

# PERSONAL/JOINT ACCOUNT APPLICATION

## 個人/聯名賬戶開戶申請書

**Blackwell Global Securities Limited**  
**Blackwell Global Futures Limited**  
**Blackwell Global Asset Management Limited**

博威環球證券有限公司  
 博威環球期貨有限公司  
 博威環球資產管理有限公司

**CE No.: BGX460**  
**CE No.: BGX296**  
**CE No.: BJU094**

### Client Choice of Account Type 客戶選擇之賬戶類別

Personal Account 個人戶口    
  Joint Account 聯名戶口    
  Securities Account 證券戶口    
  Futures Account 期貨戶口    
  Asset Management Account 資產管理戶口

### Please choose the means of communication and statement delivery 請選擇通訊及結單寄送方法:

By Email 電郵  
 By Post (Monthly fee: HK\$120) 郵寄 (月費: 港幣\$120)

### Please choose the language of communication 請選擇通訊語言:

Traditional Chinese 繁體中文  
 English 英文

### To comply with anti-money laundering regulations, you are required to submit the following documents:

為遵守國際反洗錢條例, 申請開戶需遞交以下證明文件:

All copies must be certified true by a licensed representative of our company, public notary, practicing lawyer, practicing accountant, company secretary, company director or Justice of the Peace.

所有影印本須經本公司持牌代表、公證人、執業律師、執業會計師、公司秘書、公司董事或太平紳士認證。

No. 號碼	Document 所需文件	Individual / Primary Joint Account Holder Collected: 個人/聯名賬戶主要持有人已收:	Secondary Joint Account Holder Collected: 聯名賬戶第二持有人已收:
1	<b>PROOF OF IDENTITY 身份證明</b> <b>Certified true copy of your valid passport or ID</b> 有效期內護照或身份證認證影印本 • The copy must be fully legible 影印本須清晰可讀 • The copy must carry a clear and identifiable photograph 影印本須附有清晰、可識別照片 • The holder of the proof of identity must sign on the copy 身份證明持有人須在影印本簽署		
2	<b>PROOF OF RESIDENCE 地址證明</b> <b>Original or certified true copy of your bank statement / utility bill</b> 銀行月結單或公用事業賬單原件或影印本 • The copy must be issued in your name 影印本須以申請人的名義發出 • The copy must contain your residential address 影印本須包含您的住址 • The copy must be issued within the last 3 months 影印本須於遞交開戶申請表當日前的三個月內發出		
3	<b>BANK STATEMENT / PASSBOOK 銀行月結單/存摺</b> • The copy must show the name of the client and bank account number, this bank account will be the settlement account for transferring your money 影印本必需顯示客戶名稱及銀行賬戶號碼, 此銀行賬戶將作為交收賬戶以供存入閣下之款項		
4	<b>W-8BEN FORM W-8BEN 表格</b>		
5	<b>CRS-INDIVIDUAL FORM CRS-個人表格</b>		
6	<b>RISK PROFILING QUESTIONNAIRE 風險取向問卷</b>		

### For Official Use Only 供本公司使用

<b>Account Opening Date</b> 開戶日期	<b>Name of Client</b> 客戶名稱
<b>Securities Account Number</b> 證券戶口號碼	<b>Futures Account Number</b> 期貨戶口號碼
<b>Asset Management Account Number</b> 資產管理戶口號碼	
<b>Name of Staff / AE</b> 職員/經紀姓名	<b>CE No. of Staff/ AE</b> 職員/經紀中央編號

## 1. ACCOUNT HOLDER 賬戶持有人

Please fill in your information clearly and as accurately as possible in BLOCK CAPITALS. 請準確如實並以正楷大寫填寫您的資訊。

### 1.1 PERSONAL INFORMATION 個人資料

Salutation 稱謂  Mr 先生  Mrs 太太  Ms 小姐  Mdm 女士  Dr 博士

Full Name (Chinese) 全名(中文)

Full Name (English) 全名(英文)

Date of Birth (YY/MM/DD) 出生日期(年/月/日)

Nationality 國籍

HKID/Passport No. 香港身份證/護照號碼

Marital Status 婚姻狀況  Single 單身  Married 已婚(有配偶)  Divorced 離婚  Widowed 喪偶

Number of Dependents 需撫養人數

### 1.2 CONTACT INFORMATION 聯絡資料

Telephone (Home) 住所電話

Telephone (Mobile) 手提電話

Home Address 住所地址

Correspondence Address (if different from above) 通訊地址(若與上述不同)

Telephone (Office) 公司電話

Fax (Office) 公司傳真

Email Address 電郵地址

### 1.3 EMPLOYMENT INFORMATION 就業資料

Employment Status 就業情況  Employee 僱員  Self-employed 自僱人員  Unemployed 待業中  Housewife 家庭主婦  Retired 退休人員  Student 學生  
 Others, please specify 其他, 請註明

Employer or Company Name 僱主或公司名稱

Nature of Business 業務性質

Employer or Company Address 僱主或公司地址

Job Title / Post 職位及職銜

Years of Service 任職年期

### 1.4 OWNERSHIP OF RESIDENCE 住宅業權

Owned 自置  Mortgaged 按揭  Rented 租用  Living with Family 與家人同住  Others 其他

## 2. JOINT ACCOUNT HOLDER 聯名賬戶持有人

Please fill in your information clearly and as accurately as possible in BLOCK CAPITALS. 請準確如實並以正楷大寫填寫您的資訊。

### 2.1 PERSONAL INFORMATION 個人資料

Salutation 稱謂	<input type="checkbox"/> Mr 先生	<input type="checkbox"/> Mrs 太太	<input type="checkbox"/> Ms 小姐	<input type="checkbox"/> Mdm 女士	<input type="checkbox"/> Dr 博士
Full Name (Chinese) 全名(中文)	<input type="text"/>				
Full Name (English) 全名(英文)	<input type="text"/>				
Date of Birth (YY/MM/DD) 出生日期(年/月/日)	<input type="text"/>		Nationality 國籍	<input type="text"/>	
HKID/Passport No. 香港身份證/護照號碼	<input type="text"/>				
Marital Status 婚姻狀況	<input type="checkbox"/> Single 單身	<input type="checkbox"/> Married 已婚(有配偶)	<input type="checkbox"/> Divorced 離婚	<input type="checkbox"/> Widowed 喪偶	
Number of Dependents 需撫養人數	<input type="text"/>				

### 2.2 CONTACT INFORMATION 聯絡資料

Telephone (Home) 住所電話	<input type="text"/>	Telephone (Mobile) 手提電話	<input type="text"/>
Home Address 住所地址	<input type="text"/>		
Correspondence Address (if different from above) 通訊地址(若與上述不同)	<input type="text"/>		
Telephone (Office) 公司電話	<input type="text"/>	Fax (Office) 公司傳真	<input type="text"/>
Email Address 電郵地址	<input type="text"/>		

### 2.3 EMPLOYMENT INFORMATION 就業資料

Employment Status 就業情況	<input type="checkbox"/> Employee 僱員	<input type="checkbox"/> Self-employed 自僱人員	<input type="checkbox"/> Unemployed 待業中	<input type="checkbox"/> Housewife 家庭主婦	<input type="checkbox"/> Retired 退休人員	<input type="checkbox"/> Student 學生
	<input type="checkbox"/> Other (Please elaborate) 其他, 請註明		<input type="text"/>			
Employer or Company Name 僱主或公司名稱	<input type="text"/>		Nature of Business 業務性質	<input type="text"/>		
Employer or Company Address 僱主或公司地址	<input type="text"/>					
Job Title / Post 職位及職銜	<input type="text"/>		Years of Service 任職年期	<input type="text"/>		

### 2.4 OWNERSHIP OF RESIDENCE 住宅業權

<input type="checkbox"/> Owned 自置	<input type="checkbox"/> Mortgaged 按揭	<input type="checkbox"/> Rented 租用	<input type="checkbox"/> Living with Family 與家人同住	<input type="checkbox"/> Others 其他
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### 3. IDENTITY DECLARATION 身份聲明

#### Individual / Primary Joint Account Holder 個人/聯名賬戶主要持有人

1. Are you an employee or agent of an entity regulated by HKSFC or HKMA? (If yes, please provide your employer's consent letter.)

閣下是否任何受香港證監會或香港金管局監管的機構的員工或代理？(如是，請提供僱主的書面同意書。)

No 否  Yes, the name of employer is: 是，僱主的名稱是：

2. Do you or your spouse have relationship with any director or employee in Blackwell Global Securities Limited / Blackwell Global Futures Limited / Blackwell Global Asset Management Limited or the group in which it is a member?

閣下或閣下的配偶是否與博威環球證券有限公司/博威環球期貨有限公司/博威環球資產管理有限公司或其所屬集團的董事或員工有親屬關係？

No 否  Yes, the relationship and the name of the relative is: 是，關係及親屬的姓名：

3. Are you a "connected client" (as defined under Appendix 6 to the Rules Governing the Listing of Securities of the Stock Exchange of Hong Kong Limited) of Blackwell Global Securities Limited / Blackwell Global Futures Limited / Blackwell Global Asset Management Limited or the group in which it is a member?

閣下是否為博威環球證券有限公司/博威環球期貨有限公司/博威環球資產管理有限公司或其所屬集團的「關連客戶」(按香港聯合交易所有限公司上市規則附件六的定義)？

No 否  Yes, details: 是，詳情：

#### Secondary Joint Account Holder 聯名賬戶第二持有人

1. Are you an employee or agent of an entity regulated by HKSFC or HKMA? (If yes, please provide your employer's consent letter.)

閣下是否任何受香港證監會或香港金管局監管的機構的員工或代理？(如是，請提供僱主的書面同意書。)

No 否  Yes, the name of employer is: 是，僱主的名稱是：

2. Do you or your spouse have relationship with any director or employee in Blackwell Global Securities Limited / Blackwell Global Futures Limited / Blackwell Global Asset Management Limited or the group in which it is a member?

閣下或閣下的配偶是否與博威環球證券有限公司/博威環球期貨有限公司/博威環球資產管理有限公司或其所屬集團的董事或員工有親屬關係？

No 否  Yes, the relationship and the name of the relative is: 是，關係及親屬的姓名：

3. Are you a "connected client" (as defined under Appendix 6 to the Rules Governing the Listing of Securities of the Stock Exchange of Hong Kong Limited) of Blackwell Global Securities Limited / Blackwell Global Futures Limited / Blackwell Global Asset Management Limited or the group in which it is a member?

閣下是否為博威環球證券有限公司/博威環球期貨有限公司/博威環球資產管理有限公司或其所屬集團的「關連客戶」(按香港聯合交易所有限公司上市規則附件六的定義)？

No 否  Yes, details: 是，詳情

#### Section 4 –11 below are filled in by Individual / Primary Joint Account Holder

以下 4 –11 部份只須由個人/聯名賬戶主要持有人填寫

### 4. ULTIMATE BENEFICIAL OWNER OF THE ACCOUNT 賬戶最終受益人

Is the client the person ultimately benefits from and/or bears the risks of any transactions under this account?

客戶是否此賬戶所有交易的最終受益及/或承擔風險人士？

Yes 是  No. Please provide the following information of the ultimately beneficial owner with supporting documents. 否。請提供下列最終受益人資料連證明文件。

Name 姓名	<input type="text"/>	HKID/Passport No. 香港身份證/護照號碼	<input type="text"/>
Nationality 國籍	<input type="text"/>	Address 地址	<input type="text"/>
Telephone 電話	<input type="text"/>	Relationship with the client 與客戶的關係	<input type="text"/>

Reason for this arrangement (if any)  
作出此安排的原因 (如有)

## 5. BANK ACCOUNT INFORMATION 銀行賬戶資訊

Unless our company receive further instruction from you, all monies payable to you will be credited to the following bank account:  
除非本公司收到閣下其他指示，否則任何支付予閣下的款項將會存入下列銀行賬戶：

Bank Name 銀行名稱			
Bank Address 銀行地址			
Bank Account Holder's Name 銀行賬戶持有人姓名		Bank Account No. 銀行賬戶號碼	
SWIFT Code / ABA / IBAN 國際匯款代碼			

## 6. NATURE OF TRADING ACCOUNT 交易賬戶的性質

<input type="checkbox"/> Hedging 對沖	<input type="checkbox"/> Speculative 投機	<input type="checkbox"/> Arbitrage 套利	<input type="checkbox"/> Other (Please elaborate) 其他，請詳細說明	
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## 7. FINANCIAL DETAILS 財務資訊

Approximate Annual Income or Profits (in HKD) 約略年收入或紅利 (以港元計)

<input type="checkbox"/> Less than \$100,000 \$100,000 港元以下	<input type="checkbox"/> \$100,001 to \$300,000 \$100,001 港元至 \$300,000 港元	<input type="checkbox"/> \$300,001 to \$500,000 \$300,001 港元至 \$500,000 港元
<input type="checkbox"/> \$500,001 to \$700,000 \$500,001 港元至 \$700,000 港元	<input type="checkbox"/> \$700,001 to \$1,000,000 \$700,001 港元至 \$1,000,000 港元	<input type="checkbox"/> Above \$1,000,000 \$1,000,000 港元以上

Approximate Net Worth of Your Financial Instrument Portfolio (in HKD) 約略金融工具組合淨值 (以港元計)

<input type="checkbox"/> Less than \$100,000 \$100,000 港元以下	<input type="checkbox"/> \$100,001 to \$300,000 \$100,001 港元至 \$300,000 港元	<input type="checkbox"/> \$300,001 to \$500,000 \$300,001 港元至 \$500,000 港元
<input type="checkbox"/> \$500,001 to \$700,000 \$500,001 港元至 \$700,000 港元	<input type="checkbox"/> \$700,001 to \$1,000,000 \$700,001 港元至 \$1,000,000 港元	<input type="checkbox"/> Above \$1,000,000 \$1,000,000 港元以上

## 8. TRADING EXPERIENCE 交易經驗

To help us assess your trading knowledge and experience, please tick the appropriate boxes.

為協助我們評估您的交易知識及經驗，請在適用的空格加上剔號。

	No experience 無經驗	Less than 1 year of experience 1年以下經驗	1 to 3 years of experience 1-3年經驗	More than 3 year of experience 3年以上經驗
<b>FOREX</b> 外匯	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Fund</b> 基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Shares</b> 股票	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Futures / Options</b> 期貨 / 期權	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Bonds</b> 債券	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

If you have experience trading any of the products above, please answer the following questions:

若您對上述任何商品有交易經驗，請回答以下問題：

What is the approximate number of trades performed per quarter? / 您每季度交易次數約略多少?

<input type="checkbox"/> Less than 10 10次以下	<input type="checkbox"/> 11 to 30 11至30次	<input type="checkbox"/> 31 to 45 31至45次	<input type="checkbox"/> 46 to 60 46至60次	<input type="checkbox"/> Above 60 60次以上
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What is the approximate size of each trade performed (in HKD) ? / 您每筆交易量約略多少 (以港元計) ?

<input type="checkbox"/> Less than \$100,000 \$100,000 港元以下	<input type="checkbox"/> \$100,001 to \$300,000 \$100,001 港元至 \$300,000 港元	<input type="checkbox"/> \$300,001 to \$500,000 \$300,001 港元至 \$500,000 港元
<input type="checkbox"/> \$500,001 to \$700,000 \$500,001 港元至 \$700,000 港元	<input type="checkbox"/> \$700,001 to \$1,000,000 \$700,001 港元至 \$1,000,000 港元	<input type="checkbox"/> Above \$1,000,000 \$1,000,000 港元以上

## 9. ANTI-MONEY LAUNDERING AND ANTI-TERRORIST FINANCING QUESTIONNAIRE 防止洗黑錢及防止恐怖份子籌資活動問卷

Are you a citizen of a place which is a member of the Financial Action Task Force ("FATF")?

(Members of FATF include: Argentina, Australia, Austria, Belgium, Brazil, Canada, China, Denmark, Finland, France, Germany, Greece, Hong Kong, Iceland, India, Ireland, Italy, Japan, South Korea, Luxembourg, Malaysia, Mexico, Netherlands, New Zealand, Norway, Portugal, Russian Federation, Singapore, South Africa, Spain, Sweden, Switzerland, Turkey, United Kingdom, USA, European Commission, and the Gulf Cooperation Council)

閣下是否財務行動特別組織的成員的公民？

(財務行動特別組織成員包括：阿根廷、澳洲、奧地利、比利時、巴西、加拿大、中國、丹麥、芬蘭、法國、德國、希臘、香港、冰島、印度、愛爾蘭、意大利、日本、南韓、盧森堡、馬來西亞、墨西哥、荷蘭、紐西蘭、挪威、葡萄牙、俄羅斯聯邦、新加坡、南非、西班牙、瑞典、瑞士、土耳其、英國、美國、歐洲委員會及海灣合作理事會)

Updated List for the Members of FATF 最新財務行動特別組織成員 - <http://www.fatf-gafi.org/countries/#FATF>

Yes 是  No 否 If no, please elaborate 若否，請詳述:

Do you live in a place with established laws / regulations designed to prevent money laundering?

閣下是否居住在一個已有現行法律或條例立以制止洗黑錢的活動的地方？

Yes 是  No 否 If no, please elaborate 若否，請詳述:

Are you free from links with politically exposed persons?

(Politically exposed person – individual who is or has been entrusted with prominent public function, e.g. head of state/government, senior politician, senior executive of government-owned corporation, important political party official, etc))

閣下與政界人士並沒有聯繫？

(政界人士：指目前或以往曾經擔任重要公職的人士，如國家或政府的首長、資深政客、政府屬下企業高級官員和重要政黨官員等)

Yes 是  No 否 If no, please elaborate 若否，請詳述:

Is the nature of your job not particularly susceptible to money laundering risk?

(For example: not money changer or casino business that handles large amount of cash etc.)

閣下的工作性質並不是特別容易受洗黑錢的風險？(舉例：不是會接觸大量現金往來的找換業或博彩業等)

Yes 是  No 否 If no, please elaborate 若否，請詳述:

Have you maintained a "no conviction record" for anti-money laundering or anti-terrorist financing legislation?

閣下是否就反洗黑錢條例或反恐怖份子籌資活動條例維持著“無罪紀錄”？

Yes 是  No 否 If no, please elaborate 若否，請詳述:

Client Signature 客戶簽署:

 SIGN HERE 此處簽名

Staff / AE certify  
職員/經紀核證

**For the client who works in a company with business involving the handling of third party assets (e.g. fund manager, stockbrokers), please answer the following questions**

如閣下工作的公司業務涉及處理第三者的資產（如基金經理，股票經紀），請回答以下的問題。

Has the company you work for (including foreign branches and subsidiaries, if any) established written policies and implemented internal procedures and controls to combat money laundering?

閣下工作的公司（包括外國的分行及子公司）是否已制訂書面政策，並執行內部程序和管理，以打擊洗黑錢的行動？

Yes 是  No 否 If no, please elaborate 若否，請詳述:

In the company you work for, are there documented procedures for reporting suspicious activities and transactions to the appropriate authorities?

閣下工作的公司就舉報可疑的活動和交易是否已確立程序向適當的監控組織報告？

Yes 是  No 否 If no, please elaborate 若否，請詳述:

In the company you work for, are there established policies and procedures to ensure that reasonable measures are taken to obtain information about the true identity of your customers, and are these records retained for a specified period of time?

閣下工作的公司是否已制訂政策與程序，確保已採用合理方法去取得客戶真正身份的資料，並將有關資料於指定時間內予以保留？

Yes 是  No 否 If no, please elaborate 若否，請詳述:

Client Signature 客戶簽署:

 SIGN HERE 此處簽名

Staff / AE certify  
職員/經紀核證

## 10. REFERRER (If applicable) 推薦人 (若適用)

Name of Referrer  
推薦人姓名

## 11. ACKNOWLEDGEMENT 條款確認聲明

I/We hereby declare that the information given in this form is true and correct and that I/we have not wilfully withheld any material fact(s). I/We request you to open a Securities Account / Futures Account / Asset Management Account (the "Account") and agree to all the terms of the Securities Client Agreement / Futures Client Agreement / Supplemental Agreement for Futures Trading / Client-Based Delta Position Limits Imposed by HKFE Rule 632A / Asset Management Client Agreement ("this Agreement") and get a copy of the relevant Agreement at the same time and to abide by this Agreement, the rules and regulations of The Stock Exchange of Hong Kong Limited, Hong Kong Futures Exchange Limited, Hong Kong Securities Clearing Company Limited, HKFE Clearing Corporation Limited or any other regulatory body(ies) as amended from time to time governing the transactions in the Account. I/We hereby authorize you to verify and exchange the information contained in this application form and such other information relating to my/our personal particulars between yourselves and such other third parties as you may deem appropriate for the purpose of approving my/our application and for such other purposes as long as I am/we are your client.

本人/吾等謹此聲明表格上提供之所有資料均為真實正確，本人/吾等並不刻意隱瞞任何重要事實。本人/吾等向貴公司申請開立證券賬戶 / 期貨賬戶 / 資產管理賬戶（“該賬戶”）和同意證券客戶協議書 / 期貨客戶協議書 / 期貨交易補充協議 / 香港期交所規則第 632A 條實施後之客戶持倉限額 / 資產管理客戶協議書（“本協議”）的所有條款並同時取得有關協議書副本，並同意遵守本協議及香港聯合交易所有限公司、香港期貨交易所有限公司、香港中央結算有限公司、香港期貨結算有限公司及其他監管機構不時修定以規管於該賬戶進行的交易之條例及規則。本人/吾等謹此授權貴公司及向合適第三者查證及交換此表格上之資料和其他關於本人/吾等之資料，以作核實開戶申請及其他用途（如本人/吾等仍為貴公司的客戶）。

### Risk Disclosure Statement 風險披露聲明

I / We hereby acknowledge and confirm that this Agreement, including but not limited to the Account Application Form, the Terms and Conditions of this Agreement, Personal Information Collection Statement, Online Trading Agreement and the Risk Disclosure Statement was provided to me/us in a language of my/our choice (English or Chinese), and I/we have been invited to read the Risk Disclosure Statement carefully, ask questions and seek independent advice if I/we so wish. I/We also confirm that I/we have retained a copy of this Agreement for my/our reference.

本人/吾等謹此承認並確定本人/吾等已獲得按照本人/吾等所選擇的語言（英文或中文）的本協議，當中包括但不限於本賬戶開戶申請書、本協議的條款、個人資料收集聲明、網上交易協議及風險披露聲明，及本人/吾等已獲邀請細閱該風險披露聲明、提出問題及徵求獨立意見（如本人/吾等有此意願）。本人/吾等確認本人/吾等已經保留本協議的副本以作備考之用。

The Account Application Form, this Agreement, Risk Disclosure Statement, Personal Information Collection Statement, Online Trading Agreement in English and Chinese version shall be deemed to be conclusive and definitive.

賬戶開戶申請書、本協議、風險披露聲明、個人資料收集聲明、網上交易協議以中文及英文版本為確實及擁有最終效力。

I / We acknowledge that I/we have received, read and understood the following documents:

本人/吾等僅此確認，本人/吾等已收到、詳閱並瞭解以下文件：

- |  |  |   |
|--|--|---|
| <input type="checkbox"/> Securities Client Agreement<br>證券客戶協議書                | <input type="checkbox"/> Risk Disclosure Statement<br>風險披露聲明                       | <input type="checkbox"/> Client-Based Delta Position Limits Imposed by<br>HKFE Rule 632A<br>香港期交所規則第632A條實施後之客戶持倉限額 |
| <input type="checkbox"/> Personal Information Collection Statement<br>個人資料收集聲明 | <input type="checkbox"/> Futures Client Agreement<br>期貨客戶協議書                       | <input type="checkbox"/> Asset Management Client Agreement<br>資產管理客戶協議書   |
| <input type="checkbox"/> Online Trading Agreement<br>網上交易協議                    | <input type="checkbox"/> Supplemental Agreement<br>for Futures Trading<br>期貨交易補充協議 |   |

I / We understand the relevant risks about derivatives and CBBCs and confirm as below:

本人/吾等清楚有關衍生工具及牛熊證的風險，並作出以下確認：

This account  Can  Cannot be used to trade derivatives and CBBCs.  
本戶口  可  不可 用作買賣衍生工具及牛熊證。

I / We do not agree to the use or transfer of my / our personal data for direct marketing purposes.  
本人/吾等不同意本人/吾等的個人資料被使用或與之有關的轉移作為直接促銷之用途。

## 12. CLIENT SIGNATURE 客戶簽署

INDIVIDUAL / PRIMARY JOINT ACCOUNT HOLDER SIGNATURE 個人/聯名賬戶主要持有人簽署	
<b>Client Signature</b> 客戶簽署:	<b>SIGN HERE 此處簽名</b>
<b>Print Name</b> 正楷姓名	<input type="text"/>
<b>Date (dd/mm/yyyy)</b> 日期 (日/月/年)	<input type="text"/>

SECONDARY JOINT ACCOUNT HOLDER SIGNATURE 聯名賬戶第二持有人簽署	
<input type="text"/>	<input type="text"/>
<b>Print Name</b> 正楷姓名	<input type="text"/>
<b>Date (dd/mm/yyyy)</b> 日期 (日/月/年)	<input type="text"/>

## 13. WITNESS 見證人

WITNESS 見證人	
<input type="text"/>	<input type="text"/>
<b>Print Name</b> 正楷姓名	<input type="text"/>
<b>Date (dd/mm/yyyy)</b> 日期 (日/月/年)	<input type="text"/>

## 14. STAFF / AE 職員/經紀

STAFF / AE 職員/經紀	
<input type="text"/>	<input type="text"/>
<b>Print Name</b> 正楷姓名	<input type="text"/>
<b>SFC CE No.</b> 證監會中央編號	<input type="text"/>
<b>Date (dd/mm/yyyy)</b> 日期 (日/月/年)	<input type="text"/>



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**15. CUSTOMER SERVICE DEPARTMENT  
VERIFICATION 客戶服務部查核**

STAFF SIGNATURE 職員簽名	
<input type="text"/>	
<b>Print Name</b> 正楷姓名	<input type="text"/>
<b>Date (dd/mm/yyyy)</b> 日期 (日/月/年)	<input type="text"/>
<b>AML Checking Cleared</b> 通過反洗錢程序	<input type="text"/>

**16. ACCOUNT OPENING APPROVAL 開戶審批**

RESPONSIBLE OFFICER SIGNATURE 負責人員簽名	
<input type="text"/>	
<b>Print Name</b> 正楷姓名	<input type="text"/>
<b>Date (dd/mm/yyyy)</b> 日期 (日/月/年)	<input type="text"/>

**17. CLIENT INFORMATION ENTRY 輸入客戶資料**

STAFF SIGNATURE 職員簽名	
<input type="text"/>	
<b>Print Name</b> 正楷姓名	<input type="text"/>
<b>Date (dd/mm/yyyy)</b> 日期 (日/月/年)	<input type="text"/>

**18. CLIENT INFORMATION ENTRY CHECK  
輸入客戶資料查核**

STAFF SIGNATURE 職員簽名	
<input type="text"/>	
<b>Print Name</b> 正楷姓名	<input type="text"/>
<b>Date (dd/mm/yyyy)</b> 日期 (日/月/年)	<input type="text"/>

## Commission 佣金

<b>Name of Client</b> 客戶名稱	<input type="text"/>	<b>Futures Account Number</b> 期貨戶口號碼	<input type="text"/>
<b>Securities Account Number</b> 證券戶口號碼	<input type="text"/>	<b>Code of Staff / AE</b> 職員 / 經紀編號	<input type="text"/>
<b>Name of Staff / AE</b> 職員 / 經紀姓名	<input type="text"/>		

### Commission : Securities Account 佣金 : (證券戶口)

Market 市場	Brokerage 佣金 (%)	Minimum Amount 最低金額
HK Stock - Internet (HKD) 港股 - 網上落盤 (港元)		
HK Stock - Phone (HKD) 港股 - 電話落盤 (港元)		
US Stock - Internet (USD) 美股 - 網上落盤 (美元)		
US Stock - Phone (USD) 美股 - 電話落盤 (美元)		
Bond 債券		
Others 其他 : _____		

### Commission : Futures Account 佣金 : (期貨戶口)

Types of Futures Contract 期貨合約種類	Commission 佣金
HSI (Day Trade) 恆生指數期貨 (即日盤)	
HSI (O/N Trade) 恆生指數期貨 (過夜盤)	
MHI (Day Trade) 小型恆生指數期貨 (即日盤)	
MHI (O/N Trade) 小型恆生指數期貨 (過夜盤)	
HHI (Day Trade) H H股指數期貨 (即日盤)	
HHI (O/N Trade) H H股指數期貨 (過夜盤)	
MCH (Day Trade) 小型H股指數期貨 (即日盤)	
MCH (O/N Trade) 小型H股指數期貨 (過夜盤)	
USD/CNH (Day Trade) 美元兌人民幣(香港)期貨 (即日盤)	
USD/CNH (O/N Trade) 美元兌人民幣(香港)期貨 (過夜盤)	
Overseas Index Futures (Day Trade) 海外指數期貨 (即日盤)	
Overseas Index Futures (O/N Trade) 海外指數期貨 (過夜盤)	
Overseas Non-index Futures (Day Trade) 海外非指數期貨 (即日盤)	
Overseas Non-index Futures (O/N Trade) 海外非指數期貨 (過夜盤)	
Others (Day Trade) 其他 (即日盤): _____	
Others (O/N Trade) 其他 (過夜盤): _____	

Expiry date commission is equivalent to over-night trade commission 結算日自動平倉佣金為過夜盤佣金

#### CLIENT SIGNATURE 客戶簽署

 SIGN HERE 此處簽名

**Print Name**

正楷姓名

**Date (dd/mm/yyyy)**

日期 (日/月/年)

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#### SIGNATURE OF STAFF / AE 職員/經紀簽署

**Print Name**

正楷姓名

**Date (dd/mm/yyyy)**

日期 (日/月/年)

#### SIGNATURE OF RESPONSIBLE OFFICER 負責人員簽署

**Print Name**

正楷姓名

**Date (dd/mm/yyyy)**

日期 (日/月/年)

# CLIENT MONEY STANDING AUTHORITY

## 客戶款項常設授權

**To: Blackwell Global Securities Limited / Blackwell Global Futures Limited  
/ Blackwell Global Precious Metals Limited/ Blackwell Global Asset Management Limited (“Blackwell Global”)  
26/F., Overseas Trust Bank Building, 160 Gloucester Road, Wanchai, Hong Kong**

致：博威環球證券有限公司 / 博威環球期貨有限公司 / 博威環球貴金屬有限公司 / 博威環球資產管理有限公司 (“博威環球”)  
灣仔告士打道160號海外信託銀行大廈26樓

### Authority under Securities and Futures (Client Money) Rules

根據《證券及期貨(客戶款項)規則》所設立的常設授權

This letter of authority covers money held or received by you in Hong Kong (including any interest derived from the holding of the money which does not belong to you) in one or more segregated account(s) on my/our behalf (“Monies”).

本授權書涵蓋爾等為本人/吾等在香港收取或持有並存放於一個或多個獨立賬戶內的款項(包括因持有並非屬於爾等的款項而產生之任何利息)(下稱「款項」)。

Unless otherwise defined, all the terms used in this authorization letter shall have the same meanings as in the Securities and Futures Ordinance and the Securities and Futures (Client Money) Rules as amended from time to time. Segregated account(s) include any account(s) designated as client account(s) established and maintained in or outside Hong Kong.

除非另有說明，本授權書之名詞與《證券及期貨條例》及《證券及期貨(客戶款項)規則》不時修訂之定義具有相同意思。獨立賬戶包括在香港或香港以外地方設立及維持並標明為客戶賬戶之任何賬戶。

### This letter authorizes you to:

本授權書授權爾等：

- combine or consolidate any or all segregated accounts of any name whatsoever and either individually or jointly with others, maintained by Blackwell Global from time to time and you may transfer any sum of Monies to and between such segregated account(s) to satisfy my/our obligations or liabilities to Blackwell Global, whether such obligations and liabilities are actual, contingent, primary or collateral, secured or unsecured, or joint or several; and  
組合或合併爾等博威環球所維持的任何或全部獨立賬戶，此等組合或合併活動可以個別地或與其他賬戶聯合進行，爾等可將該等獨立賬戶內任何數額之款項作出轉移，以解除本人/吾等對博威環球內任何成員的義務或法律責任，不論此等義務和法律責任是確實或或然的、原有或附帶的、有抵押或無抵押的、共同或分別的；及
- transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by Blackwell Global ;and  
從博威環球任何成員於任何時候維持的任何獨立賬戶之間來回調動任何數額之款項；及
- Exchange my/our money into any other currency(ies); and  
將本人/吾等的款項兌換至任何貨幣；及
- Transfer any sum of Monies to any futures trading/clearing/settlement account(s) maintained by Blackwell Global with its agent broker(s) and/or clearing agent(s) in Hong Kong or oversea for purpose of dealing in Hong Kong and/or global futures transactions for and on behalf of me/us.  
將任何數額之款項轉往博威環球於其香港或海外代理經紀及/或清算代理開立的任何期貨交易/清算/交收賬戶以作本人/吾等/交易香港及/或環球期貨之用。

You may do any of these things without giving me/us notice.

爾等可不向本人/吾等發出通知而採取上述行動。

This authority is given to Blackwell Global in consideration of its agreeing to continue to maintain securities account(s), futures account(s) and bullion account(s) for me/us.

此賦予博威環球之授權乃鑑於博威環球同意繼續維持本人/吾等之證券賬戶、期貨賬戶、貴金屬及資產管理賬戶。

This authority is given without prejudice to other authorities or rights which Blackwell Global may have in relation to dealing in Monies in the segregated accounts.

此賦予爾等之授權並不損害博威環球可享有有關處理該等獨立賬戶內款項的其他授權或權利。

This authority is valid for a period starting from the date of this letter to (DD/MM/YY)  

both dates inclusive. The authority shall be renewed by my/our written consent, or deemed to be renewed in accordance with applicable laws and regulations, at or before the stated expiry date and each subsequently renewed expiry date, for a further period of not more than 12 months.

本授權書由本函簽發日期起至(年/月/日)  內有效，包括首尾兩天。此授權將於此到期日或之前，或隨後繼續期的到期日或之前，由本人/吾等書面同意續期或按適用法律及規則當作已續期不多於12個月。

This authority may be revoked by giving you written notice addressed to Blackwell Global at the address specified above. Such notice shall take effect upon the expiry of two weeks from the date of your actual receipt of such notice.

本人/吾等可以向博威環球位於上述所列明之地址發出書面通知，撤回本授權書。該等通知之生效日期為爾等真正收到該等通知後之14日起計。

I/We understand that this authority shall be deemed to be renewed on a continuing basis without my/our written consent if you issue me/us a written reminder at least 14 days prior to the expiry date of this authority, and I/we do not object to such deemed renewal before such expiry date.

本人/吾等明白爾等若在本授權書的有效期屆滿前14日之前，向本人/吾等發出書面通知，提醒本人/吾等本授權書即將屆滿，而本人/吾等沒有在此授權屆滿前反對此授權續期，本授權書應當作在不需要本人/吾等的書面同意下按持續的基準已被續期。

In the event of any difference in interpretation or meaning between the Chinese and English version of this authority, I/we agree that the English version shall prevail.

倘若本授權書的中文版本與英文版本在解釋或意義方面有任何歧義，本人/吾等同意應以英文版本為準。

I/We have read and understand and accept the contents of this letter.

本人/吾等閱讀、明白及同意本授權書的內容。



Print Name  
正楷姓名

Account Name  
賬戶名稱

Securities Account No.  
證券賬戶號碼

Futures Account No.  
期貨賬戶號碼

ID/Passport No.  
身份證/護照號碼

Date (dd/mm/yyyy)  
日期 (日/月/年)

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SIGNATURE VERIFIED 簽署核對

Print Name  
正楷姓名

Date (dd/mm/yyyy)  
日期 (日/月/年)

APPROVED BY 批核

Print Name  
正楷姓名

Date (dd/mm/yyyy)  
日期 (日/月/年)

DATA ENTRY BY 資料輸入

Print Name  
正楷姓名

Date (dd/mm/yyyy)  
日期 (日/月/年)

CHECKED BY 資料核對

Print Name  
正楷姓名

Date (dd/mm/yyyy)  
日期 (日/月/年)

# SELF-CERTIFICATION FORM – INDIVIDUAL (CRS-I)

## 自我證明表格 - 個人 (CRS-I)

### Part 1: Identification of Individual Account Holder

#### 第 1 部：個人賬戶持有人的身份識辨資料

If you have any questions on how to define your tax residency status, please visit the OECD website at [www.oecd.org/tax/automatic-exchange/](http://www.oecd.org/tax/automatic-exchange/) or consult your tax advisor before completing the form.

如您對判定您的稅務居民身分有任何疑問，請瀏覽經合組織網站 [www.oecd.org/tax/automatic-exchange/](http://www.oecd.org/tax/automatic-exchange/) 或於填寫本表格前諮詢您的稅務顧問。

**Name of Account Holder**

賬戶持有人的姓名

**Business Name (Sole Traders Only)**

自僱人士公司名稱  
(只適用於獨資業務)

**Identity Card or Passport Number**

身分證或護照號碼

**Business Registration Number (Sole Traders Only)**

自僱人士公司商業登記號碼  
(只適用於獨資業務)

**Date of Birth (dd/mm/yyyy)**

出生日期

**Current Residence Address and Mailing Address**

現時住址及通訊住址

**Address**

地址

**City & Country**

城市及國家

### Part 2: Declaration of Account Holder Status as Singapore / Non-Singapore Person

#### 第 2 部：戶口持有人就有關新加坡 / 非新加坡人之聲明

In accordance with the Guidelines on Solicitation of persons in Singapore, the Company shall not, directly or indirectly, during or as a consequence of an solicited or unsolicited call made in Hong Kong or elsewhere, make or offer to make with persons in Singapore an agreement or induce or attempt to induce persons in Singapore to enter into an agreement in relation to futures contract. To enable Blackwell Global to correctly determine the status and qualification of the Client as a "Non-Singapore Person" or "Singapore Person", the undersigned Client makes and confirms the following Declaration to Blackwell Global:

根據新加坡就有關招攬客戶之指引，公司不得在香港或其他地方直接、間接或在獲邀約或未獲邀約的造訪期間或其後，誘使或企圖誘使新加坡客戶就期貨合約訂立協議。為闡明戶口持有人為新加坡或非新加坡人的身份及資格，本人，作為簽署本聲明之戶口持有人，僅此向博威環球聲明及確認如下：

#### 1. Singapore/Non-Singapore Person Declaration

新加坡 / 非新加坡人之聲明

(a) Are you a Singapore citizen?

閣下是否新加坡公民？

No 否  Yes 是

(b) Are you a resident and/or do you have a permanent residence permit in Singapore?

閣下是否新加坡居民及 / 或持有新加坡永久居留證？

No 否  Yes 是

(c) Are you liable for tax in Singapore?

閣下是否要繳納新加坡稅項？

No 否  Yes 是

If the answer to any one of the above questions is "Yes", then you will be considered as a Singapore Person under the Guidance on Solicitation to persons in Singapore.

如上述三項中任何一項的答案為「是」，則閣下在新加坡有關招攬客戶之指引上將視為新加坡人。

## 2. Change of Status

身份的轉變

I undertake to inform Blackwell Global immediately if my status as a Singapore Person or Non-Singapore Person under the Guidelines on Solicitation of persons in Singapore should change.

本人承諾，如本人在新加坡就有關招攬客戶之指引下作為新加坡或非新加坡人的身份作出轉變，本人將立刻通知博威環球。

## 3. Indemnity

彌償

I hereby declare and warrant that the information contained in this declaration is true and accurate as at the date hereof and agree to fully indemnify and hold Blackwell Global harmless from any loss, claim, action, proceeding, damage, suit, cost, expense and liability suffered or incurred by Blackwell Global (including but not limited to those incurred relating to the investigation of, preparation for or defense of, any pending or threatened litigation or claim) in connection with or arising from the reliance on, or the disclosure of, any such information by Blackwell Global.

本人僅此聲明及保證本聲明之資料於簽署日均屬真實和正確及同意就博威環球因依賴或披露任何該等資料而令博威環球承擔和招致的一切損失、申索、訴訟、法律責任、損害賠償、起訴、費用、支出及責任向博威環球作出全數彌償，免使博威環球蒙受損失(包括但不限於某些因有關任何有待裁定或恐嚇訴訟或申索的調查、擬備或抗辯所產生)。

## Part 3: Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”)

第 3 部：居留司法管轄區及稅務編號或具有等同功能的識別編號(以下簡稱「稅務編號」)

Complete the following table indicating 提供以下資料，列明：

- (a) each jurisdiction where the account holder is a resident for tax purposes; and  
賬戶持有人的居留司法管轄區，亦即賬戶持有人的稅務管轄區；及
- (b) the account holder's TIN for each jurisdiction indicated.  
該居留司法管轄區發給賬戶持有人的稅務編號。

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

如賬戶持有人的香港稅務居民，稅務編號是賬戶持有人的香港身份證號碼。

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

如沒有提供稅務編號，必須填寫合適的理由A、B或C

#

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

理由A – 賬戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

Reason B – The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.

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

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

理由C – 賬戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要賬戶持有人披露稅務編號。

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

## Part 4: Declarations and Signature

第 4 部：聲明及簽署

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by Blackwell Global for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by Blackwell Global to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

本人知悉及同意，博威環球可根據《稅務條例》(第 112 章)有關交換財務賬戶資料的法律條文，(a) 收集本表格所載資料並可備存作自動交換財務賬戶資料用途；及 (b) 把該等資料和關於賬戶持有人及任何須申報賬戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到賬戶持有人的居留司法管轄區的稅務當局。

I certify that I am the account holder (or I am authorized to sign for the account holder) of all the account(s) currently held with Blackwell Global by the individual identified in Part 1 of this form. I further declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

本人證明，有關本表格第1部所述的個人現於博威環球持有的所有賬戶，本人是賬戶持有人(或本人獲賬戶持有人授權代其簽署)。本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

I undertake to provide Blackwell Global with a suitably updated self-certification form within 30 days of any change in circumstances which affects the information contained herein to become incorrect.

本人承諾，如情況有所改變，以致影響本表格所載的資料不正確，本人會在情況發生改變後 30 日內，向博威環球提交一份已適當更新的自我證明表格。

**ACCOUNT HOLDER'S SIGNATURE 賬戶持有人簽署**

**Print Name**

正楷姓名

**Date (dd/mm/yyyy)**

日期 (日/月/年)

**Account No.**

賬戶編號

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

警告：根據《稅務條例》第 80(2E) 條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級（即 \$10,000）罰款。

**Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)**

(Rev. January 2017)

► For use by individuals. Entities must use Form W-8BEN-E.

OMB No. 1545-1621

Department of the Treasury  
Internal Revenue Service

► Information about Form W-8BEN and its separate instructions is at [www.irs.gov/formw8ben](http://www.irs.gov/formw8ben).

► Give this form to the withholding agent or payer. Do not send to the IRS.

**Do NOT use this form if:**

**Instead, use Form:**

- You are NOT an individual . . . . . W-8BEN-E
- You are a U.S. citizen or other U.S. person, including a resident alien individual . . . . . W-9
- You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the U.S. (other than personal services) . . . . . W-8ECI
- You are a beneficial owner who is receiving compensation for personal services performed in the United States . . . . . 8233 or W-4
- You are a person acting as an intermediary . . . . . W-8IMY

**Note:** If you are resident in a FATCA partner jurisdiction (i.e., a Model 1 IGA jurisdiction with reciprocity), certain tax account information may be provided to your jurisdiction of residence.

**Part I Identification of Beneficial Owner (see instructions)**

1 Name of individual who is the beneficial owner		2 Country of citizenship	
3 Permanent residence address (street, apt. or suite no., or rural route). <b>Do not use a P.O. box or in-care-of address.</b>			
City or town, state or province. Include postal code where appropriate.		Country	
4 Mailing address (if different from above)			
City or town, state or province. Include postal code where appropriate.		Country	
5 U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)		6 Foreign tax identifying number (see instructions)	
7 Reference number(s) (see instructions)		8 Date of birth (MM-DD-YYYY) (see instructions)	

**Part II Claim of Tax Treaty Benefits (for chapter 3 purposes only) (see instructions)**

9 I certify that the beneficial owner is a resident of \_\_\_\_\_ within the meaning of the income tax treaty between the United States and that country.

10 **Special rates and conditions** (if applicable—see instructions): The beneficial owner is claiming the provisions of Article and paragraph \_\_\_\_\_ of the treaty identified on line 9 above to claim a \_\_\_\_\_ % rate of withholding on (specify type of income): \_\_\_\_\_

Explain the additional conditions in the Article and paragraph the beneficial owner meets to be eligible for the rate of withholding: \_\_\_\_\_

**Part III Certification**

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income to which this form relates or am using this form to document myself for chapter 4 purposes,
- The person named on line 1 of this form is not a U.S. person,
- The income to which this form relates is:
  - (a) not effectively connected with the conduct of a trade or business in the United States,
  - (b) effectively connected but is not subject to tax under an applicable income tax treaty, or
  - (c) the partner's share of a partnership's effectively connected income,
- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country, and
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. **I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.**

**Sign Here** ►



Signature of beneficial owner (or individual authorized to sign for beneficial owner)

Date (MM-DD-YYYY)

Print name of signer

Capacity in which acting (if form is not signed by beneficial owner)



# BLACKWELL GLOBAL - RISK PROFILING QUESTIONNAIRE

## 博威環球-風險取向問卷

Full Name of Individual  
/ Primary Account Holder

個人/主要帳戶持有人姓名

Full Name of Secondary  
Joint Account Holder

聯名帳戶持有人姓名

Client's A/C

客戶號碼

This questionnaire is designed to help you consider your risk tolerance.

這份問卷是為幫助您評估您的投資風險取向而設的。

It asks questions that provide some indication of the risk tolerance for a typical investor displaying your personal investment characteristics (concerning investment products). It may not match your actual attitude toward investment risk, but it indicates the profile you fit into.

這份問卷的問題用以表示擁有類似您個人投資特性的典型投資者（有關購買投資產品）的風險取向。這部分會顯示符合您特性的投資風險取向，但未必與您的實際投資風險取向相符。

For Question 1-6, the terms "investment/ investing" refer to all investment products # [# Such products could include one or more of the following: stocks, unit trusts, foreign currencies, commodities, structured investment products, warrants, options and futures.]

問題1-6中的「投資」泛指所有理財產品，包括投資產品# [# 該等產品可能包括以下一項或多項的產品：股票、單位信託基金、外幣、商品、結構投資產品、認股權證、期權、期貨。]

This will take around 10 minutes. Based on the answers you have provided, you can check your risk tolerance.

完成問卷需時大約十分鐘。根據您所提供的答案，您可了解自己的投資風險取向。

1. Which of the below statements best describe your account or current financial situation?

以下哪一個選項最適合形容您現時的財政狀況？

- a. My current income needs are fully relied on my investments.  
我完全依賴我的投資作為我現在的收入來源。
- b. My current income needs are partly relied on my investments.  
我依賴我的投資作為我部分的收入來源。
- c. My current income needs do not rely on my investments.  
我不依賴我的投資作為我現在的收入來源。

2. How many years of experience do you have with investment products? These investment products could include, for example, equities, mutual funds, foreign currencies, bonds, commodities, structured products, warrants, futures, options, and alternative investments such as hedge funds and private equity.

您對投資產品有多少年的經驗？這些投資產品可能包括股票、互惠基金、外匯、債券、商品、結構性產品、窩輪、期貨、期權及另類投資如對沖基金和私募基金等。

- a. No experience  
無經驗
- b. < 1 year  
少於一年
- c. 1-3 years  
一至三年
- d. 3-5 years  
三至五年
- e. > 5 years  
多於五年

3. How much of your investments would you liquidate to meet liquidity need or an unforeseen event?

為了滿足生活的流動性需求或出現突發事件，您將對您的投資組合進行多少出售？

- a. I would sell more than 50% of my investment portfolio.  
我會出售投資組合內超過百分之五十的產品。
- b. I would sell 30% to 50% of my investment portfolio.  
我會出售投資組合內百分之三十至百分之五十的產品。

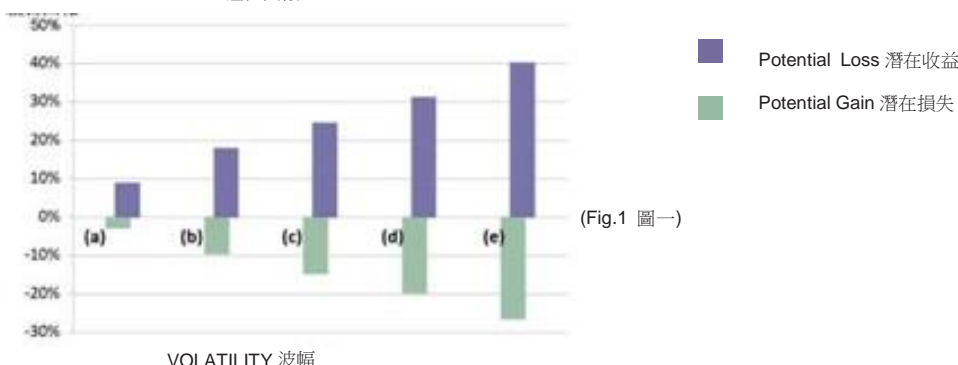
- c. I would sell 20% to 30% of my investment portfolio.  
我會出售投資組合內百分之二十至百分之三十的產品。
- d. I would sell no more than 20% of my investment portfolio.  
我會出售投資組合內不多於百分之二十的產品。
- e. I would not have to sell any of my investment portfolio.  
我不會出售任何投資組合內的產品。
4. It is generally true that the longer the investment horizon, the higher the risk an investor can tolerate, and the values of investment products will fluctuate. What time horizon would you generally be comfortable with when investing in investment products?  
一般以言, 投資時間越長代表投資者能承受的風險越高以及投資產品的價值波動越大。您在投資時, 通常會選擇投資多長時間?
- a. Less than 1 year  
少於一年
- b. 1-3 years  
一至三年
- c. 3-5 years  
三至五年
- d. 5-10 years  
五至十年
- e. >10 years  
多於十年
5. What portion of your net worth would you intend to invest and accept that the investment may suffer a potential loss?  
您會撥作投資的資產淨值比例是多少? 請注意, 買賣投資產品可能帶來虧損。
- a. 0%
- b. >0% and 50%  
大過0%至50%
- c. Over 50%  
大過50%
6. Generally, investment involves a trade-off between risk and return which indicates that higher risk will result in high return with high fluctuations, and vice versa. In order to achieve your expected returns, which statement best describes the degree of losses you are willing to take?  
投資通常是風險與回報的取捨。獲得高回報的投資者往往承受的波動與損失風險較高。以下哪項描述最符合您為達致預期回報而願意承受損失的程度?
- a. I am willing to accept minimal amount of capital loss.  
我願意接受輕微的資金損失。
- b. >0% and 50%  
我願意接受中度的資金損失。
- c. Over 50%  
我願意接受大額的資金損失。
7. On the whole, which of the following best describes your investment objective?  
以下哪一項最能描述您的投資目的?
- a. Wealth preservation (Only small amount of capital loss could be accept)  
財富保值 (願意接受輕微的資金損失)
- b. A regular stream of stable income  
穩定收入來源
- c. A combination of income and capital growth  
收入及資本增長
- d. Achieve substantial long term capital growth  
長期實質的資本增長
- e. High capital appreciation  
大幅資本增長

8. The following answer options are descriptions of 5 sample portfolios (fig.1) and their potential portfolio gain and loss outcomes over a short time horizon (i.e. 1 year). Which of the sample portfolio would be most attractive to you?

下列答題選項顯示5種不同投資組合(圖1)於較短投資期(如1年)的潛在收益和損失。您認為哪一個投資組合最吸引您?

- a. Portfolio (a) - I am willing to accept a potential loss of 3% in exchange for 9% potential upside.  
投資組合(a) - 我願意接受3%的潛在損失,以換取9%的潛在回報。
- b. Portfolio (b) - I am willing to accept a potential loss of 10% in exchange for 18% potential upside.  
投資組合(b) - 我願意接受10%的潛在損失,以換取18%的潛在回報。
- c. Portfolio (c) - I am willing to accept a potential loss of 15% in exchange for 25% potential upside.  
投資組合(c) - 我願意接受15%的潛在損失,以換取25%的潛在回報。
- d. Portfolio (d) - I am willing to accept a potential loss of 20% in exchange for 31% potential upside.  
投資組合(d) - 我願意接受20%的潛在損失,以換取31%的潛在回報。
- e. Portfolio (e) - I am willing to accept a potential loss of 27% in exchange for 40% potential upside.  
投資組合(e) - 我願意接受27%的潛在損失,以換取40%的潛在回報。

PORTFOLIO RETURN 組合回報



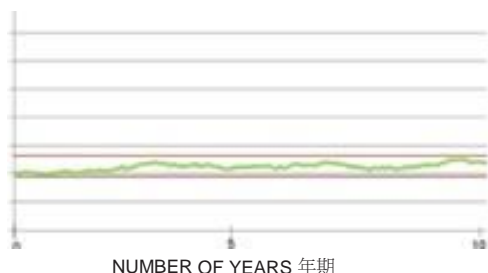
9. Which option shown below would best describe your action when your value of investments drop over a period of time due to market fluctuations?  
 倘若您的投資價值經過一段時間後由於市場波動而下跌,您會如何處置?

- a. I do not wish to hold on to any investments at a loss and will sell the investments immediately even if the drop in value is small.  
我不願意持有任何虧損的投資,即使跌幅輕微也會立刻出售。
- b. I will sell the investments if the drop in value is large.  
倘若下跌幅度較大,我會將投資出售。
- c. I will sell some of the investments if the drop in value is large, and wait for the remaining investments to recover in value.  
倘若下跌幅度較大,我會將部分投資出售,保留其餘投資等待價值回升。
- d. I will not sell the investments, regardless of the drop in value, as I would like to wait for the investment to recover in value.  
即使投資價值下跌,我也不會出售投資,而會願意等待其價值回升。
- e. I will not sell the investments, regardless of the drop in value, and will buy more to capitalise on the cheaper price.  
即使投資價值下跌,我也不會出售投資,反而會考慮趁低吸納。

10. Generally, higher returns are coupled with higher risks and fluctuations. The following answer options describe the level of fluctuations in the value of 5 different investment portfolios over a long period of time, e.g. 10 years. Which would you be most comfortable investing in?  
 一般而言,回報越高,風險及波動亦越大。下列答題選項顯示5種不同投資組合於較長投資期(如10年)的波動水平,您會選擇哪項投資?

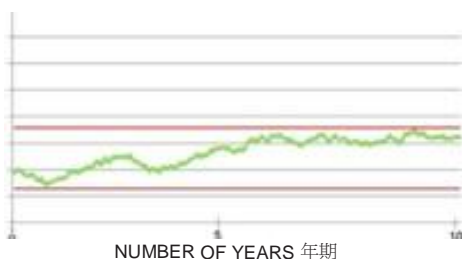
- a. Portfolio (a) - Limited fluctuation of 5% with small potential gain/loss  
投資組合(a) - 價值可能波動不大,上下波幅5%,潛在收益及損失較少。

INDEX PRICE 指數價格



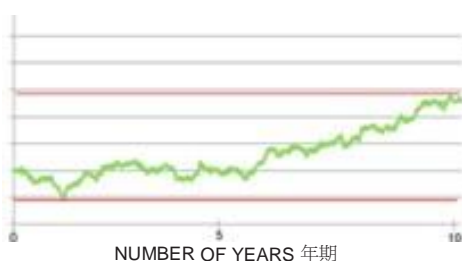
- b. Portfolio (b) - Fluctuation of more than 10% with more potential gain/loss  
投資組合(b) — 價值可能有較多波動，上下波幅10%，潛在收益及損失較多。

INDEX PRICE 指數價格



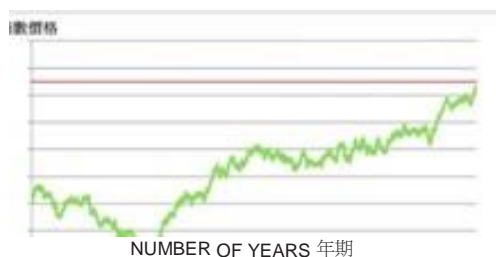
- c. Portfolio (c) - Fluctuation of more than 15% with moderate gain/loss  
投資組合(c) — 價值可能有適度波動，上下波幅15%，潛在收益及損失適中。

INDEX PRICE 指數價格



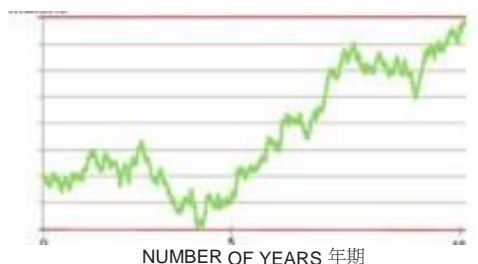
- d. Portfolio (d) - Fluctuation of more than 20% with high gain/loss  
投資組合(d) — 價值可能有相當大幅波動，上下波幅20%，潛在收益及損失頗多。

INDEX PRICE 指數價格



- e. Portfolio (e) - Fluctuation of more than 25% with substantial gain/loss  
投資組合(e) — 價值可能大幅波動，上下波幅超過25%，潛在收益及損失相當多。

INDEX PRICE 指數價格



This questionnaire is provided by Blackwell Global Securities Limited. The results of this questionnaire, including your assessed Risk Tolerance, are derived from information that you have provided, and only serve as a reference for your consideration when making your own investment decisions. This questionnaire and the results are not an offer to sell, or a solicitation for an offer to buy or sell, or a recommendation of any products and services and they should not be considered as investment advice. Our company accepts no responsibility or liability as to the accuracy or completeness of the information given. Personal information collected in this questionnaire will be kept confidential by our company. The information may be used by our company under a duty of confidentiality, for preparing, designing and/or marketing of financial products and services.

此問卷由博威環球證券有限公司提供。此問卷結果，包括為您評估的投資風險取向，基於您所提供的資料，並只供您作為個人投資決定的參考。此問卷內容及結果不可視為對任何產品及服務的銷售邀請、招攬購買或銷售之邀請，亦不應當作投資意見。本公司對上述有關資料的準確性或完整性並不負上任何責任。本公司確保此問卷內的個人資料保密。您提供的資料只會在保密的情況下，供公司作準備、設計、推廣理財產品或服務之用。

# RESULT

## 結果

### 0 SECURE 穩當型

You generally do not want to take any investment risk, since you can accept no investment loss. Financial products with an investment element are not suitable for you. Products that are potentially suitable for you are likely to produce returns that are based on prevailing interest rates which may or may not keep pace with inflation.

你基本上不希望承受任何投資風險，因為你無法承受任何投資損失。含投資成分的金融產品不適合您。可能適合您的產品回報很可能僅相當於當時的利率，未必能夠彌補通脹。

### 1 VERY CAUTIOUS 非常謹慎型

You are generally comfortable with achieving minimal level of return potential on your investment coupled with minimal risks. Capital values of products that are potentially suitable for you can fluctuate and may fall below your original investment. In normal market conditions fluctuation is expected to be minimal (although this is not guaranteed), and you are comfortable with this level of fluctuation. Based on the information you provided, you can consider whether investment products with risk rating 1 are suitable for you.

你基本上接受輕微的損失，以換取輕微的潛在投資回報。可能適合您的產品之資本價值可能波動並跌至低於您原本的投資額。預期在正常市況下僅輕微波動（縱使不能保證），而您可接受此程度的波動。根據您提供的資料，您可以考慮評為一級風險的投資產品適合您。

### 2 CAUTIOUS 非常謹慎型

You are generally comfortable with achieving a low level of return potential on your investment coupled with a low level of risk. Capital values of products that are potentially suitable for you can fluctuate and may fall below your original investment. In normal market conditions fluctuation is expected to be low (although this is not guaranteed), and you are comfortable with this level of fluctuation. Based on the information you provided, you can consider whether investment products with risk rating 2 or below are suitable for you.

你基本上接受低程度的損失，以換取低程度的潛在投資回報。可能適合您的產品之資本價值可能波動並跌至低於您原本的投資額。預期在正常市況下波動較小（縱使不能保證），而您可接受此程度的波動。根據您提供的資料，您可以考慮評為二級或以下風險的投資產品適合您。

### 3 BALANCED 平衡型

You are generally comfortable with achieving a moderate level of return potential on your investment coupled with a moderate level of risk. Capital values can fluctuate and may fall below your original investment. Fluctuation is expected to be higher than products that are suitable for investors in lower risk tolerance categories, but not as much as for higher risk tolerance categories. Based on the information you provided, you can consider whether investment products with risk rating 3 or below are suitable for you.

你基本上接受中度的損失，以換取中度的潛在投資回報。資本價值可能波動並跌至低於您原本的投資額。預期產品波動大於適合較低風險承受能力投資者的產品，惟小於適合較高風險承受能力投資者的產品。根據您提供的資料，您可以考慮評為三級或以下風險的投資產品適合您。

### 4 ADVENTUROUS 進取型

You are generally comfortable with achieving a high level of return potential on your investment coupled with high level of risk. Capital values can fluctuate significantly and may fall quite substantially below your original investment. You understand the risk/reward equation, and are comfortable with this level of fluctuation. Based on the information you provided, you can consider whether investment products with risk rating 4 or below are suitable for you.

你基本上接受高程度的損失，以換取高程度的潛在投資回報。資本價值可能有相當大幅的波動並跌至頗低於您原本的投資額。您明白風險越大，回報越高的原則，而您可接受此程度的波動。根據您提供的資料，您可以考慮評為四級或以下風險的投資產品適合您。

### 5 SPECULATIVE 投機型

You are generally comfortable with maximising your return potential on investment coupled with maximised risk. Capital values can fluctuate widely and may fall substantially below your original investment. You understand the risk/reward equation, and are comfortable with this level of fluctuation. Based on the information you provided, you can consider whether investment products with risk rating 5 or below are suitable for you.

你基本上接受高程度的損失，以換取高程度的潛在投資回報。資本價值可能有相當大幅的波動並跌至頗低於您原本的投資額。您明白風險越大，回報越高的原則，而您可接受此程度的波動。根據您提供的資料，您可以考慮評為四級或以下風險的投資產品適合您。

Your tolerance to investment risk has been assessed as  
您的投資風險承受能力被評定為：

CLIENT'S INITIAL 客戶簽署

STAFF'S INITIAL 經紀簽署

## DISCLAIMER 免責聲明

- The results of this questionnaire are derived from the information that you have provided to Blackwell Global and on certain generally accepted assumptions and reasonable estimates. Calculations and values used in this questionnaire are used for illustration purpose only. The Group accepts no responsibility or liability as to the accuracy or completeness of the information containing in this questionnaire and/or the results.

本問卷的結果是從您向本集團提供的資料，並根據若干普遍接納的假設及合理估算而得出。本問卷採用的方法及取值僅供說明用途。本集團對本問卷所載資料及／或所得結果的準確性或完整性並不負責或承擔任何法律責任。
- This questionnaire and the results only serve as a reference for your consideration, and are not an offer to sell or a solicitation for an offer to buy any financial products and services and they should not be considered as investment advice or recommendation.

本問卷及所得結果僅供您參考，並非購買或出售任何金融產品及服務的要約或招攬，亦不應被視為投資意見或推薦。
- Please be reminded that any failure to fully disclose all or any of your personal circumstances (e.g. financial situation), inaccurate, incomplete or outdated information may affect our assessment of your attitude and capacity for investment risks. If there is any change in circumstances which may affect your answer(s) to any question in this questionnaire, we strongly recommend that you should complete this questionnaire again.

請注意，倘若您未能全面披露所有或任何有關您的個人狀況(如財務狀況)、不正確、不完整或過時的資料可能影響本集團評估您對投資風險的態度及承受能力。如您的狀況出現變動而可能影響本問卷中任何問題的答案，我們極力建議您再次填寫本問卷。

## CUSTOMER DECLARATION 客戶聲明

I hereby declare that the information I have provided in this form is in all respects true, accurate and complete and agree that my investment risk tolerance analysis is correctly stated above.

本人(等)謹此聲明: 本人(等)為本問卷所提供資料為真實、正確及全面，並同意上述的投資風險承受能力分析為正確。

### SIGNATURE OF INDIVIDUAL/ PRIMARY ACCOUNT HOLDER

個人/主要帳戶持有人簽署

**Print Name**

正楷姓名

**Date (dd/mm/yyyy)**

日期 (日/月/年)

### SIGNATURE OF SECONDARY JOINT ACCOUNT HOLDER

聯名帳戶持有人簽署

**Print Name**

正楷姓名

**Date (dd/mm/yyyy)**

日期 (日/月/年)



Blackwell Global Securities Limited  
博威環球證券有限公司

## 「博威環球與中國銀行(香港)」聯合發出的子賬戶申請表格

客戶名稱: \_\_\_\_\_

身份證/護照號碼: \_\_\_\_\_

商業登記證號碼/公司註冊證書號碼: \_\_\_\_\_

本人/本公司現向貴集團(「博威環球證券有限公司」)申請一個「博威環球與中國銀行(香港)」聯合發出的子賬戶，作為日後存款用途。

本人/本公司已清楚當款項存入貴集團時，一般存款做法收款人名稱是寫上「博威環球證券有限公司」，但是“子賬戶”是以客戶本人的姓名/本公司的名稱為收款人，所以本人/本公司謹此聲明當本人/本公司一經選擇透過中國銀行(香港)有限公司的“子賬戶”方法存入款項時，即使於存款表格上填寫抬頭或收款人為本人的姓名/本公司的名稱，亦表明及確認該筆款項是存入本人/本公司在博威環球證券有限公司的戶口內。

若「博威環球與中國銀行(香港)」聯合發出的子賬戶申請表格中文版及英文版存在任何歧義，概以中文版本為準。

客戶簽署：

S.V.

\_\_\_\_\_  
(請用留存本公司記錄之簽署式樣)

日期：\_\_\_\_\_

博威環球內部專用(20171227版本)

博威環球客戶賬戶號碼：: \_\_\_\_\_

客戶服務部

營運部

驗證客戶簽署:

批准:

輸入:

審查:

\_\_\_\_\_

**REQUEST SERVICE FOR ELECTRONIC TRADING PLATFORM**  
**期貨電子交易系統服務表**

Client Name 客戶姓名: \_\_\_\_\_ Futures A/C No. 期貨帳戶號碼: \_\_\_\_\_

**Request:**

- Esunny 易盛電子交易平台
- MT5 ( 2 Factors Done By iTrade –透過 iTrade 作雙重認證)

Remarks 備註: \_\_\_\_\_

**DISCLAIMER 免責聲明**

1. Trading on an electronic trading system may differ from trading on other electronic trading systems. If you undertake transactions on an electronic trading system, you will be exposed to risks associated with the system including the failure of hardware and software. The result of any system failure may be that your order is either not executed according to your instructions or is not executed at all.

透過一個電子交易系統進行買賣可能會與透過其他電子交易系統進行買賣有所不同。如你透過某個電子交易系統進行買賣，你須承受該系統帶來的風險，包括有關硬件或軟件可能會失靈的風險。系統失靈可能會導致持牌人或註冊人的買賣盤不能根據指示執行，或完全不獲執行。

2. Communications over the internet may be subject to transmission blackout, interruption, interception, or incorrect data transmission due to the public nature of the internet or other reasons that are beyond the licensed or registered person's control. Messages sent over the internet cannot be guaranteed to be completely secure. You shall be aware of and bear the risk of any delay, loss, diversion, alteration, corruption or virus infection of any messages/instructions either sent to or received from the licensed or registered person's systems. The licensed or registered person shall not be responsible for any losses or damages incurred or suffered as a result thereof.

互聯網上的通訊可能暫時中斷、傳遞終止或截取，或因互聯網的公眾背景或其他持牌人或註冊人不能控制的理由引致資料傳送有失誤。透過互聯網發出的訊息無法保證完全安全。你應注意，任何經持牌人或註冊人系統發出或接收的訊息/指示均可能出現被延誤、遺失、轉換、更改、訛用或被病毒感染的風險，你須為有關風險負責。持牌人或註冊人不會就有關的損失及損害負上責任。

I hereby understand and agree to bear any and all risks involved with all trades or transactions entered via electronic trading system may be delayed due to internet traffic jam or other reasons carried out through your system.

本人(等) 明白到通過電子交易系統發出指示以及通過貴公司的系統執行的交易涉及各種風險。本人並同意承擔因網路擠塞或其他原因而引致通過互聯網傳送的訊息有所延誤的風險。

Client Signature 客戶簽署: \_\_\_\_\_

Date 日期: \_\_\_\_\_

**FOR OFFICE USE ONLY**

Verified by:	Approved by:	Data Inputted by	Checked by: