

# CORPORATE ACCOUNT APPLICATION

## 公司賬戶開戶申請書

**Blackwell Global Securities Limited**

博威環球證券有限公司

**CE No.: BGX460****Blackwell Global Futures Limited**

博威環球期貨有限公司

**CE No.: BGX296****Blackwell Global Asset Management Limited**

博威環球資產管理有限公司

**CE No.: BJU094****Client Choice of Account Type** 客戶選擇之賬戶類別

- Securities Account 證券戶口
- Futures Account 期貨戶口
- Asset Management Account 資產管理戶口

**Please choose the means of communication and statement delivery** 請選擇通訊及結單寄送方法:

- By Email 電郵
- By Post (Monthly fee: HK\$120) 郵寄 (月費: 港幣\$120)

**Please choose the language of communication** 請選擇通訊語言:

- Traditional Chinese 繁體中文
- Simplified Chinese 簡體中文
- English 英文

**To comply with anti-money laundering regulations, you are required to submit the following documents:**

為遵守國際反洗錢條例, 申請開戶需遞交以下證明文件:

All copies must be certified true by a licensed representative of our company, public notary, practicing lawyer, practicing accountant, company secretary, company director or Justice of the Peace.

所有影印本須經本公司持牌代表、公證人、執業律師、執業會計師、公司秘書、公司董事或太平紳士認證。

No. 號碼	Document 所需文件	Collected 已收
1	<p><b>Proof of Identity - for all authorized persons, authorized traders, guarantor, directors, major shareholders (with 10% or more voting rights), partners, sole proprietor and ultimate beneficial owners (until finding natural person)</b></p> <p>身份證明 - 全體獲授權人士、獲授權交易員、擔保人、董事、股東(投票權超過10%)、合夥人、獨資經營者及最終受益人(直至找到自然人)均須提供</p> <p><b>Certified true copy of your valid passport or ID</b> 有效期內護照或身份證認證影印本</p> <ul style="list-style-type: none"><li>The copy must be fully legible 影印本內容須完全清晰可讀</li><li>The copy must carry a clear and identifiable photograph 影印本須附有清晰、可識別照片</li><li>The holder of the proof of identity must sign on the copy 身份證明持有人須在影印本簽署</li></ul>	
2	<p><b>Proof of Residence - for all authorized persons, authorized traders, guarantor, directors, major shareholders (with 10% or more voting rights), partners, sole proprietor and ultimate beneficial owners (until finding natural person)</b></p> <p>地址證明 - 全體獲授權人士、獲授權交易員、擔保人、董事、股東(投票權超過10%)、合夥人、獨資經營者及最終受益人(直至找到自然人)均須提供</p> <p><b>Original or certified true copy of your bank statement / utility bill</b></p> <p>銀行月結單或公用事業賬單原件或影印本</p> <ul style="list-style-type: none"><li>The copy must be issued in your name 影印本須以申請人的名字發出</li><li>The copy must contain your residential address 影印本須包含您的地址</li><li>The copy must be issued within the last 3 months 影印本須於遞交開戶申請表當日前的三個月內發出</li></ul>	

**For Official Use Only** 供本公司使用

<b>Account Opening Date</b> 開戶日期		<b>Name of Client</b> 客戶名稱	
<b>Securities Account Number</b> 證券戶口號碼		<b>Futures Account Number</b> 期貨戶口號碼	
<b>Asset Management Account Number</b> 資產管理戶口號碼			
<b>Name of Staff / AE</b> 職員 / 經紀姓名		<b>Code of Staff / AE</b> 職員 / 經紀姓名	

All copies must be certified true by a licensed representative of our company, public notary, practicing lawyer, practicing accountant, company secretary, company director or Justice of the Peace.

所有影印本須經本公司持牌代表、公證人、執業律師、執業會計師、公司秘書、公司董事或太平紳士認證。

No. 號碼	Document 所需文件	Collected 已收
3	<b>Certificate of incorporation and subsequent certificate of change of name</b> 公司註冊證書及其後的公司更改名稱證書	
4	<b>Recent address proof (within 3 months) of the company</b> 公司最近 3 個月之地址證明	
5	<b>Board Resolution</b> 董事會議記錄	
6	<b>Latest audited financial statements</b> 最近期經審計之財務報表	
7	<b>Latest Annual Return &amp; Notification of changes of secretary &amp; directors</b> 最近期之週年申報表、秘書及董事資料更改通知書	
8	<b>Memorandum &amp; Articles of Association</b> 公司組織章程	
9	<b>Guarantee</b> 擔保書	
10	<b>W-8BEN-E / W-8IMY Form</b> W-8BEN-E / W-8IMY 表格	
11	<b>Register of members</b> 股東名冊	
12	<b>Register of directors</b> 董事名冊	
13	<b>Company structure diagram</b> 公司架構圖	
14	<b>Bank Statement / Passbook (showing company's name and bank account number, this bank account will be the settlement account for transferring your money)</b> 銀行月結單/存摺 (顯示公司名稱及銀行賬戶號碼, 此銀行賬戶將作為交收賬戶以供存入閣下之款項)	
15	<p><b>a) For company registered in Hong Kong: 香港註冊公司:</b> Business registration certificate 商業登記證</p> <p><b>b) For company registered overseas: 海外註冊公司:</b> Certificate of incumbency (issued within the last 6 months) 董事在職證明 (發出日期為開戶前6個月內)</p> <p><b>c) For company registered in Mainland China: 內地註冊公司:</b></p> <p>i) 企業法人營業執照</p> <p>ii) 驗資報告</p>	
16	<b>CRS-Entity Form</b> CRS-實體表格 For Passive NFE (50% or more of the entity's income is passive income OR 50% or more of its assets produce passive income), please also complete the CRS-Controlling Person Form. 被動非財務實體(實體50%或以上的收入是被動收入或實體50%或以上資產用於產生被動收入)請另外填寫 CRS-控權人表格	
17	<b>Risk Profiling Questionnaire</b> 風險取向問卷	

Please fill in your information clearly and as accurately as possible in BLOCK CAPITALS. 請準確如實並以正楷大寫填寫您的資訊。

### 1.1 CORPORATE DETAILS 公司資訊

Company Name 公司名稱			
Date of Incorporation (dd/mm/yyyy) 成立日期(日/月/年)		Place of Incorporation 註冊地方	
Company Registration No. 公司註冊號碼		Company Website 公司網站	
Years in the Business 經營業務年數		Paid Up Capital 實收資本	
Organisation Type 機構類型	<input type="checkbox"/> Private Limited Company 私人有限公司	<input type="checkbox"/> Sole Proprietorship 獨資	<input type="checkbox"/> Public Listed Company 上市公司
	<input type="checkbox"/> Partnership 合夥	<input type="checkbox"/> Other (Please elaborate) 其他, 請詳細說明	

### 1.2. CONTACT DETAILS 聯絡資訊

Salutation 稱謂	<input type="checkbox"/> Mr 先生	<input type="checkbox"/> Mrs 太太	<input type="checkbox"/> Ms 小姐	<input type="checkbox"/> Mdm 女士	<input type="checkbox"/> Dr 博士
Full Name of Main Contact Person 主要聯絡人全名					
Position and Title 職位及職稱		Mobile Phone No. 行動電話號碼			
Business Phone No. 公司電話號碼		Fax No. 傳真號碼			
Email Address (This will be the primary method used to contact you) 電子信箱(我們與您聯絡的主要方式)					

### 1.3. REGISTERED ADDRESS 註冊地址

Address 地址

City 城市		State / Province 州/省	
Country 國家		Postal Code 郵遞區號	

### 1.4. MAILING ADDRESS (If different from above) 通訊地址(若與上述地址不同)

Address 地址

City 城市		State / Province 州/省	
Country 國家		Postal Code 郵遞區號	

## 2. CORPORATE BANK ACCOUNT DETAILS 公司銀行賬戶資訊

Unless our company receive further instruction from you, all monies payable to you will be credited to the following bank account:  
除非本公司收到閣下其他指示，否則任何支付予閣下的款項將會存入下列銀行賬戶：

Bank Name 銀行名稱	<input type="text"/>		
Bank Address 銀行地址	<input type="text"/>		
Bank Account Holder's Name 銀行賬戶持有人姓名	<input type="text"/>	Bank Account No. 銀行賬戶號碼	<input type="text"/>
SWIFT Code/ ABA / IBAN 國際匯款代碼	<input type="text"/>		

## 3. NATURE OF TRADING ACCOUNT 交易賬戶的性質

<input type="checkbox"/> Hedging 對沖	<input type="checkbox"/> Speculative 投機	<input type="checkbox"/> Arbitrage 套利	<input type="checkbox"/> Other (Please elaborate) 其他，請詳細說明	<input type="text"/>
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## 4. FINANCIAL DETAILS 財務資訊

Approximate Annual Income or Profits (in HKD) 約略年收入或紅利 (以港元計)

<input type="checkbox"/> Less than \$100,000 \$100,000 港元以下	<input type="checkbox"/> \$100,001 to \$300,000 \$100,001 港元至 \$300,000 港元	<input type="checkbox"/> \$300,001 to \$500,000 \$300,001 港元至 \$500,000 港元
<input type="checkbox"/> \$500,001 to \$700,000 \$500,001 港元至 \$700,000 港元	<input type="checkbox"/> \$700,001 to \$1,000,000 \$700,001 港元至 \$1,000,000 港元	<input type="checkbox"/> Above \$1,000,000 \$1,000,000 港元以上

Approximate Net Worth of Your Financial Instrument Portfolio (in HKD) 約略金融工具組合淨值 (以港元計)

<input type="checkbox"/> Less than \$100,000 \$100,000 港元以下	<input type="checkbox"/> \$100,001 to \$300,000 \$100,001 港元至 \$300,000 港元	<input type="checkbox"/> \$300,001 to \$500,000 \$300,001 港元至 \$500,000 港元
<input type="checkbox"/> \$500,001 to \$700,000 \$500,001 港元至 \$700,000 港元	<input type="checkbox"/> \$700,001 to \$1,000,000 \$700,001 港元至 \$1,000,000 港元	<input type="checkbox"/> Above \$1,000,000 \$1,000,000 港元以上

## 5. TRADING EXPERIENCE 交易經驗

To help us assess your trading knowledge and experience, please tick the appropriate boxes.

為協助我們評估您的交易知識及經驗，請在適用的空格加上剔號。

	No experience 無經驗	Less than 1 year of experience 1年以下經驗	1 to 3 years of experience 1-3年經驗	More than 3 year of experience 3年以上經驗
<b>FOREX</b> 外匯	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Fund</b> 基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Securities</b> 證券	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Futures / Options</b> 期貨 / 期權	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Bonds</b> 債券	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

If you have experience trading any of the products above, please answer the following questions:

若您對上述任何商品有交易經驗，請回答以下問題：

What is the approximate number of trades performed per quarter? 您每季度交易次數約略多少?

<input type="checkbox"/> Less than 10 10次以下	<input type="checkbox"/> 11 to 30 11至30次	<input type="checkbox"/> 31 to 45 31至45次	<input type="checkbox"/> 46 to 60 46至60次	<input type="checkbox"/> Above 60 60次以上
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What is the approximate size of each trade performed (in USD)? 您每筆交易量約略多少(以美元計)?

<input type="checkbox"/> Less than \$100,000 \$100,000 美元以下	<input type="checkbox"/> \$100,001 to \$300,000 \$100,001 美元至 \$300,000 美元	<input type="checkbox"/> \$300,001 to \$500,000 \$300,001 美元至 \$500,000 美元
<input type="checkbox"/> \$500,001 to \$700,000 \$500,001 美元至 \$700,000 美元	<input type="checkbox"/> \$700,001 to \$1,000,000 \$700,001 美元至 \$1,000,000 美元	<input type="checkbox"/> Above \$1,000,000 \$1,000,000 美元以上

## 6. DIRECTOR(S) OF COMPANY 公司董事

### DIRECTOR (1) 董事(一)

Full Name 全名	<input type="text"/>		
Date of Birth (dd/mm/yyyy) 出生日期 (日/月/年)	<input type="text"/>	Nationality 國籍	<input type="text"/>
Passport No. / ID No. 護照號碼 / 身分證號碼	<input type="text"/>	Phone No. 電話號碼	<input type="text"/>
Email Address 電子信箱	<input type="text"/>		
Residential Address 居住地址	<input type="text"/>		

### DIRECTOR (2) 董事(二)

Full Name 全名	<input type="text"/>		
Date of Birth (dd/mm/yyyy) 出生日期 (日/月/年)	<input type="text"/>	Nationality 國籍	<input type="text"/>
Passport No. / ID No. 護照號碼 / 身分證號碼	<input type="text"/>	Phone No. 電話號碼	<input type="text"/>
Email Address 電子信箱	<input type="text"/>		
Residential Address 居住地址	<input type="text"/>		

### DIRECTOR (3) 董事(三)

Full Name 全名	<input type="text"/>		
Date of Birth (dd/mm/yyyy) 出生日期 (日/月/年)	<input type="text"/>	Nationality 國籍	<input type="text"/>
Passport No. / ID No. 護照號碼 / 身分證號碼	<input type="text"/>	Phone No. 電話號碼	<input type="text"/>
Email Address 電子信箱	<input type="text"/>		
Residential Address 居住地址	<input type="text"/>		

### DIRECTOR (4) 董事(四)

Full Name 全名	<input type="text"/>		
Date of Birth (dd/mm/yyyy) 出生日期 (日/月/年)	<input type="text"/>	Nationality 國籍	<input type="text"/>
Passport No. / ID No. 護照號碼 / 身分證號碼	<input type="text"/>	Phone No. 電話號碼	<input type="text"/>
Email Address 電子信箱	<input type="text"/>		
Residential Address 居住地址	<input type="text"/>		

**7. BENEFICIAL OWNER(S)** (Individuals or companies owning more than 10% of the company)  
受益人 (個人或公司持有公司股份10%以上)**BENEFICIAL OWNER (1)** 受益人(一)

Full Name of Individual or Company 個人或公司全名	<input type="text"/>		
Nationality or Country of Incorporation 國籍或註冊國家	<input type="text"/>	Passport No. or Company Registration No. 護照或公司註冊號碼	<input type="text"/>
Date of Birth or Date of Incorporation (dd/mm/yyyy) 出生日期 (日/月/年)	<input type="text"/>	Shareholding Percentage 持有股份百分比	<input type="text"/>
Email Address 電子信箱	<input type="text"/>	Phone No. 電話號碼	<input type="text"/>
Residential or Registered Address 居住地址或註冊地址	<input type="text"/>		

**BENEFICIAL OWNER (2)** 受益人(二)

Full Name of Individual or Company 個人或公司全名	<input type="text"/>		
Nationality or Country of Incorporation 國籍或註冊國家	<input type="text"/>	Passport No. or Company Registration No. 護照或公司註冊號碼	<input type="text"/>
Date of Birth or Date of Incorporation (dd/mm/yyyy) 出生日期 (日/月/年)	<input type="text"/>	Shareholding Percentage 持有股份百分比	<input type="text"/>
Email Address 電子信箱	<input type="text"/>	Phone No. 電話號碼	<input type="text"/>
Residential or Registered Address 居住地址或註冊地址	<input type="text"/>		

**BENEFICIAL OWNER (3)** 受益人(三)

Full Name of Individual or Company 個人或公司全名	<input type="text"/>		
Nationality or Country of Incorporation 國籍或註冊國家	<input type="text"/>	Passport No. or Company Registration No. 護照或公司註冊號碼	<input type="text"/>
Date of Birth or Date of Incorporation (dd/mm/yyyy) 出生日期 (日/月/年)	<input type="text"/>	Shareholding Percentage 持有股份百分比	<input type="text"/>
Email Address 電子信箱	<input type="text"/>	Phone No. 電話號碼	<input type="text"/>
Residential or Registered Address 居住地址或註冊地址	<input type="text"/>		

**BENEFICIAL OWNER (4)** 受益人(四)

Full Name of Individual or Company 個人或公司全名	<input type="text"/>		
Nationality or Country of Incorporation 國籍或註冊國家	<input type="text"/>	Passport No. or Company Registration No. 護照或公司註冊號碼	<input type="text"/>
Date of Birth or Date of Incorporation (dd/mm/yyyy) 出生日期 (日/月/年)	<input type="text"/>	Shareholding Percentage 持有股份百分比	<input type="text"/>
Email Address 電子信箱	<input type="text"/>	Phone No. 電話號碼	<input type="text"/>
Residential or Registered Address 居住地址或註冊地址	<input type="text"/>		

## 8. IDENTITY DECLARATION 身份聲明

1. Is your company regulated by HKSF, HKMA or any overseas regulator?

貴公司是否受香港證監會、香港金管局或其他境外監管機構所監管？

No 否  Yes, the name of regulator is: 是，監管機構的名稱是：

2. Is the beneficial owner or any member of your group of companies a client of our company?

貴公司的受益人或任何集團成員是否本公司客戶？

No 否  Yes, details: 是，請詳列：

Account Number 賬戶號碼	Name of Client 客戶名稱

3. Is your company a "connected client" (as defined under Appendix 6 to the Rules Governing the Listing of Securities of the Stock Exchange of Hong Kong Limited) of Blackwell Global Securities Limited / Blackwell Global Futures Limited / Blackwell Global Asset Management Limited or the group in which it is a member?

貴公司是否為博威環球證券有限公司 / 博威環球期貨有限公司 / 博威環球資產管理有限公司或其所屬集團的「關連客戶」(按香港聯合交易所有限公司上市規則附件六的定義)？

No 否  Yes, details: 是，請詳列：

## 9. ANTI - MONEY LAUNDERING AND ANTI-TERRORIST FINANCING QUESTIONNAIRE

### 防止洗黑錢及防止恐怖份子籌資活動問卷

Is your company registered in a member of the Financial Action Task Force ("FATF")?

(Members of FATF include: Argentina, Australia, Austria, Belgium, Brazil, Canada, China, Denmark, Finland, France, Germany, Greece, Hong Kong, Iceland, India, Ireland, Italy, Japan, South Korea, Luxembourg, Malaysia, Mexico, Netherlands, New Zealand, Norway, Portugal, Russian Federation, Singapore, South Africa, Spain, Sweden, Switzerland, Turkey, United Kingdom, USA, European Commission, and the Gulf Cooperation Council)

貴公司是否在財務行動特別組織的成員註冊？

(財務行動特別組織成員包括：阿根廷、澳洲、奧地利、比利時、巴西、加拿大、中國、丹麥、芬蘭、法國、德國、希臘、香港、冰島、印度、愛爾蘭、意大利、日本、南韓、盧森堡、馬來西亞、墨西哥、荷蘭、紐西蘭、挪威、葡萄牙、俄羅斯聯邦、新加坡、南非、西班牙、瑞典、瑞士、土耳其、英國、美國、歐洲委員會及海灣合作理事會)

Updated List for the Members of FATF 最新財務行動特別組織成員 - <http://www.fatf-gafi.org/countries/#FATF>

Yes 是  No 否 If no, please elaborate 若否，請詳述：

Is your company registered in a region with established laws / regulations designed to prevent money laundering?

貴公司的註冊地是否已有現行的法律或條例立以制止洗黑錢的活動？

Yes 是  No 否 If no, please elaborate 若否，請詳述：

Is your company not linked with politically exposed persons? (Politically exposed person – individual who is or has been entrusted with prominent public function, e.g. head of state/government, senior politician, senior executive of government-owned corporation, important political party official, etc.)

貴公司與政界人士並沒有聯繫？

(政界人士：指目前或以往曾經擔任重要公職的人士，如國家或政府的首長、資深政客、政府屬下企業高級官員和重要政黨官員等)

Yes 是  No 否 If no, please elaborate 若否，請詳述：

Is the nature of your company's business not particularly susceptible to money laundering risk? (For example: not money changer or casino business that handles large amount of cash etc.)

貴公司的業務性質並不是特別容易蒙受洗黑錢的風險？(舉例：不是會接觸大量現金往來的找換業或博彩業等)

Yes 是  No 否 If no, please elaborate 若否，請詳述:

Has your company maintained a "no conviction record" for anti-money laundering or anti-terrorist financing legislation?

貴公司是否就反洗黑錢條例或反恐怖分子籌資活動條例維持著“無罪紀錄”？

Yes 是  No 否 If no, please elaborate 若否，請詳述:

Client Signature  
客戶簽署



Staff / AE certify  
職員/經紀核證

**For the client whose business involves the handling of third party assets (e.g. fund manager, stockbrokers), please answer the following questions**

如貴公司的業務涉及處理第三者的資產（如基金經理，股票經紀），請回答以下的問題。

Has your company (including foreign branches and subsidiaries, if any) established written policies and implemented internal procedures and controls to combat money laundering?

貴公司（包括外國的分行及子公司）是否已制訂書面政策，並執行內部程序和管理，以打擊洗黑錢的行動？

Yes 是  No 否 If no, please elaborate 若否，請詳述:

Are there documented procedures in your institution for reporting suspicious activities and transactions to the appropriate authorities?

貴公司就舉報可疑的活動和交易是否已確立程序向適當的監控組織報告？

Yes 是  No 否 If no, please elaborate 若否，請詳述:

Has your company established policies and procedures to ensure that reasonable measures are taken to obtain information about the true identity of your customers, and are these records retained for a specified period of time?

貴公司是否已制訂政策與程序，確保已採用合理方法去取得客戶真正身份的資料，並將有關資料於指定時限內予以保留？

Yes 是  No 否 If no, please elaborate 若否，請詳述:

Client Signature  
客戶簽署



Staff / AE certify  
職員/經紀核證

**10. AUTHORISED SIGNATORY(IES) 獲授權簽署人士**

How many signatory(ies) are required to authorise any transactions and/or changes for the account?

請選擇可執行任何賬戶變更及匯款相關事項的授權簽署人士

- Any 1 signatory 任何一位簽署人     Any 2 signatories 任何兩位簽署人     Any 3 signatories 任何三位簽署人     All 4 signatories 四位簽署人

**AUTHORISED SIGNATORY (1) 獲授權簽署人士(一)**

Full Name 全名	<input type="text"/>	Designation 職位	<input type="text"/>
Date of Birth (dd/mm/yyyy) 出生日期 (日/月/年)	<input type="text"/>	Nationality 國籍	<input type="text"/>
Passport No. / ID No. 護照號碼 / 身分證號碼	<input type="text"/>	Phone No. 電話號碼	<input type="text"/>
Email Address 電子信箱	<input type="text"/>		
Residential Address 居住地址	<input type="text"/>	Signature Specimen 簽署式樣	<input type="text"/>

**AUTHORISED SIGNATORY (2) 獲授權簽署人士(二)**

Full Name 全名	<input type="text"/>	Designation 職位	<input type="text"/>
Date of Birth (dd/mm/yyyy) 出生日期 (日/月/年)	<input type="text"/>	Nationality 國籍	<input type="text"/>
Passport No. / ID No. 護照號碼 / 身分證號碼	<input type="text"/>	Phone No. 電話號碼	<input type="text"/>
Email Address 電子信箱	<input type="text"/>		
Residential Address 居住地址	<input type="text"/>	Signature Specimen 簽署式樣	<input type="text"/>

**AUTHORISED SIGNATORY (3) 獲授權簽署人士(三)**

Full Name 全名	<input type="text"/>	Designation 職位	<input type="text"/>
Date of Birth (dd/mm/yyyy) 出生日期 (日/月/年)	<input type="text"/>	Nationality 國籍	<input type="text"/>
Passport No. / ID No. 護照號碼 / 身分證號碼	<input type="text"/>	Phone No. 電話號碼	<input type="text"/>
Email Address 電子信箱	<input type="text"/>		
Residential Address 居住地址	<input type="text"/>	Signature Specimen 簽署式樣	<input type="text"/>

**AUTHORISED SIGNATORY (4) 獲授權簽署人士(四)**

Full Name 全名	<input type="text"/>	Designation 職位	<input type="text"/>
Date of Birth (dd/mm/yyyy) 出生日期(日/月/年)	<input type="text"/>	Nationality 國籍	<input type="text"/>
Passport No. / ID No. 護照號碼 / 身分證號碼	<input type="text"/>	Phone No. 電話號碼	<input type="text"/>
Email Address 電子信箱	<input type="text"/>		
Residential Address 居住地址	<input type="text"/>	Signature Specimen 簽署式樣	<input type="text"/>

**11. AUTHORIZED TRADER / 獲授權交易員**

**AUTHORISED TRADER (1) 獲授權交易員 (一)**

Full Name 全名	<input type="text"/>	Designation 職位	<input type="text"/>
Date of Birth (dd/mm/yyyy) 出生日期(日/月/年)	<input type="text"/>	Nationality 國籍	<input type="text"/>
Passport No. / ID No. 護照號碼 / 身分證號碼	<input type="text"/>	Phone No. 電話號碼	<input type="text"/>
Email Address 電子信箱	<input type="text"/>		
Signature Specimen 簽署式樣	<input type="text"/>		

**AUTHORISED TRADER (2) 獲授權交易員 (二)**

Full Name 全名	<input type="text"/>	Designation 職位	<input type="text"/>
Date of Birth (dd/mm/yyyy) 出生日期(日/月/年)	<input type="text"/>	Nationality 國籍	<input type="text"/>
Passport No. / ID No. 護照號碼 / 身分證號碼	<input type="text"/>	Phone No. 電話號碼	<input type="text"/>
Email Address 電子信箱	<input type="text"/>		
Signature Specimen 簽署式樣	<input type="text"/>		

**AUTHORISED TRADER (3) 獲授權交易員 (三)**

Full Name 全名	<input type="text"/>	Designation 職位	<input type="text"/>
Date of Birth (dd/mm/yyyy) 出生日期 (日/月/年)	<input type="text"/>	Nationality 國籍	<input type="text"/>
Passport No. / ID No. 護照號碼 / 身分證號碼	<input type="text"/>	Phone No. 電話號碼	<input type="text"/>
Email Address 電子信箱	<input type="text"/>		
Signature Specimen 簽署式樣	<input type="text"/>		

**AUTHORISED TRADER (4) 獲授權交易員 (四)**

Full Name 全名	<input type="text"/>	Designation 職位	<input type="text"/>
Date of Birth (dd/mm/yyyy) 出生日期 (日/月/年)	<input type="text"/>	Nationality 國籍	<input type="text"/>
Passport No. / ID No. 護照號碼 / 身分證號碼	<input type="text"/>	Phone No. 電話號碼	<input type="text"/>
Email Address 電子信箱	<input type="text"/>		
Signature Specimen 簽署式樣	<input type="text"/>		

**12. REFERRER (If applicable) / 推薦人 (若適用)**Name of Referrer  
推薦人姓名**13. ACKNOWLEDGEMENT 條款確認聲明**

I/We hereby declare that the information given in this form is true and correct and that I/we have not wilfully withheld any material fact(s). I/We request you to open a Securities Account / Futures Account / Asset Management Account (the "Account") and agree to all the terms of the Securities Client Agreement / Futures Client Agreement / Supplemental Agreement for Futures Trading / Client-Based Delta Position Limits Imposed by HKFE Rule 632A / Asset Management Client Agreement ("this Agreement") and get a copy of the relevant Agreement at the same time and to abide by this Agreement, the rules and regulations of The Stock Exchange of Hong Kong Limited, Hong Kong Futures Exchange Limited, Hong Kong Securities Clearing Company Limited, HKFE Clearing Corporation Limited or any other regulatory body(ies) as amended from time to time governing the transactions in the Account. I/We hereby authorize you to verify and exchange the information contained in this application form and such other information relating to my/our personal particulars between yourselves and such other third parties as you may deem appropriate for the purpose of approving my/our application and for such other purposes as long as I am/we are your client.

本人/吾等謹此聲明表格上提供之所有資料均為真實正確，本人/吾等並不刻意隱瞞任何重要事實。本人/吾等向貴公司申請開立證券賬戶 / 期貨賬戶 / 資產管理賬戶（“該賬戶”）和同意證券客戶協議書 / 期貨客戶協議書 / 期貨交易補充協議 / 香港期交所規則第 632A 條實施後之客戶持倉限額 / 資產管理客戶協議書（“本協議”）的所有條款並同時取得有關協議書副本，並同意遵守本協議及香港聯合交易所有限公司、香港期貨交易所有限公司、香港中央結算有限公司、香港期貨結算有限公司及其他監管機構不時修定以規管於該賬戶進行的交易之條例及規則。本人/吾等謹此授權貴公司及向合適第三者查證及交換此表格上之資料和其他關於本人/吾等之資料，以作核實開戶申請及其他用途（如本人/吾等仍為貴公司的客戶）。

### Risk Disclosure Statement 風險披露聲明

I / We hereby acknowledge and confirm that this Agreement, including but not limited to the Account Application Form, the Terms and Conditions of this Agreement, Personal Information Collection Statement, Online Trading Agreement and the Risk Disclosure Statement was provided to me/us in a language of my/our choice (English or Chinese), and I/we have been invited to read the Risk Disclosure Statement carefully, ask questions and seek independent advice if I/we so wish. I/We also confirm that I/we have retained a copy of this Agreement for my/our reference.

本人/吾等謹此承認並確定本人/吾等已獲得按照本人/吾等所選擇的語言（英文或中文）的本協議，當中包括但不限於本賬戶開戶申請書、本協議的條款、個人資料收集聲明、網上交易協議及風險披露聲明，及本人/吾等已獲邀請細閱該風險披露聲明、提出問題及徵求獨立意見（如本人/吾等有此意願）。本人/吾等確認本人/吾等已經保留本協議的副本以作備考之用。

The Account Application Form, this Agreement, Risk Disclosure Statement, Personal Information Collection Statement, Online Trading Agreement in English and Chinese version shall be deemed to be conclusive and definitive.

賬戶開戶申請書、本協議、風險披露聲明、個人資料收集聲明、網上交易協議以中文及英文版本為確實及擁有最終效力。

I / We acknowledge that I/we have received, read and understood the following documents:

本人/吾等僅此確認，本人/吾等已收到、詳閱並瞭解以下文件：

Securities Client Agreement  
證券客戶協議書

Risk Disclosure Statement  
風險披露聲明

Client-Based Delta Position Limits  
Imposed by HKFE Rule 632A  
香港期交所規則第632A條實施後之  
客戶持倉限額

Personal Information Collection Statement  
個人資料收集聲明

Futures Client Agreement  
期貨客戶協議書

Asset Management Client Agreement  
資產管理客戶協議書

Online Trading Agreement  
網上交易協議

Supplemental Agreement for Futures Trading  
期貨交易補充協議

I / We understand the relevant risks about derivatives and CBCBs and confirm as below:

本人/吾等清楚有關衍生工具及牛熊證的風險，並作出以下確認：

This account  Can  Cannot be used to trade derivatives and CBCBs.  
本戶口  可  不可 用作買賣衍生工具及牛熊證。

I / We do not agree to the use or transfer of my / our personal data for direct marketing purposes.

本人/吾等不同意本人/吾等的個人資料被使用或與之有關的轉移作為直接促銷之用途。

## 14. CLIENT SIGNATORY(IES) WITH COMPANY STAMP 客戶簽署加蓋公司章

### AUTHORISED SIGNATORY 1 獲授權簽署人士（一）

**Print Name**

正楷姓名

**Date (dd/mm/yyyy)**

日期 (日/月/年)

**AUTHORISED SIGNATORY 2 獲授權簽署人士 (二)**

**Print Name**

正楷姓名

**Date (dd/mm/yyyy)**

日期 (日/月/年)

**AUTHORISED SIGNATORY 3 獲授權簽署人士 (三)**

**Print Name**

正楷姓名

**Date (dd/mm/yyyy)**

日期 (日/月/年)

**AUTHORISED SIGNATORY 4 獲授權簽署人士 (四)**

**Print Name**

正楷姓名

**Date (dd/mm/yyyy)**

日期 (日/月/年)

15. SPECIMEN OF COMPANY CHOP 公司印章式樣

16. WITNESS 見證人

WITNESS 見證人	
<b>Print Name</b> 正楷姓名	<input type="text"/>
<b>Date (dd/mm/yyyy)</b> 日期 (日/月/年)	<input type="text"/>

17. STAFF / AE 職員/經紀

STAFF / AE 職員/經紀	
<b>Print Name</b> 正楷姓名	<input type="text"/>
<b>SFC CE No.</b> 證監會中央編號	<input type="text"/>
<b>Date (dd/mm/yyyy)</b> 日期 (日/月/年)	<input type="text"/>

For Official Use Only 供本公司使用

18. CUSTOMER SERVICE DEPARTMENT  
VERIFICATION 客戶服務部查核

STAFF SIGNATURE 職員簽名	
<b>Print Name</b> 正楷姓名	<input type="text"/>
<b>Date (dd/mm/yyyy)</b> 日期 (日/月/年)	<input type="text"/>
<b>AML Checking Cleared</b> 通過反洗錢程序	<input type="text"/>

19. ACCOUNT OPENING APPROVAL 開戶審批

RESPONSIBLE OFFICER SIGNATURE 負責人員簽名	
<b>Print Name</b> 正楷姓名	<input type="text"/>
<b>Date (dd/mm/yyyy)</b> 日期 (日/月/年)	<input type="text"/>

20. CLIENT INFORMATION ENTRY 輸入客戶資料

STAFF SIGNATURE 職員簽名	
<b>Print Name</b> 正楷姓名	<input type="text"/>
<b>Date (dd/mm/yyyy)</b> 日期 (日/月/年)	<input type="text"/>

21. CLIENT INFORMATION ENTRY CHECK  
輸入客戶資料查核

STAFF SIGNATURE 職員簽名	
<b>Print Name</b> 正楷姓名	<input type="text"/>
<b>Date (dd/mm/yyyy)</b> 日期 (日/月/年)	<input type="text"/>

## Commission 佣金

<b>Name of Client</b> 客戶名稱	<input type="text"/>	<b>Futures Account Number</b> 期貨戶口號碼	<input type="text"/>
<b>Securities Account Number</b> 證券戶口號碼	<input type="text"/>	<b>Code of Staff / AE</b> 職員 / 經紀編號	<input type="text"/>
<b>Name of Staff / AE</b> 職員 / 經紀姓名	<input type="text"/>		

### Commission : Securities Account 佣金 : (證券戶口)

Market 市場	Brokerage 佣金 (%)	Minimum Amount 最低金額
HK Stock - Internet (HKD) 港股 - 網上落盤 (港元)		
HK Stock - Phone (HKD) 港股 - 電話落盤 (港元)		
US Stock - Internet (USD) 美股 - 網上落盤 (美元)		
US Stock - Phone (USD) 美股 - 電話落盤 (美元)		
Bond 債券		
Others 其他: _____		

### Commission : Futures Account 佣金 : (期貨戶口)

Types of Futures Contract 期貨合約種類	Commission 佣金
HSI (Day Trade) 恆生指數期貨 (即日盤)	
HSI (O/N Trade) 恆生指數期貨 (過夜盤)	
MHI (Day Trade) 小型恆生指數期貨 (即日盤)	
MHI (O/N Trade) 小型恆生指數期貨 (過夜盤)	
HHI (Day Trade) H H股指數期貨 (即日盤)	
HHI (O/N Trade) H H股指數期貨 (過夜盤)	
MCH (Day Trade) 小型H股指數期貨 (即日盤)	
MCH (O/N Trade) 小型H股指數期貨 (過夜盤)	
USD/CNH (Day Trade) 美元兌人民幣(香港)期貨 (即日盤)	
USD/CNH (O/N Trade) 美元兌人民幣(香港)期貨 (過夜盤)	
Overseas Index Futures (Day Trade) 海外指數期貨 (即日盤)	
Overseas Index Futures (O/N Trade) 海外指數期貨 (過夜盤)	
Overseas Non-index Futures (Day Trade) 海外非指數期貨 (即日盤)	
Overseas Non-index Futures (O/N Trade) 海外非指數期貨 (過夜盤)	
Others (Day Trade) 其他 (即日盤): _____	
Others (O/N Trade) 其他 (過夜盤): _____	

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

#### CLIENT SIGNATURE 客戶簽署

**Print Name**

正楷姓名

**Date (dd/mm/yyyy)**

日期 (日/月/年)

For Official Use Only 供本公司使用

#### SIGNATURE OF STAFF / AE 職員/經紀簽署

**Print Name**

正楷姓名

**Date (dd/mm/yyyy)**

日期 (日/月/年)

#### SIGNATURE OF RESPONSIBLE OFFICER 負責人員簽署

**Print Name**

正楷姓名

**Date (dd/mm/yyyy)**

日期 (日/月/年)

# CLIENT MONEY STANDING AUTHORITY

## 客戶款項常設授權

**To: Blackwell Global Securities Limited / Blackwell Global Futures Limited  
/ Blackwell Global Precious Metals Limited (“Blackwell Global”)  
26/F., Overseas Trust Bank Building, 160 Gloucester Road, Wanchai, Hong Kong**

致：博威環球證券有限公司 / 博威環球期貨有限公司 / 博威環球貴金屬有限公司（“博威環球”）  
灣仔告士打道160號海外信託銀行大廈26樓

### Authority under Securities and Futures (Client Money) Rules

根據《證券及期貨(客戶款項)規則》所設立的常設授權

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

本授權書涵蓋爾等為本人/吾等在香港收取或持有並存放於一個或多個獨立賬戶內的款項(包括因持有並非屬於爾等的款項而產生之任何利息)(下稱「款項」)。

Unless otherwise defined, all the terms used in this authorization letter shall have the same meanings as in the Securities and Futures Ordinance and the Securities and Futures (Client Money) Rules as amended from time to time. Segregated account(s) include any account(s) designated as client account(s) established and maintained in or outside Hong Kong.

除非另有說明，本授權書之名詞與《證券及期貨條例》及《證券及期貨(客戶款項)規則》不時修訂之定義具有相同意思。獨立賬戶包括在香港或香港以外地方設立及維持並標明為客戶賬戶之任何賬戶。

### This letter authorizes you to:

本授權書授權爾等：

- combine or consolidate any or all segregated accounts of any name whatsoever and either individually or jointly with others, maintained by Blackwell Global from time to time and you may transfer any sum of Monies to and between such segregated account(s) to satisfy my/our obligations or liabilities to Blackwell Global, whether such obligations and liabilities are actual, contingent, primary or collateral, secured or unsecured, or joint or several; and  
組合或合併爾等博威環球所維持的任何或全部獨立賬戶，此等組合或合併活動可以個別地或與其他賬戶聯合進行，爾等可將該等獨立賬戶內任何數額之款項作出轉移，以解除本人/吾等對博威環球內任何成員的義務或法律責任，不論此等義務和法律責任是確實或或然的、原有或附帶的、有抵押或無抵押的、共同或分別的；及
- transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by Blackwell Global ;and  
從博威環球任何成員於任何時候維持的任何獨立賬戶之間來回調動任何數額之款項；及
- Exchange my/our money into any other currency(ies); and  
將本人/吾等的款項兌換至任何貨幣；及
- Transfer any sum of Monies to any futures trading/clearing/settlement account(s) maintained by Blackwell Global with its agent broker(s) and/or clearing agent(s) in Hong Kong or oversea for purpose of dealing in Hong Kong and/or global futures transactions for and on behalf of me/us.  
將任何數額之款項轉往博威環球於其香港或海外代理經紀及/或清算代理開立的任何期貨交易/清算/交收賬戶以作本人/吾等/交易香港及/或環球期貨之用。

You may do any of these things without giving me/us notice.

爾等可不向本人/吾等發出通知而採取上述行動。

This authority is given to Blackwell Global in consideration of its agreeing to continue to maintain securities account(s), futures account(s) and bullion account(s) for me/us.

此賦予博威環球之授權乃鑑於博威環球同意繼續維持本人/吾等之證券賬戶、期貨賬戶及貴金屬賬戶。

This authority is given without prejudice to other authorities or rights which Blackwell Global may have in relation to dealing in Monies in the segregated accounts.

此賦予爾等之授權並不損害博威環球可享有有關處理該等獨立賬戶內款項的其他授權或權利。

This authority is valid for a period starting from the date of this letter to (DD/MM/YY)  

both dates inclusive. The authority shall be renewed by my/our written consent, or deemed to be renewed in accordance with applicable laws and regulations, at or before the stated expiry date and each subsequently renewed expiry date, for a further period of not more than 12 months.

本授權書由本函簽發日期起至(年/月/日)  內有效，包括首尾兩天。此授權將於此到期日或之前，或隨後經續期的到期日或之前，由本人/吾等書面同意續期或按適用法律及規則當作已續期不多於12個月。

This authority may be revoked by giving you written notice addressed to Blackwell Global at the address specified above. Such notice shall take effect upon the expiry of two weeks from the date of your actual receipt of such notice.

本人/吾等可以向博威環球位於上述所列明之地址發出書面通知，撤回本授權書。該等通知之生效日期為爾等真正收到該等通知後之14日起計。

I/We understand that this authority shall be deemed to be renewed on a continuing basis without my/our written consent if you issue me/us a written reminder at least 14 days prior to the expiry date of this authority, and I/we do not object to such deemed renewal before such expiry date.

本人/吾等明白爾等若在本授權書的有效期屆滿前14日之前，向本人/吾等發出書面通知，提醒本人/吾等本授權書即將屆滿，而本人/吾等沒有在此授權屆滿前反對此授權續期，本授權書應當作在不需要本人/吾等的書面同意下按持續的基準已被續期。

In the event of any difference in interpretation or meaning between the Chinese and English version of this authority, I/we agree that the English version shall prevail.

倘若本授權書的中文版本與英文版本在解釋或意義方面有任何歧義，本人/吾等同意應以英文版本為準。

I/We have read and understand and accept the contents of this letter.

本人/吾等閱讀、明白及同意本授權書的內容。

			
Print Name 正楷姓名	<input type="text"/>	Account Name 賬戶名稱	<input type="text"/>
Securities Account No. 證券賬戶號碼	<input type="text"/>	Futures Account No. 期貨賬戶號碼	<input type="text"/>
ID/Passport No. 身份證/護照號碼	<input type="text"/>	Date (dd/mm/yyyy) 日期 (日/月/年)	<input type="text"/>

For Official Use Only

供本公司使用

<b>SIGNATURE VERIFIED 簽署核對</b>	<b>APPROVED BY 批核</b>
<input type="text"/>	<input type="text"/>
Print Name 正楷姓名	Print Name 正楷姓名
<input type="text"/>	<input type="text"/>
Date (dd/mm/yyyy) 日期 (日/月/年)	Date (dd/mm/yyyy) 日期 (日/月/年)
<input type="text"/>	<input type="text"/>
<b>DATA ENTRY BY 資料輸入</b>	<b>CHECKED BY 資料核對</b>
<input type="text"/>	<input type="text"/>
Print Name 正楷姓名	Print Name 正楷姓名
<input type="text"/>	<input type="text"/>
Date (dd/mm/yyyy) 日期 (日/月/年)	Date (dd/mm/yyyy) 日期 (日/月/年)
<input type="text"/>	<input type="text"/>

# SELF-CERTIFICATION FORM – COMPANY OR ENTITY (CRS-E)

## 自我證明表格 - 公司或實體 (CRS-E)

### Part 1: Identification of Company or Entity Account Holder

#### 第 1 部：公司或實體賬戶持有人資料

If you have any questions on how to define your tax residency status, please visit the OECD website at [www.oecd.org/tax/automatic-exchange/](http://www.oecd.org/tax/automatic-exchange/) or consult your tax advisor before completing the form.

如您對判定您的稅務居民身分有任何疑問，請瀏覽經合組織網站 [www.oecd.org/tax/automatic-exchange/](http://www.oecd.org/tax/automatic-exchange/) 或於填寫本表格前諮詢您的稅務顧問。

#### Legal Name of Company or Entity

公司或實體的法定名稱

#### Jurisdiction of Incorporation or Registration

公司或實體成立或註冊的稅務管轄區

#### Certificate of Incorporation or Business Registration Number

公司註冊或商業登記號碼

#### Current Business Address and Mailing Address

現時營業地址及通訊住址

#### Address

地址

#### City & Country

城市及國家

### Part 2: Company or Entity Type

#### 第 2 部：公司或實體類別

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

在其中一個適當的方格內加上剔號，並提供有關資料。

#### Financial Institution 金融 / 財務機構

Custodial Institution, Depository Institution or Specified Insurance Company

託管機構、存款機構或指明保險公司

Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity's assets) and located in a non-participating jurisdiction

投資實體，但不包括由另一金融 / 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

#### Active NFE 主動非財務實體

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 of \_\_\_\_\_ the stock of which is regularly traded on \_\_\_\_\_ which is an established securities market

\_\_\_\_\_ 的有關連實體，

該有關連實體的股票經常在 \_\_\_\_\_

(一個具規模證券市場) 進行買賣

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 other than the above , Please specify  
除上述以外的主動非財務實體，請說明

**Passive NFE** - 50% or more of the entity's income is passive income OR 50% or more of its assets produce passive income  
被動非財務實體 - 實體50%或以上的收入是被動收入 或 實體50%或以上資產用於產生被動收入

NFE that is not an Active NFE  
不屬「主動非財務實體」的非財務實體

Investment entity that is managed by another financial institution and located in a non-participating jurisdiction  
位於非參與稅務管轄區並由另一金融/財務機構管理的投資實體

### Part 3: Controlling Persons (Complete this part if the company or entity account holder is a passive NFE) 第 3 部：控權人 (如公司或實體賬戶持有人是被動非財務實體，填寫此部)

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

Complete Self-Certification Form - Controlling Person (CRS-CP) for each controlling person.

就賬戶持有人，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表格 - 控權人 (CRS-CP)。

1		2	
3		4	

### Part 4: Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") 第 4 部：居留司法管轄區及稅務編號或具有等同功能的識辨編號(以下簡稱「稅務編號」)

Complete the following table indicating 提供以下資料，列明：

- (a) each jurisdiction where the account holder is a resident for tax purposes; and  
賬戶持有人的居留司法管轄區，亦即賬戶持有人的稅務管轄區；及
- (b) the account holder's TIN for each jurisdiction indicated.  
該居留司法管轄區發給賬戶持有人的稅務編號。

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

如賬戶持有人是香港稅務居民，稅務編號是其商業登記號碼。

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.

如賬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。

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

如沒有提供稅務編號，必須填寫合適的理由A、B或C

# Reason A – The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.  
理由A – 賬戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

Reason B – The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.  
理由B – 賬戶持有人不能取得稅務編號。如選取這一理由，解釋賬戶持有人不能取得稅務編號的原因。

Reason C – TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.  
理由C – 賬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賬戶持有人披露稅務編號。

理由C – 賬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賬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，解釋賬戶持有人不能取得稅務編號的原因

## Part 5: Declarations and Signature

### 第 5 部：聲明及簽署

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

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

I certify that I am authorized to sign for the account holder of all the account(s) to which this form relates. I further declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

本人證明，就與本表格所有相關的賬戶，本人是賬戶持有人簽署本表格。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。

I undertake to provide the Company with a suitably updated self-certification form within 30 days of any change in circumstances which affects the information contained herein to become incorrect.

本人承諾，如情況有所改變，以致影響本表格所載的資料不正確，本人會在情況發生改變後 30 日內，向貴公司提交一份已適當更新的自我證明表格。

#### ACCOUNT HOLDER'S SIGNATURE AND CHOP 賬戶持有人簽署及印鑑

	
<b>Print Name</b> 正楷姓名	
<b>Account No.</b> 賬戶編號	
<b>Date (dd/mm/yyyy)</b> 日期 (日/月/年)	

#### Name of Authorized Person

獲授權人士姓名

#### Capacity of Authorized Person

獲授權人士身份

(Indicate the capacity in which you are signing the form e.g. director or officer of a company, partner of a partnership, trustee of a trust, Authorized Officer, etc.)

(說明您簽署這份表格的身份。例如：公司的董事或高級人員、合夥的合夥人、信託的受託人或獲授權人員等。)

**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。

**Certificate of Status of Beneficial Owner for United States Tax Withholding and Reporting (Entities)**

(Rev. April 2016)

Department of the Treasury  
Internal Revenue Service

▶ For use by entities. Individuals must use Form W-8BEN. ▶ Section references are to the Internal Revenue Code.  
▶ Information about Form W-8BEN-E and its separate instructions is at [www.irs.gov/formw8bene](http://www.irs.gov/formw8bene).  
▶ Give this form to the withholding agent or payer. Do not send to the IRS.

**Do NOT use this form for:**

**Instead use Form:**

- U.S. entity or U.S. citizen or resident . . . . . W-9
- A foreign individual . . . . . W-8BEN (Individual) or Form 8233
- A foreign individual or entity claiming that income is effectively connected with the conduct of trade or business within the U.S. (unless claiming treaty benefits) . . . . . W-8ECI
- A foreign partnership, a foreign simple trust, or a foreign grantor trust (unless claiming treaty benefits) (see instructions for exceptions) . . . W-8IMY
- A foreign government, international organization, foreign central bank of issue, foreign tax-exempt organization, foreign private foundation, or government of a U.S. possession claiming that income is effectively connected U.S. income or that is claiming the applicability of section(s) 115(2), 501(c), 892, 895, or 1443(b) (unless claiming treaty benefits) (see instructions for other exceptions) . . . . . W-8ECI or W-8EXP
- Any person acting as an intermediary . . . . . W-8IMY

**Part I Identification of Beneficial Owner**

<b>1</b> Name of organization that is the beneficial owner	<b>2</b> Country of incorporation or organization
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**3** Name of disregarded entity receiving the payment (if applicable, see instructions)

**4** Chapter 3 Status (entity type) (Must check one box only):

<input type="checkbox"/> Corporation	<input type="checkbox"/> Disregarded entity	<input type="checkbox"/> Partnership
<input type="checkbox"/> Simple trust	<input type="checkbox"/> Grantor trust	<input type="checkbox"/> Estate
<input type="checkbox"/> Central Bank of Issue	<input type="checkbox"/> Tax-exempt organization	<input type="checkbox"/> Government
<input type="checkbox"/> Complex trust	<input type="checkbox"/> Private foundation	<input type="checkbox"/> International organization

If you entered disregarded entity, partnership, simple trust, or grantor trust above, is the entity a hybrid making a treaty claim? If "Yes" complete Part III.  Yes  No

**5** Chapter 4 Status (FATCA status) (See instructions for details and complete the certification below for the entity's applicable status).

<input type="checkbox"/> Nonparticipating FFI (including a limited FFI or an FFI related to a Reporting IGA FFI other than a deemed-compliant FFI, participating FFI, or exempt beneficial owner).  <input type="checkbox"/> Participating FFI. <input type="checkbox"/> Reporting Model 1 FFI. <input type="checkbox"/> Reporting Model 2 FFI. <input type="checkbox"/> Registered deemed-compliant FFI (other than a reporting Model 1 FFI, sponsored FFI, or nonreporting IGA FFI covered in Part XII). See instructions.  <input type="checkbox"/> Sponsored FFI. Complete Part IV. <input type="checkbox"/> Certified deemed-compliant nonregistering local bank. Complete Part V. <input type="checkbox"/> Certified deemed-compliant FFI with only low-value accounts. Complete Part VI. <input type="checkbox"/> Certified deemed-compliant sponsored, closely held investment vehicle. Complete Part VII. <input type="checkbox"/> Certified deemed-compliant limited life debt investment entity. Complete Part VIII. <input type="checkbox"/> Certified deemed-compliant investment advisors and investment managers. Complete Part IX. <input type="checkbox"/> Owner-documented FFI. Complete Part X. <input type="checkbox"/> Restricted distributor. Complete Part XI.	<input type="checkbox"/> Nonreporting IGA FFI. Complete Part XII. <input type="checkbox"/> Foreign government, government of a U.S. possession, or foreign central bank of issue. Complete Part XIII.  <input type="checkbox"/> International organization. Complete Part XIV. <input type="checkbox"/> Exempt retirement plans. Complete Part XV. <input type="checkbox"/> Entity wholly owned by exempt beneficial owners. Complete Part XVI. <input type="checkbox"/> Territory financial institution. Complete Part XVII. <input type="checkbox"/> Nonfinancial group entity. Complete Part XVIII. <input type="checkbox"/> Excepted nonfinancial start-up company. Complete Part XIX. <input type="checkbox"/> Excepted nonfinancial entity in liquidation or bankruptcy. Complete Part XX. <input type="checkbox"/> 501(c) organization. Complete Part XXI. <input type="checkbox"/> Nonprofit organization. Complete Part XXII. <input type="checkbox"/> Publicly traded NFFE or NFFE affiliate of a publicly traded corporation. Complete Part XXIII. <input type="checkbox"/> Excepted territory NFFE. Complete Part XXIV. <input type="checkbox"/> Active NFFE. Complete Part XXV. <input type="checkbox"/> Passive NFFE. Complete Part XXVI. <input type="checkbox"/> Excepted inter-affiliate FFI. Complete Part XXVII. <input type="checkbox"/> Direct reporting NFFE. <input type="checkbox"/> Sponsored direct reporting NFFE. Complete Part XXVIII. <input type="checkbox"/> Account that is not a financial account.
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**6** Permanent residence address (street, apt. or suite no., or rural route). **Do not use a P.O. box or in-care-of address** (other than a registered address).

City or town, state or province. Include postal code where appropriate.	Country
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**7** Mailing address (if different from above)

City or town, state or province. Include postal code where appropriate.	Country
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<b>8</b> U.S. taxpayer identification number (TIN), if required	<b>9a</b> GIIN	<b>b</b> Foreign TIN
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**10** Reference number(s) (see instructions)

**Note:** Please complete remainder of the form including signing the form in Part XXX.

**Part II Disregarded Entity or Branch Receiving Payment.** (Complete only if a disregarded entity with a GIIN or a branch of an FFI in a country other than the FFI's country of residence. See instructions.)

- 11 Chapter 4 Status (FATCA status) of disregarded entity or branch receiving payment
  - Limited Branch (see instructions).
  - Reporting Model 1 FFI.
  - U.S. Branch.
  - Participating FFI.
  - Reporting Model 2 FFI.
- 12 Address of disregarded entity or branch (street, apt. or suite no., or rural route). **Do not use a P.O. box or in-care-of address** (other than a registered address).

City or town, state or province. Include postal code where appropriate.

Country

- 13 GIIN (if any)

**Part III Claim of Tax Treaty Benefits** (if applicable). (For chapter 3 purposes only.)

- 14 I certify that (check all that apply):
  - a  The beneficial owner is a resident of \_\_\_\_\_ within the meaning of the income tax treaty between the United States and that country.
  - b  The beneficial owner derives the item (or items) of income for which the treaty benefits are claimed, and, if applicable, meets the requirements of the treaty provision dealing with limitation on benefits. The following are types of limitation on benefits provisions that may be included in an applicable tax treaty (check only one; see instructions):
    - Government
    - Company that meets the ownership and base erosion test
    - Tax exempt pension trust or pension fund
    - Company that meets the derivative benefits test
    - Other tax exempt organization
    - Company with an item of income that meets active trade or business test
    - Publicly traded corporation
    - Favorable discretionary determination by the U.S. competent authority received
    - Subsidiary of a publicly traded corporation
    - Other (specify Article and paragraph): \_\_\_\_\_
  - c  The beneficial owner is claiming treaty benefits for U.S. source dividends received from a foreign corporation or interest from a U.S. trade or business of a foreign corporation and meets qualified resident status (see instructions).
- 15 **Special rates and conditions** (if applicable—see instructions):  
 The beneficial owner is claiming the provisions of Article and paragraph \_\_\_\_\_ of the treaty identified on line 14a above to claim a \_\_\_\_\_ % rate of withholding on (specify type of income): \_\_\_\_\_  
 Explain the additional conditions in the Article the beneficial owner meets to be eligible for the rate of withholding: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

**Part IV Sponsored FFI**

- 16 Name of sponsoring entity: \_\_\_\_\_  
 GIIN of sponsoring entity: \_\_\_\_\_
- 17 **Check whichever box applies.**
  - I certify that the entity identified in Part I:
    - Is an investment entity;
    - Is not a QI, WP, or WT; **and**
    - Has agreed with the entity identified above (that is not a nonparticipating FFI) to act as the sponsoring entity for this entity.
  - I certify that the entity identified in Part I:
    - Is a controlled foreign corporation as defined in section 957(a);
    - Is not a QI, WP, or WT;
    - Is wholly owned, directly or indirectly, by the U.S. financial institution identified above that agrees to act as the sponsoring entity for this entity; **and**
    - Shares a common electronic account system with the sponsoring entity (identified above) that enables the sponsoring entity to identify all account holders and payees of the entity and to access all account and customer information maintained by the entity including, but not limited to, customer identification information, customer documentation, account balance, and all payments made to account holders or payees.

**Part V Certified Deemed-Compliant Nonregistering Local Bank**18  I certify that the FFI identified in Part I:

- Operates and is licensed solely as a bank or credit union (or similar cooperative credit organization operated without profit) in its country of incorporation or organization;
- Engages primarily in the business of receiving deposits from and making loans to, with respect to a bank, retail customers unrelated to such bank and, with respect to a credit union or similar cooperative credit organization, members, provided that no member has a greater than five percent interest in such credit union or cooperative credit organization;
- Does not solicit account holders outside its country of organization;
- Has no fixed place of business outside such country (for this purpose, a fixed place of business does not include a location that is not advertised to the public and from which the FFI performs solely administrative support functions);
- Has no more than \$175 million in assets on its balance sheet and, if it is a member of an expanded affiliated group, the group has no more than \$500 million in total assets on its consolidated or combined balance sheets; **and**
- Does not have any member of its expanded affiliated group that is a foreign financial institution, other than a foreign financial institution that is incorporated or organized in the same country as the FFI identified in Part I and that meets the requirements set forth in this Part V.

**Part VI Certified Deemed-Compliant FFI with Only Low-Value Accounts**19  I certify that the FFI identified in Part I:

- Is not engaged primarily in the business of investing, reinvesting, or trading in securities, partnership interests, commodities, notional principal contracts, insurance or annuity contracts, or any interest (including a futures or forward contract or option) in such security, partnership interest, commodity, notional principal contract, insurance contract or annuity contract;
- No financial account maintained by the FFI or any member of its expanded affiliated group, if any, has a balance or value in excess of \$50,000 (as determined after applying applicable account aggregation rules); **and**
- Neither the FFI nor the entire expanded affiliated group, if any, of the FFI, have more than \$50 million in assets on its consolidated or combined balance sheet as of the end of its most recent accounting year.

**Part VII Certified Deemed-Compliant Sponsored, Closely Held Investment Vehicle**

20 Name of sponsoring entity: \_\_\_\_\_

21  I certify that the entity identified in Part I:

- Is an FFI solely because it is an investment entity described in §1.1471-5(e)(4);
- Is not a QI, WP, or WT;
- Will have all of its due diligence, withholding, and reporting responsibilities (determined as if the FFI were a participating FFI) fulfilled by the sponsoring entity identified on line 20; **and**
- Twenty or fewer individuals own all of the debt and equity interests in the entity (disregarding debt interests owned by U.S. financial institutions, participating FFIs, registered deemed-compliant FFIs, and certified deemed-compliant FFIs and equity interests owned by an entity if that entity owns 100 percent of the equity interests in the FFI and is itself a sponsored FFI).

**Part VIII Certified Deemed-Compliant Limited Life Debt Investment Entity**22  I certify that the entity identified in Part I:

- Was in existence as of January 17, 2013;
- Issued all classes of its debt or equity interests to investors on or before January 17, 2013, pursuant to a trust indenture or similar agreement; **and**
- Is certified deemed-compliant because it satisfies the requirements to be treated as a limited life debt investment entity (such as the restrictions with respect to its assets and other requirements under § 1.1471-5(f)(2)(iv)).

**Part IX Certified Deemed-Compliant Investment Advisors and Investment Managers**23  I certify that the entity identified in Part I:

- Is a financial institution solely because it is an investment entity described in §1.1471-5(e)(4)(i)(A), **and**
- Does not maintain financial accounts.

**Part X Owner-Documented FFI**

**Note:** This status only applies if the U.S. financial institution, participating FFI, or reporting Model 1 FFI to which this form is given has agreed that it will treat the FFI as an owner-documented FFI (see instructions for eligibility requirements). In addition, the FFI must make the certifications below.

24a  (All owner-documented FFIs check here) I certify that the FFI identified in Part I:

- Does not act as an intermediary;
- Does not accept deposits in the ordinary course of a banking or similar business;
- Does not hold, as a substantial portion of its business, financial assets for the account of others;
- Is not an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account;
- Is not owned by or in an expanded affiliated group with an entity that accepts deposits in the ordinary course of a banking or similar business, holds, as a substantial portion of its business, financial assets for the account of others, or is an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account;
- Does not maintain a financial account for any nonparticipating FFI; **and**
- Does not have any specified U.S. persons that own an equity interest or debt interest (other than a debt interest that is not a financial account or that has a balance or value not exceeding \$50,000) in the FFI other than those identified on the FFI owner reporting statement.

**Part X Owner-Documented FFI (continued)****Check box 24b or 24c, whichever applies.**

- b**  I certify that the FFI identified in Part I:
- Has provided, or will provide, an FFI owner reporting statement that contains:
    - The name, address, TIN (if any), chapter 4 status, and type of documentation provided (if required) of every individual and specified U.S. person that owns a direct or indirect equity interest in the owner-documented FFI (looking through all entities other than specified U.S. persons);
    - The name, address, TIN (if any), and chapter 4 status of every individual and specified U.S. person that owns a debt interest in the owner-documented FFI (including any indirect debt interest, which includes debt interests in any entity that directly or indirectly owns the payee or any direct or indirect equity interest in a debt holder of the payee) that constitutes a financial account in excess of \$50,000 (disregarding all such debt interests owned by participating FFIs, registered deemed-compliant FFIs, certified deemed-compliant FFIs, excepted NFFEs, exempt beneficial owners, or U.S. persons other than specified U.S. persons); **and**
    - Any additional information the withholding agent requests in order to fulfill its obligations with respect to the entity.
  - Has provided, or will provide, valid documentation meeting the requirements of §1.1471-3(d)(6)(iii) for each person identified in the FFI owner reporting statement.
- c**  I certify that the FFI identified in Part I has provided, or will provide, an auditor's letter, signed within four years of the date of payment, from an independent accounting firm or legal representative with a location in the United States stating that the firm or representative has reviewed the FFI's documentation with respect to all of its owners and debt holders identified in §1.1471-3(d)(6)(iv)(A)(2), and that the FFI meets all the requirements to be an owner-documented FFI. The FFI identified in Part I has also provided, or will provide, an FFI owner reporting statement of its owners that are specified U.S. persons and Form(s) W-9, with applicable waivers.

**Check box 24d if applicable (optional, see instructions).**

- d**  I certify that the entity identified on line 1 is a trust that does not have any contingent beneficiaries or designated classes with unidentified beneficiaries.

**Part XI Restricted Distributor**

- 25a**  (All restricted distributors check here) I certify that the entity identified in Part I:
- Operates as a distributor with respect to debt or equity interests of the restricted fund with respect to which this form is furnished;
  - Provides investment services to at least 30 customers unrelated to each other and less than half of its customers are related to each other;
  - Is required to perform AML due diligence procedures under the anti-money laundering laws of its country of organization (which is an FATF-compliant jurisdiction);
  - Operates solely in its country of incorporation or organization, has no fixed place of business outside of that country, and has the same country of incorporation or organization as all members of its affiliated group, if any;
  - Does not solicit customers outside its country of incorporation or organization;
  - Has no more than \$175 million in total assets under management and no more than \$7 million in gross revenue on its income statement for the most recent accounting year;
  - Is not a member of an expanded affiliated group that has more than \$500 million in total assets under management or more than \$20 million in gross revenue for its most recent accounting year on a combined or consolidated income statement; **and**
  - Does not distribute any debt or securities of the restricted fund to specified U.S. persons, passive NFFEs with one or more substantial U.S. owners, or nonparticipating FFIs.

**Check box 25b or 25c, whichever applies.**

I further certify that with respect to all sales of debt or equity interests in the restricted fund with respect to which this form is furnished that are made after December 31, 2011, the entity identified in Part I:

- b**  Has been bound by a distribution agreement that contained a general prohibition on the sale of debt or securities to U.S. entities and U.S. resident individuals and is currently bound by a distribution agreement that contains a prohibition of the sale of debt or securities to any specified U.S. person, passive NFFE with one or more substantial U.S. owners, or nonparticipating FFI.
- c**  Is currently bound by a distribution agreement that contains a prohibition on the sale of debt or securities to any specified U.S. person, passive NFFE with one or more substantial U.S. owners, or nonparticipating FFI and, for all sales made prior to the time that such a restriction was included in its distribution agreement, has reviewed all accounts related to such sales in accordance with the procedures identified in §1.1471-4(c) applicable to preexisting accounts and has redeemed or retired any, or caused the restricted fund to transfer the securities to a distributor that is a participating FFI or reporting Model 1 FFI securities which were sold to specified U.S. persons, passive NFFEs with one or more substantial U.S. owners, or nonparticipating FFIs.

**Part XII Nonreporting IGA FFI**

- 26  I certify that the entity identified in Part I:
- Meets the requirements to be considered a nonreporting financial institution pursuant to an applicable IGA between the United States and \_\_\_\_\_ . The applicable IGA is a  Model 1 IGA or a  Model 2 IGA; and is treated as a \_\_\_\_\_ under the provisions of the applicable IGA or Treasury regulations (if applicable, see instructions);
  - If you are a trustee documented trust or a sponsored entity, provide the name of the trustee or sponsor whose GIIN is provided on line 9a (if any) \_\_\_\_\_ ; and your GIIN (if issued to you) \_\_\_\_\_ .

**Part XIII Foreign Government, Government of a U.S. Possession, or Foreign Central Bank of Issue**

- 27  I certify that the entity identified in Part I is the beneficial owner of the payment and is not engaged in commercial financial activities of a type engaged in by an insurance company, custodial institution, or depository institution with respect to the payments, accounts, or obligations for which this form is submitted (except as permitted in §1.1471-6(h)(2)).

**Part XIV International Organization**

Check box 28a or 28b, whichever applies.

- 28a  I certify that the entity identified in Part I is an international organization described in section 7701(a)(18).
- b  I certify that the entity identified in Part I:
- Is comprised primarily of foreign governments;
  - Is recognized as an intergovernmental or supranational organization under a foreign law similar to the International Organizations Immunities Act or that has in effect a headquarters agreement with a foreign government;
  - The benefit of the entity's income does not inure to any private person;
  - Is the beneficial owner of the payment and is not engaged in commercial financial activities of a type engaged in by an insurance company, custodial institution, or depository institution with respect to the payments, accounts, or obligations for which this form is submitted (except as permitted in §1.1471-6(h)(2)).

**Part XV Exempt Retirement Plans**

Check box 29a, b, c, d, e, or f, whichever applies.

- 29a  I certify that the entity identified in Part I:
- Is established in a country with which the United States has an income tax treaty in force (see Part III if claiming treaty benefits);
  - Is operated principally to administer or provide pension or retirement benefits; **and**
  - Is entitled to treaty benefits on income that the fund derives from U.S. sources (or would be entitled to benefits if it derived any such income) as a resident of the other country which satisfies any applicable limitation on benefits requirement.
- b  I certify that the entity identified in Part I:
- Is organized for the provision of retirement, disability, or death benefits (or any combination thereof) to beneficiaries that are former employees of one or more employers in consideration for services rendered;
  - No single beneficiary has a right to more than 5% of the FFI's assets;
  - Is subject to government regulation and provides annual information reporting about its beneficiaries to the relevant tax authorities in the country in which the fund is established or operated; **and**
    - Is generally exempt from tax on investment income under the laws of the country in which it is established or operates due to its status as a retirement or pension plan;
    - Receives at least 50% of its total contributions from sponsoring employers (disregarding transfers of assets from other plans described in this part, retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, other retirement funds described in an applicable Model 1 or Model 2 IGA, or accounts described in §1.1471-5(b)(2)(i)(A));
    - Either does not permit or penalizes distributions or withdrawals made before the occurrence of specified events related to retirement, disability, or death (except rollover distributions to accounts described in §1.1471-5(b)(2)(i)(A) (referring to retirement and pension accounts), to retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, or to other retirement funds described in this part or in an applicable Model 1 or Model 2 IGA); or
    - Limits contributions by employees to the fund by reference to earned income of the employee or may not exceed \$50,000 annually.
- c  I certify that the entity identified in Part I:
- Is organized for the provision of retirement, disability, or death benefits (or any combination thereof) to beneficiaries that are former employees of one or more employers in consideration for services rendered;
  - Has fewer than 50 participants;
  - Is sponsored by one or more employers each of which is not an investment entity or passive NFFE;
  - Employee and employer contributions to the fund (disregarding transfers of assets from other plans described in this part, retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, or accounts described in §1.1471-5(b)(2)(i)(A)) are limited by reference to earned income and compensation of the employee, respectively;
  - Participants that are not residents of the country in which the fund is established or operated are not entitled to more than 20 percent of the fund's assets; **and**
  - Is subject to government regulation and provides annual information reporting about its beneficiaries to the relevant tax authorities in the country in which the fund is established or operates.

**Part XV Exempt Retirement Plans** *(continued)*

- d  I certify that the entity identified in Part I is formed pursuant to a pension plan that would meet the requirements of section 401(a), other than the requirement that the plan be funded by a trust created or organized in the United States.
- e  I certify that the entity identified in Part I is established exclusively to earn income for the benefit of one or more retirement funds described in this part or in an applicable Model 1 or Model 2 IGA, accounts described in §1.1471-5(b)(2)(i)(A) (referring to retirement and pension accounts), or retirement and pension accounts described in an applicable Model 1 or Model 2 IGA.
- f  I certify that the entity identified in Part I:
- Is established and sponsored by a foreign government, international organization, central bank of issue, or government of a U.S. possession (each as defined in §1.1471-6) or an exempt beneficial owner described in an applicable Model 1 or Model 2 IGA to provide retirement, disability, or death benefits to beneficiaries or participants that are current or former employees of the sponsor (or persons designated by such employees); **or**
  - Is established and sponsored by a foreign government, international organization, central bank of issue, or government of a U.S. possession (each as defined in §1.1471-6) or an exempt beneficial owner described in an applicable Model 1 or Model 2 IGA to provide retirement, disability, or death benefits to beneficiaries or participants that are not current or former employees of such sponsor, but are in consideration of personal services performed for the sponsor.

**Part XVI Entity Wholly Owned by Exempt Beneficial Owners**

- 30  I certify that the entity identified in Part I:
- Is an FFI solely because it is an investment entity;
  - Each direct holder of an equity interest in the investment entity is an exempt beneficial owner described in §1.1471-6 or in an applicable Model 1 or Model 2 IGA;
  - Each direct holder of a debt interest in the investment entity is either a depository institution (with respect to a loan made to such entity) or an exempt beneficial owner described in §1.1471-6 or an applicable Model 1 or Model 2 IGA.
  - Has provided an owner reporting statement that contains the name, address, TIN (if any), chapter 4 status, and a description of the type of documentation provided to the withholding agent for every person that owns a debt interest constituting a financial account or direct equity interest in the entity; **and**
  - Has provided documentation establishing that every owner of the entity is an entity described in §1.1471-6(b), (c), (d), (e), (f) and/or (g) without regard to whether such owners are beneficial owners.

**Part XVII Territory Financial Institution**

- 31  I certify that the entity identified in Part I is a financial institution (other than an investment entity) that is incorporated or organized under the laws of a possession of the United States.

**Part XVIII Excepted Nonfinancial Group Entity**

- 32  I certify that the entity identified in Part I:
- Is a holding company, treasury center, or captive finance company and substantially all of the entity's activities are functions described in §1.1471-5(e)(5)(i)(C) through (E);
  - Is a member of a nonfinancial group described in §1.1471-5(e)(5)(i)(B);
  - Is not a depository or custodial institution (other than for members of the entity's expanded affiliated group); **and**
  - Does not function (or hold itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle with an investment strategy to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes.

**Part XIX Excepted Nonfinancial Start-Up Company**

- 33  I certify that the entity identified in Part I:
- Was formed on (or, in the case of a new line of business, the date of board resolution approving the new line of business) \_\_\_\_\_ (date must be less than 24 months prior to date of payment);
  - Is not yet operating a business and has no prior operating history or is investing capital in assets with the intent to operate a new line of business other than that of a financial institution or passive NFFE;
  - Is investing capital into assets with the intent to operate a business other than that of a financial institution; **and**
  - Does not function (or hold 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.

**Part XX Excepted Nonfinancial Entity in Liquidation or Bankruptcy**

- 34  I certify that the entity identified in Part I:
- Filed a plan of liquidation, filed a plan of reorganization, or filed for bankruptcy on \_\_\_\_\_;
  - During the past 5 years has not been engaged in business as a financial institution or acted as a passive NFFE;
  - Is either liquidating or emerging from a reorganization or bankruptcy with the intent to continue or recommence operations as a nonfinancial entity; **and**
  - Has, or will provide, documentary evidence such as a bankruptcy filing or other public documentation that supports its claim if it remains in bankruptcy or liquidation for more than three years.

**Part XXI 501(c) Organization**

**35**  I certify that the entity identified in Part I is a 501(c) organization that:

- Has been issued a determination letter from the IRS that is currently in effect concluding that the payee is a section 501(c) organization that is dated \_\_\_\_\_; **or**
- Has provided a copy of an opinion from U.S. counsel certifying that the payee is a section 501(c) organization (without regard to whether the payee is a foreign private foundation).

**Part XXII Non-Profit Organization**

**36**  I certify that the entity identified in Part I is a non-profit organization that meets the following requirements:

- The entity is established and maintained in its country of residence exclusively for religious, charitable, scientific, artistic, cultural or educational purposes;
- The entity is exempt from income tax in its country of residence;
- The entity has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
- Neither the applicable laws of the entity's country of residence nor the entity's formation documents permit any income or assets of the entity 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 entity's charitable activities or as payment of reasonable compensation for services rendered or payment representing the fair market value of property which the entity has purchased; **and**
- The applicable laws of the entity's country of residence or the entity's formation documents require that, upon the entity's liquidation or dissolution, all of its assets be distributed to an entity that is a foreign government, an integral part of a foreign government, a controlled entity of a foreign government, or another organization that is described in this Part XXII or escheats to the government of the entity's country of residence or any political subdivision thereof.

**Part XXIII Publicly Traded NFFE or NFFE Affiliate of a Publicly Traded Corporation**

**Check box 37a or 37b, whichever applies.**

**37a**  I certify that:

- The entity identified in Part I is a foreign corporation that is not a financial institution; **and**
- The stock of such corporation is regularly traded on one or more established securities markets, including \_\_\_\_\_ (name one securities exchange upon which the stock is regularly traded).

**b**  I certify that:

- The entity identified in Part I is a foreign corporation that is not a financial institution;
- The entity identified in Part I is a member of the same expanded affiliated group as an entity the stock of which is regularly traded on an established securities market;
- The name of the entity, the stock of which is regularly traded on an established securities market, is \_\_\_\_\_; **and**
- The name of the securities market on which the stock is regularly traded is \_\_\_\_\_.

**Part XXIV Excepted Territory NFFE**

**38**  I certify that:

- The entity identified in Part I is an entity that is organized in a possession of the United States;
- The entity identified in Part I:
  - Does not accept deposits in the ordinary course of a banking or similar business,
  - Does not hold, as a substantial portion of its business, financial assets for the account of others, or
  - Is not an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account; **and**
- All of the owners of the entity identified in Part I are bona fide residents of the possession in which the NFFE is organized or incorporated.

**Part XXV Active NFFE**

**39**  I certify that:

- The entity identified in Part I is a foreign entity that is not a financial institution;
- Less than 50% of such entity's gross income for the preceding calendar year is passive income; **and**
- Less than 50% of the assets held by such entity are assets that produce or are held for the production of passive income (calculated as a weighted average of the percentage of passive assets measured quarterly) (see instructions for the definition of passive income).

**Part XXVI Passive NFFE**

**40a**  I certify that the entity identified in Part I is a foreign entity that is not a financial institution (other than an investment entity organized in a possession of the United States) and is not certifying its status as a publicly traded NFFE (or affiliate), excepted territory NFFE, active NFFE, direct reporting NFFE, or sponsored direct reporting NFFE.

**Check box 40b or 40c, whichever applies.**

**b**  I further certify that the entity identified in Part I has no substantial U.S. owners (or, if applicable, no controlling U.S. persons), **or**

**c**  I further certify that the entity identified in Part I has provided the name, address, and TIN of each substantial U.S. owner (or, if applicable, controlling U.S. person) of the NFFE in Part XXIX.



# BLACKWELL GLOBAL - RISK PROFILING QUESTIONNAIRE

## 博威環球-風險取向問卷

Full Name of Individual  
/ Primary Account Holder  
個人/主要帳戶持有人姓名

Full Name of Secondary  
Joint Account Holder  
聯名帳戶持有人姓名

Client's A/C  
客戶號碼

This questionnaire is designed to help you consider your risk tolerance.

這份問卷是為幫助您評估您的投資風險取向而設的。

It asks questions that provide some indication of the risk tolerance for a typical investor displaying your personal investment characteristics (concerning investment products). It may not match your actual attitude toward investment risk, but it indicates the profile you fit into.

這份問卷的問題用以表示擁有類似您個人投資特性的典型投資者（有關購買投資產品）的風險取向。這部分會顯示符合您特性的投資風險取向，但未必與您的實際投資風險取向相符。

For Question 1-6, the terms "investment/ investing" refer to all investment products # [# Such products could include one or more of the following: stocks, unit trusts, foreign currencies, commodities, structured investment products, warrants, options and futures.]

問題1-6中的「投資」泛指所有理財產品，包括投資產品# [# 該等產品可能包括以下一項或多項的產品：股票、單位信託基金、外幣、商品、結構投資產品、認股權證、期權、期貨。]

This will take around 10 minutes. Based on the answers you have provided, you can check your risk tolerance.

完成問卷需時大約十分鐘。根據您所提供的答案，您可了解自己的投資風險取向。

1. Which of the below statements best describe your account or current financial situation?

以下哪一個選項最適合形容您現時的財政狀況？

- a. My current income needs are fully relied on my investments.  
我完全依賴我的投資作為我目前的收入來源。
- b. My current income needs are partly relied on my investments.  
我依賴我的投資作為我部分的收入來源。
- c. My current income needs do not rely on my investments.  
我不依賴我的投資作為我目前的收入來源。

2. How many years of experience do you have with investment products? These investment products could include, for example, equities, mutual funds, foreign currencies, bonds, commodities, structured products, warrants, futures, options, and alternative investments such as hedge funds and private equity.

您對投資產品有多少年的經驗？這些投資產品可能包括股票、互惠基金、外匯、債券、商品、結構性產品、窩輪、期貨、期權及另類投資如對沖基金和私募股權等。

- a. No experience  
無經驗
- b. < 1 year  
少於一年
- c. 1-3 years  
一至三年
- d. 3-5 years  
三至五年
- e. > 5 years  
多於五年

3. How much of your investments would you liquidate to meet liquidity need or an unforeseen event?

為了滿足生活的流動性需求或出現突發事件，您將對您的投資組合進行多少出售？

- a. I would sell more than 50% of my investment portfolio.  
我會出售投資組合內超過百分之五十的產品。
- b. I would sell 30% to 50% of my investment portfolio.  
我會出售投資組合內百分之三十至百分之五十的產品。

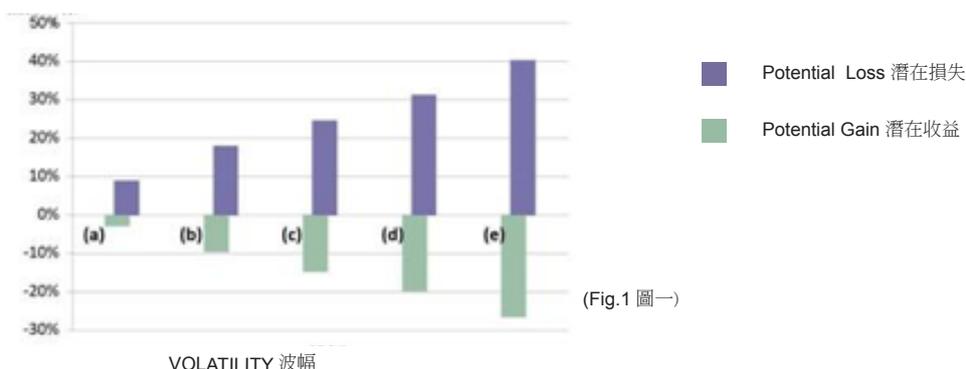
- c. I would sell 20% to 30% of my investment portfolio.  
我會出售投資組合內百分之二十至百分之三十的產品。
- d. I would sell no more than 20% of my investment portfolio.  
我會出售投資組合內不多於百分之二十的產品。
- e. I would not have to sell any of my investment portfolio.  
我不會出售任何投資組合內的產品。
4. It is generally true that the longer the investment horizon, the higher the risk an investor can tolerate, and the values of investment products will fluctuate. What time horizon would you generally be comfortable with when investing in investment products?  
一般而言, 投資時間越長代表投資者能承受的風險越高以及投資產品的價值波動越大。您在投資時, 通常會選擇投資多長時間?
- a. Less than 1 year  
少於一年
- b. 1-3 years  
一至三年
- c. 3-5 years  
三至五年
- d. 5-10 years  
五至十年
- e. >10 years  
多於十年
5. What portion of your net worth would you intend to invest and accept that the investment may suffer a potential loss?  
您會撥作投資的資產淨值比例是多少? 請注意, 買賣投資產品可能帶來虧損。
- a. 0%
- b. >0% and 50%  
大過0%至50%
- c. Over 50%  
大過50%
6. Generally, investment involves a trade-off between risk and return which indicates that higher risk will result in high return with high fluctuations, and vice versa. In order to achieve your expected returns, which statement best describes the degree of losses you are willing to take?  
投資通常是風險與回報的取捨。獲得高回報的投資者往往承受的波動與損失風險較高。以下哪項描述最符合您為達致預期回報而願意承受損失的程度?
- a. I am willing to accept minimal amount of capital loss.  
我願意接受輕微的資金損失。
- b. >0% and 50%  
我願意接受中度的資金損失。
- c. Over 50%  
我願意接受大額的資金損失。
7. On the whole, which of the following best describes your investment objective?  
以下哪一項最能描述您的投資目的?
- a. Wealth preservation (Only small amount of capital loss could be accept)  
財富保值 (願意接受輕微的資金損失)
- b. A regular stream of stable income  
穩定收入來源
- c. A combination of income and capital growth  
收入及資本增長
- d. Achieve substantial long term capital growth  
長期實質的資本增長
- e. High capital appreciation  
大幅資本增長

8. The following answer options are descriptions of 5 sample portfolios (fig.1) and their potential portfolio gain and loss outcomes over a short time horizon (i.e. 1 year). Which of the sample portfolio would be most attractive to you?

下列答題選項顯示5種不同投資組合(圖1)於較短投資期(如1年)的潛在\*收益和損失。您認為哪一個投資組合最吸引您?

- a. Portfolio (a) - I am willing to accept a potential loss of 3% in exchange for 9% potential upside.  
投資組合(a) - 我願意接受3%的潛在損失,以換取9%的潛在回報。
- b. Portfolio (b) - I am willing to accept a potential loss of 10% in exchange for 18% potential upside.  
投資組合(b) - 我願意接受10%的潛在損失,以換取18%的潛在回報。
- c. Portfolio (c) - I am willing to accept a potential loss of 15% in exchange for 25% potential upside.  
投資組合(c) - 我願意接受15%的潛在損失,以換取25%的潛在回報。
- d. Portfolio (d) - I am willing to accept a potential loss of 20% in exchange for 31% potential upside.  
投資組合(d) - 我願意接受20%的潛在損失,以換取31%的潛在回報。
- e. Portfolio (e) - I am willing to accept a potential loss of 27% in exchange for 40% potential upside.  
投資組合(e) - 我願意接受27%的潛在損失,以換取40%的潛在回報。

PORTFOLIO RETURN 組合回報



9. Which option shown below would best describe your action when your value of investments drop over a period of time due to market fluctuations?  
倘若您的投資價值經過一段時間後由於市場波動而下跌,您會如何處置?

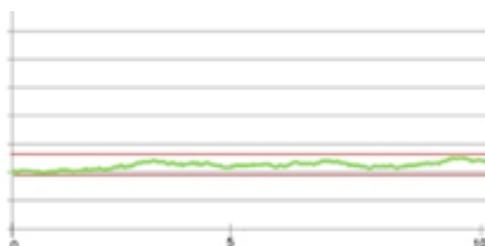
- a. I do not wish to hold on to any investments at a loss and will sell the investments immediately even if the drop in value is small.  
我不願意持有任何虧損的投資,即使跌幅輕微也會立刻出售。
- b. I will sell the investments if the drop in value is large.  
倘若下跌幅度較大,我會將投資出售。
- c. I will sell some of the investments if the drop in value is large, and wait for the remaining investments to recover in value.  
倘若下跌幅度較大,我會將部分投資出售,保留其餘投資等待價值回升。
- d. I will not sell the investments, regardless of the drop in value, as I would like to wait for the investment to recover in value.  
即使投資價值下跌,我也不會出售投資,而會願意等待其價值回升。
- e. I will not sell the investments, regardless of the drop in value, and will buy more to capitalise on the cheaper price.  
即使投資價值下跌,我也不會出售投資,反而會考慮趁低吸納。

10. Generally, higher returns are coupled with higher risks and fluctuations. The following answer options describe the level of fluctuations in the value of 5 different investment portfolios over a long period of time, e.g. 10 years. Which would you be most comfortable investing in?

一般而言,回報越高,風險及波動亦越大。下列答題選項顯示5種不同投資組合於較長投資期(如10年)的波動水平,您會選擇哪項投資?

- a. Portfolio (a) - Limited fluctuation of 5% with small potential gain/loss  
投資組合(a) - 價值可能波動不大,上下波幅5%,潛在收益及損失較少。

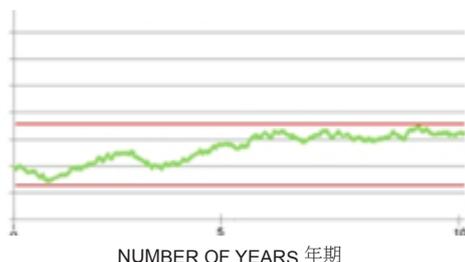
INDEX PRICE 指數價格



NUMBER OF YEARS 年期

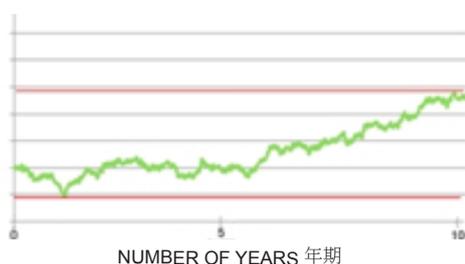
- b. Portfolio (b) - Fluctuation of more than 10% with more potential gain/loss  
投資組合(b) - 價值可能有較多波動，上下波幅10%，潛在收益及損失較多。

INDEX PRICE 指數價格



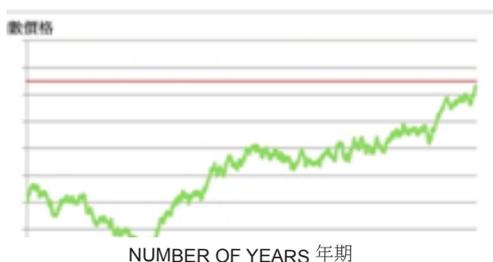
- c. Portfolio (c) - Fluctuation of more than 15% with moderate gain/loss  
投資組合(c) - 價值可能有適度波動，上下波幅15%，潛在收益及損失適中。

INDEX PRICE 指數價格



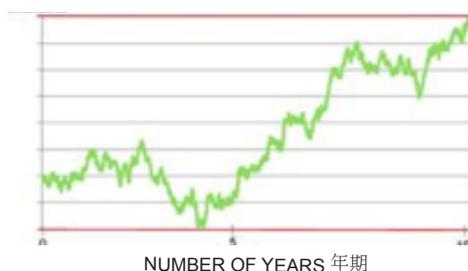
- d. Portfolio (d) - Fluctuation of more than 20% with high gain/loss  
投資組合(d) - 價值可能有相當大幅波動，上下波幅20%，潛在收益及損失頗多。

INDEX PRICE 指數價格



- e. Portfolio (e) - Fluctuation of more than 25% with substantial gain/loss  
投資組合(e) - 價值可能大幅波動，上下波幅超過25%，潛在收益及損失相當多。

INDEX PRICE 指數價格



This questionnaire is provided by Blackwell Global Securities Limited. The results of this questionnaire, including your assessed Risk Tolerance, are derived from information that you have provided, and only serve as a reference for your consideration when making your own investment decisions. This questionnaire and the results are not an offer to sell, or a solicitation for an offer to buy or sell, or a recommendation of any products and services and they should not be considered as investment advice. Our company accepts no responsibility or liability as to the accuracy or completeness of the information given. Personal information collected in this questionnaire will be kept confidential by our company. The information may be used by our company under a duty of confidentiality, for preparing, designing and/or marketing of financial products and services.

此問卷由博威環球證券有限公司提供。此問卷結果，包括為您評估的投資風險取向，基於您所提供的資料，並只供您作為個人投資決定的參考。此問卷內容及結果不可視為對任何產品及服務的銷售邀請、招攬購買或銷售之邀請，亦不應當作投資意見。本公司對上述有關資料的準確性或完整性並不負上任何責任。本公司確保此問卷內的個人資料保密。您提供的資料只會在保密的情況下，供公司作準備、設計、推廣理財產品或服務之用。

# RESULT

## 結果

### 0 SECURE 穩當型

You generally do not want to take any investment risk, since you can accept no investment loss. Financial products with an investment element are not suitable for you. Products that are potentially suitable for you are likely to produce returns that are based on prevailing interest rates which may or may not keep pace with inflation.

你基本上不希望承受任何投資風險，因為你無法承受任何投資損失。含投資成分的金融產品不適合您。可能適合您的產品回報很可能僅相當於當時的利率，未必能夠彌補通脹。

### 1 VERY CAUTIOUS 非常謹慎型

You are generally comfortable with achieving minimal level of return potential on your investment coupled with minimal risks. Capital values of products that are potentially suitable for you can fluctuate and may fall below your original investment. In normal market conditions fluctuation is expected to be minimal (although this is not guaranteed), and you are comfortable with this level of fluctuation. Based on the information you provided, you can consider whether investment products with risk rating 1 are suitable for you.

你基本上接受輕微的損失，以換取輕微的潛在投資回報。可能適合您的產品之資本價值可能波動並跌至低於您原本的投資額。預期在正常市況下僅輕微波動（縱使不能保證），而您可接受此程度的波動。根據您提供的資料，您可以考慮評為一級風險的投資產品適合您。

### 2 CAUTIOUS 非常謹慎型

You are generally comfortable with achieving a low level of return potential on your investment coupled with a low level of risk. Capital values of products that are potentially suitable for you can fluctuate and may fall below your original investment. In normal market conditions fluctuation is expected to be low (although this is not guaranteed), and you are comfortable with this level of fluctuation. Based on the information you provided, you can consider whether investment products with risk rating 2 or below are suitable for you.

你基本上接受低程度的損失，以換取低程度的潛在投資回報。可能適合您的產品之資本價值可能波動並跌至低於您原本的投資額。預期在正常市況下波動較小（縱使不能保證），而您可接受此程度的波動。根據您提供的資料，您可以考慮評為二級或以下風險的投資產品適合您。

### 3 BALANCED 平衡型

You are generally comfortable with achieving a moderate level of return potential on your investment coupled with a moderate level of risk. Capital values can fluctuate and may fall below your original investment. Fluctuation is expected to be higher than products that are suitable for investors in lower risk tolerance categories, but not as much as for higher risk tolerance categories. Based on the information you provided, you can consider whether investment products with risk rating 3 or below are suitable for you.

你基本上接受中度的損失，以換取中度的潛在投資回報。資本價值可能波動並跌至低於您原本的投資額。預期產品波動大於適合較低風險承受能力投資者的產品，惟小於適合較高風險承受能力投資者的產品。根據您提供的資料，您可以考慮評為三級或以下風險的投資產品適合您。

### 4 ADVENTUROUS 進取型

You are generally comfortable with achieving a high level of return potential on your investment coupled with high level of risk. Capital values can fluctuate significantly and may fall quite substantially below your original investment. You understand the risk/reward equation, and are comfortable with this level of fluctuation. Based on the information you provided, you can consider whether investment products with risk rating 4 or below are suitable for you.

你基本上接受高程度的損失，以換取高程度的潛在投資回報。資本價值可能有相當大幅的波動並跌至頗低於您原本的投資額。您明白風險越大，回報越高的原則，而您可接受此程度的波動。根據您提供的資料，您可以考慮評為四級或以下風險的投資產品適合您。

### 5 SPECULATIVE 投機型

You are generally comfortable with maximising your return potential on investment coupled with maximised risk. Capital values can fluctuate widely and may fall substantially below your original investment. You understand the risk/reward equation, and are comfortable with this level of fluctuation. Based on the information you provided, you can consider whether investment products with risk rating 5 or below are suitable for you.

你基本上接受高程度的損失，以換取高程度的潛在投資回報。資本價值可能有相當大幅的波動並跌至頗低於您原本的投資額。您明白風險越大，回報越高的原則，而您可接受此程度的波動。根據您提供的資料，您可以考慮評為四級或以下風險的投資產品適合您。

Your tolerance to investment risk has been assessed as  
您的投資風險承受能力被評定為:

CLIENT'S INITIAL 客戶簽署

STAFF'S INITIAL 經紀簽署

## DISCLAIMER 免責聲明

- The results of this questionnaire are derived from the information that you have provided to Blackwell Global and on certain generally accepted assumptions and reasonable estimates. Calculations and values used in this questionnaire are used for illustration purpose only. The Group accepts no responsibility or liability as to the accuracy or completeness of the information containing in this questionnaire and/or the results.

本問卷的結果是從您向本集團提供的資料，並根據若干普遍接納的假設及合理估算而得出。本問卷採用的方法及取值僅供說明用途。本集團對本問卷所載資料及 / 或 所得結果的準確性或完整性並不負責或承擔任何法律責任。
- This questionnaire and the results only serve as a reference for your consideration, and are not an offer to sell or a solicitation for an offer to buy any financial products and services and they should not be considered as investment advice or recommendation.

本問卷及所得結果僅供您參考，並非購買或出售任何金融產品及服務的要約或招攬，亦不應被視為投資意見或推薦。
- Please be reminded that any failure to fully disclose all or any of your personal circumstances (e.g. financial situation), inaccurate, incomplete or outdated information may affect our assessment of your attitude and capacity for investment risks. If there is any change in circumstances which may affect your answer(s) to any question in this questionnaire, we strongly recommend that you should complete this questionnaire again.

請注意，倘若您未能全面披露所有或任何有關您的個人狀況(如財務狀況)、不正確、不完整或過時的資料可能影響本集團評估您對投資風險的態度及承受能力。如您的狀況出現變動而可能影響本問卷中任何問題的答案，我們極力建議您再次填寫本問卷。

## CUSTOMER DECLARATION 客戶聲明

I hereby declare that the information I have provided in this form is in all respects true, accurate and complete and agree that my investment risk tolerance analysis is correctly stated above.

本人(等)謹此聲明: 本人(等)為本問卷所提供資料為真實、正確及全面，並同意上述的投資風險承受能力分析為正確。

### SIGNATURE OF INDIVIDUAL/ PRIMARY ACCOUNT HOLDER 個人/主要帳戶持有人簽署



Print Name

正楷姓名

Date (dd/mm/yyyy)

日期 (日/月/年)

### SIGNATURE OF SECONDARY JOINT ACCOUNT HOLDER 聯名帳戶持有人簽署

Print Name

正楷姓名

Date (dd/mm/yyyy)

日期 (日/月/年)



Blackwell Global Securities Limited  
博威環球證券有限公司

## 「博威環球與中國銀行(香港)」聯合發出的子賬戶申請表格

客戶名稱: \_\_\_\_\_

身份證/護照號碼: \_\_\_\_\_

商業登記證號碼/公司註冊證書號碼: \_\_\_\_\_

本人/本公司現向貴集團(「博威環球證券有限公司」)申請一個「博威環球與中國銀行(香港)」聯合發出的子賬戶，作為日後存款用途。

本人/本公司已清楚當款項存入貴集團時，一般存款做法收款人名稱是寫上「博威環球證券有限公司」，但是“子賬戶”是以客戶本人的姓名/本公司的名稱為收款人，所以本人/本公司謹此聲明當本人/本公司一經選擇透過中國銀行(香港)有限公司的“子賬戶”方法存入款項時，即使於存款表格上填寫抬頭或收款人為本人的姓名/本公司的名稱，亦表明及確認該筆款項是存入本人/本公司在博威環球證券有限公司的戶口內。

若「博威環球與中國銀行(香港)」聯合發出的子賬戶申請表格中文版及英文版存在任何歧義，概以中文版本為準。

客戶簽署：

S.V.

\_\_\_\_\_  
(請用留存本公司記錄之簽署式樣)

日期：\_\_\_\_\_

博威環球內部專用(20171227版本)

博威環球客戶賬戶號碼：: \_\_\_\_\_

客戶服務部

營運部

驗證客戶簽署:

批准:

輸入:

審查:

\_\_\_\_\_

# REQUEST SERVICE FOR ELECTRONIC TRADING PLATFORM

## 期貨電子交易系統服務表

Client Name 客戶姓名: \_\_\_\_\_

Futures A/C No. 期貨帳戶號碼: \_\_\_\_\_

### REQUEST:

Esunny  
易盛電子交易平台

MT5 (Two-Factor Authentication by iTrade)  
(透過 iTrade 作雙重認證)

Remarks 備註: \_\_\_\_\_

### DISCLAIMER 免責聲明

1. Please note that transactions undertaken on an electronic trading system may give rise to potential risks such as hardware and software failures. In such an event, trading orders submitted through an electronic trading system may be negatively affected or even rejected.

如你透過某個電子交易系統進行買賣，你須承受該系統帶來的風險，包括有關硬件或軟件可能會失靈的風險。系統失靈可能會導致持牌人或註冊人的買賣盤不能根據指示執行，或完全不獲執行。

2. Internet communication over the public network may be subjected to transmission blackouts, interruption, interception or incorrect data transmission that are beyond the control of the platform provider. As messages sent over the internet may not be completely secure, you should be aware of and bear the risks of any delay, loss, diversion, alteration, corruption or virus infection of any digital instructions sent to your licensed or registered platform provider. The licensed or registered platform provider shall not be responsible for any losses or damages incurred as a result thereof.

互聯網上的通訊可能暫時中斷、傳遞終止或截取，或因互聯網的公眾背景或其他持牌人或註冊人不能控制的理由引致資料傳送有失誤。透過互聯網發出的訊息無法保證完全安全。你應注意，任何經持牌人或註冊人系統發出或接收的訊息/指示均可能出現被延誤、遺失、轉換、更改、訛用或被病毒感染的風險，你須為有關風險負責。持牌人或註冊人不會就有關的損失及損害負上責任。

I hereby understand, and agree to bear all risks involved in issuing instructions or executing transactions via the company's electronic trading platform over the internet, including risks of delay caused by increased latency and network congestion.

本人（等）明白到通過電子交易系統發出指示以及通過貴公司的系統執行的交易涉及各種風險。

本人並同意承擔因網路擠塞或其他原因而引致通過互聯網傳送的訊息有所延誤的風險。

### SIGNATURE OF CLIENT

客戶授權簽署

Date (dd/mm/yyyy)  
日期 (日/月/年)

### FOR OFFICE USE ONLY

Verified by:

Approved by:

Data Input by:

Checked by: