Date
日期

Account No.户口号码

Manford Financial Limited
民锋金融有限公司

(SFC CE Number 证监会中央编号: BRE352)
Address 地址: Flat 3403, *118 Connaught Road West*, Hong Kong 香港干诺道西118号34楼3403室
General Line 电话: (852) 3755 3088   Fax 传真: (852) 3755 3089 E-mail 电邮: cs@manfordfin.com

Account Opening Form (Individual Account)
开户表格 (个人帐户)

(This form shall be read with the Client Account Agreement 此表格须与客户协议一并阅读)

A. ACCOUNT TYPE 账户类别	
Entity of the Client 客户身份	☐ Individual Account 个人账户
Account Type(s) 账户类别	☐ Securities Account (Cash) 证券账户 (现金) ☐ Securities Account (Margin) 证券账户 (保证金) ☐ Futures Trading Account 期货交易帐户
Method of Placing Order 落盘方式	☐ By Telephone (Manual) 电话专人落盘 ☐ By Electronics 电子落盘

B. CLIENT INFORMATION 客户资料						
B1. Personal Information of Account Holder (1) 账户持有人 (1) 之个人资料						
☐Mr先生 ☐Ms女士	(Surname) (姓)	(First name) (名)			(Date of Birth 出生日期) Year 年 Month 月 Day日	
ID / Passport No. 身份证 / 护照号码		Nationality 国籍		Place of Birth 出生地点		
Residential Address 住址						
B2. Contact Information 联络数据						
Telephone Number 电话号码	(Home 住宅)	(Mobile 手提)	(Fax 传真)			
Email Address 电邮地址	(The email address is for sending form(s), news, notices and statements 这电邮地址用作发送表格、信息、通知及结单)					
B3. Employment Information 受雇资料						
☐ Employed 受雇 ☐ Self-employed 自雇 ☐ Retired 退休 ☐ Housewife 家庭主妇 ☐ Others 其他: ____________						
Name of Employer 雇主名称		Position 职位				
Nature of Business 业务性质		Years of Service 服务年资				
Office Address 办公地址		Office Tel No. 公司电话号码				
B4. Financial Status 财务状况						
Annual Income (HKD) 年薪 (港元)	☐ <200,001 ☐ 200,001 - 500,000 ☐ 500,001 – 1,000,000 ☐ 1,000,001 – 5,000,000 ☐ > 5,000,000					
Other Source of Income (not include Salary and Commission / Bonus) 其他收入来源(不包括薪金,佣金及奖金)	☐ Savings 储蓄 ☐ Business Income 业务收入 ☐ Retirement Funds 退休基金 ☐ Return on Investment 投资回报 ☐ Rental Income 租金收入 ☐ Loan 借贷 ☐ Others 其他 ___________ ☐ Nil 无					
Total Net Value of Assets (HKD) 总资产净值(港元)	☐ ≤ 500,000 ☐ 500,000 - 1,000,000 ☐ 1,000,000 - 8,000,000 ☐ > 8,000,000					

Ownership of Residence 住宅业权	☐ Owned 自置 ☐ Rented 租用 ☐ Mortgaged 按揭 ☐ Others 其他 ___________
Address of Any Owned or Mortgaged Property 如有自置或按揭物业，请填写物业地址	1.
	2.
	3.

B5. Client's Investment Profile and Knowledge of Derivative Products 客户投资概况及对衍生产品的认识

Investment Objective 投资目的	☐ 短线Short Term ☐ 中线Medium Term ☐ 长线Long Term
	☐ Capital Gain & Growth 资本增值 ☐ Hedging 对冲 ☐ Dividends Income 股息收益 ☐ Others 其他 ___________________________
Expected Investment Amount (HK$) 预期投资金额 (港元)	☐ ≤ $300,000 ☐ $300,001 - $1,000,000 ☐ $1,000,001 - $2,000,000 ☐ $2,000,001 - $4,000,000 ☐ $4,000,001 - $8,000,000 ☐ > $8,000,000

Investment Products and Investment Experience 曾买卖产品及投资经验	Nil 无	< 1 year 少于一年	1-5 years 一至五年	6-10 years 六至十年	> 10 years 多于十年
Stock 股票	☐	☐	☐	☐	☐
CBBC 牛熊证	☐	☐	☐	☐	☐
Derivatives Warrants 衍生权证 (窝轮)	☐	☐	☐	☐	☐
Futures 期货	☐	☐	☐	☐	☐
Options 期权	☐	☐	☐	☐	☐
Bonds/Fund 债券/基金	☐	☐	☐	☐	☐
Others 其他 __________	☐	☐	☐	☐	☐

Knowledge of Derivative Products 对衍生产品的认识	1. The Client underwent training or attended courses on derivative products. 客户曾接受有关衍生产品的培训或修读相关课程。	☐ Yes 是 ☐ No 否
	2. The Client has current or previous work experience related to derivative products. 客户现时或过去拥有与衍生产品有关的工作经验。	☐ Yes 是 ☐ No 否
	3. The Client has executed five or more transactions within the past three years in derivative products, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures and Options, Commodities, Structured Products, and Exchange Traded Funds, etc. 客户于过去3 年曾执行5 次或以上有关衍生产品的交易，例如：衍生权证、牛熊证、股票、期权、期货及期权、商品、结构性产品及交易所买卖基金等。	☐ Yes 是 ☐ No 否

B7. Settlement Account Information 结算帐户资料

Currency 货币	Name of Bank 银行名称	Account No.帐户号码	Name of Account Holder 账户名称
HKD 港币			
USD 美元			
RMB 人民币			
Other 其他			

C. Authorized Person for Account Operation 账户操作之获授权人士

C1. I (the Client) hereby agree and appoint the following person as the Authorized Person as defined in the "Client Account Agreement". All account(s) maintained by the Client can be operated on the instructions of the Authorized Person. I (the Client) hereby declare that I (the Client) shall be fully responsible for any instructions given or purported to be given by the Authorized Person (including but not limiting to the verbal instructions or written instructions), and shall fully indemnify Manford Financial Limited against all damages, losses, costs and expenses whatsoever incurred as a result of any act, inactivity or omission of the Authorized Person.

本人(客户)谨此委任下列人士作为《客户协议》中所定义的获授权人士。客户持有之所有账户可根据获授权人士之指示运作。本人(客户)兹声明对由获授权人士或声称为获授权人士所发出之任何指示(包括但不限于口头指示或书面指示)承担全部责任，并会就民锋金融有限公司因该等获授权人士之任何行为，不作为或遗漏而引致的一切赔偿、损失、费用及开支向民锋金融有限公司作出全部弥偿。

When I, the Authorized Person listed below, after signing in the signature column herein below, indicated that I accept the abovementioned Client's authorization to become its Authorized Person. I hereby agree that shall be fully responsible for all the liabilities arising from the Client's relevant account(s) with Manford Financial Limited and shall fully indemnify Manford Financial Limited against all damages, losses, costs and expenses whatsoever incurred as a result of any act, inactivity or omission of the Client and/or myself.

当本人(获授权人士)于下列签署栏内签署后，即表示同意接受客户的授权成为其获授权人士，并同意承担客户之账户内之一切责任，亦须就民锋金融有限公司因客户及／或本人之任何行为，不作为或遗漏而引致的一切赔偿、损失、费用及开支向民锋金融有限公司作出全部弥偿。

Name of Authorized Person 获授权人士姓名	
HKID / Passport No. 香港身份证 / 护照号码	
Relationship between Authorized Person and Client Contact 客户与获授权人士之关系	
Contact No 联络电话	

(Accepted and Signed by Authorized Person 获授权人士接纳和签署)	*(Confirmed and Signed by Client由客户确认及签署)*

D. Disclosure of Identity 身份披露

D1. Are you (including any of the joint account holders) licensed by or registered with the Hong Kong Securities and Futures Commission or an employee or director of such person, or a relevant individual of the Hong Kong Monetary Authority?
阁下(包括联名账户各持有人)是否香港证券及期货事务监察委员会持牌或注册人士，或该人士之雇员或董事，或香港金融管理局的有关人士?

☐ No 否 ☐ Yes 是(please specify details below 请提供以下数据):

CE No. 中央编号 ___________________________

Name of licensed /registered person 持牌/注册人名称 ___________________________

If the answer is 'Yes', Have you or your authorized person(s) received Consent Letters obtained from their employers for the opening of the Account? 如答「是」，阁下或阁下之获授权人是否已接获其雇主对开立账户的同意书?

☐ Yes 是 ☐ No 否

D2. Are you a shareholder, director or staff of Manford Financial Limited or its related company, or a relative of such person?
阁下(包括联名账户各持有人)是否民锋金融有限公司或其关连公司之股东、董事或雇员，或该等人士之亲属?

☐ No 否 ☐ Yes 是(please specify details below 请提供以下数据):

Company Name 公司名称 ___________________________ Position 职位 ___________________________

Name 姓名 ____ Relationship 关系 ________________________

D3. Do you (including any of the joint account holders) have any relationship with senior officers/directors/substantial shareholders of any company whose shares are traded on any exchange?
阁下(包括联名账户各持有人)是否与任何地方的交易所上市公司的高级人员/董事/大股东有任何的关连?

☐ No 否 ☐ Yes 是(please specify details below 请提供以下数据):

Company Name 公司名称 ___________________________

Exchange on which company is listed 公司上市所在地 ___________________________ Ticker 股份代号 ____________________________

Position 职位 _________________________ Name 姓名 ________________________ Relationship 关系 __________________________

D4. Are you (including any of the joint account holders) and/or any related person(s) is client(s) of Manford Financial Limited?
阁下(包括联名账户各持有人)，其配偶及或各自的关连人士是否民锋金融有限公司的客户?

☐ No 否 ☐ Yes 是 (please specify details below 请提供以下数据):

Account Name 账户名称 ___________________________

Account No. 帐户号码 _____________________________ Relationship 关系 ___________________________

D5. Are you, either alone or with your spouse, in control of 35% or more of the voting rights of any corporate account of Manford Financial

Limited?
阁下是否单独或与阁下的配偶共同控制任何在民锋金融有限公司开立的公司账户30%或以上投票权?

☐ No 否 ☐ Yes 是 (please specify details below 请提供以下数据):

Account Name 账户名称 ___________________________

Account No. 帐户号码 _____________________________ Relationship 关系 __________________________

D6. Are you and/or your authorized person(s), 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 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)?
阁下及 / 或阁下之获授权人、其配偶、伴侣、子女或父母、或客户及 / 或阁下之获授权人的子女的配偶或伴侣、或与客户及 / 或其获授权人有关系密切的人是否在任何地方担任或曾担任重要的公职 (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及重要政党干事)?

☐ No 否 ☐ Yes 是 (please specify details below 请提供以下数据):

Name of the politically exposed person 政治人物的名称 _______________________________

Place and public function entrusted with 地方及所担任的公职 ___________________________

Term of the public function entrusted with 所担任的公职的年期 __________________________

Relationship with the client 与客户之关系 ____

D7. Are you a U.S. Resident (including U.S. tax resident)?
阁下是否美国居民(包括需要缴付美国税项之人士)?

☐ No 否 ☐ Yes 是

Are you a U.S. Citizen? 阁下是否美国公民?

☐ No 否 ☐ Yes 是

Do you hold a U.S. Permanent Resident Card (Green Card)? 阁下是否持有美国永久居民身份证(绿卡)?

☐ No 否 ☐ Yes 是

If any of the above answer is YES, please complete the Form W - 9; If NONE of the above answer is YES, please complete the Form W - 8BEN.
以上其中一项为「是」，请客户填写表格W - 9；如全部为「否」，请客户填写表格W - 8BEN。

D8. Are you the ultimate beneficial owner in relation to the Account(s)? (i.e. are you acting for yourself and not as a nominee for a third party?)
阁下(包括联名账户各持有人)是否账户的最终实益拥有人? (即阁下是否为自身而不是作为第三方的代名人行事?)

☐ Yes 是 ☐ No 否 (Please complete this section below 请填写以下部份)

Name in Chinese 中文姓名 ______________________________________

Name in English 英文姓名 _______________________________________

HK ID Card / Passport No. 身份证/护照号码_________________________

Place of Issue 签发地 ____

Nationality 国籍 ____

Occupation 职业 ____

Contact No. 联络电话 ____

Relationship with the Client 与客户的关系__________________________

Address 地址 ____

Is the ultimate beneficial owner(s) a United States ("U.S.") citizen or resident?
该最终实益拥有人是否美国公民或居民?

☐ Yes 是 ☐ No 否

Is the ultimate beneficial owner(s) born in the U.S.?

该最终实益拥有人是否在美国出生?

☐ Yes 是 ☐ No否

E. Personal Data Privacy 个人私隐

Personal information collected from this application form will be kept confidential by Manford Financial Limited, and
民锋金融有限公司将会保密此申请表的个人资料，并且

☐ I agree 本人同意 ☐ I do not agree 本人不同意

i) that Manford Financial Limited uses my personal information for direct marketing purpose;
民锋金融有限公司使用本人的个人资料用于直接市场促销之目的;

ii) to receive marketing information or materials in relation to Manford Financial Limited's services, products and subjects including financial, insurance, investment, wealth and asset management and related services and products;
接收有关民锋金融有限公司的服务，产品和涉及财务、保险、投资、财富和资产管理和相关的服务与产品的市场推广信息或材料；

iii) to receive marketing information or materials in relation to Manford Financial Limited's services and products including reward, loyalty or privileges programs and other related services and products.
接收民锋金融有限公司关于奖赏、忠诚或特选计划和其他相关的服务和产品的市场推广信息或材料；

iv) to allow Manford Financial Limited to provide or transfer my personal information to its affiliated companies, subsidiaries, or parent company for their use in direct marketing.
允许民锋金融有限公司提供或转移个人资料给其关联公司、附属公司或母公司用于直接促销用途。

F. Acknowledgement by Client 客户确认

I acknowledge that the information contained in this Account Opening Form ("Form") is true, complete and accurate. Manford Financial Limited is entitled to rely fully on such information and declaration for all purposes, unless Manford Financial Limited receives notice in writing of any change. Manford Financial Limitedis authorized at any time to contact anyone, including the above mentioned banks, brokers or any credit agency, for verifying the information provided on this Form.
本人确认载于本开户表格(「开户表」)中的数据属真实，完整及准确。除非民锋金融有限公司接到有关更改此开户表内容之书面通知，否则民锋金融有限公司有权在任何用途上完全依赖这些资料及声明。民锋金融有限公司有权随时联络任何人士，其中包括上述提及之银行、经纪或任何信贷调查机构，以核实此数据表内所载之内容。

In compliance with the requirements under Foreign Account Tax Compliance Act ("FATCA"), Common Reporting Standard ("CRS") and any other foreign law requirement, I agree and authorize that Manford Financial Limited is entitled to withhold and deduct any payment or funds (maybe subject to 30% of the gross proceeds and/or any other amount as required by IRS from time to time) under the client accounts as required at Manford Financial Limited's sole and absolute discretion in order to comply with and meet its obligations under FATCA or any other foreign law requirement. In any event, I confirm that the Manford Financial Limited shall not be liable for any loss or damages in relation to the withholding or deduction in this matter.
为遵从《海外账户税收合规法案》(「FATCA」)、共同申报准则(「CRS」)及其他外国法律的相关要求，本人同意并授权民锋金融有限公司，享有唯一及绝对的酌情权，从客户账户中，预留或扣除任何款项 (可高达总交易金额的30%及/或由美国国税局不时要求的其他金额)，以及收取任何由该预扣款项所衍生的费用。本人确认，在任何情况下，民锋金融有限公司将不会为任何因税收合规法案要求下预扣或扣除款项，所引致的损失及损害负上责任。

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).
本人知悉及同意，财务机构可根据《税务条例》(第 112 章)有关交换财务帐户数据的法律条文，(a)收集本表格所载数据并可备存作自动交换财务帐户数据用途及(b)把该等资料和关于帐户持有人及任何须申报帐户的资料向香港特别行政区政府税务局申报，从而把资料转交到帐户持有人的居留司法管辖区的税务当局。

Unless otherwise specify, I confirm that I am acting for my/our own account and as principal in relation to each transaction entered with Manford Financial Limited and I/we shall be the ultimate beneficial owner and ultimately responsible for giving instructions of the account and transaction(s).
除另有说明外，本人确认本人为自己账户行事及以当事人身份与民锋金融有限公司订立每一项交易，所有本人与民锋金融有限公司订立有关交易之最终实益拥有人和最终发出交易指示的人均为本人。

I have read and agree with the Personal Data (Privacy) Ordinance Notice (as contained in the Agreement).
本人已阅读及同意载于协议内有关香港个人资料(私隐)条例通知。

I would abide by the Rules and Regulations of the Exchange, Hong Kong Securities Clearing Company Limited, or any regulatory bodies and the same may be amended from time to time governing the purchase and sale of securities quoted on the aforementioned stock exchanges and clearing system or any other stock exchanges or clearing systems.
本人同意遵守聯交所、香港证券结算有限公司、或其他监管组织对于在前述股票交易所及结算系统或任何其他股票交易所或结算系统上市的证券的买卖作出的并不时修订的监管规则及规例。

I understand that the account opening is subject to final acceptance of Manford Financial Limited as the case may be. If the account opening application is rejected, I understand and agree that all application documents would not be returned.
本人明白民锋金融有限公司有最终接纳开户与否之权利。本人明白及同意，如果本人的申请被拒绝，本人之任何开户申请文件将不予退回。

Risk Disclosure Statements 风险披露声明

I acknowledge that the Client Agreement ("Agreement") including the Risk Disclosure Statements was provided in a language (Chinese or English) of the Client's choice. I further acknowledge that I have been invited to read the Risk Disclosure Statements, ask questions and take independent advice, if I/we so wished.
本人确认民锋金融有限公司以客户选择的语言(中文或英文)提供客户协议(「协议」)及风险披露声明。本人进一步确认民锋金融有限公司已经邀请本人阅读风险披露声明，提出问题及征求独立的意见(如本人有此意愿)。

I have read, understood the Agreement and the Risk Disclosure Statements before signing this Form. I hereby apply to open the Securities Account, and agree to bound by the Agreement as it may be amended from time to time.
在签署本开户申请表前本人已经阅读、明白协议及风险披露声明。本人现申请开立证券账户，并同意接受该等现时有效及不时修改的条文约束。

Signed by Client 客户签署

(Signed by account holder (1) 账户持有人 (1) 接纳和签署)

Name 姓名 ______________________

Date 日期 _______________________

Signed by Witness 见证人签署 *

____

Name of Witness
见证人姓名 ____________________

CE No. 中央编号 ____________________

Position 职位 ____________________

Date 日期 ____________________

** Where the account opening documents are not executed in the presence of Licensed Representative of Manford Financial Limited, the signing of the Client Agreement and sighting of related identity documents should be certified by a JP or a professional person such as branch manager of a bank, certified public accountant, lawyer or notary public.*
如开户文件并非在民锋金融有限公司之持牌代表面前签立，则客户协议的签立及有关的身份证明文件的见证，应由太平绅士或其他专业人士如银行分行经理、执业会计师、律师或公证人加以验证。

G. Declaration by Licensed Representative 持牌代表声明 *(For Official Use Only 仅供职员填写)*	
I, a licensed person, declare that I have provided the abovesaid Client with a copy of Client Agreement (the "Agreement") including the Risk Disclosure Statements in a language (Chinese or English) of the Client's choice. And have invited the Client to read the Risk Disclosure Statements, ask questions and take independent advice, if the Client wished. 本人，以持牌人身份，确认本人已按照上述客户所选择的语言(中文或英文)提供客户协议(「协议」) 及风险披露声明，并邀请客户阅读风险披露声明，提出问题及征求独立的意见(如客户有此意愿)。	**Signed by Licensed Representative** **持牌代表签署** ______________________________ Name 姓名 ________________________ Position 职位 ______________________ CE No. 中央编号 ____________________ Date 日期 _________________________

H. Account Opening Checklist 开立帐户核对清单
(For Official Use Only 仅供职员填写)

☐ Ultimate Beneficial Owner Identified 已识别最终受益拥有人
☐ Credit Record 信贷记录: ☐ Yes 有 ☐ No 无
☐ PEP Record 政治人物记录: ☐ Yes 有 ☐ No 无

Document Checklist 文件核对清单 (mandatory 必须一并递交）
☐ ^Certified true copy of ID / Passport (Including Authorized Persons)身份证 / 护照经核证副本 (包括获授权者)
☐ ^Certified true copy of Address proof (within last 3 months) 地址证明 (最近3个月) 经核证副本
☐ Completed and signed Client Account Agreement 已签署之客户协议
☐ Completed and signed Verification of Client Identity Form (CDD/ SDD) 已签署之客户身份认证表格 (CDD/SDD)
☐ Completed and signed Self-Certificate Form (Individual) 自我证明表格(个人客户)

AND below, if applicable 及以下，如适用

☐ Initial Deposit 开户存款
☐ Power of Attorney 授权书
☐ Employer's Consent Letters 雇主对开立账户的同意书
☐ Authorization Letter from Margin Clients 保证金客户授权书

^ True copy certification can be provided by: A certified public accountant / lawyer / banker / notary public in the relevant jurisdiction (i.e. company's country/territory of incorporation); or Hong Kong Institute of Chartered Secretaries (HKICS) member
由以下人士签证为真确的副本: 相应国家的执业会计师 / 律师 / 往来银行 / 公证人 或香港特许秘书公会会员

Handled by 经手人	Checked by 复核人	Approved by 批准人
		Remarks 备忘