

PLEASE RETURN THIS FORM TO 請將本表格交回：

Haitong International Asset Management (HK) Limited Haitong International Investment Managers Limited
 海通國際資產管理（香港）有限公司 海通國際投資經理有限公司
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 基金投資服務熱線
 Website 網址 : www.htisec.com

If Haitong International Investment Managers Limited and Haitong International Asset Management (HK) Limited (“Haitong”) solicits the sale of or recommend any financial product to you, the financial product must be reasonably suitable for you having regard to your financial situation, investment experience and investment objectives. No other provision in this form or any other document Haitong may ask you to sign and no statement Haitong may ask you to make derogates from this provision.

假如海通國際投資經理有限公司及海通國際資產管理（香港）有限公司（“海通”）向閣下招攬銷售或建議任何金融產品，該金融產品必須是我們經考慮閣下的財政狀況、投資經驗及投資目標後而認為合理地適合閣下的。本協議的其他條文或任何其他海通可能要求閣下簽署的文件及海通可能要求閣下作出的聲明概不會減損本條款的效力

Please complete all questions in this form in block capitals. If any question is not applicable, please write “N/A” OR cross out that question. 請用正楷填寫所有問題。如該項目不適用，請填寫“N/A”或把不適用項目刪除。

1. Subscriber's Details 認購人資料			
Unitholder Account No. 單位持有人賬戶號碼		First Subscription 首次認購	
		Yes 是 <input type="checkbox"/> No 否 <input type="checkbox"/>	
Name of Unitholder 單位持有人名稱	(1) Company 公司		
	(2) Individual 個人	1. Name 姓名	ID/Passport No. 身份證/護照號碼
		2. Name 姓名	ID/Passport No. 身份證/護照號碼
		3. Name 姓名	ID/Passport No. 身份證/護照號碼
		4. Name 姓名	ID/Passport No. 身份證/護照號碼
Tel. No. (incl country & area codes) 電話號碼 (包括國家代碼及地區編號)		Fax No. (incl country & area codes) 傳真號碼 (包括國家代碼及地區編號)	
()		()	
E-mail Address 電郵地址			

2. Subscription Details 認購資料										
Name of Fund(s) ¹ 基金名稱 ¹	Class 類別	Relative Risk Type ² 相對風險類 ²					Currency 貨幣	Subscription Amount ³ 認購金額 ³	Standing Instruction for Dividend or Distribution Payments 股息或分派的常行指示	Initial Charge % / Subscription Charge % 首次收費%/認購費用%
		1	2	3	4	5				
								<input type="checkbox"/> Cash 現金 <input type="checkbox"/> Reinvest 再投資 <input type="checkbox"/> N/A 不適用		
								<input type="checkbox"/> Cash 現金 <input type="checkbox"/> Reinvest 再投資 <input type="checkbox"/> N/A 不適用		
								<input type="checkbox"/> Cash 現金 <input type="checkbox"/> Reinvest 再投資 <input type="checkbox"/> N/A 不適用		
								<input type="checkbox"/> Cash 現金 <input type="checkbox"/> Reinvest 再投資 <input type="checkbox"/> N/A 不適用		

Note 註:
 1. Relative Risk Type 相對風險類別
 1 = Low 低 2 = Medium Low 中低 3 = Medium 中 4 = Medium High 中高 5 = High 高
 2. The minimum amount of each subscription should fulfill the minimum requirement of the relevant fund which mentioned in the Offering Document (exclusive of any initial charge/ subscription charge). 每次認購的金額須符合有關基金銷售文件內列明的最低認購金額 (不包括首次收費/認購費用)。

The Account details are as follows 銀行賬戶資料如下:	
Item 項目	Bank Details 銀行資料
Name of Bank 銀行名稱	
Address of Bank 銀行地址	
SWIFT Code SWIFT 代號	
Name of Bank Account 銀行賬戶名稱	
Number of Bank Account 銀行賬戶號碼	

3. Payment Instruction 付款指示	
I/We confirm that payment of the above subscription amount has been made by 本人/我們確認有關認購款項以下列方法支付	
<input type="checkbox"/>	Telegraphic transfer 電匯 Payment Date 付款日期: _____ ; Payment Amount 付款金額: _____ and enclosed a copy of Telegraphic Transfer instruction. 並附上電匯指示副本。
<input type="checkbox"/>	Cheque 支票 Cheque No. 支票號碼: _____ ; Payment Amount 付款金額: _____ - No cash or third party cheque payment will be accepted. We reserve the right not to process your instruction until receipt of the payment in cleared funds by us. 現金或第三者支票並不接受。在收到以已結算資金支付的款項之前，我所有權 不 處理閣下之指示。 - For Cashier's Order, please instruct the bank to certify that the Cashier's Order is duly endorsed upon the account holder's request at the back of the Cashier's Order and submit source of payment. 倘屬本票，請通知銀行背書以核實發票人與單位持有人名稱相符及提交款項來源的證明文件。

4. Subscriber Acknowledgement (Applicable to Subscription) 認購人確認(適用於認購)	
Important Matters for Fund 基金重要事宜	I/we hereby acknowledge that: 本人/我們在此確認
4.1 I/We confirm prior to signing this form, I/we have read the matters relating to Funds subscription printed on the Form. I/We hereby signify my/our confirmation, acknowledgement and agreement to such matters by signing at the box. 本人/我們確認於簽署本申請表前已細閱本表格有關基金認購申請之事項。本人/我們現於右方空位簽署，以表示本人/我們確認、承認及同意此等事項。	Signature & Date 簽署及日期
4.2 I/We confirm the address (including correspondence address) of my/our Funds account is valid and understand that the Manager has the right not to proceed with my/our order if the address (including correspondence address) of my/our account is unknown or invalid. 本人/我們確認本人/我們之基金戶口地址(包括通訊地址)為有效之地址，及明白如該地址不詳或無效，基金經理有權決定是否執行本人/我們之基金買賣指示。	<input type="checkbox"/>
4.3 I/We have received, read and been explained the up-to-date offering document(s) of the relevant Fund(s) including prospectus and financial reports (if applicable) and understand the information contained therein. 本人/我們已收到、細閱及獲解釋有關基金最新之基金銷售文件，包括基金說明書及財務報告(如適用)及明瞭其等所載之資料。	<input type="checkbox"/>
4.4 I/We have understood the essential features of the Fund, including but not limited to the market or the underlying index to be invested, the "relative risk type" of the Fund(s) i.e., Low, Medium Low, Medium, Medium High or High, whether the Fund is a guaranteed fund, percentage of the capital invested for which a guarantee is provided, guarantor, fund management company, fund currency, minimum investment amount, subscription fee, management fee, performance fee (if any), dealing date and dividend policy (if any), etc. 本人/我們已明瞭基金的特色，包括但不限於所投資的市場或掛鈎指數、基金所屬之「相對風險類別」-(即低、中低、中、中高或高)、是否保本基金、保本之比率、保證人、基金管理公司、報價貨幣、最低投資金額、認購費、管理費、表現費(如有)、交易日及派息政策(如有)等。	<input type="checkbox"/>
4.5 I/We have read and understand the risk factors mentioned in the offering document(s). 本人/我們已細閱及明白基金銷售文件內所述之各項風險因素。	<input type="checkbox"/>
4.6.1 I/We (i) understand the Client Investment Profile I / we formerly completed before and I / we have chosen not to complete the new Client Investment Profile again, (ii) confirm my/ our risk tolerance and comfortable Investment tenor remains unchanged and (iii) confirm that I / we will complete this Form based on the answer and / or result of the Client Investment Profile I/we have completed previously. (Not applicable to subscriber aged 65 or above). 本人/我們 (i) 明白本人 / 我們以前曾經填寫客戶投資概況，並確認本人 / 我們選擇不填寫新的客戶投資概況，(ii) 確認本人/我們之風險接受程度及感到安心的投資年期維持不變及 (iii) 確認本人 / 我們將會根據以前曾經填寫之客戶投資概況之答案及/或結果完成此表格。 (不適用於年齡為65歲或以上之認購人)	<input type="checkbox"/>
4.6.2 In relation to my/our Risk Tolerance Level deduced from the Client Investment Profile and the relative risk type of the Fund I/we apply to subscribe, I/we confirm that I/we (Choose one only): 就客戶投資概況所顯示本人/我們之風險承受程度與本人/我們申請認購之基金的相對風險類別，本人/我們確認本人/我們(只可選擇其中一項)： 4.6.2.1 <input type="checkbox"/> have completed the Client Investment Profile and agree with the result, and understand that the New Fund I/we choose (at my/our own request) has an equal or lower risk level than that shown from the result of the profile. 已填妥客戶投資概況問卷並同意其結果，並明白本人/我們要求及選擇的新基金之風險乃是 等同或低於 問卷結果所顯示的水平。	Signature & Date 簽署及日期

4.6.2.2 have completed the Client Investment Profile and agree with the result, and understand that the New Fund I/we choose (at my/our own request) has a **higher** risk level than that shown from the result of the Profile.
已填妥客戶投資概況問卷並同意其結果，並明白本人/我們要求及選擇的新基金之風險乃是高於問卷結果所顯示的水平。

Remarks:

備註：_____

Please read carefully and endorse the part (a) & (b)

請仔細閱讀及簽署此(a)及(b)部份:

(a) Declaration and Acknowledgement

聲明及確認

I/we declare, acknowledge, confirm and agree that:

本人/我們聲明、確認、證實及同意:

- The Client Investment Profile has been duly completed and I/we understand my/our Risk Tolerance Level deduced from the profile, which has been clearly explained by the Sales Staff of Haitong ("Sales Staff"). 客戶投資概況問卷已填妥及本人/我們明白由海通銷售同事(「銷售同事」)解釋問卷所顯示本人/我們之風險承受程度。
- I/we have received, read and been explained by the Sales Staff the up-to-date offering document(s) of the relevant fund(s) including prospectus and financial reports (if applicable). I/we understand the information contained therein. 本人/我們已收到、細閱及獲解釋有關基金最新之基金銷售文件，包括基金說明書及財務報告(如適用)及明瞭其等所載之資料。
- The Sales Staff has explained to me/us the essential features of the Fund and I/we have understood the features of this Fund, including but not limited to the market or the underlying index to be invested, the "relative risk type" of the Fund(s) i.e., Low, Medium Low, Medium, Medium High or High, whether the Fund is a guaranteed fund, percentage of the capital invested for which a guarantee is provided, guarantor, fund management company, fund currency, minimum investment amount, subscription fee, management fee, performance fee (if any), dealing date and dividend policy (if any) etc. 銷售同事已向本人/我們解釋基金的特色，而本人/我們亦已明瞭此基金的特色，包括但不限於所投資的市場或掛鉤指數、基金所屬之「相對風險類別」(即低、中低、中、中高或高)、是否保本基金、保本之比率、保證人、基金管理公司、報價貨幣、最低投資金額、認購費、管理費、表現費(如有)、交易日及派息政策(如有)等。
- The Sales Staff has explained to me/us the risks involved with the Fund and I/we have read and understand the risk factors mentioned in the offering document(s). 銷售同事已向本人/我們解釋基金涉及的風險，而本人/我們已細閱及明白基金銷售文件內所述之各項風險因素。

(b) Declaration and Acknowledgement

聲明及確認

I/we declare, acknowledge, confirm and agree that:

本人/我們聲明、確認、證實及同意:

The Sales Staff has reiterated the Fund I/we choose (at my/our own request) has a **higher** risk level than that shown from the result of the Client Investment Profile but I/we declare, and confirm to proceed with the fund subscription
銷售同事已重申本人/我們要求及選擇之基金之風險乃是高於問卷結果所顯示的類別，惟本人/我們聲明及確認繼續進行基金認購。

Signature of Sales Staff 銷售同事簽署 Name 姓名 Date 日期 CE No. 中央編號	
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Signature & Date
簽署及日期

4.6.2.3 have completed the Client Investment Profile but disagree with the result, yet I/we understand and accept the risk level of New Fund I/we choose (at my/ our own request).
已填妥客戶投資概況問卷但不同意其結果，縱使如此，本人/我們明白及接受本人/我們要求及選擇的新基金之風險水平。

Remarks:

備註： _____

Please read carefully and endorse the part (a) & (b)

請仔細閱讀及簽署此 (a)及 (b)部份:

(a) **Declaration and Acknowledgement**

聲明及確認

I/we declare, acknowledge, confirm and agree that:

本人/我們聲明、確認、證實及同意:

- The Client Investment Profile has been duly completed and I/we understand my/our Risk Tolerance Level deduced from the profile, which has been clearly explained by the Sales Staff of Haitong ("Sales Staff"). 客戶投資概況問卷已填妥及本人/我們明白由海通銷售同事(「銷售同事」)解釋問卷所顯示本人/我們之風險承受程度。
- I/we have received, read and been explained by the Sales Staff the up-to-date offering document(s) of the relevant fund(s) including prospectus and financial reports (if applicable). I/we understand the information contained therein. 本人/我們已收到、細閱及獲解釋有關基金最新之基金銷售文件，包括基金說明書及財務報告(如適用)及明瞭其等所載之資料。
- The Sales Staff has explained to me/us the essential features of the Fund and I/we have understood the features of this Fund, including but not limited to the market or the underlying index to be invested, the "relative risk type" of the Fund(s) i.e., Low, Medium Low, Medium, Medium High or High, whether the Fund is a guaranteed fund, percentage of the capital invested for which a guarantee is provided, guarantor, fund management company, fund currency, minimum investment amount, subscription fee, management fee, performance fee (if any), dealing date and dividend policy (if any) etc. 銷售同事已向本人/我們解釋基金的特色，而本人/我們亦已明瞭此基金的特色，包括但不限於所投資的市場或掛鈎指數、基金所屬之「相對風險類別」(即低、中低、中、中高或高)、是否保本基金、保本之比率、保證人、基金管理公司、報價貨幣、最低投資金額、認購費、管理費、表現費(如有)、交易日及派息政策(如有)等。
- The Sales Staff has explained to me/us the risks involved with the Fund and I/we have read and understand the risk factors mentioned in the offering document(s). 銷售同事已向本人/我們解釋基金涉及的風險，而本人/我們已細閱及明白基金銷售文件內所述之各項風險因素。

(b) **Declaration and Acknowledgement**

聲明及確認

I/we declare, acknowledge, confirm and agree that:

本人/我們聲明、確認、證實及同意:

I/We confirm that I/we choose not to rely on the result deduced from the Client Investment Profile and I/we by taking my/our own risk insist to proceed with the Fund subscription. The Sales Staff has reiterated the risk level of the Fund I/we choose (at my/our own request) and the risk factors involved. I/we totally understand and accept the responsibility for my/our Fund subscription.

本人/我們確認本人/我們選擇不依賴客戶投資概況問卷所顯示的結果及本人/我們在獨自承擔風險的情況下堅持進行基金認購。銷售同事已重申本人/我們要求及選擇的基金之風險水平與涉及的風險因素。本人/我們完全明白及接受認購基金時所需承擔的責任。

Signature of Sales Staff

銷售同事簽署

Name 姓名

Date 日期

CE No. 中央編號

Signature & Date

簽署及日期

4.6.3 confirm the exposures to a particular Fund in my/our portfolio (including investments handled by other companies) is appropriate which will not result in over concentration risk.

確認本人/我們的投資組合中單一基金的認購比例(包括經其他公司處理的投資)恰當，並不構成過度集中風險。

Signature & Date

簽署及日期

5. Investment Fund Witnessing Requirements and Exceptional Approval (Applicable to Subscriber aged 65 or above)
投資基金見證要求及特別核准 (適用於年齡為 65 歲或以上之認購人)

Witnessing Arrangement (Applicable to Subscriber aged 65 or above)
 見證安排(適用於年齡為 65 歲或以上之認購人)

5.1 Witnessed by friend/relative aged 60 or below 60 歲或以下之親友見證

I hereby witness (name of Subscriber) _____ place a Subscription for the Fund and confirm he/she was informed of the Fund information and has confirmed all the "Important Matters for Fund" mentioned in Subscription Form.
 本人現見證(認購人姓名) _____ 申請認購上述基金，並證明被已獲告知該基金之資料及已確認基金認購表格中所載的「基金重要事宜」。

Name of Friend/Relative 親友姓名	Signature of Friend/Relative 親友簽署	Age 年齡: <input type="checkbox"/> 18 - 60
Name of Sales Staff 銷售同事姓名	Signature of Sales Staff 銷售同事簽署	
Name of Witnessing Staff 見證同事姓名	Signature of Witnessing Staff 見證同事簽署	

The Subscription Form and other relevant documents have been duly interpreted and explained to the Subscriber and witnessed by the Subscriber's friend/relative and Sales/Witnessing Staff above. The Subscriber has been invited to ask questions and has confirmed understanding of the documents and the transaction. 本認購表格內容及有關文件已經由認購人之親友及銷售/見證同事向認購人解釋及見證。而且認購人亦已獲悉就有關的產品內容作出提問，並表示完全明白有關的文件及交易。

Signature of Subscriber(s) & Date 基金認購人簽署及日期

5.2 Unable to provide witnessing friend/relative aged 60 or below 未能提供 60 歲或以下親友見證

PRIOR APPROVAL by Head of Marketing Development or Designated Person 必須先取得市場發展部主管或指定人士之核准

I/We _____ hereby request the Manager to waive the relative/friend witnessing requirement.
 本人/我們 _____ 要求基金經理豁免親友見證的要求

The reason of waiver 豁免理由

- (1) The Subscriber is reluctant to disclose the purchase of the Funds to his/her relative/friend. 認購人不願意向親友透露認購該基金之內容
 (2) Other (please specify) 其他 (請註明):

Name of Head of Marketing or Designated Person 銷售部主管或指定人士姓名	Signature of Name of Head of Marketing or Designated Person 銷售部主管或指定人士簽署
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The subscription form and other relevant documents have been duly interpreted and explained to the Subscriber. The Subscriber has been invited to ask questions and has confirmed understanding of the documents and the transaction.
 本認購表格內容及有關文件已經詳細及清楚地向認購人解釋。而且認購人亦已獲悉就有關的產品內容作出提問，並表示完全明白有關的文件及交易。

Signature of Subscriber & Date 基金認購人簽署及日期

5.3 Exceptional Approval 特別核准

Subscriber aged 65 or above 若認購人年齡為 65 歲或以上

PRIOR APPROVAL by Head of Marketing Development and Head of Compliance or their Designated Persons
 必須先取得市場發展部主管及合規部主管或他們的指定人士之核准

I (name of Subscriber) _____ place a Subscription for the Fund and confirm that I was informed of the Fund information and understand all the "Important Matters for the Fund" mentioned in Subscription Form.
 本人(認購人姓名) _____ 申請認購上述基金，並已獲告知該基金之資料及明白基金認購表格中所載的「基金重要事宜」。

Witnessed by friend/relative aged 60 or below
 60 歲或以下之親友見證

I hereby witness (name of Subscriber) _____ place a Subscription for the Fund and confirm he/she was informed of the Fund information and has confirmed all the "Important Matters for Fund" mentioned in Subscription Form.
 本人現見證(認購人姓名) _____ 申請認購上述基金，並證明被已獲告知該基金之資料及已確認基金認購表格中所載的「基金重要事宜」。

Name of Friend/Relative 親友姓名	Signature of Friend/Relative 親友簽署	Age 年齡: <input type="checkbox"/> 18 - 60	
Name of Sales Staff 銷售同事姓名	Signature of Sales Staff 銷售同事簽署		
Name of Head of Marketing 銷售部門主管姓名	Signature of Head of Marketing 銷售部門主管簽署	Name of Head of Compliance 合規部門主管姓名	Signature of Head of Compliance 合規部門主管簽署

Signature of Subscriber & Date 基金申請人簽署及日期

6. Declaration And Signature 聲明及簽署

1. I/We confirm that the information and instruction provided on this form are accurate, true and complete.
本人/我們確認此表格中所提供的資料及指示為準確、真實及完整。
2. I/We agree that by giving facsimile/online authorization, I/we confirm and acknowledge that (1) facsimile/Internet are not secure means of communication, and that I/we are aware of the risk involved, and that my/our request to the Distributor/Manager/Trustee to accept such facsimile/online instruction[#] is for my/our convenience; (2) each of the Distributor/Manager/Trustee is hereby authorised to act on any facsimile/online instruction[#] which the Distributor/Manager/Trustee, at its sole discretion, believes emanate from me/us, the Distributor/Manager/Trustee shall not be required to act upon any facsimile/online instruction[#] which emanate from unauthorized persons; (3) any transaction made pursuant to a facsimile/online instruction[#] acted upon in good faith and in the absence of negligence, wilful default or fraud on the part of the Distributor/Manager/Trustee shall be binding upon me/us whether made with or without my/our authority, knowledge or consent; (4) where facsimile instructions are given or sent by me/us, the fact that a transmission report produced by the originator of such transmission discloses that the transmission was sent (without written confirmation of receipt from the Distributor/Manager/Trustee) will not be sufficient proof of receipt by the Distributor/Manager/Trustee; (5) the Unitholder undertakes to keep the Distributor/Manager/Trustee indemnified at all times against, and to save the Distributor/Manager/Trustee harmless from all actions, proceedings, claims, losses, damages, costs and expenses which may be brought against the Distributor/Manager/Trustee or suffered or incurred by the Distributor/Manager/Trustee and which shall have arisen either directly or indirectly out of or in connection with the Distributor's/Manager's/Trustee's accepting facsimile/online instruction[#] and acting thereon, whether or not the same are confirmed in writing by me/us. (NOTE: Unitholders should for their own benefit confirm with the Distributor/Manager the receipt of the facsimile/online notices.)
本人/我們同意就通過圖文傳真/互聯網發出指示，本人/我們確認及知道（1）圖文傳真/互聯網並非傳送指示的安全方式，本人/我們同時瞭解其中涉及的風險及要求分銷商/基金經理/信託人接受透過圖文傳真/互聯網遞交之交易指示，是為本人/我們的便利；（2）分銷商/基金經理/信託人授權執行其酌情相信是由本人/我們發出的傳真/網上指示[#]，但是無須執行由非授權人士發出的傳真/網上指示[#]；（3）在沒有出現嚴重疏忽、故意失責或詐騙的情況下，分銷商/基金經理/信託人本於誠信而根據傳真/網上指示[#]進行的一切交易均對本人/我們有約束力，而不須本人/我們授權、知道或同意；（4）本人/我們通過圖文傳真發出指示時，由傳真機發出的傳送報告顯示傳送完成（並非由分銷商/基金經理/信託人發出的書面確認以通知收妥），不足以代表分銷商/基金經理/信託人已收到該指示；（5）基金單位持有人承諾就分銷商/基金經理/信託人所蒙受或對分銷商/基金經理/信託人所採取的一切法律行動、訴訟、索償、損失、損失賠償、費用及開支負責，不論這是直接或間接由於分銷商/基金經理/信託人接受本人/我們發出之傳真/網上指示[#]及根據該等指示處理有關事宜，或本人/我們是否曾以書面確認該等事宜。（注意：基金單位持有人應與分銷商/基金經理確認是否收妥傳真/網上通知以保障本身利益。）
Online instruction: client submit written instruction for transaction via internet by Haitong Fund Services Platform or email.
網上指示：客戶透過互聯網，經海通「基金網上服務」或電郵遞交書面交易指示。
3. I/We confirm that I am/we are not a US Person (as defined in the Offering Document) and that I am/we are not acquiring the units for any US Person (as defined in the Offering Document).
本人/我們確認本人/我們並非美國人士(定義見銷售文件)，而且本人/我們並沒有為任何美國人士(定義見銷售文件)認購單位。
4. I/We have read the Personal Information Collection Statement set out in Section 7 of this form and agree to the terms therein. By signing herein, I/we consent that my/our personal data may be used, disclosed and transferred for the purposes and to the persons specified in the Personal Information Collection Statement (subject to my/our preference relating to the use of data for direct marketing purposes as indicated below). In particular, I/we consent that my/our personal data may be disclosed to persons (including any tax authority) within or outside Hong Kong:
(i) for various local or foreign legal or regulatory compliance and/or tax reporting purposes, including but not limited to Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS); and/or
(ii) for prevention, detection, sanction or investigation of crime, fraud, money laundering, corruption, terrorist financing and any other violation of laws or unlawful activities.
本人/我們已閱讀列載於本表格第 7 部分之個人資料收集聲明並同意當中的條款。藉簽署本表格表示（在不抵觸本人/我們於下述有關使用資料作直接促銷目的的選擇的情況下），本人/我們同意本人/我們的個人資料可能就個人資料收集聲明內列明的目的使用、披露及轉移予個人資料收集聲明內所列明的人士。尤其，本人/我們同意本人/我們的個人資料可披露予香港境內或境外的人士（包括任何稅務機關）：
(i) 以遵從各地方或海外法律或法規及/或稅務申報目的，包括但不限於《海外賬戶納稅法案》(FATCA) 及《通用報告準則》(CRS)；及/或
(ii) 以防止、偵查、制裁或調查罪行、欺詐、洗黑錢、貪污、恐怖分子融資及任何其他違法或不合法的活動。
5. I/We hereby confirm that my/our declaration in Section 6 of the Master Account Opening Form remains valid in all respects.
本人/我們在此確認本人/我們對總開戶表格上第6部的聲明仍然生效。

Signature 簽署 _____
Name 姓名

Signature 簽署 _____
Name 姓名

Signature 簽署 _____
Name 姓名

Signature 簽署 _____
Name 姓名

Date 日期: _____

For Internal use only 僅供內部使用
Intermediary 中介機構
Agent's Name 中介人姓名
Agent's Code 中介人編號

7. **Data Privacy Policy of Haitong International Securities Group Limited and its subsidiaries (“HTISG”)**

海通國際證券集團有限公司及其附屬公司（「海通國際證券集團」）之個人資料私隱政策

1. At HTISG, we want to provide the best service possible to our customers.
2. One way that we do this is by using customer information to provide our customers with convenient access to the right products and services. We also recognize that our customers have important expectations regarding the use of that information.
3. Safeguarding customer information is a matter that we take seriously. That is why we at HTISG have set forth the following principles to affirm our long-standing commitment to confidentiality.
4. From time to time, it is necessary for customers who are individuals to supply HTISG with data which are personal data (“Data”) for the purposes of the Personal Data (Privacy) Ordinance (Cap. 486 of the laws of Hong Kong). The purposes for which Data (and other information) relating to customers may be used are as follows:
 - the daily operation of the services and facilities provided to customers;
 - conducting credit checks;
 - assisting other institutions to conduct credit checks;
 - ensuring customers’ ongoing credit worthiness;
 - designing financial services or related products for customers’ use;
 - marketing financial services or related products to customers (please see further details in clause 6 below);
 - determining the amount of indebtedness owed to or by customers;
 - meeting the requirements to make disclosure under the requirements of any law or regulations; and
 - any purposes relating to any of the foregoing.

5. Data (and other information) held by HTISG relating to customers will be kept confidential but HTISG may disclose, and it is a condition of HTISG providing services, products and information to customers that each customer consents to the disclosure of all Data (and other information) to:
 - any officer, employee, agent, contractor or third party who provides administrative, credit information, debt collection, telecommunications, computer, payment or other services to HTISG in connection with the operation of their business;
 - any financial institution with which the customer has or proposes to have dealings;
 - regulatory or judicial authorities and other relevant government or statutory bodies;
 - any other person under a duty of confidentiality to HTISG including a company within HTISG which has undertaken to keep such information confidential.
 - We share information regarding customers among HTISG only in accordance with strict internal security standards and confidentiality policies and with applicable law.
 - We hold our employees fully accountable for adhering to those standards, policies and laws.
 - We do not share information about our customers with other companies except in order to conduct our business, comply with applicable law, protect against fraud or make available special offers of products and services that we feel may be of interest to our customers. We may also provide information to regulatory authorities and law enforcement officials in accordance with applicable law.
 - We have established high standards for protecting information regarding our customers from unauthorized alteration or destruction.

6. **USE OF DATA IN DIRECT MARKETING**

We intend to use your personal data in direct marketing and we require your consent (which includes an indication of no objection) for that purpose. The specific requirement regarding your consent (which includes an indication of no objection) is introduced in Part VIA of the Personal Data (Privacy) Amendment Ordinance 2012. In this connection, please note that:

- a. your name, contact details, products and services portfolio information, transaction pattern and behaviour, financial background and demographic data held by HTISG from time to time may be used by HTISG in direct marketing;
- b. the following classes of services, products and subjects may be marketed:
 - i. financial, insurance, securities, commodities, investment and related services and products and facilities;
 - ii. reward, loyalty or privileges programmes in relation to the class of marketing subjects as referred to in clause 6b(i) above;
 - iii. services and products offered by HTISG’s co-branding partners (the names of such co-branding partners can be found in the application form(s) for the relevant services and products, as the case may be) in relation to the class of marketing subjects as referred to in clause 6b(i) above; and
 - iv. donations and contributions for charitable and/or non-profit making purposes;
- c. the above services, products and subjects may be provided or (in the case of donations and contributions) solicited by HTISG and/or:
 - i. any member of HTISG;
 - ii. third party financial institutions, insurers, securities, commodities and investment services providers;
 - iii. third party reward, loyalty, co-branding or privileges programme providers;
 - iv. co-branding partners of HTISG (the names of such co-branding partners can be found in the application form(s) for the relevant services and products, as the case may be); and
 - v. charitable or non-profit making organisations;
- d. in addition to marketing the above services, products and subjects itself, HTISG also intends to provide the data described in clause 6(a) above to all or any of the persons described in clause 6(c) above for use by them in marketing those services, products and subjects (in respect of which HTISG may or may not be remunerated), and HTISG requires your written consent (which includes an indication of no objection) for that purpose;

If you do not wish HTISG to use or provide to other persons your data for use in direct marketing as described above, you may exercise the opt-out right by notifying HTISG in writing to the address provided below in clause 9 of this notice.

7. HTISG may, in accordance with the Personal Data (Privacy) Ordinance and any other applicable law,
 - a. match, compare or exchange any Data or other information provided by, or in respect of, a customer with Data (or other information) held by HTISG or any other person for the purpose of:
 - credit checking;
 - Data (and other information) verification;
 - otherwise producing or verifying Data (and other information) which may be used for the purpose of taking adverse action against the customer or any other person at any time;
 - b. transfer such Data (and other information) to any place outside Hong Kong (whether for the processing, holding or use of such Data (and other information) outside Hong Kong).
8. Under and in accordance with the terms of the Personal Data (Privacy) Ordinance each customer has a right to:
 - a. check whether HTISG hold Data about the customer and the right of access to such Data;
 - b. require HTISG to correct any Data relating to the customer which is inaccurate; and
 - c. ascertain HTISG’s policies and practices in relation to Data and to be informed of the kind of personal data relating to the customer held by HTISG.
9. Request for access and/or correct any data that customer has submitted shall be sent to the following address:

Haitong International Securities Group Limited
22/F Li Po Chun Chambers,
189 Des Voeux Road Central, Hong Kong
Attn : Customer Service Department
or phone to 3583 3388

10. In accordance with the terms of the Personal Data (Privacy) Ordinance, HTISG has the right to charge a reasonable fee for the processing of any Data access request.
11. At HTISG, information regarding our customers is used solely in the legitimate conduct of our business, to deliver superior service and to design products and special offers that demonstrate our understanding of our customers and their needs.
12. As we move forward in developing new products and services in an era of vast technological change, we will continue to maintain our dedication to assuring that customer information is properly used and appropriately safeguarded.

1. 海通國際證券集團一直致力為客戶提供最佳之服務。
2. 要達到此一目的，其中一個途徑就是利用客戶的資料，為客戶提供最方便的途徑，獲得合適的產品和服務，我們亦明白到客戶對於其個人資料的使用非常關注。
3. 保護客戶資料乃是我們一直認真處理的事項。因此，海通國際證券集團訂立了以下守則，矢志承諾對客戶的資料保密。

4. 個人名義的客戶必須不時向海通國際證券集團提供個人資料（「資料」），以作《個人資料（私隱）條例》（香港法例第 486 章）所述用途。有關客戶的資料（及其他資料）可用作以下用途：
- 向客戶提供之服務及設施之日常運作；
 - 進行信貸審查；
 - 協助其他機構進行信貸審查；
 - 確保客戶的信用維持良好；
 - 設計供客戶使用之金融服務或相關產品；
 - 向客戶推廣金融服務及相關產品（進一步詳情請參閱下文第 6 款）；
 - 釐定拖欠客戶或客戶拖欠之債務金額；
 - 根據任何法例或規例之規定，符合作出披露之要求；及
 - 與任何前述部份有關之任何用途。
5. 海通國際證券集團持有之客戶有關的資料（及其他資料）將會保密，但海通國際證券集團可向以下人士披露所有資料（及其他資料），而客戶同意披露所有資料（及其他資料）亦是海通國際證券集團向客戶提供服務、產品及資料之條件：
- 任何向海通國際證券集團提供有關其業務運作之行政、信貸資料、債務追討、電訊、電腦、繳款或其他服務之高級職員、僱員、代理、承包商或第三者；
 - 客戶已有或擬與之進行交易之任何金融機構；
 - 監管或司法當局及其他有關政府或法定機構；
 - 任何有責任為海通國際證券集團保密之其他人士，包括海通國際證券集團以內承諾保持此等資料機密之公司。
 - 海通國際證券集團內公司之間對客戶之資料使用，須依據嚴格之內部安全標準、保密政策及適用法律。
 - 我們約束僱員完全遵守該等標準、政策及法律。
 - 除為了進行業務、遵守適用法律、保護免受欺詐或作出我們認為可能符合客戶利益之產品及服務優惠外，我們不會將有關客戶的資料分發予其他公司。我們亦可依據適用法律向監管當局及執法人員提供資料。
 - 我們訂立了極高標準，以保護客戶的資料免受未經授權之更改或破壞。
6. 使用資料作直接促銷
- 我們擬使用閣下的個人資料作直接促銷，為此我們須取得閣下的同意（包括表示不反對）。2012 年《個人資料（私隱）（修訂）條例》第 VIA 部引入關於取得閣下同意的具體要求（包括表示不反對）。就此，務請閣下注意：
- a. 海通國際證券集團不時持有的閣下的姓名、聯絡詳情、產品及服務投資組合信息、交易模式及行為、財務背景及統計資料可由海通國際證券集團用於直接促銷；
 - b. 以下服務、產品及標的類別可作推廣：
 - i. 財務、保險、證券、商品、投資及相關服務和產品及授信；
 - ii. 有關上文第 6(b)(i)款所述促銷標的類別的獎賞、年資獎勵或優惠計劃；
 - iii. 由海通國際證券集團的聯營夥伴提供有關上文第 6(b)(i)款所述促銷標的類別的服務和產品（有關服務和產品（視屬何情況而定）的申請表上會提供該等聯營夥伴的名稱）；及
 - iv. 為慈善及／或非牟利目的而作出之捐款及資助；
 - c. 上述服務、產品及標的可由海通國際證券集團及／或下述人士提供或（如涉及捐款及資助）募捐：
 - 海通國際證券集團之任何成員公司；
 - i. 第三方金融機構、承保人、證券、商品及投資服務提供者；
 - ii. 第三方獎賞、年資獎勵、聯營或優惠計劃提供者；
 - iii. 海通國際證券集團之聯營夥伴（有關服務和產品（視屬何情況而定）的申請表上會提供該等聯營夥伴的名稱）；及
 - iv. 慈善或非牟利組織；
 - d. 除了自行推廣上述服務、產品及促銷標的外，海通國際證券集團亦擬將以上第 6(a)款所述資料提供予上文第 6(c)款所述的全部或其中任何人士，以供該等人士在促銷該等服務、產品及促銷標的時使用（海通國際證券集團可能就獲發或不獲發酬金），而海通國際證券集團須就此用途取得閣下的書面同意（包括表示不反對）；
- 如閣下不希望海通國際證券集團使用或提供閣下的資料予其他人士作上述直接促銷用途，閣下可向海通國際證券集團發出書面通知（郵寄地址載於下文本通知第 9 款），以行使閣下拒絕參與直銷活動的權利。**
7. 海通國際證券集團可依據個人資料（私隱）條例及其他適用法律進行以下活動：
- a. 將客戶提供或有關客戶之任何資料或其他資料，與海通國際證券集團或任何其他人士持有之資料（或其他資料）進行配對、比較或交換，以作以下用途：
 - 信貸審查；
 - 資料（或其他資料）核對；
 - 提出或核對資料（或其他資料），該等資料可能用於在任何時候採取對客戶或任何其他人士不利的行動；
 - b. 將此等資料（或其他資料）轉往香港以外任何地方（不論在香港以外處理、持有或使用此等資料（或其他資料））。
8. 根據及依據個人資料（私隱）條款，每位客戶均有權：
- a. 檢查海通國際證券集團是否持有有關客戶之資料，及是否有權使用此等資料；
 - b. 要求海通國際證券集團更改有關客戶之任何錯誤資料；及
 - c. 確定海通國際證券集團有關資料之政策及做法，以及獲知海通國際證券集團持有有關客戶之個人資料種類。
9. 查閱及／或改正客戶所提交之任何資料的要求送交以下地址：
- 海通國際證券集團有限公司
香港德輔道中 189 號
李寶椿大廈 22 樓
《客戶服務部》收
- 或致電 3583 3388。
10. 依據個人資料（私隱）條例之條款，海通國際證券集團有權就處理任何資料索取查閱之申請收取合理費用。
11. 在海通國際證券集團，有關客戶之資料只會用於進行本身業務的合法用途，以提供優質服務，及進行產品設計及優惠，從而顯示我們明白客戶及其需要。
12. 隨著我們會在新科技年代進一步發展新產品和服務，我們會繼續竭力確保客戶的資料會被正確使用及受到適當保護。

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Input by Date	Checked by Date	Reviewed by Date