ACCOUNT OPENING FORM – INDIVIDUAL/JOINT
開戶申請書 — 個人 / 聯名

寶鉅證券有限公司 PC Securities Limited
證券及期貨事務監察委員會持牌法團（中央編號：BDC354）
香港聯合交易所有限公司參與者（經紀代號：5579）

PC Securities Limited 寶鉅證券有限公司
Unit A, 11/F, Lee Garden Five, 18 Hysan Avenue, Causeway Bay, Hong Kong
香港銅鑼灣希慎道 18 號利園五期 11 樓 A 室
Tel 電話: (852) 3950 3288 Fax 傳真: (852) 3950 3200 Website 網址: http://www.pcsec.com.hk/
SFC Licensed Corporation 證券及期貨事務監察委員會持牌法團 (CE No. 中央編號：BDC354)
HKEx Participant 香港聯合交易所有限公司參與者 (Broker No. 經紀代號 : 5579)

Account No. 賬戶號碼	
AE Code 客戶經理編號	

Please tick the appropriate column ***請在適當的欄上加勾號***

Account Type 賬戶類型

☐ Cash Account 現金賬戶 ☐ Margin Account 孖展賬戶
☐ Individual Account 個人賬戶 ☐ Joint Account 聯名賬戶 ☐ CIES 投資移民賬戶

First Account Applicant's Personal Information 賬戶第一申請人之個人資料

Title 稱呼 ☐ Mr. 先生 ☐ Mrs. 太太 ☐ Ms. 女士	
Name in English* 英文姓名*	Name in Chinese* 中文姓名*
ID No. / Passport No. 身份證號碼/護照號碼	Nationality 國籍
Date of Birth (dd/mm/yyyy)* 出生日期 (日/月/年)*	Place of Birth 出生地點
Mobile Phone No. 手提電話號碼 Country Code 國家編碼 - Area Code 區域編碼 - Phone Number 電話號碼	Home Tel. No. 住宅電話號碼 Country Code 國家編碼 - Area Code 區域編碼 - Phone Number 電話號碼
E-mail Address 電郵地址	Fax No. 傳真號碼 Country Code 國家編碼 - Area Code 區域編碼 - Phone Number 電話號碼
Residential Address* (P.O Box not accepted) 住宅地址* (不接受郵政信箱)	
Correspondence Address (P.O Box not accepted) 通訊地址 (不接受郵政信箱)	

Nature of Occupancy 住宅類別
☐ Owned (No mortgage) 自置 (無按揭) ☐ Mortgaged/Monthly Installment 按揭/每月供款 $ __________________
☐ Rented/Monthly Rental 租用/每月租金 $ ________________________ ☐ With Parents 與父母同住
☐ Relative's 親屬樓宇 ☐ Quarters 宿舍

Employment Status 就業情況
☐ Full-time employed 全職 ☐ Part-time employed 兼職 ☐ Self-employed 自雇 ☐ Retired 退休
☐ Other, please specify 其他，請註明 : ____

Name of Employer 僱主名稱		Nature of Business 業務性質
Office Tel. No. 公司電話號碼 Country Code 國家編碼 - Area Code 區域編碼 - Phone Number 電話號碼	Year(s) with Existing Employer 已任職年期	Position 職位
Office Address 公司地址		

First Account Applicant's Financial Profile and Investment Objective 賬戶第一申請人之財務紀錄及投資目標

The Company is required to obtain this information to fulfill the "know-your-client requirements" of the Securities and Futures Commission of Hong Kong.
本公司根據香港證券及期貨事務監察委員會所製定之「認識你的客戶要求」而索取有關資料。

Estimated Annual Income (HK$) 估計年薪 (港元)
☐ Under HK$200,000 以下 ☐ HK$200,000 - HK$500,000
☐ HK$500,001 - HK$1,000,000 ☐ HK$1,000,001 - HK$5,000,000
☐ Above HK$5,000,000 以上
☐ Other Income Source 其他收入來源 : ________________________

Approximate Net Asset Value (HK$) (Total Asset – Total Liabilities) 估計資產淨值 (港元) (總資產 – 總負債)
☐ Under HK$500,000 以下 ☐ HK$500,000 - HK$3,000,000
☐ HK$3,000,001 - HK$8,000,000 ☐ HK$8,000,001 - HK$30,000,000
☐ Above HK$30,000,000 以上

Educational Background 教育程度：
☐ Primary School 小學 ☐ Secondary School 中學 ☐ University or above 大學或以上 ☐ Others 其他 : ____________

Source of Income 收入來源：
☐ Salary 工資 ☐ Commission 佣金 ☐ Investment 投資 ☐ Business Profit 商業利潤 ☐ Savings 儲蓄 ☐ Others 其他 : ________

Investment Objectives (may select more than one for Q2) 投資目標 (問題2可選多於一項)：
1. ☐ Long Term over 2 years 長線超過二年 ☐ Medium Term 6-24 months 中線六至二十四個月 ☐ Short Term less than 6 months 短線少於六個月
2. ☐ Capital Growth 增值 ☐ Dividend Income 股息收入 ☐ Hedging 對沖 ☐ Speculation 投機

Applicant's Signature 申請人簽署
☞

Second Account Applicant's Personal Information 賬戶第二申請人之個人資料

Title 稱呼 ☐ Mr. 先生 ☐ Mrs. 太太 ☐ Ms. 女士

Name in English 英文姓名	Name in Chinese 中文姓名
ID No. / Passport No. 身份證號碼/護照號碼	Nationality 國籍
Date of Birth (dd/mm/yyyy) 出生日期 (日/月/年)	Place of Birth 出生地點
Mobile Phone No. 手提電話號碼 Country Code 國家編碼 - Area Code 區域編碼 - Phone Number 電話號碼	Home Tel. No. 住宅電話號碼 Country Code 國家編碼 - Area Code 區域編碼 - Phone Number 電話號碼
E-mail Address 電郵地址	Fax No. 傳真號碼 Country Code 國家編碼 - Area Code 區域編碼 - Phone Number 電話號碼

Residential Address (P.O Box not accepted) 住宅地址 (不接受郵政信箱)

Correspondence Address (P.O Box not accepted) 通訊地址 (不接受郵政信箱)

Employment Status 就業情況
☐ Full-time employed 全職 ☐ Part-time employed 兼職 ☐ Self-employed 自雇 ☐ Retired 退休
☐ Other, please specify 其他，請註明：________

Name of Employer 僱主名稱		Nature of Business 業務性質
Office Tel. No. 公司電話號碼 Country Code 國家編碼 - Area Code 區域編碼 - Phone Number 電話號碼	Year(s) with Existing Employer 已任職年期	Position 職位
Office Address 公司地址		Relationship with First Account Applicant 與賬戶第一申請人關係

Second Account Applicant's Financial Profile and Investment Objective 賬戶第二申請人之財務紀錄及投資目標

The Company is required to obtain this information to fulfill the "know-your-client requirements" of the Securities and Futures Commission of Hong Kong.
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☐ Under HK$200,000 以下 ☐ HK$200,000 - HK$500,000
☐ HK$500,001 - HK$1,000,000 ☐ HK$1,000,001 - HK$5,000,000
☐ Above HK$5,000,000 以上
☐ Other Income Source 其他收入來源：________

Approximate Net Asset Value (HK$) (Total Asset – Total Liabilities) 估計資產淨值 (港元) (總資產 – 總負債)
☐ Under HK$500,000 以下 ☐ HK$500,000 - HK$3,000,000
☐ HK$3,000,001 - HK$8,000,000 ☐ HK$8,000,001 - HK$30,000,000
☐ Above HK$30,000,000 以上

Educational Background 教育程度：
☐ Primary School 小學 ☐ Secondary School 中學 ☐ University or above 大學或以上 ☐ Others 其他：________

Source of Income 收入來源：
☐ Salary 工資 ☐ Commission 佣金 ☐ Investment 投資 ☐ Business Profit 商業利潤 ☐ Savings 儲蓄 ☐ Others 其他：________

Investment Objectives (may select more than one for Q2) 投資目標 (問題2可選多於一項)：
1. ☐ Long Term over 2 years 長線超過二年 ☐ Medium Term 6-24 months 中線六至二十四個月 ☐ Short Term less than 6 months 短線少於六個月
2. ☐ Capital Growth 增值 ☐ Dividend Income 股息收入 ☐ Hedging 對沖 ☐ Speculation 投機

Disclosure of Identity and Related Account(s) 披露身份及關連賬戶

Are you (First or Second applicant) a licensed/registered securities or commodities professional, or an employee of a licensed/registered person (e.g. employee of a brokerage firm/bank, etc.) with the Securities and Futures Commission?
閣下(第一或第二申請人)是否為證券及期貨事務監察委員會的持牌/註冊證券或期貨從業員，或其持牌/註冊機構(如經紀行/銀行等)之雇員？

☐ No 否 ☐ Yes, please specify 是，請註明：________

Are you the ultimate beneficial owner(s) of the account? (The information is required by The Securities & Futures Commission's Client Identity Rule Policy)
閣下是否此賬戶之最終實益擁有人? (所需資料是根據香港證券及期貨事務監察委員會所製定的客戶身份規則的政策摘要)
☐ Yes 是
☐ No, please provide details of the ultimate beneficial owner(s) 否，請提供最終實益擁有人的詳細資料：

Name 姓名 ________ ID No. / Passport No. 身份證號碼/護照號碼 ________
Contact No. 聯絡電話 ________ Date of Birth 出生日期 (dd/mm/yyyy 日/月/年) ________ Nationality 國籍 ________
Address 地址 ________

Do you maintain any other account(s) with PC Securities Limited? 閣下現時是否已持有其他寶鉅證券有限公司之賬戶？
☐ No 否 ☐ Yes 是 Name 姓名 ________ Account Type. 賬戶類別 ________ Account No. 賬戶號碼 ________

Do you have any relative(s) working in PC Securities Limited? 閣下的直系親屬是否寶鉅證券有限公司之員工？
☐ No 否 ☐ Yes 是 Name 姓名 ________ Relationship 關係 ________

Do you have any relatives acting as Director or being shareholder of PC Securities Limited? 閣下的直系親屬是否寶鉅證券有限公司的董事或股東？
☐ No 否 ☐ Yes, please provide details 是，請提供詳細資料 ________

Applicant's Signature 申請人簽署
☞

FATCA Identity Declaration　FATCA 身份聲明

Do you possess any of the following U.S. indicia? 您是否擁有以下任何一項美國指標?		*Please tick the appropriate column* *請在適當的欄上加勾號*
(1)	US citizenship/tax residency (e.g. US passport/Green Card holder, U.S. taxpayer, etc.) 美國公民/繳納美國稅務的居民（如美國護照/綠卡持有者、美國納稅人等）	☐ Yes 是 / ☐ No 否
(2)	US place of birth 美國出生地	☐ Yes 是 / ☐ No 否
(3)	US address (e.g. residential address, mailing address, P.O. box) 美國地址（如居住地址、郵寄地址、P.O.郵箱）	☐ Yes 是 / ☐ No 否
(4)	US telephone number (e.g. home, work, mobile, fax numbers) 美國電話號碼（如住宅、工作、行動、傳真號碼）	☐ Yes 是 / ☐ No 否
(5)	Standing instructions to pay amounts from PC Securities Limited to an account maintained in the US 從寶鉅證券有限公司向某美國銀行賬戶發出常設的款項轉賬指示	☐ Yes 是 / ☐ No 否

Please Select One Only
請選擇一項

☐ US Individual(s)
美國人士

☐ Non-US Individual(s) with **US indicia**
非美國人士，但具有美國指標

☐ Non-US Individual(s) with **no US indicia**
非美國人士，及沒有美國指標

Risk Profile Questionnaire 風險承擔能力問卷

Please answer the following questions. They will help you understand your attitude to risk.
請回答下列問題，這些問題可以幫您了解自己對投資風險的取態。

Important :
The questions in this section are set for the purpose of roughly assessing your attitude to risk and your risk tolerance in investment. There is no direct relationship between the questions asked in this section and the actual performance of any investments you may decide to purchase.
請注意 :
此部份之問題是為大概評估您對風險的態度及對投資風險的承受程度而設。這些問題與您可能進行的投資及其實際表現沒有直接關係。

(1) How many years of investment experience do you have?
您有多少年的投資經驗？

- ☐ [1] Less than 1 year
  1 年以下
- ☐ [2] 1 - 5 years
  1 至 5 年
- ☐ [3] 6 - 10 years
  6 至 10 年
- ☐ [4] Over 10 years
  10 年以上

(2a) Have you ever invested in any investment instruments as listed in Question 2b below before?
您曾否投資在問題 2b 中列出的投資工具？

- ☐ [0] Yes (Please answer question No. 2b)
  是 (請回答問題 2b)
- ☐ [1] No (Please answer question No. 3)
  否 (請回答問題 3)

(2b) What kind of investment instruments have you invested in? (You can select more than one option if appropriate.)
您曾經投資在甚麼投資工具之上？(如適用，可以選擇多於一項。)

- ☐ [1] Bond
  債券
- ☐ [2] Mutual Fund/Unit Trust
  互惠基金/單位信託基金
- ☐ [3] Stock
  股票
- ☐ [4] Derivative
  衍生工具

Remark : The score for this question equals to the highest score among the selected options e.g. If a client selected both “Mutual Fund/Unit Trust” and “stock”. His/her score for this question is 3.
備註 : 本題的分數等於所有客人選擇的項目中分數最高一項的分數，舉例：客人選擇了「互惠基金/單位信託基金」和「股票」，客人本題的分數就是 3 分。

(3) When it comes to investing, you would describe yourself as:
在投資方面，您會形容自己是：

- ☐ [1] Inexperienced
  毫無經驗
- ☐ [2] Somewhat inexperienced
  經驗不足
- ☐ [3] Somewhat experienced
  略具經驗
- ☐ [4] Very experienced
  經驗豐富

(4) What would be the maximum loss you would feel acceptable? (bear in mind that the more risk associated with an investment the greater the potential for return)
您可承受的最大損失是多少？(請緊記潛在投資回報愈高，風險亦愈高)

- ☐ [1] Will try as far as possible to avoid any capital loss, even if this impacts negatively on the potential return.
  在可能的情況下盡量避免任何資本上的損失，就算這對潛在回報產生負面影響。
- ☐ [2] Wish to minimize capital loss, maximum acceptable loss is 10%.
  希望將資本損失減至最低，可承受最多 10%的損失。
- ☐ [3] Can tolerate some capital loss in order to improve potential returns, maximum acceptable loss is 20%.
  可容許某程度上的資本損失以改善潛在回報，可承受最多 20%的損失。
- ☐ [4] Can tolerate more capital loss in order to maximize potential investment returns, I can accept a loss of 30% or more.
  可容許較多的資本損失以提高潛在回報，可承受 30%或以上的損失。

(5) What is your current investment objective?
您現時的投資目標是什麼？

- ☐ [1] Security of capital is the most important.
  保存資本是最重要的。
- ☐ [2] Balance between security and growth of capital, but security of capital is more important.
  保存資本及資本增值都重要，但較著重保存資本。
- ☐ [3] Balance between security and growth of capital, but growth of capital is more important.
  保存資本及資本增值都重要，但較著重資本增值。
- ☐ [4] Growth of capital is important.
  資本增值是最重要的。

Applicant’s Signature 申請人簽署
☞

(6) In normal market conditions, what return do you expect from your investments?
在正常市況下，您預期您的投資可帶來多少回報？

- ☐ [1] 0 ~ 4% per annum 每年 0 ~ 4%
- ☐ [2] 5 ~ 9% per annum 每年 5 ~ 9%
- ☐ [3] 10 ~ 15% per annum 每年 10 ~ 15%
- ☐ [4] Over 15% per annum 每年超過 15%

(7) If you had purchased a stock with a 5 year time frame and after only 1 year the investment had appreciated by 30%, what would you do?
假如您購買了一只股票並打算持有五年，在首年投資後便已升值 30%，那您會怎樣做？

- ☐ [1] Sell the investment to realize the gain. 沽出該項投資將利潤套現。
- ☐ [2] Sell part of the investment while still betting the rest on the potential performance of the investment. 套現一部份又繼續持有部份投資以求賺取更大回報。
- ☐ [3] Hold the investment to see if it continues to produce good returns. 繼續持有投資，留意會否持續有可觀回報。
- ☐ [4] Buy more shares of the stock to take advantage of further potential. 購入更多該公司的股份以求賺取更大回報。

(8) If you have spare money to invest, you will :
假如您有多餘的金錢可供投資，您會：

- ☐ [1] Have no idea what to do with it. 完全不知道該怎樣做。
- ☐ [2] Have a few ideas but require guidance. 有些主意但需要指引。
- ☐ [3] Have a few ideas and does not require any guidance. 有些主意及不需要任何指引。
- ☐ [4] Feel totally confident to make your investment decision. 完全對自己的投資選擇有信心。

(9) Which of the following would be considered the most risky investment you would probably make?
以下哪一項是您認為是可能作出最具風險的投資？

- ☐ [1] Deposit money in bank saving account. 將金錢存放於銀行儲蓄賬戶內。
- ☐ [2] Invest in investment grade bonds. 投資於投資級別的債券。
- ☐ [3] Invest in shares, mutual funds and unit trusts. 投資於股票、互惠基金及單位信託基金。
- ☐ [4] Buy futures contracts, warrants and options etc. 買一份期貨合約、窩輪或期權等。

(10) Have you ever thought that you would like to invest into a high risk, highly volatile investment for the possibility of high returns?
您曾否考慮過投資高風險及高波幅的投資項目以求賺取可能出現的高額回報？

- ☐ [1] Never 從不
- ☐ [2] Rarely, would be a bit of a gamble. 絕少，只當作賭博。
- ☐ [3] Sometimes 偶爾
- ☐ [4] Always 經常

Finally, sum up the score from each question and you'll have the final score, please refer to below risk profile from which you will roughly learn your risk level.
最後，把所有問題的得分加起來，得出總分，再對照下方「承受風險特性」列表，便可大概了解您承受風險的特性。

Please refer to the table below for explanation of Risk Level 請參閱以下之「承受風險特性」列表	**Final Score** 總分	**Risk Level** 「風險承擔能力」值	**Total Score** 總分數
Preservation 保本	10 ~ 14 points 分	☐ (1)	
Conservative 穩健	15 ~ 22 points 分	☐ (2)	
Balanced 均衡	23 ~ 30 points 分	☐ (3)	
Growth 增長	31 ~ 36 points 分	☐ (4)	
Aggressive 進取	37 ~ 40 points 分	☐ (5)	

Explanation of Risk Level 承受風險特性

Preservation 保本

This portfolio aims at preserving capital – so keeping risks to a minimum level is more important than high returns. The portfolio may consists mainly of cash-type mutual funds aimed at generating a steady income stream. This portfolio should be suitable for those investors who want access to their capital within the next two years, or those who are close to retirement and do not wish to take undue risks on their portfolio.
這類投資組合旨在保本，因此減低風險較爭取高回報更為重要。投資組合可能主要包括現金類別基金，旨在賺取穩定收入。這類投資組合應該適合有意在未來兩年內提取資本的投資者，或快將退休及不願承受過高風險的投資者。

Conservative 穩健

This portfolio is designed for investors who can accept a controlled level of risk, whilst offering a steady income stream. Although there may still be a higher weighting towards cash and fixed income investments, the expected return is higher than that of the preservation portfolio due to the higher exposure to equities, etc. This portfolio should be suitable for investors who have less than five years left to retirement and wish to generate steady returns with low volatility to their portfolio.
這類投資組合適合可承受有限程度的風險的投資者，並提供穩定收入。儘管現金與定息投資的比重可能仍然偏高，但由於股票等所佔的比重較保本投資組合為高，故預期回報亦較高。這類投資組合應該適合將於5年內退休及希望透過波幅較低的投資組合去賺取穩定回報的投資者。

Balanced 均衡

This portfolio balances the weighting between equities and fixed income investments, providing investors with both growth potential and steady income from their portfolios. Although the expected growth of the portfolio will generally be less than the equity indices, the volatility is expected to be reduced as well. This makes it comparatively ideal for investors who wish to participate in equities market with a reduced level of risk.
這類投資組合的股票與定息投資的比重均衡，投資組合具備資本增值潛力，同時可提供穩定收入。儘管投資組合的預計增長一般較股票指數為低，但預期的波幅亦較小。因此，這類投資組合相對地適合有意投資於股票但同時希望減低風險的投資者。

Growth 增長

This portfolio aims at more experienced investors who understand that having a higher weighting towards equities would result in greater volatility for their portfolio. The focus of the portfolio is more on growth than income, which may result in considerable volatility. However, to reduce the volatility, there may be moderate exposure to fixed interest and alternative investments.
這類投資組合適合較資深的投資者。這類投資者明白持股比重較高的投資策略、亦明白這會導致投資組合的波動性較大。由於投資組合著眼於增長而非收入，故可能有一定程度的波動。然而，為減低波幅，組合亦可能持有部份定息及另類投資。

Aggressive 進取

This portfolio aims at investors who are mainly interested in capital growth, with little regard for volatility. Investors should not be over-reliant on this category of portfolio, but rather consider this as a high risk, high return investment. Only those investors who are aware of the dynamics of equity markets and higher risk alternative investments, and accept their risks, should seek to invest in this type of portfolio.
這類投資組合適合主要著重資本增值而不介意波幅的投資者。投資者不應過份依賴這類投資組合，應視之為高風險與高回報的投資工具。只有充份了解股市及各種高風險的另類投資工具，並願意承受有關風險的投資者才應該考慮選擇這類投資組合。

Applicant's Signature 申請人簽署
☞

Knowledge on Derivative Products and Trading Experience 衍生產品知識分析及投資經驗問卷

(1) Have you undergone training or attended any courses or seminars on derivative product(s)?
你有沒有參加過有關衍生產品的課程或培訓?

☐ No 沒有 ☐ Yes 有，Please state 請註明：

Name of courses/seminars
修讀課程或培訓的名稱 ____________________ Date 日期 ____________

(2) Do you have any working experience related to derivative product(s)?
你有沒有有關衍生產品的工作經驗?

☐ No 沒有 ☐ Yes 有，Please state 請註明：

Name of Employer
僱主名稱 ____________________

Employment Period
在職日期 From 由 ____________ To 至 ____________ Occupation 職業 ____________

(3) Have you invested in any of the product(s) below more than 5 times in the past 3 years?
過去 3 年內您曾否投資於以下任何產品 5 次或以上?

☐ No 沒有 / ☐ Yes 有	(a)	Fund which requires derivatives knowledge assessment 須進行衍生工具認識評估之基金
☐ No 沒有 / ☐ Yes 有	(b)	Hedge Fund 對沖基金
☐ No 沒有 / ☐ Yes 有	(c)	Credit linked structured products 信貸掛鈎結構性產品
☐ No 沒有 / ☐ Yes 有	(d)	Currency-linked structured products 貨幣掛鈎結構性產品
☐ No 沒有 / ☐ Yes 有	(e)	Equity-linked structured products 股票掛鈎結構性產品
☐ No 沒有 / ☐ Yes 有	(f)	Commodities, commodity-linked structured products 商品、商品掛鈎結構性產品
☐ No 沒有 / ☐ Yes 有	(g)	Derivative products/leveraged products (i.e. options, futures, warrants, callable bull bear contracts, share margin or foreign exchange margin, etc. 衍生產品/槓桿性產品(如期權、期貨、認股權證、可贖回牛證熊證、股票孖展或外匯孖展等)

(4) Client Investment Intentions
客戶投資意向

☐ No, Client does not wish to trade derivative product(s) at PC Securities Limited.
沒有，客戶無意於寶鉅證券有限公司進行各類衍生產品交易。

☐ Yes, Client wishes to trade derivative product(s) at PC Securities Limited. Based on the above assessment, the Client hereby acknowledges and confirms that he/she/they has/have experience and/or knowledge on derivative product(s). Client further confirms that he/she/they fully understand the relevant risks of the derivative product(s), which have been explained to him/her/them by PC Securities Limited, or he/she/they have seen the “Understand Derivatives Investment” Video or read “General Knowledge on Derivatives Course”. PC Securities Limited has not solicited or provided recommendation to him/her/them on trading of derivative product(s).
有，客戶有意於寶鉅證券有限公司進行衍生產品買賣交易。根據以上的評估，客戶現謹此確認獲授權人士對投資衍生產品已有經驗及/或認識。客戶亦確認已完全明白寶鉅證券有限公司已向客戶解釋各類衍生產品所附帶的相關風險或已觀賞「認識衍生工具」錄影或已閱讀「一般衍生工具知識課程」。寶鉅證券有限公司並沒有向客戶作出衍生產品買賣的招攬及建議的行為，並按照客戶之投資意向向客戶提供及解釋各類衍生產品所附帶的相關風險。

Anti-Money Laundering and Anti-Terrorist Financing Questionnaire 防止洗黑錢及防止恐怖分子籌資活動問卷

For Overseas Client (i.e. Client located outside Hong Kong)
海外客戶（如客戶非本港居民）

Please tick the appropriate column
請在適當的欄上加勾號

(1)	Is the country that you located is a member of the Financial Action Task Force (“FATF”)? Members of FATF Include: Argentina, Australia, Austria, Belgium, Brazil, Canada, China, Denmark, Finland, France, Germany, Greece, Hong Kong, Iceland, India, Ireland, Italy, Japan, Korea, Luxembourg, Mexico, Netherlands, New Zealand, Norway, Portugal, Russian Federation, Singapore, South Africa, Spain, Sweden, Switzerland, Turkey, United Kingdom, USA, European Commission, and the Gulf Cooperation Council. (the most updated list can be found on http://www.fatf-gafi.org/countries/#FATF) 閣下居住的國家是否財務行動特別組織的成員? 財務行動特別組織成員包括：阿根廷、澳大利亞、奧地利、比利時、巴西、加拿大、中國、丹麥、芬蘭、法國、德國、希臘、香港、冰島、印度、愛爾蘭、意大利、日本、韓國、盧森堡、墨西哥、荷蘭、紐西蘭、挪威、葡萄牙、俄羅斯聯邦、新加坡、南非、西班牙、瑞典、瑞士、土耳其、英國、美國、歐洲委員會及海灣合作理事會。 (最新名單可在這裡查閱 http://www.fatf-gafi.org/countries/#FATF)	☐ Yes 是 / ☐ No 否
(2)	Are you located in a country with established laws/ regulations designed to prevent money laundering? 閣下居住的國家是否已有現行的法律或條例以制止洗黑錢的活動?	☐ Yes 是 / ☐ No 否
(3)	If the answer to (2) is “Yes”, are you subject to such laws/ regulations? 如閣下在(2)題的答案選擇「是」，你是否受到該些法律或條例所管制?	☐ Yes 是 / ☐ No 否
(4)	Have you maintained a “no conviction record” for anti-money laundering or anti-terrorist financing legislation? If no, please provide details on a separate sheet. 閣下是否就反洗黑錢條例或反恐怖分子籌資活動條例維持著「無罪紀錄」? 如否，請另外提交一份詳細的資料。	☐ Yes 是 / ☐ No 否

Money Laundering Risk Level 清洗黑錢風險程度 ☐ High 高 / ☐ Normal 一般

Remark : If“High” risk level is hit or if Client is a Politically Exposed Person (“PEP”), an “Enhanced Due Diligence form” is required.
備註：如客戶屬高風險程度或客戶屬政治人物，須提供「附加客戶身份詳盡查核表」。

Account Applicant’s Bank Details 賬戶申請人之銀行資料

Funds will be transferred to the following bank account pursuant to your fund withdrawal instruction.
款項將根據客戶的提款指示轉入以下銀行賬戶。

Bank Account Name
銀行賬戶名稱

Name of Bank 銀行名稱	HKD 港幣	Bank Account No. 銀行賬戶號碼
Name of Bank 銀行名稱	USD 美元	Bank Account No. 銀行賬戶號碼
Name of Bank 銀行名稱	CNY 人民幣	Bank Account No. 銀行賬戶號碼

Applicant’s Signature 申請人簽署
☞

Tax Residence Self Declaration 稅務身份自我聲明

Important Notes 重要提示：

1) This is a self-certification form provided by an account holder to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
這是由賬戶持有人向申報財務機構提供的自我證明表格，以作自動交換財務賬戶資料用途。申報財務機構可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
2) An account holder should report all changes in his/her tax residency status to the reporting financial institution.
如賬戶持有人的稅務居民身份有所改變，應盡快將所有變更通知申報財務機構。
3) All parts of the form must be completed (unless not applicable or otherwise specified). If space provided is insufficient, continue on additional sheet(s). Information in fields/parts marked with an asterisk (*) are required to be reported by the reporting financial institution to the Inland Revenue Department.
除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄/部標有星號（*）的項目為申報財務機構須向稅務局申報的資料。

Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") *
居留司法管轄區及稅務編號或具有等同功能的識辨編號（以下簡稱「稅務編號」）*

Complete the following table indicating 提供以下資料，列明：

a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and;
賬戶持有人的居留司法管轄區，亦即賬戶持有人的稅務管轄區（香港包括在內）及；
b) the account holder's TIN for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence. If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.
該居留司法管轄區發給賬戶持有人的稅務編號。列出所有（不限於 5個）居留司法管轄區。如賬戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	Enter Reason A, B or C if no TIN is available. 如沒有提供稅務編號，填寫理由 A，B 或 C。	Explain why the account holder is unable to obtain a TIN if you have selected Reason B. 如選取理由 B， 解釋賬戶持有人不能取得稅務編號的原因。
(1)			
(2)			
(3)			
(4)			
(5)			

If a TIN is unavailable, provide the appropriate reason A, B or C :
如沒有提供稅務編號，必須填寫合適的理由 A，B 或 C：

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

B – The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.
賬戶持有人不能取得稅務編號。如選取這一理由，解釋賬戶持有人不能取得稅務編號的原因。

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
賬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賬戶持有人披露稅務編號。

Declarations and Signature 聲明及簽署

I acknowledge and agree that

a) the information contained in this form is collected and may be kept by the financial institution 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).

本人知悉及同意，財務機構可根據《稅務條例》（第112章）有關交換財務賬戶資料的法律條文，

a) 收集本表格所載資料並可備存作自動交換財務賬戶資料用途及；
b) 把該等資料和關於賬戶持有人及任何須申報賬戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到賬戶持有人的居留司法管轄區的稅務當局。

I certify that I am the account holder to sign for the account holder of all the account(s) to which this form relates. I undertake to advise PC SECURITIES LIMITED of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide PC SECURITIES LIMITED with a suitably updated self-certification form within 30 days of such change in circumstances.
本人證明，就與本表格所有相關的賬戶，本人是賬戶持有人並承諾，如情況有所改變，以致影響本表格第 1 部所述的個人的稅務居民身份，或引致本表格所載的資料不正確，本人會通知寶鉅證券有限公司，並會在情況發生改變後 30日內，向寶鉅證券有限公司提交一份已適當更新的自我證明表格。

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.
本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

Signature
簽署
☞

____

Name
姓名
(Please use block letter)
(請使用正楷) ______________________________

Date
日期 ______________________________

WARNING: 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).
警告：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。

Password Delivery 收取密碼形式 To be filled in by the Primary Account Holder for Joint Account. 如屬聯名賬戶，則需由主要賬戶持有人填寫。

How do you prefer to deliver the password? (Applicable to Internet Trading Account Clients only)
閣下想以何種方式收取密碼? (只適用於電子交易客戶)

☐ SMS 手機短信 ☐ By Mail 郵寄收取 ☐ Pick up in Person 親自提取

Real-Time Quote Services 即時報價服務 To be filled in by the Primary Account Holder for Joint Account. 如屬聯名賬戶，則需由主要賬戶持有人填寫。

Do you need Real Time Quote service?
閣下是否需要即時報價服務?

☐ No 否 ☐ Yes (designated application form and additional fees required) 是 (需另填寫表格及額外收費)

Signing Arrangement 簽署安排 Only applicable to joint account applicants. 只適用於聯名賬戶申請者。

You decide that the valid document in connection with the operation (including cash withdrawal and asset transfer) of your account must be signed by
閣下決定所有賬戶操作 (包括提款及資產轉移) 的有效文件必須由

☐ Any one of account holders. 其中一位賬戶持有人簽署。
☐ Both of account holders. 兩位賬戶持有人共同簽署。

Declaration 聲明

The Account Applicant(s) represent(s) that the information on this Account Application Form is true, complete and correct and that the representations in the attached Client Agreement of PC Securities Limited (including the Risk Disclosure Statement) (“Agreement”) are accurate. Information on this Account Application Form and representations in the Agreement are collectively referred as the “Account Opening Information”. PC Securities Limited (“Company”) is entitled to rely fully on such Account Opening Information for all purposes, unless the Company receives notice in writing of any change. The Company is authorized at any time to contact anyone, including but without limitations to banks, brokers or any credit agency of the Account Application(s), for purposes of verifying the Account Opening Information.

All transactions to be concluded with or through the Company shall be subject to the terms and conditions of the Agreement. Please read the Agreement carefully before signing this Account Application Form. By signing below, the Account Applicant(s) confirm(s) that he/she/they have/has read through and understood all the terms and conditions set out in the Agreement, and agree(s) to adhere to and accept all the arrangements and relevant terms and conditions as set out in the Agreement, in particular the section entitled “Risk Disclosure Statements” and shall be bound by the Agreement as it may be amended from time to time.

The Account Applicant(s) hereby agree(s) that PC Securities Limited may use and/or disclose my/our personal information in accordance with Personal Information Collection Statement and acknowledge(s) that I/we have read and understood the said Statement. The Account Applicant(s) understand(s) that I/we have the right to opt-out of the use of my/our personal information in accordance with the option set out below.

賬戶申請人茲聲明在本開戶申請表內的資料屬實、完整及正確，寶鉅證券有限公司的 <<客戶協議>> (包括 <<風險披露聲明>>)(以下簡稱為「協議」) 內的一切申述準確。本開戶申請表內的資料及「協議」內的申述，以下統稱為「開戶資料」。除非寶鉅證券有限公司 (以下簡稱為「本公司」) 接到更改有關「開戶資料」內容的書面通知，本公司有權在任何用途上完全依賴這些「開戶資料」。本公司有權隨時聯絡任何人，包括但不限於賬戶申請人之銀行、經紀或任何信貸調查機構，以求證實「開戶資料」內所載之內容。

所有由本公司與/或透過本公司進行之交易，均受「協議」之條文限制。請於簽署本開戶申請表前，細閱「協議」各項條文。於下方簽署乃確認閣下已細閱及明白「協議」所列明的各項條款及條件，及同意遵守及接受「協議」一切列明的安排及有關之條款及條件內容 (尤其「風險披露聲明」一節)，並接受該等現時有效及不時修改的條文約束。

賬戶申請人同意寶鉅證券有限公司可根據其個人資料收集聲明，使用及/或披露本人/吾等之個人資料。本人/吾等確認已閱讀及明白附隨的此聲明。賬戶申請人明白本人/吾等有權根據以下選擇拒絕本人/吾等個人資料被用於下列用途。

(Please tick the appropriate box below 請在下方勾選相應的方框)

☐ I/We do not agree PC Securities Limited/any member of the PC Group to use my/our personal data for direct marketing purposes.
本人/吾等不同意寶鉅證券有限公司/任何寶鉅集團成員使用本人/吾等個人資料作直接促銷之用。

Applicant(s) Signature 申請人簽署

☞	☞
Individual/Primary Joint Account Holder’s Signature 個人/聯名賬戶主要持有人簽署	Secondary Joint Account Holder’s Signature 聯名賬戶第二持有人簽署
Name (Please use block letter) 姓名 (請使用正楷)	Name (Please use block letter) 姓名 (請使用正楷)
Date 日期	Date 日期

Risk Statements 風險聲明 *{ to be completed by PC Securities Limited 此欄由寶鉅證券有限公司填寫 }*

Declaration by Licensed Person 持牌人士聲明：
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 Licensed Person 持牌人士簽署：__________ CE No. 中央編號：__________

Name of Licensed Person 持牌人士姓名 ：__________ Date 日期 ：__________