

Dormant Account Reactivation Form

啟動不動賬戶表格

To 致:

- Delta Asia Securities Limited** 滙業證券有限公司 CE No.中央編號：AAW265
- Delta Asia Financial Futures Limited** 滙業金融期貨有限公司 CE No. 中央編號：ABZ414

Date 日期: _____

(1) Client Particulars 客戶資料

Full Name of Account Holder(s) 賬戶持有人之全名 _____

HK ID/Passport No.香港身分證/護照號碼 _____

(2) Account(s) to be reactivated 需要重新啟動的賬戶

Securities A/C No. 證券賬戶號碼 _____

Stock Options A/C No. 股票期權賬戶號碼 _____

Futures and Options A/C No. 期貨及期權賬戶號碼 _____

(3) Self-Certification Form for Foreign Account Tax Compliance Act and Common Reporting

Standard (Individual) 外國賬戶稅務合規法案及共同匯報標準的客戶聲明書(個人)

To comply with the US Foreign Account Tax Compliance Act ("FATCA") which is effective starting 1 July 2014 and the Organization for Economic Cooperation and Development Common Reporting Standard ("CRS") set out in the Inland Revenue (Amendment) (No.3) Ordinance 2016 which is effective starting 30 June 2016, this certificate is to be used by new account's applicants and account holders (individual) to declare whether the person is a U.S. person under the "FATCA" enacted in the United States and collect the related information based on jurisdiction of tax residence.

為配合由 2014 年 7 月 1 日起正式生效之美國《外國賬戶稅務合規法案》("FATCA")及在 2016 年 6 月 30 日刊憲並生效《2016 年稅務(修訂)(第 3 號)條例》中的經濟合作與發展組織共同匯報標準("CRS")的實施要求，本聲明書適用於新開賬戶申請人及賬戶持有人(個人)申報其是否為外國賬戶稅務合規法案中定義的美國人士及收集其稅務居民身份的若干所需資料。

Personal Information 個人資料		
Customer Name (in Block Letter) 客戶姓名 (請用英文正楷填寫): _____		
Identification Document Type 身份證明文件類別	<input type="checkbox"/> HKID Card 香港身份證 <input type="checkbox"/> Passport 護照 <input type="checkbox"/> Others 其他: _____	Document No. 證明文件號碼: _____
Date of Birth (dd-mm-yyyy) 出生日期(日/月/年): _____	Country of birth 出生國家: _____	
Current Residence Address (if the current residence address is outside Hong Kong, please fill in the country below) 現時住址 (如現時住址位於香港境外，請務必填寫國家):		
Suite, Floor, Building, Street, District 室、樓層、大廈、街道、地區: _____		
City 城市: _____		Country 國家: _____

U.S. Person Information 美國人士資料

I am a U.S. person (including a U.S. Resident/U.S. Citizen/U.S. Permanent Resident/U.S. Green Card U.S. Resident Alien)# Yes 是 No 否
本人是美國人士（包括美國居民/美國公民/美國永久居民/美國綠卡持有人/美國定居之外國人）

If you tick “Yes” to the question, please provide your **U.S. Taxpayer Identification No. (TIN)**:

如閣下的答案為「是」，請提供閣下的**美國稅務編號**：

U.S. Taxpayer Identification No. 美國稅務編號									

#If you were born in U.S. but in this form you declare that you are not a U.S. person, please also provide us with a Certificate of Loss of Nationality of the United States. 如閣下申報為非美國人士，但出生地為美國，請同時提供「Certificate of Loss of Nationality of the United States」表格。

Jurisdiction of Residence and Taxpayer Identification Number or its Function Equivalent (“TIN”).

居留司法管轄區及稅務編號或具有等同功能的識辨編號令簡稱「稅務編號」。

Please 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. Please indicate all (not restricted to five jurisdiction of residence. 請提供以下資料，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。請列出所有（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.

如賬戶持有人的香港稅務居民，稅務編號是其香港身份證號碼。

If a TIN is unavailable, please 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 A, B or C:

Reason A – The jurisdiction where the account holder is a resident for tax purpose does not issue TINs to its residents.

理由 A - 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 B – The account holder is unable to obtain a TIN. Please explain why the account holder is unable to a TIN if you have selected this reason.

理由 B - 賬戶持有人不能取得稅務編號。如選取這一理由，請解釋賬戶持有人不能取得稅務編號的原因。

Reason C – TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

理由 C - 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。

If you are a U.S. person (including a U.S. Resident / U.S. Citizen / U.S. Permanent Resident / U.S. Green Card Holder / U.S. Resident Alien) and completed the section headed “U.S. Person Information”, you do not need to repeat your U.S. jurisdiction of residence and TIN in this section.

如閣下是美國人士(包括美國居民/美國公民/美國永久居民/美國綠卡持有人/美國定居之外國人)，並已於「美國人士」部分填寫所需資料，則毋須於此部分再次填寫有關美國居留司法管轄區及美國稅務編號的資料。

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

Notice: If you are not a tax resident of the jurisdiction where you currently reside (i.e. if you are not a tax resident of the jurisdiction of the current residence address declared by you in Section 1), please complete a Reasonable Explanation Form.

注意：如閣下並不是目前居留司法管轄區的稅務居民(即如閣下並不屬於第一部分填寫的現時住址的司法管轄區的稅務居民)，請填寫一份合理解釋表格。

Declaration 聲明

1. I hereby confirm the information provided above is true, accurate and complete. I undertake to notify the relevant company in Delta Asia Financial Group within 30 calendar days if there is a change in any information which I have provided to Delta Asia Financial Group. 本人確認以上所提供的資料是真實、準確及完整的。本人承諾若本人所提供的資料有任何變更，本人會在 30 日內通知滙業財經集團系內相關公司。
2. Subject to applicable local laws, I hereby consent for Delta Asia Securities Limited, Delta Asia Financial Futures Limited and/or any of its local or overseas subsidiaries (collectively “Delta Asia Financial Group”) to disclose, report, or share my information with local and overseas regulators or tax authorities where necessary to establish my tax liability in any jurisdiction. 在不抵觸當地適用的法律的情況下，本人同意滙業證券有限公司、滙業金融期貨有限公司及/或任何其本地或海外附屬機構（統稱「滙業財經集團」）可向本地及海外監管機構或稅務機構披露、呈交或提供本人的個人資料以確立本人於任何司法管轄區的稅務責任。
3. Where required by local or overseas regulators or tax authorities, I consent and agree that Delta Asia Financial Group may withhold from my account(s) such amounts as may be required according to applicable laws, regulations and directives.
因應本地及海外監管機構或稅務機構的要求，本人同意並准許滙業財經集團可按適用的法律、法規和指令在本人賬戶中扣留相關所須的款項。
4. I undertake to fully cooperate with Delta Asia Financial Group to ensure it meets its obligations under applicable laws, regulations and directives in connection with my account(s). 本人承諾會與滙業財經集團充分合作，以確保滙業財經集團就處理與本人賬戶相關的事宜會符合適用的法律、法規和指令。
5. Without prejudice and in addition to clause 2 above, I acknowledge and agree that (a) the information contained in this form is collected and may be kept by Delta Asia Financial Group 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 Delta Asia Financial Group 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). 在不影響上述第 2 條的情況下及除該條款之外，本人知悉及同意，滙業財經集團可根據《稅務條例》（第 112 章）有關交換財務賬戶資料的法律條文，(a) 收集本聲明書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。
6. I certify that I am the account holder of all the account(s) maintained with Delta Asia Financial Group and to be opened with Delta Asia Financial Group from time to time. 本人證明，就與滙業財經集團維持及不時於滙業財經集團開立的所有賬戶，本人是賬戶持有人簽署本聲明書。
7. I undertake to advise Delta Asia Financial Group of any change in circumstances which affect the tax residency status of the individual of this form or cause the information contained herein to become incorrect, and to provide Delta Asia Financial Group with a suitably updated self-certification form within 30 days of such change in circumstances.
本人承諾，如情況有所改變，以致影響本聲明書所述的個人的稅務居民身分，或引致本聲明書所載的資料不正確，本人會通知滙業財經集團，並會在情況發生改變後 30 日內，向滙業財經集團提交一份已適當更新的客戶聲明書。
8. In the case of any inconsistency between the English version and the Chinese translation of this form, the English version shall prevail. 此聲明書的英文本與中文譯本如有歧義，概以英文本為準。
9. WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance (Cap.112) 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 112 章）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。
10. **The following certification is applicable for a U.S. person (i.e. you have ticked “Yes” in the relevant question of the section headed “U.S. Person Information” above) only** 下列聲明只適用於美國人士（即閣下就上述美國人士資料部份有關問題的答案為是）：
Under penalty of perjury, I certify that 在願受作假證供的懲處下，本人聲明：
 - (i) The number shown on this form is my correct U.S. Taxpayer Identification Number 此表格所示的號碼是本人正確的美國稅務編號 (Taxpayer Identification Number) ;

- (ii) I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the U.S. Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the U.S. IRS has notified me that I am no longer subject to backup withholding; and 本人不需要繳納預扣稅，因為(a) 本人獲豁免不需繳納預扣稅，或(b) 本人未有收到美國國稅局通知指因本人 未能報告所有利息或股息而需繳交預扣稅，或(c) 美國國稅局告知本人不再需要繳交預扣稅；及
- (iii) I am a U.S. citizen or other U.S. person. 本人是美國公民，或其他美國人士。

(4) **Change/Register of E-mail Address 更改/登記電郵地址:** _____

(5) **Method of both Daily and Monthly Combined Statement of Account and any other correspondence Collection (Please choose one) 賬戶日結單及月結及任何其他信件收取方式 (請選擇一項) :**

- By Post to Correspondence Address 郵寄至通訊地址
- By Email Address 電郵地址

(6) **Electronic Trading Services 電子交易服務**

- Subscribe 申請 (With immediate effect 即時生效)

If the Client receive the trading password from the email, please reset your new password immediately.

如客戶以電郵方式接收到交易密碼，請盡快重設新密碼。

Electronic Trading Risk Disclosure Statement 電子交易風險聲明:

- (1) Electronic trading facilities are supported by computer-based component systems for the order-routing, execution, matching, registration or clearing of trades. As with all facilities and systems, they are vulnerable to temporary disruption or failure. The Client's ability to recover certain losses may be subject to limits on liability imposed by the system provider, the market, the clearing house and/or participant firms. Such limits may vary: the Client should ask Delta Asia Securities Limited and/or Delta Asia Financial Futures Limited with which the Client deal for details in this respect.

電子交易設施是由基於電腦部件的系統支援，用以路由、執行、配對、登記指示或結算交易。與所有設施及系統一樣，它們會遭受短暫干擾或失靈。客戶追討若干虧損的能力可能受限於系統供應商、市場、結算行及/或參與就承擔責任而實施的限制。該等限制可能有異，客戶應就此方面向滙業證券有限公司及/或滙業金融期貨有限公司詢問詳情。

- (2) Trading on an electronic trading system may differ from trading on other electronic trading systems. If the Customer undertakes transactions on an electronic trading system, the Customer will be exposed to risks associated with the system including the failure of hardware and software. The result of any system failure may be that the Customer's order is either not executed according to the Customer's instructions or is not executed at all.

於一個電子交易系統上進行交易可能有別於在其他電子交易系統上進行交易。如果客戶在一個電子交易系統上進行交易，客戶將要面對與系統相關（包括硬件及軟件失靈）的風險。任何系統故障可能導致未能按照客戶的指令執行指示，又或根本沒有執行客戶的指示。

Client Acknowledgement and Consent 客戶確認及承諾:

- (1) I/We have received, read and understood the Terms and Conditions contained therein the Customer Information Statement (and the schedules, appendices and annexes thereto, if any) (the “Agreement”), and I/we accept and agree to be bound by them;
本人/吾等已收到、閱讀及明白證券帳戶協議內之條款(包括其附表、附錄及附件(如有)) (「協議」), 而本人/吾等接納並同意受該等條款約束;
- (2) The Risk Disclosure Statement were provided to me/us in a language of my/our choice (English or Chinese);
本人/吾等已獲提供以本人/吾等選擇語言(英文或中文)所撰寫的風險披露聲明;
- (3) I/We was/were invited to read the risk disclosure statements, and to ask questions and take independent advice if I/we so wished;
本人/吾等已獲邀請參閱風險披露聲明, 並提出問題及諮詢獨立意見(如有此意願);
- (4) I/We hereby agree that Delta Asia Securities Limited and/or Delta Asia Financial Futures Limited makes a final and uncontestable decision and amends or terminates other securities markets trading service based on my/our account information and relevant rules and laws, without prior notice and is not liable for any liability or claim in any format.
本人/吾等同意滙業證券有限公司或/及滙業金融期貨有限公司可在不予通知情況下, 根據本人/吾等戶口資料和相關法規, 就更改或終止其他證券市場交易服務作出最終和不可抗辯的決定, 而滙業證券有限公司或/及滙業金融期貨有限公司不需承擔任何形式的責任或賠償。
- (5) I/We have read and understood the risk of carrying out Electronic trading / Internet Trading contained therein the Client Account Agreement.
本人/吾等已閱讀及明白〔交易證券帳戶協議〕內有關電子交易及互聯網交易的風險。

客戶簽署 Customer Signature(s)

S.V.

Signature(s) of Client / Authorized Person For Corporation /Institution A/C only)

客戶/獲授權人士 (只適用於公司 / 機構客戶)簽署

For Internal Use Only 內部專用			
AE/RM/CS	Approver 批核者	Maker 處理者	Checker 審核者
Name 姓名 _____	Name 姓名 _____	Name 姓名 _____	Name 姓名 _____
Date 日期 _____	Date 日期 _____	Date 日期 _____	Date 日期 _____