



Global Mastermind Securities Limited

環球大通證券有限公司

Unit 1203, 12/F, West Tower, Shun Tak Centre,
168-200 Connaught Road Central, Hong Kong
香港干諾道中 168-200 號信德中心西座 12 樓 1203 室
Tel: +852 2763 3939 Fax: +852 2618 9806

For Internal Use Only 內部專用

Account Number 帳戶號碼

Account Manager Code 客戶經理編號

ACCOUNT OPENING FORM (Individual/Joint Account)

開立帳戶表格 (個人/聯名帳戶)

Account Type 帳戶種類: Individual Account 個人帳戶 Joint Account 聯名帳戶 (Primary/Secondary 第一/第二)* Cash Account 現金帳戶
 Margin Account 保證金帳戶
 *Please provide the secondary joint account holder's account opening form and relevant documents
 *請一併提交第二聯名帳戶持有人開立帳戶表格及相關文件

Global Mastermind Securities Limited ("GMSL") carries on securities trading business and is licensed to carry on Type 1 and Type 4 regulated activity (dealing in securities and advising on securities) under the Securities and Futures Ordinance (CE No. B10067), and is an exchange participant of The Stock Exchange of Hong Kong Limited (Exchange Participant ID 2087).
 環球大通證券有限公司("環球大通證券")經營證券交易的業務, 並根據證券及期貨條例獲發牌經營第1類及第4類受規管活動(證券交易及就證券提供意見)(中央編號: B10067), 且為香港聯合交易所有限公司之交易所參與者(聯交所參與者代號 2087)。
 All information will be kept strictly confidential. Please fill out the form COMPLETELY, TRUTHFULLY and ACCURATELY. For item(s) not applicable in your case, please mark "N/A".
 所有資料絕對保密, 請完整地及如實地填寫此表格, 並確保資料的準確性。若有不適用的項目, 請填寫"不適用"。

Client Information 客戶資料

*Please complete in Block Letter, tick as appropriate 請用正楷填寫, 適用處別

A. Personal Information 個人資料

Client Name 客戶姓名	Surname (English) 姓氏 (中文)	Given Name 名字
Date of Birth (dd/mm/yyyy) 出生日期(日/月/年)	Country of Birth 出生國家	
ID Card / Passport No. 身份證 / 護照號碼	Nationality 國籍	
Sex 性別 <input type="checkbox"/> Male 男 <input type="checkbox"/> Female 女	Marital Status 婚姻狀況 <input type="checkbox"/> Single 單身 <input type="checkbox"/> Married 已婚	
Residential Address 住宅地址	(Postal Code 郵編:) (Please provide a valid address proof issued within 3 months 請提供近三個月內發出的有效地址證明)	
No. of Year(s) 居住年數 Year(s) 年	<input type="checkbox"/> Rental 租用 <input type="checkbox"/> Self-owned Properties 自置物業	<input type="checkbox"/> Living with Relative 與親戚同住 <input type="checkbox"/> Under Mortgage Properties 按揭物業
Correspondence Address (if different from above) 通訊地址(如與上述地址不同)	(Postal Code 郵編:)	
Contact No. 聯絡電話	Mobile No. 手提電話	Facsimile No. 傳真號碼
Statement Collection Method 收取結單方式	<input type="checkbox"/> E-mail 電郵 <input type="checkbox"/> Mail to Residential Address 郵寄至住宅地址 <input type="checkbox"/> Mail to Correspondence Address 郵寄至通訊地址 (Please refer to the fee table for mailing statement 郵寄結單之費用請參閱收費表)	
E-mail Address 電郵地址	Statement Language 結單語言 <input type="checkbox"/> Traditional Chinese 繁體中文 <input type="checkbox"/> Simplified Chinese 簡體中文 <input type="checkbox"/> English 英文	
Education Level 教育水平	<input type="checkbox"/> Primary Educated Level or below 小學程度或以下 <input type="checkbox"/> Secondary Graduate 中學畢業 <input type="checkbox"/> University Graduate 大學畢業 <input type="checkbox"/> Postgraduate or above 碩士畢業或以上	
Employment Status 就業情況	<input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-Employed 自僱 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Other 其他: _____	
Employer Name 僱主名稱	Nature of Business 業務性質	
Position 職位	Year(s) of Service 服務年期	

B. Financial Background 財務狀況

Estimated Annual Income (in HK\$) 估計年收入(以港幣計)	<input type="checkbox"/> Less than 少於 \$200,000 <input type="checkbox"/> \$1,000,001 - \$5,000,000	<input type="checkbox"/> \$200,000 - \$500,000 <input type="checkbox"/> \$5,000,001 - \$10,000,000	<input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> Over 多於 \$10,000,000
Approximate Net Assets (in HK\$) 淨資產估算(以港幣計)	<input type="checkbox"/> Less than 少於 \$200,000 <input type="checkbox"/> \$1,000,001 - \$5,000,000	<input type="checkbox"/> \$200,000 - \$500,000 <input type="checkbox"/> \$5,000,001 - \$10,000,000	<input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> Over 多於 \$10,000,000
Source of Wealth 財富來源	<input type="checkbox"/> Savings from Salary 薪金儲蓄 <input type="checkbox"/> Inheritance 遺產	<input type="checkbox"/> Trading Profits 營業溢利 <input type="checkbox"/> Investment 金融投資	<input type="checkbox"/> Rental Income 租金收入 <input type="checkbox"/> Others 其他: _____

C. Investment Profile 投資概況

Please attached a completed Investor Characteristic Questionnaire with this Account Opening Form.
請隨此開立帳戶表格附上已完成的投資者分類問卷。

D. Designated Bank Account 指定銀行戶口

The following bank account is hereby designated by the Client as the settlement account for settlement purpose (the "Settlement Account"). The Client hereby instructs and authorizes GMSL to deposit any monies and funds payable to the Client into the Settlement Account. GMSL agrees to deposit such monies and funds into the Settlement Account (or pay to the Client through other methods deemed to be appropriate) within such period required under the Applicable Laws or Regulations but GMSL shall not be held liable for any losses, expenses or damages suffered by the Client from any delay of such payments caused by any reasons.

客戶謹此指定以下的銀行帳戶為其作結算用途的結算帳戶("結算帳戶")。客戶謹此指示及授權環球大通證券將所任何應付予客戶之款項及金錢存入結算帳戶。環球大通證券將在相關法律或規則所規定的時限內把該些款項及金錢存入結算帳戶中 (或以其認為合適的其他方式付予客戶)，但環球大通證券不會對任何原因而延遲存入款項令客戶蒙受的任何虧損、開支或賠償承擔任何責任。

Bank Name 銀行名稱			
Bank Account Name 銀行帳戶名稱	Bank Account Number 銀行帳戶號碼		
Type of Account 帳戶類別	<input type="checkbox"/> HK Dollar Account 港幣帳戶 <input type="checkbox"/> Other Currency Account 其他貨幣帳戶 (Please specify 請說明: _____)		
Bank Address 銀行地址	SWIFT Code 銀行國際代碼		(For overseas bank only 只適用於海外銀行)

E. Personal Declaration 個人聲明

Is the Client the ultimate beneficial owner(s) of the Account? 客戶是否為此帳戶之最終實益擁有人?

Yes 是 No 否 (If no, please specify 如否, 請說明)

Name 姓名 : _____ Relationship 關係 : _____ ID / Passport No. 身份證/護照號碼 : _____
Address 地址 : _____ Country of Issue 簽發國家 : _____

*Please provide the identification documents and valid address proof of the ultimate beneficial owner(s) 請提供最終實際受益擁有人的身份證明文件和有效的地址證明

Is the Client and/or the ultimate beneficial owner(s) of the Account an immediate family member to any employee or director of GMSL?

客戶及/或帳戶之最終實益擁有人是否與環球大通證券之僱員/董事之直系親屬?

Yes 是 (If yes, please specify 如是, 請說明) No 否

Name of the Employee/Director 僱員/董事姓名 : _____ Direct Relationship 直系親屬關係 : _____

Is the Client a licensed or registered person, or a director or an employee of any licensed corporation or registered institution licensed by or registered with the SFC?

客戶是否為證券及期貨事務監察委員會的持牌或註冊人士、或任何持牌或註冊法團之董事或職員嗎?

Yes 是 (If yes, please specify 如是, 請說明) No 否

CE No. of the licensed or registered corporation 持牌或註冊法團之中央編號 : _____

*如果是, 請給予僱主的同意信 If yes, please provide consent letter from your employer.

Is the Client the ultimate beneficial owner or directly or indirectly having any interest from any accounts (including but not limited to individual, joint and corporate account) held with GMSL or any of its subsidiaries or associated companies?

客戶是否於環球大通證券及其附屬或聯營公司持有任何帳戶(不論個人、聯名、公司、託管), 而本人為該等帳戶之最終實益擁有人或從中擁有任何直接或間接利益?

Yes 是 (If yes, please specify 如是, 請說明) No 否

Account Name 帳戶名稱	Account No. 帳戶號碼	Relationship 關係
: _____	: _____	: _____
Account Name 帳戶名稱	Account No. 帳戶號碼	Relationship 關係
: _____	: _____	: _____

For Margin Account Only 只適用於保證金帳戶

Related Margin Account(s) 相關保證金帳戶

1. Does your spouse maintain any Margin Account(s) with Global Mastermind Group?

客戶的配偶是否於環球大通集團持有任何保證金帳戶?

Yes 是 (If yes, please specify 如是, 請說明) No 否

Name of the spouse 配偶姓名 : _____ Account No. 帳戶號碼 : _____

2. Does the Client alone or jointly with his/her spouse control 35% or more of the voting rights of any other Margin Account(s) with Global Mastermind Group?

客戶或與配偶是否於環球大通集團單獨或共同控制任何其他保證金帳戶 35%或以上之表決權?

Yes 是 (If yes, please specify 如是, 請說明) No 否

Name of the Related Account 關聯帳戶名字 : _____ Account No. 帳戶號碼 : _____

Name of the Related Account 關聯帳戶名字 : _____ Account No. 帳戶號碼 : _____

Name of the Related Account 關聯帳戶名字 : _____ Account No. 帳戶號碼 : _____

F. Tax Obligations 稅務責任

I hereby give my consent to GMSL to disclose, report or share any of my information with any local and overseas regulators or tax authorities.

本人同意環球大通證券可向任何本地及海外監管機構或稅務機關披露、呈交或提供本人的任何資料。

I acknowledge and undertake to promptly provide further information and notify GMSL in writing within 30 days of any changes on the status of my taxes obligations.

本人理解及同意若本人的稅務責任狀況有任何變更，須於 30 日內以書面通知環球大通證券及提供有關資料。

Please attached a completed Common Reporting Standard (CRS) Self-Certification Form with this Account Opening Form.

請隨此開立帳戶表格附上共同匯報標準之自我證明表格。

I hereby declare that 本人特此聲明:

I am NOT a US citizen/US person 本人並非美國公民/美國人士

I am a US citizen/US person* 本人為美國公民/美國人士*

*Please note that we cannot accept your account opening application if you are a US citizen/US person.

如閣下為美國公民/美國人士，本公司將不能接納閣下之開戶申請。

G. Client Declarations, Confirmation and Acknowledgement 客戶聲明、確認及承認

I hereby declare that all the information provided is true and correct to my best knowledge and that I have not willfully withheld any material fact(s). GMSL is entitled to rely fully on such information, until GMSL receives any written notice from the Client for any changes. GMSL is authorized at any time to contact anyone, including the Client's banks, brokers or any credit agency, for the purpose of verifying any provided information.

本人謹此聲明，盡本人所知，所有提供之資料均為真實及正確，本人並未刻意隱瞞任何重要事實。環球大通證券將有權依靠這些資料，直至環球大通證券收到客戶發出的書面通知以示變更。客戶授權環球大通證券可在任何時間聯絡任何人士，包括客戶的銀行、經紀等任何信貸機構，藉以查證客戶提供之資料。

I hereby confirm to use the electronic trading service provided by GMSL and have already read and understood all the terms and conditions and all the associated risks in the Agreement and Risk Disclosure Statement.

本人謹此確認使用環球大通證券所提供之電子交易服務並已閱讀及明白該協議及風險披露聲明中的所有條款及細則和所有附帶風險。

I hereby acknowledge, understand and confirm that: 本人謹此承認、明白及確認:

● my submission of this form and the acceptance of this form by you in no way implies the approval of opening the Account for me and that you reserve the unconditional right to reject my application.

本人遞交此表格及閣下接納此表格並非代表閣下同意開立帳戶予本人，並清楚閣下保留無條件拒絕本人之開戶申請的權力。

● I have received, read and understood the current version of the Agreement for Securities Trading Account, Account Opening Form, the Risk Disclosure Statement and other documents, including but not limited to any schedules, appendices and annexes ("Agreement") and I accept and agree to be bound by them. GMSL shall have absolute rights to change, amend, delete or substitute any of the terms in or add new terms to the Agreement. All amendment and the revised Agreement will be available on the website of GMSL. I further acknowledge and confirm that such Agreement is published on GMSL website (www.globalmsec.com) and shall be responsible to view the website regularly to be aware of any amendments in a timely manner.

本人已收妥、閱讀及明白環球大通證券現行版本的證券交易帳戶協議、開立帳戶表格、風險披露聲明及其他文件，包括但不限於任何附表、附錄及附件("該協議")，而本人接納並同意受該等條款約束。環球大通證券有絕對酌情權修訂、更改、刪減或取代本協議之任何條款或加入新的條款。所有修訂及經修改之協議書將刊載於環球大通證券之網站上。本人知悉及確認該協議書已刊載於環球大通證券網站(www.globalmsec.com)上，及有責任定期瀏覽上述網址確保及時知悉任何修訂。

● I hereby acknowledge and confirm that GMSL has provided Risk Disclosure Statement in a language of my choice (English or Chinese) and I have been invited to read and to ask questions, and take independent advice if I wish. I confirm that the Licensed Representative Declaration in this Account Opening Form forms part of the Risk Disclosure Statement.

本人承認及確認環球大通證券已按照本人選擇的語言(英文或中文)提供風險披露聲明，而本人已獲邀閱讀、提出問題及徵求獨立的意見(如本人有此意願)。本人確認本開立帳戶表格中之持牌代表聲明構成風險披露聲明之一部分。

● I may be required to provide additional information or submit documentary proof when requested by GMSL from time to time as it deems appropriate for the purpose of complying with any regulatory requirements (including but not limited to the prevention of money laundering, terrorist financing and provision of financial and/or other services to persons or entities which may be subject to sanctions) and conducting client identification, verification and due diligence before opening the Account or accepting any instructions. GMSL may refuse to open, suspend or terminate the Account or reject the instructions if such documents or information are not provided or the client identification, verification or due diligence exercise is not completed to the satisfaction of GMSL.

本人清楚環球大通證券也許不時要求本人提供更多相關的資料或證明文件，以遵守任何法規要求(包括但不限於防止清洗黑錢、恐怖分子資金籌集及提供財務及/或其他服務予可能受制裁之人士或實體)及於開立帳戶或接受任何指示前進行客戶身份辨別、核實及盡職審查。若未能提供該些文件或資料或客戶身份辨別、核實及盡職審查程序未能以令環球大通證券滿意，則環球大通證券有權拒絕開立帳戶、拒絕接受指示、暫停或終止帳戶。

● I authorize GMSL to instruct, engage and appoint such executing or clearing brokers, agents, custodians, nominees, overseas broker and dealers (including branches or affiliates of Global Mastermind Group) (Collectively refer as "Agent") as GMSL may in its absolute discretion deem fit to execute, effect, trade, implement, clear and settle any instructions and transactions on the Client's behalf. The Client acknowledges and accepts the risks of loss or failure in completion of transactions in the event of the defaults, failure of any Agent in fulfilling its roles or winding up or cessation of business of such Agent, and GMSL shall not be responsible for any losses or damages incurred or suffered as a result thereof.

本人授權環球大通證券指示、聘用及委任其按絕對酌情權視為適當的執行或結算經紀、代理人、託管人、代名人、海外經紀及交易商(包括環球大通集團的分行或附屬成員)(統稱"代理人")，以代表客戶執行、進行、交易、實施、結算及完成任何指示及交易。客戶知悉及同意承擔因相關代理人違約、未能履行其責任，或因相關代理人破產、停業而導致客戶無法完成交易或蒙受損失之風險，且環球大通證券不需對上述引致的損失或損害承擔責任。

● The English version of any provided documents, including but not limited to the Agreement and Risk Disclosure Statement shall be deemed to be conclusive and definitive and prevail over the Chinese translation.

任何提供之文件包括但不限於該協議及風險披露聲明之英文本，應被視為確實及有最終效力，並凌駕中文譯本。

Client Signature 客戶簽名

Client Name

客戶姓名

: _____

Date

日期

: _____

H. Note for Joint Account 聯名帳戶須知 (Relationship between Account Holders 帳戶持有人之關係: _____)

- Please note that GMSL will not open a joint account if you cannot provide a joint account bank statement.
如閣下未能提供聯名帳戶之銀行結單，環球大通證券將不能為閣下開立聯名帳戶。
- All E-mail, contract notes and statements will be sent to the primary joint account holder.
所有電郵、成交單據及結單將會寄往第一帳戶持有人。
- GMSL shall be entitled to, but shall not be obligated to, act on instructions or requests from any one of the account holders. Any one of them may sign and/or effect securities transaction(s), payment, withdrawal or transfer transaction(s) for securities.
環球大通證券有權但無義務按照任何帳戶持有人下達之指示或請求行事，任何一位均可簽署及/或為證券進行支付、提取、交易及/或轉帳事宜。
- Each of them shall be bound though any other Client or any other person intended to be bound is not, for whatever reason, so bound.
即使任何原本要受約束的其他客戶或其他人士由於種種原因未被約束客戶之每一位均受約束。
- All liabilities and obligations shall be joint and several for each of them. All references to Client shall be construed to any one or all of them. GMSL shall be entitled to deal separately with any of the Client on any matters including the discharge of any liability to any extent without affecting the liability of any others.
各人之法律責任和義務均是共同及個別的。所有述及客戶的地方均能被理解為他們任何一位或每一位。環球大通證券有權個別與客戶中的任何一位處理任何事情，包括在任何程度上解除任何法律責任，而不會影響其他任何一位的法律責任。
- On the death of any person (being survived by any other such persons), the Agreement between GMSL and Clients shall not be terminated and the interest in the account(s) of the deceased will thereupon vest in and enure for the benefit of the survivor(s) provided that any liabilities incurred by the deceased Client shall be enforceable by GMSL against such deceased Client's estate. The surviving Client(s) shall give GMSL written notice and related documents upon any of them becoming aware of any such death.
任何人士之死亡(其他此等人士仍存活)不會令環球大通證券與客戶之間的協議終止，死者在帳戶內之利益將轉歸該(等)存活人士名下，但本公司有權向已去世客戶之遺產強制執行其任何法律責任。該(等)存活人士中任何人士得悉上述任何死訊時，必須馬上以書面通知本公司並提供相關證明文件。

I. Use of Personal Information 個人資料之使用

I have read and understood the Circular to Clients Relating to Personal Data (Privacy) Ordinance (Cap 486) (the "Circular"), and acknowledge that all the collected personal information may be used by Global Mastermind Group for the purposes as stated in the Circular.
本人已閱讀及明白關於《個人資料(私隱)條例》(第 486 章) 客戶通告("通告")，並知悉環球大通集團會將已收集之個人資料用作通告所述之用途。

- Please tick here, if you do not want Global Mastermind Group to use your personal data for such purpose.
如閣下不欲環球大通集團將閣下的個人資料用於上述自願性用途，請加上✓號。

If you would like to update your direct marketing arrangement, please contact us. (Address: Unit 1203, 12/F, West Tower, Shun Tak Centre, 168-200 Connaught Road Central, Hong Kong Kong Tel: 2763 3939) 如閣下需要更新直接促銷安排之選擇，請與本公司聯絡。(地址: 香港干諾道中 168-200 號信德中心西座 12 樓 1203 室 電話: 2763 3939)

J. Licensed Representative Declaration 持牌人士聲明

I hereby declare and confirm that I have provided the Agreement (including the Risk Disclosure Statement) to the above Client in a language of the Client's choice and fully explained the same to the Client in that language and I have also invited the Client to read every part of it, ask questions and take independent advice if the Client wishes. 本人謹此聲明及確認本人已按照上述客戶所選擇的語言向客戶提供協議書(包括風險披露聲明)及向其以該語言詳盡解釋，而本人曾邀請客戶閱讀協議書的每一部份、提出問題及徵求獨立的意見(如客戶有此意願)。

Name Licensed Representative 持牌代表姓名 : _____

CE No. (in Block Letters) CE 編號 (正楷填寫) : _____

Licensed Representative Signature 持牌代表簽署 _____ Date 日期 : _____

K. Witness 見證人

I hereby declare and confirm that the Client has signed the Agreement with my presence. I further declare that I have verified the original identification proof and other documents provided by the client and confirmed the enclosed copies as certified true copies*. I hereby declare and confirm that the Client has signed the Agreement with my presence. 本人謹此聲明及確認客戶於本人面前簽署此協議書。本人進一步聲明本人已核對客戶提供之身份證明文件及其他文件之正本並確認附上之副本為認證副本*。本人謹此聲明及確認客戶於本人面前簽署此協議書。

Witness Name 見證人姓名 : _____

Witness Signature 見證人簽署 _____ Witness Contact No. 見證人聯絡電話 : _____

Please provide witness's ID copy and name card 請提供見證人之身份證副本及名片 _____ Witness Date 見證日期 : _____

*Remark: The copy of the Identification proof and other documents can be certified by a Justice of the Peace or a professional person such as our company's licensed person, certified public accountant, lawyer or notary public. *備註: 身份證明文件及其他文件副本可由以下人士進行核證: 太平紳士或專業人士例如本公司之持牌人士、執業會計師、律師或公證人。

For Internal Use Only 內部專用

AM Code	Signature	Date		
Account Type	CASH A/C		MARGIN A/C	
Loan Limit	N/A		HKD	
Purchase Limit	HKD		HKD	
Approved by Credit Control				
Normal/Default Interest Rate	%	%	%	%
Min. Commission	HKD		HKD	
Commission Rate		%	%	
Approval Use				
Approved by	Checked by	Inputted by	Date	

Remarks: