香港軒尼詩道1號浦發銀行大厦33樓
33/F, SPD Bank Tower, 1 Hennessy Road, Hong Kong
電話 Tel: (852) 2809 0300
網頁 Web： www.spdbi.com

客戶資料聲明 (個人/聯名)
CLIENT INFORMATION STATEMENT (INDIVIDUAL/JOINT)

此客戶資料聲明中提供的資料僅供以下公司使用（請選擇**至少**以下一間公司）：
The information provided in this Client Information Statement is for the use of (please select **AT LEAST** one of the companies below):

- ◯ 浦銀國際證券有限公司 (中央編號: BKW389)
  SPDB International Securities Limited (CE#: BKW389)
- ◯ 浦銀國際投資管理有限公司 (中央編號: BFY108)
  SPDB International Investment Management Limited (CE#: BFY108)

除非本客戶資料聲明中另有說明，否則以上選擇的公司在下文中稱為「浦銀國際」，而以上每個公司在下文中均稱為「浦銀集團公司」。
Unless otherwise specified in this Client Information Statement, the company selected above is referred to below as "SPDBI", and each of the above companies are referred to below as an "SPDB Group Company".

1. 基本賬戶資料 GENERAL ACCOUNT INFORMATION

◯	個人賬戶 Individual Account
◯	聯名賬戶 (共________位) Joint Account (of ________ individuals) 每位賬戶持有人均需填寫「客戶資料聲明 (個人/聯名)」。Each of the joint account holders shall complete the "Client Information Statement (Individual/Joint)". 此表格的所有部分(除指定由賬戶主持有人填寫的部分外)皆應按照所有賬戶持有人的共同意願填寫。All parts (other than those specified for principal account holder) of this form should be completed as agreed by all account holders of the account.

2. 賬戶唯一/主持有人資料 Personal Information of Sole / Principal Account Holder

請向浦銀國際提供身份證，護照有關部分或其他可獨特地識別該客戶身分的官方文件的副本以作核對及保留用途。
Please provide to SPDBI for verification and retention a copy of the identity card, relevant sections of the passport, or any other official document which uniquely identifies the Client.

英文姓名 English Name	稱呼 Title ◯ 先生Mr. ◯ 太太Mrs. ◯ 女士Ms.	婚姻狀況 ◯ 單身 Single ◯ 已婚 Married ◯ 其他 Others
中文姓名 Chinese Name		

國籍 Nationality	出生日期 Date of Birth (日 DD /月 MM / 年 YYYY)
其他國籍 (如有) Other Nationality (if any)	出生地區 Place of Birth

請按以下次序提供相關身份證明文件。Please provide relevant identity document in following order .
一般情況下，客戶需要提供下列首述的身份證明文件 (即香港身份證)，除非客戶並沒持有該文件，則可提供下一項文件，如此類推。In a general rule, client is required to provide identity document that is first mentioned in the below table (i.e. Hong Kong Identity Card), save that where client does not hold such document, the next mentioned document should be provided and so forth.

1	◯ 香港身份證 Hong Kong Identity Card	證件號碼 ID Card No. :		
2	◯ 國民身份證 National Identity Card	證件號碼 ID Card No. :		
		有效期至 Valid Until	◯ ◯	永久 Permanent ______年 YYYY______ 月 MM ______ 日 DD
		簽發地區 Place of Issue	◯ ◯	中國 PRC 其他 Others（請註明 please specify______)
3	◯ 護照 Passport	護照號碼 Passport No. :		
		有效期至 Valid Until	◯ ◯	永久 Permanent ______年 YYYY______ 月 MM ______ 日 DD
		簽發地區 Place of Issue	◯ ◯	中國 PRC 其他 Others（請註明 please specify______)

手提電話號碼 Mobile Phone No. ( )	住宅電話號碼 Home Telephone No. ( )
主電郵地址 Primary Email Address	

住宅地址 (請提供地址證明，恕不接受郵政信箱) Residential Address (Please provide address proof, P.O Box is not accepted)	國家 Country
	郵政編號 Post Code
通訊地址 (如與住宅地址不同) Correspondence Address (if different from Residential Address)	國家 Country
	郵政編號 Post Code

教育程度 Education Level	○ 小學 Primary School	○ 中學 Secondary School	○ 學院/大學或以上 College/University or above
就業狀況 Work Status	○ 受僱 Employed	○ 自僱 Self-employed	○ 家庭主婦 Housewife
	○ 退休 Retired	○ 未有就業 Unemployed	○ 其他 Others ____________

現在/最近僱主(公司)名稱 Name of the Current / Most Recent Employer	
辦公室地址 Office Address	
職位 Position	工作年期 Years of Service
辦公室電話 Office Tel. No.	電郵地址 Email Address

業務或工作性質 Business or Employment Nature (請選擇以下其中一項 Please choose any one of the following)

○ 金融及保險 Finance & Insurance	○ 建築及工程 Construction and Engineering	○ 資訊及通訊 Information & Communications
○ 公用事業 Utilities	○ 房地產 Real Estate	○ 住宿及餐飲 Accomodation & Hospitality
○ 運輸、物流 Transportation & Logistics	○ 政府部門 Government Sector	○ 農業, 林業及 漁業 Agriculture, Forestry & Fishery
○ 醫療 Medical Care	○ 商業服務 Business Service	○ 金屬、石油、天然氣之礦採或貿易商 Mining/Trading in Metals, Oil, Natural Gas
○ 零售，請註明: Retails, please specify: ____________	○ 製造，請註明: Manufacture, please specify: ____________	○ 批發/進出口貿易，請註明: Wholesale/ Import Export, please specify: ____________
○ 美容及其他個人服務 Beauty Industry and Other Personal Services	○ 慈善團體 Charity Organization	○ 教育服務 Education Services
○ 福利機構 Welfare Institutions	○ 其他社區及社會服務業 Other Community and Social Services	○ 藝術品、古董、珠寶、寶石、貴金屬經銷商 Dealers in Art, Antique, Jewel, Gem or Previous Metal
○ 賭場及賭博相關的業務 Casino and Gambling Related Business	○ 虛擬貨幣、商品 Virtual Currency/Commodity	○ 娛樂場所 Entertainment
○ 典當業 Pawn	○ 其他，請註明: Others please specify: ____________	

3. 賬戶唯一/主持有人財務資料 Financial Information of Sole / Principal Account Holder

所住業權 Ownership of Residence	○ 已抵押自置物業 Self-owned (Mortgaged)	○ 無抵押自置物業 Self-owned (Not Mortgaged)	○ 租用物業 Rental
	○ 宿舍 Quarters	○ 與家人同住 Live with family member	○ 其他 Others ____________

估計淨資產值 (港幣) Estimated Net Worth (HKD)	○ < $1,000,000	○ $1,000,000 - $3,000,000
	○ $3,000,001 - $5,000,000	○ $5,000,001 - $10,000,000
	○ $10,000,001 - $50,000,000	○ > $50,000,000 請註明 please specify:____________
流動資產淨值 (港幣)# Liquid Net Wealth (HKD)#	○ < $500,000	○ $500,000 - $1,000,000
	○ $1,000,001 - $3,000,000	○ $3,000,001 - $8,000,000
	○ $8,000,001 - $20,000,000	○ > $20,000,000 請註明 please specify:____________

流動資產包括存款、債券、存款證、股票、基金等 Liquid assets include deposit, bonds, certificates of deposit, securities and funds etc.

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年度薪金、佣金/獎金收入 (港幣) Annual Salary, Commission/ Bonus Income (HKD)	◯ < $250,000 ◯ $500,001 - $1,000,000 ◯ $5,000,001 - $10,000,000	◯ $250,000 - $500,000 ◯ $1,000,001 - $5,000,000 ◯ > $10,000,000 請註明 please specify:________________
年度其他非薪金、佣金/獎金收入 (港幣) Annual Income other than Salary, Commission/ Bonus Income (HKD)	◯ < $250,000 ◯ $500,001 - $1,000,000 ◯ $5,000,001 - $10,000,000	◯ $250,000 - $500,000 ◯ $1,000,001 - $5,000,000 ◯ > $10,000,000 請註明 please specify:________________
上述持續非薪金、佣金/獎金收入來源* Ongoing Source(s) of Funds of the above other than Salary, Commission/ Bonus Income*	◯ 營商收入 Business Income ◯ 投資回報 Investment Returns ◯ 退休金 Retirement Fund ◯ 其他 Others ________________ ________________	◯ 家人/遺產, 請提供資料: Family or Inheritance, please provide details: 饋贈者姓名: Giftor's Name: ________________ 與客戶的關係: Relationship with Client: ________________ 職業/行業: Occupation/Business Nature: ________________ 年度收入: Annual Income: ________________
賬戶資金來源* Source of Account Funds*	◯ 薪金、佣金/獎金 Salary, Commission/ Bonus	◯ 非薪金、佣金/獎金 Other than Salary, Commission/ Bonus

財富來源* Source of Wealth*	◯ 薪金收入 Salary Income ◯ 投資回報 Investment Returns	◯ 營商收入 Business Income ◯ 饋贈/遺產 Gift or Inheritance	◯ 退休金 Retirement Fund ◯ 其他 Others ________
賬戶資金存入方式* Funds Deposit Methods*	◯ 支票 Cheque	◯ 銀行轉賬 Bank Transfer	◯ 電匯 Remittance
賬戶資金來源地* Place of Source of Funds*	◯ 香港 Hong Kong	◯ 中國 PRC	◯ 其他 Others ________

*可選擇多於一項 can choose more than one categories

4. 銀行戶口資料 Bank Account Information

以下的銀行賬戶為客戶的登記賬戶（「登記賬戶」）。客戶特此授權浦銀國際在收到客戶的提款指示後將款項支付予客戶之登記賬戶。浦銀國際將在符合客戶協議中的條款之規定及於合理可行的情況下，根據該等提款指示盡快為客戶存入款項至指定的登記賬戶。浦銀國際無須對基於任何原因而延遲存入款項導致客戶蒙受的任何虧失、開支或賠償承擔任何法律責任。

The following bank account is the registered account of the Client (the "Registered Account"). The Client hereby authorises SPDBI to deposit payments into the Registered Account upon receipt of and in accordance with the Client's instructions on fund withdrawal. SPDBI will, subject to the terms and conditions of the Client Agreement and reasonable practicality, deposit the payments into the Registered Account for the Client as soon as possible. SPDBI shall not be held liable for any loss, expenses or damages suffered by the Client as a result of any delay in depositing such payments caused by any reason whatsoever.

客戶須提供以下登記賬戶的證明文件，例如銀行戶口存款簿或結單副本。
Client shall provide proof of the Registered Account(s) below, e.g. a copy of the passbook or bank account statement for the Registered Account.

貨幣 Currency	**銀行名稱 Bank Name**	**銀行戶口號碼# Bank Account No. #**	**地區 District**	**地址及Swift Code (僅適用於海外銀行) Address and Swift Code (for overseas bank only)**
◯ 港元HKD ◯ 美元 USD ◯ 人民幣CNY ◯ 多貨幣 Multi-currency ◯ 其他 Others:________			◯ 香港 HK ◯ 其他 Others: ________	
◯ 港元HKD ◯ 美元 USD ◯ 人民幣CNY ◯ 多貨幣 Multi-currency ◯ 其他 Others:________			◯ 香港 HK ◯ 其他 Others: ________	

客戶進一步授權浦銀國際由即日起接納客戶之電話/口頭通知，作為客戶名下證券現金賬戶及證券保證金賬戶間之轉賬指示。
The Client further authorises SPDBI to accept the Client's telephone/verbal instruction for settlement instruction between Securities Cash Account and Securities Margin Account with immediate effect.
登記賬戶名稱須與客戶名稱一致。如為聯名賬戶，登記賬戶應爲相同客戶的聯名賬戶。
Name of the Registered Bank Account must be the name of the Client. For Joint Account, the Registered Account must be a joint account of the same Clients.
#銀行戶口僅供存款及提款用途使用 Bank Account shall be used for fund deposit & withdraw only

5. 居留司法管轄區及稅務編號或具有等同功能的識辨編號（以下簡稱「稅務編號」）
Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”)

賬戶唯一 / 主持有人之自我證明 Self-Certification of Sole / Principal Account Holder

請填寫以下表格，列明（a）賬戶持有人為稅務目的而為居民的居留司法管轄區（包括香港）及（b）賬戶持有人於該居留司法管轄區的稅務編號。請列出**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或中國稅務居民，稅務編號是其香港或中國身份證號碼。

If the account holder is a tax resident of Hong Kong or PRC, the TIN is the Hong Kong or PRC 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 – 賬戶持有人為稅務目的而為居民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。如選取此理由，請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。請只在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的情況下選取此項。
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.

如閣下對其稅務居住地有任何疑問，請聯繫閣下的稅務顧問。請恕我們不能提供稅務意見。

If the Client has any questions about the Client's tax residency, please contact your tax adviser as SPDBI are unable to give tax advice.

居留司法管轄區 Jurisdiction of Residence	稅務編號 TIN	如沒有提供稅務編號，請選取理由 A、B 或 C Please tick 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 Explain why the account holder is unable to obtain a TIN if Reason B is selected
		○ A ○ B ○ C	
		○ A ○ B ○ C	
		○ A ○ B ○ C	

本人特此同意向浦銀國際提供所有稅務資料，包括自我證明及稅務表格，且浦銀國際可為符合任何法律及規例（包括《共同匯報標準》（見一般條款之定義）及《稅務條例》（第112章））的目的而收集稅務資料

I hereby agree to provide to SPDBI all tax information, including self-certification and tax forms, and SPDBI may collect tax information for the purpose of complying with any laws and regulations, including the Common Reporting Standard (as defined under the General Terms) and the Inland Revenue Ordinance (Cap. 112)

6. 美國《海外賬戶稅收合規法案》(「《海外賬戶稅收合規法案》」)
Foreign Account Tax Compliance Act (“FATCA”)

賬戶唯一/主持有人就海外賬戶稅收合規法案之聲明 Declaration of Sole / Principal Account Holder on FATCA

1. 閣下是否(就稅務目的而言) 美國居民*及/或美國公民#?
   Are you a U.S. Resident* for tax purposes and/or a U.S. citizen# ?
   ○ 否 No ○ 是 Yes (請填寫Form W-9。 Please further complete Form W-9.)
2. 閣下是否擁有美國地址 (如居住地址、郵寄地址、郵政信箱)?
   Do you have any U.S. address? (e.g. residential address, mailing address, P.O. box)
   ○ 否 No ○ 是，請註明 Yes, please specify: ____________________
3. 閣下是否擁有美國電話號碼 (如住宅、工作、手提號碼、傳真號碼)?
   Do you have any U.S. telephone number? (e.g. home, work, mobile, fax number)
   ○ 否 No ○ 是，請註明 Yes, please specify: ____________________
4. 閣下有否或會否向浦銀國際發出向某美國銀行賬戶轉賬款項的常設授權指示?
   Have you given or will you give standing instruction to the SPDBI to pay amounts to an account maintained in the U.S.?
   ○ 否 No ○ 是，請註明 Yes, please specify: ____________________
5. 閣下授權第三方操作賬戶(如有)，該獲授權人士是否擁有美國地址(如居住地址、郵寄地址、郵政信箱)?
   You have authorized third party to operate the account(if any), does the authorized person have any U.S. address? (e.g. residential address, mailing address, P.O. box)
   ○ 否 No ○ 是，請註明 Yes, please specify: ____________________

如第2至5題之任何答案為”是”，請額外填寫 W-8BEN 表格。

If any of the answers to questions 2 to 5 are “Yes”, please further complete W-8BEN Form.

本人確認以上所提供的資料是真實、準確以及完整。本人保證本人提供的任何資料如有變更, 本人會於三十日內通知浦銀國際。

I hereby confirm the information provided above is true, accurate and complete. I undertake to notify SPDBI within 30 calendar days if there is a change in any information which I have provided.

**美國居民，就稅務目的而言，包括美國綠咭持有人(即美國合法永久居民)及符合實質居住測試的個人(即他/她在本納稅年度已處於美國境內最少31實際天數，並在一個為期三年的年期內根據以下的計算方式處於美國境內183等同的天數: 等同的天數 = 實際於本納稅年度處於美國境內的天數 + 他/她於前一納稅年度處於美國境內的天數之三份之一 + 他/她於之前第二個納稅年度處於美國境內的天數之六份之一)。閣下應就閣下的美國稅務居住地問題諮詢閣下的稅務顧問。*

A U.S. resident for tax purposes includes a U.S. green card holder (i.e. a U.S. lawful permanent resident) as well as an individual who meets the substantial presence test (i.e. he/she has been present in the U.S. for at least 31 actual days in the current tax year and 183 equivalent days during a three-year period using the following formula: equivalent days = actual days in the U.S. in the current tax year + 1/3 of his/her days in the U.S. in the immediate preceding tax year + 1/6 of his/her days in the U.S. in the second preceding tax year). The Client should consult his/her/their own tax advisor regarding such U.S. tax residency.

#一個出生在美國領土的人(例如，美屬薩摩亞、北馬裡亞納羣島共榮邦(於1986年11月3日之後出生)、關島、波多黎各自由邦、美屬處女群島) 也被視為美國公民。

A person who was born in a U.S. territory (e.g. American Samoa, the Commonwealth of Northern Mariana Island (born after November 3, 1986), Guam, the Commonwealth of Puerto Rico, the U.S. Virgin Islands) would also be considered as a U.S. citizen.

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7. 風險承受能力評估 Risk Tolerance Assessment

僅供內部使用 For internal use only

1. 風險評估問卷 Risk Profile Assessment Questionnaire

1.1	閣下可用作投資的可動用收入的平均百分比是多少? What is the average percentage of the your disposable income that can be set aside for investment? ◯ [1] 少於5% Less than 5% ◯ [2] 少於15%大於等於5% Greater or equal to 5%, but Less than 15% ◯ [3] 少於25%大於等於15% Greater or equal to 15%, but Less than 25% ◯ [4] 25%或以上 25% or more	[1-4]
1.2	閣下將用作投資的資金佔淨流動資產值(不包括自住物業等固定資產的價值) 的平均百分比是多少? What is the average percentage of your current net worth (excluding the value of your fix asset such as self-occupied property) that will be allocated for investment purpose? ◯ [1] 少於10% Less than 10% ◯ [2] 少於20%大於等於10% Greater or equal to 10%, but Less than 20% ◯ [3] 少於30%大於等於20% Greater or equal to 20%, but Less than 30% ◯ [4] 30%或以上，請註明百分比______ 30% or more, please specify the percentage__________	[1-4]
1.3	閣下的預計投資期限是多久? How long is your expected investment horizon? ◯ [1] 少於1年 Less than 1 year ◯ [2] 少於3年大於等於1年 Greater or equal to 1 year, but Less than 3 years ◯ [3] 少於5年大於等於3年 Greater or equal to 3 years, but Less than 5 years ◯ [4] 5年或以上 5 years or above	[1-4]
1.4	在一般情況下，如果閣下的投資組合在一天內大幅下跌（例如：超過20%），閣下會有什麼反應? In general, how would you react if your portfolio drop significantly (e.g. more than 20%) within one day? ◯ [1] 感到無助，不知道該怎麼辦 Feel helpless, not sure what to do ◯ [2] 通過出售所有剩餘投資止蝕 Cut loss by selling all the remaining investment ◯ [3] 不會太擔心，因為波動是難免的 Not much concern, as fluctuations are unavoidable ◯ [4] 加大投資，趁低價吸納，希望日後會增長 Invest more, take advantage of lower prices, expecting future growth	[1-4]
1.5	閣下投資的主要目標是什麼? What is your main objective of investment? ◯ [1] 對抗通脹 Fight Against Inflation ◯ [2] 提高收益率 Yield Enhancement ◯ [3] 長線增值 Long Term Gain ◯ [4] 投機增值 Speculative Gain	[1-4]
1.6	下列那一項最能夠形容閣下的投資態度? Which of the following do you think best describes your investment attitude? ◯ [1] 一般而言，本人能承受投資上約10%的價格上落波動，以獲得稍微高於銀行存款利率的潛在回報。 In general, I can bear price fluctuation of around 10% of my investment in exchange for potential gain, which is slightly higher than the rate of bank deposits. ◯ [2] 一般而言，本人能承受投資上大約20%的價格上落波動，以獲得明顯高於銀行存款利率的潛在回報。 In general, I can bear price fluctuation of around 20% of my investment in exchange for potential gain, which is much better than the rate of bank deposits. ◯ [3] 一般而言，本人能承受投資上大約30%的價格上落波動，以獲得與股票市場指數相若的潛在回報。 In general, I can bear price fluctuation of around 30% of my investment in exchange for potential gain, which is comparable to the stock market indexes. ◯ [4] 本人能承受投資上任何的價格上落波動，以獲得明顯高於股票市場指數的潛在回報。 I can bear any price fluctuation of my investment in exchange for potential gain, which is remarkably higher than the stock market indexes.	[1-4]

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2. 投資經驗 Investment Experience

閣下在下列投資產品有多少年的投資經驗？在最近3年，閣下在下列投資產品曾進行多少宗交易？(請作答(a)至(k)項)

How long is your investment experience in the following products? How many transactions have you conducted in the following investment products in the recent 3 years? (Please answer all items from (a) to (k))

註：如果客戶對某項產品無過往投資經驗，該項投資產品的最高得分為零。
Note : The maximum point shall be zero for that particular investment product if client has no relevant experience.

投資產品 Investment Products	投資經驗 Investment Experience			最近3年交易數量 Transaction Frequency transactions in the recent 3 years		僅供內部使用 For internal use only 選擇最高分 Pick the Maximum point
	沒有 No	3年或以下 3 Years or below	3年以上 Above 3 years	少於5宗 Less than 5 transactions	5宗或以上 5 transactions or above	
(i) 保本產品 (例如：存款證、保本的結構性存款/票據、外幣) Principal Protected Products (e.g. Certificates of Deposit, Principal Protected Structured Deposits / Notes, Foreign Currency)	◯ [0]	◯ [1]	◯ [1]	◯ [1]	◯ [1]	[0-1]
(ii) 上市股票 (沒有杠桿/複雜特性) Listed Stock (without Leverage / complex features)	◯ [0]	◯ [1]	◯ [1]	◯ [1]	◯ [2]	[0-3]
(iii) 紙黃金 Paper Gold	◯ [0]	◯ [1]	◯ [1]	◯ [1]	◯ [2]	[0-3]
(iv) 基金 Funds	◯ [0]	◯ [1]	◯ [2]	◯ [1]	◯ [2]	[0-4]
(v) 投資相連保險計劃 Investment Linked Assurance Scheme	◯ [0]	◯ [1]	◯ [2]	◯ [1]	◯ [2]	[0-4]
(vi) 定息投資產品(例如債券) Fixed Income Products (e.g. Bonds)	◯ [0]	◯ [1]	◯ [2]	◯ [1]	◯ [2]	[0-4]
(vii) 上市股票 (具杠桿/複雜特性，如：認股權證) Listed Stock (with Leverage / complex features, e.g. warrants)	◯ [0]	◯ [2]	◯ [3]	◯ [2]	◯ [4]	[0-7]
(viii) 股票掛鉤票據 /貨幣掛鉤票據 Equity Linked Note / Currency Linked Note	◯ [0]	◯ [2]	◯ [3]	◯ [2]	◯ [4]	[0-7]
(ix) 商品 / 期貨 / 期權 Commodities / Futures / Options	◯ [0]	◯ [2]	◯ [3]	◯ [2]	◯ [4]	[0-7]
(x) 累計期權 /累沽期權 Accumulator / Deccumulator	◯ [0]	◯ [2]	◯ [3]	◯ [3]	◯ [7]	[0-10]
(xi) 私募股權 Private equity	◯ [0]	◯ [2]	◯ [3]	◯ [3]	◯ [7]	[0-10]

3. 對衍生產品的認識 Knowledge of Derivative Products

3.1	閣下是否曾接受有關衍生產品的培訓或修讀相關課程? Have you ever undergone training or attended courses on derivative products? ◯ [0] 否 No ◯ [2] 是 Yes, 請註明 please specify:________________	[0-2] *任何一條選擇"是"，即2分 Scored 2 if any answer is "Yes"*
3.2	閣下是否具有與衍生產品相關的目前或以往的工作經驗? Do you have current or previous work experience related to derivative products? ◯ [0] 否 No ◯ [2] 是 Yes, 請註明 please specify:________________	
3.3	最近3年，閣下是否有超過5宗以上的衍生品交易? Have you conducted 5 or more transactions on Derivative Products within the past 3 years? ◯ [0] 否 No ◯ [2] 是 Yes	

7.1 風險承受能力分析結果 Risk Tolerance Assessment Result

總得分 Total Score:

如果1.4或1.6任一得分等於1分，風險承受能力結果最高不可超過"均衡"。
The Risk Tolerance Level MUST NOT exceed "Balanced" if the score of question 1.4 or 1.6 is equal to 1.
如果客戶年齡大於或等於65歲，風險承受能力結果最高不可超過"均衡"。
The Risk Tolerance Level MUST NOT exceed "Balanced" if the client is aged 65 or above.
如果客戶教育程度為小學或以下，風險承受能力結果最高不可超過"均衡"。
The Risk Tolerance Level MUST NOT exceed "Balanced" if the client's education level is primary school or below.

	總得分 Total Score	風險承受程度 Risk Tolerance Level	投資風險剖析 Investment Risk Profiles
○	7-10	保守 Conservative	指屬於能承受低程度投資風險的投資者；及/或於金融投資方面具有限的知識及/或經驗。Refers to investors who can tolerate low level of investment risk; and / or have limited knowledge and / or experience in financial investment.
○	11-16	均衡 Balanced	指屬於能承受低至中度投資風險的投資者；及/或於金融投資方面具有一些知識及/或經驗。Refers to investors who can tolerate a low to medium level of investment risk; and / or have some knowledge and / or experience in financial investment.
○	17-23	均衡增長 Balanced Growth	指屬於能承受中度投資風險的投資者；於金融投資方面具有一定的知識及/或經驗；及/或擁有穩定的財政能力來承受投資帶來的損失。Refers to investors who can tolerate a medium level of investment risk; have reasonable knowledge and / or experience in financial investment; and / or have moderate financial capability to tolerate losses from investment.
○	24-29	進取 Aggressive	指屬於能承受中至高度投資風險的投資者；於金融投資方面具有相當的知識及或經驗；及/或擁有良好的財政能力來承受投資帶來的損失。Refers to investors who can tolerate a medium to high level of investment risk; have considerable knowledge and / or experience in financial investment; and / or have strong financial capability to tolerate losses from investment.
○	30-36	進取增長 Aggressive Growth	指屬於能承受高度投資風險的投資者；於金融投資方面具有廣泛知識及/或經驗；及/或擁有強健的財政能力來承受投資帶來的損失。Refers to investors who can tolerate a high level of investment risk; have extensive knowledge and / or experience in financial investment; and / or have solid financial capability to tolerate losses from investment.

7.2 複雜產品之警告聲明 Complex Products Warning Statements

投資者應在作出有關投資複雜產品的決定前審慎行事。投資者應清楚知悉，如一項複雜產品獲香港的監管機構(不論是《證券及期貨事務監察委員會》（下稱「證監會」）或其他機構）認可，並不表示其獲監管機構推介或認許，亦並非就其商業利弊或表現作出保證。產品的過去表現（如有）並非未來表現的指標。除非投資者完全明白並願意和準備承擔複雜產品所涉及之所有附帶風險，包括但不限於，損失可能超逾已投資金額的風險，否則切勿投資。

Investors should exercise caution prior to making investment decision with respect to complex products. Investors should be well aware that where a complex product is authorized by the regulatory authority in Hong Kong (whether Securities and Futures Commission (the **"SFC"**) or otherwise), it does not imply an official recommendation or endorsement by the regulatory authority nor does it guarantee the commercial merits of the product or its performance. Past performance, if any, of complex product is not indicative of future performance. Investors should not invest in a complex product unless the investors fully understand and are willing and ready to assume all the risks associated with it, including, without limitation, the risk that investors may lose more than the invested amount.

當由發行人提供之複雜產品之銷售文件或資料未有或將不會獲任何香港的監管機構(不論是證監會或其他機構）登記或認可；或該等文件或資料未有被任何香港的監管機構審閱，本公司建議投資者就有關要約審慎行事。再者，除非香港的證券法另行容許，未獲香港監管機構認可的複雜產品只可銷售予《證券及期貨條例》(香港法律第571章)(下稱「**該條例**」)及其任何項下規則所定義之「專業投資者」。

Where the offering documents or information of complex products provided by the issuer has not and will not be registered with or authorized by any regulatory authority in Hong Kong (whether the SFC or otherwise) nor has its contents been reviewed by any regulatory authority in Hong Kong, investors are advised to exercise caution in relation to offer thereof. In addition, unless otherwise permitted by the securities laws of Hong Kong, complex products, which are unauthorized by the regulatory authority in Hong Kong, are only available to "professional investors" as defined in the Securities and Futures Ordinance (Chapter 571), Laws of Hong Kong (the "**Ordinance**") and any rules

倘複雜產品只可提供予該條例及其任何項下規則所定義之「專業投資者」，非屬專業投資者的投資者不應投資該複雜產品。

In case the complex product is only available to professional investor as defined in the Ordinance and any rules made thereunder, an investor who is not a professional investor should not make investment in such complex product.

就本警告聲明而言，複雜產品包括：
For the purpose of this warning statement, complex products include:

(a) 於期交所買賣的期貨合約；
Futures contracts traded on the HKFE;

(b) 於聯交所買賣的股票衍生工具（例如衍生權證、牛熊證及上市認股權）；
Equity derivatives traded on the SEHK (e.g. DWs, CBBCs and listed share options);

(c) 證監會認可及於聯交所買賣的合成ETF及期貨ETF；
Synthetic ETFs and futures-based ETFs authorized by the SFC and traded on the SEHK;

(d) 證監會認可及於聯交所買賣的槓桿及反向產品；
L&I products authorized by the SFC and traded on the SEHK;

(e) 複雜債券。複雜債券是指具有某些特點的債券（包括（但不限於）屬永續性質或後償性質的債券，或那些具有浮息或延遲派付利息條款、可延遲到期日，或那些屬可換股或可交換性質或具有或然撇減或彌補虧損特點的債券，或那些具備非單一信貸支持提供者及結構的債券）及 / 或由一項或以上特點組成的債券；

Complex bonds. Complex bonds are bonds with special features (including, but not limited to, perpetual or subordinated bonds, or those with variable or deferred interest payment terms, extendable maturity dates, or those which are convertible or exchangeable or have contingent write down or loss absorption features, or those with multiple credit support providers and structures) and/or bonds comprising one or more special features;

(f) 證監會根據《單位信託及互惠基金守則》認可並屬於衍生產品基金的基金；
Funds authorized by the SFC under the Code on Unit Trusts and Mutual Funds which are derivative funds;

(g) 證監會根據《單位信託及互惠基金守則》第8.7條認可的基金（即證監會認可對沖基金）；
Funds authorized by the SFC under 8.7 of the Code on Unit Trusts and Mutual Funds (i.e. SFC-authorized hedge funds);

(h) 證監會認可的非上市結構性投資產品（包括證監會認可股票掛鉤存款、股票掛鉤投資工具 / 投資等）；
SFC-authorized unlisted structured investment products (including SFC-authorized equity-linked deposits, equity-linked instruments/investments, etc.);

(i) 其他並非在交易所買賣的結構性投資產品；
Other non-exchange-traded structured investment products;

(j) 證券型代幣；及
Security tokens, and

(k) 證監會可能不時指明的任何其他投資產品。
Any other investment product the SFC may specify from time to time.

上述並非警告聲明的鉅細無遺之清單。投資者應參考特定複雜產品之產品資料概要。如有必要，投資者應尋求獨立的專業意見。

The above is not an exhaustive list of warning statements. Reference should be made to key fact statements of specific complex products. If necessary, investors should seek independent professional advice.

7.3 客戶確認 Client Confirmation

本人/吾等特此確認浦銀國際已仔細向本人/吾等就複雜產品作出警告。
I/we hereby confirm that SPDBI has carefully warned me/us regarding complex products.

本人 / 吾等特此確認 (請於以下二者選其一)：
I/We hereby confirm that (Please choose either one from below):

○ 本人 / 吾等同意以上「風險承受能力分析結果」。
I/We agree with the above Risk Tolerance Assessment Result.

○ 本人 / 吾等不同意以上「風險承受能力分析結果」，並認為以下所選擇的風險承受程度更為適合。（禁止風險承受能力分數調高）
I/We disagree with the above this Risk Tolerance Assessment Result, and believe that the risk tolerance level selected below is more suitable to us. (The upwards adjustment of Risk Tolerance scoring is forbidden.)

原因 Reason:______________________________

○ 保守 Conservative
○ 均衡 Balanced
○ 均衡增長 Balanced Growth
○ 進取 Aggressive
○ 進取增長 Aggressive Growth

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8. 身份披露及關聯投資賬戶 Identity Dislcosure and Related Investment Accounts

A. 身份披露 Identity Disclosure

閣下是否為賬戶有關之交易的最終實益擁有人(見《打擊洗錢及恐怖分子資金籌集條例》（第615章）附表2第1部分第1條)，即最終受益於與賬戶有關的交易（見一般條款之定義）或承擔其風險?

Are you the ultimate beneficial owner (as defined under Section 1 of Part 1 of Schedule 2 of the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (Cap. 615)) of the Account who shall benefit from, or bear the risk of, the Transactions? (as defined under the General Terms)

○ 是 Yes ○ 否 No, 請註明 please specify: ______________________

閣下是否全權負責就賬戶之操作發出所有指示？ Are you fully responsible for originating all Instructions for the operation of the Account?

○ 是 Yes ○ 否 No, 請註明 please specify: ______________________

閣下是否香港聯合交易所或香港期貨交易所之參與者，或證監會（見一般條款之定義）之持牌人或註冊人之董事、僱員或認可人士?

Are you a director or employee or representative of an exchange participant of the Hong Kong Stock Exchange or Hong Kong Futures Exchange, or a licensed or registered person of the SFC (as defined under the General Terms)?

○ 否 No ○ 是 Yes，請註明 please specify:

姓名 Name	公司名稱 Company Name	職位 Position

閣下或家人*或關係密切的人是否屬「政治人物#」一類人士?

Are you or any of your family members or a close associate ia a Politically Exposed Persons (“PEP”)#?

○ 否 No ○ 是 Yes，請註明 please specify:

政治人物姓名 Name of the PEP	政要職銜及擔任年期 PEP Position and Tenure	國家/組織 Country/Organization	與政治人物的關係 Relationship to the PEP

** 家人包括配偶、伴侶、子女或父母，或該名個人的子女的配偶或伴侶。詳細定義見《打擊洗錢及恐怖分子資金籌集條例》（第615 章）。*
Family members including spouse, companion, children or oarents, or spouse or companion of the children). It is more specifically defined under Anti-Money Laundering and Counter-Terrorist Financing Ordinance (Cap. 615).

 # 政治人物是指擔任或曾擔任重要公職或在國際組織擔任或曾擔任重要職位的個人，包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要的政黨幹事及高級管理層。詳細定義見《打擊洗錢及恐怖分子資金籌集條例》（第615 章）。
PEP means an individual who has been entrusted with a prominent public function or entrusted with prominet function by an international organisation and includes a head of state, head of government, senior politican, senior government,, judicial or military official, senior executive of a state-owned corporation, an important political party official and members of senior management. It is more specifically defined under Anti-Money Laundering and Counter-Terrorist Financing Ordinance (Cap. 615).

閣下是否與任何地方的交易所上市公司的高級人員/董事/大股東有任何關連?

Does the Client have relationship with senior officers/directors/substantial shareholder of any listed company?

○ 否 No ○ 是 Yes，請註明 please specify:

高級人員/董事/大股東姓名 Name of Senior Officers/Directors/Substantial Shareholder	與高級人員/董事/大股東的關係 Relationship to Senior Officers/Directors/Substantial Shareholder	職銜及擔任年期 Position and Tenure	公司名稱及股票代碼 Company Name and Stock Code

閣下是否與浦銀集團公司之職員或代表有親屬關係?

Are you a relative of an employee or representative of a SPDB Group Company?

○ 否 No ○ 是 Yes，請註明 please specify:

相關人士姓名 Relevant Person's Name	浦銀集團公司職員姓名 Name of SPDB Group Company's Employee	與相關人士之關係 Relationship to Relevant Person	公司/部門名稱 Company/Department Name

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B. 關連證券賬戶 Related Investment Account(s)

閣下的配偶或關連人士是否持有浦銀國際任何投資賬戶?

Does the Client's spouse or related person(s) maintain any Investment Account(s) with SPDBI?

◯ 否 No　　◯ 是 Yes，請註明 please specify:

賬戶持有人姓名 Name of Account Holder	與客戶之關係 Relationship with Client	賬戶號碼 Account No.

閣下及/或閣下配偶是否單獨或共同持有浦銀國際其他投資賬戶客戶35%或以上之表決權?

Do(es) the Client and/or the Client's spouse individually or jointly hold(s) 35% or more of the voting rights of another Investment Account(s) Client of SPDBI?

◯ 否 No　　◯ 是 Yes，請註明 please specify:

賬戶持有人姓名 Name of Account Holder	與客戶之關係 Relationship with Client	賬戶號碼 Account No.

9. 客戶個人資料之使用及個人資料被使用於直接促銷
Use of Client's Personal Data and Use of Personal Data for Direct Marketing

本人特此承認及確認本人已閱讀並瞭解客戶協議《附表二—收集個人資料聲明》（「收集個人資料聲明」）並同意受其約束。本人承認最新版本的收集個人資料聲明可於http://www.spdbi.com取覽或以書面方式向浦銀國際的資料保護主任索取。

I hereby acknowledge and confirm that I have read and understood Schedule 2 of the Client Agreement, headed Personal Information Collection Statement ("PICS"), and agree to be bound by the same. I acknowledge that the most up-to-date version of the PICS is available at http://www.spdbi.com or upon written request made to the Data Protection Officer of SPDBI.

備註：請在第10部簽署以表示閣下已閱讀並理解收集個人資料聲明的內容。在簽署前，請在以下空格加上「✓」號，以表示閣下同意浦銀集團公司根據收集個人資料聲明第3.3及第3.4條款就其載明的目的使用閣下的個人資料。

(Remarks: Please sign under Part 10 to acknowledge that you have read and understood the content of the PICS. Please tick the box below before signing, to consent to the proposed use of your personal data for the purposes set out in Clauses 3.3 and 3.4 of the PICS.)

◯ 本人同意浦銀集團公司將本人的個人資料用於收集個人資料聲明第3.3條款所述有關在聯交所上市或交易的證券的目的。
I agree to SPDB Group Company's use of my personal data for the purposes in respect to securities listed or traded on the Stock Exchange of Hong Kong as set out in Clause 3.3 of the PICS.

◯ 本人同意浦銀集團公司將本人的個人資料用於收集個人資料聲明第3.4條款所述有關中華通證券交易的目的。
I agree to SPDB Group Company's use of my personal data for the purposes in respect to China Connect Securities as set out in Clause 3.4 of the PICS.

備註：請在第10部簽署，以表示閣下同意根據收集個人資料聲明中所述，將閣下的個人資料使用於直接促銷目的建議，及/或將閣下的個人資料提供他人使用於直接促銷目的建議。如閣下不同意根據收集個人資料聲明中所述，將閣下的個人資料使用於直接促銷目的建議，及/或將閣下的個人資料提供予他人使用於直接促銷目的建議，在簽署前，請在以下空格加上「✓」號，以表示閣下之反對。

(Remarks: Please sign under Part 10 to indicate your agreement to the proposed use of your personal data, and/or the proposed provision of your personal data to others for use, in direct marketing as stated in the PICS. If you do not agree to the proposed use of your personal data, and/or the proposed provision of your personal data to others for use, in direct marketing as stated in the PICS, please indicate your objection by ticking the box below before applying your signature below.)

◯ 本人反對根據收集個人資料聲明中所述，將本人的個人資料使用於直接促銷目的建議。
I OBJECT to the proposed use of my personal data in direct marketing as stated in the PICS.

◯ 本人反對根據收集個人資料聲明中所述，將本人的個人資料提供予他人使用於直接促銷目的建議。
I OBJECT to the proposed provision of my personal data to others for use in direct marketing as stated in the PICS.

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10. 客戶聲明及簽署 CLIENT'S DECLARATION AND SIGNATURE

資料提供 Provision of Information

本人 / 吾等確認及保證本人 / 吾等已/將獲得所有「關連人士」(見下文之定義) 的明示及訂明同意，不時就交易賬戶條款和條件內所訂明的目的，向浦銀集團公司提供「關連人士」的資料，並向在客戶協議條款和條件內所訂明的人士透露有關資料。本人 / 吾等承諾本人 / 吾等在該等保證不真實和所有其他違反該等保證的情況下造成的開支、罰款、損害及費用，向浦銀國際作出彌償並使其獲得彌償。就該等保證而言，「關連人士」指本人 / 吾等以外的人士或單位，而其資料（包括個人資料或稅務資料）由本人 / 吾等（或本人 / 吾等之代表）向浦銀國際集團公司的任何成員提供或由浦銀國際集團公司的任何成員向客戶提供相關服務時而獲得。

I/We confirm and warrant that I/we have obtained (will obtain) the express and prescribed consent of every Connected Person (as defined below) to the provision of his/her information to the SPDB Group Companies for the purposes and disclosure to the persons as provided in the terms and conditions of the Client Agreement from time to time. I/We undertake to indemnify and keep indemnified SPDBI in respect of any costs, penalties, damages and losses whatsoever which may be suffered or incurred by SPDBI, directly or indirectly arising out of, or in connection with this warranty being untrue and any other breach of this warranty. For the purpose of this warranty, "Connected Person" means a person or entity (other than me/us) whose information, including personal data or tax information, is provided by me/us, or on my/our behalf, to any SPDB Group Company, or which is otherwise received by any SPDB Group Company in connection with the provision of the services to us.

客戶聲明與確認 Client's Declaration and Confirmation

本人/吾等知悉及同意，浦銀國際可根據《稅務條例》（第 112 章）有關交換財務帳戶資料的法律條文，（a）收集本客戶資料聲明所載資料並可備存作自動交換財務帳戶資料用途及（b）把該等資料和關於客戶及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到客戶的居留司法管轄區的稅務當局。

I/We acknowledge and agree that (a) the information contained in this Client Information Statement is collected and may be kept by SPDBI for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the Client and any reportable account(s) may be reported by SPDBI 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 Client 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).

若聯名戶需要重新再作風險承受能力評估，本人/吾等確認聯名賬戶中任何一位聯名賬戶持有人可爲所有聯名賬戶持有人及代表所有聯名賬戶持有人作出浦銀國際的風險承受能力評估，而所有聯名賬戶持有人將同意該重新評估的風險承受能力。

In the event of a re-assessment of the risk tolerance level of joint accounts, I/we confirm that any one of the joint account holders may conduct the risk tolerance assessment of SPDBI for and on behalf of all joint account holders, and all joint account holders shall agree to such re-assessment of risk tolerance.

本人 / 吾等聲明並確認，本人 / 吾等於本客戶資料聲明所提供的所有資料均屬真實，完整及正確無誤。本人/吾等承諾，如本人/吾等提供予浦銀國際用於開戶的資料有任何的變更，須就該等變更立即通知浦銀國際。

I/We declare and confirm that all the information provided in this Client Information Statement is true, complete and accurate. I/We undertake that I/we shall immediately inform SPDBI of any change to the information provided in this Client Information Statement.

個人/聯名賬戶適用 For Individual / Joint Account

賬戶唯一/主持有人簽署 Sole / Principal Account Holder's Signature *此客戶簽名式樣將被用作核證任何就賬戶運作之書面指示。* *This signature specimen will be used for verifying any written instructions for account operation.*	賬戶第二 / 其他持有人簽署 Second / Other Account Holder's Signature *此客戶簽名式樣將被用作核證任何就賬戶運作之書面指示。* *This signature specimen will be used for verifying any written instructions for account operation.*
姓名 Print Name	姓名 Print Name
日期 Date (日DD/月MM/年YYYY) :	日期 Date (日DD/月MM/年YYYY) :

浦銀國際
SPDB INTERNATIONAL

11. 核證 CERTIFICATION

***由浦銀國際代表或專業人士填寫 To be completed by a representative of SPDBI, or a Professional**

本人，作為簽署本部分的浦銀國際持牌代表/________________________________特此核證在本客戶資料聲明第10部所載的日期當日，此客戶資料聲明由此聲明所載的客戶/獲客戶授權的人士為客戶及代客戶（其身份已根據其出示之身份證及/或護照正本作核實）於本人面前簽訂。

I, the undersigned licensed representative of SPDBI/________________________________hereby certify that on the date as shown in the Part 10 of this Client Information Statement, this Client Information Statement was executed by the Client / person(s) authorised by the Client for and on behalf of the Client named herein (the identity of whom has been verified by production of the original of his / her Identity Card or Passport to me) in my presence.

見證人簽署 Signature of Witness	中央編號 (證券及期貨持牌代表適用): CE No. (for SFC Licensed Representative):
	見證人之工號 (浦發集團員工適用): Staff Code (for staff of SPDB Group Company):
見證人姓名 (正楷) Print Name of Witness	見證人所屬專業* / 職銜: Profession / Title of Witness:
日期 Date (日DD/月MM/年YYYY) :	見證人之僱主名稱: Employer of Witness:

*專業人士：公證人 / 持牌銀行分行經理 / 律師 / 會計師 / 太平紳士
Professional: Notary Public / Branch Manager of a Licensed Bank / Lawyer / Certified Public Accountant / Justice of the Peace

12. 僅供內部使用 For Internal Use Only

適用於浦銀國際證券有限公司開立賬戶 (Applicable for Account Opening with SPDB International Securities Ltd.)	
持牌代表簽署 Signature of Licensed Representative	姓名 (正楷) Print Name
	中央編號 CE No.:
	職位 Position:
	日期 Date (日DD/月MM/年YYYY) :
持牌負責人簽署 Signature of Responsible Officer	姓名 (正楷) Print Name:
	中央編號 CE No.:
	職位 Position:
	日期 Date (日DD/月MM/年YYYY) :

適用於浦銀國際投資管理有限公司開立賬戶 (Applicable for Account Opening with SPDB International Investment Management Ltd.)	
持牌代表簽署 Signature of Licensed Representative	姓名 (正楷) Print Name
	中央編號 CE No.:
	職位 Position:
	日期 Date (日DD/月MM/年YYYY) :
持牌負責人簽署 Signature of Responsible Officer	姓名 (正楷) Print Name:
	中央編號 CE No.:
	職位 Position:
	日期 Date (日DD/月MM/年YYYY) :