

Account no. 帳戶號碼:

ACCOUNT OPENING FORM (INDIVIDUAL / JOINT ACCOUNT) 帳戶開戶表格 (個人/聯名帳戶)

1. Account Type 帳戶類別		
Securities Trading Account 證券交易帳戶		
Type of Client 客戶類別	<input type="checkbox"/> Individual Account 個人帳戶	<input type="checkbox"/> Joint Account 聯名帳戶
Type of Account 帳戶類別	<input type="checkbox"/> Cash 現金	<input type="checkbox"/> Margin 保證金
Method of Placing Order 落盤方式	<input type="checkbox"/> By Telephone 電話落盤	<input type="checkbox"/> By Internet 網上落盤

Please complete in BLOCK LETTERS 請用正楷填寫

2. Personal Information 個人資料			
Individual / Primary Joint Account Holder 個人/基本聯名帳戶持有人		Secondary Joint Account Holder 第二聯名帳戶持有人	
Client Name 客戶姓名 <input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Miss 小姐 <input type="checkbox"/> Mrs. 太太 <input type="checkbox"/> Ms. 女士		Client Name 客戶姓名 <input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Miss 小姐 <input type="checkbox"/> Mrs. 太太 <input type="checkbox"/> Ms. 女士	
English 英文: _____		English 英文: _____	
Chinese 中文: _____		Chinese 中文: _____	
Nationality/Citizenship 國籍/公民身份		Nationality/Citizenship 國籍/公民身份	
ID Card /Passport No. 身份證/護照號碼		ID Card /Passport No. 身份證/護照號碼	
Country of Issue 簽發國家		Country of Issue 簽發國家	
Date of Birth(dd/mm/yy) 出生日期(日日/月月/年年)		Date of Birth(dd/mm/yy) 出生日期(日日/月月/年年)	
Marital Status 婚姻狀況: <input type="checkbox"/> Single 單身 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Divorced 離婚		Marital Status 婚姻狀況: <input type="checkbox"/> Single 單身 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Divorced 離婚	
Residential Address 居住地址 _____ _____ _____		Residential Address 居住地址 _____ _____ _____	
Correspondence Address (if different from Residential Address) 通訊地址 (如與居住地址不同) _____ _____		Relationship with Primary Joint Account Holder 與基本聯名帳戶持有人關係 <input type="checkbox"/> Immediate Family, please specify 直系親屬, 請註明 _____ <input type="checkbox"/> Relatives, please specify 親戚, 請註明 _____ <input type="checkbox"/> Friends 朋友 <input type="checkbox"/> Other 其他 _____	

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	
E-mail Address 電郵地址		E-mail Address 電郵地址	
Education Level 教育程度: <input type="checkbox"/> Primary 小學 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> University 大學 <input type="checkbox"/> Master degree or above 碩士或以上		Education Level 教育程度: <input type="checkbox"/> Primary 小學 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> University 大學 <input type="checkbox"/> Master degree or above 碩士或以上	
3. Occupation/Employment Status 職業/就業情況			
Name of Employer 僱主名稱		Name of Employer 僱主名稱	
Nature of Business 業務性質		Nature of Business 業務性質	
Job Title 職位		Job Title 職位	
Year(s) with Employer 受僱年期		Year(s) with Employer 受僱年期	
Office Tel. No. 公司電話號碼		Office Tel. No. 公司電話號碼	
Office Fax No. 公司傳真號碼		Office Fax No. 公司傳真號碼	
Office Address 公司地址 _____		Office Address 公司地址 _____	
4. Financial Situation 財務狀況			
i) Annual Income(HKD)每年收入(港元) <input type="checkbox"/> <\$200,000 <input type="checkbox"/> \$200,000 – \$500,000 <input type="checkbox"/> \$500,001– \$1,000,000 <input type="checkbox"/> >\$1,000,000		i) Annual Income(HKD)每年收入(港元) <input type="checkbox"/> <\$200,000 <input type="checkbox"/> \$200,000 – \$500,000 <input type="checkbox"/> \$500,001 – \$1,000,000 <input type="checkbox"/> >\$1,000,000	
ii) Net Worth(HKD)資產淨值(港元) <input type="checkbox"/> <\$500,000 <input type="checkbox"/> \$500,000 – \$1,000,000 <input type="checkbox"/> \$1,000,001 – \$5,000,000 <input type="checkbox"/> >\$5,000,000		ii) Net Worth(HKD)資產淨值(港元) <input type="checkbox"/> <\$500,000 <input type="checkbox"/> \$500,000 – \$1,000,000 <input type="checkbox"/> \$1,000,001 – \$5,000,000 <input type="checkbox"/> >\$5,000,000	
iii) Source of Funds 資金來源 <input type="checkbox"/> Savings from Salary 薪金儲蓄 <input type="checkbox"/> Family 家庭 <input type="checkbox"/> Trading Profits 營業溢利 <input type="checkbox"/> Rental Income 租金收入 <input type="checkbox"/> Loan from Financial Institution 金融機構貸款 <input type="checkbox"/> Others 其他: _____		iii) Source of Funds 資金來源 <input type="checkbox"/> Savings from Salary 薪金儲蓄 <input type="checkbox"/> Family 家庭 <input type="checkbox"/> Trading Profits 營業溢利 <input type="checkbox"/> Rental Income 租金收入 <input type="checkbox"/> Loan from Financial Institution 金融機構貸款 <input type="checkbox"/> Others 其他: _____	
vi) Ownership of Residence住屋業權 <input type="checkbox"/> Owned擁有 - <input type="checkbox"/> Mortgaged有抵押 <input type="checkbox"/> Not mortgaged沒有抵押 <input type="checkbox"/> Not Owned沒有- <input type="checkbox"/> Rented租住 <input type="checkbox"/> Living with family與家人同住		vi) Ownership of Residence住屋業權 <input type="checkbox"/> Owned擁有 - <input type="checkbox"/> Mortgaged有抵押 <input type="checkbox"/> Not mortgaged沒有抵押 <input type="checkbox"/> Not Owned沒有- <input type="checkbox"/> Rented租住 <input type="checkbox"/> Living with family與家人同住	
5. Investment Experience 投資經驗			
i) Products產品 <input type="checkbox"/> Stocks/Investment Funds股票/投資基金 <input type="checkbox"/> Bonds債券 <input type="checkbox"/> Derivatives(Futures/Options/Warrants) 衍生工具(期貨/期權/認股權證) <input type="checkbox"/> Foreign Currencies外幣 <input type="checkbox"/> Others其他: _____		i) Products產品 <input type="checkbox"/> Stocks/Investment Funds股票/投資基金 <input type="checkbox"/> Bonds債券 <input type="checkbox"/> Derivatives (Futures/ Options/ Warrants) 衍生工具(期貨/期權/認股權證) <input type="checkbox"/> Foreign Currencies外幣 <input type="checkbox"/> Others其他: _____	
ii) Experience(in year(s))經驗(年) <input type="checkbox"/> less than 1 year 少於1年 <input type="checkbox"/> 1-3 years 年 <input type="checkbox"/> 4-5 years 年 <input type="checkbox"/> 6-10 years 年 <input type="checkbox"/> more than 10 years 超過10年		ii) Experience(in year(s))經驗(年) <input type="checkbox"/> less than 1 year 少於1年 <input type="checkbox"/> 1-3 years 年 <input type="checkbox"/> 4-5 years 年 <input type="checkbox"/> 6-10 years 年 <input type="checkbox"/> more than 10 years 超過10年	

10. Daily Statements / Contract Notes / Monthly Statements to be delivered to 日結單/買賣單據/月結單交付方式	
i) Statements will be sent to Account Holder (1): <i>(Please select one)</i> 帳戶結單將透過以下途徑寄往帳戶持有人(1): (請選擇其中一項) <input type="checkbox"/> Residential Address 住宅地址 <input type="checkbox"/> Correspondence Address 通訊地址 <input type="checkbox"/> E-mail Address 電郵地址	
ii) Language of Statements 帳戶結單語言: <input type="checkbox"/> Chinese 中文 <input type="checkbox"/> English 英文	
11. Disclosure of Related Account(s) 披露關連帳戶	
i) Is the Client related to any employee or director of the Company or its associated companies? 客戶是否與本公司或其聯營公司之任何僱員或董事有任何親屬關係? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (Please provide details below 請填寫以下資料) Name of employee / director 僱員/董事姓名 : _____ Relationship 關係 : _____	
ii) Is the Client's spouse a client of the Company? 客戶之配偶是否本公司之客戶? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (Please provide details below 請填寫以下資料) Name of the spouse 配偶姓名 : _____ Account No. 帳戶號碼 : _____	
iii) Does the Client and/or the Client's spouse control 35% or more of the voting rights of any client of the Company? 客戶及/或客戶之配偶是否控制本公司任何客戶的 35%或以上的表決權? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (Please provide details below 請填寫以下資料) Name of the controlled client 受控制客戶名稱 : _____ Account No. 帳戶號碼 : _____	
12. Disclosure of Identity 披露身份	
The Client hereby declares and confirms the following 客戶現聲明及確認:	
i) Is the Client the ultimate beneficial owner of the Account(s)? 客戶是否該帳戶之最終實益擁有人? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 (please provide details of the ultimate beneficial owner(s) below 請填寫最終實益擁有人之資料) Name 姓名 : _____ Tel. No. 電話號碼 : _____ Address 地址 : _____ ID/Passport/Incorporation 身份證/護照/公司註冊證書號碼 : _____	
ii) Is the Client a person, or director or employee of a person licensed by or registered with the SFC or an accredited person of any exchange participant of the Stock Exchange or Futures Exchange? 客戶是否為證監會發牌或註冊人士或聯交所或期交所之交易所參與者或該人士之董事或僱員或認可人士? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, the Client is a director or an employee or an accredited person of the following exchange participant of the Stock Exchange or Futures Exchange or licensed or registered person of the Securities and Futures Commission: <i>(Please provide details)</i> 是, 客戶為以下聯交所或期交所之交易所參與者或證監會之持牌人或註冊人之董事、僱員或認可人士: (請詳述) Name of the licensed or registered person 持牌或註冊人士姓名/名稱: _____ * Please attach the consent letter from the licensed or registered person. 請提供持牌或註冊人士同意信。 * <i>The Client undertakes to promptly notify the Company if the Client becomes employed by any licensed or registered person to carry on regulated activities within the meaning of the Securities and Futures Ordinance.</i> * 客戶承諾若其受聘於任何持牌或註冊人士以進行證券及期貨條例所指的受規管活動, 會盡快通知本公司。	
iii) Is the Client ultimately responsible for originating instructions for the transactions of the Account(s)? 客戶是否最終負責對該帳戶之交易發出指示? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No, particulars of person(s) originating the instructions are as follows 否, 下列為負責發出交易指示者資料: Name 姓名: _____ ID/Passport/Incorporation No. 身份證/護照/公司註冊證書號碼: _____ Address 地址: _____	

13. Risk Disclosure Statements and Disclaimers 風險披露聲明與免責聲明

The Client acknowledges and confirms that the Client has read the relevant risk disclosure statements and disclaimers which were provided in a language of the Client's choice as set out in the Terms and Conditions. The Client also acknowledges and confirms that the Client was invited to read the risk disclosure statements and disclaimers as set out in the Terms and Conditions, ask questions, and take independent advice if the Client wishes.

客戶知悉及確認已閱讀其所選擇語言之條款及條件內有關風險披露聲明與免責聲明。客戶亦知悉及確認已獲邀參閱於條款及條件內有關之風險披露聲明與免責聲明、提出問題及按其意願諮詢獨立意見。

14. Client's Declaration for Data Protection 客戶個人資料保障聲明

The Client has carefully read, fully understood and agreed to accept and be bound by the Section IX Notice To Clients Relating To The Personal Data (Privacy) Ordinance ("NTC") in TSAM's Terms and Conditions.

客戶已仔細閱讀，完全理解並同意接受並遵守載於泰嘉證券的交易條款及條件中第九章關於《個人資料(私隱)條例》致客戶的解釋說明（「該說明」）。The Client hereby consents to the contents of the NTC and the use of the data by TSAM in direct marketing.

客戶謹此同意該說明的所有內容及同意泰嘉證券使用其個人資料作直接促銷用途。

Please tick the box below if disagree:

如不同意，請在以下空格加上「✓」號

- The Client does not consent to the use of his/her personal data in direct marketing for financial, securities, commodities, derivatives, investment, financing, insurance, MPF/ORSO, wealth management, investor education and related services, products and facilities, reward, loyalty or privileges programmes or donations and contributions for charitable and/or non-profit making purposes.

客戶不同意泰嘉證券使用其個人資料於直接促銷金融、證券、商品、衍生產品、投資、信貸、保險、強積金/職業退休計劃、財富管理、投資者教育及相關服務、產品及設施，獎賞、年資獎勵或優惠計劃或慈善及/或非牟利目的而作出之捐款及捐贈。

15. Tax Residency 稅務居民資料*

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 提供以下資料，列明：

(a) each jurisdiction where the account holder is a resident for tax purposes; and

賬戶持有人的居留司法管轄區，亦即賬戶持有人的稅務管轄區；及

(b) the account holder's TIN for each jurisdiction indicated. 該居留司法管轄區發給賬戶持有人的稅務編號。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number (HKID).

如賬戶持有人是香港稅務居民，稅務編號是賬戶持有人的香港身份證號碼。

If a TIN is unavailable, provide the appropriate reason A, B or C 如沒有提供稅務編號，必須填寫合適的理由：

Reason A - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

理由 A - 賬戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

Reason B - The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.

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

Reason C - TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

理由 C - 賬戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要賬戶持有人披露稅務編號。

*Please attach and sign Self-Certification Form for additional tax residency if necessary.

若空格不敷使用，請另附自我證明表格及簽署。

Individual / Primary Joint Account Holder 個人/基本聯名帳戶持有人		Secondary Joint Account Holder 第二聯名帳戶持有人	
<input type="checkbox"/> I Hold Hong Kong Tax residence 本人持有 香港 稅務居民資格 and / or 及/或		<input type="checkbox"/> I Hold Hong Kong Tax residence 本人持有 香港 稅務居民資格 and / or 及/或	
<input type="checkbox"/> I Hold tax residence other than Hong Kong 本人持有 香港以外 稅務居民資格		<input type="checkbox"/> I Hold tax residence other than Hong Kong 本人持有 香港以外 稅務居民資格	
Jurisdiction of Residence: 居留司法管轄區		Jurisdiction of Residence: 居留司法管轄區	
TIN 稅務編號		TIN 稅務編號	
No TIN Reason: 沒有稅務編號理由	<input type="checkbox"/> Reason A 理由 A <input type="checkbox"/> Reason B 理由 B <input type="checkbox"/> Reason C 理由 C	No TIN Reason: 沒有稅務編號理由	<input type="checkbox"/> Reason A 理由 A <input type="checkbox"/> Reason B 理由 B <input type="checkbox"/> Reason C 理由 C
Explanation to selected Reason B 選取理由B的原因		Explanation to selected Reason B 選取理由B的原因	

16. Declaration and Agreement by Client 客戶的聲明及同意

The undersigned (whose particulars are set out in this Account Opening Form) (the “Client”), agrees to open trading account(s) (the “Account(s)”) with the Company upon and subject to all the provisions of this Account Opening Form and the relevant Sections of “Terms and Conditions for Trading Accounts” (the “Terms and Conditions”) applicable to the Account(s) that the Client applies to open.

以下簽署人（其資料詳列於本帳戶開戶表格）（「客戶」）同意按照本帳戶開戶表格的所有條款，以及相關章數的《交易帳戶條款及條件》（「條款及條件」）中適用於客戶申請開立之帳戶的所有條款及條件，在本公司內開立交易帳戶（「帳戶」）。

By signing this Part, the Client hereby declares, agrees and confirms that:-
倘簽署本部份，客戶現聲明、同意及確認:-

- (a) the information provided in this Account Opening Form is complete, true and accurate. The Company is entitled to rely fully on such representations and information for all purposes, unless the Client informs the Company in writing of any change to that information;
於本帳戶開戶表格所提供的資料屬完整、真實及準確。本公司有權基於一切目的倚賴此等陳述及資料，除非客戶以書面通知本公司有關資料的任何改變；
- (b) the Client has fully read, understood and confirmed, and agrees and accepts to be bound by all the provisions of this Account Opening Form and the Terms and Conditions (as amended from time to time) applicable to the Account(s) that the Client applies to open with the Company. The Client has been advised by the Company to seek independent legal advice;
客戶已完全閱讀、明白及確認，以及同意並接納本帳戶開戶表格的所有條款，以及適用於客戶向本公司申請開設之帳戶的所有條款及條件（及其不時作出的修改）並同意受其約束。本公司已建議客戶尋求獨立法律意見；
- (c) the contents of the Terms and Conditions have been fully explained to the Client in a language which the Client understands;
條款及條件的內容已以客戶明白的語言向客戶作出充分的解釋；
- (d) the Company reserves its rights to amend the Terms and Conditions from time to time. Such amendments shall be incorporated into the Terms and Conditions unless objected to in writing by the Client within 14 days from the notice of the Company;
本公司保留不時更改條款及條件的權利。除非客戶在本公司發出通知後的 14 天之內以書面提出反對，上述的改動將被納入條款及條件之內；
- (e) In the event that there is any inconsistency between the English version and the Chinese version of the Account Opening Form and the Terms and Conditions, the English version shall prevail. The Company may provide a hard copy of the English version upon request; and
本帳戶開戶表格和條款及條件之中文版本及英文版本如有任何歧義，概以英文版本為準。如有要求，本公司會提供英文版本列印本；及
- (f) the Client has read and understood the policy of the Company in relation to information of the Client as contained in the Terms and Conditions, and agrees and accept to its terms.
客戶已閱讀及明白本公司載於條款及條件內有關客戶資料的政策部份，並同意及接納其條款。

Client Signature (Individual / Primary Joint Account Holder)

客戶簽署（個人/基本聯名帳戶持有人）

Client Signature (Secondary Joint Account Holder)

客戶簽署（第二聯名帳戶持有人）

Date(dd/mm/yy)日期(日日/月月/年年) _____

Date(dd/mm/yy)日期(日日/月月/年年) _____

17. Witness Signature 見證人簽署

IF THE DOCUMENT IS NOT EXECUTED BY THE CLIENT(S) IN FRONT OF TSAM'S EMPLOYEE/LICENSED OR REGISTERED STAFF OR SUBMITTED WITH AN APPROPRIATE CHEQUE ④, BELOW SHOULD BE SIGNED BY A SPECIFIED PERSON ⑤ [if applicable] 若客戶 / 聯名客戶並非在泰嘉證券的僱員/持牌或註冊人員面前簽立此文件或連同適當的支票 ④ 一併遞交，則以下應由指定人士 ⑤ 簽署 [若適用者]
The undersigned person hereby certify the signing of this document (together with the above Agreement) by the above Client/ Joint Clients (please delete either one) and sighting of related identity documents of such Client(s).
下述簽署人士謹此驗證上述客戶 / 聯名客戶 (請刪去其中一項) 簽立此文件 (連同該協議書) 及其有關的身份證明文件:-

Witness Signature 見證人簽署**Witness Name 見證人姓名**

ID Card/Passport/CE No. _____

身份證/護照/CE 編號

Date(dd/mm/yy)日期(日日/月月/年年) _____

Occupation of Witness 見證人職務 : _____

Contact details 聯絡資料

Tel. No. 電話號碼 : _____ Email Address 電郵地址 : _____

A crossed cheque bearing your name shown in your identity document and drawn on your account with a licensed bank in Hong Kong with your same signature(s) as shown in this Form in favour of "Tiger Securities Asset Management Company Limited" for not less than HKD10,000 (or such other amount as may be advised by TSAM. Your approved new account will not be activated until the cheque is cleared.

客戶在香港的持牌銀行開立的帳戶並由客戶所簽發(該簽名須與此開戶表上的客戶簽名相符)並載有客戶在其身份證明文件上所顯示的姓名的劃線支票，而該支票抬頭人須為"泰嘉證券資產管理有限公司"及其數額不得少於 10,000 港元(或泰嘉證券知客戶的其他數額)。客戶被批核的新帳戶必須待支票兌現後才可使用。

Any SFC licensed or registered person, an affiliate of such person, a Justice of the Peace, a Branch Manager of a bank, Certified Public Accountant, Lawyer or Notary Public.

任何香港證監會持牌人或註冊人、其聯繫人士、太平紳士、銀行分行經理、執業會計師、律師或公證人。

18. Declaration by the licensed or registered staff 持牌或註冊人員之聲明

The Client has been provided with the relevant risk disclosure statements and disclaimers in a language of the Client's choice. The undersigned licensed or registered staff has invited the Client to read the risk disclosure statements and disclaimers as set out in the Terms and Conditions, ask questions and take independent advice if the Client wishes.

客戶已獲提供以其所選語言之有關風險披露聲明及免責聲明。以下簽署之持牌或註冊人員已邀請客戶參閱條款及條件及當中列明之風險披露聲明及免責聲明、提出問題及按其意願諮詢獨立意見。

Signature of licensed or registered staff 持牌或註冊人員簽署	Name of licensed or registered staff (in block letters) 持牌或註冊職員姓名(正楷填寫)
	A.E. Code 客戶主任編號 : _____
Date(dd/mm/yy)日期(日日/月月/年年) _____	C.E. No. 證監會中央編號 : _____

"內部"使用 For office use only

核對清單 Checklist		客戶介紹人 Account Referral	
請參考「開戶所需文件與資料列表」 Please refer to the "List of Documents and Information required for opening an account under TSAM"		經紀姓名 A.E. Name	
		佣金收費 Commission Fee (%)	
		電話交易 Phone Trading <input type="checkbox"/>	網上交易 Internet Trading <input type="checkbox"/>
		() %;	() %;
		最低 minimum HKD ()	最低 minimum HKD ()
信貸額 Credit Limit HKD			
備註 Remarks:			
資料輸入 Data Input By	資料核對 Data Check By	開戶批核 A/C Approved By	開戶批核核對 A/C Approved Check By
日期 Date:	日期 Date:	日期 Date:	日期 Date: