



根據《證券及期貨條例》就第 1 類、第 4 類、第 7 類及第 9 類受規管活動獲發牌的持牌法團 CE 編號 AAG460 及香港聯合交易所有限公司（「聯交所」）交易所參與者

A corporation licensed for Type 1, Type 4, Type 7 and Type 9 regulated activities under the Securities and Futures Ordinance with CE no. AAG460 and an exchange participant of the Stock Exchange of Hong Kong Limited (the "Exchange")

|                           |  |
|---------------------------|--|
| 帳號<br>Account No          |  |
| 投資移民帳號<br>CIES Account No |  |

## 客戶資料表 CUSTOMER INFORMATION FORM

(個人/ 聯名帳戶 INDIVIDUAL/ JOINT ACCOUNT)

|                      |  |  |  |
|----------------------|--|--|--|
| 客戶主任姓名<br>AE Name    |  | 與客戶主任認識多久<br>Known to AE for How Long    |  |
| 客戶主任編號<br>AE Code    |  | 推薦人<br>Introduced By                     |  |
| 戶口種類<br>Account Type | <input type="checkbox"/> 現金帳戶<br>Cash Account <input type="checkbox"/> 孖展(保證金)帳戶<br>Margin Account | 聯名帳戶人關係<br>Relationship of Joint Account | <input type="checkbox"/> 主要持有人 1st Holder<br><input type="checkbox"/> 第二持有人 2nd Holder |

### A. 個人資料 Personal Information

|   |                        |                             |   |
|---|------------------------|-----------------------------|---|
| 姓名<br>Name                              | 先生/女士<br>Mr / Mrs / Ms | Surname First               |   |
| 身份證號碼<br>ID Card No.                    | 簽發地點<br>Place of Issue | 護照號碼<br>Passport No.        | 簽發地點<br>Place of Issue  |
| 出生日期(日/月/年)<br>Date of Birth (DD/MM/YY) |                        | 住宅地址<br>Residential Address |   |
| 出生地點<br>Country of Birth                |                        |                             |   |
| 國籍/公民身份<br>Nationality/Citizenship      |                        |                             |   |
| 住宅電話<br>Home No.                        | (+ )                   |                             | 國家<br>Country   |
| 流動電話<br>Mobile No.                      | 1. (+ )<br>2. (+ )     | 學歷程度<br>Education Level     | <input type="checkbox"/> 小學或以下 Primary School or below<br><input type="checkbox"/> 中學 Secondary School<br><input type="checkbox"/> 大專或以上 College or above |
| 指定銀行 (1)<br>Designated Bank (1)         | 銀行名稱 Name of Bank      | 帳戶號碼 Account No             | 帳戶名稱 Account Name   |
| 指定銀行 (2)<br>Designated Bank (2)         | 銀行名稱 Name of Bank      | 帳戶號碼 Account No             | 帳戶名稱 Account Name   |
| 指定銀行 (3)<br>Designated Bank (3)         | 銀行名稱 Name of Bank      | 帳戶號碼 Account No             | 帳戶名稱 Account Name   |

電郵位址 E-mail Address (最多 50 個字母 Max. 50 characters):

\*所有交易確認及帳單將透過電郵方式發送至上述電郵地址

All trading confirmations and statements will be sent to the e-mail address stated herein

### B. 工作狀況 Employment Status

|                                |      |                               |               |
|--------------------------------|------|-------------------------------|---------------|
| 行業<br>Industry                 |      | 辦公室地址<br>Office Address       |               |
| 職位<br>Job Title                |      |                               |               |
| 雇主名稱<br>Name of Employer       |      |                               |               |
| 受雇年期<br>Duration with Employer |      |                               | 國家<br>Country |
| 辦公室電話<br>Office No.            | (+ ) | 年薪(港幣)<br>Annual Income (HKD) |               |

### C. 投資經驗及衍生產品認識 Investment Experience & Derivative Products Knowledge

|   |  |                                       |  |                                       |
|---|--|---------------------------------------|--|---------------------------------------|
| 投資目標：<br>Investment Objective:  | <input type="checkbox"/> 賺取收入 <input type="checkbox"/> 資本增長 <input type="checkbox"/> 對沖 <input type="checkbox"/> 投機<br>Generating Income                      Capital Appreciation                      Hedging                      Speculation   |                                       |  |                                       |
| 對衍生產品之認識<br>Derivative Products Knowledge   | <input type="checkbox"/> 本人並未有衍生產品之認識<br>I have NO knowledge of derivative products.   |                                       |  |                                       |
| * 如客戶沒有衍生產品的認識，就不能開立股票期權戶口。任何例外情況需要管理層的預先批准。<br><br>* If client does not have derivative knowledge, cannot open Stock options Account. Any exception is subject to prior management approval. | <input type="checkbox"/> 本人瞭解衍生產品的性質和風險<br>I understand the nature and risks of derivative products by:  |                                       |  |                                       |
|   | 1. 已接受有關的培訓或課程<br>Undergoing relevant training or attending course in:   |                                       |  |                                       |
|   | <input type="checkbox"/> 監管機構 <input type="checkbox"/> 交易所 <input type="checkbox"/> 大專院校 <input type="checkbox"/> 進修學院 <input type="checkbox"/> 金融機構<br>Regulatory Authority                      Exchange                      Tertiary Institution                      Education Institution                      Financial Institution |                                       |  |                                       |
|   | 2. 於經紀公司或銀行、基金或資產管理公司、監管機構或交易所等金融機構擁有有關的工作經驗：<br>By gaining prior relevant work experience in financial institutions such as a brokerage firm or bank, fund house or asset management firm, regulatory authority or exchange.  |                                       |  |                                       |
|   | <input type="checkbox"/> 受監管持牌人士 <input type="checkbox"/> 管理層 <input type="checkbox"/> 與衍生工具相關後勤   |                                       |  |                                       |
|   | 3. <input type="checkbox"/> 於過去三年內進行了五次或以上有關衍生產品之交易 (不論是否於交易所進行交易) #請選擇以下與你相關的衍生產品的投資經驗。<br>Executing five or more transactions in derivative products (whether traded on an exchange or not) within the past three years. # Please indicate your relevant derivative investment experience below.   |                                       |  |                                       |
| 投資經驗：<br>(可選多於一項)<br>Investment Experience:<br>(Can choose more than one)   | <input type="checkbox"/> 上市證券<br>Listed Securities   | 年數<br>Year(s)(                      ) | <input type="checkbox"/> 牛熊證/窩輪<br>CBBC/ Warrants            | 年數<br>Year(s)(                      ) |
|   | <input type="checkbox"/> 期貨或期權<br>Futures or Options   | 年數<br>Year(s)(                      ) | <input type="checkbox"/> 槓桿式外匯<br>Leveraged Foreign Exchange | 年數<br>Year(s)(                      ) |
|   | <input type="checkbox"/> 單位信託基金或債券<br>Unit Trusts or Bonds   | 年數<br>Year(s)(                      ) | <input type="checkbox"/> 結構性產品<br>Structured Product         | 年數<br>Year(s)(                      ) |
|   | <input type="checkbox"/> 槓桿及反向產品<br>Leveraged and Inverse Product  | 年數<br>Year(s)(                      ) |  |                                       |

### D. 財政狀況 Financial Situation

|  |   |                                |  |
|--|---|--------------------------------|--|
| 流動資產 (港幣)<br>Liquid Assets (HKD)                             | <input type="checkbox"/> <HKD200,000<br><input type="checkbox"/> HKD200,001 – HKD1,000,000<br><input type="checkbox"/> HKD1,000,001 – HKD5,000,000<br><input type="checkbox"/> HKD5,000,001 – HKD10,000,000<br><input type="checkbox"/> Other: HKD _____  | 資產淨值 (港幣)<br>Net Worth (HKD)   | <input type="checkbox"/> <HKD200,000<br><input type="checkbox"/> HKD200,001 – HKD1,000,000<br><input type="checkbox"/> HKD1,000,001 – HKD5,000,000<br><input type="checkbox"/> HKD5,000,001 – HKD10,000,000<br><input type="checkbox"/> Other: HKD _____ |
| 年薪 (港幣)<br>Annual Income (HKD)                               | <input type="checkbox"/> <HKD200,000<br><input type="checkbox"/> HKD200,000 – HKD500,000<br><input type="checkbox"/> HKD500,001 – HKD1,000,000<br><input type="checkbox"/> >HKD\$1,000,000<br><input type="checkbox"/> Null   | 住屋業權<br>Ownership of Residence | <input type="checkbox"/> 擁有(已抵押)<br>Owned (Mortgaged)<br><input type="checkbox"/> 擁有(沒有抵押)<br>Owned (Not Mortgaged)<br><input type="checkbox"/> 租住 Rented<br><input type="checkbox"/> 與家人同住 Living with Family   |
| 資金來源<br>(勾選所有適用)<br>Source of Funds<br>(Tick all that apply) | 1. <input type="checkbox"/> 薪金儲蓄 Savings from Salary<br>2. <input type="checkbox"/> 租金收入 Rental Income<br>3. <input type="checkbox"/> 營業溢利 Trading Profits<br>4. <input type="checkbox"/> 其他 Others: _____<br>5. <input type="checkbox"/> 投資所得 Investment Earnings<br><input type="checkbox"/> 股票 Stock<br><input type="checkbox"/> 樓宇買賣 House Sale and Purchase<br><input type="checkbox"/> 其他 Others: _____ |                                |  |
|  | 6. <input type="checkbox"/> 家庭成員提供 Provided by Family Member<br>6a. 成員關係 Relationship with the Family Member<br>_____<br>6b. 行業及職位 Industry & Position<br>_____<br>7. <input type="checkbox"/> 以往工作收入 Previous Job<br>7a. 行業及職位 Industry & Position<br>_____<br>7b. 年收入(HKD) Annual Income (HKD)<br>_____   |                                |  |

## E.利益關係申報 Interest Declaration

1. 你(及/或聯名帳戶第二持有人) 是否證券/ 期貨交易所參與者的雇員或代理人, 或於證監會註冊的持牌法團/註冊機構? 如是, 交易所參與者/ 持牌法團/ 註冊機構的名稱是(請提供你雇主的書面同意):

Are you (and /or the Secondary Joint Account Holder) an employee or agent of an exchange participant of a stock/ futures exchange, or a licensed corporation or registered institution? If yes, the name of the related exchange participant/ licensed corporation/ registered institution is (please provide your employer's consent letter):

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是 Yes  
否 No

2. 你(及/或聯名帳戶第二持有人) 是否與輝立證券 (香港)有限公司 (「輝立證券」) 或聯繫人士的職員或代理人有親戚關係? 職員/代理人的名稱是:

Are you (and /or the Secondary Joint Account Holder) a relative of an employee or agent of Phillip Securities (Hong Kong) Limited ("Phillip Securities") or its Associates? If yes, the name of employee/agent:

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是 Yes  
雙親 Parent  
配偶 Spouse  
兄弟姊妹 Sibling  
孩子 Child  
否 No

3. 你(及/或聯名帳戶第二持有人)的配偶是否在輝立證券集團 (包括輝立證券(香港)有限公司及有關連的子公司或關連公司之法人團體(不論在香港或其他地方) 包括並不限於輝立商品(香港)有限公司和輝立資本管理(香港)有限公司)開設任何帳戶? 如是, 戶口號碼是:

Does your (and /or the Secondary Joint Account Holder's) spouse maintain any account(s) with Phillip Securities Group (i.e. Phillip Securities (Hong Kong) Limited and its subsidiaries and affiliates which include but is not limited to Phillip Commodities (HK) Ltd. and Phillip Capital Management (HK) Limited)? If yes, the account number is:

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是 Yes  
否 No

4. 你(及/或聯名帳戶第二持有人)是否單獨或與配偶共同控制之公司(持有 35% 或以上之投票權)持有輝立證券集團之保證金帳戶?如是, 戶口號碼是:

Do you (and /or the Secondary Joint Account Holder) either alone or with your (and /or the Secondary Joint Account Holder's) spouse control 35% or more of the voting rights of a corporation that maintains a margin account with Phillip Securities Group? If yes, the account number is:

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是 Yes  
否 No

5. 你(及/或聯名帳戶第二持有人)是否在任何擔保安排下為其他輝立證券集團孖展客戶的財務負債作為擔保人? 如是, 戶口號碼是:

Are you (and /or the Secondary Joint Account Holder) a guarantor of other margin client(s) of Phillip Securities Group for their financial liabilities under any guarantee arrangement(s)? If yes, the account number of the guaranteed margin account is:

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是 Yes  
否 No

6. 你(及/或聯名帳戶第二持有人)的保證金帳戶的財務負債是否由輝立證券集團其他客戶有任何擔保安排? 如是, 戶口號碼是:

Do you (and /or the Secondary Joint Account Holder) have any financial liabilities under your margin account(s) which are subject to any guarantee arrangement(s) with other client(s) of Phillip Securities Group? If yes, the account number of the guarantor is:

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是 Yes  
否 No

## F. 稅務居民資料 Tax Residency\*

根據《稅務條例》有關交換財務帳戶資料的法律條文，請提供你（及/或聯名帳戶第二持有人）的稅務編號。如沒有提供稅務編號，必須填寫合適的理由：

理由 A - 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

理由 B - 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。

理由 C - 帳戶持有人不能取得稅務編號。（如選取理由 C，解釋帳戶持有人不能取得稅務編號的原因）

Pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance. Please provide you (and /or the Secondary Joint Account Holder's) jurisdiction of residence where the account holder(s) is a resident for tax purposes and TIN for each jurisdiction indicated. If a TIN is unavailable, provide an appropriate reason:

Reason A - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

Reason B - TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

Reason C - The account holder is unable to obtain a TIN. (Explain why the account holder is unable to obtain a TIN if you have selected Reason C)

本人持有**香港**稅務居民資格 I hold **Hong Kong** Tax residence

及/或 and/or

本人持有**香港以外**稅務居民資格 I hold tax residence **other than Hong Kong**

|  |  |  |  |
|--|--|--|--|
| 稅務管轄區:<br>Jurisdiction of Residence:             | (1)  | (2)  | (3)  |
| 稅務編號:<br>TIN:                                    | (1)  | (2)  | (3)  |
| 沒有稅務編號理由:<br>No TIN Reason:                      | <input type="checkbox"/> 理由 A Reason A<br><input type="checkbox"/> 理由 B Reason B<br><input type="checkbox"/> 理由 C Reason C | <input type="checkbox"/> 理由 A Reason A<br><input type="checkbox"/> 理由 B Reason B<br><input type="checkbox"/> 理由 C Reason C | <input type="checkbox"/> 理由 A Reason A<br><input type="checkbox"/> 理由 B Reason B<br><input type="checkbox"/> 理由 C Reason C |
| 選取理由 C 的原因:<br>Explanation to selected Reason C: |  |  |  |
| 額外資料:<br>Additional Information:                 |  |  |  |

\*若空格不敷使用，請另附自我證明表格及簽署。Please attach and sign Self-Certification Form for additional tax residency if necessary.

## G. 注意事項 Notes

- 請隨本表格附上全部帳戶持有人的身份證副本及最近三個月內之住宅及通訊位址證明檔（郵政信箱恕不接受）。  
Please enclose an ID copy and residential and correspondence address(es) proof dated within the last 3 months (P.O. box is not accepted) for all account holders with this Form.
- 全部帳戶持有人必須在輝立證券或聯繫人士的職員/代理人面前填妥及簽署本表格；如非親身開戶，請參看下方的註解 6。  
This Form should be completed and signed by all account holders in front of an employee or agent of Phillip Securities or its Associates. Otherwise, please see Note 6 below.
- 全部帳戶持有人應向輝立證券報告公司的稅務身份的所有變化。任何有關個人資料的刪改必須由全部帳戶持有人簽署作實。  
Account holder(s) should report all changes in his/her tax residency status to Phillip Securities (Hong Kong) Limited. Any deletion or amendment of the personal information must be signed by all account holders.
- 帳戶持有人的款項將會被存入本表格內所提供的指定銀行帳戶，除非另行通知。  
All monies payable to the account holder will be credited to the designated bank account(s) nominated on this Form, unless otherwise instructed.
- 輝立證券恕不接受第三者存款。任何例外情況都需要管理層的預先批准。  
Third-party deposit will not be accepted. Any exception is subject to prior management approval.
- 如資料表並非在輝立證券或聯繫人士的職員/代理人面前簽署，帳戶持有人必須遵從以下其中一個程序要求：  
If this Form is not executed by the account holders in front of an employee or agent of Phillip Securities or its Associates, the account holders should comply with either one of the following procedural requirements:
  - 交給輝立證券在香港持牌銀行開立的帳戶所簽發不少於 10,000 港元的個人支票，該支票的簽名及姓名須與本表格的客戶簽名及身份證明文件相符，而支票抬頭須為“輝立證券(香港)有限公司”。客戶的帳戶必須待支票兌現後才可使用；或  
Send a personal cheque in favour of Phillip Securities (Hong Kong) Limited for not less than HK\$10,000 drawn on an account with a licensed bank in Hong Kong, bearing the signature(s) as on this Form and name(s) as on the identity document(s). The new account will not be activated until the cheque is cleared; or
  - 由其他持牌人或註冊人、輝立證券的聯繫人士、太平紳士、銀行分行經理、執業會計師、律師或公證人見證客戶的簽名及身份證明文件。  
Have any other licensed or registered person, Associate of Phillip Securities, justice of the peace, branch manager of a bank, certified public accountant, lawyer or notary public certify the signature and identity documents of the account holders.
- 根據“稅務條例”，任何人獲悉在聲明上作出具誤導性、虛假或不正確的陳述，或罔顧該聲明在陳述上是否具誤導性、虛假或不正確之處，即屬違法。任何人觸犯該罪行，一經定罪，可處第 3 級罰款（即 \$ 10,000）。  
It is an offence under the Inland Revenue Ordinance if any person, 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).
- 輝立證券可向介紹人支付轉介費或介紹費，而該介紹人並非輝立證券的代理人。  
Phillip Securities (Hong Kong) Limited may pay fees to any person(s) who referred or introduced me to Phillip Securities (Hong Kong) Limited (the "Introducer"), and that the Introducer is not an agent of Phillip Securities.
- 全部帳戶持有人可登入 <http://www.poems.com.hk/zh-hk/customer-service/download-forms/> 下載證券客戶協議或掃描以下行動條碼。  
Account holder(s) can login <http://www.poems.com.hk/en-us/customer-service/download-forms/> to download Securities Client Agreement or Scan the QR code as below.

中文版



English Version



## H.客戶確認及簽署 Acknowledgement and Execution by Customer

| 戶口種類 Account Type  | 選擇服務 Select Service(s)  |
|--|---|
| <p><b>現金帳戶 Cash Account</b><br/>請為我開立現金帳戶。我已經閱讀並明白白證券客戶協議的條款，並接受這些條款的約束。<br/>Please open a Cash Account for me/us. I have read and understand the provisions of the Securities Client Agreement and agree to be bound by same.</p>   | <p>只選其一<br/>Tick <u>ONE</u> only</p> <p><input type="checkbox"/> 現金帳戶<br/>Cash Account</p> <p><input type="checkbox"/> 孖展(保證金)帳戶<br/>Margin Account</p> |
| <p><b>孖展(保證金)帳戶 Margin Account</b><br/>請為我開立孖展帳戶。我已經閱讀並明白白證券客戶協議及附表 5 中孖展客戶協議的條款，並接受這些條款的約束。我授權輝立證券根據證券客戶協議中的常設授權運用我的證券及證券抵押品。<br/>Please open a Margin Account for me/us. I have read and understand the provisions of the Securities Client Agreement and Margin Client Agreement as set out in Schedule 5 and agree to be bound by same. I authorize Phillip Securities to deal with securities and securities collateral in accordance with the Standing Authority in the Securities Client Agreement.</p>   | <p><input type="checkbox"/> 股票期權帳戶<br/>Stock Options Account</p>  |
| <p><b>股票期權帳戶 Stock Options Account</b><br/>請為我開立期權帳戶。我已經閱讀並明白白附表 6 中期權交易協議的條款，並接受這些條款的約束。<br/>Please open an Options Account for me. I have read and understand the provisions of the Options Trading Agreement as set out in Schedule 6 and agree to be bound by same.</p>  | <p><input type="checkbox"/> 網上交易服務<br/>On-Line Trading Service<br/>(必需提供電郵)<br/>(Require email address)</p>   |
| <p><b>網上交易服務 On-Line Trading Service</b><br/>請為我提供 POEMS 電子服務。我已經閱讀並明白白附表 1 網上交易協議的條款，並接受這些條款的約束。<br/>Please provide me with POEMS Electronic Services. I have read and understand the provisions of the On-Line Trading Agreement as set out in Schedule 1 and agree to be bound by same.</p>   | <p><input type="checkbox"/> 中華通交易服務<br/>China Connect Trading Service</p>   |
| <p><b>中華通交易服務 China Connect Trading Service</b><br/>請為我接駁滬港通和深港通的交易服務(“中華通”)。我已閱讀並明白白附表 9 所載的滬港通和深港通交易協議的條文，並接受這些條款的約束。<br/>Please grant me access to the Shanghai-Hong Kong and Shenzhen-Hong Kong Stock Connect trading services (“China Connect”). I have read and understand the provisions of the Shanghai-Hong Kong and Shenzhen-Hong Kong Stock Connect Trading Agreement as set out in Schedule 9 and agree to be bound by the same.</p>   |   |
| <b>客戶確認 Acknowledgement by Customer</b>  |   |
| <p>我確認為此帳戶的最終實益擁有人。<br/>I acknowledge that I am the ultimate beneficial owner(s) in relation to the account.</p>   | <input type="checkbox"/>  |
| <p>我同意輝立證券或聯絡人士以各種方式提供投資或有關財務產品及服務的資料，其包括研究報告及特別優惠等。<br/>I consent to Phillip Securities and/ or its Associates providing information about investment or financial related products and services including research reports and special offers to me by any means.</p>  | <input type="checkbox"/>  |
| <p>我確認輝立證券以客戶選擇的語言(英文或中文)提供證券客戶協議包括其附表 2 中的個人資料收集聲明。我確認已閱讀並理解個人資料收集聲明的內容，並且我同意輝立證券根據個人資料收集聲明的條款及用途使用我的個人資料。<br/>I acknowledge that a copy of the Securities Client Agreement including the Personal Information Collection Statement in Schedule 2 were provided in a language of (English or Chinese) of my choice. I acknowledge that I have read and understand the contents of the Personal Information Collection Statement and I consent for Phillip Securities to use my personal data on the terms of and for the purposes set out in the Personal Information Collection Statement.</p>   | <input type="checkbox"/>  |
| <p>我知悉在這客戶資料表(“表格”)上所記載之資料，將有可能以作自動交換財務帳戶資料用途。我知悉及同意，輝立證券可根據《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) 把該等資料和關於我的資料向香港特別行政區政府稅務局申報，從而把資料轉交到我的居留司法管轄區的稅務當局。我確認表格中提供的資訊和聲明是真實和準確的。我承諾，如情況有所改變，以致影響本表格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，<b>我會通知輝立證券，並會在情況發生改變後 30 日內，向輝立證券提交一份已適當更新的綜合戶口資料更改書。</b> 輝立證券有權聯繫任何人，包括客戶的銀行，經紀人或任何信用機構，以驗證本表格上提供的資訊。<br/>I acknowledge that any information contained in this Customer Information Form (“the Form”) may be provide to a reporting financial institution for the purpose of automatic exchange of financial account information. I agree that (a) the information contained in this form is collected and may be kept by Phillip Securities (Hong Kong) Limited 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). I declare that the information given and statements made in this form is true and accurate. <b>I undertake to advise Phillip Securities (Hong Kong) Limited of any change in circumstances which affects the tax residency status of the Account Holder(s) of this form or causes the information contained herein to become incorrect, and to provide Phillip Securities (Hong Kong) Limited with a suitably updated Account Particulars Amendment Form within 30 days of such change in circumstances.</b> Phillip Securities (Hong Kong) Limited is authorized to contact anyone, including Customer’s banks, brokers or any credit agency, for verifying the information provided on this form.</p> | <input type="checkbox"/>  |
| <p>我確認輝立證券以客戶選擇的語言(英文或中文)提供證券客戶協議包括其附表 3 的風險披露聲明及免責聲明。我進一步確認輝立證券已經邀請我閱讀風險披露聲明，提出問題及徵求獨立的意見(如我有此意願)。我應經常密切留意市況，輝立證券可能在強制平倉前無法與我聯絡或未能提供足夠時間讓客戶進行額外的存款。<br/>I acknowledge that the Securities Client Agreement including the Risk Disclosure Statements and Disclaimers in Schedule 3 attached were provided in a language (English or Chinese) of my choice. I further acknowledge that I was invited to read the risk disclosure statements, ask questions and take independent advice, if I wished. I acknowledge that I should closely monitor positions, as Phillip Securities (Hong Kong) Limited may not be able to contact me or give me sufficient time to deposit additional funds, before forced liquidation of positions.</p>   | <input type="checkbox"/>  |

\*帳戶持有人簽署 Account Holder’s Signature:

日期 Date:

\*將被用作簽名樣式 Will be used as Specimen Signature

## 職員/經紀聲明 Declaration by Staff / Account Executive

我確認已經以客戶選擇的語言（英文或中文）提供了載於證券客戶協定附表 3 內的風險披露聲明，並且我已經邀請客戶閱讀風險披露聲明，提出有關問題及尋求獨立意見（如客戶有此意願）。

I confirm that I have provided the Risk Disclosure Statements as set out in Schedule 3 of the Securities Client Agreement in a language (English or Chinese) of the Customer's choice. I have also invited the Customer to read the Risk Disclosure Statements, ask questions and take independent advice if the Customer wishes.

### 持第 1 類（證券買賣）Licensed for Type 1 (Licensed Corporation)

|   |   |                                 |          |
|---|---|---------------------------------|----------|
| CE 編號 CE No.:   | 職員/經紀姓名 Name of Staff/ AE:  | 職員/經紀簽署 Signature of Staff/ AE: | 日期 Date: |
| 帳戶 AML 風險級別<br>A/C AML Risk category<br><br>(參考 AML 政策)<br>( refer to AML policy) | <input type="checkbox"/> 低 Low<br><input type="checkbox"/> 中 Medium<br><input type="checkbox"/> 高 High<br>(如選擇此項，請填寫右欄)<br>(If you choose this option, Please fill in the right column) | 高風險理由 Reason for High Risk:     |          |

### 只供本行使用 For Official Use Only

|  |   |  |       |   |                          |                          |                                   |                          |                          |  |                          |                          |  |                          |                          |                             |                          |                          |   |                          |                          |                      |
|--|---|--|-------|---|--------------------------|--------------------------|-----------------------------------|--------------------------|--------------------------|--|--------------------------|--------------------------|--|--------------------------|--------------------------|-----------------------------|--------------------------|--------------------------|---|--------------------------|--------------------------|----------------------|
| <b>文件查核列表 Document check list</b><br>1. 已核實的身份證或護照副本 Certified I.D Card/Passport Copy<br><input type="checkbox"/> 是 Yes<br>2. 地址證明副本 Address proof<br><input type="checkbox"/> 是 Yes<br>3. 已核實 W-8ben 或 W-9 表格 Certified W-8ben/W-9 form<br><input type="checkbox"/> 是 Yes<br>4. 銀行及信貸參考(如適用) Bank and Credit Reference (if applicable)<br>(例如：銀行結單、屋契等) (e.g. Bank statement, title deeds etc.)<br><input type="checkbox"/> 是 Yes <input type="checkbox"/> 不適合 N/A<br>5. 僱主書面同意(如適用) Employer consent letter (if applicable)<br><input type="checkbox"/> 是 Yes <input type="checkbox"/> 不適合 N/A | <b>Non face-to-face account opening procedure:</b><br><input type="checkbox"/> Mainland Colleague<br><input type="checkbox"/> Notary public or professional<br><input type="checkbox"/> Crossed Personal Cheque<br><br><b>Applicable to Crossed Personal Cheque account opening procedure:</b><br><table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 15%;">AE/Dealer</td> <td style="width: 15%;">Staff</td> <td style="width: 70%;">Personal cheque received (if applicable):</td> </tr> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>issued from a licensed bank in HK</td> </tr> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>payable to "Phillip Securities (Hong Kong) Limited "</td> </tr> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>cheque amount not less than HK\$10,000</td> </tr> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>client name shown on cheque</td> </tr> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>same signature on cheque and A/C Opening Form</td> </tr> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td>cheque copy retained</td> </tr> </table> | AE/Dealer  | Staff | Personal cheque received (if applicable): | <input type="checkbox"/> | <input type="checkbox"/> | issued from a licensed bank in HK | <input type="checkbox"/> | <input type="checkbox"/> | payable to "Phillip Securities (Hong Kong) Limited " | <input type="checkbox"/> | <input type="checkbox"/> | cheque amount not less than HK\$10,000 | <input type="checkbox"/> | <input type="checkbox"/> | client name shown on cheque | <input type="checkbox"/> | <input type="checkbox"/> | same signature on cheque and A/C Opening Form | <input type="checkbox"/> | <input type="checkbox"/> | cheque copy retained |
| AE/Dealer  | Staff   | Personal cheque received (if applicable):            |       |   |                          |                          |                                   |                          |                          |  |                          |                          |  |                          |                          |                             |                          |                          |   |                          |                          |                      |
| <input type="checkbox"/>   | <input type="checkbox"/>  | issued from a licensed bank in HK                    |       |   |                          |                          |                                   |                          |                          |  |                          |                          |  |                          |                          |                             |                          |                          |   |                          |                          |                      |
| <input type="checkbox"/>   | <input type="checkbox"/>  | payable to "Phillip Securities (Hong Kong) Limited " |       |   |                          |                          |                                   |                          |                          |  |                          |                          |  |                          |                          |                             |                          |                          |   |                          |                          |                      |
| <input type="checkbox"/>   | <input type="checkbox"/>  | cheque amount not less than HK\$10,000               |       |   |                          |                          |                                   |                          |                          |  |                          |                          |  |                          |                          |                             |                          |                          |   |                          |                          |                      |
| <input type="checkbox"/>   | <input type="checkbox"/>  | client name shown on cheque                          |       |   |                          |                          |                                   |                          |                          |  |                          |                          |  |                          |                          |                             |                          |                          |   |                          |                          |                      |
| <input type="checkbox"/>   | <input type="checkbox"/>  | same signature on cheque and A/C Opening Form        |       |   |                          |                          |                                   |                          |                          |  |                          |                          |  |                          |                          |                             |                          |                          |   |                          |                          |                      |
| <input type="checkbox"/>   | <input type="checkbox"/>  | cheque copy retained                                 |       |   |                          |                          |                                   |                          |                          |  |                          |                          |  |                          |                          |                             |                          |                          |   |                          |                          |                      |

#### 文件確認 Document reviewed by

|                     |                          |          |
|---------------------|--------------------------|----------|
| 職員姓名 Name of Staff: | 職員簽署 Signature of Staff: | 日期 Date: |
|---------------------|--------------------------|----------|

#### 客戶資料核對 Customer information checked by

|                     |                          |          |  |
|---------------------|--------------------------|----------|--|
| 職員姓名 Name of Staff: | 職員簽署 Signature of Staff: | 日期 Date: | <input type="checkbox"/> In Person<br><input type="checkbox"/> By phone (Ext:      ) |
|---------------------|--------------------------|----------|--|

#### 基本佣金 Basic Commission

#### 輝利市佣金 POEMS Commission

|                                |                                   |                                |                                   |
|--------------------------------|-----------------------------------|--------------------------------|-----------------------------------|
| 港元佣金 (%)<br>HKD Brokerage (%)  | 港元最低佣金<br>HKD Minimum Commission  | 港元佣金 (%)<br>HKD Brokerage (%)  | 港元最低佣金<br>HKD Minimum Commission  |
| 人民幣佣金 (%)<br>CNY Brokerage (%) | 人民幣最低佣金<br>CNY Minimum Commission | 人民幣佣金 (%)<br>CNY Brokerage (%) | 人民幣最低佣金<br>CNY Minimum Commission |
| 美元佣金 (%)<br>USD Brokerage (%)  | 美元最低佣金<br>USD Minimum Commission  | 美元佣金 (%)<br>USD Brokerage (%)  | 美元最低佣金<br>USD Minimum Commission  |

#### 開戶批核 Account opening approved by

|                     |                          |          |
|---------------------|--------------------------|----------|
| 職員姓名 Name of Staff: | 職員簽署 Signature of Staff: | 日期 Date: |
|---------------------|--------------------------|----------|

備註:  
Remarks: