



Account No. 帳戶號碼: \_\_\_\_\_

## CLIENT INFORMATION STATEMENT - CORPORATE

### 客戶資料表 - 公司

#### A. Corporate Information 公司資料

Corporate Name 公司名稱:	(English 英文)	_____
	(Chinese 中文)	_____
Business Registration No. 商業登記編號:	Legal Entity Identifier 法律實體識別編號:	_____
Certificate of Incorporation No. 公司註冊證書編號:	Country of Incorporation 註冊成立地點:	_____
Registered Office 註冊辦事處:		_____
Business Address 營業地址:		_____
Nature of Business 業務性質:	No. of Years in Current Industry 從事現行業年數:	_____
Office Tel 辦公室電話:	Fax 傳真:	_____
Email 電郵:		_____
Authorized Capital 法定資本:	Paid-up Capital 繳足資本:	_____
Last Year Annual Turnover 上年度營業額:	No. of Employees 僱員人數:	_____

#### B. Shareholders Information (For listed Company, who owns 10% or above)

股東資料 (如上市公司, 擁有 25%或以上持股量)

Name 姓名	ID Card ^ / Passport No. 身份證/護照號碼	Shareholdings Percentage 持股量佔已發行之百分比
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

#### C. Details of Directors 董事資料

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

^For residents with right of abode in Hong Kong only. Other residents please provide passport numbers. 只適用於擁有香港居留權之香港永久性居民, 其他居民請填寫護照號碼。

## D. Details of Beneficial Owners 戶口最終權益擁有人資料

Name 姓名	ID Card ^ / Passport No. 身份證/護照號碼	Address 地址
_____	_____	_____
_____	_____	_____
_____	_____	_____

^For residents with right of abode in Hong Kong only. Other residents please provide passport numbers. 只適用於擁有香港居留權之香港永久性居民，其他居民請填寫護照號碼。

## E. Main Information of Contact Person 主要聯絡人資料

English Name 英文姓名：	_____	Chinese Name 中文姓名：	_____
Current Position 現任職位：	_____	Fax 傳真：	_____
Office Tel 辦公室電話：	_____	Email 電郵：	_____
Mobile 手機：	_____		

## F. Declaration by Client 客戶聲明

- 1) Does any of the Client's shareholders, directors, partners, Authorized person(s), the persons ultimately responsible for giving instructions for the Account or the ultimate beneficial owner(s) of the Account ("Relevant Person(s)") a staff of M&F Asset Management? 客戶之股東、董事、合夥人、授權人、最終負責就戶口進行交易發出指示之人士或戶口最終權益擁有人（「有關人士」）是否漢豐資產管理的職員？

No 否  Yes 是

If yes 如是, Name 職員名稱: \_\_\_\_\_ Position 職位: \_\_\_\_\_

- 2) Is Relevant Person(s) of the client is a client of M&F Asset Management? 客戶之有關人士是否漢豐資產管理的客戶？

No 否  Yes 是

If yes 如是, Account No. 帳戶號碼: \_\_\_\_\_ Account Name 帳戶名稱: \_\_\_\_\_

- 3) Does any of the Relevant Person(s) of the client is an employee of any participant of the Stock Exchange of Hong Kong, a licensed corporation under the Securities and Futures Ordinance, or a registered institution under the Banking Ordinance (whether he/she is currently a SFC licensed/HKMA registered person or not)? 客戶之任何有關人士是否為香港聯合交易所參與者或任何根據證券及期貨條例註冊持牌法團或銀行業條例之註冊機構之僱員（不管閣下現時是否為證監會持牌代表/金管局註冊人士）？

No 否  Yes 是

If yes 如是, Participant/Licensed Corporation/Registered Institution Name 參與者/持牌法團/註冊機構名稱: \_\_\_\_\_

Position 職位: \_\_\_\_\_

CE No. 中央編號: (Employer 僱主) \_\_\_\_\_ / (Employee 僱員) \_\_\_\_\_ (If applicable 如適用)

(Consent Letter from licensed corporation or registered institution must be provided 必須出示所屬持牌法團或註冊機構之授權信)

- 4) Does any of the Relevant Person(s) of the client have any relationship with the directors or employees of M&F Asset Management Limited? 客戶之任何有關人士與漢豐資產管理有限公司之董事或職員是否有親屬關係？

客戶之任何有關人士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

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.) Does any of the Relevant Person(s) is 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.)

(If yes, please specify the company name and stock code.)

客戶之任何有關人士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：\_\_\_\_\_)

## G. Bank Information 銀行資料

Bank Name 銀行名稱：

Bank Address(for overseas bank only)

銀行地址（僅限海外銀行）：

Bank Account Name 銀行賬戶名稱：

Account No. 戶口號碼：

Currency 貨幣：

## H. Financial Background 財務背景

Annual profit  Under 低於 HK\$ 5,000,000  HK\$ 5,000,000 – 19,999,999  HK\$ 20,000,000 – 100,000,000

每年盈利： HK\$ 100,000,000 – 299,999,999  Over 高於 HK\$ 300,000,000

Liquid Assets(Stock)  Under 低於 HK\$ 300,000  HK\$ 300,000 - 999,999  HK\$ 1,000,000 – 4,999,999

流動資產(投資組合)： HK\$ 5,000,000 – 7,999,999  Over 高於 HK\$ 8,000,000

Total Net Worth  Under 低於 HK\$ 3,000,000  HK\$ 3,000,000 - 9,999,999  HK\$ 10,000,000 - 39,999,999

總資產淨值： Over 高於 HK\$ 40,000,000

Source of Wealth/Fund

(multiple options)

財富來源

(可選多項)：

Trading Profit 營業溢利  Manufacturing Profit 生產利潤  Service Income 服務收入  
 Investment Income 投資獲利  Rental Income 租金收入  Dividend/Interest income 股息/利息收入  
 Other, Please specify 其他，請說明：\_\_\_\_\_

Anticipated level of Activity(Yearly)

預期交易活動(年計)：

Total Transaction Amount (HKD) 總交易金額(港幣)

HK\$0-HK\$5,000,000  HK\$5,000,001-HK\$10,000,000  HK\$10,000,001-HK\$30,000,000  
 Over HK\$30,000,000

Country of Sources of Income

收入來源地：

Hong Kong 香港  Macau 澳門  China 中國  
 United States 美國  Other, Please specify 其他，請說明：\_\_\_\_\_

## I. 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 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
- 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 - 9,999,999       Over 高於 HK\$10,000,000

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\_\_\_\_\_





## J. CORPORATE BOARD RESOLUTION 公司決議

We hereby certify that the following board resolutions have been passed by the Board of Directors of \_\_\_\_\_ (“the Company”) at a Meeting of the Board duly convened and held at \_\_\_\_\_ on \_\_\_\_\_ at which a quorum was presented and acted throughout in accordance with the Articles of the Company and have been duly recorded in the Minutes Book of the Company without amendment and that the same are now in full force and effect.

公司茲確認，下列決議案經\_\_\_\_\_（下稱「公司」）董事會於\_\_\_\_年\_\_\_\_月\_\_\_\_日，在\_\_\_\_\_正式召開之董事局會議通過，該會議自始至終按照公司章程規定維持足夠法定人數，保持並載入公司之會議記錄冊內，而該決議案未有被修訂，並且正全面執行及效。

### IT WAS RESOLVED 決議通過：

- THAT a securities cash / margin\* account(s) (the “Account(s)”) be opened with M&F Asset Management Limited (“The Broker”). 於漢豐資產管理有限公司（下稱「經紀」）開立股票現金/保證金交易帳戶（下稱「帳戶」）。
- THAT a client services agreement (“the Agreement”) was tabled in the meeting and the terms set out in the Agreement and the particulars in connection with the opening of the Account were approved and adopted in all aspects and as amended from time to time. 客戶服務協議書（下稱「協議書」）已於會議中傳閱協議書中的條款與開立帳戶有關的詳情已獲批准，其全部及不時之修改亦已採納。
- THAT any director of the Company and/or each of the following persons (each an Authorized Person) has the power to do any and all of the following: 任何公司董事及/或每一下列人仕（每一授權人）有權作任何及全部下述行為：
  - To sign any document in connection with the opening of the Account(s) and to deliver the signed original to The Broker; 簽署任何與開立該帳戶有關的文件並把正本送達經紀；
  - To give verbal or written instructions to The Broker with respect to securities trading transactions; 向經紀發出有關證券交易的口頭或書面指令；
  - To bind and commit the Company to any contract, arrangement or transaction entered into with or through The Broker for and on behalf of the Company; 致使公司予以約束及承諾履行其代表公司與或透過經紀所訂立的任何合約、安排或交易；
  - To receive requests and demands for additional margin, notices of intention to sell or purchase and other notices and demands of whatever character; 收取索求支付額外保證金通知，買賣意圖通知或任何其他性質的通知或要求；
  - To deliver any amount of any agreed money or securities to The Broker and to authorize the transfer or delivery of any amount or any money or securities to any other person; 交付任何金額及任何相互同意之貨幣或證券至經紀及授權轉賬或交付任何金額及任何貨幣或證券予任何其他人士；
  - To settle, compromise, adjust and give releases in connection with any such Account with respect to any and all claims, disputes and controversies; 就有關此帳戶的任何及所有索償，糾紛及衝突，進行解決、和解、調整或給予對方豁免；
  - To do and take any and all action necessary in connection with the Account. 進行及採取任何及/或全部與帳戶有關的所需行動。

Name 姓名	Position 職位	Contact Number 聯絡電話	ID Card / Passport No. 身份證/護照號碼：	Specimen Signature 簽名式樣
_____	_____	_____	_____	
_____	_____	_____	_____	
_____	_____	_____	_____	
_____	_____	_____	_____	

Instructions given by any \_\_\_\_\_ of the Authorized Person(s) shall be valid. 上述任何\_\_\_\_\_位獲授權人士所發出的指示都屬有效。

- THAT these Resolutions shall remain in force, and that The Broker shall be entitled to rely on the same until an amending resolution shall be passed and has been received by The Broker. 此決議將維持有效，而經紀有權依賴此決議直至修訂決議通過及被經紀接獲。



Director 董事

Name 姓名：\_\_\_\_\_

Date 日期：\_\_\_\_\_



Director 董事

Name 姓名：\_\_\_\_\_

Date 日期：\_\_\_\_\_



Director 董事

Name 姓名：\_\_\_\_\_

Date 日期：\_\_\_\_\_

## K. PERSONAL GUARANTEE 個人擔保

In consideration of the opening of a corporate account for \_\_\_\_\_ (“the Company”), M&F Asset Management Limited (“The Broker”) must have a personal guarantee in order to enter into a client services agreement with the Company. For this **cash / margin\*** account(s) (“Account(s)”) the undersigned agrees to jointly and severally guarantee personally the immediate, full and complete performance of any and all of the duties and obligations of this Account and the payment of any and all damages, costs and expenses, which may become recoverable by The Broker from the Company.

\_\_\_\_\_ (下稱「公司」) 因開立一公司帳戶之代價，是漢豐資產管理有限公司 (下稱「經紀」) 必須獲提供一個人擔保致使公司客戶簽定客戶協議。有關 **現金 / 保證金\*** 交易帳戶 (下稱「帳戶」)，在本擔保書簽署人士同意作出個人共同及各別保證，承諾作出實時及全面履行該帳戶任何及所有的義務與責任，並支付經紀向公司所追討的損失，訟費及支出。

This guarantee shall remain in full force and effect until the termination of this client services agreement, provided that the undersigned shall not be released from their obligations so long as the Account(s) and any obligations the Account(s) has with The Broker lasts.

本擔保在客戶協議終止前維持全面有效，然而，只要於經紀仍然持有帳戶及保留有關帳戶的任何責任時，在本擔保書簽署人不得予以免除義務。




\* delete as appropriate 刪除不適當部分

### Personal Guarantee Acknowledgment 個人擔保確認

This guarantee shall inure to the benefit of The Broker, its successors and assigns, and shall be binding on the undersigned and their heirs.

本擔保的受益方為經紀及其繼承人或受讓人，本擔保對以下簽署人及其繼承人具有約束力。

This assigns 此授權：

_____ Name of Guarantor, Individually 個人擔保人	 Signature 簽署	_____ ID Card / Passport No. 身份證/護照號碼	_____ Date 日期
_____ Name of Guarantor, Individually 個人擔保人	 Signature 簽署	_____ ID Card / Passport No. 身份證/護照號碼	_____ Date 日期
_____ Name of Guarantor, Individually 個人擔保人	 Signature 簽署	_____ ID Card / Passport No. 身份證/護照號碼	_____ Date 日期

In the Presence of 見證人：

_____ Name of Witness 見證人姓名	_____ Signature of Witness 見證人簽署	_____ Occupation of Witness 見證人職業	_____ Date 日期
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## L. FATCA SELF-CERTIFICATION 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 our company is registered in United States of America.

本人聲明本公司為美國註冊公司。

No 否             Yes 是， Please ref to form W-9BEN 請填寫#W-9BEN 之表格。

2. I certify that shareholders in our company are citizen of the United States of America.

本人聲明本公司之股東為美國公民。

No 否             Yes 是， Please ref to form W-8BEN 請填寫#W-8BEN 之表格。

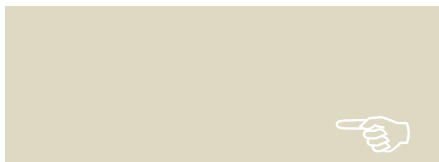
3. I certify that shareholders in our company are resident of the United States of America for US federal income tax purposes. (Includes green card holder)

本人聲明本公司之股東為美國居民 (包括綠卡持有者)。

No 否             Yes 是， Please ref to form W-8BEN 請填寫#W-8BEN 之表格。

I declare that I have examined the information on this self-certification and to the best of my knowledge and belief; it is true, correct, and complete. I will inform your company within 30 days if any information herein becomes incorrect. Client's.

聲明本人已查閱此聲明之內容，並盡本人所知及確信，聲明內容均屬真實，正確及完整。本人同意如以上聲明有變更，將於 30 日內通知貴公司。



Signature of beneficial owner (or individual authorized to sign for beneficial owner)

受益人簽名 (或受益人授權之簽署人簽名)

Name 姓名： .....

ID Card / Passport No.

Date 日期： .....

身份證/護照號碼： .....

**M. Self-Certification Form – Entity(Sample form for reference and adoption by financial institutions)**

**自我證明表格 – 實體**

**Important Notes 重要提示:**

- This is a self-certification form provided by a controlling person to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction. 這是由控權人向漢豐資產管理有限公司提供的自我證明表格，以作自動交換財務帳戶資料用途。漢豐資產管理有限公司可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- A controlling person should report all changes in his/her tax residency status to the reporting financial institution. 如控權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。
- All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (\*) are required to be reported by the reporting financial institution to the Inland Revenue Department. 除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄/部標有星號 (\*) 的項目為漢豐資產管理有限公司須向稅務局申報的資料。

**Part 1 Identification of Entity Account Holder 實體帳戶持有人的身分識別資料**

第一部 (For joint or multiple account holders, complete a separate form for each entity account holder.) (對於聯名帳戶或多人聯名帳戶，每名實體帳戶持有人須分別填寫一份表格)

1. Legal Name of Entity or Branch 實體或分支機構的法定名稱\* \_\_\_\_\_
2. Jurisdiction of Incorporation or Organisation 實體成立為法團或設立所在的稅務管轄區 \_\_\_\_\_
3. Hong Kong Business Registration Number 香港商業登記號碼 \_\_\_\_\_
4. Current Business Address 現時營業地址  
Suite 室, Floor 樓層, Building 大廈, Street 街道, District 地區  
City 城市 \* \_\_\_\_\_  
Province 省, State 州 \_\_\_\_\_  
Country 國家 \* \_\_\_\_\_  
Post Code/ZIP Code 郵政編碼/郵遞區號碼 \_\_\_\_\_
5. Mailing Address (Complete if different to the current business address) 通訊地址 (如營業地址與現時住址不同，填寫此欄)  
Suite 室, Floor 樓層, Building 大廈, Street 街道, District 地區  
City 城市 \* \_\_\_\_\_  
Province 省, State 州 \_\_\_\_\_  
Country 國家 \* \_\_\_\_\_  
Post Code 郵政編碼 / ZIP Code 郵遞區號碼 \_\_\_\_\_

**Part 2 Entity Type 實體類別**

第二部 Tick one of the appropriate boxes and provide the relevant information. 在其中一個適當的方格內加上✓號，並提供有關資料。

Financial Institution 財務機構	<input type="checkbox"/> Custodial Institution, Depository Institution or Specified Insurance Company 託管機構、存款機構或指明保險公司 <input type="checkbox"/> Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity's assets) and located in a non-participating jurisdiction 投資實體，但不包括由另一財務機構管理（例如：擁有酌情權管理投資實體的資產）並位於非參與稅務管轄區的投資實體
Active NFE 主動非財務實體	<input type="checkbox"/> NFE the stock of which is regularly traded on _____, which is an established securities market 該非財務實體的股票經常在 _____ (一個具規模證券市場) 進行買賣 <input type="checkbox"/> Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market _____ 的有關連實體，該有關連實體的股票經常在 _____ (一個具規模證券市場) 進行買賣 <input type="checkbox"/> NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities 政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體 <input type="checkbox"/> Active NFE other than the above (Please specify _____) 除上述以外的主動非財務實體 (請說明 _____)
Passive NFE 被動非財務實體	<input type="checkbox"/> Investment entity that is managed by another financial institution and located in a non-participating jurisdiction 位於非參與稅務管轄區並由另一財務機構管理的投資實體 <input type="checkbox"/> NFE that is not an active NFE 不屬主動非財務實體的非財務實體

**Part 3 Controlling Persons 控權人**



第三部

(Complete this part if the entity account holder is a passive NFE 如實體帳戶持有人是被动非財務實體，填寫此部)

- Indicate the name of all controlling person(s) of the account holder in the table below. If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official.  
就帳戶持有人，填寫所有控權人的姓名在列表內。就法人實體，如行使控制權的並非自然人，控權人會是該法人實體的高級管理人員。
- Complete Self-Certification Form – Controlling Person for each controlling person.  
每名控權人須分別填寫一份表格（自我證明表格 – 控權人）。

1)	5)
2)	6)
3)	7)
4)	8)

Part 4

Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”) \*

第四部

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 Business Registration Number.  
如帳戶持有人是香港稅務居民，稅務編號是其香港商業登記號碼。
- If the account holder is not a tax resident in any jurisdiction (e.g. fiscally transparent), indicate the jurisdiction in which its place of effective management is situated.  
如果帳戶持有人並非任何稅務管轄區的稅務居民（例如：它是財政透明實體），填寫實際管理機構所在的稅務管轄區。
- 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.			

第五部

- I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

本人知悉及同意，財務機構可根據《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文，(a) 收集本表格所載資料並可備存作自動交換財務帳戶資料用途及 (b) 把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。

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

本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人 / 本人獲帳戶持有人授權簽署本表格 #。

- I undertake to advise M&F Asset Management Limited 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 M&F Asset Management Limited with a suitably updated self-certification form within 30 days of such change in circumstances.

本人承諾，如情況有所改變，以致影響本表格第 1 部所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知漢豐資產管理有限公司，並會在情況發生改變後 30 日內，向漢豐資產管理有限公司提交一份已適當更新的自我證明表格。

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

Signature 簽署



Name 姓名

\_\_\_\_\_

Capacity 身分

\_\_\_\_\_

( e.g. director or officer of a company, partner of a partnership, trustee of a trust etc.

Date 日期(dd 日/mm 月/yyyy

\_\_\_\_\_

例如：公司的董事或高級人員、合夥的合夥人、信託的受託人等)

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

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

**N. Self-Certification Form – Controlling Person(Sample form for reference and adoption of financial institutions)****自我證明表格 – 控權人****Important Notes 重要提示:**

- This is a self-certification form provided by a controlling person to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.這是由控權人向漢豐資產管理有限公司提供的自我證明表格，以作自動交換財務帳戶資料用途。漢豐資產管理有限公司可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- A controlling person should report all changes in his/her tax residency status to the reporting financial institution.如控權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。
- All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (\*) are required to be reported by the reporting financial institution to the Inland Revenue Department.除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄/部標有星號(\*)的項目為漢豐資產管理有限公司須向稅務局申報的資料。

**Part 1 Identification of Controlling Person 控權人的身分識別資料****第一部****1. Name of Controlling Person 控權人的姓名**

Title (e.g. Mr, Mrs, Ms, Miss) 稱謂(例如:先生、太太、女士、小姐)

Last Name or Surname 姓氏 \*

First or Given Name 名字\*

Middle Name(s) 中間名

**2. Identity Card or Passport Number**

身份證或護照號碼

**3. Current Residence Address 現時住址**

Suite 室, Floor 樓層, Building 大廈, Street 街道, District 地區

City 城市 \*

Province 省, State 州

Country 國家 \*

Post Code/ZIP Code 郵政編碼/郵遞區號碼

**4. Mailing Address (Complete if different to the current residence**

通訊地址 (如通訊地址與現時住址不同，填寫此欄)

Suite 室, Floor 樓層, Building 大廈, Street 街道, District 地區

City 城市 \*

Province 省, State 州

Country 國家 \*

Post Code 郵政編碼 / ZIP Code 郵遞區號碼

**5. Date of Birth 出生日期 \*(dd 日/mm 月/yyyy 年)****6. Place of Birth 出生地點(Not compulsory 可不填寫)**

Town/City

Province 省 / State 州

Country 國家

Part 2 The Entity Account Holder(s) of which you are a controlling person. 你作為控權人的實體帳戶持有人

第二部 Enter the name of the entity account holder of which you are a controlling person. 填寫你作為控權人的實體帳戶持有人的名稱

Entity 實體	Name of the Entity Account Holder 實體帳戶持有人的名稱
1.	
2.	
3.	

Part 3 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辨編號 (以下簡稱「稅務編號」)\*

第三部

- Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the controlling person is a resident for tax purposes and (b) the controlling person's TIN for each jurisdiction indicated. Indicate all (not restricted to five) the jurisdictions of residence. 提供以下資料，列明 (a) 控權人的居留司法管轄區，亦即控權人的稅務管轄區 (香港包括在內) 及 (b) 該居留司法管轄區發給控權人的稅務編號。列出所有 (不限於 5 個) 居留司法管轄區。
- If the controlling person is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. 如控權人是香港稅務居民，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 controlling person is a resident for tax purposes does not issue TINs to its residents.  
理由 A – 控權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 controlling person is unable to obtain a TIN. Explain why the controlling person is unable to obtain a TIN if you have selected this reason. 理由 B – 控權人不能取得稅務編號。如選取這一理由，解釋控權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 – 控權人毋須提供稅務編號。居留司法管轄區的主管機關不需要控權人披露稅務編號。

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 controlling person is unable to obtain a TIN if you have selected Reason B 如選擇理由 B，解釋控權人不能取得稅務編號的原因
1.			
2.			
3.			
4.			
5.			

Part 4 Type of Controlling Person 控權人類別

第四部 Tick the appropriate box to indicate the type of controlling person for each entity stated in Part 2. 就第 2 部所載的每個實體，在適當方格內加上✓號，指出控權人就每個實體所屬的控權人類別。

Type of Entity 實體類別	Type of Controlling Person 控權人類別	Entity(1) 實體(1)	Entity(2) 實體(2)	Entity(3) 實體(3)
Legal Person 法人	Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital) 擁有控制股權的個人 (即擁有不少於百分之二十五的已發行股本)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who exercises control/is entitled to exercise control through other means (i.e. not less than 25% of voting rights) 以其他途徑行使控制權或有權行使控制權的個人 (即擁有不少於百分之二十五的表決權)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who holds the position of senior managing official/exercises ultimate control over the management of the entity 擔任該實體的高級管理人員/對該實體的管理行使最終控制權的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trust 信託	Settlor 財產授予人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Trustee 受託人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Protector 保護人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Beneficiary or member of the class of beneficiaries 受益人或某類別受益人的成員	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary) 其他 (例如：如財產授予人/受託人/保護人/受益人為另一實體，對該實體行使控制權的個人)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Legal Arrangement other than Trust 除信託以外的法律安排	Individual in a position equivalent/similar to settlor 處於相等/相類於財產授予人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to trustee 處於相等/相類於受託人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to protector 處於相等/相類於保護人位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries 處於相等/相類於受益人或某類別受益人的成員位置的個人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (e.g. individual who exercises control over another entity being equivalent/similar to settlor/trustee/protector/beneficiary) 其他 (例如：如處於相等/相類於財產授予人/受託人/保護人/受益人位置的人為另一實體，對該實體行使控制權的個人)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- I acknowledge and agree that (i) 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 (ii) such information and information regarding the controlling person 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 tax authorities of another jurisdiction or jurisdictions in which the controlling person may be resident for tax purposes pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

本人知悉及同意，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) 把該等資料和關於控權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，從而把資料轉交到控權人的居留司法管轄區的稅務當局。

- I certify that I am the controlling person / I am authorized to sign for the controlling person # of all the account(s) held by the entity account holder(s) to which this form relates.

本人證明，就與本表格所有相關的實體帳戶持有人所持有的帳戶，本人是控權人 / 本人獲控權人授權簽署本表格 #。

- I undertake to advise M&F Asset Management Limited 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 M&F Asset Management Limited with a suitably updated self-certification form within 30 days of such change in circumstances.

本人承諾，如情況有所改變，以致影響本表格第 1 部所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知漢豐資產管理有限公司，並會在情況發生改變後 30 日內，向漢豐資產管理有限公司提交一份已適當更新的自我證明表格。

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

Signature 簽署



Name 姓名

\_\_\_\_\_

Capacity 身分

\_\_\_\_\_

Date 日期(dd 日/mm 月/yyyy 年)

\_\_\_\_\_

(Indicate the capacity if you are not the individual identified in Part 1. If signing under a power of attorney, attach a certified copy of the power of attorney. 如你不是第 1 部所述的個人，說明你的身分。如果你是以受權人身分簽署這份表格，須夾附該授權書的核證副本。)

# Delete as appropriate 刪去不適用者

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

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

## O. Declaration 聲明

### For Margin Account Only 只適用於保證金帳戶

Is the Corporate in control of 35% or more of the voting rights of a company, or does the Corporate belong to the same group of companies as of another company, which maintained a margin account with M&F Asset Management Limited?

貴公司有否持控另一公司百分之三十五或以上之表決權益，或者，貴公司是否屬另一公司的集團公司成員，而該公司現正持有漢豐資產管理有限公司 任何相關保證金融資帳戶？

No 否       Yes, Please specify 是，請說明      Name of Account Holder 帳戶持有人姓名： \_\_\_\_\_  
Account No. 戶口號碼： \_\_\_\_\_

Is the Corporate's financial liabilities is guaranteed by other guarantor 貴公司之財務負債是否由擔保人擔保？

No 否       Yes, Please specify 是，請說明  
Name of guarantor 擔保人姓名： \_\_\_\_\_  
ID No. 身份證號碼： \_\_\_\_\_  
Account No. 戶口號碼： \_\_\_\_\_ (if any 如是)

We hereby declare and confirm that, 本公司聲明及確認，

- the information stated in the Client Information Statement is true, complete and correct; and  
本公司資料報表內陳述的資料為真實、完整及準確；及
- I understand all Terms & Conditions set out in this Client Services Agreement and accept and agree to be bound thereby; and  
本公司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
- 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  
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
- the Account Opening Documents could be given by M&F Asset Management Limited at any time.  
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。



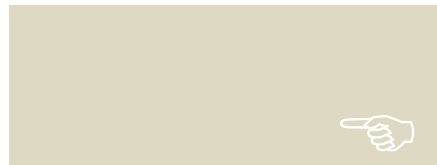
Authorized Signature(s) with Company Chop

獲授權人簽署及公司蓋章

Name 姓名： \_\_\_\_\_

Title 職位： \_\_\_\_\_

Date 日期： \_\_\_\_\_



Authorized Signature(s) with Company Chop

獲授權人簽署及公司蓋章

Name 姓名： \_\_\_\_\_

Title 職位： \_\_\_\_\_

Date 日期： \_\_\_\_\_

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  
Room A, 1/F, Henning House, 385-391 Hennessy Road, Wan Chai, 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  
香港灣仔軒尼詩道 385 至 391 號軒寧大廈 1 樓 A 室  
電話：+852 3196-3399

1. 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.
  2. 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.
  3. Personal Data may also be collected in the ordinary course of continuation of the business relationship with M&F Asset Management.
  4. Subject to the provisions of the Privacy Ordinance, any Personal Data may be used for the following purposes:
    - (a) the daily operation of the services provided to the Client;
    - (b) conducting credit checks;
    - (c) ensuring ongoing credit worthiness of the Client;
    - (d) marketing investment, dealing or related services or products;
    - (e) supporting any statements made in any documents in connection with the services of The Broker;
    - (f) assisting other relevant parties, professionals, institutions or relevant regulatory authorities to verify certain facts in connection with the services of The Broker;
    - (g) meeting the requirements to make disclosures under the requirements of any laws and/or regulations binding on The Broker;
    - (h) forming part of the records of the recipient of the data as to the business carried on by it; and
    - (i) any other purposes relating to or incidental to any of the above.
  5. 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):
    - (a) any agent or third-party service provider who provides services to The Broker in connection with the operation of its business;
    - (b) 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;
    - (c) any person or institution with which the Client has or proposes to have dealings;
    - (d) credit reference agencies and debt collection agencies (in the event of default payment);
    - (e) any regulatory authorities or exchanges which relate to or govern any business of The Broker and any M&F Asset Management Company;
    - (f) any assignee, transferee, delegate, successor or person to whom the account of the Client is transferred and the authorised person of the Client; and
    - (g) any of The Broker actual or proposed assignee or participant or sub-participant or transferee.
  6. 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.
  7. 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.
  8. In accordance with the terms of the Privacy Ordinance, any individual has the right to:
    - (a) check whether The Broker holds data about him/her and access to such data;
    - (b) required The Broker to correct any data relating to him/her which is inaccurate;
    - (c) 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
    - (d) 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.
1. 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）。
  2. 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。
  3. 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。
  4. 資料將可能用於下列用途：
    - (a) 為提供服務給客戶之日常運作；
    - (b) 作信貸檢查；
    - (c) 確保客戶之信用維持良好；
    - (d) 宣傳投資、交易或相關服務或產品；
  - (e) 支援經紀在有關服務上作出之任何文件內之任何聲明；
  - (f) 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；
  - (g) 根據經紀須遵守之有關法例及／或條例要求作出披露；
  - (h) 組成接收資料者所經營業務的紀錄的一部份；及
  - (i) 與上述有關或隨附之其他用途。
5. 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：
    - (a) 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；
    - (b) 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；
    - (c) 任何與閣下已有或建議有交易之人仕及機構；
    - (d) 信貸諮詢機構及（發生拖欠付款時） 收數公司；
    - (e) 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；
    - (f) 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
    - (g) 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。
  6. 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就其業務 經營而提供服務的服務提供者。
  7. 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。
  8. 根據私隱條例中之條文，任何人有權：
    - (a) 審查經紀是否持有他／她的資料及查閱有關之資料；
    - (b) 要求經紀改正有關他／她不準確之資料；
    - (c) 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
    - (d) 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。



Hong Kong limited company 香港有限公司

- 1. Certified true copy of Certificate of Incorporation  
公司註冊證書之核證副本
- 2. Copy of Business Registration Certificate/Proof of address (within 3 months)  
商業登記證或三個月內之公司地址副本
- 3. Certified true copy of Memorandum and Articles of Association  
公司組織章程大綱及細則之核證副本
- 4. Most recent certified Audited report and Accounts  
最近經審核報告及賬目之核證副本
- 5. Copy of Address Proof (within 3 months) of Director(s) & Guarantor(s)  
每名董事及擔保人三個月內之住址證明
- 6. Copy of HKID card or Passport of Authorized Person(s), director(s), shareholder(s) (for listed company who own 10% shares or above), beneficial owner(s) & guarantor(s)  
每名授權人士、董事、股東、最終權益擁有人及擔保人之香港身份證或護照副本 (如上市公司的股東持股 10%或以上)
- 7. Certified ownership organization chart identifying individual ultimately beneficial owner  
擁有權結構圖以識別最終受益人之核證副本
- 8. Certified true copy of Register of shareholders (only applicable for HK limited company)  
股東名冊之核證副本 (只適用於香港有限公司)
- 9. Certified true copy of Register of directors (only applicable for HK limited company)  
董事名冊之核證副本 (只適用於香港有限公司)

\* All certified true copy must be signed within 3 months by registered Lawyer / Accountant / Director  
所有核證副本必須由註冊律師或執業會計師或董事並於 3 個月內簽署證明

Additional documents required Limited company registered outside HK e.g. BVI 有限公司(海外註冊)額外文件

- 1. A certificate of incumbency, or registered agent's certificate identifying the current directors and officers which verified or issued by registered agent (within 6 months) or certified true copy of incumbency  
由註冊公司代理簽署證明公司現時有效的職權證明書 (6 個月內) 或職權證明書之核證副本
- 2. Certified true copy of Certificate of Good Standing (within 6 months)  
信譽良好證明書之核證副本 (6 個月內)
- 3. Certified true copy of Register of shareholders  
股東名冊之核證副本
- 4. Certified true copy of Register of directors  
董事名冊之核證副本

\* All certified true copy must be signed within 3 months by registered Lawyer / Accountant  
所有核證副本必須由註冊律師或執業會計師於 3 個月內簽署證明

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