

## ACCOUNT OPENING FORM (JOINT CLIENT INFORMATION) 開戶表 (聯名客戶資料)

Please complete in BLOCK LETTERS 請用正楷填寫

### B: Joint Client 聯名客戶

#### B1. Personal Information 個人資料

##### • Basic Information 基本資料

English Name 英文名稱	Surname 姓	Given Name 名	<input type="checkbox"/> Mr.先生 <input type="checkbox"/> Mrs.太太 <input type="checkbox"/> Miss 小姐 <input type="checkbox"/> Ms.女士		
Chinese Name 中文名稱					
Nationality 國籍	Date of Birth 出生日期		DD 日	MM 月	YYYY 年
Place of Birth 出生地	<input type="checkbox"/> HK 香港	<input type="checkbox"/> Taiwan 台灣	<input type="checkbox"/> China 中國	<input type="checkbox"/> Others 其他:	
Educational Level 教育程度 *Optional 可選擇填寫	<input type="checkbox"/> Primary 小學 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> College 大專 <input type="checkbox"/> University or above 大學或以上		Marital Status 婚姻狀況 *Optional 可選擇填寫		<input type="checkbox"/> Single 單身 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Others 其他:

##### • ID Card/ Passport No. 身分證或護照號碼

ID Card No. 身分證號碼					
Issuing Place 簽發地區	<input type="checkbox"/> HK 香港	<input type="checkbox"/> Taiwan 台灣	<input type="checkbox"/> China 中國	<input type="checkbox"/> Others 其他:	
Passport No. 護照號碼					
Issuing Place 簽發地區	<input type="checkbox"/> HK 香港	<input type="checkbox"/> Taiwan 台灣	<input type="checkbox"/> China 中國	<input type="checkbox"/> Others 其他:	

##### • Contact Number(s) 聯絡號碼

	Country code 國家編碼	Area Code 地區編碼	Number 號碼
Home Tel No. 住宅電話號碼			
Mobile Tel No. 手提電話			
Business Tel No. 商業電話號碼			
Fax No. (home or business) 傳真號碼(住宅或商業)			

##### • Employment/Occupation Information 受僱/職業資料

Employment Status 受僱狀況	<input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self Employed 自僱 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Others 其他:	Occupation 職業	
Name of Current Employer 目前僱主名稱	Nature of Business 商業性質		

##### • Relationship 關係

Relationship with Primary Client 與主要客戶的關係	
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**Joint Client 聯名客戶**

**• Address Information 地址資料**

**Home Address 住宅地址**

Flat 單位	Floor 層數	Block 座	Building Name 大廈名稱
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Estate Name 屋苑名稱	Street Name and Number 街道名稱及號碼
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District/Province/City 地區/省/市	Country/Place 國家/地區 <input type="checkbox"/> HK 香港 <input type="checkbox"/> China 中國 <input type="checkbox"/> Taiwan 台灣 <input type="checkbox"/> Others 其他:	Postal Code 郵政編號
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**Business Address 商業地址**

Flat 單位	Floor 層數	Block 座	Building Name 大廈名稱
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Estate Name 屋苑名稱	Street Name and Number 街道名稱及號碼
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District/Province/City 地區/省/市	Country/Place 國家/地區 <input type="checkbox"/> HK 香港 <input type="checkbox"/> China 中國 <input type="checkbox"/> Taiwan 台灣 <input type="checkbox"/> Others 其他:	Postal Code 郵政編號
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**Permanent Address (if different from Home Address): 永久地址 (如與住宅地址不同):**

Flat 單位	Floor 層數	Block 座	Building Name 大廈名稱
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Estate Name 屋苑名稱	Street Name and Number 街道名稱及號碼
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District/Province/City 地區/省/市	Country/Place 國家/地區 <input type="checkbox"/> HK 香港 <input type="checkbox"/> China 中國 <input type="checkbox"/> Taiwan 台灣 <input type="checkbox"/> Others 其他:	Postal Code 郵政編號
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**Email Address 電郵地址**

<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>
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**B2. Financial and Investment Profile 財務及投資概況**

<b>Annual income(HKD) (Please check one only) 每年收入(港元) (請選擇其一)</b> <input type="checkbox"/> Under/少於 \$100,000 <input type="checkbox"/> \$100,000 - \$500,000 <input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> Above/多於\$1,000,000 (Please specify 請指明): _____	<b>Total net worth (HKD) 總資產淨值(港元)</b>
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Source of funds / wealth 資金/財富來源 (fill in all those applicable 請填寫所有適用項目)	Annual income 年收入(as applicable 按適用) (approximate amount 約計金額)	Net worth 資產淨值(as applicable 按適用) (% of Total net worth above 佔上述總資產淨值之百分比)
Salary / Commission 薪金/佣金	HKD 港元	%
Savings 儲蓄	HKD 港元	%
Own business 自營業務	HKD 港元	%
Investment 投資	HKD 港元	%
Inheritance 遺產	HKD 港元	%
Others 其他 (Please specify 請指明):	HKD 港元	%

**Do you own any property/ real estate? 客戶是否擁有任何資產 / 物業?**

No 沒有

Yes, details are 有, 詳情為: \_\_\_\_\_  Without financing 無借貸  With financing 有借貸

**Joint Client 聯名客戶**

**Investment experience 投資經驗**

- I don't have any investment experience.本人並沒有任何投資經驗。  
 I have the following investment experience:本人有以下投資經驗：

		Average trade size 平均交易額 HKD 港元	Experience (in year(s))經驗 (年計)
HK listed securities	香港上市證券		
Overseas listed securities	海外上市證券		
Fixed income products	固定收益產品		
Unit trusts & mutual funds	信託基金及互惠基金		
Short selling of listed securities	沽空上市證券	<input type="checkbox"/> No 沒有 <input type="checkbox"/> Yes 有	
		Number of contracts & product(s)合約數量及產品	Experience (in year(s))經驗 (年計)
HK futures and options	香港期貨及期權		
Overseas futures and options	海外期貨及期權		

**Your investment objective(s) and risk tolerance 客戶投資目的及可承受風險**

- Investment objective(s) (May select more than one) 投資目的(可選擇多於一項)
  - Income 收入  Hedging 對沖  Capital Gain 資本增值  Speculation 投機  Others 其他：\_\_\_\_\_
- Risk tolerance(Please check one only) 可承受風險(請選擇其一)
  - \*Securities Margin Account, Stock Options Account and Futures/Options Account belong to Medium and/or High risk categories. 證券保證金帳戶、股票期權帳戶及期貨/期權帳戶屬於“中等風險”及/或“高風險”類別。
  - Low 低風險  Medium 中等風險  High 高風險
- Investment period preference(May select more than one)投資期間偏好(可選擇多於一項)
  - Long term 長期(>1 year 1年以上)  Medium term 中期 (3-12 months 3-12個月)  Short term 短期(<3 months 3個月以下)

**B3. Relevant Disclosure 相關披露**

Are you, either alone or with your spouse, in control of 35% or more of the voting rights of any corporate client of KGIA or KGIF? 客戶是否單獨或與配偶共同控制任何凱基亞洲或凱基期貨的公司客戶 35%或以上的投票權?	<input type="checkbox"/> No 不是	<input type="checkbox"/> Yes, company name(s): 是，公司名稱： _____
Is your spouse a client of KGIA or KGIF? 客戶的配偶是否凱基亞洲或凱基期貨的客戶?	<input type="checkbox"/> No 不是	<input type="checkbox"/> Yes, whose name and account number are 是，其姓名及帳戶號碼為： _____
Are you a relative of any director or staff member of KGIA or KGIF? 客戶是否凱基亞洲或凱基期貨任何董事或職員的親屬?	<input type="checkbox"/> No 不是	<input type="checkbox"/> Yes, such director's or employee's name and staff number are 是，該董事或職員姓名及職員號碼為： _____  Your family relationship with such individual is : 客戶與該人士的親屬關係為： _____
Are you a director or staff member of a person licensed or registered with Hong Kong SFC? 客戶是否香港證監會持牌人或註冊人的董事或職員?	<input type="checkbox"/> No 不是	<input type="checkbox"/> Yes, details are 是，詳情為： _____
Are you a director or major shareholder (shareholding of 5% or more) of any listed company? 客戶是否任何上市公司的董事或持股 5%或以上的主要股東?	<input type="checkbox"/> No 不是	<input type="checkbox"/> Yes, details are 是，詳情為： _____
Are you (1) a current or former politically exposed person (i.e. a current or former domestic PEP, foreign PEP or international organisation PEP, each a "PEP") or (2) a spouse, partner, child or parent of a PEP or (3) a spouse or partner of a child of a PEP or (4) a close associate of a PEP? 客戶是否(1)現任或前任本地政治人物、外地政治人物或國際組織政治人物(「政治人物」)，或(2)任何政治人物的配偶、伴侶、子女或父母，或(3)任何政治人物的子女的配偶或伴侶，或(4)與任何政治人物關係密切的人?	<input type="checkbox"/> No 不是	<input type="checkbox"/> Yes, details are 是，詳情為： _____ _____
In this section, for the meaning of the respective terms of "domestic PEP", "foreign PEP", "international organisation PEP" and "close associate", please refer to the <i>Guideline on Anti-Money Laundering and Counter-Financing of Terrorism (For Licensed Corporations)</i> issued by the Securities and Futures Commission of Hong Kong. 就本節而言，有關「本地政治人物」、「外地政治人物」、「國際組織政治人物」及「關係密切的人」各名詞的意思，請參閱香港證券及期貨事務監察委員會發布的《打擊洗錢及恐怖分子資金籌集指引（適用於持牌法團）》。		

**Joint Client 聯名客戶**

**B4. Self-Certification of Tax Residency Status and Declaration 稅務居民身分自我證明及聲明**

**Notes 注意:**

- KGIA and KGIF do not provide advice on any tax or tax-related matters.
- 凱基亞洲及凱基期貨不會提供任何稅務或與稅務有關的意見。

**US Tax Obligations 美國稅務責任**

The Client has **no** U.S. tax obligations 客戶**沒有**美國稅務責任

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

居留司法管轄區及稅務編號或具有等同功能的識別編號 (以下簡稱「稅務編號」)

- Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where you are a resident for tax purposes and (b) your TIN for each jurisdiction indicated. Indicate **all** (not restricted to three) jurisdictions of residence.
- If you are 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 you are a resident for tax purposes does not issue TINs to its residents.

**Reason B** - You are unable to obtain a TIN. Explain why you are 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.

- 提供以下資料, 列明(a)客戶的居留司法管轄區, 亦即客戶的稅務管轄區(香港包括在內)及(b)該居留司法管轄區發給客戶的稅務編號。列出**所有**(不限於 3 個)居留司法管轄區。
- 如客戶是香港稅務居民, 稅務編號是其香港身分證號碼。
- 如沒有提供稅務編號, 必須填寫合適的理由:

理由 A - 客戶的居留司法管轄區並沒有向其居民發出稅務編號。

理由 B - 客戶不能取得稅務編號。如選取這一理由, 解釋帳戶持有人不能取得稅務編號的原因。

理由 C - 客戶毋須提供稅務編號。居留司法管轄區的主管機關不需要客戶披露稅務編號。

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號, 填寫理由A、B或C	Explain why you are unable to obtain a TIN if you have selected Reason B 如選取理由B, 解釋不能取得稅務編號的原因

**• Citizenship 公民身分**

**Country of Citizenship**  
公民身分國家

**2nd Country of Citizenship**  
第二公民身分國家

**• Confirmation and Declaration 確認及聲明**

**You confirm that you are not a tax resident of the United States and you are not a U.S. citizen.**

客戶確認客戶本人並非就美國稅務目的而言的美國稅務居民, 也並不是美國居民。

Note: A U.S. citizen, a Green Card holder, or a qualified U.S. resident<sup>^</sup> is considered a tax resident of the United States, regardless of whether he/she is a tax resident of another country/jurisdiction.

<sup>^</sup> Refers to an individual working, living or studying in the U.S., staying at least 31 days during the current year, and 183 days during the 3-year period that includes the current year and the 2 years immediately before that, counting: all the days you were present in the current year, and 1/3 of the days you were present in the first year before the current year, and 1/6 of the days you were present in the second, to be considered a U.S. resident for tax purposes.

注意: 美國公民、綠卡持有人或通過居留測試的美國居民<sup>^</sup>視為美國的稅務居民, 無論他/她是否其他國家或司法管轄區的稅務居民

<sup>^</sup> 指在美國工作/居住/求學之個人, 本年度在美國境內停留天數≥31 天, 且(本年在美國境內停留天數\*1+去年在美國境內停留天數\*1/3+前年在美國境內停留天數\*1/6)≥183 天者, 即為美國稅務居民。

**Declaration 聲明**

I, the undersigned Joint Client identified in this form, acknowledge and agree that (a) the information contained in this form is collected and may be kept by KGIA and/or KGIF for the purposes of automatic exchange of financial account information and/or tax or regulatory reporting or compliance, and (b) such information and information regarding or relating to any joint account holder and any reportable account(s) may be reported or provided by KGIA and/or KGIF to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region, the U.S. Internal Revenue Service and/or other tax authorities and exchanged with the tax authorities of another jurisdiction or jurisdictions in which any joint account holder may be resident for tax purposes and to other relevant local or foreign persons or authorities pursuant to the applicable legal provisions or inter-governmental agreements for exchange of financial account information and/or other applicable laws, rules, regulations, guidelines or practices.

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

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

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.

**WARNING:** It is an offence under section 80(2E) of the Inland Revenue Ordinance of Hong Kong 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, 本開戶表所述以下簽署的聯名客戶, 知悉及同意, 凱基亞洲及/或凱基期貨可根據適用的有關交換財務帳戶資料的法律條文或跨政府協議及/或其他適用法律、規則、規例、指引或慣例, (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及/或稅務或規管申報或合規用途及 (b) 把該等資料和關於任何聯名帳戶持有人及任何須申報帳戶或與其相關的資料向香港特別行政區政府稅務局, 美國國家稅務局及/或其他稅務機構申報或提供, 及從而把資料轉交到任何聯名帳戶持有人的居留司法管轄區的稅務當局, 或申報或提供予其他相關本地或海外人士或機構。

本人證明, 就與本開戶表所有相關的帳戶, 本人是一位聯名帳戶持有人。

本人承諾, 如情況有所改變, 以致影響本人的稅務居民身分, 或引致本開戶表所載關於稅務居民身分自我證明的資料不正確, 本人會通知凱基亞洲及/或凱基期貨, 並會在情況發生改變後 30 日內, 向凱基亞洲及/或凱基期貨提交一份已適當更新的自我證明表格。

本人聲明就本人所知所信, 本開戶表內所填報的所有資料和聲明均屬真實、正確和完備。

**警告:** 根據香港《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。

**B5. Assess Client's Knowledge of Derivatives (if applicable) 評估客戶對衍生工具的認識(如適用)**

**Do you have knowledge of the nature and risks of derivatives? 閣下是否對衍生工具的性質及風險擁有相關的知識?**

- No, please refer to the "Acknowledgement of Explanation of Risks Associated with Exchange-Traded Derivative Products" below  
否, 請注意以下「就在交易所買賣的衍生產品所附帶的風險作出解釋」的客戶聲明
- Yes, please continue to Criteria 1 and/or 2 below  
是, 請接以下準則 1 及/或 2

**Acknowledgement of Explanation of Risks Associated With Exchange-Traded Derivative Products**

I hereby acknowledge and confirm that:-

- I have read and fully understood the document entitled "Explanation of Risks Associated with Exchange-Traded Derivative Products" provided by KGIA and/or KGIF in a language of my choice (English or Chinese). I acknowledge that if I have any question in relation to such document. I should seek independent professional advice. I further acknowledge that such document may not cover all risks associated with such derivative products and I shall make my own assessment and ensures that I have sufficient net worth to assume the risks and bear the potential losses in respect of the derivative products I trade.
- I am willing to accept the risks associated with trading derivative products.



「就在交易所買賣的衍生產品所附帶的風險作出解釋」的客戶聲明

本人謹此聲明及確認:-

- 本人已仔細閱讀及完全明白, 由凱基亞洲及/或凱基期貨提供, 並以本人所選擇之語言(英文或中文)的「就在交易所買賣的衍生產品所附帶的風險作出解釋」。本人確認假若本人對該文件有任何疑問, 本人應當尋求獨立專業意見。本人並且確認該文件不能披露投資衍生產品可能涉及的所有風險, 與及本人須就投資這些產品作出本人自己的判斷, 並確保本人擁有充分的淨資產以承擔風險及潛在的損失。
- 本人願意承擔交易衍生產品所帶來的相關風險。



**Criteria 1 準則 1**

I have executed five or more transactions in derivative products (whether traded on an exchange or not), e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures, Commodities, Structured Products and ETFs, etc. within the past three years.

本人於過去三年曾執行五次或以上有關衍生產品(不論是否在交易所買賣)的交易, 例如: 衍生權證、牛熊證、股票期權、期貨、商品、結構性產品及交易所買賣基金等。

Relevant Financial Institution(s) 相關金融機構	Product Type 產品種類	Trading Period 交易期間 (mm/yyyy 月/年) to 至 (mm/yyyy 月/年)
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**Criteria 2 準則 2**

I have current or previous work experience related to derivative products.

本人於現時或過去擁有與衍生產品有關的工作經驗。

Position 職位	Job Duties 工作職責	No. of Years of Experience 工作年期	Name of Employer(s) 僱主名稱
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**Declaration: 聲明**

I hereby declare that I have fulfilled the above-mentioned assessment criterion/criteria and provided the relevant supporting information acceptable to KGIA and/or KGIF and KGIA and/or KGIF is/are entitled to fully rely on the information provided by me.

本人謹此聲明本人已符合上述評估條件, 並已提供凱基亞洲及/或凱基期貨可接受的相關資料及凱基亞洲及/或凱基期貨可完全倚賴本人所提供的資料。