

For Official Use Only 內部使用

Client Code 客戶編號 : _____

AE Code 客戶主任編號: _____

Account Opening Date 開戶日期: _____

Account Opening Form (Individual / Joint Account)

開戶表格

(個人/聯名帳戶)

(The Chinese translation of this Account Opening Form is for reference only. The English version of this Account Opening Form is the governing version and shall prevail whenever there is any discrepancy between the English version and Chinese translation)

(本開戶表格所提供之中文譯本只供參考，如與英文版本有任何抵觸，須以英文版本為準)

Client Information Sheet (Individual/ Joint)

客戶資料書 (個人/聯名)

Account Information 帳戶資料 (Please "✓" as appropriate 如適用請加"✓")		
Application for 申請 <input type="checkbox"/> Individual Account 個人帳戶 <input type="checkbox"/> Joint Account 聯名帳戶*	Account Type 帳戶類別 <input type="checkbox"/> Cash Account 現金帳戶	Additional Account Service 附加帳戶服務 <input type="checkbox"/> Internet Trading Service 網上交易服務 <input type="checkbox"/> Professional Investor Account 專業投資者帳戶

Client Information 客戶資料 (Please use separate Account Opening Form for each Joint Account Holder/請每位聯名帳戶申請人各自填寫一份開戶表)	
Name In Chinese 中文姓名	Name In English 英文姓名
Date of Birth (dd/mm/yyyy) 出生日期 (日/月/年)	Gender 性別 <input type="checkbox"/> Male 男 <input type="checkbox"/> Female 女
Please provide relevant identity document and fill in details in following descending order of priority. 請依照下列優先排序依次提供相關身份證明文件，並填寫信息。	
Client is required to provide identity documents that is first mentioned in the table, save that where client does not hold such document, the next mentioned document should be provided and so forth. Please put "N/A" if not applicable. 客戶需要提供該表格內首述的身分證明文件，除非客戶並無持有該文件，則應提供該表格所提述的下一份文件，依此類推。如不適用，請填上 "N/A"。	
For client who is not a Hong Kong permanent resident, please provide a certified true copy of Both National ID Card (if applicable) and Passport. 客戶如不屬香港永久性居民，請同時提交其國民身份證(如適用)及護照核證副本。	
(1) HKID Card No.: 香港身份證號碼:	
(2) National ID Card No.: 國民身份證號碼:	
Place of Issue of National ID Card: 國民身份證發出地:	
(3) Passport No.: 護照號碼:	
Place of Issue of Passport: 護照發出地:	
Nationality 國籍	Place of Birth 出生地點
Residential Address 居住地址	
Correspondence Address 聯絡地址 (Please specify, if different with Residential Address 如與居住地址不同,請註明)	
Home Telephone No. 住宅電話號碼	Mobile Telephone No. 流動電話號碼
E-mail Address 電郵地址 :	
Education Level 教育程度 :	
<input type="checkbox"/> Primary 小學 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> College 大專 <input type="checkbox"/> University or above 大學或以上 <input type="checkbox"/> Others, Please Specify 其他, 請說明 _____	

Delivery of Account Statement 帳戶結單發送

Contract Notes, Daily and Monthly Statements to be sent to (please choose anyone) 成交單、帳戶日結單及月結單寄往 (請選擇其一) :

(a) By Email 電郵收取 (b) By post to correspondence address 郵寄結單往通訊地址**

**If you would like to receive the statements by post, Harmonia Capital Limited may charge a reasonable monthly fee. For the details, please refer to the fee schedule on the website of Harmonia Capital. 如閣下希望以郵寄方式收取上述結單，仁和資本有限公司將每月收取合理的收費。收費詳情請參看仁和資本網站上的收費表。

Language of Statements 結單語言

(a) English 英文 (b) Traditional Chinese 繁體中文 (c) Simplified Chinese 簡體中文

Designated Bank Details 指定銀行資料

Unless otherwise instructed by you, all monies payable to you are to be credited to the designated bank account

除非客戶另行指示外，須付予客戶的款項將會被轉入指定銀行帳戶

Bank Name 銀行名稱 Bank Account Number 銀行帳戶號碼 Currency 貨幣：

Bank Account Holder's Name 銀行帳戶持有人名稱：_____

*Name(s) shown on bank statements and this Form should match 名稱須與客戶的銀行結單及此表格上的名稱相符

*Please provide the copy of statement or passbook with full and your name, bank name and bank account number as a proof 請提供指定銀行存款戶口的銀行結單或存摺副本，並清楚顯示客戶名稱，銀行名稱及銀行帳戶號碼以作證明

Account Operation 帳戶操作 (For Joint Account 只適用於聯名戶口)

Any ___ of the account holder(s) can authorized to give Harmonia Capital oral or written instructions in relation to the purchase or sale of any securities of the Account.

任何___位聯名帳戶持有人獲授權向仁和資本發出有關本帳戶買賣之口頭或書面指示。

Any ___ of the account holder(s) can authorized to give Harmonia Capital written instructions to withdraw or transfer any monies, or securities or collateral in the Account.

任何___位聯名帳戶持有人獲授權向仁和資本發出有關本帳戶的款項、證券或抵押品之提取或轉移之書面指示。

Business/Employment Status 業務/受僱狀況

Employment Status 就業情況

Employment 受僱 Un-Employment 未受僱 Self-Employed 自僱 Student 學生 Housewife 主婦 Retired 退休
 Others, Please Specify 其他, 請說明_____

Name of Current Employer 目前僱主名稱

Year(s) of Service 已服務年期	Job Title 職位	Nature of Business 業務性質
Office Tel. No. 辦公室電話	Office Address 辦公室地址	

Financial Background 財務背景

(a) Annual Income 年收入

HKD 港幣 0 - 120,000 HKD 港幣 120,001 – 360,000 HKD 港幣 360,001 – 600,000
 HKD 港幣 600,001 – 1,200,000 Above HKD 超過港幣 1,200,000

(b) Approximate Total Net Worth (in HK\$) 概算總淨值 (港幣計) : _____

(c) Residential Status 住宅狀況

Owned Property 自有物業 Rented 租賃 Mortgaged 抵押物業
 Quarters 宿舍 Live with Family 與家人同住 Others, Please Specify 其他, 請說明 _____

(d) Source of fund 資金來源

Salary 薪金 Income Accumulation 累積收入 Return of Investment 投資回報
 Retirement Fund Reserves 退休金 Estates 遺產 Sales of Property 物業收益
 Others, Please Specify 其他, 請說明 _____

Investment Experience and Knowledge 投資經驗及知識

Investment Knowledge 投資知識

None 全無 Limited 有限 Some 較好 Good 良好 Excellent 專業

Investment Experience 投資經驗

Please tick the appropriate boxes below to indicate your investment experience (in no. of years) in each type of product
請於下列每一項投資產品選擇閣下之投資經驗年期

Year of investment experience 投資經驗年期	Nil 無 (0分)	Less than 1 year 一年以下 (1分)	1 to 3 years 一年至三年 (2分)	3 to 5 years 三年至五年 (3分)	5 to 10 years 五年至十年 (4分)	More than 10 years 十年以上 (5分)
Products 投資產品						
Stocks, Exchange-Traded Funds, and Real Estate Investment Trusts 股票、交易所交易基金和房地產投資信託基金						
Warrants, Callable Bull/Bear Contracts (CBBC) and Stock Options 窩輪、牛熊證及股票期權						
Futures Contracts and Options 期貨合同及期權						
Spot Foreign Exchange 現貨外匯						
Leveraged Foreign Exchange Contracts 槓桿式外匯合同						
Precious metals (e.g. gold) 貴金屬(如黃金)						
Authorised Mutual Funds and Unit Trusts 認可互惠基金及單位信託基金						
Unauthorised Private Funds 非認可私募基金						
Private Equity Investment 股權投資						
Long Term Insurance (including Investment-Linked Assurance Scheme) 長期保險 (包括投資相連壽險計劃)						
Structured Products (including Unlisted) 結構性產品 (包括非上市) e.g. Equity Linked Instruments / Notes (ELI/ELN) 如股票掛鈎產品						
Fixed Income Securities (e.g. listed and unlisted bonds) 固定收益證券 (如上市和非上市債券)						
Virtual Assets (e.g. Bitcoin) 虛擬資產 (如比特幣)						

Assessment of Investment Experience 投資經驗評估

Total Score 總得分

- 0-5 No experience 無經驗
 6-15 Basic Experience 基礎經驗
 16-25 Intermediate Experience 中等經驗
 26-35 Extensive Experience 廣泛經驗
 ≥36 Advanced Experience 豐富經驗

Score 得分

Knowledge on derivatives products 衍生產品知識

Do you have any knowledge on derivatives product(s)?
您對衍生產品有沒有知識?

- No, I have no knowledge of structured and/or derivative products 沒有 · 本人對結構性及/或衍生產品並無認識
 Yes, I understand the nature and risks of structured and/or derivative products 有 · 本人了解結構性及/或衍生產品及其性質和風險

If Yes, please choose the best describe the way(s) you acquired your derivatives products' knowledge (can choose more than one)
如有 · 請問您從以下哪種途徑獲得提及的衍生產品的知識? (可選多項)

- Relevant trading experience i.e. executed five or more transactions in derivative products (whether traded on an exchange or not) within the past three years
相關之交易經驗 · 即過去三年內已進行了五次或以上有關衍生產品之交易(不論是否於交易所進行之交易)
- Underwent training or attended courses on derivative products
曾接受有關衍生產品的培訓或修讀相關課程
- Current or previous work experience
現時或過去的工作經驗
- Licensing that I am a licensed/registered person to carry out regulated activities as defined in the Securities and Futures Ordinance
以證券及期貨條例所定之持牌/註冊人之身份進行有關受規管的活動

Do you ever have any trading experience in derivative product(s)? 您以往曾否有買賣衍生產品的經驗?

- No 否
 Yes 是

If Yes, please state the derivative product(s) you traded: 如有 · 請提供您以往有買賣的衍生產品:

- Callable Bull/Bear Contracts (CBCB) 牛熊證
 Derivative Warrants 衍生認股證
 Stock Options 股票期權
 Futures and Options 期貨或期權合約交易
 Equity Linked Instruments / Notes (ELI/ELN) 股票掛鈎產品
 Others 其他: _____

Client Investment Objectives and Assessment of Risk Tolerance Level 客戶投資目的及可承受風險評估

Client Investment Objectives 客戶投資目的

Hedging 對沖 Capital Gain 資本增值 Dividend Income 股息收入 Speculation 投機 Arbitrage 套利

Others, Please Specify 其他, 請說明: _____

Assessment of Risk Tolerance Level 可承受風險評估

1. Which age group do you belong to? 閣下的年齡屬於以下哪個組別?	
<input type="checkbox"/> Between 18 to 20 18 至 20 歲 (1)	
<input type="checkbox"/> Between 21 to 34 21 至 34 歲 (3)	
<input type="checkbox"/> Between 35 to 50 35 至 50 歲 (5)	
<input type="checkbox"/> Between 51 to 64 51 至 64 歲 (4)	
<input type="checkbox"/> 65 or above 65 歲或以上 (1)	
2. Your highest education level achieved is? 閣下的學歷為?	
<input type="checkbox"/> Primary School or Below 小學或以下 (1)	
<input type="checkbox"/> Secondary School 中學 (2)	
<input type="checkbox"/> Post-Secondary (including diploma and associate degree) 預科/專上學院 (3)	
<input type="checkbox"/> University (Bachelor Degree) 大學學士 (4)	
<input type="checkbox"/> University (Master Degree) or above 大學碩士或以上 (5)	
3. What is your primary investment objective? 閣下的主要投資目標是?	
<input type="checkbox"/> Capital preservation 資本保本 (1)	
<input type="checkbox"/> Regular and stable income 定期及固定收入 (2)	
<input type="checkbox"/> Moderate capital appreciation 適度資本增長 (3)	
<input type="checkbox"/> Moderate to high capital appreciation 適度至高資本增長 (4)	
<input type="checkbox"/> Maximum capital appreciation 最大值資本增長 (5)	
4. What is the average percentage of your total net worth that will be allocated for investment or savings purposes (excluding real estate property)? 閣下打算用作為投資或儲蓄用途的款項平均佔閣下總資產淨值的百分比(物業除外)為多少?	
<input type="checkbox"/> Less than 5% 少於 5% (1)	
<input type="checkbox"/> 5% to less than 10% 5% 至少於 10% (2)	
<input type="checkbox"/> 10% to less than 20% 10% 至少於 20% (3)	
<input type="checkbox"/> 20% to less than 30% 20% 至少於 30% (4)	
<input type="checkbox"/> 30% or above 30% 或以上 (5)	
5. It is generally true that the longer the investment horizon, the higher the risk an investor can tolerate. What is the expected investment horizon of your entire investment portfolio? 在一般情況下, 投資的年期越長, 可承受的風險越高。閣下願意進行投資活動的整體投資年期為多久?	
<input type="checkbox"/> Less than 6 months 少於 6 個月 (1)	
<input type="checkbox"/> 6 months to 1 year 6 個月至 1 年 (2)	
<input type="checkbox"/> 1 to 2 years 1 年至 2 年 (3)	
<input type="checkbox"/> 2 to 5 years 2 年至 5 年 (4)	
<input type="checkbox"/> over 5 years 超過 5 年 (5)	
6. Which of the following statements best describes your investment attitude? 下列哪項陳述最能表達閣下的投資取向?	
<input type="checkbox"/> I am not willing to bear a price fluctuation range of more than 5% for financial investment and wish to gain a return slightly higher than the bank deposit interest rate. 本人不願意承受任何多於 5% 價格波動的金融投資, 並希望獲得稍高於銀行存款利率的回報。 (1)	
<input type="checkbox"/> I am willing to bear a price fluctuation range of around 5% to less than 10% for financial investment and wish to gain a return that is slightly higher than the bank deposit interest rate. 本人願意承受大概 5% 至少於 10% 價格波動的金融投資, 並希望獲得稍高於銀行存款利率的回報。 (2)	
<input type="checkbox"/> I am willing to bear a price fluctuation range of 10% to less than 20% for financial investment and wish to gain a return much higher than the bank deposit interest rate. 本人願意承受大概 10% 至少於 20% 價格波動的金融投資, 並希望獲得遠高於銀行存款利率的回報。 (3)	

<input type="checkbox"/>	I am willing to bear a price fluctuation range of 20% to less than 30% for financial investment and wish to gain a return comparable to the average return of the stock market. 本人願意承受大概 20% 至少於 30% 價格波動的金融投資，並希望獲得媲美一般股票市場的回報。	(4)	
<input type="checkbox"/>	I am willing to bear a price fluctuation range of 30% or more for financial investment and wish to gain a return remarkably higher than the average return of the stock market. 本人願意承受 30% 或以上價格波動的金融投資，並希望獲得明顯高於一般股票市場的回報。	(5)	
7. How would you react if your portfolio fell significantly (e.g. more than 20%) within one day? 如果閣下的投資組合在一天內大幅下跌(例如，超過 20%)，閣下會有何反應?			
<input type="checkbox"/>	Do not know how to react 不懂得如何應變	(1)	
<input type="checkbox"/>	Cut loss without any strategic consideration 非策略性地進行止蝕	(2)	
<input type="checkbox"/>	Would wait to see if investment improves and may cut loss rationally 觀望該投資是否會有改善，可能會理性地進行止蝕	(3)	
<input type="checkbox"/>	Understand market fluctuations are unavoidable and will not alter the determined investments strategy 了解市場波動是難免的，會繼續進行已定下的投資策略	(4)	
<input type="checkbox"/>	Undergo in-depth analysis, reallocate your investment portfolio 進行仔細分析，重整投資組合	(5)	
8. What is your level of experience with investment products? Please refer to your investment experience assessment result in Investment Experience and Knowledge. 閣下對投資產品的投資經驗屬以下哪一項?請參考第一部分的投資經驗評估結果。			
<input type="checkbox"/>	No experience 無經驗	(0)	
<input type="checkbox"/>	Basic Experience 基礎經驗	(2)	
<input type="checkbox"/>	Intermediate Experience 中等經驗	(3)	
<input type="checkbox"/>	Extensive Experience 廣泛經驗	(4)	
<input type="checkbox"/>	Advanced Experience 豐富經驗	(5)	

Assessment of Risk Tolerance Level 風險承受能力評估

Total Score 總得分

- ≤8 Conservative 保守
- 9~15 Moderate 平穩
- 16~25 Moderate High 平穩進取
- ≥26 Aggressive 進取

Score 得分:

Anticipated Level of Transactions per month 預期每月交易概況

Anticipated Investment of Products 預期投資產品	<input type="checkbox"/> Stocks 證券 <input type="checkbox"/> Warrants 認股權證 <input type="checkbox"/> Options 期權 <input type="checkbox"/> Futures 期貨 <input type="checkbox"/> Bonds 債券 <input type="checkbox"/> Fund 基金 <input type="checkbox"/> Bullion 貴金屬 <input type="checkbox"/> Foreign Currency 外匯 <input type="checkbox"/> Others, Please Specify 其他, 請說明: _____
Anticipated Number of Transactions Per Month 預計每月交易次數	<input type="checkbox"/> <20 <input type="checkbox"/> 20-50 <input type="checkbox"/> >50
Anticipated Amount of Transactions Per Month (HK\$) 預計每月交易金額 (港幣)	<input type="checkbox"/> <500,000 <input type="checkbox"/> 500,000-2,000,000 <input type="checkbox"/> 2,000,001-5,000,000 <input type="checkbox"/> >5,000,001

Declaration of Interest 利益關係申報

Are you the ultimate beneficial owner(s) of the Account?

閣下是否帳戶的最終受益人？

No 不是 Please provide details of the ultimate beneficial owner(s) as follows: 請提供最終受益人以下資料：

Name 姓名: _____ ID Card/Passport No. 身份證 / 護照號碼: _____

Residential Address 住宅地址: _____

Yes 是

Are you the person ultimately responsible for originating the instructions in relation to transactions of the Account?

閣下是否最終負責發出帳戶交易指示的人？

No 不是 Please provide details of the person ultimately responsible for originating the instructions as follows: 請提供最終負責發出交易指示人士資料：

Name 姓名: _____ ID Card/Passport No. 身份證 / 護照號碼: _____

Residential Address 住宅地址: _____

Yes 是

Are you either alone or with your spouse, in control of 35% or more of the voting rights of a company which is a client of Harmonia Capital?

閣下是否個人或與配偶共同控制某一公司百分之三十五或以上的投票權,而該公司是仁和資本的客戶？

No 不是

Yes 是 (Please specify 請述明具體)

Account Name and Account Number of such controlled company is 該受控公司之帳戶名稱及帳戶號碼為 _____

Is your spouse a client of Harmonia Capital?

閣下的配偶是否為仁和資本的客戶？

No 不是

Yes 是 (Please specify 請述明具體)

Account Name and Account Number of such Account is 該帳戶名稱及帳戶號碼為 _____

Are you a director or employee and/ or a relative / connected party of any director or employee of Harmonia Capital?

閣下是否任何仁和資本之董事或僱員及/或董事或僱員之親屬或關聯人士？

No 不是

Yes 是 (Please specify 請述明具體)

Director's or employee's name is 此董事或僱員姓名是 _____ Relationship with the Client is 其與客戶的關係為 _____

Are you a licensed/registered person or employee/director of a corporation licensed/registered with the Securities and Futures Commission of Hong Kong?

閣下是否為香港證券及期貨事務監察委員會持牌法團或註冊法團的持牌/註冊人士、僱員或董事？

No 不是

Yes 是 Please provide Employer's Consent Letter for Client's account opening and specify 請提供雇主的開戶同意書及述明具體：

Name and CE No. of Licensed Corporation/Registered Institution 持牌法團或註冊機構名稱及中央編號： _____

Are you a senior officer/director/substantial shareholder (5%) of any company whose shares are traded on any exchange or having relationship with the aforesaid person(s)?

閣下本身是否任何地方的交易所上市公司的高級人員/董事/大股東(5%)或與上述人士有任何的關連？

No 不是

Yes 是 (Please specify 請述明具體)

Stock Code 上市編號: _____ Company Name 公司名稱: _____ Capacity 身份: _____

Self-Certification for Common Reporting Standard 共同匯報標準-自我證明表格

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」）

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a **resident for tax purposes** and (b) the account holder's TIN for each jurisdiction indicated. Indicate **all** (not restricted to) 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2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.

如帳戶持有者是香港稅務居民，稅務編號是其香港身份證號碼。

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：

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

Reason A 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。

The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected

Reason B 理由 B：this reason. 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。

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

Reason C 理由 C：disclosed. 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)			

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

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

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution 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 the financial institution 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).

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

I undertake to advise Harmonia Capital Limited of any change in circumstances which affects the tax residency status of the entity identified in this form or causes the information contained herein to become incorrect, and to provide Harmonia Capital Limited with a suitably updated self-certification form within 30 days of such change in circumstances. I declared that the : information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

本人知悉及同意，財務機構可根據《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。

本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人（或本人獲帳戶持有人授權代其簽署本表格）。本人承諾，如情況有所改變，以致影響本表格的個人的稅務居民身份，或引致本表格所載的資料不正確，本人會通知仁和資本有限公司並會在情況發生改變後 30 日內，向仁和資本有限公司提交一份已適當更新的自我證明表格。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。

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

Are you a United States (“US”) Person, Resident of US (Including Green Card Holder) or having US nationality?
閣下是否美國聯邦所得稅所定義的特定美國人、美國公民、美國永久居民（含綠卡持有人）或持有美國國籍？

- Yes 是
 No 不是

Are you born in US? 閣下是否出生於美國？

- Yes 是
 No 不是

Does Client has presence in US over 31 days in the current calendar year or 183 days out of the 3 years period prior to the current tax year?
閣下是否在最近 1 年在美國居留超過 31 個公曆日或在最近一個稅務年度前 3 年內居留美國超過 183 個公曆日？

- Yes 是
 No 不是

Does Client has any US address? (e.g. residential address, mailing address, P.O. box) 閣下是否擁有美國地址（如居住地址、郵寄地址、郵政信箱）？

- Yes 是
 No 不是

Does Client has any US telephone number? (e.g. home, work, mobile, fax number) 閣下是否擁有美國電話號碼（如住宅、工作、行動、傳真號碼）？

- Yes 是
 No 不是

Does the Client give standing instruction to Harmonia Capital to pay amounts to an account maintained in the US?
閣下會否向仁和資本發出向某美國銀行帳戶轉帳款項的常設授權指示？

- Yes 會
 No 否

Consent For The Collection And Handling Of Personal Data Under The Hong Kong Investor Identification Regime (HKIDR) and Over-the-counter Securities Transactions Reporting Regime (OTCR)

香港投資者識別碼及場外證券交易匯報制度下收集及處理個人資料客戶同意書

You acknowledge and agree that Harmonia Capital Limited (HCL) may collect, store, process, use, disclose and transfer personal data relating to you (including your CID and BCAN(s)) as required for us to provide services to you in relation to securities listed or traded on the Stock Exchange of Hong Kong (SEHK) and for complying with the rules and requirements of SEHK and the Securities and Futures Commission (SFC) in effect from time to time. Without limiting the foregoing, this includes -

閣下明白並同意，仁和資本有限公司（簡稱「仁和資本」或「本公司」）為了向閣下提供與在香港聯合交易所（聯交所）上市或買賣的證券相關的服務，以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會（證監會）的規則和規定，本公司可收集、儲存、處理、使用、披露及轉移與閣下有關係的個人資料（包括閣下的客戶識別信息及券商客戶編碼）。在不限制以上的內容的前提下，當中包括：

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

You also agree that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.

閣下亦同意，即使閣下其後宣稱撤回同意，本公司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 us with your personal data or consent as described above may mean that we will not, or will no longer be able to, as the case may be, carry out your trading instructions or provide you with securities related services (other than to sell, transfer out or withdraw your existing holdings of securities, if any).

閣下如未能向本公司提供個人資料或上述同意，可能意味著本公司不會或不能夠再（視情況而定）執行閣下的交易指示或向閣下提供證券相關服務，惟出售、轉出或提取閣下現有的證券持倉（如有）除外。

Note: 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。

Acknowledgement and Consent 確認及同意

I/We confirm that I/we have read and understood the content of "Consent For The Collection And Handling Of Personal Data Under The Hong Kong Investor Identification Regime (HKIDR) and Over-the-counter Securities Transactions Reporting Regime (OTCR)" issued by Harmonia Capital Limited. I/We hereby give my/our consent to the Company to use my/our personal data on the terms of and for the purposes set out in this statement. 本人/吾等確認已閱讀並理解仁和資本有限公司之《香港投資者識別碼及場外證券交易匯報制度下收集及處理個人資料客戶同意書》的內容。本人/吾等同意 貴公司可根據本聲明中的條款及目的而使用本人/吾等之個人資料。

Client Signature 客戶簽署：

(Individual/Joint Account Holder (1) 個人/聯名帳戶持有人(1))

(Will be used as Specimen Signature 簽署式樣*)

Client Signature 客戶簽署 (If appropriate 如適用)：

(Joint account holder (2) 聯名帳戶持有人(2))

(Will be used as Specimen Signature 簽署式樣*)

Client Name 客戶姓名：

Date 日期：

Client Name 客戶姓名：

Date 日期：

Declaration by Client 客戶聲明

I/We hereby declare that 本人/吾等在此聲明：

I/We am/are 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).
本人/吾等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 information given by me/us in this form is true and correct and that I/we have not willfully withheld any material fact(s).
本人/吾等在表格上提供之所有資料均為真實及正確，本人/吾等並未刻意隱瞞任何重要事實。

I/We understand that I/we may be required to provide additional information or submit documentary proof as to the information provided in this form when requested to do so. I/We understand that my/our submission of this form and the acceptance of this form by you in no way implies approval for opening of the Account for me/us and that you reserve the right to reject my/our application.
除上述提供的資料外，本人/吾等清楚閣下會要求本人/吾等提供更多相關的資料或證明文件。本人/吾等明白本人/吾等遞交此表格及閣下接納此表格並非表示閣下同意開立帳戶予本人/吾等，並清楚閣下保留拒絕本人/吾等開戶申請之權力。

I/We undertake to advise Harmonia Capital Limited of on any change in client information and provide Harmonia Capital Limited a notice in writing of the change.
本人/吾等承諾如有關上述提供之客戶資料有任何改變，本人/吾等將會以書面形式通知仁和資本有限公司有關更改。

I/We undertake to advise Harmonia Capital Limited of on any change in circumstances which affects the tax residency status of the individual identified or cause the information contained herein to become incorrect, and to provide Harmonia Capital Limited with a suitably updated Self-Certification form within 30 calendar days of such change in circumstances.
本人/吾等承諾如以上聲明有任何情況改變，而影響識別個人的稅務收居民身份有任何變化或導致此自我證明表格之內容及陳述變得不可靠的信息時，將於情況發生後三十個曆日內通知仁和資本有限公司以更新有關自我證明表格。

I/We request you to open a Securities Trading/ Derivatives Trading/ Foreign Exchange Trading ("the Account") and agree to abide by the rules and regulations of the Hong Kong Securities and Futures Commission ("SFC")/ The Stock Exchange of Hong Kong Limited ("SEHK") or/and any other regulatory body(ies) as amended from time to time governing of the above transactions.
本人/吾等向閣下申請開立證券交易/衍生工具交易/外匯交易/股票期權交易帳戶並同意遵守香港證券及期貨監察委員會/香港交易所及其他監管機構不時修訂以監管進行上述交易之條例及規則。

Declaration of Collection and Use of Personal Data 個人資料收集及使用

1. I/We hereby acknowledge that I/We have read and understand the Personal Information Collection Statement of Harmonia Capital Limited. I/We agree to Harmonia Capital Limited use of my/our personal data for the purposes set out in the Personal Information Collection Statement. I/We further agree to any revision or amendment that Harmonia Capital Limited may from time to time make in respect of any content of the Personal Information Collection Statement by notice to me/us.

本人/吾等謹此承認本人/吾等已細閱及明白仁和資本有限公司個人資料(私隱)條例有關收集及使用個人資料的通知並獲得其解釋，並同意仁和資本有限公司按照個人資料收集聲明之條款及目的使用本人/吾等的個人資料。本人/吾等亦同意仁和資本有限公司可以在任何時間及在通知本人/吾等後修改個人資料收集聲明之內容。

2. I/We hereby acknowledge that I/We understand that Harmonia Capital Limited may use my/our personal data in direct marketing, I/We hereby:-
本人/吾等承認本人/吾等已了解及明白仁和資本有限公司可能會使用本人/吾等的個人資料作直接促銷，本人/吾等就此：-

Do not wish Harmonia Capital Limited to use my/our personal data in direct marketing.

- 不希望仁和資本有限公司在直接促銷中使用本人/吾等的個人資料。

The above represents your present choice whether or not to receive direct marketing contact or information. This replaces any choice communicated by you to Harmonia Capital Limited prior to this application. Please note that your above choice applies to the direct marketing of the classes of products, services and/or subjects as set out in The Personal Data (Privacy) Ordinance - Personal Information Collection (Customers) Statement of Harmonia Capital Limited ("Statement"). Please also refer to the Statement on the kinds of personal data which may be used in direct marketing and the classes of persons to which your personal data may be provided for them to use in direct marketing and the channel through which you may communicate your consent or opt-out request without charge in relation to the intend use of your personal data. You hereby confirm that you have read and understood Harmonia Capital's notification regarding collection, use and provision of personal data as set out in the Statement.

以上代表閣下目前就是否希望收到直接促銷聯繫或資訊的選擇，並取代閣下於本申請前向仁和資本有限公司傳達的任何選擇。請注意閣下以上的選擇適用於仁和資本有限公司的「個人資料(私隱)條例 - 個人資料收集(客戶)聲明」(「該聲明」)中所列出的產品、服務及/或標的類別的直接促銷。閣下亦可參閱該聲明以得知在直接促銷中可使用的個人資料的種類，閣下的個人資料可提供予什麼類別的人士作直接促銷用途及閣下可在無需繳費的情況下就閣下的個人資料擬進行之使用傳達同意或拒絕要求的途徑。

Client Signature 客戶簽署：

(Individual/Joint Account Holder (1) 個人/聯名帳戶持有人(1))

(Will be used as Specimen Signature 簽署式樣*)

Client Signature 客戶簽署 (If appropriate 如適用)：

(Joint account holder (2) 聯名帳戶持有人(2))

(Will be used as Specimen Signature 簽署式樣*)

Client Name 客戶姓名：

Date 日期：

Client Name 客戶姓名：

Date 日期：

Acknowledgement by Client 客戶確認

I/We, _____ confirm and agree that:
[name of client/name of authorized signatory]

本人/吾等 _____ 確認並同意:
[客戶姓名/授權代表姓名]

- (a) I/we was/were invited to carefully read the Client Agreement including Risk Disclosure Statement, to ask questions and take independent advice if I/we wish. I/We have carefully read and understood the English or Chinese contents of this Account Opening Form and the Client Agreement(s) ("Agreement"), including the Risk Disclosure Statement and that the contents of each Agreement have been provided and fully explained to me/us in a language which I/we understand. I/We accept, as evidenced by my/our signature(s) below, all the terms of each Agreement and agree to be bound by each Agreement as amended or supplemented from time to time.
本人/吾等已獲邀仔細閱讀該客戶協議及風險披露聲明、提出問題並徵求獨立的意見(如果有此意願)，並已仔細審閱並理解本開戶申請表及客戶協議書(包括風險披露聲明)("協議")的全部內容，且協議及其內容已以本人/吾等明白的語言(英文或中文)向本人/吾等提供及作出充分的解釋。本人/吾等接受協議的全部條款和細節，並同意接受協議(及其不時修訂及補充的條款和細節)之約束。
- (b) The information contained in this form is collected and may be kept by the financial institution for the purpose of automatic exchange of financial account information, and such information and information regarding the account holder and any reportable account(s) may be reported by the financial institution 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).
財務機構可根據《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文，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。
- (c) Specimen Signature* herein will be used to verify all written instructions given relating to the operation of the Account(s). Harmonia Capital Limited is entitled to rely fully on such information and representations for all purpose. Harmonia Capital Limited is authorized at any time to contact anyone, including your banks, brokers or any credit agency, for the purpose of verifying the information provided on this Client information sheet. A copy of Harmonia Capital Limited Client information sheet is available upon request.
簽署式樣*將被用作核證任何帳戶運作之書面指示。仁和資本有限公司完全可以依靠這些資料及陳述作任何目的。客戶授權仁和資本有限公司可在任何時間聯絡任何人，包括客戶的銀行、經紀等或任何信貸機構，籍以確定及查證本客戶資料書內的資料。客戶可隨時索閱仁和資本有限公司的客戶資料書副本。

Client Signature 客戶簽署

(Individual/Joint Account Holder (1) 個人/聯名帳戶持有人(1))

(Will be used as Specimen Signature 簽署式樣*)

Client Signature 客戶簽署

(Joint account holder (2) 聯名帳戶持有人(2))

(Will be used as Specimen Signature 簽署式樣*)

Client Name 客戶姓名 :

Date 日期 :

Client Name 客戶姓名 :

Date 日期 :

Witness Declaration and Signature 見證人聲明和簽署

I, being a SFC Licensed/ Registered Person Notary Public Practicing Certified Public Accountant Practicing Solicitor Or Lawyer

Others, Please Specify _____

hereby certify I have witnessed the signing of this Account Opening Form (together with the attached documents, if applicable) by the above Client/Joint Account Clients and sighted the original of the related identity documents of the above Client/Joint Account Clients.

本人作為 證監會持牌人/註冊人 公證人 執業會計師 執業律師 其他,請說明 _____

謹此確認見證客戶/聯名客戶簽署本開戶申請書(包括隨附的文件,如適用)以及驗證客戶/聯名客戶的身份原件。

Witness Name 見證人名稱 Witness Signature 見證人簽署 ID Card/Passport No./CE No 身份證或護照號碼/中央編號

Capacity of Witness 見證人職務 Date 日期

Declaration by the Licensed Representative(s) 仁和資本有限公司持牌代表的聲明

I/We, licensed representative(s) of Harmonia Capital Limited ("Harmonia Capital"), hereby declare and confirm that I/we have provided the Client Agreement including Risk Disclosure Statement annexed hereto in a language of the Client's choice (English or Chinese) and invited the Client/Joint Client (authorized signatory) to read the same, ask questions and take independent advice if the Client/Joint Client (authorized signatory) wishes.

本人/吾等為仁和資本有限公司 ("仁和資本")的持牌代表,並謹此聲明及確認本人/吾等已按照客戶/聯名客戶(授權代表)所選擇的語言(中文或英文)而夾附提供的仁和資本的客戶協議包括風險披露聲明,邀請客戶/聯名客戶(授權代表)閱讀該等客戶協議、提出問題及徵求獨立的意見(如客戶/聯名客戶(授權代表))有此意願。

Signature of Licensed representative 持牌代表簽署 Name and CE No. of Licensed Representative(s) 持牌代表姓名及中央編號 Date 日期

Accepted and Approved by the Responsible Officer 仁和資本有限公司負責人員批核

For and on behalf of Harmonia Capital Limited

Signature of Responsible Officer 負責人員簽署 Name and CE No. of Responsible Officer 負責人員姓名及中央編號 Date 日期