

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”).

感谢您一直以来对乐天证券金業香港有限公司（“乐天证券金業”）感兴趣。在审查您的申请后乐天证券金業确定，您可能被视为政治人物（“PEP”）。

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

政治人物可以被定义为下列一项或多项：

- a head of state or government, minister and deputy or assistant minister;
国家或政府元首·部长及副部长或助理部长；
- a senior politician;
资深从政者；
- a member of the executive council of government or member of legislature or parliament;
政府的行政会议成员或立法会或议会成员；
- an ambassador or an ambassador’s attaché or counselor;
大使或大使的随员或辅导员；
- a military officer with a rank of General, equivalent or above;
职级等同上将军或以上的军官；
- a senior executive of a state-owned corporation;
国有企业的高级行政人员；
- an important political party official;
重要政党干事；
- a head of a government agency; or
政府机构元首；或
- members of courts or of other high level judicial bodies whose decisions are not generally subject to further appeal.
法院或其他高级司法机构成员·其裁决一般不会受到进一步上诉。

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

该定义同时包括该个人的下列家庭成员及伙伴：

- the spouse or common-law partner of such an individual;
该个人的配偶或普通法伴侣；
- a child of such an individual;
该个人的子女；
- the mother or father of such an individual;
该个人的母亲或父亲；
- the mother or father of such individual’s spouse or common-law partner;
该个人配偶或普通法伴侣的母亲或父亲；
- a brother, sister, half-brother or half-sister of such individual; or
该个人的兄弟·姐妹·同父异母或同母异父的兄弟姐妹；或
- any individual publicly or otherwise known to be a close personal or professional associate of the individual.
任何个人公开或以其他方式为该个人密切的私人的或专业伙伴。

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

根据上述的标准，您或任何与乐天证券金業的交易账户有联系的个人，是否现在或曾经符合上述政治人物的标准？
 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:
帳戶持有人的財富來源

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

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

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.
* 如為公司帳戶，請提供兩個簽署及頭銜