



國順證券有限公司

SINO CAPITAL SECURITIES LIMITED

Exchange Participant of the Stock Exchange of Hong Kong Limited (CE No.: ABI)
香港聯合交易所參與者 (中央編號: ABM401)

Account No 帳戶號碼: _____

Date 日期: _____

AE Code: _____

香港灣仔軒尼詩道 288 號英皇集團中心 12 樓 1204 室

Commercial Unit No.4 on 12th Floor, Emperor Group Centre, No.288 Hennessy Road, Wan Chai, Hong Kong

Website: www.sinocapitalsec.com Tel: 3950 1200 Fax: 3974 5466 email: info@sinocapitalsec.com

ACCOUNT OPENING FORM 開戶表格 (Individual 個人/ Joint 聯名)					
Account Type(s) 帳戶類別 (Please tick appropriate box. 請在適當空格加√)					
<input type="checkbox"/> Individual Account 個人帳戶		<input type="checkbox"/> Joint Account 聯名帳戶			
<input type="checkbox"/> Securities Account (Cash) 證券帳戶(現金)		<input type="checkbox"/> Securities Account (Margin) 證券帳戶 (保證金)			
<input type="checkbox"/> Electronics Trading 電子交易服務					
Individual/ Joint Account Information 個人/聯名帳戶資料					
Account Holder (1) 帳戶持有人(1)		Account Holder (2) 帳戶持有人(2) (For Joint Account only 只適用於聯名帳戶)		Relationship 關係:	
<input type="checkbox"/> Mr.先生	English Name: 英文姓名:	<input type="checkbox"/> Mr.先生	English Name: 英文姓名:		
	<input type="checkbox"/> Ms.女士		Chinese Name: 中文姓名:		
ID Card/Passport No 身份證/護照號碼:		ID Card/Passport No 身份證/護照號碼:			
Place of birth : 出生地點 :	Nationality: 國籍:	Place of birth : 出生地點 :	Nationality: 國籍:		
Date of Birth 出生日期:		Date of Birth 出生日			
Residential Address: 住宅地址:		Residential Address: 住宅地址:			
Home Tel. No. 住宅電話號碼:		Home Tel. No. 住宅電話號碼:			
Mobile Phone No. 手提電話號碼:		Mobile Phone No. 手提電話號碼:			
Fax No. 傳真號碼:		Fax No. 傳真號碼:			
Business Tel. No. 商業電話:		Business Tel. No. 商業電話:			
E-mail Address 電子郵件地址:		E-mail Address 電子郵件地址:			
CCASS Investor Account Name & No. 中央結算投資者戶口名稱及號碼:					
All Correspondence and Statements to be sent to: (please select either one)所有書信及賬單請寄交本人:(只選一項):					
<input type="checkbox"/> Residential Add.住宅地址		<input type="checkbox"/> Business Add.商業地址			
<input type="checkbox"/> Email 電子郵件		<input type="checkbox"/> Others 其他 _____			
Education 教育程度: <input type="checkbox"/> 小學或以下 Primary or below		Education 教育程度: <input type="checkbox"/> 小學或以下 Primary or below			
<input type="checkbox"/> 中學 Secondary <input type="checkbox"/> 大學或以上 Tertiary or above		<input type="checkbox"/> 中學 Secondary <input type="checkbox"/> 大學或以上 Tertiary or above			
Name of Employer of Account Holder (1): 客戶受僱機構名稱:		Name of Employer of Account Holder (2): 客戶受僱機構名稱:			
Nature of Business: 業務性質:	Present Position: 現時職位:	Years of Service 服務年資:	Nature of Business: 業務性質:	Present Position: 現時職位:	Years of Service 服務年資:
Office Address: 辦公室地址:		Office Address: 辦公室地址:			

Financial Profile 財務狀況	
Annual Income 每年收入 (HK\$港幣): <input type="checkbox"/> <\$200,000 <input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> \$200,000 ~ \$500,000 <input type="checkbox"/> >\$1,000,000	Income Source 收入來源: <input type="checkbox"/> Salary / Commission 薪金/佣金 <input type="checkbox"/> Rental Income 物業租金 <input type="checkbox"/> Dividend / Interest 股息/利息 <input type="checkbox"/> Business Profit 營業利潤 <input type="checkbox"/> Others 其他_____
Total Net Value of Assets 資產淨值 (HK\$港幣): <input type="checkbox"/> < \$500,000 <input type="checkbox"/> 1,000,001-\$3,000,000 <input type="checkbox"/> \$500,001-\$1,000,000 <input type="checkbox"/> 3,000,001-\$5,000,000 <input type="checkbox"/> > HK\$5,000,001	Source of Asset 資產來源: <input type="checkbox"/> Cash / Deposit 現金/存款 <input type="checkbox"/> Property 房產 <input type="checkbox"/> Valuable Stock 有價證券 <input type="checkbox"/> Others 其他_____
Client Investment Experience and Objective 客戶投資經驗及目標	
投資經驗 Investment Experience <input type="checkbox"/> 少於 1 年 Less than a year <input type="checkbox"/> 3-10 年 years <input type="checkbox"/> 1-3 年 years <input type="checkbox"/> 10 年以上 More than 10 years	Investment Products 曾買賣產品 <input type="checkbox"/> 股票 Stocks <input type="checkbox"/> 期權 Options <input type="checkbox"/> 牛熊證 CBBC <input type="checkbox"/> 債券 Bonds <input type="checkbox"/> 衍生權證 (窩輪) Warrants <input type="checkbox"/> 基金 Funds <input type="checkbox"/> 期貨 Futures <input type="checkbox"/> Others 其他: _____
Investment Objective 投資目的: <input type="checkbox"/> Long Term 長線 <input type="checkbox"/> Capital Appreciation 資本增值 <input type="checkbox"/> Medium Term 中線 <input type="checkbox"/> Dividend Yield 股息回報 <input type="checkbox"/> Short Term 短線 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Others 其他_____ <input type="checkbox"/> Speculation 投機	Estimated Investment Amount 估計投資金額目的: <input type="checkbox"/> <\$200,000 <input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> \$200,000 ~ \$500,000 <input type="checkbox"/> \$1,000,001 - \$3,000,000 <input type="checkbox"/> Others 其他_____
Clients Knowledge of Derivative Products 客戶對衍生產品的認識	
<p>客戶知悉及明白國順證券有限公司("國順證券")將根據以下的資料以評估客戶是否對衍生工具產品有認識。 The Client acknowledges and understands SINO CAPITAL SECURITIES LIMITED ("SINO") will assess whether the Client has adequate knowledge on derivative products according to the information the Client provided.</p> <p><input type="checkbox"/> 1. 客戶曾接受有關衍生產品的培訓或修讀相關課程。The Client underwent training or attended courses on derivative products. <input type="checkbox"/> 2. 客戶現時或過去擁有與衍生產品有關的工作經驗。The Client has current or previous work experience related to derivative products. <input type="checkbox"/> 3. 客戶於過去 3 年曾執行 5 次或以上有關衍生產品的交易, 例如: 衍生權證、牛熊證、結構性產品及交易所買賣基金 等。 The Client has executed five or more transactions within the past three years in derivative products, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures and Options, Commodities, Structured Products, and Exchange Traded Funds, etc. <input type="checkbox"/> 4. 本人並未有衍生產品之認識。 I do not have any knowledge of derivative products.</p>	
Identity Declaration 身份聲明	
<p>1. 客戶是帳戶的最終及唯一實益擁有人, 並完全負責為該(等)帳戶運作所發出的一切指示。? The Client is the ultimate and sole beneficial owner(s) of the Account(s) and is fully responsible for all instructions for the operation of the said Account(s)? <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No 如不是,請披露最終權益人。 If not, please specify the ultimate beneficial owner(s) 姓名:Name: _____ 身份證/護照號碼 ID/Passport No. _____ 電話 Phone No.: _____</p>	
<p>2. 客戶是否證監會持牌或註冊人的僱員? Are you the employee of a SFC's licensed or registered person? <input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes (If yes, please specify 如果是, 請述明具体: 持牌法團/註冊機構名稱: _____ 職位:Position: _____ 中央編號 CE No.: _____ (Please provide employer's consent letter 請提供僱主之書面同意書)</p>	
<p>3. 客戶是否與國順證券有限公司或其各自之聯營公司之董事或僱員有任何親戚關係? Does the Client have any relationship with the director(s) or employee(s) of SINO or their respective associated companies? <input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes, _____ (Name of Director or Employee 董事或僱員姓名/ Relationship 關係)</p>	
<p>4. 美國稅務責任 U.S. Tax Obligation: <input type="checkbox"/> No 沒有 <input type="checkbox"/> Yes 有 (TIN 稅務身份碼: _____)</p>	
(Related Margin Financing Account(s) For Securities Account (Margin) only) 相關保證金融資帳戶 (只適用於證券帳戶(保證金))	
<p>1. 客戶的配偶是否持有國順證券的保證金帳戶? Does the spouse of the Client have a margin account with SINO? <input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes 配偶姓名 Name of the Spouse: _____ 帳戶號碼 Account No.: _____</p>	
<p>2. 客戶是否持單獨或與配偶共同控制國順證券其他保證金帳戶持有人 35%或以上之表決權。 Does the Client, either alone or with his/her spouse, is/are in control of 35% or more of the voting rights of another margin client of SINO. <input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes, 帳戶名稱 Account Name: _____ 帳戶號碼 Account No _____</p>	

收款銀行戶口 Receiving Bank Account (只供入數之用 For Fund Deposit Only)			
Currency 貨幣	Name of Bank 銀行名稱	Account Name 賬戶名稱	A/C No. 賬戶號碼
HKD			
USD			
RMB			

Personal Data 個人資料

國順證券有限公司 ("國順證券")擬使用閣下的個人資料作直接促銷，為此須取得閣下的同意。通過簽署此開戶申請表格，你同意國順證券向你發放關於財務、證券、投資的服務和產品的推廣資料。你亦同意國順證券與其集團公司分享閣下的個人資料作行銷用途。SINO CAPITAL SECURITIES LIMITED ("SINO") intends to use your personal data in direct marketing which requires your consent. By signing this account opening form, you agree to receive promotional and direct marketing information from SINO in respect of financial, insurance, securities, investment services and products SINO may offer. You further agree that SINO may share your personal data with its group companies for marketing purposes.

Acknowledgement and Execution by Client 客戶確認及簽署

1. 本人/吾等確認國順證券有限公司(下稱"國順證券")已按本人/吾等選擇的語言(英文或中文)提供了客戶協議書及風險披露聲明之副本。
2. 本人/吾等謹此聲明在本開戶表格所提供之資料全部為真實、完整及正確，除非國順證券接到更改有關本開戶表格內容之書面通知，否則國順證券有權完全依賴此等資料及聲明作一切用途。國順證券或其代理獲授權可隨時就核對本開戶表格資料事宜，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。
3. 本人/吾等現申請開立本人/吾等在本開戶表格頁首選擇之帳戶及服務類別。本人/吾等確認已閱讀並明白附上之國順證券有限公司客戶協議書(該協議書)的所有有關條款並且接受及同意受可不時被修改的該協議書之條款所約束，本人/吾等在此以書面通知、及確認並授權國順證券行使在該協議書內的全部常設授權。
4. 本人/吾等向閣下申請開立證券買賣帳戶並同意遵守香港交易所及其他監管機構不時修訂以監管於香港交易所或其他交易所進行證券買賣之條例及規則。
5. 本人/吾等進一步確認國順證券已經邀請本人/吾等閱讀風險披露聲明，提出問題及徵求獨立的意見(如本人/吾等有此意願)。
6. 本人/吾等已仔細閱讀、完全理解並同意接受及遵守客戶協議書內之個人資料收集聲明。

1. I/We, the undersigned client(s) hereby confirm that I/We have been provided the Client Agreement ("the Agreement") of SINO CAPITAL SECURITIES LIMITED ("SINO") and the Risk Disclosure Statement in a language of my/our choice(receipt of a copy whereof is hereby acknowledged by me/us).
2. I/We, the undersigned client(s) hereby confirm and represent that the information on this Account Opening Form is true, complete and correct. SINO is entitled to rely fully on such information and representations for all purposes, unless SINO receives notice in writing of any change. SINO or any of its agents is hereby authorized at any time to contact anyone, including my/our banks or any credit agency, for the purpose of verifying the information provided on this Account Opening Form.
3. I/We, the undersigned client(s) hereby apply to open the types of account(s) and service(s) which I/We choose on the front page of this Account Opening Form and confirm that I/We have read and understand the relevant provisions of the attached Client Agreement and accept and agree to be bound by the Agreement as the same may be amended from time to time, and I/We hereby give you notice in writing that I/we confirm and authorize SINO to exercise all the powers of the Standing Authorities under the Client Agreement.
4. I/We request you to open a Securities Trading Account ("the Account") and agree to abide by the rules and regulations of The Stock Exchange of Hong Kong Limited ("SEHK") or any other regulatory body(ies) as amended from time to time governing the purchase and sale of securities quoted on the SEHK or any other stock exchanges.
5. I/We, the undersigned client(s) further acknowledge and confirm that I/We have been invited by SINO to read the Risk Disclosure Statement, ask questions and take independent advice, if I/We wish.
6. I/We, the undersigned client(s) have carefully read, fully understood and agreed to accept and be bound by the Personal Information Collection Statement of the Agreement.

Date 日期: _____

Account Holder(1) Signature
帳戶持有人(1)簽署

Account Holder (2)Signature
帳戶持有人(2)簽署

A/C Name 客戶名稱

A/C Name 客戶名稱

Signature of Witness
見證人簽署

Name of Witness
見證人姓名

SIGNING ARRANGEMENT 簽名安排(For Joint Account Only. 只適用於聯名帳戶)

此帳戶可根據以下指示方式操作(請在適當空格加): The Account can be operated under the instruction of (please tick the appropriate box):

- Either one of the account holder; or 任何一位帳戶持有人的指示 Both account holders 兩位帳戶持有人的指示

Declaration by Licensed Staff 持牌職員聲明:

本人，以持牌人士身份，確認本人已按照上述客戶所選擇的語言提供風險披露聲明之副本及邀請客戶閱讀該風險披露聲明、提出問題及徵求獨立意見(如客戶有此意願)。I, a registered person, declare that I have provided the above client with a copy of the Risk Disclosure Statement in a language of the Client's choice and invited the client to read the Risk Disclosure Statement, ask questions and take independent advice if the client so wishes.

Signature of Licensed Person

持牌人士簽署: _____

CE No.

中央編號: _____

Name of Licensed Person

持牌人士姓名: _____

Date

日期: _____

注意 Notes:

如此開戶文件不是在國順證券有限公司持牌的職員或經紀前開立，客戶必須遵從以下其中一個程序要求:

If this document is not executed by the Client in front the licensed Staff or Account Executive of Sino Capital Securities Limited, Client should comply with either one of the following procedure:

- a) 客戶必須交給國順證券有限公司由客戶在香港的持牌銀行開立的帳戶所簽發的個人支票，支票上要有客戶的身份證明文件上所顯示的姓名以及簽名必須與此開戶表格上的客戶簽名相符，抬頭人為“國順證券有限公司”而支票數額不少於港幣 10,000 元。待支票兌現以及所有相關文件驗證後，此帳戶才可使用。

Client should send Sino Capital Securities Limited a personal cheque bearing his/ her name shown in his/her identity document and drawn on his/ her account with a licensed bank in Hong Kong with his/ her same signature(s) as shown on this Form in favor of “SINO CAPITAL SECURITIES LIMITED” for not less than HK\$10,000. This account will be activated after the cheque is cleared and all related documents are verified.

- b) 此開戶表格及相關身份證明文件的見證，必須由其他持牌人、國順證券有限公司的聯繫人士、太平紳士、專業人士如銀行分行經理、執業會計師、律師或公證人加以驗證。

The signing of this form and sighting of related identity documents should be certificated by other licensed person, an affiliated of Sino Capital Securities Limited, a Justice of Peace (JP) or a professional person such as a branch manager of a bank, certified public accountant, lawyer or notary public.

公司專用 For Official Use Only

核對資料 Checklist:

- 1) 已簽署之客戶協議書及附件。Duly signed Client's Agreement and Appendix.
 2) 近期地址證明 (如水電費單等)。Document showing client's latest address (e.g. utilities bills etc.).
 3) 各授權人士身份證/ 護照的副本。Copies of the I.D. cards / passports of the Authorized Persons.
 4) 核實簽署之支票 (如需要)

Checked By 查核:

職員姓名 Name of the Staff:

簽署 Signature:

帳戶介紹人:

Account introduced by:

經紀姓名及編

號: Name and Code of

AE:

資料輸入:

Inputted by:

職員姓名 Name of the Staff:

簽署 Signature:

日期 Date:

帳戶批核:

Approved by:

職員姓名 Name of the Staff:

簽署 Signature:

日期 Date:

客戶佣金:

Client Commission rate:

Min. Charge:

Interest rate:

交易限額/信貸限

額: Trading Limit / Credit

Limit:

其他資料(例如:已獲得銀行及信貸參考):

Other information (e.g. bank and credit reference obtained):

Google search client by:

SINO Account No. _____