

Account Application Form

INDIVIDUAL

个人



KAB STRATEGY LIMITED
三甲金融策略有限公司

Please tick the appropriate box 请在适当空格加
Please delete whichever in inapplicable. 请删去不适用者

Account Opening Date 开户日期

PLEASE COMPLETE THE APPLICATION FORM USING BLOCK LETTERS WHERE APPLICABLE. 请以正楷填写

Account Opening Form 开户表格

KAB STRATEGY LIMITED

三甲金融策略有限公司

Office 203, Stavrakis Court,
13 Griva Digeni Avenue,
6030 Larnaca, Cyprus.

License Number: 058/05
注册牌照号码: 058/05

Account No. 账户号码

A.E. Code 客户代表号码

- | | |
|---|--|
| <input type="checkbox"/> Individual Account 个人账户 | <input type="checkbox"/> Joint Account 联名账户 |
| <input type="checkbox"/> (A) Securities Cash 股票现金 | <input type="checkbox"/> (B) Portfolio Management 资产管理 |
| <input type="checkbox"/> (C) International Futures 国际期货 | <input type="checkbox"/> (D) CFDs 差价合约 |
| <input type="checkbox"/> (E) Mutual Funds 互惠基金 | <input type="checkbox"/> (F) ECN 三甲专业投资账户 |
| <input type="checkbox"/> (G) Structural Products 股票关联结构产品 | |
- Online account 网上户口: Yes 是 No 否

Account Applicant's Personal Information 户口申请人之个人资料

Mr. 先生 Mrs. 太太 Miss. 小姐

Name In English 英文姓名

Name In Chinese 中文姓名

ID / Passport 身份证 / 护照号码*

Nationality 国籍

Date of Birth 出生日期 (dd/mm/yy) (日/月/年)

Mobile No. 手机号码

Home or Fax No. (if any) 住宅或传真号码 (如有)

E-mail Address 电邮地址

Residential Address 住址

- | | | |
|---|--|---|
| <input type="checkbox"/> Owned 自置 | <input type="checkbox"/> Rented / Monthly Rental 租用 / 每月租\$ _____ | <input type="checkbox"/> Relative's 亲属的楼宇 |
| <input type="checkbox"/> With Parents 与父母同住 | <input type="checkbox"/> Mortgaged / Monthly Installment 按揭 / 每月供款\$ _____ | <input type="checkbox"/> Quarters 宿舍 |

Employer Name 公司名称

Employer Phone No. 公司电话

Year(s) with Existing Employer 任职年期

Position 职位

Company Address 公司地址

Correspondence Address 邮寄地址 Residential 住址 Office 公司

Licensed / Registered Person Declaration 持牌 / 注册人士申报

Are you a licensed/ registered person, or an employee of a licensed / registered firm (e.g. employee of a brokerage firm, bank etc.) with the Cyprus Securities and Exchange Commission (the "CYSEC")?

客户是否塞浦路斯证监会的持牌或注册人士或塞浦路斯证监会注册持牌法团的雇员?

No 否 Yes, please specify 是, 请列明 _____

Do you have any relative(s) working in KAB STRATEGY LIMITED (which includes its group company and subsidiaries)?

阁下是否与三甲金融策略有限公司任何雇员有亲属关系 (包括三甲金融策略有限公司的子或母公司)?

No 否 Yes 是 Name 姓名: _____ Relationship 关系: _____

Politically Exposed Persons Declaration 政治或公职人士申报

Have you or a close relative or associate of yours ever been entrusted with a political or public position?

你或你的亲戚、朋友曾经被委托过政治或公共职位吗?

No 否 Yes. Please provide below details 是, 请列明以下细节

Full Name 姓名: _____ Relationship 关系: _____

Account Applicant's Other Information 户口申请人的其它数据

Are you the ultimate beneficial owner(s) of the account?

阁下是否户口的最终受益人?

Yes 是 No, Please provide detail information of below boxes 否, 请提供下列数据

Name 姓名 (last Name 姓) (Given Name 名)	ID / Passport 身份证 / 护照号码*	Contact Phone No. 电话
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Address 地址

Do you maintain any other account(s) with KAB STRATEGY LIMITED? 阁下现时是否已持有其它三甲金融策略有限公司的户口?

No 否 Yes, Please provide detail information of below boxes 是, 请提供下列数据

Name 姓名 (last Name 姓) (Given Name 名)	Account Type 户口类别	Account No. 户口号码
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Account Applicant's Bank Details 户口申请人的银行资料

(Funds will be transferred to the following account upon your fund withdrawal instruction.) (根据客户的提款指示, 款项将转入以下户口)

Main Banker's Name 主要银行名称	Bank Branch Address 银行分行地址
A/C No. 户口号码	A/C Holder's Name 户口持有人名称

HKD 港元 USD 美元
 RMB 人民币

Tax Residency Self Certification for FATCA and CRS purposes

《海外账户税收合规法案-FATCA》和《共同汇报标准-CRS》的税务居民自我认证

* Please complete as applicable 请根据情况填写

(TIN equivalents if TIN not available: Social Security Number, National insurance number, Citizen or personal identification code or number, Resident registration number) (如果税务居民标识号(TIN)不适用, 则为税务居民标识号(TIN)相近之社会保险号码, 国家保险号码, 公民身份或个人标识号或号码, 居民登记号码等)

I hereby declare that 我在此声明

1. I am a tax resident of USA. My USA tax identification number is _____
1.我是美国的税务居民。我的美国税务居民标识号(TIN) 是 _____

2. I am not a tax resident of USA. (Please complete below <3.> or <4.>)
2. 我不是美国的税务居民。(请完成填写下列 <3.> 或 <4.>)

3. I declare that I am a Tax Resident of the countries stated below as follows:
3. 我宣布我是下列国家的税务居民

Country 国家: _____ 税务居民标识号(TIN): _____

Country 国家: _____ 税务居民标识号(TIN): _____

4.If No TIN is provided, select one of the reasons below:
4.如果没有提供税务居民标识号(TIN), 请选择以下其中一个原因:

A. Country does not issue TIN 国家不发行税务居民标识号(TIN)

B. TIN is not required by the domestic law 国内法不要求税务居民标识号(TIN)

C. Unable to obtain a TIN 无法获得税务居民标识号(TIN)。Reason 原因: _____

I hereby declare that the information provided above is true, correct and complete. I recognize my obligation to immediately inform the Company of any changes in relation to the above data.

我在此声明, 上面提供的信息是真实的, 正确的和完整的。我理解及知道如上述数据有关的任何更改时, 我有责任立即通知公司上述数据有关的任何变化。

I further declare that I am aware of FATCA (Foreign Account Tax Compliance Act) provisions. I am aware and acknowledge that FATCA requires Financial Institutions to report information relating to reportable accounts as provided in the Intergovernmental Agreement to the Cyprus Tax Department and I provide my consent to the Company to report my personal information if required.

我进一步声明, 我知道《海外账户税收合规法案-FATCA》条款。我了解并承认, 《海外账户税收合规法案-FATCA》要求金融机构就政府间协议中规定向塞浦路斯税务部门报告本人账户的相关信息。我同意贵公司向第三方报告我的个人信息(如有需要)。

I declare further that I am aware of CRS (Common Reporting Standard) provisions. I am aware and acknowledge that CRS requires Financial Institutions covered by the standard to report certain information relating to reportable accounts to the Cyprus Tax Department and I provide my consent to the Company to report my personal information if required.

我进一步声明, 我知道《共同汇报标准-CRS》条款。我了解并承认, 《共同汇报标准-CRS》要求金融机构就政府间协议中规定向塞浦路斯税务部门报告本人账户的相关信息。我同意贵公司向第三方报告我的个人信息(如有需要)。

(The Company is required to obtain the below information in order to fulfill the "Know Your Client (KYC)" requirement of the Cyprus Securities and Exchange Commission (the "CYSEC") (所需资料是根据 Cyprus Securities and Exchange Commission (the "CYSEC") 所制定的认识你的客户 (KYC) 要求而索取)

Estimated Annual Income (HK\$) 估计年薪 (港元)		Approximate net asset value (HK\$) (Total Assets – Total Liabilities) 估计资产净值 (港元) (总资产 - 总负债)				
<input type="checkbox"/> HK\$200,000 - HK\$500,000	<input type="checkbox"/> HK\$500,001 - HK\$1,000,000	<input type="checkbox"/> Under HK\$500,000 以下	<input type="checkbox"/> HK\$500,000 - HK\$3,000,000			
<input type="checkbox"/> HK\$1,000,001 - HK\$5,000,000	<input type="checkbox"/> Above HK\$5,000,000 以上	<input type="checkbox"/> HK\$3,000,001 - HK\$5,000,000	<input type="checkbox"/> HK\$5,000,001 - HK\$30,000,000			
<input type="checkbox"/> Other Income Source 其它收入 : _____		<input type="checkbox"/> Above HK\$30,000,000 以上				
Investment Term 投资年期						
<input type="checkbox"/> 3-5 years 年 Long Term 长线	<input type="checkbox"/> 2-3 year 年 Mid to Long Term 中长线	<input type="checkbox"/> 0.5-2 years 年 Medium Term 中线	<input type="checkbox"/> Less than half year 少于半年 Short Term 短线			
Investment Objectives 投资目标						
<input type="checkbox"/> Long Term Investment 长线投资	<input type="checkbox"/> Mid to Long Term Investment 中长线投资	<input type="checkbox"/> Capital Growth 增值	<input type="checkbox"/> Speculation 投机			
Investment Experience 投资经验 (年资)						
	<input type="checkbox"/> Nil 没有	<input type="checkbox"/> < 1 Year 年	<input type="checkbox"/> 1 - 3 Years 年	<input type="checkbox"/> 4 - 5 Years 年	<input type="checkbox"/> > 5 Years 年	Trading frequency on last quarter 过去一季交易次数
Shares 股票	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____ Times 次
Bonds 债券	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____ Times 次
Mutual Funds 互惠基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____ Times 次
Futures / Options 期货 / 期权	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____ Times 次
Derivatives 衍生工具	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____ Times 次
Structural Products 股票关联结构产品	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____ Times 次
Precious Metals 贵金属	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____ Times 次
Leverage Foreign Exchange 杠杆外汇	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____ Times 次
CFDs 差价合约	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____ Times 次
Other 其它 : _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____ Times 次

Appropriateness test on investing CFDs / Forex --- Applicable for Account Type D and Type F only
 交易差价合约交易及/或外汇投资的适合性评估 --- 仅适用于 账户类型 D 和 账户类型 F

1. I have experience in trading leveraged products for 我拥有杠杆产品交易的经验为

More than 5 years 大于五年

Between 1 and 5 years 一至五年

No experience 没有经验

2. The use of leverage in trading magnifies 在交易中使用杠杆会放大你的

Profits only 盈利

Losses only 亏损

Both profits and losses 盈利及亏损

3. When using leverage 1:100, the impact on the initial investment at a small market movement comparative to not using leverage is
 当使用 1:100 杠杆时, 小幅度的市场波动相对于没有使用杠杆时对你的初始投资影响是

Smaller 缩小

Larger 放大

The same 没有影响

4. The stop loss order can be used to 止损指令能用于

Avoid all the losses from a negative market movement 避免所有于不利的市场波动时带来的损失

Limit the losses from a negative market movement 限制于不利的市场波动时带来的损失

Generate profits from a negative market movement 于不利的市场波动时产生盈利

WARNING: IF YOU FAIL TO PASS APPROPRIATENESS TEST. THE INVESTMENT PRODUCTS YOU HAVE CHOSEN ARE NOT SUITABLE FOR YOU ACCORDING TO YOUR KNOWLEDGE AND EXPERIENCE. WE STRONGLY SUGGEST YOU TO LOGIN TO A DEMO ACCOUNT AND PRACTICE IN INVESTMENTS IN LEVERAGED PRODUCTS AND STUDY MORE ABOUT THESE INVESTMENT PRODUCTS SO AS TO OBTAIN THE NECESSARY KNOWLEDGE AND EXPERIENCE. KAB DOES NOT RECOMMEND YOU TO PROCEED WITH THE INVESTMENTS PRODUCTS YOU HAVE CHOSEN.
警告: 如您未能通过测试。根据您测试的知识和经验, 您所选择的投资产品并不适合您。我们强烈建议您登录仿真杠杆产品进行投资并进行模拟交易, 并了解关于这些投资产品的更多信息, 从而获得必要的知识和经验。三甲不建议您选择此投资产品进行投资。

***** IF YOU STILL WOULD LIKE TO PROCEED PLEASE READ THE AKNOWLEDGEMENT STATEMENT AND CONFIRM THAT YOU AGREE BY TICK *****
 如果您还想继续, 请阅读下列确定声明并打勾确认您同意。

I understand that I have failed the appropriateness test and that the investment products I have chosen are not suitable for me according to my knowledge and experience. However I still would like to proceed with opening the account irrespective of the risks involved. 根据我的知识和经验, 我知道我没有通过上述我测试, 我知道选择的投资产品并不适合我。不过, 无论风险如何, 我仍然想继续开设账户。

Contract Notes and Statement 成交單據及結單

Email Address: (Max. 50 Characters)
 选择电邮方式传递请填写上电邮地址

Declaration 声明

The Account Applicant(s) represent(s) that the information on this Account Application Form is true, complete and correct and that the representation in the attached Customer Agreement of KAB STRATEGY LIMITED (including the Futures, Commodities, Options on Futures Trading Addendum if applicable) (Agreement) are accurate. Information on this Account Application Form and representations in the Agreement are collectively referred as "The Account Opening Information". KAB STRATEGY LIMITED is entitled to rely fully on such Account Opening Information for all purposes, unless KAB STRATEGY LIMITED receives notice in writing of any change. KAB STRATEGY LIMITED is authorized at any time to contact anyone, including but without limitation to banks, brokers or any credit agency for purpose of verifying the Account Opening Information.

All transactions to be concluded with or through KAB STRATEGY LIMITED shall be subject to the terms and conditions of the Agreement. Please read the Agreement carefully before signing this Account Application Form. By signing below, the Account Applicant(s) confirm(s) that he/she/they has/have read, understood and accepted the Agreement, in particular the section entitled Risk Disclosure Statements and shall be bound by the Agreement as it may be amended from time to time.

户口申请人兹声明在本开户申请表内的数据属实、完整及正确，而附上三甲金融策略有限公司的【客户协议】(如适用包括其它附件)(以下简称为《协议》)内的一切申述准确。本开户申请表内的数据及《协议》内的申述，以下统称【开户资料】，除非三甲金融策略有限公司接到更改有关【开户资料】内容的书面通知，三甲金融策略有限公司有权在任何用途上完全依赖这些【开户资料】。三甲金融策略有限公司有权随时联络任何人，包括但不限于公司之银行、经纪或任何信贷调查机构，以求证实【开户资料】内所载之内容。

所有由户口申请人或透过三甲金融策略有限公司进行之交易均受《协议》之条文限制。请于申请户口前细阅《协议》各项条文。于下方签署乃确认户口申请人已细阅、明白及同意《协议》(尤其【风险披露声明】一节)的各项条文内容，并接受该等《协议》的各项条文会不时作出修改。

Client's Signature 客户签署

Account Applicant's Signature 户口申请人签署 X	Date 日期
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FOR OFFICE USE ONLY

Name of Account Executive The Client has been known to (the Account Executive) for _____ Years	Name of Introducer The Client has been known to (the Introducer) for _____ Years	Signature of A.E / Introducer: Date
Recommendations	Documentation Checked By	Date

TERMS & CONDITIONS**Stock Account:**

T+O Cash in advance
 Stock Market: Hong Kong USA
 Singapore others, please specify: _____

Futures Account:

Hang Seng Index Futures Mini Hang Seng Index Futures
 International Futures Rolling Futures
 Others please specify: _____
 Spot Currencies
 No. of Contracts: _____
 Market: Hong Kong USA
 Singapore Others, please specify: _____

Precious Metals Account:

100 oz Loco London Gold 10 oz Loco London Gold
 5000 oz Loco London Silver 500 oz Loco London Silver
 Others please specify: _____

Mutual Funds Account:

Global Investment House Mayfair
 Value Partners (VP)
 Others please specify: _____

All limits are for credit control purpose only, and not our commitment. We may in our discretion change such trading limit at any time without notice to the client

Commission Rate and Comments:	
<input type="checkbox"/> (A) Securities Cash	<input type="checkbox"/> (B) Portfolio Management
<input type="checkbox"/> (C) International Futures	<input type="checkbox"/> (D) CFDs
<input type="checkbox"/> (E) Mutual Funds	<input type="checkbox"/> (F) ECN
<input type="checkbox"/> (G) Structural Products	

Approved By Head / Deputy Head:	Date
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