

Account No. 帳號: Related Account(s) 關連帳號:

第二戶口持有人個人資料表格 (聯名帳戶)

PERSONAL INFORMATION FORM FOR SECOND ACCOUNT HOLDER (JOINT ACCOUNT)

1. PERSONAL INFORMATION 個人資料 (Please tick appropriate box. 請在適當空格加 ✓)			
Joint Client 聯名客戶			
<input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Ms. 女士 <input type="checkbox"/> Mrs. 夫人	English Name*: 英文姓名:	Chinese Name*: 中文姓名:	
Residential Address 住宅地址*:		Postal Code 郵編:	
Tel. No. (Home) 電話號碼 (住宅):	Mobile Phone No. 手提電話號碼:	E-mail Address 電子郵件地址:	
Education 教育程度: <input type="checkbox"/> Primary or below 小學或以下 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Post-Secondary 大專或以上			
Employment 就業情況: <input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Unemployed 待業 <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Student 學生 <input type="checkbox"/> Housewife 家庭主婦 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Other 其他: _____			
Name of Employer of Joint Client 僱主名稱:		Present Position 現時職位:	
Tel. No. (Office) 電話號碼 (辦公室):	Fax No. 傳真機號碼:	Nature of Business 公司性質:	
Office Address 辦公室地址:			
2. FINANCIAL AND INVESTMENT EXPERIENCE 客戶財政狀況及投資經驗 (Please tick the appropriate box) (請在適當空格加 ✓)			
Investment Knowledge 投資知識:	<input type="checkbox"/> Excellent 精通 <input type="checkbox"/> Good 良好 <input type="checkbox"/> Fair 尚可 <input type="checkbox"/> Limited 有限 <input type="checkbox"/> None 無		
Investment Experience 投資經驗:	Stock 股票 <input type="checkbox"/> No 無經驗 <input type="checkbox"/> <1 yr 年 <input type="checkbox"/> 1-3 years 年 <input type="checkbox"/> 3-5 years 年 <input type="checkbox"/> >5 years 年		
	Option/Warrants 認股證/期權 <input type="checkbox"/> No 無經驗 <input type="checkbox"/> <1 yr 年 <input type="checkbox"/> 1-3 years 年 <input type="checkbox"/> 3-5 years 年 <input type="checkbox"/> >5 years 年		
	FX/Precious Metals 外幣/貴金屬 <input type="checkbox"/> No 無經驗 <input type="checkbox"/> <1 yr 年 <input type="checkbox"/> 1-3 years 年 <input type="checkbox"/> 3-5 years 年 <input type="checkbox"/> >5 years 年		
	Futures 期貨 <input type="checkbox"/> No 無經驗 <input type="checkbox"/> <1 yr 年 <input type="checkbox"/> 1-3 years 年 <input type="checkbox"/> 3-5 years 年 <input type="checkbox"/> >5 years 年		
	Other(s) _____, ___ Year(s) 其他 _____, ___ 年		
Investment Objective 投資目標:	<input type="checkbox"/> Capital Gain 資本收益 <input type="checkbox"/> Dividend Income 股息收入 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Arbitrage 套利 <input type="checkbox"/> Other 其他: _____		
Annual Income (HK\$) 全年收入(港幣):	<input type="checkbox"/> \$0-\$120,000 <input type="checkbox"/> \$120,001-\$360,000 <input type="checkbox"/> \$360,001-\$600,000 <input type="checkbox"/> \$600,001-\$1,200,000 <input type="checkbox"/> > \$1,200,000		
Net Liquid Assets (HK\$) 淨流動資產(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-\$8,000,000 <input type="checkbox"/> > \$8,000,000		
Source of fund 資金來源:	<input type="checkbox"/> Salary 工資 <input type="checkbox"/> Income Accumulation 收入累積 <input type="checkbox"/> Return of Investment 投資獲取的資本 <input type="checkbox"/> Retirement Fund/Reserves 退休基金/儲備金 <input type="checkbox"/> Commission/Business Income 佣金/營業收入 <input type="checkbox"/> Estates 遺產 <input type="checkbox"/> Sales of Property 物業銷售 <input type="checkbox"/> Others 其他: _____		
3. KNOWLEDGE OF DERIVATIVES 衍生產品的認識 (Please tick the appropriate box) (請在適當空格加 ✓)			
Have you ever attended any courses or seminars on structured or derivatives product(s)? 您曾否接受有關結構性或衍生產品的培訓或選修相關課程? <input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有			
Has any of your previous / current work experience been related to structured or derivative product(s)? 您以往/現時的工作經驗是否與結構性或衍生產品有關? <input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有			
Name of employer 僱主名稱:		Relevant employment period 在職日期:	

Do you ever have any trading experience in structured or derivative product(s)? 您曾否有買賣結構性或衍生產品的經驗?

Yes 有 No 沒有

Please state the structured or derivative product(s) you traded: 請提供您以往有買賣的結構性或衍生產品

Callable Bull/Bear Contracts (CBBC) 牛熊證 Exchange Traded Funds 交易所買賣基金 Others 其他: _____

Derivative Warrants 衍生認股證 Futures and Options 期貨或期權合約交易 Stock Options 股票期權

Equity Linked Instruments / Notes (ELI/ELN) 股票掛鈎產品 Rights 供股權 Exchange Traded Convertible Bonds 交易所買賣換股債券

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?

Yes 有 No 沒有

4. SELF CERTIFICATION OF TAX RESIDENCY (CRS-I) 稅務居民身份自我證明

This section is to declare your "tax residency" under the Common Reporting Standard ("CRS"). For joint or multiple account holders, complete a separate form for each individual account holder. All parts of the form must be completed. We are required to report the information in fields/parts marked with an asterisk (*) to the Inland Revenue Department. If you have any questions on how to define your tax residency status, please visit the OECD website at www.oecd.org/tax/automatic-exchange/ or speak to your tax advisor as we are not allowed to give tax advice. 本部份是根據《共同匯報標準》(「CRS」)申報閣下的稅務居民身份。對於聯名賬戶或多人聯名賬戶，每名個人賬戶持有人須分別填寫一份表格。必須填寫這份表格所有部分，標有符號(*)的項目為本公司須向稅務局申報的資料。如您對判定您的稅務居民身份有任何疑問，請瀏覽經合組織網站 www.oecd.org/tax/automatic-exchange/ 或諮詢您的稅務顧問。請恕本公司不能提供稅務意見。

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。

This column must be completed 此欄必須填寫	"TIN" 稅務編號	Reason A 理由 A	Reason B 理由 B	Reason C 理由 C
Jurisdiction of Residence 居留司法管轄區 (For tax reporting purpose) (即報稅地區)	Please fill in TIN, if you do not have one, please choose ONE among the right hand side reasons 請閣下必須填寫稅務編號，如沒有稅務編號，請於右列理由 A,B,C 中選擇一項 (If you are a tax resident of Hong Kong or Mainland China, the TIN is the Identity Card Number 如客戶為香港或國內稅務居民，稅務編號為其身分證號碼)	(The Government does not issue TINs to its residents) (當地政府根本沒有稅務編號)	(Unable to obtain a TIN, please explain below) (本人不能取得稅務編號，理由如下)	(The Government does not require the TIN to be disclosed) (本人獲當地政府豁免披露稅務編號)
(1)				
(2)				

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the Company 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 Company 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).

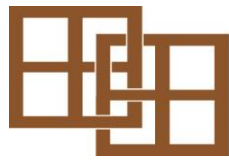
本人知悉及同意，貴公司可根據《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文，(a) 收集本表格所載資料並可備存作自動交換財務帳戶資料用途；及 (b) 把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。

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

I undertake to provide the Company with a suitably updated self-certification form within 30 days of any change in circumstances which affects the information contained herein to become incorrect.

本人承諾，如情況有所改變，以致影響本表格所載的資料不正確，本人會在情況發生改變後 30 日內，向貴公司提交一份已適當更新的自我證明表格。



5. OTHER DISCLOSURES 其他資料披露(Please tick the appropriate box. 請在適當空格加 ✓)
Are you the employee of a SFC's licensed or registered person? 您是否證監會持牌或註冊人的僱員? <input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是 (If yes, please specify 如是, 請說明: _____)
Are you or your relatives currently employed by our company? 閣下或親屬是否現受僱於本公司? <input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是 (If yes, please specify Name & Relationship 如是, 請註明姓名及關係: _____)
Is your spouse currently maintaining an account with our company? 閣下的配偶是否於本公司設有帳戶? <input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是 (If yes, please specify 如有, 請註明帳號: _____)
Are you, either alone or with your spouse, in control of 35% or more of the issued shares of any corporate client of AMC Wanhai Securities Limited ("AMC Wanhai")? 閣下是否個人或與閣下的配偶共同控制任何萬海證券有限公司("萬海證券")的公司客戶 35% 或以上的股權? <input type="checkbox"/> No 沒有 <input type="checkbox"/> Yes 有 (If yes, please specify 如有, 請說明: _____ Relationship 關係: _____)
Are you related to the senior management or director or management shareholder or controlling shareholders of any listed company whose shares are traded on any exchange including Hong Kong? 閣下是否與任何地方交易所包括香港的任何上市公司的高級管理層或董事或管理層股東存在任何關連? <input type="checkbox"/> No 沒有 <input type="checkbox"/> Yes 有 (If yes, please specify 如有, 請說明: _____)
6. PRIVACY POLICY 私隱政策
I/We agree(s)/ disagree(s)* AMC Wanhai could use his/her personal data in providing information about investment or financial related products and services including research reports and special offers in direct marketing. 本人/我們 同意/ 不同意* 萬海證券使用其個人資料提供投資或有關財務產品及服務的資料, 包括研究報告及特別優惠等直接促銷。 *(Delete as appropriate) 請將不適用者刪除
7. DECLARATION BY CLIENTS 客戶聲明
I/We hereby declare that the information as set out in the above Account Opening Form (Individual/Joint Account) is true, complete and accurate and can be relied upon by AMC Wanhai in the satisfaction of AMC Wanhai's obligations. I/We undertake to notify AMC Wanhai promptly in writing in case of any change of information. 本人/吾等謹此聲明以上開戶申請表格(個人/聯名帳戶)中資料真實、完整及正確無誤。萬海證券可依此資料履行其義務。凡上述資料如有任何更改, 本人/吾等承諾儘快書面通知萬海證券。 I/We hereby acknowledge and confirm that: 本人/吾等謹此承諾並確認: <ul style="list-style-type: none">● I/We have received, read and understood the Client Agreement, which include but not limited to the Personal Information Collection under Hong Kong Investor Identification Regime and Over-the-counter Securities Transaction Reporting Regime, Client Money Standing Authority, and Additional Terms for China Connect Trading Services, and I/we accept and agree to be bound by them; 本人/吾等已收到、閱讀並明白客戶協議書, 當中包括但不限於投資者識別碼制度及場外證券匯報制度、客戶款項常設授權及中華通交易服務("中華通")之附加條款, 而本人/吾等接受並同意受該等條款約束;● The risk disclosure statements were provided to me/us in a language of my/our choice (English or Chinese); 本人/吾等已獲以本人/吾等選擇語言(英文或中文)所撰寫的風險披露聲明;● I/We was/were invited to read the risk disclosure statements, and to ask questions and take independent advice if I/we so wished; and 本人/吾等已獲邀參閱風險披露聲明, 並獲邀按意願提出問題及徵求獨立意見; 及● I/We have read the Privacy Policy and Personal Information Collection Statement provided by AMC Wanhai, understand it and agree to its terms. 本人/吾等已參閱萬海證券給予客戶的私隱政策及個人資料收集聲明, 明白且同意其條款。 I/We hereby also confirm my/our request for opening the Account with AMC Wanhai. Before opening the Account, I/we have read and understood the contents of all the account opening documents including but not limited to those specified above ("All Those Terms"), in a language of my/our choice and I/we agree, accept and confirm all the provisions therein and agree to be bound by All Those Terms. 本人/吾等確認其證券帳戶是按本人/吾等的要求下開立。在開立該等帳戶前, 本人/吾等已按照本人/吾等所選擇的語言閱讀所有包括但不限於以上所述的開戶文件("該等條款")內的條款, 並明白, 接受及同意該等條款及內容。本人/吾等亦完全理解並同意履行所有該等條款並受其約束。 I/We have agreed to sign other additional documents, including but not limited to Risk Disclosure Statement and other relevant documents by electronic signature when opening the account or at other times. 本人/吾等已同意以電子簽名的方式在開立戶口時或其他時間去簽署其他額外文件, 包括但不限於風險披露聲明以及其他相關文件。 If I/We choose to use the Application Programming Interface ("API") provided by AMC Wanhai, it means that I/We confirm that I/We have understood and read the guidelines and related documents provided on the AMC Wanhai website and have a deep understanding of electronic trading. Besides, I/We confirm that I/We are aware of and fully understand the compliance and regulatory issues related to electronic trading. 如果本人/吾等選擇使用萬海證券提供的程序化交易的接口("API"), 則表明本人確認本人/吾等有留意並已閱讀在萬海證券網頁上提供的指引及相關文件, 並對程序化交易有做深入的了解, 以及本人/吾等確認本人有留意並充分了解跟程序化交易相關的合規及監管問題。

AMC Wanhai is further and hereby authorized to accept any fax and/or email message from me/us as the original instruction, and I/we shall fully indemnify AMC Wanhai from and against all losses, damages, interest, costs, expenses, actions, demands, claims, proceedings whatsoever which may incur, suffer or sustain as a result of or arising from the exercise of that instruction. I/we hereby waive any liabilities for AMC Wanhai that may arise from these authorizations.

本人/吾等特此授權萬海證券可通過傳真及/或電子郵件收取其交易指示通知。本人/吾等將完全承擔賠償萬海證券因行使該指示而產生的所有損失、損害、利息、費用、開支、行動、要求、索賠、任何訴訟。本人/吾等特此免除萬海證券所有由該等授權可能產生的任何責任。

The Joint Account Clients ("Such Person") have authorized AMC Wanhai to accept the instructions of any one or all of Such Person. Such Person shall have the authority to handle the operation of the Account and exercise all rights, powers and discretion pursuant to All Those Terms on behalf of any of the Joint Account Clients. AMC Wanhai shall not be required to give notice to or obtain authorization from any one or all the Joint Account Clients in respect of such instructions. Any act, instructions, directions and/or authorization of any Such Person shall be binding on the other Joint Account Clients.

聯名帳戶 ("聯名人") 已授權萬海證券接受任何一位或所有聯名人的指示。該聯名人有權代表任何聯名帳戶內人士處理帳戶的運作, 並根據該等條款內的所有聯名人行使權利、權力和酌情權。萬海證券不須就該等指示向任何一位或所有聯名人發出通知或獲得授權。聯名人的任何行為、指示、指示及/或授權, 均對其它聯名帳戶人具有約束力。

I/We acknowledge that I/We should visit the company website from time to time to obtain the latest Agreement and read the terms thereof. Such amendment, deletion, substitution or addition shall be deemed as effective and incorporated herein (and shall form part of the Agreement) on the date of publication of such amendment notice. I/We understand that I/We may raise written objection within seven (7) days after the publication of such amendment notice at the company website. Failing which, it shall be deemed an acceptance of such amendment, deletion, substitution or addition.

本人/吾等明白及同意萬海證券有絕對權利修訂、刪除或替代本協議 (包括但不限於 "費用及收費" 的條款) 內的任何條款或增加新條款。本人/吾等應不時登入公司網站以獲得最新之本協議並細閱其條款。該等修訂、刪除替代或增加的條款將於修訂通知刊載當日生效及納入本協議內 (並構成本協議的一部分)。本人/吾等可於修訂通知在公司網站上刊載當日後七 (7) 日內提出書面反對, 否則將被視為接受該等修訂、刪除、替代或增加的條款。

AMC Wanhai is further and hereby authorized at any time to contact any person or persons, including my/our banks, brokers, advisers or any credit agency, for or relating to the purpose of verifying the information provided by me in this Account Opening Form.

本人/吾等現授權萬海證券在任何時間接觸任何人包括本人/吾等往來銀行, 經紀, 顧問或任何信貸機構, 以核實開戶申請表格中所提供有關資料。

In the event that there is any inconsistency between the English version and the Chinese version of All Those Terms, the English version shall prevail.

如果該等條款在英文版和中文版之間出現任何不一致的字句, 則以英文版為準。

I, named below, certify that I have met and identified each of the person(s) who executed this Form before me, and reviewed the original of his/their HKID card(s) or passport(s).

本人(姓名如下)核證, 本表格簽署人在本人見證下簽署此文件。本人已核對其香港身份證或護照正本屬真實有效。

Signature(s) of client(s) 客戶簽署

Name 姓名: _____

Date 日期: _____

Signature of witness 見證人簽署*

Name 姓名: _____

Date 日期: _____

*(Must be completed where the Client Declaration is not signed before a staff member of AMC WANHAI)

(如該上述之客戶聲明並非在萬海證券職員面前簽署, 須填寫此欄)

Witness profession 見證人職業	
Relevant license number 有關牌照編號	

To be certified by a person licensed or registered with Hong Kong SFC or an affiliate of a licensed or registered person, a Justice of the Peace, or a professional person (such as a branch manager of a bank, certified public accountant, lawyer or notary public).

由香港證監會發牌或註冊之人士或其聯繫人士、太平紳士或專業人士(例如銀行分行經理、執業會計師、律師或公證人)核證。

8. DECLARATION BY AMC WANHAI STAFF 內部職員聲明			
<p>I, named below, a staff member of AMC WANHAI Securities Limited, hereby declare that I: 本人（姓名如下），萬海證券員工，僅此聲明，本人：</p> <p>(i) Provided to the above-named Client the risk disclosure statements in a language of the Client's choice (English or Chinese); 已向以上客戶提供以其選擇語言（英文或中文）所撰寫的風險披露聲明；</p> <p>(ii) Invited the Client to read the risk disclosure statement, ask questions and take independent advice if the Client so wishes; 已邀請客戶參閱風險披露聲明，並邀請客戶按意願提出問題及徵求獨立意見；</p> <p>(iii) Fully explained the contents of risk disclosure statement to the Client in a language which the Clients understands. 已用該客戶明白的語言，向其完整解釋本風險披露聲明的內容。</p>			
Staff Name 員工姓名:	CE Number of Licensed Person 持牌人之中央編號:	Signature of Staff 員工簽署:	Date 日期:
CHECK LIST			
<input type="checkbox"/> 帳戶持有人的身份證或護照簽名驗證複印本 <input type="checkbox"/> 最近 3 個月的銀行結單或公共服務單據的住址證明 <input type="checkbox"/> W8-BEN / W-9		<input type="checkbox"/> Certified true copy of your ID card / Passport <input type="checkbox"/> A bank Statement / Utility bill within past 3 months as proof <input type="checkbox"/> W8-BEN / W-9	