



**Goldhorse Securities Limited**

**金馬證券有限公司**

SFC C.E. No 證監會中央編號: BFU406  
Unit 4308, 43/F, COSCO Tower  
183 Queen's Road Central, Hong Kong  
香港皇后大道中 183 號中遠大廈 43 樓 4308 室  
Tel 電話: (852) 2153 3838 Fax 傳真: (852) 3974 5275

For internal use only. 只供內部填寫。

Account Opening Date

開戶日期

## Integrated Securities Account Opening Form (Individual/Joint Account) 綜合證券帳戶開戶表格 (個人/聯名帳戶)

Note 註 : 1. Integrated Securities Account includes Hong Kong Stock Market and Global Stock Market together with electronic trading service.

綜合證券帳戶包括香港股票市場及環球股票市場，並備有電子交易服務。

2. Please put a “√” in the appropriate box. 請於適當空格內加上「√」號。

<b>1. ACCOUNT INFORMATION 帳戶資料</b>																																																																		
<b>1.1 Client Type</b> 客戶類別 <input type="checkbox"/> Individual Account 個人帳戶 <input type="checkbox"/> Joint Account 聯名帳戶																																																																		
<b>1.2 Account Type</b> 帳戶類別 <input type="checkbox"/> Cash Account 現金帳戶      Account Number 帳戶號碼: _____ <input type="checkbox"/> Collateral Account 抵押品帳戶      Account Number 帳戶號碼: _____ <input type="checkbox"/> Margin Account 保證金帳戶      Account Number 帳戶號碼: _____																																																																		
<b>1.3 Securities Market</b> 證券市場 <input type="checkbox"/> Hong Kong Securities Market 香港證券市場 <input type="checkbox"/> China Securities Market <sup>1</sup> 中國證券市場 <input type="checkbox"/> Taiwan Securities Market <sup>1</sup> 臺灣證券市場 <input type="checkbox"/> Global Securities Market 環球證券市場																																																																		
<b>2. CLIENT INFORMATION OF THE INDIVIDUAL ACCOUNT/FIRST JOINT ACCOUNT HOLDER</b> 個人帳戶/聯名帳戶第一持有人客戶資料																																																																		
<b>2.1 Personal Information</b> 個人資料 <table border="1"> <tr> <td>English Name 英文姓名</td> <td>Last Name 姓</td> <td>First Name 名</td> </tr> <tr> <td>Salutation 稱謂</td> <td><input type="checkbox"/> Mr. 先生      <input type="checkbox"/> Mrs. 太太 <input type="checkbox"/> Miss 小姐      <input type="checkbox"/> Ms. 女士</td> <td>Nationality 國籍</td> </tr> <tr> <td>Identity Card/Passport Number and its Place of Issue 身份證/護照號碼及其簽發地</td> <td>Number 號碼</td> <td>Place of Issue 簽發地</td> </tr> <tr> <td>Date of Birth (DD/MM/YYYY) 出生日期 (日/月/年)</td> <td>Place of Birth 出生地點</td> <td></td> </tr> <tr> <td>Marital Status 婚姻狀況</td> <td><input type="checkbox"/> Single 未婚      <input type="checkbox"/> Married 已婚      <input type="checkbox"/> Divorced 離婚      <input type="checkbox"/> Widowed 喪偶</td> <td></td> </tr> <tr> <td>Education Level 教育程度</td> <td><input type="checkbox"/> Primary or Below 小學或以下</td> <td><input type="checkbox"/> Secondary 中學</td> <td><input type="checkbox"/> Post-secondary 大專</td> <td><input type="checkbox"/> University or Above 大學或以上</td> </tr> <tr> <td>Mobile Phone Number (for receiving 2FA Access Information)<sup>2</sup> 手提電話號碼 (用作接收雙重認證資訊)<sup>2</sup></td> <td>Country/Area Code 國家/地區編號 - Number 號碼</td> <td colspan="3">E-mail Address (for receiving statements and notifications) 電郵地址 (用作收取結單及通知)</td> </tr> <tr> <td>Residential Address 住宅地址 (P.O. Box is not accepted. 不接受中央郵箱。)</td> <td>Flat 單位</td> <td>Floor 層數</td> <td>Block 座</td> <td>Building Name 大廈名稱</td> </tr> <tr> <td></td> <td colspan="2">Street Name and Number 街道名稱及號碼</td> <td colspan="2"></td> </tr> <tr> <td></td> <td colspan="2">District/Province/City 地區/省/市</td> <td>Country/Place 國家/地區</td> <td>Postal Code 郵政編號</td> </tr> <tr> <td>Correspondence Address 通訊地址</td> <td>Flat 單位</td> <td>Floor 層數</td> <td>Block 座</td> <td>Building Name 大廈名稱</td> </tr> <tr> <td></td> <td colspan="2">Street Name and Number 街道名稱及號碼</td> <td colspan="2"></td> </tr> <tr> <td></td> <td colspan="2">District/Province/City 地區/省/市</td> <td>Country/Place 國家/地區</td> <td>Postal Code 郵政編號</td> </tr> <tr> <td>Mode of Receiving Statements and Notifications<sup>2</sup> 結單及通知收取方式<sup>2</sup></td> <td colspan="2"><input type="checkbox"/> E-mail Address 電郵地址</td> <td colspan="2"><input type="checkbox"/> Residential Address<sup>3</sup> 住宅地址<sup>3</sup></td> </tr> <tr> <td>Language of Communication<sup>2</sup> 通訊語言<sup>2</sup></td> <td colspan="2"><input type="checkbox"/> English 英文</td> <td colspan="2"><input type="checkbox"/> Chinese 中文</td> </tr> </table>		English Name 英文姓名	Last Name 姓	First Name 名	Salutation 稱謂	<input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Mrs. 太太 <input type="checkbox"/> Miss 小姐 <input type="checkbox"/> Ms. 女士	Nationality 國籍	Identity Card/Passport Number and its Place of Issue 身份證/護照號碼及其簽發地	Number 號碼	Place of Issue 簽發地	Date of Birth (DD/MM/YYYY) 出生日期 (日/月/年)	Place of Birth 出生地點		Marital Status 婚姻狀況	<input type="checkbox"/> Single 未婚 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Divorced 離婚 <input type="checkbox"/> Widowed 喪偶		Education Level 教育程度	<input type="checkbox"/> Primary or Below 小學或以下	<input type="checkbox"/> Secondary 中學	<input type="checkbox"/> Post-secondary 大專	<input type="checkbox"/> University or Above 大學或以上	Mobile Phone Number (for receiving 2FA Access Information) <sup>2</sup> 手提電話號碼 (用作接收雙重認證資訊) <sup>2</sup>	Country/Area Code 國家/地區編號 - Number 號碼	E-mail Address (for receiving statements and notifications) 電郵地址 (用作收取結單及通知)			Residential Address 住宅地址 (P.O. Box is not accepted. 不接受中央郵箱。)	Flat 單位	Floor 層數	Block 座	Building Name 大廈名稱		Street Name and Number 街道名稱及號碼					District/Province/City 地區/省/市		Country/Place 國家/地區	Postal Code 郵政編號	Correspondence Address 通訊地址	Flat 單位	Floor 層數	Block 座	Building Name 大廈名稱		Street Name and Number 街道名稱及號碼					District/Province/City 地區/省/市		Country/Place 國家/地區	Postal Code 郵政編號	Mode of Receiving Statements and Notifications <sup>2</sup> 結單及通知收取方式 <sup>2</sup>	<input type="checkbox"/> E-mail Address 電郵地址		<input type="checkbox"/> Residential Address <sup>3</sup> 住宅地址 <sup>3</sup>		Language of Communication <sup>2</sup> 通訊語言 <sup>2</sup>	<input type="checkbox"/> English 英文		<input type="checkbox"/> Chinese 中文	
English Name 英文姓名	Last Name 姓	First Name 名																																																																
Salutation 稱謂	<input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Mrs. 太太 <input type="checkbox"/> Miss 小姐 <input type="checkbox"/> Ms. 女士	Nationality 國籍																																																																
Identity Card/Passport Number and its Place of Issue 身份證/護照號碼及其簽發地	Number 號碼	Place of Issue 簽發地																																																																
Date of Birth (DD/MM/YYYY) 出生日期 (日/月/年)	Place of Birth 出生地點																																																																	
Marital Status 婚姻狀況	<input type="checkbox"/> Single 未婚 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Divorced 離婚 <input type="checkbox"/> Widowed 喪偶																																																																	
Education Level 教育程度	<input type="checkbox"/> Primary or Below 小學或以下	<input type="checkbox"/> Secondary 中學	<input type="checkbox"/> Post-secondary 大專	<input type="checkbox"/> University or Above 大學或以上																																																														
Mobile Phone Number (for receiving 2FA Access Information) <sup>2</sup> 手提電話號碼 (用作接收雙重認證資訊) <sup>2</sup>	Country/Area Code 國家/地區編號 - Number 號碼	E-mail Address (for receiving statements and notifications) 電郵地址 (用作收取結單及通知)																																																																
Residential Address 住宅地址 (P.O. Box is not accepted. 不接受中央郵箱。)	Flat 單位	Floor 層數	Block 座	Building Name 大廈名稱																																																														
	Street Name and Number 街道名稱及號碼																																																																	
	District/Province/City 地區/省/市		Country/Place 國家/地區	Postal Code 郵政編號																																																														
Correspondence Address 通訊地址	Flat 單位	Floor 層數	Block 座	Building Name 大廈名稱																																																														
	Street Name and Number 街道名稱及號碼																																																																	
	District/Province/City 地區/省/市		Country/Place 國家/地區	Postal Code 郵政編號																																																														
Mode of Receiving Statements and Notifications <sup>2</sup> 結單及通知收取方式 <sup>2</sup>	<input type="checkbox"/> E-mail Address 電郵地址		<input type="checkbox"/> Residential Address <sup>3</sup> 住宅地址 <sup>3</sup>																																																															
Language of Communication <sup>2</sup> 通訊語言 <sup>2</sup>	<input type="checkbox"/> English 英文		<input type="checkbox"/> Chinese 中文																																																															

<sup>1</sup> Trading in China securities market is not available if anyone of the Account Holders possess Mainland ID documents.  
任何持有中國內地身份證件的帳戶持有人不可於中國證券市場買賣。

<sup>2</sup> For joint account, please note that (i) the receipt of 2FA access information and (ii) all account statements and notifications will be sent to the **FIRST** joint account holder.  
請留意聯名帳戶的所有(i)接收雙重認證資訊及(ii)帳戶結單及通知均會發送至聯名帳戶第一持有人。

<sup>3</sup> If the Client chooses to receive paper statements (only applicable to address in Hong Kong), a paper statement fee shall be charged for HK\$400 each month.  
如客戶選擇收取郵寄結單 (只適用於香港地址)，將收取郵寄結單費每月港幣 400 元。

## 2. CLIENT INFORMATION OF THE INDIVIDUAL ACCOUNT/FIRST JOINT ACCOUNT HOLDER 個人帳戶/聯名帳戶第一持有人客戶資料

### 2.2 Employment Information 就業資料

Employment Status  
就業狀態

Employed 受僱       Self-employed 自僱       Student 學生       Housewife 家庭主婦<sup>3</sup>

Retired 退休<sup>3</sup>       Unemployed 失業<sup>3</sup>       Others 其他 (Please specify 請註明) : \_\_\_\_\_

Name of Employer  
僱主名稱

Position  
職位

Nature of Business  
業務性質

<sup>3</sup> If the Client is a housewife, retired or unemployed, staff of Goldhorse Securities Limited ("GHSL") will contact the Client for the Client's employment details before being a housewife, retired or unemployed.  
如客戶為家庭主婦、退休或失業人士，金馬證券有限公司（「金馬證券」）職員將會聯絡客戶，以了解客戶成為家庭主婦、退休或失業前的就業資料。

### 2.3 Financial and Investment Profile 財務及投資概況

#### 2.3.1 Investment Objective 投資目標

Dividend or Interest Income 股息或利息收入       Capital Appreciation 資本增值       Speculation 投機

Hedging 對沖       Others 其他 (Please specify 請註明) : \_\_\_\_\_

#### 2.3.2 Financial Information 財務資料

Initial and Ongoing Source of  
Funds and Wealth  
初次及持續資金及財富來源

Salary 薪金       Business Income 業務收入

Rental Income 租金收入       Dividends/Interests 股息/利息

Savings 儲蓄       Return on Investments 投資回報

Others 其他 (Please specify 請註明) : \_\_\_\_\_

Net Asset Value (HKD)  
資產淨值 (港幣)

≤ 500,000       500,001 - 1,000,000

1,000,001 - 5,000,000       5,000,001 - 10,000,000

10,000,001 - 50,000,000       50,000,001 - 100,000,000

> 100,000,000, please specify 請註明 : \_\_\_\_\_

Asset Item(s)  
資產項目

Property 房地產       Cash/Deposits 現金/存款       Listed Stocks 上市股票

Bonds 債券       Others 其他 (Please specify 請註明) : \_\_\_\_\_

Annual Income (HKD)  
每年收入 (港幣)

< 120,000       120,000 - 500,000

500,001 - 1,000,000       1,000,001 - 5,000,000

5,000,001 - 10,000,000       > 10,000,000, please specify 請註明 : \_\_\_\_\_

2. CLIENT INFORMATION OF THE INDIVIDUAL ACCOUNT/FIRST JOINT ACCOUNT HOLDER  
個人帳戶/聯名帳戶第一持有人客戶資料

2.3 Financial and Investment Profile 財務及投資概況

2.3.3 Investment Experience 投資經驗

Product(s) 產品	Nil 沒有	Not more than 1 year 不超過 1 年	Not more than 3 years 不超過 3 年	Not more than 5 years 不超過 5 年	More than 5 years 超過 5 年
<input type="checkbox"/> Stocks 股票	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Bonds 債券	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Derivative Warrants 衍生權證	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Callable Bull/Bear Contracts 牛熊證	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Exchange Traded Funds 交易所買賣基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Leveraged & Inverse Products 橋桿及反向產品	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Fixed Coupon Notes 固定派息票據	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Equity Linked Notes 股票掛鉤票據	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Accumulator/Decumulator 累計認購期權/累計認沽期權	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Participatory Notes 參與式票據	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Call Spread Notes 區間票據	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Total Return Swap 總收益互換	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Snowball Coupon Notes 雪球派息票據	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Over-the-Counter Options 場外期權	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Unit Trusts or Mutual Funds 單位信託或互惠基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Private Funds 私募基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other 1 其他 1 (Please specify 請註明) : _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other 2 其他 2 (Please specify 請註明) : _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other 3 其他 3 (Please specify 請註明) : _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other 4 其他 4 (Please specify 請註明) : _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other 5 其他 5 (Please specify 請註明) : _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<b>2. CLIENT INFORMATION OF THE INDIVIDUAL ACCOUNT/FIRST JOINT ACCOUNT HOLDER</b> 個人帳戶/聯名帳戶第一持有人客戶資料																																						
<b>2.4 DECLARATION OF TAX RESIDENCY 稅務居民身份聲明</b>																																						
<b>2.4.1 Foreign Account Tax Compliance Act (“FATCA”) 海外帳戶稅收合規法案</b> Is the Client a citizen, resident (including holder of Green Card) or taxpayer of the United States (“U.S.”)? 客戶是否為美國公民、居民 (包括綠卡持有者) 或納稅人 ? <p><input type="checkbox"/> No, please complete Form W-8BEN. 否，請填寫 W-8BEN 表格。</p> <p><input type="checkbox"/> Yes, GHSL does not accept this type of person for account opening. 是，金馬證券不接受此類人士開戶。</p>																																						
<b>2.4.2 Automatic Exchange of Financial Account Information 自動交換財務帳戶資料</b> 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 taxpayer identification number or its functional equivalent (“TIN”) for each jurisdiction indicated. Indicate all jurisdictions of residence. 提供以下資料，列明 (a) 帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區 (香港包括在內) 及 (b) 該居留司法管轄區發給帳戶持有人的稅務編號或具有等同功能的識辨編號 (「稅務編號」)。列出所有居留司法管轄區。 <p>If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.            如帳戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。</p> <p>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：</p> <table> <tr> <td>Reason 理由 A</td> <td colspan="3">The jurisdiction where the Client is a resident for tax purposes does not issue TINs to its residents. 客戶的居留司法管轄區並沒有向其居民發出稅務編號。</td> </tr> <tr> <td>Reason 理由 B</td> <td colspan="3">The Client is unable to obtain a TIN. Explain why the Client is unable to obtain a TIN if the Client has selected this reason. 客戶不能取得稅務編號。如選取這一理由，解釋客戶不能取得稅務編號的原因。</td> </tr> <tr> <td>Reason 理由 C</td> <td colspan="3">TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed. 客戶毋須提供稅務編號。居留司法管轄區的主管機關不需要客戶披露稅務編號。</td> </tr> </table> <table border="1"> <thead> <tr> <th colspan="2">Jurisdiction of Residence 居留司法管轄區</th> <th>TIN 稅務編號</th> <th>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</th> <th>Explain why the account holder is unable to obtain a TIN if the Client has selected Reason B 如選取理由 B，解釋帳戶持有人 不能取得稅務編號的原因</th> </tr> </thead> <tbody> <tr> <td>(i)</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>(ii)</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>(iii)</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>(iv)</td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>		Reason 理由 A	The jurisdiction where the Client is a resident for tax purposes does not issue TINs to its residents. 客戶的居留司法管轄區並沒有向其居民發出稅務編號。			Reason 理由 B	The Client is unable to obtain a TIN. Explain why the Client is unable to obtain a TIN if the Client has selected this reason. 客戶不能取得稅務編號。如選取這一理由，解釋客戶不能取得稅務編號的原因。			Reason 理由 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. 客戶毋須提供稅務編號。居留司法管轄區的主管機關不需要客戶披露稅務編號。			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 the Client has selected Reason B 如選取理由 B，解釋帳戶持有人 不能取得稅務編號的原因	(i)					(ii)					(iii)					(iv)				
Reason 理由 A	The jurisdiction where the Client is a resident for tax purposes does not issue TINs to its residents. 客戶的居留司法管轄區並沒有向其居民發出稅務編號。																																					
Reason 理由 B	The Client is unable to obtain a TIN. Explain why the Client is unable to obtain a TIN if the Client has selected this reason. 客戶不能取得稅務編號。如選取這一理由，解釋客戶不能取得稅務編號的原因。																																					
Reason 理由 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. 客戶毋須提供稅務編號。居留司法管轄區的主管機關不需要客戶披露稅務編號。																																					
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 the Client has selected Reason B 如選取理由 B，解釋帳戶持有人 不能取得稅務編號的原因																																		
(i)																																						
(ii)																																						
(iii)																																						
(iv)																																						
<b>2.5 ASSESSMENT ON CLIENT’S KNOWLEDGE OF DERIVATIVE PRODUCTS 評估客戶對衍生產品之認識</b>																																						
Please note: Derivative Products include Derivative Warrants, Callable Bull/Bear Contracts, Exchange Traded Funds, Leveraged & Inverse Products, etc. 請注意：衍生產品包括衍生權證、牛熊證、交易所買賣基金、槓桿及反向產品等。																																						
<b>2.5.1</b> Is the Client interested in trading Derivative Products? 客戶有意買賣衍生產品嗎? (If the Client is not interested in trading Derivative Products, GHSL shall not offer related trading rights to the Account(s). 如客戶對買賣衍生產品不感興趣，金馬證券不會向帳戶提供相關交易權。) <p><input type="checkbox"/> No 沒有      <input type="checkbox"/> Yes 有</p>																																						
<b>2.5.2</b> Does the Client have any knowledge of Derivative Products? 客戶有否衍生產品之認識? <p><input type="checkbox"/> No 沒有      <input type="checkbox"/> Yes 有，please complete 2.5.3 – 2.5.5。</p> <p>(If the Client does not have knowledge of Derivative Products but is interested in such trading, please complete the “Assessment Questionnaire on Knowledge of Derivative Products”.            如客戶沒有衍生產品之認識，但對買賣衍生產品有興趣，請填寫「衍生產品認識評估問卷」。)</p>																																						
<b>2.5.3</b> Has the Client taken any training on Derivative Products that provide general knowledge of the nature and risks of Derivative Products? 客戶曾否接受任何有關介紹一般衍生產品之性質及風險的培訓? <p><input type="checkbox"/> No 沒有      <input type="checkbox"/> Yes 有，please specify in the table below and provide supporting documents 請於下列表格註明及提供證明文件：</p> <table border="1"> <thead> <tr> <th>Name of Course/Seminar 課程/研討會名稱</th> <th>Organization 主辦機構</th> <th>Year of Participation 參與年份</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> </tr> </tbody> </table>		Name of Course/Seminar 課程/研討會名稱	Organization 主辦機構	Year of Participation 參與年份																																		
Name of Course/Seminar 課程/研討會名稱	Organization 主辦機構	Year of Participation 參與年份																																				
<b>2.5.4</b> Does/Did the Client have any work experience related to Derivative Products? 客戶是否/曾否擁有與衍生產品有關的工作經驗? <p><input type="checkbox"/> No 沒有      <input type="checkbox"/> Yes 有，please specify in the table below 請於下列表格註明：</p> <table border="1"> <thead> <tr> <th>Name of Employer 僱主名稱</th> <th>Department 部門</th> <th>Job Title 職銜</th> <th>Period of Employment 任職時段</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>		Name of Employer 僱主名稱	Department 部門	Job Title 職銜	Period of Employment 任職時段																																	
Name of Employer 僱主名稱	Department 部門	Job Title 職銜	Period of Employment 任職時段																																			
<b>2.5.5</b> Has the Client executed five or more transactions in any Derivative Products within the past three years? 客戶曾否在過去三年執行過五次或以上任何衍生產品的交易? <p><input type="checkbox"/> No 沒有      <input type="checkbox"/> Yes 有，please provide copies of relevant trading records 請提供相關交易記錄的副本。</p>																																						

<b>2. CLIENT INFORMATION OF THE INDIVIDUAL ACCOUNT/FIRST JOINT ACCOUNT HOLDER</b> 個人帳戶/聯名帳戶第一持有人客戶資料	
<b>2.6 DISCLOSURES FOR DUE DILIGENCE 燭職審查披露</b>	
<p><b>2.6.1</b> Does the Client maintain any other account with GHSL? 客戶現時是否持有金馬證券任何其他帳戶？</p> <p><input type="checkbox"/> No 否      <input type="checkbox"/> Yes 是, please specify 請註明: _____</p>	
<p><b>2.6.2</b> Is the Client a director or an employee of GHSL? 客戶是否金馬證券之董事或僱員？</p> <p><input type="checkbox"/> No 否      <input type="checkbox"/> Yes 是</p>	
<p><b>2.6.3</b> Is the Client a relative of a director or an employee of GHSL? 客戶是否金馬證券之董事或僱員之親屬？</p> <p><input type="checkbox"/> No 否      <input type="checkbox"/> Yes 是,      Name of such Director/Employee 該董事/僱員姓名: _____</p> <p>Relationship 關係: _____</p>	
<p><b>2.6.4</b> Is the Client a director or an employee of the licensed corporation or registered institution of Securities and Futures Commission of Hong Kong? 客戶是否香港證監會持牌法團或註冊機構之董事或僱員？</p> <p><input type="checkbox"/> No 否      <input type="checkbox"/> Yes 是,      Company Name 公司名稱: _____</p> <p>CE Number/HKMA Registration Number 中央編號/金管局註冊號碼: _____</p> <p>(If the Client selects this option, please provide a consent letter for account opening issued by such Company. 如客戶選取此項，請提供由該公司發出之開戶同意信。)</p>	
<p><b>2.6.5</b> Is the Client a substantial shareholder<sup>6</sup> of any listed company whose shares can be traded on any exchange? 客戶是否任何其股份可在任何交易所買賣之上市公司之主要股東<sup>6</sup>？</p> <p><sup>6</sup> Substantial shareholder 主要股東： Any person has the right to exercise or control the exercise of 10% or more of the issued shares or voting rights at any shareholder meeting of a company. 任何人士有權於一間公司之任何股東大會上行使或可控制行使 10% 或以上之股權或投票權。</p> <p><input type="checkbox"/> No 否      <input type="checkbox"/> Yes 是,      Company Name 公司名稱: _____ Stock Code 股票編號: _____</p>	
<p><b>2.6.6</b> Is/Was the Client linked to Politically Exposed Persons<sup>7</sup> (the “PEP”), or a close associate<sup>8</sup> of the PEP? 客戶於過往或現在是否政治人物<sup>7</sup>或與任何政治人物有聯繫或關係<sup>8</sup>？</p> <p><sup>7</sup> Politically Exposed Person means 政治人物指： an individual who is or has been entrusted with prominent public function or entrusted with prominent function by an international organisation, e.g. head of state/government, senior politician, senior executive of government-owned corporation, important political party official, members of senior management, etc. 任何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之政治人物（包括國家元首、政府首長、資深從政者、高級政府官員、司法或軍事官員、國有企業高級行政人員、重要政黨幹事及高級管理層）。</p> <p><sup>8</sup> Close associate means 聯繫或關係指：        i. a spouse, a partner, a child or a parent of the PEP, or a spouse or a partner of a child of the PEP;        為政治人物的配偶、伴侶、子女或父母，或政治人物子女的配偶或伴侶；        ii. the PEP as a beneficial owner of a legal person (company or corporate);        為政治人物擁有實益控制權的法人（即公司或企業）；        iii. an individual who has close business relations with the PEP, including an individual who is a beneficial owner of a legal person (company or corporate) or trust of which the PEP is also a beneficial owner; or        該人為與政治人物有密切業務關係的個人，包括屬法人（即公司或企業）或信託的實益擁有人的個人，而政治人物亦是該法人或信託的實益擁有人；或        iv. an individual who is the beneficial owner of a legal person (company or corporate) or trust that is set up for the benefit of the PEP.        替政治人物持有法人（即公司或企業）或信託的個人，而有關法人是為政治人物的利益而成立的。</p> <p><input type="checkbox"/> No 否      <input type="checkbox"/> Yes 是,      Name of that PEP 該政治人物的姓名: _____</p> <p>Relationship with the Client 與客戶的關係: _____</p> <p>Place and Public Function Entrusted with 地方及所擔任的公職: _____</p>	
<p><b>2.6.7</b> Did the Client have any criminal record in the past and/or is the Client currently undergoing any criminal trial or investigation? 客戶於過往有否任何刑事犯罪紀錄及/或現在是否接受任何刑事訴訟案件審訊或調查？</p> <p><input type="checkbox"/> No 否      <input type="checkbox"/> Yes 是, please specify 請註明: _____</p>	
<p><b>2.6.8</b> Did/Does the Client have any professional qualification licenses (such as lawyer, accountant, doctor, etc.) and/or regulated licenses (such as securities, real estate, insurance, etc.) in the past or at present? 客戶於過往或現在是否持有任何專業資格牌照（如律師、會計師、醫生等）及/或受監管的牌照（如證券、地產、保險等）？</p> <p><input type="checkbox"/> No 否      <input type="checkbox"/> Yes 是, please complete 請完成 2.6.9。</p>	
<p><b>2.6.9</b> If the Client holds any professional qualification and/or regulated licenses, did the Client have any disciplinary records in the past and/or is the Client currently subject to any disciplinary investigations in relation to the professional qualification and/or regulated licenses? 如客戶持有任何專業資格及/或受監管牌照，客戶過往有否任何違規紀錄及/或現在是否接受任何與其專業資格牌照及/或受監管牌照有關的違規調查？</p> <p><input type="checkbox"/> No 否      <input type="checkbox"/> Yes 是, please specify 請註明: _____</p>	
<b>2.6.10 is only applicable to Margin Account 2.6.10 僅適用於保證金帳戶</b>	
<p><b>2.6.10</b> Does the Client either alone or with his/her spouse, in control of 35% or more of the voting rights of any corporate securities margin Client of GHSL? 客戶是否個人或與配偶共同控制金馬證券的公司證券保證金客戶 35% 或以上的投票權？</p> <p><input type="checkbox"/> No 否      <input type="checkbox"/> Yes 是,      Account Name 帳戶名稱: _____</p> <p>Account Number 帳戶號碼: _____</p>	

### 3. CLIENT INFORMATION OF THE SECOND JOINT ACCOUNT HOLDER (IF APPLICABLE) 聯名帳戶第二持有人客戶資料 (如適用)

#### 3.1 Personal Information 個人資料

English Name 英文姓名	Last Name 姓	First Name 名	Chinese Name 中文姓名	
Salutation 稱謂	<input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Miss 小姐	<input type="checkbox"/> Mrs. 太太 <input type="checkbox"/> Ms. 女士	Nationality 國籍	
Relationship with the First Joint Account Holder 與聯名帳戶第一持有人之關係	<input type="checkbox"/> Spouse 配偶 <input type="checkbox"/> Parent & Child 父母與子女 <input type="checkbox"/> Siblings 兄弟姐妹 <input type="checkbox"/> Others 其他 (Please specify 請註明) : _____			
Identity Card/Passport Number and its Place of Issue 身份證/護照號碼及其簽發地	Number 號碼	Place of Issue 簽發地		
Date of Birth (DD/MM/YYYY) 出生日期 (日/月/年)	Place of Birth 出生地點			
Marital Status 婚姻狀況	<input type="checkbox"/> Single 未婚	<input type="checkbox"/> Married 已婚	<input type="checkbox"/> Divorced 離婚	
Education Level 教育程度	<input type="checkbox"/> Primary or Below 小學或以下	<input type="checkbox"/> Secondary 中學	<input type="checkbox"/> Post-secondary 大專	
Mobile Phone Number 手提電話號碼	Country/Area Code 國家/地區編號 - Number 號碼	E-mail Address 電郵地址		
Residential Address 住宅地址 (P.O. Box is not accepted. 不接受中央郵箱。)	Flat 單位	Floor 層數	Block 座	Building Name 大廈名稱
	Street Name and Number 街道名稱及號碼			
	District/Province/City 地區/省/市		Country/Place 國家/地區	Postal Code 郵政編號
Correspondence Address 通訊地址	Flat 單位	Floor 層數	Block 座	Building Name 大廈名稱
	Street Name and Number 街道名稱及號碼			
	District/Province/City 地區/省/市		Country/Place 國家/地區	Postal Code 郵政編號

#### 3.2 Employment Information 就業資料

Employment Status 就業狀態	<input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Retired 退休 <sup>9</sup>	<input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Unemployed 失業 <sup>9</sup>	<input type="checkbox"/> Student 學生 <input type="checkbox"/> Others 其他 (Please specify 請註明) : _____	<input type="checkbox"/> Housewife 家庭主婦 <sup>9</sup>
Name of Employer 僱主名稱				
Position 職位			Nature of Business 業務性質	

<sup>9</sup> If the Client is a housewife, retired or unemployed, staff of GHSL will contact the Client for the Client's employment details before being a housewife, retired or unemployed.  
如客戶為家庭主婦、退休或失業人士，金馬證券職員將會聯絡客戶，以了解客戶成為家庭主婦、退休或失業前的就業資料。

#### 3.3 Financial and Investment Profile 財務及投資概況

##### 3.3.1 Investment Objective 投資目標

<input type="checkbox"/> Dividend or Interest Income 股息或利息收入	<input type="checkbox"/> Capital Appreciation 資本增值	<input type="checkbox"/> Speculation 投機
<input type="checkbox"/> Hedging 對沖	<input type="checkbox"/> Others 其他 (Please specify 請註明) : _____	

##### 3.3.2 Financial Information 財務資料

Initial and Ongoing Source of Funds and Wealth 初次及持續資金及財富來源	<input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Rental Income 租金收入 <input type="checkbox"/> Savings 儲蓄 <input type="checkbox"/> Others 其他 (Please specify 請註明) : _____	<input type="checkbox"/> Business Income 業務收入 <input type="checkbox"/> Dividends/Interests 股息/利息 <input type="checkbox"/> Return on Investments 投資回報
Net Asset Value (HKD) 資產淨值 (港幣)	<input type="checkbox"/> ≤ 500,000 <input type="checkbox"/> 1,000,001 - 5,000,000 <input type="checkbox"/> 10,000,001 - 50,000,000 <input type="checkbox"/> > 100,000,000, please specify 請註明 : _____	<input type="checkbox"/> 500,001 - 1,000,000 <input type="checkbox"/> 5,000,001 - 10,000,000 <input type="checkbox"/> 50,000,001 - 100,000,000

**3. CLIENT INFORMATION OF THE SECOND JOINT ACCOUNT HOLDER (IF APPLICABLE)**  
**聯名帳戶第二持有人客戶資料 (如適用)**

**3.3 Financial and Investment Profile 財務及投資概況**

**3.3.2 Financial Information 財務資料**

Asset Item(s)  
資產項目

<input type="checkbox"/> Property 房地產	<input type="checkbox"/> Cash/Deposits 現金/存款	<input type="checkbox"/> Listed Stocks 上市股票
<input type="checkbox"/> Bonds 債券	<input type="checkbox"/> Others 其他 (Please specify 請註明) : _____	

Annual Income (HKD)  
每年收入 (港幣)

<input type="checkbox"/> < 120,000	<input type="checkbox"/> 120,000 - 500,000
<input type="checkbox"/> 500,001 - 1,000,000	<input type="checkbox"/> 1,000,001 - 5,000,000
<input type="checkbox"/> 5,000,001 - 10,000,000	<input type="checkbox"/> > 10,000,000, please specify 請註明 : _____

**3.3.3 Investment Experience 投資經驗**

Product(s) 產品	Nil 沒有	Not more than 1 year 不超過 1 年	Not more than 3 years 不超過 3 年	Not more than 5 years 不超過 5 年	More than 5 years 超過 5 年
<input type="checkbox"/> Stocks 股票	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Bonds 債券	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Derivative Warrants 衍生權證	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Callable Bull/Bear Contracts 牛熊證	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Exchange Traded Funds 交易所買賣基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Inverse Products 橫桿及反向產品	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Fixed Coupon Notes 固定派息票據	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Equity Linked Notes 股票掛鉤票據	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Accumulator/Decumulator 累計認購期權/累計認沽期權	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Participatory Notes 參與式票據	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Call Spread Notes 區間票據	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Total Return Swap 總收益互換	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Snowball Coupon Notes 雪球派息票據	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Over-the-Counter Options 場外期權	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Unit Trusts or Mutual Funds 單位信託或互惠基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Private Funds 私募基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other 1 其他 1 (Please specify 請註明) : _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other 2 其他 2 (Please specify 請註明) : _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other 3 其他 3 (Please specify 請註明) : _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other 4 其他 4 (Please specify 請註明) : _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Other 5 其他 5 (Please specify 請註明) : _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3. CLIENT INFORMATION OF THE SECOND JOINT ACCOUNT HOLDER (IF APPLICABLE) 聯名帳戶第二持有人客戶資料 (如適用)																																						
3.4 DECLARATION OF TAX RESIDENCY 稅務居民身份聲明																																						
<p><b>3.4.1 Foreign Account Tax Compliance Act (“FATCA”) 海外帳戶稅收合規法案</b></p> <p>Is the Client a citizen, resident (including holder of Green Card) or taxpayer of the United States (“U.S.”)? 客戶是否為美國公民、居民 (包括綠卡持有者) 或納稅人？</p> <p><input type="checkbox"/> No, please complete Form W-8BEN. 否，請填寫 W-8BEN 表格。</p> <p><input type="checkbox"/> Yes, GHS does not accept this type of person for account opening. 是，金馬證券不接受此類人士開戶。</p>																																						
<p><b>3.4.2 Automatic Exchange of Financial Account Information 自動交換財務帳戶資料</b></p> <p>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 taxpayer identification number or its functional equivalent (“TIN”) for each jurisdiction indicated. Indicate all jurisdictions of residence. 提供以下資料，列明 (a) 帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區 (香港包括在內) 及 (b) 該居留司法管轄區發給帳戶持有人的稅務編號或具有等同功能的識辨編號 (「稅務編號」)。列出所有居留司法管轄區。</p> <p>If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. 如帳戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。</p> <p>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：</p> <table> <tr> <td>Reason 理由 A</td> <td colspan="3">The jurisdiction where the Client is a resident for tax purposes does not issue TINs to its residents. 客戶的居留司法管轄區並沒有向其居民發出稅務編號。</td> </tr> <tr> <td>Reason 理由 B</td> <td colspan="3">The Client is unable to obtain a TIN. Explain why the Client is unable to obtain a TIN if the Client has selected this reason. 客戶不能取得稅務編號。如選取這一理由，解釋客戶不能取得稅務編號的原因。</td> </tr> <tr> <td>Reason 理由 C</td> <td colspan="3">TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed. 客戶毋須提供稅務編號。居留司法管轄區的主管機關不需要客戶披露稅務編號。</td> </tr> </table> <table border="1"> <thead> <tr> <th colspan="2">Jurisdiction of Residence 居留司法管轄區</th> <th>TIN 稅務編號</th> <th>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</th> <th>Explain why the account holder is unable to obtain a TIN if the Client has selected Reason B 如選取理由 B，解釋帳戶持有人 不能取得稅務編號的原因</th> </tr> </thead> <tbody> <tr> <td>(i)</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>(ii)</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>(iii)</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>(iv)</td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>		Reason 理由 A	The jurisdiction where the Client is a resident for tax purposes does not issue TINs to its residents. 客戶的居留司法管轄區並沒有向其居民發出稅務編號。			Reason 理由 B	The Client is unable to obtain a TIN. Explain why the Client is unable to obtain a TIN if the Client has selected this reason. 客戶不能取得稅務編號。如選取這一理由，解釋客戶不能取得稅務編號的原因。			Reason 理由 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. 客戶毋須提供稅務編號。居留司法管轄區的主管機關不需要客戶披露稅務編號。			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 the Client has selected Reason B 如選取理由 B，解釋帳戶持有人 不能取得稅務編號的原因	(i)					(ii)					(iii)					(iv)				
Reason 理由 A	The jurisdiction where the Client is a resident for tax purposes does not issue TINs to its residents. 客戶的居留司法管轄區並沒有向其居民發出稅務編號。																																					
Reason 理由 B	The Client is unable to obtain a TIN. Explain why the Client is unable to obtain a TIN if the Client has selected this reason. 客戶不能取得稅務編號。如選取這一理由，解釋客戶不能取得稅務編號的原因。																																					
Reason 理由 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. 客戶毋須提供稅務編號。居留司法管轄區的主管機關不需要客戶披露稅務編號。																																					
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 the Client has selected Reason B 如選取理由 B，解釋帳戶持有人 不能取得稅務編號的原因																																		
(i)																																						
(ii)																																						
(iii)																																						
(iv)																																						
3.5 ASSESSMENT ON CLIENT'S KNOWLEDGE OF DERIVATIVE PRODUCTS 評估客戶對衍生產品之認識																																						
<p>Please note: Derivative Products include Derivative Warrants, Callable Bull/Bear Contracts, Exchange Traded Funds, Leveraged &amp; Inverse Products, etc. 請注意：衍生產品包括衍生權證、牛熊證、交易所買賣基金、槓桿及反向產品等。</p>																																						
<p><b>3.5.1</b> Is the Client interested in trading Derivative Products? 客戶有意買賣衍生產品嗎？ (If the Client is not interested in trading Derivative Products, GHS shall not offer related trading rights to the Account(s). 如客戶對買賣衍生產品不感興趣，金馬證券不會向帳戶提供相關交易權。)</p> <p><input type="checkbox"/> No 沒有      <input type="checkbox"/> Yes 有</p>																																						
<p><b>3.5.2</b> Does the Client have any knowledge of Derivative Products? 客戶有否衍生產品之認識？</p> <p><input type="checkbox"/> No 沒有      <input type="checkbox"/> Yes 有，please complete 請完成 3.5.3 – 3.5.5。 (If the Client does not have knowledge of Derivative Products but is interested in such trading, please complete in the “Assessment Questionnaire on Knowledge of Derivative Products”. 如客戶沒有衍生產品之認識，但對買賣衍生產品有興趣，請填寫「衍生產品認識評估問卷」。)</p>																																						
<p><b>3.5.3</b> Has the Client taken any training on Derivative Products that provide general knowledge of the nature and risks of Derivative Products? 客戶曾否接受任何有關介紹一般衍生產品之性質及風險的培訓？</p> <p><input type="checkbox"/> No 沒有      <input type="checkbox"/> Yes 有，please specify in the table below and provide supporting documents 請於下列表格註明及提供證明文件：</p> <table border="1"> <thead> <tr> <th>Name of Course/Seminar 課程/研討會名稱</th> <th>Organization 主辦機構</th> <th>Year of Participation 參與年份</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> </tr> </tbody> </table>		Name of Course/Seminar 課程/研討會名稱	Organization 主辦機構	Year of Participation 參與年份																																		
Name of Course/Seminar 課程/研討會名稱	Organization 主辦機構	Year of Participation 參與年份																																				
<p><b>3.5.4</b> Does/Did the Client have any work experience related to Derivative Products? 客戶是否/曾否擁有與衍生產品有關的工作經驗？</p> <p><input type="checkbox"/> No 沒有      <input type="checkbox"/> Yes 有，please specify in the table below 請於下列表格註明：</p> <table border="1"> <thead> <tr> <th>Name of Employer 任職公司名稱</th> <th>Department</th> <th>Job Title</th> <th>Period of Employment 任職時段</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>		Name of Employer 任職公司名稱	Department	Job Title	Period of Employment 任職時段																																	
Name of Employer 任職公司名稱	Department	Job Title	Period of Employment 任職時段																																			
<p><b>3.5.5</b> Has the Client executed five or more transactions in any Derivative Products within the past three years? 客戶曾在過去三年執行過五次或以上任何衍生產品的交易？</p> <p><input type="checkbox"/> No 沒有      <input type="checkbox"/> Yes 有 Please provide copies of trading records 請提供交易記錄的副本。</p>																																						

### 3. CLIENT INFORMATION OF THE SECOND JOINT ACCOUNT HOLDER (IF APPLICABLE) 聯名帳戶第二持有人客戶資料 (如適用)

#### 3.6 DISCLOSURES FOR DUE DILIGENCE 盡職審查披露

3.6.1 Does the Client maintain any other account with GHSL? 客戶現時是否持有金馬證券任何其他帳戶？

No 否  Yes 是, please specify 請註明: \_\_\_\_\_

3.6.2 Is the Client a director or an employee of GHSL? 客戶是否金馬證券之董事或僱員？

No 否  Yes 是

3.6.3 Is the Client a relative of a director or an employee of GHSL? 客戶是否金馬證券之董事或僱員之親屬？

No 否  Yes 是, Name of such Director/Employee 該董事/僱員姓名: \_\_\_\_\_

Relationship 關係: \_\_\_\_\_

3.6.4 Is the Client a director or an employee of the licensed corporation or registered institution of Securities and Futures Commission of Hong Kong? 客戶是否香港證監會持牌法團或註冊機構之董事或僱員？

No 否  Yes 是, Company Name 公司名稱: \_\_\_\_\_

CE Number/HKMA Registration Number  
中央編號/金管局註冊號碼: \_\_\_\_\_

(If the Client selects this option, please provide the consent letter for account opening issued by this company.  
如客戶選取此項，請提供由此公司發出之開戶同意信。)

3.6.5 Is the Client a substantial shareholder<sup>12</sup> of any listed company whose shares can be traded on any exchange? 客戶是否任何其股份可在任何交易所買賣之上市公司之主要股東<sup>12</sup>？

<sup>12</sup> Substantial shareholder 主要股東:

Any person has the right to exercise or control the exercise of 10% or more of the issued shares or voting rights at any shareholder meeting of a company.  
任何人士有權於一間公司之任何股東大會上行使或可控制行使 10% 或以上之股權或投票權。

No 否  Yes 是, Company Name 公司名稱: \_\_\_\_\_ Stock Code 股票編號: \_\_\_\_\_

3.6.6 Is/Was the Client linked to Politically Exposed Persons<sup>13</sup> (the “PEP”), or a close associate<sup>14</sup> of the PEP? 客戶於過往或現在是否政治人物<sup>13</sup> 或與任何政治人物有聯繫或關係<sup>14</sup>？

<sup>13</sup> Politically Exposed Person means 政治人物指：

an individual who is or has been entrusted with prominent public function or entrusted with prominent function by an international organisation, e.g. head of state/government, senior politician, senior executive of government-owned corporation, important political party official, members of senior management, etc.

指任何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之政治人物（包括國家元首、政府首長、資深從政者、高級政府官員、司法或軍事官員、國有企業高級行政人員、重要政黨幹事及高級管理層）。

<sup>14</sup> Close associate means 聯繫或關係指：

- i. a spouse, a partner, a child or a parent of the PEP, or a spouse or a partner of a child of the PEP;  
為政治人物的配偶、伴侶、子女或父母，或政治人物子女的配偶或伴侶；
- ii. the PEP as a beneficial owner of a legal person (company or corporate);  
為政治人物擁有實益控制權的法人（即公司或企業）；
- iii. an individual who has close business relations with the PEP, including an individual who is a beneficial owner of a legal person (company or corporate) or trust of which the PEP is also a beneficial owner; or  
該人為與政治人物有密切業務關係的個人，包括屬法人（即公司或企業）或信託的實益擁有人的個人，而政治人物亦是該法人或信託的實益擁有人；或
- iv. an individual who is the beneficial owner of a legal person (company or corporate) or trust that is set up for the benefit of the PEP.  
替政治人物持有法人（即公司或企業）或信託的個人，而有關法人是為政治人物的利益而成立的。

No 否  Yes 是, Name of that PEP 該政治人物的姓名: \_\_\_\_\_

Relationship with the Client 與客戶的關係: \_\_\_\_\_

Place and Public Function Entrusted with  
地方及所擔任的公職: \_\_\_\_\_

3.6.7 Did the Client have any criminal record in the past and/or is the Client currently undergoing any criminal trial or investigation? 客戶於過往有否任何刑事犯罪紀錄及/或現在是否接受任何刑事訴訟案件審訊或調查？

No 否  Yes 是, please specify 請註明: \_\_\_\_\_

3.6.8 Did/Does the Client have any professional qualification licenses (such as lawyer, accountant, doctor, etc.) and/or regulated licenses (such as securities, real estate, insurance, etc.) in the past or at present? 客戶於過往或現在是否持有任何專業資格牌照（如律師、會計師、醫生等）及/或受監管的牌照（如證券、地產、保險等）？

No 否  Yes 是, please complete 3.6.9.

3.6.9 If the Client holds any professional qualification and/or regulated licenses, did the Client have any disciplinary records in the past and/or is the Client currently subject to any disciplinary investigations in relation to the professional qualification and/or regulated licenses? 如客戶持有任何專業資格及/或受監管牌照，客戶過往有否任何違規紀錄及/或現在是否接受任何與其專業資格牌照及/或受監管牌照有關的違規調查？

No 否  Yes 是, please specify 請註明: \_\_\_\_\_

**3. CLIENT INFORMATION OF THE SECOND JOINT ACCOUNT HOLDER (IF APPLICABLE)**  
**聯名帳戶第二持有人客戶資料 (如適用)**

### 3.6.10 is only applicable to Margin Account 3.6.10 僅適用於保證金帳戶

**3.6.10** Does the Client either alone or with his/her spouse, in control of 35% or more of the voting rights of any corporate securities margin Client of GHSL? 客戶是否個人或與配偶共同控制金馬證券的公司證券保證金客戶 35% 或以上的投票權？

No 否       Yes 是,      Account Name 帳戶名稱: \_\_\_\_\_

Account Number 帳戶號碼： \_\_\_\_\_

4 ANTICIPATED ANNUAL INVESTMENT AMOUNT (HKD) 預期每年投資金額(港幣)

≤ 500,000       500,001 – 1,000,000       1,000,001 – 5,000,000       5,000,001 – 10,000,000

10,000,001 – 50,000,000       50,000,001 – 100,000,000       > 100,000,000, please specify 請註明 : \_\_\_\_\_

**5 DESIGNATED BENEFICIARY BANK ACCOUNT 指定收款銀行帳戶**

(Please provide a copy of the bank statement 請提供銀行月結單的副本)

Currency 貨幣	Name of Bank 銀行名稱	Account Number 帳戶號碼	Name of Bank Account Holder 銀行帳戶持有人姓名
----------------	----------------------	------------------------	--

## 6 USES OF PERSONAL DATA 個人資料之使用

## 6.1 Securities Trading Service 證券交易服務

Agree to the terms and conditions of Securities Trading Service of Personal Information Collection Statement.  
同意個人資料收集聲明部分之證券交易服務之所有細節及條款。

NOT agree to the terms and conditions of Securities Trading Service of Personal Information Collection Statement.  
不同意個人資料收集聲明部分之證券交易服務之所有細節及條款。  
(If the Client selects this option, GHSL shall not offer Securities Trading Service to the Client. 如客戶選取此項，金馬證券不會向客戶提供證券交易服務。)

## 6.2 Cross-border Transfer of Personal Data 跨境個人資料轉讓

Agree to the terms and conditions of Cross-border Transfer of Personal Data of Personal Information Collection Statement. 同意個人資料收集聲明部分之跨境個人資料轉讓之所有細節及條款。

NOT agree to the terms and conditions of Cross-border Transfer of Personal Data of Personal Information Collection Statement. 不同意個人資料收集聲明部分之跨境個人資料轉讓之所有細節及條款。

### 6.3 Direct Marketing 直接促銷

Agree to use the Client's personal information to do any direct marketing according to the Personal Information Collection Statement.  
同意個人資料收集聲明所載使用客戶之個人資料作任何直接促銷。

NOT agree to use the Client's personal information to do any direct marketing according to the Personal Information Collection Statement.  
不同意個人資料收集聲明所載使用客戶之個人資料作任何直接促銷。

## 6.4 Investment or Financial Related Products and Services 投資或有關財務產品及服務的資料

Agree to GHSL and/or its associates in providing information about investment or financial related products and services including research reports and special offers to me by any means.  
同意金馬證券及/或有聯繫者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。

NOT agree to GHSL and/or its associates in providing information about investment or financial related products and services including research reports and special offers to me by any means.  
不同意金馬證券及/或有聯繫者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。

7 **ULTIMATE BENEFICIARY AND PERSON TO ORIGINATE INSTRUCTION OF THE ACCOUNT(S)**  
帳戶最終受益人及交易指示發出者

7.1 Is the Client the ultimate beneficiary of the Account? 客戶是否帳戶的最終受益人？

Yes 是  No 否，the details of the related person are as follows 有關人士之資料如下：

Name  
姓名 \_\_\_\_\_

Date of Birth (DD/MM/YYYY)  
出生日期 (日/月/年) \_\_\_\_\_

Nationality  
國籍 \_\_\_\_\_

Identity Card/Passport Number and its Place of Issue  
身份證/護照號碼及其簽發地 \_\_\_\_\_

Residential Address  
住宅地址 \_\_\_\_\_

Country/Area Code 國家/地區編號 - Number 號碼

Mobile Phone Number  
手提電話號碼 \_\_\_\_\_

7.2 Is the Client the person that stands to gain and/or bear any commercial or economic benefit and/or risk of the transaction of the Account(s)?  
客戶是否將會從帳戶之交易取得及/或承擔商業或經濟利益及/或風險的人士？

Yes 是  No 否，the details of the related person are as follows 有關人士之資料如下：

Name  
姓名 \_\_\_\_\_

Date of Birth (DD/MM/YYYY)  
出生日期 (日/月/年) \_\_\_\_\_

Nationality  
國籍 \_\_\_\_\_

Identity Card/Passport Number and its Place of Issue  
身份證/護照號碼及其簽發地 \_\_\_\_\_

Residential Address  
住宅地址 \_\_\_\_\_

Country/Area Code 國家/地區編號 - Number 號碼

Mobile Phone Number  
手提電話號碼 \_\_\_\_\_

7.3 Is the Client the person ultimately responsible for originating the instruction in relation to the transaction(s) of the Account(s)?  
客戶是否證券帳戶最初負責發出交易指示的人士？

Yes 是  No 否，the details of the related person are as follows 有關人士之資料如下：

Name  
姓名 \_\_\_\_\_

Date of Birth (DD/MM/YYYY)  
出生日期 (日/月/年) \_\_\_\_\_

Nationality  
國籍 \_\_\_\_\_

Identity Card/Passport Number and its Place of Issue  
身份證/護照號碼及其簽發地 \_\_\_\_\_

Residential Address  
住宅地址 \_\_\_\_\_

Country/Area Code 國家/地區編號 - Number 號碼

Mobile Phone Number  
手提電話號碼 \_\_\_\_\_

The Client hereby declares and acknowledges that 客戶特此確認及承諾：

8.1 The Client agrees to open the account(s) listed in Section 1.2 of this "Integrated Securities Account Opening Form (Individual/Joint Account)" ("Account Opening Form") ("Account(s)") with GHSL and comply with the rules and regulations as amended from time to time of the Securities and Futures Commission of Hong Kong, the Hong Kong Exchanges and Clearing Limited (the "Hong Kong Exchange") and other regulatory authorities. 客戶同意於金馬證券開立本「綜合證券帳戶開戶表格 (個人/聯名帳戶)」(「開戶表格」)第 1.2 部分所列出的帳戶 (「帳戶」)，並遵守香港證券及期貨監察委員會、香港交易及結算所有限公司 (「香港交易所」) 及其他監管機構不時修訂之條例及規則。

8.2 The Client clearly understands that GHSL may request more relevant information or supporting documents from the Client for the purpose of opening the Account(s). By submitting this Account Opening Form to GHSL and the acceptance of this Account Opening Form by GHSL, the Client understands that these do not mean that GHSL agrees to open an account with the Client. GHSL reserves the right to refuse the Client to open the Account(s). 客戶清楚明白金馬證券可能要求客戶提供更多相關的資料或證明文件以作開立帳戶之用。客戶向金馬證券遞交本開戶表格及金馬證券接納本開戶表格並非表示金馬證券同意開立帳戶予客戶。金馬證券保留拒絕客戶開立帳戶之權利。

8.3 The information provided in this Account Opening Form is true, correct and complete, and the Client has not wilfully withheld any material fact(s). The Client authorizes GHSL to confirm and verify the information from any source that GHSL considered appropriate, including performing any credit checks on the Client. GHSL is entitled to rely fully on such information and representations for all purposes, unless GHSL receives notice in writing of any change. The Client confirms and undertakes that the Client will notify GHSL in writing on any changes (except for the Client's tax residency status) within seven (7) days. 本開戶表格中所提供的資料均屬真實、完整及準確無訛，及客戶並未刻意隱瞞任何重要事實。客戶授權金馬證券可向任何金馬證券認為適當的資料來源確定和查證，包括進行任何對於客戶的信貸查證。除非金馬證券收到任何資料改變的收書面通知，金馬證券可完全依據這些資料及陳述，作任何用途。客戶確認及承諾，如所提供之資料 (除客戶之稅務居民身分) 有任何更改，均會於七(7)天內以書面通知金馬證券。

8.4 Unless otherwise specified, the Client confirms that the Client is acting for the Client's account and as principal in relation to each transaction entered with GHSL and the Client shall be the ultimate beneficiary and ultimately responsible for giving instructions of the account and transaction(s). 除另有說明外，客戶確認其為其帳戶行事及以當事人身份與金馬證券訂立每一項交易，所有客戶與金馬證券訂立有關交易之最終受益人及最終發出交易指示的人均為客戶。

8.5 The Client confirms that the Client has received the fee schedule of the Account(s) and agree that such fee schedule may be amended from time to time. 客戶確認其已收取帳戶之收費表及同意該收費表可不時修訂。

8.6 The Client confirms that the Client has received, read and understood all the terms and conditions contained in the Client Agreement of GHSL applicable to the account type selected by the Client and agrees to be bound by these terms and conditions at all times. The Client also accepts and agrees that GHSL has the right to amend the terms and conditions of the Client Agreement of GHSL from time to time (the "Relevant Amendments") and shall notify the Client of the Relevant Amendments. Unless GHSL receives a written notice from the Client for the objection to the Relevant Amendments or cancellation of the Account(s), it shall indicate that the Client has accepted the Relevant Amendments. 客戶確認其已收取、閱讀及明白金馬證券的客戶協議書中所載的適用於客戶所選擇之帳戶類別之一切條款及細則，並同意在任何時候接受該等條款及細則的約束。客戶亦接納及同意金馬證券有權不時修訂金馬證券的客戶協議書之條款及細則 (「有關修訂」)，並會向客戶發出有關修訂之通知。除非金馬證券收到客戶反對有關修訂或取消帳戶之書面通知，否則應當作表示客戶已接納有關修訂。

#### 8.7 Standing Authority 常設授權

##### 8.7.1 Client Money 客戶款項

The Client hereby declares and confirms the following Standing Authority 客戶特此聲明及確認以下常設授權：

This Standing Authority covers money held or received by GHSL in Hong Kong (including any interest derived from the holding of the money which does not belong to GHSL) in one or more segregated account(s) on the Client's behalf ("Monies").

本常設授權是涵蓋金馬證券為客戶在香港收取或持有並存放於一個或多個獨立帳戶內之款項 (包括因持有並非屬於金馬證券之款項而產生之任何利息) (下稱「款項」)。

Unless otherwise defined, all the terms used in this Standing Authority shall have the same meanings as in the Securities and Futures Ordinance and the Securities and Futures (Client Money) Rules as amended from time to time. Segregated account(s) include any account(s) designated as client account(s) established and maintained in or outside Hong Kong. 無論是否另有說明，本常設授權之名詞與《證券及期貨條例》及《證券及期貨 (客戶款項) 規則》不時修訂的定義具有相同意思。獨立帳戶包括在香港或香港以外地方設立及維持並標明為客戶帳戶的任何帳戶。

This Standing Authority authorizes GHSL to:

本常設授權授權金馬證券：

- (i) Combine or consolidate any or all segregated accounts, of any nature whatsoever and either individually or jointly with others, maintained by GHSL from time to time, and GHSL may transfer any sum of Monies to and between such segregated account(s) to satisfy the Client's obligations or liabilities to GHSL, whether such obligations and liabilities are actual or contingent, primary or collateral, secured or unsecured, joint or several; and 組合或合併金馬證券所維持的任何性質的任何或全部獨立帳戶，此等組合或合併活動可以個別地或與其他帳戶聯合進行，金馬證券可將該等獨立帳戶內任何數額之款項作出轉移，以解除客戶對金馬證券的義務或法律責任，不論此等義務和法律責任是確實或或然的、原有或附帶的、有抵押或無抵押的、共同或分別的；及
- (ii) Set-off or transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by GHSL towards satisfaction of any of our liabilities to GHSL; and 金馬證券可將款項的任何款額任何時間維持的獨立帳戶之間轉入轉出以結清客戶對金馬證券負有的債務；及
- (iii) Exchange the Client's Monies into any other currency(ies) at the rate of exchange conclusively determined by GHSL. 可將帳戶內的款項以金馬證券最終確定的匯率兌換成任何其他貨幣。

GHSL may do any of the above without giving the Client any notice.

金馬證券可不向客戶發出任何通知，而採取上述任何一種行動。

This Standing Authority is given to GHSL in consideration of the Client's agreement in opening and continuous maintaining Securities Cash, Securities Margin and/or Collateral Account(s) with GHSL for the Client.

本常設授權書乃鑑於金馬證券同意開立及繼續維持客戶的證券現金、證券融資及/或抵押品帳戶。

This Standing Authority is given without prejudice to other authorities or rights which GHSL may have in relation to dealing in Monies in the segregated accounts.

客戶明白客戶的證券可能受制於第三者之權利，金馬證券可於全數抵償該等權利後，方將客戶的證券退回給客戶。

## 8 CLIENT'S DECLARATION AND ACKNOWLEDGEMENT 客戶聲明及確認

### 8.7.1 Client Money 客戶款項

**This Standing Authority is valid for a period of up to 12 months** from the date hereof.  
本常設授權以本函簽發日期起計十二個月內有效。

The Client understands that a notice of renewal of this Standing Authority shall be sent to the Client at least 14 days prior to its expiry. If GHSL does not receive the Client's letter of objection to the renewal of Standing Authority prior to its expiry, the Client shall be deemed to have agreed to renew the Standing Authority for a period of 12 months upon the terms and conditions as specified in the Standing Authority.

客戶明白常設授權續期通知書將於常設授權屆滿前最少十四(14)天寄予客戶。如金馬證券於常設授權有效期屆滿前未有接獲客戶書面反對，則客戶之常設授權會在屆滿時按照常設授權的條款及細則視作為同意續期十二(12)個月。

This Standing Authority may be revoked at any time by giving not less than 30 days prior written notice to GHSL.  
客戶有權隨時撤銷本常設授權，須給予金馬證券不少於三十(30)天書面通知。

This Standing Authority has been fully explained to the Client, and the Client fully understands and accepts the contents of this Standing Authority..  
本常設授權已向客戶完全解釋，客戶完全明白及接受本常設授權的內容。

In the event of any difference in interpretation between the English and Chinese version of this Standing Authority, the Client agrees that the English version shall prevail.

倘若本常設授權的英文與中文在解釋方面有任何歧義，客戶同意應以英文版本為準。

### 8.7.2 Client Securities (For Margin Client Only) 客戶證券 (僅適用於保證金客戶)

The Client hereby declares and confirms the following Standing Authority 客戶特此聲明及確認以下常設授權：

This Standing Authority covers all securities purchased or held by GHSL on behalf of the Client. Please refer to the "Risk Disclosure Statement (Securities)" of the Client Agreement of GHSL for more details.

本常設授權是涵蓋所有由金馬證券代表客戶購入或持有之證券。關於更多詳情，請參閱金馬證券客戶協議書內的風險披露聲明 (證券) 的「風險披露聲明書」。

Pursuant to Section 7 (2) of Securities and Futures (Client Securities) Rule, this Standing Authority authorizes GHSL to:  
根據證券及期貨 (客戶證券) 規則第 7 (2) 規定，本常設授權授權金馬證券：

1. Apply any of the Client's securities or securities collateral in question pursuant to a securities borrowing and lending agreement;  
依據證券借貸協議運用任何客戶的證券或證券抵押品；
2. Deposit any of the Client's securities collateral in question with an authorized financial institution as collateral for financial accommodation provided to GHSL; or  
將任何客戶的證券抵押品存放於認可財務機構，作為提供予金馬證券的財務通融的抵押品；或
3. Deposit any of the Client's securities collateral in question with a recognized clearing house or another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of GHSL's settlement obligations and liabilities.  
將任何客戶的證券抵押品存放於認可結算所或另一獲發牌或獲註冊進行證券交易中介人，作為解除金馬證券在交收上的義務和清償金馬證券在交收上的法律責任的抵押品。

GHSL may do any of the above without giving the Client any notice.  
金馬證券可不向客戶發出任何通知，而採取上述任何一種行動。

GHSL is accountable to the Client for the return of any securities or securities collateral lent or deposited under this Standing Authority.  
金馬證券須向客戶負責償還有關根據本常設授權而作出借、貸或存放之證券。

This Letter of Standing Authority is given to GHSL in consideration of the Client's agreement in opening and continuous maintaining Securities Margin Trading Account with GHSL for the Client.  
本常設授權書乃鑑於金馬證券同意開立及繼續維持客戶之證券保證金交易帳戶。

The Client understands that a third party may have rights to the Client's securities or securities collateral, which GHSL must satisfy before the Client's securities or securities collateral can be returned to the Client.  
客戶明白客戶的證券可能受制於第三者之權利，金馬證券可於全數抵償該等權利後，方將客戶的證券退回給客戶。

**This Standing Authority is valid for a period of up to 12 months** from the date hereof.  
本常設授權以本函簽發日期起計十二個月內有效。

The Client understands that a notice of renewal of this Standing Authority shall be sent to the Client at least 14 days prior to its expiry. If GHSL does not receive the Client's letter of objection to the renewal of Standing Authority prior to its expiry, the Client shall be deemed to have agreed to renew the Standing Authority for a period of 12 months upon the terms and conditions as specified in the Standing Authority.

客戶明白常設授權續期通知書將於常設授權屆滿前最少十四(14)天寄予客戶。如金馬證券於常設授權有效期屆滿前未有接獲客戶書面反對，則客戶之常設授權會在屆滿時按照常設授權的條款及細則視作為同意續期十二個月。

This Standing Authority may be revoked at any time by giving not less than 30 days prior written notice to GHSL.  
客戶有權隨時撤銷本常設授權，須給予金馬證券不少於三十(30)天書面通知。

This Letter of Authority together with the risk disclosure statement have been fully explained to the Client, and the Client fully understands and accepts the contents of this Letter of Authority.

本常設授權書連同風險披露聲明已向客戶完全解釋，客戶完全明白及接受本常設授權書的內容。

In the event of any difference in interpretation between the English and Chinese version of this Letter of Standing Authority, I/we agree that the English version shall prevail.

倘若本常設授權書的英文與中文在解釋方面有任何歧義，客戶同意應以英文版本為準。

## 8 CLIENT'S DECLARATION AND ACKNOWLEDGEMENT 客戶聲明及確認

8.8 The Client confirms that the Risk Disclosure Statements as contained in the Client Agreement of GHSL have been provided to the Client in the language of the Client's choice (English or Chinese), the Client has been invited to read such Risk Disclosure Statements, to ask questions relating thereto and to seek any independent advice if the Client wishes before signing this Account Opening Form. The Client further understands that the Risk Disclosure Statements do not purport to disclose or explain all the risks and other important aspects of trading in financial products concerned, and the Client has been advised not to engage in trading in financial products unless the Client fully understands the nature and risk of such financial products. The Client understands that the Client should carefully consider whether trading in relevant financial products are appropriate for the Client in light of their own investment objectives, experience, risk appetite and financial resources, and the Client is advised to seek independent and professional advice.

客戶確認已按照客戶所選擇語言 (英文或中文) 獲提供金馬證券的客戶協議書內所載的風險披露聲明，且已獲邀在簽署本開戶表格前，閱讀該風險披露聲明、提出問題及徵求獨立的意見 (如客戶有此意願)。客戶進一步明白該風險披露聲明並未能披露或解釋涉及金融產品交易的所有風險或其他重要事項，除非客戶完全明白所進行金融產品交易之性質及其風險程度，客戶已被建議不應進行該金融產品的交易。客戶明白，客戶應根據客戶自身的投資目標、經驗、風險承受能力、財政資源小心考慮進行相關金融產品之交易是否適合客戶，且客戶如有疑問應尋求獨立及專業的意見。

8.9 If the Client is classified as "no knowledge to derivative products", the Client confirms that the Client has carefully read the risks involved in the investment of derivative products contained in the relevant Risk disclosure statements of the Client Agreement of GHSL and fully understands such related risks involved. Although the Client may not have experience in investing in derivative products, the Client may still trade relevant derivative products based on the independent judgment of the Client and is willing to bear all the risks of investing in such derivative products.

如客戶被歸類為「對衍生產品沒有認識」，客戶確認其已仔細閱讀在金馬證券的客戶協議書之相關風險披露聲明內所列明的有關投資衍生產品所涉及的風險，並完全明白當中所述之相關風險。儘管客戶可能沒有投資衍生產品的經驗，客戶可能基於其獨立判斷仍要求進行衍生產品交易，並願意承擔所有投資相關衍生產品的風險。

8.10 The Client acknowledges that the Client has carefully read the Personal Information Collection Statement contained in the Client Agreement of GHSL and fully agreed to such relevant terms and conditions and that GHSL can use the Client's personal data in accordance with such relevant terms and conditions (except as described in Section 6 of this Account Opening Form). The Client also understands and acknowledges that GHSL intends to use the Client's personal data for direct marketing and cross-border transfer of personal data. GHSL must receive the Client's consent for the use of such personal data, otherwise GHSL shall not use such personal data. The Client's clearly understands, acknowledges and agrees that unless the Client decides to notify GHSL in Section 9 of this Account Opening Form or at any time in accordance with the Personal Information Collection Statement to refuse the use of such personal data, GHSL shall comply with the Personal Information Collection Statement to use the Client's personal data by any means in direct marketing and cross-border transfer of personal data.

客戶承認已細閱金馬證券的客戶協議書所載的個人資料收集聲明，並完全同意相關條款及細則及金馬證券可根據相關條款及細則使用客戶的個人資料 (本開戶表格第 6 部份所述除外)。客戶亦明白及承認金馬證券擬把客戶之個人資料使用於直接促銷及跨境個人資料轉讓，金馬證券須收到客戶對該等個人資料使用的同意，否則不得如此使用該等個人資料。客戶清楚明白、承認及同意除非客戶決定如本開戶表格第 9 部份所述或根據個人資料收集聲明所載隨時通知金馬證券而拒絕該等個人資料之使用，金馬證券能將根據個人資料收集聲明使用客戶之個人資料以任何途徑於直接促銷及跨境個人資料轉讓。

8.11 Applicable to the Client with electronic trading service 適用於使用電子交易服務之客戶

- The Client has read and understood the terms of the electronic trading service contained in the Client Agreement of GHSL and agreed to be bound by these terms.
- 客戶已閱讀並明白金馬證券的客戶協議書中所載之電子交易服務的條款，並同意接受該等條款約束。
- The Client confirms that the Client is aware of the risks of electronic trading and are willing to bear all the risks of electronic trading.
- 客戶確認其已知悉電子交易之風險，並願意承擔所有電子交易之風險。
- Unless otherwise requested, the Client agrees that GHSL shall send our electronic trading account number and password via SMS or email.
- 除非另有要求，客戶同意金馬證券將以短訊或電子郵件寄出客戶的電子交易帳號及密碼。

8.12 Applicable to the Client with trading service of global stock market 適用於使用環球股票市場交易服務之客戶

- The Client agrees to read the applicable rules and regulations as amended from time to time on the website of the relevant global stock exchanges and regulatory authorities for the trading of global securities (the "Global Securities Trading Rules and Regulations") and confirms to comply with the Global Securities Trading Rules and Regulations.
- 客戶同意自行於相關環球證券交易所網站閱讀適用於其環球股票交易之相關環球股票交易所及監管機構不時修訂之條例及規則 (「環球證券交易條例及規則」)，並確認會遵守環球證券交易條例及規則。
- The Client confirms that the Client is aware of the risks of investing in global securities and is willing to bear all the risks of investing in global securities.
- 客戶確認其已知悉投資環球證券之風險，並願意承擔所有投資環球證券之風險。
- The Client confirms that the Client is aware of certain tax(es) and/or charge(s) required to pay for investing in certain types of global securities (including but not limited to levies of regulatory authorities and/or exchanges, stamp duty, value-added tax, sales tax or dividend withholding tax, etc.), and agrees that GHSL has the sole and absolute discretion to reserve and/or deduct any funds from the Account(s) to meet the above-mentioned requirements. The Client confirms that, under any circumstances, GHSL shall not be liable for any loss or damage to us caused by the withholding or deduction of the relevant funds under the fulfillment of the above-mentioned requirements.
- 客戶確認其已知悉投資某類環球證券需要繳付特定稅項及/或收費 (包括但不限於監管機構及/或交易所徵費、印花稅、增值稅、銷售稅或股息預扣稅等)，並同意金馬證券，享有唯一及絕對的酌情權，從帳戶中預留及/或扣除任何款項以符合上述之要求。客戶確認，在任何情況下，金馬證券將不會為任何因履行上述要求下預扣或扣除有關款項所引致客戶之損失及損害負上責任。
- The Client agrees that GHSL can report the Client's personal data and/or transaction information to the relevant global stock exchanges and regulatory authorities for the trading of global securities (the "Global Securities Trading Rules and Regulations") in accordance with the requests of the Relevant Institutions.
- 客戶同意金馬證券能根據相關環球證券交易所及監管機構 (「有關機構」) 之要求，把客戶的個人資料及/或交易資料向有關機構申報。

8.13 Applicable to the Client with trading service of derivative products in the over-the-counter and holding a Collateral Account with GHSL 適用於使用場外衍生產品交易服務及於金馬證券持有抵押品帳戶之客戶

- The Client has read and understood the terms of the "Dealing in Over-The-Counter Derivative Products (Collateral Account)", "Derivative and Structured Products", and "Appendix 1 – Letter for Delegation of Signatory Authority" contained in the Client Agreement of GHSL and agreed to be bound by these terms.
- 客戶已閱讀並明白在金馬證券的客戶協議書中所載之「場外衍生工具交易 (抵押品帳戶)」，「衍生工具及結構性產品」及「附件一 – 授權簽署授權書」的條款，並同意接受該等條款約束。
- The Client confirms that the Client is aware of the risks of trading Derivative Products in the over-the-counter described in the Section called "Risk of Trading Derivatives and Structured Products" under Section V "Additional Risk Disclosure Statement for Financial Instruments" of the Client Agreement of GHSL. The Client further confirms that the Client is willing to bear all the risks of trading Derivative Products in the over-the-counter.
- 客戶確認其已知悉在金馬證券的客戶協議書第 V 段「金融商品之額外風險聲明」下的「衍生工具及結構性產品交易之風險」中所載之風險，並願意承擔所有場外衍生產品交易之風險。

8.14 The Client confirms and agrees that GHSL has no responsibility or obligation to provide any tax advice to the Client. If the Client has any tax questions or does not know the tax status or residency, the Client should seek independent advice.

客戶確認及同意金馬證券沒有任何責任及義務向客戶提供任何關於稅務方面之建議。如客戶有任何稅務方面之疑問或不了解其稅務身份或居所狀況，客戶須徵求獨立之意見。

## 8 CLIENT'S DECLARATION AND ACKNOWLEDGEMENT 客戶聲明及確認

8.15 The Client agrees to browse the latest version of Client Agreement and fee schedule of GHSL on the website of GHSL (<http://www.igoldhorse.com>) and acknowledges that GHSL shall publish the latest version of Client Agreement and fee schedule on its website in due course. 客戶同意自行到金馬證券網站 (<http://www.igoldhorse.com>) 瀏覽最新版本之金馬證券的客戶協議書及收費表，並知悉金馬證券會適時於其網站發佈最新版本之客戶協議書及收費表。

8.16 The Client understands and agrees that GHSL can suspend the Account(s) and request the Client to provide more information in case if there is any abnormal or suspicious activity in the Account(s). 客戶明白及同意，若帳戶有任何不正常或可疑活動，金馬證券可以凍結帳戶並要求客戶提供更多資料。

### Important Notes 重要提示：

With effect from July 2014, Foreign Account Tax Compliance Act ("FATCA") has been enacted by U.S. FATCA aims to prevent the non-compliance with U.S. tax obligations by U.S. taxpayers holding foreign financial accounts. According to the information published by the U.S. Internal Revenue Service (the "IRS"), FATCA requires foreign financial institutions ("FFIs") to conduct certain due diligence procedures to identify and report to the IRS information in respect of foreign financial accounts held by (i) U.S. taxpayers; or (ii) foreign entities in which U.S. taxpayers hold a substantial ownership interests.

美國制定的海外帳戶稅收合規法案（「FATCA」）於 2014 年 7 月起生效。FATCA 旨在防止美國納稅人利用海外金融帳戶不遵守美國稅收義務。據美國國稅局表示，FATCA 要求海外金融機構遵從有關盡職調查程序，以辨認及向美國國稅局匯報 (i) 美國人士或 (ii) 美國納稅人持有主要權益之海外實體所持有的海外金融戶口資料。

8.17 The Client acknowledges and agrees that (i) the information contained in this Account Opening Form is collected and may be kept by GHSL for the purpose of FATCA, and (ii) such information and information regarding the Client and any reportable account(s) may be reported by GHSL to the IRS for tax purposes. 客戶知悉及同意，金馬證券可根據 FATCA，(i) 收集本開戶表格所載資料並可備存作 FATCA 用途及 (ii) 把該等資料和關於客戶及任何須申報帳戶的資料向美國國稅局申報。

8.18 The Client undertakes to advise GHSL of any change in circumstances which affect the tax residency status of the Client identified in this Account Opening Form or cause the information contained herein to become incorrect, and to provide GHSL with a suitably updated Form W-8BEN-E or Form W-9 within thirty (30) days of such change in circumstances. 客戶承諾，如情況有所改變，以致影響本開戶表格所述的客戶之稅務居民身分，或引致本表格所載的資料不正確，客戶會通知金馬證券，並會在情況發生改變後三十(30)日內，向金馬證券提交一份已適當更新的 W-8BEN-E 表格或 W9 表格。

8.19 The Client agrees that the Client is required to provide any information or documents required by GHSL to comply with FATCA in a timely manner. 客戶同意其需及時提供金馬證券為遵守 FATCA 之任何資料或文件。

8.20 The Client agrees that GHSL we can disclose any information (including tax status, identity and other payment information of the Client) and/or documents provided by us to the IRS. 客戶同意金馬證券能透露任何由其提供的任何信息 (包括客戶之稅務狀況、身份及其他付款信息) 及/或文件予美國國稅局。

8.21 The Client agrees that the Client has no right to claim against GHSL for any losses, liabilities, costs or expenses incurred by us owing to the proper use or disclosure of such information or documents to the IRS by GHSL in order to comply with FATCA. 就因金馬證券為遵守 FATCA 而恰當使用或向美國國稅局披露此等資料或文件而使客戶蒙受的任何損失、責任、成本或開支，客戶同意其無權向金馬證券申索。

8.22 The Client agrees that in view of the loss or expenses incurred by GHSL in relation to the Client's violation of the above-mentioned declarations and agreement and/or our failure to provide any information or documents required by GHSL to comply with FATCA, the Client agrees to make compensation to GHSL. 客戶同意對金馬證券就因其違反上述聲明及協議及/或因其未能提供金馬證券為遵守 FATCA 所要求的任何資料或文件，而產生的損失或開支，客戶同意向金馬證券作出賠償。

8.23 The Client declares that the information given and statements made in this Account Opening Form in relation to FATCA are, to the best of the Client's knowledge and belief, true, correct and complete. 客戶聲明就其所知所信，此開戶表格內所填報關於 FATCA 的所有資料及聲明均屬真實、正確和完備。

8.24 The Client agrees that GHSL has the sole and absolute discretion to reserve and/or deduct any funds from the Account to meet the requirements of FATCA. The Client confirms that, under any circumstances, GHSL shall not be liable for any loss or damage to the Client caused by the withholding or deduction of the relevant funds under FATCA requirements. 客戶同意金馬證券，享有唯一及絕對的酌情權，從其帳戶中，預留及/或扣除任何款項以符合 FATCA 之要求。客戶確認，在任何情況下，金馬證券將不會為任何因履行 FATCA 要求下預扣或扣除有關款項所引致客戶之損失及損害負上責任。

### Important Notes 重要提示：

- This is a self-certification form provided by the Client 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.

這是由客戶向申報財務機構提供的自我證明表格，以作自動交換財務帳戶資料用途。申報財務機構可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。

- The Client should report all changes in its tax residency status to the reporting financial institution.

如客戶的稅務居民身分有所改變，應盡快將所有變更通知申報財務機構。

- If space provided is insufficient, continue on additional sheet(s). All the personal information of the Client, including but not limited to legal name, business address, TIN and details of transactions are required to be reported by the reporting financial institution to the Inland Revenue Department.

如表格上的空位不夠應用，可另紙填寫。客戶的所有個人資料，包括但不限於法定名稱、營業地址、稅務編號及交易詳情均為申報。

8.25 The Client acknowledges and agrees that (i) the information contained in this Account Opening Form is collected and may be kept by GHSL for the purpose of automatic exchange of financial account information ("AEOI"), and (ii) such information and information regarding the Client and any reportable account(s) may be reported by GHSL 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). 客戶知悉及同意，金馬證券可根據《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文，(i) 收集此開戶表格所載資料並可備存作自動交換財務帳戶資料用途（「AEOI」）及 (ii) 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。

8.26 The Client undertakes to advise GHSL of any change in circumstances which affects the tax residency status of the Client identified in this Account Opening Form or causes the information contained herein to become incorrect, and to provide GHSL with a suitably updated self-certification form within 30 days of such change in circumstances. 客戶承諾，如情況有所改變，以致影響此開戶表格所述的個人稅務居民身分，或引致本表格所載的資料不正確，客戶會通知金馬證券，並會在情況發生改變後三十(30)日內，向金馬證券提交一份已適當更新的自我證明表格。

8.27 The Authorized Person(s) of the Client certify(ies) that he/she/they is/are authorized to sign for the Client of all the account(s) to which this form relates. 客戶之獲授權人士證明，就與此表格所有相關的帳戶，其獲客戶授權簽署此表格。

8.28 The Client agrees that the Client is required to provide any information or documents required by GHSL to comply with AEOI and/or any applicable laws or regulations in a timely manner. 客戶同意其需及時提供金馬證券為遵守 AEOI 及/或任何適用之法例或規例下之任何資料或文件。

## 8 CLIENT'S DECLARATION AND ACKNOWLEDGEMENT 客戶聲明及確認

8.29 The Client agrees that GHSL can disclose any information (including tax status, identity, place of business and other payment information of the Client's) and/or documents provided by the Client to the relevant tax authorities, the government of Hong Kong Special Administrative Region and/or other similar agencies in other countries (collectively “**Governmental Agency**”).  
客戶同意金馬證券可透露任何由其提供的任何信息(包括客戶之稅務狀況、身份、營業地方及其他付款信息)及/或文件予有關稅務機關、香港特別行政區政府及/或其他國家相類之機關(統稱為「**政府機構**」)。

8.30 The Client agrees that the Client has no right to claim against GHSL for any losses, liabilities, costs or expenses incurred by the Client owing to the proper use or disclosure of such information or documents to any Governmental Agency by GHSL in order to comply with the AEOI.  
就客戶因金馬證券為遵守 AEOI 而恰當使用或向任何政府機構披露此等資料或文件而使其蒙受的任何損失、責任、成本或開支，客戶同意其無權向金馬證券申索。

8.31 The Client agrees that in view of the loss or expenses incurred by GHSL in relation to the Client's violation of the above-mentioned declarations and agreement and/or the failure of the Client to provide any information or documents required by GHSL to comply with the AEOI or other laws or regulations, the Client agrees to make compensation to GHSL.  
客戶同意對金馬證券就因其違反上述聲明及協議及/或因其未能提供金馬證券為遵守 AEOI 或其他法例或規例所要求的任何資料或文件，而產生的損失或開支，客戶同意向金馬證券作出賠償。

8.32 The Client declares that the information given and statements made in this Account Opening Form in relation to AEOI are, to the best of the Client's knowledge and belief, true, correct and complete.  
客戶聲明就其所知所信，本開戶表格內所填報關於 AEOI 的所有資料及聲明均屬真實、正確和完備。

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. HK\$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(即港幣 10,000 元)罰款。

8.33 If there is any ambiguity between the Chinese and English versions of this Account Opening Form, the English version shall prevail.  
如本開戶表格之中英文版本有任何歧義，將以英文版本為準。

## 8 CLIENT'S DECLARATION AND ACKNOWLEDGEMENT 客戶聲明及確認

The Client hereby declares that after signing in the signature column herein below by the Client, indicated that the Client has already fully read, confirmed, agreed, accepted, understood and been willing to comply with all the contents and provisions of this Account Opening Form, all the terms and conditions of the Client Agreement and the Risk Disclosure Statements of GHSL. In relation to all the above mentioned contents and provisions, the Client has been invited to ask questions in writing and seek independent advice and have also understood and accepted all the contents and provisions.

客戶茲聲明，當客戶於下列簽署欄內簽署後，即表示客戶已完全細閱、確認、同意、接受、明白及願意遵守本開戶表格內之所有內容及條款、金馬證券的客戶協議書及風險披露聲明的所有條款和細則。關於上述各項所有內容和細則，客戶已獲邀請提出問題及尋求獨立意見，並完全明白及接受所有其內容和細則。

Client/First Joint Account Holder Signature  
客戶/聯名帳戶第一持有人簽署

Second Joint Account Holder Signature (if any)  
聯名帳戶第二持有人簽署 (如適用)

Name of Client/First Joint Account Holder  
客戶/聯名帳戶第一持有人姓名

Date  
日期

Name of Second Joint Account Holder  
聯名帳戶第二持有人姓名

Date  
日期

### 9 WITNESS METHOD (Please select one of the following methods) 見證方式 (請選擇以下其中之一種方式)

#### 9.1 Witness 見證人

I, the undersigned, have witnessed the Client to sign this Account Opening Form and related account opening documents and the personal data documents of the Client (including identity card/passport, certification of residential address, etc.).

本人，即下方簽署人，已見證客戶簽立此開戶表格及相關開戶文件及客戶之個人資料文件 (包括身份證/護照、住宅地址證明等)。

Signature 簽署

Date 日期

Name of Witness/  
SFC Licensed Representative  
見證人/證監會持牌代表姓名

Profession/Name of the Company  
所屬專業/公司名稱  
(if applicable 如適用)

Membership/SFC C.E. Number  
會員/證監會中央編號  
(if applicable 如適用)

Contact Number  
聯絡電話

Contact Address  
聯絡地址

#### 9.2 Bank Transfer from Designated Licensed Bank Account in Hong Kong (For Online Account Opening)

##### 指定香港持牌銀行帳戶轉帳 (只供網上開戶)

Successfully transfer an initial deposit of not less than HK\$10,000 from a bank account in the Client's name maintained with a licensed bank in Hong Kong to the bank account of GHSL.  
將數額不少於港幣 10,000 元的首筆存款，由以客戶名義在香港持牌銀行開立的銀行帳戶成功轉帳至金馬證券的銀行帳戶。

#### 9.3 Cheque from Designated Licensed Bank Account in Hong Kong (For Account Opening Via Mail) 指定香港持牌銀行帳戶支票 (只供以郵遞開戶)

A cheque bearing the Client's full name (must be matched with the Client's Identity Card/Passport) with an amount of not less than HK\$10,000 drawn on the Client's account with a licensed bank in Hong Kong, and the signature on the cheque and in the Section 8 of this Form must be the same.  
由客戶以其名義在香港持牌銀行開立的帳戶所簽發印有客戶全名 (需與客戶身分證/護照相符)，不少於港幣 10,000 元的支票，及支票上的簽名必須與本表格的第 8 部分的簽名相符。

## 10 GHSL LICENSED REPRESENTATIVE'S DECLARATION 金馬證券持牌代表聲明

As a licensed representative of GHSL, I, the undersigned, hereby declare that in the language of the Client's choice (English or Chinese), I have

- i. provided the Client Agreement and related Risk Disclosure Statements to the Client;
- ii. invited and reminded the Client to read the Client Agreement and related Risk Disclosure Statements;
- iii. invited the Client to ask questions and take independent advice relating to the above-mentioned documents if the Client wishes; and
- iv. explained to the Client the risks associated with trading derivative products in the related Risk Disclosure Statements if the Client is classified as having "no knowledge of derivative products".

作為金馬證券持牌代表，本人，即下方簽署人，謹此聲明本人已按照上述客戶所選擇的語言 (英文或中文) :

- i. 向客戶提供客戶協議書及相關風險披露聲明；
- ii. 邀請及提示客戶閱讀客戶協議書及相關風險披露聲明；
- iii. 邀請客戶就上述文件按其意願提出問題及徵求獨立的意見；及
- iv. 向客戶解釋在相關風險披露聲明內所列明的有關買賣衍生產品所涉及的風險，如客戶被歸類為「對衍生產品沒有認識」。

Signature 簽署

Date 日期

Name of SFC Licensed Representative  
證監會持牌代表姓名

SFC C.E. Number  
證監會中央編號

Mode of Declaration 聲明方式

 Face-to-Face 面對面  
 Telephone 電話  
 Online Application 線上開戶

Date, Time, Extension  
日期、時間、內線  
(if applicable 如適用)

**1 Information of Account Executive (AE)**

Name of AE: \_\_\_\_\_

AE Code: \_\_\_\_\_

**2 Commission Rate**

	Commission Rate – Telephone Order	Commission Rate – Electronic Order
Hong Kong	_____ %, Min HKD _____	_____ %, Min HKD _____
United States	_____ %, Min USD _____	_____ %, Min USD _____
SSE/SZSE	_____ %, Min CNY _____	_____ %, Min CNY _____
Others (Please specify): _____	_____ %, Min _____	_____ %, Min _____

**3 Trading Limit & Credit Limit**

Trading Limit	Credit Limit	Interest Rate of Margin Financing (in Annual Interest Rate)
HKD _____	HKD _____	_____ %

**4 Mode of Introduction**

<input type="checkbox"/> Walk-in	<input type="checkbox"/> Referral by GHSL
<input type="checkbox"/> Referral by Staff of GHSL (Name: _____)	<input type="checkbox"/> Referral by Existing Clients (Name: _____)
<input type="checkbox"/> Others, please specify : _____	

**5 Remarks**

<b>6 Account Opening Approved by GHSL</b>			
Handled this Form and Supporting Documents by COB Department:	Name: _____	Signature: _____	Date: _____
Reviewed this Form and Supporting Documents by COB Department:	Name: _____	Signature: _____	Date: _____
AML Checking by Compliance Department	Name: _____	Signature: _____	Date: _____
Account Opening Approved by Responsible Officer:	Name: _____	Signature: _____	Date: _____
Input by COB Department:	Name: _____	Signature: _____	Date: _____
Checked by COB Department:	Name: _____	Signature: _____	Date: _____
Welcome Package and Trading Password Sent by COB Department:	Name: _____	Signature: _____	Date: _____
Scanned and Filed by COB Department:	Name: _____	Signature: _____	Date: _____