



# 正大國際金融控股有限公司

## ZHENG DA INTERNATIONAL FINANCIAL HOLDING LIMITED

正大國際金融控股有限公司為證券及期貨事務監察委員會持牌法團(CE 編號 BOP620)

ZHENG DA INTERNATIONAL FINANCIAL HOLDING LIMITED is registered with Securities & Future Commission as a licensed corporation (CE No.BOP620)

香港九龍灣臨樂街 19 號南豐商業中心 8 樓 808 室 Room 808, 8/F, Nan Fung Commercial Centre, 19 Lam Lok Street, Kowloon Bay, Kowloon, HK

Tel: 852-3468 5915 Fax: 852-3468 5917 Email: [info@zhengda.com.hk](mailto:info@zhengda.com.hk)

公司專用欄
AC No 帳戶號碼 :
Name 客戶姓名 :
Date 日期 :
AE Code :

### ACCOUNT OPENING FORM 開戶表格 (Individual 個人 / Joint 聯名)

Account Type(s) 帳戶類別 (Please tick appropriate box. 請在適當空格加√)

Individual Account 個人帳戶  Joint Account 聯名帳戶

Futures Account 期貨帳戶  
 Electronics Trading 電子交易服務

### Individual/ Joint Account Information 個人/聯名帳戶資料

Account Holder (1) 帳戶持有人(1)		Account Holder (2) 帳戶持有人(2) (For Joint Account only 只適用於聯名帳戶)		Relationship 關係:
<input type="checkbox"/> Mr.先生 <input type="checkbox"/> Ms.女士	Chinese Name: 中文姓名: English Name: 英文姓名:	<input type="checkbox"/> Mr.先生 <input type="checkbox"/> Ms.女士	Chinese Name: 中文姓名: English Name: 英文姓名:	
ID Card/Passport No: 身份證/護照號碼:		ID Card/Passport No: 身份證/護照號碼:		
Place of birth : 出生地點:	Nationality: 國籍:	Place of birth: 出生地點:	Nationality: 國籍:	
Date of Birth 出生日期:		Date of Birth 出生日期:		
Residential Address: 住宅地址: <input type="checkbox"/> I hereby declare that this address is a valid residential address within the last 3 months 特此聲明此地址為本人最近 3 個月內之有效居住地址		Residential Address: 住宅地址: <input type="checkbox"/> I hereby declare that this address is a valid residential address within the last 3 months 特此聲明此地址為本人最近 3 個月內之有效居住地址		
Home Tel. No. 住宅電話號碼:		Home Tel. No. 住宅電話號碼:		
Mobile Phone No. 手提電話號碼:		Mobile Phone No. 手提電話號碼:		
Fax No. 傳真號碼:		Fax No. 傳真號碼:		
Office Tel. No. 辦公室電話:		Office Tel. No. 辦公室電話:		
E-mail Address: 電子郵件地址:		E-mail Address: 電子郵件地址:		
All Correspondence and Statements to be sent to: (please select either one) 所有通訊及帳單請寄交本人: (只選一項):				
<input type="checkbox"/> Residential Address 住宅地址		<input type="checkbox"/> Business Address 商業地址		
<input type="checkbox"/> Email Address 電郵地址		<input type="checkbox"/> Others 其他 _____		
<input type="checkbox"/> Subscribe Research Report by Email 以電郵收取研究報告				
Education 教育程度: <input type="checkbox"/> 小學或以下 Primary or below <input type="checkbox"/> 中學 Secondary <input type="checkbox"/> 大學或以上 Tertiary or above		Education 教育程度: <input type="checkbox"/> 小學或以下 Primary or below <input type="checkbox"/> 中學 Secondary <input type="checkbox"/> 大學或以上 Tertiary or above		

<b>Employment Information 受僱資料</b> ( Full-time investors or equivalent will not be accepted as employment information 不可填寫全職投資者或近似作為職位 )					
Name of Employer of Account Holder (1): 客戶受僱機構名稱:			Name of Employer of Account Holder (2): 客戶受僱機構名稱:		
Nature of Business: 業務性質:	Present Position: 現時職位:	Years of Service 服務年資:	Nature of Business: 業務性質:	Present Position: 現時職位:	Years of Service 服務年資:
Office Address: 辦公室地址:			Office Address: 辦公室地址:		
<b>Financial Profile 財務狀況</b>					
<b>Annual Income 每年收入 (HK\$港幣):</b> <input type="checkbox"/> <\$200,000 <input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> \$200,000 - \$500,000 <input type="checkbox"/> >\$1,000,000			<b>Annual Income 每年收入 (HK\$港幣):</b> <input type="checkbox"/> <\$200,000 <input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> \$200,000 - \$500,000 <input type="checkbox"/> >\$1,000,000		
<b>Total Net Value of Assets 資產淨值 (HK\$港幣):</b> <input type="checkbox"/> <\$500,000 <input type="checkbox"/> 2,500,001 - \$5,000,000 <input type="checkbox"/> \$500,000 - \$2,500,000 <input type="checkbox"/> > HK\$5,000,000			<b>Total Net Value of Assets 資產淨值 (HK\$港幣):</b> <input type="checkbox"/> <\$500,000 <input type="checkbox"/> 2,500,001 - \$5,000,000 <input type="checkbox"/> \$500,000 - \$2,500,000 <input type="checkbox"/> > HK\$5,000,000		
<b>Source of funds 資金來源:</b>					
<b>1. Savings 儲蓄:</b> <input type="checkbox"/> Previous/Current Salary Savings 前/現薪金收入儲蓄 <input type="checkbox"/> Previous/Current Business Profits 前/現業務溢利 <input type="checkbox"/> Family Savings 家庭收入儲蓄 <input type="checkbox"/> Retirement Savings 退休金儲蓄 <input type="checkbox"/> <input type="checkbox"/> Others 其他 (請列明): _____			<b>2. Savings 儲蓄:</b> <input type="checkbox"/> Previous/Current Salary Savings 前/現薪金收入儲蓄 <input type="checkbox"/> Previous/Current Business Profits 前/現業務溢利 <input type="checkbox"/> Family Savings 家庭收入儲蓄 <input type="checkbox"/> Retirement Savings 退休金儲蓄 <input type="checkbox"/> <input type="checkbox"/> Others 其他 (請列明): _____		
<b>2. Rental Income 租金收入:</b> <input type="checkbox"/> Residential Property Rental Income 物業 <input type="checkbox"/> Commercial Property Rental Income 商舖 <input type="checkbox"/> <input type="checkbox"/> Others 其他 (請列明): _____			<b>2. Rental Income 租金收入:</b> <input type="checkbox"/> Residential Property Rental Income 物業 <input type="checkbox"/> Commercial Property Rental Income 商舖 <input type="checkbox"/> <input type="checkbox"/> Others 其他 (請列明): _____		
<b>3. Investment 投資:</b> <input type="checkbox"/> Bank/Other Interest 銀行/其他利息收入 <input type="checkbox"/> Investment Trading Profits / Dividend Income 投資買賣溢利或股息回報 <input type="checkbox"/> <input type="checkbox"/> Others 其他 (請列明): _____			<b>3. Investment 投資:</b> <input type="checkbox"/> Bank/Other Interest 銀行/其他利息收入 <input type="checkbox"/> Investment Trading Profits / Dividend Income 投資買賣溢利或股息回報 <input type="checkbox"/> <input type="checkbox"/> Others 其他 (請列明): _____		
<b>4. Loan from Financial Institutions/ others 金融機構貸款 / 其他貸款:</b> <input type="checkbox"/> Relatives/Friends 親友 <input type="checkbox"/> Bank 銀行 <input type="checkbox"/> Financial Institution 財務金融機構 <input type="checkbox"/> <input type="checkbox"/> Others 其他 (請列明): _____			<b>4. Loan from Financial Institutions/ others 金融機構貸款 / 其他貸款:</b> <input type="checkbox"/> Relatives/Friends 親友 <input type="checkbox"/> Bank 銀行 <input type="checkbox"/> Financial Institution 財務金融機構 <input type="checkbox"/> <input type="checkbox"/> Others 其他 (請列明): _____		
<b>5. Others 其他:</b> Others (請列明): _____			<b>5. Others 其他:</b> Others (請列明): _____		
<b>Ownership of Residence 住屋業權:</b>			<b>Ownership of Residence 住屋業權:</b>		
<input type="checkbox"/> Owned 擁有 <input type="checkbox"/> Not Owned 沒有擁有 <input type="checkbox"/> Rented 租住 <input type="checkbox"/> Living with Family 與家人同住			<input type="checkbox"/> Owned 擁有 <input type="checkbox"/> Not Owned 沒有擁有 <input type="checkbox"/> Rented 租住 <input type="checkbox"/> Living with Family 與家人同住		
<b>Client Investment Experience and Objective 客戶投資經驗及目標</b>					
Investment Experience 投資經驗: <input type="checkbox"/> Less than a year 少於 1 年 <input type="checkbox"/> 6 - 10 years 年 <input type="checkbox"/> 1 - 5 years 年 <input type="checkbox"/> More than 10 years 10 年以上			Investment Experience 投資經驗: <input type="checkbox"/> Less than a year 少於 1 年 <input type="checkbox"/> 6 - 10 years 年 <input type="checkbox"/> 1 - 5 years 年 <input type="checkbox"/> More than 10 years 10 年以上		

<b>Investment Objective 投資目的:</b> <input type="checkbox"/> Long Term 長線 <input type="checkbox"/> Capital Appreciation 資本增值 <input type="checkbox"/> Medium Term 中線 <input type="checkbox"/> Dividend Yield 股息回報 <input type="checkbox"/> Short Term 短線 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Speculation 投機	<b>Investment Objective 投資目的:</b> <input type="checkbox"/> Long Term 長線 <input type="checkbox"/> Capital Appreciation 資本增值 <input type="checkbox"/> Medium Term 中線 <input type="checkbox"/> Dividend Yield 股息回報 <input type="checkbox"/> Short Term 短線 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Speculation 投機
<b>Investment Products and Experience 曾買賣產品及投資經驗:</b> <input type="checkbox"/> Futures 期貨 <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1 - 5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> Options 期權 <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1 - 5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> Warrants 衍生權證 (窩輪) <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1 - 5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> Stocks 股票 <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1 - 5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> CBBC 牛熊證 <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1 - 5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> Bonds 債券 <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1 - 5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> Funds 基金 <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1 - 5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> Others 其他: _____ <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1 - 5 年 <input type="checkbox"/> 5 年以上	<b>Investment Products and Experience 曾買賣產品及投資經驗:</b> <input type="checkbox"/> Futures 期貨 <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1 - 5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> Options 期權 <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1 - 5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> Warrants 衍生權證 (窩輪) <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1 - 5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> Stocks 股票 <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1 - 5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> CBBC 牛熊證 <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1 - 5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> Bonds 債券 <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1 - 5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> Funds 基金 <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1 - 5 年 <input type="checkbox"/> 5 年以上 <input type="checkbox"/> Others 其他: _____ <input type="checkbox"/> 少於 1 年 <input type="checkbox"/> 1 - 5 年 <input type="checkbox"/> 5 年以上
<b>Estimated Investment Amount 估計投資金額:</b> <input type="checkbox"/> < HK\$100,000 <input type="checkbox"/> HK\$1,000,001 – 5,000,000 <input type="checkbox"/> HK\$100,000 – 500,000 <input type="checkbox"/> HK\$5,000,001 – 10,000,000 <input type="checkbox"/> HK\$500,001 – 1,000,000 <input type="checkbox"/> > HK\$10,000,000	<b>Estimated Investment Amount 估計投資金額:</b> <input type="checkbox"/> < HK\$100,000 <input type="checkbox"/> HK\$1,000,001 – 5,000,000 <input type="checkbox"/> HK\$100,000 – 500,000 <input type="checkbox"/> HK\$5,000,001 – 10,000,000 <input type="checkbox"/> HK\$500,001 – 1,000,000 <input type="checkbox"/> > HK\$10,000,000
<b>Client's Knowledge of Derivative Products 客戶對衍生產品的認識</b>	
<p>本人知悉及明白正大國際金融控股有限公司(正大國際)將根據以下的資料以評估本人是否對衍生工具產品有認識。</p> <p>I acknowledge and understand ZHENG DA INTERNATIONAL FINANCIAL HOLDING LIMITED will assess whether I have adequate knowledge on derivative products according to the information that I provided.</p> <p><input type="checkbox"/> 1. 本人已接受有關介紹一般衍生產品之性質及風險的培訓或課程(例如 學術機構或金融機構所提供之課程)。 I underwent training or attended courses on derivative products that provide general knowledge of the nature and risks of derivatives (e.g. courses offered by academic or financial institutions).</p> <p><input type="checkbox"/> 2. 本人現時或過去擁有與衍生產品有關的工作經驗。 I have current or previous work experience related to derivative products.</p> <p><input type="checkbox"/> 3. 本人於過去 3 年曾執行 5 次或以上有關衍生產品的交易。 I have executed five or more transactions in derivative products within the past three years.</p> <p><input type="checkbox"/> 4. 本人並未有衍生產品之認識。 I do not have any knowledge of derivative products.</p>	<p>本人知悉及明白正大國際金融控股有限公司(正大國際)將根據以下的資料以評估本人是否對衍生工具產品有認識。</p> <p>I acknowledge and understand ZHENG DA INTERNATIONAL FINANCIAL HOLDING LIMITED will assess whether I have adequate knowledge on derivative products according to the information that I provided.</p> <p><input type="checkbox"/> 1. 本人已接受有關介紹一般衍生產品之性質及風險的培訓或課程(例如 學術機構或金融機構所提供之課程)。 I underwent training or attended courses on derivative products that provide general knowledge of the nature and risks of derivatives (e.g. courses offered by academic or financial institutions).</p> <p><input type="checkbox"/> 2. 本人現時或過去擁有與衍生產品有關的工作經驗。 I have current or previous work experience related to derivative products.</p> <p><input type="checkbox"/> 3. 本人於過去 3 年曾執行 5 次或以上有關衍生產品的交易。 I have executed five or more transactions in derivative products within the past three years.</p> <p><input type="checkbox"/> 4. 本人並未有衍生產品之認識。 I do not have any knowledge of derivative products.</p>
<b>Identity Declaration 身份聲明</b>	
<p>1. 你(及/或聯名帳戶第二持有人)是否此帳戶的最終實益擁有人? 如否, 請詳述帳戶的最終實益擁有人身份資料及回答下列問題。</p> <p>Are you (and/ or the Secondary Joint Account Holder) the ultimate beneficial owner(s) in relation to the account? If no, please specify the details and answer the following questions.</p> <p><input type="checkbox"/> 是 Yes    <input type="checkbox"/> 否 No</p> <p>(a) 姓名 Name: _____ 身份證/護照號碼 ID/Passport No.: _____ 電話 Tel. No.: _____</p> <p>住宅地址 Home Address: _____</p>	

(b)

最終實益擁有人是否期貨交易所參與者的僱員或代理人或董事或認可人士（不管最終實益擁有人現時是否為證監會持牌代表/金管局註冊人士），或最終實益擁有人於證監會註冊的持牌法團/註冊機構？如是，請述明具體：

Is the ultimate beneficial owner an employee or an agent or a director or an accredited person of an exchange participant of a stock/futures exchange (whether the ultimate beneficial owner is currently a SFC licensed representative/ HKMA registered person or not) or a licensed corporation or registered institution?? If yes, please specify:

否 No  是 Yes

持牌法團/註冊機構名稱 Licensed Corporation/ Registered Institution Name: \_\_\_\_\_

職位 Position: \_\_\_\_\_ 中央編號 CE No.: (Employer 僱主) \_\_\_\_\_ / (Employee 僱員) \_\_\_\_\_

(c)

最終實益擁有人是否與正大國際金融控股有限公司或其各自之聯營/集團公司之董事或僱員有任何關係？

Does the ultimate beneficial owner have any relationship with the director(s) or employee(s) of CWFL or its respective associated/ group companies?

否 No  是 Yes, \_\_\_\_\_

(Name of Director or Employee 董事或僱員姓名 ; Relationship 關係)

(d) 最終實益擁有人有沒有美國稅務責任？

沒有 No  有 Yes (TIN 稅務身份碼: \_\_\_\_\_)

2. 你(及/或聯名帳戶第二持有人)是否期貨交易所參與者的僱員或代理人或董事或認可人士（不管你(及/或聯名帳戶第二持有人)現時是否為證監會持牌代表/金管局註冊人士），或於證監會註冊的持牌法團/註冊機構？如是，請述明具體：

Are you (and/or the Secondary Joint Account Holder) an employee or an agent or a director or an accredited person of an exchange participant of a stock/futures exchange (whether you (and/or the Secondary Joint Account Holder) are currently a SFC licensed representative/ HKMA registered person or not) or a licensed corporation or registered institution?? If yes, please specify:

否 No  是 Yes

持牌法團/註冊機構名稱 Licensed Corporation/Registered Institution Name: \_\_\_\_\_

職位 Position: \_\_\_\_\_ 中央編號 CE No.: (Employer 僱主) \_\_\_\_\_ / (Employee 僱員) \_\_\_\_\_

**(If applicable 如適用, 請提供僱主之書面同意書 Please provide employer's consent letter)**

3. 你(及/或聯名帳戶第二持有人)是否與正大國際金融控股有限公司或其各自之聯營/集團公司之董事或僱員有任何關係？

Do you (and/or the Secondary Joint Account Holder) have any relationship with the director(s) or employee(s) of ZD or its respective associated/ group companies?

否 No  是 Yes, \_\_\_\_\_

(Name of Director or Employee 董事或僱員姓名/ Relationship 關係)

4. 美國稅務責任 U.S. Tax Obligation:

沒有 No  有 Yes (TIN 稅務身份碼: \_\_\_\_\_)  
**(如是請填寫 W-9 表格, 否則請填寫 W-8BEN 表格  
If yes, please fill in Form W-9. Otherwise, please fill in Form W-8BEN.)**

4. 美國稅務責任 U.S. Tax Obligation:

沒有 No  有 Yes (TIN 稅務身份碼: \_\_\_\_\_)  
**(如是請填寫 W-9 表格, 否則請填寫 W-8BE 表格  
If yes, please fill in Form W-9. Otherwise, please fill in Form W-8BEN.)**

**收款(香港)銀行戶口 Receiving (Hong Kong) Bank Account (只供入數之用 For Fund Deposit Only)**

Currency 貨幣	Name of Bank 銀行名稱	Account Name 帳戶名稱	A/C No. 帳戶號碼
HKD (1)			
HKD (2)			
CNY (1)			
CNY (2)			
USD (1)			
USD (2)			

## 常設授權（客戶款項） Standing Authority (Client Money)

### 1. 定義

除非另外說明，否則本授權之詞語與語句與《證券及期貨條例》（「證券及期貨條例」）及《證券及期貨（客戶款項）規則》不時修訂之定義具有相同意思。

### 2. 本授權

下述簽署人謹此授權正大國際金融控股有限公司按下列方式自行酌情處理本人/吾等於貴行之期貨賬戶內代收或代持有任何數額之款項而無須事先給予下述簽署人任何事先通知或事先取得下述簽署人的指示及/或確認：

(i) 將任何數額之客戶款項轉往正大國際金融控股有限公司於其代理經紀及/或清算代理（不論該代理是否貴行之系內公司或處於香港或其它地方）以買賣或清算/結算客戶的期貨或期權；及

(ii) 將任何 2(i) 內提及數額之款項於正大期貨之獨立賬戶之間調動。

### 3. 續期

本授權之有效期為由本文件簽發起計 12 個月，除非下述簽署人/正大期貨書面通知撤銷本授權，否則：

(i) 本授權可在從沒有在生效期內撤銷的情況下延續一或多次不多於 12 個月之生效期；或

(ii) 只要正大期貨在本授權到期之前的至少 14 天內向本人/吾等發出延續授權的書面通知，在本人/吾等沒有反對延續授權下，本授權將在毋須本人/吾等同意的情況下，延續或被視作延續，每一延續有效期為不多於 12 個月。

### 4. 在香港以外地方收取資產

本人/吾等確認持牌人或註冊人在香港以外地方收取或持有的客戶資產，是受到有關海外司法管轄區的適用法律及規例所監管的。這些法律及規例與證券及期貨條例（571 章）及根據該條例制訂的規則可能有所不同。因此，有關客戶資產將可能不會享有賦予在香港收取或持有的客戶資產的相同保障。

#### 1. Definition

Unless otherwise stipulated, all terminologies used in this Standing Authority (Client Money) (Standing Authority) shall have the same interpretation as that of Securities and Futures Ordinance (SFO) and Securities and Futures (Client Money) Rules as amended from time to time.

#### 2. The Authority

The undersigned hereby authorize Zheng Da International Financial Holding Ltd to deal with monies in my/our futures trading account with Zheng Da International Financial Holding Ltd that receives from on behalf of, or held on behalf of me/us without prior notice nor it is necessity to obtain prior instruction from the undersigned, in any of the following manner:

(i) transfer all or any portion of client money to any futures trading/clearing/settlement account(s) maintained by Zheng Da International Financial Holding Ltd with any of its agent broker(s) and/or clearing agent(s), no matter whether they are linked corporation or not, either in Hong Kong or elsewhere, for the purpose of dealing or clearing/settlement of the Client's futures or futures options; and

(ii) transfer any client money between any of Zheng Da International Financial Holding Ltd's segregated accounts mentioned under 2(i).

#### 3. Renewal

This Standing Authority is valid for 12 months from the date of execution unless otherwise revoked either by the undersigned or Zheng Da International Financial Holding Ltd by written notice.

(i) This Standing Authority which is not revoked prior to its expiry may be renewed for one or more further periods not exceeding 12 months; or

(ii) Shall be deemed to have been renewed if at least 14 days prior to the expiry, Zheng Da International Financial Holding Ltd gives me/us a written notice, informing me/us that unless I/we object, this Standing Authority will be renewed for a period not exceeding 12 months, upon expiry upon the same terms and conditions.

#### 4. Assets held outside Hong Kong

I/We acknowledge that client assets received or held by Zheng Da International Financial Holding Ltd outside Hong Kong are subject to the applicable laws and regulations of the relevant overseas jurisdiction which may be different from the SFO (Cap 571) and the rules made hereunder. Consequently, such client assets may not enjoy the same protection as that conferred on client assets received or held in Hong Kong.

個人/主要帳戶持有人簽署

Individual/Primary Joint Account Holder's Signature:

聯名帳戶第二持有人簽署

Secondary Joint Account Holder's Signature:

日期 Date:

日期 Date:

## 個人資料 Personal Data

本人/吾等現獲告知正大國際金融控股有限公司(正大國際)及/或其各自之聯營公司及/或集團公司擬使用及在正大國際及其各自之聯營公司及集團公司之間轉移本人/吾等於正大國際及/或其各自之聯營公司及/或集團公司之個人資料以直接促銷：(i) 金融服務和產品；(ii) 相關優惠計劃；(iii) 金融與投資建議；或(iv) 正大國際及/或其各自之聯營公司及/或集團公司就前述產品及服務之業務推廣和宣傳活動。該等個人資料包括本人/吾等在本開戶表格中向正大國際提供的或其各自之聯營公司及集團公司不時獲得的姓名、聯絡詳情、財務背景及統計資料等個人資料。本人/吾等明白本人/吾等可以隨時通過正大國際及/或其各自之聯營公司及/或集團公司指定的渠道要求正大國際及/或其各自之聯營公司及/或集團公司停止在直接促銷中使用本人/吾等的個人資料。

I/We have been informed that Zheng Da International Financial Holding Ltd (Zheng Da) and/or its associated companies and/or group companies intends to use and transfer within Zheng Da and its associated companies and group companies my/our personal data for the direct marketing of: (i) Financial services and investment products; (ii) Related promotional schemes; (iii) Financial and investment advices; or (iv) promotional and marketing events of Zheng Da and/or its associated companies and/or group companies for the aforesaid services or products. Such personal data includes my/our name, contact details, financial background and statistical data which are provided to Zheng Da under this Account Opening Form or obtained by its associated companies and/or group companies from time to time. I/We understand that I/We may, at any time, require Zheng Da and/or its associated companies and/or group companies to cease to use or transfer within Zheng Da and its associated companies and group companies my/our personal data for direct marketing through such channel prescribed by Zheng Da and/or its associated companies and/or group companies.

本人/吾等同意正大國際金融控股有限公司及/或其各自之聯營及/或集團公司如上述情況使用本人/吾等之個人資料。

I/We agree to the aforesaid use of my/our personal data in Zheng Da International Financial Holding Ltd and/or its associated companies and/or group companies.

本人/吾等反對正大國際金融控股有限公司及/或其各自之聯營/集團公司使用或在正大國際金融控股有限公司及其各自之聯營及集團公司之間轉移本人/吾等的個人資料作直接促銷用途。

I/We object to the use of or transfer within Zheng Da International Financial Holding Ltd and its associated companies and group companies my/our personal data by Zheng Da International Financial Holding Ltd and/or its associated companies and/or group companies in direct marketing.

## 客戶確認及簽署 Acknowledgement and Execution by Client

1. 本人/吾等確認正大國際金融控股有限公司(下稱“正大國際”)已向本人/吾等提供了期貨客戶協議書，包括網上交易協定及風險披露聲明之副本(中文或英文)。本人/吾等確認已收取該等文件之副本。

2. 本人/吾等謹此聲明在本開戶表格所提供之資料全部為真實、完整及正確，除非正大國際接到更改有關本開戶表格內容之書面通知，否則正大國際有權完全依賴此等資料及聲明作一切用途。正大國際或其代理獲授權可隨時就核對本開戶表格資料事宜，與任何人包括本人/吾等之銀行、經紀或任何信用機構進行諮詢。

3. 本人/吾等現申請開立本人/吾等在本開戶表格頁首選擇之帳戶及服務類別。本人/吾等確認已閱讀並明白附上之正大國際客戶協議書(該協議書)的所有有關條款並且接受及同意受可不時被修改的該協議書之條款所約束，本人/吾等在此以書面通知、及確認並授權正大國際行使其在該協議書內的全部常設授權。

4. 本人/吾等向閣下申請開立期貨買賣帳戶並同意遵守香港交易所及其他監管機構不時修訂以監管於香港交易所或其他交易所進行期貨買賣之條例及規則。

5. 本人/吾等進一步確認正大國際已經邀請本人/吾等閱讀客戶協議書、風險披露聲明及電子交易服務條款(如適用)，提出問題及徵求獨立的意見(如本人/吾等有此意願)。

6. 本人/吾等已仔細閱讀、完全理解並同意接受及遵守客戶協議書內之個人資料收集聲明。

7. 本人/吾等欲使用互聯網證券交易服務，本人/吾等已經閱讀並明白正大國際之客戶協議書中，所載之電子交易服務條款，並接受這些條款的約束。(如適用)

8. 本人/吾等確認如正大國際金融控股有限公司向閣下招攬銷售或建議任何金融產品，該金融產品必須是正大國際經考慮閣下的財政狀況、投資經驗及投資目標後而認為合理地適合閣下的。本協議的其他條文或任何其他正大國際可能要求閣下簽署的文件及正大國際可能要求閣下作出的聲明概不會減損本條款的效力。

1. I/We, the undersigned client(s) hereby confirm that I/We have been provided the Client Agreement (“the Agreement”) of Zheng Da International Financial Holding Ltd (“Zheng Da”), the terms of Internet Trading Service and the Risk Disclosure Statement in a language of Chinese or English (receipt of a copy whereof is hereby acknowledged by me/us).

2. I/We, the undersigned client(s) hereby confirm and represent that the information on this Account Opening Form is true, complete and correct. Zheng Da International Financial Holding Ltd ("Zheng Da") is entitled to rely fully on such information and representations for all purposes, unless Zheng Da receives notice in writing of any change. Zheng Da or any of its agents is hereby authorized at any time to contact anyone, including my/our banks or any credit agency, for the purpose of verifying the information provided on this Account Opening Form.

3. I/We, the undersigned client(s) hereby apply to open the types of account(s) and service(s) which I/We choose on the front page of this Account Opening Form and confirm that I/We have read and understand the relevant provisions of the attached Client Agreement and accept and agree to be bound by the Agreement as the same may be amended from time to time, and I/We hereby give you notice in writing that I/we confirm and authorize Zheng Da International Financial Holding Ltd to exercise all the powers of the Standing Authorities under the Client Agreement.

4. I/We request you to open a Futures Trading Account ("the Account") and agree to abide by the rules and regulations of The Stock Exchange of Hong Kong Limited ("SEHK") or any other regulatory body(ies) as amended from time to time governing the purchase and sale of securities quoted on the SEHK or any other stock exchanges.

5. I/We, the undersigned client(s) further acknowledge and confirm that I/We have been invited by Zheng Da International Financial Holding Ltd to read the Client Agreement, the Risk Disclosure Statement and the terms of Electronic Trading Service (if applicable), ask questions and take independent advice, if I/We wish.

6. I/We, the undersigned client(s) have carefully read, fully understood and agreed to accept and be bound by the Personal Information Collection Statement of the Agreement.

7. I/We want to use the internet Securities Trading Service. I/We have read and understood the terms of the Electronic Trading Service as set out in the Client Agreement of Zheng Da International Financial Holding Ltd and I/We accept to be bound by the same. (if applicable)

8. I/We, the undersigned client(s) hereby acknowledge that If Zheng Da International Financial Holding Ltd ("Zheng Da") solicit the sale of or recommend any financial product to client(s), the financial product must be reasonably suitable for client(s) having regard to client(s) financial situation, investment experience and investment objectives. No other provision of this agreement or any other document Zheng Da may ask I/We to sign and no statement Zheng Da may ask I/We to make derogates from this clause.

Date 日期: \_\_\_\_\_

帳戶持有人(1)簽署 Account Holder (1) Signature

帳戶持有人(2)簽署 Account Holder (1) Signature

客戶名稱 A/C Name

A/C Name 客戶名稱

**SIGNING ARRANGEMENT 簽名安排 (For Joint Account Only. 只適用於聯名帳戶)**

此帳戶可根據以下指示方式操作 (請在適當空格加): The Account can be operated under the instruction of (please tick the appropriate box):

任何一位帳戶持有人的指示 Either one of the account holder

兩位帳戶持有人的指示 Both account holders

**Declaration by Licensed Staff 持牌職員聲明:**

本人, 以持牌人士或註冊人士身份, 確認本人已按照上述客戶所選擇的語言(英文或中文)提供客戶協議書、風險披露聲明及電子交易服務條款(如適用)之副本及邀請客戶閱讀客戶協議書、風險披露聲明及電子交易服務條款(如適用), 提出問題及徵求獨立意見(如客戶有此意願)。

I, a licensed or registered person, hereby declare that I have provided the above client with a copy of the Client Agreement, the Risk Disclosure Statement and the terms of Electronic Trading Service (if applicable) in a language of the Client's choice (English or Chinese) and invited the client to read the Client Agreement, the Risk Disclosure Statement and the terms of Electronic Trading Service, ask questions and take independent advice if the client so wishes.

持牌人士簽署 Signature of Licensed Person:

持牌人士姓名 Name of Licensed Person:

中央編號 CE No.:

日期 Date:

**Notes 注意:** 如此開戶文件不是在正大國際金融控股有限公司持牌的職員或經紀前開立, 客戶必須遵從以下其中一個程序要求:

If this document is not executed by the Client in front the licensed Staff or Account Executive of Zheng Da International Financial Holding Limited, Client should comply with either one of the following procedure:

<p>a) 客戶必須交給正大國際金融控股有限公司由客戶在香港的持牌銀行開立的帳戶所簽發的個人支票，支票上要有客戶的身份證明文件上所顯示的姓名以及簽名必須與此開戶表格上的客戶簽名相符，抬頭人為“正大國際金融控股有限公司”而支票數額不少於港幣 10,000 元。待支票兌現以及所有相關文件驗證後，此帳戶才可使用。</p> <p>Client should send ZHENG DA INTERNATIONAL FINANCIAL HOLDING LIMITED a personal cheque bearing his/her name shown in his/her identity document and drawn on his/ her account with a licensed bank in Hong Kong with his/her same signature(s) as shown on this Form in favor of “ZHENG DA INTERNATIONAL FINANCIAL HOLDING LIMITED” for not less than HK\$10,000. This account will be activated after the cheque is cleared and all related documents are verified.</p>	
<p>b) 此開戶表格及相關身份證明文件的見證，必須由其他持牌人士、正大國際金融控股有限公司的聯繫人士、太平紳士、專業人士如銀行分行經理、執業會計師、律師或公證人加以驗證。</p> <p>The signing of this form and sighting of related identity documents should be certificated by other licensed person, an affiliated of ZHENG DA INTERNATIONAL FINANCIAL HOLDING LIMITED, a Justice of Peace (JP) or a professional person such as a branch manager of a bank, certified public accountant, lawyer or notary public.</p>	
見證人簽署 Signature of Witness:	見證人姓名 Name of Witness:
身份證或護照號碼 ID Card / Passport No.:	職業 Occupation :
地址 Address:	日期 Date:

<b>For Official Use Only 公司專用</b>	
<p>核對資料 Checklist:</p> <p><input type="checkbox"/> 1) 已簽署之開戶表格及相關文件 Duly signed Client Account Opening Form and related documents</p> <p><input type="checkbox"/> 2) 最近三個月內附客戶姓名之住宅地址證明文件(如水、電費單, 銀行月結單等)及通訊地址證明文件(如需要); 郵政信箱恕不接受 Residential (e.g. utilities bills, bank statements, etc) and correspondence address proof (if needed) with Client's name dated within the last 3 months; P.O. box is not accepted</p> <p><input type="checkbox"/> 3) 身份證副本 / 護照副本 I.D. card copy / passport copy</p> <p><input type="checkbox"/> 4) W-8 BEN 表格 Form W-8 BEN</p> <p><input type="checkbox"/> 5) W-9 表格 (如需要) Form W-9 (if required)</p> <p><input type="checkbox"/> 6) 個人稅務居民自我證明表格 Individual Tax Residency Self-Certification Form</p> <p><input type="checkbox"/> 7) 核實簽署之支票 (如需要) Valid and verified signed cheque (if required)</p> <p><input type="checkbox"/> 8) 指定人士之身份證及專業資格證明文件 (如需要) Designated person's identity card and professional qualification documents (if required)</p> <p><input type="checkbox"/> 9) AML / PEP, license check</p> <p><input type="checkbox"/> 10) 僱主之書面同意書 (如需要) Employer's consent letter (if required)</p>	
<p>查核 Checked By:</p> <p>職員姓名 Name of the Staff: _____ 簽署 Signature: _____</p>	
<p>帳戶介紹人:</p> <p>Account introduced by:</p>	<p>經紀姓名及編號:</p> <p>Name and Code of AE:</p>
<p>資料輸入:</p> <p>Inputted by:</p> <p>職員姓名 Name of the Staff:</p>	<p>簽署 Signature:</p> <p>日期 Date:</p>
<p>帳戶批核:</p> <p>Approved by:</p> <p>職員姓名 Name of the Staff:</p>	<p>簽署 Signature:</p> <p>日期 Date:</p>
<p>客戶佣金及最低佣金:</p> <p>Client Commission rate and Minimum Commission:</p>	<p>其他資料 (例如:已獲得銀行及信貸參考):</p> <p>Other information (e.g. bank and credit reference obtained):</p>