

Suntek Financial Investment Company Limited ("Suntek") is licensed under Part V of the Securities and Futures Ordinance (Cap 571 of the law of Hong Kong) to carry on Type 1 (dealing in securities), Type 4 (advising on securities) and Type 9 (asset management) regulated activities, and is an Exchange Participant of The Stock Exchange of Hong Kong Limited.
 三泰富金融投資有限公司(「三泰富」)是根據香港法例第 571 章《證券及期貨條例》第 V 部獲發牌經營第一類受規管活動(即證券交易)、第四類受規管活動(即就證券提供意見)及第九類受規管活動(即提供資產管理),其中央編號為 BNG583,並為香港聯合交易所有限公司參與者。

For internal use only (只供內部填寫)

Date of Account Opening

開戶日期: _____

Account No.

帳戶帳號: _____

Account Opening Form (Individual/Joint Account) 開戶表格 (個人/聯名帳戶)

A. CASH ACCOUNT TYPE 現金帳戶類別

Client Type 客戶類別

Individual Account 個人帳戶

Joint Account 聯名帳戶

Do you require Electronic Trading Services? 閣下是否需要開通電子交易服務?

Yes 是

No 否

Do you require Asset Management Services? 閣下是否需要資產管理服務?

Yes 是

No 否

B. CLIENT INFORMATION 客戶資料

B1. Personal Information 個人資料

Account Holder (1) 帳戶持有人 (1)

Name: Mr 先生 Ms 女士
 姓名: _____

English 英文

Chinese 中文

ID Card/Passport No.

身份證/護照號碼: _____

Place of Issue

簽發國家: _____

Nationality

國籍: _____

Place of Birth

出生地點: _____

Date of Birth

出生日期: _____

Marital Status

Single 單身

Married 已婚

Spouse's/Partner's Name

配偶/伴侶姓名: _____

Current Residential Address

現居住地址: _____

Correspondence Address

通訊地址: _____

Home Tel No.

住宅電話號碼: _____

Mobile Tel No.

手提電話號碼: _____

E-mail Address

電郵地址: _____

Account Holder (2) 帳戶持有人 (2)

Name: Mr 先生 Ms 女士
 姓名: _____

English 英文

Chinese 中文

Relationship with Account Holder (1) 與帳戶持有人 (1) 的關係: _____

(Please specify 請註明): _____

ID Card/Passport No.

身份證/護照號碼: _____

Place of Issue

簽發國家: _____

Nationality

國籍: _____

Place of Birth

出生地點: _____

Date of Birth

出生日期: _____

Marital Status

Single 單身

Married 已婚

Spouse's/Partner's Name

配偶/伴侶姓名: _____

Current Residential Address

現居住地址: _____

Correspondence Address

通訊地址: _____

Home Tel No.

住宅電話號碼: _____

Mobile Tel No.

手提電話號碼: _____

E-mail Address

電郵地址: _____

B2. Employment Status 工作狀況

Self-Employed 自僱 Employed 受僱 Unemployed 待業 Retired 退休

Other (Please specify) 其他(請註明): _____

Name of Employer 公司名稱: _____

Office Address 公司地址: _____

Nature of Business 業務性質: _____

Position 職位: _____ Years of Service 服務年資: _____

Office Tel No. 公司電話號碼: _____

Office Fax No. 公司傳真號碼: _____

Self-Employed 自僱 Employed 受僱 Unemployed 待業 Retired 退休

Other (Please specify) 其他(請註明): _____

Name of Employer 公司名稱: _____

Office Address 公司地址: _____

Nature of Business 業務性質: _____

Position 職位: _____ Years of Service 服務年資: _____

Office Tel No. 公司電話號碼: _____

Office Fax No. 公司傳真號碼: _____

B3. Financial Profile 財務狀況

Annual Income (HK\$) 每年收入(港幣):

≤ \$200,000 \$200,001~\$500,000 \$500,001~\$1,000,000

\$1,000,001~\$3,000,000 >\$3,000,000

Total Net Worth (HK\$) 總資產淨值(港幣):

≤ \$500,000 \$500,001~\$1,000,000 \$1,000,001~\$5,000,000

\$5,000,001~\$8,000,000 >\$8,000,000 (Please specify) (請註明): _____

Ownership of Residence 住宅業權:

Without Mortgage 無按揭 With Mortgage 有按揭

Living with Family 與家人同住 Rented 租用

Source of Funds 資金來源:

Salary/Business Income 薪金/營業收入 Savings 儲蓄

Return on Investments 投資回報 Dividends/Interest 股息/利息

Other (Please specify) 其他(請註明): _____

Source of Wealth 財產來源:

Salary/Business Income 薪金/營業收入 Pension 退休金

Return on Investments 投資回報 Inheritance 遺產

Other (Please specify) 其他(請註明): _____

Annual Income (HK\$) 每年收入(港幣):

≤ \$200,000 \$200,001~\$500,000 \$500,001~\$1,000,000

\$1,000,001~\$3,000,000 >\$3,000,000

Total Net Worth (HK\$) 總資產淨值(港幣):

≤ \$500,000 \$500,001~\$1,000,000 \$1,000,001~\$5,000,000

\$5,000,001~\$8,000,000 >\$8,000,000 (Please specify) (請註明): _____

Ownership of Residence 住宅業權:

Without Mortgage 無按揭 With Mortgage 有按揭

Living with Family 與家人同住 Rented 租用

Source of Funds 資金來源:

Salary/Business Income 薪金/營業收入 Savings 儲蓄

Return on Investments 投資回報 Dividends/Interest 股息/利息

Other (Please specify) 其他(請註明): _____

Source of Wealth 財產來源:

Salary/Business Income 薪金/營業收入 Pension 退休金

Return on Investments 投資回報 Inheritance 遺產

Other (Please specify) 其他(請註明): _____

B4. Investment Experience and knowledge 投資經驗及知識

Investment Product(s) and Investment Experience 投資產品及投資經驗

	None 沒有	0-1	2-5	6-10	>10 Year 年
Shares 股票	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Derivative Warrants 衍生權證	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Futures Contracts 期指	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Options Contracts 期權	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mutual Funds 互惠基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Bonds 債券	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Knowledge of Derivative Products 衍生產品的知識

I underwent training or attended courses on derivatives products. 本人曾接受有關衍生產品的培訓或修讀相關課程。

I have current or previous work experience related to derivatives products. 本人現時或過去擁有與衍生產品有關的工作經驗。

I have executed 5 or more transactions within the past 3 years in derivative products (e.g. Derivative Warrants, Callable Bull/Bear Contracts, Exchange Traded Funds, Equity Linked Instruments). 本人過去 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、交易所買賣基金及股票掛鈎票據)。

I confirmed that I have carefully read and fully understood Clause 15 of Client Agreement relating to Derivative Products, including risks associated with Derivative Products. I further confirmed that Suntek's licensed representative has fully explained to me the nature and risks of Derivative Products. 本人確認, 本人已閱讀並完全明白關於衍生產品的客戶協議書第 15 條, 包括附帶於衍生產品的相關風險。本人再進一步確認三泰富的持牌代表已完全向本人解釋衍生產品的性質和風險。

Investment Product(s) and Investment Experience 投資產品及投資經驗

	None 沒有	0-1	2-5	6-10	>10 Year 年
Shares 股票	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Derivative Warrants 衍生權證	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Futures Contracts 期指	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Options Contracts 期權	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mutual Funds 互惠基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Bonds 債券	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Knowledge of Derivative Products 衍生產品的知識

I underwent training or attended courses on derivatives products. 本人曾接受有關衍生產品的培訓或修讀相關課程。

I have current or previous work experience related to derivatives products. 本人現時或過去擁有與衍生產品有關的工作經驗。

I have executed 5 or more transactions within the past 3 years in derivative products (e.g. Derivative Warrants, Callable Bull/Bear Contracts, Exchange Traded Funds, Equity Linked Instruments). 本人過去 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、交易所買賣基金及股票掛鈎票據)。

I confirmed that I have carefully read and fully understood Clause 15 of Client Agreement relating to Derivative Products, including risks associated with Derivative Products. I further confirmed that Suntek's licensed representative has fully explained to me the nature and risks of Derivative Products. 本人確認, 本人已閱讀並完全明白關於衍生產品的客戶協議書第 15 條, 包括附帶於衍生產品的相關風險。本人再進一步確認三泰富的持牌代表已完全向本人解釋衍生產品的性質和風險。

B5. Investment Profile 投資概況

Investment Objective 投資目的：

- Capital Preservation 資本保本 Dividend Income 股息收入 Capital Appreciation 資本增值 High Growth 高速增長 Speculation 投機
- Hedging 對沖

Target Investment Horizon 目標投資年期：

- Less than 1 Year 少於 1 年 1 Year to less than 3 Years 1 年至少於 3 年
- 3 Years to less than 5 Years 3 年至少於 5 年 5 Years or Above 5 年或以上

Anticipated Investment Amount Per Year (HK\$) 預計每年投資金額 (港元)：

- <\$300,000 \$300,000~\$1,000,000 \$1,000,001~\$5,000,000 ≥\$5,000,000

B6. Designated Bank Account (Withdrawal of Funds) 指定銀行帳戶 (提取款項)

(Bank Account Holder's name must be the same as the Client's Full Name 銀行帳戶持有人的名稱須與客戶全名完全相符)

The following bank account(s) is(are) hereby designated by me/us as the bank account for the purpose of withdrawal of funds. I/We hereby instruct and authorize Suntek to deposit any or all funds payable to me/us into the following bank account(s). I/We agreed that Suntek shall not be held liable for any loss, expenses or damages suffered by me/us as a result of any delay in depositing such payments caused by any reasons whatsoever.

本人/吾等謹此指定以下的銀行帳戶作為提取款項用途的銀行帳戶。本人/吾等謹此指示及授權三泰富將任何或所有應付予本人/吾等之款項存入以下銀行帳戶。本人/吾等同意三泰富一概不應對基於任何原因而延遲存入款項令本人/吾等蒙受的任何損失、費用或賠償承擔任何責任。

Currency 貨幣	Name of Bank 銀行名稱	Account Number 帳戶號碼	Country of Designated Bank 指定銀行所在國家	
HKD 港幣	_____	_____	<input type="checkbox"/> Hong Kong 香港	<input type="checkbox"/> China 中國
CNY 人民幣	_____	_____	<input type="checkbox"/> Hong Kong 香港	<input type="checkbox"/> China 中國
USD 美元	_____	_____	<input type="checkbox"/> Hong Kong 香港	<input type="checkbox"/> China 中國

B7. Method of Communication 通訊方法

(Please provide your most up-to-date e-mail address or postal address for receiving your notices, contract notes, statements of accounts and receipts promptly.
請提供閣下/吾等的最新的電郵地址或郵寄地址，以時收取通告、成交單據、戶口結單及收據。)

Notices, contract notes, statements of accounts and receipts will be sent to me/us by one of the following means:

通告、成交單據、戶口結單及收據將以下列其中一項方式發送至本人/吾等：

- By E-mail to the E-mail address as mentioned in Part B1
電郵至 B1 部分的電郵地址
- By Mail* Residential Address Correspondence Address
郵遞 居住地址 通訊地址
- English Traditional Chinese Simplified Chinese
英文 繁體中文 簡體中文

For Joint Account, notice, contract notes, statements of accounts and receipts will be sent to Account Holder (1).

就聯名帳戶，通告、成交單據、戶口結單及收據將寄往至帳戶持有人(1)。

* If choosing for mailing services, postage service fee shall be charged for HK\$200 each month.
如選用郵遞形式，將收取郵遞服務費每月 HK\$200。

C. CLIENT DECLARATION 客戶聲明

C1 Do you have any relationship with any of the Director(s) or Employee(s) of Suntek or its affiliates?
閣下是否與三泰富或其附屬公司之任何董事或僱員有任何關係？

No Yes Please specify:
否 是 請註明：

Name of Director(s) or Employee(s) 董事或僱員姓名 Relationship 關係

C2 Are you a Director or an Employee of any Licensed/Registered Person of the Securities and Futures Commission (“SFC”)?
閣下是證券及期貨事務監察委員會「證監會」持牌人/註冊人或交易所參與者之董事或僱員？

No Yes Please specify (Please provide the Employer's consent letter):
否 是 請註明(請提供僱主之書面同意書)：

Name of Licensed/Registered Person of the SFC 證監會持牌人/註冊人之董事或僱員姓名

C3 Are you a Director, Chief Executive or Substantial Shareholder of any Listed Company?
閣下是任何上市公司的董事、行政總裁或主要股東？

No Yes Please specify:
否 是 請註明：

Listed Company 上市公司 Position 職位

C4 Are you, your spouse, partner, children, parents, spouse or partner of your children, or close associate a “Politically Exposed Person” (“PEP”) (i.e. an individual who is or has been entrusted with a prominent public function in any place and/or by any international organization, including but not limited to a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and/or an important political party official) ?
閣下、閣下之配偶、伴侶、子女、父母、子女之配偶或伴侶、與閣下關係密切的人士是否「政治人物」(即該人士在任何地方及/或國際組織擔任或曾擔任重要公職，包括但不限於國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事)？

No Yes Please specify:
否 是 請註明：

Name of PEP 政治人物姓名 Place and Public Function entrusted with 地方及所擔任的公職 Relationship with You 與閣下的關係

C5 Are you the Person(s) ultimately responsible for originating instructions for the Account ?
閣下是否帳戶之最終負責發出指示人？

Yes No Please specify:
是 否 請註明：

Name of the Person(s) ultimately responsible for originating instructions for the Account

最終負責發出交易指示人士之姓名：_____

ID Card/Passport No.

身份證/護照號碼：_____

Address

地址：_____

Relationship with the Client and reasons

與客戶的關係及原因：_____

Issuing Country

簽發國家：_____

Telephone No.

電話號碼：_____

C6 Are you the Ultimate Beneficial Owner of the Account ?
閣下是否帳戶之最終受益擁有者？

Yes No Please specify:
是 否 請註明：

Name of the Person(s) ultimately responsible for originating instructions for the Account

最終受益擁有者之姓名：_____

ID Card/Passport No.

身份證/護照號碼：_____

Address

地址：_____

Relationship with the Client and reasons

與客戶的關係及原因：_____

Issuing Country

簽發國家：_____

Telephone No.

電話號碼：_____

D. SELF-CERTIFICATION OF U.S. CITIZEN/RESIDENT 美國公民/居民自我聲明

Please confirm your U.S. tax status under the provisions of the U.S. Foreign Account Tax Compliance Act “FATCA”.
根據美國《外國帳戶稅收合規法案》「FATCA」的條文，請確認閣下的美國稅務狀況。

Account Holder (1) 帳戶持有人(1)

Account Holder (2) 帳戶持有人(2)

D1 Are you a U.S. Citizen (e.g. holding a U.S. passport)? Yes 是 No 否 Yes 是 No 否
閣下是否美國公民 (如持有美國護照)?

D2 Are you a U.S. Resident (e.g. holding a U.S. green card)? Yes 是 No 否 Yes 是 No 否
閣下是否美國居民 (如持有美國綠卡)?

If you are a U.S. Citizen/U.S. Resident, please provide your Tax Identification Number (“TIN”)
若閣下是美國公民/美國居民，請提供閣下的聯邦納稅人識別號碼 (“納稅人號碼”)

E. SELF-CERTIFICATION OF COMMON REPORTING STANDARD 共同匯報標準自我證明

The requirements based on the Common Reporting Standard (“CRS”) implemented by the Organisation for Economic Cooperation and Development (“OECD”), Suntek is required to collect and report certain information about an Account holder’s tax residence. The OECD has provided information on the tax residency rules and you may access the information via: <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/#d.en.347760>. If there are doubts about tax residence, you may consider to seek professional advice from an independent tax advisor and Suntek does not provide you with any tax advice.
基於經濟合作與發展組織 (「OECD」) 制定共同匯報標準 (「CRS」) 的規定，三泰富需要向客戶持有人收集及匯報其稅務居民身份。OECD已提供了有關稅務居民身分規則，閣下可以通過 <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/#d.en.347760> 查閱更多資訊。如果閣下不清楚其稅務居民身分，閣下可考慮向獨立稅務顧問尋求專業意見，三泰富並不能夠向閣下提供任何稅務意見。

Please complete the following table indicating (i) the jurisdiction of residence (including Hong Kong) where you are a resident for tax purposes and (ii) your Taxpayer Identification Number or Functional Equivalent “TIN” for each jurisdiction indicated. Indicate **ALL (not restricted to five)** jurisdictions of residence.
請確認閣下的稅務居民身份狀況。請提供以下資料，列明 (i) 閣下的居留司法管轄區，亦即閣下的稅務管轄區 (香港包括在內) 及 (ii) 該居留司法管轄區發給閣下的稅務編號或具有等同功能的識別編號「稅務編號」。列出**所有 (不限於5個)** 居留司法管轄區。

If you are a tax resident of Hong Kong/China, the TIN is your HK ID Card No./Chinese Resident ID Card No.
若閣下是香港/中國稅務居民，稅務編號是其香港身份證號碼/中國居民身份證號碼。

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

- Reason A – The jurisdiction where you are a resident for tax purposes does not issue TINs to its residents.
 - Reason B – You are unable to obtain a TIN. Please explain why you are unable to obtain a TIN if you have selected this reason.
 - Reason 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.
- 理由 A - 閣下的居留司法管轄區並沒有向其居民發出稅務編號。
理由 B - 閣下不能取得稅務編號。如選取這一理由，請解釋閣下不能取得稅務編號的原因。
理由 C - 閣下毋須提供稅務編號。居留司法管轄區的主管機關不需要閣下披露稅務編號。

Account Holder (1) 帳戶持有人(1)	Jurisdiction of Residence (Country) 居留司法管轄區 (國家)	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，請填寫理由 A、B 或 C	Explain why you are unable to obtain a TIN 如選取理由 B，請解釋閣下不能取得稅務編號的原因
	(1)			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C
(2)			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
(3)			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
(4)			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
(5)			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	

Account Holder (2) 帳戶持有人(2)	Jurisdiction of Residence (Country) 居留司法管轄區 (國家)	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，請填寫理由 A、B 或 C	Explain why you are unable to obtain a TIN 如選取理由 B，請解釋閣下不能取得稅務編號的原因
	(1)			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C
(2)			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
(3)			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
(4)			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
(5)			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	

F. USE OF PERSONAL DATA IN DIRECT MARKETING 使用個人資料作直接促銷

Suntek intends to use your personal data (including, without limit, your name, residential address, correspondence address, e-mail address, telephone number, financial background as well as demographic and statistical data) for direct marketing purposes, or transfer such personal data to any member of Suntek's group of company and/or Suntek's affiliates for direct marketing purposes. Direct marketing will include, without limit, regular sending to you e-mail alerts, announcements, updates, festive greetings and/or invitations to events. The purpose of these communications is to keep you up to date with financial and investment information and other areas of interest, and to market to you our investment products and services. Suntek keeps your personal data confidential. Suntek hopes that you want to receive these types of communications from us as we believe you will find them useful and informative.

三泰富有意使用閣下的個人資料(包括,但不限於閣下姓名、居住地址、通訊地址、電郵地址、電話號碼、財務背景及人口和統計數據)作直接促銷目的,或將該等個人資料轉移至三泰富公司集團的任何成員及/或三泰富的子公司以進行直接促銷。直接促銷將包括,但不限於不時向閣下發送電郵提示、公告、更新、節日祝福及/或活動邀請。這些通訊的目的是讓閣下及時了解財務和投資信息及其他相關領域的資訊,並向閣下推銷我們的投資產品及服務。三泰富對閣下的個人資料將會保密。三泰富期望閣下收取此類型的通訊,因三泰富相信閣下發現它們實用及豐富。

I/We explicitly **AGREE** to the proposed use or transfer of my/our personal data by Suntek, any member of Suntek's group of company and/or Suntek's affiliates for all kinds of direct marketing purpose.
本人/吾等明確**同意**三泰富、三泰富公司集團的任何成員及/或三泰富的子公司使用或轉移本人/吾等的個人資料,作各種直接促銷用途。

G. STANDING AUTHORITY – CLIENT MONEY 常設授權 - 客戶款項

I/We hereby acknowledge and undertake as follows:
本人/吾等謹此確認及承諾如下:

This Standing Authority covers money held or received by Suntek in Hong Kong (including any interest derived from the holding of the money which does not belong to Suntek) in one or more segregated account(s) on my/our behalf ("Monies").

本常設授權是涵蓋三泰富為本人/吾等在香港收取或持有並存放於一個或多個獨立帳戶內之款項(包括因持有並非屬於三泰富之款項而產生之任何利息)(下稱「款項」)。

Unless otherwise defined, all the terms used in this Standing Authority shall have the same meanings as in the Securities and Futures Ordinance and the Securities and Futures (Client Money) Rules as amended from time to time. Segregated account(s) include any account(s) designated as client account(s) established and maintained in or outside Hong Kong.

除非另有說明,本常設授權之名詞與《證券及期貨條例》及《證券及期貨(客戶款項)規則》不時修訂的定義具有相同意思。獨立帳戶包括在香港或香港以外地方設立及維持並標明為客戶帳戶的任何帳戶。

This Standing Authority authorizes Suntek to:
本常設授權授權三泰富:

- Combine or consolidate any or all segregated accounts, of any nature whatsoever and either individually or jointly with others, maintained by Suntek from time to time, and Suntek may transfer any sum of Monies to and between such segregated account(s) to satisfy my/our obligations or liabilities to Suntek, whether such obligations and liabilities are actual or contingent, primary or collateral, secured or unsecured, joint or several;
組合或合併三泰富所維持的任何性質的任何或全部獨立帳戶,此等組合或合併活動可以個別地或與其他帳戶聯合進行,三泰富可將該等獨立帳戶內任何數額之款項作出轉移,以解除本人/吾等對三泰富的義務或法律責任,不論此等義務和法律責任是確實或或然的、原有或附帶的、有抵押或無抵押的、共同或分別的;
- Set-off or transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by Suntek towards satisfaction of any of my/our liabilities to Suntek;
三泰富可將款項的任何款額任何時間維持的獨立帳戶之間轉入轉出以結清本人/吾等對三泰富負有的債務;
- Transfer any sum of Monies to the client account(s) of any clearing firm(s) or financial institution(s) in Hong Kong or overseas for the purpose of dealing in securities or meeting the settlement or any/our financial obligations in my/our dealing in Hong Kong or overseas through that clearing firm(s) or financial institution(s); and
轉帳任何數額之款項至任何香港或海外清算行或金融機構的客戶帳戶,以應付證券交易、交收或本人/吾等經清算行或金融機構所要履行的財務責任;及
- Exchange my/our Monies into any other currency(ies) at the rate of exchange conclusively determined by Suntek.
可將帳戶內的款項以三泰富最終確定的匯率兌換成任何其他貨幣。

Suntek may do any of the above without giving me/us any notice.
三泰富可不向本人/吾等發出任何通知,而採取上述任何一種行動。

This Standing Authority is given to Suntek in consideration of your agreement in opening and continuous maintaining Securities Cash Trading Account for me/us.
本常設授權書乃鑑於三泰富同意開立及繼續維持本人/吾等的證券現金交易帳戶。

This Standing Authority is given without prejudice to other authorities or rights which Suntek may have in relation to dealing in Monies in the segregated accounts.
本人/吾等明白本人/吾等的證券可能受制於第三者之權利,三泰富可於全數抵償該等權利後,方將本人/吾等的證券退回給本人/吾等。

This Standing Authority is valid for a period of up to 12 months from the date hereof.
本常設授權以本函簽發日期起計十二個月內有效。

I/We understand that a notice of renewal of this Standing Authority shall be sent to me/us at least 14 days prior to its expiry. If Suntek does not receive your letter of objection to the renewal of Standing Authority prior to its expiry, I/we shall be deemed to have agreed to renew the Standing Authority for a period of 12 months upon the same terms and conditions as specified in the Standing Authority.

本人/吾等明白常設授權續期通知書將於常設授權屆滿前最少十四天寄予本人/吾等。如三泰富於常設授權有效期屆滿前未有接獲本人/吾等書面反對,則本人/吾等之常設授權會在屆滿時按照常設授權的相同條款及條件視作為同意續期十二個月。

This Standing Authority may be revoked at any time by giving not less than 30 days prior written notice to Suntek.
本人/吾等有權隨時撤銷本常設授權,須給予三泰富不少於三十天書面通知。

H. ACKNOWLEDGEMENT, UNDERTAKING AND SIGNATURE BY THE CLIENT 客戶確認、承諾及簽署

I/We hereby acknowledge and undertake as follows:
本人/吾等謹此確認及承諾如下：

- The information provided in this Account Opening Form is true, complete and accurate, and I/we have not willfully withheld any material fact(s). I/We authorize Suntek to confirm and verify the information from any source that Suntek considers appropriate, including performing any credit checks on me/us. Suntek is entitled to rely fully on such information and representations for all purposes, unless Suntek receives notice in writing of any change. I/We confirm and undertake that I/we will notify Suntek in writing of any changes within 14 days.
本開戶表格中所提供的資料均屬真實、完整及準確無訛，及本人/吾等並未刻意隱瞞任何重要事實。本人/吾等授權三泰富可向任何三泰富認為適當的資料來源確定和查證，包括進行任何對於本人/吾等的信貸查證。除非三泰富收到任何資料改變的收書面通知，三泰富可完全依據這些資料及陳述，作任何用途。本人/吾等確認及承諾，如所提供之資料有任何更改，均會於十四天內以面通知三泰富。
- I/We have received, read, understood and agreed the terms and conditions of the Client Agreement (including Personal Information Collection Statement) (“the Agreement”) which is applicable to me/us. I/We apply to open the above Account and agree to be bound by the terms and conditions of Agreement. Suntek has the absolute right to change, amend, delete or substitute any terms and conditions of the Agreement from time to time by giving to me/us notice of such change, amendment, deletion or substitution. Such changes, amendment, deletion or substitution shall be deemed effective and incorporated therein (and shall form part of the Agreement) on the date of publication or issue of such notice. Unless Suntek has received my/our request to close the Account(s), if I/we continue to use the Account(s), I/we shall be deemed to have accepted such change, amendment, deletion or substitution.
本人/吾等已收取、閱讀、明白及同意客戶協議書(包括個人資料收集聲明)的條款及細則(「協議書」)。本人/吾等申請開立上述帳戶，並同意及接納受協議書的條款及細則約束。三泰富有絕對酌情權不時修訂、更改、刪減或取代協議書的條款及細則，並向本人/吾等發出通知。該修訂、更改、刪減或取代的條款及細則將於相關通知刊載之日起生效，並被視為納入本協議書內。除非三泰富收到本人/吾等取消帳戶通知，否則表示本人/吾等接納該更改條款及細則。
- I/We confirm that Risk Disclosure Statements in the Agreement have been provided to me/us in the language of my/our choice (English and Chinese). I/we have been invited to read such Risk Disclosure Statements, to ask questions relating thereto and to seek independent advice if I/we wish before signing this Account Opening Form. I/We further understand that the Risk Disclosure Statements do not purport to disclose or explain all the risks and other important aspects of trading in financial products concerned, and I/We have been advised not to engage in trading in financial products unless I/we understand the nature and risk of such financial products. I/We should carefully consider whether trading in relevant financial products are appropriate for me/us in light of my/our investment objectives, experience, risk appetite and financial resources, and I/we are advised to seek independent and professional advice.
本人/吾等確認已按照本人/吾等所選擇語言(英文或中文)獲提供協議書的風險披露聲明，且已獲邀在簽署本開戶表格前，閱讀該風險披露聲明、提出問題及徵求獨立的意見(如本人/吾等有此意願)。本人/吾等進一步明白該風險披露聲明並未能披露或解釋涉及金融產品交易的所有風險或其他重要事項，除非本人/吾等明白所進行金融產品交易之性質及其風險程度，本人/吾等已被建議不應進行該金融產品的交易。本人/吾等應根據其投資目標、經驗、風險承受能力、財政資源小心考慮進行相關金融產品之交易是否適合本人/吾等，且本人/吾等如有疑問應尋求獨立及專業的意見。
- I/We acknowledge and confirm that I/we have carefully read and fully understood the Risk Disclosure Statements concerning Derivative Products, especially nature and risks of Derivative Products. I/we further confirm and declare that the licensed representative of Suntek has fully explained Clause 15 of the Agreement (i.e. Risk Disclosure Statement) to me/us in the plain languages of my/our choice. If I/we decide to trade Derivative Products, I/we shall understand the nature and risks of Derivative Products and have sufficient net worth to be able to assume the risks and bear the potential losses of trading in Derivative Products. Suntek does not solicit or provides recommendations to a client on trading in Derivative Products if he does not have any knowledge or experience in trading in Derivative Products
本人/吾等承認並確認，本人/吾等已細閱及完全明白風險披露聲明書，特別是衍生產品的性質及風險。本人/吾等進一步確認三泰富的持牌代表已按照本人/吾等所選擇的淺白語言向本人/吾等詳細解釋協議書的第 15 條 (即風險披露聲明書)。假如本人/吾等打算買賣衍生產品，本人/吾等應明白衍生產品的性質及風險，並有足夠的淨資產來承擔因買賣衍生產品而可能招致的風險和損失。假如客戶並沒有衍生工具產品的任何知識或經驗，三泰富不會向客戶就衍生產品作出建議或招攬行為。
- I/We confirm that funds, cheques issued from my/our bank account(s) and/or securities is/are solely held by myself/ourselves. Suntek shall have the absolute discretion on whether to accept or not accept the deposit of such funds, cheques and/or securities and Suntek shall not be liable for any penalty, debt, damages, costs, loss or expenses suffered and/or incurred.
本人/吾等確認本人/吾等對存入的款項、從本人/吾等銀行帳戶發出的支票及/或證券擁有其擁有權。三泰富有絕對酌情權決定是否接納該等本人/吾等存入的款項、支票及/或證券，並毋須承擔任何蒙受及/或招致的罰款、債項、損害、賠償、費用、損失及開支。
- According to the provision of FATCA, I/we give consent to Suntek to report my/our personal information to the U.S. Internal Revenue Service or other relevant tax authorities in order to comply with the provisions of FATCA. I/We understand and acknowledge that Suntek may suffer loss or incur penalty and/or damage if the information provided in “Self-Certification of U.S. Citizen/Resident” (i.e. Part D of the Account Opening Form is or proves to be incorrect, false or misleading. I/We agree to indemnify Suntek on demand for such loss, penalty and/or damage. I/We further agree that I/we will notify Suntek in writing within 14 days of any of change of my/our U.S. tax status.
根據 FATCA 的條文，本人/吾等同意三泰富將本人/吾等的個人資料匯報予美國國家稅務局或其他有關稅務當局，以遵從 FATCA 的條文。本人/吾等知道及確認，倘若所載於美國公民/居民自我聲明之資料(即開戶表格中的 D 部份)是或被證明是不正確、虛假或具誤導性，三泰富可能因此蒙受損失或招致刑罰及/或損害。本人/吾等就所有該等損失、刑罰及/或損害對三泰富作出補償。本人/吾等同意，倘若本人/吾等的美國稅務狀況有任何改變，本人/吾等於十四天內以書面方式通告三泰富。
- According to the provision of CRS, “Tax Residents of Reportable Jurisdictions” refer to those who are liable to tax by reason of residence in the jurisdictions. In general, whether or not an individual is a tax resident of a jurisdiction is determined by having regard to the person’s physical presence or stay in a place (e.g. whether over 183 days within a tax year). Suntek will request a self-certification and/or other relevant documentation in order to establish my/our tax residence for automatic exchange of account information purposes. If there is any change in circumstances that would affect my/our tax residence or there is reason for Suntek to know that the self-certification is incorrect or unreliable, Suntek reserves the right to request and I/we have the obligation to provide a new self-certification and/or additional documentation. As an account holder(s) of Suntek, I/we shall be deemed to acknowledge that further information may need to be provided to Suntek. Suntek’s compliance with the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112) and/or guidance may result in gathering, storing, using, and processing my/our information. My/Our information may also be disclosed to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region, which is further exchanged with tax authorities of another jurisdiction or jurisdictions in which I/we may be resident for tax purposes. Where I/we fail to provide any requested information (regardless of the consequences), Suntek reserves the right to take any action and/or pursue all remedies at its disposal including, without limitation to restrict or terminate the operation of the Account.
I/We also agree to inform Suntek in writing within 14 days upon any changes in the information provided in the Self-Certification of Common Reporting Standard (i.e. Part E of the Account Opening Form). I/We understood and acknowledged that Suntek may suffer loss or incur penalty and/or damage if such information provided is or proves to be incorrect, false or misleading when made. I/We agreed to indemnify Suntek on demand for such loss, penalty and/or damage.

H. ACKNOWLEDGEMENT, UNDERTAKING AND SIGNATURE BY THE CLIENT 客戶確認、承諾及簽署

根據 CRS 的條文，「申報稅務管轄區的稅務居民」是指該些在相關稅務管轄區因其居民身分而有繳稅責任的人。一般而言，要斷定某人是否屬一個稅務管轄區的稅務居民，會根據該人身處之地或逗留於該地的時間（例如一個課稅年度超過 183 天）。三泰富要求本人/吾等提供自我證明或其他文件以揭示本人/吾等納稅所在地，以作自動交換帳戶資料用途。如本人/吾等因任何情況而影響本人/吾等的納稅所在地，或令三泰富有理由相信本人/吾等之自我證明有不正確或不可靠時，三泰富保留權利可要求本人/吾等遞交新的自我證明及/或額外文件。作為三泰富的帳戶持有人，本人/吾等承諾及同意向三泰富提供進一步的資料。三泰富為遵守香港《稅務條例》（第 112 章）有關交換財務帳戶資料的法律條文及/或指引，可能導致收集、儲存、使用及處理本人/吾等的資料。本人/吾等的資料亦可向香港特別行政區政府稅務局披露，從而把資料轉交到本人/吾等的居留司法管轄區的稅務當局。如果本人/吾等未能提供任何所要求的資料，三泰富保留採取任何補救措施的權利，包括(但不限於)限制及終止帳戶的運作。

本人/吾等同意，若本人/吾等所載於共同匯報標準自我證明的資料（即帳戶開戶表格 E 部份）有任何變更，會於十四天內以書面通知三泰富。本人/吾等知道及確認，倘若該等資料是或被證明是不正確、虛假或具誤導性，三泰富可能因此蒙受損失或招致刑罰及/或損害。本人/吾等就所有該等損失、刑罰及/或損害對三泰富作出彌償。

- I/We agree that Suntek may contact me/us via telephone or e-mail from time to time, for the purpose of improving client communication and delivering better quality customer service.
本人/吾等同意三泰富可以不時以電話或電郵聯絡本人/吾等，以改善客戶溝通及提供更優質客戶服務為目的。
- I/We understand and agree that Suntek may suspend the Account and request me/us to provide more information in case if there are any abnormal or suspicious activities in the Account.
本人/吾等明白及同意，若帳戶有任何不正常或可疑活動，三泰富可以凍結帳戶並要求本人/吾等提供更多資料。
- I/We understand that the Account is subject to the final acceptance of Suntek as the case may be.
本人/吾等明白三泰富(視情況而定)有最終接納開戶與否之權利。
- In the event of any difference in interpretation or meaning between the Chinese and English version, I/We agree that the English version shall prevail.
倘若中文版本與英文版本在解釋或意義方面有任何歧義，本人/吾等同意應以英文版本為準。

ACKNOWLEDGED by the Client

客戶確認：

Account Holder (1) 帳戶持有人(1)

Account Holder (2) 帳戶持有人(2)

Client Signature

客戶簽署：

Client Name

客戶姓名：

Date

日期：

Client Signature

客戶簽署：

Client Name

客戶姓名：

Date

日期：

FOR JOINT ACCOUNT ONLY 只適用於聯名帳戶

Account is to be traded, operated and signed explicitly by 帳戶在進行買賣、操作和簽署安排方式由:

Account Holder (1) 帳戶持有人(1)

Account Holder (2) 帳戶持有人(2)

Others 其他：_____

I. CERTIFICATION (to be completed by Suntek's Licensed Representative or Professional) **驗證** (由三泰富持牌代表或專業人士填寫)

I hereby certify that on the date written in Section H of this Account Opening Form that the signing of the Account Opening Form and sighting of related original identity documents of the Client(s) by the Client(s) named in this Account Opening Form is(are) executed and certified in my presence.

本人謹此驗證，在開戶表格中的 H 部份所寫的日期當日，本開戶表格所指明的客戶的開戶表格的簽立及有關正本身證明文件的見證在本人面前執行及驗證。

Witness Name*
見證人姓名Witness Signature
見證人簽署Date
日期

Capacity of the Witness 見證人身份：

- Licensed Representative of Suntek 三泰富持牌代表
CE No. 中央編號： _____
- Staff member of Suntek 三泰富職員。
- Justice of the Peace 太平紳士。
- Professional Person (Please provide name card) 專業人士 (請提供名片)。
Profession/Title with Membership No. 所屬專業/職銜及會員編號： _____

* If this Account Opening Form is not executed in the presence of a licensed representative of Suntek, the signing of this Account Opening Form by the Client(s) and sighting of related original identity documents of the Client(s) should be certified in the presence of any licensed representative or an affiliate of another licensed or registered person, a Justice of the Peace, a Professional Person (such as a Branch Manager of a Licensed Bank, a Certified Public Accountant, a Lawyer or a Notary Public). Alternatively, the identity of the Client(s) can be properly verified as follows: Client(s) gives Suntek a crossed cheque bearing the Client's name as shown in his Government issued photographic identity document and drawn on his bank account being a licensed bank in Hong Kong with his same signature(s) as shown on this Account Opening Form in favour of "Suntek Financial Investment Company Limited" for not less than HK\$10,000. The new account will not be activated until the cheque is cleared.

如本開戶表格並非在三泰富持牌代表前簽立，則客戶的本開戶表格的簽立，及有關正本身證明文件的見證，應由其他持牌人/註冊人的持牌代表或聯繫人士、太平紳士或專業人士 (例如銀行分行經理、執業會計師、律師或公證人) 的面前執行及驗證。此外，客戶的身份亦可以適當地核實：客戶提交三泰富在香港的持牌銀行開立的帳戶並由客戶所簽發 (該簽名須與此開戶表格上的客戶簽名相符) 並載有客戶在其由政府發出含照相的身份證明文件上所顯示的姓名的一張劃線支票，而該支票抬頭人須為「三泰富證券有限公司」及其數額不得少於港幣 10,000。新帳戶必須待清算支票後才可使用。

J. DECLARATION BY LICENSED REPRESENTATIVE OF SUNTEK 三泰富持牌代表聲明

I, (Name of Licensed Representative of Suntek) _____ (CE No.) _____ hereby declare that I have
本人，(三泰富持牌代表的姓名) _____ (中央編號) _____，謹此聲明，本人：

- Provided the Risk Disclosure Statements in the language of the Client's choice (English or Chinese);
已按照客戶所選擇的語言 (英文或中文) 提供風險披露聲明書；
- Invited the Client to read such Risk Disclosure Statements, to ask questions and take independent advice if the Client wishes; and
邀請客戶閱讀該風險披露聲明書、提出有關問題及徵詢獨立意見 (如客戶有此意願)；及
- Fully explained the contents of Risk Disclosure Statements to the Client in a language which the Client understands.
已按照客戶所理解的語言，向客戶完全解釋風險披露聲明的內容。

Suntek Licensed Representative Signature
三泰富持牌代表的簽署Date
日期

Risk disclosed by 風險披露途徑：

- Face-to-Face 面對面 Others 其他： _____

Account Information		
Trading Limit (HKD)	Credit Limit (HKD)	Annual Overdue Interest Rate (%)
HKD Brokerage (%)	HKD Min. Commission	HKD Commission Rebate (%)
USD Brokerage (%)	USD Min. Commission	USD Commission Rebate (%)
RMB Brokerage (%)	RMB Min. Commission	RMB Commission Rebate (%)

Remark

CHECKLIST (please put a “√” or put a “N/A” on the box)

- | | |
|---|--|
| <input type="checkbox"/> W-8-BEN Form | <input type="checkbox"/> Verification of Client Identity by Client Cheque |
| <input type="checkbox"/> Client Risk Profile Questionnaire (Individual Account) | <input type="checkbox"/> Client cheque is issued by a licensed bank in Hong Kong |
| <input type="checkbox"/> Identity Card/Passport of Account Holder (1) and Account Holder (2) | <input type="checkbox"/> In favor of “Suntek Financial Investment Company Limited” |
| <input type="checkbox"/> Address Proof issued within the last 3 months of Account Holder (1) and Account Holder (2) | <input type="checkbox"/> Not less than HK\$10,000 |
| <input type="checkbox"/> Identity Card/Passport of Person(s) ultimately responsible for originating instructions for the Account | <input type="checkbox"/> Name printed on the client cheque is the same as the client’s full name |
| <input type="checkbox"/> Address Proof issued within the last 3 months of Person(s) ultimately responsible for originating instructions for the Account | <input type="checkbox"/> Signature shown on the client cheque is the same as signature on the account opening form |
| <input type="checkbox"/> Identity Card/Passport of the Ultimate Beneficial Owner of the Account | |
| <input type="checkbox"/> Address Proof issued within the last 3 months of the Ultimate Beneficial Owner of the Account | |
| <input type="checkbox"/> Other: _____ | |
| _____ | |
| _____ | |

ACCOUNT APPROVED AND ACCEPTED BY SUNTEK

Documents checked by	Name	Signature	Date
Information input by	Name	Signature	Date
Information verified by	Name	Signature	Date
Account approved by	Name	Signature	Date