

Account No
帳戶號碼

Elstone Securities Limited is a licensed corporation carrying out type 1 regulated activity under the Securities and Futures Ordinance (Cap. 571) of laws of Hong Kong with CE No. ACX624 and exchange participant of the Stock Exchange of Hong Kong Limited ("SEHK").
根據香港法例 (第五七一章) 證券及期貨條例從事第一類受規管活動的持牌法團(中央編號 ACX624)及香港聯合交易所有限公司 "聯交所" 交易所參與者

ACCOUNT OPENING INFORMATION FORM

開戶資料表格

1. Account Type 帳戶類別

<input type="checkbox"/> Cash Account 現金戶口	<input type="checkbox"/> Margin Account 保證金戶口	<input type="checkbox"/> Individual 個人帳戶	<input type="checkbox"/> Joint Account 聯名帳戶
<input type="checkbox"/> Account(s) requiring Internet Trading Service 選用網上證券交易服務		<input type="checkbox"/> Required 需要	<input type="checkbox"/> Not Required 不需要

2. Personal Information 個人資料

A1. Individual/Primary Joint Account Holder 個人帳戶 / 聯名帳戶主要持有人			
<input type="checkbox"/> Mr.先生 <input type="checkbox"/> Mrs.夫人 <input type="checkbox"/> Ms 女士	Last Name (English) 英文姓	First Name (English) 英文名	Chinese Name 中文姓名
Nationality / Citizenship 國籍 / 公民身份	Date of Birth (dd/mm/yyyy) 出生日期 (日 / 月 / 年)	Marital Status 婚姻狀況 <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Divorced 單身 已婚 離婚	Country of Birth 出生國家
ID No. 身份證號碼	Place of Issue of ID card 身份證簽發地點	Passport No. 護照號碼	Place of Issue of Passport 護照簽發地點
Residential Address 住宅地址 (Country 國家 Postal Code 郵編)			
Correspondence Address (If different from Residential address) 通訊地址(如與住宅地址不同) (Country 國家 Postal Code 郵編)			
(Country Code) Home Phone No. () (國家區號) 住宅電話	(Country Code) Mobile Phone No. () (國家區號) 流動電話		
(Country Code) Fax No. () (國家區號) 傳真號碼	Email 電郵		
Education Level 學歷程度	<input type="checkbox"/> Primary 小學	<input type="checkbox"/> Secondary 中學	<input type="checkbox"/> College 大專
<input type="checkbox"/> Graduate or above 大學或以上			
Relationship between the Primary Client and the Joint Client 客戶與聯名客戶之關係			

A2. Employment Status 工作狀況

Status 現況	<input type="checkbox"/> Employed 受僱	<input type="checkbox"/> Self-employed 自僱	<input type="checkbox"/> Unemployed 無業	<input type="checkbox"/> Retired 退休	<input type="checkbox"/> Housewife 家庭主婦	<input type="checkbox"/> Others 其他
--------------	---	--	---	--	--	---------------------------------------

Name of Employer 僱主名稱			
Business / Industry 業務/行業	Job Title 職位	Duration with Employer 受僱年期	Office Email address 辦公室電郵
(Country Code) Office No () (國家區號) 辦公室電話		(Country Code) Office Fax No () (國家區號) 辦公室傳真號碼	
Office Address 辦公室地址 (Country 國家 Postal Code 郵編)			

A3. Investment Experience and Objective 投資經驗及目標

Investment Objective 投資目的

☐ Generating Income 賺取收入
 ☐ Capital Appreciation 資本增長
 ☐ Hedging 對沖
 ☐ Speculation 投機
 ☐ Others _____ 其他

Investment Experience 投資經驗

<input type="checkbox"/> Listed Securities 上市證券	<input type="checkbox"/> Yes, for _____ year(s) 有 _____ 年經驗	<input type="checkbox"/> None 沒有
<input type="checkbox"/> Futures & Options 期貨及期權	<input type="checkbox"/> Yes, for _____ year(s) 有 _____ 年經驗	<input type="checkbox"/> None 沒有
<input type="checkbox"/> Mutual funds or Bonds 單位信托基金或債券	<input type="checkbox"/> Yes, for _____ year(s) 有 _____ 年經驗	<input type="checkbox"/> None 沒有
<input type="checkbox"/> CBBC / Warrants 牛熊證或窩輪	<input type="checkbox"/> Yes, for _____ year(s) 有 _____ 年經驗	<input type="checkbox"/> None 沒有
<input type="checkbox"/> Leveraged Foreign Exchange 槓桿式外匯	<input type="checkbox"/> Yes, for _____ year(s) 有 _____ 年經驗	<input type="checkbox"/> None 沒有
<input type="checkbox"/> Short Selling Experience 沽空經驗	<input type="checkbox"/> Yes, for _____ year(s) 有 _____ 年經驗	<input type="checkbox"/> None 沒有
<input type="checkbox"/> Others _____ 其他		
<input type="checkbox"/> None 沒有		

A4. Structured and Derivative Products Knowledge 結構性及衍生產品之認識

☐ I understand the nature and risks of structured and derivative products by
本人了解結構性及衍生產品之性質和風險

- Undergoing relevant training or attending course in
已接受培訓或課程
☐ Regulatory Authority 監管機構
 ☐ Exchange 交易所
 ☐ Tertiary Institution 大專院校
 ☐ Financial Institution 金融機構
 ☐ Retired 退休
 ☐ Education Institution 進修學院
- 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
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的工作經驗
☐ Regulated Licensed Person 受監管持牌人士
 ☐ Management 管理層
 ☐ Derivatives Related Back Office 與衍生工具相關後勤
- Executing five or more transactions in derivative products (whether traded on an exchange or not) within the past three years.
於過去三年內已進行了五次或以上有關結構性或衍生產品之交易(不論是否於交易所進行交易)

☐ I have **NO** knowledge of Structured and derivative products
本人並未有衍生產品之認識

A5. Financial Situation 財政狀況

Source of funds 資金來源	<input type="checkbox"/> Salary and/or Bonus 薪金及/或花紅 <input type="checkbox"/> Commission Income 佣金收入 <input type="checkbox"/> Others _____ 其它	<input type="checkbox"/> Business Income 業務收入 <input type="checkbox"/> Interest Income 利息收入	<input type="checkbox"/> Return on investment 投資回報 <input type="checkbox"/> Loan from Financial Institution 金融機構貸款	<input type="checkbox"/> Saving 儲蓄 <input type="checkbox"/> Rental Income 租金收入	<input type="checkbox"/> Family 家庭
-------------------------	---	--	---	---	------------------------------------

Source of Wealth 財富來源	<input type="checkbox"/> Salary and/or Bonus <input type="checkbox"/> Business Income <input type="checkbox"/> Inheritance or gift <input type="checkbox"/> Saving 薪金及/或花紅 業務收入 遺產/贈物 儲蓄			
	<input type="checkbox"/> Sale of Property / Assets <input type="checkbox"/> Retirement funds <input type="checkbox"/> Others _____ 出售物業/資產 退休金 其它			
Liquid Asset (HKD) 流動資產	<input type="checkbox"/> ≤HKD100,000 <input type="checkbox"/> HKD100,000 – HKD500,000 <input type="checkbox"/> HKD500,000 - HKD1,000,000 <input type="checkbox"/> HKD1,000,000 - HKD5,000,000 <input type="checkbox"/> HKD5,000,001 - HKD10,000,000 <input type="checkbox"/> HKD10,000,001 - HKD50,000,000 <input type="checkbox"/> Other HKD _____	Net Worth (HKD) 資產淨值	<input type="checkbox"/> ≤HKD100,000 <input type="checkbox"/> HKD100,001 - HKD500,000 <input type="checkbox"/> HKD500,001 - HKD1,000,000 <input type="checkbox"/> HKD1,000,001 - HKD5,000,000 <input type="checkbox"/> HKD5,000,001 - HKD10,000,000 <input type="checkbox"/> HKD10,000,001 - HKD50,000,000 <input type="checkbox"/> Other HKD _____	
Annual Income (HKD) 每年收入	<input type="checkbox"/> ≤HKD100,000 <input type="checkbox"/> HKD100,001 - HKD500,000 <input type="checkbox"/> HKD500,001 - HKD1,000,000 <input type="checkbox"/> HKD1,000,001 - HKD5,000,000 <input type="checkbox"/> HKD5,000,001 - HKD10,000,000 <input type="checkbox"/> HKD10,000,001 - HKD50,000,000 <input type="checkbox"/> HKD50,000,001 or above 或以上			
Ownership of Residence 住屋業權	<input type="checkbox"/> Owned <input type="checkbox"/> Mortgaged <input type="checkbox"/> Not Mortgaged 擁有 已抵押 沒有抵押 <input type="checkbox"/> Not Owned <input type="checkbox"/> Rented <input type="checkbox"/> Living with Family <input type="checkbox"/> Company Quarters 沒有 租用物業 與家人同住 公司宿舍			

A6. Tax Residency 稅務居民資料

Pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance. Please provide your jurisdiction of residence where the account holder(s) is a resident for tax purposes and TIN for each jurisdiction indicated. If a TIN is unavailable, provide an appropriate reason.
 根據「稅務條例」有關交換財務帳戶資料的法律條文，請提供你的稅務編號。如沒有提供稅務編號，必須填寫合適的理由

Reason A – The country/jurisdiction where the Account Holder is resident does not issue TINs to its residents
 Reason B – The Account Holder is otherwise unable to obtain a TIN or equivalent number
 (Please explain why you are unable to obtain a TIN in the below table if you have selected this reason)
 Reason C – No TIN is required. (Note. Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction)

理由 A 帳戶持有人的國家 / 居留司法管轄區並沒有向其居民發出稅務編號。
 理由 B 帳戶持有人不能取得稅務編號。(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。)
 理由 C 帳戶持有人毋須提供稅務編號。(這理由只適用於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。)

☐ I hold Hong Kong Tax residence **and / or** ☐ I hold tax residence other than Hong Kong
 本人持有香港稅務居民資格 **及/或** 本人持有香港以外稅務居民資格

Country / Jurisdiction of tax residence 國家 / 居留司法管轄 區	Tax Identification Number ("TIN") 稅務編號	If no TIN available enter Reason A, B or C 如未能提供稅務編號， 請別選理由 A、B 或 C <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選取理由 B，請解釋未能取得稅務 編號的原因
--	--	--	--

A7. FATCA

Definition: The term U.S. person or United States person means a person described in section 7701(a)(30) of the Internal Revenue Code. The term "United States person" means – (A) a citizen or resident of the United States. For details, please refer to US IRD website (<http://www.irs.gov/>).
 定義：美國人指根據美國稅務法第 7701(a)(30)所指的人。詞彙「美國人」指- (A) 美國的公民或居民。詳情請參閱美國國家稅務局網站 (<http://www.irs.gov/>)。

Tick one of the appropriate boxes.
 在其中一個適當的方格內加上 √ 號。

☐ I confirm that I am not a U.S. person in the U.S. for tax purposes.
 本人確認，本人就課稅目的而言並非美國人。

☐ I confirm that I am a U.S. person in the U.S. for tax purposes (Green Card Holder or resident under the substantial presence test)
 本人確認，本人就課稅目的而言為美國人（綠卡持有人或根據實質居留測試被定性為居民）。

☐ I confirm that I was born in the U.S. (or U.S. territory) but am no longer a U.S. citizen as I have voluntarily surrendered my citizenship as evidenced by the Certificate of Loss of Nationality of the United States.
 本人確認，本人在美國（或美國境內）出生但不再屬於美國公民，原因是本人自願放棄本人的公民身份，並以美國「喪

失原有國籍證明」為憑證。

The substantial presence test is generally met with respect to any calendar year if (i) the individual is present in the U.S. at least 31 days during such year and (ii) the sum of the number of days in which such individual is present in the U.S. during such year, 1/3 of the number of such days during the first preceding year, and 1/6 of the number of such days during the second preceding year, equals or exceeds 183 days.

如就任何曆年有下列情況，一般即屬已通過實質居留測試：(i) 該名個人在該年度內在美國居留至少 31 天；及 (ii) 該名個人在該年度內在美國居留的天數，與其在前一年度內居留天數的三分之一及再前一個年度內居留天數的六分之一的總和，相等於或超過 183 天。

B1. Secondary Joint Account Holder 聯名帳戶第二持有人

<input type="checkbox"/> Mr.先生 <input type="checkbox"/> Mrs.夫人 <input type="checkbox"/> Ms 女士	Last Name (English) 英文姓	First Name (English) 英文名	Chinese Name 中文姓名
Nationality / Citizenship 國籍 / 公民身份	Date of Birth (dd/mm/yyyy) 出生日期 (日 / 月 / 年)	Marital Status 婚姻狀況 <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Divorced 單身 已婚 離婚	Country of Birth 出生國家
ID No. 身份證號碼	Place of Issue of ID card 身份證簽發地點	Passport No. 護照號碼	Place of Issue of Passport 護照簽發地點
Residential Address 住宅地址 (Country 國家 Postal Code 郵編)			
Correspondence Address (If different from Residential address) 通訊地址(如與住宅地址不同) (Country 國家 Postal Code 郵編)			
(Country Code) Home Phone No. () (國家區號) 住宅電話		(Country Code) Mobile Phone No. () (國家區號) 流動電話	
(Country Code) Fax No. () (國家區號) 傳真號碼		Email 電郵	
Education Level <input type="checkbox"/> Primary <input type="checkbox"/> Secondary <input type="checkbox"/> College <input type="checkbox"/> Graduate or above 學歷程度 小學 中學 大專 大學或以上			

B2. Employment Status 工作狀況

Status <input type="checkbox"/> Employed <input type="checkbox"/> Self-employed <input type="checkbox"/> Unemployed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Others _____ 現況 受僱 自僱 無業 退休 家庭主婦 其他	Name of Employer 僱主名稱		
Business / Industry 業務/行業	Job Title 職位	Duration with Employer 受僱年期	Office Email address 辦公室電郵
(Country Code) Office No () (國家區號) 辦公室電話		(Country Code) Office Fax No () (國家區號) 辦公室傳真號碼	
Office Address 辦公室地址 (Country 國家 Postal Code 郵編)			

B3. Investment Experience and Objective 投資經驗及目標

Investment Objective 投資目的				
<input type="checkbox"/> Generating Income 賺取收入	<input type="checkbox"/> Capital Appreciation 資本增長	<input type="checkbox"/> Hedging 對沖	<input type="checkbox"/> Speculation 投機	<input type="checkbox"/> Others _____ 其他

Investment Experience 投資經驗		
<input type="checkbox"/> Listed Securities 上市證券	<input type="checkbox"/> Yes, for _____ year(s) 有 _____ 年經驗	<input type="checkbox"/> None 沒有
<input type="checkbox"/> Futures & Options 期貨及期權	<input type="checkbox"/> Yes, for _____ year(s) 有 _____ 年經驗	<input type="checkbox"/> None 沒有
<input type="checkbox"/> Mutual funds or Bonds 單位信託基金或債券	<input type="checkbox"/> Yes, for _____ year(s) 有 _____ 年經驗	<input type="checkbox"/> None 沒有
<input type="checkbox"/> CBBC / Warrants 牛熊證或窩輪	<input type="checkbox"/> Yes, for _____ year(s) 有 _____ 年經驗	<input type="checkbox"/> None 沒有
<input type="checkbox"/> Leveraged Foreign Exchange 槓桿式外匯	<input type="checkbox"/> Yes, for _____ year(s) 有 _____ 年經驗	<input type="checkbox"/> None 沒有
<input type="checkbox"/> Short Selling Experience 沽空經驗	<input type="checkbox"/> Yes, for _____ year(s) 有 _____ 年經驗	<input type="checkbox"/> None 沒有
<input type="checkbox"/> Others _____ 其他		
<input type="checkbox"/> None 沒有		

B4. Structured and Derivative Products Knowledge 結構性及衍生產品之認識
<input type="checkbox"/> I understand the nature and risks of structured and derivative products by 本人了解結構性及衍生產品之性質和風險 1. Undergoing relevant training or attending course in 已接受培訓或課程 <input type="checkbox"/> Regulatory Authority <input type="checkbox"/> Exchange <input type="checkbox"/> Tertiary Institution <input type="checkbox"/> Financial Institution Retired <input type="checkbox"/> Education Institution 監管機構 交易所 大專院校 金融機構 進修學院 2. 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 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的工作經驗 <input type="checkbox"/> Regulated Licensed Person <input type="checkbox"/> Management <input type="checkbox"/> Derivatives Related Back Office 受監管持牌人士 管理層 與衍生工具相關後勤 3. Executing five or more transactions in derivative products (whether traded on an exchange or not) within the past three years. 於過去三年內已進行了五次或以上有關結構性或衍生產品之交易(不論是否於交易所進行交易) <input type="checkbox"/> I have NO knowledge of Structured and derivative products 本人並未有衍生產品之認識

B5. Financial Situation 財政狀況				
Source of funds 資金來源	<input type="checkbox"/> Salary and/or Bonus <input type="checkbox"/> Business Income <input type="checkbox"/> Return on investment <input type="checkbox"/> Saving <input type="checkbox"/> Family 薪金及/或花紅 業務收入 投資回報 儲蓄 家庭 <input type="checkbox"/> Commission Income <input type="checkbox"/> Interest Income <input type="checkbox"/> Loan from Financial Institution <input type="checkbox"/> Rental Income 佣金收入 利息收入 金融機構貸款 租金收入 <input type="checkbox"/> Others _____ 其它			
Source of Wealth 財富來源	<input type="checkbox"/> Salary and/or Bonus <input type="checkbox"/> Business Income <input type="checkbox"/> Inheritance or gift <input type="checkbox"/> Saving 薪金及/或花紅 業務收入 遺產/贈物 儲蓄 <input type="checkbox"/> Sale of Property / Assets <input type="checkbox"/> Retirement funds <input type="checkbox"/> Others _____ 出售物業/資產 退休金 其它			
Liquid Asset (HKD) 流動資產	<table border="1"> <tr> <td> <input type="checkbox"/> ≤HKD100,000 <input type="checkbox"/> HKD100,000 – HKD500,000 <input type="checkbox"/> HKD500,000 - HKD1,000,000 <input type="checkbox"/> HKD1,000,000 - HKD5,000,000 <input type="checkbox"/> HKD5,000,001 - HKD10,000,000 <input type="checkbox"/> HKD10,000,001 - HKD50,000,000 <input type="checkbox"/> Other HKD _____ </td> <td> Net Worth (HKD) 資產淨值 </td> <td> <input type="checkbox"/> ≤HKD100,000 <input type="checkbox"/> HKD100,001 - HKD500,000 <input type="checkbox"/> HKD500,001 - HKD1,000,000 <input type="checkbox"/> HKD1,000,001 - HKD5,000,000 <input type="checkbox"/> HKD5,000,001 - HKD10,000,000 <input type="checkbox"/> HKD10,000,001 - HKD50,000,000 <input type="checkbox"/> Other HKD _____ </td> </tr> </table>	<input type="checkbox"/> ≤HKD100,000 <input type="checkbox"/> HKD100,000 – HKD500,000 <input type="checkbox"/> HKD500,000 - HKD1,000,000 <input type="checkbox"/> HKD1,000,000 - HKD5,000,000 <input type="checkbox"/> HKD5,000,001 - HKD10,000,000 <input type="checkbox"/> HKD10,000,001 - HKD50,000,000 <input type="checkbox"/> Other HKD _____	Net Worth (HKD) 資產淨值	<input type="checkbox"/> ≤HKD100,000 <input type="checkbox"/> HKD100,001 - HKD500,000 <input type="checkbox"/> HKD500,001 - HKD1,000,000 <input type="checkbox"/> HKD1,000,001 - HKD5,000,000 <input type="checkbox"/> HKD5,000,001 - HKD10,000,000 <input type="checkbox"/> HKD10,000,001 - HKD50,000,000 <input type="checkbox"/> Other HKD _____
<input type="checkbox"/> ≤HKD100,000 <input type="checkbox"/> HKD100,000 – HKD500,000 <input type="checkbox"/> HKD500,000 - HKD1,000,000 <input type="checkbox"/> HKD1,000,000 - HKD5,000,000 <input type="checkbox"/> HKD5,000,001 - HKD10,000,000 <input type="checkbox"/> HKD10,000,001 - HKD50,000,000 <input type="checkbox"/> Other HKD _____	Net Worth (HKD) 資產淨值	<input type="checkbox"/> ≤HKD100,000 <input type="checkbox"/> HKD100,001 - HKD500,000 <input type="checkbox"/> HKD500,001 - HKD1,000,000 <input type="checkbox"/> HKD1,000,001 - HKD5,000,000 <input type="checkbox"/> HKD5,000,001 - HKD10,000,000 <input type="checkbox"/> HKD10,000,001 - HKD50,000,000 <input type="checkbox"/> Other HKD _____		
Annual Income (HKD) 每年收入	<input type="checkbox"/> ≤HKD100,000 <input type="checkbox"/> HKD100,001 - HKD500,000 <input type="checkbox"/> HKD500,001 - HKD1,000,000 <input type="checkbox"/> HKD1,000,001 - HKD5,000,000 <input type="checkbox"/> HKD5,000,001 - HKD10,000,000 <input type="checkbox"/> HKD10,000,001 - HKD50,000,000 <input type="checkbox"/> HKD50,000,001 or above 或以上			
Ownership of Residence 住屋業權	<input type="checkbox"/> Owned <input type="checkbox"/> Mortgaged <input type="checkbox"/> Not Mortgaged 擁有 已抵押 沒有抵押 <input type="checkbox"/> Not Owned <input type="checkbox"/> Rented <input type="checkbox"/> Living with Family <input type="checkbox"/> Company Quarters 沒有 租用物業 與家人同住 公司宿舍			

B6. Tax Residency 稅務居民資料			
Pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance. Please provide you jurisdiction of residence where the account holder(s) is a resident for tax purposes and TIN for each jurisdiction indicated. If a TIN is unavailable, provide an appropriate reason. 根據「稅務條例」有關交換財務帳戶資料的法律條文，請提供你的稅務編號。如沒有提供稅務編號，必須填寫合適的理由			
Reason A – The country/jurisdiction where the Account Holder is resident does not issue TINs to its residents Reason B – The Account Holder is otherwise unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN in the below table if you have selected this reason) Reason C – No TIN is required. (Note. Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction)			
理由 A 帳戶持有人的國家 / 居留司法管轄區並沒有向其居民發出稅務編號。 理由 B 帳戶持有人不能取得稅務編號。(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。) 理由 C 帳戶持有人毋須提供稅務編號。(這理由只適用於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。)			
<input type="checkbox"/> I hold Hong Kong Tax residence and / or <input type="checkbox"/> I hold tax residence other than Hong Kong 本人持有香港稅務居民資格 及/或 本人持有香港以外稅務居民資格			
Country / Jurisdiction of tax residence 國家 / 居留司法管轄區	Tax Identification Number ("TIN") 稅務編號	If no TIN available enter Reason A, B or C 如未能提供稅務編號，請別選理由 A、B 或 C <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選取理由 B，請解釋未能取得稅務編號的原因

B7. FATCA	
Definition: The term U.S. person or United States person means a person described in section 7701(a)(30) of the Internal Revenue Code. The term "United States person" means – (A) a citizen or resident of the United States. For details, please refer to US IRD website (http://www.irs.gov/). 定義：美國人指根據美國稅務法第 7701(a)(30)所指的人。詞彙「美國人」指- (A) 美國的公民或居民。詳情請參閱美國國家稅務局網站 (http://www.irs.gov/)。	
Tick one of the appropriate boxes. 在其中一個適當的方格內加上 <input checked="" type="checkbox"/> 號。	
<input type="checkbox"/> I confirm that I am not a U.S. person in the U.S. for tax purposes. 本人確認，本人就課稅目的而言並非美國人。	
<input type="checkbox"/> I confirm that I am a U.S. person in the U.S. for tax purposes (Green Card Holder or resident under the substantial presence test) 本人確認，本人就課稅目的而言為美國人（綠卡持有人或根據實質居留測試被定性為居民）。	
<input type="checkbox"/> I confirm that I was born in the U.S. (or U.S. territory) but am no longer a U.S. citizen as I have voluntarily surrendered my citizenship as evidenced by the Certificate of Loss of Nationality of the United States. 本人確認，本人在美國（或美國境內）出生但不再屬於美國公民，原因是本人自願放棄本人的公民身份，並以美國「喪失原有國籍證明」為憑證。	
The substantial presence test is generally met with respect to any calendar year if (i) the individual is present in the U.S. at least 31 days during such year and (ii) the sum of the number of days in which such individual is present in the U.S. during such year, 1/3 of the number of such days during the first preceding year, and 1/6 of the number of such days during the second preceding year, equals or exceeds 183 days.如就任何曆年有下列情況，一般即屬已通過實質居留測試： (i) 該名個人在該年度內在美國居留至少 31 天；及 (ii) 該名個人在該年度內在美國居留的天數，與其在前一年度內居留天數的三分之一及再前一個年度內居留天數的六分之一的總和，相等於或超過 183 天。	

3. Anticipated Level of Transactions per month section 預計每月交易概況

Anticipated Investments Products 預計投資產品	<input type="checkbox"/> Stocks 證券	<input type="checkbox"/> Mutual funds or Bonds 單位信托基金或債券	<input type="checkbox"/> CBBC / Warrants 牛熊證或窩輪	<input type="checkbox"/> None 沒有
Anticipated Number of Transactions Per month 預計每月交易次數	<input type="checkbox"/> ≤20 <input type="checkbox"/> 20-50 <input type="checkbox"/> ≥50 <input type="checkbox"/> Others _____ 其它	Anticipated Amount of Transactions Per Month (HKD) 預計每月交易金額(港幣)	<input type="checkbox"/> ≤HKD500,000 <input type="checkbox"/> HKD500,001 - HKD2,000,000 <input type="checkbox"/> HKD2,000,001 - HKD5,000,000 <input type="checkbox"/> ≥HKD5,000,000 <input type="checkbox"/> Others _____ 其它	

4. Other Disclosure 其他資料披露

<p>Are you an employee of any participant of The Stock Exchange of Hong Kong or a registered person under the Securities and Futures Ordinance? 你是否香港聯合交易所參與者之僱員或任何根據證券及期貨條例的註冊人士?</p> <p><input type="checkbox"/> No 否</p> <p><input type="checkbox"/> Yes, Participant Name _____ Position : _____ CE No. is _____ 是，參與者名稱 職位 中央編號</p>		
<p>Are you a relative or related to director(s) or employee(s) of Elstone Securities Limited or any of its related company? 你是否與千里碩證券有限公司或其相關公司之董事或職員有親戚關係或關連?</p> <p><input type="checkbox"/> No 否</p> <p><input type="checkbox"/> Yes, Staff Name _____ Relationship _____ 是，職員名稱 關係</p>		
<p>Does your spouse have a margin account with Elstone Securities Limited? 你的配偶是否持有千里碩證券有限公司的保證金證券戶口?</p> <p><input type="checkbox"/> No 否</p> <p><input type="checkbox"/> Yes, Account Name _____ Account No _____ 是，戶口名稱 戶口編號</p>		
<p>Do you control, either alone or with your spouse, 35% or more of the voting rights of another margin client of Elstone Securities Limited? 你是否單獨或與配偶共同控制千里碩證券有限公司其他保證金客戶之百分之三十五或以上的投票權?</p> <p><input type="checkbox"/> No 否</p> <p><input type="checkbox"/> Yes, Account Name _____ Account No _____ 是，職員名稱 戶口編號</p>		
<p>Are you or your immediate family members politically exposed person ("PEP"), a person connected with PEP, senior government official or senior executive of a state-owned corporation? 你或你的直系親屬是否政治人物或與其有關連人士，高級政府官員或國有企業高級行政人員?</p> <p><input type="checkbox"/> No 否</p> <p><input type="checkbox"/> Yes, please specify _____ 是，請述明具體</p>		
<p>Have you been arrested/tried/sentenced/disciplined for illegal activities or violating regulatory requirements? 你是否曾經涉及違法或違反監管守則而被捕/受審/被判刑/被紀律處分?</p> <p><input type="checkbox"/> No 否</p> <p><input type="checkbox"/> Yes, please specify _____ 是，請述明具體</p>		
<p>Are you the ultimate beneficial owner ("UBO") of this Account / Person Ultimately Benefiting from the transactions and bearing the risk? 你是否戶口之最終實益擁有人士/最終受益於交易及承擔風險人士?</p> <p><input type="checkbox"/> Yes 是</p> <p><input type="checkbox"/> No (If no, please complete Section 5. 否 (如否，請填寫第五部份)</p>		
<p>Are you the Person Ultimately Responsible for Originating Instructions for the Account? 你是否向戶口之最終負責發出指示的人士?</p> <p><input type="checkbox"/> Yes 是</p> <p><input type="checkbox"/> No (If no, please complete Section 5. 否 (如否，請填寫第五部份)</p>		

5. Ultimate Beneficial Owner/Person Ultimately Benefiting from the transactions and Bearing the Risks/Person Ultimately Responsible for Originating Instructions for the Account
最終實益擁有人／最終受益於交易及承擔風險人士／最終負責發出指示的人士

<input type="checkbox"/> Ultimate Beneficial Owner 最終實益擁有人		<input type="checkbox"/> Person Ultimately Benefiting from the transactions and bearing the risk 最終受益於交易及承擔風險人士		<input type="checkbox"/> Person Ultimately Responsible for Originating Instructions for the Account 最終負責發出指示的人士	
<input type="checkbox"/> Mr.先生 <input type="checkbox"/> Mrs.夫人 <input type="checkbox"/> Ms 女士		Last Name (English) 英文姓		First Name (English) 英文名	
				Chinese Name 中文姓名	
ID No. 身份證號碼		Place of Issue of ID card 身份證簽發地點		Passport No. 護照號碼	
				Place of Issue of Passport 護照簽發地點	
Residential Address 住宅地址					
(Country 國家 Postal Code 郵編)					
Correspondence Address (If different from Residential address) 通訊地址(如與住宅地址不同)					
(Country 國家 Postal Code 郵編)					
(Country Code) Home Phone No. () (國家區號) 住宅電話			(Country Code) Mobile Phone No. () (國家區號) 流動電話		
Education Level <input type="checkbox"/> Primary <input type="checkbox"/> Secondary <input type="checkbox"/> College <input type="checkbox"/> Graduate or above 學歷程度 小學 中學 大專 大學或以上					

6. Bank Account Information (For fund deposit and fund withdrawal only)
戶口資料 (只供存款及提款用途)

Bank Name 銀行名稱	
Account Name 戶口持有人姓名	Account No 戶口編號
Account Type <input type="checkbox"/> Savings 儲蓄 <input type="checkbox"/> Current 往來 <input type="checkbox"/> Others 其它 戶口類別	

7. Correspondence 郵寄通訊

Preferred mailing method (please select either one) 請選擇您的通訊方式 (只選一項)		
<input type="checkbox"/> Residential Address 住宅地址	<input type="checkbox"/> Correspondence Address 通訊地址	<input type="checkbox"/> E-mail Address 電郵地址

8. Declaration by Client 客戶聲明

<p>The information contained in this Account Opening Information Form is true and accurate. Elstone Securities Limited("ESL") is entitled to rely fully on such information and representations for applicable purposes (including any change hereof in writing as received by ESL). ESL is authorized at any time to contact anyone, including your banks, brokers or any credit agency, for the purpose of verifying the information provide on this Account Opening Information Form.</p> <p>本開戶表的資料均屬真實及正確。千里碩證券有限公司(“千里碩”)完全可以依靠這些資料及陳述作適當用途(包括任何收到書面通知的更新客戶資料)。客戶授權千里碩可在任何時間聯絡任何人，包括客戶的銀行、經紀等或任何信貸機構，藉以確定及查證本開戶表內的資料。</p>
<p>I/We the undersigned Client(s), confirm that prior to engagement of any of Elstone Securities Limited("ESL") service(s), have read and understood the provisions of the current version of the Client Master Agreement of ESL ("Agreement") of which this document forms a part. I/We hereby apply to open the above type of account(s) and agree to be bound by the Agreement including its General Terms and Conditions and all other relevant Schedule(s) as the same may be amended form time to time. I/We acknowledged and confirm that ESL has provided the Risk</p>

<p>Disclosure Statements annexed hereto in a language of my/our choice (Chinese/English) and I/We have been invited to read the Risk Disclosure Statements, to ask questions and take independent advice if I/We wish.</p> <p>本人/吾等，下述簽署客戶/聯名客戶，明白使用任何千里碩證券有限公司(“千里碩”)之服務前，當已閱讀及明白千里碩最新版本的客戶綜合協議書(“該協議書”)而本文件乃該協議書的一部份。本人/吾等現申請開立上述類別的帳戶，並同意接受可不時被修改的該協議書包括其一般條款及有關的附表所約束。本人/吾等確認已獲提供按本人/吾等選擇的語言(中文/英文)附於本表之風險披露聲明，並提出問題及徵求獨立的意見(如本人/吾等有此意願)。</p>	
<p>I/We hereby confirm that the above information on structured and derivative Products knowledge provided is true and complete. I/We also understand that Elstone Securities Limited will rely on the above information provided to assess whether I/We have acquired knowledge of structured and derivative products, in order to comply with relevant requirements of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.</p> <p>本人/吾等確認對結構性及衍生產品之認識資料完全真實及完整，並明白千里碩證券有限公司將根據上述資料界定本人/吾等是否擁有對結構性及衍生產品之認識，以符合證券及期貨事務監察委員會持牌人或註冊人操守準則之有關要求。</p>	
<p>I/We understand that the term "U.S. person" means any citizen or resident of the United States.</p> <p>本人/吾等明白所謂「美國人」是指任何美國公民或居民。</p> <p>I/We understand that the information supplied by me is covered by the full provisions of the terms and conditions governing the Account Holder's relationship with Elstone Securities Limited ("ESL") setting out how ESL may use, share, transfer and retain the information supplied by me.</p> <p>本人/吾等明白及同意本人所提供的資料可按照帳戶持有人與千里碩證券有限公司(「千里碩」)簽訂的客戶協議所載的條款和條件而使用、分享、轉交及保存。</p> <p>I/We acknowledge that the information contained in this form and information regarding the Account Holder and any Reportable Account(s) may be provided to the tax authorities of the country/jurisdiction in which this account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which the Account Holder may be tax resident pursuant to intergovernmental agreements to exchange financial account information.</p> <p>本人/吾等承諾本表格中包含的資料以及有關帳戶持有人和任何須予申報帳戶的資料可以提供予與保持該帳戶的國家 / 司法管轄區的稅務機關，及與另一個國家 / 司法管轄區或根據政府間協議帳戶持有人可能是稅務居民的國家 / 司法管轄區的稅務機關交換財務帳戶資料。</p> <p>I/We certify that I am the Account Holder (or am authorised to sign for the Account Holder) of all the account(s) to which this form relates.</p> <p>本人/吾等證明，就與本表格所有相關的帳戶，本人是帳戶持有人(或是獲帳戶持有人授權簽署代表)。</p>	
<p>I/We declare that the information provided in and all statements made in this form are, to the best of my knowledge and belief, correct, accurate and complete.</p> <p>本人/吾等聲明盡本人所知及確信，此表格所提供的所有資料和聲明均屬真實、準確及完整。</p> <p>I/We undertake to advise ESL of any change in circumstances which affects the tax residency status of the individual identified in Part 2 of this form or causes the information contained herein to become incorrect or incomplete, and to provide ESL with a suitably updated self-certification and Declaration within 30 days of such change in circumstances.</p> <p>本人/吾等承諾，如情況有所改變，以致影響本表格第2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或不完整，本人會通知千里碩，並會在情況發生改變後30日內，向千里碩提交一份已適當更新表格。</p>	
<p>Individual/Primary Joint Account Holder's Signature 個人/主要帳戶持有人簽署</p> <div style="border: 1px solid black; height: 120px; margin: 10px 0;"></div> <p>Client Name 客戶姓名 Date 日期</p>	<p>Secondary Joint Account Holder's Signature 聯名帳戶客戶簽署第二持有人簽署</p> <div style="border: 1px solid black; height: 120px; margin: 10px 0;"></div> <p>Client Name 客戶姓名 Date 日期</p>

9. Specimen Signature 簽名式樣

<p>Specimen Signature 簽名式樣 Individual/Primary Joint Account Holder's Signature 個人/主要帳戶持有人簽署</p> <div style="border: 1px solid black; height: 100px; width: 100%;"></div> <p>Client Name 客戶姓名 Date 日期</p>	<p>Secondary Joint Account Holder's Signature 聯名帳戶客戶簽署第二持有人簽署</p> <div style="border: 1px solid black; height: 100px; width: 100%;"></div> <p>Client Name 客戶姓名 Date 日期</p>
<p>(For Joint Account only 聯名戶口適用) Any <input type="text"/> of the above may operate the account 任何 <input type="text"/> 人可操作此戶口</p>	

注意 Note :

- Client can select home address, office address or e-mail address as all the statements will be sent to this address. P.O. Boxes are not accepted.
客戶可選擇以住宅地址、辦公室地址或電郵地址收取戶口帳單。郵政信箱恕不接受。
- Any deletion or amendment on this form must be initialed by all account holders.
在本申請表上任何修改或刪除必須由客戶簽署作實。
- Third-party cheques cannot be used to settle any transaction and do not allow third party to collect physical stock.
不許以第三者支票交收及不接受第三者提取股票。
- If this document is not executed by the Client in front of Elstone's staff, client should send Elstone a personal cheque bearing your name shown in your identity document and drawn on your account with a licensed bank in Hong Kong with your same signature(s) as shown on this Form in favour of "Elstone Securities Limited" for not less than HK\$10,000 (cash account) or HK\$50,000 (margin account).如開戶文件並非在千里碩的僱員面前簽立，客戶必須交給千里碩由客戶在香港的持牌銀行開立的戶口所簽發(該簽名須與此開戶表格上的客戶簽署相符)並載有客戶在身份證明文件上所顯示的姓名的個人支票，而該支票金額不得少於 10,000 港元 (現金戶口) 或 50,000 港元 (保證金戶口)，抬頭人須為"千里碩證券有限公司"。

10. Declaration By Staff 職員聲明

<p>I have fully explained the contents of the risk disclosure statement to _____ (Name of client) in a language (Chinese/English) which the client(s) fully understand(s) and have invited the client(s) to read of the Client Master Agreement - Risk Disclosure Statement, ask(s) questions and take independent advice if required. 我已經按客戶明白的語言(中文/英文)向 _____ (客戶姓名)提出問題及徵求獨立的意見，並已邀請客戶閱讀客戶綜合協議書內第四部份的風險披露聲明，清楚解釋風險披露聲明書的內容(如客戶有此意願)。</p>	
<p>Signed by licensed representative 持牌代表簽署</p> <div style="border: 1px solid black; height: 100px; width: 100%;"></div> <p>Date 日期</p>	<p>Full name of Licensed Person (in block letters) 持牌人之全名 (以正楷填寫)</p> <div style="border: 1px solid black; height: 100px; width: 100%;"></div> <p>CE No. 中央編號</p>

Document check list 文件清單

<input type="checkbox"/> Certified Copy of Primary (and Joint) Client's Identity Card or Passport 核證個人(及聯名)戶口持有人的身份證或護照副本 <input type="checkbox"/> Copy of bank statement or utility bill with the name of the Client printed thereon within the last 3 months as the proof of residential address 列有客戶名字的最近三個月的銀行賬單或水、電、煤氣費單副本作為住址證明 <input type="checkbox"/> (For authorized person) Certified true copy of Identity Card or Passport (if applicable) (如屬授權人士) 身份證或護照核證副本(如適用) <input type="checkbox"/> Employer consent letter (if applicable) 僱主書面同意書(如適用) <input type="checkbox"/> Others 其它
--

Client Information and Document Check By 客戶資料及文件查核

AE Name 客戶主任姓名	AE Code 客戶主任編號	Date 日期
-------------------	-------------------	------------

Margin and Credit Limit and Commission Rate 信貸及佣金

Margin Limit 保證金額	Credit Limit 信貸額:
Commission Rate(%) 佣金(%):	Minimum(HK\$) 最低佣金(HK\$):

Account Opening Approval 開戶批核

Name of Staff 職員姓名	Signature of Staff 職員簽署	Position 職位
Remarks 備註		