

INNOVATION SECURITIES CO., LIMITED (CE No.: BGN336)
 鼎新證券有限公司 (證監會持牌法團編號 BGN336)
 Unit 2601, 26/F, FWD Financial Centre, 308 Des Voeux
 Road Central, Hong Kong
 香港德輔道中 308 號富衛金融中心 26 樓 2601 室
 Tel 電話: 3105 1088

For official use only 只供本行使用

Account No. 戶口號碼:

AE Code 客戶主任號碼:

Date Opened 開戶日期:

請提供:

1. 帳戶持有人的身份證或護照的經簽名驗證複印本
2. 最近3 個月的銀行結單或公共服務單據作住址證明
3. 個人《海外帳戶稅收合規法案》自行認證

Please provide:

1. Certified true copy of your identity card / passport
2. A bank statement / utility bill within the past 3 months as proof of residential address
3. Individual FATCA Self-Certification

開戶申請表格 (個人/聯名帳戶)
ACCOUNT OPENING FORM (INDIVIDUAL/JOINT ACCOUNT)

1. Type of Account 戶口類別

Cash Securities Trading 現金證券買賣戶口 Margin Securities Trading 保證金證券買賣戶口

Do you require internet trading services? 客戶是否需要開通網上交易服務? Yes 是 No 否

Do you require trading in non-HK stocks? 客戶是否需要開通港股以外的其他股票交易? Yes 是 No 否

If yes, please specify 如是, 請述明具體: _____

2. Personal Information 個人資料

Primary Client 客戶 English Name 英文姓名: _____ Chinese Name: 中文姓名: _____ ID Card/Passport No 身份證/護照號碼: _____ Date of Birth 出生日期: _____ Nationality 國籍: _____	Joint Client 聯名客戶 English Name 英文姓名: _____ Chinese Name: 中文姓名: _____ ID Card/Passport No 身份證/護照號碼: _____ Date of Birth 出生日期: _____ Nationality 國籍: _____
Relationship between the Primary Client and the Joint Client: 客戶與聯名客戶之關係: _____	
Contact Details 聯繫方法 Home Phone No. 住宅電話 _____ Mobile No. 手提電話 _____ Fax 傳真 _____	
Residential Address 住址 (Please provide Proof of address dated within the last 3 months 請提供三個月內有效地址證明)	
Correspondence Address 通訊地址 (Please provide Proof of address dated within the last 3 months 請提供三個月內有效地址證明)	
Account Statement to be sent to 戶口結單寄往 Email Address 電郵地址 _____	
Language Selection 通訊語言選擇: <input type="checkbox"/> Traditional Chinese 繁體中文 <input type="checkbox"/> Simplified Chinese 簡體中文 <input type="checkbox"/> English 英文	

Has any of your previous work experience ever been related to structured or derivative product(s)?

客戶以往的工作經驗是否與結構性或衍生產品有關?

Yes 是 No 不是

Name of employer 僱主名稱: _____

Relevant employment period 在職日期: _____

Do you ever have any trading experience in structured or derivative product(s)?

客戶以往曾否有買賣結構性或衍生產品的經驗?

Yes 是 No 不是

Please state the structured or derivative product(s) you traded:

請提供客戶以往有買賣的結構性或衍生產品:

Callable Bull/Bear Contracts (CBBC) 牛熊證

Derivative Warrants 衍生認股證

Equity Linked Instruments / Notes (ELI/ELN) 股票掛鈎產品

Exchange Traded Convertible Bonds 交易所買賣換股債券

Exchange Traded Funds 交易所買賣基金

Futures and Options 期貨或期權合約交易

Rights 供股權

Stock Options 股票期權

Others 其他 : _____

Have you executed five or more transactions in structured or derivative products within the past three years?

客戶曾否在以往三年內執行過五宗或以上結構性或衍生產品交易?

Yes 是 No 不是

Have you interest in trading of structured or derivative products in our Company?

客戶是否有意於本公司進行各類衍生產品交易?

Yes 是 No 不是

8. Other Disclosures 其他資料披露

Are you the employee of a SFC's licensed or registered person?

客戶是否證監會持牌或註冊人的僱員?

No 不是 Yes 是 (If yes, please specify 如是, 請述明具體: _____)

Are you or your relatives currently employed by our company?

客戶或親屬是否現受僱於本公司?

No 沒有 Yes 有 (If yes, please specify Name & Relationship 如有, 請述明姓名及關係: _____)

Is your spouse currently maintaining Account with our company?

客戶的配偶是否在本公司開有帳戶?

No 沒有 Yes 有 (If yes, please specify 如有, 請述明帳號: _____)

Are you, either alone or with your spouse, in control of 35% or more of the issued shares of any corporate client of Innovation Securities Co., Limited?

客戶是否個人或與客戶的配偶共同控制任何鼎新證券的公司客戶35%以上的股權?

No 沒有 Yes 有 (If yes, please specify如有, 請述明帳號: _____)

Have you been arrested/tried/sentenced/disciplined for illegal activities or violating regulatory requirements?

客戶是否曾經涉及違法或違反監管守則而被捕/受審/被判刑/被紀律處分?

No 不是 Yes 是 (If yes, please specify如果是, 請述明具體: _____)

Are you a politically exposed person, senior government official or senior executive of a state-owned corporation?

客戶是否政治人物、高級政府官員或國有企業高級行政人員?

No 不是 Yes 是 (If yes, please specify如果是, 請述明具體: _____)

9. Standing Payment Instruction 常設收款指示

Please pay the money received on my/our behalf into the following bank account opened in my/our own name upon my request.

請在本人要求時將為本人/吾等代收的款項轉帳到下列以本人/吾等名義開設的銀行帳戶。

Bank Name 銀行名稱: _____

Branch(es) / Address(es) 分行/地址: _____

Account Name(s) 戶口名稱: _____

Account Number 戶口號碼: _____

Account Type(s) 戶口類別: Saving 儲蓄 Current 往來 Others 其他 _____

10. Personal Data 個人資料

Innovation Securities Co., Limited ("ISCL") intends to use your personal data in direct marketing which requires your consent. 鼎新證券有限公司 ("鼎新證券")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。

By signing this account opening form, you agree to receive promotional and direct marketing information from ISCL in respect of financial, insurance, securities, investment services and products ISCL may offer. You further agree that ISCL may share your personal data with its group companies for marketing purposes. You understand that ISCL and its group companies may, from time to time, engage third parties to provide marketing services. 通過簽署此開戶申請表格, 客戶同意鼎新證券向客戶發放關於財務、保險、證券、投資的服務和產品的推廣資料。客戶亦同意鼎新證券與其集團公司分享閣下的個人資料作行銷用途。客戶亦明白鼎新證券和其集團公司可不時聘請第三方代表他們提供行銷服務。

11. Declaration 聲明

I/We hereby declare that I/we am/are the only party who has the ultimate interests in the Account and the information given in this form is true and correct and that I/We have not willfully withheld any material fact(s). I/We understand that I/we may be required to provide additional information or submit documentary proof as to the information provided in this form when requested to do so. I/We understand that my/our submission of this form and the acceptance of this form by you in no way implies approval for opening of the Account for me/us and that you reserve the right to reject my/our application.

本人/吾等謹此聲明本人/吾等為帳戶的最終實益擁有人，表格上提供之所有資料均為真實及正確，本人/吾等並未刻意隱瞞任何重要事實。除上述提供的資料外，本人/吾等清楚閣下會要求本人/吾等提供更多相關的資料或證明文件。本人/吾等明白本人/吾等遞交此表格及閣下接納此表格並非表示閣下同意開立帳戶予本人/吾等，並清楚閣下保留拒絕本人/吾等開戶申請之權力。

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. 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。

I/We have carefully read and understood the contents of the Client Agreement for Securities Client Account Number _____ (please copy the client Account Number from the cover page of the Client Agreement for Securities Trading). I/We expressly agree and consent, as evidence by my/our signature(s) below, to each and all the terms and provisions contained in the Client Agreement for Securities Trading. I/We also acknowledge that I/We have been invited to ask questions about the relevant laws and regulations, commission and fees schedules as well as the Risk Disclosure Statement in Clause 14 of the Client Agreement for Securities Trading. I/We have satisfied with the explanations and clarifications provided to me/us. I/We hereby declare that I/we am/are willing and capable of fulfilling the duties and obligations as specified in the Client Agreement for Securities Trading. 本人/吾等已仔細審閱並理解此證券交易客戶協議書帳戶號碼 _____ (請轉抄自證券交易客戶協議書首頁的帳戶號碼) 的全部內容。本人/吾等的以下簽名表明客戶完全同意和接受此證券交易客戶協議書的全部條款和細節。本人/吾等並在此聲明，本人/吾等確認本人/吾等有被邀請詢問有關法律法規、佣金費用和此證券交易客戶協議書第14條中有關風險披露聲明等問題。本人/吾等充分理解相關問題的解釋和說明，本人/吾等有能力和願意履行承擔此證券交易客戶協議書規定的權利和義務。

Primary Client Signature/ Specimen 客戶簽署/簽署式樣

Joint Client Signature/ Specimen 聯名客戶簽署/簽署式樣

Primary Client Name (Print) 客戶姓名 Date 日期

Joint Client Name (Print) 聯名客戶姓名 Date 日期

For Joint Account 只適用於聯名戶口 任何一個簽名有效 Any 1 signatory 所有帳戶持有人簽名方有效 All signatories

SIGNED by Witness 見證人簽署

I, the undersigned, have witnessed the signature and inspected the original identity documents of the above-named client. 本人已見證及驗證上述客戶之簽署及有關其身分證明文件之正本。

SIGNED and DECLARED by Licensed Representative who has explained to the Client the Risk Disclosure Statements in Clause 14 of the Client Agreement for Securities Trading. 向客戶解釋此證券交易客戶協議書第14條中有關風險披露聲明的持牌代表簽署

Signature of Witness 見證人簽署

Signature of Licensed Representative 持牌代表簽署

Full Name of Witness (Print) 見證人姓名(請以正楷書寫)

Full Name of Licensed Representative (Print) 持牌代表姓名(請以正楷書寫)

Witness' Qualification 見證人職位

CE Number of Licensed Representative 持牌代表中央編號

Date 日期

Date 日期

ACKNOWLEDGEMENT BY INNOVATION SECURITIES CO., LIMITED

鼎新證券有限公司

We acknowledge and agree to the above

確認並同意此帳戶開立表格內容

Authorized Signer for and on behalf of Innovation Securities Co., Limited

Date

正式授權代表 鼎新證券有限公司

日期

12. For Official Use Only 只供本行使用

Client Commission Rate 客戶佣金:	AE Rebate 客戶主任佣金:
Introduced by 介紹人:	How Long Known to Client : 與客戶相識年期:
Name of Account Executive 客戶主任姓名:	AE No 客戶主任號碼:
Bank and Credit References Obtained 已獲銀行及信貸參考: Yes 是/ No 否	Credit Limit Suggested by AE 客戶主任建議之信用額:
Documents Inputed By 文件輸入:	Account Executive Signature 客戶主任簽署:
Documents Checked By 文件查核:	Account Approved By 批准: