

Serial No: COR



內部專用 For Internal Use Only	
Account Effective Date :	
Account No. (Sec. & Margin) :	
Sub-account No.:	1001 / 1008 / 1002 / 1009 / 1005
Account No. (Futures) :	
Account Name :	
A.E. Code :	
Name of A.E.:	

京華山一國際 (香港) 有限公司 (“京華山一國際”)
Core Pacific - Yamaichi International (H.K.) Limited ("CPYI")
京華山一證券 (香港) 有限公司 (“京華山一證券”)
Core Pacific - Yamaichi Securities (H.K.) Limited ("CPYS")
京華山一期貨 (香港) 有限公司 (“京華山一期貨”)
Core Pacific - Yamaichi Futures (H.K.) Limited ("CPYF")

香港中環皇后大道中183號新紀元廣場
中遠大廈36樓
36th Floor, Cosco Tower, Grand Millennium
Plaza, 183 Queen's Road Central, Hong Kong
電話 Tel : 2826 0700
傳真 Fax : 2918 1132

京華山一國際經營證券交易業務，亦屬根據證券及期貨條例下獲授權經營第1類（證券交易）及第4類（就證券提供意見）受規管活動（CE編號AAG436）。CPYI carries on the business of dealing in securities and is licensed to carry on Type 1 (dealing in securities) and Type 4 (advising on securities) regulated activities under the Securities and Futures Ordinance (CE no. AAG436).

京華山一證券經營證券交易業務，亦屬根據證券及期貨條例下獲授權經營第1類（證券交易）受規管活動（CE編號ABH177），及為香港聯合交易所有限公司的交易所參與者。

CPYS carries on the business of dealing in securities and is licensed to carry on Type 1 (dealing in securities) regulated activity under the Securities and Futures Ordinance (CE no. ABH177) and is an Exchange Participant of The Stock Exchange of Hong Kong Limited.

京華山一期貨經營期貨/期權合約交易業務，亦屬根據證券及期貨條例下獲授權經營第2類（期貨合約交易）受規管活動（CE編號ABY048），及為香港期貨交易所有限公司之期貨代理商（MEM 128）。

CPYF carries on the business of trading in futures/options contracts and is licensed to carry on Type 2 (dealing in futures contracts) regulated activity under the Securities and Futures Ordinance (CE no. ABY048) and is a Futures Commission Merchant of Hong Kong Futures Exchange Limited (MEM 128)

本開戶表格及據閣下選擇語言所簽署的文件(如有的話)，均擬為閣下與京華山一國際及/或京華山一證券及/或京華山一期貨之間訂立法律關係。在簽署本開戶表格之前，謹請諮詢閣下之法律、稅務及財務顧問。

This Account Opening Form and the documents (if any) to be signed under it in a language of your choice are intended to create legal relations between you and CPYI and/or CPYS and/or CPYF. You should therefore consult your own legal, tax and financial advisers prior to signing.

開戶表格 (公司帳戶)

ACCOUNT OPENING FORM (Corporate Account)

帳戶種類 (可✓超過一項):
Type of account (✓one or more):

- | | | |
|---|--|--|
| <input type="checkbox"/> 現金帳戶 – 京華山一國際
Cash Account – CPYI | <input type="checkbox"/> 保證金帳戶 – 京華山一國際
Margin Account – CPYI | <input type="checkbox"/> 期貨帳戶 – 京華山一期貨
Futures Account – CPYF |
| <input type="checkbox"/> 現金帳戶 – 京華山一證券
Cash Account – CPYS | <input type="checkbox"/> 保證金帳戶 – 京華山一證券
Margin Account – CPYS | |

開戶總數:
Total number of Account(s) to be opened:

選用電子交易服務帳戶:
Account(s) requiring CPYe Service:

<input type="checkbox"/> 不需要 Not required	<input type="checkbox"/> 需要 Required	<input type="checkbox"/> 現金 Cash	<input type="checkbox"/> 保證金 Margin	<input type="checkbox"/> 期貨 Futures
---	--------------------------------------	----------------------------------	-------------------------------------	-------------------------------------

選用股票期權買賣服務:
Account(s) requiring trading
of Stock Options:

<input type="checkbox"/> 不需要 Not required	<input type="checkbox"/> 需要 Required
---	--------------------------------------

A. 聲明及同意
Declaration and Agreement

以下簽署人（其資料已載於本開戶表格 B 部份）（“客戶”），同意按照本開戶表格及交易帳戶條款及條件（“帳戶條款及條件”）內列載適用於客戶申請開立的有關類別帳戶的一切有關條款，在京華山一國際及／或京華山一證券及／或京華山一期貨開立上述帳戶。

The undersigned (whose particulars are set out in Part B of this Account Opening Form) (the “Client”), agrees to open the above Account(s) with CPYI and/or CPYS and/or CPYF on all the provisions of this Account Opening Form and the Terms and Conditions for Trading Accounts (the “Terms and Conditions”) applicable to the type of Account(s) that the Client applies to open.

倘簽署本部份，客戶即聲明、同意及確認如下：

By signing this Part, the Client declares, agrees and confirms that:

- (i) 本開戶表格 A 至 G 部份提供的資料，均為完整、真實及準確。京華山一國際及／或京華山一證券及／或京華山一期貨（如適用）有權基於一切目的而完全倚賴有關陳述及資料，除非客戶以書面通知京華山一國際及／或京華山一證券及／或京華山一期貨（如適用）有關資料有任何改變，則作別論；
the information provided in Parts A to G of this Account Opening Form is complete, true and accurate. CPYI and/or CPYS and/or CPYF (as applicable) is entitled to rely fully on such representations and information for all purposes, unless the Client informs CPYI and/or CPYS and/or CPYF (as applicable) in writing of any change to that information;
- (ii) 客戶已閱讀、明白，和確認及同意本開戶表格及帳戶條款及條件(可隨時作出修改)內，有關與京華山一國際及／或京華山一證券及／或京華山一期貨（如適用）申請開立的有關類別帳戶之一切有關條款，並同意接受其約束；
the Client has read, understood and confirmed, and agrees and accepts to be bound by all the provisions of this Account Opening Form and the Terms and Conditions (as amended from time to time) applicable to the type of Account(s) that the Client applies to open with CPYI and/or CPYS and/or CPYF (as applicable);
- (iii) 帳戶條款及條件之相關及適用部份已以客戶明白之語言向客戶作出充份解釋；
the contents of the relevant and applicable parts of the Terms and Conditions have been fully explained to the Client in a language which the Client understands;
- (iv) 如客戶用中文填寫此開戶表格及／或已閱讀帳戶條款及條件的中文版本，客戶知悉條文的詮釋以英文版本為準，客戶亦同時放棄其索取帳戶條款及條件英文版本的權利；及
where the Client has completed this Account Opening Form in Chinese and/or read the Chinese version of the Terms and Conditions, the Client is aware that the English version of the same prevails over the Chinese version and the Client waives his right to ask for a copy of the English version of the Terms and Conditions; and
- (v) 客戶已閱讀並明白京華山一國際或京華山一證券或京華山一期貨於帳戶條款及條件中之個人資料政策的部份，同意及接受其條款。
the Client has read and understood the Personal Data policy of CPYI, CPYS or CPYF as contained in the Terms and Conditions, and agrees and accepts to its terms.

客戶簽署 (蓋上公司印章) :

Client Signature (with company chop) :

日期 Date :

Serial No: COR

以下簽署人*特此核證如下：

The undersigned* hereby certifies:

- (i) 客戶簽署本開戶表格；及
the signing of this Account Opening Form by the Client; and
- (ii) 見證客戶的有關身份證明文件。
the sighting of the related identity documents of the Client.

核准及接納 Approved and accepted by:

京華山一國際（香港）有限公司／
Core Pacific – Yamaichi International (H.K.) Limited /
京華山一證券（香港）有限公司／
Core Pacific – Yamaichi Securities (H.K.) Limited /
京華山一期貨（香港）有限公司
Core Pacific – Yamaichi Futures (H.K.) Limited

見證人簽署 Signature of Witness

授權簽署 Authorised Signature

日期 Date:

日期 Date:

見證人姓名：

Full Name of Witness:

授權人士姓名：

Full Name of Authorised Person:

職業 Occupation:

B. 客戶資料 Client Information

(1) 公司資料 Corporate Information

客戶名稱：(英文) Client Name: (English)	(中文) (Chinese)				
客戶營業名稱： Trading Name of Client: (若與上述名稱不同) (if different from above)	業務性質： Business Nature:				
團體性質： Nature of Entity: (只可✓一項) (✓ one only)	<input type="checkbox"/> 上市公司 Listed Company	<input type="checkbox"/> 非上市公司 Unlisted Company	<input type="checkbox"/> 獨資經營 Sole Proprietorship	<input type="checkbox"/> 合夥經營 Partnership	<input type="checkbox"/> 其他 (請說明)： Others (Please specify):
註冊地址： Registered Address:					
營業地址： Business Address: (若與上述地址不同) (if different from above)					
郵遞地址： Mailing Address: (若與上述地址不同) (if different from above)					
設立所在國： Country of Establishment:	設立日期： Establishment Date:	註冊號碼： Incorporation No.:	商業登記號碼： Business Registration No.:		
電話號碼 (1)： Telephone No. (1):	電話號碼 (2)： Telephone No. (2):	傳真號碼： Fax No.:	電傳號碼： Telex No.:		
電郵地址： E-mail Address:					

* 如本開戶表格並非當面於京華山一國際、京華山一證券或京華山一期貨的員工簽署，則本開戶表格必須由 (a) 獲證券及期貨事務監察委員會（“證監會”）發牌或註冊人士；(b) 獲證監會發牌或註冊人士之聯繫人士；(c) 太平紳士；或(d) 專業人士例 如銀行分行經理、執業會計師、律師或公證人核證其簽名。

Where this Account Opening Form is not executed in the presence of an employee of CPYI, CPYS or CPYF the signing of this Account Opening Form must be certified by: (a) a person licensed by or registered with the Securities and Futures Commission (“SFC”); (b) an affiliate of a person licensed by or registered with the SFC; (c) a Justice of the Peace; or (d) a professional person such as a branch manager of a bank, a certified public accountant, a lawyer or a notary public.

(2) 董事資料 Particulars of Director(s)			
姓名 Name	居住地址 Residential Address	香港身份證 / 護照號碼 HKID / Passport No.	
1.			
2.			
3.			

(3) 獨資經營者 / 合夥人 / 最終股東個人資料 (不適用於上市公司) Particulars of Sole Proprietor / Partner(s) / Ultimate Shareholder(s) (Individual) (N/A to listed co.)			
姓名 Name	居住地址 Residential Address	擁有% % owned	
1.			
2.			
3.			

(4) 財務資料 (監管機構規定) Financial Information (Regulatory Requirements)			
總資產 (估算): Total Assets (Estimate):		總負債 (估算): Total Liabilities (Estimate):	
繳足股本: Paid up Share Capital:		最新年度溢利: Latest Annual Profits:	
財富來源: Source of Wealth:	<input type="checkbox"/> 營業溢利 Trading Profits <input type="checkbox"/> 服務收入 Service Income	<input type="checkbox"/> 生產利潤 Manufacturing Profits <input type="checkbox"/> 租金收入 Rental Income	<input type="checkbox"/> 股息 / 利息收入 Dividend / Interest Income <input type="checkbox"/> 其他 (請述明): Others (Please specify):
(可 ✓ 超過一項) (✓ one or more)			

(5) 披露關連帳戶 (監管機構規定) Disclosure of Related Account(s) (Regulatory Requirements)	
客戶之集團公司是否京華山一國際及 / 或京華山一證券之客戶? Is any of the Client's group companies a client of CPYI and/or CPYS?	
<input type="checkbox"/> 不適用 N/A	
<input type="checkbox"/> 否 No	
<input type="checkbox"/> 是, 客戶之集團公司資料如下: Yes, details of Client's group companies are:	
帳戶持有人名稱: Name of Account Holder:	帳戶編號: Account No.:

C. 一般帳戶資料

General Account Information

(1) 交易確認書及通訊送交 (只可 ✓ 一項) Trade confirmations and correspondence to be sent to (✓ one only)					
<input type="checkbox"/> 註冊地址 Registered Address	<input type="checkbox"/> 電郵地址 E-mail address	<input type="checkbox"/> 營業地址 Business Address	<input type="checkbox"/> 郵遞地址 Mailing Address	<input type="checkbox"/> 其他(請說明): Others (Please specify)	

(2) 投資目標及經驗 (監管機構規定) (可 ✓ 超過一項) Investment Objective and Experience (Regulatory Requirements) (✓ one or more)					
投資目標: Investment Objective:	<input type="checkbox"/> 資本增值 Capital Preservation	<input type="checkbox"/> 對沖 Hedging	<input type="checkbox"/> 收入 Income	<input type="checkbox"/> 投機 Speculation	<input type="checkbox"/> 其他(請說明): Others (Please specify):
投資經驗: Investment Experience:	<input type="checkbox"/> 期貨/期權 Futures / Options	<input type="checkbox"/> 股票 Stock	<input type="checkbox"/> 債券/基金 Bonds / Funds	<input type="checkbox"/> 無 Nil	<input type="checkbox"/> 其他(請說明): Others (Please specify):
年數 Number of Year(s)	[]	[]	[]	[]	[]

(3) 披露身份 Disclosure of Identity	
客戶聲明及確認如下(請於適當處 ✓): The Client declares and confirms that (please ✓ as appropriate):	
(i) <input type="checkbox"/> 客戶乃帳戶之最終實益擁有人; 或 the Client is the ultimate beneficial owner of the Account(s); or	
<input type="checkbox"/> 客戶並非帳戶之最終實益擁有人。最終實益擁有人如下: the Client is not the ultimate beneficial owner of the Account(s). The ultimate beneficial owner(s) is/are:	
姓名: Name:	身份證/護照/公司註冊號碼/商業登記號碼: I.D./Passport No./Incorporation No./B.R. No.:
地址: Address:	電話號碼: Telephone No.:
(ii) <input type="checkbox"/> 客戶不是獲證券及期貨事務監察委員會(“證監會”)發牌或註冊人士或該人士之董事或僱員; 或 the Client is not a person, or director or employee of a person, licensed by or registered with the Securities and Futures Commission (“SFC”); or	
<input type="checkbox"/> 客戶乃是證監會發牌或註冊人士或其董事或僱員, 而有關於持牌或註冊人士資料如下: the Client is a person, or director or employee of a person, licensed by or registered with the SFC, and the person licensed by or registered with the SFC is:	
持牌或註冊人士姓名/名稱: Name of licensed or registered person:	
請提供客戶僱主的同意信。 Please attach consent letter from the employer of the Client.	

(4) 法律程序文件代理人 (只適用於海外客戶) Process Agent (For Overseas Client only)		
姓名/名稱: (英文) Name: (English)	(中文) 姓名: (Chinese) Full name:	
香港地址: Address in Hong Kong:		
電郵地址: E-mail Address:	電話號碼: Telephone No.:	傳真號碼: Fax No.:

(5)	銀行帳戶資料 Bank Account Information	
(i)	港元帳戶 Hong Kong Dollar Account	
	<p>客戶指示下列於香港註冊銀行開設的港元帳戶為港元結算銀行帳戶。京華山一國際、京華山一證券及／或京華山一期貨須支付客戶的款項，請以支票或轉帳形式存入該銀行帳戶，一切費用及風險均由客戶承擔。</p> <p>The Client instructs that the following Hong Kong dollar account of a Hong Kong licensed bank will be used as the settlement bank account for Hong Kong dollar. Payment due from CPYI and/or CPYS and/or CPYF to the Client shall, at the cost and risk of the Client, be settled by depositing a cheque into or transferring payment to the said bank account.</p>	
	銀行名稱： Bank :	帳戶持有人名稱： Account Name :
		帳戶號碼： Account No. :
(ii)	外幣帳戶 Foreign Currency Account	
	<p>客戶指示下列外幣銀行帳戶為該外幣結算銀行帳戶。京華山一國際、京華山一證券及／或京華山一期貨須支付客戶的款項，請以支票或轉帳形式存入該銀行帳戶，一切費用及風險均由客戶承擔。</p> <p>The Client instructs that the following foreign currency bank account will be used as the settlement bank account for that foreign currency. Payment due from CPYI and/or CPYS and/or CPYF to the Client shall, at the cost and risk of the Client, be settled by depositing a cheque into or transferring payment to the said bank account.</p>	
	貨幣： Currency :	銀行 SWIFT 代號： SWIFT Code :
	銀行名稱： Bank Name :	銀行地址 Bank Address :
	分行名稱： Branch Name :	帳戶持有人名稱： Account Name :
	帳戶號碼： Account Number :	中介銀行： Intermediary Bank :
	備註： Remarks:	中介銀行 SWIFT 代號： SWIFT Code of Intermediary Bank :

Serial No: COR

D. 帳戶操作 Account Operation

印章或印鑑式樣 Specimen Chop or Seal

(i) 交易指示 Trading Instruction

簽署式樣 Specimen Signature	簽署式樣 Specimen Signature	簽署式樣 Specimen Signature
姓名： Name:	姓名： Name:	姓名： Name:
香港身份證／護照號碼： HKID/Passport No.:	香港身份證／護照號碼： HKID/Passport No.:	香港身份證／護照號碼： HKID/Passport No.:
稱號 / 職銜： Title / Position:	稱號 / 職銜： Title / Position:	稱號 / 職銜： Title / Position:

上述任何.....人可簽署及 / 或進行證券及 / 或期貨交易。
Any of the above may sign and/or effect securities and/or futures transaction(s).

(ii) 交收指示 Settlement Instruction

簽署式樣 Specimen Signature	簽署式樣 Specimen Signature	簽署式樣 Specimen Signature
姓名： Name:	姓名： Name:	姓名： Name:
香港身份證／護照號碼： HKID/Passport No.:	香港身份證／護照號碼： HKID/Passport No.:	香港身份證／護照號碼： HKID/Passport No.:
稱號 / 職銜： Title / Position:	稱號 / 職銜： Title / Position:	稱號 / 職銜： Title / Position:

上述任何.....人可簽署及為證券 / 期貨進行支付、提取及 / 或轉帳事宜。
Any of the above may sign and/or effect payment, withdrawal and/or transfer transaction(s) for securities/futures.

就上述授權人士 / 簽署人而言，京華山一國際、京華山一證券及 / 或京華山一期貨有權假定任何上述有關人士具有全面及不受限制之權力及授權，可代客戶執行上文所列作為，並無任何責任核實有關人士的指示或身份是否真確。客戶同意受上述人士代客戶所發出的指示約束。

With respect to the above authorised persons / signatories, CPYI, CPYS and/or CPYF shall be entitled to assume that any of them has full and unrestricted powers and authority to perform the acts listed above on behalf of the Client and shall not be under any duty to verify the authenticity of the instructions or identity of such person(s). The Client agrees to be bound by instructions given on behalf of the Client by the above person(s).

E. 擔保書(如適用)
Guarantee (if applicable)

注意：簽訂以下擔保書之前，客戶和擔保人應尋求法律或其他專業意見。擔保書須在全面明白及接受帳戶條款及條件內名為“擔保書”之部份方應簽訂。

NOTICE: Before executing the Guarantee, the Client and the Guarantor should seek legal or other professional advice. The Guarantee should only be executed upon full understanding and acceptance of the terms and conditions contained in the section named “Guarantee” of the Terms and Conditions.

基於京華山一國際及／或京華山一證券及／或京華山一期貨同意為客戶開立及／或繼續維持有關帳戶，或將貸款授予及／或繼續授予客戶、將信貸給予客戶或向客戶提供融資，客戶及以下簽署人（“擔保人”）特此根據帳戶條款及條件內名為“擔保書”之部份列載之有關條款及條件，共同及各別（如擔保人超過一名人士），無條件及不可撤銷地藉向京華山一國際及／或京華山一證券及／或京華山一期貨承擔義務方式，以主要義務人身份擔保客戶妥為遵從及履行本開戶表格及帳戶條款及條件內所載之所有協議、承諾、條款及條件。客戶及擔保人亦同意向京華山一國際、京華山一證券及／或京華山一期貨（如適用）提供此開戶表格 G 部份列載之文件。

In consideration of CPYI and/or CPYS and/or CPYF agreeing to open and/or continue to maintain relevant Account(s) for or to grant and/or continue to grant advances, give credit or provide facilities, to the Client, the Client and the undersigned (the “Guarantor”), hereby jointly and severally (if there is more than one Guarantor), unconditionally and irrevocably guarantee by way of continuing obligation to CPYI and/or CPYS and/or CPYF as primary obligors the due observance and performance by the Client of all agreements, undertakings, terms and conditions contained in this Account Opening Form and the Terms and Conditions upon the terms and conditions of the section named “Guarantee” of the Terms and Conditions. The Client and the Guarantor also agree to provide CPYI, CPYS and/or CPYF (as applicable) the documents set out in Part G of this Account Opening Form.

擔保人共同及各別(如擔保人超過一名人士)聲明、同意及確認如下：

The Guarantor hereby jointly and severally (if there is more than one Guarantor) declares, agrees and confirms that :

- (i) 本開戶表格內填寫的資料，均為完整、真實及準確。京華山一國際及／或京華山一證券及／或京華山一期貨（如適用）有權基於一切目的而完全倚賴有關陳述及資料，除非擔保人以書面通知京華山一國際及／或京華山一證券及／或京華山一期貨（如適用）有關資料有任何改變，則作別論；
the information provided in this Account Opening Form is complete, true and accurate. CPYI and/or CPYS and/or CPYF (as applicable) is entitled to rely fully on such representations and information for all purposes, unless the Guarantor informs CPYI and/or CPYS and/or CPYF (as applicable) in writing of any change to that information;
- (ii) 擔保人已閱讀、明白、和確認及同意本開戶表格及帳戶條款及條件(可隨時作出修改及特別是帳戶條款及條件內名為“擔保書”之部份)，有關客戶與京華山一國際及／或京華山一證券及／或京華山一期貨（如適用）開立的有關類別帳戶及此部份之擔保書之一切有關條款，並同意接受其約束；
the Guarantor has read, understood and confirmed, and agrees and accepts to be bound by all the provisions of this Account Opening Form and the Terms and Conditions (as amended from time to time and in particular the section named “Guarantee” of the Terms and Conditions) applicable to the type of Account(s) that the Client agrees to open with CPYI and/or CPYS and/or CPYF (as applicable) and applicable to the guarantee provided herein;
- (iii) 帳戶條款及條件(特別是帳戶條款及條件內名為“擔保書”之部份)相關及適用部份已以擔保人明白之語言向擔保人作出充份解釋；
the contents of the relevant and applicable parts of the Terms and Conditions (in particular the section named “Guarantee” of the Terms and Conditions) have been fully explained to the Guarantor in a language which the Guarantor understands;
- (iv) 如擔保人用中文填寫本開戶表格 E 部份及／或已閱讀帳戶條款及條件的中文版本，擔保人知悉條文的詮釋以英文版本為準，擔保人亦同時放棄其索取帳戶條款及條件英文版本的權利；及
where the Guarantor has completed Part E of the Account Opening Form in Chinese and/or read the Chinese version of the Terms and Conditions, the Guarantor is aware that the English version of the same prevails over the Chinese version and the Guarantor waives his right to ask for a copy of the English version of the Terms and Conditions; and
- (v) 擔保人已閱讀並明白京華山一國際或京華山一證券或京華山一期貨於帳戶條款及條件中之個人資料政策的部份，同意及接受其條款。
the Guarantor has read and understood the Personal Data policy of CPYI, CPYS or CPYF as contained in the Terms and Conditions, and agrees and accepts to its terms.

擔保人姓名：
Name of Guarantor:

擔保人簽署、蓋印及交付/蓋上擔保人之法團印章及由其授權人簽署
Signed, Sealed and Delivered by the Guarantor / Sealed with the Seal of the Guarantor and Signed by its authorized signatory

香港身份證／護照／公司註冊號碼／商業登記號碼：
HKID/Passport No./Incorporation No./B.R. No.:

電話號碼：
Telephone No.:

傳真號碼：
Fax No.:

日期：
Date:

居住／註冊地址：
Residential/Registered Address:

Serial No: COR

法律程序文件代理人 (僅海外擔保人適用) Process Agent (For Overseas Guarantor only)		
姓名 / 名稱 (英文): Name (English):	(中文) 姓名: (Chinese) Full name :	
香港地址: Address in Hong Kong:		
電郵地址: Email Address:	電話號碼: Telephone No.:	傳真號碼: Fax No.:

擔保人姓名: Name of Guarantor:	擔保人簽署、蓋印及交付/蓋上擔保人之法團印章及由其授權人簽署 Signed, Sealed and Delivered by the Guarantor / Sealed with the Seal of the Guarantor and Signed by its authorized signatory	
香港身份證 / 護照 / 公司註冊號碼 / 商業登記號碼: HKID/Passport No./Incorporation No./B.R. No.:		
電話號碼: Telephone No.:		傳真號碼: Fax No.:
日期 Date:		
居住 / 註冊地址: Residential/Registered Address:		

法律程序文件代理人 (僅海外擔保人適用) Process Agent (For Overseas Guarantor only)		
姓名 / 名稱 (英文): Name (English):	(中文) 姓名: (Chinese) Full name :	
香港地址: Address in Hong Kong:		
電郵地址: Email Address:	電話號碼: Telephone No.:	傳真號碼: Fax No.:

F. **確認**
Acknowledgement

(1) 風險披露聲明書與免責聲明
Risk Disclosure Statements and Disclaimers

客戶承認及確認已閱讀其所選擇語言之帳戶條款及條件內有關的風險披露聲明書及免責聲明。客戶亦確認獲邀閱讀帳戶條款及條件內有關的風險披露聲明書及免責聲明，並可提出問題及徵求獨立的意見(如客戶有此意願)。如客戶欲開立之帳戶為保證金帳戶，客戶確認京華山一國際及/或京華山一證券已通知客戶京華山一國際及/或京華山一證券會再質押證券抵押品。

The Client acknowledges and confirms that the Client has read the relevant risk disclosure statements and disclaimers which were provided in a language of the Client's choice as set out in the Terms and Conditions. The Client also acknowledges that the Client was invited to read the relevant risk disclosure statements as set out in the Terms and Conditions, ask questions, and take independent advice if the Client wishes. Where a Margin Account is to be opened, the Client confirms that the Client has been informed by CPYI and/or CPYS that CPYI and/or CPYS has the practice of repledging securities collateral.

持牌或註冊人員之聲明：

Declaration by the licensed or registered staff:

客戶已獲提供所選擇語言之有關風險披露聲明書及免責聲明。以下簽署之持牌或註冊人員已邀請客戶閱讀帳戶條款及條件內有關風險披露聲明書及免責聲明，並可提出問題及徵求獨立的意見(如客戶有此意願)。如客戶欲開立之帳戶為保證金帳戶，亦已通知客戶京華山一國際及/或京華山一證券會再質押證券抵押品。

The Client has been provided with the relevant risk disclosure statements and disclaimers in a language of the Client's choice. The undersigned licensed or registered staff has invited the Client to read the relevant risk disclosure statements and disclaimers as set out in the Terms and Conditions, ask questions and take independent advice if the Client wishes. Where a Margin Account is to be opened, the Client has also been informed that CPYI and/or CPYS has the practice of repledging securities collateral.

持牌或註冊人員姓名：（正楷填寫）

Name of licensed or registered staff (in block letters):

持牌或註冊人員簽署

Signature of licensed or registered staff

客戶主任編號：

A.E. Code:

CE 編號：

CE No.:

日期：

Date:

(2) 納斯達克—美國證券交易所試驗計劃 (只適用於證券帳戶)
Nasdaq-Amex Pilot Program (For Securities Account Only)

客戶確認已獲提供於帳戶條款及條件內，以客戶所選擇語言列載的納斯達克—美國證券交易所試驗計劃資料文件。

The Client acknowledges that documentation on the Nasdaq-Amex Pilot Program has been provided in a language of the Client's choice as set out in the Terms and Conditions.

Serial No: COR

(3) 合約說明書與保證金政策 (只適用於期貨帳戶) Contract Specification and Margin Policy (For Futures Account Only)			
客戶承認： The Client acknowledges:			
(a) 收訖期貨帳戶之產品規格說明書； the receipt of materials for specifications of the products provided under the Futures Account;			
(b) 已向其充份解釋保證金政策及毋須客戶同意而可將客戶買賣盤平倉之情況；及 full explanation of the margin policy and the circumstances under which Client's positions may be closed without the Client's consent; and			
(c) 收訖關於期貨帳戶之以下京華山一期貨的資料： the receipt of the following information of CPYF for the Futures Account:			
公司名稱： Company Name:	京華山一期貨（香港）有限公司 Core Pacific – Yamaichi Futures (H.K.) Limited		
會員類別： Membership Category:	期貨代理商 Futures Commission Merchant	CE 編號： CE Number:	ABY048
有關期貨帳戶之負責人員姓名 Name of staff responsible for the Futures Account	牌照或註冊類別 Type of licence or registration	牌照或註冊編號 (CE 編號) Licence/Registration No. (CE No.)	

(4) 期權客戶確認 Acknowledgement for Options Clients		
客戶在此授權京華山一國際及/或京華山一證券向香港聯合交易所期權結算所有限公司提交關於客戶之持倉由期權結算所以組合基礎計算及收取有關之按金。 The Client hereby authorizes CPYI and/or CPYS to submit a claim with The SEHK Options Clearing House Ltd. ("SEOCH") in respect of the Client's open positions to the effect that SEOCH will calculate and collect margin in respect of such positions on a portfolio basis.		
客戶確認已閱讀列於香港期貨交易所有限公司規則、證券及期貨(合約限量及須申報的持倉量)規則及由證監會發出的有關指引內的申報規定及責任。 The Client acknowledges that the Client has read the reporting requirements and the responsibilities of reporting set out in the Rules of Hong Kong Futures Exchange Limited and in the Securities and Futures (Contracts Limits and Reportable Positions) Rules and related guidance notes issued by the SFC.		
<u>內部專用 For Internal Use Only</u>		
主要負責客戶事務的股票期權主任 / 股票期權代表的全名 / 簽署和電話號碼： Full Name and telephone number of the Stock Options Officer/Stock Options Representative who will be primarily responsible for the Client's affairs:		
姓名 Full Name	電話號碼 Tel. No.	股票期權主任 / 股票期權代表簽署 Signature of Stock Options Officer/Stock Options Representative

(5) 要求開設帳戶文件副本 Request for Copies of Account Opening Documentation
<p>客戶特此 (只可✓一項): The Client hereby (✓ one only):</p> <p><input type="checkbox"/> 放棄收取一份本開戶表格副本及有關客戶簽署的其他文件副本的權利，或一份帳戶條款及條件副本。客戶明白可瀏覽京華山一國際、京華山一證券及／或京華山一期貨網址 http://www.cpy.com.hk 內，有關開戶表格的空白版本及帳戶條款及條件。 waives the Client's right to receive a copy of this Account Opening Form together with other documents signed by the Client, or a copy of the Terms and Conditions. The Client understands that the Client can access a blank version of this Account Opening Form and the Terms and Conditions, through the website of CPYI and/or CPYS and/or CPYF at http://www.cpy.com.hk.</p> <p><input type="checkbox"/> 放棄收取一份帳戶條款及條件副本，但要求一份本開戶表格及有關客戶簽署的其他開戶文件副本，作為參照之用，並於開戶後第七個工作天以平郵寄出。客戶明白可瀏覽京華山一國際、京華山一證券及／或京華山一期貨網址 http://www.cpy.com.hk 內的帳戶條款及條件。 declines to receive a copy of the Terms and Conditions but requests that a copy of this Account Opening Form together with other account opening documents signed by the Client for the Client's reference only be provided to the Client, by ordinary post within 7 working days of account opening. The Client understands that the Client can access the Terms and Conditions through the website of CPYI and/or CPYS and/or CPYF at http://www.cpy.com.hk.</p> <p><input type="checkbox"/> 確認收到一份帳戶條款及條件副本，亦要求一份本開戶表格及其他與京華山一國際、京華山一證券及／或京華山一期貨簽署的開戶文件副本，並請於開戶後第七個工作天以平郵寄出。 acknowledges receipt of a copy of the Terms and Conditions and requests that a copy of this Account Opening Form together with other account opening documents signed between the Client and CPYI and/or CPYS and/or CPYF be provided to the Client, by ordinary post within 7 working days of account opening.</p>

G. 文件清單
Document Checklist

如本開戶表格於京華山一國際、京華山一證券及／或京華山一期貨的僱員前當面簽署，客戶須提供列明於 A 格內的文件。

Where this Account Opening Form is executed in the presence of an employee of CPYI, CPYS or CPYF, the Client shall provide the documents as required in Box A.

如本開戶表格並非於京華山一國際、京華山一證券及／或京華山一期貨的僱員前當面簽署，客戶須提供列明於 B 格內的文件。

Where this Account Opening Form is not executed in the presence of an employee of CPYI, CPYS or CPYF, the Client must provide the documents as required in Box B:

A 格 Box A	B 格 Box B
<p>第一部份 Part 1</p> <p><input type="checkbox"/> 本開戶表格的簽署本 Signed copy of this Account Opening Form</p> <p><input type="checkbox"/> 董事及授權簽署人之香港身份證或護照副本 Copy of HKID Card or Passport of Director(s) and authorised signatory(ies)</p> <p><input type="checkbox"/> 董事會決議核證摘要 Certified extracts of Board Resolution</p> <p><input type="checkbox"/> 董事名單及股東名單之副本 Copy of Director List and Shareholder List</p> <p><input type="checkbox"/> 公司註冊證書副本 Copy of Certificate of Incorporation</p> <p><input type="checkbox"/> 商業登記證副本 (如適用) Copy of Business Registration Certificate (if applicable)</p> <p><input type="checkbox"/> 組織章程大綱及細則副本 Copy of Memorandum and Articles of Association</p> <p><input type="checkbox"/> 授權人士香港身份證或護照副本(如適用) Copy of HKID Card or Passport of authorized person(s) (if applicable)</p> <p><input type="checkbox"/> (如屬個人擔保人) 香港身份證或護照副本(如適用) (For Individual Guarantor) Copy of HKID Card or Passport (if applicable)</p>	<p>A 格第一部份內的文件，並須由下列人士核證 Document set out in Box A Part 1 which shall be certified by:</p> <p>(a) 獲證監會發牌或註冊的人士； a person licensed by or registered with the SFC;</p> <p>(b) 獲證監會發牌或註冊的人士之聯繫人士； an affiliate of a person licensed by or registered with the SFC;</p> <p>(c) 太平紳士； a Justice of the Peace; or</p> <p>(d) 專業人士例如銀行分行經理、執業會計師、律師或公證人。 a professional person such as a branch manager of a bank, a certified public accountant, a lawyer or a notary public.</p>

Serial No: COR

<ul style="list-style-type: none"><input type="checkbox"/> (如屬公司擔保人) 董事會決議副本(如適用) (For Corporate Guarantor) Copy of Board Resolution (if applicable)<input type="checkbox"/> (如屬公司擔保人)商業登記證副本 (如適用) (For Corporate Guarantor) Copy of Business Registration (if applicable)<input type="checkbox"/> (如屬公司擔保人)公司註冊證書副本(如適用) (For Corporate Guarantor) Copy of Certificate of Incorporation (if applicable)<input type="checkbox"/> (如屬公司擔保人) 組織章程大綱及細則副本(如適用) (For Corporate Guarantor) Copy of Memorandum and Articles of Association (if applicable)<input type="checkbox"/> (如屬個人法律程序文件代理人) 香港身份證或護照副本(如適用) (For Individual Process Agent) Copy of HKID Card or Passport (if applicable)<input type="checkbox"/> (如屬公司法律程序文件代理人) 商業登記證及公司註冊證書之副本(如適用) (For Corporate Process Agent) Copy of Business Registration and Certification of Incorporation (if applicable)<input type="checkbox"/> 其他 (請述明) Others (Please specify):	
<p>第二部份 Part 2</p> <ul style="list-style-type: none"><input type="checkbox"/> 最新財政年度之年報 (如適用) Annual Accounts for the Latest Financial Year (if applicable)<input type="checkbox"/> (如屬公司擔保人) 最新財政年度之年報 (如適用) (For Corporate Guarantor) Annual Accounts for the Latest Financial Year (if applicable)	<p>A 格第二部份內的文件，但不須核證。 Documents set out in Box A Part 2 but they are not required to be certified.</p>

内部専用 For Internal Use Only

Remarks: If Client ✓ Part C(3)(ii), please contact Compliance Officer before Account is opened.

1. Account Received by : _____ Date: _____ (Account Executive)	5. Input Verified by : _____ Date: _____
2. Account Checked by : _____ Date: _____ (Branch Manager/Department Head)	6. Account Approved by : _____ Date: _____ (Head of Risk Management)
3. Information Inputted by: _____ Date: _____ (Head Office/Branch Staff who input(s) the information)	7. Scanned by : _____ Date: _____
4. Documents Checked by : _____ Date: _____ (Risk Management Staff)	

COMMISSION DISTRIBUTION

For Securities:

	On transaction basis (%)					
	HK Stock	China B Stock	Taiwan Stock	Japanese Stock	Stock Options	Others ()
Commission Rate						
Remarks:						

For Futures / Options:

	Day Trade (each way)	Overnight Trade (each way)
Futures (per contract per side)		
Options (% of contract value)		
Other Overseas Exchange Contract [_____]		

REQUEST FOR COPIES OF ACCOUNT OPENING DOCUMENTATION

Copy sent to Client : Not necessary Required, handled by: _____ Date: _____