

PERSONAL/JOINT ACCOUNT APPLICATION

個人/聯名賬戶開戶申請書

Blackwell Global Precious Metals Limited (“BGPM”)

博威環球貴金屬有限公司(“博威環球貴金屬”)

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

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

☐ Traditional Chinese 繁體中文
☐ Simplified Chinese 簡體中文
☐ 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	PROOF OF IDENTITY 身份證明 Certified true copy of your valid passport or ID 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	PROOF OF RESIDENCE 地址證明 Original or certified true copy of your bank statement / utility bill 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的三個月內發出		
3	BANK STATEMENT / PASSBOOK 銀行月結單/存摺 • 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	W-8BEN FORM W-8BEN 表格		
5	CRS-INDIVIDUAL FORM CRS-個人表格		

For Official Use Only 供本公司使用

Account Opening Date 開戶日期		Name of Client 客戶名稱	
Precious Metals Account Number 貴金屬戶口號碼			
Name of Staff / AE 職員 / 經紀姓名		Code of Staff / AE 職員 / 經紀編號	

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	<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)					
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					

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	<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"/> 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

<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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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)					
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					

2.2 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			

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					
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		

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

Do you or your spouse have relationship with any director or employee in Blackwell Global Precious Metals 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貴金屬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:

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Secondary Joint Account Holder 聯名帳戶第二持有人

Do you or your spouse have relationship with any director or employee in Blackwell Global Precious Metals 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貴金屬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:

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

以下 4 –11 部份只須由個人/聯名帳戶主要持有人填寫

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	<input type="text"/>		
Bank Address 銀行地址	<input type="text"/>		
Bank Account Holder's Name 銀行賬戶持有人姓名	<input type="text"/>	Bank Account No. 銀行賬戶號碼	<input type="text"/>
SWIFT Code / ABA / IBAN 國際匯款代碼	<input type="text"/>		

6. NATURE OF TRADING ACCOUNT 交易賬戶的性質

☐ Hedging 對沖 ☐ Speculative 投機 ☐ Arbitrage 套利 ☐ Other (Please elaborate) 其他, 請詳細說明

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
FOREX 外匯	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fund 基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Shares 股票	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Futures / Options 期貨 / 選擇權	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Bonds 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？

☐ Less than 10
10次以下
 ☐ 11 to 30
11至30次
 ☐ 31 to 45
31至45次
 ☐ 46 to 60
46至60次
 ☐ Above 60
60次以上

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) ?

☐ Less than \$100,000
\$100,000 港元以下
 ☐ \$100,001 to \$300,000
\$100,001 港元至 \$300,000 港元
 ☐ \$300,001 to \$500,000
\$300,001 港元至 \$500,000 港元

☐ \$500,001 to \$700,000
\$500,001 港元至 \$700,000 港元
 ☐ \$700,001 to \$1,000,000
\$700,001 港元至 \$1,000,000 港元
 ☐ 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蒙受洗黑錢的風險？(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分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

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限內予以保留？

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

Client Signature

客戶簽署

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 willfully withheld any material fact(s). I/We request you to open a Precious Metals Account (the "Account") and agree to all the terms of the 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 any regulatory body(ies) as amended from time to time governing the transactions in the Account. I/We hereby authorise 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 貴公司申請開立現金貴金屬帳戶（“該帳戶”）和同意協議書（“本協議”）的所有條款並同時取得有關協議書副本，並同意遵守本其他監管機構不時修定以規管於該帳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 Opening Form, the Terms and Conditions of the Agreement, was provided to me / us in a language of my/our choice (English or Chinese). 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客戶資料表格及本協議的條款。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 Client Agreement, Risk Warning Notice in English version shall be deemed to be conclusive and definitive relative to the Chinese version.

開戶申請書客戶協議、風險披露聲明，以英文版本為確實及擁有最終效力（相對中文版本而言）。

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

本人/吾等謹此確認，本人/吾等已收到、詳閱並瞭解以下文件：

☐ Client Agreement
客戶協議

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

Print Name

正楷姓名

Date (dd/mm/yyyy)

日期 日 月 年

SECONDARY JOINT ACCOUNT HOLDER SIGNATURE 聯名賬戶第二持有人簽署

Print Name

正楷姓名

Date (dd/mm/yyyy)

日期 日 月 年

13. WITNESS 見證人

WITNESS 見證人

Print Name

正楷姓名

Date (dd/mm/yyyy)

日期 日 月 年

14. STAFF / AE 職員/經紀

STAFF / AE 職員/經紀

Print Name

正楷姓名

SFC CE No.

證監會中央編號

Date (dd/mm/yyyy)

日期 日 月 年

For Official Use Only 供本公司使用

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

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

16. ACCOUNT OPENING APPROVAL 開戶審批

RESPONSIBLE OFFICER SIGNATURE 負責人員簽名	
<div></div>	
Print Name 正楷姓名	<div></div>
Date (dd/mm/yyyy) 日期 日 月 年	<div></div>

17. CLIENT INFORMATION ENTRY 輸入客戶資料

STAFF SIGNATURE 職員簽名	
<div></div>	
Print Name 正楷姓名	<div></div>
Date (dd/mm/yyyy) 日期 日 月 年	<div></div>

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

STAFF SIGNATURE 職員簽名	
<div></div>	
Print Name 正楷姓名	<div></div>
Date (dd/mm/yyyy) 日期 日 月 年	<div></div>

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別資料

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/ 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/ 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 (日/月/年)			
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: Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”)

第 2 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).

如賬戶持有人是香港稅務居民，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 3: Declarations and Signature

第 3 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)

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

► Information about Form W-8BEN and its separate instructions is at www.irs.gov/formw8ben.

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

OMB No. 1545-1621

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). Do not use a P.O. box or in-care-of address.	
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)

CLIENT MONEY AND CLIENT SECURITIES STANDING AUTHORITIES

客戶款項及客戶證券常設授權

To: **Blackwell Global Securities Limited**
Blackwell Global Futures Limited
Blackwell Global Precious Metals Limited
Blackwell Global Asset Management Limited
(collectively referred to as "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
(以上統稱為「博威環球」)
香港灣仔告士打道160號海外信託大廈26樓

Unless otherwise defined, all the terms used in these Standing Authorities shall have the same meanings as in the Securities and Futures Ordinance, Securities and Futures (Client Money) Rules and Securities and Futures (Client Securities) 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》、《證券及期貨(客戶款項)規則》及《證券及期貨(客戶證券)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。

A 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 Standing Authority covers money held or received by Blackwell Global in Hong Kong and overseas (including any interest derived from the holding of the money which does not belong to Blackwell Global) in one or more segregated account(s) on the Client's behalf ("Monies"). The Client hereby authorises Blackwell Global to handle the Monies on his/her behalf.

本常設授權是涵蓋博威環球為客戶在香港以及海外收取或持有並存放於一個或多個獨立賬戶內之款項(包括因持有並非屬於博威環球之款項而產生之任何利息)(下稱「款項」)。客戶茲授權博威環球處理此等款項。

The Client hereby authorises Blackwell Global to execute the following matters regarding the Monies held or received by Blackwell Global in Hong Kong, without further notice to or consent from the Client:

客戶特此授權博威環球就客戶在香港收取或持有的款項處理下列事項，而毋須向該客戶作進一步通知或徵求該客戶同意：

- 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 Blackwell Global may transfer any sum of Monies to and between such segregated account(s) to satisfy the Client's obligations or liabilities to Blackwell Global, whether such obligations and liabilities are actual, contingent, primary or collateral, secured or unsecured, or joint or several;
組合或合併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，博威環球可將該等獨立賬戶內任何數額之款項作出轉移，以解除客戶對博威環球的義務或法律責任，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；
- Set off or transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by Blackwell Global towards satisfaction of any of the Client liabilities to Blackwell Global; and
將款項的任何款額於於任何時候維持的獨立賬戶之間轉入轉出已結清客戶對博威環球負有的債務；及
- Exchange the Client's Monies into any other currency(ies) at the rate of exchange conclusively determined by Blackwell Global.
將客戶賬戶內的款項以博威環球最終確定的匯率兌換成任何其他貨幣。

The Client hereby authorises Blackwell Global to execute the following matters regarding the Monies held or received by Blackwell Global overseas, without further notice to or consent from the Client:

客戶特此授權博威環球就客戶在海外收取或持有的款項處理下列事項，而毋須向該客戶作進一步通知或徵求該客戶同意：

- Use all or part of the Monies at its discretion without prior notice, confirmation and/or instructions for the purposes of sale and purchase of overseas securities and/or compliance with settlement and/or deposit requirements;
毋須事先通知或取得客戶的確認及/或指示可酌情動用款項的全部或部份作買賣海外證券之用、符合交收或按金要求及其他用途；
- Pay/transfer any sum of Monies to the Client's securities trading account held with Blackwell Global, the futures trading account(s) of any overseas financial institution(s) and/or overseas clearing firm(s) and their successors for the purpose of trading or meeting the settlement or margin requirement (if applicable) of the Client's overseas securities transactions;
將任何數額之款項支付/轉往客戶於博威環球的賬戶及/或任何海外金融機構及/或結算公司的期貨賬戶及其繼承人及受讓人以作客戶買賣海外證券之用或符合交收或按金的要求(如適用)；
- Transfer the Monies interchangeably between the segregated account(s) opened and maintained by Blackwell Global in Hong Kong and the segregated account(s) opened and maintained by Blackwell Global with any overseas financial institution(s) and/or overseas clearing firm(s) outside Hong Kong; and/or
從博威環球在香港或其他地方設立之一或多個獨立賬戶及在任何海外金融機構及/或結算公司設立之獨立賬戶或於該等賬戶之間來回調動；及/或
- Enter into foreign exchange contracts necessary to facilitate the purchase or meet the settlement or margin requirement (if applicable) of the overseas securities on or before the date when the Monies are required to be converted into other currencies for payment at market rates in accordance with Blackwell Global's normal practice. Blackwell Global has sole discretion to decide the content of the foreign exchange contracts including but not limited to the timing.
訂立外幣兌換合約，適用於當日或之前為了購買海外期貨合約之用或符合交收或按金的要求(如適用)而需要將資金轉換為其他貨幣，此等兌換合約按博威環球慣例並以市場匯率訂立。外幣兌換合約的內容(包括但不限於訂約時間)由博威環球全權決定。

The Client understands that this Standing 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.

客戶明白其證券可能受制於第三者之權利，博威環球可於全數抵償該等權利後，方可將客戶的證券退回給客戶。

The Client acknowledges and confirms that the Client's assets (including the Monies) received or held by Blackwell Global overseas are subject to applicable laws and regulations of the relevant overseas jurisdiction which may be different from the Securities and Futures Ordinance (Cap.571) and the rules made thereunder. Consequently, such assets may not enjoy the same protection as that conferred on the Client's assets received or held in Hong Kong.

客戶確認，博威環球在香港以外地方收取或持有的客戶資產是受到有關海外司法管轄區的適用法律及規例所監管。該等法律及規例與《證券及期貨條例》（第 571 條）及根據該條例制訂的規則可能有所不同。因此，有關資產有可能不會享有賦予客戶在香港收取或持有的資產的相同保障。

When a client does not have any cash balance in his/her personal and/or joint account at Blackwell Global, and he/she, through his/her personal account and/or joint account, trades on margin and withdraws funds to meet the deposit and/or settlement requirements of other accounts, he/she may face additional risks and costs, including market risk, margin trading risk and any additional interest costs. (This paragraph is only applicable to margin accounts.)

當客戶在本公司的個人及/或聯名戶口沒有現金結餘時，若透過客戶的個人及/或聯名戶口進行股票孖展貸款，提取資金以滿足其他戶口的按金或交收要求，客戶將面對額外的風險與成本，包括市場風險、保證金交易風險等和需要承擔額外的利息成本。（本段只適用於證券融資帳戶）

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

本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。

The Client hereby agrees to indemnify, and to keep indemnified, Blackwell Global and the companies within the Blackwell Global Holdings Limited (or any of them) from and against all losses, damages, interests, costs, expenses, actions, demands, claims or proceedings of whatsoever nature which they (or any of them) may incur, suffer and/or sustain as a consequence of any transaction undertaken in pursuance of this Authority.

該客戶謹此同意向博威環球及博威環球控股有限公司的旗下公司（或其中任何公司）作出彌償保證，就彼等（或其中任何一方）根據此授權所進行的任何交易所產生、蒙受及/或承受之一切損失、損害、利息、費用、開支、行動、需求、申索或任何性質的法律程序獲得彌償。

The Client understands and agrees that Blackwell Global has the rights to suspend the Client account(s) held with Blackwell Global and request the Client to provide more information if there are any abnormal or suspicious activities in the Client's account(s).

客戶明白及同意，若客戶的帳戶有任何不尋常或可疑活動，博威環球有權凍結客戶的帳戶並要求客戶的帳戶提供更多資料。

The Client confirms that this Standing Authority has been explained to the Client and the Client fully understands the contents of this Standing Authority and has sought, or has had the opportunity to seek, legal advice concerning its contents and effect.

客戶確認博威環球已向其解釋本常設授權書，客戶完全明白本常設授權書的內容，並已經或有機會就其內容及效力尋求法律顧問的意見。

B Authority under Securities and Futures (Client Securities) Rules

根據《證券及期貨(客戶款項)規則》所設立的常設授權

The Client hereby authorises Blackwell Global to deal with Client Securities and Securities Collateral from time to time received or held by Blackwell Global on behalf of the Client in the following manner without further notice to or consent from the Client:

客戶特此授權博威環球按下列方式處理由或代表博威環球不時收取或持有的客戶證券及證券抵押品，而毋須向該客戶作進一步通知或徵求該客戶同意：

- To apply any of the Client Securities or Securities Collateral pursuant to a securities borrowing and lending agreement;
根據證券借貸協議，運用客戶的任何證券或證券抵押品；
- To deposit any of the Client Securities with an authorised financial institution as collateral for financial accommodation provided to Blackwell Global;
將客戶的任何證券抵押品存放於任何認可的金融機構，作為該機構向博威環球提供財務通融的抵押品；
- To deposit any of the Client Securities to Hong Kong Securities Clearing Company Limited ("HKSCC") as collateral to discharge and fulfill the Client's clearing and settlement obligations and liabilities. The Client understands that HKSCC will have a fixed charge over the Client Securities to the extent of the obligations and liabilities of Blackwell Global;
將客戶的任何證券存放於香港中央結算有限公司（下稱「香港結算」）作為博威環球解除和履行結算及交收義務及責任的抵押品。客戶明白，香港結算將按博威環球的義務及責任對客戶證券收取固定費用；
- To deposit any of the Client Securities collateral to any other recognised clearing house or any other registered and licensed intermediary which conducts securities transactions as a collateral to discharge and satisfy the Client's settlement obligations and liabilities;
將客戶的任何證券抵押品存放給任何其他認可結算所或者其他有獲發牌或獲註冊進行證券交易的中介人，作為解除博威環球在交收上的法律責任的抵押品；
- To apply any of the Client Securities in accordance with paragraphs (1), (2), (3) and (4) above if Blackwell Global provides financial accommodation to the Client in the course of dealing in securities and also provides financial accommodation to the Client in the course of any other regulated activities of which it is licensed;
若博威環球在證券交易過程中，以及任何其他已經獲發牌或已獲註冊的受規管活動過程中向客戶提供財務通融，則可根據上述第(1)、(2)、(3)和/或(4)段所述調動或存放客戶的任何證券抵押品；
- As regards to any action (including, without limitation, any rights or new issues or any consolidation, split or redenomination of funds stocks or shares or any other routine event) in connection with any of the Client Securities or Securities Collateral which affects the Client as the owner of such Client Securities or Securities Collateral, to subscribe, take up or dispose of any rights, benefits, interests or entitlements arising from them or to deal or act in any manner in accordance with any instruction from the Client whether the instruction is given in writing or by any other means (except that any applicable provisions in the constitutional and/or offering documents under which such Client Securities or Securities Collateral were issued, offered or sold shall always prevail and Blackwell Global is authorised to deal or act or refrain from dealing or acting in accordance with such provisions despite any instruction from the Client) or, in the absence of or delay in receiving instruction from the Client, in such manner as Blackwell Global considers appropriate to preserve the interests of the Client;

針對與任何客戶的證券或證券抵押品有關而影響到該客戶（作為該等客戶證券或證券抵押品的擁有人）之任何行動（包括但不限於任何供股或發行新股、基金股份或證券之合併、分拆或重訂面額或任何其他常規事件），可按客戶作出的任何指示（不論該指示是否以書面或任何其他方式發出），認購、接受或出售從該等事件所產生的任何權利、利益、權益或配額或以任何方式處理或行動（惟於任何時間均以據此發行、銷售或出售該等客戶證券或證券抵押品的組織章程及／或發售文件的任何適用條文為準，而即使收到該客戶的任何指示，博威環球有權根據上述條文進行有關交易或行動或不予進行有關交易或行動），或在沒有或延遲收到客戶指示的情況下，按博威環球認為可保障該客戶利益之合適方式行事；

7. To sell, dispose of or otherwise deal with any of the Client Securities or Securities Collateral on prevailing market conditions if such sale, disposal or dealing is required by any applicable law, rule, regulation or order or any direction, guideline, notice or restriction (whether or not having the force of law) issued by any competent authority, government agency, exchange or body or is otherwise for the protection of the Client and/or Blackwell Global; 倘任何適用法例、規則、規例或法令或任何具權力機構、政府機關、交易所或組織所頒佈的任何指令、指引、通知或限制（不論是否具有法律效力）規定進行有關出售、處置或處理，或為了保障該客戶及／或博威環球的利益，則可按當時市況出售、處置或處理任何客戶證券或證券抵押品；
8. To deal with any of the Client Securities or Securities Collateral in such manner as Blackwell Global considers appropriate to facilitate the provision of securities related services to the Client, taking into account any legal or regulatory requirement or prevailing market practice applicable to Blackwell Global from time to time; and
在符合不時適用於博威環球的任何法律或監管規定或當時的市場慣例的情況下，按博威環球認為有利於向該客戶提供證券相關服務之合適方式處理任何客戶證券或證券抵押品；及
9. To do all acts and things which are necessary for or incidental to the performance of the above activities or any of them.
進行為了執行上述活動或其中任何活動所需或附帶之一切行動及事宜。

The Client declares, undertakes and warrants that the Client has the sole beneficial ownership of the Client Securities and Securities Collateral free from all liens, charges and encumbrances (save and except those that may be created under the Securities Account Agreement between the Client and Blackwell Global during the continuance in force of this Authority.

該客戶聲明、承諾及保證，該客戶於此授權持續有效期間內擁有客戶證券及證券抵押品之獨有受益權，而不附帶任何留置權、抵押及產權負擔（根據該客戶與博威環球之間的證券賬戶協議可能設立者除外）。

The Client understands that this Standing Authority does not affect Blackwell Global's right to dispose of the Client Securities collateral on behalf of the Client's legal liability to Blackwell Global or a third party.

客戶明白本授權不影響博威環球為解除客戶對博威環球或第三者所負的法律責任，而處置或促使博威環球處置客戶證券抵押品的權利。

The Client understands that the Client Securities may be subject to the rights of a third party and Blackwell Global must fully compensate for such rights and return to the Client.

客戶明白客戶的證券或證券抵押品可能受制於第三者之權利，博威環球須全數抵償該等權利後，方可將客戶的證券或證券抵押品退回給客戶。

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

本授權並不損害博威環球可享有有關處理獨立賬戶內客戶證券的其他授權或權利。

The Client understands that this Standing Authority is given to Blackwell Global in consideration of Blackwell Global's agreement in opening and continuous maintaining Securities Cash/Margin Trading Account, Futures Trading Account(s) and Precious Metals Trading Account(s) with Blackwell Global for the Client.

客戶明白本常設授權乃鑑於博威環球同意開立及繼續維持客戶的證券現金／融資交易帳戶、期貨交易帳戶及貴金屬交易賬戶。

The Client hereby agrees to indemnify and to keep indemnified, Blackwell Global from and against all losses, damages, interests, costs, expenses, actions, demands, claims or proceedings of whatsoever nature which they (or any of them) may incur, suffer and/or sustain as a consequence of any transaction undertaken in pursuance of this Authority.

客戶謹此同意向博威環球作出彌償保證，就彼等（或其中任何一方）根據此授權所進行的任何交易所產生、蒙受及／或承受之一切損失、損害、利息、費用、開支、行動、需求、申索或任何性質的法律程序獲得彌償。

This Authority may be revoked by the Client at any time by serving on Blackwell Global 30 days' prior written notice to that effect. Such revocation shall not take effect until actual receipt by Blackwell Global of such written notice and shall not affect any transaction undertaken by Blackwell Global pursuant to this Authority prior to such revocation taking effect. Blackwell Global has the right to terminate any financial accommodation it has provided to the Client immediately by notice if Blackwell Global considers, in its opinion, that the absence of the Authority makes it impracticable for Blackwell Global to continue to provide such financial accommodation to the Client.

此授權可由該客戶隨時向博威環球發出 30 日的有關撤回的事先書面通知而撤回。該撤回將於博威環球實際收到該書面通知後才會生效，且不會影響在該撤回生效前博威環球已根據此授權進行的任何交易。如博威環球認為在欠缺此授權時會令其向該客戶提供財務融通不可行繼續，博威環球會向該客戶發出通知以立即停止其向該客戶提供的所有財務融通。

This Standing Authority is valid for a period of 12 months from the date hereof, subject to renewal by the Client or deemed renewal under the Client Money Rules or Client Securities Rules (as the case may be).

按照由客戶續期或根據客戶款項規則或客戶證券規則（視乎情況而定）當作已被續期所制約下，本常設授權書的有效期為十二(12)個月，自本常設授權書之簽發日起計有效。

The Client understands that a notice of renewal of the Standing Authority shall be sent to the Client at least 14 days prior to its expiry. If Blackwell Global does not receive a letter of objection to the renewal of the Standing Authority prior to its expiry, it shall be deemed to have agreed to renew the Standing Authority for a period of 12 months upon the terms and conditions as specified in the Standing Authority.

客戶明白本常設授權續期通知書將於常設授權屆滿前最少十四天寄予客戶。如博威環球於常設授權有效期屆滿前未有接獲客戶書面反對，則客戶之常設授權會在屆滿時按照常設授權的條款及細則視為同意續期十二個月。

This Standing Authority shall remain effective until the expiration date or until the Standing Authority is revoked by the Client, whichever is earlier.

除非本常設授權書到期或於到期前被撤回（以較早者為準），否則本常設授權書保持有效。

The Client confirms that this Standing Authority has been explained to the Client and the Client fully understands the contents of this Standing Authority and has sought, or has had the opportunity to seek, legal advice concerning its contents and effect.

客戶確認博威環球已向其解釋本常設授權書，客戶完全明白本常設授權書的內容，並已經或有機會就其內容及效力尋求法律顧問的意見。

The Client agrees that Blackwell Global may contact the Client via telephone or e-mail from time to time, for the purpose of improving client communication and delivering better quality customer service.

客戶同意博威環球可以不時以電話或電郵聯絡客戶，以改善客戶溝通及提供更優質客戶服務為目的。

The Client understands that, in the event of any discrepancy between the English and Chinese version, the English version shall prevail.

客戶明白，倘若中文版本與英文版本在解釋或意義方面有任何歧義，應以英文版本為準。

Definition and Interpretation 名詞定義及釋義

"Client Securities" means any Securities (other than Securities Collateral) received or held by or on behalf of Blackwell Global which are so received or held on behalf of the Client or in which the Client has a legal or equitable interest;

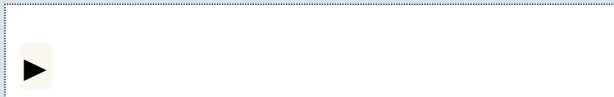

「客戶證券」指由或代表博威環球代表該客戶收取或持有或該客戶在當中擁有法定或衡平法權益之任何證券（證券抵押品除外）；

"Securities Collateral" means any Securities deposited with or otherwise provided by or on behalf of the Client to Blackwell Global or any other person, in the course of the conduct of any regulated activity for which Blackwell Global is registered or is required to register under the SFO, to secure or facilitate the provision of financial accommodation by Blackwell Global; and

「證券抵押品」指在進行博威環球已根據《證券及期貨條例》註冊或須予註冊的任何受規管活動過程中，為了方便博威環球提供財務融通，而由該客戶或其代表存放於或以其他方式提供予博威環球或任何其他人士之任何證券；及

"SFO" means the Securities and Futures Ordinance (Chapter 571 of the Laws of Hong Kong) and any subsidiary legislation made thereunder, as amended or substituted from time to time.

「《證券及期貨條例》」指香港法例第 571 章《證券及期貨條例》及經不時據此制訂或修訂或替代之任何附屬法例。

C Signature of the Client 客戶簽署	
Signature 簽署 - Individual Client 個人客戶	
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For Internal Use Only 僅供內部使用

Verified by	Approved by	Data entry by	Checked by
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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目前的收入來源。
- ☐ 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目前的收入來源。

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。

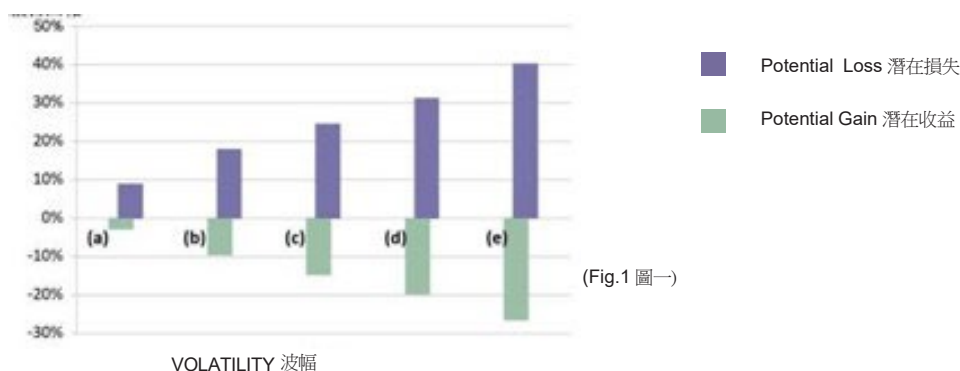
- ☐ c. I would sell 20% to 30% of my investment portfolio.
我會出售投資組合內百分之二十至百分之三十的產品。
- ☐ d. I would sell no more than 20% of my investment portfolio.
我會出售投資組合內不多於百分之二十的產品。
- ☐ e. I would not have to sell any of my investment portfolio.
我不會出售任何投資組合內的產品。
4. It is generally true that the longer the investment 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



VOLATILITY 波幅

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?

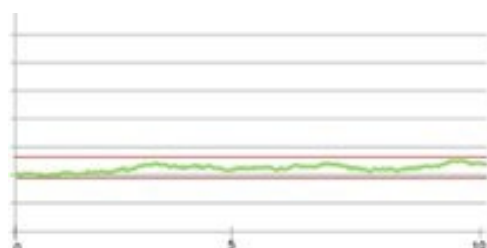
- a. I do not wish to hold on to any investments at a loss and will sell the investments immediately even if the drop in value is small.
我不願意持有任何虧損的投資, 即使跌幅輕微也會立刻出售。
- b. I will sell the investments if the drop in value is large.
倘若下跌幅度較大, 我會將投資出售。
- c. I will sell some of the investments if the drop 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。

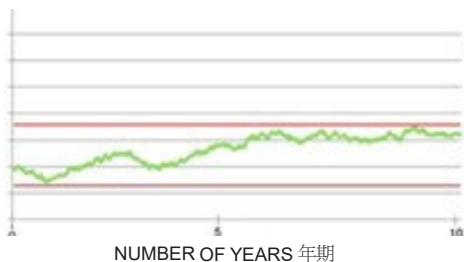
INDEX PRICE 指數價格



NUMBER OF YEARS 年期

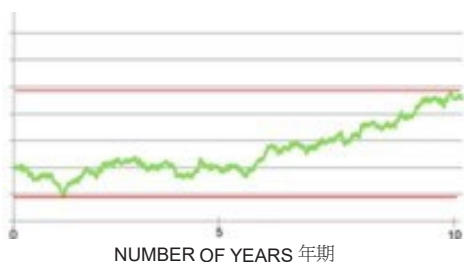
- b. Portfolio (b) - Fluctuation of more than 10% with more potential gain/loss
投資組合(b) — 價值可能有較多波動，上下波幅10%，潛在收益及損失較多。

INDEX PRICE 指數價格



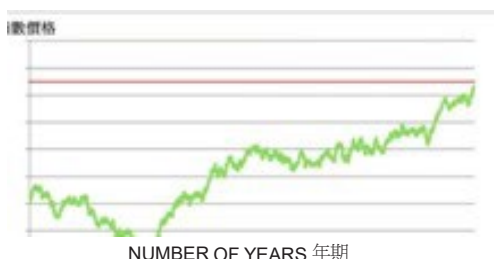
- c. Portfolio (c) - Fluctuation of more than 15% with moderate gain/loss
投資組合(c) — 價值可能有適度波動，上下波幅15%，潛在收益及損失適中。

INDEX PRICE 指數價格



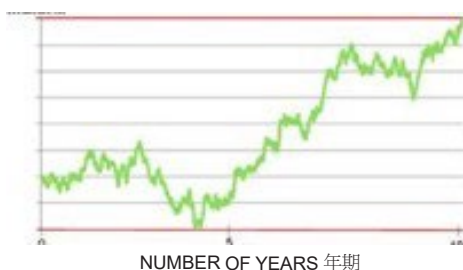
- d. Portfolio (d) - Fluctuation of more than 20% with high gain/loss
投資組合(d) — 價值可能有相當大幅波動，上下波幅20%，潛在收益及損失頗多。

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



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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

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1. 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.
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3. 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