

Account No  
帳戶號碼

Elstone Securities Limited is a licensed corporation carrying out type 1 regulated activity under the Securities and Futures Ordinance (Cap. 571) of laws of Hong Kong with CE No. ACX624 and exchange participant of the Stock Exchange of Hong Kong Limited ("SEHK").  
根據香港法例 (第五七一章) 證券及期貨條例從事第一類受規管活動的持牌法團(中央編號 ACX624)及香港聯合交易所有限公司 "聯交所" 交易所參與者

## ACCOUNT OPENING INFORMATION FORM

### 開戶資料表格

#### Corporate Account 公司帳戶

##### 1. Account Type 帳戶類別

<input type="checkbox"/> Cash Account 現金戶口	<input type="checkbox"/> Margin Account 保證金戶口
<input type="checkbox"/> Account(s) requiring Internet Trading Service 選用網上證券交易服務	<input type="checkbox"/> Required 需要 <input type="checkbox"/> Not Required 不需要

##### 2. Corporate Information 公司資料

Company Name 公司名稱	English 英文		
	Chinese 中文		
Type of Company 公司類別			
<input type="checkbox"/> Listed Company 上市公司 <input type="checkbox"/> Limited Company 有限公司 <input type="checkbox"/> State-owned Company 國有企業 <input type="checkbox"/> Partnership 合夥經營 <input type="checkbox"/> Unlimited Company 無限公司 <input type="checkbox"/> Sole Proprietorship 獨資經營 <input type="checkbox"/> Others (Please specify) 其他(請註明) : _____			
Business Nature 業務性質			
Registered Address 註冊地址			
(Country 國家		Postal Code 郵編 )	
Business Address 營業地址			
(Country 國家		Postal Code 郵編 )	
Country of Incorporation 註冊國家	CI No. 註冊證書編號	BR No. 商業登記號碼	Date of Incorporation 註冊日期
(Country Code ) Office No ( ) (國家區號) 辦公室電話		(Country Code ) Mobile Phone No ( ) (國家區號) 流動電話號碼	
(Country Code ) Office Fax No ( ) (國家區號) 辦公室傳真號碼		Email Address 電郵地址	
Country(ies)/Jurisdiction(s) of Residence for Tax Purposes (please select one or more as applicable): 稅務居民所在國家/司法管轄區:			
<input type="checkbox"/> China 中國 <input type="checkbox"/> Hong Kong 中國香港 <input type="checkbox"/> United States 美國 <input type="checkbox"/> Others (Please specify) 其他(請註明) : _____			

### 3. Particulars of All Director(s) 所有董事資料

Name 姓名	Residential Address 住宅地址	ID No. / Passport No. 身份證號碼 / 護照號碼	Date of Birth 出生日期	Nationality / Citizenship 國籍 / 公民身份	Contact Tel. No 聯絡電話號碼
1					
2					
3					
4					

### 4. Shareholder Information 股東資料

Name 姓名	Residential Address 住宅地址	ID No. / Passport No. 身份證號碼 / 護照號碼	Date of Birth 出生日期	Share holding 所佔股權 (%)	Is Shareholder U.S. Person? 股東是否美國人士	Family Relationship with Other Shareholder(s) 與其他股東存在家屬關係
1					<input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是	<input type="checkbox"/> No 沒有 <input type="checkbox"/> Yes 有, <i>please specify (請註明)</i> _____
2					<input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是	<input type="checkbox"/> No 沒有 <input type="checkbox"/> Yes 有, <i>please specify (請註明)</i> _____
3					<input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是	<input type="checkbox"/> No 沒有 <input type="checkbox"/> Yes 有, <i>please specify (請註明)</i> _____
4					<input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是	<input type="checkbox"/> No 沒有 <input type="checkbox"/> Yes 有, <i>please specify (請註明)</i> _____

## 5. Financial Status 財務狀況

Paid-up Share Capital 繳足股本		Latest Liquid Assets Value 最近的流動資產值為	
Estimated Total Assets 估計總資產		Authorised Share Capital 法定股本	
Annual Sales (HK\$) 全年營業額 (港幣)	<input type="checkbox"/> < \$500,000 <input type="checkbox"/> \$500,001-\$1,000,000 <input type="checkbox"/> 1,000,001-\$ 5,000,000 <input type="checkbox"/> \$5,000,001-\$10,000,000 <input type="checkbox"/> \$10,000,001-\$50,000,000 <input type="checkbox"/> 50,000,001-\$100,000,000 <input type="checkbox"/> > \$100,000,000, Please specify 請註明: _____		
Annual Net Profit (HK\$) 全年淨利潤 (港幣)	<input type="checkbox"/> < \$500,000 <input type="checkbox"/> \$500,001-\$1,000,000 <input type="checkbox"/> 1,000,001-\$ 5,000,000 <input type="checkbox"/> \$5,000,001-\$10,000,000 <input type="checkbox"/> \$10,000,001-\$50,000,000 <input type="checkbox"/> 50,000,001-\$100,000,000 <input type="checkbox"/> > \$100,000,000, Please specify 請註明: _____		
Net Asset (HK\$) 淨資產 (港幣)	<input type="checkbox"/> < \$500,000 <input type="checkbox"/> \$500,001-\$1,000,000 <input type="checkbox"/> 1,000,001-\$ 5,000,000 <input type="checkbox"/> \$5,000,001-\$10,000,000 <input type="checkbox"/> \$10,000,001-\$50,000,000 <input type="checkbox"/> 50,000,001-\$100,000,000 <input type="checkbox"/> > \$100,000,000, Please specify 請註明: _____		
Source of Funds 資金來源	<input type="checkbox"/> Salary/Business Income <input type="checkbox"/> Return on Investment <input type="checkbox"/> Pension 薪俸/營業收入                      投資回報                      退休金 <input type="checkbox"/> Others (Please specify) 其他(請註明): _____		
Source of Wealth 財富來源	<input type="checkbox"/> Salary/Business Income <input type="checkbox"/> Sale of Property/Assets <input type="checkbox"/> Sale of Investment 薪俸/營業收入                      出售物業/資產                      投資回報 <input type="checkbox"/> Inheritance/Gift <input type="checkbox"/> Retirement Funds <input type="checkbox"/> Saving 遺產/贈物                      退休金                      儲蓄 <input type="checkbox"/> Others (Please specify) 其他(請註明): _____		

## 6. Anticipated Level of Transactions Per Month Section 預計每月交易概況

Anticipated Investment Products 預計投資產品	<input type="checkbox"/> Stocks <input type="checkbox"/> Mutual funds or Bonds <input type="checkbox"/> CBBC / Warrants <input type="checkbox"/> None 證券                      單位信托基金或債券                      牛熊證或窩輪                      沒有			
Anticipated Number of Transactions Per Month 預計每月交易次數	<input type="checkbox"/> ≤ 20 <input type="checkbox"/> 20-50 <input type="checkbox"/> ≥ 50 <input type="checkbox"/> Others _____ 其它	Anticipated Amount of Transactions Per Month (HKD) 預計每月交易金額 (港幣)	<input type="checkbox"/> ≤ HKD500,000 <input type="checkbox"/> HKD500,001 - HKD2,000,000 <input type="checkbox"/> HKD2,000,001 - HKD5,000,000 <input type="checkbox"/> ≥ HKD5,000,000 <input type="checkbox"/> Others _____ 其它	

## 7. Investment Experience and Objective 投資經驗及目標

Investment Objective 投資目標			
<input type="checkbox"/> Generating Income <input type="checkbox"/> Capital Appreciation <input type="checkbox"/> Hedging <input type="checkbox"/> Speculation <input type="checkbox"/> Others _____ 賺取收入                      資本增長                      對沖                      投機                      其他			
Investment Experience 投資經驗			
<input type="checkbox"/> Listed Securites 上市證券	<input type="checkbox"/> Yes, for _____ year(s) 有 _____ 年經驗	<input type="checkbox"/> None 沒有	
<input type="checkbox"/> Futures & Options 期貨及期權	<input type="checkbox"/> Yes, for _____ year(s) 有 _____ 年經驗	<input type="checkbox"/> None 沒有	
<input type="checkbox"/> Mutual funds or Bonds 單位信托基金或債券	<input type="checkbox"/> Yes, for _____ year(s) 有 _____ 年經驗	<input type="checkbox"/> None 沒有	
<input type="checkbox"/> CBBC / Warrants 牛熊證或窩輪	<input type="checkbox"/> Yes, for _____ year(s) 有 _____ 年經驗	<input type="checkbox"/> None 沒有	
<input type="checkbox"/> Leveraged Foreign Exchange 槓桿式外匯	<input type="checkbox"/> Yes, for _____ year(s) 有 _____ 年經驗	<input type="checkbox"/> None 沒有	
<input type="checkbox"/> Short Selling Experience 沽空經驗	<input type="checkbox"/> Yes, for _____ year(s) 有 _____ 年經驗	<input type="checkbox"/> None 沒有	
<input type="checkbox"/> Others _____ 其他			
<input type="checkbox"/> None 沒有			

## 8. Disclosure of Related Accounts (Regulatory Requirements) 披露關連帳戶 (監管機構規定)

1. Is any of the Client's group companies a client of ESL? 客戶之集團公司是否千里碩證券之客戶? <input type="checkbox"/> N/A <input type="checkbox"/> No <input type="checkbox"/> Yes, details of Client's group companies are: 不適用      否      是, 客戶之集團公司資料如下:	
Name of Account 帳戶名稱	Account No 帳戶號碼
2. Is/are the client's shareholder(s), director(s), partners(s), authorized person(s) or ultimate beneficial owner of the Account(s) a director or employee of ESL? 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千里碩證券之董事或僱員? <input type="checkbox"/> No <input type="checkbox"/> Yes, details as below: 否      是, 資料如下:	
The name of that director or employee: 該董事或僱員的姓名	
3. 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 ESL? 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」)與千里碩證券之董事或僱員是否有親屬關係? <input type="checkbox"/> No <input type="checkbox"/> Yes, details as below: 否      是, 資料如下:	
The name of that Relevant Person(s): 該有關人士的姓名	
Name of relevant director(s) or employee(s): 有關聯之董事或僱員的姓名	
Please specify the relationship with the relevant director(s) or employee: 該董事或僱員的姓名	
4. Does the Client and/or the Client's director/shareholder control 35% or more of the voting rights of any client of ESL? 客戶及/或客戶之董事/股東是否控制千里碩證券任何客戶的 35%或以上的表決權?	
Name of Account holder ( <i>the above controlling client</i> ) 帳戶持有人(即有上述控制權之客戶) 姓名	Account No 帳戶號碼

## 9. Other Disclosure 其他資料披露

The Client declares and confirms that: 客戶聲明及確認如下: Is the Client the ultimate beneficial owner(s) of the Account? 客戶是否此戶口的最終實益擁有人? <input type="checkbox"/> Yes <input type="checkbox"/> No, details of the ultimate beneficial owner(s) is/are 是      否, 帳戶的最終實益擁有人是:	
Name 姓名	ID No. 身份證號碼
Residential Address 住宅地址	Phone No. 電話號碼
<b>If the account holder is not the beneficial owner of income, each beneficial owner should provide a CRS Self-certification.</b> 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	
Is the Client a participant of a stock/futures exchange, or a licensed corporation with the SFC? 客戶是否證券/期貨交易所參與者或於證監會註冊的持牌法團? <input type="checkbox"/> No <input type="checkbox"/> Yes, the name of the related exchange participant or licensed corporation is: 否      是, 有關的交易所或監管機構是:	
Name of entity licensed by or institution registered: 持牌法團或註冊機構名稱:	

## 10. Authorized Trading Person 授權交易人士

The following individuals are authorized to execute trades on behalf of the Client.

下列人士均可對帳戶以書面或口頭形式發出交易命令或指示

Name of Authorized Person(s) 獲授權人姓名	ID No. / Passport No. 身份證號碼 / 護照號碼	Date of Birth 出生日期	Nationality / Citizenship 國籍 / 公民身份	Contact Tel. No. 聯絡電話號碼	Specimen Signature 獲授權人簽署
1					
2					
3					
4					
5					

## 11. Authorized Person 授權人士

Any \_\_\_\_\_ of the undersigned individuals are authorized to deposit/withdraw fund/shares to/from the Account, give settlement instructions and any other instructions on behalf of the Client and the specimen signatures appearing against their names are the true signatures of the authorized individuals:

以下任何\_\_\_\_\_位授權人士簽署均可代表公司對帳戶進行資金/股票存儲/提取，發出清算指令和其他有關帳戶的指令，而授權人士之真實簽名樣本已於其姓名旁邊顯示：

Name of Authorized Person(s) 獲授權人姓名	ID No. / Passport No. 身份證號碼 / 護照號碼	Date of Birth 出生日期	Nationality / Citizenship 國籍 / 公民身份	Contact Tel. No. 聯絡電話號碼	Specimen Signature 獲授權人簽署
1					
2					
3					
4					
5					

## 12. Authorized Person(s) Knowledge on Structured and Derivative Products

### 授權人士對結構性及衍生產品之認識

I understand the nature and risks of structured and derivative products by  
本人了解結構性及衍生產品之性質和風險

1. Undergoing relevant training or attending course in  
已接受培訓或課程

Regulatory Authority  Exchange  Tertiary Institution  Financial Institution Retired  Education Institution  
監管機構 交易所 大專院校 金融機構 進修學院

2. By gaining prior relevant work experience in financial institutions such as a brokerage firm or bank, fund house or asset management firm, regulatory authority or exchange  
於經紀公司或銀行、基金或資產管理公司、監管機構或交易所等金融機構擁有有關的工作經驗

Regulated Licensed Person  Management  Derivatives Related Back Office  
受監管持牌人士 管理層 與衍生工具相關後勤

3. Executing five or more transactions in derivative products (whether traded on an exchange or not) within the past three years.  
於過去三年內已進行了五次或以上有關結構性或衍生產品之交易(不論是否於交易所進行交易)

I have **NO** knowledge of Structured and derivative products  
本人並未有衍生產品之認識

### 13. Acknowledgement 確認

<b>US Foreign Account Tax Compliance Act (FATCA) – Self certification</b> 外國賬戶稅務合規法案 外國賬戶稅務合規法案 -自我聲明書				
Basic Information 基本資料	<input type="checkbox"/> U.S. Entity (incorporated, established, constituted or organized in U.S.) > complete U.S. IRS Form W-9 美國實體 (於美國註冊成立、設立、構成或組成) > 請填寫美國國稅局表格 W-9  <input type="checkbox"/> Non U.S. Entity 非美國實體			
For Non U.S. Entity, select only one of the followings from Item I or II 非美國實體只可選擇以下項目 I 或 II 其中之一項				
I. Financial Institution 金融機構	<input type="checkbox"/> Participating FFI 參與的外國金融機構 <input type="checkbox"/> Registered deemed-compliant FFI 已註冊的視作合規外國金融機構 <input type="checkbox"/> Reporting Model 1 FFI 以版本一申報的外國金融機構 <input type="checkbox"/> Reporting Model 2 FFI 以版本二申報的外國金融機構 <input type="checkbox"/> Global Intermediary Identification Number(GIIN) 全球中介人識別號碼: _____  <input type="checkbox"/> Non-Participating FFI 非參與的外國金融機構 <input type="checkbox"/> None of the above and please complete and submit appropriate U.S. IRS Form W-8. 不符合上述任何一項，在此情況下請填寫及遞交適當的美國國稅局表格 W-8。			
II. Non-Financial Institution 非金融機構	<input type="checkbox"/> Active Business 有實質業務活動的機構 - You derive at least 50% of your gross income (for the previous calendar year) from these Business activities and not from passive income such as investments, dividends, interests, rents or royalties, and 貴公司至少 50%總收入(以上一個曆年計)來自營業活動而非被動收入，例如：投資、股息、利息、租金或權利金，及 - At least 50% of the weighted average percentage of assets held by you (tested quarterly, using fair market value or book value of assets as reflected in your balance sheet) produce or are held to produce income for these business activities 貴公司所持有之加權平均資產(每個季度於資產負債表依照資產的公允市價或賬面價值計算)至少有 50%會產出或用以產出這些營業活動的收入 <input type="checkbox"/> Passive Investment 主要為被動投資收入的機構 - You derive more than 50% of your gross income (for the previous calendar year) from income such as investments, dividends, interests, rents or royalties, and 貴公司超過 50%總收入(以上一個曆年計)來自被動收入，例如：投資、股息、利息、租金或權利金，及 <input type="checkbox"/> You do not have substantial U.S. Owners who own at least 10% of your entity 貴公司並無屬於美國的主要股東(擁有貴公司最少 10%股權) <input type="checkbox"/> You have substantial U.S. Owners who own at least 10% of your entity, please fill in Part B. 貴公司有屬於美國的主要股東(擁有貴公司最少 10%股權)，如此項適用請填妥 B 部。 <input type="checkbox"/> None of the above and please complete and submit appropriate U.S. IRS Form W-8. 不符合上述任何一項，在此情況下請填寫及遞交適當的美國國稅局表格 W-8。			
<b>B. Information of Substantial U.S. Owner (For Passive investment that has substantial U.S. owners only).</b> 美國主要股東資料 (只供擁有美國主要股東之主要為被動投資收入機構填寫)				
	Name 姓名	Address 住址	TIN No 稅務編號	Percentage of Ownership 所有權百分比
1				
2				
3				
4				

**Self certification for Common Reporting Standard**

**共同匯報標準-自我證明表格**

<p><b>Financial Institution</b> 財務機構</p>	<p><input type="checkbox"/> (a) 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 投資實體，但不包括由另一財務機構管理位（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</p> <p><input type="checkbox"/> (b) Depository Institution, Custodial Institution or Specified Insurance Company 託管機構、存款機構或指明保險公司</p>
<p><b>Active Non-Financial Entity ("NFE")</b> 主動非財務實體</p>	<p><input type="checkbox"/> (c) a corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation. 其股票經常於一個認可證券市場進行交易的法團，或是屬於該法團的有關連實體的法團 Please provide the name of the established securities market on which the corporation is regularly traded: 請列明法團經常進行交易的認可證券市場的名稱： <input type="text"/></p> <p>If the Account Holder is a Related Entity of a regularly traded corporation, please provide the name of the regularly traded corporation: 如帳戶持有人是屬於經常於一個認可證券市場進行交易的法團的有關連實體，請提供該法團的名稱： <input type="text"/></p> <p><input type="checkbox"/> (d) a Government Entity or Central Bank 政府實體及中央銀行</p> <p><input type="checkbox"/> (e) an International Organisation 國際組織</p> <p><input type="checkbox"/> (f) Active NFE other than the above, please specify: (for example, a start-up NFE or a non-profit NFE) 除上述以外的主動非財務實體，請註明（例如：初創非財務實體、非牟利財務實體） <input type="text"/></p>
<p><b>Passive NFE</b> 被動非財務實體</p>	<p><input type="checkbox"/> (g) any NFE that is not an active NFE (Note: if ticking this box please also complete Section B below) 任何不屬於主動非財務實體的非財務實體（注意：如剔選本欄，請提供以下第B節的資料及表格）</p> <p><input type="checkbox"/> (h) An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution (Note: if ticking this box please also complete Section B below) 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（注意：如剔選本欄，請提供以下第B節的資料及表格）</p>

**B. If the Entity Account Holder is a passive NFE, please:**

如實體帳戶持有人是被動非財務實體，請：

(a) Complete "Self-Certification Form – Controlling Person" for each Controlling Person.\*

每名控權人必須分別填寫一份「自我證明表格 – 控權人」

(b) 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.\* (Please see the definition of Controlling Person in Appendix)

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。（請參閱附錄中的控權人的定義）

**Country/Jurisdiction of Residence for Tax Purposes and related Taxpayer Identification Number or functional equivalent\* ("TIN")**

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」）

Please complete the following table indicating (i) where the Account Holder is tax resident and (ii) the Account Holder's TIN for each country/Reportable Jurisdiction indicated. Countries/Jurisdictions adopting the wider approach may require that the self-certification include a tax identifying number for each jurisdiction of residence (rather than for each Reportable Jurisdiction).

請提供以下資料，列明（i）帳戶持有人的居留司法管轄區及（ii）該國家 / 居留司法管轄區發給帳戶持有人的稅務編號。採用更廣泛方法的國家 / 司法管轄區可能要求自我證明包括每個國家 / 居住管轄區的稅務識別號碼（而不是每個可報告的司法管轄區）。

If the Account Holder is not tax resident in any country/jurisdiction (e.g., because it is fiscally transparent), please indicate that on line 1 and provide its place of effective management or jurisdiction in which its principal office is located.

如帳戶持有人並非任何國家 / 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。

If the Account Holder is a tax resident of Hong Kong, Business Registration Number will be equivalent to TIN.

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。

If the Account Holder is a tax resident of China, Business Licence Number will be equivalent to TIN.

如帳戶持有人是中國稅務居民，稅務編號是其營業執照號碼。

If the Account Holder is tax resident in more than three countries/jurisdictions, please use a separate sheet.

如帳戶持有人是超過3個國家 / 居留司法管轄區的稅務居民，請使用另一張單獨表格填寫。

If a TIN is unavailable please provide the appropriate reason **A, B or C** where indicated below:

如未能提供稅務編號，必須填寫合適的理由 A, B 或 C：

**Reason A** – The country/jurisdiction where the Account Holder is resident does not issue TINs to its residents

**理由 A** 帳戶持有人的國家 / 居留司法管轄區並沒有向其居民發出稅務編號。

**Reason B** – The Account Holder is otherwise unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN in the below table if you have selected this reason)

**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。）

**Reason C** – No TIN is required. (Note. Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction)

**理由 C** 帳戶持有人毋須提供稅務編號。（這理由只適用於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。）

Country / Jurisdiction of tax residence 國家 / 居留司法管轄區	Tax Identification Number ("TIN") 稅務編號	If no TIN available enter Reason A, B or C 如未能提供稅務編號，請別選理由 A、B 或 C
1		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C
2		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C
3		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C
4		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C

Please explain in the following boxes why you are unable to obtain a TIN if you selected Reason B above.

如選取理由 B，請解釋控權人未能取得稅務編號的原因

1	
2	
3	
4	

#### 14. Bank Account Information (For fund deposit and fund withdrawal only)

戶口資料 (只供存款及提款用途)

Bank Name 銀行名稱	
Account Name 戶口持有人姓名	Account No 戶口編號
Account Type <input type="checkbox"/> Savings 儲蓄 <input type="checkbox"/> Current 往來 <input type="checkbox"/> Others 其它 戶口類別	

#### 15. Correspondence 郵寄通訊

Preferred mailing method (please select either one)

請選擇您的通訊方式 (只選一項)

Residential Address     Correspondence Address     E-mail Address  
註冊地址    通訊地址    電郵地址



## 16. Declaration by Client 客戶聲明

The information contained in this Account Opening Information Form is true and accurate. Elstone Securities Limited("ESL") is entitled to rely fully on such information and representations for applicable purposes (including any change hereof in writing as received by ESL). ESL is authorized at any time to contact anyone, including your banks, brokers or any credit agency, for the purpose of verifying the information provide on this Account Opening Information Form.

本開戶表的資料均屬真實及正確。千里碩證券有限公司(“千里碩”)完全可以依靠這些資料及陳述作適當用途(包括任何收到書面通知的更新客戶資料)。客戶授權千里碩可在任何時間聯絡任何人，包括客戶的銀行、經紀等或任何信貸機構，藉以確定及查證本開戶表內的資料。

We the undersigned Client(s), confirm that prior to engagement of any of Elstone Securities Limited("ESL") service(s), have read and understood the provisions of the current version of the Client Master Agreement of ESL ("Agreement" ) of which this document forms a part. We hereby apply to open the above type of account(s) and agree to be bound by the Agreement including its General Terms and Conditions and all other relevant Schedule(s) as the same may be amended from time to time. We acknowledge and confirm that ESL has provided the Risk Disclosure Statements annexed hereto in a language of my/our choice (Chinese/English) and We have been invited to read the Risk Disclosure Statements, to ask questions and take independent advice if We wish.

吾等，下述簽署客戶/聯名客戶，明白使用任何千里碩證券有限公司(“千里碩”)之服務前，當已閱讀及明白千里碩最新版本的客戶綜合協議書(“該協議書”)而本文件乃該協議書的一部份。吾等現申請開立上述類別的帳戶，並同意接受可不時被修改的該協議書包括其一般條款及有關的附表所約束。吾等確認已獲提供按吾等選擇的語言(中文/英文)附於本表之風險披露聲明，並提出問題及徵求獨立的意見(如吾等有此意願)。

We hereby confirm that the above information on structured and derivative products knowledge provided is true and complete. We also understand that Elstone Securities Limited will rely on the above information provided to assess whether we have acquired knowledge of structured and derivative products, in order to comply with relevant requirements of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.

吾等確認對結構性及衍生產品之認識資料完全真實及完整，並明白千里碩證券有限公司將根據上述資料界定吾等是否擁有對結構性及衍生產品之認識，以符合證券及期貨事務監察委員會持牌人或註冊人操守準則之有關要求。

We understand that the term "U.S. person" means any citizen or resident of the United States.

吾等明白所謂「美國人」是指任何美國公民或居民。

We understand that the information supplied by me is covered by the full provisions of the terms and conditions governing the Account Holder's relationship with Elstone Securities Limited ("ESL") setting out how ESL may use, share, transfer and retain the information supplied by me.

吾等明白及同意本人所提供的資料可按照帳戶持有人與千里碩證券有限公司(「千里碩」)簽訂的客戶協議所載的條款和條件而使用、分享、轉交及保存。

We acknowledge that the information contained in this form and information regarding the Account Holder and any Reportable Account(s) may be provided to the tax authorities of the country/jurisdiction in which this account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which the Account Holder may be tax resident pursuant to intergovernmental agreements to exchange financial account information.

吾等承諾本表格中包含的資料以及有關帳戶持有人和任何須予申報帳戶的資料可以提供予與保持該帳戶的國家 / 司法管轄區的稅務機關，及與另一個國家 / 司法管轄區或根據政府間協議帳戶持有人可能是稅務居民的國家 / 司法管轄區的稅務機關交換財務帳戶資料。

We certify that I am the Account Holder (or am authorised to sign for the Account Holder) of all the account(s) to which this form relates.

吾等證明，就與本表格所有相關的帳戶，本人是帳戶持有人(或是獲帳戶持有人授權簽署代表)。

We declare that the information provided in and all statements made in this form are, to the best of my knowledge and belief, correct, accurate and complete.

吾等聲明盡本人所知及確信，此表格所提供的所有資料和聲明均屬真實、準確及完整。

We undertake to advise ESL of any change in circumstances which affects the tax residency status of the individual identified of this form or causes the information contained herein to become incorrect or incomplete, and to provide ESL with a suitably updated self-certification and Declaration within 30 days of such change in circumstances.

吾等承諾，如情況有所改變，以致影響本表格所述的個人的稅務居民身分，或引致本表格所載的資料不正確或不完整，本人會通知千里碩，並會在情況發生改變後30日內，向千里碩提交一份已適當更新表格。

We acknowledge we have read, understand and agree with the content of the Personal Information Collection Statement of ESL. We further agree to any revision or amendment that ESL may from time to time make in respect of any content of the Personal Information Collection Statement by notice to us. Where personal data or information relating to any of our representatives (including directors, employees, agents, customers (direct or indirect) or affiliates) or any third party is provided to or held by ESL in the course of our business dealings with ESL, we undertake that we have obtained the consent of the relevant representatives/parties to enable ESL to use, process, deal, share or transfer such data or information for the purposes set out in the Personal Information Collection Statement and we further undertake to promptly provide evidence of such consents to ESL upon request from time to time.

吾等確認已閱讀、明白及同意千里碩證券有限公司(稱「千里碩」)之個人資料收集聲明之內容。吾等亦同意千里碩可以在任何時間、在通知吾等後修改個人資料收集聲明之內容。如吾等在與千里碩進行業務交往過程中向千里碩提供或被千里碩持有吾等任何代表(包括董事、僱員、代理、客戶(直接或間接)或關聯方)或任何第三方的個人資料或資訊，吾等承諾吾等已經獲得相關代表或第三方的同意，准許千里碩按照個人資料收集聲明之目的使用、處理、處置、分享或轉移該等資料或資訊，吾等並且承諾在千里碩提出要求時及時向千里碩提供有關上述同意的證明。

<p>Authorized person signature 客戶授權人士簽署</p> <div style="border: 1px solid black; height: 100px; width: 100%;"></div> <p>Client Name 客戶姓名</p> <p>Date 日期</p>	<p>Company chop 印章式樣</p>
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### 17. Declaration By Staff 職員聲明

<p>I have fully explained the contents of the risk disclosure statement to _____ (Name of client) in a language (Chinese/English) which the client(s) fully understand(s) and have invited the client(s) to read of the Client Master Agreement - Risk Disclosure Statement, ask(s) questions and take independent advice if required.</p> <p>我已經按客戶明白的語言(中文/英文)向 _____ (客戶姓名)提出問題及徵求獨立的意見，並已邀請客戶閱讀客戶綜合協議書內的風險披露聲明，清楚解釋風險披露聲明書的內容(如客戶有此意願)。</p> <p>I hereby confirm that I have carried out the necessary Customer Due Diligence (“CDD”) and Know Your Client (“KYC”) procedures according to the Anti Money Laundering Manual, Customer Due Diligence Manual and Client Identity Rule Policy Manual of ESL for the above client(s).</p> <p>本人確認已根據我司的反洗錢手冊、客戶盡職審查手冊及客戶身分規則的政策，對上述客戶貫徹執行必需的客戶盡職審查及認識你的客戶程序。</p>	
<p>Signed by licensed representative 持牌代表簽署</p> <div style="border: 1px solid black; height: 100px; width: 100%;"></div> <p>Date 日期</p>	<p>Full name of Licensed Person ( in block letters) 持牌人之全名 (以正楷填寫)</p> <p>CE No. 中央編號</p>

**Document check list 文件清單****For Hong Kong registered companies, the following documents should be provided with the application:****香港註冊公司須連同申請書及附上以下文件:**

- Copies of the HONG KONG ID cards/passports of the Authorised Persons / Directors / Substantial Shareholders / ultimate principal beneficial owners named in the Securities Trading Account Application  
列名於證券交易帳戶申請書各授權人士/董事/股東/最終實益持有人之身份證/護照的副本
- A certified true copy of the Business Registration Certificate of the Applicant  
申請人商業登記證的核證副本
- Address proof of residence (e.g. bank statement within the recent 3 months) of the Applicant.  
申請人之地址證明 (如最近三個月印有申請人名稱的銀行月結單)。
- Certified true copy of Certificate of Incorporation.  
註冊成立證書的核證副本。
- Certified true copy of Memorandum and Articles of Association  
組織章程大綱及章程細則的核證副本。
- Address proof of residence e.g. water / electricity / gas bills / bank statement (within the recent 3 months) of the directors/substantial shareholders/ ultimate principal beneficial owners.  
董事/股東/最終實益持有人的住址證明 (如最近三個月印有董事/股東/最終實益持有人姓名的水電煤氣等賬單或銀行月結單等)。
- Original copy or certified true copy of board resolutions approving the terms and authorising the execution of the Client Agreement.  
批准本合約條款及按上述形式簽署本合約董事會決議案的正本或核證副本
- If an ultimate beneficiary is not an Applicant, a certified copy of the Certificate of Incorporation and the Business Registration Certificate (if a corporation) or a copy of the Hong Kong ID card / passport (if an individual) of the ultimate beneficiary.  
倘申請人並非最終實益擁有人，則須隨附最終實益擁有人的註冊成立證書及商業登記證核證副本(如屬公司)或身份證/護照副本(如屬個人)。

**For B.V.I. and other non-Hong Kong registered companies, the following documents should be provided with the application:****英屬處女群島及其他香港境外註冊公司須連同申請書及附上以下文件:**

- Copies of the HONG KONG ID cards/passports of the Authorised Persons / Directors / Substantial Shareholders / ultimate principal beneficial owners named in the Securities Trading Account Application  
列名於證券交易帳戶申請書各授權人士/董事/股東/最終實益持有人之身份證/護照的副本
- Address proof of residence e.g. water / electricity / gas bills / bank statement (within the recent 3 months) of the directors/substantial shareholders/ ultimate principal beneficial owners.  
董事/股東/最終實益持有人的住址證明 (如最近三個月印有董事/股東/最終實益持有人姓名的水電煤氣等賬單或銀行月結單等)。
- A certificate of incumbency, or Registered Agents Certificate identifying the current directors and officers, verified or issued by the registered agent of the Company.  
經本公司註冊代理核證或發出確認現任董事及高級人員的在職證書或註冊代理證書
- A Certificate of Good Standing or document to the same extent, showing if the corporation is more than 12 months old, a current copy of the receipt of license fee issued by the relevant Registrar of Companies, or a document remitting the fee and stamped as having arrived at the Registers office  
顯示公司已成立 12 個月以上的已繳稅證書或作用相同的文件、最近期由有關公司註冊處發出的牌照費收據副本或匯費文件並由公司註冊處辦事處蓋章以示收妥。
- Original copy or certified true copy of Resolution of Company's Board authorising the opening of the account(s) and directors persons authorized.  
授權開立帳戶及獲授權董事/人士的公司董事會決議案的正本或核證副本
- Details of the true beneficial ownership of the company.(e.g. Register of Shareholders)  
公司實益擁有權的真確資料。(如：股東登記冊)
- (For authorized person) Certified true copy of Identity Card or Passport (if applicable)  
(如屬授權人士) 身份證或護照核證副本(如適用)
- Register of Directors.  
董事登記冊
- Letter of Guarantee  
擔保書

**Remark 備註:**

**All copy of documents submitted to our company should be certified true with signature and date by a practicing solicitor or a practicing accountant. Alternatively, the same documents could be certified true by the designated staff at our Office upon your presenting the originals and copies. (Designated staff means Director or Compliance Department).**

所有提交本公司的副本文件須經執業律師或執業會計師認證簽署並寫上日期。申請人亦可攜同文件正本及副本到本公司給指定職員認證。(指定職員指董事或合規部職員)

**Client Information and Document Check By 客戶資料及文件查核**

AE Name 客戶主任姓名	AE Code 客戶主任編號	Date 日期
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**Margin and Credit Limit and Commission Rate 信貸及佣金**

Margin Limit 保證金額	Credit Limit 信貸額:
Commission Rate(%) 佣金(%):	Minimum(HK\$) 最低佣金(HK\$):

**Account Opening Approval 開戶批核**

Name of Staff 職員姓名	Signature of Staff 職員簽署	Position 職位
Remarks 備註		