

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业香港有限公司（“乐天证券金业”）感兴趣。在审查您的申请后乐天证券金业确定，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或姐妹；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业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，请填写以下资料。

1. The Office(s) or position(s) in respect of which the individual is determined to be a politically exposed person\*:  
被确定为政治人物的个人所涉及的职务或职位\*：

Office/Position Held 职务/职位	Jurisdiction 职权	When Held (DD/MM/YY to DD/MM/YY) 在职年期 (日/月/年 至 日/月/年)
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2. Source of Wealth of the account holder:  
账户持有人的财富来源

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3. Source of Funds used to fund account:  
注资账户的资金来源

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4. Please describe the purpose of the account and what the expected volume of the account will be:  
请描述账户的目的以及账户的预期交易量

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Signature: \_\_\_\_\_  
签署

Signature: \_\_\_\_\_  
签署

Name: \_\_\_\_\_  
姓名

Name: \_\_\_\_\_  
姓名

Date: \_\_\_\_\_  
日期

Date: \_\_\_\_\_  
日期

\* If corporate account, please provide two signatures and titles.  
\* 如为公司账户，请提供两个签署及头衔