



# 金益金融集團有限公司

## JIN YI FINANCIAL GROUP LIMITED

### Account Opening Form (Individual /Joint Account)

### 開戶表格(個人/聯名賬戶)

開戶申請表格(個人/聯名賬戶)

請提供個人客戶及聯名客戶之:

1. 賬戶持有人的有效身份證及/或護照的經簽名驗證複印本<sup>1</sup>
2. 最近 3 個月的銀行結單或公共服務單據作住址證明
3. 投資產品 - 風險承受能力問卷(個人/聯名客戶適用)
4. 申請及終止交易平台(適用於開設期貨賬戶)
5. 常設授權(適用於開設期貨賬戶)
6. 香港期貨交易所期貨及期權持仓限額及申報大額未平倉合約規則(適用於開設期貨賬戶)
7. 香港股票期權持仓限額及申報的持仓量規則(適用於開設股票期權賬戶)

#### ACCOUNT OPENING FORM (INDIVIDUAL/JOINT ACCOUNT)

Please provide for both Primary Client and Joint Client:

1. Certified true copy of your valid identity card and/or passport <sup>1</sup>
2. A bank statement / utility bill within the past 3 months as proof of residential address
3. Client Risk Profiling Questionnaire - Investment Products (for Individual/Joint Account)
4. Trading Platform Application and Termination (Applicable for Futures account opening)
5. Standing Authority (Applicable for Futures account opening)
6. Hong Kong Futures Exchange Futures & Options Position Limits and Large Open Position Reporting Requirements (Applicable for Futures account opening)
7. Hong Kong Stock Options Position Limits and Large Open Position Reporting Requirements (Applicable for Stock Options account opening)

#### 1 ACCOUNT TYPE 賬戶類別 (Please tick ✓ appropriate box. 請在適當空格加✓)

Individual 個人賬戶  Joint Account 聯名賬戶

Securities 證券賬戶

(Please tick ✓ one item only 請只勾選 ✓ 一項)  Cash 現金賬戶  Margin 保證金賬戶 (孖展賬戶)

Do you require internet trading services of Securities Trading Account? 您是否需要開通證券交易賬戶網上交易服務?

(Please tick ✓ one item only 請只勾選 ✓ 一項)  Yes 是  No 否

Please specify for trading in non-HK securities 如需要開通港股以外的其他證券交易請述明:

- Shanghai-Hong Kong Stock Connect 滬港通  Shenzhen-Hong Kong Stock Connect 深港通  B shares 中國 B 股
- US shares 美國股票  Bonds 債券  Funds 基金
- Structured product 結構性產品 (Applicable to Professional Investors only 只適用於專業投資者)

#### Stock Options 股票期權 (Knowledge of derivatives is required 必須具備衍生產品的認識) Please specify 請述明

HK Stock Options 香港股票期權  US Stock Options 美國股票期權 (Applicable to Professional Investors and choosing Securities

Margin Account and US shares market only 只適用於專業投資者並同時開立證券保證金賬戶(孖展賬戶)及開通美國股票市場之客戶)

Do you require internet trading services of HK Stock

Options Trading Account?

您是否需要開通香港股票期權交易賬戶之網上交易服務?

(Please tick ✓ one item only 請只勾選 ✓ 一項)  Yes 是  No 否

Do you require internet trading services of US Stock Options Trading

Account?

您是否需要開通美國股票期權交易賬戶之網上交易服務?

(Please tick ✓ one item only 請只勾選 ✓ 一項)  Yes 是  No 否

Futures 期貨賬戶 (Knowledge of derivatives is required 必須具備衍生產品的認識)

Do you require internet trading services of Futures Trading Account? 您是否需要開通期貨交易賬戶之網上交易服務?

(Please tick ✓ one item only 請只勾選 ✓ 一項)  Yes 是  No 否

Do you require trading in US Futures? 您是否需要開通美國期貨交易?

(Please tick ✓ one item only 請只勾選 ✓ 一項)  Yes 是  No 否

\*\*\* FOR OFFICAL USE ONLY \*\*\*

Client Code: \_\_\_\_\_

AE Code: \_\_\_\_\_

Related Account: \_\_\_\_\_

Credit Limit: \_\_\_\_\_

Margin Limit: \_\_\_\_\_

Interest Rate: \_\_\_\_\_

Brokerage: \_\_\_\_\_

Checked by: \_\_\_\_\_

Date: \_\_\_\_\_

香港金鐘夏愨道18號海富中心二期14樓1402-1403室

Room 1402-1403, 14/F, Tower II, Admiralty Centre, 18 Harcourt Road, Admiralty, Hong Kong

電話 Tel : (852) 2369 0322, 2369 0622

傳真 Fax : (852) 2369 0998

網址 Website: www.jinyi-finance.com



**2 PERSONAL INFORMATION 個人資料 (Please tick ✓ appropriate box. 請在適當空格加✓)**

**Primary Client 客戶**

<input type="checkbox"/> Mr.先生	Last Name (English): 英文姓:	First Name (English): 英文名:	Chinese Name: 中文姓名:
<input type="checkbox"/> Ms.女士			
<input type="checkbox"/> Mrs.夫人			
Former Name <sup>2</sup> : 前名:	Country of Birth: 出生國家:	Nationality (Please fill in more than one as appropriate): 國籍 (可填寫多於一個):	
	Date of Birth: 出生日期:	Marital Status: <input type="checkbox"/> Single 單身 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Divorced 離婚 <input type="checkbox"/> Widowed 喪偶	

Please provide relevant identity document and fill in details in following descending order of priority<sup>3</sup>.

請依照下列的優先排序依次提供相關身份證明文件，並填寫信息<sup>3</sup>。

Please put "N/A" if not applicable.

如不適用，請填上 "N/A"。

(1) HKID Card No.: 香港身份證號碼:	(2) National ID Card No.: 國家身份證號碼:	(3) Passport No.: 護照號碼:
	Place of Issue of National ID Card: 國民身份證發出地:	Place of Issue of Passport: 護照發出地:

Residential Address: 住宅地址:	Country 國家:
-------------------------------	-------------

Correspondence Address : 通訊地址:	Country 國家:
-----------------------------------	-------------

(Country Code) Home Tel. No.: (國家區號) 住宅電話號碼: ( )	(Country Code) Mobile Phone No.: (國家區號) 手提電話號碼: ( )
---	--

E-mail Address: 電郵地址:
--------------------------

Preferred mailing method (please select either one) 請選擇您的通訊方式 (只選一項):

By E-mail Address 電郵地址  By Company E-mail Address 公司電郵地址

By Access to Online Trading Platform 網上交易平台取覽 (Only applicable to account with internet trading services 只適用於開通網上交易服務之賬戶) ^

^ Under this option, you will access Statements via Online Trading Platform. Other notifications or correspondences will be provided to you by E-mail. 如選取此項，您將通過網上交易平台取覽結單，其他通知或通訊資料以電郵提供。

By Post to Correspondence Address 郵寄至通訊地址\*

\* Paper Statement will be subject to an Annual Fee (Please refer to Fee Table) 郵寄紙張結單需收取年費 (請參閱收費表)

Education 教育程度:	<input type="checkbox"/> Primary 小學	<input type="checkbox"/> Secondary 中學	<input type="checkbox"/> College 大專	<input type="checkbox"/> Graduate or above 大學或以上
-----------------	-------------------------------------	---------------------------------------	-------------------------------------	--

Employment 就業情況:	<input type="checkbox"/> Employed 受僱	<input type="checkbox"/> Self-employed 自僱	<input type="checkbox"/> Retired 退休
	<input type="checkbox"/> Unemployed 無業	<input type="checkbox"/> Housewife 家庭主婦	<input type="checkbox"/> Student 學生

Name of Employer of Primary Client: 客戶受僱/自僱機構名稱:	Present Position <sup>4</sup> : 現時職位:
---	--

Office Address: 辦公室地址:	Country: 國家:
---------------------------	-----------------

(Country Code) Office Tel. No. (Optional): (國家區號) 辦公室電話號碼(可選填): ( )	(Country Code) Fax No. (Optional): (國家區號) 傳真機號碼(可選填): ( )
--	--

Company E-mail Address (Optional): 公司電郵地址(可選填):
--

Annual Income (HK\$): 全年收入(港幣):	<input type="checkbox"/> ≤ \$250,000	<input type="checkbox"/> \$250,001-\$500,000	<input type="checkbox"/> \$500,001-\$1,000,000
	<input type="checkbox"/> \$1,000,001-\$5,000,000	<input type="checkbox"/> \$5,000,001-\$10,000,000	
	<input type="checkbox"/> > \$10,000,000, please specify 須註明 <sup>5</sup> : <input type="text"/>		

Net Worth (HK\$) <sup>6</sup> : 淨資產(港幣):	<input type="checkbox"/> ≤ \$500,000	<input type="checkbox"/> \$500,001-\$1,000,000	<input type="checkbox"/> \$1,000,001-\$5,000,000
	<input type="checkbox"/> \$5,000,001-\$10,000,000	<input type="checkbox"/> \$10,000,001-\$50,000,000	<input type="checkbox"/> \$50,000,001-\$100,000,000
	<input type="checkbox"/> > \$100,000,000, please specify 須註明 <sup>7</sup> : <input type="text"/>		

Source of Funds 資金來源	<input type="checkbox"/> Salary / Business Income 薪俸/營業收入	<input type="checkbox"/> Pension 退休金
	<input type="checkbox"/> Return on Investments 投資回報	<input type="checkbox"/> Others 其他: _____



Source of Wealth 財富來源	<input type="checkbox"/> Salary / Business Income 薪俸/營業收入	<input type="checkbox"/> Savings 儲蓄
	<input type="checkbox"/> Sale of Investments 投資回報	<input type="checkbox"/> Inheritance / Gift 遺產/贈物
	<input type="checkbox"/> Retirement Funds 退休金	<input type="checkbox"/> Sale of Property / Assets 出售物業/資產
	<input type="checkbox"/> Others 其他: _____	

1 For client who is neither a HK permanent resident nor citizen of People's Republic of China, please provide a certified true copy of BOTH National ID Card (if applicable) and passport for non-permanent HK resident. 客戶如不屬香港永久性居民或中華人民共和國公民，請同時提交其國民身份證(如適用)及旅遊證件的真簽名驗證複印本。  
 2 Please provide certified true copies of documents proving alternation of name. 請提供更改名稱證明文件的經簽名驗證複印本。  
 3 As a general rule, client is required to provide identity documents that is first mentioned in the table, save that where client does not hold such document, the next mentioned document should be provided and so forth. Please also refer to footnote 1, provide relevant identity documents as required and fill in relevant part of the table. 一般情況下，客戶需要提供該表格內首述的身分證明文件，除非客戶並無持有該文件，則應提供該表格所提述的下一份文件，如此類推。請同時參閱註腳 1，提供要求的相關身分證明文件，並填寫本表格相關部分。  
 4 Please provide business card and complete the field accordingly (if available). 請提供名片，並填寫列印在名片上的職位(如有)。  
 5 Client(s) must specify the number of annual income if their annual income are over \$10,000,000. 客戶須註明其入息數字如其收入超過\$10,000,000。  
 6 Net Worth = Total Assets (include Fixed Assets) minus Total Liabilities 淨資產 = 總資產(包括固定資產)減去總負債  
 7 Client(s) must specify the number of net worth if their net worth are over \$100,000,000. 客戶須註明其淨資產數字如其淨資產超過\$100,000,000。

Nature of Business (please select either one) 業務性質(只選一項):

- |  |  |
|--|--|
| <input type="checkbox"/> Beauty/Healthcare Services<br>美容/保健服務   | <input type="checkbox"/> Business Services<br>商業服務   |
| <input type="checkbox"/> Cash Intensive Business (e.g. Restaurant, Retail Store, etc)<br>現金密集型企業(例如:餐廳、零售店等)                       | <input type="checkbox"/> Casino and Gambling Related Business<br>賭場及其他與賭博相關的業務                     |
| <input type="checkbox"/> Construction & Engineering<br>建築及工程   | <input type="checkbox"/> Dealers in Art, Antique or Auction houses<br>藝術、古董經銷商或拍賣行                 |
| <input type="checkbox"/> Dealers in Car, Boat or Plane<br>汽車、船舶或飛機經銷商  | <input type="checkbox"/> Dealers in Jewel, Gem or Precious Metal<br>珠寶、寶石或貴金屬經銷商                   |
| <input type="checkbox"/> Embassies<br>大使館  | <input type="checkbox"/> Entertainment<br>娛樂場所   |
| <input type="checkbox"/> Finance<br>金融   | <input type="checkbox"/> Insurance<br>保險   |
| <input type="checkbox"/> Legal<br>法律行業   | <input type="checkbox"/> Licensed non-Government Organization<br>經許可非政府組織                          |
| <input type="checkbox"/> Logistics<br>物流業  | <input type="checkbox"/> Manufacturer of Ammunition and Weapons<br>彈藥及武器製造商                        |
| <input type="checkbox"/> Manufacturing<br>製造業  | <input type="checkbox"/> Mining/Trading in Precious Metals, Oil or Natural Gas<br>貴金屬、石油或天然氣開採或貿易商 |
| <input type="checkbox"/> Money Services Business (e.g. Money Exchange, Money Remitters, Check Cashers)<br>貨幣服務提供商(例如:貨幣兌換、匯款或支票兌現) | <input type="checkbox"/> Offshore Banks Located in Tax/Banking Havens<br>位於稅務/銀行避風港的離岸銀行           |
| <input type="checkbox"/> Professionals (e.g. Solicitors, Accountants, etc)<br>專業人士(例如:律師、會計師)                                      | <input type="checkbox"/> Public Services<br>公共服務   |
| <input type="checkbox"/> Real Estate<br>房地產  | <input type="checkbox"/> Startups and Fintech<br>初創及金融科技   |
| <input type="checkbox"/> Telecommunications<br>通訊業   | <input type="checkbox"/> Transportation<br>運輸業   |
| <input type="checkbox"/> Travel and Tourism<br>旅遊業   | <input type="checkbox"/> Utilities<br>公用事業   |
| <input type="checkbox"/> Virtual Currency Exchanges<br>虛擬貨幣兌換  | <input type="checkbox"/> Wholesale/Export/Import<br>批發/進出口   |
| <input type="checkbox"/> Other (please state) 其他(請註明): _____   |  |



<b>Joint Client 客戶</b>			
<input type="checkbox"/> Mr.先生 <input type="checkbox"/> Ms.女士 <input type="checkbox"/> Mrs.夫人	Last Name (English): 英文姓:	First Name (English): 英文名:	Chinese Name: 中文姓名:
Former Name <sup>2</sup> : 前名:	Country of Birth: 出生國家:	Nationality (Please fill in more than one as appropriate): 國籍 (可填寫多於一個):	
	Date of Birth: 出生日期:	Marital Status: <input type="checkbox"/> Single 單身 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Divorced 離婚 <input type="checkbox"/> Widowed 喪偶	
Please provide relevant identity document and fill in details in following descending order of priority <sup>3</sup> . 請依照下列的優先排序依次提供相關身份證明文件, 並填寫信息 <sup>3</sup> . Please put "N/A" if not applicable. 如不適用, 請填上 "N/A".			
(1) HKID Card No.: 香港身份證號碼:	(2) National ID Card No.: 國民身份證號碼: Place of Issue of National ID Card: 國民身份證發出地:	(3) Passport No.: 護照號碼: Place of Issue of Passport: 護照發出地:	
Residential Address: 住宅地址:			Country 國家:
(Country Code) Home Tel. No.: (國家區號) 住宅電話號碼: ( )		(Country Code) Mobile Phone No.: (國家區號) 手提電話號碼: ( )	
E-mail Address: 電郵地址:			
Education 教育程度: <input type="checkbox"/> Primary 小學 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> College 大專 <input type="checkbox"/> Graduate or above 大學或以上			
Employment 就業情況: <input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Unemployed 無業 <input type="checkbox"/> Housewife 家庭主婦 <input type="checkbox"/> Student 學生			
Name of Employer of Joint Client: 聯名客戶受僱/自僱機構名稱:			Present Position <sup>4</sup> : 現時職位:
Office Address: 辦公室地址:			Country: 國家:
(Country Code) Office Tel. No. (Optional): (國家區號) 辦公室電話號碼(可選填): ( )		(Country Code) Fax No. (Optional): (國家區號) 傳真機號碼(可選填): ( )	
Company E-mail Address (Optional): 公司電郵地址(可選填):			
Relationship between Primary Client and Joint Client: 客戶與聯名客戶的關係:			

Annual Income (HK\$): 全年收入(港幣):	<input type="checkbox"/> <= \$250,000	<input type="checkbox"/> \$250,001-\$500,000	<input type="checkbox"/> \$500,001-\$1,000,000
	<input type="checkbox"/> \$1,000,001-\$5,000,000	<input type="checkbox"/> \$5,000,001-\$10,000,000	
	<input type="checkbox"/> >\$10,000,000, please specify 須註明 <sup>5</sup> :	<input type="text"/>	
Net Worth (HK\$) <sup>6</sup> : 淨資產(港幣):	<input type="checkbox"/> <= \$500,000	<input type="checkbox"/> \$500,001-\$1,000,000	<input type="checkbox"/> \$1,000,001-\$5,000,000
	<input type="checkbox"/> \$5,000,001-\$10,000,000	<input type="checkbox"/> \$10,000,001-\$50,000,000	<input type="checkbox"/> \$50,000,001-\$100,000,000
	<input type="checkbox"/> > \$100,000,000, please specify 須註明 <sup>7</sup> :	<input type="text"/>	
Source of Funds 資金來源	<input type="checkbox"/> Salary / Business Income 薪俸/營業收入	<input type="checkbox"/> Pension 退休金	
	<input type="checkbox"/> Return on Investments 投資回報	<input type="checkbox"/> Others 其他: _____	
Source of Wealth 財富來源	<input type="checkbox"/> Salary / Business Income 薪俸/營業收入	<input type="checkbox"/> Savings 儲蓄	
	<input type="checkbox"/> Sale of Investments 投資回報	<input type="checkbox"/> Inheritance / Gift 遺產/贈物	
	<input type="checkbox"/> Retirement Funds 退休金	<input type="checkbox"/> Sale of Property / Assets 出售物業/資產	
	<input type="checkbox"/> Others 其他: _____		



**Nature of Business (please select either one) 業務性質(只選一項):**

- |  |  |
|--|--|
| <input type="checkbox"/> Beauty/Healthcare Services<br>美容/保健服務   | <input type="checkbox"/> Business Services<br>商業服務   |
| <input type="checkbox"/> Cash Intensive Business (e.g. Restaurant, Retail Store, etc)<br>現金密集型企業(例如:餐廳、零售店等)                       | <input type="checkbox"/> Casino and Gambling Related Business<br>賭場及其他與賭博相關的業務                     |
| <input type="checkbox"/> Construction & Engineering<br>建築及工程   | <input type="checkbox"/> Dealers in Art, Antique or Auction houses<br>藝術、古董經銷商或拍賣行                 |
| <input type="checkbox"/> Dealers in Car, Boat or Plane<br>汽車、船舶或飛機經銷商  | <input type="checkbox"/> Dealers in Jewel, Gem or Precious Metal<br>珠寶、寶石或貴金屬經銷商                   |
| <input type="checkbox"/> Embassies<br>大使館  | <input type="checkbox"/> Entertainment<br>娛樂場所   |
| <input type="checkbox"/> Finance<br>金融   | <input type="checkbox"/> Insurance<br>保險   |
| <input type="checkbox"/> Legal<br>法律行業   | <input type="checkbox"/> Licensed non-Government Organization<br>經許可非政府組織                          |
| <input type="checkbox"/> Logistics<br>物流業  | <input type="checkbox"/> Manufacturer of Ammunition and Weapons<br>彈藥及武器製造商                        |
| <input type="checkbox"/> Manufacturing<br>製造業  | <input type="checkbox"/> Mining/Trading in Precious Metals, Oil or Natural Gas<br>貴金屬、石油或天然氣開採或貿易商 |
| <input type="checkbox"/> Money Services Business (e.g. Money Exchange, Money Remitters, Check Cashers)<br>貨幣服務提供商(例如:貨幣兌換、匯款或支票兌現) | <input type="checkbox"/> Offshore Banks Located in Tax/Banking Havens<br>位於稅務/銀行避風港的離岸銀行           |
| <input type="checkbox"/> Professionals (e.g. Solicitors, Accountants, etc)<br>專業人士(例如:律師、會計師)                                      | <input type="checkbox"/> Public Services<br>公共服務   |
| <input type="checkbox"/> Real Estate<br>房地產  | <input type="checkbox"/> Startups and Fintech<br>初創及金融科技   |
| <input type="checkbox"/> Telecommunications<br>通訊業   | <input type="checkbox"/> Transportation<br>運輸業   |
| <input type="checkbox"/> Travel and Tourism<br>旅遊業   | <input type="checkbox"/> Utilities<br>公用事業   |
| <input type="checkbox"/> Virtual Currency Exchanges<br>虛擬貨幣兌換  | <input type="checkbox"/> Wholesale/Export/Import<br>批發/進出口   |
| <input type="checkbox"/> Other (please state) 其他(請註明): _____   |  |



3 ANTICIPATED LEVEL AND NATURE OF ACTIVITY PER MONTH 預計每月交易次數及種類					
Anticipated Investment Products 預計投資產品	Number of Transactions Per Month 每月交易次數	Amount of Transactions Per Month (HK\$) 每月交易金額(港幣)	Anticipated Investment Products 預計投資產品	Number of Transactions Per Month 每月交易次數	Amount of Transactions Per Month (HK\$) 每月交易金額(港幣)
Stocks 股票			Funds 基金		
Bonds 債券			Structured Products 結構性產品		
Futures & Options 期貨及期權					

4 KNOWLEDGE OF DERIVATIVES 衍生產品的認識 (Please tick ✓ appropriate box. 請在適當空格加✓)

1.  I have attended courses or seminars on derivative product(s)  
我曾接受有關衍生產品的培訓或相關課程

Name of courses or seminars 相關培訓或課程名稱:

Derivatives knowledge training provided by Jin Yi Financial group Limited 金益金融集團有限公司提供的衍生產品課程 (Please provide the completed and signed "Derivatives Knowledge Questionnaire" 請提供已完成及簽署之「衍生產品問卷」)

Other courses or seminars 其他培訓或課程

Name of courses or seminars 相關培訓或課程名稱: \_\_\_\_\_

Name of organized institution 舉辦機構名稱: \_\_\_\_\_

Attendance Date 出席日期: \_\_\_\_\_

2.  My current or previous work experience has been related to derivative product(s)  
我現時或以往的工作經驗是與衍生產品有關

Name of employer 僱主名稱: \_\_\_\_\_

Position 職位: \_\_\_\_\_

Job nature 工作性質: \_\_\_\_\_

Relevant employment period 在職年期: \_\_\_\_\_ years (年)

3.  I have executed six or more transactions in derivative products within the past three years  
我曾在以往三年內進行過六宗或以上衍生產品交易

Name of the financial intermediary(ies) through which you executed the derivative product transactions  
你進行上述衍生產品交易時使用的金融機構名稱: \_\_\_\_\_

Please indicate relevant derivative product transactions experience in "Client Risk Profiling Questionnaire"  
請在「風險承受能力問卷」填上相關衍生產品交易經驗

5 OTHER DISCLOSURES 其他資料披露 (Please tick ✓ appropriate box. 請在適當空格加✓)

Are you the employee of a SFC's licensed or registered person?  
您是否證監會持牌或註冊人的僱員?

No 不是  Yes 是 - Please provide Employer's Consent Letter and specify 請提供僱主同意書及述明具體:

Name of Licensed Corporation/Registered Institution 持牌法團或註冊機構名稱: \_\_\_\_\_

CE Reference 中央編號: \_\_\_\_\_

Are you a senior management or director of any listed company whose shares are traded on any exchange or market?  
您是在任何交易所或市場上交易股票的任何上市公司的高級管理人員或董事嗎? 如果是, 請說明公司名稱和股票代碼

No 不是  Yes 是 - Please specify the company name(s) and stock code(s) 請說明公司名稱和股票代碼

Company Name(s) 公司名稱: \_\_\_\_\_

Stock Code(s) 股票代碼: \_\_\_\_\_



Are you or your relatives currently employed by the companies of Jin Yi Financial Group Limited?

您或親屬是否現受僱於金益金融集團有限公司?

No 沒有  Yes 有 (If yes, please specify Name & Relationship 如有, 請述明姓名及關係: \_\_\_\_\_)

Is your spouse currently maintaining Account with the companies of Jin Yi Financial Group Limited?

您的配偶是否在金益金融集團有限公司開有賬戶?

No 沒有  Yes 有 (If yes, please specify 如有, 請述明賬號: \_\_\_\_\_)

Are you, either alone or with your spouse, in control of 35% or more of the issued shares of any corporate client of Jin Yi Financial Group Limited?

您是否個人或與您的配偶共同控制任何金益金融集團有限公司的公司客戶 35%以上的股權?

No 沒有  Yes 有 (If yes, please specify 如有, 請述明賬號: \_\_\_\_\_)

Have you been arrested/tried/sentenced/disciplined for illegal activities or violating regulatory requirements?

您是否曾經涉及違法或違反監管守則而被捕/受審/被判刑/被紀律處分?

No 不是  Yes 是 (If yes, please specify 如果是, 請述明具體: \_\_\_\_\_)

Are you or your immediate family members Politically Exposed Person ("PEP"), a person connected with PEP, senior government official or senior executive of a state-owned corporation? \*

您或您的直系親屬是否政治人物或與其有關連之人士、高級政府官員或國有企業高級行政人員?\*

No 不是  Yes 是 (If yes, please specify 如果是, 請述明具體: \_\_\_\_\_)

Name of the PEP 政治人物姓名	Relationship to PEP 與政治人物的關係	PEP Position and Term 政要職銜及擔任年期	Country 國家

\* PEP includes but not limited to individuals with prominent public function or in senior positions in a place inside or outside Hong Kong (including head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and important political party official)

政治人物包括但不限於香港或香港以外任何地方擔任或曾擔任重要的公職(包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事)

Are you the ultimate beneficial owner ("UBO") of this Account / person ultimately benefiting from the transactions and bearing the risk?

你是否此賬戶的最終實益擁有人/最終受益於交易及承擔風險人士?

Yes 是  No 不是 (If no, please complete Section 6. 如果不是, 請填寫 6)

Are you the person ultimately responsible for originating instructions for the account?

您是否向戶口最終負責發出指示的人士?

Yes 是  No 不是 (If no, please complete Section 6. 如果不是, 請填寫 6)



<b>6 ULTIMATE BENEFICIAL OWNER/ PERSON ULTIMATELY BENEFITING FROM THE TRANSACTIONS AND BEARING THE RISKS/ PERSON ULTIMATELY RESPONSIBLE FOR ORIGINATING INSTRUCTIONS FOR THE ACCOUNT (PLEASE COPY THIS PAGE TO COMPLETE IF MORE THAN 1 PERSON AND SIGN ON THE SUPPLEMENTARY PAGE)</b> 最終實益擁有人/最終受益於交易及承擔風險人士/最終負責發出指示的人士 (如多於 1 人, 請複印此頁填寫, 並在附加頁上簽署) (Please tick <input checked="" type="checkbox"/> appropriate box. 請在適當空格加 <input checked="" type="checkbox"/> )					
<input type="checkbox"/> ULTIMATE BENEFICIAL OWNER 最終實益擁有人		<input type="checkbox"/> PERSON ULTIMATELY BENEFITING FROM THE TRANSACTIONS AND BEARING THE RISKS 最終受益於交易及承擔風險人士		<input type="checkbox"/> PERSON ULTIMATELY RESPONSIBLE FOR ORIGINATING INSTRUCTIONS FOR THE ACCOUNT 最終負責發出指示的人士	
<input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Ms. 女士 <input type="checkbox"/> Mrs. 夫人	Last Name (English): 英文姓:	First Name (English): 英文名:	Chinese Name: 中文姓名:		
	Former Name <sup>2</sup> : 前名:	Country of Birth: 出生國家:	Date of Birth: 出生日期:		
ID Card No.: 身份證號碼:			Place of Issue of ID Card: 身份證發出地:		
Passport No.: 護照號碼:			Place of Issue of Passport: 護照發出地:		
Nationality (Please fill in more than one as appropriate): 國籍(可填寫多於一個):		Marital Status: 婚姻狀況:	<input type="checkbox"/> Single 單身 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Divorced 離婚 <input type="checkbox"/> Widowed 喪偶		
Residential Address: 住宅地址:				Country 國家:	
(Country Code) Home Tel. No.: (國家區號) 住宅電話號碼: (    )			(Country Code) Mobile Phone No.: (國家區號) 手提電話號碼: (    )		
E-mail Address: 電郵地址:					
Education 教育程度: <input type="checkbox"/> Primary 小學 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> College 大專 <input type="checkbox"/> Graduate or above 大學或以上					
Employment 就業情況: <input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Unemployed 無業 <input type="checkbox"/> Housewife 家庭主婦 <input type="checkbox"/> Student 學生					
Name of Employer: 受僱/自僱機構名稱:			Present Position <sup>3</sup> : 現時職位:		
Office Address: 辦公室地址:			Country: 國家:		
(Country Code) Office Tel. No. (Optional): (國家區號) 辦公室電話號碼(可選填): (    )			(Country Code) Fax No. (Optional): (國家區號) 傳真機號碼(可選填): (    )		
Company E-mail Address (Optional): 公司電郵地址(可選填):					
Relationship between Account Holder and UBO / person ultimately benefiting from the transactions and bearing the risk / person ultimately responsible for originating instructions for the account: 客戶與最終實益擁有人之關係/客戶與最終受益於交易及承擔風險人士之關係/客戶與最終負責發出指示的人士之關係: _____					
Net Worth (HK\$): <input type="checkbox"/> ≤ \$500,000 <input type="checkbox"/> \$500,001-\$1,000,000 <input type="checkbox"/> \$1,000,001-\$5,000,000 <input type="checkbox"/> \$5,000,001-\$10,000,000 <input type="checkbox"/> \$10,000,001-\$50,000,000 <input type="checkbox"/> \$50,000,001-\$100,000,000 <input type="checkbox"/> > \$100,000,000, please specify 須註明 <sup>5</sup> : <input type="text"/>					
Source of Wealth <input type="checkbox"/> Salary / Business Income 薪俸/營業收入 <input type="checkbox"/> Savings 儲蓄 財富來源 <input type="checkbox"/> Sale of Investments 投資回報 <input type="checkbox"/> Inheritance / Gift 遺產/贈物 <input type="checkbox"/> Retirement Funds 退休金 <input type="checkbox"/> Sale of Property / Assets 出售物業/資產 <input type="checkbox"/> Others 其他: _____					



Nature of Business (please select either one) 業務性質(只選一項):

- |  |  |
|--|--|
| <input type="checkbox"/> Beauty/Healthcare Services<br>美容/保健服務   | <input type="checkbox"/> Business Services<br>商業服務   |
| <input type="checkbox"/> Cash Intensive Business (e.g. Restaurant, Retail Store, etc)<br>現金密集型企業 (例如:餐廳、零售店等)                        | <input type="checkbox"/> Casino and Gambling Related Business<br>賭場及其他與賭博相關的業務                     |
| <input type="checkbox"/> Construction & Engineering<br>建築及工程   | <input type="checkbox"/> Dealers in Art, Antique or Auction houses<br>藝術、古董經銷商或拍賣行                 |
| <input type="checkbox"/> Dealers in Car, Boat or Plane<br>汽車、船舶或飛機經銷商  | <input type="checkbox"/> Dealers in Jewel, Gem or Precious Metal<br>珠寶, 寶石或貴金屬經銷商                  |
| <input type="checkbox"/> Embassies<br>大使館  | <input type="checkbox"/> Entertainment<br>娛樂場所   |
| <input type="checkbox"/> Finance<br>金融   | <input type="checkbox"/> Insurance<br>保險   |
| <input type="checkbox"/> Legal<br>法律行業   | <input type="checkbox"/> Licensed non-Government Organization<br>經許可非政府組織                          |
| <input type="checkbox"/> Logistics<br>物流業  | <input type="checkbox"/> Manufacturer of Ammunition and Weapons<br>彈藥及武器製造商                        |
| <input type="checkbox"/> Manufacturing<br>製造業  | <input type="checkbox"/> Mining/Trading in Precious Metals, Oil or Natural Gas<br>貴金屬、石油或天然氣開採或貿易商 |
| <input type="checkbox"/> Money Services Business (e.g. Money Exchange, Money Remitters, Check Cashers)<br>貨幣服務提供商 (例如: 貨幣兌換、匯款或支票兌現) | <input type="checkbox"/> Offshore Banks Located in Tax/Banking Havens<br>位於稅務/銀行避風港的離岸銀行           |
| <input type="checkbox"/> Professionals (e.g. Solicitors, Accountants, etc)<br>專業人士 (例如: 律師、會計師)                                      | <input type="checkbox"/> Public Services<br>公共服務   |
| <input type="checkbox"/> Real Estate<br>房地產  | <input type="checkbox"/> Startups and Fintech<br>初創及金融科技   |
| <input type="checkbox"/> Telecommunications<br>通訊業   | <input type="checkbox"/> Transportation<br>運輸業   |
| <input type="checkbox"/> Travel and Tourism<br>旅遊業   | <input type="checkbox"/> Utilities<br>公用事業   |
| <input type="checkbox"/> Virtual Currency Exchanges<br>虛擬貨幣兌換  | <input type="checkbox"/> Wholesale/Export/Import<br>批發/進出口   |
| <input type="checkbox"/> Other (please state) 其他(請註明): _____   |  |



**7 SELF –CERTIFICATION DECLARATION OF RESIDENCE FOR TAX PURPOSE 稅務居民身份聲明**

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

客戶須知：填寫此表格前，請先閱讀本節。

Financial institutions are not allowed to provide tax advice.

*If you have any questions regarding this form or defining your tax residency status, please speak to your tax adviser or relevant tax authority.*

*Please find out more on the OECD website (<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>), including a list of jurisdictions that have signed agreements to exchange information automatically, along with details about the information being requested.*

金融機構均不允許給予客戶稅務諮詢。

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

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

**Please note that where there are joint account holders or with third party under Section 6, each account holder and third party is required to complete a separate Self-Certification form.**

**請注意：如果客戶為聯名賬戶或第六項為第三者，各聯名賬戶持有人及第三者必須各自填寫一份自我聲明書。**

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

您可能被要求提供額外證明文件，以核實此表格上之內容。

I hereby confirm that I am, for tax purposes, resident in the following countries.

本人聲明本人為下列司法管轄區之稅務居民。

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

如未能提供稅務編號，請填寫理由 A, B 或 C。

**Reason A** The jurisdiction where the Account Holder is a resident for tax purposes does not issue TINs to its residents.  
**理由 A** 賬戶持有人的居留司法稅務管轄區並沒有向其居民發出稅務編號。

**Reason B** The Account Holder is unable to obtain a TIN or equivalent number. (Please explain why you are unable to obtain a TIN in the below table)  
**理由 B** 賬戶持有人不能取得稅務編號。(請在下表中解釋不能取得稅務編號的原因)

**Reason C** TIN is not required. Select this reason only if the authorities of the jurisdiction of tax residence do not require the TIN to be disclosed.  
**理由 C** 賬戶持有人毋須提供稅務編號。(這理由只適用於居留司法管轄區的主管機關不需要賬戶持有人披露稅務編號。)

**Primary Client 客戶**

Jurisdiction of Residence 稅務居民司法管轄地	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如未能提供稅務編號， 請填寫理由 A, B 或 C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選擇理由 B，請提供不能取得稅務編號的原因

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



WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).

警告：根據《稅務條例》第80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第三級（即\$10,000）罰款。

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

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

**8 DECLARATION OF FATCA INFORMATION** 海外賬戶稅收合規法案聲明 (Please tick ✓ appropriate box. 請在適當空格加✓)

**Please note that where there are joint account holders or with third party under Section 6, each account holder and third party is required to complete a separate declaration form.**

請注意：如果客戶為聯名賬戶或第六項為第三者，各聯名賬戶持有人及第三者必須各自填寫一份聲明書。

1. Are you a "U.S. Citizen" 您是否"美國公民"?

NO 否  YES 是, please specify TIN 請提供稅務身份號碼 \_\_\_\_\_

2. Are you a "U.S. Resident" 您是否"美國居民"?

NO 否  YES 是, please specify TIN 請提供稅務身份號碼 \_\_\_\_\_

3. Do you hold a "U.S. Permanent Resident Card (Green Card)" 你是否持有"美國永久居民身份證(綠卡)"?

NO 否  YES 是, please specify TIN 請提供稅務身份號碼 \_\_\_\_\_

I hereby confirm the information provided above is true, accurate and complete. I undertake to notify Jin Yi Financial Group Limited within 30 calendar days if there is a change in any information which I have provided.

本人確認以上所提供的資料是真實、準確以及完整。本人保證本人提供的任何資料如有變更，本人會於三十日內通知金益金融集團有限公司。

**9 STANDING PAYMENT INSTRUCTION** 常設收款指示 (Only accept bank account in Hong Kong 只接受香港銀行賬戶)

Please pay the money received on my/our behalf into the following bank account opened in my/our own name upon my request.

請在本人要求時將為本人/吾等代收的款項轉賬到下列以本人/吾等名義開設的銀行賬戶。

Name of Bank 銀行名稱: \_\_\_\_\_

Bank Account No. 銀行賬戶號碼: \_\_\_\_\_ Currency 貨幣: \_\_\_\_\_

Documents to be provide:

Supporting document of the bank account to be registered (e.g. bank statement showing the relevant name and account number)

需提交之證明文件:

登記之銀行賬戶證明文件(例如銀行結單需顯示姓名及銀行賬戶號碼)

I/We, the under-signed, hereby confirm that:

1. I/we shall refer to Fees Schedule for remittance bank charges;
2. I am/we are the ultimate beneficial owner of the funds in the above Account;
3. The source of the fund or the purpose of the remittance do not involve terrorist financing activities, or proceeds of organized and serious crimes;
4. I/we shall bear the losses, responsibilities and risks pertinent to this withdrawal, transfer or payment to third party instruction;
5. I/we have enquired with the receiving bank and confirm that the receiving bank can receive the fund to be transferred from your company; and
6. I/we understand that the funds are remitted in the name of your company;
7. I/we understand that the submission deadline is 11:00 am for normal business day; Instruction will be handled by next business day if submission after the cut-off time;
8. I/we acknowledge and agree that the staff of your company may at any time contact me/us over the phone to confirm the details of my/our withdrawal request if they have any questions on its validity; and that your company is entitled to reject my/our withdrawal request without any liabilities if I/we am/are unable to verify the relevant details satisfactorily.



本人/ 吾等，以下簽署者，謹此確認：

1. 本人/ 吾等明白並參閱收費明細以了解提款的銀行費用；
2. 證券 / 期貨 賬戶的款項最終受益人為本人/ 吾等；
3. 匯款來源 / 匯款目的並不涉及為恐怖分子集資活動、販毒得益或有組織及嚴重罪行的得益；
4. 本人/ 吾等同意承擔可能因此提款、轉賬或付款至第三者而引致之爭議、損失、責任及風險；
5. 本人/ 吾等已向收款銀行查詢並確認收款銀行可以接收從貴司匯出的款項；
6. 本人/ 吾等明白所有匯款是以貴司之名義匯出；
7. 本人/ 吾等明白截止提款時間為每天交易日上午11:00，任何在上述截止提款時間後收到的提款指示將當作次個工作日的提款；
8. 本人/ 吾等明白如對轉款有任何疑問，貴司營運部將隨時致電聯絡本人/ 吾等確認提款資料；如無法聯絡本人/ 吾等，提款手續將不獲辦理。

**10 SIGNING ARRANGEMENT 簽名安排 (For Joint Account Only. 只適用於聯名賬戶)**

The Account can be operated under the instruction of (please tick ✓ one item only):

此賬戶可根據以下指示方式操作 (請只勾選✓一項) :

Either one of the account holder; or

Both account holders

任何一位賬戶持有人的指示

兩位賬戶持有人的指示

**11 PERSONAL DATA 個人資料 (Please tick ✓ appropriate box. 請在適當空格加✓)**

**Acknowledgement and Consent 確認明白及同意**

I/We acknowledge I/we have read and understand the content of the Personal Information Collection Statement of Jin Yi Financial Group Limited (named below "JYF"), which has been provided to me/us and is posted on JYF's website (www.jinyifinance.com). By ticking the box below, I/we signify my/our consent for JYF to use my/our personal data on the terms of and for the purposes set out in the Personal Information Collection Statement. I/We further agree to any revision or amendment that JYF may from time to time make in respect of any content of the Personal Information Collection Statement by notice to me/us.

本人/吾等確認已閱讀及明白金益金融集團有限公司(下稱「金益金融」)之個人資料收集聲明之內容，該聲明已提供給本人/吾等並在金益金融的網站(www.jinyifinance.com)上發佈。在下列方格加上剔號，表示本人/吾等同意金益金融按照個人資料收集聲明之條款及目的使用本人/吾等的個人資料。本人/吾等亦同意金益金融可在通知本人/吾等的情況下不時修改個人資料收集聲明之內容。

- I/We agree to JYF's use of my/our personal data for the purposes set out in the Personal Information Collection Statement. I/We further agree to any revision or amendment that JYF may from time to time make in respect of any content of the Personal Information Collection Statement by notice to me/us. 本人/吾等同意金益金融按照個人資料收集聲明之目的使用本人/吾等的個人資料。本人/吾等亦同意金益金融可在通知本人/吾等的情況下不時修改個人資料收集聲明之內容。
- I/We agree to JYF's use of my/our sensitive personal data for the purposes set out in the Personal Information Collection Statement. I/We further agree to any revision or amendment that JYF may from time to time make in respect of any content of the Personal Information Collection Statement by notice to me/us. 本人/吾等同意金益金融按照個人資料收集聲明之目的使用本人/吾等的敏感個人資料。本人/吾等亦同意金益金融可在通知本人/吾等的情況下不時修改個人資料收集聲明之內容。
- I/We agree to JYF's cross-border transfer of my/our personal data for the purposes set out in the Personal Information Collection Statement. I/We further agree to any revision or amendment that JYF may from time to time make in respect of any content of the Personal Information Collection Statement by notice to me/us. 本人/吾等同意金益金融按照個人資料收集聲明之目的將本人/吾等個人資料跨境轉移。本人/吾等亦同意金益金融可在通知本人/吾等的情況下不時修改個人資料收集聲明之內容。

**Direct Marketing 直接促銷**

I/We confirm my/our consent as referred to in the sections entitled Use of Personal Data in Direct Marketing and Provision of Personal Data for Use in Direct Marketing of the Personal Information Collection Statement, subject to any objection as indicated by me/us below: 除本人/吾等如下所示提出之任何反對外，本人/吾等確同意個人資料收集聲明內以個人資料在直接促銷中的使用及提供個人資料作直接促銷為標題之內容：

- I/We object to JYF using my/our personal data in direct marketing as referred to in the section entitled Use of Personal Data in Direct Marketing of the Personal Information Collection Statement. 本人/吾等反對金益金融按個人資料收集聲明內以個人資料在直接促銷中的使用為標題的分段所述，將本人/吾等之個人資料作直接促銷用途。
- I/We object to JYF providing my/our personal data to JYF Group (other than JYF) for use in direct marketing as referred to in the section entitled Provision of Personal Data for Use in Direct Marketing of the Personal Information Collection Statement. 本人/吾等反對金益金融按個人資料收集聲明內以提供個人資料作直接促銷為標題的分段所述，向金益金融集團有限公司(不包括金益金融本公司)提供本人/吾等之個人資料作直接促銷用途。

The above represents my/our present choice of whether or not to receive direct marketing contact or information. This shall replace any choice I/we may have given to JYF previously.

以上乃本人/吾等對是否收取直接促銷之聯系或資料之選擇。這會取代本人/吾等過往作出之選擇。

**12 DECLARATION 聲明** (Please tick ✓ appropriate box. 請在適當空格加✓)

I/We hereby declare that I/we am/are the only party who has the ultimate interests in the Account and the information given in this form is true and correct and that I/we have not willfully withheld any material fact(s). I/We understand that I/we may be required to provide additional information or submit documentary proof as to the information provided in this form when requested to do so. I/We understand that my/our submission of this form and the acceptance of this form by you in no way implies approval for opening of the Account for me/us and that you reserve the right to reject my/our application.

本人/吾等謹此聲明本人/吾等為賬戶的最終實益擁有人，表格上提供之所有資料均為真實及正確，本人/吾等並未刻意隱瞞任何重要事實。除上述提供的資料外，本人/吾等清楚閣下會要求本人/吾等提供更多相關的資料或證明文件。本人/吾等明白本人/吾等遞交此表格及閣下接納此表格並非表示閣下同意開立賬戶予本人/吾等，並清楚閣下保留拒絕本人/吾等開戶申請之權力。

I/We request you to open a Securities/ Stock Options / Derivatives / Futures and agree to abide by the rules and regulations of the Hong Kong Securities and Futures Commission ("HKSCF")/ the Hong Kong Exchanges and Clearing Limited ("HKEX")/ the Hong Kong Futures Exchange Limited ("HKFE") or any other regulatory body(ies) as amended from time to time governing of the above transactions.

本人/吾等向閣下申請開立 證券/ 股票期權 / 衍生工具 / 期貨 交易賬戶並同意遵守香港證券及期貨監察委員會/香港交易所/香港期貨交易所及其他監管機構不時修訂以監管進行上述交易之條例及規則。

**Declaration regarding tax compliance (please tick all the boxes that apply)** 有關稅務合規之聲明(請在所有適當的空格加✓)

1. I/We hereby confirm and declare that, to the best of my knowledge, I/we have not committed or been convicted of tax crimes or tax evasion cases in any country/jurisdiction.

本人/吾等在此確認並聲明就本人/吾等所知所信，本人/吾等未曾作出避稅或稅務罪行等行為，並未曾就有關罪行在任何國家/司法管轄區被定罪。

2. I/We hereby confirm and declare that I/we am/are currently under tax investigation or tax audit in the below country(ies)/jurisdiction(s):

本人/吾等在此確認並聲明，本人/吾等目前正在以下國家/司法管轄區接受稅務調查或稅務審計：

Name(s) of country(ies)/jurisdiction(s): 國家/司法管轄區: \_\_\_\_\_

3. I/We hereby confirm and declare that I/we have committed or convicted of tax crimes or tax evasion cases in the below jurisdictions:

本人/吾等在此確認並聲明，本人/吾等曾作出避稅或稅務罪行等行為，或曾就有關罪行在任何國家/司法管轄區被定罪。

Name(s) of country(ies)/jurisdiction(s): 國家/司法管轄區: \_\_\_\_\_

Relevant Year(s) to which such tax crimes/evasion was committed/convicted:

稅務/逃稅犯罪/定罪年期: \_\_\_\_\_

4. I/We would like to provide additional information regarding my/our tax compliance:

本人/吾等欲提供關於本人/吾等的稅務合規的其他信息: \_\_\_\_\_

**Declaration for Automatic Exchange of Financial Account Information** 有關自動交換金融賬戶信息協議之聲明

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

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

I/We undertake to advise Jin Yi Financial Group Limited of on any change in circumstances which affects the tax residency status of the individual identified or cause the information contained herein to become incorrect, and to provide Jin Yi Financial Group Limited with a suitably updated Self-Certification form within 30 calendar days of such change in circumstances.

本人/吾等諾如以上聲明有任何情況改變，而影響識別個人的稅務居民身份有任何變化或導致此自我聲明之內容及陳述變得不正確的信息時，將通知金益金融證券(香港)有限公司，並於情況改變發生的三十日內向金益金融證券(香港)有限公司重新提供正確的自我聲明書。



I/We have carefully read and understood the English or Chinese contents of the Client Agreement for  Securities Trading  Futures Trading  Stock Options Trading (except US stock options trading)  US Securities Trading (Segregated Account) Service  Derivatives Trading, including the Risk Disclosure Statement (each an "Agreement") and that the contents of each Agreement have been provided and fully explained to me/us in a language which I/we understand. I/We accept, as evidenced by my/our signature(s) below, all the terms of each Agreement and agree to be bound by each Agreement as amended or supplemented from time to time.

本人/吾等已仔細審閱並理解

證券交易  期貨交易  股票期權交易(美國股票期權交易除外)  美國證券交易(獨立賬戶)服務  衍生工具交易客戶協議書(包括風險披露聲明) (“協議”) 的全部內容, 且協議及其內容已以本人/吾等明白的語言(英文或中文)向本人/吾等提供及作出充分的解釋。本人/吾等接受協議的全部條款和細節, 並同意接受協議(及其不時修訂及補充的條款和細節)之約束。

I/We acknowledge that I/we have been invited to ask questions about the content of the Client Agreement(s), commission and fees schedules, the Risk Disclosure Statement as well as the Disclosure on Best Execution and I/we am/are invited to take independent advice if I/we wish. I/We am/are satisfied with the explanation and clarification provided to me/us. I/We declare that I/we am/are willing and capable of fulfilling the duties and obligations as specified in each Client Agreement.

本人/吾等確認本人/吾等被邀請就客戶協議書之內容、佣金及於服務收費表、風險披露聲明, 以最佳條件執行交易披露文件提出問題及如本人/吾等有此意願徵求獨立的意見。本人/吾等滿意就相關問題的解釋和說明。本人/吾等在此聲明本人/吾等有能力和願意履行此協議規定的責任和義務。

<p><b>SIGNED by Client</b> 客戶簽署</p> <p>▶</p> <p>Primary Client Signature 客戶簽名</p> <p>Primary Client Name (Print) 客戶姓名 (請書寫)</p> <p>Date 日期</p>	<p><input type="checkbox"/> <b>Securities and/or Stock Options</b> 證券及 / 或股票期權賬戶 <b>SIGNED and DECLARED by Licensed Representative</b> who has provided and explained to the Client the following client agreement(s): 由持牌代表簽署並聲明已以客戶選擇的語言向客戶提供並解釋下列客戶協議書:</p> <p><input type="checkbox"/> Client Agreement for Securities Trading 證券交易客戶協議書</p> <p><input type="checkbox"/> Client Agreement for Stock Options Trading 股票期權交易客戶協議書</p> <p><input type="checkbox"/> Client Agreement for US Securities Trading (Segregated Account) Services 美國證券交易(獨立賬戶)服務客戶協議書</p> <p>(Please tick ✓ appropriate box. 請在適當空格加✓) including the Risk Disclosure Statements of the respective client agreements and Disclosure on Best Execution in the language of the Client's choice; and has invited Client to read the Risk Disclosure Statements of the respective client agreements and Disclosure on Best Execution, to ask questions and to take independent advice if Client wish. 包括有關上述客戶協議書中各自的風險披露聲明及以最佳條件執行交易披露文件, 並邀請客戶仔細審閱和如客戶有此意願就該等客戶協議書中各自的風險披露聲明及以最佳條件執行交易披露文件提出問題及徵求獨立的意見。</p>
<p><b>SIGNED by Joint Client</b> 聯名客戶簽署</p> <p>▶</p> <p>Joint Client Signature 聯名客戶簽名</p> <p>Joint Client Name (Print) 聯名客戶姓名 (請書寫)</p> <p>Date 日期</p>	<p>Signature of Licensed Representative 持牌代表簽署</p> <p>Full Name of Licensed Representative (Print) 持牌代表姓名(請以正楷書寫)</p> <p>CE Number of Licensed Representative 持牌代表中央編號</p> <p>Date 日期</p>
<p><b>SIGNED by Witness</b> 見證人簽署 I, the undersigned, have witnessed the signature and inspected the original identity documents of the above-named client(s). 本人已見證及驗證上述客戶之簽署及有關其身分證明文件之正本</p> <p>Signature of Witness 見證人簽署</p> <p>Full Name of Witness (Print) 見證人姓名(請以正楷書寫)</p> <p>Witness' Qualification 見證人職位</p> <p>Location of Mainland JYF branches (if applicable) 金益金融國內諮詢中心/代表處地區 (如適用)</p> <p>Date 日期</p>	<p><input type="checkbox"/> <b>Futures</b> 期貨賬戶 <b>SIGNED and DECLARED by Licensed Representative</b> who has explained and provided to the <b>CLIENT AGREEMENT FOR DERIVATIVES TRADING</b> including the Risk Disclosure Statements and Disclosure on Best Execution in the language of the Client's choice; and has invited Client to read the Risk Disclosure Statements and Disclosure on Best Execution, to ask questions and to take independent advice if Client wish. 由持牌代表簽署並聲明已以客戶選擇的語言向客戶提供並解釋此<b>衍生工具交易客戶協議書</b>, 包括其中有關風險披露聲明及以最佳條件執行交易披露文件, 並邀請客戶仔細審閱和如客戶有此意願就該風險披露聲明及以最佳條件執行交易披露文件提出問題及徵求獨立的意見。</p> <p>Signature of Licensed Representative 持牌代表簽署</p> <p>Full Name of Licensed Representative (Print) 持牌代表姓名(請以正楷書寫)</p> <p>CE Number of Licensed Representative 持牌代表中央編號</p> <p>Date 日期</p>



**SIGNED and DECLARED by Account Executive** 客戶主任簽署及聲明

I hereby confirm that I have carried out the necessary Customer Due Diligence ("CDD") and Know Your Client ("KYC") procedures according to the Anti Money Laundering Manual, Customer Due Diligence Manual and Client Identity Rule Policy Manual of JYF Group for the above client(s).  
本人確認已根據我們的反洗錢手冊、客戶盡職審查手冊及客戶身分規則的政策，對上述客戶貫徹執行必需的客戶盡職審查及認識你的客戶程序。

- (1) I have known the Client for 認識客戶年期:  <1 Year 少於一年       1 to 5 Years 一至五年       >5 Years 多於五年
- (2) Mode of Introduction 介紹模式:  Walk-in 客戶自薦     Client Referral 由其他客戶引薦 (Client No.推薦人賬號: \_\_\_\_\_)
- Others 其他: \_\_\_\_\_

\_\_\_\_\_  
Signature of Account Executive 客戶主任簽署

\_\_\_\_\_  
Full Name of Account Executive (Print) 客戶主任姓名(請以正楷書寫)

\_\_\_\_\_  
CE Number of Account Executive 客戶主任中央編號

\_\_\_\_\_  
Date 日期



## Client Risk Profiling Questionnaire - Individuals

### 客戶風險取向問卷（個人）

#### **Important Notice to Client(s):**

##### 客戶須知:

1. Client Risk Profiling Questionnaire — Individuals (“CRPQI”) is applicable to individual clients of Jin Yi Financial Group Limited (collectively “JYF”) who show interest or intention of purchase for investment products and has to be completed before any selling activity in relation to investment products.  
客戶風險取向問卷（個人）「問卷（個人）」適用於金益金融集團有限公司（統稱「金益金融」）的個人客戶，這些客戶或對投資產品感興趣或有意購買投資產品。問卷（個人）須在任何有關投資產品的銷售活動之前填寫完畢。
2. The CRPQI is also applicable to the account holder(s) of individuals, joint accounts and entities (which are owned by individual(s) in form of sole proprietorship, partnership, corporation or trust where the entity has NO actual business operation but are incorporated with sole purpose for investment; otherwise, the questionnaire for corporate customers should be applied).  
問卷（個人）同時適用於個人、聯名賬戶和實體的賬戶持有人，這些實體的形式可以是獨資、合夥、法團或信託，但該實體必須沒有實際業務運營且僅以投資為目的（以及屬於個人所擁有）；否則應使用屬於公司客戶的問卷。
3. For joint accounts and accounts owned by the entities mentioned above, the relevant account holder(s) or authorized person(s) as indicated in the account opening form/board resolution (“Authorised Signatory(ies)”) is/are responsible for signing relevant client agreement for account opening, and also for filling the CRPQI (with the requirement to fill singly/jointly in accordance with their indication in the account opening form/board resolution). The result of CRPQI represents the risk profile of the client and shall act as the basis for suitability assessment thereafter.  
對於聯名賬戶和上述實體擁有的賬戶，開設賬戶表格/董事會決議案所註明的賬戶持有人或授權人「授權簽署人士」負責簽署有關開戶的客戶同意書及填寫該問卷（個人）（授權簽署人士需按照開設賬戶表格/董事會決議案所註明的要求，單獨地/共同地填寫該問卷（個人））。問卷評估結果代表了客戶的風險取向，並將此結果作為適合性評估的基礎。
4. For entities owned by a trust, it shall be filled in by settlor or trustee (if settlor is not available) and signed by Authorised Signatory(ies). For entity which is (i) directly or indirectly owned by a listed company or an operating company; (ii) operated as vehicle for investment fund; or (iii) company, non-profitable organisation or foundation which is not owned by individual(s), the Client Risk Profiling Questionnaire - Corporates should be used.  
對於信託擁有的實體賬戶，問卷應由委託人或信託人（如不適用於委託人）填寫，並由授權人簽署。以下實體賬戶應填寫風險承受能力問卷(公司)：(i) 由上市公司或營運公司直接或間接擁有的實體；(ii) 以基金投資為主要工具營運；(iii) 非個人擁有的法團或非營利組織或基金會。
5. Those clients who have completed the CRPQI within 24 months are exempted from the review on the CRPQI provided that there is no material change indicated by the clients in respect of their financial status, investment experience, investment objectives or risk attitude during the period.  
在 24 個月內曾經完成問卷（個人）的客戶，如果在財務狀況、投資經驗、投資目標或風險取態方面未發生重大變化，可豁免檢討該問卷（個人）。
6. For client who has been maintaining two or more investment accounts in JYF simultaneously, the result of this CRPQI shall be applicable to all accounts of same client in JYF and shall supersede all previous CRPQIs (or equivalent information) which have been provided to JYF for any of aforesaid accounts.  
對於同時在金益金融開立兩個或以上賬戶的客戶，此問卷（個人）的結果將適用於同一客戶於金益金融開立的所有賬戶，並將取代就任何上述賬戶，所有先前曾提供予金益金融的問卷（個人）（或同等信息）。
7. The CRPQI intends to help the clients consider and evaluate their financial risk tolerance through answering the questions.  
問卷（個人）旨在通過回答當中的問題，去幫助客戶考慮並估算他們的財務風險承受能力。
8. The CRPQI provides an indication of a typical investor with certain investment attributes and risk preferences, thereby reflecting a particular risk profile the clients fit into.  
問卷（個人）為具有某些投資特性及風險偏好的典型投資者提供指示，並由此反映客戶的特定風險取向。
9. The risk profile as a result of the CRPQI will facilitate the suitability assessment on selling investment products in compliance with the current regulatory requirements.  
基於問卷（個人）結果的風險取向，有助於遵照現行監管要求對銷售投資產品進行適合性評估。
10. Information provided will be kept confidential.  
閣下提供的資料將絕對保密。



### Section A: Client's Information

甲部分：客戶資料

**Name of Client(s):**

客戶名稱：

**Client Code:**

客戶編號：

### Section B: Client Risk Profiling Questions

乙部分：客戶風險取向問題

#### 1. Which of the following age group do you belong to?

您屬於以下哪一個年齡組別？

- (1) 65 years old or above  
65 歲或以上
- (2) 18 to 24 years old  
18 至 24 歲
- (3) 25 to 34 years old  
25 至 34 歲
- (4) 51 to 64 years old  
51 至 64 歲
- (5) 35 to 50 years old  
35 至 50 歲

*Note: For joint account and account owned by an entity with more than one beneficial owner, client shall take the eldest individual/beneficial owner as the answer.*

*注：對於聯名賬戶和由擁有多於一個實益擁有人的實體所擁有的賬戶，客戶應以最年長的個人/實益擁有人的年齡作為答案。*

#### 2. How much of your reserved funds are available for emergency case (e.g. a sudden loss of income, unemployment, etc.), in terms of your monthly household expenses?

按每月家庭開支計算，您已預留多少資金去應付緊急需要（例如突然失去收入、失業等）？

- (1) Less than 3 months  
少於 3 個月
- (2) 3 to less than 6 months  
3 至 6 個月以內
- (3) 6 to less than 12 months  
6 至 12 個月以內
- (4) 12 to less than 24 months  
12 至 24 個月以內
- (5) 24 months or more  
24 個月或上



### 3. Please state your highest education level:

請簡述您的最高學歷：

- (1) Primary or below  
小學或以下
- (2) Secondary or post-secondary  
中學或專上學院
- (3) University or above (not related to Economics / Finance / Accounting)  
大學或以上（非跟經濟/金融/會計相關）
- (4) University or above (related to Economics / Finance / Accounting) / relevant professional qualifications\* or licensed to carry out regulated activities in the financial industry, including insurance  
大學或以上（跟經濟/金融/會計相關） / 相關的專業資格\*或持有相關牌照在金融行業（包括保險業在內）從事受規管活動

\* *Economics / Finance / Accounting related professional qualifications, including but not limited to:*

跟經濟/金融/會計相關的專業資格包括，但不限於：

ACA, ACCA, ACMA, AAI, CPA, CMA, CGA, RFP, CFP, CFA, FRM, CPRM or PRM

*Note: For joint account and account owned by an entity with more than one beneficial owner, client shall take the individual/beneficial owner with the highest education level as the answer. If the account of the entity is assigned with a separate authorized trader, client shall take the education level of the authorized trader as the answer.*

注：對於聯名賬戶和由擁有多於一個實益擁有人的實體所擁有的賬戶，客戶應以教育程度最高的個人/實益擁有人作為答案。假如該實體持有的賬戶另外設置了獨立的授權交易員，則客戶應以授權交易員的教育水平作為答案。

### 4. Which of the following best describe your risk and return attitude on the basis of price fluctuation\* and returns on investment portfolio?

根據投資組合的價格波動\*及回報的基準，以下哪一項最能表達您對風險及回報的看法？

- (1) In general, I/We only expect to acquire returns that are similar to the rate of bank deposits and prefer to bear less than 3% price fluctuation of investment portfolio within 1 year.  
一般來說，本人/吾等只是預期獲取跟銀行存款利率相近的回報，並傾向在一年內承受投資組合上少於 3%的價格波動。
- (2) In general, I/We expect to acquire returns better than the rate of bank deposits but not necessary to be as high as major stock market indexes and prefer to bear 3% to less than 10% price fluctuation of investment portfolio within 1 year.  
一般來說，本人/吾等期望獲取比銀行存款利率較高但不需與主要股票市場指數同等的回報，並傾向在一年內承受投資組合上 3%至少於 10%的價格波動。
- (3) In general, I/We expect to acquire returns that are comparable to the major stock market indexes and prefer to bear 10% to less than 15% price fluctuation of investment portfolio within 1 year.  
一般來說，本人/吾等期望獲取可以與主要股票市場指數相比的回報，並傾向在一年內承受投資組合上 10%至少於 15%的價格波動。
- (4) In general, I/We expect to acquire returns that are better than major stock market indexes and prefer to bear 15% to less than 25% price fluctuation of investment portfolio within 1 year.  
一般來說，本人/吾等期望獲取比主要股票市場指數更佳的回報，並傾向在一年內承受投資組合上 15%至少於 25%的價格波動。
- (5) In general, I/We would like to acquire returns that are remarkably higher than the major stock market indexes and prefer to bear 25% or more price fluctuation of investment portfolio within 1 year.  
一般來說，本人/吾等期望獲取明顯高於主要股票市場指數的回報，並傾向在一年內承受投資組合上 25%或以上的價格波動。

\* *Instead of a single investment product, price fluctuation refers to the value of investment portfolio that moves up and down over a particular period of time in this question. Such movement is expressed by volatility in percentage but is not equivalent to the actual potential loss of investment portfolio which might be lower or greater than price fluctuation in terms of percentage.*

本問題中的價格波動，是指在特定時間內整體投資組合價值的上下變動，並非針對單一的投資產品。這樣的變動是以百分比的波幅來表達，但不等同投資組合的實際潛在損失，從百分比的角度而言，該損失有可能低或高於價格波動。



**5. In general, what is the maximum length of your expected investment horizon?**

在一般情況下，您預期的最長投資年期是多久？

- (1) Less than 1 year  
1 年以下
- (2) 1 year to less than 3 years  
1 年至 3 年以下
- (3) 3 years to less than 5 years  
3 年至 5 年以下
- (4) 5 years to less than 10 years  
5 年至 10 年以下
- (5) 10 years or more  
10 年或以上

**6. What is the approximate percentage of your annual after-tax income\* (including all sources) that you are prepared to set aside for investment purpose?**

您預備分配大約多少百分比的年度稅後收入\*（包括所有來源）作為投資用途？

- (1) Not more than 5%  
不多於 5%
- (2) More than 5% to 25%  
多於 5% 至 25%
- (3) More than 25%  
多於 25%

*\* Income refers to the sum of all sources of income coming from, but not limited to, work, investment, business, tenancy, interest, coupon, dividend, pension, annuity income from estate or trust, etc.*

收入是指合計所有來源的收入，包括但不限於來自工作、投資、商務、租務、利息、票息、股息、退休金、遺產或信託的年金收入等。

**7. What is the percentage of your liquid net worth\* such as cash, foreign currency, bullion, funds, securities, etc (excluding the net value of fixed assets) that will be set aside for investment purpose?**

您將會分配多少百分比的流動資產淨值\*，例如現金、外幣、黃金、基金、證券等（不包括固定資產淨值），作為投資用途？

- (1) Not more than 10%  
不多於 10%
- (2) More than 10% to 30%  
多於 10% 至 30%
- (3) More than 30%  
多於 30%

*\* Liquid net worth means 'total assets' minus 'total liabilities' (excluding the net value of your fixed assets).*

流動資產淨值指總資產減去總負債（不包括固定資產的淨值）。

**8. Which of the following is the best one that expresses the principal objective of your investment portfolio?**

以下哪一項最能表達您持有投資組合的首要目標？

- (1) Capital Preservation – I/We principally aim to preserve capital without expectations on returns.  
保本為主 – 本人/吾等的目標主要是保障本金並對回報不予期望。
- (2) Income Orientation – I/We principally aim to earn stable returns, together with/without some capital appreciation.  
收入主導 – 本人/吾等的目標主要是獲取穩定回報，連同/不連同一些資本增值。
- (3) Income-and-Growth – I/We principally aim to achieve returns on the balance of modest income and capital appreciation.  
收入及增長 – 本人/吾等的目標主要是在適度收入和資本增值中取得平衡，從而獲取回報。
- (4) Growth Orientation – I/We principally aim to achieve returns with focus on capital appreciation.  
增長主導 – 本人/吾等的目標主要是獲取以資本增值為主的回報。
- (5) Aggressive Growth – I/We principally aim to maximize returns which may involve investments in very high risk/highly sophisticated products that could provide aggressive capital appreciation.  
積極增長 – 本人/吾等的目標主要是通過可能涉及非常高風險/高度複雜的投資產品來獲取最大的回報，而這些產品可能提供進取的資本增值。



**9. Please state your product knowledge and investment experience in the following investment product types and indicate the number of the corresponding transactions within the past 3 years: (Please answer all items (a) to (n) of the investment product type.)**

**Note: For account owned by an entity which is assigned with a separate authorized trader, client shall consider the investment knowledge and experience of the authorized trader.**

請簡述您對以下投資產品類別的產品知識及買賣經驗，並標示出相應產品在過去三年內의 交易次數：

(請回答所有投資產品類別的項目(a)至(n)。)

注：對於由設置了獨立授權交易員的實體所擁有的賬戶，客戶應參考授權交易員的投資知識和經驗以回答以下問題。

Investment Product Type 投資產品類別	Product Knowledge 產品知識	Investment Experience 投資經驗	No. of transactions conducted within the past 3 years 在過去三年內的交易次數		
			No Transaction 沒有交易	Less Than 6 Transaction 六次以下買賣	Less Than 6 Transaction 六次或以上買賣
(a) Foreign Currency/ Precious Metals 外幣/貴金屬	Yes 有 <input type="checkbox"/> No 沒有 <input type="checkbox"/>	Yes 有 <input type="checkbox"/> No 沒有 <input type="checkbox"/>	(i) <input type="checkbox"/>	(ii) <input type="checkbox"/>	(iii) <input type="checkbox"/>
(b) Foreign Currency/ Precious Metals (on margin basis) 外幣/貴金屬 (以孖展形式買賣)	Yes 有 <input type="checkbox"/> No 沒有 <input type="checkbox"/>	Yes 有 <input type="checkbox"/> No 沒有 <input type="checkbox"/>	(i) <input type="checkbox"/>	(ii) <input type="checkbox"/>	(iii) <input type="checkbox"/>
(c) Fixed Income Securities (investment grade without special features <sup>1</sup> except callable feature) e.g. CDs and Government Bonds without special features 固定收益證券 (投資級別沒有附帶特別條款 <sup>1</sup> 但可贖回條款除外) 例如：沒有附帶特別條款的存款證及政府債券	Yes 有 <input type="checkbox"/> No 沒有 <input type="checkbox"/>	Yes 有 <input type="checkbox"/> No 沒有 <input type="checkbox"/>	(i) <input type="checkbox"/>	(ii) <input type="checkbox"/>	(iii) <input type="checkbox"/>
(d) Fixed Income Securities <sup>2</sup> (non-investment-grade or with special features other than item (e)) e.g. Perpetual Bonds and Convertible Bonds 固定收益債券 <sup>2</sup> (非投資級別或附帶除項目(e)所指的其他特別條款) 例如：永續債券、可換股債券	Yes 有 <input type="checkbox"/> No 沒有 <input type="checkbox"/>	Yes 有 <input type="checkbox"/> No 沒有 <input type="checkbox"/>	(i) <input type="checkbox"/>	(ii) <input type="checkbox"/>	(iii) <input type="checkbox"/>
(e) Loss Absorption Product e.g. Contingent Convertible Bonds 彌補虧損產品 例如：應急可轉債	Yes 有 <input type="checkbox"/> No 沒有 <input type="checkbox"/>	Yes 有 <input type="checkbox"/> No 沒有 <input type="checkbox"/>	(i) <input type="checkbox"/>	(ii) <input type="checkbox"/>	(iii) <input type="checkbox"/>

<sup>1</sup> According to the SFC's Circular "Selling of Complex Bonds and High-Yield Bonds" dated 25 March 2014, special features include perpetual, subordinated, callable, variable and/or deferral of interest payment terms, extendable maturity dates, convertible/ exchangeable, contingent write down or loss absorption feature, etc.

根據證監會註有日期 2014 年 3 月 25 日之《銷售複雜類別債券及高息債券》的通函，「特別條款」包括屬永續性質、後償性質、可贖回、具有浮息及/或延遲派付利息條款、可延遲到期日、屬可換股/可交換性質、具有或然撇減或彌補虧損特點等。

<sup>2</sup> According to the examples of "non-complex" and "complex" products posted on the SFC's website, complex bonds are bonds with special features (including, but not limited to, perpetual, subordinated, variable and/or deferral of interest payment terms, extendable maturity dates, convertible/ exchangeable, contingent write down or loss absorption feature, or those with multiple credit support providers and structures and/or bonds comprising one or more special features.

根據證監會網頁指引，複雜債券是指具有某些特點的債券 (包括 (但不限於) 屬永續性質或後償性質的債券，或那些具有浮息或延遲派付利息條款、可延遲到期日，或那些屬可換股或可交換性質或具有或然撇減或彌補虧損特點的債券，或那些具備非單一信貸支持提供者及結構的債券及/或由一項或以上特點組成的債券。

<p>(f) Principal Protected Structured Product e.g. Interest Rate Linked Note 保本結構性產品 例如：利率掛鈎票據</p>	<p>Yes 有 <input type="checkbox"/> No 沒有 <input type="checkbox"/></p>	<p>Yes 有 <input type="checkbox"/> No 沒有 <input type="checkbox"/></p>	<p>(i) <input type="checkbox"/></p>	<p>(ii) <input type="checkbox"/></p>	<p>(iii) <input type="checkbox"/></p>
<p>(g) Non-principal Protected Structured Product e.g. Currency / Interest Rate Linked Note, Equity Linked Note, Credit Linked Note, Bond Linked Note and Fund Linked Note 非保本結構性產品 例如：貨幣/利率掛鈎票據、股票掛鈎票據、信貸 掛鈎票據、債券掛鈎票據、基金掛鈎票據</p>	<p>Yes 有 <input type="checkbox"/> No 沒有 <input type="checkbox"/></p>	<p>Yes 有 <input type="checkbox"/> No 沒有 <input type="checkbox"/></p>	<p>(i) <input type="checkbox"/></p>	<p>(ii) <input type="checkbox"/></p>	<p>(iii) <input type="checkbox"/></p>
<p>(h) General Investment Fund e.g. Equity Fund, Balanced Fund, Bond Fund, High-yield Bond Fund, etc. 一般投資基金 例如：股票基金、平衡型基金、債券基金、高收益 債券基金等</p>	<p>Yes 有 <input type="checkbox"/> No 沒有 <input type="checkbox"/></p>	<p>Yes 有 <input type="checkbox"/> No 沒有 <input type="checkbox"/></p>	<p>(i) <input type="checkbox"/></p>	<p>(ii) <input type="checkbox"/></p>	<p>(iii) <input type="checkbox"/></p>
<p>(i) Alternative Investment Fund e.g. Hedge Fund, Derivative Fund, Real Estate Fund, Loan Fund, Thematic Fund, etc. 另類投資基金 例如：對沖基金、衍生工具基金、房地產基金、貸 款基金、專題基金等</p>	<p>Yes 有 <input type="checkbox"/> No 沒有 <input type="checkbox"/></p>	<p>Yes 有 <input type="checkbox"/> No 沒有 <input type="checkbox"/></p>	<p>(i) <input type="checkbox"/></p>	<p>(ii) <input type="checkbox"/></p>	<p>(iii) <input type="checkbox"/></p>
<p>(j) Private Equity Fund e.g. Pre-IPO Fund and Project Based Investment Fund 私募股權基金 例如：上市前投資基金和項目投資基金</p>	<p>Yes 有 <input type="checkbox"/> No 沒有 <input type="checkbox"/></p>	<p>Yes 有 <input type="checkbox"/> No 沒有 <input type="checkbox"/></p>	<p>(i) <input type="checkbox"/></p>	<p>(ii) <input type="checkbox"/></p>	<p>(iii) <input type="checkbox"/></p>
<p>(k) Stocks or ETFs (other than leveraged, inverse and derivative based) 股票或交易所買賣基金（以槓桿、反向、衍生工具 形式買賣除外）</p>	<p>Yes 有 <input type="checkbox"/> No 沒有 <input type="checkbox"/></p>	<p>Yes 有 <input type="checkbox"/> No 沒有 <input type="checkbox"/></p>	<p>(i) <input type="checkbox"/></p>	<p>(ii) <input type="checkbox"/></p>	<p>(iii) <input type="checkbox"/></p>
<p>(l) Derivatives (not on margin basis) e.g. ETFs (leveraged, inverse and derivative based), Warrants, Callable Bull/ Bear Contracts, Buy Option (Listed / OTC), etc. 衍生工具（非以孖展形式買賣） 例如：交易所買賣基金（以槓桿、反向、衍生工具 槓桿）、窩輪、牛熊證、買入期權（交易所交易/場 外交易）等</p>	<p>Yes 有 <input type="checkbox"/> No 沒有 <input type="checkbox"/></p>	<p>Yes 有 <input type="checkbox"/> No 沒有 <input type="checkbox"/></p>	<p>(i) <input type="checkbox"/></p>	<p>(ii) <input type="checkbox"/></p>	<p>(iii) <input type="checkbox"/></p>
<p>(m) Derivatives (on margin basis, excluding item (n)) e.g. Sell Option (Listed/OTC), Futures, Swaps, etc. 衍生工具（以孖展形式買賣，項目(n) 所指的產品 除外）例如：沽出期權（交易所交易/場外交易）、 期貨、掉期等</p>	<p>Yes 有 <input type="checkbox"/> No 沒有 <input type="checkbox"/></p>	<p>Yes 有 <input type="checkbox"/> No 沒有 <input type="checkbox"/></p>	<p>(i) <input type="checkbox"/></p>	<p>(ii) <input type="checkbox"/></p>	<p>(iii) <input type="checkbox"/></p>
<p>(n) Accumulators/ Decumulators 累積認購期權合約 / 累積認沽期權合約</p>	<p>Yes 有 <input type="checkbox"/> No 沒有 <input type="checkbox"/></p>	<p>Yes 有 <input type="checkbox"/> No 沒有 <input type="checkbox"/></p>	<p>(i) <input type="checkbox"/></p>	<p>(ii) <input type="checkbox"/></p>	<p>(iii) <input type="checkbox"/></p>

### Section C: Assessment Result

丙部分：評估結果

Total Score = The Sum of Q1-Q8 總分= 第一題至第八題分數總和

According to your answers in the questionnaire above, your total score is \_\_\_\_\_. Please refer to the "Assessment Result" in Section C. Your investment risk profile is classified as:

根據您對以上問卷的答案，依照您的回答總計得分為\_\_\_\_\_。您可參照以下 Section C「評估結果」。金益金融僅將您的投資風險屬性分類如下：

Total score 得分	Investment Risk Profile 投資風險取向	Attributes and Risk Preferences 特性及風險偏好
<12	<b>Conservative</b> 保守型	Generally speaking, these clients prioritize investment products of low uncertainty on risk or incline to minimize investment loss. 一般而言，這類客戶優先考慮回報較為穩定的投資產品或偏好最低的投資損失。
13-17	<b>Stable</b> 穩健型	Generally speaking, these clients are willing to take modest risk so as to achieve returns slightly better than bank deposits. 一般而言，這類客戶願意承擔適度的風險，以獲取比銀行存款稍佳的回報。
18-23	<b>Balanced</b> 平衡型	Generally speaking, these clients are willing to take a certain degree of risk and/or prefer investment portfolio mixed with products ranging from low to high risk. 一般而言，這類客戶願意承擔一定程度的風險，及/或偏好綜合低至高風險產的投資組合。
24-29	<b>Growth</b> 增長型	Generally speaking, these clients are willing to accept higher price fluctuation and take relatively higher risk for respectable returns and/or prefer growth-oriented products (which may be complex or sophisticated products) or products of similar risk level. 一般而言，這類客戶願意接受較高的價格波動和承擔相對較高的風險，以獲取可觀回報，及/或偏好增長主導的產品（當中可能包括複雜產品）或類似風險程度的產品。
>30	<b>Aggressive</b> 進取型	Generally speaking, these clients are comfortable with maximizing their potential return by investing in very high risk products. Investment values can fluctuate widely and may fall substantially below client's original investment. They are willing to invest in more complex or highly sophisticated products, or products of similar risk level. 一般而言，這類客戶願意投資非常高風險的產品，以獲取最高的潛在回報。投資價值可能會有大幅波動，跌幅有機會使其價格顯著低於客戶原本的投資金額。他們願意投資於較複雜、高度複雜的產品或類似風險程度的產品。

### Section D: Liquid Net Worth

丁部分：流動資產淨值

I/We hereby acknowledge that my/our liquid net worth (i.e. total assets minus total liabilities (excluding the net value of fixed assets)) is estimated to be:

本人 / 吾等確認本人 / 吾等的流動資產淨值（即總資產減去總負債（不計及固定資產的淨值））估計為：  
HK\$ / 港幣\_\_\_\_\_。

### Section E: Disclaimer

戊部分：免責聲明

This questionnaire and its result is only one of the factors you may take into account when investing. This should not be regarded as an investment advice, an offer to sell, or a solicitation to buy any financial products. You/your company should consider carefully your investment objective and risk tolerance ability and seek independent professional advice before making any investment decision. JYF accepts no responsibility or liability as to the accuracy or completeness of the information provided by you/your company in this questionnaire and/or its result(s) arising from such inaccuracies or completeness.

Investors should note that investment involves risks, including the possibility of loss of the entire capital invested, price of investment products may go up as well as down and past performance information presented is not indicative of future performance. Investors should understand the nature and the risks associated with the relevant product before making any investment decision. You/your company should always make your own investment decision having regard to your financial situation, investment experience, investment objectives, independent professional advice etc.



本問卷和結果只是您/貴公司考慮投資的其中一個因素。以上並不應被視為投資建議，要約出售，或徵求購買任何金融產品。閣下應該仔細考慮您/貴公司的投資目標及承受風險能力，並尋求獨立專業意見，才作出任何投資決定。金益金融不會對於本問卷由您/貴公司提供的資料及/或結果的準確性或完整性和/或由此類不準確性或完整性引起的結果承擔任何責任。

投資者須注意投資涉及風險，包括可能損失全部投資本金，投資產品價格可升亦可跌，而所呈列的過往表現資料並不表示將來亦有類似表現。投資者作出任何投資決定前，應詳細了解該產品的性質和相關風險。

當您/貴公司作出投資決策前，須考慮閣下的財務狀況，投資經驗，投資目標，獨立專業意見等因素。

## Section F: Client's Declaration

己部分：客戶聲明

- I/We hereby declare and agree that all the information given above is complete, true and accurate, and is given to the best of my/our knowledge. I/We acknowledge that any advice or recommendation given to me/us by the representative(s) of JYF relies upon the basis of information given by me/us. I/We shall inform JYF immediately if there is any material change on any of the information given.

本人/我們謹此聲明並同意上述所有資料均是完整、真實及準確，並且是盡本人/我們所知而作答。本人/我們確認，任何金益金融的代表向本人/我們提供之建議或推薦皆基於本人/我們所提供的資料。如果本人/我們所提供資料有任何關鍵性改變，本人/我們會立刻通知金益金融。

- I/We agree and accept the above assessment result of my/our risk profile.

本人/我們同意並接受上述評估結果及本人確認同意本問卷評估本人/我們所屬的投資風險取向。

- I/We disagree with the above assessment result and believe that the following risk profile, which is more prudent than the assessment result is more suitable:

本人/我們不同意上述評估結果，並認為以下較評估結果更謹慎的風險取向更為合適：

Reason / 原因: \_\_\_\_\_

Conservative  
保守型  
(<12)

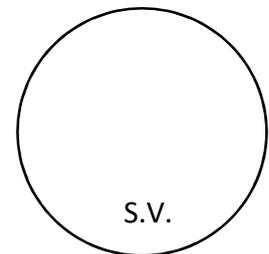
Stable  
穩健型  
(13-17)

Balanced  
平衡型  
(18-23)

Growth  
增長型  
(>24)

### Client's Signature (if applicable, with company chop for Corporate Client)

客戶簽署（如適用，公司客戶請蓋章）



\_\_\_\_\_  
Name 姓名:

Date 日期:



**For Internal Use Only** 只供內部使用

Signature of Licensed Person of JYF  
金益金融持牌人簽署

**Declaration: I hereby declare and confirm that this questionnaire is duly completed by the client.**  
聲明：本人謹此聲明及確認此問卷由客戶親自填寫。

Name 姓名：  
Date 日期：  
CE No. 中央編號：

**For Client Onboarding Team**

<b>Verification of assigned risk scores and calculation</b>	Maker	Checker
<b>CMS/ABC Input</b>	Maker	Checker

## 客戶同意書

閣下明白並同意，本公司（金益金融集團有限公司）為了向閣下提供與在香港聯合交易所（聯交所）上市或買賣的證券相關的服務，以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會（證監會）的規則和規定，我們可收集、儲存、處理、使用、披露及轉移與閣下有相關的個人資料（包括閣下的客戶識別信息及券商客戶編碼）。在不限制以上的內容的前提下，當中包括：

- (a) 根據不時生效的聯交所及證監會規則和規定，向聯交所及／或證監會披露及轉移閣下的個人資料（包括客戶識別信息及券商客戶編碼）；
- (b) 允許聯交所：(i) 收集、儲存、處理及使用閣下的個人資料（包括客戶識別信息及券商客戶編碼），以便監察和監管市場及執行《聯交所規則》；(ii) 向香港相關監管機構和執法機構（包括但不限於證監會）披露及轉移有關資料，以便他們就香港金融市場履行其法定職能；及 (iii) 為監察市場目的而使用有關資料進行分析；及
- (c) 允許證監會：(i) 收集、儲存、處理及使用閣下的個人資料（包括客戶識別信息及券商客戶編碼），以便其履行法定職能，包括對香港金融市場的監管、監察及執法職能；及(ii) 根據適用法例或監管規定向香港相關監管機構和執法機構披露及轉移有關資料。

閣下亦同意，即使閣下其後宣稱撤回同意，我們在閣下宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移閣下的個人資料以作上述用途。

閣下如未能向我們提供個人資料或上述同意，可能意味著我們不會或不能夠再（視情況而定）執行閣下的交易指示或向閣下提供證券相關服務，惟出售、轉出或提取閣下現有的證券持倉（如有）除外。

備註：本條文所述的“券商客戶編碼”及“客戶識別信息”具有《證券及期貨事務監察委員會持牌人或註冊人操守準則》第 5.6 段所界定的含義。

客戶明白並同意簽署

\_\_\_\_\_  
(如屬公司戶口,請加蓋公司印鑒)

客戶姓名：\_\_\_\_\_

客戶號碼：\_\_\_\_\_

日期：\_\_\_\_\_

**防止洗黑錢及防止恐怖份子籌資活動問卷**  
**ANTI-MONEY LAUNDERING & ANTI-TERRORIST FINANCING QUESTIONNAIRE**

客戶名稱 A/C Name: \_\_\_\_\_

賬戶號碼 A/C No.: \_\_\_\_\_

請選答(i)、(ii)或(iii)其中一項 PLEASE ANSWER EITHER PART (i), (ii) OR (iii).

<b>(i) 本地客戶(如香港居民) For Local Client (i.e. Residents of Hong Kong)</b>		
A. 閣下並沒有與政界人士有聯繫? (政界人士:指目前或以往曾經擔任重要公職的人士,如國家或政府的首長,資深政客,政府高級官員和重要政黨官員等) Are you not linked to politically exposed persons? (Politically exposed person - individual who is or has been entrusted with prominent public function, e.g. head of state/government, senior politician, senior executive of government-owned corporation, important political party official, etc.)	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No	
B. 閣下的業務性質並不是特別容易蒙受較高的洗黑錢風險? (舉例:如會接觸大量現金往來,找換業或博彩業) Is the nature of your business not particularly susceptible to money laundering risk? (For example, money changer or casino business that handles large amount of cash)	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No	
C. 閣下的金錢來源並不是源於或涉及非法所得? Does your money might not be arising from or related to proceeds of crimes?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No	
<b>(ii) 海外客戶(如非本港居民) For Overseas Client (i.e. Non-residents of Hong Kong)</b>		
A. 閣下居住的國家是否財務行動特別組織的成員或其隸屬? Is the country that you located is a member of the Financial Action Task Force ("FATF") or its affiliates?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No	
B. 如上題(A)的答案選擇“否”,閣下居住的國家是否已有現行的法律或條例立以制止洗黑錢的活動? If the answer to (A) is NO, are you located in a country with established laws/regulations designed to prevent money laundering?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No	
C. 如上題(B)的答案選擇“否”,閣下是否受到現行的法律或條例所管制? If the answer to (B) is NO, are you subject to such laws/regulations?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No	
D. 閣下是否就反洗黑錢條例或反恐怖份子籌資活動條例維持著“無罪紀錄”?如否,請另外提交一份詳細的資料。 Have you maintained a "no conviction record" for anti-money laundering or anti-terrorist financing legislation? If no, please provide details on a separate sheet.	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No	
<b>(iii) 如閣下的業務涉及處理第三者的資產(如基金經理,股票經紀),請回答以下的問題。 For client whose business involves handling third party assets (e.g. fund manager, stockbrokers), please answer the following questions.</b>		
A. 閣下(包括外國的分行及子公司)是否已制訂書面政策,並執行內部程序和管理,以打擊洗黑錢的活動? Do you (including foreign branches and subsidiaries, if any) have established written policies and implemented internal procedures and controls to combat money laundering?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No	
B. 閣下所屬的機構,就舉報可疑的活動和交易是否已確立程序向適當的監控組織報告? Are there documented procedures of your institution for reporting suspicious activities and transactions to the appropriate authorities?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No	
C. 閣下所屬的機構有否已制訂政策與程序,確保已採用合理方法去取得客戶真正身份的資料,並將有關資料於適用的法律所規定時限內予以保留? Has your institution established policies and procedures to ensure that reasonable measures are taken to obtain information about the true identity of its customers, and are these records retained for a period of time specified by the applicable law?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No	
<b>(iv) 平均交易金額(以港幣計) Average Size of Trade (HK\$)</b>	<input type="checkbox"/> 港幣 HK\$10,000 以下 <input type="checkbox"/> 港幣 HK\$50,001-港幣 HK\$1,000,000	<input type="checkbox"/> 港幣 HK\$10,000 -港幣 HK\$50,000 <input type="checkbox"/> 港幣 HK\$1,000,000或以上or above
<b>(v) 財富來源 Source of Wealth</b>	<i>(如有需要,可勾選多於一項)(tick more than one box, if appropriate)</i> <input type="checkbox"/> 薪金/佣金 Payroll/Commission <input type="checkbox"/> 積蓄 Savings <input type="checkbox"/> 投資收益 Investment Return <input type="checkbox"/> 售出物業 Sales of Property <input type="checkbox"/> 個人業務 Individual Business <input type="checkbox"/> 其他,請註明 Others, please specify _____	

(vi) 資金來源 Source of Funds	資金來源方式 Means of Source of Funds	(如有需要，可勾選多於一項) (tick more than one box, if appropriate)  <input type="checkbox"/> 現金 Cash <input type="checkbox"/> 其他，請註明 <input type="checkbox"/> 支票 Cheque                      Others, please specify _____ <input type="checkbox"/> 匯票 Demand Draft <input type="checkbox"/> 電匯 Telegraphic Transfer
	資金來源地 Origins of Source of Funds	(如有需要，可勾選多於一項) (tick more than one box, if appropriate)  <input type="checkbox"/> 香港 HK <input type="checkbox"/> 其他，請註明 <input type="checkbox"/> 中國 China                      Others, please specify _____ <input type="checkbox"/> 美國 US <input type="checkbox"/> 台灣 Taiwan
(vii) 預期賬戶每月交易量 Anticipated Monthly Volume	買入交易 Buy Transaction	交易量(宗) No. of Counts: <input type="checkbox"/> ≤26 <input type="checkbox"/> 101 - 200 <input type="checkbox"/> 27-78 <input type="checkbox"/> >200 <input type="checkbox"/> 79-100 預期涉及總金額 Anticipated Total Amount _____
	賣出交易 Sell Transaction	交易量(宗) No. of Counts: <input type="checkbox"/> ≤ 26 <input type="checkbox"/> 101 - 200 <input type="checkbox"/> 27-78 <input type="checkbox"/> >200 <input type="checkbox"/> 79-100 預期涉及總金額 Anticipated Total Amount _____

Client Signature  
客戶簽署

Client Name  
客戶名稱 \_\_\_\_\_

Date  
日期 \_\_\_\_\_

**FOR OFFICIAL USE ONLY** 由本公司填寫

Client AML Risk Classification

**Low/Medium/High\***

Reasons for Classification: (Only for Medium/High) \_\_\_\_\_

Approved by  
Responsible Officer/\*Two Directors

Reviewed by  
Compliance Officer

Signature  
Name

Signature  
CE No.

日期(日/月/年) Date(dd/mm/yy)

日期(日/月/年) Date(dd/mm/yy)

\*For high risk client:

- 1.If the answer to any of the questions(i),(ii)and(iii) is "No", the result of the risk assessment would be "High"
- 2.The account Opening form to be signed by at least two of directors and Responsible Officers
3. The Account to be reviewed semi-yearly.