

## PLUTUS SECURITIES LIMITED

## 貝德斯證券有限公司

Account No(s) 帳戶號碼:	
Date 日期:	

Office: 8/F., 80 Gloucester Road Wanchai, Hong Kong

辦公地址: 香港灣仔告士打道 80 號 8 樓

Tel 電話: (852) 2968 1192 Fax 傳真: (852) 2968 5560 Fermail 雷郵· info@plutusfingroup.com Licensed Corporation with the Securities and Future Commission ("SFC") (CE No. BNJ530) and Exchange Participant of The Stock Exchange of Hong Kong Ltd.

為證券及期貨事務監察委員會("證監會")註冊之持牌法團 (CE 編號 BNJ530)及香港聯合交易所有限公司參與老。

E-mail 電郵: info@plut	usfingroup.com		海河 BNJ3.	50) 及省港聯合义易所有限公司参兴有。	
ACCOUNT TYPE	帳戶種類				
Type of Account 帳戶類類	ype of Account 帳戶類別: ☐ Securities Cash Account 證券帳戶 ( 現金 ) ☐		Securities N	purities Margin Account 孖展帳戶( 保證金)	
Entity of Client 客戶身份	: Individual Acc	ount 個人帳戶	☐ Joint Accou	nt 聯名帳戶	
Internet Trading 網上交易	易帳戶 □ Yes 是		□ No 否		
PRIMARY CLIEN	「INFORMATION 第一名	客戶資料			
Title 客戶稱謂:	Mr. 先生	□ Mrs. 太太			
Name in English 英文名	稱		Name in Chinese 中文	名稱	
Nationality 國籍	Place of Birth 出生地點	Date of Birth 出生日期 (DD 日/MM 月/YYYY 年)	ID No. / Passport No.	身份證 / 護照號碼	
Residential Address 住宅	地址				
Correspondence Address	通訊地址			Same as above Residential Address 與上述住宅地址相同	
Residential Tel. No. 住宅	電話	Mobile Phone No. 手提電話	Office	· Tel. No. 辦公室電話	
( )		( )	(	)	
E-mail Address 電郵地址	:	1	Facsir (	nile No. 傳真號碼 )	
CCASS Investor Account	Name & No. 中央結算投資者的	長戶名稱及號碼			
METHOD OF COM	IMUNICATION 通訊方法	<u></u>			
□ By E-mail 電子郵件		<u> </u>			
□ By Mail 郵遞 □ Correspondence Address 通訊地址					
若客戶選擇透過居住地 ** Mailing Services only app	止或通訊地址接收交易確認通知書或	Address or Correspondence Address fo 対帳戶結單,將收取每月五十元服務費 st Account Holder for the Joint Account		ation statements.	
EMPLOYMENT ST	「ATUS 就業情況				
□ Full time 全職 □	Part time 兼職 🗌 Self-Emplo	yed 自僱 🗌 Retired 退休 🗀	Housewife 家庭主婦	□ Others 其他:	
Name of Employer / Self-	employed Company 僱主名稱	/ 自僱公司名稱			
Position 職位			Yea	r(s) with Employer 任職年期	
Address of Employer / Se	elf-employed Company 僱主地址	・/ 白僱公司协协	Nat	ure of Business 業務性質	

FINANCIAL PROFIL Source of Income 收入來源	E 財務狀況					
Source of Income 收入來源  Source of Income 收入來源  Source of Income 收入來源  Rent 租金 Other 其它:						
Estimated annual income (in		Commission [ff32.	Rent	1ETT CHIEF THE	_·	
☐ HK\$ 200,000 or Less 以	,	\$500,000	HK\$500,001 - H	K\$1,000,000	pove HK\$1,000,000 以上	
Property 物業						
		gage 按揭	Living with Fam	ily 與家人同住	Other 其它:	
Amount of Net Current Asset						
☐ HK\$1,000,000 or Less 或	以下	5,000,000  HK\$	5,000,001 - HK\$	10,000,000	K\$10,000,000 以上	
	CTIVE AND PROFILE 投	資目標及經驗				
Investment Objective 投資目						
	peculative 投機	/	to Long-term 中· 一項)	長線 Uthers 其它		
Securities 證券	□ less 1 year 少於一年	☐ 1-5 years —		6-10 years 六至十年	□ over 10 years 多於十年	
Futures 期貨	□ less 1 year 少於一年	☐ 1-5 years —3	至五年 □	6-10 years 六至十年	□ over 10 years 多於十年	
CBBC 牛熊證	□ less 1 year 少於一年	☐ 1-5 years —	至五年 □	6-10 years 六至十年	□ over 10 years 多於十年	
Warrant 衍生權證(窩輪)	□ less 1 year 少於一年	☐ 1-5 years —	至五年 🗆	6-10 years 六至十年	□ over 10 years 多於十年	
Option 期權	□ less 1 year 少於一年	☐ 1-5 years —3	至五年 🗆	6-10 years 六至十年	□ over 10 years 多於十年	
Fund 基金				□ over 10 years 多於十年		
Knowledge of Derivati	ves Products 衍生產品知識	¥1)				
Knowledge of Derivatives Products 衍生產品知識         1. Dose the Client have general knowledge of derivatives products?       □ Yes 有         客戶有沒有衍生產品知識?       □ No 無						
2. The Client has executed at least 5 or more transactions in derivative products within the past three years? ☐ Yes 有 ☐ No 無 客戶在過去三年內擁有五次或以上的買賣衍生產品經驗?						
3. Does client ever attended any courses or seminars on structured or derivative product(s)? ☐ Yes 有 ☐ No 無 客戶曾否接受有關結構性或衍生產品的培訓或相關課程?						
4. Does client have any working experience related to derivative product(s)? □ Yes 有 □ No 無 客戶現時或過去有否從事與衍生產品有關的工作?						
CIEVEDI ENVIENTE DANIE			: 二次心			
Unless otherwise instructed by the money will be credited to	ACCOUNT INFORMAT y the Client in writing, in case the the below Client's Designated Ba 客戶指示貝德斯證券有限公司	Client instructs Plutu ink Account :	s Securities Limi	, , , , ,	h balance in the Account to the Client, 三以下的指定銀行戶口:	
Currency	Name of B	ank	Bank Acc	count No.	Name of Account Holder	
貨幣 	銀行名種	<b></b>	銀行帳	尸號碼	銀行帳戶名稱	
CNY 人民幣						
USD美元						
050 天儿						

DISCLOSURE 相關抽	皮露			
Are you the ultimate benefic 客戶是否此帳戶的最終權法	cial owner(s) in relation to the Account? 益擁有人?		□ Yes 有	□ No 否
Are you an employee of a lie 客戶是否根據(證券及期)	e of a licensed corporation under the Securities and Futures Ordinance? 券及期貨條例)登記之持牌法團之註冊之人士?		Licensed Corpor	□ Yes 是,Please provide Information 請提供資料 ate Name 持牌法團名稱 CE No. 中央編號
Are you related to any director(s) or employee(s) of Plutus Securities Limited or related		□ No 否 □ Yes 是,Staff Name 職員名稱  Relationship 關係		
Securities Limited?	control 35% or more of the voting rights or 控制貝德斯證券有限公司任何客戶的 3.	•	□ No 否□ Yes 是,Ple	ase provide related information 請提供相關資料
Related Information 相關的	長戶資料			
Name of Account 帳戶名	稱	Account No. 帳戶	號碼	Relationship 關係
FATCA Self-certificat Are you a U.S. tax resident? Are you a U.S. citizen? 客戶	客戶是否是有納稅義務的美國居民?			omplete the Form W-9. 請另外提交 W-9 表格) omplete the Form W-9. 請另外提交 W-9 表格)
Individual Tax Reside	ncy Self-Certification 個人稅務居	民自我證明		
Please complete the following	ng table indicating 提供以下資料:			
帳戶持有人的居留司 ◆ the account holder's T 該居留司法管轄區發	dence (including Hong Kong) where the ac 法管轄區,亦即帳戶持有人的稅務管轄 IN for each jurisdiction indicated. Indicate 給帳戶持有人的稅務編號。列出所有(7	區(香港包括在內)及 : all (not restricted to fiv 下限於 5 個)居留司法	e) jurisdictions of r 管轄區。	
如帳戶持有人是香港稅務原	resident of Hong Kong, the TIN is the Ho 居民,稅務編號是其香港身份證號碼。 ide the appropriate reason A, B or C:	ng Kong Identity Cald I	vuinoer.	
如沒有提供稅務編號,必須	頂填寫合適的理由A, B或 C:		da TD	T. 4. : i : i l 4.
	jurisdiction where the account holder is a 1 持有人的居留司法管轄區並沒有向其居		does not issue TIN	to to testucins.
	account holder is unable to obtain a TIN. I 持有人不能取得稅務編號。如選取這一			obtain a TIN if you have selected this reason. 號的原因。
	is not required. Select this reason only if th 持有人毋須提供稅務編號。居留司法管			
Jurisdiction of Residence 居留司法管轄區	TIN Code 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 T if you have selected Reason B 如選取理由 B,請解釋帳戶持有人不能取得務編號的原因		
			B □ C	

## Declaration for Data Protection 個人資料保障聲明

I/We hereby declared that all information contained in this Account Opening Form is true, accurate and complete. I/We agreed that Plutus is entitled to rely fully on such information and representations for all purposes. The Client is required to fill in the form ("Change of Client Information") immediately after any material changes to the information contained in this Account Opening Form. Plutus is authorized at any time to contact anyone, including banks, brokers or any credit agency, for the purpose of verifying the information provided on this Account Opening Form.

客戶確認本開戶表的資料均屬真實、正確及完整,並同意貝德斯可以運用這些資料及陳述作適當用途。如客戶資料有任何變更,客戶需立即填妥貝德斯提供的《更改客戶資料表》並盡快交回。貝德斯被客戶授權可於任何時間聯絡任何人,包括客戶的銀行、經紀等或任何信貸機構,藉以確定及查證本開戶表內的所有資料。

Plutus Securities Limited intends to use client personal data in direct marketing, Such personal data includes the name, contact details, financial background and statistical data which are provided to Plutus under this Account Opening Information Form or obtained by Plutus from time to time. Plutus proposes to obtain your consent

本人/吾等同意貝德斯向本人/吾等發放關於財務、保險、證券、投資的服務和產品的推廣資料。本人/吾等亦同意貝德斯及其集團公司分享本人/吾等的個人資料作促銷用途。本人/吾等亦明白和接受貝德斯及其集團公司可能不時聘請第三方代表貝德斯及其集團公司提供直接促銷服務,除非本人在下方表示反對:

□ I/We object to the Plutus use or transfer, whether for gain or not, of all kinds of my/our personal data to all classes of data transferees, for direct marketing of all classes of marketing subject.

本人/吾等反對貝德斯使用或轉移,不論是否為得益,本人/吾等所有個人資料的種類,給予所有資料承轉人的類別以用 作所有促銷產品/服務/設施的類別的直接促銷用途。

## CLIENT ACKNOWLEDGEMENT AND DECLARATION 客戶確認及聲明

I/We the undersigned Client(s), confirm that prior to usage of any of Plutus Securities Limited service(s), have read, understood and agreed to be bound by all the relevant terms and conditions stated in the provisions of the current version of the relevant Securities Trading Agreement and acknowledge receipt of a copy and understand that I/we can download the relevant agreements from Plutus Securities Limited's website. This document forms part of relevant Agreement(s). I/We hereby apply to open the account(s) that I/we prefer which indicated a tick in the box(es) in the "Account Type" section and agree to be bound by the Agreement(s) including its General Terms and Conditions and all relevant Schedule(s) as the same may be amended from time to time.

本人/吾等,下述簽署此部份,明白使用任何貝德斯證券有限公司之服務前,當已閱讀、明白及接受由貝德斯證券有限公司所提供的所有有關最新版本的相關證券交易協議書的章則條款,並已收到有關條款乙份並明白可從貝德斯證券有限公司網站中下載有關條款。而本文件乃相關協議書的一部份。該本人/吾等現申請開立在「帳戶類別」方格中顯示出剔號的相關帳戶,並同意接受可不時被修改的該協議書包括其一般條款及通用附表所約束。

Primary Client Signature 第一客戶簽署	Secondary Client Signature 第二,客戶簽署
	Witness Signature 見證人簽署

(1)	The Client has been provided with a risk disclosure statement in the language of their choice (either English or Chinese).
	職員已根據客戶所選擇的語言(英語或粵語)提供及解釋風險聲明。
(2)	The Client was invited to read the risk disclosure statement, to ask questions and take independent advice as they wish.
	客戶已確認獲附於本表之風險披露聲明,並提出問題及徵求獨立的意見(如客戶有此意願)。

Staff Signature 職員簽署
Staff Name 職員姓名 \_\_\_\_\_\_\_(CE No. \_\_\_\_\_)

RISK DISCLOSURE 風險聲明

Account Opening Approved by 開戶審核批准 Account Opening Approved by
同意及接納 Approved and Accepted by
Signature of Responsible Officer 負責人員簽署
Name of Responsible Officer 負責人員姓名( CE No)
Date 日期
Date 日期

For Internal Use only			
AE Code 經紀	Input	Checked	
	Date	Date	
Credit/Trading Limit & Con	nmission 信貸/交易限額及佣	金	
Max. Credit/Trading Limit	最高信貸/交易額	Commission Charges 佣金	<b>企</b> 收費
HKD		Commission Rate :	<u>%</u>
		Minimum : HKD_	
Comments 意見			

SECONDARY CLIENT INFORMATION 第二客戶資料					
Title 客戶稱謂: □ Mr. 先生 □ Ms. 女士 □ Mrs. 太太					
Name in English 英文名稱			Name in Chines	e 中文名稱	
Nationality 國籍 P	lace of Birth 出生地點	Date of Birth 出生日期 (DD 日/MM 月/YYYY 年)	ID No. / Passpor	rt No. 身份證 / 護	照號碼
Residential Address 住宅地址					
Correspondence Address 通言	R.地址			Same as ab 與上述住年	ove Residential Address E地址相同
Residential Tel. No. 住宅電記	£	Mobile Phone No. 手提電話		Office Tel. No. 辦	公室電話
E-mail Address 電郵地址				Facsimile No. 傳	真號碼
EMPLOYMENT STAT	TUS 就業情況				
☐ Full time 全職 ☐ Part	time 兼職 🗌 Self-Employ	ed 自僱 🗌 Retired 退休 🗌	Housewife 家庭	注婦 □ Others 扌	其他:
Name of Employer / Self-emp	oloyed Company 僱主名稱 /	自僱公司名稱			
Position 職位				Year(s) with Em	ployer 任職年期
Address of Employer / Self-employed Company 僱主地址 / 自僱公司地址 Nature of Business 業務性質				ess 業務性質	
FINANCIAL PROFILI	E <b>財務狀況</b>				
Source of Income 收入來源	usiness Profit 業務收入	□ Commission 佣金	□ Rent 租金	□ Other 其它	:
Estimated annual income (in HKD)					
□ HK\$ 200,000 or Less 以下 □ HK\$200,001 - HK\$500,000 □ HK\$500,001 - HK\$1,000,000 □ Above HK\$1,000,000 以上					
Property 物業					
□ Rented 租用 □ Self-owned 自置 □ Mortgage 按揭 □ Living with Family 與家人同住 □ Other 其它: Amount of Net Current Asset Value 淨流動資產值					
□ HK\$1,000,000 or Less 或以下 □ HK\$1,000,001 - HK\$5,000,000 □ HK\$5,000,001 - HK\$10,000,000 □ Above HK\$10,000,000 以上					
INVESTMENT OBJECTION Investment Objective 投資目		投資目標及經驗			
		term 短線	term 中長線	□ Others 其它 _	
Investment Profile (Available	to choose more than one optic	n) 投資經驗 (可選多於一項)			
Securities 證券	□ less 1 year 少於一年	□ 1-5 years 一至五年	☐ 6-10 yea	ars 六至十年	□ over 10 years 多於十年
Futures 期貨	□ less 1 year 少於一年	□ 1-5 years 一至五年	☐ 6-10 yea	ars 六至十年	□ over 10 years 多於十年
CBBC 牛熊證	□ less 1 year 少於一年	□ 1-5 years 一至五年	☐ 6-10 yea	ars 六至十年	□ over 10 years 多於十年
Warrant 衍生權證(窩輪)	□ less 1 year 少於一年	□ 1-5 years 一至五年	☐ 6-10 yea	ars 六至十年	□ over 10 years 多於十年
Option 期權	□ less 1 year 少於一年	□ 1-5 years 一至五年	☐ 6-10 yea	ars 六至十年	□ over 10 years 多於十年
Fund 基金	□ less 1 year 少於一年	□ 1-5 years 一至五年	☐ 6-10 yea	ars 六至十年	□ over 10 years 多於十年

Knowledge of Derivatives Products 衍生產品知識				
<ol> <li>Dose the Client have general knowledge of derivatives products 客戶有沒有衍生產品知識?</li> </ol>				
2. The Client has executed at least 5 or more transactions in deriva 客戶在過去三年內擁有五次或以上的買賣衍生產品經驗?	tive products within	the past three years?	□ Yes 有 □ No 無	
3. Does client ever attended any courses or seminars on structured 客戶曾否接受有關結構性或衍生產品的培訓或相關課程?	or derivative produc	t(s)?	☐ Yes 有 ☐ No 無	
4. Does client have any working experience related to derivative p 客戶現時或過去有否從事與衍生產品有關的工作?	roduct(s)?		☐ Yes 有 ☐ No 無	
DVG GV G GVVD VI LIVER LLL				
DISCLOSURE 相關披露  Are you the ultimate beneficial owner(s) in relation to the Account?				
Are you the ultimate beneficial owner(s) in relation to the Account? 客戶是否此帳戶的最終權益擁有人?		☐ Yes 有	□ No 否	
Are you an employee of a licensed corporation under the Securities and Ordinance? 客戶是否根據(證券及期貨條例)登記之持牌法團之註冊之人士?	Futures	Licensed Corporate	Yes 是,Please provide Information 請提供資料 Name 持牌法團名稱 CE No. 中央編號	
Are you related to any director(s) or employee(s) of Plutus Securities	Limited or related	□ No 否		
company?	Limited of Telated	☐ Yes 是,Staff	Name 職員名稱	
客戶是否與貝德斯證券有限公司或其相關公司人士有關連?		Relationship 關係		
Do you and/or your spouse control 35% or more of the voting rights of a	any Client of Plutus			
Securities Limited? 客戶及/或客戶之配偶是否控制貝德斯證券有限公司任何客戶的359	•	□ No 否		
Name of Account 帳戶名稱	Account No. 帳	l	e provide related information 請提供相關資料  Relationship 關係	
FATCA Self-certification 自我認證				
Are you a U.S. tax resident? 客戶是否是有納稅義務的美國居民?	□ No 否	☐ Yes 有 (please co	omplete the Form W-9. 請另外提交 W-9 表格)	
Are you a U.S. citizen? 客戶是否是美國公民 ?			omplete the Form W-9. 請另外提交 W-9 表格)	
The four to it. Called A. Petite Complete the Form with the four to it. The four to it. Called A. Petite Complete the Form with the four to it. Called A. Petite Complete the Form with the four to it. Called A. Petite Complete the Form with the four to it. Called A. Petite Complete the Form with the four to it. Called A. Petite Complete the Form with the four to it. Called A. Petite Complete the Form with the four to it. Called A. Petite Complete the Form with the four to it. Called A. Petite Complete the Form with the four to it. Called A. Petite Complete the Form with the four to it. Called A. Petite Complete the Form with the four to it. Called A. Petite Complete the four to it. Called A. Pe				
Individual Tax Residency Self-Certification 個人稅務居	民自我證明			
Please complete the following table indicating 提供以下資料:  ● the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and 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  ● the account holder's TIN for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence. 該居留司法管轄區發給帳戶持有人的稅務編號。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. 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。				
If a TIN is unavailable, provide the appropriate reason A, B or C: 如沒有提供稅務編號,必須填寫合適的理由A, B或 C:				
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. 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,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 th理由 C-帳戶持有人毋須提供稅務編號。居留司法管理				
Jurisdiction of Residence TIN Code 居留司法管轄區 稅務編號				