

Southwest Securities (HK) Brokerage Limited (SFC CE No. ACB501)  
 西證(香港)證券經紀有限公司 (證監會中央編號: ACB501)  
 Southwest Securities (HK) Futures Limited (SFC CE No. AAZ149)  
 西證(香港)期貨有限公司 (證監會中央編號: AAZ149)  
 40/F., Lee Garden One, 33 Hysan Avenue,  
 Causeway Bay, Hong Kong  
 香港銅鑼灣希慎道 33 號利園一期 40 樓

<b>For office use only</b>	
Account No.:	_____
AE Name.:	_____
AE Code :	_____
Comm. Rate:	_____
<input type="checkbox"/> By Internet:	<input type="checkbox"/> By Phone: _____
Interest Rate:	_____
Ref. No.: SW-	_____

This form shall be read with Terms and Conditions of the Client Agreement.  
 此表格須與客戶協議內的條款及條件一併閱讀。

Please tick the appropriate box 請在適當空格加 <input checked="" type="checkbox"/>	Account Opening Date 開戶日期	(fill in by Company 由公司填寫)
*Please delete whichever is inapplicable 請刪去不適用者		

**Account Type 帳戶類別**

<input type="checkbox"/> Individual Account 個人帳戶	<input type="checkbox"/> Joint Account 聯名帳戶	Relationship with Primary Account Holder 與帳戶第一持有人的關係: _____
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**Southwest Securities (HK) Brokerage Limited 西證 (香港) 證券經紀有限公司**

<b>Account Type 帳戶類別</b>	<input type="checkbox"/> Cash Securities Account 證券現金帳戶	<input type="checkbox"/> Margin Securities Account 證券保證金帳戶
	<input type="checkbox"/> Stock Options Account 股票期權帳戶	
<b>Other Securities Markets Trading Services 其他證券市場交易服務</b>	<input type="checkbox"/> Shanghai and Shenzhen Stock Connect 滬深港通	
	<input type="checkbox"/> U.S. Stock 美股 (please sign Form W-8BEN 請簽署 W-8BEN 表格)	

**Southwest Securities (HK) Futures Limited 西證 (香港) 期貨有限公司**

<b>Account Type 帳戶類別</b>	<input type="checkbox"/> HK Futures & Index Option Account 香港期貨及指數期權帳戶	<input type="checkbox"/> Oversea Futures Account 海外期貨帳戶
<b>Electronic Trading Services 電子交易服務</b>	<input type="checkbox"/> Required 需要	<input type="checkbox"/> Not Required 不需要
<b>Way of Receiving OTP 收取「一次性驗證碼」方式 (please choose one only 請選取其中一種)</b>	<input type="checkbox"/> SMS 短訊 _____	<input type="checkbox"/> E-mail 電郵 _____

**Personal Information 個人資料**
**Individual/Primary Joint A/C Holder's Personal Data 個人/聯名帳戶第一持有人之個人資料**

1	Name of Client 客戶名稱 (English 英文 Surname first 先寫姓氏) _____ (Chinese 中文) _____
2	Gender 性別 Marital Status 婚姻狀況 <input type="checkbox"/> 男 <input type="checkbox"/> Single 未婚 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> 女 <input type="checkbox"/> Divorced 離婚 <input type="checkbox"/> Widowed 鰥寡
3	Residential Address (P.O. Box not accepted) 住宅地址 (不接受郵政信箱) _____ _____ _____ Nature of Occupancy 住宅類別 <input type="checkbox"/> Owned (No Mortgage) 自置 (無按揭) <input type="checkbox"/> With Parents 與父母同住 <input type="checkbox"/> Relative's 親屬樓宇 <input type="checkbox"/> Mortgaged / Monthly Installment 按揭/每月供款 HK\$ _____ <input type="checkbox"/> Rented / Monthly Rental 租用/每月租金 HK\$ _____ <input type="checkbox"/> Quarters 宿舍

**Secondary Joint A/C Holder's Personal Data 聯名帳戶第二持有人之個人資料**

Name of Client 客戶名稱 (English 英文 Surname first 先寫姓氏) _____ (Chinese 中文) _____
Gender 性別 Marital Status 婚姻狀況 <input type="checkbox"/> 男 <input type="checkbox"/> Single 未婚 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> 女 <input type="checkbox"/> Divorced 離婚 <input type="checkbox"/> Widowed 鰥寡
Residential Address (P.O. Box not accepted) 住宅地址 (不接受郵政信箱) _____ _____ _____ Nature of Occupancy 住宅類別 <input type="checkbox"/> Owned (No Mortgage) 自置 (無按揭) <input type="checkbox"/> With Parents 與父母同住 <input type="checkbox"/> Relative's 親屬樓宇 <input type="checkbox"/> Mortgaged / Monthly Installment 按揭/每月供款 HK\$ _____ <input type="checkbox"/> Rented / Monthly Rental 租用/每月租金 HK\$ _____ <input type="checkbox"/> Quarters 宿舍

4 Correspondence Address (P.O. Box not accepted)

通訊地址 (不接受郵政信箱)

(if different from above 如與上址不同)

Form for Correspondence Address (left column)

Correspondence Address (P.O. Box not accepted)

通訊地址 (不接受郵政信箱)

(if different from above 如與上址不同)

Form for Correspondence Address (right column)

5 E-mail Address 電郵地址

Form for E-mail Address (left column)

E-mail Address 電郵地址

Form for E-mail Address (right column)

6 ID Card No/Passport No

身份證/護照號碼

Form for ID Card No/Passport No (left column)

Place of Issue

簽發地區

Form for Place of Issue (left column)

ID Card No / Passport No

身份證/護照號碼

Form for ID Card No / Passport No (right column)

Place of Issue

簽發地區

Form for Place of Issue (right column)

7 Place of Birth

出生地區

Form for Place of Birth (left column)

Nationality

國籍

Form for Nationality (left column)

Place of Birth

出生地區

Form for Place of Birth (right column)

Nationality

國籍

Form for Nationality (right column)

8 Date of Birth

出生日期

(DD/MM/YYYY) (日/月/年)

Form for Date of Birth (left column)

Date of Birth

出生日期

(DD/MM/YYYY) (日/月/年)

Form for Date of Birth (right column)

9 Home Telephone No.

住宅電話

( )

Form for Home Telephone No. (left column)

Home Telephone No.

住宅電話

( )

Form for Home Telephone No. (right column)

10 Mobile Phone No.

流動電話

( )

Form for Mobile Phone No. (left column)

Mobile Phone No.

流動電話

( )

Form for Mobile Phone No. (right column)

11 Education Level 學歷程度

- Primary School 小學, Secondary School 中學, University or above 大學或以上

Education Level 學歷程度

- Primary School 小學, Secondary School 中學, University or above 大學或以上

Business / Employment Status 業務/工作狀況

1 Employment Status 就業情況

- Self-employed 自僱, Full-time employed 全職, Part-time employed 兼職, Retired 退休, Others (Please Specify) 其他 (請說明):

Employment Status 就業情況

- Self-employed 自僱, Full-time employed 全職, Part-time employed 兼職, Retired 退休, Others (Please Specify) 其他 (請說明):

2 Name of Employer

受僱/自僱機構名稱

Form for Name of Employer (left column)

Name of Employer

受僱/自僱機構名稱

Form for Name of Employer (right column)

3 Nature or Business 業務性質

- Business Services 商業服務, Engineering 工程, Communication 通訊業, Finance 金融業, Construction 建築業, Gambling 博彩業, Entertainment 娛樂行業, Insurance 保險業, Healthcare/Beauty 醫護/美容, Hotels 酒店業, Manufacturing 製造業, Legal 法律服務, Money Exchange 貨幣兌換, Logistics 物流業, Real Estate 房地產, Retail 零售業, Tourism 旅遊業, Restaurants 餐飲業, Trading 貿易, Transportation 運輸業, Others (Please Specify) 其他 (請說明):

Nature or Business 業務性質

- Business Services 商業服務, Engineering 工程, Communication 通訊業, Finance 金融業, Construction 建築業, Gambling 博彩業, Entertainment 娛樂行業, Insurance 保險業, Healthcare/Beauty 醫護/美容, Hotels 酒店業, Manufacturing 製造業, Legal 法律服務, Money Exchange 貨幣兌換, Logistics 物流業, Real Estate 房地產, Retail 零售業, Tourism 旅遊業, Restaurants 餐飲業, Trading 貿易, Transportation 運輸業, Others (Please Specify) 其他 (請說明):

4 Occupation /Position

職業/職位

Form for Occupation /Position (left column)

Occupation /Position

職業/職位

Form for Occupation /Position (right column)

5 Years in Occupation

從業年期

Form for Years in Occupation (left column)

Years in Occupation

從業年期

Form for Years in Occupation (right column)

6 Office Phone No.

公司電話

Form for Office Phone No. (left column)

Office Phone No.

公司電話

Form for Office Phone No. (right column)

7 Business Address 商業地址

Form for Business Address (left column)

Business Address 商業地址

Form for Business Address (right column)

## Financial Status 財政狀況

1	Estimated Annual Income (HK\$) 估計每年收入 (港元) <input type="checkbox"/> Less than or equal to HK\$200,000 或以下 <input type="checkbox"/> HK\$200,001 – 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 type="checkbox"/> Above HK\$10,000,000 以上	Estimated Annual Income (HK\$) 估計每年收入 (港元) <input type="checkbox"/> Less than or equal to HK\$200,000 或以下 <input type="checkbox"/> HK\$200,001 – HK\$300,000 <input type="checkbox"/> HK\$300,001 – 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 type="checkbox"/> Above HK\$10,000,000 以上
2	Source(s) of Income (may choose more than one option) 收入來源 (可選擇一項或多項) <input type="checkbox"/> Salary and/or bonus 薪金及/或花紅 <input type="checkbox"/> Saving 儲蓄 <input type="checkbox"/> Pension 養老金 <input type="checkbox"/> Rental Income 租金收入 <input type="checkbox"/> Investment Income 投資獲利 <input type="checkbox"/> Dividend 股息 <input type="checkbox"/> Others (Please specify) 其他 (請說明): _____	Source(s) of Income (may choose more than one option) 收入來源 (可選擇一項或多項) <input type="checkbox"/> Salary and/or bonus 薪金及/或花紅 <input type="checkbox"/> Saving 儲蓄 <input type="checkbox"/> Pension 養老金 <input type="checkbox"/> Rental Income 租金收入 <input type="checkbox"/> Investment Income 投資獲利 <input type="checkbox"/> Dividend 股息 <input type="checkbox"/> Others (Please specify) 其他 (請說明): _____
3	Approximate Total Net Worth (HK\$) 估計資產淨值 (港元) <input type="checkbox"/> Less than or equal to HK\$1,000,000 或以下 <input type="checkbox"/> HK\$1,000,001 – HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001 – HK\$10,000,000 <input type="checkbox"/> HK\$10,000,001 – HK\$30,000,000 <input type="checkbox"/> HK\$30,000,001 – HK\$50,000,000 <input type="checkbox"/> Above HK\$50,000,000 以上	Approximate Total Net Worth (HK\$) 估計資產淨值 (港元) <input type="checkbox"/> Less than or equal to HK\$1,000,000 或以下 <input type="checkbox"/> HK\$1,000,001 – HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001 – HK\$10,000,000 <input type="checkbox"/> HK\$10,000,001 – HK\$30,000,000 <input type="checkbox"/> HK\$30,000,001 – HK\$50,000,000 <input type="checkbox"/> Above HK\$50,000,000 以上
4	Source(s) of Wealth (may choose more than one option) 財富來源 (可選擇一項或多項) <input type="checkbox"/> Previous positions 過往職務 <input type="checkbox"/> Family Estate 家族財產/ Inheritance 遺產繼承 <input type="checkbox"/> Sale of property/Assets 出售物業/資產 <input type="checkbox"/> Sale of Investment 投資回報 <input type="checkbox"/> Retirement Funds 退休金 <input type="checkbox"/> Others (Please specify) 其他 (請說明): _____	Source(s) of Wealth (may choose more than one option) 財富來源 (可選擇一項或多項) <input type="checkbox"/> Previous positions 過往職務 <input type="checkbox"/> Family Estate 家族財產/ Inheritance 遺產繼承 <input type="checkbox"/> Sale of property/Assets 出售物業/資產 <input type="checkbox"/> Sale of Investment 投資回報 <input type="checkbox"/> Retirement Funds 退休金 <input type="checkbox"/> Others (Please specify) 其他 (請說明): _____

## Account Transaction Information 帳戶交易資料

1	Estimated Amount for Investment at Account Opening 開戶時預計用作投資的金額 <input type="checkbox"/> Less than or equal to HK\$2,000,000 或以下 <input type="checkbox"/> HK\$2,000,001 – HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001 – HK\$10,000,000 <input type="checkbox"/> HK\$10,000,001 – HK\$20,000,000 <input type="checkbox"/> Above HK\$20,000,000 以上
2	Approximate Account Transaction Frequency Per Month 預期每月帳戶交易筆數 <input type="checkbox"/> ≤ 100 <input type="checkbox"/> 101 – 200 <input type="checkbox"/> 201 – 500 <input type="checkbox"/> 501 -1000 <input type="checkbox"/> > 1000

## Investment Experience and Product Knowledge 投資經驗及對產品認識

1	Investment Experience of Products (may choose more than one option) 產品投資經驗 (可選擇一項或多項) <input type="checkbox"/> HK Listed Stocks 香港上市股票 <input type="checkbox"/> Overseas Listed Stocks 海外上市股票 <input type="checkbox"/> China A-shares 中國 A 股 <input type="checkbox"/> HK Futures & Options 香港期貨及期權 <input type="checkbox"/> Overseas Futures & Options 海外期貨及期權 <input type="checkbox"/> Mutual Funds or Unit Trust 互惠基金或單位信託 <input type="checkbox"/> Bonds 債券 <input type="checkbox"/> Others (Please specify) 其他 (請說明): _____ <input type="checkbox"/> None 沒有	Investment Experience of Products (may choose more than one option) 產品投資經驗 (可選擇一項或多項) <input type="checkbox"/> HK Listed Stocks 香港上市股票 <input type="checkbox"/> Overseas Listed Stocks 海外上市股票 <input type="checkbox"/> China A-shares 中國 A 股 <input type="checkbox"/> HK Futures & Options 香港期貨及期權 <input type="checkbox"/> Overseas Futures & Options 海外期貨及期權 <input type="checkbox"/> Mutual Funds or Unit Trust 互惠基金或單位信託 <input type="checkbox"/> Bonds 債券 <input type="checkbox"/> Others (Please specify) 其他 (請說明): _____ <input type="checkbox"/> None 沒有
2	Years of Experience in Securities Investment 證券投資經驗年期： <input type="checkbox"/> Nil 沒有 <input type="checkbox"/> 1-3 years 一至三年 <input type="checkbox"/> 3-5 years 三至五年 <input type="checkbox"/> 5-10 years 五至十年 <input type="checkbox"/> Over 10 years 超過十年	Years of Experience in Securities Investment 證券投資經驗年期： <input type="checkbox"/> Nil 沒有 <input type="checkbox"/> 1-3 years 一至三年 <input type="checkbox"/> 3-5 years 三至五年 <input type="checkbox"/> 5-10 years 五至十年 <input type="checkbox"/> Over 10 years 超過十年

3	<b>Investment Objectives (may choose more than one option)</b> 投資目標 (可選擇一項或多項) <input type="checkbox"/> Capital appreciation 資本增值 <input type="checkbox"/> Dividend 股息收益 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Long-term investment 長線投資 <input type="checkbox"/> Short-term trading 短線買賣 <input type="checkbox"/> Others (Please specify) 其他 (請說明): _____	<b>Investment Objectives (may choose more than one option)</b> 投資目標 (可選擇一項或多項) <input type="checkbox"/> Capital appreciation 資本增值 <input type="checkbox"/> Dividend 股息收益 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Long-term investment 長線投資 <input type="checkbox"/> Short-term trading 短線買賣 <input type="checkbox"/> Others (Please specify) 其他 (請說明): _____
4	<b>Derivative Products Knowledge 對衍生產品的認識</b> a) Has any of your previous trading experience ever been related to structured or derivative product(s)? 您以往曾否有買賣結構性或衍生產品的經驗? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是, please state the structured or derivative product(s) you traded (may choose more than one option) 請提供有關的產品名稱 (可選擇一項或多項) <input type="checkbox"/> Exchange Traded Convertible Bonds 交易所買賣換股債券 <input type="checkbox"/> Derivative Warrants 衍生認股證 <input type="checkbox"/> Callable Bull/Bear Contracts (CBBC) 牛熊證 <input type="checkbox"/> Exchange Traded Funds (ETF) 交易所買賣基金 <input type="checkbox"/> Rights 供股權 <input type="checkbox"/> Futures and Options 期貨或期權合約交易 <input type="checkbox"/> Stock Options 股票期權 <input type="checkbox"/> Equity Linked Instruments / Notes (ELI/ELN) 股票掛鉤產品 <input type="checkbox"/> Others 其他: _____ b) Have you executed five or more than five transactions in any structured or derivative product (whether traded on an Exchange or not) within the past three years? 您是否曾在過去三年執行過五次或以上有關任何結構性或衍生產品的交易 (不論是否在交易所買賣) 的交易? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 c) Have you ever attended any trainings or courses on structured or derivative product(s)? 您曾否接受有關結構性或衍生產品的培訓或修讀相關課程? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是, please state the name and date of the trainings / courses : 請提供培訓或修讀課程之名稱及日期: _____ d) Has any of your <b>current or previous</b> work experience been related to structured or derivative products(s)? 您 <b>現時或以往</b> 的工作經驗是否與結構性或衍生產品有關? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 please specify 請說明: _____	<b>Derivative Products Knowledge 對衍生產品的認識</b> a) Has any of your previous trading experience ever been related to structured or derivative product(s)? 您以往曾否有買賣結構性或衍生產品的經驗? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是, please state the structured or derivative product(s) you traded (may choose more than one option) 請提供有關的產品名稱 (可選擇一項或多項) <input type="checkbox"/> Exchange Traded Convertible Bonds 交易所買賣換股債券 <input type="checkbox"/> Derivative Warrants 衍生認股證 <input type="checkbox"/> Callable Bull/Bear Contracts (CBBC) 牛熊證 <input type="checkbox"/> Exchange Traded Funds (ETF) 交易所買賣基金 <input type="checkbox"/> Rights 供股權 <input type="checkbox"/> Futures and Options 期貨或期權合約交易 <input type="checkbox"/> Stock Options 股票期權 <input type="checkbox"/> Equity Linked Instruments / Notes (ELI/ELN) 股票掛鉤產品 <input type="checkbox"/> Others 其他: _____ b) Have you executed five or more than five transactions in any structured or derivative product (whether traded on an Exchange or not) within the past three years? 您是否曾在過去三年執行過五次或以上有關任何結構性或衍生產品的交易 (不論是否在交易所買賣) 的交易? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 c) Have you ever attended any courses or seminars on structured or derivative product(s)? 您曾否接受有關結構性或衍生產品的培訓或修讀相關課程? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是, please state the name and date of the trainings / courses : 請提供培訓或修讀課程之名稱及日期: _____ d) Has any of your <b>current or previous</b> work experience been related to structured or derivative products(s)? 您 <b>現時或以往</b> 的工作經驗是否與結構性或衍生產品有關? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 please specify 請說明: _____
<p><b>For clients who do not have any of the above-mentioned derivative products knowledge and experience, such clients will be considered as without knowledge of structured and / or derivatives product(s). Before trading in structured and/ or derivative product(s), the Client has read and understood the risks disclosure statements of Derivatives traded on Exchange included in the Client Agreement and agree to bear the risks involved.</b></p> <p>如客戶沒有以上任何一項結構性及/或衍生工具產品的經驗及認識, 客戶將被視作沒有結構性及/或衍生工具產品認識。在客戶買賣結構性及/或衍生工具產品之前, 客戶就此確認已閱讀及理解包括於客戶協議中有關在交易所買賣的衍生產品的風險披露聲明, 並同意承擔有關風險。</p>		

**Self-Certification of U.S. Resident / Citizen 美國居民/公民自我證明**

1	(a) Are you a U.S. tax resident? 您是否為美國稅務居民?	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是	(a) Are you a U.S. tax resident? 您是否為美國稅務居民?	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是
	(b) Are you a U.S. citizen? (If you hold multiple citizenships, tick "Yes" if one of them is U.S.) 您是否為美國公民 (如您持有多重國籍身份而其一為美國國籍, 請回答"是")	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是	(b) Are you a U.S. citizen? (If you hold multiple citizenships, tick "Yes" if one of them is U.S.) 您是否為美國公民 (如您持有多重國籍身份而其一為美國國籍, 請回答"是")	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是

## Self-Certification of Common Reporting Standard 共同匯報標準自我證明

- 1 Please complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder's Taxpayer Identification Number ("TIN") for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence.  
請提供以下資料，列明 (a) 帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區（香港包括在內）及 (b) 該居留司法管轄區發給帳戶持有人的稅務編號。請列出所有（不限於 5 個）居留司法管轄區。
- \*If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. If a TIN is unavailable, provide the appropriate reason A, B or C:  
\*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。如沒有提供稅務編號，必須填寫合適的理由：
- Reason A – The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.  
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。
- Reason B – The account holder is unable to obtain a TIN. Please explain why the account holder is unable to obtain a TIN if you have selected this reason.  
理由 B – 帳戶持有人不能取得稅務編號。如選取這一理由，請解釋帳戶持有人不能取得稅務編號的原因。
- Reason C – TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.  
理由 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。

### Individual / Primary Joint A/C Holder's Data 個人 / 聯名帳戶第一持有人之資料

#	Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	If a TIN is unavailable, please ✓ the appropriate reason* 若無法提供稅務識別號碼，請在適用的原因填上✓號*	Please explain why you are unable to obtain a TIN if you have selected Reason B 如選取理由 B，請解釋帳戶持有人不能取得稅務編號的原因
1			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
2			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
3			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	

### Secondary Joint A/C Holder's Data 聯名帳戶第二持有人之資料

1			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
2			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
3			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	

Further details of acceptable TINs can be found at the OECD Automatic Exchange Portal at the following link 有關可接受的稅務編號的詳細資訊刊載於經濟合作與發展組織的自動交換資料網站: <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/>

## Disclosure of Identity 身份披露

- 1 Are you the ultimate beneficial owner(s) in relation to the Account(s)?  
閣下是否為此帳戶的最終實益擁有人?  
 Yes 是  
 No, details of the ultimate beneficial owner(s) is/are (if more than one, please specify on an additional paper),  
否，帳戶的最終實益擁有人是 (如多於一位，請另紙說明)：
- |  |                              |  |  |                  |
|--|------------------------------|--|--|------------------|
| Name of ultimate beneficial owner<br>最終實益擁有人姓名 | ID/Passport No<br>身份證 / 護照號碼 | Place of Birth 出生地區                        | Nationality<br>國籍                                | Occupation<br>職業 |
|  |                              | Date of Birth 出生日期<br>(DD/MM/YYYY) (日/月/年) |  |                  |
| Current Residential Address 現時住址               |                              | Contact No. 聯絡號碼                           | Relationship with account holder(s)<br>與帳戶持有人的關係 |                  |
- 2 Are you ultimately responsible for originating instructions for the Account(s)?  
閣下是否為此帳戶進行交易的最終負責發出指示人士?  
 Yes 是  
 No, detail of the person ultimately responsible for giving instructions is (if more than one, please specify on an additional paper),  
否，帳戶進行交易的最終負責發出指示人是 (如多於一位，請另紙說明)：
- |  |                              |  |  |                  |
|--|------------------------------|--|--|------------------|
| Name of ultimate responsible for giving instructions<br>最終負責發出指示人士姓名 | ID/Passport No<br>身份證 / 護照號碼 | Place of Birth 出生地區                        | Nationality<br>國籍                                | Occupation<br>職業 |
|  |                              | Date of Birth 出生日期<br>(DD/MM/YYYY) (日/月/年) |  |                  |
| Current Residential Address 現時住址                                     |                              | Contact No. 聯絡號碼                           | Relationship with account holder(s)<br>與帳戶持有人的關係 |                  |

3 Are you, the ultimate beneficial owner(s) of the Account(s) and/or the person ultimately responsible for giving instructions for the Account(s), a director, representative or an employee of any Licensed or Registered Institution of the Securities and Futures Commission in Hong Kong?  
閣下，此帳戶最終實益擁有人及/或就此帳戶進行交易的最終負責發出指示人士，是否香港證監會註冊之持牌法團或註冊機構之董事、代表或職員？

No 否       Yes 是\*

Name of the Licensed or Registered Person(s) \_\_\_\_\_  
持牌或註冊人士姓名：

**\*If yes, please provide the written consent from the employer of your account(s) opening with Southwest  
如是，請務必提供僱主確認同意於西證開立此帳戶之同意書**

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4 Do you, the ultimate beneficial owner(s), and/or ultimate instructor(s) have any relationship with any director or employee of Southwest Securities (HK) Brokerage Limited or Southwest Securities (HK) Futures Limited or its Affiliates?  
閣下，此帳戶最終實益擁有人及/或就此帳戶進行交易的最終負責發出指示人士，與西證（香港）證券經紀有限公司或西證（香港）期貨有限公司或其聯屬公司之董事或職員是否有親屬關係？

No 否       Yes 是, Please specify 請說明

Name of Director/Employee 董事或職員姓名：      Relationship 關係： \_\_\_\_\_

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5 Is your spouse a margin client of Southwest?  
閣下的配偶是否為西證的保證金客戶？

No 否       Yes 是, Please specify 請說明

Name of Spouse 配偶姓名：      Account No. 帳戶號碼： \_\_\_\_\_

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6 Are you, either alone or with your spouse, in control of 35% or more of the voting rights of any corporate margin client account of Southwest?  
閣下是否擁有個人或與配偶共同控制任何西證的保證金公司帳戶 35%或以上的投票權？

No 否       Yes 是, Please specify 請說明

Account Name 帳戶名稱：      Account No. 帳戶號碼： \_\_\_\_\_

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7 Do you maintain any other account(s) with Southwest Securities (HK) Brokerage Limited or Southwest Securities (HK) Futures Limited?  
閣下現時是否已持有西證（香港）證券經紀有限公司或西證（香港）期貨有限公司之帳戶？

No 否  
 Yes, please provide details 是，請提供詳細資料：

Account Name	Account No.	Account Type
帳戶姓名： _____	帳戶號碼： _____	帳戶類別： _____

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8 Are you, the ultimate beneficial owner(s) of the Account(s) and/or the person ultimately responsible for giving instructions for the Account(s), or his spouse, partner, child, parent, spouse or partner of his child, or a close associate with him a political exposed person, entrusted or has been entrusted with a prominent public function, which includes a head of state, head of government, judicial or military official, senior executive of a state-owned corporation, an important political party official and senior management of an international organization, i.e. directors, deputy directors and members of the board or equivalent functions?  
閣下，此帳戶最終實益擁有人及/或就此帳戶進行交易的最終負責發出指示人士，或其配偶、伴侶、子女或父母，或其子女的配偶或伴侶，或與其關係密切的人，是否擔任或曾擔任重要公職的為政治人物，包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員、重要政黨幹事國際組織的高級管理層，即董事會的董事、副董事及成員或對等職位？

No 否       Yes, please specify 是，請說明： \_\_\_\_\_

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9 Are you, the ultimate beneficial owner(s) of the Account(s) and/or the person ultimately responsible for giving instructions for the Account(s), the nature of business particularly susceptible to money laundering risk (e.g. money service, gambling business, the production of or trade in arms / war material)?  
閣下，此帳戶最終實益擁有人及/或就此帳戶進行交易的最終負責發出指示人士的工作業務性質，是否特別容易蒙受較高的洗黑錢風險(如金錢服務業、博彩業、武器/戰爭物資的生產或貿易等行業)？

No 否       Yes, please specify 是，請說明： \_\_\_\_\_

**Bank Account 銀行帳戶 (For direct deposit 直接存款之用)**

Account Type 帳戶類別	Name of Receiving Bank 收款銀行名稱	Account Number 帳戶號碼	Address of Receiving Bank 收款銀行地址	T/T SWIFT Code 銀行國際代碼

\*Proof of Bank account 需附銀行帳戶證明

**Delivery of Statements 結單寄發**

Mailing Address* 郵寄地址* (P.O.Box not accepted 不接受郵政信箱)	<input type="checkbox"/> Home Address 住宅地址 <input type="checkbox"/> Correspondence Address 通訊地址 <input type="checkbox"/> E-mail Address 電郵地址 (For securities account, Electronic trading clients can examine statement by using Web Statement at <a href="http://www.swsc.hk">www.swsc.hk</a> ) (電子交易證券帳戶客戶可於西證網頁 <a href="http://www.swsc.hk">www.swsc.hk</a> 查閱結單) Please note that Administrative Fee will be charged monthly if receiving statement by post. 若以郵遞方式收取結單，每月將收取行政費用，敬請注意。
Choice of Language 語言選擇	<input type="checkbox"/> English 英文 <input type="checkbox"/> Traditional Chinese 繁體中文 <input type="checkbox"/> Simplified Chinese 簡體中文

**Other Information 其他資料**

Reason for Choosing Southwest for Account Opening 閣下選擇西證開戶的原因：

Friend or relative referral 親友轉介     Walk-in 自薦     Seminar 講座     Others 其他：\_\_\_\_\_

**Personal Data Arrangement(s) 個人資料安排 (Applicable to Securities Account Client only 只適用於證券帳戶之客戶)**

I/We hereby  authorize /  do not authorize Southwest Securities (HK) Brokerage Limited to send my/our contact information to Hong Kong Securities Clearing Company Limited to receive the publication of corporate communication documents by the issuer(s).  
 本人/吾等現  授權 /  不同意西證(香港)證券經紀有限公司將本人/吾等聯絡資料轉介至香港中央結算有限公司以收取發行人的公司通訊。

Please provide English address for receiving information (if not stated in previous section) :  
 請提供英文地址以收取資料(如之前部份未有提述) : \_\_\_\_\_

**Use of Personal Data in Direct Marketing Consent Letter 使用個人資料作直接促銷同意書**

Southwest Securities (HK) Brokerage Limited ("SWSB") / Southwest Securities (HK) Futures Limited ("SWSF") intends to use your personal data in direct marketing. Such personal data includes the name, contact details, financial background and statistical data which are provided to SWSB / SWSF under this Account Opening Form or obtained by SWSB / SWSF from time to time. SWSB / SWSF proposes to obtain your consent.

西證(香港)證券經紀有限公司(「西證證券」)/西證(香港)期貨有限公司(「西證期貨」)擬使用閣下的個人資料作直接促銷，該等個人資料包括閣下在本開戶申請書中向西證證券/西證期貨提供及西證證券/西證期貨不時獲得的姓名、聯絡詳情、財務背景、統計資料等的個人資料。為此須取得閣下的同意。

I / We agree to receive promotional and direct marketing information from SWSB / SWSF in respect of financial, insurance, securities, investment services and products of SWSB / SWSF may offer. I / We also agree that SWSB / SWSF can share my / our personal data with its group companies for marketing and promotional purposes. I / We understand and accept that SWSB / SWSF and its group companies may, from time to time, engage third parties to provide direct marketing services unless I / we indicate an objection herein below:

本人/吾等同意西證證券/西證期貨向本人/吾等發放關於財務、保險、證券、投資的服務和產品的推廣資料。本人/吾等亦同意西證證券/西證期貨及其集團公司分享本人/吾等的個人資料作促銷用途。本人/吾等亦明白和接受西證證券/西證期貨及其集團公司可能不時聘請第三方代表西證證券/西證期貨及其集團公司提供直接促銷服務，除非本人/吾等在下方表示反對：

- I / We object to SWSB / SWSF use or transfer, whether for gain or not, of all kinds of my / our personal data to all classes of data transferees, for direct marketing of all classes of marketing subject.  
 本人/吾等反對西證證券/西證期貨使用或轉移，不論是否為得益，本人/吾等所有個人資料的種類，給予所有資料承轉人的類別以用作所有促銷產品/服務/設施的類別的直接促銷用途。

In the future, if you do not wish SWSB / SWSF to use or provide your data to other persons for the use in direct marketing, you may exercise your opt-out right by notifying SWSB / SWSF at (852) 2238 9238.

如閣下將來不希望西證證券/西證期貨使用或提供閣下的資料給他人作直接促銷，請致電 (852) 2238 9238 通知我們。

**Client Consent On The Northbound Investor ID Model 北向交易投資者識別碼模式客戶同意書**  
(For Northbound Trading Service 適用於北向交易投資服務)

The Hong Kong Securities and Futures Commission announced the investor identification regime for Northbound trading under China Connect Service on 30 November 2017. It will entail the collection and use of personal data by the SEHK and its subsidiaries, as well as its transfer to the Mainland exchanges and the CSRC.

證券及期貨事務監察委員會（證監會）就為中華通證券服務的滬股通及深股通交易，已於 2017 年 11 月 30 日公布投資者識別碼制度，將涉及香港聯交所及其附屬公司收集和使用個人資料，以及向內地交易所及中國證監會轉交有關資料。

**China Connect Service**  
**中華通證券服務**

The Client acknowledges and agrees that in providing SWSB's China Connect securities trading service to the Client, SWSB will be required to:

客戶明白及同意，西證證券為客戶提供中華通證券交易服務時，西證證券須要：

- (a) tag each of the Client's orders submitted to the China Stock Connect System ("CSC") with a Broker-to-Client Assigned Number ("BCAN") that is unique to the Client or the BCAN that is assigned to the Client's joint account with Southwest, as appropriate; and  
在提交每一客戶交易指令予中華通買賣盤訂單傳遞系統時，在交易指令中附加上客戶唯一的券商客戶編碼或（如客戶帳戶為聯名帳戶）客戶聯名帳戶獲分配的券商客戶編碼；及
- (b) provide to the Exchange the Client's assigned BCAN and such identification information ("Client Identification Data" or "CID") relating to the Client as the Exchange may request from time to time under the Rules of the Exchange.  
向交易所提供客戶唯一的券商客戶編碼及一切交易所按照其規則不時要求索取的關於客戶的身份識別資料。

Without limitation to any notification SWSB has given the Client or consent SWSB has obtained from the Client in respect of the processing of the Client's personal data in connection with the Client's account and SWSB's services to the Client, the Client acknowledges and agrees that SWSB may collect, store, use, disclose and transfer personal data relating to the Client as required as part of SWSB's China Connect securities trading service, including as follows:

不受限於西證證券就著因應客戶的帳戶或提供服務予客戶而處理客戶個人資料而給予客戶的通知或取得的客戶同意，客戶明白及同意，作為西證證券中華通證券交易服務的一部份，西證證券可以作出下述的收集、儲存、使用、披露及轉移客戶的個人資料的行為：

- (a) to disclose and transfer the Client's BCAN and CID to the Exchange and the relevant SEHK Subsidiaries from time to time, including by indicating the Client's BCAN when inputting a China Connect Order into the CSC, which will be further routed to the relevant China Connect Market Operator on a real-time basis;  
不時向交易所及相關交易所附屬公司披露及轉移客戶的券商客戶編碼及客戶識別信息，包括在中華通買賣盤訂單傳遞系統輸入中華通證券交易指令時顯示客戶的券商客戶編碼，並實時轉傳至相關中華通證券交易營運者；
- (b) to allow each of the Exchange and the relevant SEHK Subsidiaries to: (i) collect, use and store the Client's BCAN, CID and any consolidated, validated and mapped BCANs and CID information provided by the relevant China Connect Clearing House (in the case of storage, by any of them or via HKEX) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange; (ii) transfer such information to the relevant China Connect Market Operator (directly or through the relevant China Connect Clearing House) from time to time for the purposes set out in (c) and (d) below; and (iii) disclose such information to the relevant regulators and law enforcement agencies in Hong Kong so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets;  
容許交易所及各相關交易所附屬公司：(i) 收集、使用及儲存客戶的券商客戶編碼及客戶識別信息以及相關中華通結算所所提供（以儲存而言，它們通過香港交易所進行）的合併、核實及配對的券商客戶編碼及客戶識別信息資料，以作市場監察及執行交易所規則用途；(ii) 基於下列(c)及(d)所述目的，不時（直接或通過相關中華通結算所）轉移該等資料予相關中華通證券交易營運者；及(iii) 披露該等資料予香港相關監管機構及執法機關，以配合其履行關於香港金融市場的法定職能；
- (c) to allow the relevant China Connect Clearing House to: (i) collect, use and store the Client's BCAN and CID to facilitate the consolidation and validation of BCANs and CID and the mapping of BCANs and CID with its investor identification database, and provide such consolidated, validated and mapped BCANs and CID information to the relevant China Connect Market Operator, the Exchange and the relevant SEHK Subsidiary; (ii) use the Client's BCAN and CID for the performance of its regulatory functions of securities account management; and (iii) disclose such information to the Mainland regulatory authorities and law enforcement agencies having jurisdiction over it so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets; and  
容許相關中華通結算所：(i) 收集、使用及儲存客戶的券商客戶編碼及客戶識別信息，以對券商客戶編碼及客戶識別信息作出合併及核實並與其投資者身份識別資料庫作出配對，及把合併、核實及配對的券商客戶編碼及客戶識別信息資料提供予相關中華通證券交易營運者、交易所及相關交易所附屬公司；(ii) 使用客戶的券商客戶編碼及客戶識別信息，以履行其證券帳戶管理的法定職能；及(iii) 披露該等資料予中國大陸相關監管機構及執法機關，以配合其履行關於中國大陸金融市場的監管、監察及執法職能；及



- (d) to allow the relevant China Connect Market Operator to: (i) collect, use and store the Client's BCAN and CID to facilitate their surveillance and monitoring of securities trading on the relevant China Connect Market through the use of the China Connect Service and enforcement of the rules of the relevant China Connect Market Operator; and (ii) disclose such information to the Mainland regulatory authorities and law enforcement agencies so as to facilitate the performance of their regulatory, surveillance and enforcement functions with respect to the Mainland financial markets.

容許相關中華通證券交易營運者：(i) 收集、使用及儲存客戶的券商客戶編碼及客戶識別信息，以監察通過使用中華通服務在相關中華通市場進行之證券交易，和執行相關中華通證券交易營運者之規則；及(ii) 披露該等資料予中國大陸相關監管機構及執法機關，以配合其履行關於中國大陸金融市場的監管、監察及執法職能。

By instructing SWSB in respect of any transaction relating to China Connect Securities, the Client acknowledges and agrees that SWSB may use the Client's personal data for the purposes of complying with the requirements of the Exchange and its rules as in force from time to time in connection with the Stock Connect Northbound trading. The Client also acknowledges that despite any subsequent purported withdrawal of consent by the Client, the Client's personal data may continue to be stored, used, disclosed, transferred and otherwise processed for the above purposes, whether before or after such purported withdrawal of consent.

當客戶指示西證證券進行任何中華通證券的交易時，客戶明白及同意，西證證券可以使用客戶的個人資料於遵守交易所的要求及其對中華通北向交易不時生效的規則。客戶也明白，即使未來客戶計劃撤消其同意，客戶的個人資料（不論客戶撤消客戶同意前或後）會繼續被儲存、使用、披露、轉移或以其他方式處理，以達至上述目的。

#### **Consequences of failing to provide Personal Data or Consent**

##### **不能提供個人資料或同意的後果**

Failure to provide SWSB with the Client's personal data or consent as described above may mean that SWSB will not, or no longer be able, as the case may be, to carry out the Client's trading instructions or provide the Client with SWSB's China Connect securities trading service.

客戶不能如上述向西證證券提供個人資料或同意，將可能導致西證證券（按情況）不會或不可繼續執行客戶的交易指示或向客戶提供中華通證券交易服務。

#### **Acknowledgement and Consent**

##### **客戶確認及同意**

I / We acknowledge that I / we have read and understood the content of the Client Consent on the Northbound Investor ID Model of SWSB. By ticking the box below, I / we hereby confirm and consent for SWSB to use my/our personal data on the terms of and for the purposes set out in the Client Consent on the Northbound Investor ID Model.

本人／吾等確認本人／吾等已閱讀並明白西證證券「北向交易投資者識別碼模式客戶同意書」的內容。通過鉤選以下方格，表示本人／吾等同意西證證券可根據「北向交易投資者識別碼模式客戶同意書」中的條款和目的使用本人／吾等的個人資料。

I / We agree to SWSB's use of my/our personal data for the purposes set out in the Client Consent on the Northbound Investor ID Model.

本人／吾等同意西證證券將本人／吾等的個人資料用於「北向交易投資者識別碼模式客戶同意書」所載的目的。

**Application of Account Opening and Information Provided 帳戶開立申請及資料提供**

I / We represent that the information on this Account Opening Form and relevant Forms is true, complete and correct and that I / We have not willfully withheld any material fact(s). I / We request you to open a Cash Securities / Margin Securities / Stock Options / Futures Account ("the Account") and agree to all the terms of the Client Agreement and to abide by the Client Agreement (including the General Terms and Conditions and the applicable Additional Terms and Conditions of the Client Agreement), the rules and regulations of Securities and Futures Ordinance, Hong Kong Exchange and Clearing Limited or any other regulatory body(ies) as amended from time to time governing the transactions in the Account. Southwest Securities (HK) Brokerage Limited ("SWSB") and / or Southwest Securities (HK) Futures Limited ("SWSF") is / are entitled to rely fully on such information and representations for all purposes, unless it receives notice in writing of any change. SWSB and / or SWSF is / are authorized at any time to contact anyone, including my / our banks, brokers or any credit agency for the purpose of verifying the information provided on this Account Opening Form. I / We also understand that SWSB and SWSF will rely on the above information of Investment Experience and Product Knowledge provided to assess whether I / we have acquired knowledge of derivative products, in order to comply with relevant requirements of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.

本人／吾等茲聲明在開戶申請書及相關表格所提供之資料全部為真實、完整及正確，本人／吾等並未刻意隱瞞任何重要事實。本人／吾等向貴公司申請開立現金證券帳戶／保證金證券帳戶／股票期權／期貨帳戶（「該帳戶」）和同意遵守客戶協議的所有條款，並同意遵守證券及期貨條例、香港交易所有限公司及其他監管機構不時修定以規管於該帳戶進行的交易之條例及規則。除非西證（香港）證券經紀有限公司（「西證證券」）及／或西證（香港）期貨有限公司（「西證期貨」）接到更改有關本開戶申請書內容的書面通知，否則上述公司有權完全依賴此等資料及聲明作一切用途。上述公司獲授權可隨時就核對本資料事宜，與任何人包括本人／吾等之銀行、經紀或任何信用機構進行諮詢。本人／吾等亦明白西證證券及西證期貨根據上述投資經驗及對產品認識內的資料介定本人／吾等是否擁有對衍生產品之認識，以符合證券及期貨事務監察委員會持牌人或註冊人操守準則之有關要求。

**Agreement and Risk Disclosure Statement 協議及風險披露聲明**

I / We hereby acknowledge and confirm that the Client Agreement, including but not limited to the Account Opening Form, the General Terms and Conditions, Additional Terms and Conditions, Data Privacy Policy, Disclaimers and the Risk Disclosure Statement was provided to me / us in a language of my / our choice (English or Chinese), and I / we have been invited to read the Risk Disclosure Statement carefully, ask questions and seek independent advice if I / we so wish. I / We also confirm that I / we have retained a copy of the Agreement for my/our reference.

本人／吾等謹此承認並確定本人／吾等已獲得按照本人／吾等所選擇的語言（英文或中文）的客戶協議，當中包括，但不限於本開戶表、一般條款、附加條款、私隱政策、免責聲明及風險披露聲明，及本人／吾等已獲邀請細閱該風險披露聲明，提出問題及徵求獨立的意見（如本人／吾等有此意願）。本人／吾等確認本人／吾等已經保留本協議的副本，以作備考之用。

**Foreign Account Tax Compliance Act (FATCA) 海外帳戶稅收合規法案**

I / We hereby declare that I / we am/are not a United States resident for Foreign Account Tax Compliance Act (FATCA) purposes, and the income to which the said Account(s) related is not subjected to tax under FATCA. I / We undertake to notify SWSB and/or SWSF within 30 days for any change of circumstances stated in the SELF-CERTIFICATION OF U.S. RESIDENT / CITIZEN. I / We shall fully indemnify and hold harmless SWSB and/or SWSF from and against all claims, damages, losses, costs and expenses whatsoever incurred as a result of such non-compliance or omission.

本人／吾等謹此聲明本人／吾等並非《海外帳戶稅收合規法案》下所定義的美國人士，而且此帳戶下之相關的收入依《海外帳戶稅收合規法案》毋須扣繳稅款。本人／吾等的美國居民/公民自我證明的狀況資料如有變更，本人／吾等須於三十日內主動通知西證證券及／或西證期貨。本人／吾等亦同意悉數對西證證券及／或西證期貨因本人／吾等違規或遺漏而蒙受的任何索償、損害、損失、費用及開支作出彌償並保證其利益不受損害。

**Common Reporting Standard 共同匯報標準**

I / We agree to inform SWSB and/or SWSF within 30 days upon any changes in the information of the Self-Certification of Common Reporting Standard status supplied to SWSB and/or SWSF. I / We shall fully indemnify and hold harmless SWSB and/or SWSF from and against all claims, damages, losses, costs and expenses whatsoever incurred as a result of such non-compliance or omission;

本人／吾等承諾若本人／吾等的共同匯報標準自我證明的狀況資料如有變更，會於三十日內主動通知西證證券及／或西證期貨。本人／吾等亦同意悉數對西證證券及／或西證期貨因本人／吾等違規或遺漏而蒙受的任何索償、損害、損失、費用及開支作出彌償並保證其利益不受損害；

SWSB and/or SWSF will request a self-certification and/or other relevant documentation in order to establish our tax residence for automatic exchange of financial account information purposes. If there is any change in circumstances that would affect my / our tax residence or there is reason for SWSB and/or SWSF to know that the self-certification is incorrect or unreliable SWSB and/or SWSF reserves the right to request and I / we have the obligation to provide a new self-certification and/or additional documentation. As account holder(s) of SWSB and/or SWSF, I / we shall be deemed to acknowledge that further information may need to be provided to SWSB and/or SWSF. SWSB and/or SWSF's compliance with the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112) and/or guidance may result in gathering, storing, using, and processing my / our information. My / Our information may also be disclosed to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region, which is further exchanged with tax authorities of another jurisdiction or jurisdictions in which I / we may be resident for tax purposes. Where I / we fail to provide any requested information (regardless of the consequences), SWSB and/or SWSF reserves the right to take any action and/or pursue all remedies at its disposal including, without limitation to restrict or terminate the operation of the account;

西證證券及／或西證期貨須本人／吾等提供自我證明或其他文件以揭示本人／吾等納稅所在地，以作自動交換財務帳戶資料用途。如本人／吾等因任何情況而影響本人／吾等的納稅所在地，或令西證證券及／或西證期貨有理由相信本人／吾等之自我證明有不正確或不可靠時，西證證券及／或西證期貨保留權利可要求本人／吾等遞交新的自我證明及／或額外文件。作為西證證券及／或西證期貨的帳戶持有人，本人／吾等承諾及同意向西證證券及／或西證期貨提供進一步的資料。西證證券及／或西證期貨為遵守香港《稅務條例》（第 112 章）有關交換財務帳戶資料的法律條文及／或指引，可能導致收集、儲存、使用及處理本人／吾等的資料。本人／吾等的資料亦可向香港特別行政區政府稅務局披露，從而把資料轉交到本人／吾等的居留司法管轄區的稅務當局。如果本人／吾等未能提供任何所要求的資料，西證證券及／或西證期貨保留採取任何補救措施的權利，包括（但不限於）限制及終止帳戶的運作；

I / We understand that 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).

本人／吾等明白根據《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。

**Notice and Statement Relating to the Personal Data (Privacy) Ordinance 個人資料(私隱)條例的通知及聲明**

I / We have carefully read, fully understood and agreed to accept and be bound by the Notice and Statement Relating to the Personal Data (Privacy) Ordinance (Cap. 486) as set out in Part V of the Client Agreement.

本人／吾等已仔細閱讀，完全理解並同意接受並遵守載於客戶協議第五部份有關個人資料(私隱)條例（第486章）的通知及聲明。

**Standing Authority under “Securities and Futures (Client Money) Rules” (For Securities Account and Futures Account)**

**『證券及期貨(客戶款項)規則』下之常設授權(適用於證券帳戶及期貨帳戶)**

I / We hereby agreed, acknowledge and confirm that I / we have given the standing authority to authorize you to deal with my / our money and the contents of the Standing Authority under Securities and Futures (Client Money) Rules of Client Agreement Part III Schedule E clause 9 have been explained to me / us and I / we understand and agreed the contents of it.

本人／吾等謹此同意、承認及確定本人／吾等已授予貴公司常設授權以處置本人／吾等的款項，並且本人／吾等就該客戶協議內的第三部份附表 E 第 9 項的證券及期貨(客戶款項)規則下之常設授權的內容已獲得解釋，及本人／吾等明白及同意其內容。

**Standing Authority under “Securities and Futures (Client Securities) Rules” (For Securities Margin Account Only)**

**『證券及期貨(客戶證券)規則』下之常設授權(只適用於證券保證金帳戶)**

I / We hereby agreed, acknowledge and confirm that I / we have given the standing authority to authorize you to deal with my / our securities collateral and the contents of the Standing Authority under Securities and Futures (Client Securities) Rules of Client Agreement Part III Schedule A clause 5 have been explained to me / us and I / we understand and agreed the contents of it.

本人／吾等謹此同意、承認及確定本人／吾等已授予貴公司常設授權以處置本人／吾等的證券抵押品，並且本人／吾等就該客戶協議內的第三部份附表 A 第 5 項的證券及期貨(客戶證券)規則下之常設授權的內容已獲得解釋，及本人／吾等明白及同意其內容。

**Additional Statement (For Futures Trading and Stock Option Trading Account)**

**附加聲明(只適用於股票期權及期貨帳戶)**

I / We agree to read the reporting requirements and the responsibilities of reporting set out in the Securities and Futures (Contract Limits and Reportable Position) Rules and related guidance notes issued by the Securities and Futures Commission. I / We agree to make the relevant notification and fulfil the responsibilities as required by the Securities and Futures (Contract Limits and Reportable Position) Rules and SFC and HKFE. I / We understand that I / we may also directly access all relevant information at the Web-site of Securities and Futures Commission or at the Web-site of HKEx.

本人／吾等同意細閱關於證券及期貨(合約限量及須申報的持倉量)規則及由證監會發出的有關指引的申報規則及責任。本人／吾等同意依據證券及期貨(合約限量及須申報的持倉量)規則、證監會及期貨交易所之要求作出申報及完成有關責任。本人／吾等明白所有有關資料可以由證監會及香港交易所的網頁上獲得。

*The terms in English version, as opposed to the Chinese translation, shall be deemed to be conclusive and definitive.*

本開戶表之英文本(相對中文譯本而言)為確實及有最終效力。

<b>(1) Signature of Individual / Primary Joint Account Holder:</b> 個人／聯名帳戶第一持有人簽署：			
<b>Name</b> 姓名		<b>Date</b> 日期	

<b>(2) Signature of Secondary Joint Account Holder:</b> 聯名帳戶第二持有人簽署：			
<b>Name</b> 姓名		<b>Date</b> 日期	

**Joint Account Signatures Arrangement 聯名帳戶簽署安排**

- |     |  |
|-----|--|
| (1) | Each of the above joint account holders specified is authorized to give verbal instructions and/or instruction through the Electronic Services (where applicable) in relation to the purchase or sale of any securities and/or futures and/or options contracts for the Account(s) from time to time.<br>以上每一聯名帳戶持有人均有權為帳戶買賣任何證券及／或期貨及／或期權合約而不時發出口頭指示及／或透過電子服務(如適用)發出的指示；及 |
| (2) | <input type="checkbox"/> Either one joint account holder signing singly, 其中一位聯名帳戶持有人單獨簽署，<br><input type="checkbox"/> Both joint account holders signing jointly, 兩位聯名帳戶持有人共同簽署，<br>validates any written instructions relating to the operation of the Account(s). 任何就帳戶運作之書面指示，方為有效。   |

**Declaration by Representative of Southwest Securities (HK) Brokerage Limited  
/ Southwest Securities (HK) Futures Limited  
由西證(香港)證券經紀有限公司／西證(香港)期貨有限公司之代表作出聲明**

I, the licensed representative of SWSB / SWSF\*, hereby declare and confirm that I have fully explained and provided the contents of the Client Agreement, including but not limited to this Account Opening Form, the General Terms and Conditions, the Additional Terms and Conditions, the Disclaimers, the Data Privacy Policy and the Risk Disclosure Statement to the Client in a language which the Client understand and I have invited the Client to read the Risk Disclosure Statements, ask questions and take independent advice if the Client wishes.

本人為西證證券／西證期貨\*之持牌代表，謹此聲明及確認本人已經以客戶所選擇明白的語言，清楚解釋客戶協議書，當中包括但不限於本開戶表、一般條款、附加條款、免責聲明、私隱政策及風險披露聲明的內容，並已邀請客戶細閱有關風險披露聲明，並提出問題及徵求獨立意見(如客戶有此意願)。

Name of LC 持牌法團名稱	Signed by LR 持牌代表簽署	Name of LR 持牌代表姓名	CE No. 中央編號	Date 日期
SWSB 西證證券				
SWSF 西證期貨				

## Witness Declaration 見證人聲明

(Only applicable to the witness who is NOT Licensed Representative of Southwest Securities (HK) Brokerage Limited/ Southwest Securities (HK) Futures Limited)  
(只適用於並非西證(香港)證券經紀有限公司/西證(香港)期貨有限公司之持牌代表使用)

I, named below, certify that I have verified the genuine copy of client identification document, address proof and other account opening document and have sighted that the client counter sign on this Account Opening Form.

本人(姓名如下)確認已驗證客戶身份證明文件、地址證明及其他文件之正本，並已見證客戶在本開戶表上簽署。

Witness Signature

見證人簽署：

Profession / Title

所屬專業/職位：

Name of Witness

見證人姓名：

Date of Witness

見證日期：

### Note 注意：

- Please attach an ID card copy of all account holders with this application form.  
請隨本申請表格附上全部帳戶持有人之身份證副本。
- Client can choose residential address, correspondence address or e-mail address as all the statements will be sent to this address. P.O. Boxes are not accepted. Please attach the address proof of the residential address and or correspondence address dated within the **latest 3 months**.  
客戶可選擇以住宅地址、通訊地址或電郵地址收取帳戶結單。郵政信箱恕不接受。請附上在**最近三個月內**之住宅地址及/或通訊地址證明文件
- This form should be completed and signed by the customer in front of SWSB / SWSF's Licensed Representative, otherwise, please see below Note 5.  
客戶必須在西證證券/西證期貨的持牌代表面前填妥及簽署本表格；如非親身開戶，請參看下方的注意 5。
- Any deletion or amendment must be signed by all account holders.  
任何刪除或修改，必須由客戶簽名作實。
- If this document is not executed by the client in front of SWSB / SWSF's Licensed Representative, client should comply the following procedural requirement:  
如開戶文件並非在西證證券/西證期貨的持牌代表面前簽署，客戶必須遵守以下其中一個程序要求：
  - Client should send to SWSB / SWSF a personal cheque bearing your name shown in your identity document and drawn on your account with a licensed bank in Hong Kong with your same signature(s) as shown on this Form in favour of "Southwest Securities (HK) Brokerage Limited" or "Southwest Securities (HK) Futures Limited" for not less than HK\$10,000 (or such other amount as may be advised by SWSB / SWSF). Your new account will not be activated until the cheque is cleared; or  
客戶須交給西證證券/西證期貨由香港的持牌銀行開立的帳戶所簽發(該簽名須與此開戶表格上的客戶簽名相符)並載有客戶於身份證明文件上所顯示的姓名的個人支票，而該支票抬頭人須為「西證(香港)證券經紀有限公司」或「西證(香港)期貨有限公司」及其金額不得少於 10,000 港元(或西證證券/西證期貨通知客戶的其他數額)。客戶的新帳戶必須待支票兌現後才可使用；或
  - The signing of Witness and sighting of related identity documents should be certified by a JP (Justice of Peace), an affiliate of SWSB / SWSF or a professional person such as a branch manager of a bank, certified public accountant, lawyer, notary public or chartered secretary.  
見證人簽署及有關身份證明文件須由太平紳士、西證證券/西證期貨的聯繫人士、銀行分行經理、執業會計師、律師、公證人或特許秘書加以驗證。

**For Office Use Only 只供本公司專用**

SWSB / SWSF hereby appoints the following Account Executive(s) being licensed by Securities and Futures Commission or such other licensed person as from time to time it may permit and notify the Client in writing, to be primarily responsible for the affairs of the Client in respect of the Client's account(s) with SWSB / SWSF:

Name of Account Executive:

1.	Mr./Ms.		CE No.	
2.	Mr./Ms		CE No.	

**Commission Rate**

Securities	/min	Futures	/min
_____		_____	
Name of AE/Licensed Person		Signature of AE/Licensed Person	

Date:

**Document checklist 文件查核清單 : (NOT applicable to Professional Investor 不適用於專業投資者)**

<input type="checkbox"/> Copy of Identity Documents of Client and Ultimate Beneficial Owner(S) with Witness Signature Hong Kong ID Card/Passport/Local Resident ID Card 客戶及最終受益人身份證明文件副本(附見證人簽署) 香港身份證/護照/當地居民身份證  <input type="checkbox"/> Certified true copy of proof of Address of Client and Ultimate Beneficial Owner(s) (within 3 months) 客戶及最終受益人之地址證明之核證副本(三個月內)* *Correspondence address proof is also required if such address is different from your residential address (within 3 months) 如通訊地址與居住地址不同, 須同時提供通訊地址證明文件(三個月內)  <input type="checkbox"/> Copy of Client's local bank's detail ( if the client provided the related info in the application form) 本地銀行卡資料副本(如客戶已填寫相關資料)  <input type="checkbox"/> Form W-8BEN or Form W-9 W-8BEN 表格(非美籍人士)或 W-9 表格(美籍人士)  <input type="checkbox"/> Letter of Guarantee/ Certified true copy of copy of ID Card of Guarantor(s)/ Certified true copy of proof of Address of Guarantor(s)(within 3 months)( if required, for margin customers) 擔保契約/擔保人的個人身份證明之核證副本/擔保人的地址證明之核證(三個月內)(如有需要;若保證金客戶)	Applicable to Non-face-to-face account procedure : 適用於非面對面開戶的程序 <input type="checkbox"/> Witness by JP / Branch Manager of bank / CPA / Lawyer or notary public 由太平紳士/ 銀行分行經理/ 執業會計師/ 律師或公證人見證  Personal cheque received (if applicable) 可接受的個人支票 (如適用) <input type="checkbox"/> Issued by a licensed bank in Hong Kong 由香港持牌銀行發出 <input type="checkbox"/> Payable to "Southwest Securities (HK) Brokerage Limited" or Payable to "Southwest Securities (HK) Futures Limited" 支票抬頭為"西證(香港)證券經紀有限公司" 或 "西證(香港)期貨有限公司" <input type="checkbox"/> Cheque amount not less than HK\$10,000 該支票的金額不得少於 10,000 港元 <input type="checkbox"/> Client name print on cheque is the same as A/C holder 該支票須載有客戶在身份證明文件上所顯示的姓名 <input type="checkbox"/> Same signature on cheque and A/C Opening Form 該客戶在支票上的簽署, 必須與上述客戶協議的簽署相符 <input type="checkbox"/> Retained cheque copy 保留支票副本 <input type="checkbox"/> Cheque cleared 支票已兌現
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Remarks :

**Document & Client Information checked by:**

Name of staff & signature		Date	
Name of staff & signature		Date	

**ACKNOWLEDGED AND ACCEPTED BY AN AUTHORIZED SIGNATORY(IES) FOR AND ON BEHALF OF SOUTHWEST SECURITIES (HK) BROKERAGE LIMITED/SOUTHWEST SECURITIES (HK) FUTURES LIMITED**  
 經由西證(香港)證券經紀有限公司/西證(香港)期貨有限公司之授權代表確認及接納

<b>Authorized Signature(s)</b> 授權代表簽署	<b>Name of Authorized Person</b> 授權代表姓名	<b>Date 日期</b>