



Account No. 帳戶號碼: \_\_\_\_\_

## CLIENT INFORMATION STATEMENT – INDIVIDUAL/JOINT ACCOUNT

### 客戶資料表 - 個人或聯名帳戶

#### I. Main Account Holder 主要戶口持有人

##### A. Personal Information 個人資料

Mr. 先生       Mrs. 太太       Ms. 小姐

English Name 英文姓名: \_\_\_\_\_

Chinese Name 中文姓名: \_\_\_\_\_

ID Card No. 身份證號碼 / \_\_\_\_\_

Passport No. 護照號碼: \_\_\_\_\_

Place Issue of Passport 護照簽發地 \_\_\_\_\_

Date of Birth (dd/mm/yyyy) \_\_\_\_\_

出生日期 (日/月/年): \_\_\_\_\_

Marital Status 婚姻狀況: \_\_\_\_\_

Nationality 國籍: \_\_\_\_\_

Residential Address 住址: \_\_\_\_\_

\_\_\_\_\_

Type of residence 居所類別:       Living with family 與家人同住

Self-owned 自置     Mortgaged 按揭     Rented 租住     Others 其他

Home Tel 住宅電話: \_\_\_\_\_

Mobile 手機 / WhatsApp: \_\_\_\_\_

WeChat ID 微信帳戶號碼: \_\_\_\_\_

Fax 傳真: \_\_\_\_\_

Email 電郵: \_\_\_\_\_

Correspondence Address if different from above (Please provide Address Proof  
within 3 months)

通訊地址如與上述地址不同 (請提供 3 個月內地址證明):

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

#### II. Joint Account Holder 聯名戶口持有人

##### A. Personal Information 個人資料

Mr. 先生       Mrs. 太太       Ms. 小姐

English Name 英文姓名: \_\_\_\_\_

Chinese Name 中文姓名: \_\_\_\_\_

ID Card No. 身份證號碼 / \_\_\_\_\_

Passport No. 護照號碼: \_\_\_\_\_

Place Issue of Passport 護照簽發地 \_\_\_\_\_

Date of Birth (dd/mm/yyyy) \_\_\_\_\_

出生日期 (日/月/年): \_\_\_\_\_

Marital Status 婚姻狀況 \_\_\_\_\_

Nationality 國籍: \_\_\_\_\_

Residential Address 住址: \_\_\_\_\_

\_\_\_\_\_

Type of residence 居所類別:       Living with family 與家人同住

Self-owned 自置     Mortgaged 按揭     Rented 租住     Others 其他

Home Tel 住宅電話: \_\_\_\_\_

Mobile 手機 / WhatsApp: \_\_\_\_\_

WeChat ID 微信帳戶號碼: \_\_\_\_\_

Fax 傳真: \_\_\_\_\_

Email 電郵: \_\_\_\_\_

**B. Occupation Information 就業資料**Employed 受僱 Self-employed 自僱Retired 退休 Unemployed 待業 Others \_\_\_\_\_

Company Name 公司名稱： \_\_\_\_\_

Nature of Business 業務性質： \_\_\_\_\_

Position 職位： \_\_\_\_\_

Company Address 公司地址： \_\_\_\_\_

Years in service in current company

在現職公司服務年數： \_\_\_\_\_

Years in service in current position

在現職業服務年數： \_\_\_\_\_

Office Tel 辦公室電話： \_\_\_\_\_

**B. Occupation Information 就業資料**Employed 受僱 Self-employed 自僱Retired 退休 Unemployed 待業 Others \_\_\_\_\_

Company Name 公司名稱： \_\_\_\_\_

Nature of Business 業務性質： \_\_\_\_\_

Position 職位： \_\_\_\_\_

Company Address 公司地址： \_\_\_\_\_

Years in service in current company

在現職公司服務年數： \_\_\_\_\_

Years in service in current position

在現職業服務年數： \_\_\_\_\_

Office Tel 辦公室電話： \_\_\_\_\_

**C. Bank Information 銀行資料**

Bank Name 銀行名稱： \_\_\_\_\_

Bank Address (for overseas bank only)

銀行地址 (海外銀行戶口方須填寫)： \_\_\_\_\_

Bank Account Holder's Name 銀行戶口名稱： \_\_\_\_\_

Account No. 戶口號碼： \_\_\_\_\_ Currency 貨幣： \_\_\_\_\_

**D. Financial Background (If Joint Account, check box based on combined information)****財務背景 (聯名戶口持有人合併計算)**Annual Income HK\$ 0-120,000 HK\$ 120,001-360,000 HK\$ 360,001-600,000每年收入：HK\$ 600,001-1,200,000 Over 高於 HK\$ 1,200,000Source of income Salary 薪金 Investment profit 投資盈利 Rental 租金收入收入來源：Others, Please Specify 其他，請說明： \_\_\_\_\_Liquid Assets (Cash/Stock) Under 低於 HK\$ 199,999 HK\$ 200,000 - 499,999 HK\$ 500,000 - 999,999流動資產(現金/股)：HK\$ 1,000,000 - 1,999,999 HK\$ 2,000,000 - 4,999,999 Over 高於 HK\$ 5,000,000Total Net Worth Under 低於 HK\$ 3,000,000 HK\$ 3,000,000 - 4,999,999 HK\$ 5,000,000 - 6,999,999資產淨值：HK\$ 7,000,000 - 9,999,999 Over 高於 HK\$ 10,000,000Liabilities None 沒有 Under 低於 HK\$ 249,999 HK\$ 250,000 - 499,999負債：HK\$ 500,000 - 749,999 HK\$ 750,000 - 999,999 Over 高於 HK\$ 1,000,000Source of Wealth (one or more) Savings 儲蓄 Sales of real estate 售出物業 Salary/Commission 薪金/佣金財富來源(可選超過一項)Investment Income 投資獲利 Own Business 個人業務 Inheritance/Gift 遺產繼承/餽贈Others, Please Specify 其他，請說明： \_\_\_\_\_

Anticipated level of Activity (Yearly) Total Transaction Amount (HKD) 總交易金額(港幣)

預期交易活動(年計)：HK\$0-HK\$5,000,000 HK\$5,000,001-HK\$10,000,000 HK\$10,000,001-HK\$30,000,000Over HK\$30,000,000Country of Source of Income Hong Kong 香港 China 中國(One or more) United States 美國 Others, Please Specify 其他，請說明： \_\_\_\_\_

收入來源地 (可選超過一項)

## E. Investment Objective and Experience

### 投資目標及經驗

This section is designed to assist us in assessing your investment objective, investment experience and knowledge, knowledge of derivatives investment and the suitability of certain financial products with derivatives exposures in your investment portfolio. You are required to complete this section as you will be restricted from investing in certain Securities if you do not pass this assessment.

- For Joint Account, all account holders should jointly complete this part.
- For Corporate Account, authorized signatories who will give transaction instructions on behalf of the company should complete this part.

The answers filled below will be considered as the OVERALL assessment of the Account.

本部份旨在評估您對投資目標、投資經驗及知識及衍生工具投資的認識，以及您在投資組合加入帶有衍生工具成分之金融產品的合適性。您必須完成本部份，如您未能通過此評估，您將會受到限制而不能投資於若干證券。

- 若為聯名賬戶，全部賬戶持有人須共同完成本部份。
- 若為公司賬戶，公司授權代表發出交易指示的簽署者須完成本部份。

此部份的評估將被視為該賬戶的綜合性評估。

1.) What is your risk profile? 閣下的風險範圍是？

- Conservative 保守                       Moderately Conservative 中度保守                       Balanced 平衡  
 Moderately Aggressive 中度進取                       Aggressive 進取

2.) What is your investment objective? 閣下的投資目標是？

- Long Term 長期投資                       Medium Term 中期投資                       Short Term 短期投資  
 Capital increase/ Dividend 資本增值/股息                       Hedging 對沖                       Speculation 投機  
 Arbitrage 套利交易                       Others, Please Specify 其他，請說明\_\_\_\_\_

3.) Do you have experience in securities trading? 閣下是否有投資股票經驗？

- No 否                       Yes 是，\_\_\_\_\_ years of experience 年經驗

4.) Have you invested into any of the product(s) below for more than 5 times in the past 3 years?

於過往三年內，閣下曾否進行過逾五次下述投資產品的交易？

- No 否  
 Yes (Please select multiple options if applicable) 是（請選擇以下合適項目(如適用)）  
 Equity Linked Deposit / Note 股票掛鈎存款 / 票據  
 Credit Linked Deposit / Note 信貸掛鈎存款 / 票據  
 Structured Deposit / Note 結構性存款 / 票據  
 Currency Linked Deposit / Premium Deposit 貨幣掛鈎存款 / 高息貨幣掛鈎存款  
 Currency Forward (e.g. RMB Non-Deliverable Forward (NDF)) 貨幣遠期合約 (例如人民幣不交收遠期合約 (NDF))  
 Warrant 認股權證 (或稱「窩輪」)  
 Stock Option 股票期權  
 Index Future (e.g. Hang Seng Index Future) 指數期貨 (例如恒生指數期貨)  
 Unauthorised Hedge Fund 未經認可對沖基金  
 SFC Authorised Hedge Fund 證監會認可對沖基金  
 SFC Authorised Fund which requires derivatives knowledge assessment 須進行衍生工具認識評估之證監會認可基金  
 Virtual Asset Spot/Futures ETFs 虛擬資產現貨/期貨 ETF  
 Others, Please Specify 其他，請說明\_\_\_\_\_

5.) How much do you plan to put into securities trading investment? 閣下計劃用作投資股票的金額？

- Under 低於 HK\$ 300,000                       HK\$ 300,000 - 999,999                       HK\$ 1,000,000 - 4,999,999                       Over 高於 HK\$5,000,000

6.) What level of risk could you tolerate? (in percentage of loss in relation to your portfolio) 閣下能夠承受的風險程度? (虧損佔閣下投資組合百分比)

- 20%                       30%                       40%                       50%                       More than 超過 50%

7.) Have you ever obtained any financial qualification(s), or completed any finance course(s) or training (s)?

閣下曾否取得任何金融學歷或完成任何金融課程或訓練?

No 否

Yes (please select multiple options if applicable) 是(請選擇以下合適項目(如適用))

Passed Hong Kong Securities and Investment Institute (HKSI) Paper 7 / 8 / 9 通過香港證券專業學會 (HKSI) 考卷 7 / 8 / 9

Passed Chartered Financial Analyst (CFA) Examination - Level 1 / 2 / 3 通過特許財務分析師 (CFA) 考試 1 / 2 / 3 級

Passed Financial Risk Manager (FRM) Examination 通過金融風險管理師 (FRM) 考試

Passed Chartered Alternative Investment Analyst (CAIA) Examination 通過特許另類投資分析師 (CAIA) 考試

Certified Financial Planner (CFP) - Investment Module 認可財務策劃師 (CFP) 課程之投資單元

Degree/Master in Finance 金融學學士/碩士

Diploma / Higher Diploma in Finance 金融學文憑 / 高級文憑

Others, Please Specify 其他, 請說明\_\_\_\_\_

## F. FATCA SELF-CERTIFICATION (INDIVIDUAL CLIENT) 海外帳戶稅收合規法案聲明書

The Foreign Account Tax Compliance Act ("FATCA") enacted in the United States of America ("US") become effective 1 July 2014. The new US tax regulations require Hong Kong financial institutions to identify and report US persons to the relevant tax authority. To certify whether you are a US citizen or resident, please complete and sign this self-certification form. Please select the appropriate boxes below:

美國制定的《海外帳戶稅收合規法案》於 2014 年 7 月 1 日起生效。此等新稅務條例要求香港金融機構識別客戶是否美國公民或居民，並向美國稅務當局匯報。現就此事懇請閣下填妥及簽署此聲明書。請就以下問題填寫合適答案:

1. I certify that I am citizen of the United States of America. 本人聲明本人為美國公民。

No 否

Yes 是, My Taxpayer identification no. is 本人之納稅人識別號碼為\_\_\_\_\_

2. I certify that I am resident of the United States of America for US federal income tax purposes. (Includes green card holder)

本人聲明本人為美國居民 (包括綠卡持有者)。

No 否

Yes 是, My Taxpayer identification no. is 本人之納稅人識別號碼為\_\_\_\_\_

## G. Self-Certification Form – Individual (Sample form for reference and adoption by financial institutions)

### 自我證明表格 – 個人

Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") 居留司法管轄區及稅務編號或具有等同功能的識別編號 (以下簡稱「稅務編號」)\*

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

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

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

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

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.			

## H. Declaration 聲明

### For Margin Account Only 只適用於保證金帳戶

Does your spouse maintain any related margin financing account of the Company? 閣下的配偶是否持有本公司任何相關保證金融資帳戶?

No 否  Yes 是 (Please Specify 請說明)

Name of Account Holder 帳戶持有人姓名: \_\_\_\_\_

Account No. 戶口號碼: \_\_\_\_\_

Does the Client alone or jointly with his / her spouse control 35% or more of the voting rights of another financing margin account with the Company?

閣下及/或閣下配偶是否單獨或共同控制本公司之其他保證金融資帳戶 35%或以上之表決權?

No 否  Yes 是 (Please Specify 請說明)

Name of Account Holder 帳戶持有人姓名: \_\_\_\_\_

Account No. 戶口號碼: \_\_\_\_\_

Do you have a margin financing account opened by one of your companies? 閣下是否有以閣下旗下之公司開立保證金融資帳戶?

No 否  Yes 是 (Please Specify 請說明)

Name of Account Holder 帳戶持有人姓名: \_\_\_\_\_

Account No. 戶口號碼: \_\_\_\_\_

Does the client's financial liabilities is guaranteed by other guarantor 閣下之財務負債是否由擔保人擔保?

No 否  Yes 是 (Please Specify 請說明)

Name of guarantor 擔保人姓名: \_\_\_\_\_

ID No. 身份證號碼: \_\_\_\_\_

Account No. 戶口號碼: \_\_\_\_\_

### Identity Declaration 身份聲明

1.) Are you a director or an employee of any exchange participant of the HK Stock Exchange or any licensed or registered person of HK SFC or HKMA?

閣下是香港交易所參與者之董事或僱員或證監會/金管局之持牌人士?

No 否  Yes 是 (Please enclose employer consent letter 請附僱主同意信)

2.) Are you, your spouse, partner, child, parent, spouse or partner of your child, or your close associate entrusted or has been entrusted with a prominent public function, which includes a head of state, head of government, judicial or military official, senior executive of a state-owned corporation and an important political party official?

閣下是否擔任或曾擔任重要公職，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? 包括閣下之配偶、伴侶、子女或父母，或閣下的子女的配偶或伴侶，或與閣下關係密切的人

No 否  Yes 是 (Please Specify 請說明: \_\_\_\_\_)

3.) Are you the ultimate beneficial owner providing instructions related to the transactions to be conducted via the account?

您是否發出此賬戶交易指示的最終權益擁有人?

Yes 是  No 否

If Your answer is "No", please provide the details of the ultimate beneficial owner.

若您的答案為「否」，請填寫最終權益擁有人資料。

Ultimate Beneficial Owner 最終權益擁有人資料		
Name of Ultimate Beneficial Owner 最終權益擁有人姓名 <input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Mrs. 太太 <input type="checkbox"/> Ms. 小姐	Nationality 國籍	ID/ Passport No. 身份證/護照號碼
Residential Address 住址		

4.) Do you or the ultimate beneficial owner(s) of the Account have any relationship with the directors or employees of M&F Asset Management?

閣下或戶口最終權益擁有人與漢豐資產管理有限公司之董事或職員是否有親屬關係?

No 否  Yes 是, name of the relevant person 有關人士之姓名 \_\_\_\_\_

If yes, please state the information of the director or employee 如是, 請詳列該董事或職員之資料:

Name 姓名: \_\_\_\_\_ Position Held 職位: \_\_\_\_\_

Relationship 關係: Husband / Wife 丈夫/妻子 Father /Mother /Son /Daughter 父親/母親/兒子/女兒 Brother/Sister 兄弟/姊妹

5.) Are you a senior officer or director of any (listed) company whose shares are traded on any exchange or market? (If yes, please specify the company name and stock code.)

閣下是任何其股份在交易所或市場買賣的(上市)公司之高級人員或董事?(如是, 請說明公司名稱及股份編號。)

No 否  Yes 是 (Please Specify 請說明: \_\_\_\_\_)

## I. Personal Information Collection Statement concerning Hong Kong Investor Identification Regime (HKIDR)

### and OTC Securities Transactions Reporting Regime (OTCR)

#### （“Personal Information Collection Statement”）

#### 「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（“個人資料收集聲明”）

1. Client acknowledge and agree that we **M&F Asset Management** may collect, store, process, use, disclose and transfer personal data relating to client (including your CID and BCAN(s)) as required for us to provide services to Client in relation to **M&F Asset Management** listed or traded on the Stock Exchange of Hong Kong (SEHK) and for complying with the rules and requirements of SEHK and the Securities and Futures Commission (SFC) in effect from time to time. Without limiting the foregoing, this includes –

- (a) disclosing and transferring your personal data (including CID and BCAN(s)) to SEHK and/or the SFC in accordance with the rules and requirements of SEHK and the SFC in effect from time to time;
- (b) allowing SEHK to: (i) collect, store, process and use Client personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK; and (ii) disclose and transfer such information to the relevant regulators and law enforcement agencies in Hong Kong (including, but not limited to, the SFC) so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets; and (iii) use such information for conducting analysis for the purposes of market oversight; and
- (c) allowing the SFC to: (i) collect, store, process and use Client personal data (including CID and BCAN(s)) for the performance of its statutory functions including monitoring, surveillance and enforcement functions with respect to the Hong Kong financial markets; and (ii) disclose and transfer such information to relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements.
- (d) providing BCAN to Hong Kong Securities Clearing Company Limited (HKSCC) allowing HKSCC to: (i) retrieve from SEHK (which is allowed to disclose and transfer to HKSCC), process and store your CID and transfer your CID to the issuer's share registrar to enable HKSCC and/or the issuer's share registrar to verify that I have not made any duplicate applications for the relevant share subscription and to facilitate IPO balloting and IPO settlement; and (ii) process and store your CID and transfer your CID to the issuer, the issuer's share registrar, the SFC, SEHK and any other party involved in the IPO for the purposes of processing your application for the relevant share subscription or any other purpose set out in the IPO issuer's prospectus.

Client also agrees that despite any subsequent purported withdrawal of consent by you, Client personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent. Failure to provide us with Client personal data or consent as described above may mean that we will not, or will no longer be able to, as the case may be, carry out Client trading instructions or provide Client with securities related services (other than to sell, transfer out or withdraw Client existing holdings of securities, if any).

Note: The terms “BCAN” and “CID” used in this clause shall bear the meanings as defined in paragraph 5.6 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.

2. In accordance with the Privacy Ordinance, The Broker has the right to charge a reasonable fee for the processing of any data access request. All requests for access to data or correction of data (when client considers that his/her personal data, supplied by The Broker following a data access request, are inaccurate) or for information regarding policies and practices and kinds of data held should be addressed as follows:  
Data Privacy Officer  
9/F, On Building, 162 Queen's Road, Central, Hong Kong  
Tel: +852 3196-3399

1. 客戶明白並同意，我們漢豐資產管理為了向客戶提供與在香港聯合交易所（聯交所）上市或買賣的證券相關的服務，以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會（證監會）的規則和規定，漢豐資產管理可收集、儲存、處理、使用、披露及轉移與客戶有關的個人資料（包括客戶的客戶識別信息及券商客戶編碼）。在不限制以上的內容的前提下，當中包括——

- (a) 根據不時生效的聯交所及證監會規則和規定，向聯交所及／或證監會披露及轉移客戶的個人資料（包括客戶識別信息及券商客戶編碼）；
- (b) 允許聯交所：(i)收集、儲存、處理及使用客戶的個人資料（包括客戶識別信息及券商客戶編碼），以便監察和監管市場及執行《聯交所規則》；(ii)向香港相關監管機構和執法機構（包括但不限於證監會）披露及轉移有關資料，以便他們就香港金融市場履行其法定職能；及(iii)為監察市場目的而使用有關資料進行分析；及
- (c) 允許證監會：(i)收集、儲存、處理及使用閣下的個人資料（包括客戶識別信息及券商客戶編碼），以便其履行法定職能，包括對香港金融市場的監管、監察及執法職能；及 (ii)根據適用法例或監管規定向香港相關監管機構和執法機構披露及轉移有關資料。
- (d) 向香港中央結算有限公司（香港結算）提供券商客戶編碼以允許香港結算：(i)從聯交所取得、處理及儲存允許披露及轉移給香港結算屬於閣下的客戶識別信息，及向發行人的股份過戶登記處轉移閣下的客戶識別信息，以便核實閣下未就相關股份認購進行重複申請，以及便利首次公開招股抽籤及首次公開招股結算程序；及(ii)處理及儲存閣下的客戶識別信息，及向發行人、發行人的股份過戶登記處、證監會、聯交所及其他公開招股的有關各方轉移閣下的客戶識別信息，以便處理閣下對有關股份認購的申請，或為載於公開招股發行人的招股章程的任何其他目的。

客戶亦同意，即使客戶其後宣稱撤回同意，我們在客戶宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移客戶的個人資料以作上述用途。客戶如未能向我們提供個人資料或上述同意，可能意味著我們不會或不能夠再（視情況而定）執行客戶的交易指示或向客戶提供證券相關服務，惟出售、轉出或提取客戶現有的證券持倉(如有)除外。

備註：本條文所述的“券商客戶編碼”及“客戶識別信息”具有《證券及期貨事務監察委員會持牌人或註冊人操守準則》第 5.6 段所界定的含義。

2. 根據私隱條例規定，經紀有權就處理任何查閱資料之要求收取合理費用，任何關於資料查閱或改正資料(當客戶認為由經紀所提供有關他／她的資料不準確時)或關於資料政策及實際應用或資料種類之要求，應向下列人仕提出：  
私隱資料主任  
香港中環皇后大道中 162 號 On Building 9 樓全層  
電話：+852 3196-3399

## J. DATA PRIVACY POLICY

### 私隱政策

- As a client of The Broker (the "Client"), it is necessary from time to time for the Client to supply his/her personal data ("Personal Data"), within the meaning ascribed in the Personal Data (Privacy) Ordinance (Chapter 486 of the laws of Hong Kong) (the "Privacy Ordinance") to The Broker or M&F Asset Management when opening or continuation of accounts, or in the establishment, continuation or provision of investment, dealing or related services.
- Failure to supply Personal Data may result in The Broker being unable to open or continue accounts or establish, continue or provide investment, dealing or related services.
- Personal Data may also be collected in the ordinary course of continuation of the business relationship with M&F Asset Management.
- Subject to the provisions of the Privacy Ordinance, any Personal Data may be used for the following purposes:
  - the daily operation of the services provided to the Client;
  - conducting credit checks;
  - ensuring ongoing credit worthiness of the Client;
  - marketing investment, dealing or related services or products;
  - supporting any statements made in any documents in connection with the services of The Broker;
  - assisting other relevant parties, professionals, institutions or relevant regulatory authorities to verify certain facts in connection with the services of The Broker;
  - meeting the requirements to make disclosures under the requirements of any laws and/or regulations binding on The Broker;
  - forming part of the records of the recipient of the data as to the business carried on by it; and
  - any other purposes relating to or incidental to any of the above.
- The Broker will keep Personal Data confidential but The Broker may provide Personal Data to the following persons in furtherance of the purposes set in the above paragraph (4):
  - any agent or third-party service provider who provides services to The Broker in connection with the operation of its business;
  - an appropriate person under a duty of confidentiality to The Broker including any M&F Asset Management Company which has undertaken to keep such information confidential;
  - any person or institution with which the Client has or proposes to have dealings;
  - credit reference agencies and debt collection agencies (in the event of default payment);
  - any regulatory authorities or exchanges which relate to or govern any business of The Broker and any M&F Asset Management Company;
  - any assignee, transferee, delegate, successor or person to whom the account of the Client is transferred and the authorized person of the Client; and
  - any of The Broker actual or proposed assignee or participant or sub-participant or transferee.
- The Personal Data may be transferred to any place outside Hong Kong, whether for the processing, holding or use of such data outside Hong Kong, and also to service providers which offer services to any M&F Asset Management Company in connection with the operation of its business.
- To the extent permitted by law, the Personal Data collected by The Broker from time to time may be used and disclosed in accordance with the Data Privacy Policy.
- In accordance with the terms of the Privacy Ordinance, any individual has the right to:
  - check whether The Broker holds data about him/her and access to such data;
  - required The Broker to correct any data relating to him/her which is inaccurate;
  - ascertain The Broker's policies and practices in relation to data and be informed of the kind of personal data held by The Broker; and
  - in relation to customer credit, request to be informed which items of personal data are routinely disclosed to credit reference agencies or debt collection agencies, and be provided with further information to enable the making of an access and correction request to the relevant credit reference agency or debt collection agency.
- 作為經紀之客戶（「客戶」），當申請開立或延續戶口或 建立、延續或提供投資、交易或相關服務時，需不時向經紀或漢豐資產管理提供有關之個人資料（「個人資料」按《個人資料（私隱）條例》（香港法例第 486 章）（「私隱條例」）所賦予之定義）。
- 若未能向經紀提供有關資料，將會導致經紀無法開立或延續戶口或建立、延續或提供投資、交易或相關服務。
- 個人資料將可能在與漢豐資產管理的正常業務往來過程中被收集。
- 資料將可能用於下列用途：
  - 為提供服務給客戶之日常運作；
  - 作信貸檢查；
  - 確保客戶之信用維持良好；
  - 宣傳投資、交易或相關服務或產品；
  - 支援經紀在有關服務上作出之任何文件內之任何聲明；
  - 協助其他有關第三者、專業人員、機構及有關監管機構確認經紀在有關服務上之某些事實；
  - 根據經紀須遵守之有關法例及／或條例要求作出披露；
  - 組成接收資料者所經營業務的紀錄的一部份；及
  - 與上述有關或隨附之其他用途。
- 經紀會把個人資料保密，但為達至上述第(4)段所述的用途，經紀可能會把有關資料提供給：
  - 任何中間人，或提供與經紀業務運作有關服務之第三者服務供應人；
  - 任何對經紀有保密責任之適當人仕，包括對經紀有保密資料承諾的漢豐資產管理；
  - 任何與閣下已有或建議有交易之人仕及機構；
  - 信貸諮詢機構及（發生拖欠付款時）收數公司；
  - 任何管治或與經紀及漢豐資產管理的業務有關的監管機構及交易所；
  - 任何承讓人、受讓人、代表、繼承人或獲轉讓有關帳戶之人士及授權人士；及
  - 任何經紀之實在或建議受讓人或參與人或附屬參與人或受讓人。
- 客戶同意個人資料可轉到香港以外的任何地點（不論是用作在香港以外處理、持有或使用該等資料），並同意可轉發給向任何漢豐資產管理門就其業務經營而提供服務的服務提供者。
- 在法律許可的範圍內，客戶同意經紀不時收集的個人資料可按照私隱政策的規定使用及披露。
- 根據私隱條例中之條文，任何人有權：
  - 審查經紀是否持有他／她的資料及查閱有關之資料；
  - 要求經紀改正有關他／她不準確之資料；
  - 查悉經紀對於資料之政策及實際運用及被通知經紀持有何種個人資料；及
  - 就客戶信貸而要求獲通知哪項個人資料是例行披露予信貸諮詢機構或收數公司，以及獲提供進一步的資訊以便 向有關的信貸諮詢機構或收數公司作出查閱及改正要求。

**I/We hereby declare and confirm that**

- The information stated in the **Client Information Statement** is true, complete and correct; and
- I/We understand all Terms & Conditions set out in this Client Services Agreement and accept and agree to be bound thereby; and
- the Account Holder(s) named in this Client Information is/ are the ultimate beneficial owner(s) of the Account(s) and transaction(s) and is the sole beneficial owner of the Account(s), or stands to gain the commercial or economic benefit or bear the commercial or economic risk of the transactions in the Account(s); and
- I/We acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112). An account holder should report all changes in his/her tax residency status to the reporting financial institution; and
- I/We declare that I/We have examined the information on the FATCA self-certification and to the best of my/our knowledge and belief; it is true, correct, and complete. I/We will inform your company within 30 days if any information herein becomes incorrect; and
- the Account Opening Documents could be given by M&F Asset Management Limited at any time.

**本人(吾等) 聲明及確認**

- 本客戶資料表內陳述的資料為真實、完整及準確；及
- 本人(吾等) 明白本客戶服務協議所載的條款及細則，並接受及同意受該等文件約束；及
- 開戶表格所指名的申請人是帳戶及交易的最終實益持有人及唯一將會從此帳戶的交易中取得商業或經濟利益或承擔商業或經濟風險的人；及
- 本人(吾等)知悉及同意，財務機構可根據《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文，(a) 收集本表格所載資料並可備存作自動交換財務帳戶資料用途及 (b) 把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。如帳戶持有人的稅務居民身分有所改變，應盡快將所有變更通知漢豐資產管理有限公司；及
- 本人(吾等)聲明已查閱海外帳戶稅收合規法案聲明書之內容，並盡本人(吾等)所知及確信，聲明內容均屬真實，正確及完整。本人(吾等)同意如以上聲明有變更，將於 30 日內通知貴公司；及
- 所有有關開戶之文件可隨時向漢豐資產管理有限公司索取。



Main Account Holder's Signature

主要戶口持有人簽署

Name 姓名： .....

Date 日期： .....



Joint Account Holder's Signature

聯名戶口持有人簽署

Name 姓名： .....

Date 日期： .....

**For Joint Account and Asset Management Account Only 只適用於聯名及資產托管帳戶**

Account is to be signed and operated on instruction by 帳戶簽署安排和操作指示方式：

Either one of Account Holders 任何一位帳戶持有人

All Account Holders 所有帳戶持有人

M&F Asset Management Limited (Asset Management Dept) 漢豐資產管理有限公司(資產管理部門)

Others 其他 .....

**\*\*\* FOR OFFICIAL USE ONLY 只供本公司使用 \*\*\***

- 1. copy of your ID card or passport 身份證或護照副本
- 2. copy of your correspondence address proof (within last 3 months) 通訊地址證明副本 (最近 3 個月內)
- 3. consent letter (if necessary) 同意信函 (如需要)
- 4. copy of WeChat Account Information WeChat 帳號綁定之截圖

Introduced by	AE/ HSE Code:	ML/TF Risk:	High/ Low
Period of relationship:	Commission:	Min. Commission:	
Trading Limit:	Credit Limit:	Checked by:	