

客戶資料聲明 (公司) CLIENT INFORMATION STATEMENT (CORPORATE)

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. 公司資料 Corporate Information

公司名稱 Corporate Name (根據註冊記錄 As per records of incorporation)

英文名稱 English Name

中文名稱 (如適用) Chinese Name (if any)

法團/機構類別 Type of Entity

- 有限公司 Limited Company
- 合夥 Partnership
- 獨資經營 Sole Proprietorship
- 上市公司 Listed Company (股票代號 Stock Code _____)
- 國有企業 State Owned Company
- 其他 Others (請說明 please specify _____)

註冊成立地區 Place of Incorporation

註冊成立日期 Date of Incorporation

_____年 YYYY _____月 MM _____日 DD

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, 除非客戶並沒持有該文件, 則可提供下一項文件, 如此類推。但假若客戶持有任何本表格內提及的身份證明文件, 而該等文件同時屬於開戶申請的證明文件, 無論在下列表格中排名如何, 客戶需要提供所有證明文件。In a general rule, client is required to provide identity document that is first mentioned in the below table, save that where client does not hold such document, the next mentioned document should be provided and so forth. But in case client possesses any identity document(s) in the below table which are also the supporting documents for account opening, client is required to provide all such identity documents, regardless their standing.

1	<input type="radio"/> 法律實體識別編碼(LEI)登記文件 Legal Entity Identifier (LEI) Registration Document	登記號碼 Registration No.:
2	<input type="radio"/> 公司註冊證明書 Certificate of Incorporation	註冊號碼 Incorporation No.:
3	<input type="radio"/> 商業登記證 Certificate of Business Registration	商業登記證號碼 Business Registration No.:
4	<input type="radio"/> 其他同等身份證明文件 Other Equivalent Identity Document	身份證明文件名稱 Name of Identity Document:
		身份證明文件號碼 Identity Document No.:

公司電話號碼 Office Phone No.

()

主電郵地址 Primary Email Address (供聯絡及收取賬戶結單之用 For Contact And Receiving Of Account Statement)

業務地址 Business Address

國家 Country

註冊地址 (如與業務地址不同) Registered Address (if different from Business Address)

國家 Country

通訊地址 (如與業務地址不同) Correspondence Address (if different from Business Address)

國家 Country

業務性質 Business Nature (請選擇以下其中一項 Please choose any one of the following)

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

2. 財務資料 Financial Information

繳足股本 Paid up Share Capital	港幣 HKD _____
年度營業額 (港幣) Annual Turnover (HKD)	<input type="radio"/> < \$5,000,000 <input type="radio"/> \$5,000,000 - \$10,000,000 <input type="radio"/> \$10,000,001 - \$50,000,000 <input type="radio"/> > \$50,000,000 請註明 please specify: _____
最新年度溢利 (港幣) Latest Annual Profits (HKD)	<input type="radio"/> < \$1,000,000 <input type="radio"/> \$1,000,000 - \$5,000,000 <input type="radio"/> \$5,000,001 - \$20,000,000 <input type="radio"/> > \$20,000,000 請註明 please specify: _____
資產淨值 (港幣) Total Net Worth (HKD)	<input type="radio"/> < \$1,000,000 <input type="radio"/> \$1,000,000 - \$8,000,000 <input type="radio"/> \$8,000,001 - \$40,000,000 <input type="radio"/> > \$40,000,000 請註明 please specify: _____
流動資產 (港幣) Liquid Assets (HKD)	<input type="radio"/> < \$1,000,000 <input type="radio"/> \$1,000,000 - \$8,000,000 <input type="radio"/> \$8,000,001 - \$40,000,000 <input type="radio"/> > \$40,000,000 請註明 please specify: _____
總財富來源 Source of Wealth	<input type="radio"/> 營業收入 Business Income <input type="radio"/> 出售物業 Sale of Property /Asset 物業類別 Property Type: _____ 獲利金額 Profit Amount HKD: _____ <input type="radio"/> 租金收入 Rental Income 年度金額 Annual Amount HKD: _____ <input type="radio"/> 投資回報 (如: 資產升值、對沖) Investment Return (e.g. Property Appreciated, Hedging) 資產類別 Investment Type: _____ 獲利金額 Profit Amount HKD: _____ <input type="radio"/> 其他 (請註明) Others (please specify): _____ 詳細內容 Details: _____ 獲得金額 Earned Amount HKD: _____
始創資金金額 Amount of Initial Funding for Start Up	港幣 HKD _____
始創資金來源* Source of Initial Funding*	<input type="radio"/> 股東資金 Funding from Shareholder(s) <input type="radio"/> 關聯公司資金 Funding from Related Company <input type="radio"/> 其他 (請註明) Others (please specify): _____

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

賬戶資金來源* Source of Account Funds*	<input type="radio"/> 股東資金 Funding from Shareholder(s) <input type="radio"/> 關聯公司資金 Funding from Related Company <input type="radio"/> 業務利潤 Profits from Business <input type="radio"/> 其他 (請註明) Others (please specify): _____
賬戶資金存入方式* Funds Deposit Methods*	<input type="radio"/> 支票 Cheque <input type="radio"/> 銀行轉賬 Bank Transfer <input type="radio"/> 電匯 Remittance
賬戶資金來源地* Place of Source of Funds*	<input type="radio"/> 香港 Hong Kong <input type="radio"/> 中國 PRC <input type="radio"/> 其他 Others _____

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

3. 董事資料 Director Information

	姓名 Name	身份證/護照號碼 ID Card/Passport No.	國籍 Nationality	出生日期 (日/月/年) Date of Birth (DD/MM/YYYY)
1				
2				
3				
4				
5				

4. 控股公司資料 (如適用) Information of Holding Company (where applicable)

1	公司名稱 Corporate Name: _____ <input type="radio"/> 私人企業 Privately Owned Company <input type="radio"/> 國有企業 State Owned Company <input type="radio"/> 上市公司 Listed Company: 交易所 Exchange/ 市場 Market: _____ Stock Code: 股票代號: _____ <input type="radio"/> 持牌機構 Licensed Institution: 監管機構 Name of Regulator: _____ License No.: 牌照號碼: _____ 持有股權百分比 Percentage of Shareholding: _____% 註冊地區 Place of Incorporation: _____
2	公司名稱 Corporate Name: _____ <input type="radio"/> 私人企業 Privately Owned Company <input type="radio"/> 國有企業 State Owned Company <input type="radio"/> 上市公司 Listed Company: 交易所 Exchange/ 市場 Market: _____ Stock Code: 股票代號: _____ <input type="radio"/> 持牌機構 Licensed Institution: 監管機構 Name of Regulator: _____ License No.: 牌照號碼: _____ 持有股權百分比 Percentage of Shareholding: _____% 註冊地區 Place of Incorporation: _____
3	公司名稱 Corporate Name: _____ <input type="radio"/> 私人企業 Privately Owned Company <input type="radio"/> 國有企業 State Owned Company <input type="radio"/> 上市公司 Listed Company: 交易所 Exchange/ 市場 Market: _____ Stock Code: 股票代號: _____ <input type="radio"/> 持牌機構 Licensed Institution: 監管機構 Name of Regulator: _____ License No.: 牌照號碼: _____ 持有股權百分比 Percentage of Shareholding: _____% 註冊地區 Place of Incorporation: _____
4	公司名稱 Corporate Name: _____ <input type="radio"/> 私人企業 Privately Owned Company <input type="radio"/> 國有企業 State Owned Company <input type="radio"/> 上市公司 Listed Company: 交易所 Exchange/ 市場 Market: _____ Stock Code: 股票代號: _____ <input type="radio"/> 持牌機構 Licensed Institution: 監管機構 Name of Regulator: _____ License No.: 牌照號碼: _____ 持有股權百分比 Percentage of Shareholding: _____% 註冊地區 Place of Incorporation: _____

5. 最終實益擁有人資料 Information of Ultimate Beneficial Owner(s)

如多於一位直接或間接擁有25%以上權益（發行股本或投票權）的實益擁有人，請複印此頁填寫。
 Please copy this page to complete if there is more than one ultimate beneficial owner ("UBO") who is entitled to, directly or indirectly, more than 25% interest (shareholding or voting rights).

實益擁有人英文姓名 English Name of UBO	性別 Gender <input type="radio"/> 男 Male <input type="radio"/> 女 Female	身份證或護照號碼 ID / Passport No.	國籍 Nationality	手提電話號碼 Mobile No.
實益擁有人中文姓名 (如有) Chinese Name of UBO (if any)	持有股權百分比 Percentage of Shareholding %	出生日期 (日/月/年) Date of Birth (DD/MM/YYYY)	出生國家 Country of Birth	住宅電話號碼 Home Tel. No.
電郵 Email	住宅地址 Residential Address		通訊地址 Correspondence Address (如不同 if different)	
受僱/自僱機構名稱 Name of Employer / Self-employed entity	職位 Position	公司電話 Office No.	辦公室地址 Office Address	
年度收入 (港幣) Annual Income (HKD)	<input type="radio"/> < \$250,000 <input type="radio"/> \$500,001 - \$1,000,000 <input type="radio"/> \$5,000,001 - \$10,000,000 <input type="radio"/> \$250,000 - \$500,000 <input type="radio"/> \$1,000,001 - \$5,000,000 <input type="radio"/> > \$10,000,000 請註明 please specify _____			
資產淨值 (港幣) Total Net Wealth (HKD)	<input type="radio"/> < \$1,000,000 <input type="radio"/> \$3,000,001 - \$5,000,000 <input type="radio"/> \$10,000,001 - \$50,000,000 <input type="radio"/> \$1,000,000 - \$3,000,000 <input type="radio"/> \$5,000,001 - \$10,000,000 <input type="radio"/> > \$50,000,000 請註明 please specify _____			
總財富來源 Source of Wealth	<input type="radio"/> 薪金收入 Salary Income <input type="radio"/> 家人/遺產, 請提供資料: Family or Inheritance, please provide details: 饋贈者姓名: Gifor's Name: _____ <input type="radio"/> 營商收入 Business Income 與客戶的關係: Relationship with Client: _____ <input type="radio"/> 投資回報 / 物業增值 Investment Returns / Property Appreciation 職業/行業: Occupation/Business Nature: _____ <input type="radio"/> 退休金 Retirement Fund 年度收入: Annual Income: _____ <input type="radio"/> 其他 Others _____			
業務性質 Business Nature (請選擇以下其中一項 Please choose any one of the following)				
<input type="radio"/> 金融及保險 Finance & Insurance <input type="radio"/> 建築及工程 Construction and Engineering <input type="radio"/> 資訊及通訊 Information & Communications <input type="radio"/> 公用事業 Utilities <input type="radio"/> 房地產 Real Estate <input type="radio"/> 住宿及餐飲 Accomodation & Hospitality <input type="radio"/> 運輸、物流 Transportation & Logistics <input type="radio"/> 政府部門 Government Sector <input type="radio"/> 農業、林業及漁業 Agriculture, Forestry & Fishery <input type="radio"/> 醫療 Medical Care <input type="radio"/> 商業服務 Business Service <input type="radio"/> 金屬、石油、天然氣之礦採或貿易商 Mining/Trading in Metals, Oil, Natural Gas <input type="radio"/> 零售 Retails (請註明 please specify _____) <input type="radio"/> 製造 Manufacture (請註明 please specify _____) <input type="radio"/> 批發/進出口貿易 Wholesale/ Import Export (請註明 please specify _____) <input type="radio"/> 美容及其他個人服務 Beauty Industry and Other Personal Services <input type="radio"/> 慈善團體 Charity Organization <input type="radio"/> 教育服務 Education Services <input type="radio"/> 福利機構 Welfare Institutions <input type="radio"/> 其他社區及社會服務業 Other Community and Social Services <input type="radio"/> 藝術品、古董、珠寶、寶石、貴金屬經銷商 Dealers in Art, Antique, Jewel, Gem or Precious Metal <input type="radio"/> 賭場及賭博相關的業務 Casino and Gambling Related Business <input type="radio"/> 虛擬貨幣、商品 Virtual Currency/Commodity <input type="radio"/> 娛樂場所 Entertainment <input type="radio"/> 典當業 Pawn <input type="radio"/> 其他 Others (請註明 please specify _____)				

6. 董事會決議摘錄 Extract of Board Resolutions

本公司已向浦銀國際獨立提供一份已依照公司憲章流程通過的董事會決議案的正本或經驗證之真確複本。

- We have provided to SPDBI an original or certified true copy of a duly passed Board Resolution in accordance with the constitutional documents of the Company.

_____ (「本公司」) 董事會於_____之決議摘錄。

Extract from the resolutions of the board of directors of _____ (the "Company") dated _____.

茲決議:-

IT WAS RESOLVED THAT

- a) 特此授權客戶協議指定人士或此客戶資料聲明(法團/機構類別)第6.1部列明的本公司任何一名組別 A / B / C 或 聯合_____名組別 A / B / C 的人士(「獲授權簽署人」), 在有需要的情況下為本公司, 代本公司及以本公司名義簽署、簽立賬戶開戶文件及其他與賬戶開立有關的必要文件, 並在必要時加蓋公司章;
any one person of the Company of Group A / B / C or joint of any _____ persons of the Company of Group A / B / C listed in Part 7.1 of the Client Information Statement (Corporate/Institution) or specified in the Client Agreement be and are hereby authorised to sign and execute the account opening documentation and other necessary documents relating to the account opening for, on behalf of and in the name of the Company, if required, and where necessary to affix the common seal of the Company;
- b) 特此授權客戶協議指定人士或此客戶資料聲明(法團/機構類別)第6.1部列明的本公司任何一名組別 A / B / C 或 聯合_____名組別 A / B / C 的人士為本公司, 代本公司及以本公司名義:
any one person of the Company of Group A / B / C or joint of any _____ persons of the Company of Group A / B / C listed in Part 7.1 of the Client Information Statement (Corporate/Institution) or specified in the Client Agreement be and are hereby authorised to:
- i. 為本公司, 代表本公司及以本公司名義簽署、簽立及交付浦銀國際就結算其證券交易及賬戶運作而要求的任何及全部協議、同意書、指示函或其他文件:
sign, execute and deliver for, on behalf of and in the name of the Company, any and all agreements, consents, letters of instruction or other documents required by SPDBI for the settlement of securities transactions with SPDBI and the operation of the Account;
 - ii. 為本公司, 代表本公司及以本公司名義將賬戶內的任何資金或證券從賬戶內提取或轉出; 及
withdraw or transfer for, on behalf of and in the name of the Company, from the Account any monies or securities contained in the Account; and
 - iii. 為本公司, 代表本公司及以本公司名義作出、簽立及交付對修訂授權屬必要或適當的任何及全部書面背書及文件。
make, execute and deliver any and all written endorsements and documents necessary or proper to amend authorisations for, on behalf of, and in the name of, the Client.
- c) 特此授權客戶協議指定公司的人士或此客戶資料聲明(法團/機構類別)第6.1部列明的本公司任何一名組別 A/B/C 的人士(「獲授權交易代表」)代本公司買賣任何證券發出書面及口頭指示, 及/或透過電子服務系統發出指示(如適用); 及
any one of the persons of the Company specified in the Client Agreement or in Group A/B/C of listed in Part 7.1 of the Client Information Statement (Corporate/Institution) be and are hereby authorised to give written or verbal instructions, and/or instruction through the Electronic Services (where applicable) in relation to the purchase or sale of any securities on behalf of the Company; and
- d) 將此等決議案遞交予浦銀國際, 且持續具有十足效力, 直至董事會通過經修訂決議案, 並經本公司董事正式核證的相關決議案副本交付予浦銀國際為止。
these resolutions be communicated to SPDBI and remain in full force until an amending resolution has been passed by the Board of Directors and a copy thereof duly certified by a director of the Company be delivered to SPDBI.

- 本人特此核證:
I hereby certify that:
- i. 以上是依照本公司憲章性文件地通過的決議的真實摘錄;
the above is a true extract of the resolutions passed by the board of directors in accordance with the constitutional documents of the Company;
 - ii. 以上決議已妥善地記錄在公司的會議記錄冊之上; 及
the above resolutions have been duly recorded in the Minutes Book of the Company; and
 - iii. 以上決議並沒有被撤銷。
the above resolutions have not been rescinded.

客戶的董事/公司秘書簽署
Signature of Director / Company Secretary

簽署人姓名
Name of Signer

日期
Date

注意: 本董事會決議樣本僅供參考。浦銀國際及任何浦銀國際集團公司(見一般條款之定義)不接受因任何不作為, 不正確或錯誤引起的任何損失或賠償責任(不論基於侵權、合同或其他訴由)。

Note: This sample resolution is published by SPDBI for reference only. SPDBI and any SPDBI Group Company (as defined under the General Terms) accept no liability (whether in tort or contract or otherwise) for any loss or damage arising from any omission, inaccuracy or errors.

6.1 賬戶操作授權 Account Operating Authority

註：就下述獲客戶授權的人士而言，浦銀國際有權依賴本部分及/或客戶的董事會決議摘錄，遵從獲客戶授權的人士發出的任何口頭或書面指示，或透過電子服務（見一般條款之定義）發出的指示。浦銀國際並無任何責任進一步核實該等人士的指示或身份是否真確。客戶同意受下述獲客戶授權的人士代客戶作出的行為約束。

Note: With respect to the person(s) authorised by the Client below, SPDBI shall be entitled to rely on this Part and/or the extract of board resolution, to follow any oral or written Instructions, or Instructions given through Electronic Services (as defined under the General Terms) given by the person(s) authorised by the Client. SPDBI shall have no duty to further verify the authenticity of the instructions or identity of such person(s). The Client agrees to be bound by the acts of the person(s) authorised by the Client below.

公司章式樣 (如適用) Company Chop Specimen (where applicable)*

組別 Group	獲授權人士資料 Person(s) Authorised by the Client				簽字式樣 Specimen Signature
A	A1	姓名 Name	國籍 Nationality	電話號碼 Phone No.	
		身份證/護照號碼 ID/Passport No.	出生日期 Date of Birth	電郵 Email	
	A2	姓名 Name	國籍 Nationality	電話號碼 Phone No.	
		身份證/護照號碼 ID/Passport No.	出生日期 Date of Birth	電郵 Email	
	A3	姓名 Name	國籍 Nationality	電話號碼 Phone No.	
		身份證/護照號碼 ID/Passport No.	出生日期 Date of Birth	電郵 Email	
B	B1	姓名 Name	國籍 Nationality	電話號碼 Phone No.	
		身份證/護照號碼 ID/Passport No.	出生日期 Date of Birth	電郵 Email	
	B2	姓名 Name	國籍 Nationality	電話號碼 Phone No.	
		身份證/護照號碼 ID/Passport No.	出生日期 Date of Birth	電郵 Email	
	B3	姓名 Name	國籍 Nationality	電話號碼 Phone No.	
		身份證/護照號碼 ID/Passport No.	出生日期 Date of Birth	電郵 Email	
C	C1	姓名 Name	國籍 Nationality	電話號碼 Phone No.	
		身份證/護照號碼 ID/Passport No.	出生日期 Date of Birth	電郵 Email	
	C2	姓名 Name	國籍 Nationality	電話號碼 Phone No.	
		身份證/護照號碼 ID/Passport No.	出生日期 Date of Birth	電郵 Email	
	C3	姓名 Name	國籍 Nationality	電話號碼 Phone No.	
		身份證/護照號碼 ID/Passport No.	出生日期 Date of Birth	電郵 Email	

7. 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)
<input type="radio"/> 港元HKD <input type="radio"/> 美元 USD <input type="radio"/> 人民幣CNY <input type="radio"/> 多貨幣 Multi-currency <input type="radio"/> 其他 Others: _____			<input type="radio"/> 香港 HK <input type="radio"/> 其他 Others: _____	
<input type="radio"/> 港元HKD <input type="radio"/> 美元 USD <input type="radio"/> 人民幣CNY <input type="radio"/> 多貨幣 Multi-currency <input type="radio"/> 其他 Others: _____			<input type="radio"/> 香港 HK <input type="radio"/> 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，登記賬戶應為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

8. 身份披露及關聯證券賬戶 Identity Disclosure and Related Securities Accounts

A. 身份披露 Identity Disclosure

貴公司的任何股東、董事、合夥人，獲客戶授權的人士、最終負責就賬戶發出指示（見一般條款之定義）的人士或賬戶的最終實益擁有人*（在每一情況下，稱為「相關人士」）是否為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？

Is any of the shareholder(s), director(s), partner(s) of your company, the authorised person(s), the person(s) ultimately responsible for giving Instructions (as defined under the General Terms) for the Account or the ultimate beneficial owner* of the Account (in each case, a "Relevant Person") 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: _____

是否有任何相關人士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？

Are any of the Relevant Person(s) 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/Substanti al 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

是否有任何相關人士為浦銀集團公司之職員或代表，或與浦銀集團公司之職員或代表有親屬關係？
 Are any of the Relevant Person(s) an employee or representative of a SPDB Group Company, or a relative of any employee or representative of a SPDB Group Company?

否 No 是，請註明 Yes, 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

是否有任何相關人士，而該相關人士的配偶、伴侶、子女或父母，或該相關人士子女的配偶或伴侶，或與該相關人士關係密切的人屬「政治人物」# 一類人士？
 Is any of the Relevant Person(s), the spouse, partner, children or parents of the Relevant Person(s), or spouse or partner of a child of the Relevant Person(s), or a close associate is a Politically Exposed Persons ("PEP")#?

否 No 是，請註明 Yes, please specify:

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

* 最終實益擁有人指將會從與賬戶有關的交易取得商業或經濟利益及/或承擔其商業或經濟風險的人士或實體(不論該實體是否為法律實體)。Ultimate beneficial owner means the person or entity (legal or otherwise) that stands to gain the commercial or economic benefit of the transactions in relation to the Account and/or bear the commercial or economic risk of such transactions.

#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 prominent function by an international organisation and includes a head of state, head of government, senior politician, 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).

B. 不記名股票聲明 Bearer Share Declaration

貴公司是否有發行不記名股票？

Has your company issued any bearer shares?

否 No 是 Yes

貴公司是否能夠發行不記名股票？

Is your company capable of issuing bearer shares?

否 No 是 Yes

聲明 Declaration:

如本公司將來發行不記名股票，會盡快通知浦銀國際。

We will promptly provide written notification to SPDBI in case of issuance of bearer shares

C. 關連證券賬戶 Related Securities Account(s)

貴公司的集團內任何公司，是否持有浦銀國際任何證券賬戶？

Does any company of your company group maintain any Securities Account(s) with SPDBI?

否 No 是，請註明 Yes, 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.

貴公司的任何股東 / 董事、獲授權人、最終負責就帳戶發出指示的人士或帳戶的最終實益擁有人，及/或其配偶及/或各自的關連人士是否持有浦銀國際任何證券帳戶？

Does any shareholders/directors, authorized persons, the person ultimately responsible for giving instructions for the Account or the ultimate beneficial owner of the Account, either alone or jointly with his/her spouse and his/her related person(s) maintain any Securities Account(s) with SPDBI?

- 否 No 是，請註明 Yes, 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.

貴公司、貴附屬公司或聯屬公司或持有35%或以上表決權的受益人，是否持有浦銀國際其他證券帳戶客戶35%或以上之表決權？

Does your company or any of its subsidiary or associated company or its beneficial owner (controlling 35% or more of the voting rights of the Client) hold 35% or more of the voting rights of any other Securities Account Client of SPDBI?

- 否 No 是，請註明 Yes, 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. 風險承受能力評估 Risk Tolerance Assessment

僅供內部使用
For internal

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? <input type="radio"/> [1] 少於5% Less than 5% <input type="radio"/> [2] 少於15%大於等於5% Greater or equal to 5%, but Less than 15% <input type="radio"/> [3] 少於25%大於等於15% Greater or equal to 15%, but Less than 25% <input type="radio"/> [4] 25%或以上 25% or more	[1-4]
1.2	貴公司可用作投資的資金佔淨流動資產值(不包括自用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 company's current net worth (excluding the value of your fix asset such as self-occupied property) that can be allocated for investment purpose? <input type="radio"/> [1] 少於10% Less than 10% <input type="radio"/> [2] 少於20%大於等於10% Greater or equal to 10%, but Less than 20% <input type="radio"/> [3] 少於30%大於等於20% Greater or equal to 20%, but Less than 30% <input type="radio"/> [4] 30%或以上，請註明百分比_____ 30% or more, please specify the percentage_____	[1-4]
1.3	貴公司的預計投資期限是多久？ How long is your company's expected investment horizon? <input type="radio"/> [1] 少於1年 Less than 1 year <input type="radio"/> [2] 少於3年大於等於1年 Greater or equal to 1 year, but Less than 3 years <input type="radio"/> [3] 少於5年大於等於3年 Greater or equal to 3 years, but Less than 5 years <input type="radio"/> [4] 5年或以上 5 years or above	[1-4]
1.4	在一般情況下，如果貴公司的投資組合在一天內大幅下跌（例如：超過20%），貴公司會有什麼反應？ In general, how would you react if your company's portfolio drop significantly (e.g. more than 20%) within one day? <input type="radio"/> [1] 感到無助，不知道該怎麼辦 Feel helpless, not sure what to do <input type="radio"/> [2] 通過出售所有剩餘投資止蝕 Cut loss by selling all the remaining investment <input type="radio"/> [3] 不會太擔心，因為波動是難免的 Not much concern, as fluctuations are unavoidable <input type="radio"/> [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	貴公司投資的主要目標是什麼? What is your company's main objective of investment? <input type="radio"/> [1] 對抗通脹 Fight Against Inflation <input type="radio"/> [2] 提高收益率 Yield Enhancement <input type="radio"/> [3] 長線增值 Long Term Gain <input type="radio"/> [4] 投機增值 Speculative Gain	[1-4]
1.6	下列那一項最能夠形容貴公司的投資態度? Which of the following do you think best describes your company's investment attitude? <input type="radio"/> [1] 一般而言, 本公司能承受投資上約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, we 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. <input type="radio"/> [2] 一般而言, 本公司能承受投資上大約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, we 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. <input type="radio"/> [3] 一般而言, 本公司能承受投資上大約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, we can bear price fluctuation of around 30% of my investment in exchange for potential gain, which is comparable to the stock market indexes. <input type="radio"/> [4] 本公司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。 We can bear any price fluctuation of my investment in exchange for potential gain, which is remarkably higher than the stock market indexes.	[1-4]

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))

注: 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)	<input type="radio"/> [0]	<input type="radio"/> [1]	<input type="radio"/> [1]	<input type="radio"/> [1]	<input type="radio"/> [1]	[0-1]
(ii) 上市股票(沒有杠桿/複雜特性) Listed Stock (without Leverage / complex features)	<input type="radio"/> [0]	<input type="radio"/> [1]	<input type="radio"/> [1]	<input type="radio"/> [1]	<input type="radio"/> [2]	[0-3]
(iii) 紙黃金 Paper Gold	<input type="radio"/> [0]	<input type="radio"/> [1]	<input type="radio"/> [1]	<input type="radio"/> [1]	<input type="radio"/> [2]	[0-3]
(iv) 基金 Funds	<input type="radio"/> [0]	<input type="radio"/> [1]	<input type="radio"/> [2]	<input type="radio"/> [1]	<input type="radio"/> [2]	[0-4]
(v) 投資相連保險計劃 Investment Linked Assurance Scheme	<input type="radio"/> [0]	<input type="radio"/> [1]	<input type="radio"/> [2]	<input type="radio"/> [1]	<input type="radio"/> [2]	[0-4]
(vi) 定息投資產品(例如債券) Fixed Income Products (e.g. Bonds)	<input type="radio"/> [0]	<input type="radio"/> [1]	<input type="radio"/> [2]	<input type="radio"/> [1]	<input type="radio"/> [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)	<input type="radio"/> [0]	<input type="radio"/> [2]	<input type="radio"/> [3]	<input type="radio"/> [2]	<input type="radio"/> [4]	[0-7]
(viii) 股票掛鈎票據 / 貨幣掛鈎票據 Equity Linked Note / Currency Linked Note	<input type="radio"/> [0]	<input type="radio"/> [2]	<input type="radio"/> [3]	<input type="radio"/> [2]	<input type="radio"/> [4]	[0-7]

(ix) 商品 / 期貨 / 期權 Commodities / Futures / Options	<input type="radio"/> [0]	<input type="radio"/> [2]	<input type="radio"/> [3]	<input type="radio"/> [2]	<input type="radio"/> [4]	[0-7]
(x) 累計期權 / 累沽期權 Accumulator / Deccumulator	<input type="radio"/> [0]	<input type="radio"/> [2]	<input type="radio"/> [3]	<input type="radio"/> [3]	<input type="radio"/> [7]	[0-10]
(xi) 私募股權 Private equity	<input type="radio"/> [0]	<input type="radio"/> [2]	<input type="radio"/> [3]	<input type="radio"/> [3]	<input type="radio"/> [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? <input type="radio"/> [0] 否 No <input type="radio"/> [2] 是 Yes, 請注明 please specify: _____	[0-2] <small>任何一條選擇“是”，即2分 Scored 2 if any answer is “Yes”</small>
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? <input type="radio"/> [0] 否 No <input type="radio"/> [2] 是 Yes, 請注明 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? <input type="radio"/> [0] 否 No <input type="radio"/> [2] 是 Yes	

9.1 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”。 <i>The Risk Tolerance Level MUST NOT exceed “Balanced” if the score of question 1.4 or 1.6 is equal to 1.</i> 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”。 <i>The Risk Tolerance Level MUST NOT exceed “Balanced” if the client is aged 65 or above.</i> 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”。 <i>The Risk Tolerance Level MUST NOT exceed “Balanced” if the client’s education level is primary school or below.</i>	
	總得分 Total Score	風險承受程度 Risk Tolerance Level	投資風險剖析 Investment Risk Profiles
<input type="radio"/>	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.
<input type="radio"/>	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.
<input type="radio"/>	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.
<input type="radio"/>	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.
<input type="radio"/>	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.

9.2 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，損失可能超過已投資金額的風險，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 made thereunder.

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鈎存款、股票掛鈎投資工具/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.

9.3 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

10. 稅務居民自我證明表格 (實體) Tax Residency Self-Certification Form (Entity)

實體類別 Entity Type

在其中一個適當的方格內打勾, 並提供有關資料。Tick one of the appropriate boxes and provide the relevant information.

金融 / 財務機構 Financial Institution	<input type="radio"/> 託管機構、存款機構或指明保險公司 Custodial Institution, Depository Institution or Specified Insurance Company <input type="radio"/> 投資實體, 但不包括由另一金融 / 財務機構管理 (例如: 擁有酌情權管理投資實體的資產) 並位於非參與稅務管轄區的投資實體 Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity's assets) and located in a non-participating jurisdiction
主動非財務實體 Active NFE	<input type="radio"/> 該非財務實體的股票經常在 _____ (一個具規模證券市場) 進行買賣 NFE the stock of which is regularly traded on _____, which is an established securities market <input type="radio"/> _____ 的有關連實體, 該有關連實體的股票經常在 _____ (一個具規模證券市場) 進行買賣 Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market <input type="radio"/> 政府實體、國際組織 (例如聯合國或北大西洋公約組織 (「NATO」))、中央銀行或由前述的實體全權擁有的其他實體 NFE is a governmental entity, an international organisation (for example the United Nations or North Atlantic Treaty Organisation ("NATO")), a central bank, or an entity wholly owned by one or more of the foregoing entities <input type="radio"/> 除上述以外的主動非財務實體 (例如新成立的非財務實體或非牟利的非財務實體) Active NFE other than the above (for example a start-up NFE or a non-profit NFE)
被動非財務實體 Passive NFE	<input type="radio"/> 位於非參與稅務管轄區並由另一金融 / 財務機構管理的投資實體 Investment entity that is managed by another financial institution and located in a non-participating jurisdiction <input type="radio"/> 不屬主動非財務實體的非財務實體 NFE that is not an Active NFE

控權人 (如實體帳戶持有人是被動非財務實體, 填寫此部)

Controlling Persons (Complete this part if the entity account holder is a passive NFE)

就賬戶持有人, 填寫所有控權人的姓名在列表內。就法人實體, 如行使控制權的並非自然人, 控權人會是該法人實體的高級管理人員。每名控權人須分別填寫一份「自我證明表格-控權人」。

Indicate the name of all controlling person(s) of the account holder in the table below. If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official. Complete "Self-Certification Form - Controlling Person" for each controlling person separately.

(1)	(5)
(2)	(6)
(3)	(7)
(4)	(8)

國家 / 稅務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」）

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

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
		<input type="radio"/> A <input type="radio"/> B <input type="radio"/> C	
		<input type="radio"/> A <input type="radio"/> B <input type="radio"/> C	
		<input type="radio"/> A <input type="radio"/> B <input type="radio"/> C	

本公司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

We 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)

11. 美國《海外賬戶稅收合規法案》 Foreign Account Tax Compliance Act ("FATCA")

本公司謹此聲明本公司的美國《海外賬戶稅收合規法案》狀況與本公司(通過在以下列表剔選合適的選項)所明示的一致。在下方選擇本公司的《海外賬戶稅收合規法案》狀況時，本公司進一步謹此:

We hereby declare that our FATCA status is/are as indicated by our selection (by ticking the appropriate box) under the table below. In selecting our FATCA status below, we further hereby:

a) 承諾隨時及 不時遵守所有(不論現存或將來實施)適用的美國《海外賬戶稅收合規法案》要求;

undertake to comply at all times and from time to time, with any and all applicable FATCA requirements;

b) 確定本公司在必要時已經諮詢過獨立法律及/或稅務的意見，並確認浦銀國際不能及不會提供任何與美國《海外賬戶稅收合規法案》要求及本申報表有關的法律及/或稅務意見; 及

confirm that we have consulted independent legal and/or tax advice where necessary and acknowledge that SPDBI cannot and will not provide any legal and/or tax advice in connection with FATCA requirements; and

c) 本公司知悉及明白，浦銀國際保留時不時向本公司要求提供更多與本公司的《海外帳戶稅收合規法案》有關聯的文件的權利。
acknowledge and understand that SPDBI reserves the right to request us to provide additional documentation in connection with our FATCA status from time to time.

美國帳戶/疑似美國人士資料 U.S. Account / U.S. Indicia Information

1. 貴公司是否美國註冊公司?
Is your company a U.S. registered entity?
 否 No 是 Yes (請填寫Form W-9。 Please further complete Form W-9.)

2. 貴公司的任何股東、董事、合夥人、獲客戶授權的人士、最終負責就賬戶發出指示（見一般條款之定義）的人士或賬戶的最終實益擁有人（在每一情況下，稱為「相關人士」）是否(就稅務目的而言)美國居民*及/或美國公民#?
Is any of the shareholder(s), director(s), partner(s) of your company, the authorised person(s), the person(s) ultimately responsible for giving Instructions (as defined under the General Terms) for the Account or the ultimate beneficial owner of the Account (in each case, a "Relevant Person") 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.)

3. 貴公司或相關人士是否擁有美國地址 (如業務、註冊、居住、通訊地址)?
Does your company or any relevant person(s) have any U.S. address (e.g. business, registered, residential, corresponding address)?
 否 No 是, 請註明 Yes, please specify:

4. 貴公司或相關人士是否擁有美國電話號碼 (如公司、住宅、工作、手提、傳真號碼)?
Does your company or any relevant person(s) have any U.S. telephone number (e.g. office, home, work, mobile, fax number)?
 否 No 是, 請註明 Yes, please specify:

5. 貴公司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 your company given or will your company 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:

如第3至5題之任何答案為“是”，請額外填寫 W-8BEN-E 表格。

If any of the answers to questions 3 to 5 are “Yes”, please further complete W-8BEN-E Form.

本公司確認以上所提供的資料是真實、準確以及完整。本公司保證本公司提供的任何資料如有變更，本公司會於三十日內通知浦銀國際。
We hereby confirm the information provided above is true, accurate and complete. We undertake to notify SPDBI within 30 calendar days if

*美國居民，就稅務目的而言，包括美國綠卡持有人(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分之一 + 他/她於之前第二個納稅年度處於美國境內的天數之六分之一)。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.

非美國帳戶 Non-U.S. Account

I. 請選擇實體類別 Please select Entity Type

<input type="radio"/> 參與法案的外國金融機構 Participating FFI	<input type="radio"/> 不參與法案的外國金融機構 Nonparticipating FFI
<input type="radio"/> 申報模式 1 外國金融機構 Reporting Model 1 FFI	<input type="radio"/> 主動非金融外國實體 (請完成部分II) Active NFFE (please complete part II)
<input type="radio"/> 申報模式 2 外國金融機構 Reporting Model 2 FFI	<input type="radio"/> 被動非金融外國實體 (請完成部分 III) Passive NFFE (please complete part III)
<input type="radio"/> 已註冊被視為合規的外國金融機構 Registered Deemed Compliant FFI	全球中介人身份號碼 GIIN
<input type="radio"/> 直接申報的非金融外國實體 Direct Reporting NFFE	

如貴公司並不屬於以上任何一種實體類別，請獨立填寫一份 W-8BEN-E 表格。

If all of above entity types are not suitable for your company, please complete a W-8BEN-E Form separately.

II. 主動非金融外國實體適用 For Active NFFE

- 本人證明：
I certify that:
- 第 I 部分指明的實體屬金融機構以外的外國實體；
The entity identified in Part I is a foreign entity that is not a financial institution;
- 該實體上一日曆年的總收入中，被動收入少於 50%；
Less than 50% of such entity's gross income for the preceding calendar year is passive income; and
- 以及該實體持有的資產中，產生或用於產生被動收入的資產少於 50%（為每季計算的被動資產加權平均百分比）。
Less than 50% of the assets held by such entity are assets that produce or are held for the production of passive income (calculated as a weighted average of the percentage of passive assets measured quarterly).

III. 被動非金融外國實體適用 For Passive NFFE

- 本人證明，第 I 部分指明的實體屬金融機構以外的外國實體（在美國屬地組建的投資實體除外），且並未證明其身為上市非金融外國實體（或聯屬機構）、例外的美國屬地非金融外國實體、主動非金融外國實體、直接申報的非金融外國實體或獲贊助的直接申報非金融外國實體。
I certify that the entity identified in Part I is a foreign entity that is not a financial institution (other than an investment entity organized in a possession of the United States) and is not certifying its status as a publicly traded NFFE (or affiliate), excepted territory NFFE, active NFFE, direct reporting NFFE, or sponsored direct reporting NFFE.
- 本人進一步證明，第 I 部分指明的實體並無實質美國擁有人（或如適用，並無美國控權人士）。
I further certify that the entity identified in Part I has no substantial U.S. owners (or, if applicable, no controlling U.S. persons).

12. 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

本公司特此承認及確認本公司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。本公司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。

We hereby acknowledge and confirm that we have read and understood Schedule 2 of the Client Agreement, headed Personal Information Collection Statement ("PICS"), and agree to be bound by the same. We 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13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3.4條款就其載明的目的使用閣下的個人資料。

(Remarks: Please sign under Part 13 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 3.4 of the PICS.)

- 本公司同意浦銀集團公司將本公司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。
We agree to SPDB Group Company's use of our 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13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 Part 13 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.)

- 本公司反對根據收集個人資料聲明中所述，將本公司的個人資料使用於直接促銷目的建議。
We OBJECT to the proposed use of our personal data in direct marketing as stated in the PICS.
- 本公司反對根據收集個人資料聲明中所述，將本公司的個人資料提供予他人使用於直接促銷目的建議。
We OBJECT to the proposed provision of our personal data to others for use in direct marketing as stated in the PICS.

13. 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).

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.

公司賬戶適用 For Corporate Account

簽署 (附公司印章 (如適用))
Signature (with Company Chop (if any))

獲授權簽署人姓名
Print Name of Authorised Signatory

第二獲授權簽署人姓名 (如有)
Print Name of the Second Authorized Signatory (if any)

日期 Date (日DD/月MM/年YYYY):

14. 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13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 13 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

15. 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) :