山金证券(香港)有限公司

SDG Securities (HK) Limited

Individual Account Opening Form 個人開戶表格

For Internal Use Only 內部專用

Account Name: 帳戶名稱：________________________________

Account Number: 帳戶號碼：________________________________

Account Opening Date: 開戶日期：________________________________

山金证券(香港)有限公司
SDG Securities (HK) Limited
SD-GOLD

SDG Securities (HK) Limited (CE Number: BMB958) 山金證券（香港）有限公司（中央編號：BMB958）

Individual Account Opening Form 個人開戶表格

1. Account Information 帳戶資料	
Client Type 客戶類別	
☐ Individual 個人	☐ Joint 聯名
Investor Type 投資者類別	
☐ General investor 一般投資者	☐ Professional investor 專業投資者 *
* *Please complete Professional Investor Assessment Form 請填寫專業投資者評估表格*	
Market Type (choose all that apply) 市場類別（選擇所有適用選項）	
Securities 證券	
☐ Hong Kong equities 香港股票	☐ China Connect 中華通
☐ Bonds (professional investors only) 債券（只限專業投資者）	
Service Type (choose all that apply) 服務類別（選擇所有適用選項）	
☐ Internet trading 互聯網交易	☐ Margin financing 保證金融資
☐ Discretionary account management 全權委託帳戶管理 @	
@ *Please complete Discretionary Account Management Application Form 請填寫全權委託帳戶管理申請表格*	

2. Personal Information 個人資料			
Primary Account Holder 主要帳戶持有人			
Title 稱謂			
☐ Mr 先生	☐ Mrs 太太	☐ Miss 小姐	☐ Ms 女士
English Name 英文姓名 **Surname 姓**	**Given Name 名** (“**Client**”)（「客戶」）	**Chinese Name 中文姓名** **Surname 姓**	**Given Name 名**
Date of Birth (dd/mm/yyyy) 出生日期（日／月／年）		**Nationality 國籍**	
HKID Number 香港身份證號碼	**National Identification Document Number 國民身份證明文件號碼**	**Passport Number 護照號碼**	
Place of Birth 出生地點	**Email Address 電郵地址**	**Mobile Phone Number 手提電話號碼**	
Residential Address 住宅地址			
Correspondence Address (if different from the above) 通訊地址（如與上述不同）			
Employment Status 就業情況			
Employer Name 僱主名稱		**Business Nature 業務性質**	
Position 職位	**Years of Service 服務年期**	**Business Phone Number 工作電話號碼**	

2. Personal Information (Continued) 個人資料（續）		
Joint Account Holder (if Applicable) 聯名帳戶持有人（如適用）		
Relationship with Primary Account Holder 與主要帳戶持有人關係 ☐ Parent 雙親 ☐ Spouse 配偶 ☐ Sibling 兄弟姊妹 ☐ Child 孩子 ☐ Others: 其他：________		
Title 稱謂 ☐ Mr 先生 ☐ Mrs 太太 ☐ Miss 小姐 ☐ Ms 女士		
English Name 英文姓名 **Surname 姓** **Given Name 名**		**Chinese Name 中文姓名** **Surname 姓** **Given Name 名**
Date of Birth (dd/mm/yyyy) 出生日期（日／月／年）		**Nationality 國籍**
HKID Number 香港身份證號碼	**National Identification Document Number 國民身份證明文件號碼**	**Passport Number 護照號碼**
Place of Birth 出生地	**Email Address 電郵地址**	**Mobile Phone Number 手提電話號碼**
Residential Address 住宅地址		
Correspondence Address (if different from the above) 通訊地址（如與上述不同）		
Employment Status 就業情況		
Employer Name 僱主名稱		**Business Nature 業務性質**
Position 職位	**Years of Service 服務年期**	**Business Phone Number 工作電話號碼**

3. Financial Information 財務資料			
Financial Profile 財務狀況			
Please aggregate for joint account 如為聯名帳戶，請提供總和			
Source(s) of Wealth (choose all that apply) 財富來源（選擇所有適用選項） ☐ Salary 薪金 ☐ Commission 佣金 ☐ Rent 租金 ☐ Dividend/Interest 股息／利息 ☐ Business profit 業務溢利 ☐ Nil 沒有 ☐ Others: 其他：______________________			
Annual Income (HK$) 每年收入（港元） ☐ <120,000 ☐ 120,000-360,000 ☐ 360,001-600,000 ☐ 600,001-1,200,000 ☐ >1,200,000			
Asset Item(s) (choose all that apply) 資產項目（選擇所有適用選項） ☐ Property 物業 ☐ Deposit 存款 ☐ Valuable securities 有價證券 ☐ Others: 其他：__________			
Net Asset Value (HK$) 資產淨值（港元） ☐ <100,000 ☐ 100,000-500,000 ☐ 500,001-1,000,000 ☐ 1,000,001-5,000,000 ☐ 5,000,001-8,000,000 ☐ 8,000,001-10,000,000 ☐ >10,000,000			
Settlement Bank Account Information 結算銀行帳戶資料			
Bank account name must be in the same name of the Client 銀行帳戶名稱必須與客戶姓名相同			
#1	**Currency 貨幣** ☐ HKD 港元 ☐ USD 美元 ☐ RMB 人民幣	**Bank Name 銀行名稱**	**Account Number 帳戶號碼**
#2	**Currency 貨幣** ☐ HKD 港元 ☐ USD 美元 ☐ RMB 人民幣	**Bank Name 銀行名稱**	**Account Number 帳戶號碼**

4. Investment Objective 投資目的

Investment Objective (choose all that apply) 投資目的（選擇所有適用選項）

☐ Capital gain 資本增值 ☐ Hedging 對沖 ☐ Income 收入 ☐ Speculation 投機 ☐ Others: 其他：________

Estimated Investment Amount (HK$) 估計投資金額（港元）

☐ <100,000 ☐ 100,000-500,000 ☐ 500,001-1,000,000 ☐ 1,000,001-5,000,000
☐ 5,000,001-8,000,000 ☐ 8,000,001-10,000,000 ☐ >10,000,000

5. Derivative Products Knowledge Assessment 衍生產品知識評估

To be completed by the account holder who will operate the account for joint account 如為聯名帳戶，請由將操作帳戶的帳戶持有人填寫

- **Did the Client undergo training or attend course(s) on derivative products? 客戶是否曾參與有關衍生產品之培訓或課程？** ☐ Yes 是 ☐ No 否

  If yes, please specify the type of organization(s) (choose all that apply): 如是，請提供機構類別（選擇所有適用選項）：

  ☐ Regulatory authority 監管機構 ☐ Exchange 交易所 ☐ Tertiary institution 大專院校
  ☐ Financial institution 金融機構 ☐ Others: 其他：________________

- **Did the Client obtain working experience related to derivative products? 客戶是否曾獲取與衍生產品有關之工作經驗？** ☐ Yes 是 ☐ No 否

  If yes, please specify the nature of experience(s) (choose all that apply): 如是，請提供經驗性質（選擇所有適用選項）：

  ☐ Licensed person 持牌人 ☐ Management 管理層
  ☐ Derivative products related back office 與衍生產品相關後勤 ☐ Others: 其他：________________

- **Did the Client execute five (5) or more transactions related to derivative products over the past three (3) years? 客戶是否過去三(3)年曾執行過五(5)次或以上有關衍生產品之交易？** ☐ Yes 是 ☐ No 否

6. Client Disclosure 客戶披露

- **Is the Client acting as an intermediary for the account? 客戶是否以中介人身份操作帳戶？** ☐ Yes 是 ☐ No 否

  If yes, please specify the name, national identification document number and residential address of the ultimate beneficial owner(s) ("**UBO**"): 如是，請提供最終權益擁有人的姓名、國民身份證明文件號碼及住宅地址：

  ____

- **Is the Client or the UBO an employee of a licensed corporation under the Securities and Futures Ordinance or a registered institution under the Banking Ordinance? 客戶或最終權益擁有人是否為根據《證券及期貨條例》之持牌法團或《銀行業條例》之註冊機構之僱員？** ☐ Yes 是 ☐ No 否

  If yes, please specify the SFC CE number/HKMA registration number (if any), employer name and submit an employer consent letter which provides consent to open an account with SDG Securities (HK) Limited ("**SDGS**"): 如是，請提供證監會中央編號／金管局註冊號碼（如有）、僱主名稱及由僱主發出同意客戶或最終權益擁有人於山金證券（香港）有限公司（「**山金證券**」）開設帳戶的同意書：

  ____

- **Does the Client or the UBO has any relationship with any director, employee or licensed persons of SDGS? 客戶或最終權益擁有人是否與山金證券的任何董事、僱員或持牌人有任何關係？** ☐ Yes 是 ☐ No 否

  If yes, please specify the name of director/employee/licensed person of SDGS and relationship: 如是，請提供山金證券的董事／僱員／持牌人姓名及關係：

  ____

- **Is the Client either alone or with his/her spouse in control of 35% or more of the voting rights of any margin account at SDGS? 客戶是否單獨或與其配偶共同控制山金證券任何保證金帳戶 35%或以上表決權？** ☐ Yes 是 ☐ No 否

  If yes, please specify the account name and the account number: 如是，請提供帳戶名稱及帳戶號碼：

  ____

- **Is the Client, the UBO or their immediate family members or close associate entrusted or has been entrusted with a prominent public function, includes a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation, an important political party official and international organization politically exposed persons? 客戶、最終權益擁有人或其直系親屬或與其關係密切的人是否擔任或曾擔任重要公職，包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員、重要政黨幹事及國際組織政治人物？** ☐ Yes 是 ☐ No 否

  If yes, please provide details: 如是，請提供詳情：

  ____

6.	Client Disclosure (Continued) 客戶披露（續）	
♦	**Is the Client or the UBO a U.S. citizen (i.e. holding U.S. passport) or U.S. resident alien (i.e. holding U.S. green card)? 客戶或最終權益擁有人是否美國公民（持有美國護照）或美國居民（持有美國綠卡）？** If yes, please contact SDGS client service department, otherwise please complete Form W-8BEN. 如是，請聯絡山金證券客戶服務部，否則請填寫 Form W-8BEN。	☐ Yes 是 ☐ No 否

7. Self-Certification 自我證明

Instruction 指引

Pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance ("**IRO**"), please provide all of your jurisdiction of residence and taxpayer identification number or its functional equivalent ("**TIN**"). If a TIN is unavailable, provide the appropriate reason A, B or C: 根據《稅務條例》有關交換財務帳戶資料的法律條文，請提供閣下所有的居留司法管轄區及稅務編號或具有等同功能的識辨編號（「**稅務編號**」）。如沒有提供稅務編號，必須填寫合適的理由：

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

Jurisdiction of Residence and TIN 居留司法管轄區及稅務編號

Primary Account Holder 主要帳戶持有人

Tax Residence (choose all that apply) 稅務居民（選擇所有適用選項）

☐ Hong Kong 香港 ☐ PRC 中國 ☐ Other jurisdiction 其他居留司法管轄區

Please complete the following if you hold tax residence of other jurisdiction. If you have more than one tax residence of other jurisdiction, please attach and sign extra self-certification. 請填寫以下如閣下為其他居留司法管轄區稅務居民。如閣下持有多於一個其他居留司法管轄區稅務居民資格，請另附自我證明及簽署。

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號

Select Reason A, B or C if No TIN is Available 如沒有提供稅務編號，選擇理由 A、B 或 C

☐ Reason A 理由 A ☐ Reason B 理由 B ☐ Reason C 理由 C

Explain Why You are Unable to Obtain a TIN if You have Selected Reason B 如選取理由 B，解釋不能取得稅務編號的原因

Joint Account Holder (if Applicable) 聯名帳戶持有人（如適用）

Tax Residence (choose all that apply) 稅務居民（選擇所有適用選項）

☐ Hong Kong 香港 ☐ PRC 中國 ☐ Other jurisdiction 其他居留司法管轄區

Please complete the following if you hold tax residence of other jurisdiction. If you have more than one tax residence of other jurisdiction, please attach and sign extra self-certification. 請填寫以下如閣下為其他居留司法管轄區稅務居民。如閣下持有多於一個其他居留司法管轄區稅務居民資格，請另附自我證明及簽署。

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號

Select Reason A, B or C if No TIN is Available 如沒有提供稅務編號，選擇理由 A、B 或 C

☐ Reason A 理由 A ☐ Reason B 理由 B ☐ Reason C 理由 C

Explain Why You are Unable to Obtain a TIN if You have Selected Reason B 如選取理由 B，解釋不能取得稅務編號的原因

Declaration 聲明

- I/We acknowledge and agree that: (a) the information contained in this form is collected and may be kept by SDGS 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 SDGS 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 IRO. 本人／吾等知悉及同意，山金證券可根據《稅務條例》有關交換財務帳戶資料的法律條文：(a)收集本表格所載資料並可備存作自動交換財務帳戶資料用途及(b)把該等資料和關於帳戶持有人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，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。

7. Self-Certification (Continued) 自我證明（續）

Declaration (Continued) 聲明（續）

- I/We undertake to advise SDGS of any change in circumstances which affects my/our tax residency status or causes the information contained herein to become incorrect, and to provide SDGS with suitably updated information within thirty (30) days of such change in circumstances. 本人／吾等承諾，如情況有所改變，以致影響本人／吾等的稅務居民身份，或引致本表格所載的資料不正確，本人／吾等會通知山金證券，並會在情況發生改變後三十(30)日內，向山金證券提交已適當更新的資料。
- I/We declare that the information given and statements made in this form are, to the best of my/our knowledge and belief, true, correct and complete. 本人／吾等聲明就本人／吾等所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

Warning 警告

It is an offence under section 80(2E) of the IRO 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). 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。

8. Other Information 其他資料

Statement Language 結單語言

☐ Traditional Chinese 繁體中文 ☐ Simplified Chinese 簡體中文 ☐ English 英文

Statement Delivery Method 結單遞送方式

☐ By email 電郵 ☐ By post 郵寄

Collection by post is subject to a charge of HK$50 per month 郵寄收費每月 50 港元

Use of Personal Data 個人資料使用

I/We object SDGS to use my/our personal data in direct marketing via the following channel(s) (may choose more than one option): 本人／吾等反對山金證券使用本人／吾等的個人資料經以下渠道作直接促銷（可選多於一欄）：

☐ Email 電郵 ☐ Mobile message 手機訊息 ☐ Mail 郵件 ☐ Phone call 電話

Joint Account Arrangement (if Applicable) 聯名帳戶安排（如適用）

Signatory Arrangement 簽署安排

☐ Any one (1) account holder signing singly validates any written instruction 任何一(1)位帳戶持有人單獨簽署任何書面指示即有效

☐ All account holders signing jointly validates any written instruction 所有帳戶持有人共同簽署任何書面指示方為有效

Statement Recipient 結單收件人

☐ Primary account holder 主要帳戶持有人 ☐ Joint account holder 聯名帳戶持有人

9. Client Declaration 客戶聲明

- I/We, the undersigned, hereby confirm and represent that the information on this Account Opening Form is in all respects true, complete, correct and not misleading. SDGS is entitled to rely fully on such information and representations for all purposes, unless SDGS receives from me/us notice in writing of any change. SDGS and any of its agent is hereby authorized at any time to contact anyone, including my/our banks or any credit agency, for the purpose of verifying the information provided on this Account Opening Form. 本人／吾等（在下面簽署的客戶）謹此聲明在本開戶表格所提供之全部資料在各方面皆為真實、完整、正確及無誤導性。除非山金證券從本人／吾等接到更改有關本開戶表格內容之書面通知，否則山金證券有權完全依賴此等資料及聲明作一切用途。山金證券及其代理獲授權可隨時就核對本開戶表格資料事宜，與任何人包括本人／吾等之銀行或任何信用機構進行諮詢。
- I/We also undertake to notify SDGS immediately of any changes to the information given above. Upon request, I/we shall also promptly provide SDGS any additional documentation, including without limitation to change in information of the self-certification. I/We understand that SDGS may disclose and/or submit certain of my/our account information to the competent regulatory or Government Authority in the relevant jurisdiction(s) (including without limitation to U.S. Internal Revenue Service, U.S. Department of the Treasury and the Hong Kong Inland Revenue Department) for the purpose of complying with Foreign Account Tax Compliance Act, Common Reporting Standard and other related laws, regulations, codes and rules. 本人／吾等亦同意如上述資料有任何改變，會立即通知山金證券。如山金證券要求，本人／吾等亦會盡快向山金證券提供所需的額外文件，包括但不限於自我證明的資料變更。本人／吾等明白山金證券可能根據有關的資料變更向相關司法管轄區內的合資格監管及／或政府當局（包括但不限於美國國家稅務局、美國財政部和香港稅務局）披露及／或提交吾等之相關帳戶資料，以符合美國《海外帳戶稅收合規法案》、《共同匯報標準》和其他相關法規、守則和規則的規定。
- I/We hereby apply to open the types of account(s) and service(s) which I/we choose on this Account Opening Form, and I/we hereby give SDGS notice in writing that we confirm and authorize SDGS to exercise all the powers of the standing authorities granted to SDGS by us. 本人／吾等現申請開立吾等在本開戶表格選擇之帳戶及服務類別。本人／吾等在此以書面通知及確認並授權山金證券行使本人／吾等給予山金證券的全部常設授權。

9.	Client Declaration (Continued) 客戶聲明（續）
♦	I/We acknowledge and confirm that I/we have been invited by SDGS to read the Risk Disclosure Statement, ask questions and to take independent advice if I/we wished to. 本人／吾等知悉及確認山金證券已經邀請本人／吾等閱讀風險披露聲明，提出問題及徵求獨立的意見（如本人／吾等有此意願）。
♦	I/We have carefully read, fully understood and agreed to accept and be bound by the Personal Information Collection Statement. 本人／吾等已仔細閱讀、完全理解並同意接受及遵守個人資料收集聲明。

Signed by Primary Account Holder 主要帳戶持有人簽署	**Name 姓名**
	Date (dd/mm/yyyy) 日期（日／月／年）
Signed by Joint Account Holder 聯名帳戶持有人簽署	**Name 姓名**
	Date (dd/mm/yyyy) 日期（日／月／年）

10.	Witness Declaration 見證人聲明

I hereby certify that I have witnessed the signing of this Account Opening Form by the Client. I further confirm that I have verified the Client's identity against its identification document. 本人現特此證明客戶簽署本開戶表格。本人進一步確認本人已驗證了客戶的身份證明文件。

Signed by Witness 見證人簽署	**Name 姓名**	**Occupation 職業 #** ☐ Licensed or registered person 持牌人或註冊人 ☐ Branch manager of a bank 銀行分行經理
	Date (dd/mm/yyyy) 日期（日／月／年）	☐ Certified public accountant 執業會計師 ☐ Justice of the Peace 太平紳士 ☐ Lawyer 律師 ☐ Notary public 公證人 ☐ Chartered secretary 特許秘書

A witness should provide SDGS with copy of self-certified national identification document and professional qualification documents 見證人需提供其已簽署之國民身份證明文件及專業資格證明文件之副本予山金證券

11.	Licensed Person Declaration 持牌人聲明

I, a licensed person, declare that I have provided the Client with a copy of the Risk Disclosure Statement in a language of the client's choice, invited the client to read the Risk Disclosure Statement, ask questions and take independent advice if the client wishes. If the client is characterized as "**without knowledge of derivatives**", I further declare that I have explained to the client the relevant risks associated with trading of exchange-traded derivatives product which are specified in the Risk Disclosure Statement. 本人，以持牌人身份，確認本人已按照上述客戶所選擇的語言（英文或中文）提供風險披露聲明之副本及邀請客戶閱讀該風險披露聲明、提出問題及徵求獨立意見（如客戶有此意願）。如客戶被歸類為「**對衍生產品沒有認識**」，本人進一步確認已向客戶解釋在風險披露聲明內所列明的有關買賣在交易所買賣的衍生產品所涉及的風險。

Signed by Licensed Person 持牌人簽署	**Name 姓名**	**Account Opening Method 開戶方式** ☐ Face-to-face 面對面 ☐ Non-face-to-face 非面對面
	SFC CE Number 證監會中央編號	**Date (dd/mm/yyyy) 日期（日／月／年）** Time: 時間： (ext.)

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For Internal Use Only 內部專用	
Checklist 檢查清單	
Supporting Document 支持文件	
☐ HKID card 香港身份證	☐ National identification document 國民身份證明文件
☐ Passport 護照	☐ Address proof 地址證明
☐ Bank account proof 銀行帳戶證明	☐ Employer consent letter 僱主同意書
Form 表格	
☐ Risk Profiling Questionnaire 風險取向問卷	☐ Form W-8BEN
☐ Professional Investor Assessment Form 專業投資者評估表格	☐ Third-Party Authorization Form 第三方授權表格
☐ Discretionary Account Management Application Form 全權委託帳戶管理申請表格	
China Connect Mainland Investor 中華通內地投資者	
☐ Yes 是	☐ No 否

Limit 額度		Interest Rate 利息比率	
Credit Limit 信用額度	**Margin Limit 保證金額度**	**Overdue Interest Rate 逾期交收利息比率** (%)	**Margin Interest Rate 保證金利息比率** (%)

Commission 佣金				
Market 市場	**Telephone Trading 電話交易**		**Internet Trading 互聯網交易**	
Hong Kong Equities 香港股票	**Commission Rate 佣金比率** (%)	**Minimum Charge 最低收費**	**Commission Rate 佣金比率** (%)	**Minimum Charge 最低收費**
China Connect 中華通	**Commission Rate 佣金比率** (%)	**Minimum Charge 最低收費**	**Commission Rate 佣金比率** (%)	**Minimum Charge 最低收費**
Bonds 債券	**Commission Rate 佣金比率** (%)		**Minimum Charge 最低收費**	

Others 其他			
Source of Client 客戶來源		**Employee Account 員工帳戶**	
☐ Referral 轉介	☐ Walk-in 自來	☐ Yes 是	☐ No 否
Remarks 備註			

Approval 審批		
Forms and Documents Checked by Client Onboarding Officer 客戶入職主任檢查表格及文件 Date: 日期：	**Limits Approved by Risk Officer 風險主任批准額度** Date: 日期：	**Data Inputted by Settlement Officer 結算主任輸入資料** Date: 日期：
Inputted Data Checked by Settlement Officer 結算主任檢查已輸入資料 Date: 日期：	**Approved by Responsible Officer 負責人員審批** Date: 日期：	**Approved by Chief Operating Officer 營運總監審批** Date: 日期：

山金证券(香港)有限公司
SDG Securities (HK) Limited
SD-GOLD

SDG Securities (HK) Limited (CE Number: BMB958) 山金證券（香港）有限公司（中央編號：BMB958）

Risk Profiling Questionnaire 風險取向問卷

Note 注意	
♦	This questionnaire is designed to assess your attitude towards risk and risk tolerance level. It may not accurately reflect your actual risk tolerance level. Please seek professional advice if necessary. 本問卷旨在評估閣下對風險的態度及對投資風險的承受程度，未必能準確反映閣下的實際可接受的風險水平。如有需要，請尋求專業意見。
♦	For joint accounts, the individual who places orders or makes investment decisions for the account should complete this questionnaire. 如為聯名帳戶，代表該帳戶發出指示或作出投資決定之帳戶持有人應填寫本問卷。
♦	For corporate accounts, the authorized person who makes investment decisions on behalf of the client should complete this questionnaire. 如為法團帳戶，代表該公司客戶作出投資決定之授權人士應填寫本問卷。
♦	This questionnaire and the test results are for reference only. It does not constitute any investment advice and should not be regarded as a solicitation for an offer to buy or sell any product or service. The questionnaire is not a substitute for independent professional advice. 本問卷及測試結果僅供參考，並不構成任何投資建議，亦不得視為招攬買賣任何產品或服務。本問卷並不能取代獨立的專業意見。

Client Information 客戶資料	
Account Name 帳戶名稱	**Account Number 帳戶號碼**

(“**Client**”)（「**客戶**」）

Risk Tolerance Level – Knowledge and Experience 風險承受水平—知識和經驗	
Please choose the most appropriate answer below 請選擇下列最適當答案	**Score 分數**
♦ **What is your highest education level? 閣下的最高教育程度為？**	
☐ Primary or below 小學或以下	1
☐ Secondary 中學	2
☐ Tertiary or above 大學或以上	3
♦ **What is your level of knowledge and experience with products? 閣下對以下產品的知識和經驗為？**	
▪ **Equity 股票**	
☐ No knowledge nor experience 沒有知識或經驗	0
☐ Have knowledge but no experience 擁有知識但沒有經驗	1
☐ Have knowledge and with less than 2 years of experience 擁有知識及少於 2 年經驗	2
☐ Have knowledge and with 2 years of experience or more 擁有知識及 2 年或以上經驗	3
▪ **Fixed income (e.g. bond) 固定收益（如債券）**	
☐ No knowledge nor experience 沒有知識或經驗	0
☐ Have knowledge but no experience 擁有知識但沒有經驗	1
☐ Have knowledge and with less than 2 years of experience 擁有知識及少於 2 年經驗	2
☐ Have knowledge and with 2 years of experience or more 擁有知識及 2 年或以上經驗	3
▪ **Futures/Options 期貨／期權**	
☐ No knowledge nor experience 沒有知識或經驗	0
☐ Have knowledge but no experience 擁有知識但沒有經驗	1
☐ Have knowledge and with less than 2 years of experience 擁有知識及少於 2 年經驗	2
☐ Have knowledge and with 2 years of experience or more 擁有知識及 2 年或以上經驗	3
▪ **Warrants/Callable bull/bear contracts 認股證／牛熊證**	
☐ No knowledge nor experience 沒有知識或經驗	0
☐ Have knowledge but no experience 擁有知識但沒有經驗	1
☐ Have knowledge and with less than 2 years of experience 擁有知識及少於 2 年經驗	2
☐ Have knowledge and with 2 years of experience or more 擁有知識及 2 年或以上經驗	3

Risk Tolerance Level – Knowledge and Experience (Continued) 風險承受水平—知識和經驗（續）	
Please choose the most appropriate answer below 請選擇下列最適當答案	**Score 分數**
♦ **What is your level of knowledge and experience with products? 閣下對以下產品的知識和經驗為？**	
▪ **Fund 基金**	
☐ No knowledge nor experience 沒有知識或經驗	0
☐ Have knowledge but no experience 擁有知識但沒有經驗	1
☐ Have knowledge and with less than 2 years of experience 擁有知識及少於 2 年經驗	2
☐ Have knowledge and with 2 years of experience or more 擁有知識及 2 年或以上經驗	3
▪ **Others derivatives (e.g. equity-linked investments, equity-linked notes, convertible bond, etc.) 其他衍生產品（如股票掛鈎投資、股票掛鈎票據、可換股債券等）**	
☐ No knowledge nor experience 沒有知識或經驗	0
☐ Have knowledge but no experience 擁有知識但沒有經驗	1
☐ Have knowledge and with less than 2 years of experience 擁有知識及少於 2 年經驗	2
☐ Have knowledge and with 2 years of experience or more 擁有知識及 2 年或以上經驗	3
Total Score 總分數	
☐ <6 – Low 低 ☐ 6-13 – Medium 中 ☐ >13 – High 高	

Risk Tolerance Level – Appetite 風險承受水平—取向	
Please choose the most appropriate answer below 請選擇下列最適當答案	**Score 分數**
♦ **What is the highest level of price fluctuation that you are willing to accept for a single investment? 閣下可接受的單項投資最高價格波幅為？**	
☐ ≤±8%	1
☐ ≤±35%	2
☐ ≤±100%	3
☐ >±100%	4
♦ **What is the most likely action you will take if your investment goes down by 20% in value? 當投資價值下跌 20%，閣下最有機會採取的行動為？**	
☐ Sell all of the investment to cut loss 賣去所有已投資以減少損失	1
☐ Sell some of the investment 賣去部分投資	2
☐ Do nothing 沒有任何行動	3
☐ Invest more at a lower price 在低價格時再作投資	4
♦ **What percentage of your net liquid asset value are you able to set aside for investment? (Note: liquid net worth excludes property, etc.) 閣下的流動資產淨值多少個百分比可作投資？（註：流動資產淨值不包括物業等）**	
☐ <10%	1
☐ 10%-30%	2
☐ 31%-50%	3
☐ >50%	4
♦ **Under general market conditions, how long do you intend to keep your portfolio with market exposure? 在一般市場情況下，閣下預期的活躍投資期為？**	
☐ <6 months 月	1
☐ 6 months 月-1 year 年	2
☐ 1-3 years 年	3
☐ >3 years 年	4
♦ **What is the average percentage of your after-tax income that can be set aside for savings or investment? 閣下的稅後收入平均多少個百分比可作儲蓄或投資？**	
☐ <10%	1
☐ 10%-30%	2
☐ 31%-50%	3
☐ >50%	4
Total Score 總分數	
☐ <6 – Low 低 ☐ 6-13 – Medium 中 ☐ >13 – High 高	

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Overall Assessment Results 整體評估結果				
Overall Risk Tolerance Level 整體風險承受水平		**Risk Tolerance Level – Knowledge and Experience 風險承受水平—知識和經驗**		
		Low 低	**Medium 中**	**High 高**
Risk Tolerance Level – Appetite 風險承受水平—取向	**Low 低**	☐ Low 低	☐ Low 低	☐ Medium 中
	Medium 中	☐ Low 低	☐ Medium 中	☐ High 高
	High 高	☐ Medium 中	☐ High 高	☐ High 高

Risk Tolerance Analysis 風險承受能力分析			
Overall Risk Tolerance Level 整體風險承受水平	Low 低	Medium 中	High 高
Investor General Characteristics 投資者的一般特徵	Conservative – you are willing to accept low level of risk, in return, you understand that you will receive low returns 保守型—閣下願意承受低度的風險，亦明白會獲得比較保守回報	Balanced – you are willing to accept medium level of risk in exchange for potential returns over the medium to long term 平衡型—閣下願意承受中度的風險，於中長線換取潛在回報	Aggressive – you are willing to accept high level of risk to maximize your potential return over the long term and you understand that you may lose a significant part or all of your capital 進取型—閣下願意承受高度的風險，以令長線的潛在回報最大化，亦明白有可能招致損失大部份或全部本金

Client Declaration 客戶聲明

- I/We declare that the information provided in this questionnaire is true and accurate to the best of my/our knowledge. 本人 / 吾等謹此聲明，按本人 / 吾等所知，本人 / 吾等在本問卷提供的資料以本人 / 吾等所知真確無誤。
- I/We agree to inform SDG Securities (HK) Limited ("**SDGS**") in writing as soon as practicable of any change to the information provided in this questionnaire. 本人 / 吾等同意，如本問卷提供的資料有任何變動，本人 / 吾等將會在可行情況下儘快以書面通知山金證券（香港）有限公司（「**山金證券**」）。
- I/We acknowledge and agree that my/our risk profile is as above. 本人 / 吾等確認及同意以上的風險評估結果。
- I/We acknowledge that SDGS takes no responsibilities for any act or omission resulting from the provision of incomplete or inaccurate information by me. 本人 / 吾等確認，就因本人 / 吾等提供不完整或不正確資料所導致的任何行動或遺漏，山金證券概不負上任何責任。

Signed by Client 客戶簽署	**Name 姓名**
	Date (dd/mm/yyyy) 日期（日 / 月 / 年）

For Internal Use Only 內部專用		
Checklist 檢查清單		
Last Assessment Date 上次評估日期	**Last Assessment Overall Risk Tolerance Level 上次評估整體風險承受水平** ☐ Low 低 ☐ Medium 中 ☐ High 高	
Approval 審批		
Checked by Licensed Person 持牌人檢查 Date: 日期：	**Data Inputted by Settlement Officer 結算主任輸入資料** Date: 日期：	**Inputted Data Checked by Settlement Officer 結算主任檢查已輸入資料** Date: 日期：
Approved by Responsible Officer 負責人員審批 Date: 日期：	**Approved by Chief Operating Officer 營運總監審批** Date: 日期：	

Form **W-8BEN**

(Rev. October 2021)

Department of the Treasury
Internal Revenue Service

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.**

▶ **Go to *www.irs.gov/FormW8BEN* for instructions and the latest information.**

▶ **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 United States (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 (that is, 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)

6a Foreign tax identifying number (see instructions)

6b Check if FTIN not legally required ☐

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 or proceeds 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;
- This form relates to:
  (a) income not effectively connected with the conduct of a trade or business in the United States;
  (b) income effectively connected with the conduct of a trade or business in the United States but is not subject to tax under an applicable income tax treaty;
  (c) the partner's share of a partnership's effectively connected taxable income; or
  (d) the partner's amount realized from the transfer of a partnership interest subject to withholding under section 1446(f);
- 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 ▶

☐ I certify that I have the capacity to sign for the person identified on line 1 of this form.

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

Date (MM-DD-YYYY)

Print name of signer