

ACCOUNT APPLICATION
(Individual Account)
開戶申請表
(個人帳戶)

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ACCOUNT APPLICATION (Individual Account)

開戶申請表 (個人帳戶)

Note: This is an important document. You (the "Applicant") should carefully read and fully understand the contents of this Account Application and depending on the account(s) and the services (if applicable) chosen by you immediately below, the attached Client Agreement(s) and Schedules and Appendix(ces) (if any) and Supplement(s) (if any) thereto (collectively "Client Agreement") in respect of SHKIS, SHKCOM, SHKB, SHKFX and/or SHKOS (as defined below) and where appropriate, the Terms and Conditions for OTC Swap Transactions (Individuals) ("OTC Swap T&Cs (Individuals)"), the OTC Swap Account Annex, SHKFX Global Payments Spot Contract Terms and Conditions, and the Application for Electronic Services (as defined in Clause (14) of Section G), (if any), as well as other related documents as specified by the company(ies) of EBSHK Group. The foregoing documents are together hereinafter referred to as the "Documents". In this Account Application, "EBSHK Group" means the group of companies comprising SHKIS, SHKCOM, SHKB, SHKFX and SHKOS together with Everbright Sun Hung Kai Company Limited ("EBSHKCL") and EBSHKCL's subsidiaries and associated companies and "the company(ies) of EBSHK Group" means the companies to which this Account Application is submitted in relation to the account(s) and the services (if applicable) chosen by the Applicant immediately below. Before signing the Documents, the Applicant should first seek independent legal and other professional advice as necessary. In case of discrepancies between the English and Chinese versions of this Account Application, the English version shall prevail.

註：此乃重要文件。閣下（即申請人）應仔細閱讀並充份理解本開戶申請表及依據閣下以下所選擇之一個或多個帳戶及服務（若適用）而隨本文件附上有關新鴻基投資服務、新鴻基期貨、新鴻基金業、新鴻基外匯及/或新鴻基科網（釋義見下）之客戶協議及其/其等附件及附錄（若有）及補充（若有）（統稱「客戶協議」）及當適用，場外掉期交易之條款及細則（個人）（「場外掉期條款及細則（個人）」）、「場外掉期帳戶附件」、新鴻基外匯「滙款易」現貨合約條款及條件及電子服務申請書（釋義按G項第(14)條）（若有）以及光大新鴻基集團的公司（釋義見下）不時指定的其他相關文件。上述文件以下統稱為「文件」。於本開戶申請表，「光大新鴻基集團」指包括新鴻基投資服務、新鴻基期貨、新鴻基金業、新鴻基外匯及新鴻基科網，連同光大新鴻基有限公司及其附屬公司及相聯公司等集團成員公司；同時，「光大新鴻基集團的公司」指相關於申請人以下所選擇之一個或多個帳戶及服務（若適用）而將本申請表向其/其等呈交的一間或多間光大新鴻基集團的公司。申請人在簽署文件前，必須徵求獨立法律及（如需要）其他專業意見。倘若本開戶申請表的中英文本有任何歧異，概以英文本為準。

To the companies of EBSHK Group: Please open and maintain the following type(s) of non-discretionary individual account(s) ("Account"). (Please see Clause (1) of Section G of this Account Application):

致光大新鴻基集團的公司：請開設及維持以下非全權代客買賣的個人帳戶（「帳戶」）（請參閱本開戶申請表G項第(1)條）：

Please check the appropriate box(es) below. (If you tick the box beside "Exclude", it means that you do not wish to open the relevant account(s).)

請選擇以下合適者。（倘若閣下不欲開以下帳戶，請在有關帳戶旁“除外”的方格上加上剔號。）

Sun Kung Kai Investment Services Limited ("SHKIS") 新鴻基投資服務有限公司（「新鴻基投資服務」）
(CE Number 中央編號：AAC153)

<input type="checkbox"/> Standard Trading Accounts (標準帳戶)	<input type="checkbox"/> Margin Trading Accounts (孖展帳戶)
1) Cash Securities Trading Account(s) 現金證券交易帳戶 2) Stock Options Trading Account(s) 股票期權交易帳戶 Exclude (除外) <input type="checkbox"/> 3) Collective Investment Scheme Account(s) 集體投資計劃帳戶 Exclude (除外) <input type="checkbox"/>	1) (i) Margin Securities Trading Account(s) 孖展證券交易帳戶 Either* <input type="checkbox"/> (ii) Margin Securities Trading Account(s) - (Financial Products Financing) 或或 <input type="checkbox"/> 孖展證券交易帳戶 - (理財產品融資帳戶) Exclude (除外) <input type="checkbox"/> (ii) Asset Power Account(s) 資富理財帳戶 Exclude (除外) <input type="checkbox"/> * Please tick only one box to exclude the account that you do not want to open, i.e., to exclude either (ii) or (iib). 如不欲開立(ii)或(iib)帳戶，請在有關帳戶旁的“除外”方格上加上剔號。閣下只應剔(ii)或(iib)旁方格之其中一個。 2) Stock Options Trading Account(s) 股票期權交易帳戶 Exclude (除外) <input type="checkbox"/> 3) Collective Investment Scheme Account(s) 集體投資計劃帳戶 Exclude (除外) <input type="checkbox"/> 4) OTC Swap Account(s)* 場外掉期帳戶* Exclude (除外) <input type="checkbox"/>

- Online H.K. securities trading services 網上港股買賣服務 Online U.S. securities trading services 網上美股買賣服務
 Online stock options trading services 網上股票期權買賣服務 Other Services 其他服務: _____

Sun Hung Kai Commodities Limited ("SHKCOM") 新鴻基期貨有限公司（「新鴻基期貨」）
(CE Number 中央編號：AAF237)

- Commodities Trading Account(s) 期貨交易帳戶 Online futures trading services 網上期貨買賣服務

Sun Hung Kai Bullion Company Limited ("SHKB") 新鴻基金業有限公司（「新鴻基金業」）

- Bullion Trading Account(s)
黃金交易帳戶

Sun Hung Kai Forex Limited ("SHKFX") 新鴻基外匯有限公司（「新鴻基外匯」）

(CE Number 中央編號：ACI995)

- Global Payment Account(s) – Spot FX 環球付款帳戶 – 現貨外匯 Global Payment Account(s) – Forward FX 環球付款帳戶 – 遠期外匯
 Leveraged Foreign Exchange Trading Account(s) 槓桿式外匯交易帳戶 Online leveraged foreign exchange trading services – SHK MT4 網上槓桿式外匯交易買賣服務 – SHK MT4
 Online leveraged foreign exchange trading services – FX Trader Pro 網上槓桿式外匯交易買賣服務 – 「交易易」（專業版）

SHK Online (Securities) Limited ("SHKOS") 新鴻基科網（證券）有限公司（「新鴻基科網」）

(CE Number 中央編號：AAC483)

- Cash Securities Trading Account(s) 現金證券交易帳戶 - Online H.K. securities trading services 網上港股買賣服務
 Margin Securities Trading Account(s) 孖展證券交易帳戶 - Online H.K. securities trading services 網上港股買賣服務
 Stock Options Trading Account(s) 股票期權交易帳戶 - Online stock options trading services 網上股票期權買賣服務

* Please complete the OTC Swap Account Annex (if applicable)

* 請填寫「場外掉期帳戶附件」（如適用）

FOR EXISTING CLIENT USE ONLY* 只供現有客戶使用*

- (1) Account No. 帳戶號碼: _____
- (2) Does the Applicant confirm that his/her personal data have not been changed and give consent to use the personal information maintained in existing account(s) (with account no. mentioned above) for this account opening application?
申請人是否確認他/她的個人資料沒有更改，並同意使用上述現有帳戶的個人資料以作本開戶申請用途？
- Yes 是 (Please skip Section A Question 3-13) (請跳過A項問題3-13)
- Yes 是, but with the Applicant's particulars updated as below 惟申請人資料有如下更新
(Please provide the updated information in the relevant space in Section A Question 3-13, where applicable)
(請在A項問題3-13的相關空位填上需更新的資料，如適用)
- No 否

(*only applicable to existing client who has successfully opened an account within 12 months of the date of this Account Application)
(*只適用於現有客戶而其賬戶須在本開戶申請表日期的12個月內成功開立)

SECTION A THE APPLICANT'S PARTICULARS 申請人資料**Personal Information 個人資料**

(1) Name (in English): Mr/Mrs/Miss/Ms* Surname (in English): CHAN Given Name: TAI MAN
姓名(中文): 先生/太太/小姐/女士* 姓(中文): 陳 名 大文
* Please delete as appropriate 請刪去不適用者 Full name shown on your identity document 您身份證明文件上的全名

(2) Date of Birth: 01 07 19 80 Nationality: CHINESE Identity Card or Passport No.: A123456(7)
出生日期 DD(日) MM(月) YYYY(年) 國籍 身份證或護照號碼

Identity Document Type: HKID CNID Macau ID Passport Others (Please specify): _____
身份證文件類別 香港身份證 中國身份證 澳門身份證 護照 其他(請註明):

(3) Marital Status: Single Married with child(ren) Married without child Others
婚姻狀況 未婚 已婚有子女 已婚未有子女 其他

(4) Education Level: Primary or below Secondary Post secondary University or above
學歷 小學或以下 中學 預科/專上學院 大學或以上

(5) Residential Address 住址: (Please provide address proof within the recent 3 months 請提供最近3個月的地址證明)
1212 TAI MAN GARDEN
Flat 室 Floor 樓數 Block 座數 House 樓/Building 大廈 Estate 屋邨/Garden 花園
TAI PO, NT HK
No. and Name of Street 門牌號數及街道名稱 District 分區/Area 地區 Country 國家

Nature of Occupancy 住宅類別:

Owned 自置 Rented 租用 Family property 家人物業 Quarter 宿舍
 Others (Please specify) 其他(請說明): _____

(6) Permanent Address 永久地址:
 Same as residential address 與住址相同
 Otherwise, please specify 若與住址不同, 請說明: (Please provide address proof within the recent 3 months 請提供最近3個月的地址證明)

Flat 室 Floor 樓數 Block 座數 House 樓/Building 大廈 Estate 屋邨/Garden 花園
No. and Name of Street 門牌號數及街道名稱 District 分區/Area 地區 Country 國家

(7) Home Tel No. 住宅電話號碼: 2123 4567 (8) Mobile Phone No. 手提電話號碼: 9876 5432

(9) Email Address: chantaiman@88.com
電子郵件地址

(10) Employment Status 工作狀況:
 Employed 受僱 Self-Employed 自僱 Retired 退休 Housewife 家庭主婦 Other 其他 _____

Name of Employer 僱主名稱: TAI MAN CO
Nature of Business of Employer 僱主業務性質: TRADING (TOY) Position 職位: OFFICER Years of Service with Employer 服務僱主年期: 2

(11) Business/Office Address 營業/辦公地址: Tel No. 電話號碼: 23456789
888 TAI TAI CENTRE
Flat 室 Floor 樓數 Block 座數 House 樓/Building 大廈 Estate 屋邨/Garden 花園
888 QUEEN'S ROAD CENTRAL HONG KONG
No. and Name of Street 門牌號數及街道名稱 District 分區/Area 地區 Country 國家

(12) Correspondence Address 通訊地址：

- Same as residential address 與住址相同 Same as business/office address 與營業 / 辦公地址相同
 Other address, please specify 其他地址，請說明：

Flat 室	Floor 樓數	Block 座數	House 樓/Building 大廈	Estate 屋邨/Garden 花園
No. and Name of Street 門牌號數及街道名稱			District 分區/Area 地區	Country 國家

(13) Language used in and method of delivering contract notes, daily & monthly statements of account, confirmations and the like
成交單、帳戶日結單及月結單、確認函及同類文件所用之語言及送遞方法

- (a) Email* 電郵* or或 By post to correspondence address** 郵寄往通訊地址**
(b) English 英文發出 or或 Chinese 中文發出

If you choose to receive electronic account statements, you can read your account statements through email. Accordingly, in the interest of environmental protection, you will not receive account statements by post.
如閣下選擇接收電子帳戶結單，您可經電郵閱覽帳戶結單。基於環境保護的考慮，閣下將不會收到以郵件寄發的帳戶結單。

* Please see Clause (9)(ii) in Section G
請參閱G項第(9)(ii)條

If you choose to receive contract notes, daily & monthly statements of account, confirmations and the like by email, you agree to complete and sign such further form (e.g. an Application for Electronic Services (as defined in Clause (14) of Section G)) as may be subsequently required by the company(ies) of EBSHK Group from time to time.
若閣下選擇經電郵收取成交單據、帳戶日結單及月結單、確認函及同類文件，閣下同意填妥及簽署光大新鴻基集團的公司可能其後不時要求的表格（例如：電子服務申請書（釋義按G項第(14)條））。

** Note: The contract notes, daily & monthly statements of account, confirmations and the like will be sent to the email address(es) as designated in item (9) of Section A (or where applicable, the latest email address(es) you have notified the relevant company(ies) of EBSHK Group). If you would like to receive these documents by post, subject to applicable legal and regulatory requirements, the relevant company(ies) of EBSHK Group may charge a reasonable fee which may be amended by the relevant company(ies) of EBSHK Group at any time and from time to time without prior notice. For details of the said fee, please refer to the fee schedule accompanying the Client Agreement of the relevant company(ies) of EBSHK Group or on the website of the relevant company(ies) of EBSHK Group.

註：成交單據、帳戶日結單及月結單、確認函及同類文件將會送至A(9)項所指定的電郵地址（或當適用，閣下已通知相關光大新鴻基集團的公司之最新近的電郵地址）。然而，如閣下希望透過郵寄方式收到此等文件，在受制於適用法律及規管的要求下，相關光大新鴻基集團的公司可向閣下收取合理費用，相關光大新鴻基集團的公司可隨時及不時修訂該費用但不會作出事前通知。就上述費用的詳情，閣下可參閱附隨於相關光大新鴻基集團的公司之客戶協議或於相關光大新鴻基集團的公司之網站上的收費表。

Financial Profile 財務概況

- (14) Annual Income (HK\$) (Note#): 每年收入（以港元計）（註#）
 ≤ \$250,000 \$250,001 - \$500,000 \$500,001 - \$1,000,000 \$1,000,001 - \$10,000,000
 \$10,000,001 - \$50,000,000 \$50,000,001 - \$100,000,000 >\$100,000,000

- (15) Net Assets (HK\$) (Note#): 資產淨值（以港元計）（註#）
 ≤ \$50,000 \$50,001 - \$200,000 \$200,001 - \$500,000 \$500,001 - \$1,000,000
 \$1,000,001 - \$5,000,000 \$5,000,001 - \$10,000,000 \$10,000,001 - \$40,000,000 \$40,000,001 - \$80,000,000
 \$80,000,001 - \$100,000,000 >\$100,000,000

- (16) Liquid Assets (HK\$) (Note#): 流動資產（以港元計）（註#）
 ≤ \$50,000 \$50,001 - \$200,000 \$200,001 - \$500,000
 \$500,001 - \$1,000,000 \$1,000,001 - \$5,000,000 \$5,000,001 - \$20,000,000
 \$20,000,001 - \$50,000,000 \$50,000,001 - \$100,000,000 >\$100,000,000

- (17) Initial Source(s) of Wealth 最初財富來源：
 Salary and/or bonus 薪金及 / 或花紅 Savings 儲蓄 Business income 業務收入
 Return on investment 投資回報 Retirement funds 退休金
 Inheritance or gift 遺贈或禮物 Others (Please specify) 其他（請說明）：_____

- (18) Ongoing Source(s) of Wealth 持續財富來源：
 Same as Initial Source(s) of Wealth 與最初財富來源相同
 Others (Please specify) 其他（請說明）：_____

(19) Initial/Ongoing Source(s) of Funds 最初 / 持續資金來源：

(a) Means of fund transfer(s) 資金轉移的方式：

- Cash 現金 Cheque/Bank draft 支票 / 銀行匯票 Local bank transfer 本港銀行轉賬
 Overseas remittance 海外匯款 Others (Please specify) 其他（請說明）：_____

(b) Country(ies) of Origin(s) of Funds 資金來源地：

- Hong Kong 香港 Mainland China 中國內地 Macau 澳門 Singapore 新加坡
 United States 美國 Canada 加拿大 Others (Please specify) 其他（請說明）：_____

Note#: Please choose one of the options only
註#: 請只選擇其中一項

SECTION B IDENTITY DECLARATION 身份聲明

Is the Applicant 申請人是否：

- (1) a senior officer or director of any (listed) company whose shares are traded on any exchange or market? (If yes, please specify the company name and stock code.)

任何其股份在交易所或市場買賣的（上市）公司之高級人員或董事？（如是，請說明公司名稱及股份編號。）

Yes 是 (Please specify 請註明：) No 否

- (2) a person licensed by or registered with the Hong Kong Securities and Futures Commission[^] or an employee of such person? (^If yes, please specify his/her CE No.)

香港證券及期貨事務監察委員會持牌或註冊人士[^]或該人士之僱員？（[^]如是，請說明他/她的中央編號。）

Yes 是 (Please specify 請註明：) No 否

- (3) a relative of the Investment Consultant responsible for the Applicant's Account(s) to be opened with EBSHK Group? (If yes, please state the relationship.)

光大新鴻基集團就此帳戶之負責客戶經理之親屬？（如是，請陳述與之關係。）

Yes 是 (Please specify 請註明：) No 否

- (4) Is/Are (i) the Applicant; and/or (ii) spouse, partner, child(ren) and/or parent(s) of the Applicant; and/or (iii) spouse(s) or partner(s) of the child(ren) of the Applicant; and/or (iv) close associate(s)^{^^} of the Applicant:

(i) 閣下；及 / 或 (ii) 閣下之配偶、伴侶、子女及 / 或父母；及 / 或 (iii) 閣下子女的配偶或伴侶；及 / 或 (iv) 與閣下關係密切的人^{^^}是否：

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 or religious leaders)? (If yes, please specify.)

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、國有企業高級行政人員或宗教領袖）？（如是，請說明。）

Yes 是 (Please specify 請註明：) No 否

^{^^} a person is a "close associate" of an individual if the person is
如某人符合以下說明，該人即屬與某名個人（首述個人）關係密切的人：

(a) an individual who has close business relations with the first-mentioned individual, including an individual who is a beneficial owner of a legal person or trust of which the first-mentioned individual is also a beneficial owner; or

該人是與首述個人有密切業務關係的個人（在首述個人屬某法人或信託的實益擁有人的情況下，包括同樣屬該法人或信託的實益擁有人的個人）；或

(b) an individual who is the beneficial owner of a legal person or trust that is set up for the benefit of the first-mentioned individual.

該人是屬某法人或信託的實益擁有人的個人，而該法人或信託是為首述個人的利益而成立的。

SECTION C FOR COMPLETION BY APPLICANT APPLYING FOR MARGIN SECURITIES TRADING ACCOUNT**由孖展證券交易帳戶申請人填寫**

- (1) Is your spouse a margin client of any company of EBSHK Group? (If yes, please provide details.)

申請人的配偶是否光大新鴻基集團之任何公司的孖展客戶？（如是，請提供詳情。）

Yes 是 (Please specify 請註明：) No 否

- (2) Do you alone or jointly with your spouse control 35% or more of the voting rights of a corporate margin client of any company of EBSHK Group? (If yes, please provide details.)

申請人是否單獨或與配偶共同控制光大新鴻基集團之任何公司的一個孖展公司客戶35%或以上的表決權？（如是，請提供詳情。）

Yes 是 (Please specify 請註明：) No 否

- (3) Is the Applicant, or was the Applicant at any time during the past 12 months, directly or indirectly (e.g. through a body corporate), whether or not together with other person(s) and/or entity(ies), connected or associated with any director (including any ex-director within the past 12 months), chief executive or substantial shareholder* of any company of EBSHK Group ("Connected Person")***? (If yes, please provide such details as requested by the company(ies) of EBSHK Group.)

申請人是否現在或於過去十二個月內任何時間，直接或間接（例如：透過一法人團體），不論是否聯同其他人士及 / 或實體，跟光大新鴻基集團之任何公司的任何董事（包括過去十二個月內之前董事）、行政總裁或主要股東*有所關連（「有關連人士」）***（如是，請提供光大新鴻基集團的公司所要求的詳情。）

Yes 是 (Please specify 請註明：) No 否

* "Substantial shareholder" means, in relation to a company, a person who is entitled to exercise, or control the exercise of, 10% or more of the voting power at any general meeting of that company. "主要股東"指，就一間公司而言，任何人士其於該公司之任何股東大會擁有權行使，或可控制行使，10%或以上之投票權。

** Examples of Connected Person include a spouse, child (legitimate or not, natural or adopted), step-child (legitimate or not, natural or adopted), parent, father-in-law, mother-in-law, son-in-law, daughter-in-law, grandparent, grandchild, uncle, aunt, cousin, brother-in-law, sister-in-law, nephew and niece of the above-mentioned director, ex-director, chief executive or substantial shareholder, a trustee of or for any of the foregoing persons and a partner of any of the foregoing persons (including any aforesaid trustee).

有關連人士例子包括上述董事、前董事、行政總裁或主要股東之配偶、子女（不論是否合法，親生或領養）、繼子女（不論是否合法，親生或領養）父母、配偶的父母、子女的配偶、祖父母、外祖父母、孫及外孫、父母的兄弟姐妹及其配偶、堂兄弟姐妹、表兄弟姐妹、兄弟姐妹的配偶、配偶的兄弟姐妹、以及兄弟姐妹的子女、任何前述人士的或為任何前述人士的受託人及任何前述人士（包括任何前述受託人）的合夥人。

SECTION D GENERAL INFORMATION 一般資料

(1) Capacity of the Applicant 申請人之身份

- Is the Applicant 申請人是否
- a. the ultimate beneficiary of the Account and transactions ("ultimate beneficiary") Yes 是 No 否
(Normally EBSHK Group would not accept an Applicant who is not the ultimate beneficiary.)
 帳戶及交易的最終實益持有人 (「最終實益持有人」)?
(光大新鴻基集團一般情況下不會接受非最終實益持有人之申請人。)
 - b. ultimately responsible for originating instructions (trading and/or others) for the Account? Yes 是 No 否*
(*Please complete EBSHK Group's "Declaration of person/entity ultimately responsible for originating the instruction in relation to a transaction".)
 為此帳戶之最終負責作出指示 (交易及 / 或其他指示) 的人士?
(*請填寫光大新鴻基集團的「最終負責作出交易指示的人士 / 實體之聲明」。)
 - c. the only person with authority to operate the Account? Yes 是 No 否**
**Please complete "Third Party Authorization - Individual or Joint Account".)
 唯一有權操作此帳戶者?
(**請填寫「第三者授權表格 - 個人或聯名帳戶」。)

(2) Designated Account Details 指定帳戶詳情

Designated bank: HSBC Bank account no.: 123-4-567890
 指定銀行 銀行帳戶號碼

Name of bank account holder: CHAN TAI MAN Country of Receiving Bank HONG KONG
 銀行帳戶持有人姓名 收款銀行所在地

SECTION E FACILITIES APPLICATION 額度申請

Office Use: TO BE COMPLETED BY (i) HEAD OF E-BUSINESS (OR DELEGATE) (for SHKOS); or (ii) INVESTMENT CONSULTANT (for other EBSHK Group entities)
 由(i)電子商務部主管 (或其代表) (適用於新鴻基科網); 或(ii)客戶經理 (適用於其他光大新鴻基集團的公司) 填寫

For Cash Securities Trading Account 現金證券交易帳戶	Proposed Settlement Limit: HK\$ _____ 港元 建議結算限額
For Margin Securities Trading Account 孖展證券交易帳戶	Proposed Credit Limit: HK\$ _____ 港元 建議貸款限額
	Overdraft Interest Rate 透支利率: _____ % plus prime lending rate 加優惠利率
	Security % Limit 抵押比率: _____ % (Acceptance 可接受貨值)
For Margin Securities Trading Account (Financial Products Financing) 孖展證券交易帳戶 - (理財產品融資帳戶)	Proposed Credit Limit: HK\$ _____ 港元 建議貸款限額
	Overdraft Interest Rate 透支利率: _____ % plus 3-month HIBOR 加港元香港銀行同業拆息(3個月)
	Security % Limit 抵押比率: _____ % (Acceptance 可接受貨值)
For Asset Power Account 資產理財帳戶	Proposed Credit Limit: HK\$ _____ 港元 建議貸款限額
	Overdraft Interest Rate 透支利率: _____ % plus 3-month HIBOR 加港元香港銀行同業拆息(3個月)
	Security % Limit 抵押比率: _____ % (Acceptance 可接受貨值)
For Stock Options Trading Account 股票期權交易帳戶	Proposed Position Limit: HK\$ _____ 港元 建議持倉限額
	Other Terms 其他條款: _____
For OTC Swap Account 場外掉期帳戶	Proposed Position Limit: HK\$ _____ 港元 建議持倉限額
	Other Terms 其他條款: _____
For Commodities Trading Account 期貨交易帳戶	Proposed Position Limit: HK\$ _____ 港元 建議持倉限額
	Other Terms 其他條款: _____
For Bullion Trading Account 黃金交易帳戶	Proposed Position Limit: US\$ _____ 美元 建議持倉限額
	Other Terms 其他條款: _____
For Global Payment Account 環球付款帳戶	Proposed Transaction Limit: US\$ _____ 美元 建議交易限額
For Leveraged Foreign Exchange Trading Account 槓桿式外匯交易帳戶	Proposed Position Limit: US\$ _____ 美元 建議持倉限額

I have read and fully understood the contents of this Account Application and the Client Agreement and agree to be bound by them. 本人已閱讀並完全明白本開戶申請表及客戶協議之內容，並同意受其等所約束。

I have read and fully understood the additional terms and conditions set out or referred to in Section G and Section H (including the Standing Authority(ies), where applicable) of this Account Application relating to the account(s), service(s) and/or product(s) to which I have chosen in this Account Application, and agree to be bound by them.

就本人在本開戶申請表上揀選之戶口、服務及/或產品，本人已閱讀並完全明白在G部及H部(包括該(等)常設授權，如適用)所載或提述與該(等)戶口、服務及/或產品有關的條款及條件，並且同意受其等約束。

I declare that I am not currently employed by any licensed or registered person to carry on regulated activities as defined in the Securities and Futures Ordinance (Cap.571 of the Laws of Hong Kong) (the "Ordinance"). Otherwise, I understand that I am required to provide to EBSHK Group written consent from my employer before I can open and operate an account with EBSHK Group. I undertake to promptly notify EBSHK Group if I become or cease to be employed by any licensed or registered person to carry out regulated activities.

本人聲明本人現時並非受僱於任何持牌人或註冊人以從事《證券及期貨條例》(香港法例第571章)(「條例」)界定的受規管活動。否則，本人明白本人須向光大新鴻基集團提供本人僱主的書面同意方可於光大新鴻基集團開立並使用帳戶。本人承諾如本人將受僱或不再受僱於何持牌人或註冊人以從事受規管活動時，將立即通知光大新鴻基集團。

Note: A licensed person means a licensed corporation licensed under the Ordinance. A registered person means a registered institution registered under the Ordinance.
注意：持牌人指根據條例獲發牌照的持牌法團。註冊人指根據條例註冊的註冊機構。

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

再者，本人確認載於或附隨客戶協議及附件之風險披露聲明及風險披露資料(若適用)及美股易風險披露聲明及資料(若適用)已按本人選擇之語言(英文或中文)提供予本人，及本人已閱讀，明白和接受其/其等(若適用)性質和內容。本人明白它們不是而且不能被當作一份完全或徹底列舉所有潛在風險的清單。此外，本人已被給予機會提出問題及徵求獨立的意見(若本人有此意願)。

In case I execute this Account Application not before an EBSHK Group staff/EBSHK Group licensed representative, or in case I execute this Account Application in accordance with any non-face to face procedures as may be permitted by the applicable laws and/or regulatory requirements, I confirm that I am aware that (i) EBSHK Group will contact me via telephone call ("Follow-up Call") to explain to me the Risk Disclosure Statements and, if applicable, Risk Disclosure Information before permitting me to trade under any account to be opened under this Account Application and (ii) if I do not confirm that I fully understand and accept the relevant risks during such Follow-up Call, I can immediately withdraw this Account Application and have this Account Application and supporting documents returned to me.

若本人並非在一名光大新鴻基集團員工/光大新鴻基集團持牌代表面前簽署此開戶申請表，或本人在適用法律及/或監管規定准許的情況下根據非親身開戶程序簽署此開戶申請表，本人確認本人知悉(i)在本人獲准在根據此開戶申請表開立的帳戶內進行交易前，光大新鴻基集團將會電話聯絡本人(「跟進電話」)以解釋風險披露聲明及風險披露資料(若適用)；(ii)若本人在跟進電話中不確認本人完全明白並接受有關的風險，本人可以立刻取消有關申請並取回此開戶申請表及相關證明文件。

For Cash Securities Trading Account(s) and Margin Securities Trading Account(s) Only

只適用於現金證券交易帳戶及孖展證券交易帳戶

I also confirm that the RISKS OF TRADING IN EXCHANGE-TRADED STRUCTURED PRODUCTS (e.g. Derivative Warrants, Callable Bull/Bear Contracts) and RISKS OF TRADING IN SYNTHETIC EXCHANGE TRADED FUNDS contained in the above-mentioned Risk Disclosure Statements have been explained to me and I have understood the contents thereof.

本人確認已獲載於以上風險披露聲明之「買賣交易所買賣之結構性產品及衍生工具(例如：衍生權證，牛熊證)的一些相關風險」及「買賣合成交易所買賣基金的風險」之講解，且本人已明白其內容。

For Margin Securities Trading Account(s) Only

只適用於孖展證券交易帳戶

I have read and fully understand the contents of the Standing Authority within the meaning of section 4(1) of the Securities and Futures (Client Securities) Rules (Cap. 571H, Laws of Hong Kong) and Standing Authority within the meaning of section 8(1) of the Securities and Futures (Client Money) Rules (Cap. 571I, Laws of Hong Kong) (see Section H) and agree to be bound by them.

本人已閱讀並完全明白香港法例第571H章《證券及期貨(客戶證券)規則》第4(1)條所指的常設授權及香港法例第571I章《證券及期貨(客戶款項)規則》第8(1)條所指的常設授權的內容(請參閱本申請表之H部)，並且同意受其等約束。

For Online Securities Trading Accounts (US Trader) Only

只適用於網上美國證券交易帳戶(美股易)

(I) In addition, I have received the agreements of the Information Services Provider(s) (as defined in Clause 6 of the Supplement to Sixth Schedule to the Client Agreement of SHKIS) listed below ("ISP Agreements") and have read and fully understood the terms contained therein and agree to be bound by all the terms of the applicable ISP Agreement(s). (II) I have received the US Trader Anti-Money Laundering Undertakings, Representations and Warranties and have read and fully understand, and hereby undertake, represent and warrant to SHKIS in, and agree to, the terms contained therein. (III) I consent that SHKIS may, at my own risk, send my Access Codes (as defined in the Client Agreement of SHKIS) for US Trader to my email address(es) specified in Section A of this Account Application and I understand and accept all the risks associated with the sending of my Access Codes for US Trader to my aforesaid email address(es) (including, without limitation, the risks arising from the unreliable and public nature of the Internet which may cause incorrect information transmission or loss of confidentiality of the information transmitted).

(I)再者，本人已收到以下所列資料服務供應商(定義見新鴻基投資服務的客戶協議附件六補充文件的條款6)的協議(「資料服務供應商協議」)並已閱讀及完全明白當中所載的條款，並各同意受適用的資料服務供應商協議的所有條款所約束。(II)本人已收到美股易反洗黑錢承諾、聲明及保證並已閱讀及完全明白當中所載的條款以及謹此就該等條款向新鴻基投資服務作出承諾、聲明、陳述及保證，並同意該等條款。(III)本人同意：在風險由本人獨自承擔下，新鴻基投資服務可將本人的美股易接達密碼(定義詳於新鴻基投資服務的客戶協議)送往於本開戶申請表A項所指明的本人電郵地址(一個或多個)處及本人明白及接受所有與將本人的美股易接達密碼送往本人前述的電郵地址處相關之風險(一個或多個)處相關之風險(包括但不限於因互聯網的不可靠及公眾的性質所產生之風險而這些性質可能導致傳輸不正確資料或所傳輸之資料失卻其保密性)。

The ISP Agreements:

資料服務供應商協議：

1. Agreements & Disclosures/Equities Non-Professional Market Data Agreement:
協議及披露/股票非專業市場數據協議：
 - (a) NYSE and Amex Terms and General Applicability of Market Data
紐約證券交易所(NYSE)及美國證券交易所(Amex)的條款及市場數據的普遍適用性
 - (b) OPRA Exchange Agreement – Non Professional Subscriber Application and Agreement:
期權報價管理局交易協議 – 非專業用戶申請及協議
(Last Sale and Quotation Information for Personal Non-business Use Only)
(僅供個人非商業用途的最新沽售及報價資料)
2. Dow Jones Indices Terms and Conditions 道瓊斯指數條款及條件
3. Agreements & Disclosures/On-Line Nasdaq Subscriber Agreement
協議及披露/網上納斯達克用戶協議

For OTC Swap Account(s) Only (if applicable)

只適用於場外掉期帳戶（如適用）

I acknowledge and agree that all transactions carried out in the OTC Swap Account will be subject to the OTC Swap T&Cs (Individuals) and the OTC Swap Account Annex together with the specific terms and conditions as stated in the Confirmation in respect of each specific transaction or other confirming evidence. I confirm that I have read and fully understand the contents of the OTC Swap T&Cs (Individuals), including without limitation the generic risks associated with over-the-counter derivative transactions listed in Second Schedule (Risk Disclosures) thereof, and agree to be bound by them.

本人確認並同意於場外掉期帳戶下開展之所有交易，將受「場外掉期條款及細則（個人）」及「場外掉期帳戶附件」以及確認書所載之關乎各項個別交易或其他確認證據之特定條款及細則約束。本人確認已閱讀並完全明白場外掉期條款及細則（個人）之內容，包括但不限於場外掉期條款及細則（個人）的附件2（風險披露）中列明的場外交易衍生產品相屬之風險，並同意受其等所約束。

For Global Payment Account(s) – Spot FX

只適用於環球付款帳戶 – 現貨外匯

I have read and fully understand the contents of SHKFX Global Payment Spot Contract Terms and Conditions, as issued or imposed by SHKFX from time to time, and agree to be bound by them.

本人已閱讀並完全明白新鴻基外匯不時發出或施加的新鴻基外匯「匯款易」現貨合約條款及條件之內容，並同意受其約束。

For Global Payment Account(s) – Forward FX

只適用於環球付款帳戶 – 遠期外匯

I have read and fully understand the contents of SHKFX's Client Agreement and Schedules and agree to be bound by them.

本人已閱讀並完全明白新鴻基外匯的客戶協議及附件，並同意受其約束。

For Collective Investment Scheme Account(s)

只適用於集體投資計劃帳戶

I, the Applicant, would like to apply to open a collective investment scheme account and to use SHKIS' online service to view mutual funds portfolio after opening of the account.

本人，即申請人，欲申請開立集體投資計劃帳戶及在開立帳戶後使用互惠基金帳戶網上查閱服務查閱帳戶資料。

I, the Applicant, understand that front-end fee (partly/fully as commission payable to SHKIS) is charged up to a maximum percentage of the investment amount stated on prospectus or explanatory memorandum of the relevant fund. Certain funds may charge redemption fee, switch fee and/or annual management fee, all or part of which may be payable to SHKIS by the relevant fund management company or its associated company. Detailed information of such fees can be found in the prospectus or explanatory memorandum of the relevant fund. In any event, the fees receivable by SHKIS will not exceed the maximum amount of such fees as set out in the prospectus or explanatory memorandum of the relevant fund. All or part of the fees received by SHKIS will be paid to the investment consultant serving your account as his/her commission.

本人，即申請人，明白首次認購費為個別基金於其認購章程或解釋備忘錄內所註明的最高收費，除非另有註明，而其中部分或全部收費會是新鴻基投資服務有限公司所收取的佣金。個別基金可能收取贖回費、轉換費或/及年度管理費，而有關的基金管理公司或其關聯公司可能會把其中的部分或全部支付予新鴻基投資服務有限公司。有關收費詳情請參閱有關基金的認購章程或解釋備忘錄。在任何情況下，新鴻基投資服務有限公司都不會收取高於認購章程或解釋備忘錄註明的最高收費。新鴻基投資服務有限公司會將部分或全部所收的費用付給服務閣下的經紀作為其佣金收入。

I, the Applicant, agree and acknowledge the aforesaid arrangement

本人，即申請人，同意及確認上述之安排

Executed as a deed on 簽訂作契約於： 08-01-2018

(Insert date) (填上日期)

Signed, sealed and delivered by 簽署、蓋印及交付：

Applicant's Signature#:

申請人簽署#：

Witnessed by staff/licensed representative of the company(ies) of EBSHK Group*:

由光大新鴻基集團的公司之僱員 / 持牌代表見證*：

Name of the staff/licensed representative of the company(ies) of EBSHK Group:

光大新鴻基集團僱員 / 持牌代表的姓名：

(Sign Here)

L.S.

CE No.
中央編號

* This signature shall be recorded as the latest specimen signature for the Account and all other accounts held by the Applicant with EBSHK Group. The Applicant agrees and authorizes EBSHK Group to update the relevant records accordingly. 此簽署將被記錄為本帳戶及申請人在光大新鴻基集團的其他所有帳戶的最新簽署樣式，申請人同意及授權光大新鴻基集團據此更新其相關記錄。

* If the witness is not an EBSHK Group staff/EBSHK Group licensed representative, please sign in the Certification below. 如見證人並非光大新鴻基集團僱員 / 光大新鴻基集團持牌代表，請簽署以下核證。

CERTIFICATION (to be completed when Account Application is not signed before a staff member/licensed representative of EBSHK Group)

核證（如開戶申請表並非在光大新鴻基集團的僱員 / 持牌代表面前簽署，請填此欄）

I am a * Justice of the Peace/branch manager of a licensed bank/lawyer/certified public accountant (practicing)/notary public/person acting on behalf of the affiliate of licensed corporation of EBSHK Group named below/SFC licensed or registered person accredited to the intermediary named below. I hereby certified that on the date above written in this Section F, this Account Application was executed by the Applicant named in this Account Application (who had been previously identified by production of the original of his/her Identity Card or Passport (detailed above) to me) in my presence.

本人乃*太平紳士 / 持牌銀行分行經理 / 律師 / 執業會計師 / 公證人 / 代表光大新鴻基集團公司持牌公司的聯繫人士的人士 / 隸屬以下所指名之中介團體之證監會持牌或註冊人士。本人現證實：於以上在本F項所寫的日期當日，本開戶申請表乃由本開戶申請表所指名的申請人（其身份已根據並向本人出示之身份證或護照（詳見上方）正本作核實）。

* Please delete as appropriate 請刪去不適用者

Signature of the certifier 證明人簽署

Date 日期

Name of the certifier (please print)

證明人姓名 (正楷)

Title (please print)

銜頭 (正楷)

CE No. of the certifier (if applicable)

證明人之中央編號 (如適用)

Name and CE No. of the intermediary or name of affiliate to which the certifier is accredited / act on behalf of (if applicable)

證明人所隸屬或代表之中介團體名稱及中央編號或聯繫公司名稱 (如適用)

Declaration by a licensed person accredited to the company(ies) of EBSHK Group

隸屬於光大新鴻基集團的公司持牌人士聲明

I confirm that I have provided the Risk Disclosure Statements, Risk Disclosure Information (if applicable) and US Trader RDS & Info (if applicable), in or accompanying the Client Agreement in a language of the Applicant's choice (English or Chinese), and have invited the Applicant to read such Risk Disclosure Statements and (if applicable) such Risk Disclosure Information, ask questions and take independent advice if he/she wishes.

本人確認已經按申請人所選擇語言（英文或中文）提供載或附於客戶協議的風險披露聲明、風險披露資料（若適用）及美股易風險披露聲明及資料（若適用），並已邀請申請人閱讀該／該等（如適用）風險披露聲明、提出問題及徵求獨立的意見（如其有此意願）。

I hereby confirm that I have not engaged in, and undertake that I will not engage in any activities or have any formal or informal arrangements in place to assist the Applicant or clients of EBSHK Group to circumvent the account identification requirements in relation to the Foreign Account Tax Compliance Act of the United States of America.

本人在此確認本人沒有從事、亦承諾在將來不會從事任何活動或有任何正式或非正式安排以協助申請人或光大新鴻基集團的客戶規避有關美國海外帳戶納稅法案(Foreign Account Tax Compliance Act)。

For Cash Securities Trading Account(s) and Margin Securities Trading Account(s) Only

只適用於現金證券交易帳戶及孖展證券交易帳戶

I confirm that I have explained to the Applicant the RISKS OF TRADING IN EXCHANGE-TRADED STRUCTURED PRODUCTS (e.g. Derivative Warrants, Callable Bull/Bear Contracts) and RISKS OF TRADING IN SYNTHETIC EXCHANGE TRADED FUNDS contained in the above-mentioned Risk Disclosure Statements.

本人確認已向申請人講解載於上述風險披露聲明之「買賣交易所買賣之結構性產品及衍生工具（例如：衍生權證，牛熊證）的一些相關風險」及「買賣合成交易所買賣基金的風險」。

For Margin Securities Trading Account(s) Only

只適用於孖展證券交易帳戶

I confirm that I have explained to the Applicant the contents of the Standing Authority within Section 4(1) of the Securities and Futures (Client Securities) Rules (Cap. 571H, Laws of Hong Kong) (See Section H of this Application) and invited the Applicant to take independent advice if he/she wishes.

本人確認已向申請人講解香港法例第571H章《證券及期貨(客戶證券)規則》第4(1)條所指的常設授權（請參閱本申請表之H部），並已邀請申請人徵求獨立的意見(如其有此意願)。

For All Account(s)

適用於所有帳戶

I confirm that I have explained to the Applicant the contents of the Standing Authority within Section 8(1) of the Securities and Futures (Client Money) Rules (Cap. 571I, Laws of Hong Kong) (See Section H of this Application) and invited the Applicant to take independent advice if he/she wishes.

本人確認已向申請人講解香港法例第571I章《證券及期貨(客戶款項)規則》第8(1)條所指的常設授權（請參閱本申請表之H部），並已邀請申請人徵求獨立的意見(如其有此意願)。

For Online Securities Trading Accounts (US Trader) Only

只適用於網上美國證券交易帳戶（美股易）

(I) I confirm that I have provided the ISP Agreements (defined above) to the Applicant and have invited the Applicant to read the terms contained in the applicable ISP Agreement(s). (II) I have provided and invited the Applicant to read the US Trader Anti-Money Laundering Undertakings, Representations and Warranties. (III) I have explained to the Applicant that SHKIS may, at the Applicant's own risk, send the Applicant's Access Codes (as defined in the Client Agreement of SHKIS) for US Trader to the Applicant's email address(es) specified in Section A of this Account Application and I have explained the risks associated with the sending of the Applicant's Access Codes for US Trader to the Applicant's aforesaid email address(es) (including, without limitation, the risks arising from the unreliable and public nature of the Internet which may cause incorrect information transmission or loss of confidentiality of the information transmitted).

(I)本人確認本人已向申請人提供資料服務供應商協議（定義如上）並已邀申請人閱讀適用之資料服務供應商協議中的條款。(II)本人已提供並邀申請人閱讀美股易反洗黑錢承諾、聲明及保證。(III)本人已向申請人說明：在風險由申請人獨自承擔下，新鴻基投資服務可將申請人的美股易接達密碼（定義見新鴻基投資服務的客戶協議）送往於本開戶申請表A項所指明的申請人的電郵地址處，以及本人已說明將申請人的美股易接達密碼送往申請人前述的電郵地址處相關之風險（包括但不限於因互聯網的不可靠及公開之性質，這些性質可能導致傳輸不正確資料或所傳輸之資料失卻其保密性所產生的風險）。

For Stock Options Trading Account(s) Only

只適用於股票期權交易帳戶

I confirm that I have discussed matters relating to options with the Applicants and based on the information provided, I believe that the Applicant has sufficient income and liquid assets to meet his/her obligations in respect of the options activity proposed and that such activity is reasonably suitable for the Applicant.

本人確認本人已與申請人商討有關期權買賣之事宜，根據所提供之資料，本人相信各申請人有足夠收入及流動資產應付建議之期權買賣活動的有關責任，申請人亦適合進行此項買賣活動。

For OTC Swap Account(s) Only

只適用於場外掉期帳戶

I confirm that I have explained to each Applicant the risks associated with over-the-counter derivative transactions listed in Second Schedule (Risk Disclosures) of the OTC Swap T&Cs (Individuals).

本人確認本人已向各申請人解釋場外掉期條款及細則（個人）的附件2（風險披露）中列明的場外交易衍生產品相屬之風險。

Signature of licensed person 持牌人簽署

Date 日期

Name of licensed person (please print)

CE No. (please print)

持牌人姓名（正楷）

中央編號（正楷）

Documentation checked by 文件查對人： _____

- (1) The Account is a non-discretionary account, which means that every trade conducted in it must be specifically authorized orally/in writing by the Applicant or, if applicable, any person(s) duly authorized by the Applicant pursuant to this Account Application, the Client Agreement and/or the OTC Swap T&Cs (Individuals) and/or other relevant terms and conditions issued by the company(ies) of EBSHK Group from time to time. 帳戶為非全權代客買賣帳戶，乃指帳戶內每項交易必須得申請人或根據本開戶申請表、客戶協議、場外掉期條款及細則（個人）及 / 或光大新鴻基集團的公司不時發出的其他相關條款及條件所訂明之一位或多位恰當地獲授權人士（若適用），以口頭或書面形式發出的特定授權才可進行交易。
- (2) Save for Clause (13) of this Section G, this Account Application is subject to the Client Agreement and Documents as amended from time to time. Unless otherwise indicated in writing by the relevant company(ies) of EBSHK Group, the Documents shall together constitute the entire agreement and understanding between the Applicant and the relevant company(ies) of EBSHK Group in respect of the matters contemplated under the Documents. Terms defined in the Client Agreement have the same meanings when used in this Account Application (save where otherwise expressly provided in this Account Application). Save for Clause (13) of this Section G, in the event of any conflict or inconsistency between the Client Agreement and any other document entered into between the Applicant and the relevant company(ies) of EBSHK Group and this Account Application, the Client Agreement and such other document entered into between the Applicant and the relevant company(ies) of EBSHK Group shall prevail to the extent of such conflict or inconsistency.

除本G項第(13)條外，本開戶申請表乃受客戶協議及文件（及其不時之修訂本）所規限。除非相關光大新鴻基集團的公司另有書面表示，否則文件將一起構成申請人與相關光大新鴻基集團的公司之間就文件所預期之事宜的全部協議及諒解。本開戶申請表所用之詞語與客戶協議所定義者具相同釋義（除非於本開戶申請表內另有明示指定）。除本文G項第(13)條外，倘若客戶協議及附件及申請人與相關光大新鴻基集團的公司間之任何其他文件與本開戶申請表有任何矛盾或不相同之處，當以客戶協議及附件及申請人與相關光大新鴻基集團的公司間之任何其他文件為準，但只限於該矛盾或不相同之處。

- (3) The company(ies) of EBSHK Group will not automatically release the Applicant's name and address as supplied in this Account Application to Hong Kong Securities Clearing Company Limited for receiving corporate communications directly from a relevant listed issuer(s). A separate authorization (as specified by the company(ies) of EBSHK Group from time to time) to company(ies) of EBSHK Group signed by the Applicant will be required for this purpose.

光大新鴻基集團的公司不會自行將在本開戶申請表上所提供之申請人姓名及地址給予香港中央結算有限公司以作直接收取有關上市發行機構之公司通訊。申請人需另行向光大新鴻基集團的公司簽訂由光大新鴻基集團的公司不時指定之有關授權。

- (4) The Applicant hereby declares and represents that the information provided on, with, and / or pursuant to this Account Application is true, accurate, complete and up-to-date and that all action necessary to authorize the disclosure of such information to the company(ies) of EBSHK Group and the use of such information by the company(ies) of EBSHK Group for any purposes contemplated under or related to this Account Application has been taken. The Applicant hereby undertakes to provide such further information as subsequently and reasonably requested by the company(ies) of EBSHK Group from time to time or otherwise required under the Client Agreement. The Applicant hereby further undertakes to notify the company(ies) of EBSHK Group promptly of any change to any aforesaid information. The company(ies) of EBSHK Group is entitled to rely fully on all aforesaid information for all purposes until the company(ies) of EBSHK Group is notified to the contrary in writing and any such written notification shall be duly signed by the Applicant. The Applicant understands and accepts that unless otherwise agreed by the company(ies) of EBSHK Group in writing, any change to any aforesaid information shall not take effect until 5 days after the actual receipt by the company(ies) of EBSHK Group of the relevant written notification.

申請人聲明及申述開戶申請表上提供、隨附及 / 或按本開戶申請表所提供的資料皆為真實、準確、完整及為最新的，並且已採取一切必要行動獲授權可向光大新鴻基集團的公司披露該等資料及光大新鴻基集團的公司可為本開戶申請表所預期或關於其目的而使用該等資料。申請人並承諾此後根據客戶協議書及附件或光大新鴻基集團之合理要求，不時向光大新鴻基集團的公司提供其他資料。申請人現再承諾即時通知光大新鴻基集團的公司任何前述資料之任何變更。除非光大新鴻基集團的公司接獲申請人以書面通知的任何變更，否則光大新鴻基集團的公司有權完全依賴所有前述之資料作一切用途及任何該等書面通知須由申請人恰當地簽署。申請人明白及接受：除非光大新鴻基集團的公司另有書面同意，否則任何前述資料的任何變更，只會於光大新鴻基集團的公司確實收妥有關書面通知當日起計五日後才會生效。

- (5) The Applicant hereby irrevocably and by way of security appoints the company(ies) of EBSHK Group as his/her lawful attorney to execute all documents and do all things which the company(ies) of EBSHK Group in good faith considers necessary and which the Applicant ought reasonably to do in furtherance or as a consequence of the terms of this Account Application or to perfect any security given by the Applicant.

申請人現不可撤銷地並以保證形式委任光大新鴻基集團的公司擔任其合法受託代表人簽訂所有文件，以及作出所有事情，而該等文件及事情乃光大新鴻基集團的公司真誠地認為申請人應當合理簽訂或作出以貫徹本開戶申請表之條款或因此等條款而產生或以完善任何由申請人提供的抵押的文件或事情。

- (6) The Applicant should familiarise himself / herself with and, where applicable, take advice on the laws and regulations applicable to the subscription, holding and realisation of the investments in respect of the Account in the place of his / her domicile / residence and, if applicable, all other relevant jurisdictions. The Applicant hereby warrants and represents and undertakes to ensure (and it is his / her sole responsibility to ensure) that under the laws of the place of his / her domicile / residence and, if applicable, all other relevant jurisdictions, he / she is lawfully entitled or permitted to open and maintain the Account with the company(ies) of EBSHK Group subject to the terms of the Client Agreement; to enter into such transactions, and to hold such assets, as contemplated under the Client Agreement and to comply with the terms of the Client Agreement and such warranties, representations and undertakings to the company(ies) of EBSHK Group are deemed to be repeated on each day up to and including the termination of the Client Agreement of the relevant company(ies) of EBSHK Group. Termination of the Client Agreement of the relevant company(ies) of EBSHK Group shall not affect any action by the relevant company(ies) of EBSHK Group or any of its agents or any third party permitted under such Client Agreement initiated prior to the date of termination or any indemnity or warranty given by the Applicant under such Client Agreement. The Applicant undertakes to pay all taxes, charges and other amounts, directly and indirectly, arising out of or in connection with the opening and/or maintaining of the Account and/or the entering into the aforesaid transactions and/or the holding of the aforesaid assets and/or the compliance with the terms of the Client Agreement. It is the sole responsibility of the Applicant to deal with any matter related to this Clause (6) and the company(ies) of EBSHK Group is under no obligation to take any action in relation to any such matter. Should the Applicant require any reasonable assistance from the company(ies) of EBSHK Group regarding any such matter, the company(ies) of EBSHK Group may, in its absolute discretion, render such assistance and all the costs, fees, charges, expenses and other amounts thereby incurred (including any service charges of the company(ies) of EBSHK Group for or in connection with rendering such assistance) shall be solely borne by the Applicant who undertakes to pay the same. Notwithstanding anything in this Clause (6) and notwithstanding the company(ies) of EBSHK Group may have rendered any assistance to the Applicant before (whether regarding the same matter or not), the company(ies) of EBSHK Group may, at any time, without liability to the Applicant or any third party and without assigning any reason therefor, refuse to render any assistance or further assistance (as the case may be) to the Applicant.

申請人應熟悉在其居籍 / 居留地及（若適用）及 / 或光大新鴻基集團的公司不時發出的其他相關條款及條件，所有其他相關的司法管轄區適用於關於帳戶之認購、持有及變現投資的法律及規則並當適用時尋求相關意見。申請人現保證、聲明及承諾確保（及此乃其獨自的責任去確保）根據其居籍 / 居留地及（若適用）所有其他相關司法管轄區的法律，其乃合法地有權或被許可在受客戶協議條款約束下於光大新鴻基集團的公司開立並維持帳戶；及進行及持有客戶協議所擬之交易及資產；以及遵守客戶協議的條款。再者，該等向光大新鴻基集團的公司發出的保證、聲明及承諾將被視為每日作出，直至及包括相關光大新鴻基集團的公司的客戶協議終止為止。相關光大新鴻基集團的公司的客戶協議之終止，將不會影響在終止日前相關光大新鴻基集團的公司或其任何代理人或任何第三方於該客戶協議容許下已展開之行動，亦不影響申請人在該客戶協議下給予之任何彌償或保證。申請人承諾支付直接或間接因或關於開立及 / 或維持帳戶及 / 或進行前述的交易及 / 或持有前述的資產及 / 或遵守客戶協議的條款而產生的所有稅項、費用及其他款項。此乃申請人獨自的責任處理關於本第(6)條的任何事宜，光大新鴻基集團的公司並沒有責任就任何該等事宜採取任何行動。若申請人就任何該等事宜需要光大新鴻基集團的公司的任何合理協助，光大新鴻基集團的公司可能以其絕對酌情權提供該協助，並且因此而招致的所有開支、費用、收費、支出及其他款項（包括光大新鴻基集團的公司為或關於提供該協助的任何服務費）將由申請人獨自承擔而其亦承諾支付。

儘管本第(6)條有任何規定及儘管光大新鴻基集團的公司可能以前已向申請人提供任何協助（不論是否關於同一事宜），光大新鴻基集團的公司可隨時拒絕向申請人提供任何協助或進一步的協助（視情況而定）但無須向申請人或任何第三方承責亦無須給予任何理由。

- (7) The Applicant confirms that unless otherwise indicated in this Account Application, he/she is acting as principal in relation to the Account.
申請人確認就帳戶而言，除非於本開戶申請表另有所指示，其乃以主事人的身份行事。
- (8) The Applicant confirms that he/she has read, is aware of and understands the terms set out in the Form of Options Information Statement, Disclaimer in Relation to Trading of Stock Index Futures Contracts, Disclaimer in Relation to Trading of Stock Index Option Contracts and HK Exchange Disclaimer in the Client Agreement and/or the Documents. (This Clause (8) is applicable to the Applicant if any Account, once approved to be opened, is governed by the relevant Client Agreement comprising the foregoing documents.)
申請人確認已閱讀，知悉並完全明白客戶協議及／或文件內之期權資料說明表、有關買賣股票指數期貨的負責聲明、有關買賣股票指數期權的負責聲明及香港交易所負責聲明（本第(8)條適用於申請人任何（一旦獲核准開立）由包含前述文件之相關客戶協議所規限的帳戶）。
- (9) (i) The use of online trading services, specified at page 1 of this Account Application, shall be in accordance with SHKIS's, SHKOS's, SHKB's, SHKCOM's and SHKFX's Client Agreement respectively and such other applicable terms as may be designated from time to time by SHKIS, SHKOS, SHKB, SHKCOM and/or SHKFX. Depending on the choice of the Applicant indicated by ticking the appropriate box(es) for any one or more or all of the aforesaid online trading services ("**Chosen Electronic Services**"), the Applicant agrees to use the Chosen Electronic Services on such website(s) as designated by the company(ies) of EBSHK Group from time to time and in accordance with the applicable document(s) and terms above mentioned in this Clause (9)(i) ("**Applicable Documents**" for the purpose of this Clause (9) only). The Applicant confirms that the relevant terms and conditions set out in the Applicable Documents, as well as the related risks set out therein and in the Risk Disclosure Statements ("**Risks**") have been explained to him/her. The Applicant confirms its understanding and acceptance of the Risks. The Applicant agrees to use the Chosen Electronic Services in accordance with the Applicable Documents. (This Clause (9)(i) is only applicable to the Applicant who has ticked the appropriate box(es) for the Chosen Electronic Services at page 1 of this Account Application).
本開戶申請表第1頁所指明的網上交易服務將各自按新鴻基投資服務、新鴻基科網、新鴻基金業、新鴻基期貨及新鴻基外匯的客戶協議及附件以及新鴻基投資服務、新鴻基科網、新鴻基金業、新鴻基期貨及／新鴻基外匯可能不時指定之其他適用條款使用。視乎申請人於本開戶申請表第1頁適當方格中加上「✓」號作為顯示其所選擇上述之任何一項、多項或所有電子服務（「已選擇電子服務」），申請人同意，根據本第(9)條上述適用的一份或多份文件及條款（「適用文件」僅作本第(9)條之用途）並於光大新鴻基集團的公司不時指定的一個或多個網站使用已選擇電子服務。申請人確認，其已獲解釋於適用文件內所列載的相關條款及條件及於適用文件及風險披露聲明內列出之相關風險（「風險」）。申請人確認其已明白和接受風險。申請人同意根據適用文件使用已選擇電子服務。（本第(9)(i)條只適用於本開戶申請表第1頁於已選擇電子服務之適當方格中加上「✓」號之申請人。）
- (ii) The Applicant consents to receive all relevant contract notes, daily and monthly statements of account, confirmations and the like (collectively, "**Advice**" for the purpose of this Clause (9) only) to be issued by the relevant company(ies) of EBSHK Group by means of email to the email address(es) provided in Section A herein above and/or display on the trading platform where of the Applicant can access, download and/or print out if this Account Application is approved by the relevant company(ies) of EBSHK Group. The Applicant hereby acknowledges that the Internet or other electronic medium is an inherently unreliable medium of communication and that such unreliability is beyond EBSHK Group's control or anticipation. The Applicant agrees that EBSHK Group shall not be responsible for any loss, damage, costs, expenses, claims or liability of whatsoever nature, directly or indirectly, arising out of or in connection with such unreliability or the public nature of the Internet or other electronic medium or any other cause beyond EBSHK Group's control or anticipation. (This Clause (9)(ii) is only applicable to the Applicant who has selected "Email" as the delivery method in Section A(13). However, if the Applicant is required to complete and sign an Application for Electronic Services for the purpose of receiving Advice (defined above), the terms and conditions in such Application for Electronic Services shall prevail to the extent of inconsistency.
若本開戶申請表獲相關光大新鴻基集團的公司所核准，申請人同意於以上本開戶申請表A項所指定之電子郵件地址收取及／或顯示於申請人可以進入的交易平台，並可下載及／或列印由相關光大新鴻基集團的公司以電郵方式發出之所有相關之成交單據、帳戶日結單及月結單、確認函及同類文件（僅就本第(9)條之用途，統稱「通知書」）。申請人在此確認互聯網或其他電子媒介本質上乃不可靠的通訊媒介，而該不可靠性乃非光大新鴻基集團所能控制或預期的。申請人同意，對直接或間接因或相關於該不可靠性，互聯網或其他電子媒介之公眾性質或任何其他非光大新鴻基集團可控制或預期之原因而產生之任何損失、損害、開支、費用、索求或責任（不論屬任何性質），光大新鴻基集團一概並不承責。（本第(9)(ii)條只適用於在A(13)項已選擇「電郵」為送遞方法之申請人。但若申請人須為收取通知書（釋義按上）而填寫並簽署電子服務申請書，則該電子服務申請書所載之條款及條件在其不一致之處將替代本第(9)(ii)條而適用。）
- (10) The Applicant confirms the receipt of, and understands and agrees to the terms of EBSHK Group's policies and practices relating to the use of personal data either attached to this Account Application as the Statement of Practice in regard to Personal Data (Privacy) Ordinance or attached to/provided in the Client Agreement and/or the OTC Swap T&Cs (Individuals) (as the case may be) and/or SHKFX Global Payments Spot Contract Terms and Conditions (as the case may be).
申請人確認收到及明白並同意光大新鴻基集團有關個人資料使用之政策及慣例之條款，其等於附隨本開戶申請表的關於個人資料（私隱）條例之操作聲明中列明或附隨／載於客戶協議及／或場外掉期條款及細則（個人）（視情況而定）及／或新鴻基外匯「匯款易」現貨合約條款及條件（視情況而定）。
- (11) By consenting to the use of his/her personal data for direct marketing purposes by company(ies) of EBSHK Group in Section H, the Applicant expressly consents that the company(ies) of EBSHK Group may at any time and from time to time send to him/her by telephone, email or other electronic means any messages relating to services or products which, in the opinion of the company(ies) of EBSHK Group, the Applicant may be interested. The Applicant may at any time request not to receive such messages from the company(ies) of EBSHK Group by sending an "unsubscribe" request to the unsubscribe facility specified in such messages or by written notice to the company(ies) of EBSHK Group at the address stated at the front page of this Account Application or such other address as the company(ies) of EBSHK Group may subsequently notify from time to time.
若申請人於H項同意光大新鴻基集團的公司使用其個人資料以作直接推廣用途，申請人則明確同意光大新鴻基集團的公司可隨時及不時透過電話、電子郵件或其他電子途徑傳送予申請人光大新鴻基集團的公司認為其可能有興趣之服務或產品訊息。申請人可隨時要求不從光大新鴻基集團的公司處接收該等訊息並可將取消接收要求送致該等訊息內所指定之取消接收選項，或以書面通知寄至本開戶申請表首頁所述之地址或光大新鴻基集團的公司日後不時所公佈之其他地址，而要求不從光大新鴻基集團的公司處接收該等訊息。
- (12) The Applicant hereby agrees to indemnify, on demand, the company(ies) of EBSHK Group (on a full indemnity basis) for all losses, costs and expenses (including legal costs) and liabilities of any nature whatsoever suffered or incurred by the company(ies) of EBSHK Group in reliance on any information mentioned in Clause (4) of this Section G or in consequence of any failure to provide any such information in a timely manner or at all by the Applicant or, directly or indirectly, arising from or in connection with the company(ies) of EBSHK Group's act or inaction in relation to this Account Application (except for any willful misconduct on its part), or any act or omission of the Applicant (whether or not constituting a breach of any provision contained in this Account Application).

申請人現承諾應要求彌償光大新鴻基集團的公司（按全面彌償基準）因依賴本G項第(4)條所述之任何資料或因申請人沒有及時或沒有向光大新鴻基集團的公司提供任何該等資料或直接或間接因或關於光大新鴻基集團的公司就本開戶申請表之任何行動或不行動（其故意不當行為除外）或申請人之任何行動或遺漏（不論是否構成一項違反本開戶申請表內所載之任何可條文）而令光大新鴻基集團的公司蒙受或承擔的所有損失、費用及支出（包括法律費用）及責任（不論屬任何性質亦然）。

(13) Notwithstanding anything to the contrary which may be contained in this Account Application or any other document, this Account Application is subject to the final approval of the company(ies) of EBSHK Group (whether with or without further conditions) and the company(ies) of EBSHK Group shall not be obliged to give any reason for not approving the same.

儘管本開戶申請表或任何其他文件可能另有訂明，本開戶申請表之最終核准將會由光大新鴻基集團的公司決定（不論有否其他條件）。同時，光大新鴻基集團的公司有權在無須提供理由之情況下拒絕該申請。

(14) In this Account Application, the following terms have the following meanings:

於本開戶申請表，以下詞語具以下定義：

"Application for Electronic Services" means an application for internet, mobile devices, or other form of electronic services, the contents and form(s) of which may be specified by EBSHK Group from time to time.

「電子服務申請書」指就互聯網、流動設備或其他形式的電子服務之申請書，其內容及格式由光大新鴻基集團不時指定。

"relevant company(ies) of EBSHK Group" means the company(ies) of EBSHK Group which agree(s) to open and maintain such account(s) and, where applicable, provide such services, with or without further conditions, as notified to the Applicant by such company(ies) in writing.

「相關光大新鴻基集團的公司」指一間或多間光大新鴻基集團的公司，而其/其等同意並以書面通知申請人開立及維持該通知所指的一個或多個帳戶及（若適用）（不論是否附帶其他條件）該通知所指的服務。

"subsidiary" bears the same meaning given to it under the Companies Ordinance (Cap.622 of the Laws of Hong Kong) (as amended from time to time).

「附屬公司」與《公司條例》（香港法例第622章）（及其不時修訂本）下所指明的附屬公司具相同定義。

For the purposes of this Account Application, two companies shall be taken to be associated companies if one is a subsidiary of the other, or both are subsidiaries of a third company, and "associated company" shall be construed accordingly.

就本開戶申請表而言，如兩間公司的其中一間是另一間的附屬公司，或該兩間公司俱是第三間公司的附屬公司，則該兩間公司將視為相聯公司，而「相聯公司」一詞亦據此解釋。

(15) In this Account Application, unless the context otherwise specifies, terms in the singular shall include the plural and vice versa; all references to any particular gender shall include all genders; and references to Section(s) shall be to the Section(s) of this Account Application.

在本開戶申請表，單數詞語包括眾數詞語，反之亦然，提到一種性別之處，包括所有性別；及項目/項乃指本開戶申請表之項目/項。

SECTION H ADDITIONAL TERMS AND CONDITIONS 額外條款及條件

Standing Authority within the meaning of section 4(1) of the Securities and Futures (Client Securities) Rules (Cap. 571H, Laws of Hong Kong) ("Rules")

香港法例第 571H 章《證券及期貨（客戶證券）規則》第 4(1) 條（下稱「規則」）所指的常設授權

In consideration of your agreement to provide or continue to provide to me services in accordance with the applicable terms and conditions, I, the Applicant, hereby agree to the following terms and conditions. If the Applicant consists of two or more persons, the liability(ies) of each such person shall be joint and several. For the avoidance of doubt, if I have margin trading accounts with two or more of the licensed corporations of EBSHK Group, notwithstanding anything to the contrary contained in this authority, this authority is given to all such companies and all such companies are hereinafter jointly and severally referred to as "EBSHK".

本人即申請人，謹此同意以下條款及條件，作為貴公司同意按適用的條款及條件向本人提供或繼續提供服務之代價。如果申請人共有兩位或以上人士，每位該等人士之責任須為共同及各別的責任。為免存疑，如果本人於二間或多間光大新鴻基集團的持牌法團擁有孖展證券帳戶，儘管本常設授權另有規定，本常設授權乃給予所有該等公司並且該等公司共同及各別地下稱「光大新鴻基」。

This authority covers securities which are now, or will be hereafter, received or held on my behalf or in which I have a legal or equitable interest ("Securities") and securities collateral which are now, or will be hereafter, deposited or otherwise provided by me or on my behalf ("Securities Collateral").

本常設授權涵蓋現行或其後代本人收取或持有或本人擁有法律上或衡平法上權益的證券（下稱「證券」）及現行或其後本人或代本人存入或以其它形式提供的證券抵押品（下稱「證券抵押品」）。

Unless otherwise defined, all the terms used in this authority shall have the same meanings as in the Securities and Futures Ordinance (Cap. 571 of the Laws of Hong Kong) and the Rules as amended from time to time.

除非另有定義，本常設授權中使用的所有詞語的涵義與不時修訂之《證券及期貨條例》（香港法例第 571 章）及規則中該等詞語的涵義相同。

I, the Applicant, hereby authorize EBSHK that it may:
本人即申請人謹此授權光大新鴻基可：

1. apply any of my Securities pursuant to a securities borrowing and lending agreement;
根據一份證券借貸協議運用本人之任何證券；
2. deposit any of my Securities Collateral with Hong Kong Securities Clearing Company Limited ("HKSCC") or an authorized financial institution, as collateral for financial accommodation provided to EBSHK and/or for the discharge and satisfaction of EBSHK's settlement obligations and liabilities and I understand and agree that HKSCC or the authorized financial institution will have a first fixed charge over my Securities Collateral to the extent of EBSHK's obligations and liabilities;
將本人之任何證券抵押品存入香港中央結算有限公司（下稱「香港結算」）或一認可財務機構，作為向光大新鴻基提供財務通融及/或履行及清償光大新鴻基之交收責任及法律責任的抵押品並且本人明白及同意香港結算或該認可財務機構對本人之證券抵押品將有第一固定押記但謹以光大新鴻基之責任及法律責任為限；
3. deposit any of my Securities Collateral with any other recognised clearing house, or another intermediary licensed or registered for dealing in securities, as collateral for the discharge and satisfaction of EBSHK's settlement obligations and liabilities;
將本人之任何證券抵押品存入任何其它認可結算所，或另一獲發牌或註冊以進行證券交易的中介人，作為履行及清償光大新鴻基之交收責任及法律責任的抵押品；

4. deposit or transfer my Securities and/or Securities Collateral with or to or interchangeably between any custodian(s) and/or clearing house(s) and/or any margin securities trading accounts of SHKIS, whether in Hong Kong or elsewhere, upon such terms as may be agreed by EBSHK but subject to applicable Regulatory Rules;
將本人之證券及 / 或證券抵押品存入在香港或其它地方的任何一個或多個保管人及 / 或結算所及 / 或新鴻基投資服務的任何一個孖展證券交易帳戶或於它們間互相轉移，按光大新鴻基同意之條款但受制於適用的監管規則；
5. upon such terms as may be agreed by EBSHK but subject to applicable Regulatory Rules, register or re-register any of my Securities or Securities Collateral in the name of EBSHK or any nominee appointed or agreed by EBSHK (whether in Hong Kong or elsewhere) or cancel any such registration; and
按光大新鴻基同意之條款但受制於適用的監管規則，以光大新鴻基或光大新鴻基指定或同意的任何代名人（不論在香港或其它地方）之名註冊或重新註冊本人之證券或證券抵押品或註銷任何該等註冊；及
6. apply, deposit or otherwise deal with any of my Securities Collateral in accordance with the above items 1 to 5 if EBSHK provides financial accommodation to me in the course of dealing in securities and also provides financial accommodation to me in the course of any other regulated activity for which EBSHK is licensed or registered.
按照以上第 1 至 5 項運用、存入或以其它形式處理本人等之任何證券抵押品，如果光大新鴻基在證券交易過程中為本人提供財務通融及在光大新鴻基獲發牌或註冊以進行的任何其他受規管活動過程中亦為本人提供財務通融；

EBSHK may, at any time and from time to time, do any or more or all of the things set out above in EBSHK's sole discretion and without giving me prior notice or obtaining my prior confirmation and/or direction.

光大新鴻基可隨時及不時行使其獨有酌情權及不必再通知本人或再取得本人確認及 / 或指示的情況下作出上述任何或多項或所有事情。

This authority shall not affect EBSHK's right to dispose or initiate a disposal of my Securities or Securities Collateral in settlement of any liability owed by or on my behalf to EBSHK or any member of the Group or a third person. Further, this authority is given in addition to and without prejudice to any other authority or right which EBSHK or any member of the Group may, now or hereafter, have in relation to my Securities and/or Securities Collateral. 本常設授權不會影響光大新鴻基處置或促使處置本人之證券或證券抵押品之權利以清償本人或代本人對光大新鴻基或任何集團成員或某一第三方之任何責任。再者，本授權乃在附加於及在不損害光大新鴻基或任何集團成員就本人之證券及 / 或證券抵押品而有的現行或其後的任何其它授權或權利的情况下發出。

I hereby agree to indemnify, and to keep indemnified, EBSHK from and against all and any losses, damages, interests, costs, expenses, actions, demands, claims and/or proceedings of whatsoever nature which EBSHK may incur, suffer and/or sustain as a consequence of any act and/or transaction done or undertaken pursuant to this authority.

本人謹此承諾彌償光大新鴻基因按本常設授權作出或承諾的任何行動及 / 或交易而導致光大新鴻基可能招致、承擔及 / 或面臨的一切及任何損失、損害賠償、利息、費用、支出、訴訟、要求、索償及 / 或法律程序，不論屬任何性質的，並承諾確保光大新鴻基免受損害。

I understand and agree that a third party may have rights to my Securities and/or Securities Collateral, which EBSHK must satisfy before my Securities and/or Securities Collateral can be returned to me.

本人明白及同意第三者可能對本人之證券及 / 或證券抵押品擁有權益，乃光大新鴻基必須了結方可讓本人之證券及 / 或證券抵押品歸還本人。

This authority is valid for the period between the account opening date and the first 31st day of October ("Anniversary Day") falling after the account opening day and thereafter for a period of 12 months from the Anniversary Day in each calendar year (or such other period as specified by EBSHK at any time but in any case not more than 12 months), subject to my renewal or deemed renewal under the Rules as amended from time to time. I understand that this authority shall be deemed to be renewed upon the same terms and conditions contained herein and on a continuing basis without my written consent if EBSHK issues me a written reminder at least 14 days prior to the Anniversary Day of this authority, and I do not object in writing to such deemed renewal before such Anniversary Day. In case that this authority is first given by me during a period between the issuance of the written reminder for a particular calendar year and the Anniversary Day in that calendar year, I hereby expressly agree that no additional written reminder shall be given to me for that calendar year and this authority shall be renewed by virtue of my express agreement given herein on that Anniversary Day.

本常設授權有效期為開戶日起計及至開戶後第一個10月的第31日（「週年到期日」），之後每年由週年到期日起計加12個月（或光大新鴻基於任何時間所規定的其它限期但於任何情況均不多於12個月），受不時修訂之規則下本人之續期或當作續期所限。本人明白如果光大新鴻基於本授權週年到期日期前至少14日向本人發出書面提醒，並且本人於該週年到期日前不以書面反對本授權之當作續期，即本授權將被當作以與本文載有的相同條款及條件於持續情況並毋須本人之書面同意下續期。倘若本人首次給予此授權時為該年度發出書面提醒與該年度的週年到期日之間，本人謹此明確地同意本人將不獲另發該年度的書面提醒而此授權將憑藉本人於此所給予明確的同意下於該週年到期日時續期。

This authority may be revoked by giving EBSHK written notice addressed to the Operations Department at EBSHK's address specified above or such other address as may be subsequently notified to me by EBSHK. My notice of revocation shall take effect upon the expiry of two weeks from the date of EBSHK's actual receipt of such notice and shall not affect any act or transaction done or undertaken by EBSHK or any member of the Group pursuant to or by virtue of this authority prior to such revocation taking effect.

本常設授權可被撤銷乃透過向光大新鴻基發出書面通知註明由營運部收件並送往光大新鴻基之上述地址或嗣後新鴻基金融通知本人的其它地址。本人之撤銷通知於光大新鴻基實際收訖該通知當日起計屆滿兩星期方才生效並且不會影響光大新鴻基或任何集團成員於該撤銷生效前根據或因本授權作出或承諾的任何行動或交易。

In this authority, unless the context requires otherwise, the following terms and expressions shall have the following meanings:

本常設授權中，除非文意另有所指，以下詞語將有下列涵義：

"Exchange" means The Stock Exchange of Hong Kong Limited and any other exchange, market or association of dealers in any part of the world on which securities are bought and sold;

「交易所」指香港聯合交易所有限公司及在世界各地進行證券買賣的任何其它交易所、市場或交易商協會；

"Group" means Everbright Sun Hung Kai Company Limited and Everbright Sun Hung Kai Limited's subsidiaries and associated companies, and "member of the Group" shall be construed accordingly.

「集團」指光大新鴻基有限公司及光大新鴻基有限公司的附屬公司及相聯公司，並且「集團成員」應作相應解釋。

"Regulators" means the SFC, the relevant Exchange, the relevant clearing house and any other regulator whether in Hong Kong or elsewhere;

「監管機構」指證監會、有關交易所、有關結算公司及在香港或其它地方的任何其它監管機構；

"Regulatory Rules" means the rules of the Regulators or other laws, rules, codes, guidelines, circulars and regulatory directions issued by the Regulators from time to time; and

「監管規則」指監管機構之規則或由監管機構不時發佈的其它法例、規則、守則、指引、通知及規管指示；及

“SFC” means the Securities and Futures Commission of Hong Kong.

「證監會」指香港證券及期貨事務監察委員會。

“subsidiary” bears the same meaning given to it under the Companies Ordinance (Cap.622, Laws of Hong Kong) (as amended from time to time).

「附屬公司」的涵義與《公司條例》（香港法例第 622 章）（及其不時修訂本）中該詞的涵義相同。

For the purposes of this authority, two companies shall be taken to be associated companies if one is a subsidiary of the other, or both are subsidiaries of a third company, and “associated company” shall be construed accordingly.

就本授權而言，如兩間公司的其中一間是另一間的附屬公司，或該兩間公司俱是第三間公司的附屬公司，則該兩間公司將視為相聯公司，而「相聯公司」一詞亦據此解釋。

In this authority, unless the context requires otherwise, terms in the singular shall include the plural and vice versa.

本常設授權中，除非文意另有所指，單數形式的詞語應包含眾數形式，反之亦然。

Standing Authority within the meaning of section 8(1) of the Securities and Futures (Client Money) Rules (Cap. 571I, Laws of Hong Kong) (“Rules”)

香港法例第 571I 章《證券及期貨（客戶款項）規則》第 8(1) 條（下稱「規則」）所指的常設授權

In consideration of your agreement to provide or continue to provide to me services in accordance with the applicable terms and conditions, I, the undersigned Applicant, hereby agree to the following terms and conditions. If the Applicant consists of two or more persons, the liability(ies) of each such person shall be joint and several. For the avoidance of doubt, if I have accounts with two or more of the licensed corporations of EBSHK Group, notwithstanding anything to the contrary contained in this authority, this authority is given to all such companies and all such companies are hereinafter jointly and severally referred to as “EBSHK”.

本人，即申請人，謹此同意以下條款及條件，作為貴公司同意按適用的條款及條件向本人提供或繼續提供服務之代價。如果申請人共有兩位或以上人士，每位該等人士之責任將為共同及各別的責任。為免存疑，如果本人於二間或多間光大新鴻基集團的持牌法團擁有帳戶，儘管本常設授權另有規定，本授權乃給予所有該等公司並且該等公司共同及各別地下稱「光大新鴻基」。

This authority covers money, now or hereafter, held or received on my behalf in Hong Kong (including any interest derived from the holding of the money which does not belong to you) in one or more segregated account(s) (“Monies”).

本常設授權涵蓋現在或以後在香港的一個或多個獨立帳戶中代本人持有或收取的款項（包括得自持有不屬於貴公司的款項的任何利息）（下稱「款項」）。

Unless otherwise defined, all the terms used in this authority shall have the same meanings as in the Securities and Futures Ordinance (Cap. 571 of the Laws of Hong Kong) and the Rules as amended from time to time. Subject to compliance with applicable laws and regulatory requirements, segregated account(s) include any account(s) designated as client account(s) or trust account(s) established and maintained in or outside Hong Kong and, if applicable, any account(s) opened and maintained (in or outside Hong Kong) in a name referable to me.

除非另有定義，本常設授權中使用的所有詞語意義與不時修訂之《證券及期貨條例》（香港法例第571章）及規則所述的意義相同。在遵從適用的法律及規管要求的情況下，獨立帳戶包括在香港或以外地方設立及維持並指定為客戶帳戶或信託帳戶的任何帳戶及，如適用，以本人名義（在香港或以外地方）開立及維持的任何帳戶。

I hereby authorize EBSHK that it may:

本人謹此授權光大新鴻基以：

1. combine or consolidate any or all segregated accounts of any nature whatsoever and either individually or jointly with others, maintained by EBSHK or any member of the Group and EBSHK may:

合併或綜合任何或所有屬任何性質、各別或與其它共同的、由光大新鴻基或任何集團成員維持的獨立帳戶並且光大新鴻基可：

(i) transfer any sum of Monies to and/or between such segregated account(s) to satisfy; or

轉移任何數額的款項來往該（等）獨立帳戶以清償；或

(ii) set off or transfer any sum of Monies in or towards satisfaction of,

抵銷或轉移任何數額的款項以清償，

my obligations or liabilities to EBSHK and/or any member of the Group, whether such obligations and liabilities are actual or contingent, primary or collateral, secured or unsecured, or joint or several;

本人對光大新鴻基及 / 或任何集團成員之任何責任或負債，不論該等責任及負債乃實際或或有、主要或附屬、有擔保或無擔保、或聯合或各別的；

2. deposit any sum of Monies into, or transfer any sum of Monies interchangeably between, the segregated account(s) maintained at any time by EBSHK or any member of the Group;

將任何數額的款項存入由光大新鴻基或任何集團成員於任何時間所維持的一個或多個獨立帳戶，或於獨立帳戶間互相轉移任何數額的款項；

3. where EBSHK lends securities to me pursuant to a securities borrowing and lending agreement, deposit any of my cash collateral provided to EBSHK pursuant to such securities borrowing and lending agreement with another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of EBSHK's settlement obligations and liabilities in connection with any back-to-back securities borrowing and lending agreement between EBSHK and such intermediary; and

在光大新鴻基根據證券借貸協議向本人作出證券借貸的情況下，將本人根據該證券借貸協議向光大新鴻基提供之任何現金抵押品存入另一獲發牌或註冊以進行證券交易的中介人作為履行及清償就光大新鴻基與該中介人之間任何背對背式證券借貸協議中光大新鴻基之交收責任及法律責任的抵押品；及

4. debit any or all segregated accounts maintained at any time by EBSHK or any member of the Group with such amount(s) of Monies as may be required for settling my liability (ies) under or pursuant to any agreement(s) and/or document(s) between me on the one part and EBSHK and/or any member of the Group on the other part.

在任何或所有由光大新鴻基或任何集團成員於任何時間所維持的獨立帳戶內扣除所須數額的款項以清償根據以本人為一方並光大新鴻基及 / 或任何集團成員為另一方的任何協議及 / 或文件中本人之責任。

EBSHK may, at any time and from time to time, do any or more or all of the things set out above in EBSHK's sole discretion and without giving me further notice or obtaining my/our further confirmation and/or direction.

光大新鴻基可隨時及不時行使其獨有酌情權及不再通知本人或再取得本人之確認及 / 或指示的情況下作出上述任何或多項或所有事情。

This authority is given in addition to and without prejudice to any other authority or right which EBSHK or any member of the Group may, now or hereafter, have in relation to the Monies in the segregated account(s) (or any amount thereof).

本常設授權在乃附加於及在不損害光大新鴻基或任何集團成員就一個或多個獨立帳戶內的款項（或任何其部份款項）而有的現行或其後的任何其它授權或權利的情況下發出。

I hereby agree to indemnify, and to keep indemnified, EBSHK from and against all and any losses, damages, interests, costs, expenses, actions, demands, claims and/or proceedings of whatsoever nature which EBSHK may incur, suffer and/or sustain as a consequence of any act, transfer and/or transaction done or undertaken pursuant to this authority.

本人謹此承諾彌償光大新鴻基因按本授權作出或承諾的任何行動、轉移及 / 或交易而導致光大新鴻基可能招致、承擔及 / 或面臨的一切及任何損失、損害賠償、利息、費用、支出、訴訟、要求、索償及 / 或法律程序，不論屬任何性質的，並承諾確保光大新鴻基免受損害。

This authority is valid for the period between the account opening date and the first 31st day of October ("Anniversary Day") falling after the account opening day and thereafter for a period of 12 months from the Anniversary Day in each calendar year (or such other period as specified by EBSHK at any time but in any case not more than 12 months), subject to my renewal or deemed renewal under the Rules as amended from time to time. I understand that this authority shall be deemed to be renewed upon the same terms and conditions contained herein and on a continuing basis without my written consent if EBSHK issues me a written reminder at least 14 days prior to the Anniversary Day of this authority, and I do not object in writing to such deemed renewal before such Anniversary Day. In case that this authority is first given by me during a period between the issuance of the written reminder for a particular calendar year and the Anniversary Day in that calendar year, I hereby expressly agree that no additional written reminder shall be given to me for that calendar year and this authority shall be renewed by virtue of my express agreement given herein on that Anniversary Day.

本授權有效期為開戶日起計及至開戶後第一個10月的第31日（「週年到期日」），之後每年由週年到期日起計加12個月（或光大新鴻基於任何時間所規定的其它限期但於任何情況均不多於12個月），受不時修訂之規則下本人之續期或當作續期所限。本人明白如果光大新鴻基於本常設授權週年到期日期前至少14日向本人發出書面提醒，並且本人於該週年到期日前不以書面反對本常設授權之當作續期，即本常設授權將被當作以與本文載有的相同條款及條件於持續情況並毋須本人之書面同意下續期。倘若本人首次給予此常設授權時為該年度發出書面提醒與該年度的週年到期日之間，本人謹此明確地同意本人將不獲另發該年度的書面提醒而此授權將憑藉本人於此所給予明確的同意 於該週年到期日時續期。

This authority may be revoked by giving EBSHK written notice addressed to the Operations Department at EBSHK's address specified above or such other address as may be subsequently notified to me by EBSHK. My notice of revocation shall take effect upon the expiry of at least two weeks from the date of EBSHK's actual receipt of such notice and shall not affect any act, transfer or transaction done or undertaken by EBSHK or any member of the Group pursuant to or by virtue of this authority prior to such revocation taking effect.

本授權可被撤銷乃透過向光大新鴻基發出書面通知註明由營運部收件並送往光大新鴻基之上述地址或嗣後光大新鴻基通知本人的其它地址。本人之撤銷通知於光大新鴻基實際收訖該通知當日起計屆滿兩星期方才生效並且不會影響光大新鴻基或任何集團成員於該撤銷生效前根據或因本常設授權權而作出或承諾的任何行動、轉移或交易。

In this authority, unless the context requires otherwise,

本常設授權信中，除非文意另有所指，

"Group" means Everbright Sun Hung Kai Company Limited and Everbright Sun Hung Kai Company Limited's subsidiaries and associated companies and "member of the Group" shall be construed accordingly.

「集團」指光大新鴻基有限公司及光大新鴻基有限公司的附屬公司及相聯公司，並且「集團成員」應作相應解釋。

"subsidiary" bears the same meaning given to it under the Companies Ordinance (Cap.622, Laws of Hong Kong) (as amended from time to time).

「附屬公司」的涵義與《公司條例》（香港法例第 622 章）（及其不時修訂本）中該詞的涵義相同。

For the purposes of this authority, two companies shall be taken to be associated companies if one is a subsidiary of the other, or both are subsidiaries of a third company, and "associated company" shall be construed accordingly.

就本常設授權而言，如兩間公司的其中一間是另一間的附屬公司，或該兩間公司俱是第三間公司的附屬公司，則該兩間公司將視為相聯公司，而「相聯公司」一詞亦據此解釋。

In this authority, unless the context requires otherwise, terms in the singular shall include the plural and vice versa.

本常設授權中，除非文意另有所指，單數形式的詞語應包含眾數形式，反之亦然。

Should there be any inconsistency or conflict between the Chinese and English versions of this authority, the English version shall prevail.

若本常設授權之中，英文本有任何不同或矛盾之處，當以英文本為準。

DIRECT MARKETING CONSENT FORM

直接促銷同意書

Everbright Sun Hung Kai Company Limited ("EBSHK"), its subsidiaries and associated companies (together referred to as the "EBSHK Group") would like to seek your (i.e., the Applicant's) consent to (i) use your personal data; and (ii) transfer your personal data to members within the EBSHK Group, for direct marketing (such as special offers, preferential rates, product updates, market opportunities, gifts, coupons, seminars, events etc.) for which EBSHK may receive gain. This direct marketing will relate to financial services and products, including investments, insurance, foreign exchange and lending ("Marketing Subjects"). Your personal data to be so used may include your name, contact details, age group, gender, financial profile and educational level ("Personal Data").

光大新鴻基有限公司（「光大新鴻基」）、其附屬公司及聯屬公司（統稱為「光大新鴻基集團」）敬請閣下（即申請人）同意我們：(i)使用閣下個人資料；及(ii)將閣下個人資料轉移至光大新鴻基集團旗下各成員公司，作直接促銷用途（例如特別產品推介、優惠費率、產品最新資料、市場投資機會、禮品、贈券、研討會、活動等），而光大新鴻基集團可能就此獲取得益。該等直接促銷是關於金融服務及產品，包括投資、保險、外匯及借貸（「促銷內容」）。就直接促銷用途所使用的閣下個人資料可能包括閣下姓名、聯絡資料、年齡組別、性別、財務狀況及教育水準（「個人資料」）。

Without your consent, the EBSHK Group may not use or transfer your Personal Data for direct marketing purpose. You may at any time withdraw your consent.

未經閣下同意，光大新鴻基集團不可使用或轉移閣下個人資料作直接促銷用途。閣下可隨時撤回所作出的同意。

Please tick the box below to indicate your consent. 請閣下剔選下述方框以表示閣下的同意。

I, the Applicant, consent to the EBSHK Group using my Personal Data, or transferring my Personal Data within the EBSHK Group, for direct marketing to me of the Marketing Subjects.

本人(即申請人)同意光大新鴻基集團使用本人的個人資料，或於光大新鴻基集團內轉移本人 / 吾等個人資料，用於向本人直接提供促銷內容。

Please refer to the EBSHK Group's Privacy Policy at www.ebshkfg.com or contact us for a copy.

請參閱光大新鴻基集團在www.ebshkfg.com登載的私隱政策，或聯絡我們索取有關政策。

SHANGHAI/SHENZHEN-HONG KONG STOCK CONNECT

滬港通/深港通

- I hereby confirm that I have read and fully understood the contents of the enclosed **Supplementary Terms and Conditions and Risk Disclosures of the Client Agreement – Shanghai-Hong Kong Stock Connect AND Shenzhen-Hong Kong Stock Connect** and other relevant documents and guidance enclosed with or accompanying this Account Application, and I fully accept these terms as binding upon me and as having been incorporated into the Client Agreement. I also understand and accept the features, limitation and risks of **Shanghai/Shenzhen-Hong Kong Stock Connect** and the services to be provided to me in connection with it. Please provide access to the Northbound trading services for my relevant Securities Trading Accounts.

本人據此確認，本人已經閱讀及完全理解夾附或隨附本開戶申請表的滬港與深港通－客戶協議之補充條款及條件和風險披露，以及其他相關文件和指引，並且本人完全接受該等條款對本人的約束力，猶如其已獲納入客戶協議。本人亦理解及接受滬港通/深港通的特點、限制和風險及新鴻基投資服務就此向本人提供的服務。請為本人的有關證券交易賬戶提供北向交易服務。

Not Applicable 不適用

SHENZHEN/SHANGHAI B SHARES

中國深圳/上海 B 股股票

- Shenzhen B share**

*I/We confirm to appoint SHKIS or your nominee company as *my/our agent to hold the China **Shenzhen** B shares in name of SHKIS or your nominee company on *my/our behalf.

中國深圳 B 股股票

*本人 / 吾等確認委託新鴻基投資服務或新鴻基投資服務的代理人公司為 *本人 / 吾等之代理人，代為登記持有 *本人 / 吾等之中國深圳 B 股股票。

Shanghai B share

*I/We confirm to appoint SHKIS or your nominee company as *my/our agent to hold the China **Shanghai** B shares in name of SHKIS or your nominee company on *my/our behalf.

中國上海 B 股股票

本人 / 吾等確認委託新鴻基投資服務或新鴻基投資服務的代理人公司為 *本人 / 吾等之代理人，代為登記持有 *本人 / 吾等之中國上海 B 股股票。

Not Applicable 不適用

The Investor Identification Regime for Northbound Trading

北向交易投資者識別碼制度

Under the rules and regulations of the China Stock Connect ("China Connect Rules"), EBSHK Group is required to submit certain personal data of the investor as prescribed under the China Connect Rules (including name, ID issuing country, ID Type and ID number, etc) to the Stock Exchange of Hong Kong Limited ("SEHK") who will further route or transfer such data to the Mainland exchanges or authorities ("Investor Identification Regime for Northbound Trading") and to tag orders or perform such other acts as may be required under the China Connect Rules. EBSHK Group needs your specific consent to do so. Without your consent, EBSHK Group cannot provide or continue to provide northbound trading services to you.

根據有關滬港通及深港通規定（“滬深港通規則”），光大新鴻基集團必須按照滬深港通規則的規定提交投資者的某些個人信息（包括姓名，身份證發證國家，身份證件類型和身份證號碼等）轉交香港聯合交易所有限公司（「聯交所」），並將有關資料進一步轉交內地交易所或有關機構（「北向交易投資者識別碼制度」）；以及按滬深港通規則標註交易指令或作出其他行為。光大新鴻基集團需要得到閣下的特定同意以便將有關資料進一步轉交內地交易所或有關機構。未經閣下的同意，光大新鴻基集團不能向閣下提供或繼續提供北向交易服務。

- I consent to the use or transfer of my personal data as mentioned above by EBSHK Group for the purpose of complying with the Investor ID Model regime for Northbound Trading.

本人同意光大新鴻基集團如上所述使用或轉交本人的個人資料，以遵守北向交易投資者識別碼制度。

Not Applicable 不適用

I, the Applicant, agree to the Additional Terms and Conditions in Section H of this Account Application to which I have chosen by adding a tick.
本人，即申請人，同意本申請表H部所載並經本人剔選的額外條款及條件。

(Sign Here)

Applicant's signature

申請人簽署

Date 日期: 08-01-2018

Optional Information 自由提供資料

Applicant's Background 申請人背景: _____

Applicant's relationship with Investment Consultant e.g. relatives (please specify), friend, etc.
申請人與客戶經理的關係,如親戚(請註明)、朋友等

Walk-in 街客 Referral 客戶轉介 Existing Client 現有客戶

Others (Please specify) 其他(請註明) _____

How long has the Applicant been known to Investment Consultant 客戶經理認識申請人的日子多久: _____

Investment Consultant's Signature 客戶經理簽署: _____

Full name 全名: _____

Details of any license or registration (including CE No.) 牌照或註冊資料(包括中央編號): _____

Approved account opening for and on behalf of the relevant company(ies) of EBSHK Group by
經由下列人士為及代表相關光大新鴻基集團的公司核准開戶

Authorized Signatory
獲授權簽署人

Name (please print):

姓名(正楷)

Date 日期:

The relevant company(ies) of EBSHK Group (please specify):
相關光大新鴻基集團的公司(請指明):

SHKIS 新鴻基投資服務 SHKCOM 新鴻基期貨 SHKB 新鴻基金業 SHKFX 新鴻基外匯 SHKOS 新鴻基科網

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

(Rev. July 2017)

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

OMB No. 1545-1621

Department of the Treasury
Internal Revenue Service

► 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.

Do NOT use this form if:

Instead, use Form:

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

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 CHAN TAI MAN		2 Country of citizenship HK
3 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address. FLAT 1212, TAI MAN GARDEN		
City or town, state or province. Include postal code where appropriate. TAIPO, NT		Country HK
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) 01 - 13 - 1980	

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 HK 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

(Sign Here)

01 - 08 - 2018

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

Date (MM-DD-YYYY)

CHAN TAI MAN

Print name of signer

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

Section I: Customer Investment Knowledge

第一部分：客戶投資知識

(A) This part is designed to enable us to understand and assess your level of investment experience with non-complex investment products.

這部分旨在讓我們了解及評估閣下對非複雜性投資產品的投資經驗。

Please tick the appropriate boxes below to indicate your investment experience (in number of years) in each type of product.

請列出閣下於下列每一項投資產品的投資經驗（以年為單位）。

Investment experience 投資經驗	Nil 無經驗 (Score: 0)	Basic Experience 基礎經驗 (Score: 1)		Intermediate Experience 中度經驗 (Score: 3)	Advanced Experience 豐富經驗 (Score: 5)
		Less than 1 year of experience 少於 1 年經驗	1 year to 3 years of experience 1 年至 3 年經驗	3 years to 10 years of experience 3 年至 10 年經驗	More than 10 years of experience 10 年以上經驗
Equities 證券	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Mutual Funds/Unit Trusts 互惠基金／單位信託	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fixed Income Products 固定收益產品	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Investment-linked assurance product 投資相連保險計劃	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Score 得分[*] :					
<i>*The score is derived from the highest point which you have obtained from the above items.</i>					
<i>得分數來自您從上述項目獲得的最高分數。</i>					

(B) This part is designed to enable us to understand and assess your level of investment experience with complex and/or derivative products.

這部分旨在讓我們了解及評估閣下對複雜及／或衍生產品的投資經驗。

Please tick the appropriate boxes below to indicate your investment experience (in number of years) in each type of product.

請列出閣下於下列每一項投資產品的投資經驗。

Investment experience 投資經驗	Nil 無經驗 (Score: 0)	Basic Experience 基礎經驗 (Score: 1)		Intermediate Experience 中度經驗 (Score: 3)	Advanced Experience 豐富經驗 (Score: 5)
		Less than 1 year of experience 1 年以下經驗	1 year to 3 years of experience 1 年至 3 年經驗	3 years to 10 years of experience 3 年至 10 年經驗	More than 10 years of experience 10 年以上經驗
Warrants 認股證	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Stock Options 股票期權	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Leveraged Forex 槓桿式外匯	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Futures and Options 期貨及期權	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Hedge Funds 對沖基金	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Structured Notes ¹ (e.g. DCN, ELN, KO ELN, DAC, ELI) 結構性票據（如雙重貨幣票據、股票掛鈎票據、觸及取消股票掛鈎票據、每日累計可贖回票據、股票掛鈎投資工具）	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
OTC Swap (e.g. accumulator, decumulator) 場外市場掉期（如累積認購期權合約、累積認沽期權合約）	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other Derivatives Products (including but not limited to: Callable Bull/Bear Contracts, Equity-Linked Instruments, Structured Funds, Exchange Traded Funds with Derivative Nature and Convertible Bonds etc) 其他衍生產品（包括但不限於：牛熊證、股票掛鈎票據、結構性基金、有衍生特性的交易所買賣基金及可換股債券等）	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Score 得分[*] :					
<i>*The score is derived from the highest point which you have obtained from the above items.</i>					
<i>得分來自閣下從上述項目獲得的最高分數。</i>					

¹ Full names of different types of structured notes: DCN=Dual Currency Notes, ELN=Equity-Linked Notes, KO ELN=Knock-Out Equity-Linked Notes, DAC=Daily Accrual Callable Notes, ELI=Equity Linked Investments.

(C) This part is designed to enable us to understand and assess your level of knowledge of derivatives products.

這部分旨在讓我們了解閣下及評估閣下對衍生產品的知識。

Do you have any knowledge on derivatives product(s)?

您對衍生產品有沒有知識?

No 沒有

Yes 有

(please choose the best describe the way(s) you acquired your derivatives products' knowledge (can choose more than one)

請問閣下從以下哪種途徑獲得提及的衍生產品的知識? (可選多項)

- Relevant trading experience i.e. executed five or more transactions in derivative products (whether traded on an exchange or not) within the past three years[#] 相關之交易經驗，即過去三年內已進行了五次或以上有關衍生產品之交易[#] (不論是否於交易所進行交易)
- Underwent training or attended courses on derivative products 曾接受有關衍生產品的培訓或修讀相關課程
(Please specify 請註明: _____)
- Current or previous work experience 現時或過去的工作經驗
(Please specify 請註明: _____)
- Licensing that I am a licensed/registered person to carry out regulated activities as defined in the Securities and Futures Ordinance
以證券及期貨條例所定之持牌/註冊人之身份進行有關受規管的活動

[#] It is suggested to provide the statement which shows at least one transaction of any one of the derivative products in Part (B) above (if applicable).

建議提供至少有一項上述 B 部分提及過的衍生產品交易的結單 (如適用)。

Assessment Result 評估結果

Based on the assessment above, the total score of your investment experience is

根據上述評估，閣下的投資經驗的總得分為：

Part (A) + Part (B)
A 部分 + B 部分

Total Score 總得分		Assessment of Investment Experience 投資經驗評估
<input type="checkbox"/>	0	No Experience 無經驗
<input type="checkbox"/>	1 – 2	Basic Experience 基礎經驗
<input type="checkbox"/>	3	Intermediate Experience 中度經驗
<input type="checkbox"/>	4	Extensive Experience 廣泛經驗
<input type="checkbox"/>	≥5	Advanced Experience 豐富經驗

Section II: Risk Tolerance Level (Total score: 40)

第二部分：風險承受能力（總得分：40）

This part is designed to enable us to assess your overall risk tolerance level.

本部分旨在讓我們評估閣下的整體風險承受能力。

Question	Score 分數
<p>1. Which age group do you belong to? 閣下的年齡屬於以下哪個組別？</p> <p><input type="checkbox"/> Between 18 to 20 18 歲至 20 歲</p> <p><input checked="" type="checkbox"/> Between 21 to 34 21 歲至 34 歲</p> <p><input type="checkbox"/> Between 35 to 50 35 歲至 50 歲</p> <p><input type="checkbox"/> Between 51 to 64 51 歲至 64 歲</p> <p><input type="checkbox"/> 65 or above 65 歲或以上</p>	<p><input type="checkbox"/> 1</p> <p><input type="checkbox"/> 4</p> <p><input type="checkbox"/> 5</p> <p><input type="checkbox"/> 3</p> <p><input type="checkbox"/> 1</p>
<p>2. Your highest education level achieved is 閣下的學歷為</p> <p><input type="checkbox"/> Primary School or below 小學或以下</p> <p><input type="checkbox"/> Secondary School 中學</p> <p><input type="checkbox"/> Post-Secondary (including diploma and associate degree) 預科／專上學院</p> <p><input checked="" type="checkbox"/> Bachelor Degree/University or above 大學或以上</p>	<p><input type="checkbox"/> 1</p> <p><input type="checkbox"/> 3</p> <p><input type="checkbox"/> 4</p> <p><input type="checkbox"/> 5</p>
<p>3. What is your primary investment objective? 閣下的主要投資目標是？</p> <p><input type="checkbox"/> Capital preservation 資金保本</p> <p><input type="checkbox"/> Regular and stable income 定期及固定收入</p> <p><input type="checkbox"/> Moderate capital appreciation 適度資本增值</p> <p><input checked="" type="checkbox"/> Moderate to high capital appreciation 適度至高資本增值</p> <p><input type="checkbox"/> Maximum capital appreciation 最大的資本增值</p>	<p><input type="checkbox"/> 1</p> <p><input type="checkbox"/> 2</p> <p><input type="checkbox"/> 3</p> <p><input type="checkbox"/> 4</p> <p><input type="checkbox"/> 5</p>
<p>4. What is the average percentage of your total net worth that will be allocated for investment or savings purposes (excluding real estate property)?</p> <p>閣下打算用作為投資或儲蓄用途的款項平均佔閣下總資產淨值的百分比（物業除外）為多少？</p> <p><input type="checkbox"/> Less than 5% 少於 5%</p> <p><input type="checkbox"/> 5% to less than 10% 5% 至少於 10%</p> <p><input checked="" type="checkbox"/> 10% to less than 20% 10% 至少於 20%</p> <p><input type="checkbox"/> 20% to less than 30% 20% 至少於 30%</p> <p><input type="checkbox"/> 30% or above 30% 或以上</p>	<p><input type="checkbox"/> 1</p> <p><input type="checkbox"/> 2</p> <p><input type="checkbox"/> 3</p> <p><input type="checkbox"/> 4</p> <p><input type="checkbox"/> 5</p>
<p>5. It is generally true that the longer the investment horizon, the higher the risk an investor can tolerate. What is the expected investment horizon of your entire investment portfolio? 在一般情況下，投資的年期越長，可承受的風險越高。閣下願意進行投資活動的整體投資年期為多久？</p> <p><input type="checkbox"/> Less than 6 months 少於 6 個月</p> <p><input checked="" type="checkbox"/> 6 months to 1 year 6 個月至 1 年</p> <p><input type="checkbox"/> 1 to 2 years 1 年至 2 年</p> <p><input type="checkbox"/> 2 to 5 years 2 年至 5 年</p> <p><input type="checkbox"/> Over 5 years 超過 5 年</p>	<p><input type="checkbox"/> 1</p> <p><input type="checkbox"/> 2</p> <p><input type="checkbox"/> 3</p> <p><input type="checkbox"/> 4</p> <p><input type="checkbox"/> 5</p>
<p>6. Which of the following statements best describes your investment attitude? 下列哪項陳述最能表達閣下的投資取向？</p> <p><input type="checkbox"/> I am not willing to bear a price fluctuation range of more than 5% for financial investment and wish to gain a return slightly higher than the bank deposit interest rate. 本人不願意承受任何多於 5% 價格波動的金融投資，並希望獲得稍高於銀行存款利率的回報。</p> <p><input type="checkbox"/> I am willing to bear a price fluctuation range of around 5% to less than 10% for financial investment and wish to gain a return that is slightly higher than the bank deposit interest rate. 本人願意承受大概 5% 至少於 10% 價格波動的金融投資，並希望獲得稍高於銀行存款利率的回報。</p> <p><input checked="" type="checkbox"/> I am willing to bear a price fluctuation range of 10% to less than 20% for financial investment and wish to gain a return much higher than the bank deposit interest rate. 本人願意承受 10% 至少於 20% 價格波動的金融投資，並希望獲得遠高於銀行存款利率的回報。</p> <p><input type="checkbox"/> I am willing to bear a price fluctuation range of 20% to less than 30% for financial investment and wish to gain a return comparable to the average return of the stock market. 本人願意承受 20% 至少於 30% 價格波動的金融投資，並希望獲得媲美一般股票市場的回報。</p> <p><input type="checkbox"/> I am willing to bear a price fluctuation range of 30% or more for financial investment and wish to gain a return remarkably higher than the average return of the stock market. 本人願意承受 30% 或以上價格波動的金融投資，並希望獲得明顯高於一般股票市場的回報。</p>	<p><input type="checkbox"/> 1</p> <p><input type="checkbox"/> 2</p> <p><input type="checkbox"/> 3</p> <p><input type="checkbox"/> 4</p> <p><input type="checkbox"/> 5</p>

<p>7. How would you react if your portfolio fell significantly (e.g. more than 20%) within one day? 如果閣下的投資組合在一天內大幅下跌（例如，超過 20%），閣下會有何反應？</p> <p><input type="checkbox"/> Do not know how to react 不懂得如何應變</p> <p><input type="checkbox"/> Cut loss without any strategic consideration 非策略性地進行止蝕</p> <p><input checked="" type="checkbox"/> Would wait to see if investment improves and may cut loss rationally 觀望該投資是否會有改善，可能會理性地進行止蝕</p> <p><input type="checkbox"/> Understand market fluctuations are unavoidable and will not alter the determined investments strategy 了解市場波動是難免的，會繼續進行已定下的投資策略</p> <p><input type="checkbox"/> Undergo in-depth analysis, reallocate your investment portfolio 進行仔細分析，重整投資組合</p>	<p><input type="checkbox"/> 1</p> <p><input type="checkbox"/> 2</p> <p><input type="checkbox"/> 3</p> <p><input type="checkbox"/> 4</p> <p><input type="checkbox"/> 5</p>
<p>8. What is your level of experience with investment products? Please refer to your investment experience assessment result in Section I. 閣下對投資產品的投資經驗屬以下哪一項？請參考第一部分的投資經驗評估結果。</p> <p><input type="checkbox"/> No experience 無經驗</p> <p><input type="checkbox"/> Basic experience 基礎經驗</p> <p><input checked="" type="checkbox"/> Intermediate experience 中度經驗</p> <p><input type="checkbox"/> Extensive experience 廣泛經驗</p> <p><input type="checkbox"/> Advanced experience 豐富經驗</p>	<p><input type="checkbox"/> 0</p> <p><input type="checkbox"/> 2</p> <p><input type="checkbox"/> 3</p> <p><input type="checkbox"/> 4</p> <p><input type="checkbox"/> 5</p>
<p style="text-align: center;">The total score of your overall risk tolerance level is 閣下的整體風險承受能力的總得分是：</p>	

Note 註：Conservative 保守 (≤8); Moderate 平穩 (9-15); Moderate High 平穩進取 (16-25); Aggressive 進取 (≥26)

Risk Tolerance Level 風險承受能力		Corresponding Investment Objective 相應的投資目標
<input type="checkbox"/>	<p>Conservative 保守 (≤8)</p>	<p>You are a Conservative investor with a primary aim for capital preservation. You are not inclined to invest in products associated with any risk. 閣下是一個保守型投資者，以尋求資本保值為主要目標。閣下不傾向投資於有任何風險的產品。</p>
<input type="checkbox"/>	<p>Moderate 平穩 (9-15)</p>	<p>You are a Moderate investor and want to achieve a return higher than the inflation rate and moderate growth of capital. In general, you prefer to take medium investment risk and accept moderate fluctuation of capital values with the possibility of facing occasional high short-term losses. 閣下是一個平穩型投資者，希望達致高於通脹率的回報及溫和資本增長。一般來說，閣下傾向選擇中度投資風險及接受溫和的資本值波動和能面對偶爾短期高損失之可能性。</p>
<input type="checkbox"/>	<p>Moderate High 平穩進取 (16-25)</p>	<p>You are a Moderate High risk tolerant investor. You aim to earn returns substantially higher than the inflation to pursue high capital appreciation. You can accept high fluctuation of capital values and tolerate the risk of your capital falling substantially below your original investment. 閣下是一個平穩進取型投資者，尋求賺取遠高於通脹的回報以達致高資本增值。閣下能接受資本值大幅波動，亦能承受資本可能跌至遠低於原本投資額的風險。</p>
<input type="checkbox"/>	<p>Aggressive 進取 (≥26)</p>	<p>You are an Aggressive investor and are eager to earn the highest potential returns. Risk minimisation is not your primary concern. You can accept leveraged investment and bear total capital loss if the products offer very high return potential. 閣下是一個進取型投資者，渴望追求最大的潛在回報。把風險減至最低並非閣下的首要考慮。只要產品有非常高的回報潛力，閣下能接受槓桿式投資並可承受資本全數損失。</p>

Section III: Client Confirmation

第三部分：客戶確認

Please choose either one 請選擇其一

I confirm that my Risk Tolerance Level is correctly stated above and the information I provided is accurate and complete.
本人確認本人的風險承受能力已正確地陳述於上，而本人所提供的資料屬正確及完整。

Or 或

The investment objective mentioned in the above Risk Tolerance Level is not consistent with my investment risk requirement and investment objective, and I consider my Risk Tolerance Level should be
上述風險承受能力所提及的投資目標與本人的投資風險要求和投資目標不符，本人認為本人的風險承受能力應為：

Conservative 保守 Moderate 平穩 Moderate High 平穩進取 Aggressive 進取

Please specify the reason 請說明原因：

NOTE : Your Risk Tolerance Level Assessment Result is valid for 12 months from the date of this assessment. If your Risk Tolerance Level Assessment Result is expired, you may not be able to purchase certain products. If you believe your Risk Tolerance Level Assessment Result within the past 12 months is no longer valid, please contact your Investment Consultant and complete a new CPO for reassessment purposes.

註： 你的可承受風險程度取向有效期為十二個月(由此評估日計起)。如果你的可承受風險程度已經過期，你可能不可購買部份產品。如果你認為你過去十二個月內評估的可承受風險程度取向不再有效，請聯繫您的投資顧問並重新完成一份新的風險承擔能力問卷。

I confirm that I have been reminded and am aware that I should have adequate liquid funds to meet foreseen and unforeseen events.

本人確認本人已被提醒及了解到本人應有足夠流動資金去應付可預見及不能預見的事件。

I hereby authorize, and give my consent to, each and every member company of the Everbright Sun Hung Kai Company Limited of companies ("EBSHK") to use the information provided by me in this form for the purposes of (i) opening and maintaining any and all of my account(s) held with or to be held with EBSHK; (ii) comply with any legal or regulatory requirements; and (iii) fulfilling all other aspects set out in the relevant personal data schedule of the Client Agreement and Schedules applicable to the relevant account. 本人授權並同意光大新鴻基內所有成員公司（「光大新鴻基」）使用本人於此問卷內提供的資料，作為(i) 開立或維持任何及所有本人於光大新鴻基持有或將會持有之帳戶；(ii) 符合任何法律或法規之要求；及(iii) 所有適用於相關帳戶之「客戶協議及附件」內的個人資料附件所載之其他用途。

I confirm that my knowledge of derivative products and is correctly stated above and that the information I supplied is accurate and complete.

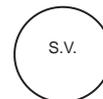
本人確認本人上述的衍生產品知識已正確地陳述，而本人所提供的資料屬正確及完整。

I have read and fully understood the Risks Disclosure Statements involving derivative products in the Client Agreement(s) and Schedules concerned provided by EBSHK in a language of my choice (English or Chinese).

本人已仔細閱讀及完全明白由光大新鴻基提供，並以本人所選擇之語言（英文或中文）附載於相關「客戶協議及附件」所涉及衍生產品的風險披露聲明。

Customer Signature(s) 客戶簽署： (Sign Here)

Customer Name 客戶姓名： CHAN TAI MAN Date 日期： 08 - 01 - 2018



Internal Use Only: Assessment by Investment Consultant (Account Executive)

Signed by: _____	Approved by (Sales Management): _____	Input by (OPD): _____	Input checked by (OPD): _____
Name & SFC CE No.:	Name:	Name:	Name:

For Office Use Only: ** has to be completed if the above answers from client were obtained via recorded office phone

**Called by: _____	**Voice record checked by: _____	Input by (OPD): _____	Input checked by (OPD): _____
**Name & SFC CE No.:	**Name:	Name:	Name:
**Call date & time:		**Channel no.:	

Confirmation Letter

Name of Client/Company: CHAN TAI MAN

Account No.: _____

Re: Knowledge of Trading Derivative Products

This letter is written in furtherance to the answer that I/we provided in Part (C), Section 1 of the Customer Profiling Questionnaire (“CPQ”) concerning my/our knowledge of derivative products, in which I/we indicated that I/we do not have knowledge of derivative products.

I/We confirm and acknowledge that I/we am/are aware that, in the event that any client does not have knowledge of derivative products, Everbright Sun Hung Kai Company Limited and its subsidiaries and affiliates (collectively referred to as “EBSHK”), will prohibit EBSHK’s staff, agents or Investment Consultants from soliciting the client to enter into any transaction involving any derivative product, or from making any recommendation to the client to enter into such transaction. I/We confirm that I/we have received no such solicitation or recommendation and I/we undertake and agree that should such occur, I/we will report it to GeneralResponse@EBSHK.com.

I/We understand that I/we may, at my/our own volition, wish to enter into a transaction involving one or more derivative products, and EBSHK may agree to assist me/us to enter into such transaction if EBSHK has assurance that I/we understand the nature and risks associated with the transaction and I/we have sufficient net worth to be able to assume the risks and to bear the potential losses associated with the transaction. I/We acknowledge and understand that if I/we request EBSHK to assist me/us to enter into any transaction involving one or more derivative products, I/we will have carefully considered my/our investment objectives, financial resources and other factors that are relevant to my/our circumstances. I/We acknowledge and understand that all derivative products carry potential substantial risk, which may result in total or significant loss of my/our investment. I/We understand that, unless I/we am/are a professional investor within the meaning of the Securities and Futures Ordinance, I/we will not be permitted to trade in unlisted derivative products until I/we have demonstrated the requisite level of knowledge and/or experience.

I/We acknowledge and confirm that EBSHK has provided me/us with explanations of the relevant risks associated with trading derivative products, including the Risk Disclosure Statements accompanying this letter as Appendix I, which I/we have read and fully understood, or which I/we forthwith undertake to read in full. I/We confirm that I/we have been given ample opportunity to ask questions and seek independent professional advice concerning the contents of this letter and Appendix I and I/we will further consult EBSHK and/or seek independent professional advice should I/we require clarification of any matter.

(Sign Here)

Client/Director/Authorised Person’s signature

Name of Director/Authorised Person (if applicable)

A123456(7)

Client/Director/Authorised Person’s ID or Passport no.

Company no. (if applicable)

08 - 01 - 2018

Date

Individual/Controlling Person - Self Certification Form (CRS) 個人/控權人士 – 自我證明表格 (共同匯報標準)

Please read these instructions before completing the form.

請在填寫本表格前細閱以下指示。

Regulations based on Organisation for Economic Co-operation and Development (“OECD”) Common Reporting Standard (“CRS”) require EBSHK¹ to collect and report certain required information based on an individual account holder’s or controlling person of an entity account holder’s tax residency status.

根據經濟合作與發展組織（簡稱「經合組織」）的共同匯報標準（簡稱「CRS」）的規定，光大新鴻基¹ 必須根據個人帳戶持有人或實體帳戶的控權人士的稅務居住地蒐集及匯報所需相關資料。

Each jurisdiction has its own rules for defining tax residence. In general, tax residence is the country in which you live. Special circumstances (such as studying abroad, working overseas or extended travel) may cause you to be resident elsewhere or resident in more than one country at the same time (multiple tax residency). For more information on tax residence, please consult your tax adviser or the information at the following link for CRS at <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>.

每個司法管轄區均按其本身的規則釐定稅務居住地的定義。一般而言，稅務居住地定義為您擁有稅務居民身份的國家。若干特別情況（如海外留學、海外工作或延長旅遊逗留期限）可能會導致您為其他地方的稅務居民，或於同一時間成為超過一個國家的稅務居民（多重稅務居住地）。有關稅務居住地的詳情，請諮詢您的稅務顧問，或瀏覽有關 CRS 的網頁 <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>。

If your tax residency status (or that of the account holder/controlling person, if you are completing the form on his/her behalf) is located outside of the country in which this account is maintained, we may be legally obliged to pass on the information in this form and other financial information with respect to the financial accounts to the tax authority in the country where EBSHK¹ is located.

若帳戶持有人的稅務居住地處位的國家與開設本帳戶的國家不同，或您代表帳戶持有人/控權人士填寫本表格，其位處的國家與開設本帳戶的國家不同，我們在法律上可能有責任將本表格內的資料及與財務帳戶有關的其他財務資料，傳送給光大新鴻基¹ 位處國家的稅務機關。

This form will generally remain valid unless there is a change in circumstance relating to your tax residency status. You must notify us within 30 days if there is a change in circumstance that affects the tax residency status of the individual or makes any of the information provided in this form incorrect or incomplete and provide an updated self-certification form.

本表格將一直有效，直至您的稅務居民身份出現變動為止。若情況有所改變，以致影響您的稅務居民身份或引致本表格所載的資料不正確或不完整，您必須在情況發生變動後的 30 日內通知我們，並提交一份已適當更新的自我證明表格。

This form is intended to request information only where such request is not prohibited by applicable local law or regulations.

本表格僅擬作要求帳戶持有人提供資料之用，有關要求不被當地適用的法律或法規禁止。

As a financial institution, we are not allowed to give tax or legal advice. If you have any questions about this form, these instructions, or defining your tax residency status, please speak to your tax adviser or domestic tax authority. If in doubt, please seek independent tax and/or legal advice.

作為一家金融機構，我們不能就此提供稅務或法律意見。如對本表格、此等指引或就您的稅務居民身份有任何疑問，請向您的稅務顧問或當地稅務機關查詢。如有任何疑問，請尋求獨立的稅務及/或法律意見。

Filing Instruction 申報指引

Please use this form 請依照以下指引填妥本表格：

- **If you are an individual/joint account holder, or sole proprietor opening a new account with us, holding an existing account with us or you are notifying us of a change in circumstances. Please complete Section 1, 2 and 4; or**

若您是光大新鴻基¹ 的個人帳戶/ 聯名帳戶持有人，或獨資經營者，在光大新鴻基¹ 開設新帳戶、持有現有帳戶或需要就有關情況發生改變通知我們，請填寫第 1、2 及 4 部分；或

- **If you are a controlling person of a passive non-financial entity / an investment entity located in a non-participating jurisdiction managed by another financial institution under CRS and you are opening a new**

¹ “EBSHK” means all companies with Everbright Sun Hung Kai group. 「光大新鴻基」指光大新鴻基集團旗下的所有公司。

account with us, holding an existing account with us or you are notifying us of a change in circumstances. Please complete all sections.

若您位於非參與稅務管轄區並由另一家根據 CRS 定義下金融機構管理的被動非財務實體/ 投資實體的控權人士，而您現在光大新鴻基¹ 開設新帳戶，持有現有帳戶或需要就有關情況發生改變通知我們，請填妥整份表格。

The below is only applicable to controlling person of an entity account holder:

以下僅適用於實體帳戶持有人的控權人士：

Since you are a controlling person of a passive non-financial entity, or an investment entity located in a non-participating jurisdiction managed by another financial institution (such individuals referred to as “Controlling Person(s)”), please provide your information in the below sections.

由於您是被動非財務實體的控權人士，或在不參與的司法管轄區內並由另一家金融機構管理的投資實體作為控權人士（該等個人稱為「控權人士」），請在以下部份提供您的資料。

Generally, under CRS, a controlling person is a natural person that holds more than 25% of the shares of the entity or otherwise exercises ultimate control of an entity. For further guidance see: <http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/common-reporting-standard-and-related-commentaries/#d.en.345314>.

一般而言，在 CRS 下稱為控權人士是指持有某實體超過 25% 的股份或可對某實體行使最終控制權的自然人。有關詳情請瀏覽：<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/common-reporting-standard-and-related-commentaries/#d.en.345314>。

If you are the entity account holder filling in this form on behalf of your controlling persons:

若您是公司帳戶持有人並代表您的控權人士填寫本表格：

Please tell us in what capacity you are signing in Section 4. For example, you may be the custodian or nominee of an account on behalf of the account holder, or you may be completing the form under a power of attorney.

請註明您以甚麼身份簽署本表格的第 4 部分。舉例說，您可能以帳戶託管人或代名人身份，或根據授權書以授權人士身份填寫本表格。

In the event of any inconsistency between the English and Chinese version, the English version shall prevail.

中文譯本僅供參考，文義如與英文本有歧異，概以英文本為準。

Section 1: Account Holder/Controlling Person Identification (Please refer to Important Note on page 6)

第 1 部份：帳戶持有人/控權人士的身份識別資料 (請參閱第 6 頁的重要提示)

Account Holder/Controlling Person Name 帳戶持有人/控權人士的姓名:

Title (e.g. Mr, Mrs, Ms, Miss) 稱謂 (如先生、太太、女士、小姐) Mr / 先生

Last Name or Surname 姓氏 CHAN

First or Given Name 名字 TAI MAN

Middle Name(s) 中間名 _____

Identity Document Number 身份證明文件號碼: A123456(7)

Identity Document Type 身份證明文件類別:

HKID 香港身份證 CNID 中國身份證 Macau ID 澳門身份證 Passport or Others 護照或其他

Nationality(ies) 國籍: CHINESE

Additional Information of Nationality (as appropriate) 有關國籍的其他資料 (如適用):

Current Residential Address 現時住址:

FLAT 1212, TAI MAN GARDEN

[Room/Flat/Block/Name of Building/Estate (if applicable) 房號/ 室/ 座數/ 大廈/ 屋邨(如適用)]

[Street Number/Street Name 門牌號數/ 街道名稱]

TAIPO, NT

[City, Town 城市、城鎮]

[State, Province or County 州、省或縣]

HK

[Postal/ZIP Code 郵政編號/ 郵遞區號]

[Country 國家]

Mailing Address (if different from above) 通訊地址 (如與現時住址不同, 填寫此欄):

[Room/Flat/Block/Name of Building/Estate (if applicable) 房號/ 室/ 座數/ 大廈/ 屋邨(如適用)]

[Street Number/Street Name 門牌號數/ 街道名稱]

[City, Town 城市、城鎮]

[State, Province or County 州、省或縣]

[Postal/ZIP Code 郵政編號/ 郵遞區號]

[Country 國家]

Additional Information of Address (as appropriate) 有關地址的其他資料 (如適用):

Date of Birth (dd/mm/yyyy) 出生日期 (日/月/年): 13 / 01 / 1980

Place of Birth 出生地點:

HONG KONG

HONG KONG

[Town or City of Birth 出生城鎮或城市]

[Country of Birth 出生國家]

Additional Information of Place of Birth (as appropriate) 有關出生地點的其他資料 (如適用):

Section 2: CRS Declaration of Tax Residency (Please note you must list all jurisdictions of tax residence)
第 2 部份: CRS 稅務居民身份聲明 (請列明所有您作為稅務居民所屬的司法管轄區)

Please indicate **ALL** (not restricted to five) the account holder/controlling person's jurisdiction of tax residence and associated TIN.

請列明**所有** (不限於 5 個) 帳戶持有人/ 控權人士作為稅務居民所屬的司法管轄區及其稅務編號。

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

註：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/controlling person is a resident for tax purposes does not issue TINs to its residents.

理由 A – 帳戶持有人/ 控權人士居留的司法管轄區並沒有向其居民發出稅務編號。

Reason B – The account holder/controlling person is unable to obtain a TIN. Explain why the account holder/controlling person is unable to obtain a TIN if you have selected this reason.

理由 B – 帳戶持有人/ 控權人士不能取得稅務編號。如選取理由 B，請解釋帳戶持有人/ 控權人士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/ 控權人士毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人/ 控權人士披露稅務編號。

Country/Jurisdiction of Tax Residence 稅務居民所屬國家/ 司法管轄區	TIN / If the TIN is not available, please specify the reason. Elaborate if reason B is selected. 稅務編號/ 如不能提供稅務編號，請解釋原因。 如選取理由 B，請解釋不能取得稅務編號的原因。
1. HK	A123456(7)
2.	
3.	
4.	
5.	

Additional Information of the TIN (as appropriate) 有關稅務編號的其他資料 (如適用):

Section 3: Type of Controlling Person
第 3 部份: 控權人士類別

Type of Entity 實體類別	Please confirm what type of Controlling Person applicable under CRS 請按照 CRS 的定義， 選取控權人士的類別	Please Tick all that apply 請在適當方格內加上 ✓ 號	Entity Name 實體名稱	Company Number 公司編號
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 25% 之已發行股本)			

	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 25% 的表決權）			
	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			
Trust 信託	Settlor 委託人			
	Trustee 受託人			
	Protector 保護人			
	Beneficiary or member of the class of beneficiaries 受益人或某類別受益人的成員			
	Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary) 其他（例如委託人、受託人、保護人或受益人為另一實體，並對該實體行使控制權的個人）			
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/ 相類於委託人位置的個人			
	Individual in a position equivalent/similar to trustee 處於相等/ 相類於受託人位置的個人			
	Individual in a position equivalent/similar to protector 處於相等/ 相類於保護人位置的個人			
	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成員位置的個人			
	Other (e.g. individual who exercises control over another entity being equivalent/similar to settlor/trustee/protector/beneficiary) 其他（例如處於相等/ 相類於委託人 / 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）			

Section 4: Declaration and Undertakings

第 4 部份：聲明及承諾

I declare that the information provided in this form is, to the best of my knowledge and belief, true, correct, complete and not misleading.

本人聲明盡本人所知所信，在本表格所提供的資料均屬真實、正確、完整且無誤導成分。

I acknowledge and understand and consent to the use that (a) the information contained in this self-certification is collected and may be kept by EBSHK¹ for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder/controlling person and any reportable account(s) may be reported to the tax authority of the country/jurisdiction in which this account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which the account holder/controlling person may be tax resident pursuant to intergovernmental agreements to exchange financial account information.

本人確認、明白及同意光大新鴻基¹可根據自動交換財務帳戶資料之跨政府協議，(a) 蒐集及備存本表格所載的資料以作自動交換財務帳戶資料的用途，及 (b) 可能將該等資料及關於帳戶持有人及控權人士及任何須申報帳戶的資料向帳戶所在國家/司法管轄區的稅務機關，並與另一個國家/司法管轄區的稅務機關或帳戶持有人/控權人士作為稅務居民的國家/司法管轄區的稅務機關交換該等資料。

I undertake to advise the recipient and provide an updated self-certification form within 30 days of the occurrence of any change in circumstances which affects the tax residency status of the individual identified in Section 1 or causes any of the information contained in this form to be incorrect or incomplete.

本人承諾，如情況有所改變，以致影響本表格第 1 部分所述的稅務居民身份或引致本表格所載的資料不正確、不完整或存在誤導成分，本人會在情況發生改變後 30 日內通知收件人及提交一份已適當更新的自我證明表格。

Important Note 重要提示

I agree that the information and personal data contained in this self-certification form shall be used by EBSHK¹ for the purpose of updating information and personal data provided by me in connection with all my account(s) maintained with EBSHK¹. I also agree to provide such further information and supporting documents as requested by EBSHK¹ from time to time for the update.

本人同意於自我證明表格內的信息及個人資料將會被光大新鴻基¹用作更新有關本人於光大新鴻基¹維持的所有帳戶的信息及個人資料。本人亦明白本人必須按照光大新鴻基¹不時的要求就有關信息及個人資料提供相關證明文件。

Account Holder/Controlling Person/Authorized Person Signature:

帳戶持有人/控權人士/獲授權人士簽署：

(Sign Here)

[Signature 簽署]

CHAN TAI MAN

[Print name 正楷姓名]

08 / 01 / 2018

[Date (dd/mm/yyyy) 日期 (日/月/年)]

Note: If you are not the account holder/controlling person, please indicate the capacity in which you are signing the form. If signing under a power of attorney, please also attach a certified copy of the power of attorney.

註： 若您並非帳戶持有人/控權人士，請註明您簽署本表格的身份。若您是以授權人士身份簽署本表格，請同時附上授權書的核證副本。

Capacity in which declaration is made:

本人謹以下列身份作出聲明：

WARNING 警告:

It is an offence under the laws of Hong Kong 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.

根據香港法例，如任何人士在作出自我證明時，在明知一項陳述在要項上具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。

If you are in doubt, please seek independent legal advice before signing.

如有任何疑問，請在簽署本表格前尋求獨立的法律意見。

¹ "EBSHK" means all companies with Everbright Sun Hung Kai group. 「光大新鴻基」指光大新鴻基集團旗下的所有公司。