

Thank you for your continued interest in Rakuten Securities Bullion Hong Kong Limited (“Rakuten Securities Bullion”). On review of your application, Rakuten Securities Bullion has determined that you may fall into the designation of a Politically Exposed Person (“PEP”).

感謝您一直以來對樂天證券金業香港有限公司（“樂天證券金業”）感興趣。在審查您的申請後樂天證券金業確定，您可能被視為政治人物（“PEP”）。

A PEP can be defined as one or more of the following:

政治人物可以被定義為下列一項或多項：

- a head of state or government, minister and deputy or assistant minister;  
國家或政府元首、部長及副部長或助理部長；
- a senior politician;  
資深從政者；
- a member of the executive council of government or member of legislature or parliament;  
政府的行政會議成員或立法會或議會成員；
- an ambassador or an ambassador’s attaché or counselor;  
大使或大使的隨員或輔導員；
- a military officer with a rank of General, equivalent or above;  
職級等同上將或以上的軍官；
- a senior executive of a state-owned corporation;  
國有企業的高級行政人員；
- an important political party official;  
重要政黨幹事；
- a head of a government agency; or  
政府機構元首；或
- members of courts or of other high level judicial bodies whose decisions are not generally subject to further appeal.  
法院或其他高級司法機構成員，其裁決一般不會受到進一步上訴。

The definition also includes the following family members and associations of such an individual:

該定義同時包括該個人的下列家庭成員及夥伴：

- the spouse or common-law partner of such an individual;  
該個人的配偶或普通法伴侶；
- a child of such an individual;  
該個人的子女；
- the mother or father of such an individual;  
該個人的母親或父親；
- the mother or father of such individual’s spouse or common-law partner;  
該個人配偶或普通法伴侶的母親或父親；
- a brother, sister, half-brother or half-sister of such individual; or  
該個人的兄弟、姐妹、同父異母或同母異父的兄弟或姐妹；或
- any individual publicly or otherwise known to be a close personal or professional associate of the individual.  
任何個人公開或以其他方式為該個人密切的私人的或專業夥伴。

In respect to above criterion, are you or any individual associated with the Rakuten Securities Bullion trading account now, or have ever met the above criterion for a politically exposed person?  YES  NO

根據上述的標準，您或任何與樂天證券金業的交易賬戶有聯繫的個人，是否現在或曾經符合上述政治人物的標準？  
 是  否

If you answered yes, please complete the following information.  
如果您回答是，請填寫以下資料。

1. The Office(s) or position(s) in respect of which the individual is determined to be a politically exposed person\*:  
被確定為政治人物的個人所涉及的職務或職位\*：

Office/Position Held 職務/職位	Jurisdiction 職權	When Held (DD/MM/YY to DD/MM/YY) 在職年期 (日/月/年至日/月/年)
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2. Source of Wealth of the account holder:  
賬戶持有人的財富來源

3. Source of Funds used to fund account:  
注資賬戶的資金來源

4. Please describe the purpose of the account and what the expected volume of the account will be:  
請描述賬戶的目的以及賬戶的預期交易量

Signature: \_\_\_\_\_  
簽署

Signature: \_\_\_\_\_  
簽署

Name: \_\_\_\_\_  
姓名

Name: \_\_\_\_\_  
姓名

Date: \_\_\_\_\_  
日期

Date: \_\_\_\_\_  
日期

\* If corporate account, please provide two signatures and titles.  
\* 如為公司賬戶，請提供兩個簽署及頭銜