iTrade Securities Investment Limited (“iTrade Securities”)

is licensed (CE No. BHL021) under the Securities and Futures Ordinance (Chapter 571 of Laws of Hong Kong)
to carry out the regulated activities in Hong Kong.

美信證券投資有限公司（“美信證券”）

根據證券及期貨條例（香港法例第 571 章）獲認可之持牌法團（中央編號：BHL021）於香港進行受規管活動.

Account Opening Agreement - Individual/Joint Account

開戶協議 - 個人/聯名賬戶

Units 1903B-4, 19/F, FWD Financial Centre, 308 Des Voeux Road Central, Hong Kong
Tel: 3595 3868 I Fax: 3611 5955 I Email: cs@itradesecurities.com
香港德輔道中 308 號富衛金融中心 19 樓 1903B-4 室 I 電話: 3595 3868 I 傳真: 3611 5955 I 電郵: cs@itradesecurities.com

iTrade Sec Account No. : 美信證券賬戶號碼:	Account Effective Date 賬戶生效日: Activation Date 激活日期:	Name of AE 客戶經理: AE Code:

This agreement is made up of the following documents, the Cash Client's Agreement, Risk Disclosure Statement, Personal Data Protection Statement as attached hereto and other related documents, shall be valid/effective after completion and signature by the Client(s).
本開戶協議由如下文件及隨附的現金客戶協議書、風險披露聲明、個人資料保障聲明及其他相關文件組成，供客戶填寫及合併簽署後生效。

1. ACCOUNT INFORMATION
   賬戶資料

2. COMMON REPORTING STANDARD (CRS) - SELF DECLARATION FORM-INDIVIDUAL
   共同彙報準則 - 自我證明表格–個人

3. DERIVATIVES KNOWLEDGE ASSESSMENT
   衍生工具知識評估

4. CLIENT INVESTMENT RISK PROFILE QUESTIONNAIRE- INDIVIDUAL
   客戶投資風險取向分析問卷-個人

5. ACKNOWLEDGEMENT BY CLIENT
   客戶聲明

6. APPOINTMENT OF PROCESS AGENT (If Applicable)
   法律文件接收人委任書（如適用）

7. Client Consent on The Northbound Investor ID Model and The Personal Information Collection Statement concerning Northbound China Connect Orders
   客戶同意書有關「北向交易投資者識別碼模式」及有關中華通北向交易委託的個人資料收集聲明

☐ Application of Professional Investor-Individual 申請成為專業投資者-個人
(Please complete [Individual / Corporate Professional Investor Assessment Form] 請填寫 [個人/法團專業投資者評估表格])

Please read the Appendices, the attached Cash Client's Agreement and related documents and terms before you sign this form.
請在簽署本表格前仔細閱讀附件、隨附的現金客戶協議書及相關的文件及條款。

Please noted that you can trade below COMPLEX products with the account to be opened in iTrade Securities:
請注意，閣下可經即將於美信證券開立的賬戶買賣以下「複雜產品」:

- Equity derivatives traded on the Stock Exchange of Hong Kong Limited ("SEHK") (e.g., DWs, CBBCs and listed share options) or the Exchange of specified jurisdictions;
  於香港聯合交易所（「聯交所」）或指明司法管轄管區交易所買賣的股票衍生工具（例如衍生權證、牛熊證及上市認股權）;
- Equity derivatives traded on the SEHK (e.g., DWs, CBBCs and listed share options);
  證監會認可及於聯交所買賣的合成 ETF 及期貨 ETF;
- L&I products authorized by the SFC and traded on the SEHK
  證監會認可及於聯交所買賣的槓桿及反向產品;
- Complex Bond;
  複雜債券;
- Funds authorized by the SFC under the UT Code which are derivative funds;
  證監會認可並屬於衍生產品基金的基金;
- Funds authorized by the SFC under 8.7 of the UT Code (i.e., SFC-authorized hedge funds);
  證監會認可對沖基金;
- SFC-authorized unlisted structured investment products;
  證監會認可的非上市結構性投資產品;
- Other non-exchange-traded structured investment products;
  其他並非在交易所買賣的結構性投資產品;
- Security token; and
  證券型代幣; 及
- Any other investment products the SFC may specify from time to time.
  證監會可能不時指明的任何其他投資產品。

Warning Statements in relation to trading of COMPLEX product
買賣複雜產品的警告聲明

1. The product listed above are COMPLEX products and you should exercise caution in relation to these products. You should carefully consider whether trading or investment is suitable in light of (including but not limited to) your own risk tolerance, financial situation, investment experience, investment objectives, investment horizon and investment knowledge. If needed, you should seek independent professional advice.
   以上產品是複雜產品，請閣下務必審慎行事。閣下在作出任何投資決定前，應考慮個人狀況，包括但不限於閣下的財政狀況、投資經驗及投資目標。如有需要，請考慮諮詢閣下的獨立投資顧問。

2. Due to dynamic changes in the market, the price movement and volatility of these products may not be the same as expected by customers. Your fund may increase or reduce due to the purchase or sale of investment products. The loss incurred from investment maybe the same or greater than initial investment amount.
   由於市場瞬息萬變，以上產品的買賣價格（如有）升跌及波幅可能非如閣下預期，閣下資金可能因買賣此產品而有所增加或減少，投資的損失可能等同或大於最初投資金額。

3. The information or any product offering documentation issued of these products have not been reviewed by SFC and may contain information of non-SFC authorized products. You should exercise caution in relation to the product. If you have any query on the information or any product offering documentation provided, you should seek independent professional advice.
   以上產品的發行人刊發的要約文件及/或產品資產料未經證監會審閱，並可能載有未經證監會認可的產品資料，閣下務必審慎行事。如閣下對產品發行人提供的要約文件及/或產品資料有任何疑問，請考慮諮詢閣下的獨立投資顧問。

4. These products may be authorized by the SFC. SFC authorization is not a recommendation or endorsement of the product nor does it guarantee the commercial merits of the fund(s) or its performance. It does not mean the product is suitable for all investors nor is it an endorsement of its suitability for any particular investor or class of investors.
   以上產品或得證監會認可。惟證監會認可不等如對產品作出推介或認許，亦不是對產品的商業利弊或表現作出保證，更不代表產品適合所有投資者，或認許產品適合任何個別投資者或任何類別的投資者。

5. Past performance (if any) is not necessarily a guide to future returns, and no representation or warranty, express or implied, is made regarding future performance.
   產品的過往表現（如有）不能被視為將來表現的指示或保証，也不能代表或對將來表現做出任何明示或暗示的保障。

6. These products are offered to below persons only
   以上產品只供以下人士買賣:
   a. persons falling under paragraphs (a) to (i) of the definition of "professional investor" in section 1 of Part 1 of Schedule 1 to the SFO
      任何符合《證券及期貨條例》附表 1 第 1 部第 1 條「專業投資者」的定義第(a)至(i)段所描述的人士或
   b. persons falling under paragraphs (j) of the definition of "professional investor" in section 1 of Part 1 of Schedule 1 to the SFO
      任何符合《證券及期貨條例》附表 1 第 1 部第 1 條「專業投資者」的定義第(j)段所描述的人士。

If you have any query on above definitions, you should seek advice from your Account Executive.
如閣下對上述定義存有疑問，請向閣下的客戶經理查詢。

Part 1 - Account Information
第一部份 - 賬戶資料

1. Account Type 賬戶類別 ☐ Cash Account 現金賬戶
2. Identity of Client 客戶身份 ☐ Individual Account 個人賬戶 ☐ Joint Account 聯名賬戶
3. Securities Service 證券服務

☐ Bonds, Funds and Others Over-the-counter Derivatives 債券、基金及其他場外衍生產品^
☐ Hong Kong Stocks 港股 ☐ Shanghai-Hong Kong Stock Connect 滬港通* ☐ Shenzhen-Hong Kong Stock Connect 深港通*
☐ US Stocks 美國股票
☐ Other Stocks markets (Please refer to our official website) 其他股票市場（請參閱我司官方網頁）

^Please complete [Part 3-Derivatives Knowledge Assessment] and [Part 4-Client Investment Risk Profile Questionnaire-Individual]
請簽署 ［第三部份、衍生工具知識評估］及［第四部份、客戶投資風險取向分析問卷-個人］
*Please complete [Part 7- Client Consent on The Northbound Investor ID Model and The Personal Information Collection Statement concerning Northbound China Connect Orders]
請簽署［第七部份、客戶同意書有關「北向交易投資者識別碼模式」及有關中華通北向交易委託的個人資料收集聲明］

4. Client Information 客戶資料

	Account Holder (A) 賬戶持有人(A)	Account Holder (B) 賬戶持有人(B)
	☐ Mr 先生 ☐ Miss 小姐 ☐ Mrs 夫人 ☐ Ms 女士	☐ Mr 先生 ☐ Miss 小姐 ☐ Mrs 夫人 ☐ Ms 女士
Name in English 英文姓名		
Name in Chinese 中文姓名		
Identity Document Types 身份證明文件類別	☐ ID card 身份證 ☐ Passport 護照 ☐ Others 其他 ______	☐ ID card 身份證 ☐ Passport 護照 ☐ Others 其他 ______
ID/ Passport No 身份證明文件號碼		
Place of Issue 簽發地		
Date of Birth 出生日期 (dd/mm/yyyy)		
Place of Birth 出生地點		
Nationality 國籍		
Education Level 教育程度	☐ Primary or below 小學或以下 ☐ Secondary or post-secondary 中學或專上學院 ☐ University or above / professional qualifications (not related to Economics / Finance) 大學或以上/專業資格（非財經學科相關） ☐ University or above/professional qualifications (related to Economics/ Finance) 大學或以上/專業資格（跟財經學科相關）	☐ Primary or below 小學或以下 ☐ Secondary or post-secondary 中學或專上學院 ☐ University or above/ professional qualifications (not related to Economics/ Finance) 大學或以上/專業資格（非財經學科相關） ☐ University or above / professional qualifications (related to Economics/ Finance) 大學或以上/專業資格（跟財經學相關）
Purpose of Account Opening 開戶目的	☐ Capital Gain 資本增值 ☐ Dividend Income 利息收入 ☐ Hedging 對沖 ☐ Speculation 投機 ☐ Arbitrage 套利 ☐ Other, please specify 其他，請注明: ______	
Are you a U.S. citizen or a U.S. tax resident 您是否美國公民或就稅務目的而言的居民	☐ Yes 是 ☐ No 否	☐ Yes 是 ☐ No 否

	Account Holder (A) 賬戶持有人(A)	Account Holder (B) 賬戶持有人(B)
Residential Address 住宅地址		☐ Same as Account holder (A) 與戶口持有人(A)相同 ☐ Other Address, please state 其他地址，請註明: ____________________
Correspondence Address (Please provide if different from the residential address) 通訊地址（如與住宅地址不同，請提供) If a HK Address (non-PO BOX) cannot be provided, please complete [Part6-Appointment of Process Agent]. 如未能提供一個香港地址（非郵政信箱），必須填寫［第六部份、法律文件接收人委任書］。		☐ Same as Account holder (A) 與戶口持有人(A)相同 ☐ Other Address, please state 其他地址，請註明: ____________________
Email Address 電子郵箱地址 This E-mail address will be registered to receive notification on system login, trade execution and password reset if you have subscribed for the online trading service. 如有開通網上交易服務，此電子郵箱將登記用作接收系統登入、交易執行及變更密碼通知。		
Tel. No. 住宅電話		☐ Same as Account holder (A) 與戶口持有人(A)相同 ☐ Other Tel. No., please state: 其他住宅電話，請註明: ____________________
Mobile Phone No. 手提電話 The first Mobile of Account Holder (A) will be the registered mobile number to receive 2FA One-Time Password if you will subscribe for the online trading service. 如需要開通網上交易服務，賬戶持有人(A)提供的第一個手提電話號碼將作為登記電話號碼以接收雙重認證的一次性密碼。		
Tel. No. (Office) 辦公室電話		
Relationship with Account Holder (A) 與賬戶持有人(A)之關係	Not applicable 不適用	

5. Financial Information 財務資料簡要

	Account Holder (A) 賬戶持有人(A)	Account Holder (B) 賬戶持有人(B)
Employment Status 就業狀況	☐ Employed 受僱 ☐ Self-employed 自僱 ☐ Retired 退休 ☐ Housewife 家庭主婦 ☐ Other 其他 __________	☐ Employed 受僱 ☐ Self-employed 自僱 ☐ Retired 退休 ☐ Housewife 家庭主婦 ☐ Other 其他 __________
Name of Employer 僱主名稱		
Occupation 行業		
Position 職位		
Years of Service 服務年數		
Annual Income(HKD) 每年總收入（港元）	☐ below $200,000 或以下 ☐ $200,001 to 至 $500,000 ☐ $500,001 to 至 $1,000,000 ☐ $1,000,001 to 至 $5,000,000 ☐ $5,000,001 or above 或以上	☐ below $200,000 或以下 ☐ $200,001 to 至 $500,000 ☐ $500,001 to 至 $1,000,000 ☐ $1,000,001 to 至 $5,000,000 ☐ $5,000,001 or above 或以上

	Account Holder (A) 賬戶持有人(A)	Account Holder (B) 賬戶持有人(B)
Source of Fund 資金來源	☐ Salary 薪金 ☐ Income Accumulation 收入累積 ☐ Commission/Business Income 佣金/生意收入 ☐ Pension/Reserve 退休金/儲備 ☐ Return on Investment 投資收益 ☐ Others 其他: ________	☐ Salary 薪金 ☐ Income Accumulation 收入累積 ☐ Commission/Business Income 佣金/生意收入 ☐ Pension/Reserve 退休金/儲備 ☐ Return on Investment 投資收益 ☐ Others 其他: ________
Source of Wealth 財富來源	☐ Salary and/or Bonus 受僱薪金及或花紅 ☐ Investment/Saving 投資/儲蓄 ☐ Sale of Property/Investment/Assets 售賣物業/投資/資產 ☐ Inheritance 承繼遺產 ☐ Other 其他:	☐ Salary and/or Bonus 受僱薪金及或花紅 ☐ Investment/Saving 投資/儲蓄 ☐ Sale of Property/Investment/Assets 售賣物業/投資/資產 ☐ Inheritance 承繼遺產 ☐ Other 其他:
Liquid Assets Held (HKD) (including Cash, Deposit and Shortterm Investment, etc) 擁有流動資產 (港元) (包括現金、存款及短期投資等)	☐ below $100,000 或以下 ☐ $100,001 to 至 $300,000 ☐ $300,001 to 至 $600,000 ☐ $600,001 to 至 $900,000 ☐ $900,001 to 至 $1,200,000 ☐ $1,200,001 or above 或以上	☐ below $100,000 或以下 ☐ $100,001 to 至 $300,000 ☐ $300,001 to 至 $600,000 ☐ $600,001 to 至 $900,000 ☐ $900,001 to 至 $1,200,000 ☐ $1,200,001 or above 或以上
Net Liquid Asset (HKD) ('Total Assets' minus 'Total Liabilities', excluding the value of self-occupied property) 淨資產 (港元) (總資產減去總負債, 不包括自住物業的價值)	☐ below $5,000,000 或以下 ☐ $5,000,001 to 至 $8,000,000 ☐ $8,000,001 to 至 $12,000,000 ☐ $12,000,001 to 至 $15,000,000 ☐ $15,000,001 or above 或以上	☐ below $5,000,000 或以下 ☐ $5,000,001 to 至 $8,000,000 ☐ $8,000,001 to 至 $12,000,000 ☐ $12,000,001 to 至 $15,000,000 ☐ $15,000,001 or above 或以上
Residential Status 住屋	☐ Owned Property 自置物業 ☐ Mortgaged, outstanding amount 按揭物業 結欠 ________ ☐ Quarters 宿舍 ☐ Rented, monthly rent 租用物業 每月租金 ________ ☐ Others 其他 ________	☐ Owned Property 自置物業 ☐ Mortgaged, outstanding amount 按揭物業 結欠 ________ ☐ Quarters 宿舍 ☐ Rented, monthly rent 租用物業 每月租金 ________ ☐ Others 其他 ________
Years of Living 居住年期	Year 年 month 月	Year 年 month 月

6. Disclosure of Identity 相關身份披露

	Account Holder (A) 賬戶持有人(A)	Account Holder (B) 賬戶持有人(B)
Is Client a director or an employee of a person registered or licensed with HK Securities and Futures Commission? 此賬戶最終權益擁有人及/或就此賬戶進行交易的最終負責人士, 是否是香港證監會的持牌或註冊人士, 或任何持牌法團或註冊機構的董事或職員?	☐ Yes 是 Name 持牌或註冊人名稱 ________ CE No 中央編號 ________ (Please provide a consent letter issued by the employer. 請提供僱主同意開戶證明。) ☐ No 否	☐ Yes 是 Name 持牌或註冊人名稱 ________ CE No 中央編號 ________ (Please provide a consent letter issued by the employer. 請提供僱主同意開戶證明。) ☐ No 否
Are you an employee of iTrade Securities? 您是否美信證券的僱員?	☐ Yes 是 ☐ No 否	☐ Yes 是 ☐ No 否
Are you related to any employee of iTrade Securities? 您是否美信證券僱員的親屬?	☐ Yes 是 Name of staff 僱員姓名: ________ Relationship 關係: ________ ☐ No 否	☐ Yes 是 Name of staff 僱員姓名: ________ Relationship 關係: ________ ☐ No 否
Are you, either alone or with your spouse, in control of 35% or more of the voting rights of any corporation account with iTrade Securities? 您是否單獨或與您的配偶共同控制任何美信證券賬戶35%或以上投票權?	☐ Yes 是, Account Name 賬戶名稱: ________ Account No. 賬戶號碼: ________ ☐ No 否	☐ Yes 是, Account Name 賬戶名稱: ________ Account No. 賬戶號碼: ________ ☐ No 否

7. Settlement Account Information 結算賬戶資料

Hong Kong Banking Accounts (bank accounts under client name in HK only) 香港銀行資料記錄（只限於客戶本人同名之香港銀行賬戶存款）

Details of Bank Account (1) 銀行賬戶(1)資料	
Name of Bank 銀行名稱	
Name of Bank Account 賬戶名稱	
Bank Account Number 賬戶號碼	(HKD港幣/USD美元/CNY人民幣/MTC多種貨幣)
Details of Bank Account (2) 銀行賬戶(2)資料	
Name of Bank 銀行名稱	
Name of Bank Account 賬戶名稱	
Bank Account Number 賬戶號碼	(HKD港幣/USD美元/CNY人民幣/MTC多種貨幣)

8. Electronic Service Application 電子服務申請

Do you need online trading service? 您是否需要開通網上交易服務?		
Hong Kong Stocks 港股	☐ Yes 是	☐ No 否
US Stocks 美股	☐ Yes, I have read, understood and agreed the clauses in the Application form of US stocks online trading services. 是，本人 / 吾等已閱讀及明白並同意接受《美國股票網上交易服務申請》表格內之條款。 ☐ No 否	
The Client account code and password wil be sent to your registered email above. 賬戶號碼及密碼將發送至上述登記之電郵地址。		

9. Method of Communication 通訊方法

Trade Confirmation, Statement & Notice in: 交易確認、結單單據語言:

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

Trade Confirmation 交易確認	☐ Email address (Default) 電子郵箱 (預設)	☐ Mail (There will be a monthly flat rate of HKD100 per account directly debited from the relevant account.) 郵寄 (每個賬戶將被每月扣取HKD100。)
Statement & Notice 結單單據	☐ Email address (Default) 電子郵箱 (預設)	☐ Mail (There will be a monthly flat rate of HKD100 per account directly debited from the relevant account.) 郵寄 (每個賬戶將被每月扣取HKD100。)

(If select by E-mail, please read the [Client's Consent-Electronic Communication] below
如選以電子郵箱收件，請閱讀以下［客戶同意書－電子通訊］部份)

Client's Consent-Electronic Communication 客戶同意書－電子通訊
(Please check the box if you agree with the clauses of [Client's Consent-Electronic Communication].
如你同意［客戶同意書－電子通訊]之條款，請剔選以下方格。)

☐ I/We the undersigned client, hereby consent to iTrade Securities Investment Limited ("iTrade Securities") providing all notices, statements, trade confirmations and other communications by iTrade Securities to me/us through electronic communication and I/We hereby request, instruct and authorize iTrade Securities to transmit, release and send all notices, statements, contract notes and other communications (the "Communications") to me/us at my/our designated e-mail address as specified. I/We, acknowledge and accept the Risks of receiving the Communications via electronic communications, including but not limited to the Risks as set out in the Cash Client's Agreement and other related documents and terms and agree and undertake to hold iTrade Securities harmless from and against all losses, damages, interests, costs, expenses, actions, demands, claims or proceedings of whatsoever nature which I/We may incur, suffer and/or sustain as a result of iTrade Securities's provision of Communications via electronic communication. I/We understand I/We can only choose either receiving the Account statement via physical mail or via electronic communication. Once choosing electronic communication service, I/We will not receive physical contract note and physical account statement by mail. I/We undertake to notify iTrade Securities of any changes in my/our email address. If iTrade Securities got two successive messages in relation to failure of sending the statement to my/our email address electronically, iTrade Securities has the right to send the statement to me/us via physical mail instead. In the event of any difference in interpretation or meaning between the English and Chinese version of this Consent, the Client agrees that the English version shall prevail. iTrade Securities has explained to me/us, and I/we acknowledge and agree to, the content of this consent.

本人/吾等，以下簽署之客戶，謹此同意美信證券投資有限公司（美信證券）通過電子通訊向本人/吾等以本人/吾等所指定之電子郵箱寄發成交單據及其它通訊（該等通訊）。本人/吾等確認及接受通過電子通訊的風險，包括但不限於載於現金客戶協議書及其他相關文件和條款中所列的風險，並同意及承諾免除美信證券因美信證券通過電子服務提供該等通訊而令本人/吾等產生、蒙受及/或承受的 一切虧損、損失、利息、費用、開支、法律訴訟、付款、索償等的責任。本人/吾等明白本人/吾等只可從郵寄帳單或電子通訊選擇其一，一經選用電子通訊，本人/吾等將不會收到郵件形式寄發之成交單及月結單。於本人/吾等選用電子通訊期間，本人/吾等將第一時間通知美信證券有關本人/吾等電子郵箱的變更。假若美信證券寄發電子帳單後連續兩次收到錯誤之通訊，美信證券可選擇以郵寄形式取代電子通訊。如本同意書中、英文本之解釋或意思有不相同，客戶同意以英文本為準。美信證券已向本人/吾等解釋本同意書，本人/吾等聲明本人/吾等完全明白同意書之內容。

10. Ultimate Beneficial Owner 賬戶最終權益擁有人身份

Are you the ultimate beneficial owner(s) of this Account? 您是否此賬戶的最終受益人? ☐ Yes 是 ☐ No 否

If not, please provide the ultimate beneficial owner details as follows 若不是，該賬戶的最終受益人情況如下:

Name: 姓名: ______________________ ID/ Passport/ Place of Issue: 身份證/護照/簽發地: ____ Tel. No: 電話: ____________________

Address: 地址: ____ Signature: 簽名: ____

Is the ultimate beneficial owner(s) U.S. citizen or a U.S. tax resident? 最終受益人是否美國公民或就稅務目的而言的居民? ☐ Yes 是 ☐ No 否

11. Persons Authorized to Give Order/Dealing Instructions (If Applicable) 獲授權發出交易/買賣指示的人士 (如適用)

Please provide the identity documents and address proof issued within 3 months of the Authorized Persons .
請提供被授權人的身份證明文件及三個月內發出有效之住址證明。

Name: 姓名: ______________________ ID/ Passport/ Place of Issue: 身份證/護照/簽發地: ____ Tel. No: 電話: ____________________

Address: 地址: ____ Signature: 簽名: ____

Name: 姓名: ______________________ ID/ Passport/ Place of Issue: 身份證/護照/簽發地: ____ Tel. No: 電話: ____________________

Address: 地址: ____ Signature: 簽名: ____

Part 2 - Common Reporting Standard – Self Certification Form (Individual)
第二部份 - 共同匯報標準-自我證明表格（個人）

Important Notes 重要提示:

- This is a self-certification form provided by an account holder to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
  這是由賬戶持有人向申報財務機構提供的自我證明表格，以作自動交換財務賬戶資料用途。申報財務機構可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- An account holder should report all changes in his/her tax residency status to the reporting financial institution.
  如賬戶持有人的稅務居民身份有所改變，應盡快將所有變更通知申報財務機構。
- All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (*) are required to be reported by the reporting financial institution to the Inland Revenue Department.
  除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄/部標有星號（*）的項目為申報財務機構須向稅務局申報的資料。

Part 1 Identification of Individual Account Holder (For joint or multiple account holders, complete a separate form for each individual account holder.)
第 1 部 個人賬戶持有人的身分識辨資料 （對於聯名賬戶或多人聯名賬戶，每名個人賬戶持有人須分別填寫一份表格）

(1) Name of Account Holder 賬戶持有人的姓名

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

Last Name or Surname 姓氏 ____________________

First or Given Name 名字 ____________________

Middle Name(s) 中間名 ____________________

(2) Hong Kong Identity Card or Passport Number 香港身份證或護照號碼 ____________________

(3) Other ID Type and Number 其他身份證明文件類別及號碼 ____________________

(4) Current Residence Address 現時住址

Line 1 (e.g. Suite, Floor, Building, Street, District) 第 1 行（例如：室、樓層、大廈、街道、地區） ____________________

Line 2 (City) 第 2 行（城市） ____________________

Line 3 (e.g. Province, State) 第 3 行（例如：省、州） ____________________

Country 國家 ____________________

Post Code/ZIP Code 郵遞區號/郵遞區號碼 ____________________

(5) Mailing Address 通訊位址（Complete if different to the current residence address 如通訊位址與現時住址不同，填寫此欄）

Line 1 (e.g. Suite, Floor, Building, Street, District) 第 1 行（例如：室、樓層、大廈、街道、地區） ____________________

Line 2 (City) 第 2 行（城市） ____________________

Line 3 (e.g. Province, State) 第 3 行（例如：省、州） ____________________

Country 國家 ____________________

Post Code/ZIP Code 郵遞區號/郵遞區號碼 ____________________

(6) Date of Birth 出生日期 （dd 日/ mm 月/ yyyy 年） ____________________

(7) Place of Birth 出生地點 （Not compulsory 可不填寫） ____________________

Town/City 鎮/城市 ____________________

Province/State 省/州 ____________________

Country 國家 ____________________

Part 2 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”)
第2部 居留司法管轄區及稅務編號或具有等同功能的識辨編號（以下簡稱「稅務編號」）

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder's TIN for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence.

提供以下資料，列明（a）賬戶持有人的居留司法管轄區，亦即賬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賬戶持有人的稅務編號。列出所有（不限於 5 個）居留司法管轄區。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number 如賬戶持有人是香港稅務居民，稅務是其香港身份證號碼。

If a TIN is unavailable, provide the appropriate reason A, B or C 如沒有提供稅務編號，必須填寫合適的理由：

Reason 理由 A The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.
賬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 理由 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.
賬戶持有人不能取得稅務編號。如選取這一理由，解釋賬戶持有人不能取得稅務編號的原因。

Reason 理由 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.
賬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賬戶持有人披露稅務編號。

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號，填寫理由 A、B 或 C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選取理由 B，解釋賬戶持有人不能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			
(5)			

Part 3 Declarations and Signature
第3部 聲明及簽署

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112). I certify that I am the account holder / I am authorized to sign for the account holder # of all the account(s) to which this form relates. I undertake to advise iTrade Securities Investment Limited of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide iTrade Securities Investment Limited with a suitably updated self-certification form within 30 days of such change in circumstances.

本人知悉及同意，財務機構可根據《稅務條例》(第 112 章）有關交換財務賬戶資料的法律條文，（a）收集本表格所載資料並可備存作自動交換財務賬戶資料用途及（b）把該等資料和關於賬戶持有人及任何須申報賬戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到賬戶持有人的居留司法管轄區的稅務當局。本人證明，就與本表格所有相關的賬戶，本人是賬戶持有人 / 本人獲賬戶持有人授權簽署本表格 # 本人承諾，如情況有所改變，以致影響本表格第 1 部所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知美信證券投資有限公司，並會在情況發生改變後 30 日內，向美信證券投資有限公司提交一份已適當更新的自我證明表格。

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.
本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

Signature 簽署 ______________________

Name 姓名 ______________________

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

Date 日期（dd 日/mm 月/yyyy 年）______________________

Delete as appropriate 請刪去不適用者

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. $10,000).
警告：根據《稅務條例》第 80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級（即$10,000）罰款。

Part 3 - Derivative Knowledge Questionnaire
第三部份 - 衍生產品知識問卷

This questionnaire serves to help iTrade Securities Investment Limited understand your knowledge in derivative and assess whether your chosen product is suitable for you.

衍生產品問卷幫助美信證券投資有限公司瞭解你對衍生工具的認識，並確認你是否能夠認購具有衍生工具的產品。

Account Name: 賬戶名稱:	
iTrade Sec Account No.: 美信證券賬戶號碼:	
Date of Completion: 完成日期:	

1. Do you read carefully and understand the features of and Risks associated with the derivative products as documented in the Account Agreement-Schedule 2-Explanation of Risks associated with Exchange-Traded Derivative Products? 你已經仔細閱讀及明白載於[賬戶協議-附表2-就在交易買賣的衍生產品所附帶的風險作出解釋]所述的衍生工具的特性及風險?	☐ Yes 是 ☐ No 否
2. Which is/are common type(s) of derivative in the market? 哪一些項目為常見的衍生工具產品?	☐ Futures 期貨 ☐ Forwards 遠期合約 ☐ Options 期權 ☐ All of the above 上述各項皆是
3. What is/are the main function of derivatives in portfolio management? 在投資產品中，衍生工具的主要用途是什麼?	☐ Hedging 對沖 ☐ Changing asset mix of investment portfolio 調配投資組合內的資產分配 ☐ Income enhancement 提升收益 ☐ All of the above 上述各項皆是
4. Which is/are the key Risk(s) of using derivatives? 哪一些項目是使用衍生工具涉及的主要風險?	☐ Market Risk 市場風險 ☐ Liquidity Risk 流動性風險 ☐ Counterparty credit Risk 交易對手信貸風險 ☐ All of the above 上述各項皆是
5. Which will cause derivatives to magnify loss in adverse conditions? 哪一項會令衍生工具在市況欠佳時將損失增大?	☐ Hedging 對沖 ☐ Leverage 槓桿 ☐ Redemption/Switching 贖回轉換

I/We acknowledge and confirm that I/we have received and read the Personal Data Protection Statement attached to the Client Agreement entered into by me/us. I/We understand and agree that the information collected from me/us in this form together with any subsequent alterations or supplements to it can be used and/or transferred in accordance with any of the uses and purposes (including in relation to direct marketing) and/or to any of the transferees as fully described in the Personal Data Protection Statement and agreed by me/us pursuant to the Client Agreement.
本人／吾等進一步確認及確定，本人／吾等已明白及閱讀載於客戶資料中的個人資料保障聲明（不時作出修訂）。本人／吾等確認及同意從本人／吾等在本表格上收集的資料及日後之任何改動或補充，可根據個人資料保障聲明內的使用及目的（包括直接促銷）及／或轉交予受讓人的描述，而作使用及轉交。

Part 4 - Client Investment Risk Profile Questionnaire (Individual)
第四部份 - 客戶投資風險取向問卷（個人）

Notice to Customer(s) 客戶須知:

1. This questionnaire is designed to help iTrade Securities Investment Limited ("iTrade Securities") to assess your investment risk profile and to collect information about your risk appetite, financial situation, investment experience and investment horizon. If relevant information is not provided, iTrade Securities may not be able to process your application(s). The collection and use of information in this questionnaire does not constitute any offer, solicitation or recommendation of any investment product or services and it should not be considered an investment advice.
   本問卷用以協助美信證券投資有限公司（美信證券）評估您的投資風險取向，並收集有關您的風險取向、財政狀況、投資經驗及投資年期的資料。如您不提供有關資料，美信證券可能無法處理您的申請。搜集及使用本問卷內的資料並不構成任何投資產品 或服務的要約、招攬或建議，且不應被視為一項投資建議。
2. iTrade Securities is required to obtain information on your financial situation, investment experience and investment objectives in order to make reasonable product suitability assessment.. You should also consider your own circumstances, including but not limited to your financial situation, investment experience and investment objectives, before making any investment decisions. Please consider consulting your independent investment adviser before making any investment decisions.
   為作出合理的產品合適性評估，美信證券需要您提供有關財政狀況、投資經驗及投資目標的資料。於做出任何投資決策前，您應考慮自身情況，包括但不限於您的財政狀況、投資經驗及投資目標。於做出任何投資決策前，您應考慮諮詢您的獨立投資顧問。
3. For questions on your financial and investment information, such as the amount of investable assets, total amount invested in a specific product, or investment experience, ALL your holdings and transactions, whether within iTrade Securities or not, should be taken into account.
   有關您的財務或投資資料之問題，例如可投資資產、某一產品的總投資金額或投資經驗等，您在美信證券之內及以外的所有資產及交易均應計算在內。
4. All information obtained in this questionnaire will be used and kept confidential in accordance with our Data Policy Notice.
   美信證券將會根據美信證券的資料政策通告使用並保密處理本問卷所收集的資料。
5. The results of this questionnaire are derived from information you provide to iTrade Securities. You must provide information that is valid, true, complete, accurate and up-to-date. Your failure in doing so would materially affect our suitability assessment.
   本問卷的結果乃根據您提供給美信證券的資料得出。請您務必提供有效、真實、完整、準確及最新的資料。您未能提供該等資料將會對美信證券的合適性評估產生重大影響。
6. Please circle the most appropriate answer.
   請圈出最適合的答案。

Account Name 賬戶名稱	
iTrade Sec Account No. 美信證券賬戶號碼	
Date of Completion 完成日期	

1. What age group do you belong to?
   您屬於以下哪個年齡組別?

   A. Age between 18 to 25
   介乎 18 至 25 歲
   B. Age between 26 to 35
   介乎 26 至 35 歲
   C. Age between 36 to 50
   介乎 36 至 50 歲
   D. Age between 51 to 64
   介乎 51 至 64 歲
   E. Age 65 or above (Note)
   65 歲或以上 (註解)

   Note: The Overall Investment Appetite/Risk Profile of a client should be "Lowest Ranking" if your age is 65 or above.
   註解: 如客戶的年齡是 65 歲以上，閣下的整體投資取向/風險概況將定為"最低風險評級"。

2. What is your highest education level?
   您的教育程度是?

   A. Primary or below (Note)
   小學或以下 (註解)
   B. Secondary
   中學
   C. Post-secondary/or above
   大專或以上

   Note: The Overall Investment Appetite/Risk Profile of a client should be "Lowest Ranking" if your education level is primary or below.
   註解: 如客戶的教育程度是小學或以下，閣下的整體投資取向/風險概況將定為"最低風險評級"。

3. Which of the following channels is/are your investment knowledge acquired? (**You may select more than one option)**
您曾經或現時從以下哪些途徑汲取投資知識? **(您可選擇多於一項)**

A. Never attempting to acquire investment knowledge
從未汲取及/或沒有興趣汲取任何投資知識
B. From relatives and/or colleagues
與親友及/或同事討論投資或理財話題
C. From financial programs of mass media
閱讀及/或收聽有關投資或財經新聞
D. From attending financial courses together with self-study
研究投資或財務相關事宜，或參加投資或財務相關 課程、論壇、簡報會、研討會或工作坊

4. How much of your investments would you require to liquidate to meet liquidity need for an unforeseen event?
您需要將多少投資兌現，以滿足突發事件的流動資金需求?

A. Need not to sell any of them
不需要出售任何投資
B. I would sell no more than 30% of my investments
本人會出售不超過 30%的投資
C. I would sell more than 30% but less than 50% of my investments
本人會出售超過 30%的投資但不到 50%的投資
D. I would sell more than 50% of my investments
本人會出售超過 50%的投資

5. Are you currently holding any of the below investment products? (**You may select more than one option)**
您現在是否持有以下任何投資產品? **(您可選擇多於一項)**

A. Savings/Fixed Deposits/Certificate of Deposits/Capital Protected Products
儲蓄/定期儲蓄/存款證/保本產品
B. Bonds/Stocks/Unit Trusts/Investment-Linked Insurance Plans
債券/證券/單位信託基金/投資相連保險計劃
C. Futures/Options/Derivatives/Structured Investment Products/Licked Deposits/Leveraged FX Trading
期貨/期權/衍生產品/結構性投資產品/掛鈎存款/槓桿式外匯投資

6. How long is the expected investment horizon when investing in investment products?
當投資於投資產品，預期投資年期是多少?

A. None or less than 1 year
沒有或少於 1 年
B. 1-3 years
1-3 年
C. Over 3 years
多於 3 年

7. Generally, the higher the expected return the higher price fluctuation may be involved. What level of annualized price fluctuation would you generally be comfortable with?
一般而言，預期較高回報，亦會涉及較高的價格波幅。您可以接受以下哪個年度價格波幅?

A. Price fluctuates between -10% and +10%
價格波幅介乎-10%至+10%
B. Price fluctuates between -20% and +20%
價格波幅介乎-20%至+20%
C. Price fluctuates under -30% and over +30%
價格波幅多於-30%至多於+30%

8. What is the percentage of current net-worth (excluding the value of your self-occupied property) that can be allowed for investment purpose?
在現時資產淨值中(撇除自住物業價)，有多少個百分比可作投資用途?

A. Less than 10%
少於 10%
B. Between 10% and 20%
介乎 10%至 20%
C. Between 21% and 30%
介乎 21%至 30%
D. Between 31% and 50%
介乎 31%至 50%
E. More that 50%
多於 50%

9. Which statement can best describe the general attitude of you towards financial investment?
以下哪一句子最能貼切描述您對金融投資的一般態度?

A. I cannot put up with any price fluctuation and have no interest on earnings.
本人不能接受任何價格波動，並且對賺取投資回報不感興趣。
B. I can only put up with little price fluctuation and wish to have earnings slightly higher than bank deposit rates.
本人只能接受較小幅度的價格波動，並且僅希望賺取稍高於銀行存款利率的回報。
C. I can put up with some price fluctuation and wish to have earnings much better than bank deposit rates.
本人可接受若干價格波幅，並希望賺取高於銀行存款利率的回報。
D. I can put up with high degree of price fluctuation and wish to have earnings comparable to stock market indexes.
本人可接受大幅度的價格波動，並希望賺取與股市指數表現相若的回報。
E. I can put up with any price fluctuation and wish to have earnings remarkably higher than stock market indexes.
本人可接受任何幅度的價格波動，並希望回報能跑贏股市指數。

10. Your knowledge on derivative products. **(You may select more than one option)**
您對衍生工具產品的認識。**(您可選擇多於一項)**

A. I underwent training or attended courses on derivative products.
本人曾接受有關衍生產品的培訓或修讀相關課程。
B. I have current or previous work experience related to derivative products.
本人現時或過去擁有與衍生產品有關的工作經驗。
C. I have executed five or more transactions within the past three years in derivative products, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures and Options, Commodities, Structured Products, Bonds, and Exchange Traded Funds, etc.
本人於過往 3 年曾執行 5 次或以上有關衍生產品的交易，例如：衍生權證、牛熊證、股票、期權、期貨及期權、商品、結構性產品、債券及交易所買賣基金等。
D. I have NOT acquired knowledge of derivative products.
本人沒有衍生工具之認識。

11. Please tick "✓" your investment experience in the following product type within the past 3 years:
請在方格上以"✓"號表示您在過去 3 年內對以下投資產品類別的買賣經驗:

Product Type 產品類別	Knowledge 知識	Year(s) of Experience 經驗年期	No. of transactions within the past 3 Years 在過去 3 年內的交易次數		
			No Transaction 沒有交易	Less than 5 Transactions 5 次以下買賣	5 or more than Transactions 5 次或以上買賣
(a) Foreign Currency/Precious Metals 外幣/貴金屬	☐ Yes 有 ☐ No 沒有	☐ Nil 零 ☐ < 5 ☐ 5-10 ☐ > 10	☐	☐	☐
(b) Fixed Income Securities (without special features) 定息債券 (沒有附帶特別條件) e.g. CDs, Government Bonds 例如: 存款證、政府債券	☐ Yes 有 ☐ No 沒有	☐ Nil 零 ☐ < 5 ☐ 5-10 ☐ > 10	☐	☐	☐
(c) Fixed Income Securities (with special features) 定息債券 (附帶特別條件) e.g. Perpetual Bonds, Preferred Shares 例如: 永續債券、優先股票	☐ Yes 有 ☐ No 沒有	☐ Nil 零 ☐ < 5 ☐ 5-10 ☐ > 10	☐	☐	☐
(d) Principal Protected Structured Product 保本結構性產品 e.g. Structured Deposits 例如: 結構性存款	☐ Yes 有 ☐ No 沒有	☐ Nil 零 ☐ < 5 ☐ 5-10 ☐ > 10	☐	☐	☐
(e) Non-principal Protected Structured Product (Currency/Interest Rate Linked) 非保本結構性產品 (貨幣/利率掛鉤) e.g. Currency Linked Deposits 例如: 貨幣掛鉤存款	☐ Yes 有 ☐ No 沒有	☐ Nil 零 ☐ < 5 ☐ 5-10 ☐ > 10	☐	☐	☐
(f) Unit Trust/Mutual Fund (Type I: Money Market Fund, Guarantee Fund) 單位信託/互惠基金 (第一類: 貨幣市場基金、保證基金)	☐ Yes 有 ☐ No 沒有	☐ Nil 零 ☐ < 5 ☐ 5-10 ☐ > 10	☐	☐	☐

Product Type 產品類別	Knowledge 知識	Year(s) of Experience 經驗年期	No. of transactions within the past 3 Years 在過去 3 年內的交易次數		
			No Transaction 沒有交易	Less than 5 Transactions 5 次以下買賣	5 or more than Transactions 5 次或以上買賣
(g) Unit Trust/Mutual Fund (Type II: Bond Fund, Mixed Allocation Fund) 單位信託/互惠基金 (第二類: 債券基金、混合分配基金)	☐ Yes 有 ☐ No 沒有	☐ Nil 零 ☐ < 5 ☐ 5-10 ☐ > 10	☐	☐	☐
(h) Unit Trust/Mutual Fund (Type III: Equity Fund, High Yield Bond Fund) 單位信託/互惠基金 (第三類: 股票基金、高收益債券基金)	☐ Yes 有 ☐ No 沒有	☐ Nil 零 ☐ < 5 ☐ 5-10 ☐ > 10	☐	☐	☐
(i) Unit Trust/Mutual Fund (Type IV: Commodity Fund, Alternative Investment Fund) 單位信託/互惠基金 (第四類: 商品基金、另類投資基金)	☐ Yes 有 ☐ No 沒有	☐ Nil 零 ☐ < 5 ☐ 5-10 ☐ > 10	☐	☐	☐
(j) Stocks or ETFs 股票或交易所買賣基金	☐ Yes 有 ☐ No 沒有	☐ Nil 零 ☐ < 5 ☐ 5-10 ☐ > 10	☐	☐	☐
(k) Non-principal Protected Structured Product 非保本結構性產品 e.g. Equity Linked Investment, Equity Linked Note or Credit Linked Note 例如: 股票掛鉤投資、股票掛鉤票據、信貸掛鉤票據	☐ Yes 有 ☐ No 沒有	☐ Nil 零 ☐ < 5 ☐ 5-10 ☐ > 10	☐	☐	☐
(l) Derivatives/Leveraged Product 衍生工具/槓桿產品 e.g. Option, Futures, Forwards, Interest Rate Swap, Cross Currency Swap, Warrant, Margin Trading including embedded derivatives financial instruments whether traded on an exchange or not 例如: 期權、期貨、遠期、利率掉期、交叉貨幣掉期、認股權證、孖展交易包括嵌入式衍生性金融工具不論是否於交易所買賣	☐ Yes 有 ☐ No 沒有	☐ Nil 零 ☐ < 5 ☐ 5-10 ☐ > 10	☐	☐	☐
(m) Others 其他 e.g. Private Equity, Hedge Fund 例如: 私募基金、對沖基金	☐ Yes 有 ☐ No 沒有	☐ Nil 零 ☐ < 5 ☐ 5-10 ☐ > 10	☐	☐	☐

Applicable only if client is over 65 years old / with education level of primary or below 僅適用於65歲或以上/祇具小學程度或以下學歷客戶
If you are at or over 65 years old or with education level of primary or below, in order to protect your interest, iTrade Securities will profile you as a conservative investor (lowest ranking) and iTrade Securities we will not accept your subscription instruction in high risk investment product. However, if you consider that you should not be profiled as a conservative investor (lowest ranking) given your higher risk appetite and may want to deal in a wider range of investment products of a higher risk profile, please check the box on the left with signature below. By signing and checking the box, you confirmed that notwithstanding your age, you understand that your investment in such products may involve higher risk (including the possibility of loss of the capital invested) than what you can take and therefore may not be in your best interest. 如閣下已達 65 歲或以上 / 祇具小學程度或以下學歷人士，為保障閣下的利益，美信證券將閣下定為保守型投資者(最低風險評級)。因此，美信證券不會接受閣下認購高風險的投資產品。 然而，閣下如認為可承受較高風險而不應被定為保守型投資者(最低風險評級)，並有意買賣較廣泛的投資產品包括較高風險的產品。請在左面方格內劃勾並在下方簽署。透過在方格內劃勾及簽署，閣下確認儘管考慮年齡狀況，並明白於該等產品的投資涉及的風險可能較閣下可承受的為高（包括可能損失投資本金），未必屬於閣下的最佳利益。 ☐ I want to deal in a wider range of investment products of a higher risk profile. I will provide more supporting documents for iTrade Securities to review this application. 本人有意買賣較廣泛的投資產品包括較高風險的產品。如有需要，本人將提供證明文件予美信證券作進一步審查。

Client Signature 客戶簽名:	Client Signature: (Joint Account Holder) 客戶簽名:（聯名賬戶持有人）
Client Name 客戶姓名:	Client Name 客戶姓名:
Date 日期:	Date 日期:

Important Note 重要事項

Your investment risk profile assessment is based on your overall responses rather than your answer to any individual question.
您的投資風險取向根據對整份問卷提供的答案而綜合評估，而非取決於問卷內任何單一問題的答案。

Assessment Result 評估結果

Based on the answers you have provided, you have been informed that your investment risk profile is 根據閣下提供之答案，閣下已知悉投資風險水平為

Your total score 您的總分	Tick the suitable box 剔選適當空格	Risk Profile 風險水平	Attributes and Risk Preferences 特性及風險偏好
	☐ 0-199	Low 低	You tend to prefer investments with a low risk of a decline in value. You are more interested in preserving the value of your investment than receiving a return on your capital. 您偏向投資值下降風險較低的投資。您對保存您投資值的興趣大於穫取您的資本回報。
	☐ 200-299	Low to Medium 低至中等	You tend to prefer investments with lower risk of a decline in value. However, you do recognize that in order to achieve higher returns, some Risks must be incurred and you are prepared to tolerate some fluctuations and volatility in your investment. 您偏向投資值下降風險稍低的投資。然而您亦明白在達到較高投資回報的過程中會遇上一些風險，而您亦已準備忍受一些投資上的波動及波幅。
	☐ 300-399	Medium 中等	You are willing to place reasonable emphasis on growth investments and are aware that these are liable to fluctuate in value. You can tolerate some fluctuations and volatility, but you tend to stay away from the possibility of dramatic or frequent changes in value. 您著重投資增長的同時亦承擔投資價值的波動。您雖可以承受一些波幅和變動，但您不希望看見投資價值大幅或經常改變。
	☐ 400-599	Medium to High 中等至高	You have an above-average tolerance to risk and are willing to accept a greater chance of decline in value for potentially higher returns. 您對風險的承受程度較平均高及願意接受較大機會的投資貶值去賺取較高的潛在回報。
	☐ 600 or above 600或以上	High 高	You are willing, and usually eager, to accept a greater chance of a decline in value for potentially higher returns. 您樂意接受較大機會的投資貶值去賺取較高的潛在回報。

Client Declaration 客戶確認	
I have gone through the above Risk Profile Questionnaire. I hereby declare that the information I provide in this form is valid, true, complete, accurate and up-to-date to the best of my knowledge and agree and confirm that my investment Risk profile is correctly stated above. I hereby agree that this investment Risk profile will be captured in iTrade Securities's record and iTrade Securities will adopt the above assessment result for product suitability assessment. Furthermore, I confirm that I fully understand and accept (i) that the above Risk Profile process is for the purpose of helping me to assess my attitude towards risk and investment objectives before selecting financial/investment products; (ii) that the above Risk Profile process is not intended to list out all factors and/or issues which I should consider at the time of my investment; (iii) that I must not rely on the Risk Profile as my investment preferences and my decisions may change from time to time, and in particular, may be different at the time of investment; and (iv) that I must fully read and understand the information as disclosed in various documents (including but not limited to the prospectus/explanatory memorandum/brochures/guide/offering document(s) of the financial or investment product(s)) relating to the features, Risks, merits, charges and other details of the financial or investment products before making any investment decision and (v) I must satisfy myself as to my ability to tolerate the Risk levels associated with different investment products at the time of my investment decision. 本人已進行上述風險水平測試。本人謹此聲明根據本人所知悉的全部，為本問卷提供有效、真實、完整、準確及最新的資料，並同意及確認上述的投資風險取向已正確顯示本人的投資風險取向。本人同意此投資風險取向將存於美信證券記錄，及美信證券將採取本問卷結果作產品合適性評估。 再者本人確認本人已完全明白及接受（i）進行上述風險水平測試過程是為了有助本人在選擇金融 / 投資產品前，評估本人對風險及投資目標的態度；（ii）上述風險水平測試過程並不旨在列出所有於本人投資應考慮的因素及 / 或事項；（iii）本人不能只以此風險水平測試作為本人投資意向的依據，且本人的決定可不時改變， 其現時的決定可能跟投資時不同；以及（iv）在作出任何投資決定前，本人必須細閱及明白於不同文件所披露的資料（包括但不限於金融或投資產品的招股書 / 解釋備忘錄 / 介紹冊子 / 指引 / 發售文件），其與金融或投資產品的特點、風險、優點、收費及其他詳情有關及（v）本人必須令自己信納於作出投資決定時本人可容忍不同投資產品有關的風險程度。	
Client Signature 客戶簽名:	Client Signature: (Joint Account Holder) 客戶簽名:（聯名賬戶持有人）
Client Name 客戶姓名:	Client Name 客戶姓名:
Date 日期:	Date 日期:

Disclaimer 免責聲明

This questionnaire and the results do not constitute any offer, solicitation or recommendation of any investment product or services and it should not be considered an investment advice. You should also consider your own circumstances, including but not limited to your financial situation, investment experience and investment objectives, before making any investment decisions. The results of this questionnaire are derived from information you provide to iTrade Securities. Please consider consulting your independent investment adviser before making any investment decisions. Personal information collected in this questionnaire will be kept confidential, subject to our Data Policy Notice.

本問卷及其結果並不構成任何投資產品或服務的要約、招攬或建議，且不應被當作為一項投資建議。您在作出任何投資決定前，亦應考慮您的個人狀況，包括但不限於您的財政狀況、投資經驗及投資目標。本問卷的結果來自您向本行提供的資料。您必須提供有效、真實、完整、準確及最新的資料，否則將會嚴重影響美信證券的合適性評估。在作出任何投資決定前，請考慮諮詢您的獨立投資顧問。除美信證券的資料政策通告另有規定外，本問卷所收集的個人資料，將保密處理。

Part 5 - Acknowledgement by Client
第五部份 - 聲明

I/We do not wish the iTrade Securities Investment Limited (“iTrade Securities”) to use my/our personal data in direct marketing via the following channel(s) (please use “✓” to select the channel(s))
本人/吾等不欲美信證券投資有限公司（美信證券）使用本人/吾等的個人資料經以下渠道作直銷推廣（請以"✓"選擇管道 ）:-
☐ Electronic Channels 電子渠道 ☐ Mail 郵件 ☐ Personal Call 專人電話
If you return this Form without ticking any of the above boxes, it means that you do not wish to opt-out from any form of iTrade Securities Investment Limited (iTrade Securities)'s direct marketing.
如您沒有在以上任何方格內以"✓"號顯示您的選擇，即代表您並不拒絕美信證券投資有限公司（美信證券）任何形式的直銷推廣。

☐ To improve and provide more comprehensive services to our customers, iTrade Securities may provide your personal data to other members of the Group* and any other persons for their use in direct marketing of financial, insurance, securities, commodities, investment and related services and products and facilities and so forth.
為改善及提供更全面的服務予美信證券的客戶，美信證券可能會將您的個人資料提供予「本集團」*其他成員及其他人作其包括財務、保險、證券、品、投資及相關服務和產品及授信的直銷推廣。
Please tick “✓” this box if you do not wish iTrade Securities to provide your personal data to the above persons for the above purposes.
若您不欲美信證券提供您的個人資料予以上人士作以上用途，請閣下在這方格上以"✓"號表示。

*The “Group” means iTrade Securities Investment Limited (“iTrade Securities”) and its holding companies, subsidiaries, representative offices and affiliates, wherever situated. Affiliates include subsidiaries, representative offices and affiliates of iTrade Securities's holding companies, wherever situated.
*「本集團」指美信證券投資有限公司（美信證券）及其控股公司、附屬公司、代表辦事處及附屬成員，不論其所在地。附屬成員包括附屬公司、代表辦事處及附屬成員，不論其所在地。

The above represents your present choice regarding whether or not to receive direct marketing materials, and iTrade Securities's intended provision of your personal data to other members of the Group* for their use in direct marketing. This replaces any choice communicated by you to iTrade Securities prior to this application. Please note that your above choice applies to the direct marketing of the classes of products, services and/or subjects as set out in iTrade Securities's Data Policy Notice. Please also refer to the said Notice on the kinds of personal data which may be used in direct marketing and the classes of persons to which your personal data may be provided for them to use in direct marketing.
以上代表閣下現在對是否接收直銷推廣資料，以及對美信證券擬將閣下個人資料提供予「本集團」*其他成員作其直銷推廣的選擇，亦取代任何閣下之前已告知美信證券的選擇。請注意，閣下以上的選擇適用於根據美信證券的「資料政策通告」上所載的產品，服務及/或目標類別的直銷推廣。請閣下參考該通告上以得知在直銷推廣上可使用的個人資料的種類，以及閣下的個人資料可提供予甚麼類別的人士以供該等人士在直銷推廣中使用。

I/We confirm and represent that the information on this Account Opening Agreement and documents provided in connection with this application is true, complete and correct and that the representations in the attached agreement are accurate. iTrade Securities Investment Limited (“iTrade Securities”) is entitled to rely fully on such information and representations for all purposes, unless it receives notice in writing of any change. iTrade Securities is authorized at any time to contact anyone, including client's banks, brokers or any credit agency, for the purpose of verifying the information provided on this Account Opening Agreement.
本人/吾等在此確認在開戶協議所提供的資料及檔全部為真實、完整和正確，以及附上的協議中的陳述均屬準確。除非美信證券投資有限公司（美信證券）接到更改有關本開戶協議內容的書面通知，否則美信證券可完全依賴這些資料及陳述做一切用途。客戶授權美信證券可隨時聯絡任何人包括客戶的銀行、經紀或任何信貸機構等，核實本開戶協議內的資料及陳述。

Pursuant to FATCA or applicable local laws, I/We hereby consent to iTrade Securities to report my personal data to the U.S. applicable local regulators or tax authorities where necessary in order to comply with FATCA or applicable local laws.
根據 FATCA 或相關當地法律，本人/吾等同意向美信證券彙報我的個人資料到美國或適用的當地監管機構或稅務機關，並在必要時為符合 FATCA 或適用的當地法律。

I/We agree and confirm the Specimen Signature(s) herein under will be used to verify all written instructions given relating to the operation of the Account(s).
本人/吾等同意並確定下列簽署式樣將被用作核證任何就賬戶運作之書面指示。
My/our signature(s) will be used to verify any written instructions to operate the account.
本人/吾等的簽署印鑒樣式將被用作核實任何對該賬戶進行操作的書面指示。

I/We also ensure that the information provided in the "Client Investment Risk Profile Questionnaire" is true to me/us and is solely based on my/our own circumstances and judgment, and I/we accept your assessment. At the same time, I/we confirm that if there is any situation/conditions happened to affect my/our risk tolerance level, I/we must take the initiative to require iTrade Securities to reassess my/our risk tolerance level. Otherwise I / we shall bear all the consequences resulting therefrom.
本人/吾等亦保證《客戶投資風險取向分析問卷》所填寫之資訊為本人/吾等真實的意思，完全獨立依據自身情況和判斷做出上述答案，並接受貴行評估意見。同時確認如本人/吾等發生可能影響自身風險承受能力的情形，再次購買金融產品時必須主動要求美信證券重新對本人/吾等進行風險承受能力評估。否則由此導致的一切後果由本人/吾等承擔。

☐ I/We, the undersigned Client, acknowledge and confirm that I/We have read and understood and accepted the provisions of the Cash Client's Agreement and other related documents and terms, including (inter alia) the Risk Disclosure Statement and Personal Data Protection Statement, and agree to be bound by each of the above as amended and/or supplemented from time to time. I/We have been referred to the Cash Client's Agreement and other related documents and terms, including (inter alia) the Risk Disclosure Statement and Personal Data Protection Statement, in both English and Chinese and have been explained by a staff named below in a language of my/our choice and that I am /We are invited to read the Cash Client's Agreement and other related documents and terms, including (inter alia) the Risk Disclosure Statement and Personal Data Protection Statement, ask questions and take independent advice if I/We wish. 本人/吾等為下述簽署客戶已閱讀過、明白及接受貴公司附上的現金客戶協議書及其他相關文件和條款，包括但不限於風險披露聲明及個人資料保障聲明，並且同意受不時經修改及 / 或補充的該等文件所約束。本人 / 吾等並已獲展示中英文本的現金客戶協議書及其他相關文件和條款，包括但不限於風險披露聲明及個人資料保障聲明，及獲以下職員按照本人/吾等所選擇的語言解釋明白；及本人 / 吾等已獲邀閱讀現金客戶協議書及其他相關文件和條款，包括但不限於風險披露聲明及個人資料保障聲明，提出問題及徵求獨立的意見（如本人/吾等有此意願）。

Client Signature 客戶簽名:	Client Signature: (Joint Account Holder) 客戶簽名:（聯名賬戶持有人）
Client Name 客戶姓名:	Client Name 客戶姓名:
Date 日期:	Date 日期 :
For Joint Account Only 聯名賬戶適用	☐ All written instruction of the account should be jointly signed by both account holders 所有賬戶書面指示須由兩位賬戶持有人同時簽署

Witness 見證人

Witness: I, the undersigned, have witnessed the signature and inspected the original identity document of the above-named client. 見證人的見證：本人已見證及驗證上述客戶之簽署及有關其身份證明文件之正本。		
Witness Signature: 見證人簽署:	Name of Witness: 見證人姓名:	CE. No: 中央編號:
Address of Witness: 見證人地址:	Occupation of Winess: 見證人職業:	Date: 日期:

The qualified witnesses include any licensed person in iTrade Securities, Justice of the Peace (JP), certified public account, lawyer, notary public and/or charted secretary in equivalent jurisdictions.

見證人必須為美信證券之證監會持牌人、太平紳士或專業人士， 例如專業會計師、律師、公證人及/或特許秘書。

Declaration By Staff/ Licensed Representative 職員/持牌代表的聲明

I confirm that I have provided the Risk Disclosure Statements in the language of the Customer's choice (English or Chinese) and that I have invited the Customer to read the Risk Disclosure Statements, to ask questions and advice to take independent advice if the customer wishes. 本人確認已按照客戶所選擇的語言提供及解釋上述之風險披露聲明；及邀請客戶閱讀上述風險披露聲明、提出問題及徵求獨立的意見（如客戶有此意願）。	
Name of Staff/Licensed Representative: 職員/持牌代表姓名:	CE. No: 中央編號:
Signature of Staff/Licensed Representative: 職員/持牌代表簽署:	Date: 日期:

Part 6 - Appointment of Process Agent (If Applicable)
第六部份 - 法律文件接收人委任書（如適用）

To : iTrade Securities Investment Limited
致 ： 美信證券投資有限公司

We/I , the undersigned account holder, refer to the securities trading that we/I are/am maintaining with iTrade Securities Investment Limited (“iTrade Securities”), which is subject to the Account Opening Agreement signed by us/me, the Cash Client Agreement which may be amended and/or supplemented by iTrade Securities from time to time, the Personal Data Privacy Statement, Risk Disclosure Statement and all other agreements and documents in relation and ancillary thereto (collectively the "Account Agreements").
本函乃涉及吾等/本人，即以下簽署之戶口持有人，在美信證券投資有限公司（美信證券）開設之證券買賣戶口。該戶口受到吾等/本人簽署之開戶協議、美信證券發出及不時修訂及/或補充之現金客戶協議及個人資料保障聲明、風險披露聲明以及與之有關及附帶之其它所有協定及文件所規限（統稱“賬戶協議”）。

We/I hereby irrevocably appoint the below person as our/my process agent to receive and acknowledge on our/my behalf service of any writ, summons, order, judgment or other notices of legal process in Hong Kong Special Administrative Region of the People's Republic of China ("Hong Kong") arising out of or in connection with the Account Agreements. We/I agree that any service of any legal process on the process agent shall constitute sufficient service on ourselves/myself for the purpose of legal proceedings in the courts of Hong Kong. By accepting this appointment, the process agent agrees not to retire as our/my process agent unless and until a successor process agent is appointed and notice thereof is given to iTrade Securities. Nothing herein shall affect the right of iTrade Securities to serve process in any other manner permitted by law.
吾等/本人特此不可撤銷地委任下列人士為吾等/本人之法律文件接收人，負責接收及認收在中華人民共和國香港特別行政區（“香港”）因證券戶口產生或與之有關而送達之令狀、傳召、命令、判決書以及其他法律程序通知。吾等/本人同意將法律文件送達法律文件接收人，就香港法院的法律程序而言，已構成對吾等/本人妥善送達。通過接受有關委任，法律文件接收人同意，其直至吾等/本人完成委任繼任的法律文件接收人及就該事宜通知美信證券之前，不得辭退作為吾等/本人法律文件代理人的職務。此委任書所載的條款不應影響美信證券行使其權力，以任何其他法律許可的方式送達法律程序文件。

To Be Completed By Account Holder 由戶口持有人填寫	
Client Signature 客戶簽名:	
Client Name 客戶姓名:	Date 日期

From Process Agent 由法律文件接收人出具:
We/I, the undersigned, hereby agree and confirm our/my acceptance of appointment by the above account holder as his process agent.
吾等/本人，即以下簽署人士，謹此同意並確認吾等/本人接受上述戶口持有人之委任，作為其法律文件接收人。

To Be Completed By Process Agent 由法律文件接收人填寫	
Signature 簽署	Address 地址 (Address proof must be provided 必須提供地址證明)
Name 姓名	Date 日期

Part 7 - Client Consent on The Northbound Investor ID Model and The Personal Information Collection Statement concerning Northbound China Connect Orders (If Applicable)
第七部份 - 客戶同意書有關「北向交易投資者識別碼模式」及有關中華通北向交易委託的個人資料收集聲明（如適用）

Processing of Personal Data as part of the Stock Connect Northbound Trading 處理個人資料作為滬深港通北向交易的一部份

You acknowledge and agree that in providing our Stock Connect Northbound Trading Service to you, we will be required to
閣下知悉及同意有關向閣下提供的滬深港通北向交易服務，我司將被要求進行以下工作:

(i) tag each of your orders submitted to the CSC with a Broker-to-Client Assigned Number (**"BCAN"**) that is unique to you (*for clients having single account*) / tag each of your orders submitted to the CSC with a Broker-to-Client Assigned Number (**"BCAN"**) that is unique to you or the BCAN that is assigned to your joint account with us, as appropriate (*for clients having a joint account*); and

對閣下每一個提交到中華通交易系統的委託，加上一個獨一無二而且專屬於閣下的券商客戶編碼 (以下簡稱「BCAN」) (適用於客戶持有單一賬戶) / 對閣下每一個提交到中華通交易系統的委託，加上一個獨一無二而且專屬於閣下的券商客戶編碼(以下簡稱「BCAN」) 或 加上一個編配給閣下聯名賬戶的BCAN碼 (適用於客戶持有聯名賬戶); 及

(ii) provide to the Exchange your assigned BCAN and such identification information (**"Client Identification Data"** or **"CID"**) relating to you as the Exchange may request from time to time under the Rules of the Exchange.
向交易所提供已編配給閣下的BCAN碼及有關閣下的識別資訊（「客戶識別資訊」或以下簡稱 「CID」），一切皆由於，交易所可根據交易所規則而不時提出的要求。

Without limitation to any notification we have given you or consent we have obtained from you in respect of the processing of your personal data in connection with your account and our services to you, you acknowledge and agree that we may collect, store, use, disclose and transfer personal data relating to you as required as part of our Stock Connect Northbound Trading Service, including as follows
有關處理閣下賬戶上及為閣下提供服務上的個人資料，在不限制我司過往已發給閣下任可相關通知或已從閣下那邊取得任何相關同意的情況下，閣下現在知悉及同意我司可因應滬深港通北向交易服務而收集、保存、使用、透露及轉發有關閣下的個人資料，包括如下:

(a) to disclose and transfer your BCAN and CID to the Exchange and the relevant SEHK Subsidiaries from time to time, including by indicating your BCAN when inputting a China Connect Order into the CSC, which will be further routed to the relevant China Connect Market Operator on a real-time basis

不時透露及轉發閣下的BCAN碼及CID給交易所及相關的香港交易所子公司，透過將中華通交易委託輸入中華通交易系統，而該委託將會即時被轉到相關的中華通市場營運者時，我司在該委託上標示出閣下的BCAN碼;

(b) to allow each of the Exchange and the relevant SEHK Subsidiaries to: (i) collect, use and store your BCAN, CID and any consolidated, validated and mapped BCANs and CID information provided by the relevant China Connect Clearing House (in the case of storage, by any of them or via HKEX) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange; (ii) transfer such information to the relevant China Connect Market Operator (directly or through the relevant China Connect Clearing House) from time to time for the purposes set out in (c) and (d) below; and (iii) disclose such information to the relevant regulators and law enforcement agencies in Hong Kong so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets
容許每一個交易所及相關的香港交易所子公司: (i) 收集、使用及保存閣下的BCAN、CID及任何由相關的中華通結算所提供已整合、已驗證及已配對的BCAN及CID資訊 (資訊由他們保存或透通香港交易所保存) 用作監控、監察市場 及 執行交易所規則; (ii) 不時為了滿足以下(c)及(d)段的目的而須要(直接或透過相關中華通結算所)轉發這些資訊到相關的中華通市場營運者; 及 (iii) 透露這些資訊給在香港相關的監管機構及執法機關，以致有助他們在香港金融市場上提升他們的法定功能;

(c) to allow the relevant China Connect Clearing House to: (i) collect, use and store your BCAN and CID to facilitate the consolidation and validation of BCANs and CID and the mapping of BCANs and CID with its investor identification database, and provide such consolidated, validated and mapped BCANs and CID information to the relevant China Connect Market Operator, the Exchange and the relevant SEHK Subsidiary; (ii) use your BCAN and CID for the performance of its regulatory functions of securities account management; and (iii) disclose such information to the Mainland regulatory authorities and law enforcement agencies having jurisdiction over it so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets; and
容許相關的中華通結算所: (i) 收集、使用及保存閣下的BCAN及CID，有助進行對BCAN及CID的整合及驗證，以及進行對BCAN及CID與投資者識別資料庫之間的配對，從而提供已整合、已驗證及已配對的BCAN及CID資訊給相關的中華通市場營運者、交易所及相關的香港交易所子公司; (ii) 透過使用閣下的BCAN及CID來表現出在證券賬戶管理上的監管功能; 及 (iii) 透露這些資訊給對此有司法權的中國大陸監管當局及執法機關，以致有助他們在中國大陸金融市場上提升他們的監管、監察及執法功能; 及

(d) to allow the relevant China Connect Market Operator to: (i) collect, use and store your BCAN and CID to facilitate their surveillance and monitoring of securities trading on the relevant China Connect Market through the use of the China Connect Service and enforcement of the rules of the relevant China Connect Market Operator; and (ii) disclose such information to the Mainland regulatory authorities and law enforcement agencies so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets
容許相關的中華通市場營運者: (i) 收集、使用及保存閣下的BCAN及CID，有助透過應用中華通服務及執行相關中華通市場營運者所訂定的規則來監控及監察在相關中華通市場上的證券交易; 及 (ii) 透露這些資訊給對此有司法權的中國大陸監管當局及執法機關，以致有助他們在中國大陸金融市場上提升他們的監管、監察及執法功能。

By instructing us in respect of any transaction relating to China Connect Securities, you acknowledge and agree that we may use your personal data for the purposes of complying with the requirements of the Exchange and its rules as in force from time to time in connection with the Stock Connect Northbound Trading. You also acknowledge that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, used, disclosed, transferred and otherwise processed for the above purposes, whether before or after such purported withdrawal of consent
透過給我司有關中華通證券相關交易的指示，閣下知悉及同意我司為符合交易所的要求及符合其對滬深港通北向交易持續有效的規則而使用閣下的個人資料。 閣下亦知悉儘管閣下之後據稱有任何撤回同意，不論在閣下據稱撤回同意之前或之後，閣下的個人資料仍可被保存、使用、透露、轉發及以其他方式用作以上用途。

Consequences of failing to provide Personal Data or Consent 不提供同意書或個人資料所須承擔的後果

Failure to provide us with your personal data or consent as described above may mean that we will not, or no longer be able, as the case may be, to carry out your trading instructions or provide you with our Stock Connect Northbound Trading Service

不提供上述閣下的同意書或個人資料，即表示我司將不會或不再能夠處理閣下的交易指示或向閣下提供滬深港通北向交易服務。

Acknowledgement and Consent知悉及同意

I acknowledge I have read and understand the content of the Personal Information Collection Statement of iTrade Securities Investment Limited. By ticking the box below, I signify my consent for **i**Trade Securities Investment Limited to use my personal data on the terms of and for the purposes set out in the Personal Information Collection Statement

本人知悉本人已閱讀及已明白此份由美信證券投資有限公司發出有關中華通北向交易委託的個人資料收集聲明的同意書。 透過勾選以下方格，本人表示同意美信證券有限公司根據個人資料收集聲明內的條款及目的而使用本人的個人資料。

☐ I agree to iTrade Securities Investment Limited's use of my personal data for the purposes set out in the Personal Information Collection Statement.
本人表示同意美信證券投資有限公司根據個人資料收集聲明內的條款及目的而使用本人的個人資料。

Signature 簽署: ______________________________

Date 日期: ______________________________

客戶主任/經理填寫

面對面開戶適用			
見面日期及時間:		地點:	
會面人士:			

非親身開戶適用		
☐ 附上不少於HK$10,000支票 須由香港持牌銀行開立的賬戶所簽發的支票並須載有賬戶持有人在身分證明文件上所顯示的姓名	發票銀行: 支票號碼: 支票金額: 支票日期:	到賬日期: Ref No:
☐ 首筆轉帳不少於HK$10,000 須由賬戶持有人名義在香港持牌銀行開立的銀行戶口轉至公司	轉帳銀行: 轉賬金額: Ref No:	到賬日期: 到賬金額: Ref No:
☐ 透過驗證服務		
☐ 透過遙距程序		

補充資料

1) 如何認識客戶?
- ☐ 朋友
- ☐ 過往客戶
- ☐ 由本公司客戶轉介　客戶姓名: ____________　客戶號碼: ____________
- ☐ 由第三者介紹　介紹人姓名: ____________　聯絡電話: ____________
- ☐ 其他途徑　請註明: ____________

2) 就你所了解，有關客戶是否持有任何上市公司10%或以上權益?
- ☐ 否
- ☐ 是，請提供，上市公司名稱: ____________　持有上市公司權益之百分比(如你知悉): ____________

3) 就你所了解，有關客戶是否與任何上市公司之主要股東有關聯?
- ☐ 否
- ☐ 是，請提供，上市公司名稱: ____________　主要股東姓名及關係 (如你知悉): ____________

4) 收費: ☐ 金 ☐ 銀 ☐ 銅 ☐ 職員 ☐ 其他 (請註明) : ____________

客戶主任/經理簽署: ____________　簽署日期: ____________　負責人員簽署: ____________

員工填寫

Use for FATCA Compliance 美國「外國賬戶稅收遵從法」	
☐ Opt to be recalcitrant 原因: ____________ 檢查及資料輸入/日期: ____________ 資料覆核/日期: ____________	☐ Situation resolved 原因: ____________ 檢查及資料輸入/日期: ____________ 資料覆核/日期: ____________

Remark:

1. U.S. citizen includes an individual who is born in the U.S. territory or possession of the U.S. (i.e., American Samoa, Guam, the Northern Mariana Islands, Puerto Rico, or the U.S. Virgin Islands), while a U.S. tax resident refers to U.S. Green Card holder (i.e. holder of U.S. Permanent Resident card) or individual who meets the substantial presence test (i.e. he/she has been present in the U.S. for at least 31 actual days in the current tax year and 183 equivalent days during a three year period)
   美國公民，包括出生在美國領土或屬地，美國（即美屬薩摩亞，關島，北馬裡安納群島，波多黎各和美國維爾京群島），而美國稅務居民是指美國個人綠卡持有人（美國永久居民卡，即持有人）或個人滿足實際天數測試（即他/她已經在三年至少 31 天實際的納稅年度和相當於 183 天身在美國）。
2. Clients should seek for their own tax advisors regarding the substantial presence test if necessary.
   客戶應尋求適合自己的稅務顧問以進行有關的實際天數測試。

資料輸入人員及簽署:	資料輸入日期:
覆核資料輸入人員及簽署:	覆核資料輸入日期:
文件檢查人員及簽署:	文件檢查日期:
開戶批核人員及簽署:	開戶批核日期: