



根據《證券及期貨條例》就第 2 類受規管活動獲發牌的持牌法團 CE 編號 BPS863
A corporation licensed for Type 2 regulated activities under the Securities and Futures Ordinance with CE no. BPS863)

戶口號碼： Account No :	
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開戶表 - 個人/聯名帳戶

Account Opening Form – Individual / Joint Account

負責客戶主任姓名 Responsible AE		負責客戶主任姓名編號 Responsible AE Code	
期貨合約種類 Futures Contract Type	<input type="checkbox"/> 香港期貨 Hong Kong Futures <input type="checkbox"/> 環球期貨 Global Futures	帳戶形式 Account Nature	<input type="checkbox"/> 個人帳戶 Individual Account <input type="checkbox"/> 聯名帳戶 Joint Account

A. 個人資料 Personal Information

個人/聯名帳戶持有人 Individual / Primary Joint Account Holder		聯名帳戶第二持有人 Secondary Joint Account Holder	
稱謂 Title	先生 Mr/女士 Ms/太太 Mrs/小姐 Miss	稱謂 Title	先生 Mr/女士 Ms/太太 Mrs/小姐 Miss
中文姓名 Chinese Name		中文姓名 Chinese Name	
英文姓名 English Name		英文姓名 English Name	
身份證號碼/護照號碼 ID Card No./Passport No.		身份證號碼/護照號碼 ID Card No./Passport No	
出生日期(日/月/年) Date of Birth (dd/mm/yy)		出生日期(日/月/年) Date of Birth (dd/mm/yy)	
國籍/公民身份 National/Citizenship		國籍/公民身份 National/Citizenship	
住宅地址 Residential Address		住宅地址 Residential Address	

通訊地址 Correspondence Address (如與住宅地址不同 if different from residential address)		通訊地址 Correspondence Address (如與住宅地址不同 If different from residential address)	
住宅電話 Home Phone No		住宅電話 Home Phone No	
流動電話 Mobile Phone No		流動電話 Mobile Phone No	
電郵地址 E-mail Address	(只須由個人/主要戶口持有人填寫 Individual/Primary Joint Account Holder Only)		
交易確認及帳戶結單遞送至(只選一項) Trading confirmations and statements to be sent to your (select one)			
<input type="checkbox"/> 電郵地址 E-mail Address <input type="checkbox"/> 住宅地址 Residential Address <input type="checkbox"/> 辦公室地址 Office Address <input type="checkbox"/> 通訊地址 Correspondence Address			

B. 工作狀況 Employment Status

主要戶口持有人 Primary Joint Account Holder		第二戶口持有人 Secondary Joint Account Holder	
就業情況 Employment Status <input type="checkbox"/> 受僱 Employed <input type="checkbox"/> 自僱 Self-employed <input type="checkbox"/> 退休 Retired <input type="checkbox"/> 學生 Student <input type="checkbox"/> 其他 Others _____		就業情況 Employment Status <input type="checkbox"/> 受僱 Employed <input type="checkbox"/> 自僱 Self-employed <input type="checkbox"/> 退休 Retired <input type="checkbox"/> 學生 Student <input type="checkbox"/> 其他 Others _____	
僱主名稱 Name of Employer		僱主名稱 Name of Employer	
職業/業務性質 Occupation/Business Nature		職業/業務性質 Occupation/Business Nature	
職位 Job Title		職位 Job Title	
受僱年期 Years with Employer		受僱年期 Years with Employer	
辦公室電話 Business Phone No		辦公室電話 Business Phone No	
辦公室地址 Office Address		辦公室地址 Office Address	

D. 銀行資料 Bank Reference

除客戶另行指示外，須付予客戶的款項將會被轉入下列銀行帳戶

Unless otherwise instructed by client, all monies payable to you are to be credited to the following bank account

銀行名稱 Bank Name	
銀行帳戶貨幣/號碼 Bank Account Currency/Number	<input type="checkbox"/> 港幣 帳戶號碼 HKD A/C# _____ <input type="checkbox"/> 美元 帳戶號碼 USD A/C# _____ <input type="checkbox"/> 人民幣帳戶號碼 CNY A/C# _____
帳戶持有人名稱 Bank Account Holder's Name	

E. 財政狀況 Financial Situation

主要戶口持有人 Primary Joint Account Holder		第二戶口持有人 Secondary Joint Account Holder	
流動資產 (HKD) Liquid Assets (HKD)	<input type="checkbox"/> <HKD100,000 <input type="checkbox"/> HKD100,001-HKD500,000 <input type="checkbox"/> HKD500,001-HKD1,000,000 <input type="checkbox"/> HKD1,000,001-HKD5,000,000 <input type="checkbox"/> HKD5,000,001-HKD10,000,000 <input type="checkbox"/> Other: HKD _____	流動資產 (HKD) Liquid Assets (HKD)	<input type="checkbox"/> <HKD100,000 <input type="checkbox"/> HKD100,001-HKD500,000 <input type="checkbox"/> HKD500,001-HKD1,000,000 <input type="checkbox"/> HKD1,000,001-HKD5,000,000 <input type="checkbox"/> HKD5,000,001-HKD10,000,000 <input type="checkbox"/> Other: HKD _____
資產淨值 (HKD) Net Worth (HKD)	<input type="checkbox"/> <HKD100,000 <input type="checkbox"/> HKD100,001-HKD500,000 <input type="checkbox"/> HKD500,001-HKD1,000,000 <input type="checkbox"/> HKD1,000,001-HKD5,000,000 <input type="checkbox"/> HKD5,000,001-HKD10,000,000 <input type="checkbox"/> Other: HKD _____	資產淨值 (HKD) Net Worth (HKD)	<input type="checkbox"/> <HKD100,000 <input type="checkbox"/> HKD100,001-HKD500,000 <input type="checkbox"/> HKD500,001-HKD1,000,000 <input type="checkbox"/> HKD1,000,001-HKD5,000,000 <input type="checkbox"/> HKD5,000,001-HKD10,000,000 <input type="checkbox"/> Other: HKD _____
年薪 (HKD) Annual Income (HKD)	<input type="checkbox"/> <HKD100,000 <input type="checkbox"/> HKD100,000-HKD200,000 <input type="checkbox"/> HKD200,001-HKD500,000 <input type="checkbox"/> HKD500,001-HKD1,000,000 <input type="checkbox"/> >HKD1,000,000	年薪 (HKD) Annual Income (HKD)	<input type="checkbox"/> <HKD100,000 <input type="checkbox"/> HKD100,000-HKD200,000 <input type="checkbox"/> HKD200,001-HKD500,000 <input type="checkbox"/> HKD500,001-HKD1,000,000 <input type="checkbox"/> >HKD1,000,000
資金來源 Source of Funds	<input type="checkbox"/> 薪金儲蓄 Savings from Salary <input type="checkbox"/> 家庭 Family <input type="checkbox"/> 營業溢利 Trading Profits <input type="checkbox"/> 租金收入 Rental Income <input type="checkbox"/> 金融機構貸款 Loan from Financial Institution <input type="checkbox"/> 其他 Others _____	資金來源 Source of Funds	<input type="checkbox"/> 薪金儲蓄 Savings from Salary <input type="checkbox"/> 家庭 Family <input type="checkbox"/> 營業溢利 Trading Profits <input type="checkbox"/> 租金收入 Rental Income <input type="checkbox"/> 金融機構貸款 Loan from Financial Institution <input type="checkbox"/> 其他 Others _____
住屋業權 Ownership of Residence	<input type="checkbox"/> 擁有 Owned <input type="checkbox"/> 已抵押 Mortgaged <input type="checkbox"/> 沒有抵押 Not Mortgaged <input type="checkbox"/> 沒有 Not Owned <input type="checkbox"/> 租住 Rented <input type="checkbox"/> 與家人同住 Living with Family	住屋業權 Ownership of Residence	<input type="checkbox"/> 擁有 Owned <input type="checkbox"/> 已抵押 Mortgaged <input type="checkbox"/> 沒有抵押 Not Mortgaged <input type="checkbox"/> 沒有 Not Owned <input type="checkbox"/> 租住 Rented <input type="checkbox"/> 與家人同住 Living with Family

F. 風險承受能力問卷 Risk Profile Questionnaire

本問卷以主要帳戶持有之資料作出評估，聯名帳戶持有人必需簽署確認

The result of the questionnaire is based on the information of the Primary Account Holder, the Secondary Joint Account Holder must sign to confirm.

請選擇下列最適當答案 Please choose the appropriate answer below

Q1 您的年齡介乎於？

What is your age?

- | | |
|------------------------------------|----|
| <input type="checkbox"/> (a) 18-35 | 10 |
| <input type="checkbox"/> (b) 36-44 | 8 |
| <input type="checkbox"/> (c) 44-55 | 6 |
| <input type="checkbox"/> (d) 55-65 | 4 |
| <input type="checkbox"/> (e) >65 | 2 |

Q2 您的教育程度是？

What is your education level?

- | | |
|--|----|
| <input type="checkbox"/> (a) 小學程度
Primary level or below | 4 |
| <input type="checkbox"/> (b) 中學程度
Secondary level | 6 |
| <input type="checkbox"/> (c) 預科
Non-degree tertiary | 8 |
| <input type="checkbox"/> (d) 大學程度
University or above level | 10 |

Q3 您是否有以下任何產品的投資經驗或知識？(您可選擇多於一個選項)。

Do you have any investment experience or knowledge of the below products? (You may select more than 1 option)

- | | |
|--|----|
| <input type="checkbox"/> (a) 現金、存款、存款證、保本產品、香港政府債券、強積金、貨幣市場基金。
Cash, Deposits, Certificates of Deposit, Capital Protected Products, HKSAR Government Bond, Mandatory Provident Funds, Money Market Funds | 4 |
| <input type="checkbox"/> (b) 股票、債券、股票或債券基金(包括強積金，不包括貨幣市場基金)、投資相連保單。
Stocks, Bonds, Equity or Bond Funds (including Mandatory Provident Funds, but excluding money market funds), investment-linked insurance plans. | 8 |
| <input type="checkbox"/> (c) 衍生工具(如：期權、期貨、認股權證(俗稱「窩輪」))、對沖基金、結構性產品(如：累計認購期權、股票掛鈎票據)。
Derivatives (Options, futures, warrants), hedge funds and other Structured products (e.g. accumulators, equity-linked deposit/notes) | 10 |

Q4 您有多少年投資於以下價值波動之投資產品(包括外幣商品、結構投資產品、認股權證(俗稱「窩輪」)、期權、期貨)的經驗，例如購入然後長期持有或經常買賣投資產品？

How many years of experience do you have with following investment products (including foreign currencies, commodities, structured investment products, warrants, options or futures) that the value can fluctuate (when either 'buy and hold' or active trading)?

- | | |
|--|----|
| <input type="checkbox"/> (a) 沒有經驗
No experience | 0 |
| <input type="checkbox"/> (b) 少過1年
Less than 1 year | 4 |
| <input type="checkbox"/> (c) 1至3年
Between 1 and 3 years | 8 |
| <input type="checkbox"/> (d) 多過3年
Over 3 years | 10 |

Q5 您有多少年投資於以下價值波動之投資產品(包括股票、單位信託基金、債券、投資相連保單等)的經驗(例如購入然後長期持有或經常買賣投資產品)？

How many years of experience do you have with following investment products (including stocks, unit trusts, investment-linked insurance plans, bonds) that the value can fluctuate (when either 'buy and hold' and/or active trading)?

- | | |
|--|----|
| <input type="checkbox"/> (a) 沒有經驗
No experience | 0 |
| <input type="checkbox"/> (b) 少過1年
Less than 1 year | 4 |
| <input type="checkbox"/> (c) 1至3年
Between 1 and 3 years | 8 |
| <input type="checkbox"/> (d) 多過3年
Over 3 years | 10 |

Q6 在一段時間之內，投資價值可升可跌，我們稱之為波動。一般而言，風險愈高的投資，其潛在波動愈大，但潛在回報亦愈高。相反，風險愈低的投資，其潛在波動愈小，但潛在回報亦相對較低。在一般情況下，您會願意投資於波動程度多大的投資產品？

Over a period of time the value of investments can rise and fall, this is called fluctuation. Generally, the higher the investment risk the higher the potential fluctuation but also the higher the potential returns. On the other hand, the lower the investment risk the lower the potential fluctuation but also the lower the potential returns. What level of fluctuation would you generally be comfortable with?

- (a) 波動多於-30%至+30% 10
Fluctuates under -30% and over +30%
- (b) 波動於-25%至+25% 8
Fluctuates between -30% and +30%
- (c) 波動於-15 至+15%之間 6
Fluctuates between -15% and +15%
- (d) 波動於-5 至+5%之間 4
Fluctuates between -5% and +5%

Q7 您打算用作於高盈金融投資的資金佔流動資產淨值（不包括自住物業）的百分比是多少？

Approximately what percentage of your net liquid assets (excluding self-use properties) do you intent to invest through Going Financial.

- (a) 少於 10% 10
Less than 10%
- (b) 10% – 40% 8
- (c) 40% – 60% 6
- (d) 60%或以上 2
60% or above

Q8 您有多需要將投資項目變現，來滿足對突發事件的流動資金需要？

How much of your investments would require to liquidate to meet liquidity need for an unforeseen event?

- (a) 我不一定會出售任何投資。 10
I would not have to sell any of any my investments.
- (b) 我會出售不多於 30%的投資。 8
I would sell no more than 30% of my investments.
- (c) 我會出售多於 30%但不於 50%的投資。 6
I would sell more than 30% but less than 50% of my investments.
- (d) 我會出售 50%以上的投資。 2
I would sell more than 50% of my investments

Q9 在一般情況下，投資的年期越長，可承受的風險越高，而投資產品的價值亦會波動。當投資於產品時，您會願意接受下列哪項投資年期？ 有關投資產品的例子，請參閱問題 3。

It is generally true that the longer the investment horizon, the higher the risk an investor can tolerate, and the values of investment products will fluctuate. What time horizon would you generally be comfortable with when investing in investment product? Please refer to Question 3 for examples of such products.

- (a) 多過 5 年 10
Over 5 years
- (b) 3 年至 5 年 8
Between 3 and 5 years
- (c) 1 至 3 年 6
Between 1 and 3 years
- (d) 少過 1 年 2
Less than 1 year

Q10 以下哪項描述最適合形容您的投資目標？

Which of the following choices best describes your investment objective?

- (a) 防守—希望保障我的資本及獲得稍微高於存款的投資回報。我可承受低程度的資本損失。 2
Defensive — I aim to protect my capital and receive returns slightly higher than bank deposits, and I can tolerate minimal capital loss.
- (b) 收入—希望於定期收入及資本增長之間取得平衡，並可承受中等程度的資本損失。 6
Income — I aim a balance of regular income and capital growth, and I can tolerate moderate capital loss.
- (c) 資本增值—我以長線資本增值為目標，並可承受大額度的資本損失。 8
Capital Grain — I aim stable capital appreciation over a longer time, and I can tolerate high capital loss.
- (d) 進取—我只尋求資本增值，同時可承受大幅度的資本價格波動。我願意為了高回報而冒較高風險。 10
Aggressive — I aim only capital appreciation, and I can tolerate substantial fluctuations in capital value. I am willing to take higher risks for significantly higher returns over time.

總分數 Total Score : _____

風險承受能力分析 Risk Tolerance Analysis

總分數 Total Score	< 30	30-69	70-85	> 85
風險承受程度 Risk Tolerance	<input type="checkbox"/> 低風險 Low Risk	<input type="checkbox"/> 中風險 Medium Risk	<input type="checkbox"/> 高風險 High Risk	<input type="checkbox"/> 特高風險 Extreme High Risk
投資者的一般特徵 Investor General Characteristics	<p><u>保守型 Conservative</u></p> <p>閣下願意承受底度的風險，亦明白會接受比較保守回報。</p> <p>You are willing to accept low risks. In return, you understand that you will receive low returns.</p>	<p><u>平衡型 Balance</u></p> <p>閣下願意承受中度的風險，於中長線換取潛在回報。</p> <p>You are willing to accept medium risks in exchange for some potential returns over the medium to long term.</p>	<p><u>進取型 Aggressive</u></p> <p>閣下願意承受高度的風險，於長線換取最大的潛在回報。閣下亦明白到有可能招致損失較大部本金。</p> <p>You are will to accept very high risks to maxim the size your potential return over the long term. You understand that you may lose a significant part of your capital.</p>	<p><u>投機型 Speculative</u></p> <p>閣下願意承受特受高度的風險，於長線換取最大的潛在回報。閣下亦明白到有可能招致損失大部或全部本金。</p> <p>You are will to accept very high risks to maximize your potential return over the long term. You understand that you may lose a significant part or all of your capital.</p>

免責聲明 Disclaimer :

- 本問卷的結果是從您向高盈國際(香港)金融集團有限公司(“高盈金融”)提供的資料，並根據若干普遍接納的假設及合理估算而得出。本問卷採用的方法及取值僅供說明用途，本集團對本問卷所載資料及/或所得結果的準確性或完整性並不負責或承擔任何法律責任。
The results of this questionnaire are derived from the information that you have provided to Going International (HK) Financial Group Limited (“Going Financial”) and on certain generally accepted assumptions and reasonable estimate. Calculations and values used in this questionnaire are used for illustration purpose only. Going Financial accepts no responsibility or liability as to the accuracy or completeness of the information containing in this questionnaire and/or the results.
- 本問卷及所得結果僅供您參考，並非購買或出售任何金融產品及服務的要約或招攬，亦不應被視為投資意見或推薦。
This questionnaire and the results only serve as a reference for your consideration, and are not an offer to sell or a solicitation for an offer to buy any financial products and services and they should not be considered as investment advice or recommendation.
- 請注意，倘若您未能全面披露所有或任何有關您的個人狀況（如財務狀況）、不正確、不完整或過時的資料可能影響本集團評估您對投資風險的態度及承受能力。如您的狀況出現變動而可能影響本問卷中任何問題的答案，我們極力建議您再次填寫本問卷。
Please be reminded that any failure to fully disclose all or any of your personal circumstances (e.g. financial situation), inaccurate, incomplete or outdated information may affect our assessment of your attitude and capacity for investment risks. If there is any change in circumstances which may affect your answer(s) to any question in this questionnaire. We strongly recommended that you should complete this questionnaire again.

客戶聲明 Customer Declaration :

本人（等）謹此聲明：本人（等）為本問卷所提供資料為真實、正確及全面，並同意上述的投資風險承受能力分析為正確。

I hereby declare that the information I have provided in this form is in all respects true, accurate and complete and agree that my investment risk tolerance analysis is correctly stated above.

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

日期
Date

聯名帳戶持有簽署
Signature of Secondary Joint Account Holder

日期
Date

G. 客戶聲明 Declaration by Customer

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?
Are you (and/or the Secondary Joint Account Holder) the ultimate beneficial owner(s) in relation to the account?
- 是 Yes
- 否 No (請提供以下資料 Please provide the follow information)
- (高盈國際(香港)金融集團有限公司在一般情況下並不接受申請人並非其戶口之最終受益人 Normally Going International (HK) Financial Group Limited would not accept the Applicant who is not the ultimate beneficial owner(s))
- 名稱 _____ 身份證/護照號碼 _____
Name _____ ID/Passport No. _____
2. 你(及/或聯名帳戶第二持有人) 是否證券/期貨交易所參與者的僱員或代理人，或於證監會註冊的持牌法團/註冊機構?
Are you (and/or the Secondary Joint Account Holder) an employee or agent of an exchange participant of a stock / futures exchange, or a licensed corporation or registered institution?
- 否 No
- 是 Yes (請提供以下資料及你僱主的書面同意 Please provide the follow information and your employer's consent letter)
- 有關的交所與者或註冊人的姓名是 _____
The name of the related exchange participant or register person is _____
- 閣下之牌照編號 _____
Your License No _____
3. 你(及/或聯名帳戶第二持有人) 是否與高盈國際(香港)金融集團有限公司(「高盈金融」)或聯繫人士的職員或代理人有親戚關係?
Are you (and/or the Secondary Joint Account Holder) a relative of an employee or agent of Normally Going International (HK) Financial Group Limited ("Going Financial") or its Associates?
- 否 No
- 是 Yes (請提供以下資料 Please provide the follow information)
- 職員/代理人的名稱 _____ 關係 _____
Name of Employee / agent _____ Relationship _____
4. 你(及/或聯名帳戶第二持有人) 是否美國公民或就稅務目的而言的居民?
Are you (and/or the Secondary Joint Account Holder) citizens or residents of the USA for tax purposes?
- 否 No
- 是 Yes (高盈金融並不接受申請人是美國公民 Going Financial would not accept the Applicant who is citizens or residents of the USA)
5. 你(及/或聯名帳戶第二持有人) 是否香港以外的就稅務目的而言的居民?
Are you (and/or the Secondary Joint Account Holder) a resident for tax purposes in any place other than Hong Kong?
- 否 No
- 是 Yes (請列出該國家 Please list the country(ies))
- 中國 澳洲 台灣 日本 加拿大 泰國 印尼 其他
China Australia Taiwan Japan Canada Thailand Indonesia Other _____
6. 你(及/或聯名帳戶第二持有人)的配偶是否在高盈國際(香港)金融集團有限公司開設任何帳戶? 如是，戶口號碼是：
Does your (and/or the Secondary Joint Account Holder's) spouse maintain any account(s) with Going International (HK) Financial Group Limited ?
- If yes, the account number is:
- 否 No 是 Yes _____

H. 稅務居民資料 Tax Residency

根據《稅務條例》有關交換財務帳戶資料的法律條文，請提供你的稅務編號。如果你是香港稅務居民，稅務編號是其香港身份證號碼。如沒有提供稅務編號，必須填寫合適的理由：

理由 A – 帳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。

理由 B – 帳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帳戶持有人披露稅務編號。

理由 C – 帳戶持有人不能取得稅務編號。(如選取理由 C，解釋控權人不能取得稅務編號的原因)

Pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance. Please provide you (and /or the Secondary Joint Account Holder's) jurisdiction of residence where the account holder(s) is a resident for tax purposes and TIN for each jurisdiction indicated. If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. If a TIN is unavailable, provide an appropriate reason:

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

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

Reason C – The account holder is unable to obtain a TIN. (Explain why the account holder is unable to obtain a TIN if you have selected Reason C)

主要戶口持有人			第二戶口持有人		
<input type="checkbox"/> 本人持有 香港 稅務居民資格 I hold Hong Kong Tax resident <input type="checkbox"/> 本人持有 香港以外 稅務居民資格 I hold tax residents other than Hong Kong (請提供以下資料 Please provide the follow information)			<input type="checkbox"/> 本人持有 香港 稅務居民資格 I hold Hong Kong Tax resident <input type="checkbox"/> 本人持有 香港以外 稅務居民資格 I hold tax residents other than Hong Kong (請提供以下資料 Please provide the follow information)		
居留司法管轄區: Jurisdiction of Residence:	(1)	(2)	居留司法管轄區: Jurisdiction of Residence:	(1)	(2)
稅務編號: TIN:	(1)	(2)	稅務編號: TIN:	(1)	(2)
沒有稅務編號理由: No TIN Reason:	<input type="checkbox"/> 理由 A Reason A <input type="checkbox"/> 理由 B Reason B <input type="checkbox"/> 理由 C Reason C	<input type="checkbox"/> 理由 A Reason A <input type="checkbox"/> 理由 B Reason B <input type="checkbox"/> 理由 C Reason C	沒有稅務編號理由: No TIN Reason:	<input type="checkbox"/> 理由 A Reason A <input type="checkbox"/> 理由 B Reason B <input type="checkbox"/> 理由 C Reason C	<input type="checkbox"/> 理由 A Reason A <input type="checkbox"/> 理由 B Reason B <input type="checkbox"/> 理由 C Reason C
選取理由 C 的原因: Explanation to selected Reason C:			選取理由 C 的原因: Explanation to selected Reason C:		
額外資料: Additional Information:			額外資料: Additional Information:		
個人/聯名帳戶主要戶口持有人簽署 Signature of Individual/ Primary Joint Account Holder			聯名帳戶第二戶口持有人簽署 Signature of Secondary Joint Account Holder		
日期 Date			日期 Date		
個人/聯名帳戶主要戶口持有人姓名 Name of Individual/ Primary Joint Account Holder			聯名帳戶第二戶口持有人姓名 Name of Secondary Joint Account Holder		

1. 我知悉及同意，高盈國際(香港)金融集團有限公司(“高盈金融”)可根據《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文，(a) 收集本表格所載資料並可備存作自動交換財務帳戶資料用途及 (b) 把該等資料和關於我的資料向香港特別行政區政府稅務局申報，從而把資料轉交到我的居留司法管轄區的稅務當局。

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by Going International (HK) Financial Group Limited (“Going Financial”) 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).

2. 我確認客戶資料表(“表格”)中提供的信息和聲明是真實和準確的。我承諾，如情況有所改變，以致影響本表格所述的個人的稅務居民身分，或引致本表格第 1 部所載的資料不正確，我會通知高盈金融，並會在情況發生改變後 30 日內，向高盈金融提交一份已適當更新的綜合戶口資料更改書。高盈金融有權聯繫任何人，包括客戶的銀行，經紀人或任何信用機構，以驗證本表格上提供的信息。I declare that the information given and statements made in this Customer Information Form (“the Form”) is true and accurate. I / We undertake to advise Going Financial of any change in circumstances which affects the tax residency status of the Account Holder(s) of this form or causes the information contained herein to become incorrect, and to provide Going Financial with a suitably updated [form name] form within 30 days of such change in circumstances. Going Financial is authorized to contact anyone, including Customer’s banks, brokers or any credit agency, for verifying the information provided on this Form.

根據《稅務條例》第 80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級(即\$10,000)罰款。

3. It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is Going Financial leading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).

I. 客戶確認及承諾 Customer Acknowledgement and Consent

倘簽署本部份，客戶即聲明、同意及確認：

By signing this Part, the Client declares, acknowledges and confirms that:

1. 本開戶表格提供的資料，均為完整、真實及準確；
The information provided in this Account Opening Form is complete, true and accurate;
2. 我 / 我們確認高盈金融以客戶選擇的語言(英文或中文)提供證券及/或期貨客戶協議包括風險披露聲明及免責聲明。我 / 我們進一步確認高盈金融已經邀請我 / 我們閱讀風險披露聲明，提出問題及徵求獨立的意見(如我/我們有此意願)。我 / 我們應經常切留意市況，高盈金融可能在強制平仓前無法與我 / 我們聯絡或未能提供足夠時間讓客戶進行額外的存款。
I / We acknowledge that the Securities and/or Futures Client Agreement including the Risk Disclosure Statement and Disclaimers attached were provided in a language (English or Chinese) of the Customer's choice. I / We further acknowledge that I / We was invited to read the risk disclosure statement, ask questions and take independent advice, if the Customer wished. I / We acknowledges that I / We should closely monitor positions, as Going Financial may not be able to contact I / We or give I / We sufficient time to deposit additional funds, before forced liquidation of positions.
3. 我 / 我們謹此確認已收到並細閱及明白以上之「風險披露聲明書- 交易所買賣之衍生產品」。我 / 我們並且確認其財務狀況確可承受買賣交易所買賣之衍生產品所引致之潛在損失。我 / 我們亦聲明在其財務狀況有所變更時，將盡速地通知高盈金融。
I / We hereby confirm that they have received and read through and fully understood the above "Risk Disclosure Statement for Derivative Products traded on an exchange". I / We further confirm that the financial status can bear the possible losses associated with investing in derivative products traded on an exchange. I / We also declare that would inform Going Financial promptly should their financial status changes.
4. 我已參閱給予客戶有關<個人資料(私隱)政策/ 私隱政策聲明>的通知，並明白且同意其條款。
I / We have read the notice to Client on the Personal Data (Privacy) Ordinance, understand it and agree to its terms.

本人(等)(客戶)現獲告知高盈金融擬使用及在高盈金融(如《交易帳戶條款及條件》中所定義)之間轉移本人(等)於高盈金融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) 高盈金融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(等)在本開戶表格中向高盈金融提供的及高盈金融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(等)明白本人(等)可以隨時通過高盈金融指定的渠道要求高盈金融停止在直接促銷中使用本人(等)的個人資料。

I We (The Client) am/are hereby informed that Going Financial, (as defined in the "Terms and Conditions for Trading Account") intends to use and transfer within Going Financial 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 Going Financial for the aforesaid services or products. Such personal data includes my/our name(s), contact details, financial background and statistical data which are provided to Going Financial under this Account Opening Form or obtained by Going Financial from time to time. I/We understand that I/We may, at any time, require Going Financial to cease to use or transfer within Going Financial my/our personal data for direct marketing through such channel prescribed by Going Financial.

- 本人(等)(客戶)不希望高盈金融使用本人(等)的個人資料作直接促銷用途。
I/We (the Client) do not wish the Going Financial to use my/our personal data in direct marketing.
- 本人(等)(客戶)不希望高盈金融之間轉移本人(等)的個人資料作直接促銷用途。
I/We (the Client) do not wish my/our personal data to be transferred within Going Financial for use in direct marketing.

5. 我/我們同意高盈金融或聯繫人士各種方式提供投資或有關財務產品及服務的資料，其包括研究報告及特別優惠等。
I/We consent to Going Financial or its Associates providing information about investment or financial related products and services including research reports and special offers by any means.
6. 我/我們同意簽名同時用於開戶申請表、W-8BEN 表格、風險承受能力問卷、風險披露聲明、客戶款項常設授權和其他適用文件。
This is to confirm that the signature can be used for account opening form, W-8BEN form, risk assessment questionnaire, risk disclosure statements, client money standing authority and other relevant documents.

個人/聯名帳戶主要戶口持有人簽署
Signature of Individual/ Primary Joint Account Holder

聯名帳戶第二戶口持有人簽署
Signature of Secondary Joint Account Holder

X

X

個人/聯名帳戶主要戶口持有人姓名

Name of Individual/ Primary

Joint Account Holder

日期 Date

聯名帳戶第二戶口持有人姓名

Name of Secondary

Joint Account Holder

日期 Date

J 開戶核對表 Account Opening Checklist

A. 需要填妥的文件 Documents To Be Completed

已填妥及簽署的開戶申請表

Duly completed and signed Account Opening Application Form

由每位獲授權人填妥及簽署的客戶投資風險問卷

Duly completed and signed Customer Investment Risk Questionnaire by each Authorized Signatory

B. 供核實的基本證明文件 Supporting Basic Documents For Verification

請隨本表格附上全部帳戶持有人之身份證或護照副本。

Please enclose all account holders an ID copy or passport.

最近三個月內的銀行結單或公共服務單據副本作提供住址證明 (郵政信箱恕不接受)。

Copy of a bank statement or utility bill within the last 3 months for proof of home address. (P.O. box is not accepted)

僱主同意書(如適用)。

Employer's consent letter (if necessary)

任何有關個人資料的刪改必須由全部帳戶持有人簽署作實。

Any deletion or amendment of the personal information must be signed by all account holders.

帳戶持有人的款項將會被存入本表格內所提供的指定銀行帳戶，除非另行通知。

All monies payable to the account holder will be credited to the designated bank account nominated on this Form, unless otherwise instructed.

高盈金融恕不接受第三者存款，任何例外情況都需要管理層的預先批准。

Third-party deposit will not be accepted. Any exception is subject to prior management approval.

全部帳戶持有人必須在高盈金融或聯繫人士的職員/代理人面前填妥及簽署本表格；如非親身開戶，請參看下方的 **C 部份**。

This Form should be completed and signed by all account holders in front of an employee or agent of Going Financial or its Associates. Otherwise, please refer to **Part C**.

C. 注意事項 Notes

如開戶申請表並非在高盈金融或聯繫人士的職員/代理人面前簽署，帳戶持有人必須遵從以下程序要求：

If this account opening form is not executed by the client(s) in front of Going Financial's employee, customer should comply with the following procedural requirement.

- (i) 交給高盈金融在香港持牌行開立的帳戶所簽發不少於港元10,000 的個人支票，該支票的簽名及姓名須與本表格的客戶簽名及身份證明文件相符，而支票抬頭須為“高盈國際(香港)金融集團有限公司”。客戶的帳戶必須待支票兌現後才可使用。
Send a personal cheque in favour of “Going International (HK) Financial Group Limited” for not less than HKD10,000 drawn on an account with a licensed bank in Hong Kong, bearing the signature(s) as on this Form and name(s) as on the identity document(s). The new account will not be activated until the cheque is cleared.
- (ii) 由其他持牌人或註冊人、太平紳士、銀行分行經理、執業會計師、律師或公證人見證客戶的簽名及身份證明文件。
Have any other licensed or registered person, justice of the peace, branch manager of a bank, certified public accountant, lawyer or notary public certify the signature and identity documents of the account holders.

見證人中文姓名 Chinese Name of Witness		見證人英文姓名 English Name of Witness	
職業 Occupation		牌照編號 License No	
身份證/護照號碼 ID Card No/Passport No		聯絡電話 Phone No	
見證人簽署 Signature		日期 Date	
辦公室地址 Office Address			

職員/經紀聲明 Declaration by Staff / Account Executive

我確認已經以客戶選擇的語言 (英文或中文) 提供了載於證券及/或期貨客戶協議附表的風險披露聲明，並且我已經邀請客戶閱讀風險披露聲明，提出有關問題及尋求獨立意見 (如客戶有此意願)。

I confirm that I have provided the Risk Disclosure Statements as set out of the Securities and /or Futures Client Agreement in a language (English or Chinese) of the Customer's choice. I have also invited the Customer to read the Risk Disclosure Statements, ask questions and take independent advice if the Customer wishes.

持第 1 或第 2 類 (證券或期貨買賣) Licensed for Type 1 or Type 2 (Licensed Corporation)

職員/經紀姓名 Name of Staff/AE:	職員/經紀簽署 Signature of Staff/AE:	CE 編號 CE No:
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AML 風險級別 AML Risk Category <input type="checkbox"/> 低 Low <input type="checkbox"/> 中 Medium <input type="checkbox"/> 高 High <input type="checkbox"/> 特高 Extreme High	日期 Date:
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只供本行使用 For Official Use Only

<p>文件查核列表 Document check list</p> <p>1. 已核實的身份證或護照副本 Certified ID Card/Passport Copy <input type="checkbox"/> 是 Yes</p> <p>2. 地址證明副本 Address proof <input type="checkbox"/> 是 Yes</p> <p>3. 已核實 W-8ben 或 W-9 表格 Certified W-8ben/W-9 form <input type="checkbox"/> 是 Yes</p> <p>4. 銀行及信貸參考 (如適用) Bank and Credit Reference (if applicable) (例如: 銀行結單、屋契等) (eg. Bank statement, title deeds etc.) <input type="checkbox"/> 是 Yes <input type="checkbox"/> 不適合 N.A</p> <p>5. 僱主書面同意 (如適用) Employer consent letter (if applicable) <input type="checkbox"/> 是 Yes <input type="checkbox"/> 不適合 N.A</p>	<p>Applicable to non face-to-face account opening procedure:</p> <p>Personal cheque received (if applicable) <input type="checkbox"/> issued from a licensed bank in HK</p> <p><input type="checkbox"/> payable to "Going International (HK) Financial Group Limited"</p> <p><input type="checkbox"/> cheque amount not less than HKD10,000</p> <p><input type="checkbox"/> client name shown on cheque</p> <p><input type="checkbox"/> same signature on cheque and A/C Opening Form</p> <p><input type="checkbox"/> cheque copy retained</p> <p><input type="checkbox"/> cheque cleared</p>
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文件確認 Document reviewed by		
職員姓名 Name of Staff:	職員簽署 Signature of Staff:	日期 Date:

股票基本及網上交易佣金 Securities Basic and On-line Trading Commission

港元佣金(%) HKD Brokerage (%)	港元最低佣金 HKD Minimum Commission	人民幣佣金(%) CNY Brokerage (%)	人民幣最低佣金 CNY Minimum Commission
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期貨基本及網上交易佣金 Futures Basic and On-Line Trading Commission

港元佣金(%) HKD Brokerage (%)	港元最低佣金 HKD Minimum Commission	人民幣佣金(%) CNY Brokerage (%)	人民幣最低佣金 CNY Minimum Commission
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其他 Others

信用限額 Credit Limit

職員姓名 Name of Staff:	職員簽署 Signature of Staff:	信用限額 Credit Limit:
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開戶批核 Account opening approved by

職員姓名 Name of Staff:	職員簽署 Signature of Staff:	職位 Position:
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備註 Remarks: