

CASH / MARGIN ACCOUNT

現金或保證金戶口

Individual	個人
Joint	聯名
Sole Proprietorship	獨資經營
Partnership	合夥經營

Client Information Statement

客戶資料表格

6/F Harcourt House, 39 Gloucester Road, Hong Kong

香港告士打道39號夏愨大廈6樓

Tel 電話: (852) 2136 1818

Fax 傳真: (852) 2501 0726

Email address 電郵地址: clientservices@uobkayhian.com.hk

DOCUMENT REQUIRED FOR OPENING OF ACCOUNT BY INDIVIDUAL / JOINT / PARTNERSHIP / SOLE PROPRIETOR 個人 / 聯名 / 合夥經營 / 獨資經營戶口開戶所需文件

For client /Account Executive to check 供客戶/業務經理檢核

INDIVIDUAL OR JOINT ACCOUNT 個人或聯名戶口

- Photocopy of the Hong Kong permanent I.D. Card / I.D., National identification document and Passport or Valid Official Identity Document (with biodata page containing the bearer's *photograph* and biographical details) of each individual/joint account holder 個人或每位聯名戶口持有人香港永久身份證 / 身份證、國民身份證明文件及護照或有效身份證明文件 (載有持有人的相片及個人資料的個人資料頁) 副本¹
- Residential Address Proof (e.g. electricity bill, bank statement, etc., dated within 3 months) 住宅地址證明 (如電費單、銀行帳單等日期需為三個月內)
- Financial Status Proof issued within 3 months (if required by UOB Kay Hian (Hong Kong) Limited) 3 個月內發出的財務狀況證明 (如大華繼顯 (香港) 有限公司要求)
e.g. (1) Copy of Bank Statement or Bank Book 銀行帳單或存摺副本 (the front page and the latest updated page 首頁及最近紀錄)
(2) Other Accepted Valid Document e.g. monthly salary statement or letter from employer confirming current salary 其他有效文件 (如每月薪金結單或僱主確認目前薪金的函件)
- W-8BEN Form (if applicant intends to trade in the US Market) 如買賣美股需遞交 W-8BEN 表格

**Mandatory document for registered bank account number.
必須提供此文件作登記銀行戶口之用**

PARTNERSHIP / SOLE PROPRIETOR ACCOUNT INCORPORATED IN HONG KONG 於香港成立合夥經營/獨資經營者戶口

- Photocopy of Business Registration Certificate 商業登記牌照副本
- Photocopy of the Hong Kong permanent I.D. Card / I.D. and Passport or Valid Official Identity Document of Each Partner or Sole Proprietor 合夥人或獨資經營者香港永久身份證 / 身份證及護照或有效身份證明文件副本
- Copy of Latest Financial Statement/Accounts 最新的財務報表或帳目副本
- List of Partners or Shareholders 合夥人或股東名單
- Residential Address Proof of Each Partner or Sole Proprietor (e.g. electricity bill, bank statement, etc., dated within 3 months) 各合夥人或獨資經營者住宅地址證明 (如電費單、銀行帳單等日期需為三個月內)
- W8IMY / W8BEN-E Form for Partnership / Sole Proprietor (if applicant intends to trade in the US Market) 如為合夥經營 / 獨資經營者者戶口買賣美股需遞交 W8IMY / W8BEN-E 表格

Where any document provided by the sole/joint account holder is in a language other than Chinese or English, certified English translation of such document should also be provided. 如個人 / 聯名戶口持有人提供的任何文件是以中文或英文以外的語言書寫，則應提供該文件的核證英文譯本。

APPLICABLE TO NON FACE-TO-FACE ACCOUNT OPENING PROCEDURE: 適用於非面對面開戶程序：

Method 1 : Personal cheque received (ONLY applicable to INDIVIDUAL OR JOINT ACCOUNT)

方法 1 : 收取的個人支票 (僅適用於個人或聯名戶口)

- Issued from a licensed bank in Hong Kong 由香港持牌銀行開出
Payable to "UOB KAY HIAN (HONG KONG) LIMITED" 抬頭寫上「大華繼顯 (香港) 有限公司」
- Cheque amount not less than HK\$10,000 支票金額不少於港幣\$10,000
- Client name printed on the cheque by cheque issue bank 由發票銀行印上客戶姓名的支票

Method 2 : Witnessed by Professional (Please refer P.21 for the definition of eligible professional)

方法 2 : 由專業人士見證 (合資格的專業人士詳見P.21)

- Execution not in the presence of employee of UOB Kay Hian (Hong Kong) Limited 並非在大華繼顯(香港)有限公司的員工見證下簽署

The execution of this form should be witnessed and documents as required above should be certified by the professional specified in the form. 本表格的簽署應由本表格指明的專業人士見證，而上文所需的文件應由本表格指明的專業人士核證。

Notes 注意：

1. According to the requirements of the SFC for Hong Kong Investor Identification Regime ("HKIDR") implementation, we are required to collect Client Identification Data ("CID") from you, and the waterfall of identity documents acceptable as the CID in order of priority is as follows: (a) For an individual client: (1) HKID card; (2) National identification document; (3) Passport (b) For clients of a joint account: The CID for all clients named for a joint account should be in line with the requirements, 根據證監會實施香港證券市場投資者識別碼的規定，我司需要向客戶收集客戶識別信息，而按優先次序可接納為客戶識別信息的身份證明文件的排序表如下：(a) 就個人客戶而言：(1) 香港身份證；(2) 國民身份證明文件；(3) 護照 (b) 就聯名帳戶的客戶而言：聯名帳戶內所有客戶的客戶識別信息應與此規定一致。
2. Any deletion or amendment must be initialed by all account holders. 任何刪除或修改必須由客戶簽署作實。
3. UOB Kay Hian (Hong Kong) Limited reserves the right to decline any account opening request without providing any reason. 大華繼顯 (香港) 有限公司保留在不給予任何理由下，拒絕任何開戶申請的權利。

3. Sole Account Holder / Main Account Holder Personal Particulars

個人戶口持有人/主要戶口持有人個人資料

Mobile Phone No. 手提電話[○] Residential Phone No. 住宅電話[○] Business Phone No. / Fax No. 公司電話 / 傳真號碼
(+)- (+)- (+)-

ID No. or Passport No. 身份證號碼或護照號碼 Country of Issue 簽發地點 Gender 性別 Date of Birth (DD/MM/YYYY) 出生日期 (日/月/年)

Marital Status 婚姻狀況 Single 未婚 Married 已婚
 Others (Please specify) 其他 (請註明) _____

Country of Birth 出生國家 Hong Kong 香港 People's Republic of China 中國 U.S. 美國¹
 Others (Please specify) 其他 (請註明) _____

Nationality 國籍 Chinese 中國 U.S. Citizen 美國公民²
 Others (Please specify) 其他 (請註明) _____

[○](For country code of your phone no. is US, please see section 13.6 on page 12. 若你的電話國碼為美國，請同時參見第12頁的13.6節。) You may be required to complete a copy of the "Explanation of a U.S. Phone Number" 閣下或有可能需要填寫一份「美國電話號碼的說明」。

¹(For your country of birth is US, please see Section 13.6 on page 12. 若你出生國家為美國，請同時參見第12頁的13.6節。) Explanation to support your Non-U.S. Status for Client with U.S. Birthplace (who has already provided Non-U.S. Identification Document). 對於在美國出生(亦已提供非美國身份證明文件)的客戶而言，請提供證明閣下非美國身份的說明。

²If you are US citizen, please provide us with completed W-9 Form and US Taxpayer Identification No. in section 5 Tax Residency Self-Certification. W-9 Form is available at <http://www.ustrade.com.hk> or from our Client Services Dept. 若你為美國公民，請提供一份已完成的W-9表格及美國稅務號碼於第5部稅務居民自我證明。W-9表格可在本公司網站<http://www.ustrade.com.hk>下載或客戶服務部索取。

Education Level 教育程度 Primary or below 小學或以下 Secondary 中學
 Undergraduate or above 大學或以上

4. Sole Account Holder / Main Account Holder Employment Information

個人戶口持有人/主要戶口持有人工作資料

Name of Employer (or if self-employed, name of Business) 僱主名稱 (若自僱，請填業務名稱)

Work or Business address 工作或營業地址

Occupation (or type of Business) 職業或業務性質 Position 職位 Year(s) employed 任職年期

5. Sole Account Holder / Main Account Holder Tax Residency Self-Certification

個人戶口持有人/主要戶口持有人稅務居民自我證明

Important Notes:

- This is a self-certification provided by an account holder to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- An account holder should report all changes in his/her tax residency status to the reporting financial institution.
- All parts of below must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s).
- Information including Name of Account Holder, Residence Address, Date of Birth and Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent are required to be reported by UOB Kay Hian (Hong Kong) Limited to the Inland Revenue Department.

重要提示：

- 這是由帳戶持有人向申報財務機構提供的自我證明，以作自動交換財務帳戶資料用途。申報財務機構可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- 如帳戶持有人的稅務居民身分有所改變，應盡快將所有變更通知申報財務機構。
- 除不適用或特別註明外，必須填寫以下所有部分。如空位不夠應用，可另紙填寫。
- 帳戶持有人的姓名、住址、出生日期及居留司法管轄區及稅務編號或具有等同功能的識辨編號為大華繼顯(香港)有限公司須向稅務局申報的資料

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

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 five) jurisdictions of residence.

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. If a TIN is unavailable, provide the appropriate reason A, B or C:

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

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.

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

居留司法管轄區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」）

提供以下資料，列明（a）帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區（香港包括在內）及（b）該居留司法管轄區發給帳戶持有人的稅務編號。列出**所有**（不限於5個）居留司法管轄區。

如帳戶持有人是香港稅務居民，稅務編號是其香港身份證號。如

沒有提供稅務編號，必須填寫合適的理由：

理由 A – 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

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

理由 C – 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號，填寫 理由 A、B 或 C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選取理由 B， 解釋帳戶持有人不能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			
(5)			

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).

警告：根據《稅務條例》第 80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級（即\$10,000）罰款。

5. Joint Account Holder Tax Residency Self-Certification 聯名戶口持有人稅務居民自我證明

Important Notes:

- This is a self-certification provided by an account holder to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
- An account holder should report all changes in his/her tax residency status to the reporting financial institution.
- All parts of below must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s).
- Information including Name of Account Holder, Residence Address, Date of Birth and Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent are required to be reported by UOB Kay Hian (Hong Kong) Limited to the Inland Revenue Department.

重要提示：

- 這是由帳戶持有人向申報財務機構提供的自我證明，以作自動交換財務帳戶資料用途。申報財務機構可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- 如帳戶持有人的稅務居民身分有所改變，應盡快將所有變更通知申報財務機構。
- 除不適用或特別註明外，必須填寫以下所有部分。如空位不夠應用，可另紙填寫。
- 帳戶持有人的姓名、住址、出生日期及居留司法管轄區及稅務編號或具有等同功能的識辨編號為大華繼顯(香港)有限公司須向稅務局申報的資料。

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

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 five) jurisdictions of residence.

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. If a TIN is unavailable, provide the appropriate reason A, B or C:

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

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.

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

居留司法管轄區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」)

提供以下資料，列明 (a) 帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區 (香港包括在內) 及 (b) 該居留司法管轄區發給帳戶持有人的稅務編號。列出**所有** (不限於 5 個) 居留司法管轄區。

如帳戶持有人的香港稅務居民，稅務編號是其香港身份證號。如

沒有提供稅務編號，必須填寫合適的理由：

理由 A – 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

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

理由 C – 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號，填寫 理由 A、B 或 C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選取理由 B， 解釋帳戶持有人不能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			
(5)			

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).

警告：根據《稅務條例》第 80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級 (即\$10,000) 罰款。

6. Bank Information 銀行資料

Bank Name (Default) 銀行名稱(預設) HKD 港幣 USD 美元 Other (Please specify) 其它(請填寫):

Bank code 銀行代碼 Account No. 戶口號碼 Swift code 銀行國際代碼 (For foreign bank account only 只適用於海外銀行戶口)

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Bank Name (Additional) 銀行名稱(附加) HKD 港幣 USD 美元 Other (Please specify) 其它(請填寫):

Bank code 銀行代碼 Account No. 戶口號碼 Swift code 銀行國際代碼 (For foreign bank account only 只適用於海外銀行戶口)

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The bank account's beneficiary must have the same name as the account holder(s) of this account. 銀行受益人必須跟本戶口持有人的名稱相同。

Valid registered bank account proof (Bank statement which issue within 3 months / Bank Book / Bank card) if required.

請提供有效的登記銀行戶口的證明 (發出3個月內的銀行結單/存摺/銀行咭)。

The bank account number must same no. as the bank proof. 銀行戶口號碼必需與銀行證明相同。

7. Financial Background 財務狀況 (Note: Aggregate amounts for Joint Account 聯名戶口以總數填寫)

Estimated annual income (in HK\$) 估計年薪 (以港幣計)

- < \$200,000 \$200,000 – \$500,000 \$500,001 – \$1,000,000
 \$1,000,001 – \$3,000,000 \$3,000,001 – \$5,000,000 > \$5,000,000

Approximate net value of assets (in HK\$) (including place of residence, cash deposit at Bank, shares, bonds, warrants etc. 淨資產約值 (以港幣計) (包括居住地方、銀行存款、股票、債券、認股權證等)

- < \$500,000 \$500,000 – \$1,000,000 \$1,000,001 – \$3,000,000
 \$3,000,001 – \$5,000,000 \$5,000,001 – \$10,000,000 > \$10,000,000

Expected Source of Fund/Wealth 預計資金及財富來源

- Salary 薪金 Saving 儲蓄 Investment 投資 Earning from spouse 家用
 Sale of Property/Assets 出售物業/資產 Inheritance 繼承財產
 Other (Please specify) 其他: 請註明 _____

Expected Initial Investment (in HK\$) 預計初始投資金額 (以港幣計)

- < \$500,000 \$500,000 – \$1,000,000 \$1,000,001 – \$5,000,000
 > \$5,000,000 (Please specify 請註明) _____

8. Investment Objectives / Experience and Level of Risk Taking 投資目的 / 經驗及風險承受水平

Main Investment Objective 主要投資目的 (Please select one) (請選取一項)

- Capital Preservation 保本 Dividend Yield 股息收益 Capital Appreciation 資本增值
 Hedging 對沖 Speculation 投機
 Others (Please specify) 其他(請註明) _____

Investment Experience 投資經驗	None 無	<1 year 不足一年	1 – 2 years 一至二年	2 – 5 years 二至五年	Over 5 years 五年以上
Equities / Debentures 股票/債券	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Warrant/Stock Options/Futures 認股權證/股票期權/期貨	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Forex 外匯	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Precious metals (e.g. Gold) 貴金屬(如黃金)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mutual Funds / Unit Trust 互惠基金/單位信託基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Hedge Funds 對沖基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Structured Investment Products 結構性投資產品	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fixed Income Securities (e.g. Bonds) 固定收入證券(如債券)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Others (Please specify) 其他 (請註明)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

8 Level of Risk Taking 風險承受水平 High 高

Medium 中

Low 低

9. Credit Reference 信貸諮詢

Bank reference(s) (including type of account and account number) 銀行諮詢 (包括戶口類別及號碼)

Name of Bank 銀行名稱

Type of Account 戶口類別

Account No. 戶口號碼

Other Brokerage or Dealer reference(s) (including the name, type of account (e.g. cash, margin and nature of securities account) and account number): 其他經紀或交易商諮詢 (包括名稱、戶口類別 (如現金或保證金及證券戶口性質) 及戶口號碼)

Name of Broker 經紀名稱

Type of Account 戶口類別

Account No. 戶口號碼

10. Other Accounts 其他戶口

Particulars of any and all other accounts (whether individual, joint, corporate, trustee) beneficially held, owned or operated by me for or on my behalf or for any another person(s), body or corporation or in which I have an interest (whether direct or indirect) with UOB Kay Hian (Hong Kong) Limited. 任何及所有其他在大華繼顯 (香港) 有限公司開設、由本人或本人代表他人、團體或公司實益持有、擁有或運作、或本人擁有直接或間接利益的戶口 (無論個人、聯名、公司、託管) 的詳情。

Account Name 戶口名稱

Account No. 戶口號碼

Account Type 戶口類別 Cash 現金 Margin 保證金戶口

11. Trading Authorization – Individual 交易授權 – 個人 (Please cross this page out if not applicable 如不適用請將此頁用筆打叉刪去)

I / We hereby authorize following person(s) to give written and / or oral instructions in relation to the trading of the account.
本人 / 吾等謹此授權下列人士可以書面及 / 或口頭發出與本戶口交易有關的指示。

The trading authorization also applies to Stock Options Account (if any) but does not cover OTC investment product(s).
此交易授權亦適用於股票期權交易戶口(如有)，但並不包括場外交易產品。

1. Name of Authorized Person 獲授權人士姓名

ID No. 身份證號碼* (or Passport No. & Country of issue 或護照號碼及簽發地點)

Relationship to the account holder 與戶口持有人關係

Contact Number 聯絡電話

Reason of Authorization 授權原因:

E-Mail Address 電郵地址

Specimen Signature of Authorized Person
獲授權人士簽名式樣:

Confirmed and Signed By Client (with Company chop if applicable)
由客戶確認及簽署 (並蓋上公司印章如適用)

2. Name of Authorized Person 獲授權人士姓名

ID No. 身份證號碼* (or Passport No. & Country of issue 或護照號碼及簽發地點)

Relationship to the account holder 與戶口持有人關係

Contact Number 聯絡電話

Reason of Authorization 授權原因:

E-Mail Address 電郵地址

Specimen Signature of Authorized Person
獲授權人士簽名式樣:

Confirmed and Signed By Client (with Company chop if applicable)
由客戶確認及簽署 (並蓋上公司印章如適用)

3. Name of Authorized Person 獲授權人士姓名

ID No. 身份證號碼* (or Passport No. & Country of issue 或護照號碼及簽發地點)

Relationship to the account holder 與戶口持有人關係

Contact Number 聯絡電話

Reason of Authorization 授權原因:

E-Mail Address 電郵地址

Specimen Signature of Authorized Person
獲授權人士簽名式樣:

Confirmed and Signed By Client (with Company chop if applicable)
由客戶確認及簽署 (並蓋上公司印章如適用)

* Please provide valid I.D. Copy of authorized person. 請提供獲授權人士之有效身份證明文件副本。

12. Information of an Individual Margin Client with Related Margin Client (For Margin Account Only) 個人保證金客戶與有關連保證金客戶所需資料 (只適用於保證金客戶)

12.1 If you are married, please state whether your spouse has opened related margin account with UOB Kay Hian (Hong Kong) Limited. 若閣下是已婚人士，請提供閣下的所屬配偶是否已在大華繼顯(香港)有限公司開立保證金戶口。

- Yes 是 Name of Spouse 配偶姓名 Account No. 賬戶號碼 _____
- No 否 My spouse has no margin account with UOB Kay Hian (Hong Kong) Limited.
本人/吾等配偶並沒有在大華繼顯(香港)有限公司開設任何保證金戶口。
- N/A, I am/we are not married. 不適用，本人/吾等仍未結婚。

12.2a Are you alone in control of 35% or more of the voting rights of related margin account opened with UOB Kay Hian (Hong Kong) Limited? 閣下是否單獨擁有任何於大華繼顯(香港)有限公司所開立之有關連保證金戶口 35%或以上投票表決權？

- No 否 Yes 是

If yes, please provide related margin account number and name of account holder:

如是，請提供有關連保證金戶口號碼及戶口持有人姓名

Name of Account Holder 戶口持有人姓名

Account No. 賬戶號碼

12.2b Are you with your spouse together in control of 35% or more of the voting rights of related margin account opened with UOB Kay Hian (Hong Kong) Limited? 閣下與所屬配偶是否擁有於大華繼顯(香港)有限公司所開立之有關連保證金戶口並合共持有 35%或以上投票表決權？

- No 否 Yes 是

If yes, please provide related margin account number and name of account holder(s):

如是，請提供有關連保證金戶口號碼及戶口持有人姓名

Name of Account Holder(s) 戶口持有人姓名

Account No. 賬戶號碼

I/We represent that the information as set out herein is true, complete, correct and accurate. UOB Kay Hian (Hong Kong) Limited is entitled to rely fully on such information for all purposes, unless and until UOB Kay Hian (Hong Kong) Limited receives notice of any change from me/us. 本人/吾等聲明此處所載的資料均為真實、完整、正確及準確。大華繼顯(香港)有限公司有權完全依賴該等資料，除非及直至大華繼顯(香港)有限公司收到本人/吾等有關任何更改通知。

13. Declaration 聲明書

13.1a I/We am/are not acting as an intermediary for the account. The trading orders placing with UOB Kay Hian (Hong Kong) Limited are not for any of my/our clients or any ultimate beneficiary. 本人/吾等並非以戶口中介人的身份行事。向大華繼顯(香港)有限公司作出的買賣指令，均非本人/吾等為本人/吾等的客戶或任何最終受益人作出。

13.1b I/We am/are acting as an intermediary for the account. The ultimate beneficiary is (please provide information on separate sheets if there are more than one ultimate beneficiary) 本人/吾等以戶口中介人的身份行事。最終受益人為 (如有多於一名最終受益人，請在獨立的紙張上填寫資料)

Name 姓名 HKID/Passport No. 香港身份證號碼/護照號碼 Contact No. 聯絡電話號碼

Correspondence Address 聯絡地址

For ultimate beneficial owner(s) who is/are U.S. Person(s), please provide his/her U.S. Taxpayer Identification number:

最終實益擁有人如屬美國人士，請提供他/她的美國稅務號碼: _____

13.1c Individual ultimately responsible for giving instructions in relation to transactions to be conducted through the account is (please provide information on separate sheets if there are more than one such individual): 最終負責就經該戶口進行交易發出指示的人士 (如有多於一名有關人士，請在獨立的紙張上填寫資料) :

Name 姓名 HKID/Passport No. 香港身份證號碼/護照號碼

Correspondence Address 聯絡地址

Contact No. 聯絡電話號碼

13.2 Do you have any relationship with the director(s) or employee(s) of UOB Kay Hian (Hong Kong) Limited or their respective associated companies? 閣下是否與大華繼顯(香港)有限公司之董事或僱員或其各自之聯營公司有任何關係?

No 否

Yes, I have the following relationship with the director(s) or employee(s) of UOB Kay Hian (Hong Kong) Limited or their respective associated companies: 是。本人與大華繼顯(香港)有限公司之董事或僱員或其各自之聯營公司有以下關係:

Name of Director or Employee (with Name of Associated Companies, if not UOB Kay Hian (Hong Kong) Limited) 董事或僱員姓名 (如並非大華繼顯(香港)有限公司, 請寫上聯營公司名稱) / Relationship 關係

13.3 Do you have any relationship with the senior management or director or management shareholder or controlling shareholders of any listed company whose shares are traded on any exchange including Hong Kong?

閣下是否與任何地方交易所包括香港的任何上市公司的高級管理層或董事或管理層股東有任何關係?

No 否

Yes, I have the following relationship with the senior management, director, management shareholder or controlling shareholders of the listed company named below whose shares are traded on the exchange named below: 是。本人與股份在下列交易所交易之下列上市公司的高級管理層、董事或管理層股東有以下關係:

(Name of Director or Employee (with Name of Listed Company and Exchange) 董事或僱員姓名 (連同上市公司及交易所名稱) / Relationship 關係)

13.4 Are you a director, an employee or an accredited person of any exchange participant of the Hong Kong Exchange or any licensed or registered person of the Securities and Futures Commission? 閣下是否香港交易所之交易所參與者或證監會持牌人或註冊人之董事、僱員或認可人士?

No 否

Yes, I am a director or an employee or an accredited person of the following exchange participant of the Hong Kong Exchange or licensed or registered person of the Securities and Futures Commission: 是。本人為以下香港交易所參與者或證監會持牌人或註冊人之董事、僱員或認可人士:

(Position and Name of Relevant Exchange Participant, License or Registered Person 相關交易所參與者、持牌或註冊人士的職位及姓名 Please provide consent letter issued by the relevant entity. 請提供相關實體發出的書面同意書)

13.5 **Cash Account (現金戶口)**

I/We understand and agree that the interest rate charged for unsettled debit balance of the securities trading account will be either 3.5% over Prime rate or Cost of fund, whichever is higher. 本人/吾等明白及同意就本現金戶口借方結餘收取的利率, 將為最優惠利率加年息 3.5 厘或借貸成本計算, 以兩者較高者為準。

13.6 **For client with U.S. Indicia but not U.S. citizen to establish as a non-U.S. account***
(只供具備美國標徵而非美國公民的客戶設立非美國戶口之用*)

I confirm that I am **not** resident in the U.S. for tax purposes and that I am **not** a U.S. citizen
本人在此確認本人並非就美國稅務目的而言的美國居民並且本人不是美國公民。

*Please contact our Client Services Department for more details on U.S. Indicia. 有關美國標徵的詳程, 請聯絡本公司客戶服務部。

14. Other Services 其他服務

Please box of service(s) you want to apply. 請 選你想申請的服務。

(1) Stock Options Account 股票期權交易戶口

(Please also submit "Client Money and Client Securities Standing Authority" form 請一併遞交「客戶款項及客戶證券常設授權」表格)

I/We hereby request UOB Kay Hian (Hong Kong) Limited to open an Options Client Account. I/We confirm I/we have thoroughly read and understood the provisions of the Options Client Agreement and accept to be bound by the same and acknowledge receipt of all other terms and conditions applicable to opening of Options Client Account with UOB Kay Hian (Hong Kong) Limited including without limitation, the Options Client Agreement and the relevant client consent form in the attached terms and conditions booklet. 本人/吾等謹此要求大華繼顯(香港)有限公司開立期權客戶戶口。本人/吾等確認本人/吾等已經徹底閱讀並明白期權客戶協議中的條文，並接受其約束，及確認收受在大華繼顯(香港)有限公司開立期權客戶戶口適用的所有其他條款與細則，包括但不限於期權客戶協議及隨附的條款及細則小冊子中的相關客戶協議書。

I/We hereby confirm and acknowledge that I/we have been invited to read the Risk Disclosure Statement for Stock Options Trading, ask questions and take independent advice, if I/we wished. I/We have thoroughly read the Risk Disclosure Statement for Stock Options Trading, which have been fully explained to me/us. 本人/吾等確認及承認本人/吾等已獲邀請閱讀股票期權交易的風險披露聲明、提出問題及徵求獨立的意見(如本人/吾等有此意願)。本人/吾等已徹底閱讀股票期權交易的風險披露聲明，並獲得充份解釋股票期權交易的風險披露聲明的內容。

(2) Internet Stock Options Trading Account 互聯網股票期權交易戶口

I/We hereby request UOB Kay Hian (Hong Kong) Limited to provide the Internet Stock Options Trading services with respect to the Account. I/We confirm I/we have considered all the risks involved, and have thoroughly read and understood the provisions of the Internet Trading Terms and Conditions and agree to be bound by the same and acknowledge receipt of all other terms and conditions applicable to opening of account with UOB Kay Hian (Hong Kong) Limited including without limitation, the Cash / Margin / Options Client Agreement. 本人/吾等謹此要求大華繼顯(香港)有限公司提供戶口的互聯網股票期權交易服務。本人/吾等確認本人/吾等已考慮所涉及的所有風險，並已經徹底閱讀並明白互聯網交易條款與細則，並同意受這些條款與細則的約束及確認收受在大華繼顯(香港)有限公司開立戶口適用的所有其他條款與細則，包括但不限於現金/保證金及期權客戶協議客戶協議。

(3) Service of Statements, Online Trading Password and Advice 送達結單、網上交易密碼及通知

E-mail Statement and Electronic Advice 電郵結單及電子通知

Primary E-mail address(es) in P.3 and P.6 is for receiving all kinds of client communication, including: UTRADE (passwords, login notification, trade confirmation), E-Statement, Change of Information, Corporate Action, Welcome letter, Annual renewal letters, Terms and Conditions update or other letters.

第三頁及第六頁的主電郵地址用作收取客戶端通信，包括：UTRADE (密碼、登入通知、完成交易確認)、電郵結單、更改資料通知、企業行動、迎新信件、年度更新信件、條款或細則或其他信件。

Alternative E-mail Address **(Maximum of Two e-mail addresses)

副電郵地址 (最多只限兩個電郵地址):

1. _____

If this email would like to receive UTRADE password and notification please check the below box. 如果此電郵需要接收 UTRADE 密碼及通知，請勾選以下方格。

2. _____

** Alternative Email is for receiving E-Statement and Corporation Action.

副電郵地址用作收取電郵結單及企業行動等。

I/We hereby confirm that the above email address is for my / own use only and not accessible by any officer or employee of your company or its associated entity. 本人/吾等謹此確認以上電郵地址為本人/吾等所擁有，並且不會讓貴公司或有聯繫實體之僱員登入及使用。

15. Personal Information Collection Statement 個人資料收集聲明

Our Data Protection Policy 我們的個人資料保護政策

UOB Kay Hian (Hong Kong) Limited/UOB Kay Hian Futures (Hong Kong) Limited (the "Company") values the protection of your personal data. The Company recognises its responsibilities in relation to the collection, holding, processing or use of personal data of account applicants or holders under the Personal Data (Privacy) Ordinance (Cap. 486) (the "Ordinance"). All personal data collected by the Company shall be treated in accordance with this Personal Information Collection Statement (this "Statement") and the provisions of the Ordinance. The Company may collect personal data (as defined in the Ordinance) (which data may relate to yourself or your authorised signatories) from you, in connection with its dealings with you. You must supply the personal data as required by the Company. If you fail to supply the required personal data, the Company may refuse to open and/or maintain an account for you. 大華繼顯(香港)有限公司/大華繼顯期貨(香港)有限公司(「本公司」)非常注重閣下的個人資料的保護。本公司承認其在《個人資料(私隱)條例》(香港法例第486章)(「私隱條例」)下關於收集、持有、處理或使用戶口申請人或持有人的個人資料的責任。本公司收集所得的所有個人資料均會依照本《個人資料收集聲明》(「本聲明」)以及私隱條例的規定處理。本公司可就本公司與閣下的事務往來向閣下收集可能是關於閣下本人或閣下的獲授權簽署人士的個人資料(定義見私隱條例)。閣下必須按照本公司要求提供個人資料。倘若閣下未有提供所要求的個人資料,本公司可拒絕為閣下開立及/或維持戶口。

15.1. Purposes of Collection 收集個人資料的目的

The Company may use your personal data (whether provided by you or any other person, and whether provided before or after the date you receive this document) for the following purposes:

本公司可使用閣下的個人資料(不論是否由閣下或任何其他人士提供,亦不論是否在閣下收到本文件的日期之前或之後提供)作以下用途:

- (a) offering, providing and marketing to you the products/services of the Company and/or any holding company, subsidiary or affiliate (within or outside Hong Kong)(the "Group") or our business partners (see "Use of Data in Direct Marketing" below), and administering, maintaining, managing and operating such products/services; 向閣下發售、提供及推銷本公司及/或任何控股公司、附屬公司或關聯公司(在香港境內或境外)(「本集團」)或我們的業務夥伴的產品/服務(見下文「在直銷中使用個人資料」),以及處理、維持、管理及操作有關產品/服務;
- (b) activities relating to operating your account such as purchasing, investing, advising, exchanging, acquiring, disposing of and generally dealing in and with all kinds of securities, futures and options (if applicable) on your behalf, carrying out transactions at your instructions, on-going account administration and contacting you; 與閣下的戶口的運作有關的活動,例如代表閣下購買、投資、諮詢、兌換、收購、處置及整體地買賣所有類型的證券、期貨及期權(如適用);按照閣下的指示進行任何交易;持續性的戶口管理及與閣下聯絡等;
- (c) activities relating to the processing of your application to open an account with the Company and maintaining your account, including but not limited to client verification procedures, conducting credit reporting, processing your application for grant of credit or margin facilities or the continuation and review of such credit or margin facilities; 與處理閣下在本公司開立戶口的申請及維持閣下的戶口有關的活動,包括(但不限於)客戶身份核實程序、進行資信報告、處理閣下關於授予信貸或保證金融資,或繼續提供及檢討該等信貸或保證金融資的申請;
- (d) determining the amount of indebtedness owned to or by customers; 釐定欠下客戶(或客戶欠下)的債務的金額;
- (e) collection of amounts outstanding from customers and those providing security for customers' obligations; 向客戶(以及為客戶的義務提供擔保的人士)收取尚欠的金額;
- (f) maintenance and verification of particulars and data; 資料及數據的維護及核對;
- (g) any other purpose relating to the provision of banking, investment and/or other financial services and facilities by the Group; 與本集團提供銀行、投資及/或其他金融服務及設施有關的任何其他目的;
- (h) to provide you with information about your account and account statements; 向閣下提供關於閣下的戶口的資料及戶口結單;
- (i) to conduct research and statistical analysis; and 進行調查研究及統計分析;及
- (j) complying with the obligations, requirements or arrangements for disclosing and using data, including notification requirements that apply to the Company or any member of the Group, according to any law binding or applying to them within or outside Hong Kong including without limitation the United States Foreign Account Tax Compliance Act ("FATCA"). 依據香港或香港以外地區適用於本公司或本集團任何成員或對其有約束力的任何法律(包括(但不限於)美國《海外帳戶稅收合規法案》(「FATCA」)),遵守有關披露及使用個人資料的義務、要求或安排(包括適用於本公司或本集團任何成員的通知要求)。

15.2 Transfer of Personal Data 轉交個人資料

Personal data held by the Company will be kept confidential but may be transferred to the following persons within or outside Hong Kong solely for the purposes set out above (excluding direct marketing purposes): 本公司將把所持有的個人資料保密,但可僅就上文所列的目的而言(除直銷目的外)將該等個人資料轉交下列人士(不論在香港境內或境外):

- (a) other entities within the Group (including direct and indirect subsidiaries) providing banking, investment and/or other financial services; 本集團內提供銀行、投資及/或其他金融服務的其他實體(包括直接及間接附屬公司);
- (b) the Company's agents, nominees, professional advisers, researchers and other third party service providers that offer services to the Group in connection with the operation of its banking, investment and/or financial services business; 就本集團的銀行、投資及/或金融服務業務的運作向其提供相關服務的公司的代理、代名人、專業顧問、研究員及其他第三方服務供應商;

- (c) credit reporting agencies; 資信報告代理;
- (d) financial regulators, government bodies, other regulatory authorities, individuals or corporations who have the right to such data and information as prescribed by law within or outside Hong Kong; 根據香港或香港以外地區的法律規定有權取得該等個人資料的金融規管機構、政府組織、其他監管機構、個人或公司;
- (e) the Hong Kong Inland Revenue Department, the United States Internal Revenue Service and any other taxing authority to whom the Company or any member of the Group is under an obligation or otherwise required to make disclosures under the requirements of any law (including without limitation FATCA); 香港稅務局、美國國家稅務局及本公司或本集團任何成員依據任何法律(包括但不限於 FATCA) 規定有責任或在其他方面須向其作出披露的任何其他稅務機關;
- (f) where transactions are executed outside Hong Kong, the relevant stock exchange, clearing house or regulatory bodies; and 就任何在香港以外進行的交易而言，相關的證券交易所、結算所或監管機構; 及
- (g) authorized employees of the Company. 本公司的獲授權僱員。

15.3 Use of Data in Direct Marketing 在直銷中使用個人資料

- (a) The Company intends to use your personal data held by the Company for the purpose of direct marketing. Such personal data include your name, demographic data, contact details, account number, products and other portfolio information, transaction pattern and behaviour, financial background and investment objectives and experience. 本公司擬把本公司持有的閣下的個人資料用於直銷。有關個人資料包括姓名、人口統計資料、聯絡資料、戶口號碼、產品及其他投資組合資料、交易模式及行為、財務背景及投資目標及經驗。
- (b) The following classes of services, products and subjects may be marketed:
可用作推銷下列類別的服務、產品及推銷主體：
 - (i) financial, investment, wealth management, securities, retirement, insurance and related services and products; 財務、投資、財富管理、證券、退休、保險及相關服務及產品;
 - (ii) reward, loyalty or privileges programmes, promotional offers and related services; and 獎賞、忠誠或優惠計劃、推廣優惠及相關服務;
 - (iii) invitations to financial and investment seminars/events/forums. 邀請參加財務及投資研討會/活動/論壇。
- (c) Data held by the Company relating to a data subject will be kept confidential but the Company may provide such information to the following parties whether inside or outside Hong Kong for the purposes set out in paragraph (a) above: 本公司將把其持有的關於某個人資料主體的個人資料保密，但本公司可就上文(a)段所載的目的而言，向以下人士(不論在香港境內或境外)提供有關資料：
 - (i) the ultimate holding company of the Company, its subsidiaries, representative offices and/or affiliates of the Company; 本公司的最終控股公司、其附屬公司、代表辦事處及/或本公司的關聯公司;
 - (ii) the service providers of the Company including the registrar, transfer agent, the custodian, administrative service agent, share distributors, securities and investment service providers and the auditor of each products offered by the Company; 本公司的服務供應商(包括登記處、過戶代理、托管人、行政服務代理、股份分銷商、證券及投資服務供應商，以及本公司提供的每項產品的核數師);
 - (iii) any agent, contractor or third party service provider who provides administrative, research, design, launch, telecommunications, printing, letter shopping, mailing, computer, payment, securities clearing and settlement or other services to the Company in connection with the operation of its business; 就本公司的業務運營而言，向本公司提供行政、研究、設計、推出、電訊、列印、郵件處理、郵寄、電腦、付款、證券結算及交收或其他服務的任何代理、承包商或第三方服務供應商;
 - (iv) the intermediaries of the company including third party financial institutions (e.g. banks, independent financial advisors, insurers), third party product issuers, correspondent banks which may handle or process payment to/from data subjects; 本公司的中介機構，包括第三方金融機構(例如：銀行、獨立財務顧問、保險人)、第三方產品發行人、可能處理向/來自個人資料主體的付款的往來銀行;
 - (v) the employees, officers, directors and agents of the Company; 本公司僱員、高級職員、董事及代理;
 - (vi) any party (including but not limited to, any regulatory authorities, governmental authorities, tax, law enforcement authorities) entitled thereto by law or regulation (whether statutory or not); and 法例或規例(不論法定與否)下有權獲取個人資料的任何人士(包括(但不限於)任何規管機構、政府機構、稅務、執法機構); 及
 - (vii) any other member of the Group. 本集團任何其他成員。
- (d) In addition to marketing the above services, products, facilities and marketing subjects itself, the Company also intends to provide the data described in (a) above to all or any of the persons described in paragraph (c) above for use by them in marketing those services, products and subjects, and the Company requires my written consent (which includes an indication of no objection) for that purpose. 除推廣上述服務、產品、設施及推銷主體本身外，本公司亦擬向上文(c)段所述的全部或任何人士提供上文(a)部分所述的個人資料，以供他們用於推廣該等服務、產品及推銷主體，而本公司就此而言需要本人的書面同意(包括表示反對)。

Before using your personal data for the purposes and providing to the transferees set out above, the Company must obtain your written consent, and only after having obtained such written consent, may use and provide your personal data for any promotional or marketing purpose. 在將閣下的個人資料用於上文所載的用途並向上文所載的人士轉交閣下的個人資料前，本公司必須取得閣下的書面同意，而本公司只可在取得有關書面同意後，使用及提供閣下的個人資料作任何宣傳或推廣用途。

You may in future withdraw your consent to the use and provision of your personal data for direct marketing without charges. 閣下今後可在毋須支付費用下，撤回閣下關於將閣下的個人資料用作（及提供作）直銷用途的同意。

Please complete the following and/or check the appropriate box(es) below. They represent your present choice whether or not to receive direct marketing contact or information. This replaces any prior choice communicated by you to the Company. 請填寫下文，及/或剔選下文合適的方格。它們代表閣下目前關於是否接收直銷聯繫或資料的選擇。這取代閣下先前告知本公司的任何選擇。

- I/We wish the Company to use my/our personal data (including the data mentioned in paragraph (a) above) for direct marketing of services, products and subjects mentioned in paragraph (b) above and wish to receive direct marketing materials through the following channel(s): 本人/吾等希望貴公司將本人/吾等的個人資料（包括上文(a)段所述的個人資料）用作上文(b)段所述的服務、產品及推銷主體的直銷，並希望透過以下渠道收取直銷材料：
 - Mail 郵寄
 - Phone 電話
 - E-mail 電郵
 - SMS 短訊
 - All channels (including mail, e-mail, phone and SMS) 所有渠道（包括郵寄、電郵、電話及短訊）
- I/We do not wish the Company to use my/our personal data (including the data mentioned in paragraph (a) above) for direct marketing of services, products and subjects mentioned in paragraph (b) above and do not wish to receive direct marketing materials. 本人/吾等不希望貴公司將本人/吾等的個人資料（包括上文(a)段所述的個人資料）用作上文(b)段所述的服務、產品及推銷主體的直銷，且不希望收取直銷材料。
- I/We consent to the transfer by the Company of my/our personal data (including the data mentioned in paragraph (a) above) to the parties listed in paragraph (c) above for direct marketing of services, products and subjects mentioned in paragraph (b) above. 本人/吾等同意貴公司將本人/吾等的個人資料（包括上文(a)段所述的個人資料）轉交上文(c)段所述的人士，作上文(b)段所述的服務、產品及推銷主體的直銷。
- I/We do not consent to the transfer by the Company of my/our personal data (including the data mentioned in paragraph (a) above) to the parties listed in paragraph (c) above for direct marketing of services, products and subjects mentioned in paragraph (b) above. 本人/吾等不同意貴公司將本人/吾等的個人資料（包括上文(a)段所述的個人資料）轉交上文(c)段所述的人士，作上文(b)段所述的服務、產品及推銷主體的直銷。

Access to Personal Data 個人資料的查閱

Under the Ordinance you have the right to enquire whether the Company holds personal data in relation to you, and to request access to and correction of your personal data. You may make such a request to: 根據私隱條例，閣下有權查詢本公司是否持有關於閣下的個人資料並有權要求查閱及更改閣下的個人資料。閣下可向以下人士提出上述要求：

Client Services Department 客戶服務部

6/F Harcourt House, 39 Gloucester Road, Hong Kong

香港告士打道39號夏愨大廈6樓

Tel 電話: +852 2136 1818

Fax 傳真: +852 2501 0726

In accordance with the terms of the Ordinance, a reasonable fee may be charged for processing any data access request. 根據私隱條例的條款，可就存取個人資料的任何請求收取合理的費用。

16. Derivative Knowledge Assessment 衍生工具認識評估

For Joint account client, each account holder must complete this section separately.

若閣下為聯名戶口，每位聯名戶口持有人必需個別地填寫此部分。

Do you meet any one of the following criteria? 閣下是否符合以下任何一項評估條件?

Criteria: 條件

(i) I have executed five or more transactions in derivative products (whether traded on an exchange or not), e.g. Stock Options, futures, Callable Bull/Bear Contracts, Derivative Warrants, Structured Products and ETFs, etc. (within the past 3 years) 本人/我們(於過去三年)曾執行5次或以上有關衍生產品(不論是否在交易所買賣)的交易。例如：股票期權、期貨、牛熊證、衍生權證、結構性產品及交易所買賣基金等。

Yes 是

No 否

Relevant Financial Institution 金融機構名稱：_____

Product Type 產品種類：_____

Trading Period 交易期間：_____

(ii) I have current or previous work experience related to derivative products. 本人/我們於現時或過去擁有與衍生產品的工作經驗。

Yes 是

No 否

Name of Employer 公司名稱：_____

Department 部門名稱：_____ Position 職位：_____

Working Year 工作年期：_____

(iii) I have undergone training and/or attended courses either in form of online or classroom offered by academic institutions or financial institutions on derivative and/or structured products. 本人/我們已經接受及/或參加由學術機構或金融機構所提供有關衍生工具/或結構性產品的在線或教室形式培訓及/課程。

Yes 是

No 否

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

Name of Organized Institution 舉辦機構名稱：_____

Attendance Date 出席日期：_____

You are required to complete a derivative knowledge assessment questionnaire if you would like to receive recommendations in relation to derivative transaction. You can access the form in our website or contact your Salesperson. 如果本公司向閣下提出衍生工具交易建議，閣下需要另外填寫衍生工具知識評估問卷。閣下可以訪問我們網站上的表格或聯繫您的銷售人員。

17. Acknowledgement and Consent 確認及承諾

17.1 I/We hereby confirm and acknowledge that I/we have thoroughly read and understood the “Personal Information Collection Statement” before furnishing this Client Information Statement. 本人/吾等謹此確實及確認，在提交此客戶資料表格前，本人/吾等已徹底閱讀及明白“個人資料收集聲明”。

I/We represent that the contents and information provided by me/us in this Client Information Statement are true, complete, correct and not misleading in any respect and that the representations made by me/us herein are accurate. You may or are entitled to rely entirely upon such contents information and representations for all purpose, unless you receive notice in writing from me/us of any change thereof. I/We hereby undertake to notify you in writing forthwith upon any material change(s) in the information provided herein. 本人/吾等茲申述在客戶資料表格內的資料及內容屬實、完整、正確，且在任何方面均無誤導，及附上申述內容準確，除非貴司收到更改有關聲明內容的書面通知，否則貴司可或有權在任何用途上完全依賴這些資料及申述，本人/吾等謹此承諾，若於此提供的資料有任何修改，本人/吾等將立即以書面通知貴司。

You are further and hereby authorized at any time to contact any person or persons, including my/our banks, brokers, advisers or any credit agency, for or relating to the purpose of verifying the information provided by me/us in this Client Information Statement and obtaining information about me/us. 貴司現被授權在任何時間接觸任何人（等）包括本人/吾等往來銀行、經紀、顧問或任何信貸機構，核實本人/吾等在客戶資料表格中所提供有關資料及取得關於本人/吾等的資料。

I/We agree to provide you with such information/documents as may be requested by you from time to time in connection with the application for the opening of the Account. 本人/吾等同意向貴司提供貴司就開立戶口申請可能不時要求的有關資料/文件。

I/We agree to open the following type(s) of account and confirm receipt of the Cash and / or Margin Client Agreement under Client Agreement Terms & Condition (Securities). 本人/吾等同意開立以下的戶口，並確認已收妥在客戶協議書、條款及細則(證券)內的現金及/或保證金客戶協議書。

I/We understand that my/our submission of this Form and the acceptance of this Form by you in no way implies approval for opening of the Account for me/us and you reserve the unconditional right to reject this application. 本人/吾等明白本人/吾等提交此表格及貴司接納此表格概不會以任何方式意味着批准為本人 / 吾等開立戶口，而貴司保留無條件拒絕此份申請的權利。

17.2 Declaration in relation to Tax Residency Self-Certification 稅務居民自我證明之確認聲明

I acknowledge and agree that (a) the information contained in this Client Information Statement is collected and may be kept by you for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by you to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112). 本人知悉及同意，貴司可根據《稅務條例》(第112章)有關交換財務帳戶資料的法律條文，(a) 收集本客戶資料表格所載資料並可備存作自動交換財務帳戶資料用途及 (b) 把該等資料和關於帳戶持有人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，從而把資料轉交到控權人的居留司法管轄區的稅務當局。

I undertake to advise you of any change of Name of Account Holder, Hong Kong Identity Card or Passport Number, Residence Address, Mailing Address, Date of Birth and Place of Birth in circumstances which affects the tax residency status of the individual or causes the information contained herein to become incorrect, and to provide you with a suitably updated self-certification form within 30 days of such change in circumstances. 本人承諾，如帳戶持有人的姓名、香港身份證或護照號碼、住址、通訊地址、出生日期及出生地點情況有所改變，以致影響個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知貴司，並會在情況發生改變後30日內，向貴司提交一份已適當更新的自我證明表格。

17.3 Acknowledgement of Risk Disclosure Statement and Acceptance of Terms and Condition of Cash / Margin Client Agreement 風險披露聲明的確認及現金 / 保證金客戶協議書、條款及細則的接納

I/We have read the Risk Disclosure Statement and I/ we have been invited to ask questions and take independent advice, if I/we wished. 本人/吾等已閱讀風險披露聲明及已獲邀請提出問題及徵求獨立的意見(如本人/吾等有此意願)。

I/We hereby confirm that the latest versions of the Risk Disclosure Statement and Terms and Condition of Cash / Margin Client Agreement, all of which may be varied, amended or supplemented from time to time (copies of which are available on <http://www.utrade.com.hk>), have been fully explained to me/us by a Licensed Person in a language of my/our choice (English or Chinese) and I/we fully understand, acknowledge and agree to be bound by them. 本人/吾等確認持牌人士已以本人/吾等選擇的語言(英文或中文)向本人/吾等充份解釋最新版本的風險披露聲明及現金 / 保證金客戶協議書、條款及細則(經不時更改、修訂或補充)(副本可於<http://utrade.com.hk>下載)，而本人/吾等完全明瞭、確認並同意受該等條文約束。

I/We confirm that you have pointed out to me that the said Risk Disclosure Statement and Terms and Condition of Cash / Margin Client Agreement are general in nature and have not been prepared to specifically cater for my/our own circumstances, background and investment experience and I/we should in addition consider my/our own circumstances, financial strength, investment objectives and experience, my/our own needs, the offering document of the investment products concerned, the taxation implications, foreign exchange control aspects (if relevant), the law of the place of domicile and residence in making the investment decision. 本人/吾等確認貴司已向本人指出上述風險披露聲明、現金/保證金客戶協議書、條款及細則屬一般性質，而並沒有因應本人/吾等自身的狀況、背景及投資經驗而特別編製。在作出投資決定時，本人/吾等應在此之上考慮本人/吾等自身的狀況、財政實力、投資目標及經驗、本人/吾等自身的需要、所涉及的投資產品的發售文件、稅務影響、外匯管制方面(如適用)、所在地及居住地的法律。

I/We confirm receipt of the Cash and / or Margin Client Agreement under Client Agreement Terms & Condition (Securities). 本人/吾等確認已收妥在客戶協議書(證券)內的現金及/或保證金客戶協議書。

I/We have been advised that before I/we transact any derivatives product, I/we have to make sure that I/We have sufficient relevant knowledge and investment experience. 本人/吾等獲告知，在本人/吾等買賣任何衍生產品前，本人/吾等須確保本人/吾等具備充分的相關知識及投資經驗。

I/We confirm that I/we possess sufficient net worth to assume the risk and bear the possible losses of trading in securities and investment products and I/we will before instructing you to effect any purchase transaction relating to securities and investment products, re-assess whether by then I/we still have sufficient net worth to assume the risk and bear the possible losses of purchasing the securities and investment products I/we intend to trade in the light of the then circumstances, including my/our financial position, funding requirements and any other obligations I/we have assumed. 本人/吾等確認本人/吾等具備充分的資產淨值承擔買賣證券及投資產品的風險，並承受可能出現的損失，而本人/吾等將在指示貴司執行關於證券及投資產品的任何購買交易前，將計及屆時的情況(包括本人/吾等的財務狀況、資金需求及本人/吾等已承擔的任何其他義務)，重新評估本人/吾等屆時是否仍有足夠的資產淨值承擔購買本人/吾等擬買賣的證券及投資產品的風險，並承受可能出現的損失。

17.4 Declaration of No Short Selling 所有賣盤均為非賣空盤之確認聲明

I/We confirm that, until such time as you receive further written notice from me/us to the contrary, every sell order I/we (whether as principal or agent) ask you to execute on the Stock Exchange of Hong Kong Limited will be a "long" sales, meaning that I/we will never give you as sell order unless, at the time of the order, I/we either (i) own the shares that are the subject of the sell order, or (ii) have already exercised an ADR, TraHK unit, physically-settled share call option or other similar instrument convertible into the shares to be delivered to the purchasers. 本人/吾等現在確認，本人/吾等(無論作為委託人或代理人)將來向貴司發出的所有在香港聯合交易所有限公司執行的賣盤指示均屬長倉沽盤，直至本人/吾等另行以書面通知貴司為止。上述確認意指每當本人/吾等向貴司發出沽盤指示時，本人/吾等(一)已擁有該沽盤指示之有關股票；或(二)將可交予買方已行使的美國預託證券、盈富基金、實物交收股票認購期權或任何其它類似的可以轉換成該有關股票之工具。

I/We understand that until such time as you receive this declaration, and if any time I/we give you written notice that this declaration is no longer to have any effect, you are obliged under Section 171 of the Securities and Futures Ordinance (Chapter 571 of the Laws of Hong Kong) to seek my/our verbal and written confirmation that any short sales are covered and that, to the extent that any cover is a stock borrowing arrangement with a stock lender, the stock lender has the shares available to lend or deliver to me/us. 本人/吾等明白在貴司收到此聲明之前，或在本人/吾等以書面通知貴司此聲明中之確認已不再生效之後，貴司根據香港《證券及期貨條例》(香港法例第571章)第171條，有責任向本人/吾等索取口頭及書面確認，以確認吾等發出之沽盤指示已經備兌(借貸)，以及若此備兌為借用股票安排時，借出人確實擁有該有關股票以借予本人/吾等。

17.5 Acknowledgement of EU Regulation on key information documents for packaged retail and insurance-based investment products ("PRIIPs Regulation") 有關歐洲經濟區的零售投資者資訊的確認

The PRIIPs Regulation, which came into effect on 1 January 2018, states that a key information document ("KID") must be provided to retail investors located in the European Economic Area ("EEA") who are sold a packaged retail and insurance-based investment product ("PRIIP"). 於2018年1月1日生效的PRIIPs規例指出當向歐洲經濟區的零售投資者出售零售及保險投資產品組合(英文為「packaged retail and insurance-based investment product」，簡稱「PRIIP」)，須提供重要資訊文件(英文為「key information document」，簡稱「KID」)。

Futures Contracts and Options Contracts traded on the Hong Kong Exchanges and Clearing Limited ("HKEX") technically fall within the definition of a PRIIP and accordingly the HKEX has produced a KID for each of the following types of products: 於香港交易所交易的期貨及期權技術上合符PRIIP的定義，故此香港交易所為以下每種產品製作了KID：

Derivatives Trading in the Stock Exchange of Hong Kong ("SEHK") 於香港聯合交易所交易的衍生產品 (Stock Options) (股票期權)

- (i) Short Call Options 沽出認購期權 (只提供英文版本)
- (ii) Long Call Options 買入認購期權 (只提供英文版本)
- (iii) Short Put Options 沽出認沽期權 (只提供英文版本)
- (iv) Long Put Options 買入認沽期權 (只提供英文版本)

I/We confirm that I/we visited the HKEX web site (<http://www.hkex.com.hk>) for the most updated version of the KIDs. 本人/吾等確認本人/吾等已瀏覽香港交易所網站以獲取最新版本的KIDs。

17.6 Derivative Knowledge Assessment 衍生工具認識評估

I hereby acknowledge that I have received, read and fully understood the "Derivatives Product Features and Risk Disclosures" provided by UOB Kay Hian (Hong Kong) Limited in a language of my choice. 本人謹此確認，在本人選擇的語言，本人已收妥由大華繼顯(香港)有限公司提供的“衍生產品特點及風險披露”，並已參閱及明白其內容。

I hereby affirm that the information provided in the derivative knowledge assessment is accurate as of the moment of provision and undertake to inform UOB Kay Hian (Hong Kong) Limited about any changes in mentioned information. 本人確認所提供的評估資料在提供時均屬真確，並承諾於資料有任何變動時通知大華繼顯(香港)有限公司。

17.7 Confirmation of email address for receiving statement and other correspondence in page 3

確認於第3頁中用作接收結單及其他通訊用途的電郵地址

I/We understand that primary email in page 3 is for receiving all kinds of client communication include welcome letter, E-statement UTRADE (passwords, login notification, trade confirmation) or other letters. I/We hereby confirmed the email that I provided is for my/own use only and not accessible by any officer or employee of your company or its associated entity. 本人了解在第3頁的主電郵地址用作收取客戶端通信，包括迎新信件，電郵結單，UTRADE (密碼，登入通知，完成交易確認)或其他信件。本人/吾等謹此，確認本人提供的電郵地址為本人/吾等所擁有，並不會讓貴公司或有聯繫實體之僱員登入或使用。

17.8 Personal Information Collection Statement Under the Hong Kong Investor Identification Regime (HKIDR) and the Over-The-Counter Securities Transactions Reporting Regime (OTCR)

香港投資者識別碼制度及場外證券交易匯報制度個人資料收集聲明

Processing of Personal Data 個人資料的處理

You acknowledge and agree that we, UOB Kay Hian (Hong Kong) Limited, may collect, store, process, use, disclose and transfer personal data relating to you (including your CID and BCAN(s)) as required for us to provide services to you in relation to securities listed or traded on the Stock Exchange of Hong Kong (SEHK) and for complying with the rules and requirements of SEHK and the Securities and Futures Commission (SFC) in effect from time to time. Without limiting the foregoing, this includes – 閣下明白並同意，我們大華繼顯(香港)有限公司為了向閣下提供與在香港聯合交易所(聯交所)上市或買賣的證券相關的服務，以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會(證監會)的規則和規定，我們可收集、儲存、處理、使用、披露及轉移與閣下有關的個人資料(包括閣下的客戶識別信息及券商客戶編碼)。在不限制以上的內容的前提下，當中包括 –

- a) disclosing and transferring your personal data (including CID and BCAN(s)) to SEHK and/or the SFC in accordance with the rules and requirements of SEHK and the SFC in effect from time to time; 根據不時生效的聯交所及證監會規則和規定，向聯交所及/或證監會披露及轉移閣下的個人資料(包括客戶識別信息及券商客戶編碼)；
- b) allowing SEHK to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK; and (ii) disclose and transfer such information to the relevant regulators and law enforcement agencies in Hong Kong (including, but not limited to, the SFC) so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets; and (iii) use such information for conducting analysis for the purposes of market oversight; and 允許聯交所：(i) 收集、儲存、處理及使用閣下的個人資料(包括客戶識別信息及券商客戶編碼)，以便監察和監管市場及執行《聯交所規則》；(ii) 向香港相關監管機構和執法機構(包括但不限於證監會)披露及轉移有關資料，以便他們就香港金融市場履行其法定職能；及(iii) 為監察市場目的而使用有關資料進行分析；及
- c) allowing the SFC to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for the performance of its statutory functions including monitoring, surveillance and enforcement functions with respect to the Hong Kong financial markets; and (ii) disclose and transfer such information to relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements. 允許證監會：(i) 收集、儲存、處理及使用閣下的個人資料(包括客戶識別信息及券商客戶編碼)，以便其履行法定職能，包括對香港金融市場的監管、監察及執法職能；及(ii) 根據適用法例或監管規定向香港相關監管機構和執法機構披露及轉移有關資料。
- d) providing BCAN to Hong Kong Securities Clearing Company Limited (HKSCC) allowing HKSCC to: (i) retrieve from SEHK (which is allowed to disclose and transfer to HKSCC), process and store your CID and transfer your CID to the issuer's share registrar to enable HKSCC and/ or the issuer's share registrar to verify that you have not made any duplicate applications for the relevant share subscription and to facilitate IPO balloting and IPO settlement; and (ii) process and store your CID and transfer your CID to the issuer, the issuer's share registrar, the SFC, SEHK and any other party involved in the IPO for the purposes of processing your application for the relevant share subscription or any other purpose set out in the IPO issuer's prospectus. 向香港中央結算有限公司(香港結算)提供券商客戶編碼以允許香港結算：(i) 從聯交所取得、處理及儲存允許披露及轉移給香港結算屬於閣下的客戶識別信息，及向發行人的股份過戶登記處轉移閣下的客戶識別信息，以便核實閣下未就相關股份認購進行重複申請，以及便利首次公開招股抽籤及首次公開招股結算程序；及(ii) 處理及儲存閣下的客戶識別信息，及向發行人、發行人的股份過戶登記處、證監會、聯交所及其他公開招股的有關各方轉移閣下的客戶識別信息，以便處理閣下對有關股份認購的申請，或為載於公開招股發行人的招股章程的任何其他目的。

You also agree that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent. 閣下亦同意，即使閣下其後宣稱撤回同意，我們在閣下宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移閣下的個人資料以作上述用途。

Consequence of failing to provide Personal Data or Consent 未能提供個人資料或同意的後果

Failure to provide us with your personal data or consent as described above may mean that we will not, or will no longer be able to, as the case may be, carry out your trading instructions or provide you with securities related services (other than to sell, transfer out or withdraw your existing holdings of securities, if any). 閣下如未能向我們提供個人資料或上述同意，可能意味著我們不會或不能夠再(視情況而定)執行閣下的交易指示或向閣下提供證券相關服務，惟出售、轉出或提取閣下現有的證券持倉(如有)除外。

Note 備註：The terms “BCAN” and “CID” used in this clause shall bear the meanings as defined in paragraph 5.6 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.” 本條文所述的“券商客戶編碼”及“客戶識別信息”具有《證券及期貨事務監察委員會持牌人或註冊人操守準則》第 5.6 段所界定的含義。

Acknowledgement and Consent 確認及同意

I acknowledge I have read and understand the content of the Personal Information Collection Statement under the HKIDR and the OTCR of UOB Kay Hian (Hong Kong) Limited. I signify my consent for UOB Kay Hian (Hong Kong) Limited to use my personal data on the terms of and for the purposes set out in the Personal Information Collection Statement. 本人確認本人已閱讀並理解大華繼顯(香港)有限公司的香港投資者識別碼制度及場外證券交易匯報制度下個人資料收集聲明的內容。本人同意大華繼顯(香港)有限公司根據個人資料收集聲明的條款及目的使用本人的個人資料。

17.9 Internet Trading Account 互聯網交易戶口

I/We hereby acknowledge UOB Kay Hian (Hong Kong) Limited will provide the Internet Trading services with respect to the Account. I/We confirm I/we have considered all the risks involved, and have thoroughly read and understood the provisions of the Internet Trading Terms and Conditions and agree to be bound by the same and acknowledge receipt of all other terms and conditions applicable to opening of account with UOB Kay Hian (Hong Kong) Limited including without limitation, the Cash/Margin Client Agreement. 本人/吾等謹此確認大華繼顯(香港)有限公司將提供此戶口互聯網交易服務。本人/吾等確認本人/吾等已考慮所涉及的所有風險，並已經徹底閱讀並明白互聯網交易條款與細則，並同意受這些條款與細則的約束及確認收受在大華繼顯(香港)有限公司開立戶口適用的所有其他條款與細則，包括但不限於現金/保證金客戶協議。

* Internet Securities Trading Account can enjoy free 500 clicks of real time snapshot within 2 months 互聯網證券交易戶口可享2個月內免費500次港股即按式即時報價

Sole Account Holder/Main Account Holder 個人戶口持有人/主要戶口持有人

<i>Name of Client(s)</i> 客戶姓名	<i>Client's Signature(s) / Business Chop</i> 客戶簽署/業務印章
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Joint Account Holder 聯名戶口持有人

<i>Name of Client(s)</i> 客戶姓名	<i>Client's Signature(s) / Business Chop</i> 客戶簽署/業務印章
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All written instructions for this Account have to be given by all account holders jointly unless account holders indicate that such written instructions will be given by 除非戶口持有人指示該書面指示將由以下人士發出，否則本聯名戶口之所有書面指示須以全體聯名持有人名義發出。

- any one of us 任何一方
- any _____ of us 任何 _____ 方 Please specified: 請列明 _____
(Applicable to more than 2 joint account holders) (適用於兩位以上聯名戶口持有人)

Witness 見證人

<i>Name of witness</i> 見證人姓名	<i>Witness Signature</i> 見證人簽署
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Dated this _____ of _____ of _____
日期 Day (日) Month (月) Year (年)

Remarks 註釋

Any deletion or amendment must be initialed by all account holders/partners. 如有任何刪除或修訂，須由全體戶口持有人/合夥人草簽。

Chinese version of the Agreement is only for reference. The English version of the Agreement shall prevail in the event of inconsistency between the two versions. 協議書的中文本僅供參考。中、英文本之間如有任何不一致，則應以英文本為準。

Important Notice to Client(s) 客戶須知：

The Agreement referred in the above will govern the service(s) provided or to be provided to you. You are advised to read and understand the Agreement, to ask questions and to seek independent legal advice before you sign.

上文所指的協議書將規管已向或將向閣下提供的服務。懇請閣下在簽署前細閱及理解協議書，提問並尋求獨立的法律意見。

This document does not constitute nor is it intended to be nor should it be construed as offer or solicitation to deal in securities or any investment products. 此文件並不構成，亦非旨在且不應被詮釋為要約或誘使買賣證券或任何投資產品。

18. Declaration By Licensed Person 持牌人聲明

I, the licensed person named below, have fully provided the contents of the Risk Disclosure Statement to the Client at the place stated below in a language of the Client's choice (English or Chinese).

本人為下述持牌人，已在下址用該客戶選擇的語言(英文或中文)，向該客戶充份提供本項風險披露聲明的內容。

I have also advised the Client that before the Client transacts any derivatives product the Client has to make sure that he/it has sufficient relevant knowledge and investment experience and I have invited the Client to ask questions and take independent advice if he/it so wishes. 本人已建議客戶在買賣任何衍生產品前，須確保其具備充份的相關知識及投資經驗，而本人已邀請客戶提出問題及徵求獨立的意見(如其有此意願)。

I have confirmed that client has provided all the required document for account opening. 本人確認客戶已提供所需的開戶文件。

<i>Print name of licensed person</i> 持牌人士正楷姓名	<i>CE Number of licensed person</i> 持牌人士的中央編號	<i>Signature of licensed person</i> 持牌人士簽署

Place at which risk disclosure statement explained 在上述地點解釋風險披露聲明

Execution not in the presence of employee of UOB Kay Hian (Hong Kong) Limited
並非在大華繼顯(香港)有限公司的員工見證下簽署

If the account opening documentation (including this Client Information Statement) in respect of the Account is not executed in the presence of an employee of UOB Kay Hian (Hong Kong) Limited, please arrange for other person licensed or registered with the Securities and Futures Commission, an affiliate of a licensed or registered person, a Justice of the Peace, or a professional person such as a branch manager of a bank, certified public accountant, lawyer or notary public to witness your signing of this Client Information Statement (at various places) and sight your identification documents and make the certification. 如戶口的開戶文件(包括此客戶資料表格)並非在大華繼顯(香港)有限公司的員工見證下簽署，請安排證券及期貨事務監察委員會的持牌人士或註冊人士、持牌人士或註冊人士的關聯方、太平紳士、或銀行分行經理、註冊會計師、律師或公證人等專業人士見證閣下(在不同位置上)簽署此客戶資料表格、檢查閣下的身份證明文件，並作出證明。

The required identification documents should be certified by any one of the following: 而要求的身份證明文件須按以下任何方式核證：

- (i) a solicitor practising in Hong Kong;
一名香港執業律師；
- (ii) a certified public accountant practising in Hong Kong;
一名香港執業會計師；
- (iii) a current member of The Hong Kong Institute of Chartered Secretaries practising in Hong Kong;
一名香港執業的香港特許秘書公會現有會員；
- (iv) a trust company registered under Part VIII of the Trustee Ordinance (Chapter 29 of the Laws of Hong Kong) carrying on trust business in Hong Kong;
一家根據《受託人條例》(香港法例第29章)第VIII部註冊，並在香港進行信託業務的信託公司；
- (v) an authorised institution under the Banking Ordinance (Chapter 155 of the Laws of Hong Kong);
《銀行條例》(香港法例第155章)下的認可機構；
- (vi) a licensed corporation under the Securities and Futures Ordinance (Chapter 571 of the Laws of Hong Kong);
《證券及期貨條例》(香港法例第571章)下的持牌法團；
- (vii) authorized insurer, appointed insurance agent or authorised insurance broker under the Insurance Companies Ordinance (Chapter 41 of the Laws of Hong Kong);
《保險公司條例》(香港法例第41章)下的獲授權保險人、獲委任保險代理人或獲授權保險經紀；
- (viii) a lawyer, a notary public, an auditor, a professional accountant, a trust or company service provider or a tax advisor practicing in a Financial Action Task Force (FATF) member / comparable jurisdiction acceptable to UOB Kay Hian (Hong Kong) Limited;
在打擊清洗黑錢財務行動特別組織(FATF)成員/大華繼顯(香港)有限公司接納的可比司法管轄區執業的律師、公證人、核數師、專業會計師、信託或公司服務供應商或稅務顧問；
- (ix) a member of the judiciary in a FATF member / comparable jurisdiction acceptable to UOB Kay Hian (Hong Kong) Limited; FATF
成員/大華繼顯(香港)有限公司接納的可比司法管轄區的司法機構成員；
- (x) an officer of an embassy, consulate or high commission of the country of issue of the passport; and
簽發護照的國家的大使館、領事館或高級專員公署的高級職員；及
- (xi) Justice of the Peace.
太平紳士。

The certifier must sign and date the copy document (printing his/her name clearly in capitals underneath) and clearly indicate his/her position. The certifier must state that it is a true and complete copy of the original (or words to similar effect).

核證人必須簽署副本文件並寫上日期(在下面以正楷清楚寫上其姓名，且清楚註明其職位)。核證人必須註明其為原件的真實及完整的副本(或具有類似作用的字眼)。

AUTHORISATION LETTER FROM MARGIN CLIENTS 保證金客戶發出之授權函件

Dear Sirs 敬啟者：

Standing Authority for Margin Accounts 保證金戶口常設授權

This letter of authority covers all securities deposited by or on my/our behalf with UOB Kay Hian (Hong Kong) Limited or any other person as security or collateral for the provision of financial accommodation by UOB Kay Hian (Hong Kong) Limited on my/our margin trading account with UOB Kay Hian (Hong Kong) Limited (“my/our securities collateral”). 本授權函件涵蓋代表本人/吾等存放於大華繼顯(香港)有限公司或其他人士作為抵押或抵押品的所有證券，藉此大華繼顯(香港)有限公司為本人/吾等在大華繼顯(香港)有限公司開立的保證金買賣戶口提供財務安排(「本人/吾等證券抵押品」)。

I/We in full understanding of the contents of this Authority hereby authorise:- 本人/吾等在完全明白本授權的內容下特此授權：

1. UOB Kay Hian (Hong Kong) Limited to deposit any of my/our securities collateral with an authorised institution (as defined by the Banking Ordinance) as collateral for financial accommodation provided to UOB Kay Hian (Hong Kong) Limited; 大華繼顯(香港)有限公司將任何本人/吾等證券抵押品存放於認可機構(根據《銀行條例》所作之定義)，作為向大華繼顯(香港)有限公司提供財務安排的抵押品；
2. UOB Kay Hian (Hong Kong) Limited to lend or deposit my/our securities collateral to or with (1) any person in accordance with the rules and regulations of The Stock Exchange of Hong Kong Limited (the “Exchange”) or (2) any person in accordance with rules and regulations of the Hong Kong Securities Clearing Company Limited (“HKSCC”) or (3) any person of a class specified in the rules of the Securities and Futures Commission (for the purposes of section 148 of the Securities and Futures Ordinance (Chapter 571 of the Laws of Hong Kong)); 大華繼顯(香港)有限公司將本人/吾等證券抵押品借予或存放於(1) 根據香港聯合交易所有限公司(「聯交所」)規則及規例下的任何人士或(2) 根據香港中央結算有限公司(「香港結算」)規則及規例下的任何人士或(3) 根據證券及期貨事務監察委員會規則下所載述有關類別的任何人士(就香港法例第 571 章證券及期貨條例第 148 條而言)；
3. UOB Kay Hian (Hong Kong) Limited to deposit my/our securities collateral with HKSCC as collateral for the discharge and satisfaction of UOB Kay Hian (Hong Kong) Limited’s clearing obligations and liabilities; 大華繼顯(香港)有限公司將本人/吾等證券抵押品存放於香港結算，作為該機構之抵押品，以履行並完成大華繼顯(香港)有限公司的結算責任；
4. UOB Kay Hian (Hong Kong) Limited to deposit my/our securities collateral with the SEHK Options Clearing House Limited as collateral in respect of UOB Kay Hian (Hong Kong) Limited’s transactions in or relating to options contracts. 大華繼顯(香港)有限公司將本人/吾等證券抵押品存放於聯交所期權結算所有限公司，作為大華繼顯(香港)有限公司的有關證券交易或期權合約的抵押品。
5. UOB Kay Hian (Hong Kong) Limited to do all acts and things which are necessary for or incidental to the performance of the above activities or any of them. 大華繼顯(香港)有限公司將進行履行上述活動或其中任何活動必須的所有行為及事情。

I/We declare, undertake and warrant that I/we have the absolute ownership of my/our securities collateral free from all liens, charges and encumbrances (save and except those that may be created under the Margin Client Agreement between me/us and UOB Kay Hian (Hong Kong) Limited) during the continuance in force of this Authority. 本人/吾等聲明、承諾及保證，在此授權繼續有效期間內，本人/吾等以沒有一切留置權、押記及產權負擔的方式(除在本人/吾等與大華繼顯(香港)有限公司訂立的保證金客戶協議下可能增設的該等留置權、押記及產權負擔外)，對本人/吾等的證券抵押品有絕對擁有權。

I/We hereby agree to indemnify and to keep indemnified, UOB Kay Hian (Hong Kong) Limited and its associated entity from and against all losses, damages, interests, costs, expenses, actions, demands, claims or proceedings of whatsoever nature which they (or any of them) may incur, suffer and/or sustain as a consequence of any transaction undertaken in pursuance of this Authority.

This Authority may be revoked by me/us at any time by serving on UOB Kay Hian (Hong Kong) Limited 30 days’ prior written notice to that effect. Such revocation shall not take effect until actual receipt by UOB Kay Hian (Hong Kong) Limited of such written notice and shall not affect any transaction undertaken by UOB Kay Hian (Hong Kong) Limited pursuant to this Authority prior to such revocation taking effect. 本人/吾等謹此同意向大華繼顯(香港)有限公司及其關聯實體彌償(並使大華繼顯(香港)有限公司及其關聯實體一直獲得彌償)其(或其中任何一方)因根據此授權進行的任何交易而可能產生、蒙受及/或持續的任何性質的所有損失、損害、利息、成本、開支、法律行動、付款要求、索償或法律程序。此授權可由本人/吾等在任何時間透過給予大華繼顯(香港)有限公司 30 天有關的事先書面通知撤回。在大華繼顯(香港)有限公司實際收到有關書面通知前，此項撤回將不會生效，而此項撤回將不影響在此項撤回生效前大華繼顯(香港)有限公司根據此項授權進行的任何交易。

Where I/we have not been classified as a “professional investor” pursuant to the Securities and Futures Ordinance (Chapter 571 of the Laws of Hong Kong), the UOB Kay Hian (Hong Kong) Limited shall treat any such Authority as effective up to and including the last day of the current calendar year and shall expire thereafter unless it has been renewed in the following manner: 如本人/吾等並未根據《證券及期貨條例》(香港法例第 571 章)被列為一名「專業投資者」，則大華繼顯(香港)有限公司將視任何有關授權為截至(及包括)本曆年的最後一天有效，而除非其已按以下方式重續，否則將在隨後屆滿：

- (1) before the expiry date, UOB Kay Hian (Hong Kong) Limited receives my/our consent in writing to renew such Authority for a period not exceeding 12 months; or 在屆滿日期前，大華繼顯(香港)有限公司接獲本人/吾等關於重續此授權的書面同意，而期間為不超過 12 個月；或

(2) such Authority shall be deemed to have been renewed if: 如出現以下情況，則該授權將被視作已重續：

(a) UOB Kay Hian (Hong Kong) Limited gives a written notice to me/us at least 14 days before the expiry of the Authority to inform me/us of the impending expiry and that the Authority will be renewed upon expiry for a period not exceeding 12 months on the same terms and conditions unless I/we object; and 大華繼顯(香港)有限公司在授權屆滿前至少 14 天向本人/吾等發出書面通知，告知本人/吾等到期日將至，而除非本人/吾等反對，否則該授權將按相同的條款及細則在屆滿時重續不超過 12 個月期間；而

(b) I/We do not object to the renewal of the Authority before its expiry. 本人/吾等不反對在授權屆滿前重續授權。

Where the Authority is deemed to have been renewed, UOB Kay Hian (Hong Kong) Limited will give me/us a written confirmation of the renewal of the Authority within one week after the expiry of the previous Authority. 如授權被視作已重續，則大華繼顯(香港)有限公司將在先前的授權屆後一個星期內向本人/吾等發出重續授權的書面確認。

Where I/we have been classified as a “professional investor” pursuant to the Securities and Futures Ordinance (Chapter 571 of the Laws of Hong Kong, UOB Kay Hian (Hong Kong) Limited shall treat any such Authority as continuing and it shall remain in effect unless and until specifically revoked by me/us in writing. 如本人/吾等根據《證券及期貨條例》(香港法例第 571 章) 被列為一名「專業投資者」，則除非及直至本人/吾等明確以書面撤回，否則大華繼顯(香港)有限公司將視任何有關授權為一項持續授權，而有關授權將一直有效。

Chinese version of this Authority is only for reference. The English version of this Authority shall prevail in the event of inconsistency between the two versions. 此授權的中文版僅供參考。如中英文本有任何歧義，須以此授權的英文本為準。

I/We confirm that this Authority has been explained to me/us and I/we fully understand the contents of this Authority and have sought, or have had the opportunity to seek legal advice concerning its contents and effect. This authority does not cover any consideration which I/we must pay or be paid for the lending or depositing by UOB Kay Hian (Hong Kong) Limited of any of my/our securities collateral. Any such consideration must be set in a separate agreement between me/us and UOB Kay Hian (Hong Kong) Limited. 本人/吾等確認已向本人/吾等解釋此授權，而本人/吾等完全明白本授權的內容，並已尋求(或已有機會尋求)關於其內容及作用的獨立法律意見。本授權函件並不涉及就本人/吾等因大華繼顯(香港)有限公司借、貸或存放本人/吾等任何證券抵押品而須支付或收取的任何代價。任何有關代價必須由本人/吾等與大華繼顯(香港)有限公司另行訂立協議中列載。

UOB Kay Hian (Hong Kong) Limited is accountable to me/us for the return of any securities lent or deposited under this authority. 有關根據本授權函件而借、貸或存放之證券，大華繼顯(香港)有限公司仍須向本人/吾等負責歸還。

I/We understand that a third party may have rights to my/our securities collateral, which UOB Kay Hian (Hong Kong) Limited must satisfy before my/our securities collateral can be returned to me/us. 本人/吾等明白本人/吾等的證券抵押品可能受制於第三者之權利，而大華繼顯(香港)有限公司須於全數抵償該等權利後，方可將本人/吾等的證券抵押品退回本人/吾等。

This authority is valid for a period of 12 months from the date hereof. 本授權函件自本函件日期起生效，有效期只為十二個月。

This letter has been fully explained to me/us and I/we understand the contents of this letter. 經已向本人/吾等解釋清楚本函件，而本人/吾等明白本函件的內容。

Yours faithfully 謹此

Account Holder 戶口持有人

Name of Client(s) 客戶姓名	Client's Signature(s) / Business Chop 客戶簽署/業務印章
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Dated this _____ of _____ of _____
日期 Day (日) Month (月) Year (年)

Date 日期: _____

Margin Account Name 保證金融資戶口名稱: _____

Client Applied Facility Limit 客戶申請融資限額: HK\$ 港幣 _____

Client Applied Facility Currencies 客戶申請融資幣別:

HKD 港幣 USD 美元 CNY 人民幣 Others 其他: _____

The margin trading facility ("Margin Facility") provided to you will be subject to availability of funds. The Margin Facility will be provided in accordance with the terms and conditions of your Margin Client Agreement (as may be varied, amended or supplemented from time to time. A copy of which is available on <http://www.utrade.com.hk>) and also subject to the terms and conditions set out herein. In the event of any inconsistency between the provisions of this letter and those of the Margin Client Agreement, the provisions herein shall prevail. 我們向閣下提供保證金融資(“保證金融資”)的安排將視乎本公司的資金狀況而定。是項保證金融資的提供將按照閣下所簽署的保證金戶口協議內的條款(經不時更改、修訂或補充、可經由 <http://www.utrade.com.hk> 取得)和此信貸融資書內的條款。若保證金戶口協議內的條款和此信貸融資書內的條款有所抵觸或不協調,則以此信貸融資書為準。

The Margin Facility is at all times to be secured by stocks, shares or any other securities acceptable to us as collateral. The loan outstanding should not be greater than the lower of: 無論任何時候包括交易時段,戶口的欠款不應比以下較低的一項為多:

- (i) the facility limit as stated in next page (the said limit is subject to variation at our sole discretion); and 次頁的融資限額(本公司有權隨時調整所述限額);
- (ii) such percentage of the value or the counter limit of each collateral, whichever is lower (as determined by us) of such collateral as shall be acceptable to us (such percentage and the basis of the calculation of such value is subject to variation at our sole discretion). 本公司接納的抵押品市值的某個百分點或每一抵押品之融資上限(以較低者為準)(由本公司決定,本公司有權隨時調整這某個百分點和計算的基礎)。

Interest will be charged on the outstanding loan balance at the Interest Rate as stated above and will be calculated on a daily basis compounded monthly and be payable by you on the last day of each calendar month and upon any demand being made by us. The Interest Rate is subject to variation at any time or times at our sole discretion. You will, of course, be advised of any changes in the Interest Rate except in the case when the prime rate changes. 戶口欠款需按上述利率計算每日利息,每月累計和需於每月最後的一天繳付,或按本公司要求而繳付。本公司有權於任何時間調整利率。除了優惠利率的更改,每當利率有任何變動,本公司定會通知閣下。

Despite any other provision of this letter, we shall be entitled, at any time or times by notice to you without giving any reason, to require immediate repayment of the outstanding loan and payment of interest and other amounts owing under the Margin Facility and/or to cancel the Margin Facility (our "Demand/Cancellation Rights"). 不論此融資書的任何條款,本公司有權於任何時候向閣下提出通知,不須任何理由,要求閣下立即償還欠款和利息和在此保證金融資內所欠任何款項,和/或取消是項保證金融資(本公司的要求/取消權力)。

Subject to our Demand/Cancellation Rights, the Margin Facility will be in force and be binding from the date of this application approved. 在確保本公司的要求/取消權力下,是項保證金融資將於此信貸融資申請書被批核的日期起生效。

We will not at any time be obliged to provide the Margin Facility to you. In particular, we may not provide any Margin Facility to you if any of the following circumstances should arise:- 我們在任何時間均無義務向閣下提供保證金融資。尤其,如出現以下任何一種情況,則我們可能不會向閣下提供任何保證金融資:-

- (i) you are in default of any provisions of the Margin Facility; 閣下違反保證金融資的任何條文;
- (ii) in our opinion there is or has been a material adverse change in your financial condition or in the financial condition of any person which might adversely affect your ability to discharge your liabilities or perform the Client's obligations under the Margin Facility; 我們認為,閣下的財務狀況或任何人士的財務狀況發生重大不利變動,並可能對閣下解除閣下的責任,或履行客戶在保證金融資下的義務的能力構成重大不利影響;
- (iii) making an advance would cause the applicable Facility Limit to be exceeded; or 提供墊款將導致超出適用的融資限額;或
- (iv) we in our absolute discretion considers it prudent or desirable to do so. 我們絕對酌情認為這樣做屬審慎及合適。

We reserve the right to assign any of our rights and to transfer any of our obligations in respect of the Margin Facility. You undertake to execute any novation or other agreement reasonably requested by us in order to effect such transfer or novation. 我們保留是項保證金融資的轉讓權。為方便本公司執行轉讓，閣下保證在我們合理的要求下會簽署和執行約務更新或任何協議。

This letter shall not be effective until such time as it is accepted and agreed to by us, such acceptance and agreement to be evidenced by the signature of one of our authorized signatories in the space provided below. 此信貸融資書不得生效，直至我們接納及協定的有關時間為止。此項接納及協議將由我們其中一名授權簽字人在以下提供的空白位置上簽署證明。

This letter shall be governed by and construed in accordance with the laws of the Hong Kong Special Administrative Region of the People's Republic of China. 此信貸融資書是以中華人民共和國香港特別行政區法律為依歸，受香港法律管制。

You will receive an offered terms after our approval. You understand that the submission and acceptance of this letter in no way implies approval for the margin limit and we reserve the unconditional right to reject this application without giving any reasons whatsoever. 閣下將會收到經本公司批核後的信貸條件。閣下需了解遞交與接受本信貸融資書並不代表融資限額的批核，本公司保留在不提供任何理由的情況下拒絕此申請的權利。

Chinese version of the Margin Facility is only for reference. The English version of the Margin Facility shall prevail in the event of inconsistency between the two versions. 保證金融資的中文本僅供參考。中英文本若有任何歧義，須以保證金融資的英文本為準。

If you have any query, please feel free to contact our Credit Department on telephone number +852 2521-8787. 如閣下有任何疑問，請聯絡我們的信貸部，電話是+852 2521-8787。

Yours faithfully 謹此

We hereby confirm our application and acceptance of the terms and conditions above.
吾等在此申請及同意接受此信貸申請及融資書內的各項條款。

Client Signature / Authorized Signatory (with Company Chop if applicable)
客戶簽署/獲授權簽署人士 (並蓋上公司印章如適用)

Dated this _____ of _____ of _____
日期 _____ Day (日) _____ Month (月) _____ Year (年)

Below will be filled in by UOB Kay Hian (HK) Limited 以下將由大華繼顯(香港)有限公司填寫

Facility Limit Offered by UOB Kay Hian 批准融資限額：HKD 港幣 _____

Interest Rate Offered by UOB Kay Hian 批准融資利率：

HKD 港幣：_____ % over Prime Rate or _____ % over cost of fund (as determined by us from time to time), whichever higher 最優惠利率 + _____ % 或資金成本 + _____ % (由本公司不時決定並取較高者)

USD 美元：_____ % over Prime Rate or _____ % over cost of fund (as determined by us from time to time), whichever higher 最優惠利率 + _____ % 或資金成本 + _____ % (由本公司不時決定並取較高者)

CNY 人民幣：_____ % over Prime Rate or _____ % over cost of fund (as determined by us from time to time), whichever higher 最優惠利率 + _____ % 或資金成本 + _____ % (由本公司不時決定並取較高者)

Others 其他：_____

FOR OFFICIAL USE ONLY 公司專用

AE Name	Commission					
	Hong Kong (HK\$)		US (US\$)		Other market (Specify):	
AE Code:	Manual	% Min \$	Manual	% Min \$	Manual	% Min \$
	Online	% Min \$	Online	% Min \$	Online	% Min \$
Approved by management:						
Client Introduced by	AE (tick) <input type="checkbox"/>					
	Staff (specify name):					
	Other Client (specify name):					
How long has the Client been known to the introducer?						
Do you know the Client personally?						
How long has the Client been known to you?						
<p>I hereby declare to the best of my knowledge and belief, that the information provided by the Client in this Client Trading Agreement is true, complete, and correct. I also confirmed that all the client signature is signed. I confirmed the date of certifying the supporting documents is the same as the date of this declaration unless I have specified the date of certification on each certified true copy of supporting document.</p>						
Signature by AE			Date			
Trading Limit Suggested :			Reward clicks to client(s)		Show reference cost on Statement	
Cash account	HK\$100,000	<input type="checkbox"/>	HK\$200,000	<input type="checkbox"/>		
Margin account	HK\$100,000	<input type="checkbox"/>	HK\$200,000	<input type="checkbox"/>		
Others: (Please specify)			Yes <input type="checkbox"/>		Yes <input type="checkbox"/>	
Reason for Proposal			No <input type="checkbox"/>		No <input type="checkbox"/>	
<p>If over HK\$200,000, pass to Credit Department or Management for approval</p>						
Approved by			Date:			
<p>Commission retained (Y / N)</p>						

Checked by Client Services Staff:

Date:

Date of Account Opening:

UOB Kay Hian

大華繼顯

UOB KAY HIAN (HONG KONG) LIMITED

大華繼顯 (香港) 有限公司

6/F Harcourt House, 39 Gloucester Road, Hong Kong | Tel: (852) 2136 1818 | Fax: (852) 2501 0726
www.uobkayhian.com.hk