

Shanxi Securities International Limited 「SSIL」
山證國際證券有限公司「山證國際證券」
Shanxi Securities International Futures Limited 「SSIFL」
山證國際期貨有限公司「山證國際期貨」

Account No. 客戶帳號: _____

Account Opening Form - Individual / Joint Account 開戶申請表 - 個人/聯名賬戶

1 ACCOUNT TYPE 賬戶類別		
<input type="checkbox"/> Securities Cash Account 證券現金賬戶	<input type="checkbox"/> Securities Margin Account 證券保證金賬戶	<input type="checkbox"/> Futures Account 期貨賬戶
<input type="checkbox"/> Individual 個人 <input type="checkbox"/> Joint 聯名 ¹ , Name of Secondary Client 附屬客戶姓名 _____		

2 PERSONAL INFORMATION 個人資料		
Name of Client 客戶姓名		English 英文 _____
Gender 性別		Chinese 中文 Used Name 曾用名 _____
<input type="checkbox"/> Male 男 <input type="checkbox"/> Female 女		_____
Identity Document 身份證明文件		
Please provide according to the order of priority of client identity documents. 請按以下身分證明文件順序提供。		
Type 類別	ID / Passport No. 身份證明文件號碼	Place of Issue 證件簽發地
(1) HKID Card 香港身份證		Hong Kong 香港
(2) National ID Document 國民身分證		
(3) Passport 護照		
Marital Status 婚姻狀況	Date of Birth 出生日期 (y/m/d 年/月/日)	Place of Birth 出生地點
<input type="checkbox"/> Single 單身 <input type="checkbox"/> Married 已婚	_____	_____
Education Level 教育程度		
<input type="checkbox"/> Primary or below 小學或以下 <input type="checkbox"/> College or Undergraduate 大專或大學	<input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Master or above 碩士或以上	<input type="checkbox"/> Others 其他 _____
Residential Address 住宅地址 _____		
Correspondence Address 通訊地址 (If different from above 如與上述不同) _____		
Mobile Phone No. 手提電話 (For receiving SMS 用作收取短信)	Mobile Phone No. 手提電話	Home Phone No. 住宅電話
_____	_____	_____
E-mail Address 電郵地址	Fax No. 傳真號碼	Office Phone No. 公司電話
_____	_____	_____
Delivery method of Statement 結單收取方式		Language of Statement 結單語言
<input type="checkbox"/> E-mail Address 電郵地址 <input type="checkbox"/> By Post to Correspondence Address 郵寄至通訊地址* *HK\$30.00 Per Hard Copy Postage paid 每份郵寄結單收取 30.00 港幣		<input type="checkbox"/> Chinese 中文 <input type="checkbox"/> English 英文
Purpose of Account Opening 開戶目的		
<input type="checkbox"/> Investment 投資 <input type="checkbox"/> Others 其他 _____		
Employment Details 職業狀況		
<input type="checkbox"/> Full-Time Employed 受僱 <input type="checkbox"/> Housewife 主婦	<input type="checkbox"/> Self-Employed 自僱 <input type="checkbox"/> Student 學生	<input type="checkbox"/> Unemployed 無業 <input type="checkbox"/> Retired 退休
Name of Employer 僱主名稱	Department and Position 部門及職位	Years of Service 任職年期
_____	_____	_____
Business Address 商業地址 _____		

¹ For Joint Account, other account holder should complete separate PERSONAL INFORMATION FORM
聯名賬戶的其他賬戶持有人須分別填寫一份個人資料表格

Nature of Business 業務性質

<input type="checkbox"/> Retail 零售, please specify products/services 請註明相關產品/服務 _____	<input type="checkbox"/> Manufacturing 製造, please specify products/services 請註明相關產品/服務 _____	<input type="checkbox"/> Dealers in Jewel, Gem or Precious Metal 珠寶、寶石或貴金屬經銷商
<input type="checkbox"/> IT 資訊科技	<input type="checkbox"/> Catering Industry 飲食	<input type="checkbox"/> Dealers in Art, Antique or Auction houses 藝術、古董經銷商或拍賣行
<input type="checkbox"/> Medical 醫療	<input type="checkbox"/> Telecommunications 通訊	<input type="checkbox"/> Money Services Business (e.g. Money Exchange, Money Remitters) 貨幣服務提供者 (例如: 貨幣兌換、匯款)
<input type="checkbox"/> Finance 金融	<input type="checkbox"/> Transportation/Logistics 運輸/物流	<input type="checkbox"/> Others 其他 _____
<input type="checkbox"/> Education 教育	<input type="checkbox"/> Wholesale/Export/Import 批發/進出口, please specify products/services 請註明相關產品/服務 _____	
<input type="checkbox"/> Insurance 保險	<input type="checkbox"/> Construction & Engineering 建築及工程	
<input type="checkbox"/> Real Estate 房地產	<input type="checkbox"/> Government/Public Services/Utilities 政府/公共服務/公用事業	

Standing Settlement Instruction 常設交收方式

Bank Name 銀行名稱	Currency 幣種	Bank Account No. 銀行賬號
1. _____	<input type="checkbox"/> HKD <input type="checkbox"/> USD <input type="checkbox"/> CNY	_____
2. _____	<input type="checkbox"/> HKD <input type="checkbox"/> USD <input type="checkbox"/> CNY	_____
3. _____	<input type="checkbox"/> HKD <input type="checkbox"/> USD <input type="checkbox"/> CNY	_____

3 FINANCIAL INFORMATION 財務資料

Residence 住宅	<input type="checkbox"/> Self-owned 自置物業 <input type="checkbox"/> Living with family 與家人同住	<input type="checkbox"/> Mortgage 按揭物業 <input type="checkbox"/> Quarters 宿舍	<input type="checkbox"/> Rent 租用 <input type="checkbox"/> Others 其他 _____
Asset Type 資產類別	<input type="checkbox"/> Stock 股票	<input type="checkbox"/> Vehicle 車輛	<input type="checkbox"/> Others 其他 _____
Annual Income(HK\$) 年總收入(港幣)	<input type="checkbox"/> ≤ \$250,000 <input type="checkbox"/> \$5,000,001 - \$10,000,000	<input type="checkbox"/> \$250,001 - \$ 500,000 <input type="checkbox"/> > \$10,000,000	<input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> \$1,000,001 - \$5,000,000
Net Asset Value(HK\$) 資產淨值(港幣)	<input type="checkbox"/> ≤ \$500,000 <input type="checkbox"/> \$10,000,001 - \$50,000,000	<input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> \$50,000,001 - \$100,000,000	<input type="checkbox"/> \$1,000,001 - \$5,000,000 <input type="checkbox"/> > \$100,000,000
Liquid Net Worth(HK\$) 流動資產淨值(港幣)	<input type="checkbox"/> ≤ \$500,000 <input type="checkbox"/> \$10,000,001 - \$50,000,000	<input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> \$50,000,001 - \$100,000,000	<input type="checkbox"/> \$1,000,001 - \$5,000,000 <input type="checkbox"/> > \$100,000,000
Source of Wealth 財富來源	<input type="checkbox"/> Salary/Bonus 受僱薪金或花紅 <input type="checkbox"/> Business Income/Commission 營業收入/佣金 <input type="checkbox"/> Sale of Property / Assets 出售物業/資產	<input type="checkbox"/> Investment Income 投資收益 <input type="checkbox"/> Gift 饋贈 <input type="checkbox"/> Pension 退休金	<input type="checkbox"/> Inheritance 遺產 <input type="checkbox"/> Others 其他 _____
Source of Fund 資金來源	<input type="checkbox"/> Salary/Bonus 受僱薪金或花紅 <input type="checkbox"/> Business Income/Commission 營業收入/佣金 <input type="checkbox"/> Sale of Property / Assets 出售物業/資產	<input type="checkbox"/> Investment Income 投資收益 <input type="checkbox"/> Gift 饋贈 <input type="checkbox"/> Pension 退休金	<input type="checkbox"/> Inheritance 遺產 <input type="checkbox"/> Others 其他 _____

4 INVESTMENT PROFILE 投資偏好

Anticipated Number of Trades Per Month 預計每月交易次數	<input type="checkbox"/> ≤ 20 <input type="checkbox"/> 21 - 50 <input type="checkbox"/> 51 - 100 <input type="checkbox"/> 101 - 200 <input type="checkbox"/> > 200
Estimated Investment Amount Per Month(HK\$) 預計每月投資金額(港幣)	<input type="checkbox"/> ≤ \$500,000 <input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> \$1,000,001 - \$5,000,000 <input type="checkbox"/> \$5,000,001 - \$10,000,000 <input type="checkbox"/> > \$10,000,000

5 DERIVATIVES AND STRUCTURED PRODUCTS KNOWLEDGE ASSESSMENT 衍生及結構性工具的認識評估

I have acquired knowledge of derivative products by either of the following ways (please choose as appropriate) :
本人從以下途徑已獲得有關衍生產品之認識(可選擇多於一項) :

1. I have undergone relevant training or attended relevant courses or seminars on derivative products. (e.g. relevant online or classroom courses offered by academic institutions or financial institutions, etc.)
本人曾接受有關衍生產品的培訓或修讀相關課程(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等)
Please provide details 請提供詳情: _____

2. I have current or previous working experience related to derivative products. (e.g. banks, securities companies, etc.)
本人於現時或過去(例如銀行、證券公司等)擁有與衍生產品有關的工作經驗。
Please provide details 請提供詳情: _____

3. I have executed five or more transactions in derivative products (whether traded on an exchange or not), e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures and Options, Commodities, Structured Products and ETF, etc. within the past three years.
本人於過去三年內曾執行過五次或以上有關衍生產品(不論是否在交易所買賣)之交易, 例如: 衍生認股權證、牛熊證、股票期權、期貨及期權合約、現貨商品、結構性產品及交易所買賣基金等。

4. I have NO knowledge of derivative products.
本人並未有衍生產品之認識。

*If you choose option 4 or there is no appropriate option above, you would be considered to lack or have no knowledge of the classification of the relevant derivative products. 如客戶在上述部分選擇選項四或無任何合適選項, 即判定為缺乏或不認識相關衍生產品分類的客戶。

I confirm that Registered Licensee _____ SFC CE No.: _____ has fully and clearly
本人確認註冊持牌人 _____ 證監會中央編碼: _____ 已充分清楚

explained the features of such derivative products to me, including the relevant Risk Disclosure Statements. I confirm to trade derivative products. I clearly understand the risks posed by related derivative products and bear the related risks and responsibilities.

向本人解釋衍生產品的特點並作出相關風險的披露。本人同意交易衍生產品, 並清楚明白相關衍生產品所帶來的風險及須承擔風險及責任。

6 SELF-CERTIFICATION - INDIVIDUAL 自我證明 - 個人

Important Notice to Customer(s): Please read this section before completing this form.

客戶須知: 填寫此表格前, 請先閱讀本節。

Financial institutions are not allowed to provide tax advice.

If you have any questions regarding this form or defining your tax residency status, please speak to your tax adviser or relevant tax authority. Please find out more on the OECD website (<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>), including a list of jurisdictions that have signed agreements to exchange information automatically, along with details about the information being requested.

金融機構均不允許給予客戶稅務諮詢。

如果您對此表格或您的稅務居民身份定義有任何疑問, 請聯繫您的稅務顧問或相關稅務機關。您可以從經濟合作與發展組織(OECD)自動訊息交換網站, 獲取更多詳情, 包括已簽署自動交換信息協議的司法管轄區的名單及被請求交換的有關信息。

(<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/>)

Please note that where there are joint account holders, each account holder is required to complete a separate Self-Certification form.

請注意: 如果客戶為聯名帳戶, 各聯名帳戶持有人必須各自填寫一份自我證明書。

You may be asked to provide additional documents to evidence the declaration made on this form.

您可能被要求提供額外證明文件, 以核實此表格上之內容。

Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN") *

居留司法管轄區及稅務編號或具有等同功能的識別編號 (以下簡稱「稅務編號」) *

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 TIN for each jurisdiction indicated. Indicate all (not restricted to two) 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。列出所有 (不限於 2 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

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. 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, 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。

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. Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如沒有提供稅務編號, 填寫理由 A、B 或 C。 如選取理由 B, 解釋帳戶持有人不能取得稅務編號的原因
(1)		
(2)		

Declarations 聲明

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

本人知悉及同意, 財務機構可根據《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政府稅務局申報, 從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。

I certify that I am the account holder of all the account(s) to which this form relates.

本人證明, 就與本自我證明表格所有相關的帳戶, 本人是帳戶持有人。

I undertake to advise SSIL and/or SSIFL of any change in circumstances which affects the tax residency status of the individual or causes the information contained herein to become incorrect, and to provide SSIL and/or SSIFL with a suitably updated self-certification form within 30 days of such change in circumstances.

本人承諾, 如情況有所改變, 以致影響本人的稅務居民身分, 或引致本表格所載的資料不正確, 本人會通知山證國際證券及/或山證國際期貨, 並會在情況發生改變後 30 日內, 向山證國際證券及/或山證國際期貨提交一份已適當更新的自我證明表格。

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

本人聲明就本人所知所信, 本人所填報的所有資料和聲明均屬真實、正確和完備。

WARNING: 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).

警告: 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。

7 FOREIGN ACCOUNT TAX COMPLIANCE 「 FATCA 」 關於 「 海外賬戶稅收合規法案 」

Are you an (a) American Resident / American Citizen / American Permanent Residency Holder (Including Green Card Holder) / American Resident Alien within the meaning specified in the FATCA governed by the Internal Revenue Services 「 IRS 」 of United State of America?

閣下是否符合由美國國稅局「 IRS 」規管， FATCA 定義所指明的 美國居民 / 美國公民 / 美國永久居留權持有者(含綠卡持有者)/ 僑居美國的外籍人士？

- NO 否 YES 是 (Both SSIL and SSIFL reject the account application of either one of these identity holder. 山證國際證券 和 山證國際期貨 均不受理此身份客戶的開戶申請。)

The following list meets the conditions set out by IRS from time to time 下列是符合 IRS 不時對美籍人士的條件

- | | |
|--|---------------------|
| - American citizen or resident (Including Green Card Holder) | 美國公民或居民(含綠卡持有者)； |
| - American place of birth | 於美國境內出生； |
| - American resident or mailing address | 於美國境內居住或以美國地址為郵寄地址； |
| - American telephone number | 以美國電話號碼為聯絡電話； |
| - Standing instruction to transfer funds to a American based account | 設有常設授權以劃撥資金於美籍人士； |
| - Power of attorney or signatory authority granted to person with American address; or | 設有賬戶操作/簽署授權於美籍人士；或 |
| - In care-of or hold mail address that is sole address of account holder | 以美國地址為收件地址 |

Please be reminded that you are responsible for notifying promptly and within the prescribed timeline IRS and us in the case of change in circumstances that may affect your FATCA status, such as citizenship/nationality, address, phone number, etc.

請注意如閣下有需要就任何影響 FATCA 狀況識別的個人資料發生更改，例如公民身份/國籍、地址、電話等，請閣下適時並於指定時間內通知 IRS 及我們有關更改。

8 ULTIMATE BENEFICIAL OWNER(S) OF THE ACCOUNT 賬戶的最終實益擁有人

1) a) Are you the ultimate beneficial owner/ Person ultimately benefiting from the transactions and bearing the risks/ Person ultimately responsible for originating instructions for the account of the account?

閣下是否為賬戶的最終實益擁有人/最終受益於交易及承擔風險人士/最終負責發出指示的人士？

- YES 是 NO 否 ² (If NO, please complete b – e as follows. 若否，請回答以下 b – e 問題)

b) Name 姓名 _____

c) Reasons for this arrangement 採取這安排的原因 _____

d) To your best knowledge, is the above-mentioned person a client of SSIL and /or SSIFL?
就閣下所知，上述人士是否為山證國際證券及/或山證國際期貨之客戶？

- NO 否 YES 是

If YES, please specify below 若是，請列明如下：

Account Name 戶名 _____ A/C No. 賬戶號碼 _____ Type of A/C 賬戶類型 _____

e) To your best knowledge, is the above-mentioned person also a ultimate beneficial owner/ Person ultimately benefiting from the transactions and bearing the risks/ Person ultimately responsible for originating instructions for the account of another account of SSIL and /or SSIFL?

就閣下所知，上述人士是否另一個山證國際證券及/或山證國際期貨賬戶之最終實益擁有人/最終受益於交易及承擔風險人士/最終負責發出指示的人士？

- NO 否 YES 是

If YES, please specify below 若是，請列明如下：

Account Name 戶名 _____ A/C No. 賬戶號碼 _____ Type of A/C 賬戶類型 _____

² You should complete separate PERSONAL INFORMATION FORM

閣下須分別填寫一份個人資料表格

9 RELATED ACCOUNTS DECLARATION 關連賬戶及有關披露聲明

1) Are you an employee or a director of a company licensed or registered with the Hong Kong Securities and Futures Commission (SFC)?

閣下是否為香港證券及期貨事務監察委員會(證監會)持牌法團或註冊機構之董事或僱員？

- NO 否 YES 是 If YES, please specify and provide written consent from your employer 若是，請列明並請提供閣下僱主書面同意書：

Name of Licensed or Registered Company 持牌法團或註冊機構名稱 _____

CE No. of Licensed or Registered Company 持牌法團或註冊機構中央編號 _____

Address of Licensed or Registered Company 持牌法團或註冊機構地址 _____

2) Are you related to any employee(s) or director(s) of SSIL and /or SSIFL ?

閣下是否與 山證國際證券 及/或 山證國際期貨 之僱員或董事有任何關係？

- NO 否 YES 是 If YES, please specify the information of the employee(s) or director(s) 若是，請列明僱員或董事的資料：

Name 姓名 _____ Relationship 關係 _____

Name 姓名 _____ Relationship 關係 _____

3) Are you, your spouse or immediate family members is director or shareholders of any listed company?

閣下自己、之配偶或直系親屬是否任何上市公司的董事/大股東？

- NO 否 YES 是 If YES, Please specify 若是，請列明：

Name of the Listed Company 上市公司的名稱 _____ The Location of the Listed Company 上市公司的地點 _____

4) a) Are you, your spouse or immediate family members or any other close associate of an individual hold(s) the following identity of any countries, including a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a stated-owned corporation and an important political party official?
閣下自己、之配偶或直系親屬或其他關係密切的人是否在任何國家/地區擔任或曾經擔任重要的公職，包括國家元首、政府首長、資深政客、高級政府官員、司法人員或軍官、國有企業高級行政人員及重要政黨幹事？

NO 否 YES 是 If YES, please specify the following and complete b if need. 若是，請列明以下資料及有需要回答 b 問題：

Name of the Politicians 政治人物姓名 _____ The Location & Position 地區及所擔任的公職 _____
Years in Occupation 所擔任公職的年期 _____ Relationship 關係 _____

b) If you are a foreign PEP, does the jurisdiction where you are serving / have served imposed restrictions on your holding of foreign bank accounts or property?
如閣下屬海外政治人物，閣下任職/曾經任職的司法管轄區是否對閣下持有外地銀行戶口或財產施加限制？

NO 否 YES 是

5) Is your spouse or immediate family members a client of SSIL and /or SSIFL ?
閣下之配偶或直系親屬是否 山證國際證券 及/或 山證國際期貨 的客戶？

NO 否 YES 是 If YES, please specify 若是，請列明：

Account Name 戶名 _____ A/C No. 賬戶號碼 _____ Type of A/C 賬戶類型 _____
Relationship 關係 _____

6) Are you, your spouse or immediate family members a director and / or shareholder of a corporate client of SSIL and /or SSIFL?
閣下自己、之配偶或直系親屬是否 山證國際證券 及/或 山證國際期貨 之公司賬戶客戶的董事及/或股東？

NO 否 YES 是 If YES, please specify 若是，請列明：

Account Name 戶名 _____ A/C No. 賬戶號碼 _____ Type of A/C 賬戶類型 _____
Relationship 關係 _____

7) Do you control, either alone or with your spouse, 35% or more of the voting rights of any corporate client of SSIL and /or SSIFL?
閣下是否單獨或與閣下之配偶共同控制任何 山證國際證券 及/或 山證國際期貨 之公司賬戶客戶 35%或以上的投票權？

NO 否 YES 是 If YES, please specify 若是，請列明：

Account Name 戶名 _____ A/C No. 賬戶號碼 _____ Type of A/C 賬戶類型 _____
Relationship 關係 _____

8) a) Does your account have any guarantor?
閣下賬戶是否有擔保人？

NO 否 YES 是 (If YES, please complete b – c as follows. 若是，請回答以下 b – c 問題)

b) To your best knowledge, is the above-mentioned guarantor a client of SSIL and/or SSIFL?
就閣下所知，該擔保人是否山證國際證券及/或山證國際期貨之客戶？

NO 否 YES 是 If YES, please specify 若是，請列明：

Account Name 戶名 _____ A/C No. 賬戶號碼 _____ Type of A/C 賬戶類型 _____

c) To your best knowledge, is the above-mentioned guarantor also a guarantor of another account of SSIL and/or SSIFL?
就閣下所知，該擔保人是否為另一個山證國際證券及/或山證國際期貨賬戶之擔保人？

NO 否 YES 是 If YES, Please specify 若是，請列明：

Account Name 戶名 _____ A/C No. 賬戶號碼 _____ Type of A/C 賬戶類型 _____

9) Are you a guarantor of another account of SSIL and/or SSIFL?
閣下是否另一個山證國際證券及/或山證國際期貨賬戶之擔保人？

NO 否 YES 是 If YES, Please specify 若是，請列明：

Account Name 戶名 _____ A/C No. 賬戶號碼 _____ Type of A/C 賬戶類型 _____

10) Are you the ultimate beneficial owner/ Person ultimately benefiting from the transactions and bearing the risks/ Person ultimately responsible for originating instructions for the account of another account of SSIL and /or SSIFL ?
閣下是否另一個山證國際證券及/或山證國際期貨賬戶之最終實益擁有人/最終受益於交易及承擔風險人士/最終負責發出指示的人士？

NO 否 YES 是

If YES, please specify below 若是，請列明如下：

Account Name 戶名 _____ A/C No. 賬戶號碼 _____ Type of A/C 賬戶類型 _____
Relationship 關係 _____

10 SIGNING ARRANGEMENT(For Joint Account Only) 簽名安排(只適用於聯名帳戶)

For validation on any written instructions relating to the operations of the Account, each of the joint account holders hereby agree the following signing arrangement:
每一聯名戶口持有人均同意下述簽署安排：

- Either one of the account holders sign singly. 其中一位聯名戶口持有人簽署 All account holders sign jointly. 所有聯名戶口持有人簽署

11 DECLARATIONS AND ACKNOWLEDGEMENTS OF CLIENT 客戶聲明及確認

I/We declare, acknowledge, confirm and agree that 本人/吾等聲明、承認、確認並同意:

A) I/We represent that the information contained in this Account Opening Form is true, complete and accurate. SSIL and/or SSIFL is entitled to rely fully on such information and representations for all purposes, unless SSIL、SSIFL receives notice in writing of any change. SSIL and/or SSIFL is authorized at any time to contact any person or entities, including but not limited to my / our banks, brokers or any credit agency for verifying the information provided on this Account Opening Form.

本人/吾等聲明在此開戶申請表所提供的資料均屬真實及完整無誤。除非 山證國際證券、山證國際期貨 收到任何客戶資料更改的書面通知，山證國際證券 及/或 山證國際期貨 將有權在任何用途上完全依靠此資料及聲明。客戶授權 山證國際證券 及/或 山證國際期貨 可隨時聯絡任何人士或實體，包括但不限於本人/吾等的銀行、經紀或任何信貸機構，藉以核實本開戶申請表內所提供之資料。本人/吾等確認如所提供之資料有任何更改，均會立即通知 山證國際證券 及/或 山證國際期貨。

B) I/We the undersigned Client(s) understand that my/our submission of this Account Opening Form and the acceptance of this Account Opening Form by SSIL and/or SSIFL in no way implies approval for opening of the account for Client and reserves the unconditional right to reject this application.

本人/吾等，下述簽署客戶/聯名客戶，明白遞交此開戶申請表和 山證國際證券 及/或 山證國際期貨 接納此開戶申請表並非意味著 山證國際證券 及/或 山證國際期貨 表示同意開立賬戶於本人/吾等。山證國際證券 及/或 山證國際期貨 保留最終接納開戶與否之權利。

C) I/We hereby declare that unless specifically stated otherwise, I/we am (are) the person(s) who is (are) ultimately responsible for originating the Instructions and who stand(s) to gain the commercial/economic benefit of the transaction and/or bear the commercial/economic risk.

本人/吾等特此聲明，除非另有明確說明，否則本人是最終負責發出指示之人士，本人/吾等亦為從交易取得商業/經濟利益及/或承擔其商業/經濟風險的人。

D) I/We hereby confirm that I/We have read and agreed to the contents of this Account Opening Form and duly completed all section. I/We have read and understood the provisions of the attached current version of the Terms and Conditions contained in the Client Account Agreement of SSIL and/or SSIFL (together the "Agreement") of which this document forms a part and agree the Account(s) and the provision of service by SSIL and/or SSIFL to be bound by the Agreement (receipt of a copy whereof is hereby acknowledged by me/us) as the same may be amended from time to time.

本人/吾等茲聲明確認已經閱讀並同意此開戶申請表之內容並已填妥所有部份。本人/吾等已閱讀過及明白附上的 山證國際證券 及/或 山證國際期貨 最新版本的客戶協議書("該協議書")，而本表格乃該協議書的一部份，並明白及同意賬戶以及 山證國際證券 及/或 山證國際期貨 提供之服務均受到可不時被修改的該協議書(謹此聲明本人/吾等已收妥其副本)所約束。

E) I/We hereby confirm that SSIL and/or SSIFL has provided me/us with a copy of the Agreement including the following Terms and Conditions:

本人/吾等確認 山證國際證券 及/或 山證國際期貨 已經提供 給本人/吾等 包括以下條款及條件的所有協議書內容：

- Account Opening Form 開戶申請表
- Client Account Agreement (Terms and Conditions) 客戶協議書(條款及條件)
- Any Written Supplementary Agreement and Authorization which I/we concluded with SSIL and/or SSIFL from time to time

任何由本人/吾等與 山證國際證券 及/或 山證國際期貨 不時定立之書面補充條款及授權書

I/We hereby confirm and consent to carry out the trading activities in accordance with the above Terms and Conditions.

本人/吾等僅此確認及同意會依照該條款及條件之約定進行交易活動。

F) I/We acknowledge and confirm that SSIL and/or SSIFL's Licensed Person has provided the Risk Disclosure Statements and Disclaimers annexed hereto in a language of my/our choice (English or Chinese) and I/we have been invited to read the same, to ask questions and take independent advice if I/we wish.

本人/吾等確認 山證國際證券 及/或 山證國際期貨 之持牌人已按照本人/吾等選擇的語言(中文或英文)獲提供客戶協議書之風險披露聲明及免責聲明，及已獲邀閱讀該等風險披露聲明、提出問題及徵求獨立的意見(如本人/吾等有此意願)。

G) I/We have carefully considered the Risk Disclosure Statements and recognize that trading in investment products involves a high degree of risk. Although I/We might not have relevant derivatives products trading experience, I/we still base on my/our independent judgment to request for entering into transactions of derivative products. I/We have considered my/our financial position and investment objective, I/we confirm that I/we am/are financially able to assume such risks and to sustain any losses resulting from such trading and voluntarily confirm that investment products is a suitable trading vehicle for me.

本人/吾等已仔細考慮風險披露聲明而且了解進行投資產品買賣所涉及之高風險。儘管本人/吾等可能並沒有相關衍生產品之交易經驗，本人/吾等可能基於個人/吾等獨立判斷仍要求進行衍生產品交易。本人/吾等已考慮到本人/吾等的財務狀況和投資目標，並確認本人/吾等之財能承擔該交易帶來之風險和承受其帶來之任何損失，亦自願確認投資產品買賣是一項對本人合適的買賣方式。

H) I/We have read and understood the Personal Information Collection and Personal Data (Privacy) Ordinance Statement (the "Statement") attached to the Agreement, and obtained a copy of the Statement.

本人/吾等已閱讀並明白並已取得附於客戶協議書的「個人資料收集及隱私條例說明」副本。

I) Where the Account is a Joint Account, I/We declare and confirm that the undersigned of this Account Opening Form may give verbal Instructions and/or Instructions, in respect of the Account and to deal with SSIL and/or SSIFL as if the undersigned alone was the sole owner of the Account without notice to the other joint owner(s).

倘若賬戶為聯名賬戶，本人/吾等聲明和確認每名簽署這份開戶申請表的客戶(分別稱為"聯名擁有人")可就賬戶作出口頭及/或一般指示並與 山證國際證券 及/或 山證國際期貨 進行交易，毋須通知其他聯名擁有人，猶如彼為賬戶的唯一擁有人。

J) I/We agree to receive the news and the promotions on SSIL and /or SSIFL.

本人/吾等願意接收山證國際證券 及/或 山證國際期貨 發出的相關資訊服務和推廣資料。

K) If my/our futures account needs to exercise Carry Trades to close out the positions of London Metal Exchange(LME) , I/We must place the instructions to SSIFL by phone call. If my/our position(s) of London Metal Exchange(LME) is/are close to be expired and I/We have not yet placed the instructions to SSIFL to exercise Carry Trades to close out, SSIFL has the right to exercise Carry Trades to close out the positions.

如本人/吾等的期貨賬戶需要做倫敦金屬交易所(LME)產品調期，必須主動致電山證國際期貨下調期指示。如本人/吾等持有的倫敦金屬交易所(LME)產品接近到期而沒有主動調期平倉，山證國際期貨有權替本人/吾等調期平倉。

L) I/We acknowledge that SSIL and/or SSIFL does not provide investment, tax or legal advice or recommendations.

本人/吾等確認 山證國際證券 及/或 山證國際期貨 並不提供投資、稅務或法律意見或建議。

12 CLIENT SIGNATURE 客戶簽署確認	
<p>I/We confirm that I/us fully understood the contents of the aforementioned documents and have sought, or have had the opportunity to seek legal advice concerning their contents and effect. I hereby accept and agree to be bound by the same in full as it may be amended from time to time. Must be signed and delivered by both clients for Joint Account. 本人/吾等確認已完全明白上述「客戶協議書」的內容並已經有機會就其內容及效力尋求法律顧問的意見。本人/吾等特此接受及同意受該客戶協議書現時有效及不時修改的條款所約束。 所有聯名客戶都必須同時簽署及交付。</p>	
Individual/Primary Joint Client's Signature 個人/主要聯名客戶簽署	Secondary Joint Client's Signature 附屬聯名客戶簽署
Name in Block Letter 姓名正楷	Name in Block Letter 姓名正楷
Date YYYY MM DD 日期 年 月 日 日	Date YYYY MM DD 日期 年 月 日 日
13 WITNESS DECLARATION 見證人見證	14 DECLARATION BY STAFF 員工聲明
<p>I, the undersigned person, hereby declare and certify as a Witness to the account opening that the signing of this document by the above Client(s) and sighting the genuine copy of related identity documents of above Client(s). Witnesses must be an employee of SSIL or SSIFL, a designated China licensee approved by SSIL or SSIFL, a JP (Justice of the Peace), or a professional person such as a certified public accountant, lawyer, notary public or chartered secretary. 本人，下述簽署人士，作為見證人謹此確認及見證上述客戶簽署此文件及驗證有關其身份證明文件正本。見證人必須為山證國際證券或山證國際期貨僱員、經山證國際證券或山證國際期貨批核的中國內地持牌人士、太平紳士或專業人士，例如執業會計師、律師、公證人或特許秘書。</p>	<p>I, the undersigned, hereby declare and confirm that I have provided the Risk Disclosure Statements and Disclaimers in a language of the Client's choice (English or Chinese) and invited the Client/Joint Client to read the same, ask questions and take independent advice if the Client/Joint Client wishes. 本人，下述簽人士，謹此聲明及確認本人已按照上述客戶/聯名客戶所選擇的語言(中文或英文)提供附於本表的風險披露聲明及免責聲明及邀請客戶/聯名客戶閱讀該等聲明、提出問題及徵求獨立的意見(如客戶/聯名客戶有此意願)。</p>
Signed and Certified by 簽署及驗證	Signature of Staff 僱員簽署
Name in Block Letter 姓名正楷	Name in Block Letter 姓名正楷
Occupation/Position 職業/職位	CE No. 中央編碼
Date YYYY MM DD 日期 年 月 日 日	Date YYYY MM DD 日期 年 月 日 日
15 ACCEPTANCE AND AUTHORIZED SIGNATURE 接納及授權代表簽署	
SSIL Authorized Signature 山證國際證券授權代表簽署	SSIFL Authorized Signature 山證國際期貨授權代表簽署
Name in Block Letter 姓名正楷	Name in Block Letter 姓名正楷
Date YYYY MM DD 日期 年 月 日 日	Date YYYY MM DD 日期 年 月 日 日