



Magic Compass Securities Limited (SFC CE No. AXT242)  
摩石證券有限公司 (證監會中央編號: AXT242)  
Suite 905, 9/F, Central Plaza,  
18 Harbour Road Wanchai, Hong Kong  
香港灣仔港灣道 18 號中環廣場 9 樓 905 室  
Magic Compass Futures Limited (SFC CE No. AHA296)  
摩石期貨有限公司 (證監會中央編號: AHA296)  
Suite 808, 8/F, Central Plaza,  
18 Harbour Road Wanchai, Hong Kong  
香港灣仔港灣道 18 號中環廣場 8 樓 808 室

For office use only

A/C No. : \_\_\_\_\_  
AE : \_\_\_\_\_  
Comm Rate : \_\_\_\_\_  
Interest Rate: \_\_\_\_\_  
Ref No.: SET - \_\_\_\_\_

This form shall be read with Terms and Conditions of the Client Agreement with the same version code.  
此表格須與客戶協議內的條款及條件(版本編碼與本表格相同)一併閱讀。

Please tick the appropriate box 請在適當空格加 ✓ *Please delete whichever is inapplicable 請刪去不適用者	Account Opening Date 開戶日期	(fill in by Company 由公司填寫)
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**Account Type 戶口種類**

<input type="checkbox"/> Individual Account 個人戶口	<input type="checkbox"/> Joint Account 聯名戶口
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Company 公司	Account Type 戶口種類	Trading Platform 交易方式	US Stock 美股交易
Magic Compass Securities Limited 摩石證券有限公司 (CE No. 中央編號: AXT242)	<input type="checkbox"/> Cash Securities Account 證券現金帳戶 <input type="checkbox"/> Margin Securities Account 證券保證金帳戶 <input type="checkbox"/> Discretionary Account 全權委託帳戶 (must also sign Discretionary Account Agreement 必須一同簽署全權委託帳戶協議)	<input type="checkbox"/> Electronic 電子交易 <input type="checkbox"/> Telephone 電話指示	<input type="checkbox"/> Yes 是 (must sign W-8Ben form 請簽署 W-8Ben 表格)
	<input type="checkbox"/> Stock Options Account 股票期權	<input type="checkbox"/> Electronic 電子交易 <input type="checkbox"/> Telephone 電話指示	
Magic Compass Futures Limited 摩石期貨有限公司 (CE No. 中央編號: AHA296)	<input type="checkbox"/> Futures and Options Account 期貨及期權	<input type="checkbox"/> Electronic 電子交易 <input type="checkbox"/> Telephone 電話指示	

**Personal Information 個人資料**

**Individual/First Account Holder's Personal Data**  
個人 / 第一戶口持有人之個人資料

1 Name of Client 客戶名稱  
Mr. 先生 / Miss 小姐 / Mrs. 太太 / Dr. 博士  
(English 英文 Surname first 先寫姓氏)

(Chinese 中文)

2 Residential Address (P.O. Box not accepted)  
住宅地址 (不接受郵政信箱)

Nature of Occupancy 住宅類別  
☐ Owned (No Mortgage) 自置 (無按揭)  
☐ With Parents 與父母同住

**Second Account Holder's Personal Data**  
第二戶口持有人之個人資料

Name of Client 客戶名稱  
Mr. 先生 / Miss 小姐 / Mrs. 太太 / Dr. 博士  
(English 英文 Surname first 先寫姓氏)

(Chinese 中文)

Residential Address (P.O. Box not accepted)  
住宅地址 (不接受郵政信箱)

Nature of Occupancy 住宅類別  
☐ Owned (No Mortgage) 自置 (無按揭)  
☐ With Parents 與父母同住

- ☐ Relative's 親屬樓宇
- ☐ Mortgaged / Monthly Installment 按揭/每月供款 \$ \_\_\_\_\_
- ☐ Rented / Monthly Rental 租用/每月租金 \$ \_\_\_\_\_
- ☐ Quarters 宿舍

- ☐ Relative's 親屬樓宇
- ☐ Mortgaged / Monthly Installment 按揭/每月供款 \$ \_\_\_\_\_
- ☐ Rented / Monthly Rental 租用/每月租金 \$ \_\_\_\_\_
- ☐ Quarters 宿舍

3 Correspondence Address (P.O. Box not accepted)  
通訊地址 (不接受郵政信箱)

(if different from above 如與上址不同)

Correspondence Address (P.O. Box not accepted)  
通訊地址 (不接受郵政信箱)

(if different from above 如與上址不同)

4 E-mail Address 電郵地址 (For Individual / First Account Holder Only 只須個人/第一戶口持有人填寫)

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5 ID Card No/Passport No  
身份證/護照號碼

Nationality  
國籍

--

--

ID Card No / Passport No  
身份證/護照號碼

Nationality  
國籍

--

--

6 Date of Birth  
出生日期

(DD/MM/YYYY) (日/月/年)
----------------------

7 Home Telephone No.  
住宅電話

--

8 Mobile Phone No.  
流動電話

--

Date of Birth  
出生日期

(DD/MM/YYYY) (日/月/年)
----------------------

Home Telephone No.  
住宅電話

--

Mobile Phone No.  
流動電話

--

9 Education Level 學歷程度

- ☐ Primary School 小學 ☐ Secondary School 中學  
☐ University or above 大學或以上

Education Level 學歷程度

- ☐ Primary School 小學 ☐ Secondary School 中學  
☐ University or above 大學或以上

Relationship with First Account Holder  
與第一戶口持有人的關係

- ☐ Immediate Family, Please specify  
直系親屬 請註明: \_\_\_\_\_
- ☐ Relative 親戚 ☐ Friends 朋友
- ☐ Other 其他 \_\_\_\_\_

### Business / Employment Status 業務/工作狀況

1 Name of Employer  
僱主名稱

--

2 Nature of Business  
業務性質

--

3 Occupation / Position  
職業/職位

--

4 Years in Occupation  
從業年期

--

5 Office Phone No.  
公司電話

--

6 Employment Status 就業情況

- ☐ Self-employed 自僱  
☐ Full-time employed 全職  
☐ Part-time employed 兼職  
☐ Retired 退休  
☐ Other (Please Specify)  
其他 (請註明): \_\_\_\_\_

Name of Employer  
僱主名稱

--

Nature of Business  
業務性質

--

Occupation / Position  
職業/職位

--

Years in Occupation  
從業年期

--

Office Phone No.  
公司電話

--

Employment Status 就業情況

- ☐ Self-employed 自僱  
☐ Full-time employed 全職  
☐ Part-time employed 兼職  
☐ Retired 退休  
☐ Other (Please Specify)  
其他 (請註明): \_\_\_\_\_

7 Business Address 商業地址

Business Address 商業地址



### Financial Status 財政狀況

1 Annual Income (HK\$) 年薪 (港元)

☐ Less than or equal to HK\$200,000 或以下

☐ HK\$200,001 – HK\$300,000

☐ HK\$300,001 – HK\$500,000

☐ HK\$500,001 – HK\$1,000,000

☐ Above HK\$1,000,000 以上

☐ Other Income Source: \_\_\_\_\_  
其他收入來源: \_\_\_\_\_

2 Total net worth (HK\$) 資產淨值 (港元)

☐ Less than or equal to HK\$500,000 或以下

☐ HK\$500,001 – HK\$3,000,000

☐ HK\$3,000,001 – HK\$5,000,000

☐ HK\$5,000,001 – HK\$30,000,000

☐ Above HK\$30,000,000 以上

Annual Income (HK\$) 年薪 (港元)

☐ Less than or equal to HK\$200,000 或以下

☐ HK\$200,001 – HK\$300,000

☐ HK\$300,001 – HK\$500,000

☐ HK\$500,001 – HK\$1,000,000

☐ Above HK\$1,000,000 以上

☐ Other Income Source: \_\_\_\_\_  
其他收入來源: \_\_\_\_\_

Total net worth (HK\$) 資產淨值 (港元)

☐ Less than or equal to HK\$500,000 或以下

☐ HK\$500,001 – HK\$3,000,000

☐ HK\$3,000,001 – HK\$5,000,000

☐ HK\$5,000,001 – HK\$30,000,000

☐ Above HK\$30,000,000 以上

### Investment Experience and Product Knowledge 投資經驗及對產品認識

1 Does the client have the following experience?  
客戶是否已有下列經驗?

☐ HK Listed Stocks 香港上市股票

☐ Overseas Listed Stocks 海外上市股票

☐ HK Futures & Options 香港期貨及期權

☐ Overseas Futures & Options 海外期貨及期權

☐ Mutual Funds or Unit Trust 互惠基金或單位信託

☐ None 沒有

2 Investment Objectives 投資目標:

☐ Capital appreciation 資本增值

☐ Dividend yield 股息回報

☐ Hedging 對沖

☐ Long-term investment 長線投資

☐ Short-term trading 短線買賣

☐ Others (Please specify) 其他 (請說明)  
\_\_\_\_\_

3 Years of Experience in Securities Investment  
證券投資經驗:

☐ Nil 沒有

☐ 1-3 years 一至三年

☐ 3-5 years 三至五年

☐ 5-10 years 五至十年

☐ Over 10 years 超過十年

4 Derivative Products Knowledge 對衍生產品的認識:

a) Have you ever attended any courses or seminars on structured or derivative product(s)?  
你曾否接受有關結構性或衍生產品的培訓或修讀相關課程?

☐ No 否 ☐ Yes 是,  
If yes, please state the name of the courses / seminars :  
如是, 請提供培訓或修讀課程之名稱 : \_\_\_\_\_  
and the date you took the courses / seminars :  
及培訓或修讀課程之日期 : \_\_\_\_\_

Does the client have the following experience?  
客戶是否已有下列經驗?

☐ HK Listed Stocks 香港上市股票

☐ Overseas Listed Stocks 海外上市股票

☐ HK Futures & Options 香港期貨及期權

☐ Overseas Futures & Options 海外期貨及期權

☐ Mutual Funds or Unit Trust 互惠基金或單位信託

☐ None 沒有

Investment Objectives 投資目標:

☐ Capital appreciation 資本增值

☐ Dividend yield 股息回報

☐ Hedging 對沖

☐ Long-term investment 長線投資

☐ Short-term trading 短線買賣

☐ Others (Please specify) 其他 (請說明)  
\_\_\_\_\_

Years of Experience in Securities Investment  
證券投資經驗:

☐ Nil 沒有

☐ 1-3 years 一至三年

☐ 3-5 years 三至五年

☐ 5-10 years 五至十年

☐ Over 10 years 超過十年

Derivative Products Knowledge 對衍生產品的認識:

a) Have you ever attended any courses or seminars on structured or derivative product(s)?  
你曾否接受有關結構性或衍生產品的培訓或修讀相關課程?

☐ No 否 ☐ Yes 是,  
If yes, please state the name of the courses / seminars :  
如是, 請提供培訓或修讀課程之名稱 : \_\_\_\_\_  
and the date you took the courses / seminars :  
及培訓或修讀課程之日期 : \_\_\_\_\_

b) Has any of your previous trading experience ever been related to structured or derivative product(s)?  
你以往曾否有買賣結構性或衍生產品的經驗?

- ☐ No 否    ☐ Yes 是,
- If yes, please state the structured or derivative product(s) you traded:  
如是, 請提供有關的產品名稱:
- ☐ Exchange Traded Convertible Bonds  
交易所買賣換股債券
  - ☐ Derivative Warrants 衍生認股證
  - ☐ Callable Bull/Bear Contracts (CBBC) 牛熊證
  - ☐ Exchange Traded Funds (ETF) 交易所買賣基金
  - ☐ Rights 供股權
  - ☐ Futures and Options 期貨或期權合約交易
  - ☐ Stock Options 股票期權
  - ☐ Equity Linked Instruments / Notes (ELN/ELN)  
股票掛鉤產品 (ELI/ELN)
  - ☐ Other 其他: \_\_\_\_\_

b) Have you executed five or more than five transactions in any structured or derivative product (whether traded on an Exchange or not) within the past three years?

你是否曾在過去三年執行過五次或以上有關任何結構性或衍生產品的交易 (不論是否在交易所買賣) 的交易?

☐ No 否    ☐ Yes 是

d) Has any of your **current or previous** work experience been related to structured or derivative products(s)?  
你**現時或以往**的工作經驗是否與結構性或衍生產品有關?

☐ No 否  
☐ Yes 是    ☐ Current 現時    ☐ Previous 以往

If yes, please state your occupation:

如有, 請提供你的職業名稱:

The employer's name 僱主名稱:

and the employment services period 及在職日期:

b) Has any of your previous trading experience ever been related to structured or derivative product(s)?  
你以往曾否有買賣結構性或衍生產品的經驗?

- ☐ No 否    ☐ Yes 是,
- If yes, please state the structured or derivative product(s) you traded:  
如是, 請提供有關的產品名稱:
- ☐ Exchange Traded Convertible Bonds  
交易所買賣換股債券
  - ☐ Derivative Warrants 衍生認股證
  - ☐ Callable Bull/Bear Contracts (CBBC) 牛熊證
  - ☐ Exchange Traded Funds (ETF) 交易所買賣基金
  - ☐ Rights 供股權
  - ☐ Futures and Options 期貨或期權合約交易
  - ☐ Stock Options 股票期權
  - ☐ Equity Linked Instruments / Notes (ELN/ELN)  
股票掛鉤產品 (ELI/ELN)
  - ☐ Other 其他: \_\_\_\_\_

c) Have you executed five or more than five transactions in any structured or derivative product (whether traded on an Exchange or not) within the past three years?

你是否曾在過去三年執行過五次或以上有關任何結構性或衍生產品的交易 (不論是否在交易所買賣) 的交易?

☐ No 否    ☐ Yes 是

d) Has any of your **current or previous** work experience been related to structured or derivative products(s)?  
你**現時或以往**的工作經驗是否與結構性或衍生產品有關?

☐ No 否  
☐ Yes 是    ☐ Current 現時    ☐ Previous 以往

If yes, please state your occupation:

如有, 請提供你的職業名稱:

The employer's name 僱主名稱:

and the employment services period 及在職日期:

## Disclosure of Information 資料披露

1 Are you, the ultimate beneficial owner(s) of the Account and/or the person ultimately responsible for giving instructions for the Account, 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?

閣下, 此帳戶最終權益擁有人及/或就此帳戶進行交易的最終負責發出指示人仕, 是否香港證券及期貨事務監察委員會的持牌或註冊人仕, 或任何持牌或註冊人仕之董事或職員?

☐ No 不是    ☐ Yes 是\*  
Name of the Licensed or Registered Person(s)  
持牌或註冊人仕名稱:

\_\_\_\_\_  
\*(If yes, please provide the written consent from your employer of your account(s) opening with Magic Compass Group/its subsidiary(ies) 如是, 請提供客戶僱主就確認同意於摩石集團 / 其子公司開立戶口的同意書)

Are you, the ultimate beneficial owner(s) of the Account and/or the person ultimately responsible for giving instructions for the Account, 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?

閣下, 此帳戶最終權益擁有人及/或就此帳戶進行交易的最終負責發出指示人仕, 是否香港證券及期貨事務監察委員會的持牌或註冊人仕, 或任何持牌或註冊人仕之董事或職員?

☐ No 不是    ☐ Yes 是\*  
Name of the Licensed or Registered Person(s)  
持牌或註冊人仕名稱:

\_\_\_\_\_  
\*(If yes, please provide the written consent from your employer of your account(s) opening with Magic Compass Group/its subsidiary(ies) 如是, 請提供客戶僱主就確認同意於摩石集團 / 其子公司開立戶口的同意書)

2 Do you, the ultimate beneficial owner(s), and/or ultimate instructor(s) have any relationship with any director or employee of Magic Compass Securities Limited or Magic Compass Futures Limited or its Affiliates or Group Company(ies)?  
閣下, 此帳戶最終權益擁有人及 / 或就此帳戶進行交易的最終負責發出指示人仕, 與摩石證券有限公司或摩石期貨有限公司或其聯屬或集團公司之董事或職員是否有親屬關係?

☐ No 不是 ☐ Yes 是, Please specify 請註明  
Name of Director/Employee 董事或職員姓名: \_\_\_\_\_

Relationship 關係: \_\_\_\_\_

3 Is your spouse a margin client of Magic Compass Group/its subsidiary(ies)?  
閣下的配偶是否摩石集團 / 其子公司的保證金客戶?

☐ No 不是 ☐ Yes 是, Please specify 請註明  
Name of Spouse 配偶姓名: \_\_\_\_\_

Account No. 戶口號碼: \_\_\_\_\_

Do you, the ultimate beneficial owner(s), and/or ultimate instructor(s) have any relationship with any director or employee of Magic Compass Limited or Magic Compass Futures Limited or its Affiliates or Group Company(ies)?  
閣下, 此帳戶最終權益擁有人及 / 或就此帳戶進行交易的最終負責發出指示人仕, 與摩石證券有限公司或摩石期貨有限公司或其聯屬或集團公司之董事或職員是否有親屬關係?

☐ No 不是 ☐ Yes 是, Please specify 請註明  
Name of Director/Employee 董事或職員姓名: \_\_\_\_\_

Relationship 關係: \_\_\_\_\_

Is your spouse a margin client of Magic Compass Group/its subsidiary(ies)?  
閣下的配偶是否摩石集團 / 其子公司的的保證金客戶?

☐ No 不是 ☐ Yes 是, Please specify 請註明  
Name of Spouse 配偶姓名: \_\_\_\_\_

Account No. 戶口號碼: \_\_\_\_\_

4 Do you and/or your spouse control 35% or above of the voting rights of another margin client of Magic Compass Group/its subsidiary(ies)?  
閣下及/或閣下的配偶是否控制摩石集團/其子公司的保證金客戶 35%或以上表決權?

☐ No 不是 ☐ Yes 是, Please specify 請註明  
Name of Spouse 配偶姓名: \_\_\_\_\_

Account No. 戶口號碼: \_\_\_\_\_

Do you and/or your spouse control 35% or above of the voting rights of another margin client of Magic Compass Group/its subsidiary(ies)?  
閣下及/或閣下的配偶是否控制摩石集團/其子公司的保證金客戶 35%或以上表決權?

☐ No 不是 ☐ Yes 是, Please specify 請註明  
Name of Spouse 配偶姓名: \_\_\_\_\_

Account No. 戶口號碼: \_\_\_\_\_

5 Do you maintain any other account(s) with Magic Compass Securities Limited or Magic Compass Futures Limited?  
閣下現時是否已持有摩石證券有限公司或摩石期貨有限公司之戶口?

☐ No 否  
☐ Yes, please provide details 是, 請提供詳細資料:

Account Name 戶口名稱	
Account Type 戶口類別	
Account No. 戶口號碼	

Do you maintain any other account(s) with Magic Compass Limited or Magic Compass Futures Limited?  
閣下現時是否已持有摩石證券有限公司或摩石期貨有限公司之戶口?

☐ No 否  
☐ Yes, please provide details 是, 請提供詳細資料:

Account Name 戶口名稱	
Account Type 戶口類別	
Account No. 戶口號碼	

## Anti-Money Laundering and Counter-Terrorist Financing 防止洗黑錢/恐怖分子籌資

- 1 Do you linked to politically exposed persons? (Politically exposed person-individual who is or has been entrusted with prominent public function e.g. head of state/government, senior politician, senior executive of government-owned corporation, important political party official, etc.), or the closed members of the aforesaid person (including spouse, companion, children or parents, or spouse or companion of the children) and other closely connected person?

閣下是否擔任或曾擔任重要公職之政界人士(包括國家元首、政府首長、資深從政者、高級政府官員、司法或軍事官員、國有企業高級行政人員及重要政黨幹事), 或以上人士之家人(包括配偶、伴侶、子女或父母, 或該名個人的子女的配偶或伴侶) 及其他關係密切的人?

☐ No ☐ Yes 是, Please specify 請註明  
不是 \_\_\_\_\_

- 2 Is the nature of your (including any of the joint account holders and partners of a partnership firm) business particularly susceptible to money laundering/terrorist financing risk? (For example, money changer or casino business that handles large amount of cash)?

閣下(包括聯名帳戶各持有人及合夥帳戶之各合夥人) 的業務性質/職業是否特別容易蒙受較高的洗錢/恐怖分子資金籌集風險或接觸大量現金往來(如貨幣兌換、博彩業、珠寶業、娛樂服務業)?

☐ No ☐ Yes 是, Please specify 請註明  
不是 \_\_\_\_\_

Do you linked to politically exposed persons? (Politically exposed person-individual who is or has been entrusted with prominent public function e.g. head of state/government, senior politician, senior executive of government-owned corporation, important political party official, etc.), or the closed members of the aforesaid person (including spouse, companion, children or parents, or spouse or companion of the children) and other closely connected person?

閣下是否擔任或曾擔任重要公職之政界人士(包括國家元首、政府首長、資深從政者、高級政府官員、司法或軍事官員、國有企業高級行政人員及重要政黨幹事), 或以上人士之家人(包括配偶、伴侶、子女或父母, 或該名個人的子女的配偶或伴侶)及其他關係密切的人?

☐ No ☐ Yes 是, Please specify 請註明  
不是 \_\_\_\_\_

Is the nature of your (including any of the joint account holders and partners of a partnership firm) business particularly susceptible to money laundering/terrorist financing risk? (For example, money changer or casino business that handles large amount of cash)?

閣下(包括聯名帳戶各持有人及合夥帳戶之各合夥人) 的業務性質/職業是否特別容易蒙受較高的洗錢/恐怖分子資金籌集風險或接觸大量現金往來(如貨幣兌換、博彩業、珠寶業、娛樂服務業)?

☐ No ☐ Yes 是, Please specify 請註明  
不是 \_\_\_\_\_

**Ultimate Beneficial Owner(s) of the Account 帳戶最終權益擁有人**

Are you the ultimate beneficial owner(s) in relation to the Account? (i.e. Are you acting for your own account and not for a third party?)  
閣下是否此帳戶的最終實益擁有人? (即閣下是否為本身而非為第三者運作此帳戶?)

☐ Yes 是

☐ No, details of the ultimate beneficial owner(s) is/are, 否, 帳戶的最終實益擁有人是:

Name 名稱	
ID/Passport No. 身份證/護照號碼	
Address 地址	

**Bank Account 銀行帳戶 (For Direct Deposit 直接存款之用)**

Account Number of Beneficiary 收款人戶口號碼 :		Account Type : 帳戶類別:
Name of Receiving Bank 收款銀行名稱 :		
Address of Receiving Bank 收款銀行地址		
T/T SWIFT Code 銀行國際代碼 :		

**Delivery of Statements 結單寄發**

Mailing Address* 郵寄地址* :	<input type="checkbox"/> Home Address 住宅地址	<input type="checkbox"/> Correspondence Address 通訊地址	
	<input type="checkbox"/> Business Address 商業地址	<input type="checkbox"/> E-mail Address 電郵地址	
語言選擇 Choice of Language:	<input type="checkbox"/> English 英文	<input type="checkbox"/> Traditional Chinese 繁體中文	<input type="checkbox"/> Simplified Chinese 簡體中文

**Other Information 其他資料**

Reason for Choosing Magic Compass for Account Opening 閣下選擇摩石開戶的原因:

☐ Referral 親友轉介 ☐ Walk-in 自薦 ☐ Seminar 講座 ☐ Others 其他: \_\_\_\_\_

**Personal Data Arrangement(s) 個人資料安排 (Applicable to Securities Account Client only 只適用於證券帳戶之客戶)**

I / We hereby ☐ authorize / ☐ do not authorize Magic Compass Securities Limited to send my/our/company contact information to Hong Kong Securities Clearing Company Limited to receive the publication of corporate communication documents by the issuer(s).

本人現 ☐ 授權 / ☐ 不同意摩石證券有限公司將本人/我們/本公司聯絡資料轉介至香港中央結算有限公司以收取發行人的公司通訊。

Please provide English address for receiving information (if not stated in previous section) :

請提供英文地址以收取資料(如之前部份未有提述): \_\_\_\_\_

**Client's Declaration, Acknowledgement and Consent 客戶聲明、確認及承諾****Application of Account Opening and Information Provided 戶口開立申請及資料提供**

I / We represent that the information on this Account Opening Form and relevant Forms is true, complete and correct and that I / We have not willfully withheld any material fact(s). I / We request you to open a Cash Securities / Margin Securities / Stock Options / Futures Account ("the Account") and agree to all the terms of the Client Agreement and to abide by the Client Agreement (including the General Terms and Conditions and the applicable Additional Terms and Conditions of the Client Agreement with the same version code of this form), the rules and regulations of Securities and Futures Ordinance, Hong Kong Exchange and Clearing Limited or any other regulatory body(ies) as amended from time to time governing the transactions in the Account. Magic Compass Securities Limited("PCSL") and / or Magic Compass Futures Limited("PCFL") is / are entitled to rely fully on such information and representations for all purposes, unless it receives notice in writing of any change. PCSL and / or PCFL is / are authorized at any time to contact anyone, including my / our banks, brokers or any credit agency for the purpose of verifying the information provided on this Account Opening Form. I / We also understand that PCSL and PCFL will rely on the above information of Investment Experience and Product Knowledge provided to assess whether I / 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 / 吾等茲聲明在開戶申請書及相關表格所提供之資料全部為真實、完整及正確, 本人 / 吾等並未刻意隱瞞任何重要事實。本人 / 吾等向貴公司申請開立現金證券帳戶 / 保證金證券帳戶 / 股票期權 / 期貨帳戶 ("該帳戶") 和同意遵守客戶協議(版本編碼與本表格相同)的所有條款並同意遵守證券及期貨條例、香港交易所有限公司及其他監管機構不時修定以規管於該帳戶進行的交易之條例及規則。除非摩石證券有限公司("摩石證券")及 / 或摩石期貨有限公司 ("摩石期貨") 接到更改有關本開戶申請書內容的書面通知, 否則上述公司有權完全依賴此等資料及聲明作一切用途。上述公司獲授權可隨時就核對本資料事宜, 與任何人包括本人

/ 吾等之銀行、經紀或任何信用機構進行諮詢。本人 / 吾等亦明白摩石證券及摩石期貨根據上述投資經驗及對產品認識內的資料  
介定本人 / 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。

**Agreement and Risk Disclosure Statement 協議及風險披露聲明**

I / We hereby acknowledge and confirm that the Client Agreement, including but not limited to the Account Opening Form, the General Terms and Conditions, Additional Terms and Conditions, Data Privacy Policy, Disclaimers and the Risk Disclosure Statement was provided to me / us in a language of my / our choice (English or Chinese), and I / we have been invited to read the Risk Disclosure Statement carefully, ask questions and seek independent advice if I / we so wish. I / We also confirm that I / we have retained a copy of the Agreement for my/our reference.

本人 / 吾等謹此承認並確定本人 / 吾等已獲得按照本人 / 吾等所選擇的語言（英文或中文）的客戶協議，當中包括，但不限於本開戶表、一般條款、附加條款、私隱政策、免責聲明及風險披露聲明，及本人 / 吾等已獲邀請細閱該風險披露聲明，提出問題及徵求獨立的意見（如本人 / 吾等有此意願）。本人 / 吾等確認本人 / 吾等已經保留本協議的副本，以作備考之用。

**Standing Authority under “Securities and Futures (Client Money) Rules” (For Securities Account and Futures Account)**

**『證券及期貨（客戶款項）規則』下之常設授權（適用於證券帳戶及期貨帳戶）**

I / We hereby agreed, acknowledge and confirm that I / we have given the standing authority to authorize you to deal with my / our money and the contents of the Standing Authority under Securities and Futures (Client Money) Rules of Client Agreement Part III Schedule E clause 9 have been explained to me / us and I / we understand and agreed the contents of it.

本人 / 吾等謹此同意、承認及確定本人 / 吾等已授予貴公司常設授權以處置本人 / 吾等的款項，並且本人 / 吾等就該客戶協議內的第三部份附表 E 第 9 項的證券及期貨（客戶款項）規則下之常設授權的內容已獲得解釋，及本人 / 吾等明白及同意其內容。

**Standing Authority under “Securities and Futures (Client Securities) Rules” (For Securities Margin Account Only)**

**『證券及期貨（客戶證券）規則』下之常設授權（只適用於證券保證金帳戶）**

I / We hereby agreed, acknowledge and confirm that I / we have given the standing authority to authorize you to deal with my / our securities collateral and the contents of the Standing Authority under Securities and Futures (Client Securities) Rules of Client Agreement Part III Schedule A clause 5 have been explained to me / us and I / we understand and agreed the contents of it.

本人 / 吾等謹此同意、承認及確定本人 / 吾等已授予貴公司常設授權以處置本人 / 吾等的證券抵押品，並且本人 / 吾等就該客戶協議內的第三部份附表 A 第 5 項的證券及期貨（客戶證券）規則下之常設授權的內容已獲得解釋，及本人 / 吾等明白及同意其內容。

**Additional Statement (For Futures Trading and Stock Options Trading Account)**

**附加聲明（只適用於股票期權及期貨帳戶）**

I / We agree to read the reporting requirements and the responsibilities of reporting set out in the Securities and Futures (Contract Limits and Reportable Position) Rules and related guidance notes issued by the Securities and Futures Commission. I / We agree to make the relevant notification and fulfil the responsibilities as required by the Securities and Futures (Contract Limits and Reportable Position) Rules and SFC and HKFE. I / We understand that I / we may also directly access all relevant information at the Web-site of Securities and Futures Commission or at the Web-site of HKEx.

本人 / 吾等同意細閱列於證券及期貨（合約限量及須申報的持倉量）規則及由證監會發出的有關指引的申報規則及責任。本人 / 吾等同意依據證券及期貨（合約限量及須申報的持倉量）規則、證監會及期貨交易所之要求作出申報及完成有關責任。本人 / 吾等明白所有有關資料可以由證監會及香港交易所的網頁上獲得。

**Client's Consent to Use of Personal Data 申請人個人資料使用同意書**

I/We have carefully read, fully understood and agreed to accept and be bound by the Notice and Statement Relating to the Personal Data (Privacy) Ordinance (Cap. 486 of the Laws of Hong Kong) as set out in Part V of the Client Agreement. In particular,

本人 / 吾等已仔細閱讀 完全理解並同意接受並遵守載於客戶協議第五部份有關個人資料(私隱)條例 (香港法例第 486 章) 的通知及聲明 由其是

- ☐ I / We hereby consent to the use of my/our client information for direct marketing directly related to the opening or continuation of my/our accounts with PCSL/PCFL and the provision of financial services by Magic Compass to me/us.

本人 / 吾等同意使用本人 / 吾等的客戶資料作為與本人 / 吾等於摩石證券 / 摩石期貨開立或繼續維持帳戶，及摩石向本人 / 吾等提供金融服務有關的直接促銷之用。

- ☐ I / We hereby consent to the use of my/our client information for direct marketing by PCSL/PCFL, its any Group Company or its Affiliates or other carefully selected financial, insurance or other service providers of other financial and insurance and/or services not directly related to the opening or continuation of my/our accounts with Magic Compass and the provision of financial services by Magic Compass to me/us.

本人 / 吾等同意摩石證券 / 摩石期貨、其任何集團或聯屬公司或其他仔細挑選之金融、保險或產品供應商使用本人 / 吾等的客戶資料作為直接促銷與本人 / 吾等於摩石開立或繼續維持帳戶，及摩石向本人 / 吾等提供金融服務無關的其他金融、保險或產品供應商之用。



*The terms in English version, as opposed to the Chinese translation, shall be deemed to be conclusive and definitive.*  
 本開戶表之英文本（相對中文譯本而言）為確實及有最終效力。

(1) Signature of Individual / First Joint Account Holder: 個人 / 第一戶口持有人簽署:		(2) Signature of Second Joint Account Holder: 聯名帳戶第二持有人簽署:	
Name 姓名		Name 姓名	
Date 日期		Date 日期	

Joint Account Signatures Arrangement 聯名帳戶簽署安排	
(1)	Each of the above joint account holders specified is authorized to give verbal instructions and/or instruction through the Electronic Services (where applicable) in relation to the purchase or sale of any securities and/or futures and/or options contracts for the Account(s) from time to time. 以上每一聯名帳戶持有人均有權為帳戶買賣任何證券及 / 或期貨及 / 或期權合約而不時發出口頭指示及 / 或透過電子服務(如適用)發出的指示; 及
(2)	<input type="checkbox"/> Either one joint account holder signing singly, 其中一位聯名帳戶持有人單獨簽署, <input type="checkbox"/> Both joint account holders signing jointly, 兩位聯名帳戶持有人共同簽署, <b>validates</b> any written instructions relating to the operation of the Account(s). 任何就帳戶運作之書面指示, 方為有效。

**Declaration by Representative of Magic Compass Securities Limited/Magic Compass Futures Limited**  
 由摩石證券有限公司 / 摩石期貨有限公司之代表作出聲明

I, _____ (name of representative) have fully explained and provided the contents of the Client Agreement, including but not limited to this Account Opening Form, the General Terms and Conditions, the Additional Terms and Conditions, the Disclaimers, the Data Privacy Policy and the Risk Disclosure Statement to _____ (name of client) in a language which he/she/they understand(s) and have invited the client to read, ask questions and take independent advice if the client wishes. 本人_____ (持牌代表姓名), 經以他/他們明白的語言, 向_____ (客戶姓名), 邀請其閱讀, 提出問題及徵求獨立意見 (如客戶有此意願), 並已全部清楚解釋客協議書, 當中包括, 但不限於本開戶表、一般條款、附加條款、免責聲明、私隱政策及風險披露聲明書內的內容。		
<b>Signed by Licensed Representative</b> 持牌代表簽署	<b>SFC CE No.</b> 證監會中央編號	<b>Date</b> 日期

**Note 注意:**

- Please attach an ID card copy of all account holders with this application form.  
請隨本申請表格附上全部帳戶持有人之身份證副本。
- Client can choose residential address, business address, correspondence address or e-mail address as all the statements will be sent to this address. P.O. Boxes are not accepted. Please attach the address proof of the residential address dated within the **latest 3 months**.  
客戶可選擇以住宅地址、商業地址、通訊地址或電郵地址收取帳戶結單。郵政信箱恕不接受。請附上在**最近三個月內**之住宅地址證明文件
- This form should be completed and signed by the customer in front of Magic Compass Group's Licensed Representative, otherwise, please see below Note 5.  
客戶必須在摩石集團的持牌代表面前填妥及簽署本表格; 如非親身開戶, 請參看下方的注意 5。
- Any deletion or amendment must be signed by all account holders.  
任何刪除或修改, 必須由客戶簽名作實。

5. If this document is not executed by the client in front of Magic Compass Group's Licensed Representative, client should comply the following procedural requirement:

如開戶文件並非在摩石集團的持牌代表面前簽署，客戶必須遵守以下其中一個程序要求：

- (i) Client should send to Magic Compass Group a personal cheque bearing your name shown in your identity document and drawn on your account with a licensed bank in Hong Kong with your same signature(s) as shown on this Form in favour of "Magic Compass Securities Limited" or "Magic Compass Futures Limited" for not less than HK\$10,000 (or such other amount as may be advised by Magic Compass Group). Your new account will not be activated until the cheque is cleared; or

客戶須交給摩石集團由香港的持牌銀行開立的帳戶所簽發（該簽名須與此開戶表格上的客戶簽名相符）並載有客戶於身份證明文件上所顯示的姓名的個人支票，而該支票抬頭人須為「摩石證券有限公司」或「摩石期貨有限公司」及其金額不得少於 10,000 港元（或摩石集團通知客戶的其他數額）。客戶的新帳戶必須待支票兌現後才可使用；或

- (ii) The signing of Form 1 and sighting of related identity documents should be certified by a JP (Justice of Peace), or a professional person such as a branch manager of a bank, certified public accountant, lawyer or notary public.

表格 1 及有關身份證明文件的見證，須由太平紳士、銀行分行經理、執業會計師、律師或公證人加以驗證

**For Office Use Only 只供本公司專用**

Magic Compass Group hereby appoints the following Account Executive(s) being licensed by Securities and Futures Commission or such other licensed person as from time to time it may permit and notify the Client in writing, to be primarily responsible for the affairs of the Client in respect of the Client's account(s) with Magic Compass Group:

Name of Account Executive 持牌代表名稱:

1.	Mr./Ms.		CE No.	
2.	Mr./Ms.		CE No.	

**Document checklist 文件查核清單:**

Bank and Credit Reference obtained (for margin client) if necessary (e.g. deed of guarantee, etc.):

☐ Yes ☐ No

ID Card / Passport Copy obtained:

☐ Yes ☐ No

Address Proof obtained:

☐ Yes ☐ No

Employer consent letter obtained (if applicable):

☐ Yes ☐ No

Applicable to Non-face-to-face account procedure:

☐ Witness by JP / Branch Manager of bank / CPA / Lawyer or notary public

Personal cheque received (if applicable)

☐ Issued by a licensed bank in Hong Kong

☐ Payable to "Magic Compass Securities Limited" or

☐ "Magic Compass Futures Limited"

☐ Cheque amount not less than HK\$10,000

☐ Client name print on cheque is the same as A/C holder

☐ Same signature on cheque and A/C Opening Form

☐ Retained cheque copy

☐ Cheque cleared

Remarks:

**Document & Client Information checked by:**

Name of staff & signature		Date	
Name of staff & signature		Date	

**Commission Code**

Securities	HK	Futures	
	US		
Trading Limit		Loan Limit	

Trading on Structured or Derivative Products : ☐ YES ☐ NO

**ACKNOWLEDGED AND ACCEPTED BY AN AUTHORIZED SIGNATORY(IES) FOR AND ON BEHALF OF MAGIC COMPASS SECURITIES LIMITED/MAGIC COMPASS FUTURES LIMITED**

經由摩石證券有限公司 / 摩石期貨有限公司之授權代表確認及接納

Authorized Signature(s) 授權代表簽署	Name of Authorized Person 授權代表姓名	Date 日期

## **FORM 1**

This document should be executed by the client(s) and signed by a specified person\*.  
此文件由客戶簽立，並於指定人士\*前簽署。

Primary Client Signature 客戶簽署		Joint Client Signature 聯名客戶簽署	
Name 姓名		Name 姓名	
Date 日期		Date 日期	
<b>Signed and Certified by</b> <b>簽署及驗證</b>			
Signature 簽署		Name 姓名	
Profession / Title 所屬專業		Date 日期	
Contact Details 聯絡資料			

\* Specified person 指定人士:

Any other licensed or registered person, an affiliate of a licensed or registered person, a JP (Justice of the Peace), or a professional person such as a branch manager of a bank, certified public accountant, lawyer or notary public.

其他持牌人或註冊人仕、持牌人或註冊人的聯繫人仕、太平紳士或專業人仕，例如銀行分行經理、執業會計師、律師或公證人。