



圓通環球證券有限公司
Yuan Tong Global Securities Limited

Unit 802-7, 8 Floor, Sun Hung Kai Centre, 30 Harbour Road, Wanchai, Hong Kong

本公司專用 For Office Use Only	
帳戶號碼 Account No. :	
經紀號碼 A.E. Code :	
開戶日期 Date Opened :	

A. 賬戶類別選擇 Selection of Account Type

賬戶類別選擇 Selection of Account Type 請在適當 <input type="checkbox"/> 內填上「✓」號 (please tick the relevant box(es))		
選擇其一 Choose one :	<input type="checkbox"/> 現金賬戶 Cash Account	<input type="checkbox"/> 保證金賬戶 Margin Account
選擇其一 Choose one :	<input type="checkbox"/> 個人賬戶 Individual Account	<input type="checkbox"/> 聯名賬戶 Joint Account
選擇網上交易帳戶 Internet Trading	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 否 No

B. 個人資料 Personal Information (個人/第一持有人資料 Individual / Primary Joint Account Holder Information)

客戶名稱 Client Name(s) : <input type="checkbox"/> 先生 Mr. <input type="checkbox"/> 太太 Mrs. <input type="checkbox"/> 女士 Mdm. <input type="checkbox"/> 小姐 Miss		
姓名 (英文) Name (In English)	姓名 (中文) Name (In Chinese)	
出生地點 Place of Birth	出生日期 Date of Birth 年 Year _____ 月 Month _____ 日 Day _____	
身份證號碼 / 護照號碼 I.D. Card No. / Passport No.	國籍 / 公民身份 Nationality / Citizenship	
教育水準 Education Level <input type="checkbox"/> 小學程度或以下 Primary Educated Level or below <input type="checkbox"/> 中學畢業 Secondary Graduate <input type="checkbox"/> 大學畢業 University Graduate <input type="checkbox"/> 碩士畢業或以上 Postgraduate or above		
住宅地址 Residential Address		
通信地址 Correspondence Address (如與以上位址有不同/Only if the address is different from above)		
住宅電話 Home Phone No. ()	流動電話 Mobile Phone No. ()	傳真機號碼 Fax No. ()
電郵地址 E-mail Address		
寄送日/月結單的選擇 Type of sending Daily / Monthly Statements (只可選一項 choose one only) <input type="checkbox"/> 電子服務發送到電郵地址 Electronic Services to E-mail Address <input type="checkbox"/> 郵遞服務寄送到 Mailing Services **郵遞日/月結單只可寄送到聯名賬戶第一持有人所指定的位址 Mailing Services only applied to the address specified by the First Account Holder for the Joint Account		

C. 業務 / 工作狀況 Business / Employment Status

職業現況 Employment Status (只可選一項 choose one only) <input type="checkbox"/> 受雇 Employed <input type="checkbox"/> 自雇 Self-employed <input type="checkbox"/> 學生 Student <input type="checkbox"/> 退休 Retired <input type="checkbox"/> 其他 Other (請述明 Please specify) _____		
公司名稱 Company Name		辦公室電話 Office Phone No.
業務性質 Nature of Business	職位 Job Title	受雇年期 Years of Service

辦公室地址 Office Address

D. 財政狀況 Financial Situation

資產 / 資金來源 Source of Fund

- 薪金及佣金 Salary & Commission 業務溢利 Business Profit 股息/利息 Dividend/Interest 租金 Rent
 退休金 Pension 儲蓄 Savings 其他 Others (請述明 Please specify) _____

估計年度收入 (港元) Estimated annual income (in HK\$)

- 少於 Less than 200,000 200,001 - 500,000 500,001 - 1,000,000
 1,000,001 - 2,000,000 2,000,001 - 5,000,000 多於 over 5,000,000

概約資產淨值 (港元) Approximate net value of assets (in HK\$)

- 少於 Less than 500,000 500,001 - 1,000,000 1,000,001 - 3,000,000
 3,000,001 - 8,000,000 8,000,001 - 40,000,000 多於 over 40,000,000

住屋業權 Ownership of Residence

- 自置物業 Self- Owned 按揭物業 Mortgaged 宿舍 Quarter 與家人同住 Living with family
 租賃 Rented 其他 Others _____

資產/資金來源地(國家) Origin of Source of Funds (countries)

- 內地 Mainland 香港 Hong Kong 澳門 Macau 臺灣 Taiwan 其他 Others _____

E. 投資經驗 Investment Experience (請在適當 內填上「✓」號 Please tick the relevant box(es))

曾買賣產品及投資經驗 Investment Products and Investment Experience

證券 Securities	<input type="checkbox"/> 少於一年 less 1 year	<input type="checkbox"/> 一至五年 1-5 years	<input type="checkbox"/> 六至十年 6-10 years	<input type="checkbox"/> 多於十年 over 10 years
牛熊證 CBBC	<input type="checkbox"/> 少於一年 less 1 year	<input type="checkbox"/> 一至五年 1-5 years	<input type="checkbox"/> 六至十年 6-10 years	<input type="checkbox"/> 多於十年 over 10 years
衍生權證(窩輪) Warrants	<input type="checkbox"/> 少於一年 less 1 year	<input type="checkbox"/> 一至五年 1-5 years	<input type="checkbox"/> 六至十年 6-10 years	<input type="checkbox"/> 多於十年 over 10 years
期貨 Futures	<input type="checkbox"/> 少於一年 less 1 year	<input type="checkbox"/> 一至五年 1-5 years	<input type="checkbox"/> 六至十年 6-10 years	<input type="checkbox"/> 多於十年 over 10 years
期權 Options	<input type="checkbox"/> 少於一年 less 1 year	<input type="checkbox"/> 一至五年 1-5 years	<input type="checkbox"/> 六至十年 6-10 years	<input type="checkbox"/> 多於十年 over 10 years

投資目標 Investment Objective

- 保本 Capital Preservation 資本增值 Capital Growth 對沖 Hedging
 股息回報 Dividend Yield 投機 Speculation 其他 Others _____

預期投資數目 / 預期帳戶活動 (港元) Expected Investment Size/ Anticipated Account Activity (in HK\$)

- 少於 Less than HKD200,000 200,001 - 1,000,000 1,000,001 - 5,000,000
 5,000,001 - 10,000,000 多於 over 10,000,000

1. 客戶是否在以往三年內執行過五宗或以上結構性或衍生產品交易? (不論是否在交易所買賣的交易)
Does client has executed five or more transactions in structured or derivative product(s) within the past three years? (Whether traded on an Exchange or not)
 是 Yes 否 No
2. 客戶曾否接受有關結構性或衍生產品的培訓或相關課程?
Does client ever attended any courses or seminars on structured or derivative product(s)?
 是 Yes 否 No
3. 客戶現時或過去有否從事與衍生產品有關的工作?
Does client have any working experience related to derivative product(s)?
 是 Yes 否 No
4. 本人確認已仔細閱讀及完全明白, 由貴公司提供, 並以本人所選擇之語言(英文或中文)的「就在交易所買賣的衍生產品所附帶的風險作解釋」。本人並願意承擔交易衍生產品所帶來的相關潛在風險。
I acknowledge that I have read and fully understood the document entitled "Explanation of Risks Associated with Exchange-Traded Derivative Products" provided by you in a language of my choice (English or Chinese). I am willing to accept the risks associated with trading derivative products.

同意並有意於圓通環球證券進行衍生產品買賣交易
Agreed and wish to trade derivative products

不同意並沒意於圓通環球證券進行衍生產品買賣交易
Disagreed and do not wish to trade derivative product

F. 銀行資料 Bank Information

銀行帳戶紀錄 BANK ACCOUNT RECORD

除客戶另行指示外，客戶的款項將會被轉入下列銀行帳戶

Unless otherwise instructed by Client, all funds payable to Client will be credited into the following bank account

銀行 Bank _____ 帳戶名稱 Account Name _____

分行 Branch _____ 帳戶號碼 Account Number _____

帳戶類別 Account Type(s) 儲蓄 Savings 往來 Current 其他 Others _____

若為香港以外銀行帳戶，請提供地區及 SWIFT 號碼 (如適用)

If bank account is outside Hong Kong, please state location and SWIFT code (if applicable)

G. 其他資料 Other Information

1. 客戶是否此帳戶的最終權益擁有人？

Are you the ultimate beneficial owner(s) in relation to the Account?

是 Yes

否 No

若不是，此帳戶的最終權益擁有人是：

If you are not the ultimate beneficial owner(s), then the Ultimate beneficial owner(s) is / are:

姓名 Name _____ 身份證號碼/護照 ID Number/ Passport _____

2. 客戶是否根據（證券及期貨條例）登記之持牌法團之雇員？

Are you an employee of a licensed corporation under the Securities and Futures Ordinance?

是 Yes

否 No

持牌法團名稱 Licensed Corporation Name _____ 中央編號 / CE No. _____

3. 客戶是否圓通環球證券有限公司員工？

Are you an employee of Yuan Tong Global Securities Limited ?

是 Yes 部門 Department _____

否 No

4. 客戶是否與圓通環球證券有限公司的職員 / 代理人有親戚關係？

Are you a relative of an employee / agent of Yuan Tong Global Securities Limited ?

是 Yes

否 No

職員 / 代理人的名稱

關係

Name of employee / agent _____ Relationship _____

5. 客戶的配偶是否圓通環球證券有限公司的客户？

Is your spouse a Client of Yuan Tong Global Securities Limited ?

是 Yes

否 No

帳戶名稱 Account Name _____ 帳戶號碼 Account No _____

6. 客戶及/或客戶之配偶是否控制圓通環球證券有限公司任何客戶的 35%或以上投票權？

Do you and/or your spouse control 35% or more of the voting rights of any Client of Yuan Tong Global Securities Limited ?

是 Yes

否 No

H. FATCA⁽¹⁾ 自我認證 Self-certification (如有需要，請諮詢你的稅務顧問 Consult your tax advisor if necessary)

1. 客戶是否是有納稅義務的美國居民?
Are you a U.S. tax resident⁽²⁾?
 是 Yes 否 N
2. 客戶是否是美國公民?
Are you a U.S. citizen⁽³⁾?
 是 Yes 否 No

(如果你持有多國公民身份，如果其中一個是美國，請勾選「是」If you hold multiple citizenships, select "Yes" if one of them is U.S.)
如果閣下在以上任何一個問題旁勾選了「是」，請另外提交 W-9 表格
If you check "Yes" on any of the questions above, please complete the Form W-9.

Remark 備註:

1. 外國帳戶稅收遵從法 FATCA means U.S. Foreign Account Tax Compliance Act.
2. 美國居民包括綠卡持有者(即美國永久居民卡)以及滿足實際居留標準的個人，即該帳戶控制人必須實際在美國居住至少：
- 於本年度滿 31 天；及
- 於過去三年內滿 183 天#(包括本年度及前兩個年度)
#滿足居住滿 183 天的計算是「居住在美國的總天數」計算：總和 = 本年度所有天數 + 去年度三分之一天數 + 前年度六分之一天數
U.S. tax residents include Green Card holder (i.e. holder of U.S. Permanent Resident card) as well as individual who meets the substantial presence test to meet the substantial presence test, the Controlling Person must have been physically present in the U.S. on at least:
- 31 days during the current year, and
- 183 days# during the 3 year period that includes the current year and the 2 years immediately before.
#To satisfy the 183 days requirement, count: All of the days you were present in the current year, and One-third of the days you were present in the first year before the current year, and One-sixth of the days you were present in the second year before the current year.
3. 美國公民包括出身於美國領土或美國的非憲轄管領土(即美屬薩摩亞、關島、北馬裡安納群島、波多黎各或美屬維爾京群島)
U.S. citizens include individuals born in the U.S. territory or possession of the United States (i.e., American Samoa, Guam, the Northern Mariana Islands, Puerto Rico, or the U.S. Virgin Islands).

I. 共同匯報標準自我證明 SELF-CERTIFICATION OF COMMON REPORTING STANDARD

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 Taxpayer Identification Number ("TIN") for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence.

如帳戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。如沒有提供稅務編號，必須填寫合適的理由：

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. If a TIN is unavailable, provide the appropriate reason A, B or C:

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 purposes does not issue TINs to its residents.

理由 B - 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 B - The account holder is unable to obtain a TIN. Please explain why the account holder is unable to obtain a TIN if you have selected this reason.

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。

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.

	居留司法管轄區 Jurisdiction of Residence	稅務編號 TIN	如沒有提供稅務編號，請填寫理由 A、B 或 C Please enter Reason A, B or C if no TIN is available	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 Please explain why you are unable to obtain a TIN if you have selected Reason B
1			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
2			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
3			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	

4			<input type="checkbox"/> A	<input type="checkbox"/> B	<input type="checkbox"/> C	
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J. 個人資料保障聲明 Declaration for Data Protection

圓通環球有限公司(「圓通環球」)擬使用閣下的個人資料作直接促銷，該等個人資料包括本人/吾等在本開戶資料表格中向圓通環球提供的及圓通環球不時獲得的姓名、聯絡詳情、財務背景、統計資料等的個人資料。為此須取得閣下的同意。

Yuan Tong Global Securities Limited (“YUAN TONG GLOBAL”) intends to use your personal data in direct marketing. Such personal data includes the name, contact details, financial background and statistical data which are provided to YUAN TONG GLOBAL under this Account Opening Information Form or obtained by YUAN TONG GLOBAL from time to time. YUAN TONG GLOBAL proposes to obtain your consent.

本人/吾等同意圓通環球向本人/吾等發放關於財務、保險、證券、投資的服務和產品的推廣資料。本人/吾等亦同意圓通環球及其集團公司分享本人/吾等的個人資料作促銷用途。本人/吾等亦明白和接受圓通環球及其集團公司可能不時聘請第三方代表圓通環球及其集團公司提供直接促銷服務，除非本人在下方表示反對：

I/We agree to receive promotional and direct marketing information from YUAN TONG GLOBAL in respect of financial, insurance, securities, investment services and products of YUAN TONG GLOBAL may offer. I/We also agree that YUAN TONG GLOBAL can share my/our personal data with its group companies for marketing and promotional purposes. I/We understand and accept that YUAN TONG GLOBAL and its group companies may, from time to time, engage third parties to provide direct marketing services unless I indicate an objection herein below:

本人/吾等反對圓通環球使用或轉移，不論是否為得益，本人/吾等所有個人資料的種類，給予所有資料承轉人的類別以用作所有促銷產品/服務/設施的類別的直接促銷用途。

I/We object to the YUAN TONG GLOBAL use or transfer, whether for gain or not, of all kinds of my/our personal data to all classes of data transferees, for direct marketing of all classes of marketing subject.

如閣下將來不希望圓通環球使用或提供閣下的資料給他人作直接促銷，請致電 (852) 3151 9970 通知我們。

In the future, if you do not wish YUAN TONG GLOBAL to use or provide your data to other persons for the use in direct marketing, you may exercise your opt-out right by notifying YUAN TONG GLOBAL at (852) 3151 9970.

K. 客戶聲明 Declarations By Client

本人/吾等謹此承諾並確認：

I/We hereby acknowledge and confirm that:

1. 本開戶資料表格的資料均屬真實、準確及完整，除非圓通環球證券有限公司(「圓通環球」)收到我們的書面另行通知，圓通環球將有權依據這些資料及陳述，作任何用途或目的。客戶授權圓通環球可在任何時間聯絡任何人，包括客戶的銀行、經紀或任何信貸機構，藉以確定及查證本開戶資料表格內的資料；

The information contained in this Account Opening Information Form is true, accurate and complete. Yuan Tong Global Securities Limited (“YUAN TONG GLOBAL”) is entitled to rely fully on such information and representations for all purposes, unless YUAN TONG GLOBAL receives written notice from us stating otherwise. YUAN TONG GLOBAL is authorized at any time to contact anyone, including the Client’s banks, brokers or any credit agency, for the purpose of verifying the information provided on this Account Opening Information Form;

2. 本人/吾等已收到、閱讀及明白證券交易帳戶協議內之條款(包括其附表、附錄及附件(如有)) (「協議」)，而本人/吾等接納並同意受該等條款約束；

I/we have received, read and understood the Terms and Conditions contained therein the Agreement for Securities Trading Account (and the schedules, appendices and annexes thereto, if any) (the “Agreement”), and I/we accept and agree to be bound by them;

3. 本人/吾等已獲提供以本人/吾等選擇語言(英文或中文)所撰寫的風險披露聲明；

the risk disclosure statements were provided to me/us in a language of my/our choice (English or Chinese);

4. 本人/吾等已獲邀請參閱風險披露聲明，並提出問題及諮詢獨立意見(如有此意願)；

I/we was/were invited to read the risk disclosure statements, and to ask questions and take independent advice if I/we so wished;

5. 本人/吾等謹此聲明本人/吾等並非《海外帳戶稅收合規法案》下所定義的美國人士，而且此帳戶下之相關的收入依《海外帳戶稅收合規法案》毋須扣繳稅款。本人/吾等的美國居民/公民自我證明的狀況資料如有變更，本人/吾等須於三十日內主動通知圓通環球，否則本人/吾等同意該資料會被當作續期。本人/吾等亦同意悉數對圓通環球因本人/吾等違規或遺漏而蒙受的任何索償、損害、損失、費用及開支作出彌償並保證其利益不受損害。

I/we hereby declare that I/we am/are not a United States resident for Foreign Account Tax Compliance Act (FATCA) purposes, and the income to which the said Account(s) related is not subjected to tax under FATCA. I/We undertake to notify YUAN TONG GLOBAL within 30 days for any change of circumstances stated in the SELF-CERTIFICATION OF U.S. RESIDENT / CITIZEN, without which we agree that the information stated in the SELF-CERTIFICATION OF U.S. RESIDENT / CITIZEN will be deemed renewed. We shall fully indemnify and hold harmless YUAN TONG GLOBAL from and against all claims, damages, losses, costs and expenses whatsoever incurred as a result of such non-compliance or omission;

6. 本人/吾等承諾若本人/吾等的共同匯報標準自我證明的狀況資料如有變更，會於三十日內主動通知圓通環球。本人/吾等亦同意悉數對圓通環球因本人/吾等違規或遺漏而蒙受的任何索償、損害、損失、費用及開支作出彌償並保證其利益不受

損害。

I/we agree to inform YUAN TONG GLOBAL within 30 days upon any changes in the information of the Self-Certification of Common Reporting Standard status supplied to YUAN TONG GLOBAL. We shall fully indemnify and hold harmless YUAN TONG GLOBAL from and against all claims, damages, losses, costs and expenses whatsoever incurred as a result of such non-compliance or omission;

7. 圓通環球須本人/吾等提供自我證明或其他檔以揭示本人/吾等納稅所在地，以作自動交換財務帳戶資料用途。如本人/吾等因任何情況而影響本人/吾等的納稅所在地，或令圓通環球有理由相信本人/吾等之自我證明有不正確或不可靠時，圓通環球保留權利可要求本人/吾等遞交新的自我證明及/或額外檔。作為圓通環球證券的帳戶持有人，本人/吾等承諾及同意向圓通環球證券提供進一步的資料。圓通環球為遵守香港《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文及/或指引，可能導致收集，儲存，使用及處理本人/吾等的資料。本人/吾等的資料亦可向香港特別行政區政府稅務局披露，從而把資料轉交到本人/吾等的居留司法管轄區的稅務當局。如果本人/吾等未能提供任何所要求的資料，圓通環球保留採取任何補救措施的權利，包括(但不限於)限制及終止帳戶的運作；

YUAN TONG GLOBAL will request a self-certification and/or other relevant documentation in order to establish our tax residence for automatic exchange of financial account information purposes. If there is any change in circumstances that would affect my/our tax residence or there is reason for YUAN TONG GLOBAL to know that the self-certification is incorrect or unreliable, YUAN TONG GLOBAL reserves the right to request and I/we have the obligation to provide a new self-certification and/or additional documentation. As account holder(s) of YUAN TONG GLOBAL, I/we shall be deemed to acknowledge that further information may need to be provided to YUAN TONG GLOBAL. YUAN TONG GLOBAL's compliance with the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112) and/or guidance may result in gathering, storing, using, and processing my/our information. My/Our information may also be disclosed to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region, which is further exchanged with tax authorities of another jurisdiction or jurisdictions in which I/we may be resident for tax purposes. Where I/we fail to provide any requested information (regardless of the consequences), YUAN TONG GLOBAL reserves the right to take any action and/or pursue all remedies at its disposal including, without limitation to restrict or terminate the operation of the account;

8. 本人/吾等明白根據《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。

I/We understand that it is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).

9. 本人/吾等已參閱圓通環球給予客戶有關《個人資料 (私隱) 條例》的通知 (載於證券交易帳戶協議內)，並明白且同意其條款；

I/we have read YUAN TONG GLOBAL's Notice to Customers on the Personal Data (Privacy) Ordinance (as contained in the Agreement for Securities Trading Account), understand and agree to such terms;

10. 倘若中文本與英文本在解釋或意義方面有任何歧義，本人/吾等同意應以英文本為準。

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

個人/聯名戶口第一持有人簽署 (並作為簽署式樣) Individual /Primary Joint A/C Holder's Signature (also as Specimen Signature)	聯名戶口第二持有人簽署 (並作為簽署式樣) Secondary Joint A/C Holder's Signature (also as Specimen Signature)
姓名 Name : 日期 Date : (日 DD/月 MM/年 YYYY)	姓名 Name : 日期 Date : (日 DD/月 MM/年 YYYY)

L. 常設授權 - 客戶證券（保證金證券帳戶客戶必須簽署此授權書）(Margin securities account only) (只供保證金帳戶使用)

To: 圓通環球證券有限公司
Yuan Tong Global Securities Limited
香港灣仔港灣道 30 號新鴻基中心 8 樓 802 室
Unit 802 8/F Sun Hung Kai Center, 30 Harbour Road, Wanchai, Hong Kong

敬啟者：
Dear Sir / Madam

有關：常設授權書 Re : Standing Authority

本常設授權函件涵蓋一切由 貴公司代表本人/吾等購入或持有之證券。
This letter of standing authority covers all securities purchased or held by you on my/our behalf.

本函件授權 貴公司：

- i. 運用任何本人/吾等的證券或證券抵押品於證券借貸協議；
- ii. 將任何本人/吾等的證券抵押品存放於認可財務機構，作為提供予 貴公司的財務通融的抵押品；及/或
- iii. 將任何本人/吾等的證券抵押品存放於認可結算所或另一持牌或註冊進行證券交易的仲介人，作為解除和清償 貴公司在
交收上的責任及債務的抵押品，

且根據《證券及期貨(客戶證券)規則》第 7 條的規定，無須通知本人/吾等。

This letter authorizes you to:

- i. apply any of my/our securities or securities collateral to securities borrowing and lending agreement(s);
- ii. deposit any of my/our securities collateral with authorized financial institution(s) as collateral for financial accommodation provided to you; and/or
- iii. deposit any of my/our securities collateral with a recognized clearing house or any other intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of your settlement obligations and liabilities, without notice to me/us, pursuant to Section 7 of the Securities and Futures (Client Securities) Rules.

本人/吾等明白認可結算所或其它持牌或註冊進行證券交易的仲介人，在貴公司在交收上的責任及債務的限度之內而對本人/吾等的證券抵押品設定第一固定押記。

I/We understand that the recognized clearing house or the intermediary licensed or registered for dealing in securities will have a first fixed charge over my/our securities collateral to the extent of your settlement obligations and liabilities.

本常設授權並不涵蓋就貴公司借入、貸出或存放本人/吾等任何證券而須支付或收取的任何代價。任何代價均須由本人/吾等與貴公司另行簽約訂明。

This standing authority does not cover any consideration I/we must pay or be paid for your borrowing, lending, or depositing any of my/our securities. Any consideration must be set in a separate agreement between us.

貴公司須向本人/吾等就交還有關根據本常設授權而作出借入、貸出或存放之證券負責。

You are accountable to me/us for the return of any of my/our securities borrowed, lent, or deposited under this authority.

本人/吾等明白本人/吾等的證券可能受制於第三者之權利，貴公司必須於抵償該等權利後，方將本人/吾等的證券交還本人/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.

本常設授權以本函件日期起計十二個月內有效，並可於下列情況予以續期，每次續期可有效十二個月，本人/吾等以書面同意續期；或貴公司於授權有效期屆滿前不少於十四日向本人/吾等發出書面通知，而本人/吾等於授權有效期屆滿前未有提出反對續期。本人/吾等有權隨時以三十天書面通知貴公司撤銷此常設授權書。

This authority is valid for a period of up to 12 months from the date hereof and may be renewed or deemed to be renewed for subsequent periods of up to 12 months each either with my/our written consent or if I/we am/are given a written notice by you at least 14 days prior to the expiry of such authority and do not object to the renewal of such authority before its expiry. This authority may be revoked by me/us at any time on giving at least 30 days prior written notice to you.

已全部向本人/吾等解釋清楚本函件，本人/吾等明白及接受本函件的內容。

This letter has been fully explained to me/us, and I/we understand and accept the contents of this letter.

個人/聯名戶口第一持有人簽署 Individual /Primary Joint A/C Holder's Signature	聯名戶口第二持有人簽署 Secondary Joint A/C Holder's Signature
姓名 Name : 日期 Date : (日 DD/月 MM/年 YYYY)	姓名 Name : 日期 Date : (日 DD/月 MM/年 YYYY)

M. 核證 Certification

(如本表格並非在圓通環球證券職員面前簽署，須填寫此欄)
(must be completed where this Form is not signed before a staff member of Yuan Tong Global Securities)
由香港證監會發牌或註冊之人士或其聯繫人士、圓通環球證券的聯繫人士，專業人士 (例如銀行分行經理、執業會計師、律師或公證人) 核證。
To be certified by a person licensed or registered with Hong Kong SFC or his affiliate, an affiliate of Yuan Tong Global Securities, professional person (such as a branch manager of a bank, certified public accountant, lawyer or notary public).
本人(姓名見下)核證已經與本表格簽署人會晤及核對其身份證或護照正本，他(們)並在本人面前簽署本表格。
I, named below, certify that I have met and identified each of the person(s) who executed this Form before me, and reviewed the original of his/their ID card(s) or passport(s).

簽署 Signature
姓名 Name:
職業 Profession:
日期 Date:
(日 DD/月 MM/年 YYYY)

N. 圓通環球證券有限公司職員聲明 Declaration By Yuan Tong Global Securities Ltd Staff

本人(姓名見下)，為圓通環球證券之職員，謹此聲明，本人：
i. 已向客戶提供以客戶選擇語言(英文或中文)所撰寫的風險披露聲明 (載於協議內)；及
ii. 已邀請客戶參閱風險披露聲明，並按客戶的意願提出問題及諮詢獨立意見。
I, named below, a staff member of Yuan Tong Global Securities, hereby declare that I have:
i. provided to the above-named Client the risk disclosure statements (as contained in the Agreement) in a language of the Client's choice (English or Chinese); and
ii. invited the Client to read the risk disclosure statement, ask questions and take independent advice if the Client wishes.
以上客戶/聯名客戶簽署乃本人面前簽立*
The above Client/ Joint Client Signature(s) was/were made in my presence*

職員簽署 Signature of Staff
職員姓名 Staff Name:
職員 CE 編號 Staff CE Number:
日期 Date:
(日 DD/月 MM/年 YYYY)
*如不適用，請刪除。 Delete if not applicable

O. 開戶審核批准 Account Opening Approved by

同意及接納 Approved and Accepted by

負責人員簽署 Signature of Responsible Officer
負責人員姓名 Name of Responsible Officer

日期 Date

For Internal Use Only			
客戶風險級別對照表 Client Risk Category Checklist			
風險水準 Risk Level	低 LOW	一般 NORMAL	高 HIGH
	<input type="checkbox"/> 金融機構 ("FI") * Financial institutions ("FI")*	<input type="checkbox"/> 個人客戶 Individual clients	<input type="checkbox"/> 完全沒有為「身分識別的目的」而進行面對面會面的客戶 Client has not been present for face-to-face interview/meeting for "identification purpose"
	<input type="checkbox"/> 上市公司 Listed companies	<input type="checkbox"/> 私人有限公司 * Limited private companies (沒有董事、股東或實益擁有人為政治人物) (with no director(s), shareholder(s) or beneficial owner(s) as PEPs)	<input type="checkbox"/> 政治人物 ("PEPs") 及其關係密切的人 <input type="checkbox"/> Politically Exposed Persons ("PEPs") and their close associates
	<input type="checkbox"/> 政府及公共機構 Government and public body	<input type="checkbox"/> 合夥 * Partnership 沒有合夥人為政治人物 (with no partner(s) as PEPs)	<input type="checkbox"/> 機構內有政治人物為董事、股東或實益擁有人，而他們的資產和資金來源並不清晰；或要求成立一個複雜的架構 <input type="checkbox"/> Companies with director(s) or shareholder(s) or beneficial owner(s) as PEPs, whose source of wealth and funds is unclear or who requires the setting up of complex structure
	<input type="checkbox"/> 律師的當事人帳戶 Solicitor's Client accounts	<input type="checkbox"/> 獨資企業、會社、會所、社團、合作社和供積金社團 Sole proprietorships, associations, clubs, societies, co-operative and provident societies (沒有實益擁有人為政治人物) (with no PEP as the beneficial owner) <input type="checkbox"/> 信託帳戶 * Trust accounts	<input type="checkbox"/> 現金密集型業務包括賭場、桑拿、軍事部門、兌換商和貨幣匯兌業* <input type="checkbox"/> Cash intensive business such as casinos, sauna, military sector, money changer and remittance agencies* <input type="checkbox"/> 經本公司的國家風險評估後，機構所成立的國家被界定為沒有足夠「FATF 特別組織」管制法規的國家 <input type="checkbox"/> Companies whose place of incorporation is in countries with insufficient FATF regulations after internal country risk assessment
合適的客戶盡職審查 Possible Customer Due Diligence	簡化客戶盡職審查 Simplified Due Diligence ("SDD")	客戶盡職審查 Customer Due Diligence ("CDD")	嚴格客戶盡職審查 Enhanced Due Diligence ("EDD")
*被財務行動特別組織 ("特別組織") (www.fatf-gafi.org) 或對等司法管轄區管制，並經本公司界定為非高風險 *Regulated by Financial Action Task Force ("FATF") (www.fatf-gafi.org) or FATF equivalent jurisdiction which are internally assessed to be non-high risk.			

分類結果： Classification Result:	<input type="checkbox"/> 低 LOW	<input type="checkbox"/> 中 MEDIUM	<input type="checkbox"/> 高 HIGH
備註 Remark			

For Internal Use Only		
客戶對衍生產品的認識 Client's Knowledge of Derivatives		
<input type="checkbox"/> 客戶對衍生產品有一定程度的認識 Client has sufficient knowledge towards derivatives	<input type="checkbox"/> 客戶對衍生產品沒有認識 Client does not have sufficient knowledge towards derivatives	
審核信用額 Credit line & 交易額 Trading line		
信用額 Credit line:	交易額 Trading line:	
佣金及利息收費 Commission and Interest Rate Charges		
網上交易 Online Trading _____	最低收費 Min. Charge _____	人工交易 Manual Trading _____
		最低收費 Min. Charge _____
融資利率 Margin Interest Rate:	超額融資利率 Over Margin Interest Rate:	
備註 Remark		
客戶資料檢驗 Client Information Verified By		
客戶資料準備 Client Information Prepared By		
經紀人姓名 A.E. Staff Name	職員簽署 Staff Signature	日期 Date
客戶資料核對 Client Information Checked By		
風控職員姓名 R.M. Staff Name	職員簽署 Staff Signature	日期 Date
客戶資料輸入 Client Information inputted By		
結算職員姓名 Settlement Staff Name	職員簽署 Staff Signature	日期 Date
客戶資料輸入核對 Client Information input Checked By		
結算職員姓名 Settlement Staff Name	職員簽署 Staff Signature	日期 Date

備註 Remark

P. 個人資料 Personal Information (聯名戶口第二持有人資料 Secondary Joint Account Holder Information)

*客戶名稱 Client Name(s) : <input type="checkbox"/> 先生 Mr. <input type="checkbox"/> 太太 Mrs. <input type="checkbox"/> 女士 Mdm. <input type="checkbox"/> 小姐 Miss		
姓名 (英文) Name (In English)	姓名 (中文) Name (In Chinese)	
出生地點 Place of Birth	出生日期 Date of Birth 年 Year _____ 月 Month _____ 日 Day _____	
身份證號碼 / 護照號碼 I.D. Card No. / Passport No.	國籍 / 公民身份 Nationality / Citizenship	
教育水準 Education Level <input type="checkbox"/> 小學程度或以下 Primary Educated Level or below <input type="checkbox"/> 中學畢業 Secondary Graduate <input type="checkbox"/> 大學畢業 University Graduate <input type="checkbox"/> 碩士畢業或以上 Postgraduate or above		
住宅地址 Residential Address		
通信地址 Correspondence Address (如與以上位址有不同/Only if the address is different from above)		
住宅電話 Home Phone No. ()	流動電話 Mobile Phone No. ()	傳真機號碼 Fax No. ()
電郵地址 E-mail Address		
寄送日/月結單的選擇 Type of sending Daily / Monthly Statements (只可選一項 choose one only) <input type="checkbox"/> 電子服務發送到電郵地址 Electronic Services to E-mail Address <input type="checkbox"/> 郵遞服務寄送到 Mailing Services (每月費用 50 元港幣) **郵遞日/月結單只可寄送到聯名賬戶第一持有人所指定的位址 Mailing Services only applied to the address specified by the First Account Holder for the Joint Account		

Q. 業務 / 工作狀況 Business / Employment Status

職業現況 Employment Status (只可選一項 choose one only) <input type="checkbox"/> 受雇 Employed <input type="checkbox"/> 自雇 Self-employed <input type="checkbox"/> 學生 Student <input type="checkbox"/> 退休 Retired <input type="checkbox"/> 其他 Other (請述明 Please specify) _____		
公司名稱 Company Name	辦公室電話 Office Phone No.	
業務性質 Nature of Business	職位 Job Title	受雇年期 Years of Service

辦公室地址 Office Address

R. 財政狀況 Financial Situation

資產 / 資金來源 Source of Fund			
<input type="checkbox"/> 薪金及佣金 Salary & Commission	<input type="checkbox"/> 業務溢利 Business Profit	<input type="checkbox"/> 股息/利息 Dividend/Interest	<input type="checkbox"/> 租金 Rent
<input type="checkbox"/> 退休金 Pension	<input type="checkbox"/> 儲蓄 Savings	<input type="checkbox"/> 其他 Others (請述明 Please specify) _____	
估計年度收入 (港元) Estimated annual income (in HK\$)			
<input type="checkbox"/> 少於 Less than 200,000	<input type="checkbox"/> 200,001 - 500,000	<input type="checkbox"/> 500,001 - 1,000,000	
<input type="checkbox"/> 1,000,001 - 2,000,000	<input type="checkbox"/> 2,000,001 - 5,000,000	<input type="checkbox"/> 多於 over 5,000,000	
概約資產淨值 (港元) Approximate net value of assets (in HK\$)			
<input type="checkbox"/> 少於 Less than 500,000	<input type="checkbox"/> 500,001 - 1,000,000	<input type="checkbox"/> 1,000,001 - 3,000,000	
<input type="checkbox"/> 3,000,001 - 8,000,000	<input type="checkbox"/> 8,000,001 - 40,000,000	<input type="checkbox"/> 多於 over 40,000,000	
住屋業權 Ownership of Residence			
<input type="checkbox"/> 自置物業 Self- Owned	<input type="checkbox"/> 按揭物業 Mortgaged	<input type="checkbox"/> 宿舍 Quarter	<input type="checkbox"/> 與家人同住 Living with family
<input type="checkbox"/> 租賃 Rented	<input type="checkbox"/> 其他 Others _____		
資產/資金來源地(國家) Origin of Source of Funds (countries)			
<input type="checkbox"/> 內地 Mainland	<input type="checkbox"/> 香港 Hong Kong	<input type="checkbox"/> 澳門 Macau	<input type="checkbox"/> 臺灣 Taiwan
<input type="checkbox"/> 其他 Others _____			

S. 投資經驗 Investment Experience (請在適當 內填上「✓」號 Please tick the relevant box(es))

曾買賣產品及投資經驗 Investment Products and Investment Experience				
證券 Securities	<input type="checkbox"/> 少於一年 less 1 year	<input type="checkbox"/> 一至五年 1-5 years	<input type="checkbox"/> 六至十年 6-10 years	<input type="checkbox"/> 多於十年 over 10 years
牛熊證 CBBC	<input type="checkbox"/> 少於一年 less 1 year	<input type="checkbox"/> 一至五年 1-5 years	<input type="checkbox"/> 六至十年 6-10 years	<input type="checkbox"/> 多於十年 over 10 years
衍生權證(窩輪) Warrants	<input type="checkbox"/> 少於一年 less 1 year	<input type="checkbox"/> 一至五年 1-5 years	<input type="checkbox"/> 六至十年 6-10 years	<input type="checkbox"/> 多於十年 over 10 years
期貨 Futures	<input type="checkbox"/> 少於一年 less 1 year	<input type="checkbox"/> 一至五年 1-5 years	<input type="checkbox"/> 六至十年 6-10 years	<input type="checkbox"/> 多於十年 over 10 years
期權 Options	<input type="checkbox"/> 少於一年 less 1 year	<input type="checkbox"/> 一至五年 1-5 years	<input type="checkbox"/> 六至十年 6-10 years	<input type="checkbox"/> 多於十年 over 10 years
投資目標 Investment Objective				
<input type="checkbox"/> 保本 Capital Preservation				
<input type="checkbox"/> 資本增值 Capital Growth				
<input type="checkbox"/> 對沖 Hedging				
<input type="checkbox"/> 股息回報 Dividend Yield				
<input type="checkbox"/> 投機 Speculation				
<input type="checkbox"/> 其他 Others _____				
預期投資數目 / 預期帳戶活動 (港元) Expected Investment Size/ Anticipated Account Activity (in HK\$)				
<input type="checkbox"/> 少於 Less than HKD200,000	<input type="checkbox"/> 200,001 - 1,000,000		<input type="checkbox"/> HKD1,000,001 - 5,000,000	
<input type="checkbox"/> 5,000,001 - 10,000,000	<input type="checkbox"/> 多於 over 10,000,000			

1. 客戶曾否在以往三年內執行過五宗或以上結構性或衍生產品交易? (不論是否在交易所買賣的交易)
Does client has executed five or more transactions in structured or derivative product(s) within the past three years? (Whether traded on an Exchange or not)
 是 Yes 否 No
2. 客戶曾否接受有關結構性或衍生產品的培訓或相關課程?
Does client ever attended any courses or seminars on structured or derivative product(s)?
 是 Yes 否 No
3. 客戶現時或過去有否從事與衍生產品有關的工作?
Does client have any working experience related to derivative product(s)?
 是 Yes 否 No
4. 本人確認已仔細閱讀及完全明白，由貴公司提供，並以本人所選擇之語言(英文或中文)的「就在交易所買賣的衍生產品所附帶的風險作解釋」。本人並願意承擔交易衍生產品所帶來的相關潛在風險。
I acknowledge that I have read and fully understood the document entitled "Explanation of Risks Associated with Exchange-Traded Derivative Products" provided by you in a language of my choice (English or Chinese). I am willing to accept the risks associated with trading derivative products.
 同意並有意於圓通環球進行衍生產品買賣交易 不同意並沒意於圓通環球進行衍生產品買賣交易
Agreed and wish to trade derivative products Disagreed and do not wish to trade derivative product

T. 其他資料 Other Information

1. 客戶是否此帳戶的最終權益擁有人?
Are you the ultimate beneficial owner(s) in relation to the Account?
 是 Yes 否 No
若不是,此帳戶的最終權益擁有人是:
If you are not the ultimate beneficial owner(s), then the Ultimate beneficial owner(s) is / are:
姓名 Name _____ 身份證號碼/護照 ID Number/ Passport _____
2. 客戶是否根據(證券及期貨條例)登記之持牌法團之雇員?
Are you an employee of a licensed corporation under the Securities and Futures Ordinance?
 是 Yes 否 No
持牌法團名稱 Licensed Corporation Name _____ 中央編號 / CE No. _____
3. 客戶是否圓通環球證券有限公司員工?
Are you an employee of Yuan Tong Global Securities Limited?
 是 Yes 部門 Department _____ 否 No
4. 客戶是否與圓通環球證券有限公司的職員 / 代理人有親戚關係?
Are you a relative of an employee / agent of Yuan Tong Global Securities Limited?
 是 Yes 否 No
職員 / 代理人的名稱 關係
Name of employee / agent _____ Relationship _____
5. 客戶的配偶是否圓通環球證券有限公司的客户?
Is your spouse a Client of Yuan Tong Global Securities Limited?
 是 Yes 否 No
帳戶名稱 Account Name _____ 帳戶號碼 Account No _____
6. 客戶及/或客戶之配偶是否控制圓通環球證券有限公司任何客戶的 35%或以上投票權?
Do you and/or your spouse control 35% or more of the voting rights of any Client of Yuan Tong Global Securities Limited?
 是 Yes 否 No

U. FATCA(1) 自我認證 Self-certification (如有需要，請諮詢你的稅務顧問 Consult your tax advisor if necessary)

3. 客戶是否是有納稅義務的美國居民?

Are you a U.S. tax resident (2)?

是 Yes

否 No

4. 客戶是否是美國公民 ?

Are you a U.S. citizen (3)?

是 Yes

否 No

(如果你持有多國公民身份，如果其中一個是美國，請勾選「是」 If you hold multiple citizenships, select "Yes" if one of them is U.S.)

如果閣下在以上任何一個問題旁勾選了「是」，請另外提交 W-9 表格

If you check "Yes" on any of the questions above, please complete the Form W-9.

Remark 備註:

4. 外國帳戶稅收遵從法 FATCA means U.S. Foreign Account Tax Compliance Act.

5. 美國居民包括綠卡持有者(即美國永久居民卡)以及滿足實際居留標準的個人，即該帳戶控制人必須實際在美國居住至少：

- 於本年度滿 31 天; 及

- 於過去三年內滿 183 天#(包括本年度及前兩個年度)

#滿足居住滿 183 天的計算是「居住在美國的總天數」計算：總和 = 本年度所有天數 + 去年度三分之一天數 + 前年度六分之一天數

U.S. tax residents include Green Card holder (i.e. holder of U.S. Permanent Resident card) as well as individual who meets the substantial presence test to meet the substantial presence test, the Controlling

Person must have been physically present in the U.S. on at least:

- 31 days during the current year, and

- 183 days# during the 3 year period that includes the current year and the 2 years immediately before.

#To satisfy the 183 days requirement, count: All of the days you were present in the current year, and One-third of the days you were present in the first year before the current year, and One-sixth of the

days you were present in the second year before the current year.

6. 美國公民包括出身於美國領土或美國的非憲轄管制領土（即美屬薩摩亞、關島、北馬裡安納群島、波多黎各或美屬維爾京群島）

U.S. citizens include individuals born in the U.S. territory or possession of the United States (i.e., American Samoa, Guam, the Northern Mariana Islands, Puerto Rico, or the U.S. Virgin Islands).

V. 共同匯報標準自我證明 SELF-CERTIFICATION OF COMMON REPORTING STANDARD

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 Taxpayer Identification Number ("TIN") for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence.

如帳戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。如沒有提供稅務編號，必須填寫合適的理由：

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. If a TIN is unavailable, provide the appropriate reason A, B or C:

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 purposes does not issue TINs to its residents.

理由 B - 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 B - The account holder is unable to obtain a TIN. Please explain why the account holder is unable to obtain a TIN if you have selected this reason.

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。

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.

	居留司法管轄區 Jurisdiction of Residence	稅務編號 TIN	如沒有提供稅務編號，請填 寫理由 A、B 或 C Please enter Reason A, B or C if no TIN is available	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 Please explain why you are unable to obtain a TIN if you have selected Reason B
1			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
2			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
3			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
4			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	