華業證券
Grand China Securities

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根據《證券及期貨條例》就第 1、2、4及9 類受規管活動獲發牌的持牌法團 CE 編號 AYX768 及香港聯合交易所有限公司（《聯交所》）交易所參與者
A corporation licensed for Type 1, 2, 4 & 9 regulated activities under the Securities and Futures Ordinance with CE no. AYX768 and an exchange participant of the Stock Exchange of Hong Kong Limited (the "Exchange")

戶口號碼： Account No：	

開戶表 - 個人/聯名帳戶

Account Opening Form – Individual / Joint Account

客戶主任姓名 Name of AE		客戶主任編號 AE Code	
戶口種類 Account Type	☐ 證券現金帳戶 Securities Cash Account ☐ 證券保證金帳戶 Securities Margin Account ☐ 資產管理帳戶 Asset Management Account	帳戶形式 Account Nature	☐ 個人帳戶 Individual Account ☐ 聯名帳戶 Joint Account

A. 個人資料 Personal Information

個人/聯名帳戶主持有人 Individual / Primary Joint Account Holder		聯名帳戶第二持有人 Secondary Joint Account Holder	
稱謂 Title	先生 Mr/女士 Ms/太太 Mrs/小姐Miss	稱謂 Title	先生 Mr/女士 Ms/太太 Mrs/小姐Miss
中文姓名 Chinese Name		中文姓名 Chinese Name	
英文姓名 English Name		英文姓名 English Name	
身份證號碼/護照號碼 ID Card No./Passport No.		身份證號碼/護照號碼 ID Card No./Passport No	
簽發地點 Place of Issue		簽發地點 Place of Issue	
出生日期(日/月/年) Date of Birth (dd/mm/yy)		出生日期(日/月/年) Date of Birth (dd/mm/yy)	
出生地點 Country of Birth		出生地點 Country of Birth	
國籍/公民身份 National/Citizenship		國籍/公民身份 National/Citizenship	
住宅地址 Residential Address		住宅地址 Residential Address	

通訊地址 Correspondence Address (如與住宅地址不同 if different from residential address)		通訊地址 Correspondence Address (如與住宅地址不同 If different from residential address)	
住宅電話 Home Phone No		住宅電話 Home Phone No	
流動電話 Mobile Phone No		流動電話 Mobile Phone No	
電郵地址 E-mail Address	(只須由個人/主要戶口持有人填寫 Individual/Primary Joint Account Holder Only)		
交易確認及帳戶結單遞送至(只選一項) Trading confirmations and statements to be sent to your (select one) ☐ 電郵地址 E-mail Address ☐ 住宅地址 Residential Address ☐ 辦公室地址 Office Address ☐ 通訊地址 Correspondence Address			

B. 工作狀況 Employment Status

主要戶口持有人 Primary Joint Account Holder		第二戶口持有人 Secondary Joint Account Holder	
就業情況 Employment Status ☐ 受僱 Employed ☐ 自僱 Self-employed ☐ 退休 Retired ☐ 學生 Student ☐ 其他 Others__________		就業情況 Employment Status ☐ 受僱 Employed ☐ 自僱 Self-employed ☐ 退休 Retired ☐ 學生 Student ☐ 其他 Others__________	
僱主名稱 Name of Employer		僱主名稱 Name of Employer	
職業/業務性質 Occupation/Business Nature		職業/業務性質 Occupation/Business Nature	
職位 Job Title		職位 Job Title	
受僱年期 Years with Employer		受僱年期 Years with Employer	
辦公室電話 Business Phone No		辦公室電話 Business Phone No	
辦公室地址 Office Address		辦公室地址 Office Address	

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

<table>
<tr><td>投資目標
Investment Objective</td><td colspan="2">☐ 賺取收入 Generating Income ☐ 資本增長 Capital Appreciation ☐ 對沖 Hedging
☐ 投機 Speculation ☐ 其他 Others____________________</td></tr>
<tr><td rowspan="2">對衍生產品之認識
Derivative Products Knowledge</td><td>主要戶口持有人
Primary Joint Account Holder</td><td>第二戶口持有人
Secondary Joint Account Holder</td></tr>
<tr><td>☐ 本人了解衍生產品的性質和風險:
I understand the nature and risks of derivative products by:

1. 已接受有關的培訓或課程
Undergoing relevant training or attending course in

☐ 監管機構 Regulatory Authority ☐ 交易所 Exchange ☐ 大專院校 Tertiary Institution
☐ 進修學院 Education Institution ☐ 金融機構 Financial Institution

2. 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.

☐ 受監管持牌人士 Regulated Licensed Person ☐ 管理層 Management
☐ 與衍生工具相關後勤 Derivatives Related Back Office

3. ☐ 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)
Executing five or more transactions in derivative products (whether traded on an exchange or not) within the past three years.

☐ 本人並未有衍生產品之認識
I have NO knowledge of derivative products.</td><td>☐ 本人了解衍生產品的性質和風險:
I understand the nature and risks of derivative products by:

1. 已接受有關的培訓或課程
Undergoing relevant training or attending course in

☐ 監管機構 Regulatory Authority ☐ 交易所 Exchange ☐ 大專院校 Tertiary Institution
☐ 進修學院 Education Institution ☐ 金融機構 Financial Institution

2. 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.

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☐ 與衍生工具相關後勤 Derivatives Related Back Office

3. ☐ 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)
Executing five or more transactions in derivative products (whether traded on an exchange or not) within the past three years.

☐ 本人並未有衍生產品之認識
I have NO knowledge of derivative products.</td></tr>
<tr><td>投資經驗:
Investment Experience

(可選擇多於一項)
(Can choose more than one)</td><td>☐ 上市證券 Listed Securities 年數 Year(s) (   )
☐ 期貨或期權 Futures or Options 年數 Year(s) (   )
☐ 槓桿式外匯 Leveraged Foreign Exchange 年數 Year (s) (   )
☐ 單位信託基金或債券 Unit Trusts or Bonds 年數 Year(s) (   )
☐ 其他 Others: ______________________
☐ 沒有 None</td><td>☐ 上市證券 Listed Securities 年數 Year(s) (   )
☐ 期貨或期權 Futures or Options 年數 Year(s) (   )
☐ 槓桿式外匯 Leveraged Foreign Exchange 年數 Year (s) (   )
☐ 單位信託基金或債券 Unit Trusts or Bonds 年數 Year(s) (   )
☐ 其他 Others: ______________________
☐ 沒有 None</td></tr>
</table>

D. 銀行資料 Bank Reference

除客戶另行指示外，須付予客戶的款項將會被轉入下列銀行帳戶
Unless otherwise instructed by client, all monies payable to you are to be credited to the following bank account

銀行名稱 Bank Name	
銀行帳戶貨幣/號碼 Bank Account Currency/Number	☐ 港幣 帳戶號碼 HKD A/C# ____________________ ☐ 美元 帳戶號碼 USD A/C# ____________________ ☐ 人民幣帳戶號碼 CNY A/C# ____________________
帳戶持有人名稱 Bank Account Holder's Name	

E. 財政狀況 Financial Situation

主要戶口持有人 Primary Joint Account Holder		第二戶口持有人 Secondary Joint Account Holder	
流動資產 (HKD) Liquid Assets (HKD)	☐ <HKD100,000 ☐ HKD100,001-HKD500,000 ☐ HKD500,001-HKD1,000,000 ☐ HKD1,000,001-HKD5,000,000 ☐ HKD5,000,001-HKD10,000,000 ☐ Other: HKD__________	流動資產 (HKD) Liquid Assets (HKD)	☐ <HKD100,000 ☐ HKD100,001-HKD500,000 ☐ HKD500,001-HKD1,000,000 ☐ HKD1,000,001-HKD5,000,000 ☐ HKD5,000,001-HKD10,000,000 ☐ Other: HKD__________
資產淨值 (HKD) Net Worth (HKD)	☐ <HKD100,000 ☐ HKD100,001-HKD500,000 ☐ HKD500,001-HKD1,000,000 ☐ HKD1,000,001-HKD5,000,000 ☐ HKD5,000,001-HKD10,000,000 ☐ Other: HKD__________	資產淨值 (HKD) Net Worth (HKD)	☐ <HKD100,000 ☐ HKD100,001-HKD500,000 ☐ HKD500,001-HKD1,000,000 ☐ HKD1,000,001-HKD5,000,000 ☐ HKD5,000,001-HKD10,000,000 ☐ Other: HKD__________
年薪 (HKD) Annual Income (HKD)	☐ <HKD100,000 ☐ HKD100,000-HKD200,000 ☐ HKD200,001-HKD500,000 ☐ HKD500,001-HKD1,000,000 ☐ >HKD1,000,000	年薪 (HKD) Annual Income (HKD)	☐ <HKD100,000 ☐ HKD100,000-HKD200,000 ☐ HKD200,001-HKD500,000 ☐ HKD500,001-HKD1,000,000 ☐ >HKD1,000,000
資金來源 Source of Funds	☐ 薪金儲蓄 Savings from Salary ☐ 家庭 Family ☐ 經營業務溢利 Business Profits ☐ 租金收入 Rental Income ☐ 金融機構貸款 Loan from Financial Institution ☐ 其他 Others__________	資金來源 Source of Funds	☐ 薪金儲蓄 Savings from Salary ☐ 家庭 Family ☐ 營業溢利 Business Profits ☐ 租金收入 Rental Income ☐ 金融機構貸款 Loan from Financial Institution ☐ 其他 Others__________
住屋業權 Ownership of Residence	☐ 擁有 Owned ☐ 已抵押 Mortgaged ☐ 沒有抵押 Not Mortgated ☐ 沒有 Not Owned ☐ 租住 Rented ☐ 與家人同住 Living with Family	住屋業權 Ownership of Residence	☐ 擁有 Owned ☐ 已抵押 Mortgaged ☐ 沒有抵押 Not Mortgated ☐ 沒有 Not Owned ☐ 租住 Rented ☐ 與家人同住 Living with Family

F. 風險承受能力問卷 Risk Profile Questionnaire

本問卷以主要帳戶持有之資料作出評估，聯名帳戶持有人必需簽署確認

The result of the questionnaire is based on the information of the Primary Account Holder, the Secondary Joint Account Holder must sign to confirm.

請選擇下列最適當答案 Please choose the appropriate answer below

Q1 您的年齡介乎於？
What is your age?

☐ (a) 18-35	10
☐ (b) 36-50	8
☐ (c) 51-65	4
☐ (d) >65	2

Q2 您的教育程度是？
What is your education level?

☐ (a) 小學程度或以下 Primary level or below	2
☐ (b) 中學程度 Secondary level	8
☐ (c) 預科或大學程度 Tertiary/University level	10

Q3 您有多少年投資於價值波動之投資產品的經驗(包括購入然後長期持有及經常買賣投資產品？價值會波動之投資產品的例子包括股 票、單位信託基金、外幣、商品、結構投資產品、認股權證(俗稱「窩輪」)、期權、期貨、投資相連保單等。
How many years of experience do you have with investment products the value of which can fluctuate (including 'buy and hold' and active trading)? Investment products the value of which can fluctuate could include, for example stocks, unit trusts, foreign currencies, commodities, structured investment products, warrants, options, futures, investment-linked insurance plans.

☐ (a) 没有經驗或少過 1 年 No experience or Less than 1 year	2
☐ (b) 1 至 3 年 Between 1 and 3 years	4
☐ (c) 多過 3 年 Over 3 years	10

Q4 您是否有以下任何產品的投資經驗或知識？(您可選擇多於一個選項)。
Do you have any investment experience or knowledge of the below products? (You may select more than 1 option)

☐ (a) 現金、存款、存款證、保本產品、香港政府債券。 Cash, Deposits, Certificates of Deposit, Capital Protected Products, HKSAR Government Bond	4
☐ (b) 股票、債券、股票或債券基金(包括強積金，不包括貨幣市場基金)、投資相連保單。 Stocks, Bonds, Equity or Bond Funds (including Mandatory Provident Funds, but excluding money market funds), investment-linked insurance plans.	8
☐ (c) 期權、期貨、認股權證(俗稱「窩輪」)、對沖基金。 Options, futures, warrants, hedge funds and other structured products such as equity linked note/investment.	10

Q5 在一段時間之內，投資價值可升可跌，我們稱之為波動。一般而言，風險愈高的投資，其潛在波動愈大，但潛在回報亦愈高。相反， 風險愈低的投資，其潛在波動愈小，但潛在回報亦相對較低。在一般情況下，您會願意投資於波動程度多大的投資產品？
Over a period of time the value of investments can rise and fall, this is called fluctuation. Generally, the higher the investment risk the higher the potential fluctuation but also the higher the potential returns. On the other hand, the lower the investment risk the lower the potential fluctuation but also the lower the potential returns. What level of fluctuation would you generally be comfortable with?

☐ (a) 波動多於-30%至+30% Fluctuates under -30% and over +30%	10
☐ (b) 波動於-30%至+30% Fluctuates between -30% and +30%	8
☐ (c) 波動於-15 至+15%之間 Fluctuates between -15% and +15%	2

Q6 您有多需要將投資項目變現，來滿足對突發事件的流動資金需要？
How much of your investments would require to liquidate to meet liquidity need for an unforeseen event?

☐ (a) 我不一定會出售任何投資。 10
I would not have to sell any of any my investments.

☐ (b) 我會出售不多於 30%的投資。 8
I would sell no more than 30% of my investments.

☐ (c) 我會出售多於 30%但不於 50%的投資。 4
I would sell more than 30% but less than 50% of my investments.

☐ (d) 我會出售 50%以上的投資。 2
I would sell more than 50% of my investments

Q7 在一般情況下，投資的年期越長，可承受的風險越高，而投資產品的價值亦會波動。當投資於產品時，您會願意接受下列哪項投資年期？有關投資產品的例子，請參閱問題 3。
It is generally true that the longer the investment horizon, the higher the risk an investor can tolerate, and the values of investment products will fluctuate. What time horizon would you generally be comfortable with when investing in investment product? Please refer to Question 3 for examples of such products.

☐ (a) 多過 3 年 10
Over 3 years

☐ (b) 1 至 3 年 4
Between 1 and 3 years

☐ (c) 少過 1 年 2
Less than 1 year

總分數 Total Score：________________

風險承受能力分析 Risk Tolerance Analysis

總分數 Total Score	<40	41-59	>60
風險承受程度 Risk Tolerance	☐ 低風險 Low Risk	☐ 中風險 Medium Risk	☐ 高風險 High Risk
投資者的一般特徵 Investor General Characteristics	<u>保守型 Conservative</u> 閣下願意承受底度的風險，亦明白會接受比較保守回報。 You are willing to accept low risks. In return, you understand that you will receive low returns.	<u>平衡型 Balance</u> 閣下願意承受中度的風險，於中長線換取潛在回報。 You are willing to accept medium risks in exchange for some potential returns over the medium to long term.	<u>進取型 Aggressive</u> 閣下願意承受高度的風險，於長線換取最大的潛在回報。閣下亦明白到有可能招致損失大部或全部本金。 You are will to accept very high risks to maxim the size your potential return over the long term. You understand that you may lose a significant part or all of your capital.

免責聲明 Disclaimer：

1. 本問卷的結果是從您向本集團提供的資料，並根據若干普遍接納的假設及合理估算而得出。本問卷採用的方法及取值僅供說明用途，本集團對本問卷所載資料及/或所得結果的準確性或完整性並不負責或承擔任何法律責任。
   The results of this questionnaire are derived from the information that you have provided to Grand China Securities Limited ("Grand China") and on certain generally accepted assumptions and reasonable estimate. Calculations and values used in this questionnaire are used for illustration purpose only. Grand China accepts no responsibility or liability as to the accuracy or completeness of the information containing in this questionnaire and/or the results.

2. 本問卷及所得結果僅供您參考，並非購買或出售任何金融產品及服務的要約或招攬，亦不應被視為投資意見或推薦。
   This questionnaire and the results only serve as a reference for your consideration, and are not an offer to sell or a solicitation for an offer to buy any financial products and services and they should not be considered as investment advice or recommendation.

3. 請注意，倘若您未能全面披露所有或任何有關您的個人狀況（如財務狀況）、不正確、不完整或過時的資料可能影響本集團評估您對投資風險的態度及承受能力。如您的狀況出現變動而可能影響本問卷中任何問題的答案，我們極力建議您再次填寫本問卷。
   Please be reminded that any failure to fully disclose all or any of your personal circumstances (e.g. financial situation), inaccurate, incomplete oroutdated information may affect our assessment of your attitude and capacity for investment risks. If there is any change in circumstances which may affect your answer(s) to any question in this questionnaire. We strongly recommended that you should complete this questionnaire again.

客戶聲明 Customer Declaration：

本人（等）謹此聲明：本人（等）為本問卷所提供資料為真實、正確及全面，並同意上述的投資風險承受能力分析為正確。
I hereby declare that the information I have provided in this form is in all respects true, accurate and complete and agree that my investment risk tolerance analysis is correctly stated above.

個人/主要帳戶持有人簽署 Signature of Individual/Primary/Account Holder	日期 Date	聯名帳戶持有簽署 Signature of Secondary Joint Account Holder	日期 Date

G. 客戶聲明 Declaration by Customer

1. 你(及/或聯名帳戶第二持有人) 是否此帳戶的最終實益擁有人?
Are you (and/or the Secondary Joint Account Holder) the ultimate beneficial owner(s) in relation to the account?

☐ 是 Yes

☐ 否 No (請提供以下資料 Please provide the follow information)

(華業證券在一般情況下並不接受申請人並非其戶口之最終受益人 Normally Grand China Securities Limited would not accept the Applicant who is not the ultimate beneficial owner(s))

名稱 Name____ 身份證/護照號碼 ID/Passport No.______________________________________

地址 Address____

2. 你(及/或聯名帳戶第二持有人) 是否證券/期貨交易所參與者的僱員或代理人，或於證監會註冊的持牌法團/註冊機構?
Are you (and/or the Secondary Joint Account Holder) an employee or agent of an exchange participant of a stock / futures exchange, or a licensed corporation or registered institution?

☐ 否 No

☐ 是 Yes (請提供以下資料及你僱主的書面同意Please provide the follow information and your employer's consent letter)

有關的交所與者或註冊人的姓名是
The name of the related exchange participant or register person is____

閣下之牌照編號
Your License No__________________________________

3. 你(及/或聯名帳戶第二持有人) 是否與華業證券有限公司(「華業證券」)或聯繫人士的職員或代理人有親戚關係?
Are you (and/or the Secondary Joint Account Holder) a relative of an employee or agent of Grand China Securities Limited ("Grand China") or its Associates?

☐ 否 No

☐ 是 Yes (請提供以下資料 Please provide the follow information)

職員/代理人的名稱 Name of Employee / agent____ 關係 Relationship ________________________

4. 你(及/或聯名帳戶第二持有人) 是否美國公民或就稅務目的而言的居民?
Are you (and/or the Secondary Joint Account Holder) citizens or residents of the USA for tax purposes?

☐ 否 No

☐ 是 Yes (華業證券並不接受申請人是美國公民 Grand China Securities would not accept the Applicant who is citizens or residents of the USA)

5. 你(及/或聯名帳戶第二持有人) 或授權人是否任何上市公司的董事/大股東?
Are you (and/or the Secondary Joint Account Holder) or authorized person(s) a director or major shareholder of a listed company(ies)?

☐ 否 No

☐ 是 Yes (請提供上市公司的名稱和上市地點 Please state the name of the listed company(ies) and the listing place)

6. 客戶或客戶配偶現時是否持有或運作其他於華業證券有限公司開立之戶口，或擁有其他於華業證券有限公司開立之戶口的最終實益?
Does the Client or the Client's spouse maintain, operate or has beneficial interests in any other Account(s) with Grand China Securities Limited?

☐ 否 No

☐ 是 Yes (如是，請提供以下詳情 If Yes, please provide details below)

戶口名稱 Account Name: ____

戶口號碼 Account No: ____

戶口類別 Account Type: ____

與戶口申請人關係 Relationship with Account Holder: ______________________________

7. 客戶是否個人或與配偶共同控制任何華業證券有限公司的公司客戶30%或以上的投票權?
Is the Client alone or jointly with the Client's spouse control 30% or more of the voting rights of any corporate clients of Grand China Securities Limited?

☐ 否 No
☐ 是 Yes (如是，請提供以下詳情 If Yes, please provide details below)

戶口名稱 Account Name: ____________________

戶口號碼 Account No: ____________________

戶口類別 Account Type: ____________________

8. 客戶及/或其授權人、其各自的配偶、伴侶、子女或父母、或該名個人的子女的配偶或伴侶、或與該名個人有關係密切的人是否在任何地方擔任或曾擔任重要的公職 (包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事)?
Is the Client and / or Client's authorized person(s),their respective spouses, partners, children or parents, or a spouse or a partner of a child of such individual, or close associate of such individual is or has been entrusted with a prominent public function in any place (which shall include a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and an important political party official)?

☐ 否 No
☐ 是 Yes (如是，請提供以下詳情 If Yes, please provide details below)

政治人物的名稱 Name of the politically exposed person : ____________________

地方及所擔任的公職 Place and public function entrusted with : ____________________

所擔任的公職的年期 Term of the public function entrusted with : ____________________

與客戶之關係 Relationship with the client : ____________________

H. 授權第三者資料

1. 你是否需要授權第三者以辦理有關客戶的事宜？
Do you need to authorize and appoint a lawful attorney?

☐ 否 No (請到 I 部份 Please go to part I)

☐ 是 Yes (請繼續填寫第二題 Please complete the question no. 2)

2. 被授權人是否華業證券的僱員?
Is the Attorney an employee of Grand China Securities Limited?

☐ 否 No (請填寫第三題 Please complete the question no. 3)

☐ 是 Yes (華業證券將會提供相關文件供閣下填寫 Grand China Securities will provide related document for your register

3. 本人為以上帳戶擁有人("本人帳戶")，特此授權及委任以下人士為本人的合法受權人("本人授權人") 辦理有關本人帳戶的事宜，該授權人的行為擁有如同本人親自辦理的效力及效果。同時，本人授權華業證券按照本人授權人的口頭或書面指示，不論該等指示是以電話或傳真傳遞方式，有如遵循本人的指示般，執行及採取下述權行動：
I, the understand, holder of the above trading account ("My Account"), authorize and appoint the following person as my lawful attorney ("My Attorney"), to act for me and on my behalf in the same force and effect as I might and could do in relation to My Account. I hereby authorize Grand China Securities Limited to follow my Attorney's instructions, oral or written, whether by telephone or facsimile transmission, as if directly instructed by me, with respect to the following authorized powers:

☐ 透過客戶帳戶買入、賣出及/或發出有關證券及衍生產品交易的指示。
To buy or sell securities and divertive and / or to place normal instruction of securities and divertive in My Account.

☐ 接受及取得有關客戶帳戶的資料及文件及/或簽署有關客戶帳戶的文件包括提取款項到戶口持有人指定之銀行帳戶
To receive and access to information and document relating to My Account/or sign and documents relating to My Account including fund withdrawal to the designated bank account on my behalf.

被授權第三者姓名 Attorney's Name
先生 Mr/女士 Ms/太太 Mrs/小姐Miss

中文
Chinese ________________________________

英文
English ________________________________

與主要戶口持有人關係 Relationship with Primary Account Holder

請註明 Please specify____________________________________

聯絡電話
Contract Phone No ____________________________________

身份證號碼/護照號碼
ID. Card/Passport No. ____________________________________

簽發地點
Place of Issue ____________________________________

出生日期(日/月年)
Date of Birth (dd/mm/yy) ________________________________

國藉/公民身份
Nationality/Citizenship ________________________________

住宅地址
Residential Address ____

被授權人簽署
Specimen Signature of the Attorney______________________________

主要戶口持有人簽署
Signature of the Primary Account Holder __________________________

授權原因
Reason of authorize:____

1. 本人明白需要承受本人的授權人因執行上述的行動所帶來的風險。本人僅此確認，華業證券有限公司按照本人授權人執行的口頭或書面指示，不論本人是否認知，均視作對本 人具有約束效力。I understand that all such transactions conducted by My Attorney are at my own risk. I hereby confirm that any transaction effected by Grand China Securities Limited on the basis of instructions, oral and written, given by My Attorney aforesaid shall be binding upon me whether made with or without my knowledge.
2. 本人進一步同意對本人授權人之作為或疏忽負上全責，並就華業證券有限公司可能因此蒙受或承擔之損失或損害，作出全數彌償。 I further agree to be fully responsible for any acts or omissions of My Attorney and to keep Grand China Securities Limited fully indemnified against all losses or damages that Grand China Securities Limited may suffer or incur as a result of such acts or omissions.
3. 無論此授權是何時開始，此授權有效至此授權日期後的十二月三十一日終止。華業證券有限公司可在有效期屆滿前最少 14 天以書面通知本人此授權書自動續期 12 個月，如在期限屆滿日華業證券有限公司沒有收到本人通知要求撤銷此授權書，此授權書將會按照相同條款自動續期。本人承諾，在華業證券有限公司作出要求時，確認授權人代表本 人所給予的任何指示或簽署的任何文件。 Whatever this authorization is when to start, this authority expiry on December 31 after the date of authorization, The authorization given hereunder shall be deemed to be renewed if Grand China Securities Limited give me a written reminder at least fourteen (14) days prior to the expiry date of the relevant authorization, and Ido not object to such deemed renewal before such expiry date. I hereby undertake, upon demand from Grand China Securities Limited from time to time to ratify and confirm any instructions or documents whatsoever given or signed by the Attorney on my behalf.

I. 客戶確認及承諾 Customer Acknowledgement and Consent

倘簽署本部份，客戶即聲明、同意及確認：
By signing this Part, the Client declares, acknowledges and confirms that:

1. 本開戶表格提供的資料，均為完整、真實及準確；
   The information provided in this Account Opening Form is complete, true and accurate;

2. 客戶已獲提供風險披露聲明(英文或中文)，及已獲邀閱讀該風險披露聲明，並按其意願提出問題及徵求獨立的意見。如客戶欲開立保證金賬戶，客戶確認華業證券有限公司已通知客戶其會再質押證券抵押品；
   The Risk Disclosure Statements was provided to the Client in a language of the Client's choice (English or Chinese) and the Client has been invited to read the Risk Disclosure Statements, to ask questions and take independent advice if the Client wishes. Where a Margin Account is to be opened, the Client confirms that the Client has been informed by Grand China Securities Limited that it has the practice of repledging securities collateral;

3. 客戶謹此確認已收到並細閱及明白以上之「風險披露聲明書- 交易所買賣之衍生產品」。客戶並且確認其財務狀況確可承受買賣交易所買賣之衍生產品所引致之潛在損失。客戶亦聲明在其財務狀況有所變更時，將盡速地通知華業證券有限公司。
   The Client hereby confirms that they have received and read through and fully understood the above "Risk Disclosure Statement for Derivative Products traded on an exchange". The Client further confirms that the financial status can bear the possible losses associated with investing in derivative products traded on an exchange. The Client also declares that they would inform Grand China Securities Limited promptly should their financial status changes.

4. 客戶已閱讀、明白和確認及同意本開戶表格及客戶協議書內列載的一切有關條款，並同意接受其約束；及
   The Client has read, understood and confirmed, and agrees and accepts to be bound by all the provisions of this Account Opening Form and the Client Agreement; and

5. 客戶已參閱給予客戶有關<個人資料(私隱)條例>的通知，並明白且同意其條款。
   The Client has read the notice to Client on the Personal Data (Privacy) Ordinance, understands it and agrees to its terms.

6. ☐ 我/我們同意華業證券有限公司或聯繫人士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。
   I/We consent to Grand China Securities Limited or its Associates providing information about investment or financial related products and services including research reports and special offers by any means.

個人/聯名帳戶主要戶口持有人簽署 **Signature of Individual/ Primary Joint Account Holder**	**聯名帳戶第二戶口持有人簽署** **Signature of Secondary Joint Account Holder**
X ______________________	X ______________________
個人/聯名帳戶主要戶口持有人姓名 **Name of Individual/ Primary Joint Account Holder** ______________	**聯名帳戶第二戶口持有人姓名** **Name of Secondary Joint Account Holder** ______________
日期 Date ______________	**日期 Date** ______________

J 開戶核對表 Account Opening Checklist

A. 需要填妥的文件 Documents To Be Completed

- □ 已填妥及簽署的開戶申請表
  Duly completed and signed Account Opening Application Form
- □ 由每位獲授權人填妥及簽署的客戶投資風險問卷
  Duly completed and signed Customer Investment Risk Questionnaire by each Authorized Signatory

B. 供核實的基本證明文件 Supporting Basic Documents For Verification

- □ 請隨本表格附上全部帳戶持有人之身份證或護照副本。
  Please enclose all account holders an ID copy or passport.
- □ 最近三個月內的銀行結單或公共服務單據副本作提供住址証明 (郵政信箱恕不接受)。
  Copy of a bank statement or utility bill within the last 3 months for proof of home address. (P.O. box is not accepted)
- □ 僱主同意書(如適用)。
  Employer's consent letter (if necessary)
- □ 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。
  Any deletion or amendment of the personal information must be signed by all account holders.
- □ 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 nominated on this Form, unless otherwise instructed.
- □ 華業證券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.
- □ 全部帳戶持有人必須在華業證券或聯繫人士的職員/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 **C 部份**。
  This Form should be completed and signed by all account holders in front of an employee or agent of Grand China Securities or its Associates. Otherwise, please refer to **Part C**.

C. 注意事項 Notes

如開戶申請表並非在華業證券或聯繫人士的職員/代理人面前簽署，帳戶持有人必須遵從以下程序要求：
If this account opening form is not executed by the client(s) in front of Grand China Securities Limited's employee, customer should comply with the following procedural requirement.

(i) 交給華業證券在香港持牌行開立的帳戶所簽發不少於港元 10,000 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文件相符，而支票抬頭須為 "華業證券有限公司"。客戶的帳戶必須待支票兌現後才可使用。
Send a personal cheque in favour of Grand China Securities Limited for not less than HKD10,000 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.

(ii) 由其他持牌人或註冊人、華業證券的聯繫人士、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 Grand China Securities, 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.

見證人中文姓名 Chinese Name of Witness		見證人英文姓名 English Name of Witness	
職業 Occupation		牌照編號 License No	
身份證/護照號碼 ID Card No/Passport No		聯絡電話 Phone No	
見證人簽署 Signature		日期 Date	
辦公室地址 Office Address			

職員/經紀聲明 Declaration by Staff / Account Executive

本人，以持牌人身份，謹此聲明及確認本人已經以客戶選擇的語言 (英文或中文) 提供了載於證券客戶協議附表的風險披露聲明，本人並且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, licensed person, hereby declare and confirm that I have provided the Risk Disclosure Statements as set out of the Securities 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.

持牌人簽署 Signature of Licensed Person	持牌人姓名 Name of Licensed Person	CE編號 CE No.	日期 Date

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文件查核 Document reviewed by

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

客戶風險審查/評估 AML Checking/AML Risk Assessment

客戶風險審查 AML Checking:

☐沒有洗錢/恐怖分子資料 No adverse AML news/No match on terrorist list

☐有洗錢/恐怖分子資料 Potential adverse AML news/Match on terrorist list:

____

____

審查員簽署 Signature of Checker: ______________________

姓名 Name: ______________________

日期 Date: ______________________

客戶風險評估 AML Risk Assessment：

☐高 High--政治人物；來自高風險國家；不明收入來源；現金密集型業務；公司結構複雜；高風險的第三者授權人；涉及金融罪行。
Politically exposed persons; from high risk countries; unknown source of income; cash intensive business; complex corporate structures; high risk authorized persons to operate account; involved in financial crimes.

☐中 Medium--與客戶相識年期較短；步入式客戶；非面對面開戶；未決的法律訴訟；與高風險國家有業務往來。
Short known history to AEs/GCS; walk-in customers; non-face-to-face account opening; pending legal litigation; business exposed in high-risk countries.

☐低 Low--與客戶相識年期長；擁有受僱收入；具驗證收入/財富來源。
Long known to AEs/GCS; with incomes from employment; with verified source of income or wealth.

評估負責人簽署Assessment RO: ______________________

姓名 Name: ______________________

佣金 Basic Commission

港元佣金(%) HKD Brokerage (%)	港元最低佣金 HKD Minimum Commission	人民幣佣金(%) CNY Brokerage (%)	人民幣最低佣金 CNY Minimum Commission

開戶批核 Account Opening Approval

批核人簽署 Signature of Approver:	批核人姓名 Name of Approver:	日期 Date:

備註 Remarks: