

Account Opening Form – Individual/Sole Proprietorship

開戶表格—個人/獨資公司

Before you complete this Account Opening Form, please read the Brokerage Terms and Conditions for Retail Clients (the “**Terms and Conditions**”). Upon Huatai accepting you as its client, this Account Opening Form, the Account Opening Letter and the Terms and Conditions (together, the “**Documents**”) shall form a written legal agreement that defines Huatai's relationship with you in respect of the Account(s) and the Service(s). Your signature below evidences your acceptance of the terms in the Documents. In this Account Opening Form, unless the context otherwise requires, each defined term shall bear the meaning given to it in the Terms and Conditions.

在閣下完成這份開戶表格之前，請閱讀零售客戶的證券條款（“條款”）。一旦華泰接受閣下為客戶，本開戶表格、開戶信函和條款及條件（統稱“文檔”）應形成書面的法律協議，定義了華泰與閣下的賬戶及服務關係。閣下在本表下面的簽名將被視作您接受文檔中的各項條款。在本開戶表格中，除非上下文另有要求，每個定義的條款應承擔條款及條件賦予其的意義。

Please complete this Account Opening Form in capital letters and black/blue ink.

請使用大寫字母和黑色/藍色墨水填寫本開戶表格。

1. Client Details 客戶資料

Type of Account 賬戶類型:

Individual Account 個人賬戶 Joint Account¹ 聯名賬戶 Sole Proprietorship 獨資公司

Given Name 名字: Surname 姓氏:

Chinese Name 中文名字: (Surname 姓氏).....(Given Name 名字).....

Gender 性別: Male 男 Female 女

Date of Birth (dd/mm/yyyy) 出生日期(日/月/年):/...../..... Nationality 國籍:

Place of Birth 出生地:..... Country of Residence 居住國:

Identity Document Type 證件類型:..... Identity Document No 證件號碼:

Identity Document Expiration Date 證件到期日期:

Current Residential Address 現居住地址:

Postcode (if applicable) 郵政編碼(如適用):..... City 城市:..... Country 國家:

Permanent Address (if different from above) 永久地址(如與上述不同):

Other Address (e.g. Office) 其他地址(如工作地址):

Mailing Address 郵寄地址:

Telephone No. (Home) 電話號碼(住宅): (.....)..... Telephone No. (Mobile) 電話號碼(手機):

Telephone No. (Office) 電話號碼(辦公): (.....)..... Telephone No. (Other) 電話號碼(其他): (.....).....

Email 電郵地址:(Please note that unless otherwise instructed by you, Huatai will send you combined statements, monthly statements and contract notes by e-statements only through the stated e-mail address) (請注意,除非閣下另有指示,華泰將只能通過既定的電子郵寄地址把合併報表、月報表及成交單據發送給閣下。)

Facsimile No. (Home) 傳真號碼(住宅): (.....)..... Facsimile No. (Office) 傳真號碼(辦公): (.....).....

Employment Status 就業狀況:

Self-Employed 自僱 Full-time Employed 全職 Part-time Employed 兼職 Not Currently Employed 非在職

1 For joint accounts, each joint account holder must provide the information required under section 1, 4, 7, 8 and 9 關於聯名賬戶,各聯名賬戶持有人必須提供第1、4、7、8和9所需信息

Student 學生 Housewife主婦 Retired 退休 Others(please specify) 其他(請註明).....

Business / Employment Information 業務/就業信息:

Occupation 職業: **Employer 僱主:**.....

Nature of Business 業務性質:..... **Year(s) of Service 服務年期:**.....

Business Address 工作地址:.....

Is your Employer an intermediary under the Securities and Futures Ordinance (Cap. 571) 閣下的僱主是否為“證券及期貨條例”之下註冊的中介(第571章)? Yes 是 No 否

Education Background 教育背景: Primary School 小學 Secondary School中學

University or above 大學或以上 Others 其他.....

Professional Qualification (if applicable) 專業資格(如適用):

Marital Status 婚姻狀況: Single 未婚 Married 已婚 Others (please specify) 其他(請註明)

Politically Exposed Person² 政界人士: Yes 是 No 否

Are you the ultimate individual beneficiary of the Account 閣下是否賬戶的最終受益人? Yes 是 No 否

(If the answer is no, please complete section 4 如果答案是否, 請填寫第4節)

Sources and origin of funds to be used in connection with the Services 相關資金來源及出處

Sources of Funds 資金來源: Employment/Business 就業/商務 Inheritance 繼承 Investment 投資

Sale of real estate 出售房地產 Retirement 退休金 Others (please specify) 其他(請說明):.....

Origin of Funds 資金來源地: Hong Kong 香港 Mainland China 中國大陸 Macau 澳門

Taiwan 臺灣 Singapore 新加坡 Others (please specify) 其他(請說明):.....

Purpose of Account Opening (please specify) 開戶的目的(請說明):.....

2. Services 服務

(a) Nature of services 服務性質

(Please tick the services required) (請選擇所需的服務)

Cash Trading Services 現金交易服務

Margin Trading Services 保證金交易服務 #

Futures Contracts Trading Services 期貨合約交易服務

Electronic Trading Services 電子交易服務

Other 其他: _____

本人/吾等為七十歲或以下人士 I/We confirm that I am/we are aged 70 or below.

(b) Anticipated level of activity 活動的預期水平

Low/infrequent 低/偶爾

Highly active/frequent 活躍/頻繁

Moderately active/frequent 中度/頻繁

2 "Politically exposed person" means: (a) an individual who is or has been entrusted with a prominent public function in a place outside the People's Republic of China and: (i) includes 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; but (ii) does not include a middle-ranking or more junior official of any of the categories mentioned in subparagraph (i); (b) a spouse, a partner, a child or a parent of an individual falling within paragraph (a), or a spouse or a partner of a child of such an individual; or (c) a close associate of an individual falling within paragraph (a). "政界人士"是指: (a)在中華人民共和國以外地方擔任或曾擔任重要公職的個人: (i)並包括國家元首、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; 但(ii)不包括第(i)節所述的任何類別的中級或更低級官員。 (b) (a)段所指的個人的配偶、伴侶、子女或父母, 或該名個人的子女的配偶或伴侶; 或(c)與(a)段所指的個人關係密切的人。

For the purposes of paragraph (b) above, a person is a partner of an individual if the person is considered by the law of the place where the person and the individual live together as equivalent to a spouse of the individual. 就政界人士的定義中的(b)段而言, 如根據某人與某名個人共同生活的地方的法律, 該人被視為等同於該名個人的配偶, 該人即屬該名個人的伴侶。

For the purposes of paragraph (c) above, a person is a close associate of an individual if the person is: (a) an individual who has close business relations with the first-mentioned individual, including an individual who is a beneficial owner of a legal person or trust of which the first-mentioned individual is also a beneficial owner; or (b) an individual who is the beneficial owner of a legal person or trust that is set up for the benefit of the first-mentioned individual. 就政界人士的定義中的(c)段而言, 如某人符合以下說明, 該人即屬與某名個人(首述個人)關係密切的人: (a)該人是與首述個人有密切業務關係的個人(在首述個人屬某法人或信託的實益擁有人的情況下, 包括同樣屬該法人或信託的實益擁有人的個人); 及(b)該人是屬某法人或信託的實益擁有人的個人, 而該法人或信託是為首述個人的利益而成立的。

3. Process Agent (If applicable) 代理人 (如適用)

The Client hereby appoints 客戶在此茲委託 as its agent for the service of process, at its registered office in Hong Kong for the time being, being at the date hereof at 為其服務過程中的代理人, 在其香港辦事處該日期期間....., to act as its agent to accept service of any legal process in Hong Kong on its behalf 為其代理人, 接受其代表香港任何法律程序程式的服務。

4. Beneficial Owners³ 受益人

Please fill in the following details for each Beneficial Owner. 請在以下填寫每位受益人的細節

Where the owner is another legal person or trust, details of the individuals behind that legal person should be provided. Please attach additional details to this form, to the extent necessary. 當受益人是另一個法人或者信託機構, 應該提供此法人背後的個人之信息。在必要的情況下, 請為此表附上額外信息。

Given Name 名字: Surname 姓氏:

Chinese Name 中文名字: (Surname 姓氏).....(Given Name名字).....

Gender 性別: Male 男 Female 女

Date of Birth (dd/mm/yyyy) 出生日期 (日/月/年) :...../...../..... Nationality 國籍:

Place of Birth 出生地:.....Country of Residence 居住國:

Identity Document Type 證件類型 :Identity Document No 證件號碼 :

Identity Document Expiration Date 證件到期日期:

Current Residential Address 現居住地址:

Postcode (if applicable) 郵政編碼 (如適用) :..... City 城市: Country 國家:

Permanent Address (if different from above) 永久地址 (如與上述不同):

Other Address (e.g. Office) 其他地址 (如工作地址) :

Relationship with Client 與客戶的關係:

Politically Exposed Person 政界人士: Yes 是 No 否

5. Instructions (If applicable) 指示 (如適用)

(a) Client Instructions – Authority (for Joint Accounts) 客戶指示 –授權 (聯名賬戶)

Instructions can be given by any one Account Holder [and any Authorised Person] (delete where not relevant)
指示可由任何一位賬戶持有者提供[及任何獲授權人士] (刪去不適用)

Instructions can only be given by any _____ Account Holders [and any Authorised Person] (delete where not relevant)
指示只能通過任何_____位賬戶持有者提供[及任何獲授權人士] (刪去不適用)

(b) Details and Specimen Signature of Authorised Persons (if applicable) 獲授權人士的詳細信息及簽名樣本

Please fill in the following details for each Authorised Person. Please attach additional details to this form, to the extent necessary. 必須提供每位獲授權人士的詳細信息。在必要的情況下, 請為此表付上額外信息。

(i) Individuals 個人

Given Name 名字: Surname 姓氏:

Chinese Name 中文名字: (Surname 姓氏).....(Given Name名字).....

Gender 性別: Male 男 Female 女

Date of Birth (dd/mm/yyyy) 出生日期 (日/月/年) :...../...../..... Nationality 國籍:

3 Ultimate individual beneficiary(ies) of the Account (if different from the Account Holder(s)).

Place of Birth 出生地:.....Country of Residence 居住國:

Identity Document Type 證件類型 :Identity Document No 證件號碼 :

Identity Document Expiration Date 證件到期日期:

Current Residential Address 現居住地址:

Postcode (if applicable) 郵政編碼 (如適用):.....City 城市:Country 國家:

Permanent Address (if different from above) 永久地址 (如與上述不同):

Other Address (e.g. Office) 其他地址 (如工作地址):

Telephone No. 電話號碼: (.....).....

Email 電郵地址:

Facsimile No. 傳真號碼:(.....).....

Relationship with Client 與客戶的關係:

Politically Exposed Person 政界人士: Yes 是 No 否

Specimen Signature 簽字樣本:

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(ii) Non-natural persons (e.g. companies/trusts, etc.) 非自然人 (例如公司/信託機構等)

Name of Company/Partnership/Trust/Association 公司/合夥企業/信託機構/聯營公司的名稱:

Registered Office Address (if applicable) 註冊辦事處地址 (如適用):

Business Address in Hong Kong (if applicable) 香港商業地址 (如適用):

Company Registration No./Certificate of Incorporation No./Identification No. (if applicable) 公司註冊號/營業執照號/身份證號碼 (如適用):

Country of Incorporation (if applicable) 註冊國家 (如適用):

Date of incorporation/establishment 成立/註冊日期:

Type of Partnership (if applicable) 合夥企業類型 (如適用): General 一般公司 Limited 有限公司

Type of Trust (if applicable) 信託類型(如適用):

Governing law of Trust (if applicable) 信託準據法 (如適用):

Regulated Status (if applicable) 監管狀況 (如適用):

Regulated Entity No. (if applicable) 監管實體編號 (如適用):

Name and Country of Regulatory Authority (if applicable) 監管機構的名稱和國家 (如適用):

Telephone No. 電話號碼: (.....).....

Email 電郵地址:

Facsimile No. 傳真號碼:(.....).....

Relationship with Client 與客戶的關係:

6. Client Bank Account Details 客戶銀行賬戶詳情

Unless otherwise instructed by the Client, all monies payable to the Client are to be credited to the following bank account(s) 除

經客戶另行指示外，否則所有付予客戶的款項將會被轉入下列銀行賬戶：

Bank Name 銀行名稱

A/C Number 帳戶號碼

HKD 港元_____

USD 美元_____

Other Currency 其他貨幣_____

Bank Account Holder's Name (the name(s) show on bank statements and this form should match) 銀行賬戶持有者名稱 (須與客戶於銀行結單及此表格上的名稱相符) :

If the Bank Account is outside Hong Kong, please state the address, location and SWIFT code (if applicable) of the Bank 若為香港以外銀行帳戶，請提供銀行地址、所在地區及SWIFT編號 (如適用) : _____

7. Other 其它

(a) Does the Client, any Beneficial Owner and/or any Authorised Person have any relationship with any director(s) or employee(s) of Huatai or any of its Associates (including, without limitation, Huatai Securities Company Limited and Huatai Financial Holdings (Hong Kong) Company Limited)?

客戶、任何受益人和/或被獲授權人是否與華泰或其聯營公司(包括但不限於華泰證券股份有限公司及華泰金融控股(香港)有限公司)的董事或僱員有任何關係？

No 否

Yes 是. If Yes, please provide details 如是，請提供詳情:

Name of Huatai Group Entity and Branch 華泰集團實體和分支機構的名稱	Name of Employee/Director/AE 僱員/董事/戶口經紀代表的姓名	Title/Department 職銜/部門	Relationship 關係

(b) Does the Client, any Beneficial Owner and/or any Authorised Person have any other Accounts with Huatai or any of its Associates (including, without limitation, Huatai Securities Company Limited and Huatai Financial Holdings (Hong Kong) Company Limited)? Please include Accounts operated/owned by persons immediately related to the Client, as well as Accounts operated on the Client's behalf by other persons.

客戶、任何受益人和/或被獲授權人是否在華泰或其聯營公司(包括但不限於華泰證券股份有限公司及華泰金融控股(香港)有限公司)持有任何戶口？請包括與客戶直接相關的帳戶操作/擁有人，以及代表客戶操作帳戶的其他人士。

No 否

Yes 是. If Yes, please provide details 如是，請提供詳情:

Name of Account 戶口名稱	Name of Huatai Group Entity and Branch 華泰集團實體和分支機構的名稱	Account Number 戶口號碼	Account Type 戶口類型	Credit Limit and Outstanding Amount (if any) 信用額度和未償還金額 (如有)

(c) Is the Client, any Beneficial Owner and/or any Authorised Person a licensed or registered person, or a director or an employee of any licensed corporation or registered institution licensed or registered with the Securities and Futures Commission in Hong Kong?

客戶、任何受益人和/或被獲授權人是否是在是由證券及期貨事務監察委員會發牌或註冊可以開展《證券及期貨條例》項下之任何受規管活動的持牌人或註冊人、或董事或僱員？

No 否

Yes 是. If Yes, please provide details 如是，請提供詳情: _____

If Yes, please also provide a consent letter from his/her employer. 如是，請同時提供雇主的同意信

(d) Is the Client, any Beneficial Owner and/or any Authorised Person a director or employee of Huatai or any of its Associates (including, without limitation, Huatai Securities Company Limited and Huatai Financial Holdings (Hong Kong) Company Limited)?

客戶、任何受益人和/或被獲授權人是否在華泰或其聯營公司(包括但不限於華泰證券股份有限公司及華泰金融控股(香港)有限公司)的董事或僱員?

No 否

Yes 是. If Yes, please provide details 如是，請提供詳情:

Name of Huatai Group Entity and Branch 華泰集團實體和分支機構的名稱	Name of Employee/Director/AE 僱員/董事/戶口經紀代表的姓名	Title/Department 職銜/部門

(e) Is the Client, any Beneficial Owner and/or any Authorised Person an "insider" of a public company?

客戶、任何受益人和/或被獲授權人是否為上市公司的內幕知情人?

No 否

Yes 是

As person is considered to be an "insider" if within the last six months he/she (or his or her spouse, child, parent or sibling) is, or has been in the past six months, any of the following 被認為是“內幕知情人”的定義為，如在過去六個月中或在過去的六個月前，他/她（或他或她的配偶，子女，父母或兄弟姐妹）符合下列情況:

- (i) a director, officer, employee or a substantial shareholder holding at least 5% interest (or, if the applicable laws prescribe a lower percentage as the threshold for being a substantial shareholder or equivalent, such lower percentage), of a company listed on an exchange or quoted in a market or its listed affiliate (each a "Public Company") or an affiliate of a Public Company 在交易所上市的公司，或在市場或其上市子公司報價的公司（每一個“上市公司”）或上市公司的附屬公司之董事，高級職員，僱員或者持有至少5%利息的大股東（或，如果適用法律規定的作為大股東或等效的門坎為更低比例，這樣的更低比例）；
- (ii) in a position which may reasonably be expected to give him / her access to material non-public information in relation to a Public Company ; or 在其職位使其可以合理預期會使他/她可訪問有關上市公司重大非公開信息；或
- (iii) in a position to make managerial decisions affecting the future development and business prospects of a Public Company. 在其職位使其可以管理決策以影響上市公司的發展和未來的商業前景。

If so, please provide details for each Public Company as follows 如果如此，請提供如下的每個上市公司詳情：:

Name of Public Company / Companies 上市公司名稱	Relevant Exchange / Market 相關交易所/市場	Details of connection with the Public Company 與上市公司相關的詳情	Shareholding % 持股百分比

(f) Has the Client, any Beneficial Owner and/or any Authorised Person ever been bankrupt, been serviced with a bankruptcy petition, or undergone any other similar procedure during the last 7 years?

客戶、任何受益人和/或被獲授權人是否曾經破產、被處理破產申請、或在過去 7 年中經歷任何其他類似的程序？

- No 否
- Yes 是. If Yes, please provide details. 如是，請提供詳情:

(g) Please provide details of any litigation or proceedings in which the Client has been engaged in the last three (3) years or any proceedings pending or threatened against the Client.

請提供在過去 3 年中客戶已參與的任何訴訟或法律程序、或任何尚未了結或威脅客戶的法律程序。

(h) Liquidity 流動性:

Does the Client have the means to make regular contributions and meet extra collateral requirements, where appropriate? 客戶是否有能力在適當的情況下作定期供款和滿足額外的抵押品？

- Yes 是
- No 否

Does the Client depend on having liquid assets/cash to meet any current or anticipated payment requirements or needs? 客戶是否依賴於流動資產/現金來滿足任何當前或預計的支付要求？

- Yes 是
- No 否

What is the amount of cash the Client needs to set aside to meet liquidity and emergency needs?

客戶需要預留多少現金以滿足流動性和緊急需要？

- Less than 1 month of salary 少於 1 個月工資
- 1-6 months of salary 1-6 個月的工資
- More than 6 months of salary 超過 6 個月的工資

(i) Percentage of Investable/Liquid Assets 可投資資產/流動資產百分比

What is the percentage of the Client's assets (excluding real estate property for own use) currently held in investment products where the value can fluctuate? 目前價值會波動的投资產品資產佔比為多少？

- < 25%
- 25% - 49%
- 50% - 75%
- > 75%

What is the percentage of investable/liquid asset that will be invested using Huatai's services (this percentage should only represent your risk capital that is the funds and assets which, if lost, would not change your lifestyle or your family's lifestyle)? 客戶將透過華泰之服務投資於可投資資產/流動資產的百分比為多少（該百分比應僅代表您的風險資本，即此等資金和資產即使虧蝕也不會改變您的日常生活方式或您的家人的生活方式）？

- < 25%

- 25% - 49%
- 50% - 75%
- > 75%

(j) Do you control 35% or more of the voting rights of a company which is a margin client of Huatai?
 客戶是否控制屬於華泰客戶的某一公司的 35% 或以上的表決權？

- No 否
- Yes 是. If Yes, please provide details 如是，請提供詳情:

Name of Account 戶口名稱	Account Number 戶口號碼	Account Type 戶口類型

8. Client's Financial Information (HKD) 客戶財務資料 (港幣)

(a) Approximate Annual income (including bonus and other income) (HKD)

每年約計收入 (包括花紅及其他收入) (港幣)

- Under/以下\$200,000
- \$200,000- \$500,000
- \$500,001 - \$1,000,000
- \$1,000,001 - \$2,000,000
- \$2,000,001 - \$5,000,000
- \$5,000,001 - \$10,000,000
- Over/以上\$10,000,000

(b) Approximate Total Net Worth (HKD) : (Total Assets – Total Liabilities) 客戶約計資產淨值 (港幣) (資產總額-負債總額)

- Under/以下\$200,000
- \$200,000- \$500,000
- \$500,001 - \$1,000,000
- \$1,000,001 - \$2,000,000
- \$2,000,001 - \$5,000,000
- \$5,000,001 - \$10,000,000
- Over/以上\$10,000,000

(c) Approximate Liquid Assets (HKD) : (Total Financial Assets – Outstanding Liabilities)

流動資產值約計額 (港元) (流動金融資產-未償負債)

- Under/以下\$200,000
- \$200,000- \$500,000
- \$500,001 - \$1,000,000
- \$1,000,001 - \$2,000,000
- \$2,000,001 - \$5,000,000
- \$5,000,001 - \$10,000,000
- Over/以上\$10,000,000

(d) Does the Client own any property / real estate 客戶是否擁有任何實物資產/物業?

- No 沒有
- Yes 有

If yes, please provide the following details for each property 如有，請提供以下實物資產資料:

(i) Residential Properties 住宅物業:

Address 地址: _____

- Owned (No mortgage) 自置 (無抵押)

Mortgaged 抵押

Lender 貸款機構: _____

Monthly Installment (HKD) 每月分期付款 (港幣): _____

Balance / Overdraft Limit (HKD) 結餘/透支額度 (港幣): _____

If Property is Rented, Monthly Rental (HKD) 如屬租賃物業, 月租 (港幣): _____

The Residential Property is shared/occupied by 共用住宅物業/所佔用:

With Relatives 與親人 With Parents 與父母

Others (please specify) 其他 (請註明): _____

(ii) Properties other than Residential Properties 其他住宅物業

Address 地址: _____

Owned (No mortgage) 自置 (無抵押)

Mortgaged 抵押

Lender 貸款機構: _____

Monthly Installment (HKD) 每月分期付款 (港幣): _____

Balance / Overdraft Limit (HKD) 結餘/透支額度 (港幣): _____

If Property is Rented, Monthly Rental (HKD) 如屬租賃物業, 月租 (港幣): _____

(e) Net Worth Distribution 淨值分佈

Properties 物業: []%

Cash 現金: []%

Securities / Vanilla Products 證券/一般產品: []%

Structured Products 結構性產品: []%

Others其他: []% Please specify 請註明: _____

[]% Please specify 請註明: _____

[]% Please specify 請註明: _____

9. Client's Investment Objectives and Experience 客戶投資目的及經驗

(a) Investment Experience 投資經驗

Frequency of trade per year 每年交易次數

	Uninvolved 沒有參與	<40 times 次	>40times 次
Shares 股票	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Debentures 債券	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Funds 基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Leverage Foreign Exchange 槓桿外匯	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Precious Metals 貴重金屬	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Futures/Options 期貨/期權	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Derivative Products 衍生產品	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Estimated aggregate product investment (past and present) (HKD)

預計過去和現在總產品投資量 (港幣)

	Uninvolved 沒有參與	<8,000,000	8,000,000-30,000,000	>30,000,000
Shares 股票	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Debentures 債券	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Funds 基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Leverage Foreign Exchange 槓桿外匯	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Precious Metals 貴重金屬	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Futures/Options 期貨/期權	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Derivative Products 衍生產品	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Investment Experience (Years) 投資經驗 (年) Nil 沒有 Less than 2 years 少於2年 2-5 years年
 6-10 years年 Over 10 Years 10年以上

Investment Experience (Markets) 投資經驗 (市場): _____

(b) Investment Horizon 投資期限

- Short Term (less than 6 months) 短期 (小於6個月) Medium Term (6-24months) 中期 (6 - 24個月)
 Long Term (over 2 years)

(c) Investment Objective 投資目標

- Aggressive Capital Growth (to generate aggressive growth of capital with no need for regular income generation, and willing to have exposure to the highest risk) 積極的資本增長 (實現資本積極增長, 而無需產生經常性收入, 願意面對最高風險)
 Capital Appreciation (to generate capital growth over time, with no need for regular income generation) 資本升值 (實現資本長期增長, 而無需產生經常性收入)
 Growth and Income (to seek a balance in capital growth and regular income generation) 增長和收入 (在資本增長和產生經常性收入之間尋求平衡)
 Capital Preservation (to primarily preserve capital, with some regular income generation as secondary consideration) 資本保全 (主要目標為保全資本, 產生一些經常性收入為次要考慮因素)
 Income (to primarily seek regular income generation with some capital growth as secondary consideration) 收入 (主要尋求產生經常性收入, 實現某種程度的資本增長為次要考慮因素)
 Others, please specify 其他 (請具體說明): _____

(d) Client Risk Tolerance 風險承受能力

- Low (only able to tolerate low risk at the sacrifice of return) 低 (僅能承受低風險, 而犧牲回報)
 Moderate (able to tolerate slight volatility and little loss of capital with low return) 適度 (能承受輕微波動和資本的輕微損失及取得低回報)

- Moderate Growth (able to tolerate reasonable volatility and accept some loss of capital with reasonable return) 適度增長 (能
承受合理波動並接受資本的部分損失及取得合理回報)
- High (able to tolerate high volatility and total or substantial loss of capital in order to maximize return) 高 (能承受高波動以及
損失資本的全部或大部分以實現最高回報)

(e) Client's Knowledge of Derivatives 客戶對衍生產品的認識

Does the Client intend to purchase derivatives products? 客戶是否有意欲購買衍生產品?

- No 否
- Yes. If yes, then answer the following 如是，請回答以下問題:

(i) Has the Client ever undergone training or attended courses that provide general knowledge of the nature and risk of derivatives (e.g. relevant online or classroom courses offered by academic institutions or financial institutions)? 客戶是否曾接受有關介紹一般衍生產品之性質及風險的培訓或課程(例如:由學術機構或金融機構所提供之網上課程或教室課程)?

- No 否
- Yes 是. If yes, please specify 如是，請註明: _____

(ii) Does the Client currently or previously have working experience related to derivative products? 客戶是否現時或過去有從事與衍生產品有關的工作經驗?

- No 否
- Yes 是. If yes, please specify 如是，請註明: _____

(iii) Has the Client traded /executed five or more transactions in derivative products (e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures and Options, whether traded on an exchange or not) within the past three years? 客戶是否於過去三年內已進行了五次或以上有關衍生產品之交易 (例如: 衍生權證、牛熊證、股票期權、期貨及期權，不論是否於交易所進行交易)?

- No 否
- Yes 是.

(iv) Other information relevant to the Client's knowledge of derivatives 其他客戶對衍生產品的認識的相關信息 :

10. Acknowledgment and Confirmation 確認及承認

Signed 簽名: **Date日期:**

Account Holder 1 賬戶持有人1

Name 姓名:

Signed 簽名: **Date日期:**

Account Holder 2 賬戶持有人2

Name 姓名:

Signed 簽名: **Date日期:**

Account Holder 3 賬戶持有人3

Name 姓名:

Signed 簽名: **Date日期:**

Witness of Signatures 見證人簽名

(Huatai employee 華泰職員 / Notary Public 公證人/ Justice of the Peace 太平紳士

Certified Public Accountant 註冊會計師/ Lawyer 律師) (delete where necessary 有需要時刪除)

Name 姓名: **Role 職位:**

Passport / Hong Kong ID Card No. 護照/香港身份證號碼:

Verified by (Name and Role) 核實 (姓名和職位) :

SFC CE No. 證監會中央編號: **Date 日期:**

Signed 簽名:

Approved by (Name and Role) (1) 批准 (姓名和職位) (1):

SFC CE No. 證監會中央編號: **Date 日期:**

Signed 簽名:

Approved by (Name and Role) (2) 批准 (姓名和職位) (2):

Employee No. 僱員編號: **Date 日期:**

Signed 簽名:

Supporting Documents Required For Account Opening 開戶所需文件說明

(For reference only 僅供參考)

Copies of the following documents, certified to be true and complete in the last three (3) calendar months by [each Account Holder] or a professional body acceptable to Huatai shall be provided. Huatai reserves the right to request additional supporting documents from the Client. 被華泰接受的[每個賬戶持有人]或專業機構應予以提供在近3個月被核證真實和完整的下列文件副本。華泰保留從客戶手中要求額外支持文件的權利。

Where the account opening documents are not executed in the presence of a Huatai employee, the copies of identity documents should be certified by any other licensed or registered person, an affiliate of a licensed or registered person, a Justice of the Peace, or a professional person such as a branch manager of a bank, certified public accountant, lawyer or notary public. Certification services that are recognized by the Electronic Transactions Ordinance (Cap. 553), such as the certification services available from the Hongkong Post, may also be employed. The certifier must sign and date the copy document (printing his/her name clearly in capitals underneath) and clearly indicate his/her position or capacity on it. The certifier must state that it is a true copy of the original (or words to similar effect). 如開戶文件並非在華泰職員出席的情況下執行，身份證件的副本應由任何其他持牌人或註冊人，或持牌人或註冊人的聯繫人士，太平紳士或專業人士，例如銀行分行經理，執業會計師，律師或公證人核證。也可以採用由電子交易條例公認的認證服務（第553章），如採用香港郵政的認證服務。認證機構必須於文件副本簽名並註明日期（在下方用大寫清楚地打印他/她的名字），並且於其中清楚地表明他/她的職位或能力。認證機構必須聲明其為原件的真實副本（或類似效用的詞句）。

(Please tick supporting documents provided 請勾選所提供的支持文件)

Identity verification in respect of relevant individuals 有關人士的身份驗證

Valid Identity document (e.g. (i) for Hong Kong permanent residents: Hong Kong identity card, certificate of identity or document of identity; and (ii) for non-Hong Kong residents: passport, travel document⁴, national identity card (including a photograph) or national driving license (including a photograph) of⁵ 有效身份證件（例如(i)對於香港永久居民，以下人士的：香港身份證，身份證明書或簽證身份書，和(ii)對於非香港居民，以下人士的：護照，旅行證件，國民身份證（包括照片）或國家駕駛執照（包括照片））：

- **Account Holder(s)** 帳戶持有者
- **Beneficial owner(s)** 受益人
- **Authorised Person(s)** 獲授權人

Proof of current residential address (and of permanent address, if different from residential address)⁶ for each 以下人士的現居住地址證明（和永久地址，如果與居住地址不同）：

- **Account Holder(s)** 帳戶持有者
- **Beneficial owner(s)** 受益人
- **Authorised Person(s)** 獲授權人

Employer's consent letter 雇主的同意書

Other verifications 其它驗證

Written authority/power of attorney conferring power and authority to Authorised Persons to give instructions to Huatai on behalf of the Client 書面委託書/授權書賦予權利和權威的認可人士給華泰指示以代表客戶

4 The following documents constitute travel documents for the purpose of identity verification: (a) Permanent Resident Identity Card of Macau Special Administrative Region; (b) Mainland Travel Permit for Taiwan Residents; (c) Seaman's Identity Document (issued under and in accordance with the International Labour Organisation Convention/Seafarers Identity Document Convention 1958); (d) Taiwan Travel Permit for Mainland Residents; (e) Permit for residents of Macau issued by Director of Immigration; (f) Exit-entry Permit for Travelling to and from Hong Kong and Macau for Official Purposes; and (g) Exit-entry Permit for Travelling to and from Hong Kong and Macau. 下列是構成核實身份用途的旅行證件文件：(a) 澳門特別行政區永久居民身份證；(b) 台灣居民來往大陸通行證；(c) 海員身份證件（根據及按照國際勞工組織公約/1958年海員身份證件公約）；(d) 大陸居民往來台灣通行證；(e) 由入境事務處處長發出給澳門居民許可證；(f) 因公往來香港澳門特別行政區通行證；及 (g) 往來港澳通行證

5 Huatai should retain a copy of the "biodata" page which contains the bearer's photograph and biographical details. 華泰應保留“基礎資料”頁面，其中包含記名的照片和履歷的詳細信息。

6 Methods for verifying residential addresses may include obtaining: (a) a utility bill issued within the last 3 months; (b) a statement issued by an authorized institution, a licensed corporation or an authorized insurer within the last 3 months, 居住地址核實的方法可包含取得：(a) 過去3個月內簽發的公用事業帳單；(b) 過去3個月內由某一香港認可機構，持牌法團或獲授權保險人簽發的結單