



Goldhorse Securities Limited
金馬證券有限公司
SFC C.E. No 證監會中央編號: BFU406
Unit 4308, 43/F, COSCO Tower,
183 Queen's Road Central, Hong Kong
香港皇后大道中 183 號中遠大廈 43 樓 4308 室
Tel 電話: (852) 2153 3538 Fax 傳真: (852) 3974 5275

| | |
|------------------------------|-------|
| Account Number 帳戶號碼 | _____ |
| Account Opening Date 開戶日期 | _____ |

(For internal use only. 只供內部填寫。)

Cash Integrated Securities Account Opening Form (Institutional Professional Investor)
現金綜合證券帳戶開戶表格 (機構專業投資者)

- Note 註: 1. Cash Integrated Securities Account includes Hong Kong Stock Market and Global Stock Market together with electronic trading service.
現金綜合證券帳戶包括香港股票市場及環球股票市場，並備有電子交易服務。
2. Please tick ✓ the appropriate box. 請於適當空格內加上剔✓號。
3. For item with + symbol, please provide supporting document. 對於帶+號的項目，請提供證明文件。

| Mode of Receiving Statement and Notification 結單及通知收取方式 | Language for Communication 通訊語言 | If the Client requires separate trading service (with electronic trading service), please select: 如客戶需要獨立交易服務(備有電子交易服務)，請選擇: |
|---|--|---|
| <input type="checkbox"/> By E-mail 電郵 | <input type="checkbox"/> Chinese 中文 | <input type="checkbox"/> Hong Kong Stock Market 香港股票市場 |
| <input type="checkbox"/> By Mail (with charge) 郵寄(需收費) | <input type="checkbox"/> English 英文 | <input type="checkbox"/> Global Stock Market 環球股票市場 |

| 1. Account Information 帳戶資料 | |
|--|---|
| 1.1 General Information 基本資料 | |
| Chinese Name 中文名稱 | _____ |
| English Name ⁺ 英文名稱 ⁺ | _____ |
| Type 類別 | <input type="checkbox"/> Limited Company 有限公司 <input type="checkbox"/> Unlimited Company 無限公司 <input type="checkbox"/> Sole Proprietorship 獨資企業 <input type="checkbox"/> Partnership 合夥企業 <input type="checkbox"/> Private Company 私人公司 <input type="checkbox"/> Fund 基金 <input type="checkbox"/> Trust 信托 <input type="checkbox"/> Listing Company 上市公司: Place of Listing 上市地方 _____; Stock Code 股票編號 _____ <input type="checkbox"/> Others 其他 (Please specify 請註明): _____ |
| Place of Registration/Incorporation ⁺ 註冊/成立地方 ⁺ | _____ |
| Registration/Incorporation Number ⁺ 註冊/成立號碼 ⁺ | _____ |
| Nature of Business 業務性質 | _____ |
| Information of Contact Person 聯絡人資料 | Name 姓名 _____ Position 職位 _____ |
| Contact Phone Number 聯絡電話號碼 | Country/Area Code 國家/地區編號 - Number 號碼 _____ |
| E-mail (for receiving statement and notification) 電郵地址 (用作收取結單及通知) | _____ |
| Registered Address ⁺ 註冊地址 ⁺ | Suite/Floor/Building/Street/District 室/樓層/大廈/街道/地區 _____ City 城市 _____ Province/State 省/州 _____ Country 國家 _____ Post Code/ZIP Code 郵政編碼/郵遞區號碼 _____ |

| | | | | | | | | | | | |
|--|---|---|--|------------|--|-----------------------|--|---------------|--|----------------------------------|--|
| Principal/Current Business Address 主要/現時營業地址 | <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%; border-bottom: 1px solid black;">Suite/Floor/Building/Street/District 室/樓層/大廈/街道/地區</td> <td style="width: 40%;"></td> </tr> <tr> <td style="border-bottom: 1px solid black;">City 城市</td> <td></td> </tr> <tr> <td style="border-bottom: 1px solid black;">Province/State 省/州</td> <td></td> </tr> <tr> <td style="border-bottom: 1px solid black;">Country 國家</td> <td></td> </tr> <tr> <td style="border-bottom: 1px solid black;">Post Code/ZIP Code 郵政編碼/郵遞區號碼</td> <td></td> </tr> </table> | Suite/Floor/Building/Street/District 室/樓層/大廈/街道/地區 | | City 城市 | | Province/State 省/州 | | Country 國家 | | Post Code/ZIP Code 郵政編碼/郵遞區號碼 | |
| Suite/Floor/Building/Street/District 室/樓層/大廈/街道/地區 | | | | | | | | | | | |
| City 城市 | | | | | | | | | | | |
| Province/State 省/州 | | | | | | | | | | | |
| Country 國家 | | | | | | | | | | | |
| Post Code/ZIP Code 郵政編碼/郵遞區號碼 | | | | | | | | | | | |

1.2 Information of Director(s) 董事資料

| Name ⁺ 姓名 ⁺ | Identity Card/Passport ⁺ 身份證/護照 ⁺ | | Contact Phone Number 聯絡電話號碼 | Residential Address ⁺ 住宅地址 ⁺ |
|--------------------------------------|--|-------------------------|-----------------------------------|---|
| | Number 號碼 | Issuing Country 簽發國家 | | |
| | | | | |
| | | | | |
| | | | | |

1.3 Information of Substantial Shareholder(s) 主要股東資料

Substantial Shareholder: Any person has the right to exercise or control the exercise of 10% or more of the issued shares or voting rights at any shareholder meeting of a company.
 主要股東: 任何人士有權於一間公司之任何股東大會上行使或可控制行使 10%或以上之股權或投票權。

| Name ⁺ 姓名 ⁺ | Identity Card/Passport ⁺ 身份證/護照 ⁺ | | Contact Phone Number 聯絡電話號碼 | Residential Address ⁺ 住宅地址 ⁺ |
|--------------------------------------|--|-------------------------|-----------------------------------|---|
| | Number 號碼 | Issuing Country 簽發國家 | | |
| Shareholding 持股 (%): | | | | |
| Shareholding 持股 (%): | | | | |
| Shareholding 持股 (%): | | | | |

1.4 Information for the Authorized Person(s) to Operate the Account 獲授權操作帳戶人士資料

| Name ⁺ 姓名 ⁺ | Identity Card/Passport ⁺ 身份證/護照 ⁺ | | Position 職位 | Specimen Signature 簽署式樣 | Instruction 指示 |
|--------------------------------------|--|-------------------------|----------------|----------------------------|--|
| | Number 號碼 | Issuing Country 簽發國家 | | | |
| | | | | | <input type="checkbox"/> Trading <input type="checkbox"/> Non-Trading |
| | | | | | <input type="checkbox"/> Trading <input type="checkbox"/> Non-Trading |
| | | | | | <input type="checkbox"/> Trading <input type="checkbox"/> Non-Trading |
| | | | | | <input type="checkbox"/> Trading <input type="checkbox"/> Non-Trading |
| | | | | | <input type="checkbox"/> Trading <input type="checkbox"/> Non-Trading |
| | | | | | <input type="checkbox"/> Trading <input type="checkbox"/> Non-Trading |

Signature Arrangement for non-trading instructions 簽署安排

☐ Written instruction(s) signed by any one of the above-mentioned authorized person(s). 任何一位上述獲授權人士簽署之書面指示。

☐ Written instruction(s) signed by any ____ of the above-mentioned authorized person(s). 任何 ____ 位上述獲授權人士簽署之書面指示。

1.6 Declaration of Tax Residency 稅務居民身份聲明

1.6.1 Foreign Account Tax Compliance Act (“FATCA”) 海外帳戶稅收合規法案

- a. Is your company registered in United States (“U.S.”) as corporate/fund/trust?
貴司是否為美國註冊的企業/基金/信託?
☐ No, please fill in Form W-8BEN-E. 否, 請填寫 W-8BEN-E 表格。 ☐ Yes, account opening not accepted 不接受開戶。
- b. Is any director and/or substantial shareholder of your company a resident, citizen (including holder of Green Card) or taxpayer of U.S.?
貴司之任何董事及/或主要股東是否為美國公民、居民(包括綠卡持有者)或納稅人?
☐ No 否 ☐ Yes, account opening not accepted 不接受開戶。

1.6.2 Automatic Exchange of Financial Account Information 自動交換財務帳戶資料

a. Entity Type 實體類別

| | |
|--|---|
| Financial Institution 財務機構 | <input type="checkbox"/> Custodial Institution, Depository Institution or Special Insurance Company 託管機構、存款機構或指明保險公司 <input type="checkbox"/> Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity's assets) and located in a non-participating jurisdiction 投資實體, 但不包括由另一財務機構管理(例如: 擁有酌情權管理投資實體的資產)並位於非參與稅務管轄區的投資實體 |
| Active Non-financial Entity (“NFE”) 主動非財務實體 | <input type="checkbox"/> NFE the stock of which is regularly traded on _____, which is an established securities market 該非財務實體的股票經常在 _____ (一個具規模證券市場) 進行買賣 <input type="checkbox"/> Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market _____ 的有關連實體, 該有關連實體的股票經常在 _____ (一個具規模證券市場) 進行買賣 <input type="checkbox"/> NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities 政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體 <input type="checkbox"/> Active NFE other than the above (Please specify _____) 除上述以外的主動非財務實體 (請說明 _____) |
| Passive NFE 被動非財務實體 | <input type="checkbox"/> Investment entity that is managed by another financial institution and located in a non-participating jurisdiction 位於非參與稅務管轄區並由另一財務機構管理的投資實體 <input type="checkbox"/> NFE that is not an active NFE 不屬主動非財務實體的非財務實體 |

b. Controlling Persons (Complete this part if the account holder is a passive NFE)

控權人(如帳戶持有人是被動非財務實體, 需填此部分)

Indicate the name of all controlling person(s) of the account holder in the table below. If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official.

Complete Self-Certification Form – Controlling Person for each controlling person.

就帳戶持有人, 填寫所有控權人的姓名在列表內。就法人實體, 如行使控制權的並非自然人, 控權人會是該法人實體的高級管理人員。

每名控權人須分別填寫一份自我證明表格-控權人。

| | |
|-------|------|
| (i) | (iv) |
| (ii) | (v) |
| (iii) | (vi) |

c. Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder's taxpayer identification number or its functional equivalent (“TIN”) for each jurisdiction indicated. Indicate all jurisdictions of residence.

提供以下資料, 列明(a)帳戶持有人的居留司法管轄區, 亦即帳戶持有人的稅務管轄區(香港包括在內)及(b)該居留司法管轄區發給帳戶持有人的稅務編號或具有等同功能的識別編號(以下簡稱「稅務編號」)。列出所有居留司法管轄區。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number.

如帳戶持有人是香港稅務居民, 稅務編號是其香港商業登記號碼。

If the account holder is not a tax resident in any jurisdiction (e.g. fiscally transparent), indicate the jurisdiction in which its place of effective management is situated.

如果帳戶持有人並非任何稅務管轄區的稅務居民(例如: 它是財政透明實體), 填寫實際管理機構所在的稅務管轄區。

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:

Reason 理由 A The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.
帳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 理由 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.
帳戶持有人不能取得稅務編號。如選取這一理由, 解釋帳戶持有人不能取得稅務編號的原因。

Reason 理由 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.
帳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帳戶持有人披露稅務編號。

| 7. Client's Declaration and Acknowledgement 客戶聲明及確認 | |
|---|--|
| 7.1 General Declaration 一般聲明 | |
| 7.1.1 | <p>The Client (that is/are the person(s) who signed this account opening form) agrees to open the above-mentioned account with Goldhorse Securities Limited ("Goldhorse Securities") and comply with the rules and regulations as amended from time to time of the Securities and Futures Commission of Hong Kong, the Hong Kong Exchanges and Clearing Limited and other regulatory authorities.</p> <p>客戶(即簽署此開戶表格之人士)同意於金馬證券有限公司(下稱「金馬證券」)開立上述帳戶，並遵守香港證券及期貨監察委員會、香港交易所及其他監管機構不時修訂之條例及規則。</p> |
| 7.1.2 | <p>The Client clearly understands that Goldhorse Securities shall request more relevant information or supporting documents from the Client for the purpose of opening the above-mentioned account. The Client submitting this account opening form to Goldhorse Securities and the acceptance of this account opening form by Goldhorse Securities does not mean that Goldhorse Securities agrees to open an account with the Client. Goldhorse Securities reserves the right to refuse the Client to open the above-mentioned account.</p> <p>客戶清楚明白金馬證券會要求其提供更多相關的資料或證明文件以作開立上述帳戶之用。客戶向金馬證券遞交此開戶表格及金馬證券接納此開戶表格並非表示金馬證券同意開立帳戶予客戶。金馬證券保留拒絕客戶開立上述帳戶之權力。</p> |
| 7.1.3 | <p>The Client confirms that the information provided in this account opening form are true and accurate. Unless the Client sends a notice to Goldhorse Securities to change the Client's personal information in a manner approved by Goldhorse Securities, Goldhorse Securities reserves the right to continue to rely on the information provided by the Client for any purpose.</p> <p>客戶確認其於此開戶表格內提供的資料是真實和準確的。除非客戶以金馬證券認可之方式向金馬證券發出其更改個人資料通知，否則金馬證券有權為任何目的繼續信賴客戶已向其提供的資料。</p> |
| 7.1.4 | <p>The Client agrees that Goldhorse Securities can contact any person at any time, including banks or credit rating agencies, to check or review the information provided by the Client.</p> <p>客戶同意金馬證券能隨時聯絡任何人士，包括銀行或信用評估機構，以查核或審核客戶所提供之資料。</p> |
| 7.1.5 | <p>If there is any change to the Client's personal or account information, the Client confirms that the Client shall immediately notify Goldhorse Securities in a manner approved by Goldhorse Securities.</p> <p>如客戶的個人或帳戶資料有任何變更，客戶確認其會立即以金馬證券認可之方式通知金馬證券。</p> |
| 7.1.6 | <p>Unless otherwise specified, the Client confirms that the Client is acting for the Client's account and as principal in relation to each transaction entered with Goldhorse Securities and the Client shall be the ultimate beneficiary and ultimately responsible for giving instructions of the account and transaction(s).</p> <p>除另有說明外，客戶確認其為其帳戶行事及以當事人身份與金馬證券訂立每一項交易，所有客戶與金馬證券訂立有關交易之最終受益人及最終發出交易指示的人均為客戶。</p> |
| 7.1.7 | <p>The Client confirms that the Client has received the fee schedule of the above-mentioned account and agrees to the relevant fees as amended from time to time.</p> <p>客戶確認其已收取上述帳戶之收費表及同意有關不時修訂之收費。</p> |
| 7.1.8 | <p>The Client confirms that the Client has read and understood all the terms and conditions contained in the Client Agreement applicable to the account type selected by the Client and agrees to be bound by these terms and conditions. The Client also accepts and agrees that Goldhorse Securities has the right to amend the terms and conditions of the Client Agreement from time to time (the "Relevant Amendments") and shall notify the Client of the Relevant Amendments. Unless Goldhorse Securities receives a notice from the Client for the objection to the Relevant Amendments or cancellation of the account, it shall indicate that the Client has accepted the Relevant Amendments.</p> <p>客戶確認其已閱讀及明白客戶協議書中所載的適用於客戶所選擇之帳戶類別之一切條款及細則，並同意接受該等條款及細則的約束。客戶亦接納及同意金馬證券有權不時修訂客戶協議書之條款及細則(下稱「有關修訂」)，並會向客戶發出有關修訂之通知。除非金馬證券收到客戶反對有關修訂或取消帳戶之通知，否則應當作表示客戶已接納有關修訂。</p> |
| 7.1.9 | <p>The Client confirms that the Client has received the Client Agreement of Goldhorse Securities, other documents related to account opening and the risk disclosure statements of the above-mentioned account in the language of the Client's choice (English or Chinese) and has been invited to read the terms and conditions of the Client Agreement and related risk disclosure statements, asking questions, and taking independent advice (if the Client wishes).</p> <p>客戶確認已按照其所選擇的語言(英文或中文)收取金馬證券之客戶協議書、其他與開戶有關之文件及上述帳戶風險披露聲明，並已獲邀請閱讀客戶協議書條款及細則及相關風險披露聲明、提出問題及徵求獨立的意見(如客戶有此意願)。</p> |
| 7.1.10 | <p>If the Client is classified as "no knowledge to derivative products", the Client confirms that the Client has carefully read the risks involved in the investment of derivative products contained in the related risk disclosure statements of the Client Agreement and fully understands such related risks involved. Although the Client may not have experience in investing in derivative products, the Client may still trade derivative products based on the independent judgment of the Client and is willing to bear all the risks of investing in derivative products.</p> <p>如客戶被歸類為「對衍生產品沒有認識」，客戶確認其已仔細閱讀在客戶協議書之相關風險披露聲明內所列明的有關投資衍生產品所涉及的風險，並完全明白當中所述之相關風險。儘管客戶可能沒有投資衍生產品的經驗，客戶可能基於其獨立判斷仍要求進行衍生產品交易，並願意承擔所有投資衍生產品的風險。</p> |
| 7.1.11 | <p>The Client acknowledges that the Client has carefully read the Personal Information Collection Statement and fully agrees to such relevant terms and conditions and that Goldhorse Securities can use the Client's personal data in accordance with such relevant terms and conditions (except as described in section 4 of this account opening form). The Client also understands and acknowledges that Goldhorse Securities intends to use the Client's personal data for direct marketing and cross-border transfer of personal data. Goldhorse Securities must receive the Client's consent for the use of such personal data, otherwise Goldhorse Securities shall not use such personal data. The Client clearly understands, acknowledges and agrees that unless the Client decides to notify Goldhorse Securities in section 4 of this account opening form or at any time in accordance with the Personal Information Collection Statement to refuse the use of such personal data, Goldhorse Securities shall comply with the Personal Information Collection Statement to use the Client's personal data by any means in direct marketing and cross-border transfer of personal data.</p> <p>客戶承認已詳閱個人資料收集聲明，並完全同意相關條款及細則及金馬證券可根據相關條款及細則使用客戶的個人資料(此開戶表格第4部份所述除外)。客戶亦明白及承認金馬證券擬把客戶之個人資料使用於直接促銷及跨境個人資料轉讓，金馬證券須收到客戶對該等個人資料使用的同意，否則不得如此使用該等個人資料。客戶清楚明白、承認及同意除非客戶決定如此開戶表格第4部份所述或根據個人資料收集聲明所載隨時通知金馬證券而拒絕該等個人資料之使用，金馬證券能將根據個人資料收集聲明使用客戶之個人資料以任何途徑於直接促銷及跨境個人資料轉讓。</p> |

| | | | |
|---|--|--|--|
| <p>7.1.12</p> <p>7.1.13</p> <p>7.1.14</p> | <p>Applicable to the Client with electronic trading service 適用於電子交易服務之客戶</p> <p>i. The Client has read and understood the terms of the electronic trading service contained in the Client Agreement and agrees to be bound by these terms. 客戶已閱讀並明白在客戶協議書中所載之電子交易服務的條款，並同意接受該等條款約束。</p> <p>ii. The Client confirms that the Client is aware of the risks of electronic trading and is willing to bear all the risks of electronic trading. 客戶確認其已知悉電子交易之風險，並願意承擔所有電子交易之風險。</p> <p>iii. Unless otherwise requested, the Client agrees that Goldhorse Securities shall send the Client's electronic trading account number and password via SMS or email. 除非另有要求，客戶同意金馬證券將以短訊或電子郵件寄出客戶的電子交易帳號及密碼。</p> <p>Applicable to the Client with trading service of global stock market 適用於環球股票市場交易服務之客戶</p> <p>i. The Client agrees to read the applicable rules and regulations as amended from time to time on the website of the relevant global stock exchanges and regulatory authorities for the trading of global securities (the "Global Securities Trading Rules and Regulations") and confirms to comply with the Global Securities Trading Rules and Regulations. 客戶同意自行於相關環球證券交易所網站閱讀適用於其環球股票交易之相關環球證券交易所及監管機構不時修訂之條例及規則(下稱「環球證券交易條例及規則」)，並確認會遵守環球證券交易條例及規則。</p> <p>ii. The Client confirms that the Client is aware of the risks of investing in global securities and is willing to bear all the risks of investing in global securities. 客戶確認其已知悉投資環球證券之風險，並願意承擔所有投資環球證券之風險。</p> <p>iii. The Client confirms that the Client is aware of certain tax(es) and/or charge(s) required to pay for investing in certain types of global securities (including but not limited to levies of regulatory authorities and/or exchanges, stamp duty, value-added tax, sales tax or dividend withholding tax, etc.), and agrees that Goldhorse Securities has the sole and absolute discretion to reserve and/or deduct any funds from the Client's account to meet the above-mentioned requirements. The Client confirms that, under any circumstances, Goldhorse Securities shall not be liable for any loss or damage to the Client caused by the withholding or deduction of the relevant funds under the fulfillment of the above-mentioned requirements. 客戶確認其已知悉投資某類環球證券需要繳付特定稅項及/或收費(包括但不限於監管機構及/或交易所徵費、印花稅、增值稅、銷售稅或股息預扣稅等)，並同意金馬證券，享有唯一及絕對的酌情權，從其帳戶中預留及/或扣除任何款項以符合上述之要求。客戶確認，在任何情況下，金馬證券將不會為任何因履行上述要求下預扣或扣除有關款項所引致客戶之損失及損害負上責任。</p> <p>iv. The Client agrees that Goldhorse Securities can report the Client's personal data and/or transaction information to the relevant global stock exchanges and regulatory authorities (the "Relevant Institutions") in accordance with the requests of the Relevant Institutions. 客戶同意金馬證券能根據相關環球證券交易所及監管機構(下稱「有關機構」)之要求，把客戶個人資料及/或交易資料向有關機構申報。</p> <p>The Client confirms and agrees that Goldhorse Securities has no responsibility or obligation to provide any tax advice to the Client. If the Client has any tax questions or does not know the tax status or residency, the Client must seek independent advice. 客戶確認及同意金馬證券沒有任何責任及義務向客戶提供任何關於稅務方面之建議。如客戶有任何稅務方面之疑問或不了解其稅務身份或居所狀況，客戶須徵求獨立之意見。</p> | | |
| <p>7.1.15</p> <p>7.1.16</p> | <p>The Client agrees to browse the latest Client Agreement and fee schedule on the website of Goldhorse Securities (http://www.igoldhorse.com) and acknowledges that Goldhorse Securities shall publish the latest Client Agreement and fee schedule on its website in due course. 客戶同意自行到金馬證券網站(http://www.igoldhorse.com)瀏覽最新之客戶協議書及收費表，並知悉金馬證券會適時於其網站發佈最新之客戶協議書及收費表。</p> <p>If there is any ambiguity between the Chinese and English versions of this account opening form, the English version shall prevail. 如此開戶表格之中英文版本有任何歧義，將以英文版本為準。</p> | | |
| <p>7.2 Declaration of Foreign Account Tax Compliance Act 海外帳戶稅收合規法案聲明</p> | | | |
| <table border="1"> <tr> <td data-bbox="113 1406 236 2067"> <p>7.2.1</p> <p>7.2.2</p> <p>7.2.3</p> </td> <td data-bbox="244 1406 1497 2067"> <p>Important Notes 重要提示：</p> <p>With effect from July 2014, Foreign Account Tax Compliance Act ("FATCA") has been enacted by U.S. FATCA aims to prevent the non-compliance with U.S. tax obligations by U.S. taxpayers holding foreign financial accounts. According to the information published by the U.S. Internal Revenue Service (the "IRS"), FATCA requires foreign financial institutions ("FFIs") to conduct certain due diligence procedures to identify and report to the IRS information in respect of foreign financial accounts held by (i) U.S. taxpayers; or (ii) foreign entities in which U.S. taxpayers hold a substantial ownership interests. 美國制定的海外帳戶稅收合規法案(下稱「FATCA」)於 2014 年 7 月起生效。FATCA 旨在防止美國納稅人利用海外金融帳戶不遵守美國稅收義務。據美國國稅局表示，FATCA 要求海外金融機構遵從有關盡職調查程序，以辨認及向美國國稅局匯報 (i) 美國人士或 (ii) 美國納稅人持有主要權益之海外實體所持有的海外金融戶口資料。</p> <p>The Client acknowledges and agrees that (i) the information contained in this account opening form is collected and may be kept by Goldhorse Securities for the purpose of FATCA, and (ii) such information and information regarding the Client and any reportable account(s) may be reported by Goldhorse Securities to the IRS for tax purposes. 客戶知悉及同意，金馬證券可根據 FATCA，(i) 收集此開戶表格所載資料並可備存作 FATCA 用途及(ii) 把該等資料和關於客戶及任何須申報帳戶的資料向美國國稅局申報。</p> <p>The Client undertakes to advise Goldhorse Securities of any change in circumstances which affects the tax residency status of the Client identified in this account opening form or causes the information contained herein to become incorrect, and to provide Goldhorse Securities with a suitably updated W-8BEN or W9 form within 30 days of such change in circumstances. 客戶承諾，如情況有所改變，以致影響此開戶表格所述的個人稅務居民身分，或引致本表格所載的資料不正確，客戶會通知金馬證券，並會在情況發生改變後 30 日內，向金馬證券提交一份已適當更新的 W-8BEN 或 W9 表格。</p> <p>The Client agrees that the Client is required to provide any information or documents required by Goldhorse Securities to comply with FATCA in a timely manner. 客戶同意其需及時提供金馬證券為遵守 FATCA 之任何資料或文件。</p> </td> </tr> </table> | | <p>7.2.1</p> <p>7.2.2</p> <p>7.2.3</p> | <p>Important Notes 重要提示：</p> <p>With effect from July 2014, Foreign Account Tax Compliance Act ("FATCA") has been enacted by U.S. FATCA aims to prevent the non-compliance with U.S. tax obligations by U.S. taxpayers holding foreign financial accounts. According to the information published by the U.S. Internal Revenue Service (the "IRS"), FATCA requires foreign financial institutions ("FFIs") to conduct certain due diligence procedures to identify and report to the IRS information in respect of foreign financial accounts held by (i) U.S. taxpayers; or (ii) foreign entities in which U.S. taxpayers hold a substantial ownership interests. 美國制定的海外帳戶稅收合規法案(下稱「FATCA」)於 2014 年 7 月起生效。FATCA 旨在防止美國納稅人利用海外金融帳戶不遵守美國稅收義務。據美國國稅局表示，FATCA 要求海外金融機構遵從有關盡職調查程序，以辨認及向美國國稅局匯報 (i) 美國人士或 (ii) 美國納稅人持有主要權益之海外實體所持有的海外金融戶口資料。</p> <p>The Client acknowledges and agrees that (i) the information contained in this account opening form is collected and may be kept by Goldhorse Securities for the purpose of FATCA, and (ii) such information and information regarding the Client and any reportable account(s) may be reported by Goldhorse Securities to the IRS for tax purposes. 客戶知悉及同意，金馬證券可根據 FATCA，(i) 收集此開戶表格所載資料並可備存作 FATCA 用途及(ii) 把該等資料和關於客戶及任何須申報帳戶的資料向美國國稅局申報。</p> <p>The Client undertakes to advise Goldhorse Securities of any change in circumstances which affects the tax residency status of the Client identified in this account opening form or causes the information contained herein to become incorrect, and to provide Goldhorse Securities with a suitably updated W-8BEN or W9 form within 30 days of such change in circumstances. 客戶承諾，如情況有所改變，以致影響此開戶表格所述的個人稅務居民身分，或引致本表格所載的資料不正確，客戶會通知金馬證券，並會在情況發生改變後 30 日內，向金馬證券提交一份已適當更新的 W-8BEN 或 W9 表格。</p> <p>The Client agrees that the Client is required to provide any information or documents required by Goldhorse Securities to comply with FATCA in a timely manner. 客戶同意其需及時提供金馬證券為遵守 FATCA 之任何資料或文件。</p> |
| <p>7.2.1</p> <p>7.2.2</p> <p>7.2.3</p> | <p>Important Notes 重要提示：</p> <p>With effect from July 2014, Foreign Account Tax Compliance Act ("FATCA") has been enacted by U.S. FATCA aims to prevent the non-compliance with U.S. tax obligations by U.S. taxpayers holding foreign financial accounts. According to the information published by the U.S. Internal Revenue Service (the "IRS"), FATCA requires foreign financial institutions ("FFIs") to conduct certain due diligence procedures to identify and report to the IRS information in respect of foreign financial accounts held by (i) U.S. taxpayers; or (ii) foreign entities in which U.S. taxpayers hold a substantial ownership interests. 美國制定的海外帳戶稅收合規法案(下稱「FATCA」)於 2014 年 7 月起生效。FATCA 旨在防止美國納稅人利用海外金融帳戶不遵守美國稅收義務。據美國國稅局表示，FATCA 要求海外金融機構遵從有關盡職調查程序，以辨認及向美國國稅局匯報 (i) 美國人士或 (ii) 美國納稅人持有主要權益之海外實體所持有的海外金融戶口資料。</p> <p>The Client acknowledges and agrees that (i) the information contained in this account opening form is collected and may be kept by Goldhorse Securities for the purpose of FATCA, and (ii) such information and information regarding the Client and any reportable account(s) may be reported by Goldhorse Securities to the IRS for tax purposes. 客戶知悉及同意，金馬證券可根據 FATCA，(i) 收集此開戶表格所載資料並可備存作 FATCA 用途及(ii) 把該等資料和關於客戶及任何須申報帳戶的資料向美國國稅局申報。</p> <p>The Client undertakes to advise Goldhorse Securities of any change in circumstances which affects the tax residency status of the Client identified in this account opening form or causes the information contained herein to become incorrect, and to provide Goldhorse Securities with a suitably updated W-8BEN or W9 form within 30 days of such change in circumstances. 客戶承諾，如情況有所改變，以致影響此開戶表格所述的個人稅務居民身分，或引致本表格所載的資料不正確，客戶會通知金馬證券，並會在情況發生改變後 30 日內，向金馬證券提交一份已適當更新的 W-8BEN 或 W9 表格。</p> <p>The Client agrees that the Client is required to provide any information or documents required by Goldhorse Securities to comply with FATCA in a timely manner. 客戶同意其需及時提供金馬證券為遵守 FATCA 之任何資料或文件。</p> | | |

| | |
|---|---|
| 7.2.4 | <p>The Client agrees that Goldhorse Securities can disclose any information (including the Client's tax status, identity and other payment information) and/or documents provided by the Client to the IRS.</p> <p>客戶同意金馬證券能透露任何由其提供的任何信息(包括客戶之稅收狀況、身份及其他付款信息)及/或文件予美國國稅局。</p> |
| 7.2.5 | <p>The Client agrees that the Client has no right to claim against Goldhorse Securities for any losses, liabilities, costs or expenses incurred by the Client owing to the proper use or disclosure of such information or documents to the IRS by Goldhorse Securities in order to comply with FATCA.</p> <p>就客戶因金馬證券為遵守 FATCA 而恰當使用或向美國國稅局披露此等資料或文件而使其蒙受的任何損失、責任、成本或開支，客戶同意其無權向金馬證券申索。</p> |
| 7.2.6 | <p>The Client agrees that in view of the loss or expenses incurred by Goldhorse Securities in relation to the Client's violation of the above-mentioned declarations and agreement and/or the failure of the Client to provide any information or documents required by Goldhorse Securities to comply with FATCA, the Client agrees to make compensation to Goldhorse Securities.</p> <p>客戶同意對金馬證券就因其違反上述聲明及協議及/或因其未能提供金馬證券為遵守 FATCA 所要求的任何資料或文件，而產生的損失或開支，客戶同意向金馬證券作出賠償。</p> |
| 7.2.7 | <p>The Client declares that the information given and statements made in this account opening form in relation to FATCA are, to the best of the Client's knowledge and belief, true, correct and complete.</p> <p>客戶聲明就其所知所信，此開戶表格內所填報關於 FATCA 的所有資料及聲明均屬真實、正確和完備。</p> |
| 7.2.8 | <p>The Client agrees that Goldhorse Securities has the sole and absolute discretion to reserve and/or deduct any funds from the Client's account to meet the requirements of FATCA. The Client confirms that, under any circumstances, Goldhorse Securities shall not be liable for any loss or damage to the Client caused by the withholding or deduction of the relevant funds under FATCA requirements.</p> <p>客戶同意金馬證券，享有唯一及絕對的酌情權，從其帳戶中，預留及/或扣除任何款項以符合 FATCA 之要求。客戶確認，在任何情況下，金馬證券將不會為任何因履行 FATCA 要求下預扣或扣除有關款項所引致客戶之損失及損害負上責任。</p> |
| 7.3 Declaration of Automatic Exchange of Financial Account Information 自動交換財務帳戶資料聲明 | |
| <div style="border: 1px solid black; padding: 5px;"> <p>Important Notes 重要提示：</p> <ul style="list-style-type: none"> - This is a self-certification form provided by the Client to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction. 這是由客戶向申報財務機構提供的自我證明表格，以作自動交換財務帳戶資料用途。申報財務機構可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。 - The Client should report all changes in its tax residency status to the reporting financial institution. 如客戶的稅務居民身分有所改變，應盡快將所有變更通知申報財務機構。 - If space provided is insufficient, continue on additional sheet(s). All the personal information of the Client, including but not limited to legal name, business address, TIN and details of transactions are required to be reported by the reporting financial institution to the Inland Revenue Department. 如表格上的空位不夠應用，可另紙填寫。客戶的所有個人資料，包括但不限於法定名稱、營業地址、稅務編號及交易詳情均為申報財務機構須向稅務局申報的資料。 - Goldhorse Securities means Goldhorse Securities, its staff and agent. 金馬證券指金馬證券、其員工及代理人。 </div> | |
| 7.3.1 | <p>The Client acknowledges and agrees that (i) the information contained in this account opening form is collected and may be kept by Goldhorse Securities for the purpose of automatic exchange of financial account information ("AEOI"), and (ii) such information and information regarding the Client and any reportable account(s) may be reported by Goldhorse Securities 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 Client 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).</p> <p>客戶知悉及同意，金馬證券可根據《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文，(i) 收集此開戶表格所載資料並可備存作自動交換財務帳戶資料用途(下稱「AEOI」)及(ii) 把該等資料和關於客戶及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到客戶的居留司法管轄區的稅務當局。</p> |
| 7.3.2 | <p>The Client undertakes to advise Goldhorse Securities of any change in circumstances which affects the tax residency status of the Client identified in this account opening form or causes the information contained herein to become incorrect, and to provide Goldhorse Securities with a suitably updated self-certification form within 30 days of such change in circumstances.</p> <p>客戶承諾，如情況有所改變，以致影響此開戶表格所述的個人稅務居民身分，或引致本表格所載的資料不正確，客戶會通知金馬證券，並會在情況發生改變後 30 日內，向金馬證券提交一份已適當更新的自我證明表格。</p> |
| 7.3.3 | <p>The authorized person(s) of the Client certify(ies) that he/she/they is/are authorized to sign for the Client of all the account(s) to which this form relates.</p> <p>客戶之獲授權人士證明，就與此表格所有相關的帳戶，其獲客戶授權簽署此表格。</p> |
| 7.3.4 | <p>The Client agrees that the Client is required to provide any information or documents required by Goldhorse Securities to comply with AEOI and/or any applicable laws or regulations in a timely manner.</p> <p>客戶同意其需及時提供金馬證券為遵守 AEOI 及/或任何適用之法例或規例下之任何資料或文件。</p> |
| 7.3.5 | <p>The Client agrees that Goldhorse Securities can disclose any information (including the Client's tax status, identity, place of business and other payment information) and/or documents provided by the Client to the relevant tax authorities, the government of Hong Kong Special Administrative Region and/or other similar agencies in other countries (collectively "Governmental Agency").</p> <p>客戶同意金馬證券可透露任何由其提供的任何信息(包括客戶之稅收狀況、身份、營業地方及其他付款信息)及/或文件予有關稅務機關、香港特別行政區政府及/或其他國家相類之機關(統稱為「政府機構」)。</p> |
| 7.3.6 | <p>The Client agrees that the Client has no right to claim against Goldhorse Securities for any losses, liabilities, costs or expenses incurred by the Client owing to the proper use or disclosure of such information or documents to any Governmental Agency by Goldhorse Securities in order to comply with the AEOI.</p> <p>就客戶因金馬證券為遵守 AEOI 而恰當使用或向任何政府機構披露此等資料或文件而使其蒙受的任何損失、責任、成本或開支，客戶同意其無權向金馬證券申索。</p> |

- 7.3.7 The Client agrees that in view of the loss or expenses incurred by Goldhorse Securities in relation to the Client's violation of the above-mentioned declarations and agreement and/or the failure of the Client to provide any information or documents required by Goldhorse Securities to comply with the AEOI or other laws or regulations, the Client agrees to make compensation to Goldhorse Securities.
客戶同意對金馬證券就因其違反上述聲明及協議及/或因其未能提供金馬證券為遵守 AEOI 或其他法例或規例所要求的任何資料或文件，而產生的損失或開支，客戶同意向金馬證券作出賠償。
- 7.3.8 The Client declares that the information given and statements made in this account opening form in relation to AEOI are, to the best of the Client's knowledge and belief, true, correct and complete.
客戶聲明就其所知所信，此開戶表格內所填報關於 AEOI 的所有資料及聲明均屬真實、正確和完備。

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. HK\$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(即港幣 10,000 元)罰款。

7.4 Client Acknowledgement 客戶確認

The Client hereby declares that in relation to all Client's declarations and acknowledgements of section 7 of this account opening form, the terms and conditions of the Client Agreement and the related risk disclosure statements, the Client has been invited to seek independent advice. After signing in the signature column herein below by the Client, it is indicated that the Client has already fully read, confirmed, agreed, accepted, understood and is willing to comply with section 7 of this account opening form, the terms and conditions of the Client Agreement and the related risk disclosure statements.

客戶茲聲明，關於此開戶表格第 7 部分之所有客戶聲明及確認、客戶協議書之條款及細則、以及相關風險披露聲明所有內容，客戶已獲邀請尋求獨立之意見。當客戶於下列簽署欄內簽署後，即表示客戶已完全細閱、確認、同意、接受、明白及願意遵守此開戶表格第 7 部分之客戶聲明及確認、客戶協議書內之條款及細則、以及相關風險披露聲明所有內容。

☐ Specimen of Company Chop or Seal (if applicable) 公司蓋章或印章樣式(如適用)

Client's Signature 客戶簽署

Date 日期

8. Witness 見證人

I, the undersigned, have witnessed 本人，即下方簽署人，已見證

- the Client to sign this account opening form and related account opening documents 客戶簽立此開戶表格及相關開戶文件；
- the company composition documents of the Client 客戶之公司組成文件；and 及
- the personal data documents of the director(s), substantial shareholder(s) and authorized person(s) of the Client (including identity card/passport, certification of residential address, etc.).
客戶董事、主要股東及獲授權人士之個人資料文件(包括身份證/護照、住宅地址證明等)。

Signature 簽署

Name of Witness/SFC Licensed Representative 見證人/證監會持牌代表姓名

Profession/Name of the Company 所屬專業/公司名稱 (if applicable 如適用)

Membership/SFC C.E. Number 會員/證監會中央編號 (if applicable 如適用)

Date 日期

Contact Address 聯絡地址

Contact Number 聯絡電話

9. SFC Licensed Representative's Declaration 證監會持牌代表聲明

I (the undersigned), as a licensed representative of Goldhorse Securities Limited, hereby declare that in the language of the Client's choice (English/Chinese), I

- i. have provided the Client Agreement and related risk disclosure statements to the Client;
- ii. have invited and reminded the Client to read the Client Agreement and related risk disclosure statements;
- iii. have invited the Client to ask questions and take independent advice relating to the above-mentioned documents if the Client wishes; and
- iv. if the Client is classified as "no knowledge of derivative products", I have explained to the Client the risks associated with trading derivative products in the related risk disclosure statements.

本人(即下方簽署人)，為金馬證券有限公司持牌代表，謹此聲明本人已按照上述客戶所選擇的語言(英文或中文)

- i. 向客戶提供客戶協議書及相關風險披露聲明；
- ii. 邀請及提示客戶閱讀客戶協議書及相關風險披露聲明；
- iii. 邀請客戶就上述文件按其意願提出問題及徵求獨立的意見；及
- iv. 如客戶被歸類為「對衍生產品沒有認識」，本人已向客戶解釋在相關風險披露聲明內所列明的有關買賣衍生產品所涉及的風險。

簽署

Name of SFC Licensed Representative 證監會持牌代表姓名

SFC C.E. Number 證監會中央編號

Date 日期

Mode of Declaration 聲明方式

Time and/or Extension 時間及/或內線 (if applicable 如適用)

☐ Face-to-Face 面對面 ☐ Telephone 電話

10. Approval of Account Opening 帳戶開戶批核

Goldhorse Securities Limited

金馬證券有限公司

Authorized Signature

授權簽署

Name of Responsible Officer 負責人員姓名

SFC C.E. Number 證監會中央編號

Date 日期