

個人/聯名戶口適用
APPLICABLE FOR INDIVIDUAL / JOINT ACCOUNT



香港國際證券有限公司
HONG KONG INTERNATIONAL SECURITIES LIMITED

開立現金/保證金證券戶口
Account Opening For Cash/Margin Account



HONG KONG INTERNATIONAL SECURITIES LIMITED
香港國際證券有限公司

Appointment Form For Account Opening
開戶預約單

I/We apply for appointment of account opening –
本人申請向香港國際證券預約開戶，所開戶口類別（請勾選）

- Individual Account 個人戶口 Joint Account 聯名戶口
 Cash Account 現金證券戶口 Margin Account 保證金證券戶口

Client Information as below 主要個人資訊如下：

Name 姓名		Contact No 聯繫電話	
E-Mail 電子郵件			
Please sign if reply by post 經郵寄方式回覆之客戶請簽名			

Please sign and return this form via as below:

E-mail to hkics@hkifsgroup.com or

Fax to 852-28155652 or

By post to Room 2305-2306, 23/F, China Resources Building, 26 Harbour Road, Wan Chai, Hong Kong

請閣下簽名後將此表格通過以下方式遞交：

電子郵件發送至 hkics@hkifsgroup.com 或

傳真至 852-28155652 或

郵寄至香港灣仔港灣道 26 號華潤大廈 23 樓 2305-2306 室。

ACCOUNT OPENING FORM – INDIVIDUAL / JOINT ACCOUNT

開戶表格 - 個人 / 聯名戶口

Application for:申請戶口為:	Application for Account Types 申請戶口種類:
<input type="checkbox"/> Individual Account 個人戶口 <input type="checkbox"/> Joint Account 聯名戶口	<input type="checkbox"/> Cash Account 現金證券戶口 <input type="checkbox"/> Margin Account 保證金證券戶口

PLEASE PROVIDE FOLLOWING DOCUMENTS COPY 請提供以下文件副本:

- Identity Proof (The following order of Priority): (1) Hong Kong Residents – Hong Kong ID Card; (2) Mainland China Residents – Mainland China ID Card and “Exit-entry Permit for Travelling to and from Hong Kong and Macao” OR Mainland China ID Card and Passport; (3) Other National Identification Doc.; (4) Overseas Residents – Passport
身份證明文件(根據以下優先次序提供): (1)香港居民-香港身份證; (2)中國居民-中國身份證及通行證或中國身份證及護照; (3)其他國民身份證明文件; (4) 海外居民-護照
- Residential Address Proof: Should be public utilities bills or bank statements within the past three months (same address as “Client Informational Statement”).
住址證明: 住址證明必須為最近 3 個月之公用事業帳單或銀行月結單等 (必須與“客戶資料聲明”上填寫的住址相同)。
- Bank Account Proof: Copy of a bank account statement /bank card within the last 3 months
銀行帳戶證明:請提供最近 3 個月的銀行結單/銀行卡副本。

PLEASE PROVIDE FOLLOWING DOCUMENTATION IF IN NEED 根據需要提供額外文件:

- APPLICATION FOR THE STOCK CONNECT NORTHBOUND TRADING (ONLY FOR CASH CLIENT)中華通北向交易服務申請 (只限現金客戶適用)
- AUTHORIZED PERSON DECLARATION 授權代表聲明 (個人客戶授權代表適用)
- LETTER OF AUTHORISATION (JOINT ACCOUNT)授權書 (聯名帳戶)
- AUTHORIZED PERSON DECLARATION (FOR THIRD PARTY TO OPERATE MY / OUR ACCOUNT(S))授權書(授權第三者操作戶口適用)
- AUTHORITY FOR THIRD PARTY TO OPERATE MY / OUR ACCOUNT(S). If yes, please provide the Authorised Person's Identity proof and address proof
授權人聲明(授權第三者操作戶口適用) 如有, 授權人需提供身份證明文件及地址證明副本
- Form W-8BEN (7-2017) Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and reporting (FOR NON U.S. CITIZENS) W-8BEN 稅表

PART I : CLIENT INFORMATIONAL STATEMENT 第一部份: 客戶資料聲明

INDIVIDUAL INFORMATION 個人資料			
Individual/Primary Joint Account Holder 個人戶口客戶/聯名主要戶口持有人		Secondary Joint Account Holder 聯名帳戶第二戶口持有人	
<input type="checkbox"/> Mr.先生 <input type="checkbox"/> Miss 小姐 <input type="checkbox"/> Mrs.女士	Chinese Name: 中文姓名	<input type="checkbox"/> Mr.先生 <input type="checkbox"/> Miss 小姐 <input type="checkbox"/> Mrs.女士	Chinese Name: 中文姓名
Nationality: 國籍:	English Name: 英文姓名:	Nationality: 國籍:	English Name: 英文姓名:
Country of Birth: 出生地:	Date of Birth: 出生日期: D 日 M 月 Y 年	Country of Birth: 出生地:	Date of Birth: 出生日期: D 日 M 月 Y 年
Identity Document Type:身份證明文件種類: <input type="checkbox"/> 1. Hong Kong ID 香港身份證 <input type="checkbox"/> 2. PRC ID 中國身份證 <input type="checkbox"/> 3. Other National Identification Doc.其他國民身份證明文件 <input type="checkbox"/> 4. Passport 護照		Identity Document Type:身份證明文件種類: <input type="checkbox"/> 1. Hong Kong ID 香港身份證 <input type="checkbox"/> 2. PRC ID 中國身份證 <input type="checkbox"/> 3. Other National Identification Doc.其他國民身份證明文件 <input type="checkbox"/> 4. Passport 護照	
Place of Issue: 發出國家:	ID Card No. / Passport No.: 身份證明文件號碼:	Place of Issue: 發出國家:	ID Card No. / Passport No.: 身份證明文件號碼:
Tel. No.: 電話號碼:	Mobile No.: 手提電話號碼:	Tel. No.: 電話號碼:	Mobile No.: 手提電話號碼:
E-mail Address: 電郵地址:		E-mail Address: 電郵地址:	
Residential Address:客戶住址:		Residential Address:客戶住址:	
Country and City:國家及城市:		Country and City:國家及城市:	
Correspondence Address:客戶通訊地址:		Correspondence Address:客戶通訊地址:	
Country and City:國家及城市:		Country and City:國家及城市:	

FOR JOINT ACCOUNT ONLY 只適用於聯名戶口

Relationship between Primary Account Holder and Secondary Joint Account Holder:

聯名主要戶口持有人與聯名第二戶口持有人的關係:

Signing Arrangement 簽名安排

The Account can be operated, including fund withdrawal, under the instruction of: 此戶口可根據以下指示方式操作, 包括資金提取:

 Either one of the account holders; or 任何一位戶口持有人的指示; 或 Both account holders 兩位戶口持有人的指示**EMPLOYMENT INFORMATION 受僱資料:**

Individual/Primary Joint Account Holder 個人戶口客戶/聯名主要戶口持有人		Secondary Joint Account Holder 聯名帳戶第二戶口持有人	
Nature of Business: 工作行業:	Job Position: 工作職位:	Nature of Business: 工作行業:	Job Position: 工作職位:
Company Name:公司名稱:		Company Name:公司名稱:	
Office Address:辦公室地址:		Office Address:辦公室地址:	
Office Tel. No.:辦公室電話:		Office Tel. No.:辦公室電話:	
Duration with Employer 受僱年期:		Duration with Employer 受僱年期:	

INFORMATION DISCLOSURES 資料披露:

Client is an employee of SEHK/HKFE Participant? 客戶現受聘於香港聯合交易所/期貨交易所之參與者? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是(Please give details:請詳述:_____)	Client is an employee of SEHK/HKFE Participant? 客戶現受聘於香港聯合交易所/期貨交易所之參與者? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是(Please give details:請詳述:_____)
Client is related to the company's employees? 客戶與本公司之僱員有直屬關係? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是(Please give details:請詳述:_____)	Client is related to the company's employees? 客戶與本公司之僱員有直屬關係? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是(Please give details:請詳述:_____)
Is the Client, his/her spouse, partner, child, parent, spouse or partner of his/her child, or a close associate of the Client entrusted or has been entrusted with a prominent public function, includes a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a stated-owned enterprise and an important political party official? 客戶、客戶之配偶、伴侶、子女或父母, 或客戶的子女的配偶或伴侶, 或與客戶關係密切的人, 是否擔任或曾擔任重要公職, 包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 Name of PEP 政治人物姓名: _____ Position of PEP 政治人物職位: _____ Country the PEP belongs 政治人物所屬國家: _____ PEP relationship with you 政治人物與你之關係: _____	Is the Client, his/her spouse, partner, child, parent, spouse or partner of his/her child, or a close associate of the Client entrusted or has been entrusted with a prominent public function, includes a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a stated-owned enterprise and an important political party official? 客戶、客戶之配偶、伴侶、子女或父母, 或客戶的子女的配偶或伴侶, 或與客戶關係密切的人, 是否擔任或曾擔任重要公職, 包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 Name of PEP 政治人物姓名: _____ Position of PEP 政治人物職位: _____ Country the PEP belongs 政治人物所屬國家: _____ PEP relationship with you 政治人物與你之關係: _____
Client is an employee of a SFC's licensed corporation or registered institution under Banking Ordinance? 客戶是否證監會持牌法團或銀行業條例之註冊機構的僱員? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是(Please provide Employer's Consent Letter and specify) (請提供僱主同意書及述明具體:) Name of Licensed Corporation/Registered Institution 持牌法團或註冊機構名稱: _____ CE Number 中央編號: _____	Client is an employee of a SFC's licensed corporation or registered institution under Banking Ordinance? 客戶是否證監會持牌法團或銀行業條例之註冊機構的僱員? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是(Please provide Employer's Consent Letter and specify) (請提供僱主同意書及述明具體:) Name of Licensed Corporation/Registered Institution 持牌法團或註冊機構名稱: _____ CE Number 中央編號: _____

FINANCIAL SUMMARY 財務狀況:	
Source of Funds 資金來源 <input type="checkbox"/> Salary/Commission 薪金/佣金 <input type="checkbox"/> Sales of Property 售出物業 <input type="checkbox"/> Savings 積蓄 <input type="checkbox"/> Individual Business 個人業務 <input type="checkbox"/> Investment Return 投資收益 <input type="checkbox"/> Others, please specify 其他:請註明 _____ (tick more than one box, if appropriate 如有需要, 可勾選多於一項)	Source of Funds 資金來源 <input type="checkbox"/> Salary/Commission 薪金/佣金 <input type="checkbox"/> Sales of Property 售出物業 <input type="checkbox"/> Savings 積蓄 <input type="checkbox"/> Individual Business 個人業務 <input type="checkbox"/> Investment Return 投資收益 <input type="checkbox"/> Others, please specify 其他:請註明 _____ (tick more than one box, if appropriate 如有需要, 可勾選多於一項)
Annual Salary (in HK\$) 年薪 (以港幣計) : <input type="checkbox"/> 250,000 Below 以下 <input type="checkbox"/> 250,000 - 500,000 <input type="checkbox"/> 500,001 - 1,000,000 <input type="checkbox"/> 1,000,000 Over 以上	Annual Salary (in HK\$) 年薪 (以港幣計) : <input type="checkbox"/> 250,000 Below 以下 <input type="checkbox"/> 250,000 - 500,000 <input type="checkbox"/> 500,001 - 1,000,000 <input type="checkbox"/> 1,000,000 Over 以上
Average Size of Trades (in HK\$) 預期平均交易金額 (以港幣計) <input type="checkbox"/> \$10,000 - \$50,000 <input type="checkbox"/> \$50,001 - \$200,000 <input type="checkbox"/> \$200,001 - \$1,000,000 <input type="checkbox"/> \$1,000,000 or above 以上	Average Size of Trades (in HK\$) 預期平均交易金額 (以港幣計) <input type="checkbox"/> \$10,000 - \$50,000 <input type="checkbox"/> \$50,001 - \$200,000 <input type="checkbox"/> \$200,001 - \$1,000,000 <input type="checkbox"/> \$1,000,000 or above 以上
Origins of Source of Funds 資金來源地 <input type="checkbox"/> HK 香港 <input type="checkbox"/> China 中國 <input type="checkbox"/> Taiwan 台灣 <input type="checkbox"/> US 美國 <input type="checkbox"/> Others, please specify 其他:請註明 _____ (tick more than one box, if appropriate 如有需要, 可勾選多於一項)	Origins of Source of Funds 資金來源地 <input type="checkbox"/> HK 香港 <input type="checkbox"/> China 中國 <input type="checkbox"/> Taiwan 台灣 <input type="checkbox"/> US 美國 <input type="checkbox"/> Others, please specify 其他:請註明 _____ (tick more than one box, if appropriate 如有需要, 可勾選多於一項)
GENERAL INFORMATION 一般資料:	
Settlement Bank A/C : 交收銀行帳戶: 【Client shall not settle any trading transaction with third-party cheques】【客戶不能以第三者支票交收】 Bank Name 銀行名稱: _____ Bank A/C No. 銀行戶口號碼: _____ Currency 貨幣: _____ Attention 注意: All credit balance are deposited into the Client's Securities Account 所有結餘存放於客戶證券戶口內	
Method of receiving confirmations and statements 買賣單據及結單收取方式: (Please choose one) (只選一項) <input type="checkbox"/> By E-mail 電郵 <input type="checkbox"/> By Post (Postal fee will be charged) 郵寄(郵寄形式將收取費用) Statement Language 買賣單據及結單語言: <input type="checkbox"/> Traditional Chinese 繁體中文 <input type="checkbox"/> Simplified Chinese 簡體中文 <input type="checkbox"/> English 英文	
APPLICATION FOR THE INTERNET TRADING SERVICES 申請互聯網交易服務:	
Client are require internet trading services of Securities Trading Account? 客戶是否需要開通證券交易帳戶網上交易服務? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 I/We hereby acknowledge that I/we undertake to use such services in accordance with the contents of the terms/conditions as prescribed by your Agreement and we acknowledge such service charges. I/We also agree to place all credit balance of captioned account in your company until you receive my/our further instruction. 本人 / 吾等特此承認本人 / 吾等承諾按照 本公司之協議書訂定之條款使用該服務並知悉該服務之收費。本人 / 吾等亦同意存放本人 / 吾等戶口內之所有結餘於 本公司, 直至本人 / 吾等另行通知。 (Please choose one) (只選一項) <input type="checkbox"/> Apply for "Internet Trading Services". 申請「網上交易服務」。 <input type="checkbox"/> Apply for "Internet Trading Services" with "Streaming real-time quote service (Monthly)". 申請「網上交易服務」連同「即時串流式報價服務(月費)」。 請接受本人 / 吾等之申請, 並透過電子郵件 (根據本人/吾等收取買賣單的電郵地址) 通知本人 / 吾等之「登入名稱」及「密碼」。 Please accept my/our application and notify me/us the "Login Name" & "Password" by e-mail (according to my / our email address to receive statement).	

PART II : ACCOUNT OPENING QUESTIONNAIRE 第二部份: 開戶問卷

Below information is collected according to the “know-your-client requirements” and Paragraph 5.1A of Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission of the Securities and Futures Commission of Hong Kong.

本公司根據香港證券及期貨事務監察委員會所制定之《認識你的客戶要求》及《操守準則》內有關衍生產品的規定而索取有關資料。

【Please “✓” on the most appropriate choice and fill in information】【請在下列最適當的選擇旁加上“✓”及填寫相關資料】

INVESTMENT EXPERIENCE AND RISK TOLERANCE 投資經驗及風險承受程度

Individual/Primary Joint Account Holder 個人戶口客戶/聯名主要戶口持有人	Secondary Joint Account Holder 聯名帳戶第二戶口持有人
1. Years of Investment Experience in 投資經驗年期: (a) Securities 證券 <input type="checkbox"/> NIL 無 <input type="checkbox"/> 1-2 <input type="checkbox"/> 3-5 <input type="checkbox"/> 6-10 <input type="checkbox"/> >10 (b) Derivative Warrants 衍生權證 <input type="checkbox"/> NIL 無 <input type="checkbox"/> 1-2 <input type="checkbox"/> 3-5 <input type="checkbox"/> 6-10 <input type="checkbox"/> >10 (c) Callable Bull/Bear Contracts 牛熊證 <input type="checkbox"/> NIL 無 <input type="checkbox"/> 1-2 <input type="checkbox"/> 3-5 <input type="checkbox"/> 6-10 <input type="checkbox"/> >10 (d) Index Futures 指數期貨 <input type="checkbox"/> NIL 無 <input type="checkbox"/> 1-2 <input type="checkbox"/> 3-5 <input type="checkbox"/> 6-10 <input type="checkbox"/> >10 (e) Exchanged Traded Fund (ETF) 交易所買賣基金 <input type="checkbox"/> NIL 無 <input type="checkbox"/> 1-2 <input type="checkbox"/> 3-5 <input type="checkbox"/> 6-10 <input type="checkbox"/> >10 (f) Structured Products 結構性產品 <input type="checkbox"/> NIL 無 <input type="checkbox"/> 1-2 <input type="checkbox"/> 3-5 <input type="checkbox"/> 6-10 <input type="checkbox"/> >10 (g) Bonds 債券 <input type="checkbox"/> NIL 無 <input type="checkbox"/> 1-2 <input type="checkbox"/> 3-5 <input type="checkbox"/> 6-10 <input type="checkbox"/> >10	1. Years of Investment Experience in 投資經驗年期: (a) Securities 證券 <input type="checkbox"/> NIL 無 <input type="checkbox"/> 1-2 <input type="checkbox"/> 3-5 <input type="checkbox"/> 6-10 <input type="checkbox"/> >10 (b) Derivative Warrants 衍生權證 <input type="checkbox"/> NIL 無 <input type="checkbox"/> 1-2 <input type="checkbox"/> 3-5 <input type="checkbox"/> 6-10 <input type="checkbox"/> >10 (c) Callable Bull/Bear Contracts 牛熊證 <input type="checkbox"/> NIL 無 <input type="checkbox"/> 1-2 <input type="checkbox"/> 3-5 <input type="checkbox"/> 6-10 <input type="checkbox"/> >10 (d) Index Futures 指數期貨 <input type="checkbox"/> NIL 無 <input type="checkbox"/> 1-2 <input type="checkbox"/> 3-5 <input type="checkbox"/> 6-10 <input type="checkbox"/> >10 (e) Exchanged Traded Fund (ETF) 交易所買賣基金 <input type="checkbox"/> NIL 無 <input type="checkbox"/> 1-2 <input type="checkbox"/> 3-5 <input type="checkbox"/> 6-10 <input type="checkbox"/> >10 (f) Structured Products 結構性產品 <input type="checkbox"/> NIL 無 <input type="checkbox"/> 1-2 <input type="checkbox"/> 3-5 <input type="checkbox"/> 6-10 <input type="checkbox"/> >10 (g) Bonds 債券 <input type="checkbox"/> NIL 無 <input type="checkbox"/> 1-2 <input type="checkbox"/> 3-5 <input type="checkbox"/> 6-10 <input type="checkbox"/> >10
2. Investment Objectives 投資目的 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Arbitrage 套戥 <input type="checkbox"/> Capital Gain 資本增值 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Dividend Income 股息收入 <input type="checkbox"/> Other, please specify 其他,請說明 _____	2. Investment Objectives 投資目的 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Arbitrage 套戥 <input type="checkbox"/> Capital Gain 資本增值 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Dividend Income 股息收入 <input type="checkbox"/> Other, please specify 其他,請說明 _____
3. Expected Investment Period 預計投資時間 <input type="checkbox"/> Short Term(Less than 6 Months)短期(少於 6 個月) <input type="checkbox"/> Medium Term(6-12 Months) 中期(6-12 個月) <input type="checkbox"/> Long Term (over 1 year) 長期(1 年以上)	3. Expected Investment Period 預計投資時間 <input type="checkbox"/> Short Term(Less than 6 Months)短期(少於 6 個月) <input type="checkbox"/> Medium Term(6-12 Months) 中期(6-12 個月) <input type="checkbox"/> Long Term (over 1 year) 長期(1 年以上)
4. Client Risk Tolerance 客戶可承受風險 <input type="checkbox"/> Low 低 <input type="checkbox"/> Medium 中 <input type="checkbox"/> High 高	4. Client Risk Tolerance 客戶可承受風險 <input type="checkbox"/> Low 低 <input type="checkbox"/> Medium 中 <input type="checkbox"/> High 高

KNOWLEDGE OF DERIVATIVE PRODUCTS 衍生產品認識

5. Have you ever undergone training or attended courses on below investment products in the past 5 years? 閣下在過去 5 年內有否曾接受有關投資產品的培訓或修讀相關課程? <input type="checkbox"/> *No 否 <input type="checkbox"/> Yes 是 Name of the academic institution or financial institution:學術或金融機構名稱: _____ Name of the courses/Seminars 培訓或修讀相關課程之名稱 _____ Date of attending the above courses/seminars 培訓或修讀以上相關課程之日期 _____	5. Have you ever undergone training or attended courses on below investment products in the past 5 years? 閣下在過去 5 年內有否曾接受有關投資產品的培訓或修讀相關課程? <input type="checkbox"/> *No 否 <input type="checkbox"/> Yes 是 Name of the academic institution or financial institution:學術或金融機構名稱: _____ Name of the courses/Seminars 培訓或修讀相關課程之名稱 _____ Date of attending the above courses/seminars 培訓或修讀以上相關課程之日期 _____
6. Have you ever had work experience related to investment products? 閣下在現時或過去與投資產品有關的工作經驗? <input type="checkbox"/> *No 否 <input type="checkbox"/> Yes 是 Company Name 公司名稱: _____ Nature of Business & Job 行業及職位名稱: _____ Position 行業及職位名稱: _____ Years of experience 工作年資 _____	6. Have you ever had work experience related to investment products? 閣下在現時或過去與投資產品有關的工作經驗? <input type="checkbox"/> *No 否 <input type="checkbox"/> Yes 是 Company Name 公司名稱: _____ Nature of Business & Job 行業及職位名稱: _____ Position 行業及職位名稱: _____ Years of experience 工作年資 _____
7. The Client has executed five or more transactions within the past three years in derivative products, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Index Futures, Structured Products, and Exchange Traded Funds, etc? 閣下於過去 3 年曾執行 5 次或以上有關衍生產品的交易, 例如: 衍生權證、牛熊證、指數期貨、結構性產品及交易所買賣基金等? <input type="checkbox"/> *No 否 <input type="checkbox"/> Yes 是(Please give details:請詳述: _____)	7. The Client has executed five or more transactions within the past three years in derivative products, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Index Futures, Structured Products, and Exchange Traded Funds, etc? 閣下於過去 3 年曾執行 5 次或以上有關衍生產品的交易, 例如: 衍生權證、牛熊證、指數期貨、結構性產品及交易所買賣基金等? <input type="checkbox"/> *No 否 <input type="checkbox"/> Yes 是(Please give details:請詳述: _____)

*If your selection is “NO” on the above Part II, the following registered Licensed Person based on you lack of knowledge and investment experience of derivative products, that have fully and clearly explained the characteristics and/or related risks disclosure of derivative products to you.

*如在這部份你選擇是「否」, 下列註冊持牌人基於閣下對衍生產品缺乏認識及相關投資經驗, 已充份向閣下清楚解釋衍生產品的特點 / 或相關風險的披露。

Name of Registered

Licensed Person

註冊持牌人姓名: _____

IN PERSON 現場

PHONE 透過電話

Date 日期: _____

PART III: ANTI MONEY LAUNDERING & ANTI TERRORIST FINANCING QUESTIONNAIRE

第三部份: 防止洗黑錢及防止恐怖份子籌資活動問卷

PLEASE ANSWER PART (a), ANSWER PART(b)if in need. 請答(a), 根據需要選答(b). Note: If the answer to any of the following questions is "No", the result of the risk assessment would be "High". 註: 【如以下任何一項問題的答案是“否”的話, 風險評估將視之為“高”】	Individual/Primary Joint Account Holder 個人戶口客戶/聯名主要戶口持有人	Secondary Joint Account Holder 聯名帳戶第二戶口持有人
(a) For Local/ Overseas Client (i.e. Residents of Hong Kong/ Non residents of Hong Kong) 本地/海外客戶(如香港居民/非本港居民)	YES 是 NO 否	YES 是 NO 否
A. Are you not linked to politically exposed persons? (Politically exposed person - individual who is or has been entrusted with prominent public function, e.g. head of state/government, senior politician, senior executive of government-owned corporation, important political party official, etc) 閣下並沒有與政界人士有聯繫?(政界人士: 指目前或以往曾經擔任重要公職的人士, 如國家或政府的首長, 資深政客, 政府高級官員和重要政黨官員等)	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>
B. Is the nature of your business not particularly susceptible to money laundering risk? (For example, money changer or casino business that handles large amount of cash) 閣下的業務性質並不是特別容易蒙受較高的洗黑錢風險?(舉例:如會接觸大量現金往來,找換業或博彩業)	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>
C. Does your money might not be arising from or related to proceeds of crimes? 閣下的金錢來源並不是源於或涉及非法所得?	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>
(b) For client whose business involves handling third party assets (e.g. fund manager, stockbrokers), please answer the following questions. 如閣下的業務涉及處理第三者的資產(如基金經理, 股票經紀), 請回答以下的問題。		
A. Do you (including foreign branches and subsidiaries, if any) have established written policies and implemented internal procedures and controls to combat money laundering? 閣下(包括外國的分行及子公司)是否已制訂書面政策, 並執行內部程序和管理, 以打擊洗黑錢的活動?	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>
B. Are there documented procedures of your institution for reporting suspicious activities and transactions to the appropriate authorities? 閣下所屬的機構, 就舉報可疑的活動和交易是否已確立程序向適當的監控組織報告?	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>
C. Has your institution established policies and procedures to ensure that reasonable measures are taken to obtain information about the true identity of its customers, and are these records retained for a period of time specified by the applicable law? 閣下所屬的機構有否已制訂政策與程序, 確保已採用合理方法去取得客戶真正身份的資料, 並將有關資料於適用的法律所規定時限內予以保留?	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>

PART VI: DECLARATION OF FATCA INFORMATION 第四部份: 海外帳戶稅收合規法案聲明

Related to the U.S. Foreign Account Tax Compliance Act ("FATCA") 有關美國之《海外帳戶稅收合規法案》	Individual/Primary Joint Account Holder 個人戶口客戶/聯名主要戶口持有人	Secondary Joint Account Holder 聯名帳戶第二戶口持有人
	YES 是 NO 否	YES 是 NO 否
1. Are you a U.S. Resident? 閣下是否美國居民?	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>
2. Are you a U.S. Citizen? 閣下是否美國公民?	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>
3. Do you hold a U.S. Permanent Resident Card (Green Card)?閣下是否持有美國永久居民身份證(綠卡)?	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>

PART V : TAX STATUS - SELF-CERTIFICATION FORM 第五部份: 稅務狀況 - 自我證明表格

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辨編號 (以下簡稱「稅務編號」)

- Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder's TIN for each jurisdiction indicated. **Indicate all (not restricted to three) jurisdictions of residence.**
提供以下資料, 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 3 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.
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。
- If a TIN is unavailable, provide the appropriate reason A, B or C:沒有提供稅務編號, 必須填寫合適的理由:
Reason 理由 A—The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.
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 理由 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.
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 理由 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.
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。

Name of Account Holder 帳戶持有人姓名	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

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 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。

LETTER OF CLIENT CONSENT - THE HONG KONG INVESTOR IDENTIFICATION REGIME (HKIDR) AND OVER-THE-COUNTER SECURITIES TRANSACTIONS REPORTING REGIME (OTCR)
香港投資者識別碼制度及場外證券交易匯報制度之客戶同意書

I/We hereby declared that:
本人 / 吾等特此聲明：

I /We acknowledge and agree that as following purposes of use of personal data
本人/吾等明白並同意以下個人資料使用目的

I /We disagree that as following purposes of use of personal data
本人/吾等未能同意以下個人資料使用目的

(If disagree as following purposes of use of personal data, the company will not or will no longer be able to, provide to me/us with securities related services 如未能同意以下個人資料使用目的，本公司不會或不能夠再向本人/吾等提供證券相關服務)

The company (Hong Kong International Securities Limited) may collect, store, process, use, disclose and transfer personal data relating to me/us (including my/our CID and BCAN(s)) as required for the company to provide services to me/us in relation to securities listed or traded on the Stock Exchange of Hong Kong (SEHK) and for complying with the rules and requirements of SEHK and the Securities and Futures Commission (SFC) in effect from time to time. Without limiting the foregoing, this includes -

本公司 (香港國際證券有限公司) 為了向本人/吾等提供與在香港聯合交易所 (聯交所) 上市或買賣的證券相關的服務，以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會 (證監會) 的規則和規定，本公司可收集、儲存、處理、使用、披露及轉移與本人/吾等有關的個人資料 (包括本人/吾等的客戶識別信息及券商客戶編碼)。在不限制以上的內容的前提下，當中包括——

(a) Disclosing and transferring my/our personal data (including CID and BCAN(s)) to SEHK and/or the SFC in accordance with the rules and requirements of SEHK and the SFC in effect from time to time;

根據不時生效的聯交所及證監會規則和規定，向聯交所及 / 或證監會披露及轉移本人/吾等的個人資料 (包括客戶識別信息及券商客戶編碼)；

(b) Allowing SEHK to: (i) collect, store, process and use my/our personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK; and (ii) disclose and transfer such information to the relevant regulators and law enforcement agencies in Hong Kong (including, but not limited to, the SFC) so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets; and (iii) use such information for conducting analysis for the purposes of market oversight; and

允許聯交所：(i) 收集、儲存、處理及使用本人/吾等的個人資料 (包括客戶識別信息及券商客戶編碼)，以便監察和監管市場及執行《聯交所規則》；(ii) 向香港相關監管機構和執法機構 (包括但不限於證監會) 披露及轉移有關資料，以便他們就香港金融市場履行其法定職能；及(iii) 為監察市場目的而使用有關資料進行分析；及

(c) Allowing the SFC to: (i) collect, store, process and use my/our personal data (including CID and BCAN(s)) for the performance of its statutory functions including monitoring, surveillance and enforcement functions with respect to the Hong Kong financial markets; and (ii) disclose and transfer such information to relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements.

允許證監會：(i) 收集、儲存、處理及使用本人/吾等的個人資料 (包括客戶識別信息及券商客戶編碼)，以便其履行法定職能，包括對香港金融市場的監管、監察及執法職能；及(ii) 根據適用法例或監管規定向香港相關監管機構和執法機構披露及轉移有關資料。

(d) Providing BCAN to Hong Kong Securities Clearing Company Limited (HKSCC) allowing HKSCC to: (i) retrieve from SEHK (which is allowed to disclose and transfer to HKSCC), process and store your CID and transfer your CID to the issuer's share registrar to enable HKSCC and/ or the issuer's share registrar to verify that you have not made any duplicate applications for the relevant share subscription and to facilitate IPO balloting and IPO settlement; and (ii) process and store your CID and transfer your CID to the issuer, the issuer's share registrar, the SFC, SEHK and any other party involved in the IPO for the purposes of processing your application for the relevant share subscription or any other purpose set out in the IPO issuer's prospectus.

向香港中央結算有限公司 (香港結算) 提供券商客戶編碼以允許香港結算：(i) 從聯交所取得、處理及儲存允許披露及轉移給香港結算屬於閣下的客戶識別信息，及向發行人的股份過戶登記處轉移閣下的客戶識別信息，以便核實閣下未就相關股份認購進行重複申請，以及便利首次公開招股抽籤及首次公開招股結算程序；及(ii) 處理及儲存閣下的客戶識別信息，及向發行人、發行人的股份過戶登記處、證監會、聯交所及其他公開招股的有關各方轉移閣下的客戶識別信息，以便處理閣下對有關股份認購的申請，或為載於公開招股發行人的招股章程的任何其他目的。

I /We also agree that despite any subsequent purported withdrawal of consent by me/us, my/our personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.

本人/吾等亦同意，即使本人/吾等其後宣稱撤回同意，本公司在本人/吾等宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移本人/吾等的個人資料以作上述用途。

Failure to provide the company with my/our personal data or consent as described above may mean that the company will not, or will no longer be able to, as the case may be, carry out your trading instructions or provide to me/us with securities related services (other than to sell, transfer out or withdraw your existing holdings of securities, if any).

本人/吾等如未能向本公司提供個人資料或上述同意，可能意味著本公司不會或不能夠再 (視情況而定) 執行本人/吾等的交易指示或向本人/吾等提供證券相關服務，惟出售、轉出或提取本人/吾等現有的證券持倉 (如有) 除外。

Note: The terms "BCAN" and "CID" used in this clause shall bear the meanings as defined in paragraph 5.6 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.

備註：本條文所述的“券商客戶編碼”及“客戶識別信息”具有《證券及期貨事務監察委員會持牌人或註冊人操守準則》第 5.6 段所界定的含義。

PART VII : GROUP OF RELATED MARGIN CLIENTS ("GRMC") (APPLICABLE FOR MARGIN ACCOUNT)**第七部份：一組關連保證金客戶聲明 (只適用於開立保證金客戶)**

I/We am/are going to open a margin finance account with your company and hereby declare that:

本人 / 吾等 與本公司開立保證金戶口，及特此聲明：

I/we am/are not included in the meaning of GRMC. 本人 / 吾等不包括在關連保證金客戶的含意

I/we am/are included in the meaning of GRMC as follow :本人 / 吾等包括以下關連之保證金客戶或組別的含意:

As spouse of another margin client 作為另一個保證金客戶的配偶 –

Account Name 戶口姓名: _____ Account No. 戶口號碼: _____

I/we am/are in control, either alone or with my/our spouse, of 35% or more of the voting rights of your margin client(s) :-

本人 / 吾等是單獨或與配偶控制本公司的一名或各保證金客戶 35%或以上表決權:-

Account Name 戶口姓名: _____ Account No. 戶口號碼: _____

Account Name 戶口姓名: _____ Account No. 戶口號碼: _____

Account Name 戶口姓名: _____ Account No. 戶口號碼: _____

We are members of the same group of the following companies :

吾等是以下公司的同一公司集團的成員:

Account Name 戶口姓名: _____ Account No. 戶口號碼: _____

Account Name 戶口姓名: _____ Account No. 戶口號碼: _____

Account Name 戶口姓名: _____ Account No. 戶口號碼: _____

PART VIII : AUTHORISATION LETTER FROM MARGIN CLIENTS (APPLICABLE FOR MARGIN ACCOUNT)**第八部份：保證金客戶授權函件 (只適用於開立保證金客戶)****AUTHORISATION LETTER FROM MARGIN CLIENTS****保證金客戶授權函件****Authority under Cap. 571(H) of the Securities and Futures Rules****證券及期貨規則第 571(H)**

This letter of authority covers all securities purchased or held by you on my/our behalf.

本授權書是有關一切由 貴公司代表本人 / 吾等購入或持有之證券。

This letter authorises you to:-

本授權書授權 貴公司：

- (a) Deposit the relevant securities with an authorized financial institution as collateral for financial accommodation provided to you; or 將有關的證券作為對 貴公司提供財務通融的抵押品而存放於任何認可機構；或
 - (b) Lend or deposit the securities to an intermediary as defend in schedule 1 of the Securities and Futures Rules Cap. 571 or its associated entity as collateral for the discharge and satisfaction of your settlement obligations and liabilities; or 將該等證券借予或存放於證券及期貨規則第 571 章附表 1 所說明的中介人或該有聯繫實體，作為解除 貴公司在交收上的義務和清償及 貴公司在交收上的法律責任的抵押品；或
 - (c) Deposit the securities with the recognized clearing house or another intermediary licensed or registered for dealing in futures contracts as collateral for the discharge and satisfaction of your settlement obligations and liabilities. 將該等證券存放於認可之結算所或其他獲發牌或獲註冊進行期貨合約交易的中介人，作為解除 貴公司在交收上的義務和清償及 貴公司在交收上的法律責任的抵押品。
- You may do any of these things without giving me/us notice. 貴公司可以做以上任何事情而無須通知本人 / 吾等。
 - This authority does not cover any consideration I/we must pay or be paid for your borrowing, lending or depositing any of my/our securities. Any consideration must be set in a separate agreement between us. 本授權書並不涉及就 貴公司借、貸或存放本人 / 吾等任何證券而須支付或收取的任何代價。任何代價均須由本人 / 吾等與 貴公司另行簽約訂明。
 - You are accountable to me/us for the return of any securities borrowed, lent, or deposited under this authority. 有關根據本授權書而借、貸或存放之證券， 貴公司仍須向本人 / 吾等負責歸還。
 - I/We understand that a third party may have rights to my/our securities, which you must satisfy before my/our securities can be returned to me/us. 本人 / 吾等明白本人 / 吾等的證券可能受制於第三者之權利， 貴公司須於全數抵償該等權利後， 方可將本人 / 吾等的證券退回本人 / 吾等。
 - This authority is valid for period of 12 months only, and will expire on _____ or sooner upon written revocation received by you. 本授權書的有效期只為十二個月，並於 _____ 或 貴公司收訖本人 / 吾等撤銷通知書起無效。
 - I/We understand this authority can be renewed for one or more further period in accordance with the procedure set out in S.4(3) of the Securities and Futures Rules (Cap 571(H)). 本人 / 吾等明白本授權書可根據證券及期貨規則第 571(H)內第 4(3)條中說明的程序續期一次或多於一次。
 - This letter has been fully explained to me/us, and I/we understand the contents of this letter. 本函件已全部向本人 / 吾等解釋清楚。本人 / 吾等明白本函件的內容。

Client Signature 客戶簽署

PART IX: CLIENT DECLARATION, ACKNOWLEDGMENT AND SIGNATURE

第九部份：客戶聲明，確認及簽署

I/We declare and acknowledge that:

本人/吾等聲明及確認：

- I/We hereby confirm that all information (including the Client Informational Statement, Account Opening Questionnaire, Anti Money Laundering & Anti-Terrorist Financing Questionnaire, Declaration Of FATCA Information, Tax Status - Self-Certification Form, Group Of Related Margin Clients ("GRMC")(If applicable), Authorisation Letter From Margin Clients(If applicable) and Letter Of Client Consent - The Hong Kong Investor Identification Regime (HKIDR) And Over-The-Counter Securities Transactions Reporting Regime (OTCR)) written on the Account Opening Form are complete, true and correct.
本人/吾等確認開戶申請書所載之資料(包括客戶資料聲明, 開戶問卷, 防止洗黑錢及防止恐怖份子籌資活動問卷, 海外帳戶稅收合規法案聲明, 稅務狀況 - 自我證明表格, 香港投資者識別碼制度及場外證券交易匯報制度之客戶同意書, 一組關連保證金客戶聲明(如適用)及保證金客戶授權函件(如適用)) 內的資料屬真實、完整及正面。
- I/We, the undersigned Account Applicant, confirm that I/We have understood the risks of derivative products clearly. I/We fully understand the underlying risk(s) associated with/arising from trading the relevant derivative product before I/We make the decision to invest in the relevant derivative products, and I am/We are willing and able to assume all the risks associated with/arising from trading the relevant derivative products.
本人/吾等已清楚明白衍生產品的相關風險。本人/吾等作出投資決定前已充分認識交易相關投資產品所附帶的風險, 並願意承擔交易相關投資產品的所有風險。
- I/We also undertake to notify our company immediately of any changes to the above information. Our company is entitled to rely fully on such information and statement for all purposes.
除非 貴公司接到更改有關聲明的內容的書面通知, 貴公司有權在任何用途上完全依賴這些資料及聲明。
- I/We hereby accept and agree to be bound by the Terms and Conditions. Our Company may amend the Terms and Conditions from time to time by giving me/us notice of such amendment. Unless our company has received my/our request to close the account(s), if I/we continue to use the account(s) I/we shall be deemed to have accepted such changes.
本人/吾等特此接納及同意受條款及條件約束。本公司有權不時修訂條款及條件, 並向本人/吾等發出通知。除非 貴公司收到本人/吾等通知取消帳戶, 否則本人/吾等繼續使用帳戶即表示本人/吾等接納該修訂條款及條件。
- Our company has the right at any time to contact anyone, including my/our banks, brokers or any credits agency, for the purpose of verifying the client informational statement.
貴公司有權隨時聯絡任何人, 包括本人/吾等之銀行、經紀或任何信貸調查機構, 以求証實此客戶資料聲明內所載之內容。
- I/We confirm that I/We received, read and understood the (a) Uniform Cash Client's Agreement In Plain Language or Uniform Margin Client's Agreement (b) Risk Disclosure Statement (c) Client Data Privacy Policy in the language at my/our choice.
本人/吾等確認已收到、閱讀並明白(a) 按本人/吾等選擇的語言提供的淺白語言統一現金客戶協議書或統一保證金客戶協議書(b)風險披露聲明書及(c)客戶資料私隱政策。
- I/We hereby confirm I/We have been invited to read the Risk Disclosure Statement, to ask questions and to take independent advice if I/We wish.
本人/吾等確認已獲邀請細閱風險披露聲明書, 提出問題及徵求獨立的意見(如本人/吾等有此意願)。

Related to the U.S. Foreign Account Tax Compliance Act ("FATCA")

有關美國之《海外帳戶稅收合規法案》

- I/We hereby declare and confirm that the information provided above is true, accurate and complete and that the beneficiary of the Account with the Company shall be me.
本人 / 吾等聲明及確認以上所提供的資料是真實、準確以及完整及本人之戶口的受益人為本人。
- I/We hereby consent for HKISL (the Company) or any of its affiliates (collectively "the Group") to share my information with domestic and U.S. regulators or tax authorities where necessary to establish my tax liability in the U.S.
本人 / 吾等同意香港國際證券有限公司(本公司)或任何其成員機構(統稱「集團」)可向本地及美國的監管機構或稅務機構提供本人資料以確立本人在美國的稅務責任。
- Where required by domestic or U.S. regulators or tax authorities, I/We consent and agree that the Group may withhold from the Account such amounts as may be required according to applicable laws, regulations and directives.
因應本地或美國的監管機構或稅務機構需要, 本人 / 吾等准許並同意集團可按適用的法律、法規和指令在本人 / 吾等帳戶中扣留相關所須的金額款項。
- If there is any change in any of the above information or my U.S. citizenship or resident status or beneficiary of the Account, I/We shall notify the Company of the changes within 30 calendar days.
如以上資料或美國公民、居民身份或戶口受益人有任何改動, 本人 / 吾等會於三十日內通知本公司有關改動。
- In consideration of the Company processing my application (which may or may not lead to opening the Account), I/We undertake and agree that I/We will not hold the Company liable for any loss, damages and expenses incurred and suffered arising from the Company sharing my information and/or withholding an amount from the Account as mentioned above.
就本公司處理本人 / 吾等申請開立戶口之過程(無論成功或失敗開立戶口), 本人 / 吾等承諾及同意本人不會要求 貴公司負責因本公司執行於以上提及之提供資料及/或扣留金額款項而引致的任何損失、損害及支出。

TAX STATUS - SELF-CERTIFICATION FORM

稅務狀況 - 自我證明表格

- This is a self-certification form provided by an account holder to a reporting financial institution (our company) for the purpose of automatic exchange of financial account information. The data collected may be transmitted by our company 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(本公司)提供的自我證明表格, 以作自動交換財務帳戶資料用途。本公司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 our company.
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本公司。
- I/We acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution 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 financial institution 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 maybe 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 / 吾等知悉及同意, 財務機構可根據《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。

4. I /We certify that I /We am/are the Individual/Primary Joint Account Holder / I /We am/are authorized to sign for the account holder of all the account(s) to which this form relates.
本人 / 吾等證明，就與本表格所有相關的帳戶，本人 / 吾等是個人戶口客戶 / 聯名主要戶口持有人 / 本人 / 吾等獲帳戶持有人授權簽署本表格。
5. I /We undertake to advise our company of any change in circumstances which affects the tax residency status of the individual identified of this form or causes the information contained herein to become incorrect, and to provide our company with a suitably updated self-certification form within 30 days of such change in circumstances.
本人 / 吾等承諾，如情況有所改變，以致影響本表格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 / 吾等會通知本公司，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。
6. I /We 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 / 吾等聲明就本人 / 吾等所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。
7. 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。

Signature of Individual/Primary Joint Account Holder (Specimen Signature)
個人戶口客戶 / 聯名主要戶口持有人簽署(暨簽名式樣):

Signature of Secondary Joint Account Holder (Specimen Signature)
聯名帳戶第二戶口持有人簽署(暨簽名式樣):

Client Name: 客戶姓名:
Account No: 戶口號碼:

Client Name: 客戶姓名:
Account No: 戶口號碼:

In the presence of:
Witness name 見證人姓名:-:
Occupation 職業:
Address 地址:
Date 日期:

Witness Signature 見證人簽署

APPROVAL FOR ACCOUNT OPENING 開戶批核

DECLARATION BY THE REGISTERED PERSON 由註冊人士作出之聲明

I, _____, registered with the Securities and Futures Commission ("SFC") as a dealing in securities Licensed Responsible Officer / Licensed Representative* (CE number _____) have fully explained the contents of this risk disclosure statement to the above client.

本人, _____ 為證券及期貨事務監察委員會（「證監會」）註冊的證券交易的持牌負責人員 / 持牌代表* (CE 編號 _____) 經已以他 / 他們明白的語言，向上列簽署之客戶全部清楚解釋此風險披露聲明書的內容。

Signed by
registered person:
註冊人簽署 _____

Date:
日期: _____

* Delete where inappropriate* 請刪去不適用者

SIGNED by
for and on behalf of
HONG KONG INTERNATIONAL SECURITIES LIMITED
由 香港國際證券有限公司
確認及接受

Authorised Signature/Business Chop 授權簽名 / 公司印章

In the presence of:
Witness name 見證人姓名:-:
Occupation 職業:
Address 地址:
Date 日期:

Witness Signature 見證人簽署