



ACCOUNT OPENING FORM

開戶表格

(Individual / Joint)

(個人 / 聯名)

样本，请根据实际情况填写

僅供內部使用 Official Use Only:

Account Number:

帳戶號碼:

AE Code:

經紀代碼:

Client name:

姓名:

张三

CE Number 中央編號: AOB364

To: GF Securities (Hong Kong) Brokerage Limited
致:廣發証券(香港)經紀有限公司

GF Securities (Hong Kong) Brokerage Limited ("GFSHK"), CE No AOB364, is licensed by the Hong Kong Securities and Futures Commission ("SFC") for Type 1 (Dealing in Securities) and Type 4 (Advising on Securities) regulated activities under the Securities and Futures Ordinance.
廣發証券(香港)經紀有限公司(「廣發証券香港」), 獲得香港證券及期貨事務監察委員會(「證監會」)發牌從事《證券及期貨條例》中規定的第一類受規管活動(證券交易)及第四類受規管活動(就證券交易提供意見), 公司中央編號為 AOB364。

GFSHK is an Exchange Participant and an Options Trading Exchange Participant of The Stock Exchange of Hong Kong Limited.
廣發証券香港是香港聯合交易所有限公司的交易所參與者及期權買賣交易所參與者。

Note 注意事項

- Please complete this form in BLOCK letters. 請以正楷填寫此表格。Please tick ("✓") as appropriate. 請在適當的選項加上剔號(✓)。
- Please complete all sections but for those sections marked with an asterisk (*), you are only required to complete them if they are applicable to you. 請填寫所有欄目, 但對於標有星號(*)的有關部分, 閣下只需於適用時填寫。
Section 1: Application / Service(s) / Authority 第 1 部分: 申請/服務/授權
Section 2: Client Information Statement 第 2 部分: 客戶資料聲明
Section 2A: First Account Holder's Personal Information 第 2A 部分: 第一帳戶持有人的個人資料
*Section 2B: Secondary Account Holder's Personal Information*第 2B 部分: 第二帳戶持有人的個人資料
Section 3: Other Information Statement 第 3 部分: 其他資料聲明
*Section 3A: Information of an Individual Margin Client With Related Margin Client *第 3A 部分: 個人保證金客戶與有關連保證金客戶的資料
Section 4: Acknowledgment 第 4 部分: 確認
*Section 4A: Electronic Trading Services*第 4A 部分: 電子交易服務
Section 4B: Client Derivatives Knowledge Assessment Form 第 4B 部分: 評估客戶對衍生產品的認識的表格
Section 4C: Authorization and Indemnity in respect of Telephone, Fax & E-mail Instructions 第 4C 部分: 關於電話、傳真及電郵指示之授權及彌償
*Section 4D: Standing Authority(Client Securities) *第 4D 部分: 常設授權(客戶證券)
*Section 4E: Standing Authority (Client Money) – Global Securities Transaction *第 4E 部分: 常設授權(客戶款項)–環球證券交易
*Section 4F: Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding W8-BEN Form *第 4F 部分: 美國稅項預扣實益擁有人的外國資格證明書 W8-BEN 表格
Section 4G: Self-Certification Form – Individual 第 4G 部分: 自我證明表格 – 個人
Section 5: Use of Personal Data for Direct Marketing 第 5 部分: 供直接促銷使用的個人資料
Section 6: Declaration by Client 第 6 部分: 客戶聲明
- Defined terms in this form shall have the same meanings as those in the Terms and Conditions for Client's Accounts ("Terms").
此表格的經界定詞語具有在客戶帳戶之條款及細則(「客戶帳戶條款」)所載者相同的涵義。

Section 1: Application / Service(s) / Authority 第 1 部分: 申請 / 服務 / 授權

☐ ✓ tick as appropriate 在適當的選項加上剔號(✓)

請根據實際情況填寫

Application 申請

Choose one: ☒ Cash Account
選擇一項: 現金帳戶

☐ Margin Account (if ticked, please complete Section 3A)
保證金帳戶 (如剔選, 請完成第 3A 部分)

☐ Margin Account + Stock Options Account
保證金帳戶 + 股票期權帳戶

(if ticked, please complete Section 3A and the Client must read and understood the terms for options trading and relevant risks)
(如剔選, 請完成第 3A 部分及客戶必須細閱及明白有關股票期權交易之條款及風險)

Choose one: ☒ Individual Account
選擇一項: 個人帳戶

☐ Joint Account (if ticked, please complete Section 2B)
聯名帳戶 (如剔選, 請完成第 2B 部分)

請根據實際情況填寫

Service(s) 服務:

Electronic Trading Services

Yes ☐ Please complete Section 4A

/ No ☐

電子交易服務:

是 請完成第 4A 部分

/ 否

U.S. Stock Services

Yes ☐ Please read and complete Section 4E, 4F

/ No ☐

美國股票服務:

是 請細閱及完成第 4E、4F 部份

/ 否

Global Securities Services

Yes ☐ please read Section 4E

/ No ☐

環球證券服務

是 請細閱第 4E 部分

/ 否

Please read this authority carefully 請細閱此授權:

Authorization and Indemnity in respect of Telephone, Fax & E-mail Instructions
關於電話、傳真及電郵指示之授權及彌償

Please read the following authorities carefully where applicable 請細閱以下授權(如適用):

Standing Authority (Margin Account Only)

常設授權 (只限保證金帳戶)

Standing Authority (Global Securities Only)

常設授權 (只限環球證券)

I/We hereby apply to GFSHK to open and maintain the account, service(s) or authority as selected above in my/our name for the purpose of instructing GFSHK to buy and sell, and otherwise deal with, securities and other investments on my/our behalf and I/we hereby accept and agree to be bound by the provisions of this Account Opening Form and the Terms.

本人/吾等謹此向廣發証券香港申請以本人/吾等的名義開立及維持帳戶、服務或授權(如已在上文選取), 以用作指示廣發証券香港代本人/吾等買賣及以其他方式處置證券及其他投資; 而本人/吾等謹此接納並同意受本開戶表格及客戶帳戶條款約束。

请根据实际情况填写

Section 2: CLIENT INFORMATION STATEMENT 第 2 部分：客戶資料聲明

Section 2A: First Account Holder's Personal Information 第 2A 部分：第一帳戶持有人的個人資料

☐ ☒ tick as appropriate 在適當的選項加上剔號(✓)

Name (In English or Hanyu Pinyin) Zhan san Name (In Chinese) 张三
姓名(英文或漢語拼音) 姓名(中文)

Date of Birth (DD/MM/YYYY) 08 / 08 / 1980 ID (or Passport) No. 123456198000808****
出生日期(日/月/年) 身份證(或護照)號碼

Sex ☒ M / ☐ F Marital Status ☐ Single / ☒ Married / ☐ Divorced / ☐ Widowed
性別 男/女 婚姻狀況 未婚 / 已婚 / 離婚 / 喪偶

Nationality 中国 Place of Birth 广东
國籍 出生地

All documents in relation to your account holding will be posted to the residential address unless the correspondence address is provided.
除非另有提供通訊地址，否則所有關於閣下所持帳戶的文件將寄往住宅地址。

Residential address (P.O. box will not be accepted for residential and permanent address.) (please provide permanent address if different from residential address): 住宅地址 (郵政信箱將不獲接受為住宅及永久地址。) (如與住宅地址不同，請提供永久地址)：

深圳市**區**路**小区**室

☐ Owned 自置 ☐ Rented 租用 ☐ Living with relative 與親屬同住 ☐ Company quarters 公司宿舍 ☐ Other 其他
If owned, is there a mortgage on the property? 如屬自置，物業有否按揭？ ☐ Yes 有 ☐ No 沒有

Correspondence address (only if different from residential or permanent address above)
通訊地址 (如與上述住宅或永久地址不同，方需提供)

Name of Employer (or if self-employed, name of Business) *** 公司
僱主名稱 (若自僱，請填業務名稱)

Occupation 金融 Position 經理 Year(s) employed 5
職業 職位 受僱年期

Mobile Phone No. 86-138**** **** Residential Phone No. 86-755-87654321
手提電話號碼 住宅電話號碼

Facsimile No. (Optional) Business Phone No. (Optional)
傳真號碼(非必須) 公司電話號碼(非必須)

Are you considered a U.S. citizen or U.S. resident* for tax purpose of the Internal Revenue Service (IRS) of the United States? ☐ Yes / ☐ No
(If yes, please contact our customer service department)
閣下是否被視為就美國國家稅務局(IRS)的稅務目的而言之美國公民或美國居民*？ ☐ 是 / ☐ 否 请根据实际情况填写
(如是，請聯絡我司客戶服務部)

*Remark: In general, a U.S. tax resident refers to U.S. Green Card holder or individual who 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.
*注：一般而言，美國稅收居民即美國綠卡持有人，或於今個課稅年度於美國居住不少於 31 天及於過去 3 年內於美國居住不少於 183 天之個人。

Education Level 教育程度

☒ Tertiary or above ☐ Secondary ☐ Primary or below ☐ Others
大專或以上 中學 小學或以下 其他

Financial Profile 財務狀況

Estimated annual income (in HK\$) 估計每年收入 (以港元計)
☐ HK\$ 0 (Applicable to unemployed, retired, housewives, etc.) (適用於失業、退休、家庭主婦等)
☐ HK\$1 – HK\$200,000 ☒ HK\$200,001 – HK\$500,000 ☐ HK\$500,001 – HK\$1,000,000
☐ HK\$1,000,001 – HK\$3,000,000 ☐ HK\$3,000,001 – HK\$8,000,000 ☐ > HK\$8,000,000

Approximate net value of my assets (in HK\$) 概約資產淨值(以港元計)
☐ <HK\$1,000,000 ☒ HK\$1,000,000 – HK\$3,000,000 ☐ HK\$3,000,001 – HK\$8,000,000
☐ HK\$8,000,001 – HK\$30,000,000 ☐ HK\$30,000,001 – HK\$80,000,000 ☐ >HK\$80,000,000

Investment Objectives and Experience 投資目的及經驗

Investment Objectives 投資目的
☒ Capital Investment and Income 資本投資及收入 ☐ Hedging 對沖 ☐ Speculation 投機 ☐ Other (please specify) 其他 (請註明)

Investment Experience 投資經驗

Products 商品	Years 年期	Average Portfolio Value (HK\$) 平均組合價值(以港元計)
Stock/Warrant 股票/認股權證	<u>10</u>	<u>10,000</u>
Futures/Option 期貨/期權		
Bonds/Funds 債券/基金		
Forex/Bullion 外匯/貴金屬		
Other (please specify) 其他(請註明)		

Section 2B:Secondary Account Holder's Personal Information (For Joint Account Only)**第 2B 部分:第二帳戶持有人的個人資料 (僅供聯名帳戶填寫)**☐ ☒ tick as appropriate 在適當的選項加上剔號(✓)

Name (In English or Hanyu Pinyin) 姓名(英文或漢語拼音) _____

Name (In Chinese) 姓名(中文) _____

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

ID (or Passport) No. 身份證(或護照)號碼 _____

Sex ☐ M / ☐ F 性別 男/女

Marital Status ☐ Single / ☐ Married / ☐ Divorced / ☐ Widowed 婚姻狀況 未婚 / 已婚 / 離婚 / 喪偶

Nationality 國籍 _____

Place of Birth 出生地 _____

All documents in relation to your account holding will be posted to the residential address unless the correspondence address is provided.
除非另有提供通訊地址，否則所有關於閣下所持帳戶的文件將寄往住宅地址。

Residential address (P.O. box will not be accepted for residential and permanent address.) (please provide permanent address if different from residential address): 住宅地址(郵政信箱將不獲接受為住宅及永久地址。)(如與住宅地址不同，請提供永久地址)：

☐ Owned 自置 ☐ Rented 租用 ☐ Living with relative 與親屬同住 ☐ Company quarters 公司宿舍 ☐ Other 其他 _____

If owned, is there a mortgage on the property? 如屬自置，物業有否按揭？ ☐ Yes 有 ☐ No 沒有

Correspondence address (only if different from residential or permanent address above)
通訊地址(如與上述住宅或永久地址不同，方需提供)

Name of Employer (or if self-employed, name of Business)

僱主名稱(若自僱，請填業務名稱) _____

Occupation 職業 _____ Position 職位 _____ Year(s) employed 受僱年期 _____

Mobile Phone No. 手提電話號碼 _____ Residential Phone No. 住宅電話號碼 _____

Facsimile No. (Optional) 傳真號碼(非必須) _____ Business Phone No. (Optional) 公司電話號碼(非必須) _____

Relationship with First Account Holder

與第一帳戶持有人的關係 _____

Are you considered a U.S. citizen or U.S. resident* for tax purpose of the Internal Revenue Service (IRS) of the United States? ☐ Yes / ☐ No
(If yes, please contact our customer service department)

閣下是否被視為就美國國家稅務局(IRS)的稅務目的而言之美國公民或美國居民*？ ☐ 是 / ☐ 否
(如是，請聯絡我司客戶服務部)

*Remark: In general, a U.S. tax resident refers to U.S. Green Card holder or individual who 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.

*注：一般而言，美國稅收居民即美國綠卡持有人；或於今個課稅年度於美國居住不少於 31 天及於過去 3 年內於美國居住不少於 183 天之個人。

Education Level 教育程度

☐ Tertiary or above 大專或以上 ☐ Secondary 中學 ☐ Primary or below 小學或以下 ☐ Others 其他 _____

Financial Profile 財務狀況

Estimated annual income (in HK\$) 估計每年收入(以港元計)

☐ HK\$ 0 (Applicable to unemployed, retired, housewives, etc) (適用於失業、退休、家庭主婦等等)

☐ HK\$1 – HK\$200,000 ☐ HK\$200,001 – HK\$500,000 ☐ HK\$500,001 – HK\$1,000,000
☐ HK\$1,000,001 – HK\$3,000,000 ☐ HK\$3,000,001 – HK\$8,000,000 ☐ > HK\$8,000,000

Approximate net value of my assets (in HK\$) 概約資產淨值(以港元計)

☐ <HK\$1,000,000 ☐ HK\$1,000,000 – HK\$3,000,000 ☐ HK\$3,000,001 – HK\$8,000,000
☐ HK\$8,000,001 – HK\$30,000,000 ☐ HK\$30,000,001 – HK\$80,000,000 ☐ >HK\$80,000,000

Investment Objectives and Experience 投資目的及經驗**Investment Objectives 投資目的**

☐ Capital Investment and Income 資本投資及收入 ☐ Hedging 對沖 ☐ Speculation 投機 ☐ Other (please specify) 其他(請註明) _____

Investment Experience 投資經驗

Products 商品	Years 年期	Average Portfolio Value (HK\$) 平均組合價值(以港元計)
Stock/Warrant 股票/認股權證	_____	_____
Futures/Option 期貨/期權	_____	_____
Bonds/Funds 債券/基金	_____	_____
Forex/Bullion 外匯/貴金屬	_____	_____
Other (please specify) 其他(請註明)	_____	_____

Section 3: Other Information Statement 第3部分: 其他資料聲明

☐ ☒ tick as appropriate 在適當的選項加上剔號(✓)

Other Accounts with GF 其他廣發帳戶

Does Client have any other futures, securities or other account with GF Securities (Hong Kong) Brokerage Limited, GF Capital (Hong Kong) Limited, GF Futures (Hong Kong) Co., Limited or their respective associates ("GF Company")?

客戶是否於廣發證券(香港)經紀有限公司、廣發融資(香港)有限公司、廣發期貨(香港)有限公司或其各自的聯營公司(「廣發公司」)持有任何其他期貨、證券或其他帳戶?

☒ No 否

☐ Yes (insert details below) 是(請填寫以下詳細資料)

GF Company 廣發公司

Name of Account 帳戶名稱

Account Number 帳戶號碼

Declaration of Relationship 關係聲明

Is Client related to a GF Company director, senior officer or employee?

客戶是否與廣發公司之任何董事、高級職員或僱員有任何關連?

☒ No 否

☐ Yes (insert details below) 是(請填寫以下詳細資料)

Name 姓名

GF Company 廣發公司

Relationship 關係

Is Client an employee of a participant in the Stock Exchange of Hong Kong Limited or a person registered/licensed with the Securities and Futures Commission?

客戶是否香港聯合交易所有限公司的任何參與者或證券及期貨事務監察委員會之註冊/持牌人士之僱員?

☒ No 否

☐ Yes (insert details below) 是(請填寫以下詳細資料)

Employer Name 僱主名稱

Registration Category 註冊類別

Registration No. 註冊編號

Has consent letter been obtained from employer for opening of the Account? 已取得僱主有關開立帳戶之同意書? ☐ Yes 是 ☐ No 否

Declaration of Ownership 擁有權聲明

I/We hereby declare that I/we am/are the ultimate beneficial owner(s) of the Account 本人/吾等謹此聲明本人/吾等為帳戶之最終實益擁有人:

☒ Yes 是

☐ No, particulars of ultimate beneficiary(ies) are as follows 否, 下列為最終受益人的資料:

Name 姓名/名稱 _____

☐ ID / ☐ Passport / ☐ Certificate of Incorporation No. ☐ 身份證 / ☐ 護照 / ☐ 公司註冊證書號碼 _____

Address 地址 _____

Declaration of Instruction Originator 發出指示者的聲明

I/We hereby declare that I/we am/are ultimately responsible for originating instructions for the operations of the Account:

本人/吾等謹此聲明本人/吾等最終負責為帳戶之操作發出指示:

☒ Yes 是 (For Joint Account holders 如屬聯名帳戶持有人, ☐ Either one of the account holders 任何一位帳戶持有人 ☐ Both account holders 兩位帳戶持有人)

How does Client know about GF Securities (Hong Kong) Brokerage Limited?

客戶如何認識廣發證券(香港)經紀有限公司?

☐ Website 網頁

☒ Referral 轉介

☐ Advertisement 廣告

☐ Others 其他 (please state 請註明: _____)

***Section 3A: Information of an Individual Margin Client With Related Margin Client (For Individual Margin Client Only)**

***第3A部分: 個人保證金客戶與有關連保證金客戶的資料(僅供個人保證金客戶填寫)**

☐ ☒ tick as appropriate 在適當的選項加上剔號(✓)

In compliance with the Securities and Futures (Financial Resources) Rules ("FRR") relating to "Group of Related Margin Clients", I/we hereby declare and confirm to GFSHK that:

為了遵守及符合證券及期貨(財政資源)規則中有關<一組關連保證金客戶>之事宜，本人/吾等特此向廣發證券香港聲明及確認：

- I am the spouse of another margin client of GFSHK (Please "✓" where appropriate):

本人是廣發證券香港的另一保證金客戶的配偶(請在適當地方加上"✓"號)：



☒ No 不是

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

- I am in control, either alone or with my spouse, of 35% or more of the voting rights of another margin client(s) of GFSHK (Please "✓" where appropriate):

本人單獨或與本人的配偶共同控制廣發證券香港的另一保證金客戶百分之三十五或以上的投票權(請在適當地方加上"✓"號)：



☒ No 不是

☐ Yes, details as below: 是，詳情如下：

	Account No. 帳戶號碼	Name of Account Holder 帳戶名稱	Relationship with Account Holder 與帳戶持有人關係
1.			
2.			

I / We represent that the information as set out in this section is true, complete, correct and accurate. GF Securities (Hong Kong) Brokerage Limited is entitled to rely fully on such information for all purposes.

本人/吾等申述本部分所列的資料均為真實、完整、正確及準確。廣發證券(香港)經紀有限公司有權就所有目的完全依賴該等資料。

Section 4: Acknowledgment 第4部分: 確認

☐ ☒ tick as appropriate 在適當的選項加上剔號(✓)

Address for Correspondence and Forwarding of Confirmations and Statements 通訊及送交確認書和單據的地址

Choose one only 只可選擇其一：

☒ E-mail address 電郵地址 (please state 請列明): abc@abc.com

☐ Residential address 住宅地址 or ☐ permanent address 永久地址 or ☐ correspondence address 通訊地址 if different (如不同)

(For Joint Account Holder 如屬聯名帳戶 ☐ First Account Holder 第一帳戶持有人 ☐ Secondary Account Holder 第二帳戶持有人) (please note the administrative charge 請留意有關行政費用)

Receiving Bank Account (Please provide bank proof) 收款銀行帳戶(請提供銀行證明)

Please provide details of Client's bank account to which Client's money will be transferred.

請提供可供轉入客戶款項的客戶銀行帳戶的詳細資料

Name of Bank 銀行名稱: 招商銀行香港分行

Address 地址: _____

Account Name 帳戶名稱: 张三

Account No. 帳戶號碼: 888-888-888 Account Type 帳戶類別: _____

*Standing Instruction for Cash proceeds from the sale of Securities/Dividends received is Safe Custody until notice

*股份賣出款項/股息處理指示為信託保管直至另行通知

***Section 4A: Electronic Trading Services (The Client must tick the box below if applicable):**

***第4A部分: 電子交易服務(如適用, 客戶必須剔選以下聲明)**

☒ I/we, the undersigned Client, have read and understood the provisions in connection with electronic trading services contained in the Terms and accept and agree to be bound by it.

本人/吾等確認已閱讀並明白客戶帳戶條款中有關電子交易服務的條款，並且接受及同意受其約束。

Section 4B: Client Derivatives Knowledge Assessment Form

第 4B 部分: 評估客戶對衍生產品的認識的表格

Relevant Provisions 相關規定

Pursuant to paragraph 5.1A of the “Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission” (the “Code”) effective March 2014, GFSHK should, as part of the “Know Your Client” procedures, assess each client’s knowledge of derivatives and characterize the client based on his/her knowledge of derivatives (except where a client is a Professional Investor for the purpose of paragraph 15 of the Code). If a Client is classified as “without knowledge of derivatives” but wishes to:

根據於2014年3月生效的《證券及期貨事務監察委員會持牌人或註冊人操守準則》（「《操守準則》」）第5.1A段，廣發證券香港在執行「認識你的客戶」程序時，應評估客戶對衍生產品的認識，並根據客戶對衍生產品的認識分析客戶的特性（屬於《操守準則》第15段所指的專業投資者的客戶除外）。如客戶被分類為「對衍生產品沒有認識」，但有意：

(a) purchase a derivatives product (“transaction”) which is traded on an exchange and GFSHK has not solicited the Client or made a recommendation to the Client in relation to the proposed transaction, GFSHK should explain the relevant risks associated with the product to the Client;

(a) 購買在交易所買賣的衍生產品（「交易」），且廣發證券香港並無向客戶招攬或向客戶作出有關建議交易的推薦，則廣發證券香港應向客戶解釋該產品所附帶的相關風險；

(b) purchase a derivatives product (“transaction”) which is not traded on an exchange and GFSHK has not solicited the Client or made a recommendation to the Client in relation to the proposed transaction, GFSHK should warn the Client about the transaction and provide appropriate advice to the Client as to whether or not the transaction is suitable for the Client in all the circumstances. If the transaction is assessed by GFSHK to be unsuitable for the Client, GFSHK may only accept your orders if to do so is acting in the best interest of the Client in accordance with the Code.

(b) 購買並非在交易所買賣的衍生產品（「交易」），且廣發證券香港並無向該客戶招攬或向客戶作出有關建議交易的推薦，則廣發證券香港應就有關交易向客戶提出警告，並就有關交易是否在任何情況下均適合客戶向客戶提供適當的意見。如交易經廣發證券香港評估為不適合客戶，廣發證券香港則只可在根據《操守準則》接受閣下的指令乃符合客戶的最佳利益時方會接受閣下的指令。

Important Notes 重要提示

You have to confirm to GFSHK that you have (i) fulfilled one of the conditions (i.e. criterion 1, 2 or 3 below) listed in the “Client’s Derivatives Knowledge Assessment Form” (the “Form”) or (ii) fully understood the derivatives product or the risks associated with such derivatives product (i.e. criterion 4 in the Form). Otherwise, your above orders may not be accepted by GFSHK (but your existing holding of derivatives products may still be sold).

客戶須向廣發證券香港確認客戶 (i) 已符合「評估客戶對衍生產品的認識的表格」所列的其中一項條件(即下文準則1、2、或3)或 (ii) 已完全明白衍生產品或該等衍生產品的相關風險(即表格中的準則4)。否則，客戶上述的指令未必獲廣發證券香港接納(但客戶現時持有的衍生產品仍可沽售)。

Criteria for Assessing Client’s Knowledge of Derivatives & Relevant Declaration of Client

評估客戶對衍生產品的認識的準則及相關客戶聲明

I/ we hereby declare that I/ we have fulfilled the following criterion/ criteria as indicated by a “tick” (please select multiple options if applicable):
本人/吾等謹此聲明本人/吾等已具備如下加上剔號(✓)的準則(如適用，可剔選多項準則)：

☐ Criterion 1: I/We have undergone relevant training or attended relevant courses on derivatives products.

準則1：本人/吾等曾接受有關衍生產品的培訓或修讀相關課程。

Please provide details of relevant training or courses: _____

請提供相關培訓或課程的詳情：_____

☐ Criterion 2: I/We have current or previous work experience related to derivatives products.

準則2：本人/吾等現時或過去擁有與衍生產品有關的工作經驗。

Position 職位: _____ Years of experience 經驗年期: _____

Other information 其他資料: _____

☒ Criterion 3: I/We have executed five or more transactions in derivatives products (whether traded on an exchange or not) within the past three years.

準則3：本人在過去三年曾執行過五次或以上有關任何衍生產品(不論是否在交易所買賣)的交易。

☐ Criterion 4: I/We acknowledge and confirm that I/we have read and fully understood “Risks of derivative products” provided by GF Securities (Hong Kong) Brokerage Limited in a language of my/our choice (English or Chinese) as contained in the Terms and Conditions for Client’s Accounts. I/We am/are willing to accept the potential risks and have sufficient funds to be able to bear the potential loss associated with trading in the derivative products.

準則4：本人/吾等確認已閱讀並完全明白，由廣發證券(香港)經紀有限公司以本人/吾等所選擇之語言(中文或英文)提供的「衍生產品的風險」（包含在「客戶帳戶之條款及細則」內）。本人/吾等願意承擔潛在風險，並具備足以承擔買賣衍生產品所帶來的潛在損失的資金。

For official use only 僅供內部使用

Does the Client have derivatives knowledge? 客戶是否對衍生產品有所認識？ ☐ Yes 是 ☐ No 否

For Client if concluded as having derivatives knowledge above 供已認定如上對衍生產品有所認識的客戶使用

☒ I/We agree with the contents of this completed Form including the result of the above assessment as to whether I/we have derivatives knowledge.

本人/吾等同意此份已填妥表格的內容，包括以上對本人/吾等是否具有衍生產品有所認識進行評估的結果。

Section 4C: Authorization and Indemnity in respect of Telephone, Fax & E-mail Instructions

第4C部分: 關於電話、傳真及電郵指示之授權及彌償

I/We hereby authorize GFSHK to accept and act on (but GFSHK is not obliged so to do) any instruction, oral or written, whether by telephone, facsimile transmission or e-mail regarding payment or transfer of funds from any of my/our account(s) with GFSHK to my/our designated bank account upon my/our Payment/Transfer Instruction. Any transaction effected by GFSHK on the basis of instructions, oral or written, given or purported to be given by me/us or my/our Authorized Representative(s) by telephone, facsimile transmission or e-mail as aforesaid (collectively referred to as "Payment/Transfer Instructions") shall be binding upon me/us whether made with or without my/our authority, knowledge or consent.

本人/吾等僅此授權 廣發證券香港按本人/吾等之「付款/轉帳指示」(如下定義)接受任何口頭或書面指示(不論是以電話、傳真傳遞或電郵方式作出),並授權 廣發證券香港按照指示採取行動,將本人/吾等於 廣發證券香港開立的帳戶內之款項支付予或轉帳至本人/吾等指定之銀行帳戶。廣發證券香港依照任何聲稱由本人/吾等或本人/吾等之授權代表如上述以電話、傳真傳遞或電郵方式所作出之口頭或書面指示(統稱「付款/轉帳指示」)而執行之交易,不論有否已獲本人/吾等授權、知悉或同意,對本人/吾等須具約束力。

I/We hereby undertake to sign upon GFSHK's request such documents as GFSHK may require to complete the authorization of any transaction completed in accordance with the above Payment/Transfer Instructions in such manner and within such time limit as GFSHK may in its discretion require.

本人/吾等謹此承諾將應 廣發證券香港的要求簽署 廣發證券香港可能要求的有關文件,以完成按 廣發證券香港酌情要求的方式及於 廣發證券香港酌情要求的時間內根據上述「付款/轉帳指示」所完成的任何交易的授權。

In consideration of GFSHK agreeing to act in accordance with the above authorization, I/We undertake to keep GFSHK indemnified at all times against, and to save GFSHK harmless from, all actions, proceedings, claims, loss, damage, costs and expenses which may be brought against GFSHK or suffered or incurred by GFSHK and which shall have arisen either directly or indirectly out of or in connection with GFSHK's accepting my/our Payment/Transfer Instructions and acting thereon.

作為 廣發證券香港同意按照上述授權而行使的代價,本人/吾等承諾於任何時間就 廣發證券香港因 廣發證券香港接受本人/吾等的「付款/轉帳指示」及按此行事而帶給 廣發證券香港或使 廣發證券香港蒙受或招致或直接或間接引致或有關之一切訴訟、法律程序、申索、損失、損害、費用及支出向 廣發證券香港作出彌償保證及使 廣發證券香港免受損害。

*Section 4D: Standing Authority (Client Securities) (For Margin Securities Account Clients Only)

*第4D部分: 常設授權(客戶證券)(僅供保證金證券帳戶客戶填寫)

This Standing Authority (this "Authority") covers all securities purchased or held by GFSHK on my/our behalf.

本常設授權(本「授權」)涵蓋所有由廣發證券香港代表本人/吾等購買或持有之證券。

Pursuant to Section 7 of the Securities and Futures (Client Securities) Rules, this Authority authorizes GFSHK to

根據《證券及期貨(客戶證券)規則》第7條的規定,本授權授權廣發證券香港:

1. apply any of my/our securities or securities collateral in accordance with a securities borrowing and lending agreement;
依據證券借貸協議運用本人/吾等任何證券或證券抵押品;
2. deposit any of my/our securities collateral with an authorized financial institution as collateral for financial accommodation provided to me/us;
and/or
將本人/吾等任何證券抵押品存放於認可財務機構,作為向本人/吾等提供財務通融的抵押品;及/或
3. deposit any of my/our securities collateral with a recognized clearing house or another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of GFSHK's settlement obligations and liabilities,
將本人/吾等任何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的中介人,作為解除及履行廣發證券香港在交收上的義務和法律責任的抵押品。

without notice to me/us. 而無須通知本人/吾等。

I/We understand that the recognized clearing house or the intermediary licensed or registered for dealing in securities will have a first fixed charge over my/our securities collateral to the extent of GFSHK's settlement obligations and liabilities.

本人/吾等明白認可結算所或其他獲發牌或獲註冊進行證券交易的中介人,將因應廣發證券香港在交收上的責任及法律責任而對本人/吾等的證券抵押品設定第一固定抵押。

This Authority does not cover any consideration I/we must pay or be paid for my/our borrowing, lending, or depositing any of my/our securities. Any consideration must be set in a separate agreement between GFSHK and me/us.

本授權並不涵蓋本人/吾等就本人/吾等任何證券的借取、貸出或存放而必須支付或收取的任何代價。任何代價均須由廣發證券香港與本人/吾等另行簽署協議訂明。

GFSHK is accountable to me/us for the return of any securities borrowed, lent, or deposited under this Authority.

廣發證券香港須向本人/吾等負責退還根據本授權而借入、貸出或存放之任何證券。

I/We understand that a third party may have rights to my/our securities, which GFSHK must satisfy before my/our securities can be returned to me/us.

本人/吾等明白,第三方可能對本人/吾等的證券擁有權利,廣發證券香港必須在本人/吾等的證券可退回本人/吾等之前達成該等權利。

This Authority is valid for a period of up to twelve (12) months from the date hereof or such other date when this account being successfully opened at GFSHK (whichever the later) unless otherwise terminated by GFSHK or revoked by me/us by giving a 30-day prior written notice; in the event of the latter, revocation shall take effect ten (10) business days after the date of actual receipt of the notice by GFSHK unless otherwise determined by GFSHK. This Authority shall be deemed to be renewed on a continuing basis for a further period of not more than twelve (12) months provided that a written notification of renewal is issued to me/us at least fourteen (14) days before the expiry date of this Authority, and I/we do not object to such renewal before the expiry date.

本授權以本文件日期或成功在廣發證券香港開立此帳戶的其他日期(取較後者)起計十二(12)個月內有效,除非廣發證券香港另行予以終止或本人/吾等藉給予 30 日事先書面通知而撤銷則作別論;如由本人/吾等藉給予 30 日事先書面通知而撤銷,有關撤銷將於廣發證券香港實際收到有關通知的日期後十(10)個營業日生效,除非廣發證券香港另行決定則作別論。本授權將被視作連續再續期不多於十二(12)個月,惟必須在本授權的屆滿日期前最少十四(14)日向本人/吾等發出續期書面通知,而本人/吾等於屆滿日期前並無反對有關續期。

I/We confirm that this Authority has been explained to me/us and I/we fully understand the contents of this Authority and have sought, or have had the opportunity to seek independent advice concerning its contents and effects.

本人/吾等確認,本人/吾等已獲解釋明白本授權,而本人/吾等完全明白本授權的內容,並已尋求或已有機會尋求有關本授權的內容及後果的獨立意見。

***Section 4E: Standing Authority (Client Money) – Global Securities Transaction**

***第 4E 部分: 常設授權(客戶款項) – 環球證券交易**

This “Standing Authority (Client Money) – Global Securities Transaction” (this “Authority”) covers money held or received by GFSHK in Hong Kong including any interest derived from the holding of the money which does not belong to GFSHK but held by GFSHK in one or more segregated account(s) on my/our behalf (the “Monies”).

本「常設授權(客戶款項) – 環球證券交易」(本「授權」)涵蓋廣發證券香港在香港持有或收到的款項, 包括從持有該等並非屬於廣發證券香港但由廣發證券香港代表本人/吾等在一個或多個獨立帳戶持有的款項(「款項」)所取得的任何利息。

Unless otherwise defined, all terms or expressions used in this Authority shall have the same meanings as set out in the Securities and Futures Ordinance and the Securities and Futures (Client Money) Rules as amended from time to time.

除非另有定義, 否則本授權中所用的一切詞語或字句均擁有《證券及期貨條例》及《證券及期貨(客戶款項)規則》(可不時修訂)所載者相同的涵義。

I/We, by providing GFSHK with this Authority, authorizes GFSHK to handle any sum of the Monies in the following manner in its sole discretion without having to provide me/us with any prior notice or to obtain my/our prior instruction/confirmation:

本人/吾等, 藉提供廣發證券香港此授權, 授權廣發證券香港全權酌情決定按以下形式處理款項的任何金額, 而無須給予本人/吾等任何事先通知或取本人/吾等的事先指示/確認:

- (a) transfer any sum of Monies to any securities trading account(s) maintained by GFSHK with its agent broker(s) for purpose of dealing in global securities transactions for and on my/our behalf;
將款項的任何金額轉帳至由廣發證券香港與其代理經紀維持的任何證券買賣帳戶, 以為及代表本人/吾等進行環球證券交易;
- (b) transfer any sum of Monies interchangeably between any of the segregated account(s) maintained at any time by GFSHK held for and on my/our behalf; and
在廣發證券香港為及代表本人/吾等持有任何時候維持的任何獨立帳戶之間互相轉換款項的任何金額; 及
- (c) convert any sum of Monies into any currency at such rate of exchange as GFSHK shall in its sole discretion determine as being the then prevailing money market rate for the purpose of dealing in global securities transactions for and on my/our behalf.
將款項按廣發證券香港絕對酌情權釐定為當時通行的貨幣市場匯率的匯率轉換至任何貨幣, 以為及代表本人/吾等進行環球證券交易。

This Authority is provided to GFSHK in consideration of its agreeing to continue to maintain securities trading account(s) for me/us for trading global securities.

本授權乃提供予廣發證券香港作為廣發證券香港同意繼續為本人/吾等就買賣環球證券而維持證券買賣帳戶的代價。

I/We hereby agree to indemnify and to keep indemnified, GFSHK and its agent broker(s) from and against all losses, damages, interests, costs, expenses, actions, demands, claims or proceedings of whatsoever nature which they (or any of them) may incur, suffer and/or sustain as a consequence of any transaction undertaken in pursuance of this Authority.

本人/吾等謹此同意就廣發證券香港及其代理經紀(或彼等任何一人)因為了本授權進行任何交易而可能招致、蒙受及/或遭受的任何性質的一切損失、損害、利益、費用、支出、法律行動、索求、申索或法律程序, 向廣發證券香港及其代理經紀作出彌償及維持獲得彌償。

This Authority is provided without prejudice to other authorities or rights which GFSHK may have in relation to dealing in the Monies in my/our segregated accounts.

本授權在並不損害廣發證券香港就處理本人/吾等的獨立帳戶中的款項而擁有的其他授權或權利的情況下提供。

This Authority is valid for a period of up to twelve (12) months from the date hereof or such other date when this account being successfully opened at GFSHK (whichever the later) unless otherwise terminated by GFSHK or revoked by me/us by giving a 30-day prior written notice; in the event of the latter, revocation shall take effect ten (10) business days after the date of actual receipt of the notice by GFSHK unless otherwise determined by GFSHK. This Authority shall be deemed to be renewed on a continuing basis for a further period of not more than twelve (12) months provided that a written notification of renewal is issued to me/us at least fourteen (14) days before the expiry date of this Authority, I/we you do not object to such renewal before the expiry date.

本授權以本文件日期或當本帳戶成功於廣發證券香港開啟之日期(以較遲者為準)起計十二(12)個月內有效, 除非廣發證券香港另行予以終止或本人/吾等藉給予 30 日事先書面通知而撤銷則作別論; 如由本人/吾等藉給予 30 日事先書面通知而撤銷, 有關撤銷將於廣發證券香港實際收到有關通知的日期後十(10)個營業日生效, 除非廣發證券香港另行決定則作別論。本授權將被視作連續再續期不多於十二(12)個月, 惟必須在本授權的屆滿日期前最少十四(14)日向本人/吾等發出續期書面通知, 而本人/吾等於屆滿日期前並無反對有關續期。

I/We confirm that this Authority has been explained to me/us and I/we fully understand the contents of this Authority and have sought, or have had the opportunity to seek independent advice concerning its contents and effects.

本人/吾等確認, 本人/吾等已獲解釋明白本授權, 而本人/吾等完全明白本授權的內容, 並已尋求或已有機會尋求有關本授權的內容及後果的獨立意見。

***Section 4F: Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding W8-BEN Form**

***第 4F 部分: 美國稅項預扣實益擁有人的外國資格證明書 W8-BEN 表格**

Form **W-8BEN**

(Rev. July 2017)

Department of the Treasury
Internal Revenue Service

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

► For use by individuals. Entities must use Form W-8BEN-E.

► Go to www.irs.gov/FormW8BEN for instructions and the latest information.

► Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

Do NOT use this form if:

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

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

Part I Identification of Beneficial Owner (see instructions)

1 Name of individual who is the beneficial owner

Zhan san

2 Country of citizenship

China

3 Permanent residence address (street, apt. or suite no., or rural route). **Do not use a P.O. box or in-care-of address.**

***Road, ***District

City or town, state or province. Include postal code where appropriate.

***City ***Province

Country

China

4 Mailing address (if different from above)

City or town, state or province. Include postal code where appropriate.

Country

5 U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)

US TIN (如有則填寫)

6 Foreign tax identifying number (see instructions)

XXXXXXXXXX

7 Reference number(s) (see instructions)

8 Date of birth (MM-DD-YYYY) (see instructions)

mm-dd-yyyy

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

9 I certify that the beneficial owner is a resident of (Optional 非必填项) within the meaning of the income tax treaty between the United States and that country.

10 **Special rates and conditions** (if applicable—see instructions): The beneficial owner is claiming the provisions of Article and paragraph of the treaty identified on line 9 above to claim a % rate of withholding on (specify type of income):

Explain the additional conditions in the Article and paragraph the beneficial owner meets to be eligible for the rate of withholding:

Part III Certification

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

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

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

Sign Here

客户签署

月 / 日 / 年

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

Date (MM-DD-YYYY)

簽署人姓名

簽署人身份(若簽署人為非帳戶受益人)

Print name of signer

Capacity in which acting (if form is not signed by beneficial owner)

For Paperwork Reduction Act Notice, see separate instructions.

Cat. No. 25047Z

Form **W-8BEN** (Rev. 7-2017)

Section 4G: Self-Certification Form – Individual

第 4G 部分：自我證明表格 – 個人

Ref. No. 參考編號: _____

Self-Certification Form – Individual

自我證明表格 – 個人

Important Notes:

重要提示:

- This is a self-certification form provided by an account holder to GF Securities (Hong Kong) Brokerage Limited (“GFSHK”) for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the GFSHK to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
這是由帳戶持有人向廣發證券（香港）經紀有限公司（「廣發證券香港」）提供的自我證明表格，以作自動交換財務帳戶資料用途。廣發證券香港可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- An account holder should report all changes in his/her tax residency status to the reporting financial institution.
如帳戶持有人的稅務居民身分有所改變，應盡快將所有變更通知申報財務機構。
- All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (*) are required to be reported by the reporting financial institution to the Inland Revenue Department.
除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄/部標有星號（*）的項目為申報財務機構須向稅務局申報的資料。

Part 1 Identification of Individual Account Holder

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

第 1 部 個人帳戶持有人的身分識別資料

（對於聯名帳戶或多人聯名帳戶，每名個人帳戶持有人須分別填寫一份表格）

(1) Name of Account Holder 帳戶持有人的姓名

Title (e.g. Mr, Mrs, Ms, Miss) 稱謂（例如：先生、太太、女士、小姐）

Last Name or Surname * 姓氏*

First or Given Name * 名字*

Middle Name(s) 中間名

(2) Hong Kong Identity Card or Passport Number

香港身份證或護照號碼

(3) Current Residence Address 現時住址

Line 1 (e.g. Suite, Floor, Building, Street, District)

第 1 行（例如：室、樓層、大廈、街道、地區）

Line 2 (City) * 第 2 行（城市）*

Line 3 (e.g. Province, State) 第 3 行（例如：省、州）

Country * 國家 *

Post Code/ZIP Code 郵政編碼/郵遞區號碼

(4) Mailing Address (Complete if different to the current residence address)

通訊地址（如通訊地址與現時住址不同，填寫此欄）

Line 1 (e.g. Suite, Floor, Building, Street, District)

第 1 行（例如：室、樓層、大廈、街道、地區）

Line 2 (City) * 第 2 行（城市）*

Line 3 (e.g. Province, State) 第 3 行（例如：省、州）

Country*國家*

Post Code/ZIP Code 郵政編碼/郵遞區號碼

(5) Date of Birth * (dd/mm/yyyy) 出生日期*(日/月/年)

(6) Place of Birth (Not compulsory) 出生地點（可不填寫）

Town/City 鎮/城市

Province/State 省/州

Country 國家

Part 2 Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”) *

第 2 部 居留司法管轄區及稅務編號或具有等同功能的識別編號（以下簡稱「稅務編號」）*

Complete the following table indicating (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 five) 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。列出所有（不限於 5 個）居留司法管轄區。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.

如帳戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。

If a TIN is unavailable, provide the appropriate reason A, B or C:

如沒有提供稅務編號，必須填寫合適的理由：

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

理由 A – 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

Reason B – The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.

理由 B – 帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得稅務編號的原因。

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

理由 C – 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。

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號，填寫理由 A、B 或 C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選取理由 B，解釋帳戶持有人不能取得稅務編號的原因
(1) 中国	税务编号 (每个地区或国家不同)	若没有税务编号才需要填写理由 A、B 或 C	
(2)	中国税务编号为身份证号码		
(3)	香港税务编号皆为身份证号码		
(4)	注：一个个人可以同时为多个地区税务居民		
(5)			

Part 3 Declarations and Signature

第 3 部聲明及簽署

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by GFSHK for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by GFSHK to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

本人知悉及同意，廣發証券香港可根據《稅務條例》（第 112 章）有關交換財務帳戶資料的法律條文，（a）收集本表格所載資料並可備存作自動交換財務帳戶資料用途及（b）把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。

I certify that I am the account holder / I am authorized to sign for the account holder # of all the account(s) to which this form relates.

本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人/ 本人獲帳戶持有人授權簽署本表格[#]。

I undertake to advise GF Securities (Hong Kong) Brokerage Limited of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide GF Securities (Hong Kong) Brokerage Limited with a suitably updated self-certification form within 30 days of such change in circumstances.

本人承諾，如情況有所改變，以致影響本表格第 1 部所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知廣發証券(香港)經紀有限公司，並會在情況發生改變後 30 日內，向廣發証券(香港)經紀有限公司提交一份已適當更新的自我證明表格。

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

Signature 簽署*

客戶簽署

Name 姓名

Capacity 身分

(Indicate the capacity if you are not the individual identified in Part 1. If signing under a power of attorney, attach a certified copy of the power of attorney.)

（如你不是第 1 部所述的個人，說明你的身分。如果你是以受權人身分簽署這份表格，須夾附該授權書的核證副本。）

Date (dd/mm/yyyy) 日期（日/月/年）*

** 日 / ** 月 / ** 年

Delete as appropriate 刪去不適用者

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

警告：根據《稅務條例》第 80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級（即\$10,000）罰款。

Section 5: Use of Personal Data for Direct Marketing
第5部分: 供直接促销使用的个人资料

☐ ✓ tick as appropriate 在適當的選項加上剔號(✓)

- ☒ (For individuals only) I/We confirm that I/we have carefully reviewed and understood the Notice to Individual Clients on the Collection of Personal Data set out in the Terms by GFSHK and GFSHK's group companies for direct marketing.
(僅供個人使用) 本人/吾等確認，本人/吾等已細閱並明白廣發証券香港及廣發証券香港集團成員公司就直接促銷而提供的《有關收集個人資料的致個人客戶通知》（載於客戶帳戶條款內）。

Please only tick ("✓") the boxes below (as appropriate) if you **do not wish** your personal data to be used in direct marketing:
如果閣下**不希望**閣下的個人資料被用於直接促銷，請只剔選（「✓」）以下適當空格：

Direct Marketing by GFSHK 廣發証券香港之直接促銷

- ☐ I **do not wish** GFSHK to use my/our following personal data (please tick as appropriate)
本人**不希望**廣發証券香港使用本人/吾等以下的個人資料（請剔選適當的選項）：

- | | |
|---|---|
| <input type="checkbox"/> name 姓名 | <input type="checkbox"/> residential / correspondence address 住宅/通訊地址 |
| <input type="checkbox"/> contact telephone no. 聯絡電話號碼 | <input type="checkbox"/> e-mail address 電郵地址 |
| <input type="checkbox"/> all of the above 以上所有 | |

for use in direct marketing of the following products and services (please tick as appropriate)
用於直接促銷下列產品及服務（請剔選適當的選項）：

- | | |
|---|---|
| <input type="checkbox"/> securities accounts 證券帳戶 | <input type="checkbox"/> margin facilities 保證金信貸服務 |
| <input type="checkbox"/> investment related products 投資相關產品 | <input type="checkbox"/> investment-related facilities 投資相關信貸服務 |
| <input type="checkbox"/> investment related services 投資相關服務 | <input type="checkbox"/> all of the above 以上所有 |

Direct Marketing by GFSHK Group Companies 廣發証券香港集團成員公司之直接促銷

- ☐ I **do not wish** GFSHK to transfer my/our following personal data (please tick as appropriate):
本人**不希望**廣發証券香港使用本人/吾等以下的個人資料（請剔選適當的選項）：

- | | |
|---|---|
| <input type="checkbox"/> name 姓名 | <input type="checkbox"/> residential / correspondence address 住宅/通訊地址 |
| <input type="checkbox"/> contact telephone no. 聯絡電話號碼 | <input type="checkbox"/> e-mail address 電郵地址 |
| <input type="checkbox"/> all of the above 以上所有 | |

to GFSHK Group Companies for use in direct marketing of the following products and services (please tick as appropriate):
供廣發証券香港集團成員公司直接促銷下列產品及服務（請剔選適當的選項）：

- | | |
|---|--|
| <input type="checkbox"/> futures contracts 期貨合約 | <input type="checkbox"/> corporate finance services 公司融資服務 |
| <input type="checkbox"/> portfolio management services 投資組合管理服務 | <input type="checkbox"/> all of the above 以上所有 |

Section 6: Declaration by Client 第6部分: 客戶聲明

I/We hereby declare that the information as set out in the above is true, complete and accurate and can be relied upon by GFSHK in the satisfaction of GFSHK's obligations. I/We undertake to notify GFSHK promptly in case of any change of information.

本人/吾等謹此聲明上文所載資料屬真實、完整及準確。廣發證券香港可倚賴此等資料以履行其義務。上述資料如有任何更改，本人/吾等承諾從速通知廣發證券香港。

I/We hereby acknowledge and confirm that:

本人/吾等謹此承諾並確認：

- I/we have received, read and understood the Terms and Conditions for Client's Accounts (and the schedules, appendices and annexes thereto, if any) ("Terms") and in particular the Notice to Individual Clients on the Collection of Personal Data of the Terms as well as Section 5 above entitled Use of Personal Data for Direct Marketing, and I/we accept and agree to be bound by them. In event of any discrepancy between the English and Chinese text of the above, the English version shall prevail;
本人/吾等已收到、閱讀及明白客戶帳戶之條款及細則(以及其附表、附錄及附件(如有)) (「客戶帳戶條款」)，以及特別是客戶帳戶條款內的《有關收集個人資料的致個人客戶通知》及上文第 5 部分「供直接促銷使用的個人資料」，而本人/吾等接納並同意受該等條款約束，倘以上文字的中、英文版本出現歧義，則須以英文版本為準；
- the risk disclosure statements (as contained in the Terms) were provided to me/us in a language of my/our choice (English or Chinese);
本人/吾等已獲提供以本人/吾等選擇語言(英文或中文)所撰寫的風險披露聲明(載於客戶帳戶條款內)；
- I/we was/were invited to read the risk disclosure statements, and to ask questions and take independent advice if I/we so wished;
本人/吾等已獲邀閱讀風險披露聲明，並按本人/吾等所意願提出問題及諮詢獨立意見；
- I/we understand and consent that I/we shall notify GFSHK on any information change on either Form W-8 or Form W-9 or other relevant documentation pursuant to Foreign Account Tax Compliance Act (FATCA) within 30 days of the change and furnish a new Form W-8 or Form W-9 or other documentary evidence; and
本人/吾等明白及同意本人/吾等應在生效日期後 30 天內就 W-8 表格、W-9 表格或其他相關文件上之任何資料變更通知廣發證券香港以符合海外賬戶稅收合規法案(FATCA)要求，並提供已填妥之 W-8 表格、W-9 表格或其他相關證明文件；及
- I/we hereby give my/our consent to GFSHK to submit information to the U.S. tax authority, if required, in compliance with relevant requirements. (For example, under the circumstance that I/we am/are specified U.S. person.)
如需要，本人/吾等謹此同意廣發證券香港把本人/吾等的資料提交給美國稅收當局以符合相關要求(例：在本人/吾等為特定美國人的情況下)。
- I/we understand that this is an important document, and I/we fully understand the contents and legal implications of this document. I understand that in the event of any doubt, I/we should seek independent legal or professional advice prior to signing of this document.
本人/吾等明白這是重要文件，本人/吾等完全明白文件當中的內容及法律含意。本人/吾等明白若有疑問，應該在簽署此文件前尋求獨立的法律或專業意見。

I/We hereby understand and confirm that by signing this form, I/we confirm that I/we have read and understood all the above sections.

I/We hereby accept and agree to be bound by the provisions of this Account Opening Form and the Terms.

本人/吾等謹此明白並確認，通過簽署此表格，本人/吾等確認本人/吾等已閱讀並明白上述所有部分。

本人/吾等謹此接受並同意受本開戶表格之條款，以及客戶帳戶條款所約束。

I/We understand the opening of a Securities Trading Account by GFSHK for me/us is subject to GFSHK's discretion.

本人/吾等明白廣發證券香港為本人/吾等開立證券交易帳戶乃受廣發證券香港酌情決定所規限。

Signature of Client

客戶簽署

:

客戶簽署

Date

日期:

** 日 / ** 月 / ** 年

(This will be used as the specimen signature of this Account 此簽名將作為本帳戶的簽名樣式)

Signature of Client

(for secondary joint account holders only)

客戶簽署

:

Date

日期:

(只適用於第二聯名帳戶持有人) (This will be used as the specimen signature of this Account 此簽名將作為本帳戶的簽名樣式)

In the presence of 在場見證:

I (Name stated and signed below) certify that I have met and identified each of the person(s) who executed this form before me, and reviewed the original of the relevant identity documents).

本人(姓名及簽署見下)證明，本人已會晤及認定簽立本表格的每位人士，並已審核有關的身份證明文件正本。

Signature of Witness

見證人簽署

:

Name of Witness

見證人姓名

:

Date

日期

:

Capacity of the Witness 見證人身份:

☐ licensed person of GFSHK 廣發證券香港之持牌人士 CE Number of licensed person 持牌人的中央編號: _____

Certified by the following person who is not a licensed person of GFSHK 由下列並非廣發證券香港之持牌人的人士證明*

☐ Staff of a group company (affiliate) of GFSHK 廣發證券香港之集團成員公司(聯繫公司)的職員

☐ Person licensed or registered with SFC 獲證監會發牌或註冊之人士

☐ Justice of the Peace 太平紳士

☐ Professional person (such as a branch manager of a bank, certified public accountant, lawyer or notary public) 專業人士(例如銀行分行經理、執業會計師、律師或公證人)

Declaration by GFSHK Licensed Staff 廣發証券香港持牌員工聲明

I, named below, a licensed staff member of GF Securities (Hong Kong) Brokerage Limited, hereby declare that I have
本人(姓名見下)，為廣發証券（香港）經紀有限公司之持牌員工，謹此聲明，本人：

- (i) provided to the above-named Client the risk disclosure statements (as contained in the Terms) in a language of the Client's choice (English or Chinese)
(i) 已向上述客戶提供以客戶選擇語言(英文或中文)所撰寫的風險披露聲明（載於客戶帳戶條款內）；
- (ii) invited the Client to read the risk disclosure statements, ask questions and take independent advice if the Client so wishes; and
(ii) 已邀請客戶閱讀風險披露聲明，並按客戶所意願提出問題及諮詢獨立意見；及
- (iii) fully explained the contents of risk disclosure statements to the Client in a language which the Client understands
(iii) 已用客戶明白的語言，向該客戶完全解釋風險披露聲明的內容。

Signature of Staff 員工簽署

Staff Name 員工姓名:

Staff Designation 員工職銜:

CE Number of licensed person 持牌人的中央編號:

Date 日期:

Remark 備註:

Note 注意: This Account Opening Form must be accompanied by 本開戶表格須附有:

- (1) Copy(ies) of the HKID/Passport of Client,
客戶的香港身份證/護照副本，
- (2) Address proof (e.g. bank statement, electricity bill, etc.,) within 3 months,
最近 3 個月內之住址證明 (如銀行結單,電費單等)
- (3) Other document and/or information as GFSHK may reasonably require.
廣發証券香港合理要求之其他文件及/或資料。

FOR OFFICE USE ONLY 僅供本公司使用

Information 資料:

AE Code 經紀代碼: _____

Commission Rate 佣金費率: (Standard rate will be used for empty box(es). (如沒填上佣金費率，將使用標準費率。))

香港股票 Hong Kong Stock	股票期權 Stock Options	美國股票 U.S. Stock	中國 B 股 China's B share	日本股票 Japan Stock	新加坡股票 Singapore Stock	澳洲股票 Australia Stock	其他 (請列明) Others (Please specify)

Interest Rate 利率: _____

Trading Limit 交易限額: _____

Credit Limit 信貸限額: _____

Checked by 檢查: _____

Reviewed by 查核: _____

Data Inputted by 數據輸入: _____

Data Input Checked by 數據查核: _____

Remarks 備註: _____

Approved by RO 批核: _____

Date 日期: _____