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

客户帐号：
Account No.:

个人/联名账户申请书

INDIVIDUAL / JOINT ACCOUNT APPLICATION FORM

请签署此资料表格前阅读有关的帐户协议及相关的附件
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
(中央编号 CE NO.: AVD362)

東方期貨(香港)有限公司
ORIENT FUTURES (HONG KONG) LIMITED
(中央编号 CE NO.: AWD036)

香港中环皇后大道中 100 号 28 - 29 楼
28/F & 29/F, 100 Queen's Road Central, Hong Kong
电话 Tel: (852) 3519 1188 传真 Fax: (852) 2259 9188
网址 Website: www.dfzq.com.hk

个人/联名账户申请书 Individual / Joint Account Application Form

账户类别 Type of Account	☐ 证券现金账户 Securities Cash Account	☐ 证券保证金账户 Securities Margin Account	☐ 股权激励账户 ESOP Account
	☐ 股票期权账户 Stock Options Account	☐ 期货账户 Futures Account	
选择网上交易帐户 Internet Trading	☐ 是 Yes* ☐ 否 No *如为联名账户，任何一位联名账户持有人都能于网上作出交易指示。 For Joint Securities Account, any one of the account holders may give		

证券账号 Securities Account No.	
股票期权账号 Stock Options Account No.	
期货账号 Futures Account No.	
股权激励账号 ESOP Account No.	

选择账户 Account Type	☐个人账户 Individual Account	☐ 联名账户 Joint Account 请一并提交第二帐户持有人开户表格补充文件。 Please provide the Secondary Account Holder's supplementary account opening form and relevant document. 第二账户持有人姓名 Name of Secondary Account Holder:
账户操作 (只适用于联名账户) **Account Operation (For Joint Account only)**	☐ 任何一位账户持有人 Any one of the account holders ☐ 两位联名账户持有人 Both of the account holders 可签署及/或为证券期货进行支付、提取及/或转账事宜 may sign and/or effect payment, withdrawal and/or transfer transaction(s) for securities	
	任可一位账户持有人可透过任何途径发出交易指示 Any one of the account holders may give transaction order by any means	

市场选择 Choice of Market （开立证券现金/保证金账户适用）(For Stock Cash / Margin Account only)	
☐ 香港股票市场 (HK)	☐ 沪深港通 (CHINA STOCK CONNECT)
☐ 美国股票市场 (USA) *已填写 Had filled in W8-BEN/W9 表格 W8-BEN/W9 签署日期 Signed Date:_____	☐ 债券市场 (BND) *已填写 Had filled in W8-BEN/W9 表格 W8-BEN/W9 签署日期 Signed Date:_____
☐ 基金市场 (FUNDS)	☐ 加拿大股票市场 (CAN)
☐ 日本股票市场 (JPN)	☐ 澳洲股票市场 (AUS)
☐ 中国 B 股票市场（上海 B 股和深圳 B 股 – SSB/SZB）	☐ 德国股票市场 (GER)
☐ 英国股票市场 (UKG)	☐ 新加坡股票市场 (SGX)
☐ 美国股票柜台交易板 (USA OTC "UV") *已填写 Had filled in W8-BEN/W9 表格 W8-BEN/W9 签署日期 Signed Date:_____ *客户应根据本身的投资经验，风险承受能力和其他相关条件，小心衡量自己是否适合参与该等买卖及征求独立专业意见。 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.	☐ 台湾股票市场 (TWN) ☐ 其他市场(请注明) Other markets (Please specify) _____

A 个人资料 Personal Information

账户持有人/第一账户持有人 Account Holder/ Primary Account Holder

1 客户姓名 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)			

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

2 身份证号码 / 护照号码 I.D. Card No. / Passport No.

3 国籍 / 公民身份 Nationality / Citizenship

4 教育水平 Education Level ☐ 小学程度或以下 Primary Educated Level or below ☐ 中学毕业 Secondary Graduate ☐ 大学毕业 University Graduate ☐ 硕士毕业或以上 Postgraduate or above

5 住宅地址 Residential Address (邮编 Postal Code)

6 通讯地址 (如与以上地址有不同/Only if the address is different from above)
Correspondence Address
(邮编 Postal Code)

7 电邮地址
E-mail Address

8

住宅电话 Home Phone No.	流动电话 Mobile Phone No.	传真机号码 Fax No.
( )	( )	( )

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

注：我司将有可能通过 QQ/微信/其他可行的途径为您发送重要的服务信息。We may send important messages to you via QQ/WeChat/other feasible ways provided by you.

B 交易确认书及通信发送 Trade Confirmations and Correspondence to be sent to

☐ 电邮地址 Email Address ☐ 住宅地址 Residential Address* ☐ 通信地址 Correspondence Address*

*(若客户要求以邮寄方式收取账单, 每一账户将会收取结单月费 Statement fee per account will be charged for requesting to receive statements by mail.)

C 业务 / 工作状况 Business / Employment Status

☐受雇 Employed ☐自雇 Self-Employed ☐ 退休 Retired ☐ 家庭主妇 Housewife ☐ 学生 Student ☐ 待业 Unemployed ☐ 自由职业 Freelancer
☐全职投资者 Full-time Investor ☐ 其他（请注明）Others (Please specify): _____

1 公司名称
Company Name

2 办公室电话
Office Phone No.

3 业务性质
Nature of Business

4 职位
Job Title

5 受雇年期
Years of Service

6 办公室地址
Office Address

D 财政状况 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 住屋业权 Ownership of Residence

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

3 资产 / 资金来源 Source of Wealth （如需要，可勾选多个）(Tick more than one box, if appropriate)
☐ 投资 Investment ☐ 薪金及/或花红 Salary and/or Bonus ☐ 存款 Savings ☐ 遗产/赠予 Inheritance/Gift ☐ 生意收入 Business Income ☐ 租金 Rental
☐ 退休金 Pension ☐ 其他（请注明）Others (Please specify)_____

资产/资金来源地 Origin of Source of Funds（如需要，可勾选多个）(Tick more than one box, if appropriate):
☐ 内地 Mainland ☐ 香港 Hong Kong ☐ 澳门 Macau ☐ 台湾 Taiwan ☐ 其他（请注明）Others (Please specify) _____

大约资产净值 (总资产减总负债) 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

可投资资产总值（投资组合和现金的总和（不包括房产、艺术品、汽车等价值）扣除个人贷款和信用卡余额）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

预期投资数目 / 预期账户活动 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 投资经验 Investment Experience

1. 投资经验 Investment Experience

股票 Stocks

☐ 非复杂产品（如：于联交所买卖的股份）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)
☐ 复杂产品（如：于联交所买卖的股票衍生工具如衍生权证、牛熊证及上市认股权、合成 ETF、期货 ETF、杆及反向产品）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)					
期货和期权 Futures & Options					
☐ 复杂产品（如：于期交所买卖的期货合约） 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					
☐ 非复杂产品（如：金、银等贵金属） 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)
债券 Bonds					
☐ 非复杂产品（如：非复杂债券，包括不具有其他特点的可赎回债券） 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)
☐ 复杂产品（如：永久债券、可转换债券、次级债券） 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					
☐ 非复杂产品（如：证监会认可的非衍生产品基金） 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)
☐ 复杂产品（如：对冲基金、私募股权基金、衍生产品基金） 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 (请注明)** **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. 投资目标 (可多选) ☐ 保本 Capital Preservation ☐ 资本增值 Capital Growth ☐ 股息回报 Dividend Yield ☐ 对冲 Hedging ☐ 投机 Speculation ☐ 其他（请注明） Others (Please specify) _____----------_____

F 衍生产品的认识 Knowledge of Derivatives

1. 客户曾否在以往三年内执行过五宗或以上结构性或衍生产品交易？（不论是否在交易所买卖的交易）
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. 客户曾否接受有关结构性或衍生产品的培训或相关课程?
Have you ever attended any trainings or courses on structured or derivative product(s)?

☐ 是 Yes ☐ 否 No

3. 客户现时或过去有否从事与衍生产品有关的工作？
Do you have any work experience related to derivative product(s)?

☐ 是 Yes ☐ 否 No

4. 本人确认已仔细阅读及完全明白，由东方证券(香港)有限公司(“东方证券(香港)”)/东方期货(香港)有限公司(“东方期货(香港)”)提供，并以本人所选择之语言(英文或中文)的「就在交易所买卖的衍生产品所附带的风险作解释」。本人并愿意承担交易衍生产品所带來的相关潜在风险。
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.

☐ 同意并有意于东方证券(香港)/东方期货(香港)进行衍生产品买卖交易
Agreed and wish to trade derivative products at Orient Securities (Hong Kong)/ Orient Futures (Hong Kong).

☐ 不同意并无意于东方证券(香港)/东方期货(香港)进行衍生产品买卖交易
Disagreed and do not wish to trade derivative product at Orient Securities (Hong Kong)/ Orient Futures (Hong Kong).

G 银行资料 Bank Reference

银行帐户记录 BANK ACCOUNT RECORD

客户的款项将会被转入下列银行账户

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

银行 Bank_____ 账户名称 Account Name _____

分行 Branch_____ 帐户号码 Account No. _____

账户类别 Account Type ☐ 储蓄 Savings ☐ 往来 Current ☐ 其他（请注明）Others (Please specify) _____

账户货币类别 Currency Type ☐ 港币 HKD ☐ 人民币 RMB ☐ 美金 USD ☐ 其他（请注明）Others (Please specify) _____

H 客户声明 Client Declaration

1. 客户是否此账户的最终权益拥有人?
Are you the ultimate beneficial owner(s) in relation to the Account? ☐ 是 Yes ☐ 否 No

若不是, 最终权益拥有人姓名为 If "No", name of the ultimate beneficial owner(s) _____

若不是, 最终权益拥有人身份证号码/护照号码为 If "No", ID No./ Passport No. of the ultimate beneficial owner(s) _____
与最终权益拥有人的关系 Relationship with ultimate beneficial owner(s) _____

2. 客户是否根据《证券及期货条例》登记之持牌法团之雇员?
Are you an employee of a licensed corporation under the Securities and Futures Ordinance?

☐ 是 Yes ☐ 否 No

若是，持牌法团名称为 If "Yes", name of the Licensed Corporation _____

若是，中央编号为 If "Yes", CE No. _____

3. 客户是否东方证(香港)有限公司/东方期货(香港)有限公司或其联营公司之员工?
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，公司名称为 If "Yes", name of the Company _____

若是，部门名称为 If "Yes", name of the Department _____

4. 客户是否与东方证券(香港)有限公司/东方期货(香港)有限公司的职员 / 代理人有亲戚关系?
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，职员 / 代理人的姓名为 If "Yes", name of the employee/agent _____

若是，客户与该职员/代理人之关系为 If "Yes", the relationship between you and the employee/agent _____

5. 客户及/或客户之配偶是否东方证券(香港)有限公司/东方期货(香港)有限公司的客户?
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，客户及/或客户之配偶之账户名称为 If "Yes", you and/or your spouse's Account Name_____
_____

若是，客户及/或客户之配偶之帐户号码为 If "Yes", you and/or your spouse's Account No._____
_____

6. 客户及/或客户之配偶是否控制东方证券(香港)有限公司/东方期货(香港)有限公司任何公司保证金客户的 35%或以上投票权?
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，请提供该公司于东方证券(香港)/有限公司/东方期货(香港)有限公司之帐户资料:
If "Yes", please provide the account details of such margin corporate client in Orient Securities (Hong Kong) Limited/Orient Futures (Hong Kong) Limited:

该公司客户之账户名称为 Account Name of such margin corporate client _____

该公司客户之帐户号码为 Account No. of such margin corporate client _____

7. 客户曾否在香港或其他国家/地区破产、被申请破产、申请债务重组、被列入失信被执行人名单等，或其开立的公司被申请强制清盘?
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. 客户曾否更改名字?
Have you ever changed your name?
☐ 是。请提供所有曾使用的名字 Yes. Please provide all previous name used _____ ☐ 否 No

I CRS 税务居民自我认证 CRS Tax Residency Self-certification

居留司法管辖区及税务编号或具有等同功能的识辨编号（以下简称「税务编号」）
Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”)

请提供以下数据，列明（a）账户持有人的居留司法管辖区，亦即账户持有人的**税务管辖区**（香港包括在内）及（b）该居留司法管辖区发给账户持有人的税务编号。列出**所有**（不限于3 个）居留司法管辖区。
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.

如账户持有人是香港税务居民，税务编号是其香港身份证号码。
If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.

如没有提供税务编号，必须填写合适的理由A, B 或 C：
If a TIN is unavailable, provide the appropriate Reason A, B or C:

理由A - 账户持有人的居留司法管辖区并没有向其居民发出税务编号。
Reason A – The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.
理由B - 账户持有人不能取得税务编号。如选取这一理由，解释账户持有人不能取得税务编号的原因。
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 - 账户持有人毋须提供税务编号。居留司法管辖区的主管机关不需要账户持有人披露税务编号。
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.

居留司法管辖区 **Jurisdiction of Residence**	**税务编号** **Taxpayer Identification Number (TIN)**	**如没有提供税务编号，填写理由A、B 或C** **Enter Reason A, B or C if no TIN is available**	**如选取理由B，解释账户持有人不能取得税务编号的原因** **If you have selected Reason B, explain why the account holder is unable to obtain TIN**
(1)			
(2)			
(3)			

声明 Declarations

本人知悉及同意，财务机构可根据《税务条例》（第112 章）有关交换财务帐户资料的法律条文，（a）收集本表格所载数据并可备存作自动交换财务帐户资料用途及（b）把该等资料和关于帐户持有人及任何须申报帐户的资料向香港特别行政区政府税务局申报，从而把资料转交到帐户持有人的居留司法管辖区的税务当局。
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).

本人证明，就与本表格所有相关的帐户，本人是**账户持有人**签署本表格。
I certify that I am the **account holder** of all the account(s) to which this form relates.

本人承诺，如情况改变，以致影响本表格第1 部所述的个人的税务居民身份，或引致本表格所载的资料不正确，本人会及时通知东方证券（香港）有限公司/东方期货（香港）有限公司，并会在情况发生改变后**30 日内**，向东方证券（香港）有限公司/东方期货（香港）有限公司提交一份已适当更新的税务居民自我认证表格。
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.

本人声明就本人所知所信，本表格内所填报的所有资料和声明均属真实、正确和完备。
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.

附录– 定义 Appendix –Definitions

「账户持有人」- 指被维持该财务账户的财务机构列明为或识辨为账户的持有人的人士， 不论该人士是否为过渡实体。所以，如果一个信托或遗产被列明为某财务账户的持有人或拥有人，则账户持有人是该信托或遗产，而非受托人、信托的拥有人或受益人。同样地，如果一个合伙被列明为某财务账户的持有人或拥有人，则账户持有人是该合伙，而非合伙的合伙人。除财务机构外，若有关人士以代理人、托管人、代名人、签署人、投资顾问、中介人或合法监护人身份代其他人士持有财务账户，他不会被视为账户持有人。在这种情况下，账户持有人应为该其他人士。以一个家长与子女开立的账户为例，如账户以家长为子女的合法监护人名义开立，子女会被视为账户持有人。联名账户内的每个持有人都被视为账户持有人。
“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.

「**税务居民**」- 一般而言，如根据某个税务管辖区的规定(包括税收协议)，任何实体不仅就以有关税务管辖区为来源的收入，亦因其居籍、居所、管理工作地点、成立为法团地点，或任何性质类似的其他准则，在有关税务管辖区需要缴税或有缴税责任，便会成为该税务管辖区的税务居民。没有税务居民身份的实体，例如：合伙、有限法律责任合伙或类似的法律安排，应被视为其实际管理地点所在税务管辖区的税务居民。一个信托应被视为一个或多于一个受托人居住的税务管辖区的居民。有关税务居民身份的更多信息，请联络阁下的税务顾问或浏览经济合作与发展组织的自动交换资料网站：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/.

「税务编号（包括具有等同功能的识辨编号）」- 指纳税人的识辨编号或具有等同功能的识辨编号(如无纳税人的识辨编号)。税务编号是税务管辖区向个人或实体分配独有的字母与数字组合，用于识别个人或实体的身份，以便实施该税务管辖区的税务法律。有关可接受的税务编号的更多详细信息刊载于经济合作与发展组织的自动交换数据资料网站： 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/

某些税务管辖区不发出税务编号。但是，这些税务管辖区通常使用具有等同识辨功能的其他完整号码(「具有等同功能的识辨号码」)。此类号码的例子包括：
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) 就个人而言，社会安全号码/保险号码、公民/个人身份/服务代码/号码，以及居民登记号码。.
for individuals, a social security/insurance number, citizen/personal identification/service code/number, and resident registration number.

(b) 就实体而言，商业/公司登记代码/号码。
for entities, a Business/Company Registration code/number.

J FATCA[1] 自我认证 Self-certification (如有需要，请咨询你的税务顾问 Consult your tax advisor if necessary)

1. 客户是否是有纳税义务的美国居民?
Are you a U.S. tax resident [2]? ☐是 Yes ☐否 No

2. 客户是否美国公民？
Are you a U.S. citizen [3]? ☐是 Yes ☐否 No

(如果你持有多国公民身份，而其中一个是美国，请勾选「是」If you hold multiple citizenships, select "Yes" if one of them is U.S.)

如果阁下在以上任何一个问题勾选了「是」，请提交 W-9 表格
If you check "Yes" on any of the questions above, please complete the Form W-9.

备注 Remark:

(1) 外国账户税收遵从法 FATCA means U.S. Foreign Account Tax Compliance Act.

(2) 美国居民包括绿卡持有者(即美国永久居民卡)以及满足实际居留标准的个人，即该账户控制人必须实际在美国居住至少：
- 于本年度满 31 天; 及
- 于过去三年内满 183 天#(包括本年度及前两个年度)
#满足居住满 183 天的计算是「居住在美国的总天数」计算：总和 = 本年度所有天数 + 去年度三分之一天数 + 前年度六分之一天数
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, and
- 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, and One-third of the days you were present in the first year before the current year, and One-sixth of the days you were present in the second year before the current year.

(3) 美国公民包括出生于美国领土或美国的非宪辖管制领土（即美属萨摩亚、关岛、北马里亚纳群岛、波多黎各或美属维京群岛）
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 个人资料保障声明 Declaration for Data Protection

客户明白亦同意及确认如下：
The Client understands and agrees and confirms that:

(i) 客户已阅读并明白于证券/期货交易帐户客户协议中之《个人资料(私隐)条例》(「条例」)客户通知，并同意及接受其条款。
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) 客户亦已明白及同意一切由东方证券(香港)有限公司/东方期货(香港)有限公司从本开户表格或以其他方式获取而由东方证券股份有限公司的相关联系或有关联公司收集或持有的个人资料，均可供东方证券股份有限
公司成员使用作以下**自愿性用途**：
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 **voluntary purposes**:

(a) 为东方证券(香港)有限公司/东方期货(香港)有限公司成员及/或东方证券股份有限公司成员的金融产品及服务提供市场推广数据及进行直接市场推广活动;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) 就东方证券(香港)有限公司/东方期货(香港)有限公司成员及/或东方证券股份有限公司成员的服务及产品发展进行市场调查及研究。
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.

☐ **如客户不欲东方证券(香港)有限公司/东方期货(香港)有限公司成员及/或东方证券股份有限公司成员将客户的个人资料用于上述自愿性用途，请加上 ✓ 号。**
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 voluntary purposes set out above.

L 常设授权 – 客户证券（保证金证券账户客户如未能提供此授权书，我司只会提供现金证券账户服务）

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

致: 东方证券(香港)有限公司
Orient Securities (Hong Kong) Limited

东方期货(香港)有限公司
Orient Futures (Hong Kong) Limited

香港中环皇后大道中 100 号 28-29 楼
28F-29F, 100 Queen's Road Central, Central, Hong Kong

敬启者 Dear Sir/Madam

根据《证券及期货(客户证券)规则》所设立的常设授权 Standing Authorities under Securities and Futures (Client Securities) Rules

本常设授权书是有关一切由贵公司代表本人/我们购入或持有之证券。
This letter of Standing Authority covers all securities purchased or held by you on my/our behalf.

本常设授权书，根据《证券及期货(客户证券)规则》第 7 条的规定，授权贵公司:
Pursuant to Section 7 of the Securities and Futures (Client Securities) Rules, this letter authorizes you to:

1. 依据证券借贷协议运用任何本人/我们的证券或证券抵押品；
apply any of my/our securities or securities collateral to a securities borrowing and lending agreement;

2. 将任何本人/我们的证券抵押品存放于认可财务机构，作为提供予贵公司的财务通融的抵押品；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. 将任何本人/我们的证券抵押品存放于认可结算所或另一获发牌或获注册进行证券交易的中介人，作为解除贵公司在交收上的义务和清偿贵公司在交收上的法律责任的抵押品，而无须通知本人/我们；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. 将证券或证券抵押品存放于期权结算公司，作为因本人/我们向贵公司发出的指示而进行的交易所买卖期权活动的期权结算公司抵押品；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. 按贵公司同意之条款但受制于适用的监管规则，将本人/我们之证券及/或证券抵押品存入在香港或其它地方的任何一个或多个保管人及/或结算所或于它们间互相转移；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. 如果贵公司在证券交易过程中为本人/我们提供财务通融或在贵公司获发牌或注册以进行的任何其他受规管活动过程中亦为本人/我们提供财务通融，按照以上第 1 至 5 项运用、存入或以其它形式处理本人/我们之任何证券抵押品。
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/我们明白认可结算所或其它获发牌或获注册进行证券交易的中介人，将因应贵公司在交收上的责任及债务而对本人/我们的证券抵押品设定为第一固定押记。
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.

本授权书并不涉及就贵公司借、贷或存放本人/我们任何证券而须支付或收取的任何代价。任何代价均须由本人/我们与贵公司另行签约订明。
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.

贵公司须向本人/我们负责偿还有关根据本授权书而作出借、贷或存放之证券。
You are accountable to me/us for the return of any securities borrowed, lent, or deposited under this authority.

本人/我们明白本人/我们的证券可能受制于第三者之权利，贵公司可于全数抵偿该等权利后，方将本人/我们的证券退回本人/我们。
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.

本常设授权书以本函件日期起计十二个月内有效，并可于下列情况予以续期，每次续期的有效期为十二个月：本人/我们以书面形式同意续期；或贵公司于授权有效期届满前不少于十四日向本人/我们发出书面通知，而本人/我们于授权有效期届满前未有提出反对续期。本人/我们有权随时以三十天书面通知贵公司撤销此常设授权书。
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/我们解释清楚，并已被提醒可寻求独立意见。本人/我们明白本函件的内容。
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.

客户签署 Client's Signature(s):

账户持有人/第一账户持有人签署 Signed by the Account Holder/ Primary Account Holder:

X

客户姓名 Client's Name: _____

日期 Date: _____

第二账户持有人签署 (如适用) Signed by the Secondary Account Holder (if applicable):

X

客户姓名 Client's Name: _____

日期 Date: _____

M 常设授权 – 客户款项

Standing Authority - Client Money

致: 东方证券(香港)有限公司 (证监会持牌法团编号: AVD362)
Orient Securities (Hong Kong) Limited (CE No.: AVD362)
东方期货(香港)有限公司 (证监会持牌法团编号: AWD036)
Orient Futures (Hong Kong) Limited (CE No.: AWD036)

香港中环皇后大道中 100 号 28-29 楼
28F-29F, 100 Queen's Road Central, Central, Hong Kong

根据《证券及期货(客户款项)规则》 所设立的常设授权 Standing Authority under Securities and Futures (Client Money) Rules

本授权书涵盖贵公司为本人/我们(i)在香港收取或持有并存放于一个或多个独立账户内和 (ii)在香港以外地区收取或持有并存放于一个或多个独立账户内，设立维持并指定为信托账户或客户账户之的款项(包括因持有并非属于贵公司的款项而产生之任何利息) (下称「款项」)。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”).

除非另有说明，本授权书之名词与《证券及期货条例》及《证券及期货(客户款项)规则》不时修订之定义具有相同意思。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.

本授权书授权贵公司 This letter authorizes you to：

1. 组合或合并东方期货(香港)有限公司(下称「东方期货(香港)」)及/或东方证券(香港)有限公司(下称「东方证券(香港)」)及/或其任何附属公司及联系公司 (统称「东方(香港)」)及/或东方证券股份有限公司及/或交易对手所维持的任何或全部独立帐户，此等组合或合并活动可以个别地或与其他账户联合进行，贵公司可将该等独立账户内任何数额之款项作出转移，以解除本人/我们对东方(香港)内任何成员及/或东方证券股份有限公司及/或交易对手的义务或法律责任，不论此等义务和法律责任是确实或或然的、原有或附带的、有抵押或无抵押的、共同或分别的；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. 从东方(香港)任何成员及/或东方证券股份有限公司及/或交易对手于任何时候维持的任何独立账户之间来回调动任何数额之款项；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. (仅适用于员工股权激励账户及须与本账户条款及细则第十三部份 – 员工股权激励计划条款及细则一并阅读) 若客户属于雇主公司指定的须遵守国家外管局关于境内个人参与境外上市公司股权激励外汇管理有关问题的通知(汇发[2012]7 号文)(「7 号文」)人士，在从客户出售激励股份所得款中扣除依据账户条款及细则第十三部份 – 员工股权激励计划条款及细则第 2.8.3(d)条所有适用的金额、费用、收费之后，客户授权东方证券(香港)无需提前通知客户，将净出售所得款、相关股息收益等从客户账户转移至雇主公司指定账户，以满足 7 号文的相关要求(「转移授权」)；
(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. (仅适用于员工股权激励账户及须与本账户条款及细则第十三部份 – 员工股权激励计划条款及细则一并阅读) 若客户属于雇主公司指定的须支付预提税的人士，客户授权东方证券(香港)无需提前通知客户，将指定的税金、或者依据雇主公司指定的计算公式计算的款项(定义如下)在雇主公司指定限期前，转移至雇主公司指定的账户，用来结算关于客户行使及/或处置奖励及处置奖励股份而在计划下指定的应付税款(「税务授权」)；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. (仅适用于员工股权激励账户及须与本账户条款及细则第十三部份 – 员工股权激励计划条款及细则一并阅读) 第 3 及第 4 条所述的「雇主公司指定账户」，详情如下：
(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:

转移授权指定的银行账户 Transfer Authorization Designated Bank Account		税务授权指定的银行账户 Tax Authorization Designated Bank Account	
银行 Bank		银行 Bank	
帐户名称 Account Name		帐户名称 Account Name	
帐户号码 Account Number		帐户号码 Account Number	
转移授权指定的证券账户 Transfer Authorization Designated Securities Account		税务授权指定的证券账户 Tax Authorization Designated Securities Account	
证券行 Securities Broker	东方证券(香港)有限公司 Orient Securities (Hong Kong) Limited	证券行 Securities Broker	
帐户名称 Account Name		帐户名称 Account Name	
帐户号码 Account Number		帐户号码 Account Number	

如客户不同意或不了解有关安排，便不应签署本表格。如有疑问，请联络您的雇主，或寻求独立第三方的意见；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. (仅适用于员工股权激励账户及须与本账户条款及细则第十三部份 – 员工股权激励计划条款及细则一并阅读) 客户明白并且同意：
(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) 东方证券(香港)无须因税额授权、转移授权或本条款中的任何授权之范围内的资金转移而造成的任何损害或者损失负责。
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) 只要东方证券(香港)在税务授权的范围内且依据税务授权行事，若客户或雇主公司未能清缴客户行使及/或处置奖励及处置奖励及处置奖励股份在相关法律法规下需结算的税款，东方证券(香港)无须对此负责；并且
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) 只要东方证券(香港)在转移授权的范围内且依据转移授权行事，以符合 7 号文的有关要求，东方证券(香港)无须对无法或者延误将净出售所得款转移至雇主公司指定的银行账户负责。
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.

贵公司可不向本人/我们发出通知而采取上述行动。此赋予东方期货(香港)之授权乃鉴于东方期货(香港)同意继续维持本人/我们之期货交易帐户，而赋予东方证券(香港)之授权乃鉴于东方证券(香港)同意继续维持本人/我们之证券现金账户及/或证券保证金账户及/或股票期权账户及/或员工股权激励账户。
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.

此赋予贵公司之授权并不损害东方(香港)可享有有关处理该等独立账户内款项的其他授权或权利。
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.

本授权书由本函签发日期起 12 个月内有效。
This authority is valid for a period of 12 months from the date of this letter.

本人/我们可以向贵公司客户服务部位于上述所列明之地址发出书面通知，撤回本授权书。该等通知之生效日期为贵公司真正收到该等通知后之 14 日起计。
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/我们明白贵公司若在本授权书的有效期届满前不少于 14 日，向本人/我们发出书面通知，提醒本人/我们本授权书即将届满，而本人/我们没有在此授权届满前反对此授权续期，本授权书应当作在不需要本人/我们的书面同意下按持续的基准已被续期。
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/我们明白贵公司将于此授权届满日期后的 1 星期内，将该授权续期的确认书发予本人/我们。
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.

倘若本授权书的中文本与英文本在解释或意义方面有任何歧义，本人/我们同意应以英文本为准。
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/我们阅读、明白及同意本授权书的内容。
I/We have read and understood and accepted the contents of this letter.

客户签署 Client's Signature(s)：

账户持有人/第一账户持有人签署 Signed by the Account Holder/ Primary Account Holder:

X

客户姓名 Client's Name：_____

日期 Date：_____

第二账户持有人签署 (如适用) Signed by the Secondary Account Holder (if applicable):

X

客户姓名 Client's Name：_____

日期 Date：_____

N 客户确认及承诺 Client's Declaration and Acknowledgement

有关客户协议（包括帐户条款及细则、风险披露声明及个人资料（私隐）条例）致客户通知）及数据准确性提供确认。
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/我们声明及确认
I/We declare and acknowledge that :

1 本人/我们确认收到按本人所选择的语言（英文或中文）的客户协议副本或已对此协议作出备份，完全明白内容并同意受其约束；
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/我们获邀阅览客户协议及互联网证券买卖协议内的风险披露声明书，并提问及寻求独立意见（如本人欲进行）；
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/我们承认载于本客户数据表中的数据是真实和准确的。东方证券(香港)有限公司/东方期货(香港)有限公司获授权随时联络任何人, 包括任何银行、经纪或信用调查机构，藉以核实本客户数据表中所提供的数据。
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.

客户签署 Client's Signature(s)：

账户持有人/第一账户持有人签署 Signed by the Account Holder/ Primary Account Holder:

X

客户姓名 Client's Name：_____

日期 Date：_____

第二账户持有人签署 (如适用) Signed by the Secondary Account Holder (if applicable):

X

客户姓名 Client's Name：_____

日期 Date：_____

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

假如我们[东方证券(香港)有限公司/东方期货(香港)有限公司]向阁下_____招揽销售或建议任何金融产品，该金融产品必须是我们经考虑阁下的财政状况、投资经验及投资目标后而认为合理地适合阁下的。本协议的其他条文或任何其他我们可能要求阁下签署的文件及我们可能要求阁下作出的声明概不会减损本条款的效力。

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：“金融产品”指《证券及期货条例》所界定的任何证券、期货合约或杠杆式外汇交易合约。就“杠杆式外汇交易合约”而言，其只适用于由获得发牌经营第 3 类受规管活动的人所买卖的该等杠杆式外汇交易合约。
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 见证人 Witness

见证人姓名 Name of Witness	见证人签署 Signature of Witness
见证人职业及资格 Occupation and Qualification of Witness	

Q 持牌代表声明 Declaration by Licensed Representative

本人，_____ (持牌代表姓名，请用正楷填写)，确认已经以客户选择的语言 (英文或中文) 提供了载于条款及守则内的风险披露声明，并且本人已经邀请客户阅读该风险披露声明，提出有关问题及征求独立的意见(如客户有此意愿)。

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).

(请用正楷填写 Please complete in block letters)

持牌代表姓名 Name of Licensed Representative	中央编号 CE No.	持牌代表签署 Signature of Licensed Representative

备注 Remarks:

经由东方证券(香港)有限公司/东方期货(香港)有限公司承认及接纳
Acknowledged and Accepted By Orient Securities (Hong Kong) Limited/ Orient Futures (Hong Kong) Limited

授权签名 / 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

客户对衍生产品的认识 Client's Knowledge of Derivatives	
☐ 客户对衍生产品有一定程度的认识 Client has sufficient knowledge towards derivatives	☐ 客户对衍生产品没有认识 Client does not have sufficient knowledge towards derivatives

客户资料检验 Client Information Verified By		
客户资料准备 Client Information Prepared By		
职员姓名 Staff Name	职员签署 Staff Signature	日期 Date
客户数据检验 Client Information Checked By		
职员姓名 Staff Name	职员签署 Staff Signature	日期 Date
客户资料批核 Client Information Approved By		
职员姓名 Staff Name	职员签署 Staff Signature	日期 Date

信贷额 Credit Limit & 交易额 Trading Limit	
☐ 信贷额 Credit Limit	☐ 交易额 Trading Limit

佣金收费 Commission Charges		
香港股票市场 HK Stock Market	网上 Online	非网上 Offline
其他股票市场 Other Stock Markets		
备注 Remarks		

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