



GLOBAL PAYMENTS ACCOUNT APPLICATION (Spot FX) (Individual Account / Joint Account) 「匯款易」開戶申請表 (現貨外匯) (個人 / 聯名帳戶)

Note: This is an important document. You (the "Applicant") should carefully read and fully understand the contents of this Account Application, the attached Spot Terms and Conditions and Schedules and Appendix(ces) (if any) and Supplement(s) (if any) thereto (collectively "Spot Agreement") of CES Forex (HK) Limited ("CESFXHK"). "EBSI Group" means the group of companies comprising Everbright Securities Investment Services (HK) Limited, CES Commodities (HK) Limited, CES Forex (HK) Limited and Everbright Securities Digital Finance (HK) Limited together with China Everbright Securities International Company Limited ("CEBSI") and CEBSI's subsidiaries and associated companies. Before signing the Documents, the Applicant should first seek independent legal and other professional advice as necessary. The defined terms employed in the Spot Agreement shall be adopted herein, unless otherwise stated. In case of discrepancies between the English and Chinese versions of this Account Application, the English version shall prevail.

註：此乃重要文件。閣下（即「申請人」）應仔細閱讀並充份理解本開戶申請表及隨本文件附上有關光證外匯（香港）有限公司（即「光證外匯香港」）之現貨條款及條件及其附件及附錄（若有）及補充（若有）（統稱「現貨協議」）。「光大證券國際集團」指包括光大證券投資服務（香港）有限公司、光證期貨（香港）有限公司、光證外匯（香港）有限公司及光大證券數碼金融（香港）有限公司，連同光大證券國際集團及其附屬公司及相聯公司的公司集團。申請人在簽署文件前，必須徵求獨立法律及（如需要）其他專業意見。除另有說明外，現貨協議中所界定的詞彙亦適用於本文件。倘若本開戶申請表的中英文本有任何歧異，概以英文本為準。

FOR EXISTING CLIENT USE ONLY* 只供現有客戶使用*

- (1) Account No. 帳戶號碼：_____
- (2) Does the Applicant confirm that his/her personal data have not been changed and give consent to use the personal information maintained in existing account(s) (with account no. mentioned above) for this account opening application?
申請人是否確認他 / 她的個人資料沒有更改，並同意使用上述現有帳戶的個人資料以作本開戶申請用途？
- Yes 是 (Please skip Section A Question 3-7, 9-13) (請跳過A項問題 3-7, 9-13)
- Yes 是, but with the Applicant's particulars updated as below 惟申請人資料有如下更新
(Please provide the updated information in the relevant space in Section A Question 3-7, 9-13, where applicable)
(請在A 項問題 3-7, 9-13 的相關空位填上需更新的資料，如適用)

(Not applicable to eligible existing client who wishes to open Global Payments Account using simplified approach) To comply with the relevant laws and regulations of Hong Kong in respect of anti-money laundering and combat terrorist financing, you are required to provide the following documentation.

(不適用於希望以簡化方式開立環球付款帳戶的現有合資格客戶) 為符合香港就打擊洗錢及恐怖分子資金籌集的相關法律和規定，閣下需要提供下列文件。

| Attached 已附 | Documents 文件 |
|----------------|---|
| | Copies of following documents appropriately certified (see "Appendix – Certification requirements") by Justice of the Peace, practicing lawyer, certified public accountant (practicing), notary public, chartered secretary, SFC licensed or registered person, or employee of EBSI Group in respect of each Applicant 以下經太平紳士、執業律師、執業會計師、公證人、特許秘書、證監會持牌或註冊人士、光大證券國際集團僱員就各申請人妥為核實（見「附錄—核證要求」）的文件副本 |
| Yes 是 / No 否 | If you are a Hong Kong permanent resident 若閣下為香港永久性居民 <ul style="list-style-type: none"> Valid Hong Kong Permanent ID Card 有效香港永久性居民身份證 |
| Yes 是 / No 否 | If you are a China permanent resident 若閣下為中國永久性居民 <ul style="list-style-type: none"> Valid Travel Document (e.g. Passport); or 有效旅行證件（例如護照）；或 Chinese ID Card; and 中國居民身份證；及 Hong Kong / Macau ID Card / Exit/Entry Permit for Traveling to and from Hong Kong and Macau 香港 / 澳門身份證 / 往來港澳通行證 |
| Yes 是 / No 否 | If you are not a Hong Kong Permanent resident 若閣下為非香港永久性居民 <ul style="list-style-type: none"> Valid Travel Document (e.g. Passport) 有效旅行證件（例如護照） |
| Yes 是 / No 否 | <ul style="list-style-type: none"> Address Proof issued within the recent 3 months such as statement issued by banks or other financial institutions, utilities bill, mobile phone statement, for non-Hong Kong residents a valid driver's license (with photo), the latest tax return or letter issued by government department agency, valid national identity card, etc. 最近3個月內發出的地址證明，例如：銀行或其他金融機構月結單、水電費單、手提電話月結單、（就非香港居民而言）有效駕駛執照（有照片）、最近的稅單或由政府部門發出的信件、有效國家身份證明等。 |

Personal Information 個人資料

(1) Full Name (in English): Mr / Mrs / Miss / Ms Surname : _____ Given Name : _____
 姓名 (中文) : 先生 / 太太 / 小姐 / 女士 姓 _____ 名 _____

Date of Birth: _____ Nationality : _____ Identity Card or Passport No.: _____
 出生日期 國籍 身份證或護照號碼

(2) Identification Document Type: HKID CNID Macau ID Passport Other
 身份證明文件類別 香港身份證 中國身份證 澳門身份證 護照 其他

(3) Residential Address 住址 : (Please provide address proof within the recent 3 months 請提供最近 3 個月的地址證明)

Flat 室 Floor 樓數 Block 座數 House 樓 / Building 大廈 Estate 屋邨 / Garden 花園

No. and Name of Street 門牌號數及街道名稱

District 分區 / Area 地區

Country 國家

Nature of Occupancy 住宅類別 :

Owned 自置 Rented 租用 Family Property 家人物業 Quarter 宿舍
 Others 其他 (Please specify 請說明) : _____

(4) Permanent Address 永久地址 :

Same as residential address 與住址相同
 Otherwise, please specify 若與住址不同，請說明 : (Please provide address proof within the past recent 3 months 請提供最近3個月的地址證明)

Flat 室 Floor 樓數 Block 座數 House 樓 / Building 大廈 Estate 屋邨 / Garden 花園

No. and Name of Street 門牌號數及街道名稱

District 分區 / Area 地區

Country 國家

(5) Correspondence Address 聯絡地址 :

Same as residential address 與住址相同 Same as permanent address 與永久地址相同
 Otherwise, please specify 若與住址及永久地址不同，請說明 :

Flat 室 Floor 樓數 Block 座數 House 樓 / Building 大廈 Estate 屋邨 / Garden 花園

No. and Name of Street 門牌號數及街道名稱

District 分區 / Area 地區

Country 國家

(6) Home Tel No. 住宅電話號碼 :
 () _____

(7) Mobile Phone No. 手提電話號碼 :
 () _____

(8) Email Address 電子郵件地址* :

Language required 語言選擇: English 英文 Chinese 中文

* Please note that all general correspondence and account statements will be sent to this email address.
 請注意，所有一般通訊及帳戶結單將被送至上述閣下指定的電子郵件地址。

(9) Employment Status 工作狀況

Employed 受僱 Self Employed 自僱 Retired 退休 Housewife 家庭主婦 Other 其他 : _____

Name of Employer 僱主名稱 : _____

Nature of Business of Employer 僱主業務性質 : _____ Position 職位 : _____ Years of Service with Employer 服務僱主年期 : _____

(10) Business / Office Address 營業 / 辦公地址 :

Tel No. 電話號碼 : () _____

Flat 室 Floor 樓數 Block 座數 House 樓 / Building 大廈 Estate 屋邨 / Garden 花園

No. and Name of Street 門牌號數及街道名稱

District 分區 / Area 地區

Country 國家

(11) Annual Income (HK\$) : ≤ \$250,000 \$250,001 - \$500,000 \$500,001 - \$1,000,000 \$1,000,001 - \$10,000,000
 每年收入 (以港元計) \$10,000,001 - \$50,000,000 \$50,000,001 - \$100,000,000 > \$100,000,000

(12) Net Assets (HK\$) : ≤ \$50,000 \$50,001 - \$200,000 \$200,001 - \$500,000 \$500,001 - \$1,000,000
 資產淨值 (以港元計) \$1,000,001 - \$5,000,000 \$5,000,001 - \$10,000,000 \$10,000,001 - \$40,000,000 \$40,000,001 - \$80,000,000
 \$80,000,001 - \$100,000,000 > \$100,000,000

(13) Liquid Assets (HK\$) : ≤ \$50,000 \$50,001 - \$200,000 \$200,001 - \$500,000
 流動資產(以港元計) \$500,001 - \$1,000,000 \$1,000,001 - \$5,000,000 \$5,000,001 - \$10,000,000
 \$10,000,001 - \$40,000,000 \$40,000,001 - \$80,000,000 \$80,000,001 - \$100,000,000 > \$100,000,000

- (14) Initial Source(s) of Wealth 最初財富來源：
 Salary and / or bonus 薪金及／或花紅 Savings 儲蓄 Business income 業務收入
 Return on investment 投資回報 Retirement funds 退休金
 Inheritance or gift 遺贈或禮物 Others (Please specify) 其他 (請說明) : _____
- (15) Ongoing Source(s) of Wealth 持續財富來源：
 Same as Initial Source(s) of Wealth 與最初財富來源相同
 Others (Please specify) 其他 (請說明) : _____
- (16) Expected Source(s) & Origin of Funds 資金的預期來源及源頭：
 (a) Expected Source(s) of Funds 資金的預期來源：
 Salary and/or bonus 薪金及／或花紅 Savings 儲蓄 Business income 業務收入
 Return on investment 投資回報 Retirement funds 退休金
 Other 其他 (Please specify 請說明) : _____
 (b) Country(ies) of Origin(s) of Funds 資金來源地：
 Hong Kong 香港 Mainland China 中國內地 Macau 澳門
 United States 美國 Canada 加拿大 Singapore 新加坡
 Other 其他 (Please specify 請說明) : _____
- (17) Is this a joint account application? (If yes[#], please state the name of the other joint account holder and the relationship)
 此帳戶是否聯名帳戶申請？(如是[#]，請填寫另一聯名帳戶持有人名稱及其與申請人之關係)
 *Yes 是 (_____) No 否
 Relationship 關係 : _____

[#] Please note that each account holder of a joint account should complete a separate account opening form. 請留意聯名帳戶的每位申請人須獨立填寫開戶申請表。

SECTION B IDENTITY DECLARATION 身份聲明

Is the Applicant a relative of the Wealth Manager responsible for the Applicant's Account(s) to be opened with CESFXHK? (If yes, please state the relationship.)

申請人是否負責此光證外匯香港帳戶之客戶經理之親屬？(如是，請陳述與之關係。)

Yes 是 (_____) No 否

SECTION C APPLICANT'S AGREEMENT & ACKNOWLEDGEMENT 申請人之承諾及確認

I confirm that the Spot Agreement has been provided in a language of my choice (English or Chinese) and that I have read and fully understood the contents of this Account Application and the Spot Agreement (as amended from time to time) and agree to be bound by them. I confirm that I have been given the opportunity to ask questions and take independent advice if I so wish.

本人確認現貨協議已經按本人所選擇的語言(英文或中文)提供，且本人已閱讀並完全明白本開戶申請表及現貨協議(經不時修訂)之內容，並同意受其等所約束。本人確認有機會提出問題及按本人意願徵求獨立的意見。

I hereby declare and represent that the information provided on, with, and / or pursuant to this Account Application is true, accurate, complete and up-to-date and that all action necessary to authorize the disclosure of such information to CESFXHK and the use of such information by CESFXHK for any purposes contemplated under or related to this Account Application has been taken. I hereby undertake to provide such further information as subsequently and reasonably requested by CESFXHK from time to time or otherwise required under the Spot Agreement. I hereby further undertake to notify CESFXHK promptly of any change to any aforesaid information. CESFXHK is entitled to rely fully on all aforesaid information for all purposes until CESFXHK is notified to the contrary in writing and any such written notification shall be duly signed by me. I understand and accept that unless otherwise agreed by CESFXHK in writing, any change to any aforesaid information shall not take effect until 5 days after the actual receipt by CESFXHK of the relevant written notification.

本人現聲明及申述開戶申請表上提供、隨附及／或按本開戶申請表所提供的資料皆為真實、準確、完整及為最新的，並且已採取一切必要行動獲授權可向光證外匯香港披露該等資料及光證外匯香港可為本開戶申請表所預期或關於其目的而使用該等資料。本人現承諾按光證外匯香港此後不時之合理要求或根據現貨協議提供其他資料。本人現再承諾即時通知光證外匯香港任何前述資料之任何變更。除非光證外匯香港接獲本人以書面通知的任何變更，否則光證外匯香港有權完全依賴所有前述之資料作一切用途及任何該等書面通知須由本人等恰當地簽署。本人明白及接受：除非光證外匯香港另有書面同意，否則任何前述資料的任何變更，只會於光證外匯香港確實收妥有關書面通知當日起計五日後才會生效。

I hereby consent to CESFXHK to issue and deliver account statements and other account related communications, including but not limited to the account statements, notices, trade confirmation and/or any other updates and communications by CESFXHK to me via electronic means, such as email to my designated email address(es) stated in section A of this Account Application Form or as previously provided to Everbright Securities International Group (where applicable) and/or display on the trading platform whereof I can access, download and/or print out.

本人現同意光證外匯香港可透過電子途徑(例如向本人於本開戶申請表 A 項指定或先前提交予光大證券國際集團(如適用)之電子郵件地址發送郵件)及／或顯示於本人可以進入的交易平台並可下載及／或列印，向本人發出及遞送帳戶結單及其他帳戶相關通訊，包括但不限於光證外匯香港的帳戶結單、通知、交易確認書及／或任何其他最新資料及通訊。

Use of Personal Data for Direct Marketing 直接促銷中個人資料的使用

China Everbright Securities International Company Limited ("CEBSI"), its subsidiaries and associated companies (together referred to as the "EBSI Group") would like to seek your (i.e., the Applicant's) consent to (i) use your personal data; and (ii) transfer your personal data to members within the EBSI Group, for direct marketing (such as special offers, preferential rates, product updates, market opportunities, gifts, coupons, seminars, events etc.) for which EBSI Group may receive gain. This direct marketing will relate to financial services and products, including investments, insurance, foreign exchange and lending ("Marketing Subjects"). Your personal data to be so used may include your name, contact details, age group, gender, financial profile and educational level ("Personal Data")

中國光大證券國際有限公司(「中國光證國際」)、其附屬公司及聯屬公司(統稱為「光大證券國際集團」)敬請閣下(即申請人)同意我們：(i)使用閣下個人資料；及(ii)將閣下個人資料轉移至光大證券國際集團旗下各成員公司，作直接促銷用途(例如特別產品推介、優惠費率、產品最新資料、市場投資機會、禮品、贈券、研討會、活動等)，而光大證券國際集團可能就其獲取得益。該等直接促銷是關於金融服務及產品，包括投資、保險、外匯及借貸(「促銷內容」)。就直接促銷用途所使用的閣下個人資料可能包括閣下姓名、聯絡資料、年齡組別、性別、財務狀況及教育水準(「個人資料」)。

Without your consent, the EBSI Group may not use or transfer your Personal Data for direct marketing purpose. You may at any time withdraw your consent.

未經閣下同意，光大證券國際集團不可使用或轉移閣下個人資料作直接促銷用途。閣下可隨時撤回所作出的同意。

Please tick the box below to indicate your consent. 請閣下剔選下述方框以表示閣下的同意。

- I, the Applicant, consent to the EBSI Group using my Personal Data, or transferring my Personal Data within the EBSI Group, for direct marketing to me of the Marketing Subjects.
本人（即申請人）同意光大證券國際集團使用本人的個人資料，或於光大證券國際集團內轉移本人／吾等個人資料，用於向本人直接提供促銷內容。

Please refer to the EBSI Group's Privacy Policy at www.ebshk.com or contact us for a copy.
請參閱光大證券國際集團在www.ebshk.com登載的私隱政策，或聯絡我們索取有關政策。

Date 日期：_____

Applicant's Signature#:
申請人簽署#：

Name姓名：

For completion by EBSI Group's staff@
由光大證券國際集團僱員填寫@

Witnessed by 見證人： _____
(Signature of witness 見證人簽署)

Name of witness 見證人姓名： _____

Staff number 僱員編號： _____

The signatures shall be recorded as specimen signature for the purpose of the Account and all matters relating to it. 為帳戶及所有其他相關事宜，簽署將被記錄為簽署樣式。

@ Only applicable to account opening signed before a staff member of EBSI Group^ 僅適用於在光大證券國際集團的僱員面前簽署開戶申請表

^ Not applicable to eligible existing client who wishes to open Global Payments Account using simplified approach 不適用於希望以簡化方式開立匯款易帳戶的現有合資格客戶

Certification (to be completed when Account Application not signed before a staff member of EBSI Group^)

核證（如開戶申請表並非在光大證券國際集團的僱員面前簽署請填此欄^）

I am a* Justice of the Peace / practicing lawyer / practicing certified public accountant / notary public / chartered secretary / SFC licensed or registered person accredited to the intermediary named below. I hereby certify that on the date above written in this Section C, this Account Application was signed by the Applicant named in this Account Application (who had been previously identified by production of the original of his/her Identity Card or Passport (detailed above) to me) before me.

本人乃*太平紳士 / 執業律師 / 執業會計師 / 公證人 / 特許秘書 / 隸屬以下所指名之中介團體之證監會持牌或註冊人士。本人現證實：於以上在本 C 項所寫的日期當日，本開戶申請表乃由本開戶申請表所指名的申請人（其身份已根據其向本人出示之身份證或護照（詳見上文）正本作核實）於本人面前簽署。

* Please delete as appropriate

*請刪去不適用者

Signature of the certifier 證明人簽署

Date 日期

Name of the certifier (please print)
證明人姓名（正楷）

Title (please print)
銜頭（正楷）

CE No. or relevant registration No.
of the certifier (if applicable)
證明人之中央編號或相關註冊編號（如適用）

Name and CE No. of the intermediary
to which the certifier is accredited (if applicable)
證明人所隸屬之中介團體名稱及中央編號（如適用）

Office Use: TO BE COMPLETED BY WEALTH MANAGER 由客戶經理填寫

Proposed Transaction Limit: 建議交易限額 US\$ _____ 美元

Wealth Manager Signature 客戶經理簽署： _____
Approved account opening for and on behalf of CESFXHK by
經由下列人士為及代表光證外匯香港核准開戶

Name姓名：
Date日期：
Staff No. 僱員編號：

Name姓名：
Date日期：

Appendix – Certification requirements 附錄—核證要求

Only the following persons may certify a copy 僅以下人士可核證副本:

| Mandatory criteria 強制性標準 | | |
|---|---|--|
| Representative of EBSI Group or another Hong Kong-regulated entity 光大證券國際集團或其他香港受規管實體的代表 | Authorized representative of 以下機構的獲授權代表: <ul style="list-style-type: none"> ✦ a Hong Kong-regulated EBSI Group entity; or 於香港受規管的光大證券國際集團實體; 或 Licensed Person of 以下機構的持牌代表: <ul style="list-style-type: none"> ✦ any other “authorized institution” regulated by the Hong Kong Monetary Authority, “licensed corporation” regulated by the Securities and Futures Commission or “authorized insurer” or “authorized insurance broker” regulated under the Insurance Companies Ordinance (Cap. 41) 任何其他受香港金融管理局規管的「獲授權機構」、受證券及期貨事務監察委員會規管的「持牌法團」或根據《保險公司條例》(第 41 章)受規管的「獲授權保險人」或「獲授權保險經紀」 | |
| Lawyer 律師 | Lawyer practicing in Hong Kong 香港執業律師 | Lawyer practicing in an approved jurisdiction 於認可司法管轄區執業的律師* |
| Accountant 會計師 | Certified public accountant practicing in Hong Kong 香港執業會計師 | Professional accountant practicing in an approved jurisdiction 於認可司法管轄區執業的專業會計師* |
| Justice of the Peace 太平紳士 | Justice of the Peace in Hong Kong or an approved jurisdiction 於香港或認可司法管轄區的太平紳士* | |
| Notary public 公證人 | Notary public practicing in Hong Kong or an approved jurisdiction 於香港或認可司法管轄區執業的公證人* | |
| Chartered secretary 特許秘書 | Chartered secretary practicing in Hong Kong or an approved jurisdiction 於香港或認可司法管轄區執業的特許秘書* | |

* An “**approved jurisdiction**” means a member of the Financial Action Task Force, other than Hong Kong.
「認可司法管轄區」指除香港以外的財務行動特別組織成員。

The certifier must 證明人須:

- (a) sign and date the copy; 在副本上簽署並填寫日期;
- (b) print their name clearly in capitals underneath the signature; 於簽署下方用正楷清楚列示其姓名;
- (c) clearly indicate their position or capacity on the copy; and 於副本上清楚註明其職位或身份; 及
- (d) state that the copy is a true copy of the original (or words to similar effect).
註明該副本為正本的真確副本 (或類似意思的字句)。

For example 例如:

I certify that this is a true copy of the original document that I have seen.
本人證實此乃本人見過的正本文件的真確副本。

Certifier's signature DD / MM / YYYY
證明人簽署 日/月/年

[FULL NAME OF CERTIFIER]
[證明人的全名]

[Certifier's position / capacity], [Jurisdiction], [License or registration] / [EBSI employee ID if relevant]
[證明人的職位 / 身份]、[司法管轄區]、[牌照或註冊] / [光大證券國際僱員身份證 (如相關)]