

專業投資者投資帳戶開戶暨服務申請書（企業客戶）
Application for Professional Investor Investment Account Opening & Services (Corporate Customer)

申請人中文名稱 Chinese Name of Applicant	申請人英文名稱 English Name of Applicant
公司成立/註冊地 Place of Incorporation /Registration	公司證照字號 Business Identification Document No.
聯絡電話號碼 Contact Telephone Number	電郵 E-mail Address

一、申請人茲聲明以下事項：

1. 申請人已於_____年____月____日召開董事會會議通過下列決議：

- (a) 決議申請人申請永豐商業銀行股份有限公司香港分行（以下稱「永豐銀行」）專業投資者投資帳戶（以下稱「投資帳戶」）開戶暨相關服務（以下稱「本服務」）；
- (b) 決議授權詳列於『獲授權人士名單與簽章式樣』之人士為及代申請人進行與投資帳戶及本服務相關的任何交易及附帶的任何事宜，包含但不限於申購、承購、出售、贖回或變更投資標的及該等交易的交割等；及
- (c) 決議指定下列帳戶（限申請人開立於永豐銀行之帳戶）為本服務相關投資資金扣帳、入帳帳戶_____（以下稱「結算帳戶」），並謹此授權永豐銀行進行相關投資交易的扣帳、入帳等事宜；

2. 申請人已審慎閱讀、瞭解且願遵守永豐銀行「代理申購證券總約定書」/「買賣證券總約定書」（以下稱「該等約定書」）之條款，已經細閱、明白及接受由永豐銀行所提供的所有有關投資帳戶的章則條款，並已收到有關條款乙份；及

3. 除另有聲明外，申請人聲明及確認申請人是有關此投資帳戶的主事人、實際決策者，以及投資帳戶的最終實益擁有及風險承擔人，並以此等身份進行交易。除申請人以外，沒有任何其他人對投資帳戶擁有任何權益。

請列出投資帳戶的最終實益擁有人及實際決策者(如有) _____

The Applicant hereby declares the following:

1. The Applicant has convened a meeting of the Board of Directors and passed the following resolutions on _____ / _____ / _____ (insert date) :

- (a) Resolved that the Applicant apply for Professional Investor Investment Account (the “Investment Account”) and related services (the “Services”) with Bank SinoPac Hong Kong Branch (the “Bank”);
- (b) Resolved that the persons stated in the List of Authorized Persons and Specimen Signatures be authorized to conduct any transaction in relation to the Investment Account and the Services and any matter incidental thereto (including but not limited to subscription, purchase, sale, redemption or change of investment subject and settlement of any such transaction, etc) for and on behalf of the Applicant); and
- (c) Resolved that the following account (being an account opened by the Applicant with the Bank only) be designated as the account to deduct or deposit investment funds in relation to the Services:
_____ (the “Settlement Account”) and hereby authorising the Bank to execute the deduction or deposit in the settlement account for relevant investment transactions;

2. The Applicant has read carefully and understands and is willing to abide by the “Terms and Conditions for Agency for Subscription of Securities”/ “Terms and Conditions for Sale and Purchase of Securities” (“Those Terms”). The Applicant has read, understood and agree to be bound by all the relevant terms and conditions issued by the Bank governing the Investment Account and acknowledge receipt of a copy; and

3. Unless specify otherwise, the Applicant hereby declares and confirms that the Applicant is the principal, the original person to give orders and the ultimate person to own the benefits or to bear the risks in relation to the Investment Account and will conduct all related transactions in this capacity. Besides the Applicant, there will be no other person who shall have any interest in this Investment Account.

Please specify who is the ultimate beneficiary and the original person to give orders (if any) _____

二、專業投資者確認書

就申請人向永豐銀行開立的專業投資者投資帳戶，同意並確認如下：

1. 申請人符合香港《證券及期貨條例》(香港法例第 571 章)(以下稱《證券及期貨條例》)中之有關「專業投資者」的定義；及
2. 永豐銀行已向申請人完全解釋作為專業投資者的風險及後果及有權撤回被視為專業投資者的權利(正如永豐銀行向申請人提供的「有關專業投資者的說明」所載之條款)。

申請人聲明並確認申請人完全明白及了解專業投資者聲明之內容，作為專業投資者的風險及後果，及同意被視為專業投資者。

Confirmation of Being Treated As a Professional Investor

In consideration of the Professional Investor Investment Account to be opened with the Bank, the Applicant agrees and confirms the following:

1. The Applicant fall(s) within the definition of “Professional Investor” under the Securities and Futures Ordinance (Chapter 571 of the Laws of HongKong) (the “Securities and Futures Ordinance”); and
2. The Bank has explained to the Applicant the risks and consequences of being treated as a Professional Investor and the right to withdraw from being treated as such as contained in the “Explanation Regarding Professional Investor” provided by the Bank to the Applicant.

The Applicant declares and confirms that the Applicant fully understands the provisions in the Notice of Treatment as a Professional Investor and the risks and consequences of being treated as a Professional Investor, and agrees to be treated as such.

三、獲授權人士名單與簽章式樣 List of Authorized Persons and Specimen Signatures

申請人謹此委任下列人士為該等約定書下或其所指的獲授權人士，投資帳戶並可根據下列獲授權人士之指示運作。

申請人謹此進一步聲明對獲授權人士或聲稱由獲授權人士為及代表申請人所發出之任何及所有指示負責，及將向永豐銀行賠償就因為獲授權人士之行為或遺漏而引致的一切損失、損害、費用及開支作出彌償。

The Applicant hereby appoints the persons listed below as Authorized Person(s) under and within the meaning of Those Terms and that the Investment Account can be operated on the instructions of the Authorized Person(s) listed below.

The Applicant hereby further declares that the Applicant shall be responsible for any and all instructions given by the Authorized Person(s) or purported to be given by the Authorized Person(s) for and on behalf of the Applicant, and shall indemnify the Bank against all losses, damages, costs and expenses whatsoever incurred as a result of any act or omission of any of the Authorized Person(s).

因永豐商業銀行所提供給本人之各項銀行/金融及有關務服務，本人確認已審慎閱讀及充分了解並同意永豐商業銀行「個人資料隱私條例通知書」相關條文。

In consideration of Bank SinoPac’s agreement to provide banking, financial and related services to me, I confirm that I have read and understand the conditions set out in the attached Circular to Customers and Other Individuals relating to the Personal Data (Privacy) Ordinance and agree to be bound by such conditions.

1. 申請人謹此授權以下第壹部份獲授權人士 共同/任何 人* 為及代申請人進行與投資帳戶及本服務相關的任何類型交易，以及按照第壹部份及第貳部份的簽章式樣簽署及簽立任何相關之各項文件：(*刪去不適用者)

The Applicant hereby authorizes the Authorized Persons in Part A below jointly / any of the Authorized Persons in Part A below * to conduct any kind of transactions in relation to the Investment Account and the Services and to sign and execute any such documents in relation thereto in accordance with the specimen signature in Part A and Part B for and on behalf of the Applicant : (*delete where inapplicable)

2. 倘獲授權人士多於六人，請另填一份申請書並加獲授權簽署的簽署及公司印章/鋼印作為本申請書附件。

If there are more than 6 Authorized Persons, please fill in another application form with the authorized signature(s) of the Company with company chop/seal as attachment to this application form.

PART A (第壹部份) 獲授權人士簽章式樣 Specimen Signatures of Authorized Persons

本人/吾等作為下列之獲授權人士現確認，並於下列簽署欄內簽署作實，本人/吾等已參閱並明白永豐銀行給予客戶有關《個人資料（私隱）條例》的通知並同意其條款。I/We, the Authorized Person(s) listed below, by signing in the space designated for signature below, hereby confirm(s) that I/we have read and understand the Bank's Notice to Customers on the Personal Data (Privacy) Ordinance and agree to its terms.

獲授權人士1簽名 Specimen Signatures of Authorized Person 1	獲授權人士2簽名 Specimen Signatures of Authorized Person 2
姓名 Full Name: 證件號碼 ID/Passport No.:	姓名 Full Name: 證件號碼 ID/Passport No.:
獲授權人士3簽名 Specimen Signatures of Authorized Person 3	獲授權人士4簽名 Specimen Signatures of Authorized Person 4
姓名 Full Name: 證件號碼 ID/Passport No.:	姓名 Full Name: 證件號碼 ID/Passport No.:
獲授權人士5簽名 Specimen Signatures of Authorized Person 5	獲授權人士6簽名 Specimen Signatures of Authorized Person 6
姓名 Full Name: 證件號碼 ID/Passport No.:	姓名 Full Name: 證件號碼 ID/Passport No.:

PART B (第貳部份) 公司或業務圖章/印章式樣 Specimen Company or Business Chop/Seal

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☐ 不需加蓋第貳部份之公司或業務圖章/印章（需經董事簽字同意）

Without Company or Business Chop/Seal in Part B (Director's signature is required)

需經董事簽字同意:	需經董事簽字同意:	需經董事簽字同意:	需經董事簽字同意:
對保日期及地點:	對保人姓名:	對保人簽字:	其他:

1. 投資存款服務 Investment Deposit Service

吾／吾等為以上存款帳戶持有人，要求永豐商業銀行香港分行（以下稱貴行）於吾／吾等已開立的存款帳戶下，開啟投資存款（按該等條款所定義）之服務，並受制於貴行不時有效的(i)帳戶一般條款及條件及(ii)投資存款 條款及條件（統稱「該等條款」）內之條文，而該等條款之所有條文均被收納入並成為本申請書的一部分。該等條款所定義的條款及詞句，除本文另行定義外，若用於本申請書內，當具相同涵義。

I/We, the under-named Account Holder, hereby apply for the Investment Deposit(s) (as defined in the Conditions) under the Deposit Account. I/We have opened with Bank SinoPac Hong Kong Branch (hereinafter the "Bank"), subject to the provisions of (i) the General Terms and Conditions for Accounts and (ii) the Terms and Conditions for Investment Deposit (the "Conditions") of the Bank in force from time to time which shall be incorporated into and shall form part of this Application. The terms and expressions defined in the Conditions shall, unless otherwise defined herein, have the same meaning when used in this Application.

就被指定用作投資存款的結算帳戶，吾／吾等或獲授權人士之詳細資料及簽字式樣，以及協定簽署安排均載明於有關之個人帳戶申請書、獨資經營商行帳戶申請書、合夥經營商行帳戶申請書、有限公司帳戶申請書開戶表格（統稱「開戶文件」）內。

In respect of the account(s) designated as the Settlement Account for the Investment Deposit(s), the particulars and specimen signature(s) of me/us or the Authorized Persons and the Agreed Signing Arrangement and other required information are set out in the relevant Mandate for Personal Accounts, Mandate for Sole Proprietorship Accounts, Mandate for Partnership Accounts, Mandate for Limited Company Accounts and/or Securities Account Opening Form (collectively, the "Account Opening Documents").

一、存款保障計劃規則通知 Notice to Customers Under the Deposit Protection Scheme Rules

永豐商業銀行股份有限公司，現通知閣下投資存款並非《存款保障計劃條例》（香港法例第 581 章）（「存保條例」）所闡釋之受保障存款，且不受就存保條例所成立之存款保障計劃（「存保計劃」）所保障。

Bank SinoPac, hereby notifies you that the Investment Deposit(s) is/are not protected deposit(s) within the meaning of the Deposit Protection Scheme Ordinance (Cap. 581)(the "Ordinance"), and is/are not protected by the Deposit Protection Scheme established under the Ordinance (the "Scheme").

如閣下有任何疑問，或需要進一步的資料及說明，閣下可致電本行之查詢熱線（852）2907-6968。閣下亦可透過以下途徑獲得更多有關存保計劃及香港存款保障委員會（「存保委員會」）的資料：

If you have any query or need any further information and clarification, please contact our enquiry hotline at (852) 2907-6968.

You can also obtain more information about the Scheme and the Hong Kong Deposit Protection Board (the "Board"):

1. 存保委員會的資料單張(如有要求，可提供一份資料單張)；

An information leaflet from the Board (a copy of the leaflet will be provided upon request;

2. 存保委員會之網頁(www.dps.org.hk)；

you may also visit the Board' s website (www.dps.org.hk) ；

3. 致電存保委員會之查詢熱線（852）1831 831；

you may also call the Board' s enquiry hotline at (852) 1831 831；

4. 電郵致存保委員會之電郵信箱 dps_enquiry@dps.org.hk；或 致函存保委員會，地址為香港灣仔皇后大道東183號合和中心18樓1802 - 1810室。

You may also email the Board at dps_enquiry@dps.org.hk ; or by write to the Board at Room 1802 - 1810, 18th Floor, Hopewell Centre, 183 Queen's Road East, Wanchai, Hong Kong.

二、存款保障計劃規則確認 Confirmation from Customers For Understanding the Deposit Protection Scheme Rules

吾／吾等，即下述簽署人，現承認及確認吾／吾等在 貴行申請有關投資存款服務、或在進行投資存款交易前，吾／吾等已收到及審閱本通知，並明白投資存款並非存保條例所闡釋之受保障存款，且不受存保計劃所保障。

I/We, the undersigned, hereby acknowledge and confirm that I/we have received and perused this Notice and understand that Investment Deposit(s) is/are not protected deposit(s) within the meaning of the Ordinance and is/are not protected by the Scheme before I/we Apply for the service with the Bank for the purpose of Investment Deposit(s), invest in the Investment Deposit(s) or enter into transaction contemplated by the Investment Deposit(s).

三、客戶聲明 Declaration by Applicant

1. 吾／吾等確認收到整套以吾／吾等所選擇之語言所撰寫並現行有效的該等條款。

I/We acknowledge receipt of a full set of the Conditions which are currently in force in my/our selected language.

2. 吾／吾等已詳細閱讀該等條款，而吾／吾等確認吾／吾等接受並同意在各方面均受該等條款所約束。

I/We have read the Conditions and I/We confirm that I/We accept and agree to be bound by all respects of the Conditions.

3. 貴行已按照吾／吾等所選擇之語言向吾／吾等提供列明於該等條款內的風險披露聲明，並以吾／吾等所選擇之語言向吾／吾等解釋該等風險披露聲明之內容。吾／吾等亦已獲貴行促請細閱該等風險披露聲明、發問問題及按吾／吾等意欲徵詢獨立意見。

I/We have been provided with the risk disclosure statements set out in the Conditions and explained of the contents of the said risk disclosure statements, both in a language of my/our choice. I/We have also been invited to read the said risk disclosure statements, ask questions and take independent advice if I/We so wish.

4. 吾／吾等謹此聲明，一切吾／吾等於本申請書及附錄一之董事會決議案經核證為真實的副本（如適用）內陳述的資料均為真實、完正及正確。除非貴行收到吾／吾等任何書面更改通知，否則貴行有權就各方面完全信賴此等資料核陳述。貴行獲授權在任何時間連絡任何人士，包括吾／吾等之銀行、經紀或任何信貸代理，以核實於本申請書及各附錄內所提供及／或其他於本申請書所陳述的資料。

I/We hereby declare that all information given by me/us in the Account Opening Documents, and/or otherwise stated in the Application and the certified true copy of the Board Resolution (where applicable) in Appendix I hereto are true, complete and correct. You are entitled to rely fully on such information and representations for all purposes, unless notice in writing of any changes is received by you from me/us. You are authorized at any time to contact anyone, including my/our bankers, brokers or any credit agency, for purposes of verifying the information provided in the Account Opening Documents, Appendices and/or otherwise stated in this Application.

5. 吾／吾等謹此承認及確認吾／吾等已收到、審閱及明白載於一部分及二部分之通知，並被要求承認，及已承認在簽署本申請書前已收到、審閱及明白載於一部分及二部分之通知。

I/We hereby acknowledge and confirm that I/We have received, perused and understood the Notice as set out in Part A and B hereto and I/We was/were requested to acknowledge and did acknowledge that I/we have received, perused and understood the Notice as set out in Part A and B prior to signing this Application hereto.

6. 在吾／吾等簽署本申請書前，吾／吾等已適當地考慮貴行所提示，吾／吾等應就本申請書之內容及效力尋求獨立的法律或其他專業顧問之意見。吾／吾等已已詳閱及同意在各方面受本申請書所約束。

Before I/We sign this Application, I/We have duly considered the Bank's advice that I/We should seek independent legal or other expert advice regarding the contents of this Application. I/We have read and agreed to be bound by this Application in all respects.

7. 貴行謹此獲授權：

The Bank is hereby authorized:

- (a) 隨時（而不須事先通知吾／吾等任何一人，及即使有任何帳目的結算或其他任何事情）合併或綜合吾／吾等所有或任何當其時存在的帳戶（屬任何性質，不論是否須給予通知，及倘若屬聯名帳戶，不論是以吾／吾等個人名義或以吾等共同名義所開設），並抵銷或轉撥任何一個或以上的該等帳戶（不論於何地開設）內記於貸項之任何款項，用以清償吾或吾等一人或多人在任何其他帳戶或在任何其他方面對貴行的任何負債，不論該等負債是現在或將來的、屬實際或是或有的、基本或附屬的，以及各別或共同的，而若該等合併、抵銷或轉撥須將一種貨幣兌換成另一種貨幣，則該項兌換應按合併、抵銷或轉撥當日貴行決定為有關的外匯市場的現行匯率（由貴行作不可推翻之釐定）計算；

at any time without prior notice to me or any one of us and notwithstanding any settlement of account or other matter whatsoever, to combine or consolidate all or any of my/our then existing account (of whatever nature, whether subject to notice or not and, in the case of joint account, whether in our individual name or in our joint names), and to set-off or transfer any sums standing to the credit of any one or more of such account, wheresoever situate, in or towards satisfaction of any liabilities owed by me or any one or more of us to the Bank on any other account or in any other respect whatsoever, whether such liabilities be present or future, actual or contingent, primary or collateral, and several or joint, and where

such combination, set-off or transfer requires the conversion of one currency into another, such conversion shall be calculated at the spot rate (as conclusively determined by the Bank) prevailing in such foreign exchange market as the Bank shall determine to be relevant on the date of the combination, set-off or transfer;

- (b) 就吾或吾等一人或多人不論因任何理由被貴行或控制所有財產行使留置權，及如有需要（且不論是否為貴行的通常業務運作）權出售該等財產，以清償吾或吾等一人或多人對貴行任何不論性質的負債；

to exercise a lien over all properties of mine or any one or more of us coming into possession or control of the Bank for any reason whatsoever, and whether or not in the ordinary course of banking business, with power to sell such properties, if necessary, to satisfy any liabilities owed by any one or more of us of whatever nature to the Bank;

- (c) 在符合《遺產稅條例》（香港法例第 111 章）之條文下，如適用，倘若帳戶是聯名帳戶，於吾等任何一人去世時，為尚存者保有任何以吾等聯名持有之投資存款（但無損貴行就有關投資存款因應任何留置權、押記、質押、抵銷、反索償或任何方面而可能擁有的任何權利），並應任何人士的任何索償，以及絕對酌情權在認為合適的情況下，代尚存者採取任何步驟或法律程序（由尚存者支付費用）。

Subject to compliance with the provisions of the Estate Duty Ordinance (Cap. 111), if applicable, in the case of a joint account, to hold upon the death of any one of us any Investment Deposit held in our joint names to the order of the survivor without prejudice to any right the Bank may have in respect thereof, arising out of any lien, charge, pledge, set-off, counter-claim or otherwise whatsoever and to take any step or legal proceedings for the account of and at the expense of the survivor which the Bank may in its absolute discretion deem desirable in view of any claim by any person.

2. 衍生工具知識聲明 Declaration of Knowledge on Derivatives

根據《香港證券及期貨事務監察委員會》之相關規定，中介人(包括註冊機構)應評估客戶對衍生工具的認識，並根據客戶對衍生工具的認識將客戶分類，因此懇請您填寫對於衍生工具的認知。感謝您的配合！

According to the relevant regulations of the Securities and Futures Commission of Hong Kong, intermediaries (including registered institutions) should assess customers' knowledge on derivatives and classify their customers according to their knowledge on derivatives. Therefore, please complete the following as per your knowledge on derivatives. Thank you for your cooperation!

☐ 本人沒有任何衍生工具相關知識

I / we do not have any knowledge on derivatives.

☐ 本人聲明根據下列選取原因，本人/本公司具有衍生工具相關知識(可選擇多於一項)：

I / we declare that I / we have knowledge on derivatives based on the following reason(s) (may tick more than one):

☐ 曾經接受或參加由金融或學術機構所提供有關衍生工具的培訓或課程：

Have received or participated in training or courses on derivatives provided by financial or academic institutions:

☐ 永豐銀行的網上「一般衍生工具知識」，本人並聲明已完成由永豐銀行提供有關衍生工具的培訓。本人明白該教材短片的內容並同意貴行將本人界定為對衍生工具有認識的客戶。

I declare that I have completed a training on derivatives offered by Bank SinoPac named [一般衍生工具知識]. I fully understand the training materials and agree that Bank SinoPac may classify and treat me as a customer who has knowledge on derivatives.

☐ 其他金融或學術機構，機構名稱：_____

Other financial or academic institutions, institution name: _____

及 and

有關課程名稱：_____

Course Name: _____

☐ 擁有金融相關專業資格：☐ CFA ☐ FRM ☐ 其他：_____

Finance related professional qualification: ☐ CFA ☐ FRM ☐ others: _____

☐ 現在或曾經於金融機構名稱：_____

Now working or have worked in connection with derivatives at least one year in financial institution name:

從事衍生工具相關的工作(部門：_____ 職稱：_____)至少一年。

Department: _____ Job title: _____

☐ 於過去三年內有五次或以上的衍生產品交易經驗，衍生產品包括：貨幣掛鉤產品、利率掛鉤產品、股票掛鉤產品、信貸掛鉤產品、牛熊證、衍生認股權證、ETF 等，如勾選此項，請提供有關書面記錄(如對帳單、交易確認書等)。

Had at least five derivatives transaction experience in the last three years, including currency linked products, interest rate linked products, stocks linked products, credit linked products, bull bear certificates, derivative warrants, ETF, etc. If this option is selected, please provide relevant written records and transaction documents (such as account statement, transaction confirmation, etc.).

本人/吾等確認所提供的資料均屬真確。本人/吾等已明白倘若聲明書內容不實，永豐銀行將不能夠評估所要求服務對本人/吾等的適合性。

I / we confirm that the information provided is true and complete. I / we have understood that if the information provided is untrue or incomplete, Bank SinoPac will not be able to assess the suitability of the services requested by me / us.

3. 客戶投資風險屬性問卷 – 法人戶 Customer Investment Risk Attribute Questionnaire-Corporate Account

本問卷係為協助 貴公司瞭解本身投資屬性與風險承受度，本行將依貴公司獲授權人所填資料進行評估，請依實際情況填答所列問題，以避免影響評估結果。感謝您的配合！

This questionnaire is to help you understanding the investment attributes and risk tolerance of customer (“the company”). We will make an assessment based on the provided information. Please fill in the questionnaire according to your actual circumstances to avoid inadvertently affecting the evaluation results. Thank you for your cooperation!

Q1. 貴公司總資產約當港幣？

What is the total assets of the company approximately equivalent to HKD?

- | | |
|---|---|
| A. ☐ 800萬以下
Less than 8 million | B. ☐ 800萬(含)~未滿2,000萬
More than 8 million (inclusive) but less than 20 million |
| C. ☐ 2,000萬(含)~未滿3,000萬
More than 20 million (inclusive) but less than 30 million | D. ☐ 3,000萬(含)~未滿4,000萬
More than 30 million (inclusive) but less than 40 million |
| E. ☐ 4,000萬(含)或以上
40 million (inclusive) or above | |

Q2. 貴公司年營收約當港幣？

What is the annual revenue of the company approximately equivalent to HKD?

- | | |
|--|--|
| A. ☐ 1,250萬以下
Less than 12.5 million | B. ☐ 1,250萬(含)~未滿2,500萬
More than 12.5 million (inclusive) but less than 25 million |
| C. ☐ 2,500萬(含)~未滿1億2仟500萬
More than 25 million (inclusive) but less than 125 million | D. ☐ 1億2仟500萬(含)~未滿2億5仟萬
More than 125 million (inclusive) but less than 250 million |
| E. ☐ 2億5仟萬(含)或以上
250 million (inclusive) or above | |

Q3. 請問 貴公司打算預留多少百分比流動資產淨值作投資用途？

What percentage of net current assets do you intend to be reserved for investment?

- | | | |
|---------------------------------|--------------------------------------|---------------------------------|
| A. ☐ 10% | B. ☐ 20% | C. ☐ 30% |
| D. ☐ 40% | E. ☐ 多於 > 40% | |

Q4. 貴公司預計於香港分行申購的個別投資產品最長投資年限為何？

What is the longest investment period of an individual investment product you expect to purchase from Hong Kong branch?

- | | | |
|--|--|--|
| A. ☐ 1年(含)以下
Less than 1 year (inclusive) | B. ☐ 3年(含)以下
Less than 3 years (inclusive) | C. ☐ 5年(含)以下
Less than 5 years (inclusive) |
| D. ☐ 7年(含)以下
Less than 7 years (inclusive) | E. ☐ 10年(含)以下
Less than 10 years (inclusive) | F. ☐ 10年(不含)或以上
10 years (exclusive) or more |

注意：投資涉及風險與回報的權衡。一般情況下，獲得較高回報的投資者往往承擔相應較高的資產價值波動和損失；但較高的資產價格波動和損失並不代表或保證相關資產可以獲得較高回報或正回報。

Note: Investment involves a trade-off between risk and return. Generally, investors who get higher returns tend to bear the corresponding higher asset value volatility and loss. However, the higher asset price volatility and loss does not mean or guarantee that the relevant assets can obtain higher or positive returns.

Q5. 以下哪項描述最符合 貴公司對投資回報與風險所持的一般態度？（投資目標）

Which of the following statements reflect your general attitude towards return and risk the best? (Investment Objective)

- | |
|--|
| A. ☐ 公司投資目標是保守為主，獲取高於銀行存款利率的投資回報，只願意接受非常低之投資損失。
Our investment objective is primarily conservative, aiming to obtain investment return higher than bank deposit interest rate, and we are only willing to accept very low level investment loss. |
| B. ☐ 公司投資目標是安穩為主，獲取低至中度資本增值，願意接受低至中等水平的投資損失。
Our investment objective is primarily stability-focused, aiming to obtain low to moderate level capital gains and be willing |

to accept low to medium level investment losses.

- C. ☐ 公司投資目標是穩健為主，獲取中度資本增值，願意接受中至高水平的投資損失。
Our investment objective is primarily focused on stability, aiming to achieve moderate level capital gains and be willing to accept medium to high level investment losses.
- D. ☐ 公司投資目標是成長為主，獲取高度資本增值，願意接受高水平的投資損失。
Our investment objective is primarily focused on growth, aiming to obtain a high level of capital appreciation and be willing to accept a high level of investment losses.
- E. ☐ 公司投資目標是積極為主，獲取極高的資本增值，願意接受非常高水平的投資損失，包括損失超出原投資金額的可能性。
Our investment objective is primarily aggressive, aiming to obtain extremely high level capital appreciation, and we are willing to accept a very high level of investment loss, including the possibility of loss exceeding the original investment amount.

Q6. 以下10年期投資組合的波動水平，最接近 貴公司對投資回報的波幅水平的期望？

Which of the following volatility level of a 10-year investment portfolio is closest to your expectation of the volatility level of your investment return?

- A. ☐ -5%~+5%的波動，以保守/安穩為主。
A fluctuation of -5% to +5%, with a primary focus on conservative/stability.
- B. ☐ -10%~+10%的波動，以保守/安穩為主。
A fluctuation of -10% to +10%, with a primary focus on conservative/stability
- C. ☐ -20%~+20%的波動，以穩健/成長/積極為主。
A fluctuation of -20% to +20%, with a primary focus on stability/growth/aggressiveness.
- D. ☐ -30%~+30%的波動，以穩健/成長/積極為主。
A fluctuation of -30% to +30%, with a primary focus on stability/growth/aggressiveness.
- E. ☐ 超過以上所有選項的波動，以穩健/成長/積極為主。
More than all of the above options, with a primary focus on stability/growth/aggressiveness.

Q7. 假設 貴公司的投資標的在短期內(如1年)下跌了20%，貴公司會怎樣做？

In the event that the value of your investment falls by 20% in the short term (e.g. within one year), what would you do?

- A. ☐ 會立刻停損。
We will stop incurring further losses immediately.
- B. ☐ 會停損，再找另一些表現較好的投資標的。
We will stop incurring further losses and find other investment options with better performance.
- C. ☐ 會憂慮，但會再觀察一段時間，再作決定。
We will be worried but will observe for a little longer before we make a decision.
- D. ☐ 明白投資附有風險，公司會著重長線的投資回報率。
We understand that investment involves risks, and we will focus on long-term return of the investment.
- E. ☐ 會趁低位買入更多單位/股份。
We will take advantage of the depreciation and buy more units / shares.

Q8. 貴公司您整體投資資產損失超過20%，對公司的營運影響程度為何？

If you lose more than 20% of the value of your total investment assets, what is the impact on the operation of the company?

- | | | |
|--|---|---|
| A. ☐ 無法承受
Unable to bear the influence | B. ☐ 影響程度大
The degree of influence is large | C. ☐ 中度影響
The degree of influence is moderate |
| D. ☐ 影響程度小
The degree of influence is small. | E. ☐ 不會有影響
No influence | |

填寫注意事項及重要事項：

Important note:

1. 為保障 貴公司的權益，本問卷自 貴公司授權人確認同意評估結果之日起計算一年內有效；當貴公司的基本資料或投資相關資訊有變動時，請重新進行評估。如逾期未重新評估時，本行將無法為您提供投資服務。
In order to protect your rights and interests, this questionnaire is valid for one year from the date when you confirm the evaluation results. If there is any change on the company's details or investment related information, please complete another questionnaire and be re-evaluated. If there is no reassessment within the time limit, we will not be able to provide you with investment services.
2. 本評估結果係根據 貴公司提供的資料分析而得，僅作為 貴公司投資決策之參考，**本行並不分擔投資風險或為任何本金或收益保證。**
The evaluation results are based on the information provided by you and are only for the purpose of your investment decision making. **The Bank does not share any investment risk or guarantee any principal or income.**
3. 第六題如貴公司選擇C、D 或 E之選項時，須注意，在一般情況下，追求較高回報的投資者通常需要承擔相應較高的資產價值波動和潛在損失風險，這可能對貴公司營運產生一定程度的影響。在此情形下，如第八題您選擇A、B 或 C之選項時，可能會出現矛盾情況。
If you choose option C, D, or E for the question 6, please be aware that, generally, investors who pursuing higher returns tend to bear correspondingly higher levels of asset value volatility and potential loss risks. This may have a certain degree of impact on the operations of the company. In this situation, if you choose option A, B, or C for question 8, a contradiction may arise.
4. 第七題如貴公司選擇D 或 E之選項時，須注意，在一般情況下，風險承受度較高的投資者通常需要承擔相應較高的資產價值波動和潛在損失風險，這可能對貴公司營運產生一定程度的影響。在此情形下，如第八題您選擇A或B之選項時，可能會出現矛盾情況。
If you choose option D or E for the question 7, please be aware that, generally, investors who pursuing higher returns tend to bear correspondingly higher levels of asset value volatility and potential loss risks. This may have a certain degree of impact on the operation of the company. In this situation, if you choose option A or B for question 8, a contradiction may arise.

客戶確認

Customer confirmation

1. 以上所作之投資屬性評估係由本公司之授權人員親自填答。
The above questionnaire is completed by an authorized personnel of the company.
2. 本公司確認已收執本次執行「投資風險屬性問卷」副本(與 貴行正本內容相符)乙份無誤。
We confirm that we have received and held a copy of this Customer Investment Risk Attribute Questionnaire (consistent with the original) without error.
3. 本問卷係由本公司授權之人員親自填答，本公司確認以上資訊真實無誤，貴行得蒐集、處理及利用作為衡量本公司投資風險屬性之依據。
We confirm that the above information is true and complete. The Bank may collect, process and use any information provided by us as the basis for assessing our investment risk attribute.

根據貴公司獲授權人對以上問卷的回答，貴公司的評估結果及投資屬性分析為：

According to the authorized person of the company's answers to all questions above, The results of evaluation and investment attribute analysis are as follows:

勾選 Select	投資屬性 Investment Attribute	投資屬性分析 Investment Attribute Analysis
☐	第一級 Level 1 保守型 Conservative	貴公司能承受的投資風險極低，建議資金配置在銀行存款，或具有穩定收益的商品。 You can bear very low investment risk. It is recommended to allocate funds in bank deposits or products with stable income.
☐	第二級 Level 2 安穩型 Safe and stable	貴公司能承受的投資風險低，除了定存和貨幣市場工具之外，建議可將部份資金配置在投資等級的固定收益或平衡型商品。 You can bear low investment risk. In addition to fixed deposit and currency market products, it is recommended to allocate some funds to fixed income or balanced products of investment grade.
☐	第三級 Level 3 穩健型 Robust	貴公司能承受的投資風險中庸，建議投資組合可以包括多種類別的商品，透過風險分散的方式獲得穩健的投資報酬，但仍需留意個別產品類型的波動性。 You can bear moderate investment risk. It is suggested that your investment portfolio can include a variety of products obtaining stable investment returns through risk diversification. However, you still need to be careful and pay attention to the volatility of certain types of product.
☐	第四級 Level 4 成長型 Growth	貴公司能承受的投資風險高，投資組合可以包括多種類別，且預期報酬率較高的資產，但建議 貴公司採取分批投入，且設定停損停利點以便循序漸進達到 貴公司的投資目標。 You can bear high investment risk. Your portfolio can include various types of products with high expected return rate. However, it is recommended that you invest in batches and set stop loss and stop profit points to gradually achieve your investment targets.
☐	第五級 Level 5 積極型 Aggressive	貴公司能承受的投資風險極高，投資組合配置可以多元化，且在必要時利用槓桿操作來提高獲利，建議嚴格執行停損停利的投資原則，才能達到長期資產增值的目的。 You can bear very high investment risk. Your portfolio allocation can be diversified, and if necessary, leverage can be used to improve profits. It is suggested that the investment principle of stop loss and stop profit points should be strictly complied and implemented to achieve long-term asset appreciation.

4. 專業投資者問卷及聲明 – 法團專業投資者 (包含公司法團/信託法團/合夥)

Questionnaire and Declaration for Professional Investor – Corporate

1.1 財務資料 Financial Profile (請 ✓ 選 Please tick)

吾/吾等目前持有 I/We currently have

投資組合*價值(港幣) Portfolio* Value (HK\$):

☐ 少於 Less than \$8,000,000

☐ \$8,000,000~40,000,000

☐ 超過 Over \$40,000,000

1.2 限未達800萬港幣投資組合的法團戶填寫, 總資產(港幣) (包括之前提及的投資組合)

For company with portfolio less than HKD 8 million only, Total Assets (HK\$) (include the aforesaid portfolio):

☐ 少於 Less than \$40,000,000 (請繼續填寫第2題評估)

☐ \$40,000,000 - \$80,000,000

☐ 超過 Over \$80,000,000

* “投資組合”指由任何下述項目組成的投資組合: “portfolio” means a portfolio comprising any of the following:

a. 證券 Securities;

b. 由香港銀行或香港以外地方受法律規管的銀行所發行之存款證; A certificate of deposit issued by a Hong Kong bank or a regulated overseas bank;

c. 由保管人替該人、法團或合夥持有的款項。Money held by customer's custodian.

備註 Remark: 任何同等價值的外國貨幣都可接受。The equivalent value in any foreign currency is acceptable

2. 公司業務性質 Business Nature of the Corporate Applicant (請 ✓ 選 Please tick)

(a) 公司之唯一業務為持有投資項目或主要業務包括持有投資項目 The sole business of the Corporation is to hold investments or the principal business include the holding of investment.

☐ 是 Yes

☐ 否 No

(b) 全資擁有公司之股東屬《證券及期貨條例》附表1第1部第1條定義之專業投資者 或 符合《證券及期貨(專業投資者)規則》所要求資格的專業投資者。Shareholder(s) of the Corporation is/are Professional Investor within the meaning of paragraph (a), (d), (e), (f), (g) or (h) of the definition of professional investor in section 1 of Part 1 of Schedule 1 to the Ordinance or qualified under the requirements of the Rules or.

☐ 是 Yes (請提供股東符合專業投資者的評估文件 please provide the supporting documents.)

☐ 否 No

請提供以上的投資組合或財產文件影本以茲核証。(如保管人結單, 核數師或專業會計師發出的證書或於最近十二個月內發出的財務核數結單。) Please provide copy of documents for the above portfolio or assets and investment experience documents for our checking and record (such as custodian statement, auditor or professional accountant's certificate or recent audited financial statement, issued within last 12 months.)

注意事項 Note:

1. 金融總資產的評估 Financial Assets Evaluation

金融總資產金額包括投資產品(股票、債券、基金、衍生性產品等)、存款及存款證, 但不含房地產及保險。The total financial assets include investment products (such as stocks, bonds, funds, derivative products, etc.), deposits and certificates of deposit, but exclude real estate and insurance policies.

吾/吾等同意 貴行採用吾/吾等已提供之資產證明的金額用作在貴行交易時之評估。I/We agree that the Bank may use the amount stated in the asset proof provided by me/us for assessment purposes in relation to transactions conducted with the Bank.

聲明及確認 Declaration and Confirmation

吾/吾等在此聲明及確認，吾/吾等所提供的上述資料都是真實和正確的。吾/吾等符合香港證券及期貨條例所定，為一專業投資者及富有經驗。吾/吾等確認已被告知及解釋同意被視為專業投資者一事的後果，並且享有撤回被視為專業投資者的權利。吾/吾等希望及同意被視為專業投資者。

I/We hereby declare and confirm that the above information provided by me/us is true and correct. I am/We are a Professional Investor as defined under the Securities and Futures Ordinance of Hong Kong and with abundant experience. I/We acknowledge that I/we have been told and explained about the consequences of consenting to be treated as a Professional Investor and the right to withdraw from being treated as such. I/we wish and agree to be treated as a Professional Investor.

5. 證券帳戶服務 Securities Account Service

本人/ 吾等謹此向貴行申請以本人/ 吾等的名義開設及維持證券交易帳戶，以用作指示 貴行代本人/ 吾等買賣及以其他方式處置證券及其他投資；而本人/ 吾等已從 貴行接獲及閱讀買賣證券總約定書、投資帳戶條款及條件及證券帳戶服務風險披露聲明及客戶聲明，以及將提供的任何服務及安排（「條款及條件」），並謹此接納並同意受本開戶申請書及貴行不時可能修訂及通知的條款及條件所約束。

I/We hereby apply to the Bank for opening and maintaining a securities trading account in my/our name and to instruct the Bank to trade and manage securities and other investments on my/our behalf. I/We have received and noted the Terms and Conditions for Sale and Purchase of Securities, the terms and conditions governing the Investment Account, any services and arrangements to be provided by the Bank (together, the “Securities Account Terms”), and I/we hereby accept and agree to be bound by the Securities Account Terms that may be revised and notified by the Bank from time to time.

客戶同意書

閣下明白並同意，我們永豐銀行香港分行，為了向閣下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，我們可收集、儲存、處理、使用、披露及轉移與閣下有關係的個人資料（包括閣下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閣下的個人資料（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、處理及使用閣下的個人資料（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。

閣下亦同意，即使閣下其後宣稱撤回同意，我們在閣下宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移閣下的個人資料以作上述用途。閣下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）執行閣下的交易指示或向閣下提供證券相關服務，惟出售、轉出或提取閣下現有的證券持倉（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。

Customer Consent

You acknowledge and agree that we, Bank SinoPac, Hong Kong Branch, may collect, store, process, use, disclose and transfer personal data relating to you, (including your CID and BCAN(s)) as required for us to provide services to you in relation to securities 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 your 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 your 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.

You also agree that despite any subsequent purported withdrawal of consent by you, your 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 your 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 your trading instructions or provide you with securities related services (other than to sell, transfer out or withdraw your 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.”

開戶申請人簽署 Applicant Signatures

公司印章

With company chop

日期Date: _____

獲授權開戶人簽署

Authorized Signature

日期Date: _____

獲授權開戶人簽署

Authorized Signature

日期Date: _____

對保日期及地點：

對保人姓名：

對保人簽字：

其他：

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董事會決議案經核實之副本 Certified Copy Board Resolutions

公司名稱

Name of Company: _____

董事會會議日期

Date of Board Meeting: _____

會議地點

Venue of Board Meeting: _____

致 To:

上述公司（「本公司」）於上述日期在上述會議地點妥為召開及舉行董事會議（期間符合法定人數的要求），並通過下列決議：

At a meeting of the board of directors of the abovenamed company (the “**Company**”), duly convened and held (at which a quorum was acting throughout) on the date specified above, the following resolutions were passed:

1. 議決於永豐商業銀行股份有限公司香港分行（「該銀行」），就證券之申購、承購、出售、贖回、持有及其他交易開設及維持專業投資者投資帳戶（「該投資帳戶」）乙個，並受制於該銀行不時有效的「代理申購證券總約定書」/「買賣證券總約定書」（「該等約定書」），該投資帳戶之開戶表格連同該等約定書的現行版本於會議上展示。該等約定書所定義的詞語及詞句若用於本決議案內，當具有相同涵義。

That a Professional Investor Investment Account (the “**Investment Account**”) be opened and maintained with Bank Sinopac, Hong Kong Branch (the “**Bank**”) for the purposes of subscribing, purchasing, selling, redeeming, holding of and other dealings in Securities in accordance with the Bank’s Terms and Conditions for Agency for Subscription of Securities / Terms and Conditions for Sale and Purchase of Securities in force from time to time (“**Those Terms**”). The Account Opening Form of the Investment Account together with the current copy of Those Terms are produced to the meeting. Terms and expressions defined in Those Terms shall have the same meaning when used in these Resolutions.

2. 議決核准及謹此核准該等約定書及開戶表格（於會議中所提呈之版本），並議決授權及謹此授權以下人士為及代本公司簽署開戶表格：

That those Terms and the Account Opening Form in the form produced to the meeting be and are hereby approved and that the following person(s) be and is hereby authorized to sign the Account Opening Form for and on behalf of the Company:

3. 議決下列帳戶（限本公司開立於該銀行之帳戶）作為根據該等約定書及開戶表格而指定之結算帳戶：

That the following account (being an account opened by the Company with the Bank only) be designated as the Settlement Account pursuant to the Account Opening Form of the Investment Account:

4. 議決授權載明於開戶表格之獲授權人士名單與簽章式樣清單中的該等人士，為及代本公司就投資帳戶、該等約定書及申購書/承購通知書（視情況而定）所預計進行的任何交易及其附帶的任何事宜（包含但不限於申購、承購、出售、贖回或變更投資標的及該等交易的交割等）發出指令和指示，以及簽署及簽立任何相關之各項文件。

That the persons named in the List of Authorized Persons and Specimen Signatures set out in the Account Opening Form be authorized to give directions and instructions in respect of the Investment Account, any transaction contemplated by those Terms and the Application Form/Purchase Notice (as the case may be) and any matter incidental thereto (including but not limited to subscription, purchase, sale, redemption or change of investment subject and settlement of any such transaction, etc) and to sign and execute any such documents in relation thereto for and on behalf of the Company.

5. 議決指示該銀行履行和遵從於上述第 4 項決議述及的指令和指示及文件，唯此等指令和指示之發出（以口頭或書面發出）及/或文件之簽署及簽立須限於由 獲授權人士共同/獲授權人士其中任何 _____ 人* 或以開戶表格中指定之任何

其他形式所發出。

That the Bank be instructed to honour and comply with all directions and instructions and documents mentioned in Resolution 4 provided that such directions and instructions, made verbally or in writing, are given by and/or such documents are signed and executed by the Authorized Persons jointly / by any _____ of the Authorized Person(s) * or in such other manner as specified in the Account Opening Form.

6. 議決授權該銀行不時或隨時自本公司於該銀行開設及維持之任何帳戶內，扣取任何或所有根據該等約定書及開戶表格本公司應繳付的費用及其他款項。

That the Bank be authorized to debit from time to time or at any time from any account(s) opened and maintained by the Company with the Bank any and all charges and other monies payable by the Company pursuant to those Terms and the Account Opening Form.

7. 議決把開戶表格所載明之獲授權人士姓名及簽章式樣清單，以及彼等發出指令和指示及簽署和簽立相關文件的形式呈交予該銀行，並議決不時以董事會決議案（按下述第 14 項決議所載明的形式作核實）知會該銀行有關所授權之獲授權人士及/或彼等發出指令和指示及簽署和簽立相關文件之形式的任何變更，並議決於該銀行在未收到進一步通知前，有權按照及依據此清單或該等通知行事。

That the list of names and specimen signatures of the persons named as Authorized Persons and the manner by which their directions and instructions will be given and such related documents will be signed and executed as set out in the Account Opening Form be furnished to the Bank and that the Bank be informed from time to time by a resolution of the Board certified in the manner set out in Resolution 14 below setting out any change of the Authorized Persons so authorized and/or the manner by which their directions and instructions to be given and such related documents to be signed and executed, and that the Bank be entitled to act and rely upon the list or such notice until receipt by the Bank of such further notice.

8. 議決於永豐商業銀行股份有限公司（「該銀行」），本公司已開立的存款帳戶，帳號 _____ 下，申請存放投資存款（按該等條款所定義）服務，根據該銀行的投資存款服務申請書（「該服務申請書」），而該服務申請書收納了該銀行不時有效的(i)帳戶一般條款及條件和(ii)投資存款條款及條件（「該等條款」），該服務申請書連同該等條款的現行版本於會議上展示。該等條款所定義的條款及詞句若用於本決議案內，當具有相同涵義。

An Account (as defined in the General Terms and Conditions for Accounts), of account no. _____ has been opened with Bank SinoPac (the “**Bank**”) for the purpose of placing Investment Deposit(s) (as defined in the Conditions) in accordance with the Application for Investment Deposit Service (the “**Application**”) which incorporates (i) the General Terms and Conditions for Accounts and (ii) the Terms and Conditions for Investment Deposit (the “**Conditions**”) of the Bank in force from time to time. The Application together with the current copy of the Conditions are produced to the meeting. Terms and expressions defined in the Conditions shall, unless otherwise defined herein, have the same meaning when used in these Resolutions.

9. 議決核准及謹此核准該等條款及該服務申請書（於會議中所提呈之版本），並議決授權及謹此授權載明於該服務申請書上述第8點存款帳戶中的各獲授權人士為及代本公司簽署該服務申請書。

That the Conditions and the Application in the form produced to the meeting be and is hereby approved and that each of the Authorized Persons set out in the Mandate for Limited Company Accounts executed by the Company on [•] for the purpose of retaining the Bank as the Company’s banker and opening of bank accounts be and is hereby authorized to sign the Application as per mentioned in the aforesaid clause 8, for and on behalf of the Company.

10. 議決指示該銀行履行和遵從代表本公司就或有關投資存款所發出的指令和指示，唯此等指令（不論口頭或書面）須由獲授權人士所發出。

That the Bank be instructed to honour and comply with all directions and instructions given for or in respect of the Investment Deposit(s) on behalf of the Company provided that such directions, either verbal or in writing, are given by any of the Authorized Persons.

11. 議決授權該銀行不時或隨時自任何本公司於該銀行開設及維持之帳戶內，扣取任何或所有根據該等條款及該服務申請書本公司應付的費用及其他款項。

That the Bank be authorized to debit from time to time or at any time from any account(s) opened and maintained by the Company with the Bank any and all charges and other monies payable by the Company pursuant to the Conditions and the Application.

12. 議決授權予該銀行在接受上述第 8 點存款帳戶內所載明之獲授權人士姓名及簽名式樣之清單，並議決不時以董事會

決議案（按下述第 14 項決議所載明的形式作核實）知會該銀行，有關所授權之獲授權人士的任何變更，並議決在該銀行未收到另行通知前，該銀行有權按照及依據此清單行事。

That the list of names and specimen signatures of the Authorized Persons set out in the above clause 8, of the Application be furnished to the Bank and that the Bank be informed from time to time by resolution of the Board certified in the manner set out in Resolution 14 below setting out any change of the Authorized Persons so authorized and that the Bank be entitled to act and rely upon the said list or such notice until receipt by the Bank of such further notice.

13. 議決即時提供（除非經已提供）予該銀行本公司之公司註冊證書、商業登記證、組織章程大綱和章程細則的副本，以及任何不時通過以作修訂的特別決議案副本（須於通過後盡快提供）。

That the Bank be forthwith supplied with (unless already supplied), a copy of the Certificate of Incorporation, Business Registration Certificate and the Memorandum and Articles of Association of the Company and with copies of any amending special resolutions that may from time to time be passed and as soon as the same are passed.

14. 議決任何董事會決議的副本，若註明已獲通過該決議的有關會議的主席及本公司之任何一名董事（但非該會議的主席）核實為正確無誤之決議案文本，則就該銀行與本公司之間而言，乃經此核實之決議已獲通過的決定性證據。

That a copy of any resolution of the Board of the Company purporting to be certified as correct by the Chairman of the meeting and anyone of the directors of the Company (but not the Chairman of the meeting) at which the resolution was passed shall, as between the Bank and the Company, be conclusive evidence of the passing of the resolution so certified.

15. 議決傳達上述各決議予該銀行，而上述各決議在該銀行未收到任何與其有所抵觸並按上述第 14 項決議的形式所核實之決議案前，得保持十足效力及作用。

That these Resolutions be communicated to the Bank and these Resolutions shall remain in full force and effect until receipt by the Bank of a resolution or resolutions to the contrary and certified in the manner set out in Resolution 14 above.

* delete where inapplicable 刪去不適用者

吾等，下述簽署人，謹此核實：

We, the undersigned, hereby certify that:

- (a) 上述決議已妥為記錄於本公司會議記錄本內，並由會議主席妥為簽署；

These Resolutions have been duly entered in the minute book of the Company and signed therein by the Chairman of the meeting;

- (b) 上述決議具十足效力及作用；

These Resolutions are in full force and effect;

- (c) 上述決議已根據本公司組織章程細則妥為通過；及

These Resolutions have been duly passed in accordance with the Articles of Association of the Company; and

- (d) 本公司提供予該銀行之有關獲授權人士姓名和簽章式樣乃正確無誤及真實的。

The names of the Authorized Persons of the Company and their specimen signatures as supplied to the Bank are correct and genuine.



會議主席

Chairman of the Meeting

日期 Date:



董事

Director

日期 Date:

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投資帳戶資料表 Investment Account Customer Information Form

- ☐ 「獲授權人士」(非「帳戶持有人」)(Third Party Authorized Representative)
☐ 法人戶 - 經核實身分的董事 (Director whose ID has been verified)
☐ 法人戶 - 實益擁有人及實際決策者 (Beneficial Owner of the Company)

Section 1 Authorized Signor Information 授權簽字人基本資料 (每一位授權人請填寫一份)					
Name of Authorized Signor					
授權簽字人名稱 (中文)					
Identity/Passport No. 身份證明文件編號		Issuing Country 國家別		Date of Birth 出生日期	dd/mm/yyyy
Education Level 學歷程度	☐ Primary school (inclusive) 國小(含以下) ☐ Junior secondary school (inclusive) 中三/初中或以下 ☐ Secondary school 高職/高中畢業 ☐ College / Undergraduate 大專/大學畢業 ☐ Postgraduate 碩士/博士				
Residential Address 居住地址	☐ Own 自置 ☐ Rent 租賃 ☐ Other 其他 (Please specify 請說明):				
Mailing Address 通訊地址	☐ 同上				
Phone Number 聯絡電話		Phone Number 聯絡電話		FAX Number 傳真號碼	
E-MAIL Address 電郵地址					
Do you have any relatives working in Bank SinoPac, Hong Kong Branch? 閣下是否有親屬為本分行員工? ☐ No 無 ☐ Yes 有, if YES, please provide name and relationship 如有, 請詳述姓名及親屬關係					
Section 2 Employment Information 職業資料					
☐ Employed 受僱 (Complete Part A below 請填以下 A 欄) ☐ Retired 退休 ☐ Business Owner/self-employed 自僱 - 獨資商號所有人 Owner of Sole Proprietor 或 合夥體的合夥人 Partner of Partnership (Complete Part B below 請填以下 B 欄) ☐ Housewife 家庭主婦 ☐ Student 學生 ☐ Not employed 待業					
Part A A 欄	Employer 公司名稱				Position 職稱
	Industry 行業別				Years Employed 年資
	Annual Income 年薪	☐ ~USD50,000 ☐ USD50,000~100,000 ☐ USD100,000~150,000 ☐ USD150,000~200,000 ☐ USD250,000~350,000 ☐ USD350,000~above 以上			
Part B B 欄	公司名稱 Business Name				Industry 行業別
	公司地址 Address				Phone Number 電話
	Business Description 營業內容說明				Years Operated 經營年期
	Annual Income 年營業獲利	☐ ~USD100,000 ☐ USD150,000~200,000 ☐ USD250,000~350,000 ☐ USD350,000~500,000 ☐ USD500,000~above 以上			
注：對於公司帳戶實益擁有人、實際決策者及有授權第三人操作該等投資帳戶者，應填寫《衍生工具知識聲明》。 Note: For beneficial owners, actual decision makers and authorized third parties to operate such investment accounts, the Declaration of Knowledge on Derivatives should be completed.					
Doc. Checked by RM	CIF Maker	CIF Checker	Approver	Account No.	

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衍生工具知識聲明書

親愛的客戶您好：

根據《香港證券及期貨事務監察委員會》之相關規定，中介人(包括註冊機構)應評估客戶對衍生工具的認識，並根據客戶對衍生工具的認識將客戶分類，因此懇請您/貴公司填寫對於衍生工具的認知，並簽署此聲明書後送回本行。感謝您的配合！

姓名/公司名稱：	身份證字號/公司證照字號：	填表日期：
☐ 本人/本公司沒有任何衍生工具相關知識 ☐ 本人/本公司聲明根據下列選取原因，本人/本公司具有衍生工具相關知識（可選擇多於一項）：		
☐ 曾經接受或參加由金融或學術機構所提供有關衍生工具的培訓或課程： ☐ 永豐銀行的網上「一般衍生工具知識」，本人並聲明已完成由永豐銀行提供有關衍生工具的培訓。本人明白該教材短片的内容並同意貴行將本人界定為對衍生工具有認識的客戶。 ☐ 其他金融或學術機構，機構名稱：_____ 及 有關課程名稱：_____ ☐ 擁有金融相關專業資格：☐ CFA ☐ FRM ☐ 其他：_____ ☐ 現在或曾經於金融機構名稱：_____從事衍生工具相關的工作(部門：_____ 職稱：_____)至少一年 ☐ 於過去三年內有五次或以上的衍生產品交易經驗，衍生產品包括：貨幣掛鉤產品、利率掛鉤產品、股票掛鉤產品、信貸掛鉤產品、牛熊證、衍生認股權證、ETF 等，如勾選此項，請提供有關記錄書面(如對帳單、交易確認書等)。		
客戶簽章處		
本人/吾等確認所提供的資料均屬真確。本人/吾等已明白倘若聲明書內容不實，永豐銀行將不能夠評估所要求服務對本人/吾等的適合性。		
客戶簽署（同投資賬戶印鑒）_____		核章：
銀行內部專用欄		
評估人員姓名及員編： ()	客戶 ☐ 符合 ☐ 不符合 衍生工具相關知識	
作業經辦： _____		

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特定客戶銷售方式確認 Declaration by Vulnerable Customers

為提供本行特定客戶（特定客戶代表香港金管局相關指引中的弱勢社群）更完善的投資服務，貴客戶在使用投資服務時，可選擇以下額外的措施與程序，以維護您的權益。

In order to provide better investment services for our vulnerable customers (Vulnerable customer refers to a vulnerable customer as defined under the relevant guidelines of the HKMA), you may choose the following additional measures and procedures to protect your rights and interests when using investment services.

客戶資料 Customer Information		
帳戶名稱 Account Name	帳戶證照字號 Account ID	
填表人名稱 Customer Name	填表人證照字號 Customer ID	
1. 客戶是否具有以下有可能評估為特定客戶的特質 Assessment of Potential Vulnerable Customer (“VC”)		
☐ 年齡為 65 歲或以上之人士 Aged 65 or above ☐ 教育程度為中三/初中程度或以下 Education level is junior secondary school or below ☐ 資產少於港幣 400,000 而且年收入低於港幣 120,000 Assets below HKD 400,000 and Annual Income below HKD120,000	☐ 是 Yes	請填寫(2)客戶投資經驗 Please complete section (2)
2. 客戶是否具有以下產品的投資經驗 Customer's investment experience in the following products		
2.1 於過去 3 年內有複雜投資產品*投資經驗? Any investment experience in complex investment products in the past 3 years?	☐ 是 Yes ☐ 否 No	屬於非特定客戶,請填寫(3) Non-VC, please complete section (3) 請填寫(2.2) Please complete section (2.2)
2.2 於過去 3 年內有投資產品(複雜投資產品*除外)投資經驗? Any investment experience in investment products (other than complex investment products) in the past 3 years?	☐ 是 Yes ☐ 否 No	屬於複雜投資產品特定客戶,請填寫(3) Complex Investment Products - VC, please complete section (3) 屬於所有投資產品特定客戶,請填寫(3) All Investment Products - VC, please complete section (3)
*「複雜投資產品」指複雜產品，但不包括：(i) 交易所買賣的衍生產品及 (ii) 不受《證券及期貨條例》規管的標準結構性存款。“Complex investment products” refer to complex products other than (i) exchange-traded derivatives; and (ii) Standardised Non-SFO-regulated Structured Deposits.		
3. 評估結果 Evaluation Result		
☐ 非特定客戶 Non - VC ☐ 複雜投資產品特定客戶 Complex Investment Products - VC (請填寫(4)銷售方式 Please complete section (4)) ☐ 所有投資產品特定客戶 All Investment Products - VC (請填寫(4)銷售方式 Please complete section (4))		
4. 本人被認定為相關的特定客戶，並確認在使用貴行提供的投資產品銷售服務(不適用於網上投資交易)時，選擇以下銷售方式進行:I have been identified as a VC and confirm that I have chosen the following sales method(s) during the sales process(not applicable to online investment transaction). (注意：客戶可選擇其中一項、兩項皆不選，或同時選擇兩項 The customer may select one, both, or neither of the options below.)		
4.1 帶同一名家庭成員、近親或朋友見證銷售過程，確保明白產品所涉風險	☐ 需要陪同	☐ 不需要陪同

Bring along a companion (e.g. family member, relative, or friend) to witness the sales process of investment products to ensure understanding of product risks.	Required	Not Required
4.2 安排多於一名前線員工處理銷售事宜，以確保遵守適當的銷售程序 Have a second frontline staff of the bank to handle the sale of investment products to ensure proper sales procedure.	☐ 需要陪同 Required	☐ 不需要陪同 Not Required

5. 客戶確認及簽章處 Customer Declaration and Acknowledgment

5.1 本人確認上述填寫的資料均正確無誤。

I confirm that the above information filled in this form is true and accurate.

5.2 本人已清楚並充分了解本人在銷售過程中所享有的權益。

I fully understand and am clearly aware of the rights I am entitled to during the sales process.

5.3 本人了解，若屬於相關的特定客戶，不宜匆忙作出投資決定，必要時應尋求專業意見。

I understand that if I am classified as a VC, I should carefully consider whether to make an investment decision and, if necessary, seek professional advice.

5.4 ☐ 客戶身體有明顯殘疾(如視力、聽力或認知障礙)，可能影響其做出投資決策，該客戶將被視為所有投資產品特定客戶，請填寫(4)銷售方式及(5.6)評估結果確認。

☐ The customer has an obvious physical disability(e.g. visual, hearing, or cognitive impairment), which may affect their ability to make investment decisions, the customer shall be classified as All Investment Products - VC. Please complete section (4) & (5.6).

5.5 本確認書自簽署之日起有效期為一年；當個人考量因素有變動時，應重新填寫「特定客戶銷售方式確認」。

This confirmation shall be valid for one year from the date of signing; if there are any changes in personal considerations, a new 「Declaration by Vulnerable Customer」 must be completed.

5.6 本人 ☐ 同意 agree / ☐ 不同意 do not agree 被認為 to be classified as **非特定客戶 Non-VC / 複雜投資產品特定客戶 Complex Investment Products - VC / 所有投資產品特定客戶 All Investment Products-VC** (*請刪除不適用者 Please delete as appropriate).

5.7 若客戶對評估結果有異議，請說明認為適合的特定客戶類型及不認同評估結果的原因。In the event that the customer disagrees with the evaluation result, please specify the appropriate VC type and provide the reason for the disagreement. :

核章

填寫人簽署 Customer Signature

日期 Date

6. 銀行內部專用 Internal Use Only

業務人員姓名及員編 RM name & employee number

SO 姓名及員編 SO name & employee number

()

()

日期 Date :

錄音日期及時間 Voice Log Date & Time :

電話分機號碼 Ext. :

理財部門主管/EO 姓名 Dept. Head/EO Name:

資料輸入人員及員編 Data entry employee & employee number

()

()

日期 Date :

日期 Date :

附錄 Appendix:

本附錄說明本行針對不同特定客戶類型採取的額外保護措施，內容如下：

1. 非特定客戶：與非特定客戶進行任何投資產品交易時，本行不會採取額外措施（額外措施例如：特定客戶不能選擇不執行錄音安排、向特定客戶提供見證人安排等）。

Non-Vulnerable Customer: When conducting any investment product transactions with Non-Vulnerable Customer, the Bank will not exercise extra care (For examples of extra care, VCs cannot opt-out of audio-recording, provide the companion arrangement for VCs, etc.).

2. 複雜投資產品特定客戶：與複雜投資產品特定客戶進行複雜投資產品交易時，本行會採取額外措施（額外措施例如：特定客戶不能選擇不執行錄音安排、向特定客戶提供見證人安排等）。

Complex Investment Products - Vulnerable Customer: When conducting complex investment product transactions with Complex Investment Products Vulnerable Customer, the Bank will exercise extra care (For examples of extra care, VCs cannot opt-out of audio-recording, provide the companion arrangement for VCs, etc.).

3. 所有投資產品特定客戶：與所有投資產品特定客戶進行任何投資產品交易時，本行會採取額外措施（額外措施例如：特定客戶不能選擇不執行錄音安排、向特定客戶提供見證人安排等）。

All Investment Products - Vulnerable Customer: When conducting any investment product transactions with All Investment Products - Vulnerable Customer, the Bank will exercise extra care (For examples of extra care, VCs cannot opt-out of audio-recording, provide the companion arrangement for VCs, etc.).

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以下由永豐商業銀行填寫(to be completed by the Bank)		
風險解說有關人士姓名 Name of Relevant Individual _____ (正楷 in Block) _____ (簽名 Signature) 香港金管局編號 No. assigned by HKMA _____ 解說方式 Method: <u>當面 By Meeting / 電話 By Phone / 其他 Others</u> 日期 Date: _____ 時間 Time: 上午 AM/下午 PM _____ 時 o'clock _____ 分 min ~ _____ 時 o'clock _____ 分 min AO Code: (1) _____ (2) _____ (3) _____		
1. 衍生工具知識聲明		
客戶 ☐ 符合 ☐ 不符合 衍生工具相關知識		
2. 客戶投資風險屬性問卷		
評估人員姓名及員編: _____ (_____) 錄音日期及時間: _____ ext. _____		
3. 特定客戶銷售方式確認		
SO 姓名及員編: _____ (_____) 錄音日期及時間: _____ ext. _____		
4. 專業投資者問卷及聲明		
請確定客戶是否達到以下專業投資者的標準，以便界定客戶是否專業投資者： 《證券及期貨（專業投資者）規則》（規則）第3條，成為專業投資者的資格為：（請 ☒ 選） 1. 法團/公司或合夥人客戶符合規則第6(a)條/第7條：（以下擇一填寫） ☐ 本身擁有不少於港元八百萬或等值的投資組合；或 ☐ 總資產不少於港元四千萬或等值。 2. 法團客戶：（以下擇一填寫） ☐ 符合規則第6(c)條，亦即全資擁有至少一個符合規則第6(a)條子公司的法團。 ☐ 符合規則第6(b)條，亦即由符合《專業投資者規則》第4條的『信託法團』，或第5(1)條的『個人』，或第6(a)/(b)條的『法團』，或第7條的『合夥』，或屬《證券及期貨條例》附表1第1部第1條專業投資者的定義的(a)、(d)、(e)、(f)、(g)或(h)段所指的專業投資者，個別或共同所全資擁有的法團，而法團之主要業務是持有投資項目。 3. 信託法團客戶 ☐ 符合規則第4條，擁有不少於港元四千萬或等值的信託資產。 ※是否已取得上述投資組合/資產證明文件(由客戶提供並經RI提供文件來源佐證)? ☐ 已取得 ☐ 否 ※上述證明文件效期/ 內容是否符合本行規定? ☐ 已取得 ☐ 否		
PI 型態：	☐ 不符合 15.3A的法團專業投資者	
金融資產金額：	等值美元：	
特定客戶評估：	授權簽字人1名稱：_____ ☐ 非特定客戶 ☐ 所有投資產品特定客戶 ☐ 複雜投資產品特定客戶	授權簽字人2名稱：_____ ☐ 非特定客戶 ☐ 所有投資產品特定客戶 ☐ 複雜投資產品特定客戶
	授權簽字人3名稱：_____ ☐ 非特定客戶 ☐ 所有投資產品特定客戶 ☐ 複雜投資產品特定客戶	授權簽字人4名稱：_____ ☐ 非特定客戶 ☐ 所有投資產品特定客戶 ☐ 複雜投資產品特定客戶
補充說明：		

5. 銀行有關人士聲明 Declaration of Relevant Individual

永豐商業銀行股份有限公司為於香港經營業務之一家獲《銀行業條例》（香港法例第 155 章）認可的持牌銀行、一家根據《證券及期貨條例》（香港法例第 571 章）就第 1 類受規管活動(證券交易)及第 4 類受規管活動(就證券提供意見)獲註冊之註冊機構（中央編號: ABR747)及根據《公司條例》(香港法例第 32 章)第XI 部獲註冊。

1. 投資存款服務

本人，下述簽署人，已完整地向帳戶持有人解釋載明於該等條款內的風險披露聲明之內容，並已提供以帳戶持有人所選擇之語言所撰寫的該等條款（包括風險披露聲明）。本人亦確認已促請帳戶持有人詳細閱讀風險披露聲明、詢問問題及(如意欲)徵詢獨立的顧問意見。

2. 證券服務 - 個人戶

本人，下述簽署人，已完整地向帳戶持有人解釋載明於買賣證券總約定書之條款以及風險披露聲明之內容，並已提供以帳戶持有人所選擇之語言所撰寫的該等條款（包括風險披露聲明）。本人亦確認已促請帳戶持有人詳細閱讀風險披露聲明、詢問問題及(如意欲)徵詢獨立的顧問意見。

附註: 客戶須完成永豐商業銀行香港分行投資帳戶之開立後始得開啟證券帳戶之服務

3. 專業投資者服務

將客戶視為專業投資者之前，本人已向該客戶提供一份書面說明，述明被視為專業投資者的風險及後果，該份說明書應同時知會該客戶享有撤回被視為專業投資者的權利。本人亦已查核客戶提供的有關文件，接受有關客戶的投資組合(或總資產)及投資經驗，符合香港證券及期貨條例內，對專業投資者的定義及要求。

_____ 日期	_____ 簽署(有關人士)	_____ 有關人士姓名(正楷填寫) 香港金融管理局登記號碼 _____
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EO審核: ☐同意 ☐不同意

_____ 日期	_____ 簽署(主管人員)	_____ 主管人員姓名(正楷填寫) 香港金融管理局登記號碼 _____
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備註：『有關人士』為根據銀行業條例第20(1)(a)節，在金管局的『認可機構證券業務員工紀錄冊』內註冊的人士；『主管人員』為根據銀行業條例第71C條，獲金融管理專員同意的人士。

銀行作業部門專用 Operation Use Only

作業經辦(含核章): _____ 作業覆核(含核章): _____