

CASH ACCOUNT OPENING FORM –INDIVIDUAL/JOINT

現金戶口開戶申請書 - 個人 / 聯名

Account No.:

戶口號碼

Individual / Primary Joint Account Applicant's Personal Information 個人/聯名戶口主要申請人之個人資料

戶口類型 Account Type : <input checked="" type="checkbox"/> Individual Account 個人戶口 <input type="checkbox"/> Joint Account 聯名戶口	
In English/Pinyin 英文/護照上之拼音寫法 (Mr. / Mrs. / Miss) CHAN TAI MAN	In Chinese 中文 (先生 / 太 / 小姐) 陳大文
Date of Birth 出生日期 (dd/mm/yyyy 日/月/年) 08 / 8 / 1988	Fax No. 傳真號碼
HKID / CHINA ID / Passport No. 香港/中國內地身份證 / 護照號碼 A 987654321	Nationality 國籍 中國
Home Tel. No. 住宅電話	Mobile Phone No. 手提電話 123456789
E-mail Address 電郵地址 Chan987654@321qq.com	
Residential Address (P.O Box not accepted) 住宅地址(不接受郵政信) 住址	
Correspondence Address(if different from above) 通訊位址(如與住宅不同)	
Mailing Method 通訊方法 :: <input type="checkbox"/> Correspondence Address 通訊位址 <input checked="" type="checkbox"/> E-mail 電郵	
Nature of Occupancy 住宅類別 <input checked="" type="checkbox"/> Owned (No mortgage) 自置 (無按揭) <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 與父母同住 <input type="checkbox"/> Mortgaged / Monthly Installment 按揭 / 每月供款 \$ _____	
Employment Status 就業情況 <input type="checkbox"/> Self-employed 自雇 <input checked="" type="checkbox"/> Full-time employment 全職 <input type="checkbox"/> Part-time employment 兼職 <input type="checkbox"/> Retirement 退休 <input type="checkbox"/> Other (Please Specify 其他(請注明): _____	
Employer Name 雇主名稱 公司名稱	Nature of Business 業務性質 業務性質
Office Phone No. 公司電話 978654321	Year(s) with Existing Employer 已任職年期 10
Position 職位 經理	
Office Address 公司地址 公司地址	



Account Applicant's Other Information 戶口申請人之其他資料

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

閣下是否此戶口之最終實益擁有人? (所需資料是根據香港證券及期貨事務監察委員會所制定的客戶身份規則的政策摘要)

Yes 是

No, please provide details of the ultimate beneficial owner(s) 否, 請提供最終實益擁有人的詳細資料:

1. Name 姓名	HKID / Passport No. 香港身份證 / 護照號碼	
Contact No. 聯絡電話	Date of Birth 出生日期 (dd/mm/yyyy 日/月/年)	Nationality 國籍
Address 地址		

Do you maintain any other account(s) with LEADING Securities Company Limited?

閣下現時是否已持有其他立鼎證券有限公司之戶口?

No 否

Yes, please provide details 是, 請提供詳細資料:

1. Name 姓名	Account Type 戶口類別	Account No. 戶口號碼
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Licensed / Registered Person Declaration 持牌 / 註冊人士申報

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?

閣下是否為證券及期貨事務監察委員會的持牌/註冊證券或期貨從業員, 或其持牌/註冊機構 (如經紀行/銀行等)之雇員?

No 否 Yes 是 Name 名稱: _____ (Please provide consent letter 請提供同意信函)

Declaration On The Relationship 聯繫申報

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

閣下的直系親屬是否立鼎證券有限公司之員工?

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

Do you working in LEADING Securities Company Limited?

閣下是否立鼎證券有限公司之員工?

No 否 Yes 是 Position 職位: _____

Does your spouse maintain any account with the Company?

閣下的配偶是否持有本公司帳戶?

No 否 Yes 是 Name 姓名: _____ Account no 帳戶號碼: _____

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

閣下及/或閣下配偶是否單獨或共同控制本公司之帳戶 35%或以上之表決權?

No 否 Yes 是 Name of Account Holder 帳戶持有人姓名: _____ Account no 帳戶號碼: _____

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

閣下是否有以閣下旗下之公司開立帳戶?

No 否 Yes 是 Name of Account Holder 帳戶持有公司名稱: _____

Account no 帳戶號碼: _____

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

個人/聯名戶口主要申請人之財務紀錄及投資經驗

(The Company is required to obtain this information to fulfill the "Know-Your-Client requirements" of the Securities and Futures Commission of Hong Kong.

本公司根據香港證券及期貨事務監察委員會所制定之「認識你的客戶要求」而索取有關資料。)

Estimated Annual Income (HK\$) 估計年薪(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 其他收入來源: _____		Approximate Net Asset Value (HK\$(Total Asset - Total Liabilities) 大約淨資產(港元)(總資產 - 總負債) <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 小學 <input type="checkbox"/> Secondary School 中學 <input checked="" type="checkbox"/> University or above 大學或以上 <input type="checkbox"/> Others 其他: _____					
Investment Objectives 投資目標 : <input checked="" type="checkbox"/> Capital Growth 增值 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Dividend Income 股息收入					
Term 期限: <input checked="" type="checkbox"/> Long Term 長線(over 2 years 超過二年) <input type="checkbox"/> Medium Term 中線(6-24 months 六至二十四個月) <input type="checkbox"/> Short Term 短線(Less than 6 months 少於六個月)					
Investment Experience & Product Knowledge 投資經驗及產品認識	Avg Investment amount (HKD) 平均投資金額(港幣)	Years of Experience 投資年期	Related Working Experience 相關工作經驗	Undergone Training/Attended Course 曾接受培訓或修讀課程	5 or more Transactions within the past 3 years 三年內交易五次或以上
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 債券	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 單位信託/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 衍生權證			<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 牛熊證			<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 期貨			<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 期權	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 對衍生工具認識 (Questionnaire 問卷)					
請參閱 <投資者信息和風險取向問卷(個人)> 問題 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).

如客戶沒有以上任何一項經驗及認識，客戶將被視作沒有結構性及/或衍生產品認識。在客戶買賣結構性及/或衍生產品之前，客戶需要留意結構性及/或衍生產品交易有關之風險（如風險披露聲明所述）。

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.

請注意: 結構性及/或衍生產品包括（但不限於）牛熊證、衍生認股證、股票掛鉤產品、交易所買賣換股債券、交易所買賣基金、期貨及期權與股票期權等。

Acknowledgement Relating to Structured and/or Derivatives Product(s) 有關結構性及/或衍生產品確認

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).

本人確認如果本人決定買賣該等結構性及/或衍生產品時，本人同意承擔有關風險。本人確認，在買賣結構性及/或衍生產品前，本人將會進行自我風險評估或尋求獨立專業意見，並擁有足夠資本承擔有關風險及損失。本人明白，如客戶並沒有結構性及/或衍生產品的知識或經驗，立鼎證券並不鼓勵客戶進行結構性及/或衍生產品買賣。

Signed by Individual / Primary Joint Account Holder 個人 / 聯名帳戶主要戶口持有人簽署

申請人簽署 Signature of Applicant:	 Date 日期
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Account Applicant's Bank Details 戶口申請人之銀行資料

(Funds will be transferred to the following account pursuant to your fund withdrawal instruction. 款項將根據客戶的提款指示轉入以下戶口)

Banker's Name 銀行名稱： 已開戶的香港銀行	
Account Name 帳戶名稱： 帳戶名稱： CHAN TAI MAN	Account No. 帳戶號碼： HKD 123 456 789012 3 USD 987 654 321012345

Signing Arrangement 簽署安排

(Only applicable to joint account applicants 只適用於聯名戶口申請者)

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.
閣下決定所有戶口操作 (包括提款及資產轉移) 的有效檔必須由其中 ____ 位戶口持有人簽署。

Real-Time Quote Services 即時報價服務

(Please fill in by the Primary Account Holder for Joint Account 如屬聯名戶口，則需由主要戶口持有人填寫)

Do you need Real Time Quote service? 閣下是否需要即時報價服務?
 Yes 是 (需另填寫表格及額外收費) No 否

Declaration 聲明


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.

戶口申請人茲聲明在本開戶申請表內的資料屬實、完整及正確，立鼎證券有限公司(「本公司」)的<<客戶協定>> (如適用，包括財務紀錄及投資經驗)(以下簡稱為「協定」)內的一切申述準確。本開戶申請表內的資料及「協定」內的申述，以下統稱為「開戶資料」。除非本公司接到更改有關「開戶資料」內容的書面通知，本公司有權在任何用途上完全依賴這些「開戶資料」。本公司有權隨時聯絡任何人，包括但不限於戶口申請人之銀行、經紀或任何信貸調查機構，以求證實「開戶資料」內所載之內容。

所有由本公司與或透過本公司進行之交易均受「協定」之條文限制。請於簽署本開戶申請表前，細閱「協定」各項條文。于下方簽署乃確認閣下已細閱、明白及同意「協定」之一切內容(尤其「風險披露聲明」一節)，並接受該等現時有效及不時修改的條文約束。

Applicant(s) Signature 申請人簽署

<input checked="" type="checkbox"/> Individual/Primary Joint Account Holder's Signature 個人/聯名戶口主要持有人簽署 	<input type="checkbox"/> Secondary Joint Account Holder's Signature 其他帳戶持有人簽署
Name 姓名 (Please use block letter 請使用正楷) CHAN TAI MAN	Name 姓名 (Please use block letter 請使用正楷)
Date 日期	Date 日期

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

根據《證券及期貨(客戶款項)規則》所設立的常設授權

本授權書涵蓋爾等為本人/吾等在香港收取或持有並存放於一個或多個獨立帳戶內的款項（包括因持有並非屬於爾等的款項而產生之任何利息（下稱「款項」）。除非另有說明，本授權書之名詞與證券及期貨條例及證券及期貨（客戶款項）規則不時修訂之定義具有相同意思。

本授權書授權爾等：

1. 組合或合併爾等立鼎證券有限公司所維持的任何或全部獨立帳戶，此等組合或合併活動可以個別或與其他帳戶聯合進行，爾等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/吾等對立鼎證券有限公司的義務或法律責任，不論此等義務和法律責任是確實或突然的，原有或附帶的、有抵押的、共同或分別的；及
 2. 從立鼎證券有限公司任何成員于任何時候維持的任何獨立帳戶之間來回調動任何數額之款項。爾等可不向本人/吾等發出通知而採取上述行動。此賦予之授權乃鑒於立鼎證券有限公司同意繼續維持本人/吾等之證券現金帳戶。此賦予爾等之授權並不損害立鼎證券有限公司享有有關處理該等獨立帳戶內款項的其他授權或權利。
 3. 將任何有關證券抵押品存放於獲香港中央結算有限公司或另一獲發牌或獲進行證券交易的中介人，作為解除和清償立鼎證券有限公司在交收上的義務和法律責任的抵押品；
 4. 於顧及任何適用的法律或監管要求的情況下，以立鼎證券有限公司認為適當的方式對待及處理有關證券。
- 本授權書的有效期限為 12 個月，自本授權書之簽署日期起計有效。本人/吾等可以向爾等於上述所列明之位址之客戶服務部發出書面通知，撤回本授權書。該等通知生效日期為爾等真正收到該等通知後之 14 日起計。
- 本人/吾等明白爾等若在本授權書的有效期限屆滿前 14 日之前，向本人/吾等發出書面通知，提醒本人/吾等本授權書即將屆滿，而本人/吾等沒有在此授權屆滿前反對此授權書續期，本授權書應當作在不需本人/吾等的書面同意下按時持續的基準已被續期。倘若本授權書的中文本與英文本在解釋或意義方面有任何歧義，本人/吾等同意應以英文本為準。本人/吾等就本授權書的內容已獲得解釋，並且本人/吾等明白本授權書的內容。

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 客戶簽署：



Authorized Signature Print Name 授權簽署

**** All account holders of joint account must sign jointly 所有聯名客戶必須授權簽署****

Account Name 客戶名稱： _____

ID / Passport 身份證/護照： _____

Date 日期： _____

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

就預扣及申報美國稅項的實益擁有人外國國籍證明

(A) General 一般事項

Please tick the following box if you are an U.S. citizen or U.S. resident alien 如閣下為美國公民或擁有美國居留權的外籍人士，則請剔選以下方格。

Yes, I am an U.S. citizen or U.S. resident alien. 是，本人為（或如吾等為聯名帳戶持有人，則吾等任何一位為）美國公民或擁有美國居留權的外籍人士。

If you have ticked the above box, please complete the Substitute Form W-9. 如閣下已剔選以上方格，請填妥替代表格W-9。

If you have not ticked the above box, please read the below. 如閣下並無剔選以上方格，則請詳閱下文。

(B) Certification 證明

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（姓名乃載於本開戶表格的（個人/聯名戶口主要申請人之個人資料））宣稱本人/吾等已查證於本開戶表格的資料，並就本人/吾等所知及所信為真實、準確及完備。

I further certify that: 本人/吾等進一步證明：

(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/吾等是身為實益擁有人的個人（或獲授權代表該個人（身為與本開戶表格相關所有收入有關的實益擁有人）簽署或採用本開戶表格，以證明本人/吾等是身為外國金融機構的擁有人或帳戶持有人的個人）。

(ii) The person named in (Individual/ Primary Joint Account Applicant's Personal Information) of this Account Opening Form is not a U.S. person. 名列本開戶表格的（個人/聯名戶口主要申請人之個人資料）的人士是/並非美國人士。

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/吾等授權本開戶表格將提供予有權控制、收取或託管以本人/吾等為實益擁有人的收入的本公司或可分發或支付以本人/吾等為實益擁有人的收入的任何預扣代理人。本人/吾等同意，如於本開戶表格提供的資料出現任何更改或修訂，則本人/吾等將於30日內提交新表格。

Client Authorized Signature(s) 客戶授權簽署：



** Client Name(s) 客戶名稱**：

** All account holders of joint account must sign jointly 所有聯名客戶必須授權簽署**

Date 日期: _____



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

反洗錢及政治敏感人物聲明

聲明 1 最終受益人 DECLARATION 1 Ultimate Beneficial Owner

閣下是否為即將設立的帳戶的最終唯一受益人？

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

Yes 是 **No 否** (如'否', 請填寫以下資料, if "No", Please fill below)

請提供最終受益人姓名及其他詳情, 以及附上有關身分證明文件。

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

若閣下是為他人之受託人或代理人, 請詳述有關的信託或代理人安排。

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

聲明 2 資金來源 DECLARATION 2 Source Of Funds

閣下資金來源是否屬於合法途徑獲得? 請填報您的資金來源。

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, 請詳細列明)

薪金 Salary

營業收入/投資 Business/Investment

財產儲蓄 Wealth/Saving

其他 Others _____

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

1. 閣下現在或曾經是一名政治人物嗎? (定義見下文)

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

No 否 **Yes 是** (請詳細列明 Please specify) _____

2. 閣下是否該政治人物的配偶、伴侶、子女或父母, 或密切關聯人士? (定義見下文)

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** (請詳細列明 Please specify) _____

據香港法例第 615 章 《打擊洗錢及恐怖分子資金籌集(金融機構)條例》, 政治人物乃指擔任公職人士, 包括國家或政府領導人、資政、資深政府、司法或軍事官員、公共機構要員及資深黨政人士。

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.

申請人聲明 Customer's Declarations

申請人(等)自願作出上述聲明, 根據有關國家/地區適用的防止洗黑錢及恐怖分子籌資法例, 確認及聲明(1) 申請人為帳戶之最終擁有人; (2) 申請人資金來源之合法性; 以及(3) 申請人之政治敏感人士身分之有關資料屬於真實及正確。

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.

申請人簽署:

Signature of Applicant :



Date 日期: _____

AML Supplemental Documentation Checklist

反洗錢規則補充檔清單

Applicants are required to provide certain supplemental information or documentation in connection with this Account Opening Form under the following applicable categories. 申請人請於遞交其開戶申請書客時同時須按以下類別提供下述相關補充資料或檔。

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、其交易對手(包括其代表及代理)有權要求閣下提供進一步資料或檔。

Applicants are required to provide an original or original certified true copy of all documents outlined under the applicable category:

申請人必須提供以下適用類別要求的所有原件或經驗證副本原件：

Category 類別	Requirements 要求
Individuals or Joint Account Holders 個人或聯名帳戶持有人	Valid passport with photograph, name, date of birth and nationality (and name change document if applicable). 有效護照內含相片、姓名、出生日期及國籍(改名檔, 如適用)。 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 個月的住址/ 通信地址證明如公用事業帳單或銀行結單並需顯示其註冊姓名。電子結單或郵箱位元址均不接受。 Information on occupation and source of funds for investment (a declaration on the subscription form or a signed letter will suffice) 職業及資金來源資訊, 于申購表格中或書面聲明即可。

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.

除上述清單外, 本公司、其交易對手(包括其代表及代理)可能要求閣下提供進一步資料或檔。

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).

按反洗錢規定, 本公司必須集齊所有相關規定的身分證明檔後, 方可為閣下處理劃款及贖回程式。本公司、其交易對手(包括其代表及代理)均不會承擔閣下任何因未能提供上述相關處理劃款及贖回(視乎情況而定)而導致的一切損失。本公司、其交易對手(包括其代表及代理)亦不會就此延誤而支付利息。

* Approved country refers to the Cayman Islands, Bermuda, British Virgin Islands, Malaysia and members of FATF** (subject to change from time to time)

核准國家包括開曼群島、百慕大、英屬維京群島、馬來西亞等「打擊清洗黑錢財務行動特別組織」**成員國家(可不時變更)

** FATF – Financial Action Task Force (www.fatf-gafi.org) 「打擊清洗黑錢財務行動特別組織」

*** 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. 經驗證副本只接受由獨立律師、獨立會計師、獨立公證人、司法機關人員或受「打擊清洗黑錢財務行動特別組織」成員國家監管的金融機構的董事或經理所驗證的副本。驗證檔需由驗證人簽署並填上日期、其職位、聯絡位元址及電話。而驗證人並需於確認文件內列明該文件與原件核對無誤。如經驗證副本為非英文版本, 需附已公證英文翻譯版本。

**** 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.

可接受相片之辨認必須包括個人名字、出生日期及國籍。如申請人提供之相片辨認沒有注明其個人名字、出生日期及國籍(如駕駛執照), 申請人必須額外提供政府簽發之身分證明檔, 如經驗證副本之出生證明文件、公民證等。如屬香港永久居民, 香港身分證明均可接受。



Risk Disclosure Statements 風險披露聲明 { to be completed by LEADING Securities Company Limited 此欄由立鼎證券有限公司 填寫 }

Declaration by Licensed Person 持牌人士聲明 :

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.

本人確認已經以客戶選擇的語言 (英文或中文) 提供風險披露聲明, 並且本人已經邀請客戶閱讀該風險披露聲明, 提出問題及尋求獨立的意見 (如客戶有此意願)。

Signature of Licensed Person 持牌人士簽署

CE No. 中央編號:

Date 日期

Name of Licensed Person 持牌人士姓名:

Accepted on behalf of LEADING Securities Company Limited
代表立鼎證券有限公司接納

Authorized Signature 獲授權人簽署

Name 姓名 : _____

Position 職位 : _____

Date 日期 : _____

Account Executive

客戶經理

Signature 簽署

Name 姓名 : _____

Position 職位 : Account Executive / 客戶經理

Date 日期 : _____



For Official Use Only 只供本公司使用

Form 表格		Document 文件	
1. 個人/聯名戶口申請書	<input type="checkbox"/>	1. 身份證 / 護照 副本	<input type="checkbox"/>
2. 現金帳戶協議書	<input type="checkbox"/>	2. 住址證明 (最近三個月內)	<input type="checkbox"/>
3. 風險評估問卷	<input type="checkbox"/>	3. 通信地址證明 (最近三個月內) - 如適用	<input type="checkbox"/>
4. 網上交易服務及電子結單申請/取消表格	<input type="checkbox"/>	4. 香港銀行戶口證明 (有姓名及賬戶號碼)	<input type="checkbox"/>
5. 共同匯報標準 - 自我證明(個人)	<input type="checkbox"/>	5. 其他:	<input type="checkbox"/>
6. W-8BEN	<input type="checkbox"/>	如郵寄:	
7. 與銷售基金債券相關的資料披露及收費	<input type="checkbox"/>	6. 香港持牌銀行所開立的賬戶所簽發的劃線支票 (數額 HK\$10,000 或以上)	<input type="checkbox"/>
8. 外來見證人聲明	<input type="checkbox"/>	7. 見證人提供認證, 包括註冊公證人、註冊會計師或律師、銀行分行行長, 并請見證人將 <外來見證人聲明>填寫完整	<input type="checkbox"/>
9. 專業投資者資格評估表	<input type="checkbox"/>		
10. 其他:	<input type="checkbox"/>		

Commission 佣金

Product 產品	By Telephone 電話		By Internet Trading 網上或流動應用程式		Remarks
	佣金%	Min 最少	佣金%	Min 最少	
Hong Kong 港股	%		%		
US 美股	%		%		
「滬港通」上海 A 股	%		%		
「深港通」深圳 A 股	%		%		
中國 B 股	%		%		
Bonds 債券	%		%		
Funds 基金	%		%		
Structured Financial Products 結構性金融產品	%		%		
交易限額					
信貸限額					

客戶介紹人:		經紀名稱(編號):		與經紀認識年:	
開戶批核	資料輸入	發出開戶通知		發出網上密碼	
_____ 簽名 姓名: 日期:	_____ 簽名 姓名: 日期:	_____ 簽名 姓名: 日期:		_____ 簽名 姓名: 日期:	
備註:					