



**Minerva Holding Financial Securities Limited**  
**贏控金融證券有限公司**

## **Minerva Holding Financial Securities Limited (MHFS)**

Account Opening Form – Individual/ Joint Account

(English version)

(Licensed with the Securities and Futures Commission as a licensed corporation) (CE No. AFE798) for dealing in securities under Type 1 of Part 1 in Schedule 5 to the Securities and Futures Ordinance and an exchange participant of The Stock Exchange of Hong Kong Limited.)

Address : Unit 1804, 18/F, Far East Finance Centre, 16 Harcourt Road, Admiralty, Hong Kong  
Telephone : 3741 8000  
Fax : 2530 4054  
Email : [cs@minervasec.hk](mailto:cs@minervasec.hk)  
Website : [www.minervasec.hk](http://www.minervasec.hk)

Account No.: _____ Date: _____
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## CLIENT'S INFORMATION FORM (Individual/Joint Account)

### Account Types

<input type="checkbox"/> Cash Account – Individual	<input type="checkbox"/> Margin Account – Individual	<input type="checkbox"/> Others: _____
<input type="checkbox"/> Cash Account – Joint	<input type="checkbox"/> Margin Account – Joint	

### Personal Information

Name of Client (in English):	(in Chinese):
Date of Birth:	Sex:
HKID/Passport No.	Nationality:
Residential Address:	
Correspondence Address (if different):	
E-mail:	
<p><b>Correspondence (choose one only. All correspondence, including statements of account, will be sent to the following address):</b></p> <p><input type="checkbox"/> E-mail Address [by choosing "E-mail Address", you consent to be bound by the "Terms for Electronic Communications and Client's Declaration" below]</p> <p><input type="checkbox"/> Residential Address</p> <p><input type="checkbox"/> Correspondence Address</p> <p><input type="checkbox"/> Others: _____</p> <p>(Please provide address proof within the last 3 months for any other correspondence address)</p>	
<p><b><u>Terms for Electronic Communications and Client's Declaration</u></b></p> <p>I/We acknowledge and accept the risks of receiving all the communications (the "Communications") via electronic communication, including but not limited to the risks as set out in the Cash/Margin Client's Agreement and agree and undertake to hold you harmless from and against all losses, damages, interests, costs, expenses, actions, demands, claims or proceedings of whatsoever nature which I/we may incur, suffer and/or sustain as a result of your provision of the Communications via electronic communication. I/We understand that I/we can only choose receiving the Communications either via physical mail or via electronic communication. Once chosen electronic communication, I/we will not receive any Communications by physical mail. During this period, I/we undertake to immediately notify you of any change in my/our e-mail address. If you receive two successive messages in relation to the failure of sending the Communications to my/our e-mail address electronically, you have the right to use physical mail instead of electronic communication. In the event of any difference in the interpretation or meaning between the English and Chinese version of this Declaration, I/we agree that the English version shall prevail. You have explained this Declaration to me/us. I/We declare that I/we fully understand the contents of this Declaration.</p>	

**Electronic Securities Trading Services – Internet Services and Mobile App Services**

You request us to provide internet services and mobile application, “Minerva Holding Financial Securities Limited” for your securities account(s) opened with us. You agree that you shall be bound by the Terms in Connection with Internet Services set out in Appendix 2 of the Client Agreement.

Yes       No

**Financial Position (in HK\$)**

(Please provide supporting documents E.g. Latest Tax Return, Salary Prove, Bank Statement etc.)

Source of Income	Annual Income	Asset Items	Net Asset Worth
<input type="checkbox"/> Nil	<input type="checkbox"/> < HK\$120,000	<input type="checkbox"/> Property	<input type="checkbox"/> < HK\$500,000
<input type="checkbox"/> Salary	<input type="checkbox"/> HK\$120,000 – HK\$300,000	<input type="checkbox"/> Deposits	<input type="checkbox"/> HK\$500,000 – HK\$1M
<input type="checkbox"/> Commission	<input type="checkbox"/> HK\$300,001 – HK\$500,000	<input type="checkbox"/> Listed Securities	<input type="checkbox"/> HK\$1M – HK\$3M
<input type="checkbox"/> Rent	<input type="checkbox"/> HK\$500,001 – HK\$1M	<input type="checkbox"/> Bonds/ Funds	<input type="checkbox"/> HK\$3M – HK\$5M
<input type="checkbox"/> Dividend/ Interest	<input type="checkbox"/> HK\$1M – HK\$5M	<input type="checkbox"/> Others: _____	<input type="checkbox"/> HK\$5M – HK\$10M
<input type="checkbox"/> Business Profit	<input type="checkbox"/> HK\$5M – HK\$10M		<input type="checkbox"/> HK\$10M – HK\$50M
<input type="checkbox"/> Others: _____	<input type="checkbox"/> > HK\$10M		<input type="checkbox"/> > HK\$50M

**Employment Status**

Full-time     Part-time     Self-employed     Retired     Unemployed

Others (please specify): \_\_\_\_\_

Employed by:

Are you an employee of a bank or financial services company which is engaged in any activities regulated by the Securities and Futures Commission or the Hong Kong Monetary Authority?

Yes     No

If yes, do you agree that we will notify your employer and obtain their consent of your opening and maintaining of this account?

Yes     No

Are you trading or otherwise dealing in the Securities you instruct us to buy or sell as principal and beneficial owner thereof?

Yes     No

If No, please specify in what capacity you are trading or dealing in the Securities: \_\_\_\_\_

Business Address:

Nature of Business:

Position Held:

Tel No. : (Res) \_\_\_\_\_ (Off) \_\_\_\_\_  
(Mob) \_\_\_\_\_

Fax No.:

Any relationship with any staff of Minerva Holding Financial Securities Limited or any of its Group Companies:

Yes     No

If yes, with whom?

Relationship:

**Relationship with Listed Companies**

Is the Client/ Client’s associate is a director, employee or shareholder (Above 5%) of any listed company?

No     Yes. Please specify. \_\_\_\_\_

**Related Persons**

- Are you the spouse of another margin client(s) of us? (Please “✓” where appropriate)
  - No
  - Yes, please specify: (i) Name of spouse: \_\_\_\_\_  
 (ii) Account No.: \_\_\_\_\_
  
- Are you in control, either alone or with your spouse, of 35% or more of the voting rights of another margin client(s) of us? (Please “✓” where appropriate)
  - No
  - Yes, details as below:

	Account Number	Name of Account Holder	Relationship with Account Holder
1			
2			

**Bank Account Information**

Name of Bank:	
Account Number:	

**Investment Objectives (please tick as appropriate, you may tick more than one item)**

<input type="checkbox"/> Long Term Investment	<input type="checkbox"/> Stable Growth	<input type="checkbox"/> Short Term Investment
<input type="checkbox"/> Dividend Yield Stocks	<input type="checkbox"/> Growth Stocks	<input type="checkbox"/> Speculative Stocks
<input type="checkbox"/> Hedging	<input type="checkbox"/> Others (please specify): _____	

**Investment Experience**

Types of products	Certificate of Deposit, Capital Protected Products, Bonds or Bond Funds	Equity Funds or Stocks	Hedge Fund, Foreign Exchange, Margin A/C, Structured Products or Derivatives
No. of Year(s)			
No. of Transaction(s) per Year			
Typical Transaction Size (in HK\$)			

**Derivative Products Experience**

Have you traded 5 or more transactions in any derivative or structured products, whether traded on exchange or not, within the past 3 years?

- Yes       No

**Signing Instruction:**

The signing instruction for Joint Account is: (Please specify e.g. any two jointly, or etc.)

- signing singly       signing wholly       others, \_\_\_\_\_

## CLIENT'S DECLARATION

To: Minerva Holding Financial Securities Limited,	Client's initial
I/We confirm and represent that the information on this Client Information Form is true, complete and correct and that the representations in the attached agreement are accurate. You are entitled to rely fully on such information and representations for all purposes, unless you receive notice in writing of any change. You are authorized at any time to contact anyone, including our banks, brokers or any credit agency, for the purpose of verifying the information provided on this Client Information Form.	
I/We, the undersigned client(s), acknowledge and confirm that I/we have read and understood and accepted the provisions of the Cash/Margin Client's Agreement.	
I/We acknowledge and confirm that: <ul style="list-style-type: none"> <li>- The Risk Disclosure Statements were provided in a language of my/our choice (English or Chinese); and</li> <li>- I/we was/were invited to read the Risk Disclosure Statements, to ask questions and take independent legal, financial and other advice if I/we wish.</li> </ul>	
I/We have carefully read the Risk Disclosure Statements and fully understand the contents and meanings thereof and agree to be bound by the same.	
I/We have attached certified copies of the following documents*: <ul style="list-style-type: none"> <li><input type="checkbox"/> Identity Document</li> <li><input type="checkbox"/> Residential proof and correspondence address proof (if applicable) within recent three(3) months</li> </ul>	
I/we acknowledge and confirm receipt of the Cash/Margin Client Agreement in a language of my/our choice (English or Chinese)	

## CLIENT'S CONFIRMATION

(The client's signature below will be treated as specimen signature for verifying written instructions)

Client's Name(s):	
Client's Signature(s):	
Date:	

\*It is at MHFS's sole discretion to decline such application if the required document cannot be provided by the new client within 30 days from the date of application

## LICENSED PERSON'S DECLARATION

I, \_\_\_\_\_ (Name of Licensed Person), confirming that I have:

- Provided the Risk Disclosure Statements in a language of the client's choice (English or Chinese); and
- Invited the client to read the Risk Disclosure Statements, ask questions and seek independent advice if the client wishes.

Licensed Person's Signature:
SFC CE Number:
Date:

## WITNESS

I, the undersigned, have witnessed the signature and inspected the original identity documents of the above-named client.

Full Name of Witness:	
Witness's Occupation:	
Witness's ID/Passport number:	
Witness's Signature:	
Date:	

## ACKNOWLEDGEMENT AND EXECUTION BY MINERVA HOLDING FINANCIAL SECURITIES LIMITED

Authorized Signatory/Company Chop
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## INSTRUCTIONS FOR JOINT ACCOUNT

In consideration of your carrying a joint account for the undersigned, the undersigned jointly and severally agree that the authorized persons designated by us herein (as may be amended from time to time) shall have authority on behalf of the joint account to instruct you to buy, sell (including short sales) and otherwise dealing, through you as brokers, any and all kinds of securities including, but not limited to shares, stocks, warrants, options, bonds debentures, notes, bills of exchange, certificates and commercial paper of any description whatsoever and wheresoever issued, dealt in or located (all of which are referred to as "Securities"), on margin or otherwise; to receive on behalf of the joint account demands, notices, confirmations, reports, statements of account and communications of every kind; to receive on behalf of the joint account Securities, money and property of every kind and to dispose of same; to make on behalf of the joint account agreements relating to any of the foregoing matters and to terminate or modify the same or waive any of the provisions thereof; and generally to deal with you on behalf of the joint account as fully and completely as if he alone were interested in the said account, all without notice to the other or others interested in the said account.

You are authorized to follow the instructions of any of the undersigned in every respect concerning the said joint account with you and to make deliveries to any of the undersigned, or upon his instructions, of any or all Securities in the said joint account, and to make payments to any of the undersigned, or upon his instructions, of any or all Securities in the said joint account; and to make payments to any of the undersigned, or upon his order, if any or all monies at any time or from time to time in the said joint account as he may order and direct, even if such deliveries and/or payments shall be made to him personally and not for the joint account of the undersigned as aforesaid; you shall be under no duty or obligation to inquire into the purpose or propriety of any such demand for deliveries of Securities or payments of monies, and you shall not be bound to see to the application or disposition of the said Securities and/or monies so delivered or paid to any of the undersigned or upon his order. This authority hereby conferred shall remain in force until written notice of the revocation addressed to you is delivered at your main office.

The liability of the undersigned with respect to the said account shall be joint and several. The undersigned further agree jointly and severally that any and all property and monies you may at any time be holding or carrying for any one or more of the undersigned shall be subject to a lien in your favour for the discharge of the obligations of the joint account to you, such lien to be in addition to and not in substitution of the rights and remedies you otherwise would have.

It is further agreed that in the event of the death of either or any of the undersigned, the survivor or survivors shall immediately give you written notice thereof, and you may, before or after receiving such notice, take such proceeding, require such papers and tax waivers, retain such portion of and/or restrict transactions in the account as you may deem advisable to protect you against tax, liability, penalty or loss under any present or future laws or otherwise. The estate of any of the undersigned who has died shall be liable and each survivor shall continue to be liable, jointly and severally, to you for any net debit balance or loss in the said account in any way resulting from the completion of transactions initiated prior to the receipt by you of the written notice of the death of the decedent or incurred in the liquidation of the account or the adjustment of the interests of the respective parties.

\*(a) It is the express intention of the undersigned to create an estate or account as joint tenants with rights of survivorship and



not as tenants in common. In the event of the death of either of the undersigned, the entire interest in the joint account shall be vested in the survivor or survivors on the same terms and conditions as theretofore held, without in any manner releasing the decedent's estate from the liability provided for in the next preceding paragraph.

\*(b) In the event of the death of either or any of the undersigned the interests in the account as of the close of business on the date of the death of the decedent (or on the next following business if the date of death not a business day), shall be as follows:-

Name of Participant and his/her estate	Identity documents	% of interests

but any taxes, costs, expenses or other charges becoming a lien against or being payable out of the account as the result of the death of the decedent, or through the exercise by his or her estate or representatives of any rights in the account shall, so far as possible, be deducted from the interest of the estate of such decedent. The provision shall not release the decedent's estate from the liability provided for in the paragraph next preceding "(a)" above.

Subject to the provisions hereof, all notices or communications for the undersigned in respect of the joint account are to be directed to as follows:-

Name(s):
Address:
Specimen Signature(s) of the joint account holder:
(1)
(2)
(3)
Date:

\*Strike out paragraph (a) or (b) whichever is inapplicable, and if paragraph (b) is retained, fill in the names and percentage amounts of the interests of the respective parties.

## AUTHORISATION LETTER FOR MARGIN ACCOUNT

Minerva Holding Financial Securities Limited

Date:

Dear Sirs,

I/We \_\_\_\_\_ (Name of Client(s)) hereby, pursuant to the Securities and Futures Ordinance (Cap 571) Subsidiary Legislation Securities and Futures (Client Securities) Rules, authorize you, for a period of twelve months from the date hereof in relation to all securities purchased or held for or on my/our behalf to: -

- (i) deposit such securities as collateral for loans or advances made to you by an authorized institution as defined by the Banking Ordinance;
- (ii) deposit such securities with Hong Kong Securities Clearing Company Limited as collateral for the discharge and satisfaction of your obligations and liabilities under the General Rules of the Central Clearing and Settlement System. I/We understand that Hong Kong Securities Clearing Company Limited will have a first fixed charge over my/our securities to the extent of your obligations and liabilities; and
- (iii) borrow or lend such securities for the purpose of the fulfillment of settlement obligations between members of The Stock Exchange of Hong Kong Limited (the "Exchange")

Such stock borrowing and lending are to be in accordance with the Exchange regulations. Any consideration payable by or to me/us for the borrowing, lending, or deposit of securities under this authorization is to be set by separate treaty.

You may do any of these things without giving me/us notice.

You remain responsible to me/us for securities borrowed, loaned, or deposited under this authorization.

I/We understand that such securities may be subject to liens of third parties and return of such securities to me/us may be subject to satisfaction of such liens.

The authorization given hereunder may be revoked by giving you a written notice addressed to your address specified in the margin client's agreement or such other address which you may notify me/us in writing for this purpose. Such notice shall take effect upon the expiry of 14 days from the date of your actual receipt of such notice.

I/We understand that the authorization shall be deemed to be renewed on a continuing basis without my/our written consent if you issue me/us a written reminder at least 14 days prior to the expiry date of the authorization, and I/we do not object to such deemed renewal before such expiry date.

Yours faithfully,

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Client's Signature(s)

Minerva Holding Financial Securities Limited  
U.S Foreign Account Tax Compliance Act (FATCA)  
Due Diligence on Individuals  
U.S. Indicia

Account Number 客戶號碼: \_\_\_\_\_

Client Name 客戶姓名: \_\_\_\_\_

Account Executive 客戶主任: \_\_\_\_\_

Declaration by Client 客戶聲明

I, \_\_\_\_\_ (Client Name), hereby certify the following:

1. I am neither a U.S. citizen nor a U.S. resident for tax purposes. I hold a non-U.S. passport, or other identification evidencing that I am a citizen/resident of \_\_\_\_\_ (country); 本人不是美國公民及非持有美國護照之美國居民。本人持有 \_\_\_\_\_ (國家) 之護照或其他證明本人是該國家公民/居民的身份證明；
2. My residential address and/or correspondence address is/are neither U.S. address nor U.S. post-office box address; 本人之住址及通訊地址並不是美國住址或美國郵寄地址；
3. My current telephone number(s) is/are non-U.S. telephone number(s); 本人目前使用之電話號碼不是美國電話號碼；
4. I have no standing instruction given to any Foreign Financial Institutions (FFI) to transfer funds to an account maintained in the U.S.; 本人並沒有發出常設授權予任何外國金融機構以轉移資金至美國賬戶；
5. I have not signed any Power of Attorney to a person with a U.S. address; and 本人沒有授權於持有美國地址之第三者；及
6. I neither have "hold-all-mail" instruction given to FFI nor "in care of" address as my sole address. 本人沒有向任何外國金融機構發出指示設立“代收”或“代存”地址。

I have signed a W-8BEN Form attached herewith together with a copy of my HKID Card or a valid identification issued by a government body evidencing non-U.S. citizenship. 本人已簽妥 W-8BEN 表格, 並附上有效之身份證明文件副本以茲證明本人並非美國公民之身份。

\_\_\_\_\_  
Client's Signature 客戶簽名

\_\_\_\_\_  
Date 日期

**Declaration by Account Executive (Registered Person)**

I, \_\_\_\_\_, confirming that I have explained to the client of the above U.S. Indicia questionnaire in a language of the client understandable.

\_\_\_\_\_  
Registered Person's Signature

\_\_\_\_\_  
SFC CE Number

\_\_\_\_\_  
Date

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](http://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:**

- 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**

**Instead, use Form:**

**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 <input type="checkbox"/>	
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	

To: Minerva Holding Financial Securities Limited

Account No.:

**Self-Certification Form – Individual**  
(Sample form for reference and adoption by financial institutions)

**Important Notes:**

- This is a self-certification form provided by an account holder 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.
- An account holder should report all changes in his/her tax residency status to the reporting financial institution.
- All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (\*) are required to be reported by the reporting financial institution to the Inland Revenue Department.

**Part 1 Identification of Individual Account Holder**

(For joint or multiple account holders, complete a separate form for each individual account holder.)

**(1) Name of Account Holder**

Title (e.g. Mr, Mrs, Ms, Miss)

Last Name or Surname \*

First or Given Name \* Middle

Name(s)

**(2) Hong Kong Identity Card or Passport Number**

**(3) Current Residence Address**

Line 1 (e.g. Suite, Floor, Building, Street, District)

Line 2 (City) \*

Line 3 (e.g. Province, State)

Country \*

Post Code/ZIP Code

**(4) Mailing Address (Complete if different to the current residence address)**

Line 1 (e.g. Suite, Floor, Building, Street, District)

Line 2 (City)

Line 2 (e.g. Province, State)

Country

Post Code/ZIP Code

**(5) Date of Birth \* (dd/mm/yyyy)**

**(6) Place of Birth (Not compulsory)**

Town/City

Province/State

Country

**Part 2 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”) \***

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 TIN for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence.

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.

If a TIN is unavailable, provide the appropriate reason A, B or C:

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

**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.

**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.

Jurisdiction of Residence	TIN	Enter Reason A, B or C if no TIN is available	Explain why the account holder is unable to obtain a TIN if you have selected Reason B
(1)			
(2)			
(3)			
(4)			
(5)			

**Part 3 Declarations and Signature**

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution 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 the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

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.

I undertake to advise \_\_\_\_\_ (state the name of the financial institution) of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide \_\_\_\_\_ (state the name of the financial institution) with a suitably updated self-certification form within 30 days of such change in circumstances.

**I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.**

Signature \_\_\_\_\_  
 Name \_\_\_\_\_  
 Capacity \_\_\_\_\_  
 Date (dd/mm/yyyy) \_\_\_\_\_

(Indicate the capacity if you are not the individual identified in Part 1. If signing under a power of attorney, attach a certified copy of the power of attorney.)

# Delete as appropriate

**WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).**

**Standing  
Authority  
常設授權**

To : Minerva Holding Financial Securities Limited ( "The Company" )  
贏控金融證券有限公司 (「貴公司」)

Account no. 帳戶號碼:

Attn: Settlement Department 結算部

Unless otherwise defined, the terms used in this letter shall have the same meanings as in the Securities and Futures Ordinance, the Securities and Futures (Client Securities) Rules and the Securities and Futures (Client Money) Rules as amended from time to time. 除非另有定義，本授權函使用的術語應與不時修訂的《證券及期貨條例》、證券及期貨(客戶證券)和證券及期貨(客戶款項)規則中的定義相同。

**Client Money Standing Authority 客戶款項常設授權**

The Client Money Standing Authority covers money held or received by the Company in Hong Kong (including any interest derived from the holding of the money which does not belong to the Company) in one or more segregated account(s) on my/our behalf ("Monies").

客戶款項的常設授權範圍包括貴公司在香港代表本人/吾等開立的一個或多個獨立帳戶中持有或收到的款項(包括因持有任何(不屬於貴公司的)款項所獲取的利息)(「款項」)。

I/We authorize the Company to:  
本人/吾等授權貴公司：

(a) combine or consolidate any or all segregated accounts, of any nature whatsoever and either individually or jointly with others, maintained by the Company or any of the Company's Group Members (as defined in the Company's Standard Terms and Conditions as amended from time to time) and the Company may transfer any sum of Monies to and between such segregated account(s) to satisfy my/our Liabilities (as defined in the Company's Standard Terms and Conditions as amended from time to time) to the Company or any of the Company's Group Members and that account is a segregated account;

(a) 將貴公司或貴公司集團任何成員(定義見不時修訂的貴公司的標準條款及細則)單獨或與他人共同維持的任何性質的任何或所有獨立帳戶合併或綜合。貴公司可將款項的任何款額轉給其他獨立帳戶或在獨立帳戶之間相互轉帳，以結清本人/吾等對貴公司或貴公司集團任何成員負有的債責(定義見不時修訂的貴公司的標準條款及細則)，而該帳戶為一個獨立帳戶：

(b) set-off or transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by the Company or any of the Company's Group Members towards satisfaction of any of the Liabilities to the Company or any of the Company's Group Members;

(b) 貴公司或貴公司集團的任何成員可將款項的任何款額任何時間維持的獨立帳戶之間轉入轉出以結清本人/吾等對貴公司或貴公司集團成員負有的債責；

(c) transfer any funds standing from time to time in any account maintained at any time by me/us with any of the Company's Group Member to the Account (as defined in the Company's Standard Terms and Conditions as amended from time to time) and/or to any other account maintained at any time by me/us with any of the Company's Group Member; and

(c) 將本人/吾等在任何時間在貴公司集團任何成員維持的帳戶不時的任何資金轉入「帳戶」(定義見不時修訂的貴公司的標準條款及細則)和/或本人/吾等在任何時間在貴公司集團任何成員維持的任何其他帳戶；和

(d) transfer our Monies held or received by you in Hong Kong to an account outside Hong Kong.

(d) 將貴公司在香港為本人/吾等持有或收到的款項轉入香港以外的帳戶。

**Client Securities Standing Authority 客戶證券常設授權**

The Client Securities Standing Authority is in respect of the treatment of the Client's securities or securities collateral as set out below. 客戶證券的常設授權事關按下述方式處理客戶的證券或證券抵押品：

I/We authorize the Company to:  
本人/吾等授權貴公司：

(a) apply any of my/our securities or securities collateral pursuant to a securities borrowing and lending agreement;

(a) 根據證券借貸協議使用本人/吾等的證券或證券抵押品：

(b) deposit any of my/our securities collateral with an authorized financial institution as collateral for financial accommodation provided to the Company;

(b) 將本人/吾等的任何證券抵押品存放於一認可財務機構，作為提供予貴公司的財務通融的抵押品；

(c) deposit any of my/our securities collateral with HKSCC as collateral for the discharge and satisfaction of the Company's settlement obligations and liabilities. I/We understand that HKSCC will have a first fixed charge over the Client's securities to the extent of the Company's obligations and liabilities;

(c) 將本人/吾等的任何證券抵押品存放於香港中央結算有限公司，作為解除貴公司在交收上的義務和清償貴公司在交收上的法律責任的抵押品。本人/吾等明白，香港中央結算有限公司將在貴公司的義務和責任範圍內對客戶的證券享有第一固定抵押權；



(d) deposit any of my/our securities collateral with any other recognized clearing house, or another intermediary licensed or registered for dealing in securities, as collateral for the discharge and satisfaction of the Company's settlement obligations and liabilities; and  
(d) 將本人/吾等的任何證券抵押品存放於任何其他認可結算所或另一獲發牌或獲註冊進行證券交易的中介人，作為解除貴公司在交收上的義務和清償貴公司在交收上的法律責任的抵押品；和

(e) apply or deposit any of my/our securities collateral in accordance with Clauses (a), (b), (c) and/or (d) above if the Company provides financial accommodation to me/us in the course of dealing in securities and also provides financial accommodation to me/us in the course of any other regulated activity for which the Company is licensed or registered.

(e) 若貴公司在進行證券交易的過程中向本人/吾等提供財務通融；和在貴公司獲發牌或獲註冊進行的任何其他受規管活動的過程中向本人/吾等提供財務通融，可按照以上(a)、(b)、(c)和/或(d)款運用或存放本人/吾等的任何證券抵押品。

I/We acknowledge and agree that the Company may do any of the things set out above without giving me/us notice.

本人/吾等確認並同意，貴公司可不通知本人/吾等而從事任何上述事項。

I/We also acknowledge that:

本人/吾等確認：

(a) the Client Money Standing Authority is given without prejudice to other authorities or rights which the Company or any of the Company's Group Members may have in relation to dealing in Monies in the segregated accounts; and

(a) 客戶款項常設授權是在不影響貴公司或貴公司集團的任何成員就處理獨立帳戶中的款項可能有的其他授權或權利情況下授予的；和

(b) the Client Securities Standing Authority shall not affect the Company's right to dispose or initiate a disposal by the Company's associated entity of my/our securities or securities collateral in settlement of any liability owed by or on behalf of me/us to the Company, the associated entity or a third person.

(b) 客戶證券常設授權不應影響貴公司行使權利處置或貴公司聯係實體行使權利處置本人/吾等的證券或證券抵押品，以清償本人/吾等或代表本人/

吾等在交收上對貴公司、貴公司聯係實體或第三方負有的任何法律責任。

I/We understand that a third party may have rights to my/our securities, which the Company must satisfy before my/our securities can be returned to the Client.

本人/吾等明白，本人/吾等的證券可能受某第三方留置權的制約，而貴公司須在清償該等留置權後方可將本人/吾等的證券退回。

Each of the Client Money Standing Authority and the Client Securities Standing Authority is valid for a period of 12 months from the date of this letter, subject to renewal by me/us or deemed renewal under the Client Money Rules or Client Securities Rules (as the case may be) referred to below.

客戶款項常設授權和客戶證券常設授權自本信函之日起有效期 12 個月，但可由本人/吾等續期或按照以下提到的客戶款項規則或客戶證券規則(視情況而定)規定視為續期。

Each of the Client Money Standing Authority and the Client Securities Standing Authority may be revoked by giving the Company written notice addressed to the Settlement Department at the Company's address specified in the Account Opening Form or such other address which the Company may notify me/us in writing for this purpose. Such notice shall take effect upon the expiry of 14 days from the date of the Company's actual receipt of such notice.

客戶款項常設授權和客戶證券常設授權可按帳戶開表格載明的貴公司地址或貴公司就此目的可能書面通知本人/吾等的其他地址，以標明結算部為收件人的書面通知方式撤銷。通知在貴公司實際收到通知之日後 14 日屆滿時生效。

I/We understand that each of the Client Money Standing Authority and the Client Securities Standing Authority shall be deemed to be renewed on a continuing basis without my/our written consent if the Company issues me/us a written reminder at least 14 days prior to the expiry date of the relevant authority, and I/we do(es) not object to such deemed renewal before such expiry date.

本人/吾等明白，倘若貴公司在客戶款項常設授權和客戶證券常設授權有效期屆滿前最少 14 日向本人/吾等發出有關授權將被視為續期的書面提示，而本人/吾等對於在有關授權的期限屆滿前以此方式將該授權延續不表示反對，則客戶款項常設授權和客戶證券常設授權將會在沒有本人/吾等書面同意下被視為已續期。

This letter has been explained to me/us and I/we understand and agree with the contents of this letter.

已經向本人/吾等解釋本函的內容，並且本人/吾等理解本函的內容。

(Individual/ Joint Account) (個人及聯名帳戶)

(Corporate Account) (公司帳戶)

(Signed by client)(Individual/ Joint Account Holder)

(客戶簽署)(個人/聯名帳戶持有人)

Name of Client 客戶姓名：

Date 日期：

(Authorized Signatory and Company Chop)

(授權代表簽署及公司蓋章)

Name of Client 客戶姓名：

Date 日期：

To: Minerva Holding Financial Securities Limited  
致: 贏證券有限公司

**Standing Authority under Securities and Futures (Client Money) Rules**  
**《證券及期貨(客戶款項)規則》下的常設授權**

This letter of standing authority covers all client money received or held in Hong Kong by Minerva Holding Financial Securities Limited ("MHFS") on my/our behalf ("Moneys").

本常設授權函件涵蓋一切由贏證券有限公司(“贏證券”)代表本人/吾等於香港收取或持有之客戶款項(“款項”)。

Unless redefined herein or the context requires otherwise, all expressions defined in the Securities and Futures Ordinance and the Securities and Futures (Client Money) Rules shall have the same meanings when used herein.

除另有界定或文義另有所指外，《證券及期貨條例》及《證券及期貨(客戶款項)規則》所定義的所有詞彙，與本常設授權所用者具相同涵義。

This letter authorizes MHFS and/or its associated entity to transfer any sum of Moneys between any of the segregated accounts established and maintained by MHFS and/or its associated entity for such purposes as MHFS and/or its affiliates consider appropriate, including but not limited to satisfying my/our obligations or liabilities to MHFS and/or its affiliates, whether such obligations and liabilities are actual, contingent, primary or collateral, secured or unsecured or joint or several, without notice to me/us.

本函件授權贏證券及/或其有聯繫實體就贏證券及/或其聯繫公司認為合適的目的(包括但不限於解除本人/吾等對贏證券及/或其聯繫公司的義務或責任，不論此等義務和責任是確實或或然的、原有或附帶的、有抵押或無抵押的、共同或分別的)，於贏證券及/或其有聯繫實體所開立和維持的任何獨立帳戶之間調動任何數額之款項，無須通知本人/吾等。

This standing authority is given without prejudice to other authorities or rights which MHFS may have in relation to the treatment of Moneys.

本常設授權並不損害贏證券就處理款項所享有的其他授權或權利。

This standing authority is valid for a period of up to 12 months from the date hereof and may be renewed for subsequent periods of 12 months either with my/our written consent or if I/we am/are given a written notice from MHFS at least 14 days prior to the expiry of such authority and do not object to the renewal of such authority before its expiry. This standing authority may be revoked at any time on giving 14 days prior written notice to MHFS.

本常設授權以本函件日期起計十二個月內有效，並可於下列情況予以續期，每次續期可有效十二個月：本人/吾等以書面同意續期；或贏證券於該授權有效期屆滿前不少於十四日向本人/吾等發出書面通知，而本人/吾等於該授權有效期屆滿前未有提出反對續期。本人/吾等有權隨時以十四日書面通知贏證券撤銷此常設授權書。

I/we undertake to indemnify MHFS and its associated entity against all costs, expenses, liabilities, losses or damages arising out of or suffered by MHFS and/or its associated entity as a result of their acting in accordance with this standing authority.

本人/吾等承諾就贏證券及/或其有聯繫實體因為根據本常設授權而行事而招致或蒙受的所有成本、開支、負債、損失或損害賠償，向贏證券及其有聯繫實體作出彌償。

This letter has been fully explained to me/us, and I/we understand the contents of this letter.

本函件已全部向本人/吾等解釋清楚。本人/吾等明白本函件的內容。

(Individual/ Joint Account) (個人及聯名帳戶)

(Corporate Account) (公司帳戶)



(Signed by client)(Individual/ Joint Account Holder)

(客戶簽署)(個人/聯名帳戶持有人)

Name of Client 客戶姓名：

Date 日期：

(Authorized Signatory and Company Chop)

(授權代表簽署及公司蓋章)

Name of Client 客戶姓名：

Date 日期：

## 香港投資者識別碼制度及場外證券交易匯報制度個人資料收集聲明

### 個人資料的處理

閣下明白並同意，我們贏證券有限公司為了向閣下提供與在香港聯合交易所（聯交所）上市或買賣的證券相關的服務，以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會（證監會）的規則和規定，我們可收集、儲存、處理、使用、披露及轉移與閣下有關係的個人資料（包括閣下的客戶識別信息及券商客戶編碼）。在不限制以上的內容的前提下，當中包括—

- (a) 根據不時生效的聯交所及證監會規則和規定，向聯交所及／或證監會披露及轉移閣下的個人資料（包括客戶識別信息及券商客戶編碼）；
- (b) 允許聯交所：(i) 收集、儲存、處理及使用閣下的個人資料（包括客戶識別信息及券商客戶編碼），以便監察和監管市場及執行《聯交所規則》；(ii) 向香港相關監管機構和執法機構（包括但不限於證監會）披露及轉移有關資料，以便他們就香港金融市場履行其法定職能；及(iii) 為監察市場目的而使用有關資料進行分析；及
- (c) 允許證監會：(i) 收集、儲存、處理及使用閣下的個人資料（包括客戶識別信息及券商客戶編碼），以便其履行法定職能，包括對香港金融市場的監管、監察及執法職能；及(ii) 根據適用法例或監管規定向香港相關監管機構和執法機構披露及轉移有關資料。
- (d) 向香港中央結算有限公司（香港結算）提供券商客戶編碼以允許香港結算：(i) 從聯交所取得、處理及儲存允許披露及轉移給香港結算屬於閣下的客戶識別信息，及向發行人的股份過戶登記處轉移閣下的客戶識別信息，以便核實閣下未就相關股份認購進行重複申請，以及便利首次公開招股抽籤及首次公開招股結算程序；及(ii) 處理及儲存閣下的客戶識別信息，及向發行人、發行人的股份過戶登記處、證監會、聯交所及其他公開招股的有關各方轉移閣下的客戶識別信息，以便處理閣下對有關股份認購的申請，或為載於公開招股發行人的招股章程的任何其他目的。

閣下亦同意，即使閣下其後宣稱撤回同意，我們在閣下宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移閣下的個人資料以作上述用途。

### 未能提供個人資料或同意的後果

閣下如未能向我們提供個人資料或上述同意，可能引致我們不會或不能夠再（視情況而定）執行閣下的交易指示或向閣下提供證券相關服務，惟出售、轉出或提取閣下現有的證券持倉（如有）除外。

備註：本條文所述的“券商客戶編碼”及“客戶識別信息”具有《證券及期貨事務監察委員會持牌人或註冊人操守準則》第5.6段所界定的含義。

### 確認及同意

本人確認本人已閱讀並理解權威證券有限公司的香港投資者識別碼制度及場外證券交易匯報制度下個人資料收集聲明的內容。

本人同意權威證券有限公司根據關於香港投資者識別碼制度及場外證券交易匯報制度個人資料收集聲明中的條款和目的使用本人的個人資料。

本人確認本人所提供予權威證券有限公司有關本人的個人資料信息是最新的。

戶口號碼: \_\_\_\_\_

客戶簽署: \_\_\_\_\_

客戶姓名: \_\_\_\_\_

日期: \_\_\_\_\_

如中、英文版本有任何分歧，概以英文版本為準。

**Personal Information Collection Statement Under the Hong Kong Investor Identification Regime (HKIDR) and the Over-the-Counter Securities Transactions Reporting Regime (OTCR)**

**Processing of Personal Data**

You acknowledge and agree that we, Minerva Holding Financial Securities Limited, may collect, store, process, use, disclose and transfer personal data relating to you (including your CID and BCAN(s)) as required for us to provide services to you in relation to securities listed or traded on the Stock Exchange of Hong Kong (SEHK) and for complying with the rules and requirements of SEHK and the Securities and Futures Commission (SFC) in effect from time to time. Without limiting the foregoing, this includes –

- a) disclosing and transferring your personal data (including CID and BCAN(s)) to SEHK and/or the SFC in accordance with the rules and requirements of SEHK and the SFC in effect from time to time;
- b) allowing SEHK to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK; and
- (ii) disclose and transfer such information to the relevant regulators and law enforcement agencies in Hong Kong (including, but not limited to, the SFC) so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets; and (iii) use such information for conducting analysis for the purposes of market oversight; and
- c) allowing the SFC to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for the performance of its statutory functions including monitoring, surveillance and enforcement functions with respect to the Hong Kong financial markets; and (ii) disclose and transfer such information to relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements.
- d) providing BCAN to Hong Kong Securities Clearing Company Limited (HKSCC) allowing HKSCC to: (i) retrieve from SEHK (which is allowed to disclose and transfer to HKSCC), process and store your CID and transfer your CID to the issuer's share registrar to enable HKSCC and/ or the issuer's share registrar to verify that you have not made any duplicate applications for the relevant share subscription and to facilitate IPO balloting and IPO settlement; and (ii) process and store your CID and transfer your CID to the issuer, the issuer's share registrar, the SFC, SEHK and any other party involved in the IPO for the purposes of processing your application for the relevant share subscription or any other purpose set out in the IPO issuer's prospectus.

You also agree that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.

**Consequence of failing to provide Personal Data or Consent**

Failure to provide us with your personal data or consent as described above may mean that we will not, or will no longer be able to, as the case may be, carry out your trading instructions or provide you with securities related services (other than to sell, transfer out or withdraw your existing holdings of securities, if any).

*Note : The terms "BCAN" and "CID" used in this clause shall bear the meanings as defined in paragraph 5.6 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission."*

**Acknowledgement and Consent**

I acknowledge I have read and understand the content of the Personal Information Collection Statement under the Hong Kong Investor Identification Regime (HKIDR) and Over-the-counter Securities Transactions Reporting Regime (OTCR) of Minerva Holding Financial Securities Limited.

I signify my consent for Minerva Holding Financial Securities Limited to use my personal data on the terms of and for the purposes set out in the Personal Information Collection Statement under HKIDR and OTCR.

I confirm that the information provided to Minerva Holding Financial Securities Limited in relation to my personal data is the most up-to-date.

Account No.: \_\_\_\_\_

Signature: \_\_\_\_\_

Client Name: \_\_\_\_\_

Date: \_\_\_\_\_

*In case of discrepancy between the English version and Chinese version of this statement, the English version shall prevail.*