民泰證券有限公司
MINTAI SECURITIES LIMITED
民泰金融集團成員 A Member of Mintai Financial Group

香港九龍尖沙咀海港城港威大廈第六座 20 樓 2002-4 室
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根據《證券及期貨條例》就第 1 類受規管活動獲發牌的持牌法團，CE 編號為 ALT947，並為香港聯合交易所有限公司交易所參與者 A corporation licensed for Type 1 regulated activities under the Securities and Futures Ordinance with CE No. ALT947 and an exchange participant of the Stock Exchange of Hong Kong Limited

帳戶號碼 Account No	

ACCOUNT OPENING FORM – INDIVIDUAL / JOINT ACCOUNT

開戶表格 – 個人 / 聯名帳戶

I. Account Type 帳戶類別

☐ 個人帳戶 Individual Account ☐ 聯名帳戶 Joint Account	☐ 主戶口 Primary ☐ 第二戶口 Secondary	☐ 現金帳戶 Cash Account	網上交易服務 Internet Trading Service ☐ 是 Yes ☐ 否 No

II. 個人資料 Personal Information

姓名 (中文) Name (Chinese)	姓名 (英文/拼音) Name (English/Pinyin)	出生日期 (日/ 月/ 年) Date of Birth (DD/MM/YY)

身份證/護照號碼 ID Card/Passport No.	性別 Gender ☐ 男 M ☐ 女 F	出生地 Place of Birth	國籍 Nationality

住宅地址
Residential Address
*恕不接受中央郵箱地址 P.O. Box address is not acceptable 郵編 Postal Code ( )

住屋 Residence ☐ 自置物業 Self-owned ☐ 按揭物業 Mortgage ☐ 租用物業 Rented ☐ 宿舍 Quarters
☐ 與家人同住 Living with Family ☐ 其他 Others___________

通訊地址 Mailing Address (如與住宅地址不同 If different from Residential Address) 郵編 Postal Code ( )	電郵地址 Email Address

流動電話 1 ( ) Mobile No. 2 ( )	住宅電話: Home No.	傳真號碼: Fax No.

學歷程度 Education Level ☐ 小學或以下 Primary or Below ☐ 中學 Secondary ☐ 大專或以上 Post-secondary	婚姻狀況 Marital Status ☐ 單身 Single ☐ 已婚 Married ☐ 離婚 Divorced

指定銀行戶口 Designated Bank Account
(除經客戶另行指示外，客戶的應收金額將按指示存入下列指定銀行帳戶 Unless otherwise instructed by the Client, all monies payable to the Client are to be credited to the following bank account:)

銀行名稱 Bank Name ______________________ 銀行地址 Bank Address ____

帳戶號碼 Account No. ______________________ 銀行國際代碼 SWIFT Code __________________ 帳戶類別 Account Type : _______________

受僱資料 Employment Information ☐ 全職 Full-time Employment ☐ 兼職 Part-time Employment ☐ 自僱 Self-employed ☐ 退休 Retired ☐ 主婦 Housewife ☐ 非在職 Not Currently Employed ☐ 其他 Others___________

僱主名稱 Name of Employer	業務性質 Nature of Business

職位 Job Title	任職年期 Year of Services	辦公室電話 Office Tel. No.	辦公室傳真 Fax No.

辦事處地址
Office Address 郵編 Postal Code ( )

通訊/戶口結單收取方法 Method of Communication/Account Statement Collection
(成交單據正本(買賣確認)及對帳單以下列其方式發送，只可選擇其一(如客户選用郵寄形式，將每月收取港幣$50 郵遞服務費) Original Contract Notes (Trading Confirmations) and Statements to be sent by Choose ONE only (If clients choose for mailing services, HK$50 shall be imposed as postage service fee))

☐ 住宅地址 Home Address ☐ 辦事處地址 Office Address ☐ 電子郵件地址 E-mail Address

結單語言 Language for Statements (只可選其一 Tick ONE only)
☐ 繁體中文 ☐ 简体中文 ☐ English

III. 財政狀況 Financial Status

年收入 (港幣) Annual Income (HK$)	☐ ≤120,000 ☐ 120,001 – 360,000 ☐ 360,001 – 600,000 ☐ 600,001 – 1,200,000 ☐ ≥1,200,001
估計流動資產 (港幣) Estimated Liquid Assets (HK$)	☐ ≤500,000 ☐ 500,001 – 1,000,000 ☐ 1,000,001 – 5,000,000 ☐ 5,000,001 – 8,000,000 ☐ 8,000,001 – 30,000,000 ☐ ≥30,000,001
估計資產淨值 (港幣) Estimated Total Net Worth (HK$)	☐ ≤500,000 ☐ 500,001 – 1,000,000 ☐ 1,000,001 – 5,000,000 ☐ 5,000,001 – 8,000,000 ☐ 8,000,001 – 30,000,000 ☐ ≥30,000,001
資金來源(可選一或多項) Source of Funds (Can tick one or more)	☐ 薪金 Salary ☐ 儲蓄 Savings ☐ 業務收入 Business Income ☐ 投資回報 Return of Investment ☐ 貸款 Loan ☐ 租金收入 Rental Income ☐ 其他 Others:____________

IV. 投資目的、經驗及衍生產品知識 Investment Objective, Experience & Derivative Products Knowledge	
投資目的 Investment Objective(s)	☐ 資本增值 Capital Gain ☐ 股息收入 Dividend Income ☐ 對沖 Hedging ☐ 投機 Speculation ☐ 套利 Arbitrage ☐ 其他 Others_____________
投資經驗(可選一或多項) Investment Experience (Can tick one or more)	☐ 沒有 Nil ☐ 股票 Equity ☐ 牛熊證/窩輪 CBBC/Warrants ☐ 期貨/期權 Futures/Options ☐ 槓桿式外匯 Leveraged Foreign Exchange ☐ 基金/債券 Fund/Bonds ☐ 結構性產品 Structured Products ☐ 其他 Others:____________
投資年資 Yrs of Experience	☐ 沒有 Nil ☐ <1 年 years ☐ 1 – 3 年 years ☐ 3 – 5 年 years ☐ >5 年 years
對衍生產品之認識 Derivative Products Knowledge	☐ 本人了解衍生產品的性質和風險 I understand the nature and risks of derivative products by: ☐ 1. 已接受有關的培訓或課程 Undergoing relevant training or attending course in ☐監管機構 Regulatory Authority ☐交易所 Exchange ☐大專院校 Tertiary Institution ☐進修學院 Education Institution ☐金融機構 Financial Institution ☐ 2. 於經紀公司或銀行、基金或資產管理公司、監管機構或交易所等金融機構擁有有關工作經驗 By gaining prior relevant work experience in financial institutions such as a brokerage firm or bank, fund house or asset management firm, regulatory authority or exchange ☐受監管持牌人士 Regulated Licensed Person ☐管理層 Management ☐與衍生工具相關後勤 Derivatives Related Back Office ☐ 3. 於過去三年內進行了五次或以上有關衍生產品之交易(不論是否於交易所進行交易) Executing five or more transactions in derivative products (whether traded on an exchange or not) within the past three years ☐ 本人並未有衍生產品的知識 （例如：衍生權證、牛熊證、股票期權、期貨及期權、商品、結構性產品及交易所買賣基金等，不論是否於交易所進行交易）I have NO knowledge of derivative products (e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures and Options, Commodity, Structure Products and Exchange Traded Fund etc, whether traded on an exchange or not) ***如客戶對衍生產品沒有認識，將不能交易衍生產品（Client will not be allowed to trade derivative products if no related knowledge）**

V. 最終實益擁有人及利益關係申報 Beneficiary Ownership and Interest Declaration
1) 客戶是否民泰證券有限公司(「民泰證券」) 或其任何附屬公司之僱員或與其任何僱員、董事或持牌代表有親屬關係? Is the Client an employee or relative of any employee or director or representative of Mintai Securities Limited ("MSL") or any of its subsidiaries? ☐ 不是 No ☐ 是 (請詳述) Yes (Please specify) 僱員/董事/代表姓名 Name of employee/Director/representative ____ 關係 Relationship ☐ 客戶本人 The client ☐ 配偶 Spouse ☐ 雙親 Parents ☐ 孩子 Children ☐ 其他 Others ______________
2) 帳戶最終權益擁有人(等)的身份 Identity of the ultimate beneficial owner(s) of the Account ☐ 客戶本人 The Client ☐ 其他(請提供其身份證明文件及住址證明副本) Others (Please provide copy of his/her identity card and address proof) 姓名 Name______________________ 身份證/護照號碼 ID/Passport No__________________________ 地址 Address____
3) 客戶是否證券及期貨監察委員會持牌人或註冊人之僱員、董事或持牌代表? Is the Client an employee or director or accredited person of any licensed or registered person with the Securities and Futures Commission? ☐ 不是 No ☐ 是 (請詳述及提供僱主之書面同意書) Yes (Please specify and provide employer's consent letter) 持牌人或註冊人士名稱 Name of Licensed or Registered Person ____
4) 客戶、任何帳戶最終權益擁有人或授權人士或其配偶、伴侶、子女或父母、或其子女的配偶或伴侶、或與其關係密切的人是否為政治人物、高級政府官員或國有企業高級行政人員? Is any of the Client(s), ultimate beneficial owner(s) or authorized person of the Account or his / her spouse, partner, child, parent, spouse or partner of his / her child, or close associate a politically exposed person, senior government official or senior executive of a state owned corporation? ☐ 不是 No ☐ 是(請詳述) Yes (Please specify) ____
5) 客戶是否任何香港上市公司之董事/僱員/大股東(持有不少於 10%的股份)? Is the Client a director, employee or substantial shareholder (controlling not less than 10% of the shares) of any listed company in Hong Kong? ☐ 不是 No ☐ 是(請詳述) Yes (Please specify) ____
6) 就此帳戶進行交易的最終負責發出指示的身份 Identity of the person(s) ultimately responsible for originating instructions in relation to transactions under the Account ☐ 客戶本人 The Client ☐ 其他(請提供已填妥"第三者操作帳戶授權書"及其身份證明文件及住址證明副本) Others (Please provide completed "Third Party Trading Authorization" and copy of his/her identity card and address proof) 姓名 Name______________________ 身份證/護照號碼 ID/Passport No__________________________ 地址 Address____
7) 客戶或帳戶最終權益擁有人是否美國公民或就有關稅務目的而言屬美國居民? Is the Client or ultimate beneficial owner of the Account a citizen or resident of the United States of America for tax purposes? ☐ 不是 No ☐ 是(請提供美國納稅人編號) Yes (Please provide SSN or ITIN) ____

☐ 本人不同意將吾等的個人資料用於有關《個人資料(私隱)條例》(香港法例第 486 章)並於《客戶協議》內所載的個人資料(私隱)政策聲明內所述的直銷用途。(*如閣下未有在空格加上✓但在此表格上簽署表示接納有關個人資料(私隱)政策聲明，將表示閣下不反對(即同意)閣下的個人資料可被用作相關的直銷用途或有關的個人資料轉移(即於個人資料(私隱)政策聲明內所述)。閣下可隨時撤銷該同意以停止按收任何推廣資料或物品。

I object to the use of my personal data for direct marketing as specified in the PDPCS set out in the Client Agreement relating to the Personal Data (Privacy) Ordinance. (*If you do not tick the box but sign on this Account Opening Form to signify your acceptance of the PDPCS, you will be regarded as having indicated that you have no objection and have consented to the use or transfer to the other parties of your personal data for direct marketing as stated in the PDPCS. You may still opt-out from receiving any marketing information or materials as any time you wish to withdraw your consent.

VI. 客戶聲明 Declaration By Client

本人/吾等謹此承諾並確認: I/We hereby acknowledge and confirm that:

1. 本人證實在本表格內所填報之資料在所有方面全屬真實及正確，並授權民泰證券以任何其認為適當之途徑以確證該等資料之真確性及與有關方面交換資料； I confirm that all of the above information is true and correct and authorise MSL to communicate and to exchange such information with whatever source MSL may consider appropriate for the purpose of verifying the same;
2. 本人同意開立此開戶表格第 I 章節所列出的帳戶(“ 帳戶”) ；I agree to open account(s) listed in Section I herein (the “Account”) with MSL;
3. 本人已收到、閱讀及明白規限證券交易協議內之條款（包括其附表、附錄及附件(如有）)（[證券交易協議]）。而本人接納並同意受該等條款約束；I have received, read and understood the Terms and Conditions contained therein the Securities Trading Agreement (and the schedules, appendices and annexes thereto, if any) (the “Securities Trading Agreement”). I accept and agree to be bound by them;
4. 本人已獲提供以本人選擇語言(中文或英文)所撰寫的風險披露聲明（載於證券交易協議）；The risk disclosure statements (as contained in the Securities Trading Agreement) were provided to me in a language of my choice (Chinese or English);
5. 本人已獲邀請參閱風險披露聲明，並按其意願提出問題及諮詢獨立意見；I was invited to read the risk disclosure statements, and to ask questions and take independent advice if I so wished;
6. 本人已參閱民泰證券給予客戶有關《個人資料收集聲明》（載於證券交易協議內），並明白且同意其條款 ；I have read MSL Personal Information Collection Statements (as contained in the Securities Trading Agreement), understand and agree to its terms;

簽署人 Signed by:

*帳戶持有人簽署 Account Holder’s Signature: ________________________________ 日期 Date:	☐ Sign singly 單一簽名有效 ☐ Sign jointly 聯合簽名方為有效 * 將被用作簽名樣式 Will be used as Specimen Signature

VII. 見證人簽署 SIGNED BY WITNESS

由本公司職員、持牌代表或聯繫人士或專業人士(其他證監會持牌人或註冊人、太平坤士、銀行經理、執業會計師、律師或公證人)填寫 (to be completed by staff, representative or affiliate of the Company or Professional (any other licensed or registered person with the SFC, a JP, branch manager of a bank, certified public accountant, lawyer or notary public)

本人謹此確認本人已經見證及驗證客戶之簽署及其有關身份證明文件之正本。I hereby certify that I have witnessed the signature and verified the original identity documents of the client.

見證人簽署 ______________________________ 所屬專業/職銜 ____________________
Signature of Witness Profession

姓名 ______________________________ 日期 ____________________
Name Date

VIII. 持牌人士聲明 DECLARATION BY LICENSED PERSON

本人確認已經以客戶選擇的語言 (英文或中文) 提供了載於証券客戶協議內的風險披露聲明，並已邀請客戶閱讀該風險披露聲明，提出問題及徵求獨立意見(如客戶有此意願)。I confirm that I have provided the Risk Disclosure Statements as set out in the Securities Client Agreement in a language (English or Chinese) of the Customer's choice. And I have also invited the client to read the Risk Disclosure Statements, ask questions and take independent advice if the client wishes.

持牌人簽署 ______________________________ 中央編號 ____________________
Signature of Licensed Person CE Number

姓名 ______________________________ 日期 ____________________
Name Date

只供本行使用 For Official Use Only					
Please return the completed Account Opening Form with original signature of the Client(s) and the following documents in original or certificated copy ☐ Individual Tax Residency Self-Certification Form (CRS-I) ☐ Risk Profiling Questionnaire ☐ Certified ID Card/Passport Copy ☐ Latest residential address proof issued within the last 3 months (electric bill, bank statement etc.) ☐ Completed Third Party Trading Authorization Letter (if applicable) ☐ Bank and Credit Reference (if applicable) (Bank statement, title deeds etc.) ☐ Consent Letter from Employer (if applicable)					
	Reviewed by	Input by	Data Checked by	Approved by	AE Code
Initial					
Date					

Commission		
HK$ % (Min. HK$)	CNY$ % (Min. CNY$)	US$ % (Min. US$)
Trading Limit	Credit Limit	Interest Rate
Remarks		