

**Individual / Joint Account Application Form**

**個人/聯名帳戶開戶申請表**

<b>(For office use only 本欄只供“內部”使用)</b>			
Account Opening Date: _____ 開立帳戶日期	Branch 分行 <input type="checkbox"/> Wan Chai 灣仔		
Account no.: _____ 帳戶號碼	Branch code 分行編號: _____		
Name of Account Executive: 客戶主任姓名:	Account Executive Code: 客戶主任編號:		
Known to Account Executive for How Long: 與客戶主任認識多久:	Introduced By: 推薦人:		
<b>Account Information 帳戶資料/類別</b>			
<input type="checkbox"/> Individual Cash Securities Account 個人現金證券帳戶	<input type="checkbox"/> Joint Cash Securities Account 聯名現金證券帳戶		
<input type="checkbox"/> Individual Margin Securities Account 個人孖展證券帳戶	<input type="checkbox"/> Joint Margin Securities Account 聯名孖展證券帳戶		
<b>Service Information 服務類別</b>			
<input type="checkbox"/> China Connect Trading Service 中華通交易服務			
Would you like to use our Electronic Services? 閣下是否會使用我們提供的電子服務?			
<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否			
If yes, please select the preferred way of password delivery 如果是, 請選擇密碼寄發方式:			
<input type="checkbox"/> Email to the email account specified in Section 1 電郵至第一節指定的電郵帳戶			
<b>1. Personal Information: Account Holder 1</b>		<b>Personal Information: Account Holder 2</b>	
個人資料: 第一帳戶持有人		個人資料: 第二帳戶持有人	
<input type="checkbox"/> Mr 先生 <input type="checkbox"/> Mrs 太太 <input type="checkbox"/> Miss 小姐 <input type="checkbox"/> Ms 女士		<input type="checkbox"/> Mr 先生 <input type="checkbox"/> Mrs 太太 <input type="checkbox"/> Miss 小姐 <input type="checkbox"/> Ms 女士	
Chinese Name 中文姓名		Chinese Name 中文姓名	
English Name 英文姓名		English Name 英文姓名	
Surname 姓	Given Name 名	Surname 姓	Given Name 名
Hong Kong Identity Card No./Passport No./Other documents (specify) No.: 香港身份證號碼/護照號碼/其他證件(請註明)號碼:		Hong Kong Identity Card No./Passport No./Other documents (specify) No.: 香港身份證號碼/護照號碼/其他證件(請註明)號碼:	
Place of Issue: 簽發地點:		Place of Issue: 簽發地點:	
Place of Birth	Date of Birth (yyyy/mm/dd)	Place of Birth	Date of Birth (yyyy/mm/dd)

出生地	出生日期(年/月/日)	出生地	出生日期(年/月/日)
Nationality/Citizenship 國籍/居民身份		Nationality/Citizenship 國籍/居民身份	
Home Telephone No. 住宅電話號碼	Mobile Phone No. 手提電話號碼	Home Telephone No. 住宅電話號碼	Mobile Phone No. 手提電話號碼
Residential Address (P.O. Box not accepted) 住宅地址 (不接受郵政信箱)		Residential Address (P.O. Box not accepted) 住宅地址 (不接受郵政信箱)	
City/Country 城市/國家		City/Country 城市/國家	
Postal Code 郵政編號		Postal Code 郵政編號	
Permanent Address (if different from above) 永久居住地址 (如與上址不同)		Permanent Address (if different from above) 永久居住地址 (如與上址不同)	
City/Country 城市/國家		City/Country 城市/國家	
Postal Code 郵政編號		Postal Code 郵政編號	
Correspondence Address (if different from above) 通訊地址 (如與上址不同)		Correspondence Address (if different from above) 通訊地址 (如與上址不同)	
City/Country 城市/國家		City/Country 城市/國家	
Postal Code 郵政編號		Postal Code 郵政編號	
<b>Nature of Occupancy 住宅性質</b> <input type="checkbox"/> Owned (No Mortgage) 自住 (無抵押) <input type="checkbox"/> With Parents 與父母同住 <input type="checkbox"/> Relative's 屬於親戚 <input type="checkbox"/> Mortgaged/Monthly Installment HKD 按揭 / 按月分期付款 HKD _____ <input type="checkbox"/> Rented/Monthly Rental HKD 租賃 / 月租 HKD _____ <input type="checkbox"/> Quarters 宿舍 <input type="checkbox"/> Others, Please specify 其他, 請說明: _____		<b>Nature of Occupancy 住宅性質</b> <input type="checkbox"/> Owned (No Mortgage) 自住 (無抵押) <input type="checkbox"/> With Parents 與父母同住 <input type="checkbox"/> Relative's 屬於親戚 <input type="checkbox"/> Mortgaged/Monthly Installment HKD 按揭 / 按月分期付款 HKD _____ <input type="checkbox"/> Rented/Monthly Rental HKD 租賃 / 月租 HKD _____ <input type="checkbox"/> Quarters 宿舍 <input type="checkbox"/> Others, Please specify 其他, 請說明: _____	
Email Address 電郵地址		Email Address 電郵地址	
<b>Initial source of Wealth 最初財富來源</b> <input type="checkbox"/> Salary 工資 <input type="checkbox"/> Profit from Business 業務利潤 <input type="checkbox"/> Capital Gain from Investment 投資獲取的資本		<b>Initial source of Wealth 最初財富來源</b> <input type="checkbox"/> Salary 工資 <input type="checkbox"/> Profit from Business 業務利潤 <input type="checkbox"/> Capital Gain from Investment 投資獲取的資本	

<ul style="list-style-type: none"> <li><input type="checkbox"/> Stock 股票</li> <li><input type="checkbox"/> Sale and Purchase of Property 樓宇買賣</li> <li><input type="checkbox"/> Others 其他</li> </ul> <p><input type="checkbox"/> Rent 租金</p> <p><input type="checkbox"/> Pension 退休金</p> <p><input type="checkbox"/> Provided by Family Member 家庭成員提供 Relationship with the Family Member 與家庭成員關係: _____ Industry &amp; Occupation/Title 行業及職業/職銜: _____</p> <p><input type="checkbox"/> Others, please specify 其他, 請說明: _____</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Stock 股票</li> <li><input type="checkbox"/> Sale and Purchase of Property 樓宇買賣</li> <li><input type="checkbox"/> Others 其他</li> </ul> <p><input type="checkbox"/> Rent 租金</p> <p><input type="checkbox"/> Pension 退休金</p> <p><input type="checkbox"/> Provided by Family Member 家庭成員提供 Relationship with the Family Member 與家庭成員關係: _____ Industry &amp; Occupation/Title 行業及職業/職銜: _____</p> <p><input type="checkbox"/> Others, please specify 其他, 請說明: _____</p>
<p>Ongoing source of Wealth 持續財富來源(if different from Initial Source of Wealth 如與最初財富來源不同)</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Salary 工資</li> <li><input type="checkbox"/> Profit from Business 業務利潤</li> <li><input type="checkbox"/> Capital Gain from Investment 投資獲取的資本           <ul style="list-style-type: none"> <li><input type="checkbox"/> Stock 股票</li> <li><input type="checkbox"/> Sale and Purchase of Property 樓宇買賣</li> <li><input type="checkbox"/> Others 其他</li> </ul> </li> </ul> <p><input type="checkbox"/> Rent 租金</p> <p><input type="checkbox"/> Pension 退休金</p> <p><input type="checkbox"/> Provided by Family Member 家庭成員提供 Relationship with the Family Member 與家庭成員關係: _____ Industry &amp; Occupation/Title 行業及職業/職銜: _____</p> <p><input type="checkbox"/> Others, please specify 其他, 請說明: _____</p>	<p>Ongoing source of Wealth 持續財富來源(if different from Initial Source of Wealth 如與最初財富來源不同)</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Salary 工資</li> <li><input type="checkbox"/> Profit from Business 業務利潤</li> <li><input type="checkbox"/> Capital Gain from Investment 投資獲取的資本           <ul style="list-style-type: none"> <li><input type="checkbox"/> Stock 股票</li> <li><input type="checkbox"/> Sale and Purchase of Property 樓宇買賣</li> <li><input type="checkbox"/> Others 其他</li> </ul> </li> </ul> <p><input type="checkbox"/> Rent 租金</p> <p><input type="checkbox"/> Pension 退休金</p> <p><input type="checkbox"/> Provided by Family Member 家庭成員提供 Relationship with the Family Member 與家庭成員關係: _____ Industry &amp; Occupation/Title 行業及職業/職銜: _____</p> <p><input type="checkbox"/> Others, please specify 其他, 請說明: _____</p>
<p>Expected Source of Funds 預期資金來源(if different from Initial Source of Wealth 如與最初財富來源不同)</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Salary 工資</li> <li><input type="checkbox"/> Profit from Business 業務利潤</li> <li><input type="checkbox"/> Capital Gain from Investment 投資獲取的資本           <ul style="list-style-type: none"> <li><input type="checkbox"/> Stock 股票</li> <li><input type="checkbox"/> Sale and Purchase of Property 樓宇買賣</li> <li><input type="checkbox"/> Others 其他</li> </ul> </li> </ul> <p><input type="checkbox"/> Rent 租金</p> <p><input type="checkbox"/> Pension 退休金</p> <p><input type="checkbox"/> Others, please specify 其他, 請說明: _____</p>	<p>Expected Source of Wealth 預期資金來源(if different from Initial Source of Wealth 如與最初財富來源不同)</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Salary 工資</li> <li><input type="checkbox"/> Profit from Business 業務利潤</li> <li><input type="checkbox"/> Capital Gain from Investment 投資獲取的資本           <ul style="list-style-type: none"> <li><input type="checkbox"/> Stock 股票</li> <li><input type="checkbox"/> Sale and Purchase of Property 樓宇買賣</li> <li><input type="checkbox"/> Others 其他</li> </ul> </li> </ul> <p><input type="checkbox"/> Rent 租金</p> <p><input type="checkbox"/> Pension 退休金</p> <p><input type="checkbox"/> Others, please specify 其他, 請說明: _____</p>
<p>Country in which the Account Holder(s) Attained Initial Source of Wealth 最初財富來源地:</p> <p><input type="checkbox"/> HK 香港/ <input type="checkbox"/> PRC 中國大陸/ <input type="checkbox"/> Others, please specify 其他, 請列明: _____</p>	<p>Country in which the Account Holder(s) Attained Initial Source of Wealth 最初財富來源地:</p> <p><input type="checkbox"/> HK 香港/ <input type="checkbox"/> PRC 中國大陸/ <input type="checkbox"/> Others, please specify 其他, 請列明: _____</p>

<p>Country in which the Account Holder(s) Attained Ongoing Source of Wealth 持續財富來源地(if different from Initial Source of Wealth 如與最初財富來源地不同):</p> <p><input type="checkbox"/> HK 香港/ <input type="checkbox"/> PRC 中國大陸/ <input type="checkbox"/> Others, please specify 其他,請列明: _____</p>	<p>Country in which the Account Holder(s) Attained Ongoing Source of Wealth 持續財富來源地 (if different from Initial Source of Wealth 如與最初財富來源地不同):</p> <p><input type="checkbox"/> HK 香港/ <input type="checkbox"/> PRC 中國大陸/ <input type="checkbox"/> Others, please specify 其他,請列明: _____</p>
<p>Country in which the Account Holder(s) Expected its Source of Funds 預期資金來源地(if different from Initial Source of Wealth 如與最初財富來源地不同):</p> <p><input type="checkbox"/> HK 香港/ <input type="checkbox"/> PRC 中國大陸/ <input type="checkbox"/> Others, please specify 其他,請列明: _____</p>	<p>Country in which the Account Holder(s) Expected its Source of Funds 預期資金來源地(if different from Initial Source of Wealth 如與最初財富來源地不同):</p> <p><input type="checkbox"/> HK 香港/ <input type="checkbox"/> PRC 中國大陸/ <input type="checkbox"/> Others, please specify 其他,請列明: _____</p>
<p>Annual Income (HK\$): 全年收入 (港元):</p> <p><input type="checkbox"/> Under HKD\$250,000 250,000 港元以下</p> <p><input type="checkbox"/> \$250,001 – \$500,000 250,001 港元 – 500,000 港元</p> <p><input type="checkbox"/> \$500,001 – \$1,000,000 500,001 港元 – 1,000,000 港元</p> <p><input type="checkbox"/> Above HK\$1,000,000 1,000,000 港元以上</p>	<p>Annual Income (HK\$): 全年收入 (港元):</p> <p><input type="checkbox"/> Under HKD\$250,000 250,000 港元以下</p> <p><input type="checkbox"/> \$250,001 – \$500,000 250,001 港元 – 500,000 港元</p> <p><input type="checkbox"/> \$500,001 – \$1,000,000 500,001 港元 – 1,000,000 港元</p> <p><input type="checkbox"/> Above HK\$1,000,000 1,000,000 港元以上</p>
<p>Net Worth (HK\$): 淨資產 (港元):</p> <p><input type="checkbox"/> Under HKD\$500,000 500,000 港元以下</p> <p><input type="checkbox"/> \$500,001 – \$2,500,000 500,001 港元 – 2,500,000 港元</p> <p><input type="checkbox"/> \$2,500,001 – \$5,000,000 2,500,001 港元 – 5,000,000 港元</p> <p><input type="checkbox"/> Above HK\$5,000,000 5,000,000 港元以上</p>	<p>Net Worth (HK\$): 淨資產 (港元):</p> <p><input type="checkbox"/> Under HKD\$500,000 500,000 港元以下</p> <p><input type="checkbox"/> \$500,001 – \$2,500,000 500,001 港元 – 2,500,000 港元</p> <p><input type="checkbox"/> \$2,500,001 – \$5,000,000 2,500,001 港元 – 5,000,000 港元</p> <p><input type="checkbox"/> Above HK\$5,000,000 5,000,000 港元以上</p>
<p>Liquid Assets (HK\$): 流動資產 (港元):</p> <p><input type="checkbox"/> Under HKD\$500,000 500,000 港元以下</p> <p><input type="checkbox"/> \$500,001 – \$2,500,000 500,001 港元 – 2,500,000 港元</p> <p><input type="checkbox"/> \$2,500,001 – \$5,000,000 2,500,001 港元 – 5,000,000 港元</p> <p><input type="checkbox"/> Above HK\$5,000,000 5,000,000 港元以上</p>	<p>Liquid Assets (HK\$): 流動資產 (港元):</p> <p><input type="checkbox"/> Under HKD\$500,000 500,000 港元以下</p> <p><input type="checkbox"/> \$500,001 – \$2,500,000 500,001 港元 – 2,500,000 港元</p> <p><input type="checkbox"/> \$2,500,001 – \$5,000,000 2,500,001 港元 – 5,000,000 港元</p> <p><input type="checkbox"/> Above HK\$5,000,000 5,000,000 港元以上</p>
<p>Are you an existing Client of XinKong? 閣下是否信控國際證券的現有客戶?</p> <p><input type="checkbox"/> Yes 是 (AC No. 客戶編號: _____)</p> <p><input type="checkbox"/> No 否</p>	<p>Are you an existing Client of XinKong? 閣下是否信控國際證券的現有客戶?</p> <p><input type="checkbox"/> Yes 是 (AC No. 客戶編號: _____)</p> <p><input type="checkbox"/> No 否</p>

What is your current employment status? 閣下目前的就業情況? <input type="checkbox"/> Full-time Employed 全職 <input type="checkbox"/> Part-time Employed 兼職 <input type="checkbox"/> Self-Employed 自僱 <input type="checkbox"/> Retired (please skip Section 2 below) 退休 (下列第 2 節不適用) <input type="checkbox"/> Unemployed (please skip Section 2 below) 待業 (下列第 2 節不適用) <input type="checkbox"/> Others (please specify) 其他 (請說明): <hr/>	What is your current employment status? 閣下目前的就業情況? <input type="checkbox"/> Full-time Employed 全職 <input type="checkbox"/> Part-time Employed 兼職 <input type="checkbox"/> Self-Employed 自僱 <input type="checkbox"/> Retired (please skip Section 2 below) 退休 (下列第 2 節不適用) <input type="checkbox"/> Unemployed (please skip Section 2 below) 待業 (下列第 2 節不適用) <input type="checkbox"/> Others (please specify) 其他 (請說明): <hr/>
Education Level 教育程度 <input type="checkbox"/> Primary School or below 小學或以下 <input type="checkbox"/> Secondary School 中學 <input type="checkbox"/> University or above 大學或以上	Education Level 教育程度 <input type="checkbox"/> Primary School or below 小學或以下 <input type="checkbox"/> Secondary School 中學 <input type="checkbox"/> University or above 大學或以上
2. Employment: Account Holder 1 (for an employed person only) 職業：第一帳戶持有人 (只適用於受僱人士)	Employment: Account Holder 2 (for an employed person only) 職業：第二帳戶持有人 (只適用於受僱人士)
Occupation/Title 職業/職銜	Occupation/Title 職業／職銜
Years of Service 服務年期	Years of Service 服務年期
Nature of Employer's Business 業務性質	Nature of Employer's Business 業務性質
Name of Employer 僱主名稱	Name of Employer 僱主名稱
Address of Employer (P.O. Box not accepted) 僱主地址 (不接受郵政信箱)	Address of Employer (P.O. Box not accepted) 僱主地址 (不接受郵政信箱)
City/Country 城市/國家	City/Country 城市/國家
Postal Code 郵政編號	Postal Code 郵政編號
Office Telephone No. 辦事處電話號碼	Office Telephone No. 辦事處電話號碼

### 3. Investment Background 投資背景

#### Investment Experience (can choose more than one) 投資經驗 (可選多於一項)

<input type="checkbox"/> Stocks 股票 _____ years 年	<input type="checkbox"/> Unit Trusts/Bonds 單位信託基金/債券 _____ years 年
<input type="checkbox"/> Funds 基金 _____ years 年	<input type="checkbox"/> Futures/Options 期貨/期權 _____ years 年
<input type="checkbox"/> FX/Bullion 外幣/黃金 _____ years 年	<input type="checkbox"/> CBBC/ Warrants 牛熊證/窩輪 _____ years 年
<input type="checkbox"/> Structured Product 結構性產品 _____ years 年	<input type="checkbox"/> Leveraged and Inverse Product 橋桿及反向產品 _____ years 年
<input type="checkbox"/> Other(s) 其他 _____ years 年	<input type="checkbox"/> Leveraged Foreign Exchange 橋桿式外匯 _____ years 年
<input type="checkbox"/> None 沒有	

#### Investment Objectives 投資目標

Capital Growth 資本增值  Hedging 對沖  Return 賺取收入  Speculation 投機

閣下欲於信控國際證券有限公司投資哪一類型產品(註: 此選擇類別應與信控國際證券有限公司的開戶文件或任何其他文件的選擇一致)From the following list of products offered by XinKong, please select the ones that you would like to invest in?

Equity 股票  
 Margin trading 穩展  
 futures 期貨  
 stock options 認股權證  
 Other investment products 其他投資產品(請列明: \_\_\_\_\_))

#### Monthly transaction Frequency 每月交易頻率

<input type="checkbox"/> 0-5 次	<input type="checkbox"/> 5-20 次	<input type="checkbox"/> 20 次以上
0-5times	5-20times	20times above

#### I intend to trade derivatives (if not, skip the questions below)

本人有意進行衍生品買賣 (如無意, 跳過以下問題)  Yes 是  No 否

#### Knowledge about Derivative and Structured Products 對衍生及結構性產品的認識

Please select the product(s) which you have knowledge of. 請選擇閣下認識的產品。

Futures and Options 期貨及期權  
 Callable Bull/Bear Contracts ("CBBCs") 牛熊證  
 Warrant 認股權證  
 Equity Linked Instruments ("ELIs") 股票掛鉤產品  
 Others, please specify 其他, 請說明: \_\_\_\_\_

For the products that you have knowledge of, please complete questions 1 to 4 below.

請閣下就認識的產品完成以下問題 1 至 問題 4。

1. You have undergone training or attended courses on 閣下曾接受或參加關於衍生及結構性產品的的培訓或課程	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 如是, 請說明 _____
2. You have current or previous working experience on 閣下現時或以往具有關於衍生及結構性產品的工作經驗	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 如是, 請說明 _____
3. Please set out the number of trades you conducted in the past 3 year(s) 閣下近 3 年內曾進行 5 次或以上關於衍生及結構性產品的的交易	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
4. I acknowledge that I have read and fully understood the risks involved in trading derivatives and CBBCs provided in ANNEXURE 1 of the Client Agreement. I/We are willing to accept the risks associated with trading derivatives and CBBCs. 我確認已仔細閱讀及完全明白業務條款附件一所述買賣衍生產品及牛熊證的風險。我願意承擔買賣衍生產品和牛熊證帶來的風險。	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否

You have undergone training or attended courses on 閣下曾接受或參加關於衍生及結構性產品的的培訓或課程

#### 4. Professional Investors 專業投資者 - Individual

Under paragraph (j) of part 1 of schedule 1 to the SFO and the Securities and Futures (Professional Investor) Rules (Cap 571D of the Laws of HONG KONG), an individual would qualify as a professional investor if he/she can provide the supporting documents set out below.

根據《證券及期貨條例》附表 1 第 1 部第 (j) 段及證券及期貨（專業投資者）規則（香港法例第 571D 章），倘相關人士能提供下列要求的證明文件，則相關人士會被視為「專業投資者」。

##### Individual Professional Investor 個人專業投資者

An individual investor, either alone or with his/her spouse or any child of his/hers child/children on a joint account, having a portfolio of at least HKD8 million (or its foreign currency equivalent) as at the relevant date.

在有關日期擁有至少 8,000,000 港元或其等值外幣的投資組合的個人投資者（無論單獨或與其配偶或子女擁有聯名帳戶）。

##### Supporting Documents 證明文件

- Certificate issued by an auditor or a certified public accountant within the previous 12 months; OR  
由核數師或註冊會計師於最近 12 個月內發出的證明；或
- One or more custodian statements issued to the Individual within the previous 12 months.  
個人於最近 12 個月內的一張或多張保管人結單。

I/We agree to be treated as a “professional investor” as described above and have given consent in the Individual Professional Investor Declaration Form. I/We shall provide XinKong with supporting documents to evidence my/our knowledge about investment, derivative and structures products as set out in questions 1 to 4 in Section 3 of this Account Application Form; and the supporting documents set out in this Section 4.

本人/吾等同意被視為上文所述的「專業投資者」及個人專業投資者聲明書內的內容。本人/吾等將向信控國際證券遞交證明文件以證明本人/吾等對載列於本開戶申請表第 3 節問題 1 至問題 4 有關投資、衍生和結構性產品的認識以及第 4 節載列的證明文件。

Notes:

Please also complete the Individual Professional Investor Declaration Form

請填寫個人專業投資者聲明書

#### 5. Disclosure of information 資料披露

	For Account Holder 1 帳戶持有人 1:	For Account Holder 2 帳戶持有人 2:
1. Are you staff, associates of staff, account executive or associates of account executive of XinKong? 閣下是否於信控國際證券工作的公司僱員、代理或公司僱員的、代理的聯繫人士	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (if you are an associate, then please state the name of the staff or account executive(s) at XinKong): <hr/>	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (if you are an associate, then please state the name of the staff or account executive(s) at XinKong): <hr/>
2. Are you the employee, agent or officer of an entity regulated by the SFC? (If yes, please provide your employer consent letter) 閣下是否受證監會監管的實體公司僱員、代理或負責人?(如是，請提供閣下僱主的同意書)	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes, the name of the related exchange participant or the intermediary is: 是，相關交易參與	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes, the name of the related exchange participant or the intermediary is: 是，相關交易參與

	者或中介人姓名: _____	者或中介人姓名: _____
3. Are any of your relatives an employee or agent of XinKong? 閣下是否有親屬為信控國際證券的僱員/代理?	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes, the name of the employee / agent is: 是, 僱員/代理的姓名:  _____	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes, the name of the employee / agent is: 是, 僱員/代理的姓名:  _____
4. Does your spouse maintain any account(s) with XinKong or the group in which it is a member? 閣下的配偶是否在信控國際證券或其所屬集團持有任何帳戶?	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes, account number is: 是, 戶口號碼是:  _____	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes, account number is: 是, 戶口號碼是:  _____
5. Are you a guarantor of other margin client(s) of XinKong or the group in which it is a member for their financial liabilities under any guarantee arrangement(s)? 閣下是否在任何擔保安排下為其他信控國際證券或其所屬集團的客戶的財務負債作為擔保人?	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes, account number is: 是, 戶口號碼是:  _____	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes, account number is: 是, 戶口號碼是:  _____
6. Do you have any financial liabilities under your margin securities account(s) which are subject to any guarantee arrangement(s) with other client(s) of XinKong or the group in which it is a member for their financial liabilities under any guarantee arrangement(s)? 閣下的孖展證券賬戶的財務負債是否由信控國際證券或其所屬集團其他客戶有任何擔保安排?	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes, account number of the guarantor is: 是, 擔保人的戶口號碼是:  _____	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes, account number of the guarantor is: 是, 擔保人的戶口號碼是:  _____
7. Are you a "connected client" (as defined under Appendix 6 to the Rules Governing the Listing of Securities of the Stock Exchange of Hong Kong Limited) of XinKong or the group in which it is a member? 閣下是否信控國際證券或其所屬集團的「關連客戶」(根據香港聯合交易所有限公司《證券上市規則》附錄六所定義)?	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes, the detail of the relationship is: 是, 關係詳情:  _____	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes, the detail of the relationship is: 是, 關係詳情:  _____
<p>「關連客戶」, 就交易所參與者而言, 指該名交易所參與者的任何客戶, 而該客戶是: (1) 該名交易所參與者的合夥人; (2) 該名交易所參與者的僱員; (3) 如該名交易所參與者為一家公司, (a) 為該名交易所參與者的主要股東的任何人士; 或(b) 該名交易所參與者的董事; (4) 上文(1)至(3)項所述任何個人的配偶或未成年子女或繼子女;</p>		

<p>(5) 在私人或家族信託（退休金計劃除外）中出任受託人職位的人士，而該等信託的受益人包括上文(1)至(4)項所述的任何人士；(6) 上文(1)至(4)項所述任何人士的近親，而其賬戶由該名交易所參與者依據一項全權管理投資組合協議管理；或(7) 該名交易所參與者所屬集團的成員公司。</p> <p><i>“Connected client” in relation to an Exchange Participant means any client of such member who is:— (1) a partner of such Exchange Participant; (2) an employee of such Exchange Participant; (3) where the Exchange Participant is a company, (a) any person who is a substantial shareholder of such Exchange Participant; or (b) a director of such Exchange Participant; (4) the spouse or infant child or step child of any individual described in (1) to (3) above; (5) a person in his capacity as trustee of a private or family trust (other than a pension scheme) the beneficiaries of which include any person in (1) to (4) above; (6) a close relative of any person in (1) to (4) above where his account is managed by such Exchange Participant in pursuance of a discretionary managed portfolio agreement; or (7) a company which is a member of the same group of companies as such Exchange Participant.</i></p>																	
<p>8. Are you the ultimate beneficial owner(s) of the Account?          閣下是否帳戶的最終實益擁有人?</p> <p><input type="checkbox"/> Yes 是  <input type="checkbox"/> No, the details of the ultimate beneficial owner(s) is/are          否，最終實益擁有人的詳情如下：</p>	<p>5. Are you the ultimate beneficial owner(s) of the Account?          閣下是否帳戶的最終實益擁有人?</p> <p><input type="checkbox"/> Yes 是  <input type="checkbox"/> No, the details of the ultimate beneficial owner(s) is/are          否，最終實益擁有人的詳情如下：</p>																
<table border="1" data-bbox="112 1327 806 1877"> <tr> <td>Name 姓名</td> <td></td> </tr> <tr> <td>Hong Kong Identity Card No./Passport No./Other documents (specify) No.: 香港身份證號碼 /護照號碼 / 其他證件（請註明）號碼：</td> <td></td> </tr> <tr> <td>Address 地址</td> <td></td> </tr> <tr> <td>Contact Number 聯繫電話</td> <td></td> </tr> </table>	Name 姓名		Hong Kong Identity Card No./Passport No./Other documents (specify) No.: 香港身份證號碼 /護照號碼 / 其他證件（請註明）號碼：		Address 地址		Contact Number 聯繫電話		<table border="1" data-bbox="806 1327 1511 1877"> <tr> <td>Name 姓名</td> <td></td> </tr> <tr> <td>Hong Kong Identity Card No./Passport No./Other documents (specify) No.: 香港身份證號碼 /護照號碼 / 其他證件（請註明）號碼：</td> <td></td> </tr> <tr> <td>Address 地址</td> <td></td> </tr> <tr> <td>Contact Number 聯繫電話</td> <td></td> </tr> </table>	Name 姓名		Hong Kong Identity Card No./Passport No./Other documents (specify) No.: 香港身份證號碼 /護照號碼 / 其他證件（請註明）號碼：		Address 地址		Contact Number 聯繫電話	
Name 姓名																	
Hong Kong Identity Card No./Passport No./Other documents (specify) No.: 香港身份證號碼 /護照號碼 / 其他證件（請註明）號碼：																	
Address 地址																	
Contact Number 聯繫電話																	
Name 姓名																	
Hong Kong Identity Card No./Passport No./Other documents (specify) No.: 香港身份證號碼 /護照號碼 / 其他證件（請註明）號碼：																	
Address 地址																	
Contact Number 聯繫電話																	

#### 6. Disclosure of Information for Margin Securities Account Holders only 適用於孖展證券戶口客戶的資料披露

For Account Holder 1 帳戶持有人 1:	For Account Holder 2 帳戶持有人 2:
Is your spouse a Margin Securities Account Holder of XinKong? 閣下的配偶是否信控國際證券的孖展證券戶口客戶? <input type="checkbox"/> Yes (Please provide details) 是 (請詳述) Spouse name 配偶姓名:  Margin Securities Account No. 孫展證券戶口號碼:  <input type="checkbox"/> No 否	Is your spouse a Margin Securities Account Holder of XinKong? 閣下的配偶是否信控國際證券的孖展證券戶口客戶? <input type="checkbox"/> Yes (Please provide details) 是 (請詳述) Spouse name 配偶姓名:  Margin Securities Account No. 孫展證券戶口號碼:  <input type="checkbox"/> No 否
Are you, either alone or with your spouse, in control of 35% or more of the voting rights of any corporate Margin Securities Account Holder of XinKong? 閣下是否個人或與閣下的配偶共同控制任何信控國際證券孖展證券帳戶的公司客戶 35% 或以上的投票權? <input type="checkbox"/> Yes (Please provide details) 是 (請詳述) Company Name 公司名稱:  Margin Securities Account No. 孫展證券戶口號碼:  <input type="checkbox"/> No 否	Are you, either alone or with your spouse, in control of 35% or more of the voting rights of any corporate Margin Securities Account Holder of XinKong? 閣下是否個人或與閣下的配偶共同控制任何信控國際證券孖展證券帳戶的客戶 35% 或以上的投票權? <input type="checkbox"/> Yes (Please provide details) 是 (請詳述) Company Name 公司名稱:  Margin Securities Account No. 孫展證券戶口號碼:  <input type="checkbox"/> No 否

#### 7. Bank Account Details (for Direct Deposit) 銀行帳戶詳情 (適用於直接存款)

Bank account details – for funds withdrawal from your XinKong account, please provide your bank account details. XinKong generally does not accept a third party bank account. A handling fee may be charged for the bank transfer. Please refer to the Standard Fees and Commissions Table or [www.xinkong.com.hk/](http://www.xinkong.com.hk/) for a full list of charges.

銀行帳戶詳情 – 如要從閣下的信控國際證券帳戶提取款項，請提供閣下的銀行帳戶詳情。信控國際證券一般不接受第三方的銀行帳戶。閣下或會被收取相關轉帳手續費。詳細收費表請參閱標準收費及佣金表或 [www.xinkong.com.hk/](http://www.xinkong.com.hk/)。

**Please note: if you want to change these details in the future, you must notify XinKong in writing.**

請注意：如閣下日後需要更改以下資料，必須以書面通知信控國際證券。

Name of Bank 銀行名稱：

Name of Account Holder  帳戶持有人姓名	Account No. 帳戶號碼	<b>Account Type 帳戶類別</b> <input type="checkbox"/> USD 美元 <input type="checkbox"/> HKD 港元 <input type="checkbox"/> CNY 人民幣 <input type="checkbox"/> Multi-currency 綜合貨幣 <input type="checkbox"/> Others 其他
ABA No./SWIFT Code  (For Overseas Transfer only)	Bank Address (For Overseas Transfer only)  銀行地址 (只作海外轉帳之用)	
ABA 號碼 /SWIFT 編碼		

## 8. Delivery of Account Statements 結單寄發

**Please select the preferred way of delivery of your Account Statements.** 寄發方式選擇：

- Email to your email address 電郵至閣下的電郵地址
- Post to your residential address 郵寄至閣下的住宅地址
- Post to your correspondence address 郵寄至閣下的通訊地址

## 9. Privacy Policy 私隱政策

By signing this Account Application Form, the Client hereby acknowledges that the Client has read, understood and accepted the Notice to Client Relating to the Personal Data (Privacy) Ordinance (“**Notice**”) set out in Annexure 5 to the Client Agreement.

客戶簽署開戶申請表，即確認客戶已閱讀、理解及接受客戶協議附錄 5 所載的有關個人資料（私隱）條例的客戶通知書（「**通知書**」）。

XinKong and its Affiliates intend to use the Client’s Personal Data in direct marketing and XinKong requires the Client’s consent (which includes an indication of no objection) for that purpose.

信控國際證券及其聯屬公司擬將客戶的個人資料用於直接促銷，就此信控國際證券需要客戶的同意（包括表示不反對）。

XinKong may provide the Client’s Personal Data to its (i) Affiliates and/or (ii) Third Parties (as defined in the Notice) for their use in direct marketing in accordance with paragraphs 3(g) and 5 of the Notice. The Client should check the box below if it does not wish XinKong to provide the Client’s Personal Data to its (i) Affiliates and/or (ii) Third Parties for their use in direct marketing.

根據通知書第 3(g)段及第 5 段，信控國際證券可向(i)其聯屬公司及／或(ii)第三方（其定義請見通知書）提供客戶的個人資料，供彼等用於直接促銷。倘客戶不願意讓信控國際證券向(i)其聯屬公司及／或(ii)第三方提供客戶的個人資料供其用於直接促銷，客戶應勾選以下方框。

The Client does not wish XinKong and its Affiliates to use the Client’s Personal Data in direct marketing.

客戶不願意讓信控國際證券及其聯屬公司使用客戶的個人資料作為直接促銷之用。

The Client does not wish Third Parties to use the Client’s Personal Data in direct marketing.

客戶不願意讓第三方使用客戶的個人資料作為直接促銷之用。

**The above represents the Client’s present choice whether or not to receive direct marketing contact or information. Please note that the Client’s choice applies to the direct marketing of the classes of products, services and/or subjects set out in the Notice. Please also refer to the Notice on the kinds of Personal Data which may be used in direct marketing and the classes of persons to which the Client’s Personal Data may be provided for them to use in direct marketing.**

以上代表客戶現在對是否接收直接促銷聯繫或資料的選擇。請注意，客戶的選擇適用於通知書上所載的產品、服務及／或對象的直接促銷。亦請客戶參考該通知書上以得知在直接促銷上可使用的個人資料的種類，以及客戶的個人資料可提供予甚麼類別的人士以供該等人士在直接促銷中使用。

## 10. Tax Residency 稅務居民資料

Pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance, please provide your jurisdiction of residence where the account holder is a resident for tax purposes and TIN for each jurisdiction indicated. If a TIN is unavailable, please provide a valid reason as follows:

Reason 1 – The jurisdiction where the account holder is a resident for tax purposes does not issue TINS to its residents.

Reason 2 – TIN is not required. (Note: ONLY select this reason if the authorities of the jurisdiction of residence do not require the disclosure of the TIN.)

Reason 3 – The account holder is unable to obtain a TIN (Note: Please provide the reason(s).)

根據《稅務條例》有關交換財務帳戶資料的法律條文，請提供閣下的稅務編號。如沒有提供稅務編號，閣下必須填寫以下合適的理由：

理由 1 - 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。

理由 2 - 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。  
 理由 3 - 帳戶持有人不能取得稅務編號。(如選取理由 3, 請解釋帳戶持有人不能取得稅務編號的原因。)

**Account Holder 1 第一帳戶持有人**

I hold **Hong Kong** Tax residence 本人持有香港稅務居民資格

and/or 及/或

I hold Tax residence in a jurisdiction other than **Hong Kong** 本人持有香港以外稅務居民資格

Jurisdiction of Residence: 稅務管轄區:	(1)	(2)	(3)
TIN: 稅務編號:	(1)	(2)	(3)
Reason for no TIN (see above): 沒有稅務編號的原因:	<input type="checkbox"/> Reason 1 理由 1 <input type="checkbox"/> Reason 2 理由 2 <input type="checkbox"/> Reason 3 理由 3	<input type="checkbox"/> Reason 1 理由 1 <input type="checkbox"/> Reason 2 理由 2 <input type="checkbox"/> Reason 3 理由 3	<input type="checkbox"/> Reason 1 理由 1 <input type="checkbox"/> Reason 2 理由 2 <input type="checkbox"/> Reason 3 理由 3
Explanations for choosing Reason 3 (see above): 選取理由 3 的原因:			
Additional Information: 額外資料:			

**Account Holder 2 第二帳戶持有人**

I hold **Hong Kong** Tax residence 本人持有香港稅務居民資格

and/or 及/或

<input type="checkbox"/> I hold Tax residence in a jurisdiction other than <b>Hong Kong</b> 本人持有香港以外稅務居民資格			
Jurisdiction of Residence: 稅務管轄區:	(1)	(2)	(3)
TIN: 稅務編號:	(1)	(2)	(3)
Reason for no TIN (see above): 沒有稅務編號的原因:	<input type="checkbox"/> Reason 1 理由 1 <input type="checkbox"/> Reason 2 理由 2 <input type="checkbox"/> Reason 3 理由 3	<input type="checkbox"/> Reason 1 理由 1 <input type="checkbox"/> Reason 2 理由 2 <input type="checkbox"/> Reason 3 理由 3	<input type="checkbox"/> Reason 1 理由 1 <input type="checkbox"/> Reason 2 理由 2 <input type="checkbox"/> Reason 3 理由 3
Explanations for choosing Reason 3 (see above): 選取理由 3 的原因:			
Additional Information: 額外資料:			

**11. 注意事項**

1. Account holder(s) should report all changes in his / her tax residency status to XinKong. Any deletion or amendment of the personal information must be signed by all account holders. 全部帳戶持有人應向信控國際證券報告公司的稅務身份的所有變化，任何有關個人資料的刪改必須由全部帳戶持有人簽署作實。
2. All monies payable to the account holder will be credited to the designated bank account (s) nominated on this Form, unless otherwise instructed. 帳戶持有人的款項將會被存入本表格內所提供的指定銀行帳戶，除非另行通知。
3. Third-party deposit will not be accepted by XinKong. Any exception is subject to prior management approval. 信控國際證券恕不接受第三者存款，任何例外情況都需要管理層的預先批准。

4. If this Account Application Form is not executed by the account holders in front of an employee or agent of XinKong or its Associates, the account holders should comply with either one of the following procedural requirements: 如本開戶申請表並非在信控國際證券或其聯繫人士的職員/代理人面前簽署，帳戶持有人必須遵從以下其中一個程序要求：
  - ( i ) Send a personal cheque in favour of "XinKong International Securities Limited" for not less than HK\$10,000 drawn on an account with a licensed bank in Hong Kong, bearing the signature(s) as on this Account Application Form and name(s) as on the identity document(s). The new account will not be activated until the cheque is cleared; or 交給信控國際證券在香港持牌銀行開立的帳戶所簽發不少於 10,000 港元的個人支票，該支票的簽名及姓名須與本開戶申請表的客戶簽名及身份證明文件相符，而支票抬頭須為“信控國際證券有限公司”。客戶的帳戶必須待支票兌現後才可使用;或
  - ( ii ) Have any other licensed or registered person, associate of XinKong, justice of the peace, branch manager of a bank, certified public accountant, lawyer or notary public certify the signature and identity documents of the account holders. 由其他持牌人或註冊人、信控國際證券的聯繫人士、太平紳士、銀行分行經理、執業會計師、律師或公證人見證帳戶持有人的簽名及身份證明文件。
5. It is an offence under the Inland Revenue Ordinance if any person 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. HK\$10,000 ) . 根據《稅務條例》，任何人獲悉在聲明上作出具誤導性，虛假或不正確的陳述，或妄顧該聲明在陳述上是否具誤導性，虛假或不準確之處，即屬違法。任何人觸犯該罪行，一經定罪，可處第 3 級罰款（即 HK\$10,000 ）。
6. XinKong may pay fees to any person ( s ) who referred or introduced you to XinKong ( the " Introducer" ) , and that the Introducer is not an agent of XinKong. 信控國際證券可向介紹人支付轉介費或介紹費，而該介紹人並非信控國際證券的代理人。

## 12. Declarations, Confirmations and Acknowledgements 聲明、確信及確認

- I/We affirm that I/we have received, read and understood the Client Agreement, this Account Application Form and any other documents referred to therein (collectively referred to as the "Account Agreement") and that I/we agree to be bound by the same, as amended in accordance with the Account Agreement from time to time. The Account Agreement will apply to all accounts subsequently opened upon my/our request and all Services I/we subsequently request XinKong to provide to us.  
 本人/吾等確認，本人/吾等已收取、細閱及理解客戶協議、本開戶申請表及其中所提述的任何其他文件(統稱「帳戶協議」)，且本人/吾等同意受該等文件(根據不時生效的帳戶協議予以修訂)約束。帳戶協議將適用於隨後根據本人/吾等的要求開立的所有帳戶及本人/吾等隨後要求信控國際證券提供予本人/吾等的所有服務。
- I/We declare that: (a) the information and representation contained in this Account Application Form and any other documents provided to XinKong, together with the representations and warranties set out in the Account Agreement, are true, complete and correct; (b) the person(s) referred to in Section 13 of this Account Application Form is/are the person(s) who is/are responsible for originating the instructions, and (c) I am/we are the ultimate beneficial owner(s) who stand(s) to gain the commercial/economic benefit from the transaction and/or bear the commercial/economic risk.  
 本人/吾等聲明：(a)本開戶申請表及提供予信控國際證券的任何其他文件所載的資料，連同帳戶協議所載的陳述及保證，均屬真實、完整及正確；(b)本開戶表格第13節所列的人士為負責發出指示的人士，及(c)本人/吾等乃屬將會從交易取得商業/經濟利益及/或承擔其商業/經濟風險的最終實益擁有人。
- I/We accept and agree that the services and Account are subject to the Account Agreement as amended by XinKong from time to time. I/We confirm that I/we have read and understood the Account Agreement and agree to be bound by the terms and conditions as set forth in the Account Agreement. Unless the context requires otherwise, the terms and expressions used and defined in the Account Agreement will have the same meaning when used herein.  
 本人/吾等接受及同意服務及帳戶受帳戶協議(經信控國際證券不時修訂)所規限。本人／吾等確認，本人／吾等已細閱及理解帳戶協議並同意受帳戶協議所載條款及條件約束。除非文義另有所指，帳戶協議所用及定義的詞彙與本開戶申請表所用者相同。
- I/We consent to XinKong and / or its associates providing information about investment or financial related products and services including research reports and special offers to me/us by any means. 本人/吾等同意信控國際證券或聯繫人士以各種方式提供投資或有關財務產品及服務的資料，其包括研究報告及特別優惠等。
- I/We acknowledge and agree that XinKong may rely fully on the information and representations contained in this Account Application Form and any other documents provided to XinKong for all purposes, unless and until XinKong receives a notice in writing from me/us of any change.  
 本人/吾等知悉及同意除非及直至信控國際證券接到本人/吾等發出更改本開戶申請表及提供予信控國際證券的任何其他文件所載的資料內容的書面通知，信控國際證券可完全依賴該等資料及聲明作一切用途。
- I/We acknowledge that XinKong does not provide investment, tax or legal advice or recommendations.  
 本人/吾等知悉信控國際證券並不提供投資、稅務或法律意見或推薦建議。
- I/We acknowledge and confirm that I/we have read the Risk Disclosure Statement contained in Annexure 1 to the Client Agreement which were provided in a language of my/our choice. I/We also acknowledge that I/we was/were invited to read the Risk Disclosure Statement as set out in the Client Agreement, ask questions and take independent advice if I/we wish.  
 本人/吾等承認及確認，本人/吾等已細閱按本人/吾等所選擇語言提供的客戶協議附錄1所載的風險披露聲明。本人/吾等亦承認獲邀閱讀客戶協議所載的風險披露聲明，提出問題及徵求獨立意見(如本人／吾等有此意願)。
- I/we acknowledge that any information contained in this Account Application Form may be provided to a reporting financial institution for the purpose of automatic exchange of financial account information. I/we agree that (a) the information contained in this Account Application Form is collected and may be kept by XinKong 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). I/we declare that the information given and statements made in this form is true, accurate and complete. I/we undertake to advise XinKong of any change in circumstances which affects the tax residency status of the account holder(s) of this form or causes the information contained herein to become incorrect, and to provide XinKong with a suitably updated amendment form within 30 days of such change in circumstances. XinKong is authorized to contact anyone, including client's banks, brokers or any credit agency, for verifying the information provided on this form.

本人/吾等知悉在本開戶申請表上所記載之資料，將有可能以作自動交換財務帳戶資料用途。本人/吾等知悉及同意，信控國際證券可根據《稅務條例》（第112章）有關交換財務帳戶資料的法律條文（a）收集本開戶申請表所載資料並可備存作自動交換財務帳戶資料用途及（b）把該等資料和關於本人/吾等的資料向香港特別行政區政府稅務局申報，從而把資料轉交到本人/吾等的居留司法管轄區的稅務當局。本人/吾等確認開戶申請表中提供的資訊和聲明是真實，準確及完整的，本人/吾等承諾，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/吾等會通知信控國際證券，並會在情況發生改變後30日內，向信控國際證券提交一份已適當更新的資料更改書。信控國際證券有權聯繫任何人，包括客戶的銀行、經紀人或任何信用機構，以驗證本開戶申請表上提供的資訊。

9. I/We acknowledge and confirm that this Account Application Form was provided to me/us in either, at my choice, English or Chinese. In the event of any inconsistency between the English and Chinese versions of this Account Application Form, the English version will prevail.  
 本人/吾等承認及確認本開戶申請表按本人/吾等所選擇的語言（英文或中文）提供予本人/吾等。本開戶申請表中英文版本如有不一致之處，應以英文文本為準。

10. I/We may request XinKong to provide me/us with Margin financing pursuant to the Annexure 6 to the Client Agreement or custody services pursuant to Annexure 4 to the Client Agreement. I/We understand and acknowledge that: (a) I/we will be provided with a Client Securities Standing Authority in relation to such services; (b) I am/we are not required by any law to sign the Client Securities Standing Authority but it may be required by XinKong, 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; and (c) XinKong may refuse to provide me/us with such services if I/we do not provide the Client Securities Standing Authority in the form prescribed by XinKong.  
 本人/吾等可要求信控國際證券根據本開戶申請表附錄6提供予本人/吾等孖展或根據客戶協議附錄4提供託管服務。本人/吾等明白及確認：(a)本人/吾等將就該等服務獲提供常設授權；(b)現時無任何法例規定本人/吾等必須簽署此常設授權，然而信控國際證券可能需要此授權，以便例如向本人/吾等提供孖展貸款或獲許將有關本人/吾等的證券或證券抵押品借出予第三方或作為抵押品存放於第三方；及(c)倘吾等未按照信控國際證券規定的形式提供常設授權，信控國際證券可拒絕向本人/吾等提供該等服務。

11. The Client may request XinKong to provide it with China Connect Trading Service pursuant to Annexure 7 of the Client Agreement and the Client acknowledges and understands the Risk Disclosure Statement contained in Annexure 1 of the Client Agreement concerning China Connect  
 客戶可要求信控國際證券根據客戶協議附錄7提供中華通交易服務。客戶承認及明白有關客戶協議附錄1所載有關中華通的風險披露聲明。

1.	<input type="checkbox"/> Each of the above joint account holders specified is authorised to give verbal Instructions and/or Instructions through the Electronic Services (where applicable). 上述各聯名帳戶持有人均有權發出口頭指示及/或透過電子服務（如適用）發出指示。
2.	<input type="checkbox"/> Either one joint account holder signing singly, 其中一位聯名帳戶持有人單獨簽署， <input type="checkbox"/> Both joint account holders signing jointly, 兩位聯名帳戶持有人共同簽署， <b>validates</b> any written instructions relating to the operation of the Account(s). 就任何有關帳戶運作的書面指示而言， <b>均為有效</b> 。

#### 14. Signature 簽署

Account Holder 1's Signature 第一帳戶持有人簽署：  <b>X</b>	Account Holder 2's Signature 第二帳戶持有人簽署：  <b>X</b>
Account Holder 1's Name 第一帳戶持有人姓名：	Account Holder 2's Name 第二帳戶持有人姓名：



Date 日期： <hr/>	Date 日期： <hr/>
In the presence of 由以下人士見證 Signature of Witness 見證人簽署：  <b>X</b> Date 日期： <hr/>	In the presence of 由以下人士見證 Signature of Witness 見證人簽署：  <b>X</b> Date 日期： <hr/>
Name of Witness 見證人姓名： <hr/>	Name of Witness 見證人姓名： <hr/>
CE No. 中央編號： <hr/>	CE No. 中央編號： <hr/>

## 5. Verification of identity (For non-face-to-face account opening process) 身份核實 (適用於以非面對面方式辦理開戶程序)

## □ Option 1 – Identity Verification by Witness

### 選項 1-使用見證人核實身份

The witness hereby certifies that he/she has witnessed the signing of the Account Application Form of XinKong by the Client. The witness further confirms that he/she has verified the Client's identity against the Client's identification documentation.

本人謹此認證，見證申請人簽立信控國際證券的開戶申請表。本人已核實申請人的身份證明文件，以進一步確認其身份。

Signature of Witness 見證人簽署 : \_\_\_\_\_ Date 日期 : \_\_\_\_\_

Name of Witness 見證人姓名 : \_\_\_\_\_ Occupation 職業 : \_\_\_\_\_

Professional Qualification obtained by the Witness, the Country where the Witness obtained the Qualification and the License No.

見證人的專業資格，其資格所屬國家及其資格/牌照號碼：

Employer Address and Contact details of the Witness (where applicable) 聘證人僱主地址及聯絡方式:

**Option 2 – Identity Verification with the use of Cheques**

**選項 2-使用支票核實身份**

Sign this Account Application Form, mail it to the XinKong office together with all the supporting documents AND a cheque payable to “XinKong International Securities Limited” for a minimum of HKD10,000. The cheque should bear your name as shown in your Hong Kong ID card(s) or Passport(s) drawn on your account with a Hong Kong licensed bank and an identical signature to that on the Account Application Form. **Your Account will not be activated until the cheque is cleared.** XinKong’s relationship manager / customer services officer may then contact you to ensure you understand the Client Agreement, in particular, the Risk Disclosure Statement therein.

簽署本開戶申請表，並連同證明文件及金額不少於 10,000 港元、抬頭寫上「信控國際證券有限公司」的支票，郵寄至信控辦事處。支票需載有閣下在香港身份證或護照上所顯示的姓名，由閣下在香港持牌銀行開立的帳戶簽發，簽名需與開戶申請表上的簽名相同。**閣下的帳戶於支票兌現後方能啟動**。信控國際證券的聯繫經理/客戶服務員將會聯絡閣下，確保閣下明白客戶協議，特別是其中的風險披露聲明。

**Option 3 – Certification by Certification Authorities**

**選項 3-由核證機關驗證**

After the XinKong online account opening system is activated, the identity of the Client may be verified by certification services that are recognized by the Electronic Transactions Ordinance (Cap. 553), such as the certification services available from the Hongkong Post, may be employed for client identification purpose. The use of the certification services provided by certification authorities outside Hong Kong whose electronic signature certificates have obtained mutual recognition status in Hong Kong could also be accepted for client identity verification purpose.

在信控國際證券網上帳戶開立系統啟動後，可使用獲得《電子交易條例》(香港法例第 553 章)認可的驗證服務(例如由香港郵政所提供的驗證服務)識別客戶身份。由已於香港就其電子簽署證書取得證書互認資格的香港境外核證機關所提供的驗證服務，亦可被接納作為核實客戶身份之用。

**Internal Use Only - Risk Disclosure Statements (Non Face-to-Face Account Opening Process Only) 內部填寫—風險披露聲明 (適用於以非而對面方式辦理開戶程序)**

The Client has been provided with the relevant Risk Disclosure Statements and disclaimers in a language of the Client’s choice. The undersigned licensed or registered staff has invited the Client to read the relevant Risk Disclosure Statements and disclaimers set out in the Client Agreement, ask questions and take independent advice if the Client wishes.

客戶獲提供以其所選語言編纂的相關風險披露聲明及免責聲明。以下簽名的持牌或登記人員已邀請客戶閱讀帳戶協議所載的相關風險披露聲明及免責聲明、提出問題及徵求獨立意見 (如客戶有此意願)。

Date 日期 : _____	Signature of Staff Member 成員簽署 : _____
Name 姓名 : _____	
CE No. 中央編號 : _____	
<b>Telephone Recording 電話錄音</b>	
Time 時間 : _____	Date 日期 : _____
Telephone Extension No. 電話分機號碼 : _____	Remarks 備註 : _____

#### 16. Specimen Signature(s) 簽署樣本

Please provide the specimen signature(s) of the Account Holder(s).  
 請提供帳戶持有人的簽署樣本

Specimen Signature# 簽署樣本#  <b>X</b>	Specimen Signature# 簽署樣本#  <b>X</b>
Date 日期： <hr/>	Date 日期： <hr/>
Name 姓名	Name 姓名
Hong Kong Identity Card No./Passport No./Other documents (specify) No.: 香港身份證號碼/護照號碼/其他證件（請註明）號碼：	Hong Kong Identity Card No./Passport No./Other documents (specify) No.: 香港身份證號碼/護照號碼/其他證件（請註明）號碼：
# Specimen signature(s) will be used to verify all written Instructions given relating to the operations of the Account(s). 簽署樣本將用於核實所有與帳戶操作有關的書面指示。	

<b>Account Opening Document Checklist – Individual / Joint Account</b> 開戶文件查核清單-個人/聯名帳戶			
		For Client Use / 供客 戶填寫))	*(For Internal Use/ (供內部填 寫))
1.	Individual/Joint Account Application Form 個人/聯名開戶申請表	Please sign and return to XinKong 請簽署 並交回信控國際證 券	
2.	Copy(ies) of identification documents of Account Holder(s) (for non Hong Kong resident who are physically present in Hong Kong for account opening, copies of valid travel document and entry proof indicating date of entry are required; For non-Hong Kong permanent resident, please also provide copies of valid travel documents or national passport) 帳戶持有人本人身份證副本 (對於親自於香港開戶的非香港居民而言，需提供有效的旅行證件及載有入境日期的入境證明的副本；對非香港永久居民而言，請提供有效的旅行證件或國家護照的副本)	Please provide to XinKong 請向信控國際證券 提供	
3.	Copy of Residential Address Proof (anyone of utility bills, bank statements or telephone bills issued within the past three months) 住宅地址證明 (過去三個月內發出的任何一份公共服務帳單、電話帳單或銀行月結單) 副本	Please provide to XinKong 請向信控國際證券 提供	
4.	Client Agreement 客戶協議	Please consider the terms and conditions set out in the Client Agreement carefully 請細心考慮客戶協 議內所載的條款和 細則	
5.	Standard Fees and Commissions Table available at <a href="http://www.xinkong.com.hk">www.xinkong.com.hk</a> 標準費用及佣金表	Please consider the table carefully 請細心考慮標準費 用及佣金表	
6.	Self Certification (Individual) (for each Joint Account Holder) to satisfy FATCA and AEOI/CRS requirements 自我認證 (個人) (各聯名帳戶持有人適用)	Please sign and return to XinKong 請簽署 並交回信控國際證 券	
7.	Individual Professional Investor Declaration Form (if applicable) (for each Joint Account Holder) 個人專業投資者聲明書 (如適用) (各聯名帳戶持有人適用)	Please sign and return to XinKong (if applicable) 請簽署並交回信控 國際證券(如適用)	
8.	Client Money Standing Authority (for Cash Securities Account only) 常設授權 (只適用於現金證券帳戶)	Please sign and return to XinKong (if applicable) 請簽署並交回信控 國際證券(如適用)	
9.	Client Securities Standing Authority (for Margin Securities Accounts only) 常設授權 (只適用於孖展證券帳戶)	Please sign and return to XinKong (if applicable) 請簽署並交回信控	

		國際證券(如適用)	
10.	Income Proof (for Margin Securities Account Holders only) (e.g. bank statement / mortgage statement / insurance statement / funds statement / latest tax return / salary slip / brokerage account statement – issued within the last three months) 入息證明 (只適用於孖展證券帳戶持有人) (例如:過去三個月內發出的銀行月結單/按揭單/保險單/基金單/最近一期稅單/糧單/經紀帳戶月結單)	Please provide to XinKong (if applicable) 請簽署並交回信控 國際證券(如適用)	
11.	For Individual Professional Investor Account Holders, please provide <ul style="list-style-type: none"> <li>• a certificate issued by an auditor or a certified public accountant of the individual within 12 months before the date of this form, OR</li> <li>• custodian statements issued to you (either alone or with your Joint Account Holder) within 12 months before the date of this form; AND</li> <li>• supporting documents to prove your knowledge about investment, derivative and structural products.</li> </ul> 個人專業投資者帳戶持有人請提供下列文件 <ul style="list-style-type: none"> <li>• 在本表格簽署日期前 12 個月內由閣下的核數師或註冊會計師簽發的證明書，或</li> <li>• 在本表格簽署日期前 12 個月內發給閣下的託管人陳述書（不論獨自或與閣下的聯名帳戶持有人），或</li> <li>• 可證明閣下對投資、衍生和結構性產品認識的證明文件。</li> </ul>	Please provide to XinKong (if applicable) 請向信控國際證券 提供(如適用)	
12.	Risk Profiling Questionnaire 風險評估取向問卷	Please sign and return to XinKong 請簽署並交回 or 信 控國際證券	

**Submit your application by ONE of the following ways:**

閣下可透過下列其中一個方法提交申請表:

**For Face-to-Face Account Opening**

以面對面方式辦理開戶程序

A. Bring this Account Application Form and all supporting documents to our offices. Your signature shall be witnessed by our licensed representative. Please attend our office, with the Account Application Form and supporting documents, at the following address:

攜同本開戶申請表和所有證明文件到本公司辦事處。閣下需在本公司的持牌代表見證下簽署。請攜同開戶申請表和證明文件親臨本公司下列辦事處辦理:

XinKong International Securities Limited  
 Rooms 1703-04, 17/F, YF Life Centre,  
 38 Gloucester Road,  
 Wan Chai, Hong Kong  
 Attn: Securities Business Department

信控國際證券有限公司 證券業務部  
 香港灣仔告士打道 38 號萬通保險中心 17 樓 1703 至 04 室

### For Non-Face-to-Face Account Opening

#### 以非面對面方式辦理開戶程序

B. The signing of this Account Application Form shall be certified by a witness who is a licensed or registered person (other than XinKong), an affiliate or a licensed or registered person, a Justice of the Peace, a professional person such as a branch manager of a bank, a lawyer, a certified public accountant or a notary public. Supporting documents should also be sighted and certified by the types of persons listed above. The witness must complete the Identity Verification section (Section 15) of this Account Application Form. Please send the signed Account Application Form, together with all supporting documents, by post to the address set out at "A" above:  
本開戶申請表的簽署需由信控國際證券以外的其他持牌人或註冊人、持牌人或註冊人的聯繫人士、太平紳士或專業人士（例如銀行分行經理、執業會計師、律師或公證人）加以驗證。證明文件亦需經上述見證人驗證。見證人需填寫本開戶申請表上的身份驗證部份(第15節)。請把本開戶申請表連同所有證明文件郵寄到“A”列地址

C. Sign this Account Application Form, mail it to the XinKong office set out below together with all the supporting documents (including copies of identity documents) AND a cheque payable to "XinKong International Securities Limited" for a minimum of HKD10,000. The cheque should bear the name as shown on your certificate of incorporate (or equivalent) drawn on your account with a Hong Kong licensed bank and a signature identical to that on the Account Application Form. **Your Account will NOT be activated until (1) the cheque is cleared and (2) XinKong's relationship manager / customer services officer has contacted you to ensure you understand the Client Agreement, in particular, the Risk Disclosure Statement therein.** Please send the signed Account Application Form, together with all supporting documents, by post to the address set out at "A" above:  
簽署此開戶申請表，並連同所有證明文件(包括身份證明文件的副本)，以及金額不少於 10,000 港元、抬頭寫上「信控國際證券有限公司」的支票，郵寄至信控國際證券辦事處。支票需載有閣下在香港身份證或護照上所顯示的姓名，由閣下在香港持牌銀行開立的帳戶簽發，簽名需與開戶申請表上的簽名相同。**閣下的帳戶(1)於支票兌現後，及(2)信控國際證券的客戶關係經理/客戶服務員已聯絡閣下，確保閣下明白客戶協議，特別是其中的風險披露聲明後方能啟動。**請把本開戶申請表連同所有證明文件郵寄到“A”列地址。

**For Internal Use (The Account Opening/ Relationship Manager should ensure this part be complete and signed)**  
 只供內部填寫 (開戶/客戶關係經理應確保已填妥並簽署此欄)

<b>香港股票 HK STOCKS:</b>						
息率 Interest Rate (%)			經紀回佣 AE Rebate (%)			
佣金 Brokerage (%)			經紀最低佣金 Minimum AE Rebate (HKD)			
最低佣金 Min Brokerage (HKD)						
<b>海外股票 OVERSEAS STOCKS:</b>						
佣金 Brokerage (%)	美股	新加坡股		其它		
	(每宗交易最低 40 美元)	(每宗交易最低 40 新加坡元)				
<b>期貨 FUTURES:</b>						
	即市 (Day Trade)		隔夜 (Overnight)		指數期權 (Index Option)	
	電子盤 (Internet)	電話盤 (Phone)	電子盤 (Internet)	電話盤 (Phone)	電子盤 (Internet)	電話盤 (Phone)
恒生指數期貨 HSI Futures	HKD	HKD	HKD	HKD	HKD	HKD
國企指數期貨 HHI Futures	HKD	HKD	HKD	HKD	HKD	HKD
小型恒生指數期貨 MHI Futures	HKD	HKD	HKD	HKD	HKD	HKD
小型國企指數期貨 MCH Futures	HKD	HKD	HKD	HKD	HKD	HKD
海外期貨 Global Futures	USD	USD	USD	USD	USD	USD
<b>簽署 Signatures:</b>						
Checked by KYC and AML checker 由開戶/AML 核查 員核對	Approved by Responsible Officer 由負責人員核准	Approved by Responsible Officer (if applicable) 由負責人員核准(如 適用)	Input into System by 由下列人士輸入系 統	Welcome Letter sent out by and followed up by; 由下列人士發出開 戶信/跟進;	Remarks (if applicable, by Risk, Compliance or Internal Audit) 備註(如適用，由風 險或合規或內部審 計填寫)	
Date 日期:						