

致：鉅誠證券有限公司（“鉅誠”，中央編號 BPX754）

To: Citrus Securities Limited (“CSL”, CE# BPX754)

香港灣仔軒尼詩道 303 號協成行灣仔中心 2201 室

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僅供內部使用 For internal use only

Account Type: Cash Margin

Account No.:

AE name/Code:

Referrer:

Account Opening Date:

開戶表格 Account Opening Form (公司客戶 Corporate Client)

本開戶表格及其附件構成賬戶申請人(「客戶」)與鉅誠就有關賬戶之開立、維持及運作而訂立之客戶協議書的一部分，若本表格英文版本與中文版本有所衝突或不一致之處，應以英文版本為準。

This account opening form and its appendices constitutes part of the written Client Agreement between the account applicant (the "Client") and CSL, regarding the opening, maintenance, and operation of the Account. Where there is any conflict or inconsistency between the English and Chinese versions of this Form, the English version shall prevail.

(I) 公司資料 Corporate Information

公司中文名稱 Corporate Name In English	
註冊成立地區 Place of Incorporation	註冊成立日期 Date of Incorporation
公司註冊碼 Incorporation No.	商業登記號碼(如有) Business Registration No. (if any)
公司性質 Nature of Entity <input type="radio"/> 有限公司 Limited Company <input type="radio"/> 合夥 Partnership <input type="radio"/> 獨資經營 Sole Proprietorship <input type="radio"/> 國有企業 State Owned Company <input type="radio"/> 上市公司 Listed Company (股票代號 Stock Code _____) <input type="radio"/> 其他 Others (請說明 please specify _____)	
公司電話號碼 Office Phone No.	電郵地址 Email Address
業務性質 Business Nature	
註冊地址 Registered Address:	
業務地址 Business Address:	
通訊地址 (如與業務地址不同) Correspondence Address:	
戶口種類 Account Type: <input type="radio"/> 現金賬戶 Cash Account <input type="radio"/> 保證金賬戶 Margin Account	
語言選擇 Language Selection for Statement <input type="radio"/> 簡體中文 <input type="radio"/> 繁體中文 <input type="radio"/> ENGLISH	
戶口結單或通知 Delivery of Account Statement or other notification <input type="radio"/> 電郵至電郵地址 To Email Address by email <input type="radio"/> 郵寄至通訊地址 (每份HK\$50) Residential or Correspondence Address by post (HK\$50 per statement)	
電子交易服務 ELECTRONIC TRADING SERVICE <input type="radio"/> 需要 Required 請為獲授權人士提供電子服務。本人/吾等已經閱讀並明白電子交易協議的條款，並同意這些條款的約束。 Please provide Authorised Person(s) with Electronic Trading Services. I/We have read and understand the provisions of the Electronic Trading Services and agree to be bound by same. <input type="radio"/> 不需要 Not Required	

登記銀行賬戶 Registered Bank Account

以下的銀行賬戶為客戶的登記賬戶（「登記賬戶」）。客戶特此授權鉅誠在收到客戶的提款指示後將款項支付予客戶之登記賬戶。鉅誠將在符合客戶協議中的條款之規定及於合理可行的情況下，根據該等提款指示盡快為客戶存入款項至指定的登記賬戶。鉅誠無須對基於任何原因而延遲存入款項導致客戶蒙受的任何虧失、開支或賠償承擔任何法律責任。

The following bank account is the registered account of the Client (the "Registered Account"). The Client hereby authorises CSL to deposit payments into the Registered Account upon receipt of and in accordance with the Client's instructions on fund withdrawal. CSL will, subject to the terms and conditions of the Client Agreement and reasonable practicality, deposit the payments into the Registered Account for the Client as soon as possible. CSL shall not be held liable for any loss, expenses or damages suffered by the Client as a result of any delay in depositing such payments caused by any reason whatsoever.

貨幣 Currency	銀行名稱 Name of Bank	賬戶名 Account Name (須與客戶名稱一致)	戶口號碼 Account Number #
HKD 港元			
USD 美金			
RMB 人民幣			

#銀行戶口僅供存款及提款用途使用 Bank Account shall be used for fund deposit & withdraw only

客戶進一步授權鉅誠接納客戶之電話/口頭通知，作為客戶名下證券多個賬戶間之轉賬指示。The Client further authorises CSL to accept the Client's telephone/verbal instruction for settlement instruction between Securities Accounts opened in CSL.

登記賬戶名稱須與客戶名稱一致 Name of the Registered Bank Account must be the name of the Client.

財務狀況 Financial Situation

繳足股本 Paid up Share Capital:			
年度營業額 Annual Turnover (港幣 in HK\$)			
<input type="radio"/> <= \$5,000,000	<input type="radio"/> \$5,000,001 - \$10,000,000	<input type="radio"/> \$10,000,001 - \$50,000,000	<input type="radio"/> >\$50,000,000
最新年度溢利 Latest Annual Profits (港幣 in HK\$)			
<input type="radio"/> <= \$1,000,000	<input type="radio"/> \$1,000,001 - \$5,000,000	<input type="radio"/> \$5,000,001 - \$10,000,000	<input type="radio"/> >\$10,000,000
資產淨值 Total Net Worth (港幣 in HK\$)			
<input type="radio"/> <= \$1,000,000	<input type="radio"/> \$1,000,001 - \$5,000,000	<input type="radio"/> \$5,000,001 - \$10,000,000	<input type="radio"/> >\$10,000,000
流動資產 Liquid Assets (港幣 in HK\$)			
<input type="radio"/> <= \$1,000,000	<input type="radio"/> \$1,000,001 - \$5,000,000	<input type="radio"/> \$5,000,001 - \$10,000,000	<input type="radio"/> >\$10,000,000
估計投資金額 Estimated Investment Amount (港幣 in HK\$)			
<input type="radio"/> <= \$1,000,000	<input type="radio"/> \$1,000,001 - \$5,000,000	<input type="radio"/> \$5,000,001 - \$10,000,000	<input type="radio"/> >\$10,000,000
總財富來源 Source of Wealth			
<input type="radio"/> 營業收入 Business Income <input type="radio"/> 租金收入 Rental Income, 年度金額 Annual Amount HK\$: _____			
<input type="radio"/> 投資回報 Investment Return, 資產類別 Investment Type: _____, 獲利金額 Profit Amount HK\$: _____			
<input type="radio"/> 其他 Others (請註明 please specify), 詳細內容 Details: _____, 獲得金額 Earned Amount HK\$: _____			
賬戶資金來源 Source of Account Funds			
<input type="radio"/> 股東資金 Funding from Shareholder(s)		<input type="radio"/> 關聯公司資金往來 Funding from Related Company	
<input type="radio"/> 業務利潤 Profits from Business		<input type="radio"/> 其他 Others (請註明 please specify): _____	

投資經驗及目標 Investment Experience and Objective

投資產品經驗 Experience with Investment Product					
證券 Stocks	<input type="radio"/> 沒有 Nil	<input type="radio"/> <1年 year	<input type="radio"/> 1-5年 years	<input type="radio"/> 6-10年 years	<input type="radio"/> >10年 years
牛熊證 CBBC	<input type="radio"/> 沒有 Nil	<input type="radio"/> <1年 year	<input type="radio"/> 1-5年 years	<input type="radio"/> 6-10年 years	<input type="radio"/> >10年 years
衍生權證 Warrants	<input type="radio"/> 沒有 Nil	<input type="radio"/> <1年 year	<input type="radio"/> 1-5年 years	<input type="radio"/> 6-10年 years	<input type="radio"/> >10年 years
期貨期權 Futures/Options	<input type="radio"/> 沒有 Nil	<input type="radio"/> <1年 year	<input type="radio"/> 1-5年 years	<input type="radio"/> 6-10年 years	<input type="radio"/> >10年 years
基金 Funds	<input type="radio"/> 沒有 Nil	<input type="radio"/> <1年 year	<input type="radio"/> 1-5年 years	<input type="radio"/> 6-10年 years	<input type="radio"/> >10年 years
債券 Bonds	<input type="radio"/> 沒有 Nil	<input type="radio"/> <1年 year	<input type="radio"/> 1-5年 years	<input type="radio"/> 6-10年 years	<input type="radio"/> >10年 years
其他 Others _____	<input type="radio"/> 沒有 Nil	<input type="radio"/> <1年 year	<input type="radio"/> 1-5年 years	<input type="radio"/> 6-10年 years	<input type="radio"/> >10年 years
閣下可用作投資的可動用收入的平均百分比是多少? What is the average percentage of the your disposable income that can be set aside for investment?					
<input type="radio"/> <5%		<input type="radio"/> 5% ~ 15%		<input type="radio"/> 15% ~ 25%	
<input type="radio"/> >25%					
閣下將用作投資的資金佔淨流動資產值(不包括自住物業等固定資產的價值)的平均百分比是多少? What is the average percentage of your current net worth (excluding the value of your fix asset such as self-occupied property) that will be allocated for investment purpose?					
<input type="radio"/> <10%		<input type="radio"/> 10% ~ 20%		<input type="radio"/> 20% ~ 30%	
<input type="radio"/> >30%					

閣下的預計投資期限是多久? How long is your expected investment horizon?

- <1年(year) 1 ~ 3年(year) 3 ~ 5年(year) >5年(year)

閣下投資的主要目標是什麼? What is your main objective of investment?

- 對抗通脹 Fight Against Inflation 提高收益率 Yield Enhancement
 長線增值 Long Term Gain 投機增值 Speculative Gain

下列那一項最能夠形容閣下的投資態度? Which of the following do you think best describes your investment attitude?

- 一般而言, 閣下能承受投資上約10%的價格上落波動, 以獲得稍微高於銀行存款利率的潛在回報。In general, I/We can bear price fluctuation of around 10% of my investment in exchange for potential gain, which is slightly higher than the rate of bank deposits.
- 一般而言, 閣下能承受投資上大約20%的價格上落波動, 以獲得明顯高於銀行存款利率的潛在回報。In general, I/We can bear price fluctuation of around 20% of my investment in exchange for potential gain, which is much better than the rate of bank deposits.
- 一般而言, 閣下能承受投資上大約30%的價格上落波動, 以獲得與股票市場指數相若的潛在回報。In general, I/We can bear price fluctuation of around 30% of my investment in exchange for potential gain, which is comparable to the stock market indexes.
- 閣下能承受投資上任何的價格上落波動, 以獲得明顯高於股票市場指數的潛在回報。I/We can bear any price fluctuation of my investment in exchange for potential gain, which is remarkably higher than the stock market indexes.

在一般情況下, 如果閣下的投資組合在一天內大幅下跌(例如: 超過20%), 閣下會有什麼反應?

In general, how would you react if your portfolio drop significantly (e.g. more than 20%) within one day?

- 感到無助, 不知道該怎麼辦 Feel helpless, not sure what to do
 通過出售所有剩餘投資止蝕 Cut loss by selling all the remaining investment
 不會太擔心, 因為波動是難免的 Not much concern, as fluctuations are unavoidable
 加大投資, 趁低價吸納 Invest more, take advantage of lower prices

衍生產品 derivative product(s)

本人/吾等未有衍生產品之認識亦不會進行買賣 I/We do not have any knowledge of derivative products and will NOT trade them.

或/OR

本人/吾等希望購入以下可在交易所買賣之衍生產品 I/We wish to purchase the following derivative product(s) which is/are traded on an exchange: 牛熊證 Callable Bull/Bear Contracts(CBBC) / 衍生權證 (窩輪) Derivative Warrants / 交易所買賣基金 Exchange-Traded Funds(ETFs), 本人對衍生產品的認識 My Knowledge of Derivative Products (可多選):

- 本人/吾等曾接受有關衍生產品的培訓或修讀相關課程 I/We underwent training or attended courses on derivative products.
- 本人/吾等現時或過去擁有與衍生產品有關的工作經驗 I/We have current or previous work experience related to derivative products.
- 本人/吾等於過去 3 年內曾執行過 5 次或以上有關衍生產品的交易, 例如: 衍生權證、牛熊證、股票期權、指數期貨及期權、商品期貨、結構性產品及交易所買賣基金等。I/We have executed five or more transactions within the past three years in derivative products, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Index Futures and Options, Commodities Futures, Structured Products, and Exchange-Traded Funds, etc.

本人/吾等確認鉅誠已通知本人/吾等買賣衍生產品前必須對相關產品具備足夠的認識, 及已提醒本人/吾等要注意衍生產品之產品性質、特性及風險。I/We confirm CSL has notified me/us that it is compulsory to understand derivative products before trading, and has also warned me/us to care about the product nature, characteristics and risk associated with derivative products.

如本人/吾等被歸類為「對衍生產品沒有認識」, 本人/吾等進一步確認已仔細閱讀在《客戶協議書》所載風險披露聲明所列明的有關投資衍生產品所涉及的風險, 並完全明白其中所述之相關風險。儘管本人/吾等可能並沒有相關衍生產品交易經驗, 本人/吾等可能基於獨立判斷仍要求進行衍生產品交易。本人/吾等願意承擔所有相關衍生產品風險。

If I/We am/are categorized as "without knowledge of derivatives", I/We further acknowledge that I/We have carefully read the relevant risks associated with investing in derivative products of the Risk Disclosure Statement in the Client Agreement and fully understood the relevant risks herewith. Although I/We might not have relevant derivatives product(s) trading experience, I/We may still base on my own independent judgement to request for entering into transaction(s) of derivatives product(s) and would take all risks associated.

股東及實益擁有人 Shareholder(s) and Beneficial Owner(s)

請提供由董事簽署之公司股權架構圖 Please provide the Organization Chart Certified by Director

股東及實益擁有人姓名 Name of Shareholder and Beneficial Owner	所佔股權 Shareholding (%)

個人股東/最終實益擁有人/董事
Information of Individual Shareholder(s) / Ultimate Beneficial Owner(s) / Director(s)

最終實益擁有人指直接或間接擁有25%或以上權益（發行股本或投票權）的實益擁有人
ultimate beneficial owner ("UBO") is defined as who is entitled to, directly or indirectly, not less than 25% interest (shareholding or voting rights).

(1) 中文姓名 English Name:	<input type="checkbox"/> 股東 Shareholder <input type="checkbox"/> 董事 Director <input type="checkbox"/> 最終實益擁有人 Ultimate Beneficial Owner
國籍 Nationality	身份證/護照號碼 ID /Passport No.
出生日期 Date of Birth (DD/MM/YYYY)	電郵 Email
流動電話 Mobile No.	住宅電話 Home Tel. No.
住宅地址 Residential Address	
(2) 中文姓名 English Name:	<input type="checkbox"/> 股東 Shareholder <input type="checkbox"/> 董事 Director <input type="checkbox"/> 最終實益擁有人 Ultimate Beneficial Owner
國籍 Nationality	身份證/護照號碼 ID /Passport No.
出生日期 Date of Birth (DD/MM/YYYY)	電郵 Email
流動電話 Mobile No.	住宅電話 Home Tel. No.
住宅地址 Residential Address	
(3) 中文姓名 English Name:	<input type="checkbox"/> 股東 Shareholder <input type="checkbox"/> 董事 Director <input type="checkbox"/> 最終實益擁有人 Ultimate Beneficial Owner
國籍 Nationality	身份證/護照號碼 ID /Passport No.
出生日期 Date of Birth (DD/MM/YYYY)	電郵 Email
流動電話 Mobile No.	住宅電話 Home Tel. No.
住宅地址 Residential Address	
(4) 中文姓名 English Name:	<input type="checkbox"/> 股東 Shareholder <input type="checkbox"/> 董事 Director <input type="checkbox"/> 最終實益擁有人 Ultimate Beneficial Owner
國籍 Nationality	身份證/護照號碼 ID /Passport No.
出生日期 Date of Birth (DD/MM/YYYY)	電郵 Email
流動電話 Mobile No.	住宅電話 Home Tel. No.
住宅地址 Residential Address	

公司股東資料 Information of Corporate Shareholder(s)

(1) 公司中文名稱 Corporate Name In English:	
註冊成立地區 Place of Incorporation	註冊成立日期 Date of Incorporation
公司註冊碼 Incorporation No.	商業登記號碼(如有) Business Registration No. (if any)
業務性質 Business Nature	
註冊地址 Registered Address:	
(2) 公司中文名稱 Corporate Name In English:	
註冊成立地區 Place of Incorporation	註冊成立日期 Date of Incorporation
公司註冊碼 Incorporation No.	商業登記號碼(如有) Business Registration No. (if any)
業務性質 Business Nature	
註冊地址 Registered Address:	

董事會決議摘錄 Extract of Board Resolutions

董事會決議摘錄 Extract from the resolutions of the board of directors of _____

(「本公司」 the "Company") dated 日期: 20 年 _____ 月 _____ 日.

茲決議 IT WAS RESOLVED THAT:

- a) 特此授權客戶協議指定人士或此表格獲授權人士列明的任何一名人士(合稱「獲授權人士」), 在有需要的情況下為本公司, 代本公司及以本公司名義簽署、簽立賬戶開戶文件及其他與賬戶開立有關的必要文件; any one person listed in this Form "Authorised Person(s)" part or specified in the Client Agreement (together, "Authorised Persons") be and are hereby authorised to sign and execute the account opening documentation and other necessary documents relating to the account opening for, on behalf of and in the name of the Company;
- b) 特此授權獲授權人士為本公司, 代本公司及以本公司名義 any one person of Authorised Persons be and are hereby authorised to:
 - 為本公司, 代表本公司及以本公司名義簽署、簽立及交付鉅誠就結算其證券交易及賬戶運作而要求的任何及全部協議、同意書、指示函或其他文件; sign, execute and deliver for, on behalf of and in the name of the Company, any and all agreements, consents, letters of instruction or other documents required by CSL for the settlement of securities transactions with CSL and the operation of the Account;
 - 為本公司, 代表本公司及以本公司名義將賬戶內的任何資金或證券從賬戶內提取或轉出; 及 withdraw or transfer for, on behalf of and in the name of the Company, from the Account any monies or securities contained in the Account; and
 - 為本公司, 代表本公司及以本公司名義作出、簽立及交付對修訂授權屬必要或適當的任何及全部書面背書及文件。make, execute and deliver any and all written endorsements and documents necessary or proper to amend authorisations for, on behalf of, and in the name of, the Client.
- c) 特此授權獲授權人士代本公司買賣任何證券發出書面及口頭指示, 及/或透過電子服務系統發出指示(如適用); 及 any one of Authorised Persons be and are hereby authorised to give written or verbal instructions, and/or instruction through the Electronic Trading Services (where applicable) in relation to the purchase or sale of any securities on behalf of the Company; and
- d) 將此等決議案遞交予鉅誠, 且持續具有十足效力, 直至董事會通過經修訂決議案, 並經本公司董事正式核證的相關決議案副本交付予鉅誠為止。these resolutions be communicated to CSL and remain in full force until an amending resolution has been passed by the Board of Directors and a copy thereof duly certified by a director of the Company be delivered to CSL.

本人/吾等特此核證 I/We hereby certify that:

- i. 以上是依照本公司憲章性文件地通過的決議的真實摘錄; the above is a true extract of the resolutions passed by the board of directors in accordance with the constitutional documents of the Company;
- ii. 以上決議已妥善地記錄在公司的會議記錄冊之上; 及 the above resolutions have been duly recorded in the Minutes Book of the Company; and
- iii. 以上決議並沒有被撤銷。 the above resolutions have not been rescinded.

X _____ Date 日期: _____

簽署人姓名 Name of Signer:

○ 或: 本公司已向鉅誠獨立提供一份已依照公司憲章流程通過的董事會決議案的正本或經驗證之真確複本。 Or we have provided to CSL an original or certified true copy of a duly passed Board Resolution in accordance with the constitutional documents of the Company.

注意: 本董事會決議樣本僅供參考。鉅誠不接受因任何不作為, 不正確或錯誤引起的任何損失或賠償責任(不論基於侵權、合同或其他訴由)。 Note: This sample resolution is published by CSL for reference only. CSL accept no liability (whether in tort or contract or otherwise) for any loss or damage arising from any omission, inaccuracy or errors.

獲授權人士 Authorised Person(s)

註: 就下述獲客戶授權的人士而言, 鉅誠有權依賴本部分及/或客戶的董事會決議摘錄, 遵從獲客戶授權的人士發出的任何口頭或書面指示, 或透過電子交易服務發出的指示。鉅誠並無任何責任進一步核實該等人士的指示或身份是否真確。客戶同意受下述獲客戶授權的人士代客戶作出的行為約束。 Note: With respect to the person(s) authorised by the Client below, CSL shall be entitled to rely on this Part and/or the extract of board resolution, to follow any oral or written Instructions, or Instructions given through Electronic Trading Services given by the person(s) authorised by the Client. CSL shall have no duty to further verify the authenticity of the instructions or identity of such person(s). The Client agrees to be bound by the acts of the person(s) authorised by the Client below.

(1)姓名 Name	簽字式樣 Specimen Signature
電郵 Email:	X
流動電話 Mobile No.	身份證/護照號碼 ID /Passport No.
(2)姓名 Name	簽字式樣 Specimen Signature
電郵 Email:	X
流動電話 Mobile No.	身份證/護照號碼 ID /Passport No.

(II) 稅務居民自我證明表格 (實體) Tax Residency Self-Certification Form (Entity)

實體類別 Entity Type

被動非財務實體 Passive NFE

- 不屬主動非財務實體的非財務實體 NFE that is not an Active NFE
- 位於非參與稅務管轄區並由另一金融 / 財務機構管理的投資實體 Investment entity that is managed by another financial institution and located in a non-participating jurisdiction

主動非財務實體 Active NFE

- 該非財務實體的股票經常在 _____ (一個具規模證券市場) 進行買賣 NFE the stock of which is regularly traded on _____, which is an established securities market
- _____ 的有關連實體, 該有關連實體的股票經常在 _____ (一個具規模證券市場) 進行買賣 Related entity of _____, the stock of which is regularly traded on _____, which is an established securities market
- 政府實體、國際組織 (例如聯合國或北大西洋公約組織 (「NATO」))、中央銀行或由前述的實體全權擁有的其他實體 NFE is a governmental entity, an international organization (for example the United Nations or North Atlantic Treaty Organisation ("NATO")), a central bank, or an entity wholly owned by one or more of the foregoing entities
- 除上述以外的主動非財務實體 (例如新成立的非財務實體或非牟利的非財務實體) Active NFE other than the above (for example a start-up NFE or a non-profit NFE)

金融 / 財務機構 Financial Institution

- 託管機構、存款機構或指明保險公司 Custodial Institution, Depository Institution or Specified Insurance Company
- 投資實體, 但不包括由另一金融 / 財務機構管理 (例如: 擁有酌情權管理投資實體的資產) 並位於非參與稅務管轄區的投資實體 Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity's assets) and located in a non-participating jurisdiction

控權人 (如實體帳戶持有人是被動非財務實體, 填寫此部)

Controlling Persons (Complete this part if the entity account holder is a passive NFE)

就帳戶持有人, 填寫所有控權人的姓名在列表內。就法人實體, 如行使控制權的並非自然人, 控權人會是該法人實體的高級管理人員。每名控權人須分別填寫一份控權人稅務居民自我證明表格 (CRS – CP (HK))。

Indicate the name of all controlling person(s) of the account holder in the table below. If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official. Complete Controlling Person Tax Residency Self-Certification Form (CRS-CP (HK)) for each controlling person separately.

1.	5.
2.	6.
3.	7.
4.	8.

稅務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」)

Jurisdiction of Tax Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN")

請填寫以下表格, 列明 (a) 帳戶持有人為稅務目的而為居民的居留司法管轄區 (包括香港) 及 (b) 帳戶持有人於該居留司法管轄區的稅務編號。請列出所有 (不限於 3 個) 居留司法管轄區。

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder's TIN for each jurisdiction indicated. Indicate all (not restricted to three) jurisdictions of residence.

如沒有提供稅務編號, 必須填寫合適的理由 A、B 或 C:

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。

理由 B – 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 C – 帳戶持有人不能取得稅務編號。(如選取理由 C, 解釋帳戶持有人不能取得稅務編號的原因)

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

Reason B – TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

Reason C – The account holder is unable to obtain a TIN. (Explain why the account holder is unable to obtain a TIN if you have selected Reason C)

居留司法管轄區 Jurisdiction of Residence	稅務編號 TIN	如沒有提供稅務編號, 請選取理由 A、B 或 C Please tick Reason A, B or C if no TIN is available	如選取理由 C, 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 Reason C is selected
		<input type="radio"/> A <input type="radio"/> B <input type="radio"/> C	
		<input type="radio"/> A <input type="radio"/> B <input type="radio"/> C	
		<input type="radio"/> A <input type="radio"/> B <input type="radio"/> C	

美國《海外帳戶稅收合規法案》 Foreign Account Tax Compliance Act (“FATCA”)

本公司謹此聲明本公司的美國《海外帳戶稅收合規法案》狀況與本公司(通過在以下列表剔選合適的選項)所明示的一致。在下方選擇本公司的《海外帳戶稅收合規法案》狀況時，本公司進一步謹此：

We hereby declare that our FATCA status is/are as indicated by our selection (by ticking the appropriate box) under the table below. In selecting our FATCA status below, we further hereby:

- a) 承諾隨時及不時遵守所有(不論現存或將來實施)適用的美國《海外帳戶稅收合規法案》要求； undertake to comply at all times and from time to time, with any and all applicable FATCA requirements;
- b) 確定本公司在必要時已經諮詢過獨立法律及/或稅務的意見，並確認鉅誠不能及不會提供任何與美國《海外帳戶稅收合規法案》要求及本申報表有關的法律及/或稅務意見；及 confirm that we have consulted independent legal and/or tax advice where necessary and acknowledge that CSL cannot and will not provide any legal and/or tax advice in connection with FATCA requirements; and
- c) 本公司知悉及明白，鉅誠保留時不時向本公司要求提供更多與本公司的《海外帳戶稅收合規法案》有關聯的文件的權利。 acknowledge and understand that CSL reserves the right to request us to provide additional documentation in connection with our FATCA status from time to time.

1. 貴公司是否美國註冊公司？ Is your company a U.S. registered entity?

否 No 是 Yes (請填寫Form W-9, Please further complete Form W-9.)

2. 貴公司的任何股東、董事、合夥人、獲客戶授權的人士、最終負責就賬戶發出指示（見一般條款之定義）的人士或賬戶的最終實益擁有人（在每一情況下，稱為「相關人士」）是否(就稅務目的而言) 美國居民*及/或美國公民#？ Is any of the shareholder(s), director(s), partner(s) of your company, the authorised person(s), the person(s) ultimately responsible for giving Instructions (as defined under the General Terms) for the Account or the ultimate beneficial owner of the Account (in each case, a “Relevant Person”) a U.S. Resident* for tax purposes and/or a U.S. citizen#?

否 No 是 Yes (請填寫Form W-9, Please further complete Form W-9.)

3. 貴公司或相關人士是否擁有美國地址 (如業務、註冊、居住、通訊地址)？ Does your company or any relevant person(s) have any U.S. address (e.g. business, registered, residential, corresponding address)?

否 No 是，請說明 Yes, please specify: _____

4. 貴公司或相關人士是否擁有美國電話號碼 (如公司、住宅、工作、手提、傳真號碼)？ Does your company or any relevant person(s) have any U.S. telephone number (e.g. office, home, work, mobile, fax number)?

否 No 是，請說明 Yes, please specify: _____

5. 貴公司有否或會否發出向某美國銀行賬戶轉賬款項的常設授權指示？ Have your company given or will your company give standing instruction to the Company to pay amounts to an account maintained in the U.S.?

否 No 是，請說明 Yes, please specify: _____

如第3至5題之任何答案為”是”，請額外填寫 W8BEN-E 表格。 If any of the answers to questions 3 to 5 are “Yes” , please further complete W8BEN-E Form.

*美國居民，就稅務目的而言，包括美國綠卡持有人(即美國合法永久居民)及符合實質居住測試的個人(即他/她在本納稅年度已處於美國境內最少31實際天數，並在一個為期三年的年內根據以下的計算方式處於美國境內183等同的天數：等同的天數 = 實際於本納稅年度處於美國境內的天數 + 他/她於前一納稅年度處於美國境內的天數之三分之一 + 他/她於之前第二個納稅年度處於美國境內的天數之六分之一)。閣下應就閣下的美國稅務居住地問題諮詢閣下的稅務顧問。 A U.S. resident for tax purposes includes a U.S. green card holder (i.e. a U.S. lawful permanent resident) as well as an individual who meets the substantial presence test (i.e. he/she has been present in the U.S. for at least 31 actual days in the current tax year and 183 equivalent days during a three-year period using the following formula: equivalent days = actual days in the U.S. in the current tax year + 1/3 of his/her days in the U.S. in the immediate preceding tax year + 1/6 of his/her days in the U.S. in the second preceding tax year). The Client should consult his/her/their own tax advisor regarding such U.S. tax residency.

#一個出生在美國領土的人(例如，美屬薩摩亞、北馬裡亞納羣島共榮邦(於1986年11月3日之後出生)、關島、波多黎各自由邦、美屬處女群島)也被視為美國公民。 A person who was born in a U.S. territory (e.g. American Samoa, the Commonwealth of Northern Mariana Island (born after November 3, 1986), Guam, the Commonwealth of Puerto Rico, the U.S. Virgin Islands) would also be considered as a U.S. citizen.

(III) 聲明 Declaration

閣下是否以中介人身份操作帳戶？ Are you acting as an intermediary for the account?

否 No 是，請說明 Yes, please specify: _____

貴公司的任何股東、董事、合夥人，獲客戶授權的人士、最終負責就帳戶發出指示（見一般條款之定義）的人士或帳戶的最終實益擁有人*（在每一情況下，稱為「相關人士」）是否為香港聯合交易所或香港期貨交易所之參與者或證監會（見一般條款之定義）之持牌人或註冊人之董事、僱員或認可人士？

Is any of the shareholder(s), director(s), partner(s) of your company, the authorised person(s), the person(s) ultimately responsible for giving Instructions (as defined under the General Terms) for the Account or the ultimate beneficial owner* of the Account (in each case, a "Relevant Person") a director or employee or representative of an exchange participant of the Hong Kong Stock Exchange or Hong Kong Futures Exchange, or a licensed or registered person of the SFC (as defined under the General Terms) ?

否 No 是，請說明 Yes, please specify: _____

是否有任何相關人士與任何地方的交易所上市公司的高級人員/董事/大股東有任何關連？

Are any of the Relevant Person(s) have relationship with senior officers/directors/substantial shareholder of any listed company?

否 No 是，請說明 Yes, please specify: _____

是否有任何相關人士為鉅誠之職員或代表，或與鉅誠之職員或代表有親屬關係？ Are any of the Relevant Person(s) an employee or representative of CSL, or a relative of any employee or representative of CSL?

否 No 是，請說明 Yes, please specify: _____

貴公司的集團內任何公司，是否在鉅誠持有證券帳戶？ Does any company of your company group maintain any Securities Account(s) with CSL?

否 No 是，請說明 Yes, please specify: _____

貴公司的任何股東 / 董事、獲授權人、最終負責就帳戶發出指示的人士或帳戶的最終實益擁有人，及/或其配偶及/或各自的關聯人士是否在鉅誠持有證券帳戶？ Does any shareholders/directors, authorized persons, the person ultimately responsible for giving instructions for the Account or the ultimate beneficial owner of the Account, either alone or jointly with his/her spouse and his/her related person(s) maintain any Securities Account(s) with CSL?

否 No 是，請說明 Yes, please specify: _____

貴公司、貴附屬公司或聯屬公司或持有35%或以上表決權的受益人，是否持有鉅誠其他證券帳戶客戶35%或以上之表決權？ Does your company or any of its subsidiary or associated company or its beneficial owner (controlling 35% or more of the voting rights of the Client) hold 35% or more of the voting rights of any other Securities Account Client of CSL?

否 No 是，請說明 Yes, please specify: _____

是否有任何相關人士，而該相關人士的配偶、伴侶、子女或父母，或該相關人士子女的配偶或伴侶，或與該相關人士關係密切的人屬「政治人物」# 一類人士？ Is any of the Relevant Person(s), the spouse, partner, children or parents of the Relevant Person(s), or spouse or partner of a child of the Relevant Person(s), or a close associate is a Politically Exposed Persons ("PEP")#?

否 No 是，請說明 Yes, please specify: _____

* 最終實益擁有人指將會從與帳戶有關的交易取得商業或經濟利益及/或承擔其商業或經濟風險的人士或實體(不論該實體是否為法律實體)。 Ultimate beneficial owner means the person or entity (legal or otherwise) that stands to gain the commercial or economic benefit of the transactions in relation to the Account and/or bear the commercial or economic risk of such transactions.

政治人物是指擔任或曾擔任重要公職或在國際組織擔任或曾擔任重要職位的個人，包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要的政黨幹事及高級管理層。詳細定義見《打擊洗錢及恐怖分子資金籌集條例》（第615章）。 PEP means an individual who has been entrusted with a prominent public function or entrusted with prominent function by an international organisation and includes a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation, an important political party official and members of senior management. It is more specifically defined under Anti-Money Laundering and Counter-Terrorist Financing Ordinance (Cap. 615).

鉅誠擬使用閣下的個人資料作直接促銷，為此須取得閣下的同意。通過簽署此開戶申請表格，閣下同意鉅誠向你發放關於財務、證券、投資服務和產品的推廣資料，亦同意鉅誠與其所屬集團的公司分享閣下的個人資料作行銷用途。

CSL intends to use your personal data in direct marketing which requires your consent. By signing this Account Opening Form, you agree to receive promotional and direct marketing information from CSL in respect of financial, insurance, securities, investment services and products CSL may offer. You further agree that CSL may share your personal data with its group companies for marketing purposes.

是 Yes 否 No

(IV) 確認及簽署 Acknowledgement and Execution by the Client

1. 本人/吾等確認及保證本人/吾等已獲得所有「關連人士」的明示及訂明同意，不時就交易賬戶條款和條件內所訂明的目的，向鉅誠提供「關連人士」的資料，並向在客戶協議條款和條件內所訂明的人士透露有關資料。本人/吾等承諾本人/吾等在該等保證不真實和所有其他違反該等保證的情況下造成的開支、罰款、損害及費用，向鉅誠作出彌償並使其獲得彌償。就該等保證而言，「關連人士」指本人/吾等以外的人士或單位，而其資料（包括個人資料或稅務資料）由本人/吾等（或本人/吾等之代表）向鉅誠的任何成員提供或由鉅誠的任何成員向客戶提供相關服務時而獲得。
 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，除非鉅誠接到更改有關本開戶表格內容之書面通知，否則鉅誠有權完全依賴此等資料及聲明作一切用途。鉅誠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/吾等之銀行或任何信用機構進行核實。
 3. 本人/吾等承諾，如本人/吾等的上述信息有所改變，本人/吾等會在30日內通知鉅誠。
 4. 本人/吾等知悉及同意，鉅誠可根據《稅務條例》（第112章）有關交換財務帳戶資料的法律條文，（a）收集本客戶資料聲明所載資料並可備存作自動交換財務帳戶資料用途及（b）把該等資料和關於客戶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，從而把資料轉交到客戶的居留司法管轄區的稅務當局。
 5. 本人/吾等確認鉅誠已提供且本人/吾等收到客戶協議書，包括：電子交易服務條款(如適用)及風險披露聲明書(“客戶協議書”)。本人/吾等同意及確認此開戶表格為《客戶協議書》的一部份，並同意自行到鉅誠網站<http://www.citrussecurities.com> 瀏覽最更新之《客戶協議書》，並知悉鉅誠會適時於網站發佈最更新之《客戶協議書》。
 6. 本人/吾等確認已閱讀並明白附上之客戶協議書內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，及確認並授權鉅誠行使在客戶協議書內全部的常設授權。本人/吾等進一步確認鉅誠已經邀請本人/吾等閱讀風險披露聲明書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)。
 7. 本人/吾等要求鉅誠為本人/吾等開立證券買賣帳戶並同意遵守聯交所及其他監管機構不時修訂以監管於聯交所或其他交易所進行證券買賣之條例及規則。
 8. 本人/吾等已仔細閱讀、完全理解並同意接受及遵守該協議書內之個人資料收集聲明。
1. I/We confirm and warrant that I/We have obtained the express and prescribed consent of every Connected Person to the provision of his/her information to CSL for the purposes and disclosure to the persons as provided in the terms and conditions of the Client Agreement from time to time. I/We undertake to indemnify and keep indemnified CSL in respect of any costs, penalties, damages and losses whatsoever which may be suffered or incurred by CSL, directly or indirectly arising out of, or in connection with this warranty being untrue and any other breach of this warranty. For the purpose of this warranty, “Connected Person” means a person or entity (other than me/us) whose information, including personal data or tax information, is provided by me/us, or on my behalf, to CSL, or which is otherwise received by CSL in connection with the provision of the services to me/us.
 2. I/We hereby confirm and represent that the information on this Account Opening Form is true, complete and correct. CSL is entitled to rely fully on such information and representations for all purposes, unless CSL receives notice in writing of any change of information contained on this Account Opening Form. CSL or any of its agents is hereby authorized at any time to contact anyone, including my/our bank s or any credit agency, for the purpose of verifying the information provided on this Account Opening Form.
 3. I/We undertake to notify CSL within 30 days if any change of the above information.
 4. I/We acknowledge and agree that (a) the information contained in this Client Information Statement is collected and may be kept by CSL for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the Client and any reportable account(s) may be reported by CSL 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 Client 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).
 5. I/We hereby confirm that I/We have received the Client Agreement, including the Terms of Electronic Trading Services (if applicable) and the Risk Disclosure Statement (“Client Agreement”) provided by CSL. I/We acknowledge this Form is part of the Client Agreement and I/We agree to read the most updated provision of the Client Agreement from CSL website <http://www.citrussecurities.com> and understand the most updated provision of the Client Agreement will be posted from time-to-time in CSL website.
 6. I/We hereby confirm that I/We have read and understand the relevant provisions of the Client Agreement and accept and agree to be bound by the Client 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 CSL to exercise all the powers of the Standing Authorization under the Client Agreement. I/We further acknowledge and confirm that I/We have been invited by CSL to read the Risk Disclosure Statement and the Terms of Electronic Trading Services (if applicable); ask questions and take independent advice, if I/We so wish.
 7. I/We request CSL to open a securities trading account for me/us and agree to abide by the rules and regulations of the Exchange or any other regulatory body(ies) as amended from time to time governing the purchase and sale of securities quoted on the the Exchange or any other stock exchanges.
 8. I/We have carefully read, fully understood and agreed to accept and be bound by the Personal Information Collection Statement of the Client Agreement.

公司賬戶簽署For Corporate Account Signature:

X

Date 日期: _____

簽署人姓名Name of Signer

內部填寫 For Internal Use

見證客戶簽署及身份證明文件驗證 (如適用) Certification of Client Signature and Identity Proof (if applicable)

若本開戶表格並非在鉅誠之證監會持牌僱員面前簽立或並非連同支票一併遞交，則以下部分應由指定人士，包括其他證監會持牌人或註冊人、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，簽署驗證。而該指定人士需提供其已簽署之身份證明文件副本及其專業資格證明文件之副本。

If this Account Opening Form is not executed in front of CSL's SFC licensed employee or is not submitted with a cheque, a specified person, including any SFC licensed or registered person, a Justice of Peace, or professional such as a Branch Manager of a bank, Certified Public Accountant, lawyer or Notary Public, should be required to sign below. The specified person should provide us with self-certified ID copy and copy of the professional qualification documents.

以下簽署人士謹此見證上述客戶簽立此文件(連同客戶協議書) 及其有關的身份證明文件:

The undersigned person hereby certify the signing of this Account Opening Form (together with the Client Agreement) by the above Client(s) and witness of related identity documents of such Client(s) :

Signed and Certified by 見證人簽署 X	Name 姓名	Date 日期: _____
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持牌職員聲明 Declaration by Licensed Staff

本人，以持牌人士身份，確認本人已向上述客戶提供風險披露聲明書之副本及邀請客戶閱讀該風險披露聲明書、提出問題及徵求獨立意見(如客戶有此意願)。

I, a registered person, declare that I have provided the above Client with a copy of the Risk Disclosure Statement 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或由本人通過電話確認。

The signature(s) of the above Client(s) was/were made in my presence or verified by telephone conversation.

Signed by Staff 職員簽署 X	Name of Staff 職員姓名	Date 日期: _____
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佣金收費: _____%, 最低收費HK\$ _____	交易限額 (T+0) HK\$ _____	信貸限額 (T+2) HK\$ _____
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該客戶是否存在需特別關注的事項，例如（身份政治背景、AML風險、資金來源、年齡等）：

批核人員名稱和職位和簽名: X	資料輸入職員名稱, 簽名及日期: X	核對職員名稱, 簽名及日期: X
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賬戶開設成功及密碼發送日期:		
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風險容忍程度 Risk Tolerance Level

1 非常低風險 2 低風險 3 中等風險 4 高風險 5 非常高風險

備註:

備註:
