

Serial No: IND



內部專用 For Internal Use Only	
Account Effective Date :	
Account No. (Sec. & Margin) :	
Sub-account No.:	0001 / 0008 / 0002 / 0009 / 0005 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 (個人 / 聯名帳戶)			
ACCOUNT OPENING FORM (Individual / Joint 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:	<input style="width: 50px; height: 30px;" type="text"/>		
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 F 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 F 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.

客戶簽名 Client Signature
(個人 / 基本聯名帳戶持有人)
(Individual / Primary Joint Account Holder):

日期 Date :

客戶簽名 Client Signature
(第二聯名帳戶持有人)
(Secondary Joint Account Holder) :

日期 Date :

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

*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.

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見證人簽署 Signature of Witness
日期 Date:
見證人姓名： Full Name of Witness:
職業 Occupation:

授權簽署 Authorised Signature
日期 Date:
授權人士姓名： Full Name of Authorised Person:

B. 客戶資料 Client Information

B1	個人 / 基本聯名帳戶持有人 Individual / Primary Joint Account Holder
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(1) 個人資料 Personal Information			
客戶姓名 Client Name: <input type="checkbox"/> 先生 Mr. <input type="checkbox"/> 女士 Ms.	(英文) 姓 (English) Surname	(英文) 名 (English) Given name	(中文) 姓名 (Chinese) Full name
香港身份證/護照號碼： HKID/Passport No.:	出生日期： (日/月/年) Date of Birth: (dd/mm/yy)	國籍： Nationality:	居住國家： Country of Residence:
居住地址： Residential Address: (請勿填上郵政信箱) (No P.O. Box please)			
<input type="checkbox"/> 自置 Self-owned <input type="checkbox"/> 按揭 Mortgage <input type="checkbox"/> 租住 Rented <input type="checkbox"/> 宿舍 Quarters <input type="checkbox"/> 其他 (請述明) Others (Please specify):			
年數 No. of Year(s)	[]	[]	[]
郵遞地址： Mailing Address: (若與上述地址不同) (if different from above)			
住宅電話號碼： Residential Telephone No.:	流動電話號碼： Mobile Phone No.:	傳真號碼： Fax No.:	配偶姓名： Spouse's Name:
電郵地址： E-mail Address:			

(2) 就業情況 Employment			
現況 (只可 ✓ 一項)： Status (✓ one only):			
<input type="checkbox"/> 受僱 Employed	<input type="checkbox"/> 自僱 Self-employed	<input type="checkbox"/> 學生 Student	<input type="checkbox"/> 退休 Retired
			<input type="checkbox"/> 其他 (請述明)： Others (Please specify):
僱主/自營業務名稱： Name of Employer / Self-owned Business:			職業/職位： Occupation / Position:
業務性質： Nature of Business:	辦公電話號碼： Office Telephone No.:	受僱於上述僱主年資： No. of years employed by the above Employer:	
僱主/自營業務地址： Address of Employer / Self-owned Business: (請勿填上郵政信箱) (No P.O. Box please)			

(3) 披露關連帳戶 (監管機構規定) Disclosure of Related Account(s) (Regulatory Requirements)			
(i)	<p>客戶是否與京華山一國際／京華山一證券／京華山一期貨之任何僱員或董事有親屬關係? Is the Client related to any employee or director of CPYI / CPYS / CPYF?</p> <p><input type="checkbox"/> 否 No</p> <p><input type="checkbox"/> 是，僱員／董事資料如下： Yes, details of the employee / director are:</p> <table border="1"> <tr> <td>僱員／董事姓名： Name of employee / director:</td> <td>關係： Relationship:</td> </tr> </table>	僱員／董事姓名： Name of employee / director:	關係： Relationship:
僱員／董事姓名： Name of employee / director:	關係： Relationship:		
(ii)	<p>客戶之配偶是否京華山一國際及／或京華山一證券之客戶? Is the Client's spouse a client of CPYI and/or CPYS?</p> <p><input type="checkbox"/> 不適用 N/A</p> <p><input type="checkbox"/> 否 No</p> <p><input type="checkbox"/> 是，客戶配偶資料如下： Yes, details of Client's spouse are:</p> <table border="1"> <tr> <td>帳戶持有人姓名： Name of Account Holder:</td> <td>帳戶編號： Account No.:</td> </tr> </table>	帳戶持有人姓名： Name of Account Holder:	帳戶編號： Account No.:
帳戶持有人姓名： Name of Account Holder:	帳戶編號： Account No.:		
(iii)	<p>客戶及／或客戶之配偶是否控制京華山一國際或京華山一證券任何客戶的 35%或以上的表決權? Does the Client and/or the Client's spouse control 35% or more of the voting rights of any client of CPYI or CPYS?</p> <p><input type="checkbox"/> 不適用 N/A</p> <p><input type="checkbox"/> 否 No</p> <p><input type="checkbox"/> 是，受控客戶資料如下： Yes, details of controlled client are:</p> <table border="1"> <tr> <td>帳戶持有人姓名： Name of Account Holder:</td> <td>帳戶編號： Account No.:</td> </tr> </table>	帳戶持有人姓名： Name of Account Holder:	帳戶編號： Account No.:
帳戶持有人姓名： Name of Account Holder:	帳戶編號： Account No.:		

B2	第二聯名帳戶持有人 (只適用於聯名帳戶) Secondary Joint Account Holder (For Joint Account Only)
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(1) 個人資料 Personal Information			
客戶姓名： Client Name: <input type="checkbox"/> 先生 Mr. <input type="checkbox"/> 女士 Ms.	(英文) 姓 (English) Surname	(英文) 名 (English) Given name	(中文) 姓名 (Chinese) Full name
香港身份證／護照號碼： HKID/Passport No.:	出生日期： (日／月／年) Date of Birth: (dd/mm/yy)	國籍： Nationality:	居住國家： Country of Residence:
居住地址： Residential Address: (請勿填上郵政信箱) (No P.O. Box please)			
<input type="checkbox"/> 自置 Self-owned <input type="checkbox"/> 按揭 Mortgage <input type="checkbox"/> 租用 Rented <input type="checkbox"/> 宿舍 Quarters <input type="checkbox"/> 其他 (請說明)： Others (Please specify):			
年數 No. of Year(s)	[]	[]	[]
郵遞地址： Mailing Address: (若與上述地址不同) (if different from above)			
住宅電話號碼： Residential Telephone No.:	流動電話號碼： Mobile Phone No.:	傳真號碼： Fax No.:	配偶姓名： Spouse's Name:
電郵地址： E-mail Address:			

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(2) 就業情況 Employment		
現況 (只可✓一項): Status (✓ one only):	<input type="checkbox"/> 受僱 Employed	<input type="checkbox"/> 自僱 Self-employed
	<input type="checkbox"/> 學生 Student	<input type="checkbox"/> 退休 Retired
	<input type="checkbox"/> 其他 (請說明): Others (Please specify):	
僱主/自營業務名稱: Name of Employer / Self-owned Business:		職業/職位: Occupation / Position:
業務性質: Nature of Business:	辦公電話號碼: Office Telephone No.:	受僱於上述僱主年資: No. of years employed by the above Employer:
僱主/自營業務地址: Address of Employer / Self-owned Business: (請勿填上郵政信箱) (No P.O. Box please)		

(3) 披露關連帳戶 (監管機構規定) Disclosure of Related Account(s) (Regulatory Requirements)			
(i)	客戶是否與京華山一國際/京華山一證券/京華山一期貨之任何僱員或董事有親屬關係? Is the Client related to any employee or director of CPYI / CPYS / CPYF? <input type="checkbox"/> 否 No <input type="checkbox"/> 是, 僱員/董事資料如下: Yes, details of the employee / director are:		
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 70%;">僱員/董事姓名: Name of employee / director:</td> <td>關係: Relationship:</td> </tr> </table>	僱員/董事姓名: Name of employee / director:	關係: Relationship:
僱員/董事姓名: Name of employee / director:	關係: Relationship:		
(ii)	客戶之配偶是否京華山一國際及/或京華山一證券之客戶? Is the Client's spouse a client of CPYI and/or CPYS? <input type="checkbox"/> 不適用 N/A <input type="checkbox"/> 否 No <input type="checkbox"/> 是, 客戶配偶資料如下: Yes, details of Client's spouse are:		
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 70%;">帳戶持有人姓名: Name of Account Holder:</td> <td>帳戶編號: Account No.:</td> </tr> </table>	帳戶持有人姓名: Name of Account Holder:	帳戶編號: Account No.:
帳戶持有人姓名: Name of Account Holder:	帳戶編號: Account No.:		
(iii)	客戶及/或客戶之配偶是否控制京華山一國際或京華山一證券任何客戶的 35% 或以上的表決權? Does the Client and/or the Client's spouse control 35% or more of the voting rights of any client of CPYI and/or CPYS? <input type="checkbox"/> 不適用 N/A <input type="checkbox"/> 否 No <input type="checkbox"/> 是, 受控客戶資料如下: Yes, details of controlled client are:		
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 70%;">帳戶持有人姓名: Name of Account Holder:</td> <td>帳戶編號: Account No.:</td> </tr> </table>	帳戶持有人姓名: Name of Account Holder:	帳戶編號: Account No.:
帳戶持有人姓名: Name of Account Holder:	帳戶編號: Account No.:		

B3 個人／聯名帳戶持有人
Individual / Joint Account Holders

(1) 財務資料 (監管機構規定) Financial Information (Regulatory Requirements)			
請指示財務資料適用之人士 (只可 ✓ 一項) : Please indicate the party which the financial information applies to (✓ one only):			
<input type="checkbox"/> 個人/基本聯名帳戶持有人 Individual/Primary Joint Account Holder	<input type="checkbox"/> 第二聯名帳戶持有人 Secondary Joint Account Holder	<input type="checkbox"/> 基本及第二聯名帳戶持有人 Primary & Secondary Joint Account Holders	
收入來源 : Source of income: (可✓超過一項) (✓ one or more)	<input type="checkbox"/> 薪金 Salary	<input type="checkbox"/> 佣金 Commission	<input type="checkbox"/> 業務溢利 Business Profit
	<input type="checkbox"/> 租金 Rent	<input type="checkbox"/> 股息/利息 Dividend / Interest	<input type="checkbox"/> 其他 (請說明): Others (Please specify):
每年收入 (港幣) : Annual Income (HK\$): (只可✓一項) (✓ one only)	<input type="checkbox"/> 100,000 以下 Below 100,000	<input type="checkbox"/> 100,000 至 500,000 以下 100,000 to Below 500,000	<input type="checkbox"/> 500,000 至 1,000,000 以下 500,000 to Below 1,000,000
	<input type="checkbox"/> 1,000,000 或以上 (請說明) : 1,000,000 or Above (Please specify):		
淨值總額 (港幣) : Total Net Worth (HK\$): (只可✓一項) (✓ one only)	<input type="checkbox"/> 100,000 以下 Below 100,000	<input type="checkbox"/> 100,000 至 500,000 以下 100,000 to Below 500,000	<input type="checkbox"/> 500,000 至 1,000,000 以下 500,000 to Below 1,000,000
	<input type="checkbox"/> 1,000,000 或以上 (請說明) : 1,000,000 or above (Please specify):		

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"/> 居住地址 Residential Address	<input type="checkbox"/> 電郵地址 E-mail 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) 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
- 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) 客戶不是獲證監會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
- 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) 通知書
Notification

如客戶受聘於任何已獲證監會發牌或註冊人士, 從事有關證券及期貨條例的活動, 客戶承諾會即時通知京華山一國際、京華山一證券及/或京華山一期貨(就個別情況而言)。
The Client undertakes to promptly notify CPYI, CPYS and/or CPYF (as the case may be) if the Client becomes employed by any licensed or registered person to carry out regulated activities within the meaning of the Securities and Futures Ordinance.

(5) 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.:

(6) 銀行帳戶資料
Bank Account Information

(i) **港元帳戶**
Hong Kong Dollar Account

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。

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.

銀行名稱: Bank:	帳戶持有人名稱: Account Name:	帳戶號碼: Account No.:
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(ii) 外幣帳戶 Foreign Currency Account

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。

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.

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 :

D. 帳戶操作 (只適用於聯名帳戶)
Account Operation (For Joint Account Only)

(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.:
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.:
上述任何.....人可簽署及 / 或為證券 / 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.		
註： 如有關帳戶由非帳戶持有人管理，帳戶持有人須簽署另一份表格。 Note: A separate form shall be signed by the Account Holder(s) if a non-account holder is to be appointed to operate the Account(s).		

**E. 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，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.

(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		
<p>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。</p> <p>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.</p> <p>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。</p> <p>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.</p>		
內部專用 For Internal Use Only		
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>		

F. 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，則客戶須提供列明於 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，則客戶可選擇提供列明於 B 格或 C 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 may choose to provide the documents as required in Box B or C.

A 格 Box A	B 格 Box B	C 格 Box C
第一部份 Part 1 <input type="checkbox"/> 本開戶表格的簽署本 signed copy of this Account Opening Form <input type="checkbox"/> 客戶之香港身份證或護照副本 Copy of HKID or Passport of the Client <input type="checkbox"/> 其他 (請說明) Others (Please specify):	A 格第一部份內的文件，並須由下列人士核證： Documents set out in Box A Part 1 which shall be certified by: (a) 獲證監會發牌或註冊的人士； a person licensed by or registered with the SFC; (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; (c) 太平紳士；或 a Justice of the Peace; or (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.	列明於 A 格內的文件，及： Documents set out in Box A, AND: - 客戶須提交由客戶名下於香港註冊銀行開設的帳戶所發出不少於 HK\$10,000 的支票；及 provide a cheque in the amount of not less than HK\$10,000 bearing the Client's name as shown in HKID Card or Passport issued by the Client and drawn on the Client's account with a licensed bank in Hong Kong; and - 帳戶不能啟動直至該支票兌現。 Account(s) will not be activated until the cheque is cleared.
第二部份 Part 2 <input type="checkbox"/> 居住地址證明 Proof of Residential Address <input type="checkbox"/> 收入證明 (例如銀行存摺、銀行結單) Proof of Income (e.g. bank passbooks, bank statements) (只適用於保證金帳戶) (For Margin Account Only)	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.	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.

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: _____