

**Account Opening Form 開戶表格**

Please tick the “√” in the appropriate box 請在適當空格加 “√”

Please delete whichever is inapplicable 請刪去不適用者

Account Opening Date 開戶日期:

**To: Guodu Securities (Hong Kong) Limited 致: 國都證券(香港)有限公司**

I/We hereby apply to Guodu Securities (Hong Kong) Limited to open and maintain a securities trading account (“Securities Trading Account”) in my/our name for the purpose of instructing Guodu Securities (Hong Kong) Limited to buy and sell, and otherwise deal with, securities and other investments on my/our behalf and I/we hereby accept and agree to be bound by the provisions of this Account Opening Form and the Terms and Conditions for Securities Trading Account.

本人/吾等謹此向國都證券(香港)有限公司申請以本人/吾等的名義開設及維持證券交易帳戶(「證券交易帳戶」), 以用作指示國都證券(香港)有限公司代本人/吾等買賣及以其他方式處置證券及其他投資; 而本人/吾等謹此接納並同意受本開戶表格及規限證券交易帳戶之條款約束。

**Type of Account 帳戶類別**

- ☐ Cash Account 現金帳戶
 ☐ Designated Account for CIES 投資移民賬戶  
☐ Margin Account 孖展帳戶 (Need to Sign on Margin Account Standing Authority 需另外簽署保證金帳戶常設授權書)

**Do you require internet trading facilities for the following market 您是否需要開通以下股票市場之網上交易服務**

- ☐ Yes 是
 ☐ No 否

**Type of Market 市場類別**

- ☐ HK Shares 香港股票
 ☐ B Shares 中國B股  
☐ U.S. Shares 美國股票 (Need to sign on the additional W-8BEN form 需另外簽署 W-8BEN 表格)  
☐ Northbound China Connect Trading Services (Shanghai-Hong Kong Stock Connect / Shenzhen-Hong Kong Stock Connect)  
 (Need to sign on the additional Northbound China Connect Trading Services - Client's Consent)  
 中華通北向交易服務(滬港通 / 深港通) (需另外簽署中華通北向交易服務客戶同意書)

**Account Holder's Personal Information 帳戶持有人個人資料**

English Name 英文姓名	Chinese Name 中文姓名	Gender 性別 <input type="checkbox"/> Male 男 <input type="checkbox"/> Female 女
Place of Birth 出生地	Nationality 國籍	Date of Birth 出生日期 (dd/mm/yyyy 日/月/年)
Identity Document Type 身份證件類型	Issuing Country/Jurisdiction 簽發國家/地區	Identity Document No. 身份證件號碼
Home Phone No. 住宅電話	Mobile Phone No. 手提電話	Fax No. (If Applicable) 傳真號碼 (如適用)
Residential Address 住宅地址		
Education Level 教育程度 <input type="checkbox"/> Primary or Below 小學或以下 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Tertiary or Above 大專或以上		
Residence Status 居住狀況 <input type="checkbox"/> Self-Owned 自置 <input type="checkbox"/> Mortgaged 按揭 <input type="checkbox"/> Rented 租用 <input type="checkbox"/> Quarter 宿舍 <input type="checkbox"/> With Parents 與父母同住		
Employer Name 僱主名稱		
Employer Phone No. 公司電話	Year(s) with Existing Employer 已任職年期	Position 職位
Office Address 公司地址		
Address for Correspondence and Forwarding of Confirmations and Statements 單據往來地址 (Choose One Only 只可選擇其一) <input type="checkbox"/> E-mail Address 電郵地址 (Please State 請列明): _____ <input type="checkbox"/> Residential Address 住宅地址 <input type="checkbox"/> Office Address 公司地址		

Account Opening Form 開戶表格

Account Holder's Financial Profile and Investment Experience 帳戶持有人之財務紀錄及投資經驗

(We are required to obtain this information to fulfill the “know-your-client requirements” of the Securities and Futures Commission of Hong Kong)  
(本公司根據香港證券及期貨事務監察委員會所制定之「認識你的客戶要求」而索取有關資料)

<b>Purpose of Opening the Account</b> 開戶目的	<input type="checkbox"/> Investment 投資 <input type="checkbox"/> Others 其他 _____
<b>Origin Place of fund</b> 資金來源地	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Mainland China 中國內地 <input type="checkbox"/> Others 其他 _____
<b>Annual Income (HK\$)</b> 年收入 (港元)	<input type="checkbox"/> Under HK\$200,000 以下 <input type="checkbox"/> HK\$200,001 - HK\$500,000 <input type="checkbox"/> HK\$500,001-HK\$1,000,000 <input type="checkbox"/> HK\$1,000,001-HK\$5,000,000 <input type="checkbox"/> Above HK\$5,000,000 以上 Please Specify 請註明: _____
<b>Net Asset Value (HK\$)</b> 資產淨值 (港元)	<input type="checkbox"/> Under HK\$500,000 以下 <input type="checkbox"/> HK\$500,001-HK\$1,000,000 <input type="checkbox"/> HK\$1,000,001-HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001 - HK\$10,000,000 <input type="checkbox"/> Above HK\$10,000,000 以上 Please Specify 請註明: _____
<b>Initial Source of Fund</b> 資金的最初來源	<input type="checkbox"/> Salary/ Business Income 薪金/營業收入 <input type="checkbox"/> Savings 儲蓄 <input type="checkbox"/> Pension 退休金 <input type="checkbox"/> Investment Income 投資收入 <input type="checkbox"/> Estate/ Gift 遺產/贈予 <input type="checkbox"/> Others: 其他 _____
<b>Ongoing Source of Fund</b> 資金的持續來源	<input type="checkbox"/> Salary/ Business Income 薪金/營業收入 <input type="checkbox"/> Savings 儲蓄 <input type="checkbox"/> Pension 退休金 <input type="checkbox"/> Investment Income 投資收入 <input type="checkbox"/> Estate/ Gift 遺產/贈予 <input type="checkbox"/> Others: 其他 _____
<b>Investment Objectives</b> 投資目標	<input type="checkbox"/> Long Term 長線 <input type="checkbox"/> Medium Term 中線 <input type="checkbox"/> Short Term 短線 <input type="checkbox"/> Capital Growth 增值 <input type="checkbox"/> Dividend Income 股息收入 <input type="checkbox"/> Others 其他 _____
<b>Investment Experience (Years)</b> 投資經驗 (年資)	<input type="checkbox"/> Nil 沒有 <input type="checkbox"/> Less than 少於 1 Year 年 <input type="checkbox"/> 1-3 Years 年 <input type="checkbox"/> 3-5 Years 年 <input type="checkbox"/> 5-10 Years 年 <input type="checkbox"/> Over 超過 10 Years 年
<b>Investment Experience (Product)</b> 投資經驗 (產品)	<input type="checkbox"/> Stocks 證券 ( <input type="checkbox"/> HK Shares 香港股票 <input type="checkbox"/> U.S. Shares 美國股票 <input type="checkbox"/> A Shares 中國 A 股 <input type="checkbox"/> B Shares 中國 B 股 <input type="checkbox"/> Other Overseas Market Shares 其他海外市場股票 Please Specify 請註明: _____) <input type="checkbox"/> Derivatives 衍生工具 (Callable Bull/Bear Contracts, Warrants, Inline Warrants 牛熊證、認股權證、界內證) <input type="checkbox"/> Exchange-Traded Funds (ETF) 交易所買賣基金 <input type="checkbox"/> Others 其他 _____
<b>Anticipated Investment Products</b> 預計投資產品	<input type="checkbox"/> Stocks 證券 ( <input type="checkbox"/> HK Shares 香港股票 <input type="checkbox"/> U.S. Shares 美國股票 <input type="checkbox"/> A Shares 中國 A 股 <input type="checkbox"/> B Shares 中國 B 股 <input type="checkbox"/> Other Overseas Market Shares 其他海外市場股票 Please Specify 請註明: _____) <input type="checkbox"/> Derivatives 衍生工具 (Callable Bull/Bear Contracts, Warrants, Inline Warrants 牛熊證、認股權證、界內證) <input type="checkbox"/> Exchange-Traded Funds (ETF) 交易所買賣基金 <input type="checkbox"/> Others 其他 _____

Derivative Products Knowledge Evaluation 衍生產品之知識評估

I/We have acquired knowledge of derivatives (Please choose one)

本人/吾等從以下途徑已獲得對衍生產品之知識 (請選擇一項)

- ☐ By undergoing training or attending courses that provide general knowledge of the nature and risk of derivatives (e.g., relevant online or classroom courses offered by academic institutions or financial institutions).  
已接受有關介紹一般衍生產品之性質及風險的培訓或課程 (例如由學術機構或金融機構所提供之網上課程或教室課程)。
- ☐ From my/our previous work experience related to derivatives.  
從本人/吾等以前與衍生產品有關之工作經驗。  
From my/our work experience in financial institutions (e.g., Banks, Securities Brokerage Firms, etc.) or any others.  
本人/吾等於金融機構 (例如銀行, 證券公司等) 擁有相關工作經驗或其他。  
Please specify 請註明: \_\_\_\_\_
- ☐ From my/our relevant trading experience, i.e. I/we have executed five or more transactions in derivatives (whether traded on an exchange or not) within the past three years).  
從本人/吾等相關之交易經驗, 即本人/吾等於過去三年內已進行了五次或以上有關衍生產品之交易 (不論是否交易所進行交易)。
- ☐ I/We have NOT acquired knowledge of derivatives. **(Note: if you choose this option, we will not activate the derivatives trading function for you in order to protect the safety of your assets)**  
本人/吾等並未有衍生產品之知識。 (註: 為保障您的資產安全, 若您選擇此項, 我們將不會為您開通衍生品交易功能)

**Account Opening Form 開戶表格**
**Receiving Bank Account 收款銀行戶口**

Please provide details of the Client's bank account to which the Client's money will be transferred.\*

請提供可供轉入客戶款項的客戶銀行戶口的資料\*

Bank Name 銀行名稱	Currency 貨幣 <input type="checkbox"/> HKD 港幣 <input type="checkbox"/> USD 美元 <input type="checkbox"/> CNY 人民幣
A/C Holder's Name 帳戶名稱	A/C No. 帳戶號碼

\* Documents to be provided: Supporting document of the bank account to be registered (e.g., bank statement showing the relevant name and account number)

\* 需提交之證明文件：登記之銀行帳戶證明文件（例如銀行結單需顯示姓名及銀行帳戶號碼）

**Account Applicant's Declaration 戶口申請人聲明**

Are you the ultimate beneficial owner(s) of the account? (The information is required by The Securities & Futures Commission's Client Identity Rules)

閣下是否此戶口之最終受益擁有人？（所需資料是根據香港證券及期貨事務監察委員會所制定的客戶身份規則索取）

☐ Yes 是      ☐ No, please provide details 否，請提供詳細資料：

Name 姓名	ID / Passport No. 身份證/護照號碼	Contact Phone No. 聯絡電話
Address 地址		

Do you maintain any other account(s) with the Guodu company(ies) in Hong Kong?

閣下是否已持有任何國都香港公司之戶口？

☐ No 否      ☐ Yes, please provide details 是，請提供詳細資料：

Name 姓名	Account Type. 戶口類別	Account No. 戶口號碼
---------	--------------------	------------------

**Licensed / Registered Person Declaration 持牌/註冊人士申報**

Are you a licensed/registered securities or commodities professional, or an employee of a licensed/registered person (e.g. Employee of a brokerage firm/bank, etc.) with the Securities and Futures Commission?

閣下是否為證券及期貨事務監察委員會的持牌/註冊證券或期貨從事員，或其持牌/註冊機構（如經紀行/銀行）等僱員？

☐ No 否      ☐ Yes, Please specify 是，請列明：\_\_\_\_\_

Do you have any relative(s) working in Guodu Securities (Hong Kong) Limited?

閣下的直系親屬是否國都證券（香港）有限公司之員工？

☐ No 否      ☐ Yes, Please specify 是，請列明： Name 姓名：\_\_\_\_\_ Relationship 關係：\_\_\_\_\_

**Nationality Declaration 國籍聲明**

I/We, to the best of my/our knowledge, hereby acknowledge and confirm that the following declaration is true, correct, and complete.

本人/吾等謹就以下列點作出聲明，並盡我所知確認此聲明真實，準確且完整：

1. I/We were not born in the U.S.; 本人/吾等並非于美國出生；
2. I/We are not U.S. residents; 本人/吾等並非于美國居住；
3. I/We do not have any U.S. residence address or mailing address; 本人/吾等沒有擁有美國的居住地址、通訊地址；
4. I/We do not have any U.S. contact number or fax number; 本人/吾等沒有擁有任何一個美國的聯絡電話或傳真號碼；
5. I/We are not U.S. citizen(s); 本人/吾等沒有擁有美國之國籍；
6. I/We do not hold the U.S green card(s); 本人/吾等沒有持有美國綠卡；
7. I/We are not subject to U.S. tax under an applicable income tax treaty; 本人/吾等無需申報美國稅，或就任何收入報繳美國稅；
8. I/We are the ultimate beneficial owner of the stock account; 本人/吾等為該帳戶之實際受益擁有人；
9. I/We have never granted any U.S. citizens (or any other U.S. persons, including residents, etc.) the authority to sign or manage the account on behalf of me/us. 本人/吾等從未授予任何美國人（或任何可能具有美國身份之個人，如擁有美國住址等）該帳戶之代理或代其簽名之權限。

I/We, signed below, certify that I/we are not the U.S. citizen(s) or other U.S. person(s) subject to tax.

簽署此申請表格時，本人/吾等確認本人/吾等不是美國公民或就稅務目的而言的居民。

Declaration and Signatures 聲明及簽署

**I/we hereby acknowledge and confirm that:**

**本人/吾等僅此承諾並確認:**

- ☐ I/we have received, read, and understood the Terms and Conditions for Securities Trading Account (and the schedules, appendices, and annexes thereto, if any) ("Securities Trading Account Terms"), and I/we accept and agree to be bound by them; the risk disclosure statements (as contained in the Securities Trading Account Terms) were provided to me/us in a language of my/our choice (English or Chinese);  
本人/吾等已收到、閱讀及明白規限證券交易帳戶之條款（包括其附表、附錄及附件（如有）（「證券交易帳戶條款」）），而本人/吾等接納並同意受該等條款約束；本人/吾等已獲提供以本人/吾等選擇語言（英文或中文）所撰寫的風險披露聲明（載於證券交易帳戶條款內）；
- ☐ I/we was/were invited to read the risk disclosure statements, and to ask questions and take independent advice if I/we so wished, understand it, and agree to its terms;  
本人/吾等已獲邀請參閱風險披露聲明，並按其意願提出問題及諮詢獨立意見，並明白且同意其條款；
- ☐ I/we have received, read, and understood GUODU's Notice to Customers on the Personal Data(Privacy) Ordinance;  
本人/吾等已收到、閱讀及明白國都給予客戶有關《個人資料（私隱）條例》的通知；
- ☐ I/we have received and read The Risks of the Trading of Derivative Products Explanatory Note and completed the relevant products knowledge evaluation, and I/we understood that I/we before making any investment decision in the relevant products should read carefully the related offering documentation and any other relevant documentation, in particular, detailed risks relating to each product contained in such documents.  
本人/吾等已收到、參閱《買賣衍生產品風險說明》及填寫有關產品的知識評估，理解本人/吾等在投資有關產品前應仔細閱讀有關上市發售文件及任何其他相關文件，特別是該些文件中列載關於各種產品的風險詳情；
- ☐ I/We, signed below, certify that I/we are not the U.S. citizen(s) or other U.S. person(s) subject to tax.  
簽署此申請表格時，本人/吾等確認本人/吾等不是美國公民或就稅務目的而言的美國居民。

**I/we hereby declare that the information as set out in the above Client Information Statement is true, complete, and accurate and can be relied upon by you in the satisfaction of your obligations. I/we undertake to notify you promptly in case of any change of information.**

本人/吾等僅此聲明開列於上列客戶資料表的資料屬真實、完整及為正確無誤。貴公司可依賴此等資料以履行其義務。凡上述資料如有任何更改，本人/吾等僅此承諾盡快通知貴公司。



請在此處簽名

Account Holder's Name (please print)  
戶口持有人姓名（請以正楷書寫）

Date (dd/mm/yyyy)  
日期（日/月/年）

Certification 核證

To be certified by a person licensed or registered with Hong Kong SFC, a staff member of Guodu Securities(Hong Kong) Limited or an affiliate of a licensed or registered person, a Justice of the Peace, Or a professional person (such as a branch manager of a bank, certified public accountant, lawyer or notary public).  
由香港證監會發牌或註冊之人士、國都證券（香港）有限公司職員或其聯繫人士、太平紳士或專業人士（如銀行分行經理、執業會計師、律師或公證人）核證。

**I, named below, certify that I have met with the signer(s) of this form to verify the original his/her(they) ID Card(s) or passport(s), and he/she (they) sign(s) this form in front of me.**

本人（姓名見下）證明已經與本表格簽署人會晤及核對其身份證或護照正本，且他（們）在本人面前簽署本表格。

Signature of Witness 見證人簽署

Witness Name (please print)  
見證人姓名（請以正楷書寫）

Profession  
職業

Date (dd/mm/yyyy)  
日期（日/月/年）

**HKIDR and OTCR - Client's Consent 香港投資者識別碼制度及場外證券交易匯報制度客戶同意書**
**The Hong Kong Investor Identification Regime (HKIDR) and Over-the-counter Securities Transactions Reporting Regime (OTCR) - Client's Consent**
**香港投資者識別碼制度及場外證券交易匯報制度客戶同意書**

Client Name 客戶姓名: \_\_\_\_\_ Identity Document No. 身份證件號碼: \_\_\_\_\_

You acknowledge and agree that we [Guodu Securities (Hong Kong) Limited] may collect, store, process, use, disclose and transfer personal data relating to you [the client] (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 -

閣下明白並同意，我們[國都證券(香港)有限公司]為了向閣下[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，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) 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;

(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) 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

(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) 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.

(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。

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.

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。

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).

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。

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.

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。

**Client Signature 客戶簽署**

By checking the box below, I/we confirm and agree:

通過勾選下面的方框，本人/吾等確認和同意：

☐ I/We agree that Guodu Securities (Hong Kong) Limited will use my/our personal data for the Hong Kong investor identification and OTC securities transaction reporting.

本人/吾等同意國都證券(香港)有限公司將本人/吾等之個人資料用於香港投資者識別碼及場外證券交易匯報。



Please sign here

請在此處簽名

Account Holder's Name (please print)  
戶口持有人姓名(請以正楷書寫)

Date (dd/mm/yyyy)  
日期(日/月/年)

Margin Account Standing Authority 保證金帳戶常設授權書

To: Guodu Securities (Hong Kong) Limited

致: 國都證券(香港)有限公司

Margin Account Standing Authority

保證金帳戶常設授權書

This letter of standing authority covers all securities purchased or held by your company on my/our behalf.

本常設授權書是有關一切由貴公司代表本人/吾等購入或持有之證券。

This letter authorizes your company to:

1. Apply any of my/our securities or securities collateral to a securities borrowing and lending agreement;
2. Deposit any of my/our securities collateral with an authorized financial institution as collateral for financial accommodation provided to your company; and
3. Deposit any of my/our securities collateral with a recognized clearing house or another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of your settlement obligations and liabilities, without notice to me/us, pursuant to Section 7 of the Securities and Futures (Client Securities) Rules.

本常設授權書, 根據《證券及期貨(客戶證券)規則》第 7 條的規定, 授權貴公司:

1. 依據證券借貸協議運用任何本人/吾等的證券或證券抵押品;
2. 將任何本人/吾等的證券抵押品存放於認可財務機構, 作為提供予貴公司的財務通融的抵押品; 及
3. 將任何本人/吾等的證券抵押品存放於認可結算所或另一獲發牌或獲註冊進行證券交易的中介人, 作為解除貴公司在交收上的義務和清償貴公司在交收上的法律責任的抵押品, 而無須通知本人/吾等。

I/We understand that the recognized clearing house or the intermediary licensed or registered for dealing in securities will have a first fixed charge over my/our securities collateral to the extent of your settlement obligations and liabilities.

本人/吾等明白認可結算所或其它獲發牌或獲註冊進行證券交易的中介人, 將因應貴公司在交收上的責任及債務而對本人/吾等的證券抵押品設定為第一固定押記。

This standing authority does not cover any consideration I/we must pay or be paid for your borrowing, lending, or depositing any of my/our securities. Any consideration must be set in a separate agreement between us.

本授權書並不涉及就貴公司借、貸或存放本人/吾等任何證券而須支付或收取的任何代價。任何代價均須由本人/吾等與貴公司另行簽約訂明。

Your company is accountable to me/us for the return of any securities borrowed, lent, or deposited under this authority.

貴公司須向本人/吾等負責償還有關根據本授權書而作出借、貸或存放之證券。

I/We understand that a third party may have rights to my/our securities, which your company must satisfy before my/our securities can be returned to me/us.

本人/吾等明白本人/吾等的證券可能受制於第三者之權利, 貴公司可於全數抵償該等權利後, 方將本人/吾等的證券退回本人/吾等。

This authority is valid for a period of up to 12 months from the date hereof and maybe renewed for subsequent periods of 12 months either with my/our written consent or if I/we am/are given a written notice from you at least 14 days prior to the expiry of such authority and do not object to the renewal of such authority before its expiry.

This authority may be revoked at any time on giving 30 days prior written notice to your company.

本常設授權書以本函件日期起計十二個月內有效, 並可於下列情況予以續期, 每次續期的有效期為十二個月: 本人/吾等以書面形式同意續期; 或貴公司於授權有效期屆滿前不少於十四日向本人/吾等發出書面通知, 而本人/吾等於授權有效期屆滿前未有提出反對續期。本人/吾等有權隨時以三十天書面通知貴公司撤銷此常設授權書。

This letter has been fully explained to me/us and I/we have been advised to seek independent advice, and I/we understand the contents of this letter.

本函件已全部向本人/吾等解釋清楚, 並已被提醒可尋求獨立意見。本人/吾等明白本函件的内容。

Client Signature 客戶簽署

\* Clients who choose to open the margin account must sign this Form. Otherwise, it is not required.

選擇開通保證金帳戶的客戶必須簽署此授權書, 否則無需簽署。



Please sign here  
請在此處簽名

Account Holder's Name (please print)  
戶口持有人姓名 (請以正楷書寫)

Date (dd/mm/yyyy)  
日期 (日/月/年)



## Northbound China Connect Trading Services - Client's Consent 中華通北向交易服務客戶同意書

## 中華通北向交易服務客戶同意書

客戶姓名: \_\_\_\_\_ 證件號碼: \_\_\_\_\_

居住地址: \_\_\_\_\_

## 國都證券(香港)有限公司關於中華通北向交易的個人資料收集聲明

本人確認並同意在國都證券(香港)有限公司(下稱“國都香港”)向本人提供的“中華通北向交易服務”時,國都香港將被要求:

- (1) 向中國結算提交 BCAN (一個獨一無二且專屬於客戶的券商客戶編碼)標記的每份訂單;
- (2) 向交易所提供本人之 BCAN 以及根據交易所規則要求提供與本人有關的身份資訊(即“客戶身份資料”,或簡稱為“CID”)。在本人的相關同意下,本人確認並同意國都香港可能會收集、儲存、使用、披露,並根據需要轉交與本人有關的個人資料,作為國都香港“中華通北向交易服務”的一部分,包括以下內容:
  - (a) 向交易所及相關聯交所附屬公司不時披露並轉交本人的 BCAN 和 CID,包括在輸入中華通訂單時註明本人的 BCAN,並實時將其進一步發送至相關中華通市場營運者;
  - (b) 允許各交易所及相關聯交所附屬公司:
    - (i) 收集、使用及儲存本人的 BCAN, CID 以及由相關中華通結算所提供的任何經整合、驗證及配對的 BCANs 及 CID 資料以進行市場監督、監察及執行交易所規則;
    - (ii) 不時為下文(c)及(d)段所載之目的,將有關資料轉交給相關中華通市場營運者(直接或透過相關中華通結算所);
    - (iii) 向香港相關監管機構及執法機構披露有關資料,以協助履行其在香港金融市場的法定職能;
  - (c) 允許相關中華通結算所:
    - (i) 收集、使用和儲存本人的 BCAN 和 CID,以協助 BCAN 和 CID 的整合和驗證;
    - (ii) 將 BCANs 和 CID 與其投資者識別數據庫作出配對,並提供此等合併、驗證及已配對的 BCANs 及 CID 資料予相關中華通市場營運者、聯交所及相關聯交所附屬公司;
    - (iii) 使用本人的 BCAN 和 CID 以履行相關中華通結算所對證券賬戶管理的監管職能;
    - (iv) 向有管轄權的內地監管機構及執法機構披露有關資料,以協助履行其對內地金融市場的監管、監察及執法職能;
  - (d) 允許相關中華通市場營運者:
    - (i) 以使用中華通服務及執行中華通市場營運者的相關規則為目的,收集、使用及儲存本人的 BCAN 及 CID,以便監察及監管相關中華通市場上的證券交易;
    - (ii) 向內地監管機構及執法機構披露有關資料,以協助履行其對內地金融市場的監管、監察及執法職能;

對國都香港發出的就中華通證券有關的任何交易指示,本人確認並同意國都香港可能會使用本人的個人資料,以遵守聯交所對“中華通北向交易”不時有效的要求及規則。本人也確認,儘管本人隨後表示撤回此同意,但本人的個人數據仍有機會繼續被儲存、使用、披露、轉交和以其他方式處理以達到上述目的,無論是在此同意的撤銷之前還是之後。

若本人未能向國都香港提供本人的個人資料或上述同意,國都香港將不會或不能(根據具體情況)執行本人的交易指令或向本人提供國都香港的“中華通北向交易服務”。

## Client Signature 客戶簽署

通過勾選下面的方框,本人確認和同意:

- ☐ 本人已閱讀並瞭解國都香港關於中華通北向交易的個人資料收集聲明的內容,本人同意國都香港根據個人資料收集聲明中的條款和目的使用本人之個人資料。



Please sign here  
請在此處簽名

Account Holder's Name (please print)  
戶口持有人姓名(請以正楷書寫)

Date (dd/mm/yyyy)  
日期(日/月/年)

Self-Certification for Common Reporting Standard (CRS) - Individual 共同匯報標準客戶聲明 - 個人客戶

Important Notice to Customer(s): Please read this section before completing this form.

客戶須知: 填寫此表格前, 請先閱讀本節。

Financial institutions are not allowed to provide tax advice.

If you have any questions regarding this form or defining your tax residency status, please speak to your tax adviser or relevant tax authority. Please find out more on the OECD website (<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>), including a list of jurisdictions that have signed agreements to exchange information automatically, along with details about the information being requested.

金融機構均不被允許給予客戶稅務諮詢。

如果您對此表格或您的稅務居民身份定義有任何疑問, 請聯繫您的稅務顧問或相關稅務機關。您可以從經濟合作與發展組織(OECD)自動訊息交換網站獲取更多詳情, 包括已簽署自動交換信息協議的司法管轄區的名單及被請求交換的有關信息。

(<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>)

Please note that where there are joint account holders, each account holder is required to complete a separate Self-Certification.

請注意:如果客戶為聯名帳戶, 各聯名帳戶持有人必須各自填寫一份自我聲明。

You may be asked to provide additional documents to evidence the declaration made on this form.

您可能會被要求提供額外證明文件, 以核實此表格上之內容。

**Section 1: Account Holder Identification 第一部分: 帳戶持有人身份**

I hereby confirm that my personal information filled here are as per the account opening form.

本人聲明本人為帳戶持有人, 個人資料填報如開戶表格。

**Section 2: Declaration of Residence for tax purpose 第二部分: 稅務居民身份**

I hereby confirm that I am, for tax purposes, resident in the following jurisdiction(s).

本人聲明本人為下列司法管轄區之稅務居民。

Please fill in ALL jurisdiction(s) and the associated TIN(s) where you are a tax resident (including HKSAR of PRC). If you have any questions about your jurisdiction(s) of tax residency, please contact your tax advisor or relevant tax authority.

請填寫您為稅務居民所屬的所有司法管轄區及相應的稅務編號 (包括中國香港在內)。如果您對您的稅務居民司法管轄區有任何疑問, 請聯繫您的稅務顧問或相關稅務機關。

If the account holder is a tax resident of HKSAR of PRC / Mainland China, the TIN is the HKSAR of PRC / Mainland China Identity Card Number.

如帳戶持有人是中國香港/中國內地稅務居民, 稅務編號是其中國香港/中國內地身份證號碼。

If a TIN is unavailable, please provide the appropriate reason A, B or C:

如未能提供稅務編號, 請填寫理由 A, B 或 C。

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 or equivalent number  
(Please explain why you are unable to obtain a TIN in the below table)  
理由 B 帳戶持有人不能取得稅務編號。(請在下表中解釋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 帳戶持有人毋須提供稅務編號。  
(這理由只適用於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 Tax Residence 稅務居民司法管轄地	TIN 稅務編號	Enter Reason A, B or C if TIN is unavailable 如未能提供稅務編號, 請填寫理由 A, B 或 C.

Note: No need to complete this area if the account holder is a tax resident of HKSAR of PRC / Mainland China.

注: 如帳戶持有人是中國香港/中國內地稅務居民, 此欄無需填寫。



## Self-Certification for Common Reporting Standard (CRS) - Individual 共同匯報標準客戶聲明 - 個人客戶

## Additional Disclosure (if applicable) 額外披露 (如適用)

## Common Reporting Standard Declarations 共同匯報標準聲明

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

本人在此聲明本人已查閱此自我聲明書之內容及陳述，並盡本人所知及確信，聲明內容均屬真實、正確及完整。

I acknowledge that the information contained in this form and information regarding the account holder may be reported to any local or foreign governmental, regulatory or tax authorities or bodies (including but not limited to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region of the People's Republic of China and the U.S. Internal Revenue Service), and to any other local foreign persons or entities required or directed by applicable laws, regulations, practices or guidelines (including but not limited to the Hong Kong Inland Revenue Ordinance, any local implementation of the OECD Standard for Automatic Exchange of Financial Information in Tax Matters/Common Reporting Standard, the U.S. Foreign Account Tax Compliance Act (FATCA) and local implementation hereof, and any similar tax information sharing regime put in place in Hong Kong or any other relevant jurisdiction) or deemed necessary by Guodu Securities (Hong Kong) Limited; and stored, used and disclosed by Guodu Securities (Hong Kong) Limited so that it can comply with obligations, commitments, arrangement or market practices in relation to providing services to me.

本人明白及承認此聲明書及有關本人及須申報帳戶的任何資料可向任何本地或海外政府、監管或稅務機關或機構(包括但不限於中華人民共和國香港特別行政區政府稅務局及美國國稅局)提供，以及向適用法例、法規、慣例或指引(包括但不限於香港稅務條例、任何在本地實施的OECD「經濟合作與發展組織稅務金融訊息自動交換標準/通用報告準則」、美國《外國帳戶稅收合規法案》及在香港或任何其他相關司法管轄地已落實的同類稅務資訊共用制度)所規定或指示或國都證券(香港)有限公司認為必要的任何其他本地或海外人士或單位提供；及可由國都證券(香港)有限公司存儲、使用及披露，以便其遵從有關向本人提供服務的義務、承諾、安排或市場慣例。

I undertake to advise Guodu Securities (Hong Kong) Limited of on any change in circumstances which affects the tax residency status of the individual identified in Section 1 of this form or cause the information contained herein to become incorrect, and to provide Guodu Securities (Hong Kong) Limited with a suitably updated Self-Certification form within 30 calendar days of such change in circumstances.

本人承諾如以上聲明有任何情況改變，而影響本表格的第一部分識別個人的稅務收居民身份有任何變化或導致此自我聲明書之內容及陳述變得不正確的信息時，將通知國都證券(香港)有限公司，並於情況改變發生的三十日內向國都證券(香港)有限公司重新提供正確的自我聲明書。

I certify that I am the account holder of all the account(s) to which this form relates.

本人聲明本人為帳戶持有人。

Signature of Account Holder

帳戶持有人簽署

Print Name

正楷姓名

Date (dd/mm/yyyy)

日期 (日/月/年)

**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，可處第三級（即\$10,000）罰款。

In the event of any inconsistency between the English and Chinese language text on this Self-Certification form, the English version will prevail and all information provided by you on this form will be treated as addressing the English text.

如此表格的中、英文兩個版本有任何不相符之處，應以英文版本為準，所有您在此聲明書提供的資料會被視為回應英文版本原文。