



东方证券
— D F Z Q —

國際

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

客户账号：
Account No:

个人/联名帐户申请书

INDIVIDUAL/JOINT ACCOUNT APPLICATION FORM

签署本表格前，请务必阅读《账户条款及细则》
(包含风险披露声明等)、交易及服务费用详情、本账户申请书及相关文件。
Please read the Terms and Conditions for Account (including Risk Disclosure Statement, etc.), details of Transaction Fee and Service Charges, and this Account Application Form and the related document(s) before signing on this Form

重要提示：本公司严禁雇员及业务代表要求客户在空白的账户申请书上签署。本公司雇员及业务代表亦需免费向阁下提供一份《账户条款及细则》(包含风险披露声明等)、交易及服务费用详情，以及阁下完整填写并签署的所有开户文件副本。如阁下被要求在空白的账户申请书上签署，又或并未收到《账户条款及细则》、交易及服务费用详情，以及阁下完整填写并签署的所有开户文件副本，请立即按上述电话联络本公司。

IMPORTANT REMINDER: OUR EMPLOYEES AND BUSINESS REPRESENTATIVES ARE STRICTLY PROHIBITED FROM ASKING CUSTOMERS TO SIGN ON BLANK ACCOUNT APPLICATION FORMS. OUR EMPLOYEES AND BUSINESS REPRESENTATIVES ARE ALSO REQUIRED TO PROVIDE YOU WITH A COPY OF THE TERMS AND CONDITIONS FOR ACCOUNT (INCLUDING RISK DISCLOSURE STATEMENT, ETC.), DETAILS OF TRANSACTION FEE AND SERVICE CHARGES, AND ALL THE ACCOUNT OPENING DOCUMENTS YOU HAVE COMPLETED AND SIGNED. IF YOU HAVE BEEN ASKED TO SIGN ON BLANK ACCOUNT APPLICATIONS, OR IF YOU DO NOT RECEIVE A COPY OF "TERMS AND CONDITIONS FOR ACCOUNT", DETAILS OF TRANSACTION FEE AND SERVICE CHARGES, AND ALL THE ACCOUNT OPENING DOCUMENTS YOU HAVE COMPLETED AND SIGNED, PLEASE NOTIFY THE COMPANY IMMEDIATELY BY CALLING THE ABOVE PHONE NUMBER.

个人/联名账户申请书 Individual / Joint Securities 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	☐ 美股期权账户 US Stock Options Account	证券账号 Securities Account No.	
	☐ 股票期权账户 Stock Options Account	☐ 期货账户 Futures Account	☐ 股权激励账户 ESOP Account	股票期权账号 Stock Options Account No.	
选择网上交易账户 Internet Trading	☐ 是 Yes* ☐ 否 No *如为联名账户,任何一位联名账户持有人均能在网上作出交易指示。 For Joint Securities Account, any one of the account holders may give			美股期权账号 US 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 请一并提交第二账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)	
亚洲 Asia	
☐ 香港股票市场 (不含沪深港通) (Hong Kong Stock Market, exclude China Stock Connect)	☐ 沪深港通 (China Stock Connect, Hong Kong)
☐ 中国 B 股市场 (China B Shares)	☐ 台湾股票市场 (Taiwan Stock Market)
☐ 日本股票市场 (Japan Stock Market)	☐ 新加坡股票市场 (Singapore Stock Market)
☐ 韩国股票市场 (South Korea Stock Market)	
欧洲 Europe	
☐ 德国股票市场 (Germany Stock Market)	☐ 英国股票市场 (UK Stock Market)
美洲 America	
☐ 美国股票柜台交易板 (USA OTC Market) *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.	☐ 美国股票市场 (USA Stock Market)
	☐ 加拿大股票市场 (Canada Stock Market)
其他海外上场及产品 Other Overseas Markets & Products	
☐ 澳洲股票市场 (Australia Stock Market)	☐ 债券 (Bonds)
☐ 结构性产品 Structured Products	☐ 基金市场 (Funds)
☐ 其他。请注明	
备注: 就美国市场及债券交易, 请同时填写 W8-BEN/W-9 表格。如已提供, 客户签署之日期为 Remarks: With regards to the USA markets and Bond, please also complete W8-BEN/W-9 Form. If already provided, the signature date of W8-BEN/W-9 Form	

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

[illegible]

出生地点 Place of Birth	出生日期 Date of Birth	年 Year	月 Month	日 Day
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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 主修 University Graduate Major :
	☐ 硕士毕业或以上 主修 Postgraduate or above Major :	☐ 金融财务相关专业资格 Professional qualification in finance :	

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

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

* (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.)

6	办公室地址 Office Address
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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 — < 40,000,000

☐ ≥ HKD40,000,000

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, CBBs and listed share options, Synthetic ETFs,, futures-based ETFs, Leveraged & Inverse products)	☐ 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)
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)
虚拟资产及虚拟资产相关的产品 Virtual Asset and Virtual Asset-Related Products					
☐ 虚拟资产及虚拟资产相关的产品 Virtual Asset and Virtual Asset-Related Products	☐ 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) Investment Objective (May choice more than one)

☐ 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

如阁下符合以下任何一项条件, 则可豁免衍生工具认识问卷测试。
If you meet any one of the following criteria, the Derivatives knowledge test can be waived.

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

金融机构名称 Relevant Financial Institution:

产品种类 Product Type:

交易期间 Trading Period:

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

相关培训或课程名称 Name of Training/ Courses:

举办机构名称 Name of Organized Institution:

出席日期 Attendance Date

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

公司名称 Name of Employer:

部门名称及职位 Department & Position:

工作年期 Working Year:

4. 客户并未有从上述途径获得对衍生产品之知识及经验, 将会进行以下衍生产品知识测试。
The client has not obtained the knowledge and experience of derivative products from the above channels and will take the derivative knowledge test below.

☐ 是 Yes

衍生工具知识测试 Derivatives Knowledge Test

请勾选最适当答案。Please tick the most appropriate answer.

1. 什么是衍生工具 What is a derivative?	☐ 银行存款 Bank deposit ☐ 附带股权权益的股份或任何其他证券 A stock or any other security representing an ownership interest ☐ 向公司或政府机构提供的贷款 A loan made to a company or a government body ☐ 其价值自相关资产衍生而来的金融工具 A financial instrument that derives its value from an underlying asset
2. 下列哪一些专案是市场上常见的衍生工具类别? Which of the following is/are common type(s) of derivative in the market?	☐ 期货 Futures ☐ 远期合约 Forwards ☐ 期权 Options ☐ 上述各项皆是 All of the above
3. 「杠杆效应」是否衍生工具的一个主要特点? Is "leveraging" a key feature of derivatives?	☐ 是 Yes ☐ 否 No
4. 「参与买卖期货合约或期权的亏蚀风险可以极大。你所蒙受的亏蚀可能会超过最初存入的保证金额」。这句话是否正确? "The risk of loss in trading futures contracts or options is substantial. You may sustain losses in excess of your initial margin funds". Is this sentence correct?	☐ 是 Yes ☐ 否 No
5. 下列哪一项是使用衍生工具涉及的风险? Which of the followings is/are the risk(s) factors of derivatives?	☐ 市场风险 Market risk ☐ 流动性风险 Liquidity risk ☐ 外汇风险 Foreign exchange risk ☐ 上述各项皆是 All of the above

G. 虚拟资产知识 Knowledge of Virtual Assets

If you choose option 1, 2, and/or 3 and provide relevant supporting documents such as training proof, certificates, current or previous employment proof and/or relevant trading record/statement, the virtual asset knowledge test can be waived.

如阁下剔选项 1、2 及/或 3 并提供相关证明文件，如受训纪录、证书、现时或过往工作证明及/或有关交易纪录/结单，则可豁免虚拟资产知识测试。

1. 客户曾否接受有关虚拟资产或虚拟资产相关产品的培训或出席有关课程? Whether the client has undergone training or attended courses on virtual assets or VA-related products	☐ 是 Yes ☐ 否 No
2. 客户现时或过往的工作经验是否与虚拟资产或虚拟资产相关产品有关? Whether the client has current or previous work experience related to virtual assets or VA-related products	☐ 是 Yes ☐ 否 No
3. 客户是否有曾进行虚拟资产或虚拟资产相关产品交易的经验? Whether the client has prior trading experience in virtual assets or VA-related products?	☐ 是 Yes ☐ 否 No
4. 客户并未有从上述途径获得对虚拟资产之知识及经验，将会进行以下虚拟资产知识测试。 The client has not obtained the knowledge and experience of virtual assets from the above channels and will take the virtual asset knowledge test below.	☐ 是 Yes ☐ 否 No

虚拟资产知识测试 Virtual Assets Knowledge Test

请勾选最适当答案。Please tick the most appropriate answer.

1. 投资者可能会因为虚拟资产及/或虚拟资产相关产品的风险而损失全部的投资本金。这说法是否正确? Investor may suffer 100% capital loss due to the risk of virtual assets and/or virtual assets related products. Is this statement correct?	☐ 是 Yes ☐ 否 No
2. 由于供应有限，比特币将随着时间的推移一定会保持其价值并会上涨? Bitcoin will retain its value and rise in price over time because there's a limited supply?	☐ 是 Yes ☐ 否 No
3. 以下哪些属于虚拟资产的类型? Which of the below are virtual asset?	☐ 数码代币 Digital tokens ☐ 虚拟商品 Virtual commodities ☐ 加密资产 Crypto assets ☐ 以上皆是 All of the above
4. 什么是区块链? What is blockchain?	☐ 点对点网络上的分散式账本 A distributed ledger on a peer to peer network ☐ 一种加密货币 A type of cryptocurrency ☐ 交易所 An exchange ☐ 中心化账本 A centralized ledger
5. 以下哪项有关加密货币及区块链的描述是正确的? Which of the following statements about cryptocurrency and blockchain is correct?	☐ 加密货币和区块链之间没有分别，词汇可以互换，意思一样。Cryptocurrency and blockchain are the same thing. They are interchangeable terms that have the same meaning. ☐ 加密货币和区块链均属虚拟资产。Cryptocurrency and blockchain are virtual assets. ☐ 加密货币以区块链技术核实及记录交易。Cryptocurrency is operated under blockchain technology to verify and record transactions. ☐ 区块链是仅应用于金融产业的新兴技术，是点对点网络账本，记录加密货币的交易。Blockchain is the emerging technology for financial industry only. It is peer-to-peer digital ledger that records the transactions of cryptocurrency.
6. 冷钱包是什么? What is Cold Wallet?	☐ 虚拟货币交易平台 Crypto trading platform ☐ 离线钱包 Holding crypto offline ☐ 线上钱包 Holding crypto online ☐ 挖矿 Mining crypto
7. 加密货币和加密资产之间有没有分别? Is there any difference between cryptocurrencies and crypto assets?	☐ 有 Yes ☐ 没有 No
8. Which of the following is incorrect about virtual asset futures ETFs? 以下关于虚拟资产期货 ETF 表述错误的是	☐ 香港的虚拟资产期货 ETF 一般采用主动型投资策略 Virtual asset futures ETFs in Hong Kong generally adopt active investment strategies ☐ 虚拟资产期货 ETF 的投资者所面对的风险，主要是相关虚拟资产及期货市场的风险 Investors in virtual asset futures ETFs are mainly subject to market risks of the underlying VA and relevant futures risks ☐ 虚拟资产期货 ETF 会直接投资于虚拟资产 Virtual asset futures ETFs invest directly in Virtual assets ☐ 投资虚拟资产期货 ETF 不保证本金获得偿付，或会蒙受损失 Virtual asset futures ETFs are not principal guaranteed and your investments may suffer losses.

9. 关于虚拟资产期货合约的风险，请选出下列最适当的描述。 For the risks of virtual asset futures contracts, please choose the most appropriate description of the following.	☐ 流动性风险 Liquidity risk ☐ 虚拟资产期货价格与虚拟资产当前现货价格的定价差异风险 Risk of pricing difference between the futures price of virtual assets and the current spot price of virtual assets ☐ 放大的风险及潜在的损失 Amplified risks and potential losses ☐ 以上皆是 All of the above
10. 请确认哪项属于虚拟资产的风险。 Please identify the risks of virtual assets.	☐ 流动性风险 Liquidity Risk ☐ 交易对手风险 Counterparty Risk ☐ 市场风险 Market Risk ☐ 潜在的市场操纵行为风险 Risk of Potential Market Manipulation ☐ 没有内在价值，价格十分波动 Has no intrinsic value, price could be extremely volatile ☐ 洗黑钱或为恐怖活动集资活动 Money Laundering and Terrorist Financing ☐ 以上皆是 All of the above

H. 银行资料 Bank Reference

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 _____ 账户号码 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) _____

I. 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?
Are 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/或客户之配偶之账户号码为 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)有限公司之账户资料:
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 _____

该公司客户之账户号码为 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，或其开办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：_____ ☐ 否 No
Yes. Please provide all previous name used: _____

J. 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别编号（以下简称「税务编号」）

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

请提供以下资料，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）有关交换财务账户资料的法律条文，（a）收集本表格所载资料并可备存作自动交换财务账户资料用途及（b）把该等资料和关于账户持有人及任何须申报账户的资料向香港特别行政区政府税务局申报，从而把资料转交到账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账户，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别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，亦因其国籍、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、有限责任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别编号）**」- 指纳税人的识别编号或具有等同功能的识别编号(如无纳税人的识别编号)。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别功能的其他完整号码(「具有等同功能的识别号码」)。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.

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/期货交易所客户协议中之《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资料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.

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Form **W-8BEN**
(Rev. October 2021)
Department of the Treasury
Internal Revenue Service
美国财政部国税局

Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)
在美国课税及申报目的下之最终受益人外国身分证明 (个人)

- **For use by individuals. Entities must use Form W-8BEN-E.**
供个人使用。非个人须使用 W-8BEN-E 表格。
- **Go to www.irs.gov/FormW8BEN for instructions and the latest information.**
W-8BEN 表格说明及其最新资讯请参考: www.irs.gov/FormW8BEN
- **Give this form to the withholding agent or payer. Do not send to the IRS.**
请将此表格交予扣缴义务人或付款人, 请勿直接交予美国国税局。

OMB No. 1545-1621

Do NOT use this form if:

倘符合以下情况请勿使用本表格:

- You are NOT an individual. **W-8BEN-E**
您并非个人
- You are a U.S. citizen or other U.S. person, including a resident alien individual **W-9**
您是美国公民或其他美国人, 包括常住外国人
- You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the United States (other than personal services). **W-8ECI**
您是受益所有人, 并声称收入与美国境内的贸易或商业行为(个人服务除外)有实际联系
- You are a beneficial owner who is receiving compensation for personal services performed in the United States. **8233 or W-4**
您是受益所有人, 因在美国提供个人服务而获得报酬
- You are a person acting as an intermediary. **W-8IMY**
您是作为中介人

Instead, use Form:
应使用之表格:

Note: If you are resident in a FATCA partner jurisdiction (that is, a Model 1 IGA jurisdiction with reciprocity), certain tax account information may be provided to your jurisdiction of residence.

备注: 倘若为 FATCA 伙伴国(如: 签订 Model I 跨政府协议之司法管辖区)之居民, 特定税务帐户资讯可能会提供予您身为税务居民之司法管辖区。

Part I Identification of Beneficial Owner (see instructions) 最终受益人身分 (详见说明)	
1 Name of individual who is the beneficial owner 最终受益人姓名	2 Country of citizenship 国籍
3 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address. 永久居住地址(含街道、公寓或房间号码, 或邮件投递路线)。勿使用邮政信箱或转信地址。	
City or town, state or province. Include postal code where appropriate. 城市或乡镇、州或省, 以及邮递区号	Country 国家
4 Mailing address (if different from above) 邮寄地址 (若与上方永久居住地址不同)	
City or town, state or province. Include postal code where appropriate. 城市或乡镇、州或省, 以及邮递区号	Country 国家
5 U.S. taxpayer identification number (SSN or ITIN), if required (see instructions) 倘须要(详见说明), 填写美国税籍编码 (SSN 或 ITIN)	
6a Foreign tax identifying number (see instructions) 外国税籍编码 (详见说明)	6b Check if FTIN not legally required. ☐ 如果法律不要求提供 FTIN, 请勾选
7 Reference number(s) (see instructions) 参考编号 (详见说明)	8 Date of birth (MM-DD-YYYY) (see instructions) 出生日期(月-日-年) (详见说明)

Part II Claim of Tax Treaty Benefits (for chapter 3 purposes only) (see instructions) 申请税务协定利益 (仅适用于第 3 章) (详见说明)	
9 I certify that the beneficial owner is a resident of _____ within the meaning of the income tax treaty between the United States and that country. 本人声明最终受益人系与美国签订租税协议国家之居民。	
10 Special rates and conditions (if applicable—see instructions): The beneficial owner is claiming the provisions of Article and paragraph _____ 特别税率与条件 (如适用, 参见说明): 受益人主张依上述第九点之协议第 _____ of the treaty identified on line 9 above to claim a _____ % rate of withholding on (specify type of income): 条与段落之规定, 要求以 _____ % 税率扣缴(说明收入类型)	
Explain the additional conditions in the Article and paragraph the beneficial owner meets to be eligible for the rate of withholding: 解释最终受益人在条款与段落规定下能适用此扣缴税率之额外条件: _____	

Part III Certification 声明	
Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that: 在知悉伪证罪之惩罚下, 本人声明: 本人已尽力检查本表格之资讯, 并相信上开资讯系真实、正确且完整。本人进一步依伪证惩罚声明:	
• I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income or proceeds to which this form relates or am using this form to document myself for chapter 4 purposes; 本人为此表格涉及之所有收入之个人最终受益人(或被个人最终受益人所授权签署的个人), 或针对第四章目的用本表格证明本人身分状态;	
• The person named on line 1 of this form is not a U.S. person;	

- 本表第 1 点所列之人并非美国人士；
- This form relates to:
本表涉及：
 - (a) income not effectively connected with the conduct of a trade or business in the United States;
与在美国开展的贸易或商业行为无有效联系的收入；
 - (b) income effectively connected with the conduct of a trade or business in the United States but is not subject to tax under an applicable income tax treaty;
实际上是与美国开展贸易或业务相关的收入但根据适用的所得税条约无需纳税
 - (c) the partner's share of a partnership's effectively connected taxable income; or
合伙人在合伙企业实际关联应税所得中所占的份额；或
 - (d) the partner's amount realized from the transfer of a partnership interest subject to withholding under section 1446(f);
合伙人因转让合伙权益而获得的、须依第 1446(f) 条预扣税款的金额；
 - The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country; and
本表格第 1 点所列之最终受益人是第 9 点列示与美国签订租税协议国家之居民；及
 - For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.
在经纪交易或以物易物状况中，最终受益人为本表说明中所定义之免受扣缴的外国人士。

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect
此外，本人授权将此表格提供给对最终受益人为本人之收入，可控制、接收或保管的扣缴义务人，或可发放或支付最终受益人为本人之收入的扣缴义务人。若本表格之声明已不正确，本人将同意于 30 天内提交一新表格。

☐ I certify that I have the capacity to sign for the person identified on line 1 of this form.
我证明我有能力代表本表格第 1 行所确定的人员签署。

Sign Here
此处签名 

Signature of beneficial owner (or individual authorized to sign for beneficial owner) 最终受益人(或被最终受益人授权签署之个人)之签名	Date (MM-DD-YYYY) 日期 (月-日-年)
Print name of signer 签署人姓名完整拼音	

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M. 常设授权 - 客户证券（证券保证金账户客户如未能提供此授权书，我司只会提供证券现金帐户服务）

Standing Authority - Client Securities (If Securities Margin Account Client fails to provide this authorization letter, only Securities Cash Account service will be provided)

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

(共同及个别地,「贵公司」、「东方(香港)」、「你」、「你的」、「你们」、「你们的」)
(Collectively and individually, "Company", "Orient (HK)", "you", "your")

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及证券抵押品。
This letter of Standing Authority covers all securities and securities collateral 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:

- 在符合《证券及期货(客户证券)规则》的前提下, 依据贵公司与第三方订立的证券借贷协议及/或证券回购协议(为免生疑问, 包括但不限于, 相当于国际证券借贷协会全球证券借贷主协议(「全球证券借贷主协议」)及/或等同或类似于国际资本市场协会全球回购主协议(「全球回购主协议」))运用任何本人/我们的证券或证券抵押品(为免生疑问, 包括但不限于股票、债券和票据以及其他类型的固定收益证券);
apply any of my/our securities or securities collateral, for the avoidance of doubt, including but not limited to shares, bonds, notes and other types of fixed income securities, pursuant to a securities borrowing and lending agreement and/or a securities repurchases agreement (for the avoidance of doubt, including but not limited to, any such agreement equivalent to or similar to the International Securities Lending Association's Global Master Securities Lending Agreement (the "GMSLA") and/or equivalent to or similar to the International Capital Market Association's Global Master Repurchase Agreement (the "GMRA")) between you and a third party, subject to compliance with the Securities and Futures (Client Securities) Rules;
- 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
- 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
- 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 SECH as SECH Collateral in respect of Exchange Traded Options Business resulting from my/our instructions to you; and/or
- 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
- 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 provide 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.

我/我们获悉及确认贵公司有将客户的证券及证券抵押品再质押的做法。
I/We hereby acknowledge, and confirm having been informed by you, that you have the practice of repledging clients' securities and securities collateral.

本人/我们明白现时并无任何法律规定本人/我们必须签署此授权书; 然而, 贵公司可能需要此授权书, 以便例如向本人/我们提供保证金贷款或获准将有关本人/我们的证券或证券抵押品借出予第三方或作为抵押品存放于第三方。本人/我们亦明白倘若本人/我们签署此授权书, 而本人/我们的证券或证券抵押品已借出予或存放于第三方, 该等第三方将对本人/我们的证券或证券抵押品具有留置权或作出押记。虽然贵公司根据本人/我们的授权而借出或存放属于本人/我们的证券或证券抵押品须对本人/我们负责, 但贵公司的失责行为可能会导致本人/我们损失本人/我们的证券或证券抵押品。本人/我们同意并确认贵公司及其有联系实体有权收取及保留任何由于处理本人/我们的证券或证券抵押品所产生的任何报酬、收入、回佣或其他利益而无须向本人/我们负责。
I/We understand that I am/we are not required by any law to sign this authority, but it may be required by you, for example, to facilitate margin lending to me/us or to allow my/our securities or securities collateral to be lent to or deposited as collateral with third parties. I/We also understand that if I/we sign this authority and my/our securities or securities collateral are lent to or deposited with third parties, those third parties will have a lien or charge on my/our securities or securities collateral. Although you are responsible to me/us for securities or securities collateral lent or deposited under my/our authority, a default by you could result in the loss of my/our securities or securities collateral. I/We agree and confirm that you and your associated entities shall be entitled to receive and retain for your or their own benefit and not be accountable to me/us for any remuneration, income, rebates or other benefits resulting from any dealing with my/our securities or securities collateral.

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.

[本页其余部分刻意留为空白; 下接签名页]
[Remainder of Page Intentionally Left Blank; Signature Page Follows]

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

X

日期 Date:

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

日期 Date: _____

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N. 常设授权 – 客户款项
Standing Authority - Client Money

致： 東方證券(香港)有限公司 (证监会持牌法团编号: AVD362)
Orient Securities (Hong Kong) Limited (CE No.: AVD362)
東方期貨(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帐户内和(ii)在香港以外地区收取或持有并存放于一个或多个独立帐户内, 设立维持并指定为信托帐户或客户帐户之的款项(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 :

- 组合或合并東方期貨(香港)有限公司(下称「東方期貨(香港)」)及/或東方證券(香港)有限公司(下称「東方證券(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帐户联合进行, 贵公司可将该等独立帐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;
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;
- 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帐户之间来回调动任何数额之款项; 。
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);
- (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”);
- (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」);
(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 accounts 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”);
- (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; and

- (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

(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。

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帐户内款项的其他授权或权利。

本授权书由本函签发日期起 12 个月内有效。

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。

本人/我们明白贵公司若在本授权书的有效期限届满前不少于 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, 本授权书应当作为在不需要本人/我们的书面同意下按持续的基准已被续期。

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。

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。

本人/我们阅读、明白及同意本授权书的内容。

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:	

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

客户姓名 Client's Name:

日期 Date: _____

客户姓名 Client's Name:

日期 Date: _____

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有关「客户协议」（包括《账户条款及细则》、风险披露声明、个人资料（私隐）条例）致客户通知及以最佳条件执行交易披露、本帐户申请书、交易及服务费用详情等）及资料准确性提供确认：

Acknowledgement regarding “Client Agreement” (including the Terms and Conditions for Account, the Risk Disclosure Statements, Circular to Clients Relating to Personal Data (Privacy) Ordinance and the Disclosure on Best Execution, this Account Application Form, details of Transaction Fee and Service Charges, etc.) and accuracy of information provided:

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**客户协议**作出备份, 完全明白内容并同意受其约束; 及
I/We acknowledged receipt of or have made 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/我们确认已被告知应随时查阅东方证券(香港)有限公司/东方期货(香港)有限公司的官方网站以了解最新的**客户协议**及服务安排, 并同意受不时更新的**客户协议**约束; 及
I/We confirm that I/we have been informed that I/we should check the official website of Orient Securities (Hong Kong) Limited/Orient Futures (Hong Kong) Limited from time to time to understand the latest **Client Agreement** and service arrangements, and agree to be bound by the **Client Agreement** and service arrangements updated from time to time; and
3. 本人/我们获邀仔细阅读**客户协议**中的风险披露声明, 了解并接受相关投资风险。本人/我们明白有关风险披露声明不是而且不能被当为一份完全或彻底列举所有潜在风险的清单。本人/我们并已获邀提问及按自身意愿寻求独立意见; 及
I/We have been invited to read the Risk Disclosure Statements in the **Client Agreement** carefully, understand and accept relevant investment risks. I/We understand that they are not and cannot be taken as a comprehensive or exhaustive list of all possible risks, to ask questions and to take independent advice if I/we wish; and
4. 本人/我们确认载于本帐户申请书中的资料是真实和准确的, 并承诺于资料有任何变动时通知东方证券(香港)有限公司/东方期货(香港)有限公司。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, 藉以核实本人/我们所提供的资料; 及
I/We confirm the information contained in this Account Application Form is true and accurate and undertake to inform Orient Securities (Hong Kong) Limited/Orient Futures (Hong Kong) about any changes in mentioned information. 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 by me/us; and
5. 本人/我们已获明确告知, 除非产品发行文件有明确说明, 否则任何投资均**不会有保证回报**, 本人/我们可能无法取回其投资本金, 甚至承受大于投资本金的亏损。
I/We have been expressly informed that there is **NO GUARANTEED RETURN** on any investment unless clearly and expressly stated in the product offering documents. I/we may not be able to get back the principal of my/our investment, or even suffer losses greater than the principal of the investment.

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

日期 Date: _____

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

X

日期 Date: _____

假如我们[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.

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

见证人签署
Signature of Witness

R. 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**客户协议 (包括《账户条款及细则》、风险披露声明、及个人资料 (私隐) 条例)**致客户通知及以**最佳条件执行交易披露、本帐户申请书、交易及服务费用详情等**, 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 **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 the Disclosure on Best Execution, this Account Application Form, details of Transaction Fee and Service Charges, etc.)** in a language (English or Chinese) of the Client's choice and that I have invited the Client to read the Risk Disclosure Statements, 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:

经由東方證券(香港)有限公司/東方期貨(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: _____

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

帐户名称Account Name: _____ 帐户号码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注册人、持牌人或注册人的联系人士、太平绅士或专业人士例如银行分行经理、执业会计师、律师、公证人或特许秘书见证客户协议的签署和核实身份证明文件;及/或使用获得《电子交易条例》(第 553 章)认可的验证服务,例如由香港邮政所提供的验证服务或有些在香港以外的核证机关所发出的电子签署证书(「认可的签署证书」)已取得获香港特区政府认可的证书互认资格作为核实客户身分之用)完全没有为「身份识别的目的」而进行面对面会面的客户 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")
其他意见 Other Comments:			

*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 jurisdictions which are internally assessed to be non-high risk.

请提供以下资料可选项 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)

备意见 Remarks/Comments		
由持牌代表填写 By licensed representative	(姓名及中央编号 Name and CE No.)	日期: Date:
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/ Head of 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，或在同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同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，或同等司法管辖区的政府或在同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

政治人物职务
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列为高风险水平：
Clients form below Countries must be classified as High Risk:
- | | | | |
|---------------------------------------|----------------------------------|-----------------|-----------------------------------|
| Algeria 阿尔及利亚 | Democratic Republic of the Congo | Mali 马里 | Virgin Islands (UK) 英属维京群岛 |
| Angola 安哥拉 | 刚果民主共和国 | Monaco 摩纳哥 | Yemen 也门 |
| Afghanistan 阿富汗 | Guiné-Bissau 几内亚比绍 | Myanmar 缅甸 | Crimea, Donetsk & Luhansk regions |
| Bolivia 玻利维亚 | Iran 伊朗 | Namibia 纳米比亚 | 克里米亚、顿涅茨克和卢甘斯克地区 |
| Bulgaria 保加利亚 | Iraq 伊拉克 | Nepal 尼泊尔 | |
| Cameroon 喀麦隆 | ISIL and Al-Qaida 伊黎伊斯兰国及基地组织 | Somalia 索马里 | |
| Central African Republic 中非共和国 | Kenya 肯尼亚 | South Sudan 南苏丹 | |
| Côte d'Ivoire 象牙海岸 | Lao People's Democratic Republic | Sudan 苏丹 | |
| Democratic People's Republic of Korea | 寮人民民主共和国 | Syria 叙利亚 | |
| 朝鲜民主主义人民共和国 | Lebanon 黎巴嫩 | Venezuela 委内瑞拉 | |
| Haiti 海地 | Libya 利比亚 | Vietnam 越南 | |
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.
8. 分类结果以风险评估中最高风险值决定
The Classification Result determined by the highest risk value in the risk assessment section.
9. 只有在分类结果是「低风险」的情况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.

客户对衍生产品及虚拟资产的认识 Client's Knowledge of Derivatives and Virtual Assets

☐ 衍生工具知识测试总分 Total Score: 通过测试 Pass: ☐ Yes 是 ☐ No 否 ☐ 客户提供其认识衍生工具的相关资料，无需进行测试 Clients provide relevant information on their knowledge of derivatives, completing the test not required.		
☐ 虚拟资产知识测试总分 Total Score: 通过测试 Pass: ☐ Yes 是 ☐ No 否 ☐ 客户提供其对虚拟资产知识及经验的相关资料，无需进行测试 Clients provide relevant information on their knowledge and experience of virtual assets, completing the test not required.		
☐ 客户对衍生工具有一定程度的认识 Client has sufficient knowledge of derivatives	☐ 客户对虚拟资产有一定程度的认识 Client has sufficient knowledge of virtual assets	☐ 客户对衍生工具和虚拟资产有一定程度的认识 Client has sufficient knowledge of derivatives and virtual assets
☐ 客户对衍生工具有一定程度的认识，但对虚拟资产没有认识 Client has sufficient knowledge of derivatives but does not have sufficient knowledge of virtual assets	☐ 客户对衍生工具没有认识，但对虚拟资产有一定程度的认识 Client does not have sufficient knowledge of derivatives but has sufficient knowledge of virtual assets	☐ 客户对衍生工具和虚拟资产均没有认识 Client does not have sufficient knowledge of both derivatives and virtual assets
☐ 客户在 E 部「投资经验」第 2 条选择「保本」 Client selected "Capital Preservation" in Question 2 of Part E "Investment Experience"		☐ 客户在 E 部「投资经验」第 2 条并非选择「保本」 Client did not select "Capital Preservation" in Question 2 of Part E "Investment Experience"

客户资料检验 Client Information Verification

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
客户资料核对 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

帐户额度授与 Limit Granted

☐ 保证金额度 (证券保证金帐户) Margin Limit (Securities Margin Account)	☐ 交易额度 (证券帐户) Trading Limit (Securities Account)
☐ 交易额度 (期货帐户) Trading Limit (Futures Account)	☐ 持仓限额 (期货帐户) Position Limit (Futures Account)
☐ 交易额度 (股票期权帐户) Trading Limit (Securities Option Account)	☐ 持仓限额 (期权帐户) Position Limit (Securities Option Account)

佣金收费Commission Charges

	网上 Online	非网上 Offline
香港股票市场 HK Stock Market		
其他股票市场 Other Stock Markets		
香港期货市场 HK Futures Market		
其他期货市场 Other Futures Markets		

香港股票期权市场 HK Stock Option Market		
其他股票期权市场 Other Stock Option Markets		
债券 Bonds		
基金 Fund		
备注 Remarks		

東方證券(香港)有限公司
ORIENT SECURITIES (HONG KONG) LIMITED
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28F-29F, 100 Queen's Road Central, Central, Hong Kong
客服电话Tel: (852) 3519 1288
传真Fax: (852) 2259 9218
证监会持牌法团编号 CE No.: AVD362
联交所交易所参与者参与者代号 : 01900
SEHK Participant Participant ID : 01900
联交所中华通交易所参与者参与者代号 : 01900
SEHK China Connect Exchange Participant Participant ID : 01900
联交所期权买卖交易所参与者 HKATS 代号 : ORN
SEHK Options Trading Exchange Participant HKATS : ORN
Customer Code : ORN
香港结算直接结算参与者参与者代号 : B01900
HKSCC Direct Clearing Participant Participant ID : B01900
香港结算中华通结算参与者参与者代号 : B01900
HKSCC China Connect Clearing Participant Participant ID : B01900
联交所期权结算所直接结算参与者 DCASS 代号 : CORN
SECH Direct Clearing Participant DCASS Customer Code : CORN

東方期貨(香港)有限公司
ORIENT FUTURES (HONG KONG) LIMITED
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28F-29F, 100 Queen's Road Central, Central, Hong Kong
客服电话 Tel: (852) 3519 1288
传真 Fax: (852) 2259 9218
证监会持牌法团编号 CE No.: AWD036
期交所期货交易商 HKATS 代号 : ORN
HKFE Futures Commission Merchant HKATS Customer Code : ORN
期货结算所结算参与者 DCASS 代号 : CORN
HKCC Clearing Participant DCASS Customer Code : CORN