

Southwest Securities (HK) Brokerage Limited (SFC CE No. ACB501)  
 西证(香港)证券经纪有限公司 (证监会中央编号: ACB501)  
 Southwest Securities (HK) Futures Limited (SFC CE No. AAZ149)  
 西证(香港)期货有限公司 (证监会中央编号: AAZ149)  
 40/F., Lee Garden One, 33 Hysan Avenue,  
 Causeway Bay, Hong Kong  
 香港铜锣湾希慎道 33 号利园一期 40 楼

<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.  
 此表格须与客户协议内的条款及条件一并阅读。

Please tick the appropriate box 请在适当空格加 <input checked="" type="checkbox"/> *Please delete whichever is inapplicable 请删去不适用者	Account Opening Date 开户日期	(fill in by Company 由公司填写)
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**Account Type 账户类别**

<input type="checkbox"/> Individual Account 个人账户	<input type="checkbox"/> Joint Account 联名账户	Relationship with Primary Account Holder 与账户第一持有人的关系: _____
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**Southwest Securities (HK) Brokerage Limited 西证(香港)证券经纪有限公司**

<b>Account Type 账户类别</b>	<input type="checkbox"/> Cash Securities Account 证券现金账户	<input type="checkbox"/> Margin Securities Account 证券保证金账户
	<input type="checkbox"/> Stock Options Account 股票期权账户	
<b>Other Securities Markets Trading Services 其他证券市场交易服务</b>	<input type="checkbox"/> Shanghai and Shenzhen Stock Connect 沪深港通	
	<input type="checkbox"/> U.S. Stock 美股 (please sign Form W-8BEN 请签署 W-8BEN 表格)	

**Southwest Securities (HK) Futures Limited 西证(香港)期货有限公司**

<b>Account Type 账户类别</b>	<input type="checkbox"/> HK Futures & Index Option Account 香港期货及指数期权账户
	<input type="checkbox"/> Oversea Futures Account 海外期货账户

<b>Electronic Trading Services 电子交易服务</b>	<input type="checkbox"/> Required 需要	<input type="checkbox"/> Not Required 不需要
<b>Way of Receiving OTP 收取「一次性验证码」方式 (please choose one only 请选取其中一种)</b>	<input type="checkbox"/> SMS 短讯 _____	<input type="checkbox"/> E-mail 电邮 _____

**Personal Information 个人资料**
**Individual / Primary Joint A/C Holder's Personal Data 个人 / 联名账户第一持有人之个人资料**

1 Name of Client 客户名称

(English 英文 Surname first 先写姓氏)

(Chinese 中文)

2 Gender 性别 Marital Status 婚姻状况

男  Single 未婚  Married 已婚

女  Divorced 离婚  Widowed 鳏寡

3 Residential Address (P.O. Box not accepted) 住宅地址 (不接受邮政信箱)

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Nature of Occupancy 住宅类别

Owned (No Mortgage) 自置 (无按揭)

With Parents 与父母同住

Relative's 亲属楼宇

Mortgaged / Monthly Installment 按揭/每月供款  
 HK\$ \_\_\_\_\_

Rented / Monthly Rental 租用/每月租金  
 HK\$ \_\_\_\_\_

Quarters 宿舍

**Secondary Joint A/C Holder's Personal Data 联名账户第二持有人之个人资料**

Name of Client 客户名称

(English 英文 Surname first 先写姓氏)

(Chinese 中文)

Gender 性别 Marital Status 婚姻状况

男  Single 未婚  Married 已婚

女  Divorced 离婚  Widowed 鳏寡

Residential Address (P.O. Box not accepted) 住宅地址 (不接受邮政信箱)

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Nature of Occupancy 住宅类别

Owned (No Mortgage) 自置 (无按揭)

With Parents 与父母同住

Relative's 亲属楼宇

Mortgaged / Monthly Installment 按揭/每月供款  
 HK\$ \_\_\_\_\_

Rented / Monthly Rental 租用/每月租金  
 HK\$ \_\_\_\_\_

Quarters 宿舍

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

通讯地址 (不接受邮政信箱)

(if different from above 如与上址不同)

Form for correspondence address with three empty lines.

Correspondence Address (P.O. Box not accepted)

通讯地址 (不接受邮政信箱)

(if different from above 如与上址不同)

Form for correspondence address with three empty lines.

5 E-mail Address 电邮地址

Form for email address.

E-mail Address 电邮地址

Form for email address.

6 ID Card No/Passport No

身份证/护照号码

Form for ID card/passport number.

Place of Issue

签发地区

Form for place of issue.

ID Card No / Passport No

身份证/护照号码

Form for ID card/passport number.

Place of Issue

签发地区

Form for place of issue.

7 Place of Birth

出生地区

Form for place of birth.

Nationality

国籍

Form for nationality.

Place of Birth

出生地区

Form for place of birth.

Nationality

国籍

Form for nationality.

8 Date of Birth

出生日期

(DD/MM/YYYY) (日/月/年)

Form for date of birth.

Date of Birth

出生日期

(DD/MM/YYYY) (日/月/年)

Form for date of birth.

9 Home Telephone No.

住宅电话

( )

Form for home telephone number.

Home Telephone No.

住宅电话

( )

Form for home telephone number.

10 Mobile Phone No.

流动电话

( )

Form for mobile phone number.

Mobile Phone No.

流动电话

( )

Form for mobile phone number.

11 Education Level 学历程度

- Primary School 小学, Secondary School 中学, University or above 大学或以上

Education Level 学历程度

- Primary School 小学, Secondary School 中学, University or above 大学或以上

Business / Employment Status 业务/工作状况

1 Employment Status 就业情况

- Self-employed 自雇, Full-time employed 全职, Part-time employed 兼职, Retired 退休, Others (Please Specify) 其他 (请说明):

Employment Status 就业情况

- Self-employed 自雇, Full-time employed 全职, Part-time employed 兼职, Retired 退休, Others (Please Specify) 其他 (请说明):

2 Name of Employer

受雇/自雇机构名称

Form for name of employer.

Name of Employer

受雇/自雇机构名称

Form for name of employer.

3 Nature or Business 业务性质

- Business Services 商业服务, Engineering 工程, Communication 通讯业, Finance 金融业, Construction 建筑业, Gambling 博彩业, Entertainment 娱乐行业, Insurance 保险业, Healthcare/Beauty 医护/美容, Hotels 酒店业, Manufacturing 制造业, Legal 法律服务, Money Exchange 货币兑换, Logistics 物流业, Real Estate 房地产, Retail 零售业, Tourism 旅游业, Restaurants 餐饮业, Trading 贸易, Transportation 运输业, Others (Please Specify) 其他 (请说明):

Nature or Business 业务性质

- Business Services 商业服务, Engineering 工程, Communication 通讯业, Finance 金融业, Construction 建筑业, Gambling 博彩业, Entertainment 娱乐行业, Insurance 保险业, Healthcare/Beauty 医护/美容, Hotels 酒店业, Manufacturing 制造业, Legal 法律服务, Money Exchange 货币兑换, Logistics 物流业, Real Estate 房地产, Retail 零售业, Tourism 旅游业, Restaurants 餐饮业, Trading 贸易, Transportation 运输业, Others (Please Specify) 其他 (请说明):

4 Occupation /Position

职业/职位

Form for occupation/position.

Occupation /Position

职业/职位

Form for occupation/position.

5 Years in Occupation

从业年期

Form for years in occupation.

Years in Occupation

从业年期

Form for years in occupation.

6 Office Phone No.

公司电话

Form for office phone number.

Office Phone No.

公司电话

Form for office phone number.

7 Business Address 商业地址

Form for business address.

Business Address 商业地址

Form for business address.

## Financial Status 财政状况

1	Estimated Annual Income (HK\$) 估计每年收入 (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\$) 估计每年收入 (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\$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) 收入来源 (可选择一项或多项) <input type="checkbox"/> Salary and/or bonus 薪金及/或花红 <input type="checkbox"/> Saving 储蓄 <input type="checkbox"/> Pension 养老金 <input type="checkbox"/> Rental Income 租金收入 <input type="checkbox"/> Investment Income 投资获利 <input type="checkbox"/> Dividend 股息 <input type="checkbox"/> Others (Please specify) 其他 (请说明): _____	Source(s) of Income (may choose more than one option) 收入来源 (可选择一项或多项) <input type="checkbox"/> Salary and/or bonus 薪金及/或花红 <input type="checkbox"/> Saving 储蓄 <input type="checkbox"/> Pension 养老金 <input type="checkbox"/> Rental Income 租金收入 <input type="checkbox"/> Investment Income 投资获利 <input type="checkbox"/> Dividend 股息 <input type="checkbox"/> Others (Please specify) 其他 (请说明): _____
3	Approximate Total Net Worth (HK\$) 估计资产净值 (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\$) 估计资产净值 (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) 财富来源 (可选择一项或多项) <input type="checkbox"/> Previous positions 过往职务 <input type="checkbox"/> Family Estate 家族财产/ Inheritance 遗产继承 <input type="checkbox"/> Sale of property/Assets 出售物业/资产 <input type="checkbox"/> Sale of Investment 投资回报 <input type="checkbox"/> Retirement Funds 退休金 <input type="checkbox"/> Others (Please specify) 其他 (请说明): _____	Source(s) of Wealth (may choose more than one option) 财富来源 (可选择一项或多项) <input type="checkbox"/> Previous positions 过往职务 <input type="checkbox"/> Family Estate 家族财产/ Inheritance 遗产继承 <input type="checkbox"/> Sale of property/Assets 出售物业/资产 <input type="checkbox"/> Sale of Investment 投资回报 <input type="checkbox"/> Retirement Funds 退休金 <input type="checkbox"/> Others (Please specify) 其他 (请说明): _____

## Account Transaction Information 账户事务数据

1	Estimated Amount for Investment at Account Opening 开户时预计用作投资的金额 <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 预期每月帐户交易笔数 <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 投资经验及对产品认识

1	Investment Experience of Products (may choose more than one option) 产品投资经验 (可选择一项或多项) <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 中国 A 股 <input type="checkbox"/> HK Futures & Options 香港期货及期权 <input type="checkbox"/> Overseas Futures & Options 海外期货及期权 <input type="checkbox"/> Mutual Funds or Unit Trust 互惠基金或单位信托 <input type="checkbox"/> Bonds 债券 <input type="checkbox"/> Others (Please specify) 其他 (请说明): _____ <input type="checkbox"/> None 没有	Investment Experience of Products (may choose more than one option) 产品投资经验 (可选择一项或多项) <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 中国 A 股 <input type="checkbox"/> HK Futures & Options 香港期货及期权 <input type="checkbox"/> Overseas Futures & Options 海外期货及期权 <input type="checkbox"/> Mutual Funds or Unit Trust 互惠基金或单位信托 <input type="checkbox"/> Bonds 债券 <input type="checkbox"/> Others (Please specify) 其他 (请说明): _____ <input type="checkbox"/> None 没有
2	Years of Experience in Securities Investment 证券投资经验年期： <input type="checkbox"/> Nil 没有 <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 超过十年	Years of Experience in Securities Investment 证券投资经验年期： <input type="checkbox"/> Nil 没有 <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 超过十年

3	<p><b>Investment Objectives (may choose more than one option)</b>  <b>投资目标 (可选择一项或多项)</b></p> <p><input type="checkbox"/> Capital appreciation 资本增值</p> <p><input type="checkbox"/> Dividend 股息收益</p> <p><input type="checkbox"/> Hedging 对冲</p> <p><input type="checkbox"/> Long-term investment 长线投资</p> <p><input type="checkbox"/> Short-term trading 短线买卖</p> <p><input type="checkbox"/> Others (Please specify) 其他 (请说明): _____</p>	<p><b>Investment Objectives (may choose more than one option)</b>  <b>投资目标 (可选择一项或多项)</b></p> <p><input type="checkbox"/> Capital appreciation 资本增值</p> <p><input type="checkbox"/> Dividend 股息收益</p> <p><input type="checkbox"/> Hedging 对冲</p> <p><input type="checkbox"/> Long-term investment 长线投资</p> <p><input type="checkbox"/> Short-term trading 短线买卖</p> <p><input type="checkbox"/> Others (Please specify) 其他 (请说明): _____</p>
4	<p><b>Derivative Products Knowledge 对衍生产品的认识</b></p> <p>a) Has any of your previous trading experience ever been related to structured or derivative product(s)?          您以往曾否有买卖结构性或衍生产品的经验?</p> <p><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)          请提供有关的产品名称 (可选择一项或多项)</p> <p><input type="checkbox"/> Exchange Traded Convertible Bonds          交易所买卖换股债券</p> <p><input type="checkbox"/> Derivative Warrants 衍生认股证</p> <p><input type="checkbox"/> Callable Bull/Bear Contracts (CBBC) 牛熊证</p> <p><input type="checkbox"/> Exchange Traded Funds (ETF) 交易所买卖基金</p> <p><input type="checkbox"/> Rights 供股权</p> <p><input type="checkbox"/> Futures and Options 期货或期权合约交易</p> <p><input type="checkbox"/> Stock Options 股票期权</p> <p><input type="checkbox"/> Equity Linked Instruments / Notes (ELI/ELN)          股票挂钩产品</p> <p><input type="checkbox"/> Others 其他: _____</p> <p>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?          您是否曾在过去三年执行过五次或以上有关任何结构性或衍生产品的交易 (不论是否在交易所买卖) 的交易?</p> <p><input type="checkbox"/> No 否    <input type="checkbox"/> Yes 是</p> <p>c) Have you ever attended any trainings or courses on structured or derivative product(s)?          您曾否接受有关结构性或衍生产品的培训或修读相关课程?</p> <p><input type="checkbox"/> No 否    <input type="checkbox"/> Yes 是,          please state the name and date of the trainings / courses :          请提供培训或修读课程之名称及日期          _____</p> <p>d) Has any of your <b>current or previous</b> work experience been related to structured or derivative products(s)?          您<b>现时或以往</b>的工作经验是否与结构性或衍生产品有关?</p> <p><input type="checkbox"/> No 否  <input type="checkbox"/> Yes 是          please specify 请说明: _____</p>	<p><b>Derivative Products Knowledge 对衍生产品的认识</b></p> <p>a) Has any of your previous trading experience ever been related to structured or derivative product(s)?          您以往曾否有买卖结构性或衍生产品的经验?</p> <p><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)          请提供有关的产品名称 (可选择一项或多项)</p> <p><input type="checkbox"/> Exchange Traded Convertible Bonds          交易所买卖换股债券</p> <p><input type="checkbox"/> Derivative Warrants 衍生认股证</p> <p><input type="checkbox"/> Callable Bull/Bear Contracts (CBBC) 牛熊证</p> <p><input type="checkbox"/> Exchange Traded Funds (ETF) 交易所买卖基金</p> <p><input type="checkbox"/> Rights 供股权</p> <p><input type="checkbox"/> Futures and Options 期货或期权合约交易</p> <p><input type="checkbox"/> Stock Options 股票期权</p> <p><input type="checkbox"/> Equity Linked Instruments / Notes (ELI/ELN)          股票挂钩产品</p> <p><input type="checkbox"/> Others 其他: _____</p> <p>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?          您是否曾在过去三年执行过五次或以上有关任何结构性或衍生产品的交易 (不论是否在交易所买卖) 的交易?</p> <p><input type="checkbox"/> No 否    <input type="checkbox"/> Yes 是</p> <p>c) Have you ever attended any courses or seminars on structured or derivative product(s)?          您曾否接受有关结构性或衍生产品的培训或修读相关课程?</p> <p><input type="checkbox"/> No 否    <input type="checkbox"/> Yes 是,          please state the name and date of the trainings / courses :          请提供培训或修读课程之名称及日期          _____</p> <p>d) Has any of your <b>current or previous</b> work experience been related to structured or derivative products(s)?          您<b>现时或以往</b>的工作经验是否与结构性或衍生产品有关?</p> <p><input type="checkbox"/> No 否  <input type="checkbox"/> Yes 是          please specify 请说明: _____</p>
<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>  <b>如客户没有以上任何一项结构性及/或衍生工具产品的经验及认识, 客户将被视作没有结构性及/或衍生工具产品认识。在客户买卖结构性及/或衍生工具产品之前, 客户就此确认已阅读及理解包括于客户协议中有关在交易所买卖的衍生产品的风险披露声明, 并同意承担有关风险。</b></p>		

**Self-Certification of U.S. Resident / Citizen 美国居民/公民自我证明**

1	<p>(a) Are you a U.S. tax resident?          您是否为美国税务居民?</p> <p><input type="checkbox"/> No 否    <input type="checkbox"/> Yes 是</p>	<p>(a) Are you a U.S. tax resident?          您是否为美国税务居民?</p> <p><input type="checkbox"/> No 否    <input type="checkbox"/> Yes 是</p>	<p>(a) Are you a U.S. tax resident?          您是否为美国税务居民?</p> <p><input type="checkbox"/> No 否    <input type="checkbox"/> Yes 是</p>
<p>(b) Are you a U.S. citizen? (If you hold multiple citizenships, tick "Yes" if one of them is U.S.)          您是否为美国公民 (如您持有多个国籍身份而其一为美国国籍, 请回答"是")</p> <p><input type="checkbox"/> No 否    <input type="checkbox"/> Yes 是</p>	<p>(b) Are you a U.S. citizen? (If you hold multiple citizenships, tick "Yes" if one of them is U.S.)          您是否为美国公民 (如您持有多个国籍身份而其一为美国国籍, 请回答"是")</p> <p><input type="checkbox"/> No 否    <input type="checkbox"/> Yes 是</p>	<p>(b) Are you a U.S. citizen? (If you hold multiple citizenships, tick "Yes" if one of them is U.S.)          您是否为美国公民 (如您持有多个国籍身份而其一为美国国籍, 请回答"是")</p> <p><input type="checkbox"/> No 否    <input type="checkbox"/> Yes 是</p>	<p>(b) Are you a U.S. citizen? (If you hold multiple citizenships, tick "Yes" if one of them is U.S.)          您是否为美国公民 (如您持有多个国籍身份而其一为美国国籍, 请回答"是")</p> <p><input type="checkbox"/> No 否    <input type="checkbox"/> Yes 是</p>

## Self-Certification of Common Reporting Standard 共同汇报标准自我证明

- 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.  
 请提供以下数据，列明 (a) 账户持有人的居留司法管辖区，亦即账户持有人的税务管辖区（香港包括在内）及 (b) 该居留司法管辖区发给账户持有人的税务编号。请列出所有（不限于 5 个）居留司法管辖区。
- \*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:  
 \*如账户持有人是香港税务居民，税务编号是其香港身份证号码。如没有提供税务编号，请填写合适的理由：
- Reason A – The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.  
 理由 A – 账户持有人的居留司法管辖区并没有向其居民发出税务编号。
- 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 – 账户持有人不能取得税务编号。如选取这一理由，请解释账户持有人不能取得税务编号的原因。
- 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 – 账户持有人毋须提供税务编号。居留司法管辖区的主管机关不需要账户持有人披露税务编号。

### Individual /Primary Joint A/C Holder's Data 个人 / 联名账户第一持有人之资料

Jurisdiction of Residence 居留司法管辖区	TIN 税务编号	If a TIN is unavailable, please ✓ the appropriate reason* 若无法提供税务识别号码，请在适用的原因填上✓号*	Please explain why you are unable to obtain a TIN if you have selected Reason B 如选取理由 B，请解释账户持有人不能取得税务编号的原因
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 联名账户第二持有人之数据

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 有关可接受的税务编号的详细信息刊载于经济合作与发展组织的自动交换数据网站: <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)?  
 阁下是否为此账户的最终实益拥有人?  
 Yes 是  
 No, details of the ultimate beneficial owner(s) is/are (if more than one, please specify on an additional paper),  
 否，账户的最终实益拥有人是（如多于一位，请另纸说明）：
- |  |                              |  |  |                  |
|--|------------------------------|--|--|------------------|
| Name of ultimate beneficial owner<br>最终实益拥有人姓名 | ID/Passport No<br>身份证 / 护照号码 | Place of Birth 出生地区                        | Nationality<br>国籍                                | Occupation<br>职业 |
|  |                              | Date of Birth 出生日期<br>(DD/MM/YYYY) (日/月/年) |  |                  |
| Current Residential Address 现时住址               |                              | Contact No. 联络号码                           | Relationship with account holder(s)<br>与帐户持有人的关系 |                  |
- 2 Are you ultimately responsible for originating instructions for the Account(s)?  
 阁下是否为此帐户进行交易的最终负责发出指示人士?  
 Yes 是  
 No, detail of the person ultimately responsible for giving instructions is (if more than one, please specify on an additional paper),  
 否，帐户进行交易的最终负责发出指示人是（如多于一位，请另纸说明）：
- |  |                              |  |  |                  |
|--|------------------------------|--|--|------------------|
| Name of ultimate responsible for giving instructions<br>最终负责发出指示人士姓名 | ID/Passport No<br>身份证 / 护照号码 | Place of Birth 出生地区                        | Nationality<br>国籍                                | Occupation<br>职业 |
|  |                              | Date of Birth 出生日期<br>(DD/MM/YYYY) (日/月/年) |  |                  |
| Current Residential Address 现时住址                                     |                              | Contact No. 联络号码                           | Relationship with account holder(s)<br>与帐户持有人的关系 |                  |

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?  
 阁下, 此账户最终实益拥有人及/或就此帐户进行交易的最最终负责发出指示人士, 是否香港证监会注册之持牌法团或注册机构之董事、代表或职员?  
 No 否       Yes 是\*  
 Name of the Licensed or Registered Person(s) \_\_\_\_\_  
 持牌或注册人士姓名: \_\_\_\_\_  
**\*If yes, please provide the written consent from the employer of your account(s) opening with Southwest**  
**如是, 请务必提供雇主确认同意于西证开立此账户之同意书**

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?  
 阁下, 此账户最终实益拥有人及/或就此帐户进行交易的最最终负责发出指示人士, 与西证(香港)证券经纪有限公司或西证(香港)期货有限公司或其附属公司之董事或职员是否有亲属关系?  
 No 否       Yes 是, Please specify 请说明  
 Name of Director/Employee 董事或职员姓名: \_\_\_\_\_ Relationship 关系: \_\_\_\_\_  
 \_\_\_\_\_

5 Is your spouse a margin client of Southwest?  
 阁下的配偶是否为西证的保证金客户?  
 No 否       Yes 是, Please specify 请说明  
 Name of Spouse 配偶姓名: \_\_\_\_\_ Account No. 账户号码: \_\_\_\_\_  
 \_\_\_\_\_

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?  
 阁下是否拥有个人或与配偶共同控制任何西证的保证金公司账户 35%或以上的投票权?  
 No 否       Yes 是, Please specify 请说明  
 Account Name 账户名称: \_\_\_\_\_ Account No. 账户号码: \_\_\_\_\_  
 \_\_\_\_\_

7 Do you maintain any other account(s) with Southwest Securities (HK) Brokerage Limited or Southwest Securities (HK) Futures Limited?  
 阁下现时是否已持有西证(香港)证券经纪有限公司或西证(香港)期货有限公司之账户?  
 No 否  
 Yes, please provide details 是, 请提供详细资料:  

Account Name	Account No.	Account Type
账户姓名: _____	账户号码: _____	账户类别: _____

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?  
 阁下, 此账户最终实益拥有人及/或就此帐户进行交易的最最终负责发出指示人士, 或其配偶、伴侣、子女或父母, 或其子女的配偶或伴侣, 或与其关系密切的人, 是否担任或曾担任重要公职的为政治人物, 包括国家元首、政府首长、资深从政者、高级政府、司法或军事官员、国有企业高级行政人员、重要政党干事国际组织的高级管理层, 即董事会的董事、副董事及成员或对等职位?  
 No 否       Yes, please specify 是, 请说明: \_\_\_\_\_

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)?  
 阁下、此账户最终实益拥有人及/或就此帐户进行交易的最最终负责发出指示人士的工作业务性质, 是否特别容易蒙受较高的洗钱风险(如金钱服务业、博彩业、武器/战争物资的生产或贸易等行业)?  
 No 否       Yes, please specify 是, 请说明: \_\_\_\_\_

**Bank Account 银行帐户 (For direct deposit 直接存款之用)**

Account Type 账户类别	Name of Receiving Bank 收款银行名称	Account Number 帐户号码	Address of Receiving Bank 收款银行地址	T/T SWIFT Code 银行国际代码

\*Proof of Bank account 需附银行账户证明

**Delivery of Statements 结单寄发**

Mailing Address* 邮件地址* (P.O.Box not accepted 不接受邮政信箱)	<input type="checkbox"/> Home Address 住宅地址 <input type="checkbox"/> Correspondence Address 通讯地址 <input type="checkbox"/> E-mail Address 电邮地址 (For securities account, Electronic trading clients can examine statement by using Web Statement at <a href="http://www.swsc.hk">www.swsc.hk</a> ) (电子交易证券帐户客户可于西证网页 <a href="http://www.swsc.hk">www.swsc.hk</a> 查阅结单) <b>Please note that Administrative Fee will be charged monthly if receiving statement by post.</b> <b>若以邮递方式收取结单, 每月将收取行政费用, 敬请注意。</b>
Choice of Language 语言选择	<input type="checkbox"/> English 英文 <input type="checkbox"/> Traditional Chinese 繁体中文 <input type="checkbox"/> Simplified Chinese 简体中文

**Other Information 其他数据**

Reason for Choosing Southwest for Account Opening 阁下选择西证开户的原因：

Friend or relative referral 亲友转介     Walk-in 自荐     Seminar 讲座     Others 其他：\_\_\_\_\_

**Personal Data Arrangement(s) 个人资料安排 (Applicable to Securities Account Client only 只适用于证券账户之客户)**

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 / 吾等现  授权 /  不同意西证(香港)证券经纪有限公司将本人 / 吾等联络资料转介至香港中央结算有限公司以收取发行人的公司通讯。

Please provide English address for receiving information (if not stated in previous section) :

请提供英文地址以收取数据(如之前部份未有提述) : \_\_\_\_\_

**Use of Personal Data in Direct Marketing Consent Letter 使用个人资料作直接促销同意书**

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.

西证(香港)证券经纪有限公司(「西证证券」) / 西证(香港)期货有限公司(「西证期货」)拟使用阁下的个人资料作直接促销, 该等个人资料包括阁下在本开户申请书中向西证证券 / 西证期货提供及西证证券 / 西证期货不时获得的姓名、联络详情、财务背景、统计资料等的个人资料。为此须取得阁下的同意。

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 / 吾等同意西证证券 / 西证期货向本人 / 吾等发放关于财务、保险、证券、投资的服务和产品的推广数据。本人 / 吾等亦同意西证证券 / 西证期货及其集团公司分享本人 / 吾等的个人资料作促销用途。本人 / 吾等亦明白和接受西证证券 / 西证期货及其集团公司可能不时聘请第三方代表西证证券 / 西证期货及其集团公司提供直接促销服务, 除非本人 / 吾等在下方表示反对:

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 / 吾等反对西证证券 / 西证期货使用或转移, 不论是否为得益, 本人 / 吾等所有个人资料的种类, 给予所有数据承转人的类别以用作所有促销产品/服务/设施的类别的直接促销用途。

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.

如阁下将来不希望西证证券 / 西证期货使用或提供阁下的数据给他人作直接促销, 请致电 (852) 2238 9238 通知我们。

**Client Consent On The Northbound Investor ID Model 北向交易投资者标识符模式客户同意书**  
(For Northbound Trading Service 适用于北向交易投资服务)

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.

证券及期货事务监察委员会（证监会）就为中华通证券服务的沪股通及深股通交易，已于 2017 年 11 月 30 日公布投资者标识符制度，将涉及香港联交所及其附属公司收集和使用权个人资料，以及向内地交易所及中国证监会转交有关资料。

**China Connect Service**

**中华通证券服务**

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

客户明白及同意，西证证券为客户提供中华通证券交易服务时，西证证券须要：

- (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  
在提交每一客户交易指令予中华通买卖盘订单传递系统时，在交易指令中附上客户唯一的券商客户编码或（如客户帐户为联名账户）客户联名账户获分配的券商客户编码；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.  
向交易所提供客户唯一的券商客户编码及一切交易所按照其规则不时要求索取的关于客户的身份识别资料。

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:

不受限于西证证券就着因应客户的账户或提供服务予客户而处理客户个人资料而给予客户的通知或取得的客户同意，客户明白及同意，作为西证证券中华通证券交易服务的一部份，西证证券可以作出下述的收集、储存、使用、披露及转移客户的个人资料的行为：

- (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;  
不时向交易所及相关交易所附属公司披露及转移客户的券商客户编码及客户识别信息，包括在中华通买卖盘订单传递系统输入中华通证券交易指令时显示客户的券商客户编码，并实时转传至相关中华通证券交易营运者；
- (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;  
容许交易所及各相关交易所附属公司：(i) 收集、使用及储存客户的券商客户编码及客户识别信息以及相关中华通结算所提供（以储存而言，它们通过香港交易所进行）的合并、核实及配对的券商客户编码及客户识别信息数据，以作市场监察及执行交易所规则用途；(ii) 基于下列(c)及(d)所述目的，不时（直接或通过相关中华通结算所）转移该等资料予相关中华通证券交易营运者；及(iii) 披露该等资料予香港相关监管机构及执法机关，以配合其履行关于香港金融市场的法定职能；
- (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  
容许相关中华通结算所：(i) 收集、使用及储存客户的券商客户编码及客户识别信息，以对券商客户编码及客户识别信息作出合并及核实并与其投资者身份识别数据库作出配对，及把合并、核实及配对的券商客户编码及客户识别信息数据提供予相关中华通证券交易营运者、交易所及相关交易所附属公司；(ii) 使用客户的券商客户编码及客户识别信息，以履行其证券账户管理的法定职能；及(iii) 披露该等资料予中国大陆相关监管机构及执法机关，以配合其履行关于中国大陆金融市场的监管、监察及执法职能；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.

容许相关中华通证券交易营运者：(i) 收集、使用及储存客户的券商客户编码及客户识别信息，以监察通过使用中华通服务在相关中华通市场进行之证券交易，和执行相关中华通证券交易营运者之规则；及(ii) 披露该等资料予中国大陆相关监管机构及执法机关，以配合其履行关于中国大陆金融市场的监管、监察及执法职能。

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.

当客户指示西证证券进行任何中华通证券的交易时，客户明白及同意，西证证券可以使用客户的个人资料于遵守交易所的要求及其对中华通北向交易不时生效的规则。客户也明白，即使未来客户计划撤消其同意，客户的个人资料（不论客户撤消客户同意前或后）会继续被储存、使用、披露、转移或以其他方式处理，以达至上述目的。

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

##### **不能提供个人资料或同意的后果**

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.

客户不能如上述向西证证券提供个人资料或同意，将可能导致西证证券（按情况）不会或不可继续执行客户的交易指示或向客户提供中华通证券交易服务。

#### **Acknowledgement and Consent**

##### **客户确认及同意**

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 / 吾等确认本人 / 吾等已阅读并明白西证证券「北向交易投资者标识符模式客户同意书」的内容。通过勾选以下方格，表示本人 / 吾等同意西证证券可根据「北向交易投资者标识符模式客户同意书」中的条款和目的使用本人 / 吾等的个人资料。

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 / 吾等同意西证证券将本人 / 吾等的个人资料用于「北向交易投资者标识符模式客户同意书」所载的目的。

**Application of Account Opening and Information Provided 账户开立申请及数据提供**

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 / 吾等兹声明在开户申请书及相关表格所提供之数据全部为真实、完整及正确，本人 / 吾等并未刻意隐瞒任何重要事实。本人 / 吾等向贵公司申请开立现金证券账户 / 保证金证券账户 / 股票期权 / 期货账户 ("该账户") 和同意遵守客户协议的所有条款，并同意遵守证券及期货条例、香港交易所有限公司及其他监管机构不时修定以规管于该帐户进行的交易之条例及规则。除非西证 (香港) 证券经纪有限公司 ("西证证券") 及 / 或西证 (香港) 期货有限公司 ("西证期货") 接到更改有关本开户申请书内容的书面通知，否则上述公司有权完全依赖此等资料及声明作一切用途。上述公司获授权可随时就核对本数据事宜，与任何人包括本人 / 吾等之银行、经纪或任何信用机构进行咨询。本人 / 吾等亦明白西证证券及西证期货根据上述投资经验及对产品认识内的数据介定本人 / 吾等是否拥有对衍生产品之认识，以符合证券及期货事务监察委员会持牌人或注册人操守准则之有关要求。

**Agreement and Risk Disclosure Statement 协议及风险披露声明**

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 / 吾等谨此承认并确定本人 / 吾等已获得按照本人 / 吾等所选择的语言 (英文或中文) 的客户协议，当中包括，但不限于本开户表、一般条款、附加条款、私隐政策、免责声明及风险披露声明，及本人 / 吾等已获邀请细阅该风险披露声明，提出问题及征求独立的意见 (如本人 / 吾等有此意愿)。本人 / 吾等确认本人 / 吾等已经保留本协议的副本，以作备考之用。

**Foreign Account Tax Compliance Act (FATCA) 海外账户税收合规法案**

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 / 吾等谨此声明本人 / 吾等并非《海外账户税收合规法案》下所定义的美国人士，而且此账户下之相关的收入依《海外账户税收合规法案》毋须扣缴税款。本人 / 吾等的美国居民/公民自我证明的状况资料如有变更，本人 / 吾等须于三十日内主动通知西证证券及 / 或西证期货。本人 / 吾等亦同意悉数对西证证券及 / 或西证期货因本人 / 吾等违规或遗漏而蒙受的任何索偿、损害、损失、费用及开支作出弥偿并保证其利益不受损害。

**Common Reporting Standard 共同汇报标准**

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 / 吾等承诺若本人 / 吾等的共同汇报标准自我证明的状况数据如有变更，会于三十日内主动通知西证证券及 / 或西证期货。本人 / 吾等亦同意悉数对西证证券及 / 或西证期货因本人 / 吾等违规或遗漏而蒙受的任何索偿、损害、损失、费用及开支作出弥偿并保证其利益不受损害；

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;

西证证券及 / 或西证期货须本人 / 吾等提供自我证明或其他文件以揭示本人 / 吾等纳税所在地，以作自动交换财务帐户数据用途。如本人 / 吾等因任何情况而影响本人 / 吾等的纳税所在地，或令西证证券及 / 或西证期货有理由相信本人 / 吾等之自我证明有不正确或不可靠时，西证证券及 / 或西证期货保留权利可要求本人 / 吾等递交新的自我证明及 / 或额外文件。作为西证证券及 / 或西证期货的账户持有人，本人 / 吾等承诺及同意向西证证券及 / 或西证期货提供进一步的数据。西证证券及 / 或西证期货为遵守香港《税务条例》(第 112 章) 有关交换财务帐户数据的法律条文及 / 或指引，可能导致收集、储存、使用及处理本人 / 吾等的资料。本人 / 吾等的资料亦可向香港特别行政区政府税务局披露，从而把资料转交到本人 / 吾等的居留司法管辖区的税务当局。如果本人 / 吾等未能提供任何所要求的数据，西证证券及 / 或西证期货保留采取任何补救措施的权利，包括 (但不限于) 限制及终止账户的运作；

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 / 吾等明白根据《税务条例》第 80 (2E) 条，如任何人在作出自我证明时，在明知一项陈述在要项上属具误导性、虚假或不

正确,或罔顾一项陈述是否在要项上属具误导性、虚假或不正确下,作出该项陈述,即属犯罪。一经定罪,可处第3级(即\$10,000)罚款。

**Notice and Statement Relating to the Personal Data (Privacy) Ordinance 个人资料(私隐)条例的通知及声明**

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 / 吾等已仔细阅读,完全理解并同意接受并遵守载于客户协议第五部份有关个人资料(私隐)条例(第486章)的通知及声明。

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

**「证券及期货(客户款项)规则」下之常设授权(适用于证券账户及期货账户)**

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 / 吾等谨此同意、承认及确定本人 / 吾等已授予贵公司常设授权以处置本人 / 吾等的款项,并且本人 / 吾等就该客户协议内的第三部份附表 E 第 9 项的证券及期货(客户款项)规则下之常设授权的内容已获得解释,及本人 / 吾等明白及同意其内容。

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

**「证券及期货(客户证券)规则」下之常设授权(只适用于证券保证金账户)**

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 / 吾等谨此同意、承认及确定本人 / 吾等已授予贵公司常设授权以处置本人 / 吾等的证券抵押品,并且本人 / 吾等就该客户协议内的第三部份附表 A 第 5 项的证券及期货(客户证券)规则下之常设授权的内容已获得解释,及本人 / 吾等明白及同意其内容。

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

**附加声明(只适用于股票期权及期货账户)**

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 / 吾等同意细阅列于证券及期货(合约限量及须申报的持仓量)规则及由证监会发出的有关指引的申报规则及责任。本人 / 吾等同意依据证券及期货(合约限量及须申报的持仓量)规则、证监会及期货交易所之要求作出申报及完成有关责任。本人 / 吾等明白所有有关数据可以由证监会及香港交易所的网页上获得。

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

本开户表之英文本(相对中文译本而言)为确实及有最终效力。

<b>(1) Signature of Individual / Primary Joint Account Holder:</b> 个人 / 联名账户第一持有人签署:			
<b>Name</b> 姓名		<b>Date</b> 日期	

<b>(2) Signature of Secondary Joint Account Holder:</b> 联名账户第二持有人签署:			
<b>Name</b> 姓名		<b>Date</b> 日期	

**Joint Account Signatures Arrangement 联名账户签署安排**

(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. 以上每一联名账户持有人均有权为账户买卖任何证券及 / 或期货及 / 或期权合约而不时发出口头指示及 / 或透过电子服务(如适用)发出的指示; 及
(2)	<input type="checkbox"/> Either one joint account holder signing singly, 其中一位联名账户持有人单独签署, <input type="checkbox"/> Both joint account holders signing jointly, 两位联名账户持有人共同签署, validates any written instructions relating to the operation of the Account(s). 任何就账户运作之书面指示, 方为有效。

**Declaration by Representative of Southwest Securities (HK) Brokerage Limited / Southwest Securities (HK) Futures Limited  
由西证(香港)证券经纪有限公司 / 西证(香港)期货有限公司之代表作出声明**

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.

本人作为西证证券 / 西证期货\*之持牌代表, 谨此声明及确认本人已经以客户所选择明白的语言, 清楚解释客户协议书, 当中包括但不限于本开户表、一般条款、附加条款、免责声明、私隐政策及风险披露声明的内容, 并已邀请客户细阅有关风险披露声明, 并提出问题及征求独立意见(如客户有此意愿)。

Name of LC 持牌法团名称	Signed by LR 持牌代表签署	Name of LR 持牌代表姓名	CE No. 中央编号	Date 日期
SWSB 西证证券				
SWSF 西证期货				

Witness Declaration 见证人声明

(Only applicable to the witness who is NOT Licensed Representative of Southwest Securities (HK) Brokerage Limited/ Southwest Securities (HK) Futures Limited)  
(只适用于并非西证(香港)证券经纪有限公司 / 西证(香港)期货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)确认已验证客户身份证明文件、地址证明及其他文件之正本,并已见证客户在本开户表上签署。

Witness Signature

见证人签署:

Profession / Title

所属专业/职位:

Name of Witness

见证人姓名:

Date of Witness

见证日期:

**Note 注意:**

1. Please attach an ID card copy of all account holders with this application form.  
请随本申请表附上全部账户持有人之身份证副本。
2. 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**.  
客户可选择以住宅地址、通讯地址或电邮地址收取帐户结单。邮政信箱恕不接受。请附上在**最近三个月内**之住宅地址及/或通讯地址证明文件
3. This form should be completed and signed by the customer in front of SWSB / SWSF's Licensed Representative, otherwise, please see below Note 5.  
客户必须在西证证券 / 西证期货的持牌代表面前填妥及签署本表格; 如非亲身开户, 请参看下方的注意 5。
4. Any deletion or amendment must be signed by all account holders.  
任何删除或修改, 必须由客户签名作实。
5. If this document is not executed by the client in front of SWSB / SWSF's Licensed Representative, client should comply the following procedural requirement:  
如开户文件并非在西证证券 / 西证期货的持牌代表面前签署, 客户必须遵守以下其中一个程序要求:
  - (i) 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  
客户须交给西证证券 / 西证期货由香港的持牌银行开立的账户所签发 (该签名须与此开户表格上的客户签名相符)并载有客户于身份证明文件上所显示的姓名的个人支票, 而该支票抬头人须为「西证(香港)证券经纪有限公司」或「西证(香港)期货有限公司」及其金额不得少于 10,000 港元(或西证证券 / 西证期货通知客户的其他数额)。客户的新账户必须待支票兑现后才可使用; 或
  - (ii) 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.  
见证人签署及有关身份证明文件须由太平绅士、西证证券 / 西证期货的联系人士、银行分行经理、执业会计师、律师、公证人或特许秘书加以验证。

**For Office Use Only 只供本公司专用**

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 文件查核清单 : (NOT applicable to Professional Investor 不适用于专业投资者)**

<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 客户及最终受益人身份证明文件副本(附见证人签署) 香港身份证/护照/当地居民身份证 <input type="checkbox"/> Certified true copy of proof of Address of Client and Ultimate Beneficial Owner(s) (within 3 months) 客户及最终受益人之地址证明之核证副本(三个月内)* *Correspondence address proof is also required if such address is different from your residential address (within 3 months) 如通讯地址与居住地址不同, 须同时提供通讯地址证明文件(三个月内) <input type="checkbox"/> Copy of Client's local bank's detail ( if the client provided the related info in the application form) 本地银行卡资料副本(如客户已填写相关资料) <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) 担保契约/担保人的个人身份证明之核证副本/担保人的地址证明之核证(三个月内)(如有需要:若保证金客户)	Applicable to Non-face-to-face account procedure : 适用于非面对面开户的程序 <input type="checkbox"/> Witness by JP / Branch Manager of bank / CPA / Lawyer or notary public 由太平绅士/ 银行分行经理/ 执业会计师/ 律师或公证人见证  Personal cheque received (if applicable) 可接受的个人支票 (如适用) <input type="checkbox"/> Issued by a licensed bank in Hong Kong 由香港持牌银行发出 <input type="checkbox"/> Payable to "Southwest Securities (HK) Brokerage Limited" or Payable to "Southwest Securities (HK) Futures Limited" 支票抬头为"西证(香港)证券经纪有限公司" 或 "西证(香港)期货有限公司" <input type="checkbox"/> Cheque amount not less than HK\$10,000 该支票的金额不得少于 10,000 港元 <input type="checkbox"/> Client name print on cheque is the same as A/C holder 该支票须载有客户在身份证明文件上所显示的姓名 <input type="checkbox"/> Same signature on cheque and A/C Opening Form 该客户在支票上的签署, 必须与上述客户协议的签署相符 <input type="checkbox"/> Retained cheque copy 保留支票副本 <input type="checkbox"/> Cheque cleared 支票已兑现
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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**

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