



輝立金業有限公司

Phillip Bullion Limited

香港金鐘道 95 號統一中心 11 樓
11/F., United Centre, 95 Queensway, Hong Kong
傳真 Fax: (852) 2868 5307

帳號 Account No	
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你的投資夥伴

貴金屬交易是定性為高風險投資，閣下必須確保已了解貴金屬交易的特性、仔細權衡閣下的投資經驗、目標、財政狀況及所能承擔貴金屬交易之相關風險後，方簽署此客戶資料表。Precious metal trading is classified as high-risk investment. Please ensure you understand the nature of the precious metal trading and carefully consider in light of your experience, objectives, financial resources and the extent of your exposure to risk before signing this Customer Information Form.

客戶資料表 CUSTOMER INFORMATION FORM

(個人/ 聯名帳戶 INDIVIDUAL/ JOINT ACCOUNT)

負責客戶主任姓名 Responsible AE		與客戶主任認識多久 Known to AE for how long	
負責客戶主任編號 Responsible AE Code		推薦人 Introduced By	
帳戶形式 Account Nature	<input type="checkbox"/> 主要持有人 1st Holder <input type="checkbox"/> 第二持有人 2rd Holder		

A. 個人資料 Personal Information

姓名 Name	先生/女士 Mr / Ms	Name Surname First	Mr / Ms
身份證號碼 ID Card No.	簽發地點 Place of Issue	護照號碼 Passport No.	簽發地點 Place of Issue
出生日期(日/月/年) Date of Birth (DD/MM/YY)		住宅地址 Residential Address	
出生地點 Country of Birth			
國籍/公民身份 Nationality/Citizenship			
住宅電話 Home No.		國家 Country	郵政編號 Postal Code
流動電話 Mobile No.	1. (+) 2. (+)	學歷程度 Education Level	<input type="checkbox"/> 小學或以下 Primary School or below <input type="checkbox"/> 中學 Secondary School <input type="checkbox"/> 大專或以上 College or above
指定銀行 (1) Designated Bank (1)	銀行名稱 Name of Bank	帳戶號碼 Account No	帳戶名稱 Account Name
指定銀行 (2) Designated Bank (2)	銀行名稱 Name of Bank	帳戶號碼 Account No	帳戶名稱 Account Name
指定銀行 (3) Designated Bank (3)	銀行名稱 Name of Bank	帳戶號碼 Account No	帳戶名稱 Account Name

電郵地址 E-mail Address (最多 50 個字母 Max. 50 characters)

*所有交易確認及帳單將透過電郵方式發送至上述電郵地址

All trading confirmations and statements will be sent to the e-mail address stated herein

B. 工作狀況 Employment Status

行業 Industry		辦公室地址 Office Address	
職位 Job Title			
雇主名稱 Name of Employer			
受雇年期 Duration with Employer			國家 Country
辦公室電話 Office No.		年薪(HKD) Annual Income (HKD)	郵政編號 Postal Code

C. 投資經驗及衍生產品認識 Investment Experience & Derivative Products Knowledge

投資目標： Investment objective:	<input type="checkbox"/> 賺取收入 Generating Income <input type="checkbox"/> 資本增長 Capital Appreciation <input type="checkbox"/> 對沖 Hedging <input type="checkbox"/> 投機 Speculation																
對衍生產品之認識 Derivative Products Knowledge	<input type="checkbox"/> 本人並未有衍生產品之認識 I have NO knowledge of derivative products. <input type="checkbox"/> 本人瞭解衍生產品的性質和風險 I understand the nature and risks of derivative products by: <ol style="list-style-type: none"> 已接受有關的培訓或課程 Undergoing relevant training or attending course in: <table border="0"> <tr> <td><input type="checkbox"/> 監管機構 Regulatory Authority</td> <td><input type="checkbox"/> 交易所 Exchange</td> <td><input type="checkbox"/> 大專院校 Tertiary Institution</td> <td><input type="checkbox"/> 進修學院 Education Institution</td> <td><input type="checkbox"/> 金融機構 Financial Institution</td> </tr> </table> 於經紀公司或銀行、基金或資產管理公司、監管機構或交易所等金融機構擁有有關的工作經驗: By gaining prior relevant work experience in financial institutions such as a brokerage firm or bank, fund house or asset management firm, regulatory authority or exchange. <table border="0"> <tr> <td><input type="checkbox"/> 受監管持牌人士 Regulated Licensed Person</td> <td><input type="checkbox"/> 管理層 Management</td> <td><input type="checkbox"/> 與衍生工具相關後勤 Derivatives Related Back Office</td> </tr> </table> <input type="checkbox"/> 於過去三年內進行了五次或以上有關衍生產品之交易 (不論是否於交易所進行交易) #請選擇以下與你相關的衍生產品的投資經驗。 Executing five or more transactions in derivative products (whether traded on an exchange or not) within the past three years. # Please indicate your relevant derivative investment experience below. 	<input type="checkbox"/> 監管機構 Regulatory Authority	<input type="checkbox"/> 交易所 Exchange	<input type="checkbox"/> 大專院校 Tertiary Institution	<input type="checkbox"/> 進修學院 Education Institution	<input type="checkbox"/> 金融機構 Financial Institution	<input type="checkbox"/> 受監管持牌人士 Regulated Licensed Person	<input type="checkbox"/> 管理層 Management	<input type="checkbox"/> 與衍生工具相關後勤 Derivatives Related Back Office								
<input type="checkbox"/> 監管機構 Regulatory Authority	<input type="checkbox"/> 交易所 Exchange	<input type="checkbox"/> 大專院校 Tertiary Institution	<input type="checkbox"/> 進修學院 Education Institution	<input type="checkbox"/> 金融機構 Financial Institution													
<input type="checkbox"/> 受監管持牌人士 Regulated Licensed Person	<input type="checkbox"/> 管理層 Management	<input type="checkbox"/> 與衍生工具相關後勤 Derivatives Related Back Office															
投資經驗： (可選多於一項) Investment Experience: (Can choose more than one)	<table border="0"> <tr> <td><input type="checkbox"/> 上市證券 Listed Securities</td> <td>年數 Year(s)()</td> <td><input type="checkbox"/> 牛熊證/窩輪 CBBC/ Warrants</td> <td>年數 Year(s)()</td> </tr> <tr> <td><input type="checkbox"/> 期貨或期權 Futures or Options</td> <td>年數 Year(s)()</td> <td><input type="checkbox"/> 槓桿式外匯 Leveraged Foreign Exchange</td> <td>年數 Year(s)()</td> </tr> <tr> <td><input type="checkbox"/> 單位信託基金或債券 Unit Trusts or Bonds</td> <td>年數 Year(s)()</td> <td><input type="checkbox"/> 結構性產品 Structured Product</td> <td>年數 Year(s)()</td> </tr> <tr> <td><input type="checkbox"/> 槓桿及反向產品 Leveraged and Inverse Product</td> <td>年數 Year(s)()</td> <td></td> <td></td> </tr> </table>	<input type="checkbox"/> 上市證券 Listed Securities	年數 Year(s)()	<input type="checkbox"/> 牛熊證/窩輪 CBBC/ Warrants	年數 Year(s)()	<input type="checkbox"/> 期貨或期權 Futures or Options	年數 Year(s)()	<input type="checkbox"/> 槓桿式外匯 Leveraged Foreign Exchange	年數 Year(s)()	<input type="checkbox"/> 單位信託基金或債券 Unit Trusts or Bonds	年數 Year(s)()	<input type="checkbox"/> 結構性產品 Structured Product	年數 Year(s)()	<input type="checkbox"/> 槓桿及反向產品 Leveraged and Inverse Product	年數 Year(s)()		
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<input type="checkbox"/> 槓桿及反向產品 Leveraged and Inverse Product	年數 Year(s)()																

* 如客戶沒有衍生產品的認識,此帳戶會被拒絕開立。任何例外情況需要管理層的預先批准。
*If client does not have derivative knowledge, this account opening will be rejected. Any exception is subject to prior management approval.

D. 財政狀況 Financial Situation

流動資產 (HKD) Liquid Assets (HKD)	<input type="checkbox"/> <HKD200,000 <input type="checkbox"/> HKD200,001 - HKD1,000,000 <input type="checkbox"/> HKD1,000,001 - HKD5,000,000 <input type="checkbox"/> HKD5,000,001 - HKD10,000,000 <input type="checkbox"/> Other: HKD _____	資產淨值 (HKD) Net Worth (HKD)	<input type="checkbox"/> <HKD200,000 <input type="checkbox"/> HKD200,001 - HKD1,000,000 <input type="checkbox"/> HKD1,000,001 - HKD5,000,000 <input type="checkbox"/> HKD5,000,001 - HKD10,000,000 <input type="checkbox"/> Other: HKD _____
年薪(HKD) Annual Income (HKD)	<input type="checkbox"/> <HKD200,000 <input type="checkbox"/> HKD200,000 - HKD500,000 <input type="checkbox"/> HKD500,001 - HKD1,000,000 <input type="checkbox"/> >HKD\$1,000,000 <input type="checkbox"/> Null	住屋業權 Ownership of Residence	<input type="checkbox"/> 擁有(已抵押) Owned (Mortgaged) <input type="checkbox"/> 擁有(沒有抵押) Owned (Not Mortgaged) <input type="checkbox"/> 租住 Rented <input type="checkbox"/> 與家人同住 Living with Family
資金來源 (勾選所有適用) Source of Funds (Tick all that apply)	1. <input type="checkbox"/> 薪金儲蓄 Savings from Salary 2. <input type="checkbox"/> 租金收入 Rental Income 3. <input type="checkbox"/> 營業溢利 Trading Profits 4. <input type="checkbox"/> 其他 Others: _____ 5. <input type="checkbox"/> 投資所得 Investment Earnings <input type="checkbox"/> 股票 Stock <input type="checkbox"/> 樓宇買賣 House Sale and Purchase <input type="checkbox"/> 其他 Others: _____	6. <input type="checkbox"/> 家庭成員提供 Provided by Family Member 6a. 成員關係 Relationship with the Family Member _____ 6b. 行業及職位 Industry & Position _____ 7. <input type="checkbox"/> 以往工作收入 Previous Job 7a. 行業及職位 Industry & Position _____ 7b. 年收入(HKD) Annual Income (HKD)	

E. 利益關係申報 Interest Declaration

1. 你 (及/或聯名帳戶第二持有人) 是否交香港證券及期貨事務委員會的持牌或註冊人士、或任何註冊人士之董事或職員? 如是, 交易所參與者/ 持牌法團/ 註冊機構的名稱是: Are you (and /or the Secondary Joint Account Holder) a licensed or registered person or a director or an employee of any licensed or registered person of the Securities and Futures Commission in Hong Kong? If yes, the name of the exchange participant/ licensed corporation/ registered institution is:	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
2. 你 (及/或聯名帳戶第二持有人) 是否與輝立金業或聯繫人士的職員或代理人有親戚關係? 如是, 職員/代理人的名稱是: Are you (and /or the Secondary Joint Account Holder) a relative of an employee or agent of Phillip Bullion Limited or its Associates? If yes, the name of employee/agent:	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 雙親 Parent <input type="checkbox"/> 配偶 Spouse <input type="checkbox"/> 兄弟姊妹 Sibling <input type="checkbox"/> 孩子 Child <input type="checkbox"/> 否 No

F. 注意事項 Notes

1. 請隨本表格附上全部帳戶持有人之身份證副本及最近三個月內之住宅及通訊位址證明檔(郵政信箱恕不接受)。
Please enclose an ID copy and residential and correspondence address(es) proof dated within the last 3 months (P.O. box is not accepted) for all account holders with this Form.
2. 全部帳戶持有人必須在輝立金業或連絡人士的職員/代理人面前填妥及簽署本表格；如非親身開戶,請參看下方的批註 6。
This Form should be completed and signed by all account holders in front of an employee or agent of Phillip Bullion Limited or its Associates. Otherwise, please see Note 6 below.
3. 全部帳戶持有人應向輝立金業報告公司的稅務身份的所有變化。任何有關個人資料的刪改必須由全部帳戶持有人簽署作實。
Account holder(s) should report all changes in his/her tax residency status to Phillip Bullion Limited. Any deletion or amendment of the personal information must be signed by all account holders.
4. 帳戶持有人的款項將會被存入本表格內所提供的指定銀行帳戶,除非另行通知。
All monies payable to the account holder will be credited to the designated bank account(s) nominated on this Form, unless otherwise instructed.
5. 輝立金業恕不接受第三者存款。任何例外情況都需要管理層的預先批准。
Third-party deposit will not be accepted. Any exception is subject to prior management approval.
6. 如資料表並非在輝立金業或連絡人士的職員/代理人面前簽署,帳戶持有人必須遵從以下其中一個程式要求:
If this Form is not executed by the account holders in front of an employee or agent of Phillip Bullion Limited or its Associates, the account holders should comply with either one of the following procedural requirements:
 - (i) 交給輝立金業在香港持牌銀行開立的帳戶所簽發不少於 10,000 港元的個人支票,該支票的簽名及姓名須與本表格的客戶簽名及身份證明檔相符,而支票抬頭須為“輝立金業有限公司”。客戶的帳戶必須待支票兌現後才可使用;或
Send a personal cheque in favour of Phillip Bullion Limited for not less than HK\$10,000 drawn on an account with a licensed bank in Hong Kong, bearing the signature(s) as on this Form and name(s) as on the identity document(s). The new account will not be activated until the cheque is cleared; or
 - (ii) 由其他持牌人或註冊人、輝立金業的連絡人士、太平紳士、銀行分行經理、執業會計師、律師或公證人見證客戶的簽名及身份證明文件。
Have any other licensed or registered person, Associate of Phillip Bullion Limited, justice of the peace, branch manager of a bank, certified public accountant, lawyer or notary public certify the signature and identity documents of the account holders.
7. 根據“稅務條例”,任何人獲悉在聲明上作出具誤導性,虛假或不正確的陳述,或罔顧該聲明在陳述上是否具誤導性,虛假或不準確之處,即屬違法。任何人觸犯該罪行,一經定罪,可處第 3 級罰款(即\$ 10,000)。
It is an offence under the Inland Revenue Ordinance if any person, 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. \$10,000).
8. 全部帳戶持有人可登入 <http://www.poems.com.hk/zh-hk/customer-service/download-forms/> 下載期貨客戶協議及槓桿式外匯客戶協議或掃描以下行動條碼。
Account holder(s) can login <http://www.poems.com.hk/en-us/customer-service/download-forms/> to download Futures Client Agreement and Leveraged Foreign Exchange Client Agreement or Scan the QR code as below.



G. 稅務居民資料 Tax Residency*

根據《稅務條例》有關交換財務帳戶資料的法律條文,請提供你(及/或聯名帳戶第二持有人)的稅務編號。如沒有提供稅務編號,必須填寫合適的理由:

- 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。
理由 B - 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。
理由 C - 帳戶持有人不能取得稅務編號。(如選取理由 C, 解釋帳戶持有人不能取得稅務編號的原因)

Pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance. Please provide you (and /or the Secondary Joint Account Holder's) jurisdiction of residence where the account holder(s) is a resident for tax purposes and TIN for each jurisdiction indicated. If a TIN is unavailable, provide an appropriate reason:

- Reason A - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.
Reason B - TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.
Reason C - The account holder is unable to obtain a TIN. (Explain why the account holder is unable to obtain a TIN if you have selected Reason C)

本人持有**香港**稅務居民資格 I hold **Hong Kong** Tax residence

及/ 或 and/ or

本人持有**香港以外**稅務居民資格 I hold tax residence **other than Hong Kong**

稅務管轄區: Jurisdiction of Residence:	(1)	(2)	(3)
稅務編號: TIN:	(1)	(2)	(3)
沒有稅務編號理由: No TIN Reason:	<input type="checkbox"/> 理由 A Reason A <input type="checkbox"/> 理由 B Reason B <input type="checkbox"/> 理由 C Reason C	<input type="checkbox"/> 理由 A Reason A <input type="checkbox"/> 理由 B Reason B <input type="checkbox"/> 理由 C Reason C	<input type="checkbox"/> 理由 A Reason A <input type="checkbox"/> 理由 B Reason B <input type="checkbox"/> 理由 C Reason C
選取理由 C 的原因: Explanation to selected Reason C:			
額外資料: Additional Information:			

*若空格不敷使用,請另附自我證明表格及簽署。Please attach and sign Self-Certification Form for additional tax residency if necessary.

H. 款項常設授權 CLIENT MONEY STANDING AUTHORITY

本授權書涵蓋你們為本人/吾等在香港收取或持有並存放於一個或多個帳戶內的款項（包括因持有並非屬於你們的款項而產生之任何利息）（下稱「款項」）。在不損害其他授權或權利的情況下，輝立金業有限公司（「本公司」）和/或其任何附屬機構和聯營機構可不時處置該等帳戶的款項。

This letter of authority covers money held or received by you in Hong Kong (including any interest derived from the holding of the money that does not belong to you) in one or more client account(s) on my/our behalf ("Monies"). It is given without prejudice to other authorities or rights, which Phillip Bullion Limited (the "Company") and/or any of its subsidiaries and affiliates from time to time may have in relation to dealing with Monies in such accounts.

本人/吾等茲授權本公司：

I/We hereby authorize the Company to:

- (a) 組合或合併不時由本公司維持的本人/吾等任何或所有性質或名稱的帳戶（不論是否個人帳戶或與其他人士開設的聯名帳戶），本公司可將該等帳戶內任何數額之款項作出轉移，以解除本人/吾等對本公司的義務或法律責任，而不論此等義務或法律責任是確實或或然的、原有或附帶的、有抵押或無抵押的、共同或分別的；以及/或
combine or consolidate any or all accounts of any nature or name whatsoever and either individually or jointly with others, maintained by me/us with the Company from time to time and the Company may transfer any sum of monies to and between such account(s) to satisfy my/our obligations or liabilities to the Company, whether such obligations and liabilities are actual or contingent, primary or collateral, secured or unsecured, or joint or several; and/or
- (b) 將由本公司於任何時候維持的本人/吾等帳戶內任何數額之款項，轉到由本公司附屬機構及聯營機構於任何時候維持的任何本人/吾等獨立帳戶；
transfer all or any sum of monies in any of my/our account(s) maintained at any time with the Company, to any of my/our segregated account(s) maintained at any time with the Company's subsidiaries and affiliates;

在上述任何一個情況下都毋須向本人/吾等發出通知。

in each case without giving me/us notice.

本人/吾等已經閱讀、明白並接受本授權書所載內容。

I/We have read and understand and accept the contents of this letter.

簽署人 Signed by:

*個人/ 主要帳戶持有人簽署

Individual/Primary Joint Account Holder's Signature:

*聯名帳戶第二帳戶持有人簽署

Secondary Joint Account Holder's Signature:

日期 Date:

日期 Date:

*將被用作簽名樣式 Will be used as Specimen Signature

I. 客戶確認及簽署 Acknowledgement and Execution by Customer

戶口種類 Account Type	選擇服務 Select Service(s)
<p>貴金屬戶口 Bullion Account</p> <p>請為我們開立貴金屬戶口。我們已經閱讀並明白貴金屬客戶協議的條款及附表 3 的風險披露聲明及免責聲明，並同意這些條款的約束。</p> <p>Please open a Bullion Account for me/ us. We have read and understand the provisions of the Bullion Client Agreement and Risk Disclosure Statements and Disclaimers as set out in Schedule 3 and agree to be bound by same.</p>	<p><input type="checkbox"/> 貴金屬戶口 Bullion Account</p>
<p>網上交易服務 On-Line Trading Service</p> <p>請為我們提供 POEMS 電子服務。我們已經閱讀並明白附表 1 網上交易協議的條款，並同意這些條款的約束。</p> <p>Please provide me/ us with POEMS Electronic Services. I/ We have read and understand the provisions of the On-Line Trading Agreement as set out in Schedule 1 and agree to be bound by same.</p>	<p><input type="checkbox"/> 網上交易服務 On-Line Trading Service</p> <p style="font-size: small;">(須先開立證券戶口，並申請網上交易服務。) (Should first open securities account and apply On-Line Trading Service.)</p>
客戶聲明 Declaration by Customer	
<p>我確認為此帳戶的最終實益擁有人。</p> <p>I acknowledge that I am the ultimate beneficial owner(s) in relation to the account.</p>	<input type="checkbox"/>
<p>我 / 我們同意輝立金業或連絡人士以各種方式提供投資或有關財務產品及服務的資料，其包括研究報告及特別優惠等。</p> <p>I / We consent to Phillip Bullion Limited or its Associates providing information about investment or financial related products and services including research reports and special offers by any means.</p>	<input type="checkbox"/>
<p>我 / 我們知悉在這客戶資料表（“表格”）上所記載之資料，將有可能以作自動交換財務帳戶資料用途。我 / 我們知悉及同意，輝立金業可根據《稅務條例》（第 112 章）有關交換財務帳戶資料的法律條文，（a）收集本表格所載資料並可備存作自動交換財務帳戶資料用途及（b）把該等資料和關於我 / 我們的資料向香港特別行政區政府稅務局申報，從而把資料轉交給我 / 我們的居留司法管轄區的稅務當局。我 / 我們確認表格中提供的信息和聲明是真實和準確的。我 / 我們承諾，如情況有所改變，以致影響本表格所述的個人的稅務居民身分，或引致本表格所載的資料不正確，我 / 我們會通知輝立金業，並會在情況發生改變後 30 日內，向輝立金業提交一份已適當更新的綜合戶口資料更改書。 輝立金業有權聯繫任何人，包括客戶的銀行，經紀人或任何信用機構，以驗證本表格上提供的信息。</p> <p>I / We acknowledge that any information contained in this Customer Information Form (“the Form”) may be provide to a reporting financial institution for the purpose of automatic exchange of financial account information. I / We agree that (a) the information contained in this form is collected and may be kept by Phillip Bullion Limited for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112). I / We declare that the information given and statements made in this form is true and accurate. I / We undertake to advise Phillip Bullion Limited of any change in circumstances which affects the tax residency status of the Account Holder(s) of this form or causes the information contained herein to become incorrect, and to provide Phillip Bullion Limited with a suitably updated Account Particulars Amendment Form within 30 days of such change in circumstances. Phillip Bullion Limited is authorized to contact anyone, including Customer’s banks, brokers or any credit agency, for verifying the information provided on this form.</p>	<input type="checkbox"/>
<p>我 / 我們確認輝立金業以客戶選擇的語言（英文或中文）提供貴金屬客戶協議包括其附表 3 的風險披露聲明及免責聲明。我 / 我們進一步確認輝立金業已經邀請客戶閱讀風險披露聲明，提出問題及徵求獨立的意見（如我 / 我們有此意願）。我 / 我們應經常密切留意市況，輝立金業可能在強制平倉前無法與我 / 我們聯絡或未能提供足夠時間讓客戶進行額外的存款。</p> <p>I / We acknowledges that the Bullion Client Agreement including the Risk Disclosure Statements and Disclaimers in Schedule 3 attached were provided in a language (English or Chinese) of the Customer's choice. I / We further acknowledges that I / We was invited to read the risk disclosure statements, ask questions and take independent advice, if the Customer wished. I / We acknowledges that I / We should closely monitor positions, as Phillip Bullion Limited may not be able to contact I / We or give I / We sufficient time to deposit additional funds, before forced liquidation of positions.</p>	<input type="checkbox"/>
<p>我 / 我們確認輝立金業可向介紹人支付轉介費或介紹費，而該介紹人並非輝立金業的代理人。</p> <p>I / We acknowledges that Phillip Bullion Limited may pay fees to any person(s) who referred or introduced the Customer to Phillip Bullion Limited (the “Introducer”), and that the Introducer is not an agent of Phillip Bullion Limited.</p>	<input type="checkbox"/>

*帳戶持有人簽署 Account Holder’s Signature:

日期 Date:

*將被用作簽名樣式 Will be used as Specimen Signature

J. 貴金屬賬戶的重要事項 Important Information on Bullion Trading Account

請閣下細心閱讀以下有關閣下在輝立金業有限公司（「輝立金業」）的貴金屬賬戶的重要事項

Please carefully read the following in relation to the bullion trading account with Phillip Bullion Limited. ('PBL') :

- 閣下之賬戶並非授權賬戶，閣下須自行作出投資決定，並承擔投資決定所產生之任何盈虧。
The Account is NOT a DISCRETIONARY ACCOUNT and you should make your own investment decisions. Any profit or loss resulting there from is your sole responsibility.
- 客戶主任已獲指派及委任，處理閣下之賬戶，並在有限範圍內就閣下賬戶之若干事宜予以協助。客戶主任不得進行下列行為
The Account Executive nominated and appointed to serve you and assist you in certain matters in a limited extent in relation to your bullion trading account is NOT allowed to do the following:
 - 代表輝立證券集團或其任何成員公司或彼等各自之附屬公司以口頭或書面形式訂定任何承諾或協議
enter into any commitment or agreement either verbally or in writing in any respect on behalf of the Phillip Securities Group or any of its members or their respective subsidiaries;
 - 在超出其作為客戶主任之職責範圍下，向閣下作出任何聲明或承諾
make any representations or promises to you outside the scope of his/her duties as an Account Executive;
 - 成為該賬戶之一方或擁有該賬戶實際權益
act as a party to, or has a beneficial interest in, the Account;
 - 為任何目的就該賬戶直接從閣下收取現金付款、現金支票或不記名支票；及/或
receive cash payments, cash cheques or bearer cheques directly from client for whatever purpose in relation to Account; and/or
 - 執行閣下之落盤指示
execute orders on your behalf under your Account.

客戶主任之主要職責包括為閣下提供市場資訊，並在視為必須之情況下通知閣下就賬戶增補保險金。

The main duties of the Account Executive include providing you with market information and making margin calls on your Account as and when it is deemed necessary.

- 本公司將以電郵形式或透過客戶主任，為閣下提供市場資訊及投資評述，惟僅供閣下參考之用。本公司將盡力確保客戶主任所提供資料乃屬正確，惟所提供資料之錯誤或遺漏並不構成任何索償、追討或訴訟原因之基礎。客戶主任或輝立金業均無須對閣下投資決定所引致之任何結果負責，無論該決定是否依賴或根據輝立金業或客戶主任所提供之資訊及評述而作出。閣下須對閣下之買賣/投資決定，負上全責。

Market information and investment comments will be provided to you by way of electronic mail or through the Account Executive for your reference only. Whilst care will be taken to ensure the accuracy of the information provided by the Account Executive, any errors or omissions in the information provided shall not be made the basis for any claim, demand or cause for action. Neither the Account Executive nor PBL shall be responsible for any consequence resulting from your decisions whether or not such decisions were made in reliance of the information and investment comments provided by PBL or the Account Executive. **YOU ARE SOLELY RESPONSIBLE FOR YOUR OWN TRADING/ INVESTMENT DECISIONS.**

- 輝立金業不會以現金或接受第三者支票或存票方式在賬戶內提存資金。在賬戶內進行之任何提存，將顯示於輝立金業發出之結單內，結單將作為該提存之最終憑證。
PBL does not make withdrawal or accept deposit of funds from or into the Account by cash or by third party cheques. Any withdrawal from or deposit into the Account shall appear on your account statement and the statement shall be conclusive evidence of such withdrawal or deposit.
- 閣下可以透過網上交易平台或致電金業熱線（852）2277-6711，設定閣下之貴金屬買賣指令。請閣下無必要向客戶主任設定閣下之貴金屬買賣指令。
You can place your bullion trading order(s) through the online trading platform or by calling the Bullion Hotline (852) 2277-6711. Please DO NOT place your order(s) for bullion with your Account Executive.

註：若有任何異義或錯漏，應以英文原本為準。

Note: In event of any difference between the Chinese and English version of this Agreement, the English version shall prevail.

本人/吾等已經閱讀、明白並接受以上所載之重要事項。

I/We have read and understand and accept the above information.

*帳戶持有人簽署 Account Holder's Signature:

日期 Date:

職員/經紀聲明 Declaration by Staff / Account Executive

我確認已經以客戶選擇的語言（英文或中文）提供了載於貴金屬客戶協議附表 3 內的風險披露聲明及免責聲明，並且我已經邀請客戶閱讀風險披露聲明，提出有關問題及尋求獨立意見（如客戶有此意願）。

I confirm that I have provided the Risk Disclosure Statements and Disclaimers as set out in Schedule 3 of the Bullion Client Agreement in a language (English or Chinese) of the Customer's choice. I have also invited the Customer to read the risk disclosure statements, ask questions and take independent advice if the Customer wishes.

職員/經紀姓名： Name of Staff/AE:	職員/經紀簽署： Signature of Staff/ AE:	日期： Date:
AML 風險級別 AML Risk category (參考 AML 政策) (refer to AML policy)	<input type="checkbox"/> 低 Low <input type="checkbox"/> 中 Medium <input type="checkbox"/> 高 High (如選擇此項，請填寫右欄) (If you choose this option, Please fill in the right column)	高風險理由 Reason for High Risk:

只供本行使用 For Official Use Only

文件查核列表 Document check list 1. 已核實的身份證或護照副本 Certified I.D Card/Passport Copy <input type="checkbox"/> 是 Yes 2. 地址證明副本 Address proof <input type="checkbox"/> 是 Yes 3. 已核實 W-8ben 或 W-9 表格 Certified W-8ben/W-9 form <input type="checkbox"/> 是 Yes 4. 銀行及信貸參考(如適用) Bank and Credit Reference (if applicable) (例如：銀行結單、屋契等) (e.g. Bank statement, title deeds etc.) <input type="checkbox"/> 是 Yes <input type="checkbox"/> 不適合 N/A 5. 僱主書面同意(如適用) Employer consent letter (if applicable) <input type="checkbox"/> 是 Yes <input type="checkbox"/> 不適合 N/A	Non face-to-face account opening procedure: <input type="checkbox"/> Mainland Colleague <input type="checkbox"/> Notary public or professional <input type="checkbox"/> Crossed Personal Cheque Applicable to Crossed Personal Cheque account opening procedure: <table style="width: 100%; border: none;"> <tr> <td style="width: 50%; border: none;"> AE/Dealer Staff <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> </td> <td style="width: 50%; border: none;"> Personal cheque received (if applicable): issued from a licensed bank in HK payable to "Phillip Securities (Hong Kong) Limited " cheque amount not less than HK\$10,000 client name shown on cheque same signature on cheque and A/C Opening Form cheque copy retained </td> </tr> </table>	AE/Dealer Staff <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Personal cheque received (if applicable): issued from a licensed bank in HK payable to "Phillip Securities (Hong Kong) Limited " cheque amount not less than HK\$10,000 client name shown on cheque same signature on cheque and A/C Opening Form cheque copy retained
AE/Dealer Staff <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	Personal cheque received (if applicable): issued from a licensed bank in HK payable to "Phillip Securities (Hong Kong) Limited " cheque amount not less than HK\$10,000 client name shown on cheque same signature on cheque and A/C Opening Form cheque copy retained		

文件確認 Document reviewed by

職員姓名： Name of Staff:	職員簽署： Signature of Staff:	日期： Date:
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客戶資料核對 Customer information approved by

職員姓名： Name of Staff:	職員簽署： Signature of Staff:	日期： Date:	<input type="checkbox"/> In Person <input type="checkbox"/> By phone (Ext:)
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保證金限額 Margin Limit

	日期： Date:
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開戶批核 Account opening approved by

職員姓名： Name of Staff:	職員簽署： Signature of Staff:	日期： Date:
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備註：
Remarks: