東方證券(香港)有限公司
ORIENT SECURITIES (HONG KONG) LIMITED

東方期貨(香港)有限公司
ORIENT FUTURES (HONG KONG) LIMITED

客戶賬號:
Account No.

個人/聯名帳戶申請書

INDIVIDUAL / JOINT ACCOUNT APPLICATION FORM

請簽署此資料表格前閱讀有關的賬戶協議及相關的附件
Please read the Account Agreement and the related schedules(s) before signing on this Information Form

東方證券(香港)有限公司
ORIENT SECURITIES (HONG KONG) LIMITED

(中央編號 CE NO.: AVD362)

東方期貨(香港)有限公司
ORIENT FUTURES (HONG KONG) LIMITED

(中央編號 CE NO.: AWD036)

香港中環皇后大道中 100 號 28 - 29 樓
28/F & 29/F, 100 Queen's Road Central, Hong Kong
電話 Tel: (852) 3519 1188 傳真 Fax: (852) 2259 9188
網址 Website: www.dfzq.com.hk

個人/聯名帳戶申請書 Individual / Joint Account Application Form

帳戶類別 Type of Account	☐ 證券現金帳戶 Securities Cash Account	☐ 證券保證金帳戶 Securities Margin Account	☐ 股權激勵帳戶 ESOP Account
	☐ 股票期權帳戶 Stock Options Account	☐ 期貨帳戶 Futures Account	
選擇網上交易帳戶 Internet Trading	☐ 是 Yes* ☐ 否 No *如為聯名帳戶，任何一位聯名帳戶持有人都能於網上作出交易指示。 For Joint Securities Account, any one of the account holders may give		

證券帳號 Securities Account No.	
股票期權帳號 Stock Options Account No.	
期貨帳號 Futures Account No.	
股權激勵帳號 ESOP Account No.	

選擇帳戶 Account Type	☐個人帳戶 Individual Account	☐ 聯名帳戶 Joint Account 請一併提交第二帳戶持有人開戶表格補充文件。 Please provide the Secondary Account Holder's supplementary account opening form and relevant document. 第二帳戶持有人姓名 Name of Secondary Account Holder:
帳戶操作 (只適用於聯名帳戶) **Account Operation (For Joint Account only)**	☐ 任何一位帳戶持有人 Any one of the account holders ☐ 兩位聯名帳戶持有人 Both of the account holders 可簽署及/或為證券期貨進行支付、提取及/或轉帳事宜 may sign and/or effect payment, withdrawal and/or transfer transaction(s) for securities	
	任可一位帳戶持有人可透過任何途徑發出交易指示 Any one of the account holders may give transaction order by any means	

市場選擇 Choice of Market（開立證券現金/保證金帳戶適用）(For Stock Cash / Margin Account only)

☐ 香港股票市場 (HK)	☐ 滬深港通 (CHINA STOCK CONNECT)
☐ 美國股票市場 (USA) *已填寫 Had filled in W8-BEN/W9 表格 W8-BEN/W9 簽署日期 Signed Date:_____	☐ 債券市場 (BND) *已填寫 Had filled in W8-BEN/W9 表格 W8-BEN/W9 簽署日期 Signed Date:_____
☐ 基金市場 (FUNDS)	☐ 加拿大股票市場 (CAN)
☐ 日本股票市場 (JPN)	☐ 澳洲股票市場 (AUS)
☐ 中國 B 股票市場（上海 B 股和深圳 B 股 – SSB/SZB）	☐ 德國股票市場 (GER)
☐ 英國股票市場 (UKG)	☐ 新加坡股票市場 (SGX)
☐ 美國股票櫃檯交易板 (USA OTC "UV") *已填寫 Had filled in W8-BEN/W9 表格 W8-BEN/W9 簽署日期 Signed Date:_____ *客戶應根據本身的投資經驗，風險承受能力和其他相關條件，小心衡量自己是否適合參與該等買賣及徵求獨立專業意見。 Client should carefully review his/her suitability in participating the concerned trading activity in accordance to his/her investment experience, risk-bearing capability and other relevant criteria.	☐ 臺灣股票市場 (TWN) ☐ 其他市場(請注明) Other markets (Please specify) _____

A 個人資料 Personal Information

帳戶持有人/第一帳戶持有人 Account Holder/ Primary Account Holder

1 客戶姓名 Client's Name 先生 Mr. / 女士 Ms. / 太太 Mrs. / 小姐 Miss

姓 (英文/拼音) Surname		名 (英文 /拼音) Given Name	
姓名 (中文, 如有) Chinese Name (if applicable)			

出生地點 Place of Birth	出生日期 Date of Birth	年 Year	月 Month	日 Day

2 身份證號碼 / 護照號碼 I.D. Card No. / Passport No.

3 國籍 / 公民身份 Nationality / Citizenship

4 教育水平 Education Level ☐ 小學程度或以下 Primary Educated Level or below ☐ 中學畢業 Secondary Graduate ☐ 大學畢業 University Graduate ☐ 碩士畢業或以上 Postgraduate or above

5 住宅地址 Residential Address (郵編 Postal Code)

6 通訊位址 (如與以上地址有不同/Only if the address is different from above)
Correspondence Address

(郵編 Postal Code)

7 電郵地址
E-mail Address

8

住宅電話 Home Phone No.	流動電話 Mobile Phone No.	傳真機號碼 Fax No.
( )	( )	( )

9 ☐ QQ: _____ ☐ 微信 WeChat: _____ ☐ 其他（请注明）Others (Please specify): _____

注：我司將有可能通過 QQ/微信/其他可行的途徑為您發送重要的服務信息。We may send important messages to you via QQ/WeChat/other feasible ways provided by you.

B 交易確認書及通信發送 Trade Confirmations and Correspondence to be sent to

☐ 電郵地址 Email Address ☐ 住宅地址 Residential Address* ☐ 通信地址 Correspondence Address*

*(若客戶要求以郵寄方式收取帳單, 每一帳戶將會收取結單月費 Statement fee per account will be charged for requesting to receive statements by mail.)

C 業務 / 工作狀況 Business / Employment Status

☐受雇 Employed ☐自雇 Self-Employed ☐ 退休 Retired ☐ 家庭主婦 Housewife ☐ 學生 Student ☐ 待業 Unemployed ☐ 自由職業 Freelancer
☐全職投資者 Full-time Investor ☐ 其他（请注明）Others (Please specify): _____

1 公司名稱 Company Name

2 辦公室電話 Office Phone No.

3 業務性質 Nature of Business

4 職位 Job Title

5 受雇年期 Years of Service

6 辦公室地址 Office Address

D 財政狀況 Financial Situation

1 年收入 Annual Income

☐ < HKD 200,000 ☐ HKD 200,000 — < 500,000 ☐ HKD 500,000 — < 1,000,000
☐ HKD 1,000,000 — < 2,000,000 ☐ HKD 2,000,000 — < 5,000,000 ☐ ≥ HKD 5,000,000

2 住屋業權 Ownership of Residence

☐ 自置物業 Self- Owned ☐ 按揭物業 Mortgaged ☐ 宿舍 Quarters ☐ 與家人同住 Living with family ☐ 租賃 Rented ☐ 其他（请注明）Others (Please specify) _-_____

3 資產 / 資金來源 Source of Wealth（如需要，可勾選多個）(Tick more than one box, if appropriate)
☐ 投資 Investment ☐ 薪金及/或花紅 Salary and/or Bonus ☐ 存款 Savings ☐ 遺產/贈予 Inheritance/Gift ☐ 生意收入 Business Income ☐ 租金 Rental
☐ 退休金 Pension ☐ 其他（请注明）Others (Please specify)_____

資產/資金來源地 Origin of Source of Funds（如需要，可勾選多個）(Tick more than one box, if appropriate):
☐ 內地 Mainland ☐ 香港 Hong Kong ☐ 澳門 Macau ☐ 臺灣 Taiwan ☐ 其他（请注明）Others (Please specify) _____

大約資產淨值 (總資產減總負債) Approximate net value of assets (Total Asset Minus Total Liability):
☐ < HKD1,000,000 ☐ HKD1,000,000 — < 5,000,000 ☐ HKD5,000,000 — < 10,000,000 ☐ ≥ HK10,000,000

可投資資產總值（投資組合和現金的總和（不包括房產、藝術品、汽車等價值）扣除個人貸款和信用卡餘額）Total value of investable assets (sum of investment portfolio and cash (excluding the value of properties, artwork, cars) net of personal loans and credit card balances)
☐ < HKD200,000 ☐ HKD200,000 — < 1,000,000 ☐ HKD1,000,000 — < 5,000,000 ☐ HKD5,000,000 — < 8,000,000 ☐ ≥ HKD8,000,000

預期投資數目 / 預期帳戶活動 Expected Investment Size/ Anticipated Account Activity
☐ < HKD200,000 ☐ HKD200,000 — < 1,000,000 ☐ HKD1,000,000 — < 5,000,000 ☐ HKD5,000,000 — < 8,000,000 ☐ ≥ HKD8,000,000

E 投資經驗 Investment Experience

1. 投資經驗 Investment Experience

股票 Stocks

☐ 非複雜產品（如：於聯交所買賣的股份）Non-Complex Product (e.g. Shares traded on the SEHK)	☐ 1 年以下 (below 1 year)	☐ 1 年至 3 年 (1 to 3 years)	☐ 3 年至 5 年 (3 to 5 years)	☐ 6 年至 10 年 (6 to 10 years)	☐ 10 年以上 (above 10 years)
☐ 複雜產品（如：於聯交所買賣的股票衍生工具如衍生權證、牛熊證及上市認股權、合成 ETF、期貨 ETF、杆及反向產品）Complex Product (e.g. Equity derivatives traded on the SEHK such as DWs, CBBCs and listed share options,	☐ 1 年以下 (below 1 year)	☐ 1 年至 3 年 (1 to 3 years)	☐ 3 年至 5 年 (3 to 5 years)	☐ 6 年至 10 年 (6 to 10 years)	☐ 10 年以上 (above 10 years)

Synthetic ETFs,, futures-based ETFs, Leveraged & Inverse products)					
期貨和期權 Futures & Options					
☐ 複雜產品（如：於期交所買賣的期貨合約） Complex Product (e.g Futures contracts traded on the HKFE)	☐ 1 年以下 (below 1 year)	☐ 1 年至 3 年 (1 to 3 years)	☐ 3 年至 5 年 (3 to 5 years)	☐ 6 年至 10 年 (6 to 10 years)	☐ 10 年以上 (above 10 years)
商品 Commodities					
☐ 非複雜產品（如：金、銀等貴金屬） Non-Complex Product (e.g. Gold, Silver and other precious metal)	☐ 1 年以下 (below 1 year)	☐ 1 年至 3 年 (1 to 3 years)	☐ 3 年至 5 年 (3 to 5 years)	☐ 6 年至 10 年 (6 to 10 years)	☐ 10 年以上 (above 10 years)
債券 Bonds					
☐ 非複雜產品（如：非複雜債券，包括不具有其他特點的可贖回債券） Non-Complex Product (e.g. Non-complex bonds, including callable bonds without other special features)	☐ 1 年以下 (below 1 year)	☐ 1 年至 3 年 (1 to 3 years)	☐ 3 年至 5 年 (3 to 5 years)	☐ 6 年至 10 年 (6 to 10 years)	☐ 10 年以上 (above 10 years)
☐ 複雜產品（如：永久債券、可轉換債券、次級債券） Complex Product (e.g. Perpetual Bond, Convertible Bond, Subordinated Bond)	☐ 1 年以下 (below 1 year)	☐ 1 年至 3 年 (1 to 3 years)	☐ 3 年至 5 年 (3 to 5 years)	☐ 6 年至 10 年 (6 to 10 years)	☐ 10 年以上 (above 10 years)
基金 Funds					
☐ 非複雜產品（如：證監會認可的非衍生產品基金） Non-Complex Product (e.g. Non-derivative funds authorized by the SFC)	☐ 1 年以下 (below 1 year)	☐ 1 年至 3 年 (1 to 3 years)	☐ 3 年至 5 年 (3 to 5 years)	☐ 6 年至 10 年 (6 to 10 years)	☐ 10 年以上 (above 10 years)
☐ 複雜產品（如：對沖基金、私募股權基金、衍生產品基金） Complex Product (e.g. Hedge Funds, Private Equity Funds, Derivative funds)	☐ 1 年以下 (below 1 year)	☐ 1 年至 3 年 (1 to 3 years)	☐ 3 年至 5 年 (3 to 5 years)	☐ 6 年至 10 年 (6 to 10 years)	☐ 10 年以上 (above 10 years)
☐ **其他 (請注明)** **Others (Please specify)** _____	☐ 1 年以下 (below 1 year)	☐ 1 年至 3 年 (1 to 3 years)	☐ 3 年至 5 年 (3 to 5 years)	☐ 6 年至 10 年 (6 to 10 years)	☐ 10 年以上 (above 10 years)

2. 投資目標 (可多選) ☐ 保本 ☐ 資本增值 ☐ 股息回報 ☐ 對沖 ☐ 投機 ☐ 其他（请注明）
Investment Objective (May choice more than one) Capital Capital Growth Dividend Yield Hedging Speculation Others (Please specify) _____----------_____
Preservation

F 衍生產品的認識 Knowledge of Derivatives

1. 客戶曾否在以往三年內執行過五宗或以上結構性或衍生產品交易?（不論是否在交易所買賣的交易）
Have you executed five or more transactions in structured or derivative product(s) within the past three years? (Whether traded on an Exchange or not)

☐ 是 Yes ☐ 否 No

2. 客戶曾否接受有關結構性或衍生產品的培訓或相關課程?
Have you ever attended any trainings or courses on structured or derivative product(s)?

☐ 是 Yes ☐ 否 No

3. 客戶現時或過去有否從事與衍生產品有關的工作？
Do you have any work experience related to derivative product(s)?

☐ 是 Yes ☐ 否 No

4. 本人確認已仔細閱讀及完全明白，由東方證券(香港)有限公司(“東方證券(香港)”)/東方期貨(香港)有限公司(“東方期貨(香港)”)提供，並以本人所選擇之語言(英文或中文)的「就在交易所買賣的衍生產品所附帶的風險作解釋」。本人並願意承擔交易衍生產品所帶來的相關潛在風險。
I acknowledge that I have read and fully understood the document entitled “Explanation of Risks Associated with Exchange-Traded Derivative Products” provided by Orient Securities (Hong Kong) Limited (“Orient Securities (Hong Kong)”)/Orient Futures (Hong Kong) Limited (“Orient Futures (Hong Kong)”) in a language of my choice (English or Chinese). I am willing to accept the risks associated with trading derivative products.

☐ 同意並有意於東方證券(香港)/東方期貨(香港)進行衍生產品買賣交易
Agreed and wish to trade derivative products at Orient Securities (Hong Kong)/ Orient Futures (Hong Kong).

☐ 不同意並無意於東方證券(香港)/東方期貨(香港)進行衍生產品買賣交易
Disagreed and do not wish to trade derivative product at Orient Securities (Hong Kong)/ Orient Futures (Hong Kong).

G 銀行資料 Bank Reference

銀行帳戶記錄 BANK ACCOUNT RECORD

客戶的款項將會被轉入下列銀行帳戶

All funds payable to Client will be credited into the following bank account

銀行 Bank_____ 帳戶名稱 Account Name _____

分行 Branch_____ 帳戶號碼 Account No. _____

帳戶類別 Account Type ☐ 儲蓄 Savings ☐ 往來 Current ☐ 其他（請注明）Others (Please specify) _____

帳戶貨幣類別 Currency Type ☐ 港幣 HKD ☐ 人民幣 RMB ☐ 美金 USD ☐ 其他（請注明）Others (Please specify) _____

H 客戶聲明 Client Declaration

1. 客戶是否此帳戶的最終權益擁有人?
Are you the ultimate beneficial owner(s) in relation to the Account? ☐ 是 Yes ☐ 否 No

若不是, 最終權益擁有人姓名為 If "No", name of the ultimate beneficial owner(s) _____

若不是, 最終權益擁有人身份證號碼/護照號碼為 If "No", ID No./ Passport No. of the ultimate beneficial owner(s) _____
與最終權益擁有人的關係 Relationship with ultimate beneficial owner(s) _____

2. 客戶是否根據《證券及期貨條例》登記之持牌法團之雇員?
Are you an employee of a licensed corporation under the Securities and Futures Ordinance?

☐ 是 Yes ☐ 否 No

若是，持牌法團名稱為 If "Yes", name of the Licensed Corporation _____

若是，中央編號為 If "Yes", CE No. _____

3. 客戶是否東方證(香港)有限公司/東方期貨(香港)有限公司或其聯營公司之員工?
Are you an employee of Orient Securities (Hong Kong) Limited/Orient Futures (Hong Kong) Limited or its associated companies?

☐ 是 Yes ☐ 否 No

若是，公司名稱為 If "Yes", name of the Company _____

若是，部門名稱為 If "Yes", name of the Department _____

4. 客戶是否與東方證券(香港)有限公司/東方期貨(香港)有限公司的職員 / 代理人有親戚關係?
Are you a relative of an employee / agent of Orient Securities (Hong Kong) Limited/Orient Futures (Hong Kong) Limited?

☐ 是 Yes ☐ 否 No

若是，職員 / 代理人的姓名為 If "Yes", name of the employee/agent _____

若是，客戶與該職員/代理人之關係為 If "Yes", the relationship between you and the employee/agent _____

5. 客戶及/或客戶之配偶是否東方證券(香港)有限公司/東方期貨(香港)有限公司的客戶?
Is you and/or your spouse a client of Orient Securities (Hong Kong) Limited/Orient Futures (Hong Kong) Limited?

☐ 是 Yes ☐ 否 No

若是，客戶及/或客戶之配偶之帳戶名稱為 If "Yes", you and/or your spouse's Account Name_____
_____

若是，客戶及/或客戶之配偶之帳戶號碼為 If "Yes", you and/or your spouse's Account No._____
_____

6. 客戶及/或客戶之配偶是否控制東方證券(香港)有限公司/東方期貨(香港)有限公司任何公司保證金客戶的 35%或以上投票權?
Do you and/or your spouse control 35% or more of the voting rights of any margin corporate client of Orient Securities (Hong Kong) Limited/Orient Futures (Hong Kong) Limited?

☐ 是 Yes ☐ 否 No

若是，請提供該公司於東方證券(香港)/有限公司/東方期貨(香港)有限公司之帳戶資料:
If "Yes", please provide the account details of such margin corporate client in Orient Securities (Hong Kong) Limited/Orient Futures (Hong Kong) Limited:

該公司客戶之帳戶名稱為 Account Name of such margin corporate client _____

該公司客戶之帳戶號碼為 Account No. of such margin corporate client _____

7. 客戶曾否在香港或其他國家/地區破產、被申請破產、申請債務重組、被列入失信被執行人名單等，或其開立的公司被申請強制清盤？
Have you ever gone bankrupt, been filed for bankruptcy, applied for debt restructuring, been listed on the List of Dishonest Persons subject to Enforcement, etc. in Hong Kong or other countries/regions, or been files for compulsory winding-up of the company you opened?
☐ 是 Yes ☐ 否 No

8. 客戶曾否更改名字？
Have you ever changed your name?
☐ 是。請提供所有曾使用的名字 Yes. Please provide all previous name used _____ ☐ 否 No

I CRS 稅務居民自我認證 CRS Tax Residency Self-certification

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」）
Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN")

請提供以下資料，列明（a）帳戶持有人的居留司法管轄區，亦即帳戶持有人的**稅務管轄區**（香港包括在內）及（b）該居留司法管轄區發給帳戶持有人的稅務編號。列出**所有**（不限於3 個）居留司法管轄區。
Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a **resident for tax purposes** and (b) the account holder's TIN for each jurisdiction indicated. Indicate **all** (not restricted to three) jurisdictions of residence.

如帳戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。
If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.

如沒有提供稅務編號，必須填寫合適的理由A, B 或 C：
If a TIN is unavailable, provide the appropriate Reason A, B or C:

理由A - 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。
Reason A – The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.
理由B - 帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得稅務編號的原因。
Reason 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 C - 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。
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.

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

聲明 Declarations

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

本人證明，就與本表格所有相關的帳戶，本人是**帳戶持有人**簽署本表格。
I certify that I am the **account holder** of all the account(s) to which this form relates.

本人承諾，如情況改變，以致影響本表格第1 部所述的個人的稅務居民身份，或引致本表格所載的資料不正確，本人會及時通知東方證券（香港）有限公司/東方期貨（香港）有限公司，並會在情況發生改變後**30 日內**，向東方證券（香港）有限公司/東方期貨（香港）有限公司提交一份已適當更新的稅務居民自我認證表格。
I undertake to advise Orient Securities (Hong Kong) / Orient Futures (Hong Kong) of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide Orient Securities (Hong Kong) / Orient Futures (Hong Kong) with a suitably updated self-certification form **within 30 days** of such change in circumstances.

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

附錄– 定義 Appendix –Definitions

「帳戶持有人」- 指被維持該財務帳戶的財務機構列明為或識辨為帳戶的持有人的人士， 不論該人士是否為過渡實體。所以，如果一個信託或遺產被列明為某財務帳戶的持有人或擁有人，則帳戶持有人是該信託或遺產，而非受託人、信託的擁有人或受益人。同樣地，如果一個合夥被列明為某財務帳戶的持有人或擁有人，則帳戶持有人是該合夥，而非合夥的合夥人。除財務機構外，若有關人士以代理人、託管人、代名人、簽署人、投資顧問、仲介人或合法監護人身份代其他人士持有財務帳戶，他不會被視為帳戶持有人。在這種情況下，帳戶持有人應為該其他人士。以一個家長與子女開立的帳戶為例，如帳戶以家長為子女的合法監護人名義開立，子女會被視為帳戶持有人。聯名帳戶內的每個持有人都被視為帳戶持有人。
"Account Holder" - The "Account Holder" is the person listed or identified as the holder of a Financial Account by the Financial Institution that maintains the account. This is regardless of whether such person is a flow-through Entity. Thus, for example, if a trust or an estate is listed as the holder or owner of a Financial Account, the trust or estate is the Account Holder, rather than the trustee or the trust's owners or beneficiaries. Similarly, if a partnership is listed as the holder or owner of a Financial Account, the partnership is the Account Holder, rather than the partners in the partnership. A person, other than a Financial Institution, holding a Financial Account for the benefit or account of another person as agent, custodian, nominee, signatory, investment advisor, or intermediary, or legal guardian, is not treated as holding the account, and such other person is treated as holding the account. For example in the case of a parent/child relationship where the parent is acting as a legal guardian, the child is regarded as the Account Holder. With respect to a jointly held account, each joint holder is treated as an Account Holder.

「**稅務居民**」- 一般而言，如根據某個稅務管轄區的規定(包括稅收協定)，任何實體不僅就以有關稅務管轄區為來源的收入，亦因其居籍、居所、管理工作地點、成立為法團地點，或任何性質類似的其他準則，在有關稅務管轄區需要繳稅或有繳稅責任，便會成為該稅務管轄區的稅務居民。沒有稅務居民身份的實體，例如： 合夥、有限法律責任合夥或類似的法律安排，應被視為其實際管理地點所在稅務管轄區的稅務居民。一個信託應被視為一個或多於一個受託人居住的稅務管轄區的居民。有關稅務居民身份的更多資訊，請聯絡閣下的稅務顧問或流覽經濟合作與發展組織的自動交換資料網站： http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/.
"Resident for tax purposes" - Generally, an Entity will be resident for tax purposes in a jurisdiction if, under the laws of that jurisdiction(including tax conventions), it pays or should be paying tax therein by reason of his domicile, residence, place of management or incorporation, or any other criterion of a similar nature, and not only from sources in that jurisdiction. An Entity such as a partnership, limited liability partnership or similar legal arrangement that has no residence for tax purposes shall be treated as resident in the jurisdiction in which its place of effective management is situated. A trust is treated as resident where one or more of its trustees is resident. For additional information on tax residence, please talk to your tax adviser or refer to the OECD Automatic Exchange Portal at the following link: http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/.

「稅務編號（包括具有等同功能的識辨編號）」- 指納稅人的識辨編號或具有等同功能的識辨編號(如無納稅人的識辨編號)。稅務編號是稅務管轄區向個人或實體分配獨有的字母與數位組合，用於識別個人或實體的身份，以便實施該稅務管轄區的稅務法律。有關可接受的稅務編號的更多詳細資訊刊載於經濟合作與發展組織的自動交換資料網站： http://www.oecd.org/tax/automatic-exchange/crsimplementation-and-assistance/。
"TIN" (including "functional equivalent") - The term "TIN" means Taxpayer Identification Number or a functional equivalent (in the absence of a TIN). A TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual or an Entity and used to identify the individual or Entity for the purposes of administering the tax laws of such jurisdiction. Further details of acceptable TINs can be found at the OECD Automatic Exchange Portal at the following link: http://www.oecd.org/tax/automatic-exchange/crsimplementation-and-assistance/

某些稅務管轄區不發出稅務編號。但是，這些稅務管轄區通常使用具有等同識辨功能的其他完整號碼(「具有等同功能的識辨號碼」)。此類號碼的例子包括：
Some jurisdictions do not issue a TIN. However, these jurisdictions often utilise some other high integrity number with an equivalent level of identification (a "functional equivalent"). Examples of that type of number include –

(a) 就個人而言，社會安全號碼/保險號碼、公民/個人身份/服務代碼/號碼，以及居民登記號碼。.
for individuals, a social security/insurance number, citizen/personal identification/service code/number, and resident registration number.

(b) 就實體而言，商業/公司登記代碼/號碼。
for entities, a Business/Company Registration code/number.

J FATCA[1] 自我認證 Self-certification (如有需要，請諮詢你的稅務顧問 Consult your tax advisor if necessary)

1. 客戶是否是有納稅義務的美國居民?
Are you a U.S. tax resident [2]? ☐是 Yes ☐否 No

2. 客戶是否美國公民？
Are you a U.S. citizen [3]? ☐是 Yes ☐否 No

(如果你持有多國公民身份，而其中一個是美國，請勾選「是」If you hold multiple citizenships, select "Yes" if one of them is U.S.)

<u>如果閣下在以上任何一個問題勾選了「是」，請提交 W-9 表格</u>
<u>If you check "Yes" on any of the questions above, please complete the Form W-9.</u>

<u>備註 Remark:</u>

(1) 外國帳戶稅收遵從法 FATCA means U.S. Foreign Account Tax Compliance Act.

(2) 美國居民包括綠卡持有者(即美國永久居民卡)以及滿足實際居留標準的個人，即該帳戶控制人必須實際在美國居住至少：
- 于本年度滿 31 天; 及
- 于過去三年內滿 183 天#(包括本年度及前兩個年度)
#滿足居住滿 183 天的計算是「居住在美國的總天數」計算：總和 = 本年度所有天數 + 去年度三分之一天數 + 前年度六分之一天數
U.S. tax residents include Green Card holder (i.e. holder of U.S. Permanent Resident card) as well as individual who meets the substantial presence test to meet the substantial presence test, the Controlling Person must have been physically present in the U.S. on at least:
- 31 days during the current year, <u>and</u>
- 183 days# during the 3-year period (includes the current year and the 2 years immediately before).
#To satisfy the 183 days requirement, count: All of the days you were present in the current year, <u>and</u> One-third of the days you were present in the first year before the current year, <u>and</u> One-sixth of the days you were present in the second year before the current year.

(3) 美國公民包括出生于美國領土或美國的非憲轄管制領土（即美屬薩摩亞、關島、北馬里安納群島、波多黎各或美屬維爾京群島）
U.S. citizens include individuals born in the U.S. territory or possession of the United States (i.e., American Samoa, Guam, the Northern Mariana Islands, Puerto Rico, or the U.S. Virgin Islands).

K 個人資料保障聲明 Declaration for Data Protection

客戶明白亦同意及確認如下：
The Client understands and agrees and confirms that:

(i) 客戶已閱讀並明白於證券/期貨交易帳戶客戶協定中之《個人資料(私隱)條例》(「條例」)客戶通知，並同意及接受其條款。
the Client has read and understood the Circular to Clients Relating to Personal Data (Privacy) Ordinance (the "Ordinance") of Orient Securities (Hong Kong) Limited/Orient Futures (Hong Kong) Limited as contained in the Securities Account Client Agreement, and agrees to and accepts its terms.

(ii) 客戶亦已明白及同意一切由東方證券(香港)有限公司/東方期貨(香港)有限公司從本開戶表格或以其他方式獲取而由東方證券股份有限公司的相關聯繫或有關聯公司收集或持有的個人資料，均可供東方證券股份有限
公司成員使用作以下<u>自願性用途</u>：
the Client has understood and agreed that the personal information collected or held by Orient Securities (Hong Kong) Limited/Orient Futures (Hong Kong) Limited, whether contained in this form or otherwise obtained by the members of the Orient Securities Company Limited including an affiliated or associated company of members of the Orient Securities Company Limited, may be used by the members of the Orient Securities Company Limited for the following **<u>voluntary purposes</u>**:

(a) 為東方證券(香港)有限公司/東方期貨(香港)有限公司成員及/或東方證券股份有限公司成員的金融產品及服務提供市場推廣資料及進行直接市場推廣活動;及
to provide marketing materials and conduct direct marketing activities in relation to financial products and services of members of Orient Securities (Hong Kong) Limited/Orient Futures (Hong Kong) Limited and/or Orient Securities Company Limited; and

(b) 就東方證券(香港)有限公司/東方期貨(香港)有限公司成員及/或東方證券股份有限公司成員的服務及產品發展進行市場調查及研究。
to conduct market research and surveys for the members of Orient Securities (Hong Kong) Limited's/Orient Futures (Hong Kong) Limited's and/or Orient Securities Company Limited's development of service and product.

☐ **如客戶不欲東方證券(香港)有限公司/東方期貨(香港)有限公司成員及/或東方證券股份有限公司成員將客戶的個人資料用於上述<u>自願性用途</u>，請加上 ✓ 號。**
Please tick here if the Client does not want members of Orient Securities (Hong Kong) Limited and/or Orient Securities Company Limited to use his/her personal data for the <u>voluntary purposes</u> set out above.

L 常設授權 – 客戶證券（保證金證券帳戶客戶如未能提供此授權書，我司只會提供現金證券帳戶服務）

Standing Authority - Client Securities (If Margin securities account Clients unable to provide this form, only Cash securities account service will be provided)

致: 東方證券(香港)有限公司
Orient Securities (Hong Kong) Limited

東方期貨(香港)有限公司
Orient Futures (Hong Kong) Limited

香港中環皇后大道中 100 號 28-29 樓
28F-29F, 100 Queen's Road Central, Central, Hong Kong

敬啟者 Dear Sir/Madam

根據《證券及期貨(客戶證券)規則》所設立的常設授權 Standing Authorities under Securities and Futures (Client Securities) Rules

本常設授權書是有關一切由貴公司代表本人/我們購入或持有之證券。
This letter of Standing Authority covers all securities purchased or held by you on my/our behalf.

本常設授權書，根據《證券及期貨(客戶證券)規則》第 7 條的規定，授權貴公司:
Pursuant to Section 7 of the Securities and Futures (Client Securities) Rules, this letter authorizes you to:

1. 依據證券借貸協議運用任何本人/我們的證券或證券抵押品；
apply any of my/our securities or securities collateral to a securities borrowing and lending agreement;

2. 將任何本人/我們的證券抵押品存放於認可財務機構，作為提供予貴公司的財務通融的抵押品；及/或
deposit any of my/our securities collateral with an authorized financial institution as collateral for financial accommodation provided to you; and/or

3. 將任何本人/我們的證券抵押品存放於認可結算所或另一獲發牌或獲註冊進行證券交易的仲介人，作為解除貴公司在交收上的義務和清償貴公司在交收上的法律責任的抵押品，而無須通知本人/我們；及/或
deposit any of my/our securities collateral with a recognized clearing house or another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of your settlement obligations and liabilities, without notice to me/us; and/or

4. 將證券或證券抵押品存放于期權結算公司，作為因本人/我們向貴公司發出的指示而進行的交易所買賣期權活動的期權結算公司抵押品；及/或
To deposit the securities or securities collateral with the SEOCH as SEOCH Collateral in respect of Exchange Traded Options Business resulting from my/our instructions to you; and/or

5. 按貴公司同意之條款但受制於適用的監管規則，將本人/我們之證券及/或證券抵押品存入在香港或其它地方的任何一個或多個保管人及/或結算所或於它們間互相轉移；及/或
deposit or transfer my/our Securities and/or Securities Collateral with or to or interchangeably between any custodian(s) and/or clearing house(s), whether in Hong Kong or elsewhere, upon such terms as may be agreed by you but subject to applicable Regulatory Rules; and/or

6. 如果貴公司在證券交易過程中為本人/我們提供財務通融或在貴公司獲發牌或註冊以進行的任何其他受規管活動過程中亦為本人/我們提供財務通融，按照以上第 1 至 5 項運用、存入或以其它形式處理本人/我們之任何證券抵押品。
apply, deposit or otherwise deal with any of my/our Securities Collateral in accordance with the above items 1 to 5 if you provides financial accommodation to me/us in the course of dealing in securities or also provides financial accommodation to me/us in the course of any other regulated activity for which you are licensed or registered.

本人/我們明白認可結算所或其它獲發牌或獲註冊進行證券交易的中介人，將因應貴公司在交收上的責任及債務而對本人/我們的證券抵押品設定為第一固定押記。
I/We understand that the recognized clearing house or the intermediary licensed or registered for dealing in securities will have a first fixed charge over my/our securities collateral to the extent of your settlement obligations and liabilities.

本授權書並不涉及就貴公司借、貸或存放本人/我們任何證券而須支付或收取的任何代價。任何代價均須由本人/我們與貴公司另行簽約訂明。
This standing authority does not cover any consideration I/We must pay or be paid for your borrowing, lending, or depositing any of my/our securities. Any consideration must be set in a separate agreement between us.

貴公司須向本人/我們負責償還有關根據本授權書而作出借、貸或存放之證券。
You are accountable to me/us for the return of any securities borrowed, lent, or deposited under this authority.

本人/我們明白本人/我們的證券可能受制于第三者之權利，貴公司可於全數抵償該等權利後，方將本人/我們的證券退回本人/我們。
I/We understand that a third party may have rights to my/our securities, which you must satisfy before my/our securities can be returned to me/us.

本常設授權書以本函件日期起計十二個月內有效，並可於下列情況予以續期，每次續期的有效期為十二個月：本人/我們以書面形式同意續期；或貴公司於授權有效期屆滿前不少於十四日向本人/我們發出書面通知，而本人/我們於授權有效期屆滿前未有提出反對續期。本人/我們有權隨時以三十天書面通知貴公司撤銷此常設授權書。
This authority is valid for a period of 12 months from the date hereof and may be renewed for subsequent periods of 12 months either with my/our written consent or if I am/we are given a written notice from you at least 14 days prior to the expiry of such authority and do not object to the renewal of such authority before its expiry. This authority may be revoked at any time on giving 30 days prior written notice to you.

本函件已全部向本人/我們解釋清楚，並已被提醒可尋求獨立意見。本人/我們明白本函件的內容。
This letter has been fully explained to me/us and I/we have been advised to seek independent advice, and I/we understand the contents of this letter.

客戶簽署 Client's Signature(s)：

帳戶持有人/第一帳戶持有人簽署 Signed by the Account Holder/ Primary Account Holder:

X

客戶姓名 Client's Name：_____

日期 Date：_____

第二帳戶持有人簽署 (如適用) Signed by the Secondary Account Holder (if applicable):

X

客戶姓名 Client's Name：_____

日期 Date：_____

M 常設授權 – 客戶款項

Standing Authority - Client Money

致: 東方證券(香港)有限公司 (證監會持牌法團編號: AVD362)
Orient Securities (Hong Kong) Limited (CE No.: AVD362)
東方期貨(香港)有限公司 (證監會持牌法團編號: AWD036)
Orient Futures (Hong Kong) Limited (CE No.: AWD036)

香港中環皇后大道中 100 號 28-29 樓
28F-29F, 100 Queen's Road Central, Central, Hong Kong

根據《證券及期貨(客戶款項)規則》 所設立的常設授權 Standing Authority under Securities and Futures (Client Money) Rules

本授權書涵蓋貴公司為本人/我們(i)在香港收取或持有並存放於一個或多個獨立帳戶內和 (ii)在香港以外地區收取或持有並存放於一個或多個獨立帳戶內，設立維持並指定為信託賬戶或客戶帳戶之的款項(包括因持有並非屬於貴公司的款項而產生之任何利息) (下稱「款項」)。This Letter of authority covers money held or received by you (i) in one or more segregated account(s) in Hong Kong and (ii) in one or more segregated account(s) outside Hong Kong, designated as trusted account(s) or client account(s) established and maintained (including any interest derived from the holding of the money which does not belong to you) on my/our behalf ("Monies").

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。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.

本授權書授權貴公司 This letter authorizes you to:

1. 組合或合併東方期貨(香港)有限公司(下稱「東方期貨(香港)」)及/或東方證券(香港)有限公司(下稱「東方證券(香港)」)及/或其任何附屬公司及聯繫公司 (統稱「東方(香港)」)及/或東方證券股份有限公司及/或交易對手所維持的任何或全部獨立帳戶，此等組合或合併活動可以個別地或與其他帳戶聯合進行，貴公司可將該等獨立帳戶內任何數額之款項作出轉移，以解除本人/我們對東方(香港)內任何成員及/或東方證券股份有限公司及/或交易對手的義務或法律責任，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
combine or consolidate any or all segregated accounts of any name whatsoever and either individually or jointly with others, maintained by Orient Futures (Hong Kong) Limited ("Orient Futures (Hong Kong)") and/or Orient Securities (Hong Kong) Limited ("Orient Securities (Hong Kong)") and/or any of its subsidiaries and affiliates ("Orient (Hong Kong)") and/or Orient Securities Company Limited and/ or counterparty(ies) 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 any member of Orient (Hong Kong) and/or Orient Securities Company Limited and/ or counterparty(ies), whether such obligations and liabilities are actual, contingent, primary or collateral, secured or unsecured, or joint or several; and

2. 從東方(香港)任何成員及/或東方證券股份有限公司及/或交易對手于任何時候維持的任何獨立帳戶之間來回調動任何數額之款項；及
transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by member of Orient (Hong Kong) and/or Orient Securities Company Limited and/ or counterparty(ies); and

3. (僅適用於員工股權激勵帳戶及須與本帳戶條款及細則第十三部份 – 員工股權激勵計畫條款及細則一併閱讀) 若客戶屬於雇主公司指定的須遵守國家外管局關於境內個人參與境外上市公司股權激勵外匯管理有關問題的通知(匯發[2012]7 號文)(「7 號文」)人士，在從客戶出售激勵股份所得款中扣除依據帳戶條款及細則第十三部份 – 員工股權激勵計畫條款及細則第 2.8.3(d)條所有適用的金額、費用、收費之後，客戶授權東方證券(香港)無需提前通知客戶，將淨出售所得款、相關股息收益等從客戶帳戶轉移至雇主公司指定帳戶，以滿足 7 號文的相關要求(「轉移授權」)；
(Only applies to ESOP Account and should be read in conjunction with Part XIII – TERMS AND CONDITIONS FOR EMPLOYEE STOCK OWNERSHIP PLAN of Terms and Conditions for Account) Where the Client is subject to the compliance with Circular of the SAFE on Issues Concerning the Administration of Foreign Exchanged Used for Domestic Individuals' Participation in Stock Incentive Plans Adopted by Overseas Listed Companies (huifa [2012] No. 7) ("Circular 7") as designated by the Employer Company, subject to the deduction of all applicable amounts, fees and charges from the sales proceeds derived from the Client's sale of incentive shares in accordance with Clause 2.8.3(d) of Part XIII – TERMS AND CONDITIONS FOR EMPLOYEE STOCK OWNERSHIP PLAN of Terms and Conditions for Account, the Client authorizes Orient Securities (Hong Kong) to transfer, without prior notice to the Client, the net sales proceeds, relevant dividend income, etc. from the Client's account to the designated accounts of the Employer Company for the purpose of complying with the relevant requirements under Circular 7 ("Transfer Authorization");

4. (僅適用於員工股權激勵帳戶及須與本帳戶條款及細則第十三部份 – 員工股權激勵計畫條款及細則一併閱讀) 若客戶屬於雇主公司指定的須支付預提稅的人士，客戶授權東方證券(香港)無需提前通知客戶，將指定的稅金、或者依據雇主公司指定的計算公式計算的款項(定義如下)在雇主公司指定限期前，轉移至雇主公司指定的帳戶，用來結算關於客戶行使及/或處置獎勵及處置獎勵股份而在計畫下指定的應付稅款(「稅務授權」)；及
(Only applies to ESOP Account and should be read in conjunction with Part XIII – TERMS AND CONDITIONS FOR EMPLOYEE STOCK OWNERSHIP PLAN of Terms and Conditions for Account) Where the Client is subject to payment of withholding tax as designated by the Employer Company, the Client further authorizes Orient Securities (Hong Kong) to transfer, without prior notice to the Client, such amount of the Monies (as defined below) as specified or calculated according to formula as specified by the Employer Company by such deadline as specified by the Employer Company from the Client's account to the designated account of the Employer Company for settling the Client's tax payment specified under the Plan in respect of the Client's exercise of and/or dealing with the awards and dealings in the incentive shares ("Tax Authorization"); and

5. (僅適用於員工股權激勵帳戶及須與本帳戶條款及細則第十三部份 – 員工股權激勵計畫條款及細則一併閱讀) 第 3 及第 4 條所述的「雇主公司指定帳戶」，詳情如下：
(Only applies to ESOP Account and should be read in conjunction with Part XIII – TERMS AND CONDITIONS FOR EMPLOYEE STOCK OWNERSHIP PLAN of Terms and Conditions for Account) Details of "designated accounts of the Employer Company" stated in Clause 3 & 4 are as follow:

轉移授權指定的銀行帳戶 Transfer Authorization Designated Bank Account		稅務授權指定的銀行帳戶 Tax Authorization Designated Bank Account	
銀行 Bank		銀行 Bank	
帳戶名稱 Account Name		帳戶名稱 Account Name	
帳戶號碼 Account Number		帳戶號碼 Account Number	
轉移授權指定的證券帳戶 Transfer Authorization Designated Securities Account		稅務授權指定的證券帳戶 Tax Authorization Designated Securities Account	
證券行 Securities Broker	東方證券(香港)有限公司 Orient Securities (Hong Kong) Limited	證券行 Securities Broker	
帳戶名稱 Account Name		帳戶名稱 Account Name	
帳戶號碼 Account Number		帳戶號碼 Account Number	

如客戶不同意或不瞭解有關安排，便不應簽署本表格。如有疑問，請聯絡您的雇主，或尋求獨立第三方的意見；及
Client should not sign this form if the Client does not agree or understand the relevant arrangements. Please contact your Employer or seek opinions from an independent third party if in doubt; an

6. (僅適用於員工股權激勵帳戶及須與本帳戶條款及細則第十三部份 – 員工股權激勵計畫條款及細則一併閱讀) 客戶明白並且同意：
(Only applies to ESOP Account and should be read in conjunction with Part XIII – TERMS AND CONDITIONS FOR EMPLOYEE STOCK OWNERSHIP PLAN of Terms and Conditions for Account) The Client understands and agrees that:
(a) 東方證券(香港)無須因稅額授權、轉移授權或本條款中的任何授權之範圍內的資金轉移而造成的任何損害或者損失負責。
Orient Securities (Hong Kong) shall not be liable for any damage or loss resulting from any money transfer effected within the scope of the Tax Authorization, Transfer Authorization or any authorization given herein these Terms.
(b) 只要東方證券(香港)在稅務授權的範圍內且依據稅務授權行事，若客戶或雇主公司未能清繳客戶行使及/或處置獎勵及處置獎勵及處置獎勵股份在相關法律法規下需結算的稅款，東方證券(香港)無須對此負責；並且
Orient Securities (Hong Kong) shall not be liable for any failure by the Client or the Employer Company to settle any tax payment with the relevant tax bureau under the relevant law and regulations in respect of the Client's exercise of and/or dealing with awards and the dealings in the incentive shares provided that Orient Securities (Hong Kong) has acted within the scope of and in accordance with the Tax Authorization; and

(c) 只要東方證券(香港)在轉移授權的範圍內且依據轉移授權行事，以符合 7 號文的有關要求，東方證券(香港)無須對無法或者延誤將淨出售所得款轉移至雇主公司指定的銀行帳戶負責。
Orient Securities (Hong Kong) shall not be liable for any failure or delay to transfer the net sales proceeds to the designated bank account of the Employer Company for the purpose of compliance with the relevant requirements under Circular 7 provided that Orient Securities (Hong Kong) has acted within the scope of and in accordance with the Transfer Authorization.

貴公司可不向本人/我們發出通知而採取上述行動。此賦予東方期貨(香港)之授權乃鑒於東方期貨(香港)同意繼續維持本人/我們之期貨交易帳戶，而賦予東方證券(香港)之授權乃鑒於東方證券(香港)同意繼續維持本人/我們之證券現金帳戶及/或證券保證金帳戶及/或股票期權帳戶及/或員工股權激勵帳戶。
You may do any of these things without giving me/us notice. This authority is given to Orient Futures (Hong Kong) in consideration of its agreeing to continue to maintain futures trading account(s) for me/us and to Orient Securities (Hong Kong) in consideration of its agreeing to continue to maintain securities cash and/or margin and/or stock option and/or ESOP account(s) for me/us.

此賦予貴公司之授權並不損害東方(香港)可享有有關處理該等獨立帳戶內款項的其他授權或權利。
This authority is given without prejudice to other authorities or rights which Orient (Hong Kong) may have in relation to dealing in Monies in the segregated accounts.

本授權書由本函簽發日期起 12 個月內有效。
This authority is valid for a period of 12 months from the date of this letter.

本人/我們可以向貴公司客戶服務部位于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貴公司真正收到該等通知後之 14 日起計。
This authority may be revoked by giving you written notice addressed to the Customer Service Department at your 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/我們明白貴公司若在本授權書的有效期屆滿前不少於 14 日，向本人/我們發出書面通知，提醒本人/我們本授權書即將屆滿，而本人/我們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/我們的書面同意下按持續的基準已被續期。
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/我們明白貴公司將於此授權屆滿日期後的 1 星期內，將該授權續期的確認書發予本人/我們。
I/We understand you shall issue a written confirmation of the renewal of the standing authority to me/us within one week after the date of expiry.

倘若本授權書的中文本與英文本在解釋或意義方面有任何歧義，本人/我們同意應以英文本為准。
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.

本人/我們閱讀、明白及同意本授權書的內容。
I/We have read and understood and accepted the contents of this letter.

客戶簽署 Client's Signature(s)：

帳戶持有人/第一帳戶持有人簽署 Signed by the Account Holder/ Primary Account Holder:

X

客戶姓名 Client's Name：_____

日期 Date：_____

第二帳戶持有人簽署 (如適用) Signed by the Secondary Account Holder (if applicable):

X

客戶姓名 Client's Name：_____

日期 Date：_____

N 客戶確認及承諾 Client's Declaration and Acknowledgement

有關客戶協議（包括帳戶條款及細則、風險披露聲明及個人資料（私隱）條例）致客戶通知）及資料準確性提供確認。
Acknowledgement regarding Client Agreement (including the Terms and Conditions for Account, the Risk Disclosure Statements and the Circular to Clients Relating to Personal Data (Privacy) Ordinance) and accuracy of information provided :

本人/我們聲明及確認
I/We declare and acknowledge that :

1 本人/我們確認收到按本人所選擇的語言（英文或中文）的客戶協議副本或已對此協定作出備份，完全明白內容並同意受其約束；
I/We acknowledged receipt of a copy of the Client Agreement in a language of my choice (English or Chinese) and fully understand all of them and agree to be bound by them and;

2 本人/我們獲邀閱覽客戶協定及互聯網證券買賣協議內的風險披露聲明書，並提問及尋求獨立意見（如本人欲進行）；
I/We have been invited to read the Risk Disclosure Statement in the Client Agreement and in the Internet Securities Trading Agreement, to ask questions and to take independent advice if I wish;

3 本人/我們承認載于本客戶資料表中的資料是真實和準確的。東方證券(香港)有限公司/東方期貨(香港)有限公司獲授權隨時聯絡任何人, 包括任何銀行、經紀或信用調查機構，藉以核實本客戶資料表中所提供的資料。
The information contained in this client information form is true and accurate. Orient Securities (Hong Kong) Limited/ Orient Futures (Hong Kong) Limited is authorized at any time to contact anyone, including any banks, brokers or credit agency, for the purpose of verifying the information provided on this client information form.

客戶簽署 Client's Signature(s)：

帳戶持有人/第一帳戶持有人簽署 Signed by the Account Holder/ Primary Account Holder:

X

客戶姓名 Client's Name：_____

日期 Date：_____

第二帳戶持有人簽署 (如適用) Signed by the Secondary Account Holder (if applicable):

X

客戶姓名 Client's Name：_____

日期 Date：_____

O 公司承諾 Company Declaration by Orient Securities (Hong Kong) Limited

假如我們【東方證券(香港)有限公司/東方期貨(香港)有限公司】向閣下_____招攬銷售或建議任何金融產品，該金融產品必須是我們經考慮閣下的財政狀況、投資經驗及投資目標後而認為合理地適合閣下的。本協議的其他條文或任何其他我們可能要求閣下簽署的文件及我們可能要求閣下作出的聲明概不會減損本條款的效力。

If we [Orient Securities (Hong Kong) Limited/Orient Futures (Hong Kong) Limited] solicit the sale of or recommend any financial product to you _____, the financial product must be reasonably suitable for you having regard to your financial situation, investment experience and investment objectives. No other provision of this agreement or any other document we may ask you to sign and no statement we may ask you to make derogates from this clause.

注："金融產品"指《證券及期貨條例》所界定的任何證券、期貨合約或杠杆式外匯交易合約。就"杠杆式外匯交易合約"而言，其只適用於由獲得發牌經營第 3 類受規管活動的人所買賣的該等杠杆式外匯交易合約。
Note: "Financial product" means any securities, futures contracts or leveraged foreign exchange contracts as defined under the SFO. Regarding "leveraged foreign exchange contracts", it is only applicable to those traded by persons licensed for Type 3 regulated activity.

P 見證人 Witness

見證人姓名 Name of Witness	見證人簽署 Signature of Witness
見證人職業及資格 Occupation and Qualification of Witness	

Q 持牌代表聲明 Declaration by Licensed Representative

本人，_____ (持牌代表姓名，請用正楷填寫)，確認已經以客戶選擇的語言 (英文或中文) 提供了載於條款及守則內的風險披露聲明，並且本人已經邀請客戶閱讀該風險披露聲明，提出有關問題及徵求獨立的意見(如客戶有此意願)。

I, _____ (Print Name of Licensed Representative) confirm that I have provided the Risk Disclosure Statement as set out in the Client Agreement in a language (English or Chinese) of the Client's choice and that I have invited the Client to read the Risk Disclosure Statement, ask questions and take independent advice (if the Client wishes).

(請用正楷填寫 Please complete in block letters)

持牌代表姓名 Name of Licensed Representative	中央編號 CE No.	持牌代表簽署 Signature of Licensed Representative

備註 Remarks:

經由東方證券(香港)有限公司/東方期貨(香港)有限公司承認及接納
Acknowledged and Accepted By Orient Securities (Hong Kong) Limited/ Orient Futures (Hong Kong) Limited

授權簽名 / 公司印章 Authorized Signatory / Company Chop

日期 Date: _____

東方證券(香港)有限公司
ORIENT SECURITIES (HONG KONG) LIMITED
東方期貨(香港)有限公司
ORIENT FUTURES (HONG KONG) LIMITED

客户风险级别对照表
Client Risk Category Checklist

帳戶名稱**Account Name:** _____ 帳戶號碼**Account No.:** _____

联名账户的风险级别将依照较高风险级别的一位账户持有人厘定。
The risk level of joint account will be determined according to the account holder with higher risk level.

客户风险级别对照表 Client Risk Category Checklist

风险水平 Risk Level	低 LOW	中 MEDIUM	高 HIGH
风险评估 Risk Assessment	❑ 金融机构（"FI"）[1] Financial Institution[1] ❑ 投资公司 [2] Investment Vehicle[2] ❑ 上市公司(在任何证券市场) Listed companies (listed on any stock exchange) ❑ 政府及公共机构 [3] Government and public body [3] ❑ 律师的当事人账户 Solicitor's Client accounts ❑ 其他 (请注明): Others (Please specify) _____	❑ 个人客户 [4] Individual clients[4] ❑ 私人有限公司 * Limited private companies (没有董事、股东或实益拥有人为政治人物) (with no director(s), shareholder(s) or beneficial owner(s)) as PEPs) ❑ 合伙 * Partnership (没有合伙人为政治人物) (with no partner(s) as PEPs) ❑ 独资企业、会社、会所、社团、合作社和公积金社团 * Sole proprietorships, associations, clubs, societies, co-operative and provident societies (没有实益拥有人为政治人物） (with no PEP as the beneficial owner) ❑ 信托账户 * Trust accounts ❑ 其他 (请注明): Others (*Please specify*) _____	❑ 完全没有为「身份识别的目的」而进行面对面会面的客户(不包括通过获证监会认可的第三方见证人例如其他持牌人或註冊人、持牌人或註冊人的聯繫人士、太平紳士或專業人士例如銀行分行經理、執業會計師、律師、公證人或特許秘書见证客戶協議的簽署和核实身份证明文件;及/或使用獲得《電子交易條例》（第 553 章）認可的驗證服務，例如由香港郵政所提供的驗證服務或有些在香港以外的核證機關所發出的電子簽署證書（"認可的簽署證書 " ）已取得獲香港特區政府認可的證書互認資格作為核實客戶身分之用) Client has not been present for face-to-face interview/meeting for "identification purpose" (excluded through those eligible third party witnesses such as any other licensed or registered person, an affiliate of a licensed or registered person, a JP (Justice of the Peace), or a professional person such as a branch manager of a bank, certified public accountant, lawyer, notary public or chartered secretary to witness the signing of the client agreement and sighting of related identity documents ; and certification services that are recognized by the Electronic Transactions Ordinance (Cap. 553) (ETO), such as the certification services available from the Hongkong Post or certification authorities outside Hong Kong whose electronic signature certificates (recognised signing certificates) have obtained mutual recognition status accepted by the HKSAR government for client identity verification) ❑ 政治人物（"PEPs"）5 及经评估后被认为高风险的本地政治人物及与其关系密切的人 Politically Exposed Persons ("PEPs") [5] and local Politically Exposed Persons who are regarded as high risk after our assessment and their close associates ❑ 机构内有董事、股东或实益拥有人为政治人物（"PEPs"）[5] (如为本地政治人物，则金融机构、由金融机构或对等司法管辖区的金融机构执行尽职调查的投资公司及上市公司除外) Companies with director(s) or shareholder(s) or beneficial owner(s) as PEPs[5] (Financial Institution, investment vehicle whose CDD measures are carried out by Financial Institution or Financial institution in equivalent jurisdiction and listed companies are excluded if the PEP is a local PEP.) ❑ (个人帐户) 从事现金密集型业务包括赌场、桑拿、军事部门、当铺、珠宝商、兑钱商和货币汇兑业的个人，并其职业/职位是具有控制权的员工（例如高级管理人员）或具有控制权的拥有者 (For Individual Account) Individuals whose occupation/position is personnel having controlling power (e.g. Senior Management) or owner having controlling interests and is involved in cash intensive business such as casinos, sauna, military sector, pawnshop, jeweler, money changer and remittance agencies ❑ (公司帐户) 从事现金密集型业务包括赌场、桑拿、军事部门、当铺、珠宝商、兑钱商和货币汇兑业的机构 (For Corporate Account) Companies who are involved in cash intensive business such as casinos, sauna, military sector, pawnshop, jeweler, money changer and remittance agencies. ❑ 经本公司的国家风险评估后,机构所成立的国家被界定为没有足够「FATF 特别组织」管制法规的国家 [6] Companies whose place of incorporation is in countries with insufficient FATF regulations after internal country risk assessment[6] ❑ 其他 (请注明): [7] Others (*Please specify*) [7] _____
分类结果 [8]: Classification Result[8]:	❑ 低 LOW	❑ 中 MEDIUM	❑ 高 HIGH
合适的客户尽职审查 Possible Customer Due Diligence	简化客户尽职审查 [9] Simplified Due Diligence[9] ("SDD")	客户尽职审查 Customer Due Diligence ("CDD")	严格客户尽职审查 Enhanced Due Diligence ("EDD")

请提供以下资料可选多项 Please provide the following information You can select more than one option：
资产/ 资金来源 Source of Wealth □ 投资 Investment □ 薪金 Income □ 存款 Savings □ 遗产 Inheritance □ 租金 Rental □ 其他 请注明 Others Please specify)_____
资产 / 资金来源地 Origin of Source of Funds: □ 内地 Mainland □ 香港 Hong Kong □ 澳门 Macau □ 台湾 Taiwan □ 其他(请注明) Others (Please specify) _____

备注意见 Remarks/Comments		
由持牌代表填写 By licensed representative	日期 Date (姓名及中央编号 Name and CE No.)	
由法律合规部主管/洗钱报告主任/销售部门主管 获 授权人批核 By the Head of Legal and Compliance Department/MLRO/ Sales department/ authorized signor	日期 Date	

备注 Remarks:

1. «打击洗钱及恐怖分子资金筹集条例»所界定的金融机构，或在对等司法管辖区成立或设立, 而所经营之业务又与金融机构所经营的相类似的金融机构。
Being regarded as a Financial Institution by the Anti-Money Laundering and Counter-Terrorist Financing Ordinance, or an institution that is incorporated or established in an equivalent jurisdiction and carries on a business similar to that carried on by a financial institution.

2. 而负责就该投资公司的所有投资者执行与客户尽职审查措施相类似的措施的人属 —
(i) 金融机构；
(ii) 符合以下说明的在香港或对等司法管辖区成立或设立为法团的机构 —
i. 设有措施，以确保与根据《打击洗钱及恐怖分子资金筹集条例》附表2所施加的规定相类似的规定获遵从；及
ii. 在有否遵从该等规定方面，受到监管；
where the person responsible for carrying out measures that are similar to the CDD measures in relation to all the investors of the investment vehicle is-
(i) an Financial Institution;
(ii) an institution incorporated or established in Hong Kong, or in an equivalent jurisdiction that-
i. has measures in place to ensure compliance with requirements similar to those imposed under Schedule 2 of the 《Anti-Money Laundering and Counter-Terrorist Financing Ordinance》; and
ii. is supervised for compliance with those requirements.

3. 香港政府及其公共机构, 或对等司法管辖区的政府或在对等司法管辖区执行与公共机构的职能相类似职能的机构。
The Government or any public body in Hong Kong, or the government of an equivalent jurisdiction or a body in an equivalent jurisdiction that performs functions similar to those of a public body.

4. 包括有为「身份识别的目的」而在香港以外的地方进行面对面会面的客户。
Including client who has been physically present outside Hong Kong for identification purposes.

5. 外地政治人物为在中华人民共和国以外地方担任或曾担任重要公职的个人; 而本地政治人物即为在中华人民共和国以内地方担任或曾担任重要公职的个人。如客户为本地(中华人民共和国以内地方)政治人物, 应进行风险评估, 以断定该人是否涉及较高的洗钱/恐怖分子资金筹集风险。
Foreign politically exposed person (PEP) is an individual who is or has been entrusted with a prominent public function in a place outside the People's Republic of China; and domestic politically exposed person is an individual who is or has been entrusted with a prominent public function in a place within the People's Republic of China. If client is a domestic PEP, risk assessment will be carried out to determine if he/she is high risk in money laundering/terrorist financing.

政治人物名称
Name of the PEP : _____

与客户之关系
Client's relationship with the PEP : _____

政治人物职衔
Title of the PEP : _____

主要负责工作
Major responsibilities of the PEP : _____

风险评估结果及原因
Result of the Assessment and Reason : _____

6. 以下国家的客户均需被例为高风险水平：
Clients form below Countries must be classified as High Risk:

Afghanistan 阿富汗	Gibraltar 直布罗陀	Libya 利比亚	Somalia 索马里
Albania 阿尔巴尼亚	Guiné-Bissau 几内亚比绍	Mali 马里	South Sudan 南苏丹
Barbados 巴贝多	Haiti 海地	Morocco 摩洛哥	Sudan 苏丹
Burkina Faso 布吉纳法索	Iran 伊朗	Myanmar 缅甸	Syria 叙利亚
Cambodia 柬埔寨	Iraq 伊拉克	Nicaragua 尼加拉瓜	Türkiye 土耳其
Cayman Islands 开曼群岛	ISIL and Al-Qaida 伊黎伊斯兰国及基地组织	Pakistan 巴基斯坦	Uganda 乌干达
Central African Republic 中非共和国	Jamaica 牙买加	Panama 巴拿马	United Arab Emirates 阿拉伯联合大公国
Democratic People's Republic of Korea 朝鲜民主主义人民共和国	Jordan	Philippines 菲律宾	Yemen 也门
Democratic Republic of the Congo 刚果民主共和国	Lebanon 黎巴嫩	Senegal 塞内加尔	

7. 如在Dow Jones Risk Database等公开数据库内找寻到有关客户洗钱/恐怖分子资金筹集等负面新闻。
For example, negative news has been found in public database such as Dow Jones Risk Database relating to money laundering/terrorist financing.

**被财务行动特别组织（「特别组织」）(www.fatf gafi.org) 或对等司法管辖区管制，并经本公司界定为非高风险 。*
**Regulated by Financial Action Task Force ("FATF") (www.fatf gafi.org) or FATF equivalent jurisdiction s which are internally assessed to be non-high risk.*

8. 分類結果以風險評估中最高風險值決定
The Classification Result determined by the highest risk value in the risk assessment section.

9. 只有在分類結果是"低風險"的情況下才能使用简化客户尽职审查, 洗钱报告主任/法律合规部主管保留最终决定权。
Simplified customer due diligence can only be used when the classification result is "low risk", and the MLRO/the Head of the Legal and Compliance Department reserves the right of final decision.

For Internal Use Only

客戶對衍生產品的認識 Client's Knowledge of Derivatives	
☐ 客戶對衍生產品有一定程度的認識 Client has sufficient knowledge towards derivatives	☐ 客戶對衍生產品沒有認識 Client does not have sufficient knowledge towards derivatives

客戶資料檢驗 Client Information Verified By		
客戶資料準備 Client Information Prepared By		
職員姓名 Staff Name	職員簽署 Staff Signature	日期 Date
客戶資料核對 Client Information Checked By		
職員姓名 Staff Name	職員簽署 Staff Signature	日期 Date
客戶資料批核 Client Information Approved By		
職員姓名 Staff Name	職員簽署 Staff Signature	日期 Date

信貸額 Credit Limit & 交易額 Trading Limit	
☐ 信貸額 Credit Limit	☐ 交易額 Trading Limit

傭金收費 Commission Charges		
香港股票市場 HK Stock Market	網上 Online	非網上 Offline
其他股票市場 Other Stock Markets		
備註 Remarks		

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