



百惠金控
PATRONS

Patrons Securities Limited 百惠證券有限公司

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中央編號 CE No. : BPQ161

Patrons Securities Limited ("PATRONS") is a licensed Corporation for Types 1 and Types 4 regulated activities under the Securities and Futures Ordinance.
百惠證券有限公司 (百惠) 為一家根據《證券及期貨條例》獲發牌進行第 1 類及第 4 類受規管活動的持牌法團

ACCOUNT OPENING FORM 開戶資料表格 INDIVIDUAL / JOINT ACCOUNT 個人 / 聯名帳戶	For internal use only 內部使用
	Account No. 戶口號碼：
	AE Code 客戶主任編號：
	Date Opened 開戶日期：

(1) ACCOUNT INFORMATION 戶口資料			
Account Type 戶口種類	☐ Cash A/C 現金帳戶 ☐ Margin A/C 保證金帳戶		
Client Type 客戶種類	☐ Individual Account 個人帳戶 ☐ Joint Account 聯名帳戶		
Additional Services 附加服務	☐ Internet Trading Services 網上交易服務 ☐ US Securities Trading 美股證券交易		
(2) PERSONAL DETAILS 個人資料			
Primary Client 客戶		Joint Client 聯名客戶	
English Name : 英文姓名：		English Name : 英文姓名：	
Chinese Name : 中文姓名：		Chinese Name : 中文姓名：	
		Relationship with Primary Client : 與客戶的關係：	
Gender 性別 : ☐ M 男 ☐ F 女		Gender 性別 : ☐ M 男 ☐ F 女	
ID Type : 證件類型:	☐ 香港居民身份證 Hong Kong Identity Card ☐ 中國居民身份證 China Resident Identity Card ☐ 其他國家 / 地區護照 Foreign Passport		
ID Card / Passport No. : 身份證/護照號碼：	ID Card / Passport No. : 身份證/護照號碼：		
Nationality : 國籍：	Nationality : 國籍：		
Place of birth : 出生地點：	Place of birth : 出生地點：		
Date of Birth 出生日期:	Date of Birth 出生日期: Y 年 M 月 D 日		
Email Address : 電郵地址：	Email Address : 電郵地址：		
Mobile Phone No. : 手提電話號碼：	Mobile Phone No. : 手提電話號碼：		
Home Tel. No. : 住宅電話號碼：	Home Tel. No. : 住宅電話號碼：		
Educational Level : 學歷程度:	☐ 小學或以下 Primary School or below ☐ 中學 Secondary School ☐ 大專或以上 Tertiary Education or above		
Residential Address (P.O. Box is not allowed) 住宅地址 (不接受郵政信箱)	Residential Address (P.O. Box is not allowed) 住宅地址 (不接受郵政信箱)		
Correspondence Address (if different from above, P.O. Box is not allowed) 通訊地址 (如與以上不同，不接受郵政信箱)	Correspondence Address (if different from above, P.O. Box is not allowed) 通訊地址 (如與以上不同，不接受郵政信箱)		

(3) STANDING PAYMENT INSTRUCTION 常設收款指示			
Please pay the money received on my/our behalf into the following bank account opened in my/our own name upon my request. 請在本人要求時將為本人/吾等代收的款項轉帳到下列以本人/吾等名義開設的銀行帳戶。			
Name of Bank 銀行名稱	Bank Account Name 銀行帳戶名稱	Bank Account No. 銀行帳戶號碼:	
HKD 港幣：			
USD 美元：			
RMB 人民幣：			



A/C No. 戶口號碼：

A/C Name 戶口姓名：

(4) EMPLOYMENT STATUS 就業狀況

Primary Client 客戶	Joint Client 聯名客戶
Employment : ☐ Employed 受僱 ☐ Self-employed 自僱 就業情況 : ☐ Retired 退休 ☐ Other 其他:	Employment : ☐ Employed 受僱 ☐ Self-employed 自僱 就業情況 : ☐ Retired 退休 ☐ Other 其他:
Nature of Business : 業務性質 :	Nature of Business : 業務性質 :
Occupation/Title : 職業/職位 :	Occupation/Title : 職業/職位 :
Name of Employer : 僱主名稱 :	Name of Employer : 僱主名稱 :
Office Address : 公司地址 :	Office Address : 公司地址 :
Office Tel. No. : 辦公室電話號碼 :	Office Tel. No. : 辦公室電話號碼 :
Fax No. : 傳真號碼 :	Fax No. : 傳真號碼 :

(5) FINANCIAL INFORMATION 財政資料

Primary Client 客戶	Joint Client 聯名客戶
Source of Wealth / Funds 資產 / 資金來源	Source of Wealth / Funds 資產 / 資金來源
Annual Income 全年收入 ☐ < HKD250,000 ☐ HKD250,001 - HKD500,000 ☐ HKD500,001-HKD1,000,000 ☐ HKD1,000,001 - HKD2,000,000 ☐ HKD _____	Annual Income 全年收入 ☐ < HKD250,000 ☐ HKD250,001 - HKD500,000 ☐ HKD500,001-HKD1,000,000 ☐ HKD1,000,001 - HKD2,000,000 ☐ HKD _____
Income Source 收入來源 ☐ Salary 薪金/ Commission 佣金 ☐ Rental Income 物業租金 ☐ Dividend 股息/ Interest 利息 ☐ Business Profit 營業利潤 ☐ Saving 儲蓄 ☐ Household Income 家用 ☐ Retirement Pension 退休金 ☐ Mortgage / Loan 按揭/借貸 ☐ Nil 無 ☐ Others 其他 _____	Income Source 收入來源 ☐ Salary 薪金/ Commission 佣金 ☐ Rental Income 物業租金 ☐ Dividend 股息/ Interest 利息 ☐ Business Profit 營業利潤 ☐ Saving 儲蓄 ☐ Household Income 家用 ☐ Retirement Pension 退休金 ☐ Mortgage / Loan 按揭/借貸 ☐ Nil 無 ☐ Others 其他 _____
Net Value of Assets 資產淨值 ☐ < HKD100,000 ☐ HKD100,001- HKD500,000 ☐ HKD500,001-HKD3,000,000 ☐ HKD3,000,001-HKD8,000,000 ☐ >HKD8,000,000	Net Value of Assets 資產淨值 ☐ < HKD100,000 ☐ HKD100,001- HKD500,000 ☐ HKD500,001-HKD3,000,000 ☐ HKD3,000,001-HKD8,000,000 ☐ >HKD8,000,000
Asset Type 資產類別 ☐ Land and Property 房地產 ☐ Funds 基金 ☐ Gold 黃金 ☐ Cash / Deposit 現金 / 存款 ☐ Bonds / Debentures 債券 ☐ Stocks 股票 ☐ Inheritance 遺產 ☐ Foreign Exchange 外匯 ☐ Others 其他 _____	Asset Type 資產類別 ☐ Land and Property 房地產 ☐ Funds 基金 ☐ Gold 黃金 ☐ Cash / Deposit 現金 / 存款 ☐ Bonds / Debentures 債券 ☐ Stocks 股票 ☐ Inheritance 遺產 ☐ Foreign Exchange 外匯 ☐ Others 其他 _____

(6) INVESTOR BACKGROUND 投資者背景

Primary Client 客戶	Joint Client 聯名客戶
Investment Knowledge 投資知識 ☐ Excellent 精通 ☐ Good 良好 ☐ Some 較好 ☐ Limited 有限 ☐ None 全無	Investment Knowledge 投資知識 ☐ Excellent 精通 ☐ Good 良好 ☐ Some 較好 ☐ Limited 有限 ☐ None 全無
Investment Objectives 投資目的 ☐ Growth 增值 ☐ Income 收入 ☐ Speculation 投機 ☐ Hedging 對沖 ☐ Other 其他	Investment Objectives 投資目的 ☐ Growth 增值 ☐ Income 收入 ☐ Speculation 投機 ☐ Hedging 對沖 ☐ Other 其他
Risk Tolerance 承受風險 ☐ Aggressive 高 ☐ Moderate 中 ☐ Conservative 低	Risk Tolerance 承受風險 ☐ Aggressive 高 ☐ Moderate 中 ☐ Conservative 低



(7) INVESTOR EXPERIENCE 投資經驗

Primary Client 客戶	Joint Client 聯名客戶
Investment Experience 投資經驗	Investment Experience 投資經驗
☐ Stock 股票 _____ year(s)年 ☐ Index Options / Futures 指數期權/期貨 _____ year(s)年 ☐ Warrants / Stock Options 認股證/股票期權 _____ year(s)年 ☐ FX/Bullion 外幣/黃金 _____ year(s)年 ☐ Structured Investment Products 結構性產品 _____ year(s)年 ☐ Others 其他 _____ year(s)年 Please specify 請述明:	☐ Stock 股票 _____ year(s)年 ☐ Index Options / Futures 指數期權/期貨 _____ year(s)年 ☐ Warrants / Stock Options 認股證/股票期權 _____ year(s)年 ☐ FX/Bullion 外幣/黃金 _____ year(s)年 ☐ Structured Investment Products 結構性產品 _____ year(s)年 ☐ Others 其他 _____ year(s)年 Please specify 請述明:

(8) KNOWLEDGE OF DERIVATIVES 衍生產品的認識

Trading of exchange-traded derivative products involves high risks and is not suitable for every investor. Investors should understand the related risks before trading in derivative products. The below questions are asked and targeted at the investment decision maker(s). For Corporate Account, authorised signatories who will give transaction instructions on behalf of the company. The answers filled below will be considered as the overall assessment of all investment decision maker(s) for the Account.

買賣交易所買賣之衍生產品涉及高風險，並非每個投資者皆適合。投資者買賣衍生產品前必須清楚明白有關的風險。有關問題的對象為投資決策者，若為公司帳戶，即指公司授權代表發出交易指示的簽署者。此部份的評估將被視為該帳戶的投資決策者的綜合性評估。

(Please tick the appropriate box. 請在適當空格加 ✓)

Have you ever undergone any training or attended courses on derivative products? 閣下是否曾接受有關含衍生產品的培訓/修讀課程?	Primary Client 客戶	Joint Client 聯名客戶
If Yes, 如是，Name of Organization 課程機構名稱 _____ Course Name 課程名稱 _____ Year attended 年份 _____	☐ Yes 是 ☐ No 否	☐ Yes 是 ☐ No 否
Have you ever obtained any working experience related to derivative products? 閣下是否曾獲取有關衍生產品的工作經驗?	Primary Client 客戶	Joint Client 聯名客戶
If Yes, 如是，Name of employer 僱主名稱： _____ Position 職位： _____ Years of Employment 服務年資： _____	☐ Yes 是 ☐ No 否	☐ Yes 是 ☐ No 否
Do you ever have any trading experience in structured or derivative product (s)? 閣下以往曾否有買賣結構性或衍生產品的經驗?	Primary Client 客戶	Joint Client 聯名客戶
If Yes, 如是，please state the structured or derivative product(s) you traded . 請提供閣下以往有買賣的結構性或衍生產品。 ☐ Callable Bull/Bear Contracts (CBBC) 牛熊證 ☐ Equity Linked Instruments/Notes (ELI/ELN) 股票掛鉤產品 ☐ Exchange Traded Funds 交易所買賣基金 ☐ Rights 供股權 ☐ Others 其他： _____	☐ Yes 是 ☐ No 否	☐ Yes 是 ☐ No 否
Have you executed five or more transactions in structured or derivative products within the past three years? 您曾否在以往三年內執行過五宗或以上結構性或衍生產品交易? (請提供有關之單據副本以作參考-please provide your supporting documents)	Primary Client 客戶	Joint Client 聯名客戶
Client Investment Intentions 客戶投資意向：		
☐ I/We intend to trade exchange-traded derivative products and accept to bear the relevant potential risks associated with the derivative products, even though I / we may not have the relevant knowledge. The staff at Patrons Securities Limited have mentioned the relevant risks. I/We have read and understood the derivative product risks described in Schedule 2 of the Securities Client Agreement and Schedule and have made inquiries when necessary. 本人/吾等有意買賣在交易所買賣之衍生產品，並同意承擔衍生產品所附帶的相關潛在風險，即使本人/吾等可能不具備相關知識。百惠證券的職員已提及有關風險，本人/吾等已閱讀及明白證券客戶協議中附表 2 所述的衍生產品風險並在有需要時作出詢問。		
☐ I/We do not intend to trade exchange-traded derivative products. 本人/吾等無意買賣在交易所買賣之衍生產品。		



A/C No. 戶口號碼：

A/C Name 戶口姓名：

(9) RELATED ACCOUNTS AND DECLARATION 關連帳戶及聲明 (Please tick the appropriate box. 請在適當空格加√)		
	Primary Client 客戶	Joint Client 聯名客戶
Are you a senior officer or director of any listed company whose shares are traded on any exchange or market ? 閣下是否出任上市公司之高級職員/董事？	☐ No 否 ☐ Yes 是： Company Name 公司名稱： Stock Code 股票編號：	☐ No 否 ☐ Yes 是： Company Name 公司名稱： Stock Code 股票編號：
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： Name of Licensed or Registered Co. 持牌法團或註冊機構名稱： CE No 中央編號：	☐ No 否 ☐ Yes 是： Name of Licensed or Registered Co. 持牌法團或註冊機構名稱： CE No 中央編號：
* If YES, please provide your employer's written consent letter. *若是，請提供閣下僱主書面同意書。		
Do you have any other account with PATRONS? 閣下是否在百惠擁有其他帳戶？	☐ No 否 ☐ Yes 是: Account name 帳戶名稱： Account number 帳戶號碼：	☐ No 否 ☐ Yes 是: Account name 帳戶名稱： Account number 帳戶號碼：
Are your spouse or immediate family members a client of PATRONS? 閣下之配偶或直系親屬是否百惠的客戶？	☐ No 否 ☐ Yes 是: Account name 帳戶名稱： Account number 帳戶號碼： Relationship 關係：	☐ No 否 ☐ Yes 是: Account name 帳戶名稱： Account number 帳戶號碼： Relationship 關係：
Are you, your spouse or immediate family members a director or shareholder or an employee of PATRONS? 閣下、閣下配偶或直系親屬是否為百惠之董事或股東或僱員？	☐ No 否 ☐ Yes 是: name of the relative and relationship 僱員親屬名稱及關係： -----	☐ No 否 ☐ Yes 是: name of the relative and relationship 僱員親屬名稱及關係： -----
Are you, either alone or with your spouse, in control of 35% or more of the issued shares of any corporate account of PATRONS? 閣下是否個人或與您的配偶共同控制任何百惠之其他公司客戶帳戶35%以上的股權？	☐ No 否 ☐ Yes 是: Spouse name 配偶名稱：	☐ No 否 ☐ Yes 是: Spouse name 配偶名稱：
Have you been arrested/ tried/ sentenced/ disciplined for illegal activities or violating regulatory requirements? 閣下是否曾經涉及違法或違反監管守則而被捕/受審/被判刑/被紀律處分？	☐ No 否 ☐ Yes 是: (please specify 請述明具體)	☐ No 否 ☐ Yes 是: (please specify 請述明具體)
Are you bankrupt/ ever bankrupt? 閣下是否破產或曾經破產？	☐ No 否 ☐ Yes 是(date and details 相關日期及資料)	☐ No 否 ☐ Yes 是(date and details 相關日期及資料)
Are you a politically exposed person, senior government official or senior executive of a state - owned corporation? 閣下是否政治人物、高級政府官員或國有企業高級行政人員？	☐ No 否 ☐ Yes 是: (please specify 請述明具體)	☐ No 否 ☐ Yes 是: (please specify 請述明具體)



(10) US FATCA SELF- CERTIFICATION 美國海外帳戶稅收合規法案聲明

Are you a U.S. citizen (e.g. holding U.S. Passport) or U.S. resident alien (e.g. holding U.S. green card)? 閣下是否為美國公民（持有美國護照）或美國居民（持有美國綠卡）	Primary Client 客戶	Joint Client 聯名客戶	Remarks 備註：
	☐ No 否 ☐ Yes 是	☐ No 否 ☐ Yes 是	“ No 否” - Fill in Form 填寫表格：W-8BEN “ Yes 是” - Requires PATRONS approval to open an account. 需經百惠證券批核才可開設帳戶。

Note : If there is a change in any information provided , please notify to PATRONS within 30 calendar days

注意：倘提供的資料有任何變更，請於 30 日內通知百惠證券。

(11) INDIVIDUAL TAX RESIDENCY SELF- CERTIFICATION (CRS-I) 個人稅務居民身份自我證明

This is a self-certification form provided by an account holder to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction. 這是由帳戶持有人向申報財務機構提供的自我證明表格，以作自動交換財務帳戶資料用途。申報財務機構可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。

Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”)

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 five) jurisdictions of residence.

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

Reason A – The jurisdiction where the Account Holder is a resident for tax purposes does not issue TINs to its residents.

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.

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

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」）

提供以下資料，列明 (1) 你的居留司法管轄區，亦即是你的稅務管轄區（香港包括在內）及 (2) 該居留司法管轄區發給你的稅務編號。列出所有（不限於 3 個）居留司法管轄區。

如你是香港稅務居民，稅務編號是香港身份證號碼。如你是中國稅務居民，稅務編號是中國公民身份證號碼。

如沒有提供稅務編號，必須填寫合適的理由：

理由 A – 你的居留司法管轄區並沒有向其居民發出稅務編號。

理由 B – 你不能取得稅務編號。如選取這一理由，解釋你不能取得稅務編號的原因。

理由 C – 你毋須提供稅務編號。居留司法管轄區的主管機關不需要你披露稅務編號。

Jurisdiction of Residence 稅務管轄區	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號，填寫理由 A、B 或 C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選取理由 B，解釋帳戶持有人不能取得稅務編號的原因
Primary Client 客戶			
		☐ A ☐ B ☐ C	
		☐ A ☐ B ☐ C	
		☐ A ☐ B ☐ C	
		☐ A ☐ B ☐ C	
Joint Client 聯名客戶			
		☐ A ☐ B ☐ C	
		☐ A ☐ B ☐ C	
		☐ A ☐ B ☐ C	
		☐ A ☐ B ☐ C	

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，就與本表格所有相關的帳戶，本人是帳戶持有人簽署本表格。

I undertake to advise Patrons Securities Limited of any change in circumstances which affects the tax residency status of the individual Identified of this form or causes the information contained herein to become incorrect, and to provide Patrons Securities Limited 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，以致影響本表格的個人的稅務居民身份，或引致本表格所載的資料不正確，本人會通知百惠證券有限公司，並會在情況發生改變後 30 日內，向百惠證券有限公司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，本表格內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. HK\$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 HK\$10,000）罰款



A/C No. 戶口號碼：

A/C Name 戶口姓名：

(12) DISCLOSURE OF IDENTITY 披露身份

客戶是否帳戶之最終受益擁有人？ Is/Are Client(s) the ultimate beneficial owner(s) of the Account ?

☐ Yes 是

☐ No 否：The ultimate beneficial owner(s) is/are 最終受益擁有人如下：

Name 姓名：	身份證／護照／公司註冊號碼／商業登記號碼： I.D./Passport No./Incorporation No./B.R. No.:
Nationality 國籍：	Address 地址：
Occupation 職業：	
Tel No. 聯絡電話：	Your relationship with the beneficial owner(s) : 閣下與受益擁有人之關係：
Email 電郵：	

If the account holder is not the beneficial owner of income, each beneficial owner should provide a CRS Self-Certification.

如帳戶持有人並非最終受益擁有人，每位最終受益擁有人請另各自提交一份自我證明表格。

For AE use 客戶主任使用： Received ____ copies of Self-Certification 已收到 ____份自我證明

Reason for Choosing PATRONS for Account Opening 閣下選擇在百惠開戶的原因：

☐ Referred by 推薦：

☐ Others 其他：

(13) MAILING METHOD 通訊方式

All correspondence of the account including statements, confirmations, notices, contracts etc to be mailed to:

請將上述帳戶之信件，包括結算單、確認書、通知書及契約書等發送至：

(Select either one 只選一項)

1. ☐ By E-mail 電郵 2. ☐ By Mail 郵遞 → ☐ Residential 住宅 ☐ Office 辦公室 ☐ Mailing Address 通訊地址

*(Mailing Statement fee 郵寄結單費：HK\$50.00/month 每月)

Statements Language 結算單語言： ☐ T. Chinese 繁體中文 ☐ S. Chinese 簡體中文 ☐ English 英文

(14) USE OF PERSONAL DATA 個人資料使用

Patrons Securities Limited ("PATRONS") intends to use my/our data and/or provide my/our data to its Affiliates ("Affiliates", i.e. any company in which it is, now or hereafter, directly or indirectly related to PATRONS in direct marketing (includes the name, contact details, portfolio information, transaction pattern and financial background of me/us may be used in direct marketing of investment or financial related products and services of PATRONS and/or its affiliates (including research reports and special offers)). If I/we do not wish PATRONS to use and/or transfer my/our personal data for use in direct marketing, I/we may, without charge, exercise the right to opt-out.

百惠證券有限公司(百惠)可使用本人/吾等的資料及/或提供本人/吾等的資料予任何百惠的聯營公司(「聯營公司」，即指現時或日後，任何直接或間接與百惠有關之公司)作直接促銷(包括本人/吾等的姓名、聯絡詳情、投資組合資料、交易模式及財務背景可被用於直接促銷百惠及/或其聯營公司的投資及有關財務產品及服務(包括研究報告及特別優惠))。

若本人/吾等不願意百惠使用及/或轉送本人/吾等的個人資料作直接促銷，本人/吾等可行使拒絕此安排的權利，而且無須就此支付任何費用。

I / we ☐ CONSENT / ☐ OBJECT to the above, PATRONS can use and/or transfer my/our personal data in direct marketing.

本人/吾等 ☐ 同意 / ☐ 反對 上述，百惠可使用及/或轉送本人/吾等的個人資料作出直接促銷。



(15) HONG KONG INVESTOR IDENTIFICATION REGIME(HKIDR) AND OVER -THE -COUNTER SECURITIES TRANSACTION REPORTING REGIME(OTCR)香港投資者識別碼制度及場外證券交易匯報客戶同意書

You acknowledge and agree that Patrons Securities Limited (“PATRONS”, “we” or “us”) may collect, store, process, use, disclose and transfer personal data relating to you (including your CID and BCAN(s)) as required for PATRONS to provide services to you in relation to securities listed or traded on the Stock Exchange of Hong Kong (SEHK) and for complying with the rules and requirements of SEHK and the Securities and Futures Commission (SFC) in effect from time to time. Without limiting the foregoing, this includes –

閣下明白並同意，百惠證券有限公司(「本公司」或「我們」)為了向閣下提供與在香港聯合交易所（聯交所）上市或買賣的證券相關的服務，以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會（證監會）的規則和規定，本公司可收集、儲存、處理、使用、披露及轉移與閣下有相關的個人資料（包括閣下的客戶識別信息及券商客戶編碼）。在不限制以上的內容的前提下，當中包括—

1. Disclosing and transferring your personal data (including CID and BCAN(s)) to SEHK and/or the SFC in accordance with the rules and requirements of SEHK and the SFC in effect from time to time;根據不時生效的聯交所及證監會規則和規定，向聯交所及／或證監會披露及轉移閣下的個人資料（包括客戶識別 信息及券商客戶編碼）；
2. Allowing SEHK to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK; and (ii) disclose and transfer such information to the relevant regulators and law enforcement agencies in Hong Kong (including, but not limited to, the SFC) so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets; and (iii) use such information for conducting analysis for the purposes of market oversight; and 允許聯交所：(i)收集、儲存、處理及使用閣下的個人資料（包括客戶識別信息及券商客戶編碼），以便監察和監管市場及執行《聯交所規則》；(ii)向香港相關監管機構和執法機構（包括但不限於證監會）披露及轉移有關資料，以便他們就香港金融市場履行其法定職能；及(iii)為監察市場目的而使用有關資料進行分析；及
3. Allowing the SFC to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for the performance of its statutory functions including monitoring, surveillance and enforcement functions with respect to the Hong Kong financial markets; and (ii) disclose and transfer such information to relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements. 允許證監會：(i)收集、儲存、處理及使用閣下的個人資料（包括客戶識別信息及券商客戶編碼），以便其履行法定職能，包括對香港金融市場的監管、監察及執法職能；及(ii)根據適用法例或監管規定向香港相關監管機構和執法機構披露及轉移有關資料。

You also agree that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.

閣下亦同意，即使閣下其後宣稱撤回同意，本公司在閣下宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移閣下的個人資料以作上述用途。

Failure to provide PATRONS with your personal data or consent as described above may mean that PATRONS will not, or will no longer be able to, as the case may be, carry out your trading instructions or provide you with securities related services (other than to sell, transfer out or withdraw your existing holdings of securities, if any).

閣下如未能向本公司提供個人資料或上述同意，可能意味著本公司不會或不能夠再（視情況而定）執行閣下的交易指示或向閣下提供證券相關服務，惟出售、轉出或提取閣下現有的證券持倉（如有）除外。



(16) CLIENT SECURITIES AND SECURITIES COLLATERAL 客戶證券或證券抵押品
(For Securities Margin Account of PATRONS Only 僅適用於百惠證券的證券保證金買賣帳戶)

I/We hereby authorize PATRONS and its associated entities (as defined in the Securities and Futures Ordinance) (if any) for a period commencing from the date of PATRONS's approval to this authority up to and including the last day of the eleventh (11th) month next after the date of such approval to deal with my/our securities and securities collateral from time to time received or held in Hong Kong by or on behalf of PATRONS or any of its associated entities in one or more of the following ways without further notice to or consent from me/us:

本人／吾等授權百惠證券及其有聯繫實體（按《證券及期貨條例》之定義）（如有）可於百惠證券批准本授權當天開始直至及包括隨後第十一個月份的最後一天的期間內，以下列一種或多於一種方式處理不時由百惠證券或其任何有聯繫實體代本人／吾等在香港收取或持有的證券及證券抵押品，毋須進一步通知本人／吾等或取得本人／吾等的同意：

1. to apply any of the securities or securities collateral pursuant to a securities borrowing and lending agreement;
依據證券借貸協議運用任何有關證券或證券抵押品；
2. to deposit any of the securities collateral with an authorized financial institution as collateral for financial accommodation provided to PATRONS; and/or
將任何有關證券抵押品存放於認可財務機構，作為提供予百惠證券的財務通融的抵押品；及／或
3. to deposit any of the securities collateral with any clearing house recognized by the Hong Kong Securities and Futures Commission or another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of PATRONS's settlement obligations and liabilities. I/We hereby acknowledge that PATRONS has the practice of repledging clients' securities collateral. This authority may be renewed or deemed to have been renewed in accordance with the Securities and Futures (Client Securities) Rules but may be revoked by me/us by giving to PATRONS at least 5 business days' prior written notice of revocation
將任何有關證券抵押品存放於獲香港證券及期貨事務監察委員會認可的結算所或另一獲發牌或獲註冊進行證券交易的中介人，作為解除百惠證券在交收上的義務和清償百惠證券在交收上的法律責任的抵押品。本人／吾等獲悉百惠證券有將證券抵押品再質押的做法。本授權可根據《證券及期貨（客戶證券）規則》的規定下予以續期或被當作已續期，惟本人／吾等可向百惠證券發出不少於 5 個工作天之事先書面通知以撤銷本授權。

(17) SIGNED BY WITNESS 見證人簽署

I, the undersigned, hereby confirm that I have identified the above client(s) who executed this Application Form before me, and I have reviewed the originals and certified the account opening documents for the client(s).

本人，即下述簽署人，謹此確認上述客戶於本人面前簽署此申請表，及本人已參閱相關開戶文件的正本並核實該等文件。

Signature of Witness 見證人簽署 X	ID Card No 身份證號碼	CE No. 中央編號
	Profession /Title 專業及職銜	Date 日期
Name 姓名	Address 地址	

Where the account opening documents are not executed in the presence of an employee of the licensed or registered person, the signing of the client agreement (as defined in paragraph 6.1 of the Code of Conduct) and sighting of related identity documents should be certified by any other licensed or registered person, an affiliate of a licensed or registered person, a JP (Justice of the Peace), or a professional person such as a branch manager of a bank, certified public accountant, lawyer, notary public or chartered secretary.

如開戶文件並非在持牌人或註冊人的僱員面前簽立，則客戶協議（如《操守準則》第6.1段所界定）的簽立，及有關的身份證明文件的見證，應由其他持牌人或註冊人、持牌人或註冊人的聯繫人士、太平紳士或專業人士例如銀行分行經理、執業會計師、律師、公證人或特許秘書加以驗證。

- Sign and write "Certified True Copy" on the photocopy of the documents; 在有關副本上簽署及寫上「經核實之真實副本」；
- Sign and state his/her full name and specific designation on the original copy of the Account Opening Form, and 在開戶申請表的正本上簽署，並註明見證人的姓名及職銜；及

Attach his/her business card.
附上見證人的名片。



(18) DECLARATION BY CLIENT 客戶聲明

I/We confirm that the information sets out in Account Opening Form of Patrons Securities Limited (PATRONS) is true, complete and correct.
本人/吾等確認在百惠證券有限公司(百惠)開戶表格所填寫的資料均屬真實、完全及正確。

I/We understand all provisions set out in the Securities Client Agreement and Schedules of PATRONS, and accept and agree to be bound by these terms .
本人/吾等明白百惠證券客戶協議及附表所載的條文，並接受及同意受該等文件約束。

I/We have carefully read and understood the contents of clause (15) of this agreement for Hong Kong Investor Identification Regime (HKIDR) And Over-The -Counter Securities transaction Reporting Regime (OTCR). I/We expressly agree and consent, as evidence by my/our signature(s) below, to each and all the terms and provisions contained in this Agreement.

本人/吾等已仔細審閱并理解條款(15)香港投資者識別碼制度及場外證券交易匯報客戶同意書的全部內容。本人/吾等的以下簽名表明客戶完全同意和接受此同意書的全部條款和細節

I/We have carefully read and understood the clause (16) Client Securities and Securities Collateral for Securities Margin Trading. I/We expressly agree and consent, as evidence by my/our signature(s) below, to each and all the terms and provisions contained in this Agreement.

本人/吾等已仔細審閱并理解條款(16)客戶證券或證券抵押品的全部內容。本人/吾等的以下簽名表明客戶完全同意和接受此條款的全部條款和細節

I/We agree to pay such fees and charges as set out in the Fee Schedule or as PATRONS may from time to time prescribe.

本人/吾等同意按收費附表之規定或百惠可定期修訂之規定支付該等服務費。

I/We acknowledge that the risk disclosure statements of the Client Agreement were provided in a language of my/our choice and I/we was/were invited to read the risk disclosure statements, ask questions and take independent advice if I/we wish.

本人/吾等確認已獲提供本人/吾等揀選語言版本於客戶協議條款列明的風險聲明。本人/吾等已被請求閱讀該等風險聲明，發問及如認為有需要諮詢獨立意見。

I/We confirm that I/we have read, understand and agree to all provisions on Notes Relating to the Common Reporting Standard (CRS) and the Foreign Account Tax Compliance Act (FATCA) set out in the Terms & Conditions and accept and agree to be bounded thereby.

本人/吾等確認已閱讀、明白及同意《條款及條件》中所載的《有關共同匯報標準(CRS)及美國海外帳戶稅收合規法案(FATCA)之附註》的條文，並接受及同意受該等文件約束。

	Primary Client 客戶	Joint Client 聯名客戶
Signature 簽名		
Name 姓名		
Date 日期	Y年 M月 D日	Y年 M月 D日
<p>* For Joint Account only只適用於聯名戶口：Any任何_____ of the signatures will be valid 名人仕簽名有效。</p>		



For internal use only 內部使用

(19) DECLARATION BY LICENSED PERSON 持牌人聲明

I/We, Patrons Securities Limited representative(s), hereby declare and confirm that I/we have provided the Risk Disclosure Statement and Disclaimers in a language of the above client(s) ' choice (English or Chinese) and invited the client(s) to read the same, ask questions and take independent advice if the client(s) so wishes.

本人/吾等為百惠證券有限公司的註冊職員，並謹此聲明及確認本人/吾等已按照上述客戶所選擇的語言(英文或中文)，提供附於客戶協議書的風險披露聲明及免責聲明及邀請客戶閱讀該等聲明，提出問題及徵求獨立的意見。

Place to make the Risk Disclosure Statements to the client 與客戶作出聲明的地點

☐ in the office of Patrons Securities Limited 在百惠證券有限公司

☐ other location 其他地點: _____

☐ by phone 透過電話: Record Line No 錄音電話號碼

Time 時間

Licensed Person Signature 持牌人簽署	Names of Licensed Person 持牌人姓名	CE No. 中央編號
X		Date 日期

(20) APPROVED AND ACCEPTED BY 核准及接納: PATRONS SECURITIES LIMITED 百惠證券有限公司

Authorised Signature 授權人簽署	Name of Authorised Person 授權人姓名	Date 日期

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Documents Checklist for Opening Individual/ Joint Account 個人/ 聯名帳戶 開戶文件檢查清單

☐ Securities Client Agreement and Schedules 證券客戶協議及附表 (No signature required 無需簽署)

Completed & signed the Documents below 填妥並簽署以下之表格:

- ☐ Account Opening Form (Individual / Joint) 開戶表格 (個人/聯名)
 - ☐ Knowledge of Derivatives 衍生產品的認識
 - ☐ US FATCA Self-Certification 美國海外帳戶稅收合規法案聲明
 - ☐ CRS-I (Individual Tax Residency Self-Certification 個人稅務居民身份自我證明)
- ☐ W-8BEN (Non U.S. Person 非美國人)
- ☐ Client Risk Profile Questionnaire (Individual) 客戶風險取向問卷 (個人)

Completed & signed the Documents below 填妥並簽署以下之表格 (if applicable 如適用)

- ☐ Client Money Standing Authority 客戶款項常設授權 (Clients opening more than one account in PATRONS 適用於客戶於百惠開設多於一個帳戶)
- ☐ Client Securities Standing Authority (for Margin Account) 客戶證券常設授權 (保證金帳戶)
- ☐ AML & ATF Questionnaire (Individual) 防止洗黑錢及防止恐怖份子籌資活動問卷 (個人)
- ☐ Individual/Corporate Professional Investors (Category B) Assessment Form 個人/公司專業投資者(B 類) 評估表格

Personal Documents 個人文件:

- ☐ Certified true copy of Identity Card Card(both sides) /Passport 身份證 (正背面) / 護照副證明核證副本
 - Hong Kong permanent residents Identity Card 香港永久居民身份證
 - Non-Hong Kong permanent residents: Identity Card of the place of residence and/or Passport 非香港永久居民: 當地身份證及/或護照
 - Non-Hong Kong residents (including Mainland residents and overseas nationals) : Identity Card /a valid Exit / Entry Permit and/or Travel Permit 非香港(包括中國內地居民及海外人士) 之身份證/入境證明及/或通行證身份證明文件副本
- ☐ Certified true copy of residential address proof (within 3 months) (Utility statement, Bank statement etc. (Post office box numbers will not be accepted) 住址證明之核證副本 (三個月內), 銀行結單或公共服務單據等副本 (郵政信箱恕不接受)
- ☐ Copy of the first page of a bank passbook or ATM card with the name as the account holder and the account number 顯示申請人為帳戶持有人及列有帳戶號碼的銀行存摺首頁或提款卡的副本
- ☐ Certificate of loss of U.S. citizenship and proof of other nationality 美國國籍棄籍證明及其他國籍證明文件 (If applicable 如適用)用)
- ☐ Employer Consent Letter (If Client is an employee of a company registered with the SFC) 僱主書面同意書, 若客戶受僱於香港證券及期貨事務監察委員會註冊之公司) (if applicable 如適用)
- ☐ Professional Investors(Category B) 專業投資者(B 類) (If applicable 如適用)用)
 - ☐ Certified true copy of Asset Proof 資產證明之核證副本
 - ☐ Investment Experience Proof 投資經驗證明
- ☐ Client's cheque (A/C opening in a non-face to-face approach) 客戶支票 (非面對面的情況下開戶) (If applicable 如適用)用)
 - ☐ issued from a licensed bank in HK 由香港持牌銀行發出
 - ☐ payable to " Patrons Securities Limited " 支票抬頭「百惠證券有限公司」
 - ☐ cheque amount not less than 支票金額不低於: HK\$10,000
 - ☐ client name shown on cheque 客戶名稱須顯示於支票上
 - ☐ same client's signature on cheque and Account Opening Form 支票上之客戶簽名, 須與證券戶口開立表格上相同
 - ☐ cheque copy retained 保留支票副本
 - ☐ cheque cleared 支票須兌付