

Please complete in **BLOCK LETTERS** 請以英文正楷填寫

本人完全明白關於水星有限合夥基金之合夥人賬戶申請表格與合約只在香港完成簽署，並在香港完成客戶身份知悉（“KYC” or “Know Your Client”）程序，受香港法律規範保障。本人已閱讀並充分理解所有簽署文件及說明資料之全部內容及細節，包括有限合夥基金（LPF）之投資方向、標的、條款、約束，全部完整說明內容含免責聲明（見附件一）。本人確認已充分理解所有內容並具備簽署資格。

I fully understand that this set of forms and documents was signed, executed, and completed in Hong Kong only, with the confirmation of identity and know your client (KYC) process regulated and protected by Hong Kong laws. I fully understand the contents of the signed documents and all attachments of the limited partnership fund (LPF) and details, including its investment policy, targets, terms, conditions, and all parts of the complete presentation material including disclaimer page (See Attachment 1). I hereby confirm that I am suitable and qualified to sign all forms and documents.

**1. ACCOUNT DETAILS 賬戶資料**

<b>Account Type 賬戶類別</b>	
<b>INDIVIDUAL CLIENTS 個人客戶</b> <input type="checkbox"/> Personal Account 個人賬戶 <input type="checkbox"/> Joint Account 聯名賬戶	<b>CORPORATE CLIENTS 公司客戶</b> <input type="checkbox"/> Corporate Account 公司賬戶

**2. PRINCIPAL APPLICANT'S DETAILS 主要申請人資料**

(Please use name on HKID#/Passport 請填寫香港身份證#/護照上的姓名)

<input type="checkbox"/> Mr 先生 <input type="checkbox"/> Ms 小姐 <input type="checkbox"/> Mrs 太太	Family Name 姓(英文)/Company Name 公司名稱(英文)	Given Name 名(英文)
Chinese Name 中文姓名 /Company Name(Chinese) 公司名稱(中文)	Gender 性別 <input type="checkbox"/> Male 男 <input type="checkbox"/> Female 女	Marital Status 婚姻狀況 <input type="checkbox"/> Single 單身 <input type="checkbox"/> Married 已婚
HKID#/Passport No./Certificate of Incorporation No./Business Registration No. 香港身份證#/護照號碼/註冊證書號碼/商業登記號碼	Date of Birth 出生日期/Date of Incorporation 註冊成立日期  dd 日/mm 月/yyyy 年	
Nationality/Place of Incorporation 國籍/公司註冊成立地方	Country of Primary Residence 居住國家	
*For residents with right of abode in Hong Kong only. Other residents please provide passport numbers. 只適用於擁有香港居留權之香港永久性居民，其他居民請填寫護照號碼。		
<b>Principal Applicant's Contact Details 主要申請人聯絡資料</b>		
Residential Address 住址 (P.O. box address will not be accepted. 不接受郵政信箱地址)/Registered Address 註冊地址		
Correspondence Address 郵寄地址 (If different from the above address 如與上述地址不同)		
Mobile No. 手機號碼	Home Telephone No. 住宅電話號碼	Office Telephone No. 辦公室電話號碼
Email Address 電郵地址		

**3A. INDIVIDUAL CLIENTS DETAIL INFORMATION 個人客戶詳細資料**

<b>Principal Applicant's Employment Details 主要申請人就業資料</b>		
Occupation & Position 職業及職位		
<input type="checkbox"/> Self-Employed 自僱 <input type="checkbox"/> Professional(Self-employed/Non self-employed) 專業人士(自僱/非自僱) <input type="checkbox"/> Executive/Senior Management 行政人員/高級管理 <input type="checkbox"/> Clerical 文職人員	<input type="checkbox"/> Civil Servant 公務員 <input type="checkbox"/> Teacher(Kindergarten/Primary/Secondary) 教師(幼稚園/小學/中學) <input type="checkbox"/> Sales and marketing 銷售/市場營業員 <input type="checkbox"/> Technical 技術人員	<input type="checkbox"/> Housewife 家庭主婦 <input type="checkbox"/> Retired 退休人士 <input type="checkbox"/> Student 學生 <input type="checkbox"/> Not Currently Employed 非在職 <input type="checkbox"/> Others(specify) 其他(註明) _____
Name of Employer 僱主名稱	Office Address 辦公室地址	

Business Nature 行業性質 <input type="checkbox"/> Accounting/Consulting/Legal Services 會計/顧問/法律服務 <input type="checkbox"/> Government(Disciplinarian/Non-Disciplinarian) 政府(紀律部隊/非紀律部隊) <input type="checkbox"/> Banking/Finance/Insurance 銀行/金融/保險 <input type="checkbox"/> Education(Government/Subsidized/Private) 教育(官立/政府資助/私營) <input type="checkbox"/> Trading 貿易 <input type="checkbox"/> Telecommunication/Information and Data 電訊、資訊及數據處理 <input type="checkbox"/> Retail/Wholesale 零售/批發 <input type="checkbox"/> Hotel & Catering Service 酒店及飲食服務 <input type="checkbox"/> Construction/Engineering 建築/工程 <input type="checkbox"/> Others(specify) 其他(註明) _____			
Total Annual Income (HKD) 全年總收入(港元) <input type="checkbox"/> < \$200,000 <input type="checkbox"/> \$200,001 - \$400,000 <input type="checkbox"/> \$400,001 - \$700,000 <input type="checkbox"/> \$700,001 - \$1,000,000 <input type="checkbox"/> > \$1,000,000	Total Liquid Assets (HKD) 總流動資產(港元) <input type="checkbox"/> < \$500,000 <input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> \$1,000,001 - \$5,000,000 <input type="checkbox"/> \$5,000,001 - \$10,000,000 <input type="checkbox"/> > \$10,000,000	Total Net Assets (HKD) 總資產淨值(港元) <input type="checkbox"/> < \$500,000 <input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> \$1,000,001 - \$5,000,000 <input type="checkbox"/> \$5,000,001 - \$10,000,000 <input type="checkbox"/> > \$10,000,000	Education Level 教育程度 <input type="checkbox"/> Primary school or below 小學或以下 <input type="checkbox"/> Secondary school 中學 <input type="checkbox"/> Post-secondary school/Diploma 大專/文憑 <input type="checkbox"/> University or above 大學或以上
Source of wealth to be invested 投資財富來源 <input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Investment earnings 投資收益 <input type="checkbox"/> Others(specify) 其他(註明) _____ <input type="checkbox"/> Business Profits 業務利潤 <input type="checkbox"/> Inheritance/gift 遺產/禮物		Investment Objective of the Account 賬戶投資目標 <input type="checkbox"/> Capital Preservation 資金保值 <input type="checkbox"/> Income 收入 <input type="checkbox"/> Others(specify) 其他(註明) _____ <input type="checkbox"/> Growth 增長	
<b>Joint Applicant's Details 聯名申請人資料 (If applicable 如適用)</b> (Please use name on HKID#/Passport 請填寫香港身份證#/護照上的姓名)			
<input type="checkbox"/> Mr 先生 <input type="checkbox"/> Ms 小姐 <input type="checkbox"/> Mrs 太太	Family Name 姓(英文)	Given Name 名(英文)	Chinese Name 中文姓名
Gender 性別 <input type="checkbox"/> Male 男 <input type="checkbox"/> Female 女		Marital Status 婚姻狀況 <input type="checkbox"/> Single 單身 <input type="checkbox"/> Married 已婚	Date of Birth 出生日期 dd 日/mm 月/yyyy 年
HKID#/Passport No. 香港身份證#/護照號碼		Nationality 國籍	Country of Primary Residence 居住國家
*For residents with right of abode in Hong Kong only. Other residents please provide passport numbers. 只適用於擁有香港居留權之香港永久性居民，其他居民請填寫護照號碼。			
<b>Joint Applicant's Contact Details 聯名申請人聯絡資料</b>			
Residential Address 住址 (P.O. box address will not be accepted 不接受郵政信箱地址)			
Correspondence Address 郵寄地址 (If different from residential address 如與住址不同)			
Mobile No. 手機號碼	Home Telephone No. 住宅電話號碼	Office Telephone No. 辦公室電話號碼	
Email Address 電郵地址			
<b>Joint Applicant's Employment Details 聯名申請人就業資料</b>			
Occupation & Position 職業及職位 <input type="checkbox"/> Self-Employed 自僱 <input type="checkbox"/> Professional(Self-employed/Non self-employed) 專業人士(自僱/非自僱) <input type="checkbox"/> Executive/Senior Management 行政人員/高級管理 <input type="checkbox"/> Clerical 文職人員 <input type="checkbox"/> Civil Servant 公務員 <input type="checkbox"/> Teacher(Kindergarten/Primary/Secondary) 教師(幼稚園/小學/中學) <input type="checkbox"/> Sales and marketing 銷售/市場營業員 <input type="checkbox"/> Technical 技術人員 <input type="checkbox"/> Housewife 家庭主婦 <input type="checkbox"/> Retired 退休人士 <input type="checkbox"/> Student 學生 <input type="checkbox"/> Not Currently Employed 非在職 <input type="checkbox"/> Others(specify) 其他(註明) _____			
Name of Employer 僱主名稱		Office Address 辦公室地址	
Business Nature 行業性質 <input type="checkbox"/> Accounting/Consulting/Legal Services 會計/顧問/法律服務 <input type="checkbox"/> Government(Disciplinarian/Non-Disciplinarian) 政府(紀律部隊/非紀律部隊) <input type="checkbox"/> Banking/Finance/Insurance 銀行/金融/保險 <input type="checkbox"/> Education(Government/Subsidized/Private) 教育(官立/政府資助/私營) <input type="checkbox"/> Trading 貿易 <input type="checkbox"/> Telecommunication/Information and Data 電訊、資訊及數據處理 <input type="checkbox"/> Retail/Wholesale 零售/批發 <input type="checkbox"/> Hotel & Catering Service 酒店及飲食服務 <input type="checkbox"/> Construction/Engineering 建築/工程 <input type="checkbox"/> Others(specify) 其他(註明) _____			
Total Annual Income (HKD) 全年總收入(港元) <input type="checkbox"/> < \$200,000 <input type="checkbox"/> \$200,001 - \$400,000 <input type="checkbox"/> \$400,001 - \$700,000 <input type="checkbox"/> \$700,001 - \$1,000,000 <input type="checkbox"/> > \$1,000,000	Total Liquid Assets (HKD) 總流動資產(港元) <input type="checkbox"/> < \$500,000 <input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> \$1,000,001 - \$5,000,000 <input type="checkbox"/> \$5,000,001 - \$10,000,000 <input type="checkbox"/> > \$10,000,000	Total Net Assets (HKD) 總資產淨值(港元) <input type="checkbox"/> < \$500,000 <input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> \$1,000,001 - \$5,000,000 <input type="checkbox"/> \$5,000,001 - \$10,000,000 <input type="checkbox"/> > \$10,000,000	Education Level 教育程度 <input type="checkbox"/> Primary school or below 小學或以下 <input type="checkbox"/> Secondary school 中學 <input type="checkbox"/> Post-secondary school/Diploma 大專/文憑 <input type="checkbox"/> University or above 大學或以上
Source of wealth to be invested 投資財富來源 <input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Investment earnings 投資收益 <input type="checkbox"/> Others(specify) 其他(註明) _____ <input type="checkbox"/> Business Profits 業務利潤 <input type="checkbox"/> Inheritance/gift 遺產/禮物		Investment Objective of the Account 賬戶投資目標 <input type="checkbox"/> Capital Preservation 資金保值 <input type="checkbox"/> Income 收入 <input type="checkbox"/> Others(specify) 其他(註明) _____ <input type="checkbox"/> Growth 增長	
If more than one Joint Applicant (maximum 3), please use separate Account Application Forms. 若多於一位(最多三位)聯名申請人，請填寫另外的賬戶申請表。 ____ set(s) Account Application Form is/are attached, and form part of this Account Application Form. 附上____份賬戶申請表，此等表格並為本賬戶申請表之部份。			

Individual Clients Declaration 個人客戶聲明 (Mandatory 必須填寫)	
For Joint Account, this Declaration should be made by the Principal Applicant and all Joint Applicant(s) collectively. 聯名賬戶的主要申請人及所有聯名申請人需共同地作出此聲明。	
<b>1. Are you the ultimate beneficial owner providing instructions related to the transactions to be conducted via this account?</b> 您是否發出此賬戶交易指示的最終權益擁有人？ Please select "No" if the answer of any one of the Principal Applicant and the Joint Applicant(s) is "No". 請選「否」若聯名賬戶的主要申請人及聯名申請人任何一位的答案為「否」。 <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否, please provide the details of the ultimate beneficial owner(s) below (maximum of 2). 請在下方填寫最終權益擁有人資料 (最多為 2 人)	
<b>Ultimate Beneficial Owner 1 最終權益擁有人一</b>	
Name of Ultimate Beneficial Owner (If applicable) 最終權益擁有人姓名(如適用) <input type="checkbox"/> Mr 先生 <input type="checkbox"/> Ms 小姐 <input type="checkbox"/> Mrs 太太	HKID#/Passport No. 香港身份證#/護照號碼
Residential Address 住址	
<b>Ultimate Beneficial Owner 2 最終權益擁有人二</b>	
Name of Ultimate Beneficial Owner (If applicable) 最終權益擁有人姓名(如適用) <input type="checkbox"/> Mr 先生 <input type="checkbox"/> Ms 小姐 <input type="checkbox"/> Mrs 太太	HKID#/Passport No. 香港身份證#/護照號碼
Residential Address 住址	
<b>2. Are you (or the ultimate beneficial owner(s)) an employee or a business representative of any licensed/registered persons of the Securities and Futures Commission in Hong Kong?</b> 您 (或最終權益擁有人) 是否任何香港證監會持牌或註冊人士的僱員或業務代表？ For Joint Account, please select "Yes" if the answer of any one of the Principal Applicant and the Joint Applicant(s) is "Yes". 請選「是」若聯名賬戶的主要申請人及聯名申請人任何一位的答案為「是」。 <input type="checkbox"/> Yes 是, please provide a written consent from your employer. 請提供僱主同意書。 <input type="checkbox"/> No 否	
<b>3. Are you (or the ultimate beneficial owner(s)) a relative of any employee or Partner of Mercury Technology LPF?</b> 您 (或最終權益擁有人) 是否為水星科技有限合夥基金之任何職員或合夥人的親屬？ For Joint Account, please select "Yes" if the answer of any one of the Principal Applicant and the Joint Applicant(s) is "Yes". 請選「是」若聯名賬戶的主要申請人及聯名申請人任何一位的答案為「是」。 <input type="checkbox"/> Yes 是, Please provide the name of relevant person(s): 請提供相關人士姓名: _____ <input type="checkbox"/> No 否	

### 3B. CORPORATE CLIENTS DETAIL INFORMATION 公司客戶詳細資料

#### Type of Entity 機構類別

<input type="checkbox"/> Private Limited Company 私人有限公司	<input type="checkbox"/> Public Limited Company 公眾有限公司	<input type="checkbox"/> Listed Company 上市公司
<input type="checkbox"/> Sole Proprietorship 獨資企業	<input type="checkbox"/> Partnership 合夥	<input type="checkbox"/> Association/Club/Society 組織/俱樂部/社團
<input type="checkbox"/> Government/Statutory Board 政府/法定組織	<input type="checkbox"/> Trust Account 信託賬戶	<input type="checkbox"/> Others(specify) 其他(註明) _____

#### Contact Person 聯絡人

Name 姓名		Position 職位
Mobile No. 手機號碼	Office Telephone No. 辦公室電話號碼	Email Address 電郵地址

#### List of Directors/Sole Proprietors\*/Partners\* etc. 公司董事/獨資企業經營者\*/合夥人\*等資料 (Please use a separate sheet if necessary 如須提供更多資料, 請使用額外附頁。)

Name 姓名	HKID#/Passport No. 香港身份證#/護照號碼	Date of Birth 出生日期	Nationality 國籍
*Residential address (For Sole Proprietors/Partners only) *住址(只適用於獨資企業經營者/合夥人)			
Name 姓名	HKID#/Passport No. 香港身份證#/護照號碼	Date of Birth 出生日期	Nationality 國籍
*Residential address (For Sole Proprietors/Partners only) *住址(只適用於獨資企業經營者/合夥人)			
*For residents with right of abode in Hong Kong only. Other residents please provide passport numbers. 只適用於擁有香港居留權之香港永久性居民, 其他居民請填寫護照號碼。			

#### List of Authorised Officer(s) 獲授權代表資料 (Please use a separate sheet if necessary 如須提供更多資料, 請使用額外附頁。)

Name(s) and signature(s) of Authorised Officer(s) who may sign this form and other instructions on behalf of the corporate applicant. 請填寫將代表申請公司簽署本申請表及其他指示的獲授權人士之姓名及簽署。				
Name 姓名	HKID#/Passport No. 香港身份證#/護照號碼	Date of Birth 出生日期	Nationality 國籍	Signature 簽署 ✓
Name 姓名	HKID#/Passport No. 香港身份證#/護照號碼	Date of Birth 出生日期	Nationality 國籍	Signature 簽署 ✓



List of Beneficial Owner(s)/Shareholder(s) 受益人/股東資料 (Please use a separate sheet if necessary 如須提供更多資料，請使用額外附頁。)

List of beneficial owner(s)/shareholder(s) directly or indirectly holding 25% or more of the interest 請填寫直接或間接擁有 25%或以上權益的受益人/股東資料			
Name 姓名	HKID#/Passport/Registration No. 香港身份證#/護照/註冊號碼	Nationality 國籍	Country of Domicile 原居地/註冊國家
Name 姓名	HKID#/Passport/Registration No. 香港身份證#/護照/註冊號碼	Nationality 國籍	Country of Domicile 原居地/註冊國家
Name 姓名	HKID#/Passport/Registration No. 香港身份證#/護照/註冊號碼	Nationality 國籍	Country of Domicile 原居地/註冊國家

**Financial Status 財務狀況**

**Annual Turnover (HKD) 每年營業額 (港元)**

☐ <\$5,000,000      ☐ \$5,000,000 - \$20,000,000      ☐ \$20,000,001 - \$50,000,000      ☐ \$50,000,001 - \$100,000,000      ☐ >\$100,000,000

**Liquid Net Assets (HKD) 流動資產淨值(港元)**

☐ <\$5,000,000      ☐ \$5,000,000 - \$10,000,000      ☐ \$10,000,001 - \$50,000,000      ☐ \$50,000,001 - \$100,000,000      ☐ >\$100,000,000

**Source of Wealth to be invested 投資財富來源**

☐ Business Income 公司收入      ☐ Sales of Assets 出售資產      ☐ Capital Injection 注資      ☐ Others(specify) 其他(註明) \_\_\_\_\_

4. FATCA & CRS Declaration 《海外賬戶稅收合規法案》及《共同申報準則》聲明

Regulations based on Foreign Account Tax Compliance Act ("FATCA") and Organisation for Economic Co-operation and Development ("OECD") Common Reporting Standard ("CRS") require financial institutions to collect and report certain required information based on an account holder's tax residence.

根據《海外賬戶稅收合規法案》(「FATCA」)及《經濟合作與發展組織》(「OECD」)《共同申報準則》(「CRS」)的法規，要求金融機構按照個人賬戶持有人的納稅居住地收集及匯報若干所需資料。

All applicants, including Individual Principal Applicant, Joint Applicant(s), Corporate Applicant and its controlling person(s) are required to complete appropriate self certification form for the purpose of automatic exchange of financial account information. The data collected may be transmitted by MTL to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region for transfer to the tax authority of another jurisdiction; and/or to the United States tax authority directly, if applicable. 所有申請人包括主要個人申請人、聯名申請人、公司申請人及其所有控權人士，必須填寫適當自行聲明書，以作自動交換財務賬戶資料用途。水星可把收集所得的資料交給香港特別行政區政府稅務局從而把資料轉交到另一稅務管轄區的稅務當局，及/或直接給美國稅務當局(如適用)。

Individual Applicant and each Joint Applicant(s), if any, are required to complete the Individual Self Certification Form separately. 個人申請人及每位聯名申請人(如有)需各自填寫個人自行聲明書。

Corporate Applicant, except for Sole Proprietorship, is required to complete the Entity Self Certification Form and, if applicable, Controlling Person Self Certification Form. Sole Proprietor is required to complete the Individual Self Certification Form. 除獨資企業外公司申請人需填寫實體自行聲明書及(如適用)控權人士自行聲明書。而獨資企業需填寫個人自行聲明書。

For details, please refer to the information at the following links for FATCA and CRS at <https://www.irs.gov/> and <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/> respectively. 有關詳情，請分別瀏覽下列有關 FATCA 及 CRS 網頁的資料: <https://www.irs.gov/> 及 <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>。

5. ADMINISTRATION DETAILS 行政資料

**Communication Preference 通訊選擇 (For receiving notices, confirmations and statements 收取通知、確認書和結單)**

☐ By email to the email of the Principal Applicant 電郵至主要申請人之電郵

☐ By post to the correspondence address of the Principal Applicant (Postal Administration Fee will be charged) 郵遞至主要申請人之通訊地址(將收取郵遞行政費)

*Note: Email correspondence will be set as default option if no choice is made and email address is provided 註: 若不作選擇並有提供電郵地址，所有通訊將以電郵方式發送。*

**Dividend Preference 股息選擇**

☐ Reinvestment 再投資      ☐ Distributed to Cash Account 分派存入現金賬戶

*Note: If no dividend preference is selected, dividends (if applicable) will be reinvested unless specific securities pay only cash dividends 註: 若不作股息選擇，股息(如適用)將用作再投資(只派發現金股息的個別證券除外)。*

**Bank Account Details 銀行戶口資料**

I/We wish to have all proceeds of redemptions/sale of Fund Units/Securities or cash withdrawal paid direct to the following bank account unless contrary instructions are given at the time of redemption/sale or cash withdrawal. This instruction applies to all cash balances or Fund Units/Securities acquired at any time. 本人/吾等希望所有贖回/出售之基金單位/證券或現金賬戶提取之款項直接付予以下銀行賬戶，除非本人/吾等在作出贖回/出售或現金提取指示時另作付款安排，此授權適用於任何時候的現金結餘或買入的基金單位/證券。

Name of Bank 銀行名稱	Bank Address (for overseas bank only) 銀行地址 (只適用於海外銀行)				
Name of Bank Account Holder^ 銀行戶口持有人名稱^					
Bank Code 銀行編號	Bank Account No. 銀行戶口號碼	SWIFT Code/ SWIFT 碼			
Currency (Can tick more than one option) 貨幣(可選多於一項)					
<input type="checkbox"/> HKD 港元 <input type="checkbox"/> USD 美元					

^ "Name of Bank Account Holder" must be in the same name as the applicant(s) 「銀行戶口持有人名稱」須與申請人同名。

Joint Applicants 聯名申請人

The following provisions are applicable to joint applicants only: 下列條文僅適用於聯名申請人：

- (i) We request for a Joint Account created by MTL whereby the interest in the account is owned jointly by the joint applicants, and upon the death of one of the joint applicants, the surviving joint applicant(s) shall be entitled to the entire account; 吾等要求共同持有由水星開設之聯名賬戶的聯名申請人之權益。一旦在聯名申請人其中一人身故後則另一尚存聯名申請人將完全獲資格得到賬戶的擁有權；
- (ii) We hereby authorise the FI, MTL to accept and act upon instructions for new subscriptions, switches, redemption to Cash Account and transfers-in given by **any one of us individually**. We further agree that this authorisation shall remain in force until notice in writing signed by all joint applicants of its termination or replacement is received by the FI, MTL and any such notice shall be without prejudice to the completion of transactions already initiated by MTL pursuant to the Client Terms for Platform Services; 吾等僅此授權金融機構、水星接納及按吾等任何一人作出的新認購、轉換及贖回至現金賬戶的指示行事。吾等亦同意此授權將一直生效直至金融機構、水星收到所有聯名申請人共同發出之書面通知終止或取替該授權。惟此通知並不影響水星完成按平台服務客戶條款已開始之交易；
- (iii) Subject to (ii) above, all other instructions, including redemption instructions where the proceeds are not deposited into our Cash Account, must be given to the FI and MTL jointly by all joint applicants; 在以上(ii)的規限下，所有聯名申請人必須共同作出所有給予金融機構及水星的其他全部指示，包括贖回款項並非存入吾等現金賬戶的贖回指示；
- (iv) Where we have authorised the FI, MTL to act upon instructions from and documents executed by any one of the joint applicants, those instructions shall be binding on the other joint applicants. Where we have authorised the FI and MTL to accept and act upon instructions given by all of us, only instructions from and documents executed by all of us shall be accepted by the FI and MTL, and shall be binding on all of us. 倘若吾等授權金融機構及水星按任何一名聯名申請人作出之指示或簽署之文件行事，則另一名聯名申請人將受該等指示或文件約束。倘若吾等授權金融機構及水星按所有聯名申請人共同作出之指示或簽署之文件行事，則吾等各人將受該等指示或文件約束。

Beneficial Ownership and Origination of Instructions 實益擁有權及指示的發出

For Individual and Joint Applicants 個人及聯名申請人

I/We hereby confirm that in relation to my/our investment in Securities: 本人/吾等謹此確認就本人/吾等的證券投資：

- (i) Such investment will be beneficially owned by me/us and the funds for such investment will be paid from an account of which I am/we are the beneficial owner<sup>##</sup>; 本人/吾等實益擁有該投資而該投資的資金將由本人/吾等實益擁有的賬戶支出<sup>##</sup>；
- (ii) I am/We are ultimately responsible for originating instructions for such investment; and 就該投資的指示的發出，本人/吾等負上發出任何有關該投資指示的最終責任；及
- (iii) I am/We are not US persons, or residents or citizens of the United States of America. 本人/吾等並非美國人士、美國居民或美國公民。

For Corporate Applicants 公司申請人

- (i) I am/We are authorised to execute and deliver this agreement on behalf of the company. 本人/吾等已獲正式授權代表公司簽立及交付本協議。
- (ii) Such investments are not being acquired directly or indirectly by or on behalf of a United States citizen/resident and the funds for such investments will be paid from the company bank account. 該等投資並非直接或間接地由或代表一位美國居民或公民購買，而該等投資的資金將由公司銀行戶口支付。

I/We declare that I/we have read and understood the provisions as set out in this Account Application Form and its Appendices including the Client Terms for Platform Services, Authorisation for Financial Institution, Fee Schedule and all the relevant Supplemental Agreements (where applicable). I/we hereby instruct and authorise MTL to carry out my/our instructions as indicated on this Form. I/We agree and acknowledge that the value of the investment(s) may go down and up and by instructing MTL to apply for any Investments on my/our behalf, this risk which I/we am/are prepared to accept. If there is any foreign exchange conversion involved for the above transaction(s), I/we agree to the foreign exchange rates contracted by MTL. 本人/吾等聲明，本人/吾等已閱讀並明白有關賬戶申請表所訂立的條款及其附件，包括平台服務客戶條款、金融機構授權、收費附表及所有有關之補充合約（如適用）。本人/吾等謹此授權並指示水星按照本表格上的資料為本人/吾等處理指示。本人/吾等同意並了解，投資價值可升可跌，本人/吾等委託水星代為投資，並願意承擔此等風險。如上述交易須要進行貨幣兌換，本人/吾等同意使用水星所定的匯率。

I/We declare that I/we have examined the information as provided by me/us on this form are true, correct and complete. I/we agree that all personal data provided may be used by MTL in connection with verification/administration procedures, or disclosed for any other purposes as defined in the Personal Data (Privacy) Ordinance. MTL is authorised at any time to contact anyone, including banks, brokers or any credit agency, for the purpose of verifying the information provided on this Account Application Form. I/We have read and agreed the Personal Information Collection Statement. 本人/吾等謹此聲明，本人/吾等在此賬戶申請表上所提供的一切資料均屬真實、正確及完整。本人/吾等同意水星可以使用上述所提供的全部個人資料，作為身份核證/行政程序，或其他按《個人資料（私隱）條例》所定的任何用途。水星獲授權在任何時間向任何人，包括銀行、經紀或任何信貸機構，查核此賬戶申請表上的資料。本人/吾等已閱讀並同意個人資料收集聲明。

I/We confirm that the risk disclosure statements are provided in a language of my/our choice and I/We have been invited to read the risk disclosure statement and take independent advice as I/we wish. 本人/吾等確認，已按本人/吾等所選擇的語言獲得風險披露聲明，並已閱讀有關風險披露聲明及按個人意願徵求獨立意見。

Principal Applicant Signature 主要申請人簽署

Family Name 姓	Given Name 名	Signature 簽署 ✓	Date 日期  dd 日/mm 月/yyyy 年
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Joint Applicant Signature 聯名申請人簽署

Family Name 姓	Given Name 名	Signature 簽署 ✓	Date 日期  dd 日/mm 月/yyyy 年
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Corporate Applicant Signature 公司申請人簽署

Name(s) of Authorised Officer(s) 獲授權代表姓名	Signature(s) 簽署 ✓	Date 日期  dd 日/mm 月/yyyy 年
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**##Funds for investment must be paid from an account in the same name as the applicant(s).** 投資的資金必須來自與申請人同名的銀行戶口。

7. DECLARATION BY PARTNER 合夥人聲明

I/We, the undersigned, hereby confirm that 本人/吾等，即下述簽署人，謹此確認：

- (i) I/We have provided to the applicant(s) a copy of the Client Terms for Platform Services; 本人/吾等已向申請人提供一份平台服務客戶條款；
- (ii) I/We have explained to the applicant(s) the roles of and relationships between the FI and MTL; 本人/吾等已向申請人解釋金融機構及水星的角色及彼此之間的關係；
- (iii) I/We have provided the risk disclosure statements as set out in clause 16 of the Client Terms for Platform Services in a language of the applicant's choice and have invited the applicant(s) to read the risk disclosure statements, ask questions and take independent advice if the applicant(s) wishes/wish; 本人/吾等已向申請人提供申請人揀選語言版本於平台服務客戶條款第 16 項條款列明的風險聲明，本人/吾等已請求申請人閱讀該等風險聲明、發問問題及如認為有需要諮詢獨立意見；
- (iv) I/We hold and will continue to hold all relevant licenses, authorisations and registrations to provide all relevant services to the applicant(s); 本人/吾等持有並將繼續持有向申請人提供所有相關服務的一切相關執照、授權及登記；
- (v) I/We have complied and will comply with all relevant laws, regulations, codes and guidelines relating to the services provided by me/us to the applicant(s); and 本人/吾等經已並將會繼續遵守與本人/吾等向申請人提供的服務有關的一切相關法律、規例、守則及指引；
- (vi) The financial services I/we provided to the applicant(s) were in accordance with the applicable regulations and laws in Hong Kong, and/or the relevant jurisdictions (where applicable). 本人乃根據香港及或相關的司法管轄區（如適用）的相關法規及法例向申請人提供金融服務。

Family Name 姓	Given Name 名	CE No. 中央編號	Partner Code 合夥人編號
Signature 簽署 ✓			Date 日期  dd 日/mm 月/yyyy 年

## 8. ANTI-MONEY LAUNDERING CHECKLIST (Mandatory for FI) 防止清洗黑錢清單(金融機構必須填寫此欄)

### Risk Levels of Money Laundering 清洗黑錢風險程度

- ☐ **High 高** — If you have not met the client face-to-face; if the client is a Politically Exposed Person; if the client resides or is engaged in business in non-FATF (Financial Action Task Force) countries/regions (e.g. Afghanistan, Iraq, Pakistan, Egypt, Nigeria, etc.) or is engaged in high risk business (e.g. jewellery, gambling, etc.) or other considerations based on your risk-based approach assessment. 如閣下並沒有與客戶會面、如客戶被識別為公眾政治人物、如客戶於非財務行動特別組織成員國（如阿富汗、伊拉克、巴基斯坦、埃及、尼日利亞等）居住或參與業務或參與高風險業務（如珠寶業和賭業）或其他根據閣下以風險為本評估所作出的考慮因素。
- ☐ **Normal 一般** — If the client resides or is engaged in business in FATF countries/regions (e.g. Hong Kong) which are generally recognised as having strong anti-money laundering controls in place. 如客戶於財務行動特別組織成員國或屬低風險地區居住或參與業務，該等國家應具有完善的防止清洗黑錢制度（如香港）。

## 9. DOCUMENT CHECKLIST (Mandatory for FI) 所需文件清單(金融機構必須填寫此欄)

Below are documents required for individual/joint applicants or corporate applicants. For the list of documents required for partnership applicants or trust applicants, please contact your FI. 下列為個人或聯名申請人及公司申請人所須遞交的文件。如為合夥或信託申請人，請聯絡閣下的金融機構了解須遞交的文件。

### Individual Clients 個人客戶

- ☐ Certified copy of HKID\*/passport 經核實之香港身份證\*或護照副本
- ☐ Certified copy of HKID\*/passport of ultimate beneficial owner(s) (if applicable) 最終權益擁有人之經核實之香港身份證\*或護照（如適用）
- ☐ Certified copy of residential address proof of all applicants; and ultimate beneficial owner(s) 所有申請人及最終權益擁有人之經核實之住址證明副本
- ☐ Individual Self Certification Form (FATCA & CRS) 個人自行聲明書 (FATCA & CRS)
- ☐ Enhanced Due Diligence Form for individual applicants who are exposed to increased levels of risks of money laundering as defined above (if applicable) 根據以上定義，如客戶於清洗黑錢風險程度屬高風險程度，須提供更嚴格的盡職審查表-個人（如適用）
- ☐ Client Risk Profile Questionnaire 客戶風險水平問卷

### Corporate Clients 公司客戶

- ☐ Certified copy of Certificate of Incorporation 經核實之公司註冊證書副本
- ☐ Certified copy of Memorandum and Articles of Association or Articles of Association 經核實之公司組織大綱及章程細則或公司章程細則副本
- ☐ Certified copy of Business Registration Certificate 經核實之商業登記證書副本
- ☐ Board resolution authorising the account application 公司董事局授權公司開立賬戶之決議
- ☐ List of authorised signatories 獲授權人士的簽署樣本
- ☐ Certified copy of HKID\*/passport of all authorised signatories 獲授權人士之經核實之香港身份證\*或護照副本
- ☐ Certified copy of the latest filed Annual Return (Form NAR1), Form ND2A and Form NSC1 and/or instrument of transfer, if any 經核實之最近一期的周年申報表（表格 NAR1），表格 ND2A、表格 NSC1 及/或股份轉讓文書副本，如有
- ☐ Certified copy of each director's HKID\*/passport 每位公司董事的經核實之香港身份證\*或護照副本
- ☐ Certified copy of HKID\*/passport of each shareholder directly or indirectly holding 25% or more of the interest in the company. 直接或間接擁有 25%或以上之權益的股東的經核實香港身份證\*或護照副本
- ☐ Certified copy of residential address proof of all directors; authorized signatories and shareholder directly or indirectly holding 25% or more of the interest in the company 戶口申請人之董事、獲授權人士及直接或間接擁有 25%或以上之權益的股東之經核實之住址證明副本
- ☐ For non-Hong Kong companies, Register of Directors and Register of Members shall be submitted 如屬非香港公司，須提供董事名冊及股東名冊
- ☐ For companies incorporated in tax haven countries (e.g. British Virgin Islands, Cayman Islands etc.), Certificate of Good Standing and Certificate of Incumbency (issued within the last six months) are required 如公司在「避稅天堂」國家（如英屬處女群島、開曼群島等）註冊，須遞交以良好信譽證明書及董事在職證明（在過去六個月內簽發）
- ☐ For Partnership applicants, certified copy of the partnership agreement shall be submitted 如屬合夥申請人，須提供經核實之合夥協議副本
- ☐ For each Sole Proprietor, Partner, certified copy of his/her HKID\*/passport shall be submitted 如屬獨資企業經營者、合夥人，須提供其香港身份證\* / 護照之經核實副本
- ☐ Entity Self Certification Form (FATCA & CRS) 實體自行聲明書 (FATCA & CRS)
- ☐ Controlling Person Self Certification Form (FATCA & CRS) (if applicable) 控權人士自行聲明書(FATCA & CRS)（如適用）
- ☐ Enhanced Due Diligence Form for corporate applicants who are exposed to increased levels of risks of money laundering as defined above (if applicable) 根據以上定義，如客戶於清洗黑錢風險程度屬高風險程度，須提供更嚴格的盡職審查表-公司（如適用）
- ☐ Client Risk Profile Questionnaire 客戶風險水平問卷

### Notes 註:

- The above documents shall be certified by the Licensed Person or a Qualified Person. Qualified Person is a person who is licensed or registered by a financial regulator (mandatory in Hong Kong), a Justice of the Peace, or a professional person (such as a branch manager of an international bank, a certified public accountant, a lawyer or a notary public). 上述文件須由持牌或合資格人士核實。合資格人士為持有或獲金融監管機構發牌之人士（強制於香港）、太平紳士、專業人士（如國際性銀行分行經理、註冊會計師、律師或國際公證人）。
- Individual/Joint applicants and ultimate beneficial owner(s) (if applicable) are required to submit a certified copy of latest address proof (no more than three months old) which must either be a public utility bill, bank statement, or government tax or rate notice. 個人/聯名申請人及最終權益擁有人(如適用)或被要求遞交經核實之最近期住址證明(不多於三個月)，如水電煤單據、銀行結單、稅單或差餉單等。
- If signed under a power of attorney, such power of attorney or a duly certified copy must be attached to this Account Application Form. 倘根據授權書簽署，則本賬戶申請表必須夾附有關授權書或其經正式核實之副本。
- Additional documents are required for trusts. 如屬信託基金，須遞交額外文件。
- WMC reserves the right to reject any application. 富方有權拒絕受理任何申請。
- This Account Application Form may be executed in any number of counterparts, all of which taken together will be deemed to constitute one instrument. 本賬戶申請表可能由多於一名申請人簽署，所有該等簽署將視為構成一份文據。
- For corporate applicant with complex layers of companies in its ownership structure, additional documents might be required to prove the chain of ownership and to identify the ultimate individuals who are the ultimate beneficial owner(s) of the corporate. (e.g. Certificate of Incorporation of corporate shareholders, organisation chart showing the chain of ownership in the shareholding structure, and HKID\*/passport of the ultimate beneficial owner(s)) 如公司申請人的公司有多層的股權結構，或需提交額外的文件以證明該股權結構及確認該公司的最終權益擁有人（如公司註冊證書、列明股權資料的公司架構圖表，以及最終權益擁有人之香港身份證\*/護照）。

\*For residents with right of abode in Hong Kong only. Other residents please provide passport. 只適用於擁有香港居留權之香港永久性居民，其他居民請提供護照。



## Use of Client Personal Data 使用客戶個人資料

**Transfer of Client Personal Data to FI 向金融機構提供客戶個人資料**

For the purpose of providing ongoing financial services by Mercury Technology LPF ("MTL") and your Wa and FI (collectively "FI") in relation to your account ("Account") held with MTL, it is necessary for MTL to transfer or disclose the following personal data to your FI: 为使水星科技有聯合夥基金("水星")及閣下的財富顧問及金融機構(以下稱「金融機構」)向閣下於水星持有的賬戶提供持續的金融服務,水星必須向閣下的金融機構提供或披露以下的個人資料:

- Your personal data may be used by M T L and your FI for the following purposes: 水星及閣下的金融機構或會使用閣下的個人資料作以下之用途:

- I/We have read and understood the Personal Information Collection Statement ("PICS") of MTL and the above provisions on the use and transfer of my/our personal data by MTL and/or to my/our FI for direct marketing purposes, and hereby declare that I/we: 本人/吾等已閱讀及明白水星以上的個人資料收集聲明及上述有關水星使用及/或向本人/吾等的金融機構提供本人/吾等的個人資料作直接促銷之用，並在此聲明本人/吾等：

☐ **No** 否 (Please note: Your FI will not be able to provide the relevant financial services on your Account and have the necessary authority in order to administrate or manage your investment portfolio in your Account. Hence, MTL **WILL NOT** be able to accept your account application. 請注意：閣下的金融機構將無法向閣下的賬戶提供相關的金融服務及持有相關的授權管理閣下賬戶中的投資組合。因此，水星將不會接受閣下之開戶申請)

\*\*\* 拒絕直接促銷權利(只適用於水星,有關閣下的金融機構請直接與其聯絡)

- Individual Investor/Joint Investor 個人投資者/聯名投資者 (if applicable 如適用)

AAF		Created by	Approved by	Date	MTL Client Code	MTL UTD Account code
CRPQ						
PIAD						