



## ACCOUNT OPENING FORM

開戶文件

**(Individual & Joint)**

(個人及聯名)

- Securities Account (Cash) 證券帳戶 (現金)
- Securities Account (Margin) 證券帳戶 (保證金)

Client Name 客戶姓名: \_\_\_\_\_

Client Account No. 帳戶號碼: \_\_\_\_\_



Account Name 帳戶姓名:	Account No. 帳戶號碼:
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Account Opening Form 開戶表格 (Individual 個人 / Joint 聯名)		
Entity of Client 帳戶形式	<input type="checkbox"/> Individual 個人 <input type="checkbox"/> Joint 聯名	
Account Type(s) 帳戶類別	<input type="checkbox"/> Securities Cash 證券現金 <input type="checkbox"/> Securities Margin 證券保證金	
Internet Trading 網上交易	<input type="checkbox"/> Web & Mobile App 網頁及手機應用程式交易服務	
(I) Individual/Primary Joint Account Holder 個人/聯名帳戶主要持有人		
1. Client Information 客戶資料		
Chinese Name 中文姓名: _____ (先生 / 女士 / 太太 / 小姐)	English Name 英文姓名: _____ (Mr. / Ms. / Mrs. / Miss.)	
ID Card / Passport No. 身份證/護照號碼:	Nationality 國籍:	Gender 性別:
Place of Birth 出生地點:	Date of Birth (DD/MM/YY) 出生日期(日/月/年):	Marital Status 婚姻狀況:
Residential Address 住宅地址:		
Method of Statement Receiving 收取結單方式: <input type="checkbox"/> By E-mail 透過電郵 <input type="checkbox"/> By Mail 透過郵寄信件(需繳付每月費用)		
E-mail 電郵地址:	Mobile No. 手提電話:	Home Tel. No. 住宅電話:
2. Education Level & Employment Status 教育程度及工作狀況		
Education Level 教育程度: <input type="checkbox"/> University or above 大學或以上 <input type="checkbox"/> Secondary School 中學 <input type="checkbox"/> Primary School or below 小學或以下 <input type="checkbox"/> Others 其他: _____		
Employment Status 工作狀況: <input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Unemployed 非受僱 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> 其他: _____		
Name of Employer 僱主名稱:	Office Tel. No. 公司電話:	
Office Address 公司地址:		
Nature of Business 公司業務性質:	Job Title 職位:	Year(s) of Service 服務年資:

(I) Individual/Primary Joint Account Holder (cont.)  
個人/聯名帳戶主要持有人(續)

## 3. Financial Situation 財政狀況

Source of Funding 初次及持續財富或收入來源	Annual Income (HK\$) 每年收入(港元)	Type(s) of Asset 資產項目	Net Asset Value (HK\$) 資產淨值(港元)
<input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Family Income 家庭收入 <input type="checkbox"/> Retirement Pension 退休金 <input type="checkbox"/> Business Profit 營業溢利 <input type="checkbox"/> Dividend 股息/Interest 利息 <input type="checkbox"/> Personal Saving 個人儲蓄 <input type="checkbox"/> Investment Gain 投資收入 <input type="checkbox"/> Commission 佣金 <input type="checkbox"/> Rent 租金收入 <input type="checkbox"/> Others 其他: _____	<input type="checkbox"/> < 120,000 <input type="checkbox"/> 120,001-360,000 <input type="checkbox"/> 360,001-600,000 <input type="checkbox"/> 600,001-1,200,000 <input type="checkbox"/> > 1,200,001 <input type="checkbox"/> Others其他 : _____	<input type="checkbox"/> Land & Property 房地產 <input type="checkbox"/> Cash 現金/Deposit 存款 <input type="checkbox"/> Listed Shares 上市證券 <input type="checkbox"/> others 其他: _____	<input type="checkbox"/> < 100,000 <input type="checkbox"/> 100,001-300,000 <input type="checkbox"/> 300,001-500,000 <input type="checkbox"/> 500,001-1,000,000 <input type="checkbox"/> 1,000,001-5,000,000 <input type="checkbox"/> > 5,000,001 <input type="checkbox"/> Others其他 : _____
		Turnover (HK\$) 交易金額(港幣)	Trade Frequency 交易次數
Account Movement Estimation (Annually) 預計戶口活動(每年)		<input type="checkbox"/> < 500,000 <input type="checkbox"/> 500,001- 5,000,000 <input type="checkbox"/> > 5,000,001	<input type="checkbox"/> < 50 <input type="checkbox"/> 51- 500 <input type="checkbox"/> > 501

## 4. Risk Profile Questionnaire 風險取向問卷

## 4.1. Investment Objective 投資目標

Dividend 股息收入  Capital Gain 資本增值  Speculation 投機  Hedging 對沖  Others: \_\_\_\_\_

## 4.2. Investment Experience 投資經驗

Stocks 股票 Year(s)年數: \_\_\_\_\_  Derivative Warrants 衍生認股證 Year(s)年數: \_\_\_\_\_  
 CBBC 牛熊證 Year(s)年數: \_\_\_\_\_  Futures & Options 期貨及期權 Year(s)年數: \_\_\_\_\_  
 Hedge Fund 對沖基金 Year(s)年數: \_\_\_\_\_  Structured Products 結構性產品 Year(s)年數: \_\_\_\_\_  
 Bonds 債券 Year(s)年數: \_\_\_\_\_  Others 其他: \_\_\_\_\_ Year(s)年數: \_\_\_\_\_  
 Mutual Fund 互惠基金 / Unit Trust 單位信託基金 / ETF 交易所買賣基金 Year(s)年數: \_\_\_\_\_

4.3. What is the amount of net liquid assets that investor will set aside for investing in investment product during its investment period?  
投資者預留多少淨流動資產用在投資?

Less than 10% 少於 10%  
 10% or above and less than 20% 10%或以上及少於 20%  
 20% or above and less than 30% 20%或以上及少於 30%  
 30% or above and less than 50% 30%或以上及少於 50%  
 Over than 50% 50%或以上

4.4. When investing in investment products, how long will your investment horizon be?  
購買投資產品時，投資者認為持有多久才合適?

Below 1 year 少於 1 年  
 1 years or above but less than 3 years 1 年或以上及少於 3 年  
 3 years or above but less than 5 years 3 年或以上及少於 5 年  
 5 year or above but less than 8 years 5 年或以上及少於 8 年  
 Over than 8 years 多於 8 年

4.5. What level of annualized price fluctuation would investor generally be comfortable with?  
投資者可以接受年度價格波幅是多少?

Between -5% and +5% 介乎 -5%至 +5%之間的波幅  
 Between -10% and +10% 介乎 -10%至 +10%之間的波幅  
 Between -15 and +15% 介乎 -15%至 +15%之間的波幅  
 Between -20 and +20% 介乎 -20%至 +20%之間的波幅  
 More than 20% 多於 20%的波幅

## 4.6. Assessment for Client's Knowledge of Derivative Products (Please answer all the questions)

客戶對衍生工具的認識評估 (請回答所有問題)

(1) Has the Client undergo training or attended courses on derivative products? If Yes, please specify:

閣下是否曾接受任何有關介紹一般衍生產品之風險的培訓? 如有, 請註明

Name of Course/Seminar 課程/研討會名稱: \_\_\_\_\_

Organizer 主辦機構: \_\_\_\_\_

Year of Participation 參與年份: \_\_\_\_\_

(2) Has the Client current or previous work experience related to derivative products? If Yes, please specify:

閣下是否擁有與衍生產品有關的工作經驗? 如是, 請註明:

Name of Employer 任職公司名稱: \_\_\_\_\_

Position 職位: \_\_\_\_\_

(3) Has the Client executed five or more transactions within the past three years in derivative products? If Yes, please provide the names of related products:

閣下曾否在過去三年執行過五次或以上有關任何衍生產品的交易? 如有, 請提供有關產品的名稱:

 CBBC 牛熊證  Derivative Warrants 衍生認股證  Futures & Options 期貨及期權 Hedge Fund 對沖基金  Structured Products 結構性產品  Bonds 債券 Mutual Fund 互惠基金 / Unit Trust 單位信託基金 / ETF 交易所買賣基金Assessment Result 評估結果  
(For Official Use Only 只供本公司使用) Conservative 保守型  
 Moderate 平穩型  
 Aggressive 進取型(II) Secondary Joint Account Holder  
聯名帳戶第二持有人1. Client Information  
客戶資料

Chinese Name 中文姓名: _____ (先生 / 女士 / 太太 / 小姐)	English Name 英文姓名: _____ (Mr. / Ms. / Mrs. / Miss.)	
ID Card / Passport No. 身份證/護照號碼:	Nationality 國籍:	Gender 性別:
Place of Birth 出生地點:	Date of Birth (DD/MM/YY) 出生日期(日/月/年):	Marital Status 婚姻狀況:
Residential Address 住宅地址:		
E-mail 電郵地址:	Mobile No. 手提電話:	Home Tel. No. 住宅電話:

2. Education Level & Employment Status  
教育程度及工作狀況

Education Level 教育程度: <input type="checkbox"/> University or above 大學或以上 <input type="checkbox"/> Secondary School 中學 <input type="checkbox"/> Primary School or below 小學或以下 <input type="checkbox"/> Others 其他: _____		
Employment Status 工作狀況: <input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Unemployed 非受僱 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> 其他: _____		
Name of Employer 僱主名稱:	Office Tel. No. 公司電話:	
Office Address 公司地址:		
Nature of Business 公司業務性質:	Job Title 職位:	Year(s) of Service 服務年資:

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Organizer 主辦機構: \_\_\_\_\_

Year of Participation 參與年份: \_\_\_\_\_

(2) Has the Client current or previous work experience related to derivative products? If Yes, please specify:

閣下是否擁有與衍生產品有關的工作經驗? 如是, 請註明:

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Position 職位: \_\_\_\_\_

(3) Has the Client executed five or more transactions within the past three years in derivative products? If Yes, please provide the names of related products:

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(For Official Use Only 只供本公司使用) Conservative 保守型 Moderate 平穩型 Aggressive 進取型

## (III) Designated Bank Account

指定銀行戶口

Name of Bank

銀行名稱: \_\_\_\_\_

Bank Account No.

銀行帳戶號碼: \_\_\_\_\_

## (IV) Ultimate Beneficial Owner(s) of the Account and Ultimate Originator(s) of all Transaction

最終權益擁有人及戶口交易指示發出者

1. Is the Client (and/or Joint Account Holder) the ultimate beneficial owner of the Account(s)?

閣下 (及/或聯名帳戶第二持有人) 是否此戶口最終權益擁有人?

 Yes 是 No, details of the ultimate beneficial owner are as follows 不是, 最終權益擁有人細節如下:

Name 姓名: \_\_\_\_\_

Date of Birth 出生日期: \_\_\_\_\_

ID / Passport No. 身份證/護照號碼: \_\_\_\_\_

Nationality 國籍: \_\_\_\_\_

Address 地址: \_\_\_\_\_

2. Is the Client (and/or Joint Account Holder) the ultimate trading instruction maker of the Account(s)?

閣下 (及/或聯名帳戶第二持有人) 是否最終戶口交易指示發出者?

 Yes 是 No, details of the ultimate trading instruction maker are as follows 不是, 最終戶口指示發出者細節如下:

Name 姓名: \_\_\_\_\_

Date of Birth 出生日期: \_\_\_\_\_

ID / Passport No. 身份證/護照號碼: \_\_\_\_\_

Nationality 國籍: \_\_\_\_\_

Address 地址: \_\_\_\_\_

## (V) Disclosure 披露

1. Are you (and/or Joint Account Holder) a SFC licensed or registered person or an employee of such person?

閣下(及/或聯名帳戶第二持有人)是否證監會之持牌或註冊人士或該人士之僱員?

 No 否 Yes 是 Please specify 請註明: \_\_\_\_\_

2. Are you (and/or Joint Account Holder) related to any employee or director or licensed person of the Company and its subsidiaries?

閣下(及/或聯名帳戶第二持有人)是否與本公司及其附屬公司之僱員/董事/持牌人士有任何關係?

 No 否 Yes 是 Name of the employee/director/licensed person 僱員/董事/持牌人士姓名: \_\_\_\_\_

Relationship 關係: \_\_\_\_\_

3. Are you (and/or Joint Account Holder) a substantial shareholder\* or senior managing officer or director of any listed corporation?  
閣下(及/或聯名帳戶第二持有人)是否任何其股份在交易所或市場買賣的上市公司之主要股東\*、高級人員或董事?
- No 否       Yes 是      Company Name 公司名稱: \_\_\_\_\_
- Stock Code 上市編號: \_\_\_\_\_

*\*in relation to a company, a person who is entitled to exercise, or control the exercise of, 10% or more of the voting power at any general meeting of that company. 就一間公司而言，任何人士其於該公司之任何股東大會擁有權行使，或可控制行使，10%或以上之投票權*

4. (For Securities Margin Account Only)  
(只適用於證券保證金帳戶):
- (i) Does your spouse have a margin account with the Company?  
閣下的配偶是否本公司的證券保證金客戶?
- No 否  
 Yes 是      Name of Spouse 配偶姓名: \_\_\_\_\_      Account No. 帳戶號碼: \_\_\_\_\_
- (ii) Do you control, either alone or with your spouse, 35% or more of the voting rights of another margin client of the Company?  
閣下是否單獨或與配偶共同控制本公司的任何證券保證金客戶 35%或以上的表決權?
- No 否  
 Yes 是      Account Name 帳戶姓名: \_\_\_\_\_      Account No. 帳戶號碼: \_\_\_\_\_

(VI) Promotion 優惠及推廣資訊

(Please refer to Personal Information Collection Statement 請參閱個人資料收集聲明)

- The Client agrees to receive information of promotion and marketing of the Company by the following channel(s)  
閣下同意透過以下途徑接收本公司之優惠及相關通知:
- Any Channels 任何途徑       E-mail 電郵       Post 郵寄       Telephone 電話  
 SMS & Instant Communication App 短訊及即時通訊應用程式
- The Client does not agree to receive information of promotion and marketing of the Company by the following channel(s)  
閣下不同意接收本公司之優惠及相關通知

(VII) Joint Account Mandate 聯名帳戶開戶委託書

(For Joint Account Only 只適用於聯名帳戶之客戶)

1. We hereby request and authorise the Company to open the account(s) with the Company in our joint names and at any time hereafter upon the instructions  
本人茲聯同請求及授權貴公司用本人等聯名在貴公司開立買賣帳戶辦理，並得於今後依照本人等之中所指示，處理下列各項事宜：
- ANY ONE 任何一人 /       ALL\* of us 全體\*
- a. to open such further account or accounts in our joint names. 代本人等聯名另行開立戶口。
- b. to honour and pay bills of exchange drafts promissory notes or orders for payment drawn accepted or made or to accept and act upon receipts for monies overdrawn by us or for monies owing by the Company to us on any account whatsoever or any other documents or written instructions of whatsoever nature kind or description and to debit the same to our joint account or accounts and to carry out any instructions in connection with our joint account or accounts notwithstanding that any such debiting or carrying out may:  
該聯名戶口所發出之支付憑票或在貴公司透支款項之收據或本人等聯名在貴公司存款之單據或任何其他文件或書面指示照予支帳，並處理一切與各該聯名戶口有關事宜，而該等指示即使引致下列情況，仍屬有效:
- (i) direct a transfer to an account in the individual name of any one of us. 由聯名戶口調撥款項轉入本人等任何一人之私人戶口。
- (ii) require the COMPANY make payment to any one of us. 要求貴公司付款給予本人等之任何一人。
- (iii) cause such joint account or accounts to be in debit or any debit balance thereon to be increased but without prejudice to the Company right to refuse to allow any such debit balance or increase in debit balance.  
引致各該聯名戶口產生透支或增加透支數額情況，但如有此等情況貴公司得保留拒絕透支或增加透支數額之權利。
- (iv) and we will be jointly and severally responsible for the repayment on demand of any such debit balance and interest and of any money that the Company may from time to time advance to us on any joint loan account together with interest thereon.  
本人等茲同意個別及聯同負責，一經貴公司通知，即當如數將所有透支款項連同應付利息及其他一切由本人等聯名向貴公司借到之款項連同應付利息一併清償，絕無異議。
- c. without in any way limiting the foregoing general request to make any advance to us by way of loan or advance or discount or in any manner howsoever with or without security.  
除上列範圍外，貴公司亦可以放款、透支、貼現或任何其他方式，不論有抵押或無抵押，給予貸款。
- d. without in any way limiting the foregoing general request to deliver any securities deeds boxes and parcels and their contents and property of any description held in our joint name.  
同時亦可移交由本人等聯名寄存貴公司之任何證券、契據、包裹或其他財物給予指名人仕收受。

2. We authorise the Company to accept for collection any cheque or other documents payable to any one or more of us and to credit the proceeds thereof to our joint account or accounts even though such cheque or order or document has been endorsed by the payee or payees thereof.  
本人等授權貴公司，由本人等存入貴公司而列明本人等任何一人或多人為受款人之支票，支付委託書或其他票據，雖未經受款人背書，仍均可由貴公司接受代收，收受後記入本人等聯名戶口。
3. We authorise the Company to place to the credit of our joint account or accounts all sums of money, interest, dividends etc., which the Company may receive on account of any one or more of us or our joint and several account or on our joint account.  
本人等授權貴公司代本人等個別或聯名收受之一切款項，包括利息、股息等等，均可照數記入本人等聯名帳戶內。
4. Subject to any claim or objection on the part of the Estate Duty Commissioner or any other appropriate authority, we authorise the Company to hold on the death of any one of us any credit balance or balances of any account or accounts in our joint names and any securities deeds boxes and parcels and their contents and property of any description held in our joint names to the order of the survivors or survivor of us or the executors or administrators of the last survivor of us without prejudice to any right you may have in respect of such balance or balances securities etc. arising out of any lien charge pledge set-off counterclaim or otherwise whatsoever or any step or any legal proceedings which the Company may in your absolute discretion deem it desirable to take in view of any claim by any person other than the survivors or survivor of us or the executors or administrators of the last survivor of us.  
除香港遺產稅徵收主任或其他政府機關有提出要求或提出反對等情況外，本人等授權貴公司可於本人等中任何一人身故後，代為保管各該聯名戶口之存款，與及本人等聯名寄存貴公司之任何證券、契據、包裹或 其他財物，而依照生存在世之本人等或唯一生存者之遺產承辦人或管業人之指示加以處理，而以不損害貴公司對存款、證券等等應有之留置權、抵押權、典質權、比對權，及要求或任何其他權利為原則，又除本人等中之生存者或其遺產承辦人或管業人以外，不論何人，如有要求享受該存款、證券等等之權益者，貴公司亦有斟酌選擇之絕對自由，對該等人士採取任何合乎需要之步驟或向法院提出任何訴訟程序。
5. We agree that any liability whatsoever incurred to the Company by us in respect of the foregoing shall be our joint and several liability.  
如有因此請求及授權貴公司處理上述事項而致產生債務者，本人等同意個別及共同負責。
6. We agree to observe and be bounded by such of the Company's Rules for the time being in force as will be applicable to the appropriate nature of each of our accounts provided that if there is any conflict between the said Rules on the one hand and the foregoing terms and conditions contained herein on the other hand the latter shall prevail.  
本人等同意遵守貴公司所訂有關而適用於本人等在貴公司所開立每一戶口之章則，及接受該等章則約束，至於該等章則與本委託書互有抵觸之處，則應以本委託書訂定之條文為準。
7. In the absence of contrary written instructions signed by all of us the foregoing conditions shall apply to each and every account of whatever nature now or hereafter opened by the Company in our joint names.  
上列條文均適用於貴公司此次或日後代本人等開立之聯名戶口，直至本人等以聯名簽署之書面通知取消為止。

\_\_\_\_\_  
Signature of Primary Joint Account Holder

聯名帳戶主要持有人簽署

Name 姓名: \_\_\_\_\_

Relationship of the account holders

聯名帳戶持有人關係: \_\_\_\_\_

\_\_\_\_\_  
Signature of Secondary Joint Account Holder

聯名帳戶第二持有人簽署

Name 姓名: \_\_\_\_\_

### (VIII) AUTHORIZED PERSON 獲授權人士

The Client's Securities Account can be operated on the instructions of the Authorized Person. I (the Client) hereby declare that I (the Client) shall be fully responsible for any instructions given or purported to be given by the Authorized Person (including but not limiting to the verbal instructions or written instructions), and shall fully indemnify the Company against all damages, losses, costs and expenses whatsoever incurred as a result of any act, inactivity or omission of the Authorized Person.

When I, the Authorized Person listed below, after signing in the signature column here in below, indicated that I accept the abovementioned Client's authorization to become its Authorized Person. I hereby agree that shall be fully responsible for all the liabilities arising from the Client's relevant account(s) with the Company and shall fully indemnify the Company against all damages, losses, costs and expenses whatsoever incurred as a result of any act, inactivity or omission of the Client and/or myself.

客戶之證券帳戶可根據獲授權人士之指示運作。本人(客戶)茲聲明對由獲授權人士或聲稱為獲授權人士所發出之任何指示(包括但不限於口頭指示或書面指示)承擔全部責任，並會就本公司因該等獲授權人士之任何行為，不作為或遺漏而引致的一切賠償、損失、費用及開支向本公司作出全部彌償。當本人(獲授權人士)於下列簽署欄內簽署後，即表示同意接受客戶的授權成為其獲授權人士，並同意承擔客戶之帳戶內之一切責任，亦須就本公司因客戶及/或本人之任何行為，不作為或遺漏而引致的一切賠償、損失、費用及開支向本公司作出全部彌償。

Name of Authorized Person

獲授權人士姓名:

HKID 香港身份證 /

Passport No. 護照號碼:

Accepted and Signed by Authorized Person

獲授權人士接納和簽署:

Relationship between Authorized Person and Client

客戶與獲授權人士之關係:

Contact No.

聯絡電話:

Confirmed and Signed by Client

由客戶確認及簽署:



**(IX) Automatic Exchange of Financial Account Information**  
自動交換財務帳戶資料

**Important Notes 重要提示:**

- This is a self-certification form provided by an account holder to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.  
這是由帳戶持有人向申報財務機構提供的自我證明表格，以作自動交換財務帳戶資料用途。申報財務機構可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- An account holder should report all changes in his/her tax residency status to the reporting financial institution.  
如帳戶持有人的稅務居民身分有所改變，應盡快將所有變更通知申報財務機構。
- All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (\*) are required to be reported by the reporting financial institution to the Inland Revenue Department.  
除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄/部標有星號(\*)的項目為申報財務機構須向稅務局申報的資料。

**Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN")**

居留司法管轄區及稅務編號或具有等同功能的識別編號（以下簡稱「稅務編號」）

The Client needs to provide information, indicates the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and the account holder's TIN for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence.

客戶需提供資料，以列明帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區（香港包括在內）及該居留司法管轄區發給帳戶持有人的稅務編號。列出所有（不限於5個）居留司法管轄區。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. If a TIN is unavailable, please provide the appropriate reason:

如帳戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。如沒有提供稅務編號，必須填寫合適的理由：

**Reason A - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.**

理由A – 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

**Reason B - The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.**

理由B – 帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得稅務編號的原因。

**Reason C - TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.**

理由C – 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號，填寫理由A、B或C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選取理由B，解釋帳戶持有人不能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			
(5)			

**Declaration 聲明:**

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the Company for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the Company to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

本人知悉及同意，貴公司可根據《稅務條例》(第112章)有關交換財務帳戶資料的法律條文，(a) 收集本表格所載資料並可備存作自動交換財務帳戶資料用途及 (b) 把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。

I certify that I am the account holder of all the account(s) to which this form relates.

本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人。

I undertake to advise the Company of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide the Company with a suitably updated self-certification form within 30 days of such change in circumstances.

本人承諾，如情況有所改變，以致影響本表格第1部所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知貴公司，並會在情況發生改變後30日內，向貴公司提交一份已適當更新的自我證明表格。

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

**WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).**

**警告：根據《稅務條例》第 80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級（即\$10,000）罰款。**

**(X) FATCA Certification****海外帳戶稅收合規法案聲明書**

The Foreign Account Tax Compliance Act ("FATCA") enacted in the United States of America ("US") become effective 1 July 2014. The new US tax regulations require Hong Kong financial institutions to identify and report US persons to the relevant tax authority.

美國制定的《海外賬戶稅收合規法案》於2014年7月1日起生效。此等新稅務條例要求香港金融機構識別客戶是否美國公民或居民，並向美國稅務當局匯報。

The Client acknowledges that he/she does not have any US tax obligations.

客戶確認沒有美國稅務責任。

The Client acknowledges that he/she has US tax obligations.

客戶確認有美國稅務責任。

Client provides W-9 form

客戶提供 W-9 表格

Client's US Taxpayer Identification Number (TIN):

客戶的美國稅務編號 (TIN 編號):

The Client agrees Leeds to provide his/her personal information in relation to US tax obligations to the US tax authority.

客戶同意競富證券金融向美國稅務機關提供其有關美國稅務責任之個人資料。

**Certification 聲明:**

I hereby consent for the Company and its subsidiaries to disclose, report or share my relevant information with local and overseas regulators or tax authorities where necessary to establish my tax liability in any jurisdiction. I declare that I have examined the information on this self-certification and to the best of my knowledge and belief; it is true, correct, and complete. I will inform your company within 30 days if any information herein becomes incorrect.

本人同意貴公司及其子公司可向本地及海外監管機構或稅務機構披露、呈交或提供本人的資料以確立本人於任何司法管轄區的稅務責任。本人在此聲明本人已查閱此聲明之內容，並盡本人所知及確信，聲明內容均屬真實，正確及完整。本人同意如以上聲明有變更，將於30日內通知貴公司。

**(XI) Declaration by Client****客戶聲明**

1. The undersigned Client(s) agree to open the above account(s) with the Company.

客戶(等) (簽署本開戶表格之客戶)同意與本公司開立上述帳戶。

2. The Client(s) have read and understood the provisions of the Cash Client's Agreement, and/or Margin Client's Agreement applicable to the type of account(s) that the Client(s) agree to open and the Client(s) accept to be bound by the same.

客戶(等)已閱讀並明白在現金客戶協議書及/或保證金客戶協議書中所載的適用於客戶所選擇之帳戶類別之一切條款，並接受這些條款的約束。

3. The information contained in this Account Opening Form is true and accurate. The Company is entitled to rely fully on such information for all purposes, unless the Company receive notice in writing of any change.

客戶(等)載於開戶表格中的資料是真實和準確的。除非本公司收到資料更改的書面通知，本公司有權為任何目的信賴這些資料。

4. The Client(s) have received the English and Chinese versions of the Cash Client's Agreement (which including the Internet Securities Trading Agreement, Stock Options Trading Agreement, Personal Information Collection Statement), Margin Client's Agreement (which including the Internet Securities Trading Agreement, Stock Options Trading Agreement, Personal Information Collection Statement) and other legal documents of the Company.  
 客戶(等)已收取了本公司之現金客戶協議書(包括互聯網證券交易協議書、股票期權交易協議書及個人資料收集聲明)及/或保證金客戶協議書(包括互聯網證券交易協議書、股票期權交易協議書及個人資料收集聲明)及其他法律文件。
5. The Client(s) acknowledge that the Risk Disclosure Statement (including the relevant risks associated with trading of RMB securities and exchange-traded derivative products) of the securities account, Risk Disclosure Statement in Stock Options Trading Agreement (if applicable) and the Risk Disclosure Statement in the Internet Securities Trading Agreement (if applicable) were provided in a language of Client's own choice (English or Chinese) and the Client was invited to read the Risk Disclosure Statement, to ask questions and take independent advice if the client wishes.  
 客戶(等)確認已按照客戶選擇的語言(英文或中文)獲得證券帳戶的風險披露聲明書(包括有關買賣人民幣證券及在交易所買賣的衍生產品所涉及的風險)、股票期權交易協議書所載之風險披露聲明書(如適用),及互聯網證券交易所載之風險披露聲明書(如適用)及已獲邀請閱讀該風險披露聲明書,股票期權交易協議書所載之風險披露聲明書(如適用),及互聯網證券交易所載之風險披露聲明書(如適用)及提出問題及徵求獨立的意見(如客戶有此意願)。
6. If the Client(s) are characterized as "without knowledge of derivatives", the Client(s) further acknowledge that the Client(s) have carefully read the relevant risks associated with investing in derivative products Risk Disclosure Statement in the Client's Agreement and fully understood the relevant risks herewith. Although the Client(s) might not have relevant derivatives product(s) trading experience, the Client(s) may still base on the own independent judgement of the Client(s) to request for entering into transaction(s) of derivatives product(s) and would take all risks associated.  
 如客戶(等)被歸類為「對衍生產品沒有認識」,客戶(等)進一步確認已仔細閱讀在現金客戶協議書及/或保證金客戶協議書所載之風險披露聲明書所列明的有關投資衍生產品所涉及的風險,並完全明白其中所述之相關風險。儘管客戶可能並沒有相關衍生產品交易經驗,客戶可能基於客戶獨立判斷仍要求進行衍生產品交易。客戶願意承擔所有相關衍生產品風險。
7. The Client(s) are NOT (1) resident(s) of the United States of America ("US") or (2) residents of Canada ("CN"), whether for US or CN securities or tax laws or for any other purposes. The Client(s) also confirm that the Client(s) are not acting as agent on behalf of any US resident and/or CN resident. The Client(s) undertake to immediately notify THE COMPANY should the Client(s) become or be deemed to be (1) resident(s) of the US or (2) resident(s) of CN at any future time.  
 無論就美國或加拿大的證券或稅務法例或其他方面而言,客戶承諾,如客戶(等)日後成為或被視作(1)美國居民或(2)加拿大居民,將立即通知本公司。
8. The Client(s) acknowledge that the Client(s) have read the Personal Information Collection Statement and agreed to the terms in it. The Client(s) understand and acknowledge that the Company intends to use the Client's personal data for direct marketing and the Company may not so use the Client's data unless the Company has received my/our consent to such intended use. The Client(s) expressly acknowledge, confirm and agree that unless the Client(s) decide to opt out the use of the Client's personal data for direct marketing as stated in Section F or by giving notice to the Company at any time as stipulated in Personal Information Collection Statement, the Company shall use the Client's personal data for direct marketing as stipulated in Personal Information Collection Statement by whatsoever channels.  
 客戶(等)承認已詳閱個人資料收集聲明,並完全同意其條款。客戶(等)明白及承認本公司擬把客戶(等)的資料使用於直接促銷及本公司須收到客戶(等)對該資料使用的同意,否則不得如此使用該資料。客戶(等)清楚明白、承認及同意除非客戶(等)決定如第(6)部份所述或根據有關個人資料收集聲明所載隨時通知本公司而拒絕該等使用,本公司能將根據個人資料收集聲明所載使用客戶(等)的個人資料以任何途徑於直接促銷。
- 8.1 The Client is hereby informed that the Company intends to use and transfer within the Company the Client's personal data for the direct marketing of: (i) Financial services and investment products; (ii) Related promotional schemes; (iii) Financial and investment advices; or (iv) Promotional and marketing events of the Company for the aforesaid services or products. Such personal data includes our name, contact details, financial background and statistical data which are provided to the Company under this Account Opening Form or obtained by the Company from time to time. The Client understands that the Client may, at any time, require the Company to cease to use or transfer within the Company the Client's personal data for direct marketing through such channel prescribed by the Company.  
 客戶現獲告知本公司擬使用及在本公司轉移客戶於本公司之個人資料以直接促銷:(i) 金融服務和產品;(ii) 相關優惠計劃;(iii) 金融與投資建議;或(iv) 本公司就前述產品及服務之業務推廣和宣傳活動。該等個人資料包括客戶在本開戶表格中向本公司提供的及本公司不時獲得的姓名、聯絡詳情、財務背景及統計資料等個人資料。客戶明白客戶可以隨時通過本公司指定的渠道要求本公司停止在直接促銷中使用客戶的個人資料。
- The Client agrees to the aforesaid use of the Client's personal data in the Company.  
 客戶同意本公司如上述情況使用客戶之個人資料。
- The Client agrees to the aforesaid transfer of the Client's personal data within the Company.  
 客戶同意如上述情況在本公司之間轉移客戶之個人資料。
- The Client objects to the use of or transfer within the Company the Client's personal data by the Company in direct marketing.  
 客戶反對本公司使用或在本公司之間轉移客戶的個人資料作直接促銷用途。

- 8.2 If the Company solicits the sale of or recommend any financial product to the client, the financial product must be reasonably suitable for the client having regard to the client's financial situation, investment experience and investment objectives. No other provision of this agreement or any other document the Company may ask the client to sign and no statement the Company may ask the client to make derogates from this clause.

假如本公司向客戶招攬銷售或建議任何金融產品，該金融產品必須是本公司經考慮客戶的財政狀況、投資經驗及投資目標後而認為合理地適合客戶的。本協議的其他條文或任何其他本公司可能要求客戶簽署的文件及本公司可能要求客戶作出的聲明概不會減損本條款的效力。

*Note: "Financial product" means any securities, futures contracts or leveraged foreign exchange contracts as defined under the SFO. Regarding "leveraged foreign exchange contracts", it is only applicable to those traded by persons licensed for Type 3 regulated activity.*

註：“金融產品”指《證券及期貨條例》所界定的任何證券、期貨合約或槓桿式外匯交易合約。就“槓桿式外匯交易合約”而言，其只適用於由獲得發牌經營第3類受規管活動的人所買賣的該等槓桿式外匯交易合約。

9. For Client using the Internet Trading Service 適用於使用網上交易服務之客戶：

9.1. the Client(s) have read and understood the provisions of the Internet Trading Agreement as set out in the Cash Client's Agreement, and/or Margin Client's Agreement of the Company and the Client(s) accept to be bound by the same.

客戶(等)已經閱讀並明白在本公司的現金客戶協議書或保證金客戶協議書的客戶協議書中，所載之互聯網交易協議的條款，並接受這些條款的約束。

9.2. The Company will send the Internet Trading Account No. and Password to the Client(s) via "Short Message Service" (SMS) and/or email unless otherwise requested by the Client(s) in advance

除非客戶(等)另有要求，本公司將以手提電話短訊及/或電子郵件寄出網上交易帳號及密碼。

10. For Stock Options Client only 適用於股票期權客戶：

10.1. the Client hereby authorizes the Company to submit a claim with the SEHK Options Clearing House Ltd. ("SEOCH") in respect of the Client's open positions to the effect that SEOCH will calculate and collect margin in respect of such positions on a portfolio basis.

本公司在此獲授權向香港聯合交易所有限公司(簡稱「聯交所」)提交關於客戶之持倉由期權結算所以組合基礎計算及收取相關之按金。

10.2. the Client confirms that the Client have read, understood and accepted the reporting requirements and the responsibilities of reporting as set out in the Rules for Options Trading Participants of the Stock Exchange and the Securities and Futures (Contract Limits and Reportable Positions) Rules and related guidance notes issued by the Securities and Futures Commission.

客戶(等)已獲邀請閱讀列於聯交所規則、證券及期貨(合約限量及須申報的持倉量)規則及由證監會發出的申報規定及責任。

11. The Client agrees to read and understand the latest agreements at the Company website <https://www.leeds.hk>, and know that the Company will update the agreements from time to time.

客戶同意自行到本公司網站 <https://www.leeds.hk> 瀏覽最更新之相關客戶協議書條款，並知悉本公司會適時於本公司網站發佈最更新之各客戶協議書。

12. If there is a discrepancy between English and Chinese version of the Account Opening Form, the English version shall prevail.

如開戶表格之中英文版本文義有歧義，將以英文版本為準。

Signature of Joint Account Holder

帳戶持有人簽署

Name 姓名:

Date 日期:

Signature of Joint Account Holder (if Applicable)

帳戶第二持有人簽署(如適用)

Name 姓名:

Date 日期:

Witness 見證人

The undersigned hereby certify

以下簽署特此核證如下：

- (i) the signing of the Account Opening Form by the Client; and  
客戶簽署本開戶表格；及  
(ii) the sighting of the related identity documents of the Client  
見證客戶的有關身份證明文件

Name of Witness 見證人姓名:

Profession/Title 所屬專業/銜頭:

Signature of Witness

見證人簽署:

Date 日期:

## (XII) Risk Statements 風險聲明

(to be completed by the Company 此欄由本公司填寫)

**Declaration by Licensed Person 持牌人士聲明：**

I, a licensed or registered person, hereby declare that I have provided the above Client with a copy of the Risk Disclosure Statement (including the relevant risks associated with investing in RMB securities and exchange-traded derivative products) in a language of Client's choice (English or Chinese), and invited the Client to read the Risk Disclosure Statement referred to in the Cash Client's Agreement and/or the Margin Client's Agreement, to ask questions and take independent advice if the client wishes.

本人，以持牌人或註冊人身份，確認本人已按照上述客戶選擇的語言英文或中文提供風險披露聲明書(包括有關買賣人民幣證券及在交易所買賣的衍生產品所涉及的風險)、股票期權交易協議書所載之風險披露聲明書(如適用)及互聯網證券交易協議書所載之風險披露聲明書(如適用)，及提示客戶閱讀現金客戶協議書及／或保證金客戶協議書之風險披露聲明書、股票期權交易協議書所載之風險披露聲明書(如適用)及互聯網證券交易協議書所載之風險披露聲明書(如適用)，亦邀請客戶如有需要可以提出問題及徵求獨立的意見。

If the Client is characterized as "without knowledge of derivatives", I further declare that I have explained to the Client the relevant risks associated with trading of exchange-traded derivative products which specified in the Risk Disclosure Statement and the Client fully understood the relevant risks herewith.

如客戶被歸類為「對衍生產品沒有認識」，本人進一步確認已向客戶解釋在風險披露聲明書內所列明的有關購買在交易所買賣的衍生產品所涉及的風險，及客戶已完全明白其中所述之相關風險。

Signature of Licensed Person 持牌人士簽署:	Name of Licensed Person 持牌人士姓名:	Position 職位:
	CE No.中央編號:	Date 日期:

## FOR OFFICIAL USE ONLY

Name / Code of AE:

Signature of AE:

**Document Check**

- |   |   |
|---|---|
| 1. I.D. Card / PRC I.D. Card / Passport Copy  | <input type="checkbox"/> Yes                              |
| 2. Exit-entry Permit for Travelling to and from Hong Kong and Macao /<br>Landing Slip (if applicable) | <input type="checkbox"/> Yes <input type="checkbox"/> N/A |
| 3. Address Proof (recent 3 months)  | <input type="checkbox"/> Yes                              |
| 4. Bank and credit Reference (if applicable) e.g. Bank statement, title deeds etc.                    | <input type="checkbox"/> Yes                              |
| 5. W8 Form / W9 Form  | <input type="checkbox"/> Yes                              |
| 6. Standing Authority for Client Money (For Margin Account Only)                                      | <input type="checkbox"/> Yes <input type="checkbox"/> N/A |
| 7. Standing Authority for Client Securities (For Margin Account Only)                                 | <input type="checkbox"/> Yes <input type="checkbox"/> N/A |
| 8. Third Party Authorization Form (if applicable)   | <input type="checkbox"/> Yes <input type="checkbox"/> N/A |
| 9. Employer consent letter (if applicable)  | <input type="checkbox"/> Yes <input type="checkbox"/> N/A |
| 10. Professional Investor Status Declaration (if applicable)  | <input type="checkbox"/> Yes <input type="checkbox"/> N/A |
| 11. Other(s): _____   | <input type="checkbox"/> Yes <input type="checkbox"/> N/A |

**Document reviewed by**

Name of Staff:

Signature of Staff:

Date:

Account Type	Commission – by Telephone		Commission – by Internet Trading	
- Securities Cash	Brokerage (%)	Min.	Brokerage (%)	Min.
- Securities Margin	Brokerage (%)	Min.	Brokerage (%)	Min.

## FOR OFFICIAL USE ONLY (cont.)

**Customer Risk Assessment**

		(1)	(2)	(3)
	Risk Factor	<input type="checkbox"/> Account holder <input type="checkbox"/> Beneficial owner <input type="checkbox"/> Authorised person	<input type="checkbox"/> Account holder <input type="checkbox"/> Beneficial owner <input type="checkbox"/> Authorised person	<input type="checkbox"/> Account holder <input type="checkbox"/> Beneficial owner <input type="checkbox"/> Authorised person
<b>A</b>	For AE			
<b>1</b>	Account holder without regular income or discernible source of wealth			
<b>2</b>	Account holder is involved in cash intensive business e.g. casino, money exchanger/ remittance agent			
<b>3</b>	Account holder or a company in the ownership chain has issued bearer shares			
<b>4</b>	PEP			
<b>5</b>	Background and other information raises ML/TF concerns			
<b>S</b>	For Settlement			
<b>1</b>	On OFAC sanction list (attach print out)			
<b>2</b>	On UN sanction list (date list checked: _____)			
<b>3</b>	From high risk jurisdiction (ie nationality, place of incorporation)			
<b>4</b>	PEP			

*Important Note:*

1. Must not open an account if the answer to S1 and S2 is positive.
2. The customer is classified as high risk and opening of the account requires senior management approval if the answer to any other questions is positive.

AE Name:	Settlement Name:	Risk Classification (filled in by Settlement)	Senior Management Approval
Sign:	Sign:	Low / Medium / High	Sign:
Date:	Date:		Date:

Remark(s)

**Data Input & Approval**

Processed By	Checked By	Approved By (Director / RO)	
Signature	Signature	Signature	
Name of Staff: Date:	Name of Staff: Date:	Name of Staff: Date:	
Password Generated By	Welcome Message Sent By	Copy Scanned By	Filed By
Signature:	Signature	Signature	Signature
Name of Staff: Date:	Name of Staff: Date:	Name of Staff: Date:	Name of Staff: Date: