

Gear Securities Investment Limited

基業證券投資有限公司 (CE No.中央編號: BHM175)

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**SUPPLEMENTARY ACCOUNT OPENING FORM – For Joint Account**

附加開戶申請表格 – 聯名帳戶適用

| 1. Account Type 帳戶類別                       |  |                  |      |
|--|--|------------------|------|
| <input type="checkbox"/>                   | Cash Individual Account 現金個人帳戶   | Account No. 帳戶號碼 | : 18 |
| <input type="checkbox"/>                   | Cash Joint Account 現金聯名帳戶  | Account No. 帳戶號碼 | : 18 |
| <input type="checkbox"/>                   | Margin Individual Account 保證金個人帳戶  | Account No. 帳戶號碼 | : 28 |
| <input type="checkbox"/>                   | Margin Joint Account 保證金聯名帳戶   | Account No. 帳戶號碼 | : 28 |
| 2. Client's Information 客戶資料               |  |                  |      |
| Name of Secondary Joint Account Holder:    |  |                  |      |
| 第二聯名帳戶持有人姓名:                               |  |                  |      |
| HKID/Passport No. 香港身份證/<br>護照號碼:          |  |                  |      |
| 3. Disclosure of Related Account(s) 披露關連帳戶 |  |                  |      |
| (i)  | Are you an employee or director of GSIL <b>or</b> related to any employee or director of GSIL?<br>您是否基業投資之僱員或董事 <b>或</b> 與基業投資之任何僱員或董事有親戚關係?   |                  |      |
|  | <input type="checkbox"/> No 否<br><input type="checkbox"/> Yes. I am an employee/director. 是。我是僱員/董事。<br><input type="checkbox"/> Yes. I am related to the following employee/director: 是。我與以下僱員/董事有關聯:<br>Name of employee/director 僱員/董事姓名: _____<br>Relationship 關係: _____ |                  |      |
| (ii)                                       | Is your spouse/child a client of GSIL?<br>您的配偶/子女是否基業投資之客戶?  |                  |      |
|  | <input type="checkbox"/> No 否<br><input type="checkbox"/> Yes. Details are as follows 是。詳細資料如下:<br>Name of Account Holder 帳戶持有人姓名: _____<br>Account No. 帳戶號碼: _____  |                  |      |
| (iii)                                      | Are you, either alone or with your spouse jointly operating another account with GSIL?<br>您是否個人或與配偶共同操作另一個基業投資帳戶?  |                  |      |
|  | <input type="checkbox"/> No 否<br><input type="checkbox"/> Yes. Details are as follows 是。詳細資料如下:<br>Name of Account Holder 帳戶持有人姓名: _____<br>Account No. 帳戶號碼: _____  |                  |      |
| (iv)                                       | Are you, either alone or with your spouse, in control of 35% or more of the voting rights of any corporate client of GSIL?<br>您是否個人或與配偶共同控制任何基業投資公司客戶 35%或以上的投票權?  |                  |      |
|  | <input type="checkbox"/> No 否<br><input type="checkbox"/> Yes. Details are as follows 是。詳細資料如下:<br>Name of Account Holder 帳戶持有人姓名: _____<br>Account No. 帳戶號碼: _____  |                  |      |

#### 4. Investment Profile 投資取向

##### Investment Objective 投資目的

Capital Preservation 保本  Capital Growth 資本增值  Dividend Yield 股息回報  Income 收入  Hedging 對沖  Speculation 投機

##### Investment Experience 投資經驗

| <u>Products 產品</u>                 | <u>No. of Years 年數</u> | <u>Average Portfolio Value (HK\$) 平均組合價值(港幣)</u> |
|------------------------------------|------------------------|--|
| Listed Securities<br>上市證券          | _____                  | _____  |
| Futures/Options<br>期貨/期權           | _____                  | _____  |
| Bonds/Funds<br>債券/基金               | _____                  | _____  |
| Others (please specify)<br>其他(請註明) | _____                  | _____  |

## 5. Client's Knowledge on Derivative Products and Dealing Experience 客戶對衍生工具的認識及投資經驗

(i) Have you ever undergone training or attended any courses or seminars on derivative and structured investment product(s)?

您過去有否接受過有關衍生工具及結構性投資產品的培訓或修讀相關課程?

Yes. Details of the relevant training or course are as follows 是。相關培訓或課程的詳情如下:

Name of courses/seminars 課程名稱: \_\_\_\_\_

Date 受訓或修讀日期: \_\_\_\_\_

No 否

(ii) Have you ever obtained any working experience related to derivative and structured investment products?

您現時或過去有否參與衍生工具及結構性投資產品有關的工作?

Yes. Details are as follows 是。詳情如下:

Position 職位: \_\_\_\_\_

Years of Experience 經驗年數: \_\_\_\_\_

No 否

(iii) Have you executed 5 or more transactions related to derivatives and structured investment products over the past 3 years?

您於過去 3 年中是否曾執行 5 宗或以上與衍生工具及結構性投資產品有關之交易?

Yes 是

No 否

If you answer "yes" in any question above, you will be classified as having general knowledge of derivative and structured investment products. Would you wish to trade derivatives and structured investment products with GSIL?

如您於上述任何一條問題回答「是」，將會被視作對衍生工具及結構性投資產品有一般認識。請問您是否有意於基業投資買賣有關產品?

Yes 是

No 否

If you answer "no" to all the questions above, you will be classified as having no general knowledge in derivative and structured investment products. Would you still wish to trade derivative and structured investment products?

如您於上述全部問題回答「否」，將會被視作對衍生工具及結構性投資產品沒有認識。請問您是否仍有意於基業投資買賣有關產品?

Yes 是

No 否

If you have no relevant knowledge of derivative and structured investment products but wish to trade these products, you are required to watch the educational video provided by GSIL on the "Nature and Risks of Derivatives Products and Structured Investment Products" (the "Educational Video") prior to the first time trading of these products.

如您沒有衍生工具及結構性投資產品的知識，但有意買賣有關產品；您在首次交易前，必須觀看由基業投資提供的衍生產品及結構性產品的特性及風險教育影像(下稱「教育影像」)。

I/We confirm that I/we have watched the Educational Video on \_\_\_\_\_<sup>1</sup> and I/we have fully understood the characteristics and relevant risks therein.

本人/吾等確認在 \_\_\_\_\_<sup>2</sup> 已觀看教育影像並清楚明白有關衍生工具及結構性產品的特性及相關風險。

<sup>1</sup> Please insert date.

<sup>2</sup> 請填上日期。

## 6. Disclosure of Identity 身份披露

- (i) Are you the ultimate beneficial owner of the account(s) 您是否帳戶之最終實益擁有人?  
 Yes 是  
 No. The ultimate beneficial owner is 否。最終實益擁有人為:  
Name 姓名: \_\_\_\_\_  
HKID/Passport/CI/BR No. 身份證/護照/公司註冊/商業登記號碼: \_\_\_\_\_  
Address 地址: \_\_\_\_\_  
Telephone No. 電話號碼: \_\_\_\_\_
- (ii) Are you an employee of any Licensed Corporation or Registered Institution of the SFC<sup>3</sup> in Hong Kong<sup>4</sup>?  
您是否香港<sup>5</sup> 證監會<sup>6</sup>的任何持牌法團/註冊機構的僱員?  
 No 否  
 Yes. Details are as follows 是。詳細資料如下:  
Name of Licensed Corporation/Registered Institution 持牌法團或註冊機構名稱:<sup>7</sup>  
\_\_\_\_\_
- (iii) Are you a Licensed person or Registered Person of the SFC?  
您是否證監會的持牌人仕/註冊人仕?  
 No 否<sup>8</sup>  
 Yes 是  
Central Entity/Registration No. 中央/註冊編號: \_\_\_\_\_
- (iv) Have you ever had any investment account opening application rejected by other financial institution?  
您是否曾被其他金融機構拒絕開立戶口?  
 No 否  
 Yes. Details are as follows 是。詳細資料如下:  
Name of Financial Institution 金融機構名稱: \_\_\_\_\_  
Reason of Reject 拒絕原因: \_\_\_\_\_
- (v) Are you, your spouse, partner, children, parents, spouse or partner of your children, entrusted with a prominent public function in any place, including a head of state, head of government, senior politician, judicial or military official, senior executive of a state-owned corporation and an important political party official?  
您、您之配偶、伴侶，或父母，或您的子女的配偶或伴侶是否在任何地方擔任或曾擔任重要公職，包括國家元首、政府首長、資深從政者、司法或軍事官員，國有企業高級行政人員及重要政黨幹事?  
 No 否  
 Yes. Details are as follows 是。詳細資料如下:  
Name and Position of PEP<sup>9</sup> 政治人物姓名及職位: \_\_\_\_\_  
Country of the PEP belongs to 政治人物所屬國家: \_\_\_\_\_  
PEP relationship with Client 與客戶之關係: \_\_\_\_\_

<sup>3</sup> "SFC" means the Securities and Futures Commission.

<sup>4</sup> "Hong Kong" means the Hong Kong Special Administrative Region of the People's Republic of China.

<sup>5</sup> 「香港」指中華人民共和國香港特別行政區。

<sup>6</sup> 「證監會」指證券及期貨事務監察委員會。

<sup>7</sup> Please provide written consent letter from your employer. 請提供閣下僱主的書面同意書。

<sup>8</sup> The Client undertakes to promptly notify GSIL if the Client becomes employed by any licensed or registered person to carry out regulated activities within the meaning of the Securities and Futures Ordinance. 如客戶受聘於任何已獲證監會發牌或註冊人仕，從事有關證券及期貨例的活動，客戶承諾會即時通知基業投資。

<sup>9</sup> "PEP" means Politically Exposed Person.

## 7. Tax Residency Self-Certification 稅務居民身分自我證明書

**WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, 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 offence is liable on conviction to a fine at level 3 (i.e. HKD10,000.00).**

**警告: 根據《稅務條例》第 80(2E)條, 如任何人在作出自我證明時, 在明知一項陳述在要項上屬具誤導性、虛假或不正確, 或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下, 作出該項陳述, 即屬犯罪。一經定罪, 可處第 3 級(即\$10,000)罰款。**

| Jurisdiction of Residence<br>居留司法管轄區 <sup>10</sup> | TIN<br>稅務編號 <sup>11</sup> | Reason Code* for no TIN<br>如沒有提供稅務編號, 請填寫理由代碼* | Please provide explanation if selected "B"<br>如選取理由 B, 請解釋不能取得稅務編號的原因 |
|--|---------------------------|--|---|
|  |                           |  |   |
|  |                           |  |   |

\* Reason Code 理由代碼:

**Reason A:** The jurisdiction where the Client is a resident for tax purposes does not issue TINs to its residents.

**理由 A:** 客戶的居留司法管轄區並沒有向其居民發出稅務編號。

**Reason B:** Client is unable to obtain a TIN. Please give explanation if you have selected this reason.

**理由 B:** 客戶不能取得稅務編號。如選取這一理由, 請解釋原因。

**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:** 客戶毋須提供稅務編號。居留司法管轄區的主管機關不需要客戶披露稅務編號。

## 8. Foreign Account Tax Compliance Act "FATCA" 關於海外帳戶稅收合規法案

(i) Are you a citizen of US<sup>12</sup> or a resident (Green Card holder) in the US for tax purposes?  
您是否美國<sup>13</sup>公民, 或是有美國繳稅義務之美國居民(綠咭持有人)?

No 否

Yes 是 (Please complete Form W-9 of IRS 請填寫美國稅務局發出之 W-9 表格)

Client's US Taxpayer Identification Number (TIN) 客戶的美國稅務編號 (TIN): \_\_\_\_\_

(ii) Is your/Are you having (i) place of birth is US; (ii) resident or mailing address is US; (iii) US telephone number as contact number; (iv) standing instruction to transfer funds to a US based account; (v) power of attorney or signatory authority granted to person with US address; or (vi) in care-of or hold mail address that is sole address of account holder?

您是否 (i) 於美國境內出生; (ii) 於美國境內居住或以美國地址為郵寄地址; (iii) 以美國電話為聯絡號碼; (iv) 設有常設授權以劃撥資金予美籍人仕; (v) 設有帳戶操作/簽署授權予美籍人仕; 或 (vi) 以美國地址以託收信件?

No 否

Yes 是 (Please complete Form W-8Ben of IRS 請填寫美國稅務局發出之 W-8Ben 表格)

Client agrees GSIL to provide his/her personal information in relation to US tax obligations to the US tax authority.

客戶同意基業投資向美國稅務機構提供有關美國稅務責任之個人資料。

Client will immediate update GSIL if there is any change of the information and complete additional forms and provide additional information and documents at GSIL's request in support of the change.

若客戶的資料出現任何變動, 客戶會立即通知基業投資, 並且按照基業投資之要求填寫額外的表格, 及提供額外資料和文件, 以證明該項變更。

Signed by 簽署:

Signed by Witness 見證人簽署:

Name 姓名:

Date 日期:

Name 姓名:

Date 日期:

Title 職稱:

CE No. 中央編號:

<sup>10</sup> The jurisdiction of residence (including Hong Kong) where Client is a **resident for tax purposes**. 客戶的居留司法管轄區, 亦即帳戶持有人的**稅務管轄區**(香港包括在內)。

<sup>11</sup> Client's TIN for each jurisdiction indicated. Indicate **all** jurisdictions of residence. If the Client is a tax resident of Hong Kong, the TIN is the HKID No. 該居留司法管轄區發給客戶的稅務編號。列出**所有**居留司法管轄區。如客戶是香港稅務居民, 稅務編號是其香港身份證號碼。

<sup>12</sup> "US" means the United States of America.

<sup>13</sup> 「美國」指美利堅合眾國。

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