

(4) Joint Applicant 4 第四聯名申請人

Mr Ms Mrs Miss
先生 女士 太太 小姐

Name in Chinese (if any):
中文姓名(如有) _____

Full 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):

Family Name 姓

Given Names 名

HKID Card No.:

香港身份證號碼 _____ ()

Residential Address in Hong Kong of Joint Applicant 1 in English:

用英文填寫的第一聯名申請人的香港居住地址

_____ HK香港 KLN九龍 NT新界

Correspondence Address in Hong Kong, if different from Residential Address:

用英文填寫的香港通訊地址，如與居住地址不同

_____ HK香港 KLN九龍 NT新界

Mobile No.:

手提電話號碼

Home / Office No.:

住宅 / 公司電話號碼

Fax No.:

圖文傳真號碼

_____-_____/_____-_____

_____-_____

2. 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

E-mail Address (if any):

電郵地址(如有) _____

3. 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

4. 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食品、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。

5. 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，若閣下等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的資料作其他用途的權利。

6. Account Mandate 戶口授權書

A. We, the undersigned, hereby request and authorise HKSCC :-

吾等，即下述所有簽署人，茲要求並授權結算公司：-

(i) To open and maintain a Joint Individual Investor Account (“Account”) in CCASS in our joint names specified in section 1 above.

以吾等在上述第一欄所述的聯合名義在中央結算系統內開立，並繼續開立一個聯名投資者戶口(「投資者戶口」)。

(ii) To do the following as any one of us may instruct :-

按照吾等任何一人的指示：-

- a. to deposit securities into the Account;
將證券存入投資者戶口；
- b. to withdraw securities from the Account;
自投資者戶口中提取證券；
- c. to affirm Investor Settlement Instructions (“ISIs”) for effecting stock transfers to or from the Account;
確認把股份撥入投資者戶口或在投資者戶口撥出股份的「投資者交收指示」；
- d. to give instructions regarding all corporate actions;
就公司行動事宜作出指示；及
- e. to make general enquiries on the account balances and other details of the Account.
查詢賬戶結存及其他有關投資者戶口的詳情。

(iii) To do the following as all of us may instruct :-

按照吾等的共同指示：-

- a. to change the Designated Bank Account for CCASS money settlement;
更改用作中央結算系統款項交收的「指定銀行戶口」；
- b. to change the Account’s information on HKSCC’s record, including correspondence address, daytime contact telephone number and/or fax number;
更改在結算公司記錄內投資者戶口的資料，包括通訊地址、日間聯絡電話號碼及/或圖文傳真號碼；及
- c. to suspend or close the Account.
暫停或取消投資者戶口。

(iv) To hold upon the death of either or any of us (as the case may be), any securities and money balance held in the Account to the order of the survivor or (if more than one) the survivors of us, without prejudice to any rights HKSCC may have in respect thereof, arising out of any lien, mortgage, charge, pledge, set-off, counter-claim or otherwise whatsoever and also subject to compliance with all applicable laws, regulations, or court orders and we agree to indemnify HKSCC in respect of any claim which may be made against HKSCC as a result of HKSCC’s complying with this request and authorisation.

於吾等或吾等的任何一人(按實際情況)死亡時，保留以吾等聯合名義所開立的投資者戶口內的證券及款項結餘，交與生存者或(如在一人以上)其他的生存者，但不損及結算公司行使因此而產生的留置權、抵押權、負擔、典質、抵銷、反訴或任何其他權利，並須符合所有有關的法例、規例或法庭頒令。此外，吾等同意，結算公司如因遵照本要求及授權而引致任何索償要求時，吾等願負賠償責任。

B. We agree that we shall be severally and jointly liable for all duties, liabilities and obligations howsoever incurred with respect to the Account.

吾等同意，在任何情況下，為有關投資者戶口的所有責任、法律責任及義務，負各別及共同連帶賠償責任。

- C. We agree that delivery of securities by HKSCC upon any request for withdrawal of deposited securities may be made to any one of us and such delivery shall be sufficient delivery to all of us. All securities that may be delivered to HKSCC from time to time by any one of us shall be credited to the Account.
吾等同意，因吾等提取證券而導致結算公司需交付證券予吾等的任何一人，有關證券應被視為已交付予吾等所有人。而不時經吾等的任何一人交付予結算公司的證券，則應被視為存入吾等的投資者戶口。
- D. We agree that we shall pay to 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.
吾等須遵循結算公司的《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。

7. Declaration 聲明書

We, the undersigned, hereby :-
吾等，即下述所有簽署人，謹此聲明 :-

- A. Each of us has attained the age of 18, holds a Hong Kong Identity Card and is neither an undischarged bankrupt nor subject to legal incapacity.
吾等各人均年滿18歲，持有香港身份證，且並非為未償清債務的破產者，亦非法律上無行為能力。
- B. The correspondence address for HKSCC to send by post all correspondence and account statements to us as specified in section 1 above is the same address of the Joint Applicant 1 and correspondence and account statements so sent shall be deemed to be received by all of us.
上述第1欄所指定以便結算公司郵寄所有信件及戶口結單的通訊地址，乃第一聯名申請人的地址，結算公司按此地址寄出的信件及戶口結單，將被視為已被吾等所有人收到。
- C. 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，吾等承諾將立即以書面通知結算公司。但在結算公司未接獲該變更通知前，原有資料仍繼續有效。
- D. 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.
吾等明白並同意，吾等遞交此開戶表格及授權書，即表示吾等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。
- E. We undertake that we shall use the 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.
吾等承諾會以吾等作為證券投資者的身份來使用投資者戶口存管吾等實益擁有的股份，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 by All Joint Applicants 所有聯名戶口申請人簽署 (Please sign in the middle of the following box and do not let your signature touch or overlap any lines as it will be used as your specimen signature. 因此簽名會被視為閣下的簽名式樣，請於以下方格的正中央簽署，並切勿讓簽名與方格的任何行線重疊)	
Joint Applicant 1 第一聯名申請人	Joint Applicant 3 第三聯名申請人
Full Name in English 英文姓名 (Please complete in block capitals below 請用正楷在下方填寫)	Full Name in English 英文姓名 (Please complete in block capitals below 請用正楷在下方填寫)
Joint Applicant 2 第二聯名申請人	Joint Applicant 4 第四聯名申請人
Full Name in English 英文姓名 (Please complete in block capitals below 請用正楷在下方填寫)	Full Name in English 英文姓名 (Please complete in block capitals below 請用正楷在下方填寫)
Date of Signing 簽署日期	For Office Use Only 此欄由本公司填寫
	Signatures scanned by & date : Signatures verified by & date:

- 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 – You are 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 – 閣下不能取得稅務編號。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 稅務居民的居留司法管轄區	TIN 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)			

d) Residence Address for Tax Purposes: _____
 稅務用途住址 _____
 (Please include address, city/town and country)
 (填寫時請包括地址，城市與國家)

SIGNATURE, DECLARATIONS AND CONSENT FOR DISCLOSURE 簽署，聲明及同意披露

I acknowledge and agree that the information on this Self-Certification Form is collected and may be kept by HKSCC and HKEX for the purposes of Automatic Exchange of Financial Account Information (“AEOI”), including Section 50B(3) of the Inland Revenue Ordinance (Cap. 112 of the Laws of Hong Kong), and the US Foreign Account Tax Compliance Act (“FATCA”), and such information (including my personal data provided herein (the “Personal Information”)) may be reported by HKSCC or HKEX to (i) 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 I am a resident for tax purposes, and/or (ii) the US Internal Revenue Service (the “IRS”) or otherwise in connection with FATCA.

本人知悉及同意，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自動交換財務帳戶資料《AEOI》(包括香港法例第 112 章《稅務條例》第 50B(3)條)和美國海外帳戶稅收合規法案《FATCA》用途，及可被結算公司或香港交易所把該等資料(包括本人在此提供的個人資料(“個人資料”)) (i)向香港稅務局(“稅務局”)申報，從而把資料轉交到本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”)，和/或(ii)向美國國稅局申報或其它 FATCA 相關的申報。

I hereby expressly give my 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 those relating to or derived from my account maintained with HKSCC in my capacity as an Investor Participant, to the IRD, the Relevant Authorities and/or the IRS from time to time for the purposes of, or in connection with, AEOI, FATCA 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.

本人明確表示同意結算公司及香港交易所因或有關 AEOI、FATCA 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、相關當局和/或美國國稅局披露，使用和提供本表格所載資料(包括個人資料)和/或與本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。

I understand that my Personal Information will continue to be made available to the IRD, the Relevant Authorities and/or the IRS until such time as HKSCC or HKEX has received my written notification of revocation of my consent. I further understand that following withdrawal of my consent any Personal Information that has already been disclosed prior to such withdrawal will remain accessible to the IRD, the Relevant Authorities and/or the IRS to which it was previously disclosed for the purposes of, or in connection with, AEOI, FATCA and/or any other Tax Information Exchange Framework matters.

本人明白本人的個人資料將可能被提供予稅務局、相關當局和/或美國國稅局，直至本人以書面形式通知結算公司或香港交易所撤銷有關同意。本人進一步明白，在撤銷有關同意前已因或有關 AEOI、FATCA 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、相關當局和/或美國國稅局繼續查閱。

I certify that I am the account holder (within the meaning of each of AEOI and FATCA) of the account(s) to which this Self-Certification Form relates. 本人聲明及保證，就與本表格所有相關的帳戶，本人是按 AEOI 和 FATCA 定義下的帳戶持有人。

I agree that I will advise HKSCC and HKEX of any change in circumstances which (i) affects my jurisdiction(s) of residence for tax purposes and/or my US or non-US status or (ii) otherwise causes the information contained on this Self-Certification Form to become incorrect or incomplete, and I will submit a new Self-Certification Form to HKSCC and HKEX within 30 days of such change in circumstances.

本人承諾，如情況有所改變，以致影響本表格的(i)本人作為稅務居民的居留司法管轄區和/或本人的美國或非美國身份，或(ii)引致本表格所載的資料不正確或不完備，本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。

In addition to and notwithstanding the above, by signing this Self-Certification Form below, I consent to the processing of my Personal Information in accordance with HKEX's Privacy Policy Statement as set out at the end of this Self-Certification Form.

除上述之外及儘管有所上述，通過在下方簽署此表格，本人同意讓本人的個人資料依照此表格尾部所載的香港交易所《私隱政策聲明》處理。

I declare that the information given and statements in this Self-Certification Form are, to the best of my knowledge and belief it is true, correct and complete.

本人在此聲明本人已閱讀明白此自我證明表格內所有之內容。同時聲明盡本人所知所信，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 Investor Participant:

投資者戶口持有人簽署：

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Signature of person named on the form 個人簽署	Print Name 姓名	Date (DD-MM-YYYY) 日期 (日日-月月-年年年年)
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Note it is an offence under section 80(2E) of the Inland Revenue Ordinance (Cap. 112 of the Laws 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 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 Self-Certification Form 投資者戶口持有人自我證明表格

(If you are a Joint Individual Investor Participant, each joint individual must submit a separate Self-Certification Form)

(如貴戶為聯名投資者戶口持有人，每位聯名人士必須遞交個別自我證明表格)

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 Investor Participant
投資者戶口持有人的英文全名

Participant ID:
參與者編號

Date of Birth (DD-MM-YYYY): _____
出生日期 (日日-月月-年年年年)

Current Residence Address:
現時住址

Place of Birth: _____
出生地

(Address, city/town and country)
(地址，城市與國家)

Certification of Account Status (For Individual Investor Participant only) 身份認證(只限個人投資者戶口持有人)

- a) I certify that I am a citizen of the United States of America. Yes No
本人聲明及保證本人為美國公民。 是 否
- b) I certify that I am a resident of the United States of America for US federal income tax purposes. Resident of the United States of America includes without limitation any individual who (i) holds a US Permanent Resident Card (a green card) or (ii) meets a US “substantial presence” test under the US federal income tax law. Yes No
本人聲明及保證本人為美國聯邦稅法定義下的美國居民。美國居民包括(i)美國永久居民卡(“綠卡”)持有者或(ii)通過美國聯邦稅法所規定“居住測試”的人士。 是 否

If yes in either a) or b), please provide the US Taxpayer Identification Number (i.e., US Social Security Number):
如您在問題a)到b)任何一處勾選“是”，請在下方提供您的美國納稅人識別號碼(美國社會保險號碼):

				-																
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- c) I certify that I am a resident for tax purposes in the jurisdiction(s) as indicated in the table below and I hereby provide my Taxpayer Identification Number or the functional equivalent thereof (“TIN”) for each jurisdiction indicated.
本人聲明及保證本人為下方列表列出居留司法管轄區之稅務居民並特此提供每個所列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 Administrative Region of the People’s Republic of China (“Hong Kong”) where applicable). The United States of America need not be listed in the table below. If space provided below is insufficient, continue on additional sheet(s).
請提供**所有**閣下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)。美國無需在下方列表列出。如下方空位不夠應用，可另紙填寫。
- If you are 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).
如閣下為香港的稅務居民，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)。
- 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, 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 – You are 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 – 閣下不能取得稅務編號。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 稅務居民的居留司法管轄區	TIN 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)			

d) Residence Address for Tax Purposes: _____
 稅務用途住址 _____
 (Please include address, city/town and country)
 (填寫時請包括地址，城市與國家)

SIGNATURE, DECLARATIONS AND CONSENT FOR DISCLOSURE 簽署，聲明及同意披露

I acknowledge and agree that the information on this Self-Certification Form is collected and may be kept by HKSCC and HKEX for the purposes of Automatic Exchange of Financial Account Information (“AEOI”), including Section 50B(3) of the Inland Revenue Ordinance (Cap. 112 of the Laws of Hong Kong), and the US Foreign Account Tax Compliance Act (“FATCA”), and such information (including my personal data provided herein (the “Personal Information”)) may be reported by HKSCC or HKEX to (i) 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 I am a resident for tax purposes, and/or (ii) the US Internal Revenue Service (the “IRS”) or otherwise in connection with FATCA.

本人知悉及同意，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自動交換財務帳戶資料《AEOI》(包括香港法例第 112 章《稅務條例》第 50B(3)條)和美國海外帳戶稅收合規法案《FATCA》用途，及可被結算公司或香港交易所把該等資料(包括本人在此提供的個人資料(“個人資料”)) (i)向香港稅務局(“稅務局”)申報，從而把資料轉交到本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”)，和/或(ii)向美國國稅局申報或其它 FATCA 相關的申報。

I hereby expressly give my 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 those relating to or derived from my account maintained with HKSCC in my capacity as an Investor Participant, to the IRD, the Relevant Authorities and/or the IRS from time to time for the purposes of, or in connection with, AEOI, FATCA 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.

本人明確表示同意結算公司及香港交易所因或有關 AEOI、FATCA 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、相關當局和/或美國國稅局披露，使用和提供本表格所載資料(包括個人資料)和/或與本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。

I understand that my Personal Information will continue to be made available to the IRD, the Relevant Authorities and/or the IRS until such time as HKSCC or HKEX has received my written notification of revocation of my consent. I further understand that following withdrawal of my consent any Personal Information that has already been disclosed prior to such withdrawal will remain accessible to the IRD, the Relevant Authorities and/or the IRS to which it was previously disclosed for the purposes of, or in connection with, AEOI, FATCA and/or any other Tax Information Exchange Framework matters.

本人明白本人的個人資料將可能被提供予稅務局、相關當局和/或美國國稅局，直至本人以書面形式通知結算公司或香港交易所撤銷有關同意。本人進一步明白，在撤銷有關同意前已因或有關 AEOI、FATCA 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、相關當局和/或美國國稅局繼續查閱。

I certify that I am the account holder (within the meaning of each of AEOI and FATCA) of the account(s) to which this Self-Certification Form relates. 本人聲明及保證，就與本表格所有相關的帳戶，本人是按 AEOI 和 FATCA 定義下的帳戶持有人。

I agree that I will advise HKSCC and HKEX of any change in circumstances which (i) affects my jurisdiction(s) of residence for tax purposes and/or my US or non-US status or (ii) otherwise causes the information contained on this Self-Certification Form to become incorrect or incomplete, and I will submit a new Self-Certification Form to HKSCC and HKEX within 30 days of such change in circumstances.

本人承諾，如情況有所改變，以致影響本表格的(i)本人作為稅務居民的居留司法管轄區和/或本人的美國或非美國身份，或(ii)引致本表格所載的資料不正確或不完備，本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。

In addition to and notwithstanding the above, by signing this Self-Certification Form below, I consent to the processing of my Personal Information in accordance with HKEX's Privacy Policy Statement as set out at the end of this Self-Certification Form.

除上述之外及儘管有所上述，通過在下方簽署此表格，本人同意讓本人的個人資料依照此表格尾部所載的香港交易所《私隱政策聲明》處理。

I declare that the information given and statements in this Self-Certification Form are, to the best of my knowledge and belief it is true, correct and complete.

本人在此聲明本人已閱讀明白此自我證明表格內所有之內容。同時聲明盡本人所知所信，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 Investor Participant:

投資者戶口持有人簽署：

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Signature of person named on the form 個人簽署	Print Name 姓名	Date (DD-MM-YYYY) 日期 (日日-月月-年年年年)
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Note it is an offence under section 80(2E) of the Inland Revenue Ordinance (Cap. 112 of the Laws 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 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。

Name of party to be credited 收款人	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

Bank Account Details by Customer (Please complete all items, except for the Debtor's Reference, in English block letters) 由客戶填寫的銀行賬戶資料 (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	Date 日期:		
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)			

For Bank Use Only 銀行專用

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

Effective from 21 July 2023

生效日期：二〇二三年七月廿一日

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

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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Checklist for Opening a Joint Individual Investor Account in CCASS
申請於中央結算系統內開立「聯名投資者戶口」清單

1 CHECK if you have
閣下等是否已

- completed, signed and dated the Joint Individual Investor Account Opening Form
填妥聯名投資者開戶表格，簽署及寫上日期
- completed, signed and dated the Investor Participant Self-Certification Form of each individual comprising the joint account
填妥組成聯名戶口的每位人士的投資者戶口持有人聲明書，簽署及寫上日期
- completed the “Investor Participant Debit Authorisations and Authorisation to Disclose Information Form” and sign in the same manner as your bank record
填妥投資者戶口持有人扣賬授權及資料申報授權書，並按銀行紀錄簽署
- attached photocopy of each of the following documents
隨附下列文件的影印本
 - latest bank statement (or cheque) or relevant page of passbook showing the account name and number of the Hong Kong dollar account as specified in the above debit authorisation form
註明閣下等在上述扣賬授權書內填寫的港幣戶口的賬戶名稱及編號的銀行結單〔或支票〕或存摺內頁
 - front and back page of the Hong Kong Identity Card of each individual comprising the joint account
組成聯名戶口的每位人士的香港居民身份證正/背面
 - residential address proof such as government/utility bill, management office invoice or bank statement showing the name and residential address of the account holders which issued within three calendar months from the date of application is submitted.
註明閣下等姓名及居住地址的證明文件，如政府/公用設施單據、管理費單或銀行結單；該等證明文件必須在遞交開戶表格當日前的三個月內發出。

2 SUBMIT your application in person or by mail to:
親身遞交或郵寄申請致

HKSCC Customer Service Centre
Address: 1/F, One & Two Exchange Square, 8 Connaught Place, Central, Hong Kong
Operating Hours: Monday to Friday 9:00 am to 6:00 pm
結算公司客戶服務中心
地址：香港中環康樂廣場八號交易廣場一座及二座一樓
服務時間：星期一至五 上午九時至下午六時

3 CALL CCASS Investor Service Enquiry Hotline 2979 7000 for enquiry
如有任何查詢，請聯絡投資者服務查詢熱線2979 7000。

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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

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」、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，並確保個人資料的處理符合法律及／或相關資料準則。我們不時所收集閣下的個人資料，均會根據本私隱政策聲明使用。我們不時所收集閣下的個人資料，均會根據本私隱政策聲明使用。我們不時所收集閣下的個人資料，均會根據本私隱政策聲明使用。我們不時所收集閣下的個人資料，均會根據本私隱政策聲明使用。

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。具體而言，我們可能會不時增加任何重要修訂，包括：(i) 更新我們的聯絡方式，以便我們能更有效地與閣下溝通；(ii) 更新我們的個人資料處理程序，以確保我們能更有效地處理閣下的個人資料；(iii) 更新我們的個人資料處理程序，以確保我們能更有效地處理閣下的個人資料；(iv) 更新我們的個人資料處理程序，以確保我們能更有效地處理閣下的個人資料。我們可能會不時增加任何重要修訂，包括：(i) 更新我們的聯絡方式，以便我們能更有效地與閣下溝通；(ii) 更新我們的個人資料處理程序，以確保我們能更有效地處理閣下的個人資料；(iii) 更新我們的個人資料處理程序，以確保我們能更有效地處理閣下的個人資料；(iv) 更新我們的個人資料處理程序，以確保我們能更有效地處理閣下的個人資料。

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。

我們會採取一切合理措施，以確保閣下的個人資料的安全，以及防止個人資料被洩露、遺失、損壞或作其他用途。我們只會將個人資料用於本私隱政策聲明所述的用途，並確保只有獲授權的人員才能存取閣下的個人資料。我們只會將個人資料用於本私隱政策聲明所述的用途，並確保只有獲授權的人員才能存取閣下的個人資料。

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其後並無撤回，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《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（無管其位於香港或其他地方）提出的要求，又或執行或履行監管職能，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 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

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