，以便在中長期內賺取一些潛在回報。
45-56	Growth 增長	You can accept growth of capital with high risk exposure and price fluctuation. 您可以接受高風險及價格波動，並且有資本增值的投資。
57-66	Aggressive 進取	You may choose to invest your money in Derivative Product, Investment Funds and/or Other Financial Products with any product risk level. You are willing to accept very high risks to maximum your potential return over the long term. You understand that you may lose a significant part or all of your capital. You may even be required to make good the losses over and above your capital. 您可選擇投資於任何風險級別的衍生產品、投資基金和/或其他金融產品。您願意承擔高級別的風險，以便在中長期內得到最大的潛在回報。您知道您可能損失大部份或全部資本，您甚至可能須對資本以外的虧損作出補償。

Customer Risk Categories Description 客戶風險評估結果 (To be completed by Staff/RM/A.E. of Financial Intermediary)

Based on your responses, your risk categories is: 根據閣下的回應，您的風險評估結果為：	Conservative 穩健	Moderate 中度	Balanced 均衡	Growth 增長	Aggressive 進取
Client Risk Grade 客戶風險級別	1	2	3	4	5

SECTION 10
第十部份**Assessment on Knowledge of Derivative Products**
衍生產品知識評估

The following questionnaire is designed to ensure the provision of services to you with respect to derivative products are in compliance with our obligations under the Code of Conduct issued by the SFC. (You may require to provide the relevant supporting documents to show your knowledge/experience with derivative products). 以下問卷為確保本公司所提供給閣下有關衍生工具的服務已遵從〈證券及期貨事務監察委員會持牌人或註冊人操守準則〉中的責任。(閣下可能須要提供相關證明文件以認證閣下對衍生產品的認識/經驗。)

1. I/We have undergone training or attended courses on derivative products 本人/吾等曾接受有關衍生產品的培訓或修讀相關課程
- No 否
- Yes 是 (Please provide the details below 請提供以下資料)
- (i) Name of course or training and name of course or training provider 培訓或相關課程之名稱及提供培訓或相關課程之機構名稱: _____
- (ii) Type(s) of derivative products relevant to the training or course 培訓或相關課程之有關投資產品種類: _____
- (iii) Whether the training or course provide you with general knowledge of the nature and risks of derivative products: 培訓或相關課程是否為閣下提供衍生工具的性質和風險的一般知識
- No 否 Yes 是
2. My/Our current work experience relates to derivative products 本人/吾等現時的工作經驗與衍生產品有關
- No 否
- Yes 是 (Please provide the details below 請提供以下資料)
- (i) Name of employer 僱主名稱: _____
- (ii) Job Title 職位: _____
- (iii) Please briefly state how your work relates to derivative products 請簡述閣下的工作如何與衍生產品有關: _____
- (iv) Years of work experience which relates to derivative products 衍生產品有關工作經驗之年資: _____
3. My/Our previous work experience relates to derivative products 本人/吾等過去的工作經驗與衍生產品有關
- No 否
- Yes 是 (Please provide the details below 請提供以下資料)
- (i) Name of previous employer 前僱主名稱: _____
- (ii) Job title 職位: _____
- (iii) Please briefly state how your previous work relates to derivative products 請簡述閣下過去的工作如何與衍生產品有關: _____
- (iv) Years of previous work experience which relates to derivative products 過去與衍生產品有關工作經驗之年資: _____
4. I/We have prior trading experience in derivative products 本人/吾等有買賣衍生產品的經驗
- No 否
- Yes 是 (Please provide the details below 請提供以下資料)
- (i) Type of derivative products traded 以往曾買賣的衍生產品種類: _____
- (ii) Number of transaction within the past three years 過去三年曾買賣衍生產品的交易數目: _____
5. I/We have read all the sections under the "Investment Education" column on the TMSHK's website (<http://www.tjzsec.com>), which had been provided to me/us; 本人/吾等已經細閱貴公司早前提及的網站(<http://www.tjzsec.com>)的投資教育所有欄目。

Investor characterization 投資者分類	Description 說明
With derivative experience 有衍生工具的相關經驗	You are characterized as client with derivative experience and can transact derivative products. 閣下被分類為有衍生工具相關經驗之投資者及可以買賣衍生產品。
Without derivative experience 沒有衍生工具的相關經驗	You have been characterized as without derivative experience and in general cannot transact derivative products, unless, you wish to: (a) purchase a derivative product which is traded on an exchange without our solicitation or recommendation and after appropriate explanation by us of the risks associated with the product; or (b) purchase a derivative product which is not traded on an exchange without our solicitation or recommendation and after receive our appropriate advice in deciding whether or not the transaction is suitable for you in all the circumstances. 閣下被分類為沒有衍生工具相關經驗之投資者及在一般情況下閣下不能進行衍生產品交易，除非閣下欲：(a) 認購在交易所買賣的衍生產品，且本公司沒有向閣下作出招攬或建議行為及本公司已向閣下解釋該產品所附帶的相關風險；或 (b) 認購並非在交易所買賣的衍生產品，且本公司沒有向閣下作出招攬或建議行為及就有關交易對閣下是否在任何情況下都合適，本公司已向閣下提供恰當的意見。

- (1) Client Investment Suitability Classification: Client Risk Grade* 1 / 2 / 3 / 4 / 5
客戶投資屬性分類: 客戶風險等級第* 1 / 2 / 3 / 4 / 5 級
- (2) Client Investor Characterization: Client *has/has no derivative experience and *can/cannot transact derivative products.
客戶投資者分類: 客戶 * 有/沒有衍生工具的相關經及 * 可以/不可以 買賣衍生產品。

*Delete if not applicable 請將不適用者刪去

CLIENT'S DECLARATION 客戶聲明

- I/We hereby acknowledge and agree that the above Investor Characterization Assessment of derivative products. I/We fully acknowledge and accept the risks associated with derivative products in general and the relevant listed derivative product in which I/we have decided to trade.
本人/吾等特此確認及同意，上述有關衍生產品的投資者分類評估。本人/吾等完全明白並接受本人/吾等所選擇的衍生產品交易所帶來的 風險。
- I/We hereby acknowledge that the above Risks Level of Investment Products and Investment Suitability Classification is consistent with my/our investment risk requirements and investment objective.
本人/吾等特此確認，上述產品風險等級和投資屬性與本人/吾等的投資風險要求和投資目標相符。
- The above Risks Level of Investment Products and Investment Suitability Classification is not consistent with my/our investment risk requirement and investment objective which I/we hereby nominate my Investment Suitability Classification Grade to be:
上述產品風險等級和投資屬性與本人/吾等的投資風險要求和投資目標不符，本人/吾等特此指定本人/吾等的投資屬性級別為** _____

**** IMPORTANT NOTE 重要提示:**

The risk of your selected Investment Suitability Classification may be higher or lower than your Risks Level of Investment Product. Please note that your Risks Level of Investment Product should be at least "RG4" to pursue "Growth" Investment Suitability Classification, and should be at least "RG5" to pursue "Aggressive" Investment Suitability Classification.
閣下所選投資屬性的風險可能高於或低於閣下的產品風險等級。要採取“成長型”的投資屬性，閣下的產品風險等級應至少達到 "RG4";要採取“進取型”的投資屬性，應至少達到 "RG5"。

Authorised Signature (with company chop)

獲授權人簽署 (蓋上公司印章)

Name(s) 姓名:

Date 日期:

SECTION 11

Self Declaration by Director/Shareholder/ULTIMATE Beneficial Owner

第十一部份

董事/股東/最終權益擁有人」之個人申報

*Please photocopy this page(s) separately if necessary.

如不敷應用，請另行影印此頁。

Name of the Company in connection with which this declaration is being complete 本「個人申報」內容所述之公司名稱			
Declarer 申報人	Surname 姓	Given Name 名	
ID / Passport No. 身份證/護照號碼:	Gender: 性別		<input type="checkbox"/> Male 男性 <input type="checkbox"/> Female 女性
Date of Birth 出生日期	Place of Birth 出生地方		
Residential Address 住址			
Are you 閣下是否	a) a Director of the Company? 公司董事之一? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是	b) a Shareholder of the Company? 公司股東之一? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes _____ % controlling interest 是 _____ % 控權	
Are you an ULTIMATE Beneficial Owner of the Company? 閣下是否最終權益擁有人?	<input type="checkbox"/> No 否 the ULTIMATE Beneficial Owner(s) is/are: 最終權益擁有人如下: Name 姓名 _____ ID/Passport No. 身份證/護照號碼 _____ Tel 電話 _____ Mobile 手提電話 _____ Residential address 住址 _____ _____		
	<input type="checkbox"/> Yes 是 a) _____ % controlling interest _____ % 控權 b) please specify the nature and distribution of the interests in the Company 請說明當中的利益分布 _____ c) please specify (in any) the nature and extent of any business, contractual or family relationship among the ULTIMATE Beneficial Owners 請說明 (如有) 與其他權益擁有人之間的業務、合約或家族關係 _____ _____		
Are you a senior officer or director of any (listed) company whose shares are traded on any exchange or market? 閣下是否任何其股份可在交易所或市場買賣的(上市)公司之高級人員或董事?	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes the company name and stock code are: 是, 有關公司名稱及上市編號如下: _____		
Are you a person, or director or employee of a person, licensed by or registered with the Securities and Futures (SFC) of Hong Kong? 閣下是否香港證券及期貨事務監察委員會的持牌人, 或該等持牌人或註冊人之董事或僱員?	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes, name of licensed or registered person 是, 有關持牌或註冊人士姓名/名稱: _____ Capacity: 職位: _____		
Are you related to any employee or director of TradeMaster Securities (Hong Kong) Limited? 閣下是否與「淘金者證券(香港)有限公司」任何僱員或董事有親屬關係?	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes, Name of the employee/director 是, 僱員/董事姓名 _____ Relationship: 關係: _____		

Are you a person entrusted with prominent public functions (e.g. Head of State or of government, senior politicians/important political officials, senior government officials, senior judicial officials, senior military officials, senior executives of state owned enterprises, religious leaders, or family members or close associates of the above-mentioned parties)?

閣下是否被委任為重要公職
(例如: 國家或政府元首、重要政客、高級政府官員、高級司法人員、高級軍官、國家企業高級行政人員、宗教領袖或以上人士的家人或有聯繫人士)

- No 否
 Yes, please specify
是, 請說明

I CERTIFY that the above information is complete and correct to the best of my knowledge and belief, and I undertake that I will promptly notify TRADEMASTER SECURITIES (HONG KONG) LIMITED of any material changes affecting the completeness of the answers to the above questions on DIRECTOR/SHAREHOLDER/ULTIMATE BENEFICIAL OWNER of the above company.

本人茲此聲明及保證上列陳述均為真實無訛，並承諾即時知會「淘金者證券(香港)有限公司」有關上述公司董事/股東/實益擁有人的申報有所變動的情況。

Signed by

簽署

Witnessed[#] by

見證[#]

Name:

簽署人姓名:

Name:

見證人姓名:

Profession/Title:

所屬專業/職銜:

Date:

日期:

Date

日期:

A suitable witness shall include a Notary Public, Lawyer, Certified Public Accountant, a Chartered Secretary, a Branch Manager of a licensed Bank, a Justice of Peace, an officer of an embassy, consulate or high commission of the country of issue of documentary verification of identity or any other SFC licensed person.

適合的見證人包括公證人、律師、會計師、特許秘書、持牌銀行分行經理、太平紳士、發出身分核實文件的國家的大使館、領事館或高級專員公署的人員或其他證監會持牌人。

SECTION 12(A)
第十二部份 (甲)

Self-Certification Form – Entity
自我證明表格 – 實體帳戶

*Please photocopy this page(s) separately if necessary.
如不敷應用，請另行影印此頁。

Client Information 客戶資料

Client Name: _____
客戶名稱: _____

A. Certification of Account Status 帳戶狀況證明

Part 1. Automatic Exchange of Financial Account Information 自動交換財務帳戶資料

Important Notes:

重要提示:

- ✧ This is a self-certification form provided by an account holder to TradeMaster Securities (Hong Kong) Limited ("TMSHK") for the purpose of automatic exchange of financial account information. The data collected may be transmitted by TMSHK to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
這是由帳戶持有人向淘金者證券(香港)有限公司(下稱“淘金者”)提供的自我證明表格，以作自動交換財務帳戶資料用途。淘金者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 its tax residency status to TMSHK as soon as practicable.
如帳戶持有人的稅務居民身分或其他資料有所改變，應盡快將所有變更通知淘金者。
- ✧ All parts of the form must be completed (except for those not applicable or otherwise specified). If there is not enough space, you may provide your information on additional sheet(s). Information in fields/parts marked with an asterisk (*) are required to be reported by TMSHK 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(*)的項目為淘金者向稅務局申報的資料。

I. Entity Type * 實體類別*

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

在其中一個適當的方格內加上✓號，並提供有關資料。

Financial Company 財務機構	<input type="checkbox"/> Custodial Institution, Depository Institution or Specified Insurance Company 託管機構、存款機構或指明保險公司 <input type="checkbox"/> Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity's assets) and located in a non-participating jurisdiction 投資實體，但不包括由另一財務機構管理 例如：擁有酌情權管理投資實體的資產) 並位於非參與稅務管轄區的投资實體
Active NFE 主動非財務實體	<input type="checkbox"/> NEF the stock of which is regularly trade on _____ which is an established securities market 該非財務實體的股票經常在_____ (一個具規模證券市場進行買賣) <input type="checkbox"/> Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market _____ 的有關連實體，該有關連實體的股票經常在_____ (一個具規模證券市場進行買賣) <input type="checkbox"/> NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities 政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體 <input type="checkbox"/> Active NFE other than the above (Please specify _____) 除上述以外的主動非財務實體 (請說明_____)
Passive NFE 被動非財務實體	<input type="checkbox"/> Investment entity that is managed by another financial institution and located in a non-participating jurisdiction 位於非參與稅務管轄區並由另一財務機構管理的投資實體 <input type="checkbox"/> NFE that is not an active NFE 不屬主動非財務實體的非財務實體

II. Controlling Persons (Complete this part if the entity account holder is a passive NFE)

控權人 (如實體帳戶持有人是被動非財務實體，填寫此部) *

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

就帳戶持有人，填寫所有控權人的姓名在列表內。就法人實體，如行使控制權的並非自然人，控權人會是該法人實體的高級管理人員。每名控權人須分別填寫表格 (自我證明表格- 控權人)。

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

III. 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」）*
Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”）*

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

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。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. If a TIN is unavailable, provide the appropriate reason A, B or C:

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：**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，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	Add / Update 新增 / 更新
(1)				
(2)				
(3)				
(4)				
(5)				

Part 2. Foreign Account Tax Compliance Act 美國外國帳戶稅務合規法案(FATCA)

<p>Disclaimer: 免責聲明</p> <ul style="list-style-type: none"> ◇ The account holder is advised to refer to the US IRS website (http://www.irs.gov/) for details in respect of FATCA. 帳戶持有人如要瞭解FATCA法案詳情，閣下可參閱美國國家稅務局網站 (http://www.irs.gov/) 資訊。 ◇ The account holder shall be fully responsible for the confirmation of his/her/its FATCA status and other information submitted hereunder. 帳戶持有人應對其確認的FATCA 身份及在本文件內提供的其他信息承擔全部責任。 ◇ The account holder shall ensure the information given and statements made in this form are true, correct and complete. TMSHK shall not be liable for any errors or loss that results from such information and statements. 帳戶持有人應確保於本表格內所填報的所有資料和聲明真實、正確和完備。淘金者證券金融集團有限公司不對該等資料和聲明的任何錯誤或導致的任何損失承擔任何責任。 ◇ TMSHK is unable to offer any tax or legal advice to the account holder. For any related question, the account holder is advised to consult his/her/its tax and legal advisors. 淘金者證券金融集團有限公司不能向帳戶持有人提供任何稅務及法律意見。如有相關疑問，請帳戶持有人聯絡其稅務及法律顧問。
--

Which of the following statements best describes you? Please select only 1 of the followings from category A or B.

以下哪一項陳述最切合 貴公司的情況？請選擇以下 A 組或B 組的其中一個選項。

<p>U.S. Entities 美國實體</p> <p>If you are incorporated, established, constituted or organized in the U.S., please complete and submit U.S. IRS Form W9. 如 貴公司於美國註冊成立、設立、構成或組成，請填寫並遞交美國國稅局表格 W9。</p>	<p>U.S. Entities 美國實體</p>
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<p>A. Financial Institution 金融機構 You are a financial institution, and 貴公司屬金融機構，及</p> <p><input type="checkbox"/> You are 貴公司屬</p> <ul style="list-style-type: none"> <input type="checkbox"/> Participating FFIⁱ 參與的外國金融機構 <input type="checkbox"/> Registered deemed-compliant FFIⁱⁱ 已註冊的視作合規外國金融機構 <input type="checkbox"/> Reporting Model 1 FFIⁱⁱⁱ 以版本一申報的外國金融機構 <input type="checkbox"/> Reporting Model 2 FFI^{iv} 以版本二申報的外國金融機構 <input type="checkbox"/> Global Intermediary Identification Number (GIIN): 全球中介人識別號碼為： 	<p>Participating FFI/ Reporting Model 1 FFI/ Reporting Model 2 FFI 參與的外國金融機構/ 以版本一申報的外國金融機構/ 以版本二申報的外國金融機構</p>
--	--

<input type="checkbox"/>	You are a Non-Participating FFI. 貴公司屬非參與的外國金融機構。	Non-Participating FFI 非參與的外國金融機構
<input type="checkbox"/>	You are none of the above and please complete and submit the appropriate U.S. IRS Form W-8. 貴公司不符合上述任何一項，在此情況下請填寫及遞交適當的美國國稅局表格 W-8。	

B. Non-Financial Institution 非金融機構 You are NOT a financial institution and 貴公司屬非金融機構，及														
<input type="checkbox"/>	Active Business 有實質業務活動的機構 ➤ You derive at least 50% of your gross income (for the previous calendar year) from these business activities and not from passive income such as investments, dividends, interests, rents or royalties, and 貴公司至少 50% 總收入（以上一個曆年計）來自營業活動而非被動收入，例如：投資、股息、利息、租金或權利金，及 ➤ At least 50% of the weighted average percentage of assets held by you (tested quarterly, using fair market value or book value of assets as reflected in your balance sheet) produce or are held to produce income for these business activities 貴公司所持有之加權平均資產（每個季度於資產負債表依照資產的公允市價或帳面價值計算）至少有 50% 會產出或用以產出這些營業活動的收入	Active Non-Financial Foreign Entity 有實質業務活動的非金融外國實體												
<input type="checkbox"/>	Passive Investment 主要為被動投資收入的機構 You derive more than 50% of your gross income (for the previous calendar year) from income such as investments, dividends, interests, rents or royalties, and 貴公司超過 50% 總收入（以上一個曆年計）來自被動收入，例如：投資、股息、利息、租金或權利金，及 <input type="checkbox"/> You do not have substantial U.S. Owners who own at least 25% of your entity 貴公司並無屬於美國的主要股東（擁有 貴公司最少 25% 股權） <input type="checkbox"/> You have substantial U.S. Owners who own at least 25% of your entity, please fill up the following table 貴公司有屬於美國的主要股東（擁有 貴公司最少 25% 股權），如此項適用請填妥以下表格 <table border="1"> <thead> <tr> <th>Name 姓名</th> <th>Address 地址</th> <th>TIN 納稅人識別編號</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>	Name 姓名	Address 地址	TIN 納稅人識別編號										Passive Non-Financial Foreign Entity 主要為被動收入的非金融外國實體/ Passive Non-Financial Foreign Entity with US Controlling Persons 主要為被動收入的非金融外國實體而擁有美國股東
Name 姓名	Address 地址	TIN 納稅人識別編號												
<input type="checkbox"/>	You are none of the above and please complete and submit the appropriate U.S. IRS Form W-8. 貴公司不符合上述任何一項，在此情況下請填寫及遞交適當的美國國稅局表格 W-8。													

B. Declarations and Signature 聲明及簽署

I/We acknowledge and agree that (a) the information contained in this form is collected and may be kept by TMSHK 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 TMSHK 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/吾等知悉及同意，淘金者證券金融集團有限公司可根據《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/We certify that I am/We are authorized to sign for the account holder of all the account(s) to which this form relates. I/We undertake to advise TMSHK of any change in any information or any circumstances which affects the tax residency status of the entity identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide TMSHK with a suitably updated self-certification form within 30 days of such change in circumstances or information.

本人/吾等證明，就與本表格所有相關的帳戶，本人/吾等獲帳戶持有人授權簽署本表格。本人/吾等承諾，如任何資料有任何變更，或如情況有所改變，以致影響本表格所述的實體的稅務居民身分，或引致本表格所載的資料不正確，本人/吾等會通知淘金者證券金融集團有限公司，並會在情況發生改變後或資料變更後之30日內，向淘金者證券金融集團有限公司提交一份已適當更新的自我證明表格。

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

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

Authorized Signature and Business Chop

獲授人簽署及公司蓋章

Date (DD/MM/YYYY)

日期(日/月/年)

Company Name

公司名稱

Authorized Signatory(ies)

獲授權簽署人姓名

WARNING:**警告:**

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

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\$10,000）罰款。

Please complete this self-certification form carefully. Please refer to the information on the website of Hong Kong Inland Revenue Department

http://www.ird.gov.hk/eng/tax/dta_aeoi.htm or the website of OECD <http://www.oecd.org/tax/automatic-exchange/> or US IRS website <http://www.irs.gov/> and consult your tax, legal and/or other professional advisers if you have any question on or in relation to AEOL, FATCA, any of the U.S. IRS form (including which U.S. IRS form to complete and submit) or this self-certification form.

請小心填寫本自我證明表格。如閣下對於自動交換財務帳戶資料(AEOL)、FATCA或任何美國國稅局表格（包括需填寫及遞交哪一份美國國稅局表格）或本自我證明表格有任何疑問，請查詢香港稅務局網站

http://www.ird.gov.hk/chi/tax/dta_aeoi.htm、OECD網站 <http://www.oecd.org/tax/automatic-exchange/> 或美國國家稅務局網站 (<http://www.irs.gov/>)及諮詢閣下之稅務、法律及／或其他專業顧問。

- i. Participating FFI is an FFI that has agreed to comply with the terms of an FFI agreement. The term participating FFI also includes a qualified intermediary (QI) branch of a U.S. financial institution, unless such branch is a reporting Model 1 FFI.

參與的外國金融機構指已同意遵守外國金融機構協議條款的外國金融機構。參與的外國金融機構一詞亦包括美國金融機構的合資格中介人分公司，但如該分公司屬以版本一申報的外國金融機構除外。

- ii. A Registered Deemed Compliant FFI (RDCFFI) means: (1) an FFI that is registering to confirm that it meets the requirements to be treated as a local FFI, non-reporting FI member of a PFFI group, qualified collective investment vehicle, restricted fund, qualified credit card issuer, or sponsored investment entity or controlled foreign corporation (see Treas. Reg. §1.1471-5(f)(1)(i) for more information about these categories), (2) a Reporting FI under a Model 1 IGA and that is registering to obtain a GIIN, or (3) an FFI that is treated as a Non-reporting FI under a Model 1 or 2 IGA and that is registering pursuant to the applicable Model 1 or 2 IGA.

已註冊的視作合規外國金融機構指：(1)正進行註冊以確認其符合要求可被視為本地外國金融機構、參與的外國金融機構集團的非申報金融機構成員、合資格集體投資公司、受限制基金、合資格信用卡發行人或保薦投資實體或受控制外國公司（有關上述組別的更多資料請參閱美國財政部規例第1.1471-5(f)(1)(i)條）；(2)版本一政府間協議下正進行註冊以獲取全球中介人識別號碼的申報金融機構；或(3)被視為版本一或版本二政府間協議下的非申報金融機構並正按照適用的版本一或版本二政府間協議進行註冊的外國金融機構。

- iii. A Model 1 IGA means an agreement between the U.S. or the Treasury Department and a foreign government or one or more agencies to implement FATCA through reporting by FFIs to such foreign government or agency thereof, followed by automatic exchange of the reported information with the IRS. An FFI in a Model 1 IGA jurisdiction that performs account reporting to the jurisdiction's government is referred to as a Reporting Model 1 FFI.

版本一政府間協議指美國或美國財政部與外國政府或其一個或多個代理機構訂立的協議，透過由外國金融機構向該外國政府或其代理機構作出申報後繼而與美國國稅局自動交換申報資料而實行FATCA。版本一政府間協議司法管轄區內的外國金融機構如向該司法管轄區政府申報帳戶，即稱為以版本一申報的外國金融機構。

- iv. A model 2 IGA means an agreement or arrangement between the U.S. or the Treasury Department and a foreign government or one or more agencies to implement FATCA through reporting by FFIs directly to the IRS in accordance with the requirements of an FFI agreement, supplemented by the exchange of information between such foreign government or agency thereof and the IRS. An FFI in a Model 2 IGA jurisdiction that has entered into an FFI agreement is a participating FFI, but may be referred to as a reporting Model 2 FFI.

版本二政府間協議指美國或美國財政部與外國政府或其一個或多個代理機構訂立的協議或安排，透過由外國金融機構按照外國金融機構協議的規定直接向美國國稅局作出申報而實行FATCA，並由該外國政府或其代理機構與美國國稅局交換資料而作出補充。版本二政府間協議司法管轄區內的外國金融機構如已訂立外國金融機構協議即屬參與外國金融機構，但可稱為以版本二申報的外國金融機構。

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<i>Signature Verified By:</i>	<i>Account Holder Type</i>	<i>Tax Residence</i>	<i>TIN</i>	<i>Add</i>	<i>Update</i>
	<input type="checkbox"/> CRS101 Passive Non-Financial Entity with – one or more controlling person that is a Reportable Person	1. _____ 2. _____	1. _____ 2. _____	1. <input type="checkbox"/> 2. <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>
	<input type="checkbox"/> CRS102 Reportable Person	3. _____ 4. _____	3. _____ 4. _____	3. <input type="checkbox"/> 4. <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>
	<input type="checkbox"/> CRS103 Passive Non-Financial Entity that is a Reportable Person	5. _____	5. _____	5. <input type="checkbox"/>	<input type="checkbox"/>

SECTION 12(B)
第十二部份 (乙)

Self-Certification Form – Controlling Person
自我證明表格 – 控權人

*Please photocopy this page(s) separately if necessary.
如不敷應用，請另行影印此頁。

Controlling Person Information 控權人資料

Name:

姓名: _____

A. Certification of Account Status 帳戶狀況證明

Please complete the following information for controlling person. Please note that each controlling person is required to complete a separate self-certification form. 請填寫以下有關控權人的資料，每名控權人須分別填寫自證明表格。

Important Notes:

重要提示：

- ✧ This is a self-certification form provided by an account holder to TradeMaster Securities (Hong Kong) Limited (“TMSHK”) for the purpose of automatic exchange of financial account information. The data collected may be transmitted by TMSHK to the Inland Revenue Department for transfer to the tax authority of another jurisdiction. 這是由帳戶持有人向淘金者證券(香港)有限公司(下稱“淘金者”)提供的自我證明表格，以作自動交換財務帳戶資料用途。淘金者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 its tax residency status to TMSHK as soon as practicable. 如帳戶持有人的稅務居民身分或其他資料有所改變，應盡快將所有變更通知淘金者。
- ✧ All parts of the form must be completed (except for those not applicable or otherwise specified). If there is not enough space, you may provide your information on additional sheet(s). Information in fields/parts marked with an asterisk (*) are required to be reported by TMSHK 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(*)的項目為淘金者向稅務局申報的資料。

Part 1. Identification of Controlling Person 控權人資料

Name*: 名稱*:	Chinese: 中文:	Gender: 性別:	Place of Birth: 出生日期*: (DD) (MM) (YY) (日) (月) (年)
Passport/ID Type and No.: 身份證明文件類別 及號碼:	Type: 類別: No.: 號碼:	Nationality: 國籍:	Place of Birth: 出生地點:
Home Address*: 住宅地址*:	English: 中文:	Postal Code: 郵編:	
Correspondence Address (If different to above) 通訊地址: (若與上述不同)	English: 中文:	Postal Code: 郵編:	

Part 2. The Entity Account Holder(s) of which you are a controlling person 你作為控權人的實體帳戶持有人資料

Enter the name and Client No. of the entity account holder of which you are a controlling person.

填寫你作為控權人的實體帳戶持有人的名稱以及帳戶號碼。

Entity 實體	Name of the Entity Account Holder 實體帳戶持有人的名稱	Client No. of the Entity Account Holder 實體帳戶持有人的帳戶號碼
(1)		
(2)		
(3)		

III. Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”) *

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

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

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。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. If a TIN is unavailable, provide the appropriate reason A, B or C:

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：

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，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	Add / Update 新增 / 更新
(1)				
(2)				
(3)				
(4)				
(5)				

Part 4. Type of Controlling Person 控權人類別

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

就第2部所載的每個實體，在適當方格內加上✓號，指出控權人就每個實體所屬的控權人類別。

Type of Entity 實體類別	Type of Controlling Person 控權人類別	Entity 實體 (1)	Entity 實體 (2)	Entity 實體 (3)
Legal Person 法人	Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital) 擁有控制股權的個人（即擁有不少於百分之二十五的已發行股本）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who exercises control/is entitled to exercise control through other means (i.e. not less than 25% of voting rights) 以其他途徑行使控制權或有權行使控制權的個人（即擁有不少於百分之二十五的表決權）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who holds the position of senior managing official/ exercises ultimate control over the management of the entity 擔任該實體的高級管理人員/對該實體的管理行使最終控制權的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trust 信託	Legal Person 財產授予人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Trustee 受託人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trust 信託	Protector 保護人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Beneficiary or member of the class of beneficiaries 受益人或某類別受益人的成員	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary) 其他（例如：如財產授予人/受託人/保護人/受益人為另一實體，對該實體行使控制權的個人）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Legal Arrangement other than Trust 除信託以外的法律安排	Individual in a position equivalent/similar to settlor 處於相等/相類於財產授予人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to trustee 處於相等/相類於受託人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to protector 處於相等/相類於保護人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries 處於相等/相類於受益人或某類別受益人的成員位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (e.g. individual who exercises control over another entity being equivalent/similar to settlor/trustee/protector/beneficiary) 其他（例如：如處於相等/相類於財產授予人/受託人/保護人/受益人位置的人為另一實體，對該實體行使控制權的個人）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

B. Declarations and Signature 聲明及簽署

I acknowledge and agree that (i) the information contained in this form is collected and may be kept by TMSHK for the purpose of automatic exchange of financial account information, and (ii) such information and information regarding the controlling person and any reportable account(s) may be reported by TMSHK to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with tax authorities of another jurisdiction or jurisdictions in which the controlling person may be resident for tax purposes pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

本人知悉及同意，淘金者可根據《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)把該等資料和關於控權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，從而把資料轉交到控權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實體帳戶持有人所持有的帳戶，本人是控權人簽署本表格。本人承諾，如情況有所改變，以致影響本表格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，本人會通知淘金者，並會在情況發生改變後30日內，向淘金者提交一份已適當更新的自我證明表格。

I certify that I am the controlling person of all the account(s) held by the entity account holder(s) to which this form relates. I undertake to advise TMSHK 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 TMSHK with a suitably updated self-certification form within 30 days of such change in circumstances.

本人證明，就與本表格所有相關的帳戶，本人獲帳戶持有人授權簽署本表格。本人承諾，如任何資料有任何變更，或如情況有所改變，以致影響本表格所述的實體的稅務居民身分，或引致本表格所載的資料不正確，本人會通知淘金者，並會在情況發生改變後或資料變更後之30日內，向淘金者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 of controlling person 控權人簽署

Name of controlling person 控權人姓名

Date 日期

WARNING:

警告:

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

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\$10,000）罰款。

Please complete this self-certification form carefully. Please refer to the information on the website of Hong Kong Inland Revenue Department

http://www.ird.gov.hk/eng/tax/dta_aeoi.htm or the website of OECD <http://www.oecd.org/tax/automatic-exchange/> or US IRS website <http://www.irs.gov/> and consult your tax, legal and/or other professional advisers if you have any question on or in relation to AEOL, FATCA, any of the U.S. IRS form (including which U.S. IRS form to complete and submit) or this self-certification form.

請小心填寫本自我證明表格。如閣下對於自動交換財務帳戶資料(AEOI)、FATCA或任何美國國稅局表格(包括需填寫及遞交哪一份美國國稅局表格)或本自我證明表格有任何疑問，請查詢香港稅務局網站

http://www.ird.gov.hk/chi/tax/dta_aeoi.htm、OECD網站 <http://www.oecd.org/tax/automatic-exchange/> 或美國國家稅務局網站 (<http://www.irs.gov/>)及諮詢閣下之稅務、法律及/或其他專業顧問。

For Official Use Only

Signature Verified By:	Tax Residence	TIN	Add	Update
	1. _____	1. _____	1. <input type="checkbox"/>	<input type="checkbox"/>
	2. _____	2. _____	2. <input type="checkbox"/>	<input type="checkbox"/>
	3. _____	3. _____	3. <input type="checkbox"/>	<input type="checkbox"/>
	4. _____	4. _____	4. <input type="checkbox"/>	<input type="checkbox"/>
	5. _____	5. _____	5. <input type="checkbox"/>	<input type="checkbox"/>

SECTION 13
第十三部份

ANTI-MONEY LAUNDERING & ANTI-TERRORIST FINANCING QUESTIONNAIRE
防止洗黑錢及防止恐怖份子籌資活動問卷

請選答(i)、(ii)或(iii)其中一項 PLEASE ANSWER EITHER PART (i), (ii) OR (iii).

(i) 本地客戶(如香港居民) For Local Client (i.e. Residents of Hong Kong)		
A. 閣下並沒有與政界人士有聯繫? (政界人士：指目前或以往曾經擔任重要公職的人士，如國家或政府的首長，資深政客，政府高級官員和重要政黨官員等) Are you not linked to politically exposed persons? (Politically exposed person - individual who is or has been entrusted with prominent public function, e.g. head of state/government, senior politician, senior executive of government-owned corporation, important political party official, etc)	<input type="checkbox"/>	是 Yes
	<input type="checkbox"/>	否 No
B. 閣下的業務性質並不是特別容易蒙受較高的洗黑錢風險? (舉例：如會接觸大量現金往來，找換業或博彩業) Is the nature of your business not particularly susceptible to money laundering risk? (For example, money changer or casino business that handles large amount of cash)	<input type="checkbox"/>	是 Yes
	<input type="checkbox"/>	否 No
C. 閣下的金錢來源並不是源於或涉及非法所得? Does your money might not be arising from or related to proceeds of crimes?	<input type="checkbox"/>	是 Yes
	<input type="checkbox"/>	否 No
(ii) 海外客戶(如非本港居民) For Overseas Client (i.e. Non-residents of Hong Kong)		
A. 閣下居住的國家是否財務行動特別組織的成員或其隸屬? Is the country that you located is a member of the Financial Action Task Force ("FATF") or its affiliates?	<input type="checkbox"/>	是 Yes
	<input type="checkbox"/>	否 No
B. 如上題 (A) 的答案選擇“否”，閣下居住的國家是否已有現行的法律或條例立以制止洗黑錢的活動? If the answer to (A) is NO, are you located in a country with established laws/regulations designed to prevent money laundering?	<input type="checkbox"/>	是 Yes
	<input type="checkbox"/>	否 No
C. 如上題(B) 的答案選擇“否”，閣下是否受到現行的法律或條例所管制? If the answer to (B) is NO, are you subject to such laws/regulations?	<input type="checkbox"/>	是 Yes
	<input type="checkbox"/>	否 No
D. 閣下是否就反洗黑錢條例或反恐怖份子籌資活動條例維持著“無罪紀錄”？如否，請另外提交一份詳細的資料。 Have you maintained a "no conviction record" for anti-money laundering or anti-terrorist financing legislation? If no, please provide details on a separate sheet.	<input type="checkbox"/>	是 Yes
	<input type="checkbox"/>	否 No
(iii) 如閣下的業務涉及處理第三者的資產(如基金經理，股票經紀)，請回答以下的問題。 For client whose business involves handling third party assets (e.g. fund manager, stockbrokers), please answer the following questions.		
A. 閣下(包括外國的分行及子公司)是否已制訂書面政策，並執行內部程序和管理，以打擊洗黑錢的活動? Do you (including foreign branches and subsidiaries) have established written policies and implemented internal procedures and controls to combat money laundering?	<input type="checkbox"/>	是 Yes
	<input type="checkbox"/>	否 No
B. 閣下所屬的機構，就舉報可疑的活動和交易是否已確立程序向適當的監控組織報告? Are there documented procedures of your institution for reporting suspicious activities and transactions to the appropriate authorities?	<input type="checkbox"/>	是 Yes
	<input type="checkbox"/>	否 No
C. 閣下所屬的機構有否已制訂政策與程序，確保已採用合理方法去取得客戶真正身份的資料，並將有關資料於適用的法律所規定時限內予以保留? Has your institution established policies and procedures to ensure that reasonable measures are taken to obtain information about the true identity of its customers, and are these records retained for a period of time specified by the applicable law?	<input type="checkbox"/>	是 Yes
	<input type="checkbox"/>	否 No
(iv) 平均交易金額 (以港幣計) Average Size of Trades (HK\$)	<input type="checkbox"/> 港幣 HK\$10,000 <input type="checkbox"/> 港幣 HK\$50,000 -港幣 HK\$1,000,000	<input type="checkbox"/> 港幣 HK\$10,000 -港幣 HK\$50,000 <input type="checkbox"/> 港幣 HK\$1,000,000 或以上 or above
(v) 資金來源 Source of Funds	<i>(如有需要，可勾選多於一項)(tick more than one box, if appropriate)</i> <input type="checkbox"/> 薪金/佣金 Payroll/Commission <input type="checkbox"/> 積蓄 Savings <input type="checkbox"/> 投資收益 Investment Return <input type="checkbox"/> 售出物業 Sales of Property <input type="checkbox"/> 個人業務 Individual Business <input type="checkbox"/> 其他，請註明 Others, please specify _____	

Processing of Personal Data as part of the Stock Connect Northbound Trading 處理個人資料作為中華通北向交易的一部分

In view of TradeMaster Securities (Hong Kong) Limited's ("TMSHK") provision of Stock Connect Northbound Trading Services to you, you acknowledge and agree that TMSHK will be required to:

您/汝等知悉及同意淘金者證券(香港)有限公司（下稱“淘金者”）在通過中華通北向交易服務過程中，淘金者將被要求進行以下工作：

- (i) tag each of your orders submitted to the China Stock Connect ("CSC") with Broker-to-Client Assigned Number ("BCAN") that is unique to you (for you having single account) or to your joint account (for you having a joint account) with TMSHK, as appropriate; and
對提交到中華通交易系統的每一個客戶委託，增加一個獨一無二且專屬於客戶的券商客戶編碼（以下簡稱“BCAN”）（適用於客戶持有單一帳戶）或分配給客戶的聯名帳戶的 BCAN 碼（適用於客戶持有聯名帳戶）；及
- (ii) provide to the Exchange your assigned BCAN and such identification information ("Client Identification Data" or "CID") relating to you as the Exchange may request from time to time under the Rules of the Exchange.
向香港交易所（以下簡稱“交易所”）提供已經編配給客戶的 BCAN 及相關客戶識別資訊（以下稱“客戶識別資訊”或“CID”），交易所可根據交易所規則而不時提出要求。

Without limitation to any notification TMSHK have given you or consent TMSHK have obtained from you in respect of the processing of your personal data in connection with your account and TMSHK's services to you, you acknowledge and agree that TMSHK may collect, store, use, disclose and transfer personal data relating to you as required as part of TMSHK's Stock Connect Northbound Trading Service, including as follows:

在處理與您帳戶相關的個人資料以及向您提供服務時，在不限制淘金者已經向您作出的通知和已經取得的您的同意情況下，作為中華通北向交易服務的一部分，您知悉並同意淘金者可能會收集、存儲、使用、披露並傳輸您的個人資料，包括以下內容：

- (a) to disclose and transfer your BCAN and CID to the Exchange and the relevant SEHK Subsidiaries from time to time, including by indicating your BCAN when inputting a China Connect Order into the CSC, which will be further routed to the relevant China Connect Market Operator on a real-time basis;
不時向交易所及其相關聯交所子公司披露及傳輸您的 BCAN 及 CID，包括向中華通交易系統輸入委託指令時標明您的 BCAN，並將進一步即時傳遞至相關中華通市場運營者；
- (b) to allow each of the Exchange and the relevant SEHK Subsidiaries to: (i) collect, use and store your BCAN, CID and any consolidated, validated and mapped BCANs and CID information provided by the relevant China Connect Clearing House (in the case of storage, by any of them or via HKEX) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange; (ii) transfer such information to the relevant China Connect Market Operator (directly or through the relevant China Connect Clearing House) from time to time for the purposes set out in (c) and (d) below; and (iii) disclose such information to the relevant regulators and law enforcement agencies in Hong Kong so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets;
允許交易所及其相關聯交所子公司：(i) 收集、使用以及存儲您的 BCAN、CID 以及由相關中華通結算機構為市場監測監控目的和執行交易所規則而合併、驗證和配對的 BCAN 和 CID 資訊（資訊由中華通結算機構或交易所保存）；(ii) 為符合下文 (c) 及 (d) 規定的目的，不時將有關資料（直接或通過相關中華通結算機構）轉移給中華通市場運營者；(iii) 向香港的相關監管機構和執法機構披露有關資料，以促進其香港金融市場法定職能的履行；
- (c) to allow the relevant China Connect Clearing House to: (i) collect, use and store your BCAN and CID to facilitate the consolidation and validation of BCANs and CID and the mapping of BCANs and CID with its investor identification database, and provide such consolidated, validated and mapped BCANs and CID information to the relevant China Connect Market Operator, the Exchange and the relevant SEHK Subsidiary; (ii) use your BCAN and CID for the performance of its regulatory functions of securities account management; and (iii) disclose such information to the Mainland regulatory authorities and law enforcement agencies having jurisdiction over it so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets; and
允許相關中華通結算機構：(i) 收集、使用以及存儲您的 BCAN 和 CID，以促進 BCAN 和 CID 的整合和驗證，以及 BCAN 和 CID 與投資者資料庫的配對，並將相應整合、驗證和配對的 BCAN 和 CID 資訊提供給相關中華通市場運營者、交易所及其相關聯交所子公司；(ii) 使用您的 BCAN 和 CID 來履行其證券帳戶管理的監管職能；(iii) 向有管轄權的內地監管機構及執法機構披露有關資料，以促進其內地金融市場的監管、監察及執法職能的履行；
- (d) to allow the relevant China Connect Market Operator to: (i) collect, use and store your BCAN and CID to facilitate their surveillance and monitoring of securities trading on the relevant China Connect Market through the use of the China Connect Service and enforcement of the rules of the relevant China Connect Market Operator; and (ii) disclose such information to the Mainland regulatory authorities and law enforcement agencies so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets.
允許相關中華通市場運營者：(i) 收集、使用以及存儲您的 BCAN 和 CID，通過使用中華通服務及執行相關中華通市場營運商的規則，以促進其中華通市場的證券交易的監測監控；(ii) 向內地監管機構和執法機構披露有關資料，以協助履行其對金融市場的監管、監察及執法職能。

By instructing TMSHK in respect of any transaction relating to China Connect Securities, you acknowledge and agree that TMSHK may use your personal data for the purposes of complying with the requirements of the Exchange and its rules as in force from time to time in connection with the Stock Connect Northbound Trading. You also acknowledge that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, used, disclosed, transferred and otherwise processed for the above purposes, whether before or after such purported withdrawal of consent.

通過向淘金者發出關於中華通證券交易的指示，您知悉並同意，為符合與中華通北向交易相關而不時更新的交易所要求和規則，淘金者可以使用您的個人資料。您亦知悉，儘管您隨後聲稱撤回同意，但無論在您聲稱撤銷同意之前或之後，您的個人資料仍可繼續存儲、使用、披露、轉移以及其他處理以達到上述目的。

Consequences of failing to provide Personal Data or Consent

未能提供客戶同意書或個人資料所須承擔的後果

Failure to provide TMSHK with your personal data or consent as described above may mean that TMSHK will not, or no longer be able, as the case may be, to carry out your trading instructions or provide you with TMSHK's Stock Connect Northbound Trading Service. 未能向淘金者提供您的個人資料或作出上述同意，意味著根據具體情況淘金者將不會或不能執行您的交易指令或向您提供中華通北向交易服務。

Acknowledgement and Consent

確認及同意

I/We acknowledge I/We have read and understand the content of the above Personal Information Collection Statement of TMSHK. By ticking the box below, I/We signify my/our consent for TMSHK to use my/our personal data on the terms of and for the purposes set out in the Personal Information Collection Statement.

本人/吾等確認本人/吾等已經閱讀並理解淘金者個人資料收集聲明的內容。通過勾選下面的方框，本人/吾等同意淘金者根據個人資料收集聲明中的條款和目的使用我的個人資料。

- I/We agree to TMSHK's use of my/our personal data for the purposes set out in the Personal Information Collection Statement.
本人/吾等同意淘金者將本人/吾等的個人資料用於個人資料收集聲明所載的目的。

Client Signature 客戶簽署

Date 日期: _____

**FOR OFFICIAL
USE ONLY**
由本公司填寫

**ACCOUNT OPENING APPROVAL FORM
(CORPORATE ACCOUNT)**

	Attached copies submitted by AE		Checked by OPS	
	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
1. Signature of a suitable certifier as witness in the ac opening form	-		Yes <input type="checkbox"/>	No <input type="checkbox"/>
2. CTC of Identity Card / Passport copy of the shareholder(s), director(s), partner(s), authorized person(s)?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
3. Presence Proof	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
4. Personal Residential proof of the shareholder(s), director(s), partner(s), authorized person(s)? Original / CTC of copy	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
5. Related Account	-		Yes <input type="checkbox"/>	No <input type="checkbox"/>
6. Relationship with Director / Staff / Sales Representative (Name: _____)	-		Yes <input type="checkbox"/>	No <input type="checkbox"/>
7. Financial proof (for Margin only)	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
8. Others: _____	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
9. Professional Investor	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
10. With derivative experience	-		Yes <input type="checkbox"/>	No <input type="checkbox"/>
11. AML Risk Classification*	Low / Medium / High			

Completed by Operation Staff

Staff:	Signature:	Date:
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Remark:

Approved by *ONE Director AND ONE RO for high risk client

Staff:	Signature:	Date:
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Account No.: Securities Account _____

AE Code: _____ AE Name: _____

Company incorporated IN Hong Kong^S &

香港註冊公司

Company incorporated OUTSIDE Hong Kong[&]

海外註冊公司 &

<p>a) “Account Opening Form (Corporate Account) of the Agreement” * 「協議書之(公司帳戶)開戶申請表」*</p> <p>b) Board Resolutions for Account Opening 有關批准開帳戶之會議記錄</p> <p>c) CTC[#] of Certificate of Incorporation 公司註冊證書之核證真實副本[#]</p> <p>d) CTC[#] of Business Registration Certificate 商業登記牌照之核證真實副本[#]</p> <p>e) CTC[#] of Memorandum and Articles of Association 公司組織大綱及章程之核證真實副本[#]</p> <p>f) CTC[#] of Identity Card / Passport of 下列人士的身份證/護照之核證真實副本[#] (1) persons with 10% or more controlling interest (not applicable to public company) 擁有不少於 10%控制權人士之主要股東 (上市公司不適用) (2) all directors 所有董事 (3) all authorized signatories 所有獲授權簽署人士 (4) all ULTIMATE beneficial owners (not applicable to public company) 所有最終實益擁有人 (上市公司不適用)</p> <p>g) CTC[#] of Residential Address proof issued within the last three months (e.g. utility bills, bank statements, land line telephone bills, mobile phone statement sent to the address provided by the client or credit card statements issued by licensed banks) 下列人士的最近三個月的住址證明 (如水電費單、銀行結單、固網電話費單，寄往客戶所提供的地址的流動電話結單或由持牌銀行所發出信用卡帳單)之核證真實副本[#] (1) persons with 10% or more controlling interest (not applicable to public company) 擁有不少於 10%控制權人士之主要股東 (上市公司不適用) (2) all directors 所有董事 (3) all authorized signatories 所有獲授權簽署人士 (4) all ULTIMATE beneficial owners (not applicable to public company) 所有最終實益擁有人 (上市公司不適用)</p> <p>h) CTC[#] of the latest Audited Financial Statements 最近期經審核財務報告之核證真實副本[#]</p>	<p>a) “Account Opening Form (Corporate Account) of the Agreement” * 「協議書之(公司帳戶)開戶申請表」*</p> <p>b) Board Resolutions for Account Opening 有關批准開帳戶之會議記錄</p> <p>c) CTC[#] of Certificate of Incorporation 公司註冊證書之核證真實副本[#]</p> <p>d) CTC[#] of Memorandum and Articles of Association 公司組織大綱及章程之核證真實副本[#]</p> <p>e) CTC[#] of Business Registration Certificate (if applicable) 商業登記牌照之核證真實副本[#](如適用)</p> <p>f) CTC[#] of Identity Card / Passport of 下列人士的身份證/護照之核證真實副本[#] (1) persons with 10% or more controlling interest (not applicable to public company) 擁有不少於 10%控制權人士之主要股東 (上市公司不適用) (2) all directors 所有董事 (3) all authorized signatories 所有獲授權簽署人士 (4) all ULTIMATE beneficial owners (not applicable to public company) 所有最終實益擁有人 (上市公司不適用)</p> <p>g) CTC[#] of Residential Address proof issued within the last three months (e.g. utility bills, bank statements, land line telephone bills, mobile phone statement sent to the address provided by the client or credit card statements issued by licensed banks) 下列人士的最近三個月的住址證明 (如水電費單、銀行結單、固網電話費單，寄往客戶所提供的地址的流動電話結單或由持牌銀行所發出信用卡帳單)之核證真實副本[#] (1) persons with 10% or more controlling interest (not applicable to public company) 擁有不少於 10%控制權人士之主要股東 (上市公司不適用) (2) all directors 所有董事 (3) all authorized signatories 所有獲授權簽署人士 (4) all ULTIMATE beneficial owners (not applicable to public company) 所有最終實益擁有人 (上市公司不適用)</p> <p>h) Certificate of Incumbency issued by the company’s registered agent in the place of incorporation[^] 由有關公司的當地註冊代理人簽發的職權證明書 (現任職位證明書)[^]</p> <p>i) CTC[#] of Register of Directors 董事記錄之核證真實副本[#]</p> <p>j) CTC[#] of Register of Members (not applicable to public company) 股東記錄之核證真實副本[#](上市公司不適用)</p> <p>k) CTC[#] of Annual Accounts for the latest Financial Year (if applicable) 最新財政年度之年報之核證真實副本[#](如適用)</p>
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- # 1) A suitable certifier shall include a Notary Public, Lawyer, Certified Public Accountant, a Chartered Secretary, a Branch Manager of a licensed Bank, a Justice of Peace, an officer of an embassy, consulate or high commission of the country of issue of documentary verification of identity or any other SFC licensed person.
適合的證明人包括公證人、律師、會計師、特許秘書、持牌銀行分行經理、太平紳士、發出身分核實文件的國家的大使館、領事館或高級專員公署的人員或其他證監會持牌人。
- 2) The signature and official stamp of the certifier should be placed on the first page of the copy document and the number of pages should be stated
應在文件副本首頁簽署及蓋上正式印章，並註明頁數
- + 1) certifying the **signing** of the Account Opening Form by the Client &
見證客戶於開戶申請表上簽署
- 2) **sighting** of the original documentation and that the copy document which has been certified is a complete and accurate copy of that original
證明已查閱文件正本，而該文件的副本為該正本的完整及真確副本
- \$ Company Search will be conducted by TMSHK
淘金者將會進行公司查冊
- & For companies with multiple layers in their ownership structures, please obtain a director's declaration incorporating or annexing an ownership chart illustrating the ownership and control structure of the company describing the intermediate layers (if applicable).
至於有多層擁有權結構的公司，請取得納入或附有有關公司擁有權及控制權結構圖表的董事聲明，而有關董事聲明對中介層須有所描述 (在適當情況下)。
- ^ Certificate should have been issued within the last 6 months.
證明書理應在過去六個月內發出。