For Official Use Only 內部使用
Account No. 帳戶號碼 :
A.E. Name 客戶主任姓名:
A/C Opening Date 開戶日期 :

Account Opening Form

開 戶 表 格

寶新證券有限公司
GLORY SUN SECURITIES LIMITED

18/F, Wing On Centre, 111 Connaught Road Central, Hong Kong
香 港 干 諾 道 中 111號 永 安 中 心 18 樓
Tel 電話: (852) 2813 6828 Fax 傳真: (852) 2813 6618
Website 網址 : hk1282sec.com
(寶新金融集團成員)
(Member of Glory Sun Financial Group Limited)

Account Opening Form 開戶表格

1. For All Clients 所有客户必須填寫

Language Preference 語言選擇	☑ English 英文	☐ Traditional Chinese 繁體中文	☐ Simplified Chinese 簡體中文
Account Type 帳戶類型	☐ Individual Account 個人帳戶	☐ Joint Account 聯名帳戶	☐ Corporate Account 公司帳戶

☐ Dealing in Securities 證券交易	☐ Cash Account 現金帳戶 ☐ Margin Account 保證金帳戶 ☐ Stock Options Account 股票期權帳戶	☐ Internet Trading 互聯網交易# ☐ Discretionary Trading (please complete **Appendix I**) 全權委託交易 (請填寫**附件I**)
☐ Dealing in Futures Contracts 期貨交易	☐ Internet Trading 互聯網交易# ☐ Discretionary Trading (please complete **Appendix I**) 全權委託交易 (請填寫**附件I**)	
☐ Asset Management (please complete **Appendix I**) 資產管理 (請填寫**附件I**)		

For internet trading please provide valid email address 如透過互聯網交易請提供有效電子郵箱

2. For Individual / First Account Holder Only 只供個人 / 第一帳戶持有人

(1) Name (In English): Mr./Mrs./Ms. ______ 姓名(中文)： ______ 先生／女士／小姐

(2) ID Card / Passport No. 身份證 / 護照號碼: ______ Nationality 國籍: ______

(3) Place of Birth *(Town / City / Country)* 出生地點*(鎮/城市/國家)* : ______

(4) Home Address 住宅地址: ______

(5) Correspondence Address: 通訊地址: ______

(6) Home Phone No. 住所電話: ______ Mobile Phone No. 手提電話: ______

(7) Education Level 教育程度: ☐ Primary 小學 ☐ Secondary 中學 ☐ Post Secondary 專上學院 ☐ University or above 大學或以上

(8) Email Address 電郵地址: ______

<u>Employment Status 就業情況</u>

☐ Employed 受僱* ☐ Self-employed 自僱* ☐ Retired 退休 ☑ Others 其他: ______

*If chosen Employed / Self-employed in Employment Status, please fill in the following information 如就業情況選擇受僱/自僱, 請填寫以下資料:

(1) Name of Employer 僱主名稱: ______

(2) Nature of Business 業務性質: ______ Occupation / Position 職業/職位: ______

(3) Years of Service 從業年期: ______ Office Phone No. 辦公室電話: ______

(4) Business Address 營業地址: ______

<u>Financial Background 財務背景:</u>

(1) Annual Income : 年收入: ☐ <HK$ 100,000 ☐ HK$ 100,000 – HK$ 300,000 ☐ HK$ 300,001 – HK$ 500,000 ☐ HK$ 500,001 – HK$ 1,000,000 ☐ > HK$ 1,000,000

(2) Total Net Worth#: 資產淨值#： ☐ <HK$ 100,000 ☐ HK$ 100,000 – HK$ 500,000 ☐ HK$ 500,001 – HK$ 2,000,000 ☐ HK$ 2,000,001 – HK$ 8,000,000 ☐ > HK$ 8,000,000

#Total net worth includes deposit, bonds, certificates of deposit, unit trusts and securities etc. 資產淨值包括存款、債券、存款證、基金、股票等.

(3) Source of Fund 資金來源 (Can choose more than one categories 可選多於一項)

☐ Salary 薪金 ☐ Investment Profit 投資利潤 ☐ Business Profit 商業利潤 ☐ Inheritance 遺產繼承 ☐ Pension 退休金
☐ Sale of Assets or Property 出售資產 / 物業 ☐ Others 其他: ______

(4) Ownership of Property Asset 房產業權:

☐ Yes 擁有 – 房產淨市值 (港元)## Net market value (HKD)##
☐ < HK$ 500,000 ☐ HK$ 500,000 – HK$ 1,000,000 ☐ HK$ 1,000,001 – HK$ 5,000,000 ☐ > HK$ 5,000,000
☐ No 沒擁有.

Property's net market value after deduction of mortage loan amount 房產市值減去按揭貸款金額的淨價值

(5) Have you ever been bankrupt, or served with a bankruptcy petition? 你是否曾經破產或被送達要將你破產的申請?

☐ Yes 是 ☐ No 否

Should there be any discrepancies between the English and the Chinese versions, the English version shall prevail.
如中英文版本之間有差異，以英文版本為準。
(Ref: Account opening form Ver. Mar. 2020)

3. For Joint Account Only 聯名帳戶適用

(1) Name (In English): Mr./Mrs./Ms. ______ 姓名(中文)： ______ 先生／女士／小姐

(2) ID Card / Passport No. 身份證 / 護照號碼: ______ Nationality 國籍: ______

(3) Place of Birth *(Town / City / Country)* 出生地點*(鎮/城市/國家)* : ______

(4) Home Address 住宅地址: ______

(5) Correspondence Address: 通訊地址 ______

(6) Home Phone No. 住所電話: ______ Mobile Phone No. 手提電話: ______

(7) Education Level 教育程度: ☐ Primary 小學 ☐ Secondary 中學 ☐ Post Secondary 專上學院 ☐ University or above 大學或以上

(8) Email Address 電郵地址: ______

(9) Relationship with First Account Holder 與第一帳戶持有人關係: ☐ Relative 親戚 ☐ Friend 朋友 ☐ Others 其他 ______

☐ Immediate family member, please specify 直系親屬, 請註明: ______

Employment Status 就業情況

☐ Employed 受僱* ☐ Self-employed 自僱* ☐ Retired 退休 ☐ Others 其他: ______

*If chosen Employed / Self-employed in Employment Status, please fill in the following information 如就業情況選擇受僱/自僱, 請填寫以下資料:

(1) Name of Employer 僱主名稱 ______

(2) Nature of Business 業務性質 ______ Occupation / Position 職業/職位: ______

(3) Years of Service 從業年期: ______ Office Phone No. 辦公室電話: ______

(4) Business Address 營業地址: ______

Financial Background 財務背景:

(1) Annual Income : 年收入: ☐ <HK$ 100,000 ☐ HK$ 100,000 – HK$ 300,000 ☐ HK$ 300,001 – HK$ 500,000 ☐ HK$ 500,001 – HK$ 1,000,000 ☐ > HK$ 1,000,000

(2) Total Net Worth#: 資產淨值#： ☐ <HK$ 100,000 ☐ HK$ 100,000 – HK$ 500,000 ☐ HK$ 500,001 – HK$ 2,000,000 ☐ HK$ 2,000,001 – HK$ 8,000,000 ☐ > HK$ 8,000,000

Total net worth includes deposit, bonds, certificates of deposit, unit trusts and securities etc. 資產淨值包括存款、債券、存款證、基金、股票等.

(3) Source of Fund 資金來源 (Can choose more than one categories 可選多於一項)

☐ Salary 薪金 ☐ Investment Profit 投資利潤 ☐ Business Profit 商業利潤 ☐ Inheritance 遺產繼承 ☐ Pension 退休金

☐ Sale of Assets or Property 出售資產 / 物業 ☐ Others 其他: ______

(4) Ownership of Property Asset 房產業權:

☐ Yes 擁有 – 房產淨市值 (港元)## Net market value (HKD)##

☐ < HK$ 500,000 ☐ HK$ 500,000 – HK$ 1,000,000 ☐ HK$ 1,000,001 – HK$ 5,000,000 ☐ > HK$ 5,000,000

☐ No 沒擁有.

Property's net market value after deduction of mortage loan amount 房產市值減去按揭貸款金額的淨價值

(5) Have you ever been bankrupt, or served with a bankruptcy petition? 你是否曾經破產或被送達要將你破產的申請?

☐ Yes 是 ☐ No 否

4. Account Operation 帳戶操作 (For Joint Acccount Only 適用於聯名帳戶)

Required number of signatory for written directions in relation to operation of the account: 就帳戶運作之書面指示所需簽字人：

☐ Anyone 任何一位 ☐ All Required 全部 ☐ Others 其他: ______

Note: Each of the joint account holders is authorized to give verbal instructions and/or instructions through electronic media in relation to trading.
注意: 每一聯名帳戶持有人均有權為買賣發出口頭指示或透過電子媒介發出指示。

5. Method of Account Statement Delivery 帳戶結單發送方式 (For Individual / Joint Account 個人/聯名帳戶)

Daily and monthly statement to be sent to 日結單及月結單透過以下方式發送:

☐ By E-mail 電子郵箱 ☐ Home address by post 郵寄到住宅地址* ☐ Business address by post 郵寄到營業地址*

* Note: 注意:

1. For joint account, all correspondences will be sent to the mailing address of the **first account holder**.
   聯名帳戶的所有通訊只會寄予**第一帳戶持有人**之郵寄地址。
2. A montly administration fee will be charged if you have chosen account statement delivery by post. For details of fee/charges, please refer to our website: www.hk1282sec.com
   如閣下選擇以郵寄方式收取結單，本公司將向閣下收取每月行政費用，收費詳情請參閱本公司網頁: www.hk1282sec.com。

6. For Individual / Joint Account 個人/聯名帳戶

Ultimate Beneficial Owner(s) 最終實益擁有人

I/We am/are the ultimate beneficial owner(s) of the account. 本人/吾等是該帳戶之最終實益擁有人。	☐ Yes 是 ☐ No#, please specify: 否#, 請註明: Name of ultimate beneficiary 最終實益擁有人姓名: ______ HKID / Passport no. 身份證／護照號碼: ______ Home Address 住宅地址: ______ ______

Person(s) Ultimately Responsible for Originating the Instruction 最初負責發出交易指示人士

I/We am/are the person(s) ultimately responsible for originating the instruction in relation to the transaction of the account. 本人/吾等是該帳戶之最初負責發出交易指示的人士。	☐ Yes 是 ☐ No#, please specify: 否#, 請註明: Name of the person ultimately responsible for originating the instruction 最初負責發出交易指示人士的姓名: ______ HKID / Passport no. 身份證／護照號碼: ______ Home Address 住宅地址: ______
# If the answer above is NO, please answer: # 如上述回答否，請回答:	Is/are the person(s) stated above a U.S. citizen or resident? 上述提及的人士是否美國公民或居民? ☐ No 否 ☐ Yes 是 Name of the person(s) 該人士姓名: ______ Is/are the person(s) stated above born in U.S.? 上述提及的人士是否在美國出生? ☐ No 否 ☐ Yes 是 Name of the person(s) 該人士姓名: ______

7. For Individual / Joint Account 個人/聯名帳戶

Disclosure of Related Identity 相關身份披露

	First A/C Holder 第一帳戶持有人	Second A/C Holder 第二帳戶持有人
(1) Is the Client a Licensed or Registered Person or a director, employee, representative or agent of a Licensed or Registered Person of the Hong Kong Securities and Futures Commission? 客戶是否香港證券及期貨事務監察委員會的持牌或註冊人士，或任何持牌或註冊人士的董事、員工、代表或代理人？ *(If yes, please provide the written consent from the Employer for this account opening.* *如回答是，請提供就開立本帳戶之僱主同意書。)*	☐ No 否 ☐ Yes 是 Name of Licensed or Registered Person 持牌或註冊人士姓名: ______ CE No. 中央編號: ______	☐ No 否 ☐ Yes 是 Name of Licensed or Registered Person 持牌或註冊人士姓名: ______ CE No. 中央編號: ______
(2) Is the Client, the ultimate beneficial owner(s) of the account and/or the ultimate person(s) responsible for giving instructions for the account, an immediate family member(s) of any director or employee of Glory Sun Securities Limited, Glory Sun Financial Group Limited or its group companies? 客戶、本帳戶之最終實益擁有人及／或最終負責發出指示人士，是否寶新證券有限公司, 寶新金融集團有限公司或其有聯繫公司之董事／員工的直系家庭成員？	☐ No 否 ☐ Yes 是 Name of director / employee 該董事／員工之姓名: ______ Relationship 關係: ______	☐ No 否 ☐ Yes 是 Name of director / employee 該董事／員工之姓名: ______ Relationship 關係: ______
(3) Is the spouse of the Client a margin client of Glory Sun Securities Limited? 客戶的配偶是否寶新證券有限公司的保證金客戶?	☐ No 否 ☐ Yes 是 Name of margin client 保證金客戶姓名: ______ Account no. 帳戶號碼: ______	☐ No 否 ☐ Yes 是 Name of margin client 保證金客戶姓名: ______ Account no. 帳戶號碼: ______
(4) Is the Client and/or his/her spouse controlling 35% or above of the shareholding or voting rights of another margin client of Glory Sun Securities Limited ? 客戶及／或其配偶，是否於寶新證券有限公司的另一位保證金客戶中控制其百分之三十五或以上股權或表決權？	☐ No 否 ☐ Yes 是 Name of margin client 保證金客戶姓名: ______ Account no. 帳戶號碼: ______	☐ No 否 ☐ Yes 是 Name of margin client 保證金客戶姓名: ______ Account no. 帳戶號碼: ______

8. For Corporate Account Only 只供公司帳戶

(1) Company Name (In English) : ______________________

公司名稱(中文) : ______________________

(2) Trading Name 營業名稱 : *(if different from company name 如與公司名稱不同)* ______________________

(3) Company Incorporation No. 公司註冊號: ____________ Place of Incorporation 公司註冊地: ____________

(4) Business Registration No. 商業登記號: ____________ Nature of Business 業務性質: ____________

(5) Registered Address 註冊地址: ______________________

Principal Business Address 主要營業地址: *(if different from registered address 如與註冊地址不同)*

____

Correspondence Address 通訊地址: *(if different from principal business address 如與註冊主要營業地址不同)*

____

(6) Phone No. 電話號碼: ____________ Fax No. 傳真號碼: ____________

(7) Email Address 電郵地址: ______________________

** If more than one email address are provided, password for internet trading will only be sent to the first email address*
如提供多於一個電郵地址，網上交易密碼只會發送到第一個電郵地址。

(8) Process Agent *(For Overseas Client)* 法律程序代理人（如屬海外客戶）: ____________

(9) Daily and monthly statement to be sent to 日結單及月結單透過以下方式發送 :

☐ By post to registered address 郵寄至註冊地址
☐ By post to principal business address 郵寄至主要營業地址
☐ By post to correspondence address 郵寄至通訊地址
☐ By E-mail 電子郵箱

Financial Background 財務背景

(10) Authorized Share Captial 註冊資本 (HK$): ____________ Paid-up Share Capital 實繳資本 (HK$): ____________

(11) Profit After Tax 稅後盈利:
☐ <HK$100,000 ☐ HK$100,000 – HK$300,000 ☐ HK$300,001 – HK$500,000
☐ HK$500,001 – HK$1,000,000 ☐ >HK$1,000,000

(12) Total Net Asset 資產淨值:
☐ <HK$100,000 ☐ HK$100,000 – HK$500,000 ☐ HK$500,001 – HK$2,000,000
☐ HK$2,000,001 – HK$8,000,000 ☐ HK$8,000,001 – HK$40,000,000 ☐ >HK$40,000,000

(13) Source of Fund (Describe the activity from which, the Client's monies are derived) 資金來源（說明投資資金從哪類活動獲得）

☐ Investment Income 投資收入 ☐ Business Profit 營業溢利 ☐ Shareholder Fund 股東資金
☐ Dividend 股息 / Interest 利息 ☐ Loan 貸款 ☐ Others 其他: ____________

Account Operation Authorization 帳戶操作授權

☐ Any written instructions (if applicable, together with company chop) given by any _______ of the following person(s) sign **singly/jointly*** shall be valid for operating the account and not limited to giving payment instructions.
任何下列 _______ 名獲授權人士有權**單獨/聯名***簽署操作有關該帳戶之書面指示，包括但不限於付款及交付指示，並在需要時加蓋公司印章。

** Please delete as appropriate. 請刪去不適用者。*

Name of Authorized Person 獲授權人士姓名	ID / Passport No. 身分證/ 護照號碼	Contact Phone No. 聯絡電話	Signature Specimen 簽名樣式

Note: Unless otherwise indicated, each of the authorized person is authorized to give verbal instructions and/or instructions through electronic media in relation to trading.
注意：除非另有指示, 每一獲授權人士均有權為買賣發出口頭指示或透過電子媒介發出指示。

Specimen of Company Chop 公司印章樣式 :

All Directors 所有董事

Name of Director 董事姓名	ID/Passport No 身份證/護照號碼	Address 地址

Ultimate Beneficial Owner(s)* (not applicable to listed company) 最終實益擁有人*（不適用於上市公司）

Beneficial 最終實益擁有人	ID/Passport No 身份證/護照號碼	% of Interest 權益百分比	Address 地址

*The individuals who hold more than 25% of the ultimate beneficial interest of the Company *擁有百分之二十五以上的公司最終權益擁有人

9. For Corporate Account Only 適用於公司帳戶

Disclosure of Related Identity 相關身份披露

(1) Is the Company, any of the Company's directors/major shareholders/authorized signatories and/or the ultimate beneficial owners of the account, a Licensed or Registered Person or a director, employee representative or agent of a Licensed or Registered Person of the Hong Kong Securities and Futures Commission?
貴公司、其任何一位董事／主要股東／授權簽字人／帳戶最終實益擁有人，是否香港證券及期貨事務監察委員會的持牌或註冊人士，或任何持牌或註冊人士的董事、員工代表或代理人？

☐ No 否 ☐ Yes Name of Licensed or Registered Person 持牌或註冊人士姓名: ____________ CE No. 中央編號____________

(If yes, please provide the written consent from the Employer for this account opening. 如回答是，請提供就開立本帳戶之僱主同意書。)

(2) Is any of the Company's directors/major shareholders/authorized signatories and/or the ultimate beneficial owner(s) of the account, an immediate family member(s) of any director or employee of Glory Sun Securities Limited, Glory Sun Financial Group Limited or its associated companies?
貴公司任何一位董事／主要股東／授權簽字人／帳戶最終實益擁有人，是否寶新證券有限公司、 寶新金融集團有限公司或其有聯繫公司之董事 ／員工的直系家庭成員？

☐ No 否 ☐ Yes Name of director / employee 該董事／員工之姓名: ____________ Relationship 關係:____________

(3) Is any of the Company's directors/major shareholders/authorized signatories/associated companies a margin client of Glory Sun Securities Limited? 貴公司任何一位董事／主要股東／授權簽字人／有聯繫公司，是否寶新證券有限公司的保證金客戶?

☐ No 否 ☐ Yes Name of margin client 保證金客戶姓名: ____________ Account no. 帳戶號碼: ____________

(4) Is the Company or any of its directors/major shareholders/authorized signatories controlling 35% or above of the shareholding or voting rights of another margin client of Glory Sun Securities Limited？ 貴公司、其任何一位董事／主要股東／授權簽字人，是否於寶新證券有限公司的另一位保證金客戶中控制其百分之三十五或以上股權或表決權？

☐ No 否 ☐ Yes Name of margin client 保證金客戶姓名: ____________ Account no. 帳戶號碼: ____________

10. For All Clients 所有客戶必須填寫

Bank Account Information 銀行帳戶資料

Currency 貨幣	Bank Name 銀行名稱	Bank A/C No. 帳戶號碼	Bank A/C Name 銀行帳戶名稱

Investor Settlement Instruction 投資者交收指示
Please receive and/or deliver my/our stock(s) from below CCASS Participant account 請從以下中央結算系統參與者帳戶接收/交付本人/吾等之股票
CCASS Participant ID* 中央結算系統參與者編號*: ______________________
* The name of CCASS Participant must be exactly the same as the account name with GSSL 中央結算系統參與者名稱必須與閣下在寶新開立的帳戶名稱相同。

11. For All Clients 所有客户必須填寫

Investment Experience & Derivative Products Knowledge 投資經驗及衍生產品認識

For Corporate Account: Please complete this part by the ultimate person(s) who control(s) the account or make(s) investment decision
公司客户: 請由負責掌管帳戶或作出投資決策的最終控制者填寫此部份

	Corporate / First Account Holder 公司 / 第一帳戶持有人	**Second Account Holder 第二帳戶持有人**
(1) Investment Objectives (Select one only) 投資目的 (只選一項)	☐ Capital appreciation 增值 ☐ Capital preservation 保本 ☐ Current income 收入 ☐ Others 其他: ______	☐ Capital appreciation 增值 ☐ Capital preservation 保本 ☐ Current income 收入 ☐ Others 其他: ______
(2) Investment Horizon 投資年期:	☐ Below 1 year 少於一年 ☐ 1-3 years 一至三年 ☐ Above 3 years 三年以上	☐ Below 1 year 少於一年 ☐ 1-3 years 一至三年 ☐ Above 3 years 三年以上
(3) Knowledge of Structured and Derivative Products# 對結構性及衍生產品之認識#	☐ I have **NO** knowledge of structured and / or derivative products. 本人並未有結構性及/ 或衍生產品之認識。 ☐ I understand the nature and risks of structured and / or derivative products through## 本人了解結構性及/或衍生產品的性質和風險## ☐ Underwent relevant training or attended courses on structured and/or derivative products . 曾接受有關結構性及/或衍生產品的培訓或修讀有關課程 ☐ Current or previous work experience related to structured and/or derivative products 現時或過去擁有與結構性及/或衍生產品有關的工作經驗 ☐ Executed five or more transactions within the past three years in structured and/or derivative products (whether traded on an exchange or not) 於過去3年曾執行5次或以上有關結構性及/或衍生產品的交易 (不論是否在交易所買賣)	☐ I have **NO** knowledge of structured and / or derivative products. 本人並未有結構性及/ 或衍生產品之認識。 ☐ I understand the nature and risks of structured and / or derivative products through## 本人了解結構性及/或衍生產品的性質和風險## ☐ Underwent relevant training or attended courses on structured and/or derivative products . 曾接受有關結構性及/或衍生產品的培訓或修讀有關課程 ☐ Current or previous work experience related to structured and/or derivative products 現時或過去擁有與結構性及/或衍生產品有關的工作經驗 ☐ Executed five or more transactions within the past three years in structured and/or derivative products (whether traded on an exchange or not) 於過去3年曾執行5次或以上有關結構性及/或衍生產品的交易 (不論是否在交易所買賣)

Structured and/or Derivative product(s) includes, but not limited to, Callable Bull / Bear Contracts, Derivative Warrants, Equity Linked Instruments / Notes, Exchange Traded Convertible Bonds, Futures and Options and Stock Options, etc.
結構性及/或衍生產品包括 (但不限於) 牛熊證, 衍生認股證, 股票掛鈎產品, 交易所買賣換股債券, 期貨及期權與股票期權等。

For clients do not have any of above mentioned knowledge and experience, such clients will be considered as without knowledge of structured and/or derivatives product(s). Before trading in structured and/or derivative product(s), the attention of the Client is drawn to the risks associated with structured and/or derivative product(s) (as described in the Risk Disclosure Statement).
如客戶沒有以上任何一項經驗及認識, 客戶將被視作沒有結構性及/或衍生產品認識。在客戶買賣結構性及/或衍生產品之前, 客戶需要留意結構性及/或衍生產品交易有關風險(如風險披露聲明所述) 。

(4) Investment Experience 投資經驗:	**Year of experience 投資年資**	
Stocks 股票	☐ Nil 沒有 ☐ <1 ☐ 1 – 2 ☐ >2	☐ Nil 沒有 ☐ <1 ☐ 1 – 2 ☐ >2
Warrants 認股證	☐ Nil 沒有 ☐ <1 ☐ 1 – 2 ☐ >2	☐ Nil 沒有 ☐ <1 ☐ 1 – 2 ☐ >2
Options 期權	☐ Nil 沒有 ☐ <1 ☐ 1 – 2 ☐ >2	☐ Nil 沒有 ☐ <1 ☐ 1 – 2 ☐ >2
Futures contracts 期貨	☐ Nil 沒有 ☐ <1 ☐ 1 – 2 ☐ >2	☐ Nil 沒有 ☐ <1 ☐ 1 – 2 ☐ >2
Unit trusts / mutual funds 單位信託基金/互惠基金	☐ Nil 沒有 ☐ <1 ☐ 1 – 2 ☐ >2	☐ Nil 沒有 ☐ <1 ☐ 1 – 2 ☐ >2
Other investment products (please specify) 其他投資產品 (請說明): ______	☐ Nil 沒有 ☐ <1 ☐ 1 – 2 ☐ >2	☐ Nil 沒有 ☐ <1 ☐ 1 – 2 ☐ >2

(5) Frequency of trades 交易頻率:	Per Annum每年	
Stocks 股票	☐ <10 ☐ 10 – 40 ☐ >40	☐ <10 ☐ 10 – 40 ☐ >40
Warrants 認股證	☐ <10 ☐ 10 – 40 ☐ >40	☐ <10 ☐ 10 – 40 ☐ >40
Options 期權	☐ <10 ☐ 10 – 40 ☑ >40	☐ <10 ☐ 10 – 40 ☐ >40
Futures contracts 期貨	☐ <10 ☐ 10 – 40 ☐ >40	☐ <10 ☐ 10 – 40 ☐ >40
Unit trusts / mutual funds 單位信託基金/互惠基金	☐ <10 ☐ 10 – 40 ☐ >40	☐ <10 ☐ 10 – 40 ☐ >40
Other investment products (please specify) 其他投資產品 (請說明): ____________	☐ <10 ☐ 10 – 40 ☐ >40	☐ <10 ☐ 10 – 40 ☐ >40

12. Other Information 其他資料

How did you learn about Glory Sun Securities Limited ? 閣下是從何處認識寶新證券有限公司?

☐ Referral 親友轉介 ☐ Seminars 講座 ☐ Advertisement 廣告 ☐ Websites 網站 ☐ Others 其他 ____________

13. For All Clients 所有客戶必須填寫

Declaration of Collection and Use of Personal Data for Direct Marketing
收集及使用個人資料用於直接促銷聲明

I/We hereby acknowledge and confirm that the Notice of Collection and Use of Personal Data for Direct Marketing under the Personal Data (Privacy) Ordinance have been provided and explained to me/us in a language (English or Chinese) of my/our choice and I/we have been invited to read it carefully, ask questions and seek independent advice if I/we so wish. I/We also confirm that I/we have retained a copy thereof for my/our reference. By signing below, I/we hereby:-
本人／吾等謹此承認並確定本人／吾等已獲得按照本人／吾等所選語言（中文或英文）的個人資料（私隱）條例有關收集及使用個人資料用於直接促銷的通知並獲得其解釋，以及本人／吾等已獲邀請細閱該通知，提出問題及如有意願，徵求獨立意見。本人／吾等確認已經保留該通知副本乙份，以作備考之用。以下之簽名證明本人／吾等：

☐ **Agree 同意** ☐ **Do Not Agree 不同意**

to the proposed use of my/our personal data for direct marketing as stipulated in the said Notice.
本人／吾等的個人資料被使用作該通知列明的直接促銷用途。

Declaration of Collection and Use of Personal Data Concerning Northbound China Connect Orders
收集及使用個人資料用於中華通北向交易聲明

I/We hereby acknowledge that I/we have read and understand the content of the Personal Information Collection Statement Concerning Northbound China Connect Orders. By ticking the box and signing below, I/we:
本人/吾等確認本人/吾等已閱讀並了解個人資料收集用於中華通北向交易的內容。通過勾選以下的方框及簽署，本人/吾等：

☐ **Agree 同意** ☐ **Do Not Agree 不同意***

GSSL to use of my/our personal data for the purposes set out in the Personal Information Collection Statement.
寶新將本人/吾等之個人資料用於個人資料收集聲明所載的目的。

***Consequences of failing to provide Personal Data or Consent 客戶未能提供個人資料或客戶同意書的後果**

Failure to provide us with your personal data or consent as described above may mean that GSSL will not, or no longer be able, as the case may be, to carry out your trading instructions or provide you with our Stock Connect Northbound Trading Service.
如閣下未能向寶新提供個人資料或作出上述同意，意味著寶新將不能或不能再執行閣下的交易指示 (視情況而定)或向閣下提供滬港通及深港通北向交易服務。

Client Signature & Chop *(for corporate)*:
客戶簽署及印章*(如屬公司)*: ______________________________

Date
日期: ____________

14. For All Clients 所有客戶必須填寫

Declaration of US / Non-US Person Status 美國/非美國人士狀況聲明

Corporate / First Account Holder 公司 / 第一帳戶持有人	Second Account Holder 第二帳戶持有人
☐ Yes, I/we hereby confirm that I am/we are the "U.S. Person" as defined by the Internal Revenue Service ("IRS") of the United States of America. **(Please complete W-9 Form)** 是，本人/吾等確認為美國國家稅務局定義之「美國人士」。**(請填寫W-9表格)**	☐ Yes, I/we hereby confirm that I am/we are the "U.S. Person" as defined by the Internal Revenue Service ("IRS") of the United States of America. **(Please complete W-9 Form)** 是，本人/吾等確認為美國國家稅務局定義之「美國人士」。**(請填寫W-9表格)**
☐ No, I/we hereby represent and warrant my/our identity as not being a "U.S. Person" as defined by the Internal Revenue Service ("IRS") of the United States of America. 否，本人／吾等確認及保證本人／吾等並非美國國家稅務局定義之「美國人士」。	☐ No, I/we hereby represent and warrant my/our identity as not being a "U.S. Person" as defined by the Internal Revenue Service ("IRS") of the United States of America. 否，本人／吾等確認及保證本人／吾等並非美國國家稅務局定義之「美國人士」。

If circumstances arise which cause doubt to my/our identity as not being a "*U.S. Person*", I/we undertake to notify Glory Sun Securities Limited ("GSSL") and to submit to GSSL such relevant documents and information within 30 days of the occurrence of such circumstances for the purpose of verifying my/our identity as not being a "*U.S. Person*". In case of change of my/our identity to a "*U.S. Person*", I/we undertake to notify GSSL and to submit to GSSL such relevant documents and information including but not limited to a completed IRS Form W-9 within 30 days of the occurrence of such change.
如情況變更以致影響本人非美國人士身份的確定性，本人／吾等承諾將於 30 天內通知寶新證券有限公司（「寶新」），並同意向寶新提供與該身份相關的證明文件，以確認本人／吾等並非美國國家稅務局定義之美國人士。如本人／吾等的身份改變為美國人士，本人／吾等承諾將於發生該變改起計的 30 天內通知寶新，並同意向寶新提供填妥之美國國家稅務局 W-9 表格及任何其他寶新要求與該身份相關的證明文件。

I/We hereby agree that GSSL takes no responsibility of whatever nature in relation to my/our tax matters and/or any legal /tax advice provided to me/us by any third party.
本人／吾等確認及同意寶新對本人／吾等之任何稅務或任何由第三方向本人／吾等所提供之法律或稅務意見均無任何責任。

Client Signature & Chop *(for corporate)*:
客戶簽署及印章*(如屬公司)*: ____________________

Date
日期: ____________

15. For All Clients 所有客戶必須填寫

Client's Acknowledgement and Agreement
客戶確認及同意

I/we hereby request Glory Sun Securities Limited ("GSSL") to open the following account(s) ("the Account"):
本人／吾等謹此向寶新證券有限公司（「寶新」）申請開立以下帳戶（下稱「帳戶」）：

☐ a cash account for dealing in securities 證券交易現金帳戶
☐ a margin account for dealing in securities 證券交易保證金帳戶
☐ an options account for dealing in securities 證券交易期權帳戶
☐ an account for dealing in futures contracts 期貨交易帳戶
☐ an account for asset management 資產管理帳戶

(1) I/We hereby acknowledge and agree to all the terms and conditions of the Client Agreement and to abide by the Client Agreement (including the General Terms and Conditions and the applicable Additional Terms and Conditions), the Securities and Futures Ordinance and the subsidiary legislations, rules, guidelines and codes made thereunder, and the rules and regulations of any relevant exchange company(ies), clearing house(s) and exchange controller(s) (including but not limited to the Stock Exchange of Hong Kong Limited (SEHK), the Hong Kong Futures Exchange Limited (HKFE), the Hong Kong Securities Clearing Company Limited (HKSCC), the HKFE Clearing Corporation Limited (HKCC) and the SEHK Options Clearing House Limited (SEOCH), whichever is applicable) and regulatory body(ies) in Hong Kong and/or overseas as amended from time to time governing the transactions in the Account.
本人／吾等謹此承認和同意遵守客戶協議的所有條款（包括一般條款及條件，以及適用的附加條款及條件）、證券及期貨條例及其附屬法例、以及相關交易所、結算所及控制人（包括但不限於香港聯合交易所、香港期貨交易所、香港中央結算、香港期貨結算及聯交所期權結算所，如適用）及香港及／或海外監管機構不時修訂以規管於該帳戶進行的交易之條例及規則，並受其約束。

(2) I/We represent that the information on this Account Opening Form is true, complete and correct and that I/we have not willfully withheld any material fact(s). GSSL is entitled to rely fully on such information and representations for all purposes, unless it receives notice in writing of any change. GSSL is authorized at any time to contact anyone, including my/our banks, brokers or any credit agency for the purpose of verifying the information provided on this Account Opening Form.
本人／吾等茲聲明在本開戶表格所提供之全部資料為真實、完整及正確，亦未刻意隱瞞任何重要事實。 除非寶新接到更改有關本表格內容的書面通知，否則寶新有權完全依賴此等資料及聲明作一切用途。 寶新獲授權就核對本表格之資料事宜，可隨時與任何人包括本人／吾等之銀行、經紀或任何信用機構聯絡。

(3) I/We hereby acknowledge and confirm that the Risk Disclosure Statement (Securities / Futures Contracts / Asset Management /Additional Risk Disclosure Statement for Financial Instruments) have been provided and explained to me/us in a language (English or Chinese) of my/our choice and I/we have been invited to read them carefully, ask questions and seek independent advice if I/we so wish. I/We also confirm that I/we have retained a copy of the above for my/our reference.
本人／吾等謹此承認並確定已獲得按照本人／吾等所選語言（中文或英文）的風險披露聲明（證券/期貨/資產管理/ 金融商品之額外風險聲明）並獲得其解釋，以及本人／吾等已獲邀請細閱此等文件，提出問題及如有意願，徵求獨立意見。本人／吾等確認已經保留此等文件副本乙份，以作備考之用。

(4) I/We hereby acknowledge that the information and documents as set out in the checklist below should be obtained from me/us prior to account opening. If the information and the required documents are not obtained and identity verification is not completed within 30 working days after opening the Account, the Account may be suspended until all required information is obtained. If identity verification is not completed within 90 working days after opening the Account, the Account may be terminated.
本人／吾等知悉下述核對清單列明之資料及文件需於開立帳戶前提交。如未能於開立帳戶後 30 個工作天內提交有關資料及文件並完成身分核實程序，帳戶可被凍結直至取得有關資料。如在 90 個工作天內仍未能完成身分核實程序，帳戶可被終止。

(5) I/We hereby acknowledge and confirm that this Account Opening Form, the Terms and Conditions, the Personal Data Privacy Statement and the Standard Fee Schedule have been provided to me/us in a language (English or Chinese) of my/our choice and I/we have been invited to read them carefully, ask questions and seek independent advice if I/we so wish. I/We also confirm that I/we have retained a copy of the above for my/our reference.
本人／吾等謹此承認並確定本人／吾等已獲得按照本人／吾等所選語言（中文或英文）的開戶表格、條款及條件、個人資料私隱聲明及標準收費表，以及本人／吾等已獲邀請細閱此等文件，提出問題及如有意願，徵求獨立意見。本人／吾等確認已經保留此等文件副本乙份，以作備考之用。

(6) In connection to the Section 11 (5) Knowledge of Structured and Derivative Products, I/we acknowledge that I/we have carefully read and fully understand the content of Risk Disclosure Statement as provided. If I/we decide to trade the Structured and/or Derivatives Products, I/we agree to bear the risks involved. I/We confirm that I/we shall make my/our own risk assessment, or seek independent professional advice before trading in Structured and/or Derivative Product(s), and that I/we have sufficient net worth to be able to assume the risks and bear the potential losses for my trades in Structured and/or Derivatives Product(s).
有關於本開戶文件第11(5) 對結構性及衍生產品的認識部分，本人／吾等確認已細心閱讀及完全明白風險披露聲明的內容。如果本人／吾等決定買賣該等結構性及/或衍生產品時，本人／吾等同意承擔有關風險。 本人／吾等確認, 在買賣結構性及/或衍生產品前，本人／吾等將會進行自我風險評估或尋求獨立專業意見，並擁有足夠資本承擔有關風險及損失。

(7) I/We agree to abide by the Rules and Regulations of the Exchange, Hong Kong Securities Clearing Company Limited, or any regulatory bodies from time to time governing the purchase and sale of securities quoted on the aforementioned stock exchanges and clearing system or any other stock exchanges or clearing systems.
本人／吾等同意遵守聯交所、香港證券結算有限公司、或其他監管組織對於在前述股票交易所及結算系統或任何其他股票交易所或結算系統上市的證券的買賣作出並不時修訂的監管規則及規例。

(8) I/We understand that I/we might be required to provide additional information or submit documentary proof as to the information provided in this application as and when requested by GSSL.
本人／吾等明白須隨時應寶新的要求提供進一步資料或就此申請書上所提供的資料呈遞書面證明。

(9) I/We hereby authorize GSSL, in its sole discretion and without having to provide me/us with any prior notice or to obtain any prior confirmation and/or direction from me/us, to transfer any fund (including interest derived), securities and/or securities collateral among my/our accounts opened with GSSL for settlement purpose and/or for the satisfaction of any margin requirements, or satisfying my/our obligations or liabilities to GSSL, whether such obligations or liabilities are actual or contingent, primary or collateral, secured or unsecured or joint or several;
本人／吾等授權寶新可按其絕對酌情權，毋須向本人／吾等提供任何事先通知或獲取本人／吾等的事先確認及／或指示，而將全部或任何部分款項（包括衍生利息）、證券及／或證券抵押品從本人／吾等於寶新開立的帳戶中相互轉帳以作為交收及／或滿足任何保證金要求、或以履行本人/吾等對寶新的義務或法律責任，無論此等義務或法律責任為確實或或然的、原有或附帶的、有抵押或無抵押的、共同或分別的;

(10) I/We hereby agree to indemnify, and to keep indemnified, GSSL and its directors, employees and representatives from and against any losses, liabilities, damages, interests, costs, expenses, actions, demands, claims or proceedings of whatsoever nature which they (or any of them) may incur, suffer and/or sustain as a consequence of any transaction undertaken in pursuance to above authority.
本人／吾等謹此同意就寶新因執行上述授權而可能產生、蒙受及/或承受的一切虧損、責任、損失、利息、費用、開支、法律訴訟、付款要求索償程式等向寶新及其董事、職員及代表作出賠償，並保障該公司免受損害。

(11) *(If the Client gives discretionary / standing authority)* I/We hereby acknowledge and confirm that I/we have given the discretionary / standing authority to authorize GSSL to deal with my/our monies and the contents of the discretionary / standing authority have been explained to me/us and I/we understand the contents of it.
*（如客戶授予全權委託／常設授權）*本人／吾等謹此承認並確定本人／吾等已授予寶新全權委託／常設授權以處置本人／吾等的證券及款項，並且本人／吾等就該全權委託／常設授權的內容已獲得解釋，及本人／吾等明白其內容。

<table>
<tr><td rowspan="2">Client Signature & Company Chop (if applicable)
客戶簽署及公司印章 (如適用)</td><td>Client Name 客戶姓名</td></tr>
<tr><td>Date日期: Y年 M月 D日</td></tr>
</table>

16. Witness Certification 見證人核證

I hereby certify that on the date written in the Section 15, this Form was executed by applicant(s) named in this Form (who had been previously identified by production of the original of his / her Identity Card or Passport to me) in my presence.
本人現核證：在此表格第15部份所寫的日期當日，此表格乃由此表格所指明的申請人(其身份已根據其向本人出示之身份證或護照正本作核實) 於本人面前簽訂。

Witness Signature 見證人簽署	Name 姓名:
	Profession/Title/CE No.: 所屬專業/職銜/中央編號:
	Date 日期: Y年 M月 D日

17. Declaration by SFC Licensed Representative 證監會持牌代表聲明

I, ____________________________ (name of representative) with SFC CE No.__________________, have provided the applicable Risk Disclosure Statement(s) in a language (English or Chinese) which ____________________________ (the "Client") chooses and understands and have invited the Client to read them carefully, ask questions and take independent advice if the Client wishes.

本人____________________________ (持牌代表姓名)在證監會之中央編號為__________________以客戶選擇及明白的語言(中文或英文), 向____________________________ (客戶姓名)提供適用的風險披露聲明, 並已邀請他/他們細閱此等文件, 提出問題及徵求獨立意見(如客戶有此意願) 。

Signature 簽署: ____________________________ Name 姓名: ______________________ Date 日期: ________________________

18. Checklist (Internal Use) 核對表 (內部使用)

A) Identity Document 證明文件	Check
Individual Account (個人帳戶)	
1. ID Card / Passport 身份證 / 護照	☐
2. Address Proof 地址證明	☐
Corporate Account (公司帳戶)	
1. ID Card / Passport of the following person(s) 以下人士之身份證 / 護照	☐
a) all main shareholders (for private company only) 主要股東 (私人公司適用)	
b) all directors; and 所有董事; 以及	
c) all authorized signatories 所有獲授權人士	
2. Address Proof 地址證明	☐

B) Account Opening Document 開戶文件	Check	N/A
Individual Account (個人帳戶)		
1. Self-Certification Form – Individual 自我證明表格 – 個人	☐	☐
2. W8BEN / W9	☐	☐
3. Employer Consent Letter (if applicable) 僱主書面同意書 (如適用)	☐	☐
4. Bank and Credit Reference (if applicable) 銀行及信貸參考 (如適用)	☐	☐
5. ______________________________		
6. ______________________________		
7. ______________________________		
Corporate Account (公司帳戶)		
1. Self Certification Form – Controlling Person 自我證明表格 – 控權人	☐	☐
2. Self Certification Form – Entity 自我證明表格 – 實體	☐	☐
3. Board Resolution / Board Minutes 董事會決議 / 董事會會議紀錄	☐	☐
4. Company Incorporation Certificate 公司註冊證明	☐	☐
5. Business Registration Certificate 商業登記證	☐	☐
6. Memorandum and Articles of Association 公司章程	☐	☐
7. Latest Annual Return (Form NAR1) and any subsequent Form ND2A (for HK company) 最新的周年申報表 (表格NAR1) 以及表格ND2A (香港公司適用)	☐	☐
8. Original of written consent from the Licensed or Registered Person (if applicable) 持牌代表或註冊人士的正本書面同意書 (如適用)	☐	☐
9. ______________________________		
10. ______________________________		
11. ______________________________		

Note 注意:
The documents stated above must be originals or certified true copies certified by a professional third party (e.g.lawyers, CPA).
以上所需文件必須要遞交正本或經由第三方專業人士核證 (例如: 律師、會計師)

19. Fee Schedule (if left empty, default charges will be applied) 費用 (如漏空會採用本司基本收費)					
Account No.帳戶號碼:		Account Name 帳戶名稱:			
A.E. Name 客戶主任姓名:		A.E. Code 客戶主任代號:		How long known to A.E.: 與客戶主任相識年期:	

19A. Dealing in Securities 證券交易					
Brokerage 佣金(%) :		Minimum Charge 最低佣金:		Trading Limit 交易限額:	
Loan Limit 貸款限額:		Overdue Interest 過期未償利息:			
Input By 資料輸入:		Name 姓名:			
Remarks 備註:					

19B. Dealing in Stock Options 股票期權交易					
Brokerage 佣金(%) :		Minimum Charge 最低佣金:		Trading Limit 交易限額:	
Loan Limit 貸款限額:		Overdue Interest 過期未償利息:			
Input By 資料輸入:		Name 姓名:			
Remarks 備註:					

19C. Dealing in Futures Contracts 期貨交易					
Hong Kong 香港:	Same Day 即日	Online 網上:		Non-online 非網上:	
	Overnight 過夜	Online 網上:		Non-online 非網上:	
Overseas 海外:	Same Day 即日	Online 網上:		Non-online 非網上:	
	Overnight 過夜	Online 網上:		Non-online 非網上:	
Trading Limit 交易限額:		Credit Limit 信貸限額:		Overdue Interest 過期未償利息:	
Input By 資料輸入:			Name 姓名:		
Remarks 備註:					

	Checked By 檢閱人	Approved By 審批人	Approved By RO (For High Risk Customer or Discretionary A/C Opening) 負責人員審批 (如屬高風險客户或開立全權委託帳户)
Signature 簽署:			
Name 姓名:			
Date 日期:			