



# 五礦金融服務有限公司

MINMETALS FINANCIAL SERVICES LIMITED

根據《證券及期貨條例》就第2、5類受規管活動獲發牌的持牌法團CE編號BMV692

A corporation licensed for Type 2 and 5 regulated activities under the Securities and Futures Ordinance with CE no. BMV692

香港上環干諾道中168-200號信德中心招商局大廈17樓01及18B室  
Room1701 & 1718B, 17/F, Shun Tak Centre (China Merchants Tower),

No.168-200 Connaught Road Central, Sheung Wan, Hong Kong

電話Tel (852) 2856 0118 傳真Fax (852) 2856 3011

## 開戶表格 ACCOUNT OPENING INFORMATION FORM

### 企業帳戶 CORPORATION ACCOUNT

客戶名稱 Client Name				
客戶號碼 Client Number		開戶日期 Account Opening Date		DD-MM-YYYY
根據證券及期貨事務監察委員會之持牌人或註冊人操守準則，請提供以下資料： In accordance with the Code of Conduct for Persons Registered with The Securities and Futures Commission, please kindly provide the following information: 請於適當的選擇旁加上“✓” Please “✓” on the appropriate choice. * 刪除不適用 Delete if not applicable.				
<b>帳戶資料 - Account Information</b>				
中文名稱:				
Name in English:				
註冊/成立地點 Country of incorporation /Establishment		業務性質 Type of Business		
香港商業登記編號 Business Registration No.		在註冊地的註冊編號 Registered no. in country of Incorporation/establishment		
註冊辦事處地址 Registered office				
營業地址(如有異於上述): Business address (if different):				
公司聯絡電話 Office Contact Tel. No.		公司電郵地址 Office E-mail address		
1. 帳單透過以下方式發送 (只選擇一項) Statements will be sent by the following means (select one): <input type="checkbox"/> 電郵方式 By email (可豁免行政費 Administrative Fee may be waived) <input type="checkbox"/> 郵遞方式 By post (請參閱收費表 Please refer to the fee leaflet)				
2. 所有郵遞信件將會發送到以下地址 (只選一項) All postal correspondence will be sent to the following address (select one): <input type="checkbox"/> 註冊辦事處地址 Registered office <input type="checkbox"/> 營業地址 Business address <input type="checkbox"/> 其他地址 Other address : _____				
指定銀行 Designated Bank				
銀行名稱 Name of Bank	帳戶號碼 Account No	<input type="checkbox"/> 美元 USD <input type="checkbox"/> 港元 HKD <input type="checkbox"/> 人民幣 CNH	<input type="checkbox"/> 多幣種 Muti-Cur <input type="checkbox"/> 其他 Other	
銀行名稱 Name of Bank	帳戶號碼 Account No	<input type="checkbox"/> 美元 USD <input type="checkbox"/> 港元 HKD <input type="checkbox"/> 人民幣 CNH	<input type="checkbox"/> 多幣種 Muti-Cur <input type="checkbox"/> 其他 Other	
銀行名稱 Name of Bank	帳戶號碼 Account No	<input type="checkbox"/> 美元 USD <input type="checkbox"/> 港元 HKD <input type="checkbox"/> 人民幣 CNH	<input type="checkbox"/> 多幣種 Muti-Cur <input type="checkbox"/> 其他 Other	
海外銀行請提供地址及 Swift Code Bank address and Swift Code for overseas bank				
董事資料 Director(s) Information		股東資料 Shareholder(s) Information		
全部董事姓名 Name(s) of All Director(s)	身份證號碼/護照號碼 I.D. Card No./ Passport No.	主要股東 Major Shareholders	身份證明文件號碼 Identification Number	持股比例 Shareholding ≥ 25%

草簽 Initial \_\_\_\_\_



**財政狀況 Financial Situation**

法定股本 Authorized Capital (HKD)	根據最近的審計賬目 Based on latest audited accounts as at ____/____ 年度			
	<input type="checkbox"/> 0 - 1,000,000	<input type="checkbox"/> 1,000,001 - 3,000,000	<input type="checkbox"/> 3,000,001 - 8,000,000	<input type="checkbox"/> >8,000,001
發行股本 Paid-up Capital (HKD)	根據最近的審計賬目 Based on latest audited accounts as at ____/____ 年度			
	<input type="checkbox"/> 0 - 1,000,000	<input type="checkbox"/> 1,000,001 - 3,000,000	<input type="checkbox"/> 3,000,001 - 8,000,000	<input type="checkbox"/> >8,000,001

**投資經驗及衍生產品認識 Investment Experience & Derivative Products Knowledge**

**投資目的 Investment Objectives:**

資本投資及收入 Capital Investment and Income     對沖 Hedging     投機 Speculation     其他(請說明) Others(specify) \_\_\_\_\_

本公司了解衍生產品的性質和風險: We understand the nature and risks of derivative products by:

1. 已接受有關的培訓或課程。                      Undergoing relevant training or attending course in.

監管機構                       交易所                       大專院校                       進修學院                       金融機構

Regulatory Authority                      Exchange                      Tertiary Institution                      Education Institution                      Financial Institution

2.  於過去三年內進行了五次或以上有關衍生產品之交易(不論是否於交易所進行交易)

Executing five or more transactions in derivative products (whether traded on an exchange or not) within the past three years.

3. 於經紀公司或銀行、基金或資產管理公司、監管機構或交易所等金融機構擁有有關的工作經驗。

By gaining prior relevant work experience in financial institutions such as a brokerage firm or bank, fund house or asset management firm, regulatory authority or exchange.

受監管持牌人士                       管理層                       與衍生工具相關後勤

Regulated Licensed Person                      Management                      Derivatives Related Back Office

本公司並未有衍生產品之認識                      We have NO knowledge of derivative products.

投資經驗 Investment Experience	年期 Year(s)			
期貨或期權 Futures or Options	<input type="checkbox"/> 沒有 Nil	<input type="checkbox"/> 1年以下 below 1 year	<input type="checkbox"/> 1-3 年 year(s)	<input type="checkbox"/> 3 年以上 Over 3 years
上市證券 Listed Securities	<input type="checkbox"/> 沒有 Nil	<input type="checkbox"/> 1年以下 below 1 year	<input type="checkbox"/> 1-3 年 year(s)	<input type="checkbox"/> 3 年以上 Over 3 years
衍生權證 Derivatives Warrant	<input type="checkbox"/> 沒有 Nil	<input type="checkbox"/> 1年以下 below 1 year	<input type="checkbox"/> 1-3 年 year(s)	<input type="checkbox"/> 3 年以上 Over 3 years
其他(請說明) Others(specify) _____	<input type="checkbox"/> 沒有 Nil	<input type="checkbox"/> 1年以下 below 1 year	<input type="checkbox"/> 1-3 年 year(s)	<input type="checkbox"/> 3 年以上 Over 3 years

**最終實益擁有人及利益關係申報 Beneficiary Ownership and Interest Declaration**

貴公司是否此帳戶的最終實益擁有人?(即貴公司是否為本身而非第三者運作此帳戶?) 如否, 帳戶的最終實益擁有人是:。(如與最終權益擁有人相同不用填寫)。  
Are you the ultimate beneficial owner(s) in relation to the account? (i.e. Are you acting for your own account and not for a third party?) If no, details of the ultimate beneficial owner(s) is/ are:

是 Yes     否 No    姓名 Name: \_\_\_\_\_    身分證/護照號碼 ID/Passport No. \_\_\_\_\_

地址 Address: \_\_\_\_\_

貴公司或貴公司之任何股東或董事、合夥人、授權人、最終負責為帳戶發出指令之人士或帳戶之最終權益擁有人(下稱“關連人士”)是否香港證監會持牌人士或註冊機構持牌法團的僱員; 或任何交易所或交易委員會或其交易所參與者公司的僱員?

Are you or any of your shareholders or directors, your partners, your authorized persons, the persons ultimately responsible for giving instructions for the Account or the ultimate beneficial owners of the Account (“Relevant Person(s)”) a licensed person or an employee of any Registered Corporation under the Securities and Futures Commission of Hong Kong; or an employee of an Exchange Participant firm of any exchange or board of trade?

否 No     是 Yes    請註明關係 Please specify the relationship: \_\_\_\_\_

貴公司或貴公司之任何股東或董事、合夥人、獲授權人、最終負責為帳戶發出指令之人士或帳戶之最終權益擁有人(下稱“關連人士”)是否與五礦金融服務有限公司或其集團屬下成員公司之董事或僱員有親屬關係?

Are you or any of your shareholders or directors, your partners, your authorized persons, the persons ultimately responsible for giving instructions for the Account or the ultimate beneficial owners of the Account (“Relevant Person(s)”) related to any director(s) or employee(s) of Minmetals Financial Services Limited or any of its member group companies?

否 No     是 Yes    董事或僱員之姓名 Name of the director(s) or employee(s): \_\_\_\_\_

關係 Relationship     本人 Account Owner     父母 Parent

配偶 Spouse     孩子 Child

貴公司或貴公司之任何股東或董事、合夥人、授權人、最終負責為帳戶發出指令之人士或帳戶之最終權益擁有人(下稱“關連人士”)是否美國公民或就稅務目的而言的居民?(注意: 由於美國稅收申報要求, 美國人帳戶需要特別審批。)

Are you or any ultimate beneficial owner(s) of the Account citizens or residents of the USA for tax purposes? (Note: Due to US tax reporting requirements, US persons' accounts require special approval.)

否 No     是 Yes

貴公司或貴公司之任何股東或董事、合夥人、授權人、最終負責為帳戶發出指令之人士或帳戶之最終權益擁有人(下稱“關連人士”)就稅務目的而言的居民是以下哪國家/地區(可多選):

Are you or any ultimate beneficial owner(s) of the Account a resident for tax purposes of which country(ies)/place(s):

香港 Hong Kong     中國 China     台灣 Taiwan     新加坡 Singapore     馬來西亞 Malaysia

其他 Other \_\_\_\_\_

草簽 Initial \_\_\_\_\_





**客戶款項常設授權 Client Money Standing Authority**

本授權根據（證券及期貨(客戶款項)規則）涵蓋爾等為客戶在香港持有或收取並存放於一個或多個獨立賬戶內的款項(包括因持有並非屬於爾等的款項而產生之任何利息)(下稱「款項」)。

This authority is given pursuant to the Securities and Futures (Client Money) Rules, which covers money held or received by you in Hong Kong (including any interest derived from holding the money which does not belong to you) in one or more segregated account(s) on the Client's behalf ("Monies").

本授權授權五礦金融服務有限公司及/或其任何聯繫人士(下稱「五礦金服」)酌情動用款項的全部或部份作下列用途，而無須事先給予客戶任何通知或取得客戶的確認及/或指示：

This authorization authorizes Minmetals Financial Services Limited and/or any of its Associates ("MJFINS"), in its discretion and without prior notice to or consent from the Client, to transfer all or any portion of the monies for the purposes as set out below:

1. 組合或合併(個別地或與其他賬戶聯合進行)五礦金融服務有限公司及/或其任何聯繫人士(下稱「五礦金服」)所維持的任何或全部獨立賬戶, 爾等可將該等獨立賬戶內任何數額之款項作出轉移, 以符合我/我們對五礦金服任何成員確實、或然、原有、附帶、有抵押、無抵押、共同或分別的義務或法律責任；及  
combine or consolidate any or all segregated accounts of any name whatsoever and either individually or jointly with others, maintained by Minmetals Financial Services Limited and/or any of its Associates ("MJFINS") from time to time and you may transfer any sum of Monies to and between such segregated account(s) to satisfy my/our obligations or liabilities to any member of the MJFINS, whether such obligations and liabilities are actual or contingent, primary or collateral, secured or unsecured, or joint or several; and
2. 從五礦金服的成員於任何時候維持的任何獨立賬戶之間來回調動任何數額之款項。  
transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by members of MJFINS.
3. 將款項兌換至任何貨幣。  
convert monies into any currencies.

本授權自本授權書簽署日期起生效，有效期為十二個月。

This authority is valid for a period of 12 months from the date of signing this authority.

客戶謹此同意就五礦金服因執行上述授權而可能產生、蒙受及/或承受一切虧損、損失、利息、費用、開支、法律訴訟、付款要求索償等等向五礦金服及/或香港及/或海外經紀人及/或結算公司作出賠償，並保障五礦金服免受損害。

The Client hereby agrees to indemnify MJFINS and/or Hong Kong and/or overseas broker and/or clearing house against any and all losses, damages, interests, costs, expenses, litigations, claims etc. that may arise from, suffer and/or entail for conducting this authorization by MJFINS, and indemnify and hold harmless MJFINS against arising therefrom.

客戶確認並同意，五礦金服若在本授權的有效期限滿前 14 日之前向客戶發出通知，提醒本公司本授權即將屆滿，而客戶沒有在授權屆滿前反對此授權續期，本授權應當作在不需要客戶以書面同意下按持續的基準已被續期。

The Client hereby acknowledges and agrees that, MJFINS gives a written notice to the Client at least 14 days prior to the expiry of such authorization, and the authorization shall be deemed to be renewed on a continuing basis if the Client does not object to the renewal before the expiry of such authorization.

客戶已閱讀、明白及同意本授權的內容。

The Client has read, understand and accept the contents of this authority.

簽署及公司印章 Signature & Company Chop

獲授權簽署人姓名 Authorized Signatory's Name

日期 Date DD-MM-YYYY



**客戶確認及簽署 Acknowledgement and Execution by Client**

選擇服務 Select Service(s)	帳戶種類 Account Type
<input type="checkbox"/> 網上交易服務 On-Line Trading Service	<p>請為本公司提供網上交易服務。本公司已經閱讀並明白網上交易協議的條款，並同意這些條款的約束。</p> <p>Please provide me/us with On-Line Trading Service. We have read and understand the provisions of the On-Line Trading Agreement as set out in the Futures Client Agreement and agree to be bound by same.</p>
<input type="checkbox"/> 期貨戶口 Futures Account	<p>請為本公司開立期貨戶口。本公司已經閱讀並明白期貨客戶協議的條款及風險披露聲明及免責聲明，並同意這些條款的約束。</p> <p>Please open a Futures Account for me/us. We have read and understand the provisions of the Futures Client Agreement and Risk Disclosure Statements and Disclaimers and agree to be bound by same.</p>

**客戶聲明 Declaration by Client**

**1. 風險披露聲明 Risk Disclosure Statements**

客戶確認五礦金服以客戶選擇的語言（英文或中文）提供期貨客戶協議的風險披露聲明及免責聲明。客戶進一步確認五礦金服已經邀請客戶閱讀風險披露聲明，提出問題及徵求獨立的意見（如客戶有此意願）。

The Client acknowledges that the Futures Client Agreement including the Risk Disclosure Statements and Disclaimers attached were provided in a language (English or Chinese) of the Client's choice. The Client further acknowledges that he/she was invited to read the risk disclosure statements, ask questions and take independent advice, if the Client wished.

客戶應經常密切留意市況，五礦金服可能在強制平倉前無法與客戶聯絡或未能提供足夠時間讓客戶進行額外的存款。

The Client acknowledges that he/she should closely monitor positions, as MJFINS may not be able to contact you or give you sufficient time to deposit additional funds, before forced liquidation of positions.

**2. 提供準確的資料 Accuracy of information provided**

載於本開戶表格（「開戶表格」）中的資料是真實和準確的。客戶將會通知五礦金服有關資料的任何重要改變。五礦金服可聯絡任何人，包括客戶的銀行、經紀或信用調查機構，以核實資料表的內容。

The information contained in this Account Opening Information Form (the "Form") is true and accurate. The Client will notify MJFINS of any material change of that information. MJFINS is authorized to contact anyone, including Client's banks, brokers or any credit agency, for verifying the information provided on this Form.

**3. 轉介費或介紹費 Referral or introduction fees**

客戶確認五礦金服可向介紹人支付轉介費或介紹費，而該介紹人並非五礦金服的代理人。

The Client acknowledges that MJFINS may pay fees to any person(s) who referred or introduced the Client to MJFINS (the "Introducer"), and that the Introducer is not an agent of MJFINS.

**4. 電子服務系統 Electronic Services System**

客戶確認五礦金服有可能提供第三方電子服務系統進行買賣。如果客戶透過電子服務進行買賣，客戶便須承受該電子服務系統帶來的風險，包括有關系統硬體和軟件可能會失靈的風險。五礦金服聲明客戶/使用者透過電子服務系統進行買賣所產生之風險與盈虧，一概不承擔責任。

The Client acknowledges that the trades in MJFINS might be executed by third party Electronic Services System. If the client undertake Transactions via Electronic Services, the client will be exposed to risks associated with the Electronic Services system including the failure of hardware and software. The Company accepts no responsibility for any loss which may be incurred by the Client as a result of using Electronic Services System.

**5. 持倉 Position Hold**

客戶確認在五礦金服的持倉有可能由第三方代理行托管。客戶確認已被邀請閱讀有關申報、限量及平倉合約的規則。

The Client acknowledges that the position in MJFINS might be hosted by third party brokerage. The Client acknowledges that it was invited to read the Rules in relation to reporting, limiting and closing out of positions.

簽署及公司印章 Signature & Company Chop

獲授權簽署人姓名 Authorized Signatory's Name

日期 Date DD-MM-YYYY





**風險評估問卷 Risk Profiling Questionnaire**

- 貴公司有多少年投資經驗(包括:股票、單位信託基金、外幣、商品、結構投資產品、認股權證俗稱「窩輪」、期權、期貨等)?   
How many years of investment experience do your company have (for example stocks, unit trusts, foreign currencies, commodities, structured investment products, warrants, options, futures.)?
  - 沒有經驗或少過1年 No experience or Less than 1 year
  - 1 – 3 年 years
  - 4 – 6 年 years
  - 7 – 9 年 years
  - 10 年或以上 years or above
- 現在貴公司是否持有以下任何投資產品?(可選多個)   
Are your company currently holding any of the below investment products? ( your company may select more than 1 option)
  - 現金、存款、存款証、保本產品 Cash, deposit, certificates of deposit, capital protected products
  - 債券、債券基金 Bond, bond funds
  - 外幣、非保本之貨幣、掛鈞結構投資產品 Foreign currencies, non capital protected currency linked structures products
  - 股票、開放式基金(不包括債券基金或貨幣市場基金)、非保本之股票掛鈞結構投資產品、具投資成分的保險計劃、商品 Stocks , open-end funds excluding bond funds and money market funds, non capital protected equity linked structured products, investment-linked insurance plans, commodities
  - 期權、期貨、認股權証(俗稱「窩輪」) Options, futures, warrants
- 貴公司願意撥出貴公司資產淨值多少百分比作投資於投資產品的用途?  
How much of your net worth would your company like to set aside for investment products?
  - 0% – 10%
  - 11% – 20%
  - 21% – 40%
  - > 40%
- 以投資回報的波幅來看,以下哪一項最適合用來形容貴公司願意接受的潛在收益和損失?  
In terms of investment return fluctuations, which of the following best describes the potential gain and loss that is acceptable to your company?
  - 波動少於 -5%至+5%之間 Fluctuates between -5% and +5%
  - 波動於 -15%至+15%之間 Fluctuates between -15% and +15%
  - 波動於 -30%至+30%之間 Fluctuates between -30% and +30%
  - 波動於 -50%至+50%之間 Fluctuates between -50% and +50%
  - 波動多於 -50%至 +50%之間 Fluctuates under -50% and over +50%
- 若貴公司整體投資資產下跌超過15%,對貴公司的影響程度如何?  
If there is a fall of 15% or over in your overall investment portfolio, what level of your company will be suffered?
  - Intolerable 無法承受
  - Great impact 影響程度大
  - Medium impact 中度影響
  - Little impact 影響程度小
  - No impact 不會有影響

簽署及公司印章 Signature & Company Chop

獲授權簽署人姓名 Authorized Signatory's Name : \_\_\_\_\_

日期 Date \_\_\_\_\_ DD-MM-YYYY

**Risk Tolerance Analysis 風險承受能力分析** (只供五礦金服使用 For Official Use Only)

風險承受程度 Risk Tolerance Level	投資者的一般特徵 Investor General Characteristics
<input type="checkbox"/> 低風險 Low Risk (≤ 10)	Conservative 保守型 貴公司願意承受低度的風險,亦明白會接受比較保守回報。 You are willing to accept low risks. In return, you understand that you will receive low returns.
<input type="checkbox"/> 中風險 Medium Risk (11-17)	Balance 平衡型 貴公司願意承受中度的風險,於中長線換取潛在回報。 You are willing to accept medium risks in exchange for some potential returns over the medium to long term.
<input type="checkbox"/> 高風險 High Risk (≥ 18)	Aggressive 進取型 貴公司願意承受高度的風險,於長線換取最大的潛在回報。閣下亦明白到有可能招致損失大部份或全部本金。 You are willing to accept very high risks to maximize your potential return over the long term. You understand that you may lose a significant part or all of your capital.



**見證人簽署 Signed By Witness**

由五礦金服職員、持牌代表或聯繫人士或專業人士(其他證監會持牌人或註冊人、太平坤士、銀行經理、執業會計師、律師或公證人)填寫 (to be completed by staff, representative or affiliate of MJFINS or Professional (any other licensed or registered person with the SFC, a JP, branch manager of a bank, certified public accountant, lawyer or notary public))

見證人姓名 Name of Witness	見證人簽署: Signature of Witness:
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**持牌人士聲明 Declaration By Licensed Person**

我確認已經以客戶選擇的語言(英文或中文)提供了載於期貨客戶協議內的風險披露聲明,並且我已經邀請客戶閱讀風險披露聲明,提出有關問題及尋求獨立意見(如客戶有此意願)。

I confirm that I have provided the Risk Disclosure Statements as set out in the Futures Client Agreement in a language (English or Chinese) of the Client's choice. I have also invited the Client to read the Risk Disclosure Statements, ask questions and take independent advice if the Client wishes.

持牌人姓名: Name of Licensed Person:	持牌人簽署: Signature of Licensed Person:	中央編號: CE No.:	日期: Date:
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AML 風險級別 AML Risk category	(參考 AML 政策) (refer to AML policy)	<input type="checkbox"/> 低 Low	<input type="checkbox"/> 中 Medium	<input type="checkbox"/> 高 High
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**只供五礦金服使用 For Official Use Only**

**文件查核列表 Document check list**

- W-8BEN-E 表格
- 自我證明表格-實體
- 自我證明表格 - 控權人 (份數 ) (只適用於被動非財務實體)
- 通過開立帳戶的董事會決議案
- 如屬香港註冊的企業
  - 已核證有效的公司註冊證書
  - 已核證有效的商業登記証
  - 已核證的公司註冊表格 NNC1(公司成立少於一年)或最新的 NAR1
- 如屬海外註冊的企業
  - 已核證有效的公司註冊證書
  - 已核證公司各項證明書 (包括但不限於Certificate of Good Standing存續證明及Certificate of Incumbency董事在職證明等)
- 地址證明副本 ( 公司  股東(持股比例≥25%者))
- 銀行證明副本
- 公司的擁有權架構圖
- 已核證的身份證或護照副本
  - 公司股東(持股比例≥25%者)
    - 個人
    - 企業: 有效的商業登記證或公司註冊證書
  - 公司董事
  - 獲授權人 ( 開戶人  資金調撥人  指令下單人)
- 已核證的公司章程大綱和細則
- 已核證的最近期經審核的年度財務報表(適用於公司成立超過 18 個月)
- 申請應用程式開發介面 API (如適用)

**客戶資料核對 Client information checked by**

職員姓名: Name of Staff:	職員簽署: Signature of Staff:	中央編號: CE No.:	日期: Date:
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**客戶資料輸入 Client information Inputted by**

職員姓名: Name of Staff:	職員簽署: Signature of Staff:	中央編號: CE No.:	日期: Date:
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**基本佣金 Basic Commission**

單一持倉限額:

職員姓名: Name of Staff:	職員簽署: Signature of Staff:	中央編號: CE No.:
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職員姓名: Name of Staff:	職員簽署: Signature of Staff:	中央編號: CE No.:	日期: Date:
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**開戶批核 Account opening approved by**

職員姓名: Name of Staff:	職員簽署: Signature of Staff:	中央編號: CE No.:	日期: Date:
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