



Particulars of **ALL** Directors 全部董事資料：

(Please attach supplementary sheet if space is not enough. 如空位不敷應用，請加補充新頁。)

Name in English (& Chinese, if applicable)

英文姓名 (及中文姓名，如適用)

HKID Card No. (If none, please state Passport No. and Nationality)

香港身份證號碼 (如沒有，請敘明護照號碼及國籍)

_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

If applicant is incorporated outside Hong Kong, please complete **sections a and b** below :

若申請人為在香港以外地區成立的法團，請填寫下述 **a及b**欄：

a. Particulars of Registered Agent appointed in the applicant's place of incorporation

申請人在其成立為法團的所在國家委任的註冊代理人的資料

(If the Registered Agent is not an individual, please state its company name and business address in the "Name in English" and "Usual Residential Address in English" sections below. 若註冊代理人並非為個人，請在下述「英文姓名」及「用英文填寫的通常住址」欄內分別敘明它的公司名稱及營業地址。)

Mr 先生

Ms 女士

Mrs 太太

Miss 小姐

Name in English (as shown on the passport) 英文姓名(必須與護照上的姓名相同)：

Family Name 姓

Given Names 名

_____	_____
-------	-------

Usual Residential Address in English 用英文填寫的通常住址：

_____
_____
_____
_____

b. Particulars of Authorized Representative resident in Hong Kong to accept on behalf of the applicant service of process and any notices required to be served on the applicant pursuant to the Companies Ordinance of Hong Kong. If applicant is not registered in Hong Kong under the aforesaid Ordinance, please state the particulars of the Agent appointed for the same purpose.

根據香港《公司條例》的規定所委任的居於香港並獲授權代表申請人接受須向申請人送達的法律程序文件和通知書的授權代表的資料。若申請人沒有根據前述條例在香港註冊，請敘明被其委任以履行相同職責的代理人的資料。

(If the Authorized Representative is not an individual, it must be a firm of solicitors or professional accountants. Please state its firm name and business address in Hong Kong in the "Name in English" and "Usual Residential Address in Hong Kong in English" sections below. 若授權代表並非為個人，它必須是律師行或專業會計師行。請在下述「英文姓名」及「用英文填寫的在香港的通常住址」欄內分別敘明該律師行或專業會計師行的公司名稱及在香港的營業地址。)

Mr 先生

Ms 女士

Mrs 太太

Miss 小姐

Name in English (as shown on HKID Card) :  
英文姓名 (必須與香港身份證上的姓名相同)

Name in Chinese (if applicable) : \_\_\_\_\_  
中文姓名(如適用)

Family Name 姓

Given Names 名

_____	_____
-------	-------

Usual Residential Address in Hong Kong in English 用英文填寫的在香港的通常住址：

_____
_____
_____
_____

HK香港  KLN九龍  NT新界

2. **Designated Officer in Hong Kong for Contact by HKSCC on Daily Operational Matters of the Account**  
**在香港代表公司與結算公司聯絡有關戶口的日常運作事宜的指定聯絡主任**

Mr 先生                       Ms 女士                       Mrs 太太                       Miss 小姐

Name in English (as shown on HKID Card) :  
英文姓名 (必須與香港身份證上的姓名相同)

Name in Chinese (if applicable) : \_\_\_\_\_  
中文姓名(如適用)

Family Name 姓                      Given Names 名

\_\_\_\_\_

Daytime Contact Telephone No. :  
日間聯絡電話號碼

Daytime Contact Fax No. :  
日間聯絡圖文傳真號碼

(1) \_\_\_\_\_ (2) \_\_\_\_\_

\_\_\_\_\_

E-Mail Address (if any) :  
電郵地址 (如有)

\_\_\_\_\_

3. **Choice of Statement / SMS Language (can choose one language only)**  
**所選擇的結單 / 短訊語文 (只可選擇一種語文)**

English 英文                       Chinese 中文

4. **Election for Receiving Statement via Mail 選擇透過郵遞收取結單**

- B Both Monthly and Activity Statement 活動結單及月結單  
 M Monthly Statement only 只收取月結單  
 D Activity Statement only 只收取活動結單  
 N Not to receive 不收取

5. **Subscription for SMS 選擇接收短訊服務 (if applicable 如適用)**

If you elect to subscribe for SMS, please read the SMS disclaimer below and provide phone number for receiving SMS:  
如閣下選擇接收短訊服務，請參閱下述短訊服務聲明及提供接收短訊電話號碼

(Available within the local telecommunication network in Hong Kong only 只適用於香港本地的電訊網絡) \_\_\_\_\_

Types of SMS Subscribed 選擇接收短訊服務類別

- ISI Reminder 投資者交收指示通知                       Voting Reminder 公司投票通知  
 Tender Reminder 投標通知                       Election Reminder 權益選擇通知  
 All Reminder 全部通知

SMS Disclaimer 短訊服務聲明:

By subscribing to the SMS, the Investor Participant also agrees to receive from HKSCC, via the SMS, messages containing information of CCASS services and facilities or any other information which HKSCC may from time to time transmit to the Investor Participant, including but not limited to messages and information that contain marketing or promotional or advertising materials, or unsolicited contents in relation to the goods, products, services or facilities offered by HKSCC from time to time. If the Investor Participant does not wish to receive such promotional or direct marketing materials, please notify HKSCC in writing to Customer Service Centre at the address stated above. Investor Participants who are using major mobile operators will be able to receive the SMS from HKSCC.

投資者戶口持有人訂購短訊服務，代表其亦同意透過短訊服務接收結算公司有關中央結算系統服務及設施的資料，或結算公司可能不時向投資者戶口持有人傳送的任何其他資料的訊息，包括但不限於推銷或推廣或宣傳的訊息及資料，或結算公司不時就其提供的貨品、產品、服務或設施而主動提供的資料。投資者戶口持有人如不欲接收此等推廣或直銷資料，請書面通知結算公司的客戶服務中心，地址請參上。投資者戶口持有人如使用主要流動電話網絡供應商將可收取由結算公司發出的短訊。

6. **Election for 「Not」 to Receive Corporate Communications from Listed Issuers**  
**選擇「不」收取上市證券發行人的公司通訊**

HKSCC shall from time to time upon the written request of an issuer of an Eligible Security disclose to that issuer details of the holdings in the Central Clearing and Settlement System ("CCASS") of Investor Participants in such Eligible Security in accordance with the General Rules of CCASS ("Rules").

結算公司將根據《中央結算系統一般規則》，不時應合資格證券發行人的書面請求，向該合資格證券的發行人申報投資者戶口持有人在中央結算及交收系統(「中央結算系統」)內持有該合資格證券的詳情。

In addition, unless an Investor Participant indicates that it does not wish to receive corporate communications from listed issuers, HKSCC will release the name and address of the Investor Participant to share registrars to facilitate their mailing of such corporate communications to the Investor Participant free-of-charge. Therefore, if you **do not** wish to receive corporate communications from listed issuers, please tick '✓' the "No" box on the right. Please note that this does not negate HKSCC's right to release information of Investor Participants for any other purposes in accordance with the Rules.

No 不用

此外，除非投資者戶口持有人表明不願意收取上市證券發行人的公司通訊，結算公司將提供該投資者戶口持有人的姓名及地址予股份過戶及登記處，以便其能免費郵寄該等公司通訊予該投資者戶口持有人。因此，若貴公司不願意收取該等公司通訊，請在右方「不用」的方格內填入「✓」號，惟此決定不會否定結算公司依據《中央結算系統一般規則》的規定而披露投資者戶口持有人資料作其他用途的權利。

## 7. Account Mandate 戶口授權書

(\*please delete as appropriate 請刪去不適用者)

We hereby certify that \* at a meeting of the Directors duly held at \_\_\_\_\_  
\_\_\_\_\_ (place)

/ by resolutions in writing of the Directors on \_\_\_\_\_ (date), the following resolutions were passed in accordance with the Articles of Association of the Company, and the resolutions have been duly entered in the Company's Minute Book :

茲證明本公司按照本公司的《組織章程細則》的規定，於 \_\_\_\_\_ (日期) \*在 \_\_\_\_\_  
\_\_\_\_\_ (地點) 召開董事會議/以董事書面決議方式，通過以下各項決議，此等決議已記錄在本公司的會議記錄簿內：

- (i) That a corporate investor account (“Account”) in the Central Clearing and Settlement System (“CCASS”) be opened and maintained in the name of the Company with Hong Kong Securities Clearing Company Limited (“HKSCC”), and two Directors of the Company, \_\_\_\_\_ and \_\_\_\_\_ be authorised to sign jointly all the account opening documents and complete the prescribed account opening procedures.

以本公司名義在香港中央結算有限公司(「結算公司」)的中央結算及交收系統(中央結算系統)內開立，並繼續開立一個公司投資者戶口(「投資者戶口」)，並授權本公司的兩位董事 \_\_\_\_\_ 及 \_\_\_\_\_，共同簽署所有開戶文件及完成指定的開戶手續。

- (ii) That the persons specified in the “List of Authorised Signatories and Their Specimen Signatures” contained in the “Corporate Investor Account Opening Form and Mandate” be appointed as the Authorised Signatories of the Company to give all written instructions to HKSCC in connection with any matters relating to the Company's participation and operations in CCASS including, inter alia, the deposit and withdrawal of securities from the Account, amending the list of Authorised Users for operating the Account via the CCASS Phone System, notifying HKSCC of changes to the Company's Designated Bank Account for CCASS money settlement and Designated Officer for HKSCC to contact on daily operational matters relating to the Account and any changes in any information provided to HKSCC, and that any \_\_\_\_\_ of them signing \* singly / jointly shall be valid.

委任在《公司投資者開戶表格及授權書》內載有的《「獲授權簽署人士」名單及簽署式樣》上列明的人士為本公司的「獲授權簽署人士」，該等人士可代表本公司就任何有關參與中央結算系統及在中央結算系統日常運作的事宜向結算公司發出書面指示，其中包括在投資者戶口提存證券、修改可代表本公司透過「結算通」電話系統操作投資者戶口的「認可使用」名單，通知結算公司更改本公司用作中央結算系統款項交收的「指定銀行戶口」及就投資者戶口的日常運作事宜與結算公司聯絡的「指定聯絡主任」，以及任何提供予結算公司的資料，再者，該等人士中的任何 \_\_\_\_\_ 人 \*單獨/共同簽署均屬有效。

- (iii) That the Company shall hold HKSCC harmless against any and all claims that may arise by reason of HKSCC acting on such written instructions of the Authorised Signatories and HKSCC shall incur no liability for or in respect of any such action.

本公司保證結算公司不會因為按照「獲授權簽署人士」的書面指示所引起的索償而招致任何損失，亦不會因此而須負上任何法律責任。

- (iv) That the Company shall forthwith supply HKSCC with a copy of the “Memorandum of Association (if applicable) and Articles of Association” of the Company and with a copy of each amending resolution as soon as the same has been passed together with such other documentation as may be required by HKSCC.

本公司應儘速將本公司的《組織章程大綱(如適用)及章程細則》及每一決議修訂本，連同其他結算公司要求的文件，送交結算公司備案。

- (v) That the Company shall pay HKSCC the fees and expenses and all other payments provided for by HKSCC's Terms and Conditions for Investor Participants at such time and in such manner as specified therein.

本公司須遵循結算公司的《投資者戶口持有人規則》所指定的時間及方式，向結算公司支付規則內訂明的費用、開支或其他款項。

- (vi) That a copy of any resolution of the Board of Directors of the Company, if purporting to be certified as true and correct by a Director of the Company or by the Company Secretary, shall as between HKSCC and the Company be conclusive evidence of the passing of the resolution so certified.

凡經本公司董事或公司秘書簽署證明無誤的任何董事會決議記錄，即為結算公司與本公司之間證明此項決議已獲通過的確證。

- (vii) That these resolutions be communicated to HKSCC and remained in force until an amending resolution to supersede them shall have been passed by the Board of Directors and a certified copy thereof shall have been received by HKSCC.

本公司應即通知結算公司上述各項決議，並保持其有效性，直至決議經董事會修訂，而已簽證的修訂決議副本被結算公司收妥為止。

## 8. **Declaration 聲明**

We hereby declare that :

本公司謹此聲明：

- (i) Our company is a validly existing corporation and has all necessary power and capacity to own and operate the Account in CCASS for share custody.

本公司乃一有效地存在的法團，並具有一切必需的權力和身份以擁有及營運在中央結算系統內開立以用作存管股票的投資者戶口。

- (ii) All the information given herein and otherwise in relation to the opening of the Account is true and correct and we undertake to notify HKSCC immediately in writing of any change whatsoever in any such information. Until such notification, HKSCC may rely on the information previously provided.

此中提供有關開立投資者戶口的資料及其他資料均屬真實無誤，若該等資料有任何變更，本公司承諾將立即以書面通知結算公司，但在結算公司未獲得該變更通知前，原有資料仍繼續有效。

- (iii) We understand and agree that by submitting this account opening form and mandate, we undertake to comply with and be bound by HKSCC's "Terms and Conditions for Investor Participants" in force from time to time.

本公司明白並同意，本公司遞交此開戶表格及授權書，即表示本公司承諾遵守結算公司不時規定的《投資者戶口持有人規則》及受其約束。

- (iv) We undertake that we shall use our Account at all times for our own account as an investor in securities and we shall not use the Account for operating any custodian or nominee or investment management business for purposes of commercial gain directly or indirectly arising therefrom.

本公司承諾會以本公司作為證券投資者的身份來使用投資者戶口存管本公司實益擁有的股份，並承諾不會利用該戶口來經營任何託管人、代理人或投資管理業務，從而直接或間接地賺取商業利潤。

### **SIGNED for and on behalf of the Applicant 代表申請人簽署：**

(must be signed by two directors, one of them must be the Chairman of the Board Meeting referred to in the above Account Mandate, as appropriate.)

(必須由兩位公司董事簽署，其中一人必須為上述戶口授權書內所述的董事會會議主席，如適用。)

\_\_\_\_\_  
Director and Chairman of the Meeting 董事兼會議主席

\_\_\_\_\_  
Director 董事

\_\_\_\_\_  
Full Name in English 英文姓名：

\_\_\_\_\_  
Full Name in English 英文姓名：

\_\_\_\_\_  
Date 日期：

\_\_\_\_\_  
Date 日期：

**List of Authorised Signatories and Their Specimen Signatures** (may appoint up to six persons)

「獲授權簽署人士」名單及簽署式樣 (最多可委任六名人士)

Company Name in full (English) 公司名稱(英文) : \_\_\_\_\_

<b>Full Name of Signatory in English</b> 簽署人英文姓名 * Please delete as appropriate. 請刪去不適用者。	<b>Specimen Signature</b> (please sign in the middle of the box by using <u>black or dark blue ball pen</u> and do not let your signature touch or overlap any lines) 簽署式樣 (請用黑色或深藍色原子筆於方格正中央簽署，並切勿讓簽名與方格的任何行線重疊)
*Mr/Ms/Mrs/Miss (1)	
*Mr/Ms/Mrs/Miss (2)	
*Mr/Ms/Mrs/Miss (3)	
*Mr/Ms/Mrs/Miss (4)	
*Mr/Ms/Mrs/Miss (5)	
*Mr/Ms/Mrs/Miss (6)	
<b>Signing Instruction 簽署指示</b> (# please fill in words, e.g.: <u>Two</u> 請填寫文字，例如：兩)  Any # _____ signature(s) shall be valid. 任何# _____ 個簽名均有效。  Others (please specify) 其他(請註明) : _____ _____ _____	<b>Company Chop Requirement (see * below) :</b> 公司印鑑要求 (詳見附註*): <input type="checkbox"/> No 不必 <input type="checkbox"/> Yes (please stamp the chop clearly and do not let it touch or overlap any lines of this box) 必需 (清晰地蓋上印鑑，並切勿讓它與此方格的任何行線重疊)

\* Company chop is required ONLY if you are required to affix company chop to execute a document under the laws of your jurisdiction of incorporation, your articles of association or your company policy. 因應 貴公司的註冊地點的當地法律、公司章程或業務細則的要求而在簽署文件時須加蓋公司印鑑。

For Office Use Only 此欄由本公司填寫		
Participant ID :	Signatures scanned by & date:	Signatures verified by & date:

## Corporate Investor Participant Self-Certification Form 公司投資者戶口持有人自我證明表格

To: Hong Kong Securities Clearing Company Limited (“HKSCC”) and Hong Kong Exchanges and Clearing Limited (“HKEX”) 致：香港中央結算有限公司《結算公司》及香港交易及結算所有限公司《香港交易所》

Customer Service Centre  
1/F, One & Two Exchange Square,  
8 Connaught Place, Central, Hong Kong  
香港中環康樂廣場 8 號交易廣場  
1 期及 2 期 1 樓客戶服務中心  
(Enquiry Tel. No. 查詢電話號碼 2979-7000)

From: \_\_\_\_\_  
English Full Name of Corporate Investor Participant  
公司投資者戶口持有人英文名稱  
Participant ID: |\_|\_|\_|\_|\_|\_|\_|\_|  
參與者編號  
Current Business Address:  
現時營業地址  
\_\_\_\_\_  
(Address, city/town and country)  
(地址，城市與國家)

### Part 1: Corporate Investor Participant’s Information on Automatic Exchange of Financial Account Information (“AEOI”)

#### 第一部：自動交換財務帳戶資料《AEOI》公司投資者戶口持有人資料

a) The Corporate Investor Participant certifies that it has the AEOI Entity Type indicated below. Please select one of the boxes below and, as applicable, provide any additional information requested for the selected box.  
公司投資者戶口持有人聲明及保證其屬於以下列出的 AEOI 類別。請選擇以下其中一方格並且，如適用，為所選方格提供額外要求的資料。

<p>Financial Institution 財務機構</p>	<p><input type="checkbox"/> Custodial Institution, Depository Institution or Specified Insurance Company 託管機構、存款機構或指明保險公司</p> <p><input type="checkbox"/> Investment Entity (except an Investment Entity that is (i) managed by another financial institution, e.g. with discretion to manage the entity’s assets, and (ii) located in a non-participating jurisdiction) 投資實體(但不包括投資實體(i)由另一財務機構管理，例如擁有酌情權管理投資實體的資產，並(ii)位於非參與稅務管轄區)</p>
<p>Active Non-Financial Entity  (“Active NFE”) 主動非財務實體</p>	<p><input type="checkbox"/> Non-Financial Entity (“NFE”) the stock of which is regularly traded on _____, which is an established securities market 該非財務實體的股票經常在_____ (一個具規模證券市場)進行買賣</p> <p><input type="checkbox"/> Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market _____的有關連實體，該有關連實體的股票經常在_____ (一個具規模證券市場)進行買賣</p> <p><input type="checkbox"/> NFE which is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities 該非財務實體為政府實體、國際組織、中央銀行或由前述的實體全權擁有</p> <p><input type="checkbox"/> Active NFE other than the above. Please further select the one applicable description: 除上述以外的主動非財務實體。請再選擇以下一項合適的描述：</p> <p>[ ] NFE with less than 50% of gross income and of assets as passive 被動總收入和被動資產少於百分之五十的非財務實體</p> <p>[ ] NFE that is a holding company for a non-financial group 非財務實體為一間非財務集團的控股公司</p> <p>[ ] NFE that is a treasury center engaged in financing/hedging with affiliates 非財務實體為一間與關聯公司進行融資/對沖交易的財務管理中心</p> <p>[ ] NFE that is within its first 24 months, and is a start-up intending to operate a non-Financial Institution business 在實體成立的最初二十四個月內，為一間將會進行非財務機構商業活動的新創業實體及非財務實體</p> <p>[ ] NFE that is liquidating or reorganising, and not involved in/planning a Financial Institution business 清算或重組中並且沒有進行及不準備進行財務機構商業活動的非財務實體</p> <p>[ ] NFE that is a not-for-profit organisation exempt from local income tax which meets other requirements 非財務實體為一間在當地免所得稅並滿足其他要求的非盈利實體</p> <p>[ ] Other Active NFE (Please specify: _____) 其他主動非財務實體(請說明：_____)</p>
<p>Passive Non-Financial Entity  (“Passive NFE”) 被動非財務實體</p>	<p><input type="checkbox"/> Investment Entity that is (i) managed by another financial institution and (ii) located in a non-participating jurisdiction. Please specify the jurisdiction: _____ (If this box is selected, please complete Part 2) 投資實體(i)由另一財務機構管理並(ii)位於非參與稅務管轄區。 請指明司法管轄區：_____ (如選擇此方格，請填寫第二部)</p> <p><input type="checkbox"/> NFE that is not an Active NFE (If this box is selected, please complete Part 2) 不屬主動非財務實體的非財務實體(如選擇此方格，請填寫第二部)</p>

- b) The Corporate Investor Participant certifies that it is a resident for tax purposes in the jurisdiction(s) as indicated in the table below and it hereby provides its Taxpayer Identification Number or the functional equivalent thereof (“TIN”) for each jurisdiction indicated.  
公司投資者戶口持有人聲明及保證其為下方列表列出居留司法管轄區之稅務居民並特此提供所列每個居留司法管轄區的稅務編號或具有等同功能的識辨編號(“稅務編號”)。

Notes to completing the table below:

填寫下方列表時注意:

- Please indicate **all** jurisdictions of residence for tax purposes (including the Hong Kong Special Administration Region of the People’s Republic of China (“Hong Kong”) where applicable). If space provided below is insufficient, continue on additional sheet(s). If the Corporate Investor Participant is not a resident for tax purposes in any jurisdiction (e.g. it is fiscally transparent), please indicate the jurisdiction in which the Corporate Investor Participant’s place of effective management is situated.  
請提供**所有**作為稅務居民的居留司法管轄區(包括中華人民共和國香港特別行政區(“香港”)如適用)。如下方空位不夠應用,可另紙填寫。如公司投資者戶口持有人並非任何居留司法管轄區的稅務居民(例如:它是財政透明實體),請填寫實際管理機構所在的司法管轄區。
- If the Corporate Investor Participant is a resident of Hong Kong for tax purposes, the TIN for Hong Kong is the Hong Kong Business Registration Number.  
如公司投資者戶口持有人為香港的稅務居民,稅務編號是其香港商業登記號碼。
- Please note that Hong Kong, the Macau Special Administrative Region of the People’s Republic of China, the People’s Republic of China and Taiwan are separate jurisdictions for the purposes of this Self-Certification Form.  
請注意香港、中華人民共和國澳門特別行政區、中華人民共和國和台灣在此表格被視為不同的居留司法管轄區。
- If you have any questions about your jurisdiction(s) of residence for tax purposes, or how to complete the table below or other parts of this Self-Certification Form, please contact your tax advisor.  
如閣下有關於貴作為稅務居民的居留司法管轄區,或如何填寫下方列表的疑問,請向貴稅務顧問諮詢。
- If a TIN is not provided, please select one of the reasons below:  
Reason A – The jurisdiction does not issue TINs to its residents.  
Reason B – The Corporate Investor Participant is unable to obtain a TIN. Please provide explanation in the table below.  
Reason C – TIN is not required. Select this reason only if the authorities of the jurisdiction do not require the TIN to be disclosed.  
如沒有提供稅務編號,請選擇以下一個理由:  
理由A– 此居留司法管轄區並沒有向其居民發出稅務編號。  
理由B– 公司投資者戶口持有人不能取得稅務編號。請在下方列表提供解釋。  
理由C– 毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

Jurisdiction(s) of Residence for Tax Purposes of Corporate Investor Participant 公司投資者戶口持有人作為稅務居民的居留司法管轄區	TIN of Corporate Investor Participant 公司投資者戶口持有人的稅務編號	Enter Reason A, B, or C if no TIN is provided 如沒有提供稅務編號,填寫理由A、B或C	Explanation if Reason B is selected 如選取理由B,解釋原因
(1)			
(2)			
(3)			
(4)			
(5)			

**Part 2: Identification of Controlling Person(s) (Complete this part if the Corporate Investor Participant is a Passive NFE)**

**第二部: 識別公司投資者戶口持有人的控權人(填寫此部如公司投資者戶口持有人為被動非財務實體)**

The Corporate Investor Participant certifies that the names (last name in capital letters, then first name; both in English) of all of its controlling person(s) are indicated in the table below.

公司投資者戶口持有人聲明及保證其所有控權人的姓名(大楷英文姓氏在前,英文名字在後)已在此下方列表列出。

Notes to completing the table below and Part 3 of this Self-Certification Form:

填寫下方列表和此表格第三部時注意:

- If no natural person exercises control over the Corporate Investor Participant and the Corporate Investor Participant is a legal person, the controlling person will be the individual holding the position of senior managing official.  
就公司投資者戶口持有人,如沒有自然人行使控制權並且公司投資者戶口持有人為法人,控權人會是高級管理人員。
- For each controlling person in the table below, please complete Part 3 of this Self-Certification Form. If there is more than one controlling person, please continue on additional copies of the next page of this Self-Certification Form and submit them together with this Self-Certification Form.  
請為下方列表的每位控權人填寫此表格第三部。如多於一位控權人,請另外填寫下頁的副本並和此表格一起提交。

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



**Part 3: AEOI Information Provided by Corporate Investor Participant on Each Controlling Person (Complete this part if the Corporate Investor Participant is a Passive NFE)**

**第三部: 公司投資者戶口持有人提供的每位控權人 AEOI 資料(填寫此部如公司投資者戶口持有人為被動非財務實體)**

Name of Controlling Person: \_\_\_\_\_ Current Residence Address of Controlling Person: \_\_\_\_\_  
控權人姓名 (Last name in capital letters, then first name; both in English) 控權人現時住址  
(大楷英文姓氏在前, 英文名字在後) \_\_\_\_\_  
Date of Birth (DD-MM-YYYY): \_\_\_\_\_ (Address, city/town and country) (地址, 城市與國家)  
出生日期(日日-月月-年年) \_\_\_\_\_

a) The Corporate Investor Participant certifies that the table below indicates all of the jurisdiction(s) of residence for tax purposes (including Hong Kong where applicable) of the controlling person and the controlling person's TIN for each jurisdiction indicated.  
公司投資者戶口持有人聲明及保證下方列表列出控權人所有作為稅務居民的居留司法管轄區(包括香港如適用)及所列每個居留司法管轄區發給控權人的稅務編號。

Notes to completing the table below:  
填寫下方列表時注意:

- If the controlling person is a resident of Hong Kong for tax purposes, the TIN for Hong Kong is the Hong Kong Identity Card Number (including the digit in brackets but without the brackets themselves).  
如控權人為香港的稅務居民, 稅務編號是其香港身份證號碼(包括括號裡的數字但不包括括號)。
- If a TIN of the controlling person is not provided, please select one of the reasons below:  
Reason A – The jurisdiction does not issue TINs to its residents.  
Reason B – The controlling person is unable to obtain a TIN. Please provide explanation in the table below.  
Reason C – TIN is not required. Select this reason only if the authorities of the jurisdiction do not require the TIN to be disclosed.  
如沒有提供控權人的稅務編號, 請選擇以下一個理由:  
理由 A – 此居留司法管轄區並沒有向其居民發出稅務編號。  
理由 B – 控權人不能取得稅務編號。請在下方列表提供解釋。  
理由 C – 毋須提供稅務編號。居留司法管轄區的主管機關不需要稅務編號持有人披露稅務編號。

Jurisdiction(s) of Residence for Tax Purposes of Controlling Person 控權人作為稅務居民的居留司法管轄區	TIN of Controlling Person 控權人的稅務編號	Enter Reason A, B, or C if no TIN is provided 如沒有提供稅務編號, 填寫理由 A、B 或 C	Explanation if Reason B is selected 如選取理由 B, 解釋原因
(1)			
(2)			
(3)			
(4)			
(5)			

b) The Corporate Investor Participant certifies that the controlling person is the Type of Controlling Person indicated in the table below (select only one box). 公司投資者戶口持有人聲明及保證控權人屬於以下選擇的控權人類別(請只選擇以下其中一方格)。

Type of Entity 實體類別	Type of Controlling Person 控權人類別
Legal Person 法人	<input type="checkbox"/> Individual who has a controlling ownership interest (i.e. not less than 25% of issued share capital) 擁有控制股權的個人(即擁有不少於百分之二十五的已發行股本)
	<input type="checkbox"/> Individual who exercises control/is entitled to exercise control through other means (i.e. not less than 25% of voting rights) 以其他途徑行使控制權或有權行使控制權的個人(即擁有不少於百分之二十五的表決權)
	<input type="checkbox"/> Individual who holds the position of senior managing official/exercises ultimate control over the management of the entity 擔任該實體的高級管理人員/對該實體的管理行使最終控制權的個人
Trust 信託	<input type="checkbox"/> Settlor 財產授予人
	<input type="checkbox"/> Trustee 受託人
	<input type="checkbox"/> Protector 保護人
	<input type="checkbox"/> Beneficiary or member of the class of beneficiaries 受益人或某類別受益人的成員
	<input type="checkbox"/> Other (e.g. individual who exercises control over another entity being the settlor/trustee/protector/beneficiary) 其他(例如: 如財產授予人/受託人/保護人/受益人為另一實體, 對該實體行使控制權的個人)
Legal Arrangement other than Trust 除信託以外的法律安排	<input type="checkbox"/> Individual in a position equivalent/similar to settlor 處於相等/相類於財產授予人位置的個人
	<input type="checkbox"/> Individual in a position equivalent/similar to trustee 處於相等/相類於受託人位置的個人
	<input type="checkbox"/> Individual in a position equivalent/similar to protector 處於相等/相類於保護人位置的個人
	<input type="checkbox"/> Individual in a position equivalent/similar to beneficiary or member of the class of beneficiaries 處於相等/相類於受益人或某類別受益人的成員位置的個人
	<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: 如處於相等/相類於財產授予人/受託人/保護人/受益人位置的人為另一實體, 對該實體行使控制權的個人)

**Part 4: Signature, Declarations And Consent For Disclosure****第四部：簽署，聲明及同意披露**

The Corporate Investor Participant acknowledges and agrees that the information on this Self-Certification Form is collected and may be kept by HKSCC and HKEX for the purposes of AEOI, including Section 50B(3) of the Inland Revenue Ordinance (Cap. 112 of the Laws of Hong Kong), and such information (including the personal data in connection with the controlling person(s) of the Corporate Investor Participant provided herein (collectively the “Personal Information”)) may be reported by HKSCC or HKEX to the Hong Kong Inland Revenue Department (the “IRD”) for transfer to the governmental, regulatory or competent authority or taxing authority of one or more jurisdiction(s) (the “Relevant Authorities”) in which the Corporate Investor Participant (and/or any controlling person) is a resident for tax purposes. Any references to controlling person(s) in this Part 4 of this Self-Certification Form shall include any person(s) listed in Part 2 of this Self-Certification Form. Any additional cop(ies) of Part 3 of this Self-Certification Form that may be submitted by the Corporate Investor Participant to HKSCC and HKEX shall be treated for purposes of this Part 4 as an integral part of this Self-Certification Form.

公司投資者戶口持有人知悉及同意，本表格所載資料由結算公司和香港交易所收集並可備存作 AEOI (包括香港法例第 112 章《稅務條例》第 50B(3) 條) 用途，及可被結算公司或香港交易所把該等資料 (包括本表格所提供相關公司投資者戶口持有人的任何控權人的個人資料 (統稱“個人資料”)) 向香港稅務局 (“稅務局”) 申報，從而把資料轉交到公司投資者戶口持有人 (和/或任何控權人) 作為稅務居民的一個或多個居留司法管轄區的政府、監管或主管當局或稅務機關 (“相關當局”)。每當在本表格的第四部提及控權人，會包括在本表格第二部所列出的人士。當施行此第四部時，任何公司投資者戶口持有人提交予結算公司和香港交易所的本表格第三部副本，會被視為本表格整體的一部分。

The Corporate Investor Participant hereby expressly gives its consent to the disclosure, use and making available by HKSCC and HKEX of information (including the Personal Information) on this Self-Certification Form as well as information relating to or derived from the Corporate Investor Participant’s account maintained with HKSCC in its capacity as an Investor Participant, to the IRD and/or the Relevant Authorities from time to time for the purposes of, or in connection with, AEOI and/or any other matters included in the “Tax Information Exchange Framework” as defined in the Terms and Conditions for Investor Participants, General Rules of CCASS and the CCASS Operational Procedures.

公司投資者戶口持有人明確表示同意結算公司及香港交易所因有關 AEOI 和/或投資者戶口持有人規則、中央結算系統一般規則和中央結算系統運作程序規規定義下的《稅務資料交換框架》內的其它課題不時向稅務局和/或相關當局披露，使用和提供本表格所載資料 (包括個人資料) 和/或與公司投資者戶口持有人以投資者戶口持有人身份持有的戶口有關或從中所獲得的資料。

The Corporate Investor Participant further certifies that it has notified and has obtained the consent from the controlling person(s) with respect to the disclosure, use and making available by HKSCC and HKEX of the Personal Information to the IRD and/or the Relevant Authorities from time to time for the purposes of, or in connection with, AEOI and/or any other matters included in the Tax Information Exchange Framework.

公司投資者戶口持有人亦聲明及保證公司投資者戶口持有人已通知每一個控權人及已獲得每一個控權人的同意，有關 AEOI 和/或投資者戶口持有人規則、中央結算系統一般規則和中央結算系統運作程序規規定義下的稅務資料交換框架，結算公司及香港交易所可將個人資料不時披露、使用和向稅務局和/或相關當局提供。

The Corporate Investor Participant understands, and has notified and obtained the consent from the controlling person(s), that the Personal Information will continue to be made available to the IRD and/or the Relevant Authorities until such time as HKSCC or HKEX has received the Corporate Investor Participant’s written notification of revocation of the Corporate Investor Participant’s consent. The Corporate Investor Participant further understands, and has notified and obtained the consent from the controlling person(s), that following withdrawal of the Corporate Investor Participant’s consent any Personal Information that has already been disclosed prior to such withdrawal will remain accessible to the IRD and/or the Relevant Authorities to which it was previously disclosed for the purposes of, or in connection with, AEOI and/or any other Tax Information Exchange Framework matters.

公司投資者戶口持有人明白和已通知每一個控權人及已獲得每一個控權人的同意，個人資料將可能被提供予稅務局和/或相關當局、直至公司投資者戶口持有人以書面形式通知結算公司或香港交易所撤銷有關同意。公司投資者戶口持有人亦明白和已通知每一個控權人及已獲得每一個控權人的同意，在撤銷有關同意前已因或有關 AEOI 和/或稅務資料交換框架內的其它課題而披露的個人資料將仍可讓稅務局和/或相關當局繼續查閱。

The Corporate Investor Participant certifies that it is the account holder (within the meaning of AEOI) of the account(s) to which this Self-Certification Form relates.

公司投資者戶口持有人聲明及保證，就與本表格所載所有相關的帳戶，公司投資者戶口持有人是按 AEOI 定義下的帳戶持有人。

The Corporate Investor Participant agrees that it will advise HKSCC and HKEX of any change in circumstances which (i) affects the Corporate Investor Participant's jurisdiction(s) of residence for tax purposes or its AEOI entity type (and/or, where relevant to this Self-Certification Form, the identity of its controlling person(s) and/or the jurisdiction(s) of residence for tax purposes of any such controlling person(s)), or (ii) otherwise causes the information contained on this Self-Certification Form to become incorrect or incomplete. The Corporate Investor Participant agrees that it will submit a new Self-Certification Form to HKSCC and HKEX within 30 days of such change in circumstances.

公司投資者戶口持有人承諾，如情況有所改變，以致影響本表格的(i)公司投資者戶口持有人作為稅務居民的居留司法管轄區或其 AEOI 類別(和/或與本表格所載有關的控權人的身份和/或任何該控權人作為稅務居民的居留司法管轄區)，或(ii)引致本表格所載的資料不正確或不完備，公司投資者戶口持有人會通知結算公司和香港交易所，並會在情況發生改變後 30 日內，向結算公司和香港交易所提交一份已適當更新的自我證明表格。

**The Corporate Investor Participant declares that the information given and statements in this Self-Certification Form are, to the best of the Corporate Investor Participant's knowledge and belief, true, correct and complete.**

公司投資者戶口持有人在此聲明已閱讀明白此自我證明表格內所有之內容。同時聲明盡公司投資者戶口持有人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

**Signed by the Corporate Investor Participant :**

公司投資者戶口持有人簽署：

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Signature of individual authorised to sign for Corporate Investor Participant (with company chop, ONLY applicable if it forms part of your signing instruction)

公司投資者戶口持有人授權人簽名(連同公司印鑑，只適用於該印鑑為貴戶簽署指示的一部分)

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Print name of authorised signatory

授權人姓名

Date (DD-MM-YYYY)

日期(日日-月月-年年年年)

Note it is an offence under section 80(2E) of the Inland Revenue Ordinance (Cap. 112 of the Law of Hong Kong) if any person, in making a self-certification relating to AEOI, 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：根據香港法例第 112 章《稅務條例》第 80(2E) 條，如任何人在自我證明表格作出關於 AEOI 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。

This Self-Certification Form is written in English with a translation in Chinese. In case of any inconsistency, the English version shall prevail.

此自我證明表格的中英文本內容如有歧異，當以英文本為準。

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**Investor Participant HKD Debit Authorisations and Authorisation to Disclose Information Form**  
**投資者戶口持有人扣賬授權及資料申報授權書**

(Please complete and return this authorisation form to Customer Service Centre for processing. 請填妥此授權書，並把它交回客戶服務中心辦理。)

## 1. Types of authorisations 授權事項：

## a. Direct Debit Authorisation 直接扣賬授權

I/We hereby authorise my/our below-named Bank (“the Bank”) to effect transfers from my/our Hong Kong Dollar (“HKD”) bank account (“the Account”) set out below to the HKD bank accounts of Hong Kong Securities Clearing Company Limited (“HKSCC”) specified below in accordance with Direct Debit Instructions (“DDIs” and “DDI” shall be construed accordingly) presented to the Bank by HKSCC via Hong Kong Interbank Clearing Limited (“HKICL”) from time to time.

本人/吾等茲授權下述本人/吾等的銀行（「該銀行」）按照及履行香港中央結算有限公司（「結算公司」）經由香港銀行同業結算有限公司不時向該銀行發出的直接扣賬指示，將款項從本人/吾等的下述銀行賬戶（「該賬戶」）轉入下述結算公司的銀行賬戶。

## b. Debit Authorisation for Electronic Payment Instruction 電子付款指示扣賬授權

I/We hereby authorise the Bank to accept and effect transfers in accordance with Electronic Payment Instructions (“EPIs” and “EPI” shall be construed accordingly), being debit instructions to effect transfers from the Account presented to the Bank by HKSCC via HKICL from time to time.

本人/吾等茲授權該銀行接受及履行結算公司經由香港銀行同業結算有限公司不時向該銀行發出的電子付款指示，並按照該等電子付款指示，從該賬戶扣除款項以進行轉賬。

## c. Debit Authorisation for Clearing House Automated Transfer System (CHATS) Payment Instruction (See Note 1 Overleaf)

票據交換所自動轉賬系統(CHATS) 付款指示扣賬授權 (請參閱在後頁的附註 1)

I/We hereby authorise the Bank to accept and effect transfers in accordance with CHATS Payment Instructions (“CPIs” and “CPI” shall be construed accordingly), being debit instructions to effect transfers from the Account from time to time presented to the Bank by HKSCC via the Central Clearing and Settlement System (“CCASS”) Terminal, and in the case of mechanical breakdown, computer or system failures, or failures of communication media or any other force majeure reason, such other means as may be agreed between HKSCC and the Bank. I/We acknowledge that not every CCASS designated bank provides the CHATS payment service to CCASS Investor Participants. For completion of HKSCC’s prescribed investor account opening and maintenance procedures, I/we hereby request the Bank, if it does not currently provide the CHATS payment service to the Account, to retain on its record my/our aforesaid authorisation as valid and to act on my/our authorisation if and when it at its own discretion elects to provide the CHATS payment service to the Account.

本人/吾等茲授權該銀行按照結算公司不時向該銀行發出的 CHATS 付款指示，從該賬戶扣賬。結算公司的 CHATS 付款指示，將經由中央結算及交收系統（「中央結算系統」）終端機發出，或在機械故障、電腦或系統失靈或通訊媒介失靈或其他不可抗力原因的情況下，經由結算公司與該銀行同意的其他途徑向該銀行發出。本人/吾等確認，並非所有中央結算系統的指定銀行皆提供 CHATS 付款服務予中央結算系統的投資者戶口持有人。為使能完成結算公司指定的開立及繼續持有投資者戶口須履行的手續，若該銀行現時不提供 CHATS 付款服務予該賬戶，本人/吾等謹此要求該銀行保留前述本人/吾等的授權在其記錄中，並在其決定為該賬戶提供 CHATS 付款服務時，依照該項授權辦事。

## 2. I/We hereby confirm that I/we have authorised HKSCC to generate DDIs, EPIs, CPIs and/or such other instructions on my/our behalf for the purposes of HKD money settlement of my/our transactions under CCASS to transfer funds from the Account to such beneficiaries as shall be specified in the DDIs, EPIs, CPIs and/or such other instructions.

本人/吾等確認本人/吾等已授權結算公司代本人/吾等就中央結算系統內的款項交收發出直接扣賬指示、電子付款指示、CHATS 付款指示及/或其他指示，將款項從該賬戶轉賬予直接扣賬指示、電子付款指示、CHATS 付款指示及/或其他指示所指定的受益人。

## 3. I/We agree that the Bank shall not be obliged to ascertain whether or not notice of any such transfer has been given to me/us.

本人/吾等同意該銀行毋須證實所有這些轉賬通知是否已交予本人/吾等。

## 4. I/We jointly and severally accept full responsibility for any overdraft (or increase in existing overdraft) on the Account which may arise as a result of any transfer(s) made pursuant to the authorisations set out herein.

本人/吾等願就該賬戶基於此授權書進行的任何轉賬所可能出現的透支(或令現時的透支增加)，共同及各別承擔全部責任。

## 5. I/We agree that should there be insufficient funds in the Account to meet any transfer hereby authorised, the Bank shall be entitled, at its discretion, not to effect such transfer in which event the Bank may make the usual charge, and that it may cancel this authorisation at any time upon giving three working days’ written notice to HKSCC and me/us.

本人/吾等同意，倘若該賬戶無足夠款項支付該等獲授權進行的任何自動轉賬付款指示的相關轉賬，該銀行有權決定不予轉賬，並可收取一般手續費，又可隨時向結算公司及本人/吾等發出三個工作天的書面通知，取消接受此授權書。

## 6. I/We agree that the Bank shall not in any event be liable to me/us for failure to effect transfers from the Account in accordance with such instructions it may receive from HKSCC unless the Bank fails to act in good faith or there is wilful misconduct or fraud on the part of the Bank.

本人/吾等同意，除非該銀行未能忠誠辦事，或該銀行涉及蓄意行為不當或欺詐行為，否則，即使該銀行未能按照結算公司發出的付款指示，接受及履行從該賬戶轉賬，該銀行在任何情況下均毋須對本人/吾等負責。

## 7. I/We hereby authorise the Bank to disclose to HKSCC any information obtained by the Bank relating to returned DDIs, EPIs, CPIs and/or such other instructions relating to the Account and any matters relating thereto in such format and through such means as shall from time to time be prescribed by HKSCC.

本人/吾等謹此授權該銀行按照結算公司不時指定的格式及途徑，向結算公司申報任何有關該賬戶的退回直接扣賬指示、電子付款指示、CHATS 付款指示及/或其他指示及其他有關資料。

8. I/We agree that the Bank shall not in any event be liable to me/us for a failure to disclose any information to HKSCC requested from time to time by HKSCC unless the Bank fails to act in good faith or there is wilful misconduct or fraud on the part of the Bank.  
本人/吾等同意，除非該銀行未能忠誠辦事，或該銀行涉及蓄意行為不當或欺詐行為，否則，即使該銀行未能向結算公司申報任何其不時規定的資料，該銀行在任何情況下均毋須對本人/吾等負責。
9. I/We acknowledge that once instructions are sent to the Bank by HKSCC, I/we shall have no right to stop payment relating to those instructions.  
本人/吾等確認，一旦該銀行已收到結算公司的指示，本人/吾等將無權停止與該等指示有關的付款。
10. I/We agree that any notice of cancellation or variation of these authorisations which I/we may give to the Bank shall be given at least seven working days prior to the date on which such cancellation/variation is to take effect.  
本人/吾等同意，本人/吾等如欲取消或更改此等授權，應於取消或更改生效前最少七個工作天通知該銀行。
11. This authorisation form is governed by the laws of the Hong Kong Special Administrative Region of the People's Republic of China.  
此授權書須受中華人民共和國香港特別行政區法律制約。
12. This authorisation form is written in English with a translation in Chinese. In case of any conflict in meaning, the English version shall prevail.  
此授權書的中英文本內容如有歧異，當以英文本為準。

<b>Name of party to be credited 收款人</b>	Bank No. 銀行編號	Branch No. 分行編號	Account No. to be credited 收款賬戶編號
Hong Kong Securities Clearing Company Limited ("HKSCC") 香港中央結算有限公司(「結算公司」)	0   0   4	6   0   0	3   9   8   1   6   8   0   0   1
	0   0   4	6   0   0	3   9   8   1   6   8   0   0   5

<b>Bank Account Details by Customer</b> (Please complete all items, except for the Debtor's Reference, in English block letters) <b>由客戶填寫的銀行賬戶資料</b> (請用英文正楷填寫全部所需資料,「付款人備考」一欄除外)			
My/Our Bank Name and Branch (See Note 1 below) 本人/吾等的銀行及分行名稱 (請參閱下述附註 1)	Bank No. 銀行編號	Branch No. 分行編號	Bank Account No. 銀行賬戶編號
	(See Note 2 below 請參閱下述附註 2)		
My/Our Account Name as recorded on bank statement or passbook (See Note 3 below) 本人/吾等在銀行結單或存摺上所記錄的賬戶名稱 (請參閱下述附註 3)	My/Our signature(s) (See Note 5 below) 本人/吾等的簽名 (請參閱下述附註 5) (Please sign in the usual way as you would sign on your Bank Account) (在此授權書內的簽名須與銀行賬戶所簽的完全相同)		
Day Time Contact Tel No. 日間聯絡電話號碼			
Debtor's Reference (For HKSCC Use Only - See Note 4 below) 付款人備考 (此欄為結算公司專用- 請參閱下述附註 4)	Date 日期:		

<b>For Bank Use Only 銀行專用</b>
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**Notes 附註：**

- 1) The bank designated by the customer on this form must be selected from the "List of Designated Banks for CCASS Investor Participants (Hong Kong Dollar "HKD")" issued by HKSCC from time to time. If the bank currently does not provide HKD CHATS payment service to Investor Participants of CCASS, this form would also request the bank to record the customer's authorisation set out in clause 1.c as valid and to act on the authorisation if and when the bank elects to provide the HKD CHATS payment service to the customer.  
客戶在此授權書內指定的銀行，必須是揀選自結算公司不時發出的《中央結算系統投資者戶口持有人之指定銀行名單(港幣)》。若客戶所選擇的銀行現時不提供港幣 CHATS 付款服務給中央結算系統的投資者戶口持有人，此授權書亦同時要求該銀行保留客戶在第 1.c 條款所述的授權，並在該銀行決定為客戶提供港幣 CHATS 付款服務時，依照該授權辦事。
- 2) In general, this bank account must be a Hong Kong Dollar Current Account. Hong Kong Dollar Passbook or Statement Savings Account may be used by the customer only if it is acceptable to the designated bank as specified in the "List of Designated Banks for CCASS Investor Participants (Hong Kong Dollar "HKD")".  
一般來說，此銀行賬戶必須是一個港幣往來戶口。若個別銀行接受，並列明在《中央結算系統投資者戶口持有人之指定銀行名單(港幣)》內，客戶亦可使用港幣普通或簡便儲蓄戶口。
- 3) The Account Name must be agreed with the name of the applicant for opening an Investor Account with HKSCC. For investors wishing to open a Joint Individual Investor Account with HKSCC, the Account Name must be in the names of all joint individuals.  
此賬戶名稱必須與申請於結算公司開設投資者戶口的申請人的姓名相同。投資者欲於結算公司開設聯名投資者戶口，該賬戶名稱必須是所有聯名人士的姓名。
- 4) "Debtor's Reference" is the same as the customer's "Participant ID" in CCASS.  
「付款人備考」與客戶在中央結算系統內的「參與者編號」相同。
- 5) Corporate account holder must affix its company chop, if applicable. If the authorised signatories of the Account have been assigned different signing amount limits, this form must be signed by the signatory/signatories assigned with the maximum amount limit. Joint account holder must sign in accordance with the signing instruction recorded in the bank mandate for joint account.  
公司賬戶持有人必須蓋上公司印鑑，如適用。若該賬戶的獲授權簽署人之簽署權限有不同的金額限制，此授權書必須由被賦予最高金額簽署權的簽署人簽署。聯名賬戶持有人必須按照其銀行聯名賬戶授權書所載的簽署指示來簽署。

List of Designated Banks for CCASS Investor Participants (Hong Kong Dollar “HKD”)  
中央結算系統投資者戶口持有人的指定銀行名單(港幣)

**IMPORTANT NOTES 重要提示:**

- The following banks are approved by Hong Kong Securities Clearing Company Limited (HKSCC) to act as Designated Banks of Investor Participants for CCASS HKD money settlement purposes.  
下列銀行為結算公司批准可為中央結算系統投資者戶口持有人以港幣進行中央結算系統款項交收的指定銀行。
- They all accept HKD Current Account and some of them also accept other types of bank account for CCASS money settlement.  
**Individual Designated Bank may charge their customers for setting up CCASS money settlement arrangement. Investor Participants are advised to contact their designated banks for the details of setup charge.**  
以下所有銀行接受港幣支票戶口，而部份銀行亦接受其他類別的銀行戶口，來進行中央結算系統款項交收。個別指定銀行可能就設立中央結算系統款項交收安排向其客戶收取費用。建議投資者戶口持有人聯絡指定銀行查詢有關設立款項交收安排之費用。
- The Clearing House Automated Transfer System (CHATS) payment service to allow Investor Participants to use the Realtime Delivery versus Payment (RDP) method for CCASS money settlement is only provided by certain banks as indicated below.  
如下表所顯示，只有一部份銀行提供「票據交換所自動轉賬系統」付款服務，讓投資者戶口持有人以「即時貨銀對付」方法進行中央結算系統款項交收。

No. 編號	Bank Name 銀行名稱	Bank No. 銀行編號	Acceptable Types of Bank Account 所接受的銀行戶口類別 (√ = Yes 接受, X = No 不接受)			Provide CHATS Payment Service 提供「票據交換所 自動轉賬系統」付款服務 (√ = Yes 提供, X = No 不提供)
			HK\$ Current A/C 港幣支票戶口	HK\$ Passbook Savings A/C 港幣簿仔儲蓄戶口	HK\$ Statement Savings A/C 港幣結單儲蓄戶口	
1.	BANK OF CHINA (HONG KONG) LTD 中國銀行(香港)有限公司	012	√	√	√	√
2.	BANK OF COMMUNICATIONS CO LTD 交通銀行股份有限公司	027	√	X	X	√
3.	BANK OF COMMUNICATIONS (HONG KONG) LTD 交通銀行(香港)有限公司	382	√	√	√	√
4.	CHINA CITIC BANK INTERNATIONAL LTD 中信銀行(國際)有限公司	018	√	√	√	√
5.	CHINA CONSTRUCTION BANK (ASIA) CORPORATION LTD 中國建設銀行(亞洲)股份有限公司	009	√	√	√	√
6.	CHINA MERCHANTS BANK CO LTD 招商銀行股份有限公司	238	√	X	X	√
7.	CHINA MINSHENG BANKING CORP., LTD. 中國民生銀行股份有限公司	353	√	X	√	√
8.	CHIYU BANKING CORPORATION LTD 集友銀行有限公司	039	√	X	X	X
9.	CHONG HING BANK LTD 創興銀行有限公司	041	√	X	X	√
10.	CMB WING LUNG BANK LTD 招商永隆銀行有限公司	020	√	X	X	√
11.	DAH SING BANK LTD 大新銀行有限公司	040	√	X	X	X
12.	DBS BANK (HONG KONG) LTD 星展銀行(香港)有限公司	016	√	√	X	X
13.	DBS BANK LTD	185	√	X	√	√

P.T.O. 續後頁

List of Designated Banks for CCASS Investor Participants (Hong Kong Dollar “HKD”)  
中央結算系統投資者戶口持有人的指定銀行名單(港幣)

No. 編號	Bank Name 銀行名稱	Bank No. 銀行編號	Acceptable Types of Bank Account 所接受的銀行戶口類別 (√ = Yes 接受 · X = No 不接受)			Provide CHATS Payment Service 提供「票據交換所 自動轉賬系統」付款服務 (√ = Yes 提供 · X = No 不提供)
			HK\$ Current A/C 港幣支票戶口	HK\$ Passbook Savings A/C 港幣簿仔儲蓄戶口	HK\$ Statement Savings A/C 港幣結單儲蓄戶口	
14.	FUBON BANK (HONG KONG) LTD 富邦銀行(香港)有限公司	128	√	X	X	√
15.	HANG SENG BANK LTD 恒生銀行有限公司	024	√	Only applicable to HK\$ Savings A/C of: 1) Bank Smart A/C 2) Bank-in-One A/C 3) Prestige Banking A/C  只適用於以下戶口屬下的港幣儲蓄戶口: 1)「理財名策戶口」 2)「縱橫理財戶口」 3)「優越理財戶口」		X
16.	INDUSTRIAL AND COMMERCIAL BANK OF CHINA (ASIA) LTD 中國工商銀行(亞洲)有限公司	072	√	√	√	√
17.	MALAYAN BANKING BERHAD 馬來亞銀行	063	√	X	X	√
18.	NANYANG COMMERCIAL BANK LTD 南洋商業銀行有限公司	043	√	X	X	X
19.	OCBC BANK (HONG KONG) LTD 華僑銀行(香港)有限公司	035	√	X	√	√
20.	PUBLIC BANK (HONG KONG) LTD 大眾銀行(香港)有限公司	028	√	√	√	√
21.	SHANGHAI COMMERCIAL BANK LTD 上海商業銀行有限公司	025	√	√	√	√
22.	STANDARD CHARTERED BANK (HONG KONG) LTD 渣打銀行(香港)有限公司	003	√	X	X	√
23.	THE BANK OF EAST ASIA LTD 東亞銀行有限公司	015	√	√	√	√
24.	THE HONGKONG AND SHANGHAI BANKING CORPORATION LTD 香港上海滙豐銀行有限公司	004	√	Only applicable to HK\$ Savings A/C of: 1) HSBC Premier 2) HSBC Advance 3) Personal Integrated Account 4) HSBC Business Direct 5) BusinessVantage 6) BusinessVantage Plus  只適用於以下戶口屬下的港幣儲蓄戶口: 1) 滙豐卓越理財 2) 滙豐運籌理財 3) 個人綜合理財戶口 4) 滙豐「理財易」商務戶口 5) 「商業」理財戶口 6) 「商貿理財」戶口		X
25.	UNITED OVERSEAS BANK LTD 大華銀行	071	√	X	X	X



**HONG KONG SECURITIES CLEARING COMPANY LIMITED**  
 香港中央結算有限公司  
**USER PROFILE LIST FOR CORPORATE INVESTOR PARTICIPANT**  
 公司投資者戶口持有人的認可使用者資料

**FOR NEW ADMISSION TO CCASS ONLY**  
 新加入中央結算系統專用

**Date**  
 日期 : \_\_\_\_\_

**To : Customer Service Centre, 1/F, One & Two Exchange Square, 8 Connaught Place, Central, Hong Kong**  
 致 : 客戶服務中心 – 香港中環康樂廣場8號交易廣場1期及2期1樓

<b>Company Name in Full</b> 公司全名 : _____	<b>For Office Use Only</b> 公司專用																								
<p><b>AUTHORISED USER(S) TO ACCESS CCASS (See Notes On Next Page)</b>                  使用中央結算系統之認可使用者〔請參閱下頁註釋〕</p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 15%; text-align: center;">User Name 使用者姓名</th> <th style="width: 15%; text-align: center;">Authorised Usage Group #</th> <th style="width: 15%; text-align: center;">Transaction Limit Amount (HKD) 交易款項限額〔港幣〕</th> </tr> <tr> <th style="text-align: center;">Surname 姓</th> <th style="text-align: center;">Other Name(s) 名</th> <th style="text-align: center;">獲授權使用的 系統功能組別</th> </tr> </thead> <tbody> <tr><td>1. _____</td><td>_____</td><td>_____</td></tr> <tr><td>2. _____</td><td>_____</td><td>_____</td></tr> <tr><td>3. _____</td><td>_____</td><td>_____</td></tr> <tr><td>4. _____</td><td>_____</td><td>_____</td></tr> <tr><td>5. _____</td><td>_____</td><td>_____</td></tr> <tr><td>6. _____</td><td>_____</td><td>_____</td></tr> </tbody> </table> <p># Maker+Checker (XC) group applies to both CCASS Phone System and CCASS Internet System but Maker (XA) and Checker (XB) groups only apply to CCASS Internet System.                  輸入+核對(XC)功能組別可適用於結算通系統及中央結算系統互聯網系統,但輸入(XA)及核對(XB)功能組別祇適用於中央結算系統互聯網系統。</p>	User Name 使用者姓名	Authorised Usage Group #	Transaction Limit Amount (HKD) 交易款項限額〔港幣〕	Surname 姓	Other Name(s) 名	獲授權使用的 系統功能組別	1. _____	_____	_____	2. _____	_____	_____	3. _____	_____	_____	4. _____	_____	_____	5. _____	_____	_____	6. _____	_____	_____	<p>Ref. No. : _____</p> <p>Participant ID : _____</p> <p>Effective Date : _____                  (DD/MM/YY)</p> <p><b><u>User ID</u></b>                      <b><u>Password</u></b></p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>
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2. _____	_____	_____																							
3. _____	_____	_____																							
4. _____	_____	_____																							
5. _____	_____	_____																							
6. _____	_____	_____																							
<b>SIGNED BY THE CORPORATE INVESTOR PARTICIPANT :-</b> 公司投資者戶口持有人簽署 :-	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%;">Signature Verified by</td> <td style="width: 20%;">Date</td> </tr> <tr> <td>Approved by</td> <td>Date</td> </tr> <tr> <td>Prepared by</td> <td>Date</td> </tr> <tr> <td>Checked by</td> <td>Date</td> </tr> <tr> <td>Reviewed by</td> <td>Date</td> </tr> <tr> <td>Updated by</td> <td>Date</td> </tr> </table>	Signature Verified by	Date	Approved by	Date	Prepared by	Date	Checked by	Date	Reviewed by	Date	Updated by	Date												
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Updated by	Date																								
<p><b>Authorised Signature(s) **</b> (with company chop, ONLY applicable if it forms part of your signing instruction)                  獲授權的簽名** (連同公司印鑑, 只適用於該印鑑為貴戶簽署指示的一部分)  <b>** Must be signed by the two directors who have signed the Corporate Investor Account Opening Form and Mandate</b>                  **必須由簽署公司投資者開戶表格及授權書的兩位董事簽署</p>																									

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## Notes to "User Profile List for Corporate Investor Participant" (For new admission to CCASS only)

### 「公司投資者戶口持有人的認可使用者資料」表格註釋 (新加入中央結算系統適用)

- By completing the "User Profile List for Corporate Investor Participant", the applicant instructs and notifies HKSCC of the names of its Authorised Users who are authorised to operate the applicant's stock account in CCASS. The applicant should authorise no more than six Authorised Users to operate its account.

藉填寫「公司投資者戶口持有人的認可使用者資料」表格，申請人指示及通知結算公司其所授權操作申請人在中央結算系統內的股份戶口的認可使用者姓名。申請人可授權不超過六名認可使用者操作其戶口。
- Each of the applicant's Authorised Users will have access to CCASS functions according to his/her designated usage group. The applicant should refer to the list of usage groups overleaf to ensure correct completion. An Authorised User with XC (maker + checker) group can execute a transaction by himself/herself. A Corporate Investor Participant using CCASS Internet System can improve internal control by assigning XA (maker) and XB (checker) groups to different Authorised Users in order to achieve maker-checker control. Please note that XA and XB control are applicable to CCASS Internet System only.

申請人的每一位認可使用者將按所指定的功能組別來操作不同的中央結算系統功能。為確保填寫正確，申請人應參考背頁所列各項功能組別。

獲授權 XC(輸入+核對功能組別)的認可使用者可單獨完成每一宗交易。使用中央結算系統互聯網系統的公司投資者戶口持有人如欲加強內部管制，可授權 XA(輸入功能組別)及 XB(核對功能組別)給不同的認可使用者，藉此實施輸入與核對分工。而 XA 及 XB 的輸入與核對分工只適用於中央結算系統互聯網系統。
- Transaction limit is only applicable to ISI transactions. It is the transaction amount assigned to each of the applicant's Authorised Users to affirm or authorise an ISI transaction.

It should be noted that the transaction limit of an Authorised User with XC group is unlimited, which bears no restriction on the transaction amount. The transaction limit of an Authorised User with XA or XB group is determined by the applicant according to its risk control requirements and operational needs. An Authorised User with XA group (maker) affirms an ISI successfully if it is within the assigned transaction limit. An Authorised User with XB group (checker) authorises, subject to the assigned transaction limit, an ISI that has not been affirmed successfully by the maker.

交易款項限額祇適用於投資者交收指示交易。這是每位認可使用者在確認或認可投資者交收指示交易時的交易限額。

獲授權 XC 功能組別的認可使用者的交易款項限額是無限，即沒有交易金額的限制。獲授權 XA 或 XB 功能組別的認可使用者的交易款項限額則由申請人按公司的風險管制要求及運作需要而決定。獲授權 XA 功能組別的認可使用者(輸入者)可單獨確認在其交易款項限額內的投資者交收指示。獲授權 XB 功能組別的認可使用者(核對者)則按其交易款項限額而批核 XA 功能組別的認可使用者未能成功確認的投資者交收指示。
- The applicant may call Investor Account Service Enquiry Hotline at 2979-7000 if assistance in completing the "User Profile List for Corporate Investor Participant" is required.

如申請人需協助填寫「公司投資者戶口持有人的認可使用者資料」表格，可聯絡投資者戶口查詢熱線，電話為 2979-7000。
- Upon the successful application of the applicant as a Corporate Investor Participant, HKSCC will contact and notify the applicant for collection of the User IDs and initial passwords of its Authorised Users before commencement of its approved access to CCASS functions. The applicant shall be responsible for the security, control and confidentiality of such information.

如申請人獲接納為公司投資者戶口持有人，結算公司將於該申請人開始使用中央結算系統服務前，通知該申請人前來領取使用者編號及首次使用的私人密碼，申請人有責任收受及保密該等資料。
- Subsequent changes or amendments to the user profile must be made on prescribed forms obtainable from Investor Account Service Enquiry Hotline (2979-7000). Completed forms should be submitted to HKSCC at least 3 working days prior to the stipulated effective date.

倘若「公司投資者戶口持有人的認可使用者資料」表格上的資料其後有任何更改，申請人可致電投資者戶口查詢熱線(2979-7000)索取指定申請表格，並須於更改生效日期前最少三個工作日把填妥的表格送交結算公司辦理。
- In addition to operation via phone, an Authorised User can operate the applicant's account via the CCASS Internet System (website: <https://ip.ccass.com> or <http://www.hkex.com.hk>) by means of either (1) an self-assigned Internet User ID or; (2) an organisational e-Cert subscribed from Hong Kong Post Office. The e-Cert should bear the Certificate of Incorporation No. and the e-Cert subscriber's name should match with the record in CCASS.

In addition to the functions listed on the list of usage groups overleaf, Internet User ID Maintenance, e-Cert Maintenance, Notice Board, IP Statement, Investor Account Information Enquiry and Forms Download functions are also available through the internet.

每位認可使用者除可透過電話操作申請人的公司投資者戶口，亦可透過中央結算系統互聯網系統操作戶口(網址：<https://ip.ccass.com> 或 <http://www.hkex.com.hk>)，認可使用者可選擇以 (1) 自設的互聯網使用者編號；或(2)香港郵政署發出的機構類別電子證書在網上作登記，該電子證書應載有該公司的公司註冊證書號碼，而證書登記人姓名必須與中央結算系統的記錄相符。

除背頁功能組別所列各項功能外，互聯網亦提供處理互聯網戶口資料、處理電子證書資料、告示板、投資者戶口結單、投資者戶口資料查詢及表格下載功能。

## LIST OF USAGE GROUPS 功能組別

System Type 系統類別	CCASS Internet System 中央結算系統互聯網系統			CCASS Phone System 結算通系統
	Usage Group 功能組別			Usage Group 功能組別
	XA (Maker) 輸入	XB (Checker) 核對	XC (Maker+Checker) 輸入+核對	XC (Maker+Checker) 輸入+核對
Affirm ISI 確認投資者交收指示	√	×	√	√
Input ISI (Without Affirmation) 輸入投資者交收指示(毋須確認)	√	×	√	√
Authorize ISI 批核投資者交收指示	×	√	×	×
Input ISI (Without Affirmation) Counterparty List 輸入投資者交收指示(毋須確認)交收對手名單	√	×	√	×
Input ISI (With Affirmation) Counterparty List 輸入投資者交收指示(須確認)交收對手名單	√	×	√	×
Cancel ISI Counterparty List 取消投資者交收指示交收對手名單	×	√	√	×
Delete ISI Counterparty List 刪除投資者交收指示交收對手名單	√	×	×	×
Authorize ISI Counterparty List 批核投資者交收指示交收對手名單	×	√	×	×
Input Subscription Instruction 輸入認購指示	√	×	√	√
Cancel Subscription Instruction 取消認購指示	×	√	√	√
Authorize Subscription Instruction 批核認購指示	×	√	×	×
Input Dividend Election Instruction 輸入股息選擇指示	×	×	√	√
Change Dividend Election Instruction 更改股息選擇指示	×	×	√	√
Maintain Dividend Election Instruction 輸入/更改股息選擇指示	√	√	×	×
Input Voting Instruction 輸入投票指示	×	×	√	√
Change Voting Instruction 更改投票指示	×	×	√	√
Maintain Voting Instruction 輸入/更改投票指示	√	√	×	×
Input Tender Instruction 輸入投標指示	√	×	√	√
Cancel Tender Instruction 取消投標指示	×	√	√	√
Delete Tender Instruction 刪除投標指示	√	×	×	×
Authorize Tender Instruction 批核投標指示	×	√	×	×
Submit Electronic Stock Withdrawal Form 遞交「電子提取股份表格」	×	√	√	×
Enquire ISI 查詢投資者交收指示	√	√	√	√
Enquire ISI Counterparty List 查詢投資者交收指示交收對手名單	√	√	√	×
Enquire Subscription Instruction 查詢認購指示	√	√	√	√
Enquire Dividend Election Instruction 查詢股息選擇指示	√	√	√	√
Enquire Voting Instruction 查詢投票指示	√	√	√	√
Enquire Corporate Action Deadline 查詢公司行動截止日期	√	√	√	√
Enquire Stock Balance 查詢股份結餘	√	√	√	√
Enquire ISI Money Obligation 查詢投資者交收指示的款項責任	√	√	√	√
Enquire Tender Announcement 查詢電子認購新股/投標公佈	√	√	√	√
Enquire Tender Instruction Done 查詢已完成的電子認購新股/投標指示	√	√	√	√
Enquire Tender Result 查詢電子認購新股/投標結果	√	√	√	√

'√' means the user has the access right to the function;

'√' 即使用者可操作該功能

'×' means the user does not have the access right.

'×' 即使用者未獲准操作該功能

- In addition to functions listed above, Internet User ID Maintenance, e-Cert Maintenance, Notice Board, IP Statement, Account Information Maintenance and Forms Download functions are also provided by CCASS Internet System.

- 除上述所列各項功能外，中央結算系統互聯網系統亦提供處理互聯網戶口資料、處理電子證書資料、告示板、投資者戶口結單、更改投資者戶口資料及表格下載功能。

Your request will normally be processed by HKSCC in three working days upon receipt of your form.  
結算公司將於收到貴戶的表格後三個工作天內處理貴戶的要求。

To: Hong Kong Securities Clearing Company Limited (“HKSCC”) and 香港中央結算有限公司《結算公司》及  
致 Hong Kong Exchanges and Clearing Limited (“HKEX”) 香港交易及結算所有限公司《香港交易所》

Customer Service Centre  
1/F, One & Two Exchange Square,  
8 Connaught Place, Central, Hong Kong  
香港中環康樂廣場8號交易廣場1期及2期1樓客戶服務中心  
(Enquiry Tel. No. 查詢電話號碼 2979-7888)

From : \_\_\_\_\_  
English Full Name of Investor Participant  
投資者戶口持有人的英文全名  
Participant ID: [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ]  
參與者編號

I/We understand that HKSCC has in place a participant shareholding service (“Participant Shareholding Reports”) for listed issuers whereby information on the shareholding of CCASS Participants in securities listed or traded on The Stock Exchange of Hong Kong Limited will be disclosed upon their written requests. I/We further understand that HKEX has in place a CCASS shareholding search service (“CCASS Shareholding Search”) for members of the public who may, via the designated website at <http://www.hkexnews.hk> or by written submission to HKEX, request for the disclosure of information on the shareholding of CCASS Participants (other than non-consenting Investor Participants) in securities listed or traded on The Stock Exchange of Hong Kong Limited. 本人/吾等明白結算公司已提供一參與者持股紀錄查詢服務《參與者持股紀錄表》予上市公司。中央結算系統參與者於香港聯合交易所上市或買賣股份的持股量會披露予經書面申請的上市公司。本人/吾等亦明白香港交易所推出一中央結算系統持股紀錄查詢服務《中央結算系統持股紀錄查詢服務》予公眾人士，公眾人士可透過專門網站 <http://www.hkexnews.hk> 或向香港交易所提交書面申請要求，以查詢或要求中央結算系統參與者（不願意披露的投資者戶口持有人除外）於香港聯合交易所上市或買賣股份的持股量資料。

Without prejudice to any consent that I/we may have given previously in connection with the Participant Shareholding Reports, I/we hereby expressly give my/our consent to the disclosure, use and making available by HKSCC and HKEX of information relating to or derived from my/our account maintained with HKSCC in my/our capacity as an Investor Participant for the purpose of or in connection with the Participant Shareholding Reports and the CCASS Shareholding Search. I am/We are fully aware that in consenting as aforesaid, information and personal data concerning myself/ourselves (“Information”), including my/our shareholding in securities, name, address and CCASS Participant ID number will or may be made available to the listed issuers and/or the public. 在不損害本人/吾等在之前就參與者持股紀錄報表作出同意的情況下，本人/吾等明確表示同意由結算公司及香港交易所就有關參與者持股紀錄報表及中央結算系統持股紀錄查詢服務以披露、使用及提供本人/吾等以投資者戶口持有人的身份於結算公司戶口的資料。本人/吾等完全明白及同意以上安排是表明本人/吾等的資料及個人資料《資料》，包括本人/吾等的股份的持股量、姓名、地址及中央結算系統參與者編號將會或有機會提供予上市公司及/或公眾人士。

I/We understand that my/our Information will continue to be made available to listed issuers and the public until HKSCC or HKEX has received my/our written notification of revocation of my/our consent. I/We further understand that despite such revocation and the discontinuation of the disclosure or use of my/our Information within a reasonable period after HKSCC or HKEX’s receipt of the notification, those Information that was or could have been disclosed or made available in connection with any of my/our shareholding prior to such discontinuation will remain viewable and accessible by listed issuers and the public. 本人/吾等明白本人/吾等的資料會仍然繼續提供予上市公司及公眾人士直至結算公司或香港交易所收到本人/吾等撤銷資料披露的書面通知。本人/吾等亦同時明白在結算公司或香港交易所收到本人/吾等的就有關撤銷及終止披露或使用本人/吾等的資料的書面通知的一段合理的時間內，上市公司及公眾人士仍可檢視及取得在此之前已披露或提供有關本人/吾等的資料。

**Signed by the Investor Participant 投資者戶口持有人簽署:**

(If you are a Joint Individual Investor Participant, all joint individuals must sign. If you are a Corporate Investor Participant, your authorised signatory(ies) must sign and affix company chop ONLY if it forms part of your signing instruction. 如貴戶為聯名投資者戶口持有人，所有聯名人士必須簽署。若為公司投資者戶口持有人，則必須由貴戶的獲授權簽署人士簽署，而加蓋公司印鑑只適用於該印鑑為貴戶簽署指示的一部分。)

Signature(s) (with company chop, ONLY applicable if it forms part of your signing instruction)

簽名 (連同公司印鑑，只適用於該印鑑為貴戶簽署指示的一部分)

Date Signed 簽署日期: \_\_\_\_\_

For Office Use Only			
Signature Verified By:	Inputted By:	Checked By:	Report Checked By:

IPF20 (Jul 17)

Remark: It is **NOT** necessary to sign and return the form if you do not wish to make your Information available to the registered users of HKSCC’s website, listed issuers and the public. 注意：若閣下不願意提供其資料予結算公司的註冊使用者、上市公司及公眾人士，則**無需**簽署及交回此表格。

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## Privacy Policy Statement

Hong Kong Exchanges and Clearing Limited, and from time to time, its subsidiaries (together the "Group") (and each being "HKEX", "we", "us" or "member of the Group" for the purposes of this Privacy Policy Statement as appropriate) recognise their responsibilities in relation to the collection, holding, processing, use and/or transfer of personal data under the Personal Data (Privacy) Ordinance (Cap. 486) ("PDPO"). Personal data will be collected only for lawful and relevant purposes and all practicable steps will be taken to ensure that personal data held by us is accurate. We will use your personal data which we may from time to time collect in accordance with this Privacy Policy Statement.

We regularly review this Privacy Policy Statement and may from time to time revise it or add specific instructions, policies and terms. Where any changes to this Privacy Policy Statement are material, we will notify you using the contact details you have provided us with and, where required by the PDPO, give you the opportunity to opt out of these changes by means notified to you at that time. Otherwise, in relation to personal data supplied to us through the HKEX website or otherwise, continued use by you of the HKEX website or your continued relationship with us shall be deemed to be your acceptance of and consent to this Privacy Policy Statement, as amended from time to time.

If you have any questions about this Privacy Policy Statement or how we use your personal data, please contact us through one of the communication channels set out in the "Contact Us" section below.

We will take all practicable steps to ensure the security of the personal data and to avoid unauthorised or accidental access, erasure or other use. This includes physical, technical and procedural security methods, where appropriate, to ensure that the personal data may only be accessed by authorised personnel.

Please note that if you do not provide us with your personal data (or relevant personal data relating to persons appointed by you to act on your behalf) we may not be able to provide the information, products or services you have asked for or process your requests, applications, subscriptions or registrations, and may not be able to perform or discharge the Regulatory Functions (defined below).

### Purpose

From time to time we may collect your personal data including but not limited to your name, mailing address, telephone number, email address, date of birth and login name for the following purposes:

1. to process your applications, subscriptions and registration for our products and services;
2. to perform or discharge the functions of HKEX and any company of which HKEX is the recognised exchange controller (as defined in the Securities and Futures Ordinance (Cap. 571)) ("Regulatory Functions");
3. to provide you with our products and services and administer your account in relation to such products and services;
4. to conduct research and statistical analysis;
5. to process your application for employment or engagement within HKEX to assess your suitability as a candidate for such position and to conduct reference checks with your previous employers; and
6. other purposes directly relating to any of the above.

### Direct marketing

Where you have given your consent and have not subsequently opted out, we may also use your name, mailing address, telephone number and email address to send promotional materials to you and conduct direct marketing activities in relation to HKEX financial services and information services, and financial services and information services offered by other members of the Group.

If you do not wish to receive any promotional and direct marketing materials from us or do not wish to receive particular types of promotional and direct marketing materials or do not wish to receive such materials through any particular means of communication, please contact us through one of the communication channels set out in the "Contact Us" section below. To ensure that your request can be processed quickly please provide your full name, email address, log in name and details of the product and/or service you have subscribed.

### Identity Card Number

We may also collect your identity card number and process this as required under applicable law or regulation, as required by any regulator having authority over us and, subject to the PDPO, for the purpose of identifying you where it is reasonable for your identity card number to be used for this purpose.

### Transfers of personal data for direct marketing purposes

Except to the extent you have already opted out we may transfer your name, mailing address, telephone number and email address to other members of the Group for the purpose of enabling those members of the Group to send promotional materials to you and conduct direct marketing activities in relation to their financial services and information services.

### Other transfers of your personal data

For one or more of the purposes specified above, your personal data may be:

1. transferred to other members of the Group and made available to appropriate persons in the Group, in Hong Kong or elsewhere and in this regard you consent to the transfer of your data outside of Hong Kong;
2. supplied to any agent, contractor or third party who provides administrative,

telecommunications, computer, payment, debt collection, data processing or other services to HKEX and/or any of other member of the Group in Hong Kong or elsewhere; and  
3. other parties as notified to you at the time of collection.

### How we use cookies

If you access our information or services through the HKEX website, you should be aware that cookies are used. Cookies are data files stored on your browser. The HKEX website automatically installs and uses cookies on your browser when you access it. Two kinds of cookies are used on the HKEX website:

**Session Cookies:** temporary cookies that only remain in your browser until the time you leave the HKEX website, which are used to obtain and store configuration information and administer the HKEX website, including carrying information from one page to another as you browse the site so as to, for example, avoid you having to re-enter information on each page that you visit. Session cookies are also used to compile anonymous statistics about the use of the HKEX website.

**Persistent Cookies:** cookies that remain in your browser for a longer period of time for the purpose of compiling anonymous statistics about the use of the HKEX website or to track and record user preferences.

The cookies used in connection with the HKEX website do not contain personal data. You may refuse to accept cookies on your browser by modifying the settings in your browser or internet security software. However, if you do so you may not be able to utilise or activate certain functions available on the HKEX website.

### Compliance with laws and regulations

HKEX and other members of the Group may be required to retain, process and/or disclose your personal data in order to comply with applicable laws and regulations or in order to comply with a court order, subpoena or other legal process (whether in Hong Kong or elsewhere), or to comply with a request by a government authority, law enforcement agency or similar body (whether situated in Hong Kong or elsewhere) or to perform or discharge the Regulatory Functions. HKEX and other members of the Group may need to disclose your personal data in order to enforce any agreement with you, protect our rights, property or safety, or the rights, property or safety of our employees, or to perform or discharge the Regulatory Functions.

### Corporate reorganisation

As we continue to develop our business, we may reorganise our group structure, undergo a change of control or business combination. In these circumstances it may be the case that your personal data is transferred to a third party who will continue to operate our business or a similar service under either this Privacy Policy Statement or a different privacy policy statement which will be notified to you. Such a third party may be located, and use of your personal data may be made, outside of Hong Kong in connection with such acquisition or reorganisation.

### Access and correction of personal data

Under the PDPO, you have the right to ascertain whether we hold your personal data, to obtain a copy of the data, and to correct any data that is inaccurate. You may also request us to inform you of the type of personal data held by us. All data access requests shall be made using the form prescribed by the Privacy Commissioner for Personal Data ("**Privacy Commissioner**") which may be found on the official website of the Office of the Privacy Commissioner or via this link <https://www.pcpd.org.hk/english/publications/files/Dforme.pdf>

Requests for access and correction of personal data or for information regarding policies and practices and kinds of data held by us should be addressed in writing and sent by post to us (see the "Contact Us" section below).

A reasonable fee may be charged to offset our administrative and actual costs incurred in complying with your data access requests.

### Termination or cancellation

Should your account or relationship with us be cancelled or terminated at any time, we shall cease processing your personal data as soon as reasonably practicable following such cancellation or termination, provided that we may keep copies of your data as is reasonably required for archival purposes, for use in relation to any actual or potential dispute, for the purpose of compliance with applicable laws and regulations and for the purpose of enforcing any agreement we have with you, for protecting our rights, property or safety, or the rights, property or safety of our employees, and for performing or discharging our functions, obligations and responsibilities.

### General

If there is any inconsistency or conflict between the English and Chinese versions of this Privacy Policy Statement, the English version shall prevail.

### Contact us

By Post:  
Personal Data Privacy Officer  
Hong Kong Exchanges and Clearing Limited  
8/F, Two Exchange Square  
8 Connaught Place  
Central  
Hong Kong

By Email:  
[DataPrivacy@HKEX.COM.HK](mailto:DataPrivacy@HKEX.COM.HK)

## 私隱政策聲明

香港交易及結算所有限公司及其不時附屬公司（統稱「本集團」）（在本私隱政策聲明中，各自稱為「香港交易所」、「我們」或「本集團成員公司」，視適用情況而定）明白《條例》（或「第486章《個人資料（私隱）條例》」（該「條例」）及其在收集、持有、處理、使用及／或轉移個人資料方面所採取的一切措施。實情是，我們不會將個人資料作任何用途，並並無向任何人士披露個人資料。我們根據本私隱政策聲明使用個人資料，是根據本私隱政策聲明所載的個人資料用途，並無向任何人士披露個人資料。

我們定期檢討這項私隱政策聲明，並可能不時加以修訂或加修訂。具體而言，我們會通過閣下提供給我們的聯絡方式通知閣下，也該選擇拒絕接收其他通知。否則，關於通過香港交易所網站或其所繼續維持與我們的關係即被視為同意並接受此項私隱政策聲明（不時修訂）。

如對這項私隱政策聲明或我們如何使用閣下的個人資料有任何疑問，請通過下文「聯繫我們」所載的任何一個通訊渠道與我們聯繫。

我們會採取一切實際可行方法確保個人資料的安全，以及避免他人未經授權而使用、刪除或作其他用途。我們確保只有經授權人員才能取用個人資料。

請注意：如閣下沒有向我們提供個人資料（或有關閣下代理人的個人資料），我們可能無法提供閣下要求的資訊、產品或服務，又或無法處理閣下的要求、申請、訂購或登記，亦可能無法執行或履行監管職能（定義見下文）。

### 目的

我們可能會為了以下目的而不時收集閣下的個人資料（包括但不限於閣下的姓名、郵寄地址、電話號碼、電郵地址、出生日期和登入名稱）：

1. 處理閣下的申請、訂購及登記使用我們的產品及服務；
2. 執行或履行香港交易所以及任何由其作為認可控制人的公司（定義見香港法例第571章《證券及期貨條例》）的職能（「監管職能」）；
3. 向閣下提供我們的產品和服務，以及與此相關的賬戶管理；
4. 進行研究和統計分析；
5. 處理閣下應聘香港交易所職位或工作的申請，以評估閣下是否為適合人選，並向閣下的前僱主進行相關的背景查證；及
6. 與上列任何一項有直接關聯的其他目的。

### 直接營銷

如閣下已經給予同意而後並無撤回，我們也可能會使用閣下的姓名、郵寄地址、電話號碼和電郵地址，用以寄送宣傳資料，就香港交易所以及本集團其他成員公司的金融和資訊服務進行直接營銷活動。

如不希望收到我們的宣傳和直接營銷資料，或不希望收到某類宣傳和直接營銷資料，又或在不希望在某種途徑收到此類材料，請通過下文「聯繫我們」所載的其中一種通訊渠道聯絡我們。為確保我們能迅速處理閣下的要求，請提供閣下的全名、電郵地址、登入名稱及所訂閱產品及／或服務的詳情。

### 身份證號碼

我們也可能會根據適用法律或規例又或任何對我們有管轄權的監管者的要求而收集並處理閣下的身份證號碼，另外亦可能因為需要識別閣下的身份而（在不抵觸該《條例》的前提下）收集並處理閣下的身份證號碼。

### 轉移閣下的個人資料作直接營銷

除非閣下已經拒絕，否則我們可能會將閣下的姓名、郵寄地址、電話號碼和電郵地址轉交本集團其他成員公司，使其可向閣下寄送宣傳資料，就其金融和資訊服務進行直接營銷活動。

### 其他轉移個人資料的情況

- 為了以上一個或多於一個目的，閣下的個人資料可能會被：
1. 轉交予本集團其他成員公司，而使本集團（在香港或其他地方的相關人員獲得閣下的個人資料；就此，閣下同意將閣下的個人資料轉離香港；
  2. 提供予任何向香港交易所及／或本集團在香港或其他地方的其他成員提供行政、電訊、電腦、付款、追收欠款、資料處理或其他服務的代理、承辦商或第三方；及
  3. 轉交予其他人士（收集資料時會通知閣下）。

### 我們如何使用 cookies

閣下通過香港交易所網站查閱我們的資訊或服務時，應當留意到網站有使用 cookies。Cookies 是指儲存在閣下瀏覽器內的資料檔。閣下進入香港交易所網站時，網站即在閣下瀏覽器內自動安裝並使用 cookies。香港交易所網站使用兩種 cookies。

**Session Cookies**：一種只在閣下瀏覽香港交易所網站期間留存於瀏覽器內的短暫性質 cookies，用處在於取得並儲存配置資訊及管理網站，包括「攜帶」資訊以隨閣下瀏覽網站的不同版頁，譬如以免閣下每到一個版頁也要重新輸入資訊。**Session cookies** 也會用來編備關於香港交易所網站使用的匿名統計資料。

**Persistent Cookies**：一種留存於瀏覽器內較長時間的 cookies，用以編備關於香港交易所網站使用的匿名統計資料，或追蹤和記錄使用者的習慣偏好。

香港交易所網站所用的 cookies 不包含個人資料。閣下可以更改瀏覽器或網路安全軟件中的設定，拒絕接受瀏覽器內的 cookies。不過，這樣或會令閣下不能使用或啟動香港交易所網站中的某些功能。

### 法律與法規的遵守

香港交易所及本集團其他成員公司或為了遵守適用法律及法規例，或遵守法院指令、傳票或其他法定程序（無論在香港或其他地方），或遵從政府機關、執法機構或類似機構（無管職能，而必須保留、處理及／或披露閣下的個人資料。香港交易所及本集團其他成員公司或須披露閣下的個人資料，以履行與閣下的協議，或保護我們或我們僱員的權利、財產或安全，又或執行或履行監管職能。

### 公司重組

隨著我們持續發展業務，我們可能會重組集團架構或出現控制權易手或業務合併。在這些情況下，閣下的個人資料或會按這份私隱政策聲明或另一份將會通知閣下的私隱政策聲明而移交繼續經營我們業務或類似服務的第三方。此等第三方或在香港以外的地方，就此等收購或重組而使用閣下個人資料的地點也可能不在香港。

### 查閱及更正個人資料

根據該《條例》，閣下有權查明我們是否持有閣下的個人資料、取得資料的備份及更正任何不準確資料，也可以要求我們通知閣下其持有資料的種類。如欲查閱有關資料，須使用個人資料私隱專員（「私隱專員」）指定的表格（可於私隱專員公署的官方網站下載）或經此連接 [https://www.pcpd.org.hk/english/publications/files/Dform\\_e.pdf](https://www.pcpd.org.hk/english/publications/files/Dform_e.pdf) 提出。

如欲查閱和更正個人資料，或查閱有關政策與常規以及我們所持有資料種類，應以書面及郵遞形式提出要求（見以下「聯繫我們」）。

我們可能會因應閣下查閱資料要求而產生的行政及實際成本而收取合理的費用。

### 終止或取消

任何時候如果閣下在我們的賬戶或與我們的關係被取消或終止，我們會隨即在合理情況下盡快終止處理閣下的個人資料，但也可按合理需要而保留有關資料，合理的需要包括：資料歸檔；解決實際或潛在的爭議；遵守適用法律及規例；履行與閣下的任何協議；保障我們及我們僱員的權利、財產或安全；以及執行或履行我們的職能、義務及責任等。

### 一般資料

本私隱政策聲明中英文本如有差異，概以英文版為準。

### 聯繫我們

郵寄：  
香港中環康樂廣場8號  
交易廣場2期8樓  
香港交易及結算所有限公司  
個人資料隱私主任

電郵：  
[DataPrivacy@HKEX.COM.HK](mailto:DataPrivacy@HKEX.COM.HK)