佳兆業金融集團有限公司
KAISA FINANCIAL GROUP COMPANY LIMITED

Individual/Joint Account Opening Form 開戶申請表–個人/聯名帳戶

經紀代號 AE Code		帳戶號碼 A/C No.							—				

1. 港股帳戶類別（please "√" as appropriate 如適用請加 "√"） Type of Hong Kong Securities Account

☐ 現金帳戶 Cash Account ☐ 保證金帳戶 Margin Account

2. 其他增值服務 Other additional service

☐ 互聯網交易服務 Internet Trading Service
☐ 美股及其他海外股票市場交易服務 U.S. and Overseas Stock Trading Service

請替我/我們開立以上的帳戶，我/我們確實已審閱及明白本開戶申請表、有關協議書和風險披露聲明的內容，並同意接受協議書所約束。
Please open the above account for me/us, I/we hereby confirm that I/we have read and understood the contents of this Account Opening Form, the relevant Agreement(s) and the Risk Disclosure Statements and that I/we accept to be bound by the same.

3. 個人資料 Personal Information

個人/主要持有人 Individual/Primary Client		聯名帳戶/第二持有人 Joint/Secondary Client	
帳戶持有人英文姓名 先生 / 太太 / 小姐 Name of Account Holder (English) Mr. / Mrs. / Miss		帳戶持有人英文姓名 先生 / 太太 / 小姐 Name of Account Holder (English) Mr. / Mrs. / Miss	
中文姓名 Chinese Name		中文姓名 Chinese Name	
出生日期 Date of Birth	出生地點 Place of Birth	出生日期 Date of Birth	出生地點 Place of Birth
身份證/護照號碼 ID/Passport No.	國籍 Nationality	身份證/護照號碼 ID/Passport No.	國籍 Nationality
美國稅務居民 U.S Tax Resident	☐ 是 Yes ☐ 否 No	美國稅務居民 U.S Tax Resident	☐ 是 Yes ☐ 否 No
美國綠卡持有人 U.S. Green Card Holder	☐ 是 Yes ☐ 否 No	美國綠卡持有人 U.S. Green Card Holder	☐ 是 Yes ☐ 否 No
與第二持有人的關係(如適用) Relationship with Secondary Client (where applicable):			
教育水平 Education Level ☐ 教授/博士 Professor or Doctor ☐ 碩士/研究生 Master/Postgraduate ☐ 大學 Tertiary ☐ 中學 Secondary ☐ 小學或以下 Primary School or Below	婚姻狀況 Marital Status ☐ 未婚 Single ☐ 已婚 Married ☐ 離婚 Divorced ☐ 喪偶 Widowed	教育水平 Education Level ☐ 教授/博士 Professor or Doctor ☐ 碩士/研究生 Master/Postgraduate ☐ 大學 Tertiary ☐ 中學 Secondary ☐ 小學或以下 Primary School or Below	婚姻狀況 Marital Status ☐ 未婚 Single ☐ 已婚 Married ☐ 離婚 Divorced ☐ 喪偶 Widowed
住宅地址 Residential Address		住宅地址 Residential Address	
通訊地址(如同上則不需填寫) Correspondence Address (if different)		通訊地址(如同上則不需填寫) Correspondence Address (if different)	
手提電話 Mobile Phone	公司電話 Business Phone	手提電話 Mobile Phone	公司電話 Business Phone
電郵地址 Email Address		電郵地址 Email Address	

銀行帳戶資料 Bank Account details

貨幣 Currency		銀行名稱 Name of Bank	帳戶名稱 Account Name	帳戶號碼 Account No.
港幣	HKD			
美元	USD			
人民幣	CNY			

通訊方式 Communication Method
請選擇以下其中一項通訊方法 Please select one of the following method of communication：

☐ 郵遞 By Mail ☐ 住宅地址 Residential Address
☐ 通訊地址 Correspondence Address

☐ 電郵 By Email

ver:09/2019

4. 工作詳情 Employment Details

僱主名稱(若自僱，請填寫公司名稱) Name of Employer (or if self-employed, name of Company)		僱主名稱(若自僱，請填寫公司名稱) Name of Employer (or if self-employed, name of Company)	
公司地址 Business Address		公司地址 Business Address	
業務性質 Nature of Business		業務性質 Nature of Business	
職位 Position	工作年期 Years in Occupation	職位 Position	工作年期 Years in Occupation

5. 財務狀況 Financial Background

收入來源 Source of Income	每年收入 Annual Income	資產類別 Asset Type	資產淨值 Net Asset Worth
☐ 沒有 Nil ☐ 薪金 Salary ☐ 佣金 Commission ☐ 租金 Rental ☐ 股息/利息 Dividend/Interest ☐ 業務溢利 Business Profit ☐ 其他 Others: ____________	☐ <HK$120,000 ☐ HK$120,001 – HK$360,000 ☐ HK$360,001 – HK$600,000 ☐ HK$600,001 – HK$1,200,000 ☐ >HK$1,200,000	☐ 房產 Property ☐ 存款 Deposits ☐ 證券 Listed Securities ☐ 債券/基金 Bonds/Funds ☐ 結構性產品 Structured Products ☐ 其他 Others: ____________	☐ <HK$500,000 ☐ HK$500,000 – HK$1M ☐ HK$1M – HK$3M ☐ HK$3M – HK$5M ☐ HK$5M – HK$10M ☐ HK$10M – HK$50M ☐ >HK$50M

6. 客戶投資經驗及目標 Client Investment Experience and Objective

投資經驗 Investment Experience	曾投資/買賣的產品 Investment Products	投資目標 Investment Objectives	估計投資金額 Estimated Investment Amount
☐ 沒有 Nil ☐ 少於 1 年 < 1 year ☐ 1 - 3 年 years ☐ 3 - 5 年 years ☐ 5 - 10 年 years ☐ 10 年以上 >10 years	☐ 沒有 Nil ☐ 股票 Stocks ☐ 衍生權證/牛熊證 Warrants/CBBC ☐ 期貨/期權 Futures/Options ☐ 外匯/黃金 Forex/Bullion ☐ 債券/基金 Bonds/Funds ☐ 其他 Others: ______________	☐ 資本增值 Capital Appreciation ☐ 股息回報 Dividend Yield ☐ 對沖 Hedging ☐ 投機 Speculation ☐ 其他 Others: ____________	☐ <HK$200,000 ☐ HK$200,000 – HK$1M ☐ HK$1M – HK$3M ☐ HK$3M – HK$10M ☐ >HK$10M

本人對衍生產品的認識如下 My knowledge of derivative products are as follows:

☐ 本人並未有衍生產品之認識
I do not have any knowledge of derivative product

☐ 本人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（例如學術機構或金融機構所提供之課程）
I underwent training or attended courses on derivative products that provide general knowledge of the nature and risks of derivatives (e.g. courses offered by academic or financial institutions)

☐ 本人擁有與衍生產品有關之工作經驗
I have work experience related to derivative products

☐ 本人有相關之交易經驗，即本人於過去三年曾執行過五次或以上有關衍生產品之交易
I have relevant trading experience i.e. I have executed five or more transactions in derivative products within the past three years

7. 身份聲明 Identity Declaration

閣下是否將會從交易取得商業或經濟利益及/或承擔其商業或經濟風險之帳戶最終實益擁有人? Are you the ultimate beneficial owner(s) of the Account(s) who stands to gain the commercial or economic benefit of the transaction(s) and/or bear its commercial or economic risk?

☐ 是， Yes ☐ 否， No 最終實益擁有人全名 the full name of the beneficial owner(s) is ______________________
身份證/護照號碼及簽發國家 ID/Passport No. and country of issue ______________________
地址 Address: ______________________

閣下是否為《證券及期貨條例》之下持牌/註冊的中介人的董事、僱員或代表?
Are you a director, an employee or a representative of an intermediary licensed/registered under the Securities and Futures Ordinance?

☐ 否， No ☐ 是*， Yes* 請列出中介人名稱 Please specify the name of the intermediary ______________________
*請附上閣下僱主之開戶同意書 *Please attach a consent letter of account opening from your employer

閣下是否與佳兆業金融集團有限公司之任何董事、職員或代表有親屬關係?
Are you a relative of any director, employee or representative of Kaisa Financial Group Company Limited?

☐ 否， No ☐ 是， Yes 請述明姓名及關係 Please specify Name & Relationship ______________________

您或您的直系親屬是否政治人物或與其有關連之人士、高級政府官員或國有企業高級行政人員? Are you or your immediate family members politically exposed person ("PEP"), a person connected with PEP, senior government official or senior executive of a state-owned corporation?

☐ 否， No ☐ 是， Yes 請述明姓名及關係 Please specify Name & Relationship ______________________

8. 關連保證金帳戶資料 Related Margin Account(s) Information *(保證金帳戶適用 For Margin Accounts Only)

閣下的配偶是否佳兆業金融集團有限公司的保證金客戶？Is your spouse a margin client of Kaisa Financial Group Company Limited ("KFGCL")?

☐ 否， No ☐ 是， Yes 其帳戶號碼為 whose Account No.: ______________ 帳戶名稱 Account Name: ______________

閣下是否單獨或與閣下的配偶共同控制任何佳兆業金融集團有限公司保證金帳戶 35%或以上投票權?
Are you, either alone or with your spouse, in control of 35% or more of the voting rights of any corporate margin account of KFGCL?

☐ 否， No ☐ 是， Yes 其帳戶號碼為 whose Account No.: ______________ 帳戶名稱 Account Name: ______________

9. 稅務居民資料 Tax Residency

重要提示 Important Notes

- 這是由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，稅務局會將資料轉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分有所改變，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.

居留司法管轄區及稅務編號或具有等同功能的識辨編號 (以下簡稱「稅務編號」)
Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN")

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

(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
the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and

(b) 該居留司法管轄區發給帳戶持有人的稅務編號。列出所有居留司法管轄區。
the account holder's TIN for each jurisdiction indicated. Indicate all 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。
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，必須填寫合適的理由：
If a TIN is unavailable, provide the appropriate reason A, B or C:

\# 理由 A - 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，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. 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， 填寫理由 A、B 或 C # Enter Reason A, B or C if no TIN is available	如選取理由 B， 解釋帳戶持有人不能取得稅務編號的原因 Explain why the account holder is unable to obtain a TIN if you have selected Reason B

聲明及簽署 Declarations and Signature

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 the 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 account(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，本人會通知佳兆業金融集團有限公司並會在情況發生改變後 30 日內，向佳兆業金融集團有限公司提交一份已適當更新的自我證明表格。

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

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, correct and complete.

帳戶持有人簽署 Account Holder's Signature	日期 Date:
X	

*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。

*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).

10. 聲明及確認 Declarations & Acknowledgements

本人/我們聲明、承認、確認並同意：
I/We declare, acknowledge, confirm and agree that:

1. 本開戶申請表所載的數據和陳述乃真實、完整及正確，除非佳兆業金融集團有限公司接獲我們發出關於任何變更的書面通知，否則佳兆業金融集團有限公司有權就一切目的全面信賴該等數據及陳述。佳兆業金融集團有限公司獲授權隨時聯絡任何人士，包括銀行或任何信用調查機構，以查核此開戶申請表所提供之數據。
   The information and representations contained in this Account Opening Form are true, complete and correct, and that . Kaisa Financial Group Company Limited is entitled to rely fully on such information and representations for all purposes, unless and until . Kaisa Financial Group Company Limited receives notice in writing from us of any change. Kaisa Financial Group Company Limited is authorized at any time to contact anyone, including banks, or any credit agency, for purposes of verifying the information provided on this Account Opening Form.

2. 佳兆業金融集團有限公司提供的帳戶及投資管理服務，均須受本開戶申請表並受佳兆業金融集團有限公司不時修訂的客戶協議的條款及細則（合稱「協議書」）所約束。本人 / 我們確認本人 / 我們已閱讀和明白協議書，並同意受協議書目前所列的條款及條件所約束。除非上下文另有規定，否則客戶協議所使用和定義的詞語在用於本開戶申請表時具有相同意義。
   The Account(s) and the provision of investment advisory service by Kaisa Financial Group Company Limited are subject to this Account Opening Form and the Terms and Conditions of the Client Agreement as amended by Kaisa Financial Group Company Limited from time to time (together the “Agreement”). I/We confirm that I/we have read and understood the Agreement and agree to be bound by, the terms and conditions as currently set forth in the Agreement. Unless the context requires otherwise, terms and expressions used and defined in the Client Agreement shall have the same meaning when used herein.

3. 本人 / 我們在協議書的期限內不會對帳戶的整體或任何部分設置任何押記、質押或產權負擔。
   I/We will not create any charge, pledge or encumbrance over the whole or any part of the Account(s) during the term of the Agreement.

4. 本人 / 我們已收到一份按本人 / 我們選擇的語言（英文或中文）的客戶協議及風險披露聲明，且本人 / 我們確認已閱讀及完全明白客戶協議以及風險披露聲明，並獲邀請提出問題及諮詢獨立意見（如本人 / 我們有此意願）。
   I/We have received a copy of the Client Agreement and the Risk Disclosure Statements in the language of my/our choice (English or Chinese), and I/we confirm that I/We have read and fully understood the Client Agreement and the Risk Disclosure Statements and have been invited to ask questions and take independent advice if I/we wish.

5. 本人 / 我們已仔細考慮風險披露聲明，而且瞭解進行投資產品買賣所涉及之高風險。本人 / 我們已考慮到本人 / 我們的財務狀況和投資目標，並確認本人 / 我們之財政能承擔該交易帶來之風險和承受其帶來之任何損失，亦自願確認投資產品買賣是一項對本人 / 我們合適的買賣方式。
   I/We have carefully considered the Risk Disclosure Statements and recognize that trading in investment products involves a high degree of risk. I have considered my/our financial position and investment objectives, I/we confirm that I/we am/are financially able to assume such risks and to sustain any losses resulting from such trading and voluntarily confirm that trading in investment products is a suitable trading vehicle for me/ us.

6. 倘若帳戶為聯名帳戶，我們聲明和確認每名簽署這份開戶申請表的客戶（各稱為「聯名擁有人」）可就帳戶作出指示並與佳兆業金融集團有限公司進行交易，無須通知其他聯名擁有人，猶如彼為帳戶的唯一擁有人。
   Where the Account is a joint account, we declare and confirm that each Person signing this Account Opening Form (each a “**joint owner**”) may give Instructions, in respect of the Account and to deal with Kaisa Financial Group Company Limited as if each Client alone was the sole owner of the Account without notice to the other joint owner(s).

7. 本人 / 我們知悉及確認本人 / 我們必須(i) 遵守因本人 / 我們簽訂協議書及根據該協議書進行的任何交易而可能產生的任何稅務後果；及(ii) 遵從不時有效的所有適用法律和規例，包括根據本人 / 我們居住的或居籍所在的或身為其公民的司法管轄區的法律之下與購買、持有及沽售證券或有關合約的資產相關的任何法律規定及外匯限制或管制規定。
   I/We acknowledge and confirm that I/we must (i) observe any possible tax consequences arising from my/our entering into the Agreement and any transactions entered pursuant thereto; and (ii) comply with all applicable laws and regulations in force from time to time including any legal requirements and foreign exchange restrictions or exchange control requirements which are relevant to the purchase, holding or disposal of securities or assets underlying the contract under the laws of the jurisdiction in which I/we reside, am/are domiciled or am/are a citizen.

8. 本人 / 我們確認佳兆業金融集團有限公司並不提供投資、稅務或法律意見或建議。
   I / We acknowledge that Kaisa Financial Group Company Limited does not provide investment, tax or legal advice or recommendations.

9. **常設授權 Standing Authority** ***(常設授權只為申請保證金帳戶用 For clients applying for Securities (Margin) Account only)**

   i. 本人/我們同意並授權佳兆業金融集團有限公司及其有聯繫實體(按《證券及期貨條例》附表 1 第 1 部之有關定義)可於佳兆業金融集團有限公司接受本人/我簽署本開戶書當天開始直至及包括隨後十一個月份的最後一天的期間內，以下列一種或多於一種方式處理不時由佳兆業金融集團有限公司或其任何有聯繫實體代本人/我們購入或持有的證券及證券抵押品，毋須進一步通知本人/我們或得到本人/我們的同意：
      I/We hereby authorize Kaisa Financial Group Company Limited and each associated entity (as defined in Part 1 of Schedule 1 to the Securities and Futures Ordinance) of Kaisa Financial Group Company Limited for a period commencing from the date of me/us signing this Account Opening Form up to and including the last day of the eleventh (11th) month next after the date hereof to deal with my/our securities and securities collateral from time to time purchased or held by Kaisa Financial Group Company Limited or any associated entity on my/our behalf in one or more of the following ways without further notice to or consent from me/us:

      - 依據證券借貨協議運用任何有關證券或證券抵押品；
        to apply any of my/our securities or securities collateral to a securities borrowing and lending agreement;
      - 將任何有關證券抵押品存放於認可財務機構，作為提供予佳兆業金融集團有限公司的財務通融抵押品；
        to deposit any of the securities collateral with an authorized financial institution as collateral for financial accommodation provided to Kaisa Financial Group Company Limited;
      - 將任何有關證券抵押品存放於獲香港證券及期貨事務監察委員會認可的結算所或另一獲發牌或獲註冊進行證券交易的仲介人，作為解除佳兆業金融集團有限公司在交收上的義務和清償佳兆業金融集團有限公司在交收上的法律責任的抵押品。

to deposit any of the securities collateral with any clearing house recognized under the Securities and Futures Ordinance or another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of Kaisa Financial Group Company Limited's settlement obligations and liabilities.

ii. 本人/我們獲悉及確認佳兆業金融集團有限公司將客戶的證券及抵押品轉按的做法。
I/We hereby acknowledge, and confirm having been informed by Kaisa Financial Group Company Limited, that Kaisa Financial Group Company Limited has the practice of repledging clients' securities and securities collateral.

iii. 本常設授權並不涵蓋佳兆業金融集團有限公司借入、貸出或存放本人/我們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/我們與佳兆業金融集團有限公司另行簽約訂明。
This standing authority does not cover any consideration, which must be set in a separate agreement between me/us and Kaisa Financial Group Company Limited.

iv. 本人/我們的證券可能受制於第三者之權利，佳兆業金融集團有限公司必須於抵償該等權利後，方將本人/我們的證券交還本人/我們。
I/We understand that a third party may have rights to my/our securities, which Kaisa Financial Group Company Limited must satisfy before my/our securities can be returned to me/us.

v. 本常設授權以本開戶書簽署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/我們以書面同意續期；若佳兆業金融集團有限公司於該授權有效屆滿前不少於十四日向本人/我們發出書面通知，而本人/我們於該授權有效期屆滿前末有提出反對續期。本人/我們有權隨時以三十天書面通知佳兆業金融集團有限公司;撤銷此常設授權書。
This standing authority is valid for a period of up to 12 months from the date of me/us signing this Account Opening Form and may be renewed for subsequent periods of not exceeding 12 months if I/we am/are given a written notice from Kaisa Financial Group Company Limited at least 14 days prior to the expiry of such authority and I/we do not object to the renewal of such authority before its expiry. This standing authority may be revoked at any time on giving 30 days' prior written notice to Kaisa Financial Group Company Limited.

vi. 本人/我們明白現時無任何法例規定本人/我們必須簽署此授權書；然而，佳兆業金融集團有限公司可能需要此授權書，以便例如向本人/我們提供保證金貸款，或獲許將有關本人/我們的證券或證券抵押品供出予第三方或作為抵押品存放於第三方，該第三方將對本人/我們的證券或證券抵押品具有留置權或作出押記。雖然佳兆業金融集團有限公司根據本人/我們的授權而借出或存放屬於本人/我們的證券或抵押品須對我本人/我們負責，但佳兆業金融集團有限公司的失責行為可能導致本人/我們損失本人/我們的證券或抵押品。本人/我們同意並確認佳兆業金融集團有限公司及其有聯繫實體有權收取及保留任何由於處置本人/我們的證券或證券抵押品所產生的任何報酬、收入、回佣或其他利益而無須向本人/我們負責。
I/We understand that I/we am/are not required by any law to sign this authority but it may be required by Kaisa Financial Group Company Limited, for example, to facilitate margin lending to me/us or to allow my/our securities or securities collateral to be lent to or deposited as collateral with third parties. I/We also understand that if I/we sign this authority and my/our securities or securities collateral are lent to or deposited with third parties, Kaisa Financial Group Company Limited shall remain responsible to me/us for securities or securities collateral lent or deposited under my/our authority, a default by Kaisa Financial Group Company Limited could result in the loss of my/our securities or securities collateral. I/We agree and confirm that Kaisa Financial Group Company Limited and its associated entities shall be entitled to receive and retain for their own benefit and not be accountable to me/us for any remuneration, income, rebates or other benefits resulting from any dealing with my/our securities or securities collateral.

☐ 本人/我們同意本人/我們的個人資料被用作貴公司之通告中所指的服務，及/或轉移至佳兆業金融集團有限公司，及/或它的任何集團公司用於享受集團關聯公司的客戶禮遇、盡職調查或數據統計。
I/We agree to the use of my personal data for the service specified in your company's notice and/or transfer of my personal data to Kaisa Financial Group Company Limited and their group companies for acquiring the related customer rewards, due diligence or data analysis.

11. 客戶簽署 Client Signature

客戶簽署 Signed by Client	客戶簽署 Signed by Client (聯名帳戶 Joint A/C)
客戶名稱 Client Name	客戶名稱 Client Name
日期 Date:	日期 Date:

見證人
in the presence of:

______________________________ 所屬專業及職銜 Profession and Title: ______________________
見證人簽署 Signature of Witness

姓名
Name: ______________________________ 日期 Date: ______________________________

12. 職員聲明 Declaration by Staff

本人，以持牌代表人身份，確認本人已按照上述客戶所選擇的語言提供風險披露聲明之副本及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, a licensed person, declare that I have provided the above client with a copy of the Risk Disclosure Statement in a language of the clients' choice and invited the client to read the Risk Disclosure Statement, ask questions and take independent advice if the client so wishes.
#以上客戶簽署乃於本人面前簽立。The above client signature(s) was/were made in my presence.

職員簽署 Signed by Staff	日期 Date: ______________________
職員姓名 Name of Staff	中央編號 CE Number:

個人/聯名帳戶簽名樣式 Individual / Joint Account Specimen Signature

帳户號碼 Account Number	
授權簽名及印鑑 Authorized Signature and Stamp	授權簽名及印鑑 Authorized Signature and Stamp *(聯名帳戶適用 For Joint A/C only)*
客戶名稱 Client Name	客戶名稱 Client Name
聯名帳戶適用 For Joint A/C only	☐ 所有帳戶書面指示須由兩位帳戶持有人同時簽署 All written instruction of the account should be jointly signed by both account holders
備註 Remarks	日期 Date:

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核對清單 Check List	AE Name:		AE Code:
☐ 客戶年滿 18 歲 ☐ 身份證/護照副本 ☐ 最近三個月內附客戶姓名之住址證明 ☐ W-8BEN / W-9 表格 (如適用) ☐ 核實簽署之支票 (如適用) ☐ 見證人之身份證明及專業資格證明文件（如適用） ☐ 重覆帳戶/黑名單帳戶 ☐ DOW JONES Checker: ______________ Date: ______________	佣金收費		
	港股 HK$	滬深 A 股 CNY$	環球證券 US$
	普通 %; Min $	普通 %; Min $	普通 %; Min $
	網上 %; Min $	網上 %; Min $	網上 %; Min $
	Rebate To:	Rebate %	
	Trading Limit:	Interest Rate: P + %	
	Loan Limit:		

Settlement Instruction		
☐ Mail 郵寄	☐ 電郵 Email	☐ 傳真 Fax
客戶交收方法	☐ 收取支票	☐ 續存户口

開戶審批 Approval of Account Opening		
Input by:	Checked by:	Approved by:
Name: Division: Date:	Name: Division: Date:	Name: Division: Date: