

## Individual / Joint Account 個人 / 聯名帳戶

FOR OFFICE USE ONLY

A/C No:

Client (A/C)Name:

A/C Opening Date:



# 中財證券

ZHONGCAI SECURITIES

Zhongcai Securities Limited 中財證券有限公司  
6/F, Zhongcai Centre, No. 131 Queen's Road Central, Hong Kong  
香港皇后大道中131號中財中心6樓  
(CE No.: BED053) (中央編號: BED053)

## ACCOUNT OPENING APPLICATION FORM 開戶申請表格 - For Individual/Joint Account 個人/聯名帳戶適用

### 1. Account Type 帳戶類別

(Please Select One Only 請只選一項)

- |   |                            |
|---|----------------------------|
| <input type="checkbox"/> Securities Cash Individual Account 證券現金個人帳戶    | Account Number 帳戶號碼: _____ |
| <input type="checkbox"/> Securities Cash Joint Account 證券現金聯名帳戶         | Account Number 帳戶號碼: _____ |
| <input type="checkbox"/> Securities Margin Individual Account 證券保證金個人帳戶 | Account Number 帳戶號碼: _____ |
| <input type="checkbox"/> Securities Margin Joint Account 證券保證金聯名帳戶      | Account Number 帳戶號碼: _____ |

### Electronic Trading Service 電子交易

Do you need to apply for the Internet Trading Service?  
閣下是否需要申請互聯網交易服務?

Yes 需要  No 不需要

### 2. Client's Information 客戶資料

#### Individual/Joint Account Holder (1) 個人/聯名帳戶持有人(1)

English Name 英文姓名 (Surname 姓) (Forename 名)		Chinese Name 中文姓名 (Surname 姓) (Forename 名)		Gender 性別 <input type="checkbox"/> Male 男 <input type="checkbox"/> Female 女
Identity Card Number/Passport Number 身份證號碼/護照號碼	Identity Card/Passport Issuing Country 身份證/護照簽發國家	Nationality 國籍	Date of Birth 出生日期 [ ][ ] D / [ ][ ] M / [ ][ ][ ][ ] Y 年	
Residential Address 住宅地址 (P.O. Box is not accepted. 不接受郵政信箱)		Nature of Residence 住所類別 <input type="checkbox"/> Owned 自置 <input type="checkbox"/> With Parents 與父母同住 <input type="checkbox"/> Rented 租用 <input type="checkbox"/> Quarters 宿舍 <input type="checkbox"/> Mortgage 按揭 <input type="checkbox"/> Others 其他 _____		
Correspondence Address 通訊地址 (P.O. Box is not accepted. 不接受郵政信箱) <input type="checkbox"/> Same as Residential Address 與住宅地址相同 <input type="checkbox"/> Office Address 辦事處地址 _____ <input type="checkbox"/> Others 其他 _____				
Mobile No. 手提電話號碼	Residential Phone No. 住宅電話號碼	Email Address 電郵地址		
Education Level 教育程度 <input type="checkbox"/> Tertiary or above 大專或以上 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Primary or below 小學或以下 <input type="checkbox"/> Others 其他		Marital Status 婚姻狀況 <input type="checkbox"/> Single 單身 <input type="checkbox"/> Married 已婚		
Employment Status 就業情況 <input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Housewife 家庭主婦 <input type="checkbox"/> Student 學生 <input type="checkbox"/> Others (please specify): 其他(請註明): _____				
Employer Name 僱主名稱	Nature of Business 業務類型	Position 職位		
Office Address 辦事處地址	Years of Services 任職年期			

**Bank Account Details 銀行帳戶資料**

Bank Name 銀行名稱 \_\_\_\_\_ Bank Account Number 帳戶號碼 \_\_\_\_\_ SWIFT Code 銀行國際代碼 \_\_\_\_\_

1) \_\_\_\_\_

2) \_\_\_\_\_

**Joint Account Holder (2) 聯名帳戶持有人(2)**

English Name 英文姓名 (Surname 姓) _____ (Forename 名) _____	Chinese Name 中文姓名 (Surname 姓) _____ (Forename 名) _____	Gender 性別 <input type="checkbox"/> Male 男 <input type="checkbox"/> Female 女
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Identity Card Number/Passport Number 身份證號碼/護照號碼 _____	Identity Card/Passport Issuing Country 身份證/護照簽發國家 _____	Nationality 國籍 _____	Date of Birth 出生日期 <input type="text"/> <input type="text"/> D / <input type="text"/> <input type="text"/> M / <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> Y 年
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Residential Address 住宅地址 (P.O. Box is not accepted. 不接受郵政信箱) _____	Nature of Residence 住所類別 <input type="checkbox"/> Owned 自置 <input type="checkbox"/> With Parents 與父母同住 <input type="checkbox"/> Rented 租用 <input type="checkbox"/> Quarters 宿舍 <input type="checkbox"/> Mortgage 按揭 <input type="checkbox"/> Others 其他 _____
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Correspondence Address 通訊地址 (P.O. Box is not accepted. 不接受郵政信箱)

Same as Residential Address 與住宅地址相同

Office Address 辦事處地址 \_\_\_\_\_

Others 其他 \_\_\_\_\_

Mobile No. 手提電話號碼 _____	Residential Phone No. 住宅電話號碼 _____	Email Address 電郵地址 _____
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Education Level 教育程度 <input type="checkbox"/> Tertiary or above 大專或以上 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Primary or below 小學或以下 <input type="checkbox"/> Others 其他 _____	Marital Status 婚姻狀況 <input type="checkbox"/> Single 單身 <input type="checkbox"/> Married 已婚
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Employment Status 就業情況

Employed 受僱     Self-employed 自僱     Retired 退休     Housewife 家庭主婦     Student 學生

Others(please specify) : 其他(請註明) : \_\_\_\_\_

Employer Name 僱主名稱 _____	Nature of Business 業務類型 _____	Position 職位 _____
Office Address 辦事處地址 _____	Years of Services 任職年期 _____	

**Instruction Arrangement For Joint Account 聯名帳戶指示安排 (For Joint Account only 只適用於聯名帳戶)**

The authorized person(s) for the account : 授權操作帳戶人仕 :

Any one of the joint account holders 任何一個聯名帳戶持有人

All members together give instruction 需所有成員一同發出指示

Designate an account holder 指定一個聯名帳戶持有人 : \_\_\_\_\_

**3. Ultimate Beneficial Owner(s) of the Account(s) 帳戶的最終實益擁有人**

Are you the ultimate beneficial owner(s) of the Account(s) who stands to gain the commercial or economic benefit of the transaction(s) and/or bear its commercial or economic risk?  
閣下是否將會從交易取得商業或經濟利益及/或承擔其商業或經濟風險之帳戶最終實益擁有人?

Yes 是

No 否 The full name of the beneficial owner(s) 最終實益擁有人全名 \_\_\_\_\_

Your relationship with the beneficial owner(s) 閣下與最終實益擁有人之關係 \_\_\_\_\_

HKID/Passport No. and country of issue 香港身份證/護照號碼及簽發國家 \_\_\_\_\_

Address 地址 \_\_\_\_\_

Telephone No 電話號碼 \_\_\_\_\_

Occupation 職業 \_\_\_\_\_

Are you, the ultimate beneficial owner(s) of the Account(s), or the person ultimately responsible for giving instructions for the Account who holds the following identity of any countries (including a place within the People's Republic of China):

閣下作為此帳戶最終實益擁有人或此帳戶最終負責發出指示的人士是否持有任何國家/地區(包括中華人民共和國境內的地方)之下列身份:

- i) a head of state, head of government, senior politician, judicial or military official, senior executive of a state-owned corporation and an important political party official;  
國家元首、政府首長、資深政客、司法人員或軍官、國有企業高級行政人員及重要政黨官員;
- ii) a spouse, a partner, a child or a parent of an individual falling within paragraph (i), or a spouse or a partner of a child of such an individual; or  
i)段所述人士的配偶、同居者、子女或父母,或(i)段所述人士的子女配偶或同居者;或
- iii) a close associate of an individual falling within paragraph (i)?  
i)段所述人士的緊密聯繫人?

No 否

Yes, please specify: 是, 請註明 \_\_\_\_\_

#### 4. Financial Summary 財務資料簡要

Joint Account Holder (2) Please fill up part 4 to part 9 on a separate sheet. 聯名帳戶持有人(2)請以額外紙張填寫第四至第九部。

Individual Account Holder 個人帳戶持有人  Joint Account Holder (1) 聯名帳戶持有人(1)  Joint Account Holder (2) 聯名帳戶持有人(2)

Source of Funding 資金來源	Estimated annual income (in HK\$) 估計每年收入(以港元計)	Approximate net value of assets (in HK\$) 概約資產淨值(以港元計)
<b>Origin of Funding 資金來源地</b> _____	<input type="checkbox"/> <250,000	<input type="checkbox"/> < 1,000,000
<input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Commission 佣金	<input type="checkbox"/> 250,001-500,000	<input type="checkbox"/> 1,000,001-3,000,000
<input type="checkbox"/> Family Income 家庭收入 <input type="checkbox"/> Investment Income 投資收入	<input type="checkbox"/> 500,001-1,000,000	<input type="checkbox"/> 3,000,001-8,000,000
<input type="checkbox"/> Retirement Fund 退休基金 <input type="checkbox"/> Personal Savings 個人儲蓄	<input type="checkbox"/> 1,000,001-1,500,000	<input type="checkbox"/> 8,000,001-30,000,000
<input type="checkbox"/> Business Profit 營業收益 <input type="checkbox"/> Rental Income 租金收入	<input type="checkbox"/> 1,500,001-3,000,000	<input type="checkbox"/> 30,000,001-80,000,000
<input type="checkbox"/> Dividend 股息/Interest 利息 <input type="checkbox"/> Others 其他 _____	<input type="checkbox"/> >3,000,001	<input type="checkbox"/> >80,000,001

Have the client ever declared bankruptcy? 客戶是否曾經宣佈破產?

No 否

Yes, please specify 是, 請註明

Date 日期 \_\_\_\_\_

Details 詳情 \_\_\_\_\_

#### 5. Investment Profile 投資取向

##### Investment Objectives 投資目的

Capital Investment and Income 資本投資及收入  Hedging 對沖  Speculation 投機

Other (please specify) 其他(請註明) \_\_\_\_\_

##### Investment Experience 投資經驗

Products 商品 Years 年期 Average Portfolio Value (HK\$) 平均組合價值(以港元計)

Stock/Warrant 股票/認股權證 \_\_\_\_\_

Futures/Option 期貨/期權 \_\_\_\_\_

Bonds/Funds 債券/基金 \_\_\_\_\_

Other (please specify) 其他(請註明) \_\_\_\_\_

##### Risk Tolerance for Loss of Capital 資本損失風險承受度

Conservative – Low risk tolerance but willing to accept slight price fluctuations in order to obtain returns better than that expected from a capital preservation strategy only.  
保守型—風險承受度低,但願意接受輕微的價格波幅,以取得比較僅從保本策略中取得的預期回報為佳的回報。

Balance – Modest risk tolerance and willing to accept some investment risk for potentially higher returns. Seeking to achieve a balance between capital growth, income and capital protection. Price volatility acceptable in order to obtain a steady return with moderate capital growth.  
均衡增長型—風險承受度中等,並願意為取得較高回報而接受一些投資風險。在資本增值、收入及保本之間尋求達至平衡。可以接受價格波幅,在中等資本增值下取得穩健回報。

Aggressive – Seeking high growth for wealth accumulation and willing to accept substantial price volatility for investments.  
進取型—為財富增值尋求高增長,並願意接受投資的大幅價格波幅。

## 6. Derivative and Products Knowledge Assessment 衍生及結構投資產品的認識評估

Derivative and Structured Products mean any products, including but not limited to Derivative warrants, CBBC and equity link notes/instruments.  
衍生及結構性投資產品指任何產品，包括但不限於衍生權證、牛熊證、股票掛鈎票據。

1. Do you have in-depth/substantial knowledge in the nature and risks of derivative and structured investment products?  
閣下有否對衍生及結構性投資產品之特性及風險有深入／足夠的認識？  
 Yes 是  
 No 否
2. Have you ever undergone any training or attended courses on derivative and structured investment products?  
閣下是否曾經接受有關衍生及結構性投資產品的培訓或修讀相關課程？  
 Yes 是 (Please provide details of relevant training or course 請提供相關培訓或課程的詳情：\_\_\_\_\_ )  
 No 否
3. Have you ever obtained any working experience related to derivative and structured investment products?  
閣下是否曾經取得衍生及結構性投資產品有關的工作經驗？  
 Yes 是 (Please provide details 請提供詳情：Position 職位：\_\_\_\_\_ Years of experience 經驗年期：\_\_\_\_\_ )  
 No 否
4. Have you ever executed 5 or more transactions related to derivative and structured investment products over the past 2 years?  
於過去2年中，閣下是否曾執行5宗或以上與衍生及結構性投資產品有關之交易？  
 Yes 是  
 No 否

If you answer "yes" in any question above, you will be classified as having general knowledge of derivative and structured investment products. Would you still wish to trade derivative and structured investment products?

如閣下於上述任何一條回答「是」，將會被視作對衍生及結構性投資產品有一般認識。請問閣下是否仍有意買賣有關產品？

- Yes 是  
 No 否

You will be classified as having no general knowledge in derivative and structured investment products, should you answer "NO" to all the questions above. Would you still wish to trade derivative and structured investment products?

如閣下於上述全部問題回答「否」，將被視作沒有對衍生及結構性投資產品的認識。請問閣下是否仍有意買賣有關產品？

- Yes 是  
 No 否

If you possess no relevant knowledge of derivative and structured investment products, but nonetheless wish to trade these products, you are advised to carefully read and be sure you fully understand the relevant risks explained in the Risk Disclosure Statements.

如閣下沒有衍生及結構性投資產品相關之知識，但有意買賣有關產品，請必須先仔細閱讀及完全明白有關衍生及結構性投資產品的風險披露聲明。

## 7. Declarations 聲明

### Identity Declaration 身份證明

Are you an employee/account executive/director or the relative of any employee/account executive/director of any licensed corporation of Zhongcai Group?

客戶是否中財集團旗下持牌法團任何僱員／經紀／董事或任何僱員／經紀或董事的親屬？

- No 否  Yes, please specify 是，請註明

Name of Employee/Director/Account Executive 僱員／董事／經紀姓名 \_\_\_\_\_

Relationship 關係 \_\_\_\_\_

Are you an employee of any Licensed Corporation or Registered Institution of the Securities and Futures Commission in Hong Kong ?

客戶是否香港證券及期貨事務監察委員會的任何持牌法團／註冊機構的僱員？

- No 否  Yes, please specify 是，請註明

Name of Licensed Corporation/Registered Institution 持牌法團或註冊機構的名稱 \_\_\_\_\_

(Please provide consent letter from your employer 請提供閣下僱主之書面同意書)

Are you a Licensed Person or Registered Person of the Securities and Futures Commission in Hong Kong?

客戶是否香港證券及期貨事務監察委員會的持牌人士／註冊人士？

- No 否  Yes, please specify 是，請註明

Central Entity/Registration No. 中央／註冊編號 \_\_\_\_\_

Have the clients ever had any investment account opening application rejected by other financial institution?

客戶是否曾於其他金融機構開立投資戶口時被拒絕？

No 否  Yes, please specify 是，請註明

Name of Financial Institution 金融機構名稱 \_\_\_\_\_

Reasons of Reject 拒絕原因 \_\_\_\_\_

Are you, your spouse, partner, children, parents, spouse or partner of your children, entrusted with a prominent public function in any place, including a head of state, head of government, senior politician, judicial or military official, senior executive of a state-owned corporation 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是否在任何地方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、司法或軍事官員、國有企業高級行政人員及重要政黨幹事？

No 否  Yes, please specify 是，請註明

Name of Position of PEP 政治人物姓名及職位 \_\_\_\_\_

Country of the PEP belongs 政治人物所屬國家 \_\_\_\_\_

PEP relationship with client 與客戶之關係 \_\_\_\_\_

#### Particulars of Related Accounts 關連帳戶的資料

Are you the spouse/child of another client of Zhongcai Securities Limited?

閣下是否中財證券有限公司某客戶的配偶／子女？

No 否  Yes, please provide the following details 是，請提供以下詳細資訊：

Account No. 帳戶號碼 \_\_\_\_\_

Name of Account and Relationship 帳戶名稱及關係 \_\_\_\_\_

Are you, either alone or with your spouse jointly operating another account in Zhongcai Securities Limited?

客戶是否個人或與配偶共同操作另一個在中財證券有限公司帳戶？

No 否  Yes, please specify 是，請註明

Account No. 帳戶號碼 \_\_\_\_\_

Name of Account Holder 帳戶持有人名稱 \_\_\_\_\_

Are you, either alone or with your spouse, in control of 35% or more of the voting rights of any corporate clients of Zhongcai Securities Limited?

客戶是否個人或與客戶配偶共同控制任何中財證券有限公司公司客戶35%或以上的投票權？

No 否  Yes, please specify 是，請註明

Account No. 帳戶號碼 \_\_\_\_\_

Name of Account Holder 帳戶持有人名稱 \_\_\_\_\_

#### 8. Use of Personal Data 個人資料之使用

I/We acknowledge that I/we have hereby informed that group of Zhongcai Securities Limited, its subsidiaries, its controlling company and the subsidiaries and associated company of such controlling company intends to use and transfer within Zhongcai Securities Limited my/our personal data for direct marketing of: (i) Financial services and investment products and advices; (ii) Related promotion scheme; (iii) donations and contributions for charitable and/or non-profit making purposes. Such personal data includes name, contact details, products and services portfolio information, transaction pattern and behaviour, financial background and demographic data. I/We understand that I/we may, at any time, require Zhongcai group to cease to use Zhongcai Securities Limited my personal data for direct marketing through written notice.

本人／吾等明白本人／吾等獲通知中財證券有限公司之任何成員公司，其附屬公司、其控股公司及該控股公司之附屬公司及相聯公司擬使用及在中財證券有限公司之間轉移本人／吾等於中財證券有限公司之個人資料以直接促銷：(i)金融服務和投資產品及建議；(ii)相關優惠計劃；(iii)為慈善及／或非牟利目的而作出之捐款及資助。該等個人資料包括姓名、聯絡資料、產品及服務投資組合信息、交易模式及行為、財務背景及統計數據。本人／吾等明白本人／吾等可以隨時以書面形式通知中財證券有限公司停止於集團內的直接促銷中使用本人／吾等之個人資料。

I/We agree to the aforesaid use of my/our personal data in Zhongcai Securities Limited. 本人／吾等同意中財證券有限公司使用本人／吾等之個人資料。

I/We object to the use of or transfer my/our personal data in direct marketing within Zhongcai Securities Limited. 本人／吾等反對中財證券有限公司使用或轉移本人／吾等之個人資料。

## 9. Foreign Account Tax Compliance Act "FATCA" 關於海外帳戶稅收合規法案

Are you a US Person within the meaning specified in the Foreign Account Tax Compliance Act ("FATCA") governed by the Internal Revenue Services ("IRS") of United State of America?

您是否符合由美國國稅局 (IRS) 規管，在 FATCA 定義下所指明的美籍人士？

- No 否 (where suitable, please complete Form W-8BEN of IRS 如適合，請填寫美國國稅局發出之 W-8BEN 表格)  
 Yes 是 (where suitable, please complete Form W-9 of IRS 如適合，請填寫美國國稅局發出之 W-9 表格)

(Please check if you meet any of the following definition of the US Person set out by IRS 請查閱您是否符合以下由 IRS 對美籍人士的定義)

- US citizen or resident (Green Card holder) 美國公民或居民 (綠卡持有人)
- US place of birth 於美國境內出生
- US resident or mailing address 於美國境內居住或以美國地址為郵寄地址
- US telephone number as contact number 以美國電話號碼為聯絡號碼
- Standing instructions to transfer funds to a US based account 設有常設授權以劃撥資金予美籍人士
- Power of attorney or signatory authority granted to person with US address; or 設有帳戶操作/簽署授權予美籍人士
- In care-of or hold mail address that is sole address of account holder 以美國地址以託收信件




Please be reminded that you are responsible for notifying promptly and within the prescribed timeline IRS and us in the case of Change in Circumstances that may affect your FATCA status, such as citizenship/nationality, address, phone number, etc. 請注意如有您需要就任何影響 FATCA 狀況識別的個人資料更改，例如公民身份/國籍、地址、電話等，適時並於指定時間內通知 IRS 及我們有關更改。

## 10. Client's Acknowledgement and Signature 客戶確認及簽署

- I/We hereby declare that the information given above is true, correct and complete and I/we have not willfully withheld any material fact(s). I/We authorize Zhongcai Securities Limited to confirm this from any source appropriate, including the conduct of any credit checks on me/us. I/We understand that I/we may be required to provide additional information or submit documentary proof as to the information provided in this form when requested by Zhongcai Securities Limited. I/We confirm that I/we will update Zhongcai Securities Limited immediately on any changes.  
本人/吾等謹此聲明上述資料乃屬真實、正確及完整，本人/吾等並未刻意隱瞞任何重要事實。本人/吾等授權中財證券有限公司進行適當的資料來源查證，包括進行任何對於本人/吾等的信貸檢查。除上述提供的資料外，本人/吾等清楚中財證券有限公司也許要求本人/吾等提供更多相關的資料或證明文件。本人/吾等確認如所提供之資料有任何更改，均會立刻通知中財證券有限公司。
- I/We confirm that I/we have received, read and understood the "Terms and Conditions for Securities Trading Accounts" ("Terms and Conditions") and this Account Opening Application Form applicable to me/us, which may be entered into in writing between Zhongcai Securities Limited and me/us from time to time, including any letters of authorization relating to securities margin financing.  
本人/吾等證實已收取、閱讀及明白「證券交易帳戶條款及條件」(「條款及條件」)及此開戶申請表格及本人/吾等與中財證券有限公司不時訂立之書面補充條款及條件，包括任何有關證券保證金帳戶之抵押品授權書。
- I/We hereby accept and agree to be bound by the Terms and Conditions. Zhongcai Securities Limited may amend the Terms and Conditions from time to time by giving me/us notice of such amendment. Unless Zhongcai Securities Limited 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。中財證券有限公司有權不時修訂條款及條件，並向本人/吾等發出通知。除非中財證券有限公司收到本人/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。
- I/We hereby confirm that the above information provided in relation to "Knowledge of Derivatives Product" is true and complete. I/We also understand that Zhongcai Securities Limited will rely on the above information provided to assess whether I/we have acquired knowledge of derivative products in order to comply with relevant requirements of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.  
本人/吾等確認上述有關「衍生產品的認識」之資料完全真實及完整，並明白中財證券有限公司將根據上述資料介定本人/吾等是否擁有對衍生產品之認識，以符合證券及期貨事務監察委員會持牌人或註冊人操守準則之有關要求。
- I/We hereby declare and acknowledge that we have fully understood the risk disclosure statement in the language of our choice. I/We have been invited to read the risk disclosure statement, and to ask questions and take independent advice if I/we wish.  
本人/吾等現聲明及確認已獲得提供按照本人/吾等選擇的語言之風險披露聲明書，本人/吾等已獲邀閱讀風險披露聲明，提出問題及徵求獨立意見(如本人/吾等有此意願)。
- I/We understand that Zhongcai Securities Limited reserves the unconditional right to reject my/our application.  
本人/吾等明白中財證券有限公司保留無條件拒絕本人/吾等開戶申請之權力。
- I/We acknowledge that Zhongcai Securities Limited does not provide investment, tax or legal advice or recommendations.  
本人/吾等確認中財證券有限公司並不提供投資、稅務或法律意見或建議。

This Account Opening Application Form is prepared in both Chinese and English versions, in the event of discrepancy between the versions, the English version shall prevail.

本開戶申請表編成中、英文版本，兩種版本之間如有歧義，應以英文版為準。

Signed by 簽署：	For Joint account only 只適用於聯名帳戶：	Accepted by For and on behalf of Zhongcai Securities Limited 由中財證券有限公司接納
		
Signature of Individual/Joint Account Holder (1) 個人/聯名帳戶持有人(1)簽署 Name 姓名： Date 日期：	Signature of Joint Account Holder (2) 聯名帳戶持有人(2)簽署 Name 姓名： Date 日期：	Authorized Signature 授權簽名 Name 姓名： Date 日期：

## 11. Declaration By Witness 見證人見證

I, \_\_\_\_\_, certify that I have verified the original copy of client identification document, address proof and other account opening document and have sighted that the Client counter sign on this Account Opening Application Form.

本人 \_\_\_\_\_ 確認已驗證客戶身份證明文件、地址證明及其他文件之正本，並已見證客戶在本開戶申請表格上簽署。

\_\_\_\_\_

Signature of Witness 見證人簽名

\_\_\_\_\_  
Name of Witness (in BLOCK LETTERS)  
見證人姓名(請以正楷填寫)

\_\_\_\_\_  
Occupation/Position  
職業/職位

\_\_\_\_\_  
Date  
日期

## 12. Declaration by Staff 員工聲明

I, \_\_\_\_\_ (in BLOCK LETTERS), a Licensed Representative of Zhongcai Securities Limited, hereby declare and confirm that I have provided the Terms and Conditions for Securities Trading Accounts and relevant Risk Disclosure Statement in a language of the client's choice (English or Chinese) and have invited the Client to read the Agreements, ask questions and take independent advice if the client wishes.

本人，\_\_\_\_\_ (正楷字體) 為中財證券有限公司的持牌代表，並謹此聲明及確認本人已按照上述客戶所選擇的語言(英文或中文)提供證券交易帳戶條款及條件及相關風險聲明書，請客戶閱讀協議書，並提出問題及徵求獨立的意見(如客戶有此意願)。

\_\_\_\_\_

Signature of Licensed Representative  
持牌代表簽名

\_\_\_\_\_  
Name of Licensed Representative  
持牌代表姓名

\_\_\_\_\_  
Date  
日期

\_\_\_\_\_  
CE No.  
中央編號

Client Securities Standing Authority

To: Zhongcai Securities Limited

6/F, Zhongcai Centre  
No.131 Queen's Road Central  
Central, Hong Kong

Standing Authority under Securities & Futures (Client Securities) Rules

This standing authority is in respect of the treatment of my/our securities or securities collateral as set out below.

Unless otherwise defined, all the terms used in this standing authority shall have the same meanings as in the Securities & Futures Ordinance and Securities & Futures (Client Securities) Rules as amended from time to time.

This standing authority authorizes the Company to:

1. apply any of my/our securities or securities collateral pursuant to a securities borrowing and lending agreement;
2. deposit any of my/our securities collateral with an authorized financial institution as collateral for financial accommodation provide to the Company;
3. deposit any of my/our securities collateral with Hong Kong Securities Clearing Company Limited ("HKSCC") as collateral for the discharge and satisfaction of its settlement obligations and liabilities. I/We understand that HKSCC will have a first fixed charge over my/our securities to the extent of its obligations and liabilities;
4. deposit any of my/our securities collateral with any other recognized clearing house, or another intermediary licensed or registered for dealing in securities, as collateral for the discharge and satisfaction of its settlement obligations and liabilities; and
5. apply or deposit any of my/our securities collateral in accordance with paragraphs (1), (2), (3) and/or (4) above if the Company provides financial accommodation to me/us in the course of dealing in securities and also provide financial accommodation to me/us in the course of any other regulated activity for which the Company is licensed or registered.

The Company may do any of these things without giving me/us notice. I/We acknowledge that this standing authority shall not affect the right of the Company to dispose or initiate a disposal by its Affiliates of my/our securities or securities collateral in settlement of any liability owed by or on behalf of me/us to the Company, its Affiliates or a third person.

This authority is given to the Company in consideration of its agreeing to continue to maintain the securities margin account(s) for me/us.

I/We understand that a third party may have rights to my/our securities, which the Company must satisfy before my/our securities can be returned to me/us.

This authority is valid for a period of not more than 12 months ending \_\_\_\_\_.

This authority may be revoked by giving the Company written notice addressed to the Customer Services Department at its address specified above notified to me/us subsequently. Such notice shall take effect upon the expiry of 14 days from the date of the Company actual receipt of such notice.

I/We understand that this authority shall be deemed to be renewed on a continuing basis of further periods of not more than 12 months without my/our consent provided a written notification of renewal is issued to me/us at least 14 days before the expiry date of this authority, and I/we do not object to such deemed renewal before the expiry date.

This authority and the pledging practice of the Company has been explained to me/us and I/we understand and agree to the contents of this letter.

In the event of any difference in interpretation or meaning between the Chinese and English version of this letter, I/we agree that the English version shall prevail.

<證券保證金客戶必須簽署>

客戶證券常設授權書

致：中財證券有限公司  
香港中環皇后大道中131號6樓

根據《證券及期貨(客戶證券)規則》所設立的常設授權

本授權書是有關處置本人/吾等之證券或證券抵押品，詳列如下：

除非另有說明，本常設授權書之名詞與《證券及期貨條例》及《證券及期貨(客戶證券)規則》不時修定之定義是有相同意思。

本常設授權書授權中財證券有限公司：

1. 依據證券借貸協議運用任何本人/吾等的證券或證券抵押品；
2. 將任何本人/吾等的證券抵押品存放於認可財務機構，作為該機構向中財證券有限公司提供財務通融之抵押品；
3. 將任何本人/吾等的證券抵押品存放於香港中央結算有限公司(「香港結算」)，作為解除中財證券有限公司在交收上的義務和清償中財證券有限公司在交收上的法律責任的抵押品。本人/吾等明白香港結算因應中財證券有限公司的責任和義務而對本人/吾等的證券設定第一固定押記；
4. 將任何本人/吾等的證券抵押品存放於任何其他認可結算所或任何其他獲發牌或獲註冊進行證券交易的中介人，作為解除中財證券有限公司在交收上的法律責任的抵押品；及
5. 如中財證券有限公司在進行證券交易及中財證券有限公司獲發牌或獲註冊進行任何其他受規管活動的過程中向本人/吾等提供財務通融，即可按照上述第(1)、第(2)、第(3)及/或第(4)段所述運用或存放任何本人/吾等的證券抵押品。

中財證券有限公司可不向本人/吾等發出通知而採取上述行動。本人/吾等確認本常設授權不影響中財證券有限公司為解除由本人/吾等或代本人/吾等等對中財證券有限公司或第三者所負的法律責任，而處置或促使中財證券有限公司處置本人/吾等之證券或證券抵押品的權利。

此賦予中財證券有限公司之授權乃鑑於中財證券有限公司同意繼續維持本人/吾等之證券保證金戶口。

本人/吾等明白本人/吾等的證券可能受制於第三者之權利，中財證券有限公司須全數抵償該等權利後，方可將本人/吾等的證券退回給本人/吾等。

本授權書之有效期為不多於12個月，並於\_\_\_\_\_屆滿。

本人/吾等可以向中財證券有限公司客戶服務部位於上述列明之地址發出通知，撤回本書面授權書。該等通知之生效日期為中財證券有限公司真正收到該等通知後14日起計。

本人/吾等明白中財證券有限公司若在本常設授權有效屆滿前的最少14日之前，向本人/吾等發出書面通知，提醒本人/吾等本常設授權即將屆滿，而本人/吾等沒有在此授權屆滿前反對此授權續期，本常設授權應當作在不需本人/吾等的書面同意下按持續的基準已被續期，每一延續有效期為不多於12個月。

此授權書已經向本人/吾等解釋及說明，而本人/吾等完全明白和同意此授權書的內容。

倘若本常設授權的中文本與英文本在釋義或涵義方面有任何歧義，本人/吾等同意應以英文本為準。

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Client Signature(s)

客戶簽署：

Client Name:

客戶名稱：

Client No.:

帳戶號碼：

Date(dd/mm/yy):

日期(日/月/年)：

Client Money Standing Authority

To: Zhongcai Securities Limited

6/F, Zhongcai Centre  
No.131 Queen's Road Central  
Central, Hong Kong

Standing Authority under Securities and Futures (Client Money) Rules

This standing authority covers money held or received by the Company in Hong Kong (including any interest derived from the holding of the money which does not belong to the Company) in one or more segregated account(s) on my/our behalf ("Monies").

Unless otherwise defined, all the terms used in this Standing Authority shall have the same meanings as in the Securities and Futures Ordinance and the Securities and Futures (Client Money) Rules as amended from time to time.

This Standing Authority authorizes the Company to:

1. combine or consolidate any or all segregated accounts, of any nature whatsoever and either individually or jointly with others, maintained by the Company or any its Affiliates from time to time and the Company may transfer any sum of Monies to and between such segregated account(s) to satisfy my/our obligations or liabilities to the Company or any its Affiliates, whether such obligations and liabilities are actual, contingent, primary or collateral, secured or unsecured, or joint or several; and
2. set-off or transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by the Company.
3. exchange my/our Monies into any other currency(ies) at the rate of exchange conclusively determined by the Company.

The Company may do any of these things above without giving me/us notice.

This authority is given to the Company in consideration of its agreeing to continue to maintain my/our securities cash and/or margin account(s).

This authority is given without prejudice to other authorities or rights which the Company may have in relation to dealing in the Monies in the segregated accounts.

This authority is valid for a period of not more than 12 months ending \_\_\_\_\_.

This authority may be revoked by giving the Company written notice addressed to the Customer Services Department at its address specified above notified to me/us subsequently. Such notice shall take effect upon the expiry of 14 days from the date of the Company actual receipt of such notice.

I/We understand that this authority shall be deemed to be renewed on a continuing basis of further periods of not more than 12 months without my/our consent provided a written notification of renewal is issued to me/us at least 14 days before the expiry date of this authority, and I/we do not object to such deemed renewal before the expiry date.

This authority has been explained to me/us and I/we understand and agree to the contents of this letter.

In the event of any difference in interpretation or meaning between the Chinese and English version of this letter, I/we agree that the English version shall prevail.

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客戶款項常設授權書

致：中財證券有限公司  
香港中環皇后大道中131號6樓

根據《證券及期貨(客戶款項)規則》所設立的常設授權

本授權書涵蓋中財證券有限公司為本人/吾等在香港收取或持有並存放於一個或多個獨立帳戶內的款項(包括因持有並非屬於中財證券有限公司的款項而產生之任何利息)(下稱「款項」)。

除非另有說明，本常設授權書之名詞與《證券及期貨條例》及《證券及期貨(客戶款項)規則》不時修訂之定義具有相同意思。

本常設授權書授權中財證券有限公司：

1. 可組合或合併全部不時在中財證券有限公司以任何形式維持的獨立、聯名或其他帳戶，中財證券有限公司可將該等獨立帳戶內的任何數額的款項作出轉移，以解除本人/吾等對中財證券有限公司的義務或法律責任，不論此等義務和法律責任是確實或必然、原有或附帶的、有抵押或無抵押的、共同或分別的；以及
2. 任何中財證券有限公司於任何時候維持的任何獨立帳戶之間來回撤銷或調動。
3. 中財證券有限公司可不需要在事前知會本人/吾等，將帳戶內的款項以中財證券有限公司最終確定的匯率兌換成任何其他貨幣。中財證券有限公司可不向本人/吾等發出通知而採取上述行動。

此賦予中財證券有限公司之授權乃鑑於同意繼續維持本人/吾等之證券現金帳戶/保證金帳戶。

此賦予中財證券有限公司之授權並不損害中財證券有限公司可享有有關處理該等獨立帳戶內款項的其他授權或權利。

本授權書之有效期為不多於12個月，並於\_\_\_\_\_屆滿。

本人/吾等可以向中財證券有限公司客戶服務部位於上述列明之地址發出通知，撤回本書面授權書。該等通知之生效日期為中財證券有限公司真正收到該等通知後14日起計。

本人/吾等明白中財證券有限公司若在本常設授權有效屆滿前的最少14日之前，向本人/吾等發出書面通知，提醒本人/吾等本常設授權即將屆滿，而本人/吾等沒有在此授權屆滿前反對此授權續期，本常設授權應當作在不需本人/吾等的書面同意下按持續的基準已被續期，每一延續有效期為不多於12個月。

此授權書已經向本人/吾等解釋及說明，而本人/吾等完全明白和同意此授權書的內容。

倘若本授權書的中文與英文本在解釋或意義方面有任何歧義，本人/吾等同意以英文本為準。

✉

Client Signature(s)

客戶簽署：

Client Name:

客戶名稱：

Client No.:

帳戶號碼：

Date(dd/mm/yy):

日期(日/月/年)：

**Note 注意：This Account Opening Application Form must be accompanied by 本開戶表須附有：**

- (1) Copy(ies) of the HKID/Passport of Client,  
客戶的香港身份證／護照副本。
- (2) Address proof (e.g. bank statement, electricity bill, etc.,) within 3 months.  
最近3個月內之住址證明(如銀行結單, 電費單等)。
- (3) Other document and/or information as ZSL may reasonably require.  
中財證券合理要求之其他文件及／或資料。

**FOR OFFICE USE ONLY 僅供本公司使用**

Information 資料：

AE Code 經紀代碼：\_\_\_\_\_

**Commission Rate and Limits 佣金率及限額**

Commission Rate 佣金率：\_\_\_\_\_ Minimum Commission 最低佣金：\_\_\_\_\_

Trading Limit 交易限額：\_\_\_\_\_ Credit Limit 信貸限額：\_\_\_\_\_

Checked by 檢查：\_\_\_\_\_ Reviewed by 查核：\_\_\_\_\_

Data Inputted by 資料輸入：\_\_\_\_\_ Data Input Checked by 資料檢查：\_\_\_\_\_

Remarks 備註：\_\_\_\_\_

Approved by RO 負責人員批核：\_\_\_\_\_ Date 日期：\_\_\_\_\_

**Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)**

(Rev. February 2014)

OMB No. 1545-1621

Department of the Treasury  
Internal Revenue Service

► For use by individuals. Entities must use Form W-8BEN-E.  
► Information about Form W-8BEN and its separate instructions is at [www.irs.gov/formw8ben](http://www.irs.gov/formw8ben).  
► Give this form to the withholding agent or payer. Do not send to the IRS.

**Do NOT use this form if:**

**Instead, use Form:**

- You are NOT an individual . . . . . W-8BEN-E
- You are a U.S. citizen or other U.S. person, including a resident alien individual . . . . . W-9
- You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the U.S. (other than personal services) . . . . . W-8ECI
- You are a beneficial owner who is receiving compensation for personal services performed in the United States . . . . . 8233 or W-4
- A person acting as an intermediary . . . . . W-8IMY

**Part I Identification of Beneficial Owner** (see instructions)

<b>1</b> Name of individual who is the beneficial owner		<b>2</b> Country of citizenship	
<b>3</b> Permanent residence address (street, apt. or suite no., or rural route). <b>Do not use a P.O. box or in-care-of address.</b>			
City or town, state or province. Include postal code where appropriate.		Country	
<b>4</b> Mailing address (if different from above)			
City or town, state or province. Include postal code where appropriate.		Country	
<b>5</b> U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)		<b>6</b> Foreign tax identifying number (see instructions)	
<b>7</b> Reference number(s) (see instructions)		<b>8</b> Date of birth (MM-DD-YYYY) (see instructions)	

**Part II Claim of Tax Treaty Benefits** (for chapter 3 purposes only) (see instructions)

**9** I certify that the beneficial owner is a resident of \_\_\_\_\_ within the meaning of the income tax treaty between the United States and that country.

**10 Special rates and conditions** (if applicable—see instructions): The beneficial owner is claiming the provisions of Article \_\_\_\_\_ of the treaty identified on line 9 above to claim a \_\_\_\_\_ % rate of withholding on (specify type of income): \_\_\_\_\_

Explain the reasons the beneficial owner meets the terms of the treaty article: \_\_\_\_\_

**Part III Certification**

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income to which this form relates or am using this form to document myself as an individual that is an owner or account holder of a foreign financial institution,
- The person named on line 1 of this form is not a U.S. person,
- The income to which this form relates is:
  - (a) not effectively connected with the conduct of a trade or business in the United States,
  - (b) effectively connected but is not subject to tax under an applicable income tax treaty, or
  - (c) the partner's share of a partnership's effectively connected income,
- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country, and
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. **I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.**

**Sign Here** ►

\_\_\_\_\_  
Signature of beneficial owner (or individual authorized to sign for beneficial owner) Date (MM-DD-YYYY)

\_\_\_\_\_  
Print name of signer Capacity in which acting (if form is not signed by beneficial owner)

自我證明表格 – 個人帳戶 (帳戶號碼: \_\_\_\_\_ )

重要提示：

- 這是由帳戶持有人向中財證券提供的自我證明表格，以作自動交換財務帳戶資料用途。中財證券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。
- 如帳戶持有人的稅務居民身份有所改變，應儘快將所有變更通知中財證券。
- 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。在標有星號 ( \* ) 的項目為中財證券須向稅務局申報的資料。請在適當的方格內加上☐號。

**第1部 個人帳戶持有人的身份識辨資料**

( 對於聯名帳戶或多人聯名帳戶，每名個人帳戶持有人須分別填寫一份表格 )

(1) 帳戶持有人的姓名：

稱謂

先生     太太     女士     小姐     其他：

姓氏\*

名字\*

(2) 身份證號碼或護照號碼\*：

(3) 現時住址：

地址：

室

樓層

大廈

街道：

城市\*：

國家\*：

郵政編碼：

(4) 通訊地址 ( 如通訊地址與現時住址不同，請填寫此欄 )：

地址：

室

樓層

大廈

街道：

城市\*：

國家\*：

郵政編碼：

(5) 出生日期\* (日/月/年)：

(6) 出生地點：

## 第2部 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」)\*

\*\* 請提供以下資料，列明

- (a) 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  
(b) 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。

\*\* 如帳戶持有人是香港/內地稅務居民，稅務編號是其香港/內地身份證號碼。

\*\* 如沒有提供稅務編號，必須填寫合適的理由：

理由 A - 帳戶持有人的居留司法稅務管轄區並沒有向其居民發出稅務編號。

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。

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。

居留司法管轄區*	稅務編號*	如沒有提供稅務編號， 請填寫理由 A、B 或 C	如選取理由 B，請解釋帳戶持 有人不能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			
(5)			

## 第3部 聲明及簽署

- ◆ 本人知悉及同意，中財證券可根據《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。
- ◆ 本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人(或本人獲帳戶持有人授權簽署本表格)。
- ◆ 本人承諾，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份，或引致本表格所載的資料不正確，本人會通知中財證券有限公司，並會在情況發生改變後 30 日內，向中財證券有限公司提交一份已適當更新的自我證明表格。

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。

正楷姓名：	簽署：
日期(日/月/年)：	
註：如閣下不是帳戶持有人，請說明你的身份：如以受權人身份簽署，請附上授權書的核證副本。	
身份：	

**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。