Account Opening Form – Joint Account (Continuation)

開戶表格 - 聯名帳戶 (附頁)

1	Secondary Joint Account Holder Information 聯名帳户第二持有人資料

□ Mr. 先生 □ Ms. 女士 Marital Status 婚姻狀況:

Name in English 英文姓名	Last Name or Surname 姓氏________________ First or Given Name 名字________________				
Name in Chinese 中文姓名				Date of Birth 出生日期 (日 DD/月 MM/年 YYYY)	
Place of Birth 出生地點		ID/Passport No. 身份證/護照號碼		Nationality 國籍	

Current Residential Address 現時住宅地址 (P.O. Box is not accepted. 不接受郵政信箱)

Room /Floor/ Building/ Street/ District 室 / 樓層 / 大廈 / 街道 / 地區 ________________

City 城市 ________________

Province / State 省 / 州 ________________

Country 國家 ________________

Post Code/ZIP Code 郵政編碼/郵遞區 ________________

Correspondence Address (if different from above) 通訊地址 (如與以上有異)

Room /Floor/ Building/ Street/ District 室 / 樓層 / 大廈 / 街道 / 地區 ________________

City 城市 ________________

Province / State 省 / 州 ________________

Country 國家 ________________

Post Code/ZIP Code 郵政編碼/郵遞區 ________________

Home Tel No. 住宅電話號碼 ________________ Mobile Phone No. 手提電話號碼 ________________

Wechat ID No. 微信帳號 ________________ Email Address 電郵地址 ________________

2	Employment Status 就業情況

□ Full time 全職 □ Part time 兼職 □ Self-Employed 自僱 □ Retired 退休 □ Housewives 家庭主婦 □ Others 其他

Name of Employer / Company (if self-employed, please fill in the nature of business) 僱主 / 公司* (若自僱，請填行業名稱)

____

Office Address 公司地址 ________________ Post Code 郵政編號 ________________

Occupation/Business Nature 職業/業務性質 ________________ Position 職位 ________________ Years with Employer 服務年期 ________

Office Tel. No.公司電話號碼 ________________ Office Fax No. 公司傳真號碼 ________________

3	Education Level 教育程度

□ Primary 小學 □ Secondary 中學 □ Tertiary Education 大專 □ University or Above 大學或以上 □ Professional Qualification 專業資格

□ Others 其他 (Pls. specify 請說明): ________________

4	Financial Profile 財務狀況		
Annual Income (HKD) 每年收入 (港幣)	□ $200,000 or Less 或以下 □ $1,000,001 - $1,500,000	□ $200,001 - $500,000 □ $1,500,001 - $2,000,000	□ $500,001 - $1,000,000 □ Above $2,000,000 以上
Source of Income (HKD) 收入來源 (港幣)	□ Salary 薪金 □ Interest Income 利息收入	□ Business Profit 業務收益 □ Rent 租金	□ Commission 佣金 □ Others 其他 ________
Net Asset Value (HKD) 資產淨值 (港幣)	□ $1,000,000 or Less 或以下 □ $10,000,001 - $15,000,000	□ $1,000,001 - $5,000,000 □ $15,000,001 - $20,000,000	□ $5,000,001 - $10,000,000 □ Above $20,000,000 以上
Ownership of Residence 住宅業權	□ Living with Family 與家人同住 □ Rented 租用	□ Mortgaged 已按揭 □ Others 其他 ________	□ Owned 自置
Amount of Liquidity for Investment at Account Opening 開戶時可用作投資的流動資產	□ $1,000,000 or Less 或以下 □ $10,000,001 - $15,000,000	□ $1,000,001 - $5,000,000 □ $15,000,001 - $20,000,000	□ $5,000,001 - $10,000,000 □ Above $20,000,000 以上
Source of Funds 投資資金來源	□ Salary 薪金 □ Interest 利息 □ Others 其它: ________	□ Commission 佣金 □ Pension 退休金	□ Rent 租金 □ No 沒有
Origin of Funds 資金來源地	□ Hong Kong 香港 □ Others (please specify) 其他(請說明):	□ Mainland China 中國內地 ________________	

5	Anticipated Level of Trading Activity in the Account 預計在本戶口的交易量及投資產品
Transaction amount per month (HKD)每月交易金額 (港幣)	□ < $500,000 □ >$500,000
Investments Products 投資產品	□ Stocks 股票 □ Derivative Products 衍生產品 □ Mutual funds or Bonds 單位信托基金或債券

6	Investment Objective 投資目標

□ Stable Growth 平穩增長 □ Balance Growth 均衡增長 □ High Growth 高速增長 □ Hedging 對沖 □ Speculative 投機

7	Investment Experience (can choose more than one) 投資經驗 (可選多於一項)

Product 產品	Experience (in Terms of Year) 經驗 (以年計算)					
	Nil 無	< 1	1 – 3	3 – 5	5 – 10	>10
Stocks 證券						
Structured and derivative product 結構性及衍生產品						
Bond / Fund 債券 / 基金						
Others 其他 ________________________						

8	Derivatives Knowledge 衍生工具知識

(i) Do you have Derivatives Knowledge 您有沒有衍生產品知識? □ Yes 有 □ No 沒有

(ii) If yes, how do you acquire the relevant knowledge of derivatives? 如有，您如何獲得有關衍生工具知識?

- □ I have trading experience in any kinds of derivatives products, for example at least 5 transactions of any derivatives products in the past three years. 我擁有曾買賣衍生產品的經驗，例如最少在過去3年內進行5次或以上任何類別的衍生產品交易。
- □ I have undergone training or attended courses on derivatives products. 我曾接受有關衍生產品的培訓或修讀相關課程。
- □ I have working experience involved in derivative. 我擁有涉及衍生產品的工作經驗。
- □ Others 其他 ____

For clients do not have any of the above-mentioned knowledge and experience, such clients will be considered as without knowledge of structured and / or derivatives product(s). Before trading in structured and/ or derivative product(s), the Client has read and understood the risks disclosure statements of Derivatives traded on Exchange included in the Client Account Agreement and agree to bear the risks involved. 如客戶沒有以上任何一項經驗及認識，客戶將被視作沒有結構性及/或衍生工具產品認識。在客戶買賣結構性及/或衍生工具產品之前，客戶就此確認已閱讀及理解包括於證券帳戶協議中有關在交易所買賣的衍生產品的風險披露聲明，並同意承擔有關風險。

9	Risk Tolerance 風險承受程度		
Annual volatility of investment portfolio 投資組合按年所承受波幅	□ Aggressive 高	□ Moderate 中	□ Conservative 低

10	Self-Certification of U.S. Resident / Citizen 美國居民/公民自我證明	
(i)	Are you a U.S. tax resident? 您是否美國稅務居民?	□ Yes 是 □ No 不是
(ii)	Are you a U.S. citizen? (If you hold multiple citizenships, tick "**Yes**" if one of them is U.S.) 您是否美國公民 (如您持有多重國籍身份而其一是美國國籍, 請回答"**是**")	□ Yes 是 □ No 不是

11	Self-Certification of Common Reporting Standard 共同匯報標準自我證明

Please complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder's Taxpayer Identification Number ("TIN") for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence. 請提供以下資料，列明 (a) 帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區（香港包括在內）及(b)該居留司法管轄區發給帳戶持有人的稅務編號。請列出所有(不限於 5 個）居留司法管轄區。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. If a TIN is unavailable, provide the appropriate reason A, B or C: 如帳戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。如沒有提供稅務編號，必須填寫合適的理由：

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

理由 A – 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

Reason B – The account holder is unable to obtain a TIN. Please explain why the account holder is unable to obtain a TIN if you have selected this reason.

理由 B – 帳戶持有人不能取得稅務編號。如選取這一理由，請解釋帳戶持有人不能取得稅務編號的原因。

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

理由 C – 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。

	Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	Please enter Reason A, B or C if no TIN is available 如沒有提供稅務編號，請填寫理由 A、B 或 C	Please explain why you are unable to obtain a TIN if you have selected Reason B 如選取理由 B，請解釋帳戶持有人不能取得稅務編號的原因
1			□ A □ B □ C	
2			□ A □ B □ C	
3			□ A □ B □ C	
4			□ A □ B □ C	
5			□ A □ B □ C	

Under the subsection of Client Tax Residence and Self-certification: 就客戶稅務居民身份及自我證明之分部:

- I/we acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution 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).
- 本人/吾等知悉及同意，財務機構可根據《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)把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局；
- I/we undertake to advise MISL of any change in circumstances which affects the tax residency status of the individual identified in Section B of this Account Opening Form or causes the information contained herein to become incorrect, and to provide MISL with a suitably updated self-certification form within 30 days of such change in circumstances.
- 本人/吾等承諾，如情況有所改變，以致影響本開戶表格 B 部所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人/吾等會通知新質證券，並會在情況發生改變後 30 日內，向新質證券提交一份已適當更新的自我證明表格。

12	Disclosure of Identity 身份披露
(i)	Are you the ultimate beneficial owner(s) of the Account(s)? 閣下是否帳戶的最終實益擁有人? □ Yes 是 □ No, detail of the ultimate beneficial owner is (if more than one, please specify on an additional paper): 否，帳戶最終實益擁有人是 (如多於一位，請另說明):

Name of ultimate beneficial owner 最終實益擁有人姓名	HKID/Passport No 香港身份證 / 護照號碼	Place & Date of Birth 出生地點及日期	Nationality 國籍	Phone No. 電話號碼

Residential Address 住址	Relationship with account holder(s) 與帳户持有人的關係

(ii)	Are you ultimately responsible for originating instructions for the Account(s)? 閣下是否此帳戶進行交易的最終負責發出指示人士？ □ Yes 是 □ No, detail of the person ultimately responsible for originating instructions is (if more than one, please specify on an additional paper) : 否，帳戶進行交易的最終負責發出指示人士是(如多於一位，請另說明):

Name of ultimate responsible for giving instructions 最終負責發出指示人士姓名	HKID/Passport No 香港身份證 / 護照號碼	Place & Date of Birth 出生地點及日期	Nationality 國籍	Phone No. 電話號碼

Residential Address 住址	Relationship with account holder(s) 與帳户持有人的關係

(iii)	Is the Client or any other person referred to hereof a senior officer or director or in control of any company whose shares are traded on any exchange or market? 本文提述之客戶或任何人士，是否任何公司之高級行政人員或董事或控制任何公司之人士，而該司之股份在交易所或市場買賣？ □ No 不是 □ Yes, please specify 是，請說明: ____________________
(iv)	Is the Client or any other person referred to hereof an employee of a Licensed/Registered Person under the Securities and Futures Commission or an Exchange Participant? If yes, please attach a consent letter from the employer. 本文提述之客戶或任何人士，是否證監會持牌 / 註冊人士或聯交所參與者的職員？如回答是，請提供僱主同意書。 □ No 不是 □ Yes, please specify 是，請說明: ____________________
(v)	Is the Client or any other person referred to hereof a relative of any director or employee of MISL or any of its subsidiaries? 本文提述之客戶或任何人士，是否新質證券或其附屬公司之任何董事或僱員之親屬？ □ No 不是 □ Yes, please specify 是，請說明: ____________________

13	Use of Personal Data in Direct Marketing Consent Letter 使用個人資料作直接促銷同意書

I/we hereby confirm that I/we have understood personal information collection statement. I/we understand that it is not obligatory for me/us to allow my/our personal data to be used for direct marketing, that I/we may opt-out now by checking the relevant box or boxes below, and that the Broker cannot use or provide my/our personal data for direct marketing by itself or other parties without receiving my/our written consent. I/we agree that the instruction below overrides any choice communicated by me/us to the Broker prior to this request.

本人/吾等確認，本人/吾等已了解新質證券的個人資料收集聲明。本人/吾等了解，本人/吾等並無責任容許用本人 / 吾等的個人資料作直接促銷用途，本人/吾等現在可以 ✓ 號選擇以下一個或多個相關空格，以拒絕使用 / 提供個人資料作直接促銷，在未取得本人/吾等的書面同意前，經紀不得使用或提供本人/吾等的個人資料以供其本身或其他人士作直接促銷之用。本人/吾等同意，下列指示凌駕於本人/吾等在提出本要求前向經紀傳達的任何選擇。

☐ I/we do not wish to have my/our personal data used for direct marketing purposes and do not want to receive any marketing communications from the Broker, or any other persons. 本人/吾等不希望本人/吾等的個人資料被使用作直接促銷用途，亦不希望收到經紀或任何其他人士發出的任何促銷通訊。

☐ I/we do not wish the Broker to provide my personal data to other persons for their use in direct marketing under any circumstances. Please advise any third parties to whom my personal data have been provided for direct marketing purposes that they may no longer use these data for direct marketing, if applicable.

本人/吾等無論如何不希望經紀向他人提供本人/吾等的個人資料以供彼作直接促銷用途。如有任何第三者獲提供本人的個人資料作直接促銷用途，請告知該第三者等不得再使用該等資料作直接促銷（如適用）。

Account Operation Arrangement (For Joint Account Only) 帳戶操作安排 (只適用於聯名帳戶)		
□ Any one of the signatories signing alone shall be valid. 任何一個簽名均有效	□ All signatories signing jointly shall be valid 所有簽名聯簽才有效。	□ Others, please specify 其他, 請說明 ____________________

請於最適當的選擇加上"✓"。 Please "✓"on the most appropriate choice. ** 刪除不適用。*Delete if not applicable*