



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（聯名帳戶）補充文件 – 第二聯名帳戶持有人和自我證明書 SUPPLEMENTARY ACCOUNT OPENING (Joint Account) – Secondary Joint Account Holder and Self-Certification Form

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:

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 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分解釋；

the contents of the relevant and applicable parts of the Terms and Conditions have been fully explained to the Client in a language which the Client understands;

(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一國際及／或京華山一期貨（視屬何情況而定）從該／該等帳戶轉移全部或部分有關客戶款項：

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:

1. 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

2. 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一，若本人／吾等有欠京華山一、京華山一的聯繫實體或第三者債務或須付款予京華山一、京華山一的聯繫實體或第三者，京華山一可處置任何代本人／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一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:

1. 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），作為提供予京華山一財務通融的抵押品：

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;

2. 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，作為解除京華山一在交收上的義務和清償京華山一在交收上的法律責任之抵押品。

京華山一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 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.

京華山一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一的授權：

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／吾等向京華山一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一實際收訖之第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），如京華山一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 my/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 existing authority for a further period of 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。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，但京華山一的連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／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（均可不時修訂），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.

客戶簽名 Client Signature

(第二聯名帳戶持有人) (Secondary 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:

帳戶操作 Account Operation	交易指示 Trading Instruction	有關簽署及／或進行證券及／或期貨交易，請參照基本帳戶持有人開戶表格。 Please refer to Primary Account Holder's account opening form for sign and/or effect securities and/or futures transaction(s).
	交收指示 Settlement Instruction	有關簽署及／或為證券及／或期貨進行支付、提取及／或轉帳事宜，請參照基本帳戶持有人開戶表格。 Please refer to Primary Account Holder's account opening form for sign and/or effect payment, withdrawal and/or transfer transaction(s) for securities / futures.
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.		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

見證人簽署 Signature of Witness

日期 Date:

見證人姓名 Full Name of Witness:

職業 Occupation:

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
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B1	第二聯名帳戶持有人 Secondary Joint Account Holder
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(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 (請勿填上郵政信箱) (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(請述明): Others (Please specify):	
年數 No. of Year(s)		[]	[]	[]	[]	
郵遞地址: Mailing Address: (若與上述地址不同) (if different from 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): ()						
與第一聯名帳戶持有人的關係: Relationship to the primary joint account holder:						
(2) 就業情況 Employment						
現況(只可✓一項): Status (✓ one only):						
<input type="checkbox"/> 受僱 Employed						
<input type="checkbox"/> 自僱 Self-employed						
<input type="checkbox"/> 學生 Student						
<input type="checkbox"/> 退休 Retired						
<input type="checkbox"/> 其他(請述明): Others (Please specify):						
僱主/自營業務/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.: ()		
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)				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:		
(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(請述明): Others (Please specify):		

(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 <input type="checkbox"/> 是，客戶是僱員／董事 Yes, Client is an employee / director <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 <input type="checkbox"/> 否 No <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 <input type="checkbox"/> 否 No <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 第二聯名帳戶持有人
Secondary Joint Account Holder

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

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)	
<p>客戶聲明及確認如下 (請於適當處✓)： The Client declares and confirms that (please ✓ as appropriate):</p> <p>(i) <input type="checkbox"/> 客戶乃帳戶之最終實益擁有人；或 the Client is the ultimate beneficial owner of the Account(s); or</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> <p>(ii) <input type="checkbox"/> 客戶不是獲證券及期貨事務監察委員會（「證監會」）發牌或註冊人士或該人士之董事或僱員；或 the Client is not a person, or director or employee of a person, licensed by or registered with the Securities and Futures Commission ("SFC"); or</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) 投資經驗 (可✓超過一項) Investment Experience (✓ one or more)	
<p>(請選一項✓) (Please choose one ✓)</p> <p>投資目標： Investment Objective:</p> <p> <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 </p> <p>(可✓超過一項) (✓ one or more)</p> <p>投資經驗： Investment Experience:</p> <p> <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): </p> <p>年數 No. of Year(s)</p> <p>[] [] []</p>	

Client's Knowledge on Derivative Products and Trading Experience *(Regulatory Requirements)*

☐ 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:

☐ 否
No

☐ 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:

☐ 否
No

☐ 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:

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:

☐ 否
No

☐ 有，本人已觀賞教育錄像。
Yes, I have seen the Educational Video on:

☐ 否
No

□ 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攔及建議的行為，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).

☐ 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.

備註: 基本及第二聯名帳戶持有人均需被歸納為對衍生產品有認識及/或有投資經驗，客戶的帳戶方能對在交易所買賣的衍生產品進行交易。

Remarks: In order for the Client's account to be allowed to trade in exchange-traded derivatives products, both the Primary and Secondary Joint Account Holders must be classified as having knowledge and/or experiences on derivative products.

(3) 法律文件接收人(只適用於海外客戶)
Process Agent (For Overseas Client only)

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—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達達之令狀、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，已構成對客戶妥善達達。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—國際及京華山一期貨行。此委任書所載的條款不應影響京華山—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.

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）。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.

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／或京華山一期貨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／或京華山一期貨。
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。

如帳戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。

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：如帳戶持有人是香港稅務居民，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-archieve.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-archieve.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 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) 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 replying securities collateral.