



帳戶號碼：
Account No.

Huayu Securities Limited ("Company" or "HYS") is an Exchange Participant of the Hong Kong Exchanges and Clearing Limited; Securities and Futures Commission ("SFC") licensed corporation in respect of Type 1 (dealing in securities) and Type 4 (advising on securities) regulated activity (CE number is ACS416). 華裕證券有限公司 ("本公司" 或 "華裕證券") 為香港交易及結算有限公司之交易所參與者；證券及期貨事務監察委員會("證監會")第1類(證券交易)及第4類(就證券提供意見)受規管活動的持牌法團，中央編號 ACS416。

This Securities Trading Account Application Form ("Account Application"), together with the Huayu Securities Limited Client Agreement ("Agreement") (as the same may be supplemented, amended and modified from time to time) shall form part of the agreement made between you and Huayu Securities Limited in relation to this Securities Trading Account and the services provided in relation thereto. Client must read this Account Application and the Huayu Securities Limited Client Agreement carefully before signing this Account Application. 該證券交易帳戶申請表格，將會連同華裕證券有限公司的客戶協議 ("客戶協議") (有可能因應需要而作補充、更正或修改) 作為日後華裕證券有限公司向您提供有關證券帳戶服務的協議。客戶在簽署此表格前，必需細閱此申請表格及華裕證券有限公司的客戶協議內容。

CORPORATE SECURITIES ACCOUNT APPLICATION FORM (CASH) 公司證券帳戶申請表格 (現金)

China Connect Service 中華通交易 (Extra 2 working days 需要 2 個工作天申請)

☐ Yes 需要 (Provide CNY Bank Account 另提供人民幣帳戶) ☐ No 不需要

Electronic Trading (Internet and Mobile Channel) 選用電子交易服務 (包括互聯網及手提電話)

☐ Yes 需要 ☐ No 不需要

Streaming Quote Service (per month)
串流報價服務 (每月)

☐ No 不需要
☐ Yes 需要 (Extra Monthly Fee 另收取月費)

Two Factor Authentication Service (per month)
雙重認證服務 (每月)

☐ E-token / Biometric 電子保安編碼 / 生物認證 (Default 預設)
☐ Mobile telephone SMS 手機短訊 (Extra Monthly Fee 另收取月費)

We confirm that all combined statement; contract notes and correspondence to be sent to (Please tick one only)

吾等確認所有綜合結單、成交單據及通訊送交 (只可選一項)

☐ E-mail address 電郵地址 (Default 預設) E-mail address 電郵地址: _____
☐ Home address 住宅地址 (Extra Monthly Fee 另收取月費) ☐ Office address 公司地址 (Extra Monthly Fee 另收取月費)

Statement Language 結單語言

☐ Traditional Chinese 繁體中文 ☐ Simplified Chinese 簡體中文 ☐ English 英文

Bank Account Information 銀行戶口資料

Unless otherwise instructed by client, all monies payable to client is to be credited to the **MAIN** bank account

除經客戶另行指示外，付予客戶的款項將存入(主)銀行帳戶

Name of Bank 銀行名稱	Account No. 帳戶號碼	Currency 貨幣
(Main 主)		
(Ref 副)		
(For China Connect 中華通專用)		RMB 人民幣

(Note: Name of bank account holder must be in the name of the Client 注意: 銀行戶口名稱必需與客戶名稱相同)

1. CORPORATE INFORMATION 公司資料

Client Name Chinese 中文 _____
客戶名稱 English 英文 _____

Trading Name of Client (if different)

客戶營業名稱 (如不同) _____

華裕國際控股有限公司
HY International Holdings Limited
九龍尖沙咀廣東道 5 號海洋中心 9 樓 930 室
Suite 930, 9/F Ocean Centre Harbour City, 5 Canton Road, Kowloon Hong Kong

華裕證券有限公司
Huayu Securities Limited

華裕資產管理有限公司
Huayu Asset Management Ltd
<http://www.huayu-holdings.com>
Tel: +852 29 055 055 Fax: +852 2845 3538

華裕資本有限公司
HY Capital Co., Ltd



Nature of entity 實體性質	<input type="checkbox"/> Listed Company 上市公司	<input type="checkbox"/> Unlisted Company 非上市公司	<input type="checkbox"/> Partnership 合夥經營
	<input type="checkbox"/> Sole Proprietorship 獨資經營	<input type="checkbox"/> Others 其他 _____	
Nature of Business 業務性質 _____		Business Registration No. 商業登記證號碼 _____	
Certificate of Incorporation No. 公司註冊證書號碼 _____		Country of Incorporation 成立國家 _____	Date of Incorporation 成立日期 _____
Registered Address 註冊地址			
Principal Place of Business (if different) 主要營業地址 (如不同)			
Tel No. 電話號碼 _____	Fax No. 傳真號碼 _____	Contact Person 聯絡人 _____	
2. FINANCIAL SUMMARY 財務資料簡要			
Share Capital 股本			
Authorized Share Capital (if applicable) 批准發行股本 (如適用) _____		Share of _____ par value each. 股, 每股以 _____ 發行。	
Issued Share Capital 已發行股本 _____		Share of _____ par value each, fully/ partly paid. 股, 每股 _____, 已全數繳付/ 部分繳付。	
Latest Annual profit (after tax) 最近的除稅後純利		Latest Net Assets Value 最近的資產淨值	
Year 年份 _____ HKD 港元 _____		Year 年份 _____ HKD 港元 _____	
Source of Funds 資金來源	<input type="checkbox"/> Business Income 營業收入 <input type="checkbox"/> Sale of Property / Assets 出售物業/ 資產 <input type="checkbox"/> Return on Investment 投資回報 <input type="checkbox"/> Others 其他 (please specify 請說明) _____		
Origin of funds 資金來源地	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> P.R.C. 中國 <input type="checkbox"/> Others 其他 (please specify 請說明) _____		
Source of Wealth 財富來源	<input type="checkbox"/> Business Income 營業收入 <input type="checkbox"/> Sale of Property / Assets 出售物業/ 資產 <input type="checkbox"/> Return on Investment 投資回報 <input type="checkbox"/> Others 其他 (please specify 請說明) _____		

3. PARTICULARS OF ALL DIRECTORS 所有董事資料

Name 姓名	HKID/ Passport No. 香港身份證/ 護照號碼	Nationality 國籍	Tel No. 電話號碼	Residential Address 居住地址
1.				
2.				
3.				
4.				
5.				

**4. PARTICULARS OF SOLE PROPRIETOR/ ALL PARTNER(s)/ ALL ULTIMATE BENEFICIAL OWNER(s) WHO OWNS 25% OF SHAREHOLDING OR MORE OF THE ENTITY (NOT APPLICABLE TO LISTED COMPANY)
獨資經營者/ 所有合夥人/ 所有最終實益擁有人 (擁有公司 25% 股份或以上的任何擁有人) 資料 (不適用於上市公司)**

Name 姓名	HKID/ Passport No. 香港身份證/ 護照號碼	Nationality 國籍	Tel No. 電話號碼	Residential Address 居住地址
1.				
2.				
3.				
4.				

5. AUTHORIZED PERSON(s) 獲授權人

Name 姓名	HKID/ Passport No. 香港身份證/ 護照號碼	Position 職位	Tel No. 電話號碼	Specimen Signature 簽名式樣
1.				
2.				
3.				
4.				

Signing Instruction 簽署指示

- ☐ Anyone can sign singly 一位授權人簽署
☐ Any two must sign jointly 任何兩位授權人士簽署
☐ Others 其他 _____



6. DISCLOSURE OF IDENTITY AND RELATED ACCOUNT 關連帳戶及身份披露

- i. Is client a licensed corporation registered with the Securities and Futures Commission or registered institution under the Banking Ordinance?
客戶是否為證券及期貨事務監察委員會定義之持牌法團或註冊機構？
- ☐ No 否 ☐ Yes 是 CE No. is 中央編號為 _____
- ii. Is any director, shareholder or authorized person of the client an employee of any participant of the Hong Kong Exchange and Clearing Limited, 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/ Hong Kong Monetary Authority (“HKMA”) registered person or not)?
客戶之任何董事、股東或授權人士是否為香港交易及結算有限公司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/ 香港金融管理局（“金管局”）註冊人士）？
- ☐ No 否 ☐ Yes 是
- If yes, Intermediary Name 如是，法團名稱 _____
- CE No. 中央編號 _____ Position 職位 _____
- (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)
- iii. Is the client’s (i) directors, shareholders and/or its authorized persons; and/or(ii) theirs spouses, partners, children and/or parents; and/or (iii) spouses or partners of your children; and/or (iv) theirs close associate(s)## currently or previously entrusted with prominent public functions (e.g. Heads of State, Heads of government, senior politicians / important political party officials, senior government officials, senior judicial officials, senior military officials, senior executives of any state-owned enterprises or religious leaders) for any city, region or country?
(i) 客戶之董事、股東及或其授權；及/ 或 (ii) 他們之配偶、伴侶、子女及/ 或父母；及/或 (iii) 他們子女之配偶或伴侶；及/ 或 (iv) 與他們關係密切的人##是否現在或曾經就任何城市、地區或國家擔任重要公職（例如：國家元首、政府首長、資深從政者/ 重要政黨幹事、高級政府官員、高級司法官員、高級軍事官員、國有企業高級行政人員或宗教領袖）？
- ☐ No 否 ☐ Yes 是

Explanatory note 註解:

a person is a “close associate” of an individual if the person is: (a) an individual who has close business relations with the first-mentioned individual, including an individual who is a beneficial owner of a legal person or trust of which the first-mentioned individual is also a beneficial owner; or (b) an individual who is the beneficial owner of a legal person or trust that is set up for the benefit of the first-mentioned individual.

如某人符合以上說明，該人即屬與某個人（首述個人）關係密切的人；(a) 該人為與首述個人有密切業務關係的個人，包括屬法人或信託的實益擁有人的個人，而首述個人亦是該法人或信託的實益擁有人；或 (b) 該人是屬某法人或信託的實益擁有人的個人，而該法人或信託是為首述個人的利益而成立的。

If yes, please provide: 如是，請提供資料如下：

Name of the politically exposed person 政治人物的名稱 _____

Place and public function entrusted with 地方及所擔任的公職 _____

Term of the public function entrusted with 所擔任的公職的年期 _____

Relationship with the client 與客戶之關係 _____

- iv. Does the Applicant, the shareholder(s), director(s), partner(s), authorized person(s) or the ultimate beneficial owner(s) of the Account is a director or employee of Huayu Securities Limited?
申請人作為此帳戶之股東、董事、合夥人、獲授權人或最終實益擁有人是否華裕證券有限公司之董事或僱員？
- ☐ No 否 ☐ Yes 是 Name of the director or employee 董事或僱員之姓名 _____
- v. Does any of the Applicant’s group of companies have an account with Huayu Securities Limited?
申請人公司的集團內任何成員是否在華裕證券有限公司持有帳戶？
- ☐ No 否 ☐ N/A 不適用 ☐ Yes 是 Account No 帳戶號碼 _____ Name 姓名 _____

- vi. **Please complete the U.S. Foreign Account Tax Compliance Act (“FATCA”) Self-Declaration Form**
請填寫美國〈海外帳戶稅收法案〉自檢證明書

7. SELF-CERTIFICATION (ENTITY) 自我證明 (實體)

Entity Type 實體類別

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 與 _____, 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 除上述以外的主動非財務實體 (Please specify 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

Controlling Persons (Complete this part if the entity account holder is a passive NFE)

控權人 (如實體帳戶持有人是被動非財務實體，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。

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



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 three) jurisdictions of residence.

請提供以下資料，列明 (a) 帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區 (香港包括在內) 及 (b) 該居留司法管轄區發給帳戶持有人的稅務編號。列出所有 (不限於 3 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.

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。

如帳戶持有人並非任何稅務管轄區的稅務居民 (例如：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。

(a) Jurisdiction of Residence 居留司法管轄區	(b) 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，請解釋帳戶持有人 不能取得稅務編號的原因

8. SELF CERTIFICATION (CONTROLLING PERSON)
(COMPLETE THIS PART IF THE ENTITY ACCOUNT HOLDER IS A PASSIVE NFE)
自我證明 (控權人) (如實體帳戶持有人是被動非財務實體，填寫此部)

Complete this part only for an entity that is classified as a Passive NFE. 此部分只供被分類為被動非財務實體填寫。

For each Controlling Person, fill in ALL jurisdiction(s) and the associated TIN(s) where that Controlling Person is tax resident (including U.S. and Hong Kong, where applicable). 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. Please note that Controlling Person refers natural persons who meet specified requirements. If you have more than 4 Controlling Persons, use an additional Self-Certification Form.

就每位控權人士而言，必須填寫每位控權人士持有稅籍之所有司法管轄地及有關稅籍編號 (包括美國和香港，如適用)。

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。請留意控權人士代表符合指定條件之自然人。

如有超過 4 位控權人士，請使用額外的自我證明表格。



If the Controlling Person is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.

如控權人士是香港稅務居民，稅務編號是其香港身份證號碼。

- ❖ Reason A – The jurisdiction where Controlling Person is a resident for tax purposes does not issue TINs to its residents.
理由 A – 控權人士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 – Controlling Person is unable to obtain a TIN or equivalent number.
(Please explain why Controlling Person is unable to obtain a TIN in the below table if you have selected this reason)
理由 B – 控權人士不能取得稅務編號。(如選取這一理由，請在下表中解釋控權人士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 tax residence do not require the TIN to be disclosed.
理由 C – 控權人士毋須提供稅務編號。(請注意：這理由只適用於居留司法管轄區的主管機關不需要控權人士披露稅務編號)

Name of Controlling Person ("CP") 控權人士之姓名	All Jurisdiction(s) of Tax Residence of CP 控權人士稅務居民司法管轄地	TIN(s) for Each Jurisdiction of Tax Residence of CP or Enter Reason A, B or C if TIN is unavailable 控權人士在該司法管轄地持有稅籍之 稅務編號，如果不能提供稅籍編號， 請填寫理由 A、B 或 C	Explain why you are unable to obtain a TIN if you have elected Reason B 如選取理由 B， 解釋不能取得稅務編號的原因
CP1			
Residence Address 居住地址		Date of Birth (DD/MM/YY) 出生日期 (日/月/年)	
CP2			
Residence Address 居住地址		Date of Birth (DD/MM/YY) 出生日期 (日/月/年)	
CP3			
Residence Address 居住地址		Date of Birth (DD/MM/YY) 出生日期 (日/月/年)	
CP4			
Residence Address 居住地址		Date of Birth (DD/MM/YY) 出生日期 (日/月/年)	

華裕國際控股有限公司
HY International Holdings Limited
九龍尖沙咀廣東道 5 號海洋中心 9 樓 930 室
Suite 930, 9/F Ocean Centre Harbour City, 5 Canton Road, Kowloon Hong Kong

華裕證券有限公司
Huayu Securities Limited

華裕資產管理有限公司
Huayu Asset Management Ltd
<http://www.huayu-holdings.com>
Tel: +852 29 055 055 Fax: +852 2845 3538

華裕資本有限公司
HY Capital Co., Ltd



Please tick the appropriate box to indicate the type of controlling person for each controlling person.
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	CP1	CP2	CP3	CP4
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"/>	<input type="checkbox"/>
	Individual who exercises control/ is entitled to exercise control through other means (i.e. not less than 25% of voting rights) 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 (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"/>	<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"/>	<input type="checkbox"/>
Trust 信託	Settlor 財產授予人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Trustee 受託人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Protector 保護人	<input type="checkbox"/>	<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"/>	<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"/>	<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"/>	<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"/>	<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"/>	<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"/>	<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"/>	<input type="checkbox"/>



9. DECLARATION BY CLIENT AND DECLARATION FOR DATA PROTECTION 客戶聲明及個人資料保障聲明

By signing this Part, we, the undersigned declare, acknowledge and confirm that:

倘簽署本部份，吾等即簽字人聲明、同意及確認：

The information provided in this Account Application Form is complete, true and accurate;

本帳戶申請表提供的資料，均為完整、真實及準確；

The contents of the relevant and applicable parts of Terms and Conditions have been fully explained to us by a licensed representative(s) of HYS in a language which we understand;

帳戶條款之內容及條件之相關及適用部份已由華裕證券的註冊人士以吾等明白的語言向吾等作出充份解釋；

The Risk Disclosure Statements was provided to me/us in a language of our choice (English or Chinese) and we have been invited to read the Risk Disclosure Statements, to ask questions and take independent advice if we so wished;

吾等已獲提供風險披露聲明 (英文或中文)，及已獲邀閱讀該風險披露聲明，並按其意願提出問題及徵求獨立的意見；

We acknowledge and agree that (1) the information contained in this form is collected and may be kept by HYS for the purpose of automatic exchange of financial account information, and (2) such information and information regarding our account and any reportable account(s) may be reported by HYS 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 we 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). We certify that we are authorized to sign for the controlling person(s) of the account to which this form relates. We undertake to advise HYS of any change in circumstances which affects our tax residency status or causes the information contained herein to become incorrect within 30 days of such change in circumstances.

吾等知悉及同意，華裕證券可根據《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文，(1) 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 (2) 把該等資料和關於吾等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。吾等聲明吾等已被控權人授權簽署此表格。吾等承諾，如情況有所改變，以致影響本表格所述的稅務居民身分，或引致本表格所載的資料不正確，吾等會在情況發生改變後 30 日內通知華裕證券。

The FATCA Self-Certification Form was provided to us and we have read, understood and confirmed, and agree to be bound by all the provisions of this form and terms set out in the client agreement;

吾等已獲提供美國海外帳戶 FATCA 聲明書，並已閱讀、明白和確認及同意前述之聲明書及客戶協議一切所列條款，並同意接受其約束；

We have read, understood, confirmed, agree and accept to be bound by all the provisions of this Account Application Form, the Client Agreement, Terms and Conditions applicable to the type of Account(s) that we applied to open with HYS.

吾等已閱讀、明白和確認及同意本帳戶申請表、客戶協議書及有關華裕證券申請開立的有關類別帳戶之一切有關條款，並同意接受其約束。

Declaration for Data Protection 個人資料保障聲明

We have read and understood the contents of the Personal Information Collection Statement of HYS, and agree to its terms. We acknowledge receipt of a copy of the Personal Information Collection Statement.

吾等已參閱及明白華裕證券的個人資料收集聲明(“聲明”)，並且同意其條款。吾等確認已收妥該聲明的副本。

☐ We have hereby consent to the contents of the Personal Information Collection Statement and the use of our personal data by HYS in direct marketing and we understand that we can exercise the opt-out right by notifying HYS in writing from time to time.

吾等謹此同意該聲明的所有內容及同意華裕證券使用吾等的個人資料作直接促銷用途，並明白吾等可以隨時以書面形式通知華裕證券以行使吾等的選擇權拒絕促銷。

☐ We do not consent to the use of my/ our personal data in direct marketing.

吾等不同意使用吾等的個人資料於直接促銷。

華裕國際控股有限公司

HY International Holdings Limited

九龍尖沙咀廣東道 5 號海洋中心 9 樓 930 室

Suite 930, 9/F Ocean Centre Harbour City, 5 Canton Road, Kowloon Hong Kong

華裕證券有限公司

Huayu Securities Limited

華裕資產管理有限公司

Huayu Asset Management Ltd

<http://www.huayu-holdings.com>



Tel: +852 29 055 055

華裕資本有限公司

HY Capital Co., Ltd

Fax: +852 2845 3538



<div style="text-align: right; margin-bottom: 10px;"></div> <div>_____ Authorized Signature (with company chop, if applicable) 授權簽名 (附公司蓋章, 如適用)</div> <div>Name of Authorized Person 授權人姓名 _____</div> <div>Date 日期 _____</div>	<div style="text-align: right; margin-bottom: 10px;"></div> <div>_____ Signed and Certified by 見證人簽名及核證*</div> <div>Name of Witness 見證人姓名 _____</div> <div>License No. 執業編號 _____</div> <div>Contact Telephone 聯絡電話 _____</div>
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Explanatory note 註解:

* Where this Client Account Application Form is not executed in front of HYS's SFC licensed person nor submitted with an appropriate cheque#, this Client Account Application Form, copy and signing of the related identity of the client must be certified by a SFC licensed person, Justice of the Peace, a branch manager of a bank, a certified public accountant, a lawyer, a notary public or chartered secretary.
如本帳戶申請表非在華裕證券的證監會持牌人士面前簽名或非連同適當的支票# 遞交, 則本帳戶申請表格及相關的身份證明文件副本必需由證監會持牌人士、太平紳士、銀行分行經理、執業會計師、律師、公證人或特許秘書進行簽名核證。

A crossed cheque bearing client's name shown in client's identity document and drawn on his/ her account with a licensed bank in Hong Kong with the same signature(s) as shown on this Form in favour of "Huayu Securities Limited" for not less than HKD10,000. Client's new account will not be activated until the cheque is cleared.

客戶在香港的持牌銀行開立的帳戶並由客戶所簽發(該簽名需與此表格上的客戶簽名相符)並載有客戶在其身份證明文件上所顯示的姓名的劃線支票, 而該支票抬頭人需為“華裕證券有限公司”及其數額不得少於 10,000 港元。客戶被批核的新帳戶必須待支票兌現後才可使用。

Risk Disclosure Statement 風險披露聲明 (to be completed by the Company 由本公司填寫)

We, HYS representative(s), hereby declare and confirm that we have provided the risk disclosure statement annexed hereto in a language of Client's Choice (English/Chinese); and the Client was invited to read this risk disclosure statement, to ask questions and take independent advice if the Client so wished.

吾等為華裕證券的註冊職員, 並謹此聲明及確認吾等已按照上述客戶所選擇的語言(英文或中文)提供附於本表的風險披露聲明; 及客戶已被邀請閱讀此風險披露聲明書、提出問題及徵求獨立的意見(如客戶有此意願)。

☐ Face to Face 面對面

☐ Telephone 電話

_____ Signature of Licensed Person 持牌人簽名	_____ Name of Licensed Person 持牌人姓名	_____ CE No. 中央編號	_____ Date (DD/MM/YY) 日期 (日/月/年)	_____ Recorded Line No. 電話錄音號碼	_____ Time 時間
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Approved and Accepted by 核准及接納

Authorized Signature 授權簽名	Name of Authorized Person 授權人姓名	Date 日期
_____ DD 日 ____ MM 月 ____ YYYY 年		

FOR OFFICE USE ONLY

Commission Rate: (Trading System) _____ % (MIN) (Internet/Mobile) _____ % (MIN)

	Account Received	Document Checked	Input	Data Checked	Approved	Specimen Scanned
Initial						
Date						