

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
馬銀證券(香港)有限公司
MIB Futures (Hong Kong) Limited
馬銀期貨(香港)有限公司
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
(Individual/Joint Account 個人/聯名戶口)

Individual Account 個人戶口

Joint Account 聯名戶口 of _____ (Relationship of the Joint Account Holders 聯名戶口持有人關係: _____)

- Note 註:
1. Please use separate Client Information Statement for each joint account holder. 每一聯名戶口持有人必須分別填寫一份客戶資料聲明。
 2. The Account Applicant must complete the "Self-Certification Form - Individual" which forms a part of this Account Opening Document. 戶口申請人必須完成「自我證明表格-個人」, 該表格構成本開戶文件的一部份。
 3. Please tick the appropriate box(es) and delete as appropriate for item with *. 請在適當空格內加✓號及於*項目刪去不適用者。

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)
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	
Preferred Language of Communication 通訊選擇語言:	<input type="checkbox"/> Chinese 中文 <input type="checkbox"/> English 英文	

2. PERSONAL INFORMATION 個人資料

Name: _____
Mr/Mrs/Miss/Ms*
姓名: _____
先生/太太/小姐/女士*

Surname _____ Given Name _____
姓 名

Nationality: _____
國籍: _____

ID/Passport Number* and its Country of Issue: _____
身份證/護照號碼*及其簽發國家: _____
Number 號碼 _____ Country of Issue 簽發國家 _____

Date of Birth (dd/mm/yy): _____ Place of birth: _____ Marital Status: _____
出生日期(日日/月月/年年): _____ 出生地點: _____ 婚姻狀況: _____

Tel.: (Home) _____ (Mobile) _____ (Office) _____
電話:(住宅) _____ (手提) _____ (辦公室) _____

Status of Residential Address: _____
居住狀況: Self-Owned 自置 Rented 租住 Family 家人購買 Mortgaged 按揭

Residential Address: _____ Postal Code 郵編 _____
住宅地址: _____

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

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: _____

3. 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: _____

4. EMPLOYMENT INFORMATION & FINANCIAL POSITION 職業詳情及財政狀況

Name of Employer: 僱主名稱:	please state: (employer industry/ employment status e.g. self-employed) 請註明:(僱主行業/就業狀況, 例如自僱人士)	Occupation: 職業:	Length of Service: 服務年期:
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"/> Salary 薪金 <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): _____		
Gross Annual Income (HK\$): 每年總收入(港元):	<input type="checkbox"/> ≤ HK\$200,000 <input type="checkbox"/> HK\$200,001-HK\$499,999 <input type="checkbox"/> HK\$500,000-HK\$999,999 <input type="checkbox"/> HK\$1,000,000-HK\$1,999,999 <input type="checkbox"/> HK\$2,000,000-HK\$4,999,999 <input type="checkbox"/> ≥ HK\$5,000,000		
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 (i) a director or employee or accredited person of an exchange participant of the Stock Exchange of Hong Kong Limited ("Stock Exchange") or (ii) a licensed or registered person, or (iii) an employee of a licensed or registered person of the Securities and Futures Commission ("SFC")? (if yes, please state the name of exchange participant of the Stock Exchange or licensed or registered person of the SFC below. Please provide the written consent of your employer to your opening of account(s) with MIBSHK and/or MIBFHK and you agree that MIBSHK and/or MIBFHK may provide your employer with duplicate of your trade confirmations and/or statements of account upon its request)
閣下是否 (i) 香港聯合交易所有限公司(「聯交所」)之交易所參與者之董事或僱員或隸屬人士或 (ii) 證券及期貨事務監察委員會(「證監會」)之持牌人士或註冊人士或(iii) 證監會之持牌人士或註冊人士的僱員? (如是, 請於下列註明聯交所交易所參與者或證監會持牌人士或註冊人士之姓名。請提供閣下僱主就閣下於馬銀證券及/或馬銀期貨開立戶口之同意書, 而閣下同意馬銀證券及/或馬銀期貨可應閣下僱主之要求向其提供閣下之交易確認書及/或戶口結單之複本)
- No 否 Yes 是 (Please specify 請註明: Name 姓名 _____ CE Number 中央編號 _____)
- (2) Are you related to any employee or director or any other clients of MIBSHK 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)
閣下是否與馬銀證券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: _____)
- (3) Do you and/or your spouse control 35% or above of the voting rights of another client of MIBSHK or MIBFHK or their subsidiaries, holding company or subsidiaries of the same holding company? (if yes, please specify as below)
閣下及/或閣下之配偶有否持控馬銀證券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: _____)
- (4) Are you and/or your spouse 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?
閣下及/或閣下之配偶是否(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. ACCOUNT ULTIMATE BENEFICIAL OWNERSHIP INFORMATION 戶口最終實益擁有人資料

Are you the ultimate beneficial owner(s) of the account (i.e. the person or entity (legal or otherwise) ultimately responsible for originating the instruction in relation to transaction(s); and that stands to gain the commercial or economic benefit of the transaction and/or bear its commercial or economic risk)?
閣下是否戶口的最終實益擁有人(即最終為所發出與交易有關的指示負責、獲取交易在商業或經濟上的利益及/或承擔其商業或經濟上的風險之人士或實體(法律上或其他方面))?

Yes 是 No 否 (If no, please provide the full details of the beneficial owner(s) 如若, 請註明實益擁有人之詳細資料)

Name: Mr/Mrs/Miss/Ms*	Surname	Given Name
姓名: 先生/太太/小姐/女士*	姓 名	Nationality: 國籍:
ID/Passport Number* and its Country of Issue: 身份證/護照號碼*及其簽發國家:	Number 號碼	Country of Issue 簽發國家

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

Investment Objective : 投資目標:	<input type="checkbox"/> Stable Growth 平穩增長 <input type="checkbox"/> High Growth 高速增長 <input type="checkbox"/> Balanced Growth 均衡增長 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Others 其他 (please specify 請註明): _____
Investment Horizon: 投資目標:	<input type="checkbox"/> Long Term 長線 <input type="checkbox"/> Medium Term 中線 <input type="checkbox"/> Short Term 短線
Investment Experience (Stock Market): 投資經驗(股票市場):	<input type="checkbox"/> Nil 沒有 <input type="checkbox"/> Hong Kong 香港股市 <input type="checkbox"/> China 中國股市 <input type="checkbox"/> Developed Markets 已發展市場: _____ <input type="checkbox"/> 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? Yes 是 No 否
閣下是否有意認購衍生產品?

If yes, please answer the following questions.
閣下有意認購衍生產品，請回答以下問題。

- Are you aware of the main risks relating to investing in derivative products? 閣下了解一般衍生產品的主要風險嗎?
 Yes 了解 (Please specify 請註明: _____) No 不了解
- Do you in general understand the main features of derivative products? 閣下明白一般衍生產品的主要特徵嗎?
 Yes 明白 (Please specify 請註明: _____) No 不明白
- Have you through any academic or professional means including training, learnt about derivative products? 閣下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 請註明: _____) No 沒有
- Did you execute five or more transactions in any derivative products within the past 3 years? 閣下有沒有於過去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
- Do you have more than 1 year current or previous working experience related to derivative products? 閣下現時或過去擁有1年以上有關衍生產品的工作經驗?
 Yes 有 (Please specify 請註明: _____) No 沒有

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

8. 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。

- I/We confirm I/we have read through these “CHINA CONNECT SUPPLEMENTAL TERMS AND CONDITIONS” in particular the terms, conditions and risk disclosures I/we signify my/our consent for MIB Securities (Hong Kong) Limited to use my/our personal data on the terms of and for the purposes set out in the Personal Information Collection Statement concerning Northbound China Connect Orders. I/We also confirm that I/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. 本人/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。本人/吾等表示本人/吾等同意馬銀證券(香港)有限公司根據關於中華通北向交易個人資料收集聲明中的條款和目的使用本人/吾等之個人資料。本人/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。

I/We hereby accept and agree to be bound by the same. 本人/吾等在此接受及同意該條款。

9. Self-Certification of Common Reporting Standard 共同匯報標準自我證明

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

請提供以下資料，列明(a) 帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區(香港包括在內)及 (b) 該居留司法管轄區發給帳戶持有人的稅務編號。列出所有(不限於 5 個)居留司法管轄區。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.
如帳戶持有人的稅務居民，稅務編號是其香港身份證號碼。

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

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

理由 A – 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

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

理由 B – 帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得稅務編號的原因。

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

理由 C – 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號，填寫理由A、B 或 C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選取理由B，解釋帳戶持有人不能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			
(5)			

10. PRIVACY POLICY 私隱政策

I/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.

本人/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。

Consent on Use of Personal Data in Direct Marketing (Applicable to all accounts)

同意使用個人資料作直接促銷(適用於所有帳戶)

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

除非本人/吾等已剔選✓下方空格，本人/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：

I/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

本人/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 me/us to MIBSHK and/or MIBFHK prior to this Application.

以上內容代表本人/吾等是否同意馬銀證券及/或馬銀期貨就直銷活動與本人/吾等聯絡或向本人/吾等發送相關資訊的目前意願。以上內容將取代本人/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。

In the future, if I/we do not wish MIBSHK / MIBFHK to use or provide my/our data to other persons for the use in direct marketing, I/we may exercise my/our opt-out right by notifying our Customer Service Department by email (Email Address: CustomerServices@mib.com.hk).

如本人/吾等將來不希望馬銀證券/馬銀期貨使用或提供本人/吾等的資料給他人作直接促銷，會以電郵通知客戶服務部取消(電郵地址: CustomerServices@mib.com.hk)。

11. 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) I/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:-
本人/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) I/We hereby acknowledge, and confirm having been informed by MIBSHK, that MIBSHK has the practice of repledging clients' securities and securities collateral. 本人/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 me/us. 此賦予馬銀證券之授權乃鑑於馬銀證券同意繼續維持本人/吾等之戶口。
- (4) This Authority does not cover any consideration. I/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。任何代價均須由本人/吾等與馬銀證券另行簽約訂明。
- (5) I/We declare, undertake and warrant that I/we have the absolute ownership of our securities free from all liens, charges and encumbrances during the continuance in force of this Authority. 本人/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) I/We understand that a third party may have rights to our securities, which MIBSHK must satisfy before our securities can be returned to me/us. 本人/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，方將本人/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 my/our signing this Client Information Statement and may be renewed on a continuing basis for subsequent periods of not exceeding 12 months if I/we are given a written notice from MIBSHK at least 14 days prior to the expiry of such authority and I/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. 本常設授權以本人/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本人/吾等發出書面通知，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) I/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. 本人/吾等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, I/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，本人/吾等同意以英文版本為準。
- (10) I/We confirm that this Authority has been explained to me/us and I/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. 本人/吾等確認本授權的內容已向吾等解釋，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) I/We understand that I/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 me/us or to allow our securities or securities collateral to be lent to or deposited as collateral with third parties. I/We also understand that if I/we sign this authority and our securities or securities collateral are lent to or deposited with third parties, MIBSHK shall remain responsible to me/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. I/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 me/us for any remuneration, income, rebates or other benefits resulting from any dealing with our securities or securities collateral. 本人/吾等明白現時無任何法例規定本人/吾等必須簽署此授權書；然而，馬銀證券可能需要此授權書，以便例如向本人/吾等提供保證金貸款或獲許將有關本人/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，該等第三方將對本人/吾等的證券或證券抵押品具有留置權或作出押記。雖然馬銀證券根據本人/吾等的授權而借出或存放屬於本人/吾等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本人/吾等損失我們的證券或抵押品。本人/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本人/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本人/吾等負責。

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

I/We declare, acknowledge, confirm and agree that:
本人/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/或馬銀期貨為本人/吾等持有或收取並存放於本人/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 me/us with any prior notice or to obtain any prior confirmation and/or direction from me/us, to: 本授權授權馬銀證券及/或馬銀期貨按其酌情權, 並在毋須事前給予本人/吾等任何通知或取得本人/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 my/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》所作之定義)(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, 以履行本人/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 my/our Monies with overseas clearing firm(s), broker(s) and financial institution(s) after trading to facilitate future trading or to transfer my/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; 和在完成買賣後, 將本人/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, 或在實行在香港開立及維持的獨立帳戶與實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本人/吾等之款項; 及
 - (e) Convert my/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, 將本人/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) I/We acknowledge and agree that you may do any of the things set out in the above without giving notice to me/us. 本人/吾等確認並同意貴行可進行以上所列的任何事項, 而毋須向本人/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本人/吾等按照客戶資料聲明內註明的客戶服務部地址或實行就此目的而通知本人/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) I/We understand that the Client Money Standing Authority shall be deemed to be renewed on a continuing basis without my/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 I/we do not object to such deemed renewal before such expiry date. 本人/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本人/吾等發出書面提示通知, 而本人/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本人/吾等之書面同意下按持續的基準已重續。
- (9) I/We confirm that this Authority has been explained to me/us and I/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. 本人/吾等確認本人/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, 或本人/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。

13. 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

I/We declare, acknowledge, confirm and agree that:

本人/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 me/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/或馬銀期貨接獲本人/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) I/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.
本人/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本人/吾等。馬銀證券及/或馬銀期貨保留無條件拒絕本人/吾等的開戶申請之權力。
- (3) I/We hereby declare that unless specifically stated otherwise, I/we are the person(s) who is/are ultimately responsible for originating the Instructions and unless specifically stated otherwise, I/we are the person(s) who stand(s) to gain the commercial/economic benefit of the transaction and/or bear the commercial/economic risk.
本人/吾等特此聲明，除非另有明確述明，否則本人/吾等是最終負責發出指示的人，而且除非另有述明，否則本人/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"). I/We confirm that I/we have read and understood the Agreement and agree to be bound by, the terms and conditions as currently set forth in the Agreement. I/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 I/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。本人/吾等確認本人/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。本人/吾等確認本人/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，而本人/吾等亦已獲邀細閱其內容、提出問題及徵求獨立的意見(如本人/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) I/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 I/we am/are subject.
本人/吾等在各方面不受限制地擁有簽訂協議書的全部權力和授權，而本協議書已由本人/吾等正式認可、簽訂和交付，構成本人/吾等的合法、有效和具約束力的義務，且沒有違反本人/吾等受之約束的任何組織性文件和協議。
- (6) I/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.
本人/吾等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, I/we hereby authorise MIBSHK and/or MIBFHK to accept Instructions from me/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 my/our behalf, and that I/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，本人/吾等特此授權馬銀證券及/或馬銀期貨從本人/吾等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本人/吾等簽署協議書，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，本人/吾等應彌償馬銀證券及/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 my/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本人/吾等行事，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 my/our behalf any demands, notices, confirmations, reports, statements of accounts and communications of every kind;
代表本人/吾等收取各種要求書、通知、確認書、報告、帳戶結單和通訊；
 - (c) to receive on my/our behalf of money, Securities and property of every kind, and to dispose of the same;
代表本人/吾等收取和變賣款項、股票和任何財物；
 - (d) to make on my/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
代表本人/吾等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 my/our behalf;
代表本人/吾等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 me/us regardless of whether any such person giving Instructions has my/our actual authority to do so at the time of such Instructions. I/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 me/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，在任何時候都對本人/吾等具約束力，不論給予指示的人在給予該指示時是否獲得本人/吾等的實際授權這樣做。本人/吾等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本人/吾等具約束力。
- (10) I/We confirm that above Standing Authority (Client Monies) and/or Standing Authority (Client Securities) (if applicable) has been explained to me/us and I/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.
本人/吾等確認本人/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，或本人/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。
- (11) I/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) I/we are/ will be opening), And I/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 I/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 I/we wish.

本人/吾等已收到、閱讀及明白《客戶綜合協議》及附加條款(適用於本人/吾等已開立/將開立的有關戶口), 而本人/吾等接納並同意受該等條款約束而該《客戶綜合協議》及附加條款已就本人/吾等所選擇之語言向本人/吾等提供。本人/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(如本人/吾等有此意願)。

- (12) I/We confirm that we have been provided and agreed with the Commission and Fee Schedule of MIBSHK and/or MIBFHK.
本人/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) I/We hereby acknowledge I/we have read and understood the content of the Personal Information Collection Statement concerning Hong Kong Investor Identification Regime (HKIDR) and Over-the-counter Securities Transactions Reporting Regime (OTCR) as mentioned in the Client Master Agreement. I/we signify my/our consent for MIBSHK to use my/our personal data on the terms of and for the purposes set out in the Personal Information Collection Statement concerning HKIDR and OTCR.
本人/吾等確認本人/吾等已閱讀並了解馬銀證券的香港投資者識別碼制度及場外證券交易匯報制度個人資料收集聲明的內容。本人/吾等表示本人/吾等同意馬銀證券根據關於香港投資者識別碼制度及場外證券交易匯報制度個人資料收集聲明中的條款和目的使用本人/吾等之個人資料。
- (15) I/We hereby acknowledge and agree that (a) the information contained in this form is collected and may be kept by MIBSHK / MIBFHK 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 MIB to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another country or 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/吾等知悉及同意, 馬銀證券/或馬銀期貨可根據《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。
- (16) I/We hereby undertake to advise MIB of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide MIBSHK / MIBFHK with a suitably updated self-certification form within 30 days of such change in circumstances.
本人/吾等承諾, 如情況有所改變, 以致影響本表格第1部所述的實體的稅務居民身分, 或引致本表格所載的資料不正確, 本人/吾等會通知馬銀證券/或馬銀期貨, 並會在情況發生改變後30日內, 向馬銀證券/或馬銀期貨提交一份已適當更新的自我證明表格。
- (17) I/We understand that the details of your employee(s) primarily responsible for my/our affairs under the Securities Account / Commodities Account is/are:
本人/吾等知道主要負責本人/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

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

Client Signature 客戶簽署

Witness Signature 見證人簽署

Signature Specimen 簽署式樣*

Date 日期:

The Account can be operated on the instructions of any _____ signature(s)

戶口可在任何 _____ 個簽署之指示下操作 (if in joint names 如屬聯名)

Signature 簽署

Name 姓名:

Occupation 職業:

Address 地址:

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，戶口申請人有沒有衍生工具知識?

- Yes, the Account Applicant has knowledge of derivatives. 有，戶口申請人有衍生工具知識。
 No, the Account Applicant does not have knowledge of derivatives. 沒有，戶口申請人沒有衍生工具知識。

13. 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: _____

For Office Use Only 只供本行使用

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