Cash Account Number 現金帳戶號碼	
Name of Client 客户名稱	

NEW REGION SECURITIES COMPANY LIMITED
恒盛證券有限公司

Licensed Corporation under the Securities and Futures Ordinance (CE No. ABX677) and
Exchange Participant of The Stock Exchange of Hong Kong Limited
《證券及期貨條例》下的持牌法團（中央編號 ABX 677）及香港聯合交易所有限公司的交易所參與者

Cash Account 現金帳戶

Client Information Form 客戶資料表格

CLIENT INFORMATION FORM 客戶資料表格

New Region Securities Company Limited (CE No. ABX677)
Units 2907-09, Wing On House,71 Des Voeux Road Central, Central, Hong Kong
恒盛證券有限公司（中央編號 ABX677）
香香港中環德輔道中 71 號永安集團大廈 29 樓 07-09 室

Application Date 申請開戶日期	Cash Account Number 現金帳戶號碼

1. ACCOUNT AND SERVICES 賬戶及服務	
Account Type 帳戶類別	Cash Securities Trading Account 現金證券交易帳戶
Client Type 客戶種類	□ Individual 個人 □ Joint 聯名 □ Corporate 公司

For joint accounts, please state the relationship between the joint account holders
就聯名帳戶，請說明聯名帳戶持有人之間的關係

□ spouses / parent and child / other relatives 夫妻 / 父母子女 / 其他親屬關係

□ friends 朋友

□ other 其他, please specify 請說明：

2. EXISTING CLIENT OR NEW CLIENT 現有客戶或新客戶

I / We confirm that I am / we are:

□ existing client(s) of New Region Securities Company Limited (“**NRSC**”)*
恒盛證券有限公司（簡稱“**恒盛**”）的現有客戶*

□ new client of NRSC
恒盛的新客戶

* An existing client is not required to complete the rest of this Client Information Form, unless his / her / its personal or corporate information is out of date.

* 現有客戶無須填寫此《客戶資料表格》的餘下部分，其個人或公司資料已過時的除外。

3. CLIENT INFORMATION 客戶資料

A. Holders of Individual Accounts and Primary Holders of Joint Accounts

Holders of individual accounts and primary holders of joint accounts should complete this Section A of Part 3. Secondary holders of joint accounts should go to Section B. Holders of corporate accounts should go to Section C.

個人帳戶持有人及聯名帳戶主要持有人應填寫此第 3 部分的 A 節。聯名帳戶附屬持有人應填寫 B 節。公司帳戶持有人應填寫 C 節。

Name in English 英文姓名	
Name in Chinese 中文姓名	
Gender 性別	
Date of Birth 出生日期	
Place of Birth 出生地點	
Nationality 國籍	
ID Document Type 證件類別	
ID Number 證件號碼	
ID Place of Issue 證件簽發地	
Occupation 職業	
Name of Employer 僱主名稱	
Years of Employment 受僱年期	
Residential Address 住宅地址	
Correspondence Address 通訊地址	
Residential Phone 住址電話	
Office Phone 辦事處電話	
Mobile Phone 手提電話	
Fax Number 傳真號碼	
E-Mail Address 電郵地址	

B. Secondary Holders of Joint Accounts

Secondary holders of joint accounts should complete this Section B.

聯名帳戶附屬持有人應填寫此 B 節。

Name in English 英文姓名	
Name in Chinese 中文姓名	
Gender 性別	
Date of Birth 出生日期	
Place of Birth 出生地點	
Nationality 國籍	
ID Document Type 證件類別	
ID Number 證件號碼	
ID Place of Issue 證件簽發地	
Occupation 職業	
Name of Employer 僱主名稱	
Years of Employment 受僱年期	
Residential Address 住宅地址	
Correspondence Address 通訊地址	
Residential Phone 住址電話	
Office Phone 辦事處電話	
Mobile Phone 手提電話	
Fax Number 傳真號碼	
E-Mail Address 電郵地址	

C. Holders of Corporate Accounts

Holders of corporate accounts should complete this Section C.
公司帳戶持有人應填寫此 C 節。

Name in English 英文名稱	
Name in Chinese 中文名稱	
Place of Incorporation 註冊地	
Date of Incorporation 註冊日期	
Company Number 公司號碼	
Business 公司業務	
BR Number 商業登記號碼	
Registered Address 註冊地址	
Business Address 營業地址	
Correspondence Address 通訊地址	
Office Phone 辦事處電話	
Fax Number 傳真號碼	
Contact Person 聯絡人	
Mobile Phone 手提電話	
E-Mail Address 電郵地址	

4. METHOD OF RECEIVING STATEMENTS 收取帳單的方法
NRSC shall send all combined daily statements of account, contract notes, monthly statements and other correspondence in relation to my / our account with NRSC to (please tick one only): 恒盛應將所有綜合帳戶日結單、成交單據、月結單及其他有關本人 / 吾等於恒盛所設帳戶的通訊寄到（只可選一項）： □ residential / business address 住址 / 營業地址 (monthly fee HK$50 月費港幣 50 元) □ correspondence address 通訊地址 (monthly fee HK$50 月費港幣 50 元) □ e-mail address 電郵地址

5. SETTLEMENT BANK ACCOUNT DETAILS 交收銀行帳戶資料	
NRSC may deposit any sum to which I am / we are entitled to the following bank account:	
Bank 銀行	
Bank Account Number 銀行帳戶號碼	
Bank Account Holder 銀行帳戶持有人	
Account Currency 帳戶貨幣	
Account Type 帳戶類別	□ Savings 儲蓄 □ Current 往來 □ Other:

6. ELECTRONIC TRADING SERVICES 電子交易服務
Will the client use the internet trading application offered by NRSC? 客戶會否使用恒盛提供的網上交易平台？ □ Yes 是 □ No 否

7. SPECIMEN SIGNATURES 簽字樣本

A. <u>Holders of Individual or Joint Accounts 個人帳戶或聯名帳戶持有人</u>

Holders of individual or joint accounts should complete this Section A. Holders of corporate accounts should go to Section B of this Part 7.

個人或聯名帳戶的持有人應填寫此 A 節。公司帳戶持有人請到此第 7 部分的 B 節。

My / Our specimen signature(s) is / are as follows 本人 / 吾等的簽字樣本如下

Individual / Primary Joint Account Holder 個人帳戶持有人 / 聯名帳戶主要持有人	Signature 簽字
Secondary Joint Account Holder 聯名帳戶附屬持有人	Signature 簽字

<u>For Joint Accounts Only.</u> We confirm that any one holder of our joint account is authorised to give instructions to NRSC to purchase sell or transact securities for our joint account.

<u>此條僅適用於聯名</u>帳戶。吾等所有人同意，吾等聯名帳戶的任何一位持有人皆獲授權為吾等聯名帳戶向恒盛作出購入證券、出售證券或進行證券交易的指示。

In relation to any withdrawal of funds or securities, written instructions issued to NSRC by the following number of our joint account holders shall be required:

至於提取任何款項或證券，需要以下數目的聯名帳戶持有人向恒盛發出書面指示：

□ any one joint account holder 任何一位聯名帳戶持有人

□ two joint account holders 兩位聯名帳戶持有人

B. <u>Corporate Accounts 公司帳戶持有人</u>

Only holders of corporate accounts should complete this Section B.

只有公司帳戶的持有人需要填寫此 B 節。

Our authorised signatory(ies) and his / her / their specimen signature(s) are as follows:

本公司的授權簽字人及其簽字樣本如下：

Name 姓名	Signature 簽字
Name 姓名	Signature 簽字

A copy of the identity document of each authorised signatory should be provided.

賬戶持有人應提供每一位授權簽字人的身份證明文件副本。

8. DISCLOSURE OF IDENTITY 相關身份披露

A. Is the client (or any of the client's directors, partners or substantial shareholders) an agent, officer or employee of any exchange, board of trade, clearing house, bank or trust company; or an affiliate of any introducing broker; or an officer, partner, director of or employee of any securities broker, futures broker or licensed corporation?

客戶（或其任何董事、合夥人或主要股東）是否任何交易所、交易委員會、結算所、銀行或信託公司的代理人、高級人員及 / 或員工；或任何引薦經紀的聯屬人；或任何證券經紀、期貨經紀或持牌法團的高級人員、合夥人、董事或員工？

□ Yes 是

Please state below: (a) the name of the institution; and (b) where the client is a corporate client, the name of the relevant director, partner of substantial shareholder

請在以下空位提供 (a) 相關機構的名稱；及 (b) 如客戶是公司客戶，客戶相關董事、合夥人或主要股東的姓名

Institution 機構 ____________________

Director / partner / shareholder 董事 / 合夥人 / 股東 ____________________

□ No 否

B. Does any relative of the client (or of its directors, partners or substantial shareholders) work at NRSC?

客戶（或其任何董事、合夥人或主要股東）是否有親屬在恒盛工作？

□ Yes 是

Name of relative 親屬姓名 ____________________

□ No 否

C. Is the client the person ultimately benefitting from the transactions and bearing the risks?

客戶是否最終受益於交易及承擔風險的人士？

□ Yes 是

□ No 否

Name of that person 該人的姓名 ____________________

D. Is the client the person ultimately responsible for originating instructions:

客戶是否最終負責發出指示的人士？

□ Yes 是

□ No 否

Name of that person 該人的姓名 ____________________

E. Is any of the client's affiliates a client of NRSC?

客戶是否有任何聯屬人為恒盛的客戶？

For this question, the term "affiliate" means (if the account is an individual or joint account) the client's spouse, child or parent; or any corporation of which the client is (alone or together with his / her spouse, children and/or parents) in control of 35% or more of its voting rights; and (if the account is a corporate account) any corporation of which the client is in control of 35% or more of its voting rights; any corporation which controls 35% of the voting rights of the client; or any corporation which is its associated company (as defined in the Companies Ordinance (Cap. 622)).

對於此問題，"聯屬人"一詞指（如帳戶為個人或聯名帳戶）客戶的配偶、子女或父母或客戶（不論是獨自還是連同其配偶、子女及 / 或父母）控制 35% 或以上投票權的任何法團；及（如帳戶為公司帳戶）客戶控制 35% 或以上投票權的任何法團，任何控制客戶 35% 或以上投票權的法團或任何是客戶有聯繫公司（該詞定義見香港法例第 622 章《公司條例》）的法團。

□ Yes 是

Name of affiliate 聯屬人名稱 ____________________

□ No 否

9. TAX STATUS SELF-DECLARATION FORM 稅務身份自我認證表格

A. Points to Note 注意事項

- The client is required to complete this Form by reason of the automatic exchange of financial account information standard ("**AEOI**") and/or Foreign Account Tax Compliance Act ("**FATCA**").

  因應共同匯報標準（簡稱"**AEOI**"）及 / 或海外帳戶稅收合規法（簡稱"**FATCA**"）的要求，客戶須填寫此表格。

- Under AEOI and FATCA regulations, the data collected may be transmitted by NRSC to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.

  根據 AEOI 及 FATCA 法規，恒盛可把收集所得的資料交給稅務局，而稅務局或會將資料轉交給另一稅務管轄區的稅務當局。

- The client should report all changes in its tax residency status to NRSC.

  如客戶的稅務居民身份有所改變，應盡快通知恒盛所有變更事項。

- Where necessary, the client should consult independent professional advisors for assistance in completing this Form.

  如有需要，客戶應在填寫此表格時尋求獨立專業顧問的協助。

B. Tax Residency Declaration 稅務居民身份聲明

Please set out in the table below (a) all jurisdictions in which the client is resident for tax purposes and (b) its Tax Identification Number ("**TIN**") for each such jurisdiction.

請在下表提供 (a) 客戶具有稅務居民身份的所有稅務管轄區；及 (b) 其在該稅務管轄區的稅務編碼。

Jurisdiction 稅務管轄區	TIN* 稅務編碼*	If TIN is unavailable, please state Reason A, B or C** 如沒有稅務編號，請填寫理由 A、B 或 C**	If Reason B is chosen, please elaborate 如選取理由 B，請提供詳情

* If the client is Hong Kong tax resident, the TIN should be his / her Hong Kong Identity Card Number.
如客戶為香港稅務居民，稅務編碼應為其香港身份證號碼。

** Reason A: The jurisdiction does not issue any TIN to its tax residents.
理由 A: 該稅務管轄區並不向其稅務居民發出任何稅務編碼。

Reason B: The client is unable to obtain a TIN for that jurisdiction. Please elaborate the reasons.
理由 B: 客戶無法取得該稅務管轄區的稅務編碼。請提供詳細的理由。

Reason C: TIN is not required, as the jurisdiction does not require its disclosure.
理由 C: 客戶無須提供稅務編碼，原因是該稅務管轄區不需客戶作出披露。

C. FATCA / Qualifying Institution Declaration FATCA / 合資格中介機構聲明

Please answer the questions below on the client's status under the United States tax code.

請回答有關客戶在美國稅法法典下身份問題。

I. Is the client a US citizen, US resident or a US Green Card holder?

客戶是否美國公民、美國居民或美國綠卡持有人?

- □ Yes 是

  Please complete a W9 Form 請填寫一份 W9 表格

- □ No 否

II. Will it use its account with NRSC to trade US securities?

客戶會否使用恒盛的帳戶進行美國證券的交易?

- □ Yes 是

  Please complete an appropriate W8 or W9 Form

  請填寫一份合適的 W8 或 W9 表格

- □ No 否

10. CLIENT ACKNOWLEDGEMENT 客戶聲明

I / we acknowledge and confirm as follows:
本人 / 吾等聲明及確認如下：

1. All of the information completed by me / us in this Client Information Form is true, accurate and up to date and NRSC may rely on all such information without further verification.
本人/吾等於此《客戶資料表格》內所填寫的所有資料皆屬真實，準確及最新的資料，恒盛可依賴所有該等資料，而無須進一步核實。

2. I / We will promptly notify NRSC if there is any change to any information in this Client Information Form.
如此《客戶資料表格》內的資料出現任何變動，本人 / 吾等將會即時通知恒盛。

3. I am / we are either (a) the beneficial owner of all of the income related to the account or (b) a person authorised by the beneficial owner to sign the Tax Status Self-Declaration Form (i.e. Part 9 of this Client Information Form).
本人 / 吾等是 (a) 相關帳戶所有收入的受益人; 或 (b) 一位已獲受益人授權簽署《稅務身份自我認證表格》（即此《客戶資料表格》第 9 部分）的人。

4. I / we hereby consent to NRSC collecting, using and disclosing any information that I / we have provided (including, in particular, the information contained in the Tax Status Self-Declaration Form) for the purposes of complying with any applicable laws and regulations.
閣下 / 貴公司據此同意，為了遵守相關法律及法規，恒盛可收集、使用及披露本人 / 吾等提供的任何資料（特別包括《稅務身份自我認證表格》所載的資料）。

Signature of Client 客戶簽署: ____________________

Name of Client 客戶姓名: ____________________ Date 日期: ____________

ID Number 身份證明文件編號： ____________________

For Official Use Only 僅供職員使用

I declare that I have provided this Client Acknowledgement to the Client in a language of his / her / its choice (English or Chinese) and have invited the Client to read this Client Acknowledgement carefully, to ask questions and to take independent advice (if the Client so wishes).
本人聲明本人已按照客戶選擇的語言（英語或中文）向客戶提供此客戶聲明，並已要求客戶細心閱讀此客戶聲明，提出問題及徵詢獨立意見（如客戶有此意願的話）。

Signature of Licensed Person 持牌人簽署: ____________________

Name of Licensed Person 持牌人姓名: ____________________ Date 日期: ____________

CE Number 中央編號: ____________________

Approved by the following Responsible Officer(s):
由以下負責人員批核：

Signature(s) 簽名: ____________________

Name(s) 姓名: ____________________ Date 日期: ____________

CE Number(s) 中央編號: ____________________