

For Official Use Only 內部使用

Account No. 帳戶號碼：

A.E. Name 客戶主任姓名：

A/C Opening Date 開戶日期：

Account Opening Form

開戶表格



寶新證券有限公司
GLORY SUN SECURITIES LIMITED

香港灣仔港灣道26號華潤大廈23樓2309室

Room 2309, 23/F., China Resources Building, 26 Harbour Road, Wan Chai, Hong Kong

Tel 電話: (852) 2813 6828

Fax 傳真: (852) 2813 6618

Website 網址: hk1282sec.com

(寶新金融集團成員)

(Member of Glory Sun Financial Group Limited)

Glory Sun Securities Limited (“GSSL”)
寶新證券有限公司（「寶新」）

Account Type 帳戶類型		
Please tick where applicable 請在適當地方勾選	<input type="checkbox"/> Individual Account 個人帳戶 <input type="checkbox"/> Joint Account 聯名帳戶 <input type="checkbox"/> Corporate Account 公司帳戶	
Language Preference 語言選擇	<input type="checkbox"/> English 英文 <input type="checkbox"/> Traditional Chinese 繁體中文 <input type="checkbox"/> Simplified Chinese 簡體中文	
<input type="checkbox"/> Dealing in Securities 證券交易	<input type="checkbox"/> Cash Account 現金帳戶 <input type="checkbox"/> Margin Account 保證金帳戶 <input type="checkbox"/> Stock Options Account 股票期權帳戶	<input type="checkbox"/> Internet Trading 互聯網交易 [#] <input type="checkbox"/> Discretionary Trading (please complete Appendix I) 全權委託交易 (請填寫附件I)
<input type="checkbox"/> Asset Management (please complete Appendix I) 資產管理 (請填寫附件I)		
<input type="checkbox"/> Professional Investor Account 專業投資者帳戶 (Please also complete Individual/Corporate Professional Investor Assessment Form) (請額外填寫個人/法團專業投資者評估表格)		

[#] For internet trading, please provide valid email address 如透過互聯網交易，請提供有效電子郵件箱

I. For Individual / Joint Account 個人 / 聯名帳戶

1. Account Holders Information (For Individual / First Account Holder) 帳戶資料 (適用於個人 / 第一帳戶持有人)	
(1) Name (In English): Mr./Mrs./Ms. _____	姓名(中文): _____ 先生/女士/小姐
(2) ID Card / Passport No. 身份證 / 護照號碼: _____	Nationality 國籍: _____
(1st priority: HKID, 2nd priority: National ID, 3rd priority: Passport 第一優先: 香港身份證, 第二優先: 國民身份證, 第三優先: 護照)	
Place of Issue 簽發地: _____	
(3) Date of Birth 出生日期 (DD 日/MM 月/YYYY 年): _____	
(4) Place of Birth (Town / City / Country) 出生地點(鎮/城市/國家): _____	
(5) Home Address 住宅地址: _____	
(6) Correspondence Address: _____ 通訊地址: _____ (if different from home address (如與住宅地址不同))	
(7) Home Phone No. 住所電話: _____	Mobile Phone No. 手提電話: _____
(8) Education Level 教育程度: <input type="checkbox"/> Primary 小學 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Post Secondary 專上學院 <input type="checkbox"/> University or above 大學或以上	
(9) Email Address 電郵地址: _____	
Employment Status 就業情況	
<input type="checkbox"/> Employed 受僱* <input type="checkbox"/> Self-employed 自僱* <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Others 其他: _____	
*If choose Employed / Self-employed in Employment Status, please fill in the following information 如就業情況選擇受僱/自僱, 請填寫以下資料:	
(1) Name of Employer 僱主名稱: _____	
(2) Nature of Business 業務性質: _____	Occupation / Position 職業/職位: _____
(3) Years of Service 從業年期: _____	Office Phone No. 辦公室電話: _____
(4) Business Address 營業地址: _____	
Financial Background 財務背景:	
(1) Annual Income : <input type="checkbox"/> <HK\$ 100,000 <input type="checkbox"/> HK\$ 100,000 – HK\$ 300,000 <input type="checkbox"/> HK\$ 300,001 – HK\$ 500,000 年收入: <input type="checkbox"/> HK\$ 500,001 – HK\$ 1,000,000 <input type="checkbox"/> > HK\$ 1,000,000	
(2) Total Net Worth [#] : <input type="checkbox"/> <HK\$ 100,000 <input type="checkbox"/> HK\$ 100,000 – HK\$ 500,000 <input type="checkbox"/> HK\$ 500,001 – HK\$ 2,000,000 資產淨值 [#] : <input type="checkbox"/> HK\$ 2,000,001 – HK\$ 8,000,000 <input type="checkbox"/> > HK\$ 8,000,000 [#] Total net worth includes deposit, bonds, certificates of deposit, unit trusts and securities etc. 資產淨值包括存款、債券、存款證、基金、股票等。	
(3) Source of Fund 資金來源 (Can choose more than one categories 可選多於一項) <input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Investment Profit 投資利潤 <input type="checkbox"/> Business Profit 商業利潤 <input type="checkbox"/> Inheritance 遺產繼承 <input type="checkbox"/> Pension 退休金 <input type="checkbox"/> Sale of Assets or Property 出售資產 / 物業 <input type="checkbox"/> Others 其他: _____	
(4) Ownership of Property Asset 房產業權: <input type="checkbox"/> Yes 擁有 – 房產淨市值 (港元) ^{##} Net market value (HKD) ^{##} <input type="checkbox"/> < HK\$ 500,000 <input type="checkbox"/> HK\$ 500,000 – HK\$ 1,000,000 <input type="checkbox"/> HK\$ 1,000,001 – HK\$ 5,000,000 <input type="checkbox"/> > HK\$ 5,000,000 <input type="checkbox"/> No 沒擁有。 ^{##} Property's net market value after deduction of mortgage loan amount 房產市值減去按揭貸款金額的淨價值	
(5) Have you ever been bankrupt, or served with a bankruptcy petition? 你是否曾經破產或被送達要將你破產的申請? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	

Should there be any discrepancies between the English and the Chinese versions, the English version shall prevail.
如中英文版本之間有差異，以英文版本為準。

2. Account Holders Information (For Second Account Holder) 帳戶資料 (適用於第二帳戶持有人)

- (1) Name (In English): Mr./Mrs./Ms. _____ 姓名(中文): _____ 先生/女士/小姐
- (2) ID Card / Passport No. 身份證 / 護照號碼: _____ Nationality 國籍: _____
(1st priority: HKID, 2nd priority: National ID, 3rd priority: Passport 第一優先: 香港身份證, 第二優先: 國民身份證, 第三優先: 護照)
Place of Issue 簽發地: _____
- (3) Date of Birth 出生日期 (DD 日/MM 月/YYYY 年): _____
- (4) Place of Birth (Town / City / Country) 出生地點(鎮/城市/國家): _____
- (5) Home Address 住宅地址: _____
- (6) Correspondence Address: _____
通訊地址 (if different from home address (如與住宅地址不同))
- (7) Home Phone No. 住所電話: _____ Mobile Phone No. 手提電話: _____
- (8) Education Level 教育程度: ☐ Primary 小學 ☐ Secondary 中學
☐ Post Secondary 專上學院 ☐ University or above 大學或以上
- (9) Email Address 電郵地址: _____
- (10) Relationship with First Account Holder 與第一帳戶持有人關係: ☐ Relative 親戚 ☐ Friend 朋友 ☐ Others 其他
☐ Immediate family member, please specify 直系親屬, 請註明: _____
- (11) Required number of signatory for written directions in relation to operation of the account 就帳戶運作之書面指示所需簽字人:
☐ Anyone 任何一位 ☐ All Required 全部 ☐ Others 其他: _____
- Note: Each of the joint account holders is authorized to give verbal instructions and/or instructions through electronic media in relation to trading.
注意: 每一聯名帳戶持有人均有權為買賣出口頭指示或透過電子媒介發出指示。

Employment Status 就業情況

- ☐ Employed 受僱* ☐ Self-employed 自僱* ☐ Retired 退休 ☐ Others 其他: _____

*If choose Employed / Self-employed in Employment Status, please fill in the following information 如就業情況選擇受僱/自僱, 請填寫以下資料:

- (1) Name of Employer 僱主名稱: _____
- (2) Nature of Business 業務性質: _____ Occupation / Position 職業/職位: _____
- (3) Years of Service 從業年期: _____ Office Phone No. 辦公室電話: _____
- (4) Business Address 營業地址: _____

Financial Background 財務背景:

- (1) Annual Income: 年收入: ☐ <HK\$ 100,000 ☐ HK\$ 100,000 – HK\$ 300,000 ☐ HK\$ 300,001 – HK\$ 500,000
☐ HK\$ 500,001 – HK\$ 1,000,000 ☐ > HK\$ 1,000,000
- (2) Total Net Worth#: 資產淨值#: ☐ <HK\$ 100,000 ☐ HK\$ 100,000 – HK\$ 500,000 ☐ HK\$ 500,001 – HK\$ 2,000,000
☐ HK\$ 2,000,001 – HK\$ 8,000,000 ☐ > HK\$ 8,000,000

#Total net worth includes deposit, bonds, certificates of deposit, unit trusts and securities etc. 資產淨值包括存款、債券、存款證、基金、股票等。

- (3) Source of Fund 資金來源 (Can choose more than one categories 可選多於一項)
☐ Salary 薪金 ☐ Investment Profit 投資利潤 ☐ Business Profit 商業利潤 ☐ Inheritance 遺產繼承 ☐ Pension 退休金
☐ Sale of Assets or Property 出售資產/物業 ☐ Others 其他: _____
- (4) Ownership of Property Asset 房產業權:
☐ Yes 擁有 – 房產淨市值 (港元)## Net market value (HKD)##
☐ < HK\$ 500,000 ☐ HK\$ 500,000 – HK\$ 1,000,000 ☐ HK\$ 1,000,001 – HK\$ 5,000,000 ☐ > HK\$ 5,000,000
☐ No 沒擁有。
Property's net market value after deduction of mortgage loan amount 房產市值減去按揭貸款金額的淨價值
- (5) Have you ever been bankrupt, or served with a bankruptcy petition? 你是否曾經破產或被送達要將你破產的申請?
☐ Yes 是 ☐ No 否

3. Tax Residency 稅務居民資料

Jurisdiction of Residence and Taxpayer Identification Number or Its Functional Equivalent ("TIN") 居留司法管轄區及稅務編號或具有等同功能的識別編號(以下簡稱「稅務編號」)

Please 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 Tax Identification Number (TIN) for each jurisdiction indicated. Indicate all (not restricted to three) jurisdictions of residence.

請提供以下資料，列明(a)帳戶持有人的居留司法管轄區(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3個)居留司法管轄區。

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	*Reason for no TIN (Reason A, B or C) 沒有稅務編號的理由 (理由A、B或C)	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選擇理由B，解釋帳戶持有人不能取得稅務編號的原因
First A/C Holder 第一帳戶持有人			
(1)			
(2)			
(3)			
Second A/C Holder 第二帳戶持有人			
(1)			
(2)			
(3)			

* Reason A: The country/jurisdiction where you are a resident for tax purposes does not issue TINs to its residents.

理由A – 閣下所屬的稅務居民的國家／司法管轄區沒有向其居民發出稅務編號。

Reason B: You are unable to obtain a TIN. Explain why you are unable to obtain a TIN if you have selected this reason.

理由B – 閣下無法獲得稅務編號。如選擇此理由，請解釋閣下無法獲得稅務編號的原因。

Reason C: No TIN is required. Select this reason only if the authorities of the country of tax residence do not require the TIN to be disclosed.

理由C – 無需稅務編號。稅務居民國家的主管機關不需要閣下披露稅務編號。

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by Glory Sun Securities Limited for the purpose of automatic exchange of financial account information, and (b) such information regarding the account holder and any reportable account(s) may be reported by Glory Sun Securities Limited to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another country or countries 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，寶新證券有限公司可根據《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，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。

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

本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人簽署本表格。

I undertake to advise Glory Sun Securities Limited of any change in circumstances which affects the tax residency status of the individual identified in this form or causes the information contained herein to become incorrect, and to provide Glory Sun Securities Limited with a suitably updated self-certification form within 30 days of such change in circumstances.

本人承諾，如情況有所改變，以致影響本表格所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知寶新證券有限公司，並會在情況發生改變後30日內，向寶新證券有限公司提交一份已適當更新的自我證明表格。

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

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

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance of Hong Kong 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：根據香港《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。

4. Method of Account Statement Delivery 帳戶結單發送方式

Daily and monthly statement to be sent to 日結單及月結單透過以下方式發送：

☐ By E-mail 電子郵件 ☐ Home address by post 郵寄到住宅地址* ☐ Business address by post 郵寄到營業地址*

* Note: 1. For joint account, all correspondences will be sent to the mailing address of the **first account holder**.

注意：聯名帳戶的所有通訊只會寄予**第一帳戶持有人**之郵寄地址。

2. A monthly administration fee will be charged if you have chosen account statement delivery by post. For details of fee/charges, please refer to our website: www.hk1282sec.com

如閣下選擇以郵寄方式收取結單，本公司將向閣下收取每月行政費用，收費詳情請參閱本公司網頁：www.hk1282sec.com。

5. Ultimate Beneficial Owner(s) 最終實益擁有人	
I/We am/are the ultimate beneficial owner(s) of the account. 本人/吾等是該帳戶之最終實益擁有人。	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No [#] , please specify: 否 [#] , 請註明: Name of ultimate beneficiary 最終實益擁有人姓名: _____ HKID / Passport no. 身份證/護照號碼: _____ Home Address 住宅地址: _____
6. Person(s) Ultimately Responsible for Originating the Instruction 最初負責發出交易指示人士	
I/We am/are the person(s) ultimately responsible for originating the instruction in relation to the transaction of the account. 本人/吾等是該帳戶之最初負責發出交易指示的人士。	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No [#] , please specify: 否 [#] , 請註明: Name of the person ultimately responsible for originating the instruction 最初負責發出交易指示人士的姓名: _____ HKID / Passport no. 身份證/護照號碼: _____ Home Address 住宅地址: _____
# If the answer above is NO, please answer: # 如上述回答否, 請回答:	Is/are the person(s) stated above a U.S. citizen or resident? 上述提及的人士是否美國公民或居民? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 Name of the person(s) 該人士姓名: _____ Is/are the person(s) stated above born in U.S.? 上述提及的人士是否在美國出生? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 Name of the person(s) 該人士姓名: _____

7. Disclosure of Related Identity 相關身份披露		
	First A/C Holder 第一帳戶持有人	Second A/C Holder 第二帳戶持有人
(1) Is the Client a Licensed or Registered Person or a director, employee, representative or agent of a Licensed or Registered Person of the Hong Kong Securities and Futures Commission? 客戶是否香港證券及期貨事務監察委員會的持牌或註冊人士, 或任何持牌或註冊人士的董事、員工、代表或代理人? <i>(If yes, please provide the written consent from the Employer for this account opening. 如回答是, 請提供就開立本帳戶之僱主同意書。)</i>	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 Name of Licensed or Registered Person 持牌或註冊人士姓名: _____ CE No. 中央編號: _____	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 Name of Licensed or Registered Person 持牌或註冊人士姓名: _____ CE No. 中央編號: _____
(2) Is the Client, the ultimate beneficial owner(s) of the account and/or the ultimate person(s) responsible for giving instructions for the account, an immediate family member(s) of any director or employee of Glory Sun Securities Limited, Glory Sun Financial Group Limited or its group companies? 客戶、本帳戶之最終實益擁有人及/或最終負責發出指示人士, 是否寶新證券有限公司, 寶新金融集團有限公司或其有聯繫公司之董事/員工的直系家庭成員?	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 Name of director / employee 該董事/員工之姓名: _____ Relationship 關係: _____	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 Name of director / employee 該董事/員工之姓名: _____ Relationship 關係: _____
(3) Is the spouse of the Client a margin client of Glory Sun Securities Limited? 客戶的配偶是否寶新證券有限公司的保證金客戶?	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 Name of margin client 保證金客戶姓名: _____ Account no. 帳戶號碼: _____	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 Name of margin client 保證金客戶姓名: _____ Account no. 帳戶號碼: _____
(4) Is the Client and/or his/her spouse controlling 35% or above of the shareholding or voting rights of another margin client of Glory Sun Securities Limited? 客戶及/或其配偶, 是否於寶新證券有限公司的另一位保證金客戶中控制其百分之三十五或以上股權或表決權?	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 Name of margin client 保證金客戶姓名: _____ Account no. 帳戶號碼: _____	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 Name of margin client 保證金客戶姓名: _____ Account no. 帳戶號碼: _____

II. For Corporate Account 公司帳戶

8. Corporate Information 公司資料

- (1) Company Name (In English): _____
公司名稱(中文): _____
- (2) Trading Name 營業名稱: (if different from company name 如與公司名稱不同) _____
- (3) Account Name 帳戶名稱: (if different from company name 如與公司名稱不同) _____
- (4) Company Incorporation No. 公司註冊號: _____ Place of Incorporation 公司註冊地: _____
- (5) Business Registration No. 商業登記號: _____ Nature of Business 業務性質: _____
Legal Entity Identifier (LEI) _____ Date of Incorporation 公司註冊日期 _____
- (6) 法律實體識別編碼: _____ (DD 日/MM 月/YYYY 年): _____
- (* 1st Priority: LEI, 2nd Priority: Company Incorporation No., 3rd Priority: Business Registration. 第一優先: LEI, 第二優先: 公司註冊號, 第三優先: 商業登記號)
- (7) Registered Address 註冊地址: _____
Principal Business Address 主要營業地址: (if different from registered address 如與註冊地址不同) _____
- Correspondence Address 通訊地址: (if different from principal business address 如與註冊主要營業地址不同) _____

- (8) Phone No. 電話號碼: _____ Fax No. 傳真號碼: _____
- (9) Email Address 電郵地址: _____
* If more than one email address are provided, password for internet trading will only be sent to the first email address
如提供多於一個電郵地址, 網上交易密碼只會發送到第一個電郵地址。
- (10) Process Agent (For Overseas Client) 法律程序代理人 (如屬海外客戶): _____
- (11) Daily and monthly statement to be sent to 日結單及月結單透過以下方式發送:
☐ By post to registered address 郵寄至註冊地址 ☐ By post to principal business address 郵寄至主要營業地址
☐ By post to correspondence address 郵寄至通訊地址 ☐ By E-mail 電子郵件

Financial Background 財務背景

- (12) Authorized Share Capital 註冊資本 (HK\$): _____ Paid-up Share Capital 實繳資本 (HK\$): _____
- (13) Profit After Tax 稅後盈利: ☐ <HK\$100,000 ☐ HK\$100,000 – HK\$300,000 ☐ HK\$300,001 – HK\$500,000
☐ HK\$500,001 – HK\$1,000,000 ☐ >HK\$1,000,000
- (14) Total Net Asset 資產淨值: ☐ <HK\$100,000 ☐ HK\$100,000 – HK\$500,000 ☐ HK\$500,001 – HK\$2,000,000
☐ HK\$2,000,001 – HK\$8,000,000 ☐ HK\$8,000,001 – HK\$40,000,000 ☐ >HK\$40,000,000
- (15) Source of Fund (Describe the activity from which, the Client's monies are derived) 資金來源 (說明投資資金從哪類活動獲得)
☐ Investment Income 投資收入 ☐ Business Profit 營業溢利 ☐ Shareholder Fund 股東資金
☐ Dividend 股息 / Interest 利息 ☐ Loan 貸款 ☐ Others 其他: _____

Account Operation Authorization 帳戶操作授權

- ☐ Any written instructions (if applicable, together with company chop) given by any _____ of the following person(s) sign **singly/jointly*** shall be valid for operating the account and not limited to giving payment instructions.
任何下列 _____ 名獲授權人士有權**單獨/聯名***簽署操作有關該帳戶之書面指示, 包括但不限於付款及交付指示, 並在需要時加蓋公司印章。

* Please delete as appropriate. 請刪去不適用者。

Name of Authorized Person 獲授權人士姓名	ID / Passport No. 身分證/ 護照號碼	Contact Phone No. 聯絡電話	Signature Specimen 簽名樣式

Note: Unless otherwise indicated, each of the authorized person is authorized to give verbal instructions and/or instructions through electronic media in relation to trading.
注意: 除非另有指示, 每一獲授權人士均有權為買賣發出口頭指示或透過電子媒介發出指示。

Specimen of Company Chop 公司印章樣式:

All Directors 所有董事

Name of Director 董事姓名	ID/Passport No 身份證/護照號碼	Address 地址

Ultimate Beneficial Owner(s)* (not applicable to listed company) 最終實益擁有人* (不適用於上市公司)

Beneficial 最終實益擁有人	ID/Passport No 身份證/護照號碼	% of Interest 權益百分比	Address 地址

*The individuals who hold more than 25% of the ultimate beneficial interest of the Company *擁有百分之二十五以上的公司最終權益擁有人

9. Tax Residency 稅務居民資料

A. Entity Type 實體類別

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

Financial Institution 財務機構	<input type="checkbox"/> Custodial Institution, Depository Institution or Specified Insurance Company 託管機構、存款機構或指明保險公司 <input type="checkbox"/> 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 country 投資實體，但不包括由另一財務機構管理（例如：擁有酌情權管理投資實體的資產）並位於非參與稅務國家的投資實體
Active Non Financial Entity (NFE) 主動非財務實體	<input type="checkbox"/> NFE the stock of which is regularly traded on _____, which is an established securities market 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 <input type="checkbox"/> Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market _____的有關連實體，該有關連實體的股票經常 _____（一個具規模證券市場）進行買賣 <input type="checkbox"/> NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities 政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體 <input type="checkbox"/> Active NFE other than the above (Please specify) 除上述以外的主動非財務實體（請說明）_____
Passive Non Financial Entity (NFE) 被動非財務實體	<input type="checkbox"/> Investment entity that is managed by another financial institution and located in a non-participating country 位於非參與稅務國家並由另一財務機構管理的投資實體 <input type="checkbox"/> NFE that is not an active NFE 不屬主動非財務實體的非財務實體

B. Jurisdiction of Residence and Taxpayer Identification Number or Its Functional Equivalent ("TIN")

居留司法管轄區及稅務編號或具有等同功能的識別編號（以下簡稱「稅務編號」）

Please 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 Tax Identification Number (TIN) for each jurisdiction indicated. Indicate all (not restricted to three) jurisdictions of residence. 請提供以下資料，列明 (a) 帳戶持有人的居留司法管轄區（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3個）居留司法管轄區。

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	*Reason for no TIN (Reason A, B or C) 沒有稅務編號的理由 (理由A、B或C)	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選擇理由B，解釋帳戶持有人不能取得稅務編號的原因

* Reason A: The country/jurisdiction where you are a resident for tax purposes does not issue TINs to its residents.

理由A – 閣下所屬的稅務居民的國家/司法管轄區沒有向其居民發出稅務編號。

Reason B: You are unable to obtain a TIN. Explain why you are unable to obtain a TIN if you have selected this reason.

理由B – 閣下無法獲得稅務編號。如選擇此理由，請解釋閣下無法獲得稅務編號的原因。

Reason C: No TIN is required. Select this reason only if the authorities of the country of tax residence do not require the TIN to be disclosed.

理由C – 無需稅務編號。稅務居民國家的主管機關不需要閣下披露稅務編號。

C. Controlling Persons 控權人

Please indicate the name of ALL controlling person(s) hold 25% or more shareholder / ultimate beneficial owner 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 this part if the entity account holder is a passive NFE**

***Complete Self-Certification Form – Controlling Person for each controlling person.**

請就帳戶持有人，填寫所有控權人擁有百分之二十五或以上之股東/最終實益擁有人的姓名在列表內。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。

***如實體帳戶持有人是被動非財務實體，請填寫此部。**

***每名控權人須分別填寫一份自我證明表格 – 控權人。**

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

I/We acknowledge and agree that (a) the information contained in this form is collected and may be kept by Glory Sun Securities Limited for the purpose of automatic exchange of financial account information, and (b) such information regarding the account holder and any reportable account(s) may be reported by Glory Sun Securities Limited to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another country or countries 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/吾等知悉及同意，寶新證券有限公司可根據《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。從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。

I/We certify that I am/we are the authorized to sign for the account holder of all the account(s) to which this form relates.

本人/吾等證明，就與本表格所有相關的帳戶，本人/吾等獲帳戶持有人授權簽署本表格。

I/We undertake to advise Glory Sun Securities Limited of any change in circumstances which affects the tax residency status of the entity identified in this form or causes the information contained herein to become incorrect, and to provide Glory Sun Securities Limited with a suitably updated self-certification form within 30 days of such change in circumstances.

本人/吾等承諾，如情況有所改變，以致影響本表格所述的實體的稅務居民身分，或引致本表格所載的資料不正確，本人/吾等會通知寶新證券有限公司，並會在情況發生改變後 30 日內，向寶新證券有限公司提交一份已適當更新的自我證明表格。

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

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

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance of Hong Kong 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：根據香港《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。

10. Disclosure of Related Identity 相關身份披露

- (1) Is the Company, any of the Company's directors/major shareholders/authorized signatories and/or the ultimate beneficial owners of the account, a Licensed or Registered Person or a director, employee representative or agent of a Licensed or Registered Person of the Hong Kong Securities and Futures Commission?

貴公司、其任何一位董事／主要股東／授權簽字人／帳戶最終實益擁有人，是否香港證券及期貨事務監察委員會的持牌或註冊人士，或任何持牌或註冊人士的董事、員工代表或代理人？

☐ No 否 ☐ Yes 是 Name of Licensed or Registered Person 持牌或註冊人士姓名: _____ CE No. 中央編號: _____

(If yes, please provide the written consent from the Employer for this account opening. 如回答是，請提供就開立本帳戶之僱主同意書。)

- (2) Is any of the Company's directors/major shareholders/authorized signatories and/or the ultimate beneficial owner(s) of the account, an immediate family member(s) of any director or employee of Glory Sun Securities Limited, Glory Sun Financial Group Limited or its associated companies?

貴公司任何一位董事／主要股東／授權簽字人／帳戶最終實益擁有人，是否寶新證券有限公司、寶新金融集團有限公司或其有聯繫公司之董事／員工的直系家庭成員？

☐ No 否 ☐ Yes 是 Name of director / employee 該董事／員工之姓名: _____ Relationship 關係: _____

- (3) Is any of the Company's directors/major shareholders/authorized signatories/associated companies a margin client of Glory Sun Securities Limited? 貴公司任何一位董事／主要股東／授權簽字人／有聯繫公司，是否寶新證券有限公司的保證金客戶？

☐ No 否 ☐ Yes 是 Name of margin client 保證金客戶姓名: _____ Account no. 帳戶號碼: _____

- (4) Is the Company or any of its directors/major shareholders/authorized signatories controlling 35% or above of the shareholding or voting rights of another margin client of Glory Sun Securities Limited? 貴公司、其任何一位董事／主要股東／授權簽字人，是否於寶新證券有限公司的另一位保證金客戶中控制其百分之三十五或以上股權或表決權？

☐ No 否 ☐ Yes 是 Name of margin client 保證金客戶姓名: _____ Account no. 帳戶號碼: _____

III. For All Accounts 所有帳戶

11. Bank Account Information 銀行帳戶資料			
Currency 貨幣	Bank Name 銀行名稱	Bank A/C No. 帳戶號碼	Bank A/C Name 銀行帳戶名稱

Investor Settlement Instruction 投資者交收指示

Please receive and/or deliver my/our stock(s) from below CCASS Participant account
請從以下中央結算系統參與者帳戶接收/交付本人/吾等之股票

CCASS Participant ID* 中央結算系統參與者編號*: _____

* The name of CCASS Participant must be exactly the same as the account name with GSSL. 中央結算系統參與者名稱必須與閣下在實新開立的帳戶名稱相同。

12. Investment Experience & Derivative Products Knowledge 投資經驗及衍生產品認識		
For Corporate Account: Please complete this part by the ultimate person(s) who control(s) the account or make(s) investment decision 公司客戶: 請由負責掌管帳戶或作出投資決策的最終控制者填寫此部份		
	Corporate / First Account Holder 公司 / 第一帳戶持有人	Second Account Holder 第二帳戶持有人
(1) Investment Objectives (Select one only) 投資目的 (只選一項)	<input type="checkbox"/> Capital appreciation 增值 <input type="checkbox"/> Capital preservation 保本 <input type="checkbox"/> Current income 收入 <input type="checkbox"/> Others 其他: _____	<input type="checkbox"/> Capital appreciation 增值 <input type="checkbox"/> Capital preservation 保本 <input type="checkbox"/> Current income 收入 <input type="checkbox"/> Others 其他: _____
(2) Investment Horizon 投資年期	<input type="checkbox"/> Below 1 year 少於一年 <input type="checkbox"/> 1-3 years 一至三年 <input type="checkbox"/> Above 3 years 三年以上	<input type="checkbox"/> Below 1 year 少於一年 <input type="checkbox"/> 1-3 years 一至三年 <input type="checkbox"/> Above 3 years 三年以上
(3) Knowledge of Structured and Derivative Products# 對結構性及衍生產品之認識#	<input type="checkbox"/> I have NO knowledge of structured and/or derivative products. 本人並未有結構性及/或衍生產品之認識。 <input type="checkbox"/> I understand the nature and risks of structured and / or derivative products through### 本人了解結構性及/或衍生產品的性質及風險### <input type="checkbox"/> Underwent relevant training or attended courses on structured and/or derivative products 曾接受有關結構性及/或衍生產品的培訓或修讀有關課程 <input type="checkbox"/> Current or previous work experience related to structured and/or derivative products 現時或過去擁有與結構性及/或衍生產品有關的工作經驗 <input type="checkbox"/> Executed five or more transactions within the past three years in structured and/or derivative products (whether traded on an exchange or not) 於過去3年曾執行5次或以上有關結構性及/或衍生產品的交易 (不論是否在交易所買賣)	<input type="checkbox"/> I have NO knowledge of structured and/or derivative products. 本人並未有結構性及/或衍生產品之認識。 <input type="checkbox"/> I understand the nature and risks of structured and / or derivative products through### 本人了解結構性及/或衍生產品的性質及風險### <input type="checkbox"/> Underwent relevant training or attended courses on structured and/or derivative products 曾接受有關結構性及/或衍生產品的培訓或修讀有關課程 <input type="checkbox"/> Current or previous work experience related to structured and/or derivative products 現時或過去擁有與結構性及/或衍生產品有關的工作經驗 <input type="checkbox"/> Executed five or more transactions within the past three years in structured and/or derivative products (whether traded on an exchange or not) 於過去3年曾執行5次或以上有關結構性及/或衍生產品的交易 (不論是否在交易所買賣)
# Structured and/or Derivative product(s) includes, but not limited to, Callable Bull / Bear Contracts, Derivative Warrants, Equity Linked Instruments / Notes, Exchange Traded Convertible Bonds, Futures and Options and Stock Options, etc. 結構性及/或衍生產品包括 (但不限於) 牛熊證, 衍生認股證, 股票掛鉤產品, 交易所買賣換股債券, 期貨及期權與股票期權等。 ### For clients do not have any of above mentioned knowledge and experience, such clients will be considered as without knowledge of structured and/or derivatives product(s). Before trading in structured and/or derivative product(s), the attention of the Client is drawn to the risks associated with structured and/or derivative product(s) (as described in the Risk Disclosure Statement). 如客戶沒有以上任何一項經驗及認識, 客戶將被視作沒有結構性及/或衍生產品認識。在客戶買賣結構性及/或衍生產品之前, 客戶需要留意結構性及/或衍生產品交易有關風險(如風險披露聲明所述)。		
(4) Investment Experience 投資經驗	Year of experience 投資年資	
Stocks 股票	<input type="checkbox"/> Nil 沒有 <input type="checkbox"/> <1 <input type="checkbox"/> 1-2 <input type="checkbox"/> >2	
Warrants 認股證	<input type="checkbox"/> Nil 沒有 <input type="checkbox"/> <1 <input type="checkbox"/> 1-2 <input type="checkbox"/> >2	
Options 期權	<input type="checkbox"/> Nil 沒有 <input type="checkbox"/> <1 <input type="checkbox"/> 1-2 <input type="checkbox"/> >2	
Futures contracts 期貨	<input type="checkbox"/> Nil 沒有 <input type="checkbox"/> <1 <input type="checkbox"/> 1-2 <input type="checkbox"/> >2	
Unit trusts / mutual funds 單位信託基金/互惠基金	<input type="checkbox"/> Nil 沒有 <input type="checkbox"/> <1 <input type="checkbox"/> 1-2 <input type="checkbox"/> >2	

Other investment products (please specify) 其他投資產品(請說明)	<input type="checkbox"/> Nil 沒有 <input type="checkbox"/> <1 <input type="checkbox"/> 1 – 2 <input type="checkbox"/> >2	<input type="checkbox"/> Nil 沒有 <input type="checkbox"/> <1 <input type="checkbox"/> 1 – 2 <input type="checkbox"/> >2
(5) Frequency of trades 交易頻率	Per Annum每年	
Stocks 股票	<input type="checkbox"/> <10 <input type="checkbox"/> 10 – 40 <input type="checkbox"/> >40	<input type="checkbox"/> <10 <input type="checkbox"/> 10 – 40 <input type="checkbox"/> >40
Warrants 認股證	<input type="checkbox"/> <10 <input type="checkbox"/> 10 – 40 <input type="checkbox"/> >40	<input type="checkbox"/> <10 <input type="checkbox"/> 10 – 40 <input type="checkbox"/> >40
Options 期權	<input type="checkbox"/> <10 <input type="checkbox"/> 10 – 40 <input type="checkbox"/> >40	<input type="checkbox"/> <10 <input type="checkbox"/> 10 – 40 <input type="checkbox"/> >40
Futures contracts 期貨	<input type="checkbox"/> <10 <input type="checkbox"/> 10 – 40 <input type="checkbox"/> >40	<input type="checkbox"/> <10 <input type="checkbox"/> 10 – 40 <input type="checkbox"/> >40
Unit trusts / mutual funds 單位信託基金/互惠基金	<input type="checkbox"/> <10 <input type="checkbox"/> 10 – 40 <input type="checkbox"/> >40	<input type="checkbox"/> <10 <input type="checkbox"/> 10 – 40 <input type="checkbox"/> >40
Other investment products (please specify) 其他投資產品(請說明)	<input type="checkbox"/> <10 <input type="checkbox"/> 10 – 40 <input type="checkbox"/> >40	<input type="checkbox"/> <10 <input type="checkbox"/> 10 – 40 <input type="checkbox"/> >40

13. Other Information 其他資料

How did you learn about Glory Sun Securities Limited? 閣下是從何處認識寶新證券有限公司?

☐ Referral 親友轉介 ☐ Seminars 講座 ☐ Advertisement 廣告 ☐ Websites 網站 ☐ Others 其他 _____

14. Declaration of US / Non-US Person Status 美國/非美國人士狀況聲明

Corporate / First Account Holder 公司 / 第一帳戶持有人	Second Account Holder 第二帳戶持有人
<input type="checkbox"/> Yes, I/we hereby confirm that I am/we are the “U.S. Person” as defined by the Internal Revenue Service (“IRS”) of the United States of America. (Please complete W-9 Form) 是，本人/吾等確認為美國國家稅務局定義之「美國人士」。(請填寫W-9表格)	<input type="checkbox"/> Yes, I/we hereby confirm that I am/we are the “U.S. Person” as defined by the Internal Revenue Service (“IRS”) of the United States of America. (Please complete W-9 Form) 是，本人/吾等確認為美國國家稅務局定義之「美國人士」。(請填寫W-9表格)
<input type="checkbox"/> No, I/we hereby represent and warrant my/our identity as not being a “U.S. Person” as defined by the Internal Revenue Service (“IRS”) of the United States of America. 否，本人/吾等確認及保證本人/吾等並非美國國家稅務局定義之「美國人士」。	<input type="checkbox"/> No, I/we hereby represent and warrant my/our identity as not being a “U.S. Person” as defined by the Internal Revenue Service (“IRS”) of the United States of America. 否，本人/吾等確認及保證本人/吾等並非美國國家稅務局定義之「美國人士」。

If circumstances arise which cause doubt to my/our identity as not being a “U.S. Person”, I/we undertake to notify GSSL and to submit to GSSL such relevant documents and information within 30 days of the occurrence of such circumstances for the purpose of verifying my/our identity as not being a “U.S. Person”. In case of change of my/our identity to a “U.S. Person”, I/we undertake to notify GSSL and to submit to GSSL such relevant documents and information including but not limited to a completed IRS Form W-9 within 30 days of the occurrence of such change.

如情況變更以致影響本人非美國人士身份的確定性，本人/吾等承諾將於 30 天內通知寶新，並同意向寶新提供與該身份相關的證明文件，以確認本人/吾等並非美國國家稅務局定義之美國人士。如本人/吾等的身份改變為美國人士，本人/吾等承諾將於發生該變更起計的 30 天內通知寶新，並同意向寶新提供填妥之美國國家稅務局 W-9 表格及任何其他寶新要求與該身份相關的證明文件。

I/We hereby agree that GSSL takes no responsibility of whatever nature in relation to my/our tax matters and/or any legal /tax advice provided to me/us by any third party.

本人/吾等確認及同意寶新對本人/吾等之任何稅務或任何由第三方向本人/吾等所提供之法律或稅務意見均無任何責任。

Client Signature & Chop (for corporate):

客戶簽署及印章(如屬公司): _____

Date

日期: _____

15. Client Money Standing Authority 客戶款項常設授權

This authority (“**Authority**”) is given pursuant to the Securities and Futures (Client Money) Rules, which covers money held or received by GSSL in Hong Kong in one or more segregated account(s) on my/our behalf (the “**Monies**”).

此授權（「授權」）根據《證券及期貨（客戶款項）規則》涵蓋寶新為本人/吾等在香港持有或收取並存放於一個或多個獨立帳戶內的款項（「款項」）。

Unless otherwise defined, all terms or expressions used in this Authority shall have the same meanings as set out in the Securities and Futures Ordinance and the Securities and Futures (Client Money) Rules as amended from time to time.

除文義另有所指外，於本授權內的任何名詞或表述方式，與不時修訂的《證券及期貨條例》及《證券期貨（客戶款項）規則》之定義具有相同意思。

I/We hereby authorize GSSL to do any of the following without giving me/us notice (unless instructed otherwise):

本人/吾等謹此授權寶新在無須向本人/吾等發出通知的情況下作出以下任何行動（除非另有指示）：

- (i) combine or consolidate any or all segregated accounts, of any nature whatsoever and either individually or jointly with others, maintained by GSSL from time to time and may transfer any sum of Monies to and between such segregated account(s) to satisfy the my/our obligations or liabilities to GSSL, whether such obligations and liabilities are actual or contingent, primary or collateral, secured or unsecured, or joint or several; and

組合或合併本人/吾等於寶新所開設及持有任何獨立帳戶，此等組合或合併活動可以個別地或與其他帳戶聯合進行，可將該等獨立帳戶內任何數額之款項作出轉移，以解除本人/吾等對寶新的義務或法律責任，不論此等義務和法律責任是確實或突然的、原有或附帶的、有抵押或無抵押的、共同或分別的；

- (ii) transfer any sum of Monies to any trading/clearing/settlement account(s) maintained by GSSL with its agent broker(s) and/or clearing agent(s) in Hong Kong or overseas for purpose of dealings in securities/options or meeting my/our obligations to meet settlement or margin requirements in respect of such dealings for and on behalf of me/us;

將任何數額之款項轉帳至寶新於其香港或海外代理經紀人及/或清算代理人開立的任何交易/結算/交收帳戶，以代本人/吾等進行證券/期權交易或履行本人/吾等須就該等交易滿足的交收或保證金要求的義務；

- (iii) transfer any sum of Monies interchangeably between any of the segregated account(s) maintained at any time by GSSL; and
從寶新於任何時候維持的獨立帳戶之間來回調動任何數額之款項；及

- (iv) exchange my/our Monies into any other currency(ies) at the rate of exchange conclusively determined by GSSL.

將本人/吾等的款項以寶新最終確定的匯率兌換成任何其他貨幣。

This Authority is given to GSSL in consideration of its agreeing to continue to maintain one or more trading account(s) for me/us.

本授權的授予建基於寶新同意繼續為本人/吾等保持一個或多個交易帳戶。

This Authority is given without prejudice to other authorities or rights which GSSL may have in relation to dealing in the Monies in the segregated accounts.

本授權並不損害寶新有關處理該等獨立帳戶內款項的其他授權或權利。

I/we acknowledge that the validity of this Authority shall be limited to 12 months commencing from the date of this Authority. Written notification will be sent to me/us at least 14 days prior to the expiry date informing that this Authority will automatically be renewed for a further 12 months unless I/we specifically revokes it in writing before the expiry date. GSSL may set the validity of this Authority to be less than 12 months in order to correspond to its renewal system which falls on the months ending March, June, September or December of each year. Alternatively, I/we may revoke this Authority by giving not less than ten (10) business days' prior written notice to GSSL.

本人/吾等知悉此授權自授權日期起生效，為期十二個月。寶新將於屆滿日期至少十四日前，向本人/吾等發出書面通知，告知本人/吾等如於屆滿日期前未以書面形式予以撤銷，本授權將自動再續期十二個月。寶新可將本授權的有效期設定為少於十二個月，致令屆滿日期符合其在每年的三、六、九或十二月續期的制度。本人/吾等亦可藉着給予寶新不少於十個工作天的事先通知以撤銷本授權。

I/we agree to be solely and fully responsible for this Authority. In consideration of GSSL agreeing to act in accordance with the terms of this Authority, I/we further undertake to keep GSSL and its directors, employees and representatives indemnified at all times against, and to save GSSL or GSSL's directors, employees and/or representatives harmless from all actions, proceedings, claims, loss, damage, costs and expenses which may be brought against GSSL or GSSL's directors, employees and/or representatives or suffered or incurred by GSSL or GSSL's directors, employees and/or representatives and which shall have arisen either directly or indirectly from acting as such.

本人/吾等同意為此常設授權獨自負上全部責任。寶新若根據此常設授權之條款接納本授權並付諸行動，本人/吾等將同意就寶新及其董事、職員及代表因此可能直接或間接招致/承擔的訴訟、法律程序、申索、損失、損害、費用及開支，保障他們無須負責及讓他們在整段期間獲得彌償。

Client Signature & Chop (for corporate):

客戶簽署及印章(如屬公司): _____

Date

日期: _____

16. Declaration of Collection and Use of Personal Data 個人資料收集及使用聲明

Declaration of Collection and Use of Personal Data for Direct Marketing

收集及使用個人資料作直接促銷聲明

I/We hereby acknowledge and confirm that the Notice of Collection and Use of Personal Data for Direct Marketing under the Personal Data (Privacy) Ordinance have been provided and explained to me/us in a language (English or Chinese) of my/our choice and I/we have been invited to read it carefully, ask questions and seek independent advice if I/we so wish. I/We also confirm that I/we have retained a copy thereof for my/our reference. By signing below, I/we hereby:-

本人／吾等謹此承認並確定本人／吾等已獲得按照本人／吾等所選語言（中文或英文）的個人資料（私隱）條例有關收集及使用個人資料用於直接促銷的通知並獲得其解釋，以及本人／吾等已獲邀請細閱該通知，提出問題及如有意願，徵求獨立意見。本人／吾等確認已經保留該通知副本乙份，以作備考之用。以下之簽名證明本人／吾等：

☐ Agree 同意 ☐ Do Not Agree 不同意

to the proposed use of my/our personal data for direct marketing as stipulated in the said Notice.

本人／吾等的個人資料被使用作該通知列明的直接促銷用途。

Personal Information Collection Statement Concerning Hong Kong Identification Regime and Over-the-counter Securities Transactions Reporting Regime

香港投資者識別碼制度及場外證券交易匯報制度的個人資料收集聲明

I/We hereby acknowledge that I/we have read and understand the content of the Personal Information Collection Statement Concerning Hong Kong Identification Regime and Over-the-counter Securities Transactions Reporting Regime. By ticking the box and signing below, I/we:

本人／吾等確認本人／吾等已閱讀並了解個人資料收集用於香港投資者識別碼制度及場外證券交易匯報制度的內容。通過勾選以下的方框及簽署，本人／吾等：

☐ Agree 同意 ☐ Do Not Agree 不同意*

GSSL to use of my/our personal data for the purposes set out in the Personal Information Collection Statement.

寶新將本人／吾等之個人資料用於個人資料收集聲明所載的目的。

According to the Hong Kong Investor Identification Regime and the OTC Securities Transaction Reporting Regime, you are required to provide the relevant categories of identification documents in the following order of priority: (1) HKID; (2) National ID; (3) Passport.

根據香港投資者識別碼制度及場外證券交易匯報制度，閣下需按以下優先次序提供有關類別的身分證明：（1）香港身份證；（2）國民身分證；（3）護照。

☐ I understand and have full knowledge of the waterfall of the acceptable client identity documents under the HKIDR and OTCR.

本人理解並充分掌握在香港投資者識別碼制度及場外證券交易匯報制度可接受的身分證明文件排序表。

☐ If there is any update in the details on the identity document, I will inform GSSL promptly and provide GSSL with the relevant Identity document.

若本人的身分證明文件信息有更新，本人會立即知會寶新並提供相關身分證明文件。

*Failure to provide us with your personal data or consent as described above may mean that GSSL 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).

如閣下未能向寶新提供個人資料或上述同意，可能意味著寶新將不會或不能夠再（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。

Personal Information Collection Statement Concerning Northbound China Connect Orders

中華通北向交易指示的個人資料收集聲明

I/We hereby acknowledge that I/we have read and understand the content of the Personal Information Collection Statement Concerning Northbound China Connect Orders. By ticking the box and signing below, I/we:

本人／吾等確認本人／吾等已閱讀並了解個人資料收集用於中華通北向交易的內容。通過勾選以下的方框及簽署，本人／吾等：

☐ Agree 同意 ☐ Do Not Agree 不同意*

GSSL to use of my/our personal data for the purposes set out in the Personal Information Collection Statement.

寶新將本人／吾等之個人資料用於個人資料收集聲明所載的目的。

☐ I/We confirm that I/ we are not Chinese Citizen and holder of identity documents issued by Mainland China or Incorporated association/ Unincorporated association registered in Mainland China.

本人／吾等確認本人／吾等並非持有中國內地身份證文件的中國公民和在中國內地註冊的法人及非法人組織。

*Failure to provide us with your personal data or consent as described above may mean that GSSL will not, or no longer be able, as the case may be, to carry out your trading instructions or provide you with our Stock Connect Northbound Trading Service.

如閣下未能向寶新提供個人資料或上述同意，意味著寶新將不能或不能再執行閣下的交易指示（視情況而定）或向閣下提供滬港通及深港通北向交易服務。

Client Signature & Chop (for corporate):

客戶簽署及印章（如屬公司）:

Date

日期:

17. Client Declaration 客戶聲明

Client's Acknowledgement and Agreement

客戶確認及同意

- (1) I/We hereby acknowledge and agree to all the terms and conditions of the Client Agreement and to abide by the Client Agreement (including the General Terms and Conditions and the applicable Additional Terms and Conditions), the Securities and Futures Ordinance and the subsidiary legislations, rules, guidelines and codes made thereunder, and the rules and regulations of any relevant exchange company(ies), clearing house(s) and exchange controller(s) (including but not limited to the Stock Exchange of Hong Kong Limited (SEHK), the Hong Kong Securities Clearing Company Limited (HKSCC) and the SEHK Options Clearing House Limited (SECH), whichever is applicable) and regulatory body(ies) in Hong Kong and/or overseas as amended from time to time governing the transactions in the Account.
- 本人／吾等謹此承認和同意遵守客戶協議的所有條款（包括一般條款及條件，以及適用的附加條款及條件）、證券及期貨條例及其附屬法例、以及相關交易所、結算所及控制人（包括但不限於香港聯合交易所、香港中央結算及聯交所期權結算所，如適用）及香港及／或海外監管機構不時修訂以規管於該帳戶進行之交易之條例及規則，並受其約束。
- (2) I/We represent that the information on this Account Opening Form is true, complete and correct and that I/we have not willfully withheld any material fact(s). GSSL is entitled to rely fully on such information and representations for all purposes, unless it receives notice in writing of any change. GSSL is authorized at any time to contact anyone, including my/our banks, brokers or any credit agency for the purpose of verifying the information provided on this Account Opening Form.
- 本人／吾等茲聲明在本開戶表格所提供之全部資料為真實、完整及正確，亦未刻意隱瞞任何重要事實。除非實新接到更改有關本表格內容的書面通知，否則實新有權完全依賴此等資料及聲明作一切用途。實新獲授權就核對本表格之資料事宜，可隨時與任何人包括本人／吾等之銀行、經紀或任何信用機構聯絡。
- (3) I/We hereby acknowledge and confirm that the Risk Disclosure Statement (Securities / Futures Contracts / Asset Management / Additional Risk Disclosure Statement for Financial Instruments) have been provided and explained to me/us in a language (English or Chinese) of my/our choice and I/we have been invited to read them carefully, ask questions and seek independent advice if I/we so wish. I/We also confirm that I/we have retained a copy of the above for my/our reference.
- 本人／吾等謹此承認並確定已獲得按照本人／吾等所選語言（中文或英文）的風險披露聲明（證券／期貨／資產管理／金融商品之額外風險聲明）並獲得其解釋，以及本人／吾等已獲邀請細閱此等文件，提出問題及如有意願，徵求獨立意見。本人／吾等確認已經保留此等文件副本乙份，以作備考之用。
- (4) I/We hereby acknowledge that the information and documents as set out in the checklist below should be obtained from me/us prior to account opening. If the information and the required documents are not obtained and identity verification is not completed within 30 working days after opening the Account, the Account may be suspended until all required information is obtained. If identity verification is not completed within 90 working days after opening the Account, the Account may be terminated.
- 本人／吾等知悉下述核對清單列明之資料及文件需於開立帳戶前提交。如未能於開立帳戶後 30 個工作天內提交有關資料及文件並完成身分核實程序，帳戶可被凍結直至取得有關資料。如在 90 個工作天內仍未能完成身分核實程序，帳戶可被終止。
- (5) I/We hereby acknowledge and confirm that this Account Opening Form, the Terms and Conditions, the Personal Data Privacy Statement and the Standard Fee Schedule have been provided to me/us in a language (English or Chinese) of my/our choice and I/we have been invited to read them carefully, ask questions and seek independent advice if I/we so wish. I/We also confirm that I/we have retained a copy of the above for my/our reference.
- 本人／吾等謹此承認並確定本人／吾等已獲得按照本人／吾等所選語言（中文或英文）的開戶表格、條款及條件、個人資料私隱聲明及標準收費表，以及本人／吾等已獲邀請細閱此等文件，提出問題及如有意願，徵求獨立意見。本人／吾等確認已經保留此等文件副本乙份，以作備考之用。
- (6) In connection to the Section 12 (3) Knowledge of Structured and Derivative Products, I/we acknowledge that I/we have carefully read and fully understand the content of Risk Disclosure Statement as provided. If I/we decide to trade the Structured and/or Derivatives Products, I/we agree to bear the risks involved. I/We confirm that I/we shall make my/our own risk assessment, or seek independent professional advice before trading in Structured and/or Derivative Product(s), and that I/we have sufficient net worth to be able to assume the risks and bear the potential losses for my trades in Structured and/or Derivatives Product(s).
- 有關於本開戶文件第12(3)部對結構性及衍生產品的認識部分，本人／吾等確認已細心閱讀及完全明白風險披露聲明的內容。如果本人／吾等決定買賣該等結構性及／或衍生產品時，本人／吾等同意承擔有關風險。本人／吾等確認，在買賣結構性及／或衍生產品前，本人／吾等將會進行自我風險評估或尋求獨立專業意見，並擁有足夠資本承擔有關風險及損失。
- (7) I/We agree to abide by the Rules and Regulations of the Exchange, Hong Kong Securities Clearing Company Limited, or any regulatory bodies from time to time governing the purchase and sale of securities quoted on the aforementioned stock exchanges and clearing system or any other stock exchanges or clearing systems.
- 本人／吾等同意遵守聯交所、香港證券結算有限公司、或其他監管組織對於在前述股票交易所及結算系統或任何其他股票交易所或結算系統上市的證券的買賣作出並不時修訂的監管規則及規例。
- (8) I/We understand that I/we might be required to provide additional information or submit documentary proof as to the information provided in this application as and when requested by GSSL.
- 本人／吾等明白須隨時應實新的要求提供進一步資料或就此申請書上所提供的資料呈遞書面證明。
- (9) I/We hereby authorize GSSL, in its sole discretion and without having to provide me/us with any prior notice or to obtain any prior confirmation and/or direction from me/us, to transfer any fund (including interest derived), securities and/or securities collateral among my/our accounts opened with GSSL for settlement purpose and/or for the satisfaction of any margin requirements, or satisfying my/our obligations or liabilities to GSSL, whether such obligations or liabilities are actual or contingent, primary or collateral, secured or unsecured or joint or several.
- 本人／吾等授權實新可按其絕對酌情權，毋須向本人／吾等提供任何事先通知或獲取本人／吾等的事先確認及／或指示，而將全部或任何部分款項（包括衍生利息）、證券及／或證券抵押品從本人／吾等於實新開立的帳戶中相互轉帳以作為交收及／或滿足任何保證金要求、或以履行本人／吾等對實新的義務或法律責任，無論此等義務或法律責任為確實或或然的、原有或附帶的、有抵押或無抵押的、共同或分別的。

(10) I/We hereby agree to indemnify, and to keep indemnified, GSSL and its directors, employees and representatives from and against any losses, liabilities, 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 to above authority.

本人／吾等謹此同意就寶新因執行上述授權而可能產生、蒙受及／或承受的一切虧損、責任、損失、利息、費用、開支、法律訴訟、付款要求索償程式等向寶新及其董事、職員及代表作出賠償，並保障該公司免受損害。

(11) (If the Client gives discretionary / standing authority) I/We hereby acknowledge and confirm that I/we have given the discretionary / standing authority to authorize GSSL to deal with my/our monies and the contents of the discretionary / standing authority have been explained to me/us and I/we understand the contents of it.

(如客戶授予全權委託／常設授權) 本人／吾等謹此承認並確定本人／吾等已授予寶新全權委託／常設授權以處置本人／吾等的證券及款項，並且本人／吾等就該全權委託／常設授權的內容已獲得解釋，及本人／吾等明白其內容。

Client Signature & Company Chop (if applicable)

客戶簽署及公司印章 (如適用)

Client Name 客戶姓名

Date 日期: Y 年 M 月 D 日

18. Witness Certification 見證人核證

I hereby certify that on the date written in the Section 17, this Form was executed by applicant(s) named in this Form (who had been previously identified by production of the original of his / her Identity Card or Passport to me) in my presence.

本人現核證：在此表格第17部份所寫的日期當日，此表格乃由此表格所指明的申請人(其身份已根據其向本人出示之身份證或護照正本作核實)於本人面前簽訂。

Witness Signature 見證人簽署

Name 姓名:

Profession/Title/CE No.:

所屬專業/職銜/中央編號:

Date 日期: Y 年 M 月 D 日

19. Declaration by SFC Licensed Representative 證監會持牌代表聲明

I, _____ (name of representative) with SFC CE No. _____, have provided the applicable Risk Disclosure Statement(s) in a language (English or Chinese) which _____ (the "Client") chooses and understands and have invited the Client to read them carefully, ask questions and take independent advice if the Client wishes.

本人 _____ (持牌代表姓名) 在證監會之中央編號為 _____ 以客戶選擇及明白的語言(中文或英文), 向 _____ (客戶姓名) 提供適用的風險披露聲明, 並已邀請他/他們細閱此等文件, 提出問題及徵求獨立意見(如客戶有此意願)。

Signature 簽署: _____ Name 姓名: _____ Date 日期: _____

20. Fee Schedule (if left empty, default charges will be applied) 費用 (如漏空會採用本公司基本收費)								
Account No. 帳戶號碼				Account Name 帳戶名稱				
A.E. Name 客戶主任姓名				A.E. Code 客戶主任代號		How long known to A.E. 與客戶主任相識年期		
Dealing in Securities 證券交易								
	Brokerage 佣金(%)		Minimum Charge 最低佣金		Trading Limit 交易限額	Loan Limit 貸款限額	Overdue Interest 過期未償利息	Input By 資料輸入
	Online 網上	Offline 非網上	Online 網上	Offline 非網上				
Hong Kong Stocks 港股								
U.S. Stocks 美股								Name 姓名
Northbound Trade 北向交易								
Remarks 備註								
Dealing in Stock Options 股票期權交易								
Brokerage 佣金(%)					Minimum Charge 最低佣金			
Input By 資料輸入					Name 姓名			
Remarks 備註								

	Checked By 檢閱人	Approved By 審批人	Approved By RO (For High Risk Customer or Discretionary A/C Opening) 負責人員審批 (如屬高風險客戶或開立全權委託帳戶)
Signature 簽署:			
Name 姓名:			
Date 日期:			