

UNITS 2701-08 27/F SHUI ON CENTRE,
 6-8 HARBOUR ROAD, WANCHAI, HONG KONG
 香港灣仔港灣道 6-8 號瑞安中心 27 樓 2701-2708 室

ACCOUNT OPENING FORM (INDIVIDUAL / JOINT ACCOUNT)

開戶申請書 (個人/ 聯名戶口)

ACCOUNT 戶口

Application Type	申請類別:	<input type="checkbox"/> Individual Account 個人戶口	<input type="checkbox"/> Joint Account 聯名戶口	<input type="checkbox"/> Primary A/C Holder 戶口主要持有人 <input type="checkbox"/> Secondary A/C Holder 戶口第二持有人
Account Type	戶口類別:	<input type="checkbox"/> Cash Account 現金戶口	<input type="checkbox"/> Margin Account* 保證金戶口*	*Please sign the Margin Account Authorization *請簽署保證金客戶之常設授權書
Medium of Instruction	指令方式:	<input type="checkbox"/> AE Trading 客戶主任交易	<input type="checkbox"/> Internet Trading 電子交易	<input type="checkbox"/> Snapshot Quote Service 免費點擊報價服務 <input type="checkbox"/> Real Time Quote Service 串流式即時報價服務 (Monthly charge of HK\$388)(月費為港幣\$388)

INDIVIDUAL / JOINT ACCOUNT HOLDER PERSONAL INFORMATION 個人 / 聯名戶口持有人個人資料

Mr. 先生 Ms. 女士

Name In English 英文姓名		Name In Chinese(if applicable) 中文姓名(如適用)	
HKID/Passport No. 香港身份證/護照號碼		Place of Issue 簽發地點	
Nationality 國籍	Place of Birth 出生地點	Date of Birth 出生日期	
		DD	MM YYYY
Home Tel. No. 住宅電話		Mobile Phone No. 手提電話	
Residential Address 住宅地址			
Correspondence Address (If different from above) 通訊地址(如異於上述地址)			
E-mail Address (Mandatory for Internet Trading applicant) 電郵地址 (電子交易申請人必須填寫)			
Education Level 教育程度			
<input type="checkbox"/> Primary 小學 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Tertiary 大專 <input type="checkbox"/> University 大學 <input type="checkbox"/> Others(Please specify) 其他(請說明): _____			
Name of Employer 僱主名稱		Office Tel. No. 公司電話	
Position 職位	Years of Service 受僱年期	Nature of Business 業務性質	
Office Address 公司地址			
Relationship with the Joint Account Holder 與聯名戶口持有人關係			
<input type="checkbox"/> Parents 父母 <input type="checkbox"/> Husband/Wife 丈夫/妻子 <input type="checkbox"/> Children 子女 <input type="checkbox"/> Others(Please specify) 其他(請說明): _____			

CORRESPONDENCE 通訊

(Please fill in by the Primary Account Holder for Joint Account opening. 如屬聯名戶口, 則需由戶口持有人填寫。)

Do you accept to receive Trading Confirmations and Statements via email? * Internet Trading Clients can receive via email only
 閣下是否接受通過電郵收取交易確認通知和戶口結單? * 電子交易客戶只可透過電郵接收

Yes 是 No 否, Please send to the following address (Please tick one only) 請寄往以下地址 (請只選擇一項):

Residential Address 住宅地址 Correspondence Address 通訊地址 Office Address 公司地址

APPLICANT'S BANKER REFERENCE 申請人銀行資料

(This information is for settlement purpose. Unless otherwise instructed by the applicant, all moneys payable to the applicant will be credited to the following bank account. 此資料為交收之用。除非申請人另行給予指示，其所有款項將存入下列銀行戶口。)

Name of Bank 銀行名稱：

Account Name 帳戶姓名：

Account No. 帳戶號碼：

FINANCIAL STATUS & INVESTMENT EXPERIENCE 財務狀況及投資經驗

BMI Securities Limited ("BMI") is required to obtain this information to fulfil the "know-your-client requirement" of Securities and Futures Commission ("SFC") of Hong Kong. 邦盟滙駿證券根據香港證監會所制定之「認識你的客戶要求」而索取有關資料。

- | | | | | | |
|---|--|---|---|---|---|
| 1. Total Net Worth (HK\$)
總資產淨值(港元) | <input type="checkbox"/> < \$500,000 | <input type="checkbox"/> \$500,001
– \$1,000,000 | <input type="checkbox"/> \$1,000,001
– \$4,000,000 | <input type="checkbox"/> \$4,000,001
– \$8,000,000 | <input type="checkbox"/> > \$8,000,000 |
| 2. Annual Income (HK\$)
年收入(港元) | <input type="checkbox"/> < \$200,000 | <input type="checkbox"/> \$200,001
– \$500,000 | <input type="checkbox"/> \$500,001
– \$1,000,000 | <input type="checkbox"/> \$1,000,001
– \$3,000,000 | <input type="checkbox"/> > \$3,000,000 |
| 3. Source Of Funds
資金來源 | <input type="checkbox"/> Salary 工資 | <input type="checkbox"/> Saving 儲蓄 | <input type="checkbox"/> Business Income
業務利潤 | <input type="checkbox"/> Retirement Funds
退休金 | <input type="checkbox"/> Return on
Investment
投資回報 |
| 4. Investment Objectives
投資目的 | <input type="checkbox"/> Capital Gain
資本增值 | <input type="checkbox"/> Dividend Income
股息收入 | <input type="checkbox"/> Hedging 對沖 | <input type="checkbox"/> Speculation
投機 | <input type="checkbox"/> Other 其他
(Please specify)
(請說明): |
| 5. Investment Experience
投資經驗 | <input type="checkbox"/> Nil 沒有 | <input type="checkbox"/> Less than 1 Year
少於 1 年 | <input type="checkbox"/> 1-5 Years 年 | <input type="checkbox"/> 6-10 Years 年 | <input type="checkbox"/> Over 10 Years
超過 10 年 |
| 6. Experience Of
Investment In
Geographical Markets
投資市場地區經驗 | <input type="checkbox"/> Nil 沒有 | <input type="checkbox"/> HK/China
香港/中國 | <input type="checkbox"/> US 美國 | <input type="checkbox"/> Europe 歐洲 | <input type="checkbox"/> Other 其他
(Please specify)
(請說明): |
| 7. Number Of
Transactions
Per Annum
每年交易次數 | <input type="checkbox"/> Nil 沒有 | <input type="checkbox"/> 1-15 Trades 次 | <input type="checkbox"/> 16-30 Trades 次 | <input type="checkbox"/> 30-40 Trades 次 | <input type="checkbox"/> Over 40 Trades
超過 40 次 |
| 8. Risk Tolerance
風險承受能力 | <input type="checkbox"/> Low 低 | <input type="checkbox"/> Medium 中等 | <input type="checkbox"/> High 高 | <input type="checkbox"/> Very High 非常高 | |
| 9. Experienced Products
投資產品經驗 | <input type="checkbox"/> Nil 沒有 | <input type="checkbox"/> Derivative 衍生工具 | <input type="checkbox"/> Bond 債券 | <input type="checkbox"/> Mutual Fund/Unit Trust 基金 | |
| | <input type="checkbox"/> Stock 股票 | <input type="checkbox"/> Structured Products
結構性產品 | <input type="checkbox"/> FX 外匯 | <input type="checkbox"/> Commodities 商品 | |
| 10. Derivative Product
Experience In The Pass
3 Years
過往 3 年的投資衍生產品
經驗 | <input type="checkbox"/> Nil 沒有 | <input type="checkbox"/> 1-5 Trades 次交易 | <input type="checkbox"/> Over 5 Trades
超過 5 次交易 | | |
| 11. Have you ever undergone training or attended a course in derivative products with general knowledge of the nature or risks of derivatives?
閣下是否曾接受有關衍生產品性質和風險的一般知識培訓或修讀相關課程？ | <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 | | | | |
| 12. Are you currently or previously have a job nature relevant to derivative products?
閣下現時或過去是否從事與衍生產品有關的工作？ | <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 | | | | |
| <input type="checkbox"/> I confirm that I have reviewed and fully understood the provided "Risk Disclosure Statement for Derivative Products traded on an exchange", and have obtained an explanation from BMI in a language (English or Chinese) of my choice.
本人確認本人已詳細閱讀及完全明白附頁的“交易所買賣之衍生產品風險披露聲明”，並獲得邦盟滙駿證券以本人所選擇之語言(英文或中文)作出解釋。 | | | | | |

DECLARATION OF NON-US/USPERSON STATUS 非美國 / 美國人士狀況聲明

1. I confirm that I am not a US citizen. 本人確認本人不是美國公民。
(You must answer "No" if you hold multiple citizenships, one of which is a US citizenship)
(如閣下擁有多於一個公民身份而其中一個為美國公民身份, 閣下必須答「否」) No 否 Yes 是
2. I confirm that I am not born in US. 本人確認本人不是出生於美國。 No 否 Yes 是
3. I confirm that I am not a US green card holder (irrespective of expiry date).
(e.g. in possession of a US alien registration card as a lawful permanent resident issued by the US Citizenship and Immigration Service)
本人確認本人不是美國綠卡持有人 (不論到期日)。
(例如: 持有由美國公民及移民服務處發出作為合法永久居民的美國外籍人登記卡) No 否 Yes 是
4. I confirm that I am not a resident of the US for US tax purpose.
本人確認本人不是為繳納美國稅之美國居民。 No 否 Yes 是

(You will be considered a US resident if you meet the Substantial Physical Presence Test. The Substantial Physical Presence Test is met if you were present in the US for at least 31 days in current year and you were present in the US for a total of at least 183 days for current year, 1st preceding year and 2nd preceding year according to the following formula: (number of days in current year X 1) + (number of days in 1st preceding year X 1/3) + (number of days in 2nd preceding year X 1/6))

(如閣下符合實質居留測試, 則閣下會被視為美國居民。如閣下今年在美國居留不少於 31 日及根據以下公式計算今年、去年及前年在美國居留合共不少於 183 日: (今年在美國居留之日數 X 1) + (去年在美國居留之日數 X 1/3) + (前年在美國居留之日數 X 1/6), 則閣下會被視為符合實質居留測試)

If the answer for any of the above is "No", I hereby provide my Tax Identification Number _____ and give my consent to BMI for providing the information of my account opened with BMI to Internal Revenue Service of the United States and complete W9 Form.

如以上任何一項答「否」, 閣下現提供繳稅識別號碼 _____ 並同意「邦盟滙豐證券」提供其在「邦盟滙豐證券」開立之帳戶資料予美國國家稅務局及填寫 W9 表格。

TAX RESIDENCY 稅務居民資料

Pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance. Please provide your (and / or the Secondary Joint Account Holder's) jurisdiction of residence where the account holder(s) is a resident for tax purposes and TIN for each jurisdiction indicated. If a TIN is unavailable, provide the appropriate reason A, B or C:

- Reason A - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.
Reason B - TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.
Reason C - The account holder is unable to obtain a TIN. (Explain why the account holder is unable to obtain a TIN if you have selected Reason C)

根據《稅務條例》有關交換財務帳戶資料的法律條文, 請提供閣下(及/或聯名帳戶第二持有人)的稅務編號。如沒有提供稅務編號, 必須填寫合適的理由:

- 理由 A - 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。
理由 B - 帳戶持有人毋須提供稅務編號。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。
理由 C - 帳戶持有人不能取得稅務編號。(如選取理由 C, 解釋帳戶持有人不能取得稅務編號的原因)

主要戶口持有人 Primary Joint Account Holder		
<input type="checkbox"/> 本人持有香港稅務居民資格 I hold Hong Kong Tax residence		
及/或 and/or		
<input type="checkbox"/> 本人持有香港以外稅務居民資格 I hold tax residence other than Hong Kong		
稅務管轄區: Jurisdiction of Residence:	(1)	(2)
稅務編號: TIN:	(1)	(2)
沒有稅務編號理由: Reason of TIN is unavailable:	<input type="checkbox"/> 理由 A Reason A <input type="checkbox"/> 理由 B Reason B <input type="checkbox"/> 理由 C Reason C	<input type="checkbox"/> 理由 A Reason A <input type="checkbox"/> 理由 B Reason B <input type="checkbox"/> 理由 C Reason C
選取理由 C 的原因: Explanation to selected Reason C:		
額外資料: Additional Information:		

DECLARATION 聲明

1. I confirm that I am **not** a licensed / registered person or an employee of a licensed corporation / registered institution with Securities and Futures Commission ("SFC") of Hong Kong.

本人確認本人**不是**香港證券及期貨事務監察委員會(以下簡稱「證監會」)持牌人/註冊人,或其持牌/註冊機構之僱員。

No*, 否*, CE No. 中央編號: _____

Yes 是

* If No, please provide employer's consent letter. *如否,請提供僱主之書面同意書。

2. I confirm that I have maintained "no conviction record" under the legislation of anti-money laundering and anti-terrorist financing.

本人確認本人就反洗黑錢條例或反恐怖分子籌資活動條例仍然維持"無犯罪紀錄"。

No 否 Yes 是

3. I confirm that I am **not** engaged in an industry which is particularly susceptible to money laundering risk (for example, money changer or gaming industry that handles large amount of cash).

本人確認本人從事的行業**不是**特別容易蒙受較高的洗黑錢風險(例如找換業或博彩業從而接觸大量現金)。

No 否 Yes 是

4. I confirm that I am the ultimate beneficial owner of funds. 本人確認本人為此帳戶資金的最終受益人。

No 否 Yes 是

5. I confirm that I am **not** a politically exposed person ("PEP"). 本人確認本人**不是**牽涉政治的人士。

No 否 Yes 是

6. I confirm that I am **not** a relative of an employee or agent of BMI Securities Limited.

本人確認本人**沒有**與邦盟滙駿證券的職員或代理人有親屬關係。

No 否, Name of Employee/Agent 職員 / 代理人名稱: _____

Relationship 關係: Parents 父母 Husband/Wife 丈夫 / 妻子 Children 子女 Others 其他: _____

Yes 是

7. I confirm that I do **not** maintain any other related account(s) with BMI.

本人確認本人**沒有**在邦盟滙駿證券有其他關連戶口。

No, 否, In Own Name 以閣下本人名義 Account No. 戶口號碼: _____

In Spouse Name 以配偶名義: _____ Account No. 戶口號碼: _____

In Joint Name 以聯名名義: _____ Account No. 戶口號碼: _____

In Controlled Company Name 以受控制公司名義: _____ Account No. 戶口號碼: _____

Yes 是

8. I confirm that I do **not** control, either alone or with my spouse, 35% or more of the voting rights of another corporate margin client of BMI.

本人確認本人**沒有**單獨或與配偶共同控制邦盟滙駿證券其他公司保證金客戶之百分之三十五或以上的投票權。

No, 否, Name of Spouse(if applicable) 配偶姓名(如適用): _____

Name of Relevant Company(ies) 有關公司名稱: _____ Account No. 戶口號碼: _____

Yes 是

APPLICANT(S) ACKNOWLEDGEMENT 申請人確認

I/We, in order to comply with the requirements of Foreign Account Tax Compliance Act, BMI could not open any account with me/us if I/We would not provide the information and/or give the consent to BMI for providing the **information** of the account opened with BMI to Internal Revenue Service of the United States.

本人/吾等為符合海外帳戶稅收合規法案的要求，如本人/吾等不提供以上的資料及/或不同意「邦盟滙駿證券」提供其在「邦盟滙駿證券」開立之帳戶資料予美國國家稅務局，「邦盟滙駿證券」不可以為本人/吾等開立任何帳戶。

I/We, the undersigned Client(s), agree to immediately notify the Company of any change in my status as a U.S. Person for the purpose of U.S. federal income tax. I/We agree to indemnify the Company in respect of any false or misleading information regarding my "U.S. Person" status for U.S. federal income tax purpose.

本人/吾等同意當在是否申報為美國公民或就稅務目的而言的居民身份有所變動時，立即通知貴公司；本人/吾等承諾賠償因任何虛假或誤導的資訊導致貴公司所產生的損失。

I/We acknowledge that any information contained in this Account Opening Form ("the Form") may be provide to a reporting financial institution for the purpose of automatic exchange of financial account information. I/We agree that (a) the information contained in this form is collected and may be kept by BMI for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap. 112). I/We declare that the information given and statements made in this form is true and accurate. **I/We undertake to advise BMI of any change in circumstances which affects the tax residency status of the Account Holder(s) of this form or causes the information contained herein to become incorrect, and to provide BMI with a suitably updated Account Particulars Amendment Form within 30 days of such change in circumstances.** BMI is authorized to contact anyone, including Customer's banks, brokers or any credit agency, for verifying the information provided on this form.

本人/吾等知悉在這開戶申請書("表格")上所記載之資料，將有可能以作自動交換財務帳戶資料用途。本人/吾等知悉及同意，邦盟滙駿證券可根據《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文，(a)收集本表格所載資料並可備存作自動交換財務帳戶資料用途及(b)把該等資料和關於本人/吾等的資料向香港特別行政區政府稅務局申報，從而把資料轉交到本人/吾等的居留司法管轄區的稅務當局。本人/吾等確認表格中提供的信息和聲明是真實和準確的。本人/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，**本人/吾等會通知邦盟滙駿證券，並會在情況發生改變後 30 日內，向邦盟滙駿提交一份已適當更新的客戶資料更改通知書。**邦盟滙駿證券有權聯繫任何人，包括客戶的銀行，經紀人或任何信用機構，以驗證本表格上提供的信息。

I/We, the undersigned Client(s), wish to open one or more Account(s) with BMI. I/We acknowledge receipt of the attached prevailing version of the client agreement (the "Agreement") of BMI of which this Account Opening Form, and all other relevant documents (including the fee schedule) enclosed herewith form part. I/We confirm that information provided on this Account Opening Form is true, complete and accurate. I/We confirm that I/we have carefully read and understood the terms and provisions of the Agreement, which have been provided to me/us in a language of my/our choice (English or Chinese). I/We expressly agree and consent, as evidenced by my/our signature(s) below, to each and all terms and provisions contained in the Agreement. I/We also acknowledge that I/we have been invited to read the risk disclosure statements Part3A,3B,3C,3D, set out in the Agreement, ask questions and take independent advice if I/we so wish.

本人/吾等為下屬簽署客戶，欲在邦盟滙駿證券開設戶口。本人/吾等確認收悉本開戶申請書所附上邦盟滙駿證券之客戶協議書（「協議書」），以及其它相關文件（包括收費表）。本人/吾等確認於本開戶申請書中所提供資料是真實、完整並準確的。本人/吾等確認獲提供以本人/吾等所選擇的語言（中文或英文）之協議書，且已認真閱讀並明白協議書的條款和細節。本人/吾等以下之簽署表明本人/吾等完全同意並接受協議書的全部條款和細節。本人/吾等在此聲明，本人/吾等已獲邦盟滙駿證券邀請閱讀協議書內第 3 部份的風險披露聲明 A,B,C,D 提出問題及徵求獨立的意見（如本人/吾等有此意願）。

APPLICANT(S) SIGNATURE 申請人簽署

	
Individual/Primary Joint Account Holder's Signature 個人/聯名戶口主要持有人簽署	Secondary Joint Account Holder's Signature 聯名戶口第二持有人簽署
Name 姓名 (Please use block letter 請使用正楷)	Name 姓名 (Please use block letter 請使用正楷)
Date 日期	Date 日期

SIGNING ARRANGEMENT FOR JOINT ACCOUNT APPLICATION 聯名戶口簽署安排

BMI will be entitled to act on oral instruction from any of the Account holders in relation to buying, selling or other dealing in securities for the Account. You decide that the valid document in connection with the operation (including corporate actions, fund withdrawal and asset transfer) of your Account must be signed by _____ of the Account holders.

邦盟滙駿證券有權根據聯名戶口任何一位持有人的口頭指示執行其戶口買、賣或其他與證券有關交易行動。
戶口操作(包括公司行為、提款及資產轉移)的有效文件必須由_____戶口持有人簽署。

WITNESS DECLARATION 見證聲明

I, being a SFC Licensed / Registered Representative Notary Public Certified Public Accountant Practicing Lawyer
 Chartered Secretary hereby certify I have witnessed the signing of this Account Opening Form (together with the attached documents, if applicable) by the above client and have sighted the original of the related identity documents of the above client.
 本人作為 證監會持牌人 / 註冊人 公證人 註冊會計師 執業律師 特許秘書 謹此確認見證客戶簽署本開戶申請書 (包括隨附的文件, 如適用) 以及驗證客戶的身份原件。

Signature of Witness 見證人簽署

Date 日期

Name of Witness 見證人姓名

CE No./Professional Member No. 中央編號 / 專業屬會號碼

Contact Details (Tel.) 聯絡方法 (電話)

DECLARATION BY STAFF 職員聲明

I confirm that I have provided the Risk Disclosure Statement contained herein in language (English or Chinese) of the Client's choice and that I have invited the Client to read the Risk Disclosure Statement, ask questions and take independent advice, if the Client wishes.
 本人確認已經以客戶選擇的語言 (英文或中文) 提供風險披露聲明, 並且本人已經邀請客戶閱讀該風險披露聲明, 提出問題及尋求獨立的意見 (如客戶有此意願)。

Signature of Staff 職員簽署

Date 日期

Name of Staff 職員姓名

CE No. 中央編號

~ End 完 ~

FOR OFFICIAL USE ONLY 只供本行使用**Document checklist**

I.D Card / Passport Copy	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Address Proof (Recent 3 months)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Bank Proof	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Employer Consent Letter (if applicable)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Personal Information Collection Statement-NB	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Margin Account Authorization (if applicable)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
W9 Form (if applicable)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
AML / PEP	<input type="checkbox"/> Checked	

Applicable to Non face-to-face account opening procedure:

Cheque received (if applicable)

- Issued from a licensed bank in HK
- Payable to "BMI Securities Limited"
- Cheque amount not less than HK\$10,000
- Client name shown on cheque
- Same signature on cheque and on A/C Opening Form
- Cheque copy retained
- Cheque cleared
- Cheque number # _____ (Bank : _____)

Introduced by :

Relationship with the Introducer:

AE Code :

Brokerage :

Internet Trading: (Brokerage : _____ %) (Min Charge : \$ _____)

AE Trading: (Brokerage : _____ %) (Min Charge : \$ _____)

Credit Limit :

Exposure Limit (Margin A/C) :

Limit approved by :

Document checked by :

Maker :

Checker :

Date :

Date :

Date :

AML Risk Category :

 Low Medium High; reason:

Compliance checked by :

Date :

Account opening approved by :

Name :

Signature :

Date :

Remarks :