



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

客戶賬號：
Account No:

個人/聯名帳戶申請書

INDIVIDUAL/JOINT ACCOUNT APPLICATION FORM

簽署本表格前，請務必閱讀《賬戶條款及細則》
(包含風險披露聲明等)、交易及服務費用詳情、本賬戶申請書及相關文件。
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：本公司嚴禁僱員及業務代表要求客戶在空白的賬戶申請書上簽署。本公司僱員及業務代表亦需免費向閣下提供一份《賬戶條款及細則》(包含風險披露聲明等)、交易及服務費用詳情，以及閣下完整填寫並簽署的所有開戶文件副本。如閣下被要求在空白的賬戶申請書上簽署，又或並未收到《賬戶條款及細則》、交易及服務費用詳情，以及閣下完整填寫並簽署的所有開戶文件副本，請立即按上述電話聯絡本公司。

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.

個人/聯名賬戶申請書 Individual / Joint Securities Account Application Form

賬戶類別 Type of Account	☐ 證券現金帳戶 Securities Cash Account	☐ 證券保證金帳戶 Securities Margin Account	☐ 美股期權帳戶 US Stock Options Account	證券賬號 Securities Account No.	
	☐ 股票期權帳戶 Stock Options Account	☐ 期貨帳戶 Futures Account	☐ 股權激勵帳戶 ESOP Account	股票期權賬號 Stock Options Account No.	
選擇網上交易賬戶 Internet Trading	☐ 是 Yes* ☐ 否 No *如為聯名賬戶，任何一位聯名賬戶持有人均能於網上作出交易指示。 For Joint Securities Account, any one of the account holders may give			美股期權賬號 US Stock Options Account No.	
				期貨賬號 Futures Account No.	
				股權激勵賬號 ESOP Account No.	

選擇賬戶 Account Type	☐ 個人賬戶 Individual Account ☐ 聯名賬戶 Joint Account 請一併提交第二賬戶持有人開戶表格補充文件。 Please provide the Secondary Account Holder's supplementary account opening form and relevant document. 第二賬戶持有人姓名 Name of Secondary Account Holder: _____
賬戶操作 (只適用於聯名賬戶) Account Operation (For Joint Account only)	☐ 任何一位賬戶持有人 Any one of the account holders ☐ 兩位聯名賬戶持有人 Both of the account holders 可簽署及/或為證券期貨進行支付、提取及/或轉帳事宜 may sign and/or effect payment, withdrawal and/or transfer transaction(s) for securities ☒ 任可一位賬戶持有人可透過任何途徑發出交易指示 Any one of the account holders may give transaction order by any means

市場選擇 Choice of Market (開立證券現金/保證金賬戶適用) (For Stock Cash / Margin Account only)	
亞洲 Asia	
☐ 香港股票市場 (不含滬深港通) (HK) (Hong Kong Stock Market, exclude China Stock Connect)	☐ 滬深港通 (China Stock Connect, Hong Kong)
☐ 中國 B 股票市場 (China B Shares)	☐ 臺灣股票市場 (Taiwan Stock Market)
☐ 日本股票市場 (Japan Stock Market)	☐ 新加坡股票市場 (Singapore Stock Market)
☐ 韓國股票市場 (South Korea Stock Market)	
歐洲 Europe	
☐ 德國股票市場 (Germany Stock Market)	☐ 英國股票市場 (UK Stock Market)
美洲 America	
☐ 美國股票櫃檯交易板 (USA OTC Market)	☐ 美國股票市場 (USA Stock Market)
*客戶應根據本身的投資經驗、風險承受能力和其他相關條件，小心衡量自己是否適合參與該等買賣及徵求獨立專業意見。 Client should carefully review his/her suitability in participating the concerned trading activity in accordance to his/her investment experience, risk-bearing capability and other relevant criteria.	☐ 加拿大股票市場 (Canada Stock Market)
其他海外上場及產品 Other Overseas Markets & Products	
☐ 澳洲股票市場 (Australia Stock Market)	☐ 債券 (Bonds)
☐ 結構性產品 Structured Products	☐ 基金市場 (Funds)
☐ 其他。請注明	
備注：就美國市場及債券交易，請同時填寫 W8-BEN/W-9 表格。如已提供，客戶簽署之日期為 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	

賬戶持有人/第一賬戶持有人 Account Holder/ Primary Account Holder

[illegible]

出生地點 Place of Birth	出生日期 Date of Birth	年 Year	月 Month	日 Day
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2	身份證號碼 / 護照號碼 I.D. Card No. / Passport No.	3	國籍 / 公民身份 Nationality / Citizenship
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4	教育水平	☐ 小學程度或以下 Primary Educated Level or below	☐ 中學畢業 Secondary Graduate	☐ 大學畢業 主修 University Graduate Major :
	Education Level	☐ 碩士畢業或以上 主修 Postgraduate or above Major :		☐ 金融財務相關專業資格 Professional qualification in finance :

5 住宅地址 (郵編)
Residential Address (Postal Code)

6 通訊地址 (如與以上地址有不同/Only if the address is different from above) (郵編)
Correspondence Address (Postal Code)

7	電郵地址 E-mail Address
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8	住宅電話 Home Phone No.	流動電話 Mobile Phone No.	傳真機號碼 Fax No.
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9 ☐ QQ: _____ ☐ 微信 WeChat: _____ ☐ 其他(请注明) Others (Please specify): _____

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

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

* (若客戶要求以郵寄方式收取賬單,每一賬戶將會收取結單月費 Statement fee per account will be charged for requesting to receive statements by mail.)

1	公司名稱 Company Name	2 辦公室電話 Office Phone No.
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3	業務性質 Nature of Business	4	職位 Job Title	5	受僱年期 Years of Service
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6	辦公室地址 Office Address
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1 年收入 Annual Income

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

2 住屋業權 Ownership of Residence

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

3 資產 / 資金來源 Source of Wealth (如需要, 可勾選多個) (Tick more than one box, if appropriate):

☐ 投資 Investment ☐ 薪金及/或花紅 Salary and/or Bonus ☐ 存款 Savings ☐ 遺產/贈予 Inheritance/Gift ☐ 生意收入 Business Income

☐ 租金 Rental ☐ 退休金 Pension ☐ 其他(請注明) Others (Please specify) _____

資產/資金來源地 Origin of Source of Funds (如需要, 可勾選多個) (Tick more than one box, if appropriate):

☐ 內地 Mainland ☐ 香港 Hong Kong ☐ 澳門 Macau ☐ 臺灣 Taiwan ☐ 其他(請注明) Others (Please specify) _____

大約資產淨值 (總資產減總負債) Approximate net value of assets (Total Asset Minus Total Liability):

☐ < HKD1,000,000 ☐ HKD1,000,000 — < 5,000,000 ☐ HKD5,000,000 — < 10,000,000 ☐ ≥ HKD10,000,000 ☐ ≥ HKD80,000,000

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

☐ < HKD200,000 ☐ HKD200,000 — < 1,000,000 ☐ HKD1,000,000 — < 5,000,000 ☐ HKD5,000,000 — < 8,000,000 ☐ ≥ HKD8,000,000 — < HKD40,000,000

☐ ≥ HKD40,000,000

預期投資數目 / 預期賬戶活動 Expected Investment Size/ Anticipated Account Activity

☐ < HKD200,000 ☐ HKD200,000 — < 1,000,000 ☐ HKD1,000,000 — < 5,000,000 ☐ HKD5,000,000 — < 8,000,000 ☐ ≥ HKD8,000,000 — < HKD40,000,000

☐ ≥ HKD40,000,000

E. 投資經驗 Investment Experience

1. 投資經驗 Investment Experience

股票 Stocks					
☐ 非複雜產品 (如: 於聯交所買賣的股份) Non-Complex Product (e.g. Shares traded on the SEHK)	☐ 1 年以下 (below 1 year)	☐ 1 年至 3 年 (1 to 3 years)	☐ 3 年至 5 年 (3 to 5 years)	☐ 6 年至 10 年 (6 to 10 years)	☐ 10 年以上 (above 10 years)
☐ 複雜產品 (如: 於聯交所買賣的股票衍生工具如衍生權證、牛熊證及上市認股權、合成 ETF、期貨 ETF、杆及反向產品) Complex Product (e.g. Equity derivatives traded on the SEHK such as DWs, 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)
期貨和期權 Futures & Options					
☐ 複雜產品 (如: 於期交所買賣的期貨合約) Complex Product (e.g. Futures contracts traded on the HKFE)	☐ 1 年以下 (below 1 year)	☐ 1 年至 3 年 (1 to 3 years)	☐ 3 年至 5 年 (3 to 5 years)	☐ 6 年至 10 年 (6 to 10 years)	☐ 10 年以上 (above 10 years)
商品 Commodities					
☐ 非複雜產品 (如: 金、銀等貴金屬) Non-Complex Product (e.g. Gold, Silver and other precious metal)	☐ 1 年以下 (below 1 year)	☐ 1 年至 3 年 (1 to 3 years)	☐ 3 年至 5 年 (3 to 5 years)	☐ 6 年至 10 年 (6 to 10 years)	☐ 10 年以上 (above 10 years)
債券 Bonds					
☐ 非複雜產品 (如: 非複雜債券, 包括不具有其他特點的可贖回債券) Non-Complex Product (e.g. Non-complex bonds, including callable bonds without other special features)	☐ 1 年以下 (below 1 year)	☐ 1 年至 3 年 (1 to 3 years)	☐ 3 年至 5 年 (3 to 5 years)	☐ 6 年至 10 年 (6 to 10 years)	☐ 10 年以上 (above 10 years)
☐ 複雜產品 (如: 永久債券、可轉換債券、次級債券) Complex Product (e.g. Perpetual Bond, Convertible Bond, Subordinated Bond)	☐ 1 年以下 (below 1 year)	☐ 1 年至 3 年 (1 to 3 years)	☐ 3 年至 5 年 (3 to 5 years)	☐ 6 年至 10 年 (6 to 10 years)	☐ 10 年以上 (above 10 years)
基金 Funds					
☐ 非複雜產品 (如: 證監會認可的非衍生產品基金) Non-Complex Product (e.g. Non-derivative funds authorized by the SFC)	☐ 1 年以下 (below 1 year)	☐ 1 年至 3 年 (1 to 3 years)	☐ 3 年至 5 年 (3 to 5 years)	☐ 6 年至 10 年 (6 to 10 years)	☐ 10 年以上 (above 10 years)
☐ 複雜產品 (如: 對沖基金、私募股權基金、衍生產品基金) Complex Product (e.g. Hedge Funds, Private Equity Funds, Derivative funds)	☐ 1 年以下 (below 1 year)	☐ 1 年至 3 年 (1 to 3 years)	☐ 3 年至 5 年 (3 to 5 years)	☐ 6 年至 10 年 (6 to 10 years)	☐ 10 年以上 (above 10 years)
虛擬資產及虛擬資產相關的產品 Virtual Asset and Virtual Asset-Related Products					
☐ 虛擬資產及虛擬資產相關的產品 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 (請註明) 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)

F. 衍生產品的認識 Knowledge of Derivatives

如閣下符合以下任何一項條件, 則可豁免衍生工具認識問卷測試。
If you meet any one of the following criteria, the Derivatives knowledge test can be waived.

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

☐ 是 Yes

☐ 否 No

金融機構名稱 Relevant Financial Institution: _____

產品種類 Product Type: _____

交易期間 Trading Period: _____

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

☐ 是 Yes

☐ 否 No

相關培訓或課程名稱 Name of Training/ Courses: _____

舉辦機構名稱 Name of Organized Institution: _____

出席日期 Attendance Date _____

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

☐ 是 Yes

☐ 否 No

公司名稱 Name of Employer: _____

部門名稱及職位 Department & Position: _____

工作年期 Working Year: _____

4. 客戶並未有從上述途徑獲得對衍生產品之知識及經驗, 將會進行以下衍生產品知識測試。
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

衍生工具知識測試 Derivatives Knowledge Test

請勾選最適當答案。Please tick the most appropriate answer.

1. 什麼是衍生工具 What is a derivative?	☐ 銀行存款 Bank deposit ☐ 附帶股權權益的股份或任何其他證券 A stock or any other security representing an ownership interest ☐ 向公司或政府機構提供的貸款 A loan made to a company or a government body ☐ 其價值自相關資產衍生而來的金融工具 A financial instrument that derives its value from an underlying asset
2. 下列哪一些專案是市場上常見的衍生工具類別? Which of the following is/are common type(s) of derivative in the market?	☐ 期貨 Futures ☐ 遠期合約 Forwards ☐ 期權 Options ☐ 上述各項皆是 All of the above
3. 「杠杆效應」是否衍生工具的一個主要特點? Is “leveraging” a key feature of derivatives?	☐ 是 Yes ☐ 否 No
4. 「參與買賣期貨合約或期權的虧蝕風險可以極大。你所蒙受的虧蝕可能會超過最初存入的保證金數額」。這句子是否正確? “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. 下列哪一項是使用衍生工具涉及的風險? Which of the followings is/are the risk(s) factors of derivatives?	☐ 市場風險 Market risk ☐ 流動性風險 Liquidity risk ☐ 外匯風險 Foreign exchange risk ☐ 上述各項皆是 All of the above

G. 虛擬資產知識 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.

如閣下剔選選項 1、2 及/或 3 並提供相關證明文件，如受訓紀錄、證書、現時或過往工作證明及/或有關交易紀錄/結單，則可豁免虛擬資產知識測試。

- | | |
|--|--|
| 1. 客戶曾否接受有關虛擬資產或虛擬資產相關產品的培訓或出席有關課程?
Whether the client has undergone training or attended courses on virtual assets or VA-related products | ☐ 是 Yes ☐ 否 No |
| 2. 客戶現時或過往的工作經驗是否與虛擬資產或虛擬資產相關產品有關?
Whether the client has current or previous work experience related to virtual assets or VA-related products | ☐ 是 Yes ☐ 否 No |
| 3. 客戶是否有曾進行虛擬資產或虛擬資產相關產品交易的經驗?
Whether the client has prior trading experience in virtual assets or VA-related products? | ☐ 是 Yes ☐ 否 No |
| 4. 客戶並未有從上述途徑獲得對虛擬資產之知識及經驗，將會進行以下虛擬資產知識測試。
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 |

虛擬資產知識測試 Virtual Assets Knowledge Test

請勾選最適當答案。Please tick the most appropriate answer.

- | | |
|--|--|
| 1. 投資者可能會因為虛擬資產及/或虛擬資產相關產品的風險而損失全部的投資本金。這說法是否正確?
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. 由於供應有限，比特幣將隨著時間的推移一定會保持其價值並會上漲?
Bitcoin will retain its value and rise in price over time because there's a limited supply? | ☐ 是 Yes ☐ 否 No |
| 3. 以下哪些屬虛擬資產的類型?
Which of the below are virtual asset? | ☐ 數碼代幣 Digital tokens
☐ 虛擬商品 Virtual commodities
☐ 加密資產 Crypto assets
☐ 以上皆是 All of the above |
| 4. 什麼是區塊鏈?
What is blockchain? | ☐ 點對點網絡上的分散式賬本 A distributed ledger on a peer to peer network
☐ 一種加密貨幣 A type of cryptocurrency
☐ 交易所 An exchange
☐ 中心化賬本 A centralized ledger |
| 5. 以下哪項有關加密貨幣及區塊鏈的描述是正確的?
Which of the following statements about cryptocurrency and blockchain is correct? | ☐ 加密貨幣和區塊鏈之間沒有分別，詞匯可以互換，意思一樣。Cryptocurrency and blockchain are the same thing. They are interchangeable terms that have the same meaning.
☐ 加密貨幣和區塊鏈均屬虛擬資產。Cryptocurrency and blockchain are virtual assets.
☐ 加密貨幣以區塊鏈技術核實及記錄交易。Cryptocurrency is operated under blockchain technology to verify and record transactions.
☐ 區塊鏈是僅應用於金融產業的新興技術，是點對點網絡賬本，記錄加密貨幣的交易。Blockchain is the emerging technology for financial industry only. It is peer-to-peer digital ledger that records the transactions of cryptocurrency. |
| 6. 冷錢包是什麼?
What is Cold Wallet? | ☐ 虛擬貨幣交易平臺 Crypto trading platform
☐ 離線錢包 Holding crypto offline
☐ 線上錢包 Holding crypto online
☐ 挖礦 Mining crypto |
| 7. 加密貨幣和加密資產之間有沒有分別?
Is there any difference between cryptocurrencies and crypto assets? | ☐ 是 Yes ☐ 否 No |
| 8. Which of the following is incorrect about virtual asset futures ETFs?
以下關於虛擬資產期貨 ETF 表述錯誤的是 | ☐ 香港的虛擬資產期貨 ETF 一般采用主動型投資策略
Virtual asset futures ETFs in Hong Kong generally adopt active investment strategies
☐ 虛擬資產期貨 ETF 的投資者所面對的風險，主要是相關虛擬資產及期貨市場的風險
Investors in virtual asset futures ETFs are mainly subject to market risks of the underlying VA and relevant futures risks
☐ 虛擬資產期貨 ETF 會直接投資於虛擬資產
Virtual asset futures ETFs invest directly in Virtual assets
☐ 投資虛擬資產期貨 ETF 不保證本金獲得償付，或會蒙受損失
Virtual asset futures ETFs are not principal guaranteed and your investments may suffer losses. |

9. 關於虛擬資產期貨合約的風險，請選出下列最適當的描述。 For the risks of virtual asset futures contracts, please choose the most appropriate description of the following. 10. 請確認哪項屬虛擬資產的風險。 Please identify the risks of virtual assets.	☐ 流動性風險 Liquidity risk ☐ 虛擬資產期貨價格與虛擬資產當前現貨價格的定價差異風險 Risk of pricing difference between the futures price of virtual assets and the current spot price of virtual assets ☐ 放大的風險及潛在的損失 Amplified risks and potential losses ☐ 以上皆是 All of the above ☐ 流動性風險 Liquidity Risk ☐ 交易對手風險 Counterparty Risk ☐ 市場風險 Market Risk ☐ 潛在的市場操縱行為風險 Risk of Potential Market Manipulation ☐ 沒有內在價值，價格十分波動 Has no intrinsic value, price could be extremely volatile ☐ 洗黑錢或為恐怖活動集資活動 Money Laundering and Terrorist Financing ☐ 以上皆是 All of the above
--	--

H. 銀行資料 Bank Reference

客戶的款項將會被轉入下列銀行賬戶
All funds payable to Client will be credited into the following bank account

銀行 Bank _____ 賬戶名稱 Account Name _____

分行 Branch _____ 賬戶號碼 Account No. _____

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

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

I. 客戶聲明 Client Declaration

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

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

若不是，最終權益擁有人身份證號碼/護照號碼為 If “No”, ID No./ Passport No. of the ultimate beneficial owner(s): _____

與最終權益擁有人的關係 Relationship with ultimate beneficial owner(s) _____

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

☐ 是 Yes ☐ 否 No

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

若是，中央編號為 If “Yes”, CE No. _____

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

☐ 是 Yes ☐ 否 No

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

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

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

☐ 是 Yes ☐ 否 No

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

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

5. 客戶及/或客戶之配偶是否東方證券(香港)有限公司/東方期貨(香港)有限公司的客戶?
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，客戶及/或客戶之配偶之賬戶名稱為 If “Yes”, you and/or your spouse’s Account Name _____

若是，客戶及/或客戶之配偶之賬戶號碼為 If “Yes”, you and/or your spouse’s Account No. _____

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

☐ 是 Yes ☐ 否 No

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

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

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

7. 客戶曾否在香港或其他國家/地區破產、被申請破產、申請債務重組、被列入失信被執行人名單等，或其開立的公司被申請強制清盤？
Have you ever gone bankrupt, been filed for bankruptcy, applied for debt restructuring, been listed on the List of Dishonest Persons subject to Enforcement, etc. in Hong Kong or other countries/regions, or been files for compulsory winding-up of the company you opened?
☐ 是 Yes ☐ 否 No
8. 客戶曾否更改名字？
Have you ever changed your name?
☐ 是。請提供所有曾使用的名字：
Yes. Please provide all previous name used: _____ ☐ 否 No

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

居留司法管轄區及稅務編號或具有等同功能的識別編號（以下簡稱「稅務編號」）

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

請提供以下資料，列明（a）賬戶持有人的居留司法管轄區，亦即賬戶持有人的**稅務管轄區**（香港包括在內）及（b）該居留司法管轄區發給賬戶持有人的稅務編號。列出**所有**（不限於3個）居留司法管轄區。

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

如賬戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.

如沒有提供稅務編號，必須填寫合適的理由A、B或C：

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

理由A - 賬戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

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

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

Reason 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 - 賬戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要賬戶持有人披露稅務編號。

Reason C - TIN is not required. Select this Reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

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

聲明 Declarations

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

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

本人證明，就與本表格所有相關的賬戶，本人是**賬戶持有人**簽署本表格。

I certify that I am the **account holder** of all the account(s) to which this form relates.

本人承諾，如情況改變，以致影響本表格第1部所述的個人的稅務居民身份，或引致本表格所載的資料不正確，本人會及時通知東方證券（香港）有限公司/東方期貨（香港）有限公司，並會在情況發生改變後**30日內**，向東方證券（香港）有限公司/東方期貨（香港）有限公司提交一份已適當更新的稅務居民自我認證表格。

I undertake to advise Orient Securities (Hong Kong) / Orient Futures (Hong Kong) of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide Orient Securities (Hong Kong) / Orient Futures (Hong Kong) with a suitably updated self-certification form **within 30 days** of such change in circumstances.

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

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

附錄- 定義 Appendix - Definitions

「**賬戶持有人**」- 指被維持該財務賬戶的財務機構列明為或識別為賬戶的持有人的人士，不論該人士是否為過渡實體。所以，如果一個信托或遺產被列明為某財務賬戶的持有人或擁有人，則賬戶持有人是該信托或遺產，而非受托人、信托的擁有人或受益人。同樣地，如果一個合夥被列明為某財務賬戶的持有人或擁有人，則賬戶持有人是該合夥，而非合夥的合夥人。除財務機構外，若有關人士以代理人、托管人、代名人、簽署人、投資顧問、中介人或合法監護人身份代其他人士持有財務賬戶，他不會被視為賬戶持有人。在這種情況下，賬戶持有人應為該其他人士。以一個家長與子女開立的賬戶為例，如賬戶以家長為子女的合法監護人名義開立，子女會被視為賬戶持有人。聯名賬戶內的每個持有人都被視為賬戶持有人。

“**Account Holder**” - The “Account Holder” is the person listed or identified as the holder of a Financial Account by the Financial Institution that maintains the account. This is regardless of whether such person is a flow-through Entity. Thus, for example, if a trust or an estate is listed as the holder or owner of a Financial Account, the trust or estate is the Account Holder, rather than the trustee or the trust's owners or beneficiaries. Similarly, if a partnership is listed as the holder or owner of a Financial Account, the partnership is the Account Holder, rather than the partners in the partnership. A person, other than a Financial Institution, holding a Financial Account for the benefit or account of another person as agent, custodian, nominee, signatory, investment advisor, or intermediary, or legal guardian, is not treated as holding the account, and such other person is treated as holding the account. For example in the case of a parent/child relationship where the parent is acting as a legal guardian, the child is regarded as the Account Holder. With respect to a jointly held account, each joint holder is treated as an Account Holder.

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

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

「稅務編號（包括具有等同功能的識別編號）」 - 指納稅人的識別編號或具有等同功能的識別編號(如無納稅人的識別編號)。稅務編號是稅務管轄區向個人或實體分配獨有的字母與數字組合，用於識別個人或實體的身份，以便實施該稅務管轄區的稅務法律。有關可接受的稅務編號的更多詳細信息刊載於經濟合作與發展組織的自動交換資料網站：<http://www.oecd.org/tax/automatic-exchange/crsimplementation-and-assistance/>。

“TIN” (including “functional equivalent”) - The term “TIN” means Taxpayer Identification Number or a functional equivalent (in the absence of a TIN). A TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual or an Entity and used to identify the individual or Entity for the purposes of administering the tax laws of such jurisdiction. Further details of acceptable TINs can be found at the OECD Automatic Exchange Portal at the following link: <http://www.oecd.org/tax/automatic-exchange/crsimplementation-and-assistance/>

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

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

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

客戶明白亦同意及確認如下：

The Client understands and agrees and confirms that:

- (i) 客戶已閱讀並明白於證券/期貨交易賬戶客戶協議中之《個人資料(私隱)條例》(「條例」)客戶通知，並同意及接受其條款。
the Client has read and understood the Circular to Clients Relating to Personal Data (Privacy) Ordinance (the “Ordinance”) of Orient Securities (Hong Kong) Limited/Orient Futures (Hong Kong) Limited as contained in the Securities Account Client Agreement, and agrees to and accepts its terms.
 - (ii) 客戶亦已明白及同意一切由東方證券(香港)有限公司/東方期貨(香港)有限公司從本開戶表格或以其他方式獲取而由東方證券股份有限公司的相關聯繫或有關聯公司收集或持有的個人資料，均可供東方證券股份有限公司成員使用作以下自願性用途：
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) 為東方證券(香港)有限公司/東方期貨(香港)有限公司成員及/或東方證券股份有限公司成員的金融產品及服務提供市場推廣資料及進行直接市場推廣活動；及
to provide marketing materials and conduct direct marketing activities in relation to financial products and services of members of Orient Securities (Hong Kong) Limited/Orient Futures (Hong Kong) Limited and/or Orient Securities Company Limited; and
 - (b) 就東方證券(香港)有限公司/東方期貨(香港)有限公司成員及/或東方證券股份有限公司成員的服務及產品發展進行市場調查及研究。
to conduct market research and surveys for the members of Orient Securities (Hong Kong) Limited's/Orient Futures (Hong Kong) Limited's and/or Orient Securities Company Limited's development of service and product.
- ☐ 如客戶不欲東方證券(香港)有限公司/東方期貨(香港)有限公司成員及/或東方證券股份有限公司成員將客戶的個人資料用於上述自願性用途，請加上 ☒ 號。
Please tick here if the Client does not want members of Orient Securities (Hong Kong) Limited and/or Orient Securities Company Limited to use his/her personal data for the **voluntary purposes** set out above.

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Form **W-8BEN**

(Rev. October 2021)

Department of the
Treasury
Internal Revenue Service
美國財政部國稅局

Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)
在美國課稅及申報目的下之最終受益人外國身分證明 (個人)

► For use by individuals. Entities must use Form W-8BEN-E.
供個人使用。非個人須使用 W-8BEN-E 表格。

- Go to www.irs.gov/FormW8BEN for instructions and the latest information.
W-8BEN 表格說明及其最新資訊請參考: www.irs.gov/FormW8BEN
► Give this form to the withholding agent or payer. Do not send to the IRS.
請將此表格交予扣繳義務人或付款人, 請勿直接交予美國國稅局。

OMB No. 1545-1621

Do NOT use this form if:

倘符合以下情況請勿使用本表格:

- You are NOT an individual. W-8BEN-E
您並非個人
- You are a U.S. citizen or other U.S. person, including a resident alien individual W-9
您是美國公民或其他美國人, 包括常住外國人
- 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, 並聲稱收入與美國境內的貿易或商業行為 (個人服務除外) 有實際聯繫
- 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, 因在美國提供個人服務而獲得報酬
- You are a person acting as an intermediary. W-8IMY
您是作為中介人

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.

備註: 倘若為 FATCA 夥伴國(如: 簽訂 Model I 跨政府協議之司法管轄區)之居民, 特定稅務帳戶資訊可能會提供予您身為稅務居民之司法管轄區。

Part I Identification of Beneficial Owner (see instructions) 最終受益人身分(詳見說明)

1	Name of individual who is the beneficial owner 最終受益人姓名	2	Country of citizenship 國籍
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、公寓或房間號碼, 或郵件投遞路線)。勿使用郵政信箱或轉信地址。		
City or town, state or province. Include postal code where appropriate. 城市或鄉鎮、州或省, 以及郵遞區號		Country 國家	
4	Mailing address (if different from above) 郵寄地址 (若與上方永久居住地址不同)		
City or town, state or province. Include postal code where appropriate. 城市或鄉鎮、州或省, 以及郵遞區號		Country 國家	
5	U.S. taxpayer identification number (SSN or ITIN), if required (see instructions) 倘須要(詳見說明), 填寫美國稅籍編碼 (SSN 或 ITIN)		
6a	Foreign tax identifying number (see instructions) 外國稅籍編碼 (詳見說明)	6b	Check if FTIN not legally required. ☐ 如果法律不要求提供 FTIN, 請勾選
7	Reference number(s) (see instructions) 參考編號 (詳見說明)	8	Date of birth (MM-DD-YYYY) (see instructions) 出生日期(月-日-年)(詳見說明)

Part II Claim of Tax Treaty Benefits (for chapter 3 purposes only) (see instructions) 申請稅務協定利益 (僅適用於第 3 章) (詳見說明)

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. 之居民。

10 **Special rates and conditions** (if applicable—see instructions): The beneficial owner is claiming the provisions of Article and paragraph _____
特別稅率與條件 (如適用, 參見說明): 受益人主張依上述第九點之協議第 _____
of the treaty identified on line 9 above to claim a _____ % rate of withholding on (specify type of income):
條與段落之規定, 要求以 _____ % 稅率扣繳(說明收入類型)

Explain the additional conditions in the Article and paragraph the beneficial owner meets to be eligible for the rate of withholding:
解釋最終受益人在條款與段落規定下能適用此扣繳稅率之額外條件: _____

Part III Certification 聲明

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:
在知悉偽證罪之懲罰下, 本人聲明: 本人已盡力檢查本表格之資訊, 並相信上開資訊係真實、正確且完整。本人進一步依偽證懲罰聲明:
• 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;
本人為此表格涉及之所有收入之個人最終受益人(或被個人最終受益人所授權簽署的個人), 或針對第四章目的用本表格證明本人身分狀態;
• The person named on line 1 of this form is not a U.S. person;

本表第 1 點所列之人並非美國人士；

- 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;
與在美國開展的貿易或商業行為無有效聯繫的收入；
- (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;
實際上是與在美國開展貿易或業務相關的收入但根據適用的所得稅條約無需納稅
- (c) the partner's share of a partnership's effectively connected taxable income; or
合夥人在合夥企業實際關聯應稅所得中所占的份額；或
- (d) the partner's amount realized from the transfer of a partnership interest subject to withholding under section 1446(f);
合夥人因轉讓合夥權益而獲得的、須依第 1446(f) 條預扣稅款的金額；
- 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 點所列之最終受益人為第 9 點列示與美國簽訂租稅協議國家之居民；及
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.
在經紀交易或以物易物狀況中，最終受益人為本表說明中所定義之免受扣繳的外國人士。

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，本人授權將此表格提供給對最終受益人為本人之收入，可控制、接收或保管的扣繳義務人，或可發放或支付最終受益人為本人之收入的扣繳義務人。若本表格之聲明已不正確，本人將同意於 30 天內提交一新表格。

- ☐ I certify that I have the capacity to sign for the person identified on line 1 of this form.
我證明我有能力代表本表格第 1 行所確定的人員簽署。

Sign Here
此處簽名



Signature of beneficial owner (or individual authorized to sign for beneficial owner)
終受益人(或被最終受益人授權簽署之個人)之簽名

Date (MM-DD-YYYY)
日期 (日-月-年)

Print name of signer
簽署人姓名完整拼音

[本頁其餘部分刻意留為空白]
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M. 常設授權 - 客戶證券（證券保證金賬戶客戶如未能提供此授權書，我司只會提供證券現金帳戶服務）

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

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

(共同及個別地，「貴公司」、「東方(香港)」、「你」、「你的」、「你們」、「你們的」)
(Collectively and individually, "Company", "Orient (HK)", "you", "your")

敬啟者 Dear Sir/Madam

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

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

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

- 在符合《證券及期貨(客戶證券)規則》的前提下，依據貴公司與第三方訂立的證券借貸協議及/或證券回購協議（為免生疑問，包括但不限於，相當於國際證券借貸協會全球證券借貸主協議（「全球證券借貸主協議」）及/或等同或類似於國際資本市場協會全球回購主協議（「全球回購主協議」））運用任何本人/我們的證券或證券抵押品（為免生疑問，包括但不限於股票、債券和票據以及其他類型的固定收益證券）；
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;
- 將任何本人/我們的證券抵押品存放於認可財務機構，作為提供予貴公司的財務通融的抵押品；及/或
deposit any of my/our securities collateral with an authorized financial institution as collateral for financial accommodation provided to you; and/or
- 將任何本人/我們的證券抵押品存放於認可結算所或另一獲發牌或獲註冊進行證券交易的中介人，作為解除貴公司在交收上的義務和清償貴公司在交收上的法律責任的抵押品，而無須通知本人/我們；及/或
deposit any of my/our securities collateral with a recognized clearing house or another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of your settlement obligations and liabilities, without notice to me/us; and/or
- 將證券或證券抵押品存放於期權結算公司，作為因本人/我們向貴公司發出的指示而進行的交易所買賣期權活動的期權結算公司抵押品；及/或
To deposit the securities or securities collateral with the SECH as SECH Collateral in respect of Exchange Traded Options Business resulting from my/our instructions to you; and/or
- 按貴公司同意之條款但受制於適用的監管規則，將本人/我們之證券及/或證券抵押品存入在香港或其它地方的任何一個或多個保管人及/或結算所或於它們間互相轉移；及/或
deposit or transfer my/our Securities and/or Securities Collateral with or to or interchangeably between any custodian(s) and/or clearing house(s), whether in Hong Kong or elsewhere, upon such terms as may be agreed by you but subject to applicable Regulatory Rules; and/or
- 如果貴公司在證券交易過程中為本人/我們提供財務通融或在貴公司獲發牌或註冊以進行的任何其他受規管活動過程中亦為本人/我們提供財務通融，按照以上第 1 至 5 項運用、存入或以其它形式處理本人/我們之任何證券抵押品。
apply, deposit or otherwise deal with any of my/our Securities Collateral in accordance with the above items 1 to 5 if you 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/我們明白認可結算所或其它獲發牌或獲註冊進行證券交易的中介人，將因應貴公司在交收上的責任及債務而對本人/我們的證券抵押品設定為第一固定押記。
I/We understand that the recognized clearing house or the intermediary licensed or registered for dealing in securities will have a first fixed charge over my/our securities collateral to the extent of your settlement obligations and liabilities.

我/我們獲悉及確認貴公司有將客戶的證券及證券抵押品再質押的做法。
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/我們明白現時並無任何法例規定本人/我們必須簽署此授權書；然而，貴公司可能需要此授權書，以便例如向本人/我們提供保證金貸款或獲許將有關本人/我們的證券或證券抵押品借出予第三方或作為抵押品存放於第三方。本人/我們亦明白倘若本人/我們簽署此授權書，而本人/我們的證券或證券抵押品已借出予或存放於第三方，該等第三方將對本人/我們的證券或證券抵押品具有留置權或作出押記。雖然貴公司根據本人/我們的授權而借出或存放屬本人/我們的證券或證券抵押品須對本人/我們負責，但貴公司的失責行為可能會導致本人/我們損失本人/我們的證券或證券抵押品。本人/我們同意並確認貴公司及其有聯繫實體有權收取及保留任何由於處理本人/我們的證券或證券抵押品所產生的任何報酬、收入、回佣或其他利益而無須向本人/我們負責。
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/我們明白本人/我們的證券可能受制於第三者之權利，貴公司可於全數抵償該等權利後，方將本人/我們的證券退回本人/我們。
I/We understand that a third party may have rights to my/our securities, which you must satisfy before my/our securities can be returned to me/us.

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

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

**[本頁其餘部分刻意留為空白；下接簽名頁]
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客戶簽署 Client's Signature(s):

賬戶持有人/第一賬戶持有人簽署

Signed by the Account Holder/ Primary Account Holder:

X

客戶姓名 Client's Name:

日期 Date:

第二賬戶持有人簽署 (如適用)

Signed by the Secondary Account Holder (if applicable):

X

客戶姓名 Client's Name:

日期 Date: _____

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N. 常設授權 – 客戶款項
Standing Authority - Client Money

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

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

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

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

除非另有說明，本授權書之名稱與《證券及期貨條例》及《證券及期貨(客戶款項)規則》不時修訂之定義具有相同意思。
Unless otherwise defined, all the terms used in this authorization letter shall have the same meanings as in the Securities and Futures Ordinance and the Securities and Futures (Client Money) Rules as amended from time to time.

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

- 組合或合併東方期貨(香港)有限公司(下稱「東方期貨(香港)」)及/或東方證券(香港)有限公司(下稱「東方證券(香港)」)及/或其任何附屬公司及聯繫公司(統稱「東方(香港)」)及/或東方證券股份有限公司及/或交易對手所維持的任何或全部獨立帳戶，此等組合或合併活動可以個別地或與其他帳戶聯合進行，貴公司可將該等獨立帳戶內任何數額之款項作出轉移，以解除本人/我們對東方(香港)內任何成員及/或東方證券股份有限公司及/或交易對手的義務或法律責任，不論此等義務和法律責任是確實或或然的、原有或附帶的、有抵押或無抵押的、共同或分別的：
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;
- 從東方(香港)任何成員及/或東方證券股份有限公司及/或交易對手於任何時候維持的任何獨立帳戶之間來回調動任何數額之款項；
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);
- (僅適用於員工股權激勵賬戶及須與本賬戶條款及細則第十三部份 – 員工股權激勵計劃條款及細則一併閱讀) 若客戶屬僱主公司指定的須遵守國家外管局關於境內個人參與境外上市公司股權激勵外匯管理有關問題的通知(匯發[2012]7 號文)(「7 號文」)人士，在從客戶出售激勵股份所得款中扣除依據賬戶條款及細則第十三部份 – 員工股權激勵計劃條款及細則第 2.8.3(d)條所有適用的金額、費用、收費之後，客戶授權東方證券(香港)無需提前通知客戶，將淨出售所得款、相關股息收益等從客戶賬戶轉移至僱主公司指定賬戶，以滿足 7 號文的相關要求(「轉移授權」)；
(Only applies to ESOP Account and should be read in conjunction with Part XIII – TERMS AND CONDITIONS FOR EMPLOYEE STOCK OWNERSHIP PLAN of Terms and Conditions for Account) Where the Client is subject to the compliance with Circular of the SAFE on Issues Concerning the Administration of Foreign Exchanged Used for Domestic Individuals' Participation in Stock Incentive Plans Adopted by Overseas Listed Companies (huifa [2012] No. 7) ("Circular 7") as designated by the Employer Company, subject to the deduction of all applicable amounts, fees and charges from the sales proceeds derived from the Client's sale of incentive shares in accordance with Clause 2.8.3(d) of Part XIII – TERMS AND CONDITIONS FOR EMPLOYEE STOCK OWNERSHIP PLAN of Terms and Conditions for Account, the Client authorizes Orient Securities (Hong Kong) to transfer, without prior notice to the Client, the net sales proceeds, relevant dividend income, etc. from the Client's account to the designated accounts of the Employer Company for the purpose of complying with the relevant requirements under Circular 7 ("Transfer Authorization");
- (僅適用於員工股權激勵賬戶及須與本賬戶條款及細則第十三部份 – 員工股權激勵計劃條款及細則一併閱讀) 若客戶屬僱主公司指定的須支付預提稅的人士，客戶授權東方證券(香港)無需提前通知客戶，將指定的稅金、或者依據僱主公司指定的計算公式計算的款項(定義如下)在僱主公司指定限期前，轉移至僱主公司指定賬戶，用來結算關於客戶行使及/或處置獎勵及處置獎勵股份而在計劃下指定的應付稅款(「稅務授權」)；
(Only applies to ESOP Account and should be read in conjunction with Part XIII – TERMS AND CONDITIONS FOR EMPLOYEE STOCK OWNERSHIP PLAN of Terms and Conditions for Account) Where the Client is subject to 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");
- (僅適用於員工股權激勵賬戶及須與本賬戶條款及細則第十三部份 – 員工股權激勵計劃條款及細則一併閱讀) 第 3 及第 4 條所述的「僱主公司指定賬戶」，詳情如下：
(Only applies to ESOP Account and should be read in conjunction with Part XIII – TERMS AND CONDITIONS FOR EMPLOYEE STOCK OWNERSHIP PLAN of Terms and Conditions for Account) Details of "designated accounts of the Employer Company" stated in Clause 3 & 4 are as follow:

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

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

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

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

貴公司可不向本人/我們發出通知而採取上述行動。此賦予東方期貨(香港)之授權乃鑒於東方期貨(香港)同意繼續維持本人/我們之期貨交易帳戶，而賦予東方證券(香港)之授權乃鑒於東方證券(香港)同意繼續維持本人/我們之證券現金帳戶及/或證券保證金帳戶及/或股票期權帳戶及/或員工股權激勵帳戶。

You may do any of these things without giving me/us notice. This authority is given to Orient Futures (Hong Kong) in consideration of its agreeing to continue to maintain futures trading account(s) for me/us and to Orient Securities (Hong Kong) in consideration of its agreeing to continue to maintain securities cash and/or margin and/or stock option and/or ESOP account(s) for me/us.

此賦予貴公司之授權並不損害東方(香港)可享有有關處理該等獨立帳戶內款項的其他授權或權利。

This authority is given without prejudice to other authorities or rights which Orient (Hong Kong) may have in relation to dealing in Monies in the segregated accounts.

本授權書由本函簽發日期起 12 個月內有效。

This authority is valid for a period of 12 months from the date of this letter.

本人/我們可以向貴公司客戶服務部位於上述所列明之地址發出書面通知，撤回本授權書。該等通知之生效日期為貴公司真正收到該等通知後之 14 日起計。

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

本人/我們明白貴公司若在本授權書的有效屆滿前不少於 14 日，向本人/我們發出書面通知，提醒本人/我們本授權書即將屆滿，而本人/我們沒有在此授權屆滿前反對此授權續期，本授權書應當作在不需本人/我們的書面同意下按持續的基準已被續期。

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

本人/我們明白貴公司將於此授權屆滿日期後的 1 星期內，將該授權續期的確認書發予本人/我們。

I/We understand you shall issue a written confirmation of the renewal of the standing authority to me/us within one week after the date of expiry.

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

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

本人/我們閱讀、明白及同意本授權書的內容。

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

客戶簽署 Client's Signature(s):

賬戶持有人/第一賬戶持有人簽署

Signed by the Account Holder/ Primary Account Holder:

X

客戶姓名 Client's Name: _____

日期 Date: _____

第二賬戶持有人簽署 (如適用)

Signed by the Secondary Account Holder (if applicable):

X

客戶姓名 Client's Name: _____

日期 Date: _____

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

有關「客戶協議」(包括《賬戶條款及細則》、風險披露聲明、個人資料(私隱)條例)致客戶通知及以最佳條件執行交易披露、本帳戶申請書、交易及服務費用詳情等)及提供準確資料的確認:

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:

本人/我們聲明及確認

I/We declare and acknowledge that:

1. 本人/我們確認收到按本人所選擇的語言(英文或中文)的**客戶協議**副本或已對**客戶協議**作出備份, 完全明白內容並同意受其約束; 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/我們確認已被告知應隨時查閱東方證券(香港)有限公司/東方期貨(香港)有限公司的官方網站以瞭解最新的**客戶協議**及服務安排, 並同意受不時更新的**客戶協議**約束; 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/我們獲邀仔細閱讀**客戶協議**中的風險披露聲明, 瞭解並接受相關投資風險。本人/我們明白有關風險披露聲明不是而且不能被當為一份完全或徹底列舉所有潛在風險的清單。本人/我們並已獲邀提問及按自身意願尋求獨立意見; 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/我們確認載於本帳戶申請書中的資料是真實和準確的, 並承諾於資料有任何變動時通知東方證券(香港)有限公司/東方期貨(香港)有限公司。東方證券(香港)有限公司/東方期貨(香港)有限公司獲授權隨時聯絡任何人, 包括任何銀行、經紀或信用調查機構, 藉以核實本人/我們所提供的資料; 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) Limited 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/我們已獲明確告知, 除非產品發行文件有明確說明, 否則任何投資均**不會有保證回報**, 本人/我們可能無法取回其投資本金, 甚至承受大於投資本金的虧損。
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.

客戶簽署 Client's Signature(s):

賬戶持有人/第一賬戶持有人簽署

Signed by the Account Holder/ Primary Account Holder:

X

客戶姓名 Client's Name: _____

日期 Date: _____

第二賬戶持有人簽署 (如適用)

Signed by the Secondary Account Holder (if applicable):

X

客戶姓名 Client's Name: _____

日期 Date: _____

P. 公司承諾 Undertaking by Orient Securities (Hong Kong) Limited and Orient Futures (Hong Kong) Limited

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

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

注: “金融產品”指《證券及期貨條例》所界定的任何證券、期貨合約或杠杆式外匯交易合約。就“杠杆式外匯交易合約”而言, 其只適用於由獲得發牌經營第3類受規管活動的人所買賣的該等杠杆式外匯交易合約。

Note: "Financial product" means any securities, futures contracts or leveraged foreign exchange contracts as defined under the SFO. Regarding "leveraged foreign exchange contracts", it is only applicable to those traded by persons licensed for Type 3 regulated activity.

Q. 見證人 Witness

見證人姓名

Name of Witness

見證人簽署

Signature of Witness

見證人職業及資格

Occupation and Qualification of Witness

R. 持牌代表聲明 Declaration by Licensed Representative

本人, _____ (持牌代表姓名, 請用正楷填寫), 確認已經以客戶選擇的語言 (英文或中文) 提供了客戶協議 (包括《賬戶條款及細則》、風險披露聲明、及個人資料 (私隱) 條例) 致客戶通知及以最佳條件執行交易披露、本帳戶申請書、交易及服務費用詳情等), 並且本人已經邀請客戶閱讀該風險披露聲明, 提出有關問題及徵求獨立的意見 (如客戶有此意願)。

I, _____ (Print Name of Licensed Representative) confirm that I have provided the **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).

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

持牌代表姓名 Name of Licensed Representative

中央編號 CE No.

持牌代表簽署 Signature of Licensed Representative

備注 Remarks:

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

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

日期 Date: _____

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客戶風險級別對照表
Client Risk Category Checklist

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

聯名帳戶的風險級別將依照較高風險級別的一位帳戶持有人釐定。
The risk level of joint account will be determined according to the account holder with higher risk level.

客戶風險級別對照表 Client Risk Category Checklist			
風險水平 Risk Level	低 LOW	中 MEDIUM	高 HIGH
風險評估 Risk Assessment	☐ 金融機構 ("FI") ¹ Financial Institution ¹ ☐ 投資公司 ² Investment Vehicle ² ☐ 上市公司(在任何證券市場) Listed companies (listed on any stock exchange) ☐ 政府及公共機構 ³ Government and public body ³ ☐ 律師的當事人帳戶 Solicitor's Client accounts ☐ 其他 (請注明): Others (Please specify) _____	☐ 個人客戶 ⁴ Individual clients ⁴ ☐ 私人有限公司* Limited private companies* (沒有董事、股東或實益擁有人為政治人物) (with no director(s), shareholder(s) or beneficial owner(s)) as PEPs) ☐ 合夥* Partnership* (沒有合夥人為政治人物) (with no partner(s) as PEPs) ☐ 獨資企業、會社、會所、社團、合作社和公積金社團* Sole proprietorships, associations, clubs, societies, co-operative and provident societies* (沒有實益擁有人為政治人物) (with no PEP as the beneficial owner) ☐ 信託賬戶* Trust accounts* ☐ 其他 (請注明): Others (Please specify) _____	☐ 完全沒有為「身份識別的目的」而進行面對面會面的客戶(不包括通過獲證監會認可的第三方見證人例如其他持牌人或注册人、持牌人或注册人的聯繫人士、太平紳士或專業人士例如銀行分行經理、執業會計師、律師、公證人或特許秘書見證客戶協議的簽署和核實身份證明文件;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)完全沒有為「身份識別的目的」而進行面對面會面的客戶 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 及經評估後被認為高風險的本地政治人物及與其關係密切的人 Politically Exposed Persons ("PEPs") ⁵ and local Politically Exposed Persons who are regarded as high risk after our assessment and their close associates ☐ 機構內有董事、股東或實益擁有人為政治人物(「PEPs」) ⁵ (如為本地政治人物,則金融機構、由金融機構或對等司法管轄區的金機機構執行盡職調查的投資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.) ☐ (個人帳戶) 從事現金密集型業務包括賭場、桑拿、軍事部門、當舖、珠寶商、兌錢商和貨幣匯兌業的個人,並其職業/職位是具有控制權的員工(例如高級管理人員)或具有控制權的擁有者 (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 ☐ (公司帳戶) 從事現金密集型業務包括賭場、桑拿、軍事部門、當舖、珠寶商、兌錢商和貨幣匯兌業的機構 (For Corporate Account) Companies who are involved in cash intensive business such as casinos, sauna, military sector, pawnshop, jeweler, money changer and remittance agencies ☐ 經本公司的國家風險評估後,機構所成立的國家被界定為沒有足夠「FATF 特別組織」管制法規的國家 ⁶ Companies whose place of incorporation is in countries with insufficient FATF regulations after internal country risk assessment ⁶ ☐ 其他 (請注明): ⁷ Others (Please specify) ⁷ _____
分類結果 ⁸ : Classification Result ⁸ :	☐ 低 LOW	☐ 中 MEDIUM	☐ 高 HIGH
合適的客戶盡職審查 Possible Customer Due Diligence	簡化客戶盡職審查 ⁹ Simplified Due Diligence ⁹ ("SDD")	客戶盡職審查 Customer Due Diligence ("CDD")	嚴格客戶盡職審查 Enhanced Due Diligence ("EDD")
其他意見 Other Comments:			

*被財務行動特別組織 ("特別組織") (www.fatf-gafi.org) 或對等司法管轄區管制,並經本公司界定為非高風險。

*Regulated by Financial Action Task Force ("FATF") (www.fatf-gafi.org) or FATF equivalent jurisdictions which are internally assessed to be non-high risk.

請提供以下資料可選多項 Please provide the following information You can select more than one option:	
資產/ 資金來源 Source of Wealth	
☐ 投資 Investment ☐ 薪金 Income ☐ 存款 Savings ☐ 遺產 Inheritance ☐ 租金 Rental ☐ 其他 請注明 Others Please specify) _____	
資產 / 資金來源地 Origin of Source of Funds:	
☐ 內地 Mainland ☐ 香港 Hong Kong ☐ 澳門 Macau ☐ 臺灣 Taiwan ☐ 其他(請注明) Others (Please specify) _____	

備注意見 Remarks/Comments		
由持牌代表填寫 By licensed representative	(姓名及中央編號 Name and CE No.)	日期: Date:
由法律合規部主管/洗錢報告主任/銷售部門主管/獲授權人批核 By the Head of Legal and Compliance Department/MLRO/ Head of Sales Department/ Authorized Signor		日期: Date:

備注 Remarks:

1. «打擊洗錢及恐怖分子資金籌集條例»所界定的金融機構，或在對等司法管轄區成立或設立，而所經營之業務又與金融機構所經營的相類似的金融機構。
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. 而負責就該投資公司的所有投資者執行與客戶盡職審查措施相類似的措施的人屬 —
(i) 金融機構；
(ii) 符合以下說明的在香港或對等司法管轄區成立或設立為法團的機構 —
i. 設有措施，以確保與根據《打擊洗錢及恐怖分子資金籌集條例》附表2所施加的規定相類似的規定獲遵從；及
ii. 在有否遵從該等規定方面，受到監管；
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. 香港政府及其公共機構，或對等司法管轄區的政府或在對等司法管轄區執行與公共機構的職能相類似職能的機構。
The Government or any public body in Hong Kong, or the government of an equivalent jurisdiction or a body in an equivalent jurisdiction or a body in an equivalent jurisdiction that performs functions similar to those of a public body.
4. 包括有為「身份識別的目的」而在香港以外的地方進行面對面會面的客戶。
Including client who has been physically present outside Hong Kong for identification purposes.
5. 外地政治人物為在中華人民共和國以外地方擔任或曾擔任重要公職的個人；而本地政治人物即為在中華人民共和國以內地方擔任或曾擔任重要公職的個人。如客戶為本地(中華人民共和國以內地方)政治人物，應進行風險評估，以斷定該人是否涉及較高的洗錢/恐怖分子資金籌集風險。
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.
政治人物名稱 : _____
Name of the PEP
與客戶之關係 : _____
Client's relationship with the PEP
政治人物職銜 : _____
Title of the PEP
主要負責工作 : _____
Major responsibilities of the PEP
風險評估結果及原因 : _____
Result of the Assessment and Reason

6. 以下國家的客戶均需被列為高風險水平:

Clients form below Countries must be classified as High Risk:

Algeria 阿爾及利亞	Democratic Republic of the Congo	Mali 馬里	Virgin Islands (UK) 英屬維京羣島
Angola 安哥拉	剛果民主共和國	Monaco 摩納哥	Yemen 也門
Afghanistan 阿富汗	Guiné-Bissau 幾內亞比紹	Myanmar 緬甸	Crimea, Donetsk & Luhansk regions
Bolivia 玻利維亞	Iran 伊朗	Namibia 納米比亞	克裡米亞、頓涅茨克和盧甘斯克地區
Bulgaria 保加利亞	Iraq 伊拉克	Nepal 尼泊爾	
Cameroon 喀麥隆	ISIL and Al-Qaida 伊黎伊斯蘭國及基地組織	Somalia 索馬裡	
Central African Republic 中非共和國	Kenya 肯亞	South Sudan 南蘇丹	
Côte d'Ivoire 象牙海岸	Lao People's Democratic Republic	Sudan 蘇丹	
Democratic People's Republic of Korea	寮人民民主共和國	Syria 敘利亞	
朝鮮民主主義人民共和國	Lebanon 黎巴嫩	Venezuela 委內瑞拉	
Haiti 海地	Libya 利比亞	Vietnam 越南	

7. 如在Dow Jones Risk Database等公開數據庫內找到有關客戶洗錢/恐怖分子資金籌集等負面新聞。
For example, negative news has been found in public database such as Dow Jones Risk Database relating to money laundering/terrorist financing.
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」的情況下才能使用簡化客戶盡職審查,洗錢報告主任/法律合規部主管保留最終決定權。
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.

客戶對衍生產品及虛擬資產的認識 Client's Knowledge of Derivatives and Virtual Assets

☐ 衍生工具知識測試總分 Total Score: _____ 通過測試 Pass: ☐ Yes 是 ☐ No 否 ☐ 客戶提供其認識衍生工具的相關資料，無需進行測試 Clients provide relevant information on their knowledge of derivatives, completing the test not required.		
☐ 虛擬資產知識測試總分 Total Score: _____ 通過測試 Pass: ☐ Yes 是 ☐ No 否 ☐ 客戶提供其對虛擬資產知識及經驗的相關資料，無需進行測試 Clients provide relevant information on their knowledge and experience of virtual assets, completing the test not required.		
☐ 客戶對衍生工具有一定程度的認識 Client has sufficient knowledge of derivatives	☐ 客戶對虛擬資產有一定程度的認識 Client has sufficient knowledge of virtual assets	☐ 客戶對衍生工具和虛擬資產有一定程度的認識 Client has sufficient knowledge of derivatives and virtual assets
☐ 客戶對衍生工具有一定程度的認識，但對虛擬資產沒有認識 Client has sufficient knowledge of derivatives but does not have sufficient knowledge of virtual assets	☐ 客戶對衍生工具沒有認識，但對虛擬資產有一定程度的認識 Client does not have sufficient knowledge of derivatives but has sufficient knowledge of virtual assets	☐ 客戶對衍生工具和虛擬資產均沒有認識 Client does not have sufficient knowledge of both derivatives and virtual assets
☐ 客戶在 E 部「投資經驗」第 2 條選擇「保本」 Client selected "Capital Preservation" in Question 2 of Part E "Investment Experience"		☐ 客戶在 E 部「投資經驗」第 2 條並非選擇「保本」 Client did not select "Capital Preservation" in Question 2 of Part E "Investment Experience"

客戶資料檢驗 Client Information Verification

客戶資料準備 Client Information Prepared By

職員姓名Staff Name	職員簽署Staff Signature	日期Date
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客戶資料核對 Client Information Checked By			
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職員姓名Staff Name	職員簽署Staff Signature	日期Date
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客戶資料批核 Client Information Approved By

職員姓名Staff Name	職員簽署Staff Signature	日期Date
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帳戶額度授與 Limit Granted	
1	2
3	4
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97	98
99	100

☐ 保證金額度 (證券保證金帳戶) Margin Limit (Securities Margin Account)	☐ 交易額度 (證券帳戶) Trading Limit (Securities Account)
☐ 交易額度 (期貨帳戶) Trading Limit (Futures Account)	☐ 持倉限額 (期貨帳戶) Position Limit (Futures Account)
☐ 交易額度 (股票期權帳戶) Trading Limit (Securities Option Account)	☐ 持倉限額 (期權帳戶) Position Limit (Securities Option Account)

佣金收費Commission Charges

	網上 Online	非網上 Offline
香港股票市場 HK Stock Market		
其他股票市場 Other Stock Markets		
香港期貨市場 HK Futures Market		
其他期貨市場 Other Futures Markets		

香港股票期權市場 HK Stock Option Market		
其他股票期權市場 Other Stock Option Markets		
債券 Bonds		
基金 Fund		
備注 Remarks		

東方證券(香港)有限公司

ORIENT SECURITIES (HONG KONG) LIMITED

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客服電話Tel: (852) 3519 1288

傳真Fax: (852) 2259 9218

證監會持牌法團編號 CE No.: AVD362

聯交所交易所參與者參與者代號 : 01900

SEHK Participant Participant ID

聯交所中華通交易所參與者參與者代號 : 01900

SEHK China Connect Exchange Participant Participant ID

聯交所期權買賣交易所參與者 HKATS 代號

SEHK Options Trading Exchange Participant HKATS : ORN

Customer Code

香港結算直接結算參與者參與者代號

HKSCC Direct Clearing Participant Participant ID : B01900

香港結算中華通結算參與者參與者代號

HKSCC China Connect Clearing Participant Participant ID : B01900

聯交所期權結算所直接結算參與者 DCASS 代號

SEIOH Direct Clearing Participant DCASS Customer Code : CORN

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證監會持牌法團編號 CE No.: AWD036

期交所期貨交易商 HKATS 代號

HKFE Futures Commission Merchant HKATS Customer Code : ORN

期貨結算所結算參與者 DCASS 代號

HKCC Clearing Participant DCASS Customer Code : CORN