

華星證券有限公司 SINOSTAR SECURITIES LIMITED (下稱“華星” hereinafter “SINOSTAR”)

華星為獲准從事第 1 類(證券交易)受規管活動之持牌法團 (證監會中央編號: BDH 216)和香港聯合交易所有限公司的交易所參與者。

SINOSTAR is a licensed corporation to carry on Type 1 (Dealing in Securities) regulated activity (SFC CE No: BDH 216) and an Exchange Participant of the Stock Exchange of Hong Kong Limited.

ACCOUNT OPENING FORM (INDIVIDUAL)

帳戶開戶表格 (個人)

1. Account Type 帳戶類別

Securities Trading Account 證券交易帳戶

Type of Account 帳戶類別

Cash 現金

Margin 保證金

Please complete in BLOCK LETTERS 請用正楷填寫

2. Personal Information 個人資料

Client Name 客戶姓名

Mr.先生 Miss 小姐 Ms.女士 Mrs.太太

Chinese 中文: _____

English 英文: _____

(Surname First) as per your identity card / passport (先寫姓氏) 姓名必須與身份證 / 護照相符

Date of Birth(dd/mm/yy)

出生日期(日/月/年)

Nationality/Citizenship

國籍/公民身份

ID Card /Passport No.

身份證/護照號碼

Country of Issue

簽發國家

Place of Birth

出生地

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)

Ownership of Residence 住屋業權

Self-owned 自置物業 Rented 租住 Quarters 宿舍

Mortgaged 按揭物業 Living with family 與家人同住

Home Tel. No. 住宅電話號碼

Mobile Phone No. 手提電話號碼

E-mail Address 電郵地址

3. Occupation/Employment Status 職業/就業情況

Name of Employer 僱主名稱

Nature of Business 業務性質

Job Title 職位

Office Tel. No. 公司電話號碼

Office Address 公司地址

4. Financial Situation 財務狀況

i) Annual Income(HKD) 每年收入(港元)

- <\$120,000 \$120,000 – \$360,000
 \$360,001 – \$600,000 \$600,001 – \$1,200,000
 Others, please specify 其他, 請註明 _____

ii) Net Worth(HKD) 資產淨值(港元)

- <\$500,000 \$500,000 – \$1,000,000
 \$1,000,001 – \$3,000,000 \$3,000,001 – \$7,800,000
 Others, please specify 其他, 請註明 _____

iii) Liquid Asset(HKD) e.g. cash, stock 流動資產(港元), 如現金、股票

- <\$500,000 \$500,000 – \$1,000,000
 \$1,000,001 – \$3,000,000 \$3,000,001 – \$7,800,000
 Others, please specify 其他, 請註明 _____

iv) Home Mortgage Loan and Personal Loan

自住房屋按揭貸款及其他私人貸款

- Yes 有 (Total 總額: HK\$ _____)
 No 沒有

5. Investment Experience & Habits 投資經驗及習慣	
i) Invest since 開始投資年份 please specify 請註明 _____	iii) Product Invested 曾投資的產品 <input type="checkbox"/> Stocks/Investment Funds 股票/投資基金 <input type="checkbox"/> Bonds 債券 <input type="checkbox"/> Foreign Currencies 外幣 <input type="checkbox"/> Derivative Products (Futures/Options/Warrants/CBBC) 衍生工具(期貨/期權/認股權證/牛熊證) <input type="checkbox"/> Others 其他: _____
ii) Investment Habits 投資習慣 <input type="checkbox"/> Short Term 短線 <input type="checkbox"/> Medium Term 中線 <input type="checkbox"/> Long Term 長線	
6. Investment Objectives 投資目的	
<input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Capital Gain 資本增值 <input type="checkbox"/> Dividend Income 股息收入 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Others (please specify) 其他(請註明) _____	
7. Client's Knowledge of Derivative Products 客戶對衍生產品的認識	
<p>The Client acknowledges and understands SINOSTAR will assess whether the Client has adequate knowledge on derivative products according to the information the Client provided. 客戶知悉及明白公司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。</p> <p><input type="checkbox"/> 1. The Client underwent training or attended courses on derivative products. 客戶曾接受有關衍生產品的培訓或修讀相關課程。</p> <p><input type="checkbox"/> 2. The Client has current or previous work experience related to derivative products. 客戶現時或過去擁有與衍生產品有關的工作經驗。</p> <p><input type="checkbox"/> 3. The Client has executed five or more transactions within the past three years in derivative products, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Futures and Options, 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，例如：衍生權證、牛熊證、期貨、期權、結構性產品及交易所買賣基金等。</p> <p><input type="checkbox"/> 4. The Client has NOT acquired knowledge of derivative products. 客戶沒有衍生工具之認識。</p>	
8. Disclosure of Identity 披露身份	
i) Is the Client the ultimate beneficial owner of the Account(s)? 客戶是否該帳戶之最終實益擁有人? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No, the ultimate beneficiary owner(s) is/are: 否，帳戶的最終實益擁有人是: Name 姓名: _____ Phone No. 聯絡電話: _____ ID Card/Passport No. 身份證/護照號碼: _____ Place of issue 簽發地: _____	
ii) Is the Client a person, or director or employee of a person licensed by or registered with the SFC or an accredited person of any exchange participant of the Stock Exchange or Futures Exchange? 客戶是否為證監會發牌或註冊人士或聯交所或期交所之交易所參與者或該人士之董事或僱員或認可人士? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 Name of the licensed or registered person 持牌或註冊人士姓名/名稱: _____ CE No. 中央編號: _____ * Please attach the consent letter from Employer. 提供僱主的同意信 * The Client undertakes to promptly notify SINOSTAR if the Client becomes employed by any licensed or registered person to carry on regulated activities within the meaning of the Securities and Futures Ordinance. * 客戶承諾若其受聘於任何持牌或註冊人士以進行證券及期貨條例所指的受規管活動，會盡快通知華星。	
iii) Is the Client ultimately responsible for originating instructions for the transactions of the Account(s)? 客戶是否最終負責對該帳戶之交易發出指示? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No, particulars of person(s) originating the instructions are as follows 否，下列為負責發出交易指示者資料: Name 姓名: _____ ID/Passport/Incorporation No. 身份證/護照/公司註冊證書號碼: _____ Address 地址: _____	

iv) Is the Client related to any employee or director of SINOSTAR or its associated companies?

客戶是否與華星或其聯營公司之任何僱員或董事有任何親屬關係？

No 否

Yes 是 (Please provide details below 請填寫以下資料)

Name of Employee / Director 僱員/董事姓名: _____

Relationship 關係: _____

9. Disclosure of Related Account(s) 披露關連帳戶 (*For Margin Account only 只適用於保證金帳戶)

i) Is the Client's spouse a client of SINOSTAR?

客戶之配偶是否華星之客戶？

No 否

Yes 是 (Please provide details below 請填寫以下資料)

Name of the spouse 配偶姓名: _____

Account No. 帳戶號碼: _____

ii) Does the Client and/or the Client's spouse control 35% or more of the voting rights of a company which is securities margin client of SINOSTAR?

客戶及/或客戶之配偶是否(共同)控制一間公司 35%或以上的投票權，且此為華星的證券保證金客戶？

No 否

Yes 是 (Please provide details below 請填寫以下資料)

Account Name 帳戶名稱: _____

Account No. 帳戶號碼: _____

10. Settlement Account Information 結算帳戶資料

i) **Hong Kong Dollar Account 港元帳戶**

The Client hereby instructs and authorizes that the following Hong Kong dollar account of a Hong Kong licensed bank will be used as the settlement bank account for Hong Kong dollar. Payment due from SINOSTAR to the Client shall, at the cost and risk of the Client, be settled by depositing a cheque into or transferring payment to the said bank account:

客戶謹此指示及授權使用以下香港持牌銀行的港元帳戶，作為港元結算帳戶。華星結欠客戶的款項，須透過存入支票或轉賬至此銀行賬戶結算，其費用及風險由客戶承擔:

Bank 銀行: _____ Account Name 賬戶名稱: _____

Account No. 賬戶號碼: _____

ii) **Foreign Currency Account 外幣帳戶**

The Client hereby instructs and authorizes that the following foreign currency account of a Hong Kong licensed bank will be used as the settlement bank account for that foreign currency. Payment due from SINOSTAR to the Client shall, at the cost and risk of the Client, be settled by depositing a cheque into or transferring payment to the said bank account:

客戶謹此指示及授權使用以下香港持牌銀行的外幣帳戶，作為有關外幣的結算帳戶。華星結欠客戶的款項，須透過存入支票或轉賬至此銀行賬戶結算，其費用及風險由客戶承擔:

Currency 貨幣 : _____ SWIFT Code SWIFT 代碼 : _____

Bank 銀行/ Branch 分行 : _____ Bank Address 銀行地址 : _____

Account No. 賬戶號碼 : _____ Account Name 賬戶名稱 : _____

11. Risk Disclosure Statements and Disclaimers 風險披露聲明與免責聲明

i) Client Agreement 客戶協議

The Client acknowledges receipt of the English and Chinese versions of the Client Agreement (which set out the Cash Client Agreement, Margin Client Agreement, On-line Trading Agreement, Personal Information Collections Statement, and Risk Disclosure Statements). The Client has read and understood the provisions of the Client Agreement and accepted to be bound by the same.

客戶確認已經收取客戶協議之英文及中文版本(包括現金客戶協議、保證金客戶協議、網上交易協議、個人資料收集聲明, 及風險披露聲明)。客戶確認已閱讀並明白客戶協議的條款, 並接受這些條款的約束。

ii) On-line Trading 網上交易

The Client has read and understood the provisions of the On-line Trading Agreement and accepted to be bound by the same. On-line trading account number and password will be sent to the Client's email address stated on the Account Opening Form via email.

客戶確認已經閱讀並明白網上交易協議的條款, 並接受這些條款的約束。客戶會以填報的電郵地址收取網上交易帳號及密碼。

iii) Client Risk Disclosure Declaration 客戶風險披露聲明

The Client acknowledges that the Client has fully understood the risk disclosure statements in the language of the Client's choice. The Client has been invited to read the risk disclosure statements, and to ask questions and take independent advice, if necessary.

客戶確認已獲得並完全明白按客戶所選擇語言的風險披露聲明書。客戶已獲邀閱讀此風險披露聲明書、提出問題及徵求獨立意見(如有需要)。

iv) Derivative Warrants, Callable Bull/ Bear Contracts, and Exchange-traded Funds (Client Declaration)

衍生權證、牛熊證及在交易所買賣基金 (客戶聲明)

The Client acknowledges that the Client has fully understood the risk disclosure statements and notes relating to derivative products trading, including the risks of derivative warrants, callable bull/bear contracts, and exchange-traded funds in the language of the Client's choice. The Client has been invited to read the risk disclosure statements, and to ask questions and take independent advice, if necessary.

客戶確認已獲得並完全明白按客戶所選擇語言的風險披露聲明書及有關買賣衍生產品的注意事項, 包括列明衍生產品中的衍生權證、牛熊證及在交易所買賣基金的性質及各種風險, 客戶已獲邀閱讀此風險披露聲明書、提出問題及徵求獨立意見(如有需要)。

v) Notes for Trading and operation of Account, Fees and Charges 買賣及帳戶運作須知及收費詳情

The Client acknowledges receipt of the English and Chinese versions of the Notes for Trading and Operation of Account, Fees and Charges. The Client has read and understood the provisions of all clauses and accepted to be bound by the same.

客戶確認已經收取英文及中文版本的買賣及帳戶運作須知及收費詳情。客戶已閱讀並明白各項條款, 並接受這些條款的約束。

vi) Client's Declaration for Data Protection 客戶個人資料保障

The Client has carefully read, fully understood and agreed to accept and be bound by the Personal Information Collections Statement (the "Statement") in the Client Agreement of SINOSTAR. I/We hereby consents to the contents of the Statement and the use of the data by SINOSTAR in direct marketing.

客戶已仔細閱讀、完全理解並同意接受並遵守載於華星的客戶協議中關於個人資料收集聲明(「聲明」), 並同意聲明的所有內容及同意華星使用客戶個人資料作直接促銷用途。

12. Declaration and Agreement by Client 客戶的聲明及同意

The undersigned (whose particulars are set out in this Account Opening Form) (the “Client”), subject to all the provisions of this Account Opening Form and the relevant sections of the “Client Agreement” (the “Agreement”), agrees to open trading account(s) (the “Account(s)”) with SINOSTAR.

以下簽署人(其資料詳列於本帳戶開戶表格)(「客戶」)同意按照本帳戶開戶表格的所有條款,以及刊登於網站 www.sinostarsec.com 的《客戶協議》(「協議」)適用於客戶申請開立帳戶的條件及條款,在華星開立交易帳戶(「帳戶」)。

By signing this Part, the Client hereby declares, agrees and confirms that:-

倘簽署本部份,客戶現聲明、同意及確認:-

- (a) the information provided in this Account Opening Form is complete, true and accurate. SINOSTAR is entitled to rely fully on such representations and information for all purposes, unless the Client informs SINOSTAR in writing of any change to that information;
於本帳戶開戶表格所提供的資料屬完整、真實及準確。華星有權基於一切目的倚賴此等陳述及資料,除非客戶以書面通知華星有關資料的任何改變;
- (b) the Client has fully read, understood and confirmed, and agrees and accepts to be bound by all the provisions of this Account Opening Form and the Agreement (as amended from time to time) applicable to the Account(s) that the Client applies to open with SINOSTAR. The Client has been advised by SINOSTAR to seek independent legal advice;
客戶已完全閱讀、明白及確認,以及同意並接納本帳戶開戶表格的所有條款,以及適用於客戶向華星申請開設之帳戶的所有協議(及其不時作出的修改)並同意受其約束。華星已建議客戶尋求獨立法律意見;
- (c) the contents of the Agreement have been fully explained to the Client in a language which the Client understands;
協議的內容已以客戶明白的語言向客戶作出充分的解釋;
- (d) SINOSTAR reserves its rights to amend the Agreement from time to time. Such amendments shall be incorporated into the Agreement unless objected to in writing by the Client within 14 days from the notice of SINOSTAR;
華星保留不時更改協議的權利。除非客戶在華星發出通知後的 14 天之內以書面提出反對,上述的改動將被納入協議之內;
- (e) In the event that there is any inconsistency between the English version and the Chinese version of the Account Opening Form and the Agreement, the English version shall prevail. SINOSTAR may provide a hard copy of the English version upon request; and
本帳戶開戶表格和協議之中文版本及英文版本如有任何歧義,概以英文版本為準。如有要求,華星會提供英文版本列印本;及
- (f) the Client has read and understood the policy of SINOSTAR in relation to information of the Client as contained in the Agreement, and agrees and accept to its terms.
客戶已閱讀及明白華星載於協議內有關客戶資料的政策部份,並同意及接納其條款。

Client Signature

客戶簽署

Date(dd/mm/yy)日期(日/月/年) _____

Witness Signature

見證人簽署

Witnessed by SINOSTAR or its affiliate entity employee 華星或聯繫公司職員見證

Name 姓名 _____

Witnessed by professional party or notary public 專業或知名人士見證

Name 姓名 _____ Profession /Title 所屬專業/職銜 _____

ID No / Profession No 身份證/專業身份編號 _____

Cheque issued by a licensed bank in Hong Kong 香港銀行發出的支票

Bank Name 銀行名稱 _____ Cheque No 支票號碼 _____

13. Declaration by Registered Person (Staff) 持牌人員(職員)聲明

I, the undersigned, confirm that I have provided the Client Agreement and the Risk Disclosure Statement in a language (English or Chinese) of the client's choice and that I have invited the Client to read the mentioned documents, ask questions and take independent advice, if the Client wishes.

本人,下方簽署者,確認已經向客戶提供了以客戶選擇的語言(英文或中文)之客戶協議及風險披露聲明,並且本人已經邀請客戶閱讀上述文件,提出有關問題及徵求獨立意見(如客戶有此意願)。

Name of Registered Person
持牌人員姓名

CE No.
註冊編號

Signature
簽署

Date(dd/mm/yy)
日期(日/月/年)

Face to Face

By Telephone

Recording Line No. _____

Time _____

14. Approved by 批核

職員姓名

職位

職員簽署