**Apricot Capital (Hong Kong) Limited**
**金杏資本(香港)有限公司**
Suites 2703, 27/F., Everbright Centre
108 Gloucester Road, Wanchai, Hong Kong
香港灣仔告士打道108號光大中心27樓2703室
電話 Tel : (852) 3725 4300 傳真 Fax : (852) 3725 4399
電郵 Email : cs@apricotcapital.hk
網址 Website : www.apricotcapital.hk

## Account Application Form 賬戶申請表

Please complete in **BLOCK LETTERS**. 請以**英文正楷**填寫。

### FOR INDIVIDUAL CLIENTS 由客戶填寫

**Main Applicant's Details 主要申請人資料** (Please use name on HKID^/Passport 請填寫香港身份證^/護照上的姓名)

| | | | | |
|---|---|---|---|---|
| ☐ Dr 博士 ☐ Mr 先生<br>☐ Ms 小姐 ☐ Mrs 太太<br>☐ Mdm 女士 | Last Name 姓（英文） | First Name 名（英文） | Middle Name 中間名（英文） | Chinese Name 中文姓名 |
| Gender 性別<br>☐ Male 男<br>☐ Female 女 | HKID^/Passport No. 香港身份證^/護照號碼 | | Nationality 國籍 | Country of Primary Residence 居住國家 |
| Date of Birth 出生日期 | Birth (Town/City) 出生（城鎮/城市） | | Birth (Province/State) 出生（省/州） | |

^For residents with right of abode in Hong Kong only. Other residents please provide passport numbers. 只適用於擁有香港居留權之香港永久性居民，其他居民請填寫護照號碼。

Contact Details 聯絡資料

| | | |
|---|---|---|
| #(Mobile 手機) | (Home 住宅) | *(Email 電郵) |

# For receiving token setting instruction (2FA login for security issue) 用於接收Token設定指令 (針對安全問題的2FA登入)
* All correspondence and consolidated statements will be sent via email. 金杏資本(香港)有限公司之所有通訊及資產組合結單將通過電郵發送

### U.S. Indicia Questionnaire 美國指標問卷

| | This section allows you to declare your identity under the Foreign Account Tax Compliance Act ("FATCA") classification.<br>本部分允許您根據《外國賬戶稅務合規法案》（「FATCA」）申報您的身分。 | **Main Applicant**<br>**主要申請人** |
|---|---|---|
| **Do you possess any of the following U.S. indicia? 您是否擁有以下任何一項美國指標？** | | |
| (1) | US citizenship/tax residency (e.g. US passport/Green Card holder, U.S. taxpayer, etc.)<br>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） | ☐ Yes 是 / ☐ No 否 |
| (2) | US place of birth<br>美國出生地 | ☐ Yes 是 / ☐ No 否 |
| (3) | US address (e.g. residential address, mailing address, P.O. box)<br>美國地址（如居住地址、郵寄地址、P.O.郵箱） | ☐ Yes 是 / ☐ No 否 |
| (4) | US telephone number (e.g. home, work, mobile, fax numbers)<br>美國電話號碼（如住宅、工作、行動、傳真號碼） | ☐ Yes 是 / ☐ No 否 |

### CRS Self-Certification 共同申報準則自我聲明

This section allows you to declare your tax residence under the Organization for Economic Co- operation and Development ("OECD") Common Reporting Standard ("CRS"). 本部分允許您根據《經濟合作與發展組織》（「OECD」）共同申報準則（「CRS」）申報您的納稅居住地。

| | |
|---|---|
| **1. Are you a Hong Kong Tax Resident? 您是否擁有香港稅務居民身份?**<br>If you are a tax resident of HK, the TIN is Hong Kong Identity Card Number.<br>如閣下是香港稅務居民，稅務編號是其香港身份證號碼。 | **Main Applicant**<br>**主要申請人**<br>☐ Yes 是 |
| **2. Please (a) indicate the jurisdiction(s) of residence (excluding Hong Kong) where the account holder is a resident for tax purposes; and (b) the account holder's TIN for each jurisdiction indicated. [If applicable]**<br>**請列明(a) 閣下的司法管轄區的稅務居民身份(不包括香港); 及(b)該司法管轄區的稅務編號。[如適用]** | **(b) Tax Identification Number ("TIN")**<br>**稅務編號** |
| **(a) Country 國家** | |
| Mainland China 中國大陸 | |
| Japan 日本 | |
| Canada 加拿大 | |
| Other 其他 | |

If a TIN is unavailable, please indicate the appropriate reason. 若無法提供稅務編號，請說明原因。

- ☐ **Reason A** – The country/jurisdiction where the Account Holder is resident does not issue TINs to its residents
  理由 A 帳戶持有人的國家/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 otherwise unable to obtain a TIN *or equivalent number (Please explain why you are unable to obtain a TIN in the below table 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** – No TIN is required. (*Note. Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction)*
  理由 C 帳戶持有人毋須提供稅務編號。（這理由只適用於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。）

Note: Apricot Capital (Hong Kong) Limited is unable to provide advice about your tax residency. If you have any questions, please consult your tax adviser or domestic tax authority.
註: 金杏資本(香港)有限公司未能提供有關閣下納稅居住地的意見。如有任何疑問，請與閣下的稅務顧問或當地稅務機關聯絡。

## Main Applicant's Address 主要申請人地址

| | | |
|---|---|---|
| + Residential Address 住 址 (Please complete in **BLOCK LETTERS**. 請以**英文正楷**填寫) | **Country/Region** 國家/地區 | Postal Code: 郵編 |
| Correspondence Address 郵寄地址 *(If different from residential address 如與住址不同) (Please complete in **BLOCK LETTERS**. 請以**英文正楷**填寫)* | **Country/Region** 國家/地區 | Postal Code: 郵編 |

+ *If this is a P.O. box address, a permanent residential address MUST also be provided for registration. 若屬郵政信箱地址，請必須另外提供一個永久住址作登記用途。*

**Ownership of Residence 住宅業權**

☐ Owned 自置 ☐ Rented 租用 ☐ Living with Family 與家人同住 ☐ Mortgaged 按揭

## Main Applicant's Employment Details 主要申請人就業資料

**Occupation 職業 (Please tick one 請選其中一項)**

☐ Associate professionals 輔助專業人員
☐ Clerical support workers 文書支援人員
☐ Craft and related workers 工藝及有關人員
☐ Elementary occupations 非技術工人
☐ Government Senior Official (Commissioner or above) 政府首長級官員
-Department 部門_____
-Title 職銜_____
☐ Managers and administrators 經理及行政級人員
☐ Others 其他 _____
☐ Plant and machine operators and assemblers 機台及機器操作員及裝配員
☐ Professionals 專業人員
☐ Retired^ 退休^
☐ Self-Employed^ 自僱^
☐ Service and sales workers 服務工作及銷售人
☐ Student^ 學生^
☐ Unemployed^ 待業^

**Nature of Business 商業性質 (Please tick one 請選其中一項)**

☐ Construction 建造
☐ Financing, insurance, real estate, professional and business services 金融、保險、地產、專業及商用服務
☐ Import/ export trade and wholesale 進出口貿易及批發
☐ Information and communications 資訊及通訊
☐ Casino, jewelry, precious stone/metal dealers and wholesalers 賭場、珠寶、寶石/ 貴金屬經銷商及批發商
☐ Manufacturing 製造
☐ Money Changer and pawnshop 找換店及當舖
☐ Other industries 其他行業_____
☐ Public administration, social and personal services 公共行政、社會及個人服務
☐ Retail, accommodation and food services 零售、住宿及膳食服務
☐ Transportation, storage, postal and courier services 運輸、倉庫、郵政及速遞服務

^If you are a student, please provide the name of your school and source of funds. 如閣下為學生，請提供就讀學校名稱及資金來源。
If you are self-employed, please provide the nature of business and name of your company (if any). 如閣下為自僱人士，請提供公司之業務性質及公司名稱（如適用）。
If you are unemployed or retired, please provide the source of your funds (e.g. personal saving, retirement pension, etc.) 如閣下為待業或退休人士，請提供閣下的資金來源（如個人儲蓄、退休金等）。

| Name of School/Company 學校/公司名稱 | Source of funds 資金來源 |
|---|---|
| | |

| **Name of Employer 僱主名稱** | **Company Address 公司地址** |
|---|---|
| | |

**Annual Income (HKD, please tick one) 年度收入（港元，請選一項）**

☐ < $250,000 ☐ $250,000 – $499,999 ☐ $500,000 - $749,999 ☐ $750,000 – $999,999 ☐ > $1,000,000

**Source of Income 收入來源**

☐ Salary 薪金 ☐ Commission 佣金 ☐ Rent 租金 ☐ Interest 利息 ☐ Pension 退休金 ☐ No 沒有 ☐ Others其它 _____

**Estimated Total Net Asset Worth估計個人總資產淨值**

| | | | |
|---|---|---|---|
| ☐ Below HK$1,000,000以下 | ☐ HK$1,000,000 - HK$5,000,000 | ☐ HK$5,000,001 - HK$10,000,000 | ☐ Over HK$10,000,000以上 |

Apricot Capital (Hong Kong) Limited (CE No. ACX624) (collectively "ACHK") are licensed to conduct Type 1 (Dealing in Securities) and Type 4 (Advising on Securities) regulated activity respectively under the Securities and Futures Ordinance and situated at Suites 2703, 27/F., Everbright Centre, No. 108 Gloucester Road, Wanchai, Hong Kong.
金杏資本(香港)有限公司（中央編號：ACX624）（統稱為「金杏資本」），乃分別獲得發牌進行《證券及期貨條例》第一類（證券交易）及第四類（就證券提供意見）受規活動之持牌機構，該公司地址為香港灣仔告士打道108號光大中心27樓2703室。

| **Joint Applicant's Details 聯名申請人資料** | | | | (Please use name on HKID^/Passport 請填寫香港身份證^/護照上的姓名) |
|---|---|---|---|---|
| ☐ Dr 博士 ☐ Mr 先生<br>☐ Ms 小姐 ☐ Mrs 太太<br>☐ Mdm 女士 | Last Name 姓（英文） | First Name 名（英文） | Middle Name 中間名（英文） | Chinese Name 中文姓名 |
| Gender 性別<br>☐ Male 男<br>☐ Female 女 | HKID^/Passport No. 香港身份證^/護照號碼 | | Nationality 國籍 | Country of Primary Residence 居住國家 |
| Date of Birth 出生日期 | Birth (Town/City) 出生（城鎮/城市） | | Birth (Province/State) 出生（省/州） | |

^For residents with right of abode in Hong Kong only. Other residents please provide passport numbers. 只適用於擁有香港居留權之香港永久性居民，其他居民請填寫護照號碼。

Contact Details 聯絡資料

| #(Mobile 手機) | (Home 住宅) | *(Email 電郵) |
|---|---|---|
| | | |

# For receiving token setting instruction (2FA login for security issue) 用於接收Token設定指令 (針對安全問題的2FA登入)
* All correspondence and consolidated statements will be sent via email. 金杏資本(香港)有限公司之所有通訊及資產組合結單將通過電郵發送

## U.S. Indicia Questionnaire 美國指標問卷

| This section allows you to declare your identity under the Foreign Account Tax Compliance Act ("FATCA") classification.<br>本部分允許您根據《外國賬戶稅務合規法案》（「FATCA」）申報您的身分。 | | **Joint Applicant**<br>**聯名申請人** |
|---|---|---|
| **Do you possess any of the following U.S. indicia? 您是否擁有以下任何一項美國指標？** | | |
| (1) | US citizenship/tax residency (e.g. US passport/Green Card holder, U.S. taxpayer, etc.)<br>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） | ☐ Yes 是 / ☐ No 否 |
| (2) | US place of birth<br>美國出生地 | ☐ Yes 是 / ☐ No 否 |
| (3) | US address (e.g. residential address, mailing address, P.O. box)<br>美國地址（如居住地址、郵寄地址、P.O.郵箱） | ☐ Yes 是 / ☐ No 否 |
| (4) | US telephone number (e.g. home, work, mobile, fax numbers)<br>美國電話號碼（如住宅、工作、行動、傳真號碼） | ☐ Yes 是 / ☐ No 否 |

## CRS Self-Certification 共同申報準則自我聲明

This section allows you to declare your tax residence under the Organization for Economic Co- operation and Development ("OECD") Common Reporting Standard ("CRS"). 本部分允許您根據《經濟合作與發展組織》（「OECD」）共同申報準則（「CRS」）申報您的納稅居住地。

| **1. Are you a Hong Kong Tax Resident? 您是否擁有香港稅務居民身份?**<br>If you are a tax resident of HK, the TIN is Hong Kong Identity Card Number.<br>如閣下是香港稅務居民，稅務編號是其香港身份證號碼。 | **Joint Applicant**<br>**聯名申請人**<br>☐ Yes 是 |
|---|---|
| **2. Please (a) indicate the jurisdiction(s) of residence (excluding Hong Kong) where the account holder is a resident for tax purposes; and (b) the account holder's TIN for each jurisdiction indicated. [If applicable]**<br>**請列明(a) 閣下的司法管轄區的稅務居民身份(不包括香港); 及(b)該司法管轄區的稅務編號。[如適用]** | **(b) Tax Identification Number ("TIN") 稅務編號** |
| **(a) Country 國家** | |
| Mainland China 中國大陸 | |
| Japan 日本 | |
| Canada 加拿大 | |
| Other 其他 | |

If a TIN is unavailable, please indicate the appropriate reason. 若無法提供稅務編號，請說明原因。

- ☐ **Reason A** – The country/jurisdiction where the Account Holder is resident does not issue TINs to its residents
  理由 A 帳戶持有人的國家/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 otherwise unable to obtain a TIN *or equivalent number (Please explain why you are unable to obtain a TIN in the below table 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** – No TIN is required. (*Note. Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction)*
  理由 C 帳戶持有人毋須提供稅務編號。（這理由只適用於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。）

Note: Apricot Capital (Hong Kong) Limited is unable to provide advice about your tax residency. If you have any questions, please consult your tax adviser or domestic tax authority.
註: 金杏資本(香港)有限公司未能提供有關閣下納稅居住地的意見。如有任何疑問，請與閣下的稅務顧問或當地稅務機關聯絡。

| **Joint Applicant's Address 聯名申請人地址** | | |
|---|---|---|
| + Residential Address 住 址 (Please complete in **BLOCK LETTERS**. 請以**英文正楷**填寫) | **Country/Region** | Postal Code: |
| Correspondence Address 郵寄地址 *(If different from residential address 如與住址不同) (Please complete in **BLOCK LETTERS**. 請以**英文正楷**填寫)* | **Country/Region** | Postal Code: |

+ *If this is a P.O. box address, a permanent residential address MUST also be provided for registration. 若屬郵政信箱地址，請必須另外提供一個永久住址作登記用途。*

**Ownership of Residence 住宅業權**

☐ Owned 自置 ☐ Rented 租用 ☐ Living with Family 與家人同住 ☐ Mortgaged 按揭

## Joint Applicant's Employment Details 聯名申請人就業資料

**Occupation 職業 (Please tick one 請選其中一項)**

- ☐ Associate professionals 輔助專業人員
- ☐ Clerical support workers 文書支援人員
- ☐ Craft and related workers 工藝及有關人員
- ☐ Elementary occupations 非技術工人
- ☐ Government Senior Official (Commissioner or above) 政府首長級官員
  - -Department 部門_____
  - -Title 職銜_____
- ☐ Managers and administrators 經理及行政級人員
- ☐ Others 其他 _____
- ☐ Plant and machine operators and assemblers 機台及機器操作員及裝配員
- ☐ Professionals 專業人員
- ☐ Retired^ 退休^
- ☐ Self-Employed^ 自僱^
- ☐ Service and sales workers 服務工作及銷售人
- ☐ Student^ 學生^
- ☐ Unemployed^ 待業^

**Nature of Business 商業性質 (Please tick one 請選其中一項)**

- ☐ Construction 建造
- ☐ Financing, insurance, real estate, professional and business services 金融、保險、地產、專業及商用服務
- ☐ Import/ export trade and wholesale 進出口貿易及批發
- ☐ Information and communications 資訊及通訊
- ☐ Casino, jewelry, precious stone/metal dealers and wholesalers 賭場、珠寶、寶石/ 貴金屬經銷商及批發商
- ☐ Manufacturing 製造
- ☐ Money Changer and pawnshop 找換店及當舖
- ☐ Other industries 其他行業_____
- ☐ Public administration, social and personal services 公共行政、社會及個人服務
- ☐ Retail, accommodation and food services 零售、住宿及膳食服務
- ☐ Transportation, storage, postal and courier services 運輸、倉庫、郵政及速遞服務

^If you are a student, please provide the name of your school and source of funds. 如閣下為學生，請提供就讀學校名稱及資金來源。
If you are self-employed, please provide the nature of business and name of your company (if any). 如閣下為自僱人士，請提供公司之業務性質及公司名稱（如適用）。
If you are unemployed or retired, please provide the source of your funds (e.g. personal saving, retirement pension, etc.) 如閣下為待業或退休人士，請提供閣下的資金來源（如個人儲蓄、退休金等）。

| Name of School/Company 學校/公司名稱 | Source of funds 資金來源 |
|---|---|
| | |

| **Name of Employer 僱主名稱** | **Company Address 公司地址** |
|---|---|
| | |

**Annual Income (HKD, please tick one) 年度收入（港元，請選一項）**

☐ < $250,000 ☐ $250,000 – $499,999 ☐ $500,000 - $749,999 ☐ $750,000 – $999,999 ☐ > $1,000,000

**Source of Income 收入來源**

☐ Salary 薪金 ☐ Commission 佣金 ☐ Rent 租金 ☐ Interest 利息 ☐ Pension 退休金 ☐ No 沒有 ☐ Others 其它 _____

**Estimated Total Net Asset Worth 估計個人總資產淨值**

| | | | |
|---|---|---|---|
| ☐ Below HK$1,000,000以下 | ☐ HK$1,000,000 - HK$5,000,000 | ☐ HK$5,000,001 - HK$10,000,000 | ☐ Over HK$10,000,000以上 |

## Client Declaration (Mandatory) 客戶聲明（必須填寫）

1. Are You the ultimate beneficial owner providing instructions related to the transactions to be conducted via this account?
   您是否發出此賬戶交易指示的最終權益擁有人？
   ☐ Yes 是
   ☐ No 否

If Your answer is "**No**", please provide the details of the ultimate beneficial owner(s) (Maximum of 2). 若您的答案為「否」，請填寫最終權益擁有人（最多為 2 人）資料。

**Ultimate Beneficial Owner 1 最終權益擁有人資料 1**

| Name of Ultimate Beneficial Owner (If applicable) 最終權益擁有人姓名（如適用） | Nationality 國籍 | HKID^/ Passport No. 香港身份證^/護照號碼 |
|---|---|---|
| ☐ Dr 博士 ☐ Mr 先生 ☐ Ms 小姐<br>☐ Mrs 太太 ☐ Mdm女士 | | |

Residential Address 住址

**Ultimate Beneficial Owner 2 最終權益擁有人資料 2**

| Name of Ultimate Beneficial Owner (If applicable) 最終權益擁有人姓名（如適用） | Nationality 國籍 | HKID^/ Passport No. 香港身份證^/護照號碼 |
|---|---|---|
| ☐ Dr 博士 ☐ Mr 先生 ☐ Ms 小姐<br>☐ Mrs 太太 ☐ Mdm女士 | | |

Residential Address 住址

2. Are You (or the ultimate beneficial owner(s)) an employee or a business representative of any licensed/ registered persons of the Securities and Futures Commission ("SFC") in Hong Kong or Exchange Participant of the Hong Kong Stock Exchange ("HKEx")?
   您〔或最終權益擁有人〕是否任何香港證監會持牌或註冊人士或香港交易所之交易所參與者的僱員或業務代表？
   ☐ Yes 是 (If Your answer is "Yes", please provide a written consent from your employer. 若答案為「是」，請提供僱主同意書。)
   ☐ No 否

3. Are You (or the ultimate beneficial owner(s)) a relative of any employee or director of Apricot Capital (Hong Kong) Limited or any of its related company?
   您〔或最終權益擁有人〕是否金杏資本(香港)有限公司或其相關公司之任何職員或董事的親屬？
   ☐ Yes (If Your answer is "Yes", please provide the name of relevantperson(s)) (若答案為「是」，請提供相關人士姓名。)
   Name of Relevant Person(s) 相關人士姓名
   ☐ No

4. Does your spouse have a margin account with Apricot Capital (Hong Kong) Limited? 你的配偶是否持有金杏資本(香港)有限公司的保證金證券戶口？
   ☐ Yes (If Your answer is "Yes", please provide the name of relevant person(s)) (若答案為「是」，請提供相關人士姓名。)
   戶口名稱 Account Name: _____ 戶口編號 Account No: _____
   ☐ No

5. Do you control, either alone or with your spouse, 35% or more of the voting rights of another margin client of Apricot Capital (Hong Kong) Limited?
   ☐ Yes 戶口名稱 Account Name: _____ 戶口編號 Account No: _____
   ☐ No

## INVESTMENT OBJECTIVE AND EXPERIENCE 投資目標及經驗

This section is designed to assist us in assessing your investment objective, investment experience and knowledge, knowledge of derivatives investment and the suitability of certain financial products with derivatives exposures in your investment portfolio. You are required to complete this section as you will be restricted from investing in certain Securities if you do not pass this assessment.

- For Joint Account, all account holders should jointly complete this part.
- For Corporate Account, authorised signatories who will give transaction instructions on behalf of the company should complete this part. The answers filled below will be considered as the OVERALL assessment of the Account.

本部份旨在評估您對投資目標、投資經驗及知識及衍生工具投資的認識，以及您在投資組合加入帶有衍生工具成分之金融產品的合適性。您必須完成本部份，如您未能通過此評估，您將會受到限制而不能投資於若干證券。

- 若為聯名賬戶，全部賬戶持有人須共同完成本部份。
- 若為公司賬戶，公司授權代表發出交易指示的簽署者須完成本部份。

此部份的評估將被視為該賬戶的綜合性評估。

You can skip this part if you have provided, or will provide, the details of your investment objective, experience and knowledge in a separate form provided by Apricot Capital (Hong Kong) Limited. Your information provided in the separate form shall prevail if there is any discrepancy.
如若您已在金杏資本(香港)有限公司提供的其他表格內提供您投資目標、投資經驗及知識的詳細資料，則您可以略過此部份。如有任何不符，一概以您於其他表格提供的資料為準。

| **Risk Profile 風險範圍（只選一項 Single Selection）** | | |
|---|---|---|
| ☐ Conservative 保守<br>☐ Moderately Aggressive 中度進取 | ☐ Moderately Conservative 中度保守<br>☐ Aggressive 進取 | ☐ Balanced 平 衡 |
| **Investment Objective 投資目標 （只選一項 Single Selection）** | | |
| ☐ Capital Preservation 保本<br>☐ Speculation 投 機 | ☐ Stable Income 穩定收入 | ☐ Capital Gain 資本增值 |
| **Investment Experience and Knowledge 投資經驗及知識（可選多項Multiple Selection）** | | |
| ☐ Stocks 股票<br>☐ N/A 不適用 | ☐ Bonds 債券 | ☐ Mutual funds (excluding derivative funds) 基金（衍生產品基金除外） |

| **Investment Horizon 投資年期（只選一項 Single Selection）** | | | |
|---|---|---|---|
| ☐ Below 3 years 少於 3 年 | ☐ 3 – 5 years 3 至 5 年 | ☐ 6 – 10 years 6 至 10 年 | ☐ 10 years or above 多於 10 年 |

**Experience in Derivatives Investments 投資衍生工具經驗**

Have you invested into any of the product(s) below for more than 5 times in the past 3 years? 於過往三年內，您曾否進行過逾五次下述投資產品的交易？

☐ No 否
☐ Yes (please select multiple options if applicable) 是（請選擇以下合適項目（如適用））
- ☐ Equity Linked Deposit / Note 股票掛鈎存款 / 票據
- ☐ Credit Linked Deposit / Note 信貸掛鈎存款 / 票據
- ☐ Structured Deposit / Note 結構性存款 / 票據
- ☐ Currency Linked Deposit / Premium Deposit 貨幣掛鈎存款 / 高息貨幣掛鈎存款
- ☐ Currency Forward (e.g. RMB Non Deliverable Forward (NDF)) 貨幣遠期合約 (例如人民幣不交收遠期合約 (NDF) )
- ☐ Warrant 認股權證（或稱「窩輪」）
- ☐ Stock Option 股票期權
- ☐ Index Future (e.g. Hang Seng Index Future) 指數期貨 (例如恒生指數期貨)
- ☐ Unauthorised Hedge Fund 未經認可對沖基金
- ☐ SFC Authorised Hedge Fund 證監會認可對沖基金
- ☐ SFC Authorised Fund which requires derivatives knowledge assessment 須進行衍生工具認識評估之證監會認可基金

**Work Experience in the Financial Industry 金融業工作經驗**

Have you ever been either a licensed person under Hong Kong Securities and Futures Commission (SFC) or a relevant individual with Hong Kong Monetary Authority (HKMA)? 您曾否是香港證券及期貨事務監察委員會（「證監會」）之持牌人或香港金融管理局（「金管局」）之註冊機構有關人士？

☐ No 否
☐ Yes 是

**Derivatives Knowledge acquired from Academic Background 從學術途徑認識衍生工具**

Have you ever obtained any financial qualification(s), or completed any finance course(s) or in-depth training from reputable institute(s)? 您（曾否於具信譽之機構取得任何金融學歷或完成任何金融課程？

☐ No 否
☐ Yes (please select multiple options if applicable) 是（請選擇以下合適項目（如適用））
- ☐ Passed Hong Kong Securities and Investment Institute (HKSI) Paper 7 / 8 / 9 通過香港證券專業學會 (HKSI ) 考卷 7 / 8 /9
- ☐ Passed Chartered Financial Analyst (CFA) Examination - Level 1 / 2 / 3 通過特許財務分析師 (CFA) 考試 1 / 2 / 3 級
- ☐ Passed Financial Risk Manager (FRM) Examination 通過金融風險管理師 (FRM) 考試
- ☐ Passed Chartered Alternative Investment Analyst (CAIA) Examination 通過特許另類投資分析師 (CAIA) 考試
- ☐ Certified Financial Planner (CFP) - Investment Module 認可財務策劃師 (CFP) 課程之投資單元
- ☐ Master in Finance 金融學碩士
- ☐ Degree in Finance 金融學學士
- ☐ Diploma / Higher Diploma in Finance 金融學文憑 / 高級文憑

## BANK ACCOUNT DETAILS (Mandatory) 銀行戶口資料 (必須填寫)

For payment of cash withdrawal 用作支付現金賬戶提取

**HKD Bank Account Details 港元銀行戶口資料 (For Direct Credit 供入數之用)**

| | |
|---|---|
| Name of Bank 銀行名稱 | *Name of Bank Account Holder 銀行戶口持有人姓名 |
| Bank Account No. 銀行戶口號碼 | |

* *"Name of Bank Account Holder" must be the name of Apricot Capital (Hong Kong) Limited Account Holder. 「銀行戶口持有人姓名」須為金杏資本(香港)有限公司賬戶持有人之姓名。*

Please provide bank statement for the registered bank account details. 請提供銀行月結單用作登記銀行賬戶資料。

| | |
|---|---|
| ☐ Cash Account<br>現金戶口 | You confirm that ( i ) you have received, read and understood the provisions of the Cash Account Agreement; ( ii ) agree to be bound by the Cash Account Agreement ; and (iii) agree that words and expressions which are defined in the Cash Account Agreement shall have the same meanings when used in this Customer Information Form unless otherwise stated or the context otherwise requires and that in the event of any in consistency, the provisions of the Cash Account Agreement shall override this Customer Information Form.<br>你確認(i)已收到、閱讀及明白本公司附上之現金帳戶協議；(ii) 同意接受該現金帳戶協議所約束；及(iii)同意如「客戶資料表」內之詞彙表達與該現金帳戶協議有任何抵觸，該現金帳戶協議將凌駕於「客戶資料表」。 |
| ☐ Margin Account<br>保證金戶口 | You confirm that ( i ) you have received, read and understood the provisions of the Margin Client Agreement and Standing Authority Letter; ( ii ) agree to be bound by the Margin Client Agreement and (iii) agree that words and expressions which are defined in the Margin Client Agreement shall have the same meanings when used in this Customer Information Form unless otherwise stated or the context otherwise requires and that in the event of any inconsistency, the provisions of the Margin Client Agreement shall override this Customer Information Form.<br>你確認(i)已收到、閱讀及明白本公司附上之保證金客戶協議書及常設授權書；(ii) 同意接受該保證金客戶協議書所約束；及(iii)同意如「客 戶資料表」內之詞彙表達與該保證金客戶協議書有任何抵觸，該保證金客戶協議書將凌駕於「客戶資料表」 |
| Account(s) requiring Electronic Trading Service<br>選用網上證券交易服務 | ☐ Not Required<br>不需要<br><br>☐ Required. I/We have read and understand the provisions of the Client Services Agreement and Schedule A - Additional Terms for Electronic Trading Service and all other relevant Schedule(s) and accept to be bound by the same.<br>需要。本人／吾等已審閱及明白客戶協議書內所載的條款及附表 A － 電子交易服務之附加條款及有關的附表，並接受這些條款的約束。<br><br>☐ Two Factor Authertication to be sent to (one only) 雙重認證用以下方式發送 （只可一項）<br><br>☐ SMS 短訊 ☐ Software Token 軟體式憑證<br><br>☐ Free of charge, all quotes are 15 minutes delayed<br>免費延遲15分鐘股票報價服務 |

## DECLARATION BY CLIENT 客戶聲明

**To : Apricot Capital (Hong Kong) Limited**
**致 : 金杏資本(香港)有限公司 (「金杏資本」)**

The above entities are collectively named "Apricot Capital (Hong Kong) Limited" hereunder.
以上機構乃統稱為「金杏資本(香港)有限公司」。

Words and expressions which are defined in the Client Agreement set out in the Appendix shall have the same meanings when used in this Account Application Form (including the Appendices) unless otherwise defined or the context otherwise requires. In the event of any inconsistency, the provisions of this Account Application Form shall override the Client Agreement.
除另行界定或文意另有所指外，附件之客戶協議內所界定之詞語及用語與本賬戶申請表（包括其附件）內所載者具相同涵義。如兩者出現不符情況，以本賬戶申請表內的條文為準。

I/We confirm that I/we have received, read, understood and agree to be bound by this Account Application Form and its Appendices including the Fee Schedule, Important Notes and Client Agreement.
本人/吾等確認本人/吾等已收取，閱讀並理解本申請表及其附件，包括收費附表、重要事項及客戶協議，並同意受本賬戶申請表及其附件所約束。

I/We confirm that all the information provided in this Account Application Form is true, complete and accurate and authorize Apricot Capital (Hong Kong) Limited to confirm this from any source.
本人/吾等確認，所有填寫於本賬戶申請表的資料均屬真實，完全及正確，並授權金杏資本(香港)有限公司可向任何方面查證。

I/We expressly agree that this Account Application Form (and its Appendices, where applicable) shall be executed in only one original, which shall be retained by Apricot Capital (Hong Kong) Limited. I/We also agree to notify in writing my/our Account Executive (whose name and details appear in the Declaration by Account Executive of this Account Application Form) promptly of any change to any of the information provided in this Account Application Form and/or in the original of the relevant document(s) forwarded by the Account Executive to Apricot Capital (Hong Kong) Limited.
本人/吾等明確地同意，本賬戶申請表（及其附件（如適用））乃唯一簽訂之正本，由金杏資本(香港)有限公司保存。本人/吾等亦同意在本賬戶申請表及/或客戶經理提交予金杏資本(香港)有限公司的相關文件的正本所提供之任何資料出現任何變動時，盡量以書面知會本人/吾等的客戶經理（其姓名及詳情列載於本申請表客戶經理聲明部分）。

If this Account Application Form is accepted, I/we request for an account created by Apricot Capital (Hong Kong) Limited and I/we shall provide Instructions relating to the maintenance of my/our Account to the Account Executive by submitting original written Instructions. In addition to this mode of providing Instructions, I/We agree that the Account Executive shall relay Instructions by facsimile or email to Apricot Capital (Hong Kong) Limited. I/We acknowledge that Instructions provided to the Account Executive will be processed by Apricot Capital (Hong Kong) Limited in accordance with the Client Agreement.
倘若本申請表獲接受，本人/吾等要求金杏資本(香港)有限公司開設賬戶。本人/吾等將會向客戶經理提供原文書面指示，發出與維持本人/吾等的賬戶相關的指示。除了以該原文書面指示方式外，本人/吾等同意客戶經理以傳真或電郵方式向金杏資本(香港)有限公司傳達指示。本人/吾等確認向客戶經理發出的指示將由金杏資本(香港)有限公司根據客戶協議處理。

I/We acknowledge and confirm that the Licensed Person has already explained the attachments enclosed herewith including but not limited to "Risk Disclosure Statement – Securities Trading Account", "Risk Disclosure Statement of the relevant Derivative Products"; and Client Agreement in a language of my/ our choice. I/ We have fully understood and accepted all the aforesaid contents and provisions and have already sought independent legal advice.
金杏資本(香港)有限公司已根據本人/吾等所選擇的語言向其提供及解釋下列事項：隨附的包括但不限於 《風險披露聲明書 – 證券交易賬戶》、《一般常見的交易所買賣衍生產品之風險披露聲明》及 《客戶協議》。本人/吾等已完全明白及接受所有內容和細則，並已尋求獨立法律意見。

Apricot Capital (Hong Kong) Limited shall have absolute rights to change, amend, delete or substitute any of the relevant terms and provisions from time to time, and I/We shall check and read all the relevant amended clauses. In addition, Apricot Capital (Hong Kong) Limited will notify me/us on such revision. All the aforesaid change, amendment, deletion or substitution shall be deemed as effective on the date of publication of such amendment and shall be taken as forming part of the terms.
金杏資本(香港)有限公司有絕對之權利不時更改、修訂、刪除或取替任何相關條款，而本人/吾等可詳細查閱所有有關的修訂條款。金杏資本(香港)有限公司會通

知本人/吾等新的修訂。所有有關更改、修 訂、刪除或取替將被視作於刊載當日生效，並被視為列入該等條款內。

I/We confirm that the above information on derivative knowledge assessment questionnaire provided is true and complete. We also understand that Apricot Capital (Hong Kong) Limited will rely on the above information provided to assess whether We have acquired knowledge of derivative products, in order to comply with relevant requirements of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.
本人/吾等確認本人/吾等確認衍生產品調查問卷資料完全真實及完整，並明自金杏資本(香港)有限公司將根據上述調查問卷資料界定本人／吾等是否擁有對衍生產品之認識，以符合證券及期貨事務監察委員會持牌人或註冊人操守準則之有關要求。

You represent that the information on the Customer Information Form is true, complete and correct and that the representation in the attached agreement are accurate. Apricot Capital (Hong Kong) Limited is entitled to reply fully on such information and representations for all purposes, unless Apricot Capital (Hong Kong) Limited receives notice in writing of any change. Apricot Capital (Hong Kong) Limited authorised at any time to contact anyone, including your banks, brokers or any credit agency for purposes of verifying the information provided on this Customer Information Form. Please refer to our Personal Information Collection Statement which is attached as schedule I of the Cash Account Agreement for further information.
你聲明在客戶資料表格內的資料屬真實、完整及正確, 而附上的協議一切內容準確。除非金杏資本(香港)有限公司接到更改有關聲明內容的書面通知，金杏資本(香港)有限公司有權在任何用途上完全依賴這些資料及聲明。金杏資本(香港)有限公司有權隨時聯絡任何人，包括本人/吾等之銀行、經紀或任何信貸調查機構，以查證此客戶資料表格內所載之內容。詳情請參閱現金個人資料收集聲明。

You declare and acknowledge that the Risk Disclosure Statements are provided in a language chosen by you (English or Chinese) and you have invited to read the Risk Disclosure Statements, to ask questions and advice to take independent advice if you wish.
你謹此聲明及確認，已獲提供所選擇的語言(英文或中文)的風險披露聲明。並已獲邀請閱讀該風險披露聲明，提出問題及徵求獨立意見(如有此意願)。

You confirm that you have received our Company's Securities Fee Schedule.
你確認收妥本公司之股票服務收費表。

You aware that you shall not settle any trading transaction with third-party's cheques.
你明白不能以第三者支票作交收。

## Joint Applicants 聯名申請人

The following provisions are applicable to joint applicants only: 下列條文僅適用於聯名申請人：

We request for a Joint Account created by Apricot Capital (Hong Kong) Limited whereby the interest in the Account is owned jointly by the joint applicants, and upon the death of one of the joint applicants, the surviving joint applicant(s) shall be entitled to the entire Account;
吾等要求共同持有由金杏資本(香港)有限公司開設之聯名賬戶的聯名申請人之權益。一旦在聯名申請人其中一人身故後則另一尚存聯名申請人將完全獲資格得到賬戶的擁有權；

We hereby authorise the Account Executive, Apricot Capital (Hong Kong) Limited to accept and act upon Instructions for new subscriptions, switches, redemption to Cash Account and transfers-in given by **any one of us individually**. We further agree that this authorisation shall remain in force until notice in writing signed by all joint applicants of its termination or replacement is received by the Account Executive, Apricot Capital (Hong Kong) Limited and any such notice shall be without prejudice to the completion of transactions already initiated by the Service Provider pursuant to the Terms and Conditions;
吾等僅此授權客戶經理、金杏資本(香港)有限公司接納及按吾等**任何一人**作出的新認購、轉換、贖回至現金賬戶及轉入的指示行事。吾等亦同意此授權將一直生效直至客戶經理、金杏資本(香港)有限公司收到所有聯名申請人共同發出之書面通知終止或取替該授權。惟此通知並不影響金杏資本(香港)有限公司平台完成按條款及條件已開始之交易；

Subject to the above, all other Instructions, including redemption Instructions where the proceeds are not deposited into the our Cash Account, must be given to the Account Executive and Apricot Capital (Hong Kong) Limited jointly by all joint applicants;
在上列的規限下，所有聯名申請人必須共同作出所有給予客戶經理、金杏資本(香港)有限公司及的其他全部指示，包括贖回款項並非存入吾等現金賬戶的贖回指示；

Where we have authorised the Account Executive, Apricot Capital (Hong Kong) Limited to act upon Instructions from and documents executed by any one of the joint applicants, those Instructions shall be binding on the other joint applicant. Where we have authorised the Account Executive, Apricot Capital (Hong Kong) Limited to accept and act upon Instructions given by all of us, only Instructions from and documents executed by all of us shall be accepted by the Account Executive, Apricot Capital (Hong Kong) Limited and shall be binding on all of us.
倘若吾等授權客戶經理、金杏資本(香港)有限公司按任何一名聯名申請人作出之指示或簽署之文件行事，則另一名聯名申請人將受該等指示或文件約束。倘若吾等授權客戶經理、金杏資本(香港)有限公司及交易商按所有聯名申請人共同作出之指示或簽署之文件行事，則吾等各人將受該等指示或文件約束。

We have authorized Apricot Capital (Hong Kong) Limited to accept the Instructions of any one or all of the Joint Clients ("Such Person") to Apricot Capital (Hong Kong) Limited (including but not limited to verbal Instructions and written Instructions). Such Person shall have the authority to handle the operation of the Account and exercise all rights, powers and discretion pursuant to the terms on behalf of any of the Joint Client. Apricot Capital (Hong Kong) Limited may follow the Instructions given by Such Person and shall not be required to give notice to, or obtain authorization from, any one or all of the Joint Clients in respect of such Instructions. Apricot Capital (Hong Kong) Limited shall have an absolute discretion to determine whether or not to accept the relevant Instructions and Apricot Capital (Hong Kong) Limited shall not be liable as such for any loss whatsoever incurred as a result of accepting or not accepting the Instructions. Any act, conduct, instructions, directions, decisions and/or authorizations of any of the Joint Clients shall be jointly and severally binding on the other Joint Account Client. 聯名客戶已授權金杏資本(香港)有限公司可接受聯名客戶的其中一位人士("該人士")個別向金杏資本(香港)有限公司發出任何指示(包括但不限於口頭指示或書面指示)。該人士有權處理賬戶內的任何運作及代表其他聯名客戶行使該等條款下的所有權利、權力及酌情權。金杏資本(香港)有限公司可依循該人士發出的任何指示行事，而不需向其他聯名客戶或所有聯名客戶發出有關指示的通知，或向其他聯名客戶或所有聯名客戶取得有關指示的授權書。金杏資本(香港)有限公司有絕對酌情權決定是否接納有關指示，有關接納與否而導致之後果，金杏資本(香港)有限公司亦無須就此而負上任何責任。任何聯名客戶的任何行動、行為、指示、決定及/或授權，對其他聯名客戶均構成個別及共同的約束力。

**For Joint Account, all correspondence and consolidated statements will be sent to Main Applicant only. 就聯名戶口而言，所有通訊及資產組合結單只會發送至主要申請人。**

**Beneficial Ownership and Origination of Instructions 實益擁有權及指示的發出**

**For Individual and Joint Applicants 個人及聯名申請人**

I/We hereby confirm that in relation to my/our investment in Securities: 本人/吾等謹此確認就本人/吾等的證券投資：
Such investment will be beneficially owned by me/us and the funds for such investment will be paid from an account of which I am/we are the beneficial owner(s);
本人/吾等實益擁有該投資而該投資的資金將由本人/吾等實益擁有的賬戶支出；

I am/We are ultimately responsible for originating Instructions for such investment;就該投資的指示的發出，本人/吾等負上發出任何有關該投資指示的最終責任； I am/We are not US persons, or tax residents or citizens of the United States of America;本人/吾等並非美國人士、美國居民或美國稅務公民；
Funds for investment must be paid from an account in the same name as the applicant(s);投資的資金必須來自與申請人同名的銀行戶口；

I/ We hereby declare that after signing in the signature column below by me/ us, it indicates that I/ we have already fully read, confirmed, agreed, accepted and understood all the terms (including all the relevant contents and provisions of this Account Application Form and Client Agreement). In relation to all the above mentioned contents and provisions, I/ We have already sought independent legal advice and have also understood all the contents and provisions and have no questions to ask.
本人/吾等聲明，當本人/吾等於下列簽署欄內簽署後，即表示本人/吾等已完全細閱、確認、同意、接受及明白該等條款(包括本賬戶申請表及客戶協議內各項之所有內容) 所有內容和細則。關於上述各項所有內容和細則，本人/吾等已尋求獨立法律意見，並明白所有其內容和細則及沒有任何疑問。

I/We declare that I/we have read and understood the provisions as set out in this Account Application Form, Client Agreement, Supplemental Agreements, Security prospectus and the Important Notes and all Appendices (where applicable). I/we hereby instruct and authorise Apricot Capital (Hong Kong) Limited to carry out my/our Instructions as indicated on this Account Application Form. I/We agree and acknowledge that the value of the investment(s) may go down and up and by instructing Apricot Capital (Hong Kong) Limited to apply for any Investments on my/our behalf, this risk which I/we am/are prepared to accept. If there is any foreign exchange conversion involved for the above transaction(s), I/we agree to the foreign exchange rates contracted by Apricot Capital (Hong Kong) Limited.
本人/吾等聲明，本人/吾等已閱讀並明白有關本賬戶申請表所訂立的條款、客戶協議、附屬協議、證券說明書及重要事項和全部附件（如適用）。本人/吾等謹此授權並指示金杏資本(香港)有限公司按照本表格上的資料為本人/吾等處理指示。本人/吾等同意並了解，投資價值可升可跌，本人/吾等委託金杏資本(香港)有限公司代為投資，並願意承擔此等風險。如上述交易須要進行貨幣兌換，本人/吾等同意使用金杏資本(香港)有限公司所定的匯率。

I/We declare that I/we have examined the information as provided by me/us on this Account Application Form are true, correct and complete. I/We agree that all personal data provided may be used by Apricot Capital (Hong Kong) Limited in connection with verification/administration procedures, or disclosed for any other purposes as defined in the Personal Data (Privacy) Ordinance. Apricot Capital (Hong Kong) Limited is authorised at any time to contact anyone, including banks, brokers or any credit agency, for the purpose of verifying the information provided on this Account Application Form. I/We have read and agreed the Personal Information Collection Statement.
本人/吾等謹此聲明，本人/吾等在此賬戶申請表上所提供的一切資料均屬真實、正確及完整。本人/吾等同意金杏資本(香港)有限公司可以使用上述所提供的全部個人資料，作為身份核證/行政程序，或其他按《個人資料〔私隱〕條例》所定的任何用途。金杏資本(香港)有限公司獲授權在任何時間向任何人，包括銀行、經紀或任何信貸機構，查核此開戶賬戶申請表上的資料。本人/吾等已閱讀並同意《個人資料收集聲明》。

I/We confirm that the Risk Disclosure Statements are provided in a language of my/our choice and I/We have been invited to read the risk disclosure statement and take independent advice as I/we wish.
本人/吾等確認，已按本人/吾等所選擇的語言獲得風險披露聲明，並已閱讀有關風險披露聲明及按個人意願徵求獨立意見。

In the event that there is any inconsistency between the English version and the Chinese version of the above terms, the English version shall prevail.
該等條款之中文版本及英文版本如有任何歧義，概以英文版本為準。

**Main Applicant Signature 主要申請人簽署**

| Last Name 姓 | First Name 名 | Signature 簽署 (also as specimen 並作為式樣) | Date 日期 |
|---|---|---|---|
| | | ✕ | |

**Joint Applicant Signature 聯名申請人簽署**

| Last Name 姓 | First Name 名 | Signature 簽署 (also as specimen 並作為式樣) | Date 日期 |
|---|---|---|---|
| | | ✕ | |

* Funds for investment must be paid from an account in the same name as the applicant(s). *投資的資金必須來自與申請人同名的銀行戶口。

**Signing Arrangement for Joint A/C 聯名帳戶簽署安排:**
The _____signature(s) above, of which any _____will be effective. 所列_____式簽署中, 任何_____式簽署有效。

**Disclosure of Capacity 身分披露**

**For Securities (other than those traded on exchange)**, **Apricot Capital (Hong Kong) Limited** is the sub-distributor, unless otherwise specified, of the investment products offered.
**就證券（交易所買賣的證券除外）而言，金杏資本(香港)有限公司**，除非特別註明外，乃投資產品之分銷商。

**For exchange traded Securities**, **Apricot Capital (Hong Kong) Limited** is the order executing agent of the Securities offered.
**就交易所買賣證券而言，金杏資本(香港)有限公司**乃投資產品之分銷商。

## DECLARATION BY ACCOUNT EXECUTIVE 客戶經理聲明

I/We, the undersigned, hereby confirm that
本人 / 吾等，即下述簽署人，謹此確認：

1. I/We have provided to the applicant(s) a copy of the Client Agreement;
   本人 / 吾等已向申請人提供一份客戶協議；
2. I/We have explained to the applicant(s) the roles of and relationships between the Account Executive and Apricot Capital (Hong Kong) Limited;
   本人 / 吾等已向申請人解釋客戶經理和金杏資本(香港)有限公司的角色及彼此之間的關係；
3. I/We have provided the Risk Disclosure Statements as set out in the Client Agreement in a language of the applicant's choice and have invited the applicant(s) to read the Risk Disclosure Statements, including but not limited to "Risk Disclosure Statement – Securities Trading Account", "Risk Disclosure Statement of the relevant Derivative Products" and ask questions and take independent advice if the applicant(s) wishes/wish;
   本人 / 吾等已向申請人提供申請人揀選語言版本於條款及條件列明的風險聲明。本人 / 吾等已請求申請人閱讀該等風險聲明，包括但不限於 《風險披露聲明書 – 證券交易賬戶》、《一般常見的交易所買賣衍生產品之風險披露聲明》並發問問題及如認為有需要諮詢獨立意見。
4. I/We hold and will continue to hold all relevant licenses, authorisations and registrations to provide all relevant services to the applicant(s);
   本人 / 吾等持有並將繼續持有向申請人提供所有相關服務的一切相關執照、授權及登記；
5. I/We have complied and will comply with all relevant laws, regulations, codes and guidelines relating to the services provided by me/us to the applicant(s); and
   本人 / 吾等經已並將會繼續遵守與本人 / 吾等向申請人提供的服務有關的一切相關法律、規例、守則及指引；
6. The financial services I/we provided to the applicant(s) were in accordance with the applicable regulations and laws in Hong Kong, and/or the relevant jurisdictions (where applicable).
   本人乃根據香港及或相關的司法管轄區(如適用)的相關法規及法例向申請人提供金融服務。

| Last Name 姓 | First Name 名 | CE No. CE 編號 | Account Executive Code 客戶經理編號 |
|---|---|---|---|
| | | | |
| Signature 簽署<br>✕ | | | Date 日期 |

## DECLARATION BY QUALIFIED PERSON 合資格人士聲明

Only applicable if a person other than the Licensed Person certifies the copies of the applicant's HKID^/Passport.
僅適用於由非持牌代表就申請人之香港身份證^/護照副本作出核實聲明。

I, the undersigned, hereby confirm that I have identified the applicant(s) who executed this Account Application Form before me, and reviewed the original of his/their HKID(s)^ or passport(s).
本人，即下述簽署人，謹此確認，本人曾確認於本人面前簽署此賬戶申請表之人士的身份及核實其香港身份證^/護照之正本。

| Last Name 姓 | First Name 名 | Professional Designation 專業資格 | Date 日期 |
|---|---|---|---|
| | | | |
| Signature 簽署<br>✕ | Address 地址 | | |

## Anti-Money Laundering Checklist (Mandatory for Account Executives)
## 防止清洗黑錢清單（客戶經理必須填寫此欄）

**Source of funds to be invested 投資資金來源** (Describe the activity from which the applicant's investment monies are derived 說明投資金額從哪類活動獲得)

- ☐ Salary / Bonuses 薪金 / 花紅
- ☐ Business Profits 業務利潤
- ☐ MPF 強積金
- ☐ Investment earnings 投資收益
- ☐ Gift 餽贈
- ☐ Other (specify) 其他（須註明）

**Risk Levels of Money Laundering 清洗黑錢風險程度**

- ☐ **High 高** — If the customer is a Politically Exposed Person ("PEP"); if the customer resides or is engaged in business in non-FATF (Financial Action Task Force) countries/regions (e.g. Afghanistan, Iraq, Pakistan, Egypt, Nigeria, etc.) or is engaged in high risk business (e.g. jewellery, gambling, etc.). 如客戶被識別為公眾政治人物（「PEP」）、如客戶於非財務行動特別組織成員國（如阿富汗、伊拉克、巴基斯坦、埃及、尼日利亞）居住或參與業務或參與高風險業務（如珠寶業和賭業）。
- ☐ **Normal 一般** — If the customer resides or is engaged in business in FATF countries/regions (e.g. Hong Kong) which are generally recognised as having strong anti- money laundering controls in place. 如客戶於財務行動特別組織成員國或屬低風險地區居住或參與業務，該等國家應具有完善的防止清洗黑錢制度（如香港）。

## Document Checklist 所需文件清單

**Individual Applicants 個人客戶**

- ☐ Certified copy of Permanent HKID^/ Passport
  經核實之香港身份證^或護照副本
- ☐ Further Due Diligence Form for individual applicants who are exposed to increased levels of risks of money laundering as defined above
  如客戶屬高風險程度（個人），須提供進一步盡職調查表格
- ☐ Certified copy of HKID^/passport of ultimate beneficial owner(s) (if applicable)
  最終權益擁有人之經核實之香港身份證^或護照副本（如適用）
- ☐ For Discretionary Account, certified copy of HKID^/passport, SFC licensed copy of authorised representative(s) of Wealth Advise Company or authorised Account Executive(s) shall be submitted
  如屬委託賬戶，須提供客戶經理公司之授權代表及授權客戶經理的經核實之香港身份證^或護照副本及證監會牌照副本
- ☐ Please provide bank statement for the registered bank account details.
  請提供銀行月結單用作登記銀行賬戶資料。

Notes 註:

(1) The above documents shall be certified by the Licensed Person or a Qualified Person. *Qualified Person: a person who is licensed or registered by a financial regulator (mandatory in Hong Kong), a Justice of the Peace, or a professional person (such as a branch manager of an international bank, a certified public accountant, a lawyer or a notary public).
上述文件須由持牌或合資格人士核實。*合資格人士：持有或獲金融監管機構發牌之人士（強制於香港）、太平紳士、專業人士（如國際性銀行分行經理、註冊會計師、律師或國際公證人）。

(2) If signed under a power of attorney, such power of attorney or a duly certified copy must be attached to this Account Application Form.
倘根據授權書簽署，則本賬戶申請表必須夾附有關授權書或其經正式核實之副本。

(3) Apricot Capital (Hong Kong) Limited reserves the right to reject any application.
金杏資本(香港)有限公司有權拒絕受理任何申請表。

(4) This Account Application Form may be executed in any number of counterparts, all of which taken together will be deemed to constitute one instrument.
本賬戶申請表可能由多於一名申請人簽署，所有該等簽署將視為構成一份文據。

^ For residents with right of abode in Hong Kong only. Other residents please provide passport numbers.
只適用於擁有香港居留權之香港永久性居民，其他居民請填寫護照號碼。

## Client Information And Document Checked By 客戶資料及文件查核

| | | |
|---|---|---|
| Referee 介紹人 | No. of year(s) known by A/E 與客戶主任識年期 | |
| Account Executive Name 客戶主任姓名 | Account Executive Code 客戶主任編號 | Date 日期 |

## Margin And Credit Limit And Commisssion Rate 信貸及佣金

| | |
|---|---|
| Margin Limit (Exposure Limited):<br>保證金額： | Credit Limit:<br>信貸額: |
| Commission Rate(%):<br>佣金（%）: | Minimum (HK$):<br>最低佣金(HK$): |

## Account Opening Approval 開戶批核

| | | |
|---|---|---|
| Name of Staff:<br>職員姓名： | Signature of Staff:<br>職員簽署： | Position:<br>職位： |

## Remark 備註

## Authorisation on the Use of Client Personal Data (Only Applicable to Personal / Joint Account)
## 客戶個人資料使用授權書 (只適用於個人/聯名賬戶）

### Use of Client Personal Data for Direct Marketing 使用客戶個人資料作直接促銷

**Transfer of Client Personal Data to Account Executive**
**向客戶經理提供客戶個人資料**

For the purpose of providing ongoing financial services by Apricot Capital (Hong Kong) Limited and your Account Executive and Wealth Advisory Company (collectively "Account Executive") in relation to your account ("Account") held with Apricot Capital (Hong Kong) Limited, it is necessary for Apricot Capital (Hong Kong) Limited to transfer or disclose the following personal data to your Account Executive:
為使金杏資本(香港)有限公司，閣下的客戶經理及客戶經理公司(以下稱「客戶經理」) 向閣下於金杏資本(香港)有限公司持有的賬戶提供持續的金融服務，金杏資本(香港)有限公司必須向閣下的客戶經理提供或披露以下的個人資料：

- All the personal particulars you provided in the Account Application Form; 所有閣下於賬戶申請表內提供的個人資料;
- Products and services portfolio information of your Account; 閣下賬戶內的產品及服務組合資料;
- Transaction pattern, behavior and details of your Account; and 閣下賬戶的交易模式、行為及詳細資料; 及
- Your financial background and demographic data. 閣下的財務背景及人口統計數據。

**Use of Client Personal Data in Direct Marketing**
**在直接促銷中使用客戶個人資料**

Your personal data will be used by Apricot Capital (Hong Kong) Limited and your Account Executive for the following direct marketing purposes:
金杏資本(香港)有限公司及閣下的客戶經理將使用閣下的個人資料作以下直接促銷之用：

- To contact you for the provision of investment advisory services that involve the recommendation of any securities products available on the Apricot Capital (Hong Kong) Limited platform; 聯絡閣下以提供投資顧問服務，當中包括向閣下就金杏資本(香港)有限公司的平台上的證券產品提出投資建議;
- To contact you for the provision of securities dealing services and/or asset management services that involve promotion or marketing of any securities products or services available on the Apricot Capital (Hong Kong) Limited platform; 聯絡閣下以提供證券買賣及/或資產管理服務，當中包括向閣下推銷金杏資本(香港)有限公司的平台的任何證券產品或服務;
- To send invitation to you on any marketing events or seminars; and 邀請閣下參與任何推廣活動或講座; 及
- To send marketing materials to you regarding any securities products or other promotional offers in relation to your Account. 向閣下提供任何證券產品的推銷文件或其他有關閣下賬戶的推廣優惠。

**Note:** Apricot Capital (Hong Kong) Limited will not use or transfer your personal data for the above mentioned purposes of direct marketing, unless Apricot Capital (Hong Kong) Limited obtains your written consent to the intended use or transfer. The transfer of your personal data to your Weatlh Adviser may lead to sales in securities products in which Apricot Capital (Hong Kong) Limited may gain in its provisions of services.
**註：** 除非獲得閣下的書面同意，金杏資本(香港)有限公司不會使用或將閣下的個人資料提供予閣下的客戶經理用作直接促銷。金杏資本(香港)有限公司或因向閣下的客戶經理提供閣下的個人資料，就其提供的證券交易服務中獲取得益。

**Opt-out Right 拒絕直接促銷權利**
If you no longer wish to allow the use of your personal data by Apricot Capital (Hong Kong) Limited and/or your Account Executive after your consent, you could send your request to Apricot Capital (Hong Kong) Limited via the below channels:
如閣下授權後不希望金杏資本(香港)有限公司及/或閣下的客戶經理繼續使用閣下的個人資料作直接促銷之用，閣下可透過以下途徑向金杏資本(香港)有限公司提出拒絕要求：

The Data Protection Officer 資料保護專員
**Suites 2703, 27/F., Everbright Centre, No. 108 Gloucester Road, Wanchai, Hong Kong** 香港灣仔告士打道108號光大中心27樓2703室
Telephone 電話： (852) 3725 4300
Fax 傳真: (852) 3725 4399

### Consent by Client 客戶確認

I/We have read and understood the Personal Information Collection Statement ("PICS") of Apricot Capital (Hong Kong) Limited and the above provisions on the use and transfer of my/our personal data by Apricot Capital (Hong Kong) Limited and/or to my/our Account Executive for direct marketing purposes, and hereby declare that I/we:
本人/吾等已閱讀及明白金杏資本(香港)有限公司的個人資料收集聲明及上述有關金杏資本(香港)有限公司使用及/或向本人/吾等的客戶經理提供本人/吾等的個人資料作直接促銷之用，並在此聲明本人/吾等：

Agree to Apricot Capital (Hong Kong) Limited's using or transferring of my/our personal data to my/our Account Executive for the direct marketing purposes as stated above.
同意金杏資本(香港)有限公司及本人/吾等的客戶經理根據以上所述使用或向本人/吾等的客戶經理根據以上所述作直接促銷之用。

☐ **Yes 是**
☐ **No 否** (Please note: Your Account Executive will not be able to provide the relevant financial services on your Account and have the necessary authority in order to administrate or manage your investment portfolio in your Account. Hence, Apricot Capital (Hong Kong) Limited **WILL NOT** be able to accept your account application in the Apricot Capital (Hong Kong) Limited.) (註：閣下的客戶經理將無法向閣下的賬戶提供相關的金融服務及持有相關的授權管理閣下賬戶中的投資組合。因此，金杏資本(香港)有限公司將**不會**接受閣下於金杏資本(香港)有限公司開戶申請。）

### Use of Client Personal Data for Hong Kong Investor Identification Regime 使用客戶個人資料作香港投資者識別碼制度

I/We acknowledge and agree that you (Apricot Capital (Hong Kong) Limited) may collect, store, process, use, disclose and transfer personal data relating to me/us (including my/our CID and BCAN(s)) as required for you to provide services to me/us in relation to securities listed or traded on the Stock Exchange of Hong Kong (SEHK) and for complying with the rules and requirements of SEHK and the Securities and Futures Commission (SFC) in effect from time to time. Without limiting the foregoing, this includes –
本人/ 吾等明白並同意， 貴公司「金杏資本(香港)有限公司」為了向本人/ 吾等提供與在香港聯合交易所「聯 交所」上市或買賣的證券相關的服務，以及為了遵守不時生效的聯交所與證券及期貨事務監察 委員會「證監會」的規則和規定， 貴公司可收集、儲存、處理、使用、披露及轉移與本人/ 吾等有關的 個人資料（包括本人/ 吾等的客戶識別信息及券商客戶編碼）。在不限制以上的內容的前提下，當中 包括—

(a) disclosing and transferring my/our personal data (including CID and BCAN(s)) to SEHK and/or the SFC in accordance with the rules and requirements of SEHK and the SFC in effect from time to time; 根據不時生效的聯交所及證監會規則和規定，向聯交所及／或證監會披露及轉移本人/ 吾等 的個人資料（包括客戶識別信息及券商客戶編碼）;

(b) allowing SEHK to: (i) collect, store, process and use my/our personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK; and (ii) disclose and transfer such information to the relevant regulators and law enforcement agencies in Hong Kong (including, but not limited to, the SFC) so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets; and (iii) use such information for conducting analysis for the purposes of market oversight; and 允許聯交所：(i)收集、儲存、處理及使用本人/ 吾等的個人資料（包括客戶識別信息及券商客 戶編碼），以便監察和監管市場及執行《聯交所規則》；(ii)向香港相關監管機構和執 法機構（包括但不限於證監會）披露及轉移有關資料，以便他們就香港金融市場履行 其法定職能；及(iii)為監察市場目的而使用有關資料進行分析；及

(c) allowing the SFC to: (i) collect, store, process and use my/our personal data (including CID and BCAN(s)) for the performance of its statutory functions including monitoring, surveillance and enforcement functions with respect to the Hong Kong financial markets; and (ii) disclose and transfer such information to relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements; and 允許證監會：(i)收集、儲存、處理及使用本人/ 吾等的個人資料（包括客戶識別信息及券商客 戶編碼），以便其履行法定職能，包括對香港金融市場的監管、監察及執法職能；及 (ii)根據適用法例或監管規定向香港相關監管機構和執法機構披露及轉移有關資料。

(d) providing BCAN to Hong Kong Securities Clearing Company Limited ("HKSCC") allowing HKSCC to: (i) retrieve from SEHK (which is allowed to disclose and transfer to HKSCC), process and store my/our CID and transfer my/our CID to the issuer's share registrar to enable HKSCC and/or the issuer's share registrar to verify that I/we have not made any duplicate applications for the relevant share subscription and to facilitate IPO balloting and IPO settlement; and (ii) process and store my/our CID and transfer my/our CID to the issuer, the issuer's share registrar, SFC, SEHK and any other parties involved in the IPO for the purposes of processing my/our application for the relevant share subscription or any other purposes set out in the IPO issuer's prospectus. 向香港中央結算有限公司「中央結算」提供券商客戶編碼以允許中央結算: (i)從聯交所取得、處理及儲存(允許披露及轉移給中央結算)屬於本人/ 吾等的客戶識別信息，及向發行人的股份過戶登記處轉移本人/ 吾等的客戶識別信息，以便核實本人/ 吾等未就相關股份認購進行重複申請，以及便利首次

公開招股抽籤及首次公開招股結算程序；及(ii)處理及儲存本人/ 吾等的客戶識別信息，及向發行人、發行人的股份過戶登記處、證監會、聯交所及其他公開招股的有關各方轉移本人/ 吾等的客戶識別信息，以便處理本人/ 吾等對有關股份認購的申請，或為載於公開招股發行人的招股章程的任何其他目的。

I/We also agree that despite any subsequent purported withdrawal of consent by me/us, my/our personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent. 本人/ 吾等亦同意，即使本人/ 吾等其後宣稱撤回同意， 貴公司在本人/ 吾等宣稱撤回同意後，仍可繼續儲存、處 理、使用、披露或轉移本人/ 吾等的個人資料以作上述用途。

Failure to provide us with my/our personal data or consent as described above may mean that you will not, or will no longer be able to, as the case may be, carry out my/our trading instructions or provide me/us with securities related services (other than to sell, transfer out or withdraw my/our existing holdings of securities, if any). 本人/ 吾等如未能向 貴公司提供個人資料或上述同意，可能意味著 貴公司不會或不能夠再（視情況而定） 執行本人/ 吾等的交易指示或向本人/ 吾等提供證券相關服務，惟出售、轉出或提取本人/ 吾等現有的證券持倉（如有）除外。

Note: The terms "BCAN" and "CID" used in this clause shall bear the meanings as defined in paragraph 5.6 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission." 備註：本條文所述的"券商客戶編碼"及"客戶識別信息"具有《證券及期貨事務監察委員會 持牌人或註冊人操守準則》第 5.6 段所界定的含義。"

## Signature 簽署

**Individual Investor/Joint Investor 個人投資者/聯名投資者** (if applicable 如適用)

**Main Applicant 主要申請人**

| Last Name 姓 | First Name 名 | Signature 簽署 | Date 日期 |
|---|---|---|---|
| | | ✕ | dd日 / mm月 /yyyy年 |

**Joint Applicant 聯名申請人**

| Last Name 姓 | First Name 名 | Signature 簽署 | Date 日期 |
|---|---|---|---|
| | | ✕ | dd日 / mm月 /yyyy年 |

**For Account Executive Use 供客戶經理使用**

| Signature of Account Executive 客戶經理簽署: | CE No. 中央編號: | Date 日期: |
|---|---|---|
| ✕ | | dd 日/mm 月/yyyy年 |

## For Office Use Only 此欄由本公司填寫

| Created by | Approved by | Date | Remarks |
|---|---|---|---|
| | | | |

## Risk Profile Description 風險範圍闡述

| Risk Profile 風險範圍 | Description 闡述 |
|---|---|
| **Conservative Investor**<br>**保守型投資者** | Investors under this category are with financial health indicating that they should not take risk.<br><br>In general, one or more of these points apply to them:<br>• They are willing to accept low returns from investments that provide more certainty. They go by the motto "slow and easy wins the day". They cannot stand taking a loss, even if it is only on paper.<br>• They do not have much savings and they cannot afford to lose money on their investments. If any emergency comes up unexpectedly, they would probably have to use their investment to pay for it.<br>• They are quite easily contented. They do not think they will spend much when they retire. They like the idea of simple living and just taking it easy during retirement.<br><br>屬於本類別的投資者的財務狀況顯示他們不應該冒險。<br><br>一般而言，下面會有一點或幾點適用於描述他們的取向：<br>• 他們願意接受穩定而較低的回報。他們的格言是「穩健紮實必致勝」他們不能忍受損失，即使只是紙上的損失。<br>• 他們沒有大量儲蓄，也負擔不起投資損失。如果有出乎意料的緊急事件發生，他們就不得不把投資套現，用來支付所需開支了。<br>• 他們頗容易知足，並預期退休後不會有很大的開支。他們喜歡簡單的生活，並想在退休後頤養天年。 |
| **Moderately Conservative Investor**<br><br>**中度保守型投資者** | Investors under this category enjoy stability and predictability.<br><br>In general, one or more of these points should apply to them:<br>• They are willing to accept lower returns for a more stable investment. They can take some loss provided it on paperonly.<br>• They have a little savings but not enough to cover any emergency expenses should some come up. It'd better that most of their investments are placed in a less volatile securities should they be required to realise them immediately.<br>• They are quite easily contented. They do not think they will spend much when they retire. They would require a bit more cash to spend on the occasional luxuries but they are generally quite frugal.<br><br>屬於本類別的投資者喜歡穩定而可預測的投資。<br><br>一般而言，下面會有一點或幾點適用於描述他們的取向：<br>• 他們願意投資於低回報但較表現穩定的項目，並只能承擔寫賬面上的損失。<br>• 他們有一點儲蓄，但不足以應付緊急的開支。他們的大部分投資都放在可以立即套現、波動性低的證券上。<br>• 他們頗容易知足，並預期退休後不會有很大的支出。雖然他們希望偶爾奢侈一下，但基本上他們是頗為節儉。 |
| **Balanced Investor**<br>**平衡型投資者** | Investors under this category prefer the best of both worlds. Not too much risk, but not too shabby returns either. Their portfolio would probably consist of a large proportion of equity funds, balanced against an almost equal or larger proportion of less risky funds.<br><br>In general, one or more of these points apply to them:<br>• They want slightly higher than average returns, yet are aware that their rates of returns are restricted due to the "safer" funds they hold.<br>• They generally have some money saved up, although they wished that it were a little more, so that they could afford to take a little bit more risk in their investments.<br>• They are very contented with their standard of living now. Their investments are meant to enable them to maintain this lifestyle, rather than to dramatically enhance it.<br><br>屬於本類別的投資者既不喜歡冒太大的風險，也不喜歡太低的回報。他們的投資組合可能有不少比重為股票基金，又有相等或更多的低風險基金來平衡風險。<br><br>一般而言，下面會有一點或幾點適用於描述他們的取向：<br>• 雖然他們想賺取稍高於市場的平均回報，但他們也知道回報率被風險較低的單位信託所限。<br>• 他們通常會儲起一些資金(他們總是希望多存一點)，以便在投資時可以負擔大一點的風險。<br>• 他們非常滿意現時的生活水平。投資只是他們保持這種生活方式的工具，而不是為了大幅提高生活質素。 |
| **Moderately Aggressive Investor**<br>**中度進取型投資者** | Investors under this category are an adventurous investor that wants a portfolio that will give them higher returns but with the knowledge that this means they have to take some risk. However, they will maintain some of their investment in lower risk funds.<br><br>In general, one or more of these points should apply to them:<br>• They know that in order to achieve high returns they must be willing to accept market fluctuations. They still want some degree of safety though and will keep some of their investments in low risk low return unit trusts.<br>• They generally have an adequate sum of money put away for emergencies. They should not need to have to realise any of their investments soon.<br>• They want to have an above average lifestyle when they retire. They do not need to be terribly extravagant but they would like some creature comforts to make up for all the hard work they've put in over the years.<br><br>屬於本類別的投資者是敢於冒險的投資者。他們要求較高的投資回報，也知道要冒一些風險。不過，他們會保留一些低風險的單位信託。<br><br>一般而言，下面會有一點或幾點適用於描述他們的取向：<br>• 為了賺取高回報，他們知道要他們要承擔市場波動。不過，他們仍想有某程度的安全感，因此會保留一些低風險、低回報的單位信託。<br>• 他們通常會預留足夠的資金去應付緊急事情。他們毋須匆忙地把投資套現。<br>• 他們希望有一個高於平均水平的退休生活。雖然他們不需要極盡奢華的生活，但他們渴望有一個舒適的生活，來彌補多年來的辛勞。 |
| **Aggressive Investor**<br>**進取型投資者** | Investors under this category prefer to invest in high risk high return securities.<br><br>In general, one or more of these points should apply to them:<br>• They want high returns and are willing to take short term losses in order to realise this. They are a risk-taker and realise that fluctuations in the market is normal.<br>• They generally have more than enough money saved up. The money set aside for investment is solely for investment, nothing else.<br>• They expect to have a very comfortable retirement. They want to enjoy life to its fullest and this means They need to have enough money to do so.<br><br>屬於本類別的投資者為偏向投資於高風險高回報的證券。<br><br>一般而言，下面會有一點或幾點適用於描述他們的取向：<br>• 他們渴望賺取理想回報，並願意為此承擔短期損失。他們愛冒險，並明白市場波動是正常現象。<br>• 他們通常有足夠的資金作為儲蓄，投資所用的資金並沒有其他用途。<br>• 他們預計自己會擁有非常舒適的退休生活。他們希望盡情享受人生，這代表他們需要有足夠的資金。 |