

**ACCOUNT OPENING FORM – INDIVIDUAL/JOINT ACCOUNT****開戶書- 個人/聯名戶口**

EXCSOF2108001

This form shall be read with Terms and Conditions of the Client Agreement.

此表格須與客戶協議內的條款及條件一併閱讀。

<b>Account No 客戶編號</b>		<b>Account Opening Date 開戶日期</b>	
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<b>Account Type 帳戶類別</b>	
<input type="checkbox"/> Individual Account 個人帳戶	<input type="checkbox"/> Joint Account 聯名帳戶 Relationship with Primary Account Holder 與帳戶第一持有人的關係: _____
Hong Kong Securities A/C 香港證券帳戶	<input type="checkbox"/> Cash Securities Account 證券現金帳戶 <input type="checkbox"/> Margin Securities Account 證券保證金帳戶 <input type="checkbox"/> Stock Options Account 股票期權帳戶
Hong Kong and Global Futures A/C 香港及環球期貨帳戶	<input type="checkbox"/> Hong Kong and Global Futures A/C 香港及環球期貨帳戶

<b>Personal Information 個人資料</b>		
	<b>Individual / Primary Joint A/C Holder's Personal Data</b> 個人 / 聯名帳戶第一持有人的個人資料	<b>Secondary Joint A/C Holder's Personal Data</b> 聯名帳戶第二持有人的個人資料
<b>Name of client</b> 客戶名稱	(English 英文) _____ (Chinese 中文) _____	(English 英文) _____ (Chinese 中文) _____
<b>Gender 性別</b>	<input type="checkbox"/> Male 男 <input type="checkbox"/> Female 女	<input type="checkbox"/> Male 男 <input type="checkbox"/> Female 女
<b>Marital Status</b> 婚姻狀況	<input type="checkbox"/> Single 未婚 <input type="checkbox"/> Divorced 離婚 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Widowed 喪偶 _____	<input type="checkbox"/> Single 未婚 <input type="checkbox"/> Divorced 離婚 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Widowed 喪偶 _____
<b>Residential Address</b> 住宅地址	_____ _____ _____	_____ _____ _____
<b>Nature of Occupancy</b> 住宅類別	<input type="checkbox"/> Owned (No Mortgage) 自置 (無按揭) <input type="checkbox"/> With Parents 與父母同住 <input type="checkbox"/> Relative's 親屬樓宇 <input type="checkbox"/> Mortgaged / Monthly Installment 按揭/每月供款 HK\$ _____ <input type="checkbox"/> Rented / Monthly Rental 租用/每月租金 HK\$ _____ <input type="checkbox"/> Quarters 宿舍	<input type="checkbox"/> Owned (No Mortgage) 自置 (無按揭) <input type="checkbox"/> With Parents 與父母同住 <input type="checkbox"/> Relative's 親屬樓宇 <input type="checkbox"/> Mortgaged / Monthly Installment 按揭/每月供款 HK\$ _____ <input type="checkbox"/> Rented / Monthly Rental 租用/每月租金 HK\$ _____ <input type="checkbox"/> Quarters 宿舍
<b>Correspondence Address</b> 通訊地址 (if different from above 如與住宅地址不同)	_____ _____ _____	_____ _____ _____
<b>E-mail Address</b> 電郵地址	_____	_____
all combined contract note and daily statement, monthly statement and further correspondence will be sent to the e-mail address as stated. 日後所有綜合成交單據、月結單及所有信函將寄往登記電郵地址。		

Home Telephone No. 住宅電話		
Mobile Phone No. 流動電話		
ID Card No / Passport No 身份證/護照號碼	Place of Issue 簽發地區	Place of Issue 簽發地區
Place of Birth 出生地區		
Nationality 國籍		
Date of Birth 出生日期		
Education Level 學歷程度	<input type="checkbox"/> Primary School 小學 <input type="checkbox"/> Secondary School 中學 <input type="checkbox"/> University or above 大學或以上	<input type="checkbox"/> Primary School 小學 <input type="checkbox"/> Secondary School 中學 <input type="checkbox"/> University or above 大學或以上

Bank Account 銀行帳戶	
Name of Bank 收款銀行名稱	Account Number 帳戶號碼

Business / Employment Status 業務/工作狀況				
Employment Status 就業情況	<input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Full-time employed 全職 <input type="checkbox"/> Part-time employed 兼職 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Others (Please Specify) 其他 (請說明) : _____		<input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Full-time employed 全職 <input type="checkbox"/> Part-time employed 兼職 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Others (Please Specify) 其他 (請說明) : _____	
Name of Employer 受僱/自僱機構名稱				
Nature or Business 業務性質	<input type="checkbox"/> Business Services 商業服務 <input type="checkbox"/> Communication 通訊業 <input type="checkbox"/> Construction 建築業 <input type="checkbox"/> Entertainment 娛樂行業 <input type="checkbox"/> Healthcare/Beauty 醫護/美容 <input type="checkbox"/> Manufacturing 製造業 <input type="checkbox"/> Money Exchange 貨幣兌換 <input type="checkbox"/> Real Estate 房地產 <input type="checkbox"/> Tourism 旅遊業 <input type="checkbox"/> Trading 貿易	<input type="checkbox"/> Engineering 工程 <input type="checkbox"/> Finance 金融業 <input type="checkbox"/> Gambling 博彩業 <input type="checkbox"/> Insurance 保險業 <input type="checkbox"/> Hotels 酒店業 <input type="checkbox"/> Legal 法律服務 <input type="checkbox"/> Logistics 物流業 <input type="checkbox"/> Retail 零售業 <input type="checkbox"/> Restaurants 餐飲業 <input type="checkbox"/> Transportation 運輸業	<input type="checkbox"/> Business Services 商業服務 <input type="checkbox"/> Communication 通訊業 <input type="checkbox"/> Construction 建築業 <input type="checkbox"/> Entertainment 娛樂行業 <input type="checkbox"/> Healthcare/Beauty 醫護/美容 <input type="checkbox"/> Manufacturing 製造業 <input type="checkbox"/> Money Exchange 貨幣兌換 <input type="checkbox"/> Real Estate 房地產 <input type="checkbox"/> Tourism 旅遊業 <input type="checkbox"/> Trading 貿易	<input type="checkbox"/> Engineering 工程 <input type="checkbox"/> Finance 金融業 <input type="checkbox"/> Gambling 博彩業 <input type="checkbox"/> Insurance 保險業 <input type="checkbox"/> Hotels 酒店業 <input type="checkbox"/> Legal 法律服務 <input type="checkbox"/> Logistics 物流業 <input type="checkbox"/> Retail 零售業 <input type="checkbox"/> Restaurants 餐飲業 <input type="checkbox"/> Transportation 運輸業
	<input type="checkbox"/> Others (Please Specify) 其他 (請說明) : _____		<input type="checkbox"/> Others (Please Specify) 其他 (請說明) : _____	
Occupation / Position 職業/職位				
Years in Occupation 從業年期				
Office Phone No. 公司電話				
Business Address 商業地址				

Financial Status 財政狀況		
Estimated Annual Income (HK\$) 估計每年收入 (港元)	<input type="checkbox"/> Less than or equal to HK\$200,000 或以下 <input type="checkbox"/> HK\$200,001 – HK\$500,000 <input type="checkbox"/> HK\$500,001 – HK\$1,000,000 <input type="checkbox"/> HK\$1,000,001 – HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001 – HK\$10,000,000 <input type="checkbox"/> Above HK\$10,000,000 以上	<input type="checkbox"/> Less than or equal to HK\$200,000 或以下 <input type="checkbox"/> HK\$200,001 – HK\$500,000 <input type="checkbox"/> HK\$500,001 – HK\$1,000,000 <input type="checkbox"/> HK\$1,000,001 – HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001 – HK\$10,000,000 <input type="checkbox"/> Above HK\$10,000,000 以上
Source(s) of Income (may choose more than one option) 收入來源 (可選擇一項或多項)	<input type="checkbox"/> Salary and/or bonus 薪金及/或花紅 <input type="checkbox"/> Saving 儲蓄 <input type="checkbox"/> Pension 養老金 <input type="checkbox"/> Rental Income 租金收入 <input type="checkbox"/> Investment Income 投資獲利 <input type="checkbox"/> Dividend 股息 <input type="checkbox"/> Others (Please specify) 其他 (請說明): _____	<input type="checkbox"/> Salary and/or bonus 薪金及/或花紅 <input type="checkbox"/> Saving 儲蓄 <input type="checkbox"/> Pension 養老金 <input type="checkbox"/> Rental Income 租金收入 <input type="checkbox"/> Investment Income 投資獲利 <input type="checkbox"/> Dividend 股息 <input type="checkbox"/> Others (Please specify) 其他 (請說明): _____
Approximate Total Net Worth (HK\$) 估計資產淨值 (港元)	<input type="checkbox"/> Less than or equal to HK\$100,000 或以下 <input type="checkbox"/> HK\$100,001 – HK\$499,999 <input type="checkbox"/> HK\$500,000 – HK\$999,999 <input type="checkbox"/> HK\$1,000,000 – HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001 – HK\$10,000,000 <input type="checkbox"/> Above HK\$10,000,000 以上	<input type="checkbox"/> Less than or equal to HK\$100,000 或以下 <input type="checkbox"/> HK\$100,001 – HK\$499,999 <input type="checkbox"/> HK\$500,000 – HK\$999,999 <input type="checkbox"/> HK\$1,000,000 – HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001 – HK\$10,000,000 <input type="checkbox"/> Above HK\$10,000,000 以上
Source(s) of Wealth (may choose more than one option) 財富來源 (可選擇一項或多項)	<input type="checkbox"/> Previous positions 過往職務 <input type="checkbox"/> Family Estate 家族財產/ Inheritance 遺產繼承 <input type="checkbox"/> Sale of property/Assets 出售物業/資產 <input type="checkbox"/> Sale of Investment 投資回報 <input type="checkbox"/> Retirement Funds 退休金 <input type="checkbox"/> Others (Please specify) 其他 (請說明): _____	<input type="checkbox"/> Previous positions 過往職務 <input type="checkbox"/> Family Estate 家族財產/ Inheritance 遺產繼承 <input type="checkbox"/> Sale of property/Assets 出售物業/資產 <input type="checkbox"/> Sale of Investment 投資回報 <input type="checkbox"/> Retirement Funds 退休金 <input type="checkbox"/> Others (Please specify) 其他 (請說明): _____
Ever been declared bankruptcy? 有否曾經破產?	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 有; if yes, state date rehabilitated 如有請提供撤銷破產日期: _____	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 有; if yes, state date rehabilitated 如有請提供撤銷破產日期: _____

Account Transaction Information 帳戶交易資料		
Estimated Amount for Investment at Account Opening 開戶時預計用作投資的金額	<input type="checkbox"/> Less than or equal to HK\$100,000 或以下 <input type="checkbox"/> HK\$100,001 – HK\$500,000 <input type="checkbox"/> HK\$500,001 – HK\$1,000,000 <input type="checkbox"/> HK\$1,000,001 – HK\$5,000,000 <input type="checkbox"/> Above HK\$5,000,000 以上	<input type="checkbox"/> Less than or equal to HK\$100,000 或以下 <input type="checkbox"/> HK\$100,001 – HK\$500,000 <input type="checkbox"/> HK\$500,001 – HK\$1,000,000 <input type="checkbox"/> HK\$1,000,001 – HK\$5,000,000 <input type="checkbox"/> Above HK\$5,000,000 以上
Approximate Transaction Frequency Per Month 預期每月帳戶交易筆數	<input type="checkbox"/> ≤ 100 <input type="checkbox"/> 101 – 200 <input type="checkbox"/> 201 – 500 <input type="checkbox"/> 501 – 1000 <input type="checkbox"/> > 1000	<input type="checkbox"/> ≤ 100 <input type="checkbox"/> 101 – 200 <input type="checkbox"/> 201 – 500 <input type="checkbox"/> 501 – 1000 <input type="checkbox"/> > 1000

Investment Experience and Product Knowledge 投資經驗及對產品認識		
Investment Experience of Products (may choose more than one option) 產品投資經驗 (可選擇一項或多項)	<input type="checkbox"/> HK Listed Stocks 香港上市股票 <input type="checkbox"/> Overseas Listed Stocks 海外上市股票 <input type="checkbox"/> China A-shares 中國 A 股 <input type="checkbox"/> HK Futures & Options 香港期貨及期權 <input type="checkbox"/> Overseas Futures & Options 海外期貨及期權 <input type="checkbox"/> Mutual Funds or Unit Trust 互惠基金或單位信託 <input type="checkbox"/> Bonds 債券 <input type="checkbox"/> Others (Please specify) 其他 (請說明): _____ <input type="checkbox"/> None 沒有	<input type="checkbox"/> HK Listed Stocks 香港上市股票 <input type="checkbox"/> Overseas Listed Stocks 海外上市股票 <input type="checkbox"/> China A-shares 中國 A 股 <input type="checkbox"/> HK Futures & Options 香港期貨及期權 <input type="checkbox"/> Overseas Futures & Options 海外期貨及期權 <input type="checkbox"/> Mutual Funds or Unit Trust 互惠基金或單位信託 <input type="checkbox"/> Bonds 債券 <input type="checkbox"/> Others (Please specify) 其他 (請說明): _____ <input type="checkbox"/> None 沒有
Years of Experience in Securities Investment 證券投資經驗年期:	<input type="checkbox"/> Nil 沒有 <input type="checkbox"/> 1-3 years 一至三年 <input type="checkbox"/> 3-5 years 三至五年 <input type="checkbox"/> 5-10 years 五至十年 <input type="checkbox"/> Over 10 years 超過十年	<input type="checkbox"/> Nil 沒有 <input type="checkbox"/> 1-3 years 一至三年 <input type="checkbox"/> 3-5 years 三至五年 <input type="checkbox"/> 5-10 years 五至十年 <input type="checkbox"/> Over 10 years 超過十年
Investment Objectives (may choose more than one option) 投資目標 (可選擇一項或多項)	<input type="checkbox"/> Capital appreciation 資本增值 <input type="checkbox"/> Dividend 股息收益 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Long-term investment 長線投資 <input type="checkbox"/> Short-term trading 短線買賣 <input type="checkbox"/> Others (Please specify) 其他 (請說明): _____	<input type="checkbox"/> Capital appreciation 資本增值 <input type="checkbox"/> Dividend 股息收益 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Long-term investment 長線投資 <input type="checkbox"/> Short-term trading 短線買賣 <input type="checkbox"/> Others (Please specify) 其他 (請說明): _____

### Derivative Products Knowledge 對衍生產品的認識

<p><b>a) Has any of your previous trading experience ever been related to structured or derivative product(s)?</b> 您以往曾有買賣結構性或衍生產品的經驗?</p>	<p><input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是</p> <p>please state the structured or derivative product(s) you traded (may choose more than one option) 請提供有關的產品名稱 (可選擇一項或多項)</p> <p><input type="checkbox"/> Exchange Traded Convertible Bonds 交易所買賣換股債券</p> <p><input type="checkbox"/> Derivative Warrants 衍生認股證</p> <p><input type="checkbox"/> Callable Bull/Bear Contracts (CBBC) 牛熊證</p> <p><input type="checkbox"/> Exchange Traded Funds (ETF) 交易所買賣基金</p> <p><input type="checkbox"/> Rights 供股權</p> <p><input type="checkbox"/> Futures and Options 期貨或期權合約交易</p> <p><input type="checkbox"/> Stock Options 股票期權</p> <p><input type="checkbox"/> Equity Linked Instruments / Notes (ELI/ELN) 股票掛鉤產品</p> <p><input type="checkbox"/> Others 其他: _____</p>	<p><input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是</p> <p>please state the structured or derivative product(s) you traded (may choose more than one option) 請提供有關的產品名稱 (可選擇一項或多項)</p> <p><input type="checkbox"/> Exchange Traded Convertible Bonds 交易所買賣換股債券</p> <p><input type="checkbox"/> Derivative Warrants 衍生認股證</p> <p><input type="checkbox"/> Callable Bull/Bear Contracts (CBBC) 牛熊證</p> <p><input type="checkbox"/> Exchange Traded Funds (ETF) 交易所買賣基金</p> <p><input type="checkbox"/> Rights 供股權</p> <p><input type="checkbox"/> Futures and Options 期貨或期權合約交易</p> <p><input type="checkbox"/> Stock Options 股票期權</p> <p><input type="checkbox"/> Equity Linked Instruments / Notes (ELI/ELN) 股票掛鉤產品</p> <p><input type="checkbox"/> Others 其他: _____</p>
<p><b>Have you executed five or more than five transactions in any structured or derivative product (whether traded on an Exchange or not) within the past three years?</b> 您是否曾在過去三年執行過五次或以上有關任何結構性或衍生產品的交易 (不論是否在交易所買賣) 的交易?</p>	<p><input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是</p>	<p><input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是</p>
<p><b>Have you ever attended any trainings or courses on structured or derivative product(s)?</b> 您曾否接受有關結構性或衍生產品的培訓或修讀相關課程?</p>	<p><input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是</p>	<p><input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是</p>
<p><b>Has any of your current or previous work experience been related to structured or derivative products(s)?</b> 您現時或以往的工作經驗是否與結構性或衍生產品有關?</p>	<p><input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是</p> <p>please specify 請說明:</p> <p>_____</p> <p>_____</p>	<p><input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是</p> <p>please specify 請說明:</p> <p>_____</p> <p>_____</p>
<p><b>For clients who do not have any of the above-mentioned derivative products knowledge and experience, such clients will be considered as without knowledge of structured and / or derivatives product(s). Before trading in structured and/ or derivative product(s), the Client has read and understood the risks disclosure statements of Derivatives traded on Exchange included in the Client Agreement and agree to bear the risks involved.</b> 如客戶沒有以上任何一項結構性及/或衍生工具產品的經驗及認識, 客戶將被視作沒有結構性及/或衍生工具產品認識。在客戶買賣結構性及/或衍生工具產品之前, 客戶就此確認已閱讀及理解包括於客戶協議中有關在交易所買賣的衍生產品的風險披露聲明, 並同意承擔有關風險。</p>		

### Self-Certification of U.S. Resident / Citizen 美國居民/公民自我證明

<p><b>Are you a U.S. tax resident?</b> 您是否為美國稅務居民?</p>	<p><input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是</p>	<p><input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是</p>
<p><b>Are you a U.S. citizen? (If you hold multiple citizenships, tick "Yes" if one of them is U.S.)</b> 您是否為美國公民 (如您持有 multiple 籍身份而其一為美國國籍, 請回答"是")</p>	<p><input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是</p>	<p><input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是</p>

### Self-Certification of Common Reporting Standard 共同匯報標準自我證明

<p>I hereby declare that, to the best of my knowledge and belief, I am (Please tick one) 以本人據知及所信,在此表明本人是(講選一項):</p>	<p><input type="checkbox"/> a tax resident of Hong Kong only 香港的稅務居民</p> <p><input type="checkbox"/> a tax resident of Hong Kong and also some other Jurisdictions or countries 是香港及其他司法管轄區或國家的稅務居民</p> <p><input type="checkbox"/> not a tax resident of Hong Kong, but instead a tax resident of some other jurisdictions or countries 不是香港的稅務居民,而是其他司法管轄區或國家的稅務居民</p>	<p><input type="checkbox"/> a tax resident of Hong Kong only 香港的稅務居民</p> <p><input type="checkbox"/> a tax resident of Hong Kong and also some other Jurisdictions or countries 是香港及其他司法管轄區或國家的稅務居民</p> <p><input type="checkbox"/> not a tax resident of Hong Kong, but instead a tax resident of some other jurisdictions or countries 不是香港的稅務居民,而是其他司法管轄區或國家的稅務居民</p>
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居留司法管轄區 Jurisdiction of Residence (即報稅地區) (Residence for tax purpose)	稅務編號 TIN 請閣下必須填寫稅務編號 Please fill in TIN, (如客戶為香港或國內稅 務居民，稅務編號為其身 份證號碼)If you are a tax resident of Hong Kong or Mainland China, the TIN is the Identity Card Number)	如沒有稅務編號，請 於右列理由 A,B,C 中選填一項 if you do not have one, please choose ONE among the three reasons on the right		
		<b>理由 A</b> <b>Reason A</b> (當地政府根本沒有稅務 編號)(The Government does not issue TIN to its residents)	<b>理由 B</b> <b>Reason B</b> (本人不能取得稅務編 號，理由如下)(Unable to obtain a TIN, please explain below)	<b>理由 C</b> <b>Reason C</b> (本人獲當地政府豁免披 露稅務編號)(The government does not require the TIN to be disclosed)
<b>Individual /Primary Joint A/C Holder's Data 個人 / 聯名帳戶第一持有人之資料</b>				
<b>Secondary Joint A/C Holder's Data 聯名帳戶第二持有人之資料</b>				

<b>Disclosure of Identity 身份披露</b>				
Are you the ultimate beneficial owner(s) in relation to the Account(s)? 閣下是否為此帳戶的最終實益擁有人? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No, details of the ultimate beneficial owner(s) is/are (if more than one, please specify on an additional paper), 否，帳戶的最終實益擁有人是 (如多於一位，請另紙說明)：				
Name of ultimate beneficial owner 最終實益擁有人姓名	ID/Passport No 身份證 / 護照號碼	Place of Birth 出生地區	Nationality 國籍	Occupation 職業
		Date of Birth 出生日期		
Current Residential Address 現時 住址	Contact No. 聯絡號碼	Relationship with account holder(s) 與帳戶持有人的關係	Signature of ultimate beneficial owner 最終實益擁有人簽名	
Are you, the ultimate beneficial owner(s) of the Account(s) and/or the person ultimately responsible for giving instructions for the Account(s), a director, representative or an employee of any Licensed or Registered Institution of the Securities and Futures Commission in Hong Kong? 閣下，此帳戶最終實益擁有人及/或就此帳戶進行交易的最終負責發出指示人士，是否香港證監會註冊之持牌法團或註冊機構之董事、代表或職員？ <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是* Name of the Licensed or Registered Person(s) _____ 持牌或註冊人士姓名：				
*If yes, please provide the written consent from the employer of your account(s) opening with Excalibur Global Financial Group Limited 如是，請務必提供僱主確認同意於駿溢環球金融集團有限公司開立此帳戶之同意書				
Do you, the ultimate beneficial owner(s), and/or ultimate instructor(s) have any relationship with any director or employee of Excalibur Global Financial Group Limited or its Affiliates? 閣下，此帳戶最終實益擁有人及/或就此帳戶進行交易的最終負責發出指示人士，與駿溢環球金融集團有限公司或其聯屬公司之董事或職員是否有親屬關係？ <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是， Please specify 請說明 Name of Director/Employee 董事或職員姓名： _____ Relationship 關係： _____				
Is your spouse a margin client of Excalibur Global Financial Group Limited? 閣下的配偶是否為駿溢環球金融集團有限公司的保證金客戶？ <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是, Please specify 請說明 Name of Spouse 配偶姓名： _____ Account No. 帳戶號碼： _____				
Are you, either alone or with your spouse, in control of 35% or more of the voting rights of any corporate margin client account of Excalibur Global Financial Group Limited? 閣下是否擁有個人或與配偶共同控制任何駿溢環球金融集團有限公司帳戶 35%或以上的投票權？ <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是, Please specify 請說明 Account Name 帳戶名稱： _____ Account No. 帳戶號碼： _____				

Do you maintain any other account(s) with Excalibur Global Financial Group Limited? 閣下現時是否已持有駿溢環球金融集團有限公司之帳戶?

No 否  Yes, please provide details 是, 請提供詳細資料:

Account Name 帳戶姓名: \_\_\_\_\_

Account No. 帳戶號碼: \_\_\_\_\_

Account Type 帳戶類別: \_\_\_\_\_

Are you, the ultimate beneficial owner(s) of the Account(s) and/or the person ultimately responsible for giving instructions for the Account(s), or his spouse, partner, child, parent, spouse or partner of his child, or a close associate with him a political exposed person, entrusted or has been entrusted with a prominent public function, which includes a head of state, head of government, judicial or military official, senior executive of a state-owned corporation, an important political party official and senior management of an international organization, i.e. directors, deputy directors and members of the board or equivalent functions? 閣下, 此帳戶最終實益擁有人及/或就此帳戶進行交易的最終負責發出指示人士, 或其配偶、伴侶、子女或父母, 或其子女的 配偶或伴侶, 或與其關係密切的人, 是否擔任或曾擔任重要公職的為政治人物, 包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員、重要政黨幹事國際組織的高級管理層, 即董事會的董事、副董事及成員 或對等職位?

No 否  Yes,

please specify 是, 請說明: \_\_\_\_\_

Are you, the ultimate beneficial owner(s) of the Account(s) and/or the person ultimately responsible for giving instructions for the Account(s), the nature of business particularly susceptible to money laundering risk (e.g. money service, gambling business, the production of or trade in arms / war material)? 閣下, 此帳戶最終實益擁有人及/或就此帳戶進行交易的最終負責發出指示人士的工作業務性質, 是否特別容易蒙受較高的洗黑錢風險(如金錢服務業、博彩業、武器/戰爭物資的生產或貿易等行業)?

No 否  Yes,

please specify 是, 請說明: \_\_\_\_\_

### **Personal Data Arrangement(s) 個人資料安排**

#### **(Applicable to Securities Account Client only 只適用於證券帳戶之客戶)**

I/We hereby  authorize /  do not authorize Excalibur Global Financial Group Limited to send my/our contact information to Hong Kong Securities Clearing Company Limited to receive the publication of corporate communication documents by the issuer(s).

本人/吾等現  授權 /  不同意駿溢環球金融集團有限公司將本人/吾等聯絡資料轉介至香港中央結算有限公司以收取發行人的公司通訊。

Please provide English address for receiving information (if not stated in previous section): 請提供英文地址以收取資料(如之前部份未有提述):

\_\_\_\_\_

### **Trading Market Selection Form 客戶投資市場選擇 (Futures account only 只適合期貨戶口)**

Please check the markets and products you wish to participate in: 請選擇以下有興趣投資的市場及產品:

#### **Hong Kong Market 香港市場**

Hang Seng Index Futures  
香港恆生指數期貨

Hang Seng Index Options  
香港恆生指數期權

#### **Global Market 環球市場**

CME Group (including CME, CBOT, NYMEX, COMEX)  
芝加哥商品交易所 (包括 CME, CBOT, NYMEX, COMEX)

London Metal Exchange  
倫敦金屬交易所

Others (including EUREX, SGX, TOCOM)  
其他 (包括歐洲期貨交易所, 新加坡交易所, 東京商品交易所)

### **How did you learn about Excalibur 客戶從何途徑認識本公司**

Wechat 微信/公眾號

Weibo 微博

Instagram

Facebook

Twitter

Friend Referral 朋友介紹

search engine 搜索引擎

其他 \_\_\_\_\_

Invitation code 邀請碼: \_\_\_\_\_

Promotion code 優惠碼 \_\_\_\_\_

## **Client's Declaration, Acknowledgement and Consent 客戶聲明、確認及承諾**

### **Application of Account Opening and Information Provided 帳戶開立申請及資料提供**

I / We represent that the information on this Account Opening Form and relevant Forms is true, complete and correct and that I / We have not willfully withheld any material fact(s). I / We request you to open a Cash Securities / Margin Securities / Stock Options / Futures Account ("the Account") and agree to all the terms of the Client Agreement and to abide by the Client Agreement (including the General Terms and Conditions and the applicable Additional Terms and Conditions of the Client Agreement), the rules and regulations of Securities and Futures Ordinance, Hong Kong Exchange and Clearing Limited or any other regulatory body(ies) as amended from time to time governing the transactions in the Account. Excalibur Global Financial Group Limited ("EGFGL") is entitled to rely fully on such information and representations for all purposes, unless it receives notice in writing of any change. EGFGL is authorized at any time to contact anyone, including my / our banks, brokers or any credit agency for the purpose of verifying the information provided on this Account Opening Form. I / We also understand that EGFGL will rely on the above information of Investment Experience and Product Knowledge provided to assess whether I / we have acquired knowledge of 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.

本人／吾等茲聲明在開戶申請書及相關表格所提供之資料全部為真實、完整及正確，本人／吾等並未刻意隱瞞任何重要事實。本人／吾等向貴公司申請開立現金證券帳戶／保證金證券帳戶／股票期權／期貨帳戶（「該帳戶」）和同意遵守客戶協議的所有條款，並同意遵守證券及期貨條例、香港交易所有限公司及其他監管機構不時修定以規管於該帳戶進行之交易之條例及規則。除非駿溢環球金融集團有限公司（「駿溢環球」）接到更改有關本開戶申請書內容的書面通知，否則上述公司有權完全依賴此等資料及聲明作一切用途。上述公司獲授權可隨時就核對本資料事宜，與任何人包括本人／吾等之銀行、經紀或任何信用機構進行諮詢。本人／吾等亦明白駿溢環球根據上述投資經驗及對產品認識內的資料介定本人／吾等是否擁有對衍生產品之認識，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。

Clients Agreement is available to download in Company's Website 客戶協議可於公司網頁下載

### **Agreement and Risk Disclosure Statement 協議及風險披露聲明**

I / We hereby acknowledge and confirm that the Client Agreement, including but not limited to the Account Opening Form, the General Terms and Conditions, Additional Terms and Conditions, Data Privacy Policy, Disclaimers and the Risk Disclosure Statement was provided to me / us in a language of my / our choice (English or Chinese), and I / we have been invited to read the Risk Disclosure Statement carefully, ask questions and seek independent advice if I / we so wish. I / We also confirm that I / we have retained a copy of the Agreement for my/our reference. 本人／吾等謹此承認並確定本人／吾等已獲得按照本人／吾等所選擇的語言（英文或中文）的客戶協議，當中包括，但不限於本開戶表、一般條款、附加條款、私隱政策、免責聲明及風險披露聲明，及本人／吾等已獲邀請細閱該風險披露聲明，提出問題及徵求獨立的意見（如本人／吾等有此意願）。本人／吾等確認本人／吾等已經保留本協議的副本，以作備考之用。

### **Foreign Account Tax Compliance Act (FATCA) 海外帳戶稅收合規法案**

I / We hereby declare that I / we am/are not a United States resident for Foreign Account Tax Compliance Act (FATCA) purposes, and the income to which the said Account(s) related is not subjected to tax under FATCA. I / We undertake to notify EGFGL within 30 days for any change of circumstances stated in the SELF-CERTIFICATION OF U.S. RESIDENT / CITIZEN. I / We shall fully indemnify and hold harmless EGFGL from and against all claims, damages, losses, costs and expenses whatsoever incurred as a result of such non-compliance or omission. 本人／吾等謹此聲明本人／吾等並非《海外帳戶稅收合規法案》下所定義的美國人士，而且此帳戶下之相關的收入依《海外帳戶稅收合規法案》毋須扣繳稅款。本人／吾等的美國居民/公民自我證明的狀況資料如有變更，本人／吾等須於三十日內主動通知駿溢環球。本人／吾等亦同意悉數對駿溢環球因本人／吾等違規或遺漏而蒙受的任何索償、損害、損失、費用及開支作出彌償並保證其利益不受損害。

### **Common Reporting Standard 共同匯報標準**

I / We agree to inform EGFGL within 30 days upon any changes in the information of the Self-Certification of Common Reporting Standard status supplied to EGFGL. I / We shall fully indemnify and hold harmless EGFGL from and against all claims, damages, losses, costs and expenses whatsoever incurred as a result of such non-compliance or omission; 本人／吾等承諾若本人／吾等的共同匯報標準自我證明的狀況資料如有變更，會於三十日內主動通知駿溢環球。本人／吾等亦同意悉數對駿溢環球因本人／吾等違規或遺漏而蒙受的任何索償、損害、損失、費用及開支作出彌償並保證其利益不受損害；

EGFGL will request a self-certification and/or other relevant documentation in order to establish our tax residence for automatic exchange of financial account information purposes. If there is any change in circumstances that would affect my / our tax residence or there is reason for EGFGL to know that the self-certification is incorrect or unreliable EGFGL reserves the right to request and I / we have the obligation to provide a new self-certification and/or additional documentation. As account holder(s) of EGFGL, I / we shall be deemed to acknowledge that further information may need to be provided to EGFGL. EGFGL's compliance with the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112) and/or guidance may result in gathering, storing, using, and processing my / our information. My / Our information may also be disclosed to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region, which is further exchanged with tax authorities of another jurisdiction or jurisdictions in which I / we may be resident for tax purposes. Where I / we fail to provide any requested information (regardless of the consequences), EGFGL reserves the right to take any action and/or pursue all remedies at its disposal including, without limitation to restrict or terminate the operation of the account; 駿溢環球須本人／吾等提供自我證明或其他文件以揭示本人／吾等納稅所在地，以作自動交換財務帳戶資料用途。如本人／吾等因任何情況而影響本人／吾等的納稅所在地，或令駿溢環球有理由相信本人／吾等之自我證明有不正確或不可靠時，駿溢環球保留權利可要求本人／吾等遞交新的自我證明及／或額外文件。作為駿溢環球的帳戶持有人，本人／吾等承諾及同意向駿溢環球提供進一步的資料。駿溢環球 期貨為遵守香港《稅務條例》（第 112 章）有關交換財務帳戶資料的法律條文及／或指引，可能導致收集、儲存、使

用及處理本人／吾等的資料。本人／吾等的資料亦可向香港特別行政區政府稅務局披露，從而把資料轉交到本人／吾等的居留司法管轄區的稅務當局。如果本人／吾等未能提供任何所要求的資料，駿溢環球保留採取任何補救措施的權利，包括（但不限於）限制及終止帳戶的運作；

I / We understand that 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). 本人／吾等明白根據《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。

**Notice and Statement Relating to the Personal Data (Privacy) Ordinance 個人資料(私隱)條例的通知及聲明**

I / We have carefully read, fully understood and agreed to accept and be bound by the Notice and Statement Relating to the Personal Data (Privacy) Ordinance (Cap. 486) as set out in Part V of the Client Agreement. 本人／吾等已仔細閱讀，完全理解並同意接受並遵守載於客戶協議第五部份有關個人資料(私隱)條例 (第 486 章) 的通知及聲明。

**Standing Authority under “Securities and Futures (Client Money) Rules” (For Securities Account and Futures Account)**

**『證券及期貨(客戶款項)規則』下之常設授權(適用於證券帳戶及期貨帳戶)**

I / We hereby agreed, acknowledge and confirm that I / we have given the standing authority to authorize you to deal with my / our money and the contents of the Standing Authority under Securities and Futures (Client Money) Rules of Client Agreement Part III Schedule E clause 9 have been explained to me / us and I / we understand and agreed the contents of it. 本人／吾等謹此同意、承認及確定本人／吾等已授予貴公司常設授權以處置本人／吾等的款項，並且本人／吾等就該客戶協議內的第三部份附表 E 第 9 項的證券及期貨(客戶款項)規則下之常設授權的內容已獲得解釋，及本人／吾等明白及同意其內容。

**Standing Authority under “Securities and Futures (Client Securities) Rules” (For Securities Margin Account Only) 『證券及期貨(客戶證券)規則』下之常設授權(只適用於證券保證金帳戶)**

I / We hereby agreed, acknowledge and confirm that I / we have given the standing authority to authorize you to deal with my / our securities collateral and the contents of the Standing Authority under Securities and Futures (Client Securities) Rules of Client Agreement Part III Schedule A clause 5 have been explained to me / us and I / we understand and agreed the contents of it. 本人／吾等謹此同意、承認及確定本人／吾等已授予貴公司常設授權以處置本人／吾等的證券抵押品，並且本人／吾等就該客戶協議內的第三部份附表 A 第 5 項的證券及期貨(客戶證券)規則下之常設授權的內容已獲得解釋，及本人／吾等明白及同意其內容。

**Additional Statement (For Futures Trading and Stock Option Trading Account) 附加聲明(只適用於股票期權及期貨帳戶)**

I / We agree to read the reporting requirements and the responsibilities of reporting set out in the Securities and Futures (Contract Limits and Reportable Position) Rules and related guidance notes issued by the Securities and Futures Commission. I / We agree to make the relevant notification and fulfill the responsibilities as required by the Securities and Futures (Contract Limits and Reportable Position) Rules and SFC and HKFE. I / We understand that I / we may also directly access all relevant information at the Web-site of Securities and Futures Commission or at the Web-site of HKEx. 本人／吾等同意細閱列於證券及期貨(合約限量及須申報的持倉量)規則及由證監會發出的有關指引的申報規則及責任。本人／吾等同意依據證券及期貨(合約限量及須申報的持倉量)規則、證監會及期貨交易所之要求作出申報及完成有關責任。本人／吾等明白所有有關資料可以由證監會及香港交易所的網頁上獲得。

The terms in English version, as opposed to the Chinese translation, shall be deemed to be conclusive and definitive.

本開戶表之英文本（相對中文譯本而言）為確實及有最終效力。

<b>(1) Signature of Individual / Primary Joint Account Holder:</b> 個人／聯名帳戶第一持有人簽署：				<b>(2) Signature of Secondary Joint Account Holder:</b> 聯名帳戶第二持有人簽署：			
<b>Name</b> 姓名		<b>Date</b> 日期		<b>Name</b> 姓名		<b>Date</b> 日期	
<b>Witness Signature</b> 見證人簽署：				<b>Witness Signature</b> 見證人簽署：			
<b>Name</b> 姓名		<b>Date</b> 日期		<b>Name</b> 姓名		<b>Date</b> 日期	



**Declaration by Representative of Excalibur Global Financial Group Limited****由駿溢環球金融集團有限公司之代表作出聲明**

I, the registered person named below, have provided and fully explained the contents of the risk disclosure / acceptance statement to the Client at the address stated below in a language which the Client understands and have invited the Client to read such statement, ask questions and take independent advice.

本人，以下之註冊人士，已向該客戶於以下地址以客戶明白之語言提供及完全解釋以上證明書與接受風險聲明並邀請客戶閱讀此聲明、詢問問題及尋求獨立意見。

Signature of Registered person 註冊人士簽署		registered person's Name 註冊人姓名		CE number 註冊編號		Date 日期	
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**Joint Account Signatures Arrangement 聯名帳戶簽署安排**

Each of the above joint account holders specified is authorized to give verbal instructions and/or instruction through the Electronic Services (where applicable) in relation to the purchase or sale of any securities and/or futures and/or options contracts for the Account(s) from time to time. 以上每一聯名帳戶持有人均有權為帳戶買賣任何證券及/或期貨及/或期權合約而不時發出口頭指示及/或透過電子服務 (如適用)發出的指示；及

Either one joint account holder signing singly, 其中一位聯名帳戶持有人單獨簽署，

Both joint account holders signing jointly, 兩位聯名帳戶持有人共同簽署，

validates any written instructions relating to the operation of the Account(s). 任何就帳戶運作之書面指示，方為有效。

**Witness Declaration 見證人聲明 (Non-Excalibur Staff 非駿溢環球員工)**

I, named below, certify that I have verified the genuine copy of client identification document, address proof and other account opening document and have sighted that the client counter sign on this Account Opening Form. 本人 (姓名如下) 確認已驗證客戶身份證明文件、地址證明及其他文件之正本，並已見證客戶在本開戶表上簽署。

Witness Signature 見證人簽署：		Name of Witness 見證人姓名：	
Profession / Title 所屬專業/職位：		Date of Witness 見證日期：	

Office Use 公司用

Document checklist 文件查核清單

- |   |
|---|
| <input type="checkbox"/> Copy of Identity Documents of Client and Ultimate Beneficial Owner(S) with Witness Signature Hong Kong ID Card/Passport/Local Resident ID Card<br>客戶及最終受益人身份證明文件副本(附見證人簽署) 香港身份證/護照/當地居民身份證  |
| <input type="checkbox"/> Certified true copy of proof of Address of Client and Ultimate Beneficial Owner(s) (within 3 months) 客戶及最終受益人之地址證明之核證副本(三個月內)* *Correspondence address proof is also required if such address is different from your residential address (within 3 months) 如通訊地址與居住地址不同, 須同時提供通訊地址證明文件(三個月內) |
| <input type="checkbox"/> Copy of Client's local bank's detail ( if the client provided the related info in the application form) 本地銀行卡資料副本(如客戶已填寫相關資料)  |
| <input type="checkbox"/> Client Money Standing Authority 客戶款項常設授權書  |
| <input type="checkbox"/> Commission Table 佣金收費表   |
| <input type="checkbox"/> Client Risk Assessment Form 客戶風險評估表  |

Submitted by :

Checked by:

Approved by :

Input by:

\_\_\_\_\_

A.E.

\_\_\_\_\_

Settlement Dept

\_\_\_\_\_

Responsible Officer

\_\_\_\_\_

Settlement Dept