

CASH ACCOUNT OPENING FORM –INDIVIDUAL/JOINT

现金户口开户申请书 - 个人 / 联名

Account No.: 户口号码

Individual / Primary Joint Account Applicant's Personal Information 个人/联名户口主要申请人之个人资料	
户口类型 Account Type : <input checked="" type="checkbox"/> Individual Account 个人户口 <input type="checkbox"/> Joint Account 联名户口	
In English/Pinyin 英文/护照上之拼音写法 (Mr. / Mrs. / Miss) CHAN TAI MAN	In Chinese 中文 (先生 / 太 / 小姐) 陈大文
Date of Birth 出生日期 (dd/mm/yyyy 日/月/年) 08 / 8 / 1988	Fax No. 传真号码
HKID /CHINA ID/ Passport No. 香港/中国内地身份证 / 护照号码 A 987654321	Nationality 国籍 中国
Home Tel. No. 住宅电话	Mobile Phone No. 手提电话 123456789
E-mail Address 电邮地址 Chan987654@321qq.com	
Residential Address (P.O Box not accepted) 住宅地址(不接受邮政信) 住址	
Correspondence Address(if different from above) 通讯地址(如与住宅不同)	
Mailing Method 通讯方法 :: <input type="checkbox"/> Correspondence Address 通讯地址 <input checked="" type="checkbox"/> E-mail 电邮	
Nature of Occupancy 住宅类别 <input checked="" type="checkbox"/> Owned (No mortgage) 自置 (无按揭) <input type="checkbox"/> Rented / Monthly Rental 租用 / 每月租金 \$ _____ <input type="checkbox"/> Quarters 宿舍 <input type="checkbox"/> Relative's <input type="checkbox"/> With Parents 与父母同住 <input type="checkbox"/> Mortgaged / Monthly Installment 按揭 / 每月供款 \$ _____	
Employment Status 就业情况 <input type="checkbox"/> Self-employed 自雇 <input checked="" type="checkbox"/> Full-time employment 全职 <input type="checkbox"/> Part-time employment 兼职 <input type="checkbox"/> Retirement 退休 <input type="checkbox"/> Other (Please Specify 其他(请注明): _____	
Employer Name 雇主名称 公司名称	Nature of Business 业务性质 业务性质
Office Phone No. 公司电话 978654321	Year(s) with Existing Employer 已任职年期 10
Position 职位 经理	
Office Address 公司地址 公司地址	



Account Applicant's Other Information 户口申请人之其他数据

Are you the ultimate beneficial owner(s) of the account? (The information is required by The Securities & Futures Commission's Client Identity Rule Policy)

阁下是否此户口之最终实益拥有人? (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:

1. Name 姓名		HKID / Passport No. 香港身份证 / 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 LEADING Securities Company Limited?

阁下现时是否已持有其他立鼎证券有限公司之户口?

No 否

Yes, please provide details 是, 请提供详细资料:

1. Name 姓名	Account Type 户口类别	Account No. 户口号码
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Licensed / Registered Person Declaration 持牌 / 注册人士申报

Are you 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 是 Name 名称: _____ (Please provide consent letter 请提供同意信函)

Declaration On The Relationship 联系申报

Do you have any relative(s) working in LEADING Securities Company Limited?

阁下的直系亲属是否立鼎证券有限公司之员工?

No 否 Yes 是 Name 姓名: _____ Relationship 关系: _____

Do you working in LEADING Securities Company Limited?

阁下是否立鼎证券有限公司之员工?

No 否 Yes 是 Position 职位: _____

Does your spouse maintain any account with the Company?

阁下的配偶是否持有本公司账户?

No 否 Yes 是 Name 姓名: _____ Account no 帐户号码: _____

Does the Client alone or jointly with his / her spouse control 35% or more of the voting rights of another account with the Company?

阁下及 / 或阁下配偶是否单独或共同控制本公司之账户 35%或以上之表决权?

No 否 Yes 是 Name of Account Holder 账户持有人姓名: _____ Account no 帐户号码: _____

Do you have any account opened by one of your companies?

阁下是否有以阁下旗下之公司开立账户?

No 否 Yes 是 Name of Account Holder 账户持有公司名称: _____

Account no 帐户号码: _____

Individual/Primary Joint Account Applicant's Financial Profile and Investment Experience

个人/联名户口主要申请人之财务纪录及投资经验

(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) <input type="checkbox"/> Under HK\$500,000 以下 <input type="checkbox"/> HK\$500,000 - HK\$800,000 <input checked="" type="checkbox"/> HK\$800,001 - HK\$1,000,000 <input type="checkbox"/> HK\$1,000,001 - HK\$1,500,000 <input type="checkbox"/> Above HK\$1,500,000 以上 <input type="checkbox"/> Other Income Source 其他收入来源: _____		Approximate Net Asset Value (HK\$(Total Asset - Total Liabilities) 大约净资产(港元)(总资产 - 总负债) <input type="checkbox"/> Under HK\$500,000 以下 <input type="checkbox"/> HK\$500,000 - HK\$3,000,000 <input checked="" type="checkbox"/> HK\$3,000,001 - HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001 - HK\$30,000,000 <input type="checkbox"/> Above HK\$30,000,000 以上			
Educational Background 教育程度 : <input type="checkbox"/> Primary School 小学 <input type="checkbox"/> Secondary School 中学 <input checked="" type="checkbox"/> University or above 大学或以上 <input type="checkbox"/> Others 其他: _____					
Investment Objectives 投资目标 : <input checked="" type="checkbox"/> Capital Growth 增值 <input type="checkbox"/> Speculation 投机 <input type="checkbox"/> Hedging 对冲 <input type="checkbox"/> Dividend Income 股息收入					
Term 期限: <input checked="" type="checkbox"/> Long Term 长线(over 2 years 超过二年) <input type="checkbox"/> Medium Term 中线(6-24 months 六至二十四个月) <input type="checkbox"/> Short Term 短线(Less than 6 months少于六个月)					
Investment Experience & Product Knowledge 投资经验及产品认识	Avg Investment amount (HKD) 平均投资金额 (港币)	Years of Experience 投资年期	Related Working Experience 相关工作经验	Undergone Training/Attended Course 曾接受培训或修读课程	5 or more Transactions within the past 3 years 三年内交易五次或以上
Stocks 股票	1,000,000-	8	<input type="checkbox"/> Yes 有 <input checked="" type="checkbox"/> No 否	<input checked="" type="checkbox"/> Yes 有 <input type="checkbox"/> No 否	<input checked="" type="checkbox"/> Yes 有 <input type="checkbox"/> No 否
Bonds 债券	1,000,000-	8	<input type="checkbox"/> Yes 有 <input checked="" type="checkbox"/> No 否	<input checked="" type="checkbox"/> Yes 有 <input type="checkbox"/> No 否	<input checked="" type="checkbox"/> Yes 有 <input type="checkbox"/> No 否
Unit Trusts/Mutual Funds 单位信托/互惠基金			<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 否
Derivative Warrants 衍生权证			<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 否
Callable Bull/Bear Contracts 牛熊证			<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 否
Futures 期货			<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 否
Options 期权	1,000,000-	8	<input type="checkbox"/> Yes 有 <input checked="" type="checkbox"/> No 否	<input checked="" type="checkbox"/> Yes 有 <input type="checkbox"/> No 否	<input checked="" type="checkbox"/> Yes 有 <input type="checkbox"/> No 否
Knowledge of Derivatives 对衍生工具认识 (Questionnaire 问卷)					
请参阅 <投资者信息和风险取向问卷 (个人)> 问题 14 Please refer to "Investor Information and Risk Profile Questionnaire (Individual)" Question 14					

For clients do not have any of the above mentioned knowledge and experience, such clients will be considered as without knowledge of structured and/or derivatives product(s). Before trading in structured and/or derivative product(s), the attention of the Client is drawn to the risks associated with structured and/or derivative product(s) (as described in Risk Disclosure Statement).

如客户没有以上任何一项经验及认识, 客户将被视作没有结构性及/或衍生产品认识。在客户买卖结构性及/或衍生产品之前, 客户需要留意结构性及/或衍生产品交易有关之风险 (如风险披露声明所述)。

Note: Structured and/or Derivative product(s) includes, but not limited to, Callable Bull / Bear Contracts, Derivative Warrants, Equity Linked Instruments / Notes, Exchange Traded Funds, Futures and Options and Stock Options, etc.


请注意: 结构性及/或衍生产品包括 (但不限于) 牛熊证、衍生认股证、股票挂钩产品、交易所买卖换股债券、交易所买卖基金、期货及期权与股票期权等。

Acknowledgement Relating to Structured and/or Derivatives Product(s) 有关结构性及/或衍生产品确认

I acknowledge that if I decide to trade the Structured and/or Derivatives Products, I agree to bear the risks involved. I confirm that I shall make my own risk assessment, or seek independent professional advice before trading in Structured and/or Derivative Product(s), and that I have sufficient net worth to be able to assume the risks and bear the potential losses for my trades in Structured and/or Derivatives Product(s). I understand that LEADING Securities Company Limited does not encourage its clients to trade Structured and/or Derivative Product(s) if they do not have any knowledge or experience relating to the Structured and/or Derivative Product(s).

本人确认如果本人决定买卖该等结构性及/或衍生产品时, 本人同意承担有关风险。本人确认, 在买卖结构性及/或衍生产品前, 本人将会进行自我风险评估或寻求独立专业意见, 并拥有足够资本承担有关风险及损失。本人明白, 如客户并没有结构性及/或衍生产品的知识或经验, 立鼎证券并不鼓励客户进行结构性及/或衍生产品买卖。

Signed by Individual / Primary Joint Account Holder 个人 / 联名账户主要户口持有人签署

申请人签署 Signature of Applicant:	 Date 日期
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Account Applicant's Bank Details 户口申请人之银行资料

(Funds will be transferred to the following account pursuant to your fund withdrawal instruction. 款项将根据客户的提款指示转入以下户口)

Banker's Name 银行名称： 已开户的香港银行	
Account Name 账户名称： 账户名称： CHAN TAI MAN	Account No. 帐户号码： HKD 123 456 789012 3 USD 987 654 321012345

Signing Arrangement 签署安排

(Only applicable to joint account applicants 只适用于联名户口申请者)

You decide that the valid document in connection with the operation (including fund withdrawal and asset transfer) of your account must be signed by any _____ of account holders.
阁下决定所有户口操作 (包括提款及资产转移) 的有效档必须由其中 _____ 位户口持有人签署。

Real-Time Quote Services 实时报价服务

(Please fill in by the Primary Account Holder for Joint Account 如属联名户口, 则需由主要户口持有人填写)

Do you need Real Time Quote service? 阁下是否需要实时报价服务?
 Yes 是 (需另填写表格及额外收费) No 否

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 LEADING Securities Company Limited (the "Company") (including Financial Profile and Investment Experience, if applicable) ("Agreement") are accurate. Information on this Account Application Form and representations in the Agreement are collectively referred as the "Account Opening Information". The 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, understood and accepted 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.

户口申请人兹声明在本开户申请表内的数据属实、完整及正确, 立鼎证券有限公司(「本公司」)的<<客户协议>> (如适用, 包括财务纪录及投资经验)(以下简称为「协议」) 内的一切申述准确。本开户申请表内的数据及「协议」内的申述, 以下统称为「开户资料」。除非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, 包括但不限于户口申请人之银行、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、明白及同意「协议」之一切内容(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。

Applicant(s) Signature 申请人签署

<input checked="" type="checkbox"/> Individual/Primary Joint Account Holder's Signature 个人/联名户口主要持有人签署 	<input type="checkbox"/> Secondary Joint Account Holder's Signature 其他账户持有人签署
Name 姓名 (Please use block letter 请使用正楷) CHAN TAI MAN	Name 姓名 (Please use block letter 请使用正楷)
Date 日期	Date 日期

Client Money Standing Authority under Securities and Futures (Client Money) Rules

根据《证券及期货(客户款项)规则》所设立的常设授权

本授权书涵盖尔等为本人 / 吾等在香港收取或持有并存放于一个或多个独立账户内的款项 (包括因持有并非属于尔 等的款项而产生之任何利息 (下称「款项」))。除非另有说明, 本授权书之名词与证券及期货条例及证券及期货 (客户款项) 规则不时修订之定义具有相同意思。本授权书授权尔等:

1. 组合或合并尔等立鼎证券有限公司所维持的任何或全部独立帐户, 此等组合或合并活动可以个别或与其他账户联合进行, 尔等可将该等独立账户内任何数额之款项作出转移, 以解除本人 / 吾等对立鼎证券有限公司的义务或法律责任, 不论此等义务和法律责任是确实或突然的, 原有或附带的、有抵押的、共同或分别的; 及
2. 从立鼎证券有限公司任何成员于任何时候维持的任何独立账户之间来回调动任何数额之款项。尔等可不向本人 / 吾等发出通知而采取上述行动。此赋予尔等之授权乃鉴于立鼎证券有限公司同意继续维持本人 / 吾等之证券现金账户。此赋予尔等之授权并不损害立鼎证券有限公司可享有有关处理该等独立账户内款项的其他授权或权利。
3. 将任何有关证券抵押品存放于获香港中央结算有限公司或另一获发牌或获进行证券交易的中介人, 作为解除和清偿立鼎证券有限公司在交收上的义务和法律责任的抵押品;
4. 于顾及任何适用的法律或监管要求的情况下, 以立鼎证券有限公司认为适当的方式对待及处理有关证券。
本授权书的有效期为 12 个月, 自本授权书之签署日期起计有效。本人 / 吾等可以向尔等于上述所列明之地址之客户服务部发出书面通知, 撤回本授权书。该等通知生效日期为尔等 真正收到该等通知后之 14 日起计。
本人 / 吾等明白尔等若在本授权书的有效期届满前 14 日之前, 向本人 / 吾等发出书面通知, 提醒本人 / 吾等本授权书即将届满, 而本人 / 吾等没有在此授权届满前反对此授权书续期, 本授权书应当作在不需本人 / 吾等的书面同意下按时持续的基准已被续期。倘若本授权书的中文本与英文本在解释或意义方面有任何歧义, 本人 / 吾等同意应以英文本为准。本人 / 吾等就本授权书的内容已获得解释, 并且本人 / 吾等明白本授权书的内容。

This letter of authority covers money held or received by you in Hong Kong (including the any interest derived from the holding of the money which does not belong to you) in one or more segregated account(s) on my / our behalf ("Monies") Unless otherwise defined, all the terms used in this authorisation letter shall have the same meanings as the Securities and Futures Ordinance and the Securities and Futures (Client Money) Rules as amended from time to time.

This letter authorises you to:

1. Combine or consolidate any or all segregated accounts, of any nature whatsoever and either individually or jointly with others, maintained by you or LEADING Securities Company Limited and / or any of its subsidiaries from time to time ("LEADING Securities Company Limited") and you may transfer any sum of Monies to and between such Segregated account(s) to satisfy my / our obligations or liabilities to LEADING Securities Company Limited, whether such obligations and liabilities are actual, contingent, primary or collateral, secured or unsecured, or joint or several, and
2. Transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by LEADING Securities Company Limited. You may do any if these things without giving me / us notice. This authority is given to LEADING Securities Company Limited in consideration of its agreeing to continue to maintain securities cash account(s) for me / us. This authority is given without prejudice to other authorities or rights which LEADING Securities Company Limited may have in relation to dealing in Monies in the segregated accounts.
3. Deposit any of the securities collateral with the Hong Kong Securities Clearing Company Limited or another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of client's settlement obligations and liabilities; and
4. Treat and deal with securities and securities collateral in such manner as LEADING Securities Company Limited consider appropriate taking into account any applicable legal or regulatory requirement from time to time.

The authority is valid for a period of 12 months from the date of this letter. This authority may be revoked by giving you written notice addressed to the Customer Service Department at your address specified above. Such notice shall take effect upon the expiry of two weeks from the date of your actual receipt of such notice.

I / we understand that this authority shall be deemed to be renewed on a continuing basis without my / our written consent if you issue me / us a written reminder at least 14 days prior to the expiry date of this authority, and I / we do not object to such deemed renewal before such expiry date. In the event of any difference in interpretation or meaning between the Chinese and English version of this authority, I / we agree that the English version shall prevail. The letter has been explained to me / us and I / we understand the contents of this letter.

Signed by 客户签署:



Authorized Signature Print Name 授权签署

** All account holders of joint account must sign jointly 所有联名客户必须授权签署**

Account Name 客户名称: _____

ID / Passport 身份证/护照: _____

Date日期: _____

Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding

就预扣及申报美国税项的实益拥有人外国国籍证明

(A) General 一般事项

Please tick the following box if you are an U.S. citizen or U.S. resident alien 如 阁下为美国公民或拥有美国居留权的外籍人士，则请勾选以下方格。

Yes, I am an U.S. citizen or U.S. resident alien. 是，本人（或如吾等为联名账户持有人，则吾等任何一位为）美国公民或拥有美国居留权的外籍人士。

If you have ticked the above box, please complete the Substitute Form W-9. 如 阁下已勾选以上方格，请填写替代表格W-9。

If you have not ticked the above box, please read the below. 如 阁下并无勾选以上方格，则请详阅下文。

(B) Certification 证明

I (whose name is stated in (Individual/ Primary Joint Account Applicant's Personal Information) of this Account Opening Form) declare that I have examined the information on this Account Opening Form and to the best of my/our knowledge and belief it is true, correct and complete. 本人 / 吾等（姓名乃载于本开户表格的（个人/联名户口主要申请人之个人资料））宣称本人 / 吾等已查证于本开户表格的数据，并就本人 / 吾等所知及所信为真实、准确及完备。

I further certify that: 本人 / 吾等进一步证明：

(i) I am the individual that is the beneficial owner (or am authorized to sign for the individual(s) that is/are the beneficial owner(s) of all the income to which this Account Opening Form relates or am using this Accounting Opening Form to document myself as an individual that is an owner or account holder of a foreign financial institution.

本人 / 吾等是身为实益拥有人的个人（或获授权代表该个人（身为与本开户表格相关所有收入有关的实益拥有人）签署或采用本开户表格，以证明本人 / 吾等是身为外国金融机构的拥有人或账户持有人的个人）。

(ii) The person named in (Individual/ Primary Joint Account Applicant's Personal Information) of this Account Opening Form is not a U.S. person. 名列本开户表格的（个人/联名户口主要申请人之个人资料）的人士是 / 并非美国人士。

Furthermore, I authorize this Account Opening Form to be provided to the Company that has control, receipt or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am beneficial owner. I agree that I will submit a new form within 30 days if there is any change or amendment to the information provided on this Account Opening Form.

此外，本人 / 吾等授权本开户表格将提供予有权控制、收取或托管以本人 / 吾等为实益拥有人的收入的本公司或可分发或支付以本人 / 吾等为实益拥有人的收入的任何预扣代理人。本人 / 吾等同意，如于本开户表格提供的数据出现任何更改或修订，则本人 / 吾等将于30日内提交新表格。

Client Authorized Signature(s) 客户授权签署：



** Client Name(s) 客户名称**:

** All account holders of joint account must sign jointly 所有联名客户必须授权签署**

Date 日期: _____



Declaration on Anti-Money Laundering and Political Exposed Person (PEP)

反洗钱及政治敏感人物声明

声明 1 最终受益人 DECLARATION 1 Ultimate Beneficial Owner

阁下是否为即将设立的账户的最终唯一受益人?

Are you the only ultimate beneficial owner of the account to be opened?

Yes 是 No 否 (如“否”, 请填写以下数据, If “No”, Please fill below)

请提供最终受益人姓名及其他详情, 以及附上有关身分证明文件。

Please provide the name and other details of the ultimate beneficial owner, together with supporting identity documents:-

若阁下是为他人之受托人或代理人, 请详述有关的信托或代理人安排。

If you are acting as trustee or nominee for another person, please describe full details of the trust or nominee arrangement:

声明 2 资金来源 DECLARATION 2 Source Of Funds

阁下资金来源是否属于合法途径获得? 请填报您的资金来源。

Do your funds to be deposited in the accounts / paid for the banking services come from a legitimate source? Please disclose your source of funds.

Yes 是 No 否 (if No, Please specify, 如否, 请详细列明)

薪金 Salary

营业收入/投资 Business/Investment

财产储蓄 Wealth/Saving

其他 Others _____

声明 3 政治敏感人士 DECLARATION 3 Politically Exposed Person (PEP)

1. 阁下现在或曾经是一名政治人物吗? (定义见下文)

Are you a PEP, or were you a PEP in the past? (As defined below)

No 否 Yes 是 (请详细列明 Please specify) _____

2. 阁下是否该政治人物的配偶、伴侣、子女或父母, 或密切相关人士? (定义见下文)

Are you a spouse, a partner, a child or a parent of a PEP, or a close associate of such PEP?

No 否 Yes 是 (请详细列明 Please specify) _____

据香港法例第 615 章 《打击洗钱及恐怖分子资金筹集(金融机构)条例》, 政治人物乃指担任公职人士, 包括国家或政府领导人、资政、资深政府、司法或军事官员、公共机构要员及资深党政人士。

According to Cap 615. CAP 615 Anti-Money Laundering and Counter-Terrorist Financing (Financial Institutions) Ordinance, PEP means individuals being, or who have been, entrusted with prominent public functions, such as heads of state or government, senior politicians, senior government, judicial or military officials, senior executives of public organizations and political party officials.

申请人声明 Customer's Declarations

申请人(等)自愿作出上述声明, 根据有关国家/地区适用的防止洗黑钱及恐怖分子筹资法例, 确认及声明(1) 申请人为账户之最终拥有人; (2) 申请人资金来源之合法性; 以及(3) 申请人之政治敏感人士身分之有关资料属于真实及正确。

We/I hereby declare and confirm that the above information relating to (1) ultimate beneficial ownership of our/my account to be opened; (2) the legitimacy of our/my source of funds; and (3) our / my PEP status in accordance with the anti-money laundering and anti-terrorist financing laws in the applicable jurisdiction are true and correct.

申请人签署:

Signature of Applicant:



Date 日期: _____

AML Supplemental Documentation Checklist

反洗钱规则补充文件列表

Applicants are required to provide certain supplemental information or documentation in connection with this Account Opening Form under the following applicable categories. 申请人请于递交其开户申请书客时同时须按以下类别提供下述相关补充数据或文件。

The following information is required to be submitted with the Account Opening Form. The Company or its counterparties (including its delegate or agent) may request further information or documents if deemed necessary. 本公司、其交易对手(包括其代表及代理)有权要求阁下提供进一步资料或文件。

Applicants are required to provide an original or original certified true copy of all documents outlined under the applicable category: 申请人必须提供以下适用类别要求的所有原件或经验证副本原件:

Category 类别	Requirements 要求
Individuals or Joint Account Holders 个人或联名账户持有人	Valid passport with photograph, name, date of birth and nationality (and name change document if applicable). 有效护照内含相片、姓名、出生日期及国籍(改名档, 如适用)。 Residential and permanent (if different) address proof e.g. copy of utility bill or bank statement issued within the last three months and displays name as per registration. E-statements and P.O. Box mailing addresses are not acceptable. 最近 3 个月的住址/ 通信地址证明如公用事业账单或银行结单并需显示其注册姓名。电子结单或邮箱位址均不接受。 Information on occupation and source of funds for investment (a declaration on the subscription form or a signed letter will suffice) 职业及资金来源信息, 于申购表格中或书面声明即可。

The Company or its counterparties (including its delegate or agent) may require other information or documentation in addition to the items in the above checklist.

除上述列表外, 本公司、其交易对手(包括其代表及代理)可能要求阁下提供进一步数据或文件。

In accordance with the anti-money laundering (AML) obligations applicable to the Company, requests for transfer or payment of redemption proceeds will not be effective until receipt of all outstanding identification documents and information pertaining to AML obligations. None of the Company or its counterparties (including its delegate or agent) accepts any responsibility for any loss caused as a result of any such delay or refusal to process transfer requests or effect payment of redemption proceeds (as the case may be) and claims for payment of interest due to such delays will not be accepted by the Company or its counterparties (including its delegate or agent).

按反洗钱规定, 本公司必须集齐所有相关规定的身份证明档后, 方可为阁下处理划款及赎回程序。本公司、其交易对手(包括其代表及代理)均不会承担阁下任何因未能提供上述相关处理划款及赎回(视乎情况而定)而导致的一切损失。本公司、其交易对手(包括其代表及代理)亦不会就此延误而支付利息。

- * Approved country refers to the Cayman Islands, Bermuda, British Virgin Islands, Malaysia and members of FATF** (subject to change from time to time)
核准国家包括开曼群岛、百慕大、英属维尔京群岛、马来西亚等「打击清洗黑钱财务行动特别组织」**成员国家(可不时变更)
- ** FATF – Financial Action Task Force (www.fatf-gafi.org) 「打击清洗黑钱财务行动特别组织」
- *** Certified true copy is accepted from an independent suitable certifier, such as lawyer, accountant, notary public, member of the judiciary or director or manager of a regulated credit or financial institution in a jurisdiction that is a FATF** member. The certifier should sign and date the copy document (printing his/her name clearly in capitals underneath) and clearly indicate his/her position or capacity, together with a contact address and phone number. The certifier must indicate that the document is a true copy of the original and that the photo is a true likeness of the individual. Where documents are not in English, a notarized translation is required. 经验证副本只接受由独立律师、独立会计师、独立公证人、司法机关人员或受「打击清洗黑钱财务行动特别组织」成员国家监管的金融机构的董事或经理所验证的副本。验证档需由验证人签署并填上日期、其职位、联络位址及电话。而验证人并需于确认文件内列明该文件与原件核对无误。如经验证副本为非英文版本, 需附已公证英文翻译版本。
- **** Acceptable photo identification must contain an individual's name, date of birth and nationality. If an Applicant submits a photo identification that does not contain all of his/her name, date of birth and nationality e.g. driver's license, the Applicant is required to provide additional government-issued identification documents, e.g. certified true copy of birth certificate, citizenship card, etc. For Hong Kong Permanent Residents, Hong Kong Identity Card will be accepted.
可接受相片之辨认必须包括个人名字、出生日期及国籍。如申请人提供之相片辨认没有注明其个人名字、出生日期及国籍(如驾驶执照), 申请人必须额外提供政府签发之身份证明档, 如经验证副本之出生证明文件、公民证等。如属香港永久居民, 香港身份证明均可接受。



Risk Disclosure Statements 风险披露声明 { to be completed by LEADING Securities Company Limited 此栏由立鼎证券有限公司 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:

Date 日期

Name of Licensed Person 持牌人士姓名:

Accepted on behalf of LEADING Securities Company Limited
代表立鼎证券有限公司接纳

Authorized Signature 获授权人签署

Name 姓名 : _____

Position 职位 : _____

Date 日期 : _____

Account Executive

客户经理

Signature 签署

Name 姓名 : _____

Position 职位 : Account Executive / 客户经理

Date 日期 : _____

For Official Use Only 只供本公司使用

Form 表格			Document 文件		
1.	个人/联名户口申请书	<input type="checkbox"/>	1.	身份证 / 护照 副本	<input type="checkbox"/>
2.	现金账户协议书	<input type="checkbox"/>	2.	住址证明 (最近三个月内)	<input type="checkbox"/>
3.	风险评估问卷	<input type="checkbox"/>	3.	通信地址证明 (最近三个月内) -如适用	<input type="checkbox"/>
4.	网上交易服务及电子结单申请/取消表格	<input type="checkbox"/>	4.	香港银行户口证明 (有姓名及账号号吗)	<input type="checkbox"/>
5.	共同汇报标准 - 自我证明(个人)	<input type="checkbox"/>	5.	其他:	<input type="checkbox"/>
6.	W-8BEN	<input type="checkbox"/>	如邮寄:		
7.	与销售基金债券相关的资料披露及收费	<input type="checkbox"/>	6.	香港持牌银行所开立的账户所签发的划线支票 (数额 HK\$10,000 或以上)	<input type="checkbox"/>
8.	外来见证人声明	<input type="checkbox"/>	7. 见证人提供认证, 包括注册公证人、注册会计师或律师、银行分行行长, 并请见证人将 <外来见证人声明>填写完整		
9.	专业投资者资格评估表	<input type="checkbox"/>			
10.	其他:	<input type="checkbox"/>			

Commission 佣金

Product 产品	By Telephone 电话		By Internet Trading 网上或流动应用程序		Remarks
	佣金%	Min 最少	佣金%	Min 最少	
Hong Kong 港股	%		%		
US 美股	%		%		
「沪港通」上海 A 股	%		%		
「深港通」深圳 A 股	%		%		
中国 B 股	%		%		
Bonds 债券	%		%		
Funds 基金	%		%		
Structured Financial Products 结构性金融产品	%		%		
交易限额					
信贷限额					

客户介绍人:		经纪名称(编号):		与经纪认识年:	
开户批核	数据输入		发出开户通知		发出网上密码
_____ 签名 姓名: 日期:	_____ 签名 姓名: 日期:		_____ 签名 姓名: 日期:		_____ 签名 姓名: 日期:

备注: