

Note 注意：

- Before completing this form, please refer to the “Notes and Instructions” on page 9. 填寫本表格前，請參閱第9頁的「備註及指引」。
- For an applicant which has entered into a distribution agreement with any member of the Manulife Group, the witness signature and section 6 are not applicable. 見證人簽署及第6部分不適用於已與宏利集團任何成員簽訂經銷協議的申請人。
- For definitions relating to Foreign Account Tax Compliance Act (“FATCA”) and Organization for Economic Cooperation and Development Common Reporting Standard (“CRS”) 欲了解有關《外國帳戶稅務遵從法》及經濟合作與發展組織《共同申報準則》的定義：please visit www.irs.gov and www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance respectively. 請分別瀏覽 www.irs.gov 及 www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance。
- Please provide the supporting documents as listed in the “Required Documents Checklist”. 請提供「需提供之文件核對清單」內所列示的證明文件。

1. Manulife Fund Account 宏利基金帳戶

“Manulife Fund” is defined in Manulife Asset Management (Hong Kong) Limited’s client agreement and specified by the applicant below.

宏利基金之定義見於宏利資產管理（香港）有限公司客戶協議，並由申請人於下方指明。

Please ✓ the appropriate box(es) below for opening account with Manulife Fund.

開設宏利基金帳戶，請在適當的方格填上 ✓ 號。

<input type="checkbox"/> Manulife Advanced Fund SPC 宏利盈進基金 SPC – China A Segregated Portfolio and/or Renminbi Bond Segregated Portfolio (“QFII Funds”) 中國A股獨立資產組合及／或人民幣債券獨立資產組合（「QFII基金」）	<input type="checkbox"/> Manulife Advanced Fund SPC 宏利盈進基金 SPC – Fund(s) other than QFII Funds (“Non-QFII Funds”) QFII基金以外的基金（「非QFII基金」）
<input type="checkbox"/> Manulife Global Fund 宏利環球基金	<input type="checkbox"/> Manulife Hong Kong Series 宏利香港系列

2. Applicant Information 申請人資料

Basic Information 基本資料	
	<input type="checkbox"/> Corporation 法團 <input type="checkbox"/> Partnership/Unincorporated Body 合夥／非法團團體 <input type="checkbox"/> Acting as Trustee 以受託人身份行事 <input type="checkbox"/> Other (Please specify) 其他（請註明）
Company Name 公司名稱	
Account Name (For an applicant which has entered into a distribution agreement with any member of the Manulife Group) 帳戶名稱（適用於已與宏利集團任何成員簽訂經銷協議的申請人）	
Date of Incorporation/Establishment 註冊／成立日期	DD日/MM月/YYYY年
Country of Incorporation/Establishment 註冊／成立國家	
Business Nature 業務性質	
Registration/Incorporation Number 登記／註冊號碼	
Registered/Permanent Office Address 註冊／永久辦事處地址	
Room/Floor/Block/Name of Building/Estate 室／樓／座／大廈／屋苑名稱	
Street Number/Street Name/District 街道號碼／街道名稱／區	
	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Kowloon 九龍 <input type="checkbox"/> New Territories 新界
Country 國家	
Postal/ZIP code 郵遞／郵政編碼	

Applicant Information (Con't) 申請人資料 (續)

Contact Information 通訊資料				
Business Address 業務地址				
Room/Floor/Block/Name of Building/Estate 室/樓/座/大廈/屋苑名稱				
Street Number/Street Name/District 街道號碼/街道名稱/區				
Country 國家	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Kowloon 九龍 <input type="checkbox"/> New Territories 新界			
Postal/ZIP code 郵遞/郵政編碼				
Name of Contact Person 聯絡人姓名				
Position 職位				
Department 部門				
Email Address 電郵地址				
Contact Numbers 聯絡號碼				
Office 辦事處	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">Country Name 國家名稱</td> <td style="width: 20%; text-align: center;">()</td> <td style="width: 20%;">Country Code 國家編號 Number 號碼</td> </tr> </table>	Country Name 國家名稱	()	Country Code 國家編號 Number 號碼
Country Name 國家名稱	()	Country Code 國家編號 Number 號碼		
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Country Name 國家名稱	()	Country Code 國家編號 Number 號碼		

The above contact information applies to and updates that on record for all the existing products or services in Hong Kong and Macau provided to you by all companies within the Manulife Group ("Manulife Group") and companies that provide trustee or custodian services to Manulife Group. 您所提供的上述聯絡資料適用於宏利集團旗下所有公司（「宏利集團」）及為宏利集團提供信託或託管服務的公司於香港及澳門向您提供的現有產品或服務，以及更新有關資料的記錄。

Instructions by Facsimile 以傳真發出指示

- We request to place our subsequent dealing instructions by facsimile. (Please refer to the "Notes and Instructions" for details)
吾等要求用傳真發出隨後的交易指示。(詳情請參閱「備註及指引」)

Applicant Information (Con't) 申請人資料 (續)

Dividend/Distribution Option 股息/分派選擇

This section is NOT applicable to QFII Funds. Dividends/distributions will be reinvested if this section is not completed. Please ✓ only the appropriate box(es). 此欄不適用於QFII基金。若不填寫此欄，股息/分派將用作再投資。請只在合適的方格填上✓號。

- Reinvestment 再投資
- Payments by cheque in the currency of denomination of the relevant class (applicable to all classes of Manulife Fund) 以有關類別的計價貨幣支票付款 (適用於宏利基金所有類別)
- Payments by cheque in (applicable to all classes of Manulife Global Fund) 用以下貨幣支票付款 (適用於宏利環球基金所有類別)
 - USD 美元
 - HKD 港元
- Payments in the currency of denomination of the relevant class directly to the bank account as follows (applicable to all classes of Manulife Hong Kong Series) 以有關類別的計價貨幣付款並直接存入以下銀行帳戶 (適用於宏利香港系列所有類別)

Bank Name 銀行名稱	
Bank Address 銀行地址	
Bank Account Holder's Name (The bank account holder must be the same as the account holder) 銀行帳戶持有人姓名 (銀行帳戶持有人必須與帳戶持有人相同)	
Bank Account Number (including Bank Code, Branch Code, and Account Number) 銀行帳戶號碼 (包括銀行編號、分行編號及帳戶號碼)	For the bank account opened in Hong Kong 在香港開立的銀行帳戶： Bank No. Branch No. Account No. 銀行編號 分行編號 帳戶號碼 <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Bank Account Currency, please ✓ as appropriate 銀行帳戶貨幣，請✓選適合的貨幣	<input type="checkbox"/> HKD 港元 <input type="checkbox"/> USD 美元 <input type="checkbox"/> RMB 人民幣 <input type="checkbox"/> Multicurrency 綜合貨幣
Correspondent Bank Name and SWIFT Code (For an overseas bank only) 代理銀行名稱及SWIFT編碼 (只適用於海外銀行)	

NOTE 註：

- Please provide details of the bank account in the name of the account holder to which cash distributions can be paid directly to the designated bank account.
請提供以帳戶持有人名義開立的銀行帳戶資料，以作直接存入現金分派至指定銀行帳戶。
- The designated bank account should enable the account holder to receive cash distributions, including those in the currency of denomination of any new class of units subsequently added to the account with Manulife Hong Kong Series.
帳戶持有人應確保其指定的銀行帳戶可收取現金分派，包括其後在宏利香港系列帳戶加入的任何新單位類別的計價貨幣的現金分派。
- Please attach a copy of the latest account statement addressee section or passbook signature page which confirms the bank account information provided in the table above.
請附上最近之銀行結單收件人部分或存摺簽名頁影印本以確認上表所提供的銀行帳戶資料。
- Any bank charges associated with the payment of cash dividends/distributions will be borne by the account holder.
與支付現金股息/分派有關的任何銀行手續費將由帳戶持有人承擔。
- Payment in RMB is restricted to the class denominated in RMB only.
人民幣支付只適用於以人民幣為計價貨幣的類別。

Applicant Information (Con't) 申請人資料 (續)

Designated Bank Account for Receiving Redemption Proceeds 收取贖回款項的指定銀行帳戶

We request all redemption proceeds in respect of all classes of Manulife Fund to be paid by telegraphic transfer or bank transfer directly to our bank account as follows, unless we specify another bank account in the Redemption Request Form. 吾等要求宏利基金所有類別的所有贖回款項，透過電匯或銀行轉帳直接存入吾等以下的銀行帳戶，除非吾等在贖回表格填寫其他銀行帳戶。

Bank Name 銀行名稱	
Bank Address 銀行地址	
Bank Account Holder's Name (The bank account holder must be the same as the account holder) 銀行帳戶持有人姓名 (銀行帳戶持有人必須與帳戶持有人相同)	
Bank Account Number (including Bank Code, Branch Code, and Account Number) 銀行帳戶號碼 (包括銀行編號、分行編號及帳戶號碼)	For the bank account opened in Hong Kong 在香港開立的銀行帳戶： Bank No. Branch No. Account No. 銀行編號 分行編號 帳戶號碼 □□□ □□□ □□□□□□□□□□□□
Bank Account Currency, please ✓ as appropriate 銀行帳戶貨幣，請✓選適合的貨幣	For the bank account opened outside Hong Kong 在香港以外開立的銀行帳戶： <input type="checkbox"/> HKD 港元 <input type="checkbox"/> USD 美元 <input type="checkbox"/> RMB 人民幣 <input type="checkbox"/> AUD 澳元 <input type="checkbox"/> CAD 加元 <input type="checkbox"/> GBP 英鎊 <input type="checkbox"/> CHF 瑞士法郎 <input type="checkbox"/> EUR 歐元 <input type="checkbox"/> JPY 日圓 <input type="checkbox"/> SGD 新加坡元
Correspondent Bank Name and SWIFT Code (For an overseas bank only) 代理銀行名稱及 SWIFT 編碼 (只適用於海外銀行)	

NOTE 註：

- Manulife Asset Management (Hong Kong) Limited accepts designated bank accounts set up only in jurisdictions that are current members of the Financial Action Task Force ("FATF") as listed in www.fatf-gafi.org/about/membersandobservers. 宏利資產管理(香港)有限公司只接受在打擊清洗黑錢財務行動特別組織的現時成員之司法管轄區內開設的指定銀行帳戶，其成員名單列於 www.fatf-gafi.org/about/membersandobservers。
- Manulife Funds Online Platform after redemption requests acceptance will arrange redemption proceeds deposited only to the relevant designated bank accounts. The option of redemption proceeds payment by cheque or by bank draft is available only in Redemption Request Form. 在宏利基金網上平台的贖回申請被接受後，贖回款項只會存入相關的指定銀行帳戶。以支票或匯票支付贖回款項的選項只在贖回表格內提供。
- Please provide details of the bank account in the name of the account holder to which redemption proceeds can be paid. 請提供以帳戶持有人名義開立的銀行帳戶資料，以作收取贖回款項之用。
- The designated bank account should enable the account holder to receive redemption proceeds in accordance with the duly completed Redemption Request Form. Otherwise, the settlement may be delayed or the payment is in another currency as determined by the receiving bank. 帳戶持有人應確保其指定的銀行帳戶根據填妥的贖回表格收取贖回款項。否則可能導致結算延遲，或由收款銀行決定以其他貨幣付款。
- Please attach a copy of the latest account statement addressee section or passbook signature page which confirms the bank account information provided in the table above. 請附上最近之銀行結單收件人部分或存摺簽名頁影印本以確認上表所提供的銀行帳戶資料。
- Any bank charges associated with the payment of redemption proceeds will be borne by the account holder. 與支付贖回款項有關的任何銀行手續費將由帳戶持有人承擔。
- Payment in RMB is restricted to the class denominated in RMB only. 人民幣支付只適用於以人民幣為計價貨幣的類別。
- Manulife Advanced Fund SPC does not arrange any redemption proceeds to be paid in SGD. 宏利盈進基金 SPC 不會安排以新加坡元支付任何贖回款項。

3. Tax Residence(s) 納稅居住地

Please indicate all jurisdictions in which the Account Holder is a resident for tax purposes and the associated Tax Identification Numbers (TINs) for each tax residence. 請註明帳戶持有人就稅務目的而言屬居民的所有司法管轄區及各納稅居住地的相關納稅識別號碼。

Declaration of U.S. Tax Status 美國稅務身份聲明

Is the Account Holder a Specified U.S. Person or U.S. Person? 帳戶持有人是否為特定美國人士/美國人士？

- Yes 是 – U.S. Federal Taxpayer Identification Number ("TIN") 其美國聯邦納稅識別號碼為：_____
- No 否

Declaration of Tax Residence 納稅居住地聲明

Please indicate the Account Holder's country of tax residence, (if resident in more than one country, please detail all countries of tax residence and associated TIN). 請註明帳戶持有人的納稅居住國 (如居住地超過一個國家，請註明所有納稅居住國及其相關的納稅識別號碼)。

NOTE 註：

- Provision of a TIN is required unless the Account Holder is a tax resident in a jurisdiction that does not issue a TIN. 除非帳戶持有人為不設納稅識別號碼的司法管轄區的稅務居民，否則必須提供納稅識別號碼。
- If the Account Holder is a Hong Kong entity tax resident, the TIN is its Business Registration (BR) number. 若帳戶持有人是香港實體稅務居民，納稅識別號碼是其商業登記號碼。
- If the Account Holder is not a tax resident in any jurisdiction (e.g. due to its fiscal transparency), please provide the place of effective management or country in which its principal office is located. 若帳戶持有人並非任何司法管轄區的稅務居民 (例如基於其財政透明)，請提供其實際管理業務地，或主要辦事處所位處的國家。

Country/Jurisdiction of Tax Residence 納稅居住國/司法管轄區	TIN 納稅識別號碼
1.	
2.	
3.	

4. Classification of Account Holders Under Applicable Tax Regulations 帳戶持有人根據適用稅務法例的分類

Is the Account Holder an Active Non-Financial Entity 帳戶持有人是否有實質業務活動的非金融實體？

- Active Non-Financial Entity – a corporation the stock of which is regularly traded on one or more established securities markets or a corporation which is a related entity of such a corporation
有實質業務活動的非金融實體 – 一家其股票經常於一個或以上認可證券市場買賣的公司，或一家屬於該公司相關實體的公司

Name of the established securities market on which stock is regularly traded
請列明有關認可證券市場的名稱：

If the Account Holder is a related entity of a regularly traded corporation, please provide the name of the regularly traded corporation
若帳戶持有人為一家屬於相關實體的公司，請提供於認可證券市場買賣公司的名稱：

- Active Non-Financial Entity – Governmental entity, Central Bank or International Organisation
有實質業務活動的非金融實體 – 政府實體、中央銀行或國際組織
- Active Non-Financial Entity – others, please specify 有實質業務活動的非金融實體 – 其他，請列明：-----
- If none of the above, please complete the below section A and section B 若以上皆非，請填寫下列A部及B部

A FATCA Classification 外國帳戶稅務遵從法分類

Please ✓ one of the below categories as appropriate 請✓選以下其中一個合適分類：

- a) Reporting FI in an IGA jurisdiction (please provide GIIN below)
跨政府協議司法管轄區內有申報義務的金融機構 (請在下欄提供全球中介機構識別號碼)
- b) Participating Foreign Financial Institution in a non-IGA jurisdiction (please provide GIIN below)
非跨政府協議司法管轄區的參與海外金融機構 (請在下欄提供全球中介機構識別號碼)
- c) Non-Participating Foreign Financial Institution 非參與海外金融機構
- d) Deemed-Compliant Foreign Financial Institution (please provide GIIN below if you are a registered-deemed compliant foreign financial institution or sponsored entity with a GIIN)
視作合規海外金融機構 (倘閣下為已註冊視作合規海外金融機構或具有全球中介機構識別號碼的資助實體，請在下欄提供全球中介機構識別號碼)

For Trustee documented trust or sponsored entity, please provide the name of the trustee or sponsor and associated GIIN:
受託人信託或資助實體，請提供受託人或資助人名稱及相關全球中介機構識別號碼：

Name of trustee(s) or sponsor(s) 受託人或資助人名稱：-----

Global Intermediary Identification Number (GIIN) of the trustee(s) or sponsor(s) 受託人或資助人的全球中介機構識別號碼：

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- e) Exempt Beneficial Owner 獲豁免實益擁有人
- f) Passive Non-Financial Foreign Entity 非實質營運的非金融海外實體
Please complete "Individual/Controlling Person Self Certification Form (FATCA and CRS)"
請填寫「個人/控權人士自行證明書 (FATCA及CRS)」
- g) Others, please specify 其他，請註明：-----

Global Intermediary Identification Number (GIIN) 全球中介機構識別號碼：

GIIN 全球中介機構識別號碼：

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B CRS Classification 共同申報準則分類

Please ✓ one of the below categories as appropriate 請✓選以下合適分類：

- a) Financial Institution – other than a Professionally Managed Investment Entity (e.g. a fund), or a tax resident in a Non-Participating Jurisdiction under CRS
金融機構 – 不包括專業管理投資實體 (例如基金)，或根據共同申報準則為非參與司法管轄區稅務居民等
- b) Professionally Managed Investment Entity, or a tax resident in a Non-Participating Jurisdiction under CRS
專業管理投資實體，或根據共同申報準則為非參與司法管轄區稅務居民
Please complete "Individual/Controlling Person Self Certification Form (FATCA and CRS)"
請填寫「個人/控權人士自行證明書 (FATCA及CRS)」
- c) Passive Non-Financial Entity 非實質營運的非金融實體
Please complete "Individual/Controlling Person Self Certification Form (FATCA and CRS)"
請填寫「個人/控權人士自行證明書 (FATCA及CRS)」

5. Applicant's Declarations and Signature(S) 申請人聲明及簽署

We DECLARE that:-

- a. We confirm that the information on our beneficial owner(s) as provided above is true and correct.
- b.
 - We are not United States Person(s), United States Taxpayer(s), resident(s) of Canada, or entity(ies) organised or incorporated in Canada and/or, as applicant(s) for shares of QFII Funds, Mainland China Person(s) ("Prohibited Person(s)") (applicable to Manulife Advanced Fund SPC);
 - We are not U.S. Person(s) or resident(s) of Canada ("Prohibited Person(s)") (applicable to Manulife Global Fund);
 - We are not US Person(s) or resident(s) of, or entity(ies) organised or incorporated in, Canada ("Prohibited Person(s)") (applicable to Manulife Hong Kong Series);
 - We are not applying for or holding shares/units or otherwise acting on behalf of any Prohibited Person;
 - We agree to promptly notify Manulife Fund and Manulife Asset Management (Hong Kong) Limited if we become a Prohibited Person or hold shares/units or otherwise act on behalf of a Prohibited Person;
 - We understand that Manulife Fund has the right to compulsorily redeem any shares/units held by a Prohibited Person in accordance with the applicable provision(s) of the Prospectus concerned.
- c. We have received and read and understood the latest Hong Kong Offering Document (including the Prospectus, the Hong Kong Covering Document (if applicable) and Product Key Facts), and latest published financial reports of Manulife Fund, and undertake to be bound by the terms of Manulife Fund's Hong Kong Offering Document and Articles of Association/Articles of Incorporation/Trust Deed as amended from time to time.
- d. We acknowledge and understand that the information contained in this form and any reportable account(s) may be reported to the tax authorities of the country/jurisdiction in which this account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which we may be tax resident pursuant to intergovernmental agreements to exchange financial account information.
- e. We have read and understood the provisions of the Prospectus of Manulife Fund in relation to the U.S. Foreign Account Tax Compliance Act ("FATCA") the gathering, storage, use, processing, disclosure and reporting of information provided by us in connection with the satisfaction of any governmental and/or regulatory requirements and/or other legal obligations relating to, but not limited to, information sharing and tax reporting and withholding of payments due to account holders, including pursuant to FATCA and Organization for Economic Cooperation and Development Common Reporting Standard ("CRS"), that which may be applicable to Manulife Fund and/or any Fund from time to time, and agree and undertake to be bound by such terms (as they may be amended from time to time) and to perform all obligations thereunder.
- f. We understand that assets received or held by Manulife Fund are subject to the applicable laws and regulations of relevant overseas jurisdictions which may be different from the Securities and Futures Ordinance (Cap 571, Laws of Hong Kong) and the rules made thereunder. Consequently, such assets may not enjoy the same protection as that conferred on client assets received or held in Hong Kong.
- g. We understand that we may access our personal information and request rectification of any inaccurate, incomplete or incorrect information.

By signing this Account Opening Form and subscribing for shares/units, we acknowledge, consent to and instruct (i) the gathering, retention and processing of any personal data provided in this form (as such information may be updated from time to time) and/or any other information provided by us to Manulife Fund and/or any of its respective delegates and/or any distributor of shares/units and/or any other entity duly designated by Manulife Fund, its administrator and agents for the

吾等聲明：—

- a. 吾等證實以上提供的實益擁有人資料真實及正確。
- b.
 - 吾等並非美國人士，美國納稅人，加拿大居民，或在加拿大組成或註冊成立的實體，及／或申請QFII基金股份的中國內地人士（「受禁制人士」）（適用於宏利盈進基金SPC）；
 - 吾等並非美國人，亦非加拿大居民（「受禁制人士」）（適用於宏利環球基金）；
 - 吾等並非美國人士，亦非加拿大居民或在加拿大組成或註冊成立的實體（「受禁制人士」）（適用於宏利香港系列）；
 - 吾等並無代表任何受禁制人士申請或持有股份／單位或以任何方式行事；
 - 吾等同意一旦吾等成為受禁制人士或代表受禁制人士持有股份／單位或以任何方式行事，當即立刻通知宏利基金或宏利資產管理（香港）有限公司；
 - 吾等明白宏利基金有權根據有關售股章程內的適用條文強制贖回受禁制人士持有的任何股份／單位。
- c. 吾等已收訖、閱畢及知悉宏利基金最新刊發的香港發售文件（包括售股章程、香港說明文件（如適用）及產品資料概要）及最新公布之財務報告，並且接受不時修訂之宏利基金香港發售文件及公司組織章程／信託契約之條款約束。
- d. 吾等確認及明白本表格所載的資料及任何應申報帳戶的資料可能會根據關於與帳戶所在國家／司法管轄區交換財務帳戶資訊之政府間協議申報予吾等所在國家／司法管轄區的稅務機關，並與另一個國家／司法管轄區或若干國家司法管轄區稅務機關交換。
- e. 吾等已閱畢並明白宏利基金售股章程內有關《外國帳戶稅務遵從法》（「FATCA」）的條款，以及關於資料之收集、儲存、使用、處理、披露及申報的條款，而該等資料乃由吾等所提供，旨在遵從任何政府及／或監管規定，及／或履行有關但不限於資料分享、稅務申報、預扣應付帳戶持有人款項之其他法律責任，包括根據 FATCA 及經濟合作與發展組織《共同申報準則》（「CRS」）而不時適用於宏利基金及／或其任何基金之規定，並同意及承諾受該等（不時修訂之）條款所約束以及履行一切相關責任。
- f. 吾等明白宏利基金所收取或持有的資產皆受制於相關海外司法管轄區的適用法律及規例，而該等法律及規例或有別於《證券及期貨條例》（香港法例第 571 章）及其下制定之規則。此等資產因此或不享有於香港收取或持有的客戶資產所享有的相同保障。
- g. 吾等明白吾等可索閱吾等之個人資料，以及可要求更改任何失準、不完整或不正確的資料。

吾等簽署此開戶表格及認購股份／單位，即表示確認、同意及指示(i)宏利基金及／或其任何獲轉授人及／或任何股份／單位分銷商及／或任何由宏利基金、其執行人及代理人合法指定的其他實體收集、保留及處理任何於此表格上提供的個人資料（而此等資料將不時更新），以作備存投資者名冊之用途，從而處理股份／單位認購或贖回，以及(ii)把此等個人資料傳送給或隸屬或不隸屬花旗集團（用於宏利盈進基金SPC及宏利環

purposes of maintaining a register of investors for subscription and redemption of shares/units, and (ii) the transfer of such personal data or information to administrative support providers and processors who may or may not be part of Citigroup (for Manulife Advanced Fund SPC and Manulife Global Fund) or BOCI-Prudential Trustee Limited (for Manulife Hong Kong Series), located outside Hong Kong, where the transfer is necessary for the maintenance of records or administration of the personal data or information.

- h. We agree to inform Manulife Fund and Manulife Asset Management (Hong Kong) Limited within 30 days in writing of any change in (i) the particulars of the applicant(s) in this form; (ii) the personal particulars of any persons in this form and/or (iii) other information provided by us in this form or any other document(s).
- i. We understand that the provision of information in this form is voluntary. However, if we fail to provide the information, our application will not be accepted.
- j. We acknowledge and agree that the personal information collected from us in this form, together with any subsequent alterations or supplements to it, is being collected on behalf of Manulife Asset Management (Hong Kong) Limited. We further acknowledge and confirm that we have received and read the Personal Information Collection Statement attached as Schedule I to the Client Agreement entered into between us and Manulife Asset Management (Hong Kong) Limited (the "Client Agreement") (as amended from time to time). We understand and agree that the personal information collected from us in this form, together with any subsequent alterations or supplements to it, can be used and/or transferred to any of the transferees in accordance with any of the uses and purposes (including in relation to direct marketing) as described in the Personal Information Collection Statement.
- k. (Applicable to Manulife Global Fund investors only) We acknowledge that the Manulife Global Fund has issued a Privacy Notice regarding the collection, recording, adaptation, transfer and other processing and use of personal data by and on behalf of such Manulife Fund, in accordance with the Luxembourg Law of 2 August 2002 on the Protection of Persons with regard to the Processing of Personal Data (as amended), the European Regulation (EU) 2016/679 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (General Data Protection Regulation) and any other EU or national legislation which implements or supplements the foregoing. Such Privacy Notice sets out the types of personal data that may be processed, to whom such personal data may relate and how it may be sourced, and the relevant parties who may process or receive such personal data and for what purposes, and otherwise explains certain policies and practices that have been put in place to ensure the privacy of such personal data. The Privacy Notice further describes the rights of Shareholders to request: (i) access to their personal data, (ii) the rectification or erasure of their personal data, (iii) the restriction of the processing of their personal data, and (iv) the transfer of their personal data to third parties; as well as the right of Shareholders to lodge a complaint in relation to data protection related issues with the relevant supervisory authority, the right to withdraw their consent on the processing of personal data and the right to object to the processing of their personal data.

We further acknowledge that we may access the Privacy Notice at any time under "Privacy Notice" on the website www.manulifeglobalfund.com and that we have read and understood such Privacy Notice.

We understand that we will be duly informed by the Manulife Global Fund of any change in relation to its Privacy Notice at least one month prior to the implementation of such change.

NOTE: Shares/Units will be issued in non-certificated registered form.

球基金)或中銀國際英國保誠信託有限公司(用於宏利香港系列)、處於香港以外的行政支援服務商及處理人, 而因備存紀錄或管理個人資料所需, 有必要傳送該等資料或訊息。

- h. 吾等茲同意(i)吾等在表格內所提及的申請人資料;(ii)本表格內所提及的任何人的個人資料及/或(iii)吾等於本表格或任何其他文件提供的其他資料如有任何變動, 吾等當於三十天內以書面通知宏利基金及宏利資產管理(香港)有限公司。
- i. 吾等明白於本表格上提供資料乃屬自願性質。倘吾等未能提供有關資料, 則吾等之申請將不獲接納。
- j. 吾等確認及同意從吾等在本表格上收集的個人資料及日後之任何改動或補充, 乃代表宏利資產管理(香港)有限公司所收集。吾等進一步確認及確定, 吾等已收訖及閱畢與宏利資產管理(香港)有限公司簽定的客戶協議中, 附表一所載的個人資料收集聲明(「客戶協議」)(不時作出修訂)。吾等理解及同意從吾等在本表格上收集的個人資料及日後之任何改動或補充, 可根據個人資料收集聲明內所描述的使用及目的(包括直接促銷)被使用及/或轉交予任何受讓人。
- k. (只適用於宏利環球基金的投資者) 吾等確認宏利環球基金已根據盧森堡個人資料保障法例、歐洲聯盟(「歐盟」)就處理個人資料及有關資料自由流通的個人保障之《通用數據保障條例》及任何其他歐盟或國家相關法例發出其私隱通知以說明宏利環球基金或以其名義對個人資料進行收集、記錄、改編、轉移、其他處理方式及使用。該私隱通知列明有可能被處理的個人資料之種類、相關的個人資料、如何收集個人資料、有可能處理或收取個人資料的有關人士、處理資料的目的及闡述某些確保個人資料私隱的政策及措施。該私隱通知進一步描述投資者有權利要求:(i)查閱其個人資料,(ii)修改或刪除其個人資料,(iii)限制處理其個人資料及(iv)資料轉移至第三方。投資者亦擁有向相關資料保障機構投訴涉及資料保障事宜的權利、撤回其同意的權利及反對處理的權利。

吾等進一步確認吾等可隨時於www.manulifeglobalfund.com內的「私隱通知」索閱宏利環球基金之私隱通知, 吾等已閱讀及明白該私隱通知。

吾等明白如宏利環球基金之私隱通知有任何改變, 宏利環球基金須於該等變更生效前至少一個月向吾等發出通知。

備註: 股份/單位會以記名無證書形式發出。

Applicant's Signature 簽署:

X

Authorised Signatory(ies) and Company Stamp of the Corporate Holder/Unincorporated Holder Applicant
法團/非法團體持有之獲授權簽署人簽署及公司印章

Date 日期:

DD日/MM月/YYYY年

Witness 見證人

Signature of witness 見證人簽署：

Date 日期：

X

Name of witness 見證人姓名：

Position of witness 見證人職位：

DD日/MM月/YYYY年

(Witness' SFC Licensed Person CE Number/Other Licensed Person Number):
(見證人之證監會持牌人/其他持牌人編號)：

**6. SFC Licensed Person/Other Licensed Person* Information (if applicable)
證監會持牌人/其他持牌人* 資料 (如適用)**

Manulife Agent Code 宏利代理人編號：

Name of SFC Licensed Person/Other Licensed Person
證監會持牌人/其他持牌人姓名：

SFC Licensed Person CE Number/Other Licensed Person Number
證監會持牌人/其他持牌人編號：

* Please specify the type of licence 請註明牌照類別：

Third Party Certification 第三者認證

(This certification must be completed where the applicant does not sign this form in the presence of a staff member or Manulife Investment Funds Intermediary of Manulife Asset Management (Hong Kong) Limited. Where this applies, a suitable certifier[#] must (a) witness the signature(s) in this form by the applicant; (b) certify respective copies of the applicant's documents and other required documents of the applicant in accordance with the "Required Documents Checklist for Company Client" against production of the originals; and (c) complete the certification below. The certified copies must be returned with this form. Self-certification by the applicant is insufficient.

若申請人並非在宏利資產管理(香港)有限公司之職員或宏利投資基金中介人見證下簽署本表格，則須填妥本認證。在此情況下，一位適合的證明人[#]必須(a) 見證申請人簽署本表格；(b) 在申請人出示「公司客戶需提供之文件核對清單」所指定申請人之證明文件及其他所需文件之正本時，認證有關文件之副本為認證副本；及(c) 填妥本認證。有關文件之認證副本必須與本表格一同遞交。申請人自行認證不足以符合此要求。

[#] Please refer to the point 1 of the "Notes and Instructions". 請參考「備註及指引」的第1項。

I hereby certify that the applicant has signed this form in my presence and that I have seen the originals of the applicant's document(s) and other required document(s) of the applicant, certified true copies of which are required to be, and which are, enclosed with this form.

本人證明申請人在本人見證下簽署本表格。本人並已親自檢視申請人之證明文件及其他所需文件之正本，證明所須及現時隨附於本表格之文件副本為經認證真實副本。

Signature or Company Stamp of the Certifier
證明人之簽署或公司印章

Name 姓名

X

Position/Registration Status 職位/註冊狀況

Certified this on 謹於本日期作此證明

DD日/MM月/YYYY年

For office use and checker's sign off
本公司專用，核實者簽名

Notes and Instructions 備註及指引

1. General Information 一般資料

- Manulife Fund reserves the right to reject an application in whole or in part, if the application and required documents are incomplete or invalid. Applicant is recommended to contact Manulife Asset Management (Hong Kong) Limited to ascertain the documents required for account opening. 若申請及所需文件不完整或無效，宏利基金保留權利拒絕全部或部份申請。建議申請人聯絡宏利資產管理（香港）有限公司以確認所需之開戶文件。
- Suitable certifiers to certify copies of documents include a staff member or Manulife Investment Funds Intermediary of Manulife Asset Management (Hong Kong) Limited, a qualified intermediary (such as a bank branch manager, a certified public accountant, a lawyer, or a notary public), a Justice of the Peace, a member of the judiciary, or an officer of an embassy, consulate or high commission of the country of issue of documentary verification of identity. Self-certification by the applicant is insufficient. 認證文件副本的適合的證明人包括宏利資產管理（香港）有限公司之職員或宏利投資基金中介人、合資格中介人（如銀行分行經理、執業會計師、律師或公證人）、太平紳士、司法人員、或發出身份核實文件的國家的大使館、領事館或高級專員公署的人員。申請人自行認證不足以符合此要求。

2. Facsimile Instruction 傳真發出指示

- Manulife Advanced Fund SPC 宏利盈進基金SPC: If the box "Instructions by Facsimile" is ticked, account holders may give instructions of redemption, switching and subsequent subscription by facsimile, at their own risk, without the need to send the originals. Otherwise, any redemption, switching and subsequent subscription instruction must be received in original. 若已剔選「以傳真發出指示」，帳戶持有人可以傳真發出贖回、轉換及其後認購的指示，而毋須提交正本，惟須自行承擔有關風險；否則，任何贖回、轉換及其後認購的指示必須提交正本。
- Manulife Global Fund 宏利環球基金: If the box "Instructions by Facsimile" is ticked, account holders may give instructions of redemption, switching and Manulife Direct Saver update or cancellation by facsimile, at their own risk, without the need to send the originals. Otherwise, the originals must be sent to Manulife Asset Management (Hong Kong) Limited right after the facsimile instruction. For subsequent subscription, account holders may give instruction by facsimile, at their own risk, without the need to send the original. 若已剔選「以傳真發出指示」，帳戶持有人可以傳真發出贖回、轉換及更新或取消宏利投資儲蓄計劃的指示，而毋須提交正本，惟須自行承擔有關風險；否則，必須在發出傳真指示後，向宏利資產管理（香港）有限公司提供正本。就隨後認購，帳戶持有人可以傳真提交指示，而毋須正本，惟須自行承擔有關風險。
- Manulife Hong Kong Series 宏利香港系列: If the box "Instructions by Facsimile" is ticked, account holders may give instructions of redemption and switching by facsimile, at their own risk, without the need to send the originals. Otherwise, the originals must be sent to Manulife Asset Management (Hong Kong) Limited right after the facsimile instruction. For subsequent subscription and Manulife Direct Saver update or cancellation, account holders may give instruction by facsimile, at their own risk, without the need to send the original. 若已剔選「以傳真發出指示」，帳戶持有人可以傳真發出贖回及轉換的指示，而毋須提交正本，惟須自行承擔有關風險；否則，必須在發出傳真指示後，向宏利資產管理（香港）有限公司提供正本。就其後認購及更新或取消宏利投資儲蓄計劃，帳戶持有人可以傳真提交指示，而毋須正本，惟須自行承擔有關風險。
- Please use the prescribed forms available on website. 請使用網站提供之指定表格發出指示：www.manulife.com.hk
- No responsibility will be accepted by Manulife Fund or Manulife Asset Management (Hong Kong) Limited for any loss arising from applications sent by facsimile to, but not received by, Manulife Fund or Manulife Asset Management (Hong Kong) Limited. Manulife Fund may, in its absolute discretion, refuse to act upon any facsimile instructions purportedly given by the account holder or on the account holder's behalf and may require original written instructions instead. Manulife Fund is not obliged to verify the authority or identity of the person giving such instructions as long as it in good faith believes that person to be the account holder or someone authorized by the account holder. 宏利基金或宏利資產管理（香港）有限公司均不就以傳真發出而宏利基金或宏利資產管理（香港）有限公司未收到之申請引致之任何損失承擔任何責任。宏利基金可全權酌情決定拒絕按照聲稱由帳戶持有人或代表帳戶持有人發出之任何傳真指示行事，並可要求出示原文書面指示。只要宏利基金真誠地相信發出該等指示者為帳戶持有人或獲帳戶持有人授權之人士，則並無義務審核該等人士的授權或身份。
- Please refer to the Offering Documents of relevant Manulife Fund for the dealing procedures. 有關交易程序，請參閱有關宏利基金發售文件。

3. Dividend/Distribution Option 股息/分派選擇

- The Dividend/Distribution Option selected in this form or last submitted Change of Record Form shall apply to future dividends/distributions payable in respect of the shares/units of all classes held in the same holder account. 在此表格或最後遞交的記錄更新表格中所作的股息/分派選擇，會適用在同一帳戶內持有之所有類別的股份/單位。
- No dividend will be declared and distributed in respect of all classes of QFII Funds under the current policy of Manulife Advanced Fund SPC. 按宏利盈進基金SPC的現行政策，所有QFII基金類別將不會宣派股息。

4. Provision and Update of Information 提供及更新資料

- For regulatory or compliance purposes, including but not limited to anti-money laundering and counter-terrorist financing ("AML/CTF"), FATCA and CRS, account holders are required to notify Manulife Asset Management (Hong Kong) Limited any changes of particulars (e.g. change of address and change of name) and furnish to Manulife Asset Management (Hong Kong) Limited the requisite supporting documents for verification. Account holders may be required to provide further documents (including but not limited to identification documents) to Manulife Asset Management (Hong Kong) Limited from time to time. Failure to notify Manulife Asset Management (Hong Kong) Limited on such changes or failure to provide the requisite documents may result in delays in executing any dealing instructions or redemption requests from the account holders, who have the responsibility to bear any possible losses arising from such delays. 基於遵守有關規管或合規要求（包括但不限於防止洗黑錢及防止恐怖份子籌資、《外國帳戶稅務遵從法》及經濟合作與發展組織《共同申報準則》），帳戶持有人必須就任何資料變動（如地址及名稱變動）通知宏利資產管理（香港）有限公司，並向宏利資產管理（香港）有限公司提供必要的證明文件以核實資料。帳戶持有人或須不時按公司向宏利資產管理（香港）有限公司提供額外資料（包括但不限於身份證明文件）。若無法通知宏利資產管理（香港）有限公司任何變動或無法提供必要文件，可能引致延遲執行帳戶持有人之交易指示或贖回要求，而帳戶持有人須就有關延遲可能引致的任何損失承擔責任。
- In addition, Manulife Fund is obliged to identify the source of the funds received from a financial institution which is not subject to a compulsory identification procedure equivalent to that required under the laws of Luxembourg for Manulife Advanced Fund SPC and Manulife Global Fund, and laws of Hong Kong for Manulife Hong Kong Series. Dealing may be temporarily suspended until identification of the source of the funds is provided. It is generally accepted that member jurisdictions and organizations of the Financial Action Task Force ("FATF/GAFI") are deemed to have an identification obligation equivalent to that required by the laws of Luxembourg and/or Hong Kong. 除此之外，對於來自其他並未有如應用於宏利盈進基金SPC及宏利環球基金的盧森堡法律及/或應用於宏利香港系列的香港法律所要求的強制核實身份程序的金融機構的資金，宏利基金有責任核實資金來源。交易可能會暫緩執行，直至申請人能提供資金來源證明為止。通常受打擊清洗黑錢財務行動特別組織（「FATF/GAFI」）認可的司法管轄區和組織成員，皆會被視為會負責進行如同盧森堡及/或香港法律所要求之核實身份程序。

5. Required Documents Checklist 需提供之文件核對清單

- The applicant should provide all the required documents as stated in the attached checklist and take note of the following: 申請人須提供附加清單內所述之全部所需文件，並注意以下事宜：
- The company search report or certificate of incumbency issued in the place of incorporation/registration within the last 6 months from the date of this application must be certified by the issuing company registry or the applicant's registered agent or a suitable certifier. 由註冊/登記地在本申請簽署日期前六個月內發出的公司查冊報告或職權證明書（現任職位證明書），並須經簽發的公司註冊處或申請人的註冊代理人或適合的證明人認證。
- The residential address proof should be issued within the last 3 months from the date of signing this form and may include a bank statement, utility bill, telecommunications invoice, government notice, account statement from a regulated financial institution or any other document acceptable to MAMHK. 住址證明須在本表格簽署日期前三個月內發出，可包括銀行結單、公用事業帳單、電訊服務帳單、政府通知、受規管金融機構發出的戶口結單或獲「宏利資產管理（香港）」接納的其他文件。
- Suitable certifiers to certify copies of documents include a staff member or Manulife Investment Funds Intermediary of MAMHK, a qualified intermediary (such as a bank branch manager, a certified public accountant, a lawyer, or a notary public in a FATF member jurisdiction), a Justice of the Peace, a member of the judiciary, or an officer of an embassy, consulate or high commission of the country of issue of documentary verification of identity. Self-certification by the applicant is insufficient. 適合認證文件副本的證明人包括「宏利資產管理（香港）」之職員或宏利投資基金中介人、合資格中介人（如銀行分行經理、執業會計師、律師或公證人，並隸屬於特別組織的成員的司法管轄區）、太平紳士、司法人員、或發出身份核實文件的國家的大使館、領事館或高級專員公署的人員。申請人自行認證不足以符合此要求。
- The certifier must sign and date the copy document (printing his/her name clearly in capitals underneath) and clearly indicate his/her position or capacity on it. The certifier must state that it is a true copy of the original (or words to similar effect). 證明人必須在文件的複本上簽署並寫上日期（在下方以大楷清楚列示其姓名），並於當中清楚註明其職位或身分。證明人必須說明該複本文件為正本文件的真確複本（或具類似效力的字詞）。
- Please note that there may be additional document(s) required subject to the ownership structure. 因應不同的擁有權結構，申請人可能需要額外遞交文件。

Please return the completed and signed form to Manulife Asset Management (Hong Kong) Limited
請把填妥及簽署的表格交回宏利資產管理（香港）有限公司

Address 地址： 23/F., Manulife Tower, One Bay East, 83 Hoi Bun Road, Kwun Tong, Kowloon, Hong Kong
香港九龍觀塘海濱道83號宏利大樓23樓

Telephone 電話：(852) 2108 1110 Facsimile 傳真：(852) 2810 9510 Website 網址：www.manulife.com.hk

Corporate Holder Applicant 法團申請人

Please provide the following documents:

請提供以下文件：

- A list of all the existing shareholders, directors and beneficial owners including their full names, nationalities and the effective dates of their current shareholdings/directorships/beneficial ownerships
現時所有的股東、董事及實益擁有人名單。該名單記錄了股東及董事的全名、國籍及他們現時的股東／董事／實益擁有人身份的生效日期
- Certified true copy of the company search report or certificate of incumbency issued in the place of incorporation/registration within the last 6 months from the date of this application must be certified by the issuing company registry or the applicant's registered agent or a suitable certifier. That report or certificate confirms the current directors and shareholders, registered office address, and other details
由註冊／登記地在本申請簽署日期前六個月內簽發的公司查冊報告或職權證明書的認證副本（現任職位證明），並須經簽發的公司註冊處或申請人的註冊代理人或適合的證明人認證。該報告或證明書確認現時的董事及股東姓名、註冊辦事處地址及其他詳情
- Certified true copies of Certificate of Incorporation, Business Registration, and Memorandum and Articles of Association
公司註冊證書、商業登記證及組織章程大綱及細則的認證副本
- Certified true copy of the board resolution approving the applicant to enter into the client agreement with MAMHK and open shareholder account(s) with mutual fund(s) being distributed by MAMHK and conferring authority on the authorized signatory(ies) to sign the client agreement and the account opening form(s) and to operate the account(s)
董事會決議書認證副本——核准申請人與「宏利資產管理（香港）」訂立客戶協議、開立「宏利資產管理（香港）」經銷之互惠基金股東帳戶，以及授權簽署人簽署客戶協議、帳戶申請表格及操作帳戶
- A signatory list recording the names, dates of birth, Hong Kong Permanent Identity Card/passport numbers, nationalities and specimen signatures of the authorized signatories whose identities and authority to act have been confirmed in the certified true copy of the board resolution (or equivalent written authority) or certified by an independent and suitable certifier acceptable to MAMHK
顯示獲授權簽署人的姓名、出生日期、香港永久居民身份證／護照號碼、國籍及簽署式樣的名單，而有關獲授權簽署人的身份及行事權限已經由董事會決議案（或等同授權書）的認證副本確認，或已經由獨立及「宏利資產管理（香港）」接受的適合證明人核證
- (For a corporate holder applicant having a shareholder that is not a natural person) A group/ownership chart* endorsed/signed by directors showing details of the ownership and control structure and the identification of the ultimate beneficial owner(s). It should also include company name, place of incorporation and the rationale behind the particular structure employed.
(就擁有非自然人股東的法團申請人而言) 經董事背書／簽署的集團／擁有權架構表*，以顯示擁有權及控制權結構詳情及最終實益擁有人的身份識別；該架構表需要包括公司名稱、註冊地點及所採用的特定結構的基本理據。
* The group/ownership chart should show the percentages of shareholding/ownership/control, full names of all the group entities and the place of incorporation/registration and place of business of each group entity. It should be declared by a director incorporating or annexing an ownership chart describing the intermediate layers.
* 集團／擁有權架構表需列出持股／擁有權／控制權百分比、所有集團實體之全名、和每一集團實體之註冊／登記地點及業務地點。該架構表需由董事聲明並附上描述中介層擁有權圖表。
- Certified true copies of the Hong Kong Identity Card and/or photo page of the passport of:
以下人士的香港身份證及／或護照相片頁的認證副本：
 - (a) All board of directors including the managing director
所有董事會董事包括常務董事
 - (b) beneficial owners who are natural persons:
自然人實益擁有人：
 - (i) holding the voting rights/capital
擁有表決權／股本的個人
 - (ii) exercise ultimate control over the management
行使對管理最終控制權的個人
 - (iii) on whose behalf a transaction or activity is conducted in the account, e.g. clients/employees
由此帳戶代其進行交易或活動的個人，例如客戶／僱員
 - (c) two directors or more including the managing director (if they are different from the beneficial owners)
兩位或以上董事包括常務董事（若他們並非實益擁有人）
 - (d) authorized signatory(ies) who sign the client agreement and the account opening form(s) and operate the account(s)
簽署客戶協議、帳戶申請表格及操作帳戶的授權簽署人
- Certified true copies of residential address proof of
以下人士的住址證明的認證副本
 - (i) all board of directors including the managing director
所有董事會董事包括常務董事
 - (ii) all beneficial owners who are natural person holding 25% or more of the voting rights or share capital
每一位自然人實益擁有人擁有25%或以上的表決權／資本／利潤

- (iii) any individual who exercises ultimate control over the management of the corporation
行使對管理最終控制權的個人
- (iv) all authorized signatories acting on behalf of the corporation to sign the account opening form and other dealing instructions
帳戶申請表格及操作帳戶的授權簽署人

- A duly completed Form W-8BEN-E
填妥的 W-8BEN-E 表格
- Copy of latest audited financial statements
最新經審核的財務報告

Unincorporated Holder Applicant 非法團團體申請人

Please provide the following documents:

請提供以下文件：

(Applicable to partnership and other unincorporated body applicant)

(適用於合夥及其他非法團團體申請人)

- A list of all the existing partners/controllers including their full names, nationalities and the effective dates of their current partnerships/controls
現時所有的合夥人名單。該名單記錄了合夥人／控制人的全名、國籍及他們現時的合夥人／控制人身份的生效日期
- Certified true copy of the partnership agreement/constitution, where applicable
合夥協議書／組織章程（如適用）的認證副本
- A written confirmation in respect of the applicant to enter into the client agreement with MAMHK and open shareholder account(s) with mutual fund(s) being distributed by MAMHK and conferring authority on the authorized signatory(ies) to sign the client agreement and the account opening form(s) and to operate the account(s)
申請人與「宏利資產管理（香港）」訂立客戶協議、開立宏利資產管理（香港）經銷之互惠基金股東帳戶，以及授權簽署人簽署客戶協議、帳戶申請表格及操作帳戶等之書面確認
- A signatory list recording the names, dates of birth, Hong Kong Permanent Identity Card/passport numbers, nationalities and specimen signatures of the authorized signatories whose identities and authority to act have been confirmed in the certified true copy of the written confirmation (or equivalent written authority) or certified by an independent and suitable certifier acceptable to MAMHK
顯示獲授權簽署人的姓名、出生日期、香港永久居民身份證／護照號碼、國籍及簽署式樣的名單，而有關獲授權簽署人的身份及行事權限已經由確認書（或等同授權書）的認證副本確認，或已經由獨立及「宏利資產管理（香港）」接受的適合證明人核證
- (For an unincorporated holder applicant having a partner/controller that is not a natural person) A group/ownership chart* showing details of the current ownership and control structure and the identification of the ultimate beneficial owner(s). It should also include company name, place of incorporation and the rationale behind the particular structure employed.
(就擁有非自然人合夥人／控制人的非法團團體申請人而言) 集團／擁有權架構表*，以顯示擁有權及控制權結構詳情及最終實益擁有人的身份識別；該架構表需要包括公司名稱、註冊地點及所採用的特定結構的基本理據。
* The group/ownership chart should show the percentages of shareholding/ownership/control, full names of all the group entities and the place of incorporation/registration and place of business of each group entity. It should be declared by a director incorporating or annexing an ownership chart describing the intermediate layers.
* 集團／擁有權架構表需列出持股／擁有權／控制權百分比、所有集團實體之全名、和每一實體之註冊／登記地點及業務地點。該擁有權架構表需由董事聲明，其中包含或附上描述中間層的所有權圖表。
- Certified true copies of the Hong Kong Identity Card and/or photo page of the passport of:
以下人士的香港身份證及／或護照相片頁的認證副本：
 - (a) All board of directors including the managing director
所有董事會董事包括常務董事
 - (b) beneficial owners who are natural persons
自然人實益擁有人
 - (i) holding the voting rights/capital or exercise ultimate control over the management
擁有表決權的／股本或行使對管理最終控制權的個人
 - (ii) on whose behalf a transaction or activity is conducted in the account, e.g. clients/employees
由此帳戶代其進行交易或活動的個人，例如客戶／僱員
 - (c) two directors or more including the managing director (if they are different from the beneficial owners)
兩位或以上董事包括常務董事（若他們並非實益擁有人）
 - (d) authorized signatory(ies) who sign the client agreement and the account opening form(s) and operate the account(s)
簽署客戶協議、帳戶申請表格及操作帳戶的授權簽署人
- Certified true copies of residential address proof of each of the beneficial owners who are natural persons
每一位自然人實益擁有人的住址證明的認證副本
- A duly completed Form W-8BEN-E
填妥的 W-8BEN-E 表格

Additional Documents Required for Applicant Acting As Trustee 申請人以受託人身份所需提供的額外文件

Please provide the following documents:

請提供以下文件：

- Certified true copies of the trust deed, declaration of trusts or legal documents that evidence the existence and good standing of the legal arrangement
信託契據、信託聲明書或證明有關法律安排存在及存續之法律文件的認證副本
- Certified true copies of the Hong Kong Identity Card and/or photo page of the passport and residential address proof of the beneficial owners of the trust. i.e. natural persons who are:
以下信託的自然人實益擁有人的香港身份證及／或護照相片頁及住址證明的認證副本：
 - (a) a beneficiary entitled to a vested interest in 10% or more of the property of the trust
有權享有10%或以上的信託財產的既得權益的受益人
 - (b) a settlor or a protector of the trust
該信託的財產授予人或保護人
 - (c) a person exercising ultimate control over the trust
行使對該信託的最終控制權的個人
- A written confirmation by the trustee about the identification information of the known beneficiaries of the trust, i.e. persons or a class of persons who can, from the terms of the trust instrument, be identified as having a reasonable expectation of benefiting from the trust capital or income
受託人簽發、關於信託的已知受益人的身份證明資料的確認書。已知受益人指根據信託文書的條款，被識別為在合理預期中可從信託資金或收益中獲益的人士或該類別人士
- A duly completed Form W-8BEN-E/W-8IMY
填妥的 W-8BEN-E/W-8IMY 表格
- The identification number (if any) granted by any applicable official bodies (e.g. registered charity number)
由官方機構發出的識別編號(如有)(例如：註冊慈善機構編號)