

Zhong Xiang Securities Limited 中享證券有限公司

THIS AGREEMENT is made 本協議簽訂日期為the _____ day(日)of _____ (月) _____ (年)
BETWEEN 協議雙方

(1) Zhong Xiang Securities Limited, (BJG650) whose registered office is situated at 8/F, CS Tower, 50, Wing Lok Street, Sheung Wan, Hong Kong, and

(2) the party or parties whose name(s), address(es) and description(s) and set out in the Account Opening Form below (the "Client")

ACCOUNT OPENING FORM 開戶表格

Account No. 帳戶號碼: _____ A.E. code 經紀代號: _____

Client's Name 客戶姓名/名稱: _____

Type of Account 帳戶分類: _____ Cash Account 現金賬戶

I. CLIENT INFORMATION 客戶資料**1. Individual Account Applicant 個人戶口申請人****1A. Individual Account Applicant's Personal Information 個人戶口申請人之個人資料:**

Name (English)

姓名/名稱 (英文) Last Name (姓) _____ Given Name (名) _____

Name (Chinese)

姓名/名稱 (中文) Last Name (姓) _____ Given Name (名) _____

Date of Birth DD 日 / MM 月 / YY 年

出生日期 _____ / _____ / _____

Nationality

國籍 _____

Jurisdiction of Residence

報稅地區 _____

ID/Passport No.

身份證/護照號碼 _____

Expires end

有效期截止 _____

Gender

性別 _____

Residential Address 居住地址 _____

☐ Owned 擁有 Approx. net value (less mortgage) of property 估值 (扣除按揭): HK\$ _____☐ Rented 租用☐ Living with Relative 與親戚同住

Mobile Tel No. 手機號碼 _____ E-mail Address 電郵地址 _____

Employment Status 就業狀態:

☐ Employed 受雇☐ Self-employed 自雇☐ Unemployed 待業

Name of Employer

僱主名稱 _____

Occupation (or type of Business)

職業(或業務性質) _____

Year(s) Employed

任職年期 _____

Position

職位 _____

Level of education 教育程度:

☐ Primary or below 小學或以下☐ Secondary school 中學☐ Junior College 大專☐ Bachelor or above 本科或以上**1B. Individual Account Applicant's Financial Background 個人戶口申請人之財務狀況:**

Estimated Annual Incomes (in HK\$) 估計年薪 (以港幣計):

☐ less than 少於 \$100,000☐ \$100,000 - \$300,000☐ \$300,000 - \$5,000,000☐ over 多於 \$5,000,000

Approximate net value of my assets (in HK\$) 總資產 (以港幣計):

☐ less than 少於 \$300,000☐ \$300,000 - \$1,000,000☐ \$1,000,000 - \$5,000,000☐ over 多於 \$5,000,000**1C. Individual Account Applicant's Investment Objectives and Experience 個人戶口申請人之投資目的及經驗:****Investment Objectives 投資目的**☐ Break even 保本☐ Dividend 分紅☐ Investment 投資☐ Speculation 投機**Investment Experience 投資經驗**☐ No 0年☐ one-three years 1-3年☐ Three-ten years 3-10年☐ More than ten years 10年以上☐ Debentures or Other Securities 股票、債券及其他證券☐ Leveraged Foreign Exchange 槓桿外匯☐ Precious Metals 貴重金屬☐ Futures / Options 期貨/期權☐ Others : (specify) 其他 (請註明)

Other Relevant Investment Experience 其他有關投資經驗 _____

1D. Individual Account Applicant's Derivatives Knowledge 個人戶口申請人之衍生工具知識:

- (1) Does the Client have Derivatives Knowledge 客戶有沒有衍生產品知識? ☐ Yes 有 ☐ No 沒有
- (2) If yes, how did the Client acquire the relevant knowledge of derivatives? 如有, 客戶如何獲得有關衍生工具知識?
- ☐ The Client has trading experience in any kinds of derivatives products, for example at least 5 transactions of any derivatives products in the past three years. 客戶擁有曾買賣衍生產品的經驗, 例如最少在過去 3 年內進行 5 次或以上任何種類的衍生產品交易。
 - ☐ The Client has undergone training or attended courses on derivatives products. 客戶曾接受有關衍生產品的培訓或修讀相關課程。
 - ☐ The Client has working experience involved in derivatives. 客戶擁有涉及衍生工具的工作經驗。
 - ☐ Other 其他 (please specify 請注明) _____
- (3) if no, you are required to read and understand the additional risks disclosure statements (Appendix I) - Derivatives traded on Exchange included in the Client Account Agreement. 如沒有, 客戶需要閱讀及理解包括於客戶帳戶協議中的附加風險披露聲明 (附件一)-在交易所買賣的衍生產品。

1E. Individual Account Applicant's United States Status 個人戶口申請人之美國身份:

- (1) Is the Client or the Client's ultimate beneficial owner a United States Person ("U.S. Person") defined under the Foreign Account Tax Compliance Act ("FATCA") 根據海外帳戶稅收合規法案定義, 客戶或其最終受益人是不是美國人?
- ☐ Yes, TIN is 美國聯邦納稅人識別號碼是: _____ ☐ No 不是
- (2) For the Client who has the below particular(s), please tick the appropriate box(es) 對於具以下明細的客戶, 請剔取合適的方格。
- ☐ U.S. place of birth 出生地為美國
 - ☐ U.S. mailing or residence address (including a U.S. post office box) 郵寄或永久地址為美國
 - ☐ U.S. telephone number 美國電話號碼
 - ☐ Standing instructions to transfer funds to an account maintained in the United States 常設授權將資金轉至設在美國的帳戶
 - ☐ Power of attorney or signatory authority granted to a person with a U.S. address 授予擁有美國地址的人士代理權或簽名權
 - ☐ An "in-care-of" or "hold mail" address that is the sole address 僅提供一個轉交地址或代存郵件地址
 - ☐ None of the above 以上全部不是

1F. Individual Account Applicant's Related Account 個人戶口申請人之的相關帳戶:

The Client agrees to provide information of the following persons who maintain account (s) in the Broker (Related Account):
客戶同意提供以下人士在本公司的帳戶 (「相關帳戶」):

- (a) the Client's spouse 客戶的配偶;
- (b) the corporation in which the Client and his/her spouse holding 35% (or more) shares 客戶 (或與其配偶) 控制 35% (或以上) 股權的公司。

Information of all the Related Account (s) (if any) 所有相關帳戶的資料 (如有):

Account name (s) 帳戶名稱: _____ Account number(s) 帳戶號碼: _____

Relationship 關係: _____

* If the Client does not provide the above information, it means that the Client does not have Related Account. 若客戶沒有提供以上資料, 這表示客戶並沒有相關帳戶。

II. **REQUEST FOR THE INTERNET (INCLUDING MOBILE CHANNEL) TRADING FACILITY FOR SECURITIES 要求互聯網 (包括手提電話) 證券交易設施**

Does the Client request the Broker to provide the Client with the Internet (including Mobile Channel) Trading Facility for the Account? 客戶是否要求本公司提供互聯網 (包括手提電話) 證券帳戶交易設施?

☐ Yes 是 ☐ No 否

III. **CLIENT' S DESIGNATED E-MAIL ADDRESS, STATEMENTS, DESIGNATED BANK ACCOUNT 客戶指定電郵地址、帳單、指定銀行戶口**

- A) Please use the following Designated Client E-mail address for the purpose of the Client' s receiving confirmations, notices, message, statements (if applicable) or otherwise from the Broker: 請用以下指定電郵地址作為客戶接收本公司發出的確認信、通知書、訊息或帳單 (如適用) 或其他之用: -

Designated Client E-mail Address 指定客戶電郵地址: _____

- B) Please dispatch daily/monthly statements in either option (i) or (ii) as below: 請將每日/每月之帳單以下列其中一個方法送遞:

☐ (i) Electronic format to the above Designated E-mail Address (Free of charge) 電郵帳單送至以上所指定的電郵地址 (免費)

☐ (ii) Hard copy format to the above correspondence address (Monthly service fee policy applies) 郵寄帳單送至以上通訊地址 (服務月費政策已實施)

- C) In case the Client instructs the Broker to transfer money into the bank account of the Client, please transfer the money to the following Designated Bank Account (unless otherwise instructed by the Client in writing): 若客戶指示本公司提取帳戶資金轉給客戶, 請將帳戶資金轉往以下的指定銀行戶口 (除非客戶另以書面指示):

Bank name 銀行名稱	Account No. 戶口號碼 _____
Account Name 戶口名稱	
Bank Address 銀行地址	

IV. **CLIENT' S RELATIONSHIP TO THE BROKER 客戶與本公司的關係**

The Client declares that (1) the Client or its ultimate beneficial owner does not have any relationship with any staff of the Broker or directors of its subsidiaries; and (2) the Client or its ultimate beneficial owner is not an employee of a licensed or registered corporation under the Securities and Futures Commission of Hong Kong, unless otherwise specifies below. 客戶聲明 (一) 客戶或其最終受益人與本公司的職員或其附屬公司之任何董事並沒有任何關係; 及 (二) 客戶或其最終受益人不是一間受香港證監會所監管的持牌法團或註冊機構的僱員, 除非以下特別註明。

Please specify the relationship 請註明關係 _____

V. DECLARATION 客戶聲明

The Client declares that: 客戶謹此聲明:

- Unless otherwise specifies as follows, the Account now opened with the Broker is held in the capacity of Principal; 除非以下所註明, 客戶在本公司開設帳戶的持有人身份為主事人; Please specify the capacity 請註明身份 _____
- The information provided above is true, complete and correct; and in the opening form the provided information and content are true, complete and correct;
- The Client understands that the Broker is subject to the Personal Data (Privacy) Ordinance (Cap. 486 of the Laws of Hong Kong) which regulates the use of personal data concerning individuals. The Broker's policies and practices relating to the use of personal data are set out in the Schedule 1 to this Agreement. 客戶明白本公司受《個人資料(私隱)條例》(香港法例第 486 章)(該條例規管有關個人的個人資料的使用)所約束。有關本公司使用個人資料的政策和慣例, 載列於本協議之附表 1。
- The Client will notify the broker immediately of any material changes to the above information. 如開戶表格內的資料有任何變更, 客戶將會立刻知會本公司有關的資料變更;
- The anticipated level and nature of the activity that is to be undertaken through the relationship (e.g. what the typical transactions are likely to be): 預期透過有關業務關係進行的活動的程度及性質 (例如可能作出的典型交易): _____;
- If the Client is a U.S. Person, the Client hereby gives irrevocable consent to the Broker to report to the United States Inland Revenue Service ("US IRS") at any time the Client's identification details and the Account information (including but not limited to name, address, the United States federal taxpayer identifying numbers ("TIN") and the prescribed type of entity (if applicable), the relevant Account balances, gross amounts of relevant interest incomes, dividend incomes and withdrawals etc. 若客戶是美國人士, 客戶須特此給予不可撤銷的同意予經紀向美國稅務服務局 (「美國國稅局」) 在任何時候報告客戶身份詳細資料及帳戶資料包括但不限於姓名, 地址, 美國聯邦納稅人識別號碼 ("TIN") 及實體之訂明類型 (如適用), 有關帳戶餘額, 相關利息收入的總金額, 股息收入及提款等等。

The Client agree that: 客戶同意以下:

- ☐ Have read and agree with 《Client Agreements》 已閱讀並同意《客戶協議書》
- ☐ Have read and agree with 《Risk Disclosure》 已閱讀並同意《風險披露》
- ☐ Have read and agree with 《Form W-8BEN》 已閱讀並同意《W-8BEN非美國人免稅表格》
- ☐ Have read and agree with 《Letter of Commitment》 已閱讀並同意《投資者承諾書》
- ☐ Have read and agree with 《HKIDR Individual Client Consents》 已閱讀並同意《香港投資者識別碼制度 - 個人客戶同意函》
- ☐ Have read and agree with 《User Guideline of Anti-Money Laundering》 已閱讀並同意《反洗錢條約》
- ☐ I am the Ultimate and sole beneficiary of this security account 本人是該證券帳戶的最終且唯一受益人
- ☐ I have no relationship with the directors and employees of this securities company 本人與本證券公司的董事和雇員沒有任何關係
- ☐ I am not a licensee, employee, director or executive of any exchange, securities company, or other financial institution 本人不是任何交易所, 證券公司, 或其他金融機構的持牌人、雇員、董事、高管
- ☐ I did not hold any important public positions, such as important positions in government agencies, the military, and state-owned organizations 本人沒有擔任任何重要公職, 例如政府機關, 軍隊, 國有機構的重要崗位
- ☐ I am not a permanent resident of the United States (residency card holder) 本人不是美國永久居民 (綠卡持有者)

the date first above written
or 以上第一個所述日期或

Client Signature (Individual Account Applicant)
客戶簽署 (個人戶口申請人)

Witness Signature 見證人簽署

Name of Witness 見證人姓名

Declaration Made by a Licensed Representative 持牌代表聲明

I, the undersigned, have provided the Risk Disclosure Statements in a language of the Client's choice and have fully explained the contents of Risk Disclosure Statements (including any additional risk disclosure statements) to the Client. I have invited the Client to read the Risk Disclosure Statements, ask questions and seek independent advice if the Client wishes.

本人為以下簽署者，已經以客戶所選擇能夠明白的語言向客戶完全解釋上述《風險披露聲明》(包括任何加入的風險披露聲明) 的內容及已邀請客戶細閱及進行提問，如客戶有此意願，可就《風險披露聲明》徵求獨立意見。

the date first above written
or 以上第一個所述日期或

Signature of licensed representative
持牌代表簽署

Name of licensed representative 持牌代表姓名

C.E. Number 中央編號

For and on behalf of
Zhong Xiang Securities Limited
Approved and accepted by
承認及接納

Authorized Signature 本公司授權代表簽署

Day (日) of (月) (年)
Date 日期

Documents required for opening of Account for securities trading 證券買賣帳戶所須文件

For Individual / Joint Account 個人 / 聯名帳戶

1. Copy of the Hong Kong Identity Card or Passport of each individual account(s) holder.
客戶之身份證副本或護照副本。
 2. Proof of Residential Address (and permanent address if different)
住址證明(及永久地址，如兩者不同)。
 3. Provide Form W-9 if account(s) holder is United States Person. 客戶身份是美國人請提供 W-9 表格
 4. Provide Form W-8BEN and supplementary information if account(s) holder is Non-United States Person.
客戶身份是美國人請提供 W-8BEN 表格及補充資料
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只供本公司使用

Client Name:	Relationship with client:	Year of relationship with client:
Recommend Commission rate:	Recommend Trading limit:	Recommend Margin limit:
Remarks: Internet (Including Mobile Channel) Trading Services Yes / No Trade Derivatives Products. Yes / No		
Recommended By:		
AE: _____ AE Code _____		

Approved Trading Limit:	Commission Rate:
Approved Margin Limit:	Interest Rate:

Checked By: 	Approved By: 	UID Processed By:
Compliance Dept. Date:	RO / Executive Director Date:	RO Date: