



內部專用 For Internal Use Only	
Account Effective Date :	
Account No. (Securities) :	
	1008 1009
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")
京華山一期貨（香港）有限公司（「京華山一期貨」）
Core Pacific - Yamaichi Futures (H.K.) Limited ("CPYF")

香港灣仔港灣道 26 號華潤大廈 11 樓1101-05 及 09-10室
Rooms 1101-05 & 09-10, 11/F, China Resources
Building, 26 Harbour Road,
Wanchai, Hong Kong
電話 Tel : 2826 0700

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 BHM090），及為香港聯合交易所有限公司的交易所參與者及期權買賣交易所參與者。

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. BHM090) and is an Exchange Participant and Options Trading 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（MEM128）。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 (MEM128).

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 CPYF. You should therefore consult your own legal, tax and financial advisers prior to signing.

開戶表格（實體／公司帳戶）和自我證明書 Account Opening (Entity/Corporate) and Self Certification Form

帳戶種類（可✓超過一項）： Type of account (✓ one or more):	京華山一國際 CPYI	京華山一期貨 CPYF
*已包括電子交易帳戶 如欲取消電子交易服務，請與客戶服務部聯絡。 *Electronic trading services are included. To cancel the electronic trading services, please contact Customer Services.	<input type="checkbox"/> 現金帳戶 Cash Account (1008)	<input type="checkbox"/> 保證金帳戶 Margin Account (1009)
		<input type="checkbox"/> 電子交易期貨帳戶 eService Futures Account
選用股票期權買賣服務： Account(s) requiring for trading Stock Options:	<input type="checkbox"/> 需要 Required (0006) (請填寫「股票期權交易帳戶開戶表格」) (Please complete "Account Opening Form – Stock Options Trading Account")	<input type="checkbox"/> 不需要 Not 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／或京華山一期貨開立上述帳戶，而交易帳戶條款及條件（可不時被修訂）可透過以下網址查閱：http://www.cpy.com.hk/webfile/download/pdf/TnC_en.pdf 及／或http://www.cpy.com.hk/webfile/download/pdf/TnC_tc.pdf。

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 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, where the Terms and Conditions (which may be amended from time to time) can be accessed on the following websites: http://www.cpy.com.hk/webfile/download/pdf/TnC_en.pdf and/or http://www.cpy.com.hk/webfile/download/pdf/TnC_tc.pdf.

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 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 CPYF (as applicable) is entitled to rely fully on such representations and information for all purposes, unless the Client informs CPYI 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 CPYF (as applicable);

(iii) 客戶承諾在任何影響本開戶表格中所述個人的稅務居住身份發生變化的情況下或導致本文所含信息不正確或不完整下會通知京華山一國際及／或京華山一期貨（如適用）有關更新，京華山一國際及／或京華山一期貨會在客戶通知有關情變後 30 天內作出更改；及
the Client undertakes to advise CPYI and/or CPYF (as applicable) of any change in circumstances which affects the tax residency status of the Client identified in Part D of Section B of the Account Opening Form or causes the information contained in this Account Opening Form to become incorrect or incomplete, and to provide CPYI and/or CPYF (as applicable) with a suitably updated self-certification and Declaration within 30 days of such change in circumstances where apply; and

- (iv) 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；及
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; and
- (v) 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，客戶亦同時放棄其索取帳戶條款及條件英文版本的權利。
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.

有關《個人資料（私隱）條例》之客戶通知書

CIRCULAR RELATING TO PERSONAL DATA (PRIVACY) ORDINANCE

本人/吾等確認本人/吾等已細閱及明白京華山—金融集團有限公司（CPYFGL）、各聯營公司及/或有關聯公司（下文統稱為「CPY」）的私隱政策，法律文件接收人委任書及個人資料收集聲明，而最新版本亦隨此附上。本人/吾等確認本人/吾等同意 CPY 收集及使用本人/吾等的個人資料用於 CPY 私隱政策及個人資料收集聲明所列明的相關用途，並可透過 CPY 網址 (<http://www.cpy.com.hk> 及/或 <http://www.cpywmg.com.hk>) 在「法律聲明」的標題下查閱。本人/吾等確認本人/吾等已明白 CPY 私隱政策及個人資料收集聲明可不時作出修訂及更新，並且不會就此作出另行通知，本人/吾等亦應不時查閱其更新的版本。本人/吾等已得悉本人/吾等可於辦公時間內致電 CPY 客戶服務熱線：2166 3888 索取最新的 CPY 私隱政策及個人資料收集聲明的副本。如欲查閱或更新 CPY 所收集的個人資料，或要求 CPY 不再使用本人/吾等的個人資料作直接促銷，本人/吾等應以書面聯絡 CPY 的資料保護主任，地址：香港灣仔港灣道 26 號華潤大廈 11 樓 1101 室。

I/We confirm that I/we have already perused and understood the Privacy Policy, Appointment of Process Agent and Personal Information Collection Statement of CPYFGL's group of companies (hereafter together "CPY") and the latest version of which is attached. I/We confirm my/our consent given to CPY to retain and use my/our personal data for the purposes as set out in CPY's Privacy Policy and Personal Information Collection Statement, which can be accessed on CPY's websites: <http://www.cpy.com.hk> and/or <http://www.cpywmg.com.hk> under the heading "Legal Notice". I/We confirm my/our understanding that CPY's Privacy Policy and Personal Information Collection Statement could be revised and updated by CPY from time to time without prior notice to me/us and that I/we should access the same to review any updates from time to time. I/We acknowledge that I/we could obtain updated copies of CPY's Privacy Policy and Personal Information Collection Statement by calling CPY's Customer Service hotline at 2166 3888 anytime during office hours. To access or update my/our personal data held by CPY or to request CPY not to use such personal data in direct marketing, I/we should write to CPY's Data Protection Officer at Room 1101, 11/F, China Resources Building, 26 Harbour Road, Wanchai, Hong Kong.

本人/吾等確認本人/吾等已被通知本人/吾等的個人資料包括本人/吾等的姓名、電話號碼、電郵地址及地址將作直接促銷，有關詳情載於 CPY 私隱政策及個人資料收集聲明，並可透過 CPY 網址 (<http://www.cpy.com.hk> 及/或 <http://www.cpywmg.com.hk>) 查閱。在未得到本人/吾等同意之前，CPY 並不能使用本人/吾等的個人資料作直接促銷。

I/We confirm that I/we have been notified that my/our personal data inclusive of my/our name(s), telephone number(s), e-mail address(es) and address(es) are intended to be used in direct marketing, the details of which are set out in CPY's Privacy Policy and Personal Information Collection Statement (which may be amended from time to time), and which can be accessed on CPY's websites: <http://www.cpy.com.hk> and/or <http://www.cpywmg.com.hk>, but that such use of my/our said personal data in direct marketing could not take place without my/our consent.

本人/吾等明白本人/吾等應在本通告下方簽署以表明本人/吾等已細閱、明白及同意本通知書的內容，並表明本人/吾等同意上述有關使用本人/吾等的個人資料作直接促銷。

I/We understand that I/we should sign at the end of this Circular to indicate that I/we have perused, understood and agreed with the contents of this Circular and to indicate my/our agreement to the aforesaid use of my/our said personal data in direct marketing.

如本人/吾等不接受本人/吾等的個人資料用於直接促銷，本人/吾等將於簽署前在下列空格加上勾以茲反對。

Should I/we find the aforesaid use of my/our said personal data in direct marketing not acceptable, I/we would indicate my/our objection before signing by ticking the box below.

☐ 本人/吾等不願意收取 CPY 推廣資訊/刊物及本人/吾等不同意 CPY 保留及使用本人/吾等的個人資料作直接促銷。

I/We do not wish to receive ongoing marketing information/materials from CPY and I/we do not consent to CPY's retention and use of my/our personal data in direct marketing.

客戶簽署（蓋上公司印章）：

Client Signature (with company chop):

*通過上述的簽署，本人/吾等確認並同意此開戶表格的所有條款和條件（包括但不限於「有關《個人資料（私隱）條例》之客戶通知書」及「法律文件接收人」的部分）。

*By signing above, I/we confirm and agree to all of the terms of any section of this form (including but not limited to the sections headed "Circular Relating to Personal Data (Privacy) Ordinance" and "Process Agent").

日期 Date :

以下簽署人*特此核證客戶簽署本開戶表格；及見證客戶的有關身份證明文件。

The undersigned *hereby certifies the signing of this Account Opening Form by the Client; and the sighting of the related identity documents of the Client.

見證人簽署 Signature of Witness

日期 Date:

見證人姓名 Full Name of Witness:

職業 Occupation:

核准及接納 Approved and accepted by:

京華山—國際（香港）有限公司 Core Pacific – Yamaichi International (H.K.) Limited / 京華山—期貨（香港）有限公司 Core Pacific – Yamaichi Futures (H.K.) Limited

授權簽署 Authorised Signature

日期 Date:

授權人士姓名 Full Name of Authorised Person:

* 如本開戶表格並非當面於京華山—國際或京華山—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 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 certified public accountant, a lawyer or a notary public.

B. 客戶資料 Client Information

(1) 公司資料 Entity Information			
客戶名稱：(英文) Client Name: (English)			
客戶名稱：(中文) Client Name: (Chinese)			
客戶營業名稱：(若與上述名稱不同) (if different from above) Trading Name of Client:			
業務性質： Business Nature:			
團體性質： Nature of Entity:			
<div><div><input type="checkbox"/> 上市公司 Listed Company</div><div><input type="checkbox"/> 非上市公司 Unlisted Company</div><div><input type="checkbox"/> 信託 Trust</div><div><input type="checkbox"/> 獨資經營 Sole Proprietorship</div><div><input type="checkbox"/> 合夥經營 Partnership</div><div><input type="checkbox"/> 其他 (請述明)： Others (Please specify) :</div></div> <div>(只可 ✓ 一項) (✓ one only)</div>			
註冊地址： Registered Address:			
現營業地址 Current Business Address and place of business: (若與上述地址不同 if different from above) (請勿填上郵政信箱) (No P.O. Box please)			
第 1 行 (例如：室、樓層、大廈、街道、地區) Line 1 (House /Apt/Suite Name, Number, Street)			
第 2 行 (城市) (Line 2 Town/City/Province/Country/State)			
國家 Country:		郵政編碼/郵遞區號碼 Postal Code/ZIP Code:	
郵遞地址： Mailing Address:			
第 1 行 (例如：室、樓層、大廈、街道、地區) Line 1 (House /Apt/Suite Name, Number, Street)			
第 2 行 (城市) (Line 2 Town/City/Province/Country/State)			
國家 Country:		郵政編碼/郵遞區號碼 Postal Code/ZIP Code:	
註冊地點/國家： Place/Country of Incorporation:			
註冊日期： Date of Incorporation:			
法人機構識別編碼 (LEI)： Legal Entity Identifier (LEI):			
公司註冊號碼： Certificate of Incorporation No.:		商業登記號碼： Business Registration No.:	
電郵地址： E-mail Address:			
* 電子交易服務帳戶必須提供 Must be provided for Account(s) requiring CPY eService			
電話號碼 1 (國家地區編碼)： Telephone No. (Country Code): ()		電話號碼 2 (國家地區編碼)： Telephone No. (Country Code): ()	
傳真號碼 (國家地區編碼)： Fax No. (Country Code): ()		電傳號碼： Telex No. ()	
短訊語言選擇： Language Preference for SMS Message:			
<div><input type="checkbox"/> 英文 English</div> <div><input type="checkbox"/> 繁體中文 Traditional Chinese</div> <div><input type="checkbox"/> 簡體中文 Simplified Chinese</div>			
請指定用於接收短訊之流通電話號碼： Please specify the mobile phone no. for receiving SMS Message: ()			
(2) 所有董事資料 Particulars of All 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/所有合夥人/所有最終股東個人資料 (不適用於上市公司) Particulars of Sole Proprietor / All Partner(s) / All Ultimate Shareholder(s) (Individual) (Not applicable to Listed Company) *(請額外填寫"控制人稅務自我認證表格"如有關獨資經營者/所有合夥人/所有最終股東擁有 25% 或超過 25% 股權 Please complete the "Controlling Person Tax Residency Self-Certification" form if ownership owned at or over 25% of company)			
	姓名 Name	居住地址 Residential Address	擁有 % owned*
1.			
2.			
3.			
總計 Total			100%

(4) 財務資料 Financial Information

繳足股本(如適用) :
Paid Up Share Capital (if applicable):

最近的流動資產值為：
Latest Liquid Assets Value:

最近的資產淨值為：
Latest Net Assets Value:

最近的除稅後溢利為：
Latest Annual Profits After Tax:

(5) 披露關連帳戶 Disclosure of Related Account(s)

(i) 客戶之集團公司是否京華山一國際之客戶?
Is any of the Client's group companies a client of CPYI?

☐ 不適用
N/A

☐ 否
No

☐ 是，客戶之集團公司資料如下：
Yes, details of Client's group companies are:

帳戶名稱： Name of Account:	帳戶號碼： Account No.:
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(ii) 客戶之股東、董事、合夥人、獲授權人或帳戶之最終實益擁有人是否京華山一國際／京華山一期貨之董事或僱員？
Is/are the Client's shareholders(s), director(s), partner(s), authorized person(s) or ultimate beneficial owner of the Account(s) a director or employee of CPYI / CPYF?

☐ 否
No

☐ 是，資料如下：
Yes, details as below:

該董事或僱員的姓名:
The name of that director or employee:

(iii) 客戶之股東、董事、合夥人、獲授權人或帳戶之最終實益擁有人(統稱「有關人士」)與京華山一國際／京華山一期貨之董事或僱員是否有親屬關係？
Do any of the Client's shareholders(s), director(s), partner(s), authorized person(s) or ultimate beneficial owner of the Account(s) (collectively known as the "Relevant Person(s)") has/have any relationship with the director(s) or employee(s) of CPYI / CPYF?

☐ 否
No

☐ 是，資料如下：
Yes, details as below:

該有關人士的姓名:
The name of that Relevant Person(s):

有關聯之董事或僱員姓名：
Name of relevant director(s) or employee(s):

客戶與以上有關聯之董事或僱員的關係：
Please specify the relationship with the relevant director(s) or employee(s):

(iv) 客戶及／或客戶之董事／股東是否控制京華山一國際任何客戶的 35%或以上的表決權？
Does the Client and/or the Client's director/shareholder control 35% or more of the voting rights of any client of CPYI?

☐ 不適用
N/A

☐ 否
No

☐ 是，受控客戶資料如下：
Yes, details of controlled client are:

帳戶持有人（即有上述控制權之客戶）姓名： Name of Account Holder (i.e. the above controlling client):	帳戶號碼： Account No.:
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C. 一般帳戶資料
General Account Information

(1) 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):

☐ 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:	身份證/護照/公司註冊號碼/商業登記號碼:
Name:	I.D./Passport No./Incorporation No./B.R. No.:

地址：	電話號碼：
Address:	Telephone No.:

如帳戶持有人並非最終實益擁有人，每位最終實益擁有人請另各自提交一份自我證明表格 If the account holder is not the beneficial owner of income, each beneficial owner should provide a CRS Self-Certification.

☐ 客戶不是獲證券及期貨事務監察委員會（「證監會」）發牌之持牌法團或註冊機構；或
the Client is not a corporation licensed by or institution registered with the Securities and Futures Commission ("SFC"); or

□ 客戶乃是證監會發牌之持牌法團或註冊機構，而有關持牌法團或註冊機構資料如下：
the Client is a entity licensed by or institution registered with the SFC, and the entity licensed by or institution registered with the SFC is:

持牌法團或註冊機構名稱：
Name of entity licensed by or institution registered:

(2) 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"/> 營業地址 Business Address	<input type="checkbox"/> 郵遞地址 Mailing Address	<input type="checkbox"/> 電郵地址 E-mail address	<input type="checkbox"/> 其他 (請述明) : Others (Please specify):	
(3) 投資目標及經驗 (監管機構規定) Investment Objective and Experience (Regulatory Requirements)					
(請選一項✓) (Please choose one ✓)					
投資目標 : Investment Objective:	<input type="checkbox"/> 保本 Capital Preservation	<input type="checkbox"/> 資本增值 Capital Growth	<input type="checkbox"/> 股息回報 Dividend Yield	<input type="checkbox"/> 收入 Income	<input type="checkbox"/> 對沖 Hedging
(可 ✓ 超過一項) (✓ one or more)					
投資經驗 : Investment Experience:	<input type="checkbox"/> 上市證券 Listed Securities	<input type="checkbox"/> 期貨/期權 Futures / Options	<input type="checkbox"/> 債券/基金 Bonds / Funds	<input type="checkbox"/> 無 Nil	<input type="checkbox"/> 其他 (請述明) : Others (Please specify):
年數 No. of Year(s)	[]	[]	[]		
客戶/獲授權人士對衍生產品的認識及投資經驗 (監管機構規定) Client's or Authorized Person(s)' Knowledge on Derivative Products and Trading Experience (Regulatory Requirements)					
(i) 獲授權人士過去有否接受過有關衍生產品的培訓或修讀相關課程? Has/Have the authorized person(s) ever undergone training or attended any courses or seminars on derivative product(s)?					
<input type="checkbox"/> 有, 獲授權人士過往曾接受培訓或修讀以下課程: Yes, the authorized person(s) has/have undergone or attended the following courses or seminars:					
課程名稱: Name of courses / seminars:			受培訓或修讀日期: Date:		
<input type="checkbox"/> 否 No					
(ii) 獲授權人士現時或過去有否從事與衍生產品有關的工作? Does / Do the authorized person(s) have any working experience related to derivative product(s)?					
<input type="checkbox"/> 有, 獲授權人士現時或過去曾從事以下職業: Yes, the authorized person(s)' current or previous work experience related to derivative product(s) is / are as follows:					
職業名稱: Occupation:		任職日期: 由 至 Period: From To			
僱主名稱: Name of Employer:					
<input type="checkbox"/> 否 No					
(iii) 獲授權人士有否買賣衍生產品的經驗? Does/Do the authorized person(s) have any trading experience related to derivative product(s)?					
<input type="checkbox"/> 有, 獲授權人士過往三年曾買賣以下衍生產品: Yes, the authorized person(s) has / have traded the following derivative product(s) in the recently 3 years:					
<input type="checkbox"/> 牛熊證 Callable Bull/Bear Contracts	<input type="checkbox"/> 衍生權證 (窩輪) Derivative Warrants	<input type="checkbox"/> 合成交易所買賣基金 Synthetic Exchange Traded Funds			
<input type="checkbox"/> 股票掛鈎票據 Equity Linked Instruments	<input type="checkbox"/> 期貨或期權合約 Future & Options Contracts	<input type="checkbox"/> 其他 (請述明) : Others (Please specify):			
過往三年曾執行過以上衍生產品的總次數: Total no. of transactions on derivative product(s) in the previous 3 years:					
<input type="checkbox"/> 少於五次 less than 5 times		<input type="checkbox"/> 五次或以上 5 times or above			
<input type="checkbox"/> 否 No					
(iv) 獲授權人士有否觀賞由京華山一提供的衍生產品的特性及風險教育錄像 (「教育錄像」) 並完全明白其內容, 且已給予機會發問問題? Has / Have the authorized person(s) seen the educational video provided by CPY on the Nature and Risks of Derivatives Products ("Educational Video") and understood all the content contained therein and have been given the opportunity to ask questions?					
<input type="checkbox"/> 有, 獲授權人已觀賞教育錄像。 Yes, authorized person(s) has / have seen the Educational Video on:			觀賞日期: Date:		
<input type="checkbox"/> 否 No					
(v) 客戶投資意向 Client Investment Intentions					
<input type="checkbox"/> 是, 客戶有意於京華山一進行衍生產品買賣交易。根據以上的評估, 客戶現謹此確認獲授權人士對投資衍生產品已有經驗及/或認識。獲授權人士知道各類衍生產品的性質及其附帶的風險已詳載於京華山一網頁中供客戶及獲授權人士隨時查閱。客戶及獲授權人士亦確認已完全明白京華山一向客戶及獲授權人士解釋各類衍生產品所附帶的相關風險或已觀賞教育錄像。京華山一並沒有向客戶及獲授權人士作出衍生產品買賣的招攬及建議的行為, 並按照客戶之投資意向向獲授權人士提供及解釋各類衍生產品所附帶的相關風險。 Yes, Client wish to trade derivative product(s) at CPY. Based on the above assessment, the Client hereby acknowledges and confirms that the authorized person(s) has/have experience and/or knowledge on derivative product(s). We note that the nature of derivative products and the risks associated with the derivative products are set out in Core Pacific-Yamaichi Homepage for our reference at any time. We further confirm that we fully understand the relevant risks of the derivative product(s), which have been explained to us by CPY, or have seen the Educational Video. CPY has not solicited or provided recommendation to us on trading of derivative product(s).					
<input type="checkbox"/> 否, 客戶無意於京華山一進行各類衍生產品交易。 No, Client do not wish to trade derivative product(s) at CPY.					

(4) 法律文件接收人(只適用於海外客戶) Process Agent (For Overseas Client only)**法律文件接收人委任書****Appointment of Process Agent**

如果客戶不是香港居民或沒有在香港經營業務的地址，客戶在開戶表格的簽署部分，簽署他/她/他們的名字，便代表其特此不可撤銷地委任京華山一國際管理有限公司為客戶之法律文件接收人，負責接收及認收在中華人民共和國香港特別行政區("香港")因此戶口，此開戶表格，其條款及條件及/或任何其附屬文件產生或與之有關而送達之令狀、傳召、命令、判決書以及其他法律程序通知。客戶同意將法律文件送達法律文件接收人，就香港法院的法律程序而言，已構成對客戶妥善送達。通過客戶的有關委任，客戶同意，當其法律文件接收人以書面通知客戶不再擔任其法律文件接收人並辭退作為客戶法律文件接收人的職務，立即委任繼任的法律文件接收人及就該事宜通知京華山一國際及京華山一期貨。此委任書所載的條款不應影響京華山一國際及京華山一期貨行使其權力，以任何其他法律許可的方式送達法律程序文件。

If the Client is not resident or does not have a place of business in Hong Kong, the Client, by signing his/her/their names in the signing section of this Account Opening Form, irrevocably appoints Core Pacific – Yamaichi International Management Limited as the Client's process agent to receive and acknowledge on his/her/their behalf service of any writ, summons, order, judgment or other notices of legal process in Hong Kong Special Administrative Region of the People's Republic of China ("Hong Kong") arising out of or in connection with this Account, this Account Opening Form, the Terms and Conditions and/or any ancillary documents thereto. The Client agrees that any service of any legal process on the process agent shall constitute sufficient service on the Client for the purpose of legal proceedings in the courts of Hong Kong. By making this appointment, the Client agrees to, where the process agent writes to retire as the Client's process agent, immediately appoint a successor process agent and notify CPYI and CPYF accordingly. Nothing herein shall affect the right of CPYI and CPYF to serve process in any other manner permitted by law.

(5) 銀行帳戶資料 Bank Account Information

京華山一國際及/或京華山一期貨須支付客戶的款項，會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。結算銀行帳戶名稱必須與開設於京華山一帳戶名稱相同。為核實結算銀行帳戶為客戶本人開設，客戶需提供銀行帳戶憑證。憑證需包含：銀行帳戶英文姓名、銀行帳戶號碼及銀行名稱或商標。Payment due from CPYI 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. Settlement bank account name must consist with the account name in CPYI and/or CPYF. For verifying settlement bank account name, bank account proof is required by CPYI and/or CPYF. The proof must contain: Bank Account Name, Bank Account Number and Bank Name/Logo.

**(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。

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.

銀行名稱 Name of Bank *預設帳戶 Default Account	銀行帳戶持有人名稱 Bank Account Name	銀行帳戶號碼 Bank Account No.
銀行名稱 Name of Bank	銀行帳戶持有人名稱 Bank Account Name	銀行帳戶號碼 Bank Account No.
銀行名稱 Name of Bank	銀行帳戶持有人名稱 Bank Account Name	銀行帳戶號碼 Bank Account No.

**(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。

The Client instructs that the following foreign currency bank account will be used as the settlement bank account for that foreign currency.

貨幣： Currency:	銀行 SWIFT 代號： SWIFT Code:
銀行名稱： Name of Bank:	分行名稱： Branch Name:
銀行地址 Bank Address:	
銀行帳戶持有人名稱： Bank Account Name:	銀行帳戶號碼： Bank Account Number:
中介銀行： Intermediary Bank:	中介銀行 SWIFT 代號： SWIFT Code of Intermediary Bank:
備註： Remarks:	

貨幣： Currency:	銀行 SWIFT 代號： SWIFT Code:
銀行名稱： Name of Bank:	分行名稱： Branch Name:
銀行地址 Bank Address:	
銀行帳戶持有人名稱： Bank Account Name:	銀行帳戶號碼： Bank Account Number:
中介銀行： Intermediary Bank:	中介銀行 SWIFT 代號： SWIFT Code of Intermediary Bank:
備註： Remarks:	

D. 董事局委員長決議（閣下可選擇提供貴司之董事會決議(如有)或填妥下列董事局委員長決議樣本）
Board Resolution (Please submit the Board of Resolution of your Company (if any) or complete the following one)

公司名稱： Client Name: _____	(「本公司」) (the "Company")
本公司董事會於 Minutes of a Meeting of the Board of Directors of the Company held on _____	
在 at _____	舉行的董事會會議記錄。
會議主席： Chairman of the meeting: _____	
出席人(出席董事全名)： Present (Full Name of Directors present): _____	
通知書及法定人數 Notice and Quorum: _____	
有關通知已按要求發出，且與會人數符合法定人數要求，主席宣佈會議有效。 The requisite notices having been given and a quorum being present, the Chairman declared the meeting duly and validly constituted.	

1. 授權人士 Authorized Person:

茲決議本公司將於京華山一國際及／或京華山一期貨開立證券交易／期貨交易帳戶，並授權下列人士作為獲授權人可代表申請人操作帳戶及可按客戶協議作出任何其他事宜（包括（i）簽署、簽訂及交付與帳戶相關之所有協議或文件及（ii）簽發指令為證券／期貨進行支付、提取及／或轉帳事宜。）
 It was resolved that with immediate effect, a securities trading / futures trading account(s) be opened with CPYI and/or CPYF and that the following person(s) is / are appointed as authorized person(s) of the Company to (i) sign, execute and deliver all agreements and documents in relations to the account(s); and (ii) to sign and/or effect payment, withdrawal and/or transfer transaction(s) for securities/futures.

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

2. 授權交易人士 Authorized Trading Person:

茲決議本公司授權下列人士作為獲授權人可代表申請人可簽署及／或進行證券及／或期貨交易。
 It was resolved that with immediate effect, the following authorized person(s) is / are appointed as authorized trading person(s) and authorized to sign and/or effect securities and/or futures transaction(s).

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

3. 商務私章式樣（如適用） Company Chop Specimen (If Applicable)

印章或印鑑式樣
 Specimen Chop or Seal

會議結束 Close of Meeting
 由於沒有其他事項，主席宣佈會議結束。 There being no further business, the Chairman declared the meeting closed.

主席簽署：
 Chairman's Signature: _____

主席 Chairman

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 Guarantor 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 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 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 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 CPYF (as applicable) is entitled to rely fully on such representations and information for all purposes, unless the Guarantor informs CPYI 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 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分解釋；

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及／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 and/or CPYF as contained in the Terms and Conditions, and agrees and accepts to its terms.

(1) 擔保人 Guarantor:

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 / Certificate of 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.:

(2) 擔保人法律文件接收人（只適用於海外擔保人）Guarantor's Process Agent (For Overseas Guarantor only)

擔保人法律文件接收人委任書 Appointment of Guarantor's Process Agent

如果擔保人不是香港居民或沒有在香港經營業務的地址，擔保人在完成開戶表格的上述部分便代表其特此不可撤銷地委任京華山一國際管理有限公司為擔保人之法律文件接收人，負責接收及認收在中華人民共和國香港特別行政區（“香港”）因此戶口，此開戶表格，其條款及條件及／或任何其附屬文件產生或與之有關而送達之令狀、傳召、命令、判決書以及其他法律程序通知。擔保人同意將法律文件送達法律文件接收人，就香港法院的法律程序而言，已構成對客戶妥為送達。通過 擔保人 的有關委任，擔保人 同意，當其法律文件接收人以書面通知 擔保人 不再擔任其法律文件接收人並辭退作為客戶法律文件接收人的職務，立即委任繼任的法律文件接收人及就該事宜通知京華山一國際及／或京華山一期貨（如適用）。此委任書所載的條款不應影響京華山一國際及／或京華山一期貨（如適用）行使其權力，以任何其他法律許可的方式送達法律程序文件。

If the Guarantor is not resident or does not have a place of business in Hong Kong, the Guarantor, by executing the above section of this Account Opening Form, irrevocably appoints Core Pacific – Yamaichi International Management Limited as the Guarantor's process agent to receive and acknowledge on his/her/their behalf service of any writ, summons, order, judgment or other notices of legal process in Hong Kong Special Administrative Region of the People's Republic of China ("Hong Kong") arising out of or in connection with this Account, this Account Opening Form, the Terms and Conditions and/or any ancillary documents thereto. The Guarantor agrees that any service of any legal process on the process agent shall constitute sufficient service on the Guarantor for the purpose of legal proceedings in the courts of Hong Kong. By making this appointment, the Guarantor agrees to, where the process agent writes to retire as the Guarantor's process agent, immediately appoint a successor process agent and notify CPYI and/or CPYF (as appropriate) accordingly. Nothing herein shall affect the right of CPYI and/or CPYF (as appropriate) to serve process in any other manner permitted by law.

(1) 有關美國稅務責任: 外國賬戶稅務合規法案-自我聲明書 US Tax Obligations: US Foreign Account Tax Compliance Act – Self certification		
<input type="checkbox"/> 如貴公司/機構於美國註冊成立、建立、構成或組成，請填寫並遞交美國國家稅務局 W-9 表格。 If the Client is incorporated, established, constituted or organized in the U.S., please complete and submit U.S. IRS Form W-9.		
<input type="checkbox"/> 非美國實體 (請從以下類別 A 或類別 B 中選取其中一項) Non-U.S. Entities (Please select ONLY ONE of the following from Category A or Category B)		
A. 金融機構 FINANCIAL INSTITUTION 如 貴公司/機構是海外金融機構，請在下列適當空格內加上✓號，並填上全球中介機構識別號碼(如有)。 If the Client is a Foreign Financial Institution ("FFI"), please tick one of the following boxes and provide your Global Intermediary Identification Number ("GIIN") if any. <input type="checkbox"/> 參與合規的金融機構 Participating FFI <input type="checkbox"/> 以第一類跨政府協議申報的海外金融機構 Reporting Model 1 FFI <input type="checkbox"/> 以第二類跨政府協議申報的海外金融機構 Reporting Model 2 FFI <input type="checkbox"/> 有特定美國人士之已提供所有人資訊的海外金融機構 Owner-documented FFI with specified U.S. owner(s) <input type="checkbox"/> 不參與合規的金融機構 Non-participating FFI <input type="checkbox"/> 其他 (請提供適當的美國國家稅務局 W-8 表格) Others (please provide the appropriate U.S. IRS Form W-8) 貴公司/機構的全球中介機構識別號碼: Your GIIN		B. 非金融機構 NON-FINANCIAL INSTITUTION 如 貴公司/機構是非金融海外實體，請在下列適當空格內加上✓號。 If the Client is a Non-Financial Foreign Entity ("NFFE"), please tick one of the following boxes. <input type="checkbox"/> 活躍非金融海外實體 Active NFFE <input type="checkbox"/> 被動非金融海外實體 Passive NFFE <input type="checkbox"/> 貴公司/機構並無持有 10% 以上股權的主要美國股東。You DO NOT HAVE substantial U.S. owner(s) whose percentage of ownership is more than 10%. <input type="checkbox"/> 貴公司/機構有持有 10% 以上股權的主要美國股東。(請填寫下列主要美國股東表格) You HAVE substantial U.S. owner(s) whose percentage of ownership is more than 10%. (Please complete the following table of substantial U.S. owner) <input type="checkbox"/> 直接申報的非金融海外實體 Direct Reporting NFFE <input type="checkbox"/> 其他 (請提供適當的美國國家稅務局 W-8 表格) Others (Please provide the appropriate U.S. IRS Form W-8)
主要美國股東 Substantial U.S. Owner 如 貴公司/機構是被動非金融海外實體，請提供每位持有 10% 以上股權的主要美國股東的個人資料。 If the Client is a passive NFFE, please provide details of each substantial U.S. owner who owns more than 10% of your entity.		
姓名 Name	地址 Address	美國稅籍編號 U.S. TIN

(2) 共同匯報標準- 自我證明表格 Self-Certification for Common Reporting Standard	
第一部分: 實體類別 Part 1. Entity Type 請在適當地方填上剔號及提供有關資料。Tick one of the appropriate boxes and provide the relevant information.	
財務機構 Financial Institution	<input type="checkbox"/> 託管機構、存款機構或指明保險公司 Custodial Institution, Depository Institution or Specified Insurance Company <input type="checkbox"/> 投資實體，但不包括由另一財務機構管理 (例如: 擁有酌情權管理投資實體的資產) 並位於非參與稅務管轄區的投資實體 Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity's assets) and located in a non-participating jurisdiction
主動非財務實體 Active NFE	<input type="checkbox"/> 該非財務實體的股票經常在_____ (一個具規模證券市場) 進行買賣 NFE the stock of which is regularly traded on_____ which is an established securities market <input type="checkbox"/> _____的有關連實體，該有關連實體的股票經常在_____ (一個具規模證券市場) 進行買賣 Related entity of _____ the stock of which is regularly traded on _____ which is an established securities market <input type="checkbox"/> 政府實體、國際組織、中央銀行或由前述的實體全權擁有的其他實體 NFE is a governmental entity, an international organization, a central bank, or an entity wholly owned by one or more of the foregoing entities <input type="checkbox"/> 除上述以外的主動非財務實體 Active NFE other than the above (請說明 Please specify _____)

被動非財務實體(請完成第二部分) Passive NFE (Please complete Part 2)	<input type="checkbox"/> 位於非參與稅務管轄區並由另一財務機構管理的投資實體 Investment entity that is managed by another financial institution and located in a non-participating jurisdiction <input type="checkbox"/> 不屬主動非財務實體的非財務實體 NFE that is not an active NFE
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第二部分: 控權人(如實體帳戶持有人是被动非財務實體, 請填寫此部)

Part 2. Controlling Persons (Please complete this part if the entity account holder is a passive NFE)

就帳戶持有人, 填寫所有控權人的姓名在列表內。就法人實體, 如行使控制權的並非自然人, 控權人會是該法人實體的高級管理人員。

每名控權人須分別填寫一份IR1457表格(控權人稅務居民自我證明表格)

Indicate the name of all controlling person(s) of the account holder in the table below. If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official.

Complete Form IR1457 (Self-Certification Form – Controlling Person) for each controlling person.

(1) <input type="checkbox"/> 已附上有關控權人之自我證明表格 Attached the Self-Certification of such Controlling Person	(4) <input type="checkbox"/> 已附上有關控權人之自我證明表格 Attached the Self-Certification of such Controlling Person	客戶主任使用 For AE use 已收到 _____ 份控權人稅務居民自我證明表格 <input type="checkbox"/> Received _____ copies of "Controlling Person tax residency self-certification form"
(2) <input type="checkbox"/> 已附上有關控權人之自我證明表格 Attached the Self-Certification of such Controlling Person	(5) <input type="checkbox"/> 已附上有關控權人之自我證明表格 Attached the Self-Certification of such Controlling Person	
(3) <input type="checkbox"/> 已附上有關控權人之自我證明表格 Attached the Self-Certification of such Controlling Person	(6) <input type="checkbox"/> 已附上有關控權人之自我證明表格 Attached the Self-Certification of such Controlling Person	

第三部分: 居留司法管轄區及稅務編號或具有等同功能的識別編號(以下簡稱「稅務編號」)

Part 3. Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN")

請提供以下資料, 列明 (a) 帳戶持有人的居留司法管轄區, 亦即帳戶持有人的稅務管轄區(香港包括在內)及 (b) 該居留司法管轄區發給帳戶持有人的稅務編號。列出所有(不限於5個)居留司法管轄區。

如帳戶持有人是香港稅務居民, 稅務編號是其香港商業登記號碼。

如果帳戶持有人並非任何稅務管轄區的稅務居民(例如: 它是財政透明實體), 填寫實際管理機構所在的稅務管轄區。

如沒有提供稅務編號, 必須填寫合適的理由:

理由 A – 帳戶持有人的居留司法稅務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。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。

Please complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder's TIN for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence.

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number.

If the account holder is not a tax resident in any jurisdiction (e.g. fiscally transparent), indicate the jurisdiction in which its place of effective management is situated.

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

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

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

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

稅務管轄權所屬國家/地區 Jurisdiction of tax residence	稅務管轄權所屬國家/地區之稅務識別號碼 TIN *	如客戶未能提供有關稅務管轄權所屬國家/地區之稅務識別號碼須提供以下 A,B 或 C 原因。 Enter Reason A, B or C if no TIN is available	如選取理由B, 解釋帳戶持有人不能取得稅務編號的原因 Explain why the account holder is unable to obtain a TIN if you have selected Reason B
1			
2			
3			

*例: 如帳戶持有人是香港稅務居民, 稅務編號是其香港商業登記號碼; 中國之 TIN 稱為稅務登記證號碼/營業執照號碼。不同國家/地區之稅務識別號碼

TIN 規範及詳情, 請參閱國際經合組織官方網站: <https://web.archive.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/index.htm>

E.g. If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number, and the CRS TIN for China is the Certificate of Tax Registration No. and Business Licence No. For the domestic rules of TIN of different jurisdictions, please refer to OECD website:

<https://web.archive.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/index.htm>

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

本人承諾, 如情況有所改變, 以致影響本表格所述的實體的稅務居民身分, 或引致本表格所載的資料不正確, 本人會通知京華山一國際及/或京華山一期貨, 並會在情況發生改變後 30 日內, 向京華山一國際及/或京華山一期貨提交一份已適當更新的自我證明表格。

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

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

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

I undertake to advise CPYI and/or CPYF of any change in circumstances which affects the tax residency status of the entity identified in this form or causes the information contained herein to become incorrect, and to provide CPYI and/or CPYF with a suitably updated self-certification form within 30 days of such change in circumstances.

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

警告:根據《稅務條例》第80(2E)條, 如任何人在作出自我證明時, 在明知一項陳述在要項上屬具誤導性、虛假或不正確, 或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下, 作出該項陳述, 即屬犯罪。一經定罪, 可處第3級(即\$10,000)罰款。WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).

(3) 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.

(4) 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) 理解期貨帳戶之產品規格：

Client fully understands the specifications of the products;

- (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：	京華山一期貨（香港）有限公司	CE 編號：	ABY048
Company Name:	Core Pacific – Yamaichi Futures (H.K.) Limited	CE Number:	ABY048
會員類別：	期貨代理商	牌照或註冊編號（CE 編號）	
Membership Category:	Futures Commission Merchant	Licence / Registration No. (CE No.)	
有關期貨帳戶之負責人員姓名	牌照或註冊類別		
Name of staff responsible for the Futures Account	Type of licence or registration		
	<input type="checkbox"/> 第二類 Type 2		

(5) 持倉狀況及交易實物交收之產品風險 (只適用於期貨帳戶)**Status of positions and risks of trading physically settled products (For Futures Account Only)**

投資市場 本地（香港）和 環球
Target Market: Local (Hong Kong) & Global

客戶理解、同意及接受，就持有或交易即將到期之實物交收合約，於當持倉臨近第一個通知日或最後交易日或將適用於即將到期之合約：

The Client understands, agrees and acknowledges as the positions approach the First Notice Day ("FND") or Last Trading Day ("LTD"), whichever is applicable to that particular expiring contract(s) that:

- (a) 京華山一期貨不會為客戶之持倉進行任何實物交收。CPYF does not facilitate any physical delivery on my/our positions.
- (b) 任何臨近第一個通知日或最後交易日之持倉，以較早者為準，如果同一期權或期貨合約同時存在長倉與短倉（即同時擁有買入與賣出的合約）但尚未平倉，京華山一期貨將會為這些持倉進行平倉以避免相關產品實物交收。For any positions in relation to the same future and option contract approaching FND or LTD, whichever is earlier, that are already flat (i.e. long position(s) and short position(s) co-exist) but not netted down, CPYF will net down such positions to avoid physical delivery of the underlying products.
- (c) 假如客戶持有的即將到期合約於第一個通知日或最後交易日，以較早者為準，之前的兩個交易日尚未平倉京華山一期貨將有權於第一個通知日或最後交易日之前的兩個交易日之後任何時間，以較早日為準，為客戶進行平倉或轉倉。為避免相關產品實物交收，京華山一期貨必需進行上述之平倉。If Client's position for the expiring contract is not squared (or liquidated) at the last 2 trading days before the FND or LTD, whichever is earlier, CPYF will be at its entire discretion to liquidate or rollover Client's position(s) at any time on or after the last 2 trading days before the FND or LTD, whichever is earlier. The aforesaid liquidation is necessary in order to avoid physical delivery of the underlying product(s).
- (d) 京華山一期貨只會盡其所能進行於第 c) 點提及的平倉及轉倉但並不保證平倉及轉倉帶來之任何後果。如果京華山一期貨未能成功平倉或轉倉，京華山一期貨在任何情況下不會因客戶之持倉需要進行相關產品實物交收或未能成功進行相關產品實物交收而對客戶產生任何直接或間接虧損、成本或損失負上法律責任。The liquidation and rollover actions as stated in c) above by CPYF will only be carried out at its best efforts and there is NO guarantee of any outcome. In the event that CPYF is unable to carry out the liquidation or rollover successfully, CPYF will NOT under any circumstances be held liable to Client for any direct or indirect loss, cost or damages of any kind arising from Client's position(s) being subsequently subjected to physical delivery or not being able to effect physical delivery of the underlying products.
- (e) 在任何情況下，為客戶即將到期之合約平倉及轉倉仍然是客戶之責任。假如客戶打算為即將到期之合約於第一個通知日或最後交易日，以較早者為準，之前的兩個交易日當天或之後的任何時間進行平倉及轉倉，客戶有責任提前通知京華山一期貨。惟客戶不應依賴京華山一期貨及/或其員工提醒客戶作出上述通知行動。Under all circumstances, it is still Client's sole responsibility to liquidate or rollover Client's expiring contract positions. If Client intend to liquidate or rollover Client's expiring contract position(s) on or after the last 2 trading days before the FND or LTD, whichever is earlier, Client then responsible for informing CPYF of the same well in advance. Client must NOT however rely on CPYF and/or its staff members to remind Client to do the same.

(6) 風險披露聲明書與免責聲明 (客戶主任必須填寫此部分)**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已通知客戶京華山一國際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 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 that CPYI has the practice of pledging 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 has the practice of pledging securities collateral.

持牌或註冊人員姓名（正楷填寫）：
Name of licensed or registered staff (in block letters):

客戶主任編號：
A.E. Code:

CE 編號：
CE No.:

本人聲明就本人所知所信，帳戶持有人填報的所有資料及聲明均屬真實、正確和完備。I declare that the information given by the account holder and statements made in this form are, to my best knowledge and belief, true, correct and complete.

持牌或註冊人員簽署
Signature of licensed or registered staff

日期：
Date:

G. 文件清單 Document Checklist

如本開戶表格於京華山一國際及 / 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（如適用）。

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

如本開戶表格並非於京華山一國際及 / 或京華山一期貨的僱員前當面簽署，則客戶須提供由列於 B 格內之合適之證明人士核證的 A 格內的文件。

Where this Account Opening Form is not executed in the presence of an employee of CPYI or CPYF, the Client must provide the documents set out in Box A which shall be certified by a suitable certifier set out in Box B.

客戶需提交文件 Documents Required from Client (認證副本 Certified True Copy)		私人有限公司 Limited Private Corporations	合伙及 無限公司 Partnerships and Unincorporated Business	獨資經營，社團， 會社，合作社及 公積金會社 Sole Proprietorships, Associations, Clubs, Societies, Co-operative and Provident Societies	信託 Trusts	離岸公司 Offshore Company (如：英屬處女島，百慕達及開曼群島 eg. BVI, Bermuda & Cayman Islands)
A 格 Box A	香港身份證 / 護照 Hong Kong Identity Card / Passport	<div>✓</div> (For Beneficial Owners, Members, Shareholders, Directors, Authorized Persons, Owners, Controllers, Trustee, Settlers, Protectors, Partners and/or Guarantors 適用於實益擁有人、會員、股東、董事、授權人、東主、管理人、信託人、委託人、攝政人、合伙人及/或擔保人)				
	有效國民身份證 / 旅遊證件 Valid national identity / travel document					
	通訊及居住地址證明 Correspondence and Residential Address Proof (近三個月內發出 issued within 3 months)	<div>✓</div> (Require Address Proof for Correspondence Address, if it is different from the Registered Address 如通訊地址與註冊地址不同，需提供通訊地址的地址證明)				
	公司註冊證書或等同文件 Certificate of Incorporation or equivalent document (更易名稱證明書，如適用 Certificate on Change of Name, if applicable)	✓				✓
	商業登記證或等同文件 Business Registration Certificate or equivalent document	✓	✓	✓		
	組織章程大綱及細則或等同文件 Memorandum and Articles of Association or equivalent document	✓				✓
	董事會決議核證 Board Resolution	✓		✓	✓	✓
	董事 / 信託人名單 List of Directors / Trustees	✓		✓	✓	✓
	實益擁有人名單 List of Beneficial Owners	✓	✓	✓	✓	✓
	授權人名單及簽署式樣 List of Authorized Signatories with specimen signatures	✓	✓	✓	✓	✓
	完整公司查冊報告或等同文件 Full Company Search Report or equivalent document (近六個月內發出 issued within 6 months)	✓				
	職權證明書或等同文件 Certificate of Incumbency or equivalent document (近六個月內發出 issued within 6 months)					✓
	擔保書 Guarantee	✓				✓
	合夥人名單 List of All Partners		✓			
	合作協議書 Partnership Agreement		✓			
	合夥人授權 / 決議 Mandate / Resolution from Partnership Authorizing		✓			
	規章文件 Constitution Document (不適用於獨資經營 Not available for sole proprietorship)			✓		
	信託契約 Trust Deed				✓	
自我證明表格 (每名最終實益擁有人須分別填寫一份) Self-certification form (Per each beneficial owner)	✓	✓	✓	✓	✓	
控權人稅務居民自我證明表格 (每名控權人須分別填寫一份) Controlling Person tax residency self-certification form (Per each controlling person.)	✓	✓	✓	✓	✓	
美國預扣稅及申報實益擁有人之海外地位證明書 W8BEN-E Form	✓	✓	✓	✓	✓	
B 格 Box B	(a) 在香港執業的律師、在香港的會計師、現時為特許秘書及行政人員公會或其指定分部的正式會員；或 a solicitor practicing in Hong Kong, a Hong Kong Certified Public Accountant, a Chartered Secretaries who is a current full member of the Institute of Chartered Secretaries and Administrators or its designated divisions; or;					
	(b) 屬財務特別行動組織成員內認可機構、持牌法團的合資格人士（如：香港保險業監管局（“保監局”）發牌的持牌保險中介人或香港證監會的持牌人士）；或 a qualified person of an authorized institution, a licensed corporation in a FATF member country (e.g. technical representative of Professional Insurance Brokers Association or licensed person of Securities and Futures Commission); or					
	(c) 屬財務特別行動組織成員內的執業律師、公證人、專業會計師；或 a lawyer, a notary public, a professional accountant in a FATF member country; or					
	(d) 在對等司法管轄區的司法人員；或 a member of the judiciary in an equivalent jurisdiction; or					
	(e) 發出身分核實檔的國家的大使館、領事館或高級專員公署的人員；或 an officer of an embassy, consulate or high commission of the country of issue of documentary verification of identity; or					
	(f) 太平紳士。 a Justice of the Peace.					

For Internal Use Only

客戶風險級別對照表 Client Risk Category Checklist		
公司類別 Corporate category	<input type="checkbox"/> 私人有限公司 Private limited companies <input type="checkbox"/> 合夥 Partnerships <input type="checkbox"/> 獨資企業、會社、會所、社團、合作社和供積金社團 (沒有實益擁有人為政治人物) Sole proprietorships, associations, clubs, societies, co-operative and provident societies *金融機構("FI"), 上市公司等低風險類別, 請填寫表格 D53 Account Opening Form - Simplified Customer Due Diligence and Self Certification 以進行簡化客戶盡職審查 For low risk categories such as Financial institutions ("FI") and Listed companies, please fill in Form D53 Account Opening Form - Simplified Customer Due Diligence and Self Certification for Simplified Due Diligence("SDD")	
風險評估 Risk Assessment	一般 NORMAL	高 HIGH
交付/分銷渠道風險 Delivery/Distribution Channel Risk	客戶是在面對面的情況下開戶 Face-to-face account opening	<input type="checkbox"/> 客戶並非在面對面的情況下開戶(例如：於網上、郵遞或電話等渠道開戶) Non face-to-face account opening (e.g. account opening via online, postal or telephone channels)
客戶風險 Customer Risk	客戶已填寫及提供所需開戶資料 Client has filled in and provided required information for account opening.	<input type="checkbox"/> 未能填寫及提供所需開戶資料 Fail to fill in and provide required information for account opening. <input type="checkbox"/> 提供之資料模糊或不完整 Provide vague or incomplete information. <input type="checkbox"/> 不願意提供所需資料 Reluctant to provide information.
	有明顯原因開立戶口，開戶沒有提出不尋常要求及沒有使用不必要的擁有權結構 Account opening with discernible reasons, without unusual requests, and not through unnecessary usage of ownership structure	<input type="checkbox"/> 沒有明顯原因開立戶口 Account opening with no discernible reasons <input type="checkbox"/> 開戶提出不尋常要求 Account opening with unusual requests <input type="checkbox"/> 使用不必要的擁有權結構 Account opening through unnecessary usage of ownership structure
	客戶及其公司之業務性質並非高風險行業 The client or nature of its business is not a high risk industry	<input type="checkbox"/> 現金密集型或其他高風險業務包括賭場、桑拿、軍事部門、兌換商和貨幣匯兌業, 支付賬戶或相關業務 Cash intensive or other high risk businesses such as casinos, sauna, military sector, money changer and remittance agencies, pay-through account or related business
	客戶及其公司之業務性質沒有涉及大規模毀滅性武器擴散資金籌集的風險 The client or nature of its business is not related to or connected with Proliferation Financing ("PF") Risk	<input type="checkbox"/> 大規模毀滅性武器擴散資金籌集的風險 Proliferation Financing ("PF") Risk 客戶或其業務性質與以下產品/服務存在關聯 The Client or nature of its business is related to or connected with below products/services: <input type="checkbox"/> 從事兩用物品或受出口管制的物品的貿易，無論與大學或研究機構有無關聯 trading of dual-use goods or goods subject to export control with or without affiliation with university or research institution <input type="checkbox"/> 從事其他高擴散融資風險業務,如貴金屬買賣,虛擬資產服務, 航運, 信託或公司服務提供者, 或股權結構不透明的公司 Transacting High PF risk business, such as precious metals trading, virtual assets service providers, shipping, trust or company service provider, or company with opaque ownership structure.
	非政治人物 ("PEPs") 及其關係密切的人/與第三方服務提供者所提供的監察名單吻合的客戶/客戶網上資料負面/客戶財富來源或擁有權不輕易核實 Non Politically Exposed Persons ("PEPs") and their close associates/Client matches with the watch list provided by 3rd party service provider/Client is subject to adverse information on internet search/Client's origin of wealth or ownership cannot be easily verified	<input type="checkbox"/> 政治人物 ("PEPs") 及其關係密切的人/與第三方服務提供者所提供的監察名單吻合的客戶/客戶網上資料負面/客戶財富來源或擁有權不輕易核實 Politically Exposed Persons ("PEPs") and their close associates/Client matches with the watch list provided by 3rd party service provider/Client is subject to adverse information on internet search/Client's origin of wealth or ownership cannot be easily verified 政治人物分類 PEP classification: <input type="checkbox"/> 本地政治人物 Domestic PEP <input type="checkbox"/> 外地政治人物 Foreign PEP <input type="checkbox"/> 國際組織政治人物 International Organization PEP
	財富來源和資金來源合理 Origin of wealth and source of funds can be justified	<input type="checkbox"/> 財富來源和資金來源不合理 Origin of wealth and source of funds cannot be justified
	沒有從制裁和不良新聞數據庫中篩選出來的真正預警訊息 There are no true alerts from screening against sanction and adverse news database	<input type="checkbox"/> 有從制裁和不良新聞數據庫中篩選出來的真正預警訊息 There are true alerts from screening against sanction and adverse news database. 註: 每當有預警訊息 (無論它們是否真實), 均須進一步填寫 "D81 經紀聲明 - 有關就客戶作盡職審查的程序" 表格 Note: Need to fill in "Form D81 AE Declaration Regarding CDD Process" whenever there are alerts (no matter they are true or not)
產品風險 Product Risk	客戶之投資目標,預期投資金額等符合其收入, 資產, 經驗及教育水平等 Client's investment objective, expected investment amount, etc. match with his/her income, assets, experience, education, etc.	<input type="checkbox"/> 客戶之投資目標,預期投資金額等並不符合其收入, 資產, 經驗及教育水平等 Client's investment objective, expected investment amount, etc. do not match with his/her income, assets, experience, education, etc.

	客戶無意大量交易未經認可的產品、場外交易產品、虛擬產品或允許使用匿名支付方式的產品 Client with no intention to heavily trade unauthorized products, OTC products, virtual products or products that allow the use of anonymous means of payment	<input type="checkbox"/> 客戶有意大量交易未經認可的產品、場外交易產品、虛擬產品或允許使用匿名支付方式的產品 Client with intention to heavily trade unauthorized products, OTC products, virtual products or products that allow the use of anonymous means of payment
國家風險 Country Risk	客戶沒有居住在高風險管轄區及與高風險管轄區不存在關聯 Client does not resident in and has no connection with a high risk jurisdiction	<input type="checkbox"/> 客戶居住在高風險管轄區或與高風險管轄區存在關聯 Client resident in or has connection with a high risk jurisdiction
合適的客戶盡職審查及分類結果 Possible Customer Due Diligence & Classification Result	<input type="checkbox"/> 客戶通過以上所有風險評估, 被評定適合採用一般客戶盡職審查 Client passes all of above risk assessment and is classified to adopt Customer Due Diligence ("CDD") 分類結果: 一般風險 Classification Result: NORMAL risk	<input type="checkbox"/> 客戶符合以上其中一項或多項高風險因素, 被評定適合採用嚴格客戶盡職審查 Client hits one or above risk factors and is classified to adopt Enhanced Due Diligence ("EDD") 分類結果: 包含高風險因素 Classification Result: with HIGH risk factor(s)

必須提供以下資料: Mandatory Information:

- 1) 資產 / 資金來源: Source of funds/wealth:
☐ 存款 Savings ☐ 遺產 Inheritance ☐ 租金 Rental ☐ 投資 Investment ☐ 其他 (請述明): Others (please specify):
- 2) 預期投資數目 / 預期帳戶活動: Expected investment size/anticipated account activity:
☐ < HKD200,000 ☐ HKD200,001 - 1,000,000 ☐ HKD1,000,001 - 5,000,000 ☐ HKD5,000,001 - 10,000,000 ☐ > HKD10,000,000

(Other Comments)

Remarks:

If the Client is a person, or director or employee of a person, licensed by or registered with the SFC, please ensure the Client has attached a consent letter from his/her employer.

Business Unit / Sales Team	Account Received by (Account Executive)	Signature / Initial:	Date:
	Account Checked by (Department Head / Branch Manager)	Signature / Initial:	Date:
Business Unit / Sales Team OR Account Opening Team	Information Inputted by (AOT / Branch Staff)	Signature / Initial:	Date:
	Documents Checked by (AOT / Branch Staff)	Signature / Initial:	Date:
	Input Verified by (AOT / Branch Staff)	Signature / Initial:	Date:
Operations Department	Account Approved by (Head of Operations)	Signature / Initial:	Date:
	Scanned by	Signature / Initial:	Date:
Legal and Compliance Department (High Risk Client only)	Account Approved by (Head of Legal and Compliance or designated person)	Signature / Initial:	Date:

COMMISSION DISTRIBUTION

* Unless otherwise specified, commissions shall be charged according to the Fees Schedule which are subject to change from time to time.

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 []		