

Funderstone Securities Limited
Funderstone Futures Limited
Funderstone Asset Management (HK) Limited

ACCOUNT OPENING FORM – INDIVIDUAL/JOINT ACCOUNT
開戶表格 – 個人/聯名賬戶

A. ACCOUNT TYPE 賬戶類別	
A1. Individual/Joint Account 個人/聯名賬戶	
<input type="checkbox"/> Individual Account 個人賬戶	<input type="checkbox"/> Joint Account 聯名賬戶 (Please fill in 2 sets of account opening documents separately 請各自填寫一份開戶表格)
A2. Account Type(s) 賬戶類別	
<input type="checkbox"/> Securities Account (Cash Account) 現金證券賬戶	<input type="checkbox"/> Securities Account (Margin Account) 保證金證券賬戶
<input type="checkbox"/> Futures Account 期貨賬戶	
A3. Currency 貨幣	
<input type="checkbox"/> Hong Kong Dollars 港元	<input type="checkbox"/> United States Dollars 美元
<input type="checkbox"/> Renminbi 人民幣	
A4. Trading Platform 交易平台	
Would you like to apply for the Internet Trading Service? 閣下(等)需要申請互聯網交易服務嗎? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	

B. CLIENT INFORMATION 客戶資料		
B1. Name of *Sole/Primary/Joint Applicant *獨名/主要/聯名申請人名稱 *Please delete as appropriate 請刪去不適用者		
Personal Information 個人信息		
Salutation 稱謂	<input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Miss 小姐 <input type="checkbox"/> Ms. 女士 <input type="checkbox"/> Mrs. 太太	
Gender 性別	<input type="checkbox"/> Male 男 <input type="checkbox"/> Female 女	
Chinese Name 中文姓名	Surname 姓氏	First Name 名字
English Name 英文姓名	Surname 姓氏	First Name 名字
Former Name (If applicable) 曾用名 (如適用)	Surname 姓氏	First Name 名字

(Funderstone Securities Limited, Funderstone Futures Limited and Funderstone Asset Management (HK) Limited are collectively referred to as "Funderstone Group".)
 (Funderstone Securities Limited, Funderstone Futures Limited 及 Funderstone Asset Management (HK) Limited 統稱為「Funderstone 集團」。)

Funderstone Securities Limited (CE No. AAK018) is currently licensed to engage in the following regulated activities: Type 1 (dealing in securities), Type 4 (advising on securities), Type 6 (advising on corporate finance) and Type 9 (asset management) under the Securities and Futures Ordinance (Cap. 571 of the Laws of Hong Kong) ("SFO").

Funderstone Securities Limited (中央編號: AAK018) 現時獲許可從事《證券及期貨條例》(香港法例第571章) (「《證券及期貨條例》」) 項下的以下受規管活動: 第1類(證券交易)、第4類(就證券提供意見)、第6類(就機構融資提供意見)及第9類(提供資產管理)。

Funderstone Futures Limited (CE No. AAD847) is currently licensed to engage in the following regulated activities: Type 2 (dealing in future contracts), Type 5 (advising on futures contracts) and Type 9 (asset management) under the SFO.

Funderstone Futures Limited (中央編號: AAD847) 現時獲許可從事《證券及期貨條例》項下的以下受規管活動: 第2類(期貨合約交易)、第5類(就期貨合約提供意見)及第9類(提供資產管理)。

Funderstone Asset Management (HK) Limited (CE No. ACD757) is currently licensed to engage in Type 9 regulated activity (asset management) under the SFO.

Funderstone Asset Management (HK) Limited (中央編號: ACD757) 現時獲許可從事《證券及期貨條例》項下的第9類受規管活動(提供資產管理)。

B. CLIENT INFORMATION 客戶資料			
B2. *Information of *Sole/Primary/Joint Applicant *獨名/主要/聯名申請人資料			
*Please delete as appropriate 請刪去不適用者			
Identification Document 身份證明 * For non-permanent HK resident, please provide passport. 非香港永久居民之申請人應提交護照。	Type of Identification Document and Identification Document No. 證件種類 及 證件號碼	Expiry Date (if applicable): 有效期至(如適用)	Country/Place of Issue: 簽發國家/地區
	<input type="checkbox"/> Identity Card 身份證*		
	<input type="checkbox"/> Passport 護照		
	<input type="checkbox"/> Others (please specify: 其他 (請註明:_____))		
Nationality 國籍 *Please state all of the nationalities if the applicant has more than one nationality. 擁有多重國籍之申請人應註明其所有國籍	Date of Birth 出生日期 _____/_____/_____ DD日 MM月 YYYY年		
Country/Place of Birth 出生國家/地區	Country/Place of Residence 居住國家/地區		
Residential Address 居住地址 _____ * PO Box is not acceptable 請勿填寫郵政信箱		Country (Postal Code) 國家 (郵政編碼)	
Correspondence Address (Please select one only) 通訊地址 (只選一項) <input type="checkbox"/> Same as Residential Address 與居住地址相同 <input type="checkbox"/> Address as specified below 如下指定地址: _____		Country (Postal Code) 國家 (郵政編碼)	
* PO Box is not acceptable 請勿填寫郵政信箱			
E-mail Address 電郵地址:			
Correspondence, trading confirmations and statements to be sent to my: 通訊、交易確認及結單請寄往本人的 <input type="checkbox"/> Residential Address 居住地址 <input type="checkbox"/> Correspondence Address 通訊地址 <input type="checkbox"/> Email Address 電郵地址			
Contact Details 聯絡資料	Mobile No. 手提電話	(Country Code 國家區碼) ()	Office No. 辦公室電話
	Home No. 住宅電話	(Country Code 國家區碼) ()	Fax No. 傳真號碼
		(Country Code 國家區碼) ()	
Marital Status 婚姻狀況	<input type="checkbox"/> Single 單身 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Divorced/Separated 離婚/分居 <input type="checkbox"/> Widowed 喪偶		
Education Level 教育程度	<input type="checkbox"/> Primary School or below 小學或以下 <input type="checkbox"/> Secondary/High School 中學/高中 <input type="checkbox"/> Matriculation or Post-secondary 大專或預科 <input type="checkbox"/> University or above 大學或以上 <input type="checkbox"/> Others (please specify) 其他 (請註明): _____		
Personal Annual Income from All Sources (HKD) 個人年總收入(港幣)	<input type="checkbox"/> ≤\$200,000 不多於二十萬港元		Total Liquid Net Worth (HKD) 總淨流動資產(港幣)
	<input type="checkbox"/> ≤\$500,000 不多於五十萬港元		
	<input type="checkbox"/> ≤\$1,000,000 不多於一百萬港元		
	<input type="checkbox"/> ≤\$5,000,000 不多於五百萬港元		
	<input type="checkbox"/> ≤\$8,000,000 不多於八百萬港元		
	<input type="checkbox"/> >\$8,000,000 多於八百萬港元		
	<input type="checkbox"/> ≤\$200,000 不多於二十萬港元		
	<input type="checkbox"/> ≤\$500,000 不多於五十萬港元		
	<input type="checkbox"/> ≤\$1,000,000 不多於一百萬港元		
	<input type="checkbox"/> ≤\$5,000,000 不多於五百萬港元		
	<input type="checkbox"/> ≤\$8,000,000 不多於八百萬港元		
	<input type="checkbox"/> >\$8,000,000 多於八百萬港元		

Employment Information 工作狀況			
Employment Status 工作現況	<input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Merchant 商號東主 <input type="checkbox"/> Full-time employee 全職僱員 <input type="checkbox"/> Part-time/Temporary/Contract employee 兼職/臨時/合約僱員 <input type="checkbox"/> Not Currently Employed/Unemployed 非在職/失業 <input type="checkbox"/> Student 學生 <input type="checkbox"/> Housewife 家庭主婦 <input type="checkbox"/> Retired 退休人士 <input type="checkbox"/> Others (please specify) 其他 (請註明): _____	Name of Current Employer (If applicable) 現任僱主名稱(如適用)	Chinese 中文 English 英文
		Current Job Title (If applicable) 現任職位(如適用)	
		Years of Employment with Current Employer (If applicable) 現職公司工作年數(如適用)	
Nature of Business 業務性質		Occupation 職業	
Office Address 公司地址		Country (Postal Code) 國家 (郵政編碼)	
Monthly Salary (HKD) 每月薪金(港幣)	<input type="checkbox"/> ≤\$10,000 不多於一萬港元 <input type="checkbox"/> ≤\$20,000 不多於二萬港元 <input type="checkbox"/> ≤\$50,000 不多於五萬港元 <input type="checkbox"/> >\$200,000 多於二十萬港元 <input type="checkbox"/> ≤\$80,000 不多於八萬港元 <input type="checkbox"/> ≤\$120,000 不多於十二萬港元 <input type="checkbox"/> ≤\$200,000 不多於二十萬港元		
資金來源 Source of Funds			
Initial Source of Funds 首次資金來源	<u>Origin 來源</u> <input type="checkbox"/> Payroll/Commission/Pension 薪金/佣金/退休金 <input type="checkbox"/> Savings 儲蓄 <input type="checkbox"/> Investment Return 投資收益 <input type="checkbox"/> Others (please specify) 其他(請註明): _____ <input type="checkbox"/> Individual Business 個人業務 <input type="checkbox"/> Inheritance/Gift 繼承/饋贈 <input type="checkbox"/> Sales Proceeds of Property/other assets 售出物業/其他資產所得 *Tick more than one box, if appropriate 如有需要, 可勾選多於一項		
	<u>Place of Source of Funds 資金來源地</u> <input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> China 中國 <input type="checkbox"/> Other location(s) 其他地區: _____ *Tick more than one box, if appropriate 如有需要, 可勾選多於一項		
	<u>The means by which you will deposit money into the Account(s) 閣下打算匯款至戶口的方式</u> <input type="checkbox"/> Telegraphic Transfer 電匯 <input type="checkbox"/> Cheque 支票 <input type="checkbox"/> Demand Draft 匯票 <input type="checkbox"/> Others (please specify) 其他 (請註明): _____ *Tick more than one box, if appropriate 如有需要, 可勾選多於一項 *Third party cheques will not be accepted 第三方支票將不獲接納		
Recurring Source of Funds 持續資金來源	<u>Origin 來源</u> <input type="checkbox"/> Payroll/Commission/Pension 薪金/佣金/退休金 <input type="checkbox"/> Savings 儲蓄 <input type="checkbox"/> Investment Return 投資收益 <input type="checkbox"/> Others (please specify) 其他(請註明): _____ <input type="checkbox"/> Individual Business 個人業務 <input type="checkbox"/> Inheritance/Gift 繼承/饋贈 <input type="checkbox"/> Sales Proceeds of Property/other assets 售出物業/其他資產所得 *Tick more than one box, if appropriate 如有需要, 可勾選多於一項		

<p><u>Place of Source of Funds 資金來源地</u></p> <p><input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> China 中國 <input type="checkbox"/> Other location(s) 其他地區: _____</p> <p><i>*Tick more than one box, if appropriate 如有需要, 可勾選多於一項</i></p>	
<p><u>The means by which you will deposit money into the Account(s) 閣下打算匯款至戶口的方式</u></p> <p><input type="checkbox"/> Telegraphic Transfer 電匯 <input type="checkbox"/> Cheque 支票 <input type="checkbox"/> Demand Draft 匯票</p> <p><input type="checkbox"/> Others (please specify) 其他(請註明): _____</p> <p><i>*Tick more than one box, if appropriate 如有需要, 可勾選多於一項</i> <i>*Third party cheques will not be accepted 第三方支票將不獲接納</i></p>	

C. SETTLEMENT ACCOUNT INFORMATION 結算賬戶資料

The following bank account is the Settlement Account under and within the meaning of the "Terms and Conditions for Trading Account" and for the relevant settlement arrangements. I/We hereby instruct and authorise Funderstone Group to deposit all payments payable to me/us into the following bank account. Funderstone Group shall not be held liable for any loss, expenses or damages suffered by me/us as a result of any delay in depositing such payments caused by any reason whatsoever.

以下的銀行賬戶是《交易賬戶條款及條件》中定義的結算賬戶, 並作有關之結算安排。本人(等)謹此指示及授權 Funderstone 集團將所有應付本人(等)之款項存入下列之銀行賬戶。Funderstone 集團不會就任何原因延遲存入款項令本人(等)蒙受任何虧損、開支或賠償承擔任何法律責任。

Currency 貨幣	Name of Bank 銀行名稱	Account No. 賬戶號碼	Name of Account Holder 賬戶持有人名稱
HKD 港幣	_____	_____	_____
USD 美元	_____	_____	_____
CNY 人民幣	_____	_____	_____
Others (please specify) 其他(請註明):	_____	_____	_____

D. INVESTMENT OBJECTIVE & EXPERIENCE 投資目標及經驗

- What is your main objective of investment?
閣下(等)的主要投資目標是什麼?
 Yield Enhancement 提高收益率
 Long Term Gain 長線增值
 Speculative Gain 投機增值
- Which of the following do you think best describe your investment attitude?
下列那一項最能夠形容閣下(等)的投資意向?
 In general, I/we can bear price fluctuation of maximum 10% of my/our investment in exchange for potential gain, which is slightly higher than the rate of bank deposits. 一般而言, 本人(等)能承受投資上最高 10% 的價格上落波動以獲得稍微高於銀行存款利率的潛在回報
 In general, I/we can bear price fluctuation of around 30% of my/our investment in exchange for potential gain, which is much better than the rate of bank deposits. 一般而言, 本人(等)能承受投資上最高 30% 的價格上落波動以獲得明顯高於銀行存款利率的潛在回報。
 In general, I/we can bear price fluctuation of around 50% of my/our investment in exchange for potential gain, which is comparable to the stock market indexes. 一般而言, 本人(等)能承受投資上最高 50% 的價格上落波動以獲得相比於股票市場指數的潛在回報。
 In general, I/we can bear any price fluctuation of my/our investment in exchange for potential gain, which is remarkably higher than the stock market indexes. 一般而言, 本人(等)能承受投資上任何的價格上落波動以獲得明顯高於股票市場指數的潛在回報。

3. What is your investment experience in the following products?
 閣下(等)在下列投資產品有多少投資經驗?

Investment Experience 投資經驗				
	Investment Products 投資產品	Trading Volume in the last 12 months (HKD) 過去 12 個月內的交易金額 (港幣)	No. of Transaction(s) in the last 12 months 過去 12 個月內的交易次數 <i>*A sale and purchase of the same product shall be counted as one transaction. *一買一賣計算為一次交易。</i>	Years of Experience 投資年期
<input type="checkbox"/>	(a) Stocks 股票	<input type="checkbox"/> less than HKD100,000 少於港幣 10 萬元 <input type="checkbox"/> more than HKD100,000 多於港幣 10 萬元	<input type="checkbox"/> less than 40 少於 40 宗 <input type="checkbox"/> more than 40 多於 40 宗	<input type="checkbox"/> less than 2 years 少於 2 年 <input type="checkbox"/> more than 2 years 多於 2 年
<input type="checkbox"/>	(b) Fixed Income Products (e.g. Bonds, Convertible Bonds, etc.) / Foreign Currency Deposit 定息投資產品 (例如債券、可換股債券等) / 外幣存款	<input type="checkbox"/> less than HKD100,000 少於港幣 10 萬元 <input type="checkbox"/> more than HKD100,000 多於港幣 10 萬元	<input type="checkbox"/> less than 40 少於 40 宗 <input type="checkbox"/> more than 40 多於 40 宗	<input type="checkbox"/> less than 2 years 少於 2 年 <input type="checkbox"/> more than 2 years 多於 2 年
<input type="checkbox"/>	(c) Mutual Funds / Unit Trusts 共同基金 / 單位信託基金	<input type="checkbox"/> less than HKD100,000 少於港幣 10 萬元 <input type="checkbox"/> more than HKD100,000 多於港幣 10 萬元	<input type="checkbox"/> less than 40 少於 40 宗 <input type="checkbox"/> more than 40 多於 40 宗	<input type="checkbox"/> less than 2 years 少於 2 年 <input type="checkbox"/> more than 2 years 多於 2 年
<input type="checkbox"/>	(d) Derivatives and Leverage Products (e.g. Futures, Options, Warrants, Callable Bull/Bear Contracts, Accumulator, Margin Trading, etc.) 衍生工具/槓桿產品 (例如期貨、期權、認股權證/窩輪、可贖回牛/熊證、累計期權、保證金交易等)	<input type="checkbox"/> less than HKD100,000 少於港幣 10 萬元 <input type="checkbox"/> more than HKD100,000 多於港幣 10 萬元	<input type="checkbox"/> less than 40 少於 40 宗 <input type="checkbox"/> more than 40 多於 40 宗	<input type="checkbox"/> less than 2 years 少於 2 年 <input type="checkbox"/> more than 2 years 多於 2 年
<input type="checkbox"/>	(e) Structured Products (e.g. Equity-Linked Deposit / Notes, Currency-Linked Deposit, etc.) 結構化產品 (例如股票掛鉤存款/票據、貨幣掛鉤存款等)	<input type="checkbox"/> less than HKD100,000 少於港幣 10 萬元 <input type="checkbox"/> more than HKD100,000 多於港幣 10 萬元	<input type="checkbox"/> less than 40 少於 40 宗 <input type="checkbox"/> more than 40 多於 40 宗	<input type="checkbox"/> less than 2 years 少於 2 年 <input type="checkbox"/> more than 2 years 多於 2 年

<input type="checkbox"/> (f) Others (please specify) 其他 (請註明): _____ _____ _____	<input type="checkbox"/> less than HKD100,000 少於港幣 10 萬元 <input type="checkbox"/> more than HKD100,000 多於港幣 10 萬元	<input type="checkbox"/> less than 40 少於 40 宗 <input type="checkbox"/> more than 40 多於 40 宗	<input type="checkbox"/> less than 2 years 少於 2 年 <input type="checkbox"/> more than 2 years 多於 2 年
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Knowledge of Derivative Products 對衍生產品的認識

1. Have you ever undergone training or attended courses on derivative products?

閣下(等)曾否接受有關衍生產品的培訓或修讀相關課程?

Yes 有 No 否

If applicable, please specify the name(s) of the training, course(s) or professional license(s) and the name(s) of the relevant personnel
 如適用, 請註明培訓、課程或相關專業牌照名稱及持有人名稱:

2. Do you have current or previous work experience related to derivative products?

閣下(等)現時或過去有否擁有衍生產品相關工作經驗?

Yes 有 No 否

If applicable, please specify the years of experience and types of derivative products:

如適用, 請註明衍生產品相關工作經驗及衍生產品類別:

E. IDENTITY DECLARATION 身份聲明

1. Do you have any relationship with the director(s) or employee(s) of Funderstone Group or their respective associated companies?

閣下(等)是否與 Funderstone 集團或其各自之聯營公司之董事或僱員有任何關係?

No 否
 Yes 是

Details are 詳情為: _____

2. Are you a director or an employee or an accredited person of any exchange participant of the Hong Kong Exchange or any licensed or registered person of the Securities and Futures Commission?

閣下(等)是否香港交易所之交易所參與者或證監會之持牌人或註冊人之董事、僱員或認可人士?

No 否
 Yes 是

Details are 詳情為: _____

3. Are you a current or former senior official or member in public office in the local or foreign government (e.g. appointed member of committee), involved in any political activities such as political party or government consultant or holding a current or former senior management position of a state-owned enterprise or listed company?

閣下(等)是否現任職或曾任職於香港或海外政府部門之高級管理官員或擔任公職(如政府委任之委員會)、現正或曾經從事任何政治工作(如政黨人士或政府顧問等)或國營企業或上市公司高級管理層職位?

No 否
 Yes 是

Details are 詳情為: _____

4. Is your Relevant Person (see point 5 below) or immediate family member or spouse involved in any of the above activities?

閣下(等)之相關人士(見以下第 5 點)、直系親屬或配偶是否現正或曾經從事以上其中一項活動?

No 否
 Yes 是

Details are 詳情為: _____

5. Are you the ultimate and sole beneficial owner(s) of the Account(s) and is fully responsible for all instructions for the operation of the said Account(s)?
 閣下(等)是否賬戶的最終及唯一實益擁有人，並完全負責為該(等)賬戶運作所發出的一切指示？

- No 否
 Yes 是

If No, please provide the particulars of ALL the beneficial owner(s) / person(s) who is/are ultimately responsible for originating instructions ("Relevant Person(s)")

如不是，請提供所有實益擁有人 / 最終發出指示的人士("相關人士")之資料

Chinese Name 中文姓名: _____

English Name 英文姓名: _____

Relationship with you 與閣下(等)的關係:

- Ultimate Beneficial Owner of Account(s) 該(等)賬戶之最終實益擁有人
 Person who is ultimately responsible for originating instructions of Account(s)
 最終負責發出該(等)賬戶指示之人
 Your Authorised Person 閣下(等)之獲授權簽署人
 Your trustee 閣下(等)之受託人
 Others (please specify) 其他(請註明): _____

1. Please provide the identity document and address proof (issued by independent third party within 3 months) of your Relevant Person(s).
 請提供閣下(等)之相關人士之身份證明文件及由獨立第三方出具的最近三個月內的地址證明。
 2. Please provide passport if the Relevant Persons(s) is/are non-permanent HK resident(s).
 若相關人士並非香港永久居民，請提供其護照。
 3. Please provide in a timely matter other KYC documents as required by Funderstone Group, from time to time.
 請按照 Funderstone 集團不時的要求及時提供其他「認識您的客戶」文件。

F. RELATED MARGIN FINANCING ACCOUNT(S) 相關保證金融資賬戶 (For Margin Account only 只適用於保證金賬戶)

1. Does your spouse have a margin account with Funderstone Group? (If your spouse is not the Joint Applicant)
 閣下(等)的配偶是否持有 Funderstone 集團的保證金賬戶？(如閣下(等)的配偶並非聯名申請人)？

- No 否
 Yes 是

Name of the Spouse 配偶姓名: _____

Account No. 賬戶號碼: _____

2. Are you either alone or with your spouse in control of 35% or more of the voting rights of another margin client of Funderstone Group?
 閣下(等)是否單獨或與配偶共同控制 Funderstone 集團其他保證金賬戶持有人 35%或以上之表決權？

- No 否
 Yes 是

Name of the Relevant Account 相關賬戶名稱: _____

Account No. 賬戶號碼: _____

G. OPERATING APPLICANT 操作申請人 (APPLICABLE TO JOINT ACCOUNT ONLY) (只適用於聯名賬戶)

We hereby agree and confirm the following person(s) are the Operating Applicant(s) of the Account ("Operating Applicant(s)"). All instructions given by the Operating Applicant(s) shall be treated as joint instructions given by us. We hereby declare that we shall be fully responsible for any instructions given or purported to be given relating to or for the Account by the Operating Applicant(s) (including but not limiting to the verbal instructions or written instructions), and shall fully indemnify Funderstone Group against all damages, losses, costs and expenses whatsoever incurred as a result of any act, inactivity or omission of the Operating Applicant(s).

本人等謹此同意及確認下列人士為本賬戶的操作申請人(「操作申請人」)。由操作申請人發出的指示等同由本人等共同決定及發出的指示。本人等茲聲明對由操作申請人或聲稱為操作申請人所發出之任何為或與賬戶相關指示(包括但不限於口頭指示或書面指示)承擔全部責任，並會就 Funderstone 集團因該等操作申請人之任何行為，不作為或遺漏而引致的一切賠償、損失、費用及開支向 Funderstone 集團作出全部彌償。

- Primary Applicant 主要申請人 Joint Applicant 聯名申請人
 Either Primary Applicant or Joint Applicant 主要申請人或聯名申請人 Both Primary Applicant and Joint Applicant 主要申請人及聯名申請人

H. FATCA QUESTIONNAIRE AND DECLARATION 海外帳戶稅收合規法案問卷及聲明

This Part allows you to declare your identity under the Foreign Account Tax Compliance Act ("FATCA") classification.

請於本部分根據美國《海外帳戶稅收合規法案》(「FATCA」)申報閣下的身份。

Do you possess any of the following indicia of U.S. status? 閣下是否擁有以下任何一項美國身份指標?

(1) U.S. citizenship/tax residency (e.g. U.S. passport/Green Card holder, U.S. taxpayer, etc.) 美國公民 / 繳納美國稅務的居民 (如美國護照 / 綠卡持有者、美國納稅人等)	<input type="checkbox"/> YES 是 <input type="checkbox"/> NO 否
(2) U.S. place of birth 美國出生地	<input type="checkbox"/> YES 是 <input type="checkbox"/> NO 否
(3) U.S. address (e.g. residential address, mailing address, P.O. box) 美國地址 (如居住地址、郵寄地址、郵政信箱)	<input type="checkbox"/> YES 是 <input type="checkbox"/> NO 否
(4) U.S. telephone number (e.g. home, work, mobile, fax nos.) 美國電話號碼 (如住宅、工作、流動、傳真號碼)	<input type="checkbox"/> YES 是 <input type="checkbox"/> NO 否
(5) Standing instructions to pay amounts from Funderstone Group account to an account maintained in U.S. 從 Funderstone 集團之戶口向美國之銀行戶口設置款項轉帳常設指示	<input type="checkbox"/> YES 是 <input type="checkbox"/> NO 否
(6) Are you holding/Did you hold 10% or more shareholding, directly or indirectly, in any company / entity registered in US? If "Yes", please specify: 閣下現正或曾否, 直接或間接地持有於美國登記之公司 / 團體逾 10% 或以上的股份? 若「是」, 請詳述: Name of Organization 機構名稱: _____ City / State of Registration 登記市/州份: _____ Company Registration Number 公司註冊號: _____ Shares held up to the date of account opening 截至開戶日當天的實際持控股權權益: _____ shares 股 (_____ %)	<input type="checkbox"/> YES 是 <input type="checkbox"/> NO 否
(7) Are you holding any property or maintaining investment account in US? If "Yes", please specify: 閣下是否持有任何美國物業或擁有在美國開立之投資戶口? 若「是」, 請詳述: Address of Property 物業地址: _____ Investment Objective: Business Investment in US / Immigration Investment / Education Fund / Personal Income Growth / Retirement / Other (please specify): 投資目的: 在美國商業投資 / 移民投資 / 教育基金 / 個人增值 / 退休金 / 其他 (請註明): _____	<input type="checkbox"/> YES 是 <input type="checkbox"/> NO 否

FATCA Identity Declaration FATCA 身份聲明

Additional Document

<input type="checkbox"/> I confirm that I am a U.S. citizen and/or resident in the U.S. for tax purpose (green card holder or resident under the substantial presence test) and my U.S. Taxpayer Identification Number (U.S. TIN) is as follows: 本人確認, 本人就課稅目的而言為美國公民 / 或美國居民 (綠卡持有人或根據實質居留測試被定性為居民), 而本人的美國聯邦納稅人識別號碼 (美國納稅人識別號碼) 如下: <table border="1" style="width: 100px; height: 20px; border-collapse: collapse;"> <tr> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> <td style="width: 20px; height: 20px;"></td> </tr> </table>																					W-9 Form 表格
<input type="checkbox"/> I confirm that I am not a U.S. citizen or resident in the U.S. for tax purposes, but have indicia of U.S. status. 本人確認, 本人就課稅目的而言並非美國公民或美國居民, 但有美國身份指標。	W-8BEN Form 表格																				
<input type="checkbox"/> I confirm that I am not a U.S. citizen or resident in the U.S. for tax purposes and have no indicium of U.S. status. 本人確認, 本人就課稅目的而言並非美國公民或美國居民, 亦無美國身份指標。	None 無																				
<input type="checkbox"/> I declare and confirm that the information provided in this Part is true, accurate and complete. I undertake to inform Funderstone Group within 30 calendar days if there is a change in any information which I have provided in this Part. 本人在本部份所提供的資料為真實、準確及完整的。本人同意倘若本人在本部份所提供的資料有任何變更, 本人會於 30 個曆日內通知 Funderstone 集團。																					

I. PERSONAL DATA 個人資料

Funderstone Group may use your personal data in direct marketing, and may also provide your personal data to other third parties for their use in direct marketing. Please refer to Personal Information Collection Statements in the relevant section/schedule of the "Terms and Conditions for Trading Account" for details

Funderstone 集團可能會使用閣下(等)的個人資料作直接促銷及提供閣下(等)的個人資料予其他機構作其直接促銷之用。詳見《交易賬戶條款及條件》相關章節/附表的個人資料收集聲明。

Your choice(s) indicated “√” below represent(s) your present choice whether or not to receive direct marketing contact or information which shall become effective from the date Funderstone Group approves this application. This replaces any choice or request regarding direct marketing communicated by you to Funderstone Group prior to this application, unless this application is withdrawn or rejected for whatever reason.

閣下(等)在以下空格填上“√”號與否的選擇代表閣下(等)現時是否接受直接促銷聯系或資訊, 該選擇將於Funderstone 集團批核此申請當日起生效。除非基於任何原因閣下(等)撤回此申請或申請被拒, 該選擇將取代閣下(等)在此申請前曾向Funderstone 集團表達之任何有關直接促銷的選擇或要求。

Please note that your below choice applies to the direct marketing of the classes of products, services and/or subjects as set out in the Circular on the Personal Data (Privacy) Ordinance (Cap. 486 of the Laws of Hong Kong) and the Code of Practice on Consumer Credit Data. Please also refer to the Circular on the kinds of personal data which may be used in direct marketing and the classes of persons to which your personal data may be provided for them to use in direct marketing.

請注意, 閣下(等)以下選擇適用於《個人資料(私隱)條例》(香港法例第486章)通知及《個人信貸資料實務守則通函》所列產品、服務及/或促銷標的類別之直接促銷。該通知亦列明可能用於直接促銷之個人資料種類, 以及可能轉移有關個人資料作直接促銷之資料承轉人類別。

<p>Please check (“√”) this box if you have read and understood the terms in Personal Information Collection Statements in the relevant section/schedule of the “Terms and Conditions for Trading Account”, and accept the terms set out therein.</p> <p>如閣下已閱讀及明白《交易賬戶條款及條件》相關章節/附表之個人資料收集聲明, 及接受其載有的條文, 請於此空格填上“√”號。</p>	<p>Please check (“√”) this box if you do not object to the use of your personal data in direct marketing by Funderstone Group.</p> <p>如閣下不反對Funderstone 集團使用閣下的個人資料作直接促銷, 請於此空格填上“√”號。</p>	<p>Please check (“√”) this box if you do not object to the provision of your personal data by Funderstone Group to any other third parties for their use in direct marketing.</p> <p>如閣下不反對Funderstone 集團提供閣下的個人資料予Funderstone 集團的任何其他公司作其直接促銷之用, 請於此空格填上“√”號。</p>	<p>Please check (“√”) this box if you do not object Funderstone Group to transfer or move your personal data out of Hong Kong.</p> <p>如閣下不反對Funderstone 集團將閣下的個人資料轉移或發出香港境外, 請於此空格填上“√”號。</p>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

J. CLIENT'S DECLARATION, CONFIRMATION AND AGREEMENT 客戶聲明、確認及協議

- I/We agree to open the account(s) listed in Section A2 herein (“**Account(s)**”) with Funderstone Group, and is bound by this Account Opening Form, “Acknowledgement by Client”, the relevant sections/schedules of the “Terms and Conditions for Trading Account” and all the provisions of the rules and guidelines promulgated by Funderstone Group from time to time (collectively referred to as “**All Those Terms**”). All Those Terms have been published at www.funderstonesec.com. I/We have already been advised by Funderstone Group to seek independent legal advice for All Those Terms. I/We agree that Funderstone Group can request me/us to sign any documents as required under All Those Terms.
 本人(等)同意遵守開戶表格、《客戶守則》、《交易賬戶條款及條件》之相關章節/附表的所有條款及條件及其他由Funderstone 集團不時發出之守則及指引內之所有條款及條件 (統稱“**該等條款**”) 開立此開戶表格A2章節所列出的賬戶 (“**賬戶**”)。該等條款亦已刊載於www.funderstonesec.com上。Funderstone 集團已經建議本人(等)對上述之該等條款尋求獨立法律意見。本人(等)同意Funderstone 集團有權要求本人(等)簽署該等條款所要求的任何文件。
- Before opening the Account(s) with Funderstone Group, I/we have fully read and understood the contents of All Those Terms and I/we agree, accept and confirm all their provisions and agree and accept to be bound by All Those Terms.
 本人(等)在與Funderstone 集團開立賬戶前已經細閱及完全明白所有該等條款之內容, 本人(等)並同意、接受及確認該等條款內所有條款及條件, 並同意及接納受該等條款的約束。
- I/We hereby declare that unless specifically stated otherwise, I am/we are the person(s) who is/are ultimately responsible for originating the instructions and unless specifically stated otherwise, I am/we are the person(s) who stand(s) to gain the economic benefit of the transactions and bear the economic risk.
 本人(等)特此聲明, 除非另有明確述明, 否則本人(等)是最終負責發出指示的人, 而且除非另有明確述明, 否則本人(等)是從交易取得經濟利益及承擔其經濟風險的人。
- I/We hereby acknowledge and confirm that I/we have authorised Funderstone Group to deal with my/our moneys, securities, the Collateral (as defined in the relevant section(s)/schedule(s) of the “Terms and Conditions for Trading Account”) and the Margin (as defined in relevant section(s)/schedule(s) of the “Terms and Conditions for Trading Account”) upon and in accordance with the relevant section(s)/schedule(s) of the “Terms and Conditions for Trading Account” (the “**Relevant Standing Authority**”). I/We acknowledge and confirm that the contents and effects of the Relevant Standing Authority have been explained to me/us, and I/we fully understand: (i) the contents and effects of the Relevant Standing Authority; and (ii) I/we hereby authorise Funderstone Group to renew the Relevant Standing Authority at its absolute discretion. The Standing Authority (Client Securities) is applicable to the Margin Account and Futures Account Clients while it is not applicable to Clients who only hold a Cash Account. The Standing Authority (Client Money) is applicable to Clients with multiple accounts while it is not applicable to Clients holding one account only.
 本人(等)謹此知悉及確認, 已根據《交易賬戶條款及條件》內適用部分(“**適用常設授權**”), 授權Funderstone 集團處置本人(等)的金錢、證券、抵押品(其定義見《交易賬戶條款及條件》之相關章節/附表)及保證金(其定義見《交易賬戶條款及條件》之相關章節/附表)。本人(等)知悉及確認適用常設授權的內容及作用已獲清楚解釋, 而本人(等)亦完全明白(i)適用常設授權的內容及作用; 及(ii)本人(等)已授權Funderstone 集團有絕對的酌情權延續適用常設授權。常設授權(客戶證券)適用於保證金賬戶及期貨賬戶的客戶, 並不適用於只持有現金賬戶的客戶。常設授權(客戶款項)適用於持有有多於一個賬戶的客戶, 並不適用於只持有單一賬戶的客戶。

5. I/We acknowledge and confirm the Relevant Standing Authority is required to be renewed annually. I/We authorise Funderstone Group to renew the Relevant Standing Authority annually and I/we have the choice to reject the renewal. If no written objection is received by mail from me/us, it means I/we agree and accept the extension and to be bound by the renewed Relevant Standing Authority.
 本人(等)知悉及確認適用常設授權每年需延續一次。本人(等)授權Funderstone 集團每年延續適用常設授權, 本人(等)可提出反對。如Funderstone 集團未收到本人(等)書面反對, 則表示本人(等)同意及接受延續適用常設授權並繼續受其約束。
6. I/We will NOT create any charge, pledge or encumbrance over the whole or any part of the Account(s) when such Account(s) is/are held with Funderstone Group.
 本人(等)在Funderstone 集團擁有賬戶期限內不會對該(等)帳戶的整體或任何部分設置任何押記、質押或產權負擔。
7. I/We declare and confirm that all the information provided in this Account Opening Form is true, complete and correct and authorise Funderstone Group to confirm this from any source. Funderstone Group is entitled to rely on such information and representations for all purposes, unless and until Funderstone Group receives notice in writing from me/us of any change of the aforesaid information.
 本人(等)聲稱及確認, 所有填寫於本開戶表格的資料均屬真實, 完全及正確, 並授權Funderstone 集團可向任何方面查證。除非及直至Funderstone 集團接到本人(等)的書面通知變更提供的資料, 否則Funderstone 集團有權根據此等資料及聲明作一切用途。
8. I/We acknowledge and confirm that I/we have received, read and fully understood the Risk Disclosure Statements as set out in the relevant section(s)/schedule(s) of the "Terms and Conditions for Trading Account" in a language of my/our choice. I/We confirm that I/we have been invited to ask questions in writing and seek independent legal advice, and that I/we fully understood and accepted all the aforesaid Risk Disclosure Statements.
 本人(等)知悉及確認已收到一份按本人(等)選擇的語言的《交易賬戶條款及條件》之相關章節/附表內的風險披露聲明, 且本人(等)已閱讀及完全明白該風險披露聲明。本人(等)亦確認已獲邀請透過書面途徑提出問題及尋求獨立法律意見, 並確認本人(等)已完全明白及接受所有上述的風險披露聲明。
9. I/We have carefully considered the Risk Disclosure Statements as set out in the relevant section(s)/schedule(s) of the "Terms and Conditions for Trading Account" and recognize that trading in investment products involves a high degree of risk. I/We have considered my/our financial position and investment objective, I/we confirm that I am/we are financially able to assume such risks and to sustain any losses resulting from such trading and voluntarily confirm that trading in investment products is a suitable investment vehicle for me/us.
 本人(等)已仔細考慮《交易賬戶條款及條件》之相關章節/附表的風險披露聲明, 而且瞭解進行投資產品買賣所涉及之高風險。本人(等)已考慮到本人(等)的財務狀況及投資目標, 並確認本人(等)之財務狀況能承擔該交易帶來之風險和承受其帶來之任何損失, 亦自願確認買賣投資產品是一項對本人(等)合適的投資方式。
10. I/We acknowledge and confirm to trade derivative products with and through Funderstone Group unless otherwise ticked in the box below. I/We confirm and accept the explanation of risks in trading different derivative products provided by Funderstone Group. I/We clearly understand the risks that may be caused by trading these derivative products and agree to bear such risks, as well as to take responsibilities involved.
 除非本人(等)在下面方格內加上剔號 否則本人(等)知悉及同意與Funderstone 集團進行衍生產品買賣交易。本人(等)現確認及接受Funderstone 集團就有關交易各類衍生產品作出之風險解釋, 本人(等)清楚明白相關衍生產品所帶來的風險及同意承擔風險及責任。
- I/We will NOT trade derivative products with and through Funderstone Group. However, if I/we start trading derivative products with and through Funderstone Group, I/we acknowledge and accept the risks that may be caused by trading these derivative products and agree to bear such risks, as well as to take responsibilities involved.
 本人(等)不會在Funderstone 集團進行衍生產品買賣交易。如本人(等)日後決定通過Funderstone 集團進行衍生產品買賣交易, 即代表本人(等)知悉及接受相關衍生產品所帶來的風險及同意承擔風險及責任。
11. I/We acknowledge and confirm that I/we should pay attention to the announcement / notice promulgated on www.funderstonesec.com from time to time.
 本人(等)知悉及確認本人(等)應不時留意於www.funderstonesec.com刊載的公告及通知。
12. I am/We are hereby informed that Funderstone Group intends to use 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 Funderstone Group for the aforesaid services or products. Such personal data includes my/our name, contact details, financial background and statistical data which are provided to Funderstone Group under this Account Opening Form or obtained by Funderstone Group from time to time. I/We understand that I/we may, at any time, require Funderstone Group to cease to use my/our personal data for direct marketing through such channel prescribed by Funderstone Group. I/We acknowledge and accept the terms in the relevant section(s)/schedule(s) of the "Terms and Conditions for Trading Account" relating to the Personal Information Collection Statements.
 本人(等)現獲告知Funderstone 集團擬使用本人(等)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) Funderstone 集團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)在本開戶表格中不時向Funderstone 集團提供的或由Funderstone 集團不時獲得的姓名、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Funderstone 集團指定的渠道要求Funderstone 集團停止在直接促銷中使用本人(等)的個人資料。本人(等)知悉及同意《交易賬戶條款及條件》相關章節/附表內個人資料收集聲明。
13. I/We acknowledge and accept the terms in the relevant section(s)/schedule(s) of the "Terms and Conditions for Trading Account" relating to trading under Shanghai-Hong Kong Stock Connect/Shenzhen-Hong Kong Stock Connect (collectively referred to as "Stock Connect") through Funderstone Group. I/We understand and accept the risks relating to trading of A-Shares via the Northbound trading under Stock Connect through Funderstone Group and agree to bear such risks, as well as to take responsibilities involved.
 本人(等)知悉及同意《交易賬戶條款及條件》內相關章節/附表內有關通過Funderstone 集團進行滬港通及/或深港通之交易的相關條款。本人(等)明白及同意通過Funderstone 集團在滬港通及/或深港通的北向交易進行A股交易之的相關風險及責任。
14. I/We acknowledge and accept that if I/we conduct any trading of A-shares under Stock Connect through Funderstone Group, I/we acknowledge and accept the risks relating to trading of A-Shares under Stock Connect, agree to bear such risks, as well as to take responsibilities involved and agree to Funderstone Group's use of my/our personal data in such relation.
 本人(等)知悉及同意, 如本人(等)日後通過Funderstone 集團在滬港通及/或深港通下進行A股交易, 即代表本人(等)知悉及接受滬港通及/或深港通下進行A股交易所帶來的風險及同意承擔風險及責任, 並同意Funderstone 集團就此使用本人(等)之個人資料。
15. I/We hereby declare that my signing in the signature column herein below indicates that I/we have already fully read, confirmed, agreed,

accepted, understood and am/are willing to comply with All Those Terms (including all the relevant contents and provisions of this Account Opening Form, "Acknowledgement by Client", the relevant section(s)/schedule(s) of the "Terms and Conditions for Trading Account") and the Risk Disclosure Statements as set out the "Terms and Conditions for Trading Account". In relation to all the above-mentioned contents and provisions, I/we have been invited to seek independent legal advice and have also understood and accepted all the contents and provisions.

本人(等)茲聲明, 本人(等)於下列簽署欄內簽署, 表示本人(等)已完全細閱、確認、同意、接受、明白及願意遵守該等條款(包括本開戶表格內各項之所有內容、《客戶守則》、《交易賬戶條款及條件》之相關章節/附表)及《交易賬戶條款及條件》內的風險披露聲明之所有內容和細則。關於上述各項所有內容和細則, 本人(等)已獲邀請尋求獨立法律意見, 並完全明白及接受所有其內容和細則。

16. Subject to applicable local laws, I/we hereby consent for Funderstone Group (or any of its local or oversea subsidiaries) to disclose, report, or share my/our information with local and overseas regulators or tax authorities where necessary to establish my/our tax liability in any jurisdiction. 在不抵觸當地適用的法律的情況下, 本人(等)特此同意Funderstone 集團(或任何其本地及海外附屬公司)可向本地及海外監管機構或稅務機構披露、呈交或提供本人(等)資料以確立本人(等)於任何司法管轄區的稅務責任。
17. Where required by local or overseas regulators or tax authorities, I/we consent and agree that Funderstone Group (or any of its local or oversea subsidiaries) may withhold from my/our Account(s) such amounts as may be required according to applicable laws, regulations and directives. 因應本地及海外監管機構或稅務機構的要求, 本人(等)同意並准許Funderstone 集團(或任何其本地及海外附屬公司)可按適用的法律、法規和指令在本人(等)賬戶中扣留所須的相關款項。
18. I/We undertake to fully cooperate with Funderstone Group to ensure it meets its obligations under applicable laws, regulations and directives in connection with my/our Account(s). 本人(等)承諾會與Funderstone集團充分合作, 以確保Funderstone 集團就處理與本人(等)賬戶相關的事宜會符合適用的法律、法規和指令。
19. If there is any inconsistency between the Chinese and English versions of this Account Opening Form, the English version shall prevail. 本開戶申請表之中英文本如有歧義, 概以英文本為準。

CONFIRMED, AGREED AND SIGNED BY CLIENT 茲由客戶確認、同意並簽署:

Signature of *Sole/Primary/Joint Applicant *獨名/主要/聯名申請人簽署

**Please delete as appropriate 請刪去不適用者*

Name 姓名: _____

Date 日期: _____

Signature of Witness 見證人簽署

(To be certified by a person licensed or registered with the SFC or his affiliate, an affiliate of Funderstone Group, professional person, such as a branch manager of a bank, certified public accountant, lawyer or notary public. 由香港證監會發牌或註冊之人士或其聯繫人士、Funderstone 集團聯繫人士、專業人士(例如: 銀行分行經理、執業會計師、律師或公證人)核證。)

I, named below, hereby certify that I have met and identified each of the person(s) who executed this Account Opening Form before me, and reviewed his/her/their original identification document(s). 本人(姓名見下)核證已經與本開戶表格簽署人會晤及核對其身份證明文件正本, 而且該等簽署人已在本本人面前簽署本開戶表格。

Name 姓名: _____ Qualifications 資格: _____

Signature of Witness

見證人簽署: _____

Date 日期: _____

Declaration from Staff 職員聲明 (to be completed by staff of Funderstone Group 此欄由 Funderstone 集團職員填寫)

Risk Disclosure Statements 風險披露聲明

I have clearly explained the Risk Disclosure Statements as set out in the "Terms and Conditions for Trading Account" in a language of the Client's choice and have also invited and suggested the Client to ask questions and to seek independent legal advice.

本人已根據客戶所選擇的語言向其提供及解釋《交易賬戶條款及條件》內的風險披露聲明，並已邀請及建議客戶就其內容和細則提出問題及尋求獨立法律意見。

Name of Staff 職員姓名: _____ Position 職位: _____

Staff's CE No. 職員中央編號: _____

Signature of Staff

職員簽署: _____ (signed by LR 由持牌人士簽署)

Date 日期: _____

For Funderstone Group's Use Only
Funderstone 集團專用

Base on the information provided by Client in this Account Opening Form, we are **satisfied** that the Client meets Funderstone Group's requirements for account opening and has provided valid KYC documents.

基於客戶在此開戶表格中提供的資料，我們已**信納**客戶已符合 Funderstone 集團的開戶要求，而且客戶已提供有效的「認識您的客戶」文件。

LR's Signature

持牌人士簽署

LR's Name / CE No.

持牌人士姓名 / 中央編號

Team / Dept

組別 / 部門

Date

日期

Endorsed by Responsible Officer 由負責人員批核:

Approve 批准

Reject 否決

Responsible Officer's Signature

負責人員簽署

Responsible Officer's Name

負責人員姓名

Team / Dept

組別 / 部門

Date

日期