萬利豐證券有限公司
Malahon Securities Limited
(Exchange Participant of the Stock Exchange of Hong Kong Limited) (CE No. AAB291)

ACCOUNT INFORMATION FORM (For INDIVIDUAL or JOINT Account)
客戶資料表格 (個人或聯名帳戶適用)

(Please "✔" as appropriate 如適用請加"✔")   Account No. 帳號: ____________   AE Code 經紀: ________

Account Type 帳戶類型 (Securities Cash Account 證券現金帳戶)	❑ Individual Account 個人帳戶 ❑ Overseas Individual Account 海外個人帳戶	❑ Joint Account 聯名帳戶** ❑ Overseas Joint Account** 海外聯名帳戶

** Name of the other holder of the joint account and Relationship with 聯名帳戶另一持有人姓名及與其關係			
Name 姓名:		Relationship 關係:	

Would you like to apply for Internet Trading? (Correspondence method must choice email address) 閣下會否申請網上交易? (通訊方式必須選擇電子郵箱)	❑ Yes 會	❑ No 不會

Section 1 – Client's Personal Information 第 1 部分 - 客戶個人資料

1. Account Name 帳戶姓名 (English 英文) ____________________

   (Chinese 中文) ____________________

2. Gender 性別 ❑ Male 男性 ❑ Female 女性
3. Place of Birth 出生地 ____________________
4. Date of Birth 出生日期 ____________ (dd 日/mm 月/yyyy 年)
5. Nationality 國籍 ____________
6. Identity Document / Passport No. 證件號碼 ____________________
7. Identity Type 證件類別
   ❑ Hong Kong ID 香港居民身份證 ❑ Mainland China ID 中國居民身份證
   ❑ Mainland China Passport 中國護照/內地港澳通行證
   ❑ Other Country Passport 其他國家護照
8. ID Expiry Date 證件到期日期 ❑ Permanent 長期有效 或 or ____________ (dd 日/mm 月/yyyy 年)
   (Not applicable for HKID 香港居民身份證不適用)
9. Residential Address 住址 *(Please provide address proof, P.O. Box is not accepted 請提供地址證明, 郵箱不適用)*

   ____

   ____

10. Mobile Tel. 流動電話 ____________
11. Home Tel.家居電話 ____________
12. Email Address 電郵地址 ____________________
13. Correspondence and Communication Method 通訊方式
    ❑ Post to Residence Address 寄到住址
    ❑ Post to Business Address 寄到公司地址
    ❑ Sent to the above Email Address 發送到上述電子郵件地址
    ❑ Post to Other Address 寄到其他地址(Please provide address proof 請提地址證明)

    ____

    ____

14. Marital Status 婚姻狀況: ❑ Single 單身 ❑ Other 其他 ____________
❑ Married 已婚 Name of Spouse 配偶姓名 ____________

15. Education Level 教育水平: ❑ University or above 大學以上 ❑ College 大專
❑ Secondary School 中學 ❑ Primary School or Below 小學或以下

16. Employment Status 工作狀況:
❑ Self-employed 自顧 ❑ Full-time Employed 全職 ❑ Part-time Employed 兼職
❑ Student 學生 ❑ Homemaker 家庭主管 ❑ Unemployed 待業*
❑ Retired 退休* ❑ Other 其他(Please specify 請填寫): ____________

* If you are unemployed or have retired, please provide your recent employment information. 已退休或待業，請填寫近期工作狀況。

Name of Employer 僱主名稱 (if Self-employed, Name of Business 如自顧請填寫業務名稱)

____

Nature of Business 業務性質 ____________ Years of Service 服務年期 ____________
Job Title 工作職位 ____________ Business Tel.公司電話 ____________
Business Address 公司地址 ____________

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Section 2 -Client's Bank Account Detail 第 2 部分 -客戶銀行帳戶資料

The Client hereby authorizes "Malahon" to accept telephone/ verbal instruction for fund withdrawal from the Securities Account to the following designated bank account under client's name with immediate effect. 客戶現授權由即日起接納我/我們之電話/口頭通知，作為提款，提示自客戶之證券帳戶提取款項並存入客戶知會"萬利豐"之銀行帳戶*如下。(Bank account name must match with name of the Client and for fund deposit only. 銀行帳戶名稱必須與客戶名稱相同及只供存款用途) 。

Name of Bank 銀行名稱: ____________

Account No. 帳戶號碼: ____________

Section 3 – Client's Financial Profile 第 3 部分 - 客戶財務狀況

1. Annual Income 年收入:
❑ HK$200,000 or below 或以下 ❑ HK$200,001 - $500,000 ❑ HK$500,001 – 1,000,000
❑ HK$1,000,0001 - $5,000,000 ❑ HK$5,000,0001 - $10,000,000 ❑ HK10,000,000 or above 或以上

2. Ownership of Residence 住宅業權
❑ Owned without Mortgage 自置無抵押 ❑ Living with Family 與家人同住
❑ Rental 租用 Monthly Rental 月租 $ ____________
❑ Owned with Mortgage. 自置有抵押 Monthly Instalment 月供 $ ____________

3. Net Liquid Assets (Not include property asset) (HKD)** 流動資產淨值 (不含房產資產) (港元)**
**Liquid assets include deposit, bonds, certificates of deposit, unit trusts and securities etc.流動資產包括存款、債券、存款證、股票、基金等。
❑ HK$500,000 or below 或以下 ❑ HK500,001 - $1,000,000
❑ HK$1,000,0001 - $5,000,000 ❑ HK$5,000,0001 - $10,000,000 ❑ HK10,000,000 or above 或以上

4. Source(s) of Funds** 資金來源** (Can choose more than one source. 可選多個來源。)
**The Client confirms the source of fund is not arising from proceeds of crime 客戶確認資金並非來源于或涉及非法所得
❑ Employment Payroll and Commission 就業工資及佣金 ❑ Individual Business 個人生意
❑ Gift/ Inheritance 禮物/繼承 ❑ Proceeds of Real Estate/other assets 房產/其他資產銷售收益
❑ Returns on Investments 投資回報 ❑ Retirement Pension 退休金 ❑ Savings 儲蓄
❑ Other 其他 (Please specify 請註明) ____________

Section 4-Client's Investment Experience and Preference 第 4 部分-客戶投資經驗和取向

1. Investment Objective 投資目的:
   (a) Period 期限: ❑ Long Term 長綫 ❑ Medium Term 中綫 ❑ Short Term 短綫
   (b) Objective 目標: ❑ Stable Income 穩定收入 ❑ Capital Gain 資本增值 ❑ Speculating 投機 ❑ Hedging 對沖

2. Investment experience 投資經驗:

Products / Experience 產品/經驗	No Experience 沒有經驗	Within One Year 一年以內	1-3 Years 1-3 年	3-5Years 3-5 年	Above 5 Years 超過 5 年
Stocks 股票	❑	❑	❑	❑	❑
Exchange Traded Funds (ETFs) 交易所買賣基金	❑	❑	❑	❑	❑
CBBC/Warrants 牛熊證衍生權證	❑	❑	❑	❑	❑

3. Risk Tolerance for Capital Loss 資本損失風險承受度:
   - ❑ Very Low - Not willing to accept any capital loss. Seeking an income yield on deposits and other capital protected investments.
     不願承受風險型-不願承受任何資本損失。在存款及其他保本政策上尋找利益。
   - ❑ Low - Willing to accept slight price fluctuations in order to obtain returns better than that expected from a capital preservation strategy only.
     保守型-風險承受度低，願意承受輕微的價格波動，以取得比僅從保本政策中取得的回報高。
   - ❑ Moderate - Willing to accept some investment risk for potentially higher returns. Seeking to achieve a balance between capital growth, income and capital protection. Price volatility is acceptable in order to obtain a steady return with moderate capital growth.
     均衡增長型- 風險承受度中等。願意為取得較高回報而接受一些風險投資。在資本增值，收入及保本之間尋求一個平衡。接受價格波動以取得穩健回報和中等資本增值。
   - ❑ Very High - Willing to accept substantial price volatility and possible loss in seeking high growth for wealth accumulation. (Callable Bull Bear Contracts (CBBC) and derivative warrants is categorized as very high risk.)
     進取型-為財富增值尋求高回報而願意接受投資的大幅價格波幅或損失。(牛熊証和衍生權證是列爲高風險進去型投資。)

4. Anticipated Level of trading Activity 預期每月交易量:

   ❑ 0-4 Trades 單 ❑ 5-10 Trades 單 ❑ More than 多於 10 Trades 單

5. Do you intend to trade the below of Hong Kong Exchange products?** 閣下是否有意買賣交易所產品 ?**

   CBBC and/or Derivative Warrants 牛熊證和/或衍生權證 ❑ Yes 是 ❑ No 否
   Exchange-traded funds (ETFs) 交易所買賣基金 ❑ Yes 是 ❑ No 否

   **These products are not suitable for client's who have selected a very low or low risk tolerance for capital loss.
   這些產品不適合為資本損失風險容忍度選擇不願承受風險型或保守型的客戶。

Section 5 – Client's Knowledge of Derivative Products 第 5 部分 -客戶衍生工具的認知

(Please complete this section if you intend to trade CBBC, Derivative warrants and/or ETFs.
如有意買賣牛熊證、衍生權證 和/或交易所買賣基金。請填寫此部分。

I have experience in and/or knowledge of derivative products 本人對衍生工具擁有經驗及/或有認知:
- ❑ Have attended training or courses that provide general knowledge of the nature and risks of derivatives (e.g., relevant online or classroom courses offered by academic institutions or financial institutions.)
  已完成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或教室課程。）不願承受風險型-不願承受任何資本損失。在存款及其他保本政策上尋找利益。
- ❑ Have work experience related to derivative products (e.g. work experience in a bank or financial institution.)
  曾擁有從事於衍生產品相關之工作經驗。（例如在銀行或金融機構等。）
- ❑ Have conducted 5 or more transactions in derivative products (whether traded on an exchange or not) within the past three years (e.g., CBBC, Derivative warrants, stock options, ETFs, etc.)
  於過去三年內，已進行了五次或以上有關衍生產品的交易（例如牛熊證、衍生權證、股票期權、交易所買賣基金等。）

- ❑ I do not have any knowledge of derivative products. I accept Malahon's explanation of risks associated with these products and I have to acquire enough understanding on derivative products before trading them and fully accept all relevant risks.
  本人對衍生工具並無認識。 本人接受萬利豐就相關衍生產品所作出的風險解釋，並且在交易衍生產品之前必須對衍生產品獲取足夠的瞭解並完全接受所有相關風險。

Section 6 - Disclosure of Identity 第 6 部分 - 相關身份披露

1. Are you the ultimate beneficiary owner(s) of the Account who stands to gain commercial or economic benefits of transaction(s) and/or bear its commercial or economic risks? 閣下是否帳戶最終受益擁有人並會從交易獲取商業或經濟利益及/或承擔其商業或經濟風險?

   ❑ Yes 是 ❑ No 否 (Please provide details 請提供細節)

   Full Name of the Ultimate Beneficiary Owner(s) 所有最終受益擁有人的名字

   ____

   ID/Passport No. and Country of Issue 所有最終受益擁有人的證件號碼和簽發國家
   (Please provide copy 請提供附件) ____
   Address of Ultimate Beneficiary Owner(s) 所有最終受益擁有人的住址 ______________________

   ____

2. Are you a director or Senior Officer at a Public Company? 閣下是否上市公司的董事或高級主管?

   ❑ No 否 ❑ Yes 是 Stock Code and Name 上市公司股代碼和名稱 ______________________

3. Are you or the Ultimate Beneficiary Owner(s) of the Account a director, an employee or a Licensed Representative of an intermediary licensed/registered under the Securities and Futures Ordinance? 閣下或帳戶最終受益擁有人是否為（證券及期貨條例）之下註冊中介的董事、員工、或持牌人士?

   ❑ No 否 ❑ Yes 是 Name of Intermediary 中介名稱 ______________________________
   (Please provide Consent Letter for the account opening from your employer. 請提供僱主開戶的同意書)

4. Are you related to any employee at Malahon? 閣下是否與萬利豐任何僱員有親屬關係?

   ❑ No 否 ❑ Yes 是(Please provide details 請提供細節)
   Name of Employee 僱員姓名 ____________________ Relationship 關係 __________

5. Are you a US Resident, Citizen or holder of US Permanent Resident Card (Green Card)? 關係是否美國居民、公民或持有美國永久居民卡（綠卡）？ ❑ No 否 ❑ Yes 是

Section 7 - Anti-Money Laundering and Counter-Terrorist Financing
第 7 部份 - 防止洗錢/恐怖分子籌資

1. Is the Client linked to Politically Exposed Persons? (Politically Exposed Person – individual who is or has been entrusted with prominent public function or entrusted with prominent function by an international organization, e.g. head of state/government, senior politician, senior executive of government-owned corporation, important political party official, members of senior management, etc.), or the closed members of the aforesaid person (including spouse, companion, children or parents, or spouse or companion of the children) and other closely connected person?
   客戶是否擔任或曾擔任重要公職或在國際組織擔任或曾擔任重要職位之政治人物 (包括國家元首、政府首長、資深從政者、高級政府官員、司法或軍事官員、國有企業高級行政人員、重要政黨幹事及高級管理層) 或以上人士之家人 (包括配偶、伴侶、子女或父母、或該名個人的子女的配偶或伴侶) 及其他關係密切的人? ❑ No 否 ❑ Yes 是 please specify 請說明 ______________________

2. Is the nature of the client's (including any of the joint account holders and partners of a partnership firm's) business particularly susceptible to money laundering/terrorist financing risk or handle large amount of cash? (For example, Money Changer, Gamble, Jewelry Industry, Entertainment Services, etc.)
   客戶 (包括聯名帳戶各持有人及合夥帳戶之各合夥人) 的業務性質/職業是否特別容易蒙受較高的洗錢/恐怖分子資金籌集風險或接觸大量現金往來 (如貨幣兌換、博彩業、珠寶業、娛樂服務業等)?

   ❑ No 否 ❑ Yes 是 please specify 請說明 ______________________________________

Section 8 - Tax Residency 第 8 部分 - 稅務居民身份資料

Pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance, please provide your jurisdiction of residence where the account holder 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)
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)

❑ I hold **HONG KONG** tax residence. 本人擁有**香港**稅務居民資格*。
❑ I hold **P.R.C**. tax residence. 本人擁有中國**大陸稅務**居民資格*。
*If the account holder is a tax resident of Hong Kong/China, the **TIN** is the Hong Kong Identity Card Number /China Identity Card Number. 如帳戶持有人是香港稅務居/中國稅務居，**稅務編號**是其香港身份證號碼/中國身份證號碼。
❑ I hold **OTHER** tax residence. 本人擁有**其他地區**稅務居民資格。(Please complete below form 請填妥下表格)

Jurisdiction of Residence 稅務管轄區	(1)	(2)	(3)
TIN 稅務編號	(1)	(2)	(3)
No TIN Reasons 沒有稅務編號理由	❑ Reason A 理由 A ❑ Reason B 理由 B ❑ Reason C 理由 C	❑ Reason A 理由 A ❑ Reason B 理由 B ❑ Reason C 理由 C	❑ Reason A 理由 A ❑ Reason B 理由 B ❑ Reason C 理由 C
Explanation for selecting Reason C 選取理由 C 的原因			
Additional Information 額外資料			

Section 9 - Client's Acknowledgement and Agreement 第 9 部分 - 客戶確認及同意

1. I/We, the undersigned client(s) hereby confirm that I/We have been provided the Cash Client's Agreement ("the Agreement") of Malahon Securities Limited ("Malahon") and the Risk Disclosure Statement in a language of my/our choice (receipt of a copy whereof is hereby acknowledged by me/us).
本人/吾等（在下面簽署的客戶）確認萬利豐證券有限公司（下稱"萬利豐"）以按本人/吾等選擇的語言（英文或中文）提供了現金客戶合約("該合約")及風險披露聲明之副本。
2. I/We, the undersigned client(s) hereby confirm and represent that the information on this Account Information Form is true, complete and correct. Malahon is entitled to rely on such information and representation for all purposes, unless Malahon receives notice in writing of any change.
本人/吾等（在下面簽署的客戶）僅此聲明在本客戶資料表格所提供全部為真實、完整及正確。除非萬利豐接到更改有關本資料表格內容之書面通知。否則萬利豐有權完全依賴此等資料及聲明做一切用途。
3. I /We acknowledge that any information contained in this Account 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 Malahon 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 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. I undertake to advise Malahon 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 Malahon with a suitably updated Change of Account Information Form within 30 days of such change in circumstances. Malahon is authorized to contact anyone, including my/our banks, brokers or any credit agency, for verifying the information provided on this form.

本人/吾等知悉在這客戶資料表格（“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，萬利豐可根據《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，我會通知萬利豐，並會在情況發生改變後 30 日內，向萬利豐提交一份已適當更新的更改帳戶資料表格。萬利豐有權聯繫任何人，包括本人/吾等的銀行，經紀人或任何信用機構，以驗證本表格上提供的資訊。

4. I/We, the undersigned client(s) hereby apply to open the types of account(s) and service(s) which I/We choose on the front page of the Account Information Form and confirm that I/We have read and understood the relevant provisions of the attached Agreement and accept and agree to be bound by the Agreement which may be amended from time to time, and I/We hereby give you notice in writing that I/We confirm and authorize Malahon to exercise all the power of the Standing Authorization under the Agreement.
   本人/吾等（在下面簽署的客戶）現申請開立本人/吾等在本客戶資料表格頁選擇之帳戶及服務類別。本人/吾等確認已閱讀並明白附上之萬利豐合約的所有有關條款並且接受及同意受可不時被修改的該合約之條款所約束，本人/吾等在此以書面通知及確認並授權萬利豐行使該合約內的全部常設授權。

5. I/We, the undersigned client(s) further acknowledge and confirm that I/We have been invited by Malahon to read the Risk Disclosure Statement, ask questions and take independent advice, if I/We wish.
   本人/吾等（在下面簽署的客戶）進一步確認萬利豐已經邀請本人/吾等閱讀風險披露聲明，提出問題及徵求獨立的意見 (如本人/吾等有此意願）。

6. I/We, the undersigned client(s) have carefully read, fully understand and agree to accept and be bound by the Personal Information Collection Statement of the Agreement.
   本人/吾等（在下面簽署的客戶）以仔細閱讀，完全理解並同意接受及遵守合約內之個人資料收集聲明。

S.V.

____

(Client's Signature 客戶簽署)

Name 姓名: ________________________________

Date 日期: ________________________________

For official use only (僅供職員填寫)			
Contact by (If Any)	**Approved by**	**Input by**	**Checked by**
Date & Time	Date	Date	Date
Referred by:			