

公司開戶表格

Corporate Account Opening Form

Delta Asia Securities Limited (“DAS”) is licensed by the Securities and Futures Commission (“SFC”) to carry on Type 1 and Type 4 regulated activities under the Securities and Futures Ordinance (Cap.571) (CE No. AAW265)

滙業證券有限公司(“滙業證券”)為獲證券及期貨事務監察委員會核准從事證券及期貨條例(香港法例第五七一章)中第一類及第四類受規管活動之持牌法團(中央編號: AAW265)

Delta Asia Financial Futures Limited (“DAFF”) is licensed by the SFC to carry on Type 2 and Type 5 regulated activities under the Securities and Futures Ordinance (Cap.571) (CE No. ABZ414)

滙業金融期貨有限公司(“滙業金融期貨”)為獲證券及期貨事務監察委員會核准從事證券及期貨條例(香港法例第五七一章)中第二類及第五類受規管活動之持牌法團(中央編號: ABZ414)

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Delta Asia Securities Limited

汇业证券有限公司

Delta Asia Financial Futures Limited

汇业金融期货有限公司

Account No 客户号码: _____

Account Opening Date
开户日期: _____

A.E. Code 经纪编号: _____

This form shall be read with Terms and Conditions of the Client Agreement.
此表格须与客户协议内的条款及条件一并阅读。

*Please delete whichever is inapplicable 请删去不适用者

*Please tick the appropriate box 请在适当空格加✓

ACCOUNT OPENING FORM 开户表格**Corporate 公司****A. Account Type 账户类别**

Account Type 账户种类		Trading Platform 交易方式
Securities 证券	<input type="checkbox"/> Cash Securities Account 证券现金账户	<input type="checkbox"/> Telephone (Manual) 电话人手落盘 <input type="checkbox"/> Electronic 电子交易
	<input type="checkbox"/> Margin Securities Account 证券保证金账户	
	<input type="checkbox"/> Stock Options Account 股票期权账户	
Futures 期货	<input type="checkbox"/> Futures & Index Options Account 期货及指数期权	<input type="checkbox"/> Telephone (Manual) 电话人手落盘 <input type="checkbox"/> Electronic 电子交易

B. Client Information 客户资料**B.1 Corporate Information 公司资料**

Entity of the Client 客户身份	<input type="checkbox"/> Listed Company 上市公司 <input type="checkbox"/> Unlisted Limited Company 非上市有限公司 <input type="checkbox"/> Overseas Company 海外公司 <input type="checkbox"/> Unlimited Company 无限公司	<input type="checkbox"/> Sole Proprietorship 独资企业 <input type="checkbox"/> Partnership 合伙企业 <input type="checkbox"/> Trust Company 信托公司 <input type="checkbox"/> Others 其他
English Name 英文名称:	_____	
Chinese Name 中文名称:	_____	
Country of Incorporation 注册国家:	_____	Date of Incorporation 公司注册日期: _____
Certificate of Incorporation No. 公司注册证号码:	_____	Business Registration Cert. No. 商业登记证号码: _____
Office Tel No. 公司电话号码:	_____	Facsimile No. 传真号码: _____
Nature of Business 业务性质:	_____	E-mail Address 电邮地址: _____
Address of Registration 注册办事处地址:	_____	
Business Address 业务地址:	_____	

B.2 Financial Background 财务资料背景

Paid-up Share Capital (HKD) 缴足股本(港元): _____	Authorized Share Capital (HKD) 注册资本(港元): _____
Net Asset Value (HKD) 资产净值(港元): _____	Latest Annual Profit (HKD) 最近年度利润(港元): _____

B.3 Corporate Structure 公司结构**(i) Particular of Major Shareholders (Shareholding of 5% or more) (not applicable to public listed company)
主要股东资料细节 (持有百分之五或以上股权) (上市公司不用填写)**

Name 姓名	ID / Passport No. 身份证 / 护照号码	Residential Address 住址	Ratio (%) 百分率
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

(ii) Particular of Directors of the Company 董事资料细节

Name 姓名	ID / Passport No. 身份证 / 护照号码	Residential Address 住址
_____	_____	_____
_____	_____	_____
_____	_____	_____

B.4 Authorized Person 获授权人士

All instructions will follow the Client's Board Resolution.

所有指示以客户的董事决议为准。

C. Ultimate Beneficial Owner(s) of the Account (not applicable to public Listed Company) 账户最终权益拥有人(不适用于上市公司)

Name of Sole Proprietor / Partner / Ultimate Shareholder
独资企业 / 合伙企业 / 最终股东名称

Name 姓名	ID / Passport No. 身份证 / 护照号码	Residential Address 住址	% of Interest 权益百分比

D. Client Standing Settlement Bank Account 客户常设交收银行账户 (Designated Bank Account 指定银行账户)

Account Type 账户类别	Bank Name 银行名称	Bank Account No. 银行账户号码	Currency 货币
1)*			HKD 港币
2)			
3)			

* Default (1) to First Standing Settlement Bank Account (HKD) 设定(1)为首要常设交收银行账户(港币)

E. Method of Correspondence 通讯方式

Please select one of the following method of communication 请选择以下其中一项通讯方式:

- By Mail 邮递 - Business Address 业务地址 (P.O. Boxes are not accepted 邮政信箱恕不接受) *
- By E-Mail 电邮

* Please refer to Fees and Charges 请参阅服务收费简介

F. Investment Profile 投资概况

Investment Objectives 投资目标:

- Dividend Income 股息收入
- Hedging 对冲
- Capital Gain 资本增长
- Speculative 投机
- Others (Please specify) 其他 (请说明): _____

Experience in Products 曾投资产品:

- HK Listed Stocks 香港上市股票
- Overseas Listed Stocks 海外上市股票
- HK Futures & Options 香港期货及期权
- Overseas Futures & Options 海外期货及期权
- Mutual Funds or Unit Trust 互惠基金或单位信托
- Bonds 债券
- Commodities 商品
- None 没有
- Others (Please specify) 其他(请说明): _____

Year of Experience in Investment

投资经验年期:

- | | | | | |
|---|--------------------------------------|--------------------------------------|---------------------------------------|--------------------------------------|
| <input type="checkbox"/> Securities Trading 证券交易 | <input type="checkbox"/> <1year 少于一年 | <input type="checkbox"/> 1-5yrs 一至五年 | <input type="checkbox"/> 6-10yrs 六至十年 | <input type="checkbox"/> >10yrs 多于十年 |
| <input type="checkbox"/> Bonds 债券 | <input type="checkbox"/> <1year 少于一年 | <input type="checkbox"/> 1-5yrs 一至五年 | <input type="checkbox"/> 6-10yrs 六至十年 | <input type="checkbox"/> >10yrs 多于十年 |
| <input type="checkbox"/> CBBC 牛熊证 | <input type="checkbox"/> <1year 少于一年 | <input type="checkbox"/> 1-5yrs 一至五年 | <input type="checkbox"/> 6-10yrs 六至十年 | <input type="checkbox"/> >10yrs 多于十年 |
| <input type="checkbox"/> Derivative Warrants 衍生权证 | <input type="checkbox"/> <1year 少于一年 | <input type="checkbox"/> 1-5yrs 一至五年 | <input type="checkbox"/> 6-10yrs 六至十年 | <input type="checkbox"/> >10yrs 多于十年 |
| <input type="checkbox"/> Rights 供股权 | <input type="checkbox"/> <1year 少于一年 | <input type="checkbox"/> 1-5yrs 一至五年 | <input type="checkbox"/> 6-10yrs 六至十年 | <input type="checkbox"/> >10yrs 多于十年 |
| <input type="checkbox"/> ETF 交易所买卖基金 | <input type="checkbox"/> <1year 少于一年 | <input type="checkbox"/> 1-5yrs 一至五年 | <input type="checkbox"/> 6-10yrs 六至十年 | <input type="checkbox"/> >10yrs 多于十年 |
| <input type="checkbox"/> Futures/Options 期货/期权 | <input type="checkbox"/> <1year 少于一年 | <input type="checkbox"/> 1-5yrs 一至五年 | <input type="checkbox"/> 6-10yrs 六至十年 | <input type="checkbox"/> >10yrs 多于十年 |
| <input type="checkbox"/> Stock Options 股票期权 | <input type="checkbox"/> <1year 少于一年 | <input type="checkbox"/> 1-5yrs 一至五年 | <input type="checkbox"/> 6-10yrs 六至十年 | <input type="checkbox"/> >10yrs 多于十年 |
| <input type="checkbox"/> Convertible Bonds 可换股债券 | <input type="checkbox"/> <1year 少于一年 | <input type="checkbox"/> 1-5yrs 一至五年 | <input type="checkbox"/> 6-10yrs 六至十年 | <input type="checkbox"/> >10yrs 多于十年 |
| <input type="checkbox"/> Commodities 商品 | <input type="checkbox"/> <1year 少于一年 | <input type="checkbox"/> 1-5yrs 一至五年 | <input type="checkbox"/> 6-10yrs 六至十年 | <input type="checkbox"/> >10yrs 多于十年 |
| <input type="checkbox"/> Others 其他 : _____ | <input type="checkbox"/> <1year 少于一年 | <input type="checkbox"/> 1-5yrs 一至五年 | <input type="checkbox"/> 6-10yrs 六至十年 | <input type="checkbox"/> >10yrs 多于十年 |
| <input type="checkbox"/> None 没有 | | | | |

F.1 Knowledge of Structured or Derivative Products 对结构性或衍生产品知识

(Refer to the following statements and tick the appropriate box(es) below ✓按以下选择, 在下列方格中加上)

- At least one of the person(s) responsible for making investment decisions understand(s) the nature and risks of derivate products due to:
代表公司做决定的人士, 最少一位了解衍生产品的性质和风险:
- Undergoing relevant training or attending course in
已接受有关的培训或课程。

<input type="checkbox"/> Regulatory Authority 监管机构	<input type="checkbox"/> Exchange 交易所	<input type="checkbox"/> Financial Institution 金融机构	<input type="checkbox"/> Education Institution 进修学院	<input type="checkbox"/> Tertiary Institution 大专院校
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 - By gaining prior relevant work experience in financial institutions such as a brokerage firm or bank, fund house or asset management firm, regulatory authority or exchange.
于经纪公司或银行、基金或资产管理公司、监管机构或交易所等金融机构拥有有关的工作经验。

<input type="checkbox"/> Regulated Licensed 受监管持牌人士	<input type="checkbox"/> Derivatives Related Back Office 与衍生工具相关后勤	<input type="checkbox"/> Management 管理层
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 - Executing five or more transactions in derivative products (whether traded on an exchange or not) within the past three years.
 于过去三年内进行了五次或以上有关衍生产品之交易。(不论是否于交易所进行交易)
- The person(s) responsible for making investment decisions have NO knowledge of derivative products.
代表公司做投资决定的人士并未有衍生产品之认识。

G. Disclosure of Information 资料披露

- Is any director, substantial shareholder or the ultimate beneficial owner of the Account, or his spouse, partner, child, parent, spouse or partner of his child, or a closely associate with him entrusted or has been entrusted with a prominent public function, which includes a head of state, head of government, judicial or military official, senior executive of a state-owned corporation or an important political party official?
账户之任何董事、主要股东或最终实益拥有人, 或其配偶、伴侣、子女或父母, 或其子女的配偶或伴侣, 或与其关系密切的人, 是否担任或曾担任重要公职, 包括国家元首、政府首长、司法或军事官员、国有企业高级行政人员或重要政党干事?
 No 不是
 Yes 是, Please specify 请注明: _____
- Is your Company, any of the Company's shareholders/directors, the Authorized Person, the ultimate beneficial owner(s) of the Account and/or the person ultimately responsible for giving instructions for the Account, a Licensed or Registered Person, or a director or an employee of any Licensed or Registered Person of the Securities and Futures Commission in Hong Kong?
贵公司、其任何一位股东 / 董事、授权人士、此账户最终权益拥有人及 / 或就此账户进行交易的最终负责发出指示人仕, 是否香港证券及期货事务监察委员会的持牌或注册人仕, 或任何持牌或注册人仕之董事或职员?
 No 不是
 Yes 是, Name of the Licensed or Registered Person(s) 持牌或注册人仕名称: _____
- Does your Company, any of the Company's shareholders/directors, the Authorized Person, the ultimate beneficial owner(s), and/or the person ultimately responsible for giving instructions for the Account have any family relationship with any director or employee of DAS and / or DAFF or its affiliates?
贵公司、其任何一位股东 / 董事、授权人仕、作为此账户最终权益拥有人及/或就此账户进行交易的最终负责发出指示人仕, 与汇业证券及 / 或汇业金融期货或其附属公司之董事或职员是否有亲属关系?
 No 没有
 Yes 有, Please specify 请注明: Name of Director/Employee 董事或职员姓名 Relationship 关系

- Is your Company in control of 35% or more of a company, or does the Company belong to the same group of companies as another company, which maintains a margin account with DAS and / or DAFF or its Affiliates, or does any of the Company's shareholders/directors, the Authorized Person, the ultimate beneficial owner(s), and/or ultimate responsible person for originating instruction or any related person of the Company maintain a margin account with DAS and / or DAFF or its affiliates?

贵公司是否在一间于汇业证券及 / 或汇业金融期货或其附属公司持有保证金账户的公司中拥有百分之三十五或以上的股权及 / 或表决权及 / 或, 贵公司是否与一间于汇业证券及 / 或汇业金融期货或其附属公司持有保证金账户的公司同属一个集团及 / 或贵公司之任何一位股东 / 董事、授权人仕、作为此账户最终权益拥有人, 及 / 或此账户进行交易的最终负责发出指示人仕 (“有关人仕”),

及 / 或任何贵公司相关连人仕, 于汇业证券及 / 或汇业金融期货或其附属公司持有保证金账户?

No 不是

Yes 是, Please specify 请注明: _____

5. Does your Company maintain any other account(s) with DAS and / or DAFF or its affiliates?

贵公司现时是否持有汇业证券及 / 或汇业金融期货或其附属公司之其他账户?

No 不是

Yes, please provide details 是, 请提供详细资料:

Account Name 账户名称	
Account Type 账户类别	
Account No. 账户号码	

6. Is your company incorporated in US or generated income of USA for tax purpose?

贵公司是否在美国注册成立或美国税务目的产生的收入?

No. 不是

Yes, please fill in Form W-9 是, 请填写 W-9 表格

7. Any substantial shareholder (10% or above shareholding) a U.S. citizen/resident?

本公司的具影响力股东(持有 10%或以上股权)是否美国公民/居民?

No. 不是

Yes, please fill in Form W-9 是, 请填写 W-9 表格

8. Any shareholder of your corporation a U.S. citizen/resident?

本公司的任何一位股东是否美国公民/居民?

No. 不是

Yes, please fill in Form W-9 是, 请填写 W-9 表格

9. Is the beneficiary of this account a U.S. citizen/resident?

此账户的受益人是否美国公民/居民?

No. 不是

Yes, please fill in Form W-9 是, 请填写 W-9 表格

10. Is the authorized person of this account a U.S. citizen/resident?

此账户的获授权人士是否美国公民/居民?

No. 不是

Yes, please fill in Form W-9 是, 请填写 W-9 表格

H. Self-Certification 自我证明 - 实体 Entity

Important Notes 重要提示:

◇ This is a self-certification 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.

这是由账户持有人向申报财务机构提供的自我证明, 以作自动交换财务账户数据用途。申报财务机构可把收集所得的资料交给税务局, 税务局会将资料转交到另一税务管辖区的税务当局。

◇ An account holder should report all changes in his/her tax residency status to the reporting financial institution.

如账户持有人的税务居民身分有所改变, 应尽快将所有变更通知申报财务机构。

(i) Entity Type 实体类别

Tick one of the appropriate boxes and provide the relevant information. 在其中一个适当的方格内加上 号, 并提供有关资料。

Financial Institution 财务机构	<input type="checkbox"/> Custodial Institution, Depository Institution or Specified Insurance Company 托管机构、存款机构或指明保险公司 <input type="checkbox"/> Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity's assets) and located in a non-participating jurisdiction 投资实体, 但不包括由另一财务机构管理(例如: 拥有酌情权管理投资实体的资产)并位于非参与税务管辖区的投资实体
Active NFE 主动非财务实体	<input type="checkbox"/> NFE the stock of which is regularly traded on _____, which is an established securities market 该非财务实体的股票经常在 _____ (一个具规模证券市场) 进行买卖 <input type="checkbox"/> Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market _____ 的有关连实体, 该有关连实体的股票经常在 _____ (一个具规模证券市场) 进行买卖 <input type="checkbox"/> NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities 政府实体、国际组织、中央银行或由前述的实体全权拥有的其他实体 <input type="checkbox"/> Active NFE other than the above (Please specify _____) 除上述以外的主动非财务实体 (请说明 _____)
Passive NFE 被动非财务实体	<input type="checkbox"/> Investment entity that is managed by another financial institution and located in a non-participating jurisdiction 位于非参与税务管辖区并由另一财务机构管理的投资实体 <input type="checkbox"/> NFE that is not an active NFE

(ii) Controlling Persons 控权人

(Complete this part if the entity account holder is a passive NFE 如实体账户持有人是被动非财务实体，填写此部)

Indicate the name of all controlling person(s) of the account holder in the table below. If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official. Complete Form IR1457 (Self-Certification Form – Controlling Person) for each controlling person.

就账户持有人，填写所有控权人的姓名在列表内。就法人实体，如行使控制权的并非自然人，控权人会是该法人实体的高级管理人员。每名控权人须分别填写一份 IR1457 表格（自我证明表格 - 控权人）。

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

(iii) Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”) 留司法管辖区及税务编号或具有等同功能的识辨编号（以下简称「税务编号」）

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.

提供以下数据，列明（a）账户持有人的居留司法管辖区，亦即账户持有人的税务管辖区（香港包括在内）及（b）该居留司法管辖区发给账户持有人的税务编号。列出所有（不限于 5 个）居留司法管辖区。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number.

如账户持有人是香港税务居民，税务编号是其香港商业登记号码。

If the account holder is not a tax resident in any jurisdiction (e.g. fiscally transparent), indicate the jurisdiction in which its place of effective management is situated.

如果账户持有人并非任何税务管辖区的税务居民（例如：它是财政透明实体），填写实际管理机构所在的税务管辖区。

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

如没有提供税务编号，必须填写合适的理由：

Reason 理由 A - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.
账户持有人的居留司法管辖区并没有向其居民发出税务编号。

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.
账户持有人不能取得税务编号。如选取这一理由，解释账户持有人不能取得税务编号的原因。

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.
账户持有人毋须提供税务编号。居留司法管辖区的主管机关不需要账户持有人披露税务编号。

Jurisdiction of Residence 居留司法管辖区	TIN 税务编号	Enter Reason A, B or C if no TIN is available 如没有提供税务编号，填写理由 A、B 或 C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如选取理由 B，解释账户持有人不能取得税务编号的原因
(1)			
(2)			
(3)			
(4)			
(5)			

Declarations and Signature 声明及签署

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by Delta Asia Securities Limited and / or Delta Asia Financial Futures Limited 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 authorized to sign for the account holder of all the account(s) to which this form relates.

I undertake to advise Delta Asia Securities Limited and / or Delta Asia Financial Futures Limited of any change in circumstances which affects the tax residency status of the entity identified in Part 1 of this form or causes the information contained herein to become incorrect, and to

provide Delta Asia Securities Limited and / or Delta Asia Financial Futures Limited with a suitably updated self-certification form within 30 days of such change in circumstances.

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.

本人知悉及同意，汇业证券有限公司及 / 或汇业金融期货有限公司可根据《税务条例》(第 112 章)有关交换财务账户资料的法律条文，(a) 收集本表格所载数据并可备存作自动交换财务账户数据用途及 (b) 把该等资料和关于账户持有人及任何须申报账户的资料向香港特别行政区政府税务局申报，从而把资料转交到账户持有人的居留司法管辖区的税务当局。

本人证明，就与本表格所有相关的账户，本人获账户持有人授权签署本表格。

本人承诺，如情况有所改变，以致影响本表格第 1 部所述的实体的税务居民身分，或引致本表格所载的数据不正确，本人会通知汇业证券有限公司及 / 或汇业金融期货有限公司，并会在情况发生改变后 30 日内，向汇业证券有限公司及 / 或汇业金融期货有限公司提交一份已适当更新的自我证明表格。

本人声明就本人所知所信，本表格内所填报的所有数据和声明均属真实、正确和完备。

Signature 签署 : _____

Client Name 客户姓名 : _____ Date (dd/mm/yy) 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: 根据《税务条例》第 80(2E)条, 如任何人在作出自我证明时, 在明知一项陈述在要项上属具误导性、虚假或不正确, 或罔顾一项陈述是否在要项上属具误导性、虚假或不正确下, 作出该项陈述, 即属犯罪。一经定罪, 可处第 3 级 (即\$10,000) 罚款。

I. Self-Certification 自我证明 - Controlling Person 控权人

Important Notes 重要提示:

✧ This is a self-certification 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.

这是由账户持有人向申报财务机构提供的自我证明, 以作自动交换财务账户数据用途。申报财务机构可把收集所得的资料交给税务局, 税务局会将资料转交到另一税务管辖区的税务当局。

✧ An account holder should report all changes in his/her tax residency status to the reporting financial institution.

如账户持有人的税务居民身分有所改变, 应尽快将所有变更通知申报财务机构。

(i) Identification of Controlling Person 控权人的身分识辨资料

Name 姓名	
Identity Card / Passport No 身份证或护照号码	
Current Residence Address 现时住址	
Date of Birth (dd/mm/yyyy) 出生日期	
Place of Birth (Not compulsory) 出生地点 (可不填写)	

(ii) The Entity Account Holder(s) of which you are a controlling person 你作为控权人的实体账户持有人

Enter the name of the entity account holder of which you are a controlling person. 填写你作为控权人的实体账户持有人的名称。

Name of the Entity Account Holder 实体账户持有人的名称

(1)

(2)

(3)

(iii) Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") 留司法管辖区及税务编号或具有等同功能的识辨编号 (以下简称「税务编号」)

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.

提供以下数据, 列明 (a) 账户持有人的居留司法管辖区, 亦即账户持有人的税务管辖区 (香港包括在内) 及 (b) 该居留司法管辖区发给账户持有人的税务编号。列出所有 (不限于 5 个) 居留司法管辖区。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.

如账户持有人是香港税务居民, 税务编号是其香港身份证号码。

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

如没有提供税务编号, 必须填写合适的理由:

- Reason 理由 A - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.
 账户持有人的居留司法管辖区并没有向其居民发出税务编号。
- 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.
 账户持有人不能取得税务编号。如选取这一理由，解释账户持有人不能取得税务编号的原因。
- 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.
 账户持有人毋须提供税务编号。居留司法管辖区的主管机关不需要账户持有人披露税务编号。

Jurisdiction of Residence 居留司法管辖区	TIN 税务编号	Enter Reason A, B or C if no TIN is available 如没有提供税务编号，填写理由 A、B 或 C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如选取理由 B，解释账户持有人不能取得税务编号的原因
(1)			
(2)			
(3)			
(4)			
(5)			

(iv) Type of Controlling Person 控权人类别

Tick the appropriate box to indicate the type of controlling person for each entity stated in Part 2.

就第 2 部所载的每个实体，在适当方格内加上✓号，指出控权人就每个实体所属的控权人类别。

Type of Entity 实体类别	Type of Controlling Person 控权人类别	Entity 实体 (1)	Entity 实体 (2)	Entity 实体 (3)
Legal Person 法人	Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital) 拥有控制股权的个人（即拥有不少于百分之二十五的已发行股本）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who exercises control/is entitled to exercise control through other means (i.e. not less than 25% of voting rights) 以其他途径行使控制权或有权行使控制权的个人（即拥有不少于百分之二十五的表决权）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual who holds the position of senior managing official/ exercises ultimate control over the management of the entity 担任该实体的高级管理人员/对该实体的管理行使最终控制权的个人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trust 信托	Settlor 财产授予人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Trustee 受托人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Protector 保护人	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Beneficiary or member of the class of beneficiaries 受益人或某类别受益人的成员	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary) 其他（例如：如财产授予人/受托人/保护人/受益人为另一实体，对该实体行使控制权的个人）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Legal Arrangement other than Trust 除信托以外的法律安排	Individual in a position equivalent/similar to settlor 处于相等/相类于财产授予人位置的个体	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to trustee 处于相等/相类于受托人位置的个体	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to protector 处于相等/相类于保护人位置的个体	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries 处于相等/相类于受益人或某类别受益人的成员位置的个体	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	Other (e.g. individual who exercises control over another entity being equivalent/similar to settlor/trustee/protector/beneficiary) 其他（例如：如处于相等/相类于财产授予人/受托人/保护人/受益人位置的人为另一实体，对该实体行使控制权的个人）	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Declarations and Signature 声明及签署

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by Delta Asia Securities Limited and / or Delta Asia Financial Futures Limited 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 controlling person / I am authorized to sign for the controlling person # of all the account(s) held by the entity account holder(s) to which this form relates.

I undertake to advise Delta Asia Securities Limited and / or Delta Asia Financial Futures 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 Delta Asia Securities Limited and / or Delta Asia Financial Futures Limited with a suitably updated self-certification form within 30 days of such change in circumstances.

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.

本人知悉及同意，汇业证券有限公司及 / 或汇业金融期货有限公司可根据《税务条例》(第 112 章) 有关交换财务账户资料的法律条文，(a) 收集本表格所载数据并可备存作自动交换财务账户数据用途及 (b) 把该等资料和关于账户持有人及任何须申报账户的资料向香港特别行政区政府税务局申报，从而把资料转交到账户持有人的居留司法管辖区的税务当局。

本人证明，就与本表格所有相关的实体账户持有人所持有的账户，本人是控权人 / 本人获控权人授权签署本表格 #。

本人承诺，如情况有所改变，以致影响本表格第 1 部所述的个人的税务居民身分，或引致本表格所载的数据不正确，本人会通知汇业证券有限公司及 / 或汇业金融期货有限公司，并会在情况发生改变后 30 日内，向汇业证券有限公司及 / 或汇业金融期货有限公司提交一份已适当更新的自我证明表格。

本人声明就本人所知所信，本表格内所填报的所有数据和声明均属真实、正确和完备。

Signature 签署 : _____

Client Name 客户姓名 : _____ Date (dd/mm/yy) 日期(日/月/年) : _____

Delete as appropriate 删去不适用者

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：根据《税务条例》第 80(2E)条，如任何人在作出自我证明时，在明知一项陈述在要项上属具误导性、虚假或不正确，或罔顾一项陈述是否在要项上属具误导性、虚假或不正确下，作出该项陈述，即属犯罪。一经定罪，可处第 3 级（即\$10,000）罚款。

J. Client's Consent to Use of Personal Data 个人资料使用同意书

Our Company have carefully read, fully understood and agreed to accept and be bound by the Notice and Statement Relating to the Personal Data (Privacy) Ordinance (Cap. 486 of the Laws of Hong Kong) as set out in Part VII of the Client Agreement. In particular, 本公司已仔细阅读，完全理解并同意接受并遵守载于客户协议第七部份有关个人资料(私隐)条例 (香港法例第 486 章) 的通知及声明，尤其是，

Our Company hereby consent to the use of our Company Information for direct marketing directly related to the opening or continuation of our accounts with DAS and / or DAFF and the provision of financial services by DAS and / or DAFF to our Company. 本公司同意使用本公司的客户数据作为于汇业证券及 / 或汇业金融期货开立或继续维持账户，及汇业证券及 / 或汇业金融期货向本公司提供金融服务有关的直接促销之用。

Our Company hereby consent to the use of our Company Information for direct marketing by DAS and / or DAFF, any of its affiliates or other carefully selected financial, insurance or other service providers of other financial and insurance and/or services not directly related to the opening or continuation of our accounts with DAS and / or DAFF and the provision of financial services by DAS and / or DAFF to our Company. 本公司同意汇业证券及 / 或汇业金融期货、其任何集团公司或其他仔细挑选之金融、保险或产品供货商使用本公司的数据作为直接促销与本公司于汇业证券及 / 或汇业金融期货开立或继续维持账户，及汇业证券及 / 或汇业金融期货向本公司提供金融服务无关的其他金融、保险或产品供货商之用。

K. Client's Declaration, Acknowledgement and Consent 客户声明、确认及承诺

Application of Account Opening and Information Provided 账户开立申请及数据提供

Our Company represent that the information in this Account Opening Form and relevant Forms is true, complete and correct and that Our Company have not willfully withheld any material fact(s). Our Company request DAS and / or DAFF to open a Cash Securities / Margin Securities Account / Futures and Options Account ("the Account") and agree to all the terms of the Client Agreement and to abide by the Client Agreement (including the General Terms and Conditions of the Client Agreement), the rules and regulations of Securities and Futures Ordinance, Hong Kong Exchange and Clearing Limited or any other regulatory body(ies) as amended from time to time governing the transactions in the Account. DAS and / or DAFF is entitled to rely fully on such information and representations for all purposes, unless it receives notice in writing of any change. DAS and / or DAFF is authorized at any time to contact anyone, including our banks, brokers or any credit agency for the purpose of verifying the information provided on this Account Opening Form. Our Company also understand that DAS and / or DAFF will rely on the above information of Investment Experience and Product Knowledge provided to assess whether Our Company have acquired knowledge of derivative products, in order to comply with relevant requirements of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.

本公司等兹声明在开户申请书及相关表格所提供之数据全部为真实、完整及正确，本公司等并未刻意隐瞒任何重要事实。本公司等向汇业证券及 / 或汇业金融期货申请开立现金证券账户 / 保证金证券账户 / 期货及指数期权账户 ("该账户") 和同意遵守客户协议 (包括客户协议书之一般条款) 的所有条款并同意遵守证券及期货条例、香港交易所有限公司及其他监管机构不时修定以规管于该账户进行的交易之条例及规则。除非汇业证券及 / 或汇业金融期货接到更改有关本开户申请书内容的书面通知，否则汇业证券及 / 或汇业金融期货有权完全依赖此等资料及声明作一切用途。汇业证券及 / 或汇业金融期货获授权可随时就核对本数据事宜，与任何人包括本公司等之银行、经纪或任何信用机构进行咨询。本公司等亦明白汇业证券及 / 或汇业金融期货根据上述投资经验及对产品认识内的数据界定本公司等是否拥有对衍生产品之认识，以符合证券及期货事务监察委员会持牌人或注册人操守准则之有关要求。

Risk of E-Statement Service 电子结算单的风险

Our Company hereby acknowledge that Access to the internet or other electronic medium may be limited or unavailable during periods of peak demand, market volatility, systems upgrades or maintenance or for other reasons. Any communication through the internet or other electronic medium may be subject to interruption, transmission blackout, and delayed transmission due to unpredictable traffic congestion and other reasons beyond the licensed or registered person's control. Internet is, due to technical limitation, an inherently unreliable medium of communication. As a result of such unreliability, there may be delays in the transmission and receipt of information. The statements may not be sent to the designed email address at all. Moreover, communications and personal data may be accessed by unauthorized third parties, and there are risks of misunderstanding or error in any communication and that such risks shall be absolutely borne by our company.

本公司谨此承认互联网及其他电子媒介的接达可能因为高峰期、市场波动、系统升级或维修或因其他原因而受到限制或未能提供。透过互联网及其他电子媒介进行的任何通信可能会受到干扰、出现传输中断，及由于未能预测的互联网通信量或因其他不受持牌人或注册人控制的原因而导致传输延误。基于技术所限，互联网本身为不可靠的通信媒介。因此，可能会出现信息传输及接收之延误，以及结算单未必能传送到指定的电邮账号。此外，未经授权第三方可能获得通讯及个人资料，及本公司须要完全承担任何误解通信或通信错误之风险。

Additional Statement (For Futures Trading Account)

附加声明 (只适用于期货账户)

I / We agree to read the reporting requirements and the responsibilities of reporting set out in the Futures (Contract Limits and Reportable Position) Rules and related guidance notes issued by the Securities and Futures Commission. I / We agree to make the relevant notification and fulfil the responsibilities as required by the Futures (Contract Limits and Reportable Position) Rules and SFC and HKFE. I / We understand that I / we may also directly access all relevant information at the Web-site of Securities and Futures Commission or at the Web-site of HKEx.

本人 / 吾等同意细阅列于期货(合约限量及须申报的持仓量)规则及由证监会发出的有关指引的申报规则及责任。本人 / 吾等同意依据期货(合约限量及须申报的持仓量)规则、证监会及香港期货交易所之要求作出申报及完成有关责任。本人 / 吾等明白所有有关数据可以由证监会及香港交易所的网页上获得。

L. Signature of Account Holder 账户持有人签署

Client Signature & Company Chop 客户签署及公司印章

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Name of Client 客户名称	Date 日期
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M. Declaration by Licensed Representative 持牌代表声明

I, _____ (name of representative) have fully explained and provided the contents of the Agreement, including but not limited to this Account Opening Form, the General Terms and Conditions, the Additional Terms and Conditions, the Disclaimers, the Data Privacy Policy and the Risk Disclosure Statement to _____ (name of client) in a language which he/she/they understand(s) and have invited the client to read, ask questions and take independent advice if the client wishes.

本人_____ (持牌代表姓名), 经以他/他们明白的语言, 向_____ (客户姓名), 邀请其阅读, 提出问题及征求独立意见 (如客户有此意愿), 并已全部清楚解释协议书, 当中包括, 但不限于本开户表、一般条款、附加条款、免责声明、私隐政策及风险披露声明书内的内容。

Signed by Licensed Representative 持牌代表签署	SFC CE No. 证监会中央编号	Date 日期
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Note 注意:

- The terms in English version, as opposed to the Chinese translation, shall be deemed to be conclusive and definitive.**
本开户表之英文本 (相对中文译本而言) 为确实及有最终效力。
- Any deletion or amendment must be signed by all account holders.**
任何删除或修改, 必须由客户签名作实。

For Office Use Only 只供本公司专用

DAS and / or DAFF hereby appoints the following Account Executive(s) being licensed by Securities and Futures Commission or such other licensed person as from time to time it may permit and notify the Client in writing, to be primarily responsible for the affairs of the Client in respect of the Client's account(s) with DAS and / or DAFF:

Name of Account Executive / Relationship Manager 经纪/客户经理名称

	CE No. 中央编号		Contact No. 联络电话
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Document checklist 文件查核清单 :

<input type="checkbox"/> Copy of Certificate of Incorporation* 公司注册证书副本* <input type="checkbox"/> Copy of Business Registration Certificate* (if any) 公司商业登记证副本* (如有) <input type="checkbox"/> Copy of Memorandum & Articles of Association 公司章程大纲及细则副本* <input type="checkbox"/> Copy of Register of Directors* 公司董事记录册副本* <input type="checkbox"/> Board Resolution 董事决议案 <input type="checkbox"/> Copy of Audited Financial Report 审计财务报表副本* <input type="checkbox"/> Copy of Client Standing Settlement Bank Account Statement 客户常设交收银行账户结单副本	<input type="checkbox"/> Deed of Guarantee (if applicable) 担保书 (如适用) <input type="checkbox"/> ID/Passport copies and Address Proof of all Shareholders, Directors, Authorized Persons & Guarantor* 所有股东、董事、获授权者及担保人的身分证 / 护照副本及地址证明* <input type="checkbox"/> Business/Registration Address Proof (within 3 months) 营业 / 注册地址证明 (三个月内) <input type="checkbox"/> Copy of Certificate of Incumbency (Overseas Company) (within 6 months)* 职权证明书副本* (海外公司) (六个月内) <input type="checkbox"/> Copy of Register of Shareholder and Director* (Overseas Company) 股东注册证明文件副本及公司董事记录册* (海外公司) <input type="checkbox"/> Organization Chart 公司架构图 <input type="checkbox"/> W-8BEN-E Form / W-9 Form (if applicable) W-8BEN-E 表格或 W-9 表格 (如适用)
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Remarks: * The related identify documents shall be certified by a JP (Justice of Peace), or a professional person such as certified public accountant, chartered secretary, lawyer or notary public.
备注: *有关身份证明文件的见证, 须由太平绅士、特许秘书、执业会计师、律师或公证人加以验证

Client Information & Document checked by 客户数据及文件核对

Name of staff & signature 职员名称及签署 (CS)	Name:	Signature:	Date 日期
Name of staff & signature 职员名称及签署 (LCD)	Name:	Signature:	Date 日期
Name of staff & signature 职员名称及签署 (OP)	Name:	Signature:	Date 日期

Basic Commission 基本佣金 (如不填写, 默认为公司基本收费)

HKD Brokerage (%) 港币佣金 (%)	HKD Minimum Commission 港币最低佣金
CNY Brokerage (%) 人民币佣金 (%)	CNY Minimum Commission 人民币最低佣金
USD Brokerage (%) 美元佣金 (%)	USD Minimum Commission 美元最低佣金
Stock Options Commission 股票期权佣金	
Futures Commission 期货佣金	
Remark 备注	

ACKNOWLEDGED AND ACCEPTED BY AN AUTHORIZED SIGNATORY(IES) FOR AND ON BEHALF OF DELTA ASIA SECURITIES LIMITED AND/OR DELTA ASIA FINANCIAL FUTURES LIMITED
经由汇业证券有限公司及 / 或汇业金融期货有限公司之授权代表确认及接纳

DAS Authorized Signature(s) 汇业证券授权代表签署	Name of Authorized Person 授权代表姓名	Date 日期
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DAFF Authorized Signature(s) 汇业金融期货授权代表签署	Name of Authorized Person 授权代表姓名	Date 日期