

個人／聯名帳戶 Individual/Joint Account  
保證金帳戶開戶資料表格 Margin Account Opening Information Form

選擇帳戶類別 Selection of Account Type :  個人 Individual  聯名 Joint  
網上交易服務 Internet Trading Services :  是 Yes  否 No

本公司專用 For Office Use Only	
帳戶號碼 Account No. :	開戶日期 Date Opened :
	____/____/____ DD MM YYYY

\*為必填項，塗改處需本人加簽 Mandatory endorsement is required for any changes

個人／聯名戶口第一持有人資料 INDIVIDUAL / PRIMARY JOINT ACCOUNT HOLDER INFORMATION

1. *客戶名稱 Client Name(s) : <input type="checkbox"/> 先生 Mr. <input type="checkbox"/> 太太 Mrs. <input type="checkbox"/> 女士 Mdm. <input type="checkbox"/> 小姐 Miss		
(a) *中文 Chinese :		
(b) *英文/拼音 English/Pinyin : (與護照/身份證一致 as in the passport/ID card)	*姓氏 Last Name or Surname:	*名字 First or Given Name:
2. (a) *身份證／護照號碼 ID. Card / Passport No. :		(b) *國籍 Nationality :
3. (a) 出生日期及地點 Date & Place of Birth (日 DD/月 MM/年 YYYY) / / ( )		(b) *婚姻狀況 Marital Status : <input type="checkbox"/> 單身 Single <input type="checkbox"/> 已婚 Married <input type="checkbox"/> 其他 Other _____
4. *現時住宅地址 Current Residential Address (不接受郵政信箱 P.O. Box is not accepted.) : 室 / 樓層 / 大廈 / 街道 / 地區 Room / Floor / Building / Street / District _____ 城市 City _____ 省 / 州 Province / State _____ 國家 Country _____ 郵政編碼/郵遞區 Post Code/ZIP Code _____		
住宅電話號碼 Home Tel No.:		*手提電話號碼 Mobile Phone No.:
5. 通訊地址 (如與以上有異) Correspondence Address (if different from above): 室 / 樓層 / 大廈 / 街道 / 地區 Room / Floor / Building / Street / District _____ 城市 City _____ 省 / 州 Province / State _____ 國家 Country _____ 郵政編碼/郵遞區 Post Code/ZIP Code _____		
6. *電子郵件地址 E-mail Address:		
7. *僱主／公司* (若自僱，請填行業名稱) Name of Employer / Company( if self-employed, please fill in name of business) :		
*職業／職位 Occupation / Job Title : (請註明職稱 Please specify the job title)	辦事處電話號碼 Office Tel No.:	辦事處傳真號碼 Office Fax No. :
8. 公司地址 Office Address : (郵編 Postal Code: _____)		

客戶財務資料 CLIENT FINANCIAL INFORMATION

9. 收入來源 Source of Income (港幣 HK\$) : (可選擇下列一項或多項 Please tick one or more) <input type="checkbox"/> 薪酬 Salary <input type="checkbox"/> 租金收入 Rental Income <input type="checkbox"/> 利息/股息 Interest/Dividend <input type="checkbox"/> 投資收益 Investment Income <input type="checkbox"/> 退休福利 Retirement Benefits <input type="checkbox"/> 家人提供 Family Source <input type="checkbox"/> 其他 Others(請註明, please specify) _____	
10. 估計每年收入 Estimated Annual Income (港幣 HK\$) : <input type="checkbox"/> 港幣 20 萬元以下 Under HK\$200,000 <input type="checkbox"/> 港幣 100 萬至 150 萬元 HK\$1,000,000 to HK\$1,500,000 <input type="checkbox"/> 港幣 20 萬至 50 萬元 HK\$200,000 to HK\$500,000 <input type="checkbox"/> 港幣 150 萬至 200 萬元 HK\$1,500,000 to HK\$2,000,000 <input type="checkbox"/> 港幣 50 萬至 100 萬元 HK\$500,000 to HK\$1,000,000 <input type="checkbox"/> 港幣 200 萬元以上 Over HK\$2,000,000	
11. 估計客戶資產淨值 Approximate Total Net Worth (港幣 HK\$) : <input type="checkbox"/> 港幣 50 萬元以下 Under HK\$500,000 <input type="checkbox"/> 港幣 200 萬至 500 萬元 HK\$2,000,000 to HK\$5,000,000 <input type="checkbox"/> 港幣 50 萬至 100 萬元 HK\$500,000 to HK\$1,000,000 <input type="checkbox"/> 港幣 500 萬至 1000 萬元 HK\$5,000,000 to HK\$10,000,000 <input type="checkbox"/> 港幣 100 萬至 200 萬元 HK\$1,000,000 to HK\$2,000,000 <input type="checkbox"/> 港幣 1000 萬元以上 Over HK\$10,000,000	
12. 住所持有方式 Ownership of Residence : <input type="checkbox"/> 本人名下 Owned <input type="checkbox"/> 非本人名下 Not Owned <input type="checkbox"/> 有借貸 With financing <input type="checkbox"/> 租住 Rent <input type="checkbox"/> 沒有借貸 Without financing <input type="checkbox"/> 與家人同住 Living with family	

客戶投資目的及經驗 CLIENT INVESTMENT OBJECTIVES & EXPERIENCE

13. 整體投資計劃，包括短期、中期及長期投資目標 Overall investment plan, including short, medium and long term goals :			
(a) 投資計劃 Investment Plan :	<input type="checkbox"/> 短期 Short	<input type="checkbox"/> 中期 Medium	<input type="checkbox"/> 長期 Long
(b) 可承受風險程度 Risk Tolerance level :	<input type="checkbox"/> 低風險 Low	<input type="checkbox"/> 中風險 Medium	<input type="checkbox"/> 高風險 High

14. 投資目的 Investment Objective(s) : (可選擇下列一項或多項 Please tick one or more)

平穩增長 Stable Growth                       均衡增長 Balance Growth                       高速增長 High Growth

對沖 Hedging                                       投機 Speculation                                       其他 Others (請註明, please specify) \_\_\_\_\_

15. 投資經驗 Investment Experiences :

投資產品 Investment Products:

股票/認股權證 Stocks/Warrants                       沒有 Nil                       少於三年 less than 3 years                       三至五年 3-5 years                       五至十年 5-10 years                       超過十年 Over 10 years

期貨/期權 Futures/Options                       沒有 Nil                       少於三年 less than 3 years                       三至五年 3-5 years                       五至十年 5-10 years                       超過十年 Over 10 years

債券/基金 Bonds/Funds                       沒有 Nil                       少於三年 less than 3 years                       三至五年 3-5 years                       五至十年 5-10 years                       超過十年 Over 10 years

其他 Others: \_\_\_\_\_                       沒有 Nil                       少於三年 less than 3 years                       三至五年 3-5 years                       五至十年 5-10 years                       超過十年 Over 10 years

**其他資料 OTHER INFORMATION**

16. 客戶是否國投證券國際集團(包括國投證券國際金融控股有限公司及其附屬公司)的僱員或與國投證券國際集團任何僱員/代理人有親屬關係或為其關連人士?  
Is the Client an employee of SDICSI Group (including SDIC Securities International Financial Holdings Limited and its subsidiaries) or a relative or an associate of any employee/ agent of SDICSI Group?

是, 請提供僱員 / 代理人姓名 Yes, please provide employee/agent name : \_\_\_\_\_  否 No

關係 Relationship : \_\_\_\_\_

17. (a) 帳戶最終權益擁有人(等)的名稱 Name of ultimate beneficial owner(s) of the account :

本身 Self

其他(請提供姓名、國籍、出生日期、身份證明文件號碼、聯絡電話及現時住址): \_\_\_\_\_  
Others (Please provide the name, nationality, date of birth, identification document and its no., telephone no. and current residential address): \_\_\_\_\_

(b) 最終負責就本帳戶之交易發出有關指示的人  
The person(s) ultimately responsible for giving instructions in relation to transactions under the account :

本身 Self

其他(請提供姓名、國籍、出生日期、身份證明文件號碼、聯絡電話及現時住址): \_\_\_\_\_  
Others (Please provide the name, nationality, date of birth, identification document and its no., telephone no. and current residential address): \_\_\_\_\_  
(請填具買賣授權書 Please fill in Trading Authorization)

18. 客戶的配偶是否在國投證券國際集團開立了保證金戶口?  
Has the Client's spouse opened a margin account in SDICSI Group?

是 Yes, 帳戶號碼 Account No. : \_\_\_\_\_ 帳戶名稱 Account Name : \_\_\_\_\_

否 No

19. 客戶是否個人或與其配偶共同控制某公司的 35%或以上投票權, 而該公司在國投證券國際集團開立了公司保證金戶口?  
Is the Client, either alone or together with his/ her spouse, in control of 35% or more of the voting rights of a company which has opened a margin account in SDICSI Group?

是 Yes, 帳戶號碼 Account No. : \_\_\_\_\_ 帳戶名稱 Account Name : \_\_\_\_\_

否 No

20. 客戶是否香港證監會持牌或註冊人士的僱員 / 代理人?  
Is the Client an employee / agent of a Licensed Corporation or Registered Institution of Hong Kong Securities and Futures Commission?

是, 請提供詳情 Yes, please provide details : \_\_\_\_\_ (僱主姓名及註冊編號 Employer's Name and Reg. No.)

否 No

21. 客戶於國投證券 (香港) 開立的其他帳戶資料(包括與客戶有關連人士運作及或持有之帳戶) :  
Particulars of the Client's other accounts with SDIC Securities HK (including accounts operated / owned by persons related to the Client) :

是 Yes, 帳戶號碼 Account No. : \_\_\_\_\_ 帳戶名稱 Account Name : \_\_\_\_\_ 關係 Relationship \_\_\_\_\_

否 No

**結構性及/或衍生工具產品的認識評估 ASSESSMENT ON KNOWLEDGE OF STRUCTURED AND/ OR DERIVATIVES PRODUCTS**

客戶曾接受有關結構性及/或衍生工具產品的培訓或相關課程  
The Client has attended trainings or courses in relation to structured and/or derivative product(s)

客戶現時或之前的工作經驗與結構性及/或衍生工具產品有關  
The Client's current or previous work experience is related to structured and/or derivative product(s)

客戶在過去 3 年內曾執行過 5 宗或以上有關結構性及/或衍生工具產品的交易  
The Client has executed 5 or more transactions relating to structured and/or derivative product(s) in past 3 years

如客戶沒有以上任何一項經驗及認識, 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, 客戶需要留意衍生工具產品交易有關之風險 (如《附表三- 其他風險披露聲明》所述)。  
For clients do not have any of the above mentioned 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 attention of the Client is drawn to the risks associated with structured and/ or derivative product(s) (as described in the "Third Schedule – Other Risk Disclosure Statement").

結構性及/或衍生工具產品包括(但不限於) 牛熊證、衍生認股證、股票掛鈎產品、交易所買賣換股債券、交易所買賣基金、期貨及期權與及股票期權等。  
Structured and/ or Derivative product(s) includes, but not limited to, Callable Bull/Bear Contracts, Derivative Warrants, Equity Linked Instruments/Notes, Exchange Traded Funds, Futures and Options and Stock Options, etc.

**有關結構性及/或衍生工具產品確認 ACKNOWLEDGEMENT RELATING TO STRUCTURED AND/ OR DERIVATIVES PRODUCT(S)**

本人確認已細心閱讀及完全明白在附表三所載的其他風險披露聲明的內容。如果本人決定買賣該等結構性及/或衍生工具產品時，本人同意承擔有關風險。本人確認，在買賣結構性及/或衍生工具產品前，本人將會進行自我風險評估或尋求獨立專業意見，並擁有足夠資本承擔有關風險及損失。本人明白，如客戶並沒有結構性及/或衍生工具產品的知識或經驗，國投證券（香港）有限公司（「國投證券（香港）」）並不鼓勵客戶進行結構性及/或衍生工具產品買賣。

I acknowledge that I have carefully read and fully understand the content of Other Risk Disclosure Statement as contained in the Third Schedule. If I decide to trade the Structured and/or Derivatives Product(s), I agree to bear the risks involved. I confirm that I shall make my/our own risk assessment, or seek independent professional advice before trading in Structured and/or Derivatives Product(s), and that I have sufficient net worth to be able to assume the risks and bear the potential losses for our trades in Structured and/ or Derivatives Product(s). I understand that SDIC Securities (Hong Kong) Limited ("SDIC Securities HK") does not encourage the clients to trade the Structured and/or Derivative Product(s) if they do not have any knowledge or experience relating to the Structured and/or Derivative Product(s).

**虛擬資產相關產品知識評估 ASSESSMENT ON KNOWLEDGE OF VIRTUAL ASSETS RELATED PRODUCT(S)**

客戶曾接受有關虛擬資產相關產品的培訓或相關課程  
The Client has attended trainings or courses in relation to virtual assets related product(s)

客戶現時或之前的工作經驗與虛擬資產相關產品有關  
The Client's current or previous work experience is related to virtual assets related product(s)

客戶在過去 3 年內曾執行過 5 宗或以上有關虛擬資產相關產品的交易  
The Client has executed 5 or more transactions relating to virtual assets related product(s) in the past 3 years

如客戶沒有以上任何一項經驗及認識，客戶將被視作沒有虛擬資產相關產品認識。在客戶買賣虛擬資產相關產品之前，客戶需要留意虛擬資產相關產品交易有關之風險（如《附表六 - 關於虛擬資產相關產品的風險披露聲明》所述）。

For clients do not have any of the above mentioned knowledge and experience, such clients will be considered as without knowledge of virtual assets related product(s). Before trading in virtual assets related product(s), the attention of client is drawn to the risks associated with virtual assets related product(s) as described in the "Sixth Schedule - Risk Disclosure Statements for Virtual Assets Related Products".

虛擬資產指以數碼形式來表達價值的資產，其形式可以是數碼代幣（如數碼貨幣、功能型代幣，或以證券或資產作為抵押的代幣）、任何其他虛擬商品、加密資產或其他本質相同的資產，不論該等資產是否構成《證券及期貨條例》所界定的“證券”或“期貨合約”，但不包括由中央銀行發行以數碼形式來表達的貨幣（經香港證監會不時修訂）。

Virtual assets means digital representations of value which may be in the form of digital tokens (such as digital currencies, utility tokens or security or asset-backed tokens), any other virtual commodities, crypto assets or other assets of essentially the same nature, irrespective of whether they amount to "securities" or "futures contracts" as defined under the Securities and Futures Ordinance, but excludes digital representations of fiat currencies issued by central banks (as amended from time to time by the Hong Kong SFC).

**有關虛擬資產相關產品確認 ACKNOWLEDGEMENT RELATING TO VIRTUAL ASSETS RELATED PRODUCTS**

本人確認已細心閱讀及完全明白在附表六所載的關於虛擬資產相關產品的風險披露聲明的內容。如果本人決定買賣該等虛擬資產相關產品時，本人同意承擔有關風險。本人確認，在買賣虛擬資產相關產品前，本人將會進行自我風險評估或尋求獨立專業意見，並擁有足夠資本承擔有關風險及損失。本人明白，如客戶並沒有虛擬資產相關產品的知識或經驗，除非客戶之後接受虛擬資產相關產品的培訓，否則客戶將不可進行虛擬資產相關產品交易。

I acknowledge that I have carefully read and fully understand the content of Risk Disclosure Statements for Virtual Assets Related Products as contained in the Sixth Schedule. If I decide to trade virtual assets related products, I agree to bear the risks involved. I confirm that I shall make our own risk assessment, or seek independent professional advice before trading in virtual assets related product, and that I have sufficient net worth to be able to assume the risks and bear the potential losses for our trades in virtual assets related product. I understand that if clients do not have any knowledge or experience relating to virtual assets related product, unless the clients thereafter receives training on virtual assets related products, otherwise the clients will not be eligible for trading virtual asset-related products.

**美國居民/公民自我證明 SELF-CERTIFICATION OF U.S. RESIDENT / CITIZEN**

1. 您是否美國稅務居民? Are you a U.S. tax resident?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No	2. 您是否美國公民? Are you a U.S. citizen? (如您持有 multiple 重國籍身份而其中之一是美國國籍，請回答“是”) (If you hold multiple citizenships, tick "Yes" if one of them is U.S.)	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
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**共同匯報標準自我證明 SELF-CERTIFICATION OF 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。請列出所有（不限於 5 個）居留司法管轄區。

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 Taxpayer Identification Number ("TIN") for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence.

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。如沒有提供稅務編號，必須填寫合適的理由：

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:

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。

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

理由 B - 帳戶持有人不能取得稅務編號。如選取這一理由，請解釋帳戶持有人不能取得稅務編號的原因。

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

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。

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.

	居留司法管轄區 Jurisdiction of Residence	稅務編號 TIN	如沒有提供稅務編號，請填寫理由 A、B 或 C Please enter Reason A, B or C if no TIN is available	如選取理由 B，請解釋帳戶持有人不能取得稅務編號的原因 Please explain why you are unable to obtain a TIN if you have selected Reason B
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	
5			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	

**聯名戶口第二持有人資料 SECONDARY JOINT ACCOUNT HOLDER INFORMATION**

1. *客戶名稱 Client Name(s) : <input type="checkbox"/> 先生 Mr. <input type="checkbox"/> 太太 Mrs. <input type="checkbox"/> 女士 Mdm. <input type="checkbox"/> 小姐 Miss		
(a) *中文 Chinese :		
(b)*英文/拼音 English/Pinyin : (與護照身份證一致 as in the passport/ID card)	*姓氏 Last Name or Surname:	*名字 First or Given Name:
2. (a) *身份證/護照號碼*ID. Card / Passport No.* :		(b) *國籍 Nationality :
3. (a) 出生日期 Date & Place of Birth (日 DD/月 MM/年 YYYY) / / ( )		(b) *婚姻狀況 Marital Status : <input type="checkbox"/> 單身 Single <input type="checkbox"/> 已婚 Married <input type="checkbox"/> 其他 Other _____
4. 與個人/第一帳戶持有人資料關係 Relationship with Primary Joint Account Holder : <input type="checkbox"/> 直系親屬 Immediate family 請註明 Please specify: _____ <input type="checkbox"/> 親戚 Relative <input type="checkbox"/> 朋友 Friend <input type="checkbox"/> 其他 Other _____		
5. *現時住宅地址 Current Residential Address (不接受郵政信箱 P.O. Box is not accepted.) :		
室 / 樓層 / 大廈 / 街道 / 地區 Room / Floor/ Building/ Street/ District _____		
城市 City _____		
省 / 州 Province / State _____		
國家 Country _____		
郵政編碼/郵遞區 Post Code/ZIP Code _____		
住宅電話號碼 Home Tel No.:		手提電話號碼 Mobile Phone No.:
6. *電子郵件地址 E-mail Address:		
7. *僱主/公司* 若自僱, 請填行業名稱)Name of Employer / Company( if self-employed, please fill in name of business)* :		
*職業/職位 Occupation / Job Title: (請註明職稱 Please specify the job title)	辦事處電話號碼 Office Tel No. :	辦事處傳真號碼 Office Fax No. :
8. 公司地址 Office Address : _____ (郵編 Postal Code: _____)		
<b>客戶財務資料 CLIENT FINANCIAL INFORMATION</b>		
9. 收入來源 Source of Income (港幣 HK\$) : (可選擇下列一項或多項 Please tick one or more) <input type="checkbox"/> 薪酬 Salary <input type="checkbox"/> 租金收入 Rental Income <input type="checkbox"/> 利息/股息 Interest/Dividend <input type="checkbox"/> 投資收益 Investment Income <input type="checkbox"/> 退休福利 Retirement Benefits <input type="checkbox"/> 家人提供 Family Source <input type="checkbox"/> 其他 Others (請註明, please specify) _____		
10. 估計每年收入 Estimated Annual Income (港幣 HK\$) : <input type="checkbox"/> 港幣 20 萬元以下 Under HK\$200,000 <input type="checkbox"/> 港幣 100 萬至 150 萬元 HK\$1,000,000 to HK\$1,500,000 <input type="checkbox"/> 港幣 20 萬至 50 萬元 HK\$200,000 to HK\$500,000 <input type="checkbox"/> 港幣 150 萬至 200 萬元 HK\$1,500,000 to HK\$2,000,000 <input type="checkbox"/> 港幣 50 萬至 100 萬元 HK\$500,000 to HK\$1,000,000 <input type="checkbox"/> 港幣 200 萬元以上 Over HK\$2,000,000		
11. 估計客戶資產淨值 Approximate Total Net Worth (港幣 HK\$) : <input type="checkbox"/> 港幣 50 萬元以下 Under HK\$500,000 <input type="checkbox"/> 港幣 200 萬至 500 萬元 HK\$2,000,000 to HK\$5,000,000 <input type="checkbox"/> 港幣 50 萬至 100 萬元 HK\$500,000 to HK\$1,000,000 <input type="checkbox"/> 港幣 500 萬至 1000 萬元 HK\$5,000,000 to HK\$10,000,000 <input type="checkbox"/> 港幣 100 萬至 200 萬元 HK\$1,000,000 to HK\$2,000,000 <input type="checkbox"/> 港幣 1000 萬元以上 Over HK\$10,000,000		
12. 住所持有方式 Ownership of Residence : <input type="checkbox"/> 本人名下 Owned <input type="checkbox"/> 非本人名下 Not Owned <input type="checkbox"/> 有借貸 With financing <input type="checkbox"/> 租住 Rent <input type="checkbox"/> 沒有借貸 Without financing <input type="checkbox"/> 與家人同住 Living with family		
<b>客戶投資目的及經驗 CLIENT INVESTMENT OBJECTIVES &amp; EXPERIENCE</b>		
13. 整體投資計劃, 包括短期、中期及長期投資目標 Overall investment plan, including short, medium and long term goals : (a) 投資計劃 Investment Plan : <input type="checkbox"/> 短期 Short <input type="checkbox"/> 中期 Medium <input type="checkbox"/> 長期 Long (b) 可承受風險程度 Risk Tolerance Level : <input type="checkbox"/> 低風險 Low <input type="checkbox"/> 中風險 Medium <input type="checkbox"/> 高風險 High		
14. 投資目的 Investment Objective(s) : (可選擇下列一項或多項 Please tick one or more) <input type="checkbox"/> 平穩增長 Stable Growth <input type="checkbox"/> 均衡增長 Balance Growth <input type="checkbox"/> 高速增長 High Growth <input type="checkbox"/> 對沖 Hedging <input type="checkbox"/> 投機 Speculation <input type="checkbox"/> 其他 Others (請註明, please specify) _____		
15. 投資經驗 Investment Experiences : 投資產品 Investment Products: <input type="checkbox"/> 股票/認股權證 Stocks/Warrants <input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 少於三年 less than 3 years <input type="checkbox"/> 三至五年 3-5 years <input type="checkbox"/> 五至十年 5-10 years <input type="checkbox"/> 超過十年 Over 10 years <input type="checkbox"/> 期貨/期權 Futures/Options <input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 少於三年 less than 3 years <input type="checkbox"/> 三至五年 3-5 years <input type="checkbox"/> 五至十年 5-10 years <input type="checkbox"/> 超過十年 Over 10 years <input type="checkbox"/> 債券/基金 Bonds/Funds <input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 少於三年 less than 3 years <input type="checkbox"/> 三至五年 3-5 years <input type="checkbox"/> 五至十年 5-10 years <input type="checkbox"/> 超過十年 Over 10 years <input type="checkbox"/> 其他 Others: _____ <input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 少於三年 less than 3 years <input type="checkbox"/> 三至五年 3-5 years <input type="checkbox"/> 五至十年 5-10 years <input type="checkbox"/> 超過十年 Over 10 years		

**其他資料 OTHER INFORMATION**

16. 客戶是否國投證券國際集團(包括國投證券國際金融控股有限公司及其附屬公司)的僱員或與國投證券國際集團任何僱員 / 代理人有親屬關係或為其關連人士?  
Is the Client an employee of SDICSI Group (including SDIC Securities International Financial Holdings Limited and its subsidiaries) or a relative or an associate of any employee / agent of SDICSI Group?  
 是, 請提供僱員 / 代理人姓名 Yes, please provide employee/agent name : \_\_\_\_\_  否 No  
關係 Relationship : \_\_\_\_\_
17. (a) 帳戶最終權益擁有人(等)的名稱 Name of ultimate beneficial owner(s) of the account :  
 本身 Self  
 其他(請提供姓名、國籍、出生日期、身份證明文件號碼、聯絡電話及現時住址) \_\_\_\_\_  
Others (Please provide the name, nationality, date of birth, identification document and its no., telephone no. and current residential address): \_\_\_\_\_
- (b) 最終負責就本帳戶之交易發出有關指示的人  
The person(s) ultimately responsible for originating instructions in relation to transactions under the account :  
 本身 Self  
 其他(請提供姓名、國籍、出生日期、身份證明文件號碼、聯絡電話及現時住址): \_\_\_\_\_  
Others (Please provide the name, nationality, date of birth, identification document and its no., telephone no. and current residential address): \_\_\_\_\_  
(請填具買賣授權書 Please fill in Trading Authorization)
18. 客戶的配偶是否在國投證券國際集團開立了保證金戶口?  
Has the Client's spouse opened a margin account in SDICSI Group?  
 是 Yes, 帳戶號碼 Account No. : \_\_\_\_\_ 帳戶名稱 Account Name : \_\_\_\_\_  
 否 No
19. 客戶是否個人或與其配偶共同控制某公司的 35%或以上投票權, 而該公司在國投證券國際集團開立了公司保證金戶口?  
Is the Client, either alone or together with his/ her spouse, in control of 35% or more of the voting rights of a company which has opened a margin account in SDICSI Group?  
 是 Yes, 帳戶號碼 Account No. : \_\_\_\_\_ 帳戶名稱 Account Name : \_\_\_\_\_  
 否 No
20. 客戶是否香港證監會持牌或註冊人士的僱員 / 代理人?  
Is the Client an employee / agent of a Licensed Corporation or Registered Institution of Hong Kong Securities and Futures Commission?  
 是, 請提供詳情 Yes, please provide details : \_\_\_\_\_ (僱主姓名及註冊編號 Employer's Name and Reg. No.)  
 否 No
21. 客戶於國投證券 (香港) 開立的其他帳戶資料(包括與客戶有關連人士運作及或持有之帳戶) :  
Particulars of the Client's other accounts with SDIC Securities HK (including accounts operated / owned by person related to the Client) :  
 是 Yes, 帳戶號碼 Account No. : \_\_\_\_\_ 帳戶名稱 Account Name : \_\_\_\_\_ 關係 Relationship \_\_\_\_\_  
 否 No

**結構性及/或衍生工具產品的認識評估 ASSESSMENT ON KNOWLEDGE OF STRUCTURED AND/OR DERIVATIVES PRODUCTS**

- 客戶曾接受有關結構性及/或衍生工具產品的培訓或相關課程  
The Client has attended trainings or courses in relation to structured and/or derivative product(s)
- 客戶現時或之前的工作經驗與結構性及/或衍生工具產品有關  
The Client's current or previous work experience is related to structured and/or derivative product(s)
- 客戶在過去 3 年內曾執行過 5 宗或以上有關結構性及/或衍生工具產品的交易  
The Client has executed 5 or more transactions relating to structured and/or derivative product(s) in past 3 years

如客戶沒有以上任何一項經驗及認識, 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, 客戶需要留意衍生工具產品交易有關之風險 (如《附表三- 其他風險披露聲明》所述)。

For clients do not have any of the above mentioned 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 products, the attention of the Client is drawn to the risks associated with structured and/ or derivative product(s) (as described in the "Third Schedule – Other Risk Disclosure Statement").

結構性及/或衍生工具產品包括(但不限於) 牛熊證、衍生認股證、股票掛鈎產品、交易所買賣換股債券、交易所買賣基金、期貨及期權及股票期權等。  
Structured and/ or Derivative product(s) includes, but not limited to, Callable Bull/Bear Contracts, Derivative Warrants, Equity Linked Instruments/Notes, Exchange Traded Funds, Futures and Options and Stock Option, etc.

**有關結構性及/或衍生工具產品確認 ACKNOWLEDGEMENT RELATING TO STRUCTURED AND/ OR DERIVATIVES PRODUCT(S)**

本人確認已細心閱讀及完全明白在附表三所載的其他風險披露聲明的內容。如果本人決定買賣該等結構性及/或衍生工具產品時, 本人同意承擔有關風險。本人確認, 在買賣結構性及/或衍生工具產品前, 本人將會進行自我風險評估或尋求獨立專業意見, 並擁有足夠資本承擔有關風險及損失。本人明白, 如客戶並沒有結構性及/或衍生工具產品的知識或經驗, 國投證券 (香港) 有限公司(「國投證券 (香港)」)並不鼓勵客戶進行結構性及/或衍生工具產品買賣。

I acknowledge that I have carefully read and fully understand the content of Other Risk Disclosure Statement as contained in the Third Schedule. If I decide to trade the Structured and/ or Derivatives Products, I/we agree to bear the risks involved. I confirm that I shall make my/our own risk assessment, or seek independent professional advice before trading in Structured and/ or Derivative Product(s), and that I have sufficient net worth to be able to assume the risks and bear the potential losses for our trades in Structured and/ or Derivatives Product(s). I understand that SDIC Securities (Hong Kong) Limited ("SDIC Securities HK") does not encourage the clients to trade Structured and/ or Derivative Product(s) if they do not have any knowledge or experience relating to the Structured and/ or Derivative Product(s).

**虛擬資產相關產品知識評估 ASSESSMENT ON KNOWLEDGE OF VIRTUAL ASSETS RELATED PRODUCT(S)**

- 客戶曾接受有關虛擬資產相關產品的培訓或相關課程  
The Client has attended trainings or courses in relation to virtual assets related product(s)
- 客戶現時或之前的工作經驗與虛擬資產相關產品有關  
The Client's current or previous work experience is related to virtual assets related product(s)
- 客戶在過去 3 年內曾執行過 5 宗或以上有關虛擬資產相關產品的交易  
The Client has executed 5 or more transactions relating to virtual assets related product(s) in the past 3 years

如客戶沒有以上任何一項經驗及認識，客戶將被視作沒有虛擬資產相關產品認識。在客戶買賣虛擬資產相關產品之前，客戶需要留意虛擬資產相關產品交易有關之風險（如《附表六 - 關於虛擬資產相關產品的風險披露聲明》所述）。  
For clients do not have any of the above mentioned knowledge and experience, such clients will be considered as without knowledge of virtual assets related product(s). Before trading in virtual assets related product(s), the attention of client is drawn to the risks associated with virtual assets related product(s) as described in the “Sixth Schedule - Risk Disclosure Statements for Virtual Assets Related Products”.

虛擬資產指以數碼形式來表達價值的資產，其形式可以是數碼代幣（如數碼貨幣、功能型代幣，或以證券或資產作為抵押的代幣）、任何其他虛擬商品、加密資產或其他本質相同的資產，不論該等資產是否構成《證券及期貨條例》所界定的“證券”或“期貨合約”，但不包括由中央銀行發行以數碼形式來表達的貨幣（經香港證監會不時修訂）。  
Virtual assets means digital representations of value which may be in the form of digital tokens (such as digital currencies, utility tokens or security or asset-backed tokens), any other virtual commodities, crypto assets or other assets of essentially the same nature, irrespective of whether they amount to “securities” or “futures contracts” as defined under the Securities and Futures Ordinance, but excludes digital representations of fiat currencies issued by central banks (as amended from time to time by the Hong Kong SFC).

**有關虛擬資產相關產品確認 ACKNOWLEDGEMENT RELATING TO VIRTUAL ASSETS RELATED PRODUCTS**

本人確認已細心閱讀及完全明白在附表六所載的關於虛擬資產相關產品的風險披露聲明的內容。如果本人決定買賣該等虛擬資產相關產品時，本人同意承擔有關風險。本人確認，在買賣虛擬資產相關產品前，本人將會進行自我風險評估或尋求獨立專業意見，並擁有足夠資本承擔有關風險及損失。本人明白，如客戶並沒有虛擬資產相關產品的知識或經驗，除非客戶之後接受虛擬資產相關產品的培訓，否則客戶將不可進行虛擬資產相關產品交易。  
I acknowledge that I have carefully read and fully understand the content of Risk Disclosure Statements for Virtual Assets Related Products as contained in the Sixth Schedule. If I decide to trade virtual assets related products, I agree to bear the risks involved. I confirm that I shall make our own risk assessment, or seek independent professional advice before trading in virtual assets related product, and that I have sufficient net worth to be able to assume the risks and bear the potential losses for our trades in virtual assets related product. I understand that if clients do not have any knowledge or experience relating to virtual assets related product, unless the clients thereafter receives training on virtual assets related products, otherwise the clients will not be eligible for trading virtual asset-related products.

**美國居民/公民自我證明 SELF-CERTIFICATION OF U.S. RESIDENT / CITIZEN**

1. 您是否美國稅務居民? Are you a U.S. tax resident?	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No	2. 您是否美國公民? Are you a U.S. citizen? <small>(如您持有多重國籍身份而其一是美國國籍，請回答“是”) (If you hold multiple citizenships, tick “Yes” if one of them is U.S.)</small>	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
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**共同匯報標準自我證明 SELF-CERTIFICATION OF 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。請列出所有（不限於 5 個）居留司法管轄區。  
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 Taxpayer Identification Number (“TIN”) for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence.

如帳戶持有人的香港稅務居民，稅務編號是其香港身份證號碼。如沒有提供稅務編號，必須填寫合適的理由：  
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:

- 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。  
Reason A – The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.
- 理由 B - 帳戶持有人不能取得稅務編號。如選取這一理由，請解釋帳戶持有人不能取得稅務編號的原因。  
Reason B – The account holder is unable to obtain a TIN. Please explain why the account holder is unable to obtain a TIN if you have selected this reason.
- 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。  
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.

	居留司法管轄區 Jurisdiction of Residence	稅務編號 TIN	如沒有提供稅務編號，請填寫理由 A、B 或 C Please enter Reason A, B or C if no TIN is available	如選取理由 B，請解釋帳戶持有人不能取得稅務編號的原因 Please explain why you are unable to obtain a TIN if you have selected Reason B
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	
5			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	

**單據往來地址 ADDRESS FOR CORRESPONDENCE & FORWARDING OF CONFIRMATIONS & STATEMENT**

成交單據正本(買賣確認)及對帳單以下列其中一項方式發送 (只可選擇其一) Original Contract Notes (Trading Confirmations) and Statements to be sent by one of following means. (Please select one only) :

如客戶選用郵寄形式發送, 每月將另加額外郵遞服務費 For clients choose mailing services as the delivering method, there shall be an additional postage service fee each month.

- 電子郵件地址 E-mail Address       住宅地址 Residential Address       通訊地址 Corresponding Address

(請注意成交單據及帳單將會寄往第一帳戶持有人 Please note that the contract notes and statements will be sent to the Primary Joint Account Holder)

**收款銀行戶口 RECEIVING BANK ACCOUNT**

在收到閣下的提款指示後, 將款項轉到以下戶口 Funds will be transferred to the following bank account after receiving the Client's fund withdrawal instruction:

銀行名稱 Name of the Bank :

銀行帳戶貨幣/號碼 Bank Account Currency/Number

港元 HKD 帳戶號碼 A/C No.: \_\_\_\_\_

人民幣 RMB 帳戶號碼 A/C No.: \_\_\_\_\_

美元 USD 帳戶號碼 A/C No.: \_\_\_\_\_

其他貨幣 Other Currency 請註明 Please specify: \_\_\_\_\_

帳戶號碼 A/C No.: \_\_\_\_\_

銀行帳戶持有人名稱 (須與客戶的銀行結單及此表格上的名稱相符)

Bank Account Holder's Name (name(s) shown on the Client's bank statements should match with the name of the applicant(s) in this Form)

若為香港以外銀行帳戶, 請提供地區及 SWIFT 號碼 (如適用)

If bank account is outside Hong Kong, please state location and SWIFT code (if applicable)

**使用個人資料作直接促銷同意書 USE OF PERSONAL DATA IN DIRECT MARKETING CONSENT LETTER**

國投證券(香港)有限公司(「國投證券(香港)」)擬使用閣下的個人資料作直接促銷, 該等個人資料包括本人/吾等在本開戶資料表格中向國投證券(香港)提供的及國投證券(香港)不時獲得的姓名、聯絡詳情、財務背景、統計資料等的個人資料。為此須取得閣下的同意。

SDIC Securities (Hong Kong) Limited ("SDIC Securities HK") intends to use your personal data in direct marketing. Such personal data includes the name, contact details, financial background and statistical data which are provided to SDIC Securities HK under this Account Opening Information Form or obtained by SDIC Securities HK from time to time. SDIC Securities HK proposes to obtain your consent.

本人/吾等同意國投證券(香港)向本人/吾等發放關於財務、保險、證券、投資的服務和產品的推廣資料。本人/吾等亦同意國投證券(香港)及其集團公司分享本人/吾等的個人資料作促銷用途。本人/吾等亦明白和接受國投證券(香港)及其集團公司可能不時聘請第三方代表國投證券(香港)及其集團公司提供直接促銷服務, 除非本人在下方表示反對:

I/We agree to receive promotional and direct marketing information from SDIC Securities HK in respect of financial, insurance, securities, investment services and products of SDIC Securities HK may offer. I/We also agree that SDIC Securities HK can share my/our personal data with its group companies for marketing and promotional purposes. I/We understand and accept that SDIC Securities HK and its group companies may, from time to time, engage third parties to provide direct marketing services unless I indicate an objection herein below:

本人/吾等反對國投證券(香港)使用或轉移, 不論是否為得益, 本人/吾等所有個人資料的種類, 給予所有資料承轉人的類別以用作所有促銷產品/服務/設施的類別的直接促銷用途。

I/We object to the SDIC Securities HK use or transfer, whether for gain or not, of all kinds of my/our personal data to all classes of data transferees, for direct marketing of all classes of marketing subject.

如閣下將來不希望國投證券(香港)使用或提供閣下的資料給他人作直接促銷, 請致電 (852)2213 1000 通知我們。

In the future, if you do not wish SDIC Securities HK to use or provide your data to other persons for the use in direct marketing, you may exercise your opt-out right by notifying SDIC Securities HK at (852)2213 1000.

**有關香港投資者識別碼制度及場外證券交易匯報制度的客戶資料收集聲明同意書****CLIENT CONSENT ON THE PERSONAL INFORMATION COLLECTION IN CONNECTION TO THE HONG KONG INVESTOR IDENTIFICATION REGIME AND OVER-THE-COUNTER SECURITIES TRANSACTIONS REPORTING REGIME**

本人/吾等確認已閱讀及理解國投證券(香港)的《予客戶有關香港投資者識別碼制度及場外證券交易匯報制度的客戶資料收集聲明通知》(「客戶通知」)(載於《證券交易帳戶協議》內)的內容。一經勾選下列同意方框, 即表示本人/吾等同意國投證券(香港)根據客戶通知的條款及其中所載目的使用本人/吾等的個人資料(包括客戶識別信息及/或券商客戶編碼)及表示本人/吾等承諾按照客戶識別信息中可接納的身份證明文件的優先排序表向國投證券(香港)提供正確、準確和更新的個人資料(包括客戶識別信息)及承諾如本人/吾等的個人資料有所改變會於合理的切實可行範圍內盡快通知國投證券(香港)有關更改的個人資料。

I/We acknowledge I/we have read and understand the content of the "Notice to Client on the Personal Information Collection Statement in connection to the Hong Kong Investor Identification Regime and Over-the-counter Securities Transactions Reporting Regime" ("Client Notice") of SDIC Securities HK (as contained in the Agreement for Securities Trading Account). By ticking the box of AGREE as below, I/we signify our consent for SDIC Securities HK to use our personal data (including CID and/or BCAN(s)) for the purposes on the terms set out in the Client Notice and signify our undertaking to provide SDIC Securities HK with correct, accurate and updated personal data (including CID) by following the waterfall for acceptability of identity document for the CID and to notify SDIC Securities HK for any change(s) of our personal data as soon as reasonably practicable.

本人/吾等  同意 /  不同意國投證券(香港)有權根據客戶通知的條款及其中所載目的使用本人/吾等的個人資料(包括客戶識別信息及/或券商客戶編碼)及本人/吾等承諾如本人/吾等的個人資料(包括客戶識別信息)有所改變, 會於合理的切實可行範圍內盡快透過填寫及提交更改客戶資料表格通知國投證券(香港)有關更改的個人資料。

I/We  AGREE /  DISAGREE to the right of SDIC Securities HK to use our personal data (including CID and/or BCAN(s)) for the purposes set out in the Client Notice and I/we shall undertake to notify SDIC Securities HK for any change(s) of our personal data (including CID) by completing and submitting Change of Client Information Form as soon as reasonably practicable.

**客戶聲明 DECLARATIONS BY CLIENT**

本人/吾等謹此承諾並確認：

I/We hereby acknowledge and confirm that:

1. 本開戶資料表格的資料均屬真實、準確及完整，除非國投證券（香港）有限公司（「國投證券（香港）」）收到我們的書面另行通知，國投證券（香港）將有權依據這些資料及陳述，作任何用途或目的。客戶授權國投證券（香港）可在任何時間聯絡任何人，包括客戶的銀行、經紀或任何信貸機構，藉以確定及查證本開戶資料表格內的資料；

The information contained in this Account Opening Information Form is true, accurate and complete. SDIC Securities (Hong Kong) Limited (“SDIC Securities HK”) is entitled to rely fully on such information and representations for all purposes, unless SDIC Securities HK receives written notice from us stating otherwise. SDIC Securities HK is authorized at any time to contact anyone, including the Client’s banks, brokers or any credit agency, for the purpose of verifying the information provided on this Account Opening Information Form;

2. 本人/吾等已收到、閱讀及明白證券交易帳戶協議內之條款(包括其附表、附錄及附件(如有))（「協議」），而本人/吾等接納並同意受該等條款約束；

I/we have received, read and understood the Terms and Conditions contained therein the Agreement for Securities Trading Account (and the schedules, appendices and annexes thereto, if any) (the “Agreement”), and I/we accept and agree to be bound by them;

3. 本人/吾等已獲提供以本人/吾等選擇語言(英文或中文)所撰寫的風險披露聲明；

the risk disclosure statements were provided to me/us in a language of my/our choice (English or Chinese);

4. 本人/吾等已獲邀請參閱風險披露聲明，並提出問題及諮詢獨立意見(如有此意願)；

I/we was/were invited to read the risk disclosure statements, and to ask questions and take independent advice if I/we so wished;

5. 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國投證券（香港），否則本人/吾等同意該資料會被當作續期。本人/吾等亦同意悉數對國投證券（香港）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。

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 SDIC Securities HK within 30 days for any change of circumstances stated in the SELF-CERTIFICATION OF U.S. RESIDENT / CITIZEN, without which we agree that the information stated in the SELF-CERTIFICATION OF U.S. RESIDENT / CITIZEN will be deemed renewed. We shall fully indemnify and hold harmless SDIC Securities HK from and against all claims, damages, losses, costs and expenses whatsoever incurred as a result of such non-compliance or omission;

6. 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國投證券（香港）。本人/吾等亦同意悉數對國投證券（香港）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。

I/we agree to inform SDIC Securities HK within 30 days upon any changes in the information of the Self-Certification of Common Reporting Standard status supplied to SDIC Securities HK. We shall fully indemnify and hold harmless SDIC Securities HK from and against all claims, damages, losses, costs and expenses whatsoever incurred as a result of such non-compliance or omission;

7. 國投證券（香港）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，或令國投證券（香港）有理由相信本人/吾等之自我證明有不正確或不可靠時，國投證券（香港）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。作為國投證券（香港）的帳戶持有人，本人/吾等承諾及同意向國投證券（香港）提供進一步的資料。國投證券（香港）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，國投證券（香港）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；

SDIC Securities HK 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 SDIC Securities HK to know that the self-certification is incorrect or unreliable, SDIC Securities HK 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 SDIC Securities HK, I/we shall be deemed to acknowledge that further information may need to be provided to SDIC Securities HK. SDIC Securities HK’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), SDIC Securities HK 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;

8. 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。

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).

9. 本人/吾等已參閱國投證券（香港）《予客戶有關《個人資料（私隱）條例》的通知》及《予客戶有關香港投資者識別碼制度及場外證券交易匯報制度的客戶資料收集聲明的通知》（載於證券交易帳戶協議內），並明白且同意其條款；

I/we have read SDIC Securities HK’s Notice to Client on the Personal Data (Privacy) Ordinance” and “Notice to Client on the Personal Information Collection Statement in connection to the Hong Kong Investor Identification Regime and Over-the-counter Securities Transactions Reporting Regime” (as contained in the Agreement for Securities Trading Account), understand and agree to such terms;

10. 倘若中文本與英文本在解釋或意義方面有任何歧義，本人/吾等同意應以英文本為準。

In the event of any difference in interpretation or meaning between the Chinese and English version, I/we agree that the English version shall prevail.

個人/聯名戶口第一持有人簽署 (並作為簽署式樣) Individual / Primary Joint A/C Holder’s Signature (also as Specimen Signature)	聯名戶口第二持有人簽署 (並作為簽署式樣) Secondary Joint A/C Holder’s Signature (also as Specimen Signature)
姓名 Name : 日期 Date : (日 DD/月 MM/年 YYYY)	姓名 Name : 日期 Date : (日 DD/月 MM/年 YYYY)

註：請參閱本開戶表格末頁之開立帳戶所需文件核對表

Note: Please refer to the document checklist in the last page of this Form for account opening accordingly.

### 核證 CERTIFICATION

(如本表格並非在國投證券(香港)職員面前簽署,須填寫此欄)

(must be completed where this Form is not signed before a staff member of SDIC Securities HK)

由香港證監會發牌或註冊之人士或其聯繫人士、國投證券(香港)的聯繫人士,專業人士(例如銀行分行經理、執業會計師、律師或公證人)核證。

To be certified by a person licensed or registered with Hong Kong SFC or his affiliate, an affiliate of SDIC Securities HK, professional person (such as a branch manager of a bank, certified public accountant, lawyer or notary public).

本人(姓名見下)核證已經與本表格簽署人會晤及核對其身份證或護照正本,他(們)並在本人面前簽署本表格。

I, named below, certify that I have met and identified each of the person(s) who executed this Form before me, and reviewed the original of his/their ID card(s) or passport(s).

簽署 Signature

姓名 Name:

職業 Profession:

日期 Date:

(日DD/月MM/年YYYY)

### 國投證券(香港)有限公司職員聲明 DECLARATION BY SDIC SECURITIES (HONG KONG) LIMITED STAFF

本人(姓名見下),為國投證券(香港)之職員,謹此聲明,本人:

- (i) 已向客戶提供以客戶選擇語言(英文或中文)所撰寫的風險披露聲明(載於協議內);及
- (ii) 已邀請客戶參閱風險披露聲明,並按客戶的意願提出問題及諮詢獨立意見。

I, named below, a staff member of SDIC Securities HK, hereby declare that I have:

- (i) provided to the above-named Client the risk disclosure statements (as contained in the Agreement) in a language of the Client's choice (English or Chinese); and
- (ii) invited the Client to read the risk disclosure statement, ask questions and take independent advice if the Client wishes.

以上客戶/聯名客戶簽署乃本人面前簽立\*

The above Client/ Joint Client Signature(s) was/were made in my presence\*

職員簽署 Signature of Staff

職員姓名 Staff Name:

職員職銜 Staff Designation:

職員CE 編號 Staff CE Number:

日期 Date:

(日DD/月MM/年YYYY)

\*如不適用,請刪除。Delete if not applicable.

### 本公司專用 FOR OFFICE USE ONLY

Submitted By [Name of AE / Dealer / CS (select if applicable)]: \_\_\_\_\_ Checked by Risk Management: \_\_\_\_\_

Reviewed and Approved by: RO: \_\_\_\_\_ Compliance: \_\_\_\_\_ Executive Director: \_\_\_\_\_

Turnover Limit /Credit Limit: \_\_\_\_\_ Interest Rate: \_\_\_\_\_ Brokerage: \_\_\_\_\_ Date: \_\_\_\_\_

Remark: \_\_\_\_\_

## 常設授權書 STANDING AUTHORITY

### 根據《證券及期貨(客戶證券)規則》所設立的常設授權

#### Authority under Securities and Futures (Client Securities) Rules

本授權書是有關處置本人/吾等之證券或證券抵押品，詳列如下：

This letter of authority is in respect of the treatment of my/our securities or securities collateral as set out below.

除非另有說明，本授權書之名詞與證券及期貨條例及證券及期貨(客戶證券)規則不時修訂之定義具有相同意思。

Unless otherwise defined, the definitions used in this letter of authority shall have the same meaning as in the Securities and Futures Ordinance and the Securities and Futures (Client Securities) Rules as amended from time to time.

本授權書授權國投證券(香港)有限公司(「國投證券(香港)」)：

This letter of authority authorises SDIC Securities HK (Hong Kong) Limited (“SDIC Securities HK”) to:

1. 依據證券借貸協議運用任何本人/吾等的證券或證券抵押品；  
apply any of my/our securities or securities collateral pursuant to a securities borrowing and lending agreement;
2. 將任何本人/吾等的證券抵押品存放於認可財務機構，作為該機構向國投證券(香港)提供財務通融之抵押品；  
deposit any of my/our securities collateral with an authorized financial institution as collateral for financial accommodation provided to SDIC Securities HK;
3. 將任何本人/吾等的證券抵押品存放於香港中央結算有限公司(「中央結算」)，作為解除國投證券(香港)在交收上的義務和清償國投證券(香港)在交收上的法律責任的抵押品。本人/吾等明白中央結算因應國投證券(香港)的責任和義務而對本人/吾等的證券設定第一固定押記；  
deposit any of my/our securities collateral with Hong Kong Securities Clearing Company Limited (“HKSCC”) as collateral for the discharge and satisfaction of SDIC Securities HK’s settlement obligations and liabilities. I/We understand that HKSCC will have a first fixed charge over my/our securities to the extent of SDIC Securities HK’s settlement obligations and liabilities;
4. 將任何本人/吾等的證券抵押品存放於任何其他的認可結算所或任何其他獲發牌或獲註冊進行證券交易的中介人，作為解除國投證券(香港)在交收上的責任和義務和清償國投證券(香港)在交收上的法律責任的抵押品；及  
deposit any of my/our securities collateral with any other recognized clearing house, or another intermediary licensed or registered for dealing in securities, as collateral for the discharge and satisfaction of SDIC Securities HK’s settlement obligations and liabilities; and
5. 如國投證券(香港)在進行證券交易及國投證券(香港)獲發牌或獲註冊進行的任何其他受規管活動的過程中向本人/吾等提供財務通融，即可按照上述第(1)、第(2)、第(3)及/或第(4)段所述運用或存放任何本人/吾等的證券抵押品。  
apply or deposit any of my/our securities collateral in accordance with paragraphs (1), (2), (3) and/or (4) above if SDIC Securities HK provide financial accommodation to me/us in the course of dealing in securities and also provide financial accommodation to me/us in the course of any other regulated activity for which SDIC Securities HK is licensed or registered.

國投證券(香港)可不向本人/吾等發出事前通知而採取上述行動。本人/吾等確認本授權書不影響國投證券(香港)為解除由本人/吾等或代本人/吾等對國投證券(香港)、國投證券(香港)之有聯繫實體或第三者所負的法律責任，而處置或促使國投證券(香港)的有聯繫實體處置本人/吾等之證券或證券抵押品的權利。

SDIC Securities HK may do any of these abovementioned actions without giving me/us prior notice. I/We acknowledge that this letter of authority shall not affect SDIC Securities HK’s right to dispose or initiate a disposal by SDIC Securities HK’s associated entity of my/our securities or securities collateral in settlement of any liability owed by or on behalf of me/us to SDIC Securities HK, the associated entity or a third party.

此賦予國投證券(香港)之授權書乃鑑於國投證券(香港)同意繼續維持本人/吾等之證券保證金賬戶。本人/吾等明白本人/吾等的證券可能受制於第三者之權利，國投證券(香港)須全數抵償該等權利後，方可將本人/吾等的證券退回本人/吾等。

This letter of authority is given to SDIC Securities HK in consideration of SDIC Securities HK agreeing to continue to maintain the securities margin account(s) for me/us. I/We understand that a third party may have rights to my/our securities, which SDIC Securities HK must satisfy before my/our securities can be returned to me/us.

本授權書的有效期限為十二個月，自本授權書之日起計有效。

This letter of authority is valid for a period of 12 months from the date of this letter of authority.

本人/吾等可以向國投證券(香港)客戶服務部發出書面通知，撤回本授權書。該等通知之生效日期為國投證券(香港)真正收到該等通知後之14日計。

This letter of authority may be revoked by giving SDIC Securities HK written notice addressed to SDIC Securities HK’s Customer Service Department. Such notice shall take effect upon the expiry of 14 days from the date of SDIC Securities HK’s actual receipt of such notice.

本人/吾等明白國投證券(香港)若在本授權書的有效期限屆滿前14日之前，向本人/吾等發出書面通知，提醒本人/吾等本授權書即將屆滿，而本人/吾等沒有在此授權屆滿前反對此授權續期，本授權書應當作在不需要本人/吾等的書面同意下按持續的基準已被續期。

I/We understand that this letter of authority may be deemed to be renewed on a continuing basis without my/our written consent if SDIC Securities HK issues me/us a written reminder at least 14 days prior to the expiry date of this authority, and I/we do not object to such deemed renewal before such expiry date.

倘若本授權書的中文本與英文本在解釋或意義方面有任何歧義，本人/吾等同意應以英文本為準。

In the event of any difference in interpretation or meaning between the Chinese and English version of this letter of authority, I/We agree that the English version shall prevail.

本人/吾等就本授權書的內容已獲得解釋，並且本人/吾等明白及同意本授權書的內容。

This letter of authority has been explained to me/us and I/we understand and agree with the contents of this letter of authority.

個人/聯名戶口第一持有人簽署: Individual /Primary Joint A/C Holder’s Signature:	聯名戶口第二持有人簽署: Secondary Joint A/C Holder’s Signature:
姓名 Name : 日期 Date : (日 DD/月 MM/年 YYYY)	姓名 Name : 日期 Date : (日 DD/月 MM/年 YYYY)

## 開立帳戶之文件核對表 DOCUMENTATION CHECK LIST FOR ACCOUNT OPENING

重要事項：所有提交的文件如非正本，必須經認可人士或國投證券（香港）員工認證後，方為有效。

Important note: All documents submitted must either be an original or a copy certified by a recognized person or staff members of SDIC Securities HK.

### 個人 / 聯名戶口 INDIVIDUAL / JOINT ACCOUNT

請提供以下文件本 Please provide the following documents:

1. 個人 / 聯名戶口持有人身份證 / 護照副本  
Identity Card(s) / Passport(s) of the Individual/Joint account holder
2. 住宅地址證明（如：水、電費單 / 銀行結單等, 只接受最近三個月）或  
Proof of Residential Address (e.g. Utilities / Bank Statement, etc. not later than 3 months) or
3. 通訊地址證明（如適用）  
Proof of Correspondence Address (If applicable)
4. 國投證券（香港）合理情況下需要的其他文件或資料  
Any other documents and/or information as SDIC Securities HK may reasonably requires