

CWSI

For Corporate Client, it is required to provide the following requisite documents/information before opening a securities account:-

Hong Kong Company:

1. Certified copy of Business Registration Certificate
2. Certified copy of Certificate of Incorporation
3. Certified copy of Memorandum & Articles of Association
4. Certified copy of latest Annual Return and its subsequent change of particulars
(If no AR, please provide documents of director and shareholder)
5. Certified true copy of Latest Audited Financial Statements (If any)
6. Copy of HKI.D/Passport of each director
7. Copy of HKI.D/Passport of each shareholder
(If shareholder is a company, please provide Certificate of Incorporation or Business Registration Certificate)
8. Address proof of the company and each director (within 3 months period)
9. Certified true copy of Latest Audited Financial Statements (If any)

If your company is a BVI Company, please provide the following documents:-

1. Certified copy of Certificate of Incorporation
2. Certified copy of Memorandum & Articles of Association
3. Certified true copy of Latest Audited Financial Statements (If any)
4. Certified copy of Register of Directors
5. Certified copy of Register of Members
6. Copy of HKI.D/Passport of each Director and Members
(If Register of Members is a company, please provide Certified copy of Certificate of Incorporation)
7. Address proof of the company and each Director (within 3 months period)
8. Copy of HKI.D/Passport of each Ultimate Beneficiaries
(If Ultimate Beneficiaries is a company, please provide Certified copy of Certificate of Incorporation)
9. Ownership Structure
10. Certified copy of Certificate of incumbency

*(A Certificate of incumbency or equivalent issued by the company's registered agent in the place of incorporation or certified by a professional third party in the relevant jurisdiction within the last 6 months.)

若開立商業戶口，請先行準備以下所需文件：

香港註冊公司：

1. 商業登記證（須由第三方的認可執業會計師 / 律師簽證為真確的副本）
2. 公司註冊證書（須由第三方的認可執業會計師 / 律師簽證為真確的副本）
3. 公司組織章程大綱及細則（須由第三方的認可執業會計師 / 律師簽證為真確的副本）
4. 最新週年申報表及其後更改的資料； 若沒有，請提供股本證明（須由第三方的認可執業會計師 / 律師簽證為真確的副本）
5. 各董事香港身份證或護照副本
6. 各股東身份證或護照副本
7. 各董事及各股東住宅地址證明（有效期為近三個月的）
8. 最新經審計財務報表的核證副本（須由第三方的認可執業會計師 / 律師簽證為真確的副本）(如有)

海外註冊公司：

1. 公司註冊證書（須由第三方的認可執業會計師 / 律師簽證為真確的副本）
2. 公司組織章程大綱及細則（須由第三方的認可執業會計師 / 律師簽證為真確的副本）
3. 最新經審計財務報表的核證副本（須由第三方的認可執業會計師 / 律師簽證為真確的副本）(如有)
4. 董事名冊（須由第三方的認可執業會計師 / 律師簽證為真確的副本）
5. 股東名冊（須由第三方的認可執業會計師 / 律師簽證為真確的副本）
6. 各董事及各股東香港身份證或護照副本（若股東身份為公司名義，請提供由第三方的認可執業會計師 / 律師簽證為真確的副本之商業登記證或公司註冊證書）
7. 各董事及公司住宅地址證明（有效期為近三個月的）
8. 最終受益人身份證或護照副本（若最終受益人身份為公司名義，請提供由第三方的認可執業會計師 / 律師簽證為真確的副本之商業登記證或公司註冊證書）
9. 公司架構圖
10. 在職權證明書（須由第三方的認可執業會計師 / 律師簽證為真確的副本）

*(在職權證明書須由當地註冊代理人簽發或由相關司法管轄區的專業第三者核證)



中達證券投資有限公司

CENTRAL WEALTH SECURITIES INVESTMENT LIMITED

Account No 帳戶號碼: _____

Date 日期: _____

AE Code: _____

香港金鐘夏慤道16號遠東金融中心18樓1801-1802室

Room 1801-1802, 18F, Far East Finance Centre,

16 Harcourt Road, Admiralty, Hong Kong, CE No.: AVE583

Website 網址: www.cwsi.com.hk Email 電郵: cs@cwsi.com.hk Tel 電話: 3958 4600 Fax 傳真: 39584666

ACCOUNT OPENING FORM 開戶表格 (CORPORATE ACCOUNT 公司帳戶)

Account Type(s) 帳戶類別 (Please tick appropriate box. 請在適當空格加v)

- Securities Account (Cash) 證券帳戶(現金) Securities Account (Margin) 證券帳戶 (保證金)
- Stock Options Account 股票期權帳戶 Electronics Trading 電子交易服務

CORPORATE INFORMATION: 公司資料:

Company Name (English): 公司名稱(英文): _____

Company Name (Chinese): 公司名稱(中文): _____

Business Registration No.: 商業登記號碼: _____

Certificate of Incorporation No.: 公司註冊號碼: _____

Country of Incorporation: 註冊國家: _____

Date of Incorporation: 註冊日期: _____

Registered Address:

註冊地址: _____

Business Address: Same As Registered address 與註冊地址相同

商業地址: _____

Business Tel. No.:

商業電話: _____

Contact person Tel. No.:

聯絡人電話號碼: _____

Fax No.:

傳真號碼: _____

E-mail Address: 電子郵件地址: _____

CCASS Investor Account Name & No.: 中央結算投資者戶口名稱及號碼: _____

All Correspondence and Statements to be sent to: (please select either one) 所有書信及賬單請寄交本人: (只選一項):

- Residential Address 住宅地址 Business Address 商業地址
- Email 電子郵件 Others: 其他 _____

FATCA INFORMATION: 外國帳戶稅收合規法案資料:

Nature of Business: 業務性質:

- Non-Financial Institution: 非金融機構: _____ Financial Institution: 金融機構: _____

U.S. Tax Obligation: 美國稅務責任:

- No 沒有 Yes 有 (TIN 稅務身份號碼: _____)

Global Intermediary Identification Number (GIIN):

全球中介人身份號碼: _____

DIRECTOR INFORMATION 董事資料

SHAREHOLDER INFORMATION 股東資料

Name(s) of All Director(s)

全部董事姓名

I.D. Card No./ Passport No.

身份證號碼/護照號碼

Shareholder(s) Name

股東姓名

Shareholding

所佔股權(%)

1.

1.

2.

2.

3.

3.

4.

4.

5.

5.

6.

6.

7.

7.

8.

8.

9.

9.

10.

10.

Financial Profile 財務狀況 (HKD)	
Paid-up Capital: 發行股本:	Net Asset Value: 資產淨值:
Latest Annual Profit: 最近年度利潤:	Liquid Assets: 流動資產:
<input type="checkbox"/> <HK\$500,000 <input type="checkbox"/> HK\$1,000,001-HK\$5,000,000 <input type="checkbox"/> HK\$500,001-HK\$1,000,000 <input type="checkbox"/> >HK\$5,000,000	<input type="checkbox"/> <HK\$1,000,000 <input type="checkbox"/> HK\$5,000,001 - HK\$10,000,000 <input type="checkbox"/> HK\$1,000,001 - HK\$5,000,000 <input type="checkbox"/> >HK\$10,000,000

Client Investment Experience and Objective 客戶投資經驗及目標	
Investment Experience: 投資經驗:	Investment Experience: 投資經驗:
<input type="checkbox"/> 少於 1 年 Less than a year <input type="checkbox"/> 6-10 年 years <input type="checkbox"/> 1-5 年 years <input type="checkbox"/> 10 年以上 More than 10 years	<input type="checkbox"/> 少於 1 年 Less than a year <input type="checkbox"/> 6-10 年 years <input type="checkbox"/> 1-5 年 years <input type="checkbox"/> 10 年以上 More than 10 years
Investment Objective: 投資目的:	Investment Objective: 投資目的:
<input type="checkbox"/> Long Term 長線 <input type="checkbox"/> Capital Appreciation 資本增值 <input type="checkbox"/> Medium Term 中線 <input type="checkbox"/> Dividend Yield 股息回報 <input type="checkbox"/> Short Term 短線 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Speculation 投機	<input type="checkbox"/> Long Term 長線 <input type="checkbox"/> Capital Appreciation 資本增值 <input type="checkbox"/> Medium Term 中線 <input type="checkbox"/> Dividend Yield 股息回報 <input type="checkbox"/> Short Term 短線 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Speculation 投機
Investment Products and Experience 曾買賣產品及投資經驗	Investment Products and Experience 曾買賣產品及投資經驗
<input type="checkbox"/> Stocks 股票 <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1-5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> Options 期權 <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1-5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> Warrants 衍生權證(窩輪) <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1-5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> Futures 期貨 <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1-5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> CBBC 牛熊證 <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1-5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> Bonds 債券 <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1-5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> Funds 基金 <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1-5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> Others 其他: _____ <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1-5 年 <input type="checkbox"/> 5 年以上	<input type="checkbox"/> Stocks 股票 <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1-5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> Options 期權 <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1-5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> Warrants 衍生權證(窩輪) <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1-5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> Futures 期貨 <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1-5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> CBBC 牛熊證 <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1-5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> Bonds 債券 <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1-5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> Funds 基金 <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1-5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> Others 其他: _____ <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1-5 年 <input type="checkbox"/> 5 年以上
Estimated Investment Amount 估計投資金額:	Estimated Investment Amount 估計投資金額:
<input type="checkbox"/> < HK\$100,000 <input type="checkbox"/> HK\$1,000,001 - 5,000,000 <input type="checkbox"/> HK\$100,000 - 500,000 <input type="checkbox"/> HK\$5,000,001 - 10,000,000 <input type="checkbox"/> HK\$500,001 - 1,000,000 <input type="checkbox"/> > HK\$10,000,000	<input type="checkbox"/> < HK\$100,000 <input type="checkbox"/> HK\$1,000,001 - 5,000,000 <input type="checkbox"/> HK\$100,000 - 500,000 <input type="checkbox"/> HK\$5,000,001 - 10,000,000 <input type="checkbox"/> HK\$500,001 - 1,000,000 <input type="checkbox"/> > HK\$10,000,000

Client's Knowledge of Derivative Products 客戶對衍生產品的認識
<p>吾等知悉及明白中達證券投資有限公司("中達證券")將根據以下的資料以評估本人是否對衍生工具產品有認識。 We acknowledge and understand Central Wealth Securities Investment LIMITED ("CWSI") will assess whether I have adequate knowledge on derivative products according to the information that I provided.</p> <p><input type="checkbox"/> 1. 吾等已接受有關介紹一般衍生產品之性質及風險的培訓或課程 (例如學術機構或金融機構所提供之課程)。 We underwent training or attended courses on derivative products that provide general knowledge of the nature and risks of derivatives (e.g. courses offered by academic or financial institutions).</p> <p><input type="checkbox"/> 2. 吾等現時或過去擁有與衍生產品有關的工作經驗。 We have current or previous work experience related to derivative products.</p> <p><input type="checkbox"/> 3. 吾等於過去 3 年曾執行 5 次或以上有關衍生產品的交易。 We have executed five or more transactions in derivative products within the past three years.</p> <p><input type="checkbox"/> 4. 吾等並未有衍生產品之認識。 We do not have any knowledge of derivative products.</p>

Identity Declaration 身份聲明

1. 客戶是帳戶的最終及唯一實益擁有人，並完全負責為該(等)帳戶運作所發出的一切指示? The Client is the ultimate and sole beneficial owner(s) of the Account(s) and is fully responsible for all instructions for the operation of the said Account(s)?

是 Yes 否 No 如不是，請披露最終權益人。If not, please specify the ultimate beneficial owner(s)

姓名: Name: _____ 身份證/護照號碼: ID/Passport No.: _____ 電話號碼: Tel. No.: _____

2. 客戶之任何董事、主要股東、最終實益持有人、最終主要實益持有人或獲授權人士是否香港交易所之交易所參與者或證監會之持牌人或註冊人之董事、僱員或認可人士? Is any director, substantial shareholder, ultimate beneficiary, ultimate principal beneficial owner or Authorized Person of the Client a director or 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?

否 No 是 Yes (If yes, please specify: 如果是，請述明具體：持牌法團/註冊機構名稱: _____)

職位: Position: _____ 中央編號 CE No.: _____ (Please provide employer's consent letter 請提供僱主之書面同意書)

3. 客戶之任何董事、主要股東、最終實益持有人、最終主要實益持有人或獲授權人士是否與中達證券投資有限公司(“中達證券”)或其各自之聯營公司之董事或僱員有任何親戚關係? Does any director, substantial shareholder, ultimate beneficiary, ultimate principal beneficial owner or Authorized Person of the Client have any relationship with the director(s) or employee(s) of CENTRAL WEALTH SECURITIES INVESTMENT LIMITED (“CWSI”) or their respective associated companies?

否 No 是 Yes, _____

(Name of Director or Employee 董事或僱員姓名/ Relationship 關係)

4. 客戶之任何董事、主要股東、最終實益持有人、最終主要實益持有人或獲授權人士是否中達證券投資有限公司(“中達證券”)的客戶? Is any director, substantial shareholder, ultimate beneficiary, ultimate principal beneficial owner or Authorized Person of the client a client of CENTRAL WEALTH SECURITIES INVESTMENT LIMITED (“CWSI”)?

否 No 是 Yes, 帳戶姓名: Name of the Account: _____ 帳戶號碼: Account No.: _____

收款(香港)銀行戶口 Receiving (Hong Kong) Bank Account (只供入數之用 For Fund Deposit Only)

Currency 貨幣	Name of Bank 銀行名稱	Account Name 賬戶名稱	A/C No. 賬戶號碼
HKD			
USD			
RMB			

TRADING AUTHORISATION 交易授權

The following individuals are authorized to execute trades on behalf of the Client. 下列人士均可對帳戶以書面或口頭形式發出交易命令或指示

Name of Authorized Person(s) 被授權人姓名	ID Card/Passport No. 身份證/護照號碼	Contact Tel. No. 聯絡電話號碼	Specimen Signature(s) 簽名式樣
1			
2			
3			
4			
5			

SIGNING ARRANGEMENT 簽名安排

以下授權人士簽署均可代表公司對帳戶進行資金/股票存儲/提取、發出清算指令和其他有關帳戶的指令。

The following individuals are authorized to deposit/withdraw fund/shares to/from the Account, give settlement instructions and any other instructions on behalf of the Client.

簽署指示 Signing Instruction : 單簽 Anyone can sign singly 任何兩人同簽 Any two must sign jointly 其他 Others : _____

Name of Authorized Person(s) 被授權人姓名	ID Card/Passport No. 身份證/護照號碼	Specimen Signature(s) 簽名式樣
1		
2		
3		
4		
Company Chop Specimen 公司印章式樣		

Personal Data 個人資料

中達證券投資有限公司 ("中達證券")擬使用閣下的個人資料作直接促銷，為此須取得閣下的同意。通過簽署此開戶申請表格，你同意中達證券向你發放關於財務、證券、投資的服務和產品的推廣資料。你亦同意中達證券與其集團公司分享閣下的個人資料作行銷用途。CENTRAL WEALTH SECURITIES INVESTMENT LIMITED ("CWSI") intends to use your personal data in direct marketing which requires your consent. By signing this account opening form, you agree to receive promotional and direct marketing information from CWSI in respect of financial, insurance, securities, investment services and products CWSI may offer. You further agree that CWSI may share your personal data with its group companies for marketing purposes.

Acknowledgement and Execution by Client 客戶確認及簽署

- 吾等確認中達證券投資有限公司(下稱“中達證券”)已按吾等選擇的語言(英文或中文)提供了客戶協議書及電子交易服務條款(如適用)及風險披露聲明之副本。
- 吾等謹此聲明在本開戶表格所提供之資料全部為真實、完整及正確，除非中達證券接到更改有關本開戶表格內容之書面通知，否則中達證券有權完全依賴此等資料及聲明作一切用途。中達證券或其代理獲授權可隨時就核對本開戶表格資料事宜，與任何人包括吾等之銀行、經紀或任何信用機構進行諮詢。
- 吾等現申請開立吾等在本開戶表格頁首選擇之帳戶及服務類別。吾等確認已閱讀並明白附上之中達證券有限公司客戶協議書(該協議書)的所有有關條款並且接受及同意受可不時被修改的該協議書之條款所約束，吾等在此以書面通知、及確認並授權中達證券行使其在該協議書內的全部常設授權。
- 吾等向閣下申請開立證券買賣帳戶並同意遵守香港交易所及其他監管機構不時修訂以監管於香港交易所或其他交易所進行證券買賣之條例及規則。
- 吾等進一步確認中達證券已經邀請吾等閱讀風險披露聲明及電子交易服務條款(如適用)、提出問題及徵求獨立的意見(如吾等有此意願)。
- 吾等已仔細閱讀、完全理解並同意接受及遵守客戶協議書內之個人資料收集聲明。
- 吾等欲使用互聯網證券交易服務，吾等已經閱讀並明白在中達證券投資有限公司標準章則中，所載之互聯網交易協議的條款，並接受這些條款的約束。(如適用)
- 假如我們[中達證券投資有限公司]向閣下招攬銷售或建議任何金融產品，該金融產品必須是我們經考慮閣下的財政狀況、投資經驗及投資目標後而認為合理地適合閣下的。本協議的其他條文或任何其他我們可能要求閣下簽署的文件及我們可能要求閣下作出的聲明概不會減損本條款的效力。

1. We, the undersigned client(s) hereby confirm that We have been provided the Client Agreement ("the Agreement") of CENTRAL WEALTH SECURITIES INVESTMENT LIMITED ("CWSI") and the terms of Electronic Trading Service (if applicable) and the Risk Disclosure Statement in a language of our choice (receipt of a copy whereof is hereby acknowledged by us).

2. We, the undersigned client(s) hereby confirm and represent that the information on this Account Opening Form is true, complete and correct. CWSI is entitled to rely fully on such information and representations for all purposes, unless CWSI receives notice in writing of any change. CWSI or any of its agents is hereby authorized at any time to contact anyone, including our banks or any credit agency, for the purpose of verifying the information provided on this Account Opening Form.

3. We, the undersigned client(s) hereby apply to open the types of account(s) and service(s) which We choose on the front page of this Account Opening

Form and confirm that We have read and understand the relevant provisions of the attached Client Agreement and accept and agree to be bound by the Agreement as the same may be amended from time to time, and We hereby give you notice in writing that we confirm and authorize CWSI to exercise all the powers of the Standing Authorities under the Client Agreement.

4. We request you to open a Securities Trading Account ("the Account") and agree to abide by the rules and regulations of The Stock Exchange of Hong Kong Limited ("SEHK") or any other regulatory body(ies) as amended from time to time governing the purchase and sale of securities quoted on the SEHK or any other stock exchanges.

5. We, the undersigned client(s) further acknowledge and confirm that We have been invited by CWSI to read the Risk Disclosure Statement and the terms of Electronic Trading Service (if applicable), ask questions and take independent advice, if We wish.

6. We, the undersigned client(s) have carefully read, fully understood and agreed to accept and be bound by the Personal Information Collection Statement of the Agreement.

7. We want to use the internet Securities Trading Service. We have read and understood the provisions of the Internet Trading Agreement as set out in the Standard Terms and Conditions of CENTRAL WEALTH SECURITIES INVESTMENT LIMITED and We accept to be bound by the same. (if applicable)

8. If we [CENTRAL WEALTH SECURITIES INVESTMENT LIMITED] solicit the sale of or recommend any financial product to you (the client), the financial product must be reasonably suitable for you having regard to your financial situation, investment experience and investment objectives. No other provision of this agreement or any other document we may ask you to sign and no statement we may ask you to make derogates from this clause.

--

Authorized Signature(s) with company chop

公司印章及授權簽名

Date 日期: _____

Name of Authorized signatory(ies):

被授權簽署人姓名:

Position:

職位:

Signature of Witness:

見證人簽署:

Name of Witness:

見證人姓名:

Declaration by Licensed Staff 持牌職員聲明 :

本人，以持牌人士身份，確認本人已按照上述客戶所選擇的語言提供風險披露聲明之副本及邀請客戶閱讀該風險披露聲明、提出問題及徵求獨立意見(如客戶有此意願)。I, a registered person, declare that I have provided the above client with a copy of the Risk Disclosure Statement in a language of the Client's choice and invited the client to read the Risk Disclosure Statement, ask questions and take independent advice if the client so wishes.

Signature of Licensed Person:

持牌人士簽署:

CE No.:

中央編號:

Name of Licensed Person:

持牌人士姓名:

Date:

日期:

注意 Notes:

如此開戶文件不是在中達證券投資有限公司持牌的職員或經紀前開立，客戶必須遵從以下其中一個程序要求:

If this document is not executed by the Client in front the licensed Staff or Account Executive of Central Wealth Securities Investment Ltd, Client should comply with either one of the following procedure:

a) 客戶必須交給中達證券投資有限公司由客戶在香港的持牌銀行開立的帳戶所簽發的個人支票，支票上要有客戶的身份證明文件上所顯示的姓名以及簽名必須與此開戶表格上的客戶簽名相符，抬頭人為“中達證券投資有限公司”而支票數額不少於港幣 10,000 元。待支票兌現以及所有相關文件驗證後，此帳戶才可使用。

Client should send Central Wealth Securities Investment Ltd a personal cheque bearing his/ her name shown in his/her identity document and drawn on his/ her account with a licensed bank in Hong Kong with his/ her same signature(s) as shown on this Form in favor of "Central Wealth Securities Investment Limited" for not less than HK\$10,000. This account will be activated after the cheque is cleared and all related documents are verified.

b) 此開戶表格及相關身份證明文件的見證，必須由其他持牌人士、中達證券投資有限公司的聯繫人士、太平紳士、專業人士如銀行分行經理、執業會計師、律師或公證人加以驗證。

The signing of this form and sighting of related identity documents should be certificated by other licensed person, an affiliated of Central Wealth Securities Investment Ltd, a Justice of Peace (JP) or a professional person such as a branch manager of a bank, certified public accountant, lawyer or notary public.

公司專用 For Official Use Only

核對資料 Checklist:

- 1) 客戶的公司註冊證書的核證副本(或商業登記書或其它顯示妥當註冊的任何證據)、組織章程大綱及章程細則(或其他憲章文件)。
Certified True copy of the Certificate of Incorporation (or Business Registration Certificate or other evidence of due incorporation), Memorandum and Articles of Association (or other constitutional documents) of the Client.
- 2) 客戶過去兩年的經審計帳目的核證副本及不超過本開戶表日期前兩個月的資產負債表或其他中達不時同意的財務資料。
Certified True copy of audited accounts of the Client of the last two years and a balance sheet at a date not more than two months before the date of this form, or such other financial information as Central Wealth Securities Investment Limited may from time to time agree.
- 3) 客戶有關開戶及運作此公司帳戶的董事局決議的核證副本。
Certified True copy of the board resolution of directors with respect to opening and operating the account.
- 4) 所有獲授權代理人、董事及本帳戶的最終權益擁有人的香港身份證或護照副本。
Copies of the Hong Kong ID Card(s) or Passport(s) of all Authorized Person(s), Director(s) and beneficial owner(s).
- 5) 客戶的董事名冊核證副本。
Certified True copy of the Register of Directors of the Client.
- 6) 客戶的股東名冊核證副本。
Certified True copy of the Register of Members of the Client.
- 7) 授權人表格。(如需要)
Authorized Person Form.
- 8) HKMA, SFC Licensing & AML checking

Checked By: 查核:

職員姓名 Name of the Staff:

簽署 Signature:

帳戶介紹人:

Account introduced by:

經紀姓名及編號:

Name and Code of AE:

資料輸入:

Inputted by:

職員姓名 Name of the Staff:

簽署 Signature:

日期 Date:

帳戶批核:

Approved by:

職員姓名 Name of the Staff:

簽署 Signature:

日期 Date:

客戶佣金:

Client Commission rate:

交易限額/信貸限額:

Trading Limit / Credit Limit:

其他資料(例如:已獲得銀行及信貸參考):

Other information (e.g. bank and credit reference obtained):

Corporate Resolution of Client

RESOLUTION OF THE BOARD OF DIRECTORS OF _____ (the "Company") duly and effectively passed in accordance with the laws of the Company's place of incorporation and the Company's constitution on _____ (Date)

RESOLVED THAT:

1. the Company does open and maintain the (*Cash / Margin) account with Central Wealth Securities Investment Limited ("CWSI") for dealing in securities, the Terms of Conditions of Client Agreement and Client information Statement which have been produced by CWSI to the Company are hereby approved;
2. Authorized to sign the Client Information Statement, Client Agreement and any agreement relating to the opening and maintaining the account with CWSI for trading in securities for and on behalf of the Company;
3. Authorized to give dealing instructions on behalf of Company to trade as aforementioned in accordance with the Client Agreement, the company will notify any change from time to time;
4. Authorized to give settlement instructions on behalf of Company as aforementioned in accordance with the Client Agreement.

Director of Meeting

Name:

*Delete as appropriate

Chairman of Meeting

Name:

董事局決議案

_____ (公司名稱) ("公司") 於 _____ (日期) 召開董事局會議，期間具備會議所需的合法人數，並且正式通過以下決議案：

- 一. 決議通過以公司的名義，在中達證券投資有限公司("中達證券")開立一個(*現金 / 保證金)證券買賣戶口，並按照中達證券的客戶協議書及開戶表格(統稱"開戶協議")內之條文所約束及運作。
- 二. 決議通過現時在本會議出示及填妥的開戶協議及授權公司任何董事代表公司簽署該開戶協議(並在有需要時加蓋公司的印章)。
- 三. 決議通過開戶協議所詳述之"獲授權人士"獲公司授權運作公司的證券買賣戶口，公司並需將不時有關的更改通知中達證券。
- 四. 決議通過開戶協議所詳述之"獲授權人士"獲公司授權給與交收指示。 下述簽署人茲證明上述各項乃董事局會議記錄中摘錄之正式決議案。

董 事

姓名:

* 刪去不適用者

主 席

姓名:



**Assessment of Client Institution's Anti-Money Laundering
and Counter-Terrorist Financing Controls**

GENERAL INFORMATION		
Full Name of Institution	:	
Address of Institution	:	
Business Activities	:	
Telephone Number	:	
Website Address	:	
Name of Regulator(s)	:	

QUESTIONS		YES	NO
<i>Policies and Procedures</i>			
1.	Does your institution have a written policy to combat money laundering and terrorist financing?	<input type="checkbox"/>	<input type="checkbox"/>
2.	Does your anti-money laundering and counter-terrorist financing policy include:	<input type="checkbox"/>	<input type="checkbox"/>
(a)	Customer identification requirements and customer due diligence at the inception of relationship?	<input type="checkbox"/>	<input type="checkbox"/>
(b)	Enhanced due diligence requirements for high risk customers (e.g. politically exposed persons)?	<input type="checkbox"/>	<input type="checkbox"/>
(c)	Periodic anti-money laundering and counter-terrorist financing training programs to your staff?	<input type="checkbox"/>	<input type="checkbox"/>
(d)	Suspicious activity monitoring and reporting?	<input type="checkbox"/>	<input type="checkbox"/>
(e)	Sanctions monitoring?	<input type="checkbox"/>	<input type="checkbox"/>
(f)	Record keeping?	<input type="checkbox"/>	<input type="checkbox"/>
3.	Is your anti-money laundering policies applicable to your foreign branches and majority owned subsidiaries?	<input type="checkbox"/>	<input type="checkbox"/>
<i>Customer Due Diligence</i>			
4.	Does your institution apply enhanced due diligence procedure based on various risk factors?	<input type="checkbox"/>	<input type="checkbox"/>

QUESTIONS		YES	NO
5.	Does your institution conduct business with shell banks and maintain anonymous accounts?	<input type="checkbox"/>	<input type="checkbox"/>
6.	Does your institution scan customers against a list of sanctioned individuals, entities or locations and terrorist names?	<input type="checkbox"/>	<input type="checkbox"/>
7.	Does your institution have identification and verification of identity of each beneficial owner, including ownership and control structure of the customer, when applicable?	<input type="checkbox"/>	<input type="checkbox"/>
<i>Suspicious Activity Monitoring and Reporting</i>			
8.	Does your institution have a monitoring program for suspicious or unusual activity?	<input type="checkbox"/>	<input type="checkbox"/>
9.	Does your institution file reports of suspicious activity with a local Financial Intelligence Unit or other regulatory authority?	<input type="checkbox"/>	<input type="checkbox"/>
<i>AML Training</i>			
10.	Does your institution provide AML training to relevant employees in identifying and reporting unusual and suspicious activities?	<input type="checkbox"/>	<input type="checkbox"/>
11.	Does your institution retain records of its training sessions including attendance records and relevant training materials used?	<input type="checkbox"/>	<input type="checkbox"/>
12.	Does your institution communicate new AML related laws and changes to existing AML related policies or practices to relevant employees?	<input type="checkbox"/>	<input type="checkbox"/>
<i>Senior Management Oversight</i>			
13.	Does your institution have an internal audit function or independent third party that assess the implementation of anti-money laundering and counter-terrorist financing policies on a regular basis?	<input type="checkbox"/>	<input type="checkbox"/>
14.	Please provide the name, title and email address of the designated compliance officer who is responsible for the anti-money laundering and customer due diligence compliance. Name: Title: Email:		

QUESTIONS		YES	NO
<i>Regulatory/Law Enforcement Investigations</i>			
15.	<p>Has your institution, its employees, senior management, members of Board of Directors or main shareholders, been subject in the last three years to:</p> <p>(i) Any AML, CTF and sanctions/fraud/corruption related investigations by Regulators or Law Enforcement;</p> <p>(ii) Civil or criminal penalties stemming from deficiencies in your AML, CTF or sanctions Program.</p> <p>If your answer is "Yes", please describe the scope of the investigation and summary of the deficiencies.</p> <p>Comments:</p>	<input type="checkbox"/>	<input type="checkbox"/>
<i>Others</i>			
16.	Does your institution comply with FATF Recommendations?	<input type="checkbox"/>	<input type="checkbox"/>
17.	<p>(For funds, investment manager, fund custodian or institution that operates omnibus accounts) Will customer due diligence be conducted on your underlying customers? If your answer is "Yes", please name the institution that is responsible for conducting customer due diligence, its capacity and answer Question 14 as well:</p> <p>Name of Institution:</p> <p>Capacity:</p>	<input type="checkbox"/>	<input type="checkbox"/>
18.	<p>Is the institution you named in Question 17 above</p> <p>(i) incorporated or established in a country that adopts FATF Recommendation?</p> <p>(ii) has measures in place to ensure compliance with FATF Recommendations?</p> <p>(iii) supervised for compliance with FATF Recommendations?</p>	<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>

The undersigned based on his/her best knowledge and belief, certifies that the above questions were answered considering the existing internal controls of the subject institution, and further presents an accurate representation of the existing state of the institution's anti-money laundering and counter-terrorist financing internal controls and financial service activities.

COMPLETED BY

SIGNATURE : _____
NAME : _____
TITLE : _____
EMAIL ADDRESS : _____
DATE : _____



香港金鐘夏愨道16號遠東金融中心18樓1801-1802室
Room 1801-1802, 18/F, Far East Financial Centre,
16 Harcourt Road, Admiralty, Hong Kong.

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Entity Tax Residency Self-Certification Form

實體稅務居民自我證明表格

Important Notes 重要提示

- This is a self-certification form 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.**
這是由帳戶持有人向申報金融 / 財務機構提供的自我證明表格，以作自動交換財務帳戶資料用途。申報金融 / 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。
- An account holder should report all changes in its tax residency status to the reporting financial institution.**
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金融 / 財務機構。
- All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (*) are required to be reported by the reporting financial institution to the Inland Revenue Department.**
除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄 / 部標有星號 (*) 的項目為申報金融 / 財務機構須向稅務局申報的資料。

Part 1: Identification of Entity Account Holder 第 1部：實體帳戶持有人的身分識辨資料

(For multiple account holders, complete a separate form for each entity account holder.

對於聯名帳戶或多人聯名帳戶，每名實體帳戶持有人須分別填寫一份表格。)

*Legal Name of Entity or Branch 實體或分支機構的法定名稱	
Jurisdiction of Incorporation or Organization 實體成立為法團或設立所在的稅務管轄區	
Certificate of Incorporation or Business Registration Number 公司註冊或商業登記號碼	
*Current Business Address 現時營業地址	* (e.g. Suite, Floor, Building, Street, District, City, Province, State, Country, Post Code/ ZIP Code 例如：室、樓層、大廈、街道、地區、城市、省、州、國家、郵政編碼 / 郵遞區號碼)
Mailing Address (Complete if different to the above current business address) 通訊地址 如通訊地址與上述現時營業不同，填寫此欄	(e.g. Suite, Floor, Building, Street, District, City, Province, State, Country, Post Code/ ZIP Code 例如：室、樓層、大廈、街道、地區、城市、省、州、國家、郵政編碼 / 郵遞區號碼)

Part 2: Entity Type

第 2 部：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“√” 剔號，並提供有關資料。

<p>Financial Institution 金融／財務機構 (選擇此項，無須填寫第3部) (Do not complete part 3 if the entity type is financial Institution)</p>	<p><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</p> <p><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 jurisdiction 投資實體，但不包括由另一金融／財務機構管理（例如：擁有酌情權管理投資實體的資產）並位於非參與稅務管轄區的投資實體</p>
<p>Active NFE 主動非財務實體 (選擇此項，無須填寫第3部) (Do not complete part 3 if the entity type is active NFE)</p>	<p><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</p> <p><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在 _____ (一個具規模證券市場) 進行買賣</p> <p><input type="checkbox"/> NFE is a governmental entity, an international organisation (for example the United Nations or North Atlantic Treaty Organisation ("NATO")), a central bank, or an entity wholly owned by one or more of the foregoing entities 政府實體、國際組織（例如聯合國或北大西洋公約組織（「NATO」））、中央銀行或由前述的實體全權擁有的其他實體</p> <p><input type="checkbox"/> Active NFE other than the above (for example a start-up NFE or a non-profit NFE) (Please specify _____) 除上述以外的主動非財務實體（例如新成立的非財務實體或非牟利的非財務實體） (請說明 _____)</p>
<p>Passive NFE 被動非財務實體 (選擇此項，請填寫第3部) (Complete part 3 if the entity type is passive NFE)</p>	<p><input type="checkbox"/> Investment entity that is managed by another financial institution and located in a non-participating jurisdiction 位於非參與稅務管轄區並由另一金融／財務機構管理的投資實體</p> <p><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</p>

Part 3: Controlling Persons (Complete this part if the entity account holder is a passive NFE)

第 3 部：控權人 (如實體帳戶持有人是被動非財務實體，填寫此部)

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

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

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

Part 4 第 4 部：

*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辨編號（以下簡稱「稅務編號」）

Complete the following table indicating 提供以下資料，請列明：

- (a) each jurisdiction of residence (including Hong Kong) where the account holder is a **resident for tax purposes**; and
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) the account holder's TIN for each jurisdiction indicated. 該居留司法管轄區發給帳戶持有人的稅務編號。

Indicate **all** (not restricted to five) jurisdictions of residence.

列出所有（不限於 5 個）居留司法管轄區。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number.

如帳戶持有人是香港稅務居民，稅務編號是其香港商業登記號碼。

If the account holder is not a tax resident in any jurisdiction (e.g. fiscally transparent), indicate the jurisdiction in which its place of effective management is situated.

如果帳戶持有人並非任何稅務管轄區的稅務居民（例如：它是財政透明實體），填寫實際管理機構所在的稅務管轄區。

If a TIN is unavailable, provide the appropriate reason A, B or C 如沒有提供稅務編號，必須填寫合適的理由：

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

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。

Reason B - The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.

理由 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。

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.

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)			

Part 5: Declarations and Signature 第 5 部：聲明及簽署

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by Central Wealth Securities Investment Limited ("CWSI") 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 Central Wealth Securities Investment Limited ("CWSI") 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，中達證券投資有限公司「中達證券」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 authorised to sign for the account holder of all the account(s) currently held with Central Wealth Securities Investment Limited ("CWSI") by the account holder identified in Part 1 of this form. 本人證明，就有關本表格第 1 部所指的實體帳戶持有人現於「中達證券」持有的所有帳戶，本人獲帳戶持有人授權代其簽署。

I undertake to advise Central Wealth Securities Investment Limited ("CWSI") of any change in circumstances which affects the tax residency status of the account holder identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide Central Wealth Securities Investment Limited ("CWSI") 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，以致影響本表格第 1 部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，本人會通知「中達證券」，並會在情況發生改變後 30 日內，向「中達證券」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。

Signature 簽署: X	Note: Indicate the capacity in which you are signing the form e.g. director or officer of a company, partner of a partnership, trustee of a trust, Authorised Officer, etc. (說明您簽署這份表格的身分。例如：公司的董事或高級人員、合夥的合夥人，信託的受託人或獲授權人員等。) Capacity/ Relationship 身分/ 關係: _____
Name 姓名: _____	

WARNING: It is a serious offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a selfcertification, 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。



中達證券投資有限公司

CENTRAL WEALTH SECURITIES INVESTMENT LIMITED

香港金鐘夏愨道16號遠東金融中心18樓1801-1802室
Room 1801-1802, 18/F, Far East Financial Centre,
16 Harcourt Road, Admiralty, Hong Kong.

香港聯合交易所參與者 (CE NO. AVE583)
Exchange Participant of The Stock Exchange of Hong Kong Limited

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Controlling Person Tax Residency Self-Certification Form

控權人稅務居民自我證明表格

Important Notes 重要提示

- This is a self-certification form provided by a controlling person 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.**

這是由控權人向申報金融 / 財務機構提供的自我證明表格，以作自動交換財務帳戶資料用途。申報金融 / 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。

- A controlling person should report all changes in his/her tax residency status to the reporting financial institution.**

如控權人的稅務居民身分有所改變，應盡快將所有變更通知申報金融 / 財務機構。

- All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (*) are required to be reported by the reporting financial institution to the Inland Revenue Department.**

除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄 / 部標有星號 (*) 的項目為申報金融 / 財務機構須向稅務局申報的資料。

Part 1: Identification of Controlling Person 第 1 部：控權人的身分識辨資料

Note 注意: Please tick where applicable. 請在適當的地方加上“√”別號。

<p>* Name of Controlling Person 控權人的姓名</p>	<p>Title 稱謂: <input type="checkbox"/> Mr 先生 <input type="checkbox"/> Mrs 太太 <input type="checkbox"/> Miss 小姐 <input type="checkbox"/> Ms 女士 <input type="checkbox"/> Other 其他 _____</p> <p>*Name of Controlling Person 姓名</p>
<p>HK / China Identity Card / Passport Number 香港/中國身份證/護照號碼</p> <p>*Current Residence Address 現時住址</p>	<p>* (e.g. Suite, Floor, Building, Street, District, City, Province, State, Country, Post Code/ZIP Code) (例如: 室、樓層、大廈、街道、地區、城市、省、州、國家、郵政編碼 / 郵遞區號碼)</p>
<p>Mailing Address 通訊地址 (Complete if different to the above current residence address 如通訊地址與上述現 時住址不同, 填寫此欄)</p>	<p>(e.g. Suite, Floor, Building, Street, District, City, Province, State, Country, Post Code/ZIP Code) (例如: 室、樓層、大廈、街道、地區、城市、省、州、國家、郵政編碼 / 郵遞區號碼)</p>
<p>*Date of Birth 出生日期</p>	<p>(dd/mm/yyyy 日 / 月 / 年)</p>

Part 2: The Entity Account Holder(s) of which you are a controlling person

第 2 部： 您作為控權人的實體帳戶持有人

Enter the name of the entity account holder of which you are a controlling person 填寫您作為控權人的實體帳戶持有人的名稱：

Entity 實體	Name of the Entity Account Holder 實體帳戶持有人的名稱
(1)	
(2)	
(3)	

Part 3 第 3 部：

***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 提供以下資料，列明：

- (a) each jurisdiction of residence (including Hong Kong) where the controlling person is a **resident for tax purposes**; and 控權人的居留司法管轄區，亦即控權人的稅務管轄區（香港包括在內）；及
- (b) the controlling person's TIN for each jurisdiction indicated. 該居留司法管轄區發給控權人的稅務編號。

Indicate **all** (not restricted to five) jurisdictions of residence.

列出所有（不限於 5 個）居留司法管轄區。

If the controlling person is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number (HKID).

如控權人是香港稅務居民，稅務編號是帳戶持有人的香港身份證號碼。

If a TIN is unavailable, provide the appropriate reason A, B or C 如沒有提供稅務編號，必須填寫合適的理由：

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

理由 A - 控權人的居留司法管轄區並沒有向其居民發出稅務編號。

Reason B - The controlling person is unable to obtain a TIN. Explain why the controlling person is unable to obtain a TIN if you have selected this reason.

理由 B - 控權人不能取得稅務編號。如選取這一理由，解釋控權人不能取得稅務編號的原因。

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.

理由 C - 控權人毋須提供稅務編號。居留司法管轄區的主管機關不需要控權人披露稅務編號。

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 controlling person is unable to obtain a TIN if you have selected Reason B 如選取理由 B，解釋控權人不能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			
(5)			

Part 4: Type of Controlling Person 第 4部： 控權人類別

Tick the appropriate box to indicate the type of controlling person for each entity stated in Part 2:

就第 2 部所載的每個實體，在適當方格內加上“√” 剔號， 指出控權人就每個實體所屬的類別：

Type of Entity 實體類別	Type of Controlling Person 控權人類別	Entity (1) 實體 (1)	Entity (2) 實體 (2)	Entity (3) 實體 (3)
Legal Person 法人	Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital) 擁有控制股權的個人（即擁有不少於百分之二十五的已發行股本）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who exercises control/is entitled to exercise control through other means (i.e. not less than 25% of voting rights) 以其他途徑行使控制權或有權行使控制權的個人（即擁有不少於百分之二十五的表決權）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who holds the position of senior managing official/ exercises ultimate control over the management of the entity 擔任該實體的高級管理人員／對該實體的管理行使最終控制權的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trust 信託	Settlor 財產授予人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Trustee 受託人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Protector 保護人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	Beneficiary or member of the class of beneficiaries 受益人或某類別受益人的成員	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary) 其他(例如:如財產授予人/受託人/保護人/受益人為另一實體,對該實體行使控制權的個人)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Legal Arrangement other than Trust 除信託以外的法律安排	Individual in a position equivalent/similar to settlor 處於相等/相類於財產授予人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to trustee 處於相等/相類於受託人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to protector 處於相等/相類於保護人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries 處於相等/相類於受益人或某類別受益人的成員位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (e.g. individual who exercises control over another entity being equivalent/similar to settlor/trustee/protector/beneficiary) 其他(例如:如處於相等/相類於財產授予人/受託人/保護人/受益人位置的人為另一實體,對該實體行使控制權的個人)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Part 5: Declarations and Signature 第 5 部: 聲明及簽署

<p>I acknowledge and agree that (a) the information contained in this form is collected and may be kept by Central Wealth Securities Investment Limited ("CWSIL") for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the controlling person and any reportable account(s) may be reported by Central Wealth Securities Investment Limited ("CWSIL") 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 controlling person 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).</p> <p>本人知悉及同意,中達證券投資有限公司「中達證券」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)把該等資料和關於控權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。</p> <p>I certify that I am the controlling person (or I am authorised to sign for the controlling person) of all the account(s) currently held Central Wealth Securities Investment Limited by the entity account holder(s).</p> <p>本人證明,就實體帳戶持有人現於「中達證券」持有的所有帳戶,本人是控權人(或本人獲控權人授權代其簽署)。</p> <p>I undertake to advise Central Wealth Securities Investment Limited ("CWSIL") of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide Central Wealth Securities Investment Limited ("CWSIL") 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,以致影響本表格第 1 部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「中達證券」,並會在情況發生改變後 30 日內,向「中達證券」提交一份已適當更新的自我證明表格。</p> <p>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.</p> <p>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。</p>	
<p>Signature 簽署:</p> <p>X</p>	<p>Note: Indicate the capacity if you are not the individual identified in Part 1. If signing under a power of attorney, attach a certified copy of the power of attorney. (如您不是第 1 部所述的個人,說明您的身分。如果您是以受權人身分簽署這份表格,須夾附該+授權書的核證副本。)</p> <p>Capacity/ Relationship 身分/關係:</p> <p>_____</p>
Name 姓名: _____	

WARNING: It is a serious 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。

Certificate of Status of Beneficial Owner for United States Tax Withholding and Reporting (Entities)

► For use by entities. Individuals must use Form W-8BEN. ► Section references are to the Internal Revenue Code.
► Go to www.irs.gov/FormW8BENE for instructions and the latest information.
► Give this form to the withholding agent or payer. Do not send to the IRS.

Do NOT use this form for:

Instead use Form:

- U.S. entity or U.S. citizen or resident W-9
- A foreign individual W-8BEN (Individual) or Form 8233
- A foreign individual or entity claiming that income is effectively connected with the conduct of trade or business within the United States (unless claiming treaty benefits) W-8ECI
- A foreign partnership, a foreign simple trust, or a foreign grantor trust (unless claiming treaty benefits) (see instructions for exceptions) . . . W-8IMY
- A foreign government, international organization, foreign central bank of issue, foreign tax-exempt organization, foreign private foundation, or government of a U.S. possession claiming that income is effectively connected U.S. income or that is claiming the applicability of section(s) 115(2), 501(c), 892, 895, or 1443(b) (unless claiming treaty benefits) (see instructions for other exceptions) W-8ECI or W-8EXP
- Any person acting as an intermediary (including a qualified intermediary acting as a qualified derivatives dealer) W-8IMY

Part I Identification of Beneficial Owner

1 Name of organization that is the beneficial owner	2 Country of incorporation or organization
--	---

3 Name of disregarded entity receiving the payment (if applicable, see instructions)

4 Chapter 3 Status (entity type) (Must check one box only):	<input type="checkbox"/> Corporation	<input type="checkbox"/> Partnership
<input type="checkbox"/> Simple trust	<input type="checkbox"/> Tax-exempt organization	<input type="checkbox"/> Foreign Government - Controlled Entity
<input type="checkbox"/> Central Bank of Issue	<input type="checkbox"/> Private foundation	<input type="checkbox"/> Foreign Government - Integral Part
<input type="checkbox"/> Grantor trust	<input type="checkbox"/> Disregarded entity	<input type="checkbox"/> International organization

If you entered disregarded entity, partnership, simple trust, or grantor trust above, is the entity a hybrid making a treaty claim? If "Yes," complete Part III. Yes No

5 Chapter 4 Status (FATCA status) (See instructions for details and complete the certification below for the entity's applicable status.)	
<input type="checkbox"/> Nonparticipating FFI (including an FFI related to a Reporting IGA FFI other than a deemed-compliant FFI, participating FFI, or exempt beneficial owner).	<input type="checkbox"/> Nonreporting IGA FFI. Complete Part XII.
<input type="checkbox"/> Participating FFI.	<input type="checkbox"/> Foreign government, government of a U.S. possession, or foreign central bank of issue. Complete Part XIII.
<input type="checkbox"/> Reporting Model 1 FFI.	<input type="checkbox"/> International organization. Complete Part XIV.
<input type="checkbox"/> Reporting Model 2 FFI.	<input type="checkbox"/> Exempt retirement plans. Complete Part XV.
<input type="checkbox"/> Registered deemed-compliant FFI (other than a reporting Model 1 FFI, sponsored FFI, or nonreporting IGA FFI covered in Part XII). See instructions.	<input type="checkbox"/> Entity wholly owned by exempt beneficial owners. Complete Part XVI.
<input type="checkbox"/> Sponsored FFI. Complete Part IV.	<input type="checkbox"/> Territory financial institution. Complete Part XVII.
<input type="checkbox"/> Certified deemed-compliant nonregistering local bank. Complete Part V.	<input type="checkbox"/> Excepted nonfinancial group entity. Complete Part XVIII.
<input type="checkbox"/> Certified deemed-compliant FFI with only low-value accounts. Complete Part VI.	<input type="checkbox"/> Excepted nonfinancial start-up company. Complete Part XIX.
<input type="checkbox"/> Certified deemed-compliant sponsored, closely held investment vehicle. Complete Part VII.	<input type="checkbox"/> Excepted nonfinancial entity in liquidation or bankruptcy. Complete Part XX.
<input type="checkbox"/> Certified deemed-compliant limited life debt investment entity. Complete Part VIII.	<input type="checkbox"/> 501(c) organization. Complete Part XXI.
<input type="checkbox"/> Certain investment entities that do not maintain financial accounts. Complete Part IX.	<input type="checkbox"/> Nonprofit organization. Complete Part XXII.
<input type="checkbox"/> Owner-documented FFI. Complete Part X.	<input type="checkbox"/> Publicly traded NFFE or NFFE affiliate of a publicly traded corporation. Complete Part XXIII.
<input type="checkbox"/> Restricted distributor. Complete Part XI.	<input type="checkbox"/> Excepted territory NFFE. Complete Part XXIV.
	<input type="checkbox"/> Active NFFE. Complete Part XXV.
	<input type="checkbox"/> Passive NFFE. Complete Part XXVI.
	<input type="checkbox"/> Excepted inter-affiliate FFI. Complete Part XXVII.
	<input type="checkbox"/> Direct reporting NFFE.
	<input type="checkbox"/> Sponsored direct reporting NFFE. Complete Part XXVIII.
	<input type="checkbox"/> Account that is not a financial account.

6 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address (other than a registered address).	
City or town, state or province. Include postal code where appropriate.	Country

7 Mailing address (if different from above)	
City or town, state or province. Include postal code where appropriate.	Country

Part I Identification of Beneficial Owner (continued)

8 U.S. taxpayer identification number (TIN), if required _____

9a GIIN _____	b Foreign TIN _____	c Check if FTIN not legally required. <input type="checkbox"/>
----------------------	----------------------------	---

10 Reference number(s) (see instructions) _____

Note: Please complete remainder of the form including signing the form in Part XXX.

Part II Disregarded Entity or Branch Receiving Payment. (Complete only if a disregarded entity with a GIIN or a branch of an FFI in a country other than the FFI's country of residence. See instructions.)

11 Chapter 4 Status (FATCA status) of disregarded entity or branch receiving payment

Branch treated as nonparticipating FFI. Reporting Model 1 FFI. U.S. Branch.

Participating FFI. Reporting Model 2 FFI.

12 Address of disregarded entity or branch (street, apt. or suite no., or rural route). **Do not use a P.O. box or in-care-of address** (other than a registered address). _____

City or town, state or province. Include postal code where appropriate. _____

Country _____

13 GIIN (if any) _____

Part III Claim of Tax Treaty Benefits (if applicable). (For chapter 3 purposes only.)

14 I certify that (check all that apply):

a The beneficial owner is a resident of _____ within the meaning of the income tax treaty between the United States and that country.

b The beneficial owner derives the item (or items) of income for which the treaty benefits are claimed, and, if applicable, meets the requirements of the treaty provision dealing with limitation on benefits. The following are types of limitation on benefits provisions that may be included in an applicable tax treaty (check only one; see instructions):

<input type="checkbox"/> Government	<input type="checkbox"/> Company that meets the ownership and base erosion test
<input type="checkbox"/> Tax-exempt pension trust or pension fund	<input type="checkbox"/> Company that meets the derivative benefits test
<input type="checkbox"/> Other tax-exempt organization	<input type="checkbox"/> Company with an item of income that meets active trade or business test
<input type="checkbox"/> Publicly traded corporation	<input type="checkbox"/> Favorable discretionary determination by the U.S. competent authority received
<input type="checkbox"/> Subsidiary of a publicly traded corporation	<input type="checkbox"/> No LOB article in treaty
	<input type="checkbox"/> Other (specify Article and paragraph): _____

c The beneficial owner is claiming treaty benefits for U.S. source dividends received from a foreign corporation or interest from a U.S. trade or business of a foreign corporation and meets qualified resident status (see instructions).

15 Special rates and conditions (if applicable—see instructions):
 The beneficial owner is claiming the provisions of Article and paragraph _____ of the treaty identified on line 14a above to claim a _____ % rate of withholding on (specify type of income): _____
 Explain the additional conditions in the Article the beneficial owner meets to be eligible for the rate of withholding: _____

Part IV Sponsored FFI

16 Name of sponsoring entity: _____

17 Check whichever box applies.

I certify that the entity identified in Part I:

- Is an investment entity;
- Is not a QI, WP (except to the extent permitted in the withholding foreign partnership agreement), or WT; **and**
- Has agreed with the entity identified above (that is not a nonparticipating FFI) to act as the sponsoring entity for this entity.

I certify that the entity identified in Part I:

- Is a controlled foreign corporation as defined in section 957(a);
- Is not a QI, WP, or WT;
- Is wholly owned, directly or indirectly, by the U.S. financial institution identified above that agrees to act as the sponsoring entity for this entity; **and**
- Shares a common electronic account system with the sponsoring entity (identified above) that enables the sponsoring entity to identify all account holders and payees of the entity and to access all account and customer information maintained by the entity including, but not limited to, customer identification information, customer documentation, account balance, and all payments made to account holders or payees.

Part V Certified Deemed-Compliant Nonregistering Local Bank18 I certify that the FFI identified in Part I:

- Operates and is licensed solely as a bank or credit union (or similar cooperative credit organization operated without profit) in its country of incorporation or organization;
- Engages primarily in the business of receiving deposits from and making loans to, with respect to a bank, retail customers unrelated to such bank and, with respect to a credit union or similar cooperative credit organization, members, provided that no member has a greater than 5% interest in such credit union or cooperative credit organization;
- Does not solicit account holders outside its country of organization;
- Has no fixed place of business outside such country (for this purpose, a fixed place of business does not include a location that is not advertised to the public and from which the FFI performs solely administrative support functions);
- Has no more than \$175 million in assets on its balance sheet and, if it is a member of an expanded affiliated group, the group has no more than \$500 million in total assets on its consolidated or combined balance sheets; **and**
- Does not have any member of its expanded affiliated group that is a foreign financial institution, other than a foreign financial institution that is incorporated or organized in the same country as the FFI identified in Part I and that meets the requirements set forth in this part.

Part VI Certified Deemed-Compliant FFI with Only Low-Value Accounts19 I certify that the FFI identified in Part I:

- Is not engaged primarily in the business of investing, reinvesting, or trading in securities, partnership interests, commodities, notional principal contracts, insurance or annuity contracts, or any interest (including a futures or forward contract or option) in such security, partnership interest, commodity, notional principal contract, insurance contract or annuity contract;
- No financial account maintained by the FFI or any member of its expanded affiliated group, if any, has a balance or value in excess of \$50,000 (as determined after applying applicable account aggregation rules); **and**
- Neither the FFI nor the entire expanded affiliated group, if any, of the FFI, have more than \$50 million in assets on its consolidated or combined balance sheet as of the end of its most recent accounting year.

Part VII Certified Deemed-Compliant Sponsored, Closely Held Investment Vehicle

20 Name of sponsoring entity: _____

21 I certify that the entity identified in Part I:

- Is an FFI solely because it is an investment entity described in Regulations section 1.1471-5(e)(4);
- Is not a QI, WP, or WT;
- Will have all of its due diligence, withholding, and reporting responsibilities (determined as if the FFI were a participating FFI) fulfilled by the sponsoring entity identified on line 20; **and**
- 20 or fewer individuals own all of the debt and equity interests in the entity (disregarding debt interests owned by U.S. financial institutions, participating FFIs, registered deemed-compliant FFIs, and certified deemed-compliant FFIs and equity interests owned by an entity if that entity owns 100% of the equity interests in the FFI and is itself a sponsored FFI).

Part VIII Certified Deemed-Compliant Limited Life Debt Investment Entity22 I certify that the entity identified in Part I:

- Was in existence as of January 17, 2013;
- Issued all classes of its debt or equity interests to investors on or before January 17, 2013, pursuant to a trust indenture or similar agreement; **and**
- Is certified deemed-compliant because it satisfies the requirements to be treated as a limited life debt investment entity (such as the restrictions with respect to its assets and other requirements under Regulations section 1.1471-5(f)(2)(iv)).

Part IX Certain Investment Entities that Do Not Maintain Financial Accounts23 I certify that the entity identified in Part I:

- Is a financial institution solely because it is an investment entity described in Regulations section 1.1471-5(e)(4)(i)(A), **and**
- Does not maintain financial accounts.

Part X Owner-Documented FFI

Note: This status only applies if the U.S. financial institution, participating FFI, or reporting Model 1 FFI to which this form is given has agreed that it will treat the FFI as an owner-documented FFI (see instructions for eligibility requirements). In addition, the FFI must make the certifications below.

24a (All owner-documented FFIs check here) I certify that the FFI identified in Part I:

- Does not act as an intermediary;
- Does not accept deposits in the ordinary course of a banking or similar business;
- Does not hold, as a substantial portion of its business, financial assets for the account of others;
- Is not an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account;
- Is not owned by or in an expanded affiliated group with an entity that accepts deposits in the ordinary course of a banking or similar business, holds, as a substantial portion of its business, financial assets for the account of others, or is an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account;
- Does not maintain a financial account for any nonparticipating FFI; **and**
- Does not have any specified U.S. persons that own an equity interest or debt interest (other than a debt interest that is not a financial account or that has a balance or value not exceeding \$50,000) in the FFI other than those identified on the FFI owner reporting statement.

Part X Owner-Documented FFI (continued)**Check box 24b or 24c, whichever applies.**

- b** I certify that the FFI identified in Part I:
- Has provided, or will provide, an FFI owner reporting statement that contains:
 - (i) The name, address, TIN (if any), chapter 4 status, and type of documentation provided (if required) of every individual and specified U.S. person that owns a direct or indirect equity interest in the owner-documented FFI (looking through all entities other than specified U.S. persons);
 - (ii) The name, address, TIN (if any), and chapter 4 status of every individual and specified U.S. person that owns a debt interest in the owner-documented FFI (including any indirect debt interest, which includes debt interests in any entity that directly or indirectly owns the payee or any direct or indirect equity interest in a debt holder of the payee) that constitutes a financial account in excess of \$50,000 (disregarding all such debt interests owned by participating FFIs, registered deemed-compliant FFIs, certified deemed-compliant FFIs, excepted NFFEs, exempt beneficial owners, or U.S. persons other than specified U.S. persons); **and**
 - (iii) Any additional information the withholding agent requests in order to fulfill its obligations with respect to the entity.
 - Has provided, or will provide, valid documentation meeting the requirements of Regulations section 1.1471-3(d)(6)(iii) for each person identified in the FFI owner reporting statement.
- c** I certify that the FFI identified in Part I has provided, or will provide, an auditor's letter, signed within 4 years of the date of payment, from an independent accounting firm or legal representative with a location in the United States stating that the firm or representative has reviewed the FFI's documentation with respect to all of its owners and debt holders identified in Regulations section 1.1471-3(d)(6)(iv)(A)(2), and that the FFI meets all the requirements to be an owner-documented FFI. The FFI identified in Part I has also provided, or will provide, an FFI owner reporting statement of its owners that are specified U.S. persons and Form(s) W-9, with applicable waivers.

Check box 24d if applicable (optional, see instructions).

- d** I certify that the entity identified on line 1 is a trust that does not have any contingent beneficiaries or designated classes with unidentified beneficiaries.

Part XI Restricted Distributor

- 25a** (All restricted distributors check here) I certify that the entity identified in Part I:
- Operates as a distributor with respect to debt or equity interests of the restricted fund with respect to which this form is furnished;
 - Provides investment services to at least 30 customers unrelated to each other and less than half of its customers are related to each other;
 - Is required to perform AML due diligence procedures under the anti-money laundering laws of its country of organization (which is an FATF-compliant jurisdiction);
 - Operates solely in its country of incorporation or organization, has no fixed place of business outside of that country, and has the same country of incorporation or organization as all members of its affiliated group, if any;
 - Does not solicit customers outside its country of incorporation or organization;
 - Has no more than \$175 million in total assets under management and no more than \$7 million in gross revenue on its income statement for the most recent accounting year;
 - Is not a member of an expanded affiliated group that has more than \$500 million in total assets under management or more than \$20 million in gross revenue for its most recent accounting year on a combined or consolidated income statement; **and**
 - Does not distribute any debt or securities of the restricted fund to specified U.S. persons, passive NFFEs with one or more substantial U.S. owners, or nonparticipating FFIs.

Check box 25b or 25c, whichever applies.

I further certify that with respect to all sales of debt or equity interests in the restricted fund with respect to which this form is furnished that are made after December 31, 2011, the entity identified in Part I:

- b** Has been bound by a distribution agreement that contained a general prohibition on the sale of debt or securities to U.S. entities and U.S. resident individuals and is currently bound by a distribution agreement that contains a prohibition of the sale of debt or securities to any specified U.S. person, passive NFFE with one or more substantial U.S. owners, or nonparticipating FFI.
- c** Is currently bound by a distribution agreement that contains a prohibition on the sale of debt or securities to any specified U.S. person, passive NFFE with one or more substantial U.S. owners, or nonparticipating FFI and, for all sales made prior to the time that such a restriction was included in its distribution agreement, has reviewed all accounts related to such sales in accordance with the procedures identified in Regulations section 1.1471-4(c) applicable to preexisting accounts and has redeemed or retired any, or caused the restricted fund to transfer the securities to a distributor that is a participating FFI or reporting Model 1 FFI securities which were sold to specified U.S. persons, passive NFFEs with one or more substantial U.S. owners, or nonparticipating FFIs.

Part XII Nonreporting IGA FFI

- 26** I certify that the entity identified in Part I:
- Meets the requirements to be considered a nonreporting financial institution pursuant to an applicable IGA between the United States and _____ . The applicable IGA is a Model 1 IGA or a Model 2 IGA; and is treated as a _____ under the provisions of the applicable IGA or Treasury regulations (if applicable, see instructions);
 - If you are a trustee documented trust or a sponsored entity, provide the name of the trustee or sponsor _____ .
The trustee is: U.S. Foreign

Part XIII Foreign Government, Government of a U.S. Possession, or Foreign Central Bank of Issue

- 27** I certify that the entity identified in Part I is the beneficial owner of the payment, and is not engaged in commercial financial activities of a type engaged in by an insurance company, custodial institution, or depository institution with respect to the payments, accounts, or obligations for which this form is submitted (except as permitted in Regulations section 1.1471-6(h)(2)).

Part XIV International Organization

Check box 28a or 28b, whichever applies.

- 28a** I certify that the entity identified in Part I is an international organization described in section 7701(a)(18).
- b** I certify that the entity identified in Part I:
- Is comprised primarily of foreign governments;
 - Is recognized as an intergovernmental or supranational organization under a foreign law similar to the International Organizations Immunities Act or that has in effect a headquarters agreement with a foreign government;
 - The benefit of the entity's income does not inure to any private person; **and**
 - Is the beneficial owner of the payment and is not engaged in commercial financial activities of a type engaged in by an insurance company, custodial institution, or depository institution with respect to the payments, accounts, or obligations for which this form is submitted (except as permitted in Regulations section 1.1471-6(h)(2)).

Part XV Exempt Retirement Plans

Check box 29a, b, c, d, e, or f, whichever applies.

- 29a** I certify that the entity identified in Part I:
- Is established in a country with which the United States has an income tax treaty in force (see Part III if claiming treaty benefits);
 - Is operated principally to administer or provide pension or retirement benefits; **and**
 - Is entitled to treaty benefits on income that the fund derives from U.S. sources (or would be entitled to benefits if it derived any such income) as a resident of the other country which satisfies any applicable limitation on benefits requirement.
- b** I certify that the entity identified in Part I:
- Is organized for the provision of retirement, disability, or death benefits (or any combination thereof) to beneficiaries that are former employees of one or more employers in consideration for services rendered;
 - No single beneficiary has a right to more than 5% of the FFI's assets;
 - Is subject to government regulation and provides annual information reporting about its beneficiaries to the relevant tax authorities in the country in which the fund is established or operated; **and**
 - (i) Is generally exempt from tax on investment income under the laws of the country in which it is established or operates due to its status as a retirement or pension plan;
 - (ii) Receives at least 50% of its total contributions from sponsoring employers (disregarding transfers of assets from other plans described in this part, retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, other retirement funds described in an applicable Model 1 or Model 2 IGA, or accounts described in Regulations section 1.1471-5(b)(2)(i)(A));
 - (iii) Either does not permit or penalizes distributions or withdrawals made before the occurrence of specified events related to retirement, disability, or death (except rollover distributions to accounts described in Regulations section 1.1471-5(b)(2)(i)(A) (referring to retirement and pension accounts), to retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, or to other retirement funds described in this part or in an applicable Model 1 or Model 2 IGA); **or**
 - (iv) Limits contributions by employees to the fund by reference to earned income of the employee or may not exceed \$50,000 annually.
- c** I certify that the entity identified in Part I:
- Is organized for the provision of retirement, disability, or death benefits (or any combination thereof) to beneficiaries that are former employees of one or more employers in consideration for services rendered;
 - Has fewer than 50 participants;
 - Is sponsored by one or more employers each of which is not an investment entity or passive NFFE;
 - Employee and employer contributions to the fund (disregarding transfers of assets from other plans described in this part, retirement and pension accounts described in an applicable Model 1 or Model 2 IGA, or accounts described in Regulations section 1.1471-5(b)(2)(i)(A)) are limited by reference to earned income and compensation of the employee, respectively;
 - Participants that are not residents of the country in which the fund is established or operated are not entitled to more than 20% of the fund's assets; **and**
 - Is subject to government regulation and provides annual information reporting about its beneficiaries to the relevant tax authorities in the country in which the fund is established or operates.

Part XV Exempt Retirement Plans *(continued)*

- d I certify that the entity identified in Part I is formed pursuant to a pension plan that would meet the requirements of section 401(a), other than the requirement that the plan be funded by a trust created or organized in the United States.
- e I certify that the entity identified in Part I is established exclusively to earn income for the benefit of one or more retirement funds described in this part or in an applicable Model 1 or Model 2 IGA, or accounts described in Regulations section 1.1471-5(b)(2)(i)(A) (referring to retirement and pension accounts), or retirement and pension accounts described in an applicable Model 1 or Model 2 IGA.
- f I certify that the entity identified in Part I:
- Is established and sponsored by a foreign government, international organization, central bank of issue, or government of a U.S. possession (each as defined in Regulations section 1.1471-6) or an exempt beneficial owner described in an applicable Model 1 or Model 2 IGA to provide retirement, disability, or death benefits to beneficiaries or participants that are current or former employees of the sponsor (or persons designated by such employees); **or**
 - Is established and sponsored by a foreign government, international organization, central bank of issue, or government of a U.S. possession (each as defined in Regulations section 1.1471-6) or an exempt beneficial owner described in an applicable Model 1 or Model 2 IGA to provide retirement, disability, or death benefits to beneficiaries or participants that are not current or former employees of such sponsor, but are in consideration of personal services performed for the sponsor.

Part XVI Entity Wholly Owned by Exempt Beneficial Owners

- 30 I certify that the entity identified in Part I:
- Is an FFI solely because it is an investment entity;
 - Each direct holder of an equity interest in the investment entity is an exempt beneficial owner described in Regulations section 1.1471-6 or in an applicable Model 1 or Model 2 IGA;
 - Each direct holder of a debt interest in the investment entity is either a depository institution (with respect to a loan made to such entity) or an exempt beneficial owner described in Regulations section 1.1471-6 or an applicable Model 1 or Model 2 IGA.
 - Has provided an owner reporting statement that contains the name, address, TIN (if any), chapter 4 status, and a description of the type of documentation provided to the withholding agent for every person that owns a debt interest constituting a financial account or direct equity interest in the entity; **and**
 - Has provided documentation establishing that every owner of the entity is an entity described in Regulations section 1.1471-6(b), (c), (d), (e), (f) and/or (g) without regard to whether such owners are beneficial owners.

Part XVII Territory Financial Institution

- 31 I certify that the entity identified in Part I is a financial institution (other than an investment entity) that is incorporated or organized under the laws of a possession of the United States.

Part XVIII Excepted Nonfinancial Group Entity

- 32 I certify that the entity identified in Part I:
- Is a holding company, treasury center, or captive finance company and substantially all of the entity's activities are functions described in Regulations section 1.1471-5(e)(5)(i)(C) through (E);
 - Is a member of a nonfinancial group described in Regulations section 1.1471-5(e)(5)(i)(B);
 - Is not a depository or custodial institution (other than for members of the entity's expanded affiliated group); **and**
 - Does not function (or hold itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle with an investment strategy to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes.

Part XIX Excepted Nonfinancial Start-Up Company

- 33 I certify that the entity identified in Part I:
- Was formed on (or, in the case of a new line of business, the date of board resolution approving the new line of business) _____ (date must be less than 24 months prior to date of payment);
 - Is not yet operating a business and has no prior operating history or is investing capital in assets with the intent to operate a new line of business other than that of a financial institution or passive NFFE;
 - Is investing capital into assets with the intent to operate a business other than that of a financial institution; **and**
 - Does not function (or hold itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes.

Part XX Excepted Nonfinancial Entity in Liquidation or Bankruptcy

- 34 I certify that the entity identified in Part I:
- Filed a plan of liquidation, filed a plan of reorganization, or filed for bankruptcy on _____;
 - During the past 5 years has not been engaged in business as a financial institution or acted as a passive NFFE;
 - Is either liquidating or emerging from a reorganization or bankruptcy with the intent to continue or recommence operations as a nonfinancial entity; **and**
 - Has, or will provide, documentary evidence such as a bankruptcy filing or other public documentation that supports its claim if it remains in bankruptcy or liquidation for more than 3 years.

Part XXI 501(c) Organization

35 I certify that the entity identified in Part I is a 501(c) organization that:

- Has been issued a determination letter from the IRS that is currently in effect concluding that the payee is a section 501(c) organization that is dated _____; **or**
- Has provided a copy of an opinion from U.S. counsel certifying that the payee is a section 501(c) organization (without regard to whether the payee is a foreign private foundation).

Part XXII Nonprofit Organization

36 I certify that the entity identified in Part I is a nonprofit organization that meets the following requirements.

- The entity is established and maintained in its country of residence exclusively for religious, charitable, scientific, artistic, cultural or educational purposes;
- The entity is exempt from income tax in its country of residence;
- The entity has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
- Neither the applicable laws of the entity's country of residence nor the entity's formation documents permit any income or assets of the entity to be distributed to, or applied for the benefit of, a private person or noncharitable entity other than pursuant to the conduct of the entity's charitable activities or as payment of reasonable compensation for services rendered or payment representing the fair market value of property which the entity has purchased; **and**
- The applicable laws of the entity's country of residence or the entity's formation documents require that, upon the entity's liquidation or dissolution, all of its assets be distributed to an entity that is a foreign government, an integral part of a foreign government, a controlled entity of a foreign government, or another organization that is described in this part or escheats to the government of the entity's country of residence or any political subdivision thereof.

Part XXIII Publicly Traded NFFE or NFFE Affiliate of a Publicly Traded Corporation

Check box 37a or 37b, whichever applies.

37a I certify that:

- The entity identified in Part I is a foreign corporation that is not a financial institution; **and**
- The stock of such corporation is regularly traded on one or more established securities markets, including _____ (name one securities exchange upon which the stock is regularly traded).

b I certify that:

- The entity identified in Part I is a foreign corporation that is not a financial institution;
- The entity identified in Part I is a member of the same expanded affiliated group as an entity the stock of which is regularly traded on an established securities market;
- The name of the entity, the stock of which is regularly traded on an established securities market, is _____; **and**
- The name of the securities market on which the stock is regularly traded is _____.

Part XXIV Excepted Territory NFFE

38 I certify that:

- The entity identified in Part I is an entity that is organized in a possession of the United States;
- The entity identified in Part I:
 - (i) Does not accept deposits in the ordinary course of a banking or similar business;
 - (ii) Does not hold, as a substantial portion of its business, financial assets for the account of others; **or**
 - (iii) Is not an insurance company (or the holding company of an insurance company) that issues or is obligated to make payments with respect to a financial account; **and**
- All of the owners of the entity identified in Part I are bona fide residents of the possession in which the NFFE is organized or incorporated.

Part XXV Active NFFE

39 I certify that:

- The entity identified in Part I is a foreign entity that is not a financial institution;
- Less than 50% of such entity's gross income for the preceding calendar year is passive income; **and**
- Less than 50% of the assets held by such entity are assets that produce or are held for the production of passive income (calculated as a weighted average of the percentage of passive assets measured quarterly) (see instructions for the definition of passive income).

Part XXVI Passive NFFE

40a I certify that the entity identified in Part I is a foreign entity that is not a financial institution (other than an investment entity organized in a possession of the United States) and is not certifying its status as a publicly traded NFFE (or affiliate), excepted territory NFFE, active NFFE, direct reporting NFFE, or sponsored direct reporting NFFE.

Check box 40b or 40c, whichever applies.

b I further certify that the entity identified in Part I has no substantial U.S. owners (or, if applicable, no controlling U.S. persons); **or**

c I further certify that the entity identified in Part I has provided the name, address, and TIN of each substantial U.S. owner (or, if applicable, controlling U.S. person) of the NFFE in Part XXIX.

Part XXVII Excepted Inter-Affiliate FFI

- 41 I certify that the entity identified in Part I:
- Is a member of an expanded affiliated group;
 - Does not maintain financial accounts (other than accounts maintained for members of its expanded affiliated group);
 - Does not make withholdable payments to any person other than to members of its expanded affiliated group;
 - Does not hold an account (other than depository accounts in the country in which the entity is operating to pay for expenses) with or receive payments from any withholding agent other than a member of its expanded affiliated group; **and**
 - Has not agreed to report under Regulations section 1.1471-4(d)(2)(ii)(C) or otherwise act as an agent for chapter 4 purposes on behalf of any financial institution, including a member of its expanded affiliated group.

Part XXVIII Sponsored Direct Reporting NFFE (see instructions for when this is permitted)

- 42 Name of sponsoring entity: _____
- 43 I certify that the entity identified in Part I is a direct reporting NFFE that is sponsored by the entity identified on line 42.

Part XXIX Substantial U.S. Owners of Passive NFFE

As required by Part XXVI, provide the name, address, and TIN of each substantial U.S. owner of the NFFE. Please see the instructions for a definition of substantial U.S. owner. If providing the form to an FFI treated as a reporting Model 1 FFI or reporting Model 2 FFI, an NFFE may also use this part for reporting its controlling U.S. persons under an applicable IGA.

Name	Address	TIN

Part XXX Certification

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- The entity identified on line 1 of this form is the beneficial owner of all the income or proceeds to which this form relates, is using this form to certify its status for chapter 4 purposes, or is submitting this form for purposes of section 6050W or 6050Y;
- The entity identified on line 1 of this form is not a U.S. person;
- This form relates to: (a) income not effectively connected with the conduct of a trade or business in the United States, (b) income effectively connected with the conduct of a trade or business in the United States but is not subject to tax under an income tax treaty, (c) the partner's share of a partnership's effectively connected taxable income, or (d) the partner's amount realized from the transfer of a partnership interest subject to withholding under section 1446(f); **and**
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which the entity on line 1 is the beneficial owner or any withholding agent that can disburse or make payments of the income of which the entity on line 1 is the beneficial owner.

I agree that I will submit a new form within 30 days if any certification on this form becomes incorrect.

I certify that I have the capacity to sign for the entity identified on line 1 of this form.

Sign Here



Signature of individual authorized to sign for beneficial owner

Print Name

Date (MM-DD-YYYY)



中達證券投資有限公司

CENTRAL WEALTH SECURITIES INVESTMENT LIMITED

香港聯合交易所參與者 (CE NO. AVE583)
Exchange Participant of The Stock Exchange of Hong Kong Limited

香港金鐘夏愨道16號遠東金融中心18樓1801-1802室
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Standing Authority - Client Securities and Securities Collateral (For Margin Client Only) 常設授權書 (只供保證金客戶)

To 致: Central Wealth Securities Investment Limited 中達證券投資有限公司		Date 日期 :
Room 1801-1802, 18F, Far East Financial Centre, 16 Harcourt Road, Admiralty, Hong Kong 香港金鐘夏愨道16號遠東金融中心18樓1801-1802室		
* Account Number 帳戶號碼:	* Account Name 帳戶姓名:	* ID/Passport No. 身份證/護照號碼:

Re: Authority under Section 148 of the Securities and Futures Ordinance and the Securities and Futures (Client Securities) Rules made under that section to lend or deposit securities

根據《證券及期貨條例》(第 148 條及其下證券及期貨(客戶證券)規則)

This letter of authority covers securities deposited with you as collateral.

本授權書是有關一切由 貴公司代表本人(等)存於 貴公司處作為抵押品之證券。

Authorization Details as follows 授權書詳列如下:

Pursuant to the Securities and Futures (Client Securities) Rules (Cap. 571H of the Laws of Hong Kong), I/We may authorize and/or instruct Central Wealth Securities Investment Limited ("CWSIL") to deal, from time to time, with the Securities and/or securities collateral received or held on my/our behalf in one or more of the following ways: -

根據《證券及期貨(客戶證券)規則 (香港法例第 571H 章)》，客戶授權及/或指示中達證券投資有限公司("中達證券")不時按以下一種或多種方式處置代其收取或持有的證券及/或證券抵押品:

- To apply any of the Securities or securities collateral pursuant to the Terms and Conditions of CWSIL;
根據中達證券的條款及守則，運用任何證券或證券抵押品；
- To deposit any of the securities with an authorized financial institution (as defined by the Banking Ordinance) as collateral for financial accommodation provided to CWSIL;
將任何證券存放於認可財務機構(根據<銀行條例>所作之定義)，作為該機構向中達證券提供財務通融之抵押品；
- To deposit any of the securities collateral with any clearing house recognized by the SFC including Hong Kong Securities Clearing Company Limited ("HKSCC") or another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of my/our settlement obligations and liabilities towards CWSIL. I/We understand that HKSCC will have a first fixed charge over the securities to the extent of your obligations and liabilities;
將任何證券抵押品存放於獲證監會認可的任何結算所，包括：香港中央結算有限公司("中央結算")或另一持牌或註冊進行證券交易的中介人，作為解除及清償客戶對中達證券的交收責任及債務的抵押品。本人/吾等明白中央結算因應 貴公司的責任和義務而對本人/吾等的證券設定第一固定押記；
- To lend or deposit any of the securities to fulfill settlement obligations between the exchange participants of The Stock Exchange of Hong Kong Limited ("SEHK"). Any lending or depositing must be in accordance with the regulations of SEHK;
貸出或存放任何證券，以完成香港聯合交易所有限公司(聯交所) 的交易所參與者之間之交收責任。任何證券貸出或存放須依照聯交所規則進行；
- To deposit the securities or securities collateral with The SEHK Options Clearing House Limited ("SEOCH") as SEOCH Collateral in respect of Exchange Traded Options Business resulting from the my/our instructions to CWSIL; and
將證券或證券抵押品存放於香港聯合交易所期權結算所有限公司(聯交所期權結算所)，作為因客戶向中達證券發出指示進行交易所買賣期權活動的聯交所期權結算所的抵押品；及
- To treat and deal with the securities and securities collateral in such manner as CWSIL consider appropriate taking into account any applicable legal or regulatory requirement from time to time.
按照中達證券經考慮不時的適用法律及規管規定而認為適當的方式，處理及處置證券及證券抵押品。

You may do any of these things without giving me/us notice. I/We acknowledge that this standing authority shall not affect your right to dispose or initiate a disposal by my/our affiliates of our securities or securities collateral in settlement of any liability owned by or on behalf of me/us to you, the affiliates or a third person.

貴公司可不向本人/吾等發出事前通知而採取上述行動。本人/吾等確認本授權書不影響 貴公司為解除由吾等或代本人/吾等對 貴公司、貴公司之聯繫實體或第三者所負的法律責任，而處置或促使 貴公司的聯繫實體處置本人/吾等之證券或證券抵押品的權利。

This standing authority is given to you in consideration of your agreeing to continue to maintain the securities margin account(s) for me/us.

此賦予 貴公司之授權乃鑑於 貴公司同意繼續維持吾等之證券保證金帳戶。

I/We understand that a third party may have rights to my/our securities, which you must satisfy before my/our securities can be returned to me/us.

本人/吾等明白本人/吾等的證券可能受制於第三者之權利，貴公司須全數抵償該等權利後，方可將本人/吾等的證券退回給本人/吾等。

This standing authority is valid for a period of not more than 12 months and shall expire on 31-December each year. I/We understand that this standing authority may be revoked by giving you written notice. Such notice shall take effect upon the expiry of 14 days from the date of your actual receipt of such notice.

本常設授權書有效期不超過 12 個月，並於每年 12 月 31 日屆滿。本人/吾等明白本人/吾等可以向 貴公司發出書面通知撤銷本授權書。該等通知之生效日期為 貴公司真正收到該等通知之日期 14 日後起計。

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

本人/吾等明白 貴公司若在本常設授權書的有效期屆滿前 14 日，向本人/吾等發出書面通知，提醒本人/吾等本授權書即將屆滿，而本人/吾等沒有 在此授權屆滿日前反對此授權續期，本授權書應當作在不需要本人/吾等的書面同意下按持續的基準已被續期。

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

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

I/We acknowledge that this standing authority and re-pledging practice of your Company has been fully explained to me/us and we understand and agree with the contents of this standing authority.

本人/吾等就本常設授權書的內容及 貴公司的轉按政策獲得解釋，並且本人/吾等明白及同意本授權書的內容。

Client Signature(s):

FOR OFFICE USE ONLY

Inputted by:	Checked by:	Approved by:	Date:
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中達證券投資有限公司

CENTRAL WEALTH SECURITIES INVESTMENT LIMITED

香港金鐘夏愨道16號遠東金融中心18樓1801-1802室
Room 1801-1802, 18/F, Far East Financial Centre,
16 Harcourt Road, Admiralty, Hong Kong.

香港聯合交易所參與者 (CE NO. AVE583)
Exchange Participant of The Stock Exchange of Hong Kong Limited

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證券保證金交易 協議書

本協議書於 _____ 年 _____ 月 _____ 日由下列雙方簽訂

- (A) 中達證券投資有限公司，其註冊辦事處在香港金鐘夏愨道16號遠東金融中心18樓1801-1802室（以下稱為「中達證券」）；及
- (B) 以下簽署客戶，其姓名和身份證號碼載於本協議書的簽署頁（以下稱為「客戶」）。

鑒於

- (1) 本協議書作為客戶與中達證券所訂立的證券交易客戶協議書（「證券交易客戶協議書」）的補充文件，應與其一併閱讀。若證券交易客戶協議書與本協議書的條文有任何衝突，概以本協議書的條文為準。
- (2) 當中達證券就證券交易向客戶提供信貸融通（「保證金融通」）時，中達證券為客戶開立的用以記錄該等保證金融通或交易的帳戶稱為保證金證券交易帳戶（「保證金帳戶」）。
- (3) 客戶同意並意欲在中達證券開立一個或多個保證金帳戶以進行證券交易及獲提供保證金融通，以方便客戶取得或持有證券。
- (4) 在受本協議書條款和條件的規限下，中達證券同意為客戶開立及維持該（等）保證金帳戶，並在買賣證券方面以客戶的代理人身份行事。

1. 定義

- 1.1 除非另有說明，在本協議書內所界定的詞語，其涵義與證券交易客戶協議書中該等詞語的涵義相同。
- 1.2 在證券交易客戶協議書內對「帳戶」的提述視作包括根據本協議書開立的保證金帳戶。
- 1.3 對單數詞語的提述包括複數，反之亦然，而對某性別的提述包括任何性別。

「中央結算系統」指香港結算為結算在香港聯合交易所有限公司上市或交易的證券而運作的中央結算及交收系統。

「中央結算系統存管處」指香港結算委任以履行於中央結算系統的存管處及託管人服務的人士。

「中央結算系統代名人」指香港結算的代名人公司或香港結算委任以履行中央結算系統代名人服務的其他人士（包括香港結算本身）。

「中央結算系統參與者」指中央結算系統存管處同意透過中央結算系統代名人提供代名人服務的中央結算系統任何參與者。

「押記」指由本協議書所設定或明確指出會設定或依據本協議書所設定或明確指出會設定的所有或任何抵押。

「抵押證券」指就保證金融通及就不時履行客戶對中達證券的所有責任，客戶向中達證券所抵押

作為持續性抵押的證券。

「**客戶證券**」指由或代表中達證券或中達集團任何其他成員或代名人收取或持有的任何證券（證券抵押品除外），而該等證券是代客戶如此收取或持有的，或客戶對該等證券是擁有法律上或衡平法上的權益的。

「**抵押品**」指抵押證券、客戶證券、證券抵押品，以及現時或此後任何時間存放於、轉調或促使轉調予中達證券或中達集團其他成員或代名人的或者由中達證券或中達集團其他成員或代名人持有的，或者轉調予任何其他人士或由任何其他人士持有的客戶之一切款項，而在該等情況下，中達證券接納以此作為客戶在本協議書下責任的抵押。抵押品應包括不時為任何目的而成為由中達證券管有、託管或控制的該等款項及證券（應包括任何額外或取代證券以及任何時候通過對或就任何該等證券或額外證券或取代證券的贖回、分紅、優先權、期權或以其他方式累計的一切已支付或應支付的股息、利息、權利、權益、款項或財產）。

「**違約事件**」具有在第 10.5 條內列出的涵義。

「**財務通融**」指在《證券及期貨條例》內所界定的財務通融。

「**中達集團**」指中達證券的控股公司（按在香港《公司條例》內所界定）或中達證券的任何附屬公司（按在香港《公司條例》內所界定）或該控股公司的附屬公司。

「**香港結算**」指香港中央結算有限公司。

「**指示**」指以中達證券指明或接受的形式及方式，包括電郵或其他電子通訊途徑（受限於有關交付及接收時間的規則及條件），向中達證券發出，有關保證金帳戶服務的指示。

「**發行人**」指發行任何抵押證券的每一公司或實體。

「**貸款**」指根據保證金融通而於任何有關時間欠負中達證券的合計本金金額及利息。

「**貸款與價值比率**」指以百分率表示的貸款與估值比率，並按下列公式計算：貸款/證券市值 x 100%。

「**保證金限額**」是中達證券就客戶的抵押品和保證金比率的數額而將授予客戶的保證金融通的最高款額。

「**保證金比率**」是抵押品價值的某個百分率，而該百分率是客戶被容許以抵押品向中達證券借款（或以其他方式自中達證券取得其他方式的財務通融）的上限。

「**證券**」以中達證券可不時依據本保證金融通條款接受或處理的任何股票、股份、權證、債券（為免產生疑問，包括但不限於可換股債券）、票據、衍生工具、存款證、單位元信託、互惠基金及其他集體投資計劃，以及通常被稱為證券的其他權益，包括：

- (a) 任何人士、政府或政府當局的或由任何人士、政府或政府當局發行的股份及部份已繳股款股份、股票、債權證、債權股額、基金、債券或票據；
- (b) 在上文 (a) 內任何證券內的或有關該等證券的權利、期權或權益（不論是否以單位元方式描述）；
- (c) 在上文 (a) 內任何證券的證明書或收據，或者認購或購買該等證券的權證；及
- (d) 在任何集體投資計劃內的權益。

「**證券抵押品**」指在進行中達證券按《證券及期貨條例》獲發牌或須獲發牌進行的任何受規管活動的過程中存放於中達證券；或中達集團任何其他成員；或代名人；或任何其他人士的任何證券，或者由客戶或代客戶以其他方式向中達證券；或中達集團任何其他成員；或代名人；或任何其他人士提供的任何證券，以保證或利便由中達證券提供的財務通融。

「**證券市值**」指就於任何特定時間的任何抵押證券而言，由中達證券按其絕對酌情決定權釐定於有關時間以及在同類證券一般買賣或報價的有關市場或相關交易所，該項抵押證券的市值（為免產生

疑問，中達證券可將若干抵押證券的價值評估為零或無價值)。

「證監會」指證券及期貨事務監察委員會或其繼任人。

「《證券及期貨條例》」指《證券及期貨條例》(第571章)。

2. 保證金融通

2.1 中達證券根據在本協議書、證券交易客戶協議書及中達證券向客戶發出的任何保證金要約信內列明的條文(以下統稱為「保證金融通條款」)向客戶授予保證金融通。客戶同意只就購取或持有證券使用保證金融通。

2.2 在受下文第2.4條的規限下，中達證券可批予客戶的保證金融通，其款額不超過中達證券可能不時通知客戶的保證金限額。中達證券可酌情決定更改向客戶提供的保證金限額和保證金比率而無需事先通知客戶。儘管已通知客戶有關保證金限額，中達證券仍可酌情決定，(1) 向客戶提供超出保證金限額的保證金融通，而客戶同意，客戶負有法律責任按的要求償還中達證券所發給的任何保證金融通之全數款額，或(2) 隨時拒絕根據保證金融通向客戶提供任何放款，即使當時適用的保證金限額並未被超過。

2.3 中達證券獲客戶授權提取保證金融通，以清償就客戶購買證券而到期須付予中達證券的任何款項，履行中達證券所規定有關於任何持倉的保證金維持責任，或支付欠下中達證券的任何佣金或其他費用和開支，包括為變現任何抵押品而可能引致的費用和任何開支。

2.4 中達證券在任何時候均將沒有責任向客戶提供任何保證金融通。特別是，客戶明白在下述任何情況發生時，中達證券將沒有任何責任提供或繼續提供任何保證金融通：-

- (a) 客戶違反保證金融通條款的任何條文，包括但不限於任何違約事件已經發生並持續存在；或
- (b) 中達證券認為客戶的財務狀況或任何人士的財務狀況有或已經有重大的不利改變，而這對客戶根據保證金融通條款清償其債務或履行其責任的能力可能有不利影響；或
- (c) 作出放款會導致超出適用的保證金限額；或
- (d) 中達證券以其絕對酌情權認為，為保障其利益而不提供或持續提供有關保證金融通是審慎和合宜的。

2.5 在客戶欠中達證券任何債務期間，中達證券應有權隨時及不時拒絕提取任何或所有抵押品，以及在未經中達證券事先書面同意下，客戶無權從客戶的帳戶中提取任何抵押品的部份或全部。中達證券為客戶或因客戶而收到來自出售證券的所有款項(減去經紀費和其他恰當收費)應首先記入保證金帳戶貸項，用以償還在保證金融通下尚未清償的任何款額。

2.6 客戶同意就提供給客戶的保證金融通款額支付按日計算的利息。息率應按中達證券取得資金的成本另加某個百分率計算，並將根據當時的貨幣市場情況而更改，且由中達證券不時通知客戶。該等利息收費可由中達證券從保證金帳戶或客戶設於中達證券或中達集團任何其他成員的任何其他帳戶中扣除。

3. 押記

3.1 固定押記

客戶以實益擁有人身份以第一固定押記的形式，向中達證券抵押客戶在所有抵押品中的及對所有抵押品的所有有關權利、所有權、利益和權益，作為支付及清償現時或今後任何時間根據保證金融通條款可能到期須付或欠下中達證券的一切款項和債務連同利息的持續性抵押。

3.2 浮動押記

- (a) 客戶以第一浮動押記的形式，抵押所有未在任何時間另行有效地根據第3.1條(固定押記)以第一固定押記的形式被押記或按揭的抵押品，作為支付及清償現時或今後任何時間根據保

證金融通條款可能到期須付或欠下中達證券的一切款項和負債連同利息的持續性抵押。

- (b) 倘發生下述情況（以較早者為準），客戶根據本 3.2 條（浮動押記）設定的第一浮動押記應立即及自動具體化為第一固定押記：(i) 相關抵押品的設立以及向客戶發行或由客戶收到相關抵押品，(ii) 任何有關客戶清盤、解散或重組的企業行動、法律程式或其他正式程式或正式行動，(iii) 任何違約事件的發生，(iv) 任何人採取任何行動對任何抵押品進行任何沒收、查封、暫押、扣押或執行，或 (v) 如中達證券認為，為保障或保留在抵押品上設定的抵押及/或押記的優先權，轉換任何根據本 3.2 條設定的浮動押記是可取的，而中達證券向客戶發出書面通知。

3.3 押記應為持續性，即使有任何中期支付或帳目結算或清償全部或部份客戶欠負中達證券的任何款項，即使客戶設於中達證券的任何帳戶被結束並在其後被重新開立，或客戶其後單獨或與其他人共同開立任何帳戶，此押記應延伸至涵蓋當時構成客戶在任何帳戶或以其他方式到期須付予中達證券餘額的所有或任何款項。

3.4 客戶聲明及保證：

- (a) 抵押品是由客戶合法及實益擁有；
(b) 客戶有權將抵押品存放於中達證券；及
(c) 抵押品是及將會維持不帶有任何類別的留置權、押記或產權負擔，以及抵押品所包含的任何股額、股份及其他證券均已繳足股款。

3.5 在不可撤回地全數支付根據本協議書可能或成為應支付的一切款項，以及全面履行客戶在保證金融通條款項下的責任後，中達證券將會按客戶的要求及在由客戶支付開支的情況下，向客戶解除中達證券在抵押品中的所有權利、所有權及權益，並將應客戶的要求發出完善上述解除所需的指示和指令。

3.6 客戶同意下列各項：

- (a) 在向客戶發出通知後，中達證券將有權行使有關抵押品的權利，以保障抵押品的價值；及
(b) 在押記成為可強制執行之前，除本協議書另有規定，客戶可發出指示行使抵押品的其他附加或關連的權利，但行使的方式不得與客戶在保證金融通條款下的責任相抵觸，也不得在任何方面影響中達證券對抵押品所享有的權利。

4. 確認及同意

4.1 客戶向中達證券確認：

- (a) 客戶已閱讀、完全明白及接受載於第 15 條的風險披露聲明；
(b) 客戶為在保證金帳戶內的所有證券及資金的唯一實益擁有人（或如在保證金融通條款下的服務是向兩位或多於兩位人士提供，則該等人士為僅有的實益擁有人），並擁有對存於中達證券或客戶指示中達證券代客戶處理的所有證券的妥善所有權，不附有產權負擔或任何第三者權益；
(c) 客戶擁有及將保持抵押證券的實益擁有權，不附有產權負擔或任何第三者權益（以中達證券為受益人者則除外）；及
(d) 第 3 條所設定的押記構成及將繼續構成對客戶有效及具法律約束力的責任，可按照其條款強制執行。

4.2 客戶承諾及同意下列各項：

- (a) 客戶不會（且不會試圖）就在保證金帳戶內的任何資產或資金設定或容許產生任何產權負擔或第三者權益，以中達證券為受益人者則除外；
(b) 客戶會取得及保持就第 3 條所設定的抵押所需的十足效力及作用的所有政府及其他批准、授權、許可證及同意，並將作出或促致作出所需或有用的所有其他行為及事宜，以履行其在保證金融通條款下的所有責任，或者以追認或確認中達證券就履行其在保證金融通條款下的責任或

行使其在保證金融通條款下的權利或權力而作出的任何事宜；

- (c) 在本協議書持續的整段期間內及/或在根據本協議書欠下任何款項的期間內，除非在中達證券事先書面同意下，否則客戶不會允許、批准或允許批准由任何發行人向任何人士發行任何股份或其他證券（但在本協議書日期已發行的股份則除外），以及將會在任何該等發行人的任何大會上投票表決，目的在於保障中達證券在本協議書中的抵押權益，並應授權中達證券代表客戶為該目的而投票表決；及
- (d) 客戶應於中達證券提出合理要求後在合理地切實可行範圍內盡快，並在客戶完全支付其本身的費用和開支的情況下，作出、簽立、進行、履行及提供中達證券合理地要求的所有該等進一步行為及檔，以完善、保障、維持或改善本協議書所提供或設定的抵押及/或以貫徹施行本協議書的任何條文。

4.3 就因或有關根據保證金融通條款擬進行的任何投資或交易而可能在任何適用規例下影響客戶的任何稅項事宜，客戶會尋求獨立專業意見，並將負責處理該等稅項事宜。此等事宜可能包括為任何投資或交易的利息、股息或任何其他分派或所得款項申請稅務抵免或減低須預扣或已預扣的稅率。除非中達證券以書面同意，否則其並無責任就該等稅項事宜提供意見或處理該等稅項事宜。

5. 授權書

客戶以抵押方式不可撤回地委任中達證券為客戶的獲授權人，代表客戶並以客戶的名義作出所有行為及事宜，並且簽署、蓋印、簽立、交付、完善及作出所有契據、文據、檔、行為及事宜，而該等行為、事宜、契據、文據、文件是為履行由或依據保證金融通條款對客戶所施加的任何責任以及一般而言為使中達證券能夠行使由或依據保證金融通條款或由法律所賦予其的有關權利和權力而可能需要的，包括（但不限於）：

- (a) 簽立有關任何抵押品的任何轉讓書或保證書；
- (b) 應中達證券可能不時合理提出的要求簽立及交付該等額外的押記、授權書及其他文件，就第3條所設定的抵押完善其對該抵押的所有權或將該抵押轉歸予其或使其能夠享有該抵押的全面利益；
- (c) 追認及確認中達證券在行使其在保證金融通條款下的權利或權力時代表客戶作出的所有檔、行為及事宜以及所有證券交易；
- (d) 完善其對任何抵押品的所有權；
- (e) 就任何抵押品項下或所產生的到期須付或將成為到期須付的任何及所有款項及款項申索作出請求、要求、索取、收取、解決以及妥為清償；
- (f) 就任何抵押品發出有效的收據及提供有效的解除文據，以及加簽任何支票或其他票據或匯票；及
- (g) 一般而言提交或採取或提出任何其認為必要或適宜的申索、合法行動或法律程式，以保障根據保證金融通條款所設定的抵押。

6. 存於中達證券或由中達證券持有的證券

6.1 在受第3條的規限下，中達證券為客戶或代客戶購得的所有證券及客戶已存於中達證券的證券將受下列條文規管：

- (a) 中達證券將以託管人身份持有及保管該等證券，並將有權將該等證券按中達證券認為適合的條款存於任何經紀、存管處或該等其他機構；
- (b) 該等證券將由中達證券以中達證券的代名人名義登記或以中央結算系統代名人名義為中達證券可能不時認為適當的中央結算系統參與者登記，並由中達證券代客戶持有。客戶同意簽署就上述目的而言屬有需要或有用的所有轉讓文書及檔。中達證券獲授權與任何中央結算系統參與者就託管以或擬以中央結算系統代名人的名義登記的此等證券而訂立協議或安排。該等協議或安排可載有中達證券酌情認為適當的條款及條件，而客戶將同意受該等協議及安排約束。客戶將負責中達證券的代名人或中央結算系統代名人的收費，該等收費會不時從保證金帳戶中扣除，而無須給予事先通知；
- (c) 中達證券可將該等證券互相替換，並與中達證券其他客戶的證券匯集處理。中達證券可在任何

時間酌情分配特定證券予客戶，而該項分配為最終並對客戶具約束力。如因任何原因而遺失或未能交付客戶存於中達證券並由中達證券與中達證券其他客戶的證券匯集處理的任何特定類別、公司、面值的全部或任何部份證券，所減少的證券數量或金額將由客戶與中達證券所有其他有關客戶按比例分擔；

- (d) 該等證券是在由客戶自行承擔風險下被存放，在受第13.1(h) 條的規限下，中達證券不會就任何損失及損害負上法律責任；及
- (e) 在客戶與中達證券之間事先同意的情況下，客戶可發出指示將有關證券轉移至客戶指定的中央結算系統參與者帳戶，以提取中達證券以中央結算系統代名人名義登記的證券。當中達證券將該轉移指示轉達至由中央結算系統代名人代為持有有關證券的有關經紀或中央結算系統存管處後，客戶即被視為已提取有關證券。中達證券不負有責任確保有關經紀或中央結算系統存管處已妥為執行該項指示或客戶的指示中指定的中央結算系統結算參與者已妥為收到有關證券。

6.2 中達證券無責任執行透過認購所需股份而接納供股的客戶指示，除非中達證券 (1) 於中達證券設定的時限內收到充足款額的即時可用已結算資金，或 (2) 同意根據保證金融通而向客戶提供墊支。

6.3 依據由客戶或代客戶接納的供股所配發的所有股份（但不包括客戶已放棄並以中達證券為受益人的該等股份）將構成客戶存於中達證券的證券的一部份。

7. 保證金涵蓋範圍

7.1 客戶監察及維持貸款金額及保證金比率的責任將受下列條文規限：

- (a) 客戶須 (i) 在任何時間監察及維持貸款不超過保證金限額及保證金比率於中達證券釐定為滿意的水準及 (ii) 履行中達證券不時發出的補倉通知；
- (b) 客戶須自行負責不時與中達證券保持聯絡，以確保客戶知悉保證金限額、關乎抵押證券的保證金比率，以及補倉通知的狀態和是否已被履行達致令中達證券滿意的程度；及
- (c) 中達證券有權行使其在第7.3條下的權利，以出售或處置抵押證券，即使 (i) 中達證券並未向客戶發出補倉通知，或 (ii) 中達證券並未及時知悉客戶已履行補倉通知。在受第13.1(h) 條的規限下，中達證券無須就該項出售或處置向客戶負上法律責任。

7.2 補倉通知

- (a) 中達證券將按有關證券交易所或其他交易所提供的資料及有關貨幣當時適用的匯率以實時基準監察及釐定證券市值。中達證券會於日內在中達證券認為適當的時間，更新客戶有關保證金帳戶服務的持倉。如中達證券於任何時間確定貸款超出保證金限額或貸款與價值比率到達或超出保證金比率（或兩者），中達證券可以（但無責任）拒絕按客戶或代客戶所發出的任何指示行事。中達證券亦有權向客戶發出補倉通知，要求客戶按中達證券所指明的數額和形式並在中達證券所指明時間內，向指定帳戶支付或存入款項、證券及/或其他資產的保證金，以減低貸款或增加抵押品（或兩者）（「補倉通知」）。除非補倉通知在所指明時間內獲完全履行，否則中達證券應無責任執行或回應客戶的指示以保證金買入或出售證券。
- (b) 客戶須採取下列步驟（或其中任何一項）以履行補倉通知：
 - (i) 將中達證券接納的金額的額外款項或即時可用已結算資金存入保證金帳戶；
 - (ii) 將中達證券接納的種類及價值的額外證券存入保證金帳戶並抵押予中達證券；及
 - (iii) 減低貸款，致使貸款不超出保證金限額。
- (c) 為免產生疑問：
 - (i) 中達證券可於一日內作出超過一次的補倉通知；及
 - (ii) 中達證券有權根據其紀錄釐定及計算有關價值及金額以決定是否發出補倉通知，即使由於更新紀錄或結算存於中達證券的資金、支票或證券需時，該等紀錄並不反映保證金帳戶中由中達證券代表客戶進行的最新證券交易。

7.3 關於保證金要求的權利

- (a) 在中達證券發出補倉通知之後至補倉通知以令中達證券滿意的方式被履行之前的期間，中達證券有權 (i) 行使其在第12條(抵銷及留置權)及本第7.3條下的任何權利，而無須通知客戶，及(ii) 拒絕執行客戶有關保證金帳戶或任何證券買賣的任何指示。
- (b) 如在任何時間發生下列事項(或其中任何一項)，中達證券有權行使其在第7.3(c) 條內所載的權利，不論有否發出任何補倉通知；
 - (i) 中達證券決定貸款與價值比率到達或超出保證金比率，即使(1) 該決定是基於中達證券的紀錄，而由於更新紀錄或結算存於中達證券的資金、支票或證券需時，該等紀錄並不反映保證金帳戶的最新交易；或(2) 中達證券不知道補倉通知已被履行；及
 - (ii) 中達證券本著真誠認為市場情況可能導致投資者承擔不能接受的風險或重大虧損，包括不穩定、不利及不正常市場情況。
- (c) 在發生第7.3(b) 條所指明的任何事件隨後任何時間，中達證券可以(但並無責任)在其認為適當的情況下採取下列行動(或其中任何一項)，而無須作出要求、通知、法律程式檔或其他行動；
 - (i) 終止保證金融通；
 - (ii) 取消或修訂尚未履行的指示；及
 - (iii) 於有關市場或以私人合約方式，按中達證券絕對酌情認為適當的條款出售、變現、贖回、結清或以任何其他方式處置所有或任何抵押證券，而不附帶客戶可能擁有的任何索償、贖回權利、衡平法上或其他權利或權益。
- (d) 中達證券有權選擇出售或處置全部、任何或某部份抵押證券，包括有權出售或處置較所需數量為多的抵押證券以減少貸款至不超出保證金限額。中達證券亦有權隨時及按其認為適當的任何條款出售或處置抵押證券。對於因為或有關任何該等出售或處置而引致客戶或任何其他人士可能招致或蒙受的任何種類的任何損失、損害或開支，中達證券無須對客戶負上法律責任。客戶無權就未有以較佳的價格或時間出售或處置抵押證券而對中達證券行使任何權利或作出申索。
- (e) 中達證券會酌情將出售、變現、贖回、結清或處置抵押證券產生的任何所得款項存入保證金帳戶，以扣減貸款，直至貸款已獲全數償還或降至不超出保證金限額為止。

8. 反攤薄

在不影響中達證券在本協議書項下權利及權益的前提下，抵押品或在本協議書中所提供的抵押權益之經濟或財務效力不得因以下各項而受到影響，即抵押品分類的任何分拆、合併或更改或者當中任何一項，或者其股份構成抵押品全部或部份的任何公司或實體改組或與任何公司或實體合併，或者客戶或發行人進一步發行股本或股本衍生工具或授予期權，或者客戶或發行人籌集進一步債務。如果在客戶沒有經中達證券事先書面同意下，抵押品或抵押權益的經濟或財務效力因任何上述事件受到如此影響，中達證券可酌情決定要求立即償還貸款。

9. 轉委

- 9.1 中達證券可委任任何其他人士作其代理人或代名人為中達證券履行保證金帳戶的任何服務。該人士包括以中達證券的代理人或代名人身份行事的任何服務提供者或分包商，而不包括任何獨立服務提供者或分包商。為該目的(i) 中達證券可向該人士轉授中達證券的任何權力，以及(ii) 客戶授權中達證券向該人士披露或轉移有關客戶、保證金帳戶服務及保證金帳戶的任何資料。
- 9.2 中達證券有權聘用任何人士協助其追討及收回客戶欠下中達證券的任何尚未清還或逾期的金額。該等人士包括任何收數代理或任何其他服務提供者。客戶須繳付中達證券為保留或強制執行其有關保證金帳戶服務或保證金帳戶的權利而合理地招致的所有成本及開支(包括中達證券聘用的任何收數代理的費用及就索求、收回、起訴或追討任何尚未清還或逾期金額的法律費用)。

10. 違約

- 10.1 客戶同意中達證券可在下列情況下處置全部或部份任何抵押品，而無需通知客戶：

- (a) 如果客戶未能在收到補倉通知後維持保證金比率；或
- (b) 如果客戶未能應要求付還或清償保證金融通；或
- (c) 如果客戶未能結清已提供保證金融通的證券交易；或
- (d) 如果客戶有就買賣證券而欠下中達證券的債項，而該債項在中達證券處置了在保證金融通下所購買的所有證券後仍然尚未清償。

10.2 客戶同意，若根據保證金融通條款作出任何出售，中達證券將有絕對酌情權出售或處置任何抵押品。當中達證券作出任何出售時，由中達證券的一名高級人員所作出表示出售權力已成為可行使的聲明，對所出售的抵押品的任何買方或得到其所有權的其他人士而言應屬有關事實的不可推翻的證據，任何與中達證券進行交易的人士應無須查詢該宗出售的情況。

10.3 若出售所得淨收益不足以償付客戶在保證金融通條款項下全部負債，客戶承諾按要求向中達證券支付當時可能到期須付的任何差額。

10.4 客戶應不時按中達證券的要求，及時並妥善地簽立及交付任何及所有中達證券為了獲得保證金融通條款的及據此獲授予權利和權力的全面利益而可能認為屬必要或可取的進一步指示和檔。

10.5 違約事件

在不限制或削弱證券交易客戶協議書第13.10條效力的前提下，下列每項事件均屬違約事件：

- (a) 未能以指定的貨幣及方式向中達證券支付貸款或在保證金融通條款下到期須付及應支付的任何其他金額；
- (b) 未能履行或遵守在保證金融通條款下的任何其他責任，而中達證券認為此構成客戶本身的重重大違約；
- (c) 未能以令中達證券滿意的方式履行補倉通知；
- (d) 客戶逝世或客戶在法律上無行為能力；
- (e) 客戶成為破產或者客戶提出或任何人士對客戶提出破產、清盤或類似濟助的呈請；
- (f) 就客戶全部資產或資產的重要部份申請委任或委任清盤人、接管人、受託人或其他類似人員；
- (g) 產權負擔人接管保證金帳戶、中達證券欠下客戶的任何款項、中達證券代客戶持有的任何資產或客戶的任何資產，或針對前述各項實施或強制執行扣押、執行令狀、扣押令或其他法律程式；
- (h) 於債務到期須付時，客戶無能力或承認無能力清還債務；及
- (i) 法律的任何更改禁止提供、維持或操作保證金帳戶服務或保證金帳戶，或使該等提供、維持或操作變成不合法。

在保證金融通條款項下的違約事件將構成在證券交易客戶協議書第13.10條項下的「違約事件」。

11. 終止保證金融通

11.1 保證金融通應按要求予以償還，並可由中達證券絕對酌情予以更改或終止。特別是，在發生下列任何一項或多於一項事件時，保證金融通將予以終止：

- (a) 客戶撤銷或不再延續《證券及期貨（客戶證券）規則》（第571H章）第7(2) 條所規定對中達證券的授權；或
- (b) 根據證券交易客戶協議書第13.11條作出任何終止，而為此目的所發出的任何終止通知將被視為保證金融通的終止通知。

11.2 在保證金融通終止時，客戶須隨即向中達證券償還任何尚未清償的債務。

11.3 償還欠下中達證券的所有或任何貸款款額本身不會構成保證金融通條款的取消或終止。

11.4 暫停或終止保證金帳戶服務

- (a) 中達證券有權在給予或不給予客戶通知或理由下暫停或終止全部或任何保證金帳戶服務。
- (b) 在不限制或削弱在第11.1條或第11.4(a) 條下的效力的情況下，如任何違約事件發生，中達證券有權即時終止保證金帳戶服務，並結束保證金帳戶，而無須通知客戶。

11.5 客戶作出終止

客戶可事先向中達證券發出不少於十五（15）天的書面通知，以終止保證金帳戶。

11.6 終止的後果

- (a) 保證金帳戶服務終止後，貸款及客戶在保證金融通條款下所有到期須付或欠下中達證券的金額將成為即時到期須付及應予支付。中達證券將不再負有任何責任授予或繼續授予保證金融通，或按保證金融通條款代客戶買賣或繼續買賣證券，即使客戶已發出相反的指示。
- (b) 中達證券有權按中達證券酌情認為適當的方式及條款出售、變現、贖回、結清或以其他方式處置所有或任何抵押證券，以清還貸款及客戶在保證金融通條款下欠下中達證券的任何其他金額，風險及開支由客戶承擔。就因或有關任何該等出售或處置而引致客戶或任何其他人士可能招致或蒙受的任何種類的損失、損害或開支，中達證券無須向客戶負上法律責任。
- (c) 中達證券在扣除其就出售或處置中達證券合理招致的成本、收費、費用及開支（包括法律開支）後，會將其所收到的該項出售現金所得款項存入保證金帳戶或其可絕對酌情選擇的其他帳戶。在全數支付貸款及客戶在保證金融通條款下欠下中達證券的任何其他金額後，保證金帳戶的貸項結餘（如有）將會交還予客戶。中達證券亦會將未被出售或處置的任何抵押證券，以及中達證券管有的或其代名人管有的任何所有權檔交付予客戶，風險及開支由客戶承擔。

11.7 如在運用現金所得款項後，保證金帳戶存在借項結餘，客戶須向中達證券支付相等於該借項結餘加上中達證券就借項結餘金額提供資金成本，該等成本計算至（任何判決之前及之後）收到全數付款當日。

11.8 即使已暫停或已終止所有或任何保證金帳戶服務或已結束保證金帳戶，就仍然須由客戶履行或清償的任何責任或債務而言，客戶繼續受保證金融通條款約束。

12. 抵銷及留置權

12.1 在不限制或削弱證券交易客戶協議書第13.10條及第13.11條效力的情況下，中達證券有權作出下列各項而無須事先通知客戶：

- (a) 就中達證券或中達集團任何其他成員不時為任何目的而管有或控制的所有客戶財產（包括保證金帳戶及客戶設於中達證券或中達集團任何其他成員之其他帳戶內的所有證券）行使留置權。中達證券有權運用該等財產或出售該等財產，並將所得款項用作清還客戶對中達證券或中達集團任何其他成員負有的任何負債（該等負債包括由客戶以主事人或擔保人身份所招致而欠下中達證券或中達集團任何其他成員的債項，不論該等債項是實際或是或然的、以主事人或附屬公司身份、單獨或共同欠下的）；
- (b) 就客戶應向中達證券或中達集團任何其他成員繳付的任何金額（包括任何費用、開支或利息），從保證金帳戶及客戶設於中達證券或中達集團任何其他成員之其他帳戶支帳，不論有關帳戶是否有充足可用資金、透支或其他融通，即使客戶已就運用任何帳戶的資金發出指示。如任何支帳導致有關帳戶被透支，客戶有法律責任應要求向中達證券償還尚未清償金額連同就尚未清償金額累算的費用、開支及利息，以中達證券所設定的利率計算；
- (c) 扣起、組合或合併保證金帳戶及客戶設於中達證券或中達集團任何其他成員之其他帳戶的結餘，並將記入任何帳戶貸項的任何款項進行抵銷或轉帳，用作或用以結清客戶欠下中達證券或

- 中達集團任何其他成員的任何金額。客戶欠下的款項 (1) 可能為實際或是或有的、現有、將有或遞延的、基本性或擔保性的欠款，(2) 可由客戶獨自或與任何其他人士共同欠下，(3) 可包括為履行補倉通知客戶應支付的任何金額，及 (4) 可包括費用、開支或利息；
- (d) 如記入保證金帳戶及客戶設於中達證券或中達集團任何其他成員之其他帳戶貸項的任何不論以任何貨幣為單位的款項等於或少於客戶欠下中達證券或中達集團任何其他成員的金額，當該等款項到期須付或被客戶要求清還時拒絕向客戶清還。如中達證券就任何款項行使此權利，該等款項將大致上按緊接中達證券行使此權利前有效的條款及條件或中達證券認為適當的其他條款而列為仍未獲中達證券或有關的中達集團任何其他成員清償的款項；及
- (e) 如任何該等的支帳、扣起、組合或合併須將一種貨幣兌換成另一種貨幣，該兌換將按在中達證券所決定的相關時間適用於相關外匯市場的匯率計算，而由中達證券所決定的匯率將具決定性並對客戶具約束力。

13. 法律責任的限制及彌償保證

13.1 中達證券法律責任的限制

- (a) 向客戶提供保證金帳戶服務並不會令中達證券就任何證券成為客戶的受託人，除非該等證券以中達證券代名人的名義登記，而在此情況下中達證券亦僅為被動受託人。除在保證金融通條款中明確指定外，就客戶的款項或資產而言，中達證券並無其他責任。
- (b) 中達證券無責任審查或核實任何證券的擁有權或所有權的有效性。中達證券無須負責中達證券代客戶購買或持有或將會購買或持有的任何證券之擁有權或所有權的任何欠妥之處。
- (c) 中達證券並不就收益或盈利能力作出保證，中達證券無須負責中達證券代客戶購買或持有的任何證券之管理或其價值的任何損失或減少。對於就或有保證金帳戶或任何證券而應繳付的任何稅項或關稅，中達證券概不負上法律責任。
- (d) 中達證券無責任確定客戶的國籍或任何限制是否適用於任何證券。這可包括就擁有權、擁有人的國籍或外匯管制或要求而設的限制。
- (e) 有關保證金帳戶服務的評論、財務資料及數據，可能由其他人士向中達證券提供或中達證券根據由其他人士所提供的材料編製而成。就任何該等評論、財務資料或數據的準確度、可靠性、充足程度、及時程度、次序或完整性，或其是否適合任何用途，中達證券不作出陳述或保證。客戶不應依賴該等資料作為投資建議或用作進行買賣。客戶在使用該等資料作任何目的之前須自行負責核實該等資料。就客戶或任何其他人士使用該等評論、財務資料及數據作任何目的，中達證券無須負上法律責任（不論就侵權法、合約法或任何其他方面的法律責任）。
- (f) 閣下須單獨負責為自身作出獨立投資決定或向持牌獨立財務顧問取得意見。中達證券不會代客戶作出投資決定。即使客戶可能已通知中達證券客戶的投資目標，中達證券無職責就任何交易的可取之處或合適性為客戶作出判斷（除非證監會要求）。中達證券或其代理人會本著真誠提供任何資料或觀點，但中達證券或提供該等資料或觀點的任何人士均不會就該等資料或觀點負責。客戶應根據由其或由其持牌獨立財務顧問或向其持牌獨立財務顧問獨立取得的資料評估證券的可取之處、風險及合適性。客戶應基於其本身的判斷（而並非純粹依賴由中達證券所提供的解釋或資料）決定是否進行出售或購買。
- (g) 就因或有關下列（或其中任何一項）情況而引致客戶或任何其他人士可能招致或蒙受的任何種類的損失、損害或開支，中達證券無須負上法律責任（第13.1(h) 條所載則屬例外）：
- (i) 客戶或任何其他人士使用保證金帳戶服務（不論授權或未經授權）；
- (ii) 傳送指示或其他資料過程中因任何原因出現任何干擾、暫停、延遲、損失、毀損或其他故障；
- (iii) 由於當時市場情況或波動及執行指示的方式及時間導致中達證券未能執行指示；及
- (iv) 有關保證金帳戶服務的設備或安裝出現的任何機械故障、電力故障、失靈、故障、中斷或不足之情況。
- (h) 就第13.1(g) 條所載的情況而言，如證實 (i) 中達證券、(ii) 其代理人或代名人或 (iii) 其高級人員或僱員或其代理人或代名人或高級人員或僱員有欺詐行為、嚴重疏忽或故意失責，中達證券會就客戶直接及純粹因該等欺詐行為、嚴重疏忽或故意失責而引致的直接及合理可預見的損失及損害負上法律責任。
- (i) 中達證券向客戶提供保證金帳戶服務或就其履行在保證金融通條款下的職責及責任，出現任

何幹擾、延誤或失誤（不論屬全面或局部），如屬中達證券或其代理人或代名人的合理控制以外的原因或情況造成，則中達證券無須對客戶或任何其他人士因而招致或蒙受的任何種類的任何損失、損害或開支負上法律責任。此等原因或情況可包括但不限於下列各項（或其中任何一項）：

- (i) 任何適用法規或任何政府、交易所、結算所、市場、監管機構或自律監管機構施行的任何買賣程式、限制或暫停的訂定或更改；及
- (ii) 任何政府、交易所、結算所、金融機構或須就根據保證金融通條款所擬定進行的任何交易履行其責任的任何其他人士破產、清盤、無力償債或未能履行責任。

13.2 客戶的彌償保證

- (a) 就因或有關下列（或其中任何一種）情況而引致（i）中達證券、（ii）其代理人及代名人及（iii）其高級人員及僱員及其代理人或代名人的高級人員及僱員可能招致或蒙受的所有行動、法律程式及索償（不論由中達證券或彼等提出，或對中達證券或彼等提出），以及所有損失、損害及合理的成本及開支，客戶均須對中達證券及彼等作出彌償及付還，但第13.2(b)條所載則除外：
 - (i) 客戶使用保證金帳戶服務，或中達證券向客戶提供保證金帳戶服務；
 - (ii) 中達證券決定不處理任何指示，或其因任何原因延遲處理或未能執行部份或全部指示；
 - (iii) 中達證券在收到指示時及執行指示時之間出現有關證券的任何價格波動；
 - (iv) 客戶未有履行其在保證金融通條款或適用法規下的責任；及
 - (v) 保留或強制執行中達證券在保證金融通條款下中達證券的權利或行使其在保證金融通條款下的權力（包括按全面彌償基準計算的法律費用），以及就客戶應佔的任何利潤或收益的稅項，香港稅務局對中達證券的任何索償。

在保證金帳戶服務、保證金帳戶或保證金融通條款被終止後，本彌償保證應繼續有效。

- (b) 如第13.2(a)條所載的任何行動、法律程式、索償、損失、損害或款項，證實是因（i）中達證券、（ii）其代理人或代名人或（iii）其高級人員或僱員或其代理人或代名人的高級人員或僱員的欺詐行為、嚴重疏忽或故意失責所引致，則客戶無須在第13.2(a)條下就任何損失及損害負上法律責任，但只限於直接及純粹因該等欺詐行為、嚴重疏忽或故意失責而引致的直接及合理可預見的該等損失、損害及合理成本和開支。
- (c) 中達證券有權從客戶設於中達證券的任何帳戶預扣、保留或扣減中達證券決定為足以涵蓋客戶在本第13.2條下欠下中達證券的任何金額的有關部份的證券或金額。

14. 抵押不受影響

在不影響上述各項概括性的原則下，押記及其保證的數額在任何方面將不受下列事項影響：

- (a) 中達證券或中達集團任何其他成員現時或此後根據或基於保證金融通條款或任何其他法律責任而持有的任何其他抵押、擔保或彌償保證；
- (b) 對任何抵押、擔保或彌償保證或其他文件進行任何其他更改、修改、豁免或解除（包括押記，但有關更改、修改、豁免或解除的範圍除外）；
- (c) 中達證券或中達集團任何其他成員強制執行或沒有強制執行或解除任何抵押、擔保或彌償保證或其他檔（包括押記）；
- (d) 不論是中達證券或中達集團任何其他成員對客戶或任何其他人士給予任何時間寬限、寬免、放棄權利或同意；
- (e) 不論是中達證券或任何其他人士對客戶所作出或沒有作出的根據保證金融通條款須支付的任何款項的任何付款要求；
- (f) 客戶無力償債、破產、死亡或精神失常；
- (g) 中達證券與任何其他人士可能進行的任何合併、兼併或重組或向任何其他人士出售或轉讓中達證券全部或任何部份業務、財產或資產；

- (h) 存在客戶可於任何時候對中達證券或任何其他人士提出的任何申索，抵銷或其他權利；
- (i) 中達證券與客戶或任何其他人士訂立的任何安排和妥協；
- (j) 有關保證金融通的任何檔的條文或任何抵押、擔保或彌償保證（包括押記）或在任何該等檔或任何抵押、擔保或彌償保證（包括押記）之下及有關人士的權利或義務的不合法性、無效或不可強制執行或存在任何缺陷，不論原因是基於越權、不符合有關人士的利益或未經任何人士妥為授權、簽立或交付或因為任何其他原因；
- (k) 任何根據有關破產、無力償債或清盤的任何法例可以避免或受其影響的協議、抵押、擔保、彌償保證、付款或其他交易，或中達證券根據任何此等協議、抵押、擔保、彌償保證、付款或其他交易給予或作出的任何免除、和解或解除，而任何該等免除、和解或解除據此須被視作受到限制；或中達證券或任何其他人士所作出或遺漏作出或忽略作出的任何其他事宜，或任何其他交易、事實、事項或事物，若在沒有本條規定的情況下，可能在運作上損害或影響客戶在保證金融通條款項下的法律責任。

15. 風險披露聲明

15.1 保證金買賣的風險

藉存放抵押品而為交易取得融資的虧損風險極大。客戶所蒙受的虧蝕可能會超過抵押品的價值。市場情況可能使備用買賣指示，例如「止蝕」或「限價」指示無法執行。客戶可能會收到通知要求短期內存入額外的保證金款項或繳付利息。假如客戶未能在指定的時間內支付所需的保證金款項或利息，客戶的抵押品可能會在未經其同意的情況下被出售。此外，客戶將仍須為保證金帳戶內因此而出現的任何短欠數額及需繳付的利息負責。因此，客戶應根據本身的財政狀況及投資目標仔細考慮這種融資安排是否適合自己或者取得持牌獨立財務顧問的意見。

15.2 提供證券抵押品等再質押的授權書的風險

向中達證券提供授權書，容許其按照證券借貸協議書運用客戶證券或證券抵押品，將客戶的證券抵押品再質押以取得財務通融，或將客戶的證券抵押品存放作為用以履行及清償其交收責任及債務的抵押品，存在一定風險。

假如客戶的證券或證券抵押品是由中達證券在香港收取或持有的，則上述安排僅限於客戶已就此給予書面同意的情況下方行有效。此外，除非客戶是專業投資者，客戶的授權書必須指明有效期，而該有效期不得超逾十二（12）個月。若客戶是專業投資者，則有關限制並不適用。

此外，假如中達證券在有關授權的期限屆滿前最少十四（14）日向客戶發出有關授權將被視為已續期的提示，而客戶對於在有關授權的期限屆滿前以此方式將該授權延續不表示反對，則客戶的授權將會在沒有其書面同意下被視為已續期。

現時並無任何法例規定客戶必須簽署這些授權書。然而，中達證券需要授權書，以便例如向客戶提供保證金貸款或獲准將客戶的證券或證券抵押品借出予協力廠商或作為抵押品存放於協力廠商。中達證券應向客戶闡釋使用授權書的目的。

倘若客戶簽署授權書，而其證券抵押品已借出予或存放於協力廠商，該等協力廠商將對客戶的證券抵押品具有留置權或押記。雖然中達證券須對根據客戶的授權書而借出或存放屬於客戶的證券或證券抵押品負責，但中達證券的違責行為可能會導致客戶損失其證券或證券抵押品。

中達證券提供不涉及證券借貸的現金帳戶。假如客戶無需使用保證金貸款，或不希望其證券或證券抵押品被借出或被抵押，則客戶不應簽署上述的授權書，並應要求開立該等現金帳戶。

15.3 客戶應參閱證券交易客戶協議書第 14 條風險披露聲明中的其他風險。

16. 《證券及期貨（客戶證券）規則》（第 571H 章）第 7(2) 條規定的授權

在不影響中達證券可獲得的任何其他權利或補償的情況下，客戶特此授權中達證券作出下列任何一項，而無須進一步通知客戶或客戶同意，惟須向客戶取得常設授權：-

- (a) 依據證券借貸協議運用在保證金帳戶內的任何客戶證券或證券抵押品；
- (b) 將在保證金帳戶內的任何客戶證券或證券抵押品存放於認可財務機構，作為提供予中達證券的財務通融的抵押品；及/或
- (c) 將在保證金帳戶內的任何客戶證券或證券抵押品存放於 (i) 認可結算所；或 (ii) 另一獲註冊進行證券交易的仲介人，作為用以履行及清償中達證券交收責任及債務的抵押品。
- (d) 在第17.1及17.2條下的任何行為。

17. 有關客戶證券及證券抵押品的進一步授權

17.1 在不限制或削弱第16(a)、(b) 及 (c) 條效力的情況下，中達證券應有權完全酌情決定作出下列任何一項，而無須進一步通知客戶或客戶同意，惟須取得客戶的常設授權：

- (a) 如任何適用法規要求或為保障客戶或中達證券，按中達證券酌情決定，出售、處置或以其他形式處理在保證金帳戶內的任何客戶證券或證券抵押品。中達證券會將該等出售或處置的所得款項（在扣除合理開支後）記入保證金帳戶或客戶設於中達證券任何其他帳戶的貸項；
- (b) 用中達證券認為適當的方法處理任何客戶證券或證券抵押品，以便利在考慮適用法規及中達證券酌情決定下，根據本協議書向客戶提供服務；及
- (c) 作出就履行上述任何一項或多於一項行為而言屬必要或附帶的所有行為及事宜。

17.2 在不限制或削弱第16(a)、(b) 及 (c) 條效力的情況下，中達證券應有權完全酌情決定作出下列任何一項，而無須進一步通知客戶或客戶同意，惟須取得客戶的常設授權：

- (a) (i) 依據證券借貸協議運用在保證金帳戶內的任何證券或抵押品，而有關協議將基於公平商業條款，相當於國際證券借貸協會全球證券借貸主協議（「**全球證券借貸主協議**」）所列明的市場標準條款，該等條款應：
 - (A) 包含一套商業而言合理的估值機制，以為相當於中達證券所借入而無法返還的證券或抵押品（按適用情況而定）的證券進行估值；及
 - (B) 與全球證券借貸主協議的市場標準條款相反，並不授予客戶就允許中達證券借入證券或抵押品而向中達證券收取任何現金或等值證券抵押品的權利。
- (ii) 倘在保證金帳戶內的證券或抵押品被應用於該證券借貸協議，客戶承認以下各項：
 - (A) 客戶已閱讀並明白在第15條所列出的風險披露聲明—「提供證券抵押品等再質押的授權書的風險」；
 - (B) 客戶明白到當中達證券成為須受制於無力償債、破產、清盤、管理、暫行禁令、重組及/或一般性地影響債權人權利的類似法例時的風險，客戶可能就證券借貸協議成為中達證券的無抵押債權人，並可能導致客戶 (a) 取回僅一小部份或 (b) 完全無法取回中達證券可能欠下客戶的 (i) 相當於所借入的證券及/或抵押品的證券，及/或 (ii) 相當於所借入的證券及/或抵押品的證券價值的任何現金總額。

17.3 在向客戶取得常設授權的前提下，中達證券可作出在第16及17條內的任何行為而無需進一步通知客戶。本協議書構成該常設授權。**本常設授權的有效期限僅為12個月，並於本協議書簽署日期起生效。**然而，在客戶對中達證券或其任何聯繫實體當時並無任何尚未清償債項的情況下，客戶有權藉給予中達證券不少於五（5）個營業日的事先書面通知撤銷本常設授權。在有效期屆滿之前沒有被撤銷的此項常設授權，可按照在《證券及期貨條例》下的有關規則按上文所指明的相同條款及條件，在該12個月期間及隨後每段12個月期間結束時續期或視作已續期12個月。

18. 一組關連保證金帳戶之聲明

客戶特此聲明，在此項聲明內所提供的下列資料均屬真實、準確和完整：

- (a) 客戶的配偶不是中達證券的保證金客戶；
- (b) 客戶（不論是單獨或與其配偶共同）並沒有控制中達證券的任何保證金客戶的 35%或以上的投票權；及
- (c) 客戶所屬的公司集團（而客戶為其成員）旗下並無任何公司是中達證券的保證金客戶。

19. 通訊

- 19.1 客戶確認盡客戶所知，（於開戶表格或以其他方法）向中達證券提供的所有資料均屬完整、準確及最新。客戶同意中達證券可不時使用客戶提供並已在中達證券紀錄中的任何聯絡資料（包括地址、電話號碼、電郵地址及傳真號碼）聯絡客戶（不論以信件、電話、SMS 短訊、傳真、電郵或其他方法）。
- 19.2 在不限制或削弱證券交易客戶協議書第 8 條效力的情況下，以及除非中達證券另有指定，否則在下列情況下，客戶即被視為已收到中達證券所發給的任何補倉通知：
- (a) （如以專人派遞）在專人派遞或置放該通知於客戶最後以書面通知的地址之時；
 - (b) （如以郵寄方式發出）在中達證券向上述地址郵寄該通知後四十八（48）小時（如屬香港地址）或七（7）日（如屬香港境外地址）；
 - (c) （如以傳真方式發出）緊隨中達證券向客戶最後以書面通知的傳真號碼傳真該通知後；
 - (d) （如以電郵方式發出）緊隨中達證券向客戶最後以書面通知的電郵地址電郵該通知後；
 - (e) （如以SMS短訊發出）緊隨中達證券向客戶最後以書面通知的流動電話號碼發出該通知後；
或
 - (f) （如以公開張貼作通訊方式）緊隨中達證券在其範圍內公開張貼該通知後。
- 19.3 發送予客戶或交付予客戶獲授權代表的項目均由客戶自行承擔風險。
- 19.4 客戶向中達證券發出的所有通訊，須按中達證券不時指定的形式及方式發送至中達證券不時指定的地點。客戶向中達證券發送的通訊將被視為於中達證券實際收到通訊當日收到。
- 19.5 如保證金帳戶由兩名或多於兩名人士以聯名方式維持，只有由前述人士每位（除非中達證券已同意其他授權安排）或尚存者發出的任何通知或通訊方會被視為由客戶向中達證券的有效通知，而在保證金融通條款下向前述人士任何一人發出的任何通知將被視為向客戶發出的有效通知。
- 19.6 本第 19 條不會限制或削弱保證金融通條款中適用於（i）中達證券向客戶發出成交單據、帳戶結單或交易通知書或（ii）客戶向中達證券發出指示的任何條文的效力。

客戶聲明 DECLARATION BY CLIENT

本人/吾等已仔細閱讀並理解此證券保證金交易協議書(請轉抄自本協議書首頁的版本序列編碼於此_____)的內容。本人/吾等的以下簽名證明本人/吾等明確同意和允許此協議書所載的每項及所有條款和條文。本人/吾等亦承認,本人/吾等已獲邀請詢問有關證券買賣的相關法律和法規、備金和費用明細表以及本證券保證金交易協議書第 15 條中的風險披露聲明等問題。本人/吾等滿意本人/吾等獲提供的解釋和說明。本人/吾等特此聲明,本人/吾等願意並有能力履行承擔在本協議書內所指明的責任和義務。

I/We have carefully read and understood the contents of this Margin Trading Agreement (please copy the Version Series Number from the front page of this Agreement here _____). I/We expressly agree and consent, as evidence by my/our signature(s) below, to each and all the terms and provisions contained in this Agreement. I/We also acknowledge that I/We have been invited to ask questions about the relevant laws and regulations, commission and fees schedules as well as the Risk Disclosure Statements in Clause 15 of this Agreement for Securities Margin Trading. I/We have satisfied with the explanations and clarifications provided to me/us. I/We hereby declare that I/we am/are willing and capable of fulfilling the duties and obligations as specified in this Agreement.

個人客戶簽署、蓋章及交付 Signed, Sealed, and Delivered by Individual Client(s)

X _____
客戶簽署 Client Signature

客戶姓名(請以正楷書寫):
Client Name (Print): _____

身份證/護照號碼:
Identity Card/Passport No. _____

日期:
Date: _____

公司客戶以契約形式簽立及交付 Executed and Delivered as a Deed by Corporate Client

X _____
獲授權簽名連同公司印章 Authorized Signature(s) with company chop

獲授權簽署人姓名 Name of Authorized Signatory(ies):

(1) _____

(2) _____

獲授權簽署人身份證/護照號碼:
Identity Card/Passport No. of Authorized Signatory(ies)

(1) _____

(2) _____

日期:
Date: _____

SIGNED by Witness 見證人簽署

I, the undersigned, have witnessed the signature and inspected the original identity documents of the above-named client.
本人(即下列簽署人)已見證上述客戶的簽署及查閱上述客戶的身份證明文件正本。

見證人簽署:
Signature of Witness: _____

見證人姓名(請以正楷書寫):
Name of Witness (Print): _____

見證人資格:
Witness' Qualification: _____

日期:
Date: _____

SIGNED and DECLARED by Licensed Representative who has explained to the Client the Risk Disclosure Statements in Clause 15 of this Agreement for Securities Margin Trading.

已向客戶解釋本證券保證金交易協議書第15 條中風險披露聲明的持牌代表簽署並聲明。

持牌代表簽署:
Signature of Licensed Representative: _____

持牌代表姓名(請以正楷書寫):
Name of Licensed Representative (Print): _____

持牌代表中央編號:
CE Number of Licensed Representative: _____

日期:
Date: _____

For Official Use Only

僅供職員填寫

Credit Department Approval by _____

Name and code of AE _____



中達證券投資有限公司

CENTRAL WEALTH SECURITIES INVESTMENT LIMITED

香港聯合交易所參與者 (CE NO. AVE583)
Exchange Participant of The Stock Exchange of Hong Kong Limited

香港金鐘夏愨道16號遠東金融中心18樓1801-1802室
Room 1801-1802, 18/F, Far East Finance Centre,
16 Harcourt Road, Admiralty, Hong Kong.

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New Account Opening Checklist

Account Name: _____ Account No.: _____

Performed by Frontline Staff (e.g. Account Executive, Dealing Officer, Customer Service Officer)		
A. Basic Information		Must Tick
1. General	(a) Explain the operation and characteristics of the Account and investment product(s) (b) Perform Know-Your-Client and collect relevant documents (also verified true copy) (c) Give Client Agreement and explain Risk Disclosure to client (d) Remind client that 3rd party deposit / withdrawal of money and / or stock is not allowed (e) Inform client the fees and charges (f) Explain credit / margin limit, interest rate, margin call and force liquidation policy (If applicable)	<input type="checkbox"/> Yes
2. Derivatives Knowledge	(g) Ensure client suitable for derivative products and understand its risks before giving recommendation	<input type="checkbox"/> Yes
B. AML Related		
1. Politically Exposed Person ("PEP") / PEP-related	(a) Inquire if the client is / has been entrusted with prominent public functions inside and outside PRC, e.g. Head of State / government, senior politician / government official, senior executive, or a family member or close associate of such parties. If "Yes", please state: Position: _____ Authority: _____ Name of PEP: _____ Relationship with client: _____ (b) Obtain client's proof on source of funds (e.g. bank / income statement, tax receipt)	<input type="checkbox"/> Yes <input type="checkbox"/> N/A
2. Account Risk Category	(c) Classify the Risk Category: <input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High (Please refer to: Client Risk Category and Customer Due Diligence Checklist)	
3. ONLY FOR Medium / High Risk category	(d) Enquire client on source of funds: <input type="checkbox"/> Saving: previous salary / business / family / others: _____ <input type="checkbox"/> Rental: property / others: _____ <input type="checkbox"/> Investment: bank deposit / investment trading / others: _____ <input type="checkbox"/> Loan: financial institution / relatives / others: _____ <input type="checkbox"/> Others: _____ (e) Enquire / Expect client on expected investment size: <input type="checkbox"/> <HKD100,000 <input type="checkbox"/> HKD100,001-500,000 <input type="checkbox"/> HKD500,001-1,000,000 <input type="checkbox"/> HKD1,000,001-5,000,000 <input type="checkbox"/> HKD5,000,001-10,000,000 <input type="checkbox"/> >HKD10,000,000	<input type="checkbox"/> Yes <input type="checkbox"/> N/A
AE/ Dealing Officer Signature: _____ AE/ Dealing Officer Code: _____		
AE / Dealing Officer Name: _____ Date: _____		
Approved (Account Opening) by Designated Officer (e.g. Responsible Officer)		
Date: Name: (Full name) Signature:	1. Check if the classification of the account risk category is appropriate 2. Check if proper Customer Due Diligence is carried out	<input type="checkbox"/> Yes

Note: This Checklist is required only when a new Client Account Open Form is completed. For client who opens both stock and futures accounts at the same time, this original shall be kept with stock account while a copy shall be kept with futures account.



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Client Identification Data Update 客戶識別信息更新

Account No 帳戶號碼: _____

Account Name 客戶名稱: _____

In order to comply with the HKIDR, below is the waterfall of the identity documents for corporate client or fund (order of priority), Please provide your identity document a per the order of priority as follows:

為遵守香港投資者識別碼制度的規定，以下是公司客戶或基金獲接納身份證明文件的排序表，請按照如下優先次序提交公司的身份證明文件：

- (1) LEI registration document 法律實體識別編碼登記文件
- (2) certificate of incorporation 公司註冊證明書
- (3) business registration certificate 商業登記證
- (4) other equivalent documents 其他同等文件，請註明 Please specify: _____

(Note: The above list is in order of priority. If (1) is not applicable, please provide (2). If (2) is not applicable, please provide (3), and so on.)

(註：上述列表是按優先次序排列。若(1)不適用，則提供(2)。若(2)不適用，則提供(3)，如此類推)

Declaration Information 申報資料:

1)	Relevant Regulated Intermediaries ("RRI"):	
	是否相關受規管中介人：	<input type="checkbox"/> Yes 是/ <input type="checkbox"/> No 否
2)	Client Type of HKIDR	
	香港投資識別碼客戶類別	<input type="checkbox"/> Fund 基金 <input type="checkbox"/> Legal Entity - Fund Manager 法律實體 - 基金經理 <input type="checkbox"/> Legal Entity - Others (including brokers) 法律實體 - 其他（包括券商） <input type="checkbox"/> Proprietary Trading 自營業務

客戶簽署： _____ (請用存檔於本公司記錄之簽署式樣) 日期： _____

For Office Use Only	Submitted by: A.E. / C.S. Department	Input By: Settlement Department	Approved By: Compliance Department / R.O
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