



凱匯資本證券有限公司

CORE CAPITAL SECURITIES LIMITED

CE NO. 中央編碼 : BHF 994

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ACCOUNT APPLICATION FORM

賬戶申請表

INDIVIDUAL / JOINT / CORPORATE ACCOUNT

個人 / 聯名 / 機構賬戶

ACCOUNT GENERAL INFORMATION 基本賬戶信息

Account No. 賬戶號碼	
Account Type 賬戶類別	Securities Trading (Cash) 現金證券交易
Customer Type 客戶類別	<input type="checkbox"/> Individual 個人賬戶 <input type="checkbox"/> Joint 聯名賬戶 <input type="checkbox"/> Corporate 機構賬戶 (For Individual and Joint Account, please complete Part I, III 個人/聯名賬戶請填寫以下分段 I, III) (For Corporate Account, Please complete Part II, III 機構賬戶請填寫以下分段 II, III)
Internet Trading Services 網上交易服務	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否

I. FOR INDIVIDUAL / JOINT ACCOUNT 個人/聯名賬戶

1. PRIMARY ACCOUNT HOLDER INFORMATION 主要賬戶持有人資料

English / Pinyin Name 英文/拼音姓名	Chinese Name 中文姓名
Are you a U.S. citizen or resident? (Note 1) 客戶是否美國公民或居民? (註 1)	Nationality 國籍
HKID / Passport No. 香港身份證/護照號碼	Issuing Country 簽發國家
Date of Birth 出生日期 (DD日/MM月/YYYY年)	Gender 性別
Home Address (PO Box not allowed) 住宅地址 (不接受郵政信箱)	(Postal Code 郵編:)
Home Tel No. 住宅電話號碼 () -	Mobile Phone No. 手提電話號碼 () -
E-mail Address (For internet trading and / or electronic statement 適用於網上交易及/或電子賬單服務) 電子郵件地址	Fax No. 傳真號碼 () -
Employment Information 受僱資料	<input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Other 其他 _____
Name of Employer 僱主名稱	Nature of Business 業務性質
Position 職位	Office Tel No. 辦事處電話號碼 () -
Office Address 公司地址	Office Fax No. 辦事處傳真號碼 () -
(Postal Code 郵編:)	

2. SECONDARY JOINT ACCOUNT HOLDER INFORMATION 第二賬戶持有人資料

Relationship with Primary Account Holder 與主要賬戶持有人關係	
<input type="checkbox"/> Relatives 親屬 (Please Specify 請註明) _____ <input type="checkbox"/> Friends 朋友 <input type="checkbox"/> Other 其他 _____	
English / Pinyin Name 英文/拼音姓名	Chinese Name 中文姓名
Are you a U.S. citizen or resident? (Note 1) 客戶是否美國公民或居民? (註 1)	Nationality 國籍
HKID / Passport No. 香港身份證/護照號碼	Issuing Country 簽發國家
Date of Birth 出生日期 (DD日/MM月/YYYY年)	Gender 性別
Home Address (PO Box not allowed) 住宅地址 (不接受郵政信箱)	(Postal Code 郵編:)
Home Tel No. 住宅電話號碼 () -	Mobile Phone No. 手提電話號碼 () -
E-mail Address (For internet trading and / or electronic statement 適用於網上交易及/或電子賬單服務) 電子郵件地址	Fax No. 傳真號碼 () -
Employment Information 受僱資料	<input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Other 其他 _____
Name of Employer 僱主名稱	Nature of Business 業務性質
Position 職位	Office Tel No. 辦事處電話號碼
Office Address 公司地址	Office Fax No. 辦事處傳真號碼
(Postal Code 郵編:)	

3. FINANCIAL INFORMATION 財務資料	
Primary Account Holder 主要賬戶持有人	Secondary Account Holder 第二賬戶持有人
(i) Estimated Annual Income 估計每年收入 (HK\$港幣) <input type="checkbox"/> Under / 以下 \$200,000 <input type="checkbox"/> \$200,001 - \$500,000 <input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> \$1,000,001 - \$5,000,000 <input type="checkbox"/> Over / 以上 \$5,000,000	(i) Estimated Annual Income 估計每年收入 (HK\$港幣) <input type="checkbox"/> Under / 以下 \$200,000 <input type="checkbox"/> \$200,001 - \$500,000 <input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> \$1,000,001 - \$5,000,000 <input type="checkbox"/> Over / 以上 \$5,000,000
(ii) Estimated Total Net Worth 估計客戶資產淨值 (HK\$港幣) <input type="checkbox"/> Under / 以下 \$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"/> \$5,000,001 - \$10,000,000 <input type="checkbox"/> Over / 以上 \$10,000,000	(ii) Estimated Total Net Worth 估計客戶資產淨值 (HK\$港幣) <input type="checkbox"/> Under / 以下 \$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"/> \$5,000,001 - \$10,000,000 <input type="checkbox"/> Over / 以上 \$10,000,000
(iii) Source(s) of Funds 資金來源 (Please tick one or more 可選擇下列一項或多項) <input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Savings 儲蓄 <input type="checkbox"/> Business Income 業務收入 <input type="checkbox"/> Retirement Funds 退休金 <input type="checkbox"/> Loan 借貸 <input type="checkbox"/> Rental Income 租金收入 <input type="checkbox"/> Return on Investment 投資回報 <input type="checkbox"/> Others 其他_____	(iii) Source(s) of Funds 資金來源 (Please tick one or more 可選擇下列一項或多項) <input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Savings 儲蓄 <input type="checkbox"/> Business Income 業務收入 <input type="checkbox"/> Retirement Funds 退休金 <input type="checkbox"/> Loan 借貸 <input type="checkbox"/> Rental Income 租金收入 <input type="checkbox"/> Return on Investment 投資回報 <input type="checkbox"/> Others 其他_____
(iv) Estimated Investment Amount 估計投資金額 (HK\$港幣) <input type="checkbox"/> Under / 以下 \$1,000,000 <input type="checkbox"/> \$1,000,001 - \$5,000,000 <input type="checkbox"/> \$5,000,001 - \$10,000,000 <input type="checkbox"/> Over / 以上 \$10,000,000	(iv) Estimated Investment Amount 估計投資金額 (HK\$港幣) <input type="checkbox"/> Under / 以下 \$1,000,000 <input type="checkbox"/> \$1,000,001 - \$5,000,000 <input type="checkbox"/> \$5,000,001 - \$10,000,000 <input type="checkbox"/> Over / 以上 \$10,000,000
4. DISCLOSURE OF IDENTITY 相關身份披露	
Primary Account Holder 主要賬戶持有人	Secondary Account Holder 第二賬戶持有人
Is the Client an employee or relative of any employee or director or representative of Core Capital Securities Limited ("CCS") or any of its subsidiaries? 客戶是否是 凱匯資本證券有限公司 (「 凱匯資本 」)或其任何附屬公司之僱員或與其任何僱員、董事或持牌代表有親屬關係? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (Please specify 請詳述) Name of employee / director / representative 僱員/董事/代表姓名_____ Relationship 關係_____	Is the Client an employee or relative of any employee or director or representative of Core Capital Securities Limited ("CCS") or any of its subsidiaries? 客戶是否是 凱匯資本證券有限公司 (「 凱匯資本 」)或其任何附屬公司之僱員或與其任何僱員、董事或持牌代表有親屬關係? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (Please specify 請詳述) Name of employee / director / representative 僱員/董事/代表姓名_____ Relationship 關係_____
Is the Client ultimately responsible for originating instructions in relation to transactions under the Account ? 客戶是否就此賬戶進行交易的最終負責發出指示的身份? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 (Please provide completed "Third Party Trading Authorization" and copy of his/her identity card and address proof (請提供已填妥"第三方操作賬戶授權書"及其身份證明文件及住址證明副本) Name 姓名_____ HKID/Passport No. 香港身份證/護照號碼_____ Address 地址_____	Is the Client ultimately responsible for originating instructions in relation to transactions under the Account ? 客戶是否就此賬戶進行交易的最終負責發出指示的身份? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 (Please provide completed "Third Party Trading Authorization" and copy of his/her identity card and address proof (請提供已填妥"第三者操作賬戶授權書"及其身份證明文件及住址證明副本) Name 姓名_____ HKID/Passport No. 香港身份證/護照號碼_____ Address 地址_____
Is the Client an employee or director or accredited person of any licensed or registered person with the Securities and Futures Commission? 客戶是否證券及期貨監察委員會持牌人或註冊之僱員、董事或持牌代表? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (Please specify 請詳述)_____	Is the Client an employee or director or accredited person of any licensed or registered person with the Securities and Futures Commission? 客戶是否證券及期貨監察委員會持牌人或註冊之僱員、董事或持牌代表? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (Please specify 請詳述)_____
Is the Client a director, employee or substantial shareholder (controlling not less than 10% of the shares) of any listed company in Hong Kong? 客戶是否任何香港上市公司之董事/僱員/大股東(持有不少於10%的股份)? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (Please specify 請詳述)_____	Is the Client a director, employee or substantial shareholder (controlling not less than 10% of the shares) of any listed company in Hong Kong? 客戶是否任何香港上市公司之董事/僱員/大股東(持有不少於10%的股份)? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (Please specify 請詳述)_____
Does the Client or his/her related person (including spouse) maintain or operate any other account with CCS or any of its subsidiaries? 客戶或其關連人士 (包括其配偶) 是否於凱匯資本或其任何附屬公司持有或運作任何賬戶? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (Please specify 請詳述) Account Name 賬戶名稱_____ Account No. 賬戶號碼_____ Relationship 關係_____	Does the Client or his/her related person (including spouse) maintain or operate any other account with CCS or any of its subsidiaries? 客戶或其關連人士 (包括其配偶) 是否於凱匯資本或其任何附屬公司持有或運作任何賬戶? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (Please specify 請詳述) Account Name 賬戶名稱_____ Account No. 賬戶號碼_____ Relationship 關係_____
Is any of the Client(s), 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 or senior executive of a state owned corporation? 客戶、任何賬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、高級政府官員或國有企業高級行政人員? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (Please specify 請詳述)_____	Is any of the Client(s), 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 or senior executive of a state owned corporation? 客戶、任何賬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、高級政府官員或國有企業高級行政人員? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (Please specify 請詳述)_____

5. TAX RESIDENCY* 稅務居民資料*

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

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」)*

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. Indicate **ALL** (not restricted to five) jurisdictions of residence.

提供以下資料，列明（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（香港包括在內）及（b）該居留司法管轄區發給賬戶持有人的稅務編號。列出**所有**（不限於 5 個）居留司法管轄區。

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

如賬戶持有人是香港或國內稅務居民，稅務編號是其身份證號碼。

If a TIN is unavailable, provide the appropriate reason A, B or C:

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

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.

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.

如沒有提供稅務編號，必須填寫合適的理由：

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。

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。

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。

	a) Primary Account Holder 主要賬戶持有人	b) Secondary Account Holder 第二賬戶持有人
(i)Are you tax resident of Hong Kong SAR? 客戶為香港稅務居民?	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
TIN 稅務編號	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有 (Select the following reasons 選擇以下理由) <input type="checkbox"/> Reason 理由 A <input type="checkbox"/> Reason 理由 B Please explain 請解釋 <input type="checkbox"/> Reason 理由 C	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有 (Select the following reasons 選擇以下理由) <input type="checkbox"/> Reason 理由 A <input type="checkbox"/> Reason 理由 B Please explain 請解釋 <input type="checkbox"/> Reason 理由 C
(ii)Are you tax resident of other jurisdictions? 客戶是否其他司法管轄區的稅務居民?	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否

(If yes, please indicate **ALL** jurisdictions of residence 如是，請列出**所有**居留司法管轄區)

Jurisdictions of residence 居留司法管轄區	(1)	(2)	(1)	(2)
TIN 稅務編號	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有 (Select the following reasons 選擇以下理由) <input type="checkbox"/> Reason 理由 A <input type="checkbox"/> Reason 理由 B Please explain 請解釋 <input type="checkbox"/> Reason 理由 C	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有 (Select the following reasons 選擇以下理由) <input type="checkbox"/> Reason 理由 A <input type="checkbox"/> Reason 理由 B Please explain 請解釋 <input type="checkbox"/> Reason 理由 C	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有 (Select the following reasons 選擇以下理由) <input type="checkbox"/> Reason 理由 A <input type="checkbox"/> Reason 理由 B Please explain 請解釋 <input type="checkbox"/> Reason 理由 C	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有 (Select the following reasons 選擇以下理由) <input type="checkbox"/> Reason 理由 A <input type="checkbox"/> Reason 理由 B Please explain 請解釋 <input type="checkbox"/> Reason 理由 C
Additional information (if any) 額外資料(如適用)				

*If the space is insufficient, please provide the Self-Certification Form (Individual).

*若空格不適用，請另填寫自我證明表格(個人)及簽署。

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by CCS for the purpose of automatic exchange of financial account information, and(b) such information and information regarding the account holder and any reportable account(s) may be reported by CCS 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).

本人知悉及同意，**凱匯資本**可根據《稅務條例》（第112章）有關交換財務賬戶資料的法律條文，（a）收集本表格所載資料並可備存作自動交換財務賬戶資料用途及（b）把該等資料和關於賬戶持有人及任何須申報賬戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到賬戶持有人的居留司法管轄區的稅務當局。

I certify that I am the account holder of all the account(s) to which this form relates.

本人證明，就與本表格所有相關的賬戶，本人是賬戶持有人。

I undertake to advise **CCS** of any change in circumstances which affects the tax residency status of the individual identified causes the information contained herein to become incorrect, and to provide **CCS** with a suitably updated self-certification form within 30 days of such change in circumstances.

本人承諾，如情況有所改變，以致影響稅務居民身分，或引致本表格所載的資料不正確，本人會通知**凱匯資本**，並會在情況發生改變後30日內，向**凱匯資本**提交一份已適當更新的自我證明表格。

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

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。

WARNING: 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).

警告：根據《稅務條例》第 80(2E) 條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第3級（即\$10,000）罰款。

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ACCOUNT APPLICATION FORM | CCS-CS-A01(V. 042019)

II. FOR CORPORATE ACCOUNT 公司賬戶

1. CLIENT INFORMATION 客戶資料

Client Name (English)

客戶名稱 (英文)

Client Name (Chinese)

客戶名稱 (中文)

Place of Incorporation

註冊/成立地點

Date of Incorporation

成立日期

Nature of Business

業務性質

Certificate of Incorporation Number

公司註冊證編號

Business Registration Number (applicable to HK incorporated 適用於香港註冊公司)

商業登記編號

Client Type

客戶類別

☐ Sole Proprietorship 獨資企業 ☐ Partnership 合夥企業

☐ Listed Company 上市公司

☐ Corporation (Non-listed Company) 法團(非上市公司)

☐ Licensed Financial Institution 持牌金融機構

☐ Other (Please Specify) 其他(請註明) _____

Registered Address

註冊地址

(Postal Code 郵編:)

Business Address (if different from Registered Address)

營業地址(如與註冊地址不同)

(Postal Code 郵編:)

Office Tel No.

辦事處電話號碼 () -

Mobile Phone No.

手提電話號碼 () -

Office Fax No.

辦事處傳真號碼 () -

E-mail Address (For internet trading and / or electronic statement 適用於網上交易及/或電子賬單服務)

電郵地址

2. FINANCIAL INFORMATION 財務資料

Issued Share Capital (HK\$)

已發行股本 (港幣)

Paid-up Capital (HK\$)

繳足股本 (港幣)

Annual Income (HK\$)

年度收入 (港幣)

Client's Net Assets (HK\$)

淨資產值 (港幣)

Source(s) of Funds 資金來源 (Please tick one or more 可選擇下列一項或多項)

☐ Paid Share Capital 股東資本 ☐ Business Profit 企業盈利 ☐ Loan 借貸 ☐ Others (Please specify) 其他(請註明) _____

Estimated Investment Amount (HK\$) 估計投資金額 (港幣)

☐ Under/以下 \$1,000,000 ☐ \$1,000,001 - \$5,000,000 ☐ \$5,000,001 - \$10,000,000 ☐ Over/以上 \$10,000,000

3. LIST OF DIRECTORS, SHAREHOLDERS AND/OR ULTIMATE BENEFICIAL OWNERS 董事、股東及/或最終權益擁有人名單 (Not Applicable to Listed Company 不適用於上市公司)

Name of Director

董事名稱

Mobile Phone No.

手提電話號碼

HKID/Passport No./Registration No.

香港身份證/護照號碼/註冊編號

Home Address/Registered Address

住址/註冊地址

(i)

(ii)

(iii)

(iv)

Name of Shareholder

股東名稱

HKID/Passport No./Registration No.

香港身份證/護照號碼/註冊編號

Home Address/Registered Address

住址/註冊地址

(i)

(ii)

(iii)

(iv)

4. FOR SHAREHOLDER THAT IS A CORPORATE BODY OR NOT AN ULTIMATE BENEFICIAL OWNER, PLEASE ALSO PROVIDE DETAILS OF THE CORRESPONDING INDIVIDUAL ULTIMATE BENEFICIAL OWNER(S) (A PERSON HOLDING NOT LESS THAN 10% OF THE INTEREST).

若股東為法人團體或非最終權益擁有人，請進一步提供其最終權益擁有人(個人擁有不少於10%的權益)之資料。

Name of Ultimate Beneficial Owner

最終擁有人名稱

Interest

權益 %

HKID/Passport No.

香港身份證/護照號碼

Home Address/Registered Address

住址/註冊地址

(i)

(ii)

(iii)

(iv)

(v)

5. ACCOUNT OPERATIONS AUTHORIZATION 賬戶操作授權

Authorized Signatory, Trading Instruction and Settlement Instruction arrangement shall be set out in the Board Resolution.

須於董事會決議內列明授權簽署人、交易授權及交收授權之安排。

6. DISCLOSURE OF IDENTITY 相關身份披露	
<p>(i) Is any of the director(s), shareholder(s), ultimate beneficial owner(s) or authorized person(s) of the Client ("Relevant Person") an employee or relative of any employee or director or representative of Core Capital Securities Limited ("CCS") or any of its subsidiaries?</p> <p>客戶之任何董事、股東、最終權益擁有人或獲授權人士(「相關人士」)是否凱匯資本證券有限公司 (「凱匯資本」)或其任何附屬公司之僱員或與其任何僱員、董事或持牌代表有親屬關係?</p> <p><input type="checkbox"/> No 否</p> <p><input type="checkbox"/> Yes (Please specify) 是 (請詳述)</p> <p>Name of Relevant Person 相關人士姓名 _____ Name of employee / director / representative 僱員/董事/代表姓名 _____</p> <p>Relationship 關係 _____</p>	
<p>(ii) Is any of the shareholder(s) or ultimate beneficial owner(s) of the Client ("Controlling Person") an employee or director or accredited person of any licensed or registered person with the Securities and Futures Commission?</p> <p>客戶之任何股東或最終權益擁有人(「控權人」)是否證券及期貨監察委員會持牌人或註冊人之僱員、董事或持牌代表?</p> <p><input type="checkbox"/> No 否</p> <p><input type="checkbox"/> Yes (Please specify and provide employer's consent letter) 是 (請詳述及提供僱主之書面同意書)</p> <p>_____</p>	
<p>(iii) Is any of the Relevant Person(s) a director, employee or substantial shareholder (controlling not less than 10% of the shares) of any listed company in Hong Kong?</p> <p>任何相關人士是否是任何香港上市公司之董事、僱員或大股東(持有不少於10%的股份)?</p> <p><input type="checkbox"/> No 否</p> <p><input type="checkbox"/> Yes (Please specify) 是 (請詳述)</p> <p>Name of Relevant Person 相關人士名稱 _____</p> <p>Name of listed company and respective role 上市公司名稱及其身份 _____</p>	
<p>(iv) Does any of the Relevant Person(s) maintain or operate any other account with CCS or any of its subsidiaries?</p> <p>任何相關人士是否於 凱匯資本或其任何附屬公司持有或運作任何賬戶?</p> <p><input type="checkbox"/> No 否</p> <p><input type="checkbox"/> Yes (Please specify) 是 (請詳述)</p> <p>Account Name 賬戶名稱 _____ Account No 賬戶號碼 _____</p>	
<p>(v) Is any of the Relevant Person(s) or his/her spouse, partner, child, parent, spouse or partner of his/her child, or close associate a politically exposed person, senior government official or senior executive of a state owned corporation?</p> <p>任何相關人士或其配偶、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、高級政府官員或國有企業高級行政人員?</p> <p><input type="checkbox"/> No 否</p> <p><input type="checkbox"/> Yes (Please specify) 是 (請詳述) _____</p>	
7. TAX RESIDENCY* 稅務居民資料*	
a) Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") *	
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」) *	
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. Indicate ALL (not restricted to five) jurisdictions of residence. 提供以下資料, 列明 (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 (香港包括在內) 及 (b) 該居留司法管轄區發給賬戶持有人的稅務編號。列出 所有 (不限於5個) 居留司法管轄區。 If the account holder is a tax resident of Hong Kong or Mainland China, the TIN is the Identity Card Number. 如賬戶持有人是香港或國內稅務居民, 稅務編號是其身份證號碼。 If the account holder is not a tax resident in any jurisdiction (e.g. fiscally transparent), indicate the jurisdiction in which its place of effective management is situated. 如果賬戶持有人並非任何稅務管轄區的稅務居民 (例如: 它是財政透明實體), 填寫實際管理機構所在的稅務管轄區。 If a TIN is unavailable, provide the appropriate reason A, B or C: Reason A –The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents. 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. 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. 如沒有提供稅務編號, 必須填寫合適的理由: 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。 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。 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。	
(i)Are you tax resident of Hong Kong SAR? 客戶為香港稅務居民?	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
TIN 稅務編號	<input type="checkbox"/> Yes 有 _____ <input type="checkbox"/> No 沒有 (Select the following reasons 選擇以下理由) <input type="checkbox"/> Reason 理由 A <input type="checkbox"/> Reason 理由 B Please explain 請解釋 _____ <input type="checkbox"/> Reason 理由 C
(ii)Are you tax resident of other jurisdictions? 客戶是否其他司法管轄區的稅務居民?	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
(If yes, please indicate ALL jurisdictions of residence 如是, 請列出 所有 居留司法管轄區)	

Jurisdictions of residence 居留司法管轄區	(1)	(2)	(3)
TIN 稅務編號	<input type="checkbox"/> Yes 有 _____ <input type="checkbox"/> No 沒有 (Select the following reasons 選擇以下理由) <input type="checkbox"/> Reason 理由 A <input type="checkbox"/> Reason 理由 B Please explain 請解釋 _____	<input type="checkbox"/> Yes 有 _____ <input type="checkbox"/> No 沒有 (Select the following reasons 選擇以下理由) <input type="checkbox"/> Reason 理由 A <input type="checkbox"/> Reason 理由 B Please explain 請解釋 _____	<input type="checkbox"/> Yes 有 _____ <input type="checkbox"/> No 沒有 (Select the following reasons 選擇以下理由) <input type="checkbox"/> Reason 理由 A <input type="checkbox"/> Reason 理由 B Please explain 請解釋 _____
Additional information (if any) 額外資料(如適用)			
b) Entity Type 實體類別 Tick one of the appropriate boxes and provide the relevant information. 在其中一個適當的方格內加上✓號，並提供有關資料。			
Financial Institution 財務機構	<input type="checkbox"/> Custodial Institution, Depository Institution or Specified Insurance Company 託管機構、存款機構或指明保險公司 <input type="checkbox"/> Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity's assets) and located in a non-participating jurisdiction 投資實體，但不包括由另一財務機構管理（例如：擁有酌情權管理投資實體的資產）並位於非參與稅務管轄區的投資實體		
Active NFE 主動非財務實體	<input type="checkbox"/> NFE the stock of which is regularly traded on _____, which is an established securities market 該非財務實體的股票經常在 _____（一個具規模證券市場）進行買賣 <input type="checkbox"/> Related entity of _____ the stock of which is regularly traded on _____ which is an established securities market _____ 的有關連實體，該有關連實體的股票經常在 _____（一個具規模證券市場）進行買賣 <input type="checkbox"/> NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities 政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體 <input type="checkbox"/> Active NFE other than the above 除上述以外的主動非財務實體 (Please specify 請說明 _____)		
Passive NFE (complete Part 3 if <input checked="" type="checkbox"/>) 被動非財務實體 (如☑請填第 3 部)	<input type="checkbox"/> Investment entity that is managed by another financial institution and located in a non-participating jurisdiction 位於非參與稅務管轄區並由另一財務機構管理的投資實體 <input type="checkbox"/> NFE that is not an active NFE 不屬主動非財務實體的非財務實體		
c) Controlling Persons 控權人 (Complete this part if the entity account holder is a passive NFE 如實體賬戶持有人是被動非財務實體，填寫此部)			
Indicate the name of ALL controlling person(s) hold 25% or more shareholder / ultimate beneficial owner of the account holder in the table below. If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official. Complete Self-Certification Form – Controlling Person for each controlling person. 就賬戶持有人，填寫所有控權人擁有百分之二十五或以上之股東/最終實益擁有人的姓名在列表內。就法人實體，如行使控制權的並非自然人，控權人會是該法人實體的高級管理人員。每名控權人須分別填寫一份自我證明表格 – 控權人表格。			
(1)	(3)		
(2)	(4)		
*If the space is insufficient, please provide the Self-Certification Form (Entity). *若空格不敷應用，請另填寫自我證明表格(實體)及簽署。 I acknowledge and agree that (a) the information contained in this form is collected and may be kept by CCS for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by CCS 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). 本人知悉及同意，凱匯資本可根據《稅務條例》（第 112 章）有關交換財務賬戶資料的法律條文，（a）收集本表格所載資料並可備存作自動交換財務賬戶資料用途及（b）把該等資料和關於賬戶持有人及任何須申報賬戶的資料向香港特別行政區政府稅務局申報。從而把資料轉交到賬戶持有人的居留司法管轄區的稅務當局。 I certify that I am authorized to sign for the account holder of all the account(s) to which this form relates. 本人證明，就與本表格所有相關的賬戶，本人獲賬戶持有人授權簽署本表格。 I undertake to advise CCS of any change in circumstances which affects the tax residency status of the entity identified or causes the information contained herein to become incorrect, and to provide CCS with a suitably updated self-certification form within 30 days of such change in circumstances. 本人承諾，如情況有所改變，以致影響實體的稅務居民身分，或引致本表格所載的資料不正確，本人會通知凱匯資本，並會在情況發生改變後 30 日內，向凱匯資本提交一份已適當更新的自我證明表格。 I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete. 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。 WARNING: 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). 警告：根據《稅務條例》第 80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級（即\$10,000）罰款。			

III GENERAL ACCOUNT INFORMATION 一般賬戶資料 FOR INDIVIDUAL / JOINT / CORPORATE ACCOUNT 個人/聯名/公司賬戶

1. INVESTMENT EXPERIENCE & DERIVATIVE PRODUCTS KNOWLEDGE 投資經驗及衍生產品認識

For Corporate Account: Please complete this part by the ultimate person(s) who control(s) the account or make(s) investment decision
公司客戶：請由負責掌管賬戶或作出投資決策的最終控制者填寫此部份

Corporate / Primary Account Holder 公司 / 主要賬戶持有人		Secondary Account Holder 第二賬戶持有人	
(i) Investment Objective(s) 投資目標 (Please tick one or more 可選擇下列一項或多項) <input type="checkbox"/> Capital Gain 資本增值 <input type="checkbox"/> Dividend Income 股息收入 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Others (Please specify) 其他 (請說明) _____		(i) Investment Objective(s) 投資目標 (Please tick one or more 可選擇下列一項或多項) <input type="checkbox"/> Capital Gain 資本增值 <input type="checkbox"/> Dividend Income 股息收入 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Others (Please specify) 其他 (請說明) _____	
(ii) Investment Experience 投資經驗		(ii) Investment Experience 投資經驗	
Year of experience 投資年資		Year of experience 投資年資	
<input type="checkbox"/> Stock 證券		<input type="checkbox"/> Stock 證券	
<input type="checkbox"/> Futures and Options 期貨及期權合約		<input type="checkbox"/> Futures and Options 期貨及期權合約	
<input type="checkbox"/> Unit Trust/Mutual Fund 單位信託/互惠基金		<input type="checkbox"/> Unit Trust/Mutual Fund 單位信託/互惠基金	
<input type="checkbox"/> Leveraged Foreign Exchange 槓桿外匯		<input type="checkbox"/> Leveraged Foreign Exchange 槓桿外匯	
<input type="checkbox"/> Derivative Warrants 衍生認股證		<input type="checkbox"/> Derivative Warrants 衍生認股證	
<input type="checkbox"/> Callable Bull/Bear Contract (CBBC) 牛熊證		<input type="checkbox"/> Callable Bull/Bear Contract (CBBC) 牛熊證	
<input type="checkbox"/> Exchange Traded Fund (ETF) 交易所買賣基金		<input type="checkbox"/> Exchange Traded Fund (ETF) 交易所買賣基金	
<input type="checkbox"/> Equity Linked Instruments (ELI) 股票掛鈎票據		<input type="checkbox"/> Equity Linked Instruments (ELI) 股票掛鈎票據	
<input type="checkbox"/> Bond 債券		<input type="checkbox"/> Bond 債券	
<input type="checkbox"/> Structured Products 結構性產品		<input type="checkbox"/> Structured Products 結構性產品	
<input type="checkbox"/> Others 其他		<input type="checkbox"/> Others 其他	
(iii) Knowledge of derivative products 有關衍生產品之認識		(iii) Knowledge of derivative products 有關衍生產品之認識	
<input type="checkbox"/> I/We have NOT acquired knowledge of derivative products (e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures and Options, Commodity, Structured Products and Exchange Traded Fund etc, whether traded on an exchange or not) 本人/吾等沒有衍生產品之認識(例如: 衍生權證、牛熊證、股票期權、期貨及期權、商品、結構性產品及交易所買賣基金等、不論是否於交易所進行交易)		<input type="checkbox"/> I/We have NOT acquired knowledge of derivative products (e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures and Options, Commodity, Structured Products and Exchange Traded Fund etc, whether traded on an exchange or not) 本人/吾等沒有衍生產品之認識(例如: 衍生權證、牛熊證、股票期權、期貨及期權、商品、結構性產品及交易所買賣基金等、不論是否於交易所進行交易)	
<input type="checkbox"/> I/We understand the nature and risks of derivative products by: 本人/吾等了解衍生產品的性質和風險		<input type="checkbox"/> I/We understand the nature and risks of derivative products by: 本人/吾等了解衍生產品的性質和風險	
<input type="checkbox"/> By undergoing training or attending courses that provide general knowledge of the nature and risk of derivatives 已接受有關介紹一般衍生產品之性質及風險的培訓或課程		<input type="checkbox"/> By undergoing training or attending courses that provide general knowledge of the nature and risk of derivatives 已接受有關介紹一般衍生產品之性質及風險的培訓或課程	
<input type="checkbox"/> From my/our current or previous work experience related to derivative products 從本人/吾等現時或過去與衍生產品有關的工作經驗		<input type="checkbox"/> From my/our current or previous work experience related to derivative products 從本人/吾等現時或過去與衍生產品有關的工作經驗	
<input type="checkbox"/> From my/our relevant trading experience i.e. I/we have executed five or more transactions within the past three years in derivative products 從本人/吾等相關之交易經驗, 即本人/吾等於過去三年內已進行了五次或以上有關衍生產品之交易		<input type="checkbox"/> From my/our relevant trading experience i.e. I/we have executed five or more transactions within the past three years in derivative products 從本人/吾等相關之交易經驗, 即本人/吾等於過去三年內已進行了五次或以上有關衍生產品之交易	

2. METHOD OR LANGUAGE OF COMMUNICATION / ACCOUNT STATEMENT COLLECTION 通訊/戶口結單收取方法及語言

Please select one of the following methods or language of communication / account statement collection (Monthly fee of HK\$100 would be charged for any mailing services)

請選擇以下其中一項通訊/戶口結單收取方法及語言 (如選用郵寄形式, 將每月收取港幣100元郵遞服務費)

(i) <input type="checkbox"/> English 英文 <input type="checkbox"/> Chinese 中文	
(ii) <input type="checkbox"/> Email Address 電子郵件地址 <input type="checkbox"/> Home Address 住宅地址 <input type="checkbox"/> Registered Address 註冊地址 <input type="checkbox"/> Business Address 營業地址	
<input type="checkbox"/> Others (Please specify) 其他(請填寫): _____	

3. BANK ACCOUNT STANDING INSTRUCTION FOR SETTLEMENT 客戶常設交收銀行戶口指示

Unless otherwise instructed by the Client, all payments payable to the Client would be deposited into the following bank account(s):
除經客戶另行指示外, 客戶的應收金額將存入下列指定銀行賬戶:

Currency 貨幣:	<input type="checkbox"/> HKD 港幣	<input type="checkbox"/> USD 美元	<input type="checkbox"/> CNY 人民幣
Bank Name	Swift Code		
銀行名稱	銀行國際代碼		
Account Holder Name	Account Number		
賬戶持有人名稱	賬戶號碼		

4. ULTIMATE BENEFICIAL OWNER(S) OF THE ACCOUNT 賬戶最終實益擁有人		
I am/ We are the ultimate beneficial owner(s) of the account. 本人/吾等是該賬戶的最終實益擁有人		
<input type="checkbox"/> Yes 是		<input type="checkbox"/> No, please specify 否，請註明：
Name of Ultimate Beneficial Owner(s) 最終實益擁有人姓名：	Relationship with Account Holder 與賬戶持有人的關係：	I.D. Card / Passport No. 身份證或護照號碼：
Address地址： (Postal Code 郵政編號:)		
Is/are the ultimate beneficial owner(s) a U.S. citizen or resident? 該最終實益擁有人是否美國公民或居民?		<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是
Is/are the ultimate beneficial owner(s) born in U.S.? 該最終實益擁有人是否在美國出生?		<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是
5. DECLARATION 聲明		
<p>The Client agrees to open the above account(s) with CCS on the terms and conditions as set out in the Client’s Agreement applicable to the type of account(s) that the Client agrees to open. The Client has read and understood such terms and conditions in the Client’s Agreement. By signing this part, the Client declares and confirms that:</p> <p>以下簽名之客戶同意並根據客戶協議內適用於客戶所選擇服務賬戶之條款及條件於凱匯資本服務賬戶。客戶確認已閱讀及明白客戶協議之一切條款及條件。客戶簽署以下分段，表示客戶聲明及確認如下：</p> <p>a. The information provided in this Client Information Statement is complete, true and accurate. CCS is entitled to rely fully on such representations and information for all purposes, unless the Client informs CCS in writing of any change to that information. CCS is authorized to contact anyone, including the Client’s bankers, brokers or any credit agency, for the purposes of verifying the information provided in this Client Information Statement.</p> <p>客戶所提供之所有資料屬完整、真實及正確。凱匯資本有權在任何用途上完全依賴這些資料及陳述，除非客戶另行以書面通知凱匯資本有任何資料更改，凱匯資本有權聯絡客戶之銀行、經紀或任何信貸機構作核實本客戶資料聲明之用途。</p> <p>b. The Client acknowledges that the Client has understood the Rules and Regulations of different products provided by CCS and fully understands the circumstances under which the Client’s positions may be closed without the Client’s consent.</p> <p>客戶確認了解有關各類凱匯資本提供之合約產品；及其全部清楚了解毋須客戶同意而可將客戶買賣盤平倉之情況。</p> <p>c. The Client acknowledges that the Client has read and understood the contents of the Risk Disclosure Statements as referred to in Client Account Agreement Section G, in particular the Client fully understands the nature and risks associated with derivative product(s) as mentioned in Part B of Section G. Although the Client might not have relevant derivative s product(s) trading experience, the Client may still base on the own independent judgment of the Client to request for entering into transaction(s) of derivative product(s) and would take all risks associated.</p> <p>客戶確認客戶已閱讀及明白客戶協議書G部風險披露聲明書及負責聲明之一切內容，尤其客戶已完全了解 G 部分 B 段落當中提及衍生產品之性質及相關風險。儘管客戶可能並沒有相關衍生產品交易經驗，客戶可基於客戶獨立判斷仍要求衍生產品交易。客戶願意承擔所有相關衍生產品之風險。</p> <p>d. The Client further declares that the account(s) was/were opened at his/her/their free will and CCS ’s account executive and/or associate has not carried on any unsolicited calls on the Client.</p> <p>客戶進一步聲明客戶在訂立任何契約時是在絕對自願情況下開設戶口，而凱匯資本客戶主任及/或其夥伴並沒有對本人作出任何未經邀請約之造訪行為。</p> <p>e. In compliance with the requirements under Foreign Account Tax Compliance Act (“FATCA”) or any other Foreign Law Requirement, the Client agrees and authorizes that CCS, according to the clause 9 in Section B of Client Agreement, is entitled to withhold and deduct any payment or funds (maybe subject to 30% of the gross proceeds and/or any other amount as required by IRS from time to time) under the Client’s accounts as required at CCS ’s sole and absolute discretion in order to comply with and meet its obligations under FATCA or any other Foreign Law Requirement. In any event, the Client confirms that CCS shall not be liable for any loss or damages in relation to the withholding or deduction in this matter.</p> <p>為遵從《海外賬戶稅收合規法案》（“FATCA”）的相關要求，客戶同意並授權凱匯資本可根據客戶協議書 B 部分第 9 段，享有唯一及絕對的酌情權，從客戶的賬戶中，預留或扣除任何款項（可高達總交易金額的 30%及/或由美國國稅局不時要求的其他金額），以及收取任何由該預扣款項所衍生的費用。客戶確認，在任何情況下，凱匯資本將不會為任何因稅收合規法案要求下預扣或扣除款項，所引致的損失及損害負上責任。</p> <p>f. The Client further undertakes to fully indemnify CCS against any loss, damages and cost suffered by CCS as a result of the Client providing misleading or false information or otherwise failing to comply with any requirement under FATCA and any other Foreign Law Requirement.</p> <p>客戶並承諾，如因客戶提供含誤導成分或錯誤的資料，或並無遵守海外賬戶稅收合規法案及任何其他外國法規定的情況下，招致凱匯資本的任何損失、損害或開支，客戶會向凱匯資本作出彌償。</p> <p>g. The Client acknowledges and confirms that the Client has read and understood the Notice on Personal Data (Privacy) Ordinance as set out in Section H. Unless the Client does not agree to the use of the Client’s personal data for direct marketing by ticking the box below, the Client acknowledges and consents to the use and/or transfer of his/her personal data for direct marketing as set out in the Notice on Personal Data (Privacy) Ordinance.</p> <p>客戶確認客戶已閱讀並明白客戶協議內H部份有關個人資料(私隱)條例的通知。除非客戶剔選以下方格以表示不同意客戶的個人資料為直接促銷之目的而被使用，客戶確認並同意根據以上有關個人資料(私隱)條例的通知為直接促銷之目的而使用及/或轉移客戶的個人資料。</p> <p>h. The Client hereby authorizes CCS to transfer any amount of fund and/or stock in any one or more trading accounts now or hereafter opened in the name of the Client with CCS in connection with this Agreement to any other account(s) maintained by the Client with CCS at any time CCS deems appropriate and for such purpose authorizes CCS ’s account executive to sign the “ Request For Fund Withdrawal or Account Transfer Form ” and/or “ Physical Scrip Withdrawal / Stock Internal Request Form ” on the Client’s behalf. The Client understands all transfer will be reflected in the account statement issued to the Client by CCS.</p> <p>客戶特此授權凱匯資本於其認為適當的時候，可調配客戶於當前或今後根據本協議在凱匯資本以客戶名義開立的任何一個或多個賬戶下之任何金額及/或股票至客戶在凱匯資本之其他賬戶，並為此目的授權凱匯資本代客戶簽署“客戶資金提取及轉戶通知書”及/或“實物股票提取 / 股票內部轉戶申請書”，客戶明白所有資金調配將於凱匯資本發予客戶之賬戶結單上反映。</p> <p>i. The Client hereby acknowledges and confirms that the Client has authorized CCS to deal with the Client’s funds and/or securities and/or securities collateral in accordance with the relevant part of the “Terms and Conditions for Trading Account” (“Standing Authority”). The Client acknowledges and confirms that the contents and effects of the relevant Standing Authority and hereby authorizes CCS to have an absolute discretion to renew the relevant authorities. The Standing Authority (Client Money) is applicable to the Clients with multiple accounts while it is not applicable to clients holding one account only.</p> <p>客戶謹此知悉及確認，已根據《客戶協議之條款及條件》內適用之（「常設授權」）部份，授權凱匯資本處置客戶的資金及/或證券及/或證券抵押品。客戶已知悉及確認適用之常設授權的內容及作用，並已授權凱匯資本有絕對的酌情權延續有關授權。常設授權(客戶款項)適用於持有多於一個戶口的客戶，並不適用於只持有單一賬戶的客戶。</p> <p>j. The Client acknowledges and confirms the relevant Standing Authority is required to be renewed annually and it may revoke by giving CCS written notice. If no written objection is received from the Client, it means the Client accepts the extension and to be bounded by the renewed Standing Authority terms and conditions. 客戶知悉及確認常設授權需每年續約一次，客戶已授權凱匯資本每年替其自動延續該授權，客戶可向凱匯資本發出書面通知以撤回該授權。如凱匯資本未收到客戶書面反對，則表示客戶同意及接受延長常設授權並繼續受其約束。</p>		
6. USE OF PERSONAL DATA 使用個人資料		
I/ We <input type="checkbox"/> agree / <input type="checkbox"/> disagree to the use of my/ our/ Client's Personal Data for direct marketing by CCS under Personal Information Collection Statements of the Part H of Client Account Agreement .		
本人/ 吾等 <input type="checkbox"/> 同意 / <input type="checkbox"/> 不同意 凱匯資本使用本人/ 吾等/ 客戶的個人資料按個人資料收集聲明（載於客戶協議書的第H部份）作直接促銷。		
I/we understand that at any time in the future, in respect of direct marketing, I/we are entitled to inform Data Privacy Officer of CCS if I/ we wish to opt-out of the use of my/our/Client's personal data for any of the direct marketing purposes.		
本人/ 吾等知悉，在將來任何情況下，如本人/ 吾等希望本人/ 吾等 / 客戶的個人資料加入凱匯資本拒絕服務名單，本人/吾等可聯絡有關公司的私隱資料主任。		

7. CLIENT SIGNATURE 客戶簽署確認	
<p>I/We confirm that I/us fully understood the contents of the Client Account Agreement and have sought, or have had the opportunity to seek legal advice concerning there contents and effect. I hereby accept and agree to be bound by the same in full as it may be amended from time to time.</p> <p>本人/吾等確認已完全明白「客戶協議書」的內容並已經或有機會就其內容及效力尋求法律顧問的意見。本人/吾等特此接受及同意受該客戶協議書現時有效及不時修改的條款所約束。</p> <p>Must be signed and delivered by both clients for Joint Account. 所有聯名客戶都必須同時簽署</p>	
INDIVIDUAL / JOINT ACCOUNT 個人/聯名賬戶	
Individual/Primary Joint Client's Signature 個人/主要聯名客戶簽署	Secondary Joint Client's Signature 附屬聯名客戶簽署
Name in Block Letter 姓名正楷	Name in Block Letter 姓名正楷
Date 日期	Date 日期
<p>Written instruction to be signed by 簽署書面指示方式 (For Joint Account Only. 只適用於聯名賬戶)</p> <p> <input type="checkbox"/> Either one of the account holders; 任何一位賬戶持有人的指示 <input type="checkbox"/> All account holders 所有賬戶持有人的指示 </p> <p> <input type="checkbox"/> Others (Please specify) 其他 (請註明) _____ </p>	
CORPORATE ACCOUNT 公司賬戶	
Authorized Signature with Company Chop 公司印章及獲授權人簽名	Authorized Signature with Company Chop 公司印章及獲授權人簽名
Name in Block Letter 姓名正楷	Name in Block Letter 姓名正楷
Date 日期	Date 日期
SIGNED BY WITNESS 見證人簽署	
<p>(to be completed by a licensed 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, notary public or others)</p> <p>(由本公司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、銀行分行經理、執業會計師、律師、公證人或其他)填寫)</p> <p>I hereby certify that I have witnessed the signature and verified the original identity documents of the above-named authorized person(s).</p> <p>本人謹此確認本人已見證及驗證上述獲授權簽署人之簽署及有關其身分證明文件之正本。</p>	
Signed and Certified by 簽署及驗證	Name of witness in Block Letter 見證人姓名正楷
Occupation/Position 職業/職位	Date 日期
DECLARATION BY LICENSED PERSON 持牌人士聲明	
<p>I confirm that I have provided the risk disclosure statements (as contained in the Client Account Agreement) in a language of the Client's choice (English or Chinese) and invited the Client to read the risk disclosure statements, ask questions and take independent advice if the Client wishes.</p> <p>本人確認已按照客戶所選擇的語言（英文或中文）提供風險披露聲明（載於客戶協議書），並已邀請客戶閱讀該等風險披露聲明、提出問題及徵求獨立的意見（如客戶有此意願）。</p>	
Signature of Licensed Person 持牌人士簽署	Name of Licensed Person in Block Letter 持牌人士姓名正楷
CE No. 中央編號	Date 日期
ACCEPTANCE AND AUTHORIZED SIGNATURE 接納及授權代表簽署	
CCS Authorized Signature 凱匯資本授權人士簽署	Name of Authorized Person in Block Letter 獲授權人士姓名正楷
Position 職位	Date 日期

NOTE 1 備註 1:

If the information provided by the Client indicates any “U.S. Indicia” as below: 如果客戶所提供的資料，有以下任何一項「美國指標」：

- (1) The Client is a U.S. citizen or resident; 客戶為美國公民或居民；
- (2) The Client was born in U.S.; 客戶在美國出生；
- (3) The Client holds a current U.S. mailing, residential address (including a U.S. post office box); 客戶現時擁有美國的郵寄地址、住宅地址（包括美國郵政信箱）；
- (4) The Client holds a current U.S. telephone number; 客戶現時擁有美國的電話號碼；
- (5) The Client requests Standing instructions to transfer funds to an account maintained in the U.S.; 客戶要求以常設授權方式，匯款往一個在美國開立的賬戶；
- (6) Any of the Directors and/or Authorized Person(s) of the Client holds a U.S. address; or 賬戶的任何董事及/或獲授權人士擁有美國地址；或
- (7) The Client used an “in-care-of” or “hold mail” address as his/her sole address. 客戶以一個代收或代存郵件地址作為其唯一地址。

Then, please choose any 1 of the following options to declare the U.S. or non-U.S. status of the Client or the ultimate beneficial owner of the account:

請客戶或賬戶之最終實益擁有人選擇以下其中一項，申報其美國人或非美國人的身份：

- (a) If the Client or the ultimate beneficial owner of the account holds a U.S. citizenship or lawful permanent resident (green card) status, whether he/she was born in U.S., please complete Form W-9 to establish U.S. status.

如客戶或賬戶之最終實益擁有人擁有美國公民或美國合法永久居民(綠咭)身份，不論其是否在美國出生，請填寫W-9表格以確立美國人身份。

- (b) If the Client or the ultimate beneficial owner of the account does NOT hold a U.S. citizenship or lawful permanent resident (green card) status, but has any of the U.S. indicia (2) to (7), please:

如客戶或賬戶之最終實益擁有人並無擁有美國公民或美國合法永久居民(綠咭)身份，但擁有上述(2)至(7)項美國指標，請

complete Form W-8 and provide a non-U.S. passport or other similar government issued evidence establishing his/her citizenship in a country other than the U.S.; and 填寫W-8 表格及提供非美國護照或其他由政府發出的證明文件以確立非美國人身份；及

- (c) if the Client or the ultimate beneficial owner of the account was born in U.S., please provide the copy of the form “Certificate of Loss of Nationality of the United States” or written explanation regarding his/her relinquishment of U.S. citizenship or reason why he/she did not obtain U.S. citizenship at birth.

如客戶或賬戶之最終實益擁有人出生在美國，請提供表格 “Certificate of Loss of Nationality of the United States” 的副本，或書面解釋有關客戶或賬戶之最終實益擁有人放棄美國公民身份或沒有取得美國公民身份的原因。

If the Client or the ultimate beneficial owner of the account does NOT have any U.S. indicia above, no W-8 or W-9 forms are required.

如客戶或賬戶之最終實益擁有人並無擁有上述任何美國指標，則不用填寫W-8或W-9表格。

NOTE 2 備註2:

- Any deletion or amendment must be initialed by the Client(s). 任何刪除或修改必須由客戶簽署作實。
- Certified copy means a copy of the original that has been sighted by an independent certifier (the “Certifier”). The Certifier can be a licensed representative or affiliate of CCS or Professional (any other licensed or registered person with the SFC, a JP, branch manager of a bank, certified public accountant, lawyer, notary public or others).

核證副本是指文件的正本須經由一名獨立合適人士(「核證人」)查看。核證人包括凱匯資本持牌人士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、銀行分行經理、執業會計師、律師公證人或其他)。

- The Certifier must i) sign and date the copy document (printing his/her name clearly in capitals underneath), ii) clearly indicate his/her position or capacity on it and iii) state that it is a true copy of the original (or words to similar effect).

核證人必須i) 在副本文件上簽署並寫上日期(以大楷清楚列示其姓名)，ii) 清楚註明其職位或身分及iii) 註明該副本文件為正本文件的真確副本(或具類似效力的字詞)。

FOR INTERNAL USE ONLY 以下僅供內部填寫

A.E. Code:	Interest Rate:
Trade Limit/Trading Limit:	Credit Limit/Position Limit:
Commission:	Others:

A/C OPENING FLOW RECORD 開戶程式記錄

	Signature	Name	Date
Document Reviewed By			
Checked By			
Account Opening Approved By			
Document Input By			
Double Check By			
Scan and Filling By			
Remark			