客戶名稱：
Account Name:____________________________

☐期货账户号码： Futures Account Number： ____________ ☐证券账户号码： Securities Account Number： ____________

本页由本公司员工填写

金山金融有限公司

Golden Mountain Financial Limited

Client Agreement

客戶協議書

For Individual
個人戶口

戶口種類 Account Type	
☐ 期貨及期權交易戶口	Account（s）for Futures and Options trading
☐ 證券交易戶口	Account（s）for Securities trading

香港灣仔告士打道 227-228 號生和大廈 17 樓
17F, Sang Woo Building, 227-228 Gloucester Road, Wanchai, Hong Kong

金山金融有限公司是香港證券及期貨事務監察委員會(證監會)證券及期貨條例下持牌法團
Golden Mountain Financial Limited is a Corporation licensed under Securities and Futures Ordinance

金山金融有限公司
Golden Mountain Financial Limited

☐期货账户号码：
Futures Account Number：______________
☐证券账户号码：
Securities Account Number：______________

中央編號 AYI 978
香港灣仔告士打道 227-228 號生和大廈 17 樓
17/F, Sang Woo Building, No.227-228 Gloucester Road, Wanchai, Hong Kong
電話 00852-25739300 傳真：00852-25738600

香港證券及期貨事務監察委員會（證監會）證券及期貨條例下持牌法團
Corporation licensed under Securities and Futures Ordinance
金山金融有限公司在本合約書裏有時簡稱為"金山金融"

客戶開戶申請表 ACCOUNT OPENING APPLICATION FORM
(個人戶口 INDIVIDUAL ACCOUNT)

A.個人資料 Personal Information

個人 Individual	
1. 客戶姓名 Client Name 先生 Mr./ 女士 Ms./ 太太 Mrs./ 小姐 Miss	
中文 Chinese	
英文 English (先寫姓氏 Surname first)	
2. 身份證號碼/護照號碼 ID. Card No./ Passport No.	
3. 簽發地點 Place of Issue	
4. 國籍/公民身份 Nationality/Citizenship	
5. 出生日期（日/月/年） Date of Birth(DD/MM/YY)	
6. 出生地點 Place of Birth	
7. 住宅地址 Residential Address	

A.个人资料部分请根据身份证/护照信息填写

住址地址需填写住址证明文件上的地址
（住址证明文件：客户3个月内水、电、煤气等的账单）

B. 通訊資料 Contact Information

個人 Individual	
1. 電郵地址 E-mail Address	请填写常用电邮，用以接收结算单等资料
2. 交易確認通知和戶口結單遞送至 Trading Confirmation and Statement to be sent to your ☐ 電郵地址 E-mail Address 请勾选“ 电邮地址 ” ☐ 住宅地址 Residential Address ☐ 辦公室地址 Office Address ☐ 通訊地址 Correspondence Address	
3. 通訊地址 Correspondence Address （如與住宅地址不同 if different from residential address）	
4. 微信/QQ 號碼 WeChat/QQ No.	
5. 住宅電話 Home Phone No.	
6. 流動電話 Mobile Phone No.	请填写常用移动电话号码

C. 業務/工作狀況 Business/Employment Status

本公司根據香港證券及期貨事務監察委員會所制定之「認識你的客戶要求」而索取有關資料。

The Company is required to obtain this information to fulfill the “know-your-client requirements” of Securities and Futures Commission of Hong Kong.

個人 Individual	
1. 公司名稱 Name of Company	
2. 職業/業務性質 Occupation/Business	
3. 職位 Job Title	
4. 受僱年期 Years with Employer	
5. 辦公室電話 Business Phone No.	
6. 辦公室地址 Office Address	

D. 財務狀況 Financial Situation

個人 Individual	
1. 年薪(HK$) Annual Income(HK$)	☐ ≤HK$200,000 ☐ HK$ 200,001 – HK$ 500,000 ☐ HK$ 500,001 – HK$ 1,000,000 ☐ HK$ 1,000,001 – HK$ 2,000,000 ☐ ＞HK$ 2,000,000
2. 資產淨值(HK$) Total Net Value of Assets（HK$）	☐ ≤HK$500,000 ☐ HK$ 500,001 – HK$ 1,000,000 ☐ HK$ 1,000,001 – HK$ 5,000,000 ☐ HK$ 5,000,001 – HK$ 80,000,000 ☐ ＞HK$ 80,000,001
3. 資金來源 Source of Fund	☐ 薪金/傭金 Salary/Commission ☐ 儲蓄 Savings ☐ 售出物業 Sale of real estate ☐ 個人業務 Own Business ☐ 投資獲利 Investment Income ☐ 其他 Others:___________
4. 財產來源 Source of Wealth	☐ 個人業務收益 Business Income ☐ 薪金/退休金 Salary/Pension ☐ 遺產繼承/饋贈 Inheritance/Gift ☐ 投資獲利 Investment Income ☐ 其他 Others:
5. 住屋業權 Ownership of Residence	☐ 自置 Owned ☐ 租用 Rented ☐ 按揭 Mortgaged ☐ 與家人同住 Living with Family

C.业务/工作状况 及 D.财务状况部分需根据客户实际情况填写
需注意：C部分填写的业务/工作状况，需与D.财务状况相符。

例如：当C部分填写内容为“ 家庭主妇 ” 等没有年薪的工作时，D.财务状况的年薪需勾选第一个选项。

本页内容根据客户实际情况填写

E. 客戶投資目的及經驗(證監會規定填寫)
Client Investment Objectives & Experience (as required by the SFC)

1. 客戶投資經驗 Client's investment experience

	經驗(年)Experience(year)
☐ 香港上市證券 HK Listed Securities	____________________
☐ 海外上市證券 Overseas Listed Securities	____________________
☐ 香港期貨及期權 HK Futures/Options	____________________
☐ 海外期貨及期權 Overseas Futures/Options	____________________
☐ 互惠基金/單位信托 Mutual Funds/Unit Trust	____________________
☐ 認股權証/衍生產品 Warrants/Derivatives	____________________
☐ 其他，請註明 Others, please specify	____________________

2. 客戶投資目標 Overall Client's investment plan and objectives

☐ 短綫 Short Term ☐ 中綫 Medium Term ☐ 長綫 Long Term
☐ 資本增長 Capital Growth ☐ 投機 Speculation ☐ 對沖 Hedging
☐ 套利 Arbitrage
☐ 其他目的，請註明 Others, please specify:_________________________________

3. 客戶可承受的風險 Client's risk tolerance

☐ 低風險 Low ☐ 中等風險 Medium ☐ 高風險 High

4. 客戶对衍生產品的認識 Client's knowledge of Derivatives

客戶是否有意認購衍生產品? Does the Client wish to purchase derivative products?
☐ 是 Yes ☐ 否 No

若客戶有意認購衍生產品，請回答以下問題。
If the Client wishes to purchase derivative products, please answer the following questions.

1. 客戶曾接受有關衍生產品的培訓或修讀相關課程；及/或
   The Client underwent training or attended courses on derivative products; and/or
2. 客戶現時或過去擁有與衍生產品有關的工作經驗；及/或
   The Client has current or previous working experience related to derivative products; and/or
3. 客戶于過去 3 年曾執行 5 次或以上有關有關衍生產品的交易，例如：衍生證券、牛熊證、股票期權、期貨及期權、商品、結構性產品及交易所買賣基金等。
   The Client has executed five or more transactions within the past three years in derivative products, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures and Options, Commodities, Structured Products, and Exchange Traded Funds, etc.

☐本人有上述一個或以上的經驗
I have the above experience and/or knowledge on derivative product(s).

☐本人沒有上述經驗，但已細閱、同意及明白所有關於衍生產品的風險聲明，本人明白於買賣衍生產品前必須先具備足夠的認識，並願意接受一切有關的風險。
I do not have the above experience and/or knowledge on derivative product(s), but I confirm that I fully read, agreed and understood the relevant risks of the derivative product(s). I understand that I have to acquire enough understanding on derivative product(s) before trading them and I fully accept all relevant risks.

F. 銀行資料 Bank Reference

需填写客户香港银行账户（请勿填写内地银行账户），部分香港银行账户，银行卡面上的号码并非账户号码，可提前与金山金融客服或相应银行客服确认后再填写。

除經客戶另行指示外，須付予客戶的款項將會被轉入下列帳戶

Unless otherwise instructed by you, all monies payable to you be credited to the following bank account

1. 指定銀行名稱 Designated Bank Name		2. 銀行帳戶持有人姓名 Name of Bank Account Holder	
3. 銀行帳戶號碼 Bank Account No.	☐ 港元 帳戶號碼 HKD A/C No. ____________________ ☐ 美元 帳戶號碼 USD A/C No. ____________________		

G. 客戶聲明 Declaration by Customer

1. 客戶是否戶口之最終受益人：

Is client the ultimate beneficial owner(s) of this Account? ☐ 是 Yes ☐ 否 No

请勾选“ 是 ” 不需再填写其他人身份证信息等

若否，請註明最終受益人之姓名：

If no, please specify the ultimate beneficial owner's name:____________________

身份證或護照號碼： 職業/年期：

ID. Card/Passport No.:____________________ Occupation/Year： ____________________

地址：

Address:____________________

2. 你是否證券/期貨交易所參與者的僱員或代理人，或於證監會註冊的證券/期貨交易商或投資顧問的僱員或代理人？

Are you an employee or agent of a participant of a stock/futures exchange, or a securities/futures dealer or investment adviser registered with the Securities & Futures Commission?

此问题，若勾选“ 是 ”，则需提供相关持牌法团的授权信

☐ 是， 有關的交易所參與者或註冊人的姓名是：

Yes, the name of the related exchange participant or registered person is:____________________

☐ 否 No

（必須出示所屬持牌法團或註冊機構之授權信 Consent Letter from licensed corporation or registered institution must be provided）

3. 你是否與金山金融有限公司的職員/代理人有親屬關係？

Does the Client have any relationship with the employee(s) or agent of Golden Mountain Financial Limited?

☐ 是，職員/代理人的名稱： 關係：

Yes, Name of Employee/agent:____________________ Relationship:____________________

☐ 否 No

H. 自動交換財務帳戶資料 Automatic Exchange of Financial Account Information

提供以下資料，列明(a)帳戶持有人的居留司法管轄區，即稅務管轄區 及(b)該居留司法管轄區發給帳戶持有人的稅務編號。列出所有居留管轄區。

Complete the following table indicating (a) the jurisdiction of residence where the account holder is a resident for tax purposes and (b) the account holder's TIN for each jurisdiction indicated. Indicate all the jurisdictions of residence.

如果帳戶持有人是香港或內地稅務居民，稅務編號為其身份證號碼。

If the account holder is a tax resident of Hong Kong or Mainland China, the TIN is the Identity Card Number.

如沒有提供稅務編號，必須填寫合理的理由 A、B 或 C：

If a TIN is unavailable, provide the appropriate reason A, B or C.

若客户有多重税务居民身份，则需全部填写

理由 A：當地政府根本沒有稅務編號 Reason A：The Government does not issue TINs to its residents.

理由 B：帳戶持有人不能取得稅務編號 Reason B：The account holder is unable to obtain a TIN.

理由 C：當地政府不需要帳戶持有人披露稅務編號 Reason C：The government does not require the TIN to be disclosed.

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	Enter Reason A,B or C if no TIN is available 如沒有提供稅務編號，填寫理由 A、B 或 C	Explain why the account holder is unable to obtain a TIN if you selected Reason B 如選取理由 B，解釋帳戶持有人不能取得稅務編碼的原因
(1)			
(2)			
(3)			

☐ 如是美國納稅人，請勾選此項，並提供 W-9 表格。Attach Form W-9(applicable to U.S. taxpayer)

I. 客戶確認及承諾 Customer Acknowledgement and Consent

關於客戶协议書的確認

Acknowledgement regarding Client Agreement

本人，下述簽署客戶，現申請開立“期貨/期權買賣帳戶”及/或“證券買賣帳戶”。本人已閱讀及明白附上的金山金融有限公司最新版本的客戶協議書("該協議書"，包括“期貨及期權合約交易協議”“證券交易協議”及“環球期貨風險管理協議”) 而本文件乃該協議書的一部份，並同意受可不時被修改的該協議書(謹此聲明本人已收妥其副本)所約束。

I, the undersigned Client, hereby apply to open Futures/Options Account and/or Securities Account. I have read and understand the provisions of the attached current version of the Standard Terms and Conditions for Client Agreement of Golden Mountain Financial Limited ("Agreement", which including the "Futures and Options Trading Agreement"、 "Securities Trading Agreement" and "Global Futures Risk Management Agreement") of which this document forms a part and agree to be bounded by the Agreement (receipt of a copy whereof is hereby acknowledged by me) as the same may be amended from time to time.

關於風險披露聲明的確認

Acknowledgement regarding Risk Disclosure Statement

金山金融邀請客戶參閱隨附的風險披露聲明。

1. 客戶確認金山金融以客戶選擇的語言(中文或英文)提供了本協議及風險披露聲明。
2. 客戶進一步確認金山金融已經邀請客戶閱讀風險聲明，提出問題及徵求獨立意見(如客戶有此意願)。

Golden Mountain Financial Limited refers the Customer to the attached Risk Disclosure Statement.

1. The Customer acknowledges that the Agreement and the Risk Disclosure Statement attached were provided in a language (English or Chinese) of the Customer's choice.
2. The Customer further acknowledges that it was invited to read the Risk Disclosure Statement, ask questions and take independent advice, if the customer wished.

關於提供準確資料的確認

Acknowledgement regarding accuracy of information provided

載於本申請表中的資料是真實和準確的。除非金山金融有限公司收到資料更改的書面通知，金山金融有限公司有權為任何目的信賴這些資料。金山金融有限公司獲授權隨時聯絡任何人，包括客戶的銀行，經紀或任何信用調查機構，藉以核實本申請表中所提供的資料。客戶進一步確認已經閱讀並明白客戶協議內所載之個人資料收集聲明。

The information contained in this application Form is true and accurate. Golden Mountain Financial Limited is entitled to reply fully on such information for all purposes, unless Golden Mountain Financial Limited receives notice in writing of any change, Golden Mountain Financial Limited is authorized at any time to contact anyone, including Customer's bank, brokers or any credit agency, for the purpose of verifying the information provided on the Account Opening Application Form. The customer further acknowledges that it has read and understood the Personal Information Collection Statement contained in the Agreement.

關於自動交換財務賬戶資料的確認

Acknowledgement regarding automatic exchange of financial account information

本人知悉及同意，貴公司可根據《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稅務局申報，從而把資料交到帳戶持有人的居留司法管轄區的稅務當局。

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the Company 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 Company to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another 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).

本人承諾，如情況有所改變，以致影響本表格所載的資料不正確，本人會在情況發生改變後 30 日內，向貴公司提交一份已適當更新的自我證明表格。

I undertake to provide the Company with a suitably updated self-certification form within 30 days of any change in circumstances with affects the information contained herein to become incorrect.

個人簽字: Signature of Individual	**個人戶口持有人姓名:** Name of Individual Account Holder	**日期:** Date
请在横线上签署，于本公司的所有签名，请保持一致	请以楷体书写	
____________	____________	____________

附錄一

轉賬 / 調撥授權書

致 ： 金山金融有限公司

香港告士打道 227-228 號，生和大廈 17 樓

關於 ： 客戶姓名 ： ________________ 戶口號碼 ：____________________

本人 / 我們現在不可撤換地指示你們於任何時間及不時按你們的絕對酌情就有關上述戶口或任何本人 / 我們現時或日後可能就任何客戶協議書或因本人 / 我們自己或由別人代表本人 / 我們，將在你們處理或經你們將股份、股票、期貨、期權或其他證券賣出、買入或除此以外的交易 ：

(1) 將任何數額之款項支付 / 轉往本人 / 我們於貴公司的證券/期貨交易賬戶及 / 或任何海外經紀人及 / 或結算公司的證券/期貨交易賬戶及其繼承人及受讓人以作本人 / 我們買賣香港及海外證券合約及 / 或香港及海外期貨合約之用或符合交收或按金的要求(如適用) ； 及 / 或

(2) 將所有由你們收取或持有或存於你們或按你們指示存入或另行由你們擁有或控制的任何及所有款項交予、轉賬 / 調撥至、存入、交換或送交 ； 及 / 或將任何及所有該等期貨 / 證券以該等價錢及該等形式出售、兌現、交換或變賣 ； 並分配或使用任何由該等出售或其他變賣所得的該等款項或貨款以支付或清償任何或所有本人 / 我們任何性質之負債或債務 (不論是實質的或是或有的、基本或是抵押品、有抵押的或無抵押的，以及共同或各別的)。

(3) 當該等期貨 / 證券是以外幣交易，並且按照此指示及授權轉賬 / 調撥、出售或另行變賣時，你們有權按該等戶口指定貨幣，以當時金融市場之外幣兌換率為基準，由你們獨自酌情決定兌換率以兌換該等貨幣及將該等轉賬 / 調撥、出售或變賣之貨款存入本人 / 我們的戶口。

(4) 該授權由本授權書簽署日起生效，本人 / 我們可給予你們不少於一個月的書面通知撤銷有關授權。該授權的撤銷須在你們確實收到該通知後，方為生效，但不會影金山金融有限公司在該授權的撤銷生效前所進行的交易。

(5) 在本人 / 我們同意下，此授權將根據證券及期貨(客戶款項)規則，在繼後的每一個財政年度終結前，獲得更新。

请在横线上签名，签名请与第六页签名保持一致

客戶簽署：______________________________

日 期 ：______________________________

附錄二

Form **W-8BEN**

(Rev. July 2017)

Department of the Treasury
Internal Revenue Service

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

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

OMB No. 1545-1621

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
请填写英文姓名

2 Country of citizenship
请填写国籍

3 Permanent residence address (street, apt. or suite no., or rural route). **Do not use a P.O. box or in-care-of address.**
请填写英文地址

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 ▶ 请在横线上签名，签名请与第六页签名保持一致

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)

For Paperwork Reduction Act Notice, see separate instructions. Cat. No. 25047Z Form **W-8BEN** (Rev. 7-2017)