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經紀人號碼： AE Code:	帳戶號碼： Account No.:	開戶日期： Date Opened:
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### 開戶表格 – 個人 / 聯名帳戶

### Account Opening Form – Individual / Joint Account

#### I. 帳戶類別 Type of Account

1) 帳戶種類： Client Type:	<input type="checkbox"/> 個人帳戶 Individual Account	<input type="checkbox"/> 聯名帳戶 <sup>^</sup> Joint Account	<input type="radio"/> 主戶口* Primary Written Instruction	<input type="radio"/> 書面指示	<input type="radio"/> 任何一位 Any One
2) 交易帳戶： Trading Account:	<input type="checkbox"/> 現金帳戶 Cash Account	<input type="checkbox"/> 保證金帳戶 Margin Account	<input type="radio"/> 第二戶口 Secondary	<input type="checkbox"/> 兩位 Both	
3) 電子交易服務： Electronic Trading Services:			<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 否 No	

註 Note：  
<sup>^</sup>聯名帳戶每位帳戶持有人須分別填寫一份開戶表格 For joint account, each account holder should complete a separate Account Opening Form  
\*聯名帳戶的電子交易服務只提供給主戶口持有人 For joint account, Electronic Trading Services will be provided to Primary account holder ONLY

#### II. 個人資料 Personal Information

1) 姓名 (中文)： Name (Chinese):	2) 姓名 (英文/拼音)： Name (English/Pinyin):	3) 出生日期：( 日 / 月 / 年) Date of Birth (DD/MM/YY):		
4) 身份證明文件類別 Identity Document Type： <input type="checkbox"/> 香港身份證 HK I.D. Card <input type="checkbox"/> 中國身份證 PRC I.D. Card <input type="checkbox"/> 護照 Passport (簽發國家 Issuing Country _____)				
5) 身份證明文件號碼： Identity Document No.:	6) 性別： Gender:	<input type="checkbox"/> 男 M <input type="checkbox"/> 女 F	7) 出生地： Place of Birth:	8) 國籍： Nationality:
9) 住宅地址： Residential Address: 註 Note：恕不接受中央郵箱地址 P.O. Box address is not acceptable				郵編 Postal Code ( )
10) 通訊地址 (如與住址不同)： Correspondence Address (if different from Residential Address):				郵編 Postal Code ( )
11) 住屋： Residence: <input type="checkbox"/> 自置物業 Self-owned <input type="checkbox"/> 按揭物業 Mortgage <input type="checkbox"/> 租用物業 Rented <input type="checkbox"/> 宿舍 Quarters <input type="checkbox"/> 與家人同住 Living with Family <input type="checkbox"/> 其他 Others _____				
12) 流動電話： Mobile No.: 1 ( ) 2 ( )		13) 住宅電話： Home No.:		14) 傳真號碼： Fax No.:
15) 電郵地址： Email Address:		16) 教育程度： Education Level: <input type="checkbox"/> 中學或以下 Secondary or Below <input type="checkbox"/> 大專 College <input type="checkbox"/> 大學或以上 University or Above		
17) 受僱資料： Employment Information: <input type="checkbox"/> 受僱 Employed <input type="checkbox"/> 自僱 Self-employed <input type="checkbox"/> 學生 Student <input type="checkbox"/> 退休 Retired <input type="checkbox"/> 其他 Others _____				
18) 僱主名稱： Name of Employer:		19) 業務性質： Nature of Business:		20) 職位： Job Title:
21) 任職年期： Year of Services:		22) 辦公室電話： Office Tel. No.:		23) 辦公室傳真： Office Fax No.:
24) 辦公室地址： Office Address:				郵編 Postal Code ( )
25) 帳戶結單收取方法 Method of Collecting Account Statement： 所有綜合成交單據及帳戶日結單，月結單及通訊以下列方式發送，只可選擇其一(如客戶選用郵寄形式，將每月收取港幣\$50 郵遞服務費) All Combined Daily Statement of Account and Contract Notes, Monthly Statements and Correspondence to be sent to by the following mean (Choose ONE only, if clients choose for mailing services, HK\$50 shall be imposed as postage service fee) <input type="checkbox"/> 通訊地址 Correspondence Address <input type="checkbox"/> 電郵地址 E-mail Address 註 Note：就聯名帳戶而言，任何送往戶口第一持有人通訊地址的通訊或通知應被視為給予所有聯名戶口持有人的充分通知 For joint account, any communication or notice sent to the correspondence address of the primary account holder shall be regarded as sufficient notice to all joint holders.				
26) 結單語言 Statement Language：(只可選其一 Tick ONE only) <input type="checkbox"/> 繁體中文 <input type="checkbox"/> 簡體中文 <input type="checkbox"/> English				

### III. 銀行帳戶資料 Bank Account Information

1) 銀行帳戶持有人名稱#： Bank Account Holder's Name:		
2) 銀行名稱： Name of Bank:	3) 銀行帳戶號碼： Bank Account No.:	
4) 貨幣種類： Currency:	<input type="checkbox"/> 港幣 HKD	<input type="checkbox"/> 美元 USD
<input type="checkbox"/> 人民幣 RMB		
<p>註 Note: 除經閣下客戶另行指示外, 須付予閣下的款項將按指示存入以上銀行帳戶 Unless otherwise instructed by you, all monies payable to you are to be credited to the above bank account. #銀行帳戶持有人名稱必須與此表格上客戶姓名相同 Bank Account Holder's Name shall match with the name of the Client shows in this Form</p>		

### IV. 財務資料 Financial Information

1) 估計年收入 (港幣)： Estimated Annual Income (HK\$):	<input type="checkbox"/> ≤\$120,000	<input type="checkbox"/> \$120,001 – \$360,000	<input type="checkbox"/> \$360,001 – \$600,000
	<input type="checkbox"/> \$600,001 – \$1,200,000	<input type="checkbox"/> ≥\$1,200,001	
2) 估計流動資產 (港幣)： Estimated Liquid Assets (HK\$):	<input type="checkbox"/> ≤\$500,000	<input type="checkbox"/> \$500,001 – \$1,000,000	<input type="checkbox"/> \$1,000,001 – \$8,000,000
	<input type="checkbox"/> \$8,000,001 – \$30,000,000	<input type="checkbox"/> ≥\$30,000,001	
3) 估計資產淨值 (港幣)： Estimated Total Net Worth (HK\$):	<input type="checkbox"/> ≤\$500,000	<input type="checkbox"/> \$500,001 – \$1,000,000	<input type="checkbox"/> \$1,000,001 – \$8,000,000
	<input type="checkbox"/> \$8,000,001 – \$30,000,000	<input type="checkbox"/> ≥\$30,000,001	
4) 資金來源(可選一或多項)： Source of Funds (Can tick 1 or more):	<input type="checkbox"/> 薪金 Salary <input type="checkbox"/> 儲蓄 Savings <input type="checkbox"/> 投資回報 Return of Investment <input type="checkbox"/> 退休金 Retirement Fund <input type="checkbox"/> 業務收入 Business Income <input type="checkbox"/> 租金收入 Rental Income <input type="checkbox"/> 其他 Others: _____		

### V. 投資目的、經驗及衍生產品知識 Investment Objective, Experience & Derivative Products Knowledge

1) 投資目的： Investment Objective(s):	<input type="checkbox"/> 對沖 Hedging <input type="checkbox"/> 資本增值 Capital Gain <input type="checkbox"/> 股息收入 Dividend Income <input type="checkbox"/> 投機 Speculation <input type="checkbox"/> 套戥 Arbitrage <input type="checkbox"/> 其他 Others _____			
2) 投資經驗(可選一或多項)： Investment Experience (Can tick one or more):	<input type="checkbox"/> 股票 Equity _____ 年 years <input type="checkbox"/> 期貨/期權 Futures/Options _____ 年 years <input type="checkbox"/> 基金/債券 Fund/Bonds _____ 年 years <input type="checkbox"/> 其他 Others: _____ 年 years	<input type="checkbox"/> 牛熊證/窩輪 CBBC/Warrants _____ 年 years <input type="checkbox"/> 槓桿式外匯 Leveraged Foreign Exchange _____ 年 years <input type="checkbox"/> 結構性產品 Structured Products _____ 年 years <input type="checkbox"/> 沒有 Nil		
3) 對衍生產品之認識： Derivative Products Knowledge:	閣下曾否接受有關結構性產品或衍生產品的培訓或相關課程? Have you ever attended any courses or seminars on structure or derivative product(s)? <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No			
	閣下現時或以往的工作經驗是否與結構性產品或衍生產品有關? Has any of your current or previous work experience been related to structure or derivative product(s)? <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No			
	閣下曾否在以往三年內執行過五宗或以上結構性產品或衍生產品的交易 (不論是否於交易所進行交易)? Have you ever executed five or more transactions in structure or derivative product(s) (whether traded on an exchange or not) within Three years? <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No			
	<input type="checkbox"/> 如否, 本人已閱讀及明白包括於證券交易協議中的風險披露聲明 - 買賣交易所買賣之結構性產品(結構性產品)(例如: 衍生權證, 牛熊證) 的一些相關風險 If NO, I have read and understood the Risk Disclosure Statement – Risk of Exchange-Trade Structured Products (“Structured Products”) e.g. Derivative Warrants (“Warrants”), Callable Bull/Bear Contracts (“CBBC”) included in the Securities Trading Agreement.			

### VI. 最終實益擁有人及利益關係申報 Beneficiary Ownership and Interest Declaration

1) 閣下是否大中華證券有限公司或其集團公司及其任何附屬公司之僱員, 或其任何僱員/董事/代理人之親屬? Are you an employee of, or a relative of any employee/director/agent of Greater China Securities Limited or parent company of Greater China Securities Limited and any of its subsidiaries? <input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes (請詳述 Please specify) 僱員/董事/代理人姓名 Name of Employee/Director/Agent: _____ 關係 Relationship: _____
2) 閣下是否此帳戶的最終實益擁有人? Are you the ultimate beneficial owner(s) of the Account? <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No (資料如下 Details are as follows) 姓名 Name: _____ 身份證/護照號碼 ID/Passport No.: _____ 國籍 Nationality: _____ 地址 Address: _____ (請提供其身份證明文件及住址證明副本 Please provide a copy of his/her identity card and address proof)

3) 閣下是否此帳戶進行交易的最終負責發出指示人? Are you ultimately responsible for originating instructions for the transactions of the Account?  
 是 Yes  
 否 No (請提供已填妥"第三者操作帳戶授權書"及其身份證明文件及住址證明副本 Please provide completed "Third Party Trading Authorization" and a copy of his/her identity card and address proof)

4) 閣下是否香港證券及期貨事務監察委員會之持牌或註冊人士, 或任何持牌法團或註冊機構之董事或僱員? Are you a licensed/registered person, or a director or an employee of any licensed corporation/registered institution of Securities and Futures Commission in Hong Kong?  
 否 No  
 是 Yes (請詳述及提供僱主之書面同意書 Please specify and provide employer's consent letter)

持牌或註冊人士姓名/名稱 Name of Licensed or Registered Person \_\_\_\_\_  
 (請提供閣下僱主的同意信 Please attach consent letter from your employer)

5) 客戶、任何帳戶最終權益擁有人或授權人士或其配偶、伴侶、子女或父母、或其子女的配偶或伴侶、或與其關係密切的人是否為政治人物、高級政府官員、國有企業高級行政人員或國際組織高級管理人員? Is you, any of your ultimate beneficial owner(s) or authorized person of the Account or his / her spouse, partner, child, parent, spouse or partner of his / her child, or close associate a politically exposed person, senior government official, senior executive of a state owned corporation or senior managing official of an international organization?  
 否 No  
 是 Yes (請詳述 Please specify) \_\_\_\_\_

6) 閣下是否任何香港上市公司之僱員/董事//股東(持有不少於 5%的股份)? Are you an employee/director/shareholder (controlling not less than 5% of the shares) of any listed company in Hong Kong?  
 否 No  
 是 Yes (請詳述 Please specify) \_\_\_\_\_

以下問題僅適用於保證金帳戶 The below questions are applicable to Margin Account only

7) 閣下的配偶是否持有大中華證券的保證金帳戶? Does the spouse of you have a margin account with GCSL?  
 否 No  
 是 Yes (配偶姓名 Name of the Spouse \_\_\_\_\_ 帳戶號碼 Account No.: \_\_\_\_\_)

8) 閣下或閣下的配偶是否在一間於大中華證券開設保證金帳戶的公司單獨或共同擁有 35%或以上之表決(投票)權? Are you, either alone or with your spouse, in control of 35% or more of the voting rights of any corporate client of GCSL?  
 否 No  
 是 Yes (配偶姓名 Name of the Spouse \_\_\_\_\_ 帳戶號碼 Account No.: \_\_\_\_\_)

### VII. 美國居民海外帳戶稅收法案問卷及自驗證明 The Foreign Account Tax Compliance Act ("FATCA") of United States Questionnaire and Self-Certification (For Individual / Joint Account)

1) 閣下的出生地是哪裡? What is your place of birth?	
2) 閣下在第 II 部分中所填寫的聯繫電話屬於哪個國家? 請指明國家名稱。Which country do the contact number(s) provided in Section II belong to? Please state the name of the country.	國家 Country (流動電話 Mobile) _____ 國家 Country (住宅電話 Home) _____ 國家 Country (辦公室電話 Office) _____
3) 閣下在第 III 部分中所填寫的銀行帳戶(如有)屬於哪個國家? What is the country in which the bank account, if any, provided in Section III is maintained?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
4) 閣下的帳戶的被授權人士是否擁有美國地址? Does any power of attorney or authorized person of your account, if any, have U.S. address?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
5) 閣下是否需要承擔任何美國納稅義務? 如有, 請提供閣下的稅務識別號碼 ("TIN") Do you have any U.S. tax obligation? Please provide your Tax Identification Number ("TIN") if you have.	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No TIN _____
6) 閣下是否被視為美國公民或美國居民? Are you designated as U.S. citizen or resident?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
7) 閣下是否為美國人? Are you a U.S. person?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No

### VIII. 風險承受能力問卷 Risk Tolerance Level Questionnaire

本風險承受能力問卷為協助閣下考慮對投資風險的取向而設。問題涉及典型投資者對風險的整體取向, 顯示閣下的個人投資特色。請參閱問卷免責聲明。如果閣下的情況有所更新, 請及時以書面通過本公司。

This Risk Tolerance Level Questionnaire is designed to help you consider your attitude toward investment risk. It asks questions which provide some indication of the overall general attitude toward risk for a typical investor displaying your personal investment characteristics. Please refer to our Questionnaire Disclaimer Statement. If any circumstances have changed, please notify us in writing in a timely manner.

1) 年齡 Age

21 - 35 [5]       36 - 45 [4]       46 - 55 [3]       56 - 65 [2]       < 21 / > 65 [0]

◎ 若客戶屬於此年齡組別, 則無需繼續填寫問卷, 而將直接被評定為低風險承受能力。 If client belongs to this age band, there is no need to continue the questionnaire. The risk tolerance level will be classified as LOW RISK

2) 投資目的 Investment Objectives (可選擇多項 Can choose more than one) (#)

保本 Capital Protection [1]  
 股息收入 Dividend Income [2]  
 資本增值 Capital Gain [3]  
 對沖 Hedging [4]  
 投機 Speculation [5]

## 3) 傾向的投資類型 Preferred Type of Investment (可選擇多項 Can choose more than one)(#)

- 現金儲蓄 Cash Deposit [1]  
 股票 Equity [4]  
 牛熊證/窩輪 CBBC/Warrant [5]  
 期貨/期權 Futures / Options [5]  
 債券 Bonds [2]  
 單位信託/互惠基金 UT/Mutual Funds [3]  
 衍生產品 Derivatives [5]

## 4) 對各類金融工具的投資經驗 Investment Experience with Different Types of Financial Instruments(#)

A: 無經驗 No Experience; B: 0-2 年 years; C: 2-5 年 years; D: 5-10 年 years; E: &gt;10 年 years

- 股票/牛熊證/窩輪 Stocks/CBBC/Warrants [A 0] / [B 2] / [C 3] / [D 4] / [E 5]  
 期貨/期權 Futures/Options [A 0] / [B 3] / [C 4] / [D 4] / [E 5]  
 存款連結產品 Deposit-linked products [A 0] / [B 3] / [C 4] / [D 4] / [E 5]  
 基金 Funds [A 0] / [B 1] / [C 2] / [D 2] / [E 3]  
 上市或場外交易衍生產品 Listed or OTC Derivatives Products [A 0] / [B 1] / [C 2] / [D 2] / [E 3]

## 5) 去年進行的交易宗數 Number of Trades Carried Out Last Year

- < 20 [1]       20 - 49 [2]       50 - 99 [3]       100 - 299 [4]       > 300 [5]

## 6) 計劃持有投資的時間 Plan to Hold Investment

- < 1 年 year [1]       1 - 2 年 years [2]       3 - 4 年 years [3]       5 - 7 年 years [4]       > 7 年 years [5]

## 7) 願意承受多少投資波動 Level of Investment Fluctuation Comfortable with

- ±5% [1]       ±10% [2]       ±20% [3]       ±30% [4]       > ±30% [5]

## 8) 可分配作為投資的流動資產的百分比 Percentage of Liquid Assets Allocate in Investment

- 0% - 10% [1]       11% - 20% [2]       21% - 30% [3]       31% - 40% [4]       > 40% [5]

## 9) 在沒有收入的情況下，儲蓄 / 儲備可用多久 How Long Savings/Reserves Will Be Used Up if No Further Income Generated

- < 1 個月 mth [1]       2 - 6 個月 mths [2]       7 個月 mths - 1 年 year [3]       1 - 2 年 years [4]       > 2 年 years [5]

## 10) 對投資回報的期望 Expectation towards Investment Return

- 與銀行的定期存款利率相若 Comparable to fixed deposit rates offered by banks [1]  
 比銀行的定期存款利率為佳 Better than fixed deposit rates offered by banks [2]  
 跑贏通貨膨脹率 Beat inflation [3]  
 與股票市場指數的表現相若 Comparable to the performance stock market indices [4]  
 跑贏股票市場指數的表現 Better than the performance of stock market indices [5]

## 11) 假設您的投資於大市波動而在 6 個月內下跌了 15%，您會如何反應？ How would you react if your investments drop 15% in 6 months due to market fluctuations?

- 全數沽出，避免承受風險 Sell all investments to avoid taking risk [1]  
 沽出部份，轉為較保守的投資 Switch part of the investments to more conservative investments [2]  
 不作任何變動，等候大市回升 Will not take any action, and will wait for market to rebound [3]  
 考慮投入更多資金作趁低吸納 Consider investing more at bargain prices [4]  
 沽出部份，轉而買入較進取的投資項目，期望可追回損失 Switch part of the investments to more aggressive investments, with an expectation to make up for the losses [5]

(##) 在被選定的所有選擇中，選擇最高的分數 Among all choices selected, choose the highest scores.

風險承受能力總分 Risk Tolerance Level Total Score

總分 Total Score	客戶風險承受程度 Client Risk Tolerance Level
< 15 分 points	<input type="checkbox"/> 低風險 Low Risk
16 - 35 分 points	<input type="checkbox"/> 中風險 Medium Risk
> 36 分 points	<input type="checkbox"/> 高風險 High Risk

## 風險承受能力分析 Risk Tolerance Analysis

客戶風險承受程度 Client Risk Tolerance Level	投資者的一般特徵 Investor General Characteristics
低風險 Low Risk	<b>保守型 Conservative:</b> 客戶願意承受低度的風險，亦明白接受較保守的回報。Client is willing to accept low risk. In return, client understands that he/she will receive low returns.
中風險 Medium Risk	<b>平衡型 Balance:</b> 客戶願意承受中度的風險，於中長線換取潛在的回報。Client is willing to accept medium risk in exchange for potential returns over medium to long term
高風險 High Risk	<b>進取型 Aggressive:</b> 客戶願意承受高度的風險，於長線換取最大的潛在回報。客戶亦明白到有可能招致損失大部份或全部本金。Client is willing to accept very high risk to maximize the potential return over long term. Client also understands that he/she may lose a significant part or all his/her capital.

本人謹此聲明並同意上述所有資料均是完整、真實及準確，並且是盡本人所知而作答。本人明白若本人所提供之資料有所改變，本人應立即通知大中華證券有限公司並再進行取向評估。

I hereby declare and agree that all the information given above is complete, true and accurate, and is given to the best of my/our knowledge. I understand that I should promptly notify Greater China Securities Limited ("GCSL") and conduct the profiling again if any information provided by me is changed.

#### 問卷免責聲明 QUESTIONNAIRE DISCLAIMER STATEMENT

問卷根據閣下所提供的資料而得出結果，並僅供閣下考慮為本身作出投資決定時供您考慮。問卷內容及結果不可視為對任何投資產品及服務的銷售或購買邀請，亦不應作為投資意見予以考慮。大中華證券有限公司對所提供資料的準確性及完整性並不負上義務或責任。大中華證券有限公司將就此問卷內的個人資料保密。閣下提供的資料只會在向大中華證券有限公司承擔保密責任的情況下，供大中華證券有限公司用作設計及/或推廣金融產品及服務之用。

The results of the questionnaire are derived from information that you have provided to us, and only serve as a reference for your consideration when making your own investment decisions. The questionnaire and the results are not an offer to sell or a solicitation for an offer to buy any financial products and services and they should not be considered as investment advice. GCSL accepts no responsibility or liability as to the accuracy or completeness of the information given. Personal information collected in the questionnaire will be kept confidential by GCSL. The information may be used by GCSL under a duty of confidentiality to GCSL, for designing and/or marketing of financial products and services.

我同意並接受上述評估結果。

I agree and accept the above assessment.

\_\_\_\_\_  
客戶簽署 Client's Signature:

\_\_\_\_\_  
日期 Date ( 日 DD/月 MM/年 YYYY ) :

本人不同意將本人的個人資料用於有關《個人資料(私隱)條例》(香港法例第 486 章)並於《客戶協議》內所載的個人資料收集聲明內所述的直銷用途。(\*如閣下未有在空格加上✓但在此表格上簽署表示接納有關個人資料收集聲明，將表示閣下不反對(即同意)閣下的個人資料可被用作或被轉移以用作於個人資料收集聲明內所述的直銷用途。閣下可隨時撤銷該同意以停止接收任何推廣資料或物品。

I object to the use of my personal data for direct marketing as specified in the PIC set out in the Client Agreement relating to the Personal Data (Privacy) Ordinance (Cap. 486). (\*If you do not tick the box but sign on this Account Opening Form to signify your acceptance of the PIC, you will be regarded as having indicated that you have no objection and have consented to the use or transfer to the other parties of your personal data for direct marketing as stated in the PIC. You may still opt-out from receiving any marketing information or materials as any time you wish to withdraw your consent.)

#### IX. 客戶聲明 Declaration By Client

本人謹此承諾並確認: I hereby acknowledge and confirm that:

- 1) 本人證實在本表格內所填報之資料在所有方面全屬真實及正確，並授權大中華證券可在任何時間聯絡任何人，包括本人的銀行、經紀等或任何信貸機構以確認該等資料之真確性；  
I confirm that all of the above information is true and correct and authorize GCSL at any time to contact anyone, including my banks, brokers or any credit agency, for the purpose of verifying the information provided in this Account Opening Form;
- 2) 本人同意開立此開戶表格第 I 部份所列出的帳戶(「帳戶」)；  
I agree to open account(s) listed in Section I herein (the "Account") with GCSL;
- 3) 本人已收到、閱讀及明白規限證券交易協議內之條款(包括其附表、附錄及附件(如有))(「證券交易協議」)。而本人接納並同意受該等條款約束  
I have received, read and understood the Terms and Conditions contained therein the Securities Trading Agreement (and the schedules, appendices and annexes thereto, if any) (the "Securities Trading Agreement"). I accept and agree to be bound by them;
- 4) 本人已獲提供以本人選擇語言(中文或英文)所撰寫的風險披露聲明(載於證券交易協議)；  
The risk disclosure statements (as contained in the Securities Trading Agreement) were provided to me in a language of my choice (Chinese or English);
- 5) 本人已獲邀請參閱風險披露聲明，並按其意願提出問題及諮詢獨立意見(如本人有此意願)；  
I was invited to read the risk disclosure statements, and to ask questions and take independent advice if I so wished;
- 6) 本人已參閱大中華證券給予客戶有關《個人資料收集聲明》(載於證券交易協議內)，並明白且同意其條款；  
I have read GCSL Personal Information Collection Statements (as contained in the Securities Trading Agreement), understand and agree to its terms;

\_\_\_\_\_  
客戶簽署 Client's Signature

\_\_\_\_\_  
日期 Date ( 日 DD/月 MM/年 YYYY )

**X. 抵押證券授權書 Letter of Authorization for Securities Collateral (只適用於保證金帳戶 For Margin Account ONLY)**

致 大中華證券有限公司  
To: Greater China Securities Limited

本常設授權書是有關一切由貴公司代表本人購入或持有之證券。  
This letter of Standing Authority covers all securities purchased or held by you on my behalf.

根據《證券及期貨（客戶證券）規則》，本常設授權書授權貴公司在毋須進一步通知本人或取得本人同意的情況下：-  
Without further notice to or consent from me, pursuant to of the Securities and Future (Client Securities) Rules, this letter authorizes you to:-

- 1) 依據證券借貸協議運用任何有關本人的證券或證券抵押品；  
Apply any of my securities or securities collateral pursuant to a securities borrowing and lending agreement;
- 2) 將任何本人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的抵押品；  
Deposit any of my securities collateral with an authorized financial institution as collateral for financial accommodation provided to you;
- 3) 將任何本人的證券抵押品存放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；  
Deposit any of my securities with Hong Kong Securities Clearing Company Limited ("HKSCC") as collateral for the discharge and satisfaction of your settlement obligations and liabilities. I understand that HKSCC will have a first fixed charge over my securities to the extent of your obligations and liabilities;
- 4) 將任何本人的證券抵押品存放於任何其他的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義務和清償貴公司在交收上的法律責任的抵押品。本人明白中央結算因貴公司的責任和義務而對本人的證券設定為第一固定押記；及  
Deposit any of my securities 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提供財務通融，即可按照上述第(1)、(2)、(3)及/或(4)段所述運用或存放任何本人的證券抵押品。  
Apply or deposit any of my securities collateral in accordance with paragraphs (1), (2), (3) and/or (4) above if you provide financial accommodation to me in the course of dealing in securities and also provide financial accommodation to me in the course of any other regulated activity for which you are licensed or registered.

此賦予貴公司之授權乃鑒於貴公司同意繼續維持本人之證券保證金帳戶。  
This authority is given to you in consideration of your agreeing to continue to maintain the securities margin account for me.

本人明白本人之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，方可將本人的證券退回本人。  
I understand that a third party may have rights to my securities, which you must satisfy before my securities can be returned to me.

本授權書的有效日期由本信日期開始，並\_\_\_\_\_年 12 月 31 日底起無效，但可在本人同意下另授權續約，或在本人就貴公司將發出的續約通知書不提出反對下被視為自動續約，每週期為 12 個月。本人明白本人可以在清還所有欠款後向貴公司發出書面通知撤回此常設授權。該等通知之生效日期為貴公司真正收到該等通知後之第 10 個營業日起計算。  
This authority is valid from the date of this letter and will expire on 31<sup>st</sup> December, \_\_\_\_\_ but it may be renewed with my consent or deemed to be renewed if I do not object to a written renewal notice that you will send to me for subsequent periods of 12 months. I understand that I may revoke this standing authority by giving you written notice provide that I have settled all outstanding debts due to you and such notice shall take effect upon the expiry of 10 business days from the date of your actual receipt of such notice.

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，應以英文本為準。  
In the event of any difference in interpretation or meaning between the Chinese and English version of this authority, the English version shall prevail.

本常設授權書已全部向本人解釋清楚。本人明白本常設授權書的內容。  
This letter has been fully explained to me, and I understand the contents of this letter.

\_\_\_\_\_  
客戶簽署 Client's Signature

\_\_\_\_\_  
日期 Date ( 日 DD/月 MM/年 YYYY )

**XI. 見證人簽署 Signed by Witness**

由本公司職員、持牌代表或聯繫人士或專業人士(其他證監會持牌人或註冊人、太平紳士、銀行經理、執業會計師、律師或公證人)填寫 (to be completed by staff, representative or affiliate of the Company or Professional (any other licensed or registered person with the SFC, a JP, branch manager of a bank, certified public accountant, lawyer or notary public))

本人謹此確認本人已經見證及驗證客戶之簽署及其有關身份證明文件之正本。I hereby certify that I have witnessed the signature and verified the original identity documents of the client.

見證人簽署 \_\_\_\_\_ 所屬專業/職銜 \_\_\_\_\_  
Signature of Witness Profession  
姓名 \_\_\_\_\_ 日期 \_\_\_\_\_  
Name of Witness Date

**XII. 持牌人士聲明 Declaration by Licensed Person**

本人確認已經以客戶選擇的語言 (英文或中文) 提供了載於證券客戶協議內的風險披露聲明, 並已邀請客戶閱讀該風險披露聲明, 提出問題及徵求獨立意見(如客戶有此意願)。I confirm that I have provided the Risk Disclosure Statements as set out in the Securities Client Agreement in a language (English or Chinese) of the Customer's choice. And I have also invited the client to read the Risk Disclosure Statements, ask questions and take independent advice if the client wishes.

持牌人簽署 \_\_\_\_\_ 中央編號 \_\_\_\_\_  
Signature of Licensed Person CE Number  
持牌人姓名 \_\_\_\_\_ 日期 \_\_\_\_\_  
Name of Licensed Person Date

**只供本行使用 For Official Use Only**

Please return the completed Account Opening Form with original signature of the Client(s) and the following documents in original or certificated copy

- Individual Tax Residency Self-Certification Form (CRS-I)  
 Certified ID Card/Passport Copy  
 Latest residential address proof issued within the last 3 months (electric bill, bank statement etc.)  
 Completed Third Party Trading Authorization Letter (if applicable)  
 Bank and Credit Reference (if applicable) (Bank statement, title deeds etc.)  
 Consent Letter from Employer (if applicable)

	Handled by	AML Checked by	Approved by	Data Inputted by	Data Checked by	Welcome Letter sent by	Password & 2FA sent by	Document Scanned by	Document Archived by
Initial									
Date									
Commission:		%		(Min. HK\$ )		Trading Limit/Credit Limit: HK\$		Interest Rate: %	
Remarks									

## SELF-CERTIFICATION FORM - INDIVIDUAL

### 自我證明表格 (個人)

To help protect the integrity of tax systems, governments around the world are introducing a new information gathering and reporting requirement for financial institutions. This is known as the Common Reporting Standard (the "CRS").

為維護稅制完整，全球各地政府現正推出適用於金融 / 財務機構的資料收集及匯報新規例，名為共同匯報標準 (簡稱「CRS」)

Under the CRS, we are required to determine where you are a "tax resident" (this will usually be where you are liable to pay corporate income taxes). If you are a tax resident outside the jurisdiction where your account is held, we may need to provide the national tax authority this information, along with information relating to your accounts. That may then be shared between different jurisdictions' tax authorities.

根據「CRS」規定，我們必須確定客戶的「稅務居住地」(這通常是您有義務繳納利得稅的國家 / 地區)。若您的稅務居住地有別於所持賬戶的司法管轄區，我們可能需要將此情況及您的有關賬戶資料告知國家稅務機關，該等機關隨後或會將相關資料傳送給不同國家 / 地區的稅務機關。

致：大中華證券有限公司

To: Greater China Securities Limited

香港銅鑼灣勿地臣街1號時代廣場2座30樓3001-11室

Suite 3001-11, Tower Two, Times Square, 1 Matheson Street, Causeway Bay, Hong Kong

#### Important Notes: 重要提示:

➤ 這是帳戶持有人向申報財務機構提供的自我證明表格，以作自動交換財務帳戶資料用途。申報財務機構可把收集所得的資料交給稅務局，稅務局會將資料交到另一稅務管轄區的稅務當局。

This is a Self-Certification Form provided by an account holder to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.

➤ 如帳戶持有人的稅務居民身份有所改變，應盡快將所有變更通知申報財務機構。

An account holder should report all changes in his/her tax residency status to the reporting financial institution.

➤ 除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫，在欄 / 部標有星號 ( \* ) 的項目為申報財務機構須向稅務局申報的資料。

All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk ( \* ) are required to be reported by the reporting financial institution to the Inland Revenue Department.

➤ 對於聯名帳戶或多人聯名帳戶，請每位個人帳戶持有人必須分別填寫一份表格。

For Joint or Multiple Account Holders, please complete a separate form for each individual account holder.

#### 第1部 居留司法管轄區及稅務編號或具有等同功能的識別編號 (以下簡稱「稅務編號」)\*

##### Part 1 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN")\*

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。請列出所有 ( 不限於 5 個 ) 居留司法管轄區。

Please 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. Please indicate all (not restricted to five) jurisdictions of residence.

如帳戶持有人是香港稅務居民，稅務編號是其身份證號碼。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.

如沒有提供稅務編號，請必須填寫以下合適的理由：

If a TIN is unavailable, please provide an appropriate reason listed below:

**理由 A** – 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

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

**理由 B** – 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。

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

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

**Reason C** – The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if selected this reason.

本人持有香港稅務居民資格 I hold Hong Kong tax resident

本人持有香港以外稅務居民資格 I hold tax residents other than Hong Kong

居留司法管轄區： Jurisdiction of Residence:	(1)	(2)	(3)
稅務編號： TIN:	(1)	(2)	(3)
沒有稅務編號理由： No TIN Reason:	<input type="checkbox"/> 理由 A Reason A <input type="checkbox"/> 理由 B Reason B <input type="checkbox"/> 理由 C Reason C	<input type="checkbox"/> 理由 A Reason A <input type="checkbox"/> 理由 B Reason B <input type="checkbox"/> 理由 C Reason C	<input type="checkbox"/> 理由 A Reason A <input type="checkbox"/> 理由 B Reason B <input type="checkbox"/> 理由 C Reason C
Explanation to selected Reason C: 選取理由 C 的原因：			



**Part 2 Declarations and Signature**  
**第2部 聲明及簽署**

本人知悉及同意，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。

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by 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 accounts(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 may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap. 112).

本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人 / 本人獲帳戶持有人授權簽署本表格 #。

I certify that I am the account holder / I am authorized to sign for the account holder # of all the account(s) to which this form relates.

本人承諾，如情況有所改變，以致影響本表格所述的個人稅務居民身分，或引致本表格所載的資料不正確，本人會通知 大中華證券有限公司，並會在該情況發生後 30 日內，向 大中華證券有限公司 提交一份已適當更新的自我證明表格。

I undertake to advise Greater China Securities Limited of any change in circumstances which affects the tax residency status of the Account Holder(s) of this form or causes the information contained herein to become incorrect, and to provide Greater China Securities Limited with a suitably updated Self-Certification Form within 30 days of such change in circumstances.

大中華證券有限公司有權聯繫任何人，包括客戶的銀行、經紀人或任何信用機構以驗證本表格上提供的資訊。

Greater China Securities Limited is authorized to contact anyone, including Customer's banks, brokers or any credit agency, for verifying the information provided on this Form.

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。

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

\_\_\_\_\_  
 Client Signature 客戶簽署

Client's Name 客戶名稱 : \_\_\_\_\_

Client's A/C No. 客戶號碼 : \_\_\_\_\_

Date 日期 : \_\_\_\_\_

Capacity 身分 : \_\_\_\_\_

如你不是第 1 部所述的個人身分，請說明你的身分。如你是以受權人身分簽署這份表格，須附上該授權書的核證副本。Please indicate the capacity if you are not the individual identified in Part 1. If signing under a power of attorney, please attach a certified copy of the power of attorney.

# please delete as appropriate  
 請刪去不適用者

**警告：根據《稅務條例》第 80 (2E) 條，任人在作出自證明時，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誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，即可被處罰第 3 級 (即港幣 10,000.00) 罰款。**

**WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statements that is misleading, false or incorrect in a material particular AND know, 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. HKD10,000.00).**

請小心填寫本自我證明表格。如閣下對於自動交換財務帳戶資料或本表格有任何疑問，請查詢香港稅務局網站 [http://www.ird.gov.hk/chi/tax/dta\\_aeoi.htm](http://www.ird.gov.hk/chi/tax/dta_aeoi.htm) 及諮詢閣下之稅務、法律及 / 或其他專業顧問。

Please complete this Self-Certification Form carefully. Please refer to the information on the website of Hong Kong Inland Revenue Department [http://www.ird.gov.hk/eng/tax/dta\\_aeoi.htm](http://www.ird.gov.hk/eng/tax/dta_aeoi.htm) and consult your tax, legal and/or other professional advisers if you have any questions on or in relation to automatic exchange of financial account information or this form.