



## INDIVIDUAL/JOINT CASH ACCOUNT OPENING FORM

個人/聯名現金戶口開戶申請書

客戶需知 – 請細閱及在適當位置簽署

客戶類別	客戶簽名頁數
Individual or Joint 個人或聯名開戶	p.4, p.5, p.6, p.8



**INDIVIDUAL/JOINT CASH ACCOUNT OPENING FORM**

個人/聯名現金戶口開戶申請書

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 type="checkbox"/> Individual Account 個人戶口 <input type="checkbox"/> Joint Account 聯名戶口		
Name in English 英文 (Mr. / Mrs. / Miss)		Name in Chinese 中文 (先生 / 太太 / 小姐)
Date of Birth 出生日期 (dd/mm/yyyy 日/月/年)	Fax No. 傳真號碼	
HKID /CHINA ID/ Passport No. 香港/中國內地身份證 / 護照號碼	Nationality 國籍	
Home Tel. No. 住宅電話	Mobile Phone No. 手提電話	
E-mail Address 電郵地址		
Residential Address ( P.O Box not accepted ) 住宅地址(不接受郵政信)		
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 type="checkbox"/> E-mail 電郵		
Employment Status 就業情況 <input type="checkbox"/> Self-employed 自僱 <input 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 僱主名稱	Nature of Business 業務性質	
Office Phone No. 公司電話	Year(s) with Existing Employer 已任職年期	Position 職位
Office Address 公司地址		
Purpose of account opening 開戶目的		
Source of Fund 資金來源 <input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Business/Investment 營業收入/投資 <input type="checkbox"/> Wealth/Savings 財產/儲蓄 <input type="checkbox"/> Others (Please provide details) 其他 (請提供詳細資料) _____		



**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?

閣下是否此戶口之最終實益擁有人?

Yes 是

No, please provide details of the ultimate beneficial owner(s), including certified true copy of HKID/passport or equivalent.

否，請提供最終實益擁有人的詳細資料，包括真確核實的香港身份證副本 / 護照或同等文件。

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			
Occupation 職業	Relationship with client 與客戶關係		Source of fund 資金來源

Are you operating this account on your own behalf?

閣下是否只代表自己操作此戶口?

Yes 是

No, please provide details : \_\_\_\_\_

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)之僱員?

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

**Declaration of 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: \_\_\_\_\_

Are you an employee/contractor of Leading Securities Company Limited?

閣下是否立鼎證券有限公司的僱員 / 合約員工?

No 否  Yes 是 Position 職位: \_\_\_\_\_

Does your spouse maintain any account with Leading Securities Company Limited?

閣下的配偶是否持有立鼎證券有限公司的帳戶?

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

Do you alone or jointly with your spouse control 35% or more of the voting rights of another account with Leading Securities Company Limited?

閣下及/或閣下配偶是否單獨或共同控制立鼎證券有限公司之帳戶 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: \_\_\_\_\_



**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：	
Account Name 帳戶名稱：	Account No. 帳戶號碼：
	HKD: _____
	USD: _____
	CNY: _____
	Multi-currency: _____

**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) 的有效文件必須由其中 \_\_\_\_\_ 位戶口持有人簽署。

**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**

Individual/Primary Joint Account Holder's Signature 個人聯名戶口主要持有人簽署	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)	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。此賦予財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可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要本人/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: \_\_\_\_\_



## Personal Data Privacy Protection Policy 僅適用於個人投資者的個人資料隱私保護政策 (For Individuals Only)

### Introduction

#### 引言

1. This Personal Data Privacy Protection Policy (“Policy”) sets out the manner and purposes of the collection of personal data in connection with the subscription of shares in the fund(s) managed by Leading (the “Fund(s)”).  
本個人資料隱私保護政策(簡稱「隱私政策」) 載列收集及運用閣下的個人資料目的。

### Definitions

#### 定義

2. Terms used herein unless otherwise defined shall have the same meaning in the Client Information Form and the Fund’s Application Form. The terms Leading used in this Policy shall mean Leading and the Funds.  
本「隱私政策」內所用認匯與申請表及客戶資訊表內相同。

### Investment Related Purposes

#### 投資相關用途

3. Information supplied on this Client Information Form and the Fund’s Application Form as well as otherwise in connection with the subscription for the Fund may be held by the Fund, Leading, the fund administrator and / or their respective affiliated companies.  
基金、基金經理及基金管理人及其代表會於閣下申購基金時收集、保留或運用閣下的個人資料及資訊。
4. Personal data supplied on this Client Information Form and the Fund’s Application Form as well as otherwise from time to time may be used for the purposes set out in the Fund’s Application Form and in particular for processing your investment.  
收集閣下的個人資料及資訊是為了處理閣下的投資。
5. Personal data may from time to time be used for the purposes of:  
閣下的個人資料將用作以下用途：
  - (i) processing your subscription and investment in the Fund(s);  
處理閣下的基金申購申請；
  - (ii) maintaining of information of the Register of Shareholders of such Fund(s);  
維護閣下的持股記錄；
  - (iii) carrying out your instructions or responding to your enquiries;  
執行及回應閣下的指示及查詢；
  - (iv) dealing in any other matters relating to your holdings of shares in the Fund (including the mailing of reports or notices);  
處理其他相關閣下持股事宜，如郵寄報告或通知等；
  - (v) forming part of the records of the recipient as to the business carried on by it;  
收件人記錄；
  - (vi) observing any legal, governmental or regulatory requirements of any relevant jurisdiction (including any disclosure or notification requirements to which any recipient of the data is subject);  
符合適用於香港或其他地區的法規，或因監管或其他管理機構的規定；
  - (vii) making disclosure or transfer of your personal data by Leading or the fund administrator to their respective employees, officers, directors, agents, holding company, subsidiaries or affiliates of the Investment Manager or the Funds’ Administrator or to any third party employed to provide administrative, computer or other services or facilities to any person to whom personal data is provided or may be transferred as aforesaid and/or to any regulatory authority entitled thereto by law or regulation (whether statutory or not) in connection with Leading’s investment in Fund, which persons may be persons inside or outside Hong Kong (in such cases, JSFL’s obligation to report may override Leading’s confidentiality obligations to you);  
於基金、其基金經理及其基金管理員或其代表間載閣下的個人資料；
  - (viii) complying with the applicable legal and regulatory requirements include know your client, anti-money laundering and counterterrorist financing, related checks including ascertaining whether you are a “professional investor” under the Securities and Futures Ordinance of the Laws of Hong Kong (as amended from time to time);  
遵守相關法規要求包括認識其用戶端規定、反洗錢規定、反恐融資規定及確定閣下是否「專業投資者」等；
  - (ix) collecting fees or charges; and  
收取費用；及
  - (x) which are directly relating to the above.  
與上述目的相關的用途。
6. Failure to provide Leading with the information and other personal data as requested may result in Leading not being able to process your application or instruction.  
如未能提供所需資料，可能導致閣下的申請或指示不能如期處理。

### Direct Marketing Purposes

#### 行銷目的

7. Leading may use the following personal data for direct marketing: (i) name, (ii) telephone number(s), (iii) residential and / or correspondence address and (iv) email address(es) (“Personal Data”);  
閣下個人資料包括姓名、電話、住址或電郵地址將用作行銷用途；
8. Personal Data will be used for direct marketing of one of more of the following products / services: (i) funds / collective investment schemes, (ii) asset management, (iii) other related investment opportunities and (iv) any other financial or investment products or services (“Products and Services”);  
行銷用途包括行銷(i) 基金；(ii) 資產管理；(iii) 其他相關投資機會；及(iv)其他相投資產品及服務等；
9. You are free to decide whether or not to allow Leading to use your personal data for direct marketing. Leading will not use your personal data unless Leading have received your consent for such use.  
閣下可自行決定是否同意閣下個人資料作以上行銷用途。

### Transfer of Personal Data for Direct Marketing

#### 轉交個人資料作行銷用途

10. In addition, Leading intend to provide, from time to time, your Personal Data above to fund administrator or its delegate ("Transferred Data Users") for use by the Transferred Data Users in direct marketing of the Products and Services.  
此外，閣下的個人資料亦會轉交給基金管理員及其代表(簡稱「資料接收戶」)作行銷用途。
11. You are free to decide whether or not to allow your personal data to be transferred to Transferred Data Users for direct marketing. Leading will not use your personal data unless Leading have received your written consent.  
閣下可自行決定是否同意轉交閣下個人資料給「資料接收戶」行銷用途。
12. You may, at any time and without charge, request that (i) Leading cease to provide your personal data or (ii) transferring to Transferred Data Users for use by the Transferred Data Users in direct marketing.  
閣下可免費於任何時候要求取消閣下的個人資料及轉交給「資料接收戶」的個人資料作行銷用途。
13. All individual investors have the right of access to, and to update, all their records (whether held in computer files or in written form) held by Leading.  
各個人投資者有權查核及更新于基金經理記錄內的個人資料
14. A copy of such record will be provided to an investor who requests it, upon the payment of a reasonable administration charge to cover the costs of complying with such request.  
於收取合理行政費用下，閣下可要求獲取于基金經理紀錄內的個人資料副本
15. You are also entitled to request Leading to:閣下亦可要求：
- respond to you whether Leading hold any of your personal data and provide access to such data;  
回復閣下於紀錄內的個人資料情況；
  - correct any personal data relating to you which is inaccurate;  
更正相關不正確個人資料；
  - describe our Policy in relating to personal data and inform you of the kinds of personal data held by PAML; and  
說明相關「隱私政策」並告知閣下所持有的相關個人資料；及
  - stop using or transferring your personal data for direct marketing.  
停止使用或轉載閣下的個人資料作行銷用途。
16. Requests should be made in writing to Leading and addressed to：
- 閣下可向合規部主管提出要求：
- Attn: Compliance Officer  
Leading Securities Company Limited  
8/F, Prosperity Tower, 39 Queen's Road Central, Central, Hong Kong
- 立鼎證券有限公司 合規部主管  
香港中環皇后大道中 39 號豐盛創建大廈 8 樓
- Tel: (852) 2510 5555  
Fax: (852) 2510 5500
- 電話: (852) 2510 5555  
傳真: (852) 2510 5500

### By signing below,

#### 當閣下簽署以下時，

- a. I / we hereby confirm that I/we read and accept the Personal Data Privacy Protection Policy as indicated above.  
我 / 我們謹此確認我 / 我們已閱讀及接受以上個人資料隱私保護政策。
- b. Please tick the boxes below if you DO NOT wish your personal data to be used in direct marketing and/or be transferred to the Transferred Data Users for use in direct marketing:  
如閣下不希望閣下的個人資料被用作行銷用途，請於以下對應方格內加上剔號。

- |   |
|---|
| <input type="checkbox"/> I / we do not wish my/our personal data to be used by Leading, funds managed by Leading respective affiliated companies for direct marketing purposes.<br>我 / 我們 不希望我 / 我們的個人資料被用於立鼎、其管理基金及其關聯公司作行銷用途。 |
| <input type="checkbox"/> I/we do not wish my/our personal data to be transferred to the Transferred Data Users for use in direct marketing by the Transferred Data Users.<br>我 / 我們不希望我 / 我們的個人資料被「資料接收戶」用作行銷用途。                |

### For Individual Investor

#### 個人投資者

### Additional Account Holders

#### 其他帳戶持有人

Account Holder Signature

帳戶持有人簽署

Account Holder Signature

帳戶持有人簽署

Printed name

請以英文正楷填寫姓名

Printed name

請以英文正楷填寫姓名

Date 日期

Date 日期



**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: _____		
<b>Accepted on behalf of Leading Securities Company Limited</b> 代表立鼎證券有限公司接納	<b>Account Executive</b> 客戶經理	
Authorized Signature 獲授權人簽署	Signature 簽署	
Name 姓名 :	Name 姓名 :	
Position 職位 :	Position 職位 : Account Executive / 客戶經理	
Date 日期 :	Date 日期 :	

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:					