

<b>Private &amp; Confidential 資料保密</b>
Cash Account No. 現金帳戶號碼:
Date Opened 開戶日期

**ACCOUNT OPENING FORM 開戶表格(For Personal/Joint Account)(私人/聯名)**

Name(s) of Account 客戶姓名		Name in English 中文姓名		I.D. Card No. / Passport No. 身份證 / 護照號碼		Sex 性別	
Nationality 國籍	Date of Birth 出生日期	Age 年齡	Marital Status 婚姻狀況 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Single 未婚		Education Level 教育程度 <input type="checkbox"/> University or above 大學或以上 <input type="checkbox"/> Post Secondary 大專 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Others 其他		
Full Residential Address (In English BLOCK Letters and in Chinese) 住宅地址(請以中英文正楷填寫)							
Years of Residence 在上址居住年數	Home Tel No. 住宅電話號碼	Pager/Portable Phone No. 傳呼機/手提電話號碼		Fax No. 圖文傳真號碼	E-mail 電郵		
<input type="checkbox"/> Owned 自置 <input type="checkbox"/> Mortgaged 按揭 <input type="checkbox"/> Relative's 親屬樓宇 <input type="checkbox"/> With Parents 與父母同住 <input type="checkbox"/> Rented 租用 <input type="checkbox"/> Quarters 宿舍							
Correspondence Address 通訊地址							
Employer's Name 任職公司名稱				Employer's Address (in English BLOCK Letters and in Chinese) 公司地址(請以中英文正楷填寫)			
Nature of Business 業務性質		Position 職位		Years of Service 服務年數		Office Tel No. 公司電話號碼	
						Office Fax No. 公司圖文傳真號碼	
Bank Information 銀行資料 <input type="checkbox"/> Savings 儲蓄帳戶 <input type="checkbox"/> Current 支票帳戶 <input type="checkbox"/> Fixed 定期戶							
A/C No. 帳戶號碼							
1) Are you the ultimate beneficial owner(s) in relation to the Account? i.e. Are you acting for your own and not for a third party? 閣下是否此戶口最終權益擁有者? 即是閣下是否為閣下本身而不是第三者處理戶口? <input type="checkbox"/> Yes. 是。 <input type="checkbox"/> No, details of the ultimate beneficial owner(s) is/are: 不是, 戶口最終權益擁有人細節如下:							
Name: 姓名:				ID Card No. / Passport No. / Place of Issue: 身份證 / 護照號碼 / 簽發地:			
Address: 地址:				Telephone No.: 電話號碼:			
2) Are you an employee or agent of a participant of a stock / futures exchange, or a licensed person / licensed representative registered with the Securities and Futures Commission or an exempt licensed person or licensed representative? 閣下是否股票 / 期貨交易所參與者, 或於證監會註冊之註冊人士或註冊代表又或為豁免註冊人士或註冊代表之僱員或代理人? <input type="checkbox"/> No. 不是。 <input type="checkbox"/> Yes, the name of the related exchange participant or registered / exempted person is: 是, 有關連之交易所參與者或註冊 / 豁免人士名稱:							
3) Are you an employee of Lighthouse Capital (HK) Financial Limited? 閣下是否光源資本(香港)金融有限公司的僱員? <input type="checkbox"/> No. 不是。 <input type="checkbox"/> Yes. 是。							
4) Are you the relative of an employee or an account executive of Lighthouse Capital (HK) Financial Limited? 閣下是否光源資本(香港)金融有限公司僱員 / 營業經紀的親屬? <input type="checkbox"/> No. 不是。 <input type="checkbox"/> Yes. 是。 Employee/Account Executive's Name & Relationship 僱員 / 營業經紀姓名及關係:							
Send Confirmation and Statements to 結單及帳單郵寄往 <input type="checkbox"/> Residential Address 住址 <input type="checkbox"/> Business Address 公司地址 <input type="checkbox"/> Correspondence Address 通訊地址 <input type="checkbox"/> Fax 圖文傳真 <input type="checkbox"/> E-mail 電郵 (Monthly Statement cannot be sent by e-mail 月結單不能以電郵發送)							
<b>For Cash Account Only (只適用於現金客戶)</b> You can choose the following methods of settlement 閣下可選擇以下方式交收:							
1) Issue cheque on T+2 day automatically 自動 T+2 出票				Yes	No		
2) Issue dividend cheque automatically 自動發股息				<input type="checkbox"/>	<input type="checkbox"/>		
3) Issue cheque automatically after deducting T and T+1 transactions 自動扣除 T 及 T+1 所有交易後出票				<input type="checkbox"/>	<input type="checkbox"/>		
<b>In order to comply with Section 5.1 (a) of Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission, please complete the following question</b> <b>請提供以下資料以便遵守證券及期貨事務監察委員會持牌人或註冊人操守準則之第 5.1(a)項要求</b>							
Annual Income (HK\$) 每年收入(港幣) <input type="checkbox"/> less than 少於 \$200,000 <input type="checkbox"/> \$200,001 - \$500,000 <input type="checkbox"/> \$500,001 - \$800,001 <input type="checkbox"/> \$800,001 - \$1,000,000 <input type="checkbox"/> over 多於 \$1,000,000							
Investment Objective(s)/Habit(s) 投資目標/習慣 <input type="checkbox"/> Conservative 穩健 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Investment 投資(Long 長 / Medium 中 / Short Term 短線)							
Investment Experience 投資經驗 Stock/Warrant 股票/認股權證 <input type="checkbox"/> Yes 是 ____ Year(s) 年 <input type="checkbox"/> No 否 Option/Future 期權/期貨 <input type="checkbox"/> Yes 是 ____ Year(s) 年 <input type="checkbox"/> No 否 Forex/Bullion 外匯/貴重金屬 <input type="checkbox"/> Yes 是 ____ Year(s) 年 <input type="checkbox"/> No 否 Others 其他 _____							

\*Optional 此項可不填

*Designated Contact Person (if necessary, in client's absence) Please give Name & Tel No. 指定聯絡人 (如有需要, 在客戶不在時) 請提供姓名及電話號碼	
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I/We certify that the above information is correct 本人(等)確認上述資料正確	Name of client in block letters: 客戶姓名(請用正楷字體填寫):
	Date 日期:

*** FOR OFFICIAL USE ONLY 只供本公司使用***		
Introduced by 介紹人:	Documentation Checked by: 文件查核:	Approved by 批准:
Name of Account Executive: 客戶主任姓名:	Client known to Account Executive for: 與主任相識期:	Bank and Credit references obtained: Yes / No 已獲銀行及信貸參考: 是 / 否
Brokerage 佣金: Min. 最低佣金:	Credit Limit 信貸額:	Interest Rate 利率:

# CLIENT ACCOUNT OPENING EXECUTION FORM 客戶開戶執行表格(For Personal/Joint Account)(私人/聯名)

## TYPE OF ACCOUNT 帳戶種類

(Please indicate the type of Account you want by ticking "v" and signing the appropriate boxes below)(請在適當方格加上"v"選出所需帳戶種類並簽署)

### ☐ Cash Account 現金帳戶

Please open a Cash Account for me/us, the undersigned Client(s). I/We have read and understood the provisions of the Cash Client's Agreement as set out in the Standard Terms and Conditions of Lighthouse Capital (HK) Financial Limited and I/We accept to be bound by the same.

請為本人(等)(在下面簽名的客戶)開立現金帳戶。本人(等)已經閱讀並明白在光源資本(香港)金融有限公司的標準章程中,所載之現金帳戶協議的條款,並接受這些條款的約束。

Signature of Individual/Primary joint Account Holder:  
個人/主要帳戶持有人簽署:

Date 日期:

Signature of Secondary Joint Account Holder:  
聯名帳戶第二持有人簽署:

Date 日期:

只適用於聯名帳戶

Witness Name 見證人姓名:

Witness Signature 見證人簽署

Witness Occupation 見證人職業:

Date 日期:

## OTHERS SERVICE 其他服務 (Please indicate the following service you want by ticking "v" and signing the appropriate boxes below)(請在適當方格加上"v"選出所需服務種類並簽署)

### ☐ Internet Securities Trading 互聯網證券交易

I/We want to use the Internet Securities Trading Services. I/We have read and understood the provisions of the Internet Trading Agreement as set out in the Standard Terms and Conditions of Lighthouse Capital (HK) Financial Limited and I/we accept to be bound by the same.本人(等)欲使用互聯網證券交易服務。本人(等)已經閱讀並明白在光源資本(香港)金融有限公司的標準章程中,所載之互聯網交易條款,並接受這些條款的束。

Signature of Individual/Primary joint Account Holder:  
個人/主要帳戶持有人簽署:

只適用於互聯網交易帳戶

Signature of Secondary Joint Account Holder:  
聯名帳戶第二持有人簽署:

只適用於互聯網交易之聯名帳戶

Witness Signature (the same witness and date as stated above)  
見證人簽署(見證人及日期同上)  
只適用於互聯網交易帳戶

## ACCEPTED AND CONFIRMED BY LIGHTHOUSE CAPITAL (HK) FINANCIAL LIMITED 光源資本(香港)金融有限公司接受及確認

SIGNED by:

簽署由:

its authorized director(s) / Responsible Officer(s)

獲授權董事/負責人員

For and on behalf of

please Sign here 在此簽署

LIGHTHOUSE CAPITAL (HK) FINANCIAL

LIMITED 代表光源資本(香港)金融有限公司

Date 日期:

Witness Signature (Name: \_\_\_\_\_, a staff of Lighthouse Capital (HK)

Financial Limited)

見證人簽署(姓名: \_\_\_\_\_

, 光源資本(香港)金融有限公司僱員)

Date 日期:

## RECEIPT OF AGREEMENTS AND OTHER LEGAL DOCUMENTS 協議書及其他法律文件之收訖

I/We acknowledge receipt of the following Standard Terms and Conditions of Lighthouse Capital (HK) Financial Limited 本人(等)確認已收取下列之光源資本(香港)金融有限公司標準章程:  
(Please indicate the type of document you want by tick "v" and signing the appropriate boxes below)(請在適當方格加上"v"選出所需文件種類並簽署)

- ☐ English and Chinese versions of the Standard Terms and Conditions (which set out the Cash Client's Agreement, the Internet Securities Trading Agreement and the Notice of Personal Data)  
標準章程之英文及中文版本(包括現金客戶協議書、互聯網證券交易協議書及個人資料告示)

I/We agree that if there is a discrepancy between English and Chinese version of the Standard Terms and Conditions, the English version shall prevail.

本人(等)同意標準章程之中英文版本文義有歧義,將以英文版本為準。

Signature of Individual/Primary joint Account Holder:  
個人/主要帳戶持有人簽署:

Date 日期:

Signature of Secondary Joint Account Holder:  
聯名帳戶第二持有人簽署:

只適用於聯名帳戶

Date 日期:

## DECLARATION BY CLIENT 客戶聲明

The client acknowledges that the Risk Disclosure Statement and the Risk Disclosure Statement in the Internet Securities Trading Agreement (if applicable) were provided in a language of client's own choice (English or Chinese) and the client was invited to read the Risk Disclosure Statement, and the Risk Disclosure Statement in the Internet Securities Trading Agreement (if applicable) to ask questions and take independent advice if the client wishes.

客戶確認已按照客戶選擇的語言(英文或中文)獲得風險披露聲明書及互聯網證券交易協議書所載之風險披露聲明書(如適用),及已獲邀閱讀該風險披露聲明書及互聯網證券交易協議書所載之風險披露聲明書(如適用),提出問題及徵求獨立的意見(如客戶有此意願)。

Signed by:  
簽署:

Name of client in block letters:  
客戶姓名(請用正楷字體填寫):

Date 日期:

## DECLARATION BY STAFF 職員聲明

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

本人,以註冊人身份,確認本人已按照上述客戶所選擇的語言(英文或中文)提供風險披露聲明書及互聯網證券交易協議書所載之風險披露聲明書(如適用)及提供客戶閱讀現金客戶協議書及/或保證金客戶協議書之風險披露聲明書及互聯網證券交易協議書所載之風險披露聲明書(如適用),亦邀請客戶如有需要可以提出問題及徵求獨立的意見。

Signed By:  
簽署:

Name of licensed or registered person in block letters:  
註冊人姓名(請用正楷字體填寫):

SFC CE No. 中央編號:

Date 日期:

## ACCOUNT OPENING PROCEDURES FOR INDIVIDUAL CLIENT 開設個人戶口須知

If client opens an individual cash and/or margin account with Lighthouse Capital (HK) Financial Limited, please complete and sign the following documents and provide the following supporting documents:  
客戶欲在光源資本(香港)金融有限公司開設個人現金及/或保證金戶口,請簽妥下列表格及提供下列證明文件。

### Please complete and sign the following documents 需要簽署文件

- (1) Account Opening Form 開戶表格
- (2) Client Account Opening Execution Form 客戶開戶執行表格
- (3) Confirmation of Customer Due Diligence 客戶盡職審查確認信
- (4) Form W-8BEN - Request for Taxpayer Identification Number and Certification
- (5) Self-Certification Form - Individual 自我證明表格 - 個人
- (6) Risk Profile Questionnaire 風險承受能力問卷
- (7) Client Consent on HKIDR 香港投資者識別碼制度之同意書

### Please provide the following supports documents 需要提供文件

- (1) Hong Kong Identity Card or Passport Copy 香港身份證或護照影印本
- (2) Residential Proof within the latest 3 months (e.g. rates demand note) 最近3個月內之住址證明(例如差餉單)
- (3) Bank Account Proof (e.g. bank statement) 銀行戶口證明(例如銀行月結單)

### Non-Hong Kong Residents please provide the following supports documents 非本港人士必須提供以下文件

- (1) Identity Card Copy, Passport Copy & Entry Permits Copy 所屬國家之身份證影印本,護照影印本及入境證明影印本