



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, 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(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 (個人 / 聯名帳戶) 和自我證明書 Account Opening (Individual / Joint Account) and Self-Certification Form

帳戶種類 (可✓超過一項): Type of account (✓ one or more):	<input checked="" type="checkbox"/> 京華山一國際 CPYI	<input checked="" type="checkbox"/> 京華山一期貨 CPYF
*已包括電子交易服務 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 transaction service, please contact Customer Service	<input type="checkbox"/> 現金帳戶 Cash Account (1008)	<input type="checkbox"/> 保證金帳戶 Margin Account (1009)
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
選擇帳戶: Select account:	<input type="checkbox"/> 個人帳戶 Individual Account	<input type="checkbox"/> 聯名帳戶 Joint Account 請一併提交第二聯名帳戶持有人開戶表格補充文件及相關文件 Please provide the secondary account holder's supplementary account opening form and relevant document *最多二人聯名, Maximum 2 joint account holders.
帳戶操作 (只適用於聯名帳戶) Account Operation (For Joint Account only)	交易及交收指示 Trading & Settlement Instruction	與客戶帳戶有關之客戶書面指示須由以下人士簽署 (只可✓一項) For written instructions of the Clients in relation to the Account(s), they must be signed by (✓ one only) <input type="checkbox"/> 任何一位聯名帳戶持有人 any one of the Joint Account Holders <input type="checkbox"/> 所有聯名帳戶持有人 all of the Joint Account Holders 與客戶帳戶有關之客戶口頭或電子方式指示，可由任何一位聯名帳戶持有人發出該指示。 For verbal or electronic instructions of the Clients in relation to the Account(s), any one of the Joint Account Holders may give such instruction.

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:

* AOF *

Individual Agreement

- (i) 本開戶表格 A 至 D 部份提供的資料，均為完整、真實及準確。京華山—國際及／或京華山—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—國際及／或京華山—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 D 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—國際及／或京華山—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會通知京華山—國際及／或京華山—期貨（如適用）有關更新，京華山—國際及／或京華山—期貨會在客戶通知有關情變更後 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。
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.

常設授權 Standing Authority

客戶款項 Client Money - 根據證券及期貨（客戶款項）規則處理客戶款項之授權

Authorisation to deal with Client Money under the Securities and Futures (Client Money) Rules

此項授權關於本人／吾等在有關公司或各公司（視屬何情況而定）維持的帳戶內任何公司所收取或持有的客戶款項事宜。
This authorisation relates to client money received by or held by any of the Companies on my/our behalf in any account maintained by me/us with the relevant Company or Companies (as the case may be).

本人／吾等特此授權京華山—國際及／或京華山—期貨（視屬何情況而定）從該／該等帳戶轉移全部或部份有關客戶款項：

I/We hereby authorize CPYI and/or CPYF (as the case may be) to transfer from such account(s) the whole or any part of any such client money:

- 存入任何本人／吾等在任何公司維持的帳戶，藉以清償任何該／該等帳戶的交收或保證金要求或到期的款項；及／或
into any account that is maintained by me/us with any of the Companies, for the purpose of satisfying any margin requirement or any amount due under any such account; and/or
- 存入任何公司代表本人／吾等持有的獨立帳戶內。
into a segregated account of any of the Companies to hold on behalf of me/us.

貴公司可執行上述任何一項授權而毋須事先通知本人／吾等。

CPYI and/or CPYF may perform any of the above without prior notice to me/us.

本人／吾等特此同意，若任何公司因根據此項授權進行的任何交易而產生、蒙受及／或付出各種各類的損失、損害、利息、費用、支出、訴訟、索求、申索或法律程序，本人／吾等將會向有關公司作出及繼續彌補。

I/We hereby agree to indemnify, and to keep indemnified, each of the Companies from and against all losses, damages, interests, costs, expenses, actions, demands, claims or proceedings of whatsoever nature which they may incur, suffer and/or sustain as a consequence of any transaction undertaken in pursuance of this authority.

根據本授權書給予貴公司的授權：

The authority given to you under this letter of authorization:

A. 自本授權書日期開始，有效期為不超過 12 個月，倘此授權於某個曆年的 9 月 15 日之後但於下個曆年 9 月 15 日前簽訂，本人／吾等同意此授權於下個曆年 9 月 15 日屆滿到期。除非本人／吾等向貴公司發出書面通知撤銷此授權，則作別論。該等撤銷通知將於貴公司實際收訖之第 7 個工作天後生效。此項授權 (a) 可於授權屆滿日，由本人／吾等發出書面同意續期；或 (b) 作自動續期處理（即毋須本人／吾等書面同意），如貴公司於授權期限屆滿前的 14 天之前，向本人／吾等發出期限滿通知書，而本人／吾等未有在授權屆滿前就續期之事提出反對。在以上兩種情況下，此項授權均會按現存授權指明的相同條款及條件續期不超過 12 個月；及

shall be valid for a period of not exceeding 12 months from the date of this take letter unless revoked by me/us by written notice given by me/us to you. If this Authority is signed after 15 Sep of a calendar year but before 15 Sep of next calendar year, I/We agree this Authority to be expired on 15 Sep of the next calendar year. Such notice of revocation shall take effect 7 business days after actual receipt by you. The authority may be (a) renewed by me/our written consent on the anniversary of the date on which such consent was granted; or (b) will be deemed to be renewed automatically (i.e. without my/our written consent) if you issue me/us a reminder at least 14 days prior to the expiry of the authority, and I/We do not object to such deemed renewal before the expiry date of my/our then existing authority, in each instance for a further not exceeding 12 months; and

B. 倘此授權於某個曆年的 8 月 15 日至 9 月 14 日簽訂，請於該曆年 9 月 15 日時續期 12 個月至下個曆年 9 月 15 日；及

If this Authority is signed between 1 Sep to 14 Sep of a calendar year, on 15 Sep of the calendar year, please renew the above authorization for 12 months, to 15 September of next calendar year; and

C. 倘常設授權被視為已續期，則公司會將之前的常設授權到期日後一個星期內向本人／吾等發出常設授權續期的書面確認。

Where the standing authority is deemed to have been renewed, the Company will give me/us a written confirmation of the renewal of the standing authority within one week after the expiry of the previous standing authority.

本人／吾等完全明白此項授權的內容。I/We fully understand the contents of this authority.

本人／吾等確認貴公司已向本人／吾等解釋提供本授權的風險，

I/We confirm that your company has explained to me/us the risk of this authorization.

客戶證券 - 根據「證券及期貨（客戶證券）規則」處置、借出或存放證券及／或證券抵押品之授權

Client Securities - Authorization to dispose of, lend or deposit securities and/or securities collateral under the Securities and Futures (Client Securities) Rules

本人／吾等特此授權京華山—，若本人／吾等有欠京華山—、京華山—的聯繫實體或第三者債務或須付款予京華山—，京華山—的聯繫實體或第三者，京華山—可處置任何代本人／吾等收取或持有的證券及／或證券抵押品，藉以清償或結清有關欠債或款項。

I/We hereby authorize CPYI to dispose of any of the securities collateral received or are held on my/our behalf, to the extent required to settle any liability owed or any payment payable by me/us to CPYI, CPYI's associated entity or third person in satisfaction or settlement of such liability or payment.

本人／吾等特此進一步授權京華山—按下列方式處理有關證券及／或證券抵押品：

I/We hereby further authorize CPYI to deal with the securities and/or securities collateral in the following ways:

- 將任何有證券抵押品存放於認可財務機構（按銀行條例，香港法例第 155 章定義），作為提供予京華山—財務通融的抵押品；
deposit any of the securities collateral with an authorized institution (as defined in the Banking Ordinance, Cap. 155 of the Laws of Hong Kong) as collateral for financial accommodation provided to CPYI;

- 依據證券借貸協議運用任何證券及／或證券抵押品；或
apply any of the securities and/or securities collateral pursuant to a securities borrowing and lending agreement; or

3. 將有關證券抵押品存放於 (a) 認可結算所；或 (b) 另一發牌或獲註冊進行證券交易的中介人，作為解除京華山—在交收上的義務和清償京華山—在交收上的法律責任之抵押品。

京華山—可執行上述任何一項授權而毋須事先通知本人／吾等。

deposit any of the securities collateral with (a) a recognized clearing house; or (b) another intermediary licensed or registered for dealing in securities, as collateral for the discharge and satisfaction of CPYI's settlement obligations and liabilities.

京華山—可執行上述任何一項授權而毋須事先通知本人／吾等。

CPYI may perform any of the above without prior notice to me/us

根據本授權書第二段給予京華山—的授權：

The authority given to CPYI under paragraph 2 of this letter of authorization

A. 自授權書簽署日期開始，有效期為 12 個月，倘此授權於某個曆年的 9 月 15 日之後但於下個曆年 9 月 15 日前簽訂，本人／吾等同意此授權於下個曆年 9 月 15 日屆滿到期。除非本人／吾等向京華山—發出書面通知撤銷此授權，則作別論。該等撤銷通知將於京華山—實際收訖之第 7 個工作天後生效。此項授權 (a) 可於授權屆滿日，由本人／吾等發出書面同意續期；或 (b) 作自動續期處理（即毋須本人／吾等書面同意），如京華山—於授權期限屆滿前的 14 天之前，向本人／吾等發出期限滿通知書，而本人／吾等未有在授權屆滿前就續期之事提出反對。在以上兩種情況下，此項授權均會按現存授權指明的相同條款及條件續期最多 12 個月；及

shall be valid for not exceeding 12 months from the date hereof unless revoked by written notice given by me/us to CPYI. If this Authority is signed after 15 Sep of a calendar year but before 15 Sep of next calendar year, I/We agree this Authority to be expired on 15 Sep of the next calendar year. Such notice of revocation shall take effect 7 working days after actual receipt by CPYI. The authority may be (a) renewed by me/our written consent upon expiry; or (b) deemed to be renewed automatically (i.e. without my/our written consent) if CPYI issues to me/us a reminder at least 14 days prior to the expiry of the authority, and I/We do not object to such deemed renewal before its expiry, in each instance upon the same terms and conditions as specified in the exiting authority for a further period of not exceeding 12 months; and

B. 倘此授權於某曆年的8月15日至9月14日簽訂，請於該曆年9月15日時續期12個月至下個曆年9月15日；及
If this Authority is signed between 1 Sep to 14 Sep of a calendar year, on 15 Sep of the calendar year, please renew the above authorization for 12 months, to 15 September of next calendar year;
and
C. 倘常設授權被視為已續期，則公司會將之前的常設授權到期日後一個星期內向本人/吾等發出常設授權續期的書面確認。
Where the standing authority is deemed to have been renewed, the Company will give me/us a written confirmation of the renewal of the standing authority within one week after the expiry of the previous standing authority

本人/吾等完全明白此項授權的內容。本人/吾等確認京華山一已向本人/吾等解釋提供本授權的風險，另本人/吾等如有此意願，可提出問題及徵求獨立的意見。為免生疑問，本人/吾等知悉，有關證券及/或證券抵押品可能須受第三者的留置權或合法申索所規限，如須將有關證券及/或證券抵押品交還本人/吾等，必須履行有關留置權。雖然京華山一仍須負責將任何根據此項授權借貸或存放的證券及/或證券抵押品交還本人/吾等，但京華山一的違責行為可能會導致本人/吾等損失證券及/或證券抵押品。
I/We fully understand the contents of this authority. I/We acknowledge that CPYI has explained to me/us the risk of providing the authorization and if I/we wish, I/we may ask questions and take independent advice. For avoidance of doubt, I/we understand that the securities and/or securities collateral may be subject to liens or lawful claims of third parties and return of such securities and/or securities collateral to me/us may be subject to satisfaction of such liens. Although CPYI remains responsible to me/us for the return of any of the securities or securities collateral lent or deposited under this authorization, a default by CPYI could result in the loss of the securities and securities collateral.

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一金融集團有限公司(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/<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/<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.

客戶簽名 Client Signature

(個人/基本聯名帳戶持有人) (Individual / Primary Joint Account Holder):

*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:

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

B1 個人 / 基本聯名帳戶持有人
Individual / Primary Joint Account Holder

(1) 個人資料 Personal Information

客戶稱謂 Client Title: <input type="checkbox"/> 先生 Mr. <input type="checkbox"/> 太太 Mrs. <input type="checkbox"/> 女士 Ms. <input type="checkbox"/> 小姐 Miss	(英文) 姓氏 (English) Last or Surname:	(英文) 名字: (English) First or Given name:	(中文) 姓名: (Chinese) Full name:	
香港身份證 / 國民身份證明文件 / 護照號碼: HKID/National ID/Passport No.:	出生日期: (日 / 月 / 年) Date of Birth: (dd/mm/yyyy)	國籍: Nationality:		
出生地 (國家): Place of Birth (Country):	出生地 (城市 / 省份): Place of Birth (City/Town):			
配偶稱謂: Spouse Title: <input type="checkbox"/> 先生 Mr. <input type="checkbox"/> 女士 Ms.	(英文) 配偶姓氏: (English) Spouse's Surname:	(英文) 配偶名字: (English) Spouse's Given Name:	(中文) 配偶姓名: (Chinese) Spouse's Name:	
現居住地址: Current Residential Address (勿填上郵政信箱) (No P.O. Box please)	* 請提供近三個月內發出的有效地址證明 Please provide a valid address proof issued within 3 months			
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:			
<input type="checkbox"/> 自置 Self-owned	<input type="checkbox"/> 按揭 Mortgage	<input type="checkbox"/> 租住 Rented	<input type="checkbox"/> 與父母同住 Live with parents	<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 the above)	* 請提供近三個月內發出的有效地址證明 Please provide a valid address proof issued within 3 months			
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:			
住宅電話號碼 (國家地區編碼) Residential Telephone No. (Country Code): ()	流動電話號碼 (國家地區編碼): Mobile Phone No. (Country Code): *必須提供 Must be provided ()			
電郵地址: E-mail Address: *必須提供 Must be provided	傳真號碼 (國家地區編碼) Fax No. (Country Code): ()			
教育水平: Education Level:	<input type="checkbox"/> 小學程度或以下 Primary Educated Level or below	<input type="checkbox"/> 中學畢業 Secondary Graduate	<input type="checkbox"/> 大學畢業 University Graduate	<input type="checkbox"/> 碩士畢業或以上 Postgraduate or above
短訊語言選擇: Language Preference for SMS Message:	<input type="checkbox"/> 英文 English	<input type="checkbox"/> 繁體中文 Traditional Chinese	<input type="checkbox"/> 簡體中文 Simplified Chinese	
請指定用於接收短訊之流通電話號碼 (如與上述不同): Please specify the mobile phone no. for receiving SMS Message (if different from the above): ()				

(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 / 學校名稱 Name of Employer / Self-owned Business / Institution:	職業 / 職位 Occupation / Position:				
業務性質 / 就讀學院 Nature of Business / Facility:	辦公電話號碼: Office Telephone No.: ()	受僱於上述僱主 / 就讀於上述學校年資: No. of years employed by the above Employer / Studied at the above Institution:			
僱主 / 自營業務 / 學校地址: Address of Employer / Self-owned Business / Institution: (請勿填上郵政信箱 No P.O. Box please)					

(3) 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):
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(4)	披露關連帳戶 (監管機構規定) Disclosure of Related Account(s) (Regulatory Requirements)
(i)	<p>客戶是否京華山一國際／京華山一期貨之僱員或董事或與京華山一國際／京華山一期貨之任何僱員或董事有親屬關係？ Is the Client an employee or director of CPYI / CPYF or related to any employee or director of CPYI / CPYF?</p> <p><input type="checkbox"/> 否 No</p> <p><input type="checkbox"/> 是，客戶是僱員／董事 Yes, Client is an employee / director</p> <p><input type="checkbox"/> 是，客戶與以下僱員／董事有關聯： Yes, Client is related to the employee / director below:</p> <p>僱員／董事姓名： Name of employee / director:</p> <p>關係： Relationship:</p>
(ii)	<p>客戶之配偶是否京華山一國際之客戶？ Is the Client's spouse a client of CPYI?</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> <p>帳戶持有人姓名： Name of Account Holder:</p> <p>帳戶號碼： Account No.:</p>
(iii)	<p>客戶及／或客戶之配偶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 spouse control 35% or more of the voting rights of any Client of CPYI?</p> <p><input type="checkbox"/> 不適用 N/A</p> <p><input type="checkbox"/> 否 No</p> <p><input type="checkbox"/> 是，有上述控制權之客戶資料如下： Yes, details of the above controlling client are:</p> <p>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):</p> <p>帳戶號碼： Account No.:</p>

B2 **個人／聯名帳戶持有人**
Individual / Joint Account Holders

(1)	財務資料 Financial Information
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):	
<p>每年收入(港幣)： Annual Income (HK\$):</p> <p><input type="checkbox"/> 200,000 以下 Below 200,000</p> <p><input type="checkbox"/> 1,000,000 至 2,000,000 以下 1,000,000 to Below 2,000,000</p>	<p><input type="checkbox"/> 200,000 至 500,000 以下 200,000 to Below 500,000</p> <p><input type="checkbox"/> 2,000,000 至 5,000,000 以下 2,000,000 to Below 5,000,000</p>
<p>淨值總額(港幣)： Total Net Worth (HK\$):</p> <p><input type="checkbox"/> 200,000 以下 Below 200,000</p> <p><input type="checkbox"/> 1,000,000 至 5,000,000 以下 1,000,000 to Below 5,000,000</p>	<p><input type="checkbox"/> 500,000 至 1,000,000 以下 500,000 to Below 1,000,000</p> <p><input type="checkbox"/> 5,000,000 或以上 5,000,000 or above</p> <p><input type="checkbox"/> 200,000 至 500,000 以下 200,000 to Below 500,000</p> <p><input type="checkbox"/> 500,000 至 1,000,000 以下 500,000 to Below 1,000,000</p> <p><input type="checkbox"/> 5,000,000 至 10,000,000 以下 5,000,000 to Below 10,000,000</p> <p><input type="checkbox"/> 10,000,000 或以上 10,000,000 or above</p>

C. **一般帳戶資料**
General Account Information

(1)	披露身份 (監管機構規定) Disclosure of Identity (Regulatory Requirements)
客戶聲明及確認如下 (請於適當處✓)： The Client declares and confirms that (please ✓ as appropriate):	
(i)	<p><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</p> <p><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:</p> <p>姓名： Name:</p> <p>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.:</p> <p>地址： Address:</p> <p>電話號碼： Telephone No.:</p> <p>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.</p> <p>客戶主任使用 For AE use <input type="checkbox"/> 已收到 _____ 份自我證明表格 Received _____ copies of Self-Certification</p>
(ii)	<p><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</p> <p><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:</p> <p>持牌或註冊人士姓名／名稱： Name of licensed or registered person:</p> <p>*請提供客戶僱主的同意信。* Please attach consent letter from the employer of the Client.</p>

(2)	通知書 Notification
<p>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及／或京華山一期貨(就個別情況而言)。</p> <p>The Client undertakes to promptly notify CPYI and/or CPYF (as the case may be) if the Client becomes employed by any licensed or registered person to carry on regulated activities within the meaning of the Securities and Futures Ordinance.</p>	

(3) 投資目標及經驗 (監管機構規定) Investment Objective and Experience (Regulatory Requirements)						
<i>(請選一項✓) (Please choose one ✓)</i>						
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	<input type="checkbox"/> 投機 Speculation
<i>(可選多項) (✓ one or more)</i>						
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 (請說明): Others (Please specify):	
年數 No. of Year(s)	[]	[]	[]			

客戶對衍生產品的認識及投資經驗 (監管機構規定)
Client's Knowledge on Derivative Products and Trading Experience (Regulatory Requirements)

(i) 客戶過去有否接受過有關衍生產品的培訓或修讀相關課程? Have you ever undergone training or attended any courses or seminars on derivative product(s)?		
<input type="checkbox"/> 有, 本人過往曾接受培訓或修讀以下課程: Yes, I 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) 客戶現時或過去有否從事與衍生產品有關的工作? Do you have any working experience related to derivative product(s)?		
<input type="checkbox"/> 有, 本人現時或過去曾從事以下職業: Yes, my current or previous work experience related to derivative product(s) is 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) 客戶有否買賣衍生產品的經驗? Do you have any trading experience related to derivative product(s)?		
<input type="checkbox"/> 有, 本人過往三年曾買賣以下衍生產品: Yes, I 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 (請說明): 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) 客戶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? Have you 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, 本人已觀賞教育錄像。 Yes, I 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, 本人有意於京華山一進行衍生產品買賣交易。本人現謹此確認根據以上的評估, 本人對投資衍生產品已有經驗及/或認識。本人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本人隨時查閱。本人亦確認已完全明白京華山一向本人解釋各類衍生產品所附帶的相關風險或已觀賞教育錄像。京華山一並沒有向本人作出衍生產品買賣的招攬及建議的行為, 並按照本人之投資意向向本人提供及解釋各類衍生產品所附帶的相關風險。 Yes, I wish to trade derivative product(s) at CPY. I hereby confirm that based on the above assessment, I acknowledge I have experience and/or knowledge on derivative product(s). I note that the nature of derivative products and the risks associated with the derivative products are set out in Core Pacific-Yamaichi Homepage for my reference at any time. I further confirm that I fully understand the relevant risks of the derivative product(s), which have been explained to me by CPY, or I have seen the Educational Video. CPY has not solicited or provided recommendation to me on trading of derivative product(s).		
<input type="checkbox"/> 否, 本人無意於京華山一進行各類衍生產品交易。 No, I do not wish to trade derivative product(s) at CPY.		

(4) 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:	

(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.

D. 確認
Acknowledgement

(1) 美國稅務責任 US Tax Obligations

客戶確認沒有美國稅務責任。
The Client acknowledges that he does **not** have any US tax obligations.

客戶確認有美國稅務責任。
The Client acknowledges that he **has** US tax obligations.

客戶提供 W-9 表格
Client provides W-9 form

客戶的美國稅務編號 (TIN 編號) :
Client's US Taxpayer Identification Number (TIN):

客戶同意京華山一國際及/或京華山一期向美國稅務機關提供其有關美國稅務責任之個人資料。
The Client agrees CPYI and/or CPYF to provide his personal information in relation to US tax obligations to the US tax authority.

客戶理解、同意及接受, 當其美國稅務責任狀況有任何更改時, 客戶將於 30 天內通知京華山一國際及/或京華山一期(如適用)。
The Client understands, agrees and acknowledges that if there is any change on his status on US taxes obligations, the Client will notify CPYI and/or CPYF (as appropriate) with 30 days of such change in circumstances.

(2) 共同匯報標準-自我證明表格 Self-Certification for Common Reporting Standard

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 3 個) 居留司法管轄區。
如帳戶持有人的香港稅務居民, 稅務編號是其香港身份證號碼。
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 three) jurisdictions of residence.
If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.
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: 如帳戶持有人的香港稅務居民, 稅務編號是其香港身份證號碼; 中國之 TIN 稱為公民身份號碼。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 Identity Card Number, and the CRS TIN for a Chinese individual will be the ID number on the Chinese ID card. 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, 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 individual 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之資料：
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.)
	<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 Target Market: 本地 (香港) 和 環球 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，以較早日為準，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，以較早日為準，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，以較早日為準，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
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 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 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):

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

客戶主任編號：

A.E. Code:

CE 編號：

CE No.:

日期：

Date:

E. 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 or CPYF, the Client may choose to provide the documents as required in Box B or C.

A 格 Box A	<p>第一部份 Part 1</p> <ul style="list-style-type: none"> ▪ 本開戶表格的簽署本 Signed copy of this Account Opening Form ▪ 客戶之身份證明文件或護照的副本 Copy of Document of Identity or Passport of the Client ▪ 自我證明表格 Self-Certification Form <p>第二部份 Part 2 (如適用 If Applicable)</p> <ul style="list-style-type: none"> ▪ 客戶款項授權 Client Money Authorization ▪ 客戶證券授權 (保證金帳戶) Client Securities Authorization (Margin A/C) ▪ 客戶聯絡記錄 (保證金、期貨或期權帳戶) Contact Report on Customer (Margin / Futures / Stock Options A/C) ▪ 收入證明 (例如銀行存摺、銀行結單) (保證金帳戶) Proof of Income (e.g. bank passbooks, bank statements) (Margin A/C) ▪ 第三者授權協議 Third Party Authorization Agreement ▪ 風險披露陳述 Risk Disclosure Statement ▪ 其他 (請述明) : Others (Please specify): <ul style="list-style-type: none"> ▪ 居住地址證明 Proof of Residential Address ▪ 郵遞地址證明 Proof of Mailing Address ▪ 銀行帳戶證明 Proof of Bank Account ▪ W-8BEN 表格 Form W-8BEN ▪ 易利保 eRepo 條款及客戶須知 eRepo Terms & Conditions and Important Notes To Clients ▪ 客戶投資適切性評估 - 易利保 Client Suitability Assessment – eRepo ▪ 期貨開戶表格附錄 Addendum to Futures Account Opening Form ▪ 股票期權交易帳戶開戶表格 Account Opening Form – Stock Options Trading Account ▪ 投資合適切性評估表格 (期貨或期權帳戶必須提供) Investment Suitability Assessment Form (Mandatory for Futures / Stock Options A/C) ▪ 見證人陪聲明 Declaration on Witness Companion ▪ 資本投資者入境計劃補充客戶協議 Supplementary Client Agreement for CIES
B 格 Box B	<p>A 格第一部份內的文件，並須由下列合適之證明人士核證： Documents set out in Box A Part 1 which shall be certified by a suitable certifier includes:</p> <ol style="list-style-type: none"> (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. <p>A 格第二部份內的文件 (如適用)，但不須核證。 Documents set out in Box A Part 2 (if applicable) but they are not required to be certified.</p>
C 格 Box C	<p>A 格第一部份內的文件，及： Documents set out in Box A Part 1, AND:</p> <ol style="list-style-type: none"> (a) 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 (b) 帳戶不能啟動直至該支票兌現。 Account(s) will not be activated until the cheque is cleared. <p>A 格第二部份內的文件 (如適用)，但不須核證。 Documents set out in Box A Part 2 (if applicable) but they are not required to be certified.</p>

For Internal Use Only

客戶風險級別對照表 Client Risk Category Checklist		
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.
	客戶及/或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、兌錢商和貨幣匯兌業，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/或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
沒有從制裁和不利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"/> 有從制裁和不利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. 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. <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:
 薪金 Salary 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 persons)	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 []		