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HAITONG MPF RETIREMENT FUND 海通 MPF 退休金 PERSONAL ACCOUNT MEMBERSHIP ENROLMENT FORM 個人帳戶成員登記表格

Notes 注意:

- ◆ Please read the latest Explanatory Memorandum (and any Addenda thereto) of the Haitong MPF Retirement Fund (the "Plan") carefully before you complete this form. Effective 1 April 2020, the Explanatory Memorandum will be renamed to MPF Scheme Brochure.
填表前，請先細閱海通 MPF 退休金（「本計劃」）最新基金說明書（及其附錄）。由 2020 年 4 月 1 日起，「基金說明書」將改名為「強積金計劃說明書」。
- ◆ You are required to provide the personal information indicated with symbol [®]. Otherwise, we may not be able to process your instruction.
閣下必須提供以符號 [®] 表示的個人資料。否則，我們將可能無法處理您的指示。
- ◆ Please fill in this Form carefully. Any amendments should be clearly marked and counter-signed. Please do not use correction fluid.
請小心填寫此表格。如有任何資料刪改，請必須加簽及避免用塗改液刪改資料。
- ◆ The personal information (Name, HKID / Passport No, Date of Birth, Nationality and Residential Address) you provided in Part I of this form will automatically apply to ALL your accounts maintained with HAITONG MPF RETIREMENT FUND under the HKID / Passport number stated in Part I below.
您於本表格第一節所填寫的個人資料（姓名，香港身份證號碼 / 護照號碼，出生日期，國籍及住址），將自動適用於您以下述第一節之香港身份證 / 護照號碼登記的所有海通 MPF 退休金賬戶。
- ◆ If you did not previously provide any identification or address proof document or your identification or address proof information has been changed, please provide certified true copies of the HK Permanent ID Card / Passport and proof of residential address (e.g. utility bills or bank statements) issued within the latest three months.
若您以往未曾提供任何身份證明文件或住址證明，或身份證明文件或住址證明的資料已變更，請提供香港永久性居民身份證 / 護照及最近三個月內發出的住址證明（例如公共事業的繳費單或銀行月結單）之認證副本。
- ◆ Please send the completed form to **Member Services, Fund Services Hong Kong, HSBC Institutional Trust Services (Asia) Limited, P.O. Box 73448, Kowloon Central Post Office, Hong Kong.**
請將填妥表格寄往 **香港九龍中央郵政局郵政信箱 73448 號，滙豐機構信託服務（亞洲）有限公司，退休金行政部收。**
- ◆ Should you have any questions when completing this Form, please feel free to call Haitong MPF 24 Hours Auto-Info-line at 2500-1600.
如閣下於填表時有任何疑問，請致電海通 MPF 24 小時自助資訊通 2500-1600。

PART I - PERSONAL INFORMATION 第一節 — 個人資料

Please ✓ the appropriate box 請在適當空格填上✓號

[®] Member English Name 成員英文姓名 <input type="checkbox"/> Mr 先生 <input type="checkbox"/> Ms 小姐 <input type="checkbox"/> Mrs 女仕	
Surname 姓 _____	
First Name 名 _____	
Member Chinese Name 成員中文姓名	[®] Nationality 國籍
[®] Date of Birth 出生日期	Place of Birth 出生地點
Day 日 Month 月 Year 年	City 城市 Province 省份 Country 國家
<input type="checkbox"/> Hong Kong ID Card No. 香港身份證號碼 / <input type="checkbox"/> Passport No. 護照號碼 <small>(Passport number is only applicable for persons without HKID card. Persons who are NOT holders of HK Permanent ID card must provide a certified true copy of the HKID Card and Passport. 只限未持有香港身份證者，才可填報護照號碼。若並非持有香港永久居民身份證的人士，則必須提供香港身份證及護照之認證副本。)</small>	
Marital Status 婚姻狀況	Sex 性別
<input type="checkbox"/> Single 未婚 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Divorced 離婚	<input type="checkbox"/> Male 男 <input type="checkbox"/> Female 女

HTHK/FORM/MPF/Haitong/EE/P-MEF (20200101)



<p>Ⓢ Residential Address 住址 (P.O. Box is not acceptable. 郵政信箱恕不接受。)</p>		
Flat / Room 室	Floor 樓	Block 座
_____	_____	_____
<p>Building / Estate Name 大廈 / 屋苑名稱</p> <p>_____</p>		
<p>Number & Name of Street 街道號碼及名稱</p> <p>_____</p>		
<p>District 地區</p> <p>_____</p>		<p>H.K. 香港 / Kln. 九龍 / N.T. 新界 (*Please circle as appropriate 請將適用者圈出)</p>
City 城市	Province 省份	Country 國家
_____	_____	_____
<p>Correspondence Address 通訊地址 (If different from above 如與上述不同)</p>		
Flat / Room 室	Floor 樓	Block 座
_____	_____	_____
<p>Building / Estate Name 大廈 / 屋苑名稱</p> <p>_____</p>		
<p>Number & Name of Street 街道號碼及名稱</p> <p>_____</p>		
<p>District 地區</p> <p>_____</p>		<p>H.K. 香港 / Kln. 九龍 / N.T. 新界 (*Please circle as appropriate 請將適用者圈出)</p>
City 城市	Province 省份	Country 國家
_____	_____	_____
<p>Ⓢ Contact Tel. No. 聯絡電話號碼</p> <p>_____</p>		<p>Mobile No. 手提電話號碼</p> <p>_____</p>
<p>Fax No 傳真號碼</p> <p>_____</p>		
<p>E-mail Address 電郵地址</p> <p>_____</p>		

PART II - TAX RESIDENCY SELF-CERTIFICATION (MUST FILL)

第二節 — 稅務居民身份自我證明 (必須填寫)

- ◆ This is a Self-Certification provided by you to HSBC Institutional Trust Services (Asia) Limited for the purpose of Automatic Exchange of Financial Account Information (“AEOI”) in compliance with tax law and regulations (including but not limited to the Inland Revenue Ordinance (Cap.112) and regulations based on the Organisation for Economic Co-operation and Development (OECD) Common Reporting Standard (CRS) for automatic exchange of information). The data collected may be transmitted by HSBC Institutional Trust Services (Asia) Limited to the Inland Revenue Department for exchange to the competent authority of another reportable jurisdiction.
 這是您向滙豐機構信託服務(亞洲)有限公司提供的自我證明，以作自動交換財務帳戶資料用途以遵守稅務法律及規例（包括但不限於《稅務條例》（第 112 章）和根據自動交換資料有關的經濟合作與發展組織（OECD）《通用報告準則》（CRS）的規則）。滙豐機構信託服務(亞洲)有限公司可把收集所得的資料交給稅務局，稅務局會將資料交到另一申報稅務司法管轄區的主管部門。
- ◆ This Self-Certification will remain valid unless there is any change in circumstances relating to the status of tax residency(ies). You must notify HSBC Institutional Trust Services (Asia) Limited within 30 days if there is any change in circumstances that makes any of the information provided in this Self-Certification form incorrect or incomplete and provide an updated Self-Certification form.
 除非您的稅務居民身份相關的情況有任何改變，否則此自我證明將被視為仍然有效。如情況有所改變，以致影響本聲明所述的個人的稅務居民身分，或引致本表格任何部份所載的資料不正確，您必須在情況有所改變後的 30 天內通知滙豐機構信託服務(亞洲)有限公司有關的改變並提供最新的自我證明。
- ◆ HSBC Institutional Trust Services (Asia) Limited **MUST** obtain the complete and valid tax residency Self-Certification for the setting up of member record. To avoid any delay in the setting up of member record and contribution settlement (if any), please read and complete all the appropriate parts below.
 滙豐機構信託服務(亞洲)有限公司在開立成員帳戶前，**必須**取得完整及有效的稅務居民身份自我證明。為避免成員帳戶開立及供款處理(如有)有任何延誤，請細閱完成以下所有適用部分。
- ◆ All relevant identification/verification documentation shall be provided to HSBC Institutional Trust Services (Asia) Limited upon request. Failure to provide us with the information and other personal data as requested may result in your application/instruction not being able to be processed.
 滙豐機構信託服務(亞洲)有限公司有權要求您提供所有相關的身份證明/驗證文件。如未能提供所需資料及其他個人資料，可能導致您的申請/指示不獲處理。
- ◆ As a financial institution, HSBC Institutional Trust Services (Asia) Limited is not allowed to give tax or legal advice. If you have any questions regarding your tax residency, please consult your tax adviser or visit the OECD and Inland Revenue Department’s AEOI website at <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/> and http://www.ird.gov.hk/eng/tax/dta_aeoi.htm respectively, or simply scan the QR code, for more CRS and related information.
 作為金融機構，滙豐機構信託服務(亞洲)有限公司不獲允許提供稅務或法律意見。若您對您的稅務居民身份存有任何疑問，請諮詢專業稅務顧問或瀏覽 OECD (<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>) 及 稅務局 (http://www.ird.gov.hk/eng/tax/dta_aeoi.htm) 有關自動交換財務帳戶資料的網頁，或掃描此二維碼，以獲取更多 CRS 及相關資料。



(OECD 經濟合作與發展組織)



(IRD 稅務局)

- ◆ The personal information, including name, Taxpayer Identity document number (TIN) (e.g. HKID No)*, date of birth, residential address & Jurisdiction for Tax purpose, provided in Part I and and Part II other related documents will form part of the Self-Certification.
 於 Part I 部分及 Part II 部分及其他相關文件所提供的個人資料，包括姓名、稅務編號 (例如:香港身份證號碼)*、出生日期、住址及就稅務目的之居留司法管轄區，將成為此自我證明的一部分。

* Your HKID card no. is your Taxpayer Identification Number (TIN) as Hong Kong tax resident.

您的香港身份證號碼即您作為香港稅務居民的稅務編號。

(1) I hereby declare that, to the best of my knowledge and belief (Please put a “✓” in the following box as appropriate) My Tax Residence is 以本人所知及所信，在此聲明(如適用，請在下面的方格上填上「✓」。)本人之稅務居住地為

Hong Kong **ONLY**, with no tax residence in any other jurisdictions or countries (and my HKID number is my TIN)

只有香港，及沒有處於任何其他司法管轄區或國家的稅務居住地(而我的香港身份證號碼是我的稅務編號)

Hong Kong (and the TIN is my HKID No.) and also some other jurisdictions or countries 是香港(及稅務編號為本人之香港身份證號碼)及其他司法管轄區或國家

(Please fill out the TIN for all other jurisdictions or countries, other than HK, in the table of (2). 請於(2)部分列出所有香港以外其他司法管轄區或國家的稅務編號。)

NOT Hong Kong, but instead some other jurisdictions or countries 不是香港而是其他司法管轄區或國家的稅務居民

(Please fill out (2) table. 請填寫(2)之列表。)

(2) Please list all countries/jurisdictions (other than Hong Kong) where you are a resident for tax purposes and Taxpayer Identification Number or its Functional Equivalent (TIN) for each country/jurisdiction. If the space provided is insufficient, please provide it in the below format on additional sheet(s).

請在以下列明您作為稅務居民的所有國家/司法管轄區(香港除外)及相關的稅務編號或具有等同功能的識辨編號(稅務編號)

Country/Jurisdiction of Tax Residency 稅務居民所在國家／司法管轄區	TIN ^{Remarks1} 稅務編號 ^{註1}	If no TIN available, please indicate Reason A, B or C below ^{Remarks2} 若未能提供稅務編號，請於下方填上理由A、B或C ^{註2}	Please explain why you are unable to obtain a TIN if you selected Reason B. 若您選擇理由B，請在下方解釋無法取得稅務編號的原因。
1			
2			
3			
4			
5			

Remarks 註：

- If you are PRC Resident Identity Card holder, the TIN is the PRC Resident Identity Card number.
若您是中華人民共和國居民身份證持有人，稅務編號為閣下中華人民共和國居民身份證號碼。
- Reason A: The country/jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.
理由A - 帳戶持有人所屬的稅務居民的國家 / 司法管轄區沒有向其居民發出稅務編號。
Reason B: The account holder is unable to obtain a TIN. (Please explain why you are unable to obtain TIN in the above table if you have selected this reason.)
理由B - 帳戶持有人無法獲得稅務編號。（若您選擇這理由，請在上表解釋您無法獲得稅務編號的原因。）
Reason C: No TIN is required. (Note: Only select this reason if the authorities of the relevant jurisdiction of residence does not require the TIN to be disclosed.)
理由C - 無需稅務編號。（註：只有在相關司法管轄區的國內法律不需要披露該司法管轄區發出的稅務編號方可選擇這理由。）

If you have any foreign indicia (e.g. place of birth, residential address/correspondence/office address, contact number, etc.), please provide your explanation for not being a tax resident of the country/jurisdiction. 如果您有任何外籍標記（例如：出生地點、住宅/通訊/辦公地址、聯繫電話等），請在以下方框內解釋不屬於此國家/司法管轄區的稅務居民之原因。

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a Self-Certification (comprising the contents herein described as forming parts of the 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（包括此處描述構成自我證明的一部分的內容），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 HK\$10,000）罰款。

PART III - INVESTMENT MANDATE 第三節 — 投資授權

In the event that you do not make any investment choices, please be reminded that your contribution made and/or benefits transferred into the Plan will unless otherwise provided in the Explanatory Memorandum be invested in accordance with the Default Investment Strategy.

如您沒有作出任何投資選擇，其累算權益（包括供款）除非基金說明書另有列明將會按照預設投資策略進行投資。

Regular contributions and transfer-in asset (if any) from another scheme shall be allocated for investment in the following manner:

定期供款及轉移自另一計劃的累算權益（如適用）將按下列分配投資：

Name of Constituent Funds 基金名稱	Investment Allocation (Complete in multiples of 1%) 投資分配（請以 1%或其倍數填寫）	
	Mandatory Portion 強制性供款部份	Voluntary Portion (if applicable) 自願性供款部份（如適用）
Default Investment Strategy (Please refer to Note 3) 預設投資策略（請參閱備註 3）	%	%
Haitong MPF Conservative Fund 海通強積金保守基金	%	%
Haitong Global Diversification Fund 海通環球分散基金	%	%
Haitong Asia Pacific (excluding HK) Fund 海通亞太（香港以外）基金	%	%
Haitong Hong Kong SAR Fund 海通香港特區基金	%	%
Haitong Korea Fund 海通韓國基金	%	%
Haitong Core Accumulation Fund (Please refer to Note 4) 海通核心累積基金（請參閱備註 4）	%	%
Haitong Age 65 Plus Fund (Please refer to Note 4) 海通 65 歲後基金（請參閱備註 4）	%	%
	100%	100%

Note 備註:

1. The Investment Allocation specified above will apply in respect of the transfer-in asset from another scheme.

您轉移自另一計劃的累算權益將同時以上述分配作投資。

If you have any voluntary balance from your transfer-in asset, please indicate your investment mandate in the above column “Voluntary Portion”. If you do not specify the Investment Allocation, the Trustee will invest all your voluntary balance of your transfer-in asset (if any) from another scheme according to Default Investment Strategy.

如果您的轉入資產中包括自願性供款，請填寫以上「自願性供款部份」的投資授權。如果您沒有提供自願性供款部份的投資分配指示，信託人便會將您的所有轉移自另一計劃的累算權益中的自願性供款部份按照預設投資策略作出投資。

2. If you do not specify the Investment Allocation for the Mandatory Portion and/or the Voluntary Portion (if any), the Trustee will invest the respective portion(s) in accordance with the DIS. If any allocation to a Constituent Fund/DIS in the above table is not in the multiples of 1% or if the total allocation is not equal to 100%, the allocation relating to that portion will be rejected and the Trustee will invest the portion in accordance with DIS. Moreover, under any of the following situations, your investment allocation will be defaulted as DIS:

- The form is unsigned
- Alternations to this form are not counter-signed
- Compulsory fields on this form are not complete or the information given in these fields is invalid
- No investment allocation is provided on this form
- The allocations of both portions are not specified or incorrectly specified in this form
- The completed enrolment form is received after the contributions and the transfer-in asset (if any) from another scheme were received

如果您沒有提供強制性供款部份及/或自願性供款部份(如適用)的投資分配指示，信託人會將該部份按照預設投資策略作出投資。假若上述的成分基金或預設投資策略投資分配非以 1% 或其倍數填寫或分配總和不等於 100%，該部份的投資分配將會被視作無效，而信託人會將該部份按照預設投資策略作出投資。此外，在下列任何一個情況下，您的投資分配指示將被設定為預設投資策略：

- 本表格未有簽署
- 未有就本表格上所刪改的資料加簽
- 未有填妥所有在本表格上必須填寫的部分或就該部份所填寫的資料無效
- 未有在本表格提供投資分配資料
- 兩個供款部份的投資分配均沒有填寫或不清楚填寫
- 當收到填妥的登記表格前，信託人已收到供款及轉移自另一計劃的累算權益（如適用）

3. Default Investment Strategy (DIS)

- When you are below the age of 50, all contributions and accrued benefits transferred from another scheme will be invested into Haitong Core Accumulation Fund.
- When you are between the ages of 50 and 64, all contributions and accrued benefits transferred from another scheme will be invested according to the allocation percentages between Haitong Core Accumulation Fund (CAF) and Haitong Age 65 Plus Fund (A65F) as set out in the De-risking table for DIS. The de-risking is to be achieved by annual adjustments of asset allocation gradually from the CAF to the A65F under the DIS. Please refer to the details set out in the latest Explanatory Memorandum.
- When you reach the age of 64, all contributions and accrued benefits transferred from another scheme will be invested in the A65F.

預設投資策略 (DIS)：

- 當您未滿 50 歲，所有供款及轉移自另一計劃的累算權益將會投資於海通核心累積基金。
- 當您年齡介乎 50 至 64 歲，所有供款及轉移自另一個計劃的累算權益將會按照預設投資策略降低風險列表中海通核心累積基金(CAF)與海通 65 歲後基金(A65F)之間的配置百分比進行投資。預設投資策略將會按年調整資產配置，逐步將投資從預設投資

資策略下的 CAF 轉移至 A65F 以達致降低風險。詳情請參閱最新的基金說明書。

c. 當您年屆 64 歲，所有供款及轉移自另一個計劃的累算權益將會投資於 A65F。

4. Please note that the de-risking will not apply when you choose Haitong Core Accumulation Fund and / or the Haitong Age 65 Plus Fund as individual fund choice(s) (rather than as part of the DIS).

請注意，若您選擇以海通核心累積基金或/及海通 65 歲後基金作為單獨投資，預設投資策略的降低風險機制將不適用（即非預設投資策略的一部份）。

5. Please refer to the latest Explanatory Memorandum of the Plan for further details of Default Investment Strategy. Further, please note that the Trustee may, without liability, treat any information received from the Participating Employer or you from time to time as being accurate and the Trustee may reasonably act in reliance on such information.

預設投資策略詳情請參閱基金說明書。請注意，信託人可視參與僱主或您不時提供的任何資料均為準確資料，並可依賴有關資料採取合理的行動，而毋須承擔任何責任。

6. If you would like to change the investment allocation and / or not to invest into DIS in the future, please complete the “Change of Investment Switching/ Redirection Form”.

如您希望更改投資分配及/或不投資於預設投資策略，請填寫「更改投資轉換/未來投資表格」。

7. The Trustee shall be liable only for such moneys or other assets as they shall actually receive and shall in no event be liable for any interest in respect of such assets save in respect of interest actually earned. In respect of voluntary contributions, it shall not be the duty of the Trustee to see that any contributions or other moneys payable under the Trust Deed, the Rules or the Participation Agreement are in fact paid, that any applicable definition of earnings (however expressed) is properly applied or that the calculation of contributions is correct. This clause does not over-ride any requirements of the Trustee set out under the MPF Ordinance or the Trust Deed.

信託人僅對實際收到的款項或其他資產負責，但不會對有關資產附帶的任何利益承擔責任。就自願性供款而言，信託人並沒有責任檢定任何供款或信託契約、規則或參與協議規定需要支付的其他款項已確實支付，亦沒有責任檢定任何適用的人息定義（不論如何表達）已適當引用或準確計算的供款。本條文並不凌駕《強積金條例》或信託契約所載有關信託人的規定。

PART IV - DECLARATIONS 第四節—聲明

1. All information in this Form is accurate.

本表格所載資料均屬正確無訛。

2. I undertake to notify the Trustee as soon as possible of any changes to the information contained in this Form.

本人承諾如表格所載資料有任何更改，將盡早通知信託人。

3. I confirm that I have received and read the latest Explanatory Memorandum (and any Addenda thereto) of the Plan and accept and agree to be bound by the terms of such Explanatory Memorandum (and Addenda thereto), the Trust Deed constituting the Plan, the Plan Rules prescribed by the Trustee in respect of the Plan and notified to the Member from time to time as well as this Form.

本人確認已收納及閱讀本計劃最新之基金說明書（及其附錄），並同意接受及遵守該基金說明書（及其附錄），成立本計劃之信託契據，信託人就本計劃訂明並不時通告成員之計劃細則和本表格。

4. I agree to be bound by and covenants to comply with the provisions of the Trust Deed as from time to time in force and to perform any act or pay any sum required by law to be done or paid by it as a Personal Account Holder for the purposes of the Plan insofar as attributable to the Personal Account Holder to be lawfully carried on in Hong Kong.

本人同意受不時生效的信託契約條文所約束及承諾遵守有關條文；並按法律所規定或就該計劃的目的而言，履行或支付個人帳戶成員在香港應合法履行的任何行動或支付的任何款項。

5. I agree to pay all fees, expenses and other liabilities which are payable by the Personal Account Holder in accordance with the Trust Deed or this Declaration.

本人同意按照信託契約或本聲明規定，繳付所有應由個人帳戶成員支付的費用、開支及其他債務。

6. I hereby agree to indemnify the Trustee against any actions, proceedings, claims, losses, damages, costs or expenses which may be brought against the Trustee or suffered or incurred by the Trustee arising either directly out of or in connection with the Trustee accepting facsimile instructions and acting thereon, whether or not the same are confirmed by me in writing, unless due to the wilful default or gross negligence of the Trustee.

本人同意並授權信託人接受傳真指示及根據指示處理有關事宜。除因蓄意瞞騙或大意疏忽，信託人無須因此而直接或間接負上任何責任、賠償、損失或費用。

Notwithstanding the previous paragraph, the Trustee has the right to determine which Forms or documents of instructions that may or may not be accepted by facsimile.

信託人有權決定接受何種傳真表格或指示。

7. I agree that:

本人同意：

(i) Subject to any applicable laws of Hong Kong Special Administrative Region, information supplied on the Schedule(s) or the Form and otherwise in connection with my participation in the Plan may be used for one or more of the following purposes: (i) processing my participation in the Plan, including but not limited to administering and managing my contributions and accrued benefits under the Plan, e.g. carrying out my instructions or responding to any enquiry purporting to be given by me or on my behalf, and dealing in any other matters relating to my participation in the Plan (including the mailing of reports or notices), (ii) complying with an order of any court and observing any legal, governmental or regulatory requirements of any relevant jurisdiction (including any disclosure, reporting or notification requirements to which any recipient of the data is subject, e.g. tax reporting requirements under the Inland Revenue Ordinance and its provisions) and, (iii) to provide a marketing database for MPF product and market research if it is / they are relevant to the Plan or to provide information for the dispatch of information on other products or services to me from the Plan's Sponsor "Haitong International Investment Managers Limited" ("Sponsor") or any connected person of the Sponsor if such products or services relate to the Plan. To the extent not prohibited by the MPF legislations and/or the Personal Data (Privacy) Ordinance ("PDPO"), all of such information may be retained after I have ceased to participate in the Plan.

根據香港特別行政區的適用法律，本人參與計劃相關表格或其他文件上所提供的資料，會將用作以下目的：(i)處理本人參與強積金計劃的相關事宜包括但不限於處理參與計劃中的累算權益，執行本人的指示、回應本人的查詢或回應宣稱代本人作出的查詢、處理

本人參與強積金計劃相關的其他事宜（包括寄發報告或通知書），(ii) 遵守任何法律的命令及司法權區的法律、政府、監管規定（包括收集這些數據而須作出披露、報告或通知的規定，如稅務局及相關規定下的稅務報告），(iii) 為強積金產品或市場研究作為營銷的數據庫（如與強積金計劃有關）、保薦人海通國際投資經理有限公司（“保薦人”）或其關連人士須向本人寄發其他產品或服務資料而需要的資料（如與強積金計劃有關）。在個人資料（私隱）條例及／或強積金法例不禁止的前提下，即使本人不再參與強積金計劃，所有這些資料仍會被保留。

- (ii) Upon request, I am entitled under the PDPO to be informed by the Sponsor whether it holds personal data as defined under PDPO about me and to request access to and/or correction of any such data. I also have the right to inform the Sponsor at any time if I do not wish to receive any marketing materials in relation to the Plan. Any such request may be made by post to the Client Services Officer, Haitong International Investment Managers Limited, 22/F, Li Po Chun Chambers, 189 Des Voeux Road Central, Hong Kong.

本人可要求並有權根據個人資料（私隱）條例而了解保薦人是否持有個人資料（私隱）條例所界定有關本人的個人資料，並可要求查閱及／或更改任何這些資料。本人有權隨時通知保薦人本人不希望再收取與強積金計劃相關的推廣資訊的意願。有關要求可以書面方式寄發到海通國際投資經理有限公司的客戶服務部（地址為香港德輔道中 189 號李寶椿大廈 22 樓）。

- (iii) For the purposes stated above, the Trustee may, directly or indirectly, disclose and transfer such information to the auditors of the Plan and the Sponsor, including any of their employees, officers, directors and agents, and / or to the ultimate holding company of the Sponsor and the Trustee, and / or their subsidiaries and/or affiliates or to any third party service provider, agent or delegate employed to provide services or hardware such as administrative, computer, operational support or other services or facilities which are relevant to or in connection with operation of the Plan. The Trustee may also make disclosure or transfer data, directly or indirectly, to any judicial, governmental or regulatory authority entitled thereto by law or regulation (whether such authorities are statutory or not). Provision of data made by the Trustee pursuant to this clause may be to any persons outside Hong Kong.

根據上述目的，受託人可能需要直接或間接向某些人士披露和轉交這些資料，這些人士包括強積金計劃和保薦人（包括其僱員、高級人員、董事及代理）的核數師及／或保薦人及託管人的最終控股公司及／或其附屬公司及／或聯屬公司，或受委聘負責向接收或獲轉交數據的人士提供行政、電腦、服務、操作協助或與運營計劃相關的設施的第三方。受託人亦可能需要就本人我們參與的強積金計劃直接或間接向有權按照法律法規的司法、政府或監管機構（不論是否法定機構）披露或轉交數據。受託人根據本條款所提供的數據或會向位於香港境外的人士提供。

- (iv) Applicable for the Employer and Self-Employed Persons: I am required to provide the information supplied on the Form or otherwise in connection with my participation in the Plan, I understand that if I do not provide such information, the Trustee will not be able to properly process my membership and benefits under the Plan. I have the right to obtain access and to request correction of any personal information concerning myself held by the Trustee. Request for such access can be made in writing and addressed to Member Services, Fund Services Hong Kong, HSBC Institutional Trust Services (Asia) Limited, P.O. Box 73448, Kowloon Central Post Office, Hong Kong.

適用於僱主和自僱人士：本人需要提供表格上提供的資料或與本人參與強積金計劃有關的資料，本人明白如本人不提供這些資料，受託人將不能適當處理本人的強積金計劃的會籍和福利。本人有權查閱受託人持有有關本人的個人資料及要求修改這些個人資料。本人可發出書面要求並寄發到滙豐機構信託服務(亞洲)有限公司, 退休金行政部(地址為香港九龍中央郵政局郵政信箱 73448 號)查閱個人資料。

- (v) The Sponsor intends to use my information to contact me for direct marketing of products or services relating to the Plan, and I understand that my consent is / are required in order for the Sponsor to do so, and should I not wish my information to be used for this purpose, I should put a tick (✓) below to indicate my objection.

保薦人擬使用本人的資料，就強積金計劃的產品或服務用作市場推廣的資料聯絡本人，而本人明白需要表示同意，保薦人才可進行相關事宜，如本人並不希望個人資料作此用途，請在空格中加上別號。

- I do not wish my personal data to be used for direct marketing purpose in relation to the Plan by the Sponsor.
 本人不希望個人資料作保薦人有關強積金計劃的推廣用途。

8. I understand and agree that the Sponsor, “Haitong International Investment Managers Limited” and/or the Trustee of the Plan may request from me, both upon this application and during such time as I am a member of the Plan, such evidence and/or documentation as any of them may require to fulfill their obligations under applicable law, regulation or regulatory policy, including, but not restricted to, laws, regulations or guidelines addressing money laundering and tax reporting, and I shall provide such information.

本人明白及同意保薦人海通國際投資經理有限公司及/或計劃的受託人可，在遞交本申請時及本人身為計劃成員期間，要求本人提交履行彼等的責任而可能需要的該等證明及/或文件。該責任根據適用法例、規例或監管政策，包括但不限於有關洗黑錢的法例、規例或指引及稅務報告，而本人亦必須提供該等資料。

9. Unless the context otherwise requires, words and expressions defined in the Trust Deed have the same meanings in this Declaration.
除文義另有規定外，信託契約所列詞語及詞句與本聲明所載者相同。

10. This Declaration shall be governed by and construed in accordance with the laws of The Hong Kong Special Administrative Region.
本聲明須受香港特別行政區法律監管，並須按此詮釋。

11. I undertake to advise HSBC Institutional Trust Services (Asia) Limited of any change in circumstances which affects the tax residency status of the individual identified in this Self-Certification or causes the information contained herein to become incorrect or incomplete, and to provide HSBC Institutional Trust Services (Asia) Limited with a suitably updated Self-Certification within 30 days of such change in circumstances. I acknowledge and agree that (a) the information contained in this Self-Certification (comprising the contents herein described as forming parts of the Self-Certification) is collected and may be kept by HSBC Institutional Trust Services (Asia) Limited for the purpose of automatic exchange of financial information and (b) such information and information regarding the account holder and any reportable account(s) may be reported by HSBC Institutional Trust Services (Asia) Limited to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another country/countries and jurisdiction(s) in which the account holder may be resident for tax purposes, pursuant to the provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112) and (c) I agree to the obligation that the account holder must comply with requests made by HSBC Institutional Trust Services (Asia) Limited to comply with the CRS (AEOI) requirements under the Inland Revenue Ordinance and/or applicable law and regulation, and such obligation forms the basis of the account to be opened. I certify that I am the account holder / I am authorized to sign for the account holder of all the account(s) to which this form relates.

本人承諾，如情況有所改變，以致影響本自我證明所述的個人的稅務居民身份，或引致本自我證明所載的資料不正確或不完整，本人會通知滙豐機構信託服務(亞洲)有限公司，並會在情況發生改變後 30 天內，向滙豐機構信託服務(亞洲)有限公司提交一份適當更新的自我證明。本人確認及同意，滙豐機構信託服務(亞洲)有限公司可根據《稅務條例》（第 112 章）有關交換財務帳戶資料的法

律條文，(a)收集本自我證明（包括此處描述構成自我證明的一部分的內容）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及(c)本人同意帳戶持有人必須遵守滙豐機構信託服務(亞洲)有限公司的要求以便遵守《稅務條例》及／或適用法律及規例的 CRS (AEOL) 規定，並為日後開立帳戶之基礎。本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人 / 本人獲帳戶持有人授權簽署本表格。

Signature of Member 成員簽署

(This signature will also act as a specimen signature for future correspondences.
此簽署式樣將作為日後有關本計劃之簽署)

Date 日期

Please ✓ the appropriate box. 請在適當的空格填上 ✓ 號

Please provide the following documents together with this Application Form for account opening: We will not be able to process your application if the following documents are outstanding. 請提供以下文件連同此表格作為開設帳戶之用。如下列文件有任何遺漏，將可能無法為閣下處理申請。

- A Certified Copy^{1&2} of Hong Kong Permanent Identity Card or Passport, and 已核證^{1&2}的香港永久性居民身份證 / 護照副本；及
- An original or a Certified Copy^{1&2} of residential address proof (utility bill or bank statement) which is issued within the latest 3 months. Please note that the mobile phone bill will not be accepted.
一張最近三個月內發出的住址證明正本或已核證^{1&2}的副本(公共事業的繳費單或銀行月結單)。請注意手提電話月結單恕不接受。

¹A certified copy means a copy of the original that has been sighted by an independent suitable certifier ("the certifier"). The certifier can be a certified public accountant, a lawyer, a notary public, a branch manager of a bank or director or manager of a regulated financial institution in a jurisdiction that is a Financial Action Task Force (FATF) member or an equivalent jurisdiction or a SFC licensed or registered person. The name, capacity or position, contact telephone number and address of the certifier and the date of certification should be clearly shown, together with the wordings to indicate that the copy document is a true copy of the original (e.g. "Original Seen" or words to similar effect). Where documents are not in English, a notarised translation is required. The certified documents submitted by post are not returnable.

¹已核證副本是指文件的正本須經由一名獨立合適人士(「核證人」)查看。核證人包括打擊清洗黑錢財務行動特別組織(FATF)成員或同等司法管轄區內的執業會計師、律師、公證人或銀行的分行經理或受監管的金融機構之經理或主管或香港證監會持牌人或監管人。副本須列明核證人的姓名、身份或職位、聯絡電話及地址、以及列明核實日期，並附有可認證所提供之文件為真實副本的字句(例如：「已查看正本」或以同義句子陳述)。若該文件並非以英文書寫，其譯本必須提交並經由公證人核實。如使用郵寄方式遞交之核證文件，將恕不退還。

²Persons who are NOT holders of HK Permanent ID Card must provide a certified true copy of the HKID Card and Passport.

²若並非持有香港永久居民身份證的人士，則必須提供香港身份證及護照之已核證副本。