

**ACCOUNT OPENING APPLICATION FORM**  
**JOINT ACCOUNT**

開戶申請表格  
 聯名帳戶

Account Type 帳戶類別	Account No. 帳戶編號	Fees 收費
<input type="checkbox"/> Cash (Phone Trading) 現金帳戶 (電話交易)		<input type="checkbox"/> _____ % with HK\$ _____ min. 最低
<input type="checkbox"/> Online Cash 電子現金帳戶		<input type="checkbox"/> _____ % with HK\$ _____ min. 最低
<input type="checkbox"/> Margin (Phone Trading) 保證金帳戶 (電話交易)		<input type="checkbox"/> _____ % with HK\$ _____ min. 最低
<input type="checkbox"/> Online Margin 電子保證金帳戶		<input type="checkbox"/> _____ % with HK\$ _____ min. 最低

<b>Account Name</b> 帳戶姓名

<b>AE Name</b> 經紀名稱	<b>AE Code</b> 經紀編號

### Account Opening Application Form - Joint Account

開戶申請表格 - 聯名帳戶

Main Account Holder 主要戶口持有人			Joint Account Holder 聯名戶口持有人		
<b>1. Name 姓名</b>					
In Chinese 中文		In English 英文		In Chinese 中文	
In Chinese 中文		In English 英文		In English 英文	
<b>2. Personal Information 個人資料</b>					
Residential Address 住宅地址			Residential Address 住宅地址		
_____ _____ Please provide residential address proof within the latest 3 months 請提供最近三個月之住宅地址證明			_____ _____ Please provide residential address proof within the latest 3 months 請提供最近三個月之住宅地址證明		
ID No. or Passport No. 身份證號碼或護照號碼			ID No. or Passport No. 身份證號碼或護照號碼		
Type of ID/ Passport 身份證/護照種類 <input type="checkbox"/> HK Identity Card 香港身份證 <input type="checkbox"/> Chinese Identity Card 中國身份證 <input type="checkbox"/> 中國護照 Chinese Passport <input type="checkbox"/> other, 其他地區/國家護照: _____			Type of ID/ Passport 身份證/護照種類 <input type="checkbox"/> HK Identity Card 香港身份證 <input type="checkbox"/> Chinese Identity Card 中國身份證 <input type="checkbox"/> 中國護照 Chinese Passport <input type="checkbox"/> other, 其他地區/國家護照: _____		
Date of Birth 出生日期	Sex 性別	Nationality 國籍	Date of Birth 出生日期	Sex 性別	Nationality 國籍
Born in the U.S. 於美國出生? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是  U.S. citizen, green card holder, or residing in U.S.? 是否美國公民、綠咭持有人、或居住於美國? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是  If Yes, please provide Taxpayer Identification Number : 如是，請提供美國納稅人識別號碼： _____			Born in the U.S. 於美國出生? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是  U.S. citizen, green card holder, or residing in U.S.? 是否美國公民、綠咭持有人、或居住於美國? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是  If Yes, please provide Taxpayer Identification Number : 如是，請提供美國納稅人識別號碼： _____		
Education Level 學歷： <input type="checkbox"/> Primary 小學 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Post-Secondary 預科或大專 <input type="checkbox"/> University or above 本科/大學或以上			Education Level 學歷： <input type="checkbox"/> Primary 小學 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Post-Secondary 預科或大專 <input type="checkbox"/> University or above 本科/大學或以上		
Mobile Phone 手提電話	Residential Phone 住宅電話	Facsimile No. 傳真號碼	Mobile Phone 手提電話	Residential Phone 住宅電話	Facsimile No. 傳真號碼
Email Address 電郵地址 (Mandatory for electronic trading 電子交易必須填寫)			Email Address 電郵地址 (Mandatory for electronic trading 電子交易必須填寫)		
Select your language 選擇語言: <input type="checkbox"/> 繁體 <input type="checkbox"/> 簡體 <input type="checkbox"/> English					
<b>3. Employment Status 工作狀況</b>					
Employment Status 工作狀況 <input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Housewife 主婦 <input type="checkbox"/> Others 其他 _____			Employment Status 工作狀況 <input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Housewife 主婦 <input type="checkbox"/> Others 其他 _____		
Name of Employer 僱主名稱		Occupation (or Nature of Business) 職業 (或業務性質)	Name of Employer 僱主名稱		Occupation (or Nature of Business) 職業 (或業務性質)
Position 職位		Year(s) of Service 服務年資	Position 職位		Year(s) of Service 服務年資
Business Address 公司地址			Business Address 公司地址		
Business Phone 公司電話			Business Phone 公司電話		
Relationship between Main Account Holder and Join Account Holder (if applicable) 聯名帳戶主要戶口持有人與聯名戶口持有人關係 (如適用)					
<b>4. Method of Communication 通訊方式</b>					
Please choose one of the following method of communication only 請只選擇其中一項通訊方法:					
<input type="checkbox"/> By Post to Correspondence address 郵寄至通訊地址 (please provide correspondence address proof within latest 3 months 請提供最近三個月之通訊地址證明)					
<input type="checkbox"/> Residential Address 住宅地址 <input type="checkbox"/> Business Address 公司地址 <input type="checkbox"/> Other Address 其他地址 _____ (Please note that the statement will be sent to Main Account Holder 請留意結單將以郵遞方式寄往主要戶口持有人)					
<input type="checkbox"/> By Email 電子郵件					

Main Account Holder 主要戶口持有人		Joint Account Holder 聯名戶口持有人	
<b>5. Financial Background 財務狀況</b>			
Source of Funds / Wealth 資金 / 財富來源			
<input type="checkbox"/> Salary and/ or bonus 薪金及 / 或花紅 <input type="checkbox"/> Commission 佣金 <input type="checkbox"/> Business Income 業務收入 <input type="checkbox"/> Return on Investment 投資回報 <input type="checkbox"/> Saving 儲蓄 <input type="checkbox"/> Retirement Funds 退休金 <input type="checkbox"/> Others 其他 (Please specify 請說明) _____		<input type="checkbox"/> Salary and/ or bonus 薪金及 / 或花紅 <input type="checkbox"/> Commission 佣金 <input type="checkbox"/> Business Income 業務收入 <input type="checkbox"/> Return on Investment 投資回報 <input type="checkbox"/> Saving 儲蓄 <input type="checkbox"/> Retirement Funds 退休金 <input type="checkbox"/> Others 其他 (Please specify 請說明) _____	
Annual Income (in HK\$) 年薪 (以港幣計算)			
<input type="checkbox"/> less than 少於\$250,000 <input type="checkbox"/> \$250,001 - \$500,000 <input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> more than 多於\$1,000,000		<input type="checkbox"/> less than 少於\$250,000 <input type="checkbox"/> \$250,001 - \$500,000 <input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> more than 多於\$1,000,000	
Approximate total asset value (in HK\$) (including real estates, cash deposits at Bank, shares, bonds, warrants) 資產總約值(以港幣計算) (包括物業、銀行存款、股票、債券、認股權證)			
<input type="checkbox"/> less than 少於 \$50,000 <input type="checkbox"/> \$50,001 - \$200,000 <input type="checkbox"/> \$200,001 - \$500,000 <input type="checkbox"/> \$500,001 - \$1,000,000		<input type="checkbox"/> \$1,000,001 - \$5,000,000 <input type="checkbox"/> \$5,000,001 - \$8,000,000 <input type="checkbox"/> \$8,000,001 - \$40,000,000 <input type="checkbox"/> more than 多於\$40,000,000	
<input type="checkbox"/> less than 少於 \$50,000 <input type="checkbox"/> \$50,001 - \$200,000 <input type="checkbox"/> \$200,001 - \$500,000 <input type="checkbox"/> \$500,001 - \$1,000,000		<input type="checkbox"/> less than 少於 \$50,000 <input type="checkbox"/> \$50,001 - \$200,000 <input type="checkbox"/> \$200,001 - \$500,000 <input type="checkbox"/> \$500,001 - \$1,000,000	
<input type="checkbox"/> \$1,000,001 - \$5,000,000 <input type="checkbox"/> \$5,000,001 - \$8,000,000 <input type="checkbox"/> \$8,000,001 - \$40,000,000 <input type="checkbox"/> more than 多於\$40,000,000		<input type="checkbox"/> \$1,000,001 - \$5,000,000 <input type="checkbox"/> \$5,000,001 - \$8,000,000 <input type="checkbox"/> \$8,000,001 - \$40,000,000 <input type="checkbox"/> more than 多於\$40,000,000	
Ongoing Source(s) of Funds 持續資金來源: a) Means of fund transfer(s) 資金轉移的方式: <input type="checkbox"/> Cheque/ Bank Draft 支票 / 銀行本票 <input type="checkbox"/> Telegraphic Transfer 電匯 <input type="checkbox"/> Others 其他 (Please specify 請說明: _____)		Ongoing Source(s) of Funds 持續資金來源: a) Means of fund transfer(s) 資金轉移的方式: <input type="checkbox"/> Cheque/ Bank Draft 支票 / 銀行本票 <input type="checkbox"/> Telegraphic Transfer 電匯 <input type="checkbox"/> Others 其他 (Please specify 請說明: _____)	
b) Country(ies) of Origin(s) 資金來源地: <input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Mainland China 中國內地 <input type="checkbox"/> Macau 澳門 <input type="checkbox"/> United States 美國 <input type="checkbox"/> Other 其他 (Please specify 請說明: _____)		b) Country(ies) of Origin(s) 資金來源地: <input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Mainland China 中國內地 <input type="checkbox"/> Macau 澳門 <input type="checkbox"/> United States 美國 <input type="checkbox"/> Other 其他 (Please specify 請說明: _____)	
<b>Main Account Holder 主要戶口持有人</b>			
<b>6. Investment Experience 投資經驗</b>			
Securities Trading 證券交易		<input type="checkbox"/> Yes 有 ( ) year(s) 年/ <input type="checkbox"/> No 沒有	
Futures / Options Trading 期貨 / 期權交易		<input type="checkbox"/> Yes 有 ( ) year(s) 年/ <input type="checkbox"/> No 沒有	
Stock Options 股票期權交易		<input type="checkbox"/> Yes 有 ( ) year(s) 年/ <input type="checkbox"/> No 沒有	
Forex/Commodity Futures Trading 外匯/商品期貨交易		<input type="checkbox"/> Yes 有 ( ) year(s) 年/ <input type="checkbox"/> No 沒有	
Bullion Trading 貴金屬交易		<input type="checkbox"/> Yes 有 ( ) year(s) 年/ <input type="checkbox"/> No 沒有	
Derivative Warrants 衍生權證交易		<input type="checkbox"/> Yes 有 ( ) year(s) 年/ <input type="checkbox"/> No 沒有	
Callable Bull/Bear Contracts 牛熊證交易		<input type="checkbox"/> Yes 有 ( ) year(s) 年/ <input type="checkbox"/> No 沒有	
Exchange Traded Funds 交易所買賣基金交易		<input type="checkbox"/> Yes 有 ( ) year(s) 年/ <input type="checkbox"/> No 沒有	
Equity Linked Instruments 股票掛鈎票據交易		<input type="checkbox"/> Yes 有 ( ) year(s) 年/ <input type="checkbox"/> No 沒有	
Mutual Funds / Unit Trust 互惠基金 / 單位信託基金		<input type="checkbox"/> Yes 有 ( ) year(s) 年/ <input type="checkbox"/> No 沒有	
Fixed Income Securities (e.g. Bonds) 固定收益證券 (例如債券)		<input type="checkbox"/> Yes 有 ( ) year(s) 年/ <input type="checkbox"/> No 沒有	
<b>7. Risk Tolerance Assessment 風險承受評估</b>			
a) Investment Objective 投資目標 (Please choose one of the options only 請只選擇其中一項)			
<input type="checkbox"/> Long Term 長期		<input type="checkbox"/> Medium Term 中期	
		<input type="checkbox"/> Short Term 短期	
b) Risk Profile 風險屬性 (Please choose one of the options only 請只選擇其中一項)			
<input type="checkbox"/> Conservative 保守型		<input type="checkbox"/> Balanced 平衡型	
		<input type="checkbox"/> Growth 增長型	
		<input type="checkbox"/> Aggressive 進取型	
<b>8. Knowledge of Derivative Products 客戶對衍生產品的認識 (please tick as appropriate 請在適當空格加 "✓")</b>			
<input type="checkbox"/> The Client <b>will/may</b> trade any derivative products, and has knowledge and understands Zhong Jia Securities Limited will assess whether the Client has adequate knowledge on derivative products according to the information the Client provided. 客戶將會/或會進行買賣任何衍生產品, 並知悉及明白中佳證券有限公司將根據以下的資料以評估客戶是否對衍生工具產品有認識。			
<input type="checkbox"/> Client had undergone training or attended courses related to derivative products; and/ or 客戶曾接受有關衍生產品的培訓或修讀相關課程; 及 / 或			
<input type="checkbox"/> Client has current or past work experience related to derivative products; and/ or 客戶現時或過去擁有與衍生產品有關的工作經驗; 及 / 或			
<input type="checkbox"/> Client has executed 5 or more transactions in derivative products in the past 3 years, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures & Options, and Exchange Traded Funds, etc. 客戶於過去三年內曾執行5次或以上有關衍生產品的交易, 例如: 衍生權證、牛熊證、股票期權、期貨及期權、及交易所買賣基金等。			
<input type="checkbox"/> Client DOES NOT WISH to trade any derivative products 客戶不會買賣任何衍生產品。			
<b>Confirmed &amp; Signed by Client 客戶確認及簽署:</b> 1. _____ (Main Account Holder 主要戶口持有人) 2. _____ (Joint Account Holder 聯名戶口持有人)			
<b>9. Signing Arrangement 簽名安排 (for Joint Account only 只適用於聯名帳戶)</b>			
The Account can be operated, including fund withdrawal, under the instruction of (please tick the appropriate box): 此帳戶可根據以下指示方式操作, 包括資金提取 (請在適當空格加 "✓"):			
<input type="checkbox"/> <b>Either</b> one of the account holders; or 任何一位帳戶持有人的指示; 或 <input type="checkbox"/> <b>Both</b> account holders 兩位帳戶持有人的指示			

<b>10. Other Services 其他服務</b>			
Please provide (if applicable) 請提供 (如適用): _____			
<b>11. Settlement Account Information (for fund withdrawal) 結算帳戶資料 (用作資金提取)</b> A/C holder must bear the same name as this trading account 銀行帳戶持有人名稱必須與本交易帳戶持有人相同			
Currency 貨幣	Name of Bank 銀行名稱	Account No. 帳戶號碼	Name of Account Holder 帳戶持有人名稱
HKD 港幣			
USD 美元			
CNY 人民幣			
Other 其他 (Please specify 請明): _____			
<b>Main Account Holder 主要戶口持有人</b>		<b>Joint Account Holder 聯名戶口持有人</b>	
<b>12. Disclosure of Identity 相關身份披露</b>			
<p>Are you a director, an employee or a representative of an intermediary licensed/registered under the Securities and Futures Ordinance? 閣下是否為《證券及期貨條例》之下持牌/註冊的中介人的董事、僱員或代表?</p> <p><input type="checkbox"/> No 否 <input type="checkbox"/> Yes*, I am a director/ an employee 本人是董事/僱員      <input type="checkbox"/> Yes*, I am a registered representative 本人是持牌代表</p> <p>* Please specify the name of the intermediary and your CE. No. : 請列出該中介人名稱及閣下的中央編號 : _____</p> <p>* Please attach a consent letter of account opening from the intermediary. 請附上該中介人發出之開戶同意書。</p>		<p>Are you a director, an employee or a representative of an intermediary licensed/registered under the Securities and Futures Ordinance? 閣下是否為《證券及期貨條例》之下持牌/註冊的中介人的董事、僱員或代表?</p> <p><input type="checkbox"/> No 否 <input type="checkbox"/> Yes*, I am a director/ an employee 本人是董事/僱員      <input type="checkbox"/> Yes*, I am a registered representative 本人是持牌代表</p> <p>* Please specify the name of the intermediary and your CE. No. : 請列出該中介人名稱及閣下的中央編號 : _____</p> <p>* Please attach a consent letter of account opening from the intermediary. 請附上該中介人發出之開戶同意書。</p>	
<p>Are you an employee or a relative of any director, employee or representative of <b>Zhong Jia Securities Limited</b> or its group companies? 閣下是否<b>中佳證券有限公司</b>或其集團公司之僱員或與任何董事、職員或代表有親屬關係? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, the name of the director, employee or representative and relationship with him/her 是, 請列出該董事、職員或代表之名稱及與此人之關係 _____</p>		<p>Are you an employee or a relative of any director, employee or representative of <b>Zhong Jia Securities Limited</b> or its group companies? 閣下是否<b>中佳證券有限公司</b>或其集團公司之僱員或與任何董事、職員或代表有親屬關係? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, the name of the director, employee or representative and relationship with him/her 是, 請列出該董事、職員或代表之名稱及與此人之關係 _____</p>	
<p>Are you, your spouse, child, or parent entrusted or has been entrusted with a prominent public function, which includes a head of state, head of government, judicial or military official, senior executive of a state-owned corporation and an important political party official? 閣下、配偶、子女或父母, 是否擔任重要公職, 包括國家元首、政府首長、司法或軍事官員、國有企業高級行政人員及重要政黨幹事? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify: 是, 請說明: _____</p>		<p>Are you, your spouse, child, or parent entrusted or has been entrusted with a prominent public function, which includes a head of state, head of government, judicial or military official, senior executive of a state-owned corporation and an important political party official? 閣下、配偶、子女或父母, 是否擔任重要公職, 包括國家元首、政府首長、司法或軍事官員、國有企業高級行政人員及重要政黨幹事? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify: 是, 請說明: _____</p>	
<b>13. Are you the ultimate beneficial owner of the account? 閣下是否此戶口最終權益擁有人?</b>			
<input type="checkbox"/> Yes 是			
<input type="checkbox"/> No, Please provide the information of the ultimate beneficial owner as stated below: 不是, 請提供戶口最終權益擁有人資料如下			
Name in Chinese 中文姓名		Name in English 英文姓名	
Date of Birth 出生日期		Sex 性別	
ID No. (or Passport No. and Country of issue) 身份證號碼 (或護照號碼及簽發國家)		Nationality 國籍	
Residential Address 住宅地址			
Permanent Address (if different from the above stated, in English BLOCK letters and in Chinese) 永久地址 (如與上述不同, 請以中英文正楷填寫)			
<b>14. Authorized Person 獲授權人</b>			
Has any person been authorized to give instructions in relation to all transactions? 閣下是否已授權任何人士作出有關交易指令?			
<input type="checkbox"/> No 否			
<input type="checkbox"/> Yes, please refer to attached Letter of Authorization and Information Statement of Authorized Person. 是, 請參閱附上之授權書及獲授權人資料表。			

**15. Disclosure of Group Related Margin Clients\* 關連保證金客戶聲明\***

(for Margin Account only 只適用於保證金帳戶)

For the purpose of complying with the requirements of Financial Resources Rules ("FRR") in regards to "Group of Related Margin Clients"\*,

I/We \_\_\_\_\_ (A/C No. \_\_\_\_\_) hereby declare that:

I/We  DO NOT HAVE/ HAVE related margin account(s) with Zhong Jia Securities Limited. If you have, please state:

為符合財政資源規則下有關一組關連保證金客戶\*的要求，

本人/吾等 \_\_\_\_\_ (帳戶號碼： \_\_\_\_\_) 特此聲明：

本人/吾等  沒有/ 持有任何關連保證金戶口於中佳證券有限公司。如有，請說明：

Account No. 帳戶號碼	Name 名稱	Relationship 關係

\* "Group of Related Margin Clients" as defined in FRR means: (a) where it is a group of two margin clients, one is the spouse of the other; (b) where one or more of the margin clients are corporations, one is in control, either alone or with his/her spouse, of 35% or more of the voting rights of that other margin client or each of the other margin clients; or (c) where the margin clients are corporations, they are members of the same group of companies.

\* 財政資源規則所定義的「一組關連保證金客戶」是指：(a) 如該組只有 2 名保證金客戶，其中一名保證金客戶是另一名的配偶；(b) 如該等保證金客戶中有一名或多於一名是法團，其中一名保證金客戶單獨或與其配偶控制其餘的一名或每名保證金客戶的 35% 或以上的表決權；或 (c) 如該等保證金客戶均為法團，該等保證金客戶是同一公司集團的成員。

**16. Declaration and Acknowledgment 聲明及確認**

Prior to signing this Account Opening Form, please: 於簽署此開戶表格前，敬請：

- note that all transactions to be concluded with or through Zhong Jia Securities Limited (ZJ) shall be subject to the terms and conditions of the Client Agreement (as defined below); and 注意所有與中佳證券有限公司（“貴公司”）完成或透過貴公司進行之交易均受客戶協議（定義請參閱下文）之條件及條款所限制；及
- read the Client Agreement (including Risk Disclosure Statement) which you have been provided in a language (English or Chinese) of your choice carefully, ask questions and take independent advice if you so wish. 細閱已按照閣下所選擇的語言（英文或中文）而提供予閣下的客戶協議（包括風險披露聲明），提出問題及徵求獨立的意見（如閣下有此意願）。

I/We declare and acknowledge that: 本人/吾等聲明及確認：

- I / We acknowledge my / our receipt of the Client Agreement of ZJ (including all sections thereunder and appendices thereto), the Risk Disclosure Statement, the Client Information Statement, the Account Opening Form and any other agreements or documents related to the opening of the account(s), whenever applicable (collectively the "Client Agreement") and confirm that the Client Agreement (including Risk Disclosure Statement) were provided to me / us in a language (English or Chinese) of my / our choice and I / we was / were invited to read the Client Agreement (including Risk Disclosure Statement) and General Knowledge on Derivatives Course (if applicable) carefully, ask questions and take independent advice if I / we so wish. 本人/吾等確認已收受貴公司之客戶協議（包括協議所有部份及附錄）、風險披露聲明、客戶資料聲明、開戶表格及其他與是次開戶有關的協議及文件（如適用）（合稱「客戶協議」）及確認客戶協議（包括風險披露聲明）是按照本人/吾等所選擇的語言（英文或中文）而提供，並已邀請本人/吾等閱讀該客戶協議（包括風險披露聲明）及一般衍生工具知識課程（如適用），提出問題及徵求獨立的意見（如本人/吾等有此意願）。
- I / We confirm that I / we have carefully read, fully understood and accepted all the terms and provisions contained in the Client Agreement (including Risk Disclosure Statement) and shall be bound by the Client Agreement (including Risk Disclosure Statement) as it may be amended from time to time. 本人/吾等確認本人/吾等已仔細閱讀，充分理解並接受載於客戶協議內（包括風險披露聲明）的所有條款及規定，並同意遵守客戶協議（包括風險披露聲明）可能會不時修訂的所有條款及規定。
- [For Margin Account] I/We have read and understood the content of the Authorization for Client Securities (as per ANNEX 1), i.e. the "Standing Authority" for Margin Account and am/are aware of the relevant risks in providing you with such authority. I/We understand that such authority will be renewed annually under the regulatory requirement and agree to be bound by its terms. [適用於保證金帳戶] 本人/吾等已閱讀及明白於附件一之「客戶證券授權書」的內容，即就保證金帳戶作出的「常設授權」，同時亦了解其相關的風險就所作出的授權。本人/吾等明白此授權會按照監管要求下每年續期，並同意接受該授權書內的條款所約束。
- I / We confirm that I / we have carefully read, fully understood and accepted the explanations contained in "the Definitions of Risk Tolerance Assessment" 本人/吾等確認本人/吾等已仔細閱讀，充分理解並接受載於「風險承受能力評估的說明」的釋義。
- I / we further acknowledge and agree that: 本人/吾等進一步確認及同意：
  - in the event of ZJ default and me / us having incurred a loss as a result thereof, the liability of the Investor Compensation Fund established under the Securities and Futures Ordinance (where applicable) will be restricted to the extent provided for therein, and 若因貴公司之失誤而導致本人/吾等蒙受損失，賠償責任將限於根據證券及期貨條例成立之投資者賠償基金規定的範圍內（如適用）；及
  - where securities are deposited with ZJ or purchased pursuant to the Client Agreement and held outside Hong Kong, I / we may not be afforded equivalent protection in respect of those securities as that afforded under Hong Kong law and I / we may not have the same right as I / we have in respect of securities held in Hong Kong. 假若證券寄存於貴公司或根據客戶協議買入並於香港以外持有，本人/吾等便可能不能享有香港法例給予該等證券的同等保障，以及可能不能享有如同在香港持有該等證券的相同權利。
- I/We represent that the information contained in this Supplementary Information for Client Profile is true, complete and correct. ZJ is entitled to rely fully on such information and representations for all purposes, until ZJ receive notice in writing from me/us of any changes. If there are any changes in respect of the information contained in this information above, I/We undertake to inform ZJ promptly. ZJ is authorized at any time to contact anyone for the purpose of verifying the information provided. 本人/吾等聲明本客戶補充資料上所述的資料為真實、完整及正確。除貴公司收到本人/吾等書面通知更改，貴公司有權依賴上述的資料及聲明作任何目的。如上述所提供的資料有任何更改，本人/吾等承諾將立即通知貴公司。貴公司獲授權於任何時間聯絡有關人士核對上述資料。
- [ Circular relating to Personal Data (Privacy) Ordinance ] [ 有關《個人資料（私隱）條例》之客戶通知書 ]**

I/We confirm that I/we have already perused and understood Zhong Jia Securities Limited ("ZJ")'s Privacy Policy and Personal Information Collection Statement. I/We confirm my/our consent given to ZJ to retain and use my/our personal data for the purposes as set out in ZJ's Privacy Policy and Personal Information Collection Statement, which can be accessed on ZJ's website: <http://www.zjsec.com.hk/>. I/We confirm my/our understanding that ZJ's Privacy Policy and Personal Information Collection Statement could be revised and updated by ZJ from time to time without prior notice to me/us and that I/we should access the same to review any updates from time to time. I/We acknowledge that I/we could obtain updated copies of ZJ's Privacy Policy and Personal Information Collection Statement by calling ZJ's Customer Service hotline at 2115 8467 anytime during office hours. To access or update my/our personal data held by ZJ or to request ZJ not to use such personal data in direct marketing, I/we should write to ZJ's Data Protection Officer at Unit D - F, 15/F, Neich Tower, 128 Gloucester Road, Wan Chai, Hong Kong.

本人/吾等確認本人/吾等已細閱及明白中佳證券有限公司（中佳）私隱政策及個人資料收集聲明。本人/吾等確認本人/吾等同意中佳收集及使用本人/吾等的個人資料用於中佳私隱政策及個人資料收集聲明所列明的相關用途，並可透過中佳網址(<http://www.zjsec.com.hk/>) 查閱。本人/吾等確認本人/吾等已明白中佳私隱政策及個人資料收集聲明可不時作出修訂及更新，並且不會就此作出另行通知，本人/吾等亦應不時查閱其更新的版本。本人/吾等已得悉本人/吾等可於辦公時間內致電中佳客戶服務熱線：2115 8467 索取最新的中佳私隱政策及個人資料收集聲明的副本。如欲查閱或更新中佳所收集的個人資料，或要求中佳不再使用本人/吾等的個人資料作直接促銷，本人/吾等應以書面聯絡中佳的資料保護主任，地址：香港灣仔告士打道 128 號祥豐大廈 15 樓 D-F 室。

I/We confirm that I/we have been notified that my/our personal data inclusive of my/our name(s), telephone number(s), e-mail address(es) and address(es) are intended to be used in direct marketing, the details of which are set out in ZJ's Privacy Policy and Personal Information Collection Statement, which can be accessed on ZJ's website: <http://www.zjsec.com.hk/>, but that such use of my/our said personal data in direct marketing could not take place without my/our consent.

本人/吾等確認本人/吾等已被通知本人/吾等的個人資料包括本人/吾等的姓名、電話號碼、電郵地址及地址將作直接促銷，有關詳情載於中佳私隱政策及個人資料收集聲明，並可透過中佳網址 (<http://www.zjsec.com.hk/>) 查閱。在未得到本人/吾等同意之前，中佳並不能使用本人/吾等的個人資料作直接促銷。

I/We understand that I/we should sign at the end of this Notice to indicate that I/we have perused, understood and agreed with the contents of this Notice and to indicate my/our agreement to the aforesaid use of my/our said personal data in direct marketing.

本人/吾等明白本人/吾等應在本通告下方簽署以表明本人/吾等已細閱、明白及同意本通告的內容，並表明本人/吾等同意上述有關使用本人/吾等的個人資料作直接促銷。

Should I/we find the aforesaid use of my/our said personal data in direct marketing not acceptable, I/we would indicate my/our objection before signing by ticking  below.

如本人/吾等不接受本人/吾等的個人資料用於直接促銷，本人/吾等將於簽署前在下列空格加上  以茲反對。

I/We  **do not wish** to receive ongoing marketing information/materials from ZJ and I/we do not consent to ZJ's retention and use of my/our personal data in direct marketing.

本人/吾等  **不願意** 收取中佳推廣資訊/刊物及本人/吾等不同意中佳保留及使用本人/吾等的個人資料作直接促銷。

<p>Name of Client(s) 客戶名稱</p> <p>1. _____ (Main Account Holder 主要戶口持有人)</p> <p>2. _____ (Joint Account Holder 聯名戶口持有人)</p>	<p>Signature of Client(s) 客戶簽署</p> <p>1. _____ (Main Account Holder 主要戶口持有人)</p> <p>2. _____ (Joint Account Holder 聯名戶口持有人)</p> <p>Date 日期: ____ day (日) of ____ month (月) of ____ year (年)</p>
<p>in the presence of 見證人:</p> <p>_____ Name of Witness# 見證人名稱#</p> <p>_____ Profession/Occupation 專業/職業</p> <p>_____ Name of Company 公司名稱</p> <p>_____ Company Address 公司地址</p>	<p>_____ Signature of Witness 見證人簽署</p> <p>Date 日期: ____ day (日) of ____ month (月) of ____ year (年)</p>
<p># Witness should be a licensed or registered person, an affiliate of a licensed or registered person, a Justice of the Peace, or a professional person such as a branch manager of a bank, certified public accountant, lawyer, notary public, or an officer of an embassy, consulate or high commission of the country of issue of documentary verification of identity. 見證人應為持牌或註冊人士、持牌或註冊人士的聯繫人士、太平紳士或專業人士，例如銀行分行經理、執業會計師、律師、公證人，或發出身份核實文件的國家的大使館、領事館或高級專員公署的人員。</p>	

### ACCOUNT EXECUTIVE'S DECLARATIONS 客戶主任聲明

I hereby confirm that: 本人在此確認：

- I have witnessed the signature and inspected the original identity documents of the above-named client. 本人已核查上述客戶之身份證明文件之原本，並見證上述客戶之簽名。
- The client has been provided with the Client Agreement (including Risk Disclosure Statement) in the language of the client's choice (English or Chinese); and the client has been invited to read the Client Agreement (including Risk Disclosure Statement), ask questions and take independent advice if the client so wishes. 客戶已被提供按照其所選擇的語言（英文或中文）的客戶協議（包括風險披露聲明），本人並且已邀請客戶閱讀該客戶協議（包括風險披露聲明），提出問題及徵求獨立的意見（如閣下有此意願）。
- I have already explained to the client that if the client is currently employed by any registered institution or licensed corporation to carry on regulated activities, the client is required to provide a written consent from his / her employer in support of this account opening. 本人已向客戶解釋，假若客戶現受僱於任何從事受規管活動之註冊機構或持牌公司，客戶必須向本公司提供其僱主就是次開納帳戶所發出的同意書。
- The client has been provided with **"the Definitions of Risk Tolerance Assessment"** in the language of the client's choice (English or Chinese); and the client has been invited to read the explanation contained in **"the Definitions of Risk Tolerance Assessment"**, ask questions and take independent advice if the client so wishes. 客戶已被提供按照其所選擇的語言（英文或中文）的「**風險承受能力評估的說明**」，本人並且已邀請客戶閱讀該「**風險承受能力評估的說明**」的釋義，提出問題及徵求獨立的意見（如閣下有此意願）。

\_\_\_\_\_  
Signed by licensed representative 持牌代表簽署

\_\_\_\_\_  
CE Number 中央編號

\_\_\_\_\_  
Name of licensed representative (in block letters) 持牌代表名稱 (正楷)

\_\_\_\_\_  
Date 日期

\_\_\_\_\_  
Name of Responsible Officer 負責人員姓名

\_\_\_\_\_  
Signature of Responsible Officer 負責人員簽署

Acknowledged and Accepted by  
**Zhong Jia Securities Limited**  
經由 **中佳證券有限公司**  
承認及接納

Date 日期： \_\_\_\_ day (日) of \_\_\_\_ month (月) of \_\_\_\_ year (年)

**Checking List - Completed by AE 查核表格 – 由經紀填寫**

1. <input type="checkbox"/> Face-to-face account opening 面對面方式開戶 <input type="checkbox"/> NON face-to-face account opening 非面對面方式開戶				
2. Commission Rate/ Set-up Fee 佣金收費/ 設立費				
(i) <input type="checkbox"/> Cash (Phone Trading) 現金帳戶(電話交易): <input type="checkbox"/> _____ % with HK\$ _____ min.最低				
(ii) <input type="checkbox"/> Online Cash 電子現金帳戶: <input type="checkbox"/> _____ % with HK\$ _____ min.最低				
(iii) <input type="checkbox"/> Margin (Phone Trading) 孖展帳戶(電話交易): <input type="checkbox"/> _____ % with HK\$ _____ min.最低				
(iv) <input type="checkbox"/> Online Margin 電子孖展帳戶: <input type="checkbox"/> _____ % with HK\$ _____ min.最低				
<b>Documents 文件</b>				<b>Checking 查核</b>
<b>(A) Account Opening Documents 帳戶開戶文件</b>				
1. Account Opening Application Form 開戶申請表格				
2. Copy of Hong Kong Identity Card(s) or Unexpired Government issued Identification Document Card(s) or Passport(s) of all account holder(s) (and beneficiary owner if applicable) 所有戶口持有人之香港身份證明文件或有效身份證明文件或護照之副本(及受益人如適用)				
3. Copy of valid Residential Address Proof within the latest 3 months 最近三個月內之有效住址證明文件				
4. Consent letter of account opening from the intermediary 由持牌中介人發出的開戶同意信				
5. A cheque issued by a Hong Kong licensed bank with a sum not less than HK\$10,000 made payable to "Zhong Jia Securities Limited" (if applicable)在香港持牌銀行開立的帳戶所簽發的支票, 該支票需符合數額不得少於 HK\$10,000, 抬頭為「中佳證券有限公司」(如適用)				
6. Original ML/ TF Risk Assessment Form 反洗錢和反恐怖主義融資政策評估表格				
7. Supporting Documents of Witness (if NON face-to-face account opening) 見證人證明文件(如非面對面方式開戶)				
8. Self-Certification Form – Individual (CRS-I (HK)) 自我證明表格-個人 (CRS-I (HK))				
9. Standing Authority under the Securities and Futures (Client Securities) Rules 根據《證券及期貨(客戶證券)規則》作出的常設授權				
<b>(B) Authorization of Third Party Trading (if applicable) 第三者授權交易 (如適用)</b>				
1. Form of authorization of third party trading 第三者授權表格				
2. HKID / Passport Copy of all Authorized Person(s) 所有獲授權人士之香港身份證明文件或有效身份證明文件或護照之副本				
3. Copy of valid Residential Address Proof within the latest 3 months of Authorized Person(s) 所有獲授權人士之最近三個月內之有效住址證明文件				
4. Consent letter to act as authorized person from the intermediary 由持牌中介人發出的成為獲授權人同意信				
<b>Completed by AE:</b>				
AE Code	Name of AE	Signature	Date	Remarks (if any)

<b>Completed By Compliance</b>
1. Licence Registration Checking : <input type="checkbox"/> No suspicion found <input type="checkbox"/> Suspicion found: <input type="checkbox"/> Account Holder(s) <input type="checkbox"/> Authorized Person(s)
2. AML Checking: <input type="checkbox"/> No suspicion found <input type="checkbox"/> Suspicion found, details: _____
3. PEP Checking: <input type="checkbox"/> No suspicion found <input type="checkbox"/> Suspicion found, details: _____
<b>Checked By:</b> _____ <b>Date:</b> _____

<b>Responsible Officer's Decision 負責人員決定</b>	
<b>Restricted Products/ Markets 受限制產品/ 市場:</b>  <input type="checkbox"/> Main Board 主板 Reason 原因: _____  <input type="checkbox"/> GEM Board 創業板 Reason 原因: _____  <input type="checkbox"/> Derivative Products 衍生產品 Reason 原因: _____  <input type="checkbox"/> Others 其他 Reason 原因: _____	<b>Approved By RO 由負責人員批核:</b>  _____ Name of Responsible Officer 負責人員姓名  _____ Signature of Responsible Officer 負責人員簽署 Date 日期: ____ day (日) of ____ month (月) of ____ year (年)

Signed by Settlement: \_\_\_\_\_ Date of Opening: \_\_\_\_\_