A.E. Code 經紀編號

MFG LIMITED
峰滙金融集團有限公司

Individual / Joint Account Opening Form
個人 / 聯名帳戶開戶表格

Client Name 客戶名稱：_____

Account No. 帳戶號碼：_____

25/F, Henley Building, 5 Queen's Road Central, Hong Kong
香港皇后大道中 **5** 號衡怡大廈 25 樓
電話 **Tel: (852) 3192 1100** 傳真 **Fax: (852) 2810 9892** 網址 **Website: www.mfghk.com**

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Website 網址**: www.mfghk.com**

MFG (the "Company") has been licensed by the Securites and Futures Commission in Hong Kong (with CE no. AMV148) to carry on Type 1 (dealing in securities), Type 2 (dealing in futures contracts), Type 4 (advising on securities), Type 5 (advising on futures contracts) and Type 9 (asset management) regulated activities under the Securities and Furtures Ordinance. In addition, the Company is an Exchange Participant of The Stock Exchange of Hong Kong Limited and Hong Kong Futures Exchange Limited, as well as a Clearing House Participant of Hong Kong Securities Clearing Company Limited and HKFE Clearing Corporation Limited.
峰滙金融集團有限公司 (即「本公司」) 獲香港証券及期貨事務監察委員會發牌 (中央編號為 AMV148) 按證券及期貨條例經營第一類 (證券交易) 、第二類 (期貨合約交易) 、第四類 (就證券提供意見) 、第五類 (就期貨合約提供意見) 及第九類 (提供資產管理) 受規管活動。此外，本公司為香港聯合交易所有限公司及香港期貨交易所有限公司之參與者，亦為香港中央結算有限公司及香港期貨結算有限公司之參與者。

Note: This is an important document. You (the "Client") should carefully read and fully understand the contents of this Agreement comprising of this Account Opening Application and the terms and conditions of the Master Agreement (with all Sections thereof and Schedules thereto) for one or more trading accounts (the "Account(s)" to be opened and maintained with the Company. Before signing the Account Opening Application, the Client should firstly obtain independent legal or other professional advice as the Client may deem necessary. In case of any discrepancy between the English and Chinese versions of this Account Opening Application, the English version shall prevail.
備註：此乃重要文件。閣下（即「客戶」）應仔細閱讀並充份理解本協議之內容包括開戶申請表與綜合協議之條款及條件(連同所有附表)有關於本公司開立及持有一個或多個之交易帳戶(即「帳戶」)。客戶在簽署本開戶申請表前，如有所需，應先尋求獨立法律或其他專業意見。倘若本開戶申請表的中英文版本有任何歧異，一概以英文版本為準。

ACCOUNT OPENING APPLICATION
開戶申請表

ACCOUNT TYPE 帳戶類別

Please check one or more boxes below:
可選擇超過一項 :

☐ **Cash Account – HK Securities** 現金帳戶 - 香港證券	☐ **Margin Account – HK Securities** 孖展帳戶 - 香港證券	☐ **HK Futures & Options Account** 香港期貨及期權帳戶	☐ **HK Stock Options Account** 香港股票期權帳戶
☐ **Cash Account – Foreign Securities** 現金帳戶 - 外國證券	☐ **Margin Account – Foreign Securities** 孖展帳戶 - 外國證券	☐ **Foreign Futures & Options Account** 外國期貨及期權帳戶	☐ **US Stock Options Account** 美國股票期權帳戶
☐ **Cash Account – CIES*** 現金帳戶 – 投資移民	☐ **Shanghai-HK Stock Connect/ Shenzhen-HK Connect (China Connect) ##** 滬港通及/或深港通	☐ **Discretionary Investment Management Account#** 全權委託投資管理戶口	

* Please also sign a Client Agreement in respect of the Capital Investment Entrant Scheme ("CIES")
請同時簽署有關資本投資者入境計劃之客戶協議

Please also complete Section 12 of the Account Opening Application.
請同時填寫開戶申請表的第 12 部分

Please also sign the Discretionary Investment Management Agreetment
請同時簽署有關全權委託投資管理戶口協議

ELECTRONIC SERVICES 電子服務

☐ ***Electronic Trading Services*** *電子交易服務* *(including Internet and Mobile 包括互聯網及手機)*

I/We wish to use the Electronic Trading Service specified in this Agreement. I/We confirm that I/we have read and understood the provisions relating to Electronic Trading Service as set out in this Agreement and I/we agree to be bound by the same.
吾/吾等欲使用電子交易服務。吾/吾等確認吾/吾等已閱讀並明白本協議中有關電子交易服務之條款，並同意接受這些條款之約束。

☐ ***E-Statement Services*** *電子結算單服務*

I/We wish to use the E-Statement Service specified in this Agreement. I/We confirm that I/we have read and understood the provisions relating to E-Statement Service as set out in this Agreement. and I/we agree to be bound by the same.
吾/吾等欲使用電子結算單服務。吾/吾等確認吾/吾等已閱讀並明白本協議中有關電子結算單服務之條款，並同意接受這些條款之約束。

Note: To be eligible for Electronic Trading Services and/or E-Statement Services, you must provide a valid designated e-mail address. This designated e-mail address should be restricted for all electronic communications pertaining to your Account(s).
備註：閣下必須提供有效之特定電郵地址才可使用電子交易服務及/或電子結算單服務。此特定電郵地址應只限閣下與本公司就有關閣下之帳戶之電子通訊。

Email Address:
電郵地址: _____

SECTION 1 第一部份 — CLIENT INFORMATION 客戶資料

PERSONAL INFORMATION 個人資料

	Individual / Primary Joint Account Holder 個人/聯名戶主要持有人	Secondary Joint Account Holder 聯名戶第二持有人
Title 稱謂	☐ Mr. 先生 ☐ Mrs. 太太 ☐ Ms. 女士	☐ Mr. 先生 ☐ Mrs. 太太 ☐ Ms. 女士
Surname 姓		
Given Name 名		
Chinese Name 中文姓名		
Date of Birth 出生日期	DD 日 / MM 月 / YY 年	DD 日 / MM 月 / YY 年
Place of Birth 出生地點		
Nationality 國籍		
ID / Passport No. 身份證 / 護照號碼		
Place of issue 簽發地點		
Residential Address 住址 *Please ✓ here if the Secondary Joint Account Holder details are the same as the Primary Joint Account Holder. 如聯名戶第二持有人資料與聯名戶主要持有人相同請✓此格。* ☐		
Residential Status 居住狀況	☐ Rented 租用 ☐ Living with Relative 與親戚同住 ☐ Self Owned (With/Without* Mortgage) 自置(有/無*按揭) ☐ Other 其他 _____	☐ Rented 租用 ☐ Living with Relative 與親戚同住 ☐ Self Owned (With/Without* Mortgage) 自置(有/無*按揭) ☐ Other 其他 _____
Tel. No. 電話號碼	( )	( )
Fax No. 傳真號碼	( )	( )
Mobile No. 手提電話	( )	( )
Email Address 電郵地址		
Education Level 教育程度	☐ Secondary or below 中學程度或以下 ☐ Completed Secondary 中學程度 ☐ Post-Secondary/ University or above 大專/大學程度以上 ☐ Other 其他 _____	☐ Secondary or below 中學程度或以下 ☐ Completed Secondary 中學程度 ☐ Post-Secondary/ University or above 大專/大學程度以上 ☐ Other 其他 _____
Relationship with Primary Account Holder **(For Joint Account Only)** 與基本聯名帳戶申請人關係 (只適用於聯名帳戶)		☐ Family (Please specify) 親屬(請說明): _____ ☐ Friends 朋友 ☐ Other (Please specify) 其他(請說明): _____

EMPLOYMENT STATUS 職業狀況

	Individual / Primary Joint Account Holder 個人/聯名戶主要持有人	Secondary Joint Account Holder 聯名戶第二持有人
Status 現況	☐ Full-Time 全職 ☐ Student/ Housewife 學生/主婦 ☐ Self Employed 自僱 ☐ Not Employed 非在職 ☐ Part-time 兼職 ☐ Retired 退休	☐ Full-Time 全職 ☐ Student/ Housewife 學生/主婦 ☐ Self Employed 自僱 ☐ Not Employed 非在職 ☐ Part-time 兼職 ☐ Retired 退休
Employer Name 公司名稱		
Nature of Business 業務性質		
Position 職位		
Duration with Employer 受僱年期		
Tel. No. 電話號碼	( )	( )
Fax No. 傳真號碼	( )	( )
Business Address 工作地址 *Please ✓ here if the Secondary Joint Account Holder details are the same as the Primary Joint Account Holder.* *如聯名戶第二持有人資料與聯名戶主要持有人相同請✓此格。* ☐		

Note: Please use continuation page(s) for more than 2 joint account holders. 備註: 若聯名戶有超過兩名持有人,請使用附頁。

MAILING ADDRESS 通訊地址

Please check one box only 只可選擇一項 :

☐ Residential Address (Primary/Secondary Joint Account Holder)
居住地址 (主要/ 第二聯名戶持有人)

☐ Business Address (Primary/Secondary Joint Account Holder)
工作地址 (主要/第二聯名戶持有人)

☐ Others (*Please specify*):
其他(請述明)

_____

DECLARATION ON FINANCIAL INFORMATION 財務資料聲明

	To be completed by Individual / Primary Joint Account Holder 由個人 / 聯名戶主要持有人填寫此部份
Net Assets (HKD) 資產淨值 (港幣)	
Liquid Net Worth (HKD) 流動資產 (港幣)	
Annual Income (HKD) 每年收入 (港幣)	☐ < 200,000 ☐ 200,000 – 499,999 ☐ 500,000 – 999,999 ☐ 1,000,000 – 1,999,999 ☐ 2,000,000 – 4,999,999 ☐ >5,000,000
Source of income 收入來源 *(✓one or more)* *(可✓ 多項)*	☐ Salary 薪金 ☐ Commission 佣金 ☐ Rent 租金 ☐ Business Profit 業務溢利 ☐ Dividend / Interest 股息 / 利息 ☐ Others 其他: _____

INVESTMENT EXPERIENCE 投資經驗

To be completed by Individual / Primary Joint Account Holder
由個人 /聯名戶主要持有人填寫此部份

Product Experience 產品經驗

☐ I do not have any investment experience. 本人沒有任何投資經驗。
☐ I have the following investment experience: 本人有以下投資經驗:

Investment Product 投資產品	Number of Year(s)年數
☐ Equities 股票	
☐ Futures/Options 期貨/期權	
☐ Warrants/Stock Options 窩輪/股票期權	
☐ Precious Metal (e.g. Gold) 貴金屬 (如黃金)	
☐ Mutual Funds/Unit Trust 互惠基金/單位信託	
☐ Hedge Funds 對沖基金	
☐ Fixed income without special features (e.g. certificate of deposits, straight bonds, callable bonds without other special features) 不具有特點的定息產品(例如:存款證、普通債券、不具有其他特點的可贖回債券)	
☐ Debt securities (e.g. preferred shares, bonds with special features except callable bonds without other special features) 債務證券 (例如:優先股、具有其他特點的債券，不具有其他特點的可贖回債券除外)	
☐ Leveraged and specialtyETFs (e.g. synthetic, derivative ETFs) 槓杆和特殊交易所買賣基金 (例如:合成、衍生產品交易所買賣基金)	
☐ OTC derivatives / structured products – principal protected (e.g. principal protected notes) 場外交易衍生產品/結構性產品 - 本金保證 (例如:保本票據)	
☐ OTC derivatives / structured / leveraged products – non-principal protected (e.g. structured deposits, currency linked deposits, structured notes, interest rate swaps, FX margin) 場外交易衍生產品/結構性產品/杠杆產品-非本金保證 (例如：結構性存款、貨幣掛鈎存款、結構性票據、利率掉期、外匯保證金)	
☐ Accumulator / Decumulator (e.g. equity linked, foreign exchange linked) 累計期權 / 累沽期權 (例如:股票掛鈎、外匯掛鈎)	

Investment Objectives 投資目標

Please refer to the answer 4 of the Risk Profiling Questionnaire (Section 8) Page 10
請參閱風險評估問卷第4題（第8部分）第 10 頁的答案

Geographical Spread: 地域分布:

☐HK and/or PRC 香港及/或中國　　☐Developed Market 發達市場

☐Emerging Market 新興市場　　☐Frontier Market 前沿市場

SECTION 2
第二部份

ACCOUNT MANDATE
帳戶授權書

(Not Applicable for Discretionary Investment Management Account 不適用於全權委託投資管理戶口**)**

Are you /the Primary/Secondary Account Holder (if applicable) the only person(s) with authority to operate the Account(s) and responsible for originating instruction in relation to a Transaction?

閣下/聯名戶主要/第二持有人（如適用）是否唯一有權操作此帳戶及負責出交易指示之人士?

☐ Yes 是

☐ No (Please complete "Third Party Authorisation") 否 (請填寫「第三者授權書」)

☐ N/A 不適用

FOR JOINT ACCOUNT ONLY 只適用於聯名戶

The Joint Account Holders of the Client have been authorised to issue instructions to the Company subject to the following mandate for operation of the Account(s) (* Delete where not applicable):

閣下之聯名戶持有人可按照下列權限發出指示予本公司以運作閣下之帳戶 (*請刪去不適用者):

Extent of Authority 權限	**Type of Instructions** 指示種類	
(Please choose one below) **(**請選擇以下一項**)**	**Trading Instructions** 買賣指示	**Other Instructions (e.g. fund withdrawal and/or transfer)** 其他指示 **(**如**:** 提取現金及 / 或轉帳)
Issued singly by 單獨發出	☐ Primary Account Holder 主要聯名戶持有人 ☐ Secondary Account Holder 第二聯名戶持有人	☐ Primary Account Holder 主要聯名戶持有人 ☐ Secondary Account Holder 第二聯名戶持有人
Issued jointly by 聯合發出	N/A 不適用	Any _____ of the joint account holders 任何 _____位聯名戶持有人

SECTION 3
第三部份

BANK ACCOUNT INFORMATION
銀行帳戶資料

Unless otherwise instructed by you, this account will be used as the settlement bank account. Payment due from the Company to you shall, at your costs and risks, be settled by way of deposit of a cheque or transfer to the following bank account.

除閣下另行指示外，此帳戶將用作交收銀行帳戶。本公司須支付閣下的款項，將以支票或轉帳形式存入下列銀行帳戶， 一切費用及風險均由閣下承擔。

Bank Name 銀行名稱 (1)			Bank Name 銀行名稱 (2)		
Account Name 帳戶名稱			Account Name 帳戶名稱		
Account of Currency 帳戶貨幣	☐ HKD 港元	☐ USD 美元 ☐ Others 其他	Account of Currency 帳戶貨幣	☐ HKD 港元	☐ USD 美元 ☐ Others 其他
Account No. 帳戶號碼			Account No. 帳戶號碼		
Swift Code 銀行國際代碼			Swift Code 銀行國際代碼		

Note: The cheque issued by the Company will be in favour of the account holder(s) of the Account named above.

備註:本公司發出之支票將依據以上之帳戶持有人名稱。

SECTION 4 第四部份 — OTHER INFORMATION 其他資料

DISCLOSURE 披露

	Individual / Primary Joint Account Holder 個人/聯名戶主要持有人	Secondary Joint Account Holder 聯名戶第二持有人
Are you a person, or director or employee of a person, licensed by or registered with the Securities and Futures Commission (SFC) of Hong Kong?* 閣下是否證券及期貨事務監察委員會，或該等持牌人或註冊人之董事或僱員?*	☐ Yes, the name of licensed or registered person is: 是，有關持牌人或註冊人姓名／名稱: _____ Capacity 身份: _____ ☐ No 否	☐ Yes, the name of licensed or registered person is: 是，有關持牌人或註冊人姓名／名稱: _____ Capacity 身份: _____ ☐ No 否
	** If you are licensed by or registered with the SFC, or a director or employee of such licensed or registered person, please provide where applicable a consent letter from your principal(s) for opening the Account(s). Where applicable, you hereby undertake to promptly notify the Company if you become engaged by any licensed or registered person to carry out regulated activities under the Securities and Futures Ordinance.* *如閣下是香港證券及期貨事務監察委員會或其他監管機構之持牌人，或該等持牌人或註冊人之董事或僱員，請提供閣下主事人的開戶同意信。如適用，閣下日後若受聘於任何證券及期貨事務監察委員會持牌人或註冊人，從事有關證券及期貨條例的受管制活動，閣下承諾會即時通知本公司)。*	
Are you related to any employee or director of the Company? 閣下是否與本公司任何僱員或董事有親屬關係?	☐ Yes, details of the employee / director are: 是，僱員／董事資料如下： Name of employee / director 僱員／董事姓名 _____ Relationship 關係 _____ ☐ No 否	☐ Yes, details of the employee / director are: 是，僱員／董事資料如下： Name of employee / director 僱員／董事姓名 _____ Relationship 關係 _____ ☐ No 否
Is your spouse a client of the Company? 閣下之配偶是否本公司之客戶?	☐ Yes, details of your spouse are: 是，閣下配偶資料如下： Name 姓名 _____ Account No. 帳號 _____ ☐ No 否 ☐ N/A 不適用	☐ Yes, details of your spouse are: 是，閣下配偶資料如下： Name 姓名 _____ Account No. 帳號 _____ ☐ No 否 ☐ N/A 不適用
Are you, either alone or with your spouse, control 35% or more of the voting rights of any client of the Company? 閣下及／或閣下之配偶是否控制本公司任何客戶的35%或以上的表決權?	☐ Yes, details of controlled client are: 是，受控客戶資料如下： Name 姓名 _____ Account No. 帳號 _____ ☐ No 否 ☐ N/A 不適用	☐ Yes, details of controlled client are: 是，受控客戶資料如下： Name 姓名 _____ Account No. 帳號 _____ ☐ No 否 ☐ N/A 不適用
Are you entrusted with prominent public functions (e.g. Head of State or of government, senior politicians/ important political officials, senior government officials, senior judicial officials, senior military officials, senior executives of state owned enterprises, religious leaders, or family members or close associates of the above-mentioned parties)? 閣下是否被委任為重要公職 (例如: 國家或政府元首、重要政客、高級政府官員、高級司法人員、高級軍官、國家企業高級行政人員、宗教領袖或以上人士的家人或有聯繫人士) ?	☐ Yes (please specify) 是 (請說明) _____ _____ _____ _____ _____ ☐ No 否	☐ Yes (please specify) 是 (請說明) _____ _____ _____ _____ _____ ☐ No 否
Are you acting as a Guarantor of any account of the Company? 您是否擔任本公司其他帳戶的擔保人？	☐ Yes (please indicate the account number) 是 (請註明帳號) _____ _____ _____ _____ ☐ No 否	☐ Yes (please indicate the account number) 是 (請註明帳號) _____ _____ _____ _____ ☐ No 否

ULTIMATE BENEFICIAL OWNER(S) OF THE ACCOUNT 戶口最終權益擁有人

Are you the ultimate beneficial owner of the Account?
閣下是否此帳戶之最終實益擁有人?

☐ Yes 是

☐ No, the ultimate beneficial owner(s) is/are: 否，帳戶之最終實益擁有人如下：

Name 姓名 _____ I.D./Passport No./Incorporation No./B.R. No. 身份證／護照／公司註冊號碼／商業登記號碼 _____

Address 地址 _____

Tel. No. 電話號碼 _____ Fax No. 傳真號碼 _____ Mobile No. 手提電話 _____

SECTION 5 第五部份 CLIENT ACKNOWLEDGEMENT AND AGREEMENT 客戶確認及同意書

RISK DISCLOSURE STATEMENT 風險披露聲明書

You acknowledge and confirm that you have been provided the relevant Risk Disclosure Statement in a language of your choice (English or Chinese) as set out in the Master Agreement. You also acknowledge that you have been invited to read the relevant Risk Disclosure Statement, to ask questions, and to take independent advice if you wish.
閣下承認及確認已獲提供其所選擇語言(英文或中文) 綜合協議之條款及條件中有關的風險披露聲明書。閣下亦確認獲邀閱讀綜合協議中有關的風險披露聲明書，提出問題及徵求獨立的意見(如閣下有此意願)。

MARGIN AND OPTION ACCOUNT 保證金及期權帳戶

Where a Margin Account is to be opened, I/we hereby authorize and agree that in respect of any collateral deposited with the Company by me/us (or on my/our behalf) and for a period of 12 months from the date of this Agreement, the Company shall be entitled to:
如我/我們欲開立之帳戶為保證金帳戶，我/我們在此授權本公司並同意，我/我們(或代表我/我們)存放於本公司的抵押品，由本協議簽訂之日期起計為期12個月，本公司有權:

(i) deposit any of the collateral with an authorized financial institution (as defined in the Securities and Futures Ordinance) as collateral for any financial accommodation provided to the Company; or
將任何有關證券抵押品存放於認可財務機構(定義見證券及期貨條例)，作為提供予本公司的財務通融的抵押品; 或

(ii) deposit the collateral with (1) a recognized clearing house or (2) another intermediary licensed by or registered with the SFC for dealing in securities as collateral for the discharge and satisfaction of the Company's settlement obligations and liabilities,
將任何有關證券抵押品存放於 (1) 認可結算所或 (2) 另獲香港證券及期貨事務監察委員會發牌或註冊進行證券交易的中介人，作為解除本公司在交收上的義務和清償本公司在交收上的法律責任的抵押品，

such authorisation may be renewed in writing for one or more further periods of not exceeding 12 months at any one time in accordance with the applicable rules.
根據有關規則，該授權可以書面方式延續一次或多於一次，每次不得超過12個月。

Where a Margin Account and/or Option Account is to be opened, I/we agree to the terms of futures/options trading and US stock options trading (where applicable) as set out in Sections G and H of the Master Agreement. I/we acknowledge, agree and confirm that:
如我/我們欲開立保證金帳戶及/或期權帳戶，我/我們同意綜合協議的 G 和 H 部分所述的期貨/期權交易和美國股票期權交易之條款（如適用）。我/我們承認，同意並確認：

(i) the Company does not have to notify me/us of any failure to meet margin requirements prior to the Company exercising its rights under this Agreement.
在本公司行使本協議項下的權利之前，本公司無需通知我/我們未能達到保證金要求。

(ii) the Company will not issue margin calls where it is impracticable to do so and the Company is authorized to liquidate Account positions in order to satisfy margin requirements without prior notice.
本公司不會在不可行的情況下發出追加保證金通知，而本公司有權清算帳戶持倉以滿足保證金要求，而不作另行通知。

(iii) where a transaction is denominated in a foreign currency, you will be exposed to currency risk and conversion of one currency to another may be delayed or services unavailable based on certain transaction conditions, including currency availability, regulatory and foreign exchange issue, service periods or differences in time zones. I/we will bear solely the risk of delay or loss of such currency conversion.
如果交易以外幣計價，您將面對貨幣風險，根據某些交易條件，包括貨幣可用性、監管和外匯問題、服務期限或時區差異，可能會無法轉換一種貨幣到另一種貨幣或產生延遲。 我/我們將獨自承擔此類貨幣轉換延遲或損失的風險。

Signature(s) of individual and all joint account holders
個人及所有聯名帳戶持有人簽署

Name(s) 姓名：_____

Date 日期：_____

DECLARATION BY CLIENT 客戶聲明

The Client agrees to open the above Account(s) with the Company on and subject to all provisions of this Agreement comprising of this Account Opening Application and the terms and conditions of the Master Agreement (with all Section thereof and Schedules thereto) applicable to the type of Account(s) that the Client(s) applies to open.

客戶同意按照本協議包括開戶申請表與綜合協議之條款及條件(連同所有附表)內列載適用於客戶申請開立的有關類別帳戶的一切有關條款，在本公司開立上述一個或多個帳戶。

By signing off this Section, the Client declares, agrees and confirms that:

倘簽署本部份，客戶即聲明、同意及確認如下：

(i) the information provided in Sections 1 to 4 of this Account Opening Application is complete, true and accurate. The Company is entitled to rely fully on such representations and information for all purposes, unless the Client informs the Company in writing of any change to that information. The Company is authorised at any time to contact anyone, including the Client's bankers, brokers or any credit agency, for the purpose of verifying the information provided in this Account Opening Application;

本開戶申請表第一至第四部份提供的資料，均為完整、真實及準確。本公司有權基於一切目的而完全倚賴有關陳述及資料，除非客戶以書面通知本公司有關資料有任何改變，則作別論。本公司獲授權可隨時聯絡任何人，包括客戶之銀行、經紀或任何信用機構，藉以核實本開戶申請表中所提供之資料；

(ii) the Client has read, understood and confirmed, and agreed to be bound by all provisions of this Account Opening Application and the Master Agreement (with all Sections thereof and Schedules thereto and as amended from time to time) applicable to the type of Account(s) that the Client applies to open with the Company;

客戶已閱讀、明白，和確認及同意本開戶申請表及綜合協議之條款及條件(包括所有附表並可隨時作出修改)內，有關與本公司申請開立的有關類別帳戶之一切有關條款，並同意接受其約束；

(iii) the contents of the relevant and applicable parts of the Master Agreement have been fully explained to the Client in a language which the Client understands;

綜合協議之條款及條件之相關及適用部份已以客戶明白之語言向客戶作出充份解釋；

(iv) where the Client has completed this Account Opening Application in Chinese and/or read the Chinese version of the Master Agreement, the Client is aware that the English version of the same prevails over the Chinese version; and

如客戶用中文填寫此開戶申請表及/或已閱讀綜合協議之條款及條件的中文版本，客戶知悉條文的詮釋以英文版本為準；及

(v) the Client has read and understood the personal data policy of the Company as contained in Section C of the Master Agreement, and agreed to and accepted such terms.

客戶已閱讀並明白本公司於綜合協議之條款及條件中C部份之個人資料政策的部份，同意及接受其條款。

(vi) the Client was invited to read the risk disclosure statements, and to ask questions and take independent advice if Client so wishes;

客戶已獲邀請閱讀風險披露聲明，並按其意願提出問題及諮詢獨立意見；

(vii) Client is and will be acting as principal, unless where particulars of the ultimate beneficial owner(s) are provided in this Account Opening Form in which case Client confirms that the person(s) whose particulars are so provided is/are the ultimate beneficial owner(s) of the Account(s);

除非於本開戶表格提供最終實益擁有人的詳情，否則客人將以當事人之身份行事，而倘於本開戶表格已提供最終實益擁有人的詳情，則客人確認所提供詳情的人士（一名或多名）為帳戶（一個或多個）的最終實益擁有人（一名或多名）；

(viii) Client has the authority and power and legal capacity to sign this Account Opening Form, to maintain and operate the Account(s), to effect the transactions contemplated by the Master Agreement, and to perform all my/our obligations under this Account Opening Form and the Master Agreement, and this Account Opening Form and the Master Agreement constitute valid and legally binding obligations on me/us enforceable in accordance with their respective terms; and

客人獲授權，並有權力和法定身份去簽署本開戶表格、保留及操作帳戶（一個或多個）、進行綜合協議之條款及條件預計進行的交易，及根據本開戶表格以及其綜合協議之條款及條件履行客人的所有義務，而本開戶表格以及其綜合協議之條款及條件按照其各自的條款，構成對客人可強制執行的有效和具有法律約束力的義務；

(ix) The Client hereby authorizes the Company to deal with the Client's funds and/or securities and/or securities collateral in accordance with Clause 13 in Section A of the Master Agreement ("Standing Authority"). The Client acknowledges and confirms that the contents and effects of the relevant Standing Authority and hereby authorizes the Company to have an absolute discretion to renew the relevant authorities.

客戶謹此已根據本協議A部份第13條條款(「常設授權」)，授權本公司處置客戶的資金及/或證券及/或證券抵押品。客戶已知悉及確認適用之常設授權的內容及作用，並已授權本公司有絕對的酌情權延續有關授權。

☐ Client objects to the proposed use of his/her personal data in direct marketing.

客人反對使用其個人資料作直接促銷用途。

	Individual / Primary Joint Account Holder 個人/聯名戶主要持有人	**Secondary Joint Account Holder** 聯名戶第二持有人
Signature(s) of Client 客戶簽名 *(This signature will be treated as specimen signature* *此簽名將被視作簽名式樣)*		
Client Name 客戶姓名		
Date 日期		

SECTION 6 第六部份 WITNESSING OF CLIENT SIGNATURE (if applicable) 見證客戶簽署 (如適用)

If this Account Opening Application is not executed in the presence of the Company's licensed representative or is not submitted with an appropriate cheque+, then signing of this Account Opening Application and sighting of related identity documents should be certified by a Notary Public, Lawyer, Certified Public Accountant, a Chartered Secretary, a Branch Manager of a Bank, a JP (Justice of the Peace), an officer of an embassy, consulate or high commission of the country of the issue of documentary verification of identity or any other SFC licensed person.

客戶須在本公司之持牌代表面前簽立本開戶申請表, 或將本開戶申請表連同恰當的支票+一併交回本公司, 否則本開戶文件的簽立及有關的身分證明文件的見證, 應由適合的證明人包括應由適合的證明人包括公證人、律師、會計師、特許秘書、持牌銀行分行經理、太平紳士、發出身分核實文件的國家的大使館、領事館或高級專員公署的人員或其他證監會持牌人加以驗證。

I, the undersigned hereby certify that I have witnessed the signing of this Account Opening Application (forming an integral part of this Agreement) by the Client and have seen the original of the relevant identity documents of the Client:

本人謹此見證上述客戶簽立此開戶申請表(構成本協議之重要文件)及其有關身份證明文件之正本:

Signature of Witness 見證人簽署		
Name 姓名		
Profession / Title 所屬專業及職銜		
Date 日期		

+ A crossed cheque of not less than HKD10,000 in favour of "MFG Limited" bearing Client's name and signature as shown in this Account Opening Application and drawn on a licensed bank in Hong Kong. The new account cannot be activated for use until the cheque has been cleared.

+ 數額不少於港幣10,000 的劃線支票。支票須由客戶本人簽發予「峰滙金融集團有限公司」, 而支票簽發人姓名及簽名模式須與本開戶申請表上之客戶名稱及簽署相符。新客戶帳戶須在支票兌現後方可使用。

SECTION 7 第七部份 DECLARATION BY THE LICENSED REPRESENTATIVE 持牌代表之聲明

FOR SECURITIES ACCOUNT ONLY 只適用於證券帳戶

The Client has been provided with the relevant Risk Disclosure Statement pertaining to trading in Securities in a language of the Client's choice as set out in the Master Agreement. I, the undersigned licensed representative have invited the Client to read the relevant Risk Disclosure Statement, to ask questions and to take independent advice if the Client wishes. Where a Margin Account is to be opened, the Client has also been informed that the Company has the practice of repledging securities collateral.

客戶已獲提供所選語言之有關證券買賣之風險披露聲明書。本人已邀請客戶閱讀帳戶綜合協議之條款及條件內有關證券買賣之風險披露聲明書，提出問題及徵求獨立的意見(如客戶有此意願)。如客戶欲開立之帳戶為保證金帳戶，亦已通知客戶本公司會再質押證券抵押品。

Name of licensed representative (in BLOCK letters) 持牌代表姓名（正楷填寫）	Signature of licensed representative 持牌代表簽署
CE No. 中央編號	Date 日期

FOR FUTURES & OPTIONS ACCOUNT ONLY 只適用於期貨及期權帳戶

The Client has been provided with the relevant Risk Disclosure Statement pertaining to trading in Futures and Options in a language of the Client's choice as set out in the Master Agreement. I, the undersigned licensed representative has invited the Client to read the relevant Risk Disclosure Statement pertaining to trading in Futures and Options, and the reporting requirements and the responsibilities of reporting set out in the Rules of Hong Kong Futures Exchange Limited and in the Securities and Futures (Contracts Limits and Reportable Positions) Rules and related guidance notes issued by the SFC, to ask questions and to take independent advice if the Client wishes.

客戶已獲提供所選語言之有關期貨及期權買賣之風險披露聲明書。本人已邀請客戶閱讀帳戶綜合協議之條款及條件內有關期貨及期權買賣之風險披露聲明書，及列於香港期貨交易所有限公司規則、證券及期貨(合約限量及須申報的持倉量)規則及由證監會發出的有關指引內的申報規定及責任，並可提出問題及徵求獨立的意見(如客戶有此意願)。

Name of licensed representative (in BLOCK letters) 持牌代表姓名（正楷填寫）	Signature of licensed representative 持牌代表簽署
CE No. 中央編號	Date 日期

SECTION 8 第八部份

Risk Profiling Questionnaire 風險承擔能力問卷

This questionnaire aims to assess whether transacting a given Investment product ("Product") is suitable for the prospective customer (the "Customer"). The following twelve questions are designed for generating indications as to the risk profile and personal circumstances of the Customer for matching with the risk level of the Product, which may not be the actual level of risk acceptable to the Customer.
本問卷旨在評估客戶所選擇的投資產品是否適合客戶本身。下列十二條問題僅提供一些指引予客戶，用以評估客戶的風險狀況及個人情況是否適合投資產品的風險水平，未必能準確反映客戶實際可接受的風險水平。

For a joint account, the individual applicant/holder who places orders or makes Investment decisions for the account should complete and sign the form.
如為聯名戶口，代表該賬戶發出有關指示或作出投資決定的申請／持有人應填寫及簽署本問卷。
For a corporate account, the authorized signatory who makes investment decisions on behalf of the company should complete and sign this questionnaire.
如為法團機構賬戶，代表該公司作出投資決定之授權簽署人應填寫及簽署本問卷。

Please 🗀 choose the appropriate answer. 請🗀選擇適當答案

1. What is your age range?
您屬於以下哪個年齡組別?

☐ A) 18-24. 18 歲至 24 歲
☐ B) 25-34. 25 歲至 34 歲
☐ C) 35-49. 35 歲至 49 歲
☐ D) 50-64. 50 歲至 64 歲
☐ E) Under 18 or Above 64. 18 歲以下或 64 歲以上

2. What is your level of education?
您的教育程度?

☐ A) Primary school or below. 小學或以下
☐ B) Secondary school. 中學
☐ C) Post-secondary school. 預科
☐ D) University/professional qualification unrelated to Economics or Finance. 大學/專業資格(經濟學/財務學以外)
☐ E) University/professional qualification related to Economics or Finance. 大學/專業資格(經濟學/財務學相關)

3. How long is your/your company's expected investment horizon?
您/貴公司預期中的投資年期為多久?

☐ A) Less than 1 year. 少於 1 年
☐ B) 1-5 year(s). 1 年至 5 年
☐ C) 6-10 years. 6 年至 10 年
☐ D) 11-20 years. 11 年至 20 年
☐ E) More than 20 years. 20 年以上

4. Which of the following statements best describe you/your company's investment objective?
以下哪項最能形容您/貴公司的投資目標?

☐ A) Conservative with a return similar to bank deposit rate 保守及賺取相約於銀行存款的回報
☐ B) Earn a return which is slightly above bank deposit 賺取略高於銀行存款的回報
☐ C) Stable, balanced income and capital growth 穩定平衡收入與資本增長
☐ D) Gradual long-term capital growth 資本長期地逐漸增長
☐ E) Maximize capital growth as soon as possible 以最短時間爭取最高回報

5. How long is your/your company's investment experience in product with appreciable price volatility (e.g. certificates of deposits, foreign currencies, stocks, bonds, investment funds, credit linked notes, structured products, futures, warrants, and commodities, etc)?
您/貴公司投資於價格波動的財務產品經驗有多久 (例如: 存款證、外幣、股票、投資基金、信貸相連票據、結構性產品、債券、期貨、認股權證、商品等)?

☐ A) No such experience. 全無經驗
☐ B) Less than 2 years. 少於 2 年
☐ C) 2-4 years. 2 年至 4 年
☐ D) 5-7 years. 5 年至 7 年
☐ E) More than 7 years. 7 年以上

6. What investment product(s) have you/your company ever held during the past 24 months (Tick one or more)?
您/貴公司過去24個月曾持有哪些投資產品 (可選擇多於一項)?

☐ A) Margin Trading/Futures/Options/Equity Options/Accumulators/Forwards/Credit-linked Notes with exposure to Structured Products.
保證金交易/期貨/期權/股票期權/累計認證股證/遠期合約/涉及結構性產品的信貸相連票據

☐ B) Stocks/Equity-linked Investments (non-Blue Chips)/Investment Funds exposed to emerging markets, regional markets, single country or single sector/Hedge Funds/Foreign Exchange Options/Option Embedded Products.
股票/股票相連投資(非藍籌)/投資於新興市場、地區市場、單一國家或單一行業的投資基金/對沖基金/外匯期權/含期權產品

☐ C) Stocks/Equity-linked Investments (non-Blue Chips)/Global Equity Investment Funds/Balanced Investment Funds/Bond investment Funds exposed to emerging markets, regional markets, single country/High-yield Bond Investment Funds/Currency-linked Deposits/Credit-linked Notes without exposure to Structured Products.
股票/股票相連投資(藍籌)/環球股票投資基金/均衡基金/投資於新興市場、地區市場、單一國家的債券投資基金/高收益債券投資基金/外幣掛鈎存款/不涉及結構性產品的信貸相連票據

☐ D) Bonds/Global Bond Investment Funds/Foreign Currencies.
債券/環球債券投資基金/外幣

☐ E) Certificates of Deposits/Capital-guaranteed Investment Products/Money Market Funds.
存款證/保本型投資產品/貨幣市場基金

☐ F) None of the above during the past 24 months but some of the above or other financial products prior to the past 24 months.
過去 24 個月未持有以上投資產品，惟過去 24 個月之前曾投資於上述部份產品或其他金融產品

☐ G) Never held any investment products so far.
迄今從未持有任何投資產品

7. Which of the following channels is/are your investment knowledge acquired (Tick one or more)?
您曾經或現時從以下哪些途徑汲取投資知識 (可選擇多於一項)?

☐ A) Never attempting to acquire investment knowledge. 從未汲取/或沒有興趣汲取任何投資知識
☐ B) From relatives and/or colleagues without further self-study. 與親友及/或同事討論投資或理財話題
☐ C) From financial programmes of mass media without further self-study. 閱讀及/或收聽有關投或財經新聞
☐ D) Self-study. 從多個途徑閱讀及分析有關投資或財務資料
☐ E) From attending financial courses together with self-study.
研究投資或財務相關事宜，或參加投資或財務相關課程、論壇、簡報會、研討會或工作坊

8. What is the percentage of your/your company's liquid assets (i.e. assets easily converted into cash) that can be allowed for investing in product with appreciable price volatility?
您/貴公司的流動資產 (即易於轉換為現金的資產) 可用於投資價格波動較大的產品的百分比是多少？

☐ A) Less than 10% 少於 10%
☐ B) 10% to 20% 10%至 20%
☐ C) 21% to 30% 21%至 30%
☐ D) 31% to 50% 31%至 50%
☐ E) More than 50% 多於 50%

9. How much price volatility of investment you/your company can accept?
您/貴公司可以接受財務產品的價格出現多大波幅?

☐ A) Less than 10% price fluctuation. 少於 10%的升跌
☐ B) 10% price fluctuation. 10%的升跌
☐ C) 15% price fluctuation. 15%的升跌
☐ D) 20% price fluctuation. 20%的升跌
☐ E) More than 20% price fluctuation. 超過 20%的升跌

10. What portion of your/your company's overall income is available for investment for each month?
您/貴公司每月可用作投資的金額，佔總收入多少個百分比?

☐ A) Less than 10% 少於 10%
☐ B) 10% to 29% 10%至 29%
☐ C) 30% to 49% 30%至 49%
☐ D) 50% to 69% 50%至 69%
☐ E) More than 70% 多於 70%

11. If there is a fall of 15% or over in your overall investment portfolio, what level of your living will be suffered.
若您整體投資資產下跌超過百分之十五，對您的生活影響程度如何？

☐ A) Intolerable 無法承受
☐ B) Great impact 影響程度大
☐ C) Medium impact 中度影響
☐ D) Little impact 影響程度小
☐ E) No impact 不會有影響

12. How would you best describe your/your company's attitude towards investing?
您會怎樣形容您/貴公司對投資的取向?

- ☐ A) I/We cannot put up with any price fluctuation
  我/我們不能接受任何價格波動
- ☐ B) I/We can only put up with little price fluctuation and wish up to have earnings slightly higher than bank deposit rate.
  我/我們只能接受較小幅度的價格波動，並且希望賺取稍高於銀行存款利率的回報
- ☐ C) I/We can put up with some price fluctuation and wish to have earnings much better than bank deposit rates
  我/我們可接受若干價格波動，並希望賺取遠高於銀行存款利率的回報
- ☐ D) I/We can put up with high degree of price fluctuation and wish to have earnings comparable to stock market indexes.
  我/我們可接受大幅度的價格波動，並希望賺取與股市表現相若的回報
- ☐ E) I/We can put up with any price fluctuation and wish to have earnings remarkably higher than stock market indexes.
  我/我們可接受任何幅度的價格波動，並希望回報能跑贏股市

Customer Risk Categories Description 客戶風險評估結果 (To be completed by Staff/RM/A.E. of Financial Intermediary)

Based on your responses, your risk category is: 根據閣下的回應，您的風險評估結果為：	**Conservative** 穩健	**Moderate** 中度	**Balanced** 均衡	**Growth** 增長	**Aggressive** 進取
Client Risk Grade 客戶風險級別	**1**	**2**	**3**	**4**	**5**

Risk Categories 風險類別	**Investment Risk Profiles** 投資風險分析
Conservative 穩健	You may choose the financial products with LOW product risk level, and emphasis on bonds and cash to seek for capital preservation. In return, you understand that you will receive low returns. 您可選擇投資於低風險的投資產品，以債券及現金為主以達到穩定回報的目的。如此一來，您要明白所收取的回報也較低。
Moderate 中度	You can accept some returns of your investments with low to medium risk exposure and price fluctuation. 您可以接受低至中風險及價格波動，並有一些的投資回報。
Balanced 均衡	You can choose a diversified but more balanced mix of stocks, bonds and cash. You are willing to accept medium risks in exchange for some potential returns over the medium to long term. 您可選擇多元化及較均衡的股票、債券及現金投資組合。您願意承擔中等級別的風險，以便在中長期內賺取一些潛在回報。
Growth 增長	You can accept growth of capital with high risk exposure and price fluctuation. 您可以接受高風險及價格波動，並且有資本增值的投資。
Aggressive 進取	You may choose to invest your money in Derivative Product, Investment Funds and/or Other Financial Products with any product risk level. You are willing to accept very high risks to maximum your potential return over the long term. You understand that you may lose a significant part or all of your capital. You may even be required to make good the losses over and above your capital. 您可選擇投資於任何風險級別的衍生產品、投資基金和/或其他金融產品。您願意承擔高級別的風險，以便在中長期內得到最大的潛在回報。您知道您可能損失大部份或全部資本，您甚至可能須對資本以外的虧損作出補償。

Please tick either (1) or (2) and complete as appropriate:
請在下列其中一個方格內加上「 」號：

1. ☐ **I/We hereby acknowledge and confirm that my/our risk profile is categorized as above according to my/our responses to Risk Profiling Questionnaire.**
   本人/吾等特此知悉並確認，根據本人/吾等對《風險承擔能力問卷》的回應，本人/吾等的風險評估已分類為上述級別。
2. ☐ **I/We hereby confirm to re-categorize my/our assessed risk category to a lower grade and hereby nominate my/our risk grade to be:****
   _____
   本人/吾等特此確認重新分類本人/吾等的風險評估類別為較低的級別，並特此指定本人/吾等的風險級別為：** _____

**** IMPORTANT NOTE** 重要提示 **:**
This can only be lower than the risk tolerance profile calculated above, and will become the risk tolerance profile captured in the record of the Company.
您只能選取較評估所得的投資風險取向較低的類型，公司將記錄此為您的風險承受取向。。

Signature(s) of individual and all joint account holders
個人及所有聯名帳戶持有人簽署

Name(s) 姓名：

Date 日期：

SECTION 9 第九部份 — Assessment on Knowledge of Derivative Products 衍生產品知識評估

The following questionnaire is designed to ensure the provision of services to you with respect to derivative products are in compliance with our obligations under the Code of Conduct issued by the SFC. (You may require to provide the relevant supporting documents to show your knowledge/experience with derivative products).
以下問卷為確保本公司所提供給閣下有關衍生工具的服務已遵從〈證券及期貨事務監察委員會持牌人或註冊人操守準則〉中的責任。 (閣下可能須要提供相關證明文件以認證閣下對衍生產品的認識/經驗。)

Please 🗀 choose the appropriate answer. 請🗀選擇適當答案

1. I/We have undergone training or attended courses on derivative products 本人/吾等曾接受有關衍生產品的培訓或修讀相關課程
   - ☐ No 否
   - ☐ Yes 是 (Please provide the details below 請提供以下資料)
     - (i) Name of course or training and name of course or training provider 培訓或相關課程之名稱及提供培訓或相關課程之機構名稱:
     - (ii) Type(s) of derivative products relevant to the training or course 培訓或相關課程之有關投資產品種類:
     - (iii) Whether the training or course provide you with general knowledge of the nature and risks of derivative products: 培訓或相關課程是否為閣下提供衍生工具的性質和風險的一般知識
       ☐ No 否 ☐ Yes 是
2. My/Our current work experience relates to derivative products 本人/吾等現時的工作經驗與衍生產品有關
   - ☐ No 否
   - ☐ Yes 是 (Please provide the details below 請提供以下資料)
     - (i) Name of employer 僱主名稱:
     - (ii) Job Title 職位:
     - (iii) Please briefly state how your work relates to derivative products 請簡述閣下的工作如何與衍生產品有關:
     - (iv) Years of work experience which relates to derivative products 衍生產品有關工作經驗之年資:
3. My/Our previous work experience relates to derivative products 本人/吾等過去的工作經驗與衍生產品有關
   - ☐ No 否
   - ☐ Yes 是 (Please provide the details below 請提供以下資料)
     - (i) Name of previous employer 前僱主名稱:
     - (ii) Job title 職位:
     - (iii) Please briefly state how your previous work relates to derivative products 請簡述閣下過去的工作如何與衍生產品有關:
     - (iv) Years of previous work experience which relates to derivative products 過去與衍生產品有關工作經驗之年資:
4. I/We have prior trading experience in derivative products 本人/吾等有買賣衍生產品的經驗
   - ☐ No 否
   - ☐ Yes 是 (Please provide the details below 請提供以下資料)
     - (i) Type of derivative products traded 以往曾買賣的衍生產品種類:
     - (ii) Number of transaction within the past three years 過去三年曾買賣衍生產品的交易數目:
5. ☐ I/We have read all the sections under the "Investment Education" column on the MFG's website (http://www.mfghk.com), which had been provided to me/us;
   本人/吾等已經細閱貴公司早前提及的網站 (http://www.mfghk.com) 的投資教育所有欄目。

Customer Assessment on Knowledge of Derivative Products 客戶衍生產品知識評估
(To be completed by Staff/RM/A.E. of Financial Intermediary)

(1) Client Investment Suitability Classification: Client Risk Grade* 1 / 2 / 3 / 4 / 5
客戶投資屬性分類: 客戶風險等級第 * 1 / 2 / 3 / 4 / 5 級

(2) Client Investor Characterization: Client * has / has no derivative experience and * can / cannot transact derivative products.
客戶投資者分類: 客戶 * 有 / 沒有衍生工具的相關經驗及 * 可以 / 不可以 買賣衍生產品。

CLIENT'S DECLARATION 客戶聲明

☐ I/We hereby acknowledge and agree that the above Assessment on Knowledge of Derivative Products. I/We confirm my/our understanding of the product features and relevant risk associated with different investment products, including but not limited to bonds, accumulators/decumulators, derivative products trade on the exchanges or over-the-counter (OTC).
本人/吾等特此確認及同意，上述有關衍生產品知識評估。 本人/吾等明白各類投資產品特性和相關風險，包括但不限於債券、累積認購期權合約/累積認沽期權合約、場內或場外交易(OTC) 的衍生工具產品。

☐ I/We hereby acknowledge that the above Risk Level of Investment Products and Investment Suitability Classification is
本人/吾等特此確認及同意，上述有關衍生產品的投資者分類評估為

- ☐ ① Conservative 穩健；
- ☐ ② Moderate 中度；
- ☐ ③ Balanced 均衡；
- ☐ ④ Growth 增長；or 或
- ☐ ⑤ Aggressive 進取，

with corresponding investment objective to have
對應的投資目標是

- ☐ Ⓐ Conservative with a return similar to bank deposit rate 保守及賺取相約於銀行存款的回報；
- ☐ Ⓑ Earn a return which is slightly above bank deposit 賺取略高於銀行存款的回報；
- ☐ Ⓒ Stable, balanced income and capital growth 穩定平衡收入與資本增長；
- ☐ Ⓓ Gradual long-term capital growth 資本長期地逐漸增長；or 或
- ☐ Ⓔ Maximize capital growth as soon as possible 以最短時間爭取最高回報。

*Delete if not applicable 請將不適用者刪去

Signature(s) of individual and all joint account holders
個人及所有聯名帳戶持有人簽署

Name(s) 姓名：

Date 日期：

SECTION 10
第十部份

Self-Certification Form – Individual/Joint Account
自我證明表格 – 個人帳戶及／或聯名帳戶

*Please photocopy this page(s) separately if necessary.
如不敷應用，請另行影印此頁。

Client Information 客戶資料

Client Name:
客戶名稱: _____

A. Certification of Account Status 帳戶狀況證明

Please complete the following information for an individual and/or joint account. Please note that in the case of a joint account, each client is required to complete a separate self-certification form.
請填寫以下有關個人帳戶及／或聯名帳戶的資料，如屬聯名帳戶，每名客戶須分別填寫自我證明表格。

Part 1. Automatic Exchange of Financial Account Information 自動交換財務帳戶資料

Important Notes:
重要提示：

This is a self-certification form provided by an account holder to MFG Limited ("MFG') for the purpose of automatic exchange of financial account information. The data collected may be transmitted by MFG to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
這是由帳戶持有人向峰滙金融集團有限公司(下稱〝峰滙〞)提供的自我證明表格，以作自動交換財務帳戶資料用途。峰滙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 MFG as soon as practicable.
如帳戶持有人的稅務居民身分或其他資料有所改變，應盡快將所有變更通知峰滙。
All parts of the form must be completed (except for those not applicable or otherwise specified). If there is not enough space, you may provide your information on additional sheet(s). Information in fields/parts marked with an asterisk (*) are required to be reported by MFG 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（*）的項目為峰滙向稅務局申報的資料。

Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") *
居留司法管轄區及稅務編號或具有等同功能的識辨編號（以下簡稱「稅務編號」）*
Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a **resident for tax purposes** and (b) the account holder's TIN for each jurisdiction. Indicate **all** (not restricted to five) jurisdictions of residence.
提供以下資料，列明 (a) 帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區（香港包括在內）及 (b) 該居留司法管轄區發給帳戶持有人的稅務編號。列出所有（不限於5個）居留司法管轄區。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. If a TIN is unavailable, provide the appropriate reason A, B or C:
如帳戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。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	Add / Update 新增 / 更新
(1)				
(2)				
(3)				
(4)				
(5)				

Part 2. Foreign Account Tax Compliance Act 美國外國帳戶稅務合規法案(FATCA)

Disclaimer:
免責聲明

The account holder is advised to refer to the US IRS website (http://www.irs.gov/) for details in respect of FATCA.
帳戶持有人如要瞭解FATCA法案詳情，閣下可參閱美國國家稅務局網站 (http://www.irs.gov/)資訊。
The account holder shall be fully responsible for the confirmation of his/her/its FATCA status and other information submitted hereunder.
帳戶持有人應對其確認的FATCA 身份及在本文件內提供的其他信息承擔全部責任。
The account holder shall ensure the information given and statements made in this form are true, correct and complete, MFG shall not be liable for any errors or loss that results from such information and statements.
帳戶持有人應確保於本表格內所填報的所有資料和聲明真實、正確和完備。峰滙金融集團有限公司不對該等資料和聲明的任何錯誤或導致的任何損失承擔任何責任。
MFG is unable to offer any tax or legal advice to the account holder. For any related question, the account holder is advised to consult his/her/its tax and legal advisors.
峰滙金融集團有限公司不能向帳戶持有人提供任何稅務及法律意見。如有相關疑問，請帳戶持有人聯絡其稅務及法律顧問。

Please tick either (1) or (2) or (3) and complete as appropriate:
請在下列其中一個方格內加上「 」號：

1. ☐ I confirm that I am a U.S. citizen and/or resident in the U.S. for tax purposes (Green Card Holder or resident under the substantial presence test)
本人確認，本人就課稅目的而言為美國公民及／或美國居民（綠卡持有人或根據實質居留測試被定性為居民）。
2. ☐ I confirm that I was born in the U.S. (or U.S. territory) but am no longer a U.S. citizen as I have voluntarily surrendered my citizenship as evidenced by the Certificate of Loss of Nationality of the United States.
本人確認，本人在美國（或美國境內）出生但不再屬於美國公民，原因是本人自願放棄本人的公民身份，並以美國「喪失原有國籍證明」為憑證。
3. ☐ I confirm that I am not a U.S. citizen or resident in the U.S. for tax purposes.
本人確認，本人就課稅目的而言並非美國公民或美國居民。

The substantial presence test is generally met with respect to any calendar year if (a) the individual is present in the U.S. at least 31 days during such year and (b) the sum of the number of days in which such individual is present in the U.S. during such year, 1/3 of the number of such days during the first preceding year, and 1/6 of the number of such days during the second preceding year, equals or exceeds 183 days.
如就任何曆年有下列情況，一般即屬已通過實質居留測試：(a)該名個人在該年度內在美國居留至少31天；及(b)該名個人在該年度內在美國居留的天數，與其在前一年度內居留天數的三分之一及再前一個年度內居留天數的六分之一的總和，相等於或超過183天。

B. Declarations and Signature 聲明及簽署

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by MFG 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 MFG 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，峰滙金融集團有限公司可根據《稅務條例》（第 112 章）有關交換財務帳戶資料的法律條文，（a）收集本表格所載資料並可備存作自動交換財務帳戶資料用途及（b）把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。

Subject to applicable local laws, I hereby give my consent to MFG for sharing my information with domestic and overseas regulators or tax authorities where necessary to establish my tax liability in any jurisdiction. Where required by domestic or overseas regulators or tax authorities, I consent and agree that MFG may withhold from my account(s) such amount as may be required according to applicable laws, regulations and directives.
I certify that I am the account holder of all the account(s) to which this form relates. I undertake to advise MFG of any change in any information or any circumstances which affects the tax residency status of the individual identified in this form or causes the information contained herein to become incorrect, and to provide MFG with a suitably updated self-certification form within 30 days of such change in circumstances or information.
在不抵觸當地適用法律的情況下，本人同意峰滙金融集團有限公司在必要情況下可向國內及海外的監管機構或稅務機關提供本人的個人資料以確立本人於任何司法管轄區的稅務責任。因應國內或海外的監管機構或稅務機關要求，本人准許並同意峰滙金融集團有限公司可按適用的法律、法規和指令，在本人帳戶中預扣所須款項。
本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人。
本人承諾，如任何資料有任何變更，或如情況有所改變，以致影響本表格所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知峰滙金融集團有限公司，並會在情況發生改變後或資料變更後之30日內，向峰滙金融集團有限公司提交一份已適當更新的自我證明表格。

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.
本人/吾等聲明就本人/吾等所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

Client Signature
客戶簽署

Date
日期 _____

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

Please complete this self-certification form carefully. Please refer to the information on the website of Hong Kong Inland Revenue Department http://www.ird.gov.hk/eng/tax/dta_aeoi.htm or the website of OECD http://www.oecd.org/tax/automatic-exchange/ or US IRS website http://www.irs.gov/ and consult your tax, legal and/or other professional advisers if you have any question on or in relation to AEOI, FATCA, any of the U.S. IRS form (including which U.S. IRS form to complete and submit) or this self-certification form.
請小心填寫本自我證明表格。如 閣下對於自動交換財務帳戶資料(AEOI) 、FATCA或任何美國國稅局表格（包括需填寫及遞交哪一份美國國稅局表格）或本自我證明表格有任何疑問，請查詢香港稅務局網站 **http:/www.ird.gov.hk/chi/tax/dta_aeoi.htm**、**OECD**網站 **http://www.oecd.org/tax/automatic-exchange/** 或 美國國家稅務局網站 **(http://www.irs.gov/)**及諮詢 閣下之稅務、法律及／或其他專業顧問。

For Official Use Only					
Signature Verified By:	***Tax Residence***	***TIN***	***Add***	***Update***	***FATCA Status***
	1. _____ 2. _____ 3. _____ 4. _____ 5. _____	1. _____ 2. _____ 3. _____ 4. _____ 5. _____	1. ☐ 2. ☐ 3. ☐ 4. ☐ 5. ☐	☐ ☐ ☐ ☐ ☐	☐U.S. Individual 美國人士 ☐Non-U.S. Individual (without US indicia) 非美國人士 但沒有美國人士特徵 ☐Non-U.S. Individual (with US indicia) 非美國人士 但有美國人士特徵

SECTION 11 第十一部份 ANTI-MONEY LAUNDERING & ANTI-TERRORIST FINANCING QUESTIONNAIRE 防止洗黑錢及防止恐怖份子籌資活動問卷

(i)、(iv) 、(v) 及 (vi) 必須填寫。 (i)、(iv) 、(v) & (vi) MUST BE ANSWERED.

(i) 所有客戶 **For ALL Client**

A.	閣下並沒有與政界人士有聯繫? (政界人士：指目前或以往曾經擔任重要公職的人士，如國家或政府的首長，資深政客，政府高級官員和重要政黨官員等) Are you not linked to politically exposed persons? (Politically exposed person - individual who is or has been entrusted with prominent public function, e.g. head of state/government, senior politician, senior executive of government-owned corporation, important political party official, etc) 如上題 (A) 的答案選擇"否"，請向我們提供你的分類評估 If the answer to (A) is NO, please provide us with the information of your classification: ☐ 1) 外國政治人物 Foreign politically exposed persons. (國家名稱 Name of Country: _____, 如適用 if applicable) ☐ 2) 國內政治人物 Domestic politically exposed persons. ☐ 3) 國際組織政治人物 International organization politically exposed persons. (組織名稱 Name of the organization: _____, 如適用 if applicable)	☐ 是 Yes ☐ 否 No
B.	閣下的業務性質並不是特別容易蒙受較高的洗黑錢風險? (舉例:如會接觸大量現金往來，找換業或博彩業) Is the nature of your business not particularly susceptible to money laundering risk? (For example, money changer or casino business that handles large amount of cash)	☐ 是 Yes ☐ 否 No
C.	閣下的金錢來源並不是源於或涉及非法所得? Does your money might not be arising from or related to proceeds of crimes?	☐ 是 Yes ☐ 否 No

(ii) 只適用於海外客戶 **(**如非本港居民**) For Overseas Client Only (i.e. Non-residents of Hong Kong)**

A.	閣下居住的國家是否財務行動特別組織的成員或其隸屬? Is the country that you located is a member of the Financial Action Task Force ("FATF") or its affiliates?	☐ 是 Yes ☐ 否 No
B.	如上題 (A) 的答案選擇"否"，閣下居住的國家是否已有現行的法律或條例立以制止洗黑錢的活動? If the answer to (A) is NO, are you located in a country with established laws/regulations designed to prevent money laundering?	☐ 是 Yes ☐ 否 No ☐ 不適用 N/A
C.	如上題(B) 的答案選擇"否"，閣下是否受到現行的法律或條例所管制? If the answer to (B) is NO, are you subject to such laws/regulations?	☐ 是 Yes ☐ 否 No ☐ 不適用 N/A
D.	閣下是否就反洗黑錢條例或反恐怖分子籌資活動條例維持著"無罪紀錄"？ 如否，請另外提交一份詳細的資料。 Have you maintained a "no conviction record" for anti-money laundering or anti-terrorist financing legislation? If no, please provide details on a separate sheet.	☐ 是 Yes ☐ 否 No

(iii) 如閣下的業務涉及處理第三者的資產**(**如基金經理，股票經紀**)**，請回答以下的問題。
For client whose business involves handling third party assets (e.g. fund manager, stockbrokers), please answer the following questions.

A.	閣下(包括外國的分行及子公司)是否已制訂書面政策，並執行內部程序和管理，以打擊洗黑錢的活動? Do you (including foreign branches and subsidiaries, if any) have established written policies and implemented internal procedures and controls to combat money laundering?	☐ 是 Yes ☐ 否 No
B.	閣下所屬的機構，就舉報可疑的活動和交易是否已確立程序向適當的監控組織報告? Are there documented procedures of your institution for reporting suspicious activities and transactions to the appropriate authorities?	☐ 是 Yes ☐ 否 No
C.	閣下所屬的機構有否已制訂政策與程序，確保已採用合理方法去取得客戶真正身份的資料，並將有關資料 於適用的法律所規定時限內予以保留? Has your institution established policies and procedures to ensure that reasonable measures are taken to obtain information about the true identity of its customers, and are these records retained for a period of time specified by the applicable law?	☐ 是 Yes ☐ 否 No

(iv)	平均交易金額（以港幣計） **Average Size of Trades (HK$)**	☐ 港幣 HK$10,000 ☐ 港幣 HK$10,000 -港幣 HK$50,000 ☐ 港幣 HK$50,000 -港幣 HK$1,000,000 ☐ 港幣 HK$1,000,000 或以上 or above
(v)	資金來源 **Source of Funds**	*(如有需要，可勾選多於一項)(tick more than one box, if appropriate)* ☐ 薪金 / 佣金 Payroll / Commission ☐ 售出物業 Sales of Property ☐ 積蓄 Savings ☐ 個人業務 Individual Business ☐ 投資收益 Investment Return ☐ 其他，請註明 Others, please specify_____

(v)	資金來源 **Source of Funds**	資金來源方式 Means of Source of Funds	*(如有需要，可勾選多於一項)* *(tick more than one box, if appropriate)* ☐ 現金 Cash ☐ 轉帳 Transfer ☐ 支票 Cheque ☐ 匯票 Demand Draft ☐ 電匯 Telegraphic Transfer ☐ 其他，請註明 Others, please specify _____
		資金來源地 Origins of Source of Funds	(如有需要，可勾選多於一項) (tick more than one box, if appropriate) ☐ 香港 HK ☐ 中國 China ☐ 美國 US ☐ 台灣 Taiwan ☐ 其他，請註明 Others, please specify _____
(vi)	預期帳戶每月交易量 **Anticipated Monthly Volume**	買入交易 Buy Transaction	交易量(宗) No. of counts: ☐ ≤ 26 ☐ 27 – 78 ☐ 79 – 100 ☐ 101– 200 ☐ > 200 預期涉及總金額 Anticipated Total Amount_____
		賣出交易 Sell Transaction	交易量(宗) No. of counts: ☐ ≤ 26 ☐ 27 – 78 ☐ 79 – 100 ☐ 101– 200 ☐ > 200 預期涉及總金額 Anticipated Total Amount_____

Client Signature 客戶簽署

Client Name 客戶姓名 _____

Date 日期 _____

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Client AML Risk Classification **Low / Medium / High***

Reasons for classification: (Only for Medium / High) _____

_____

Approved by
Responsible Officer / *Two Directors

Signature

Name CE No.

日期 (日/月/年) Date (dd/mm/yy)

Reviewed by
Compliance Officer

Signature

Name

日期 (日/月/年) Date (dd/mm/yy)

* For high risk client:
1. If the answer to any of the questions (i), (ii) and (iii) is "No", the result of the risk assessment would be "High".
2. The Account Opening Form to be signed by at least two of directors and Responsible Officers
3. The Account to be reviewed semi-yearly.

SECTION 12
第十二部份

CONSENT LETTER ON NORTHBOUND CHINA STOCK CONNECT ORDERS (INVESTOR IDENTIFICATION MODEL) AND THE PERSONAL INFORMATION COLLECTION STATEMENT
中華通北向交易委託（投資者識別碼模式）及個人資料收集聲明-客戶同意書
(Applicable for Shanghai-HK Stock Connect/Shenzhen-HK Connect "China Connect" Account 適用於滬港通及/或深港通帳戶**)**

Processing of Personal Data as part of the Stock Connect Northbound Trading
處理個人資料作為中華通北向交易的一部分

In view of MFG Limited's ("**MFG**") provision of Stock Connect Northbound Trading Services to you, you acknowledge and agree that MFG will be required to:
您/ 汝等知悉及同意峰滙集團有限公司（下稱"峰滙"）在通過中華通北向交易服務過程中，峰滙將被要求進行以下工作：

(i) tag each of your orders submitted to the China Stock Connect ("**CSC**") with Broker-to-Client Assigned Number ("**BCAN**") that is unique to you (for you having single account) or to your joint account (for you having a joint account) with MFG , as appropriate; and
對提交到中華通交易系統的每一個客戶委託，增加一個獨一無二且專屬於客戶的券商客戶編碼（以下簡稱"**BCAN**"）（適用於客戶持有單一帳戶）或分配給客戶的聯名帳戶的 BCAN 碼（適用於客戶持有聯名帳戶）；及

(ii) provide to the Exchange your assigned BCAN and such identification information ("**Client Identification Data**" or "**CID**") relating to you as the Exchange may request from time to time under the Rules of the Exchange.
向香港交易所（以下簡稱"交易所"）提供已經編配給客戶的 BCAN 及相關客戶識別資訊（以下稱"客戶識別資訊"或"**CID**"），交易所可根據交易所規則而不時提出要求。

Without limitation to any notification MFG have given you or consent MFG have obtained from you in respect of the processing of your personal data in connection with your account and MFG's services to you, you acknowledge and agree that MFG may collect, store, use, disclose and transfer personal data relating to you as required as part of MFG's Stock Connect Northbound Trading Service, including as follows:
在處理與您帳戶相關的個人資料以及向您提供服務時，在不限制峰滙已經向您作出的通知和已經取得的您的同意情況下，作為中華通北向交易服務的一部分，您知悉並同意峰滙可能會收集、存儲、使用、披露並傳輸您的個人資料，包括以下內容：

(a) to disclose and transfer your BCAN and CID to the Exchange and the relevant SEHK Subsidiaries from time to time, including by indicating your BCAN when inputting a China Connect Order into the CSC, which will be further routed to the relevant China Connect Market Operator on a real-time basis;
不時向交易所及其相關聯交所子公司披露及傳輸您的 BCAN 及 CID，包括向中華通交易系統輸入委託指令時標明您的 BCAN，並將進一步即時傳遞至相關中華通市場運營者；

(b) to allow each of the Exchange and the relevant SEHK Subsidiaries to: (i) collect, use and store your BCAN,CID and any consolidated, validated and mapped BCANs and CID information provided by the relevant China Connect Clearing House (in the case of storage, by any of them or via HKEX) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange; (ii) transfer such information to the relevant China Connect Market Operator (directly or through the relevant China Connect Clearing House) from time to time for the purposes set out in (c) and (d) below; and (iii) disclose such information to the relevant regulators and law enforcement agencies in Hong Kong so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets;
允許交易所及其相關聯交所子公司：（i）收集、使用以及存儲您的 BCAN、CID 以及由相關中華通結算機構為市場監測監控目的和執行交易所規則而合併、驗證和配對的 BCAN 和 CID 資訊（資訊由中華通結算機構或交易所保存）；（ii）為符合下文（c）及（d）規定的目的，不時將有關資料（直接或通過相關中華通結算機構）轉移給中華通市場運營者；（iii）向香港的相關監管機構和執法機構披露有關資料，以促進其香港金融市場法定職能的履行；

(c) to allow the relevant China Connect Clearing House to: (i) collect, use and store your BCAN and CID to facilitate the consolidation and validation of BCANs and CID and the mapping of BCANs and CID with its investor identification database, and provide such consolidated, validated and mapped BCANs and CID information to the relevant China Connect Market Operator, the Exchange and the relevant SEHK Subsidiary; (ii) use your BCAN and CID for the performance of its regulatory functions of securities account management; and (iii) disclose such information to the Mainland regulatory authorities and law enforcement agencies having jurisdiction over it so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets; and
允許相關中華通結算機構：（i）收集、使用以及儲存您的 BCAN 和 CID，以促進 BCAN 和 CID 的整合和驗證，以及 BCAN 和 CID 與投資者資料庫的配對，並將相應整合、驗證和配對的 BCAN 和 CID 資訊提供給相關中華通市場運營者、交易所及其相關聯交所子公司；（ii）使用您的 BCAN 和 CID 來履行其證券帳戶管理的監管職能；（iii）向有管轄權的內地監管機構及執法機構披露有關資料，以促進其內地金融市場的監管、監察及執法職能的履行；

(d) to allow the relevant China Connect Market Operator to: (i) collect, use and store your BCAN and CID to facilitate their surveillance and monitoring of securities trading on the relevant China Connect Market through the use of the China Connect Service and enforcement of the rules of the relevant China Connect Market Operator; and (ii) disclose such information to the Mainland regulatory authorities and law enforcement agencies so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets.
允許相關中華通市場運營者：（i）收集、使用以及存儲您的 BCAN 和 CID，通過使用中華通服務及執行相關中華通市場營運商的規則，以促進其中華通市場的證券交易的監測監控；（ii）向內地監管機構和執法機構披露有關資料，以協助履行其對金融市場的監管、監察及執法職能。

By instructing MFG in respect of any transaction relating to China Connect Securities, you acknowledge and agree that MFG may use your personal data for the purposes of complying with the requirements of the Exchange and its rules as in force from time to time in connection with the Stock Connect Northbound Trading. You also acknowledge that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, used, disclosed, transferred and otherwise processed for the above purposes, whether before or after such purported withdrawal of consent.

通過向峰滙發出關於中華通證券交易的指示，您知悉並同意，為符合與中華通北向交易相關而不時更新的交易所要求和規則，峰滙可以使用您的個人資料。您亦知悉，儘管您隨後聲稱撤回同意，但無論在您聲稱撤銷同意之前或之後，您的個人資料仍可繼續存儲、使用、披露、轉移以及其他處理以達到上述目的。

Consequences of failing to provide Personal Data or Consent

未能提供客戶同意書或個人資料所須承擔的後果

Failure to provide MFG with your personal data or consent as described above may mean that MFG will not, or no longer be able, as the case may be, to carry out your trading instructions or provide you with MFG's Stock Connect Northbound Trading Service. 未能向峰滙提供您的個人資料或作出上述同意，意味著根據具體情況峰滙將不會或不能執行您的交易指令或向您提供中華通北向交易服務。

Acknowledgement and Consent

確認及同意

I/We acknowledge I/We have read and understand the content of the above Personal Information Collection Statement of MFG. By ticking the box below, I/We signify my/our consent for MFG to use my/our personal data on the terms of and for the purposes set out in the Personal Information Collection Statement.
本人/吾等確認本人/吾等已經閱讀並理解峰滙個人資料收集聲明的內容。通過勾選下面的方框，本人/吾等同意峰滙根據個人資料收集聲明中的條款和目的使用我的個人資料。

☐ I/We agree to MFG's use of my/our personal data for the purposes set out in the Personal Information Collection Statement.
本人/吾等同意峰滙將本人/吾等的個人資料用於個人資料收集聲明所載的目的。

Client Signature
客戶簽署

Client Name
客戶姓名 _____

Date
日期 _____

SECTION 13
第十三部份

CLIENT CONSENT UNDER THE HONG KONG INVESTOR IDENTIFICATION REGIME (HKIDR) AND OVER-THE- COUNTER SECURITIES TRANSACTIONS REPORTING REGIME (OTCR)
香港投資者識別制度 **(HKIDR)** 和場外證券交易報告制度 **(OTCR)** 下的客戶同意書

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

a) disclosing and transferring your personal data (including CID and BCAN(s)) to SEHK and/or the SFC in accordance with the rules and requirements of SEHK and the SFC in effect from time to time;
根據不時生效的聯交所及證監會規則和規定，向聯交所及／或證監會披露及轉移閣下的個人資料（包括客戶識別信息及券商客戶編碼）；

b) allowing SEHK to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK; and (ii) disclose and transfer such information to the relevant regulators and law enforcement agencies in Hong Kong (including, but not limited to, the SFC) so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets; and (iii) use such information for conducting analysis for the purposes of market oversight; and
允許聯交所：(i) 收集、儲存、處理及使用閣下的個人資料（包括客戶識別信息及券商客戶編碼），以便監察和監管市場及執行《聯交所規則》；(ii) 向香港相關監管機構和執法機構（包括但不限於證監會）披露及轉移有關資料，以便他們就香港金融市場履行其法定職能；及 (iii) 為監察市場目的而使用有關資料進行分析；及

c) allowing the SFC to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for the performance of its statutory functions including monitoring, surveillance and enforcement functions with respect to the Hong Kong financial markets; and (ii) disclose and transfer such information to relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements.
允許證監會：(i) 收集、儲存、處理及使用閣下的個人資料（包括客戶識別信息及券商客戶編碼），以便其履行法定職能，包括對香港金融市場的監管、監察及執法職能；及 (ii) 根據適用法例或監管規定向香港相關監管機構和執法機構披露及轉移有關資料。

d) providing your BCAN(s) to Hong Kong Securities Clearing Company Limited ("HKSCC") and allowing HKSCC to: (i) retrieve from SEHK (which is allowed to disclose and transfer to HKSCC), process and store your CID and transfer your CID to the issuer's share registrar to enable HKSCC and/or the issuer's share registrar to verify that You/us have not made any duplicate applications for the relevant share subscription and to facilitate public offers balloting and public offers settlement; and (ii) process and store your CID and transfer your CID to the issuer, the issuer's share registrar, the SFC, SEHK and any other parties involved in the public offers for the purposes of processing your application for the relevant share subscription or any other purposes set out in the public offering issuer's prospectus.
向香港結算提供券商客戶編碼以允許香港結算：(i)從聯交所取得、處理及儲存允許披露及轉移給香港結算屬於閣下的客戶識別信息，及向發行人的股份過戶登記處轉移閣下的客戶識別信息，以便核實閣下未就相關股份認購進行重複申請，以及便利首次公開招股抽籤及首次公開招股結算程式；及(ii)處理及儲存閣下的客戶識別信息，及向發行人、發行人的股份過戶登記處、證監會、聯交所及其他公開招股的有關各方轉移閣下的客戶識別信息，以便處理閣下對有關股份認購的申請，或為載於公開招股發行人的招股章程的任何其他目的。

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

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

You also acknowledge and undertake to MFG that, CID and any other personal data provided by you are true and accurate and you shall promptly notify MFG of any changes or updates or errors related to such CID and any other personal data provided and shall promptly provide MFG with any updated or changed CID and other personal data. Further, you acknowledge, confirm and undertake to MFG to assist MFG with verification and maintenance of CID and any other personal data.
閣下承認並向貴司承諾，客戶識別信息和閣下提供的任何其他個人資料是真實準確的，閣下將及時通知貴司與此類客戶識別信息和任何其他個人資料相關的更改、更新或錯誤，並應及時向貴司提供任何更新或更改的客戶識別信息和其他個人資料。此外，閣下承認、確認並向貴司承諾將協助貴司驗證和維護客戶識別信息和其他個人資料。

You understand and confirm that where MFG, on your instructions, provide services for the subscription or purchase of securities in a public offer in respect of a new listing on the HKEX, MFG may submit EIPO (as defined under Rules of Central Clearing and Settlement System established & operated by HKSCC) subscription on your behalf.
閣下理解並確認，如果貴司按照閣下的指示在聯交所新上市的公開發售中認購或購買證券，貴司可以以電子方式代表本人認購（定義見由結算所設立及運行的中央結算及交收系統規則）。

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

Client Signature
客戶簽署

Client Name
客戶姓名

Date
日期

APPENDIX 1
附錄一

DOCUMENT CHECKLIST
文件清單

Apply in Person 親臨開戶	**Apply by Post** 郵寄開戶
a) Individual / Joint Account Opening Form （個人/聯名帳戶）開戶表格	a) Individual / Joint Account Opening Form （個人/聯名帳戶）開戶表格
b) 1) Certified true copy# ("CTC") of Identity card or Passport 身份證或護照之核證真實副本#	b) 1) A crossed cheque of not less than HKD10,000 in favour of "MFG Limited" bearing Client's name and signature as shown in the Account Opening Application and drawn on the Client's own account maintained with a licensed bank in Hong Kong; or數額不少於港幣 10,000 元的劃線支票，支票須由客戶 本人簽發予「峰滙金融集團有限公司」，而支票帳戶姓名及簽名模式須與開戶申請表上之客戶名稱及簽署相符； 或
2) CTC# of Presence proof – visa or entry permit on valid travel document showing arrival date affixed by Immigration Department of HKSAR ***(for Non Hong Kong Residents)*** 在場證明之核證真實副本# – 必須提供由香港入境處於旅遊證明文件上加蓋之入境印及日期 *[適用於香港以外居住之開戶申請人]*	2) Signature of a suitable certifier# as witness+ in the Account Opening Application 由適合的證明人#在開戶申請表上簽署見證+ 客戶簽名
c) Original or CTC# of residential address proof issued within the last three months (e.g. utility bills, bank statements, land line telephone bills, mobile phone statement sent to the address provided by the client or credit card statements issued by licensed banks) 最近三個月的住址證明（如水電費單, 銀行結單, 固網電話費單, 寄往客戶所提供的地址的流動電話結單或由持牌銀行所發出信用卡帳單）之正本或核證真實副本#	c) CTC# of identity card or passport 身份證或護照之核證真實副本#
	d) CTC# of address proof issued within the last three months (e.g. utility bills, bank statements, land line telephone bills, mobile phone statement sent to the address provided by the client or credit card statements issued by licensed banks) 最近三個月的住址證明（如水電費單, 銀行結單, 固網電話費單， 寄往客戶所提供的地址的流動電話結單或由持牌銀行所發出信用卡帳單）之核證真實副本#

1) A suitable certifier shall include a Notary Public, Lawyer, Certified Public Accountant, a Chartered Secretary, a Branch Manager of a licensed Bank, a Justice of Peace, an officer of an embassy, consulate or high commission of the country of issue of documentary verification of identity or any other SFC licensed person.適合的證明人包括公證人、律師、會計師、特許秘書、持牌銀行分行經理、太平紳士、發出身分核實文件的國家的大使館、領事館或高級專員公署的人員或其他證監會持牌人。

2) The signature and official stamp of the certifier should be placed on the first page of the copy document and the number of pages should be stated
應在文件副本首頁簽署及蓋上正式印章, 並註明頁數

\+ 1) certifying the **signing** of the Account Opening Application by the Client &
見證客戶於開戶申請表上簽署

2) **sighting** of the original documentation and that the copy document which has been certified is a complete and accurate copy of that original
證明已查閱文件正本, 而該文件的副本為該正本的完整及真確副本

FOR OFFICIAL USE ONLY
由本公司填寫

ACCOUNT OPENING APPROVAL FORM (INDIVIDUAL/JOINT ACCOUNT)

		Checked by OPS
1.	Signature of a suitable certifier as witness in the ac opening application	Yes ☐ No ☐
2.	CTC of Identity Card / Passport copy of the Applicant(s)	Yes ☐ No ☐
3.	Presence Proof	Yes ☐ No ☐
4.	Personal Residential proof of the Applicant(s) Original / CTC of copy	Yes ☐ No ☐
5.	Staff Account	Yes ☐ No ☐
6.	Relationship with Director / Staff / Sales Representative (Name: _____)	Yes ☐ No ☐
7.	Others: _____	Yes ☐ No ☐
8.	Professional Investor	Yes ☐ No ☐
9.	Asset Proof	Yes ☐ No ☐
10.	Registered Email Address matched with existing client(s)#	Yes ☐ No ☐
11.	Registered Residential / Correspondence Address matched with existing client (s)#	Yes ☐ No ☐
12.	With derivative experience	Yes ☐ No ☐
13.	AML Risk Classification*	Low / Medium / High

 # If any of the above is "YES", A.E. MUST provide with reason and supporting document (if any) for Management Approval.

Prepared and signed by A.E.:

Name:
Date:

Completed and signed by Operation Staff:

Name:
Date:

Approved and signed by *two directors for high risk client

Name:
Date:

Name:
Date:

Remark:

Account No.: □ Securities / Margin _____ AE Code: _____

□ Futures _____ AE Name: _____

□ Stock Option _____

Form **W-8BEN**

(Rev. October 2021)

Department of the Treasury
Internal Revenue Service

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

▶ **For use by individuals. Entities must use Form W-8BEN-E.**
▶ **Go to *www.irs.gov/FormW8BEN* for instructions and the latest information.**
▶ **Give this form to the withholding agent or payer. Do not send to the IRS.**

OMB No. 1545-1621

Do NOT use this form if:	**Instead, use Form:**
• You are NOT an individual	W-8BEN-E
• You are a U.S. citizen or other U.S. person, including a resident alien individual	W-9
• You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the United States (other than personal services)	W-8ECI
• You are a beneficial owner who is receiving compensation for personal services performed in the United States	8233 or W-4
• You are a person acting as an intermediary	W-8IMY

Note: If you are resident in a FATCA partner jurisdiction (that is, a Model 1 IGA jurisdiction with reciprocity), certain tax account information may be provided to your jurisdiction of residence.

Part I Identification of Beneficial Owner (see instructions)

1 Name of individual who is the beneficial owner

2 Country of citizenship

3 Permanent residence address (street, apt. or suite no., or rural route). **Do not use a P.O. box or in-care-of address.**

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

Country

4 Mailing address (if different from above)

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

Country

5 U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)

6a Foreign tax identifying number (see instructions)

6b Check if FTIN not legally required ☐

7 Reference number(s) (see instructions)

8 Date of birth (MM-DD-YYYY) (see instructions)

Part II Claim of Tax Treaty Benefits (for chapter 3 purposes only) (see instructions)

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

10 **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 9 above to claim a _____ % rate of withholding on (specify type of income):

_____.

Explain the additional conditions in the Article and paragraph the beneficial owner meets to be eligible for the rate of withholding: _____

Part III 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:

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income or proceeds to which this form relates or am using this form to document myself for chapter 4 purposes;
- The person named 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 applicable 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);
- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country; 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 I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. **I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.**

Sign Here ▶ ☐ I certify that I have the capacity to sign for the person identified on line 1 of this form.

Signature of beneficial owner (or individual authorized to sign for beneficial owner) — Date (MM-DD-YYYY)

Print name of signer