

Appendix – Group of Connected Margin Clients – Individual Client Declaration

附錄 - 關聯保證金客戶組別 - 個人客戶聲明

Personal Information Collection Statement

個人資料收集聲明

The following personal information is to be provided by you on a voluntary basis. However, if you do not provide the required information, RUIBANG may take such compliance actions as necessary in order to ensure compliance with the applicable laws and/or regulatory requirements.

上述個人資料的提供為自願性質。但是，如果閣下沒有提供上表中要求的資料，瑞邦證券可能採取必要的合規行動，以確保遵守適用的法律和/或監管要求。

Where you supply RUIBANG with any information (including personal data), you represent and warrant to RUIBANG that you have taken all actions necessary to authorize the disclosure of such information to RUIBANG and the use by RUIBANG of such information pursuant to this personal data collection statement.

當閣下向瑞邦證券提供任何資料（包括個人資料）時，閣下向瑞邦證券陳述、聲明並保證，閣下已採取一切必要行動獲授權可向瑞邦證券披露及容許瑞邦證券可按本個人資料收集聲明使用該等資料。

The aforesaid personal information is collected by Ruibang Securities Limited. Such information may be used by RUIBANG for (i) compliance with the applicable laws and/or regulatory requirements including but not limited to the Guidelines for Securities Margin Financing Activities as amended by the Securities and Futures Commission (“SFC”) from time to time; (ii) such other purposes as permitted under the relevant personal data schedule of the applicable Client Agreement and Schedules.

閣下在此提供的個人資料由瑞邦證券有限公司收集，並會被瑞邦證券 (i) 遵守適用的法律和/或監管要求，包括但不限於證券及期貨事務監察委員會（「證監會」）不時修定的「證券保證金融資活動指引」；(ii) 及適用的客戶協議及附件的相關個人資料附件所允許的其他目的。

Your personal data may be disclosed or transferred to the member companies within the RUIBANG or their affiliates (including corporations licensed by SFC), and/or their respective service providers for the purposes stated above.

閣下的個人資料可能會被披露或轉移至瑞邦證券的成員公司或其關聯機構（包括獲證監會發牌的持牌法團），及/或其各自之服務供應商作為上述目的之用途。

You have the right to access or correct your personal data held by RUIBANG in accordance with the Personal Data (Privacy) Ordinance. Such request should be sent in writing to: Ruibang Data Privacy Officer, 9/F, Sang Woo Building, 227-228 Gloucester Road, Wanchai, Hong Kong.

閣下有權按個人資料（私隱）條例要求查閱及更正由瑞邦證券保留閣下的個人資料。有關要求須以書面形式提出：

香港灣仔告士打道 227-228 號生和大廈9樓瑞邦證券個人資料私隱主任收。

The following personal information is to be provided by you on a voluntary basis. If we do not receive a reply, we will assume that you have no additional information to be provided according to the new requirements.

以下個人資料提供為自願性質提供。如我們沒有收到您的回覆，我們將假定您沒有有關新要求的資料需要提供。

1. (a) To your best knowledge, are you a beneficial owner of another client's (other than your spouse) margin account(s) under RUIBANG? 就您所知，您是否另一名瑞邦證券孖展客戶（配偶除外）的受益擁有人？
 Yes 是 No 否
- (b) If "Yes" is selected in 1(a) above, please provide details of the above-mentioned margin client(s) 如果在上述 1(a)中選擇了「是」，請提供上述孖展客戶的詳情：
- i) Name Identity Card/Passport/Certificate of Incorporation No.
姓名：_____ 身份證／護照／公司註冊證書號碼：_____
 HKID 香港身份證 CNID 中國身份證 Macau ID 澳門身份證 Passport 護照
 Others (Please specify) 其他（請註明）：_____
- ii) Name Identity Card/Passport/Certificate of Incorporation No.
姓名：_____ 身份證／護照／公司註冊證書號碼：_____
 HKID 香港身份證 CNID 中國身份證 Macau ID 澳門身份證 Passport 護照
 Others (Please specify) 其他（請註明）：_____
2. (a) To your best knowledge, are you a guarantor of other margin client(s) of RUIBANG for their financial liabilities under any guarantee arrangement(s)? 就您所知，您是否在任何擔保安排下為其他瑞邦證券孖展客戶的財務負債作為擔保人？
 Yes 是 No 否
- (b) If "Yes" is selected in 2(a) above, please provide the details of the above-mentioned margin client(s) of RUIBANG: 如果在上述 2(a)中選擇了「是」，請提供上述孖展客戶的詳情：
- i) Name Identity Card/Passport/Certificate of Incorporation No.
姓名：_____ 身份證／護照／公司註冊證書號碼：_____
 HKID 香港身份證 CNID 中國身份證 Macau ID 澳門身份證 Passport 護照
 Others (Please specify) 其他（請註明）：_____
- ii) Name Identity Card/Passport/Certificate of Incorporation No.
姓名：_____ 身份證／護照／公司註冊證書號碼：_____
 HKID 香港身份證 CNID 中國身份證 Macau ID 澳門身份證 Passport 護照
 Others (Please specify) 其他（請註明）：_____
- (c) To your best knowledge, do you have any financial liabilities under your margin account(s) which are subject to any guarantee arrangement(s)? 就您所知，您的孖展帳戶下的財務負債是否有任何在擔保安排？
 Yes 是 No 否
- (d) If "Yes" is selected in 2(c) above, is the above-mentioned guarantor(s) a margin client(s) of RUIBANG? 如果在上述 2(c)中選擇了「是」，上述擔保人是否瑞邦證券的孖展客戶？
 Yes 是 No 否
- (e) If "Yes" is selected in 2(d) above, please provide details of the above-mentioned guarantor(s): 如果在上述 2(d)中選擇了「是」，請提供上述擔保人的詳情：
- i) Name Identity Card/Passport/Certificate of Incorporation No.
姓名：_____ 身份證／護照／公司註冊證書號碼：_____
 HKID 香港身份證 CNID 中國身份證 Macau ID 澳門身份證 Passport 護照
 Others (Please specify) 其他（請註明）：_____
- ii) Name Identity Card/Passport/Certificate of Incorporation No.
姓名：_____ 身份證／護照／公司註冊證書號碼：_____
 HKID 香港身份證 CNID 中國身份證 Macau ID 澳門身份證 Passport 護照
 Others (Please specify) 其他（請註明）：_____
- (f) If "No" is selected in 2(d) above, to your best knowledge, are you aware of other margin client(s) of RUIBANG whose financial liabilities are guaranteed by the above-mentioned guarantor(s)? 如果在上述 2(d)中選擇「否」，就您所知，您是否知悉有其他瑞邦證券孖展客戶，其財務負債由上述同一擔保人作擔保？
 Yes 是 No 否
- (g) If "Yes" is selected in 2(f) above, please provide the details of the above-mentioned margin client(s) of RUIBANG: 如果在上述 2(f)中選擇了「是」，請提供上述瑞邦證券孖展客戶的詳情：
- i) Name Identity Card/Passport/Certificate of Incorporation No.
姓名：_____ 身份證／護照／公司註冊證書號碼：_____
 HKID 香港身份證 CNID 中國身份證 Macau ID 澳門身份證 Passport 護照
 Others (Please specify) 其他（請註明）：_____
- ii) Name Identity Card/Passport/Certificate of Incorporation No.
姓名：_____ 身份證／護照／公司註冊證書號碼：_____
 HKID 香港身份證 CNID 中國身份證 Macau ID 澳門身份證 Passport 護照
 Others (Please specify) 其他（請註明）：_____

3. Identity of Ultimate Beneficial Owner(s) of the Account 賬戶最終受益人身份

Are you the ultimate beneficial owner(s) who stand(s) to gain the commercial or economic benefit of the transaction and / or bear its commercial or economic risk?

閣下是否最終受益人，可賺取交易的商業或經濟收益及 / 或承擔其商業或經濟風險？

Yes 是

No, please specify the details of the ultimate beneficial owner(s) 否，請列明最終受益人士之資料。

Name 姓名 _____ Occupation 職業 _____

HKID No. / Passport No. and Country of Issue 香港身份證號碼 / 護照號碼及簽發國家 _____

Residential Address 住址 _____

Relationship with the person who is ultimately beneficial owner(s) 賬戶主要持有人與賬戶最終受益人的關係 _____

4. Identity of Person(s) Ultimately Responsible for Originating the Instructions in relation to a Transaction

最終負責發出交易指示人士的身份

Are you the person who is ultimately responsible for originating the instructions in relation to a transaction?

閣下是否最終負責發出交易指示的人士？

Yes 是

No, please specify the details of the person who is ultimately responsible for originating the instructions in relation to a transaction.

否，請列明最終負責發出交易指示的人士之資料。

Name _____ 姓名 _____ Occupation 職業 _____

HKID No. / Passport No. and Country of Issue 香港身份證號碼 / 護照號碼及簽發國家 _____

Residential Address 住址 _____

Relationship with the person who is ultimately responsible for originating the instructions in relation to a transaction

賬戶主要持有人與最終負責發出交易指示的人士的關係 _____

5. Are you a director or senior management officer or accredited person of an exchange participant of The Stock Exchange of Hong Kong Limited or Hong Kong Futures Exchange Limited?

閣下是否香港聯合交易所有限公司或香港期貨交易所有限公司參與者的董事、高級管理人員或認可人士？

No 否

Yes, please specify the company name, stock code and position 是，請列明該公司名稱、股份代號及職位

6. Are you a licensed or registered person under the Securities and Futures Ordinance or a registered institution under the Banking Ordinance?

閣下是否證券及期貨條例註冊持牌法團或銀行業條例之註冊機構之持牌代表或註冊人員？

No 否

Yes, please specify the Licensed Corporation/Registered Institution Name and CE No.

是，請列明持牌法團/註冊機構名稱及中央編號

(Please attach a consent letter for account opening from your accredited licensed corporation or registered institution)

(請附上所屬持牌法團或註冊機構發出的開戶同意書)

7. Are you a relative of any director or employee or representative of Ruibang Securities Limited?

閣下是否瑞邦證券有限公司任何董事、僱員或代表的親屬？

No 否

Yes, please specify the name of the director, employee or representative and relationship with him / her.

是，請列明該董事、僱員或代表的名稱及雙方關係 _____

By signing below, the undersigned agrees to the terms of the above personal information collection statement.

透過以下簽名，下述簽署人同意上述個人資料收集聲明的條款。

Client's Signature:

客戶簽署：

S.V.

Name (in print):

姓名（正楷）：

Date:

日期：

Internal Use Only

Date of Receipt: