



INDIVIDUAL/JOINT CASH ACCOUNT OPENING FORM

个人/联名现金户口开户申请书

客户需知 – 请细阅及在适当位置签署

客户类别	客户签名页数
Individual or Joint 个人或联名开户	p.4, p.5, p.6, p.8

INDIVIDUAL/JOINT CASH ACCOUNT OPENING FORM

个人/联名现金户口开户申请书

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 type="checkbox"/> Individual Account 个人户口 <input type="checkbox"/> Joint Account 联名户口		
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. 传真号码
HKID /CHINA ID/ Passport No. 香港/中国内地身份证 / 护照号码		Nationality 国籍
Home Tel. No. 住宅电话		Mobile Phone No. 手提电话
E-mail Address 电邮地址		
Residential Address (P.O Box not accepted) 住宅地址(不接受邮政信)		
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 type="checkbox"/> E-mail 电邮		
Employment Status 就业情况 <input type="checkbox"/> Self-employed 自雇 <input 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		Nature of Business 业务性质
Office Phone No. 公司电话	Year(s) with Existing Employer 已任职年期	Position 职位
Office Address 公司地址		
Purpose of account opening 开户目的		
Source of Fund 资金来源 <input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Business/Investment 营业收入/投资 <input type="checkbox"/> Wealth/Savings 财产/储蓄 <input type="checkbox"/> Others (Please provide details) 其他 (请提供详细数据) _____		



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?

阁下是否此户口之最终实益拥有人?

Yes 是

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

否, 请提供最终实益拥有人的详细资料, 包括真确核实的香港身份证副本 / 护照或同等文件。

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			
Occupation 职业	Relationship with client 与客户关系		Source of fund 资金来源

Are you operating this account on your own behalf?

阁下是否只代表自己操作此户口?

Yes 是

No, please provide details: _____

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 of 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: _____

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

阁下是否立鼎证券有限公司的雇员 / 合约员工?

No 否 Yes 是 Position 职位: _____

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

阁下的配偶是否持有立鼎证券有限公司的账户?

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

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

阁下及 / 或阁下配偶是否单独或共同控制立鼎证券有限公司之账户 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: _____



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:	
Account Name 账户名称:	Account No. 帐户号码:
	HKD: _____
	USD: _____
	CNY: _____
	Multi-currency: _____

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) 的有效文件必须由其中 _____ 位户口持有人签署。

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

Individual/Primary Joint Account Holder's Signature 个人/联名户口主要持有人签署	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)	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的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限前 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，本人为（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: _____



Personal Data Privacy Protection Policy 仅适用于个人投资者的个人资料隐私保护政策 (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”).
本个人资料隐私保护政策(简称「隐私政策」) 载列收集及运用阁下的个人资料目的。

Definitions

定义

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「隐私政策」内所用术语与申请表及客户信息表内相同。

Investment Related Purposes

投资相关用途

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、基金经理及基金管理人及其代表会于阁下申购基金时收集、保留或运用阁下的个人资料及信息。
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.
收集阁下的个人资料及信息是为了处理阁下的投资。
5. Personal data may from time to time be used for the purposes of:
阁下的个人资料将用作以下用途:
 - (i) processing your subscription and investment in the Fund(s);
处理阁下的基金申购申请;
 - (ii) maintaining of information of the Register of Shareholders of such Fund(s);
维护阁下的持股记录;
 - (iii) carrying out your instructions or responding to your enquiries;
执行及响应阁下的指示及查询;
 - (iv) dealing in any other matters relating to your holdings of shares in the Fund (including the mailing of reports or notices);
处理其他相关阁下持股事宜, 如邮寄报告或通知等;
 - (v) forming part of the records of the recipient as to the business carried on by it;
收件人记录;
 - (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);
符合适用于香港或其他地区的法规, 或因监管或其他管理机构的规定;
 - (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);
于基金、其基金经理及其基金管理员或其代表间载阁下的个人资料;
 - (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);
遵守相关法规要求包括认识其客户端规定、反洗钱规定、反恐融资规定及确定阁下是否「专业投资者」等;
 - (ix) collecting fees or charges; and
收取费用; 及
 - (x) which are directly relating to the above.
与上述目的相关的用途。
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.
如未能提供所需资料, 可能导致阁下的申请或指示不能如期处理。

Direct Marketing Purposes

营销目的

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”);
阁下个人资料包括姓名、电话、住址或电邮地址将用作营销用途;
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”);
营销用途包括营销(i) 基金; (ii) 资产管理; (iii) 其他相关投资机会; 及(iv)其他相投资产品及服务等;
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.
阁下可自行决定是否同意阁下个人资料作以上营销用途。

Transfer of Personal Data for Direct Marketing

转交个人资料作营销用途

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, 阁下的个人资料亦会转交给基金经理及其代表(简称「数据接收户」)作营销用途。
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.
阁下可自行决定是否同意转交阁下个人资料给「数据接收户」营销用途。
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.
阁下可免费于任何时候要求取消阁下的个人资料及转交给「数据接收户」的个人资料作营销用途。
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.
各个人投资者有权查核及更新于基金经理记录内的个人资料
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.
于收取合理行政费用下, 阁下可要求获取于基金经理纪录内的个人资料副本
15. You are also entitled to request Leading to: 阁下亦可要求:
- i. respond to you whether Leading hold any of your personal data and provide access to such data;
回复阁下于纪录内的个人资料情况;
 - ii. correct any personal data relating to you which is inaccurate;
更正相关不正确个人资料;
 - iii. describe our Policy in relating to personal data and inform you of the kinds of personal data held by PAML; and
说明相关「隐私政策」并告知阁下所持有的相关个人资料; 及
 - iv. stop using or transferring your personal data for direct marketing.
停止使用或转载阁下的个人资料作营销用途。
16. Requests should be made in writing to Leading and addressed to:
- 阁下可向合规部主管提出要求:
Attn: Compliance Officer
Leading Securities Company Limited
8/F, Prosperity Tower, 39 Queen's Road Central, Central, Hong Kong
- 立鼎证券有限公司 合规部主管
香港中环皇后大道中 39 号丰盛创建大厦 8 楼
- Tel: (852) 2510 5555
Fax: (852) 2510 5500
- 电话: (852) 2510 5555
传真: (852) 2510 5500

By signing below,

当阁下签署以下时,

- a. I / we hereby confirm that I/we read and accept the Personal Data Privacy Protection Policy as indicated above.
我 / 我们谨此确认我 / 我们已阅读及接受以上个人资料隐私保护政策。
- 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:
如阁下不希望阁下的个人资料被用作营销用途, 请于以下对应方格内加上别号。

- | |
|---|
| <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.
我 / 我们 不希望我 / 我们的个人资料被用于立鼎、其管理基金及其关联公司作营销用途。 |
| <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.
我 / 我们 不希望我 / 我们的个人资料被「数据接收户」用作营销用途。 |

For Individual Investor

个人投资者

Additional Account Holders

其他账户持有人

Account Holder Signature

账户持有人签署

Account Holder Signature

账户持有人签署

Printed name

请以英文正楷填写姓名

Printed name

请以英文正楷填写姓名

Date 日期

Date 日期

