

僅供內部使用 For internal use only	
Account Type	<input type="checkbox"/> Cash <input type="checkbox"/> Margin
Account No.	
RM Code	
Referral Code	
Account Opening Date	

## 賬戶開立表格 (機構專業投資者適用) ACCOUNT OPENING FORM (FOR INSTITUTIONAL PROFESSIONAL INVESTOR)

本賬戶開立表格及其附件(「賬戶開立表格」)構成賬戶申請人(「客戶」)與浦銀國際就有關賬戶之開立、維持及運作而訂立之書面協議的一部分(「客戶協議」)。

This account opening form and its appendices (this "Account Opening Form") constitutes part of the written agreement between the account applicant (the "Client") and SPDBI, regarding the opening, maintenance, and operation of the Account.

若本賬戶開立表格英文版本與中文版本有所衝突或不一致之處，應以英文版本為準。

Where there is any conflict or inconsistency between the English and Chinese versions of this Account Opening Form, the English version shall prevail.

此賬戶開立表格中提供的資料僅供以下公司使用 (請選擇至少以下一間公司)：

The information provided in this Account Opening Form is for the use of (please select **AT LEAST** one of the companies below):

- 浦銀國際證券有限公司 (中央編號: BKW389)  
SPDB International Securities Limited (CE#: BKW389)
- 浦銀國際投資管理有限公司 (中央編號: BFY108)  
SPDB International Investment Management Limited (CE#: BFY108)

除非本客戶資料聲明中另有說明，否則以上選擇的公司在下文中稱為「浦銀國際」，而以上每個公司在下文中均稱為「浦銀集團公司」。

Unless otherwise specified in this Client Information Statement, the company selected above is referred to below as "SPDBI", and each of the above companies are referred to below as an "SPDB Group Company".

### 1. 基本賬戶資料 GENERAL ACCOUNT INFORMATION

賬戶名稱 Account Name		
賬戶號碼 (現有客戶適用) Account No. (for existing Clients)		
公司註冊證明書編號 Certificate of Incorporation No.		
投資者識別碼客戶類別 Client Type for Investor Identification	<input type="radio"/> 相關受規管中介人 Relevant Regulated Intermediary <small>請於右方選擇其中一項 Please choose one option from the right hand side</small>	<input type="checkbox"/> 公司賬戶以進行主事人交易 House Account for Principal Trading
	<input type="radio"/> 基金 Fund	<input type="checkbox"/> 客戶賬戶以進行代理人交易 Omnibus Account for Agency Trading
	<input type="radio"/> 基金經理 Fund Manager	<input type="radio"/> 法團自營交易 Corporate for Proprietary Trading
賬戶類別 Account Type <small>請在適當圓圈內劃上「✓」號 (可選超過一項) Please tick the circle(s) where applicable</small>	<input type="radio"/> 證券現金賬戶 Securities Cash Account	<input type="checkbox"/> 申請貨銀兌付服務 Apply for Delivery vs Payment (DvP)
	<input type="radio"/> 證券保證金賬戶 Securities Margin Account	<input type="radio"/> 基金投資賬戶 Fund Investment Account
	<input type="radio"/> 委託賬戶 Discretionary Account	<input type="radio"/> 其他, 請註明: Other, please specify: _____
	<input type="radio"/> 子賬戶 (共_____個) Sub Account (No. of sub-accounts: _____)	
如申請開立多於一個帳戶, 請註明每個帳戶的用途。 Please specify the use of each account if more than one account is applied.		
需要開通的服務 Service(s) Needed <small>請在適當圓圈內劃上「✓」號 (可選超過一項) Please tick the circle(s) where applicable</small>	<input type="radio"/> 香港證券市場 Hong Kong Equities Market	<input type="radio"/> 基金 Fund
	<input type="radio"/> 中華通 (不適用於國內投資者) China Connect (N/A to Mainland Investors)	<input type="radio"/> 債券 Bond
	<input type="radio"/> 海外證券市場 (不包括中國) Overseas Equities Market (Excl. China)	<input type="radio"/> 結構性產品 Structured Product
	<input type="radio"/> 其他, 請註明 Other, please specify _____	

## 2. 機構專業投資者類別 Type of Institutional Professional Investor

根據證監會(見一般條款之定義)發出的經不時修訂的《證監會操守準則》(定義見一般條款),在與客戶交易的過程中,若我們相信該客戶符合《證券及期貨條例》(定義見一般條款)附表1第1部第1條對「專業投資者」的定義,浦銀國際可將該客戶歸類為「專業投資者」。Under the SFC Code of Conduct (as amended from time to time) (as defined under the General Terms) issued by the SFC (as defined under the General Terms), SPDBI may, in dealing with a client, classify such a client as a "professional investor" where we believe such a client falls within the definition of "professional investor" under the section 1 of Part 1 of Schedule 1 of the Securities and Futures Ordinance (as defined under the General Terms).

請在適當圓圈內劃上「√」號。Please tick the circle(s) where applicable.

<input type="radio"/>	(a)	任何認可交易所、認可結算所、認可控制人或認可投資者賠償公司,或根據《證券及期貨條例》第95(2)條獲認可提供自動化交易服務的人; any recognised exchange company, recognised clearing house, recognised exchange controller or recognised investor compensation company, or any person authorised to provide automated trading services under section 95(2) of Securities and Futures Ordinance;
<input type="radio"/>	(b)	任何中介人,或任何經營提供投資服務的業務並受香港以外地方的法律規管的其他人; any intermediary, or any other person carrying on the business of the provision of investment services and regulated under the law of any place outside Hong Kong;
<input type="radio"/>	(c)	任何認可財務機構,或任何並非認可財務機構但受香港以外地方的法律規管的銀行; any authorised financial institution, or any bank which is not an authorised financial institution but is regulated under the law of any place outside Hong Kong;
<input type="radio"/>	(d)	任何根據《保險條例》(第41章)獲授權的保險人,或任何經營保險業務並受香港以外地方的法律規管的其他人; any insurer authorised under the Insurance Ordinance (Cap 41), or any other person carrying on insurance business and regulated under the law of any place outside Hong Kong;
<input type="radio"/>	(e)	符合以下說明的任何計劃— any scheme which- (i) 屬《證券及期貨條例》第104條獲認可的集體投資計劃;或 is a collective investment scheme authorised under section 104 of Securities and Futures Ordinance; or (ii) 以相似的方式根據香港以外地方的法律成立,並(如受該地方的法律規管)根據該地方的法律獲准許營辦, is similarly constituted under the law of any place outside Hong Kong and, if it is regulated under the law of such place, is permitted to be operated under the law of such place, 或任何營辦任何該等計劃的人; or any person by whom any such scheme is operated;
<input type="radio"/>	(f)	任何《強制性公積金計劃條例》(第485章)第2(1)條界定的註冊計劃,或《強制性公積金計劃(一般)規例》(第485章,附屬法例A)第2條界定的該等計劃的成分基金,或就任何該等計劃而言屬該條例第2(1)條界定的核准受託人或服務提供者或屬任何該等計劃或基金的投資經理的人; any registered scheme as defined in section 2(1) of the Mandatory Provident Fund Schemes Ordinance (Cap 485), or its constituent fund as defined in section 2 of the Mandatory Provident Fund Schemes (General) Regulation (Cap 485 sub. leg. A), or any person who, in relation to any such registered scheme, is an approved trustee or service provider as defined in section 2(1) of that Ordinance or who is an investment manager of any such registered scheme or constituent fund;
<input type="radio"/>	(g)	符合以下說明的任何計劃— any scheme which- (i) 屬《職業退休計劃條例》(第426章)第2(1)條界定的註冊計劃;或 is a registered scheme as defined in section 2(1) of the Occupational Retirement Schemes Ordinance (Cap 426); or (ii) 屬該條例第2(1)條界定的離岸計劃,並(如以某地方為本籍而受該地方的法律規管)根據該地方的法律獲准許營辦, is an offshore scheme as defined in section 2(1) of that Ordinance and, if it is regulated under the law of the place in which it is domiciled, is permitted to be operated under the law of such place, 或就任何該等計劃而言屬該條例第2(1)條界定的管理人的; or any person who, in relation to any such scheme, is an administrator as defined in section 2(1) of that Ordinance;
<input type="radio"/>	(h)	任何政府(市政府當局除外)、執行中央銀行職能的任何機構,或任何多邊機構;或 any government (other than a municipal government authority), any institution which performs the functions of a central bank, or any multilateral agency; or

- (i) (除為施行《證券及期貨條例》附表5外)符合以下說明的任何法團—  
except for the purposes of Schedule 5 to Securities and Futures Ordinance, any corporation which is-
- (i) 屬下述者的全資附屬公司—  
a wholly owned subsidiary of-
- (A) 中介人, 或任何經營提供投資服務的業務並受香港以外地方的法律規管的其他人; 或  
an intermediary, or any other person carrying on the business of the provision of investment services and regulated under the law of any place outside Hong Kong; or
- (B) 認可財務機構, 或任何並非認可財務機構但受香港以外地方的法律規管的銀行; 或  
an authorised financial institution, or any bank which is not an authorised financial institution but is regulated under the law of any place outside Hong Kong;
- (ii) 屬持有下述者的所有已發行股本的控權公司—  
a holding company which holds all the issued share capital of-
- (A) 中介人, 或任何經營提供投資服務的業務並受香港以外地方的法律規管的其他人; 或  
an intermediary, or any other person carrying on the business of the provision of investment services and regulated under the law of any place outside Hong Kong; or
- (B) 認可財務機構, 或任何並非認可財務機構但受香港以外地方的法律規管的銀行; 或  
an authorised financial institution, or any bank which is not an authorised financial institution but is regulated under the law of any place outside Hong Kong;
- (iii) 屬第(ii)節提述的控權公司的任何其他全資附屬公司。  
any other wholly owned subsidiary of a holding company referred to in subparagraph (ii).

### 3. 戶口結單 STATEMENTS OF ACCOUNT

遞送戶口結單 Delivery of Account Statement  (可選擇多於一項 Please select one only)	<input type="radio"/> 電郵至主電郵地址 To Primary Email Address by email
	<input type="radio"/> 電郵至其他電郵地址, 請提供: To other email address by email, please provide: _____
	<input type="radio"/> 郵寄至通訊地址 To Correspondence Address by post 郵寄將收取行政及服務費用 Postal service will be subject to additional administrative and service charges.

注意: 在符合所有相關法定要求的前提下, 浦銀國際可能無須按照《證券及期貨(成交單據、戶口結單及收據)規則》(第571Q章)的特定要求向客戶提供有關成交單據、收據及定期戶口結單。

Note: Subject to the fulfillment of all the relevant statutory requirements, SPDBI may not be required to provide you with relevant contract notes, receipts and regular statements of account as per the specific requirements prescribed under the Securities and Futures (Contract Notes, Statements of Account and Receipts) Rules (Cap. 571Q).

### 4. 客戶聲明 CLIENT DECLARATION

#### 茲收文件 Receipt of Documents

1. 本人 / 吾等特此申請浦銀國際開立載於本賬戶開立表格第一部分的已選賬戶。本人 / 吾等已經仔細閱讀, 明白, 接受並同意受適用的客戶協議 (包括本賬戶開立表格) 及其他由浦銀國際不時發出之守則及指引 (統稱「條款」) 約束。浦銀國際已經建議本人 / 吾等對上述之條款尋求獨立法律意見並特別提示本人 / 吾等注意客戶協議之第一至第三部分。在法律容許之範圍內, 浦銀國際可不時修訂任何條款, 無須事前通知本人 / 吾等或取得本人 / 吾等批准, 該等修訂於本人 / 吾等被視作接獲浦銀國際之不時公告時立刻生效, 包括於<http://www.spdbi.com>刊載之公告或通知。

I/We hereby request SPDBI to open and maintain the selected Account(s) listed in Part 1 of this Account Opening Form. I/We have fully read, understood, accepted and agreed to be bound by the terms set out in the applicable Client Agreement (including this Account Opening Form) and all rules and guidelines promulgated by SPDBI from time to time (collectively, the "Terms"). SPDBI has advised us to seek independent legal advice on the Terms and has particularly drawn our attention to Section I to Section III of the Client Agreement. To the extent permitted by law, SPDBI may from time to time amend any Terms without prior notice to or approval from me / us, and such amendments shall come into effect immediately upon our / my deemed receipt of any notice from the SPDBI, including an announcement / notice promulgated on <http://www.spdbi.com>, from time to time.

#### 常設授權 Standing Authority

2. 本人 / 吾等特此承認及確認, 已根據客戶款項常設授權及客戶證券常設授權 (如適用) (「常設授權」) 授權浦銀國際處置本人 / 吾等的金錢、證券、抵押品。本人 / 吾等承認及確認浦銀國際已向本人 / 吾等詳細解釋, 且本人 / 吾等完全明白常設授權的內容及作用。本人 / 吾等特此授權浦銀國際根據交易客戶協議的條款及條件行使其絕對的酌情權續期常設授權。本人 / 吾等瞭解, 客戶證券常設授權並不適用於只持有證券現金戶口的客戶。

I/We hereby acknowledge and confirm that I/we have authorised SPDBI to deal with my/our monies, securities, collateral upon and in accordance with the Client Money Standing Authority and Client Securities Standing Authority (as applicable) (the "Standing Authorities"). I/We acknowledge and confirm that I/we fully understand the contents and effects of the Standing Authorities which have been explained to me/us by SPDBI, and I/we hereby authorises SPDBI to renew the Standing Authorities at its absolute discretion subject to the terms and conditions of the Client Agreement. I/We understand that the Client Securities Standing Authority is not applicable to clients holding a Securities Cash Account only.

3.	<p>本人 / 吾等承認及確認常設授權每年需續期一次且本人 / 吾等有權拒絕續期或在有效期屆滿前撤銷該常設授權。本人 / 吾等承認並確認，除非浦銀國際收到本人 / 吾等向浦銀國際客戶服務部以書面方式反對續期或撤銷常設授權，否則常設授權應根據客戶協議的條款及條件獲續期且本人 / 吾等同意繼續受其約束。</p> <p>I/We acknowledge and confirm that the Standing Authority is required to be renewed annually and that I/we may object to such renewal or revoke the Standing Authority prior to its expiry. I/We acknowledge and confirm that unless SPDBI receives my/our objection to renewal or revocation of the Standing Authority in writing addressed to the Customer Service Department of SPDBI, the Standing Authority shall be renewed in accordance with the terms and conditions of the Client Agreement by which I/we agree to be bound.</p>
<b>衍生產品交易 Trade of Derivative Products</b>	
4.	<p>除非本人 / 吾等在下面圓圈內劃上「✓」號，否則本人 / 吾等同意、接受及承認與及透過浦銀國際進行衍生產品買賣交易。如適用，本人 / 吾等確認浦銀國際已仔細向本人 / 吾等就衍生產品的性質和風險作出解釋，且本人 / 吾等有足夠的淨資產來承擔因買賣該產品而可能招致的風險和損失。</p> <p>Unless the circle below is ticked, I/we agree, accept and acknowledge to trade derivative products with and through SPDBI. Where applicable, I/We confirm that SPDBI has fully explained the nature and risks of the derivative products to me/us and that I/we have sufficient net worth to be able to assume the risks and bear the potential losses of trading in derivative products.</p> <p><input type="radio"/> 本人 / 吾等不會與或透過浦銀國際進行衍生產品買賣交易。 I/We will NOT trade derivative products with and through SPDBI.</p>
<b>獲授權人士 (見一般條款之定義) Authorised Person (as defined under the General Terms)</b>	
5.	<p>如本人 / 吾等已經委任或將委任獲授權人士，本人 / 吾等會確保他們瞭解本人 / 吾等的財務狀況，並且勝任及有合適資格（考慮到本人 / 吾等的投資知識及經驗）：</p> <p>If I/we have appointed or will appoint Authorised Person, I/we will ensure that they understand my/our financial situation, and are competent and suitably qualified (having regard to my/our investment knowledge and experience):</p>
①	<p>為本人 / 吾等的投資目標，策略及流程； for my/our investment objectives, strategies and processes;</p>
②	<p>操作本人 / 吾等在浦銀國際的戶口；及 to operate my/our account(s) with SPDBI; and</p>
③	<p>與浦銀國際對任何產品或服務的合適性評估及解釋進行溝通。 to communicate with SPDBI for any suitability assessment and explanation of any products or services.</p>
<b>僅適用於證券保證金賬戶客戶 For Securities Margin Account Client only</b>	
6.	<p>本人 / 吾等特此承認並確認浦銀國際已按照本人 / 吾等選擇的語言向本人 / 吾等提供其保證金貸款及追收書面政策。本人 / 吾等確認被告知浦銀國際之再質押證券抵押品的業務且本人 / 吾等已授予浦銀國際按客戶協議約定再質押本人 / 吾等之證券或證券抵押品的常設授權。</p> <p>I/We hereby acknowledge and confirm that the margin lending and margin call policy of SPDBI have been provided to me/us in writing in a language of my/our choice. I/We confirm that I/we have been informed of the re-pledging practice of SPDBI, and that I/we have provided SPDBI with a standing authority to re-pledge the my/our securities or securities collateral in accordance with the Client Agreement.</p>
<b>美國稅務居民 U.S. Tax Resident</b>	
7.	<p>本人 / 吾等特此聲明本人 / 吾等並非《海外賬戶稅收合規法案》下所定義的美國人士，而且此賬戶下之相關的收入依《海外賬戶稅收合規法案》毋須扣繳稅款。本人 / 吾等承諾如於W-8表格中的情況有任何更改，須於30天內通知浦銀國際及相關部門，否則本人 / 吾等同意該W-8表格會被當作續期。本人 / 吾等亦同意悉數對浦銀國際因客戶違規或遺漏而蒙受的任何索償、損害、損失、費用及開支作出彌償並保證其利益不受損害。</p> <p>I/We hereby declare that I/we am/are not a U.S. person for FATCA purposes, and the income to which the Account(s) related is not subjected to tax under FATCA. I/We undertakes to notify SPDBI and relevant authorities within 30 days for any change of circumstances stated in the W-8 Form, without which I/we agree that the W-8 Form shall be deemed renewed. I/We undertake to fully indemnify and hold harmless SPDBI from and against all claims, damages, losses, costs and expenses whatsoever incurred as a result of any non-compliance or omission in this regard.</p>
<b>稅務居民 Tax Resident</b>	
8.	<p>本人 / 吾等承諾，如情況有所改變，以致本人 / 吾等的稅務居民身分，或導致本賬戶開戶表格所載的資料不正確，本人 / 吾等會通知浦銀國際，並會在情況發生改變後30日內，向浦銀國際提交一份已更新的自我證明表格。</p> <p>I/We undertake to advise SPDBI of any change in circumstances which affects the tax residency status or causes the information contained herein to become incorrect, and to provide SPDBI with an updated self-certification form within 30 days of such change in circumstances.</p>
<b>資料提供 Provision of Information</b>	
9.	<p>本人 / 吾等特此確認本人 / 吾等已閱讀並瞭解客戶協議《附表二—收集個人資料聲明》（「收集個人資料聲明」）並同意受其約束。本人 / 吾等承認最新版本的收集個人資料聲明可於<a href="http://www.spdbi.com">http://www.spdbi.com</a>取覽或以書面方式向資料保護主任索取。</p> <p>I/We hereby confirm that we have read and understood the contents of Schedule 2 of the Client Agreement, headed Personal Information Collection Statement ("PICS") and agree to be bound by the same. I/We acknowledge that the most up-to-date version of the PICS is available at <a href="http://www.spdbi.com">http://www.spdbi.com</a> or upon written request made to the Data Protection Officer of SPDBI.</p>



10.	<p>本人 / 吾等確認及保證本人 / 吾等已/將獲得所有「關連人士」(見下文之定義)的明示及訂明同意, 不時就交易賬戶條款和條件內所訂明的目的, 向浦銀集團公司提供「關連人士」的資料, 並向在客戶協議條款和條件內所訂明的人士透露有關資料。本人 / 吾等承諾本人 / 吾等在該等保證不真實和所有其他違反該等保證的情況下造成的開支、罰款、損害及費用, 向浦銀國際作出彌償並使其獲得彌償。就該等保證而言, 「關連人士」指本人 / 吾等以外的人士或單位, 而其資料 (包括個人資料或稅務資料) 由本人 / 吾等 (或本人 / 吾等之代表) 向浦銀國際集團公司的任何成員提供或由浦銀國際集團公司的任何成員向客戶提供相關服務時而獲得。</p> <p>I/We confirm and warrant that I/we have obtained (will obtain) the express and prescribed consent of every Connected Person (as defined below) to the provision of his/her information to the SPDB Group Companies for the purposes and disclosure to the persons as provided in the terms and conditions of the Client Agreement from time to time. I/We undertake to indemnify and keep indemnified SPDBI in respect of any costs, penalties, damages and losses whatsoever which may be suffered or incurred by SPDBI, directly or indirectly arising out of, or in connection with this warranty being untrue and any other breach of this warranty. For the purpose of this warranty, "Connected Person" means a person or entity (other than me/us) whose information, including personal data or tax information, is provided by me/us, or on my/our behalf, to any SPDB Group Company, or which is otherwise received by any SPDB Group Company in connection with the provision of the services to us.</p>
11.	<p>本人 / 吾等聲明並確認, 本人 / 吾等於本賬戶開立表格所提供的資料均屬真實, 完整及正確無誤。本人 / 吾等承諾, 如本人 / 吾等提供予浦銀國際用於開戶的資料有任何的變更, 本人 / 吾等須就該等變更立即通知浦銀國際。</p> <p>I/We declare and confirm that all the information provided in this Account Opening Form is true, complete and accurate. I/We undertake that I/we shall immediately inform SPDBI of any change to the information provided for account opening.</p>
<b>一般條款 General</b>	
12.	<p>本人 / 吾等特此聲明, 當本人 / 吾等於下列簽署欄內簽署後, 即表示本人 / 吾等已完全細閱、確認、同意、接受及明白該等條款 (包括本賬戶申請表格及其附件 (客戶資料聲明) 內各項之所有內容和條文) 所有內容和條文。關於上述各項所有內容和條文, 本人 / 吾等已尋求獨立法律意見 (如本人 / 吾等有此意願), 並明白所有其內容和條文及沒有任何疑問。</p> <p>I/We hereby declare that by signing in the signature column herein below, I/we indicate that I/we have already fully read, confirmed, agreed, accepted and understood all contents and provisions of the Terms (including all the relevant contents and provisions of this Account Opening Form and its appendices (the Client Information Statement(s)). In relation to all the above mentioned contents and provisions, I/we have already sought independent legal advice (if I/we wish) and has also understood all the contents and provisions and have no questions to ask.</p>
13.	<p>本人 / 吾等承認及同意, 浦銀集團公司可根據《稅務條例》(第112章) 有關交換財務賬戶資料的法律條文, (a) 收集本表格所載資料並可備存作自動交換財務賬戶資料用途及 (b) 把該等資料和關於賬戶持有人及任何須申報賬戶的資料向香港政府稅務局申報, 並把資料轉交到賬戶持有人的居留司法管轄區的稅務當局。</p> <p>I/We acknowledge and agree that (a) the information contained in this form is collected and may be kept by the SDPB Group Companies 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 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).</p>

## 5. 客戶簽署 CLIENT'S SIGNATURE

茲確認、同意並簽署 Confirmed, agreed and signed by

簽署 (附公司印章 (如適用))  
 Signature (with Company Chop (if any))



獲授權簽署人姓名  
 Print Name of Authorised Signatory


日期 Date: (日DD/月MM/年YYYY)

## 6. 核證 CERTIFICATION

**\*由浦銀國際代表或專業人士填寫 To be completed by a representative of SPDBI, or a Professional**

本人，作為簽署本部分的浦銀國際持牌代表/\_\_\_\_\_特此核證在本賬戶開立表格第5部所載的日期當日，此賬戶開立表格由此表格所載的客戶/獲客戶授權的人士為客戶及代客戶（其身份已根據其出示之身份證及/或護照正本作核實）於本人面前簽訂。

I, the undersigned licensed representative of SPDBI/\_\_\_\_\_ hereby certify that on the date as shown in the Part 5 of this Account Opening Form, this Account Opening Form was executed by the Client / person(s) authorised by the Client for and on behalf of the Client named herein (the identity of whom has been verified by production of the original of his / her Identity Card or Passport to me) in my presence.

見證人簽署 Signature of Witness  	中央編號 (證券及期貨持牌代表適用): CE No. (for SFC Licensed Representative):  見證人之工號 (浦發集團員工適用): Staff Code (for staff of SPDB Group Company):
見證人姓名 (正楷) Print Name of Witness	見證人所屬專業* / 職銜: Profession / Title of Witness:
日期 Date (日DD/月MM/年YYYY):	見證人之僱主名稱: Employer of Witness:

\*專業人士：公證人 / 持牌銀行分行經理 / 律師 / 會計師 / 太平紳士



Professional: Notary Public / Branch Manager of a Licensed Bank / Lawyer / Certified Public Accountant / Justice of the Peace

## 僅供內部使用 For Internal Use Only



客戶來源 Source of Client	<input type="radio"/>	客戶自薦 Walk-in	<input type="radio"/>	非面對面 Non Face to Face	<input type="radio"/>	其他Others _____
	<input type="radio"/>	由現有客戶介紹 By existing Client	現有客戶姓名 Name of existing Client:			
			現有客戶賬號 Account no. of existing Client:			
			現有客戶與新客戶關係 Relationship between existing Client and new Client:			
		<input type="radio"/>	經浦銀集團公司內轉介 Referred by the SPDB Group	轉介人名稱 Name of Referrer:		
				轉介分行 Referred Branch:		
		<input type="radio"/>	經介紹人認識 By the Introducer	介紹人姓名 Name of Introducer:		
				介紹人電話號碼 Phone no. of Introducer:		
				介紹人與客戶關係 Relationship between Client and Introducer:		
非互聯網經紀佣金率 Non-Internet Brokerage rate (%)		互聯網經紀佣金率 Internet Brokerage rate (%):		利率(%) Interest rate (%):		
交易限額 Trading Limit (Credit Limit):				保證金限額 Margin Limit (Max Exposure):		
FATCA狀況詳情 FATCA Status Details:						
補充 KYC 資料 Supplementary KYC information:						

**申請及審批 Application and Approval**


**適用於浦銀國際證券有限公司開立賬戶  
(Applicable for Account Opening with SPDB International Securities Ltd.)**

意見(如適用) Comment (if necessary)	持牌代表簽署 Signature of Licensed Representative 
	姓名 (正楷) Print Name:
	職位 Position:
	日期 Date (日DD/月MM/年YYYY) :
意見(如適用) Comment (if necessary)	持牌負責人簽署 Signature of Responsible Officer 
	姓名 (正楷) Print Name:
	職位 Position:
	日期 Date (日DD/月MM/年YYYY) :
<input type="checkbox"/> 批准 Approve      或 or <input type="checkbox"/> 否決 Reject	

**適用於浦銀國際投資管理有限公司開立賬戶  
(Applicable for Account Opening with SPDB International Investment Management Ltd.)**

意見(如適用) Comment (if necessary)	持牌代表簽署 Signature of Licensed Representative 
	姓名 (正楷) Print Name:
	職位 Position:
	日期 Date (日DD/月MM/年YYYY) :
意見(如適用) Comment (if necessary)	持牌負責人簽署 Signature of Responsible Officer 
	姓名 (正楷) Print Name:
	職位 Position:
	日期 Date (日DD/月MM/年YYYY) :
<input type="checkbox"/> 批准 Approve      或 or <input type="checkbox"/> 否決 Reject	

**由法律合規部評核 Assessment by Legal and Compliance Department  
(只適用於高風險客戶 For High Risk Client Only)**

意見(如適用) Comment (if necessary)	法律合規部代表簽署 Signature of Legal and Compliance's Representative 
	姓名 (正楷) Print Name:
	職位 Position:
	日期 Date (日DD/月MM/年YYYY) :
<input type="checkbox"/> 批准 Approve      或 or <input type="checkbox"/> 否決 Reject	