

ACCOUNT OPENING APPLICATION FORM

開戶申請表

INDIVIDUAL ACCOUNT/ 個人帳戶

JOINT ACCOUNT/ 聯名帳戶



TAIWAN CONCORD CAPITAL SECURITIES

(HONG KONG) LIMITED

康和證券（香港）有限公司

Room 702, 7/F., Tower 1, Admiralty Centre,
No. 18 Harcourt Road, Admiralty, Hong Kong

香港金鐘夏慤道 18 號海富中心 1 座 7 樓 702 室

Client's Name 客戶名稱： _____

Securities Account Number 證券帳號： _____

Futures Account Number 期貨帳號： _____

In the event that there is any inconsistency between the English version and the Chinese version in this Account Opening Application Form, the English version shall prevail.

開戶申請表之中文版本及英文版本如有任何歧義，概以英文版本為準。



ACCOUNT OPENING CHECKLIST 開戶核對表

I. DOCUMENTS TO BE COMPLETED 需要填妥的文件

- Duly completed and signed Account Opening Application Form
已填妥及簽署的開戶申請表
- Authorization for Third Party to Operate Account(s) with Certified True Copy of ID/ Passport copy of the Authorized Person(s) (If applicable) 授權第三者操作戶口授權書(附被授權人之身份證/護照的核證副本) (如適用)
- Duly completed and signed Customer Investment Risk Questionnaire by each account holder (applicable to clients who will trade OTC products or funds) 由每位帳戶持有人填妥及簽署的客戶投資風險問卷(適用於交易 OTC 產品或買賣基金的客戶)

II. BASIC SUPPORTING DOCUMENTS FOR VERIFICATION 供核實的基本證明文件

- Proof of Residential Address¹ (see Note 1) 住址證明(見註 1)
- Proof of Correspondence Address (see Note 1) (if different from Residential Address)
通訊地址證明(見註 1) (如與住址證明不同)
- Employer Consent Letter (applicable to Client who is licensed or registered persons with the SFC at another financial institution) 僱主同意書(適用於其他金融機構作證監會之持牌或註冊人士的客戶)
- Bank Statement Copy (if applicable) 銀行月結單副本(如適用)
- Form W-8BEN (Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)) (with Chinese translation) (W-8BEN 外國人扣繳憑證表單)(個人)(附中文譯文)

III. SPECIFIC SUPPORTING DOCUMENTS REQUIRED FOR CLIENTS WITH DIFFERENT RESIDENTIAL STATUS 有不同居留身份的客戶需要提供的證明文件

For Hong Kong Permanent Resident (if applicable) 香港永久居民適用

- Hong Kong Identity Card of Client 客戶香港身份證明

For Non-Hong Kong Permanent Resident (if applicable) 非香港永久居民適用

- Valid Passport or Travel Document of Client 客戶有效護照或旅行證件
- National (e.g. government or state-issued) Identity Card bearing the Client's photograph 附有客戶照片的國家(如政府或州簽發的)身份證件

¹ Note 1: Utility bill, correspondence from a government department or agency, statement issued by a bank in Hong Kong or overseas that have been issued within 3 months

註 1: 近三個月內發出的水電費帳單、政府部門或機構發出的通訊或香港或海外持牌銀行發出的銀行結單



IV. IMPORTANT NOTES 注意事項

Non Face-to-Face Approach 非面對面方式：

If this Account Opening Application Form is not executed by the Client in the presence of a SFC licensed employee of TCCSHK

若客戶並非在康和已獲香港證監會發牌的僱員面前簽署本開戶申請表

Method 1 (方式 1):

The Client may submit the following items to TCCSHK:

則客戶可提供下列文件予康和：

(a) the duly completed and signed Account Opening Application Form witnessed by a specified person² (see Note 2); and

已填妥及由指定人士（見註 2）見證簽署的《開戶申請表》；及

(b) all the documents as required under the Account Opening Checklist certified by a specified person

(see Note 2).

開戶核對表中所要求由指定人士（見註 2）核證的所有文件

Method 2 (方式 2):

Alternatively, the Client may submit the following items to TCCSHK:

或者，客戶可提交以下文件予康和：

(a) the duly completed and signed Account Opening Application Form;

已填妥及簽署的《開戶申請表》；

(b) copy of all the documents as required under the Account Opening Checklist; and

開戶核對表中所要求的所有文件；及

(c) an appropriate cheque (see Note 3)³

適當的支票（見註 3）

2 Note 2: Any Practising Lawyer, Practising Certified Public Accountant or Notary Public

註 2: 任何執業律師、執業會計師或法律公證人

3 Note 3: A crossed cheque in the sum of not less than HK\$10,000 (or such amount as may be advised by TCCSHK) bearing the Client's name shown in the identity document and drawn on the Client's bank account with a licensed bank in Hong Kong with the Client's authorized signature(s) as shown on this Account Opening Application Form in favour of "Taiwan Concord Capital Securities (Hong Kong) Limited".

註 3: 由客戶在香港的持牌銀行開立的帳戶所簽發的劃線支票，而該支票抬頭人須為「康和證券(香港)有限公司」及其數額不得少於 10,000 港元(或康和通知客戶的指定金額)，並須載客戶在身份證明文件上所顯示的姓名。



Taiwan Concord Capital Securities (Hong Kong) Limited

康和證券（香港）有限公司

Room 702, 7/F., Tower 1, Admiralty Centre, 18 Harcourt Road, Admiralty, Hong Kong
香港金鐘夏慤道18號海富中心1座7樓702室

Taiwan Concord Capital Securities (Hong Kong) Limited ("TCCSHK") is a licensed corporation under the Securities and Futures Ordinance (Cap. 571) ("SFO") licensed to conduct Type 1 (dealing in securities) as well as Type 4 (advising on securities) regulated activities and registered as such with the Securities and Futures Commission of Hong Kong ("SFC") (CE number ACS 694)

康和證券(香港)有限公司(「康和」)乃根據《證券及期貨條例》(第571章)(「證券條例」)獲發牌進行第1類(證券交易)及第4類(就證券提供意見)受規管活動之持牌法團，並就此於香港證券及期貨事務監察委員會(「證監會」)註冊(中央編號為ACS694)。

TCCSHK is also a licensed corporation under the SFO licensed to Type 2 (dealing futures contracts) regulated activities and registered as such with the SFC (CE number ACS 694), and an exchange participant of the Hong Kong Futures Exchange Limited.

康和乃根據《證券及期貨條例》獲准許進行第2類(期貨合約交易)受規管活動之持牌法團，並就此於證監會註冊(中央編號為ACS694)，並獲香港期貨交易所有限公司參與者資格。

FOR OFFICE USE ONLY 僅供內部使用：	
<input type="checkbox"/> Full Service A/C 全面服務帳戶	<input type="checkbox"/> Electronic Trading A/C 電子交易帳戶
Related Account(s) 相關帳戶： 	
Third Party Authorization 第三者授權： 	
Name 姓名：_____	
ID/Passport Number 證件號碼： 	
Approved on 獲批日期 為：_____	
Professional Investor 專業投資者： <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	
Approved on 獲批日期為：_____	

ACCOUNT OPENING APPLICATION FORM 開立帳戶申請表

FOR INDIVIDUAL/JOINT ACCOUNT 個人/聯名帳戶適用

Note 注意： 1. Please complete in block letters and tick (✓) the appropriate box where applicable. 請用正楷填寫，並在適當空格內加上別號(✓)。
2. *Please delete whichever is not appropriate and mark "N/A" on the unfilled spaces. *請刪去不適用者，並在不適用者填上"N/A"

1. ACCOUNT TYPE 帳戶類別	
Securities Account 證券帳戶 Customer Type 客戶種類 <input type="checkbox"/> Individual 個人 <input type="checkbox"/> Joint 聯名 (please fill in Appendix 1 請填寫附錄 1) Account Type 帳戶種類 <input type="checkbox"/> Cash Account 現金帳戶 <input type="checkbox"/> Margin Account 孖展帳戶(即融資帳戶)	Futures and Options Account 期貨及期權帳戶 Customer Type 客戶種類 <input type="checkbox"/> Individual 個人 <input type="checkbox"/> Joint 聯名 (please fill in Appendix 1 請填寫附錄 1) Account Type 帳戶種類 <input type="checkbox"/> Futures and Options Account 期貨及期權帳戶
Please select the type of services you require 請選擇所需的產品服務： <input type="checkbox"/> Hong Kong Equity 香港股票 <input type="checkbox"/> Global Stock 環球股票 <input type="checkbox"/> Hong Kong Futures 香港期貨 <input type="checkbox"/> Global Futures 環球期貨 <input type="checkbox"/> OTC Products 場外交易產品	
Method of Placing Order 落盤方式	<input type="checkbox"/> Telephone (Manual) 電話專人落盤 <input type="checkbox"/> Electronic Trading 電子交易
<APPLICABLE TO JOINT ACCOUNTS ONLY 只適用於聯名帳戶>	
The Account can be operated under the following signing instructions of 此帳戶可根據以下書面指示方式操作 <input type="checkbox"/> Singly by any one of the Joint Account Holders 任何一位聯名帳戶持有人發出 <input type="checkbox"/> Jointly by the Joint Account Holders 聯名帳戶所有持有人共同發出	



2. PERSONAL INFORMATION OF PRIMARY CLIENT 主要客戶的個人資料

<input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Ms. 女士 <input type="checkbox"/> Mrs. 太太	English Name 英文姓名	Chinese Name 中文姓名	
Marital Status 婚姻狀況 <input type="checkbox"/> Single 未婚 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Divorced 離婚	ID No./ Passport No. and Issuing Country 身份證號碼/護照號碼及簽發國家	Nationality 國籍	Date of Birth (dd/mm/yy) 出生日期

Residential Address 住宅地址

Correspondence Address (If different from Residential Address) 通訊地址 (如與住宅地址不同):

Home Tel. No. 住宅電話	Fax No. 傳真號碼	Mobile No. 手提電話	E-Mail Address 電郵地址
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Monthly Account Statements and General Correspondence to be sent to (Please select one only)
帳戶月結單及一般通訊以以下方式送交 (請只選一項)

Email Address (recommended) 電郵地址(建議選用)
 Residential Address 住宅地址
 Correspondence Address 通訊地址

Education 教育程度: Primary or below 小學或以下 Secondary 中學 Graduate 大學
 Postgraduate or above 碩士或以上

Employment 就業情況: Full-time Employment 受僱 Part-time Employment 兼職 Student 學生
 Retired 退休 Self-employed, please specify 自僱, 謹請說明: _____
 Others, please specify 其他, 謹請說明: _____

Name of Employer 僱主名稱	Nature of Business 業務性質
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Business Address 公司地址

Job Title 職位	Business Tel. No. 公司電話	Fax No. 傳真號碼	Years in the Occupation 工作年期
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3. SETTLEMENT ARRANGEMENT 結算安排

Bank Name 銀行名稱	Hong Kong Bank Account No. 香港銀行帳戶號碼	Name of the Account Holder 帳戶持有人名稱

4. FINANCIAL SUMMARY 個人/ 聯名帳戶持有人財務資料簡要

Source of Income/Funds (can choose more than one) 收入/資金來源 (可選多於一項)	<input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Commission 佣金 <input type="checkbox"/> Rent 租金 <input type="checkbox"/> Saving 儲蓄 <input type="checkbox"/> Investment Income 投資獲利 <input type="checkbox"/> Inheritance 遺產承繼 <input type="checkbox"/> Business Profit 業務利潤 <input type="checkbox"/> Others 其他: _____
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Annual Income (HK\$) 每年收入 (港幣)	<input type="checkbox"/> ≤150,000 <input type="checkbox"/> 150,001 - 500,000 <input type="checkbox"/> 500,001 -1,000,000 <input type="checkbox"/> 1,000,001 -2,000,000 <input type="checkbox"/> ≥ 2,000,000
Estimated Net Worth (HK\$) 估計淨資產值 (港幣)	<input type="checkbox"/> ≤ 500,000 <input type="checkbox"/> 500,001 - 1,000,000 <input type="checkbox"/> 1,000,001 - 3,000,000 <input type="checkbox"/> 3,000,001 - 5,000,000 <input type="checkbox"/> 5,000,001 - 8,000,000 <input type="checkbox"/> ≥8,000,001
Ownership of Property/ Real Estate 物業/房地產擁有權	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 If yes, please specify 如是，謹請說明： _____ <input type="checkbox"/> With financing 融資 <input type="checkbox"/> Without financing 未融資

5. INVESTMENT OBJECTIVES AND EXPERIENCE 投資目的及經驗

Investment Knowledge 投資知識	<input type="checkbox"/> No experience at all 沒有投資經驗 <input type="checkbox"/> HK listed securities 香港上市證券 _____ years 年 (average trade size 平均交易額 HK\$ _____) <input type="checkbox"/> Overseas listed securities 海外上市證券 _____ years 年 (average trade size 平均交易額 HK\$ _____) <input type="checkbox"/> HK futures and options 香港期貨及期權 _____ years 年 (number of contracts and products 合約及產品數量 _____) <input type="checkbox"/> Overseas futures and options 海外期貨及期權 _____ years 年 (number of contracts and products 合約及產品數量 _____) <input type="checkbox"/> Other(s) 其他 _____ ; years 年 _____
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Investment Objectives (can choose more than one) 投資目的 (可複選)	<input type="checkbox"/> Capital Appreciation 資本增長 <input type="checkbox"/> Generating Income 賺取收入 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Arbitrage 套戥 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Others 其他
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Investment Horizon 預計投資期	Risk Tolerance 風險承受程度 (請擇其一)	Please specify any brokerage firms that has ever provided services to you 請列出曾經替你服務的經紀公司
<input type="checkbox"/> No Constraint 沒有限制 <input type="checkbox"/> Short Term (<3 months) 短期 (少於3個月) <input type="checkbox"/> Medium Term (3-12 months) 中期 (3-12個月) <input type="checkbox"/> Long Term (>1year) 長期 (1年以上)	<input type="checkbox"/> Low 保守 <input type="checkbox"/> Medium 適中 <input type="checkbox"/> High 積極 * securities margin account belongs to medium and/or high risk categories 證券保證金帳戶屬於適中及/或積極風險類別	(1) _____ _____ (2) _____ _____

6. PERSONAL DISCLOSURE 個人資料披露

1. Is your spouse, parent or children a client of TCCSHK? 閣下的配偶、父母或子女是否康和的客戶? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 If yes, the Account Name is 如是，其帳戶姓名為： _____ (Account No 帳戶號碼： _____)
2. Are you operating another account in TCCSHK either by yourself or jointly with your spouse, parent and/or children? 閣下是否以個人或與配偶、父母、及/或子女共同操作另一個設立於康和的帳戶? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 If yes, the Account Name is 如是，其帳戶姓名為： _____ (Account No 帳戶號碼： _____)



3. Are you controlling 35% or more of the voting rights of any corporate clients of TCCSHK either by yourself or jointly with your spouse?

閣下是否以個人或與配偶共同控制任何康和客戶超過 35% 或以上的投票權?

No 否 Yes 是

If yes, the Account Name is 如是，其帳戶姓名為：_____

(Account No 帳戶號碼：_____)

4. Are you or your authorized person (if applicable) a licensed or registered person, director or employee of a person licensed by or registered with the SFC?

閣下或其授權人（如適用）是否證監會之持牌或註冊人士或持牌或註冊人士之董事或僱員？

No 否 Yes 是 If yes, please specify 如是，謹請說明：

Name of Person(s)姓名

Name of the Institution 機構名稱

Is a consent letter obtained from the employer for the opening of the Account:
是否已接獲其僱主對於客戶在康和開立帳戶的同意書? Yes 是 No 否

5. Are you or any person connected with you (e.g. your spouse, parent or children) a senior officer or director of any company whose shares are traded on any exchange or market or otherwise in control of such company?

閣下或閣下之任何關連人士如配偶、父母或子女等，是否任何公司之高級行政人員或董事或控制任何公司之人士而該公司之股份在任何交易所或市場買賣？

No 否 Yes 是 If yes, please specify 如是，謹請說明：

Name of Person(s)姓名

Position 職務

Name of the Listed Company & Stock Code
上市公司名稱和股票代號

6. Are you or your authorized person (if applicable) an employee or director of TCCSHK or TCCSHK Group or a relative of any employee or director of TCCSHK or TCCSHK Group?

閣下或閣下之授權人（如適用）是否康和或康和集團的僱員或董事或僱員或董事之親屬？

No 否 Yes 是 If yes, please specify 如是，謹請說明：

Name of Person(s)姓名

Name of the Institution 機構名稱

“TCCSHK Group” means TCCSHK, TCCSHK’s holding company (as defined in the Companies Ordinance of Hong Kong), subsidiaries (as defined in the Companies Ordinance of Hong Kong) of such holding company or any of TCCSHK’s subsidiaries.

「康和集團」指康和、康和的控股公司（按香港《公司條例》定義）或該控股公司的任何康和子公司（按香港《公司條例》定義）或任何康和的子公司。



7. Politically Exposed Person 政治人物

Are you and/or your authorized person (if applicable), any of their respective spouses, partners, children or parents, or a spouse or a partner of a child of such individual, or close associate of such individual is or has been entrusted with a prominent public function or holding senior public office in any place (which shall include a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and an important political party official)?

閣下及/或閣下之授權人(如適用)、其各自的配偶、伴侶、子女或父母、或該名個人的子女的配偶或伴侶、或與該名個人有關係密切的人是否在任何地方擔任或曾擔任重要的公職(包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事)?

No 否 Yes 是

Are you and/or your authorized person (if applicable), any of their respective spouses, partners, children or parents, or a spouse or a partner of a child of such individual, or close associate of such individual is or has been is a sub-national political figure in any place (which shall include but not limited to heads of regional governments, regional government ministers or large city mayors)?

閣下及/或閣下之授權人(如適用)、其各自的配偶、伴侶、子女或父母、或該名個人的子女的配偶或伴侶、或與該名個人有關係密切的人是否在任何地方為或曾為國家次級政要(其中包括但不限於地區級政府首長、地區政府部長或大城市市長)?

No 否 Yes 是

If yes to any of the questions above, please provide 如任何問題的答案為是，請提供：

Name of the politically exposed person 政治人物的名稱：_____

Place and public function entrusted with 地方及所擔任的公職：_____

Term of the public function entrusted with 所擔任公職的年期：_____

Relationship with you 與閣下之關係：_____

8. Are you the ultimate beneficiary owner(s) of the Account?

閣下是否此帳戶最終受益人或擁有人? Yes 是 No 否

If no, give detailed particulars of the ultimate beneficiary owner(s)

如否，請提供最終受益人或擁有人之詳盡資料：_____

9. Are you the person ultimately responsible for originating instructions?

閣下對發出指令負最終責任嗎?

Yes 是 No 否

10. Are you the person ultimately benefiting from the transactions and/or bearing the commercial or economic risk?

閣下是否交易最終受益人及/或負責承擔商業或經濟風險的人?

Yes 是 No 否

If you indicate "no" to any of the questions above, please give details of such person

如任何問題的答案為「不是」，請提供相關人士的詳細資料：_____



11. Are you a trustee of a trust?

閣下是信託基金受託人嗎？ No 否 Yes 是

12. Are you carrying out a transaction on behalf of a trust?

閣下是否代表信託執行交易嗎？ No 否 Yes 是

If yes, give detailed particulars of the trust 如是，請提供信託基金的詳細資訊：_____

Name of Trust 信託基金名稱：_____

Date of Establishment/ Settlement 訂立/ 結算日期：_____

Jurisdiction/ Laws Governing the Trust 信託司法管轄區/ 管轄法律：_____

Name of Settlor 財產授予人姓名：_____

Identification Information of Settlor 財產授予人身份資料：_____

Name of Protector(s) or Enforcer(s) 信託保護人或執行人身份姓名：_____

Identification Information of Protector(s) or Enforcer(s) 信託保護人或執行人身份資料：

Name of Beneficiary(ies) 受益人姓名：_____

Identification Information of Beneficiary(ies) 受益人身份資料：_____

Please provide a copy of the Trust Deed for verification. 請提供信託契約副本以供核實。

13. Do you reside outside Hong Kong?

閣下是否居住在香港以外？ No 否 Yes 是

If yes, please complete the Process Agent Appointment Form. 如是，請填寫送達法律程序文件代理的委任表格。

7. DERIVATIVE KNOWLEDGE ASSESSMENT QUESTIONNAIRE 對結構性及衍生產品認識之評估問卷

1. Have you undergone or attended any training courses or seminars that provide general knowledge of the nature and risks of structured or derivative products(s) (e.g. courses offered by financial or academic institutions)?

閣下有否參與過有關結構性或衍生產品之一般性質及風險的培訓課程 (例如：由金融或學術機構所提供之課程)?

Yes 有 No 否

2. Have you had any current or previous work experience related to structured or derivative product(s) (e.g. financial institutions such as bank, fund house, brokerage firm, regulatory authority, etc)?

閣下現時或以前的工作經驗與結構性或衍生產品有關 (例如：金融機構如銀行、基金公司、經紀行、監管機構等)?

Yes 有 No 否

If yes, please specify 如有，謹請說明：



3. Have you invested into any of the product(s) below more than **five** times in the past **three** years?
 你是否於過去三年內已進行五宗或以上有關以下任何產品的交易?

Yes 有 No 沒有

If yes, please select the products below (multiple options if applicable)
 如有，請選擇以下產品（如適用，可選多項）：

<input type="checkbox"/> Exchange Traded Convertible Bonds 在交易所買賣的可換股債券	<input type="checkbox"/> Equity Linked Instruments / Notes (ELI/ELN) 與股票掛鈎的投資工具/票據
<input type="checkbox"/> Callable Bull/Bear Contract (CBBC) 牛熊證	<input type="checkbox"/> Exchange Traded Funds (ETF) 交易所買賣基金
<input type="checkbox"/> Rights 供股權	<input type="checkbox"/> Futures and Options 期貨或期權合約交易
<input type="checkbox"/> Stock Options 股票期權	<input type="checkbox"/> Derivative Warrants 衍生認股權證

I have NO knowledge about structured or derivative products.
 本人對結構性或衍生產品並無認識。

For more details of relevant risks and nature of structured and derivative products, please refer to the following websites

欲了解更多有關結構性及衍生產品風險和性質詳情，請參考以下網站：

www.sfc.hk (Securities and Futures Commission / 證券及期貨事務監察委員會)

www.hkex.com.hk (HK Exchange and Clearing Limited / 香港交易所)

<http://www.hkiec.hk/web/en> (Investor Education Centre / 投資者教育中心)

8. USE OF PERSONAL DATA 使用個人資料

In respect of the use of the personal data supplied by you, including name, address and telephone number, if you disagree with using any of the personal data or any kinds of means of transmission for the purpose of direct marketing purposes, please indicate objection by ticking the box below

有關使用閣下所提供的個人資料，包括姓名、地址和電話號碼，如閣下不同意使用任何個人資料或以任何傳送方式作直銷用途，請下面空格表明不同意。

I **do not agree** with the proposed use of my personal data in direct marketing.
 本人**不同意**將本人的個人資料用於直銷用途。

At any time in the future, you may also inform our Customer Service Department should you wish to opt-out of our use of the personal data for any of the direct marketing purposes.

在未來的任何時候，閣下若不希望我們將其個人資料用於任何一項直銷用途時，可通知我們的客戶服務部。



9. CLIENT'S ACKNOWLEDGEMENT AND DECLARATION 客戶的確認及聲明

Prior to signing this Account Opening Application Form, please:

在簽署本《開戶申請表》前，請：

- (a) note that all transactions to be concluded with or through TCCSHK shall be subject to the terms and conditions of the Client Agreement; and
注意所有與康和達成或通過康和達成的交易均受限於《客戶協議》的條款及條件；及
- (b) read the Client Agreement (including the Risk Disclosure Statement) carefully, ask questions and take independent advice if the Client so wishes.
仔細閱讀《客戶協議》(包括《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/We hereby declare and confirm that I/we have received, read and understood the Client Agreement of which this document and its attachments form a part (the "Agreement"), including the Risk Disclosure Statements contained in the aforesaid Client Agreement, Personal Data (Privacy) Collection Statement and other supplements which may be entered into in writing between TCCSHK and me/us from time to time, any letters of authorizations relating to securities margin financing, and accept and agree to be bound by each of the above as amended and/or supplemented from time to time. 本人/我們在此聲明並確認本人/我們已經收到、閱讀和理解由本文件及其附件構成的《客戶協議》(「該協議」)，包括在上述《客戶協議》內所包含有關的《風險披露聲明》、個人資料(隱私)收集聲明和其他有可能由康和與本人/我們之間不時以書面達成的補充協議、任何與證券保證金融資相關的授權書，並且接受和同意受以上各項之不時修訂及/或補充協議的約束。
- I/We hereby declare and confirm that the information in this Account Opening Application Form is true, complete, up-to-date and correct and I/we undertake that I/we will advise TCCSHK forthwith of any changes to the information supplied herein and all attachments herewith. TCCSHK is entitled to rely fully on such information for all purposes unless TCCSHK has received actual prior written notice of any change from me/us.
本人/我們在此聲明並確認本《開戶申請表》的資料均屬真實、完整、符合現況和正確的，並且本人/我們將通知康和任何本表格及其附件內所提供資料的變更。康和有權在各方面而言完全依賴這些資料，除非康和收到了從本人/我們就任何變更發出的實際事先的書面通知。

Furthermore, TCCSHK is authorized to obtain at any time references and account balances from my/our bankers (I/we waive any duty of confidentiality involved) and to contact any other persons to check the information provided herein. Further, I/we hereby authorize TCCSHK to conduct credit enquiries and checks for the purpose of ascertaining my/our financial situation and investment objective.

此外，康和經已被授權可在任何時間從本人/我們的銀行獲得參考及帳戶結餘的資料(本人/我們放棄其中涉及的任何保密責任)，並與任何其他人士聯繫以核實本文件所提供的資料。另外，本人/我們在此授權康和為確認本人/我們的財務狀況和投資目的而作出的信貸查詢和核實。

I/We understand that I/we may be required to provide additional information or submit documentary proof as to the information provided in this form when requested by TCCSHK. I/We understand that my/our submission of this form and the acceptance of this form by TCCSHK in no way implies approval for opening of the Account for me/us and that TCCSHK reserves the unconditional right to reject my/our application.

本人/我們理解康和有可能要求本人/我們提供本表格以外的其他資料或證明文件。本人/我們理解本人/我們提交本表格予康和及康和接受本表格並不以任何方式意味開立帳戶已獲批准，且康和保留無條件拒絕本人/我們申請的權利。

I/We hereby apply to open the above type(s) of account and agree to be bound by the Agreement (receipt of a copy whereof is hereby acknowledged by me/us) including its Standard Terms and Conditions and relevant Schedule(s) as the same may be amended and supplemented from time to time.

本人/我們在此申請開立上述類型的帳戶並同意受該協議約束(本人/我們確認已經收到了該協議的副本)，包括該協議的標準條件和條款以及相關附件和不時可能作出的修訂和補充。

Primary Client Signature/Specimen Signature
主要客戶簽署/簽署式樣

[For Joint Account Only 僅適用於聯名帳戶]

Joint Client Signature/Specimen Signature
聯名客戶簽署/簽署式樣

Client Name 客戶名稱：

Client Name 客戶名稱：

Date 日期：

Date 日期：



10. ACKNOWLEDGEMENT BY CLIENT 客戶確認

I/We, _____ (Name in Block Letters), hereby acknowledge and confirm that I/we have been provided with the Risk Disclosure Statements contained in the Client Agreement in English/ Chinese* which is a language of my/our choice and that I/we have been invited to read the same, to ask questions and to take independent advice (if I/we so wish).

本人/我們，_____ (姓名以正楷填寫)，在此確認本人/我們已經收到了《客戶協議》當中所包含按本人//我們選擇提供的英文/中文*版本的《風險披露聲明》，且本人/我們已經按邀閱讀了該聲明，提出問題並徵求獨立意見（如果本人/我們有此意願）。

* delete if not applicable 請刪去不適用者

Signature of Primary Client
主要客戶簽署

Signature of Joint Client
聯名客戶簽署

Date
日期

Date
日期

11. TO BE COMPLETED BY THE LICENSED REPRESENTATIVE OF TCCSHK OR PROFESSIONAL# 由康和的持牌代表或專業人士#填寫

Name 姓名

Qualification 資格/職位

Address 位址

Witness Signature 見證人簽署

Date 日期

Acknowledged and Accepted by
For and on behalf of Taiwan Concord Capital Securities (Hong Kong) Limited
經由代表康和證券（香港）有限公司確認及接納

Authorized Signature with Company Chop
授權簽署及公司蓋章

Date 日期：

Professional: Any Practising Lawyer, Practising Certified Public Accountant or Notary Public
專業人士：執業律師、執業會計師或法律公證人



12. DECLARATION TO BE COMPLETED BY LICENSED REPRESENTATIVE OF TCCSHK
由康和的持牌代表填寫聲明

I, _____ (Name in Block Letters) with C.E. Number _____ being a member of staff of TCCSHK, and a person licensed as a representative under the SFO, hereby declare and confirm that I have provided the Risk Disclosure Statements contained in the Client Agreement in **English/ Chinese*** which is a language of the above Client's choice to the above Client(s) and that I have invited the Client(s) to read the same, to ask questions and to take independent advice (if the Client(s) so wish(es)).

本人 _____ (姓名以正楷填寫) 中央編號 _____, 作為康和的僱員及根據《證券及期貨條例》(香港法例第 571 條) 下獲發牌人士, 聲明及確認本人已按上述客戶選擇的 中/英文 語言版本而提供《客戶協議》當中所包含的《風險披露聲明》, 且本人並邀請該客戶閱讀該等條款、提出問題及徵求獨立意見 (如客戶有此意願)。

* **delete if not applicable 請刪去不適用者**

By way of 通過:

Face to Face; or 面對面; 或

Telephone 電話

Recorded Line No. 電話錄音號碼:

Date & Time 日期及時間: _____

Signature of Licensed Representative 持牌代表簽署



APPENDIX 1: PERSONAL INFORMATION PAGE FOR JOINT ACCOUNT HOLDER(S)

附錄 1: 聯名帳戶持有人的個人資料頁

1. PERSONAL INFORMATION OF JOINT CLIENT 聯名客戶的個人資料			
<input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Ms. 女士 <input type="checkbox"/> Mrs. 太太	English Name 英文姓名	Chinese Name 中文姓名	
Marital Status 婚姻狀況 <input type="checkbox"/> Single 未婚 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Divorced 離婚	ID No./ Passport No. and Issuing Country 身份證號碼/護照號碼及簽發國家	Nationality 國籍	Date of Birth (dd/mm/yy) 出生日期
Residential Address 住宅地址			
Correspondence Address (If different from Residential Address) 通訊地址 (如與住宅地址不同):			
Home Tel. No. 住宅電話	Fax No. 傳真號碼	Mobile No. 手提電話	E-Mail Address 電郵地址
Monthly Account Statements and General Correspondence to be sent to (Please select one only) 帳戶月結單及一般通訊以以下方式送交 (請只選一項) <input type="checkbox"/> Email Address (recommended) 電郵地址(建議選用) <input type="checkbox"/> Residential Address 住宅地址 <input type="checkbox"/> Correspondence Address 通訊地址			
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"/> Graduate 大學 <input type="checkbox"/> Postgraduate or above 碩士或以上			
Employment 就業情況: <input type="checkbox"/> Full-time Employment 受僱 <input type="checkbox"/> Part-time Employment 兼職 <input type="checkbox"/> Student 學生 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Self-employed, please specify 自僱, 謹請說明: _____ <input type="checkbox"/> Others, please specify 其他, 謹請說明: _____			
Name of Employer 僱主名稱		Nature of Business 業務性質	
Business Address 公司地址			
Job Title 職位	Business Tel. No. 公司電話	Fax No. 傳真號碼	Years in the Occupation 工作年期
2. SETTLEMENT ARRANGEMENT 結算安排			
Bank Name 銀行名稱	Hong Kong Bank Account No. 香港銀行帳戶號碼	Name of the Account Holder 帳戶持有人名稱	



3. FINANCIAL SUMMARY 個人/ 聯名帳戶持有人財務資料簡要		
Source of Income/Funds (can choose more than one) 收入/資金來源 (可選多於一項)	<input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Commission 佣金 <input type="checkbox"/> Rent 租金 <input type="checkbox"/> Saving 儲蓄 <input type="checkbox"/> Investment Income 投資獲利 <input type="checkbox"/> Inheritance 遺產承繼 <input type="checkbox"/> Business Profit 業務利潤 <input type="checkbox"/> Others 其他：_____	
Annual Income (HK\$) 每年收入 (港幣)	<input type="checkbox"/> ≤150,000 <input type="checkbox"/> 150,001 - 500,000 <input type="checkbox"/> 500,001 -1,000,000 <input type="checkbox"/> 1,000,001 -2,000,000 <input type="checkbox"/> ≥ 2,000,000	
Estimated Net Worth (HK\$) 估計淨資產值 (港幣)	<input type="checkbox"/> ≤ 500,000 <input type="checkbox"/> 500,001 - 1,000,000 <input type="checkbox"/> 1,000,001 - 3,000,000 <input type="checkbox"/> 3,000,001 - 5,000,000 <input type="checkbox"/> 5,000,001 - 8,000,000 <input type="checkbox"/> ≥8,000,001	
Ownership of Property/ Real Estate 物業/房地產擁有權	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 If yes, please specify 如是，謹請說明： _____ <input type="checkbox"/> With financing 融資 <input type="checkbox"/> Without financing 未融資	
4. INVESTMENT OBJECTIVES AND EXPERIENCE 投資目的及經驗		
Investment Knowledge 投資知識	<input type="checkbox"/> No experience at all 沒有投資經驗 <input type="checkbox"/> HK listed securities 香港上市證券 _____ years 年 (average trade size 平均交易額 HK\$ _____) <input type="checkbox"/> Overseas listed securities 海外上市證券 _____ years 年 (average trade size 平均交易額 HK\$ _____) <input type="checkbox"/> HK futures and options 香港期貨及期權 _____ years 年 (number of contracts and products 合約及產品數量 _____) <input type="checkbox"/> Overseas futures and options 海外期貨及期權 _____ years 年 (number of contracts and products 合約及產品數量 _____) <input type="checkbox"/> Other(s) 其他 _____ ; years 年 _____	
Investment Objectives (can choose more than one) 投資目的 (可複選)	<input type="checkbox"/> Capital Appreciation 資本增長 <input type="checkbox"/> Generating Income 賺取收入 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Arbitrage 套戥 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Others 其他: _____	
Investment Horizon 預計投資期	Risk Tolerance 風險承受程度 (請擇其一)	Please specify any brokerage firms that has ever provided services to you 請列出曾經替你服務的經紀公司
<input type="checkbox"/> No Constraint 沒有限制 <input type="checkbox"/> Short Term (<3 months) 短期 (少於3個月) <input type="checkbox"/> Medium Term (3-12 months) 中期 (3-12個月) <input type="checkbox"/> Long Term (>1year) 長期 (1年以上)	<input type="checkbox"/> Low 保守 <input type="checkbox"/> Medium 適中 <input type="checkbox"/> High 積極 * securities margin account belongs to medium and/or high risk categories 證券保證金帳戶屬於適中及/或積極風險類別	(1) _____ _____ (2) _____ _____



5. PERSONAL DISCLOSURE 個人資料披露

1. Is your spouse, parent or children a client of TCCSHK?

閣下的配偶、父母或子女是否康和的客戶？

No 否 Yes 是

If yes, the Account Name is 如是，其帳戶姓名為： _____

(Account No 帳戶號碼： _____)

2. Are you operating another account in TCCSHK either by yourself or jointly with your spouse, parent and/or children?

閣下是否以個人或與配偶、父母、及/或子女共同操作另一個設立於康和的帳戶？

No 否 Yes 是

If yes, the Account Name is 如是，其帳戶姓名為： _____

(Account No 帳戶號碼： _____)

3. Are you controlling 35% or more of the voting rights of any corporate clients of TCCSHK either by yourself or jointly with your spouse?

閣下是否以個人或與配偶共同控制任何康和客戶超過 35% 或以上的投票權？

No 否 Yes 是

If yes, the Account Name is 如是，其帳戶姓名為： _____

(Account No 帳戶號碼： _____)

4. Are you or your authorized person (if applicable) a licensed or registered person, director or employee of a person licensed by or registered with the SFC?

閣下或其授權人（如適用）是否證監會之持牌或註冊人士或持牌或註冊人士之董事或僱員？

No 否 Yes 是 If yes, please specify 如是，謹請說明：

Name of Person(s) 姓名 Name of the Institution 機構名稱

Is a consent letter obtained from the employer for the opening of the Account:
是否已接獲其僱主對於客戶在康和開立帳戶的同意書？ Yes 是 No 否

5. Are you or any person connected with you (e.g. your spouse, parent or children) a senior officer or director of any company whose shares are traded on any exchange or market or otherwise in control of such company?

閣下或閣下之任何關連人士如配偶、父母或子女等，是否任何公司之高級行政人員或董事或控制任何公司之人士而該公司之股份在任何交易所或市場買賣？

No 否 Yes 是 If yes, please specify 如是，謹請說明： _____

6. Are you or your authorized person (if applicable) an employee or director of TCCSHK or TCCSHK Group or a relative of any employee or director of TCCSHK or TCCSHK Group?

閣下或閣下之授權人（如適用）是否康和或康和集團的僱員或董事或僱員或董事之親屬？

No 否 Yes 是 If yes, please specify 如是，謹請說明：

Name of Person(s) 姓名 Name of the Institution 機構名稱

“TCCSHK Group” means TCCSHK, TCCSHK’s holding company (as defined in the Companies Ordinance of Hong Kong), subsidiaries (as defined in the Companies Ordinance of Hong Kong) of such holding company or any of TCCSHK’s subsidiaries.

「康和集團」指康和、康和的控股公司（按香港《公司條例》定義）或該控股公司的任何康和子公司（按香港《公司條例》定義）或任何康和的子公司。

7. Politically Exposed Person 政治人物

Are you and/or your authorized person (if applicable), any of their respective spouses, partners, children or parents, or a spouse or a partner of a child of such individual, or close associate of such individual is or has been entrusted with a prominent public function or holding senior public office in any place (which shall include a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and an important political party official)?

閣下及/或閣下之授權人(如適用)、其各自的配偶、伴侶、子女或父母、或該名個人的子女的配偶或伴侶、或與該名個人有關係密切的人是否在任何地方擔任或曾擔任重要的公職(包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事)?

No 否 Yes 是

Are you and/or your authorized person (if applicable), any of their respective spouses, partners, children or parents, or a spouse or a partner of a child of such individual, or close associate of such individual is or has been is a sub-national political figure in any place (which shall include but not limited to heads of regional governments, regional government ministers or large city mayors)?

閣下及/或閣下之授權人(如適用)、其各自的配偶、伴侶、子女或父母、或該名個人的子女的配偶或伴侶、或與該名個人有關係密切的人是否在任何地方為或曾為國家次級政要(其中包括但不限於地區級政府首長、地區政府部長或大城市市長)?

No 否 Yes 是

If yes to any of the questions above, please provide 如任何問題的答案為是，請提供：

Name of the politically exposed person 政治人物的名稱： _____

Place and public function entrusted with 地方及所擔任的公職： _____

Term of the public function entrusted with 所擔任公職的年期： _____

Relationship with you 與閣下之關係： _____

8. Are you the ultimate beneficiary owner(s) of the Account?

閣下是否此帳戶最終受益人或擁有人? Yes 是 No 否

If no, give detailed particulars of the ultimate beneficiary owner(s)

如否，請提供最終受益人或擁有人之詳盡資料： _____

9. Are you the person ultimately responsible for originating instructions?

閣下對發出指令負最終責任嗎?

Yes 是 No 否

10. Are you the person ultimately benefiting from the transactions and/or bearing the commercial or economic risk?

閣下是否交易最終受益人及/或負責承擔商業或經濟風險的人?

Yes 是 No 否

If you indicate "no" to any of the questions above, please give details of such person

如任何問題的答案為「不是」，請提供相關人士的詳細資料： _____

11. Are you a trustee of a trust?

閣下是信託基金受託人嗎? No 否 Yes 是



12. Are you carrying out a transaction on behalf of a trust?

閣下是否代表信託執行交易嗎？ No 否 Yes 是

If yes, give detailed particulars of the trust 如是，請提供信託基金的詳細資訊：_____

Name of Trust 信託基金名稱：_____

Date of Establishment/ Settlement 訂立/ 結算日期：_____

Jurisdiction/ Laws Governing the Trust 信託司法管轄區/ 管轄法律：_____

Name of Settlor 財產授予人姓名：_____

Identification Information of Settlor 財產授予人身份資料：_____

Name of Protector(s) or Enforcer(s) 信託保護人或執行人身份姓名：_____

Identification Information of Protector(s) or Enforcer(s) 信託保護人或執行人身份資料：

Name of Beneficiary(ies) 受益人姓名：_____

Identification Information of Beneficiary(ies) 受益人身份資料：_____

Please provide a copy of the Trust Deed for verification. 請提供信託契約副本以供核實。

13. Do you reside outside Hong Kong?

閣下是否居住在香港以外？ No 否 Yes 是

If yes, please complete the Process Agent Appointment Form.

如是，請填寫送達法律程序文件代理的委任表格。

6. DERIVATIVE KNOWLEDGE ASSESSMENT QUESTIONNAIRE

對結構性及衍生產品認識之評估問卷

4. Have you undergone or attended any training courses or seminars that provide general knowledge of the nature and risks of structured or derivative products(s) (e.g. courses offered by financial or academic institutions)?

閣下有否參與過有關結構性或衍生產品之一般性質及風險的培訓課程 (例如：由金融或學術機構所提供之課程)?

Yes 有 No 否

5. Have you had any current or previous work experience related to structured or derivative product(s) (e.g. financial institutions such as bank, fund house, brokerage firm, regulatory authority, etc)?

閣下現時或以前的工作經驗與結構性或衍生產品有關(例如：金融機構如銀行、基金公司、經紀行、監管機構等)?

Yes 有 No 否

If yes, please specify 如有，謹請說明：



6. Have you invested into any of the product(s) below more than **five** times in the past **three** years?
你是否於過去三年內已進行五宗或以上有關以下任何產品的交易？

Yes 有 No 沒有

If yes, please select the products below (multiple options if applicable)
如有，請選擇以下產品（如適用，可選多項）：

<input type="checkbox"/> Exchange Traded Convertible Bonds 在交易所買賣的可換股債券	<input type="checkbox"/> Equity Linked Instruments / Notes (ELI/ELN) 與股票掛鈎的投資工具/票據
<input type="checkbox"/> Callable Bull/Bear Contract (CBBC) 牛熊證	<input type="checkbox"/> Exchange Traded Funds (ETF) 交易所買賣基金
<input type="checkbox"/> Rights 供股權	<input type="checkbox"/> Futures and Options 期貨或期權合約交易
<input type="checkbox"/> Stock Options 股票期權	<input type="checkbox"/> Derivative Warrants 衍生認股權證

I have NO knowledge about structured or derivative products. 本人對結構性或衍生產品並無認識。

For more details of relevant risks and nature of structured and derivative products,
please refer to the following websites

欲了解更多有關結構性及衍生產品風險和性質詳情，請參考以下網站：

www.sfc.hk (Securities and Futures Commission / 證券及期貨事務監察委員會)

www.hkex.com.hk (HK Exchange and Clearing Limited / 香港交易所)

<http://www.hkiec.hk/web/en> (Investor Education Centre / 投資者教育中心)

7. USE OF PERSONAL DATA 使用個人資料

In respect of the use of the personal data supplied by you, including name, address and telephone number, if you disagree with using any of the personal data or any kinds of means of transmission for the purpose of direct marketing purposes, please indicate objection by ticking the box below

有關使用閣下所提供的個人資料，包括姓名、地址和電話號碼，如閣下不同意使用任何個人資料或以任何傳送方式作直銷用途，請下面空格表明不同意。

I **do not agree** with the proposed use of my personal data in direct marketing.
本人**不同意**將本人的個人資料用於直銷用途。

At any time in the future, you may also inform our Customer Service Department should you wish to opt-out of our use of the personal data for any of the direct marketing purposes.

在未來的任何時候，閣下若不希望我們將其個人資料用於任何一項直銷用途時，可通知我們的客戶服務部。