



香港 金鐘道 95 號 統一中心 35/F A1 室

Unit A1, 35/F, United Centre, 95 Queensway,
Admiralty, Hong Kong

電話 TEL: 2106 3100 傳真 FAX: 2840 1416

網址: www.chinademeter-sec.com



開戶表格 – 個人/聯名帳戶

Account Opening Form – Individual / Joint Account

帳戶編號:

Account No.

帳戶分類

Account Classified

本公司 House

經紀編號 A.E. Code: _____

介紹人 Introducer /

客戶認識國農途徑:

帳戶類別 Account Type(s) *以✓號選擇一項 * tick ✓ one

*個人帳戶 Individual Account



*聯名帳戶 Joint Account ▲



戶口第一持有人

1st Account Holder

戶口第二持有人

2nd Account Holder

▲ 聯名帳戶須每一名戶口持有人分別填寫開戶表格 P.1 – 4

所需服務 Service(s) Required

請開設以下交易賬戶 Please open the following type of trading account

證券帳戶 (現金) Securities Account (Cash)

互聯網證券交易服務 Internet Securities Trading Service

證券帳戶 (保證金) Securities Account (Margin)

資產管理帳戶 (委託帳戶) Asset Management Account (Discretionary Account)

A. 1 個人資料 Personal Information

中文 Chinese	英文 English		
姓名: Name	姓 Surname	名 Given Name	國籍 Nationality
性別 Gender	婚姻狀況: Marital Status:		
<input type="checkbox"/> 男 Male <input type="checkbox"/> 女 Female	<input type="checkbox"/> 未婚 Single <input type="checkbox"/> 已婚 Married <input type="checkbox"/> 其他 Other		
出生日期: Date of Birth	出生地點: Place of Birth	身份證/護照號碼 ID / Passport No.	簽發國家/地點: Issuing Country / Place
DD MM yyyy			
教育程度 Education:	<input type="checkbox"/> 小學或以下 Primary or below <input type="checkbox"/> 中學 Secondary <input type="checkbox"/> 大學或以上 Tertiary or above		

A. 2 聯絡資料 Contact Information

現居住址 Residential Address					
現居業權 Ownership of Residence *	<input type="checkbox"/> 自置 Owned	<input type="checkbox"/> 租用 Rented	<input type="checkbox"/> 與家人同住 With Parents	<input type="checkbox"/> 按揭 Mortgage	<input type="checkbox"/> 宿舍 Quarters
手機號碼 Mobile No.		電子郵箱 E-mail			
通訊地址 Correspondence Address: *	<input type="checkbox"/> 現居地址 Residential Address		<input type="checkbox"/> 辦公地址 Office Address		
<input type="checkbox"/> 其他 Others					

綜合結算單遞送方法 Combined Statement Delivery Method: * 電郵 By Email 郵寄至通訊地址 By Post to Correspondence Address

綜合結算單語言 Combined Statement Language: * 繁體中文 Traditional Chinese 簡體中文 Simplified Chinese 英文 English

* 以 ✓ 號選擇一項 * tick ✓ one

此表格應以英文版本為準 The English version shall always be prevailed in case of any discrepancies

此表格須與條款及條件小冊子 (版本編碼與本表格相同) 一併閱讀 This form shall be read with the Terms & Conditions booklet (with the same version code)

A. 3 就業資料 Employment Information

- 受僱 Employed
(請填寫右列資料 Please fill in details on the right)
- 自僱 Self-employed
(請填寫右列資料 Please fill in details on the right)
- 待業 Unemployed
- 退休 Retired
- 家庭主婦 Housewife

僱主名稱 Employer Name
業務類型 Nature of Business
職位 Position
辦公地址 Office Address

B. 稅務信息 Tax Information

請填寫單一或多個國籍所屬國家/地區的稅務信息。若現有工作所屬國家/地區與國籍不同，須額外添加工作所屬國家/地區的稅務信息。如帳戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。

Please enter tax information regards to your nationality or tax residency. If your work location belongs to another tax area, then you should also add tax information for that specific tax area. If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong identity Card Number.

	稅務國家/地區 Tax Country/ Area	稅務編號 Taxpayer Identification No.	如沒有提供稅務編號，填寫理由A、B或C Enter Reason A, B, C if no TIN is available	如選取理由B，請解釋 Explain it if you have selected Reason B
1	(必須填上)	(必須填上)		
2				
3				

理由 A – Reason A -	帳戶持有人的居留司法稅務管轄區並沒有向其居民發出稅務編號。 The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents
理由 B – Reason B -	帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得稅務編號的原因。 The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason
理由 C – Reason C -	帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。 TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed

警告：根據《稅務條例》第80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第3級（即\$10,000）罰款。

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).

C. 銀行戶口資料 Bank Account Information

款項將根據客戶的提款指示存入以下銀行賬戶

本人(等)願意對本人(等)所發出指示的絕對準確性負上全部責任，特別是有關本人(等)之受款銀行賬戶名稱及號碼之詳細資料。對於因輸入的資料不準確而導致款項錯誤存入或轉出，本人(等)將不會為收回款項之延誤或追討賠償而向貴公司作出要求、索償或訴訟，貴公司毋須為此負上任何責任。本人(等)確認及同意本常設授權（發出支票）自即日生效直至另行通知為止。

Funds will be deposited to the following bank accounts pursuant to your fund withdrawal instruction

I/We accept full responsibility for the absolute correctness of my/our instruction, in particular, the absolute correctness of my/our account name and number, particulars of the payee bank as the case may be I/We will not demand, claim or prosecute against CDSL for recovery of damage and generally hold CDSL harmless in the event that the funds were wrongly deposited or paid out on delay due to mistakes in the entered particulars. I/We acknowledge and agree that this Standing Authority (Issue of Cheque) is effective from the date hereof until further notice.

貨幣 Currency	銀行名稱 Name of Bank	賬戶名稱 Account Name	賬戶號碼 Account No.

D. 財務狀況 Financial Profile

每年收入 Annual Income (HK\$港幣):

- < HK\$200,000
 HK\$200,001-HK\$500,000
 HK\$500,001-HK\$1,000,000
 HK\$ 1M-HK\$ 3M
 HK\$ 3M-HK\$ 5M
 > HK\$ 5M

估計資產淨值 Estimated Net Worth (HK\$港幣):

- < HK\$500,000
 HK\$500,001-HK\$1,000,000
 HK\$ 1M-HK\$ 3M
 HK\$ 3M-HK\$ 5M
 HK\$ 5M-HK\$ 20M
 > HK\$ 20M

流動資產 Liquid Assets (港幣 HK\$):

- < HK\$300,000
 HK\$300,001-HK\$1,000,000
 HK\$ 1M-HK\$ 3M
 HK\$ 3M-HK\$ 5M
 HK\$ 5M-HK\$ 8M
 > HK\$ 8M

資金來源: Source(s) of Funds (Can select more than one option) (可選多於一項)

- 薪金及或花紅 Salary and/or bonus
 業務收入 Business income
 儲蓄 Savings
 投資回報 Return on investment
 退休金 Retirement funds
 其他 (請說明) Others (Please specify): _____

資金持續來源: On-going Source(s) of Funds

- 與資金來源一樣 Same as Source(s) of Funds
 其他 (請說明) Others (Please specify): _____

資金來源地 Place of Origin of the Funding Source:

- 香港 Hong Kong
 美國 U.S
 中國 China
 Others 其他: _____

E. 客戶投資經驗及目標 Client Investment Experience and Objective

投資年資 Investment Experience

- 沒有 Nil
 少於 1 年 Less than a year
 1-5 年 years
 6-10 年 years
 10 年以上 More than 10 years

曾投資的產品 Experienced Products

- 股票 Stocks
 認股權證 Warrants
 期權 Options
 債券 Bonds
 期貨 Futures
 外匯 Foreign currency
 基金 Fund
 其他 Other _____

投資目標 Investment Objective:

- 短線 Short Term
 投機 Speculation
 中線 Medium Term
 股息回報 Dividend Yield
 長線 Long Term
 對沖 Hedging
 Others (Please specify) 其他 (請說明): _____

客戶對衍生產品的認識 Client's Knowledge of Derivative Products

本人知悉及明白國農證券有限公司("國農證券")將根據以下的資料以評估本人是否對衍生工具產品有認識。

I acknowledge and understand CHINA DEMETER SECURITIES LIMITED will assess whether I have adequate knowledge on derivative products according to the information that I provided.

- 本人對衍生產品有認識;
I have knowledge of derivative products
 本人對衍生產品沒有認識。
I do not have any knowledge of derivative products.

(以下可選多於一項) (Can select more than one option)

- 本人現時或過去 3 年內擁有與衍生產品有關的工作經驗。
I have current or previous work experience within the past three years related to derivative products.
 本人於過去 3 年曾執行 5 次或以上有關衍生產品的交易。
I have executed five or more transactions in derivative products within the past three years.
 本人於過去 3 年內已接受有關介紹一般衍生產品之性質及風險的培訓或課程(例如學術機構或金融機構所提供之課程)
I underwent training or attended courses on derivative products within the past three years that provide general knowledge of the nature and risk of derivatives (e.g. courses offered by academic or financial institutions).

F. 聲明 Declarations

1. 身份聲明 Identity Declaration

閣下是否此帳戶的最終實益擁有人 / 最終受益於交易及承擔風險人士?

Are you the ultimate beneficial owner ("UBO") of this Account / person ultimately benefiting from the transactions and bearing the risk?

是 Yes 否 No (一般情況下不會接受非最終實益持有人的申請人 Normally would not accept an Applicant who is not the ultimate beneficiary.)

(請填寫附錄1「最終負責作出交易指示的人士 / 實體之聲明」。Please complete Schedule 1.)

閣下是否向戶口最終負責發出指示的人士?

Are you the person ultimately responsible for originating instructions for the account?

是 Yes 否 No (請填寫附錄1「最終負責作出交易指示的人士 / 實體之聲明」。Please complete Schedule 1.)

閣下是否為美國公民 (持有美國護照) 或美國居民 (持有美國綠卡)?

Are you a U.S. citizen (e.g. holding U.S. Passport) or U.S. resident alien (e.g. holding U.S. green card)?

否 No 是 Yes ,

閣下是否本公司之僱員或其親屬?

Are you our staff or a relative of our staff?

否 No 是, 請說明 Yes, Please specify _____

閣下/ 閣下的直系親屬是否政治人物或與其有關連之人士、高級政府官員或國有企業高級行政人員?

Are you or your immediate family members politically exposed person ("PEP"), a person connected with PEP, senior government official or senior executive of a state-owned corporation?

否 No 是, 請說明 Yes, Please specify _____

閣下/ 閣下的直系親屬是否任何其股份在交易所或市場買賣的 (上市) 公司之高級人員或董事? (如是, 請說明公司名稱及股份編號。)?

Are you or your immediate family members is a senior officer or director of any (listed) company whose shares are traded on any exchange or market? (If yes, please specify the company name and stock code.)

否 No 是, 請說明 Yes, Please specify _____

閣下是否聯交所或期交所之交易所參與者或證監會之持牌人或註冊人之董事、僱員或認可人士? Is the Client a director or employee or accredited person of an exchange participant of the Stock Exchange or Futures Exchange, or a licensed or registered person of the Securities and Futures Commission?

否 No 是, 請說明 Yes, Please specify _____

閣下是否曾經涉及違法或違反監管守則而被捕 / 受審 / 被判刑 / 被紀律處分?

Have you been arrested/tried/sentenced/disciplined for illegal activities or violating regulatory requirements?

否 No 是, 請說明 Yes, Please specify _____

2. 相關保證金融資帳戶 Related Margin Financing Account(s) (只適用於保證金帳戶 For Marg in Account Only)

閣下的配偶是否在本公司開有保證金帳戶?

Is your spouse currently maintaining Margin Account with our company?

否 No 是, 請說明 Yes, Please specify _____

閣下是否個人或與您的配偶共同控制任何國農證券的公司賬戶35%以上的股權?

Are you, either alone or with your spouse, in control of 35% or more of the issued shares of any corporate client of China Demeter Securities Limited?

否 No 是, 請說明 Yes, Please specify _____

閣下現正破產/曾經破產/曾經就涉及財務而成為債務償還安排的一方/與債權人達成任何形式的債務重整協議;

You are bankrupt/ discharged bankrupt/ have been subject of a debt restructuring scheme/ had some agreement with creditors relating to debt restructuring;

否 No 是 Yes

據現時閣下所知, 現有針對閣下的破產申請在正進行中。

You are aware of any bankruptcy proceedings started against you.

否 No 是 Yes

G. 帳戶的操作 (僅適用於聯名賬戶) Operation of the Account(s) (For Joint Account Only)



此帳戶可根據以下指示方式操作 (請在適當 空格加): The Account can be operated under the instruction of (please tick the appropriate box):

各聯名帳戶持有人均有權不時及單獨地對帳戶的操作作出指示 (書面、口頭或透過電子服務 (如適用)); 及

Each of the joint account holders is authorised to give instructions (written, oral or through the Electronic Services (where applicable)) in relation to

任何一位帳戶持有人的指示 Either one of the account holder 兩位帳戶持有人的指示 Both account holders

所有帳戶書面指示須由兩位帳戶持有人同時簽署* All written instruction of the account should be jointly signed by both account holders

H. 確立客戶協議書 EXECUTION OF CLIENT'S AGREEMENT

本人(等)確認本人(等)已閱讀及完全明白及全面接納本客戶協議書的條款。

I/We confirm that I/we have read and fully understand and accept in full the terms and conditions of this Client's Agreement.

本人(等)茲聲明在此客戶資料表格(包括附載的附錄)所提供之資料全部為真實、完整及正確,而於本協議所作出的一切申述皆為準確。除非國農證券有限公司(“國農證券”)接到任何更改本客戶資料表格內容的書面通知,否則國農證券有權完全依賴此等資料及申述作一切用途。國農證券獲授權可隨時就核對本資料表格內容,與任何人包括本人(等)之銀行、經紀、香港警務處或任何信用機構進行諮詢。I/We declare that the information on this Client Information Form (including all Schedules attached herewith) is true, complete and correct and that the representations in the attached agreement are accurate. China Demeter Securities Limited (“China Demeter”) is entitled to rely fully on such information and representations for all purposes unless China Demeter receives any written notice of change. China Demeter is authorized at any time to contact anyone, including my banks brokers, Hong Kong Police Force or any credit agency, for the purpose of verifying the information provided on this Client Information Form.

另外,本人(等)確認已按照本人(等)選擇的語言(英文或中文)獲得風險披露聲明(載於一般條款第 19 條、附加條款—證券保證金帳戶第 6 條(如適用)、附加條款—互聯網證券交易服務第 4 條(如適用)及買賣衍生產品之風險披露聲明書(如適用))及已獲邀閱讀該風險披露聲明、提出問題及徵求獨立的意見(如本人(等)有此意願)。

Further, I/We acknowledge that the Risk Disclosure Statements (as referred to in Clause 19 of the General Terms and Conditions, Clause 6 of the Additional Terms and Conditions – Securities Margin Account (if applicable), Clause 4 of the Additional Terms and Conditions – Internet Securities Trading System (if applicable) and the Risk Disclosure Statement for Trading Derivative Products (if applicable)) was provided in a language of my/our own choice (English or Chinese) and I/we was invited to read the Risk Disclosure Statements, to ask questions and take independent advice at my/our wish.

就衍生產品而言,倘本人(等)被經紀分類為“對衍生產品沒有認識”,本人(等)仍可基於本人(等)獨立判斷要求進行衍生產品交易及願意承擔所有相關風險。

IN RELATION TO DERIVATIVE PRODUCTS, if I/we am/are classified by the Broker as “having no knowledge of derivatives products”, I/we may still base on my/our own independent judgment to request for entering into Transaction(s) of derivative product(s) and would take all risks associated.

本人(等)知悉及同意,財務機構可根據《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文,(a) 收集本表格所載資料並可備存作自動交換財務帳戶資料用途及 (b) 把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報,從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。

I/We acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

本人(等)證明,就與本表格所有相關的帳戶,本人(等)是帳戶持有人/本人(等)獲帳戶持有人授權簽署本表格#。

I/We certify that I am the account holder / I am authorized to sign for the account holder # of all the account(s) to which this form relates.

本人(等)承諾,如情況有所改變,以致影響本表格第 A 及 B 部所述的個人的稅務居民身分,或引致本表格所載的資料不正確,本人(等)會通知國農證券有限公司,並會在情況發生改變後 30 日內,向國農證券有限公司提交一份已適當更新的自我證明表格。

I/We undertake to advise China Demeter Securities Limited of any change in circumstances which affects the tax residency status of the individual identified in section A & B of this form or causes the information contained herein to become incorrect, and to provide China Demeter Securities Limited with a suitably updated self-certification form within 30 days of such change in circumstances.

****只適用於開展證券交易帳戶 For Margin Securities Trading Account(s) Only

本人(等)已閱讀並完全明白香港法例第 571H 章《證券及期貨(客戶證券)規則》第 4(1)條所指的常設授權及香港法例第 571I 章《證券及期貨(客戶款項)規則》第 8(1)條所指的常設授權的內容,並且同意受其等約束。I/We have read and fully understand the contents of the Standing Authority within the meaning of section 4(1) of the Securities and Futures (Client Securities) Rules (Cap. 571H, Laws of Hong Kong) and Standing Authority within the meaning of section 8(1) of the Securities and Futures (Client Money) Rules (Cap. 571I, Laws of Hong Kong) (see Section H) and agree to the bound by them. *****

本人(等)同意 (不同意)接收由國農證券有限公司分析團隊提供之股票及市場分析資訊、宣傳、推廣、活動及服務邀請,提供(i)個人資料;及(ii)將個人資料轉移至國農證券有限公司關聯各成員公司,作直接促銷用途(例如特別產品推介、優惠費率、產品最新資料、市場投資機會、禮品、贈券、研討會、活動等)而國農證券有限公司關聯各成員公司可能就此獲取得益。就直接促銷用途所使用的閣下個人資料可能包括閣下姓名、聯絡資料、年齡組別、性別、財務狀況及教育水準(「個人資料」)。

I/We consent (NOT consent) to receiving any information on stock recommendation and market analysis from China Demeter Securities Limited's analyst team, advertisements, promotions, invites to activities and services offered by the China Demeter Securities Limited. (i) use personal data; and (ii) transfer personal data to associated companies/members within the China Demeter Securities Limited, for direct marketing (such as special offers, preferential rates, product updates, market opportunities, gifts, coupons, seminars, events etc.) for which related associated companies/members of China Demeter Securities Limited may receive gain. Your personal data to be so used may include your name, contact details, age group, gender, financial profile and educational level (“Personal Data”).

帳戶持有人(1) 簽署式樣:

Account Holder (1) Signature:



客戶姓名(請用正楷字體填寫)

Name of client (in block letters): _____

日期 Date: _____

帳戶持有人(2) 簽署式樣:

Account Holder (2) Signature:



客戶姓名(請用正楷字體填寫)

Name of client (in block letters): _____

日期 Date: _____

I. 見證客戶簽署及身份證明文件驗證 Certification of Client Signature and Identity Proof

本人 乃 “國農證券”、“國農證券資產管理”的持牌人士/其他香港證監會持牌或註冊人士/太平紳士/持牌銀行分經理/執業會計師/律師/公證人,本人現證實已經與本表格簽署人會晤、見證其簽署及核對其身份證或護照正本。I am a * licensed person of CDSL, CDSLAM/ SFC licensed or registered person accredited to other licensed corporations/Justice of the Peace/ branch manager of a registered bank/certified public accountant (practicing)/lawyer/notary public. I hereby certify that I have met, witnessed the signature and verified the original of the ID card(s) or passport(s) of the person who executed this Form. *請刪去不適用者 Please delete as appropriate

下述簽署人士謹此驗證上述客戶/聯名客戶簽立此文件(連同客戶協議書)及其有關的身份證明文件:

The undersigned person hereby certify the signing of this Account Opening Form (together with the Client Agreement) by the above Client(s) and sighting of related identity documents of such Client(s)

所屬專業及職銜 Profession /Title (如適用)

聯絡地址 Address (如適用)

聯絡電話 Contact No (如適用)

見證人簽署及驗證 Signed and Certified by

見證客戶簽署人為“國農證券”、“國農證券資產管理”的持牌人士
The undersigned person is a licensed person of CDSL, CDSLAM

日期 Date : _____日 DD _____ 月 MM _____ 年 YY

姓名(正楷) Name (in Block Letters)

中央編號: CE No.:

J. 證監會持牌人聲明及確認 DECLARATION AND ACKNOWLEDGEMENT BY SFC LICENSED PERSON

本人，以持牌人身份，確認本人已按照客戶所選擇的語言(英文或中文)提供風險披露聲明(載於一般條款第 19 條、附加條款—證券保證金帳戶第 6 條(如適用)、附加條款—互聯網證券交易服務第 4 條(如適用)及買賣衍生產品之風險披露聲明書(如適用))及邀請客戶閱讀該風險披露聲明、提出問題及徵求獨立的意見(如客戶有此意願)。
再者，根據客戶於客戶資料表格提供的客戶資料及客戶協議書條款中所述的條款，本人代表國農證券有限公司同意及確認與客戶開立及維持帳戶。

I, a licensed person, declare that I have provided the Client with a copy of the Risk Disclosure Statement (as referred to in Clause 19 of the General Terms and Conditions, Clause 6 of the Additional Terms and Conditions – Securities Margin Account (if applicable), Clause 4 of the Additional Terms and Conditions – Internet Securities Trading System (if applicable) and the Risk Disclosure Statement for Trading Derivative Products (if applicable)) in a language of the Client's choice (English or Chinese) and invited the Client to read such Risk Disclosure Statement, to ask questions and take independent advice if the Client so wishes.

Further, I accept and acknowledge on behalf of China Demeter Securities Limited to open and maintain an Account with the Client on the selected services on the client information provided in the Client Information Form in accordance with the Client's Agreement Terms and Conditions stated herein.

持牌人士姓名: Name of Licensed Person:	負責人姓名: Name of Responsible Officer:
持牌人士簽署: Signature of Licensed Person:	代表國農證券有限公司接納及確認 Accepted and acknowledged on behalf of China Demeter Securities Limited
中央編號: CE No.:	中央編號: CE No.:
日期: Date:	日期: Date:

<i>For Office Use Only 公司專用</i>		帳戶編號: Account No. 帳戶名稱: Account Name			
合約文件核對表 Agreement Checklist 【必須】 1. 開戶表格 Account Opening Form (Section A-G) 2. 身份證副本 ID Copy 3. 住址證明複印本【3 個月之內有效】 Address proof 4. 個人稅務居民自我證明表格 Individual Tax Residency Self-Certification Form 5. 非美國公民聲明 Form W-8 Ben 6. 打擊洗錢及恐怖分子資金籌集風險問卷(個人戶口) 7. 客戶協議書條款 Client's Agreement Terms and Conditions	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	開戶日期 Date of Opening			
		帳戶類別 Account Type <input type="checkbox"/> Cash <input type="checkbox"/> E-trade <input type="checkbox"/> Margin <input type="checkbox"/> E-trade			
		客戶對衍生產品的認識 <input type="checkbox"/>			
		現金帳戶利率 Cash Account Interest P + _____ %	保證金帳戶利率 Margin Account Interest P + _____ %		
			貸款限額 Credit Limit		
合約文件核對表 Agreement Checklist 【可選】 A. 常設授權書 (證券保證金帳戶) Letter of standing authorization (Securities Margin Account) B. 附錄 1: 交易指示來源 / 最終受益人聲明 Schedule 1: Origination of Instruction / Ultimate Beneficiary Declaration C. 附錄 2: 資產管理問卷 (委託賬戶&資產管理賬戶) Schedule 2: Risk Profile Questionnaire (Discretionary & AM Account) D. 附錄 3: 投資計劃選擇及收費 (委託賬戶&資產管理賬戶) Schedule 3: Investment Plan Option and Fees (Discretionary & AM Account) E. 附錄 4: 授權書 (委託賬戶&資產管理賬戶) Schedule 4: Letter of Authorization (Discretionary & AM Account)	A. <input type="checkbox"/> B. <input type="checkbox"/> C. <input type="checkbox"/> D. <input type="checkbox"/> E. <input type="checkbox"/>		保證金限額 Margin Limit		
		<input type="checkbox"/> Asset Management 起始資本 Initial Capital	管理費 Management fee 表現費 Performance fee		
		文件查核 Document Checked		風險承受能力 Risk Appetite	計劃期限 Contract Period
		合規查核 Compliance Checked		佣金/最低佣金 Brokerage/Min. Brokerage Internet : _____ % / Minimum HK\$ _____ Phone : _____ % / Minimum HK\$ _____	
		其他 Remarks			

LETTER OF STANDING AUTHORIZATION (SECURITIES MARGIN ACCOUNT)
常設授權書(證券保證金帳戶)

To : China Demeter Securities Limited
致：國農證券有限公司
(CE No.: 證監會中央編號: AVN412)

Date 日期: _____

Re: Standing Authority given in respect of Securities Margin Account
有關：證券保證金帳戶的常設授權書

In consideration of your agreeing to continue to maintain Securities Margin Account for me/us, we hereby authorize you to deal with my/our securities and securities collateral from time to time received or held by you on my/our behalf in one or more of the following ways without further notice to or consent from me/us:-

鑑於 貴公司同意繼續維持本人(等)之證券保證金帳戶，本人(等)茲授權 貴公司毋須進一步通知本人(等)或取得本人(等)的同意以下列一種或多於一種方式去處理不時由 貴公司代本人(等)收取或持有的證券及證券抵押品:-

1. deposit any of my/our securities collateral with an authorized financial institution (as defined in Banking Ordinance (Cap.155)) as collateral for financial accommodation provided to you;

將本人(等)的任何證券抵押品存放於認可財務機構(釋義見《銀行條例》(第155章)), 作為提供予 貴公司的財務通融的抵押品;

2. lend or deposit any of my/our securities to fulfill all settlement obligations between the exchange participants of The Stock Exchange of Hong Kong Limited ("Exchange"). Any lending or depositing shall be carried out in accordance with the regulations of the Exchange;

貸出或存放任何本人(等)的證券，以完成香港聯合交易所有限公司("聯交所")的交易所參與者之間之交收責任。任何證券貸出或存放須依照聯交所規則進行;

3. deposit any of my/our securities collateral with a recognized clearing house, or another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of your settlement obligations and liabilities; AND

將本人(等)的任何證券抵押品存放於認可結算所或另一獲發或獲註冊進行證券交易的中介人，作為解除 貴公司在交收上的義務和清償 貴公司在交收上的法律責任的抵押品; 及

4. apply any of my/our securities or securities collateral pursuant to a securities borrowing and lending agreement in accordance with the Securities and Futures (Client Securities) Rules.

根據證券及期貨(客戶款項)規則按證券借貸協議運用任何有關本人(等)的證券或證券抵押品。

I/We acknowledge that this authority shall not affect your right to dispose of my/our securities or securities collateral in settlement of my/our obligation and/or liability owed by or on my/our behalf to you or a third party.

本人(等)確認本授權書不影響 貴公司為解除本人(等)對 貴公司或第三者所負的義務及/或法律責任而處置本人(等)的證券或證券抵押品的權利。

I/We understand that this standing authority is valid from the date of this Letter and will expire on **30 June** _____ but it shall be deemed to have been renewed if, at least 14 days prior to the expiry of this standing authority, you give a written notice to me/us, reminding me/us of such impending expiry and informing me/us that unless I/we object, it will be renewed upon expiry upon the same terms and conditions as specified in this standing authority and for a subsequent period of 12 months. Notice from me/us objecting the renewal of this standing authority shall take effect from the 10th business day after your actual receipt of such notice.

本人(等)明白此授權書的有效日期由本信函日期開始，並於_____年6月30日起無效，但若在該授權的有效期屆滿前的14日之前，貴公司向本人(等)發出書面通知，提醒本人(等)此授權的有效期即將屆滿，並通知本人(等)除非本人(等)提出反對，否則此授權會在屆滿時按此授權指明的相同條款及條件續期，而續期期間為緊接的12個月，此授權須當作已續期。由本人(等)向 貴公司發出的撤回授權通知之生效日期為 貴公司真正收到該等通知後的第10個營業日。

This Letter has been explained to me/us and I/we fully understand and agree to the contents of this Letter.

本人(等)就本信函已獲得解釋。本人(等)充分明白及同意本信函的內容。

Signed by Client / Authorized Signature(s) / Company Chop
客戶簽署 / 授權人仕簽署 / 公司蓋印

Name of Client
客戶名稱: _____
Account Number:
帳戶編號: _____

Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)

(Rev. July 2017)

► For use by individuals. Entities must use Form W-8BEN-E.

OMB No. 1545-1621

Department of the Treasury
Internal Revenue Service

► Go to www.irs.gov/FormW8BEN for instructions and the latest information.
► Give this form to the withholding agent or payer. Do not send to the IRS.

Do NOT use this form if:

Instead, use Form:

- You are NOT an individual W-8BEN-E
- You are a U.S. citizen or other U.S. person, including a resident alien individual W-9
- You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the U.S. (other than personal services) W-8ECI
- You are a beneficial owner who is receiving compensation for personal services performed in the United States 8233 or W-4
- You are a person acting as an intermediary W-8IMY

Note: If you are resident in a FATCA partner jurisdiction (i.e., a Model 1 IGA jurisdiction with reciprocity), certain tax account information may be provided to your jurisdiction of residence.

Part I Identification of Beneficial Owner (see instructions)

1 Name of individual who is the beneficial owner		2 Country of citizenship	
3 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address.			
City or town, state or province. Include postal code where appropriate.		Country	
4 Mailing address (if different from above)			
City or town, state or province. Include postal code where appropriate.		Country	
5 U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)		6 Foreign tax identifying number (see instructions)	
7 Reference number(s) (see instructions)		8 Date of birth (MM-DD-YYYY) (see instructions)	

Part II Claim of Tax Treaty Benefits (for chapter 3 purposes only) (see instructions)

9 I certify that the beneficial owner is a resident of _____ within the meaning of the income tax treaty between the United States and that country.

10 Special rates and conditions (if applicable—see instructions): The beneficial owner is claiming the provisions of Article and paragraph _____ of the treaty identified on line 9 above to claim a _____ % rate of withholding on (specify type of income): _____.

Explain the additional conditions in the Article and paragraph the beneficial owner meets to be eligible for the rate of withholding: _____

Part III Certification

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income to which this form relates or am using this form to document myself for chapter 4 purposes,
- The person named on line 1 of this form is not a U.S. person,
- The income to which this form relates is:
 - (a) not effectively connected with the conduct of a trade or business in the United States,
 - (b) effectively connected but is not subject to tax under an applicable income tax treaty, or
 - (c) the partner's share of a partnership's effectively connected income,
- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country, and
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent 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 the beneficial owner. **I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.**

Sign Here ►

_____ Signature of beneficial owner (or individual authorized to sign for beneficial owner)	_____ Date (MM-DD-YYYY)
_____ Print name of signer	_____ Capacity in which acting (if form is not signed by beneficial owner)