



根據《證券及期貨條例》就第1類、及第4類受規管活動獲發牌的持牌法國CE編號BHR496及香港聯合交易所有限公司  
(「聯交所」) 交易所參與者

A corporation licensed for Type 1 and Type 4 regulated activities under the Securities and Futures Ordinance with  
CE no. BHR496 and an exchange participant of the Stock Exchange of Hong Kong Limited (the "Exchange")

帳號  
Account No

客戶資料表 CUSTOMER INFORMATION FORM (個人/聯名帳戶 INDIVIDUAL/JOINT ACCOUNT)

負責客戶主任姓名 Responsible AE		與客戶主任認識多久 Known to AE for how long	
負責客戶主任編號 Responsible AE Code		推薦人 Introduced By	
戶口種類 Account Type	<input type="checkbox"/> 現金帳戶 Cash Account <input type="checkbox"/> 孖展(保證金)帳戶 Margin Account	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/聯名帳戶主要持有人 Individual/Primary Joint Account Holder		聯名帳戶第二持有人 Secondary Joint Account Holder	
姓名 Name Surname First	先生/女士 Mr/Ms	姓名 Name Surname First	先生/女士 Mr/Ms
住宅地址 Residential Address		住宅地址 Residential Address	
	國家 Country		國家 Country
	郵政編號 Postal Code		郵政編號 Postal Code
住宅電話 Home No.		住宅電話 Home No.	
流動電話 Mobile No.	1. (+ ) 2. (+ )	流動電話 Mobile No.	1. (+ ) 2. (+ )
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)	
身份證號碼 I.D. Card No.	簽發地點 Place of Issue	身份證號碼 I.D. Card No.	簽發地點 Place of Issue
護照號碼 Passport No.	簽發地點 Place of Issue	護照號碼 Passport No.	簽發地點 Place of Issue
出生地點 Country of Birth		出生地點 Country of Birth	
國籍/公民身份 Nationality/Citizenship		國籍/公民身份 Nationality/Citizenship	
學歷程度 Education Level	<input type="checkbox"/> 小學或以下 Primary School or Below <input type="checkbox"/> 中學 Secondary School <input type="checkbox"/> 大專或以上 College or Above	學歷程度 Education Level	<input type="checkbox"/> 小學或以下 Primary School or Below <input type="checkbox"/> 中學 Secondary School <input type="checkbox"/> 大專或以上 College or Above
指定銀行(港幣) Designated Bank (HKD)	銀行名稱 Name of Bank	帳戶號碼 Account No	帳戶名稱 Account Name
指定銀行(美元) Designated Bank (USD)	銀行名稱 Name of Bank	帳戶號碼 Account No	帳戶名稱 Account Name
指定銀行(人民幣) Designated Bank (CNY)	銀行名稱 Name of Bank	帳戶號碼 Account No	帳戶名稱 Account Name
電郵地址 Email Address (最多50個字母 Max. 50 characters)	與主要戶口持有人關係 Relationship with Primary Account Holder	<input type="checkbox"/> 直系親屬, 請註明 Immediate family, please specify  <input type="checkbox"/> 親戚 <input type="checkbox"/> 朋友 <input type="checkbox"/> 其他 Relative Friend Other	
(只須由個人/聯名帳戶主要持有人填寫 Individual/Primary Joint Account Holder Only)			

交易確認及帳單透過以下方式發送 (只選一項) Trading confirmations and statements will be sent by the following means (select one):

電郵方式 By Email  郵遞方式 By Post (有機會收取行政費 Administrative Fee may be charged)

**B. 工作狀況 Employment Status**

個人/聯名帳戶主要持有人 Individual/Primary Joint Account Holder		聯名帳戶第二持有人 Secondary Joint Account Holder	
行業 Occupation		行業 Occupation	
職位 Job Title		職位 Job Title	
公司名稱 Name of Company		公司名稱 Name of Company	
受僱年期 Duration with Employer		受僱年期 Duration with Employer	
辦公室電話 Office No.		辦公室電話 Office No.	
辦公室地址 Office Address		辦公室地址 Office Address	
	國家 Country		郵政編號 Postal Code

**C. 投資經驗及衍生產品認識 Investment Experience & Derivative Products Knowledge**

投資目標 Investment Objective	<input type="checkbox"/> 賺取收入 Generating Income <input type="checkbox"/> 資本增長 Capital Appreciation <input type="checkbox"/> 對沖 Hedging <input type="checkbox"/> 投機 Speculation <input type="checkbox"/> 其他 Others _____		
對衍生產品之認識 Derivative Products Knowledge	個人/聯名帳戶主要持有人 Individual/Primary Joint Account Holder		聯名帳戶第二持有人 Secondary Joint Account Holder
	<input type="checkbox"/> 本人了解衍生產品的性質和風險 I understand the nature and risks of derivative products by  <input type="checkbox"/> 已接受有關的培訓或課程 Undergoing relevant training or attending course  <input type="checkbox"/> 於經紀公司或銀行、基金或資產管理公司、監管機構或交易所等金融機構擁有有關的工作經驗 By gaining prior relevant work experience in financial institutions such as a brokerage firm or bank, fund house or asset management firm, regulatory authority or exchange  <input type="checkbox"/> 於過去三年內進行了五次或以上有關衍生產品之交易 (不論是否於交易所進行交易) Executing five or more transactions in derivative products (whether traded on an exchange or not) within the past three years  <input type="checkbox"/> 本人並未有衍生產品之認識 I have No knowledge of derivative products		<input type="checkbox"/> 本人了解衍生產品的性質和風險 I understand the nature and risks of derivative products by  <input type="checkbox"/> 已接受有關的培訓或課程 Undergoing relevant training or attending course  <input type="checkbox"/> 於經紀公司或銀行、基金或資產管理公司、監管機構或交易所等金融機構擁有有關的工作經驗 By gaining prior relevant work experience in financial institutions such as a brokerage firm or bank, fund house or asset management firm, regulatory authority or exchange  <input type="checkbox"/> 於過去三年內進行了五次或以上有關衍生產品之交易 (不論是否於交易所進行交易) Executing five or more transactions in derivative products (whether traded on an exchange or not) within the past three years  <input type="checkbox"/> 本人並未有衍生產品之認識 I have No knowledge of derivative products
曾投資的產品 Experienced Product(s)  (可選多於一項) (Can choose more than one)	<input type="checkbox"/> 上市證券 Listed Securities  <input type="checkbox"/> 牛熊證/窩輪 CBBC/Warrants  <input type="checkbox"/> 期貨或期權 Futures or Options  <input type="checkbox"/> 槓桿式外匯 Leveraged Foreign Exchange  <input type="checkbox"/> 單位信託基金或債券 Unit Trusts or Bonds  <input type="checkbox"/> 結構性產品 Structured Product  <input type="checkbox"/> 槓桿及反向產品 Leveraged and Inverse Product  <input type="checkbox"/> 其他 Others _____  <input type="checkbox"/> 沒有 None		<input type="checkbox"/> 上市證券 Listed Securities  <input type="checkbox"/> 牛熊證/窩輪 CBBC/Warrants  <input type="checkbox"/> 期貨或期權 Futures or Options  <input type="checkbox"/> 槓桿式外匯 Leveraged Foreign Exchange  <input type="checkbox"/> 單位信託基金或債券 Unit Trusts or Bonds  <input type="checkbox"/> 結構性產品 Structured Product  <input type="checkbox"/> 槓桿及反向產品 Leveraged and Inverse Product  <input type="checkbox"/> 其他 Others _____  <input type="checkbox"/> 沒有 None
投資經驗 Investment Experience	<input type="checkbox"/> 0 - 1 年 year <input type="checkbox"/> 1 - 5 年 years <input type="checkbox"/> 6 - 10 年 years <input type="checkbox"/> 10 年以上 years or Above		<input type="checkbox"/> 0 - 1 年 year <input type="checkbox"/> 1 - 5 年 years <input type="checkbox"/> 6 - 10 年 years <input type="checkbox"/> 10 年以上 years or Above

**D. 財政狀況 Financial Situation**

個人/聯名帳戶主要持有人 Individual/Primary Joint Account Holder		聯名帳戶第二持有人 Secondary Joint Account Holder	
資產淨值 (HKD) Net Asset Worth (HKD)	<input type="checkbox"/> < HKD 100,000 <input type="checkbox"/> HKD 100,001 - HKD 500,000 <input type="checkbox"/> HKD 500,001 - HKD 1,000,000 <input type="checkbox"/> HKD 1,000,001 - HKD 5,000,000 <input type="checkbox"/> HKD 5,000,001 - HKD 10,000,000 <input type="checkbox"/> HKD _____	資產淨值 (HKD) Net Asset Worth (HKD)	<input type="checkbox"/> < HKD 100,000 <input type="checkbox"/> HKD 100,001 - HKD 500,000 <input type="checkbox"/> HKD 500,001 - HKD 1,000,000 <input type="checkbox"/> HKD 1,000,001 - HKD 5,000,000 <input type="checkbox"/> HKD 5,000,001 - HKD 10,000,000 <input type="checkbox"/> HKD _____
年薪 (HKD) Annual Income (HKD)	<input type="checkbox"/> < HKD 100,000 <input type="checkbox"/> HKD 100,001 - HKD 500,000 <input type="checkbox"/> HKD 500,001 - HKD 1,000,000 <input type="checkbox"/> HKD 1,000,001 - HKD 5,000,000 <input type="checkbox"/> HKD 5,000,001 - HKD 10,000,000 <input type="checkbox"/> HKD _____	年薪 (HKD) Annual Income (HKD)	<input type="checkbox"/> < HKD 100,000 <input type="checkbox"/> HKD 100,001 - HKD 500,000 <input type="checkbox"/> HKD 500,001 - HKD 1,000,000 <input type="checkbox"/> HKD 1,000,001 - HKD 5,000,000 <input type="checkbox"/> HKD 5,000,001 - HKD 10,000,000 <input type="checkbox"/> HKD _____
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"/> 股息/利息 Dividend/Interest <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"/> 股息/利息 Dividend/Interest <input type="checkbox"/> 金融機構貸款 Loan from Financial Institution <input type="checkbox"/> 其他 Others _____

**E. 最終實益擁有人及利益關係申報 Beneficiary Ownership and Interest Declaration**

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? (即你是否為本身而非第三者運作此帳戶?) 如否, 帳戶的最終實益擁有人是: Are you (and/or the Secondary Joint Account Holder) the ultimate beneficial owner(s) in relation to the account? (i.e. Are you acting for your own account and not for a third party?) If no, details of the ultimate beneficial owner(s) is/are:  名稱 Name _____ 身份證/護照號碼 ID/Passport No. _____  地址 Address _____	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 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? 如是, 交易所參與者/持牌法團/註冊機構的名稱是 (請提供你僱主的書面同意): 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? If yes, the name of the related exchange participant/licensed corporation/registered institution is (please provide your employer's consent letter):  _____	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
3. 你 (及/或聯名帳戶第二持有人) 是否與藍山證券有限公司或聯繫人士的職員/代理人有親戚關係? 如是, 職員/代理人的名稱是: Are you (and/or the Secondary Joint Account Holder) a relative of an employee or agent of Bluemount Securities Limited or its Associates? If yes, the name of employee/agent:  _____	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 雙親 Parent <input type="checkbox"/> 配偶 Spouse <input type="checkbox"/> 兄弟姐妹 Sibling <input type="checkbox"/> 孩子 Child <input type="checkbox"/> 其他 Other _____ <input type="checkbox"/> 否 No

## F. 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（及/或聯名帳戶第二持有人）的稅務編號。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收稅務編號。  
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。（如選擇理由 C，解釋帳戶持有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 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)

個人/聯名帳戶主要持有人 Individual/Primary Joint Account Holder			聯名帳戶第二持有人 Secondary Joint Account Holder		
<input type="checkbox"/> 本人持有香港稅務居民資格 I hold <b>Hong Kong</b> tax residence			<input type="checkbox"/> 本人持有香港稅務居民資格 I hold <b>Hong Kong</b> tax residence		
及/或 and/or			及/或 and/or		
<input type="checkbox"/> 本人持有香港以外稅務居民資格 I hold tax residence other than <b>Hong Kong</b>			<input type="checkbox"/> 本人持有香港以外稅務居民資格 I hold tax residence other than <b>Hong Kong</b>		
稅務管轄區 Jurisdiction of Residence	(1)	(2)	稅務管轄區 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		

## G. 注意事項 Notes

1. 請隨本表格附上全部帳戶持有人的身份證副本及最近三個月內之住宅及通訊地址證明文件（郵政信箱恕不接受）。  
Please enclose an ID copy and residential and correspondence address(es) proof dated within the last 3 months (P.O. box is not accepted) for all account holders with this Form.
2. 全部帳戶持有人必須在藍山證券有限公司或聯繫人士的職員/代理人面前填妥及簽署本表格；如非親新開戶，請參看下方的註解6。  
This Form should be completed and signed by all account holders in front of an employee or agent of Bluemount Securities Limited or its Associates. Otherwise, please see Note 6 below.
3. 全部帳戶持有人應向藍山證券有限公司報告他/她的稅務身份的所有變化。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。  
Account holder(s) should report all changes in his/her tax residency status to Bluemount Securities Limited. Any deletion or amendment of the personal information must be signed by all account holders.
4. 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(s) nominated on this Form, unless otherwise instructed.
5. 藍山證券有限公司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.
6. 如資料表並非在藍山證券有限公司或聯繫人士的職員/代理人面前簽署，帳戶持有人必須遵從以下其中一個程序要求：  
If this Form is not executed by the account holders in front of an employee or agent of Bluemount Securities Limited or its Associates, the account holders should comply with either one of the following procedural requirements:
  - (i) 交給藍山證券有限公司在香港持牌銀行開立的帳戶所簽發不少於10,000港幣的個人支票，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"藍山證券有限公司"。客戶的帳戶必須待支票兌現後才可使用；或  
Send a personal cheque in favor of Bluemount Securities Limited for not less than HK\$10,000 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; or
  - (ii) 由其他持牌人或註冊人、藍山證券有限公司的聯繫人士、太平紳士、銀行分行經理、執業會計師、律師或公證人見證客戶的簽名及身份證明文件。  
Have any other licensed or registered person, Associate of Bluemount Securities Limited, 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.
7. 根據《稅務條例》，任何人獲悉在聲明上作出具誤導性，虛假或不正確的陳述，或罔顧該聲明在陳述上是否具誤導性，虛假或不準確之處，即屬違法。任何人觸犯該罪行，一經定罪，可處第3級罰款（即\$10,000）。  
It is an offense under the Inland Revenue Ordinance if any person, makes a statement that is misleading, 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 offense is a liable on conviction to a fine at level 3 (i.e. \$10,000).

H. 客戶確認及簽署 Acknowledgement and Execution by Customer	
戶口種類 Account Type	選擇服務 Select Service(s)
現金帳戶 Cash Account 請為我/我們開立現金帳戶。我/我們已經閱讀並明白証券客戶協議的條款，並接受這些條款的約束。 Please open a Cash Account for me/us. I/We have read and understand the provisions of the Securities Client Agreement and agree to be bound by same.	<input type="checkbox"/> 現金帳戶 Cash Account
孖展 (保證金) 帳戶 Margin Account 請為我/我們開立孖展帳戶。我/我們已經閱讀並明白証券客戶協議及孖展客戶協議的條款，並接受這些條款的約束。 Please open a Cash Account for me/us. I/We have read and understand the provisions of the Securities Client Agreement and Margin Client Agreement and agree to be bound by same.	<input type="checkbox"/> 孖展 (保證金) 帳戶 Margin Account
網上交易服務 On-Line Trading Service 請為我/我們提供電子服務。我/我們已經閱讀並明白網上交易協議的條款，並接受這些條款的約束。 Please open a Cash Account for me/us. I/We have read and understand the provisions of the On-Line Trading Agreement and agree to be bound by same.	<input type="checkbox"/> 網上交易服務 On-Line Trading Service
客戶確認 Acknowledgement by Customer	
我/我們同意藍山證券有限公司或聯繫人士以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 Bluemount Securities Limited or its Associates providing information about investment or financial related products and services including research reports and special offers by any means.	<input type="checkbox"/>
我/我們知悉在這客戶資料表 ("表格") 上所記載之資料，將有可能以作自動交換財務帳戶資料用途。我/我們知悉及同意，藍山金融集團公司或其附屬公司可根據《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/我們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/我們的居留司法管轄區的稅務當局。我/我們確認表格中提供的信息和聲明是真實和準確的。我/我們承諾，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份，或引致本表格所載的資料不正確，我/我們會通知藍山證券有限公司，並會在情況發生改變後30日內，向藍山證券有限公司提交一份已適當更新的綜合戶口資料更改書。藍山證券有限公司有權聯繫任何人，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/We acknowledge that any information contained in this Customer Information Form ("the Form") may be provide to a reporting financial institution for the purpose of automatic exchange of financial account information. I/We agree that (a) the information contained in this form is collected and may be kept by Bluemount Securities Limited 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 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). I/We declare that the information given and statements made in this form is true and accurate. <b>I/We undertake to advise Bluemount Securities Limited 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 Bluemount Securities Limited with a suitably updated Account Particulars Amendment Form within 30 days of such change in circumstances.</b> Bluemount Securities Limited is authorized to contact anyone, including Customer's banks, brokers or any credit agency, for verifying the information provided on this from.	<input type="checkbox"/>
我/我們確認藍山證券有限公司以客戶選擇的語言 (英文或中文) 提供客戶協議包括其風險披露聲明。我/我們進一步確認藍山證券有限公司已經邀請我/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/我們應經常密切留意市況，藍山證券有限公司可能在強制平倉前無法與我/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 acknowledges that the Client Agreement including the Risk Disclosure Statements were provided in a language (English or Chinese) of the Customer's choice. I/We further acknowledges that I/We was invited to read the risk disclosure statements, ask questions and take independent advice, if the Customer wished. I/We acknowledges that I/We should closely monitor positions, as Bluemount Securities Limited may not be able to contact I/We or give I/We sufficient time to deposit additional funds, before forced liquidation of positions.	<input type="checkbox"/>

簽署人 Signed By

* 個人/主要帳戶持有人簽署 Individual/Primary Joint Account holder's Signature    日期 Date	* 聯名帳戶第二持有人簽署 Secondary Joint Account holder's Signature    日期 Date
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\* 將被用作簽名樣式 Will be used as Specimen Signature

**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) 提供了載於客戶協議內的風險披露聲明, 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 in the 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類 (證券買賣) Licensed for Type 1 (Licensed Corporation) 日期 Date**

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.
AML風險級別 AML Risk Category	(參考AML政策) (refer to AML policy) <input type="checkbox"/> 低 Low <input type="checkbox"/> 中 Medium <input type="checkbox"/> 高 High	高風險理由 Reason for High Risk

只供本行使用 For Official Use Only

**文件查核列表 Document Check List**

1. 已核實的身份證或護照副本 Certified I.D. Card/Passport Copy	<input type="checkbox"/> 是 Yes
2. 地址證明副本 Address Proof	<input type="checkbox"/> 是 Yes
3. 已核實W-8BEN或W-9表格 Certified W-8BEN/W-9 Form	<input type="checkbox"/> 是 Yes
4. 核實簽署之支票 (如需要) Certified Personal Cheque (If Applicable)	<input type="checkbox"/> 是 Yes
<input type="checkbox"/> 香港持牌銀行支票 Issued from a licensed bank in HK	
<input type="checkbox"/> 抬頭人為藍山證券有限公司 Payable to "Bluemount Securities Limited"	
<input type="checkbox"/> 支票銀碼不少於HK\$10,000 Cheque amount not less than HK\$10,000	
<input type="checkbox"/> 支票上之客戶名稱與本表格相符 Same client name on cheque and Customer Information Form	
<input type="checkbox"/> 支票上之客戶簽署與本表格相符 Same client signature on cheque and Customer Information Form	
<input type="checkbox"/> 保留支票副本 Cheque copy retained	
5. 其他 Others _____	<input type="checkbox"/> 是 Yes

**文件確認 Document Reviewed By/Processed By**

職員姓名 Name of Staff	職員簽署 Signature of Staff	日期 Date
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**客戶資料核對 Customer Information Approved By/Checked By**

職員姓名 Name of Staff	職員簽署 Signature of Staff	日期 Date
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**基本佣金 Basic Commission**

港幣佣金 (%) HKD Brokerage (%)	港幣最低佣金 HKD Minimum Commission
美元佣金 (%) USD Brokerage (%)	美元最低佣金 USD Minimum Commission
人民幣佣金 (%) RMB Brokerage (%)	人民幣最低佣金 RMB Minimum Commission
經紀號碼 AE Code	利率 Interest Rate
經紀回佣 (%) AE Rebate Rate (%)	
<input type="checkbox"/> 信用限額 Credit Limit	<input type="checkbox"/> 沒有信用限額 No 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



衍生工具認識問卷調查 Questionnaire on Derivatives' knowledge

如客戶過去並未對衍生產品有認識，並已接受藍山證券有限公司就相關衍生產品作出之風險解釋，請完成以下的衍生工具問卷：  
For clients who did not have knowledge of derivative products and have already accepted Bluemount Securities Limited's explanation on the risk associated with derivatives products, please complete the questionnaire below:

牛熊證部份 Callable bull/bear contracts (CBBCs)

1. 牛熊證於強制回收後，其價值是否有機會等於零？  是 Yes  否 No  
Can the residual value of CBBCs be zero after it was mandatory called?
2. 時間值損耗風險是否買賣牛熊證的其中一項風險？  是 Yes  否 No  
Is time decay risk one of the risks for trading callable bull/bear contracts (CBBCs)?
3. 牛熊證於強制回收後，投資者是否仍能進行買賣？  是 Yes  否 No  
Can investors continue to trade the callable bull/bear contracts (CBBCs) after it was mandatory called?
4. 發行商失責風險是否買賣牛熊證的其中一項風險？  是 Yes  否 No  
Is issuer default risk one of the risks for trading callable bull/bear contracts (CBBCs)?

衍生權證部份 Derivative warrants

5. 槓桿風險是否買賣衍生權證(高輪)的其中一項風險？  是 Yes  否 No  
Is gearing risk one of the risks for derivative warrants?
6. 引伸波幅風險是否買賣衍生權證(高輪)的其中一項風險？  是 Yes  否 No  
Is implied volatility risk one of the risks for derivative warrants?

ETF 部份 Exchange Traded Funds (ETFs)

7. 交易所買賣基金(ETF)的發行商是否被視為不會失責或者破產的金融機構？  是 Yes  否 No  
Would the issuer of Exchange Traded Funds (ETFs) be classified as a financial institution that would not default nor bankrupt?
8. 外匯風險是否交易所買賣基金(ETF)的其中一項風險？  是 Yes  否 No  
Is foreign exchange risk one of the risks of Exchange Traded Funds?
9. 不同複製策略涉及對手風險是否交易所買賣基金(ETF)的其中一項風險？  是 Yes  否 No  
Is counterparty risk with different replication strategies one of the risks of Exchange Traded Funds?

本人 \_\_\_\_\_ (帳戶號碼 \_\_\_\_\_) 現簽署確認藍山證券有限公司就本人對衍生產品之認識所作出的評估。  
如本人未有衍生產品之認識，本人已接受藍山就相關衍生產品作出之風險認識。本人清楚明白相關衍生產品的各類風險及願意承擔交易相關衍生產品所帶來的潛在風險。

I, \_\_\_\_\_ (Account number \_\_\_\_\_) hereby sign and confirm that I accept Bluemount Securities Limited's explanation on the risk associated with derivative products. I fully understand different types of risks associated with derivative products and I accept the potential risks arising from trading derivative products.

客戶簽署 Client Signature	日期 Date
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風險披露聲明書 (創業板)  
RISK DISCLOSURE STATEMENT (GEM)  
(Cash Account 現金戶口 / Margin Account 孖展戶口)

To: BLUEMOUNT SECURITIES LIMITED  
致：藍山證券有限公司

1. I/We acknowledge that the price of securities traded on GEM can and does fluctuate, and any individual security may experience upwards or downwards movements, and may even become valueless. There is an inherent risk that losses may be incurred rather than profit made as a result of buying and selling securities traded on GEM. I/We also acknowledge that there may be risks in leaving securities in your safekeeping. For example, if you are holding my/our securities and you become insolvent, I/We may experience significant delay in recovering the securities. These are risks that I/we am/are prepared to accept.  
本人 吾等知悉創業板的證券價值可能會波動，任何個別證券的價格皆可上升或下跌，甚至變成毫無價值。買賣創業板證券不一定獲利，而且存在著可能損失的風險。本人 吾等也知道將證券交給閣下保管可能存在風險。例如當閣下持有本人 吾等的證券而閣下無力償債時，本人 吾等取回證券的時間可能會受到阻延。本人 吾等願意承擔此等風險。
2. I/We understand that GEM has been established as a market designed to accommodate companies to which a high investment risk may be attached. In particular, I/we understand that companies may list on GEM with neither a track record of profitability nor any obligation to forecast future profitability. I/We appreciate that there may be risks arising out of the emerging nature of companies listed on GEM and the business sectors or countries in which the companies operate.  
本人 吾等明白創業板之市場乃為可能附有高風險的公司而設。本人 吾等亦尤其明白公司在沒有往績紀錄及在不需負責預測未來表現的情況下在創業板上市。本人 吾等清楚了解，因創業板上市公司的新興發展性質，其營運的業務行業或國家而所引致的風險。
3. I/We am/are aware of the potential risks of investing in such companies and understand that I/we should make the decision to invest only after due and careful consideration. I/We understand the greater risk profile and other characteristics of GEM mean that it is a market more suited to professional and other sophisticated investors.  
本人 吾等知道投資在此類公司的潛在風險，故此本人 吾等明白必須經過審慎考慮後才作出投資決定。本人 吾等亦明白創業板的較高風險性質及其他特點，應當更適合專業及其他熟悉投資技巧的投資者。
4. Given the emerging nature of companies listed on GEM, I/we understand there is a risk that securities traded on GEM may be susceptible to higher market volatility compared to securities traded on the Main Board and no assurance is given that there will be a liquid market in the securities traded on GEM.  
基於創業板上市公司的新興發展性質，本人 吾等明白於創業板進行買賣將可能面對比較於主板買賣證券為高的市場波幅及不確保於創業板買賣時得到一個有流通量的市場。
5. I/We further understand that the principal means of information dissemination on GEM is publication on the internet website operated by the Exchange. Companies listed on GEM are not generally required to issue paid announcements in gazetted newspapers. Accordingly, I/we acknowledge that I/we need to have access to up-to-date information on GEM-listed companies as published on the GEM website.  
本人 吾等亦明白創業板的主要信息發放渠道是透過聯交所運作的互聯網網頁刊登消息。創業板上市公司一般不須在憲報所登的報章上刊登付費公告。因此，本人 吾等知悉本人 吾等須獲取經由創業板網頁發佈的創業板上市公司的最新資料。
6. I/We acknowledge that this risk disclosure statement does not purport to disclose all the risks and other significant aspects of GEM. I/We understand that I/we should undertake my/our research and study on the trading of securities on GEM before commencing any trading activities.  
本人 吾等確認此風險披露聲明並不能申述所有風險及其他創業板的主要內容。本人 吾等明白在進行買賣活動之前須自行進行資料搜集及研究有關證券的買賣。
7. I/We understand that I/we should seek independent professional advice if I/we am/are uncertain of or have not understood any aspect of this risk disclosure statement or the nature and risks involved in trading of securities on GEM.  
本人 吾等明白如本人 吾等對此風險披露聲明書的任何方面或對買賣創業板證券的性質及風險有不明白之處，本人 吾等須取得獨立專業的意見。
8. I/We understand that the signing of this risk disclosure statement is mandatory under the Rules of the Exchange. I/We understand that you will not be able to effect my/our instructions to deal in securities on GEM if this statement is not signed and acknowledged by me/us.  
本人 吾等明白簽署此風險披露聲明書是交易所規則的硬性規定。本人 吾等明白本人 吾等未能簽署及確認此聲明書，閣下將不可以執行本人 吾等於創業板買賣的指令。
9. This risk disclosure statement has been fully explained to me/us by account executive and I/we fully understand the contents hereof. I/We understand that you are required under the Rules of the Exchange to ensure that I/we am/are provided with a copy of this risk disclosure statement signed and dated by me/us and contains the declaration by account executive.  
此風險披露聲明書已由客戶主任向本人 吾等解釋清楚，而本人 吾等亦明白其內容。本人 吾等明白根據交易所規則閣下必須為本人 吾等提供此份由本人 吾等簽署及填上日期，並載有客戶主任的聲明的風險披露聲明書之副本。

Client's Signature 客戶簽署 A

A/C No 戶口號碼:

Date 日期

**Declaration by Licensed Person**

I, \_\_\_\_\_ (name of licensed person) have fully explained the contents of this risk disclosure statement to  
\_\_\_\_\_ (name of client) in a language which he/they understand(s).

A.E. Signature

Date:



**Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)**

(Rev. July 2017)

Department of the Treasury  
Internal Revenue Service

► **For use by individuals. Entities must use Form W-8BEN-E.**  
► **Go to [www.irs.gov/FormW8BEN](http://www.irs.gov/FormW8BEN) for instructions and the latest information.**  
► **Give this form to the withholding agent or payer. Do not send to the IRS.**

OMB No. 1545-1621

**Do NOT use this form if:**

**Instead, use Form:**

- You are NOT an individual . . . . . **W-8BEN-E**
- You are a U.S. citizen or other U.S. person, including a resident alien individual . . . . . **W-9**
- You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the U.S. (other than personal services) . . . . . **W-8ECI**
- You are a beneficial owner who is receiving compensation for personal services performed in the United States . . . . . **8233 or W-4**
- You are a person acting as an intermediary . . . . . **W-8IMY**

**Note:** If you are resident in a FATCA partner jurisdiction (i.e., a Model 1 IGA jurisdiction with reciprocity), certain tax account information may be provided to your jurisdiction of residence.

**Part I Identification of Beneficial Owner (see instructions)**

<b>1</b> Name of individual who is the beneficial owner		<b>2</b> Country of citizenship	
<b>3</b> Permanent residence address (street, apt. or suite no., or rural route). <b>Do not use a P.O. box or in-care-of address.</b>			
City or town, state or province. Include postal code where appropriate.		Country	
<b>4</b> Mailing address (if different from above)			
City or town, state or province. Include postal code where appropriate.		Country	
<b>5</b> U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)		<b>6</b> Foreign tax identifying number (see instructions)	
<b>7</b> Reference number(s) (see instructions)		<b>8</b> Date of birth (MM-DD-YYYY) (see instructions)	

**Part II Claim of Tax Treaty Benefits (for chapter 3 purposes only) (see instructions)**

**9** I certify that the beneficial owner is a resident of \_\_\_\_\_ within the meaning of the income tax treaty between the United States and that country.

**10 Special rates and conditions** (if applicable—see instructions): The beneficial owner is claiming the provisions of Article and paragraph \_\_\_\_\_ of the treaty identified on line 9 above to claim a \_\_\_\_\_ % rate of withholding on (specify type of income): \_\_\_\_\_

Explain the additional conditions in the Article and paragraph the beneficial owner meets to be eligible for the rate of withholding: \_\_\_\_\_

**Part III Certification**

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income to which this form relates or am using this form to document myself for chapter 4 purposes,
- The person named on line 1 of this form is not a U.S. person,
- The income to which this form relates is:
  - (a) not effectively connected with the conduct of a trade or business in the United States,
  - (b) effectively connected but is not subject to tax under an applicable income tax treaty, or
  - (c) the partner's share of a partnership's effectively connected income,
- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country, and
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. **I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.**

**Sign Here** ►

\_\_\_\_\_  
Signature of beneficial owner (or individual authorized to sign for beneficial owner) Date (MM-DD-YYYY)

\_\_\_\_\_  
Print name of signer Capacity in which acting (if form is not signed by beneficial owner)



致: 藍山證券有限公司  
To: Bluemount Securities Limited  
**根據《證券及期貨(客戶證券)規則》作出的常設授權**  
**Standing Authority under the Securities and Futures (Client Securities) Rules**

本授權書是關於 貴公司代表本人/吾等接收或持有的證券或證券抵押品。除另有說明外, 在本授權書內的所有用語應具有經不時修訂的《證券及期貨條例》及《證券及期貨(客戶證券)規則》所定義的相同意思。

This letter of authority covers the securities or securities collateral received or held by you on my/our behalf. Unless otherwise defined, all the terms used in this Authorization Letter shall have the same meanings as defined in the Securities and Futures Ordinance and the Securities and Futures (Client Securities) Rules as amended from time to time.

本人/吾等授權 貴公司:

I/We authorize you to:

1. 依據證券借貸協議運用本人/吾等的任何證券或證券抵押品;  
apply any of my/our securities or securities collateral pursuant to a securities borrowing and lending agreement;
2. 將本人/吾等的任何證券抵押品存放於認可的財務機構, 作為提供予貴公司的財務通融的抵押品; 或  
deposit any of my/our securities collateral with an authorized financial institution as collateral for financial accommodation provided to you; or
3. 將本人/吾等的任何證券抵押品存放於:  
deposit any of my/our securities collateral with:
  - i) 一家認可的結算所; 或  
a recognized clearing house; or
  - ii) 獲發牌或獲註冊進行證券交易的另一中介人,  
another intermediary licensed or registered for dealing in securities,  
作為貴公司履行交收義務與責任的抵押品。  
as collateral for the discharge and satisfaction of your settlement obligations and liabilities.

貴公司可無須通知本人/吾等而進行上述各項。

You may do any of these thing without giving me/us notice.

當本人/吾等全數償還財務通融安排下的所有未清償的貸款後, 貴公司須負責向本人/吾等歸還在此授權下存放的相等證券。

You are accountable to me/us for the return of equivalent securities deposited under this authority after full repayment by me/us of all my/our outstanding loans under any financial accommodation.

本人/吾等明白, 本人/吾等的證券或證券抵押品可能受制於第三者之留置權或押記, 貴公司必須先行了結有關留置權或押記, 方可將本人/吾等的證券或證券抵押品歸還本人/吾等。

I/We understand that a third party may have a lien or charge on my/our securities or securities collateral, which you must satisfy before my/our securities or securities collateral can be returned to me/us.

本人/吾等知悉, 本人/吾等若授權 貴公司, 准許貴公司依據證券借貸協議運用本人/吾等的任何證券或證券抵押品, 或准許 貴公司再質押本人/吾等的證券抵押品以取得財務通融, 或准許 貴公司存放本人/吾等的證券抵押品作為 貴公司履行交收義務與責任的抵押品, 如此授權是帶有風險的。

I/We are aware that there is risk if I/we provide you with any authority that allows you to apply my/our securities or securities collateral pursuant to a securities borrowing and lending agreement, repledge my/our securities collateral for financial accommodation or deposit my/our securities collateral as collateral for the discharge and satisfaction of your settlement obligations and liabilities.

本人/吾等確認並同意, 此授權有效期為 12 個月, 將於本授權書簽訂之日後 12 個月結束時屆滿。本人/吾等明白, 若 貴公司在屆滿日之前至少 14 日給予本人/吾等續期通知書而本人/吾等在屆滿日之前沒有表示反對續期, 在相同條款及情況下, 則此授權將視為無須本人/吾等書面同意而接續地續期, 每次續期間為 12 個月。本人/吾等明白, 該等續期書面確認書需於續期後七日內向本人/吾等提供。本人/吾等明白, 本人/吾等可給予 貴公司至少五個交易日的預先書面通知, 撤銷此授權。但是, 貴公司有絕對酌情決定權將撤銷授權通知書視為於 貴公司收訖時隨即生效。

I/We acknowledge and agree that the authority shall be valid for 12 months and will expire at the end of 12 months from the date of this Authorization Letter. I/We understand that the authority shall be deemed to be renewed for subsequent periods of 12 months on a continuing basis on the same terms and conditions without my/our written consent if you give me/us a written reminder at least 14 days prior to the expiry date and I/we do not object to such deemed renewal before the expiry date. I/We understand that a written confirmation of such renewal will be given by you to me/us within 7 days after such deemed renewal. I/We also understand that I/we may revoke this authority by giving you at least five trading days' prior written notice. However, you may, in your absolute discretion, treat the revocation notice as having immediate effect upon your receipt.

若本授權書的英文文本及中文文本在內容上有任何歧異, 本人/吾等同意以英文文本為準。

In the event of any discrepancy between the English and Chinese version of this Authorization Letter, I/we agree that the English version shall prevail.

本人/吾等已閱讀及明白本授權書的內容, 並同意受本授權書的內容約束。

I/We have read and understood the contents of this Authorization Letter and agreed to be bound by its terms.

\_\_\_\_\_  
客戶/獲授權人士簽署 (如適用, 公司蓋印)  
Signature of Client/ Authorized Person (if applicable, with Company Chop)

\_\_\_\_\_  
客戶/獲授權人士名稱:  
Name of Client / Authorized Person:

\_\_\_\_\_  
賬戶號碼:  
Account No:

\_\_\_\_\_  
日期:  
Date:



## Bluemount Securities Limited

致：藍山証券有限公司

### 使用個人資料作直接促銷之指示

本人已閱讀並接受 貴公司「收集個人資料聲明 - 依據個人資料（私隱）條例致客戶及其他人士通知書」（下稱「收集個人資料聲明」）。

- 除了任何藍山金融集團成員可將本人的個人資料作直接促銷用途外，本人/吾等反對貴公司將本人/吾等的個人資料予其他第三者作直接促銷用途
- 本人/吾等反對將本人/吾等的個人資料提供予任何藍山金融集團成員及任何第三者作直接促銷用途

如欲拒絕直接促銷，請於空格填上剔（"✓"）號，並於簽署後郵寄/傳真或電郵致本公司。

電話：2137 2699

傳真：2137 2628

電郵：[cs@bluemount.com](mailto:cs@bluemount.com)

注意：(1) 以上指示將會取代 閣下以往任何指示

(2) 本公司一般將會在 7 個工作天內處理 閣下之申請。

客戶簽署：  <hr/>	姓名：
	帳號：
日期：	身份證 / 護照號碼：



見證客戶簽署及身份證明文件驗證 **Certification of Client Signature and Identity Proof**

若客戶/聯名客戶並非在藍山證券有限公司之指定僱員面前簽立本開戶表格或本開戶表格並非連同恰當的支票<sup>^</sup>一併遞交，則以下部分應由指定人士，包括其他證監會持牌人或註冊人、太平紳士或專業人士例如執業會計師、律師或公證人，簽署驗證。而該指定人士需提供其已簽署之身份證明文件副本及專業資格證明文件之副本。

If this Account Opening Form is not executed in front of Bluemount Securities Limited's SFC licensed employee or is not submitted with an appropriate cheque<sup>^</sup>, a specified person, including any SFC licensed or registered person, a Justice of Peace, Certified Public Accountant or Notary Public, should be required to sign below. The specified person should provide us with self-certified ID copy and copy of the professional qualification documents.

下述簽署人士謹此驗證上述客戶/聯名客戶簽立此文件(連同客戶協議書)及其有關的身份證明文件：

The undersigned person hereby certify the signing of this Account Opening Form (together with the Client Agreement) by the above Client(s) and sighting of related identity documents of such Client(s)

姓名 Name	所屬專業及職銜 Profession/Title
聯絡電話 Contact No	聯絡地址 Address
簽署及驗證 Signed and Certified by	日期 Date

<sup>^</sup>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“藍山證券有限公司”及其數額不得少於10,000 港元。客戶被批核的新帳戶必須待支票兌現後才可使用。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 on this Form in favour of "Bluemount Securities Limited" for not less than HKD10,000. Your approved new account will not be activated until the cheque is cleared.