



永豐金證券(亞洲)有限公司 SinoPac Securities (Asia) Limited

Exchange Participant of The Stock Exchange of Hong Kong Limited

ACCOUNT OPENING FORM (Securities (Cash/Margin) / Futures) 開戶表格 (證券 (現金 / 保證金) / 期貨)

(Individual / Joint Account)

(個人 / 聯名帳戶)

Client Name 客戶姓名 : _____

Account No. 客戶帳號 : _____

Registered Office: 7th Floor, Lee Garden Three, 1 Sunning Road, Causeway Bay, Hong Kong

註冊辦事處：香港銅鑼灣新寧道一號利園三期七樓

Tel. 電話 : (852) 2586-8288 Fax 傳真 : (852) 2586-8300

SinoPac Securities (Asia) Ltd is a licensed corporation for Types 1, 2, 4, 5 and 9 regulated activities under the Securities and Futures Ordinance (CE Number: BIZ502).

永豐金證券(亞洲)有限公司乃一家根據《證券及期貨條例》獲發牌進行第一、二、四、五及第九類受規管活動的持牌法團(中央編號：BIZ502)。

IMPORTANT: If this Account Opening Form is accompanied by a Chinese version, in the event of any inconsistency, the English version of this Account Opening Form shall prevail.

重要提示：倘若本開戶表格附帶中文版，而與英文版有任何歧異，以英文版為準。

Account Opening Guide 開戶須知

Individual/Joint Account Documents Checklist

個人 / 聯名帳戶文件清單

Where this Account Opening Form is executed in the presence of an employee of SinoPac Securities (Asia) Limited, the Client shall provide the documents as required in Box A.

如本開戶表格於永豐金證券（亞洲）有限公司的僱員見證下簽署，則客戶須提供列明於 A 欄內的文件。

Where this Account Opening Form is not executed in the presence of an employee of SinoPac Securities (Asia) Limited, the Client may choose to provide the documents as required in Box B or C.

如本開戶表格並非於永豐金證券（亞洲）有限公司的僱員見證下簽署，則客戶可選擇提供列明於 B 欄或 C 欄內的文件。

Box A (A 欄)	Box B (B 欄)	Box C (C 欄)
<ul style="list-style-type: none"> <input type="checkbox"/> Signed copy of this Account Opening Form 本開戶表格的簽署本 <input type="checkbox"/> A Signature Card (Please use the form on page 11) 印鑑卡一份 (請用第 11 頁之表格) <input type="checkbox"/> Certified true copy of ID Card (Both Sides) / Passport of Client 客戶之身份證正反面或護照經認證真確副本 <input type="checkbox"/> Certified true copy of valid travel documents (for non Hong Kong permanent resident or non Hong Kong resident) 客戶之有效旅遊證件經認證真確副本 (適用於非 香港永久性居民及非香港居民) <input type="checkbox"/> Proof of Residential Address dated within 3 months (e.g. utility or telephone bill, investment statement, the address as stated in the ID) 三個月內發出之住址證明 (如：水電費或電話帳 單、投資月結單、身份證上之地址) <input type="checkbox"/> Certified true copy of ID Card (Both Sides) / Passport and residential address proof of beneficial owner (if applicable) 最終受益人之身份證正反面或護照經認證真確副 本及住址證明 (如適用) <input type="checkbox"/> Consent letter from employer (if client is a SFC licensed person or employee of another licensed corporation or registered institution) 僱主同意書 (如客戶為證監會註冊人士或受僱於 證監會發牌機構) <input type="checkbox"/> W-8BEN (non U.S. taxpayer) (please use Form 1 on Page 1 of Supplemental Documents) W-8BEN 表格 (非美國稅務居民) (請用補充文 件第 1 頁之表格一) <input type="checkbox"/> CRS (Common Reporting Standard) Self Certification Form - Individual (please use Form 2 on Page 3 of Supplemental Documents) 共同匯報標準自我證明表格 - 個人 (請用補充文 件第 3 頁之表格二) <input type="checkbox"/> Letter of Authorization (please use Form 3 on Page 7 of Supplemental Documents) (if applicable) 授權書 (請用補充文件第 7 頁之表格三) (如適用) <input type="checkbox"/> Certified true copy of ID Card (Both Sides) / Passport and residential address proof of authorised person (if applicable) 被授權人之身份證正反面或護照經認證真確副本 及住址證明 (如適用) <input type="checkbox"/> Standing Authority (please use Form 4 on Page 8 of Supplemental Documents) (if opening a Margin Account) 常設授權書 (請用補充文件第 8 頁之表格四) (如 欲開立保證金帳戶) <input type="checkbox"/> Margin Facility Agreement (please use Form 5 on Page 9 of Supplemental Documents) (if opening a Margin Account) 保證金融資協議書 (請用補充文件第 9 頁之表格 五) (如欲開立保證金帳戶) <input type="checkbox"/> Confirmation in Respect of Correspondence Instruction (please use Form 6 on Page 10 of Supplemental Documents) (if opening a Joint Account) 有關通訊指示的確認 (請用補充文件第 10 頁之 表格六) (如欲開立聯名帳戶) <p>(Account Executive must certify and sign if any of the abovementioned document is a copy) (以上任何文件若為副本須由客戶主任認證及簽署)</p>	<p>Documents set out in Box A which shall be certified by: A 欄所載的文件須由下列人士認證：</p> <ul style="list-style-type: none"> (a) a person licensed by or registered with the SFC or its affiliate; 獲證監會發牌或註冊的人士或其聯 號； (b) a Justice of the Peace; or 太平紳士；或 (c) a professional person such as a branch manager of a bank, a certified public accountant, a lawyer, a notary public or a chartered secretary. 專業人士，例如銀行分行經理、執 業會計師、律師、公證人或特許秘 書等。 	<p>Documents set out in Box A, AND: A 欄所載的文件，及： (not applicable for opening Joint Account) (不適用於開立聯名帳戶)</p> <ul style="list-style-type: none"> - provide a cheque in the amount of not less than HK\$10,000 bearing the Client's name (as shown in HKID Card or Passport) issued by the Client and drawn on the Client's account with a licensed bank in Hong Kong (the signature on the cheque and the signature on the Account Opening Form must be the same); and 客戶由名下於香港的持牌銀行開設的 帳戶發出不少於一萬港元的支票 (該 支票的簽署必須與開戶表格的簽署相 同)；及 - Account(s) will not be activated until the cheque is cleared. 帳戶須於該支票兌現後始能啓用。

Education Level 教育程度

- Below Secondary 中學以下 Secondary 中學 Tertiary/University or above 大專 / 大學或以上

Employment Status 職業現況 (must choose one 必須選一項)

- Employed 受僱 Self-employed 自僱 No employment 非受僱 Student 學生 Retired 退休
 Other 其他 (Please specify 請註明) _____

Name of Employer (or if self-employed, name of Self-Owned Business)

僱主名稱 (若自僱, 請填上身為東主的業務名稱) _____

Occupation

Position

Year(s) employed

職業 _____ 職位 _____ 任職年期 _____

Annual business turnover in preceding year (in HK\$) (applicable to self-employed only)

Year

上一年的年度營業額 (港元) (只適用於自僱) _____ 年份 _____

Address of Employer (or if self-employed, address of Self-Owned Business)

僱主地址 (若自僱, 請填上身為東主的業務地址)

(P.O. Box not acceptable) (不接受郵政信箱) _____

Trade Confirmation 交易核實資料書 (choose one only 只可選一項)

(Not applicable to Futures Account 不適用於期貨帳戶)

- Receive trade confirmation via E-mail 透過電郵索取交易核實資料書
 Receive trade confirmation via Facsimile 透過傳真索取交易核實資料書
 No trade confirmation required* 不需要交易核實資料書*

* Despite your choice of not receiving trade confirmation, SinoPac Securities (Asia) Limited may still need to provide you trade confirmations on certain occasions in order to comply with regulatory requirements. In such cases, trade confirmation will be sent to the address you have selected to receive Daily / Monthly Statements.

* 縱使閣下選擇不收取交易核實資料書, 為合乎法規要求, 在某些情況下永豐金證券(亞洲)有限公司可能仍需要向閣下提供交易核實資料書。在此等情況下, 交易核實資料書將發送至閣下所選取的收取日/月結單的地址。

Address for Daily / Monthly Statements 寄送日/月結單的地址

(Facsimile Service NOT available to Futures Account 期貨帳戶不能選用傳真服務)

- Electronic Services to E-mail Address 經電子服務發送到電郵地址
 Electronic Services to Facsimile Number 經電子服務發送到傳真號碼
 Mailing Services to 郵遞服務寄送到 (choose one only 只可選一項)

(Subject to a Physical Statement Annual Fee for each Account. Please refer to the fee schedule on the website of SinoPac Securities (Asia) Limited for details. 就每一帳戶須支付實體結單年費, 詳情請瀏覽永豐金證券(亞洲)有限公司網頁內的收費表。)

- Residential/Permanent Address 住宅地址 / 戶籍地址
 Company/Business Address 公司 / 營業地址
 Correspondence Address 通訊地址

2. Financial Profile and Anticipated Activities 財務狀況及預期戶口活動

(if no employment, must describe source of funds 如非受僱, 必須填寫資金來源)

Source of origin of funds 資金來源 (choose one or more 可選多項)

- Salary & Commission 薪金及佣金 Business Profit 業務溢利 Rent 租金
 Dividend/Interest 股息 / 利息 Others (Please specify) 其他 (請註明): _____

Source of Wealth 財富來源 (choose one or more 可選多項)

- Salary 薪金 Business Income 營業收入 Saving 儲蓄
 Inheritance 遺產 Sale of Investments 銷售投資 Sale of Property or Assets 出售物業或資產
 Others (Please specify) 其他 (請註明): _____

Estimated annual income (in HK\$) 估計年度收入 (港元)

- Less than 少於 200,000 200,001 – 500,000 500,001 – 1,000,000
 1,000,001 – 2,000,000 2,000,001 – 5,000,000 over 多於 5,000,000

Approximate net value of assets (in HK\$) 概約資產淨值 (港元)

- Less than 少於 500,000 500,001 – 1,000,000 1,000,001 – 3,000,000
 3,000,001 – 8,000,000 8,000,001 – 40,000,000 over 多於 40,000,000

Anticipated nature of account activities 預期戶口活動性質 (choose one or more 可選多項)

- Listed equities Listed futures / options Placement
 OTC products Fund Others (Please specify): _____

Anticipated level of account activities (in HK\$) 預期戶口投資金額 (港元)

- Less than 少於 500,000 500,001 – 1,000,000 1,000,001 – 3,000,000
 3,000,001 – 8,000,000 8,000,001 – 40,000,000 over 多於 40,000,000

3. Receiving Bank Account 收款銀行帳戶

Please provide details of your bank account as the settlement account to which your money will be transferred.
請提供可供轉入 閣下款項的銀行帳戶詳情。

(1) Name of Bank 銀行名稱 : _____	(2) Name of Bank 銀行名稱 : _____
Address 地址 : _____	Address 地址 : _____
Account Name 帳戶姓名 / 名稱 : _____	Account Name 帳戶姓名 / 名稱 : _____
Account No. 帳戶號碼 : _____	Account No. 帳戶號碼 : _____
Account Type (If applicable) 帳戶類別 (如適用) : _____	Account Type (If applicable) 帳戶類別 (如適用) : _____

4. Disclosure of Identity 披露身份

Are you a person, or director or employee of a person, licensed by or registered with Securities and Futures Commission Hong Kong?
閣下是否香港證券及期貨事務監察委員會發牌或註冊人士或該人士之董事或僱員?

- No 否
 Yes 是 (insert details below 請提供資料)

Name of the licensed or registered person (If applicable) 持牌或註冊人士姓名 / 名稱 (如適用)

(Please attach consent letter from employer 請提供僱主同意書)

Are you a U.S. person?

閣下是否美籍人士?

- No 否
 Yes 是

Are you holding or will acquire or hold securities and/or futures beneficially owned by or for a U.S. person?

閣下是否現持有又或將會以信託人身份替其他美籍人士買入或持有證券及 / 或期貨?

- No 否
 Yes 是

5. Introducer 介紹人

Name of Introducer 介紹人姓名	Address 地址	Tel No. 聯絡電話	Relationship with you 與閣下的關係
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_____	_____	_____	_____
_____	_____	_____	_____

6. Other Accounts with SinoPac Securities (Asia) Limited 於永豐金證券 (亞洲) 有限公司的其他帳戶

Do you have any securities or other account with SinoPac Securities (Asia) Limited or its associates?

閣下是否於永豐金證券 (亞洲) 有限公司或其聯號持有任何證券或其他帳戶?

- No 否
 Yes 是 (insert details below 請填寫以下資料)

Name of Account 帳戶姓名 / 名稱 SinoPac Securities (Asia) Limited 永豐金證券 (亞洲) 有限公司 / Account Number 帳戶號碼
or its associates (Please Specify) 或其聯號 (請列明)

_____	_____	_____
_____	_____	_____

7. Declaration of Instruction Originator 指示發出人聲明

I/We hereby declare that I/we am/are ultimately responsible for originating instructions for the transactions of the Account(s):

本人 / 吾等現聲明本人 / 吾等全權負責發出該帳戶之交易指示:

- Yes 是
 No 否

Note: A separate Letter of Authorization (please use Form 3 on Page 7 of Supplemental Documents) shall be signed by the Account Holder(s) if a non-account holder is to be appointed to operate the Account(s).

註: 如有關帳戶將委任非帳戶持有人管理, 帳戶持有人須簽署另一份授權書 (請用補充文件第 7 頁之表格三)。

8. Declaration of Ownership 擁有權聲明

I/We hereby declare that I/we am/are the ultimate beneficial owner(s) of the Account(s) 本人/吾等現聲明本人/吾等為該帳戶之最終受益人：

Yes 是

No, particulars of ultimate beneficial owner(s) are as follows 否，下列為最終受益人資料：

(Please provide the certified true copy of ID Card or Passport and Address Proof of all ultimate beneficial owner(s))

(請提供所有最終受益人之身份證或護照經認證真確副本及住址證明)

Name 姓名 / 名稱 _____

*ID/Passport/Cert of Incorpor No. * 身份證 / 護照 / 公司註冊成立證書號碼 _____

Address 地址 _____

* Delete if not applicable 請將不適用者刪去

9. Declaration of Relationship 關係聲明

Are you related to any director, officer or employee of SinoPac Securities (Asia) Limited, or its associates, e.g. family member or hold any beneficial interest?

閣下是否與永豐金證券(亞洲)有限公司之任何董事、主管人員或僱員或其聯號有任何關連，如家庭成員或有任何實益權益？

No 否

Yes 是 (insert details below 請填寫以下資料)

Name 姓名	Position 職位	Relationship 關係
_____	_____	_____
_____	_____	_____

Are your spouse a client of SinoPac Securities (Asia) Limited or its associates?

閣下之配偶是否永豐金證券(亞洲)有限公司或其聯號之客戶？

N/A 不適用

No 否

Yes 是 (insert details below 請填寫以下資料)

Name of Account 帳戶姓名 / 名稱	SinoPac Securities (Asia) Limited 永豐金證券(亞洲)有限公司 / or its associates (Please Specify) 或其聯號 (請列明)	Account Number 帳戶號碼
_____	_____	_____

Do you and/or your spouse control 35% or more of the voting rights of any client of SinoPac Securities (Asia) Limited or its associates?

閣下及 / 或閣下之配偶是否控制永豐金證券(亞洲)有限公司或其聯號任何客戶的表決權 35% 或以上？

No 否

Yes 是 (insert details below 請提供資料)

Name of Account 帳戶姓名 / 名稱	SinoPac Securities (Asia) Limited 永豐金證券(亞洲)有限公司 / or its associates (Please Specify) 或其聯號 (請列明)	Account Number 帳戶號碼
_____	_____	_____

10. Credit Reference 信貸參考 (For Margin Account Only 只適用於保證金帳戶)

Bank references 銀行參考資料

Name of Bank 銀行名稱	Address 地址	Type of Account 帳戶類別	Account Number 帳戶號碼
_____	_____	_____	_____
_____	_____	_____	_____

Other Broker references 其他經紀商參考資料

Name of Broker 經紀商名稱	Address 地址	Type of Account 帳戶類別	Account Number 帳戶號碼
_____	_____	_____	_____
_____	_____	_____	_____

11. Settlement Details 結算詳情 (for HK market DVP settlement only) (只適用於香港市場貨銀對付結算)

Custodian Bank 託管銀行：_____ Account Name 帳戶名稱：_____

CCASS ID (if applicable) 中央結算系統號碼 (如適用)：_____ Securities Account No. 證券帳戶號碼：_____

For the other account holders, please fill in the details in “Account Opening Form – Joint Account (Continuation)”
其它帳戶持有人請使用“開戶表格 - 聯名帳戶(附頁)”填寫客戶資料

12. Acknowledgement, Declaration & Signatures 承諾、聲明及簽署

The undersigned hereby acknowledges, declares and confirms that: 以下簽署人謹此承諾、聲明並確認：

- The information set out in this Account Opening Form is true, complete and correct and SinoPac Securities (Asia) Limited is entitled to rely fully on such information for all purposes relating to the Account(s) and the transactions contemplated by the SinoPac Securities (Asia) Limited Terms and Conditions (“**Terms and Conditions**”). The undersigned undertakes to notify SinoPac Securities (Asia) Limited promptly in case of any change of information; 本開戶表格內所載資料屬真實、完整及為正確無誤，而永豐金證券(亞洲)有限公司有權全面依賴此等資料就有關帳戶及按照永豐金證券(亞洲)有限公司條款及條件(「條款及條件」)預計進行的交易作任何用途。倘資料有任何更改，以下簽署人承諾盡快知會永豐金證券(亞洲)有限公司；
 - The undersigned has received, read and understood the Terms and Conditions (including the schedules, appendices and annexes thereto, if any), and the undersigned accepts and agrees to be bound by them; 以下簽署人已收到、閱讀及明白條款及條件(包括其附表、附錄及附件(如有))，且接納並同意受該等條款約束；
 - The risk disclosure statements and disclaimers (as contained in the Terms and Conditions) were provided to the undersigned in a language of the undersigned’s choice (English or Chinese); 風險披露聲明及免責聲明(載於條款及條件內)按以下簽署人選擇的語言(英文或中文)的版本提供予以下簽署人；
 - The undersigned was invited to read the risk disclosure statements, and to ask questions and take independent advice if the undersigned so wishes; 以下簽署人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；
 - The documentation on the Nasdaq-Amex Pilot Program has been provided to the undersigned in a language of the undersigned’s choice as set out in the Terms and Conditions (not applicable to Futures Account); 納斯達克—美國證券交易所試驗計劃的文件已按條款及條件內所載以下簽署人選擇的語言的版本提供予以下簽署人(不適用於期貨帳戶)；
 - The undersigned undertakes to promptly notify SinoPac Securities (Asia) Limited if the undersigned becomes employed by any licensed or registered person with Securities and Futures Commission Hong Kong; 倘以下簽署人受聘於香港證券及期貨事務監察委員會發牌或註冊的任何人士，則以下簽署人承諾盡快通知永豐金證券(亞洲)有限公司；
 - The undersigned is over 18 years of age; 以下簽署人已年滿十八歲；
 - The undersigned 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 the undersigned confirms that the person(s) whose particulars are so provided 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，否則以下簽署人乃以及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，則以下簽署人確認所供詳情的人士(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)；
 - The undersigned 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, and to perform all the undersigned’s obligations under this Account Opening Form and the Terms and Conditions, and this Account Opening Form and the Terms and Conditions constitute valid and legally binding obligations on the undersigned enforceable in accordance with their respective terms; and 以下簽署人獲授權，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)、進行條款及條件預計進行的交易，及根據本開戶表格以及其條款及條件履行以下簽署人的所有義務，而本開戶表格以及其條款及條件按照其各自的條款，構成對以下簽署人可強制執行的有效和具有法律約束力的義務；及
 - The undersigned has read and understood the privacy policy of SinoPac Securities (Asia) Limited set out in the “Notice to Customers Relating to the Personal Data (Privacy) Ordinance”, “GDPR Privacy Statements” (where applicable) and “Notice to Customers Relating to the Use of Personal Data Relating to Tax Compliance” contained in the Terms and Conditions (collectively “Privacy Policy”). The undersigned agrees that the personal data collected by SinoPac Securities (Asia) Limited from time to time may be used and disclosed for such purpose and to such persons (whether in or outside Hong Kong) as set out in the Privacy Policy. The undersigned accepts SinoPac Securities (Asia) Limited may use the undersigned’s personal data for direct marketing. (Please check the box below if the undersigned opposes the use of the personal data for direct marketing.) 以下簽署人已閱讀及明白永豐金證券(亞洲)有限公司於條款及條件中「給予客戶關於《個人資料(私隱)條例》的客戶通知」、「歐盟個人資料保護規則(GDPR)私隱政策聲明」(如適用)及「關於就稅務合規使用個人資料的客戶通知」所載之私隱政策(合稱「私隱政策」)。以下簽署人同意由永豐金證券(亞洲)有限公司不時蒐集的個人資料可按照私隱政策用於其所用途及向其所述人士(不論在香港境內或境外)披露。以下簽署人接受永豐金證券(亞洲)有限公司可使用其個人資料作直接促銷。(如以下簽署人反對個人資料被用作直接促銷，請於以下空格填上(「✓」)號。)
- The undersigned objects to the proposed use of his/her personal data in direct marketing.
以下簽署人反對使用其個人資料作直接促銷用途。
- Joint Account only: Each joint account holder agrees that instructions may be given to SinoPac Securities (Asia) Limited by any one of the joint account holders and hereby declares that the Joint Account(s) are held by the joint account holders with right of survivorship.**
只適用於聯名帳戶：各聯名帳戶持有人同意，任何一名聯名帳戶持有人可向永豐金證券(亞洲)有限公司發出指示，及謹此聲明，該聯名帳戶是以存續之聯名帳戶持有人享有全部所有權的方式持有。

Signature of Client

客戶簽署

Name 姓名：

Date 日期： (日/月/年)
(dd/mm/yyyy)

Signature of Client (for joint account holder only)

客戶簽署(只適用於聯名帳戶另一持有人)

Name 姓名：

Date 日期： (日/月/年)
(dd/mm/yyyy)

For Office Use Only 只供本公司使用

Declaration by SinoPac Securities (Asia) Limited Licensed Staff

永豐金證券(亞洲)有限公司職員的聲明

I, named below, a licensed staff member of SinoPac Securities (Asia) Limited, hereby declare that I have:

- 本人(姓名見下)，為永豐金證券(亞洲)有限公司之持牌職員，謹此聲明，本人：
- met and identified each of the person(s) who executed this Form in front of me, and reviewed the original of his/their ID card(s) or passport(s); and 確實與本表格簽署人會面及識別各人(一名或多名)，並核對其身份證或護照正本，他(們)並在本人面前簽署本表格；及
 - provided to him/each of them the risk disclosure statements (as contained in the Terms and Conditions) in a language of his/their choice (English or Chinese); and 已以客戶選擇的語言(英文或中文)提供風險披露聲明(載於條款及條件內)；及
 - invited him/each of them to read the risk disclosure statements, ask questions and take independent advice if he/each of them so wishes. 已邀請客戶/他們各自詳閱風險披露聲明，並按客戶的意願提出問題及如有需要可諮詢獨立意見。

Signature of Staff 職員簽署

Staff Name 職員姓名：

Staff Designation 職員職銜：

Staff CE Number 職員中央編號：

Date 日期：

Certification 認證

(Must be completed where this Form is not signed in front of a licensed staff member of SinoPac Securities (Asia) Limited)

(如本表格並非在永豐金證券(亞洲)有限公司持牌職員面前簽署，須填寫此欄)
To be certified by a person licensed or registered with Securities and Futures Commission Hong Kong or its affiliate, a Justice of the Peace, or a professional person (such as a branch manager of a bank, certified public accountant, lawyer or notary public).

由香港證券及期貨事務監察委員會發牌或註冊之人士或其聯號、太平紳士或專業人士(例如銀行分行經理、執業會計師、律師或公證人)認證。

I, named below, certify that I have met and identified each of the person(s) who executed this Form in front of me, and reviewed the original of his/their ID card(s) or passport(s).

本人(姓名見下)確實已經與本表格簽署人會面及識別各人(一名或多名)，並核對其身份證或護照正本，他(們)並在本人面前簽署本表格。

Witness Signature 見證人簽署

Name 姓名：

Profession 職業：

CE Number (if applicable) 中央編號(如適用)：

Date 日期：

Client Investment Suitability Questionnaire

客戶投資屬性問卷

(1) This assessment is designed to help you consider your attitude toward investment risk. It asks questions which provide some indications of the overall general attitude toward risk for a typical investor displaying your personal investment characteristics. It may not match your actual attitude toward investment risk, but it indicates the profile you fit into. Please refer to our Assessment Disclaimer Statement.

本評估表依據合理的假設及預估架構設計，協助您瞭解本身的風險承受度、理財需求與投資屬性，方便您設定理財規劃。相關評估數據僅供參考並不一定實際反映您對投資風險的態度。請參閱評估表責任聲明說明。

Please tick the appropriate boxes. 請於適當空格填上「✓」號。

<p>1. How many years of investment experience do you have? 一. 請問您的投資累積資歷為何?</p> <p><input type="checkbox"/> A. None 完全沒有經驗 [Score 1 分]</p> <p><input type="checkbox"/> B. 1 - 3 years 年 [Score 3 分]</p> <p><input type="checkbox"/> C. 4 - 6 years 年 [Score 5 分]</p> <p><input type="checkbox"/> D. 7 - 9 years 年 [Score 7 分]</p> <p><input type="checkbox"/> E. 10 years or above 年或以上 [Score 10 分]</p>	<p>5. If your investment holding exceeds the preset stop-loss or limit-selling price, which of the following action would you adopt? 五. 如果您的投資的績效已超過預設之停損、停利點時，您會採取下列何種方式?</p> <p><input type="checkbox"/> A. Sell out immediately 立即賣出所有部位 [Score 1 分]</p> <p><input type="checkbox"/> B. Sell half or more 先賣出一半或以上之部位 [Score 3 分]</p> <p><input type="checkbox"/> C. Sell not more than half 先賣出一半以內之部位 [Score 5 分]</p> <p><input type="checkbox"/> D. Hold and observe for 5 days 暫時觀望五天 [Score 7 分]</p> <p><input type="checkbox"/> E. Hold until fully recovered or stop in price-rising 繼續持有直至回本或不漲為止 [Score 10 分]</p>
<p>2. Are you currently holding any of the below investment products? (you may select more than 1 option) 二. 現在您是否持有以下任何投資產品? (可複選，以最高分之答案計分)</p> <p><input type="checkbox"/> A. Cash, deposits, certificates of deposit, capital protected products 現金、存款、存款證、保本產品 [Score 1 分]</p> <p><input type="checkbox"/> B. Bond, bond funds 債券、債券基金 [Score 3 分]</p> <p><input type="checkbox"/> C. Foreign currencies, non capital protected currency linked structured products 外幣、非保本之貨幣掛鉤結構投資產品 [Score 5 分]</p> <p><input type="checkbox"/> D. Stocks, open-end funds excluding bond funds and money market funds, non capital protected equity linked structured products, investment-linked insurance plans, commodities 股票、開放式基金 (不包括債券基金或貨幣市場基金)、非保本之股票掛鉤結構投資產品、具投資成分的保險計劃、商品 [Score 7 分]</p> <p><input type="checkbox"/> E. Options, futures, warrants 期權、期貨、認股權證 (俗稱「窩輪」) [Score 10 分]</p>	<p>6. When investing in investment products, how long will your investment horizon be? In general, the longer the investment horizon, the more you can ride out the ups and downs of the market. That is, the chance to lose money is generally lower when the investment horizon increases, but the money needs to be locked in longer. 六. 購買投資產品時，您認為持有多久才合適? 一般來說，投資年期長，您投資價值的波動越少。換言之，投資年期較長，錄得虧損的機會會一般較低，但資金需要被鎖定一段較長時間。</p> <p><input type="checkbox"/> A. Over 10 years 10 年以上 [Score 1 分]</p> <p><input type="checkbox"/> B. 6 to 10 years 6 至 10 年 [Score 3 分]</p> <p><input type="checkbox"/> C. More than 3 years but less than 6 years 3 年以上，6 年以下 [Score 5 分]</p> <p><input type="checkbox"/> D. 1 to 3 years 1 至 3 年 [Score 7 分]</p> <p><input type="checkbox"/> E. Below 1 year 1 年以下 [Score 10 分]</p>
<p>3. Which of the below investment portfolios with particular risk and return do you prefer? 三. 您會偏好以下何種投資報酬及風險之組合?</p> <p><input type="checkbox"/> A. No idea 沒有概念 [Score 1 分]</p> <p><input type="checkbox"/> B. Absolute low risk investment portfolios + secure of principal protection 絕對低度風險投資組合 + 接近保本之報酬 [Score 3 分]</p> <p><input type="checkbox"/> C. Low risk investment portfolios + low return 低度風險投資組合 + 低報酬 [Score 5 分]</p> <p><input type="checkbox"/> D. Medium risk investment portfolios + medium return 中度風險投資組合 + 中報酬 [Score 7 分]</p> <p><input type="checkbox"/> E. High risk investment portfolios + high return 高度風險投資組合 + 高報酬 [Score 10 分]</p>	<p>7. Assuming there are two investment products A & B, Product A has an average return of 3% in the past few years with lower fluctuation while Product B has an average return of 10% in the past few years but high fluctuation. If you have a lump sum for investment, what is your investment allocation? 七. 假設有下列兩項投資工具 A 與 B: 投資工具 A 的最近歷年平均報酬為 3%，而且波動很低；投資工具 B 的最近歷年平均報酬為 10%，但是波動很高。如果您有一筆資金可投資，您會如何調配:</p> <p><input type="checkbox"/> A. All in Product A 全部投資工具 A，不投資工具 B [Score 1 分]</p> <p><input type="checkbox"/> B. 80% in A, 20% in B 80% 投資工具 A，20% 投資工具 B [Score 3 分]</p> <p><input type="checkbox"/> C. 50% in A, 50% in B 50% 投資工具 A，50% 投資工具 B [Score 5 分]</p> <p><input type="checkbox"/> D. 20% in A, 80% in B 20% 投資工具 A，80% 投資工具 B [Score 7 分]</p> <p><input type="checkbox"/> E. All in Product B 全部投資工具 B，不投資工具 A [Score 10 分]</p>
<p>4. If you have HK\$1 million investment portfolio, what is the extent as to the fall you can bear? 四. 如果您有 100 萬港元之投資組合，您能承受最大本金下跌幅度為何?</p> <p><input type="checkbox"/> A. 0% [Score 1 分]</p> <p><input type="checkbox"/> B. -5% [Score 3 分]</p> <p><input type="checkbox"/> C. -10% [Score 5 分]</p> <p><input type="checkbox"/> D. -15% [Score 7 分]</p> <p><input type="checkbox"/> E. -20% or above 或以上 [Score 10 分]</p>	<p>8. When you invest, what is your main concern? 八. 請問您投資時，最主要之考量為何?</p> <p><input type="checkbox"/> A. Maintain high liquidity of assets 保持資金之流動性 [Score 1 分]</p> <p><input type="checkbox"/> B. Secure of principal protection 本金需要保本 [Score 3 分]</p> <p><input type="checkbox"/> C. Earn fixed interest income 賺取固定利息收益 [Score 5 分]</p> <p><input type="checkbox"/> D. Earn capital gain and interest 賺取資本利得 [Score 7 分]</p> <p><input type="checkbox"/> E. Maximize absolute return 追求最大報酬 [Score 10 分]</p>

<p>9. What is your knowledge of financial markets and investments? 九. 您對金融市場和投資的認識有多少?</p> <p><input type="checkbox"/> A. None, I have no knowledge of financial markets at all and have no interest in understanding them. 並無認識：我對金融市場一無所知，亦無興趣深入瞭解。 [Score 1 分]</p> <p><input type="checkbox"/> B. Low, I have only some basic knowledge of financial markets such as differences between stocks and bonds. 低水平：我對金融市場只有一些基本知識，例如股票和債券的分別。 [Score 3 分]</p> <p><input type="checkbox"/> C. Medium, I have above basic knowledge and understand the importance of diversification and practice it (i.e., I have my money in different types of investments to spread the risks). 中等水平：達基本知識以上的水平，明白分散投資的重要性，並作出分散投資（即把資金配置於不同類別的投資，以分散風險）。 [Score 5 分]</p> <p><input type="checkbox"/> D. High, I know how to read a company's financial reports (i.e., profit and loss statements and balance sheet) and understand the factors affecting the prices of stocks and bonds. 高水平：我懂得閱讀一家公司的財務報告（即損益表及資產負債表），並明白影響股票和債券價格的因素。 [Score 7 分]</p> <p><input type="checkbox"/> E. Advanced, I am familiar with most financial products (including bonds, stocks, warrants, options, and futures) and understand the various factors that may affect the risk and performance of these financial products. 精通：我熟識大部份金融產品（包括債券、股票、債券、認股權證、期權及期貨），並明白影響這些金融產品的風險和表現的各項因素。 [Score 10 分]</p>	<p>10. If there is a fall of 15% or over in your overall investment portfolio, what level of your life be suffered? 十. 若您整體投資資產下跌超過 15%，對您的生活影響程度為何？</p> <p><input type="checkbox"/> A. Intolerable 無法承受 [Score 1 分]</p> <p><input type="checkbox"/> B. Great impact 影響程度大 [Score 3 分]</p> <p><input type="checkbox"/> C. Medium impact 中度影響 [Score 5 分]</p> <p><input type="checkbox"/> D. Little impact 影響程度小 [Score 7 分]</p> <p><input type="checkbox"/> E. No impact 不會有影響 [Score 10 分]</p>
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Client Age (according to date of birth) 客戶年齡 (依客戶出生年月日計算)	Score 評分
<input type="checkbox"/> a. over 61 歲以上	1
<input type="checkbox"/> b. 56 - 60 歲	3
<input type="checkbox"/> c. 46 - 55 歲	5
<input type="checkbox"/> d. 36 - 45 歲	7
<input type="checkbox"/> e. 35 over below 歲 (含) 以下	10

Calculating Method: Sum of 10 questions plus age score divided by 1.1
評分方法：十題之評分總和加上年齡評分除以一點一

Total Score 總評分： _____

Grading 客戶風險等級評分方式：

Total Score 總評分範圍	Grade 客戶風險等級	Description 投資屬性分析
10 ≤ Total Score 總評分 < 15	1 第一級	Secure 穩健型
15 ≤ Total Score 總評分 < 37	2 第二級	Cautious 審慎型
37 ≤ Total Score 總評分 < 74	3 第三級	Balanced 均衡型
74 ≤ Total Score 總評分 < 96	4 第四級	Adventurous 進取型
96 ≤ Total Score 總評分	5 第五級	Speculative 投機型

(2) 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 Securities and Futures Commission.

以下問卷為確保本公司所提供閣下有關於衍生產品的服務遵從〈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。

(a) I have undergone training or attended courses on derivative products

本人曾接受有關衍生產品的培訓或修讀相關課程

- No 否
 Yes 是 (insert 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

(b) My current work experience relates to derivative products

本人現時的工作經驗與衍生產品有關

- No 否
 Yes 是 (insert details below 請提供以下資料)

(i) Name of employer 僱主名稱：_____

(ii) Position 職稱：_____

(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：

(c) My previous work experience relates to derivative products

本人過去的工作經驗與衍生產品有關

No 否

Yes 是 (insert details below 請提供以下資料)

(i) Name of previous employer 前僱主名稱：_____

(ii) Position 職稱：_____

(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：

(d) I have prior trading experience in derivative products

本人有買賣衍生產品的經驗

No 否

Yes 是 (insert 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：

Please provide document(s) to show your knowledge / experience with Over The Counter derivative products.
請提供文件認證閣下對場外交易衍生產品的認識 / 經驗。

(1) Client Investment Suitability Classification 客戶投資屬性分類： *Grade 第 1 / 2 / 3 / 4 / 5 級 * Delete if not applicable 請將不適用者刪去

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 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¹為：

¹ IMPORTANT NOTE:

¹ 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 "RR3" to pursue "Adventurous" Investment Suitability Classification, and should be at least "RR4" to pursue "Speculative" 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“進取型”的投資屬性，閣下的產品風險等級應至少達到“RR3”，要採取“投機型”的投資屬性，應至少達到“RR4”。

New Investment Suitability Classification Grade signed by client :

客戶簽署確認新投資屬性級別：_____

(2) Client *has / has no derivative experience.

客戶 * 有 / 沒有衍生工具的相關經驗。

I/We acknowledge that I/We have read and fully understood the document entitled "Additional Risk for Derivative Products traded on Specified Stock Exchanges" provided by SinoPac Securities (Asia) Limited in a language of my/our choice (English or Chinese). I/We am/are willing to accept the risks associated with trading derivative products.

本人 / 吾等謹此聲明本人 / 吾等確認已仔細閱讀及完全明白由永豐金證券 (亞洲) 有限公司提供的『指明證券交易所買賣之衍生產品額外風險披露』。本人 / 吾等並願意承擔交易相關衍生產品所帶來的潛在風險。

(3) Client *can / cannot transact derivative products.

客戶 * 可以 / 不可以買賣衍生產品。

Name(s)

姓名：_____

Date

日期：_____ (日/月/年)
(dd/mm/yyyy)

Signature(s) of individual and all joint account applicants

個人及所有聯名帳戶申請人簽署

For Office Use Only

Signature verified:

Account Executive:

Approved by:

Description of Client Investment Suitability Classification

各類投資屬性分析請詳下方說明

Investment Suitability Classification 投資屬性	Description 投資屬性分析	Risks Level of Investment Products 建議產品風險等級
Grade 1 第一級 Secure 穩健型	You can bear extremely low level of investment risks with a main concern of principal protection. You prefer receiving fixed annual interests; deposit products or products with stable returns may be suitable for your consideration. 您能承受的資產波動風險極低，極度保守的您十分注重本金的保護，寧可讓資產隨利率水準每年獲取穩定的孳息收入，也不願冒險追求可能的可觀報酬。您的理財目的可利用銀行存款，或具有穩定收益的產品來達成。	RR1
Grade 2 第二級 Cautious 審慎型	You can bear low level of investment risks. With a concern of principal protection, you are willing to take limited risks to outperform deposits over the medium term. In addition to deposit or currency products, with fixed income or balanced return products may be suitable for your consideration. 您能承受的資產波動風險低。除了注重本金的保護外，你願意承受有限的風險，以獲得比定存高的報酬。所以除了定存和貨幣市場工具之外，建議可將部分資金配置在投資等級的固定收益或平衡型商品。	RR1 ~ RR2
Grade 3 第三級 Balanced 均衡型	You can bear medium level of investment risks. You expect a balanced portfolio among principal protection, fixed interest and capital gain. You can bear a higher level of short-term market fluctuation, which may fall, below your original investment. A balanced allocated portfolio with various types of assets may be suitable for your consideration. 您能承受的資產波動風險中庸。穩健的您期望在本金保全、固定孳息、與資本增長達至平衡。您可以接受短期間的市場波動，並且瞭解投資現值可能因而減損。穩健的投資組合可以包括多種類別的資產，透過風險分散的方式獲得穩健的投資報酬，但仍需留意個別類型的波動性。	RR1~ RR3
Grade 4 第四級 * Adventurous 進取型	You can bear high risks. To pursue over the short, medium and long term in returns, you are willing to bear capital values can fluctuate and may fall substantially below your original investment. Growth investment portfolio may be suitable for your consideration. You are also suggested to adopt small regular instalments and preset stop-loss and limit selling price in order to achieve your goal. 您能承受的資產波動風險高，為了達成長期的資本增長，您願意忍受較大幅度的市場波動與短期下跌的風險。增長的投資組合可以包括多種類別，且預期報酬較高的資產，但建議您採取分批投入，且設定停損停利點以便循序漸進達到您的投資目標。	RR1~ RR4
Grade 5 第五級 * Speculative 投機型	You can tolerate extremely volatile market fluctuation and very high level of investment risks. You are looking for adventurous and speculative investment products. Aggressive investment portfolio, even leverage transactions. You are suggested to strictly execute stop-loss and limit selling price investment principles to achieve your goal. 您能承受的資產波動風險極高。非常積極的您如獵鷹般不停尋找獲利市場，並願意大筆投資在風險較高的產品。積極的投資組合中不但資產類別包羅萬象，且在必要時利用槓桿操作來提高獲利，但因市場反轉所造成的資本下跌風險偏高，建議嚴格執行停損停利的投資原則，以達到長期資產增值的目的。	RR1~ RR5
(2) 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, as a result, SinoPac is not required to explain the risks of derivative products to you while trading derivative products. 閣下被分類為有衍生工具相關經驗之投資者，倘若閣下交易衍生產品本公司無須向閣下解釋衍生產品的風險。	
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。	

QUESTIONNAIRE DISCLAIMER STATEMENT

問卷免責聲明

The results of the questionnaire are derived from information that you have provided to us, and only serve as a reference for your consideration when making your own investment decisions. The questionnaire and the results are not an offer to sell or a solicitation for an offer to buy any financial products and services and they should not be considered as investment advice. SinoPac Securities (Asia) Limited accepts no responsibility or liability as to the accuracy or completeness of the information given. Personal information collected in the questionnaire will be kept confidential by SinoPac Securities (Asia) Limited. The information may be used by SinoPac Securities (Asia) Limited and / or any SinoPac Holdings entity under a duty of confidentiality to SinoPac Securities (Asia) Limited, for designing and/or marketing of financial products and services.

問卷的結果乃根據閣下所提供的資料而得出，並僅供閣下考慮為本身作出的投資決定時作參考之用。問卷內容及結果不可視為對任何投資產品及服務的銷售邀約或購買邀請，亦不應作為投資建議予以考慮。永豐金證券（亞洲）有限公司對所提供資料的準確性及完整性並不負上義務或責任。永豐金證券（亞洲）有限公司將就此問卷內的個人資料保密。閣下提供的資料可供永豐金證券（亞洲）有限公司及/ 或任何對永豐金證券（亞洲）有限公司負有保密義務的永豐金控法團實體用作設計及/ 或推廣金融產品及服務。

SIGNATURE CARD 印鑑卡

(For Individual Account) The Specimen Signature is recognized signature of the account holder with authority to give instructions and receive all relevant documentation for the Account:

(供個人帳戶使用) 簽署式樣為帳戶持有人之認可簽署以行使該帳戶之指示和收取所有相關文件 :

(For Individual Account with more than one specimen signature) Any one of the following _____ *Specimen Signatures is/are recognized signature(s) of account holder with authority to give instructions and receive all relevant documentation for the Account:

(供有多於一個簽名式樣的個人帳戶使用) 以下 _____ 式 * 簽署式樣皆為帳戶持有人之認可簽署以行使該帳戶之指示和收取所有相關文件 :

(For Joint Account) Any one of the following _____ *Specimen Signatures of joint account holders is/are recognized signature(s) of account holders with authority to give instructions and receive all relevant documentation for the Account on behalf of all joint account holders:

(供聯名帳戶使用) 以下 _____ 式 * 簽署式樣皆為聯名帳戶持有人之認可簽署以代表所有聯名帳戶持有人行使該帳戶之指示和收取所有相關文件 :

*Please write appropriate number 請填寫適當數目

(1) Specimen Signature 簽署式樣	(2) Specimen Signature 簽署式樣	(3) Specimen Signature 簽署式樣
Name: 姓名 :	Name: 姓名 :	Name: 姓名 :

Note : A separate Letter of Authorization (please use Form 3 on Page 7 of Supplemental Documents) shall be signed by the Account Holder(s) if a non-account holder is to be appointed to operate the Account.

註 : 如有關帳戶由非帳戶持有人管理, 帳戶持有人須簽署另一份授權書 (請用補充文件第 7 頁之表格三) 。

Remark: Please fill in "Account Opening Form - Joint Account (Continuation)" if more than one account holder.

註 : 若有多於一個帳戶持有人, 請填寫 "開戶表格 - 聯名帳戶 (附頁)" 。

IMPORTANT: If this Account Opening Form is accompanied by a Chinese version, in the event of any inconsistency, the English version of this Account Opening Form shall prevail.

重要提示 : 倘若本開戶表格附帶中文版, 而與英文版有任何歧異, 以英文版為準。

For Office Use Only 僅供本公司使用	
Checked by 查驗人	Approved by 批准人

Account Name 客戶姓名 : _____ Account No. 客戶帳號 : _____

Commission Rate 佣金 : Securities Trading Account (證券交易帳戶)

Market 市場	Brokerage % 佣金百分率	Minimum Amount 最低金額
Hong Kong - Phone (HKD) 香港 — 電話落盤 (港元)		
Hong Kong - Internet (HKD) 香港 — 網上落盤 (港元)		
HK Stock Options - Phone (HKD) 香港股票期權 — 電話落盤 (港元)		
HK Stock Options - Internet (HKD) 香港股票期權 — 網上落盤 (港元)		
Taiwan - Phone (TWD) 台灣 — 電話落盤 (台幣)		
Taiwan - Internet (TWD) 台灣 — 網上落盤 (台幣)		
Shenzhen B Stock (HKD) 深圳 B 股 (港元)		
Shanghai B Stock (USD) 上海 B 股 (美元)		
US stock - Phone (USD) 美股 — 電話落盤 (美元)		
US stock - Internet (USD) 美股 — 網上落盤 (美元)		
Others 其他 : _____		

Commission Rate 佣金 : Futures Trading Account (期貨交易帳戶)

Types of Futures Contract 期貨合約種類	Commission (per lot per side) 佣金 (每張合約單邊計)
HSI (Day Trade) 恆生指數期貨 (即日盤)	
HSI (O/N Trade) 恆生指數期貨 (過夜盤)	
MHI (Day Trade) 小型恆生指數期貨 (即日盤)	
MHI (O/N Trade) 小型恆生指數期貨 (過夜盤)	
HHI (Day Trade) H 股指數期貨 (即日盤)	
HHI (O/N Trade) H 股指數期貨 (過夜盤)	
MCH (Day Trade) 小型 H 股指數期貨 (即日盤)	
MCH (O/N Trade) 小型 H 股指數期貨 (過夜盤)	
Overseas Index Futures (Day Trade) 海外指數期貨 (即日盤)	
Overseas Index Futures (O/N Trade) 海外指數期貨 (過夜盤)	
Overseas Non-index Futures (Day Trade) 海外非指數期貨 (即日盤)	
Overseas Non-index Futures (O/N Trade) 海外非指數期貨 (過夜盤)	
Others (Day Trade) 其他 (即日盤) _____	
Others (O/N Trade) 其他 (過夜盤) _____	

Expiry date commission is equivalent to over-night trade commission 結算日自動平倉佣金為過夜盤佣金

I have assessed Client's money laundering risk based on the criteria of high money laundering risk as defined in SOP and my knowledge of Client 我已根據 SOP 內高洗黑錢風險的定義及我對客戶的認識作洗黑錢風險分類評估 :

Money Laundering Risk Classification 洗黑錢風險分類 : *Low Risk 低風險 / High Risk 高風險

Signature of Account Executive 客戶主任簽署 : _____ Date 日期 : _____

Name of Account Executive 客戶主任名稱 : _____ A/E Code 客戶主任編號 : _____

Approved by Sales Head / RO 業務部門主管 / 負責人員批准 : _____ Date 日期 : _____

Money Laundering Risk Classification checked by 洗黑錢風險分類核實人 : _____ Date 日期 : _____

Client Investment Suitability Classification 客戶投資屬性分類 : *Grade 第 1 / 2 / 3 / 4 / 5 級

Client Investment Suitability Policy checked by 客戶投資屬性政策核實人 : _____ Date 日期 : _____

Documentation checked by 文件核實人 : _____ Date 日期 : _____

Approved by 批准人 : _____ Date 日期 : _____

Remarks 附註

(* Delete if not applicable 請將不適用者刪去)



永豐金證券(亞洲)有限公司 SinoPac Securities (Asia) Limited

Exchange Participant of The Stock Exchange of Hong Kong Limited

ACCOUNT OPENING FORM SUPPLEMENTAL DOCUMENTS (Securities (Cash/Margin) / Futures) 開戶表格補充文件 (證券 (現金 / 保證金) / 期貨)

(Individual / Joint Account)

(個人 / 聯名帳戶)

Client Name 客戶姓名 : _____

Account No. 客戶帳號 : _____

Registered Office: 7th Floor, Lee Garden Three, 1 Sunning Road, Causeway Bay, Hong Kong

註冊辦事處：香港銅鑼灣新寧道一號利園三期七樓

Tel. 電話 : (852) 2586-8288 Fax 傳真 : (852) 2586-8300

SinoPac Securities (Asia) Ltd is a licensed corporation for Types 1, 2, 4, 5 and 9 regulated activities under the Securities and Futures Ordinance (CE Number: BIZ502).

永豐金證券(亞洲)有限公司乃一家根據《證券及期貨條例》獲發牌進行第一、二、四、五及第九類受規管活動的持牌法團(中央編號：BIZ502)。

IMPORTANT: If this Account Opening Form is accompanied by a Chinese version, in the event of any inconsistency, the English version of this Account Opening Form shall prevail.

重要提示：倘若本開戶表格附帶中文版，而與英文版有任何歧異，以英文版為準。

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Form 1 表格一

To be filled in by non U.S. taxpayer 非屬美國稅務居民填寫

Form **W-8BEN**

(Rev. July 2017)

Department of the Treasury
Internal Revenue Service

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

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

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

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

OMB No. 1545-1621

Do NOT use this form if:

- 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**
- You are a person acting as an intermediary **W-8IMY**

Instead, use Form:

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

Part I Identification of Beneficial Owner (see instructions)

1 Name of individual who is the beneficial owner		2 Country of citizenship	
3 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address.			
City or town, state or province. Include postal code where appropriate.		Country	
4 Mailing address (if different from above)			
City or town, state or province. Include postal code where appropriate.		Country	
5 U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)		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 and paragraph _____ of the treaty identified on line 9 above to claim a _____ % rate of withholding on (specify type of income): _____

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

Part III Certification

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

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income to which this form relates or am using this form to document myself for chapter 4 purposes,
- The person named on line 1 of this form is not a U.S. person,
- 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)

For Paperwork Reduction Act Notice, see separate instructions.

Cat. No. 25047Z

Form **W-8BEN** (Rev. 7-2017)

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Form 2 表格二

To : SinoPac Securities (Asia) Limited
 致 : 永豐金證券 (亞洲) 有限公司
 7th Floor, Lee Garden Three, 1 Sunning Road, Causeway Bay,
 Hong Kong
 香港銅鑼灣新寧道一號利園三期七樓

Account No. : _____
 客戶帳號 : _____

Common Reporting Standard (CRS) 共同匯報標準
Self-Certification Form-Individual 自我證明表格 - 個人

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 Hong Kong 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香港稅務局，香港稅務局會將資料轉交到另一個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，應儘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 Hong Kong Inland Revenue Department.**
 除不適用或特別註明外，必須填寫這份表格的所有部分。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香港稅務局申報的資料。

Part 1 Identification of Individual Account Holder**第一部 個人帳戶持有人的身分辨識資料**

(For joint or multiple account holders, 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)

(1) Name of Account Holder 帳戶持有人的姓名

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

稱謂 (例如: 先生、太太、女士、小姐)

Last Name or Surname *

姓氏 *

First or Given Name *

名字 *

Middle Name(s)

中間名

(2) Hong Kong Identity Card or Passport Number

香港身份證或護照號碼

(3) Current Residence Address 現時住址

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

第 1 行 (例如: 室、樓層、大廈、街道、地區)

Line 2 (City) *

第 2 行 (城市) *

Line 3 (e.g. Province, State)

第 3 行 (例如: 省、州)

Country *

國家 *

Post Code/ZIP Code

郵政編碼 / 郵遞區號碼

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

通訊地址 (如通訊地址與現時住址不同, 填寫此欄)

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

第 1 行 (例如: 室、樓層、大廈、街道、地區)

Line 2 (City)

第 2 行 (城市)

Line 3 (e.g. Province, State)

第 3 行 (例如: 省、州)

Country

國家

Post Code/ZIP Code

郵政編碼 / 郵遞區號碼

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

出生日期 * (日 / 月 / 年)

(6) Place of Birth*

出生地點 *

Town/City

鎮 / 城市

Province/State

省 / 州

Country*

國家 *

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

第二部 居留司法管轄區及稅務編號或具有等同功能的辨識編號 (以下簡稱「稅務編號」) *

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

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.

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。

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，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

第三部 聲明及簽署

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

本人知悉及同意，財務機構可根據《稅務條例》(第112章)有關交換財務帳戶資料的法律條文，(a) 收集本表格所載資料並可備存作自動交換財務帳戶資料用途及 (b) 把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。

I certify that I am the account holder / I am authorized to sign for the account holder # of all the account(s) to which this form relates.

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

I undertake to advise SinoPac Securities (Asia) Limited 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 SinoPac Securities (Asia) Limited 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，本人會通知永豐金證券(亞洲)有限公司，並會在情況發生改變後30日內，向永豐金證券(亞洲)有限公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 _____

Name 姓名 _____

Capacity 身分 _____

Date (dd / mm / yyyy)

日期 (日 / 月 / 年) _____

(Indicate the capacity if you are not the individual identified in Part 1. If signing under a power of attorney, attach 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。如你是以受權人身分簽署這份表格，須夾附該授權書的核證副本)

Delete as appropriate 刪去不適用者

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

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

Form 3 表格三

LETTER OF AUTHORIZATION – AUTHORIZED PERSON 授權書 – 獲授權人士

To : SinoPac Securities (Asia) Limited
致：永豐金證券（亞洲）有限公司
7th Floor, Lee Garden Three, 1 Sunning Road, Causeway Bay, Hong Kong
香港銅鑼灣新寧道一號利園三期七樓

Dear Sir / Madam 敬啟者，

Re 有關：Client Account No. 客戶帳戶號碼 (“Account 帳戶”)

I/We, _____ hereby authorize the following person (“Authorized Person”) to act for me / us for a period of twelve (12) months effective from _____ (dd/mm/yyyy) :

本人 / 吾等 _____ 授權下列人士 (“獲授權人士”)，由 _____ (日 / 月 / 年) 及包括該日起為期十二個月內，代表本人 / 吾等向貴公司發出下述指令：—

Name 姓名：_____

Passport / ID Card No. (Please attach a copy)
護照 / 身份証號碼 (請附上副本)：_____

Tel.No. 電話號碼：_____

Address (Please attach proof of residential address dated within 3 months)
住址 (請附上發出日期三個月內之住址證明)：_____

Specimen Signature 簽署樣式

I/We acknowledge that the Authorized Person is authorized to act for me/us. Please be instructed to accept instructions given by the Authorized Person for the following(s):-
本人 / 吾等確認獲授權人士可代表本人 / 吾等行事。請接納獲授權人士就下列事項發出的指示：—

- to place order(s) to effect purchases and sales of, and to trade in any futures contracts, derivative products and securities of any description whatsoever, on cash or otherwise, in or for the Account(s) and at my/our risk; 透過帳戶下單以現金或其他方式買賣任何種類之期貨合約、衍生產品及證券，風險會由本人 / 吾等承擔；
- to instruct you to make payment of monies from the Account(s), and to receive and direct payments therefrom by way of cheque(s) payable to me/us or direct deposit into such bank account(s) in my/our name(s). 指示貴公司從帳戶支取款項，以本人 / 吾等為抬頭人的支票之方式收取及支付款項，或直接將款項存入本人 / 吾等名下之銀行帳戶。

You are accordingly authorized and empowered to follow the captioned instruction(s) given by the Authorized Person, and I/we hereby ratify and confirm any and all transactions, trades or dealings related to such instruction(s), and agree to indemnify you and hold you free and harmless from any loss, liability or damage by reason of such transactions, trades or dealings, or by reason of any other matters or things done by you in connection with and/or for the Account(s) pursuant to such instructions. 貴公司可遵照獲授權人士發出的上述指示，而本人 / 吾等謹此批准及確認有關指示的交易、買賣或其他處理之事宜。本人 / 吾等同意向貴公司作出賠償保證，使貴公司可免受根據獲授權人士發出的指示而辦理的任何事宜產生之虧損、負債或損失。

I/We confirm that the Authorized Person is not a licensed or registered person of any licensed corporation or registered institution as defined in the Securities and Futures Ordinance (Cap 571). 本人 / 吾等確認獲授權人士並非證券及期貨條例 (章號 571) 所定義之持牌法團或註冊機構的持牌人或註冊人。

I/We confirm that the Authorized Person is not SinoPac Securities (Asia) Limited, or any person employed by SinoPac Securities (Asia) Limited. 本人 / 吾等確認獲授權人士並不是永豐金證券 (亞洲) 有限公司，或任何受僱於永豐金證券 (亞洲) 有限公司的人士。

This authorization is revocable by at least one month's prior notice in writing duly signed by me/all of us served by me/us on you by registered mail provided that such revocation will not release me/any of us from any liability under the terms of this authorization in respect of any act performed by you pursuant to this authorization before actual receipt of the revocation notice or the expiry of such notice period. 本授權書可憑由本人 / 吾等妥為簽署以掛號郵件形式於一個月前寄達貴公司之書面通知予以撤銷。惟撤銷授權不能免除本人 / 吾等在貴公司接獲撤銷通知或通知期到期前，貴公司根據本授權書而採取之任何行動所應負的責任。

I/We agree that this authorization shall be automatically renewed on a continuous basis unless revoked in accordance with the above provision. 本人 / 吾等同意如本人 / 吾等沒有向貴公司提出最少一個月的書面通知以撤銷本授權書，本指示將自動續期。

Date: _____ (日 / 月 / 年)
日期：_____ (dd/mm/yyyy)

Yours faithfully 此致，

Signature of account holder (ALL joint account holders are required to sign) 帳戶持有人簽署 (所有 聯名帳戶持有人均須簽署)

Client Name 客戶姓名：_____

Form 4 表格四

(Margin securities account clients only) (只供保證金證券帳戶客戶使用)

To : SinoPac Securities (Asia) Limited
致 : 永豐金證券(亞洲)有限公司
7th Floor, Lee Garden Three, 1 Sunning Road, Causeway Bay, Hong Kong
香港銅鑼灣新寧道一號利園三期七樓

Dear Sir / Madam
敬啟者 :

Re : Standing Authority 有關 : 常設授權書

Client Account No. 客戶帳戶號碼 : []

This letter of standing authority covers all securities purchased or held by you on my/our behalf.
本常設授權函件涵蓋一切由 貴公司代表本人 / 吾等購入或持有之證券。

This letter authorizes you to :-

1. apply any of my/our securities or securities collateral to securities borrowing and lending agreement(s);
2. deposit any of my/our securities collateral with authorized financial institution(s) as collateral for financial accommodation provided to you; and/or
3. deposit any of my/our securities collateral with a recognized clearing house or any other intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of your settlement obligations and liabilities,

without notice to me/us, pursuant to Section 7 of the Securities and Futures (Client Securities) Rules.

本函件授權 貴公司 :

1. 運用任何本人 / 吾等的證券或證券抵押品於證券借貸協議 ;
2. 任何本人 / 吾等的證券抵押品存放於認可財務機構, 作為提供予 貴公司的財務通融的抵押品 ; 及 / 或
3. 將任何本人 / 吾等的證券抵押品存放於認可結算所或另一持牌或註冊進行證券交易的中介人, 作為解除和清償 貴公司在交收上的責任及債務的抵押品,

且根據《證券及期貨(客戶證券)規則》第7條的規定, 無須通知本人 / 吾等。

I/We understand that the recognized clearing house or the intermediary licensed or registered for dealing in securities will have a first fixed charge over my/our securities collateral to the extent of your settlement obligations and liabilities.

本人 / 吾等明白認可結算所或其它持牌或註冊進行證券交易的中介人, 在貴公司在交收上的責任及債務的限度之內而對本人 / 吾等的證券抵押品設定第一固定押記。

This standing authority does not cover any consideration I/we must pay or be paid for your borrowing, lending, or depositing any of my/our securities. Any consideration must be set in a separate agreement between us.

本常設授權並不涵蓋就貴公司借入、貸出或存放本人 / 吾等任何證券而須支付或收取的任何代價。任何代價均須由本人 / 吾等與貴公司另行簽約訂明。

You are accountable to me/us for the return of any of my/our securities borrowed, lent, or deposited under this authority.

貴公司須向本人 / 吾等就交還有關根據本常設授權而作出借入、貸出或存放之證券負責。

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

本人 / 吾等明白本人 / 吾等的證券可能受制於第三者之權利, 貴公司必須於抵償該等權利後, 方將本人 / 吾等的證券交還本人 / 吾等。

This authority is **valid for a period of up to 12 months** from the date hereof and may be renewed or deemed to be renewed for subsequent periods of up to 12 months each either with my/our written consent or if I/we am/are given a written notice by you at least 14 days prior to the expiry of such authority and do not object to the renewal of such authority before its expiry. This authority may be revoked by me/us at any time on giving at least 30 days prior written notice to you.

本常設授權以本函件日期起計十二個月內有效, 並可於下列情況予以續期, 每次續期可有效十二個月: 本人 / 吾等以書面同意續期; 或貴公司於授權有效期屆滿前不少於十四日向本人 / 吾等發出書面通知, 而本人 / 吾等於授權有效期屆滿前未有提出反對續期。本人 / 吾等有權隨時以三十天書面通知貴公司撤銷此常設授權書。

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

已全部向本人 / 吾等解釋清楚本函件, 本人 / 吾等明白及接受本函件的內容。

Yours faithfully,

此致,

Signature of Client

客戶簽署

Name 姓名 : _____

Date 日期 : _____ (日/月/年)
(dd/mm/yyyy)

Signature of Joint Account Holder (If Applicable)

聯名帳戶持有人簽署 (如適用)

Name 姓名 : _____

Date 日期 : _____ (日/月/年)
(dd/mm/yyyy)

Form 5 表格五

(Margin securities account clients only) (只供保證金證券帳戶客戶使用)

MARGIN FACILITY AGREEMENT 保證金融資協議書

I/We hereby apply to SinoPac Securities (Asia) Limited for the Credit Facility with respect to our Margin Account on the following terms, which are additional to the parties' rights under the SinoPac Securities (Asia) Limited Terms and Conditions ('Terms and Conditions').

本人 / 吾等現向永豐金證券 (亞洲) 有限公司按下列條件申請保證金融資帳戶的融資服務, 以下條件是額外附加於永豐金證券 (亞洲) 有限公司條款及條件 (「條款及條件」)。

Applicant 申請人	:	
Address 申請人地址	:	
Margin Facility Provider 保證金融資提供者	:	SinoPac Securities (Asia) Limited 永豐金證券 (亞洲) 有限公司
Application Date 申請協議日期	:	(日/月/年) (dd/mm/yyyy)
Charge 押記	:	As defined under Clause 35 of the Schedule 1 - General Terms and Conditions of the Terms and Conditions. 依據條款及條件附表一 一般條款及條件第三十五條之定義。
Credit Facilities 保證金融資	:	Subject to the final approval of the Margin Facility Provider, a Credit Facility (for an amount up to a credit limit which is to be confirmed by the Margin Facility Provider) is provided to the Applicant. The credit limit is set in accordance with the Margin Ratio, calculated by dividing the total value of the credit amount provided to the Applicant with the total value of the Collateral held by the Margin Facility Provider ("Margin Ratio"). Unless agreed by the Margin Facility Provider, the Margin Ratio shall not exceed 100%. The Margin Facility Provider may, at its sole discretion, vary the credit limit and Margin Ratio in response to any prevailing and/or contingent market condition from time to time. 在保證金融資提供者最終批核的條件下, 保證金融資 (額上限由保證金融資提供者核定) 將會提供予申請人。申請人保證金融資上限是按貸款金額總值除以按抵押品總值計算得出之百分比 (「保證金比率」)。除非保證金融資提供者同意, 否則保證金比率都不得超過百分之一百。保證金融資提供者有絕對決定權在任何時候因應當時市場環境改變保證金比率百分比。
Rate of Interest 融資利率	:	The Applicant agrees to pay interest on the outstanding credit amount to the Margin Facility Provider at a rate to be determined by the Margin Facility Provider. The interest is accrued daily on a monthly compounded basis for the period commencing from the date of advancement to the date the Applicant repays the credit amount in full. The interest is payable on the last business day of each month and may be deducted/offset from the Margin Facility Account and/or the Collateral. The Margin Facility Provider may, at its sole discretion, vary the interest rate in response to any prevailing and/or contingent market condition from time to time. 申請人同意就已動用之保證金融資貸款金額付利息給保證金融資提供者。融資利率將由保證金融資提供者核定。利息是按每月複息計算並以每日計算的基礎上從借貸日到還款日計算。利息須於每月的最後一個營業日清還, 同時利息可在申請人的保證金融資戶口或抵押品扣減或相抵。保證金融資提供者有絕對決定權因應當時市場環境隨時改變融資利率。

I/We hereby acknowledge that:

本人 / 吾等現確認如下:

- I/We have received from the Margin Facility Provider a copy of the Terms and Conditions.
本人 / 吾等已從保證金融資提供者收到一份條款及條件。
- I/We fully understand and accept all the provisions set out in the Terms and Conditions, which shall form part of this Margin Facilities Agreement and shall be legally binding between the parties (where applicable). Unless otherwise provided, all words and expression used under this Margin Facility Agreement shall have the same meaning to the Terms and Conditions. In the event that the provisions and contents between the Terms and Conditions and this Margin Facility Agreement are not consistent, the provisions set out in this Margin Facility Agreement shall prevail.
本人 / 吾等完全明白和接受條款及條件, 並同意其成為這保證金融資協議書的一部份並擁有法律效力 (在適用情況下)。除非另行指明, 本保證金融資協議書的內容和表達應根據條款及條件內的內容和表達解釋。如果保證金融資協議書的條款和條款及條件不一致, 應以這保證金融資協議書的條款內容和表達為準。
- The provisions set out in this Margin Facility Agreement together with the Terms and Conditions constitute the final, complete and exclusive statement of the terms of the agreements between the parties pertaining to the Credit Facility, and supersede all prior and contemporaneous understanding and agreements of the parties.
條款及條件和這保證金融資協議的條款構成保證金融資事項有關之完整協議, 並取代所有口頭溝通及之前的相關協議。
- I/We am/are obliged to notify the Margin Facility Provider immediately of any change of my/our circumstances, which renders me/us to be a member of the group of related margin client, including: (1) where this is a group of 2 margin clients, one is the spouse of the other; (2) where one or more of the margin clients are corporations, one is in control (either alone or with his spouse) of 35% or more of the voting rights of that other margin client or each of the other margin client (as the case maybe); or (3) where the margin clients are corporations, they are members of the same group of companies.
本人 / 吾等有責任立刻通知保證金融資提供者有關因本人 / 吾等情況變化而令本人 / 吾等成為一組關連保證金客戶, 這包括: (1) 當有兩位保證金客戶時, 一位客戶是另一位配偶; (2) 當一位或以上保證金客戶是公司時, 另一位 (不論是自身或是與配偶一起) 操控另一位客戶或其它客戶 35% 或以上的股份投票權; 或 (3) 當保證金客戶是公司時, 它們同屬於相同的公司集團。

Signed by ALL Applicant(s) 所有申請人簽署: _____

Print Name(s) 所有申請人全名: _____

Date 簽署日期: _____ (日/月/年)
(dd/mm/yyyy)

Form 6 表格六

(Joint Account clients only) (只供聯名帳戶客戶使用)

To : SinoPac Securities (Asia) Limited
致 : 永豐金證券(亞洲)有限公司
7th Floor, Lee Garden Three, 1 Sunning Road, Causeway Bay, Hong Kong
香港銅鑼灣新寧道一號利園三期七樓

Dear Sir / Madam
敬啟者 :

RE: CONFIRMATION IN RESPECT OF CORRESPONDENCE INSTRUCTION
有關通訊指示的確認

Client Account No. 客戶帳戶號碼 : [_____] (“Joint Account”) (「聯名帳戶」)

We, all the undersigned Joint Account holders, hereby instruct you to forward all confirmations and statements in relation to the Joint Account to the attention of Mr. / Ms. _____ (the first account holder) at the correspondence address: _____ as provided in the relevant Account Opening Form.

吾等(所有下列簽署之聯名帳戶持有人)現確認吾等於有關開戶表格提供的指示,將所有關於吾等聯名帳戶之確認及結單郵寄至(第一位帳戶持有人) _____ 先生/女士,通訊地址為 _____。

We and each of us understand and accept the consequences and risks of this arrangement. Each of us who will not receive the correspondence directly from you acknowledge the importance of reviewing personally all the confirmations and statements relating to the Joint Account and transactions involving the Joint Account in detail to ensure that any anomalies or mistakes can be detected in a timely fashion.

吾等及吾等各自明白及接受此安排的後果及風險。吾等各自將不會直接從貴公司收取通訊,承諾親身詳細覆核吾等聯名帳戶的所有確認及結單的重要性,以確保可及時察覺任何差異或錯誤。

We and each of us understand and agree that if we wish to dispute the accuracy of any information contained in any confirmations and statements, or raise any inquiry, we must do so immediately upon receipt of the same and, in any event, within the period specified in the account terms and conditions for such purpose, or no later than the date as specified in the confirmations and statements, whichever is later.

吾等及吾等各自明白及同意,倘若吾等有意就任何確認及結單中的任何資料之準確性提出異議,或提出任何查詢,吾等必須在收到確認及結單後立即向貴公司提出,及在任何情況下,應於帳戶條款及條件指定的期間內,或最遲於確認或結單指定的日期前(以較後者為準),向貴公司提出有關異議或查詢。

In consideration of your agreeing to act in accordance with the above instruction, we shall jointly and severally keep you indemnified against all claims, losses, damage, costs and expenses which may be brought against you or incurred by you either directly or indirectly as a result of or in connection with your acting on the above instruction.

就貴公司同意按上述指示行事,吾等共同及個別承諾彌償貴公司因或在有關情況下執行上述的指示直接或間接引起針對或招致貴公司的任何申索、損失、損害、費用及支出。

The above instruction shall remain valid and effective unless you receive from each and all of us 14 days prior written notice of revocation.
除非貴公司收到吾等 14 天前書面撤銷指示通知書,否則以上的指示一直有效和生效。

Signatures (**ALL** joint account holders are required to sign)

客戶簽署 (所有 聯名帳戶持有人均須簽署)

Names 姓名 : _____

Date 日期 : _____ (日/月/年)
(dd/mm/yyyy)

Form 7 表格七

Confirmation Regarding Investor Identification Regime for Northbound Trading 北向交易投資者識別碼制度確認書

For Client Wishing to Use Shanghai-HK and Shenzhen-HK Stock Connect Services
供有意使用滬港及深港股票市場交易互聯互通機制服務的客戶填寫

To : SinoPac Securities (Asia) Limited
致 : 永豐金證券 (亞洲) 有限公司
7th Floor, Lee Garden Three, 1 Sunning Road, Causeway Bay, Hong Kong
香港銅鑼灣新寧道一號利園三期七樓

I/We have read, understood and agreed with the following notice to me/us from you regarding Investor Identification Regime for Northbound Trading:
本人 / 吾等已閱讀、明白及同意以下由 貴公司給予本人 / 吾等之北向交易投資者識別碼制度通知：

Dear Valued Client,
尊敬的客戶：

The Securities and Futures Commission of Hong Kong has introduced an investor identification regime for Northbound trading under Mainland-Hong Kong Stock Connect ("Investor Identification Regime"), which has already been implemented in the third quarter of 2018. 香港證券及期貨事務監察委員會已提出內地與香港股票市場交易互聯互通機制下的北向交易投資者識別碼制度（「投資者識別碼制度」），並已在2018年第三季實施。

We, as a China Connect Exchange Participant, are required by the Stock Exchange of Hong Kong Limited (the "Exchange" or "HKEX") under the Investor Identification Regime to:

本公司作為中華通交易所參與者於投資者識別碼制度下將按香港聯合交易所有限公司（「香港交易所」）要求：

- (i) tag each of your orders submitted to the China Stock Connect System with "a Broker-to-Client Assigned Number ("BCAN") that is unique to you or the BCAN that is assigned to your joint account with us, as appropriate; and 須在遞交客戶每個北向買賣盤予買賣盤訂單傳遞系統時附加券商客戶編碼（「券商客戶編碼」），而該等券商客戶編碼應是唯一編配予客戶/客戶之每一聯名證券賬戶（如適用）；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. 香港交易所可不時根據《交易所規則》要求本公司呈交每位客戶的券商客戶編碼及相對應的個人身份信息（「客戶識別信息」）。

Please note that:
客戶請注意：

A. Applicable to Individual and Joint Account 個人及聯名帳戶適用

Under the Investor Identification Regime, in order to comply with the requirements of the Exchange and its rules as in force from time to time, we may use the personal data relating to or provided by you when providing our Shanghai-HK and Shenzhen-HK Stock Connect Services to you, including:

在投資者識別碼制度下，為遵守不時生效的香港交易所及其規則的要求，本公司在向客戶提供滬港及深港股票市場交易互聯互通機制服務時，可能使用與客戶有關或由客戶提供的個人資料，包括：

- (a) to disclose and transfer your BCAN and CID to HKEX and the relevant subsidiaries of HKEX ("HKEX Subsidiaries") from time to time, including by indicating your BCAN when inputting a China Connect Order into the China Stock Connect System, which will be further routed to the relevant China Connect Market Operator on a real-time basis; 不時向香港交易所及香港交易所子公司披露和轉移客戶的券商客戶編碼及客戶識別信息，包括在輸入北向買賣盤予買賣盤訂單傳遞系統時註明券商客戶編碼，並進一步實時發送到相關內地交易所；
- (b) to allow each of HKEX and the relevant HKEX 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 the 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; 同意香港交易所及香港交易所子公司：(i) 收集、使用及儲存客戶的券商客戶編碼、客戶識別信息及其他由中國結算綜合、核實及與其本身的投資者身份數據庫進行配對後的券商客戶編碼與客戶識別信息（關於儲存，可經由相關中國結算或香港交易所），並將此類信息與其本身的投資者身份數據庫進行配對，用作市場監控和監察目的及執行《交易所規則》；(ii) 不時向內地交易所（直接或透過中國結算）轉移此等資料用作以下(c)及(d)的目的；(iii) 向在香港的相關監管機構及執法機關披露此等資料，以助他們履行有關香港證券市場的監控、監察及執法職能；
- (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, HKEX and the relevant HKEX 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

同意中國結算：(i) 收集、使用及儲存客戶的券商客戶編碼及客戶識別信息，以便綜合及核實券商客戶編碼與客戶識別信息，並將此類信息與其本身的投資者身份數據庫進行配對，以將此類經綜合、核實及配對後的券商客戶編碼與客戶識別信息提供給內地交易所、香港交易所和香港交易所子公司；(ii) 使用客戶的券商客戶編碼與客戶識別信息來協助其履行證券賬戶管理的監管職能；及 (iii) 向管轄中國結算的內地監管機構及執法機關披露此等資料，以助他們履行有關中國證券市場的監控、監察及執法職能；

- (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.

同意內地交易所：(i) 收集、使用及儲存客戶的券商客戶編碼及客戶識別信息，以助其就滬股通及深股通下在內地交易所進行的證券交易進行監管與監察及執行內地交易所規則；及 (ii) 向內地的監管機構及執法機關披露此等資料，以助他們履行有關內地證券市場的監管、監察及執法職能。

We will use and transfer your personal data in accordance with our Notice to Customers Relating to the Personal Data (Privacy) Ordinance as contained in our Terms & Conditions, terms of which have been agreed by you upon account opening. By instructing us in respect of any transaction relating to China Connect Securities, you acknowledge and agree that we may use your personal data for the purposes of complying with the requirements of HKEX and its rules as in force from time to time in connection with Mainland-Hong Kong Stock Connect. You also acknowledge that despite any subsequent purported withdrawal of consent by customer, the 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.

本公司將按客戶於開戶時已同意之《給予客戶關於〈個人資料（私隱）條例〉的客戶通知》（載於本公司的《條款及條件》內）使用及傳輸客戶的個人資料。如客戶就任何有關滬港及深港股票市場交易互聯互通證券的交易向本公司發出指示，即表示客戶確認並同意，本公司可能會將客戶的個人資料用於遵守香港交易所的要求及其規則中關於內地與香港股票市場交易互聯互通機制的不時有效的規定。客戶也了解，儘管客戶隨後可表示撤回同意，但客戶的個人資料可繼續被儲存、使用、披露、轉讓及以其他方式處理，以用於上述目的，無論是在此類聲稱的撤回同意之前還是之後。

B. Applicable to Corporate Account

機構帳戶適用

For corporate client, the CID provided to the Exchange shall include the following items:

就機構客戶而言，向香港交易所提供的客戶識別信息將包含以下資訊：

- (i) The entity's name as shown on the certificate of incorporation or Legal Entity Identifier ("LEI");
於成立證書或全球法人機構識別編碼（「LEI」）上所載之機構名稱；
- (ii) Place of incorporation;
成立之地點；及
- (iii) Certificate number or LEI.
證書編號或 LEI。

Please note that for each client which is an asset management company managing multiple funds or discretionary accounts through us, a single BCAN will be by default assigned by us at asset management company level. Should you wish to have BCAN assigned at a fund/ underlying client level, you will need to provide the CID to us on each fund and also trade at fund level.

請注意，每個客戶如屬管理若干基金或全權委託帳戶的資產管理公司，本公司將預設為其於資產管理公司層面附加一個券商客戶編碼。如客戶希望於每個基金/ 底層客戶層面附加券商客戶編碼，客戶須就每一個基金向本公司提供客戶識別信息，而客戶亦須以基金層面進行交易。

Regards,

SinoPac Securities (Asia) Limited

此致

永豐金證券（亞洲）有限公司

Signature 客戶簽署 : _____

Name of Client(s) 客戶名稱 : _____

Account No. 帳戶號碼 : _____

Date 日期 : _____ (日/月/年)
(dd/mm/yyyy)

If there is any discrepancy between the English and Chinese versions, the English version shall prevail.

如中、英文版本有不同詮釋，概以英文版本為準。

Form 8 表格八

Declaration for Taiwan Securities and Futures Trading 交易台灣證券及期貨客戶聲明書

To : SinoPac Securities (Asia) Limited ("the Company")
致 : 永豐金證券 (亞洲) 有限公司 (「貴公司」)
7th Floor, Lee Garden Three, 1 Sunning Road, Causeway Bay, Hong Kong
香港銅鑼灣新寧道一號利園三期七樓

Re: Account No. 有關：帳戶號碼：	Client Name(s): 客戶姓名 / 名稱：
------------------------------------	--------------------------------------

I/We am/are the holder(s) of the captioned account and have selected to invest in Taiwan securities and/or futures through the captioned account. In this connection, I/We hereby represent and warrant that:

本人 / 吾等為前述帳戶的持有人並選擇透過前述帳戶投資台灣證券及 / 或期貨。為此，現謹此聲明並保證：

A. The funds to be transmitted to Taiwan for investing in Taiwan securities and/or futures by me/us or the ultimate beneficial owner(s) of the captioned account is/are not originated from Taiwan or Mainland China.

本人 / 吾等或前述帳戶的最終受益人擬匯入台灣投資有價證券及 / 或期貨之資金非來自台灣或中國大陸。

B. I/We shall not use unjust measures to affect the fairness or order of the Taiwan financial market and also will abide by the regulations stipulated by all relevant regulatory authorities.

本人 / 吾等絕不以不當手段干擾台灣金融市場運作，亦會遵守所有相關監管機構的規定。

C. (For individual client/clients) **I/We do not hold household registration in Taiwan.**

(適用於個人客戶) 本人 / 吾等沒有持有台灣的戶籍。

(For institutional client) **Our place of incorporation is not Taiwan.**

(適用於機構客戶) 吾等之成立地並非台灣。

D. I/We understand that, in this Declaration, **Mainland China Investor** means:

本人 / 吾等理解，在此份聲明書中，**中國大陸投資人**指：

(i) An individual who has household registration in Mainland China (hereinafter "Mainland Individual");

在中國大陸設有戶籍的個人 (以下簡稱 "大陸籍個人");

(ii) A juristic person, organization or other institution incorporated in Mainland China (hereinafter "Mainland Institution");

在中國大陸成立的法人、團體或其他機構 (以下簡稱 "大陸機構");

(iii) A company in which one or more Mainland Individual(s) and/or Mainland Institution(s) invest in HongKong or any other Third Area (for the purpose of this Declaration, a "Third Area" means any area other than Taiwan and Mainland China), and:

一個或一個以上大陸籍個人及 / 或大陸機構在香港或任何其他第三地區 (為本聲明書的目的, "第三地區" 指台灣和中國大陸以外的任何地區) 投資的公司, 且:

(1) One or More Mainland Individual(s) and/or Mainland Institution(s), individually or collectively, hold(s), directly or indirectly, more than 30% of the issued shares in the said company/right(s) to more than 30% of the capital of the said company; or

一個或一個以上大陸籍個人及 / 或大陸機構單獨或共同、直接或間接持有該公司已發行股份總數或出資的 30%; 或

(2) One or More Mainland Individual(s) and/or Mainland Institution(s), individually or collectively, has/have control power over the said company¹.

一個或一個以上大陸籍個人及 / 或大陸機構單獨或共同對該公司具有控制能力。

E. **I am/We are not and will not become a Mainland China Investor as defined in Paragraph D of this Declaration.**

本人 / 吾等不是且不會成為本聲明書第 D 段定義的中國大陸投資人。

F. **For Client Acting as Agent/Nominee/Trustee/Fund Manager 代理人 / 受託人 / 基金經理客戶適用：**

I/We will not deal in Taiwan securities and/or futures on behalf of/for the beneficial interest of any Mainland China Investor as defined in Paragraph D of this Declaration, no matter being aware or unaware of the fact that the/one of the principal(s)/trustor(s)/beneficiary(ies)/fund investor(s)/beneficial owner(s) is a Mainland China Investor.

本人 / 吾等不會為任何本聲明書第 D 段定義的中國大陸投資人代為 / 為其實益權益交易台灣證券及 / 或期貨，不論知道或不知道該名 / 任一委託人 / 受益人 / 基金投資人 / 實質控制人是中國大陸投資人。

¹ An individual, juristic person, organization or any other institution will be deemed to have "control power" over a company, if it:

對一公司 "具有控制能力", 係指有下列情形之一者:

1. has control over the majority of the voting shares pursuant to an agreement with other investors;

與其他投資人約定下, 具超過半數之有表決權股份之能力;

2. has control over the financial, operational, and/or human resources policies pursuant to the law or regulations or contractual commitments;

依法令或契約約定, 可操控公司之財務、營運及人事方針;

3. has the right to appoint or discharge a majority of the members on the board (or its equivalent organization), which has control over the company's operations;

有權任免董事會 (或約當組織) 超過半數之主要成員, 且公司之控制操控於該董事會 (或約當組織);

4. has control over the majority of the votes of the members on the board (or its equivalent organization), which has control over the company's operations; or

有權主導董事會 (或約當組織) 超過半數之投票權, 且公司之控制操控於該董事會 (或約當組織); 或

5. has other control power as defined under the Statements of Financial Accounting Standards No. 5 and No. 7 published by the Accounting Research and Development Foundation of the Republic of China.

依據財團法人中華民國會計研究發展基金會公布之財務會計準則公報第五號、第七號所規定之其他具有控制能力。

- G. I/We acknowledge and agree that this Declaration is a part of the Agreement (comprised of the General Terms and Conditions, the Special Terms and Conditions, the Account Opening Form and the Miscellaneous Documents) between the Company and me/us. Nothing contained in this Declaration should be construed as preventing the Company from exercising any right under the other parts of the Agreement. A breach of any representation or warranty in this Declaration constitutes a breach of contract by me/us.
本人 / 吾等知悉且同意此份聲明書是貴公司和本人 / 吾等之間協議 (由一般條款、特別條款、開戶表格、雜項文件組成) 的一部分。此份聲明書的任何內容皆不應被解釋為反對貴公司行使協議其他部分約定的任何權利。違反此份聲明書的任何聲明或保證即構成本人 / 吾等的違約。
- H. I/We agree that, in the event that any representation or warranty given by me/us in this Declaration is or becomes untrue when made or repeated, the Company shall be entitled at its absolute discretion, without further notice or demand to the client, to forthwith:
本人 / 吾等同意, 本人 / 吾等在本聲明書所為任何聲明或保證如有現在不真實或將來成為不真實, 貴公司將取得絕對酌情權, 不須進一步通知或請求本人 / 吾等, 即可以立刻:
- (i) suspend or terminate all or any of the Company's services;
暫停或終止全部或任何貴公司提供的服務;
 - (ii) cancel all or any unexecuted instructions of me/us;
取消全部或任何未執行的本人 / 吾等的指示;
 - (iii) liquidate any long position with the Company through the sale of securities on the relevant exchange(s);
在有關交易所售出證券以出清任何在貴公司持有的長倉;
 - (iv) close out and/or sell any futures contract in the captioned account and make or take delivery of the underlying commodities and/or securities in respect of any such contract.
平倉及 / 或沽售前述帳戶中任何期貨合約, 並就任何合約的有關商品及 / 或證券進行交收。
- I. I/We agree that, in the event that the Company is requested by any relevant regulator to sell any Taiwan securities or futures contracts purchased or held by the Company for and on my/our behalf, the Company shall be entitled at its absolute discretion, without further notice or demand to me/us, to forthwith:
本人 / 吾等同意, 如貴公司遭任何相關監管機構要求出售其代客戶購買或保管之台灣證券或期貨合約時, 貴公司將取得絕對酌情權, 不須進一步通知或請求本人 / 吾等, 即可以立刻:
- (i) suspend or terminate all or any of the Company's services;
暫停或終止全部或任何貴公司提供的服務;
 - (ii) cancel all or any unexecuted instructions of me/us;
取消全部或任何未執行的本人 / 吾等的指示;
 - (iii) liquidate any long position with the Company through the sale of securities on the relevant exchange(s);
在有關交易所售出證券以出清任何在貴公司持有的長倉;
 - (iv) close out and/or sell any futures contract in the captioned account and make or take delivery of the underlying commodities and/or securities in respect of any futures contracts.
平倉及 / 或沽售帳戶中任何期貨合約, 並就任何期貨合約的有關商品及 / 或證券進行交收。
- J. In the event that the Company exercises its discretion under Paragraph H or I of this Declaration, I/we agree that the Company is not obligated to give prior notice to me/us, to obtain consent from me/us, or to follow any instruction of me/us, and may sell any of such securities, futures contracts or other assets of me/us on a single or collective basis. The Company shall not be liable for any loss howsoever caused arising from the exercise by the Company of its rights and powers conferred by Paragraph H or I of this Declaration, whether in relation to the timing or manner of the exercise of such rights or powers or otherwise, unless due to the gross negligence, fraud or willful default of the Company or any of its officers, employees or affiliates and only to the extent of direct and reasonably foreseeable loss and damage (if any) arising directly and solely therefrom.
當貴公司行使此份聲明書第 H 或 I 段賦予的酌情權, 本人 / 吾等同意貴公司無義務事先通知本人 / 吾等、取得本人 / 吾等同意、或遵從本人 / 吾等指示, 並可以單一或集合基準出售本人 / 吾等的任何該等證券、期貨合約或其他資產。貴公司將毋須就貴公司行使此份聲明書第 H 或 I 段賦予的酌情權當中的權利或權力產生的任何損失負責, 不論有關行使權利或權力時間或方式或其他原因, 除非基於貴公司或其任何主管人員、僱員或聯屬人的嚴重疏忽、欺詐或蓄意失責所致、及只限於直接及合理預見直接及純粹由上述行為造成的損失及賠償 (如有)。
- K. I/We shall immediately notify the Company should any representation or warranty given by me/us herein becomes untrue after the execution of this Declaration.
本人 / 吾等在此所為任何聲明或保證如果在本聲明書簽署後成為不真實, 本人 / 吾等應當立即通知貴公司。
- L. The representations, warranties and undertakings contained herein shall be deemed to be repeated immediately before each instruction in relation to my/our investment in Taiwan securities and/or futures is given or executed through the captioned account.
上述的聲明、保證及承諾將會被視為在透過前述帳戶發出或執行的每項與本人 / 吾等之台灣證券及 / 或期貨投資相關的指示前已再次重複作出。

Declaration (to be signed by all co-owners, if applicable)

客戶聲明書 (所有聯名客戶必須簽署, 如適用)

Signature(s) 簽署:

Name of Client(s) 客戶名稱: _____

Name of Authorized Signatory(ies) (if applicable) 獲授權簽名人名稱 (如適用): _____

Date 日期 _____ (日/月/年)
(dd/mm/yyyy)