

CASH / MARGIN ACCOUNT

現金或保證金戶口

Corporate Account 公司戶口

Client Information Statement

客戶資料表格

6/F Harcourt House, 39 Gloucester Road, Hong Kong

香港告士打道39號夏慤大廈6樓

Tel 電話: (852) 2136 1818

Fax 傳真: (852) 2501 0726

Email address 電郵地址: cs-hk@uobkh.com

DOCUMENT REQUIRED FOR OPENING OF CORPORATE ACCOUNT

公司戶口開戶所需文件

For client /Account Executive to check 供客戶/業務經理檢核

Please provide certified copies of the following documents 請提供以下文件的核證副本:

- Legal Entity Identifier (“LEI”) registration document (if applicable) 法律實體識別登記文件(如適用)
- Certificate of Incorporation 註冊成立證書
- Memorandum and Articles of Association and amending resolutions
組織章程大綱及細則及修訂決議案
- Board resolutions approving the opening of the account substantially in the form attached
批准開立戶口的董事會決議案 (大致上按照隨附的格式)
- Identity Card(s) or Passport(s), address proof (e.g. utility bill or bank statement dated within the last 3 months) of the following parties:
以下人士的身份證或護照、地址證明 (例如: 過去3個月內的水、電、煤賬單或銀行結單) :
 - (a) each individual who (i) owns or controls, directly or indirectly, including through a trust or bearer share holding, not less than 10% of the voting rights at general meetings of the company; (ii) is, directly or indirectly, entitled to exercise or control the exercise of not less than 10% of the voting rights at general meetings of the company; or (iii) exercises ultimate control over the management of the company; (i) 直接或間接擁有或控制 (包括透過信託或以不記名方式持有股份) 公司股東大會不少於 10% 的投票權; (ii) 有權直接或間接行使 (或控制行使) 公司股東大會不少於 10% 的投票權; 或 (iii) 對公司的管理行使最終控制權的每名人士;
 - (b) any person whose on behalf the company is acting; 公司代其行事的任何人士;
 - (c) directors of the company (no need for address proof); and 公司董事(不用提供地址證明); 及
 - (d) trading representatives of company (no need for address proof) 公司的交易代表(不用提供地址證明)。
- Details of the ownership and structure control of the company (e.g. an ownership chart)
公司擁有權及結構控制權詳情 (例如: 擁有權結構圖)
(Original or certified copies by professional 正本或由專業人士核證的副本)
- Form W-8BEN-E (if applicant wishes to trade in the US Market) 買賣美股需遞交W-8BEN-E表格
- Copy of Bank proof (Bank statement which issue within 3 months / Bank Book / Bank card) for registered the bank account number.
登記銀行戶口, 請提供銀行戶口證明副本 (發出3個月內的銀行結單/存摺/銀行咭)

For companies registered in Hong Kong 在香港註冊的公司¹

- Business Registration Certificate 商業登記證
- Latest Annual Return and subsequent form(s) filed with the Hong Kong Companies Registry
由公司註冊處發出最新的周年申報表及相關的文件
- Audited accounts of the company for the last 2 financial years and a balance sheet at a date not more than 2 months before the date of this Form, or such other financial information as UOB Kay Hian (Hong Kong) Limited may agree
公司過去 2 個財政年度的經審核賬目, 以及不早於本表格日期前 2 個月的資產負債表, 或大華繼顯 (香港) 有限公司可能同意的有關其他財務資料

For companies registered outside Hong Kong 在香港以外註冊的公司¹

- Certificate of Incumbency (issued in the last 6 months) (being certified by a company registry or a professional third party)
(過去 6 個月發出的) 職權證明書 (由公司註冊處或一名專業第三方核證)
- Register of Directors 董事登記冊
- Register of Shareholders 股東登記冊
- Office or correspondence address proof of the company (e.g. utility bill or bank statement) dated within the last 3 months (if any) 公司辦公室或通訊地址證明 (例如: 過去 3 個月內的水、電、煤賬單或銀行結單) (如有)
- Where any document provided by the account holder is in a language other than Chinese or English, certified English translation of such document should also be provided. 如戶口持有人提供的任何文件是以中文或英文以外的語言書寫, 則應提供該文件的核證英文譯本。

APPLICABLE TO NON FACE-TO-FACE ACCOUNT OPENING PROCEDURE: 適用於非面對面開戶程序:

Method: Witnessed by Professional (Please refer P.30 for the definition of eligible professional)

方法: 由專業人士見證 (合資格的專業人士詳見 P.30)

- Execution not in the presence of employee of UOB Kay Hian (Hong Kong) Limited
並非在大華繼顯(香港)有限公司的員工見證下簽署

The execution of this Form should be witnessed and documents as required above should be certified by the professional specified in the form. 本表格的簽署應由本表格指明的專業人士見證, 而上文所需的文件應由本表格指明的專業人士核證。

Notes 注意:

1. According to the requirements of the SFC for Hong Kong Investor Identification Regime (“HKIDR”) implementation, we are required to collect Client Identification Data (“CID”) from you, and the waterfall of identity documents acceptable as the CID in order of priority is as follows: (a) For a corporate client: (1) Legal Entity Identifier (“LEI”) registration document; (2) Certificate of incorporation; (3) Business registration certificate; (4) Other equivalent documents (b) For a client that is a trust: The CID of the trustee should be the same as that of a corporate or individual client. 根據證監會實施香港證券市場投資者識別碼的規定, 我司需要向客戶收集客戶識別信息, 而按優先次序可接納為客戶識別信息的身分證明文件的排序表如下: (a) 就公司客戶而言: (1) 法律實體識別編碼 (LEI) 登記文件; (2) 公司註冊證明書; (3) 商業登記證; (4) 其他同等文件 (b) 就屬信託的客戶而言: 受託人的客戶識別信息應與公司或個人客戶的客戶識別信息的規定相同。
2. Any deletion or amendment must be initialed by all account holders. 任何刪除或修改必須由客戶簽署作實。
3. UOB Kay Hian (Hong Kong) Limited reserves the right to decline any account opening request without providing any reason. 大華繼顯 (香港) 有限公司保留在不給予任何理由下, 拒絕任何開戶申請的權利。

UOB KAY HIAN (HONG KONG) LIMITED (CE No.: AAW261)

大華繼顯 (香港) 有限公司 (中央編號 : AAW261)

Account No. 戶口號碼

- ☐ **Cash Account** 現金戶口 **Internet trading service will be granted when cash or margin account opened 開設現金或保證金戶口即享互聯網交易服務**
- ☐ **Margin Account** 保證金戶口

(for official use only 只供內部填寫)

1. Name of Company/Corporation 公司名稱*In English 英文**In Chinese 中文*

Trading Name 經營名稱 (if different from above 如有異於上述)

2. Corporate Information 公司資料

Place of incorporation / Establishment 成立/設立地點 Licence number of Financial institutional and regulatory authority (If any) 金融機構牌照號碼及監管機構(如適用)

Date of Incorporation 成立日期

Legal Entity Identifier ("LEI") number (if applicable) 法律實體識別編碼(如適用)

Registration number in country of incorporation / Establishment 註冊/設立地的註冊編號

Hong Kong Companies Registry registration number 香港公司註冊處註冊號碼

Business registration number (Hong Kong) 香港商業登記編號

Registered Office in country of incorporation / establishment 註冊/設立地的註冊辦事處地址

Suite, Floor, Building, Street, District 室、樓層、大廈、街道、地區

City, Province, State, Country, Post Code/ZIP Code 城市、省、州、國家、郵政編碼/郵遞區號碼

Principal place of Current Business Address (if different from Registered Office) 主要營業處現時營業地址 (如與註冊辦事處不同)

Suite, Floor, Building, Street, District 室、樓層、大廈、街道、地區

City, Province, State, Country, Post Code/ZIP Code 城市、省、州、國家、郵政編碼/郵遞區號碼

Business Phone No. 公司電話

Contact Person Mobile Phone No. 聯絡人手提電話

Facsimile No. 傳真號碼

(+) -

(+) -

(+) -

E-Mail Address 電郵地址

Brief description of nature of business 簡述公司業務性質

Entity Type 實體類別 (please choose one 請選一個)

☐ *Physical Entity 實體公司 ☐ *Non-physical Entity 非實體公司***Physical Entity 實體公司**

完成公司註冊程序及持有營運用資產和實際營運的公司

The entity is properly constituted and formed as a registration or incorporate certificate with business operations and related assets.

***Non-physical Entity 非實體公司**

完成公司註冊程序但不會持有營運用資產及沒有實際營運的公司

The entity is properly constituted and formed as a registration or incorporate certificate with No significant operations and related assets.

Nature of entity 公司性質

- ☐ private limited company 私人有限公司
☐ public listed company 上市公司
☐ society 社團

- ☐ public limited company 公眾有限公司
☐ association 商會
☐ overseas 海外註冊有限公司

Bank Name (Default) 銀行名稱(預設) ☐ HKD 港幣 ☐ USD 美元 ☐ CNY 人民幣 ☐ Other (Please specify) 其它(請填寫):

Bank code 銀行代碼

Account No. 戶口號碼

Swift code 銀行國際代碼

(For foreign bank account only 只適用於海外銀行戶口)

Bank Name (Additional) 銀行名稱(附加) ☐ HKD 港幣 ☐ USD 美元 ☐ CNY 人民幣 ☐ Other (Please specify) 其它(請填寫):

Bank code 銀行代碼

Account No. 戶口號碼

Swift code 銀行國際代碼

(For foreign bank account only 只適用於海外銀行戶口)

The bank account's beneficiary must have the same name as the account opening entity. 銀行受益人必須跟本開戶實體的名稱相同。

Valid registered bank account part (Bank statement which issue within 3 months / Bank Book / Bank card) if required.

請提供有效的登記銀行戶口的證明 (發出3個月內的銀行結單/存摺/銀行咭)。

The bank account number must same no. as the bank proof. 銀行戶口號碼必需與銀行證明相同。

Address for correspondence 通訊地址

- ☐ Registered Office 公司註冊地址
☐ Place of Business 營業處地址
☐ Other (specify) 其他 (請註明)

Suite, Floor, Building, Street, District 室、樓層、大廈、街道、地區

City, Province, State, Country, Post Code/ZIP Code 城市、省、州、國家、郵政編碼/郵遞區號碼

3. Financial Background 財務狀況 (Mandatory-Fields 必須填寫項目)

Authorized Capital (in HK\$) 註冊股本 (港幣計算)

Paid-up Capital (in HK\$) 繳足股本 (港幣計算)

Latest Total Asset (in HK\$) 最新的總資產 (港幣計算)

Latest Net Asset Value (in HK\$) 最新的資產淨值 (港幣計算)

Net Profit (after tax) in preceding 3 years 過往三年(除稅後)溢利

Year 年份 HK\$ 港幣

Year 年份 HK\$ 港幣

Year 年份 HK\$ 港幣

Address of Properties Owned 公司擁有物業地址 (please state major ones 請填寫主要物業)

1. _____
2. _____
3. _____

Source of Fund 資金來源	Initial source of Fund at account opening 開戶時的資金來源	Expected Ongoing source of Fund after account opening 預期開戶後持續的資金來源
Operational income 營運收入	☐	☐
Sale of investment 出售投資	☐	☐
Investment income 投資收入	☐	☐
Rental income 租金收入	☐	☐
Interest income 利息收入	☐	☐
External borrowing 對外借貸	☐	☐
Funds from shareholder(s) 股東資金	☐	☐
Other (please specify) 其他 (請註明) _____	☐	☐

Principal Source of Wealth (e.g. Activity that generates the business' majority accumulated capital and ongoing deposits)
主要財富來源 (如：提供累積資本及存款的活動)

(Choose only one 僅可選一項)

- | | |
|---|--|
| ☐ Operational income 營運收入 | ☐ Sale of investment 出售投資 |
| ☐ Investment income 投資收入 | ☐ Rental income 租金收入 |
| ☐ Interest income 利息收入 | ☐ External borrowing 對外借貸 |
| ☐ Funds from shareholders 股東資金 | ☐ Other (Please specify) 其他 (請註明) _____ |

Expected Initial Investment (in HK\$) 預計初始投資金額 (以港幣計)

- ☐ < \$500,000 ☐ \$500,000 – \$1,000,000 ☐ \$1,000,001 – \$5,000,000
- ☐ > \$5,000,000 (Please specify 請註明) _____

4. Corporate Structure 公司結構

INDIVIDUAL SHAREHOLDERS HAVING AT LEAST 10% SHAREHOLDING/ULTIMATE BENEFICIAL OWNERS
擁有至少10% 股權的個人股東 / 最終實益人

The individuals who directly or indirectly hold 10% or more of the shares (by vote or value) in issue or equity interest of the Company
直接或間接持有本公司10%或以上的已發行股份 (以投票權或價值計算) 或股權的個人

Name 姓名
Residential Address 住址
E-Mail Address 電郵地址
Identity Card / Passport Details 身份證 / 護照資料
Percentage of shareholding 股權百分比
<i>Ultimate beneficial owner</i> 最終實益人 ☐ Yes 是 ☐ No 否
If no, please specify name of ultimate beneficial owner 否，請註明最終實益人的姓名： _____
*U.S. Resident / U.S. Citizen 美國居民/公民 ☐ Yes 是 ☐ No 否

If the individual shareholder is not the ultimate beneficial owner of the shares or the beneficial owner for whom the registered shareholder holds the shares is not the ultimate beneficial owner, the particulars of the ultimate beneficial owner should be provided.
如個人股東並非股份的最終實益人，或已登記的股東為其持有股份的實益擁有人並非最終實益人，則應再提供最終實益人的詳情。

* For U.S. resident/citizen shareholder(s), please complete and provide to us the IRS Form W-9.
如屬美國居民 / 公民的股東，請填寫並向我們提供美國稅務局W-9表格。

CORPORATE SHAREHOLDERS HAVING AT LEAST 10% SHAREHOLDING/ULTIMATE BENEFICIAL OWNERS**擁有至少10%股權的公司股東 / 最終實益人**

The corporations that directly or indirectly hold 10% or more of the shares (by vote or value) in issue or equity interest of the Company
 直接或間接持有本公司10%或以上的已發行股份（以投票權或價值計算）或股權的公司

Name 姓名	
Place of Incorporation 註冊成立地點	
Registered Address 註冊地址	
E-Mail Address 電郵地址	
Percentage of shareholding 股權百分比	
# <i>Ultimate beneficial owner</i> 最終實益人	☐ Yes 是 ☐ No 否
If no, please specify name of ultimate beneficial owner 否，請註明最終實益人的姓名:	
*U.S. Resident / U.S. Citizen 美國居民/公民	☐ Yes 是 ☐ No 否

If the corporate shareholder is not the ultimate beneficial owner of the shares or the beneficial owner for whom the registered shareholder holds the shares is not the ultimate beneficial owner, the particulars of the ultimate beneficial owner should be provided in the table above.
 如公司股東並非股份的最終實益人，或已登記的股東為其持有股份的實益擁有人並非最終實益人，則應在上表提供最終實益人的詳情。

* For U.S. resident/citizen shareholder(s), please complete and provide to us the IRS Form W-9.
 如屬美國居民 / 公民的股東，請填寫並向我們提供美國稅務局W-9表格。

If there are more than one individuals/corporate shareholders of the company, please supply your own supplementary information sheet containing the same details as above for all such individuals. 若個人/公司股東多於一位，請根據上述填寫每一位股東的細節資料於補充紙上。

Individual Directors 個人董事

Name 姓名
Registered Address 地址
E-Mail Address 電郵地址
Identity Card / Passport Details 身份證 / 護照資料
Nationality 國籍

Corporate Directors 公司董事

Name 姓名
Place of Incorporation 註冊成立地點
Registered Address 註冊地址
E-Mail Address 電郵地址

Please provide us with a completed Form W-9 if the Company is a US tax resident. Form W-9 is available at <http://www.uobkh.com.hk> or from our Client Services Department.

如公司是美國稅務居民，請向我們提供填妥的 W-9 表格。W-9 表格可於 <http://www.uobkh.com.hk> 或我們的客戶服務部索取。

Foreign Account Tax Compliance Act (FATCA) Certification

《海外帳戶稅收合規法案》認證

1. Is the Company a “U.S. Person”? (See Point 1 on “U.S. Person” below)

公司是否一名「美國人士」？(請見下述第1點「美國人士」)。

☐ Yes 是 (please complete the following 請填寫以下部分)

☐ No 否

Is the US Person a “Specified US Person”? (See Point 2 on “Specified U.S. Person” below)

該名美國人士是否一名「指定的美國人士」？(請見下述第2點「指定的美國人士」)。

☐ Yes 是 (please complete the following 請填寫以下部分)

☐ No 否

Please complete and return signed Form W-9 for this Company and please provide this Company's U.S. Taxpayer Identification Number (TIN). 請填寫並交回此公司已簽妥的 W-9 表格，並請提供此公司的美國稅務號碼。

U.S. Taxpayer Identification Number (TIN) 美國稅務號碼 _____

2. Is the Company a “Non-U.S. Financial Institution”? (See Point 3 on “Non-U.S. Financial Institution” below)

公司是否一家「非美國金融機構」？(請見下述第3點「非美國金融機構」)

☐ Yes 是 (please complete the following 請填寫以下部分)

☐ No 否

- A.** ☐ The Company is a Hong Kong-based Financial Institution. Please provide the Company's Global Intermediary Identification Number (GIIN). Do not tick this Box if you also tick Box C below for this Company. 公司是一家總部設在香港的金融機構。請提供公司的全球中介機構識別碼 (GIIN)。如閣下亦為此公司剔選下文 C 格，則切勿剔選此格。

全球中介機構識別碼 (GIIN) _____

- B.** ☐ The Company is other Partner Jurisdiction Financial Institution. Please provide the Company's Global Intermediary Identification Number (GIIN). Do not tick this Box if you also tick Box C below for this Company. 公司是其他合作司法管轄區的金融機構。請提供公司的全球中介機構識別碼 (GIIN)。如閣下亦為此公司剔選下文 C 格，則切勿剔選此格。

全球中介機構識別碼 (GIIN) _____

- C.** ☐ The Company is a “Non-participating Foreign Financial Institution”.
公司是一家「非參與外國金融機構」。

- D.** ☐ The Company is a Certified Deemed-compliant Foreign Financial Institution. Please provide the Company's Global Intermediary Identification Number (GIIN). 公司是一家認可視作合規外國金融機構。請提供公司的全球中介機構識別碼 (GIIN)。

全球中介機構識別碼 (GIIN) _____

- E.** ☐ The Company is an Exempt Beneficial Owner.
公司是一名獲豁免實益擁有人。

3. Are any of the Controlling Persons of the Company a U.S. Person. (See Point 5 on “Controlling Person” below).

公司的控權人士當中有否美國人士 (請見下述第5點「控權人士」)。

☐ Yes 是 (please complete the following 請填寫以下部分)

☐ No 否

- A.** ☐ The Controlling U.S. Person is “Specified U.S. Person.” (See Point 2 on “Specified U.S. Person” below)
控權人士是一名「指定的美國人士」。(請見下述第2點「指定的美國人士」)。

- B.** ☐ The Company is a Passive Non-Financial Foreign Entity (Passive NFFE). (See Point 6 on “Passive NFFE” below). Passive NFFE is broadly defined as those legal entities set up to hold assets that produce investment income. 公司是一家被動的非金融外國實體。(請見下述第6點「被動的非金融外國實體」)。被動的非金融外國實體被廣義界定為該等為持有產生投資收入的資產而設立的法律實體。

- C.** ☐ The Company is an Active NFFE. (See Point 7 on “Active NFFE” below)
公司是一家活躍的非金融外國實體。(請見下述第7點「活躍的非金融外國實體」)。

If both A and B are ticked, please provide the following information for the Controlling Persons of this Passive NFFE who are also Specified U.S. Persons. (If there are more than one Controlling Person, please supply your own supplementary information sheet containing the same details as below.)

如均剔選 A 及 B 格，請為亦是指定的美國人士的此被動非金融外國實體的控權人士提供以下資料。(若控權人多於一位，請如下填寫每一位控權人的資料於補充紙上。)

Controlling Person means the natural person who exercise control over the company. If you are a tax resident of the United States, please provide your U.S. Taxpayer Identification Number and return a completed signed Form W-9. A US citizen is considered a tax resident of the United States even if you are a tax resident of another jurisdiction.

控權人士指對公司行使控制權的自然人。如閣下亦是美國稅務居民，請提供閣下的美國稅務號碼，並交回一份簽妥的 W-9 表格。即使閣下為另一司法管轄區的稅務居民，美國公民被視為美國的稅務居民。

Name of Controlling Person 控權人士姓名 _____

Address 地址 _____

U.S. Taxpayer Identification Number 美國稅務號碼 _____

Definitions 定義：

1) “U.S. Person” means: 「美國人士」指：

A domestic partnership or a domestic corporation – i.e., a corporation or partnership created or organized in the United States or under the law of the United States or of any State; 一家國內合夥商號或國內公司 - 即一家在美國或根據美國或任何州的法例設立或組織的公司或合夥商號；

Any estate (other than a foreign estate – i.e., an estate the income of which, from sources without the U.S. which is not effectively connected with the conduct of a trade or business within the United States, is not includible in gross income under subtitle A); and 任何產業 (除外國產業 (即其收入來自美國境外、實際上與在美國進行貿易或業務無關、且不可在副標題 A 下包含在總收入內的產業) 外) ；及

Any trust if: 任何信託，前提是：

a court within the U.S. is able to exercise primary supervision over the administration of the trust, and one or more U.S. persons have the authority to control all substantial decisions of the trust. 美國法院可對該信託的行政管理行使主要監管權；及一名或多名美國人士有權控制該信託的所有重大決定。

2) “Specified U.S. Person” means a “U.S. Person,” other than: 「指定的美國人士」指除以下之外的「美國人士」：

- (i) A corporation the stock of which is regularly traded on one or more established securities markets; 一家其股票定期在一個或多個成熟的證券市場買賣的公司；
- (ii) Any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i); 與第 (i) 條所述法團同屬符合美國國內收入法第1471(e)(2) 條定義之擴大關聯集團成員公司的任何法團；
- (iii) The United States or any wholly owned agency or instrumentality thereof; 美國或由美國完全擁有的機構或政府部門；
- (iv) Any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing; 美國的任何州份、美國的任何領土、上述任何地方的任何政治分部、或由上述一項或多項完全擁有的機構或政府部門；
- (v) Any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code; 根據美國國內收入法第501(a) 條獲豁免稅項的任何組織，或符合美國國內收入法第7701(a)(37)條定義的個人退休計劃；
- (vi) Any bank as defined in section 581 of the U.S. Internal Revenue Code; 符合美國國內收入法第581條定義的任何銀行；
- (vii) Any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code; 符合美國國內收入法第856條定義的任何房地產投資信託；
- (viii) Any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64); 符合美國國內收入法第851條定義的任何受監管投資公司，或根據1940年投資公司法 (15U.S.C. 80a-64) 在美國證券交易委員會註冊的任何實體；
- (ix) Any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code; 符合美國國內收入法第584(a)條定義的任何共同信託基金；
- (x) Any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code; 根據美國國內收入法第664(c)條獲豁免稅項的任何信託，或美國國內收入法第4947(a)(1)條所述的任何信託；
- (xi) A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any State; or 根據美國或任何州份法律註冊的證券、商品或衍生金融工具 (包括名義本金合約、期貨、遠期合約及期權) 交易商；或
- (xii) A broker as defined in section 6045(c) of the U.S. Internal Revenue Code. 符合美國國內收入法第6045(c)條定義的任何經紀商。

3) “Non-U.S. Financial Institution” An entity is “non-U.S.” if it is not a U.S. Person (see point 1 on U.S. Person). A “Financial Institution” means any of the following: a Custodial Institution, a Depository Institution, an Investment Entity, or a Specified Insurance Company. See Article 1(1) of the “Agreement between the Government of the United States of America and the Government of [FATCA Partner] to Improve International Tax Compliance and to Implement FATCA,” (IGA) for further details of the definition of “Financial Institution.” 「非美國金融機構」如其實體並非美國人士，則該實體為「非美國實體」(見第1點「美國人士」)。「金融機構」一般指以下各項：託管機構、存款機構、投資實體或指定保險公司。請參閱「美國政府與[FATCA合作夥伴]政府就改善國際稅務合規及實施FATCA而訂立的協議」(政府間協議) 第1(1)條，以了解「金融機構」的詳細定義。

4) “Participating Foreign Financial Institution” means an FFI that has agreed to comply with the requirements of an FFI agreement, including an FFI described in a Model 2 Intergovernmental Agreement, that has agreed to comply with the requirements of an FFI agreement. The term participating FFI also includes a Qualified Intermediary branch of a U.S. financial institution, unless such branch is a reporting Model 1 FFI. See U.S. Treas. Reg. 1.1471-1(b)(85). 「參與外國金融機構」是指同意遵守外國金融機構協議規定的外國金融機構，包括第2 模式政府間協議所述的已同意遵守外國金融機構協議規定之外國金融機構。參與外國金融機構一詞亦包括美國金融機構的合資格中介人分公司，有關分公司為一家報告第1 模式外國金融機構則除外。請參閱美國財政部規例第1.1471-1(b)(85)條。

5) “Controlling Person” means the natural persons who exercise control over an Entity. In the case of a trust, such term means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions. The term “Controlling Persons” shall be interpreted in a manner consistent with the Financial Action Task Force Recommendations. See Article 1(1) of the IGA for further details of the definition of “Controlling Person”. 「控權人」是指對一家實體行使控制權的自然人。若為信託，控權人是指委託人、受託人、保護人 (若有)、受益人或受益人類別以及對信託行使最終實際控制權的其他自然人，如果是除信託以外的其他法律安排，則該詞彙指擁有相同或類似身份的人士。「控權人」一詞應按照與金融行動特別工作組之建議一致的方式作出解釋。請參閱政府間協議第1(1)條以了解「控權人」的詳細定義。

6) A “Passive NFFE” means any NFFE that is not (i) an Active NFFE, or (ii) a withholding foreign partnership or withholding foreign trust pursuant to relevant U.S. Treasury Regulations. 「被動非外國金融實體」是指並非以下各項的任何非外國金融實體：(i) 主動非外國金融實體，或(ii)根據相關美國財政部規例為應繳預扣稅之外國合夥企業或應繳預扣稅之外國信託。

- 7) An “Active NFFE” means any NFFE that meets any of the following criteria: 「主動非外國金融實體」是指符合以下任何條件的任何非外國金融實體：
- (i) Less than 50 percent of the NFFE’s gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50 percent of the assets held by the NFFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income; 非外國金融實體在上一個曆年或其他適用報告期的總收入中少於50%是被動收入，且非外國金融實體在上一個曆年或其他適用報告期持有的資產中少於50%是產生被動收入或持作產生被動收入的資產；
 - (ii) The stock of the NFFE is regularly traded on an established securities market or the NFFE is a Related Entity of an Entity the stock of which is traded on an established securities market; 非外國金融實體的股票在成熟證券市場上定期買賣，或非外國金融實體是一家其股票在成熟證券市場上買賣之實體的相關實體；
 - (iii) The NFFE is organized in a U.S. Territory and all of the owners of the payee are bona fide residents of that U.S. Territory; 非外國金融實體在美國領土內組織，且該收款人的所有擁有人均是美國領土的真正居民；
 - (iv) The NFFE is a government (other than the U.S. government), a political subdivision of such government (which, for the avoidance of doubt, includes a state, province, county, or municipality), or a public body performing a function of such government or a political subdivision thereof, a government of a U.S. Territory, an international organization, a non-U.S. central bank of issue, or an Entity wholly owned by one or more of the foregoing; 非外國金融實體為政府（美國政府除外）、該等政府的政治分部（為免生疑問，此包括州、省、縣或市政府）、或履行該等政府或其政治分部之職能的公共機構、美國領土之政府、國際組織、非美國發鈔中央銀行或由上述一個或多個機構完全擁有的實體；
 - (v) Substantially all of the activities of the NFFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an NFFE shall not qualify for this status if the NFFE functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes; 非外國金融實體幾乎所有的活動是包括持有（全部或部分）從事除金融機構業務以外的商業或業務的一家或多家附屬公司的已發行股票，或向該等附屬公司提供融資及服務，但如果非外國金融實體履行（或聲稱其履行）投資基金的職能，例如私募股權基金、風險資本基金、槓桿式收購基金，或目的是收購或資助公司，然後出於投資目的持有該等公司之權益作為資本資產的投資工具，則相關非外國金融實體不符合成為主動非外國金融實體的資格；
 - (vi) The NFFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFFE; 非外國金融實體仍未經營業務且沒有先前的經營歷史，但正在對資產作出資本投資，目的是經營除金融機構業務以外的業務，前提是非外國金融實體在其最初組織之日起計24個月後不符合取得此項豁免的資格；
 - (vii) The NFFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution; 非外國金融實體在過去五年內並非金融機構，但正在清算其資產或進行重組，目的是繼續或重新開始經營除金融機構業務以外的業務；
 - (viii) The NFFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution; 非外國金融實體主要與或為並非金融機構的相關實體從事融資及對沖交易，且並不向並非相關實體的任何實體提供融資或對沖服務，前提是任何該等相關實體的所屬集團主要從事金融機構業務以外的業務；
 - (ix) The NFFE is an “excepted NFFE” as described in relevant U.S. Treasury Regulations; or 非外國金融實體是相關美國財政部規例所述的「獲豁免非外國金融實體」；或
 - (x) The NFFE meets all of the following requirements: 非外國金融實體符合所有以下規定：
It is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organization, business league, chamber of commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare; 其僅出於宗教、慈善、科學、藝術、文化、體育或教育目的而在其居住地司法管轄區建立和經營，或其在居住地司法管轄區建立及經營的專業組織、商業聯盟、商會、工會組織、農業或園藝組織、公民聯盟或專門為了促進社會福利而運作的組織；
It is exempt from income tax in its jurisdiction of residence; 在其居住地司法管轄區獲豁免繳納利得稅；
It has no shareholders or members who have a proprietary or beneficial interest in its income or assets; 股東或成員在其收入或資產中概無擁有所有權權益或實益權益；
 - (xi) The applicable laws of the NFFE’s jurisdiction of residence or the NFFE’s formation documents do not permit any income or assets of the NFFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFFE’s charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFFE has purchased; and 非外國金融實體居住地司法管轄區的適用法律或非外國金融實體的成立文件不允許將非外國金融實體的任何收入或資產分配至私人或非慈善實體，或出於私人或非慈善實體的利益而予以運用，但根據非外國金融實體的慈善活動守則作出的分配或運用，或就已提供之服務支付的合理報酬，或支付相當於非外國金融實體已購買財產之公允市值的款項除外；及
 - (xii) The applicable laws of the NFFE’s jurisdiction of residence or the NFFE’s formation documents require that, upon the NFFE’s liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFFE’s jurisdiction of residence or any political subdivision thereof. 非外國金融實體居住地司法管轄區的適用法律或非外國金融實體的成立文件要求，在該非外國金融實體清盤或解散時，其所有資產將分配至政府實體或其他非牟利機構，或歸還至非外國金融實體居住地司法管轄區的政府或其任何政治分部。

Tax Residency Self-Certification – Entity 稅務居民自我證明 – 實體

Important Notes:

- This is a self-certification provided by an account holder to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- An account holder should report all changes in his/her tax residency status to the reporting financial institution.
- All parts of below must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s).
- Information including Legal Name of Entity or Branch, Current Business Address, Entity Type and Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent are required to be reported by UOB Kay Hian (Hong Kong) Limited to the Inland Revenue Department.

重要提示：

- 這是由帳戶持有人¹向申報財務機構提供的自我證明，以作自動交換財務帳戶資料用途。申報財務機構可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- 如帳戶持有人的稅務居民身分有所改變，應盡快將所有變更通知申報財務機構。
- 除不適用或特別註明外，必須填寫以下所有部分。如空位不夠應用，可另紙填寫。
- 實體⁸或分支機構的法定名稱、現時營業地址、實體類別及居留司法管轄區及稅務編號或具有等同功能的識別編號為大華繼顯(香港)有限公司須向稅務局申報的資料。

Entity Type 實體類別

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

在其中一個適當的方格內加上✓號，並提供有關資料。

Financial Institution ⁹ 財務機構 ⁹	☐ Custodial Institution ⁶ , Depository Institution ⁷ or Specified Insurance Company ¹⁸ 託管機構 ⁶ 、存款機構 ⁷ 或指名保險公司 ¹⁸ ☐ Investment Entity ¹⁰ , except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity's assets) and located in a non-participating jurisdiction ^{11,12,13} 投資實體 ¹⁰ ，但不包括由另一財務機構管理（例如：擁有酌情權管理投資實體的資產）並位於非參與稅務管轄區的投資實體 ^{11,12,13}
Passive NFE ¹⁵ (Passive non-financial entity) 被動非財務實體 ¹⁵	☐ Investment entity that is managed by another financial institution and located in a non-participating jurisdiction ^{11,12,13} 位於非參與稅務管轄區並由另一財務機構管理的投資實體 ^{11,12,13} ☐ NFE that is not an active NFE ³ (For Passive NFE, complete Self-Certification – Controlling Person for each controlling person.) 不屬主動非財務實體的非財務實體 ³ (如屬被動非財務實體，每名控權人須分別填寫一份 自我證明 – 控權人 。)
Active NFE ³ (Active non-financial entity) 主動非財務實體 ³	☐ NFE the stock of which is regularly traded on _____, which is an established securities market 該非財務實體的股票經常在_____ (一個具規模證券市場) 進行買賣 ☐ Related entity ¹⁶ of _____, the stock of which is regularly traded on _____, which is an established securities market _____的有關連實體，該有關連實體 ¹⁶ 的股票經常在_____ (一個具規模證券市場) 進行買賣 ☐ NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities 政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體 ☐ Active NFE ³ other than the above (Please specify _____) (See “ Meaning of terms and expressions used in Self-Certification ” on “Active NFE”) 除上述以外的主動非財務實體 ³ (請說明 _____) (請見「自我證明內採用的名詞及措辭釋義」的「主動非財務實體」)

Controlling Persons⁵ (Complete this part if the entity account holder is a passive NFE)

控權人⁵ (如實體帳戶持有人是被動非財務實體，填寫此部)

Indicate the name of all controlling person(s) of the account holder in the table below. If no natural person exercises control⁴ over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official.

Complete Self-Certification – Controlling Person for each controlling person.

就帳戶持有人，填寫所有控權人的姓名在列表內。就法人實體，如行使控制權的並非自然人，控權人會是該法人實體的高級管理人員。

每名控權人須分別填寫一份自我證明 – 控權人。

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

Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent¹⁹ (“TIN”) *

居留司法管轄區及稅務編號或具有等同功能的識別編號¹⁹ (以下簡稱「稅務編號」)*

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a **resident for tax purposes**¹⁷ and (b) the account holder’s TIN for each jurisdiction indicated. Indicate **all** (not restricted to five) jurisdictions of residence.

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number.

If the account holder is not a tax resident in any jurisdiction (e.g. fiscally transparent), indicate the jurisdiction in which its place of effective management is situated.

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

Reason A – The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

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

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.

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

如帳戶持有人是香港稅務居民，稅務編號是其香港商業登記號碼。

如果帳戶持有人並非任何稅務管轄區的稅務居民 (例如：它是財政透明實體)，填寫實際管理機構所在的稅務管轄區。如沒有提供稅務編號，必須填寫合適的理由：

理由 A – 帳戶持有人的居留司法稅務管轄區並沒有向其居民發出稅務編號。

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

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

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號， 填寫理由 A、B 或 C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選取理由 B，解釋帳戶持有人不 能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			
(5)			

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

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

Tax Residency Self-Certification – Controlling Person 稅務居民自我證明 – 控權人

Important Notes:

- This is a self-certification provided by controlling person to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- Controlling person should report all changes in his/her tax residency status to the reporting financial institution.
- All parts of below must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s).
- Information including Name of Controlling Person, Current Residence Address, Date of Birth, Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent and Type of Controlling Person are required to be reported by UOB Kay Hian (Hong Kong) Limited to the Inland Revenue Department.

重要提示：

- 這是由控權人向申報財務機構提供的自我證明，以作自動交換財務帳戶資料用途。申報財務機構可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- 如控權人的稅務居民身分有所改變，應盡快將所有變更通知申報財務機構。
- 除不適用或特別註明外，必須填寫以下所有部分。如空位不夠應用，可另紙填寫。
- 控權人的姓名、現時住址、出生日期及居留司法管轄區及稅務編號或具有等同功能的識別編號及控權人類別為大華繼顯(香港)有限公司須向稅務局申報的資料。

Identification of Controlling Person

控權人的身分識別資料

Name of Controlling Person 控權人的姓名			
In English 英文姓名		In Chinese 中文姓名	
Surname 姓	First name 名	Surname 姓	First name 名

HKID No. or Passport No. 香港身份證號碼或護照號碼	Date of Birth (DD/MM/YYYY) 出生日期 (日/月/年)	Place of Birth (Not compulsory) 出生地點 (可不填寫)
--	--	--

Current Residence Address 現時住址

Suite, Floor, Building, Street, District 室、樓層、大廈、街道、地區

City, Province, State, Country, Post Code/ZIP Code 城市、省、州、國家、郵政編碼/郵遞區號碼

Mailing Address (Complete if different to the current residence address) 通訊地址 (如通訊地址與現時住址不同，填寫此欄)

Suite, Floor, Building, Street, District 室、樓層、大廈、街道、地區

City, Province, State, Country, Post Code/ZIP Code 城市、省、州、國家、郵政編碼/郵遞區號碼

The Entity Account Holder(s) of which you are a controlling person

你作為控權人的實體帳戶持有人

Enter the name of the entity account holder of which you are a controlling person.

填寫你作為控權人的實體帳戶持有人的名稱

Entity 實體	Name of the Entity Account Holder 實體帳戶持有人的名稱
(1)	
(2)	
(3)	

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

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

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

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

Reason A – The jurisdiction where the controlling person is a resident for tax purposes does not issue TINs to its residents.

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

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.

提供以下資料，列明 (a) 控權人的居留司法管轄區，亦即控權人的稅務管轄區 (香港包括在內) 及 (b) 該居留司法管轄區發給控權人的稅務編號。列出所有 (不限於 5 個) 居留司法管轄區。

如控權人是香港稅務居民，稅務編號是其香港身份證號碼。

如沒有提供稅務編號，必須填寫合適的理由：

理由 A – 控權人的居留司法稅務管轄區並沒有向其居民發出稅務編號。

理由 B – 控權人不能取得稅務編號。如選取這一理由，解釋控權人不能取得稅務編號的原因。

理由 C – 控權人毋須提供稅務編號。居留司法管轄區的主管機關不需要控權人披露稅務編號。

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號， 填寫理由 A、B 或 C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選取理由 B，解釋帳戶持有人不 能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			
(5)			

Type of Controlling Person*

控權人類別*

Tick the appropriate box to indicate the type of controlling person for each entity.

就每個實體，在適當方格內加上✓號，指出控權人就每個實體所屬的控權人類別。

Type of Entity 實體類別	Type of Controlling Person 控權人類別	Entity (1) 實體 (1)	Entity (2) 實體 (2)	Entity (3) 實體 (3)
Legal Person 法人	Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital) 擁有控制股權的個人 (即擁有不少於百分之二十五的已發行股本)	☐	☐	☐
	Individual who exercises control/is entitled to exercise control through other means (i.e. not less than 25% of voting rights) 以其他途徑行使控制權或有權行使控制權的個人 (即擁有不少於百分之二十五的表決權)	☐	☐	☐
	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 財產授予人	☐	☐	☐
	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：如財產授予人/受託人/保護人/受益人為另一實體， 對該實體行使控制權的個人)	☐	☐	☐

Type of Entity 實體類別	Type of Controlling Person 控權人類別	Entity (1) 實體 (1)	Entity (2) 實體 (2)	Entity (3) 實體 (3)
Legal Arrangement other than Trust 除信託以外的 法律安排	Individual in a position equivalent/similar to settlor 處於相等/相類於財產授予人位置的個人	☐	☐	☐
	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的成員位置的個人	☐	☐	☐
	Other (e.g. individual who exercises control over another entity being equivalent/similar to settlor/trustee/protector/beneficiary) 其他 (例如: 如處於相等/相類於財產授予人/受託人/保護人/ 受益人位置的人為另一實體, 對該實體行使控制權的個人)	☐	☐	☐

Declarations and Signature 聲明及簽署

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

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

I certify that I am the controlling person / I am authorized to sign for the controlling person[#] of all the account(s) held by the entity account holder(s) to which this form relates.

本人證明, 就與本表格所有相關的實體帳戶持有人所持有的帳戶, 本人是控權人/本人獲控權人授權簽署本表格[#]。

I undertake to advise UOB Kay Hian (Hong Kong) Limited of any change of Name of Controlling Person, Hong Kong Identity Card or Passport Number, Current Residence Address, Mailing Address, Date of Birth and Place of Birth in circumstances which affects the tax residency status of the individual identified or causes the information contained herein to become incorrect, and to provide UOB Kay Hian (Hong Kong) Limited with a suitably updated self-certification form within 30 days of such change in circumstances.

本人承諾, 如控權人的姓名、香港身份證或護照號碼、現時住址、通訊地址、出生日期及出生地點情況有所改變, 以致影響個人的稅務居民身分, 或引致本表格資料不正確, 本人會通知大華繼顯 (香港) 有限公司, 並會在情況發生改變後30日內, 向大華繼顯 (香港) 提交一份已適當更新的自我證明表格。

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

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

Signature of controlling person 控權人簽署

Name 姓名

Capacity 身分

Date (dd/mm/yyyy) 日期 (日/月/年)

[#]Delete as appropriate 刪去不適用者

(Indicate the capacity if you are not the controlling person. If signing under a power of attorney, attach a certified copy of the power of attorney.)
(如你不是控權人, 說明你的身分。如果你是以授權人身分簽署這份表格, 須夾附該授權書的核證副本。)

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

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

¹ “Account Holder”

「帳戶持有人」

The “Account Holder” is the person listed or identified as the holder of a financial account by the Financial Institution that maintains the account. This is regardless of whether such person is a flow-through Entity. Thus, for example, if a trust or an estate is listed as the holder or owner of a financial account, the trust or estate is the Account Holder, rather than the trustee or the trust’s owners or beneficiaries. Similarly, if a partnership is listed as the holder or owner of a financial account, the partnership is the Account Holder, rather than the partners in the partnership.

「帳戶持有人」指被維持該財務帳戶的財務機構列明為或識辨為帳戶的持有人的人士，不論該人士是否為過渡實體。所以，如果一個信託或遺產被列明為某財務帳戶的持有人或擁有人，則帳戶持有人是該信託或遺產，而非受託人、信託的擁有人或受益人。同樣地，如果一個合夥被列明為某財務帳戶的持有人或擁有人，則帳戶持有人是該合夥，而非合夥的合夥人。

A person, other than a Financial Institution, holding a financial account for the benefit or account of another person as agent, custodian, nominee, signatory, investment advisor, intermediary, or legal guardian, is not treated as the Account Holder. In these circumstances that other person is the Account Holder. For example in the case of a parent/child relationship where the parent is acting as a legal guardian, the child is regarded as the Account Holder.

除財務機構外，若有關人士以代理人、託管人、代名人、簽署人、投資顧問、中介人或合法監護人身份代其他人士持有財務帳戶，他不會被視為帳戶持有人。在這種情況下，帳戶持有人應為該其他人士。以一個家長與子女開立的帳戶為例，如帳戶以家長為子女的合法監護人名義開立，子女會被視為帳戶持有人。

² “NFE”

「非財務實體」

An “NFE” is any Entity that is not a Financial Institution.

「非財務實體」指並非財務機構的實體。

³ “Active NFE”

「主動非財務實體」

An NFE is an Active NFE if it meets any of the criteria listed below. In summary, those criteria refer to:

「主動非財務實體」指符合任何以下準則的非財務實體，總括而言，有關準則指：

- (a) active NFEs by reason of income and assets;
符合相關收入及資產規定的主動非財務實體；
- (b) publicly traded NFEs;
其股票被公開進行買賣的非財務實體；
- (c) Governmental Entities, International Organisations, Central Banks, or their wholly owned Entities;
政府實體、國際組織、中央銀行或其全權擁有的實體；
- (d) holding NFEs that are members of a nonfinancial group;
屬並非財務集團成員的控權非財務實體；
- (e) start-up NFEs;
新成立的非財務實體；
- (f) NFEs that are liquidating or emerging from bankruptcy;
正進行清盤或出現破產的非財務實體；
- (g) treasury centres that are members of a nonfinancial group; or
屬並非財務集團成員的財資中心；或
- (h) non-profit NFEs.
非牟利的非財務實體。

An entity will be classified as Active NFE if it meets any of the following criteria:

如符合任何以下準則，實體會被分類為主動非財務實體：

- (a) less than 50% of the NFE’s gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50% of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;
在該年的對上一個公曆年或其他適當申報期，該非財務實體的總收入中少於 50% 屬被動收入；及在該公曆年或其他適當申報期內，該非財務實體持有的資產中，少於 50% 屬產生被動收入的資產，或屬為產生被動收入而持有的資產；
- (b) the stock of the NFE is regularly traded on an established securities market or the NFE is a Related Entity of an Entity the stock of which is regularly traded on an established securities market;
該非財務實體的股票或該非財務實體的有關連實體股票，在某具規模證券市場中，被經常進行買賣；
- (c) the NFE is a governmental Entity, an international organisation, a central bank, or an Entity wholly owned by one or more of the foregoing;
該非財務實體屬政府實體、國際組織、中央銀行或由一個或多於一個前述的實體全權擁有的實體；
- (d) substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an Entity does not qualify for this status if the Entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;
該非財務實體的活動中，相當大部分是以下活動：持有一間或多於一間從事財務機構業務以外的交易或業務的附屬公司的全部或部分已發行股份，或向該等附屬公司提供資金及服務。但不包括以下情況：該實體以投資基金形式運作，或顯示本身是投資基金，例如私人股權基金、創業資本基金、槓桿式收購基金，或以下述活動為目標的投資工具：購買或資助任何公司，然後為投資目的，持有該等公司的權益作為資本資產；
- (e) the NFE is not yet operating a business and has no prior operating history, (a “start-up NFE”) but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE does not qualify for this exception after the date that is 24 months after the date of the initial organisation of the NFE;
該非財務實體(「新成立的非財務實體」)尚未經營業務，亦沒有在過往經營業務，及正出於經營財務機構業務以外的業務的意圖，而將資金投資於資產。但不包括組成已超過24個月的非財務實體；
- (f) the NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganising with the intent to continue or recommence operations in a business other than that of a Financial Institution;
該非財務實體在過往5年內並非財務機構，並且正對其資產進行清盤；或出於繼續或重新展開經營財務機構業務以外的業務的意圖，而進行重組；

- (g) the NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution; or
該非財務實體主要從事與該實體的屬並非財務機構的有關連實體進行融資及對沖交易，或為該等有關連實體進行融資及對沖交易；但並沒有向並非其有關連實體的任何實體，提供融資或對沖服務。而其有關連實體所屬的集團，主要從事財務機構業務以外的業務；或
- (h) the NFE meets all of the following requirements (a “non-profit NFE”) :
該非財務實體符合以下所有要求(「非牟利的非財務實體」):
- (i) it is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organisation, business league, chamber of commerce, labour organisation, agricultural or horticultural organisation, civic league or an organisation operated exclusively for the promotion of social welfare;
該非財務實體在其居留司法管轄區成立和營運是純粹為了宗教、慈善、科學、藝術、文化、體育或教育的目的；或該非財務實體在其居留司法管轄區成立和營運，並且是專業組織、商業協會、總商會、勞工組織、農業或園藝組織、文化協會，或純粹為了促進社會福利而營運的組織；
 - (ii) it is exempt from income tax in its jurisdiction of residence;
該非財務實體在其居留司法管轄區獲豁免，而無須繳付入息稅；
 - (iii) it has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
該非財務實體並沒有任何符合以下說明的股東或成員：對該實體的收入或資產，擁有所有權權益或實益權益；
 - (iv) the applicable laws of the NFE’s jurisdiction of residence or the NFE’s formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE’s charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and
該非財務實體的居留司法管轄區的適用法律，或該實體的成立文件，並不允許該實體的任何收入或資產，分配予私人或非慈善實體，或為私人或非慈善實體的利益而運用該收入或資產，除非該項分配或運用是依據該實體所進行的慈善活動而作出的；或作為支付已提供的服務的合理補償的；或作為該實體以公平市價購買任何物業的付款的；及
 - (v) the applicable laws of the NFE’s jurisdiction of residence or the NFE’s formation documents require that, upon the NFE’s liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organisation, or escheat to the government of the NFE’s jurisdiction of residence or any political subdivision.
該非財務實體的居留司法管轄區的適用法律(或該非財務實體的成立文件)規定，該非財務實體一旦清盤或解散，其所有資產均須分配予某政府實體或其他非牟利組織，或須交還予該居留司法管轄區的政府，或該政府的政治分部。

4 “Control” 「控權」

“Control” over an Entity is generally exercised by the natural person(s) who ultimately has a controlling ownership interest (typically on the basis of a certain percentage (e.g. 25%)) in the Entity. Where no natural person(s) exercises control through ownership interests, the Controlling Person(s) of the Entity will be the natural person(s) who exercises control of the Entity through other means. Where no natural person(s) is/are identified as exercising control of the Entity through ownership interests, the Controlling Person of the Entity is deemed to be the natural person who holds the position of senior managing official or exercises ultimate control over the management of the Entity.

自然人對某實體的「控權」，通常透過其在實體的控制擁有權權益(典型地會按某個百分比(例如 25%)為基準)行使。如沒有自然人透過擁有權權益行使控制，該實體的控權人將會是透過其他方式對該實體行使控制的自然人；如沒有自然人識辨為透過擁有權權益對某實體行使控制，該實體的控權人將會設定為處於高級行政人員位置或對該實體的管理行使最終控制權的自然人。

5 “Controlling Person(s)” 「控權人」

“Controlling Persons” are the natural person(s) who exercise control over an Entity. In the case of a trust, the Controlling Person(s) are the settlor(s), the trustee(s), the protector(s) (if any), the beneficiary(ies) or class(es) of beneficiaries, or any other natural person(s) exercising ultimate effective control over the trust (including through a chain of control or ownership). The settlor(s), the trustee(s), the protector(s) (if any), and the beneficiary(ies) or class(es) of beneficiaries, must always be treated as Controlling Persons of a trust, regardless of whether or not any of them exercises control over the activities of the trust.

「控權人」指對該實體行使控制權的自然人。就信託而言，「控權人」指屬該信託的財產授予人、受託人、保護人(如有的話)、受益人或某類別受益人的成員的個人；或任何自然人對該信託的管理行使最終控制權(包括透過一連串的控制或擁有權)。財產授予人、受託人、保護人(如有的話)、受益人或某類別受益人的成員的個人會被視為信託的「控權人」，不論該等人士是否對該信託的活動行使控制權。

Where the settlor, trustee, protector or beneficiary of a trust are themselves Entities then the Controlling Persons of the settlor, trustee, protector or beneficiary must be treated as Controlling Persons of the trust.

如財產授予人、受託人、保護人或受益人為實體，財產授予人、受託人、保護人或受益人的「控權人」會被視為信託的「控權人」。

In the case of a legal arrangement other than a trust, “Controlling Person(s) means persons in equivalent or similar positions to those of a trust.

就並非信託的法律安排，「控權人」指相等於或處於一個相類於信託的人士。

6 “Custodial Institution” 「託管機構」

The term “Custodial Institution” means any Entity that holds, as a substantial portion of its business, financial assets for the account of others. This is where the Entity’s gross income attributable to the holding of financial assets and related financial services equals or exceeds 20% of the Entity’s gross income during the shorter of: (i) the three-year period that ends on 31 December (or the final day of a non-calendar year accounting period) prior to the year in which the determination is being made; or (ii) the period during which the Entity has been in existence.

「託管機構」一詞指符合以下說明的實體：該實體為他人的帳戶持有財務資產，而如此持有該等財務資產，在其業務中佔相當大部分。在這情況下，該實體可歸因於持有財務資產及相關的財務服務的總收入，相等於或超過該實體在以下期間(兩者中以較短者為準)的總收入的 20%：(i) 在斷定某實體是否託管機構的年份之前的、截至 12 月 31 日(或非公曆年會計期的最後一日)為止的 3 年期間；(ii) 該實體存在的期間。

7 “Depository Institution” 「存款機構」

The term “Depository Institution” means an authorized institution as defined by section 2(1) of the Banking Ordinance (Cap. 155) or any Entity that accepts deposits in the ordinary course of a banking or similar business.

16 「存款機構」一詞指《銀行業條例》(第155章)第 2(1) 條所界定的認可機構；或在銀行業務或相類業務的通常運作中接受存款的實體。

8 “Entity”

「實體」

The term “Entity” means a legal person or a legal arrangement, such as a corporation, organisation, partnership, trust or foundation. This term covers any person other than an individual (i.e. a natural person).

「實體」一詞指法人或法律安排，例如：法團、組織、合夥、信託或基金會。該詞涵蓋並非個人(即自然人)的人士。

9 “Financial Institution”

「財務機構」

The term “Financial Institution” means a “Custodial Institution”, a “Depository Institution”, an “Investment Entity”, or a “Specified Insurance Company”.

「財務機構」一詞指「託管機構」、「存款機構」、「投資實體」或「指明保險公司」。

10 “Investment Entity”

「投資實體」

The term “Investment Entity” means:

「投資實體」一詞指：

- (a) a corporation licensed under the Securities and Futures Ordinance (Cap. 571) to carry out one or more of the following regulated activities –
根據《證券及期貨條例》(第571章)獲發牌進行一項或多於一項以下受規管活動的法團：
 - (i) dealing in securities;
證券交易；
 - (ii) trading in futures contracts;
期貨合約買賣；
 - (iii) leveraged foreign exchange trading;
槓桿式外匯交易；
 - (iv) asset management;
資產管理；
- (b) an institution registered under the Securities and Futures Ordinance (Cap. 571) to carry out one or more of the following regulated activities –
根據《證券及期貨條例》(第571章)獲註冊進行一項或多於一項以下受規管活動的機構：
 - (i) dealing in securities;
證券交易；
 - (ii) trading in futures contracts;
期貨合約買賣；
 - (iii) asset management;
資產管理；
- (c) a collective investment scheme authorized under the Securities and Futures Ordinance (Cap. 571);
根據《證券及期貨條例》(第571章)獲認可的集體投資計劃；
- (d) an Entity that primarily conducts as a business one or more of the following activities or operations for or on behalf of a customer:
符合以下說明的實體：主要為或代表其客戶從事一項或多於一項以下活動，或主要為或代表其客戶運作一項或多於一項以下項目，作為業務：
 - (i) trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading;
買賣貨幣市場工具(如支票、匯票、存款證及衍生工具等)、外匯、兌換、息率及指數工具、可轉讓證券及商品期貨；
 - (ii) individual and collective portfolio management; or
個人及集體投資組合管理；
 - (iii) otherwise investing, administering, or managing Financial Assets or money on behalf of other entity or individual. Such activities or operations do not include rendering non-binding investment advice to a customer.
以其他方式，代其他實體或個人投資、處理或管理財務資產或金錢。該等活動或運作並不包括向客戶提供非約束性投資諮詢。
- (e) the second type of “Investment Entity” (“Investment Entity managed by another Financial Institution”) is any Entity the gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets where the Entity is managed by another Entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company, or an Investment Entity described in (a), (b), (c) or (d) above.
另一類投資實體(由另一財務機構管理的投資實體)是指其總收入主要可歸因於財務資產的投資、再投資或買賣並由另一存款機構、託管機構、指明保險公司或屬上述(a)、(b)、(c)及(d)項所述的投資實體管理的實體。

11 “Investment Entity managed by another Financial Institution and located in a Non-Participating Jurisdiction”

「位於非參與稅務管轄區並由另一財務機構管理的投資實體」

The term “Investment Entity that is managed by another Financial Institution and located in a Non-Participating Jurisdiction” means any Entity the gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets if the Entity is (i) managed by a Financial Institution and (ii) not a Participating Jurisdiction Financial Institution.

「位於非參與稅務管轄區並由另一財務機構管理的投資實體」一詞指其總收入主要可歸因於財務資產的投資、再投資或買賣的實體且該實體是 (i) 由一個財務機構管理；及 (ii) 非參與稅務管轄區財務機構。

12 “Investment Entity managed by another Financial Institution”

「由另一財務機構管理的投資實體」

An Entity is “managed by” another Entity if the managing Entity performs, either directly or through another service provider on behalf of the managed Entity, any of the activities or operations described in paragraph (d) above in the definition of “Investment Entity”.

如果一個實體直接或通過另一服務提供者代表另一實體進行任何上述投資實體的定義(d)項所述的活動或運作，則該另一實體會被視為由該管理實體所管理。

An Entity only manages another Entity if it has discretionary authority to manage the other Entity’s assets (either in whole or part). Where an Entity is managed by a mix of Financial Institutions, NFEs or individuals, the Entity is considered to be managed by another Entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company, or an Investment Entity described in (a), (b), (c) or (d) above, if any of the managing Entities is such another Entity.

一個實體只有在有權自行管理另一實體的部分或全部資產的情況下，才會被視為可管理該另一實體。當一個實體由財務機構、非財務實體或個人的組合管理時，如果某一管理實體為存款機構、託管機構、指明保險公司或屬上述(a)、(b)、(c)及(d)項所述的投資實體的實體，則該實體會被視為由另一實體管理。

13 “Participating Jurisdiction”

「參與稅務管轄區」

A “Participating Jurisdiction” means a jurisdiction outside Hong Kong that is specified in Part 2 of Schedule 17E of the Inland Revenue Ordinance (Cap. 112).

「參與稅務管轄區」指稅務條例(第112章)附表17E第2部所指明的、在香港以外的稅務管轄區。

14 “Participating Jurisdiction Financial Institution”

「參與稅務管轄區財務機構」

The term “Participating Jurisdiction Financial Institution” means (i) any Financial Institution that is tax resident in a Participating Jurisdiction, but excludes any branch of that Financial Institution that is located outside of that jurisdiction, and (ii) any branch of a Financial Institution that is not tax resident in a Participating Jurisdiction, if that branch is located in such Participating Jurisdiction.

「參與稅務管轄區財務機構」一詞指：(i) 任何居於某參與稅務管轄區的財務機構，但不包括有關財務機構位於該管轄區境外的分支機構；及(ii)某財務機構位於某參與稅務管轄區的任何分支機構，而該財務機構並非居於該管轄區。

15 “Passive NFE”

「被動非財務實體」

A “Passive NFE” means any: (i) NFE that is not an Active NFE; and (ii) Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution.

「被動非財務實體」指任何：(i) 不屬主動非財務實體的非財務實體；及(ii) 位於非參與稅務管轄區並由另一財務機構管理的投資實體。

16 “Related Entity”

「有關連實體」

An Entity is a “Related Entity” of another Entity if either Entity controls the other Entity, or the two Entities are under common control. For this purpose control includes direct or indirect ownership of more than 50% of the vote and value in an Entity.

若某實體控制另一實體，或兩個實體共同受同一人控制，則該實體是另一實體的「有關連實體」。就此而言，控制可透過直接或間接持有某實體超過50%的表決權或股份的價值。

17 “Resident for tax purposes”

「稅務居民」

Generally, an Entity will be resident for tax purposes in a jurisdiction if, under the laws of that jurisdiction(including tax conventions), it pays or should be paying tax therein by reason of his domicile, residence, place of management or incorporation, or any other criterion of a similar nature, and not only from sources in that jurisdiction. An Entity such as a partnership, limited liability partnership or similar legal arrangement that has no residence for tax purposes shall be treated as resident in the jurisdiction in which its place of effective management is situated. A trust is treated as resident where one or more of its trustees is resident. For additional information on tax residence, please talk to your tax adviser or refer to the OECD Automatic Exchange Portal at the following link:

<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>.

一般而言，如根據某個稅務管轄區的規定(包括稅收協定)，任何實體不僅就以有關稅務管轄區為來源的收入，亦因其居籍、居所、管理工作地點、成立為法團地點，或任何性質類似的其他準則，在有關稅務管轄區需要繳稅或有繳稅責任，便會成為該稅務管轄區的稅務居民。沒有稅務居民身份的實體，例如：合夥、有限法律責任合夥或類似的法律安排，應被視為其實際管理地點所在稅務管轄區的稅務居民。一個信託應被視為一個或多於一個受託人居住的稅務管轄區的居民。有關稅務居民身分的更多資訊，請聯絡閣下的稅務顧問或瀏覽經濟合作與發展組織的自動交換資料網站：

<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>。

18 “Specified Insurance Company”

「指明保險公司」

The term “Specified Insurance Company” means any Entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract.

「指明保險公司」一詞指任何屬保險公司的實體，或屬某保險公司的控股公司的實體，而該實體發出現金價值保險合約或年金合約，或有責任就現金價值保險合約或年金合約付款。

19 “TIN” (including “functional equivalent”)

「稅務編號」(包括具有等同功能的識別編號)

The term “TIN” means Taxpayer Identification Number or a functional equivalent in the absence of a TIN. A TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual or an Entity and used to identify the individual or Entity for the purposes of administering the tax laws of such jurisdiction. Further details of acceptable TINs can be found at the OECD Automatic Exchange Portal at the following link:

<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>.

「稅務編號」一詞指納稅人的識別編號或具有等同功能的識別編號(如無納稅人的識別編號)。稅務編號是稅務管轄區向個人或實體分配獨有的字母與數字組合，用於識別個人或實體的身分，以便實施該稅務管轄區的稅務法律。有關可接受的稅務編號的更多詳細資訊刊載於經濟合作與發展組織的自動交換資料網站：

<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>。

Some jurisdictions do not issue a TIN. However, these jurisdictions often utilise some other high integrity number with an equivalent level of identification (a “functional equivalent”). Examples of that type of number include –

某些稅務管轄區不發出稅務編號。但是，這些稅務管轄區通常使用具有等同識別功能的其他完整號碼(「具有等同功能的識別號碼」)。此類號碼的例子包括：

- (a) (for individuals) a social security/insurance number, citizen/personal identification/service code/number, and resident registration number.
就個人而言，社會安全號碼/保險號碼、公民/個人身份/服務代碼/號碼，以及居民登記號碼。
- (b) (for Entities) a Business/company registration code/number.
就實體而言，商業/公司登記代碼/號碼。

5. Credit Reference 信貸諮詢

Bank reference(s) (including type of account and account number) 銀行諮詢 (包括戶口類別及號碼)

Name of Bank 銀行名稱

Type of Account 戶口類別

Account No. 戶口號碼

Other Brokerage or Dealer reference(s) (including, type of account (e.g. cash, margin and nature of securities) and account number): 其他經紀或交易商諮詢 (包括戶口類別 (現金或保證金及證券性質) 及戶口號碼)

Name of Bank 銀行名稱

Type of Account 戶口類別

Account No. 戶口號碼

6. Investment Objectives / Experience and Level of Risk Taking 投資目的/經驗及風險承受水平

Main Investment Objective 主要投資目的 (Choose only one 僅可選一項)

- | | |
|--|---|
| ☐ Capital Preservation 保本 | ☐ Hedging 對沖 |
| ☐ Capital Appreciation 資本增值 | ☐ Others (Please specify) 其他 (請註明) |
| ☐ Speculation 投機 | |
| ☐ Dividend Yield 股息收益 | |

Investment Experience 投資經驗

	None 無	< 1 year 不足一年	1 – 2 years 一至二年	2 – 5 years 二至五年	Over 5 years 五年以上
Equities / Debentures 股票/債券	☐	☐	☐	☐	☐
Warrant/Stock Options/Futures 認股權證/股票期權/期貨	☐	☐	☐	☐	☐
Forex 外匯	☐	☐	☐	☐	☐
Precious metals (e.g. Gold) 貴金屬(如黃金)	☐	☐	☐	☐	☐
Mutual Funds / Unit Trust 互惠基金/單位信託基金	☐	☐	☐	☐	☐
Hedge Funds 對沖基金	☐	☐	☐	☐	☐
Structured Investment 結構性投資產品	☐	☐	☐	☐	☐
Fixed Income Securities (e.g. Bonds) 固定收入證券(如債券)	☐	☐	☐	☐	☐
Others (Please specify 其他 (請註明))	☐	☐	☐	☐	☐

Level of Risk Taking 風險承受水平

- | | | |
|---------------------------------|-----------------------------------|--------------------------------|
| ☐ High 高 | ☐ Medium 中 | ☐ Low 低 |
|---------------------------------|-----------------------------------|--------------------------------|

7. Other Accounts 其他戶口

Particulars of any and all other accounts (whether individual, joint, corporate, trustee) beneficially held, owned or operated by the Company, its subsidiaries or related companies for or on its or their behalf or for any another person(s), body or corporation or in which the Company, its subsidiaries or related companies has an interest (whether direct or indirect) with UOB Kay Hian (Hong Kong) Limited. 任何及所有其他在大華繼顯 (香港) 有限公司開設、由本公司、本公司之子公司或關連公司代表任何第三者、法團或任何公司實益持有、擁有或運作、或本公司、本公司之子公司或關連公司擁有直接或間接利益的戶口 (無論個人、聯名、公司、託管) 的詳情。

Account Name 戶口名稱

Account Number 戶口號碼

8. Trading Authorization 交易授權

Person(s) listed in section B. "Signature(s) for authorized trader(s)" is or are authorized on behalf of the Company to give written and / or oral instructions in relation to the trading of the account. 本公司現授權第B節「獲交易授權人士簽名」所列人士代表本公司以書面及 / 或口頭發出與本戶口交易有關的指示。

9. Information of a Corporate Margin Client with Related Margin Client (For Margin Account Only) 公司保證金客戶與有關連保證金客戶所需資料 (只適用於保證金戶口)

9.1 Please state whether any member of your group companies opened related margin account with UOB Kay Hian (Hong Kong) Limited?
請註明閣下是否有其他集團成員公司已在華繼顯 (香港) 有限公司開立有關連保證金戶口?

☐ Yes 是

Name of the group companies 集團成員公司名 _____

Account No. 賬戶號碼: _____

☐ No 沒有

We represent that the information as set out herein is true, complete, correct and accurate. UOB Kay Hian (Hong Kong) Limited is entitled to rely fully on such information for all purposes, unless and until UOB Kay Hian (Hong Kong) Limited receives notice of any change from us.

吾等聲明此處所載的資料均為真實、完整、正確及準確。大華繼顯 (香港) 有限公司有權完全依賴該等資料，除非及直至大華繼顯 (香港) 有限公司收到吾等有關任何更改通知。

10. Declaration 聲明書

10.1a ☐ We are not acting as an intermediary for the account. The trading orders placing with UOB Kay Hian (Hong Kong) Limited are not for any of our clients or any ultimate beneficiary. 本公司並非以戶口中介人的身份行事。向大華繼顯 (香港) 有限公司作出的買賣指令，均非本公司為本公司的客戶或任何最終受益人作出。

10.1b ☐ We are acting as an intermediary for the account (*If chosen, please complete the following information*). 本公司以戶口中介人的身份行事。(如選擇此項，請完成下列資料)

The ultimate beneficial owner(s) is/are 最終實益人之名稱為：

HKID/Passport No 香港身份證號碼/護照號碼: _____

Contact No. 聯絡電話號碼: _____

Correspondence Address 聯絡地址: _____

- 10.2 We confirm that our directors or shareholders **are not** employees or agents of an exchange participant of a stock exchange, or a licensed or registered person/licensed registered representative with the Securities and Futures Commission or an exempt licensed person or licensed representative. 我們確認我們的董事或股東**並非**某證券交易所的交易所參與者的僱員或代理，或證券及期貨事務監察委員會的持牌或登記人士 / 持牌登記代表，或獲豁免持牌人士或持牌代表。

☐ Yes 是 ☐ No 否

Name of the Client's directors or shareholders 客戶的董事或股東的姓名 / 名稱

Name of the related exchange participant, licensed or registered / exempt person/representative
相關交易所參與者、持牌或登記 / 獲豁免人士 / 代表的姓名 / 名稱

Note: Please provide a written consent. 註：請提供書面同意。

- 10.3 We confirm that our directors, shareholders, authorized signatories and/or trading representatives **are not** employees or agents of UOB Kay Hian (Hong Kong) Limited or their associated companies or a minor child of such employee or agent. 本公司確認本公司的董事、股東、授權簽署人及 / 或交易代表**並非**大華繼顯（香港）有限公司的僱員或代理，或該名僱員或代理的聯營公司或未成年子女。

☐ Yes 是

☐ No 否

If no, please provide the name of the related director / shareholder / authorized signatory / trading representative (with name of employee or agent of UOB Kay Hian (Hong Kong) Limited. 相關董事 / 股東 / 授權簽署人 / 交易代表的姓名(連同大華繼顯(香港)有限公司的僱員或代理姓名) / Relationship 關係)

- 10.4 For the account(s) intended to be opened by us with UOB Kay Hian (Hong Kong) Limited, we confirm that there **are no** employees of UOB Kay Hian (Hong Kong) Limited or their associated companies that holds/will hold beneficial interests in such account. 就本公司擬在大華繼顯（香港）有限公司開立的戶口而言，本公司確認大華繼顯（香港）有限公司或其聯營公司**並無**在 / 將在該戶口持有實益權益的僱員。

☐ Yes 是

☐ No, the name of the employee is 否，僱員的姓名是：

- 10.5 We confirm that our directors or associated company of the same group of companies **do not and did not** maintain a Securities Margin Account with UOB Kay Hian (Hong Kong) Limited. 本公司確認我們的董事（或屬同一集團的聯營公司）**並無**（且過往並無）在大華繼顯（香港）有限公司維持證券保證金戶口。

☐ Yes 是

☐ No, please specify 否（請註明）：

- 10.6 We confirm that our ultimate beneficial owner **is not** a spouse of an employee or a director of UOB Kay Hian (Hong Kong) Limited. 本公司確認本公司的最終實益人**並非**大華繼顯（香港）有限公司的僱員或董事的配偶。

☐ Yes 是

☐ No, please specify 否（請註明）：

- 10.7 We confirm that **we are not** a member of the same group of companies as other customers of UOB Kay Hian (Hong Kong) Limited. 本公司確認本公司與大華繼顯（香港）有限公司的其他客戶**並非**屬同一集團的成員。

☐ Yes 是

☐ No, please specify 否（請註明）：

- 10.8 Cash Account 現金戶口

We understand and agree that for unsettled debit balance of the securities trading account will be charged either at 3.5% over Prime rate or Cost of fund, whichever is higher. 本公司明白及同意現金本戶口借方結餘的適用利率，以最優惠利率加年息 3.5 厘或借貸成本計算，以兩者較高者為準。

11. Other Services 其他服務

Please ☒ box of service(s) you want to apply. 請 ☒ 選你想申請的服務。

(1) ☐ Stock Options Account 股票期權交易戶口

(Please also submit “Client Money and Client Securities Standing Authority” form 請一併遞交「客戶款項及客戶證券常設授權」表格)

We hereby request UOB Kay Hian (Hong Kong) Limited to open an Options Client Account. We confirm we have thoroughly read and understood the provisions of the Options Client Agreement and accept to be bound by the same and acknowledge receipt of all other terms and conditions applicable to opening of Options Client Account with UOB Kay Hian (Hong Kong) Limited including without limitation, the Options Client Agreement and the relevant client consent form in the attached terms and conditions booklet. 本公司謹此要求大華繼顯(香港)有限公司開立期權客戶戶口，吾等確認吾等已經徹底閱讀並明白期權客戶協議中的條文，並接受其約束，及確認收妥在大華繼顯(香港)有限公司開立期權客戶戶口適用的所有其他條款與細則，包括但不限於期權客戶協議及隨附的條款及細則小冊子中的相關客戶協議書。

We hereby confirm and acknowledge that we have been invited to read the Risk Disclosure Statement for Stock Options Trading, ask questions and take independent advice, if we wished. We have thoroughly read the Risk Disclosure Statement for Stock Options Trading, which have been fully explained to us. 本公司確認及承認吾等已獲邀請閱讀股票期權交易的風險披露聲明、提出問題及徵求獨立的意見(如吾等有此意願)。吾等已徹底閱讀股票期權交易的風險披露聲明，並獲得充份解釋股票期權交易的風險披露聲明的內容。

(2) ☐ Internet Stock Options Trading Account 互聯網股票期權交易戶口

We hereby request UOB Kay Hian (Hong Kong) Limited to provide the Internet Stock Options Trading services with respect to the Account. We confirm we have considered all the risks involved, and have thoroughly read and understood the provisions of the Internet Trading Terms and Conditions and agree to be bound by the same and acknowledge receipt of all other terms and conditions applicable to opening of account with UOB Kay Hian (Hong Kong) Limited including without limitation, the Cash / Margin / Options Client Agreement. 本公司謹此要求大華繼顯(香港)有限公司提供戶口的互聯網股票期權交易服務。吾等確認吾等已考慮所涉及的所有風險，並已經徹底閱讀並明白互聯網交易條款與細則，並同意受這些條款與細則的約束及確認收妥在大華繼顯(香港)有限公司開立戶口適用的所有其他條款與細則，包括但不限於現金/保證金及期權客戶協議客戶協議。

(3) ☐ Service of Statements, Online Trading Password and Advice 送達結單，網上交易密碼及通知

E-mail Statement and Electronic Advice 電郵結單及電子通知

The Email address in P.3 will receive E-mail Statement (No monthly Charge) and used for online trading account password and other electronic advice 第三頁的電郵地址將收取結單(免月費)，使用於互聯網交易戶口密碼以及其他電子通知

We hereby confirm that the above email address is for our company use and not accessible by any officer or employee of your company or its associated entity. 吾等謹此確認以上電郵地址為本公司所擁有，並且不會讓貴公司或有聯繫實體之僱員登入及使用。

12. PERSONAL INFORMATION COLLECTION STATEMENT 個人資料收集聲明

Our Data Protection Policy 我們的個人資料保護政策

UOB Kay Hian (Hong Kong) Limited/UOB Kay Hian Futures (Hong Kong) Limited (the "Company") values the protection of your personal data. The Company recognises its responsibilities in relation to the collection, holding, processing or use of personal data of account applicants or holders under the Personal Data (Privacy) Ordinance (Cap. 486) (the "Ordinance"). All personal data collected by the Company shall be treated in accordance with this Personal Information Collection Statement (this "Statement") and the provisions of the Ordinance. The Company may collect personal data (as defined in the Ordinance) (which data may relate to yourself or your authorised signatories) from you, in connection with its dealings with you. You must supply the personal data as required by the Company. If you fail to supply the required personal data, the Company may refuse to open and/or maintain an account for you. 大華繼顯（香港）有限公司/大華繼顯期貨（香港）有限公司（「本公司」）非常注重閣下的個人資料的保護。本公司承認其在《個人資料（私隱）條例》（香港法例第486章）（「私隱條例」）下關於收集、持有、處理或使用戶口中申請人或持有人的個人資料的責任。本公司收集所得的所有個人資料均會依照本《個人資料收集聲明》（「本聲明」）以及私隱條例的規定處理。本公司可就本公司與閣下的事務往來向閣下收集可能是關於閣下本人或閣下的獲授權簽署人士的個人資料（定義見私隱條例）。閣下必須按照本公司要求提供個人資料。倘若閣下未有提供所要求的個人資料，本公司可拒絕為閣下開立及/或維持戶口。

12.1 Purposes of Collection 收集個人資料的目的

The Company may use your personal data (whether provided by you or any other person, and whether provided before or after the date you receive this document) for the following purposes: 本公司可使用閣下的個人資料（不論是否由閣下或任何其他人士提供，亦不論是否在閣下收到本文件的日期之前或之後提供）作以下用途：

- (a) offering, providing and marketing to you the products/services of the Company and/or any holding company, subsidiary or affiliate (within or outside Hong Kong) (the "Group") or our business partners (see "Use of Data in Direct Marketing" below), and administering, maintaining, managing and operating such products/services; 向閣下發售、提供及推銷本公司及/或任何控股公司、附屬公司或關聯公司（在香港境內或境外）（「本集團」）或我們的業務夥伴的產品/服務（見下文「在直銷中使用個人資料」），以及處理、維持、管理及操作有關產品/服務；
- (b) activities relating to operating your account such as purchasing, investing, advising, exchanging, acquiring, disposing of and generally dealing in and with all kinds of securities, futures and options (if applicable) on your behalf, carrying out transactions at your instructions, on-going account administration and contacting you; 與閣下的戶口的運作有關的活動，例如代表閣下購買、投資、諮詢、兌換、收購、處置及整體地買賣所有類型的證券、期貨及期權（如適用）；按照閣下的指示進行任何交易；持續性的戶口管理及與閣下聯絡等；
- (c) activities relating to the processing of your application to open an account with the Company and maintaining your account, including but not limited to client verification procedures, conducting credit reporting, processing your application for grant of credit or margin facilities or the continuation and review of such credit or margin facilities; 與處理閣下在本公司開立戶口的申請及維持閣下的戶口有關的活動，包括（但不限於）客戶身份核實程序、進行資信報告、處理閣下關於授予信貸或保證金融資，或繼續提供及檢討該等信貸或保證金融資的申請；
- (d) determining the amount of indebtedness owned to or by customers; 釐定欠下客戶（或客戶欠下）的債務的金額；
- (e) collection of amounts outstanding from customers and those providing security for customers' obligations; 向客戶（以及為客戶的義務提供擔保的人士）收取尚欠的金額；
- (f) maintenance and verification of particulars and data; 資料及數據的維護及核對；
- (g) any other purpose relating to the provision of banking, investment and/or other financial services and facilities by the Group; 與本集團提供銀行、投資及/或其他金融服務及設施有關的任何其他目的；
- (h) to provide you with information about your account and account statements; 向閣下提供關於閣下的戶口的資料及戶口結單；
- (i) to conduct research and statistical analysis; and 進行調查研究及統計分析；及
- (j) complying with the obligations, requirements or arrangements for disclosing and using data, including notification requirements that apply to the Company or any member of the Group, according to any law binding or applying to them within or outside Hong Kong including without limitation the United States Foreign Account Tax Compliance Act ("FATCA"). 依據香港或香港以外地區適用於本公司或本集團任何成員或對其有約束力的任何法律（包括（但不限於）美國《海外帳戶稅收合規法案》（「FATCA」）），遵守有關披露及使用個人資料的義務、要求或安排（包括適用於本公司或本集團任何成員的通知要求）。

12.2 Transfer of Personal Data 轉交個人資料

Personal data held by the Company will be kept confidential but may be transferred to the following persons within or outside Hong Kong solely for the purposes set out above (excluding direct marketing purposes): 本公司將把所持有的個人資料保密，但可僅就上文所列的目的而言（除直銷目的外）將該等個人資料轉交下列人士（不論在香港境內或境外）：

- (a) other entities within the Group (including direct and indirect subsidiaries) providing banking, investment and/or other financial services; 本集團內提供銀行、投資及/或其他金融服務的其他實體（包括直接及間接附屬公司）；
- (b) the Company's agents, nominees, professional advisers, researchers and other third party service providers that offer services to the Group in connection with the operation of its banking, investment and/or financial services business; 就本集團的銀行、投資及/或金融服務業務的運作向其提供相關服務的本公司代理、代名人、專業顧問、研究員及其他第三方服務供應商；
- (c) credit reporting agencies; 資信報告代理；

- (d) financial regulators, government bodies, other regulatory authorities, individuals or corporations who have the right to such data and information as prescribed by law within or outside Hong Kong; 根據香港或香港以外地區的法律規定有權取得該等個人資料的金融規管機構、政府組織、其他監管機構、個人或公司；
- (e) the Hong Kong Inland Revenue Department, the United States Internal Revenue Service and any other taxing authority to whom the Company or any member of the Group is under an obligation or otherwise required to make disclosures under the requirements of any law (including without limitation FATCA); 香港稅務局、美國國家稅務局及本公司或本集團任何成員依據任何法律（包括但不限於FATCA）規定有責任或在其他方面須向其作出披露的任何其他稅務機關；
- (f) where transactions are executed outside Hong Kong, the relevant stock exchange, clearing house or regulatory bodies; and 就任何在香港以外進行的交易而言，相關的證券交易所、結算所或監管機構；及
- (g) authorized employees of the Company. 本公司的獲授權僱員。

12.3 Use of Data in Direct Marketing 在直銷中使用個人資料

- (a) The Company intends to use your personal data held by the Company for the purpose of direct marketing. Such personal data include your name, demographic data, contact details, account number, products and other portfolio information, transaction pattern and behaviour, financial background and investment objectives and experience. 本公司擬把本公司持有的閣下的個人資料用於直銷。有關個人資料包括姓名、人口統計資料、聯絡資料、戶口號碼、產品及其他投資組合資料、交易模式及行為、財務背景及投資目標及經驗。
- (b) The following classes of services, products and subjects may be marketed:
可用作推銷下列類別的服務、產品及推銷主體：
 - (i) financial, investment, wealth management, securities, retirement, insurance and related services and products; 財務、投資、財富管理、證券、退休、保險及相關服務及產品；
 - (ii) reward, loyalty or privileges programmes, promotional offers and related services; and 獎賞、忠誠或優惠計劃、推廣優惠及相關服務；
 - (iii) invitations to financial and investment seminars/events/forums. 邀請參加財務及投資研討會/活動/論壇。
- (c) Data held by the Company relating to a data subject will be kept confidential but the Company may provide such information to the following parties whether inside or outside Hong Kong for the purposes set out in paragraph (a) above: 本公司將把其持有的關於某個人資料主體的個人資料保密，但本公司可就上文(a)段所載的目的而言，向以下人士（不論在香港境內或境外）提供有關資料：
 - (i) the ultimate holding company of the Company, its subsidiaries, representative offices and/or affiliates of the Company; 本公司的最終控股公司、其附屬公司、代表辦事處及/或本公司的關聯公司；
 - (ii) the service providers of the Company including the registrar, transfer agent, the custodian, administrative service agent, share distributors, securities and investment service providers and the auditor of each products offered by the Company; 本公司的服務供應商（包括登記處、過戶代理、托管人、行政服務代理、股份分銷商、證券及投資服務供應商，以及本公司提供的每項產品的核數師）；
 - (iii) any agent, contractor or third party service provider who provides administrative, research, design, launch, telecommunications, printing, lettershopping, mailing, computer, payment, securities clearing and settlement or other services to the Company in connection with the operation of its business; 就本公司的業務運營而言，向本公司提供行政、研究、設計、推出、電訊、列印、郵件處理、郵寄、電腦、付款、證券結算及交收或其他服務的任何代理、承包商或第三方服務供應商；
 - (iv) the intermediaries of the company including third party financial institutions (e.g. banks, independent financial advisors, insurers), third party product issuers, correspondent banks which may handle or process payment to/from data subjects; 本公司的中介機構，包括第三方金融機構（例如：銀行、獨立財務顧問、保險人）、第三方產品發行人、可能處理向/來自個人資料主體的付款的往來銀行；
 - (v) the employees, officers, directors and agents of the Company; 本公司僱員、高級職員、董事及代理；
 - (vi) any party (including but not limited to, any regulatory authorities, governmental authorities, tax, law enforcement authorities) entitled thereto by law or regulation (whether statutory or not); and 法例或規例（不論法定與否）下有權獲取個人資料的任何人士（包括（但不限於）任何規管機構、政府機構、稅務、執法機構）；及
 - (vii) any other member of the Group. 本集團任何其他成員。
- (d) In addition to marketing the above services, products, facilities and marketing subjects itself, the Company also intends to provide the data described in (a) above to all or any of the persons described in paragraph (c) above for use by them in marketing those services, products and subjects, and the Company requires my written consent (which includes an indication of no objection) for that purpose. 除推廣上述服務、產品、設施及推銷主體本身外，本公司亦擬向上文(c)段所述的全部或任何人士提供上文(a)部分所述的個人資料，以供他們用於推廣該等服務、產品及推銷主體，而本公司就此而言需要本人的書面同意（包括表示不反對）。

Before using your personal data for the purposes and providing to the transferees set out above, the Company must obtain your written consent, and only after having obtained such written consent, may use and provide your personal data for any promotional or marketing purpose. You may in future withdraw your consent to the use and provision of your personal data for direct marketing

without charges. 在將閣下的個人資料用於上文所載的用途並向上文所載的人士轉交閣下的個人資料前，本公司必須取得閣下的書面同意，而本公司只可在取得有關書面同意後，使用及提供閣下的個人資料作任何宣傳或推廣用途。閣下今後可在毋須支付費用下，撤回閣下關於將閣下的個人資料用作（及提供作）直銷用途的同意。

Please provide complete the following and/or check the appropriate box(es) below. They represent your present choice whether or not to receive direct marketing contact or information. This replaces any prior choice communicated by you to the Company. 請填寫下文，及/或剔選下文合適的方格。它們代表閣下目前關於是否接收直銷聯繫或資料的選擇。這取代閣下先前告知本公司的任何選擇。

- ☐ We wish the Company to use my/our personal data (including the data mentioned in paragraph (a) above) for direct marketing of services, products and subjects mentioned in paragraph (b) above and wish to receive direct marketing materials through the following channel(s): 吾等希望貴公司將吾等的個人資料（包括上文(a)段所述的個人資料）用作上文(b)段所述的服務、產品及推銷主體的直銷，並希望透過以下渠道收取直銷材料：

☐ Mail 郵寄

☐ Phone 電話

☐ E-mail 電郵

☐ SMS 短訊

☐ All channels (including mail, e-mail, phone and SMS) 所有渠道（包括郵寄、電郵、電話及短訊）

☐ We do not wish the Company to use our personal data (including the data mentioned in paragraph (a) above) for direct marketing of services, products and subjects mentioned in paragraph (b) above and do not wish to receive direct marketing materials. 吾等不希望貴公司將吾等的個人資料（包括上文(a)段所述的個人資料）用作上文(b)段所述的服務、產品及推銷主體的直銷，且不希望收取直銷材料。

☐ We consent to the transfer by the Company of our personal data (including the data mentioned in paragraph (a) above) to the parties listed in paragraph (c) above for direct marketing of services, products and subjects mentioned in paragraph (b) above. 吾等同意貴公司將吾等的個人資料（包括上文(a)段所述的個人資料）轉交上文(c)段所述的人士，作上文(b)段所述的服務、產品及推銷主體的直銷。

☐ We do not consent to the transfer by the Company of our personal data (including the data mentioned in paragraph (a) above) to the parties listed in paragraph (c) above for direct marketing of services, products and subjects mentioned in paragraph (b) above. 吾等不同意貴公司將吾等的個人資料（包括上文(a)段所述的個人資料）轉交上文(c)段所述的人士，作上文(b)段所述的服務、產品及推銷主體的直銷。

Consent to be given by Corporate account applicants or holders 由公司戶口申請人或持有人給予同意

* Please note that if the undertaking and representation are not provided, the Company may refuse to open and/or maintain an account for you. 請注意，如不提供承諾及陳述，則本公司可拒絕為閣下開立及/或維持戶口。

- ☒ Where personal data of information relating to any of our representatives (including but not limited to directors, employees, agents, customer (direct or indirect) or affiliates) or any third party is provided to or held by the Company in the course of its business dealings with the Company, we undertake and represent that we have obtained the relevant consent of our representatives to enable the Company to use, process, deal, share or transfer such data or information in accordance with the Ordinance and this Statement and we agree that we will promptly provide evidence of such consents as and when requested by the Company. 如我們的任何代表（包括（但不限於）董事、僱員、代理、客戶（直接或間接）或關聯公司）或任何第三方在與本公司進行業務往來的過程中，向本公司提供或本公司持有關於其的個人資料，則我們承諾及聲明我們已取得我們的代表的相關同意，以讓本公司根據私隱條例及本聲明使用、處理、分享或轉交有關個人資料，而我們同意我們將在本公司要求時適時提供有關同意的憑證。

Access to Personal Data 個人資料的查閱

Under the Ordinance you have the right to enquire whether the Company holds personal data in relation to you, and to request access to and correction of your personal data. You may make such a request to: 根據私隱條例，閣下有權查詢本公司是否持有關於閣下的個人資料並有權要求查閱及更改閣下的個人資料。閣下可向以下人士提出上述要求：

Client Services Department 客戶服務部

6/F Harcourt House, 39 Gloucester Road, Hong Kong

香港告士打道39號夏慤大廈6樓

Tel 電話: +852 2136 1818

Fax 傳真: +852 2501 0726

In accordance with the terms of the Ordinance, a reasonable fee may be charged for processing any data access request. 根據私隱條例的條款，可就存取個人資料的任何請求收取合理的費用。

13. Derivative Knowledge Assessment 衍生工具認識評估

Company should ensure all investment decision makers have fulfilled anyone of the below criteria.

公司需確保所有投資決定人士擁有以下任何一項評估條件。

- | | | |
|---|---------------------------------------|--------------------------------------|
| <p>(i) We have executed five or more transactions in derivative products (whether traded on an exchange or not), e.g. Stock Options, futures, Callable Bull/Bear Contracts, Derivative Warrants, Structured Products and ETFs, etc. (within the past 3 years) 我們(於過去三年)曾執行5次或以上有關衍生產品(不論是否在交易所買賣)的交易。例如：股票期權、期貨、牛熊證、衍生權證、結構性產品及交易所買賣基金等。</p> <p>Relevant Financial Institution 金融機構名稱：_____</p> <p>Product Type 產品種類：_____</p> <p>Trading Period 交易期間：_____</p> | <p>Yes 是 ☐</p> | <p>No 否 ☐</p> |
| <p>(ii) We have current or previous work experience related to derivative products. 我們於現時或過去擁有與衍生產品的工作經驗。</p> <p>Name of Employer 公司名稱：_____</p> <p>Department 部門名稱：_____ Position 職位：_____</p> <p>Working Year 工作年期：_____</p> | <p>Yes 是 ☐</p> | <p>No 否 ☐</p> |
| <p>(iii) We have undergone training and/or attended courses either in form of online or classroom offered by academic institutions or financial institutions on derivative and/or structured products. 我們已經接受及/或參加由學術機構或金融機構所提供有關衍生工具/或結構性產品的在線或教室形式培訓及/課程。</p> <p>Name of Training/ Courses 相關培訓或課程名稱：_____</p> <p>Name of Organized Institution 舉辦機構名稱：_____</p> <p>Attendance Date 出席日期：_____</p> | <p>Yes 是 ☐</p> | <p>No 否 ☐</p> |

You are required to complete a derivative knowledge assessment questionnaire if you would like to receive recommendations in relation to derivative transaction. You can access the form in our website or contact your Salesperson. 如果本公司向閣下提出衍生工具交易建議，閣下需要另外填寫衍生工具知識評估問卷。閣下可以訪問我們網站上的表格或聯繫您的銷售人員。

14. Acknowledgement and Consent 確認及承諾

14.1 We hereby confirm and acknowledge that we have thoroughly read and understood the Personal Information Collection Statement before furnishing this Client Information Statement. 本公司謹此確實及確認，在提交此客戶資料表格前，本公司已徹底閱讀及明白“個人資料收集聲明”。

We represent that the contents and information provided by us in this Client Information Statement are true, complete and correct and not misleading in any respect and that the representations made by us herein are accurate. You may or are entitled to rely entirely upon such contents information and representations for all purpose, unless you receive notice in writing from us of any change thereof. We hereby undertake to notify you in writing forthwith upon any material change(s) in the information provided herein. 本公司茲申述在客戶資料表格內的資料及內容屬實、完整、正確，且在任何方面均無誤導，及附上申述內容準確，除非貴司收到更改有關聲明內容的書面通知，否則貴司可或有權在任何用途上完全依賴這些資料及申述，本公司謹此承諾，若於此提供的資料有任何修改，本公司將立即以書面通知貴司。

You are further and hereby authorized at any time to contact any person or persons, including our banks, brokers, advisers or any credit agency, for or relating to the purpose of verifying the information provided by us in this Client Information Statement and obtaining information about us. 貴司現被授權在任何時間接觸任何人（等）包括本公司往來銀行、經紀、顧問或任何信貸機構，核實本公司在客戶資料表格中所提供有關資料及取得關於本公司的資料。

We agree to provide you with such information/documents as may be requested by you from time to time in connection with the application for the opening of the Account. 本公司同意向貴司提供貴司就開立戶口申請可能不時要求的有關資料/文件。

We agree to open the following type(s) of account and confirm receipt of the Cash and / or Margin Client Agreement under Client Agreement Terms & Condition (Securities). 本公司同意開立以下的戶口，並確認已收妥在客戶協議書、條款及細則（證券）內的現金及/或保證金客戶協議書。

We understand that our submission of this Form and the acceptance of this Form by you in no way implies approval for opening of the Account for us and you reserve the unconditional right to reject this application. 本公司明白本公司提交此表格及貴司接納此表格概不會以任何方式意味着批准為本公司開立戶口，而貴司保留無條件拒絕此份申請的權利。

14.2 Declaration in relation to Tax Residency Self-Certification 稅務居民自我證明之確認聲明

We acknowledge and agree that (a) the information contained in this Client Information Statement is collected and may be kept by you for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by you to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112). 本公司知悉及同意，貴司可根據《稅務條例》（第112章）有關交換財務帳戶資料的法律條文，(a) 收集本客戶資料表格所載資料並可備存作自動交換財務帳戶資料用途及 (b) 把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到控權人的居留司法管轄區的稅務當局。

We undertake to advise you of any change of Legal Name of Entity or Branch, or Current Business Address in circumstances which affects the tax residency status of the entity or causes the information contained herein to become incorrect, and to provide you with a suitably updated self-certification form within 30 days of such change in circumstances. 本公司承諾，實體或分支機構的法定名稱或現時營業地址有所改變，以致影響實體的稅務居民身分，或引致本表格所載的資料不正確，本公司會通知貴司，並會在情況發生改變後 30 日內，向貴司提交一份已適當更新的自我證明表格。

14.3 Acknowledgement of Risk Disclosure Statement and Acceptance of Terms and Condition of Cash / Margin Client Agreement 風險披露聲明的確認及現金 / 保證金客戶協議書、條款及細則的接納

We have read the Risk Disclosure Statement and we have been invited to ask questions and take independent advice, if we wished. 本公司已閱讀本風險披露聲明及已獲邀請提出問題及徵求獨立的意見(如本公司有此意願)。

We hereby confirm that the latest versions of the Risk Disclosure Statement and Terms and Condition of Cash / Margin Client Agreement, all of which may be varied, amended or supplemented from time to time (copies of which are available on <http://www.uobkh.com.hk>) have been fully explained to us by a Licensed Person in a language of our choice (English or Chinese), and we fully understand, acknowledge and agree to be bound by them. 本公司確認持牌人士已以本公司選擇的語言(英文或中文)向本公司充份解釋最新版本的風險披露聲明及現金 / 保證金客戶協議書、條款及細則(經不時更改、修訂或補充)(副本可於 <http://www.uobkh.com.hk> 下載)，而本公司完全明瞭、確認並同意受該等條文約束。

We confirm that you have pointed out to us that the said Risk Disclosure Statement and Terms and Condition of Cash / Margin Client Agreement are general in nature and have not been prepared to specifically cater for our own circumstances, background and investment experience and we should in addition consider our own circumstances, financial strength, investment objectives and experience, our own needs, the offering document of the investment products concerned, the taxation implications, foreign exchange control aspects (if relevant), the law of the place of incorporation in making the investment decision. 本公司確認貴司已向本公司指出上述風險披露聲明、現金 / 保證金客戶協議書、條款及細則屬一般性質，而並沒有因應本公司自身的狀況、背景及投資經驗而特別編製。在作出投資決定時，本公司應在此之上考慮本公司自身的狀況、財政實力、投資目標及經驗、本公司自身的需要、所涉及的投資產品的發售文件、稅務影響、外匯管制方面(如適用)、註冊成立地點的法律。

We have been advised that before we transact any derivatives product we have to make sure that we have sufficient relevant knowledge and investment experience. 本公司獲告知，在本公司買賣任何衍生產品前，本公司須確保本公司具備充分的相關知識及投資經驗。

We confirm that we possess sufficient net worth to assume the risk and bear the possible losses of trading in securities and investment products and we will before instructing you to effect any purchase transaction relating to securities and investment products, re-assess whether by then we still have sufficient net worth to assume the risk and bear the possible losses of purchasing the securities and investment products we intend to trade in the light of the then circumstances, including our financial position, funding requirements and any other obligations we have assumed. 本公司確認本公司具備充分的資產淨值承擔買賣證券及投資產品的風險，並承受可能出現的損失，而本公司將在指示貴司執行關於證券及投資產品的任何購買交易前，將計及屆時的情況(包括本公司的財務狀況、資金需求及本公司已承擔的任何其他義務)，重新評估本公司屆時是否仍有足夠的資產淨值承擔購買本公司擬買賣的證券及投資產品的風險，並承受可能出現的損失。

14.4 Declaration of No Short Selling 所有賣盤均為非賣空盤之聲明

We confirm that, until such time as you receive further written notice from us to the contrary, every sell order we whether as principal or agent) ask you to execute on the Stock Exchange of Hong Kong Limited will be a "long" sales, meaning that We will never give you a sell order unless, at the time of the order, we either (i) own the shares that are the subject of the sell order, or (ii) have already exercised an ADR, TraHK unit, physically-settled share call option or other similar instrument convertible into the shares to be delivered to the purchasers. 本公司現在確認，本公司(無論作為委託人或代理人)將來向貴司發出的所有在香港聯合交易所有限公司執行的賣盤指示均屬長倉沽盤，直至本公司另行以書面通知貴司為止。上述確認意指每當本公司向貴司發出沽盤指示時，本公司(一)已擁有該沽盤指示之有關股票；或(二)將可交予買方已行使的美國預託證券、盈富基金、實物交收股票認購期權或任何其他類似的可以轉換成該有關股票之工具。

We understand that until such time as you receive this declaration, and if any time we give you written notice that this declaration is no longer to have any effect, you are obliged under Section 171 of the Securities and Futures Ordinance (Chapter 571 of the Laws of Hong Kong) to seek our verbal and written confirmation that any short sales are covered and that, to the extent that any cover is a stock borrowing arrangement with a stock lender, the stock lender has the shares available to lend or deliver to us. 本公司明白在貴司收到此聲明之前，或在本公司以書面通知貴司此聲明中之確認已不再生效之後，貴司根據香港《證券及期貨條例》(香港法例第571章)第171條，有責任向本公司索取口頭及書面確認，以確認本公司發出之沽盤指示已經備兌借貸)，以及若此備兌為借用股票安排時，借出人確實擁有該有關股票以借予本公司。

14.5 Acknowledgement of EU Regulation on key information documents for packaged retail and insurance-based investment products ("PRIIPs Regulation") 有關歐洲經濟區的零售投資者資訊的確認

The PRIIPs Regulation, which came into effect on 1 January 2018, states that a key information document ("KID") must be provided to retail investors located in the European Economic Area ("EEA") who are sold a packaged retail and insurance-based investment product ("PRIIP"). 於2018年1月1日生效的PRIIPs 規例指出當向歐洲經濟區的零售投資者出售零售及保險投資產品組合(英文為「packaged retail and insurance-based investment product」，簡稱「PRIIP」)，須提供重要資訊文件(英文為「key information document」，簡稱「KID」)。

Futures Contracts and Options Contracts traded on the Hong Kong Exchanges and Clearing Limited ("HKEX") technically fall within the definition of a PRIIP and accordingly the HKEX has produced a KID for each of the following types of products: 於香港交易所交易的期貨及期權技術上合符PRIIP的定義，故此香港交易所為以下每種產品製作了KID：

Derivatives Trading in the Stock Exchange of Hong Kong ("SEHK") 於香港聯合交易所交易的衍生產品

(Stock Options) (股票期權)

- (i) Short Call Option 沽出認購期權(只提供英文版本)
- (ii) Long Call Option 買入認購期權(只提供英文版本)
- (iii) Short Put Option 沽出認沽期權(只提供英文版本)
- (iv) Long Put Option 買入認沽期權(只提供英文版本)

We confirm that we visited the HKEX web site (<http://www.hkex.com.hk>) for the most updated version of the KIDs. 本公司確認本公司已瀏覽香港交易所網站以獲取最新版本的KID。

14.6 Derivative Knowledge Assessment 衍生工具認識評估

We hereby acknowledge that we have received, read and fully understood the “Derivatives Product Features and Risk Disclosures” provided by UOB Kay Hian (Hong Kong) Limited in a language of my choice. 本公司謹此確認，在吾等選擇的語言，吾等已收妥由大華繼顯(香港)有限公司提供的“衍生產品特點及風險披露”，並已參閱及明白其內容。

We hereby affirm that the information provided in the derivative knowledge assessment is accurate as of the moment of provision and undertake to inform UOB Kay Hian (Hong Kong) Limited about any changes in mentioned information. 本公司確認所提供的評估資料在提供時均屬真確，並承諾於資料有任何變動時通知大華繼顯(香港)有限公司。

14.7 Confirmation of email address for receiving statement and other correspondence in page 3

確認於第3頁中用作接收結單及其他通訊用途的電郵地址

Our company understand that the email in page 3 is for receiving all kinds of client communication include welcome letter, E-statement UTRADE (passwords, login notification, trade confirmation) or other letters. Our company hereby confirmed the email that we provided is for our use only and not accessible by any officer or employee of your company or its associated entity. 本公司了解第3頁的電郵地址用作收取客戶端通信，包括迎新信件，電郵結單，UTRADE (密碼，登入通知，完成交易確認)或其他信件。本公司謹此確認本公司提供的電郵地址為本公司所擁有，並不會讓貴公司或有聯繫實體僱員登入或使用。

14.8 Internet Trading Account

互聯網交易戶口

We hereby acknowledge UOB Kay Hian (Hong Kong) Limited will provide the Internet Trading services with respect to the Account. We confirm we have considered all the risks involved, and have thoroughly read and understood the provisions of the Internet Trading Terms and Conditions and agree to be bound by the same and acknowledge receipt of all other terms and conditions applicable to opening of account with UOB Kay Hian (Hong Kong) Limited including without limitation, the Cash/ Margin Client Agreement. 本公司謹此確認大華繼顯(香港)有限公司將提供此戶口互聯網交易服務。吾等確認吾等已考慮所涉及的所有風險，並已經徹底閱讀並明白互聯網交易條款與細則，並同意受這些條款與細則的約束及確認收妥在大華繼顯(香港)有限公司開立戶口適用的所有其他條款與細則，包括但不限於現金/保證金客戶協議。

* Internet Securities Trading Account can enjoy free 500 clicks of real time snapshot within 2 months 互聯網證券交易戶口可享2個月內免費500次港股即按式即時報價

14.9 Confirmation of the waterfall requirement outlined in the note on page 2 to provide the CID

確認於第2頁備註中列出的優先次序來提供客戶識別信息

We confirm that we follow the waterfall requirements outlined in the note on page 2 to provide the CID. There are no other identity documents of higher priority in the waterfall. 我們確認遵循第2頁備註中列出的優先次序來提供客戶識別信息。並沒有其他更高優先次序的身份證明文件。

Remarks 註釋

Any deletion or amendment must be initialed by all account holders. 如有任何刪除或修訂，須由全體戶口持有人草簽。

Chinese version of the Agreement is only for reference. The English version of the Agreement shall prevail in the event of inconsistency between the two versions. (Please refer to the separate booklet of Client Agreement, Terms & Condition) 協議書的中文本僅供參考。中、英文本之間如有任何不一致，則應以英文本為準。(請參閱另書的客戶協議書、條款及細則)

Important Notice to Client(s) 客戶須知:

The Agreement referred in the above will govern the service(s) provided or to be provided to you. You are advised to read and understand the Agreement, to ask questions and to seek independent legal advice before you sign.

上文所指的協議書將規管已向或將向閣下提供的服務。懇請閣下在簽署前細閱及理解協議書，提問並尋求獨立的法律意見。

This document does not constitute nor is it intended to be nor should it be construed as offer or solicitation to deal in securities or any investment products. 此文件並不構成，亦非旨在且不應被詮釋為要約或誘使買賣證券或任何投資產品。

15. Declaration By Licensed Person 持牌人聲明

I, the licensed person named below, have fully explained the contents of the Risk Disclosure Statement to the Client at the place stated below in a language of the Client's choice (English or Chinese).

本人為下述持牌人，已在下址用該客戶選擇的語言（英文或中文），向該客戶充份解釋本項風險披露聲明的內容。

I have also advised the Client that before the Client transacts any derivatives product the Client has to make sure that he/it has sufficient relevant knowledge and investment experience and I have invited the Client to ask questions and take independent advice if he/it so wishes. 本人已建議客戶在買賣任何衍生產品前，須確保其具備充份的相關知識及投資經驗，而本人已邀請客戶提出問題及徵求獨立的意見（如其有此意願）。

<i>CE Number of licensed person</i> 持牌人士的中央編號	<i>Print name of licensed person</i> 持牌人士正姓名	<i>Signature of licensed person</i> 持牌人士簽署

Place at which risk disclosure statement explained 在上述地點解釋風險披露聲明

Execution not in the presence of employee of UOB Kay Hian (Hong Kong) Limited
並非在大華繼顯(香港)有限公司的員工見證下簽署

If the account opening documentation (including this Client Information Statement) in respect of the Account is not executed in the presence of an employee of UOB Kay Hian (Hong Kong) Limited, please arrange for other person licensed or registered with the Securities and Futures Commission, an affiliate of a licensed or registered person, a Justice of the Peace, or a professional person such as a branch manager of a bank, certified public accountant, lawyer or notary public to witness your signing of this Client Information Statement (at various places) and sight your identification documents and make the certification. 如戶口的開戶文件(包括此客戶資料表格)並非在大華繼顯(香港)有限公司的員工見證下簽署，請安排證券及期貨事務監察委員會的持牌人士或註冊人士、持牌人士或註冊人士的關聯方、太平紳士，或銀行分行經理、註冊會計師、律師或公證人等專業人士見證閣下(在不同位置上)簽署此客戶資料表格、檢查閣下的身份證明文件，並作出證明。

The required identification documents should be certified by any one of the following: 而要求的身份證明文件須按以下任何方式核證：

- (i) a solicitor practising in Hong Kong;
一名香港執業律師；
- (ii) a certified public accountant practising in Hong Kong;
一名香港執業會計師；
- (iii) a current member of The Hong Kong Institute of Chartered Secretaries practising in Hong Kong;
一名香港執業的香港特許秘書公會現有會員；
- (iv) a trust company registered under Part VIII of the Trustee Ordinance (Chapter 29 of the Laws of Hong Kong) carrying on trust business in Hong Kong;
一家根據《受託人條例》(香港法例第29章) 第VIII部註冊，並在香港進行信託業務的信託公司；
- (v) an authorised institution under the Banking Ordinance (Chapter 155 of the Laws of Hong Kong);
《銀行條例》(香港法例第 155 章) 下的認可機構；
- (vi) a licensed corporation under the Securities and Futures Ordinance (Chapter 571 of the Laws of Hong Kong);
《證券及期貨條例》(香港法例第 571 章) 下的持牌法團；
- (vii) authorized insurer, appointed insurance agent or authorised insurance broker under the Insurance Companies Ordinance (Chapter 41 of the Laws of Hong Kong);
《保險公司條例》(香港法例第 41 章) 下的獲授權保險人、獲委任保險代理人或獲授權保險經紀；
- (viii) a lawyer, a notary public, an auditor, a professional accountant, a trust or company service provider or a tax advisor practicing in a Financial Action Task Force (FATF) member / comparable jurisdiction acceptable to UOB Kay Hian (Hong Kong) Limited;
在打擊清洗黑錢財務行動特別組織 (FATF) 成員 / 大華繼顯 (香港) 有限公司接納的可比司法管轄區執業的律師、公證人、核數師、專業會計師、信託或公司服務供應商或稅務顧問；
- (ix) a member of the judiciary in a FATF member / comparable jurisdiction acceptable to UOB Kay Hian (Hong Kong) Limited; FATF
成員 / 大華繼顯 (香港) 有限公司接納的可比司法管轄區的司法機構成員；
- (x) an officer of an embassy, consulate or high commission of the country of issue of the passport; and
簽發護照的國家的大使館、領事館或高級專員公署的高級職員；及
- (xi) Justice of the Peace.
太平紳士。

The certifier must sign and date the copy document (printing his/her name clearly in capitals underneath) and clearly indicate his/her position. The certifier must state that it is a true and complete copy of the original (or words to similar effect).

核證人必須簽署副本文件並寫上日期 (在下面以正楷清楚寫上其姓名，且清楚註明其職位)。核證人必須註明其為原件的真實及完整的副本 (或具有類似作用的字眼)。

CERTIFIED BOARD RESOLUTIONS FOR OPENING SECURITIES ACCOUNT AND / OR STOCK OPTIONS ACCOUNT 開立證券帳戶及/或股票期權帳戶的經核證董事會議決*

Corporate Clients 公司客戶

To: **UOB KAY HIAN (HONG KONG) LIMITED**, being a licensed corporation registered at the Securities and Futures Commission of Hong Kong and having its registered office at 6/F, Harcourt House, 39 Gloucester Road, Hong Kong. 致: 大華繼顯 (香港) 有限公司 (“大華繼顯”) · 其為一名在證券及期貨事務監察委員會註冊的持牌法團 · 其註冊辦事處位於香港告士打道三十九號夏愨大廈六樓

We hereby certify as follows: 吾等謹此核證如下:

- (1) the following resolutions have been duly passed by way of written resolutions of the board of directors (each, a “**Director**”) of 以下議決
已根據 _____ (the “**Company**” “公司”)
的章程細則 · 獲公司董事會 (各為一名 “**董事**”) 於 on _____ (Date 日期) pursuant to the Articles of Association of the Company or at a duly convened meeting of the Board of Directors of the Company duly held on the date above at 的
書面議決 · 或公司董事會於上述日期 _____ (Time 時間) at _____ (Venue 地點)
where notice of the meeting has been duly given to or waived by all the Directors and the necessary quorum was present throughout the meeting; 正式舉行的正式召開的董事會會議正式通過 · 已就該董事會會議向全體董事正式發出 (或全體董事已豁免發出) 會議通知 · 而在整個會議上均有所需的法定人數出席;
- (2) each Director has duly declared his/her/its interest (if any) in the matters dealt with by the said resolutions and is entitled to vote on such resolutions despite his/her/its interest (if any) pursuant to the Articles of Association of the Company. 每名董事已就上述議決處理的事宜正式申報其利益 (如有) · 並儘管其利益 (如有) · 有權根據公司的章程細則就該等議決投票。

RESOLUTIONS: 議決:

- That it is in the interest and to the benefit of the Company that securities trading account(s) and the corresponding settlement account(s) be opened and maintained with UOB Kay Hian (Hong Kong) Limited (“**UOBKH(HK)L**”) and such account(s) be opened and maintained in the name of the Company (each securities trading account resolved to be opened as aforesaid is hereafter called the “**Securities Account(s)**”) in accordance with such terms and conditions which UOBKH(HK)L may from time to time prescribe for the Securities Account(s), including those set out in the client agreement, client information statement and other related or incidental supplementary documents (collectively the “**Agreement**”) prescribed by UOBKH(HK)L, the current ones of all of which have been provided to each Director for consideration. 根據大華繼顯 (香港) 有限公司 (“大華繼顯”) 可能不時就證券帳戶指定的有關條款及細則 (包括載於客戶協議、客戶資料表格及大華繼顯指定的其他相關或附帶的補充文件 (統稱 “**該協議**”) 的條款及細則 (已向每名董事提供全部此等文件的最新版本 · 以供他們審閱)) 在大華繼顯開立及維持證券交易帳戶及相應的結算帳戶 · 並以公司的名義開立及維持有關帳戶 (議決按照上述方式開立的每個證券交易帳戶稱為 “**證券帳戶**”) 符合公司的利益並對公司有利。
- That the person(s) named in paragraph 8 of the client information statement be and is/are hereby appointed as trading representative(s) of the Company (the “**Trading Representative(s)**”) in respect of the Securities Account(s) and be authorised to give orders or trading instructions (including instructions to effect payment, withdrawal and/or fund transfer) to UOBKH(HK)L in respect of any transactions under or through the Securities Account(s) for and on behalf of and in the name of the Company by oral instructions given by any one of them. 謹就帳戶及相應的結算帳戶委任客戶資料表格第 8 段指明的人士為公司的交易代表 (“**交易代表**”) 並謹授權該等人士透過你們當中任何一名人士的口頭指示 · 代表及以公司名義就證券帳戶下 (或透過證券帳戶) 進行的任何交易向大華繼顯給予指令或交易指示 (包括付款、提款及/或資金轉賬的指示) 。
- That the Agreement be approved and any one Trading Representative(s) be and is/are hereby authorised to complete, sign or execute on the Company’s behalf the Agreement and sign, execute (including where necessary affix the Company’s common seal to) and complete all other relevant documents on the Company’s behalf in connection with the opening and operation of the Securities Account(s) and the corresponding settlement account(s), including without limitation, the client information statement. 批准該協議 · 並授權任何一名交易代表代表公司填妥、簽署或執行該協議 · 並代表公司簽署、執行 (包括 (如有需要) 蓋上公章) 及填妥關於開立及操作證券帳戶及相應的結算帳戶的所有其他相關文件 (包括但不限於客戶資料表格) 。
- That the Company shall in respect of each Securities Account notify UOBKH(HK)L from time to time of any changes which may render the information in the client information statement untrue or misleading. 公司須就每個證券帳戶不時告知大華繼顯可能導致客戶資料表格內的資料不真實或具誤導成份的任何變更。
- That in respect of each Securities Account, UOBKH(HK)L be provided with any documents which UOBKH(HK)L may reasonably require in connection with the opening and operation of such Securities Account. 就每個證券帳戶而言 · 向大華繼顯提供大華繼顯就開立及操作該證券帳戶而可能合理要求的任何文件。

6. That a copy of any resolution of the directors, if purporting to be certified as correct by any director of the Company, shall, as between UOBKH(HK)L and the Company, be conclusive evidence of the passing of such resolution. 董事的任何決議的副本，如果宣稱為公司的任何董事所核證為正確的話，則在公司和大華繼顯之間，成為該決議已獲得通過的不可推翻的證據。

I hereby certify, declare and acknowledge that the foregoing is a true copy of the resolutions as entered in the minute book of the Company. Such resolutions were passed in accordance with the memorandum and articles of association (or other constitutional documents, as applicable) of the Company. 本人藉此核證、聲明和確認，前述的乃是登錄在公司的會議記錄本中的決議的真實副本。此等決議乃按照公司的組織章程大綱及章程細則(或其他適用的章程文件)通過。

I further certify that the signatures in paragraph 8 of the client information statement referred to in the above minutes are the signatures of the persons authorised to give instructions and receipts on the Company's behalf. 本人再藉此核證上述會議紀錄內所提及載於客戶資料陳述書中第 8 段的簽名，乃獲授權代表公司發出指示及收據之人等的簽名。



Chairman of the Meeting
會議主席

Name of Chairman 主席姓名：



Secretary of the Meeting
會議秘書

Name of Secretary 秘書姓名：

Dated this _____ of _____ of _____
日期 Day (日) Month (月) Year (年)

DEED OF GUARANTEE AND INDEMNITY 擔保及彌償契據

THIS DEED OF GUARANTEE AND INDEMNITY dated as of 此份日期為 _____ (the "Guarantee and Indemnity"), is entered into between: 的擔保及彌償契據 ("擔保及彌償契據") · 由下列雙方達成:-

- (1) **UOB KAY HIAN (HONG KONG) LIMITED** (the "Service Provider", being a licensed corporation securities dealer registered with the Securities and Futures Commission, having its registered office at 6/F, Harcourt House, 39 Gloucester Road, Hong Kong, which expression includes its successors and/or assigns where the context admits) (fax number: (852) 2501 0726); and **大華繼顯 (香港) 有限公司** ("服務提供者") (如文意許可的話, 此術語包括其繼任人及/或承讓人, 乃在證券及期貨事務監察委員會註冊的一名持牌證券交易商, 其註冊辦事處地址為香港告士打道三十九號夏愨大廈六樓)(傳真號碼: (852) 2501 0726); 及
- (2) _____, holder of ID / Passport No. 持有身份證 / 護照
_____ with correspondence address at 其通信地址在

_____ (the "Guarantor") ("擔保人")

IT IS AGREED as follows 現協議如下:

1. DEFINITIONS AND INTERPRETATION 定義與釋義

In this deed, the title of any provision shall not affect the meaning of that or any other provision and 在此契據, 任何條文的標題不會影響該條文或任何其他條文的意思, 及: -

"Address for Service" means the Hong Kong address for service identified on the signature page of this deed or such other address in Hong Kong as the Guarantor may notify to the Service Provider at least 10 days before such change; "供送達文件的地址" 意指此契據簽署頁上所識別的供送達文件的香港地址、或擔保人通知服務提供者的其他香港地址, 惟更改地址須不少於 10 日前通知;

"Client" means "客戶" 意指 _____, a company incorporated in 在 _____ 註冊成立的公司, with its registered office at 其註冊辦事處在 _____;

"Client's Liabilities" means all and any of the Client's obligations and liabilities to the Service Provider of any kind and in any currency, whether present or future, actual or contingent and whether as principal or surety or incurred alone or jointly with another, and for the purpose of clause 2.1(2) includes any purported obligation or liability of the Client to the Service Provider which if valid would be comprised in such obligations and liabilities; "客戶的責任" 意指客戶對服務提供者的任何種類及以任何貨幣的義務和責任, 不論該等義務和責任是目前的或是將來的、實有的或是或有的, 也不論以當事人身份或是以擔保人身份、還是單獨地招致或是與他人共同招致。為了此契據第 2.1(2) 條的目的, 也包括客戶對服務提供者的任何如為有效則包括在此等義務和責任內的聲稱的義務和責任;

"Expenses" means all expenses (on a full indemnity basis) from time to time paid or incurred by the Service Provider in connection with the Client's Liabilities or in taking, preserving or enforcing this deed with Interest from the date they are incurred until payment to the Service Provider; "開支" 意指不時由服務提供者支付或招致、與客戶的責任或者與接受、保持或執行此契據有關的全部開支(以完全彌償基準), 連同由招致開支的日期至到向服務提供者作出償付的期間的利息;

"Interest" means the rate per annum equal to 2 per cent above the prime rate charged by a bank selected or to be selected by the Broker from time to time or cost of fund to UOB Kay Hian (HK) Limited, whichever is higher. "利息" 意指由經紀所選定或不時選擇的銀行所收取的最優惠利率或大華繼顯的借貸成本以上加 2 釐的年利率, 以較高者為準。

2. GUARANTEE AND INDEMNITY 擔保及彌償

- 2.1 **Guarantee, indemnity and expenses:** In consideration of the Service Provider providing or continuing securities trading and/or margin financing facilities to the Client pursuant to an agreement between Client and the Service Provider (the "Agreement"), the Guarantor hereby unconditionally and irrevocably (1) guarantees to discharge on the Service Provider's demand from time to time the Client's Liabilities and to pay Interest on the amount demanded from the date of demand until payment to the Service Provider; (2) agrees as an additional and independent obligation that, if any of the Client's Liabilities are not recoverable from the Guarantor under the above guarantee for any reason, the Guarantor will be liable to the Service Provider as a principal debtor by way of indemnity for the same amount as that for which the Guarantor would have been liable had those Client's Liabilities been so recoverable (and the Guarantor will discharge that liability on the Service Provider's demand from time to time and will pay Interest on any amount demanded from the date of demand to the date of payment to the Service Provider) and (3) agrees to pay to the Service Provider on its demand from time to time

the Expenses. **擔保、彌償及開支：**鑑於服務提供者根據客戶與服務提供者之間的協議（“協議”）向客戶提供或者延續證券交易及/或保證金融資服務，擔保人在此無條件地和不可撤回地 (1) 擔保應服務提供者不時要求下，解除客戶的責任，並支付被要求的金額的利息，由要求日起計至到向服務提供者支付為止，(2) 作為一項附加及獨立的義務，如有任何客戶的責任因任何原因不可按上述的擔保向擔保人追討，則擔保人須以主要債務人身份、就相同金額以彌償方式，對服務提供者負有責任，如同若客戶的責任可以追討的話，則擔保人須就該金額對服務提供者須負有的責任般(而擔保人須應服務提供者不時要求下，解除該責任，並支付被要求的任何金額的利息，由要求日起計至到向服務提供者支付為止)及(3) 同意應服務提供者不時要求下，支付開支。

- 2.2 Continuing security:** The Guarantor's obligations under this deed are and will remain in full force and effect by way of continuing security until no sum remains to be paid under the Agreement and the Service Provider has irrevocably received or recovered all sums payable under the Agreement. Furthermore, those of the Guarantor's obligations are additional to any other right which the Service Provider may possess and may be enforced without first having recourse to the Client, any other person or any other security interest. **持續的保證：**擔保人在此契據項下的義務以持續保證的形式為並將維持十足的效力和效用，直至協議項下已無任何款項需要支付，且服務提供者已經不可撤回地收到或追回協議項下應付的所有款項。此外，擔保人的義務附加於服務提供者可能擁有的任何其他權利，並可以毋須先行向客戶、任何其他人士或任何其他擔保權益追討而行使。

3 PRESERVATION OF GUARANTOR'S LIABILITY 擔保人責任之保存

- 3.1 Action or inaction by Service Providers:** Without notice to the Guarantor and without releasing the Guarantor's liability, the Service Provider may (1) grant, discontinue, increase, reduce, terminate or vary in any way any agreement with or financial accommodation to the Client or any other person or any related commission, charges, interest or fees, (2) allow to the Client or to any other person any time, indulgence or other concession, (3) enter into, vary, release or refrain from taking, perfecting or enforcing any right or security which he/she/it holds or is to hold from the Client or any other person and (4) do or neglect to do anything which (but for this clause) might operate to release or reduce the Guarantor's liability under this deed. **服務提供者的作為與不作為：**在毋須通知擔保人、亦不解除擔保人的責任下，服務提供者可 (1) 以任何方式授予、中止、增加、減少、終止或更改任何與客戶或任何其他人士的協議、或任何給予客戶或任何其他人士的財務通融、或任何有關的佣金、收費、利息或費用，(2) 給予客戶或任何其他人士時間、寬容或其他退讓，(3) 達成、更改、解除、避免接受、避免使完備或避免執行服務提供者所持有的權利或保證、或服務提供者自客戶或任何其他人士所持有的權利或保證，及 (4) 履行或不履行 (如非有此條款) 或會解除或減少擔保人在此契據下的責任的任何事宜。

- 3.2 Other circumstances:** The Guarantor's liability to the Service Provider shall not be affected by any of the following, namely (1) any security given or payment made to the Service Provider being avoided or reduced under any law relating to insolvency, (2) any change in the Service Provider's, the Guarantor's or the Client's constitution or composition or any statutory or other compromise or arrangement with creditors affecting the Client, (3) the insolvency, incapacity, lack of authority, death or disability of the Guarantor or the Client or of any person purporting to act on behalf of either of them, (4) any other right or security held by the Bank at any time being defective, void or unenforceable, (5) where the Guarantor comprises more than one person, any such person (a) not executing or becoming bound by any of the provisions of this deed or (b) being released from or ceasing to be bound by any such provision, in each case whether or not by agreement with the Service Provider. **其他情況：**擔保人對服務提供者的責任不受以下的事宜所影響，即 (1) 給予服務提供者的任何保證、或向服務提供者作出的任何付款，在與破產清盤有關的法律下被免除或減少，(2) 服務提供者的、擔保人的、或客戶的憲章上的任何改變或組成成份的任何改變、或法例的任何改變、或影響客戶的其他與債權人的其他妥協或安排，(3) 擔保人或客戶或報稱代他們其中一位行事的任何人士之無償債能力、無行為能力、缺乏授權、死亡或殘疾，(4) 由銀行於任何時候持有的任何其他權利或保證不完備、無效或不能強制執行，(5) 當擔保人由超過一人組成時，任何此人士 (a) 不簽立此契據，或不為此契據的任何條文所約束，或 (b) 自任何該等條文中解除、或終止為任何條文所約束，不論每一個個案是否與服務提供者有協議。

- 3.3 Other defences:** The Guarantor's liability under clause 2.1(1) shall not be affected by anything which would not have released or reduced such liability had such liability been as a principal debtor instead of as a guarantor. **其他抗辯：**擔保人在此契據第 2.1(1) 條下的責任不受若作為主要債務人而非作為擔保人便不會解除或減少該等責任的事宜的影響。

4 PRESERVATION OF SERVICE PROVIDERS' RIGHTS 服務提供者的權利之保存

- 4.1 Preservation of security and rights:** This deed is in addition to any other right or security held by the Service Provider at any time and shall not merge with or prejudice or be prejudiced by any such right or security or any other contractual or legal rights of the Service Provider. **保證和權利之保存：**此契據乃附加於服務提供者於任何時候持有的任何其他權利和保證，且不會與任何此等權利和保證或服務提供者的任何其他合約的或法律的權利合併，也不會損害任何此等權利和保證或服務提供者的任何其他合約的或法律的權利，亦不會為任何此等權利和保證或服務提供者的任何其他合約的或法律的權利所損害。

- 4.2 Release conditional:** Any release, settlement, discharge or arrangement relating to the Guarantor's liability under this deed shall be conditional upon no payment, assurance or security received by the Service Provider in respect of the Client's Liabilities being avoided or reduced under any law relating to insolvency, and the Service Provider may after any such avoidance or reduction exercise all or any of its rights under this deed and/or any other rights which it would have been entitled to exercise but for such release, settlement, discharge or arrangement. **有條件解除：**與擔保人在此契據下的責任相關之任何解除、償付、釋放或安排，須以服務提供者就客戶的責任收到的付款、確保或保證不會在與破產清盤有關的法律下被免除或減少為條件，且服務提供者可在此等免除或減少之後，行使其在此契據下的全部或任何權利及/或任何如非有此等解除、償付、釋放或安排便會享有的其他權利。

- 4.3 Restrictions on Guarantor's rights:** Until all claims of the Service Provider in respect of the Client's Liabilities have been discharged in full, the Guarantor shall not (1) be subrogated to any of the Service Provider's rights or (2) take any steps to enforce any claim that he/she/it may have against the Client or (3) hold any security from the Client, in each case without receiving the Service Provider's prior written

consent. **擔保人的權利之限制：**服務提供者就客戶的責任的全部申索未完全解除之前，擔保人未經服務提供者的事先書面同意之前，不得 (1) 代位取得服務提供者的任何權利，或 (2) 採取任何步驟執行其可能擁有的針對客戶的任何申索，或 (3) 持有來自客戶的任何保證。

4.4 Other payment sources: The Service Provider may obtain payment of the Client's Liabilities from any sources in any order without releasing or reducing the liability of the Guarantor and may enforce this deed before or after resorting to any such other means of payment without entitling the Guarantor to any benefit. **其他付款來源：**服務提供者可自任何來源、以任何次序取得客戶的責任的付款，而不會解除或減少擔保人的責任，也可在使用任何此等其他付款方法之前或之後執行此契據，而不會令擔保人享有任何利益。

4.5 Continuation of accounts: The Service Provider may continue the account(s) of the Client or open a new account(s) despite discontinuance or demand under this deed and, whether or not the Service Provider continues such account(s) or opens any such account(s), the Guarantor's liability for the Client's Liabilities at the date of discontinuance or demand shall not be released or affected by any subsequent payment into or out of any of the Client's account(s) with the Service Provider. **帳戶的延續：**服務提供者可延續客戶的帳戶(等)或開立新的帳戶(等)，而不論在此契據下的中止或要求，且不論服務提供者延續此等帳戶(等)或開立任何此等帳戶(等)與否，擔保人就客戶的責任於中止或要求日的責任概不會因為其後於客戶在服務提供者的帳戶(等)所作的款項提存而解除，也不受其影響。

5 PAYMENTS 付款

5.1 Deductions: All payments by the Guarantor shall be made (1) in immediately available funds to the credit of such account as the Service Provider may designate and (2) in full without any set-off, counterclaim or (except as required by law) tax or other deduction. If any such deduction is so required, the Guarantor shall simultaneously pay to the Service Provider such amount as is necessary to ensure that the Service Provider receives a net sum equal to what it would have received had no deduction been made. **扣減：**全部由擔保人所作的付款，須(1)以即時可用的資金存入服務提供者或會指定的帳戶，及(2)全數支付，不得有任何抵銷、反申索或(除非為法律所要求)稅項或其他扣減。如需要作出任何此等扣減，擔保人須同時向服務提供者支付必要的金額，以確保服務提供者收到的淨額，等同於沒有扣減時會收到的金額。

5.2 Set off: The Service Provider shall be entitled at any time or times without notice (both before and after demand) to set off any liability of the Guarantor to the Service Provider against any liability of the Service Provider to the Guarantor (in either case whether actual or contingent, present or future and irrespective of the currency or place of payment) and may for such purpose convert or exchange any currency. **抵銷：**服務提供者有權隨時或在任何時段沒有給予通知下(作出要求前和後)，把擔保人對服務提供者的責任與服務提供者對擔保人的責任作抵銷(在每一個情況，不論實有的或是或有的、是目前的或是將來的，也不論付款的貨幣或地點)，也可為此目轉換或兌換任何貨幣。

5.3 Restriction: Despite any term to the contrary in relation to any deposit or credit balance at any time on any account of the Guarantor with the Service Provider, no such deposit or balance shall be repayable or capable of being assigned, mortgaged, charged or otherwise disposed of or dealt with by the Guarantor before every liability of the Guarantor to the Service Provider has been discharged, but the Service Provider may permit any withdrawal without affecting the continued application of this clause. **限制：**縱使就擔保人在服務提供者的任何帳戶在任何時間的任何存款或貸項結餘有任何相反的條款，在擔保人對服務提供者的每一項責任未解除之前，此等存款或貸項結餘不得付還、也不能被擔保人轉讓、作按揭、作押記或作其他處置或處理，但服務提供者可容許不會影響本條繼續適用的提款。

5.4 Appropriation: The Service Provider may (1) apply any payments received in respect of the Client's Liabilities, Interest or Expenses in or towards discharge of such part of all or any of them as it thinks and (2) place any money received under this deed to the credit of a securities realised account for so long as it thinks fit without any obligation in the meantime to apply such money in or towards discharge of any of the Client's Liabilities, Interest or Expenses. **撥用：**服務提供者可(1)就客戶的責任、利息或開支收到的付款，以服務提供者認為恰當的方式，用在或用於解除它們部份或全部，及(2)將此契據下收到的任何金錢，只要服務提供者認為恰當，置於一個證券變現帳戶的貸項，而期間無任何義務將此等金錢用在或用於解除任何客戶的責任、利息或開支。

5.5 Currency indemnity: If the Service Provider at any time receives a payment (including by set-off) in the wrong currency and the amount of the right currency which it is able to buy (after deduction of any relevant costs) with the amount received falls short of the amount payable in the right currency, the Guarantor as a separate and independent obligation shall on demand from time to time indemnify the Service Provider against such shortfall and pay Interest on such shortfall from the date of such receipt until such shortfall is paid. **貨幣彌償：**如服務提供者在任何時候以錯誤的貨幣收到付款(包括通過抵銷)，而以收到的金額能買到(經扣除任何相關收費)的正確貨幣的金額少於以正確貨幣應付的金額，則擔保人作為一項分開及獨立的義務須不時在要求下針對短付的金額對服務提供者作出彌償，並就短付的金額支付由收款日至支付短付金額日期間的利息。

5A REPRESENTATIONS AND WARRANTIES 陳述及保證

5A.1 The Guarantor hereby represents and warrants to the Service Provider as follows: 擔保人特此向服務提供者陳述及保證如下：

- (1) The Guarantor has the power to enter into, exercise his/her/its rights and perform and comply with his/her/its obligations under this deed. 擔保人有權訂立此契據、行使其在此契據下的權利，以及履行和遵守其在此契據下的義務。
- (2) All actions, conditions and things required to be taken, fulfilled and done (including the obtaining of any necessary consents) in order to enable or ensure the following have been taken, fulfilled or done: 為了能夠或確保以下各項而需要採取、滿足和從事的所有行動、條件和事宜(包括取得任何所需同意)均已經採取、滿足和從事
 - (a) the Guarantor lawfully enters into, exercises his/her/its rights and perform and comply with his/her/its obligations under this deed, 擔保人合法地訂立此契據、行使其在此契據下的權利，以及履行和遵守其在此契據下的義務，
 - (b) that those obligations are valid, legally binding and enforceable, and 該等義務有效、具有法律約束力及可強制執行；及

- (c) that those obligations rank and will at all times rank at least equally and rateably in all respects with all his/her/its other unsecured indebtedness except for such unsecured indebtedness as would, by virtue only of the operation of law, be preferred in the event of his/her/its winding-up, dissolution or bankruptcy. 該等義務現時和將來所有時候至少平均地和按比例地在所有方面與擔保人的其他無擔保債項地位相同，但該等無擔保債項僅因為法律的實施在擔保人清盤、解散或破產時優先的除外。
- (3) The Guarantor's execution and performance of or compliance with his/her/its obligations under this deed do not and will not violate or exceed any restriction granted or imposed by any law to which the Guarantor is subject or its constitutional documents, or result in the existence of, or oblige it to create, any security over his/her/its assets. 擔保人簽署此契據以及履行或遵守其在此契據下的義務現時和將來均不會違反擔保人受其約束的任何法律或其組織文件或超越該等法律或組織文件所授予或施加的任何限制，或導致擔保人的任何資產上存在抵押或使擔保人有義務在其資產上設置任何抵押。
- (4) Each of the representations and warranties in this Clause 5A will be correct and complied with in all respects so long as any sum remains payable under the Agreement as if repeated then by reference to the then existing circumstances. 只要協議下仍有任何應付款項，本第5A條的每一陳述和保證將在所有方面正確和得到遵守，如同在提及當時存在的情形時得到重複一樣。

6 COMMUNICATIONS 通訊

- 6.1 **Manner:** All communications under this deed must be in writing. Any communication may be made by prepaid post or fax delivered to the Service Provider or the Guarantor at its address or fax number shown on page 1 (for the Service Provider) or the signature page (for the Guarantor) unless it has communicated another address or fax number to the others in which case it must be sent to the last address or fax number so communicated. Communications to the Guarantor may also be sent in such manner or delivered to a place of business for it last known to the Service Provider or the Address for Service. **方式：**此契據下的全部通訊，須以書面方式進行。任何通訊，除非已經將另外的地址和傳真號碼傳達予對方(在此情況，必須送到已經傳達的最新的地址和傳真號碼)，否則可以預付郵費郵遞或以傳真送達予服務提供者或擔保人，至(服務提供者而言)其載於首頁的地址和傳真號碼，或至(擔保人而言)其載於簽署頁的地址和傳真號碼。給予擔保人的通訊，也可以此等方式發送或送達到服務提供者最後所知的營業地點、或到供送達文件的地址。
- 6.2 **Delivery:** A communication to the Guarantor by post will be deemed made on the day after posting (but if to another country five days after posting). A communication to the Guarantor by fax will be deemed made when the Service Provider's fax machine records a complete transmission. A communication by the Guarantor will be deemed made only when actually received by the Service Provider. **送達：**以郵遞對擔保人作通訊，寄出後翌日視作送達(但如寄往另一個國家，則寄出後五日)。以傳真對擔保人作通訊，則服務提供者的傳真機作出完整發送的記錄時視作送達。擔保人作出的通訊，則只在服務提供者實際收到該通訊才視作送達。
- 6.3 **Probate/administration:** Until the Service Provider receives notice in writing of the grant of probate or administration of the Guarantor, any communication by the Service Provider sent or delivered in accordance with clause 6.1 shall be deemed served on the Guarantor or his personal representative(s). **遺囑認證/遺產管理：**服務提供者收到擔保人的授予遺囑認證書或遺產管理書的書面通知前，按照此契據第6.1條由服務提供者發送或送達的通訊，視作已送達擔保人或其遺產代理人。

7 LAW, JURISDICTION AND TRANSFER 法律、司法管轄權及轉移

- 7.1 **Law and jurisdiction:** This deed is governed by and will be construed in accordance with the laws of the Hong Kong Special Administrative Region of the People's Republic of China ("Hong Kong"). The Guarantor irrevocably agrees that (1) the Hong Kong courts are to have non-exclusive jurisdiction to settle any disputes and to entertain any suit, action or other proceedings arising out of or in connection with this deed and (2) the Address for Service shall be an effective address for service of such proceedings in the Hong Kong courts on the Guarantor. **法律及司法管轄權：**此契據受香港特別行政區(“香港”)的法律管限，並按照香港的法律闡釋。擔保人不可撤回地同意(1)香港法院有非獨有司法管轄權解決源於此契據或與此契據有關的爭議，及處理源於此契據或與此契據有關的任何訟案、訴訟或其他法律程序，及(2)供送達文件的地址，乃擔保人在香港法院的法律程序中的有效可供送達文件的地址。
- 7.2 **Transfer:** The Service Provider may (1) assign and/or transfer any one or more of its rights and/or obligations under this deed or under any other agreement or document relating to the Client's Liabilities without the consent of the Guarantor and (2) give such information relating to the Guarantor or this deed as he/she/it thinks fit to any person who proposes taking an assignment from him/her/it and/or entering into contractual relations with him/her/it with respect to this deed. The Guarantor may not assign or transfer all or any of his/her/its rights and/or obligations under this deed or under any other agreement or document relating to the Client's Liabilities. **轉移：**服務提供者可(1)轉讓及/或轉移其在此契據下或在有關於客戶的責任的任何其他協議或文件下的任何一項或以上的權利及/或義務，而毋須擔保人同意，及(2)將該等與擔保人或此契據有關的資料，以服務提供者認為恰當的方式，給予建議自服務提供者接受轉讓的任何人士及/或與服務提供者達成與此契據有關的合約關係的任何人士。擔保人不得轉讓或轉移其在此契據下或在有關於客戶的責任的任何其他協議或文件下的任何一項或以上的權利及/或義務。

8 MISCELLANEOUS 雜項

- 8.1 **Delay or omission:** Neither Service Provider's rights and powers under this deed will be affected or impaired by any delay or omission by the Service Provider in exercising them or any previous exercise of any such rights or powers. **延遲或遺漏：**服務提供者在此契據下的權利及權力，不會受服務提供者在執行此等權利及權力時、或任何先前執行此等權利及權力時的任何延遲或遺漏所影響或削弱。
- 8.2 **Interest:** Interest payable by the Guarantor will accrue (both before and after judgment) on a daily basis and on the basis of a 360 or 365 day year and will be compounded (both before and after judgment) in each case according to the usual practice of the Service Provider. **利息：**擔保人應付的利息會以每日基準及以一年360日或365日基準累算(裁決之前及之後)，且在每個情況按照服務提供者一貫做法以複利計算(裁決之前及之後)。

- 8.3 More than one Guarantor:** Where more than one Guarantor enters into this deed, including where the Guarantor comprises partners in a firm, (1) the liability of each Guarantor shall be joint and several, (2) any communication under this deed shall be deemed to be served on every Guarantor if served on any Guarantor and (3) if any person is admitted as a partner of such firm the other partners shall procure that such new partner undertakes to adopt and be bound by this deed as if he had originally been a party to it. **多於一位擔保人：**當多於一位擔保人達成此契據，包括擔保人由一個商號的合夥人組成，(1) 每一位擔保人的責任是共同及各別的，(2) 此契據下的任何通訊，如送達任何擔保人，則視作送達每一位擔保人，及 (3) 如任何人士獲接納成為該商號的合夥人，其他合夥人須促使該名新合夥人承諾採納此契據並受其約束，如同他是此契據原本的一方般。
- 8.4 Severability:** Each of the provisions of this deed shall be severable and distinct from one another and if at any time any one or more of those provisions is or becomes invalid, illegal or unenforceable the validity, legality and enforceability of the remaining provisions shall not be affected or impaired. **可分割性：**此契據的每條條文，可與另一條分割及區分。如在任何時候任何一條或以上的條文為或變為失效、不合法或不能執行，其餘條文的有效性、合法性及可執行性均不受影響或削弱。
- 8.5 Language:** In the event of any discrepancy between the English and the Chinese version of this deed, the English version shall prevail. **語言：**如此契據的英文文本與中文文本有任何不一致之處，以英文文本為準。
- 8.6 Certificates:** A certificate signed by an official of the Service Provider as to the amount due or owing from the Client or the Guarantor shall be conclusive evidence against the Guarantor except in the case of manifest error or on any question of law. **證書：**由服務提供者高級職員就客戶或擔保人到期或欠結的金額所簽署的證書，除了有明顯錯誤或有法律上的疑問外，乃針對擔保人的不可推翻的證據。
- IN WITNESS whereof this Deed has been executed by the Guarantor and is intended to be and is hereby delivered on the day and year first above written. 此契據已由擔保人簽立，並旨在及特此於文首所載日期交付，特此證明。

(For individual guarantor only, No company chop is required 僅適用於個人擔保人，無需公司蓋章)

<i>Name of Guarantor 擔保人姓名</i>	<i>Signed and delivered by 由擔保人簽署及交付</i>
--------------------------------	--

In the presence of 於見證下

<i>Name of witness 見證人姓名</i>	<i>Witness Signature 見證人簽署</i>
------------------------------	--------------------------------

ID / Passport No. of Witness 見證人身份證 / 護照號碼：_____

Address 地址：_____

UOB Kay Hian (Hong Kong) Limited
大華繼顯 (香港) 有限公司
6/F Harcourt House, 39 Gloucester Road, Hong Kong
香港告士打道三十九號夏慤大廈六樓

CE No. 編號 : AAW 261

Dear Sirs 敬啟者 :

Standing Authority for Margin Account 保證金戶口常設授權

This letter of authority covers all securities deposited by or on our behalf with UOB Kay Hian (Hong Kong) Limited or any other person as security or collateral for the provision of financial accommodation by UOB Kay Hian (Hong Kong) Limited on our margin trading account with UOB Kay Hian (Hong Kong) Limited ("our securities collateral"). 本授權函件涵蓋代表吾等存放於大華繼顯 (香港) 有限公司或其他人士作為抵押或抵押品的所有證券，藉此大華繼顯 (香港) 有限公司為吾等在大華繼顯 (香港) 有限公司開立的保證金買賣戶口提供財務安排 (「吾等證券抵押品」)。

We in full understanding of the contents of this Authority hereby authorise 吾等在完全明白本授權的內容下特此授權 :-

1. UOB Kay Hian (Hong Kong) Limited to deposit any of our securities collateral with an authorised institution (as defined by the Banking Ordinance) as collateral for financial accommodation provided to UOB Kay Hian (Hong Kong) Limited; 大華繼顯 (香港) 有限公司將任何吾等證券抵押品存放於認可機構 (根據《銀行條例》所作之定義)，作為向大華繼顯 (香港) 有限公司提供財務安排的抵押品；
2. UOB Kay Hian (Hong Kong) Limited to lend or deposit our securities collateral to or with (1) any person in accordance with the rules and regulations of The Stock Exchange of Hong Kong Limited (the "Exchange") or (2) any person in accordance with rules and regulations of the Hong Kong Securities Clearing Company Limited ("HKSCC") or (3) any person of a class specified in the rules of the Securities and Futures Commission (for the purposes of section 148 of the Securities and Futures Ordinance (Chapter 571 of the Laws of Hong Kong)); 大華繼顯 (香港) 有限公司將吾等證券抵押品借予或存放於 (1) 根據香港聯合交易所有限公司 (「聯交所」) 規則及規例下的任何人士或 (2) 根據香港中央結算有限公司 (「香港結算」) 規則及規例下的任何人士或 (3) 根據證券及期貨事務監察委員會規則下所載述有關類別的任何人士 (就香港法例第 571 章證券及期貨條例第 148 條而言)；
3. UOB Kay Hian (Hong Kong) Limited to deposit our securities collateral with HKSCC as collateral for the discharge and satisfaction of UOB Kay Hian (Hong Kong) Limited's clearing obligations and liabilities; 大華繼顯 (香港) 有限公司將吾等證券抵押品存放於香港結算，作為該機構之抵押品，以履行並完成大華繼顯 (香港) 有限公司的結算責任；
4. UOB Kay Hian (Hong Kong) Limited to deposit our securities collateral with the SEHK Options Clearing House Limited as collateral in respect of UOB Kay Hian (Hong Kong) Limited's transactions in or relating to options contracts. 大華繼顯 (香港) 有限公司將吾等證券抵押品存放於聯交所期權結算所有限公司，作為大華繼顯 (香港) 有限公司的有關證券交易或期權合約的抵押品。
5. UOB Kay Hian (Hong Kong) Limited to do all acts and things which are necessary for or incidental to the performance of the above activities or any of them. 大華繼顯 (香港) 有限公司將進行履行上述活動或其中任何活動必須的所有行為及事情。

We declare, undertake and warrant that we have the absolute ownership of our securities collateral free from all liens, charges and encumbrances (save and except those that may be created under the Margin Client Agreement between us and UOB Kay Hian (Hong Kong) Limited) during the continuance in force of this Authority. 吾等聲明、承諾及保證，在此授權繼續有效期間內，吾等以沒有一切留置權、押記及產權負擔的方式 (除在吾等與大華繼顯 (香港) 有限公司訂立的保證金客戶協議下可能增設的該等留置權、押記及產權負擔外)，對吾等的證券抵押品有絕對擁有權。

We hereby agree to indemnify and to keep indemnified, UOB Kay Hian (Hong Kong) Limited and its associated entity from and against all losses, damages, interests, costs, expenses, actions, demands, claims or proceedings of whatsoever nature which they (or any of them) may incur, suffer and/or sustain as a consequence of any transaction undertaken in pursuance of this Authority. 吾等謹此同意向大華繼顯 (香港) 有限公司及其關聯實體彌償 (並使大華繼顯 (香港) 有限公司及其關聯實體一直獲得彌償) 其 (或其中任何一方) 因根據此授權進行的任何交易而可能產生、蒙受及/或持續的任何性質的所有損失、損害、利息、成本、開支、法律行動、付款要求、索償或法律程序。

This Authority may be revoked by us at any time by serving on UOB Kay Hian (Hong Kong) Limited 30 days' prior written notice to that effect. Such revocation shall not take effect until actual receipt by UOB Kay Hian (Hong Kong) Limited of such written notice and shall not affect any transaction undertaken by UOB Kay Hian (Hong Kong) Limited pursuant to this Authority prior to such revocation taking effect. 此授權可由吾等在任何時間透過給予大華繼顯 (香港) 有限公司 30 天有關的事先書面通知撤回。在大華繼顯 (香港) 有限公司實際收到有關書面通知前，此項撤回將不會生效，而此項撤回將不影響在此項撤回生效前大華繼顯 (香港) 有限公司根據此項授權進行的任何交易。

Where we have not been classified as a "professional investor" pursuant to the Securities and Futures Ordinance (Chapter 571 of the Laws of Hong Kong), the UOB Kay Hian (Hong Kong) Limited shall treat any such Authority as effective up to and including the last day of the current calendar year and shall expire thereafter unless it has been renewed in the following manner: 如吾等並未根據《證券及期貨條例》(香港法例第 571 章) 被列為一名「專業投資者」，則大華繼顯 (香港) 有限公司將視任何有關授權為截至 (及包括) 本曆年的最後一天有效，而除非其已按以下方式重續，否則將在隨後屆滿：

- (1) before the expiry date, UOB Kay Hian (Hong Kong) Limited receives our consent in writing to renew such Authority for a period not exceeding 12 months; or 在屆滿日期前，大華繼顯 (香港) 有限公司接獲吾等關於重續此授權的書面同意，而期間為不超過 12 個月；或

- (2) such Authority shall be deemed to have been renewed if: 如出現以下情況，則該授權將被視作已重續：
- (a) UOB Kay Hian (Hong Kong) Limited gives a written notice to us at least 14 days before the expiry of the Authority to inform us of the impending expiry and that the Authority will be renewed upon expiry for a period not exceeding 12 months on the same terms and conditions unless we object; and 大華繼顯（香港）有限公司在授權屆滿前至少 14 天向吾等發出書面通知，告知吾等到期日將至，而除非吾等反對，否則該授權將按相同的條款及細則在屆滿時重續不超過 12 個月期間；而
 - (b) We do not object to the renewal of the Authority before its expiry. 吾等不反對在授權屆滿前重續授權。

Where the Authority is deemed to have been renewed, UOB Kay Hian (Hong Kong) Limited will give us a written confirmation of the renewal of the Authority within one week after the expiry of the previous Authority. 如授權被視作已重續，則大華繼顯（香港）有限公司將在先前的授權屆後一個星期內向吾等發出重續授權的書面確認。

Where we have been classified as a “professional investor” pursuant to the Securities and Futures Ordinance (Chapter 571 of the Laws of Hong Kong, UOB Kay Hian (Hong Kong) Limited shall treat any such Authority as continuing and it shall remain in effect unless and until specifically revoked by us in writing. 如吾等根據《證券及期貨條例》（香港法例第571章）被列為一名「專業投資者」，則除非及直至吾等明確以書面撤回，否則大華繼顯（香港）有限公司將視任何有關授權為一項持續授權，而有關授權將一直有效。

Chinese version of this Authority is only for reference. The English version of this Authority shall prevail in the event of inconsistency between the two versions. 此授權的中文版僅供參考。如中英文本有任何歧義，須以此授權的英文本為準。

We confirm that this Authority has been explained to us and we fully understand the contents of this Authority and have sought, or have had the opportunity to seek legal advice concerning its contents and effect. This authority does not cover any consideration which we must pay or be paid for the lending or depositing by UOB Kay Hian (Hong Kong) Limited of any of our securities collateral. Any such consideration must be set in a separate agreement between us and UOB Kay Hian (Hong Kong) Limited. 吾等確認已向吾等解釋此授權，而吾等完全明白本授權的內容，並已尋求（或已有機會尋求）關於其內容及作用的獨立法律意見。本授權函件並不涉及就吾等因大華繼顯（香港）有限公司借、貸或存放吾等任何證券抵押品而須支付或收取的任何代價。任何有關代價必須由吾等與大華繼顯（香港）有限公司另行訂立協議中列載。

UOB Kay Hian (Hong Kong) Limited is accountable to us for the return of any securities lent or deposited under this authority. 有關根據本授權函件而借、貸或存放之證券，大華繼顯（香港）有限公司仍須向吾等負責歸還。

We understand that a third party may have rights to our securities collateral, which UOB Kay Hian (Hong Kong) Limited must satisfy before our securities collateral can be returned to us. 吾等明白吾等的證券抵押品可能受制於第三者之權利，而大華繼顯（香港）有限公司須於全數抵償該等權利後，方可將吾等的證券抵押品退回吾等。

This authority is valid for a period of 12 months from the date hereof. 本授權函件自本函件日期起生效，有效期只為十二個月。

Date 日期: _____

Margin Account Name 保證金融資戶口名稱: _____

Client Applied Facility Limit 客戶申請融資限額: HK\$ 港幣 _____

Client Applied Facility Currencies 客戶申請融資幣別:

☐ HKD 港幣 ☐ USD 美元 ☐ CNY 人民幣 ☐ Others 其他: _____

The margin trading facility ("Margin Facility") provided to you will be subject to availability of funds. The Margin Facility will be provided in accordance with the terms and conditions of your Margin Client Agreement (as may be varied, amended or supplemented from time to time. A copy of which is available on <http://www.uobkh.com.hk>) and also subject to the terms and conditions set out herein. In the event of any inconsistency between the provisions of this letter and those of the Margin Client Agreement, the provisions herein shall prevail. 我們向閣下提供保證金融資(“保證金融資”)的安排將視乎本公司的資金狀況而定。是項保證金融資的提供將按照閣下所簽署的保證金戶口協議內的條款(經不時更改、修訂或補充,可經由 <http://www.uobkh.com.hk> 取得)和此信貸融資書內的條款。若保證金戶口協議內的條款和此信貸融資書內的條款有所抵觸或不協調,則以此信貸融資書為準。

The Margin Facility is at all times to be secured by stocks, shares or any other securities acceptable to us as collateral. The loan outstanding should not be greater than the lower of: 無論任何時候包括交易時段,戶口的欠款不應比以下較低的一項為多:

- (i) the facility limit as stated in next page (the said limit is subject to variation at our sole discretion); and 次頁的融資限額(本公司有權隨時調整所述限額);
- (ii) such percentage of the value or the counter limit of each collateral, whichever is lower (as determined by us) of such collateral as shall be acceptable to us (such percentage and the basis of the calculation of such value is subject to variation at our sole discretion). 本公司接納的抵押品市值的某個百分點或每一抵押品之融資上限(以較低者為準)(由本公司決定,本公司有權隨時調整這某個百分點和計算的基礎)。

Interest will be charged on the outstanding loan balance at the Interest Rate as stated above and will be calculated on a daily basis compounded monthly and be payable by you on the last day of each calendar month and upon any demand being made by us. The Interest Rate is subject to variation at any time or times at our sole discretion. You will, of course, be advised of any changes in the Interest Rate except in the case when the prime rate changes. 戶口欠款需按上述利率計算每日利息,每月累計和需於每月最後的一天繳付,或按本公司要求而繳付。本公司有權於任何時間調整利率。除了優惠利率的更改,每當利率有任何變動,本公司定會通知閣下。

Despite any other provision of this letter, we shall be entitled, at any time or times by notice to you without giving any reason, to require immediate repayment of the outstanding loan and payment of interest and other amounts owing under the Margin Facility and/or to cancel the Margin Facility (our "Demand/Cancellation Rights"). 不論此融資書的任何條款,本公司有權於任何時候向閣下提出通知,不須任何理由,要求閣下立即償還欠款和利息和在此保證金融資內所欠任何款項,和/或取消是項保證金融資(本公司的要求/取消權力)。

Subject to our Demand/Cancellation Rights, the Margin Facility will be in force and be binding from the date of this application approved. 在確保本公司的要求/取消權力下,是項保證金融資將於此信貸融資申請書被批核的日期起生效。

We will not at any time be obliged to provide the Margin Facility to you. In particular, we may not provide any Margin Facility to you if any of the following circumstances should arise:- 我們在任何時間均無義務向閣下提供保證金融資。尤其,如出現以下任何一種情況,則我們可能不會向閣下提供任何保證金融資:-

- (i) you are in default of any provisions of the Margin Facility; 閣下違反保證金融資的任何條文;
- (ii) in our opinion there is or has been a material adverse change in your financial condition or in the financial condition of any person which might adversely affect your ability to discharge your liabilities or perform the Client's obligations under the Margin Facility; 我們認為,閣下的財務狀況或任何人士的財務狀況發生重大不利變動,並可能對閣下解除閣下的責任,或履行客戶在保證金融資下的義務的能力構成重大不利影響;
- (iii) making an advance would cause the applicable Facility Limit to be exceeded; or 提供墊款將導致超出適用的融資限額;或
- (iv) we in our absolute discretion considers it prudent or desirable to do so. 我們絕對酌情認為這樣做屬審慎及合適。

We reserve the right to assign any of our rights and to transfer any of our obligations in respect of the Margin Facility. You undertake to execute any novation or other agreement reasonably requested by us in order to effect such transfer or novation. 我們保留是項保證金融資的轉讓權。為方便本公司執行轉讓，閣下保證在我們合理的要求下會簽署和執行約務更新或任何協議。

This letter shall not be effective until such time as it is accepted and agreed to by us, such acceptance and agreement to be evidenced by the signature of one of our authorized signatories in the space provided below. 此信貸融資書不得生效，直至我們接納及協定的有關時間為止。此項接納及協議將由我們其中一名授權簽字人在以下提供的空白位置上簽署證明。

This letter shall be governed by and construed in accordance with the laws of the Hong Kong Special Administrative Region of the People's Republic of China. 此信貸融資書是以中華人民共和國香港特別行政區法律為依歸，受香港法律管制。

You will receive an offered terms after our approval. You understand that the submission and acceptance of this letter in no way implies approval for the margin limit and we reserve the unconditional right to reject this application without giving any reasons whatsoever. 閣下將會收到經本公司批核後的信貸條件。閣下需了解遞交與接受本信貸融資書並不代表融資限額的批核，本公司保留在不提供任何理由的情況下拒絕此申請的權利。

Chinese version of the Margin Facility is only for reference. The English version of the Margin Facility shall prevail in the event of inconsistency between the two versions. 保證金融資的中文本僅供參考。中英文本若有任何歧義，須以保證金融資的英文本為準。

Below will be filled in by UOB Kay Hian (HK) Limited 以下將由大華繼顯(香港)有限公司填寫

Facility Limit Offered by UOB Kay Hian 批准融資限額： HKD 港幣

Interet Rate Offered by UOB Kay Hian 批准融資利率：

☐ HKD 港幣： _____ % over Prime Rate or _____ % over cost of fund (*as determined by us from time to time*), whichever higher 最優惠利率 + _____ % 或資金成本+ _____ % (由本公司不時決定並取較高者)

☐ USD 美元： _____ % over Prime Rate or _____ % over cost of fund (*as determined by us from time to time*), whichever higher 最優惠利率 + _____ % 或資金成本+ _____ % (由本公司不時決定並取較高者)

☐ CNY 人民幣： _____ % over Prime Rate or _____ % over cost of fund (*as determined by us from time to time*), whichever higher 最優惠利率 + _____ % 或資金成本+ _____ % (由本公司不時決定並取較高者)

☐ Others 其他： _____

A. Signature for account opening 開戶簽名

We hereby acknowledge that 吾等謹此確認：

1. We have read, fully understood and agreed with the declaration statements under Section 14. Acknowledgement and Consent 吾等已閱讀、完全理解並同意第14節「確認及承諾」下的聲明。
2. **(Only applicable to margin account) The Authorisation Letter From Margin Clients** has been fully explained to us and we fully understand the contents of this letter. (僅適用於保證金賬戶) 「保證金客戶發出之授權函件」已充分解釋給吾等，吾等完全此函件的內容。
3. **(Only applicable to margin account)** We confirm our application and acceptance of the terms and conditions in the **Facility Application Letter** (僅適用於保證金賬戶) 吾等確認吾等的申請並接受「信貸融資申請書」中的條款和條件。

Name of Client 客戶姓名 _____

Name of Authorized signor 獲授權簽署人姓名	Signature with Business Chop 簽署及業務印章
------------------------------------	--------------------------------------

In the presence of 於見證下

Name of witness 見證人姓名	Witness Signature 見證人簽署
License number 持牌編號 (如適用)	

Dated this _____ of _____ of _____
日期 _____ Day (日) _____ Month (月) _____ Year (年)

B. Signature(s) for authorized trader(s) 獲交易授權人士簽名

The trading authorization also applies to Stock Options Account (if any) 此交易授權亦適用於股票期權交易戶口 (如有)

Name (English & Chinese) 姓名(英文及中文)	HKID No. (Or Passport No. & country of issue) 香港身份證號碼 (或護照號碼及簽發地點)	Position 職位	Specimen Signature of Authorised Person 獲授權人士簽名式樣
(1)			
Contact No. 電話號碼		E-Mail Address 電郵地址	
(2)			
Contact No. 電話號碼		E-Mail Address 電郵地址	
(3)			
Contact No. 電話號碼		E-Mail Address 電郵地址	
(4)			
Contact No. 電話號碼		E-Mail Address 電郵地址	

FOR OFFICIAL USE ONLY 公司專用			
AE Name	Commission		
	Hong Kong (HK\$)	US (US\$)	Other market (Specify):
AE Code:	Manual % Min \$	Manual % Min \$	Manual % Min \$
	Online % Min \$	Online % Min \$	Online % Min \$
Approved by management:			
Client Introduced by	AE (tick) ☐		
	Staff (specify name):		
	Other Client (specify name):		
How long has the Client been known to the introducer?			
Do you know the Client personally?			
How long has the Client been known to you?			
I hereby declare to the best of my knowledge and belief, that the information provided by the Client in this Client Trading Agreement is true, complete, and correct. I also confirmed that all the client signature is signed. I confirmed the date of certifying the supporting documents is the same as the date of this declaration unless I have specified the date of certification on each certified true copy of supporting document.			
Signature by AE		Date	
Credit/Margin Limit Suggested: Cash account HK\$100,000 ☐ HK\$200,000 ☐ Margin account HK\$100,000 ☐ HK\$200,000 ☐ Others: (Please specify) _____ Reason for Proposal		Reward clicks to client(s) Yes ☐ No ☐	Show reference cost on Statement Yes ☐ No ☐
If over HK\$200,000, pass to Credit Department or Management for approval _____ Approved by _____ Date: _____			
Commission retained (Y / N)			

Checked by Client Services Staff:

Date:

Date of Account Opening:



UOB KAY HIAN (HONG KONG) LIMITED

大華繼顯（香港）有限公司

6/F Harcourt House, 39 Gloucester Road, Hong Kong | Tel: (852) 2136 1818 | Fax: (852) 2501 0726
www.uobkh.com.hk