

**M&F**

ASSET MANAGEMENT LTD

漢豐資產管理有限公司

香港灣仔軒尼詩道385至391號軒寧大廈1樓A室
 Room A, 1/F, Henning House, 385-391 Hennessy Road, Wan Chai, Hong Kong
 D: (852)31963399 F: (852)31963300 www.mfam.com.hk

Account No. 帳戶號碼 _____

CLIENT INFORMATION STATEMENT – FINANCIAL INSTITUTION**客戶資料表 - 金融機構****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：	SFC CE No. 證監會中央編號：	_____
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：		_____
Regulated activity 受規管活動：	Date of Incorporation 成立日期：	_____
Office Tel 辦公室電話：	Fax 傳真：	_____
Email 電郵：		_____

B. Details of Directors 董事資料

Name 姓名	HKID Card / Passport No. 香港身份證/護照號碼
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

C. Main of Responsible Officer 主要負責人員資料

Primary Name 英文姓名：	Chinese Name 中文姓名：
CE No 中央編號：	Fax 傳真：
Office Tel 辦公室電話：	Email 電郵：
Mobile 手機：	
Secondary Name 英文姓名：	Chinese Name 中文姓名：
CE No 中央編號：	Fax 傳真：
Office Tel 辦公室電話：	Email 電郵：
Mobile 手機：	

C. Statement Service Instruction 結單服務指示

New 新申請

Mailing address 通訊方法： By Post 郵寄 By E-mail 電郵 (Default 預設: Primary RO email 主要負責人員電郵地址)
Language 語言： English 繁體中文 简体中文

By selecting this option, you re-confirm that you have renounced to receive statement by mail. You understand and will bear the risk that your account information may be delayed, leaked or loss during the Internet Transmission process. We expressly deny any responsibility due to such transmission errors.
閣下選擇此項時，閣下已放棄以郵寄方式收取成交單據及明白到並同意承擔閣下之客戶資料可能在互聯網傳訊過程中延誤接收，洩漏或遺失之風險。本公司聲明將不會承擔因傳訊錯誤所引致的任何責任。

D. Bank & Settlement Information 銀行及交收資料

Bank Name 銀行名稱：

Bank Account Name 銀行戶口名稱：

Account No. 戶口號碼：

CCASS No.
中央結算系統編

E. 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
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Part 3 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") *

第三部 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」）*

- 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稅務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.			

Declarations and Signature 聲明及簽署

- 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。

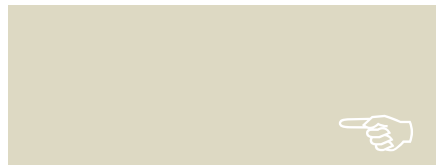
- I certify that I am the account holder / I am authorized to sign for the account holder # of all the account(s) to which this form relates.

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 self-certification 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，本自我證明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)

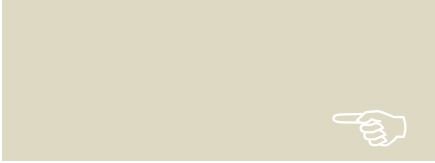
WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a 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。

G. Declaration 聲明

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
- 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。

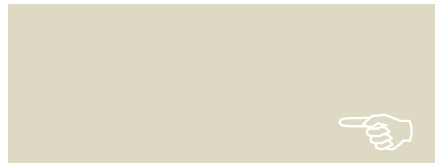


Authorized Signature(s) with Company Chop 獲授權人簽署及公司蓋章

Name 姓名：

Title 職位：

Date 日期：



Signed by the Witness 見證人簽署

The Client Signature was made in my presence

以下客戶簽署乃於本人面前簽立

Staff 職員

Licensed 持牌人/Registered person 註冊人, CE No.中央編號:

Professional 專業人士 (CPA (Practicing) 執業會計師/Lawyer 律師/Bank branch manager 銀行分行經理)

Name 姓名：

Title 職位：

Date 日期：

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 authorised 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.
- 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 -
 - disclosing and transferring your personal data (including CID and BCAN(s)) to
- 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。
- 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——
 - 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）；

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.

Client also agree 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.

10. 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

(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。

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。

10. 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

Exchange Participant 交易所參與者

- 1. Certified True Copy of Certificate of Incorporation Certificate
公司註冊證書之核證副本
- 2. Certified True Copy of Business Registration Certificate
商業登記證核證副本
- 3. Board Resolutions authorizing the account opening with M&F Asset Management, and showing the directors or other personnel authorized to operate the account (maximum 4 persons)
會議紀錄授權開設戶口並簽署有關開戶文件，並清楚列明授權操控戶口的董事及有關人士 (上限 4 人)
- 4. Certified True Copy of company's memorandum and articles of association
公司組織及大綱(M & A)核證副本
- 5. Certified True Copy of Photocopies of HKID cards of each of directors and other authorized persons to operate the account
每名董事和授權操控戶口人士的香港身份證核證副本
- 6. Proof of address of each of directors (within 3 months)
每名董事三個月內之公司地址副本
- 7. Certified True Copy of SFC License Certificate
證監會發牌紀錄之核證副本
- 8. Form W-8IMY
表格 W-8IMY
- 9. Name Card of signer & witness
獲授權簽署人及見證人之咭片
- 10. Professional Investor Letter – Category A
專業投資者函 – A 類

* 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

Introduced by (Options):	AE/ HSE Code:	Print Cheque: Yes/ No
Period of relationship:	Commission:	Min. Commission:
Trading Limit:	Credit Limit:	Checked by:
Company Search by: (latest AR & the after changes)		