輝 立 証 券 集 團
Phillip Securities Group
你的投資夥伴

香港金鐘道 95 號統一中心 11 樓
11/F., United Centre, 95 Queensway, Hong Kong
電話 Tel: (852) 2277 6600
傳真 Fax: (852) 2868 5307

致To:輝立證券(香港)有限公司 Phillip Securities (HK) Limited
輝立商品(香港)有限公司 Phillip Commodities (HK) Limited
輝立金業有限公司 Phillip Bullion Limited
輝立資本管理(香港)有限公司 Phillip Capital Management (HK) Ltd
(Collectively " Phillip" / "輝立")

# 中國內地投資者合規聲明書
# Compliance Declaration for Chinese Mainland Investor

本人／吾等在輝立開立帳戶，謹此聲明、確認及承諾如下

In support of my/our application to open an account with Phillip, I/we hereby declare, confirm and undertake that：

1. 本人／吾等用於支持本人／吾等投資活動及相關結算的所有資金，均來自中國內地以外的合法來源；
   All funds used to support my/our investment activities and related settlements are derived from lawful sources outside of the Chinese Mainland；
2. 本人／吾等並無任何曾因使用可疑或偽造文件而被任何持牌法團或銀行關閉或暫停的帳戶；
   I do not / We do not have any account that has previously been closed or suspended by any licensed corporation or bank due to the use of questionable or forged documents；
3. 本聲明所載資料如有任何變更，本人／吾等將於 7 個營業日內以書面通知輝立；及
   I / We will notify Phillip in writing within 7 business days of any change to the information contained in this written declaration；and
4. 本人／吾等明白，執法機構或監管機關如有要求，輝立可根據適用法律及監管規定披露本人／吾等的個人資料及其他相關資料。
   I /We understand that, upon request by law enforcement agencies or regulatory authorities, Phillip may disclose my/our personal data and other relevant information in accordance with applicable laws and regulatory requirements.

| **個人/主要帳戶持有人簽署**<br>**Individual/Primary Joint Account Holder's Signature:** | **聯名帳戶第二持有人簽署**<br>**Secondary Joint Account Holder's Signature:** |
|---|---|
| | |
| 個人/主要帳戶持有人姓名<br>Individual/Primary Joint Account Holder's Name：<br>_____<br>證件號碼 Identification No.：<br>_____<br>日期 Date: _____ | 聯名帳戶第二持有人姓名<br>Secondary Joint Account Holder's Name：<br>_____<br>證件號碼 Identification No.：<br>_____<br>日期 Date: _____ |