



中達證券投資有限公司

CENTRAL WEALTH SECURITIES INVESTMENT LIMITED

香港金鐘夏慤道16號遠東金融中心18樓1801-1802室
Room 1801-1802, 18/F, Far East Finance Centre,
16 Harcourt Road, Admiralty, Hong Kong.

香港聯合交易所參與者 (CE NO. AVE583)
Exchange Participant of The Stock Exchange of Hong Kong Limited

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傳真 FAX (852) 3958 4666
電郵 EMAIL cs@cws.com.hk
網址 WEB www.cws.com.hk

Account No 帳戶號碼: _____

Date 日期: _____

AE Code: _____

ACCOUNT OPENING FORM 開戶表格 (Individual 個人/ Joint 聯名)

Account Type(s) 帳戶類別 (Please tick appropriate box. 請在適當空格加✓)

☐ Individual Account 個人帳戶

☐ Joint Account 聯名帳戶

☐ Securities Account (Cash) 證券帳戶(現金)

☐ Securities Account (Margin) 證券帳戶 (保證金)

☐ Electronics Trading 電子交易服務

Individual/ Joint Account Information 個人/聯名帳戶資料

Account Holder (1) 帳戶持有人(1)

Account Holder (2) 帳戶持有人(2)

Relationship 關係:

(For Joint Account only 只適用於聯名帳戶)

☐ Mr.先生
☐ Ms.女士

English Name:

英文姓名:

Chinese Name:

中文姓名:

☐ Mr.先生
☐ Ms.女士

English Name:

英文姓名:

Chinese Name:

中文姓名:

ID Card/Passport No:

身份證/護照號碼:

ID Card/Passport No:

身份證/護照號碼:

Place of birth :

出生地點:

Nationality:

國籍:

Place of birth:

出生地點:

Nationality:

國籍:

Date of Birth 出生日期:

Date of Birth 出生日期:

Residential Address:

住宅地址:

☐ I hereby declare that this address is a valid residential address within the last 3 months 特此聲明此地址為本人最近 3 個月內之有效居住地址

Residential Address:

住宅地址:

☐ I hereby declare that this address is a valid residential address within the last 3 months 特此聲明此地址為本人最近 3 個月內之有效居住地址

Home Tel. No.: 住宅電話號碼:

Home Tel. No.: 住宅電話號碼:

Mobile Phone No.: 手提電話號碼:

Mobile Phone No.: 手提電話號碼:

Fax No.: 傳真號碼:

Fax No.: 傳真號碼:

Office Tel. No.: 辦公室電話:

Office Tel. No.: 辦公室電話:

E-mail Address:

電子郵件地址:

E-mail Address:

電子郵件地址:

All Correspondence and Statements to be sent to: (please select either one) 所有通訊及帳單請寄交本人: (只選一項):

☐ Email Address 電郵地址

☐ Others 其他 _____

☐ Subscribe Research Report by Email 以電郵收取研究報告

Education 教育程度: ☐ 小學或以下 Primary or below

☐ 中學 Secondary ☐ 大學或以上 Tertiary or above

Education 教育程度: ☐ 小學或以下 Primary or below

☐ 中學 Secondary ☐ 大學或以上 Tertiary or above

Employment Information 受僱資料 (不可填寫全職投資者或近似作為職位 Full-time investors or equivalent will not be accepted as employment information)					
Name of Employer of Account Holder (1): 客戶受僱機構名稱:			Name of Employer of Account Holder (2): 客戶受僱機構名稱:		
Nature of Business: 業務性質:	Present Position: 現時職位:	Years of Service 服務年資:	Nature of Business: 業務性質:	Present Position: 現時職位:	Years of Service 服務年資:
Office Address: 辦公室地址:			Office Address: 辦公室地址:		
Financial Profile 財務狀況					
Annual Income 每年收入 (HK\$港幣): ☐ <\$200,000 ☐ \$500,001 - \$1,000,000 ☐ \$200,000 - \$500,000 ☐ >\$1,000,000			Annual Income 每年收入 (HK\$港幣): ☐ <\$200,000 ☐ \$500,001 - \$1,000,000 ☐ \$200,000 - \$500,000 ☐ >\$1,000,000		
Total Net Value of Assets 資產淨值 (HK\$港幣): ☐ < \$500,000 ☐ 2,500,001 - \$8,000,000 ☐ \$500,000 - \$2,500,000 ☐ > HK\$8,000,000			Total Net Value of Assets 資產淨值 (HK\$港幣): ☐ < \$500,000 ☐ 2,500,001 - \$5,000,000 ☐ \$500,000 - \$2,500,000 ☐ > HK\$5,000,000		
Source of funds 資金來源:					
1. Savings 儲蓄: ☐ Previous/Current Salary Savings 前/現薪金收入儲蓄 ☐ Previous/Current Business Profits 前/現業務溢利 ☐ Family Savings 家庭收入儲蓄 ☐ Retirement Savings 退休金儲蓄 ☐ Others 其他 (請列明): _____			1. Savings 儲蓄: ☐ Previous/Current Salary Savings 前/現薪金收入儲蓄 ☐ Previous/Current Business Profits 前/現業務溢利 ☐ Family Savings 家庭收入儲蓄 ☐ Retirement Savings 退休金儲蓄 ☐ Others 其他 (請列明): _____		
2. Rental Income 租金收入: ☐ Residential Property Rental Income 物業 ☐ Commercial Property Rental Income 商舖 ☐ Others 其他 (請列明): _____			2. Rental Income 租金收入: ☐ Residential Property Rental Income 物業 ☐ Commercial Property Rental Income 商舖 ☐ Others 其他 (請列明): _____		
3. Investment 投資: ☐ Bank/Other Interest 銀行/其他利息收入 ☐ Investment Trading Profits / Dividend Income 投資買賣溢利或股息回報 ☐ Others 其他 (請列明): _____			3. Investment 投資: ☐ Bank/Other Interest 銀行/其他利息收入 ☐ Investment Trading Profits / Dividend Income 投資買賣溢利或股息回報 ☐ Others 其他 (請列明): _____		
4. Loan from Financial Institutions/ others 金融機構貸款 / 其他貸款: ☐ Relatives/Friends 親友 ☐ Bank 銀行 ☐ Financial Institution 財務金融機構 ☐ Others 其他 (請列明): _____			4. Loan from Financial Institutions/ others 金融機構貸款 / 其他貸款: ☐ Relatives/Friends 親友 ☐ Bank 銀行 ☐ Financial Institution 財務金融機構 ☐ Others 其他 (請列明): _____		
5. Others 其他: Others (請列明): _____			5. Others 其他: Others (請列明): _____		
Ownership of Residence 住屋業權: ☐ Owned 擁有 ☐ Not Owned 沒有擁有 ☐ Rented 租住 ☐ Living with Family 與家人同住			Ownership of Residence 住屋業權: ☐ Owned 擁有 ☐ Not Owned 沒有擁有 ☐ Rented 租住 ☐ Living with Family 與家人同住		
Client Investment Experience and Objective 客戶投資經驗及目標					
Investment Experience 投資經驗: ☐ Less than a year 少於 1 年 ☐ 6 - 10 years 年 ☐ 1 - 5 years 年 ☐ More than 10 years 10 年以上			Investment Experience 投資經驗: ☐ Less than a year 少於 1 年 ☐ 6 - 10 years 年 ☐ 1 - 5 years 年 ☐ More than 10 years 10 年以上		

Investment Objective 投資目的: ☐ Long Term 長線 ☐ Medium Term 中線 ☐ Short Term 短線 ☐ Capital Appreciation 資本增值 ☐ Dividend Yield 股息回報 ☐ Hedging 對沖 ☐ Speculation 投機	Investment Objective 投資目的: ☐ Long Term 長線 ☐ Medium Term 中線 ☐ Short Term 短線 ☐ Capital Appreciation 資本增值 ☐ Dividend Yield 股息回報 ☐ Hedging 對沖 ☐ Speculation 投機
Investment Products and Experience 曾買賣產品及投資經驗: ☐ Stocks 股票 ☐ CBBC 牛熊證 ☐ Warrants 衍生權證 (窩輪) ☐ Futures 期貨 ☐ Options 期權 ☐ Bonds 債券 ☐ Funds 基金 ☐ Others 其他: _____ ☐ 少於 1 年 ☐ 1 - 5 年 ☐ 5 年以上 ☐ 少於 1 年 ☐ 1 - 5 年 ☐ 5 年以上 ☐ 少於 1 年 ☐ 1 - 5 年 ☐ 5 年以上 ☐ 少於 1 年 ☐ 1 - 5 年 ☐ 5 年以上 ☐ 少於 1 年 ☐ 1 - 5 年 ☐ 5 年以上 ☐ 少於 1 年 ☐ 1 - 5 年 ☐ 5 年以上 ☐ 少於 1 年 ☐ 1 - 5 年 ☐ 5 年以上	Investment Products and Experience 曾買賣產品及投資經驗: ☐ Stocks 股票 ☐ CBBC 牛熊證 ☐ Warrants 衍生權證 (窩輪) ☐ Futures 期貨 ☐ Options 期權 ☐ Bonds 債券 ☐ Funds 基金 ☐ Others 其他: _____ ☐ 少於 1 年 ☐ 1 - 5 年 ☐ 5 年以上 ☐ 少於 1 年 ☐ 1 - 5 年 ☐ 5 年以上 ☐ 少於 1 年 ☐ 1 - 5 年 ☐ 5 年以上 ☐ 少於 1 年 ☐ 1 - 5 年 ☐ 5 年以上 ☐ 少於 1 年 ☐ 1 - 5 年 ☐ 5 年以上 ☐ 少於 1 年 ☐ 1 - 5 年 ☐ 5 年以上 ☐ 少於 1 年 ☐ 1 - 5 年 ☐ 5 年以上
Estimated Investment Amount 估計投資金額: ☐ < HK\$100,000 ☐ HK\$100,000 – 500,000 ☐ HK\$500,001 – 1,000,000 ☐ HK\$1,000,001 – 5,000,000 ☐ HK\$5,000,001 – 8,000,000 ☐ > HK\$8,000,000	Estimated Investment Amount 估計投資金額: ☐ < HK\$100,000 ☐ HK\$100,000 – 500,000 ☐ HK\$500,001 – 1,000,000 ☐ HK\$1,000,001 – 5,000,000 ☐ HK\$5,000,001 – 10,000,000 ☐ > HK\$10,000,000
Client's Knowledge of Derivative Products 客戶對衍生產品的認識	
本人知悉及明白中達證券投資有限公司("中達證券")將根據以下的資料以評估本人是否對衍生工具產品有認識。 I acknowledge and understand CENTRAL WEALTH SECURITIES INVESTMENT LIMITED ("CWSIL") will assess whether I have adequate knowledge on derivative products according to the information that I provided. ☐ 1. 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). ☐ 2. 本人現時或過去擁有與衍生產品有關的工作經驗。I have current or previous work experience related to derivative products. ☐ 3. 本人於過去 3 年曾執行 5 次或以上有關衍生產品的交易。 I have executed five or more transactions in derivative products within the past three years. ☐ 4. 本人並未有衍生產品之認識。 I do not have any knowledge of derivative products.	本人知悉及明白中達證券投資有限公司("中達證券")將根據以下的資料以評估本人是否對衍生工具產品有認識。 I acknowledge and understand CENTRAL WEALTH SECURITIES INVESTMENT LIMITED ("CWSIL") will assess whether I have adequate knowledge on derivative products according to the information that I provided. ☐ 1. 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). ☐ 2. 本人現時或過去擁有與衍生產品有關的工作經驗。I have current or previous work experience related to derivative products. ☐ 3. 本人於過去 3 年曾執行 5 次或以上有關衍生產品的交易。 I have executed five or more transactions in derivative products within the past three years. ☐ 4. 本人並未有衍生產品之認識。 I do not have any knowledge of derivative products.
Identity Declaration 身份聲明	
1. 你(及/或聯名帳戶第二持有人)是否此帳戶的最終實益擁有人? 如否, 請詳述帳戶的最終實益擁有人身份資料及回答下列問題。 Are you (and/ or the Secondary Joint Account Holder) the ultimate beneficial owner(s) in relation to the account? If no, please specify the details and answer the following questions. ☐ 是 Yes ☐ 否 No (a) 姓名 Name: _____ 身份證/護照號碼 ID/Passport No.: _____ 電話 Tel. No.: _____ 住宅地址 Home Address: _____	

(b)

最終實益擁有人是否證券/期貨交易所參與者的僱員或代理人或董事或認可人士 (不管最終實益擁有人現時是否為證監會持牌代表/金管局註冊人士), 或最終實益擁有人於證監會註冊的持牌法團/註冊機構? 如是, 請述明具體:

Is the ultimate beneficial owner an employee or an agent or a director or an accredited person of an exchange participant of a stock/futures exchange (whether the ultimate beneficial owner is currently a SFC licensed representative/ HKMA registered person or not) or a licensed corporation or registered institution?? If yes, please specify:

☐ 否 No ☐ 是 Yes

持牌法團/註冊機構名稱 Licensed Corporation/ Registered Institution Name: _____

職位 Position: _____ 中央編號 CE No.: (Employer 僱主) _____ / (Employee 僱員) _____

(c)

最終實益擁有人是否與中達證券投資有限公司或其各自之聯營/集團公司之董事或僱員有任何關係?

Does the ultimate beneficial owner have any relationship with the director(s) or employee(s) of CWSIL or its respective associated/ group companies?

☐ 否 No ☐ 是 Yes, _____
(Name of Director or Employee 董事或僱員姓名 ; Relationship 關係)

(d) 最終實益擁有人有沒有美國稅務責任?

☐ 沒有 No ☐ 有 Yes (TIN 稅務身份碼: _____)

2. 你(及/或聯名帳戶第二持有人)是否證券/期貨交易所參與者的僱員或代理人或董事或認可人士 (不管你(及/或聯名帳戶第二持有人)現時是否為證監會持牌代表/金管局註冊人士), 或於證監會註冊的持牌法團/註冊機構? 如是, 請述明具體:

Are you (and/or the Secondary Joint Account Holder) an employee or an agent or a director or an accredited person of an exchange participant of a stock/futures exchange (whether you (and/or the Secondary Joint Account Holder) are currently a SFC licensed representative/ HKMA registered person or not) or a licensed corporation or registered institution?? If yes, please specify:

☐ 否 No ☐ 是 Yes

持牌法團/註冊機構名稱 Licensed Corporation/ Registered Institution Name: _____

職位 Position: _____ 中央編號 CE No.: (Employer 僱主) _____ / (Employee 僱員) _____

(If applicable 如適用) (請提供僱主之書面同意書 Please provide employer's consent letter)

3. 你(及/或聯名帳戶第二持有人)是否與中達證券投資有限公司或其各自之聯營/集團公司之董事或僱員有任何關係?

Do you (and/or the Secondary Joint Account Holder) have any relationship with the director(s) or employee(s) of CWSIL or its respective associated/ group companies?

☐ 否 No ☐ 是 Yes, _____
(Name of Director or Employee 董事或僱員姓名/ Relationship 關係)

4. 美國稅務責任 U.S. Tax Obligation:

☐ 沒有 No ☐ 有 Yes (TIN 稅務身份碼: _____)
(如是, 請填寫 W-9 表格, 否則請填 W-8BEN 表格。
If yes, please fill in Form W-9. Otherwise, please fill in Form W-8BEN.)

4. 美國稅務責任 U.S. Tax Obligation:

☐ 沒有 No ☐ 有 Yes (TIN 稅務身份碼: _____)
(如是, 請填寫 W-9 表格, 否則請填 W-8BEN 表格。
If yes, please fill in Form W-9. Otherwise, please fill in Form W-8BEN.)

Related Margin Financing Account(s) (For Securities Account (Margin) only) 相關保證金融資帳戶 (只適用於證券帳戶(保證金))

1. 你(及/或聯名帳戶第二持有人)的配偶是否持有中達證券的保證金帳戶? Does the spouse of you (and/or the Secondary Joint Account Holder) have a margin account with CWSIL?

☐ 否 No ☐ 是 Yes 配偶姓名 Name of the Spouse: _____ 帳戶號碼 Account No.: _____

2. 你(及/或聯名帳戶第二持有人)是否單獨或與配偶共同控制任何中達證券公司保證金帳戶 35%或以上之表決(投票)權? Are you (and/or the Secondary Joint Account Holder), either alone or with your spouse, in control of 35% or more of the voting rights of any Corporate Margin Account(s) of CWSIL?

☐ 否 No ☐ 是 Yes, 帳戶名稱 Account Name: _____ 帳戶號碼 Account No.: _____

收款(香港)銀行戶口 Receiving (Hong Kong) Bank Account (只供入數之用 For Fund Deposit Only)			
Currency 貨幣	Name of Bank 銀行名稱	Account Name 帳戶名稱	A/C No. 帳戶號碼
HKD (1)			
HKD (2)			
CNY (1)			
CNY (2)			
USD (1)			
USD (2)			

Personal Data 個人資料

I/We have been informed that CWSIL and/or its associated companies and/or group companies intends to use and transfer within CWSIL and its associated companies and group companies my/our personal data for the direct marketing of: (i) Financial services and investment products; (ii) Related promotional schemes; (iii) Financial and investment advices; or (iv) promotional and marketing events of CWSIL and/or its associated companies and/or group companies for the aforesaid services or products. Such personal data includes my/our name, contact details, financial background and statistical data which are provided to CWSIL under this Account Opening Form or obtained by its associated companies and/or group companies from time to time. I/We understand that I/We may, at any time, require CWSIL and/or its associated companies and/or group companies to cease to use or transfer within CWSIL and its associated companies and group companies my/our personal data for direct marketing through such channel prescribed by CWSIL and/or its associated companies and/or group companies.

本人/吾等現獲告知中達證券及/或其各自之聯營公司及/或集團公司擬使用及在中達證券及其各自之聯營公司及集團公司之間轉移本人/吾等於中達證券及/或其各自之聯營公司及/或集團公司之個人資料以直接促銷：(i) 金融服務和產品；(ii) 相關優惠計劃；(iii) 金融與投資建議；或(iv) 中達證券及/或其各自之聯營公司及/或集團公司就前述產品及服務之業務推廣和宣傳活動。該等個人資料包括本人/吾等在本開戶表格中向中達證券提供的或其各自之聯營公司及集團公司不時獲得的姓名、聯絡詳情、財務背景及統計資料等個人資料。本人/吾等明白本人/吾等可以隨時通過中達證券及/或其各自之聯營公司及/或集團公司指定的渠道要求中達證券及/或其各自之聯營公司及/或集團公司停止在直接促銷中使用本人/吾等的個人資料。

☐ I/We agree to the aforesaid use of my/our personal data in CWSIL and/or its associated companies and/or group companies.

本人/吾等同意中達證券及/或其各自之聯營及/或集團公司如上述情況使用本人/吾等之個人資料。

☐ I/We agree to the aforesaid transfer of my/our personal data within CWSIL and its associated companies and group companies.

本人/吾等同意如上述情況在中達證券及其各自之聯營及集團公司之間轉移本人/吾等之個人資料。

☐ I/We object to the use of or transfer within CWSIL and its associated companies and group companies my/our personal data by CWSIL and/or its associated companies and/or group companies in direct marketing.

本人/吾等反對中達證券及/或其各自之聯營/集團公司使用或在中達證券及其各自之聯營及集團公司之間轉移本人/吾等的個人資料作直接促銷用途。

Acknowledgement and Execution by Client 客戶確認及簽署

1. 本人/吾等確認中達證券投資有限公司(下稱“中達證券”)已按本人/吾等選擇的語言(英文或中文)提供了客戶協議書、電子交易服務條款(如適用)及風險披露聲明之副本。(本人/吾等確認已收取該等文件之副本)

2. 本人/吾等謹此聲明在本開戶表格所提供之資料全部為真實、完整及正確，除非中達證券接到更改有關本開戶表格內容之書面通知，否則中達證券有權完全依賴此等資料及聲明作一切用途。中達證券或其代理獲授權可隨時就核對本開戶表格資料事宜，與任何人包括本人/吾等之銀行、經紀或任何信用機構進行諮詢。

3. 本人/吾等現申請開立本人/吾等在本開戶表格頁首選擇之帳戶及服務類別。本人/吾等確認已閱讀並明白附上之中達證券投資有限公司客戶協議書〈該協議書〉的所有有關條款並且接受及同意受可不時被修改的該協議書之條款所約束，本人/吾等在此以書面通知、及確認並授權中達證券行在該協議書內的全部常設授權。

4. 本人/吾等向閣下申請開立證券買賣帳戶並同意遵守香港交易所及其他監管機構不時修訂以監管於香港交易所或其他交易所進行證券買賣之條例及規則。

5. 本人/吾等進一步確認中達證券已經邀請本人/吾等閱讀客戶協議書、風險披露聲明及電子交易服務條款(如適用)，提出問題及徵求獨立的意見(如本人/吾等有此意願)。

6. 本人/吾等已仔細閱讀、完全理解並同意接受及遵守客戶協議書內之個人資料收集聲明。

7. 本人/吾等欲使用互聯網證券交易服務，本人/吾等已經閱讀並明白中達證券投資有限公司之客戶協議書中，所載之電子交易服務條款，並接受這些條款的約束。(如適用)

8.假如我們[中達證券投資有限公司]向閣下招攬銷售或建議任何金融產品，該金融產品必須是我們經考慮閣下的財政狀況、投資經驗及投資目標後而認為合理地適合閣下的。本協議的其他條文或任何其他我們可能要求閣下簽署的文件及我們可能要求閣下作出的聲明概不會減損本條款的效力。

1. I/We, the undersigned client(s) hereby confirm that I/We have been provided the Client Agreement (“the Agreement”) of CENTRAL WEALTH SECURITIES INVESTMENT LIMITED (“CWSIL”), the terms of Electronic Trading Service (if applicable) and the Risk Disclosure Statement in a language of my/our choice (English or Chinese) (receipt of a copy whereof is hereby acknowledged by me/us).

2. I/We, the undersigned client(s) hereby confirm and represent that the information on this Account Opening Form is true, complete and correct. CWSIL is entitled to rely fully on such information and representations for all purposes, unless CWSIL receives notice in writing of any change. CWSIL or any of its agents is hereby authorized at any time to contact anyone, including my/our banks or any credit agency, for the purpose of verifying the information provided on this Account Opening Form.

3. I/We, the undersigned client(s) hereby apply to open the types of account(s) and service(s) which I/We choose on the front page of this Account Opening Form and confirm that I/We have read and understand the relevant provisions of the attached Client Agreement and accept and agree to be bound by the Agreement as the same may be amended from time to time, and I/We hereby give you notice in writing that I/we confirm and authorize CWSIL to exercise all the powers of the Standing Authorities under the Client Agreement.

4. I/We request you to open a Securities Trading Account (“the Account”) and agree to abide by the rules and regulations of The Stock Exchange of Hong Kong Limited (“SEHK”) or any other regulatory body(ies) as amended from time to time governing the purchase and sale of securities quoted on the SEHK or any other stock exchanges.

5. I/We, the undersigned client(s) further acknowledge and confirm that I/We have been invited by CWSIL to read the Client Agreement, the Risk Disclosure Statement and the terms of Electronic Trading Service (if applicable), ask questions and take independent advice, if I/We wish.

6. I/We, the undersigned client(s) have carefully read, fully understood and agreed to accept and be bound by the Personal Information Collection Statement of the Agreement.

7. I/We want to use the internet Securities Trading Service. I/We have read and understood the terms of the Electronic Trading Service as set out in the Client Agreement of CENTRAL WEALTH SECURITIES INVESTMENT LIMITED (“CWSIL”) and I/We accept to be bound by the same. (if applicable)

8.If we [CENTRAL WEALTH SECURITIES INVESTMENT LIMITED] solicit the sale of or recommend any financial product to you (the client), the financial product must be reasonably suitable for you having regard to your financial situation, investment experience and investment objectives. No other provision of this agreement or any other document we may ask you to sign and no statement we may ask you to make derogates from this clause.

Account Holder (1) Signature
帳戶持有人(1)簽署

Account Holder (2) Signature
帳戶持有人(2)簽署

A/C Name 客戶名稱:

Date 日期:

A/C Name 客戶名稱:

Date 日期:

Signature of Witness
見證人簽署

Name of Witness
見證人姓名

SIGNING ARRANGEMENT 簽名安排 (For Joint Account Only. 只適用於聯名帳戶)

此帳戶可根據以下指示方式操作 (請在適當空格加) : The Account can be operated under the instruction of (please tick the appropriate box):

☐ Either one of the account holder; or 任何一位帳戶持有人的指示 ☐ Both account holders 兩位帳戶持有人的指示

Declaration by Licensed Staff 持牌職員聲明 :

本人，以持牌人士或註冊人士身份，確認本人已按照上述客戶所選擇的語言(英文或中文)提供客戶協議書、風險披露聲明及電子交易服務條款(如適用)之副本及邀請客戶閱讀客戶協議書、風險披露聲明及電子交易服務條款(如適用)，提出問題及徵求獨立意見(如客戶有此意願)。I, a licensed or registered person, hereby declare that I have provided the above client with a copy of the Client Agreement, the Risk Disclosure Statement and the terms of Electronic Trading Service (if applicable) in a language of the Client's choice (English or Chinese) and invited the client to read the Client Agreement, the Risk Disclosure Statement and the terms of Electronic Trading Service, ask questions and take independent advice if the client so wishes.

Signature of Licensed Person:

CE No. :

Name of Licensed Person:

Date:

持牌人士簽署: _____

中央編號: _____

持牌人士姓名: _____

日期: _____

Notes 注意:

如此開戶文件不是在中達證券投資有限公司持牌的職員或經紀前開立，客戶必須遵從以下其中一個程序要求：

If this document is not executed by the Client in front the licensed Staff or Account Executive of CENTRAL WEALTH SECURITIES INVESTMENT LIMITED ("CWSIL"), Client should comply with either one of the following procedure:

- a) 客戶必須交給中達證券投資有限公司由客戶在香港的持牌銀行開立的帳戶所簽發的個人支票，支票上要有客戶的身份證明文件上所顯示的姓名以及簽名必須與此開戶表格上的客戶簽名相符，抬頭人為“中達證券投資有限公司”而支票數額不少於港幣 10,000 元。待支票兌現以及所有相關文件驗證後，此帳戶才可使用。

Client should send CENTRAL WEALTH SECURITIES INVESTMENT LIMITED ("CWSIL") a personal cheque bearing his/ her name shown in his/her identity document and drawn on his/ her account with a licensed bank in Hong Kong with his/ her same signature(s) as shown on this Form in favor of "CENTRAL WEALTH SECURITIES INVESTMENT LIMITED" for not less than HK\$10,000. This account will be activated after the cheque is cleared and all related documents are verified.

- b) 此開戶表格及相關身份證明文件的見證，必須由其他持牌人士、中達證券投資有限公司的聯繫人士、太平紳士、專業人士如銀行分行經理、執業會計師、律師或公證人加以驗證。

The signing of this form and sighting of related identity documents should be certificated by other licensed person, an affiliated of CENTRAL WEALTH SECURITIES INVESTMENT LIMITED ("CWSIL"), a Justice of Peace (JP) or a professional person such as a branch manager of a bank, certified public accountant, lawyer or notary public.

For Official Use Only 公司專用**核對資料 Checklist:**

- ☐ 1) 已簽署之開戶表格及相關文件 Duly signed Client Account Opening Form and related documents
- ☐ 2) 最近三個月內附客戶姓名之住宅地址證明文件(如水、電費單, 銀行月結單等)及通訊地址證明文件(如需要); 郵政信箱恕不接受
Residential (e.g. utilities bills, bank statements, etc) and correspondence address proof (if needed) with Client's name dated within the last 3 months;
P.O. box is not accepted
- ☐ 3) 身份證副本 / 護照副本 I.D. card copy / passport copy
- ☐ 4) W-8 BEN 表格 Form W-8 BEN
- ☐ 5) W-9 表格 (如需要) Form W-9 (if required)
- ☐ 6) 個人稅務居民自我證明表格 Individual Tax Residency Self-Certification Form
- ☐ 7) 核實簽署之支票 (如需要) Valid and verified signed cheque (if required)
- ☐ 8) 指定人士之身份證及專業資格證明文件 (如需要) Designated person's identity card and professional qualification documents (if required)
- ☐ 9) AML / PEP, license check
- ☐ 10) 僱主之書面同意書 (如需要) Employer's consent letter (if required)

查核 Checked By:

職員姓名 Name of the Staff:

簽署 Signature:

帳戶介紹人:

Account introduced by:

經紀姓名及編號:

Name and Code of AE:

資料輸入:

Inputted by :

職員姓名 Name of the Staff:

簽署 Signature:

日期 Date:

帳戶批核:

Approved by:

職員姓名 Name of the Staff:

簽署 Signature:

日期 Date:

客戶佣金及最低佣金 :

Client Commission rate and Minimum Commission:

交易限額/信貸限額:

Trading Limit / Credit Limit:

利率:

Interest Rate:

其他資料 (例如:已獲得銀行及信貸參考):

Other information (e.g. bank and credit reference obtained):



中達證券投資有限公司

CENTRAL WEALTH SECURITIES INVESTMENT LIMITED

香港金鐘夏慤道16號遠東金融中心18樓1801-1802室
Room 1801-1802, 18/F, Far East Finance Centre,
16 Harcourt Road, Admiralty, Hong Kong.

香港聯合交易所參與者 (CE NO. AVE583)
Exchange Participant of The Stock Exchange of Hong Kong Limited

電話 TEL (852) 3958 4600
傳真 FAX (852) 3958 4666
電郵 EMAIL cs@cws.com.hk
網址 WEB www.cws.com.hk

簽署式樣申請表格 Signature Specimen Request Form

賬戶名稱 A/C Name: _____

賬戶號碼 A/C No.: _____

生效日期 Effective Date: _____

個人/聯名賬戶簽名式樣 Individual / Joint Account Specimen Signature	
簽名式樣 Specimen Signature	簽名式樣 Specimen Signature (聯名賬戶 Joint A/C)
客戶名稱 A/C Name	客戶名稱 A/C Name
身份證號碼/護照號碼/其他證件(請註明)號碼 ID/Passport No./Other documents(specify)No.	身份證號碼/護照號碼/其他證件(請註明)號碼 ID/Passport No./Other documents(specify)No.
聯名賬戶適用 For Joint A/C only	☐ 所有賬戶書面指示須由兩位賬戶持有人同時簽署 All written instruction of the account should be jointly signed by both account holders
備註 Remarks	

只供內部使用 Official use only
客戶經理簽署: _____ Signature of the Account Executive
客戶經理全名: _____ Full Name of the Account Executive
中央編號: _____ CE Number

註: 1. 此表格正本應交回中達證券有限公司以作記錄。The original of this form should be returned to CWSI for record.



中達證券投資有限公司

CENTRAL WEALTH SECURITIES INVESTMENT LIMITED

香港金鐘夏慤道16號遠東金融中心18樓1801-1802室
Room 1801-1802, 18/F, Far East Finance Centre,
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網址 WEB www.cws.com.hk

Individual Tax Residency Self-Certification Form

個人稅務居民自我證明表格

Account No 帳戶號碼: _____

Date 日期: _____

AE Code: _____

Important Notes 重要提示

- 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. 這是由賬戶持有人向申報金融 / 財務機構提供的自我證明表格，以作自動交換財務賬戶資料用途。申報金融 / 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。
- An account holder should report all changes in his/her tax residency status to the reporting financial institution. 如賬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金融 / 財務機構。
- 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. 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 (*) 的項目為申報金融 / 財務機構須向稅務局申報的資料。

Part 1: Identification of Individual Account Holder 第1部：個人賬戶持有人的身分識別資料

(For joint or multiple account holders, complete a separate form for each individual account holder.

對於聯名賬戶或多人聯名賬戶，每名個人賬戶持有人須分別填寫一份表格。)

Note 注意： Please tick where applicable. 請在適當的地方加上剔號。

*Name of Account Holder 賬戶持有人的姓名	Title 稱謂: ☐ Mr 先生 ☐ Mrs 太太 ☐ Miss 小姐 ☐ Ms 女士 ☐ Other 其他 _____
	*Name of Account Holder 姓名
	Business Name (Sole Traders Only) 公司名稱 (只適用於獨資業務)
HK / China Identity Card / Passport Number 香港/中國身份證/護照號碼	
*Current Residence Address 現時住址	* (e.g. Suite, Floor, Building, Street, District, City, Province, State, Country, Post Code/ZIP Code) (例如: 室、樓層、大廈、街道、地區、城市、省、州、國家、郵政編碼 / 郵遞區號碼)
Mailing Address 通訊地址 (Complete if different to the above current residence address 如通訊地址與上述現 時住址不同，填寫此欄)	(e.g. Suite, Floor, Building, Street, District, City, Province, State, Country, Post Code/ZIP Code) (例如: 室、樓層、大廈、街道、地區、城市、省、州、國家、郵政編碼 / 郵遞區號碼)
*Date of Birth 出生日期	(dd/mm/yyyy 日 / 月 / 年)
*Place of Birth 出生地點	
*Nationality 國籍	

Part 2 第 2 部：

*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 提供以下資料，列明：

- (a) each jurisdiction of residence (including Hong Kong) where the account holder is a **resident for tax purposes**; and
及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）；
- (b) the account holder's TIN for each jurisdiction indicated.
該居留司法管轄區發給帳戶持有人的稅務編號。

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

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, the TIN is the Hong Kong Identity Card Number (HKID).

如帳戶持有人是香港稅務居民，稅務編號是帳戶持有人的香港身份證號碼。

If a TIN is unavailable, provide the appropriate reason A, B or C 如沒有提供稅務編號，必須填寫合適的理由：

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

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。

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 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。

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.

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。

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	#Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號， 填寫理由 A、B 或 C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選取理由 B，解釋賬戶持有人不能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			
(5)			

Part 3: Declarations and Signature 第 3 部：聲明及簽署

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by Central Wealth Securities Investment Limited ("CWSIL") 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 Central Wealth Securities Investment Limited ("CWSIL") 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，中達證券投資有限公司「中達證券」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 (or I am authorised to sign for the account holder) of all the account(s) currently held with Central Wealth Securities Investment Limited ("CWSIL") by the individual identified in Part 1 of this form. 本人證明，就與本表格第 1 部所述的個人現於「中達證券」持有的所有賬戶，本人是賬戶持有人（或本人獲賬戶持有人授權代其簽署本表格）。 I undertake to advise Central Wealth Securities Investment Limited ("CWSIL") of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide Central Wealth Securities Investment Limited ("CWSIL") 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，以致影響本表格第 1 部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「中達證券」，並會在情況發生改變後 30 日內，向「中達證券」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。		
Signature 簽署: X	Note: If you are not the Account Holder please indicate the capacity in which you are signing the form. If signing under a power of attorney please also attach a certified copy of the power of attorney. (如你不是第 1 部所述的個人，說明你的身分。如果你是以受權人身分簽署這份表格，須夾附該授權書的核證副本。)	
Name 姓名: _____	Capacity/ Relationship 身分/關係:	

WARNING: It is a serious 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。

Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)

- For use by individuals. Entities must use Form W-8BEN-E.
- Go to www.irs.gov/FormW8BEN for instructions and the latest information.
- Give this form to the withholding agent or payer. Do not send to the IRS.

Do NOT use this form if:

- You are NOT an individual W-8BEN-E
- You are a U.S. citizen or other U.S. person, including a resident alien individual W-9
- You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the United States (other than personal services) W-8ECI
- You are a beneficial owner who is receiving compensation for personal services performed in the United States 8233 or W-4
- You are a person acting as an intermediary W-8IMY

Instead, use Form:

Note: If you are resident in a FATCA partner jurisdiction (that is, a Model 1 IGA jurisdiction with reciprocity), certain tax account information may be provided to your jurisdiction of residence.

Part I Identification of Beneficial Owner (see instructions)

1 Name of individual who is the beneficial owner	2 Country of citizenship
3 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address.	
City or town, state or province. Include postal code where appropriate.	Country
4 Mailing address (if different from above)	
City or town, state or province. Include postal code where appropriate.	Country
5 U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)	
6a Foreign tax identifying number (see instructions)	6b Check if FTIN not legally required ☐
7 Reference number(s) (see instructions)	8 Date of birth (MM-DD-YYYY) (see instructions)

Part II Claim of Tax Treaty Benefits (for chapter 3 purposes only) (see instructions)

- 9** I certify that the beneficial owner is a resident of _____ within the meaning of the income tax treaty between the United States and that country.
- 10 Special rates and conditions** (if applicable—see instructions): The beneficial owner is claiming the provisions of Article and paragraph _____ of the treaty identified on line 9 above to claim a _____ % rate of withholding on (specify type of income): _____.
- Explain the additional conditions in the Article and paragraph the beneficial owner meets to be eligible for the rate of withholding: _____.

Part III Certification

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income or proceeds to which this form relates or am using this form to document myself for chapter 4 purposes;
- The person named on line 1 of this form is not a U.S. person;
- This form relates to:
 - (a) income not effectively connected with the conduct of a trade or business in the United States;
 - (b) income effectively connected with the conduct of a trade or business in the United States but is not subject to tax under an applicable income tax treaty;
 - (c) the partner's share of a partnership's effectively connected taxable income; or
 - (d) the partner's amount realized from the transfer of a partnership interest subject to withholding under section 1446(f);
- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country; and
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. **I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.**

Sign Here
☐ I certify that I have the capacity to sign for the person identified on line 1 of this form.

Signature of beneficial owner (or individual authorized to sign for beneficial owner)

Date (MM-DD-YYYY)

Print name of signer



中達證券投資有限公司

CENTRAL WEALTH SECURITIES INVESTMENT LIMITED

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New Account Opening Checklist

Account Name: _____ Account No.: _____

Performed by Frontline Staff (e.g. Account Executive, Dealing Officer, Customer Service Officer)		
A. Basic Information		Must Tick
1. General	(a) Explain the operation and characteristics of the Account and investment product(s) (b) Perform Know-Your-Client and collect relevant documents (also verified true copy) (c) Give Client Agreement and explain Risk Disclosure to client (d) Remind client that 3rd party deposit / withdrawal of money and / or stock is not allowed (e) Inform client the fees and charges (f) Explain credit / margin limit, interest rate, margin call and force liquidation policy (If applicable)	☐ Yes
2. Derivatives Knowledge	(g) Ensure client suitable for derivative products and understand its risks before giving recommendation	☐ Yes
B. AML Related		
1. Politically Exposed Person ("PEP") / PEP-related	(a) Inquire if the client is / has been entrusted with prominent public functions inside and outside PRC, e.g. Head of State / government, senior politician / government official, senior executive, or a family member or close associate of such parties. If "Yes", please state: Position: _____ Authority: _____ Name of PEP: _____ Relationship with client: _____ (b) Obtain client's proof on source of funds (e.g. bank / income statement, tax receipt)	☐ Yes ☐ N/A
2. Account Risk Category	(c) Classify the Risk Category: ☐ Low ☐ Medium ☐ High (Please refer to: Client Risk Category and Customer Due Diligence Checklist)	
3. ONLY FOR Medium / High Risk category	(d) Enquire client on source of funds: ☐ Saving: previous salary / business / family / others: _____ ☐ Rental: property / others: _____ ☐ Investment: bank deposit / investment trading / others: _____ ☐ Loan: financial institution / relatives / others: _____ ☐ Others: _____ (e) Enquire / Expect client on expected investment size: ☐ <HKD100,000 ☐ HKD100,001-500,000 ☐ HKD500,001-1,000,000 ☐ HKD1,000,001-5,000,000 ☐ HKD5,000,001-10,000,000 ☐ >HKD10,000,000	☐ Yes ☐ N/A
AE/ Dealing Officer Signature: _____ AE/ Dealing Officer Code: _____		
AE / Dealing Officer Name: _____ Date: _____		
Approved (Account Opening) by Designated Officer (e.g. Responsible Officer)		
Date: Name: (Full name) Signature:	1. Check if the classification of the account risk category is appropriate 2. Check if proper Customer Due Diligence is carried out	☐ Yes

Note: This Checklist is required only when a new Client Account Open Form is completed. For client who opens both stock and futures accounts at the same time, this original shall be kept with stock account while a copy shall be kept with futures account.