



賬戶號碼 Account No.:	
開戶日期 Account Opening Date:	

客戶資料表 – 個人/聯名賬戶
Client Information Form - Individual/Joint Account

ACCOUNT TYPE 賬戶類別			
戶口種類 Account Type	<input type="checkbox"/> 現金賬戶 Cash Account	<input type="checkbox"/> 保證金賬戶 Margin Account	賬戶形式 Account Nature
電子服務 Electronic Services	交易確認及賬單透過以下方式發送 (只選一項) Trading confirmation and statements will be sent by (select one):		<input type="checkbox"/> 個人賬戶 Individual Account
		<input type="checkbox"/> 電郵 By email <input type="checkbox"/> 郵寄 By Post (月費 HK\$100) <input type="checkbox"/> 住宅 Residential address <input type="checkbox"/> 辦公室 Office address	<input type="checkbox"/> 聯名賬戶 Joint Account
			電郵地址 Email Address : <hr/> <input type="checkbox"/> 電子交易服務 Electronic Trading Service

個人/聯名賬戶主要持有人 Individual / Primary Joint Account Holder		聯名賬戶第二持有人 Secondary Joint Account Holder	
中文姓名 Chinese Name		中文姓名 Chinese Name	
	先生/女士/太太/小姐		先生/女士/太太/小姐
英文姓名 English Name		英文姓名 English Name	
	Mr/ Ms / Mrs / Miss		Mr/ Ms / Mrs / Miss
住宅地址 (不接受郵政信箱) Residential Address (P.O. Box not accepted)		住宅地址 (不接受郵政信箱) Residential Address (P.O. Box not accepted)	
香港身份證號碼 / 護照號碼 HK ID Card No./Passport No.	出生日期 (年 / 月 / 日) Date of Birth (yyyy/mm/dd)	香港身份證號碼 / 護照號碼 HK ID Card No./Passport No.	出生日期 (年 / 月 / 日) Date of Birth (yyyy/mm/dd)
國籍 / 居民身份 Nationality/Citizenship	居住國家 Country of Residence	國籍 / 居民身份 Nationality/Citizenship	居住國家 Country of Residence
住宅電話號碼 Home Telephone No.	手提電話號碼 Mobile Phone No.	住宅電話號碼 Home Telephone No.	手提電話號碼 Mobile Phone No.
學歷程度 Education Level	<input type="checkbox"/> 小學或以下 Primary School or Below <input type="checkbox"/> 中學 Secondary School <input type="checkbox"/> 預科/專上學院 Post-Secondary <input type="checkbox"/> 大學或以上 University or Above	學歷程度 Education Level	<input type="checkbox"/> 小學或以下 Primary School or Below <input type="checkbox"/> 中學 Secondary School <input type="checkbox"/> 預科/專上學院 Post-Secondary <input type="checkbox"/> 大學或以上 University or Above
		與主要持有人關係 Relationship with Primary Account Holder <input type="checkbox"/> 直系親屬, 請說明 Immediate family, please specify _____ <input type="checkbox"/> 親戚 Relative <input type="checkbox"/> 朋友 Friend <input type="checkbox"/> 其他 Others _____	
銀行賬戶詳情(直接存款) Bank Account details (for direct deposit)			
銀行名稱 Name of Bank	賬戶持有人姓名 Name of Account Holder	賬戶號碼 Account No.	



賬戶主要持有人 Primary Joint Account Holder	賬戶第二持有人 Secondary Joint Account Holder
職業 / 職位 Occupation/Title	職業 / 職位 Occupation/Title
業務性質 Nature of Business	業務性質 Nature of Business
僱主名稱 Name of Employer	僱主名稱 Name of Employer
受僱年期 Year of Employment	受僱年期 Year of Employment
辦公室地址(不接受郵政信箱)Address of Employer (P.O. Box not accepted)	辦公室地址(不接受郵政信箱)Address of Employer (P.O. Box not accepted)
辦公室電話號碼 Office Telephone No.	辦公室電話號碼 Office Telephone No.

AUTHORIZATION (Joint Account) 賬戶操作簽署安排 (聯名賬戶)

1.	<input type="checkbox"/> Each of the above joint account holders specified is authorised to give verbal Instructions and/or Instructions through the Electronic Services (where applicable). 上述各聯名賬戶持有人均有權發出口頭指示及/或透過電子服務(倘適用)發出指示。
2.	<input type="checkbox"/> Either one joint account holder signing singly 其中一位聯名賬戶持有人單獨簽署， <input type="checkbox"/> Both joint account holders signing jointly 兩位聯名賬戶持有人共同簽署， validates any written instructions relating to the operation of the Account(s). 就任何有關賬戶運作的書面指示而言， 均為有效 。

INVESTMENT EXPERIENCE & DERIVATIVE PRODUCT KNOWLEDGE 投資經驗及 衍生產品認知

投資目標 INVESTMENT OBJECTIVES

- 賺取收入 Generating Income 資本增值 Capital Appreciation 對沖 Hedging 投機 Speculation 其他 Other

賬戶主要持有人 Primary Joint Account Holder	賬戶第二持有人 Secondary Joint Account Holder
<p>對衍生產品之認知 Derivative Products Knowledge:</p> <p><input type="checkbox"/> 本人了解衍生產品的性質及風險 I understand the nature and risks of derivative products by:</p> <p>1. 已接受有關的培訓或課程 Undergoing relevant training or attending course in</p> <p><input type="checkbox"/> 監管機構 <input type="checkbox"/> 交易所 <input type="checkbox"/> 大專院校 Regulatory Authority Exchange Tertiary Institution</p> <p><input type="checkbox"/> 進修學院 <input type="checkbox"/> 金融機構 Education Institution Financial Institution</p> <p>2. 於經紀公司或銀行、基金或資產管理公司、監管機構或交易所等金融機構擁有有關的工作經驗。 By gaining prior relevant work experience in financial institutions such as a broker firm or bank, fund house or asset management firm, regulatory authority or exchange.</p> <p><input type="checkbox"/> 受監管持牌人士 <input type="checkbox"/> 管理層 Regulated Licence Person Management Institution</p> <p><input type="checkbox"/> 與衍生工具相關後勤 Derivative Related Back Office</p> <p>3. <input type="checkbox"/> 於過去三年內進行了五次或以上有關衍生產品之交易(不論是否於交易所進行交易) Executing 5 or more transactions in derivative products (whether trade on an exchange or not) within the past 3 years.</p> <p><input type="checkbox"/> 本人並未有衍生產品之認識 I have NO knowledge of derivative products.</p>	<p>對衍生產品之認知 Derivative Products Knowledge:</p> <p><input type="checkbox"/> 本人了解衍生產品的性質及風險 I understand the nature and risks of derivative products by:</p> <p>1. 已接受有關的培訓或課程 Undergoing relevant training or attending course in</p> <p><input type="checkbox"/> 監管機構 <input type="checkbox"/> 交易所 <input type="checkbox"/> 大專院校 Regulatory Authority Exchange Tertiary Institution</p> <p><input type="checkbox"/> 進修學院 <input type="checkbox"/> 金融機構 Education Institution Financial Institution</p> <p>2. 於經紀公司或銀行、基金或資產管理公司、監管機構或交易所等金融機構擁有有關的工作經驗。 By gaining prior relevant work experience in financial institutions such as a broker firm or bank, fund house or asset management firm, regulatory authority or exchange.</p> <p><input type="checkbox"/> 受監管持牌人士 <input type="checkbox"/> 管理層 Regulated Licence Person Management Institution</p> <p><input type="checkbox"/> 與衍生工具相關後勤 Derivative Related Back Office</p> <p>3. 於過去三年內進行了五次或以上有關衍生產品之交易(不論是否於交易所進行交易) Executing 5 or more transactions in derivative products (whether trade on an exchange or not) within the past 3 years.</p> <p><input type="checkbox"/> 本人並未有衍生產品之認識 I have NO knowledge of derivative products.</p>



投資經驗 Investment Experience <input type="checkbox"/> 上市證券 Listed Securities 年數 Years () <input type="checkbox"/> 期貨或期權 Futures or Options 年數 Years () <input type="checkbox"/> 槓桿式外匯 Leveraged Foreign Exchange 年數 Years () <input type="checkbox"/> 單位信託基金或債券 Unit Trust or Bonds 年數 Years () <input type="checkbox"/> 其他 Others: _____ <input type="checkbox"/> 沒有 None	投資經驗 Investment Experience <input type="checkbox"/> 上市證券 Listed Securities 年數 Years () <input type="checkbox"/> 期貨或期權 Futures or Options 年數 Years () <input type="checkbox"/> 槓桿式外匯 Leveraged Foreign Exchange 年數 Years () <input type="checkbox"/> 單位信託基金或債券 Unit Trust or Bonds 年數 Years () <input type="checkbox"/> 其他 Others: _____ <input type="checkbox"/> 沒有 None
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FINANCIAL SITUATION 財務狀況

賬戶主要持有人 Primary Joint Account Holder		賬戶第二持有人 Secondary Joint Account Holder	
流動資產 Liquid Assets (HKD)	<input type="checkbox"/> <HKD100,000 <input type="checkbox"/> HKD100,001 – HKD500,000 <input type="checkbox"/> HKD500,001 – HKD1,000,000 <input type="checkbox"/> HKD1,000,001 – HKD5,000,000 <input type="checkbox"/> HKD5,000,001 – HKD10, 000,000 <input type="checkbox"/> Other: HKD _____	<input type="checkbox"/> <HKD100,000 <input type="checkbox"/> HKD100,001 – HKD500,000 <input type="checkbox"/> HKD500,001 – HKD1,000,000 <input type="checkbox"/> HKD1,000,001 – HKD5,000,000 <input type="checkbox"/> HKD5,000,001 – HKD10, 000,000 <input type="checkbox"/> Other: HKD _____	
資產淨值 Net Worth (HKD)	<input type="checkbox"/> <HKD100,000 <input type="checkbox"/> HKD100,001 – HKD500,000 <input type="checkbox"/> HKD500,001 – HKD1,000,000 <input type="checkbox"/> HKD1,000,001 – HKD5,000,000 <input type="checkbox"/> HKD5,000,001 – HKD10, 000,000 <input type="checkbox"/> Other: HKD _____	<input type="checkbox"/> <HKD100,000 <input type="checkbox"/> HKD100,001 – HKD500,000 <input type="checkbox"/> HKD500,001 – HKD1,000,000 <input type="checkbox"/> HKD1,000,001 – HKD5,000,000 <input type="checkbox"/> HKD5,000,001 – HKD10, 000,000 <input type="checkbox"/> Other: HKD _____	
年薪(港幣) Annual Income (HKD)	<input type="checkbox"/> <HKD100,000 <input type="checkbox"/> HKD100,001 – HKD500,000 <input type="checkbox"/> HKD500,001 – HKD1,000,000 <input type="checkbox"/> HKD1,000,001 – HKD5,000,000 <input type="checkbox"/> HKD5,000,001 – HKD10, 000,000 <input type="checkbox"/> Other: HKD _____	<input type="checkbox"/> <HKD100,000 <input type="checkbox"/> HKD100,001 – HKD500,000 <input type="checkbox"/> HKD500,001 – HKD1,000,000 <input type="checkbox"/> HKD1,000,001 – HKD5,000,000 <input type="checkbox"/> HKD5,000,001 – HKD10, 000,000 <input type="checkbox"/> Other: HKD _____	
資金來源 Source of Funds	<input type="checkbox"/> 薪金儲備 Savings from Salary <input type="checkbox"/> 營業溢利 Business Profits <input type="checkbox"/> 投資收益 Investment Income <input type="checkbox"/> 租金收入 Rental Income <input type="checkbox"/> 遺產繼承 / 饋贈 Inheritance / Gift <input type="checkbox"/> 其他 Other: _____	<input type="checkbox"/> 薪金儲備 Savings from Salary <input type="checkbox"/> 營業溢利 Business Profits <input type="checkbox"/> 投資收益 Investment Income <input type="checkbox"/> 租金收入 Rental Income <input type="checkbox"/> 遺產繼承 / 饋贈 Inheritance / Gift <input type="checkbox"/> 其他 Other: _____	
財富來源 Source of Wealth	<input type="checkbox"/> 薪金儲備 Savings from Salary <input type="checkbox"/> 營業溢利 Business Profits <input type="checkbox"/> 投資收益 Investment Income <input type="checkbox"/> 租金收入 Rental Income <input type="checkbox"/> 遺產繼承 / 饋贈 Inheritance / Gift <input type="checkbox"/> 其他 Other: _____	<input type="checkbox"/> 薪金儲備 Savings from Salary <input type="checkbox"/> 營業溢利 Business Profits <input type="checkbox"/> 投資收益 Investment Income <input type="checkbox"/> 租金收入 Rental Income <input type="checkbox"/> 遺產繼承 / 饋贈 Inheritance / Gift <input type="checkbox"/> 其他 Other: _____	
住屋業權 Ownership of Residence	<input type="checkbox"/> 擁有 Owned <input type="checkbox"/> 已抵押 Mortgaged <input type="checkbox"/> 沒有抵押 Not Mortgaged <input type="checkbox"/> 沒有 Not Owned <input type="checkbox"/> 租住 Rental <input type="checkbox"/> 與家人同住 Living with Family	<input type="checkbox"/> 擁有 Owned <input type="checkbox"/> 已抵押 Mortgaged <input type="checkbox"/> 沒有抵押 Not Mortgaged <input type="checkbox"/> 沒有 Not Owned <input type="checkbox"/> 租住 Rental <input type="checkbox"/> 與家人同住 Living with Family	



資料披露 DISCLOSURE OF INFORMATION

<p>1. 閣下(及/或聯名賬戶第二持有人)是否此賬戶之最終實益擁有人?(即閣下是否為本身而非第三方運作此賬戶?)如否,賬戶之最終實益擁有人是: Are you (and/or the Secondary Joint Account Holder) the ultimate beneficial owner(s) in relation to the account? (i.e. Are you acting for your own account and not for a third party?) If NO, details of the ultimate beneficial owner(s) is/are: 姓名 身份證/護照號碼 Name ID/Passport NO. 地址 Address</p>	<p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No</p>
<p>2. 閣下(及/或聯名賬戶第二持有人)是否為香港證券及期貨事務監察委員會或香港金融管理局的持牌人或註冊人或受僱於證監會的持牌法團或註冊證券經紀交易商、證券交易所?如是,請註明 CE 編號、僱主名稱及提交閣下僱主有關同意閣下於正金證券開戶的書面同意。 Are you (and/or the Secondary Joint Account Holder) a person licensed by or registered with the HK Securities and Futures Commission or the HK Monetary Authority, or employed by a licensed corporation, a registered securities broker dealer, a stock exchange? If Yes, please specify the CE No., the name of employer, and submit an employer consent letter which provides consent for an account opening with ICD.</p>	<p><input type="checkbox"/> 是 Yes CE 編號: _____ <input type="checkbox"/> 否 No</p>
<p>3. 閣下(及/或聯名賬戶第二持有人) 是否為任何其股份在任何交易所或市場買賣的上市公司的高級管理人員或董事?如是,請註明相關的公司名稱及股份代號: Are you (and/or the Secondary Joint Account Holder) a senior officer or director of any listed company whose shares are traded on any exchange or market? If YES, please specify the company name(s) and stock code(s): 公司名稱 股份代號 Company name Stock code:</p>	<p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No</p>
<p>4. 閣下(及/或聯名賬戶第二持有人)是否為正金證券/其聯繫人士之職員/代理人 或 與正金證券/其聯繫人士之職員/代理人有親戚關係?如是,職員/代理人是: Are you (and/or the Secondary Joint Account Holder) an employee or agent of ICD/its Associates OR a relative of an employee or agent of ICD/ its Associates? If YES, the name of employee / agent is: 姓名 Name</p>	<p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 雙親 Parent <input type="checkbox"/> 配偶 Spouse <input type="checkbox"/> 兄弟姐妹 Sibling <input type="checkbox"/> 孩子 Child <input type="checkbox"/> 其他 Other: _____ <input type="checkbox"/> 否 No</p>
<p>5. 閣下(及/或聯名賬戶第二持有人) 是否為正金證券其他客戶的配偶/子女?如是,請註明有關人士的名稱、賬戶號碼及與其關係: Are you (and/or the Secondary Joint Account Holder) a spouse/child of another person who maintains an account with ICD? If YES, please specify his/her Name, Account No. and relationship: 姓名 Name</p>	<p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 雙親 Parent <input type="checkbox"/> 配偶 Spouse <input type="checkbox"/> 兄弟姐妹 Sibling <input type="checkbox"/> 孩子 Child <input type="checkbox"/> 其他 Other: _____ <input type="checkbox"/> 否 No</p>

僅適用於保證金戶口客戶 MARGIN ACCOUNT CUSTOMERS ONLY

<p>閣下(及/或聯名賬戶第二持有人)之配偶是否為正金證券的保證金客戶?如是,請註明有關人士的名稱及賬戶號: Are you (and/or the Secondary Joint Account Holder)'s spouse a Margin Account holder of ICD? If YES, please specify his/her Name and Account No.: 姓名 保證金戶口號碼 Name Margin Account NO.</p>	<p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No</p>
<p>閣下(及/或聯名賬戶第二持有人)是否與閣下(及/或聯名賬戶第二持有人)之配偶共同控制任何與正金證券開立之公司保證金客戶 35% 或以上的投票權?如是,請註明有關人士的名稱及賬戶號: Are you (and/or the Secondary Joint Account Holder), either alone or with your (and/or the Secondary Joint Account Holder)'s spouse, in control of 35% or more of the voting rights of any corporate Margin Account holder of ICDG? If YES, please specify his/her Name and Account No.: 姓名 保證金戶口號碼 Name Margin Account NO.</p>	<p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No</p>



稅務居民自我認證 TAX RESIDENCY SELF CERTIFICATION

本人(及/或聯名賬戶第二持有人)等就美國稅務而言為美國稅務居民(綠卡持有人或通過實質居留測試的居民*)。如是,請註明美國聯邦納稅人識別號:

I/ and/or the Secondary Joint Account Holder certify that I am/we are tax resident(s) in the United States for U.S. tax purposes (green card holder or resident under the substantial presence test¹). If YES, please specify the U.S. federal taxpayer identification number (US TIN).

是 Yes
美國聯邦納稅人識別號
US TIN: _____
 否 No

本人/及/或聯名賬戶第二持有人已將向正金證券交回一份填寫完整及已簽署的適用美國國稅局表格 W-9 (可自網站 <http://www.irs.gov> 上下載)。

I/ and/or the Secondary Joint Account Holder have returned/will return a duly completed and signed the applicable U.S. Internal Revenue Service Form W-9 (which may be obtained at <http://www.irs.gov>) to ICDL.

本人(及/或聯名賬戶第二持有人)茲證明本人(及/或聯名賬戶第二持有人)在美國(或美國領土)出生。
I/We certify that I am/we are U.S. citizen(s) in the US.

是 Yes
 否 No

*要通過「實質居留」測試,一般就任何曆年而言:(a)個人須於該年度內在美國居留最少 31 日及(b)該名人士於該年度內在美國居留的日數,加上上個年度內在美國居留日數的三分之一,再加上兩個年度內在美國居留日數的六分之一,三者合計等於或超過 183 日。The "substantial presence" test is generally met with respect to any calendar year if (a) the individual was present in the U.S. for at least 31 days during such year and (b) the sum of the number of days in which such individual was present in the U.S. during such year, 1/3 of the number of such days during the first preceding year, and 1/6 of the number of such days during the second preceding year, equals or exceeds 183 days.

閣下(及/或聯名賬戶第二持有人)是否香港以外之稅務目的而言之稅務居民?如是,請註明稅務國家及各國適用的參考稅號類型及號碼。
Are you (and/or the Secondary Joint Account Holder) a resident for tax purposes in any place other than HK? If YES, please specify the tax reference number type and number applicable in each country. 是 Yes 否 No

提供以下資料,列明 Complete the following table indicating:

- A. 賬戶持有人的居留司法管轄區,亦即賬戶持有人的稅務管轄區;及
each jurisdiction of residence where the account holder is a resident for tax purposes; and
B. 該居留司法管轄區發給賬戶持有人的稅務編號。
If the account holder is a tax resident of HK, the TIN is the HK ID Card Number (HKID).

如沒有提供稅務編號,必須填寫合適的理由 If a TIN is unavailable, provide the appropriate reason A, B or C:

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

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

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 C - 賬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賬戶持有人披露稅務編號。

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.

如閣下(及/或聯名賬戶第二持有人)對閣下(及/或聯名賬戶第二持有人)的稅務居住地有任何疑問,請聯繫閣下(及/或聯名賬戶第二持有人)的稅務顧問。請恕我們不能提供稅務意見。

If you (and/or the Secondary Joint Account Holder) have any questions about your tax residency, please contact your tax adviser as **we are not allowed to give tax advice.**

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

*居留司法管轄區及稅務編號或具有等同功能的識別編號(稅務編號)

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



DECLARATIONS, CONFIRMATIONS AND ACKNOWLEDGEMENTS 聲明、確信及確認

I/We declare and acknowledge that: 本人/吾等聲明及確認

1. I/We have read and fully understood the Terms and Conditions of the Agreement and relevant Risk Disclosure Statement.
本人/吾等已閱讀及完全明白本合約之條款及細則以及相關的風險披露聲明書。
2. I/We have received the copies of the Terms and Conditions of the Agreement, Fees & Charges, Risk Disclosure Statement and Circular relating to Personal Data (Privacy) Ordinance and was/were invited to read, ask questions and take independent advice if I/we wish.
本人/吾等已收悉本合約之條款及細則、收費及費用、風險披露聲明書及關於個人資料(私隱)條例的客戶通知(通知書)之副本及已獲邀閱讀、提出問題及徵求獨立意見(如本人/吾等有此意願)。
3. ICD may provide you/your Personal Data to other persons for their use in direct marketing in accordance with the Notice to Customers Relating to Personal Data (Privacy) Ordinance. You/Yours should check the box below if you/yours do not wish us to provide your/yours personal data to other persons for their use in direct marketing
根據通知書，正金證券可向其他人士提供本人/吾等的個人資料，供彼等用於直銷推廣。倘若本人/吾等不願正金證券向其他人士提供本人/吾等的個人資料供其用於直銷推廣，請於以下方框勾選。

I/We do not wish our Personal Data to be provided to other persons for their use in direct marketing.
本人/吾等不願向其他人士提供本人/吾等的個人資料供其用於直銷推廣。

****The above represents your present choice whether or not to receive direct market contact or information. Please note that your choice applies to the direct marketing of the classes of products, services and/or subjects set out in the Notice. Please also refer to the Notice on the kinds of Personal Data which may be used in direct marketing and the classes of persons to which your Personal Data may be provided for them to use in direct marketing.**

****以上代表閣下現在對是否接收直接促銷聯繫式資料的選擇。請注意，閣下的選擇適用於通知書上所載的產品，服務及/或標的類別的直接促銷。亦請閣下參考該通知書上以得知在直接促銷上可使用的個人資料的種類，以及閣下的個人資料可提供予甚麼類別的人士以供該等人士在直接促銷中使用。**

4. I/We accept the Terms and Conditions of the Agreement and agree to be bound by them.
本人/吾等接受本合約之條款及細則以及同意受其約束。
5. I/We have carefully considered the Risk Disclosure Statement and recognize that trading in securities involves a high degree of risk. Considering my/our financial position and investment objective, I/we confirm that I/we am/are financially able to assume such risks and to sustain any losses resulting from such trading and voluntarily confirm that trading in securities is a suitable trading vehicle for me/us.
本人/吾等已仔細考慮風險披露聲明書及了解進行證券買賣所涉及之高風險。考慮到本人/吾等的財務狀況和投資目標，本人/吾等確認本人/吾等之財政能承擔該交易帶來之風險和承受其帶來之任何損失，亦自願確認證券買賣是一項對本人/吾等合適的買賣方式。
6. I/We have signed the Agreement on the date shown below. 本人/吾等已於下列日期在本合約上簽署。
7. I/We acknowledge and confirm that I/we must (i)observe any possible tax consequences including but not limited to the US Foreign Account Tax Compliance Act ("FATCA") and the OECD Common Reporting Standard ("CRS") for Automatic Exchange of Financial Account Information, and (ii)comply with any legal requirements and foreign exchange restrictions and exchange control requirements which might be applicable under the laws of the countries of my incorporation, citizenship, residence and/or domicile and which might be relevant to the purchase, holding or disposal of securities.
本人/吾等知悉及確認本人/吾等必須遵守本人/吾等登記註冊國、國籍、居住國及/居籍的法律之下可能適用的與購買、持有及沽售證券相關的(i)可能產生的任何稅務後果，包括但不限於美國<海外賬戶稅收合規法案>(FATCA)和<經濟合作及發展組織>的自動交換金融賬戶資料共同匯報標準(CRS)及(ii)法律規定及外匯限制或管理規定。

*If you (and/or the Secondary Joint Account Holder) have any questions on your tax status, please consult your tax adviser or domestic tax authority. You are required to notify us promptly and provide us with an updated tax status should there be any changes to your tax details.

*若對於閣下(及/或聯名賬戶第二持有人的)稅務狀況有任何疑問，請聯絡閣下(及/或聯名賬戶第二持有人的)稅務顧問或當地稅務機關。如閣下(及/或聯名賬戶第二持有人的)稅務狀況有任何變動，請立即告知我們，並提供閣下(及/或聯名賬戶第二持有人的)最新稅務狀況。

8. Subject to applicable local laws, I/we hereby consent for ICD to disclose, report, or share my/our information with local and overseas regulators or tax authorities where necessary to establish my/our tax liability in any jurisdiction.
在不抵觸本地適用法律的情況下，本人/吾等同意正金證券可向國內及海外的監管機構或稅務機構提供本人/吾等的資料以確立本人/吾等於任何司法管轄區的稅務責任。



9. Where required by local or overseas regulators or tax authorities, I/we consent and agree that ICD may withhold from my/our account(s) such amounts as may be required according to applicable laws, regulations and directives.
因應本地及海外監管機構或稅務機構的要求，本人/吾等同意並准許正金證券可按適用的法律、法規和指令在本人/吾等之賬戶中扣留相關所須的款項。
10. I/we undertake to fully cooperate with ICD to ensure it meets its obligations under applicable laws, regulations and directives in connection with my/our account(s).
本人/吾等承諾會與正金證券充分合作，以確保正金證券就處理與本人/吾等賬戶相關的事宜會符合適用的法律、法規和指令。
11. I/We acknowledge and confirm that this Account Application Form was provided to me/us in either, at my/our choice, English or Chinese. In the event of any inconsistency between the English and Chinese versions of this Account Application Form, the English version will prevail.
本人/吾等承認及確認該開戶申請表按本人/吾等所選擇的語言(英文或中文)提供予本人/吾等。該開戶申請表中英文版本如有不一致之處，應以中文為準。
12. If this account is intended to be established and/or maintained in connection with the Capital investment Entrant Scheme (the “Scheme”) administered by the Immigration Department of the Hong Kong Special Administrative Region from time to time, I/We agree that, in addition to the Terms and Conditions, I shall be bound by the terms of the CIES Special Terms attached to this Agreement (as Annexure 1), which shall form part of this Agreement. I further agree that the terms of the CIES Terms may be amended from time to time pursuant to changes to the rules of the Scheme or applicable laws. The CIES Special Terms shall be construed in accordance with the rules of the Scheme.
若果賬戶是因香港特別行政區入境事務所不時管轄的資本投資者入境計畫(入境計畫)而成立或持有，本人/吾等接受本合約附件所載的入境計畫特別條款約束。計畫特別條款應構成本合約的一部分，亦不時可因入境計畫或有關法規的修訂而修改。計畫特別條款應按照入境計畫的規則解釋。
13. I/We have read and fully understood the Terms and Conditions of On-line Trading, and agree to be bound by them.
本人/吾等已閱讀及完全明白本合約之條款及細則中的**網上交易協議**的條款，並接受這些條款的約束。
14. I/We have requested ICD to provide me/us with Margin financing pursuant to the Terms of Business or custody services pursuant to the Terms of Business. I/We understand and acknowledge that: (a)I/we will be provided with a Standing Authority in relation to such services; (b)I/we are not required by any law to sign the Standing Authority but it may be required by ICD, for example, to facilitate Margin lending to me/us or to allow my/our securities or securities collateral to be lent to or deposited as collateral with third parties; and (c)ICD may refuse to provide me/us with such services if I/we do not provide a Standing Authority in the form prescribed by ICD.
本人/吾等已要求正金證券根據業務條款提供予本人/吾等保證金融資或根據業務條款提供託管服務。本人/吾等理解及確認：(a)本人/吾等將就該等服務獲得提供常設授權；(b)現時無任何法例規定本人/吾等必須簽署此常設授權，然而正金證券可能需要此授權，以便例如向本人/吾等提供保證金貸款或獲許將有關本人/吾等的證券或證券抵押品借出予第三方或作為抵押品存放於第三方；及(c)倘本人/吾等未按照正金證券規定的形式提供常設授權，正金證券可能拒絕向本人/吾等提供該等服務。
15. I/We declare that I/we have examined the information on this Client Information Form and to the best of my/our knowledge and belief, it is true, correct, and complete.
本人/吾等已查閱有關本客戶資料表的資料，並據本人/吾等所知及所信，該等資料正確無誤及完整。
16. **I/We agree that I/we will notify ICD any material changes in respect of the above information in written form within 30 days.**
本人/吾等同意，如本客戶資料表內的任何資料有重大變更，本人/吾等將於**30日**內以書面通知正金證券。

WARNING : It is a serious offence under the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. Heavy penalty may apply upon conviction.

警告: 根據 {稅務條例}，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，可致重罰。



STANDING AUTHORITY (Margin Account Only) 常設授權書 (僅適用於保證金戶口)

根據《證券及期貨(客戶證券)規則》所設立的常設授權 Authority under Securities and Futures (Client Securities) Rules

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：

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

除非另有說明，本授權書之名詞與證券及期貨條例及證券及期貨(客戶證券)規則不時修訂之定義具有相同意思。

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

本授權書授權貴公司 This letter authorises you to:

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；
apply any of my/our securities or securities collateral pursuant to a securities borrowing and lending agreement;
2. 將任何本人/吾等的證券抵押品存放於認可財務機構，作為該機構向貴公司提供財務通融之抵押品；
deposit any of my/our securities collateral with an authorized financial institution as collateral for financial accommodation provided to you;
3. 將任何本人/吾等的證券抵押品存於香港中央結算有限公司(“中央結算”)，作為解除貴公司在交收上的義務和清償貴公司在交收上的法律責任的抵押品。本人/吾等明白中央結算因應貴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；
deposit any of my/our securities collateral with Hong Kong Securities Clearing Company Limited ("HKSCC") as collateral for the discharge and satisfaction of your settlement obligations and liabilities. I/We understand that HKSCC will have a first fixed charge over my/our securities to the extent of your settlement obligations and liabilities;
4. 將任何本人/吾等的證券抵押品存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，作為解除貴公司在交收上的責任和義務和清償貴公司在交收上的法律責任的抵押品；及
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 your settlement obligations and liabilities; and
5. 如貴公司在進行證券交易及貴公司獲發牌或獲註冊進行的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。
apply or deposit any of my/our securities collateral in accordance with paragraphs (1), (2), (3) and/or (4) above if you provide 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 you are licensed or registered.

貴公司可不向本人/吾等發出事前通知而採取上述行動。本人/吾等確認本授權書不影響貴公司為解除由本人/吾等或代本人/吾等對貴公司、貴公司之聯繫實體或第三者所負的法律責任，而處置或促使貴公司的聯繫實體處置本人/吾等之證券或證券抵押品的權利。

You may do any of these things without giving me/us prior notice. I/We acknowledge that this authority shall not affect your right to dispose or initiate a disposal by your associated entity of my/our securities or securities collateral in settlement of any liability owed by or on behalf of me/us to you, the associated entity or a third party.

此賦予貴公司之授權乃鑑於貴公司同意繼續維持本人/吾等之證券保證金賬戶。

This authority is given to you in consideration of your agreeing to continue to maintain the securities margin account(s) for 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。

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.

本授權書的有效期限為 12 個月，自本授權書之日起計有效。

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

本人/吾等可以向貴公司客戶服務部位於上述所列明之地址發出書面通知，撤回本授權書。該等通知之生效日期為貴公司真正收到該等通知後之 14 日起計。

This authority may be revoked by giving you written notice addressed to the Customer Service Department at your address specified above. Such notice shall take effect upon the expiry of two weeks from the date of your actual receipt of such notice.

本人/吾等明白貴公司若在本授權書的有效期限屆滿前 14 日之前，向本人/吾等發出書面通知，提醒本人/吾等本授權書即將屆滿，而本人/吾等沒有在此授權屆滿前反對此授權續期，本授權書應當作在不需要本人/吾等的書面同意下按持續的基準已被續期。

I/We understand that this authority may be deemed to be renewed on a continuing basis without my/our written consent if you issue me/us a written reminder at least 14 days prior to the expiry date of this authority, and I/we do not object to such deemed renewal before such expiry date.

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

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

本人/吾等就本授權書的內容已獲得解釋，並且本人/吾等明白及同意本授權書的內容。

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

Client Confirmation 客戶確認: _____

Date 日期: _____



CLIENT'S SIGNATURE 客戶簽署

Primary Joint Account Holder 賬戶主要持有人	Secondary Joint Account Holder 賬戶第二持有人
Signed by 由:	Signed by 由:
Signature 簽署	Signature 簽署
Name of Account Holder 賬戶持有人姓名	Name of Account Holder 賬戶持有人姓名
Date 日期	Date 日期
In the presence of 由以下人士見證:	In the presence of 由以下人士見證:
Signature of Witness 見證人簽署	Signature of Witness 見證人簽署
Name of Witness 見證人姓名	Name of Witness 見證人姓名
Date 日期	Date 日期

VERIFICATION OF IDENTITY (if Account Application Form not executed by the client before Licensed Representative of ICD) **身份核證**(倘客戶未能於正金證券持牌代表面前簽署開戶申請表)

This is to certify that I have witnessed the signing of the Account Application Form of ICD by the applicant. I further confirm that I have verified the applicant's identity against his/her identification documentation 本人謹此認證，見證申請人簽署正金證券的開戶申請表。本人已核實申請人的身份證明文件，以進一步確認其身份。

Signature of Witness 見證人簽署: _____ Date 日期: _____

Name of Witness 見證人姓名: _____ Occupation 職務: _____

Professional Qualification Obtained by the Witness and the License Number 見證人已取得的專業資格及牌照號碼:

Employer Address and Contact of the Witness 見證人僱主的地址及聯繫方式:

Note: A witness has to be a registered person, a Justice of the Peace, branch manager of a bank, lawyer, certified public accountant or Notary Public. The witness shall provide a copy of (1)his/her HK ID Card, (2)his/her business card, (3)supporting document(s) of his/her professional qualification. The witness shall also certify copies of the HK ID card(s) and/or passport(s) of all director(s), Authorised Person(s), beneficial owner(s) and person(s) who ultimately originate Instructions to ICD.

請注意: 見證人需為註冊人士、太平紳士、銀行分行經理、律師、註冊會計師或公證人。見證人應提供(1)本人的香港身份證，(2)本人的名片及(3)本人專業資格證明文件的副本。見證人亦應核證所有董事、授權人士、實益擁有人及最終負責向正金證券發出指示人士的香港身份證及/或護照副本。

ICD is a licensed corporation under the Securities and Futures Commission (BIT628)

正金證券乃香港證券及期貨事務監察委員會之持牌法團 (BIT628)



INTERNAL USE ONLY 內部使用

Risk Disclosure Statements 風險披露聲明

The client has been provided with the relevant Risk Disclosure Statements and disclaimers in a language of the customer's choice. The undersigned licensed or registered staff has invited the client to read the relevant Risk Disclosure Statements and disclaimers set out in the Account Agreement, ask questions and take independent advice if the client wishes.

客戶獲提供以其所選語言編纂的相關風險披露聲明及免責聲明。以下簽名的持牌或登記人員已邀請客戶閱讀賬戶協議所載的相關風險披露聲明及免責聲明、提出問題及徵求獨立意見(如客戶有此意願)。

Signature of Staff Member 簽署: _____	Date 日期:
Name 姓名: _____ (CE No. _____)	

Telephone recording 電話錄音

Time 時間:	Date 日期:
Telephone extension number 電話分機號碼:	Remark 備註:

NOTE 註

Any deletion or amendment on the agreement/any other relevant documents Must be signed by all account holders (full signature)
協議/任何其他相關文件的任何刪除或修訂須由所有賬戶持有人簽署(全名)

Internal Use Only 只供內部使用

Name of AE and AE Code:	Commission Rate & Minimum Charges:	Trading Limit:
Input Maker (Settlement):	Documentation Checked By:	
Compliance Officer:	Responsible Officer:	Special Approval by Director (if applicable):