

**M&F**

ASSET MANAGEMENT LTD

漢豐資產管理有限公司

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WRITTEN DECLARATION OF CHINESE MAINLAND INVESTOR

中國內地投資者書面聲明

I, the undersigned, being a Chinese Mainland investor (as defined below), hereby make the following declarations and undertakings in connection with the opening and/or maintenance of my investment account with **M&F Asset Management Limited** 漢豐資產管理有限公司 (CE No. AAD002) (the "Licensed Corporation"):

本人，下方簽署人，作為一名中國內地投資者（定義見下文），現就在漢豐資產管理有限公司 **M&F Asset Management Limited**（中央編號：AAD002）（「持牌法團」）開立及／或維持本人的投資帳戶，特作出以下聲明及承諾：

Definition / 定義： For the purpose of this declaration, a "Chinese Mainland investor" refers to an individual investor who uses either or both a resident identity card and a passport issued by the People's Republic of China as an identification document.

就本聲明而言，「中國內地投資者」指以中華人民共和國居民身份證及／或護照作為身份識別文件的個人投資者。

DECLARATIONS AND UNDERTAKINGS / 聲明及承諾

(a) Lawful Sources of Funds / 資金來源合法性

I confirm and undertake that all funds, whether current or future, which support my investment activities and related settlements in my account with the Licensed Corporation are and will continue to be from **lawful sources outside of the Chinese Mainland**, and comply with all applicable **capital control regulations of the Chinese Mainland**.

本人確認並承諾，所有現在及將來用於支持本人在持牌法團帳戶內投資活動及相關結算的資金，均來自及將持續來自中國內地以外的合法來源，且符合中國內地有關資本管制的規定。

(b) No Prior Account Closure or Suspension / 無帳戶被關閉或暫停紀錄

I confirm that I do **not** have an account that was previously closed or suspended by any licensed corporation or bank due to the use of questionable or forged documents.

本人確認，本人並無任何曾因使用有問題或偽造文件而被任何持牌法團或銀行關閉或暫停的帳戶。

(c) Authenticity of Documents / 文件真實性

I confirm that all documents provided to the Licensed Corporation in connection with the opening and/or maintenance of my investment account (including identification documents, bank statements and other supporting documents) are **true, complete, accurate** and have **not been forged or altered** in any way.

本人確認，本人就開立及／或維持投資帳戶向持牌法團提供的所有文件（包括身份證明文件、銀行月結單及其他支持文件），均為真實、完整、準確，且並無偽造或篡改。

(d) Highest Priority Identification Document / 最高優先級別身份文件

Pursuant to paragraph 5.6 of the Code of Conduct and the investor identification requirements under FINI, the "waterfall" requirements prescribe the following priority order for identification documents: **(i) Hong Kong Identity Card (HKID), (ii) national identification document (e.g. PRC Resident Identity Card), and (iii) passport.** I confirm that the identification document provided to the Licensed Corporation is my **highest priority valid identification document** in accordance with the above order, and that I do **not** possess any identification document of a higher priority than the one provided.

根據《操守準則》第 5.6 段及 FINI 下的投資者識別要求，排序表規定訂明身份文件的優先次序為：(i) 香港身份證，(ii) 國家身份證件（例如：中華人民共和國居民身份證），及 (iii) 護照。本人確認，本人向持牌法團提供之身份文件，乃本人按照上述優先次序所持有的**最高優先級別的有效身份文件**，且本人並無持有任何優先級別高於所提供文件的身份文件。

(e) Bank Account in Own Name / 以本人名義持有之銀行帳戶

I confirm that the bank account(s) designated for deposits and withdrawals in relation to my investment account are held in **my own name** with banks licensed in Hong Kong or supervised by banking regulators in eligible jurisdictions. I understand that all future deposits and withdrawals for my investment account must be conducted **exclusively through these designated bank accounts.**

本人確認，用於本人投資帳戶存款及提款之指定銀行帳戶，均以**本人名義**在香港持牌銀行或在合資格司法管轄區受銀行監管機構監管的銀行開立。本人理解，所有將來的存款及提款須僅經由該等指定銀行帳戶進行。

(f) Residential Address / 居住地址

I confirm that the residential address provided to the Licensed Corporation is my **true and actual residential address** and is not the address of a commercial building, government building or any other non-residential location.

本人確認，向持牌法團提供之居住地址為本人**真實及實際居住地址**，並非商業樓宇、政府樓宇或任何其他非住宅地點的地址。

(g) No Solicitation in the Chinese Mainland / 並無在中國內地受到招攬

I confirm that I have **not been solicited** by the Licensed Corporation or any person within the territory of the Chinese Mainland to open an investment account with the Licensed Corporation.

本人確認，本人並未曾在中國內地境內受到持牌法團或任何人士的招攬而在持牌法團開立投資帳戶。

(h) Undertaking to Notify of Changes / 承諾通知資料變更

I undertake to notify the Licensed Corporation within **7 business days** in the event of any changes in the information contained in this written declaration.

本人承諾，如本書面聲明所載資料有任何變更，將於**7 個營業日**內通知持牌法團。

(i) Disclosure of Information to Authorities / 向當局披露資料

I confirm that I understand that upon requests from **law enforcement agencies or regulatory authorities**, the Licensed Corporation may disclose my personal and other relevant information.

本人確認，本人理解持牌法團可應**執法機構或監管機構**的要求，披露本人的個人及其他相關資料。

(j) Indemnity / 損害賠償

I agree to indemnify, defend, and hold harmless the Licensed Corporation from and against any and all losses, costs, claims, liabilities, damages, or expenses (including legal fees) arising out of, or in connection with, any breach of my undertakings or any misrepresentation contained in this written declaration.

本人同意賠償持牌法團因本人違反上述任何承諾或本聲明書內之任何失實陳述而產生或與之相關的任何損失、成本、索賠、責任、損害或費用（包括法律費用），並使持牌法團免受損害。

SIGNATURE / 簽署

Name of Client / 客戶姓名

Signature of Client / 客戶簽署

Date (DD / MM / YYYY) / 日期（日／月／年）

This declaration is required pursuant to **Appendix B, Measure 3** of the SFC circular on "Expected controls for account opening and maintaining relationships with clients" (Ref. No. 26EC29) and additional measures adopted by M&F Asset Management Limited.

本聲明乃根據證監會「開立帳戶及維持與客戶關係的預期監控措施」通函（參考編號：26EC29）附錄 B 第三項措施之要求及漢豐資產管理有限公司額外採納之措施填寫。