

Tiger Securities Asset Management Company Limited ("TSAM" or the "Company") carries on the business of dealing in securities and is licensed to carry on Type 1, Type 4 and Type 9 regulated activities under the Securities and Futures Ordinance (Cap. 571) (CE No. ANP612). 泰嘉證券資產管理有限公司 ("泰嘉證券"或"本公司") 經營的是證券交易的業務，並根據證券及期貨條例 (第 571 章) 獲發牌經營第一類、第四類及第九類受規管活動 (中央編號: ANP612)。

Securities Account No 證券賬號: _____

(To be filled by staff 由本公司職員填寫)

ACCOUNT OPENING FORM (INDIVIDUAL / JOINT ACCOUNT) 帳戶開戶表格 (個人/聯名帳戶)	
1. Securities Trading Account Type 證券交易帳戶類別	
Type of Client 客戶類別	☐ Individual Account 個人帳戶 ☐ Joint Account 聯名帳戶
Type of Account 帳戶類別	☐ Cash 現金 ☐ Margin 保證金
Method of Placing Order 落盤方式	☐ By Telephone 電話落盤 ☐ By Internet 網上落盤
ACCOUNT OPENING FORM (INDIVIDUAL / JOINT ACCOUNT) 帳戶開戶表格 (個人/聯名帳戶)	
2. Personal Information 個人資料	
Individual / Primary Joint Account Holder ² 個人/基本聯名帳戶持有人	Secondary Joint Account Holder ² 第二聯名帳戶持有人
Client Name 客戶姓名 ☐ Mr.先生 ☐ Miss 小姐 ☐ Mrs.太太 ☐ Ms.女士	Client Name 客戶姓名 ☐ Mr.先生 ☐ Miss 小姐 ☐ Mrs.太太 ☐ Ms.女士
English 英文: _____	English 英文: _____
Chinese 中文: _____	Chinese 中文: _____
Nationality/Citizenship 國籍/公民身份:	Nationality/Citizenship 國籍/公民身份:
ID Card /Passport No. 身份證/護照號碼:	ID Card /Passport No. 身份證/護照號碼:
Country of Issue 簽發國家:	Country of Issue 簽發國家:
Date of Birth 出生日期 (dd/mm/yy): / /	Date of Birth 出生日期 (dd/mm/yy): / /
Marital Status 婚姻: ☐ Single單身 ☐ Married已婚 ☐ Divorced離婚	Marital Status 婚姻: ☐ Single單身 ☐ Married已婚 ☐ Divorced離婚
Residential Address 居住地址	Residential Address 居住地址
Correspondence Address (if different from Residential Address) 通訊地址 (如與居住地址不同)	Relationship with Primary Joint Account Holder 與基本聯名帳戶持有人關係 ☐ Immediate Family, please specify 直系親屬, 請註明: _____ ☐ Relatives, please specify 親戚, 請註明: _____ ☐ Friends 朋友 ☐ Other 其他: _____
Home Tel. No. 住宅電話號碼:	Home Tel. No. 住宅電話號碼:
Mobile Phone No. 手提電話號碼:	Mobile Phone No. 手提電話號碼:
E-mail Address 電郵地址:	E-mail Address 電郵地址:
Fax No. 傳真號碼:	Fax No. 傳真號碼:
Education Level 教育程度: Primary/小學 ☐ Secondary/中學 ☐ University/大學 ☐ Master degree or above 碩士或以上	Education Level 教育程度: ☐ Primary/小學 Secondary/中學 ☐ University/大學 ☐ Master degree or above 碩士或以上
3. Occupation/Employment Status 職業/就業情況	
Name of Employer 僱主名稱:	Name of Employer 僱主名稱:
Nature of Business 業務性質:	Nature of Business 業務性質:
Job Title 職位:	Job Title 職位:
Year(s) with Employer 受僱年期:	Year(s) with Employer 受僱年期:
Office Tel. No. 公司電話號碼:	Office Tel. No. 公司電話號碼:
Office Fax No. 公司傳真號碼:	Office Fax No. 公司傳真號碼:
Office Address 公司地址	Office Address 公司地址

4. Financial Status 財務狀況																																																																									
I. Source of Income 收入來源 (☒ one or more 一項或多項) ☐ Salary 薪金 ☐ Household Income 家用 ☐ Commission 佣金 ☐ Savings from Salary 薪金儲蓄 ☐ Business Profit 營業利潤 ☐ Retirement Pension 退休金 ☐ Dividend 股利 ☐ Mortgage/ Loan 按揭/ 借貸 ☐ Others 其他:	I. Source of Income 收入來源 (☒ one or more 一項或多項) ☐ Salary 薪金 ☐ Household Income 家用 ☐ Commission 佣金 ☐ Savings from Salary 薪金儲蓄 ☐ Business Profit 營業利潤 ☐ Retirement Pension 退休金 ☐ Dividend 股利 ☐ Mortgage/ Loan 按揭/ 借貸 ☐ Others 其他:																																																																								
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6. Client's Knowledge of Derivative Products 客戶對衍生產品的認識	
1. Do you want to trade derivatives? 您是否有意進行衍生品的買賣？ ☐ No 否 ☐ Yes 是 (If "yes", please answer question 如"是" 請回答問題2)	1. Do you want to trade derivatives? 您是否有意進行衍生品的買賣？ ☐ No 否 ☐ Yes 是 (If "yes", please answer question 如"是" 請回答問題2)
2. Do you have any relevant trading experience in the following derivatives? 您是否有以下衍生品相關經驗？ (a) <i>The Client underwent training or attended courses on derivative/ complex products; and/or</i> 客戶曾接受有關衍生/複雜產品的培訓或修讀相關課程; 及/或 (b) <i>The Client has current or previous work experience related to derivative/ complex products; and/or</i> 客戶現時或過去擁有與衍生/複雜產品有關的工作經驗; 及/或 (c) <i>The Client has executed five or more transactions within the past three years in derivative products, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures and Options, Commodities, Structured Products, and Exchange Traded Funds, etc.</i> 客戶於過去 3 年曾執行 5 次或以上有關衍生產品的交易。例如：衍生權證、牛熊證、股票期權、期貨及期權、商品、結構性產品及交易	
☐ I have the above experience and/or knowledge on derivative product(s). 本人有上述一個或以上的經驗。 or 或 ☐ I do not have the above experience and/or knowledge on derivative product(s), but I confirm that I fully read, agreed and understood the relevant risks of the derivative product(s). I understand that I have to acquire enough understanding on derivative product(s) before trading them and I fully accept all relevant risks. 本人沒有上述經驗，但已細閱、同意及明白所有關於衍生產品的風險聲明，本人明白於買賣有關衍生產品前必須先具備足夠的認識，並願意接受一切有關的風險。	☐ I have the above experience and/or knowledge on derivative product(s). 本人有上述一個或以上的經驗。 or 或 ☐ I do not have the above experience and/or knowledge on derivative product(s), but I confirm that I fully read, agreed and understood the relevant risks of the derivative product(s). I understand that I have to acquire enough understanding on derivative product(s) before trading them and I fully accept all relevant risks. 本人沒有上述經驗，但已細閱、同意及明白所有關於衍生產品的風險聲明，本人明白於買賣有關衍生產品前必須先具備足夠的認識，並願意接受一切有關的風險。
<i>Tiger Securities Asset Management Company Limited has accessed the Client based on the information provided above, and have notified the Client that it is compulsory to understand the derivative products before trading them. Tiger Securities Asset Management Company Limited has also warned the Client about the nature and risk of the derivative products. 泰嘉證券資產管理有限公司已根據以上的資料對客戶進行評估，並已通知客戶買賣有關衍生產品前必須先具備足夠的認識，及提示客戶有關衍生產品之性質及風險。</i>	
7. Signing Arrangement 簽名安排 (For Joint Account Only 只適用聯名帳戶)	
The Account can be operated under the instruction of (please tick the appropriate box): 此帳戶可根據以下指示方式操作 (請在適當空格加上「☒」號) ☐ Either one of the account holder; or ☐ Both account holders <u>任何一位</u>帳戶持有人的指示 <u>所有</u>帳戶持有人的指示	
8. Settlement Account Information 結算帳戶資料	
The Client hereby instructs and authorizes that the following (Hong Kong dollar account of a Hong Kong licensed bank will be used as the settlement bank account for Hong Kong dollar) or (foreign currency account will be used as the settlement bank account for that foreign currency). Payment due from the Company to the Client shall, at the cost and risk of the Client, be settled by depositing a cheque into or transferring payment to the said bank account: 客戶謹此指示及授權使用以下 (香港持牌銀行的港元帳戶，作為港元結算帳戶) 或 (外幣帳戶，作為有關外幣的結算帳戶)。本公司結欠客戶的款項，須透過存入支票或轉帳至此銀行帳戶結算，其費用及風險由客戶承擔：	
Bank 銀行 : _____ Branch 分行 (if any) : _____ Account Name 帳戶名稱 : _____ Account No. 帳戶號碼 : _____	
☐ Hong Kong Dollar Account 港元帳戶 ☐ Foreign Currency Account 外幣帳戶 *****	
<i>Additional information for foreign currency account only 額外資料只適用於外幣帳戶</i> Currency 貨幣 : _____ SWIFT Code SWIFT 代碼: _____ Bank Address 銀行地址 : _____	

9. Daily Statements / Contract Notes / Monthly Statements to be delivered to 日結單/買賣單據/月結單交付方式		
I. Language 語言: ☐ 繁體中文 ☐ 簡體中文 ☐ English II. Statements will be sent to Account Holder ² / 帳戶結單將透過以下途徑寄往帳戶持有人 ² (Please select one 請選擇其中一項) ☐ E-mail Address 電郵地址 ☐ Residential Address 住宅地址 ☐ Correspondence Address 通訊地址		
10. Disclosure of Related Account(s) 披露關連帳戶		
I. Does the Client have any relationship with the director(s) or employee(s) of Tiger Securities Asset Management Company Limited or their respective associated companies? 客戶是否與泰嘉證券資產管理有限公司或其各自之聯營公司之董事或僱員有任何親戚關係? (if "yes" 如「是」, Name of employee/director 僱員/董事姓名: _____ Relationship 關係: _____)	No 否 ☐	Yes 是 ☐
II. Does the spouse of the Client have any related margin financing account with Tiger Securities Asset Management Company Limited? 客戶的配偶是否在本公司開有任何相關保證金融資帳戶? (if "yes" 如「是」, Name of the spouse 配偶姓名: _____ Account No. 帳戶號碼: _____)	☐	☐
III. The Client, either alone or with his/her spouse, is/are not in control of 35% or more of the voting rights Of another margin client of Tiger Securities AM.? 客戶是否有單獨或與配偶共同控制泰嘉證券資產管理有限公司其他保證金帳戶持有人 35%或以上之表決 (if "yes" 如「是」, Name of the controlled client 受控制客戶名稱: _____ Account No. 帳戶號碼: _____)	☐	☐
11. Disclosure of Identity 披露身份		
The Client hereby declares and confirms the following 下為客戶聲明並確認的內容:		
I. The Client is the ultimate and sole beneficial owner(s) of the Account(s) and is fully responsible for all instructions for the operation of the said Account(s)? 客戶是帳戶的最終及唯一實益擁有人，並完全負責為該(等)帳戶運作所發出的一切指示? (if "no" 如「否」, please provide the details of the ultimate beneficial owner(s) 請填寫最終實益擁有人之資料) Name 姓名: _____ Tel. No. 電話號碼: _____ Address 地址: _____ ID/Passport/Incorporation 身份證/護照/公司註冊證書號碼: _____	Yes 是 ☐	No 否 ☐
II. Are you a US citizen or resident for US for tax purposes or have any relationship with US (e.g born in US, have any US residential/ correspondence address (include US post office box) or telephone number)? 客戶是否美國公民或就稅務目的 而言的居民或跟美國有什麼關係 (例如在美國出生，擁有美國的住址 / 通訊地址 (包括美國郵政信箱) 或美國電話號碼)? if "yes" 如「是」, please provide the details 請填寫資料 _____ _____	No 否 ☐	Yes 是 ☐
III. Are you the director or an employee or an accredited person of a HKEX Exchange Participant or SFC's licensed or registered person? 客戶是否聯合交易所參與者或證監會持牌或註冊人之董事、僱員或認可人士? (if "yes" 如「是」, Name of the licensed or registered person 持牌或註冊人士姓名/名稱: _____ • Please attach the consent letter from the licensed or registered person. 請提供持牌或註冊人士同意信。 • The Client undertakes to promptly notify the Company if the Client becomes employed by any licensed or registered person to carry on regulated activities within the meaning of the Securities and Futures Ordinance. 客戶承諾若其受聘於任何持牌或註冊人士以進行證券及期貨條例所指的受規管活動，會盡快通知本公司。	☐	☐
Are you linked to politically exposed persons ("PEP")? 客戶是否與政治人物* 有聯繫 if "yes" 如「是」, please provide the details 請填寫資料 _____ _____	☐	☐
Is the nature of your business particularly susceptible to money laundering risk? (For example, money changer or casino business that handles large amount of cash) 客戶的業務性質是否特別容易蒙受較高的洗黑錢風險?(舉例：如會接觸大量現金往來，找換業或博彩業) if "yes" 如「是」, please provide the details 請填寫資料 _____ _____	☐	☐

12. Risk Disclosure Statements and Disclaimers 風險披露聲明與免責聲明

- ☐ The Client acknowledges and confirms that the Client has read the relevant risk disclosure statements and disclaimers which were provided in a language of the Client's choice as set out in the Terms and Conditions. The Client also acknowledges and confirms that the Client was invited to read the risk disclosure statements and disclaimers as set out in the Terms and Conditions, ask questions, and take independent advice if the Client wishes. 客戶確認並聲明，已閱讀相關的風險披露聲明及免責聲明，該等文件是以客戶選擇的語言提供，並載於條款與條件中。客戶亦確認並聲明，已被邀請閱讀條款與條件中載明的風險披露聲明及免責聲明，提出問題，並在需要時尋求獨立意見。

13. Client's Declaration for Data Protection 客戶個人資料保障聲明

The Client has carefully read, fully understood and agreed to accept and be bound by the Section IX Notice To Clients Relating To The Personal Data (Privacy) Ordinance ("NTC") in TSAM's Terms and Conditions. The Client hereby consents to the contents of the NTC and the use of the data by TSAM in direct marketing.

客戶已仔細閱讀、完全理解並同意接受並受泰嘉證券條款與條件中第IX部分《關於個人資料（私隱）條例的客戶通知》（「NTC」）的約束。客戶在此同意NTC的內容，並同意泰嘉證券將其資料用於直接營銷。

Please tick the box below if disagree: 如不同意，請在以下空格加上「☒」號

- ☐ The Client does not consent to the use of his/her personal data in direct marketing for financial, securities, commodities, derivatives, investment, financing, insurance, MPF/ORSO, wealth management, investor education and related services, products and facilities, reward, loyalty or privileges programmes or donations and contributions for charitable and/or non-profit making purposes.

客戶不同意泰嘉證券使用其個人資料於直接促銷金融、證券、商品、衍生產品、投資、信貸、保險、強積金/職業退休計劃、財富管理、投資者教育及相關服務、產品及設施、獎賞、年資獎勵或優惠計劃或慈善及/或非牟利目的而作出之捐款

14. Declaration and Agreement by Client 客戶的聲明及同意

The undersigned (whose particulars are set out in this Account Opening Form) (the "Client"), agrees to open trading account(s) (the "Account(s)") with the Company upon and subject to all the provisions of this Account Opening Form and the relevant Sections of "Terms and Conditions for Trading Accounts" (the "Terms and Conditions") applicable to the Account(s) that the Client applies to open. 以下簽署人（其資料詳列於本帳戶開戶表格）（「客戶」）同意按照本帳戶開戶表格的所有條款，以及相關章數的《交易帳戶條款及條件》（「條款及條件」）中適用於客戶申請開立之帳戶的所有條款及條件，在本公司內開立交易帳戶（「帳戶」）。

By signing this Part, the Client hereby declares, agrees and confirms that:- 倘簽署本部份，客戶現聲明、同意及確認:-

- the information provided in this Account Opening Form is complete, true and accurate. The Company is entitled to rely fully on such representations and information for all purposes, unless the Client informs the Company in writing of any change to that information; 本帳戶開立表格中提供的資料完整、真實且準確。除非客戶以書面形式通知公司該等資料的任何變更，否則公司有權完全依賴該等聲明及資料作所有用途；
- the Client has fully read, understood and confirmed, and agrees and accepts to be bound by all the provisions of this Account Opening Form and the Terms and Conditions (as amended from time to time) applicable to the Account(s) that the Client applies to open with the Company. The Client has been advised by the Company to seek independent legal advice; 客戶已完全閱讀、理解並確認，並同意及接受受本帳戶開立表格及條款與條件（經不時修訂）中適用於客戶向公司申請開立之帳戶的所有條款之約束。公司已建議客戶尋求獨立法律意見；
- the contents of the Terms and Conditions have been fully explained to the Client in a language which the Client understands; 條款與條件的內容已以客戶能夠理解的語言向客戶充分解釋；
- the Company reserves its rights to amend the Terms and Conditions from time to time. Such amendments shall be incorporated into the Terms and Conditions unless objected to in writing by the Client within 14 days from the notice of the Company; 本公司保留不時修訂條款與條件的權利。該等修訂將納入條款與條件中，除非客戶在收到公司通知後14天內以書面形式提出異議；
- In the event that there is any inconsistency between the English version and the Chinese version of the Account Opening Form and the Terms and Conditions, the English version shall prevail. The Company may provide a hard copy of the English version upon request; and 如帳戶開立表格及條款與條件的英文版本與中文版本之間有任何不一致，應以英文版本為準。公司可應要求提供英文版本的紙本；以及
- the Client has read and understood the policy of the Company in relation to information of the Client as contained in the Terms and Conditions, and agrees and accept to its terms. 客戶已閱讀並理解條款與條件中公司有關客戶資料的政策，並同意及接受其條款。

Client Signature (Individual / Primary Joint Account Holder) 客戶簽署 (個人/基本聯名帳戶持有人)	Client Signature (Secondary Joint Account Holder) 客戶簽署 (第二聯名帳戶持有人)
Date 日期 (dd/mm/yy) _____	Date 日期 (dd/mm/yy) _____
15. Witness Signature 見證人簽署	
IF THE DOCUMENT IS NOT EXECUTED BY THE CLIENT(S) IN FRONT OF TSAM'S EMPLOYEE/LICENSED OR REGISTERED STAFF OR SUBMITTED WITH AN APPROPRIATE CHEQUE ⊕, BELOW SHOULD BE SIGNED BY A SPECIFIED PERSON § [if applicable] The undersigned person hereby certify the signing of this document (together with the above Agreement) by the above Client/ Joint Clients (please delete either one) and sighting of related identity documents of such Client(s). 若 客 戶 / 聯名客戶並非在泰嘉證券的僱員/持牌或註冊人員面前簽立此文件或連同適當的支票 ⊕ 一併遞交，則以下應由指定人士 § 簽署 [若適用者] 下述簽署人士謹此驗證上述客戶 / 聯名客戶(請刪去其中一項) 簽立此文件(連同該協議書) 及其有關的身份證明文件:-	
Witness Signature 見證人簽署	
Name (in block letters) 姓名 (正楷填寫)	Date 日期 (dd/mm/yy)
ID Card/Passport/CE No. 身份證/護照/CE 編號	
Occupation of Witness 見證人職務	
Tel. No. 電話號碼	
Email Address 電郵地址	
16. Declaration by the licensed or registered staff 持牌或註冊人員之聲明	
The Client has been provided with the relevant risk disclosure statements and disclaimers in a language of the Client's choice. The undersigned licensed or registered staff has invited the Client to read the risk disclosure statements and disclaimers as set out in the Terms and Conditions, ask questions and take independent advice if the Client wishes. 客戶已獲提供以其所選語言之有關風險披露聲明及免責聲明。以下簽署之持牌或註冊人員已邀請客戶參閱條款及條件及當中列明之風險披露聲明及免責聲明、提出問題及按其意願諮詢獨立意見。	
Signature of licensed or registered staff 持牌或註冊人員簽署	
Name (in block letters) 姓名 (正楷填寫) : _____	
C.E. No.證監會中央編號	: _____
Date 日期 (dd/mm/yy)	: _____

“內部”使用 For office use only

Securities Account No 證券賬號:		佣金收費 Commission Fee (%)	
		☐ 電話交易 Phone Trading _____ % Min. HKD _____	☐ 網上交易 Internet Trading _____ % Min. HKD _____
Referral介紹人 (if any)		信貸額 Credit Limit HKD:	
A.E. Name 經紀姓名 (if any)		備註 Remarks:	
資料輸入 Data Input By		批核 Approved By	
Date:		Date:	