

根據《證券及期貨條例》就第 1 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 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 :	
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## 開戶表 - 個人/聯名帳戶

### Account Opening Form – Individual / Joint Account

負責客戶主任姓名 Responsible AE		負責客戶主任姓名編號 Responsible AE Code	
戶口種類 Account Type	<input type="checkbox"/> 證券現金帳戶 Securities Cash Account <input type="checkbox"/> 證券保證金帳戶 Securities Margin Account	帳戶形式 Account Nature	<input type="checkbox"/> 個人帳戶 Individual Account <input type="checkbox"/> 聯名帳戶 Joint Account

#### A. 個人資料 Personal Information

個人/聯名帳戶持有人 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)			
<input type="checkbox"/> 電郵地址 E-mail Address <input type="checkbox"/> 住宅地址 Residential Address <input type="checkbox"/> 辦公室地址 Office Address <input type="checkbox"/> 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 <input type="checkbox"/> 受僱 Employed <input type="checkbox"/> 自僱 Self-employed <input type="checkbox"/> 退休 Retired <input type="checkbox"/> 學生 Student <input type="checkbox"/> 其他 Others _____		就業情況 Employment Status <input type="checkbox"/> 受僱 Employed <input type="checkbox"/> 自僱 Self-employed <input type="checkbox"/> 退休 Retired <input type="checkbox"/> 學生 Student <input type="checkbox"/> 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**

投資目標 Investment Objective	<input type="checkbox"/> 賺取收入 Generating Income <input type="checkbox"/> 資本增長 Capital Appreciation <input type="checkbox"/> 對沖 Hedging <input type="checkbox"/> 投機 Speculation <input type="checkbox"/> 其他 Others _____	
對衍生產品之認識 Derivative Products Knowledge	主要戶口持有人 Primary Joint Account Holder	第二戶口持有人 Secondary Joint Account Holder
	<input type="checkbox"/> 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  <input type="checkbox"/> 監管機構 <input type="checkbox"/> 交易所 <input type="checkbox"/> 大專院校 Regulatory Authority      Exchange      Tertiary Institution  <input type="checkbox"/> 進修學院 <input type="checkbox"/> 金融機構 Education Institution      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.  <input type="checkbox"/> 受監管持牌人士 <input type="checkbox"/> 管理層 Regulated Licensed Person      Management  <input type="checkbox"/> 與衍生工具相關後勤 Derivatives Related Back Office  3. <input type="checkbox"/> 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.  <input type="checkbox"/> 本人並未有衍生產品之認識 I have NO knowledge of derivative products.	<input type="checkbox"/> 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  <input type="checkbox"/> 監管機構 <input type="checkbox"/> 交易所 <input type="checkbox"/> 大專院校 Regulatory Authority      Exchange      Tertiary Institution  <input type="checkbox"/> 進修學院 <input type="checkbox"/> 金融機構 Education Institution      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.  <input type="checkbox"/> 受監管持牌人士 <input type="checkbox"/> 管理層 Regulated Licensed Person      Management  <input type="checkbox"/> 與衍生工具相關後勤 Derivatives Related Back Office  3. <input type="checkbox"/> 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.  <input type="checkbox"/> 本人並未有衍生產品之認識 I have NO knowledge of derivative products.
投資經驗： Investment Experience  (可選擇多於一項) (Can choose more than one)	<input type="checkbox"/> 上市證券      年數 (      ) Listed Securities      Year(s)  <input type="checkbox"/> 期貨或期權      年數 (      ) Futures or Options      Year(s)  <input type="checkbox"/> 槓桿式外匯      年數 (      ) Leveraged Foreign Exchange      Year(s)  <input type="checkbox"/> 單位信託基金或債券      年數 (      ) Unit Trusts or Bonds      Year(s)  <input type="checkbox"/> 其他 Others : _____  <input type="checkbox"/> 沒有 None	<input type="checkbox"/> 上市證券      年數 (      ) Listed Securities      Year(s)  <input type="checkbox"/> 期貨或期權      年數 (      ) Futures or Options      Year(s)  <input type="checkbox"/> 槓桿式外匯      年數 (      ) Leveraged Foreign Exchange      Year(s)  <input type="checkbox"/> 單位信託基金或債券      年數 (      ) Unit Trusts or Bonds      Year(s)  <input type="checkbox"/> 其他 Others : _____  <input type="checkbox"/> 沒有 None

#### 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	<input type="checkbox"/> 港幣 帳戶號碼 HKD A/C# _____ <input type="checkbox"/> 美元 帳戶號碼 USD A/C# _____ <input type="checkbox"/> 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)	<input type="checkbox"/> <HKD100,000 <input type="checkbox"/> HKD100,001-HKD500,000 <input type="checkbox"/> HKD500,001-HKD1,000,000 <input type="checkbox"/> HKD1,000,001-HKD5,000,000 <input type="checkbox"/> HKD5,000,001-HKD10,000,000 <input type="checkbox"/> Other: HKD _____	流動資產 (HKD) Liquid Assets (HKD)	<input type="checkbox"/> <HKD100,000 <input type="checkbox"/> HKD100,001-HKD500,000 <input type="checkbox"/> HKD500,001-HKD1,000,000 <input type="checkbox"/> HKD1,000,001-HKD5,000,000 <input type="checkbox"/> HKD5,000,001-HKD10,000,000 <input type="checkbox"/> Other: HKD _____
資產淨值 (HKD) Net Worth (HKD)	<input type="checkbox"/> <HKD100,000 <input type="checkbox"/> HKD100,001-HKD500,000 <input type="checkbox"/> HKD500,001-HKD1,000,000 <input type="checkbox"/> HKD1,000,001-HKD5,000,000 <input type="checkbox"/> HKD5,000,001-HKD10,000,000 <input type="checkbox"/> Other: HKD _____	資產淨值 (HKD) Net Worth (HKD)	<input type="checkbox"/> <HKD100,000 <input type="checkbox"/> HKD100,001-HKD500,000 <input type="checkbox"/> HKD500,001-HKD1,000,000 <input type="checkbox"/> HKD1,000,001-HKD5,000,000 <input type="checkbox"/> HKD5,000,001-HKD10,000,000 <input type="checkbox"/> Other: HKD _____
年薪 (HKD) Annual Income (HKD)	<input type="checkbox"/> <HKD100,000 <input type="checkbox"/> HKD100,000-HKD200,000 <input type="checkbox"/> HKD200,001-HKD500,000 <input type="checkbox"/> HKD500,001-HKD1,000,000 <input type="checkbox"/> >HKD1,000,000	年薪 (HKD) Annual Income (HKD)	<input type="checkbox"/> <HKD100,000 <input type="checkbox"/> HKD100,000-HKD200,000 <input type="checkbox"/> HKD200,001-HKD500,000 <input type="checkbox"/> HKD500,001-HKD1,000,000 <input type="checkbox"/> >HKD1,000,000
資金來源 Source of Funds	<input type="checkbox"/> 薪金儲蓄 Savings from Salary <input type="checkbox"/> 家庭 Family <input type="checkbox"/> 營業溢利 Trading Profits <input type="checkbox"/> 租金收入 Rental Income <input type="checkbox"/> 金融機構貸款 Loan from Financial Institution <input type="checkbox"/> 其他 Others _____	資金來源 Source of Funds	<input type="checkbox"/> 薪金儲蓄 Savings from Salary <input type="checkbox"/> 家庭 Family <input type="checkbox"/> 營業溢利 Trading Profits <input type="checkbox"/> 租金收入 Rental Income <input type="checkbox"/> 金融機構貸款 Loan from Financial Institution <input type="checkbox"/> 其他 Others _____
住屋業權 Ownership of Residence	<input type="checkbox"/> 擁有 Owned <input type="checkbox"/> 已抵押 Mortgaged <input type="checkbox"/> 沒有抵押 Not Mortgaged <input type="checkbox"/> 沒有 Not Owned <input type="checkbox"/> 租住 Rented <input type="checkbox"/> 與家人同住 Living with Family	住屋業權 Ownership of Residence	<input type="checkbox"/> 擁有 Owned <input type="checkbox"/> 已抵押 Mortgaged <input type="checkbox"/> 沒有抵押 Not Mortgaged <input type="checkbox"/> 沒有 Not Owned <input type="checkbox"/> 租住 Rented <input type="checkbox"/> 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?

- |                                    |    |
|------------------------------------|----|
| <input type="checkbox"/> (a) 18-35 | 10 |
| <input type="checkbox"/> (b) 36-50 | 8  |
| <input type="checkbox"/> (c) 51-65 | 4  |
| <input type="checkbox"/> (d) >65   | 2  |

Q2 您的教育程度是？

What is your education level?

- |   |    |
|---|----|
| <input type="checkbox"/> (a) 小學程度或以下<br>Primary level or below    | 2  |
| <input type="checkbox"/> (b) 中學程度<br>Secondary level              | 8  |
| <input type="checkbox"/> (c) 預科或大學程度<br>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.

- |   |    |
|---|----|
| <input type="checkbox"/> (a) 沒有經驗或少過1年<br>No experience or Less than 1 year | 2  |
| <input type="checkbox"/> (b) 1至3年<br>Between 1 and 3 years                  | 4  |
| <input type="checkbox"/> (c) 多過3年<br>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)

- |  |    |
|--|----|
| <input type="checkbox"/> (a) 現金、存款、存款證、保本產品、香港政府債券。<br>Cash, Deposits, Certificates of Deposit, Capital Protected Products, HKSAR Government Bond  | 4  |
| <input type="checkbox"/> (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。<br>Stocks, Bonds, Equity or Bond Funds (including Mandatory Provident Funds, but excluding money market funds), investment-linked insurance plans. | 8  |
| <input type="checkbox"/> (c) 期權、期貨、認股權證(俗稱「窩輪」)、對沖基金。<br>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?

- |   |    |
|---|----|
| <input type="checkbox"/> (a) 波動多於-30%至+30%<br>Fluctuates under -30% and over +30% | 10 |
| <input type="checkbox"/> (b) 波動於-30%至+30%<br>Fluctuates between -30% and +30%     | 8  |
| <input type="checkbox"/> (c) 波動於-15至+15%之間<br>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	<input type="checkbox"/> 低風險 Low Risk	<input type="checkbox"/> 中風險 Medium Risk	<input type="checkbox"/> 高風險 High Risk
投資者的一般特徵 Investor General Characteristics	<p><u>保守型 Conservative</u></p> <p>閣下願意承受底度的風險，亦明白會接受比較保守回報。</p> <p>You are willing to accept low risks. In return, you understand that you will receive low returns.</p>	<p><u>平衡型 Balance</u></p> <p>閣下願意承受中度的風險，於中長線換取潛在回報。</p> <p>You are willing to accept medium risks in exchange for some potential returns over the medium to long term.</p>	<p><u>進取型 Aggressive</u></p> <p>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。</p> <p>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.</p>

### **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 or outdated 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 \_\_\_\_\_ 身份證/護照號碼 \_\_\_\_\_  
Name \_\_\_\_\_ 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)  
有關的交易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 \_\_\_\_\_ 關係 \_\_\_\_\_  
Name of Employee / agent \_\_\_\_\_ 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) 是否香港以外的就稅務目的而言的居民?  
Are you (and/or the Secondary Joint Account Holder) a resident for tax purposes in any place other than Hong Kong?  
 否 No  
 是 Yes (請列出該國家 Please list the country(ies))  
 中國  澳洲  台灣  日本  加拿大  泰國  印尼  其他  
China Australia Taiwan Japan Canada Thailand Indonesia Other \_\_\_\_\_
6. 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)  
\_\_\_\_\_



7. 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 : \_\_\_\_\_

8. 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: \_\_\_\_\_

9. 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: \_\_\_\_\_



## 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的身份證或護照副本。  
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證明（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**

我確認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，並且我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 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.

**持第 1 類 (證券買賣) Licensed for Type 1 (Licensed Corporation)**

職員/經紀姓名 Name of Staff/AE:	職員/經紀簽署 Signature of Staff/AE:	CE 編號 CE No:
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AML 風險級別 AML Risk Category <input type="checkbox"/> 低 Low <input type="checkbox"/> 中 Medium <input type="checkbox"/> 高 High	日期 Date:
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**只供本行使用 For Official Use Only**

<p>文件查核列表 Document check list</p> <p>1. 已核實的身份證或護照副本 Certified ID Card/Passport Copy <input type="checkbox"/> 是 Yes</p> <p>2. 地址證明副本 Address proof <input type="checkbox"/> 是 Yes</p> <p>3. 已核實 W-8ben 或 W-9 表格 Certified W-8ben/W-9 form <input type="checkbox"/> 是 Yes</p> <p>4. 銀行及信貸參考 (如適用) Bank and Credit Reference (if applicable) (例如：銀行結單、屋契等) (eg. Bank statement, title deeds etc.) <input type="checkbox"/> 是 Yes <input type="checkbox"/> 不適合 N.A</p> <p>5. 僱主書面同意 (如適用) Employer consent letter (if applicable) <input type="checkbox"/> 是 Yes <input type="checkbox"/> 不適合 N.A</p>	<p>Applicable to non face-to-face account opening procedure:</p> <p>Personal cheque received (if applicable) <input type="checkbox"/> issued from a licensed bank in HK</p> <p><input type="checkbox"/> payable to "Grand China Securities Limited"</p> <p><input type="checkbox"/> cheque amount not less than HKD10,000</p> <p><input type="checkbox"/> client name shown on cheque</p> <p><input type="checkbox"/> same signature on cheque and A/C Opening Form</p> <p><input type="checkbox"/> cheque copy retained</p> <p><input type="checkbox"/> cheque cleared</p>
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文件確認 Document reviewed by		
職員姓名 Name of Staff:	職員簽署 Signature of Staff:	日期 Date:

客戶資料核對 Customer information approved by		
職員姓名 Name of Staff:	職員簽署 Signature of Staff:	日期 Date:

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
其他 Others			

信用限額 Credit Limit		
職員姓名 Name of Staff:	職員簽署 Signature of Staff:	信用限額 Credit Limit:

開戶批核 Account opening approved by		
職員姓名 Name of Staff:	職員簽署 Signature of Staff:	職位 Position:

備註 Remarks:
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