

| | |
|---|---|
|  華泰 (香港) 期貨有限公司 Huatai (Hong Kong) Futures Limited | For Internal Use Only 由華泰 (香港) 期貨有限公司職員填寫 |
| | Account No. 賬戶號碼: _____ |
| | Account Name 賬戶名稱: _____ |
| | Date 日期: _____ |
| Huatai (Hong Kong) Futures Limited Registered Office Address: Room 2102, The Center, 99 Queen's Road Central, Central, Hong Kong For Enquiries, please contact Customer Services Department at General: +852 3916-1688 Fax: +852 3916-1699 Email: cs@htfc.com.hk | |
| 華泰 (香港) 期貨有限公司註冊辦事處地址: 香港中環皇后大道中99號中環中心2102室 如有任何查詢, 歡迎聯絡客戶服務部 總機: +852 3916-1688 傳真: +852 3916-1699 電郵: cs@htfc.com.hk | |

| ACCOUNT OPENING FORM 開戶表格 (Individual個人/Joint聯名) | |
|---|--|
| A. ACCOUNT TYPE 賬戶類別 | |
| <input type="checkbox"/> Individual Account 個人賬戶 | <input type="checkbox"/> Joint Account 聯名賬戶 Please Specify the names for all Joint Account Holders 請列明所有聯名賬戶持有人的名稱: Each Joint Account Holder shall complete Account Opening Form. 請每名賬戶持有人各自填寫個人賬戶開戶表格一份 |
| Electronic Trading Service 電子交易服務 | <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 |

1. Client Information (Individual) 客戶資料 (個人)

a) Basic Information 基本資料

| | |
|--|--|
| Client Name 客戶名稱 | |
| Name in Chinese 中文姓名: | Name in English 英文姓名: |
| Gender 性別 | <input type="checkbox"/> Male 男 <input type="checkbox"/> Female 女 |
| ID Card/Passport No. 身份證號碼/護照號 | |
| Date of Birth 出生日期 | |
| Place of Birth 出生地點 | Town/City 鎮/市 Province/State 省/州 Country 國家 |
| Nationality 國籍 | |
| Residential Address 居住地址 | |
| Correspondence Address (if different from Residential Address) 通訊地址 (如與居住地址不同) | |
| Home Tel. No. (if applicable) 住宅電話號碼 (如適用) | |
| Office Tel. No. (if applicable) 公司電話號碼 (如適用) | |
| Mobile Phone No. 手提電話號碼 | |
| Email Address 電郵地址 | |
| Level of Education 教育程度: <input type="checkbox"/> Primary/Secondary 小學/中學 <input type="checkbox"/> College 大專 <input type="checkbox"/> Graduate 大學 <input type="checkbox"/> Post-graduate 碩士 <input type="checkbox"/> Doctor or above 博士或以上 | |

- ☐ The Client understands that the Client will only receive the electronic statement via the email provided above (charges apply) unless the Client requests to receive paper statements from Huatai (Hong Kong) Futures Limited (“Huatai (Hong Kong) Futures”) in writing. 客戶瞭解除非客戶向華泰（香港）期貨有限公司（“華泰（香港）期貨”）書面要求接收郵寄賬單（需收費），否則客戶將只獲通過以上提供的電郵地址接收電子賬戶結單。

b) Employment Status 就業資料

| | | | | |
|---|--|--|--|--|
| <input type="checkbox"/> Employed 受僱 | <input type="checkbox"/> Self employed 自僱 | <input type="checkbox"/> Proprietary Individual 自營個人投資者 | <input type="checkbox"/> Retired 退休 | <input type="checkbox"/> Others, please specify 其它，請註明_____ |
| Name of Employer 僱主名稱 | | Business Industry 公司行業 | | |
| Position 職位： | | Office Address 公司地址： | | |

c) Settlement Account Information 結算賬戶資料

The following bank account is the Settlement Account under and within the meaning in the Client Agreement and for the relevant settlement agreements. The Client hereby instructs and authorizes Huatai (Hong Kong) Futures to deposit all payments payable to the Client into the following bank account within reasonable time. Huatai (Hong Kong) Futures shall not be held liable for any loss, expenses or damages suffered by the Client as a result of any delay in depositing such payments caused by any reason whatsoever.

以下的銀行賬戶是客戶協議書中所提及的結算賬戶，並作有關之結算安排。客戶謹此指示及授權華泰（香港）期貨將所有應支付客戶之款項存入下列之銀行賬戶。華泰（香港）期貨會於合理時間內盡快為客戶存入款項到客戶指定的下列銀行賬戶。華泰（香港）期貨不會對延遲存入該款項而令客戶蒙受任何損失承擔任何法律責任。

| Bank Name 銀行名稱 | Please provide Bank location if it is not in HK 如非香港銀行，請提供銀行所在地 | Bank Account Name 銀行賬戶名稱 | Currency 幣種 | Bank Account No. 銀行賬戶號碼 |
|-------------------|---|-----------------------------|----------------|----------------------------|
| | | | | |
| | | | | |
| | | | | |
| | | | | |

d) Signing Instruction (Joint Account Only) 簽署指示（僅適用於聯名賬戶）

Each of the Joint Account Holders specified in Account Type Section is authorized to give verbal instruction and/or instruction through the Online Trading Services (where applicable) in relation to the transaction of Futures/Options contracts from time to time singly; and

“賬戶類別”欄中所列的每一聯名賬戶持有人均各自有權不時以口頭/或透過網上交易系統發出指令為該賬戶交易任何期貨/期權合約，及

- ☐ Either one joint Account Holder signs singly to validate any written instruction relating to the operation of the Account.
其中一名聯名賬戶持有人單獨簽署以作出任何就該賬戶運作之書面指示。
- ☐ All joint Account Holders sign jointly to validate any written instruction relating to the operation of the Account.
所有聯名賬戶持有人簽署以作出任何就該賬戶運作之書面指示。

2. Financial Profile 客戶財務狀況

| | | | | |
|--|--|--|--|---|
| Annual Income 每年收入（HK\$港幣） | | | | |
| <input type="checkbox"/> <\$250,000 | <input type="checkbox"/> \$250,000 ~ \$500,000 | <input type="checkbox"/> \$500,001 ~ \$1,000,000 | <input type="checkbox"/> > \$1,000,000 Please specify amount 請註明金額: _____ | |
| Total Value of Assets 資產總值（HK\$ 港幣）（Including liquid assets and fixed assets 包括流動資產及非流動資產）: | | | | |
| <input type="checkbox"/> <\$500,000 | <input type="checkbox"/> \$500,000 ~ \$2,500,000 | <input type="checkbox"/> \$2,500,001 ~ \$5,000,000 | <input type="checkbox"/> > \$5,000,000 Please specify amount 請註明金額: _____ | |
| Total Value of Liquid Assets 流動資產總值（HK\$港幣） Liquid Assets means cash or assets that can be converted into cash in a short time 流動資產指現金或可短期變現的資產 | | | | |
| <\$500,000 | <input type="checkbox"/> \$500,000 ~ \$2,500,000 | <input type="checkbox"/> \$2,500,001 ~ \$5,000,000 | <input type="checkbox"/> \$5,000,001 ~ \$8,000,000 | <input type="checkbox"/> >\$8,000,000 Please specify amount 請註明金額: _____ |
| Source of Wealth 財富來源 | | | | |

| | | | |
|--|--|---|---|
| <input type="checkbox"/> Salary 薪金收入 | <input type="checkbox"/> Return of Investments 投資回報 | <input type="checkbox"/> Savings 儲蓄 | <input type="checkbox"/> Pension 退休金 |
| <input type="checkbox"/> Business Income 營業收入 | <input type="checkbox"/> Sale/Lease of Property/Assets 出售/出租物業/資產 | <input type="checkbox"/> Others, please specify 其它，請註明 _____ | |

3. Client's Investment Experience, Objectives and the Knowledge on Derivatives 客戶投資經驗、目標及對衍生產品的認識

| | | | | |
|--|--|---|---|---|
| Client's Investment Objective 客戶投資目標: | | | | |
| <input type="checkbox"/> Long Term Capital Growth 長期資本增長 | | <input type="checkbox"/> Speculation 投機 | | |
| <input type="checkbox"/> Arbitrage 套利 | | <input type="checkbox"/> Hedging 對沖 | | |
| <input type="checkbox"/> Others, please specify 其它，請註明 _____ | | | | |
| Investment Products and Investment Experience 曾買賣產品及投資經驗: | | | | |
| <input type="checkbox"/> Shares 股票 | <input type="checkbox"/> < 1 year 少於一年 | <input type="checkbox"/> 1-3 years 一至三年 | <input type="checkbox"/> 3-5 years 三至五年 | <input type="checkbox"/> > 5 years 多於五年 |
| <input type="checkbox"/> CBBC 牛熊證 | <input type="checkbox"/> < 1 year 少於一年 | <input type="checkbox"/> 1-3 years 一至三年 | <input type="checkbox"/> 3-5 years 三至五年 | <input type="checkbox"/> > 5 years 多於五年 |
| <input type="checkbox"/> Warrants 衍生權證 (窩輪) | <input type="checkbox"/> < 1 year 少於一年 | <input type="checkbox"/> 1-3 years 一至三年 | <input type="checkbox"/> 3-5 years 三至五年 | <input type="checkbox"/> > 5 years 多於五年 |
| <input type="checkbox"/> Futures 期貨 | <input type="checkbox"/> < 1 year 少於一年 | <input type="checkbox"/> 1-3 years 一至三年 | <input type="checkbox"/> 3-5 years 三至五年 | <input type="checkbox"/> > 5 years 多於五年 |
| <input type="checkbox"/> Options 期權 | <input type="checkbox"/> < 1 year 少於一年 | <input type="checkbox"/> 1-3 years 一至三年 | <input type="checkbox"/> 3-5 years 三至五年 | <input type="checkbox"/> > 5 years 多於五年 |
| <input type="checkbox"/> Funds 基金 | <input type="checkbox"/> < 1 year 少於一年 | <input type="checkbox"/> 1-3 years 一至三年 | <input type="checkbox"/> 3-5 years 三至五年 | <input type="checkbox"/> > 5 years 多於五年 |
| <input type="checkbox"/> Bonds 債券 | <input type="checkbox"/> < 1 year 少於一年 | <input type="checkbox"/> 1-3 years 一至三年 | <input type="checkbox"/> 3-5 years 三至五年 | <input type="checkbox"/> > 5 years 多於五年 |
| <input type="checkbox"/> Others 其他: | <input type="checkbox"/> < 1 year 少於一年 | <input type="checkbox"/> 1-3 years 一至三年 | <input type="checkbox"/> 3-5 years 三至五年 | <input type="checkbox"/> > 5 years 多於五年 |
| Client's Knowledge on Derivative Products 客戶對衍生產品的認識: | | | | |
| <input type="checkbox"/> The Client underwent training or attended courses on derivative products; and/or 客戶曾接受有關衍生產品的培訓或修讀相關課程; 及/或 <input type="checkbox"/> The Client has current or previous work experience related to derivative products; and/or 客戶現時或過去擁有與衍生產品有關的工作經驗; 及/或 <input type="checkbox"/> 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. 客戶於過去3年曾執行5次或以上有關衍生產品的交易, 如: 衍生權證、牛熊證、股票期權、期貨及期權、商品、結構性產品及交易所買賣基金等。 The Client have the above experience and/or knowledge on derivative product(s). 客戶有上述一項或以上的衍生產品相關經驗及/或認識。 <input type="checkbox"/> The Client do not have the above experience and/or knowledge on derivative product(s), but the Client confirm that the Client fully read, agreed and understood the relevant risks of the derivative product(s). The Client understand that the Client has to acquire enough understanding on derivative product(s) before trading them and the Client fully accept all relevant risks. 客戶沒有上述經驗及/或認識, 但已細閱、同意及明白所有關於衍生產品的風險聲明, 客戶明白於買賣有關衍生產品前必須先具備足夠的認識, 並願意接受一切有關的風險。 Huatai (Hong Kong) Futures have assessed the Client based on the information provided above, and have notified the Client that it is compulsory to understand the derivative products before trading them. Huatai (Hong Kong) Futures have also warned the Client about the nature and risk of the derivative products. 華泰(香港)期貨已根據以上的資料對客戶進行評估, 並已通知客戶買賣有關衍生產品前必須先具備足夠的認識, 及提示客戶有關衍生產品之性質及風險。 | | | | |

4. Other Disclosures 其他資料披露

| |
|---|
| Are you an employee or agent of a SFC's licensed or registered corporate, or an employee or agent of exchange participant? 閣下是否證監會持牌法團/註冊機構、或交易所參與者的僱員或代理人? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (If yes, please specify 如果是, 請述明具體: _____) |
| Are you or is any of your relatives currently employed by Huatai (Hong Kong) Futures? 閣下或親屬是否現受僱於華泰(香港)期貨? |

| |
|---|
| <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (If yes, please specify Name & Relationship 如是, 請述明姓名及關係: _____) |
| <p>Is your spouse currently maintaining any Account with Huatai (Hong Kong) Futures? 閣下的配偶是否於華泰（香港）期貨持有任何賬戶？</p> <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (If yes, please specify 如是, 請述明賬號: _____) |
| <p>Are you, either alone or with your spouse, in control of 25% or more of the issued shares of any corporate client of Huatai (Hong Kong) Futures? 閣下是否單獨或與配偶共同控制任何華泰（香港）期貨的機構客戶25%以上的股權？</p> <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (If yes, please specify 如是, 請述明賬號: _____) |
| <p>Have you been arrested/tried/sentenced/disciplined for illegal activities or violating regulatory requirements? 閣下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？</p> <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (If yes, please specify 如是, 請述明具體: _____) |
| <p>Are you or your immediate family members politically exposed person ("PEP") or a person connected with PEP? (Politically Exposed Person – individual who is or has been entrusted with prominent public function e.g. head of state/government, senior politician, senior government, judicial or military official, senior executive of government-owned corporation, important political party official, etc.) 閣下或閣下的直系親屬是否政治人物或與其有關連之人士（政治人物指現時或曾經為主要公職人員的個人，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等）？</p> <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 (If yes, please specify 如是, 請述明具體: _____) |

5. Declaration and Client Signature 聲明及客戶簽署

| |
|--|
| <p>I/we hereby declare that (a) I am the person who is ultimately responsible for originating instructions, and (b) I am the ultimate beneficial owner of this Account who stands to gain the economic benefit and bear the economic risk of the transactions. 本人/吾等謹此聲明: (a) 本人是對所發出指示負有最終責任的人士 (b) 本人是將會從交易取得經濟利益及承擔其經濟風險的本賬戶最終受益人。</p> |
| <p>I/we hereby declare that 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 also undertake to notify Huatai (Hong Kong) Futures immediately (in any event, within 30 days) of any changes to the information given above. I/we understand that our submission of this form and the acceptance of this form by Huatai (Hong Kong) Futures in no way implies approval for opening of the Account for me/us and that Huatai (Hong Kong) Futures reserves the right to reject my/our application. 本人/吾等謹此聲明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/吾等清楚華泰（香港）期貨會要求本人/吾等提供更多相關的資料或證明文件。本人/吾等亦同意如上述資料有任何改變, 會立即（在任何情況下, 在 30 天內）通知華泰（香港）期貨。本人/吾等明白本人/吾等遞交此表格及閣下接納此表格, 並非表示華泰（香港）期貨同意開立賬戶予本人/吾等, 並清楚閣下保留拒絕本人/吾等開戶申請之權力。</p> |
| <p>Should I/we apply to open a Futures Trading Account with Huatai (Hong Kong) Futures, I/we agree to abide by the rules and regulations of The Hong Kong Futures Exchange Limited ("HKFE") or any other regulatory body(ies) as amended from time to time governing the purchase and sale of derivatives quoted on the HKFE or any other futures exchanges. 如本人/吾等向華泰（香港）期貨申請開立衍生工具買賣賬戶, 本人/吾等同意遵守香港期貨交易所及其他監管機構不時修訂以監管於香港期貨交易所或其他交易所進行衍生工具買賣之條例及規則。</p> |
| <p>I/we hereby acknowledge and confirm that the I/ we have authorized Huatai (Hong Kong) Futures to deal with my/our moneys, the collateral and the margin upon and in accordance with Section 14 Client Money Standing Authority ("Standing Authority") of the Client Agreement. I/we acknowledge and confirm that the contents and effects of the Standing Authority have been explained to me/us, and I/we fully understand the contents and effects of the Standing Authority. I/we acknowledge and confirm the Standing Authority is required to be renewed annually and I/we have the choice to reject the renewal. If no written objection is received by mail from me/us, it means that I/we accept the extension and would be bound by the renewed Standing Authority. 本人/吾等謹此知悉及確認, 已根據《客戶協議書》內第14段之客戶款項常設授權（“常設授權”）而授權華泰（香港）期貨處置本人/吾等的金錢、抵押品及保證金。本人/吾等知悉及確認常設授權的內容及作用已獲清楚解釋, 而本人/吾等亦完全明白常設授權的內容及作用。客戶知悉及確認適用常設授權每年需延續一次。本人/吾等已授權華泰（香港）期貨每年替本人/吾等自動延續上述授權, 本人/吾等可提出反對。如華泰（香港）期貨未收到本人/吾等書面反對, 則表示本人/吾等同意及接受延續適用常設授權並繼續受其約束。</p> |
| <p>I/we hereby confirms and declares that I/we have read the terms and conditions of the Agreement (in particular, the Risk Disclosure Statement) and I/we understand and agree to be bound by its provision and have been invited to ask questions about the relevant laws and regulations, commission and fees schedules as well as the Risk Disclosure Statement and other documents in in the Agreement. I am/we are satisfied with the explanations and clarifications provided to me/us. I /we hereby declare that I am/we are willing and capable of fulfilling the duties and obligations as specified in the Client Agreement. 本人/吾等已經閱讀及明白客戶協議書之條款及條件（尤其是風險披露聲明）, 本人/吾等接納並同意受該等條款及條件之約束并已接受華泰（香港）期貨的提醒, 可以詢問相關法律法規、佣金費用和有關客戶協議書的風險披露聲明及其他文件等問題。本人/吾等充分理解貴公司對相關問題的解釋和說明, 本人/吾等有能力並願意履行承擔客戶協議書規定的權利和義務。</p> |
| <p>DIRECT MARKETING CONSENT 直接促銷同意書 Huatai (Hong Kong) Futures together with its Affiliates (collectively referred to hereinafter as the "Group") intends to use the Client's data in direct marketing, please tick the following:</p> |

華泰（香港）期貨及其聯屬人（統稱為“集團”）擬使用客戶的資料作直接行銷，請在下列選項中勾選：

- ☐ I/we hereby consent to Huatai (Hong Kong) Futures together with its Group and relevant third parties using and disclosing the personal data provided in the Account Opening Form for the purposes of marketing and promoting products and/or services from Huatai (Hong Kong) Futures or any member of its Group.
本人/吾等特此同意華泰（香港）期貨及其集團、相關第三方，為行銷或推廣華泰（香港）期貨或任何其集團成員之產品及/或服務的目的而使用及披露本開戶表格中所的個人資料。
- ☐ I/we do not wish to receive information of products and/or services from Huatai (Hong Kong) Futures or any member of its Group.
本人/吾等不希望獲收華泰（香港）期貨或任何其集團成員之產品及/或服務的資訊。

RECEIPT OF ONLINE TRADE EXECUTION NOTIFICATION 收取互聯網交易執行通知

I/We hereby request that I/we shall

- ☐ NOT Receive ☐ Receive

online trade execution notifications. If I/We select to not receive such notification, I / We confirm that I / we understand and accept the Risks Involved in Not Receiving "Online Trade Execution" Notifications in the Risk Disclosure Statement in the Client Agreement and I / We will inform Huatai (Hong Kong) Futures in writing should I wish to receive online trade execution notification in the future.

本人 / 吾等謹此要求

- ☐ 不收取 ☐ 收取

互聯網執行交易通知。如本人 / 吾等選擇不收取該等通知，本人 / 吾等確認已詳細閱讀並知悉及同意《客戶協議書》內風險披露聲明中不收取“執行交易”通知所涉及的風險之部分，並且如本人 / 吾等於將來決定收取互聯網執行交易通知，會以書面方式通知華泰（香港）期貨。

Client's Signature

客戶簽署：

Date

日期：

SIGNED by Witness 見證人簽署

SIGNED and DECLARED by Licensed Representative 持牌代表聲明及簽署

I, the undersigned, have witnessed the signature and inspected the original identity documents of the above named Client.

本人已見證簽署及驗證上述客戶之簽署及有關其身分證明文件之正本。

I have provided and explained the Risk Disclosure Statement in the Client Agreement to the Client, and have invited the Client to read its contents carefully and advised the Client to raise questions regarding its contents and seek independent legal advice according to his/her/their wishes.

本人已向客戶提供及解釋客戶協議書內風險披露聲明，並已邀請客戶仔細閱讀其內容及建議客戶就其內容提出問題及按其意願尋求獨立法律意見。

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 Registration No. 見證人專業資格登記號

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

Date 日期

Date 日期