

Account no. :  
AE Code :



**金聯證券有限公司**  
Goldlink Securities Limited

證監會編號 SFC CE No. BHH779  
香港聯合交易所有限公司參與者  
Participant of The Stock Exchange of Hong Kong Ltd  
香港灣仔告士打道 56 號東亞銀行香港中心 28 樓  
28/F, Bank of East Asia Harbour View Centre  
56 Gloucester Road, Wanchai, Hong Kong  
電話 Tel : (852) 2995 9788 傳真 Fax : (852) 2995 9799  
網址 Website : www.glgsec.com

**個人 / 聯名證券開戶表格**  
**(Individual / Joint Securities Account Opening Form)**

**1. 帳戶類別 Account Type**

客戶身份 Client Entity	<input type="checkbox"/> 個人帳戶 Individual Account	<input type="checkbox"/> 聯名帳戶 Joint Account	<input type="checkbox"/> 電子交易 Electronics Trading <input type="checkbox"/> 即時報價服務 Real Time Quote\$
<input type="checkbox"/> 現金帳戶 Cash Account	<input type="checkbox"/> 保證金帳戶 Margin Account		
需否開通港股以外的其他證券交易 Require trading in non-Hong Kong securities? 請述明 Please specify : <input type="checkbox"/> 滬港通 Shanghai-Hong Kong Stock Connect <input type="checkbox"/> 深港通 Shenzhen-Hong Kong Stock Connect <input type="checkbox"/> 美國股票 US shares (只限現金帳戶 For cash account only)			

**2 (1). 客戶資料 Client Information**

姓名：先生/女士 (*請刪去不適用者) Name : Mr./Ms. (*Please delete if not applicable)		中文： _____ 英文： _____	
身份證/護照號碼 ID Card No./Passport No. :	國籍 Nationality :	性別 Gender :	出生日期 Date of Birth : _____年 yy ___月 mm ___日 dd
住址 Residential address : _____ _____			
<input type="checkbox"/> 自置物業 Self-owned <input type="checkbox"/> 按揭物業 Mortgaged <input type="checkbox"/> 租用物業 Rented <input type="checkbox"/> 與家人同住 Living with family <input type="checkbox"/> 其他 Others _____			
戶口結單收取方式 (請選擇一項) Method of account statement collection (please tick one)	<input type="checkbox"/> 戶口日結單及月結單電郵至電郵地址 By email to the email address for both daily and monthly statement _____ <input type="checkbox"/> 戶口日結單及月結單郵寄至住址(繳交行政費用) By post to the residential address for both daily and monthly statement (administration fee is required)	語言選擇 Language Selection	<input type="checkbox"/> 繁體中文 Traditional Chinese <input type="checkbox"/> 簡體中文 Simplified Chinese <input type="checkbox"/> 英文 English
住宅電話 Home Telephone No. :		手提電話 Mobile No :	
銀行名稱 Bank Name (港幣 HKD):		銀行帳戶號碼 Bank Account No. :	
銀行名稱 Bank Name (人民幣 RMB):		銀行帳戶號碼 Bank Account No. :	
銀行名稱 Bank Name (美元 USD):		銀行帳戶號碼 Bank Account No. :	

**工作 Employment Status**

就業情況 Employment : <input type="checkbox"/> 受僱 Employed <input type="checkbox"/> 自僱 Self-employed <input type="checkbox"/> 待業 In between job <input type="checkbox"/> 退休 Retired <input type="checkbox"/> 家庭主婦 Housewife <input type="checkbox"/> 學生 Student		
任職公司名稱 Name of Employer :		
公司地址 Office Address :		
職位 Position :	服務年期 Years of Service :	公司電話 Office Telephone No. :
每年收入 Annual Income (港幣 HKD) : <input type="checkbox"/> < 200,000 <input type="checkbox"/> 200,000-500,000 <input type="checkbox"/> 500,001-1,000,000 <input type="checkbox"/> 1,000,000 >		

## 財務狀況 Financial Status

流動資產值 Total net value of asset (港幣 HKD) : <input type="checkbox"/> < 500,000 <input type="checkbox"/> 500,001-1,500,000 <input type="checkbox"/> 1,501,001-5,000,000 <input type="checkbox"/> 5,000,001 >
財富來源 Source of wealth : <input type="checkbox"/> 薪金 Salary <input type="checkbox"/> 儲蓄 Saving <input type="checkbox"/> 遺產或禮物 Inheritance or gift <input type="checkbox"/> 投資 Investment <input type="checkbox"/> 其他 Others (請說明 Please specify) _____
資金來源 Source of funds : <input type="checkbox"/> 香港 Hong Kong <input type="checkbox"/> 中國 Mainland China <input type="checkbox"/> 美國 United States <input type="checkbox"/> 加拿大 Canada <input type="checkbox"/> 其他 Others (請說明 Please specify) _____

## 2 (2). 客戶資料(適用於聯名帳戶) Client Information (For Joint Account only)

姓名：先生/女士 (*請刪去不適用者) Name : Mr./Ms. (*Please delete if not applicable)	中文： _____ 英文： _____		
身份證/護照號碼 ID Card No./Passport No. :	國籍 Nationality :	性別 Gender :	出生日期 Date of Birth : _____年 yy__月 mm__日 dd
住址 Residential address : _____ _____			
<input type="checkbox"/> 自置物業 Self-owned <input type="checkbox"/> 按揭物業 Mortgaged <input type="checkbox"/> 租用物業 Rented <input type="checkbox"/> 與家人同住 Living with family <input type="checkbox"/> 其他 Others _____			
住宅電話 Home Telephone No. :		手提電話 Mobile No :	

## 工作 Employment Status

就業情況 Employment : <input type="checkbox"/> 受僱 Employed <input type="checkbox"/> 自僱 Self-employed <input type="checkbox"/> 待業 In between job <input type="checkbox"/> 退休 Retired <input type="checkbox"/> 家庭主婦 Housewife <input type="checkbox"/> 學生 Student			
任職公司名稱 Name of Employer :			
公司地址 Office Address :			
職位 Position :	服務年期 Years of Service :	公司電話 Office Telephone No. :	
每年收入 Annual Income (港幣 HKD) : <input type="checkbox"/> < 200,000 <input type="checkbox"/> 200,000-500,000 <input type="checkbox"/> 500,001-1,000,000 <input type="checkbox"/> 1,000,000 >			

## 財務狀況 Financial Status

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財富來源 Source of wealth : <input type="checkbox"/> 薪金 Salary <input type="checkbox"/> 儲蓄 Saving <input type="checkbox"/> 遺產或禮物 Inheritance or gift <input type="checkbox"/> 投資 Investment <input type="checkbox"/> 其他 Others (請說明 Please specify) _____
資金來源 Source of funds : <input type="checkbox"/> 香港 Hong Kong <input type="checkbox"/> 中國 Mainland China <input type="checkbox"/> 美國 United States <input type="checkbox"/> 加拿大 Canada <input type="checkbox"/> 其他 Others (請說明 Please specify) _____

## 3. 投資經驗及知識 Investment Experience and Knowledge

投資經驗 Investment experiences : <input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 證券 Stocks <input type="checkbox"/> 認股權證 Warrants <input type="checkbox"/> 期權 Options <input type="checkbox"/> 期貨 Futures <input type="checkbox"/> 其他衍生工具 Others derivatives	
投資目的 Investment objectives : <input type="checkbox"/> 對沖 Hedging <input type="checkbox"/> 資本增長 Capital gain <input type="checkbox"/> 股息收入 Dividend income <input type="checkbox"/> 投機 Speculation <input type="checkbox"/> 其他 Others _____	
客戶有沒有關於結構性產品 (包括衍生工具) 的性質及風險的一般知識? Do client has general knowledge of the nature and risks of structured products (including derivatives)?	<input type="checkbox"/> 有 Yes <input type="checkbox"/> 沒有 No
客戶有沒有參加過關於結構性產品 (包括衍生工具) 的培訓或課程? Has the client ever undergone training or attended courses on structured products (including derivatives)?	<input type="checkbox"/> 有 Yes <input type="checkbox"/> 沒有 No
客戶有沒有進行過至少 5 宗關於任何結構性產品 (包括衍生工具) 的交易? Has the client traded at least 5 transactions in any structured products (including derivatives)?	<input type="checkbox"/> 有 Yes <input type="checkbox"/> 沒有 No
客戶明白可要求公司提供衍生產品的特性文件。客戶對衍生產品買賣交易的投資意向? Client understand that client may request Goldlink to provide documents showing the nature of the derivatives products. Investment intentions towards derivatives of client :	<input type="checkbox"/> 有 Yes <input type="checkbox"/> 沒有 No
預期每日交易量 Expected daily transaction volumes (港幣 HKD) : <input type="checkbox"/> < 50,000 <input type="checkbox"/> 50,001-500,000 <input type="checkbox"/> 500,001-1,000,000 <input type="checkbox"/> 1,000,001 >	

#### 4. 最終實益擁有人的身份 Identity of ultimate beneficial owner

<input type="checkbox"/> 客戶 Client	<input type="checkbox"/> 其他 Others (請說明 Please specify) _____ 姓名 Name : _____ 國籍 Nationality : _____ 地址 Address : _____
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#### 5. 最終負責發出指示的人士的身份 Identity of person(s) ultimately responsible for giving instructions (若與最終實益擁有人相同，則不適用 Not applicable if it is same as the ultimate beneficial owner)

姓名 Name	身份證 ID Card No.	國籍 Nationality	地址 Address
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#### 6. 關連帳戶 Related Account

客戶是否證券及期貨事務監察委員會的持牌或註冊人士，或任何持牌或註冊人士之董事或職員？ Is the Client a director or an employee or any licensed or registered person of the Securities and Futures Commission?	<input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes 持牌或註冊人士名稱 Name of Licensed or Registered Person _____
客戶作為帳戶最終實益擁有人及/或此帳戶進行交易的最終發出指示人與金聯或附屬公司之董事或職員是否有親屬關係？ Does the Client, the ultimate beneficial owner and/or person ultimately responsible for giving instructions for the Account have any relationship with the director(s) or employee(s) of Goldlink or any of its subsidiaries (the 'Company')?	<input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes, 名稱 Name _____ 董事或職員名稱 Name of the director or employee _____
	關係 <input type="checkbox"/> 丈夫/妻子 <input type="checkbox"/> 父母/子女 <input type="checkbox"/> 其他：_____

#### 7. 獲授權人(如適用) Authorized Person (if applicable)

客戶持有之所有帳戶可根據以下獲授權人士之指示運作。客戶茲聲明對由獲授權人士或聲稱為獲授權人士所發出之任何指示(包括但不限於口頭指示或書面指示)承擔全部責任。All account(s) maintained by the client can be operated on the instructions of the Authorized Person. The Client hereby declare that the Client shall be fully responsible for any instructions given or purported to be given by the Authorized Person (including but not limiting to the verbal instructions or written instructions).		
獲授權人姓名 Name of Authorised Person :	身份證/護照號碼 ID Card No. / Passport No. :	獲授權人簽署 Signed by Authorised Person:
獲授權人與客戶關係 Relationship between Authorised Person and client :	獲授權原因 Reasons of authorization :	客戶簽署 Signed by Client:
獲授權人聯絡電話 Contact number of Authorised Person :		

#### 8. 關連保證金帳戶(保證金帳戶適用) Related Margin account (Margin Securities account only)


客戶的配偶是否持有金聯證券的保證金帳戶？ Does the spouse of the Client have a margin account with Goldlink Securities (the 'Company')?	<input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes 配偶名稱/帳戶號碼 Name of spouse / Account no. _____
客戶是否單獨或與客戶配偶共同控制任何金聯證券保證金帳戶 35%或以上投票權？ Does the Client, either alone or with his/her spouse, is/are not in control of 35% or more of the voting rights of another margin client of Goldlink Securities (the 'Company')?	<input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes 配偶名稱/帳戶號碼 Name of spouse / Account no. _____
	公司名稱 Name of company _____

#### 9. 確認及承認 Confirmations and acknowledgements

本人/吾等確認此開戶表格資料全部屬實、完整及正確。本人/吾等承諾如果該等資料有任何重要的變更會通知公司。除非公司接到更改有關內容的書面通知，否則公司有權在任何用途上完全依賴這些資料及聲明。本人/吾等已閱讀和同意公司客戶協議的條款和條件及證券收費表並同意按公司不時修訂之規定繳交不作另行通知。

I/We confirm that the information provided in this Application Form is true, correct and complete. I/We undertake to notify the Company in the event of any material change to such information. The Company is entitled to rely fully on such information and representations for all purposes, unless the Company received notice in writing of any change. I/We hereby confirm that I/we have read and agree to be bound by the terms and conditions of the agreement, and agree the Securities Services Charges and that charges are subject to amendment by the Company from time to time without prior notice.

- 本人/吾等確認本人/吾等已根據「常設授權」條款和條件授權公司處理帳戶內的款項、證券及證券抵押品。  
I/We confirm that I/we have authorized the Company to deal with monies, securities and securities collateral in accordance with the terms and conditions of the 'Standing authority'.
- 本人/吾等確認本人/吾等透過金聯網站取覽登載的交易文件，本人/吾等確認、明白及接受金聯的安排。  
I/We confirm that I/we have confirm, understand and accept the arrangements by the Company in order to obtain access service via online trading platform from the Company.
- 本人/吾等確定已按照本人/吾等的語言獲提供風險披露聲明(包括進行中華通證券交易)及獲邀請閱讀該風險披露聲明、提出問題及徵求獨立的意見(如本人/吾等有此意願)。  
I/We confirm that the risk disclosure statement was provided in a language of my/our choice (English or Chinese); and I/we was/were invited to read the risk disclosure statement (including trading of China Stock Connect), to ask questions and take independent advice if I/we wish.
- 本人/吾等反對公司可向其他人士提供本人/吾等的個人資料，以供他們在直接行銷中使用，而不論該等人士是否公司集團成員。  
I/We object to the proposed use of my/our personal data by any member of Goldlink Securities and any third parties in direct marketing.
- 本人/吾等反對公司可向其他人士提供本人/吾等的個人資料，以供他們在直接行銷中使用。  
I/We object to the proposed use of my/our personal data by any third parties in direct marketing.
- 本人/吾等聲明本人/吾等並非「外國帳戶稅法合規法案」下所定義的美國個人。  
I/We declare that I/we am/are not a United States individual for Foreign Account Tax Compliance Act purposes.
- 本人/吾等附上本人的香港身份證/護照的核證副本。  
I/We have attached a certified copy of my/our Hong Kong identity card/passport.
- 本人/吾等附上本人不超過三個月的住宅地址的核證副本。  
I/We have attached a certified copy of no more than three months old of my/our residential address.

客戶姓名 Client's name  客戶簽署/日期 Client's signature/Date	聯名客戶姓名 Joint Client's name  聯名客戶簽署/日期 Joint Client's signature/Date	經由金聯證券有限公司確認及接受 Acknowledged and accepted by    授權人簽署 Authorised Signature
持牌人聲明 Declaration by licensed person : 本人已按照客戶的語言提供風險披露聲明及邀請客戶閱讀該風險披露聲明、提出問題及徵求獨立的意見(如客戶有此意願)。 I have provided the risk disclosure statements to the client in a language of his/their choice (English or Chinese); and invited the clients to read the risk disclosure statement, ask questions and take independent advice if the clients wish.	見證人姓名及簽署 Witness's name and signature  見證人地址 Witness's address  日期 Date	
持牌人姓名及中央編號 Name and CE No.  簽署/日期 Signature /Date		

For official use only			
<b>Document check list</b> <input type="checkbox"/> Certified ID card/passport copy <input type="checkbox"/> Certified ID card/passport copy of authorized persons(if applicable) <input type="checkbox"/> Address proof <input type="checkbox"/> Address proof of authorized persons (if applicable) <input type="checkbox"/> W8BEN/W9 <input type="checkbox"/> Employer consent letter(if applicable)	<b>Applicable to non face-to-face account opening procedure</b> <input type="checkbox"/> Issued from a licensed bank in Hong Kong <input type="checkbox"/> Payable to 'Goldlink Securities Limited' <input type="checkbox"/> Client name shown on cheque <input type="checkbox"/> Cheque amount not less than HKD10,000 <input type="checkbox"/> Same signature on cheque and account opening form <input type="checkbox"/> Cheque copy retained / cheque cleared	Client Risk Category	<input type="checkbox"/> Normal <input type="checkbox"/> Medium <input type="checkbox"/> High
		Limit / Commission	
		Maker / Date	
		Checker / Date	
		Approved by / Date	

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