



Account Opening Form (Individual Account) 客戶開戶表格 (個人賬戶)

Account Type 賬戶類別	<input type="checkbox"/> Cash Trading Account 現金交易賬戶	Account No. 賬戶號碼	
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Part 1 第1部 Personal Information 個人資料

Title 稱謂	<input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Miss 小姐 <input type="checkbox"/> Mrs. 太太 <input type="checkbox"/> Ms. 女士	Gender 性別	<input type="checkbox"/> Male 男 <input type="checkbox"/> Female 女
Name in Chinese 中文姓名	Name in English 英文姓名		
Type of Identification Document 身份證明文件類別	Identification Doc. No. 身份證明文件號碼		
<input type="checkbox"/> HKID 香港身份證 <input type="checkbox"/> PRC ID 內地身份證	Nationality 國籍		
<input type="checkbox"/> Passport 護照 (Issue Country 簽發國家 _____)	Date of Birth 出生日期		
<input type="checkbox"/> Others 其他: _____	DD	MM	YYYY
E-mail 電郵	Mobile 手提	Home Tel. 住宅電話	Fax 傳真

Residential Address (Proper documentary proof of residential address is required) 住宅地址 (需提供適當證明文件)

Room/Flat 室/單位	Floor 層數	Block 座數	Building 大廈
Estate/Court 屋村/屋苑	No. & Name of Street 街號及街名		
District 地區	City 城市	Country 國家	
Correspondence Address 通訊地址	<input type="checkbox"/> Same as above Residential Address 同上住宅地址 <input type="checkbox"/> Office or Others (please specify below) 辦事處或其他(請於下方註明)		

Communication Method (For issuance of Daily/Monthly Statement) 通訊方式 (用作發送日/月結單)	Statement Language 結單語言
<input type="checkbox"/> Post 郵寄 (Administration Fee of \$50 per statement + postage. 每份結單行政費為港幣50元正,另加郵費)	<input type="checkbox"/> 繁體 <input type="checkbox"/> 簡體 <input type="checkbox"/> English
<input type="checkbox"/> E-mail 電郵	

Part 2 第2部 Education Level 教育程度 / Employment Status 就業狀況

Education Level 教育程度
<input type="checkbox"/> University or above 大學或以上 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Primary or below 小學或以下 <input type="checkbox"/> Others 其他 _____
Employment Status 就業狀況
<input type="checkbox"/> Full-time 全職 <input type="checkbox"/> Part-time 兼職 <input type="checkbox"/> Self-Employed 自僱
<input type="checkbox"/> Student 學生 <input type="checkbox"/> Housewife 主婦 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Unemployed 待業 <input type="checkbox"/> Others 其他 _____

Employment Information 受僱資料 (For full-time / part-time / self-employed, please complete) (如屬全職 / 兼職 / 自僱, 請填寫)

Company Name 公司名稱	Position 職位	Industry 行業	Year(s) of Employed 任職年期
Company Address 公司地址	Office Tel. 辦公室電話		

Part 3 第3部 Bank Details 銀行詳情 (For Fund Withdrawal Only 只供提款之用)

Currency 貨幣	Name of Bank 銀行名稱	Account No. 賬戶號碼 (Joint Account not accepted 不接受聯名賬戶)
HKD 港元		

CNY 人民幣		
USD 美金		

Part 4 第 4 部 Financial Position and Investment Experience 財政狀況及投資經驗

Annual Income (HKD) 每年收入 (港幣) <input type="checkbox"/> < 120,000 <input type="checkbox"/> 120,000 – 360,000 <input type="checkbox"/> 360,001 – 600,000 <input type="checkbox"/> 600,001 – 1,200,000 <input type="checkbox"/> > 1,200,000	Source of Income 收入來源 (one or more item(s) 可選多項) <input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Business Profit 企業營利 <input type="checkbox"/> Rental Income 租金收入 <input type="checkbox"/> Retirement Fund 退休基金 <input type="checkbox"/> Others 其他: _____	Other Asset 其他資產 (one or more item(s) 可選多項) <input type="checkbox"/> Cash / Deposit 現金 / 存款 <input type="checkbox"/> Securities 證券 <input type="checkbox"/> Property 物業 <input type="checkbox"/> Vehicles 車輛 <input type="checkbox"/> Others 其他: _____	Total Net Worth (HKD) 總資產淨值 (港幣) <input type="checkbox"/> < 100,000 <input type="checkbox"/> 100,000 – 500,000 <input type="checkbox"/> 500,001 – 1,000,000 <input type="checkbox"/> 1,000,001 – 5,000,000 <input type="checkbox"/> 5,000,001 – 10,000,000 <input type="checkbox"/> Others 其他: _____
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Investment Objectives 投資目標 (one or more item(s) 可選多項) <input type="checkbox"/> Dividend Income 股息收入 <input type="checkbox"/> Capital Appreciation 資本增值 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Others 其他: _____	Products Invested 曾投資產品 (one or more item(s) 可選多項) <input type="checkbox"/> Securities 證券 <input type="checkbox"/> Callable Bull / Bear Contracts (CBBC) 牛熊證 <input type="checkbox"/> Derivative Warrants 衍生權證 (窩輪) <input type="checkbox"/> Exchange Traded Funds (ETF) 交易所買賣基金 <input type="checkbox"/> Futures & Options 期貨及期權 <input type="checkbox"/> Bonds 債券 <input type="checkbox"/> Funds 基金 <input type="checkbox"/> Others 其他: _____	Investment Experience 投資經驗 <input type="checkbox"/> Nil 沒有 <input type="checkbox"/> < 1 Year 年 <input type="checkbox"/> 1 – 5 Years 年 <input type="checkbox"/> 6 – 10 Years 年 <input type="checkbox"/> > 10 Years 年
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Part 5 第 5 部 Risk Tolerance and Client Investment Interest 可承受風險及客戶投資意向

My knowledge of derivative products are as followed: 對衍生產品的認識如下:

I understand the nature and risks of derivative products by: 本人經以下途徑了解衍生產品的性質和風險:

I have undergone training or attended courses on derivative products (Please provide certificate or related supporting documents)
 本人已接受有關介紹一般衍生產品之性質及風險的培訓或課程 (請提供證書或相關之證明文件)

Name of Courses / Seminars 課程 / 研討會名稱: _____

Organizer 主辦機構: _____ Yr of Participation 參與年份: _____

I have current or previous work experience related to derivative products (Please provide job proof: reference letter or name card etc.)
 本人現時擁有或過去曾擁有與衍生產品有關之工作經驗 (請提供工作證明文件, 如推薦信, 卡片等)

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

I have executed five or more transactions in derivative products within the past three years 本人曾於過去三年內曾執行過五次或以上有關衍生產品之交易

Product(s) invested 曾交易產品: CBBC 牛熊證 Derivative Warrants 衍生權證(窩輪) ETF 交易所買賣基金
 Others 其他: _____

I do **NOT** have any knowledge of derivative products. 本人對衍生產品**沒有**認識。

Risk Tolerance 可承受風險 (只填選一項 one item only)	Client Investment Interest 客戶投資意向 (one or more item(s) 可選多項) Please tick the below product(s) if you have interest in trading of: 請選擇以下有意欲交易之產品:
<input type="checkbox"/> Aggressive 高	<input type="checkbox"/> Derivative Warrants / CBBC 衍生權證(窩輪) / 牛熊證 <input type="checkbox"/> ETF / Trust 交易所買賣基金 / 信托基金 <input type="checkbox"/> GEM <input type="checkbox"/> Grey Market 暗盤市場 (Please COMPLETE Part 6 請完成第 6 部) <input type="checkbox"/> Main Board 主板
<input type="checkbox"/> Moderate 中	<input type="checkbox"/> ETF / Trust 交易所買賣基金 / 信托基金 <input type="checkbox"/> GEM <input type="checkbox"/> Main Board 主板
<input type="checkbox"/> Conservative 低	<input type="checkbox"/> Main Board 主板

Part 6 第 6 部 首次公開招股股票 - 暗盤下單條款 (In Chinese only)

確認和同意 (客戶如有意欲進行暗盤市場交易，請確認及同意以下聲明)

本人在此確認已閱讀並理解《客戶賬戶協議書》所載的首次公開招股股票 – 暗盤下單條款的内容。本人表示同意首次公開招股股票 – 暗盤下單條款中的條款並受其約束。

**Assessment Result
(For Official Use Only)**

評估結果 (只供本公司使用)

- With knowledge of derivatives 對衍生產品有認識
 Without knowledge of derivatives 對衍生產品沒有認識
 Client has fully understood the relevant risks of the derivative product(s) enclosed herewith and wish to trade derivative product(s) 客戶已明白衍生產品所附帶的相關風險，並有意進行衍生產品交易

Part 7 第 7 部 Taxation 稅務狀況

Automatic Exchange of Financial Account Information 自動交換財務賬戶資料: Please indicating the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and the account holder's Taxpayer Identification Number ("TIN") for each jurisdiction indicated. 請於下表列明賬戶持有人的居留司法管轄區 (即稅務管轄區(香港包括在內))及該居留司法管轄區發給賬戶持有人的稅務編號。Please indicate **all** (not restricted to three) jurisdictions of residence in the following table. 請列出**所有**(不限於 3 個)居留司法管轄區。

*If the account holder is a tax resident of Hong Kong, the TIN is the **Hong Kong Identity Card Number**. If a TIN is unavailable, provide the appropriate reason. *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**。如沒有提供稅務編號，必須填寫合適的理由。

Jurisdiction of Residence 居留司法管轄區	TIN* 稅務編號*	No TIN Reason 沒有稅務編號理由	Explanation of Reason B Selected 選取理由B的原因及解釋
(1)		Reason 理由: <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
(2)		Reason 理由: <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
(3)		Reason 理由: <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	

Reason A 理由 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。

Reason B 理由 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。

Reason C 理由 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。

Part 8 第 8 部 Automatic Exchange of Financial Account Information 自動交換財務賬戶資料 ("AEOI")

Important Notes 重要提示:

- 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。
- 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分有所改變，應盡快將所有變更通知申報財務機構。

If space provided is insufficient, continue on additional sheet(s). Client's personal information including but not limited to the name, city and country of residence, date of birth, jurisdiction of residence and taxpayer identification number or its functional equivalent ("TIN") are required to be reported by the reporting financial institution to the Inland Revenue Department. 如這份表格上的空位不夠應用，可另紙填寫。客戶的個人資料包括但不限於：姓名、現居城市及國家、出生日期、居留司法管轄區及稅務編號或具有等同功能的識別編號(「稅務編號」)均為申報財務機構須向稅務局申報的資料。

DECLARATIONS 聲明

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。

Of all the account(s) to which this form relates, I certify that 本人證明，就與本表格所有相關的賬戶：

- I am the account holder 本人是賬戶持有人 **OR 或**
 I am authorized to sign for the account holder. 本人獲賬戶持有人授權簽署本表格。(Capacity 身分: _____)
(Please attach a certified copy of the power of attorney. 請附上授權書的核證副本。)

I undertake to advise Zundiao Securities Limited of any change in circumstances which affects the tax residency status of myself or causes the information contained herein to become incorrect, and to provide Zundiao Securities Limited with a suitably updated self-certification form within 30 days of such change in circumstances. 本人承諾，如情況有所改變，以致影響本人的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知尊迪奧證券，並會在情況發生改變後 30 日內，向尊迪奧證券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 are, to the best of my knowledge and belief, true, correct and complete.
本人聲明就本人所知所信，所填報的所有資料和聲明均屬真實、正確和完備。

WARNING 警告: 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). 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。

Part 9 第 9 部 FATCA Self-certification 海外賬戶稅收合規法案聲明書

FATCA Status: Are you a citizen (US passport holder) or resident (green card holder) of the United States?

海外賬戶稅收合規法案: 閣下是否為美國公民(持有美國護照)或美國居民(持有美國綠卡)?

No 否 Yes 是, please provide ITIN 請提供個人納稅識別號碼: _____

(Please refer to and COMPLETE Part 10 請參閱及完成第 10 部)

Part 10 第 10 部 FATCA Self-Certification (Individual) 海外賬戶稅收合規法案聲明書 (個人)

CERTIFICATION 聲明

I hereby consent for Zundiao 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. 本人同意尊迪奧證券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。

Part 11 第 11 部 Disclosure of Identity 身份披露

1. Are you an employee or a licensed or registered person under the Securities and Futures Ordinance or a registered institution under the Banking Ordinance? 你是否證券及期貨條例註冊持牌法團或銀行業條例之註冊機構之僱員、持牌代表或註冊人員?

No 否 Yes 是, Name of licensed corporation/registered institution 持牌法團/註冊機構名稱: _____

_____Your CE No. 你的中央編號: _____

(*Please attach a consent letter of account opening from the licensed corporation/registered institution. 請附上該持牌法團/註冊機構發出之開戶同意書)

2. Are you a relative of any director/employee/representative of Zundiao Securities Limited? 你是否尊迪奧證券任何董事/僱員/代表的親屬?

No 否 Yes 是, Name of director or employee or representative 董事/僱員/代表: _____

Relationship with him/her 雙方關係: _____

3. Are you a substantial shareholder* / director / senior management officer of any (listed) company whose shares are traded on any exchange or market? 你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* / 董事 / 高級管理人員?

No 否 Yes 是, Company Name 公司名稱: _____ Stock Code 上市編號: _____

* "substantial shareholders" 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. Do you and/or your spouse, partner, child, parent, spouse or partner of your child, or your close associate entrust and has ever entrusted with a prominent public function, which includes a head of state, head of government, judicial or military official, and an important political party official? 你或/及你之配偶、伴侶、子女、父母、子女的配偶或伴侶或與你關係密切的人，是否擔任及曾擔任重要公職，包括國家元首、政府首長、及重要政黨幹事?

No 否 Yes 是, Name of relevant person 相關人士名稱: _____

Position entrusted or has entrusted 擔任及曾擔任之公職: _____

Part 12 第 12 部 Anti-Money Laundering And Anti-Terrorist Financing Questionnaire 防止洗黑錢及防止恐怖份子籌資活動問卷

1. Are you a citizen of a place which 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, South Korea, Luxembourg, Malaysia, 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)

你是否財務行動特別組織的成員的公民? (財務行動特別組織成員包括：阿根廷、澳洲、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、南韓、盧森堡、馬來西亞、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)

Updated List for the Members of FATF 最新財務行動特別組織成員名單：<http://www.fatf-gafi.org/countries/#FATF>

Yes 是 No, please elaborate below 否，請於下方詳述：

2. Do you live in a place with established laws / regulations designed to prevent money laundering?

你是否居住在一個已有現行法律或條例立以制止洗黑錢的活動的地方?

Yes 是 No, please elaborate below 否，請於下方詳述：

3. Are you free from links with politically exposed persons? (Politically exposed person : individual who is or has been entrusted with prominent public function, e.g. head of state/government, senior politician, senior executive of government-owned corporation, important political party official, etc.)

你與政界人士並沒有聯繫? (政界人士：指目前或以往曾經擔任重要公職的人士，如國家或政府的首長、資深政客、政府屬下企業高級官員和重要政黨官員等)

Yes 是 No, please elaborate below 否，請於下方詳述：

4. Is the nature of your job not particularly susceptible to money laundering risk? (For example: not money changer or casino business that handles large amount of cash etc.)

你的工作性質並不是特別容易蒙受洗黑錢的風險? (舉例：不是會接觸大量現金往來的找換業或博彩業等)

Yes 是 No, please elaborate below 否，請於下方詳述：

5. Have you maintained a "no conviction record" for anti-money laundering or anti-terrorist financing legislation?

你是否就反洗黑錢條例或反恐怖份子籌資活動條例維持著“無罪紀錄”?

Yes 是 No, please elaborate below 否，請於下方詳述：

For client who works in a company with business involving the handling of third party assets (e.g. fund manager, stockbrokers), please answer the following questions.

如閣下工作的公司業務涉及處理第三者的資產 (如基金經理，股票經紀)，請回答以下的問題。

6. Has the company you work for (including foreign branches and subsidiaries, if any) established written policies and implemented internal procedures and controls to combat money laundering?

你工作的公司 (包括外國的分行及子公司) 是否已制訂書面政策，並執行內部程序和管理，以打擊洗黑錢的行動？

Yes 是 No, please elaborate below 否，請於下方詳述：

7. In the company you work for, are there documented procedures for reporting suspicious activities and transactions to the appropriate authorities?

你工作的公司就舉報可疑的活動和交易是否已確立程序向適當的監控組織報告？

Yes 是 No, please elaborate below 否，請於下方詳述：

8. In the company you work for, are there established policies and procedures to ensure that reasonable measures are taken to obtain information about the true identity of your customers, and are these records retained for a specified period of time?

你工作的公司是否已制訂政策與程序，確保已採用合理方法去取得客戶真正身份的資料，並將有關資料於指定時限內予以保留？

Yes 是 No, please elaborate below 否，請於下方詳述：

Client Signature 客戶簽署

Print Name

正楷姓名

Date (DD / MM / YYYY)

日期 (日 / 月 / 年)

Part 13 第 13 部 Acknowledgement and Declaration by Client 客戶確認及聲明

1. I, who sign this Account Opening Form, agree to open the above account(s) with Zundiao Securities Limited. 本人(簽署本開戶表格)同意於尊迪奧證券開立上述賬戶。

2. I am the ultimate and sole beneficial owner of the Account and is fully responsible for all instructions for the operation of the said Account. 本人是賬戶的最終及唯一實益擁有人，並完全負責為該賬戶運作所發出的一切指示。

3. I am not a bankrupt person and I am not aware of any legal proceedings which have been started against me for bankruptcy. 本人並非破產人士，而且據本人所知，並沒有任何針對本人的破產的法律程序正在進行。

4. I am not a citizen (US passport holder) or resident (green card holder) of the United States. 本人並非美國公民(持有美國護照)或美國居民(持有美國綠卡)。

5. I have read, and sought independent advice if needed, the following Agreements and Statements set out in the Terms and Conditions of the Client Account Agreement. 本人已細閱《客戶賬戶協議書》的條款及條件內下列的協議及聲明，並按需要(如有)徵求獨立意見。

Securities Cash Trading Agreement 證券現金交易協議書

AEOI Compliance 遵守 AEOI (自動交換財務帳戶資料)

Application for New Listing of Securities 新上市證券之申請

Risk Disclosure Statement 風險披露聲明

首次公開招股股票 - 暗盤下單條款(IN CHINESE ONLY)

Personal Information Collection Statement 收集個人資料聲明

Electronic Securities Trading Services Agreement 電子證券交易服務協議書

6. I confirm that the information in this Form is true, complete and correct, and I have read and fully understood all provisions in the Terms and Conditions of the Client Account Agreement, and accept and agree to be bound thereby. Zundiao Securities Limited reserves the right to cancel my application at any time if the information given in the application is found to be untrue. Zundiao Securities Limited are entitled to rely fully on such information for all purposes, unless Zundiao Securities Limited receives notice in writing of any changes. 本人確認本表格所填資料屬真實、完整及正確，並已閱讀和完全明白《客戶賬戶協議書》的條款及條件所載的條文，及接受並同意受該等文件的約束。本人明白若尊迪奧證券發現任何刻意隱瞞之事實，尊迪奧證券將保留取消此申請之權利。除非尊迪奧證券收到資料更改的書面通知，尊迪奧證券有權為任何目的信賴這些資料。

7. I understand that Zundiao Securities Limited will rely on the above information to assess whether I have acquired the knowledge of derivative products. 本人明白尊迪奧證券將會根據以上資料來評核本人是否對衍生產品有認識。

8. If I am categorized as "without knowledge of derivatives", I further acknowledge that I have carefully read the relevant risks associated with investing in derivative products of the Risk Disclosure Statement in the Client Account Agreement and fully understood the relevant risks herewith. Although I might not have relevant derivatives product(s) trading experience, I may still base on my own independent judgement to request for entering into transaction(s) of derivatives product(s) and would take all risks associated. 如本人被歸類為「對衍生產品沒有認識」，本人進一步確認已仔細閱讀在《客戶賬戶協議書》所載風險披露聲明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。儘管本人可能並沒有相關衍生產品交易經驗，本人可能基於獨立判斷仍要求進行衍生產品交易。本人願意承擔所有相關衍生產品風險。

9. I undertake to notify Zundiao Securities Limited within 30 days if any change of the above information. 如果上述資料有任何變更，本人確保會於 30 日內通知尊迪奧證券。

10. (For Cash Account 適用於現金賬戶) I confirm that the Risk Disclosure Statement, in or accompanying the Client Account Agreement have been provided in a language of my choice (English or Chinese) and that I have read and accepted the nature and contents thereof. I appreciate that they are not and cannot be taken as a comprehensive or exhaustive list of all possible risks. I confirm that I have been given the opportunity to ask questions and seek independent advice if I so wish. 本人確認載或附於《客戶賬戶協議書》之風險披露聲明已按本人選擇之語言(英文或中文)提供予本人，及本人已閱讀，瞭解和接受其(其等(若適用)性質和內容。本人明白這不是而且不能被當為一份完全或徹底列舉所有潛在風險的清單。此外，本人已被給予機會提出問題及徵求獨立的意見(若本人有此意願)。

11. I acknowledge this Form is part of the Client Account Agreement and I agree to read the most updated provision of the Client Account Agreement from the company web-site www.zundiao.hk and understand the most updated provision of the Client Account Agreement will be posted from time-to-time in the company web-site. 本人同意及確認此開戶表格為《客戶賬戶協議書》的一部份，並同意自行到本公司網站 <https://www.zundiao.hk> 瀏覽最更新之《客戶賬戶協議書》，並知悉本公司會適時於網站發佈最更新之《客戶賬戶協議書》。

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。

13. We understand and have full knowledge of the waterfall of the acceptable client identify documents under the Hong Kong Investor Identification Regime and Over-the-counter Securities Transaction Reporting Regime. 我(們)理解及充份掌握在香港投資者識別碼制度及場外證券交易匯報制度下可接受身份證明文件排序表。

14. We acknowledge and agree that ZUNDIAO may collect, store, process, use, disclose and transfer personal data relating to us (including your CID and BCAN(s)) as required for us to provide services to you in relation to securities listed or traded on the Stock Exchange of Hong Kong (SEHK) and for complying with the rules and requirements of SEHK and the Securities and Futures Commission (SFC) in effect from time to time. 我(們)明白並同意, 尊迪奧證券有限公司(以下簡稱「尊迪奧證券」)為了向我(們)提供與在香港聯合交易所(以下簡稱「香港聯交所」)上市或買賣的證券相關的服務, 以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會(證監會)的規則和規定, 尊迪奧證券可收集、儲存、處理、使用、披露及轉移與我(們)有關的個人資料(包括我(們)在內的客戶識別信息及券商客戶編碼)。

Failure to provide ZUNDIAO with the consent and/or updated CID Form (if any) as described in this letter may mean that ZUNDIAO will not, or will no longer be able to, as the case may be, carry out our trading instructions or provide me/us with Hong Kong Stock securities related services (other than to sell, transfer out or withdraw my/our existing holdings of securities, if any). 未能向尊迪奧證券提供上述客戶的個人資料或同意, 意味著尊迪奧證券將不會或不能視情況而定)執行我(們)的交易指令或向我(們)提供港股交易服務。

We have acknowledged, read and understood the contents of the Policy of ZUNDIAO on Personal Data Privacy provided by ZUNDIAO. By ticking the box below, We hereby provide our consent for ZUNDIAO to use our personal data on the terms of and for the purposes set out in the Policy of ZUNDIAO on Personal Data Privacy. We hereby state that the above information given is complete and accurate and that no false or misleading information or false statements have been given. 我(們)確認我(們)等已經閱讀並理解尊迪奧證券對於個人資料私隱的政策的内容。通過勾選下面的方框, 我(們)同意 尊迪奧證券根據尊迪奧證券對於個人資料私隱的政策中的條款和目的使用我(們)的個人資料。

We hereby provide our consent for ZUNDIAO to use our personal data for the purposes set out Policy of ZUNDIAO on Personal Data Privacy as part of Trading on the Stock Exchange of Hong Kong, to activate trading of Hong Kong Stock. 我(們)同意尊迪奧證券根據尊迪奧證券對於個人資料私隱的政策中的條款和目的使用我(們)的個人資料作 為於香港聯合交易所交易的一部分所載的目的, 以開通香港股票交易。

15. We understand and have full knowledge that in view of ZUNDIAO's provision of Stock Connect Stock Connect Northbound Trading Services to us, we acknowledge and agree that ZUNDIAO will be required to: 我(們)明白並同意, 尊迪奧證券有限公司(以下簡稱「尊迪奧證券」)在通過中華通北向交易服務過程中, 尊迪奧證券將被要求進行以下工作:

(i) tag each of our orders submitted to the China Stock Connect ("CSC") with Broker-to-Client Assigned Number ("BCAN") that is unique to us with ZUNDIAO, as appropriate; and對提交到中華通交易系統的每一個客戶委託, 增加一個獨一無二且專屬於客戶的券商客戶編碼(以下簡稱"BCAN")(適用於客戶持有單一帳戶)或分配給客戶的聯名帳戶的 BCAN 碼(適用於客戶持有聯名帳戶); 及
(ii) provide to the SEHK our assigned BCAN and such identification information ("Client Identification Data" or "CID") relating to us as the SEHK may request from time to time under the Rules of the Exchange. 向香港交易所(以下簡稱"交易所")提供已經編配給客戶的 BCAN 及相關客戶識別資訊(以下簡稱"客戶識別資訊"或"CID"), 交易所可根據交易所規則而不時提出要求。

Without limitation to any notification ZUNDIAO have given us or consent ZUNDIAO have obtained from us in respect of the processing of our personal data in connection with our account and ZUNDIAO's services to us, We acknowledge and agree that ZUNDIAO may collect, store, use, disclose and transfer personal data relating to us as required as part of ZUNDIAO's Stock Connect Northbound Trading Service, including as follows在處理與我(們)帳戶相關的個人資料以及向我(們)提供服務時, 在不限尊迪奧證券已經向我(們)作出的通知和已經取得的我(們)的同意情況下, 作為中華通北向交易服務的一部分, 我(們)知悉並同意尊迪奧證券可能會收集、存儲、使用、披露並傳輸您的個人資料, 包括:

(a) to disclose and transfer our BCAN and CID to the Exchange/SEHK and the relevant SEHK Subsidiaries from time to time, including by indicating our BCAN when inputting a China Connect Order into the CSC, which will be further routed to the relevant China Connect Market Operator on a real-time basis; 不時向交易所及其相關聯交所子公司披露及傳輸您的 BCAN 及 CID, 包括向中華通交易系統輸入委託指令時標明您的 BCAN, 並將進一步即時傳遞至相關中華通市場運營者;

(b) to allow each of the Exchange/SEHK and the relevant SEHK Subsidiaries to: (i) collect, use and store your BCAN, CID and any consolidated, validated and mapped BCANs and CID information provided by the relevant China Connect Clearing House (in the case of storage, by any of them or via HKEX) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange; (ii) transfer such information to the relevant China Connect Market Operator (directly or through the relevant China Connect Clearing House) from time to time for the purposes set out in (c) and (d) below; and (iii) disclose such information to the relevant regulators and law enforcement agencies in Hong Kong so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets 允許交易所及其相關聯交所子公司: (i)收集、使用以及存儲您的 BCAN、CID 以及由相關中華通結算機構為市場監測監控 目的和執行交易所規則而合併、驗證和配對的 BCAN 和 CID 資訊(資訊由中華通結算機構或交易所保存); (ii)為符合下文 (c)及(d)規定的目的, 不時將有關資料(直接或通過相關中華通結算機構)轉移給中華通市場運營者; (iii)向香港的相關監管機構和執法機構披露有關資料, 以促進其香港金融市場法定職能的履行;

(c) to allow the relevant China Connect Clearing House to: (i) collect, use and store your BCAN and CID to facilitate the consolidation and validation of BCANs and CID and the mapping of BCANs and CID with its investor identification database, and provide such consolidated, validated and mapped BCANs and CID information to the relevant China Connect Market Operator, the Exchange/SEHK and the relevant SEHK Subsidiary; (ii) use your BCAN and CID for the performance of its regulatory functions of securities account management; and (iii) disclose such information to the Mainland regulatory authorities and law enforcement agencies having jurisdiction over it so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets; and 允許相關中華通結算機構: (i)收集、使用以及存儲您的 BCAN 和 CID, 以促進 BCAN 和 CID 的整合和驗證, 以及 BCAN 和 CID 與投資者資料庫的配對, 並將相應整合、驗證和配對的 BCAN 和 CID 資訊提供給相關中華通市場運營者、交易所 及其相關聯交所子公司; (ii)使用您的 BCAN 和 CID 來履行其證券帳戶管理的監管職能; (iii)向有管轄權的內地監管機構及 執法機構披露有關資料, 以促進其內地金融市場的監管、監察及執法職能的履行

(d) to allow the relevant China Connect Market Operator to: (i) collect, use and store your BCAN and CID to facilitate their surveillance and monitoring of securities trading on the relevant China Connect Market through the use of the China Connect Service and enforcement of the rules of the relevant China Connect Market Operator; and (ii) disclose such information to the Mainland regulatory authorities and law enforcement agencies so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets. 允許相關中華通市場運營者: (i)收集、使用以及存儲您的 BCAN 和 CID, 通過使用中華通服務及執行相關中華通市場營運 商的規則, 以促進其中華通市場的證券交易的監測監控; (ii)向內地監管機構和執法機構披露有關資料, 以協助履行其對金 融市場的監管、監察及執法職能。

By instructing ZUNDIAO in respect of any transaction relating to China Connect Securities, We acknowledge and agree that ZUNDIAO may use our personal data for the purposes of complying with the requirements of the Exchange/SEHK and its rules as in force from time to time in connection with the Stock Connect Northbound Trading. We also acknowledge that despite any subsequent purported withdrawal of consent by us, our personal data may continue to be stored, used, disclosed, transferred and otherwise processed for the above purposes, whether before or after

such purported withdrawal of consent. Failure to provide ZUNDIAO with the consent and/or updated CID Form (if any) as described in this Declaration may mean that ZUNDIAO will not, or will no longer be able to, as the case may be, carry out our trading instructions or provide us with Stock Connect Northbound Trading Service (other than to sell, transfer out or withdraw my/our existing holdings of securities, if any). 通過向尊迪奧證券發出關於中華通證券交易的指示，我(們)知悉並同意，為符合與中華通北向交易相關而不時更新的交易所 要求和規則，尊迪奧證券可以使用我(們)的個人資料。我(們)亦知悉，儘管我(們)隨後聲稱撤回同意，但無論在我(們)聲稱撤銷同意之前或之後，我(們)的個人資料仍可繼續存儲、使用、披露、轉移以及其他處理以達到上述目的。
未能向尊迪奧證券提供上述客戶的個人資料或同意，意味著尊迪奧證券將不會或不能（視情況而定）執行我(們)的交易 指令或向我(們)提供中華通北向交易服務。

We have acknowledged, read and understood the contents of the Policy of ZUNDIAO on Personal Data Privacy provided by ZUNDIAO. By ticking the box below, We hereby provide our consent for ZUNDIAO to use our personal data on the terms of and for the purposes set out in the Policy of ZUNDIAO on Personal Data Privacy. We hereby state that the above information given is complete and accurate and that no false or misleading information or false statements have been given. 我(們)確認我(們)等已經閱讀並理解尊迪奧證券對於個人資料私隱的政策的内容。通過勾選下面的方框，我(們)同意 尊迪奧證券根據尊迪奧證券對於個人資料私隱的政策中的條款和目的使用我(們)的個人資料。

We hereby provide our consent for ZUNDIAO to use our personal data for the purposes set out in the Policy of ZUNDIAO on Personal Data Privacy as part of the Stock Connect Northbound Trading, and confirm We are not Chinese Citizen and holder of identity documents issued by Mainland China or Incorporated association/ Unincorporated association registered in Mainland China, to activate the trading of China Connect Stock. 我(們)同意尊迪奧證券根據尊迪奧證券對於個人資料私隱的政策中的條款和目的使用我(們)的個人資料作為中華通北向交易的一部分所載的目的，以開通中華通股票交易，並確認我(們)並非持有中國內地身份證文件的中國公民和在中國內地註冊的法人及非法人組織。

We understand that ZUNDIAO has the right to request for other additional documentary proof for purpose of account opening, and we agreed to reasonably satisfy ZUNDIAO's request for the purpose opening of the account. 我(們)明白尊迪奧證券擁有在開立帳戶時要求我(們)提交其它證明文件的權利，我(們)同意為帳戶的開立需要滿足尊迪奧證券合理的要求。

- I have read, accepted and agreed the above terms stated in the Declaration by Client. If any of the terms stated in the declaration is not applicable, I will complete and return the relevant form(s) to Zundiao Securities Limited. 本人已閱讀、接受及同意以上客戶聲明之條款。如任何一項聲明與本人資料不符，本人將填妥相關表格並交予尊迪奧證券。
- I do not agree with the provision, use and transfer of my personal data for direct marketing purposes. 本人不同意提供、使用及轉移本人之個人資料作直接促銷目的。

Client Signature 客戶簽署

Client Signature 客戶簽署

Print Name

正楷姓名 _____

Date (DD / MM / YYYY)

日期 (日 / 月 / 年) _____

Declaration Made by a Licensed Representative 持牌代表聲明

I, the undersigned, have provided the Client Account Agreement and Risk Disclosure Statements in a language of the Client's choice and have fully explained the contents of which to the Client. I have invited the Client to read the Risk Disclosure Statements (including any additional risk disclosure statements), ask questions and seek independent advice if the Client wishes. 本人為以下簽署者，已以客戶所選擇能夠明白的語言向客戶完全解釋上述《客戶賬戶協議書》及《風險披露聲明》(包括任何額外的風險披露聲明)的內容及已邀請客戶細閱及進行提問，如客戶有此意願，可就《客戶賬戶協議》及《風險披露聲明》徵求獨立意見。

Signature 簽署	Staff Name 職員姓名：	
	CE No. 中央編號：	
	Date 日期：	
	Channel 途徑：	<input type="checkbox"/> Witness 見證 <input type="checkbox"/> Phone 電話

Witness Information (If applicable) 見證人資料 (如適用)

Witness Signature 見證人簽署	Witness Name 見證人姓名：	
	Profession & Title 所屬專業及職銜：	
	CE No. 中央編號 (if any 如有)：	
	Date 日期：	

For Official Use Only 此欄由本公司職員填寫**Document Checklist:**

- I.D. Card / Passport Copy
- Residential Address Proof (Copy of bank statement or utility bill in the latest 3 months (P.O. Boxes are not accepted))
- Bank Card Copy (if any)
- Cheque (if any)
- Employer Consent (if any)

Cash Account

Brokerage:

Credit Limit: HKD

Name of AE:	<input type="checkbox"/> House <input type="checkbox"/>	Approved by	
Code of AE:			
Input By	Checked by		
Date:	Date:	Name:	Date: