

客戶名稱:

Account Name:

陶朱公

賬戶號碼:

Account No.:

8888



金山期貨有限公司

Golden Mountain Futures Limited

Securities Client Agreement

證券客戶協議書

For Individual

個人

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

金山期貨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 Futures Limited is a Corporation licensed under Securities and Futures Ordinance



金山期貨有限公司
Golden Mountain Futures Limited

賬戶號碼：

8888

Account No:

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

金山期貨有限公司在本合約書裏有時簡稱為“金山期貨”

證券客戶開戶申請書 SECURITIES 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 陶朱公	
英文 English Tao Zhu Gong (先寫姓氏 Surname first)	
2. 身份證號碼/護照號碼 ID. Card No. / Passport No. A123456(7)	
3. 簽發地點 Place of Issue 香港	
4. 國籍/公民身份 Nationality/ Citizenship 中國	
5. 出生日期(日/月/年) Date of Birth (DD/MM/YY) 28 / 8 / 1960	
6. 住宅地址 Residential Address 香港淘金灣淘金路288號	

1、A.B.C.部分为阁下之个人资料，
敬请填写。

此部分请按阁下之
身份证/护照上之信
息填写，住宅地址
可填写身份证上之
住址，若住宅地址
与身份证上之住址
不同，请提供住址
证明。

B. 通訊資料 Contact Information

個人 Individual	
1. 電郵地址 E-mail Address	Taozhugong@gmail.com
2. 交易確認通知和戶口結單遞送至 Trading Confirmation and Statement to be sent to your <input checked="" type="checkbox"/> 電郵地址 E-mail Address <input type="checkbox"/> 住宅地址 Residential Address <input type="checkbox"/> 辦公室地址 Office Address <input type="checkbox"/> 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. 住宅電話 Home Phone No.	2111-2222
5. 流動電話 Mobile Phone No.	9888-8888

2、请在D及E部分选择最适合阁下的描述，以便本公司能够了解阁下的财务状况及投资偏好，从而提供最合适之服务。

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. 僱主名稱 Name of Employer	淘金金融公司
2. 職業/業務性質 Occupation/ Business	投資
3. 職位 Job Title	總經理
4. 受僱年期 Years with Employer	6年
5. 辦公室電話 Business Phone No.	2666-8888
6. 辦公室地址 Office Address 香港中環春秋大廈	

D. 財務狀況 Financial Situation

個人 Individual	
1. 年薪 (HK\$) Annual Income (HK\$)	<input type="checkbox"/> <HK\$ 100,000 <input type="checkbox"/> HK\$ 100,001 - HK\$ 200,000 <input type="checkbox"/> HK\$ 200,001 - HK\$ 500,000 <input checked="" type="checkbox"/> HK\$ 500,001 - HK\$ 1,000,000 <input type="checkbox"/> > HK\$ 1,000,001
2. 流動資產 (HK\$) Liquid Assets (HK\$)	<input type="checkbox"/> <HK\$ 200,000 <input type="checkbox"/> HK\$ 200,001 - HK\$ 500,000 <input type="checkbox"/> HK\$ 500,001 - HK\$ 1,000,000 <input checked="" type="checkbox"/> HK\$ 1,000,001 - HK\$ 5,000,000 <input type="checkbox"/> > HK\$ 5,000,001
3. 資產淨值 (HK\$) Net Worth (HK\$)	<input type="checkbox"/> <HK\$ 500,000 <input type="checkbox"/> HK\$ 500,001 - HK\$ 1,000,000 <input type="checkbox"/> HK\$ 1,000,001 - HK\$ 5,000,000 <input type="checkbox"/> HK\$ 5,000,001 - HK\$ 10,000,000 <input checked="" type="checkbox"/> > HK\$ 10,000,001
4. 住屋業權 Ownership of Residence	<input checked="" type="checkbox"/> 擁有 Owned - <input type="checkbox"/> 已抵押 Mortgaged <input checked="" type="checkbox"/> 沒有抵押 Not mortgaged <input type="checkbox"/> 沒有 Not owned <input type="checkbox"/> 租住 Rented <input type="checkbox"/> 與家人同住 Living with Family

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)
<input checked="" type="checkbox"/> 香港上市證券HK Listed Securities	6年
<input checked="" type="checkbox"/> 海外上市證券Overseas Listed Securities	6年
<input type="checkbox"/> 香港期貨及期權HK Futures/Options	
<input checked="" type="checkbox"/> 海外期貨及期權Overseas Futures/Options	2年
<input type="checkbox"/> 互惠基金/單位信托Mutual Funds/Unit Trust	
<input type="checkbox"/> 認股權證/衍生產品Warrants/Derivatives	
<input type="checkbox"/> 其他, 請注明Others, please specify	

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

- | | | |
|---|---|--------------------------------------|
| <input checked="" type="checkbox"/> 短綫Short Term | <input checked="" type="checkbox"/> 中綫Medium Term | <input type="checkbox"/> 長綫Long Term |
| <input type="checkbox"/> 資本增長Capital Growth | <input checked="" type="checkbox"/> 投機Speculation | <input type="checkbox"/> 對衝Hedging |
| <input type="checkbox"/> 套利Arbitrage | | |
| <input type="checkbox"/> 其他目的, 請注明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. 客戶衍生產品的認識 Client's knowledge of Derivatives

客戶是否有意認購衍生產品? Des 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.

- ☐ 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(例如由學術機構或金融機構所提供之網上課程或教室課程. 請注明 _____

By undergoing training or attending courses that provide general knowledge of the nature and risk of derivatives (e.g. relevant online or classroom courses offered by academic institutions or financial institutions). Please specify _____

- ☐ 從本人/吾等現時或過去從事與衍生產品有關的工作經驗.請注明 _____
From my/our current or previous work experience related to derivative products.
Please specify _____

- ☒ 從本人/吾等相關之交易經驗, 即本人/吾等于過去三年內已進行了五次或以上有關衍生產品之交易(例如: 衍生權證、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、不論是否于交易所進行交易)

From my/our relevant trading experience i.e. I/we have executed five or more transactions in derivative products (e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures and Options, whether traded on an exchange or not) within the past three years

- ☐ 本人/吾等沒有衍生產品之認識
I/We have NOT acquired knowledge of derivative products

F. 銀行資料 Bank Reference

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	香港匯豐銀行	2. 銀行帳戶持有人姓名 Name of Bank Account Holder	陶朱公
3. 銀行帳戶號碼 Bank Account No.	<input type="checkbox"/> 港元 帳戶號碼 HKD A/C No. _____ <input checked="" type="checkbox"/> 美元 帳戶號碼 USD A/C No. 888-666666-888		

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

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?

☐ 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. 你是否與金山期貨有限公司的職員/代理人有親戚關係？

☐ 是，職員/代理人的名稱：

Yes, Name of Employee/ agent: _____

☒ 否 No

H. 授權第三者資料 Authorized Third Party Information

以下人士均獲客戶在 (1) 金山期貨開立之戶口之運作上及 (2) 買、賣、持有及其他證券及其他交易上給予口頭及書面之交易指示

The following individual is authorized to give oral and written instructions on behalf of the client (1) in relation to the operation of the account maintained by the Client with Golden Mountain Futures Limited and (2) to effect purchases, sales, holdings and other dealing in Securities

授權第三者姓名 先生 Mr./ 女士 Ms./ 太太 Mrs./ 小姐 Miss	中文 Chinese	英文 English
與主要戶口持有人關係 Relationship with Primary Account Holder 請註明 Please specify _____	聯絡電話 Contact Phone No. _____	
身份證號碼/護照號碼 ID. Card/ Passport No. _____	簽發地點 Place of Issue _____	
出生日期(日/月/年) Date of Birth (DD/MM/YY) _____	國籍/公民身份 Nationality/ Citizenship _____	
住宅地址 Residential Address _____		

3、请填写阁下之香港银行账户资料。银行账户持有人的姓名必须与本开户书之持有人相同。

4、G部分为客户声明，阁下需表明其身份及回答有关问题。

5、阁下如希望授权此户口给第三者操作，包括进行买、卖及其他交易指示，请在此栏填写该第三者之个人资料，并附上该第三者的身份证明文件。

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

6、请先阅读及明白所有附设文件，如确切同意各文件之条文及内容，请在下栏签署确认。

關於證券交易協議的確認

Acknowledgement regarding Securities Trading Agreement

本人，下述簽署客戶，現申請開立證券買賣賬戶。本人已閱讀及明白附上的金山期貨有限公司最新版本的證券交易協議（“該協議書”）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 Securities Account. I have read and understand the provisions of the attached current version of the Standard Terms and Conditions for Securities Trading of Golden Mountain Futures Limited ("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

金山期貨邀請客戶參閱隨附的風險披露聲明。

1. 客戶確認金山期貨以客戶選擇的語言(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期貨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 Futures 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.

關於提供準確數據的確認

Acknowledgement regarding accuracy of information provided

載於本申請表中的數據是真實和準確的。除非金山期貨有限公司收到資料更改的書面通知，金山期貨有限公司有權為任何目的信賴這些數據。金山期貨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數據。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 Futures Limited is entitled to reply fully on such information for all purposes, unless Golden Mountain Futures Limited receives notice in writing of any change, Golden Mountain Futures 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.

個人簽字:
Signature of Individual

個人戶口持有人姓名:
Name of Individual
Account Holder

請在此處簽署

陶朱公

陶朱公

日期:
Date

2014-07-07

7、请先阅读及明白此转账/调拨授权书，如确切同意此授权书之条文及内容，请签署确认。

轉賬 / 調撥授權書

致：金山期貨有限公司
香港灣仔告士打道 227-228 號生和大廈 17 樓

關於：客戶姓名：陶朱公

戶口號碼：8888

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交易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，但不會影響金山期貨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，在繼後的每一個曆年終結前，獲得更新。

請在此處簽署

客戶簽署：陶朱公

日期：2014-07-07

附錄二

Form **W-8BEN**

(Rev. February 2014)

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.

► Information about Form W-8BEN and its separate instructions is at www.irs.gov/formw8ben.

► 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:

- 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**
- A person acting as an intermediary **W-8IMY**

Instead, use Form:**Part I Identification of Beneficial Owner (see instructions)**

1 Name of individual who is the beneficial owner <u>Tao Zhu Gong</u>	2 Country of citizenship <u>China</u>
3 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address. <u>NO. 288 Tao Jin Road, Tao Jin Harbour</u>	
City or town, state or province. Include postal code where appropriate. <u>Hong Kong</u>	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 _____ of the treaty identified on line 9 above to claim a _____ % rate of withholding on (specify type of income): _____
- Explain the reasons the beneficial owner meets the terms of the treaty article: _____

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 as an individual that is an owner or account holder of a foreign financial institution,
- 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.

請在此處簽署

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)

For Paperwork Reduction Act Notice, see separate instructions.

Cat. No. 25047Z

Form **W-8BEN** (Rev. 2-2014)