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）

ACCOUNT OPENING FORM – INDIVIDUAL/JOINT
开户申请书 — 个人 / 联名

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
香港铜锣湾希慎道 18 号利园五期 11 楼 A 室
Tel 电话: (852) 3950 3288 Fax 传真: (852) 3950 3200 Website 网址: http://www.pcsec.com.hk/
SFC Licensed Corporation 证券及期货事务监察委员会持牌法团 (CE No. 中央编号：BDC354)
HKEx Participant 香港联合交易所有限公司参与者 (Broker No. 经纪代号 : 5579)

Account No. 账户号码	
AE Code 客户经理编号	

Please tick the appropriate column 请在适当的栏上加勾号

Account Type 账户类型

☐ Cash Account 现金账户 ☐ Margin Account 孖展账户
☐ Individual Account 个人账户 ☐ Joint Account 联名账户 ☐ CIES 投资移民账户

First Account Applicant's Personal Information 账户第一申请人之个人资料

Title 称呼 ☐ 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. 身份证号码/护照号码	Nationality 国籍
Date of Birth (dd/mm/yyyy)* 出生日期 (日/月/年)*	Place of Birth 出生地点
Mobile Phone No. 手提电话号码 Country Code 国家编码 - Area Code 区域编码 - Phone Number 电话号码	Home Tel. No. 住宅电话号码 Country Code 国家编码 - Area Code 区域编码 - Phone Number 电话号码
E-mail Address 电邮地址	Fax No. 传真号码 Country Code 国家编码 - Area Code 区域编码 - Phone Number 电话号码
Residential Address* (P.O Box not accepted) 住宅地址* (不接受邮政信箱)	
Correspondence Address (P.O Box not accepted) 通讯地址 (不接受邮政信箱)	

Nature of Occupancy 住宅类别
☐ Owned (No mortgage) 自置 (无按揭)
☐ Mortgaged/Monthly Installment 按揭/每月供款 $ ________________
☐ Rented/Monthly Rental 租用/每月租金 $ ______________________
☐ With Parents 与父母同住
☐ Relative's 亲属楼宇
☐ Quarters 宿舍

Employment Status 就业情况
☐ Full-time employed 全职 ☐ Part-time employed 兼职 ☐ Self-employed 自雇 ☐ Retired 退休
☐ Other, please specify 其他，请注明 : ____

Name of Employer 雇主名称		Nature of Business 业务性质
Office Tel. No. 公司電話號碼 Country Code 国家编码 - Area Code 区域编码 - Phone Number 电话号码	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 账户第一申请人之财务纪录及投资目标

The Company is required to obtain this information to fulfill the "know-your-client requirements" of the Securities and Futures Commission of Hong Kong.
本公司根据香港证券及期货事务监察委员会所制定之「认识你的客户要求」而索取有关资料。

Estimated Annual Income (HK$) 估计年薪 (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 其他收入来源 : ____________________

Approximate Net Asset Value (HK$) (Total Asset – Total Liabilities) 估计资产净值 (港元) (总资产 – 总负债)
☐ 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 小学 ☐ Secondary School 中学 ☐ University or above 大学或以上 ☐ Others 其他： __________

Source of Income 收入来源：
☐ Salary 工资 ☐ Commission 佣金 ☐ Investment 投资 ☐ Business Profit 商业利润 ☐ Savings 储蓄 ☐ Others 其他： ______

Investment Objectives (may select more than one for Q2) 投资目标 (问题2可选多于一项)：
1. ☐ Long Term over 2 years 长线超过二年 ☐ Medium Term 6-24 months 中线六至二十四个月 ☐ Short Term less than 6 months 短线少于六个月
2. ☐ Capital Growth 增值 ☐ Dividend Income 股息收入 ☐ Hedging 对冲 ☐ Speculation 投机

Applicant's Signature 申请人签署
☞

Second Account Applicant's Personal Information 账户第二申请人之个人资料

Title 称呼	☐ 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. 身份证号码/护照号码	Nationality 国籍
Date of Birth (dd/mm/yyyy) 出生日期 (日/月/年)	Place of Birth 出生地点
Mobile Phone No. 手提电话号码 Country Code 国家编码 - Area Code 区域编码 - Phone Number 电话号码	Home Tel. No. 住宅电话号码 Country Code 国家编码 - Area Code 区域编码 - Phone Number 电话号码
E-mail Address 电邮地址	Fax No. 传真号码 Country Code 国家编码 - Area Code 区域编码 - Phone Number 电话号码

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

Correspondence Address
(P.O Box not accepted)
通讯地址 (不接受邮政信箱)

Employment Status 就业情况
☐ Full-time employed 全职 ☐ Part-time employed 兼职 ☐ Self-employed 自雇 ☐ Retired 退休
☐ Other, please specify 其他，请注明：______

Name of Employer 雇主名称		Nature of Business 业务性质
Office Tel. No. 公司電話號碼 Country Code 国家编码 - Area Code 区域编码 - Phone Number 电话号码	Year(s) with Existing Employer 已任職年期	Position 職位
Office Address 公司地址		Relationship with First Account Applicant 与账户第一申请人关系

Second Account Applicant's Financial Profile and Investment Objective 账户第二申请人之财务纪录及投资目标

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Estimated Annual Income (HK$) 估计年薪 (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 其他收入来源：______

Approximate Net Asset Value (HK$) (Total Asset – Total Liabilities)
估计资产净值 (港元) (总资产 – 总负债)
☐ 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 小学 ☐ Secondary School 中学 ☐ University or above 大学或以上 ☐ Others 其他：______

Source of Income 收入来源：
☐ Salary 工资 ☐ Commission 佣金 ☐ Investment 投资 ☐ Business Profit 商业利润 ☐ Savings 储蓄 ☐ Others 其他：______

Investment Objectives (may select more than one for Q2) 投资目标 (问题2可选多于一项)：
1. ☐ Long Term over 2 years 长线超过二年 ☐ Medium Term 6-24 months 中线六至二十四个月 ☐ Short Term less than 6 months 短线少于六个月
2. ☐ Capital Growth 增值 ☐ Dividend Income 股息收入 ☐ Hedging 对冲 ☐ Speculation 投机

Disclosure of Identity and Related Account(s) 披露身份及关连账户

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?
阁下(第一或第二申请人)是否为证券及期货事务监察委员会的持牌/注册证券或期货从业员，或其持牌/注册机构(如经纪行/银行等)之雇员？

☐ No 否 ☐ Yes, please specify 是，请注明：______

Are you the ultimate beneficial owner(s) of the account? (The information is required by The Securities & Futures Commission's Client Identity Rule Policy)
阁下是否此账户之最终实益拥有人？(所需资料是根据香港证券及期货事务监察委员会所制定的客户身份规则的政策摘要)
☐ Yes 是
☐ No, please provide details of the ultimate beneficial owner(s) 否，请提供最终实益拥有人的详细资料：

Name 姓名 ______ ID No. / Passport No. 身份证号码/护照号码 ______
Contact No. 联络电话 ______ Date of Birth 出生日期 (dd/mm/yyyy 日/月/年) ______ Nationality 国籍 ______
Address 地址 ______

Do you maintain any other account(s) with PC Securities Limited? 阁下现时是否已持有其他寶鉅證券有限公司之账户？
☐ No 否 ☐ Yes 是 Name 姓名 ______ Account Type. 账户类别 ______ Account No. 账户号码 ______

Do you have any relative(s) working in PC Securities Limited? 阁下的直系亲属是否寶鉅證券有限公司之员工？
☐ No 否 ☐ Yes 是 Name 姓名 ______ Relationship 关系 ______

Do you have any relatives acting as Director or being shareholder of PC Securities Limited? 阁下的直系亲属是否寶鉅證券有限公司的董事或股东？
☐ No 否 ☐ Yes, please provide details 是，请提供详细资料 ______

Applicant's Signature 申请人签署
☞

FATCA Identity Declaration FATCA 身份声明

Do you possess any of the following U.S. indicia? 您是否拥有以下任何一项美国指标?		*Please tick the appropriate column* *请在适当的栏上加勾号*
(1)	US citizenship/tax residency (e.g. US passport/Green Card holder, U.S. taxpayer, etc.) 美国公民/缴纳美国税务的居民（如美国护照/绿卡持有者、美国纳税人等）	☐ Yes 是 / ☐ No 否
(2)	US place of birth 美国出生地	☐ Yes 是 / ☐ No 否
(3)	US address (e.g. residential address, mailing address, P.O. box) 美国地址（如居住地址、邮件地址、P.O.邮箱）	☐ Yes 是 / ☐ No 否
(4)	US telephone number (e.g. home, work, mobile, fax numbers) 美国电话号码（如住宅、工作、行动、传真号码）	☐ Yes 是 / ☐ No 否
(5)	Standing instructions to pay amounts from PC Securities Limited to an account maintained in the US 从寶鉅證券有限公司向某美国银行账户发出常设的款项转账指示	☐ Yes 是 / ☐ No 否

Please Select One Only
请选择一项

☐ US Individual(s)
美国人士

☐ Non-US Individual(s) with **US indicia**
非美国人士，但具有美国指标

☐ Non-US Individual(s) with **no US indicia**
非美国人士，及没有美国指标

Risk Profile Questionnaire 风险承担能力问卷

Please answer the following questions. They will help you understand your attitude to risk.
请回答下列问题，这些问题可以帮您了解自己对投资风险的取态。

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.
请注意 ：
此部份之问题是为大概评估您对风险的态度及对投资风险的承受程度而设。这些问题与您可能进行的投资及其实际表现没有直接关系。

(1) How many years of investment experience do you have?
您有多少年的投资经验？

- ☐ [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?
您曾否投资在问题 2b 中列出的投资工具？

- ☐ [0] Yes (Please answer question No. 2b)
是 (请回答问题 2b)
- ☐ [1] No (Please answer question No. 3)
否 (请回答问题 3)

(2b) What kind of investment instruments have you invested in? (You can select more than one option if appropriate.)
您曾经投资在甚么投资工具之上？(如适用，可以选择多于一项。)

- ☐ [1] Bond
债券
- ☐ [2] Mutual Fund/Unit Trust
互惠基金/单位信托基金
- ☐ [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.
备注 ： 本题的分數等于所有客人选择的项目中分數最高一项的分數，举例：客人选择了「互惠基金/单位信托基金」和「股票」，客人本题的分數就是 3 分。

(3) When it comes to investing, you would describe yourself as:
在投资方面，您会形容自己是：

- ☐ [1] Inexperienced
毫无经验
- ☐ [2] Somewhat inexperienced
经验不足
- ☐ [3] Somewhat experienced
略具经验
- ☐ [4] Very experienced
经验丰富

(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)
您可承受的最大损失是多少？(请紧记潜在投资回报愈高，风险亦愈高)

- ☐ [1] Will try as far as possible to avoid any capital loss, even if this impacts negatively on the potential return.
在可能的情况下尽量避免任何资本上的损失，就算这对潜在回报产生负面影响。
- ☐ [2] Wish to minimize capital loss, maximum acceptable loss is 10%.
希望将资本损失减至最低，可承受最多 10%的损失。
- ☐ [3] Can tolerate some capital loss in order to improve potential returns, maximum acceptable loss is 20%.
可容许某程度上的资本损失以改善潜在回报，可承受最多 20%的损失。
- ☐ [4] Can tolerate more capital loss in order to maximize potential investment returns, I can accept a loss of 30% or more.
可容许较多的资本损失以提高潜在回报，可承受 30%或以上的损失。

(5) What is your current investment objective?
您现时的投资目标是什么？

- ☐ [1] Security of capital is the most important.
保存资本是最重要的。
- ☐ [2] Balance between security and growth of capital, but security of capital is more important.
保存资本及资本增值都重要，但较着重保存资本。
- ☐ [3] Balance between security and growth of capital, but growth of capital is more important.
保存资本及资本增值都重要，但较着重资本增值。
- ☐ [4] Growth of capital is important.
资本增值是最重要的。

Applicant’s Signature 申请人签署
☞

(6)	In normal market conditions, what return do you expect from your investments? 在正常市况下，您预期您的投资可带來多少回报？ ☐ [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 每年超过 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? 假如您购买了一只股票并打算持有五年，在首年投资后便已升值 30%，那您会怎样做？ ☐ [1] Sell the investment to realize the gain. 沽出该项投资将利润套现。 ☐ [2] Sell part of the investment while still betting the rest on the potential performance of the investment. 套现一部份又继续持有部份投资以求赚取更大回报。 ☐ [3] Hold the investment to see if it continues to produce good returns. 继续持有投资，留意会否持续有可观回报。 ☐ [4] Buy more shares of the stock to take advantage of further potential. 购入更多该公司的股份以求赚取更大回报。
(8)	If you have spare money to invest, you will : 假如您有多余的金钱可供投资，您会： ☐ [1] Have no idea what to do with it. 完全不知道该怎样做。 ☐ [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. 完全对自己的投资选择有信心。
(9)	Which of the following would be considered the most risky investment you would probably make? 以下哪一项是您认为是可能作出最具风险的投资？ ☐ [1] Deposit money in bank saving account. 将金钱存放于银行储蓄账户内。 ☐ [2] Invest in investment grade bonds. 投资于投资级别的债券。 ☐ [3] Invest in shares, mutual funds and unit trusts. 投资于股票、互惠基金及单位信托基金。 ☐ [4] Buy futures contracts, warrants and options etc. 买一份期货合约、窝轮或期权等。
(10)	Have you ever thought that you would like to invest into a high risk, highly volatile investment for the possibility of high returns? 您曾否考虑过投资高风险及高波幅的投资项目以求赚取可能出现的高额回报？ ☐ [1] Never 从不 ☐ [2] Rarely, would be a bit of a gamble. 绝少，只当作赌博。 ☐ [3] Sometimes 偶尔 ☐ [4] Always 经常

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.
最后，把所有问题的得分加起来，得出总分，再对照下方「承受风险特性」列表，便可大概了解您承受风险的特性。

Please refer to the table below for explanation of Risk Level 请参阅以下之「承受风险特性」列表	Final Score 总分	Risk Level 「风险承担能力」值	Total Score 总分数
Preservation 保本	10 ~ 14 points 分	☐ (1)	
Conservative 稳健	15 ~ 22 points 分	☐ (2)	
Balanced 均衡	23 ~ 30 points 分	☐ (3)	
Growth 增长	31 ~ 36 points 分	☐ (4)	
Aggressive 进取	37 ~ 40 points 分	☐ (5)	

Explanation of Risk Level 承受风险特性

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.
这类投资组合旨在保本，因此减低风险较争取高回报更为重要。投资组合可能主要包括现金类别基金，旨在赚取稳定收入。这类投资组合应该适合有意在未来两年内提取资本的投资者，或快将退休及不愿承受过高风险的投资者。

Conservative 稳健

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.
这类投资组合适合可承受有限程度的风险的投资者，并提供稳定收入。尽管现金与定息投资的比重可能仍然偏高，但由于股票等所占的比重较保本投资组合为高，故预期回报亦较高。这类投资组合应该适合将于5年内退休及希望透过波幅较低的投资组合去赚取稳定回报的投资者。

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.
这类投资组合的股票与定息投资的比重均衡，投资组合具备资本增值潜力，同时可提供稳定收入。尽管投资组合的预计增长一般较股票指数为低，但预期的波幅亦较小。因此，这类投资组合相对地适合有意投资于股票但同时希望减低风险的投资者。

Growth 增长

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.
这类投资组合适合较资深的投资者。这类投资者明白持股比重较高的投资策略、亦明白这会导致投资组合的波动性较大。由于投资组合着眼于增长而非收入，故可能有一定程度的波动。然而，为减低波幅，组合亦可能持有部份定息及另类投资。

Aggressive 进取

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.
这类投资组合适合主要着重资本增值而不介意波幅的投资者。投资者不应过份依赖这类投资组合，应视之为高风险与高回报的投资工具。只有充份了解股市及各种高风险的另类投资工具，并愿意承受有关风险的投资者才应该考虑选择这类投资组合。

Applicant's Signature 申请人签署
☞

Knowledge on Derivative Products and Trading Experience 衍生产品知识分析及投资经验问卷

(1) Have you undergone training or attended any courses or seminars on derivative product(s)?
你有没有参加过有关衍生产品的课程或培训?

☐ No 没有 ☐ Yes 有，Please state 请注明：

Name of courses/seminars
修读课程或培训的名称 ______________________ Date 日期 ______________

(2) Do you have any working experience related to derivative product(s)?
你有没有有关衍生产品的工作经验?

☐ No 没有 ☐ Yes 有，Please state 请注明：

Name of Employer
雇主名称 ______________________

Employment Period
在职日期 From 由 ____________ To 至 ____________ Occupation 职业 ____________

(3) Have you invested in any of the product(s) below more than 5 times in the past 3 years?
过去 3 年内您曾否投资于以下任何产品 5 次或以上?

☐ No 没有 / ☐ Yes 有	(a)	Fund which requires derivatives knowledge assessment 须进行衍生工具认识评估之基金
☐ No 没有 / ☐ Yes 有	(b)	Hedge Fund 对冲基金
☐ No 没有 / ☐ Yes 有	(c)	Credit linked structured products 信贷挂钩结构性产品
☐ No 没有 / ☐ Yes 有	(d)	Currency-linked structured products 货币挂钩结构性产品
☐ No 没有 / ☐ Yes 有	(e)	Equity-linked structured products 股票挂钩结构性产品
☐ No 没有 / ☐ Yes 有	(f)	Commodities, commodity-linked structured products 商品、商品挂钩结构性产品
☐ No 没有 / ☐ Yes 有	(g)	Derivative products/leveraged products (i.e. options, futures, warrants, callable bull bear contracts, share margin or foreign exchange margin, etc. 衍生产品/杠杆性产品(如期权、期货、认股权证、可赎回牛证熊证、股票孖展或外汇孖展等)

(4) Client Investment Intentions
客户投资意向

☐ No, Client does not wish to trade derivative product(s) at PC Securities Limited.
没有，客户无意于寶鉅證券有限公司进行各类衍生产品交易。

☐ 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，客户有意于寶鉅證券有限公司进行衍生产品买卖交易。根据以上的评估，客户现谨此确认获授权人士对投资衍生产品已有经验及/或认识。客户亦确认已完全明白寶鉅證券有限公司已向客户解释各类衍生产品所附带的相关风险或已观赏「认识衍生工具」录像或已阅读「一般衍生工具知识课程」。寶鉅證券有限公司并没有向客户作出衍生产品买卖的招揽及建议的行为，并按照客户之投资意向向客户提供及解释各类衍生产品所附带的相关风险。

Anti-Money Laundering and Anti-Terrorist Financing Questionnaire 防止洗黑钱及防止恐怖分子筹资活动问卷

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

Please tick the appropriate column
请在适当的栏上加勾号

(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) 阁下居住的国家是否财务行动特别组织的成员? 财务行动特别组织成员包括：阿根廷、澳大利亚、奥地利、比利时、巴西、加拿大、中国、丹麦、芬兰、法国、德国、希腊、香港、冰岛、印度、爱尔兰、意大利、日本、韩国、卢森堡、墨西哥、荷兰、新西兰、挪威、葡萄牙、俄罗斯联邦、新加坡、南非、西班牙、瑞典、瑞士、土耳其、英国、美国、欧洲委员会及海湾合作理事会。 (最新名单可在这里查阅 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? 阁下居住的国家是否已有现行的法律或条例以制止洗黑钱的活动?	☐ Yes 是 / ☐ No 否
(3)	If the answer to (2) is "Yes", are you subject to such laws/ regulations? 如阁下在(2)题的答案选择「是」，你是否受到该些法律或条例所管制?	☐ 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. 阁下是否就反洗黑钱条例或反恐怖分子筹资活动条例维持着「无罪纪录」? 如否，请另外提交一份详细的资料。	☐ Yes 是 / ☐ No 否

Money Laundering Risk Level 清洗黑钱风险程度 ☐ 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.
备注：如客户属高风险程度或客户属政治人物，须提供「附加客户身份详尽查核表」。

Account Applicant's Bank Details 账户申请人之银行资料

Funds will be transferred to the following bank account pursuant to your fund withdrawal instruction.
款项将根据客户的提款指示转入以下银行账户。

Bank Account Name
银行账户名称

Name of Bank 银行名称	HKD 港币	Bank Account No. 银行账户号码
Name of Bank 银行名称	USD 美元	Bank Account No. 银行账户号码
Name of Bank 银行名称	CNY 人民币	Bank Account No. 银行账户号码

Applicant's Signature 申请人签署
☞

Tax Residence Self Declaration 税务身份自我声明

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.
这是由账户持有人向申报财务机构提供的自我证明表格，以作自动交换财务账户资料用途。申报财务机构可把收集所得的资料交给税务局，税务局会将资料转交到另一税务管辖区的税务当局。
2) An account holder should report all changes in his/her tax residency status to the reporting financial institution.
如账户持有人的税务居民身份有所改变，应尽快将所有变更通知申报财务机构。
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.
除不适用或特别注明外，必须填写这份表格所有部分。如这份表格上的空位不够应用，可另纸填写。在栏/部标有星号（*）的项目为申报财务机构须向税务局申报的资料。

Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”) *
居留司法管辖区及税务编号或具有等同功能的识辨编号（以下简称「税务编号」）*

Complete the following table indicating 提供以下资料，列明：

a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and;
账户持有人的居留司法管辖区，亦即账户持有人的税务管辖区（香港包括在内）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.
该居留司法管辖区发给账户持有人的税务编号。列出所有（不限于 5个）居留司法管辖区。如账户持有人是香港税务居民，税务编号是其香港身份证号码。

Jurisdiction of Residence 居留司法管辖区	TIN 税务编号	Enter Reason A, B or C if no TIN is available. 如没有提供税务编号，填写理由 A，B 或 C。	Explain why the account holder is unable to obtain a TIN if you have selected Reason B. 如选取理由 B， 解释账户持有人不能取得税务编号的原因。
(1)			
(2)			
(3)			
(4)			
(5)			

If a TIN is unavailable, provide the appropriate reason A, B or C :
如没有提供税务编号，必须填写合适的理由 A，B 或 C：

A – The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.
账户持有人的居留司法管辖区并没有向其居民发出税务编号。

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.
账户持有人不能取得税务编号。如选取这一理由，解释账户持有人不能取得税务编号的原因。

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
账户持有人毋须提供税务编号。居留司法管辖区的主管机关不需要账户持有人披露税务编号。

Declarations and Signature 声明及签署

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，财务机构可根据《税务条例》（第112章）有关交换财务账户资料的法律条文，

a) 收集本表格所载资料并可备存作自动交换财务账户资料用途及；
b) 把该等资料和关于账户持有人及任何须申报账户的资料向香港特别行政区政府税务局申报，从而把资料转交到账户持有人的居留司法管辖区的税务当局。

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.
本人证明，就与本表格所有相关的账户，本人是账户持有人并承诺，如情况有所改变，以致影响本表格第 1 部所述的个人的税务居民身份，或引致本表格所载的资料不正确，本人会通知寶鉅證券有限公司，并会在情况发生改变后 30日内，向寶鉅證券有限公司提交一份已适当更新的自我证明表格。

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.
本人声明就本人所知所信，本表格内所填报的所有资料和声明均属真实、正确和完备。

Signature 签署 ☞ ____________________

Name 姓名 (Please use block letter) (请使用正楷) ____________________

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: 根据《税务条例》第 80(2E)条，如任何人在作出自我证明时，在明知一项陈述在要项上属具误导性、虚假或不正 确，或罔顾一项陈述是否在要项上属具误导性、虚假或不正确下，作出该项陈述，即属犯罪。一经定罪，可处第 3 级（即$10,000）罚款。

Password Delivery 收取密码形式

To be filled in by the Primary Account Holder for Joint Account.
如属联名账户，则需由主要账户持有人填写。

How do you prefer to deliver the password? (Applicable to Internet Trading Account Clients only)
阁下想以何种方式收取密码? (只适用于电子交易客户)

☐ SMS 手机短信 ☐ By Mail 邮寄收取 ☐ Pick up in Person 亲自提取

Real-Time Quote Services 实时报价服务

To be filled in by the Primary Account Holder for Joint Account.
如属联名账户，则需由主要账户持有人填写。

Do you need Real Time Quote service?
阁下是否需要实时报价服务?

☐ No 否 ☐ Yes (designated application form and additional fees required) 是 (需另填写表格及额外收费)

Signing Arrangement 签署安排

Only applicable to joint account applicants.
只适用于联名账户申请者。

You decide that the valid document in connection with the operation (including cash withdrawal and asset transfer) of your account must be signed by
阁下决定所有账户操作 (包括提款及资产转移) 的有效文件必须由

☐ Any one of account holders.
其中一位账户持有人签署。

☐ Both of account holders.
两位账户持有人共同签署。

Declaration 声明

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.

账户申请人兹声明在本开户申请表内的资料属实、完整及正确，寶鉅證券有限公司的 <<客户协议>> (包括 <<风险披露声明>>)(以下简称为「协议」) 内的一切申述准确。本开户申请表内的资料及「协议」内的申述，以下统称为「开户资料」。除非寶鉅證券有限公司 (以下简称为「本公司」) 接到更改有关「开户资料」内容的书面通知，本公司有权在任何用途上完全依赖这些「开户资料」。本公司有权随时联络任何人，包括但不限于账户申请人之银行、经纪或任何信贷调查机构，以求证实「开户资料」内所载之内容。

所有由本公司与/或透过本公司进行之交易，均受「协议」之条文限制。请于签署本开户申请表前，细阅「协议」各项条文。于下方签署乃确认阁下已细阅及明白「协议」所列明的各项条款及条件，及同意遵守及接受「协议」一切列明的安排及有关之条款及条件内容 (尤其「风险披露声明」一节)，并接受该等现时有效及不时修改的条文约束。

账户申请人同意寶鉅證券有限公司可根据其个人资料收集声明，使用及/或披露本人/吾等之个人资料。本人/吾等确认已阅读及明白附随的此声明。账户申请人明白本人/吾等有权根据以下选择拒绝本人/吾等个人资料被用于下列用途。

(Please tick the appropriate box below 请在下方勾选相应的方框)

☐ 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/任何宝巨集团成员使用本人/吾等个人资料作直接促销之用。

Applicant(s) Signature 申请人签署

☞ Individual/Primary Joint Account Holder’s Signature 个人/联名账户主要持有人签署	☞ Secondary Joint Account Holder’s Signature 联名账户第二持有人签署
Name (Please use block letter) 姓名 (请使用正楷)	Name (Please use block letter) 姓名 (请使用正楷)
Date 日期	Date 日期

Risk Statements 风险声明 *{ to be completed by PC Securities Limited 此栏由寶鉅證券有限公司填写 }*

Declaration by Licensed Person 持牌人士声明：
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.
本人确认已经以客户选择的语言（英文或中文）提供风险披露声明，并且本人已经邀请客户阅读该风险披露声明，提出问题及寻求独立的意见（如客户有此意愿）。

Signature of Licensed Person 持牌人士签署：________________________ CE No. 中央编号：__________________

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