Haitong International Securities Company Limited
海通國際證券有限公司
Haitong International Futures Limited
海通國際期貨有限公司

Client Code:________________	**Access Group Code :**_________
Client Name :____	
Checked by:________________	**Date:**______________________

Please note: Information provided in this form will be shared and used by Haitong International Securities Company Limited and Haitong International Futures Limited, if client opens/maintains any accounts with such Haitong International entities. 請注意：若閣下在海通國際證券有限公司和海通國際期貨有限公司開設或維持帳戶，閣下在此表格提供之資料將會予該等海通國際公司分享及使用。

1 **ACCOUNT TYPE** 帳戶類別 *(Please tick appropriate box. 請在適當空格加✓)*	
☐ Individual 個人帳戶	☐ Joint Account 聯名帳戶

Please select type(s) of Account(s) 請選擇開通帳戶類別	Internet Trading Services Required 是否開通網上交易服務?
Securities 證券帳戶 ☐ Cash 現金帳戶 ☐ Margin 保證金帳戶 (Please refer to Appendix 2 請參閱附件2)	☐ Yes 是 ☐ No 否
Please specify for trading in non-HK securities 如需要開通港股以外的其他證券交易請述明： ☐China Connect Securities 中華通證券北向交易 (Not Applicable to Mainland Investors 不適用於國內投資者) (Please Provide Personal Information Collection Statement concerning Northbound Trading of China Connect Securities 請提供有關中華通證券北向交易的個人資料收集聲明) ☐ US Market 美股 (Please Provide W8 Ben Form 請提供W8 Ben表格) ☐Others 其他: ____________________________	
☐ **Hong Kong Stock Options** 香港股票期權	☐ Yes 是 ☐ No 否
☐ **Futures** 期貨帳戶(Please refer to Appendix 1 請參閱附件 1)	☐ Yes 是 ☐ No 否
☐ Margin Account - **OTC Collateral Accounts** 保證金帳戶 - 場外產品抵押品帳戶 (Applicable to Professional Investor Only 僅適用於專業投資者)	☐ ESOP ☐ CIES

Professional Investor 專業投資者

是否申請成為專業投資者? Are you applying for Professional Investor? (Please provide asset proof and sign Application Form for Professional Investors 請附上資產證明文件及簽署專業投資者申請表)	☐ Yes 是 ☐ No 否

国泰海通 GUOTAI HAITONG | 海通國際 HAITONG

2 PERSONAL INFORMATION 個人資料 *(Please tick appropriate box. 請在適當空格加)*

Primary Client 客戶

Last Name (English): 英文姓:	First Name (English): 英文名:	Chinese Name: 中文姓名:

Former Name[2]: 前名:	Country of Birth: 出生國家:	Nationality (Please fill in more than one as appropriate): 國籍 (可填寫多於一個):
	Date of Birth: 出生日期:	Marital Status: ☐ Single 單身 ☐ Married 已婚 婚姻狀況:

Please provide relevant identity document and fill in details in following descending order of priority[3].
請依照下列的優先排序依次(1), (2), (3) 提供相關身份證明文件，並填寫信息 [3]。
Please put "N/A" if not applicable.
如不適用，請填上 "N/A"。

(1)	HKID Card No.: 香港身份證號碼:	(2)	National ID Card No.: 國家身份證號碼:	(3)	Passport No.: 護照號碼:
			Place of Issue of National ID Card: 國民身份證發出地:		Place of Issue of Passport: 護照發出地:

Residential Address: 住宅地址:	Country 國家:

Residence 住處:
☐Self-owned 自置物業 ☐Mortgage 按揭物業 ☐Rented 租用物業 ☐Quarters 宿舍 ☐Living with family 與家人同住

Correspondence Address (if different from residential address) 通訊地址 (如與住宅地址不同):	Country 國家:

(Country Code) Home Tel. No.: (國家區號) 住宅電話號碼: ( )	(Country Code) Mobile Phone No.: (國家區號) 手提電話號碼: ( ) *將會用作收取短訊及網上交易服務「一次性驗證碼」 will be used for receiving SMS and OTP for Internet Trading Services

E-mail Address:
電郵地址:

Method of Account Statement Collection 結單收取方式: ☐ By email to the E-mail Address for both daily and monthly account statements 戶口日結單及月結單電郵至電郵地址	Preferred Statement Language 結單語言 : ☐繁體中文 ☐簡體中文 ☐ English

Education 教育程度:	☐Below Primary 小學以下 ☐Secondary or post-secondary 中學或專上學院 ☐Graduate or above (not related to Economics/Finance/Accounting) 大學或以上(與經濟/金融/會計不相關) ☐Graduate or above (related to Economics/Finance/Accounting) 大學或以上(與經濟/金融/會計相關)
Business / Employment Status 業務/就業情況:	☐Employed 受僱 ☐Self-Employed 自僱 ☐Retired 退休 ☐Unemployed 待業 ☐Housewife 家庭主婦 ☐Student 學生 ☐Others : ______________

Name of Employer of Primary Client： 客戶受僱/自僱機構名稱:	Occupation: 行業：
Office Address 辦公地址:	Year in Occupation: 從業年數:

Management Grading 職級： ☐General Staff 一般員工 ☐Manager / Supervisor 經理/主管 ☐Director/President/Senior Management 董事/總裁/高級管理層 ☐Partner/Business Owner 合伙人/業務所有人	Position ： 職位:	Place of Employment (Country) : 工作所在地(國家):

Ongoing Source(s) of Funds 持續資金來源	(a) Means of Fund Transfer(s) 資金轉移方式 ☐ Bank Transfer 銀行轉賬 ☐ Telegraphic Transfer 電匯 ☐Cheque/Bank Draft 支票/銀行本票 ☐ Others其他 :	(b) Country(ies) of Origin(s) 資金來源地 ☐Hong Kong 香港 ☐Mainland China 中國 ☐ United States 美國 ☐Others 其他 : ________	(c) Source of Income 收入來源 ☐ Salary / Business Income 薪俸/營業收入 ☐ Return on Investments 投資回報 ☐ Pension 退休金 ☐ Others 其他: _____________

Source of Wealth 財富來源	☐Salary and/or Bonus 薪金及/或花紅 ☐Saving 儲蓄 ☐Business Income 業務收入 ☐Return on investment 投資回報 ☐Retirement funds 退休金 ☐Inheritance or gift 遺贈或禮物 ☐Others 其他 : ___________________________
Annual Income (HK$): 每年總收入(港幣):	☐≤ $72,000 ☐$500,000-$999,999 ☐$72,001-$200,000 ☐$1,000,000 - $2,999,999 ☐$200,001-$499,999 ☐≥$3,000,000
Net Worth (HK$) : 淨資產(港幣):	☐<=500,000 ☐$500,001-$1,000,000 ☐$1,000,001 - $5,000,000 ☐$5,000,001-$10,000,000 ☐$10,000,001-$50,000,000 ☐$50,000,001-$100,000,000 ☐$100,000,001, please specify 請註明 ____________________
Expected Money Transfer Amount (times per month) 預計匯款數量(每月次數)	☐ <5 ☐ 5 – 10 ☐ 11-20 ☐ >20 ☐Not Applicable
Expected Money Transfer Amount (HKD per month) 預計匯款金額(每月港元)	☐ <100,000 ☐ 100,000-999,999.99 ☐ 1,000,000 – 5,000,000 ☐ >5,000,000 ☐Not Applicable
Expected Trading Activities Volume (times per month) 預計交易數量(每月次數)	☐ <5 ☐ 5 – 10 ☐ 11-20 ☐ >20 ☐Not Applicable
Expected Trading Activities Amount (HKD per month) 預計交易金額(每月港元)	☐ <100,000 ☐ 100,000-999,999.99 ☐ 1,000,000 – 5,000,000 ☐ >5,000,000 ☐Not Applicable
Anticipated Investment Products 預計投資產品	☐Stocks 證券 ☐Warrants 認股權證 ☐Options 期權 ☐Futures 期貨 ☐Callable Bull/Bear contracts 牛熊證 ☐Fund 基金 ☐Swap 互換交易 ☐Foreign Currency 外匯 ☐Bullion 貴金屬 ☐Private Equity 私人股權投資 ☐Other Derivatives 其他衍生工具 ☐Discretionary Account 授權帳戶 ☐Bond/Fixed Income 債券/固定收益 ☐Structured Products (e.g. equity linked notes) 結構性產品 ☐Other 其他 : ____________________

1 For client who is neither a HK permanent resident nor citizen of People's Republic of China, please provide a certified true copy of BOTH National ID Card (if applicable) and passport for non-permanent HK resident. 客戶如不屬香港永久性居民或中華人民共和國公民，請同時提交其國民身份證(如適用)及旅遊證件的經簽名驗證複印本。
2 Please provide copies of documents proving alternation of name. 請提供更改名稱證明文件複印本。
3 As a general rule of Hong Kong Investor Identification Regime (HKIDR), 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 also refer tofootnote 1, provide relevant identity documents as required and fill in relevant part of the table. 根據香港投資者識別碼制度一般情況下，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，如此類推。請同時參閱註腳1，提供要求的相關身分證明文件，並填寫本表格相關部分。

Joint Client 聯名客戶			
Relationship between Primary Client and Joint Client: 客戶與聯名客戶的關係：			
Last Name (English): 英文姓:	First Name (English): 英文名:		Chinese Name: 中文姓名:
Former Name[2]: 前名:	Country of Birth: 出生國家:	Nationality (Please fill in more than one as appropriate): 國籍 (可填寫多於一個):	
	Date of Birth: 出生日期:	Marital Status: ▫ Single 單身 ▫ Married 已婚 婚姻狀況:	

Please provide relevant identity document and fill in details in following descending order of priority[3].
請依照下列的優先排序依次提供相關身份證明文件，並填寫信息 [3]。
Please put "N/A" if not applicable.
如不適用，請填上 "N/A"。

(1)	HKID Card No.: 香港身份證號碼:	(2)	National ID Card No.: 國家身份證號碼:	(3)	Passport No.: 護照號碼:
			Place of Issue of National ID Card: 國民身份證發出地:		Place of Issue of Passport: 護照發出地:

Residential Address: 住宅地址:	Country 國家:
Residence 住處: ☐Self-owned 自置物業 ☐Mortgage 按揭物業 ☐Rented 租用物業 ☐Quarters 宿舍 ☐Living with family 與家人同住	
Correspondence Address (if different from residential address) 通訊地址 (如與住宅地址不同):	Country 國家:

(Country Code) Mobile Phone No. : (國家區號) 手提電話號碼 : *將會用作收取短訊及網上交易服務「一次性驗證碼」 will be used for receiving SMS and OTP for Internet Trading Services	(Country Code) Home Tel. No.: (國家區號) 住宅電話號碼: (　　　　) will be used for receiving SMS and OTP for Internet Trading Services
E-mail Address: 電郵地址:	
Method of Account Statement Collection 結單收取方式: ☐ By email to the E-mail Address for both daily and monthly account statements 戶口日結單及月結單電郵至電郵地址	Preferred Statement Language 結單語言 : ☐繁體中文 ☐簡體中文 ☐ English

Education 教育程度:	☐Below Primary 小學以下 ☐Secondary or post-secondary 中學或專上學院 ☐Graduate or above (not related to Economics/Finance/Accounting) 大學或以上(與經濟/金融/會計不相關) ☐Graduate or above (related to Economics/Finance/Accounting) 大學或以上(與經濟/金融/會計相關)
Business / Employment Status 業務/就業情況:	☐Employed 受僱 ☐Self-Employed 自僱 ☐Retired 退休 ☐Unemployed 待業 ☐Housewife 家庭主婦 ☐Student 學生 ☐Others : ________________________

Name of Employer of Primary Client： 客戶受僱/自僱機構名稱:	Occupation: 行業：
Office Address 辦公地址:	Year in Occupation: 從業年數:

Management Grading 職級： ☐General Staff 一般員工 ☐Manager / Supervisor 經理/主管 ☐Director/President/Senior Management 董事/總裁/高級管理層 ☐Partner/Business Owner 合伙人/業務所有人	Position : 職位:	Place of Employment (Country) : 工作所在地(國家):

Ongoing Source(s) of Funds 持續資金來源	(d) Means of Fund Transfer(s) 資金轉移方式 ☐ Bank Transfer 銀行轉賬 ☐ Telegraphic Transfer 電匯 ☐Cheque/Bank Draft 支票/銀行本票 ☐ Others其他 :	(e) Country(ies) of Origin(s) 資金來源地 ☐Hong Kong 香港 ☐Mainland China 中國 ☐ United States 美國 ☐Others 其他 : ________	(f) Source of Income 收入來源 ☐ Salary / Business Income 薪俸/營業收入 ☐ Return on Investments 投資回報 ☐ Pension 退休金 ☐ Others 其他: ________________

Source of Wealth 財富來源	☐Salary and/or Bonus 薪金及/或花紅 ☐Saving 儲蓄 ☐Business Income 業務收入 ☐Return on investment 投資回報 ☐Retirement funds 退休金 ☐Inheritance or gift 遺贈或禮物 ☐Others 其他 : ______________________________
Annual Income (HK$): 每年總收入(港幣):	☐≤ $250,000 ☐$1,000,000-$5,000,000 ☐$250,001-$500,000 ☐$5,000,001 - $10,000,000 ☐≥$10,000,001, please specify 請註明______________________
Net Worth (HK$) : 淨資產(港幣):	☐<=500,000 ☐$500,001-$1,000,000 ☐$1,000,001 - $5,000,000 ☐$5,000,001-$10,000,000 ☐$10,000,001-$50,000,000 ☐$50,000,001-$100,000,000 ☐$100,000,001, please specify 請註明 ______________________
Expected Trading Activities Amount (times per month) 預計匯款數量(每月次數)	☐ <5 ☐ 5 – 10 ☐ 11-20 ☐ >20 ☐Not Applicable
Expected Money Transfer Amount (HKD per month) 預計匯款金額(每月港元)	☐ <100,000 ☐ 100,000-999,999.99 ☐ 1,000,000 – 5,000,000 ☐ >5,000,000 ☐Not Applicable
Expected Trading Activities Volume (times per month) 預計交易數量(每月次數)	☐ <5 ☐ 5 – 10 ☐ 11-20 ☐ >20 ☐Not Applicable
Expected Trading Activities Amount (HKD per month) 預計交易金額(每月港元)	☐ <100,000 ☐ 100,000-999,999.99 ☐ 1,000,000 – 5,000,000 ☐ >5,000,000 ☐Not Applicable
Anticipated Investment Products 預計投資產品	☐Stocks 證券 ☐Warrants 認股權證 ☐Options 期權 ☐Futures 期貨 ☐Callable Bull/Bear contracts 牛熊證 ☐Fund 基金 ☐Swap 互換交易 ☐Foreign Currency 外匯 ☐Bullion 貴金屬 ☐Private Equity 私人股權投資 ☐Other Derivatives 其他衍生工具 ☐Discretionary Account 授權帳戶 ☐Bond/Fixed Income 債券/固定收益 ☐Structured Products (e.g. equity linked notes) 結構性產品 ☐Other 其他 : ____________________

3 (a) **Client Investment Profile Questionnaire 個人/聯名投資取向問卷** **Name : ______________________(Joint Client Only)**

The below Questionnaire aims to help us establish and assess your risk profile, investment experience and knowledge of the derivatives. Based on the information provided, we can assess whether you are knowledgeable about the characteristics and risk of relevant investment products. Joint account holders are required to complete the questionnaire separately and the person with lower risk appetite would be concluded for the account. The below questionnaire is divided into two parts**. If you do not trade derivatives, please fill in part 1 Risk Profile only.** 以下問卷旨在幫助我們確定和評估閣下的風險取向、投資經驗和是否具備衍生工具知識。我們將會根據閣下所提供的資料，評估閣下是否了解個別投資產品的性質和風險。**聯名帳戶的帳戶持有人須個別填妥一份問卷，以風險取向較低者為準。**以下問卷共分為兩部份，**如閣下不欲投資衍生產品，閣下只須填妥第一部份風險取向，第二部份衍生工具知識評估則不用填寫。**

Important notes: your risk profile is based on your overall responses to all questions respectively of this questionnaire (except for question 3), rather than your answer to any individual question. When answering questions about your financial or investment information such as the amount of investable assets, or transaction information, please refer to all of your holdings and transactions in our company, as well as, those in other securities firms and financial institutions, and not solely those in our company.
重要事項: 閣下的風險取向是根據您在此問卷所有問題的答案整合得出，而非基於閣下就任何個別問題給予的答案(第3條除外)。在回答閣下的財務或投資資料的問題時，例如可投資資產金額或交易資料，閣下的答案應基於您在本行、其他證券行、銀行及金融機構所持全部資產及交易，而不單限於本行持有資產及交易。

Part 1 第一部分： Risk Profile 風險取向

This part collects information about you including your financial situation, investment attitude and investment experience in order to help you assess your risk tolerance level. Please check (✓) the appropriate box and complete all 13 questions.此部分收集閣下之財務狀況、投資態度及投資經驗以評估閣下對風險的承受能力。請在適當的方格內加上(✓)並回答全部13條問題。

1 What is your education level? 您的教育程度是？

(1) ☐ A. Below primary 小學以下
(2) ☐ B. Primary 小學
(3) ☐ C. Secondary 中學
(4) ☐ D. Tertiary or above 大專或以上

2 Do you have any dependable household members? If yes, how many? 您現時有否供養家庭成員? 如有, 請問多少名家庭成員需要閣下供養?

(1) ☐ A. Four or more 4名或以上
(2) ☐ B. Three 3名
(3) ☐ C. Two or below 2名或以下

3 What is your investment objective? 您的投資目的是?

(1) ☐ A. My primary objective is capital preservation and I am not willing to accept any declines at any point in time. (Please note all investments involve risks. If you are not willing to take any risks and only wish us to assess your risk profile based on your answer to this specific question rather than your answers to all questions, you are a conservative investor, you more suitable for conservative products.) 我的主要投資目標是保本，不願意接受投資於任何時候有任何虧損。(請注意: 所有投資均涉及投資風險。如您不願意接受任何投於任何時候有任何虧損，並只希望本公司根據此問題的答案，而非本問卷的全部答案去評估您的風險取向，您屬於一個保守型的投資者，您比較適合傳統保守產品。)（If A, please go to Question 5. 如答A，請直接到第5題。）

(2) ☐ B. My primary objective is to achieve low level of return and I am willing to accept some low level of declines over the course of my investment horizon. I am not comfortable with moderate to extreme drops in the value of my investments. (Please note if you are only willing to take low level of risks and wish us to assess your risk profile based on your answer to this specific question, you will not be classified as a moderately aggressive nor aggressive investor.) 我的主要投資目標是獲得少量回報並願意接受於投資期限內有輕微虧損，但對投資有中度至大幅虧損感到不安。(請注意:如您只願意接受輕微虧損，並只希望本公司根據此問題的答案去評估您的風險取向，您將不會被評定為一個中度進取或進取型的投資者。)

(3) ☐ C. My primary objective is to achieve moderate level of return and I am willing to accept moderate declines over the course of my investment horizon. I am not comfortable with extreme drops in the value of my investments. 我的主要投資目標是獲得中度回報並願意接受於投資期限內有中度虧損，但會對投資有大幅虧損感到不安。

(4) ☐ D. My primary objective is to achieve a high level of return and I am willing to accept large fluctuations over the course of my investment horizon and take loss in the value of my investments in order to maximize my long term potential returns.我的主要投資目標是獲得大幅回報並願意接受於投資期限內有大幅波動及投資價值虧損。

4 Which of the following potential fluctuations would you generally be most comfortable with? 您願意投資於波幅多大的投資產品？

(1) ☐ A. Fluctuates between – 5% and +5% 介乎 – 5%至+5%之間的波幅
(2) ☐ B. Fluctuates between – 10% and +10% 介乎 – 10%至+10%之間的波幅
(3) ☐ C. Fluctuates between – 20% and +20% 介乎 – 20%至+20%之間的波幅
(4) ☐ D. Fluctuates between > – 20% and > +20% 介乎 – 20%以上至+20%以上之間的波幅之間的波幅

5 On average, what is your monthly available capital? [Definition of available capital: Available capital is the amount of capital (including bank deposit, wages, dividends, bonus, etc.) after taxes, pension contributions, and essential expenditures such as mortgage payment or rental, car loans, insurance, food, clothes, child or elderly care, utilities, etc.]平均來說，您每月可動用的資金有多少？[可動用資金的定義：可動用資金指扣除稅項、退休金供款及必需開支（例如按揭供款或租金、汽車貸款、保險、食品、衣履、照顧兒童或長者和水、電、煤、差餉等開支）後剩餘的金額（包括銀行存款、工資、股息、花紅等）	
(1) ☐ A. HK$4,000 to HK$15,000	4,000至15,000港元
(2) ☐ B. HK$15,001 to HK$60,000	15,001至60,000港元
(3) ☐ C. HK$60,001 to HK$100,000	60,001至100,000港元
(4) ☐ D. Over HK$100,000	超過100,000港元

6 Do you rely on the investment return to support your Dependent' daily expenses? 您是否依靠投資回報以應付您供養家庭成員的日常開支?	
(1) ☐ A. Yes, Over 20%	是，超過 20%
(2) ☐ B. Yes, Between > 10% and 20%	是，超過10%至20%
(3) ☐ C. Yes, Between > 0% and 10%	是，超過 0%至10%
(4) ☐ D. No	否

7 What is the percentage of monthly income available for investment? 您可用作投資的金額佔每月收入百分比為多少？	
(1) ☐ A. Between 0% and 10%	0%至10%
(2) ☐ B. Between > 10% and 25%	超過10%至25%
(3) ☐ C. Between > 25% and 50%	超過25%至50%
(4) ☐ D. Over 50%	超過50%

8 How many months could your savings meet your basic family expenses and extra collateral requirements?您的儲備金額大約可應付多少個月的基本家庭開支及滿足額外的抵押要求？	
(1) ☐ A. Less than 3 months	少於3個月
(2) ☐ B. Between 3 months and < 6 months	3個月至少於6個月
(3) ☐ C. Between 6 months and < 9 months	6個月至少於9個月
(4) ☐ D. 9 months or above	9個月或以上

9 When trading in investment products, how long will your acceptable investment horizon be? 買賣投資產品時，您可以接受的投資年期是多少?	
(1) ☐ A. Less than or equal to 1 year	1年或以下
(2) ☐ B. More than 1 year to 5 years	1年以上至5年
(3) ☐ C. More than 5 years to 10 years	5年以上至10年
(4) ☐ D. Over 10 years	超過10年

10 In the past year, how many transactions did you execute? 在過往一年，您曾執行過多少次交易？	
(1) ☐ A. Less than 5 transactions	少於5次交易
(2) ☐ B. Between 5 and 10 transactions	5至10次交易
(3) ☐ C. Between 11 and 20 transactions	11至20次交易
(4) ☐ D. Over 20 transactions	超過20次交易

11 What is your knowledge of financial markets and investments? 您對金融市場和投資的認識有多少？

(0) ☐ A. None: I have no knowledge of financial markets and Investments. 沒有認識：我對金融市場和投資完全沒有任何認識。

(1) ☐ B. Low: I have only some basic knowledge of financial markets such as differences between stocks and bonds. 低水平：我對金融市場只有一些基本知識，例如股票和債券的分別。

(2) ☐ C. Medium: I have above basic knowledge and understand the importance of diversification (i.e., I have my money in different types of investment to spread the risks). 中等水平：達基本知識以上的水平，明白分散投資的重要性，並作出分散投資（即把資金配置於不同類別的投資，以分散風險）。

(3) ☐ D. High: I know how to read a company's financial reports (i.e., profit and loss statements and balance sheet) and understand the factors affecting the prices of stocks and bonds. 高水平：我懂得閱讀一家公司的財務報告（即損益表及資產負債表），並明白影響股票和債券價格的因素。

(4) ☐ E. Advanced: I am familiar with most financial products (including bonds, stocks, warrants, options, and futures) and understand various factors that may affect the risk and performance of these financial products. 精通：我熟識大部分金 融產品（包括債券、股票、認股權證、期權及期貨），並明白可能影響這些金融產品的風險和表現的各項因素。

12 The value of your Liquid Net Worth is (It equals to the sum of your cash and investment portfolio(excluding property value) net of personal loans and credit card balance repayment (excluding mortgage loan)) 您的淨流動資產值是(包括您所有現金及投資組合總和(不包括物業價值)再減去結欠如私人貸款及信用卡結欠(不包括物業貸款):

Estimated total value of your liquid net worth 估計淨流動資產值: 港幣HK$: ________________________

13 Please indicate your investment experiencein the following investment product (Check ✓ more than one box if appropriate)在下表中，請選出您曾經參與的投資產品（如適用，可選擇✓多於一項）

	None 無	Limited 有	Good 良好	Extensive 豐富
Total number of years of dealing experience 交易經驗年數	0	1	2-3	>3
Products 產品				
Warrants / Callable bull/bear contracts 認股權證 / 牛熊證	☐0	☐1	☐3	☐5
Exchange traded funds 交易所買賣基金	☐0	☐1	☐3	☐5
Structured products (capital and non-capital preserved investment) 結構性產品（例如：保本或非保本產品）	☐0	☐1	☐3	☐5
Leveraged and Inverse Products 槓桿及反向產品	☐0	☐1	☐3	☐5
Futures / Listed Option 期貨 / 期權	☐0	☐1	☐3	☐5
Equities 上市股票	☐0	☐1	☐3	☐5
OTC derivatives (e.g. OTC Options) 場外衍生工具 （例如：場外期權）	☐0	☐1	☐3	☐5
Securities short selling 股票沽空	☐0	☐1	☐3	☐5
Securities placing 證券配售	☐0	☐1	☐3	☐5
Foreign Exchange 外幣	☐0	☐1	☐3	☐5
Mutual funds/ Unit trusts 互惠基金/單位信託基金	☐0	☐1	☐3	☐5
Hedge funds/ Private equity funds 對沖基金/私募股權基金	☐0	☐1	☐3	☐5
Bonds 債券	☐0	☐1	☐3	☐5
			Total Score 總分	

Note 備註:

1. Choose"None"if you have no relevant previous knowledge/experience or if you are unsure about it. 如您之前不具備相關知識/經驗或對此不確定，請選擇「無」。

2. The investment experience as indicated in Question 13 will be considered as the most recent investment experience in a particular product.問題13內填報的各種投資產品之交易經驗年數將被視為客戶的最新投資經驗年數。

The score of Question 13 indicates the overall investment knowledge and experience of you in the relevant products as follows: 上述問題13得分顯示您在相關產品方面整體的投資知識和經驗為：

☐	Score 0 - 15:分數 0 - 15	Minimal knowledge & experience 極少知識和經驗	(0)
☐	Score 16 - 32: 分數 16 - 32	Basic knowledge & experience 基礎的知識和經驗	(1)
☐	Score 33 - 49: 分數 33 - 49	Advanced knowledge & experience 高等的知識和經驗	(3)
☐	Score > 49: 分數 > 49	Substantial knowledge & experience 豐富的知識和經驗	(5)

Total Score (Sum of the scores of Question 1 to Question13) 總分 (問題1至13分數總和)	

Result 結果

According to your answers to all questions above, the risk appetite of you is: 根據您對以上所有問題的回答，您的投資風險取向為：

	Score 分數	Risk Appetite Classification 投資風險取向分類	Reference Investment Strategy 參考投資策略
☐	9 – 15	1 - Conservative 保守	You are a conservative investor with capital protection as your main objective. You prefer receiving fixed and stable returns. 您是一個保守型的投資者，而您/您們的投資主要目的為保本，您會偏向收取固定穩定回報。
☐	16 - 20	2 - Moderately Conservative 中度保守	You are a moderately conservative investor whose investment risk appetite is low to moderate. For more potential income and returns, you can tolerate small capital loss and small fluctuations in capital. 您是一個中度保守型的投資者，能承受低至中度投資風險以取得一些回報。您可以接受輕微虧損風險及承受輕微的資本波幅，以增加潛在的收入及回報。

☐	21 - 28	3 - Moderate 平穩	You are a moderate investor with the main objective as stable long term growth. To achieve income and capital growth, you are willing to accept a moderate level of volatility and risk. 您是一個平穩型的投資者，您的投資主要目的為尋求長期平穩增長。您願意接受中度波動及風險以取得回報和資本增長。
☐	29 - 38	4 - Moderately Aggressive 中度進取	You are a moderately aggressive investor whose investment risk appetite is medium to high. To seek higher returns and capital appreciation over your investment horizon, You are willing to tolerate larger fluctuations of the value of your investments. 您是一個中度進取型的投資者，您願意接受更大波動及風險以取得較高回報和資本增長。
☐	39 - 48	5 - Aggressive 進取	You are an aggressive investor with a primary aim to seek highest potential returns. To maximize your returns, You are willing to accept extreme fluctuations. 您是一個進取型的投資者，以追求最大回報為主要目標。您願意接受極大波動以取得最高回報。
☐	I hereby acknowledge that the above Risk Appetite Classification and Investment Strategy are consistent with my investment risk requirements and investment objective. 我確認，上述投資風險取向分類和投資策略與我的投資風險要求和投資目標相符。		
☐	The above Risk Appetite Classification and Investment Strategy are not consistent with my investment risk requirement and investment objective. Therefore, I hereby choose a more conservative Investment Strategy as follows: 上述投資風險取向分類和投資策略與我的投資風險要求和投資目標不符，我認為以下由我自行選定更為保守的投資風險取向更能反映我的實際情況： ☐ Conservative 保守 ☐ Moderately Conservative 中度保守 ☐ Moderate 平穩 ☐ Moderately Aggressive 中度進取		

3(b) **ASSESSMENT ON KNOWLEDGE OF DERIVATIVES** 衍生產品的認識

(PLEASE TICK THE APPROPRIATE BOX. 請在適當空格加√)

This part assesses whether you have knowledge of derivatives. Based on the information provided below, we will assess whether you understand the nature and risks of derivatives products. Please complete the each question and check the box that best describes you. 此部分旨在協助評估 您是否具備衍生工具知識。本公司將根據 您所提供資料，評估您是否了解衍生產品的性質和風險。

1. ☐ I have learned about the nature and risks of related products through training videos on bonds, exchange traded derivatives and OTC derivatives on your company website. 有，我已透過貴公司網站有關債券、場內及場外衍生工具之培訓短片了解相關產品的性質和風險。

日期Date : ____________________________________ 驗證碼 Security Code:________________________________

☐ I have attended course/seminar on derivatives offered by the following institution 我曾接受有關衍生產品的培訓或課程 :

Institution name : 機構名稱 : _______________________________ Course Name 及課程名稱 : ______________________________________

Attendance Date 出席日期 : __________________________________

2. ☐ I have executed Six or more transactions in derivative products within the past three years
我曾在以往三年內進行過六宗或以上衍生產品交易

Name of financial institution 金融機構名稱 : ______________________________

3. ☐ My current or previous work experience has been related to derivative product(s)
我現時或以往的工作經驗是與衍生產品有關

Company name 公司名稱 : _____________________________ Department name 部門名稱 : _________________________________

Job nature 工作性質 : _________________________________and

Period of employment 及任職年期 : 由 from Year _______年至to Year ______年

4	**OTHER DISCLOSURES** 其他資料披露 *(Please tick the appropriate box.* 請在適當空格加√ *)*

Are you the ultimate beneficial owner(s) of the Account/ person ultimately benefiting from the transaction and bearing the risk?
你是否此帳戶的最終實益擁有人/最終受益於交易及承擔風險人士?

☐ Yes 是 ☐ No 否 (Please Complete below information 請填寫下列信息) :
Name 名稱: ____________________________ ID / Passport No. 身份證/護照號碼 : _________________________

Nationality 國籍 : _____________________________ Address 地址 :____

Are you person ultimately responsible for originating instructions for the account?
你是否向戶口最終負責發出指士的人士?
☐ Yes 是 ☐ No 否 (Please Complete below information 請填寫下列信息) :
Name 名稱: ____________________________ ID / Passport No. 身份證/護照號碼 : _________________________

Nationality 國籍 : _____________________________ Address 地址 :____

Are you the employee of a SFC's licensed or registered?
您是否證監會持牌或註冊人的僱員 ?
☐No 不是 ☐Yes 是 - Please provide Employer's Consent Letter and specify 請提供僱主同意書及述明具體：Name of Licensed

Corporation/Registered Institution 持牌法團或註冊機構名稱：____

Position 職位: ____________________________________CE Reference 中央編號：____

Are you, the ultimate beneficial owner(s) of the Account and/or the person ultimately responsible for giving instructions for the Account ("Relevant Person(s)"), have any relationship with the director(s) of Haitong International Securities Group Limited or any of its subsidiaries 閣下，作為此帳戶最終權益擁有人 及/或 此帳戶進行交易的最終負責發出指示人士 (「有關人士」)，與海通國際有限公司或其附屬公司之董事或職員是否有親屬關係?
☐ No 不是 ☐ Yes 是 (Please Complete below information 請填寫下列信息) :
Name of the Relevant Person(s) 有關人士名稱 : ____________________________
Name of the directors(s) or employee(s) 董事或職員之姓名 : _________________________________
Relationship 關係 :____

Related Margin Client 關連保證金客戶 (保證金證券帳戶適用/ Margin Securities Trading Account Only)

(a) Does your spouse have a margin account with Haitong International Securities Company Limited ?
閣下的配偶是否持有海通國際證券有限公司的保證金證券帳戶?
☐No 不是
☐Yes 是 (Please specify 請註明):
Name of Spouse 配偶姓名 :____________________________
Client ID 客戶號碼 : ________________________

(b) Do you control, either alone or with your spouse, 35% or more of the voting rights of another margin client of Haitong International Securities Company Limited? 閣下是否單獨或與配偶並同控制海通國際證券有限公司其他保證金證券客戶之百分之三十五或以上的投票權?
☐No 不是
☐Yes 是 (Please specify 請註明):
Name of Spouse 配偶姓名 :____________________________
Name of Relevant Company(ies) : ____
Client ID 客戶號碼 : ________________________

(c) Do you, with another margin client of Haitong International Securities Company Limited who are natural persons (other than spouses), act on behalf of the same third party where the third party is not a margin client of Haitong International Securities Company Limited but is the beneficial owner of your accounts, or stands to gain the commercial or economic benefit or bear the commercial or economic risk of the transactions in your accounts? 閣下是否與海通國際證券有限公司的其他個人保證金客戶(配偶除外) 代表同一第三方行事的保證金帳戶，而該名第三方並非海通國際證券有限公司的保證金客戶，但卻是閣下與其他個人客戶的帳戶的最終權益擁有人，或將會從閣下及其他個人客戶的帳戶的交易中心取得商業或經濟利益或承擔商業或經濟風險?
☐No 不是
☐Yes 是 (Please specify 請註明):
Name of Margin Client 客戶名稱 :______________________________________
Client ID 客戶號碼 : ________________________

(d) Is there another margin client of Haitong International Securities Company Limited (other than spouses), who is the ultimate beneficial owner of your account? 如閣下帳戶的最終權益擁有人(配偶除外) 是否為海通國際證券有限公司的保證金客戶?
☐No 不是
☐Yes 是 (Please specify 請註明):
Name of Margin Client 客戶名稱 :______________________________________

Client ID 客戶號碼 : ______________________

(e) Is the financial liability of you and another margin client of Haitong International Securities Company Limited guaranteed by the same guarantor where the guarantor is not a margin client of Haitong International Securities Company Limited? 閣下是否與其他海通國際證券有限公司的保證券金客戶的財務負債由同一擔保人擔保，而該擔保人並非海通國際證券有限公司的保證金客戶?

☐No 不是

☐Yes 是 (Please specify 請註明):

Name of Margin Client 客戶名稱 :____________________________________

Client ID 客戶號碼 : ______________________

Have you been arrested/tried/sentenced/disciplined for illegal activities or violating regulatory requirements?

您是否曾經涉及違法或違反監管守則而被捕/受審/被判刑/被紀律處分?

☐ No 不是 ☐ Yes 是; please specify 請述明具體: ____

Are you or your immediate family members Politically Exposed Person (“PEP”), a person connected with PEP, senior government official or senior executive of a state-owned corporation?*

您或您的直系親屬是否政治人物或與其有關連之人士、高級政府官員或國有企業高級行政人員?*

☐ No 不是 ☐ Yes 是; please specify 請述明具體:

Name of PEP 政治人物姓名	Relationship to PEP 與政治人物的關係	PEP Position and Term 政要職銜及擔任年期	Country 國家

*PEP includes but not limited to individuals with prominent public function or in senior positions in a place inside or outside Hong Kong (including head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state- owned corporation and important political party official)

政治人物包括但不限於香港或香港以外任何地方擔任或曾擔任重要的公職 (包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事)

5 SELF –CERTIFICATION DECLARATION OF RESIDENCE FOR TAX PURPOSE 稅務居民身份聲明

Important Notice to Customer(s): Please read this section before completing this form.

客戶須知: 填寫此表格前，請先閱讀本節。

Financial institutions are not allowed to provide tax advice.

If you have any questions regarding this form or defining your tax residency status, please speak to your tax adviser or relevant tax authority. Please find out more on the OECD website (http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/), including a list of jurisdictions that have signed agreements to exchange information automatically, along with details about the information being requested.

金融機構均不允許給予客戶稅務諮詢。

如果您對此表格或您的稅務居民身份定義有任何疑問，請聯繫您的稅務顧問或相關稅務機關。您可以從經濟合作與發展組織(*OECD*)自動訊息交換網站，獲取更多詳情，包括已簽署自動交換信息協議的司法管轄區的名單及被請求交換的有關信息。 *(http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/)*

This is a self-certification form provided by an account holder to Haitong International Securities Company Limited and/or Haitong International Futures Limited (together “HTI”) for the purpose of automatic exchange of financial account information. The data collected may be transmitted by HTI to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.

這是由帳戶持有人向海通國際證券有限公司及/或海通國際期貨有限公司海通國際（統稱「海通國際」）提供的自我證明表格，以作自動交換財務帳戶資料用途。海通國際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 his/her tax residency status or other information (if necessary) to HTI 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海通國際。

You may be asked to provide additional documents to evidence the declaration made on this form.

您可能會被要求提供額外證明文件，以核實此表格上之內容。

Please note that where there are joint account holders or with third party under Section 5， each account holder and third party is required to complete a separate declaration form.

請注意:如果客戶為聯名帳戶或第五項為第三者，各聯名帳戶持有人及第三者必須各自填寫一份聲明書。

I hereby confirm that I am, for tax purposes, resident in the following countries.

本人聲明本人為下列司法管轄區之稅務居民。

If a TIN is unavailable, please provide the appropriate reason A, B or C:
如未能提供稅務編號，請填寫理由 A, B 或 C.

Reason A 理由 A	The jurisdiction where the Account Holder is a resident for tax purposes does not issue TINs to its residents. 帳戶持有人的居留司法稅務管轄區並沒有向其居民發出稅務編號。
Reason B 理由 B	The Account Holder is unable to obtain a TIN or equivalent number. (Please explain why you are unable to obtain a TIN in the below table) 帳戶持有人不能取得稅務編號。(請在下表中解釋不能取得稅務編號的原因)
Reason C 理由 C	TIN is not required. Select this reason only if the authorities of the jurisdiction of tax residence do not require the TIN to be disclosed. 帳戶持有人毋須提供稅務編號。(這理由只適用於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。)

Primary Client 客戶

Jurisdiction of Residence 稅務居民司法管轄地	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如未能提供稅務編號，請填寫理由 A, B 或 C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選擇理由 B，請提供不能取得稅務編號的原因
		+	

Additional Disclosure (if applicable) 額外披露 **(**如適用**)**

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. $10,000).
警告：根據《稅務條例》第 80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第三級（即$10,000）罰款。

In the event of any inconsistency between the English and Chinese language text on this Self-Certification form, the English version will prevail and all information provided by you on this form will be treated as addressing the English text.
如此表格的中、英文兩個版本有任何不相符之處，應以英文版本為準，所有您在此聲明書提供的資料會被視為回應英文版本原文。

6 **DECLARATION OF FATCA INFORMATION** 海外帳戶稅收合規法案聲明 (*Please tick appropriate box.* 請在適當空格加□)

Please note that where there are joint account holders or with third party under Section 6， each account holder and third party is required to complete a separate declaration form.
請注意**:**如果客戶為聯名帳戶或第六項為第三者，各聯名帳戶持有人及第三者必須各自填寫一份聲明書。

Disclaimer:
- The account holder is advised to refer to the US IRS website (http://www.irs.gov/) for details in respect of FATCA.
- The account holder shall be fully responsible for the confirmation of his/her/its FATCA status and other information submitted hereunder.
- The account holder shall ensure the information given and statements made in this form are true, correct and complete, HTI shall not be liable for any errors or loss that results from such information and statements.
- HTI is unable to offer any tax or legal advice

免責聲明
- 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。
- 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。
- 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。海通國際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。
- 海通國際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 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。
2. ☐ 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）。
3. ☐ 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。

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。

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by HTI 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 HTI 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，海通國際可根據《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 HTI 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 HTI may withhold from my account(s) such amount as may be required according to applicable laws, regulations and directives.
在不抵觸當地適用法律的情況下，本人同意海通國際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，本人准許並同意海通國際可按適用的法律、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。
I certify that I am the account holder of all the account(s) to which this form relates. I undertake to advise HTI 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 HTI with a suitably updated self-certification form within 30 days of such change in circumstances or information.
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，本人會通知海通國際，並會在情況發生改變後或資料變更後之 30 日內，向海通國際提交一份已適當更新的自我證明表格。

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

7 STANDING PAYMENT INSTRUCTION 常設收款指示

Please pay the money received on my/our behalf into the following bank account opened in my/our own name upon my request.
請在本人要求時將為本人/吾等代收的款項轉帳到下列以本人/吾等名義開設的銀行帳戶。

Name of Bank 銀行名稱: ____________________

Bank Account No. 銀行帳戶號碼: ____________________ Currency 貨幣：____________________

Documents to be provide:
Supporting document of the bank account to be registered (e.g. bank statement showing the relevant name and account number)
需提交之證明文件：
登記之銀行帳戶證明文件(例如銀行結單需顯示姓名及銀行帳戶號碼)

8	開戶ACCOUNT OPENING *(Please tick the appropriate box. 請在適當空格加)*

ACCOUNT OPENING APPLICATION

I/We____ ("Client") hereby request the Company to open and maintain a cash securities /margin securities /option/future trading account or accounts (referred to together with any other accounts maintained by me/us with the Company, as the "Account(s)") on the terms and conditions set out in the Cash / Margin / Options Trading / Futures Account Terms and Conditions ("Terms and Conditions") and to provide me/us with a Password and login Name in order to access the Electronic Services.

TYPE OF SERVICE REQUIRED

I/We wish to open one or more Account(s) with the Company as I/we may decide from time to time for the purchase or sale of securities/for dealing in Options Contracts and effecting transactions of any Exchange Traded Options Business (as defined under the Options Trading Rules)/for the purchase or sale of commodities.

The Company agrees that the Company will from time to time at my/our request and at the Company's sole discretion allow me/us to open one or more Account(s) with the Company and accept and maintain such Account(s) to be designated by names, numbers or otherwise, and will act as agent (except as principal(s) on occasions specified in this "Agreement") for me/us in the purchase or sales of securities subject to the Terms and Conditions.

CONFIRMATIONS AND ACKNOWLEDGEMENTS

I/We acknowledge my/our of (i) the Terms and Conditions; and (ii) the Securities Services/ the Stock Options / the Futures & Options Related Fees and Charges

I/We hereby confirm that I/We have read and agree to the Terms and Conditions, all of which form the agreement made between the Company and me/us in relation to the Account(s).

I/We confirm that I/We have received a printed copy of the account opening form and client information statement regarding my/our account maintained with Haitong International Securities Company Limited in the language as selected by me/us (in Chinese or in English or both).

Agreement and Risk Disclosure Statements. I/We hereby acknowledge and confirm that this Agreement, including but not limited to the Risk Disclosure Statements set out in the Terms and Conditions, was provided to me/us in a language of my/our choice (English or Chinese) and I/we was/were invited to read the Risk Disclosure Statements carefully, ask questions and take independent advice if I/we wish.

Cash Securities Account Standing Authority (if applicable)

I/We hereby acknowledge and confirm that I/we have authorized the Company to deal with Monies (as defied in the Terms and Conditions) in accordance with the Clause 17 of Client Money Standing Authority in the Terms and Conditions and the contents of that Clause have been explained to me/us and I/we understand the contents of that Clause.

Margin Securities Account Standing Authority (if applicable)

I/We hereby acknowledge and confirm that I/we have authorized the Company to deal with Monies (as defied in the Terms and Conditions) and securities and securities collateral in accordance with the Clause 25 of Standing Authority in the Terms and Conditions and the contents of that Clause have been explained to me/us and I/we understand the contents of that Clause.

Options Account Standing Authority (if applicable)

I/We hereby acknowledge and confirm that I/we have authorized the Company to deal with Monies (as defined in the Terms and Conditions) and securities in accordance with the Clause 18 of Standing Authority in the Terms and Conditions and the contents of that Clause have been explained to me/us and I/we understand the contents of that Clause

Futures Account Standing Authority (if applicable)

I/We hereby acknowledge and confirm that I/We have authorized the Company to deal with Monies (as defined in the Terms and Conditions) in accordance with the Clause 10 of Standing Authority in the Terms and Conditions and the contents of that Clause have been explained to me/us and I/we understand the contents of that Clause.

Data Privacy Policy

I/We have carefully read, fully understood and agreed to accept and be bound by the notice and statement relating to the Personal Data (privacy) Ordinance (Cap. 486 of the Laws of Hong Kong) as set out in the Data Privacy Policy of the Haitong International Securities Group Limited. Unless I/We have indicated my/our objection by ticking the boxes , I/We hereby consent to the use of my/our personal data for direct marketing purpose.

□ I/We object to the proposed use of my/our personal data by other third parties except for the use of my/our personal data in direct marketing by any member of Haitong International Securities Group Limited in direct marketing.

□ I/We object to the proposed use of my/our personal data by any member of Haitong International Securities Group Limited and any third parties in direct marketing.

Statement on Data Privacy Policy of HTI (as listed on Appendix 2)(the "Statement")

By signing this Form, I/We acknowledge that I/We have received, read and fully understood all contents of this Statement; and I/We am aware of the meanings and legal effects arising therefrom, and I/We hereby confirm and consent that: (i) I/We have carefully read, fully understood and accepted and will abide by the Privacy Policy of HTI; (ii) HTI collects and processes my sensitive Personal Information in accordance with the Privacy Policy and this Statement; (iii) HTI shares or provides (including on a cross-border basis) my Personal Information with the recipients set forth under Article 2 of the Statement; and (iv) all contents and authorisations contained herein.

開戶申請

本人吾等為____（下稱「客戶」），茲要求貴公司依照現金/保證金/期權交易/ 期貨帳戶條款和條件所在之條款和條件（下稱「條款和條件」）為本人/吾等開立並維持一個或多個現金/保證金/股票期權/期貨交易帳戶（此帳戶將與本人/吾等在貴公司維持的任何其他帳戶合稱為「帳戶」）及為本人/吾等提供一個使用電子服務的密碼及登入名稱。

要求的服務類別

本人/吾等希望不時按本人/吾等的決定在貴公司開立一個或多個帳戶，以便買賣證券/ 買賣期權合約及執行任何在交易所交易的期權業務 (按期權交易規則所定義)/買賣商品。

貴公司同意不是按本人/吾等要求，全權酌情接納本人/吾等以名稱/姓名（等）、號碼 （等）或其他方式開立一個或多個帳戶並接納本人/吾等開立及維持該（等）帳戶；貴公司亦將根據本協議條款和條件擔任本人/吾等之代理人（如有本協議，另行指名充任主持人（等）情況例外），代本人/吾等買賣證券 / 買賣期權合約/買賣商品及處理相關事宜。

本人/吾等茲確認已經閱讀並同意貴公司的帳戶開立表格、僅供公司/合夥公司帳戶使用簽字頁(如適用)，已填妥客戶資料表，且已經閱讀並同意附于本表格的條款和條件。所有上述文件構成貴公司與本人/吾等就帳戶達成之協議。

本人/吾等確認收妥有關本人/吾等於海通國際證券有限公司/海通國際期貨有限公司開立帳戶之開戶表格及客戶資料表的副本，並根據本人/吾等的選擇而以英文或中文編印。

確認及承認

本人/吾等確認收妥（i）條款和條件；及（ii）證券服務/股票期權交易/期貨及期權服務收費及費用表。
《協議和風險披露聲明》本人/吾等僅此承認並確定本人/吾等所選擇的語言（英文或中文）的本協議，當中包括，但不限於在於條款和條件內的風險披露聲明，及本人/吾等已獲邀請細閱該風險披露聲明，提出問題及徵求獨立的意見（如本人/吾等有此意願）。

現金交易帳戶 (如適用)

《常設授權》本人/吾等謹此承認並確認本人/吾等已經根據條款和條件內第十七條的客戶款項上設授權條款，授權貴公司處置在條款和條件內所定義的款項，並且本人/吾等就該條款的內容已獲得解釋，及本人/吾等明白該條款的內容。

保證金交易帳戶 (如適用)

《常設授權》本人/吾等謹此承認並確認本人/吾等已經根據條款和條件內第二十五條的常設授權條款授權貴公司處置在條款和條件內所定義的款項、證券及證券抵押品，並且本人/吾等就該條款的內容已獲得解釋，及本人/吾等明白該條款的內容。

期權交易帳戶 (如適用)

《常設授權》本人/吾等謹此承認並確認本人/吾等已經根據條款和條件內第十八條的常設授權條款授權貴公司處置在條款和條件內所定義的款項及證券，並且本人/吾等就該條款的內容已獲得解釋，及本人/吾等明白該條款的內容。

本人/吾等特此授權貴公司向香港聯合交易所期權結算所有限公司(簡稱 「期權結算所」) 就有關本人/吾等在貴公司維持的帳戶(等) 提交有關本人/吾等之持倉由期權結算所以結合基礎計算及收取有關之按金。

期貨交易帳戶 (如適用)

《常設授權》本人/吾等謹此承認並確認本人/吾等已經根據條款和條件內第十條的常設授權條款授權貴公司處置在條款和條件內所定義的款項，並且本人/吾等盲該條款的內容已獲得解釋，及本人/吾等明白該條款的內容。

《個人資料私隱政策》本人/吾等已仔細閱讀、本人理解並同意接受及遵守海通國際之個人資料私隱政策所在有關個人資料（私隱）條例（香港法例第486章）的通知及聲明。除非本人/唔等在下方的方格內另有指示，本人/吾等同意將本人/吾等的個人資料用作直接促銷用途。

☐ 除了任何海通國際成員可將本人的個人資料作直接促銷用途外，本人：吾等反對貴公司將本人/吾等的個人資料予其他第三者作直接促銷用途。
☐ 本人/吾等反對將本人/吾等的個人資料提供予任何海通國際成員及任何第三者作直接促銷用途

海通國際證券集團之個人資料私隱政策聲明（如附錄2所列）（“本聲明”）

簽署本帳戶開立表格，即表示本人/吾等已收到、閱讀並完全理解本聲明的所有內容，知曉其含義以及由此產生的法律效力，並且本人/吾等確認和同意: (i) 已仔細閱讀、完全理解並接受及遵守海通國際證券集團之私隱政策; (ii) 海通國際證券集團按私隱政策及本聲明收集並處理本人/吾等敏感個人資訊; (iii) 海通國際證券集團與本聲明第**2**條內提及之接收方共用、提供本人/吾等的個人資訊（包括跨境提供）; 及本聲明的所有內容及授權。

9	**DECLARATION** 聲明

I / We represent that the information on this Client Information Statement is true, complete and correct that the representations in the attached agreement are accurate. Haitong International Securities Company Limited and/or Haitong International Futures Limited ("Companies") is / are entitled to rely fully on such information and representations for all purposes, unless it / they receive(s) notice in writing of any change. I understand that HTI will be unable to assess the suitability of the requested service to my interest if the information provided in the questionnaire by me is incorrect. I acknowledge the receipt of a copy of the above questionnaire and I have duly completed and signed the same. I hereby declare that I have received and read the “Derivative Products Features and Risk Disclosures” and understand that the investment risks associated with exchange traded derivatives and OTC derivatives and structured products are HIGH. Moreover, the staff of HTI has cautioned me about investing in exchange traded derivatives and OTC derivatives and/or structured products.I/ We also undertake to notify the Companies immediately (in any event, within 30 days) of any changes to the information given above. Upon request, I /We shall also promptly (in any event, within 30 days) provide the Companies any additional documentation, including without limitation to the self-certification, in relation to the changes to such information. If the additional documentation is not provided timely, I / We understand that the Companies may disclose and / or submit certain of my / our account information in relation to the changes to the competent regulatory or Government Authority in the relevant jurisdiction(s) (including without limitation to U.S. Internal Revenue Service, U.S. Department of the Treasury and the Hong Kong Inland Revenue Department) for the purpose of complying with FATCA, Common Reporting Standard and other related laws, regulations, codes and rules. The Companies are authorized at any time to contact anyone, including my / our banks, brokers or any credit agency, for the purposes of verifying the information provided on this Client Information Statement. I/We hereby confirm that the information provided in questionnaire is true, correct and accurate as of the moment of provision. I/We undertake to keep the relevant subsidiaries of Haitong International Securities Group Limited (“HTI”) informed of any changes in the above-mentioned information. I/We understand that HTI will be unable to assess the suitability of the requested service to our interest if the information provided in the questionnaire is incorrect. I/We hereby declare that I/we have received and read the “Derivative Products Features and Risk Disclosures” and understand that the investment risks associated with exchange traded derivatives and OTC derivatives and structured products are HIGH. Moreover, the staff of HTI has cautioned me/us about investing in exchange traded derivatives and OTC derivatives and/or structured products.

本人/吾等茲聲明在客戶資料表所提供之資料全部真實、完整及正確，並且所附協定內容皆為準確。除非海通國際證券有限公司及/或海通國際期貨有限公司 接到更改有關本資料表內容的書面通知，否則上述公司有權完全依賴此等資料及聲明作一切用途。本人/吾等明白如問卷內填寫的內容不實，海通國際將不能評估所要求服務是否適合本人/吾等。本人/吾等確認收到、填妥並簽署本問卷。本人/吾等聲明本人已收取及閱讀《衍生產品特點及風險披露》並明白場內及場外衍生工具及結構性產品交易涉及高投資風險，而海通國際員工已向本人提出有關投資場內及場外衍生工具及/或結構性產品的警告。本人/吾等亦同意如上述資料有任何改變，會立即（在任何情況下，在30天內）通知上述公司。如上述公司要求，本人/吾等亦會盡快（在任何情況下，在30天內）向上述公司提供所需的額外文件，包括但不限於更新資料變更後的自我證明。如本人/吾等未能在指定時間內提供所需的額外文件，本人/吾等明白上述公司可能根據有關的資料變更向相關司法管轄區內的合資格監管及/或政府當局（包括但不限於美國國家稅務局、美國財政部和香港稅務局）披露及/或提交本人/吾等之相關帳戶資料，以符合FATCA、《共同匯報標準條例》和其他相關法規、守則和規則的規定。上述公司獲授權可隨時就核對本資料事宜，與任何人包括本人/吾等之銀行、經理或任何信用機構進行諮詢。

CLIENT SIGNATURE 客戶簽署 (Specimen Signature 簽署樣式)
IN WITNESS whereof the Client has executed this Form as a deed本表格由客戶以契約形式簽署

SIGNING ARRANGEMENT 簽名安排 *(For Joint Account Only. 只適用於聯名帳戶)*
The Account can be operated under the instruction of (please tick the appropriate box):
此帳戶可根據以下指示方式操作(請在適當空格加√):
☐Either one of the account holder ☐ Both account holders
☐ 任何一位帳戶持有人的指示 ☐ 兩位帳戶持有人的指示

由客戶以契約形式簽字、封印及交付 **SIGNED, SEALED AND DELIVERED AS DEED by Client** **SIGNED by Client 客戶簽署**	由客戶以契約形式簽字、封印及交付 **SIGNED, SEALED AND DELIVERED AS DEED by Client** **SIGNED by Client 客戶簽署 (Joint Account Holder 聯名帳戶持有人)**
Name **客戶姓名**	**Name** **客戶姓名**
Date 簽署日期	**Date 簽署日期 :**

Witness 見證人

I, the undersigned, have witnessed the signature and inspected the original identity document of the above-named client. 本人已見證及驗證上述客戶之簽署及有關其身份證明文件之正本	
Witness Signature 見證人簽署	Capacity 見證人資格 □ Licensed person of HTISEC 海通國際持牌人員 (CE No.__________________) □Licensed person of other Licensed Corporation 其他持牌機構持牌人員 (CE No._______________) □Others, please specify 其他, 請註明: Occupation 見證人職業_________________________(Licensed No. 牌照編號____________________)
Name of Witness: 見證人名稱	Date 日期

Declaration By Licensed Representative 持牌代表的聲明

I have provided the Risk Disclosure Statements to the Client in a language of his/their choice (English or Chinese) and have invited him/them to read the Risk Disclosure Statements carefully, ask questions and take independent advice if he/they wish(es). 本人已按照客戶所選擇的語言 (英文或中文) 提供客戶風險披露聲明及已邀請客戶細閱該風險披露聲明，提出問題及徵求獨立意見 (如客戶有此意願) 。	
Signature of Licensed Person 持牌人簽署	□ Face to Face 面談 □ By Phone 電話 (Time時間: ________ Extension 內線: _____________)
Name of Licensed Representative 持牌人姓名	CE. No 中央編號
Date 日期	

Appendix 1

Arrangement of Foreign Currency Exchange and Fund Transfer for Futures Trading Accounts
期貨交易帳戶的外幣兌換和資金轉移安排

In order to comply with the regulatory requirement concerning the maintenance of sufficient margin in customers' futures account for trading in the related market (local or overseas) and to settle the negative balance [Note 1] in the account, Haitong International Futures Limited ("the Company") will arrange where necessary, foreign currency exchange and fund transfer between local market and overseas market [Note2] in the trading account. This arrangement is subject to the authority and consent given by you under the "Terms and Conditions of Futures Trading Account" maintained with the Company. The details of such arrangement are set out below:

客戶使用期貨帳戶在不同市場（本地或海外）進行交易，均須維持足夠的保證金。為遵守這些法律要求並結清帳戶的負數結餘附註1，海通國際期貨有限公司（「本公司」）在有必要時會在相關交易帳戶中安排於本地市場和海外市場進行外幣兌換和資金轉移附註2，但此安排須根據本公司的《期貨交易帳戶的條款和條件》向閣下取得授權和同意。相關安排的詳細說明如下：

At 5p.m. (Hong Kong time) on each Hong Kong Trading Day (T):
在各香港交易日(T)下午五時正（香港時間）：

1. 如期貨交易帳戶出現負數結餘：

Negative balance in overseas market

海外市場的負數結餘

i. When there is positive balance held in customers' local market that is in the same currency as that with the negative balance in the overseas market, the Company will transfer the balance in local market to overseas market for settling the negative balance
如客戶在海外市場中的貨幣出現負數結餘，但在本地市場持有相同貨幣而其結餘為正數，本公司會將本地市場的該貨幣轉移至海外市場以結清負數結餘。

ii. If there is still negative balance in the overseas market after such transfer, or there is no same currency in the local market for such transfer, the Company will transfer equivalent balance in other currency in the local market to the overseas market for settling of negative balance.
若在如此轉移貨幣後，海外市場的結餘仍然是負數，又或在本地市場並無持有相同貨幣可以轉移，本公司會轉移等值的其他本地市場貨幣至海外市場以結清該負數結餘。

iii. The above transfer arrangement is only applicable to negative balance of HKD, USD and RMB; the currency order of priority for the transfer is: HKD>USD > RMB
上述的轉移安排只適用於港元、美元和人民幣的負數結餘；而貨幣轉移的優先次序為：港元 > 美元> 人民幣

Remark: If there is negative balance in local market, the Company will make transfer in opposite direction according to the above procedure
註:如在本地市場出現負數結餘，本公司會按照上述程序，以反方向來進行轉移。

At 10 a.m. (Hong Kong time) on the day immediately after each Hong Kong Trading day (T+1):
在緊接各香港交易日後的日子(T+1)上午十時正（香港時間）：

1. In case of a negative balance in foreign currency in futures trading account

如期貨交易帳戶的外幣出現負數結餘海外市場的外幣出現負數結餘

I. When there is equivalent foreign currency balance held in customers' local market, the Company will transfer the foreign currency balance in local market to overseas market for settling the relevant negative balance.
如客戶在本地市場持有該外幣，本公司會將其等值外幣由本地市場轉移至海外市場以結清負數結餘。

II. If there is no equivalent foreign currency balance held in customers' local market trading account, the Company will firstly convert all foreign currency negative balance in overseas market into HKD to give rise to a HKD negative balance in the trading account, and then arrange the transfer of the HKD balance in local market to overseas market for settling the HKD negative balance in overseas market. If there is only balance in other foreign currency held in customers' local market trading account, such foreign currency balance will firstly be converted into the required HKD amount, and then transferred to overseas market for settling the HKD negative balance.
如客戶在本地市場的交易帳戶並無該等值外幣，本公司會首先將所有 海外市場的外幣負數結餘兌換為港元，因此在交易帳戶中會出現一筆港元負數結餘，然後會安排將本地市場的港元結餘轉移至海外市場以結清該筆港元負數結餘。如客戶在本地市場交易帳戶只持有其他外幣，本公司則會首先將該外幣結餘兌換為所需的港元金額，然後再將該筆港元轉移至海外市場以結清港元負數結餘。

Remark: If there is negative balance of foreign currency in local market, the Company will make transfer in opposite direction according to the above procedure. 註:如在本地市場出現外幣負數結餘，本公司會按照上述程序，以反方向來進行轉移。

2. In case of a negative HKD balance in futures trading account

如期貨交易帳戶出現港元負數結餘本地市場的港元負數結餘

I. When there is a HKD balance held in customers' overseas market, the Company will transfer the HKD balance in overseas market to local market for settling the relevant negative balance.

如客戶在海外市場持有港元，本公司會將海外市場的港元結餘轉移至本地市場以結清相關負數結餘。

II. When there is no HKD balance held in overseas market, but there is a balance in a single foreign currency, the Company will arrange conversion of the foreign currency balance into HKD in the overseas market and transfer of the same to local market for settling the HKD negative balance.
如客戶在海外市場並無任何港元但持有單一外幣，本公司會安排將該海外市場中的外幣兌換為港元並轉移至本地市場以結清港元的負數結餘。

III. When there is a positive multi-foreign currency balance (simultaneously held in USD, Japanese Yen and Euro, etc.) in customers' trading account, the USD balance will be converted into HKD and transfer to local market for settling local market negative balance first. If there is no positive USD balance or where the positive USD balance is not sufficient to fully cover the HKD negative balance, the Company will convert the foreign currency balance with the highest value relative to the HKD for settling the negative balance. If the amount so converted still fails to fully settle the HKD negative balance, the foreign currency balance with the second highest value relative to the HKD will be converted to settle the negative balance and so on until the HKD negative balance is fully settled or when there is no positive foreign currency balance remaining in the trading account.

如客戶在交易帳戶中持有多種外幣（例如是同時持有美元、日圓和歐元等），本公司會首先將美元兌換為港元並轉移至本地市場以結清本地市場的負數結餘。如客戶並無正數美元結餘，或並無足夠的美元結餘以全數抵銷該港元負數結餘，本公司會將相對於港元而言的最高價值外幣兌換為港元以結清負數結餘。但如此做法仍未能全數結清港元的負數結餘，本公司會繼續將相對港元而言的第二最高價值外幣兌換為港元以結清負數結餘，如此類推，直至將港元的負數結餘全數結清為止，或直至交易帳戶中並無任何外幣正數結餘為止。

Remark: If there is negative HKD balance in overseas market trading account, the Company will make transfer in opposite direction according to the above procedure
註: 如海外市場交易帳戶出現負數的港元結餘，本公司會按照上述程序，以反方向來進行轉移。

3. Transfer HKD balance from security trading account
從證券交易帳戶轉移港元結餘

If the HKD negative balance is still not fully settled after the Company had performed the abovementioned transfer(s), the Company may transfer the positive HKD balance (if any) in customers' securities trading account(s) maintained with the Group to customer’s futures trading account(s) for settling the negative balance.

如本公司在進行上述的資金轉移後，仍未能全數結清負數港元結餘，本公司或會從客戶在本集團開立的證券交易帳戶的正數港元結餘（如有）轉移至該客戶的期貨交易帳戶以結清負數結餘。

To avoid any currency exchange losses due to fund transfer, customers may deposit the related currency by themselves in order to comply with the margin requirement and to settle the negative balance arising from floating losses. Any profit or loss arising from exchange rate fluctuations shall be borne by customers and the relevant exchange rate shall be determined by the Company in its absolute discretion. If there is no positive balance in other currency held in the futures trading account or when there is still a negative balance in the futures trading account after the abovementioned foreign currency exchange and/or fund transfer by the Company, a margin call may be issued to customers. If the daily minimum margin requirement of the futures trading account cannot be met, the Company may force liquidate the outstanding contracts held by customers without issuance of margin calls in advance. Besides, if customers cannot deposit sufficient fund or submit instruction of fund transfer from other accounts within the prescribed timeframe, the Company will suspend the opening of new futures positions for customers until there is sufficient margin in the futures trading account.

為避免因資金轉移而導致出現外幣兌換虧損，客戶可自行存入相關貨幣來滿足保證金的要求和結清浮動虧損所產生的負數結餘。客戶須自行承擔匯率波動的盈利或虧損，而相關匯率全權由本公司釐定。如客戶在期貨交易帳戶中並無任何正數結餘的其他貨幣，又或本公司在進行上述的外幣兌換及/或資金轉移後客戶的期貨交易帳戶的結餘仍然是負數，本公司會向客戶發出追繳保證金通知 。如客戶未能滿足期貨交易帳戶的每日最低保證金要求，本公司或會在未有事先發出追繳保證金通知的情況下，將客戶持有的未平倉合約強制平倉。此外，如客戶未能在指定時間內存入足夠的資金或提交指示從其他帳戶轉入資金，本公司將會暫停為客戶開立期貨新倉，直至期貨交易帳戶有足夠保證金為止。

The Company may vary the abovementioned arrangements from time to time. The Company will notify clients of such changes by sending an email, SMS or other medium the Company considers appropriate.
如中、英文兩個版本有任何抵觸或不相符之處，應以英文版本為準。

本公司可能會不時更改上述安排。如有新安排，本公司將以電郵、SMS或本公司認為合適的其他渠道來通知客戶。

Should you have any enquiries about the aforesaid, please feel free to call our Customer Service Hotline at (852) 3583 3388 (Hong Kong) or (86) 755 8266 3232 (Mainland).

如閣下對上述安排有任何查詢，歡迎致電本公司的客戶服務熱線(852) 3583 3388 (香港) 或(86) 755 8266 3232 (中國內地)

附註1： 負數結餘 = 現金結餘 +浮動盈利或結餘 –期貨合約的初始保證金
Note 1: Negative balance = cash balance + floating profit and loss –futures contracts initial margin
附註2: 相關資金轉移安排會根據客戶與本公司之間協定的期貨帳戶條款及條件執行。
Note 2: The relevant fund transfer arrangement will be executed according to the Futures Account Terms and Conditions agreed upon with the Company

Appendix 2

Statement on Data Privacy Policy of HTI

("Statement")

海通國際證券集團之個人資料私隱政策聲明（“本聲明”）

Haitong International Securities Group Limited and its subsidiaries ("**HTI**") undertake to protect the Personal Information of customers, and collect, process and share your Personal Information in accordance with Data Privacy Policy of HTI ("**Privacy Policy**"). As part of the Privacy Policy, **this Statement** contains the matters applicable to you in the Privacy Policy, and you may review the specific clauses of the Privacy Policy via https://www.htisec.com/sites/all/themes/hitong/files/policy/HTI_Privacy_Notice_EN.pdf.
海通國際證券集團有限公司及其附屬公司（“海通國際證券集團”）一直承諾保護客戶的個人信息，並按照《海通國際證券集團）之個人資料私隱政策》（“私隱政策”）收集、處理和共享您的個人信息。作為私隱政策之一部分，本聲明包括私隱政策中適用於您的內容，您可以通過 https://www.htisec.com/sites/all/themes/hitong/files/policy/HTI_Privacy_Notice_TC.pdf 查閱私隱政策的具體條款。

In order to better protect your legitimate rights and interests as well as make you fully understand HTI's purpose and method of processing your Personal Information, the type and retention period of the processed Personal Information, as well as the method and procedure for you to exercise your rights provided under Applicable Laws, please read carefully and fully understand the Privacy Policy and the following contents in this Statement, and return the completed and executed Statement to HTI. By acknowledging the contents of this Statement, you are deemed to have fully understood and agreed to the Privacy Policy and the contents of this Statement. If there are any discrepancy between the provisions of this Statement and those of the Privacy Policy when referring to the same matter, this Statement shall prevail.

為了更完善保障您的合法權益及讓您更充分瞭解海通國際證券集團對您的個人信息的處理目的、處理方式，海通國際證券集團處理您的個人信息種類和保存期限，及您行使適用法律規定的權利之方式和程序，煩請您審慎閱讀、充分理解私隱政策及本聲明以下內容，並及將已填妥及簽署的本聲明交回給海通國際證券集團。確認本聲明內容視為您已充分知曉並同意私隱政策及本聲明內容。如本聲明與私隱政策的規定不同，在述及同一事項時，以本聲明內容為准。

In this Statement, "**Personal Information**" means all kinds of information related to identified or identifiable natural persons recorded by electronic or other means, excluding the information processed anonymously. Personal Information includes but not limited to the "Data" under the Privacy Policy. "**Applicable Laws**" means all the laws, regulations, rules and ordinances, etc. of the jurisdiction where HTI is incorporated, the jurisdiction where the customer resides and other relevant jurisdictions that are applicable to the collection and processing of Personal Information under this Statement.

在本聲明內，“個人信息”是指以電子或者其他方式記錄的與已識別或者可識別的自然人有關的各種信息，但不包括匿名化處理後的信息。個人信息包括但不限於私隱政策所稱“資料”。“適用法律”是指海通國際證券集團所在地、客戶所在地及其他相關司法管轄區所適用于本聲明項下個人信息收集和處理的法律、法規、規章、條例等（統稱為“適用法律”）。

Please note the following matters:
請留意以下事項及內容：

1. For the purposes of processing listed in Article 8 of the Privacy Policy, HTI will collect and process the customer's sensitive Personal Information (including but not limited to your financial account information) in a reasonable manner, and HTI may collect and process your Personal Information via mobile applications in a reasonable manner. HTI undertakes to protect the customer's Personal Information and has taken steps in this regard.

2. 為了私隱政策第8 條所列之處理目的，海通國際證券集團會合理收集和處理客戶的敏感個人信息（包括但不限於您的金融帳戶信息），海通國際證券集團也可能會通過移動應用程序合理收集並處理您的個人信息。海通國際證券集團承諾保護客戶的個人信息，並已就此採取措施。

   For the purposes of providing services, products and information to you, HTI needs to share your Personal Information with certain recipients. HTI will only share necessary Personal Information of yours with designated recipients ("Designated Recipients"). These Designated Recipients include:

3. 為了向您提供服務、產品及信息，海通國際證券集團需要向特定接收方共享您的個人信息。海通國際證券集團僅會向特定接收方共享有關於您的必要的個人信息（“特定接收方”）。特定接收方包括：

   (i) any officer, employee, agent, contractor or third party who provides administrative, professional, credit information, debt collection, telecommunications, computer, payment, archiving or other services to HTI in connection with the operation of their business;
   向海通國際證券集團提供關於其業務運作的行政、專業、信貸信息、債務追討、電訊、電腦、繳款、存檔或其他服務的人員、雇員、代理、承包商或第三方；

   (ii) any financial institution with which you have or propose to have dealings;
   您與之進行或擬進行交易的任何金融機構；

   (iii) any holding or affiliated company of HTI located in different jurisdictions;
   海通國際證券集團在不同司法管轄區的控股公司或關聯公司；

   (iv) any judicial, regulatory, governmental, tax, enforcement, administrative or statutory authority, stock exchange or clearing house or other self-regulatory

or industry body or association in different jurisdictions;
不同司法管轄區的司法機構、監管機關、政府部門、稅務機關、執法機構、行政部門或法定機構、證券交易所或結算所、或其他自律監管機構或業界組織或團體；

(v) any certification authority in different jurisdictions;
不同司法管轄區的核證機關；

(vi) any relevant authority in different jurisdictions in order to satisfy any applicable law, regulation, rule or guideline existing currently and in the future concerning automatic exchange of financial account information or the Foreign Account Tax Compliance Act (FATCA) of the United States;
不同司法管轄區的相關機關，以符合現時和將來實施的任何關於金融賬　戶信息自動交換或美國頒佈的外國帳戶稅收遵從法案(FATCA)的適用法律、法規、規則或準則;

(vii) any credit reference agency, and, in the event of default, debt collection agency;
信貸資料機構及收賬公司（如果您拖欠債務時）；

(viii) any actual or proposed assignee of the relevant HTI entity, business or assets, any participant or sub-participant of the relevant HTI entity's rights in respect of you to evaluate the transaction that is the subject of the assignment, participation or sub-participation; and
相關的海通國際證券集團實體或相關業務或資產的實際或建議受讓人、相關的海通國際證券集團實體可行使關於您之權利的參與人或次級參與人，以評估該轉讓、參與或次級參與所涉及的相關交易；及

(ix) any other person under a duty of confidentiality to HTI, including any holding or affiliated company of HTI which has undertaken to keep such information confidential.
對海通國際證券集團負有保密責任的任何其他人士，包括海通國際證券集團任何承諾對相關信息保密的控股或關聯公司。

You may contact HTI at the contact information set out in Article 4 of this Statement to request (a) the contact information of the third-party recipient/recipient within HTI; and (b) further details on how they collect and process your Personal Information.
您可以根據本聲明第 4 條列明的聯繫方式聯繫海通國際證券集團，要求提供(a)第三方/海通國際證券集團內接收方的聯繫方式，以及(b)有關他們如何收集和處理您個人信息的更多詳情。

HTI may also provide your Personal Information (including on a cross-border basis) in response to lawful requests from judicial or public authorities, including court orders, government regulations or requests from government departments (including banking supervision, data protection, taxation, etc.) subject to Applicable Laws, in the following circumstances:
海通國際證券集團還可能根據司法或公共機構的合法請求，包括法院命令、政府法規或政府部門（包括銀監、數據保護、稅務等）的請求，在符合適用法律的前提下，在以下情況下提供您的個人信息（包括跨境傳輸）:

(i) to comply with the applicable security or law enforcement requirements of relevant countries or regions;
為遵守適用相關國家或地區的安全或執法要求；

(ii) for discovery requests in connection with litigations; or
與訴訟有關的證據開示請求；或

(iii) where required or permitted by Applicable Laws.
在適用法律規定或允許的情況下。

4. In the event that your Personal Information is shared with a Designated Recipient specified in Article 2 above, HTI will comply with relevant requirements under Applicable Laws with respect to sharing Personal Information (including on a cross- border basis) and take necessary measures to procure that the processing of Personal Information carried out by relevant recipient meets the standards of Personal Information protection stipulated by Applicable Laws. You may contact HTI at the contact information set out in Article 4 of this Statement to request the contact information of the third party, and then contact such third party to exercise relevant rights provided under Applicable Laws.
針對前述第2條列明的向特定接收方共享您的個人信息的情形，海通國際證券集 團將嚴格遵守適用法律對於共享個人信息（包括跨境提供）的要求，採取必要 措施，保障接收方處理個人信息的活動達到適用法律規定的個人信息保護標準。您可以根據本聲明第4條列明的聯繫方式聯繫海通國際證券集團，要求提供第三方的聯繫方式，進而聯繫第三方來行使適用法律規定的權利。

When providing your Personal Information to a judicial or public authority specified in Article 2 above at their lawful request, HTI will procure that the disclosure and transfer of your Personal Information will be kept at a minimal and necessary level. To the extent permitted by Applicable Laws, HTI will notify you of such lawful requests from relevant public authorities.
針對前述第2條列明的根據司法或公共機構的合法請求提供個人信息，海通國際證券集團將確保只披露和傳輸與您相關的最低限度的必要個人信息。在適用法律所允許的情況下，海通國際證券集團將通知您相關公共機構的合法請求。

5. If you have any questions about how HTI collects, processes or discloses your Personal Information, or have any queries about the way HTI addresses your questions or concerns, or you would like to exercise your rights as a subject of Personal Information under Applicable Laws, you may call our Customer Service Hotline at +852 3583 3388 for further consultation with our Customer Service Officer.
如果您對海通國際證券集團如何收集、處理或披露您的個人信息有任何疑問，或對海通國際證券集團解決您問題或疑慮的方式有任何問題，或為行

使適用法律規定的個人信息主體的權利，您可致電客戶服務熱線+852 3583 3388與客戶服務主任進一步諮詢。

You may contact HTI at the contact information above to inquire and request a copy of your Personal Information from HTI, and to request corrections, additions and deletions of your Personal Information. In certain circumstances, and to the extent permitted by Applicable Laws, you may request that HTI transfers your Personal Information to a third party. Any such request must be raised in accordance with Applicable Laws. For unreasonable requests which may bring risk to others' legitimate rights or are not operationally/technically feasible, HTI reserves the right to decline the customer's requests in accordance with Applicable Laws.
您可以通過上述方式聯繫海通國際證券集團，查詢並要求海通國際證券集團提供其個人信息的副本，並且可以要求對其個人資料進行更正、補充和刪除。在某些情況下，在適用法律允許的範圍內，您可以要求海通國際證券集團將個人信息轉移給第三方。任何此類要求必須依據適用法律要求提出，但對於可能給他人合法權利帶來風險或不具有操作/技術可行性的不合理請求，海通國際證券集團保留依據適用法律拒絕客戶請求的權利。

6. In certain circumstances and to the extent permitted by Applicable Laws, HTI may process your Personal Information without your consent.
在特定情況下以及在適用法律允許的範圍內，海通國際證券集團可能會在未經您同意的情況下處理您的個人信息。

7. If the scope of, or the purpose of, processing the sensitive Personal Information referred in this Statement above and/or the Designated Recipients changes, HTI will inform you separately and obtain your consent in accordance with Applicable Laws.
倘若本聲明前述敏感個人信息範圍或目的及/或特定接收方發生變動，海通國際證券集團將依照適用法律的要求另行告知並取得您的同意。

8. HTI will always only keep the customer's Personal Information for as long as HTI reasonably needs it for the purposes listed in Article 8 of the Privacy Policy or on a longer term basis in accordance with Applicable Laws and policies and procedures of HTI, or until receipt of the customer's request to delete such Personal Information, subject to limitations on technical feasibility.
在受限於技術可行性的前提下，海通國際證券集團將只為私隱政策第8條所列之處理目的合理需要時保留客戶的個人信息，或依據適用法律要求及海通國際證券集團政策和程序長期保留客戶的個人信息，或保留客戶的個人信息至收到客戶刪除個人信息之要求時。

9. If you agree to accept the above Articles, please check appropriate box(es) in the following "**CONFIRMATION AND CONSENT**". If you refuse to provide or withdraw any of the above authorisations, your normal use of certain services set forth in Article 8 of the Privacy Policy and/or provided by HTI may be affected. You may call our Customer Service Hotline at +852 3583 3388 for further consultation with our Customer Service Officer.
倘若您同意上述之內容，請在以下**確認和同意**之部分內指定處予以勾選。如果您拒絕或撤銷任何上述授權，將可能影響您正常使用私隱政策第8條所列的部分服務及/或海通國際證券集團提供的前述服務，您可致電客戶服務熱線 +852 3583 3388 與客戶服務主任進一步諮詢。

CONFIRMATION AND CONSENT 確認和同意：
By reading this Statement, I acknowledge that I have received, read and fully understood all contents of this Statement; and I am aware of the meanings and legal effects arising therefrom, and

參閱本聲明，即表示本人已收到、閱讀並完全理解本聲明的所有內容，知曉其含義以及由此產生的法律效力，並且

1. **I have carefully read, fully understood and accepted and will abide by the Privacy Policy of HTI (**https://www.htisec.com/sites/all/themes/hitong/files/policy/HTI_Privacy_Notice_EN. pdf**)**
已仔細閱讀、完全理解並接受及遵守海通國際證券集團之私隱政策
(https://www.htisec.com/sites/all/themes/hitong/files/policy/HTI_Privacy_Notice_TC. pdf**);**
2. **HTI collects and processes my sensitive Personal Information in accordance with the Privacy Policy and this Statement;**
海通國際證券集團按私隱政策及本聲明收集並處理本人敏感個人信息；
3. **HTI shares or provides (including on a cross-border basis) my Personal Information with the recipients set forth under Article 2 of this Statement; and all contents and authorisations contained herein**
海通國際證券集團與本聲明第 2 條內提及之接收方共享、提供本人的個人信息（包括跨境提供）; 及
4. **all contents and authorisations contained herein.**
本聲明的所有內容及授權。

This Statement is my true intention and I agree to bear all legal consequences caused thereby.

☐ 本聲明是本人真實的意思表示，本人同意承擔由此帶來的一切法律後果。

Appendix 3

Disclosure on Best Execution

以最佳條件執行交易披露文件

Thank you for choosing Haitong International Securities Company Limited / Haitong International Futures Limited ("Haitong" or "We") to execute your order. Haitong offers execution service on a variety of financial products. Before we process any order(s) for our clients ("You"), we believe it is essential for you to understand how we execute such order(s) in accordance with local trading rules and regulations as well as internal policies. The information presented here is a summary of our Best Execution Policy ("Policy") and aims to provide you with insight on how such policy applies to your order(s), however, this information is not a full and complete explanation on how an order should be processed/executed.
感謝您選擇海通國際證券有限公司/ 海通國際期貨有限公司（「本公司」或「我們」）執行您的交易指示。本公司提供多種金融產品的訂單執行服務。在本公司為客戶（「閣下」）執行任何訂單之前，讓閣下瞭解我們將如何根據本地適用之交易規則和本公司內部政策執行閣下的訂單是非常重要的。本披露文件撮要說明了本公司的以最佳條件執行交易政策（「有關政策」）及讓閣下理解此政策如何應用於閣下的訂單。但是，本文件並非有關訂單處理或執行政策的全部及完整說明。

Haitong is obliged to take reasonable steps to achieve the best possible results for your order execution. We take into consideration a number of factors holistically including but not limited to the below when executing order(s) where best execution applies:-
在執行閣下訂單時，本公司有義務採取合理措施為閣下獲得最佳結果。當以最佳條件執行交易適用時，我們將整體考慮以下元素：

- Size and Nature of the order(s) 交易指示所涉及的數量及其性質
- Price 價格
- Cost 成本
- Speed of execution 執行訂單的速度
- Likelihood of execution 訂單能獲執行的可能性
- Likelihood of settlement 訂單能完成交收的可能性
- Other relevant factors 以及任何其他相關考慮因素

In case specific instruction is received from you, Haitong will prioritize the specific element(s) as given in your instruction when executing such order(s):-
若閣下在交易指示中向本公司作出特定指示，本公司將優先考慮特定指示中提及的元素，例如：

- Specific price and/or; 特定價格和/或
- Specific broker and/or; 特定經紀和/或
- Specific counterparty and/or; 特定對手方和/或
- Specific timeframe and/or; 特定時限和/或
- Specific venue etc. 特定交易場所

Electronic orders placed by you will be routed directly to an exchange or trading venue via a Direct Market Access platform. In such situation, you will be considered to have provided a specific instruction to us.
電子訂單將通過「直駁市場系統」傳送到交易所或交易場所。若閣下發出電子訂單，將被視為向本公司作出特定指示。

In considering clients' specific instruction, Haitong may be prevented from executing the order(s) in accordance with the Policy to achieve the best possible results in executing those order(s). In respect of other elements of the order (if any) that are not covered by the specific instruction, we will still be obliged to provide best execution.
為符合閣下特定指示時，本公司可能為促成最佳執行效果而不跟從有關政策。對於特定指令未涵蓋的其他元素（如有），我們仍有義務以最佳條件執行交易指示。

In assessing whether best execution applies, i.e. whether you are relying on us to provide best execution for your order(s), Haitong takes into account the following factors where applicable:-
在評估閣下是否依靠本公司以最佳條件執行交易時，本公司將考慮以下元素是否適用：

- Whether the transaction is initiated by you; 交易是否由閣下提出；
- Whether it is general market practice for clients to "shop around" to obtain quotes from multiple sources/market participants;
  市場慣例是否容許客戶可從不同途徑/市場參與者獲得價格資訊並比較價格；
- Whether it is a relatively transparent market; 是否為相對透明的市場；
- Whether we have disclosed to you that best execution is not applicable 本公司是否已向閣下披露不會以最佳條件執行交易指示

Best execution arrangement might be applied through the exclusive use of our affiliates, connected parties and third parties. When Haitong passes its client's order to another entity for execution, we will take all sufficient steps to achieve the best possible outcome, in accordance with the Policy, taking account of the factors mentioned above and any specific instructions received from the client in relation to that order. When we use our affiliates or connected party to execute a client's order, we will ensure that any conflicts of interest are managed appropriately to provide the best result for the client. Please note that best execution may not be applicable in the following non-exhaustive scenarios:-

以最佳條件執行交易安排可能通過獨家使用我們的聯屬公司、關連方和第三方來實現。當我們僱用其他公司來執行客戶訂單時，我們將跟從有關政策採取所有充分的步驟以達到最佳結果。同時，我們會考慮上述元素和客戶特定指示中提及的元素（如有）來指示我們僱用的公司。在我們僱用我們的聯屬公司或關連方來執行客戶訂單時，我們將管理可能出現的利益衝突，為閣下提供最佳結果。

請注意，以最佳條件執行交易可能不適用於以下情況：

- Where you accept a firm price or two-way price provided by us in response to your request for a quote;
  當閣下接受本公司根據閣下的報價請求所提供的確定可交易價格；
- Where you approach us with a request to trade and have provided specific instruction(s) to trade e.g. size, specific price limit and/or other conditions, we shall be deemed to have satisfied our best execution obligation as long as we have executed your order, or a specific part of your order, according to your specific instruction(s);
  當閣下向本公司提出交易請求，並提供了特定交易指示，如數量、限定價格和/或其他特定條件，只要我們根據閣下的特定指示執行訂單或訂單的特定部分，我們將被視為已履行以最佳條件執行交易之義務；
- Order in OTC structured investment product(s) which are mostly tailor-made to meet your specific requirements and with pricing generally derived from bilateral negotiations between us where we will give priority to our affiliate(s);
  場外交易之結構性投資產品的訂單主要根據閣下的特定要求定制，定價一般由我們與閣下之間的雙方協議，我們將優先考慮通過我們的聯屬公司進行該等交易。
- In accordance with the terms of a contractual relationship between Haitong and the client, we may exercise a power to terminate such relationship upon the occurrence of an event of default in respect of which the client is the defaulting party or a similar event. In exercising this power (including, without limitation, by unwinding or otherwise terminating any client position or enforcing any security), we act for our own account to protect our interests and do not act on the client's behalf in terms of best execution.
  根據本公司與客戶之間的合約關係，如若發生違約事件且客戶是違約方或在類似事件中，本公司將有權行使其在雙方協議中規定的權利及終止與客戶的合約關係。在此情況下（包括但不限於通過平倉或以其他方式追討客戶所有未繳本公司之總額，或處置抵押品等），本公司可能因保障其利益而非以最佳條件執行交易。

Regardless whether best execution applies or not, we will still be required to treat you fairly and to manage any conflicts of interest that may arise.
無論以最佳條件執行交易是否適用，我們仍會公平對待所有客戶，並管理可能出現的任何利益衝突。如果閣下閱讀本披露文件後有任何疑問，請隨時聯繫我們的客戶經理進一步說明。

If you have any queries after reading this document, please feel free to contact our Account Executives/ Relationship Managers for further clarification.
如果閣下閱讀本披露文件後有任何疑問，請隨時聯繫我們的客戶經理進一步說明。

By continuing to transact with us, you are deemed to have taken notice of and agreed to be bound by the best execution arrangement mentioned above.
若閣下繼續與我們進行交易，閣下將被視為已知悉並同意接受上述以最佳條件執行交易安排。

This document does not constitute legal or any other form of advice and must not be relied on as such. It is your responsibility to review and conduct your own due diligence on relevant rules and regulations or any documentations provided to you. We will not be liable, in any circumstances, whether in contract, tort, and breach of statutory duty or for any losses or damages that maybe suffered as a result of using this document. We do not owe responsibility or liability for any differences of interpretation of legislative provisions and applicable rules/regulations/circulars on which this document is based.
本文件不構成法律上或任何其他形式的建議，亦不應作為依據。閣下有責任對相關規則和法規或我們提供給閣下的所有文件進行審閱並進行自己的盡職調查。在任何情況下，無論是在合同、侵權行為、違反法定義務或是因使用本文件而可能遭受的任何損失或損害，我們概不負責。對於本文件所依據的立法規定和適用規則/條例/通告的任何解釋差異，我們不承擔任何責任或義務。

For and on behalf of,
Haitong International Securities Company Limited / Haitong International Futures Limited
海通國際證券有限公司/ 海通國際期貨有限公司

(This is a computer generated document. No signature is required. In case of inconsistency between the English and Chinese version s, the English version shall prevail.)
(此文件為電腦編印，無需簽署。如中文譯本與英文版本有歧異，一概以英文版本為準。)