

**ACCOUNT OPENING FORM
(FOR INDIVIDUAL / JOINT ACCOUNT)**

開戶表格
(個人 / 聯名)



金源證券有限公司

Midas Securities Limited



金源證券有限公司
Midas Securities Limited

Room 2504-05 25/F Jubilee Centre 18 Fenwick Street Wan Chai Hong Kong
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Tel 電話: (852) 2527 6966 Fax 傳真: (852) 2527 6965
CE No. 證監會編號: BIK715

For office use only 只供本公司使用

Account No.: _____

ACCOUNT OPENING FORM 開戶表格
(For Individual 個人/Joint Account 聯名)

Account Nature 帳戶形式 Individual 個人 Joint (please also completed the supplementary form) 聯名 (請完成補充表格)

Account Type 帳戶分類 Custodian Account 證券現金託管帳戶 Margin Account 保證金帳戶

Internet Trading Service 網上交易服務 Yes 選擇 No 不選擇

A. Individual/Primary Joint Account Holder 個人/聯名帳戶主要持有人

1. Client Personal Information 客戶個人資料

客戶姓名 _____ 先生/女士 Client Name _____ Mr./Ms.

I.D. Card/Passport No. 身份證/護照號碼: _____ Nationality 國籍: _____

Education Level 教育程度 University or above 大學或以上 Secondary 中學 Primary school or below 小學或以下 Others 其他 _____

Full Residential Address 住宅地址: _____

Home Tel No. 住宅電話號碼: _____ Mobile Phone No. 手提電話號碼: _____

Fax No. 傳真號碼: _____ E-mail Address 電郵地址: _____

2. Employment Status 工作狀況

Employed 受僱 Self-Employed 自僱 Retired 退休 Housewife 家庭主婦 Others 其他 _____

Name(s) of Employer 僱主名稱: _____ Office Tel No. 公司電話號碼: _____

Office Address 公司地址: _____

Nature of Business 業務性質: _____ Years of Service 服務年資: _____ Position 職位: _____

3. Financial Situation 財政狀況

Source of Funding 資金來源 (港元 HKD)	Estimated Annual Income 估計每年收入	Asset Items 資產項目	Approximate Total Net Asset Value 估計資產淨值
<input type="checkbox"/> Salary 薪金	<input type="checkbox"/> < 120,000	<input type="checkbox"/> Land and Property 房地產	<input type="checkbox"/> < 100,000
<input type="checkbox"/> Family Income 家庭收入	<input type="checkbox"/> 120,000 - 360,000	<input type="checkbox"/> Cash 現金/Deposit 存款	<input type="checkbox"/> 100,000 - 300,000
<input type="checkbox"/> Retirement Fund 退休基金	<input type="checkbox"/> 360,001 - 600,000	<input type="checkbox"/> Listed securities 上市證券	<input type="checkbox"/> 300,001 - 500,000
<input type="checkbox"/> Business Profit 營業溢利	<input type="checkbox"/> 600,001 - 1,200,000	<input type="checkbox"/> Vehicle(s) 車輛	<input type="checkbox"/> 500,001 - 1,000,000
<input type="checkbox"/> Dividend 股息 / Interest 利息	<input type="checkbox"/> > 1,200,000	<input type="checkbox"/> Others 其他: _____	<input type="checkbox"/> 1,000,001 - 5,000,000
<input type="checkbox"/> Personal Savings 個人儲蓄			<input type="checkbox"/> > 5,000,000
<input type="checkbox"/> Investment Income 投資收入			

4. Investment Experience & Derivative Products Knowledge Assessment 投資經驗及衍生產品認識評估

(i) Investment Objective(s) 投資目標
 Dividend Income 股息收入 Capital Appreciation 資本增值 Speculation 投機 Hedging 對沖
 Others 其他 _____

(ii) Investment Experience 投資經驗

- | | | | |
|--|----------------|---|----------------|
| <input type="checkbox"/> Stock 股票 | 年數 Yr(s) _____ | <input type="checkbox"/> Derivative Warrants 衍生認股證 | 年數 Yr(s) _____ |
| <input type="checkbox"/> Callable Bull/Bear Contracts (CBBC) 牛熊證 | 年數 Yr(s) _____ | <input type="checkbox"/> Futures & Options 期貨及期權 | 年數 Yr(s) _____ |
| <input type="checkbox"/> Mutual Funds/Unit Trust 互惠基金/單位信託基金 | 年數 Yr(s) _____ | <input type="checkbox"/> Hedge Funds 對沖基金 | 年數 Yr(s) _____ |
| <input type="checkbox"/> Structured Investment Products 結構性產品 | 年數 Yr(s) _____ | <input type="checkbox"/> Fixed Income Securities 固定收益證券 | 年數 Yr(s) _____ |
| <input type="checkbox"/> Forex/Bullion 外匯/貴重金屬 | 年數 Yr(s) _____ | <input type="checkbox"/> Bond 基金 | 年數 Yr(s) _____ |
| <input type="checkbox"/> Others 其他 _____ | 年數 Yr(s) _____ | | |

(iii) Assessment of Client's Knowledge of Derivatives (please answer all questions) 客戶對衍生工具的認識評估 (請回答所有問題)

1. Have you undergone any training or attended any courses that provide general knowledge of the nature and risks of derivatives (e.g. relevant online or classroom courses offered by academic institutions or financial institutions)? If yes, please specify: 你是否已接受任何有關介紹一般衍生產品之性質及風險的培訓或課程 (例如由學術機構或金融機構所提供之網上課程或教室課程)? 如有, 請註明:

Name of course/seminar 課程/研討會名稱: _____

Organiser 主辦機構: _____ Year of Participation 參與年份: _____

2. Do you have any current or previous work experience related to derivative products? If yes, please specify: 你現時或過去是否擁有與衍生產品有關的工作經驗? 如是, 請註明:

Name of employer 任職公司名稱: _____ Position 職位: _____

3. Have you executed 5 or more transactions in any derivative products within the past three years? If yes, please state the derivative product(s) you have traded: 你曾在過去三年執行過五次或以上有關任何衍生產品的交易? 如有, 請提供有關產品的名稱:

- | | | | |
|--|---|---|--|
| <input type="checkbox"/> Callable Bull/Bear Contracts (CBBC)
牛熊證 | <input type="checkbox"/> Derivative Warrants
衍生認股證 | <input type="checkbox"/> Futures and Options
期貨或期權合約交易 | <input type="checkbox"/> Stock Options
股票期權 |
| <input type="checkbox"/> Synthetic Exchange Traded Funds (ETF)
合成 ETF | <input type="checkbox"/> Equity Linked Products
股票掛鈎產品 | <input type="checkbox"/> Others (Please specify)
其他 (請註明): _____ | |

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ASSESSMENT RESULT 評估結果
(FOR OFFICIAL USE ONLY 只供本公司使用)

The above Client is characterised as a client 上述客戶被歸類為
 without knowledge of derivatives 「對衍生工具沒有認識」
 with knowledge of derivatives 「對衍生工具有認識」

5. Disclosure 披露

1. Are you licensed or register with the SFC or HKMA? 閣下是否香港證監會持牌人或註冊人?
 No 不是 Yes 是 Please provide employer's consent letter (請提供僱主之書面同意書)
2. Are you a director or an employee of any licensed corporation with Hong Kong Securities and Futures Commission and Hong Kong Monetary Authority? 閣下是否香港證監會持牌法團之董事或僱員?
 No 不是 Yes 是 If YES, please provide employer's consent letter 請提供僱主之書面同意書
3. Are you a substantial shareholder*, a senior officer or director of any (listed) company whose shares are traded on any exchange or market? 閣下是否任何其股份在交易所或市場買賣的(上市)公司之主要股東*、高級人員或董事?
 No 不是 Yes 是 If YES, Company Name & Stock Code 公司名稱及上市編號: _____

* "substantial shareholder" means, in relation to a company, a person who is entitled to exercise, or control the exercise of, 10% or more of the voting power at any general meeting of that company. 「主要股東」指, 就一間公司而言, 任何人士其於該公司之任何股東大會擁有權行使, 或可控制行使, 10%或以上之投票權。

4. Are you, either alone or with your spouse, in control of 35% or more of the voting rights of another client of Midas Securities Limited? 閣下是否單獨或與配偶共同控制金源證券另一客戶之35%或以上的投票權?
 No不是 Yes, Account Name & No. 是, 戶口名稱及號碼: _____
5. Are you the spouse or relatives of another client of Midas Securities Limited? 閣下是否金源證券另一客戶之配偶或親屬?
 No不是 Yes, Spouse or relative Account Name & No. 是, 配偶或親屬戶口名稱及號碼: _____
6. Do you have any relative(s) working in Midas Securities Limited? 閣下的直系親屬是否為金源證券有限公司之員工?
 No 不是 Yes 是 Name 姓名: _____ Relationships 關係: _____
7. Are you or any of your family member(s) holding the following 閣下或閣下家庭成員是否有下列職務及關聯:
(A) Senior government /public officer 政府高層/公職人員
 No不是 Yes, Name & Department 是, 姓名及機構名稱: _____
(B) Political position / title / association 政治人物/職務/組織

No不是 Yes, Name & Department 是, 姓名及機構名稱: _____

(C) Other governmental / political exposure 與其他政府/政治聯繫

No不是 Yes, Name & Department 是, 姓名及機構名稱: _____

B. Ultimate Beneficial Owner(s) of the Account and Ultimate Originator(s) of all Transaction 最終權益擁有人及最終戶口交易指示發出者

1. Are you (and/or the Secondary Joint Account Holder) the ultimate beneficial owner(s) in relation to the Account? i.e. Are you acting for your own and not for a third party? 閣下(及/或聯名帳戶第二持有人)是否此戶口最終權益擁有人? 即是閣下是否為閣下本身而不是第三者處理戶口?

Yes 是 No 不是 Details of the ultimate beneficial owner(s) is/are 戶口最終權益擁有人細節如下:

Name 姓名: _____ Date of Birth 出生日期: _____

Passport / ID No. 護照/身份證號碼: _____ Nationality 國籍: _____

Address 地址: _____

2. Are you (and/or the Secondary Joint Account Holder) ultimately responsible for all transaction instructed? 閣下(及/或聯名帳戶第二持有人)是否最終戶口交易指示發出者?

Yes 是 No 不是 Details of the ultimate originator(s) is/are 最終戶口指示發出者細節如下

Name 姓名: _____ Date of Birth 出生日期: _____

Passport / ID No. 護照/身份證號碼: _____ Nationality 國籍: _____

C. Designated Bank Account 指定銀行戶口

Name of Bank 銀行名稱: _____ Account No. 帳戶號碼: _____

D. Communication Method 通訊方式

1. Individual / Primary Joint Account Holder: 個人/聯名帳戶主要持有:

**Electronic Means (Email) will be the default communication method unless you select the following alternatives otherwise. 除非選擇下列其它方式, 否則電子形式(電郵)將為預設的通訊方式。 Please state your email address: 請填寫電郵地址: _____

By Post (any one of the options): 以郵寄形式(其中任何一項): Residential Address 住址 Office Address 公司地址 Other Correspondence Address 其它通訊地址:

** Points to Note for Client(s) who choose to receive the monthly statements and/or the daily statements (eStatements) through Electronic Means. 收取月結單及/或日結單(「電子結單」)之客戶須知:

- MSL will send the Client all eStatements to the Client by Electronic Means in lieu of printed statements by post. 金源證券可透過電子媒介以電子形式發出所有電子結單, 以代替郵寄方式印刷的正本。
- MSL shall notify the Client the availability of eStatement(s) by sending an email together with the eStatement(s) attached to the Client's email address. 當客戶的電子結單已可取覽時, 金源證券將發出附上電子結單的電郵通知客戶。
- The Client shall check his/her designated email address regularly for the e-mail containing the eStatement(s) sent by MSL. 客戶應定期查看客戶指定電郵地址以收取有關金源證券附上電子結單的電郵通知。
- MSL shall not be held responsible for the accuracy of the information found on its website and any information and/or documents (including eStatements) delivered by MSL to the Client by the electronic means. 金源證券將不為其網站資料的準確性及由金源證券經電子方式傳送的資料或訊息(包括電子結單)負上任何責任。
- The Client shall be aware that he is exposed to risks associated with the electronic system including the failure of hardware and software of MSL and internet service providers. The information and/or documents may be intercepted by the unknown third party. 金源證券以電子形式提供予客戶的賬戶結單, 客戶將面對有關電子系統故障的風險(包括金源證券的軟件及硬體及網絡供應商的故障)。而該等資料及/或文件可能被不知名的第三者所截取。
- The Client shall be the only authorised user of the said username and password for his account on the website. The Client shall not, and shall not attempt to, tamper with, modify, de-compile, reverse engineer or otherwise alter in any way any part of the computer system of the MSL and/or gain unauthorised access to the MSL website and computer. 客戶應是該網站帳戶和密碼的唯一授權使用者。客戶將不會、也不意圖會干涉、更改、解編、還原工程或以任何對金源證券的電腦系統進行任何改動或未經認可便進入金源證券的特許網址和電腦。

7. The Client shall inform MSL as soon as practicable upon a change in the email address. 客戶如已更改電郵地址，應在切實可行的範圍內盡快通知金源證券。
8. The Client shall promptly review the eStatements upon receiving the same from MSL to ensure that any errors are detected and reported to MSL as soon as practicable. 當客戶收到金源證券的電郵後，應從速查閱客戶電子結單，以確保在切實可行的範圍內盡快發現任何錯漏並向金源證券提出指正。
9. The Client shall save an electronic copy in the Client's own computer storage or print a hard copy of the eStatements for future reference. 客戶應把電子結單的電子版本儲存於客戶的電腦存儲裝置、或備存一份列印本，以作日後參考。
10. MSL shall resend the eStatement via email upon receiving the Client's request within the following respective specified period from the date of the email containing the eStatement first issued: 在由發給客戶的附上電子結單的電郵的日期起計一段不少於以下指明期間的時間內，金源證券將按閱客戶的要求重新發送其附上電子結單的電郵：
- Daily statement of account, contract note and receipt: 1 month 日結單：1 個月
 - Monthly statement of account: 12 months 月結單：12 個月

E. Direct Marketing (Refer to Privacy Policy and Personal Information Collection Statement) 直接促銷 (參閱隱私政策及個人資料收集聲明)

1. Individual / Primary Joint Account Holder: 個人/聯名帳戶主要持有：

The Client(s) expressly agree that MSL shall use the Client's personal data for direct marketing as stipulated in Personal Information Collection Statement, and wish to receive any direct marketing materials or messages from MSL via the following channel(s): 客戶清楚同意金源證券將客戶的個人資料根據個人資料收集聲明所載使用於直接促銷，並且同意收到金源證券經以下途徑發出的任何直接促銷資料或訊息：

Any Channel 任何途徑 E-mail 電郵 Mail 郵件 SMS 短訊 Phone 電話

The Client(s) do not wish MSL to provide the Client's personal data to any other persons for their use in direct marketing, whether or not such persons are members of the Midas Securities Limited. 客戶不欲金源證券將客戶的個人資料提供予任何其他人士作直接促銷用途。

F. Standing Authority for Client Money and Client Securities 客戶款項及客戶證券的常設授權

1. Unless otherwise defined, the terms used in this Authority shall have the same meanings as in the Securities and Futures Ordinance, the Securities and Futures (Client Money) Rules, the Securities and Futures (Client Securities) Rules and Rules of the Exchange as amended from time to time. 除非另有說明，本授權書之名詞與《證券及期貨條例》、《證券及期貨(客戶款項)規則》、《證券及期貨(客戶證券)規則》、《交易所規則》不時修訂之定義具有相同意思。
2. The Client(s) acknowledge that the Client's assets (including Monies) received or held by the licensed or registered person outside Hong Kong are subject to the applicable laws and regulations of the relevant overseas jurisdiction which may be different from the Securities and Futures Ordinance (Cap.571) and the rules made thereunder. Consequently, such client assets may not enjoy the same protection as that conferred on client assets received or held in Hong Kong. 客戶確認持牌人或註冊人在香港以外地方收取或持有的客戶資產(包括款項)，是受到有關海外司法管轄區的適用法律及規例所監管的。這些法律及規例與《證券及期貨條例》(第 571 條)及根據該條例制訂的規則可能有所不同。因此，有關客戶資產將可能不會享有賦予在香港收取或持有的客戶資產的相同保障。
3. The Client(s) hereby agree to indemnify, and to keep indemnified, MSL from and against all losses, damages, interests, costs, expenses, actions, demands, claims or proceedings of whatsoever nature which they (or any of them) may incur, suffer and/or sustain as a consequence of any transaction undertaken in pursuance of this Authority. This indemnity shall survive the revocation of this Authority. 客戶謹此同意就金源證券，因執行上述授權而可能產生、蒙受及/或承受一切虧損、損失、利息、費用、開支、法律訴訟、付款要求索償等向金源證券作出賠償，並保障金源證券免受損害。本授權被撤銷後仍繼續生效。
4. The Authority under section F shall be valid for a period of 12 months from the date of the account opening and may be extended from year to year by written notice and confirmation issued by MSL until revocation of this Authority. The Client(s) can revoke this Authority by sending a fourteen (14) calendar days prior notice in writing to MSL. The notice period shall run from the date MSL has/has actually received such written notice. Subject to applicable laws, such revocation shall not affect any above transfer made prior to such revocation becoming effective. 本(F)部分的授權將於開戶日期起 12 個月內有效及可由金源證券發出書面通知及確認而每年續延至本授權書被撤銷為止。客戶在給予金源證券 14 歷日事前通知書便可撤銷本授權書。通知期由金源證券確實收到該通知書當日起計。在受制於適用法律下，該撤銷將不會影響任何上述於該撤銷生效前已作出之資金轉戶。
5. The Client(s) acknowledge and agree that this Authority shall be deemed to be renewed on a continuing basis without the Client's written consent if the Company issues the Client a written reminder at least fourteen (14) calendar days prior to the expiry date of this Authority, and the Client does not object to such deemed renewal before such expiry date. 客戶確認並同意，金源證券若在本授權的有效期限滿前 14 歷日之前向客戶發出通知，提醒客戶本授權即將屆滿，而客戶沒有在授權屆滿前反對此授權續期，本授權應當作在不需要客戶以書面同意下按持續的基準已被續期。
- Client(s) confirm that MSL may refuse to draw on the facility granted to me to settle any transaction if client(s) do not give any authorisation required under any applicable laws, rules or regulations. Client(s) confirm that the above authorisations are transferable by MSL or MSL's assigns. 客戶確認若客戶未依據任何適用法律、規則或法規的規定授予任何必要授權，則金源證券可拒絕向客戶提供清償任何交易所需的任何融資。客戶確認上述授權可由金源證券或金源證券的受讓人作出轉讓。
 - Client(s) understand that if MSL lends or deposits any securities in the Margin Account to a third party, the return of such securities may be subject to MSL discharging its obligations to such third party. 客戶理解若將保證金帳戶中的任何證券出借給第三方或存放在第三方處，則此類證券的歸還將取決於金源證券對此等第三方所承擔責任的履行情況。
6. Standing Authority for Client Securities (applicable to Margin Account only) 客戶證券常設授權(只適用於證券保證金帳戶)
- In respect of the treatment of the Client's securities deposited with MSL as collateral, pursuant to section 148 of the Securities and Futures Ordinance and the Securities and Futures (Client Securities) Rules, the Client hereby authorises MSL may do any of the following without giving the Client's notice: 就有關一切由金源證券代表客戶存於金源證券處作為抵押品之證券，根據《證券及期貨條例》第 148 條及其下之證券及期貨(客戶證券)規則，客戶謹此授權金源證券可在無須通知客戶情況下：

- (i) deposit any of the Client's securities with an authorised financial institution (as defined in the Banking Ordinance (Cap 155 of the Laws of Hong Kong) as collateral for financial accommodation provided to MSL; 將任何客戶的證券存於認可財務機構 (見《銀行業條例》(香港法例第 155 章)的定義), 作為該機構向金源證券提供財務通融之抵押品;
- (ii) apply the securities or securities collateral pursuant to a securities borrowing and lending arrangement under Terms and Conditions for Trading Accounts; 根據交易帳戶條款及條件下證券借貸的規定使用證券或證券抵押品;
- (iii) deposit the securities collateral with a recognised clearing house (as defined in the Securities and Futures Ordinance) or an intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of MSL's settlement obligations and liabilities. 將證券抵押品存放於認可結算所 (定義見《證券及期貨條例》) 或其他持牌中介人或獲發牌從事證券交易的中介人, 作為解除和清償金源證券結算義務和責任的抵押品。
- b. The Client acknowledges that this Authority shall not affect MSL's right to dispose of the Client's securities in settlement of: 客戶確認本授權書不影響金源證券為以下目的而處置客戶的證券的權利:
- (i) the Client's obligation to maintain the Margin (as defined in the Terms and Conditions for Trading Accounts); 履行客戶維持保證金的義務(根據<交易帳戶條款及條件>所作之定義);
- (ii) any of the Client's liability to settle a transaction in securities and/or to repay or discharge the financial accommodation provided by MSL; 履行客戶就某證券交易進行交收及/或付還或解除由金源證券所提供的財務通融的法律責任;
- (iii) any of the Client's liability owed to MSL for dealing in securities which remains outstanding after MSL have disposed of all other assets designated as collateral for securing the settlement of that liability. 履行客戶就證券交易而對金源證券負有的法律責任, 而該法律責任是指在金源證券已將指定作為保證履行該法律責任的抵押品的所有其他資產處置後仍未履行的法律責任。
- c. Client(s) confirm that MSL may refuse to draw on the facility granted to me to settle any transaction if client(s) do not give any authorisation required under any applicable laws, rules or regulations. Client(s) confirm that the above authorisations are transferable by MSL or MSL's assignees. 客戶確認若客戶未依據任何適用法律、規則或法規的規定授予任何必要授權, 則金源證券可拒絕向客戶提供清償任何交易所需的任何融資。客戶確認上述授權可由金源證券或金源證券的受讓人作出轉讓。
- d. Client(s) understand that if MSL lends or deposits any securities in the Margin Account to a third party, the return of such securities may be subject to MSL discharging its obligations to such third party. 客戶理解若將保證金帳戶中的任何證券出借給第三方或存放在第三方處, 則此類證券的歸還將取決於金源證券對此等第三方所承擔責任的履行情況。
7. Standing Authority for Client Money (Applicable to all accounts) 客戶款項常設授權 (適用於所有帳戶):
- a. The Client(s) hereby authorises MSL to do any of the following without giving me notice: 本指示授權金源證券在無須向本人發出通知的情況下作出以下任何行動:
- (i) combine or consolidate any or all segregated accounts, of any nature whatsoever and either individually or jointly with others, maintained by MSL from time to time and may transfer any sum of Monies to and between such segregated account(s) to satisfy the clients' obligations or liabilities, whether such obligations and liabilities are actual, contingent, primary or collateral, secured or unsecured, or joint or several; and 組合或合併客戶於本公司 (根據《公司條例》所作之定義) 本公司所開設及持有任何獨立賬戶, 此等組合或合併活動可以個別地或與其他賬戶聯合進行, 可將該等獨立賬戶內任何數額之款項作出轉移, 以解除客戶對本公司的義務或法律責任, 不論此等義務和法律責任是確實或突然的, 原有或附帶的、有抵押或無抵押的、共同或分別的; 及
- (ii) interchangeably between any of the said segregated account(s). 從任何上述的獨立賬戶之間來回調動。
- b. This authority is given to MSL in consideration of its agreeing to continue to maintain one or more trading account(s) at my choice with this Account Opening Form. 本授權的授予建基於金源證券同意按客戶在本開戶申請表中要求開立的一個或多個交易帳戶開立及持續運作該等帳戶。
- c. The Client(s) acknowledge that notwithstanding this Authority, MSL is /are not obliged to make any abovementioned transfer in the first paragraph hereof, in particular but without prejudice to the generality of the foregoing, if such transfer may result into a breach of any provision of any agreement made or to be made between MSL and the Client(s) (including but without limiting to the Terms and Conditions for Trading Accounts). 客戶確認, 儘管有本授權書, 金源證券並無責任作出任何以上第一段所述之資金轉戶, 尤其(但以不影響本段前文之一般性規定為大前提下)若該資金轉戶可能導致違反任何客戶與金源證券已簽訂或將會簽訂之協議書(包括不限於「交易帳戶條款及條件」)內任何條款。
- d. This Authority is given without prejudice to other authorities or rights which MSL may have in relation to dealing in the Monies in the segregated accounts. 本授權並不損害金源證券可享有有關處理該等獨立賬戶內款項的其他授權或權利。
- e. Client(s) acknowledge that their assets (including Monies) received or held by the licensed or registered person outside Hong Kong are subject to the applicable laws and regulations of the relevant overseas jurisdiction which may be different from the Securities and Futures Ordinance and the rules made thereunder. Consequently, such client assets may not enjoy the same protection as that conferred on client assets received or held in Hong Kong. 客戶確認持牌人或註冊人在香港境外代表本人持有或收取的資產(包括款項)均應符合相關海外司法管轄區的適用法律法規規定, 而該等法律法規或與《證券及期貨條例》及項下規則有所不同。因此, 此類客戶資產或無法享有在香港境內持有或收取該等客戶資產時所能享有的同等保障。

This authority has been fully explained to the Client(s), and the Client(s) understand and agree with the contents of this authority. 客戶就上述授權書的內容已獲得解釋, 並且客戶明白及同意本授權書的內容。

個人/聯名帳戶主要持有人簽署
Signature of Individual/ Primary Joint Account Holder

聯名帳戶第二持有人簽署 (只適用於聯名帳戶)
Signature of Secondary Joint Account Holder (For Joint Account only)

G. FATCA SELF-CERTIFICATION (Individual/Primary Joint Account Holder) 海外帳戶稅收合規法案聲明書 (個人/聯名帳戶主要持有人)

美國制定的《海外帳戶稅收合規法案》於 2014 年 7 月 1 日起生效。此等新稅務條例要求香港金融機構識別客戶是否美國公民或居民，並向美國稅務當局匯報。現就此事懇請閣下填妥及簽署此聲明書。

請就以下問題填寫合適答案：

1. 本人聲明本人為美國公民。 是 否

若是，本人之納稅人識別號碼為 _____

2. 本人聲明本人為美國居民(包括綠卡持有者)。 是 否

若是，本人之納稅人識別號碼為 _____

聲明

本人同意金源證券有限公司可向本地及海外監管機構或稅務機構披露、呈交或提供本人的資料以確立本人於任何司法管轄區的稅務責任。本人在此聲明本人已查閱此聲明之內容，並盡本人所知及確信，聲明內容均屬真實，正確及完整。本人同意如以上聲明有變更，將於 30 日內通知貴公司。

客戶簽署: _____ 日期: _____

客戶姓名: _____

註: 請聯名帳戶每位持有人各自填寫一份聲明書。

FATCA SELF-CERTIFICATION (INDIVIDUAL INVESTOR)

The Foreign Account Tax Compliance Act ("FATCA") enacted in the United States of America ("US") become effective 1 July 2014. The new US tax regulations require Hong Kong financial institutions to identify and report US persons to the relevant tax authority. To certify whether you are a US citizen or resident, please complete and sign this self-certification form.

Please select the appropriate boxes below:

1. I certify that I am citizen of the United States of America. Yes No

If yes, My Taxpayer identification no. is _____

2. I certify that I am resident of the United States of America for US federal income tax purposes. (Includes green card holder)

Yes No

If yes, My Taxpayer identification no. is _____

CERTIFICATION

I hereby consent for Midas Securities Limited to disclose, report or share my relevant information with local and overseas regulators or tax authorities where necessary to establish my tax liability in any jurisdiction. I declare that I have examined the information on this self-certification and to the best of my knowledge and belief, it is true, correct, and complete. I will inform your company within 30 days if any information herein becomes incorrect.

Client's signature: _____ Date: _____

Client's Name: _____

Notes: Please complete a separate self-certification for each joint account holder.

H. Declaration by Client(s) 客戶聲明

- The undersigned Client(s) agree to open the above account(s) with MSL. 以下簽名之客戶（等）同意與金源證券開立上述帳戶。
- The Client(s) have read and understood the provisions of the Terms and Conditions for Trading Accounts applicable to the type of account(s) that the Client(s) agree to open and the Client(s) accept to be bound by the same. 客戶（等）已閱讀並明白在交易帳戶條款及條件中所載的適用於客戶所選擇之帳戶類別之一切條款，並接受這些條款的約束。
- The information contained in this Account Opening Form is true and accurate. MSL are entitled to rely fully on such information for all purposes, unless MSL receive notice in writing of any change. 客戶（等）載於開戶表格中的資料是真實和準確的。除非金源證券收到資料更改的書面通知，金源證券有權在任何目的和用途上信賴這些資料。
- The Client(s) have received the English and Chinese versions of the Terms and Conditions for Trading Accounts. (which includes Terms and Conditions for Custodian Account Trading, Terms and Conditions for Margin Account Trading, Terms and Conditions for Electronic Trading Services, Personal Data Privacy Information and other legal documents of MSL) 客戶（等）已收取了金源證券之信託客戶協議書。(包括及證券現金託管帳戶之條款及條件，保證金帳戶交易之條款及條件，電子交易服務之條款及條件，個人資料私隱資料及其他法律文件)
- The Client(s) acknowledge that the Risk Disclosure Statement and Disclaimers (including the relevant risks associated with trading of securities and exchange-traded derivative products) of the securities account, (if applicable) and the Risk Disclosure Statement and Disclaimers in the Terms and Conditions for Electronic Trading Services (if applicable) were provided in a language of Client's own choice (English or Chinese) and the Client was invited to read the Risk Disclosure Statements and Disclaimers, to ask questions and take independent advice if the client wishes. 客戶（等）確認已按照客戶選擇的語言(英文或中文)獲得證券帳戶的風險披露聲明書及免責聲明(包括有關買賣證券及在交易所買賣的衍生產品所涉及的風險)，及電子交易服務之條款及條件之風險披露聲明書(如適用)及已獲邀請閱讀該風險披露聲明書及免責聲明，及提出問題及徵求獨立的意見(如客戶有此意願)。

6. If the Client(s) are characterised as "without knowledge of derivatives", the Client(s) further acknowledge that the Client(s) have carefully read the relevant risks associated with investing in derivative products which specified in the Section VIII of Terms and Conditions for Trading Accounts and fully understood the relevant risks herewith. Although the Client(s) might not have relevant derivatives product(s) trading experience, the Client(s) may still base on their own independent judgement of the Client(s) to request for entering into transaction(s) of derivatives product(s) and would take all risks associated. 如客戶（等）被歸類為「對衍生產品沒有認識」，客戶（等）進一步確認已仔細閱讀在交易帳戶條款及條件所載第八部份所載之衍生產品交易彌償之條款及條件所列明的有關投資衍生產品所涉及的風險，並完全明白其中所述之相關風險。儘管客戶可能並沒有相關衍生產品交易經驗，客戶可能基於客戶獨立判斷仍要求進行衍生產品交易。客戶願意承擔所有相關衍生產品風險。

7. The Client(s) are /are NOT** (1) resident(s) of the United States of America ("US") or (2) residents of Canada ("CN"), whether for US or CN securities or tax laws or for any other purposes. The Client(s) also confirm that the Client(s) are /are NOT** not acting as agent on behalf of any US resident and/or CN resident. The Client(s) undertake to immediately notify MSL should the Client(s) become or be deemed to be (1) resident(s) of the US or (2) resident(s) of CN at any future time. 無論就美國或加拿大的證券或稅務法例或其他方面而言，客戶（等）均並非（1）美國居民或（2）加拿大居民。客戶亦確認，客戶（等）並不代表任何美國居民及/或加拿大居民行事。客戶承諾，如客戶（等）日後成為或被視作（1）美國居民或（2）加拿大居民，將立即通知金源證券。

****Delete the inapplicable one.**

8. The Client(s) receive the Common Reporting Standard (CRS) Self-Certification form, explanation and assistance from MSL in completing the said form. The Client(s) understand the responsibly of true, honest and accurate disclosure and MSL in no way shall be liable to any consequences arising due to inaccurate information contained in the said form. 客戶收取了共同匯報標準 – 自我證明表格，在填妥該表格時同時亦獲得金源證券有關解釋及協助。客戶明白其自身如實，坦白，準確匯報的責任，金源證券並不會因客戶提供的不準確資料而負上任何法律責任。

9. The Client(s) acknowledge that the Client(s) have read the Privacy Policy and Personal Information Collection Statement and agreed to the terms in it. The Client(s) understand and acknowledge that MSL intends to use the Client's personal data for direct marketing and MSL may not so use the Client's data unless MSL has received my/our consent to such intended use. The Client(s) expressly acknowledge, confirm and agree that unless the Client(s) decide to opt out the use of the Client's personal data for direct marketing as stated in Section E or by giving notice to MSL at any time as stipulated in Personal Information Collection Statement, MSL shall use the Client's personal data for direct marketing as stipulated in Personal Information Collection Statement by whatsoever channels. 客戶（等）承認已詳閱個人資料私隱資料收集聲明，並完全同意其條款。客戶（等）明白及承認金源證券擬把客戶（等）的資料使用於直接促銷及金源證券須收到客戶（等）對該資料使用的同意，否則不得如此使用該資料。客戶（等）清楚明白、承認及同意除非客戶（等）決定如第 E 部份所述或根據有關個人資料收集聲明所載隨時通知金源證券而拒絕該等使用，金源證券能將根據個人資料收集聲明所載使用客戶（等）的個人資料以任何途徑於直接促銷。

10. For Client using the Internet Trading Services: 適用於使用網上交易服務之客戶：

- a. the Client(s) have read and understood the provisions of the Terms and Conditions for Electronic Trading Services as set out in the Terms and Conditions for Trading Accounts of MSL and the Client(s) accept to be bound by the same. 客戶（等）已經閱讀並明白在金源證券的交易帳戶條款及條件所載之電子交易服務之條款及條件，並接受這些條款的約束。
- b. MSL will send the Internet Trading Account No. and Password to the Client(s) email provided in Section D email unless otherwise requested by the Client(s) in advance. 除非客戶（等）另有要求，金源證券將以 D 部份客戶提供的電子郵件寄出網上交易帳號及密碼。

11. This accounting opening form and any has been fully explained to the Client(s), and the Client(s) understand and agree with the contents of this account opening form. 客戶就上述開戶表格的內容已獲得解釋，並且客戶明白及同意本開戶表格的內容。

12. If there is a discrepancy between English and Chinese version of the Account Opening Form, the English version shall prevail. 如開戶表格之中英文版本文義有歧義，將以英文版本為準。

個人/聯名帳戶主要持有人簽署
Signature of Individual/ Primary Joint Account Holder

聯名帳戶第二持有人簽署 (只適用於聯名帳戶)
Signature of Secondary Joint Account Holder (For Joint Account only)

Witness 見證人

The undersigned hereby certify 以下簽署特此核證如下：
(i) the signing of the Account Opening Form by the Client(s); and 客戶簽署本開戶表格；及
(ii) the relevant identity documents of the Client(s) 見證客戶的有關身份證明文件

Signature of Witness 見證人簽署

Name of Witness 見證人姓名：	
Profession/Title 所屬專業 / 銜頭：	
Date 日期：	

I. Approval of Account Opening 開戶批核

Declaration by MSL Staff 金源證券職員聲明

I, a licensed or registered person, hereby declare that I have provided the above Client with a copy of the Terms and Condition for Trading Accounts (including the relevant risks associated with investing in securities and exchange-traded derivative products), in a language of Client's choice (English or Chinese) and invited the Client to read the Risk Disclosure Statement and Disclaimers referred to in the Terms and Conditions for Trading Accounts, to ask questions and take independent advice if the client wishes. If the Client is characterised as "without knowledge of derivatives", I further declare that I have explained to the Client the relevant risks associated with trading of exchange-traded derivative products which specified in the Terms and Conditions of Indemnity for Derivative Transaction and be read together with Risk Disclosure Statement and Disclaimer to fully understood the relevant risks herewith. 本人，以持牌人或註冊人身份，確認本人已按照上述客戶選擇的語言(英文或中文)提供交易帳戶條款及條件副本一份(包括有關買賣證券及在交易所買賣的衍生產品所涉及的風險)，及提示客戶細閱當中的風險披露聲明書及免責聲明，亦邀請客戶如有需要可以提出問題及徵求獨立的意見。如客戶被歸類為「對衍生產品沒有認識」，本人進一步確認已向客戶解釋在風險披露聲明書及免責聲明及衍生產品交易彌償之條款及條件所列明的有關購買在交易所買賣的衍生產品所涉及的風險，及客戶已完全明白其中所述之相關風險。

Signature of licensed person 註冊人簽署

Name of licensed person:

註冊人姓名： _____

CE No. 中央編號： _____ Date 日期: _____

Account Opening Approved By 開戶批核

Authorised Director(s)/Responsible Officer(s)'s Signature
獲授權董事／負責人員簽署

Name 姓名： _____

Date 日期： _____

Name of Account Executive:
- Securities

Client Know to AE for: _____ CE No. _____

Introduced by: _____

Document Check Lis

- | | | |
|---|------------------------------|------------------------------|
| 1. I.D. Card/ Passport Copy | <input type="checkbox"/> Yes | |
| 2. Address Proof (recent 3 months) | <input type="checkbox"/> Yes | |
| 3. Bank and credit Reference (if applicable) e.g. Bank statement, title deeds etc. | <input type="checkbox"/> Yes | <input type="checkbox"/> N/A |
| 4. Employer consent letter (if applicable) | <input type="checkbox"/> Yes | <input type="checkbox"/> N/A |
| 5. W8 Form (if applicable) | <input type="checkbox"/> Yes | <input type="checkbox"/> N/A |
| 6. W9 Form (if applicable) | <input type="checkbox"/> Yes | <input type="checkbox"/> N/A |
| 7. CRS Self - Certification Form – Individual (if applicable) | <input type="checkbox"/> Yes | <input type="checkbox"/> N/A |
| 8. CRS Self – Certification Form - Entity (if applicable) | <input type="checkbox"/> Yes | <input type="checkbox"/> N/A |
| 9. Supplementary Form – Joint Account(if applicable) | <input type="checkbox"/> Yes | <input type="checkbox"/> N/A |
| 10. For non-face-to-face client: | | |
| - Identity documents are certified by any other licensed person, staff of FSL or FFL's affiliate company, a JP or a branch manager of a bank, CPA, lawyer or notary public; OR | <input type="checkbox"/> Yes | <input type="checkbox"/> N/A |
| - Personal cheque received and cheque copy retained | <input type="checkbox"/> Yes | <input type="checkbox"/> N/A |
| · issued from a licensed bank in Hong Kong | <input type="checkbox"/> Yes | |
| · cheque amount not less than HK\$10,000 and bearing the client's name | <input type="checkbox"/> Yes | |
| · same signature on cheque and Account Opening Form | <input type="checkbox"/> Yes | |
| · Cheque is cleared | <input type="checkbox"/> Yes | |

AML Record Checking

- | | | |
|---------------------------------------|------------------------------|---|
| 1. Is the Client a PEP? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 2. Is the Client a terrorist suspect? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 3. AML Risk Category | <input type="checkbox"/> Low | <input type="checkbox"/> Medium <input type="checkbox"/> High |

Document reviewed by

Name of Staff:	Signature of Staff:	Date:
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Account Type	Commission – by Telephone		Commission – by Internet Trading	
- Securities Trust	Brokerage (%)	Min.	Brokerage (%)	Min.
- Securities Margin	Brokerage (%)	Min.	Brokerage (%)	Min.
- Global Stock	Brokerage (%)	Min.	Brokerage (%)	Min.

Credit/ Margin Limit

Securities Trust	Securities Margin	
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Limit Approved by

Name of Staff:	Signature of Staff: *	Date:
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Remarks