

| | |
|--|--|
| Account Number 戶口號碼 | |
| Account Effective Date 戶口生效日期 | |
| Name of Account Executive 客戶主任姓名 (For office use only 只供本行使用) | |

MIB Securities (Hong Kong) Limited (“MIBSHK”) 馬銀證券(香港)有限公司 (“馬銀證券”)
MIB Futures (Hong Kong) Limited (“MIBFHK”) 馬銀期貨(香港)有限公司 (“馬銀期貨”)
28/F, Lee Garden Three, 1 Sunning Road, Causeway Bay, Hong Kong
香港銅鑼灣新寧道一號利園三期二十八樓
Telephone 電話 +852 2268 0660
Facsimile 傳真 +852 2521 2289
www.mib.com.hk

A member of Maybank Investment Banking Group

CLIENT INFORMATION STATEMENT 客戶資料聲明
(For Corporate Account 公司戶口)

1. ACCOUNT TYPE AND TYPE OF SERVICE REQUIRED 戶口類別及所需服務

| 公司 Company | 賬戶類別 Account Type | 交易系統 Trading Platform |
|---|--|--|
| MIB Securities (Hong Kong) Limited (“MIBSHK”) 馬銀證券(香港)有限公司 (“馬銀證券”) | <input type="checkbox"/> Cash Account 現金戶口 <input type="checkbox"/> Margin Account 孖展戶口 | <input type="checkbox"/> MIBHK Electronic Trade (Securities Trading) 馬銀香港電子交易(證券交易) <input type="checkbox"/> MIBHK Regional Electronic Trade 馬銀環球電子交易 |
| MIB Futures (Hong Kong) Limited (“MIBFHK”) 馬銀期貨(香港)有限公司 (“馬銀期貨”) | <input type="checkbox"/> Futures & Options 期貨及期權 | |
| Omnibus Account 綜合賬戶 | <input type="checkbox"/> Yes 是 No 否 | |
| Preferred Language of Communication 通訊選擇語言: | <input type="checkbox"/> Chinese 中文 English 英文 | |

2. GENERAL INFORMATION 一般資料

Name 名稱:

Nature of Entity 實體性質:
 Listed Company 上市公司 Unlisted Limited Company 未上市有限公司
 Sole Proprietorship 獨資經營 Partnership 合夥經營
 Others 其他 (please specify 請註明): _____

Registered Address: 註冊地址: Postal Code 郵編

Correspondence Address: 通訊地址: Postal Code 郵編
If different from above (如與上址不同)

Country of Incorporation: 註冊國家: Certificate of Incorporation No.: 公司註冊證書號碼:

Nature of Business: 業務性質: Tel No.: 電話號碼:

Principal Place of Business: 香港之主要營業地址:

Country of Ordinary business: 公司之營業地區:
 Non US 非美國 US 美國

Daily Trade Confirmation (English only): 每日交易確認書(只限英文):
 E-mail 電郵:

Mode of receiving of Statement: (please tick one) 結單收取方式: (請選擇一項):
 By Post 郵寄 By E-mail 電郵:

If subscribe this service, please tick box 如選擇此服務, 請選以下

Directors 董事(Please provide identity supporting of all directors 請提供所有董事之證明文件)

| Name 姓名 | HKID 香港身份證/ Passport No. 護照號碼 | Contact Tel. No. 聯絡電話 | Residential Address 住宅地址 |
|---------|----------------------------------|--------------------------|--------------------------|
| 1. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |

Shareholders 股東(Please provide identity supporting of all shareholders 請提供所有股東之證明文件)

For companies with multiple layers structure in the ownership structure, please provide a group chart (including the company name and its place of incorporation) certified by a director of the Account Applicant. 至於有多層擁有權結構的公司, 請戶口申請公司之董事提供經其認證有關集團公司的結構圖(包括公司名稱及其成立地)

| Name 姓名 | HKID 香港身份證/ Passport No. 護照號碼 | Contact Tel. No. 聯絡電話 | Residential Address 住宅地址 |
|---------|----------------------------------|--------------------------|--------------------------|
| 1. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |

Individual(s) who holds 25% or more of the ultimate beneficial interest of the client 擁有百分之二十五或以上公司最終權益持有人

(Please provide identity supporting of ultimate beneficial owners 請提供所有最終權益持有人之證明文件)

| Name 姓名 | HKID 香港身份證/ Passport No. 護照號碼 | Contact Tel. No. 聯絡電話 | Residential Address 住宅地址 |
|---------|----------------------------------|--------------------------|--------------------------|
| 1. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |

3. DECLARATION OF TAX RESIDENCY 稅務居住地申報

The Account Applicant should provide MIBSHK and/or MIBFHK with the original signed 戶口申請公司須向馬銀證券及/或馬銀期貨提供以下文件的簽名原本:

(1) Self-Certification Form – Entity 自我證明表格-實體

(2) If the Account Applicant is a Passive NFE for AEOI/FATCA purposes, Self-Certification Form -Controlling Person for each of the controlling persons. 如果戶口申請人為AEOI / FATCA所指的被動非財務實體, 每名控權人須提供「自我證明表格-控權人」

The Self-Certification Form(s) will form a part of this Client Information Statement. 自我證明表格將構成本客戶資料聲明的一部份。

The Account Applicant agrees to provide MIBSHK and/or MIBFHK an updated Self-Certification within 30 days of a change in circumstances that makes any information on a previously provided Self-Certification Form inaccurate. 戶口申請公司同意在出現令之前所提供任何自我證明表格中的任何資料不準確的情況變化後 30 日內向馬銀證券及/或馬銀期貨提供更新的自我證明表格。

4. FINANCIAL POSITION 財務資料

| | | | |
|---------------------------------------|--|---|--|
| Paid-Up Share Capital: 繳足股份股本: | | Profit after taxation for the latest financial year: 最近財政年度之除稅後營利: | |
| Total Asset: 總資產: | | Total Liabilities: 總負債: | |
| Business/Office Address: 營業/辦公室地址: | Postal Code 郵編 | | |
| Source of Income: 收入來源: | <input type="checkbox"/> Nil沒有 <input type="checkbox"/> Commission 佣金 <input type="checkbox"/> Rent租金 <input type="checkbox"/> Dividend/Interest 股息/利息 <input type="checkbox"/> Business Profits 商業利潤 <input type="checkbox"/> Others 其他 (please specify 請註明): | | |
| Asset Items: 資產項目: | <input type="checkbox"/> Landed Property 地產 <input type="checkbox"/> Cash/Deposit 現金/存款 <input type="checkbox"/> Listed Securities 上市證券 <input type="checkbox"/> Dividend/Interest 股息/利息 <input type="checkbox"/> Vehicles 汽車 <input type="checkbox"/> Others 其他 (please specify 請註明): | | |
| Total Net Value (HK\$): 總淨值(港元): | <input type="checkbox"/> ≤HK\$500,000 <input type="checkbox"/> HK\$500,001-HK\$999,999 <input type="checkbox"/> HK\$1,000,000-HK\$4,999,999 <input type="checkbox"/> HK \$5,000,000-HK\$7,999,999 <input type="checkbox"/> HK\$8,000,000-HK\$29,999,999 <input type="checkbox"/> HK\$30,000,000-HK\$49,999,999 <input type="checkbox"/> ≥ HK\$50,000,000 <input type="checkbox"/> Other: HK\$ _____ | | |

5. DISCLOSURE OF IDENTITY 相關身份披露

- (1) Are you related to any employee or director or any other clients of MIBSHK and/or MIBFHK or their subsidiaries, holding company or subsidiaries of the same holding company? (if yes, please state the name and your relationship with our director(s) and/or our other clients)

貴公司是否與馬銀證券及/或馬銀期貨或其附屬公司、控股公司或該控股公司之附屬公司之僱員或董事或其他客戶有關係? (如是, 請註明有關僱員/董事或客戶之姓名及與之關係)

No 否 Yes 是 (Name 姓名: _____ Account No. 戶口號碼: _____ Relationship 關係: _____)

- (2) Do you control 35% or above of the voting rights of another client of MIBSHK and/or MIBFHK or their subsidiaries, holding company or subsidiaries of the same holding company? (if yes, please specify as below)

貴公司有否持控馬銀證券及/或馬銀期貨或其附屬公司、控股公司或該控股公司之附屬公司之另一客戶 35%或以上之表決權? (如是, 請於下列註明)

No 否 Yes 是 (Name 姓名: _____ Account No. 戶口號碼: _____)

- (3) Are you a licensed corporation / registered institution with the Hong Kong Securities and Futures Commission (SFC)?

貴公司是否香港證券及期貨事務監察委員會(證監會)的持牌法團/註冊機構?

No 否 Yes 是, please specify 請列明: C.E. Number 中央編號 _____

- (4) Are you, yours directors or senior officials a current or former senior official for any level of government, public or statutory body, or political party, or a senior executive of any state-owned enterprise for any city, region or country?

貴公司、貴公司其董事、高級管理人員是否(於現在或過往)為任何城市、區域或國家內任何層次的政府、公營或法定機構或政黨的高層人員或任何國有企業的高級行政人員?

No 否 Yes 是, please specify 請列明: _____

6. INVESTMENT OBJECTIVE AND EXPERIENCE 投資目標及經驗

Investment Objective:

投資目標:

Trading for Profits 為利潤而買賣 Long Term Capital Appreciation 長遠資本增值 Hedging 對沖
 Dividend/Interest Income 股息/利息 Others 其他 (please specify 請註明): _____

Investment Horizon:

投資目標:

Long Term 長線 Medium Term 中線 Short Term 短線

Investment Experience (Years):

投資經驗(年資):

Nil 沒有 Less Than 少於 1 Years 年 1-3 Years 年 3-5 Years 年 Over 超過 5 Years 年

Investment Experience (Stock

Market): 投資經驗(股票市場):

Nil 沒有 Hong Kong 香港股市 China 中國股市
 Developed Markets 已發展市場 Other Emerging Markets 其他新興市場

Investment Experience 投資經驗 (please tick the appropriate box(es) 請在適當空格內加✓號):

| Products 產品 | Frequency of Trade(s) per year 每年交易次數 | | | Estimated Aggregate Product Investment (Past & Present) (HK\$) 估計過往及現在總產品投資值(港幣) | | | |
|------------------------------|--|-----------------|-----------------|---|-----------------|----------------------------------|--|
| | Uninvolved 沒有參與過 | ≤ 50 times 次 | > 50 times 次 | Uninvolved 沒有參與過 | < HK\$8,000,000 | HK\$8,000,000- HK\$49,999,999 | ≥ HK\$50,000,000 or Others HK\$ _____ |
| Securities 證券 | | | | | | | |
| Futures/Options 期貨/期權 | | | | | | | |
| Foreign Exchange 外匯 | | | | | | | |
| Bullion 貴金屬 | | | | | | | |
| Derivative Products* 衍生產品 | | | | | | | |
| Others 其他: _____ | | | | | | | |

* Some examples of derivative products are derivative warrant, callable bull/bear contract, exchange traded fund, equity linked instrument/equity linked note, leveraged and inverse product etc. 衍生產品的例子包括但不限於衍生認股權證、牛熊證、交易所買賣基金、股票掛鈎票據、槓桿及反向產品等。

Do you wish to purchase derivative products?

貴公司是否有意認購衍生產品?

Yes 是 No 否

If yes, please answer the following questions.

若貴公司有意認購衍生產品, 請回答以下問題。

- (1) Are you, your directors, authorized persons or its investment decision makers in general aware of the main risks relating to investing in derivative products? 貴公司、貴公司其董事、被授權人士或投資決策者了解一般衍生產品的主要風險嗎?
 Yes 了解 (Please specify 請注明: _____) No 不了解
- (2) Do your directors, authorized persons or investment decisions makers in general understand the main features of derivative products? 貴公司其董事、被授權人士或投資決策者明白一般衍生產品的主要特徵嗎?
 Yes 明白 (Please specify 請注明: _____) No 不明白
- (3) Have your directors or authorized persons through any academic or professional means including training, learnt about derivative products? 貴公司其董事或被授權人士有沒有從專業或學術途徑上(包括培訓)認識或接觸過衍生產品?
 Yes 有 (Please specify 請注明: _____) No 沒有
- (4) Did your directors or authorized persons execute five or more transactions in any derivative products within the past 3 years? 貴公司其董事或被授權人士有沒有於過去3年內曾進行5次或以上的衍生工具買賣交易?
 Yes 有 (Please provide supporting document, e.g. Statement 請提供文件證明, 如結單) No 沒有
- (5) Do your directors or authorized persons have more than 1 year current or previous working experience related to derivative products? 貴公司其董事或被授權人士現時或過去擁有1年以上有關衍生產品的工作經驗?
 Yes 有 (Please specify 請注明: _____) No 沒有

Other Relevant Investment Experience 其他投資經驗 (if any如有): _____

Internal assessment (to be completed by Account Executive) 內部評估 (由客戶經理填寫)

Having considered all the information, does the Account Applicant have knowledge of derivative products?

考慮所有資料之後, 戶口申請公司有沒有衍生工具知識?

- Yes, the Account Applicant has knowledge of derivatives. 有, 戶口申請公司有衍生工具知識。
 No, the Account Applicant does not have knowledge of derivatives. 沒有, 戶口申請公司沒有衍生工具知識。

7. CHINA CONNECT 中華通

Do you wish to trade China Connect Securities? Yes 是 No 否

If yes, please read and confirm the acknowledgement of China Connect Supplemental Terms and Conditions.

如是, 請閱讀並確認中華通補充條款及細則。

- We confirm we have read through these “CHINA CONNECT SUPPLEMENTAL TERMS AND CONDITIONS” in particular the terms, conditions and risk disclosures. We also confirm that we fully understood the contents of the aforementioned documents and have sought, or have had the opportunity to seek independent professional and legal advice concerning their contents and effect.**

吾等確認已細閱有關中華通補充條款及細則內所載之條款、細則及相關風險披露條文。吾等亦確認已完全明白該條款, 如有需要會徵求對該條款之獨立專業法律意見。

We hereby accept and agree to be bound by the same.

吾等在此接受及同意該條款。

8. BANK ACCOUNT DETAILS 銀行戶口資料

Bank Name and Branch 銀行名稱及分行: _____

Account Holder's Name 戶口持有人姓名: _____

Currency & Type of Account 貨幣及戶口: Currency 貨幣: _____ Saving 儲蓄 Current 支票 Integrated 綜合

Account Number 戶口號碼: _____

9. PERSONS AUTHORIZED TO GIVE DEALING INSTRUCTIONS 獲授權發出買賣指示之人士

(Please provide identity supporting of all persons authorized to give dealing instructions 請提供所有獲授權發出買賣指示之人士之證明文件)

| Name 姓名 | Title 職銜 / Relationship with Client 與客戶之關係 | HKID 香港身份證/ Passport No. 護照號碼 | Contact Tel. No. 聯絡電話 | Residential Address 住宅地址 |
|----------|--|----------------------------------|--------------------------|--------------------------|
| 1. _____ | _____ | _____ | _____ | _____ |
| 2. _____ | _____ | _____ | _____ | _____ |
| 3. _____ | _____ | _____ | _____ | _____ |
| 4. _____ | _____ | _____ | _____ | _____ |

10. SPECIMEN AUTHORISED SIGNATURES 獲授權之簽名式樣

| | |
|---|---------------|
| Name 姓名: Title 職銜/Relationship with client 與客戶之關係: HKID Card 香港身份證/Passport No. 護照號碼: Contact Tel. No. 聯絡電話號碼: | Signature 簽署: |
| Name 姓名: Title 職銜/Relationship with client 與客戶之關係: HKID Card 香港身份證/Passport No. 護照號碼: Contact Tel. No. 聯絡電話號碼: | Signature 簽署: |
| Name 姓名: Title 職銜/Relationship with client 與客戶之關係: HKID Card 香港身份證/Passport No. 護照號碼: Contact Tel. No. 聯絡電話號碼: | Signature 簽署: |
| Name 姓名: Title 職銜/Relationship with client 與客戶之關係: HKID Card 香港身份證/Passport No. 護照號碼: Contact Tel. No. 聯絡電話號碼: | Signature 簽署: |
| Specimen of Company Chop/Seal 公司圖章/印章式樣: | |

Total no. of signatories 簽署人總數: _____

The Account can be operated on the instructions of any 戶口可在任何 _____ signature(s) 個簽署之指示下操作 (if more than one authorized signature 如多於一位授權簽署)

Special Signing Arrangement 特別簽署安排 (if any 如有): _____

11. PRIVACY POLICY 私隱政策

We have carefully read, fully understood and continued to agree to accept and be bound by the Notice to Clients relating to the Personal Data (Privacy) Ordinance set out in the Client Master Agreement.

吾等已仔細閱讀，完成理解並繼續同意接受《客戶綜合協議》內所載之有關個人資料(私隱)條例向客戶發出的通知。

Direct Marketing Authorisation (Applicable to all accounts)

直銷活動授權(適用於所有帳戶)

We consent for MIBSHK and/or MIBFHK to use my personal data in direct marketing, unless we indicate disagreement by ticking in the following box:

除非吾等已剔選✓下方空格，吾等同意馬銀證券及/或馬銀期貨在直銷活動過程中使用本人的個人資料：

We object to the use of my personal data by MIBSHK and/or MIBFHK in direct marketing as specified in the Notice to Clients relating to the Personal Data (Privacy) Ordinance set out in the Client Master Agreement

吾等反對馬銀證券及/或馬銀期貨對本人的個人資料被用作《客戶綜合協議》內所載之有關個人資料(私隱)條例向客戶發出的通知所指的直銷活動

The above represents my present choice whether or not to receive direct marketing contact or information. This replaces any choice communicated by us to MIBSHK and/or MIBFHK prior to this Application.

以上內容代表吾等是否同意馬銀證券及/或馬銀期貨就直銷活動與吾等聯絡或向吾等發送相關資訊的目前意願。以上內容將取代吾等在遞交本申請前通知馬銀證券及/或馬銀期貨的一切原先決定。

12. STANDING AUTHORITY (CLIENT SECURITIES) (APPLICABLE TO SECURITIES MARGIN ACCOUNT)

常設授權(客戶證券)(適用於證券孖展戶口)

- (1) We hereby authorize MIBSHK and/or each associated entity (as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance) of MIBSHK to deal with our securities and securities collateral from time to time purchased or held by MIBSHK and/or any associated entity on our behalf in one or more of the following ways without further notice to or consent from us:
- 吾等同意並授權馬銀證券及/或其有聯繫實體(按《證券及期貨條例》附表 1 第 1 部之有關定義)可於馬銀證券批准本授權當天開始直至及包括隨後十一個月份的最後一天的期間內，以下列一種或多於一種方式處理不時由馬銀證券及/或其任何有聯繫實體代我們購入或持有的證券及證券抵押品，毋須進一步通知或取得我們的同意：
- (a) to apply any of our securities or securities collateral to a securities borrowing and lending agreement; 依據證券借貸協議運用任何有關證券或證券抵押品；
 - (b) to deposit any of the securities collateral with an authorized institution (as defined in the Banking Ordinance (Cap.155 of the Laws of Hong Kong)) as collateral for financial accommodation provided to MIBSHK; 將任何有關證券抵押品存放於認可財務機構，作為提供予馬銀證券的財務通融抵押品；

- (c) to deposit any of the securities collateral with any clearing house recognized under the Securities and Futures Ordinance (such as the HKSCC) or another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of MIBSHK's clearing and settlement obligations and liabilities; and 將任何有關證券抵押品存放於獲香港證券及期貨事務監察委員會認可的結算所或另一獲發牌或獲註冊進行證券交易中介人，作為解除馬銀證券在交收上的義務和清償馬銀證券在交收上的法律責任的抵押品；及
- (d) to treat and deal with the securities and securities collateral in such manner as MIBSHK considers appropriate taking into account any applicable legal or regulatory requirement from time to time. 於顧及任何適用的法律或監管要求的情況下，以馬銀證券認為適當的方式對待及處理有關證券及證券抵押品。
- (2) We hereby acknowledge, and confirm having been informed by MIBSHK, that MIBSHK has the practice of repledging clients' securities and securities collateral. 吾等獲悉及確認馬銀證券將客戶的證券及抵押品再質押的做法。
- (3) This Authority is given to MIBSHK in consideration of MIBSHK agreeing to continue to maintain the Account for the Account Applicant. 此賦予馬銀證券之授權乃鑑於馬銀證券同意繼續維持吾等之戶口。
- (4) This Authority does not cover any consideration. We must pay or be paid for the borrowing, lending or depositing any of the securities of ours. Any such consideration must be set in a separate agreement between us and MIBSHK. 本常設授權並不涵蓋任何代價。本常設授權並不涵蓋馬銀證券借入、貸出或存放吾等任何證券而須支付或收取的任何代價。任何代價均須由吾等與馬銀證券另行簽約訂明。
- (5) We declare, undertake and warrant that we have the absolute ownership of our securities free from all liens, charges and encumbrances during the continuance in force of this Authority. 吾等聲明、承諾及保證，在本授權持續有效期間，吾等擁有證券的絕對擁有權，且不附帶任何留置權、押記或產權負擔。
- (6) We understand that a third party may have rights to our securities, which MIBSHK must satisfy before our securities can be returned to us. 吾等的證券可能受制於第三者之權利，馬銀證券必須於抵償該等權利後，方將吾等的證券交還我們。
- (7) This Authority is valid for a period of up to 12 months from the date of us signing this Client Information Statement and may be renewed on a continuing basis for subsequent periods of not exceeding 12 months if we are given a written notice from MIBSHK at least 14 days prior to the expiry of such authority and we do not object to the renewal of such authority before its expiry. This Authority may be revoked at any time on giving 30 days prior written notice to MIBSHK. Such revocation shall not take effect until 30 days after the day of actual receipt by MIBSHK of such written notice and it shall not affect any transaction undertaken by MIBSHK pursuant to this Authority prior to the effective date of the revocation. 本常設授權以吾等簽署本客戶資料聲明的日期起計十二個月內有效，並可於下列情況予以續期，每次續期可有效十二個月：馬銀證券於該授權有效屆滿前不少於十四日向我們發出書面通知，而我們於該授權有效期屆滿前未有提出反對續期。我們有權隨時以三十天書面通知馬銀證券撤銷此常設授權書。該項撤銷於馬銀證券確實收到撤銷的書面通知當日後第三十日生效，而且馬銀證券按本授權在撤銷生效前所達成的任何交易均不受該項撤銷所影響。
- (8) We hereby agree to indemnify and to keep indemnified, MIBSHK and the group of companies (as defined in the Companies Ordinance (Cap. 622 of the laws of Hong Kong)) to which MIBSHK belongs (or any of them) from and against all losses, damages, interests, costs, expenses, actions, demands, claims or proceedings of whatsoever nature which they (or any of them) may incur, suffer and/or sustain as a consequence of any transaction undertaken in pursuance of this Authority. 我們謹此同意就馬銀證券及其所屬的公司集團（《公司條例》（香港法例第622章）所作之定義）內的成員公司（或其中任何一間公司）因執行本授權而可能產生，蒙受及/或承受的一切虧損、損失、利息、費用、開支、法律訴訟、索求、申索或任何性質的程序向上述公司作出賠償及持續賠償。
- (9) In the event of any difference in interpretation or meaning between the English and Chinese versions of this Authority, we agree that the English version shall prevail. 如本授權中、英文版本在釋義或意思上有不相同，我們同意以英文版本為準。
- (10) We confirm that this Authority has been explained to us and we fully understand the contents of this Authority and have sought, or have had the opportunity to seek legal advice concerning its contents and effect. 吾等確認本授權的內容已向吾等解釋，吾等亦完全明白本授權的內容，並已經或有機會就其內容及效力尋求法律的意見。
- (11) We understand that we are not required by any law to sign this authority but it may be required by MIBSHK, for example, to facilitate margin lending to us or to allow our securities or securities collateral to be lent to or deposited as collateral with third parties. We also understand that if we sign this authority and our securities or securities collateral are lent to or deposited with third parties, MIBSHK shall remain responsible to us for securities or securities collateral lent or deposited under our authority, a default by MIBSHK could result in the loss of our securities or securities collateral. We agree and confirm that MIBSHK and its associated entities shall be entitled to receive and retain for their own benefit and not be accountable to us for any remuneration, income, rebates or other benefits resulting from any dealing with our securities or securities collateral. 吾等明白現時無任何法例規定吾等必須簽署此授權書；然而，馬銀證券可能需要此授權書，以便例如向吾等提供保證金貸款或獲許將有關吾等的證券或證券抵押品借出予第三方或作為抵押品存放於第三方，該等第三方將對吾等的證券或證券抵押品具有留置權或作出押記。雖然馬銀證券根據我們的授權而借出或存放屬於我們的證券或抵押品須對我們負責，但馬銀證券的失責行為可能導致我們損失我們的證券或抵押品。吾等同意並確認馬銀證券及其有聯繫實體有權收取及保留任何由於處置吾等的證券或證券抵押品所產生的任何報酬、收入、回佣或其他利益而無須向吾等負責。

13. STANDING AUTHORITY (CLIENT MONIES) 常設授權 (客戶款項)

We declare, acknowledge, confirm and agree that:

吾等聲明、承認、確認並同意：

- (1) This Authority covers money held or received by MIBSHK and/or MIBFHK (including any interest derived from the holding of the money which does not belong to MIBSHK and/or MIBFHK) in any account maintained by us with MIBSHK and/or MIBFHK, the net equity balance of which exceeds the minimum margin requirements affecting us or that account, as may from time to time be prescribed by law or any relevant regulatory authority (the "Monies"). 本授權涵蓋馬銀證券及/或馬銀期貨為吾等持有或收取並存放於吾等所開立的戶口內的款項(包括持有並非屬於馬銀證券及/或馬銀期貨的款項而產生之任何利息)，其戶口權益淨額超過對該戶口的最低保證金要求，該要求會由法律或其他有關監管機構不時規定("款項")。
- (2) Unless the context otherwise requires, all the expressions used in this Authority shall have the same meanings as in the Securities and Futures Ordinance (Cap. 571 of the Laws of Hong Kong) and the Securities and Futures (Client Money) Rules (Cap. 571I of the Laws of Hong Kong) as amended from time to time. 除文義另有所指外，本授權內的所有詞句任何表達形式，均與《證券及期貨條例》(香港法例第571章)及《證券及期貨(客戶款項)規則》(香港法例第571I章)不時修訂之定義具有相同意思。
- (3) This Authority authorizes MIBSHK and/or MIBFHK to, in your sole discretion and without having to provide us with any prior notice or to obtain any prior confirmation and/or direction from us, to: 本授權授權馬銀證券及/或馬銀期貨按其酌情權，並在毋須事前給予吾等任何通知或取得吾等的確認及/或指示的情況下：
 - (a) Combine or consolidate any or all segregated accounts of any name whatsoever and either individually or jointly with others, maintained by MIBSHK and/or MIBFHK and/or any company(ies) within the group of companies (as defined in the Companies Ordinance) to which you belong ("MIB(HK) Group") for the purpose of satisfying our obligations or liabilities to any member of the MIB(HK) Group, whether such obligations or liabilities are actual or contingent, primary or collateral, secured or unsecured or joint or several; 合併或綜合合併或綜合由馬銀證券及/或馬銀期貨及/或任何貴公司所屬之集團公司(跟據《公司條例》所作之定議)(下稱「馬銀香港集團」)內的成員公司以任何名義所維持的任何或全部獨立帳戶，此等組合或合併活動可以個別地或與其他帳戶聯合進行，以履行吾等對馬銀香港集團任何成員公司的義務或法律責任，無論此等義務或法律責任為確實或或然的、原有或附帶的、有抵押或無抵押的、共同或分別的；
 - (b) Transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by any member of MIB(HK) Group; 在馬銀(香港)集團任何成員於任何時間維持的任何獨立帳戶之間來回調動任何數額之款項；
 - (c) Transfer any sum of Monies interchangeable between any of the segregated accounts maintained at any time by any member of MIB(HK) Group and any segregated accounts maintained with counter-broker (whether in Hong Kong or overseas) upon or before any instructions have been given, for the purpose of satisfying margin requirement and/or settlement requirement (if applicable); 在指示發出或之前，在馬銀(香港)集團任何成員於任何時候所維持的任何獨立帳戶與由交易對手(不論在香港或海外)所維持的任何獨立帳戶之間互相轉移任何金額之款項，以履行保證金規定及/或交收要求(如適用)；
 - (d) Keep our Monies with overseas clearing firm(s), broker(s) and financial institution(s) after trading to facilitate future trading or to transfer our Monies interchangeably between the segregated account(s) opened and maintained by you in Hong Kong and the segregated account(s) opened and maintained by you with any overseas clearing firm(s), broker(s) and financial institution(s) outside Hong Kong; and在完成買賣後，將吾等之款項存放於海外結算所、券商或金融機構，方便日後進行買賣，或在貴行在香港開立及維持的獨立帳戶與貴行在任何海外結算所、券商或金融機構開立及維持的獨立帳戶之間互相轉移吾等之款項；及
 - (e) Convert our Monies into any other currency(ies) upon or before any instructions have been given, for the purpose of satisfying margin requirement and/or settlement requirement (if applicable). 在指示發出或之前，將吾等之款項兌換為任何其他貨幣，以履行保證金規定及/或交收要求(如適用)。
- (4) We acknowledge and agree that you may do any of the things set out in the above without giving notice to me/us. 吾等確認並同意貴行可進行以上所列的任何事項，而毋須向吾等作出通知。
- (5) The Client Money Standing Authority is given without prejudice to other authorities or rights which MIB(HK) Group may have in relation to dealing in Monies in the segregated accounts. 授予客戶款項常設授權並不會損害馬銀(香港)集團任何成員處理該等獨立帳戶款項的其他相關授權或權利。

- (6) The Client Money Standing Authority shall be valid for a period of not more than 12 months from the date of these Additional Terms and will expire annually subject to renewal by you or deemed renewal under the Client Money Rules. 客戶款項常設授權的有效期自此等附加條款日期起計不超過十二個月，惟由貴行重續或根據客戶款項規則而被視作已重續則除外。
- (7) The Client Money Standing Authority may be revoked by giving you written notice addressed to you at your address specified in the Client Information Statement or such other address which you may notify me/us in writing for this purpose. Such notice shall take effect upon the expiry of 7 days from the date of your actual receipt of such notice. 客戶款項常設授權可經由吾等按照客戶資料聲明內註明的客戶服務部地址或貴行就此目的而通知吾等之其他地址，向貴行發出書面通知而撤銷。有關通知將由貴行正式接獲該通知日期起計七天後生效。
- (8) We understand that the Client Money Standing Authority shall be deemed to be renewed on a continuing basis without our written consent if you issue to me/us a written reminder at least 14 days prior to the expiry date of the Client Money Standing Authority, and we do not object to such deemed renewal before such expiry date. 吾等明白，若貴行於客戶款項常設授權的屆滿日前最少十四天向吾等發出書面提示通知，而吾等並無在該屆滿日之前反對該重續，則客戶款項常設授權可被視為在不需要吾等之書面同意下按持續的基準已重續。
- (9) We confirm that this Authority has been explained to us and we fully understand the contents of this Authority and have sought, or have had the opportunity to seek, legal advice concerning its contents and effect. 吾等確認吾等就本授權的內容已獲得解釋，並且完全明白本授權的內容，或吾等已經或曾被賦予機會，就本授權內容及效力尋求法律顧問的意見。

14. ACKNOWLEDGEMENT BY CUSTOMER AND PRIVACY POLICY 客戶確認及私隱政策

To: MIBSHK and/or MIBFHK

致：馬銀證券及 / 或馬銀期貨

We declare, acknowledge, confirm and agree that:

吾等聲明、承認、確認並同意：

- (1) The information and representations contained in this Client Information Statement are true, complete and correct, and that MIBSHK and/or MIBFHK are entitled to rely fully on such information and representations for all purposes, unless and until MIBSHK/MIBFHK receives notice in writing from us of any change. MIBSHK and/or MIBFHK is authorized at any time to contact anyone, including banks, brokers or any credit agency, for the purposes of verifying the information provided on this Account Opening Application Form. 本客戶資料聲明所載的資料和陳述乃真實、完整及正確，除非馬銀證券及/或馬銀期貨獲獲吾等發出關於任何變更的書面通知，否則馬銀證券及/或馬銀期貨有權就一切目的全面信賴該等資料及陳述。馬銀證券及/或馬銀期貨獲授權隨時聯絡任何人士，包括銀行或任何信用調查機構，以查核此開戶申請表所提供之資料。
- (2) We, the undersigned client(s) understand that our submission of this Client Information Statement and the acceptance of this account opening application by MIBSHK and/or MIBFHK in no way implies approval for opening of the account for the Client and reserves the unconditional right to reject this application. 吾等，下述簽署客戶明白遞交此客戶資料聲明及馬銀證券及/或馬銀期貨接納此開戶申請表並非意味著馬銀證券及/或馬銀期貨表示同意開立證券帳戶予我們。馬銀證券及/或馬銀期貨保留無條件拒絕我們的開戶申請之權力。
- (3) We hereby declare that unless specifically stated otherwise, we are the person(s) who is/are ultimately responsible for originating the Instructions and unless specifically stated otherwise, we are the person(s) who stand(s) to gain the commercial/economic benefit of the transaction and/or bear the commercial/economic risk. 吾等特此聲明，除非另有明確述明，否則吾等是最終負責發出指示的人，而且除非另有述明，否則吾等是從交易取得商業/經濟利益及/或承擔其商業/經濟風險的人。
- (4) The Account(s) and the provision of services by MIBSHK and/or MIBFHK are subject to this Client Information Statement and the Terms and Conditions of the Client Master Agreement (including all Additional Terms) as amended by MIBSHK and/or MIBFHK from time to time (together the "Agreement"). We confirm that we have read and understood the Agreement and agree to be bound by, the terms and conditions as currently set forth in the Agreement. We have been invited to read the Risk Disclosure Statement contained in each of the said Additional Terms and Additional Risk associated with Derivative Product / Structured Product, to ask questions and to take independent advice if we wish. Unless the context requires otherwise, terms and expressions used and defined in the Client Master Agreement shall have the same meaning when used herein. 帳戶以及馬銀證券及/或馬銀期貨提供之服務，均須受本客戶資料聲明並受馬銀證券及/或馬銀期貨不時修訂的客戶綜合協議(包括所有附加條款)的條款及細則(合稱「協議書」)所約束。吾等確認吾等已閱讀和明白協議書，並同意受協議書目前所列的條款及條件所約束。吾等確認吾等已獲提供每份所述附加條款內載之風險披露聲明及衍生產品/結構性產品相關的額外風險，而吾等亦已獲邀細閱其內容、提出問題及徵求獨立的意見(如吾等有此意願)。除非上下文另有規定，否則客戶綜合協議所使用和定義的詞語在用於本開戶申請表時具有相同意義。
- (5) We have full power and authority to enter into the Agreement in all aspects without limitation and that this Agreement has been duly authorized, executed and delivered by us, constitutes our legal, valid and binding obligation and does not violate the terms of any constitutional documents and agreements to which we are subject. 我們在各方面不受限制地擁有簽訂協議書的全部權力和授權，而本協議書已由我們正式認可、簽訂和交付，構成我們的合法、有效和具約束力的義務，且沒有違反我們受之約束的任何組織性文件和協議。

- (6) We will not create any charge, pledge or encumbrance over the whole or any part of the Account(s) during the term of the Agreement.
我們在協議書的期限內不會對帳戶的整體或任何部分設置任何押記、質押或產權負擔。
- (7) By signing this Client Information Statement, we hereby authorise MIBSHK and/or MIBFHK to accept Instructions from us or the authorised person(s) as set out in the Schedule ("Authorized Person(s)"), acting singly but the MIBSHK and/or MIBFHK may, in its sole discretion, insist that it will act only on the Instruction of the account holder to operate the Account(s). Authorized Person(s) has/have full authority to enter into the Agreement on our behalf, and that we shall indemnify and hold harmless MIBSHK and/or MIBFHK from all loss arising out of or in connection with the Agreement in the event of any breach of this warranty. 通過簽署本開戶申請表，我們特此授權馬銀證券及/或馬銀期貨從我們或從附錄列明的獲授權人（「獲授權人」）接受指示，獲授權人可單獨行事，但馬銀證券及/或馬銀期貨可按其全權酌情決定堅持僅按帳戶持有人的指示行事以操作帳戶。獲授權人擁有全部授權代表我們簽署協議書，如本保證被違反致使馬銀證券及/或馬銀期貨因協議書招致損失或遭受與協議書有關的損失，我們應彌償馬銀證券及/或馬銀期貨並使其不受損害。
- (8) Any of the Authorized Person(s) is/are hereby authorized to act on our behalf in respect of all matters relating to the Agreement and the Account(s) and to give MIBSHK and/or MIBFHK directions, Instructions of whatever nature relating to the Account(s), specifically but without limitation to the foregoing:
任何上述之獲授權人特此獲得授權就協議書和帳戶的所有事宜代表我們行事，並就帳戶向馬銀證券及/或馬銀期貨作出任何性質的指令、指示，具體地包括但不限於下列各項：
- (a) to give instructions to MIBSHK and/or MIBFHK to buy, sell and otherwise through MIBSHK and/or MIBFHK deal in Securities or otherwise; 向馬銀證券及/或馬銀期貨作出指示，通過馬銀證券及/或馬銀期貨以進行證券或其他投資產品買賣及交易；
 - (b) to receive on our behalf any demands, notices, confirmations, reports, statements of accounts and communications of every kind;
代表我們收取各種要求書、通知、確認書、報告、帳戶結單和通訊；
 - (c) to receive on our behalf of money, Securities and property of every kind, and to dispose of the same;
代表我們收取和變賣款項、股票和任何財物；
 - (d) to make on our behalf any agreement relating to any of the foregoing matters and to terminate or modify same or waive any of the provisions thereof;
and 代表我們就上述任何事宜作出任何協議，終止或修改該協議或免除其任何條款；及
 - (e) generally, to deal with MIBSHK and/or MIBFHK on our behalf;
代表我們一般地與馬銀證券及/或馬銀期貨進行交易；
- (9) Any Instructions given or purported to be given to MIBSHK and/or MIBFHK by the Authorized Person(s) shall at all times be binding on us regardless of whether any such person giving Instructions has our actual authority to do so at the time of such Instructions. We hereby agree to ratify at any time all acts and deeds, directions, orders or Instructions given by any or all of the Authorized Person(s) and acknowledge that the same shall at all times be binding on us. 獲授權人給予或看來是由獲授權人給予馬銀證券及/或馬銀期貨的任何指示，在任何時候都對我們具約束力，不論給予指示的人在給予該指示時是否獲得我們的實際授權這樣做。我們特此同意在任何時候追認任何或所有獲授權人作出的所有行為和作為、給予的指令、命令或指示，並確認該等行為和作為、指令、命令或指示在任何時候均對我們具約束力。
- (10) We confirm that above Standing Authority (Client Monies) and/or Standing Authority (Client Securities) (if applicable) has been explained to us and we fully understand the contents of this Authority and have sought, or have had the opportunity to seek, legal advice concerning its contents and effect.
吾等確認吾等就以上常設授權（客戶款項）及/或常設授權（客戶證券）（如適用）的內容已獲得解釋，並且完全明白本授權的內容，或吾等已經或會被賦予機會，就本授權內容及效力尋求法律顧問的意見。
- (11) We have received, read and understood the Terms and Conditions contained therein the Client Master Agreement with Additional Term (Where applicable to the relevant Account(s) we are/ will be opening), And we accept and agree to be bound by these terms, of which the Client Master Agreement and Additional Terms have been provided to me/us in the language of my/our choice, and we have been invited to read the risk disclosure statements set out in the Client Master Agreement, to ask questions and to take independent advice if we wish.
吾等已收到、閱讀及明白《客戶綜合協議》及附加條款（適用於吾等已開立/將開立的有關戶口），而吾等接納並同意受該等條款約束而該《客戶綜合協議》及附加條款已就吾等所選擇之語言向吾等提供。吾等並已被邀細閱《客戶綜合協議》內所載之風險披露聲明、提出問題及徵求獨立的意見（如吾等有此意願）。
- (12) We confirm that we have been provided and agreed with the Commission and Fee Schedule of MIBSHK and/or MIBFHK.
吾等確認吾等已收取及同意馬銀證券及/或馬銀期貨的佣金及收費表。
- (13) In the event of any difference in interpretation or meaning between the English and Chinese version of this Client Information Statement, the English version shall prevail. 如本客戶資料聲明中、英文本之解釋或意思有任何歧義，概以英文本為準。

- (14) We understand that the details of your employee(s) primarily responsible for my affairs under the Securities Account / Commodities Account is/are:
吾等知道主要負責吾等之證券/商品戶口事務之僱員之資料為:

Name of Employee 僱員姓名

Type of Registration 註冊種類

C.E. Number 中央編號

15. CROSS-BORDER CORRESPONDENT RELATIONSHIPS 跨境代理關係

- 15.1 Are you a financial institution located outside Hong Kong? Yes 是 No 否 (Please skip 15.2 and 15.3)

你是否位於香港以外地方的金融機構?

- 15.2 If your answer to 15.1 is affirmative, do you allow your underlying clients (not being our customers) to directly access and operate the correspondent account? (e.g. You permit your underlying clients to submit orders directly to us for execution.)

如是, 你的客戶 (非我們的客戶) 是否獲容許直接使用及操作此代理戶口? Yes 是 No 否 (Please skip 15.3)

- 15.3 If your answer to 15.2 is affirmative, please make declaration pursuant to para. 4.20.12 of the SFC AML Guideline by checking the box below.

如是, 請勾選下方的空格以作出根據證監會打擊洗錢及恐怖分子資金籌集指引 4.20.12章所規定的聲明:

We hereby declare that:

我們謹此聲明:

- i) We have conducted customer due diligence on our underlying clients having direct access to the correspondent account, including verifying their identities and continuously monitoring its business relationships with them, in accordance with requirements similar to those imposed under the Anti-Money Laundering and Counter-Terrorist Financing Ordinance (Cap. 615) ("AMLO");

我們已根據與《打擊洗錢條例》所施加相類似的規定, 對能夠直接使用我們在貴行開立的戶口的相關客戶進行客戶盡職審查, 包括核實他們的身份及持續監察其與他們的業務關係。

- ii) We do not and will not permit any shell financial institutions (as defined in para 4.20.16 of SFC AML Guideline) to directly access and operate the Account; and 我們並不准許空殼金融機構使用我們在貴行開立的戶口。

- iii) We will, upon your request, provide documents, data or information obtained by the respondent institution in relation to those customers in accordance with requirements similar to those imposed under the AMLO.

我們將按照與《打擊洗錢條例》所施加相類似的規定, 應你們的要求提供受代理機構就該等客戶取得的文件、數據或資料。

We acknowledge and agree to the above. 吾等確認並同意以上內容。

Client Signature 客戶簽署

Witness Signature 見證人簽署

Authorised Signature 授權簽署 (with Company chop 須加蓋公司圖章)

Date 日期:

Signature 簽署

Name 姓名:

Occupation 職業:

Address 地址:

Date 日期:

16. DECLARATION BY ACCOUNT EXECUTIVE 客戶經理聲明

I confirm that I have provided the Client Master Agreement in the language of the above client's choice to the above client and that I have invited the client to read the risk disclosure statements set out in the Client Master Agreement, to ask questions and to take independent advice if the client wishes.

本人確認本人已以客戶所選擇之語言向以上客戶提供客戶綜合協議，並已邀其細閱客戶綜合協議內所載之風險披露聲明、提出問題及徵求獨立的意見(如客戶有此意願)。

Signature 簽署

Full name of Licensed Person 持牌人士之全名: _____

C.E. Number 中央編號: _____

Date 日期: _____

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| Received Parties | AE | Team Head & Responsible Officer | Doc. Check (CS) | Data Input | Data Input Verified | Enable Internet Service |
|------------------|----|---------------------------------|-----------------|------------|---------------------|-------------------------|
| Name | | | | | | |
| Sign | | | | | | |
| Date | | | | | | |