

CNI Securities Group Limited ("CNI") carries on the business of dealing in securities and is licensed to carry on Type 1 regulated activity (dealing in securities) under the Securities and Futures Ordinance (CE No. ATM582). 中國北方證券集團有限公司("中國北方證券"或"公司"經營證券交易的業務,並根據證券及期貨條例獲發牌經營第一類受規管活動(證券交易)(中央編號:ATM582)。

**ACCOUNT OPENING FORM 開戶表格 — Securities Account 證券帳戶**

**A. Type of Account 帳戶類別**

Type of Account 帳戶類別	Cash 現金 <input checked="" type="checkbox"/> Margin 保證金 <input type="checkbox"/>	Individual 個人 <input checked="" type="checkbox"/> Joint 聯名 <input type="checkbox"/>
Mode of Placing Order 落盤方式	Phone/onsite 電話/現場 <input type="checkbox"/> Internet 網上落盤 <input checked="" type="checkbox"/> Onsite self 現場自助 <input type="checkbox"/>	

**B. Client Details 客戶資料**

<b>Account Holder 帳戶持有人 (1)</b>		<b>Joint Account Holder 聯名帳戶持有人 (2)</b>	
Title 尊稱	Mr. 先生 <input checked="" type="checkbox"/> Mrs. 女士 <input type="checkbox"/> Miss 小姐 <input type="checkbox"/>	Mr. 先生 <input type="checkbox"/> Mrs. 女士 <input type="checkbox"/> Miss 小姐 <input type="checkbox"/>	
English Name 英文姓名	Chan Tai Man		
Chinese Name 中文姓名	陳大文		
Relationship with Account Holder (1): 與帳戶持有人 (1) 的關係:	Immediate Family 直系親屬 <input type="checkbox"/> Please specify 請註明: _____ Relatives 親屬 <input type="checkbox"/> Friends 朋友 <input type="checkbox"/> Others 其他 <input type="checkbox"/> : _____		
HKID Card/Passport 香港身份證 / 護照	No. 號碼 A123456(0)/123456789778987878	Nationality 國籍 中國	No. 號碼 _____ Nationality 國籍 _____
Citizen(s) of USA/U.S Person(s) 美國公民/人士	<input type="checkbox"/> Yes 是 <input checked="" type="checkbox"/> No 不是 Please complete form W-8BEN 請填寫 W-8BEN 表格		<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 不是 Please complete form W-8BEN 請填寫 W-8BEN 表格
Residential Address 住宅地址	身份證之住宅地址: (或) 現時居住地址及其三內月有效證明文件之副本		
Telephone No. 電話號碼	Home 住宅 (+852) 12345678	Office 公司 (+86) 12345678987	Mobile 手提 12345678987
Fax No. and Email 傳真號碼與電郵地址	Fax 傳真 _____	Email 電郵地址 chantaiman@gmail.com	Fax 傳真 _____ Email 電郵地址 _____
CCASS Investor Account 中央結算投資者戶口	Account Name 戶口名稱 _____	Account No. 戶口號碼 _____	Account Name 戶口名稱 _____ Account No. 戶口號碼 _____

**C. Employment Status 工作狀況**

Name of Employer 僱主名稱	現時工作狀況			
Office Address 公司地址				
Nature of Business 業務性質				
Position & Years of Service 職位與服務年資	Position 職位 _____	Years of Service 服務年資 _____	Position 職位 _____	Years of Service 服務年資 _____

**D. Financial Profile 財務狀況** 請根据个人情况进行勾选

Annual Income 每年收入	<\$200,000 <input type="checkbox"/> \$200,000 ~ \$500,000 <input type="checkbox"/> \$500,001 ~ \$1,000,000 <input type="checkbox"/> >\$1,000,000 <input type="checkbox"/>	<\$200,000 <input type="checkbox"/> \$200,000 ~ \$500,000 <input type="checkbox"/> \$500,001 ~ \$1,000,000 <input type="checkbox"/> >\$1,000,000 <input type="checkbox"/>
Total Net Value of Assets 資產淨值	<\$500,000 <input type="checkbox"/> \$500,000 ~ \$1,000,000 <input type="checkbox"/> \$1,000,001 ~ \$5,000,000 <input type="checkbox"/> \$5,000,001 ~ \$10,000,000 <input type="checkbox"/> >\$10,000,000 <input type="checkbox"/>	<\$500,000 <input type="checkbox"/> \$500,000 ~ \$1,000,000 <input type="checkbox"/> \$1,000,001 ~ \$5,000,000 <input type="checkbox"/> \$5,000,001 ~ \$10,000,000 <input type="checkbox"/> >\$10,000,000 <input type="checkbox"/>
Ownership of Residence 住宅業權	Owned 自置 <input type="checkbox"/> Rented 租用 <input type="checkbox"/> Mortgaged 按揭 <input type="checkbox"/> Living with Family 與家人同住 <input type="checkbox"/>	Owned 自置 <input type="checkbox"/> Rented 租用 <input type="checkbox"/> Mortgaged 按揭 <input type="checkbox"/> Living with Family 與家人同住 <input type="checkbox"/>

E. Investment Profile 投資概況	Account Holder 帳戶持有人 (1)	Joint Account Holder 聯名帳戶持有人 (2)
Investment Objective 投資目的	Capital Gain 資本增值 <input checked="" type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Income 收益 <input type="checkbox"/> Others 其他: _____ <input type="checkbox"/>	Capital Gain 資本增值 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Income 收益 <input type="checkbox"/> Others 其他: _____ <input type="checkbox"/>
Investment Product and Investment Experience 投資產品與投資經驗	Shares <input type="checkbox"/> <1 year <input type="checkbox"/> 1-5 years <input type="checkbox"/> >6 years <input type="checkbox"/> 股票 少於一年 一至五年 多於六年 CBBC <input type="checkbox"/> <1 year <input type="checkbox"/> 1-5 years <input type="checkbox"/> >6 years <input type="checkbox"/> 牛熊證 少於一年 一至五年 多於六年 Warrants <input type="checkbox"/> <1 year <input type="checkbox"/> 1-5 years <input type="checkbox"/> >6 years <input type="checkbox"/> 衍生證券(窩輪) 少於一年 一至五年 多於六年 Futures <input type="checkbox"/> <1 year <input type="checkbox"/> 1-5 years <input type="checkbox"/> >6 years <input type="checkbox"/> 期貨 少於一年 一至五年 多於六年 Options <input type="checkbox"/> <1 year <input type="checkbox"/> 1-5 years <input type="checkbox"/> >6 years <input type="checkbox"/> 期權 少於一年 一至五年 多於六年 Others <input type="checkbox"/> _____ 其它 <1 year <input type="checkbox"/> 1-5 years <input type="checkbox"/> >6 years <input type="checkbox"/>	Shares <input type="checkbox"/> <1 year <input type="checkbox"/> 1-5 years <input type="checkbox"/> >6 years <input type="checkbox"/> 股票 少於一年 一至五年 多於六年 CBBC <input type="checkbox"/> <1 year <input type="checkbox"/> 1-5 years <input type="checkbox"/> >6 years <input type="checkbox"/> 牛熊證 少於一年 一至五年 多於六年 Warrants <input type="checkbox"/> <1 year <input type="checkbox"/> 1-5 years <input type="checkbox"/> >6 years <input type="checkbox"/> 衍生證券(窩輪) 少於一年 一至五年 多於六年 Futures <input type="checkbox"/> <1 year <input type="checkbox"/> 1-5 years <input type="checkbox"/> >6 years <input type="checkbox"/> 期貨 少於一年 一至五年 多於六年 Options <input type="checkbox"/> <1 year <input type="checkbox"/> 1-5 years <input type="checkbox"/> >6 years <input type="checkbox"/> 期權 少於一年 一至五年 多於六年 Others <input type="checkbox"/> _____ 其它 <1 year <input type="checkbox"/> 1-5 years <input type="checkbox"/> >6 years <input type="checkbox"/>

请根据个人情况进行勾选

### F. Settlement Account Information 結算帳戶資料

The following bank account is the Settlement Account. The Client hereby instructs and authorizes CNI to deposit all payments payable to the Client into the following Account. CNI will deposit the payments into the following Settlement Account for the Client as soon as possible. CNI 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.  
 以下的銀行帳戶是結算帳戶，並作有關之結算安排。客戶謹此指示及授權中國北方證券將所有應付客戶之款項存入下列帳戶。中國北方證券將於合理可行的情況下，儘快為客戶存入款項到以下之結算帳戶，中國北方證券不會對基於任何原因而延遲存入款項令客戶蒙受的任何虧失、開支或賠償承擔任何法律責任。

Currency 貨幣	Name of Bank 銀行名稱	Account No. 帳戶號碼	Name of Account Holder 帳戶持有人名稱
HKD 港幣	Bank of China	123-456789-001	CHAN TAI MAN
Others 其他			

### Statements Collection 收取帳戶結單

Statements will be sent to Account Holder (1) in the following way: (Please select one) 帳戶結單將透過以下途徑寄往帳戶持有人(1): (請選擇其中一項)

- By Mail 郵遞  Residential Address 住宅地址  Office Address 公司地址  Others 其他地址: \_\_\_\_\_  
 By E-mail 電子郵件 chantaiman@gmail.com  
 (有機會收取行政費. Administrative Fee may be charged.)

### G. Authorized Person 獲授權人士

The client's securities account can be operated on the instructions of the authorized person. The client hereby declares that the client shall be fully responsible for any instructions given or purported to be given by the authorized person (including but not limiting to the verbal instructions or written instructions), and shall fully indemnify CNI against all damages, losses, costs and expenses whatsoever incurred as a result of any act, inactivity or omission of the authorized person.

客戶之證券帳戶可根據獲授權人士之指示運作。客戶茲聲明對由獲授權人士或聲稱為獲授權人士所發出之任何指示(包括但不限於口頭指示或書面指示)承擔全部責任，並會就中國北方證券因該等獲授權人士之任何行為，不作為或遺漏而引致的一切賠償、損失、費用及開支向中國北方證券作出全部彌償。

When the Authorized Person listed below, after signing in the signature column herein below, indicated that I accept the abovementioned Client's authorization to become its Authorized Person. I hereby agree that shall be fully responsible for all the liabilities arising from the Clients relevant account(s) with CNI and shall fully indemnify CNI against all damages, losses, costs and expenses whatsoever incurred as a result of any act, inactivity or omission of the Client and/or myself.

當獲授權人士於下列簽署欄內簽署後，即表示同意接受客戶的授權成為其獲授權人士，並同意承擔客戶之帳戶內之一切責任，亦須就中國北方證券因客戶及/或客戶之任何行為，不作為或遺漏而引致的一切賠償、損失、費用及開支向中國北方證券作出全部彌償。

Name of Authorized Person 獲授權人士姓名	I.D./Passport No. 身份證/護照號碼	Signed by Authorized Person 獲授權人士接納和簽署
Relationship with Client 與獲授權人士關係	Contact No. 聯絡電話	Confirmed and Signed by Client 由客戶確認及簽署

## H. Client Declaration 客戶聲明

### Identity Declaration 身份聲明

Is the client the ultimate beneficial owner in relation to the Account? 客戶是否此帳戶的最終實益擁有人?

- Yes 是  
 No 否 The ultimate beneficial owner is 帳戶的最終實益擁有人是

Name 姓名 \_\_\_\_\_ I.D./Passport No. 身份證/護照號碼 \_\_\_\_\_

Address 地址 \_\_\_\_\_

Is the Client a director or an employee or an accredited person of any exchange participant of the Stock Exchange or any licensed or registered person of the Securities and Futures Commission?

客戶是否聯交所之交易所參與者或證監會之持牌人或註冊人之董事、僱員或許可人士?

- No 否  Yes, the Client is a director or an employee or an accredited person of the following exchange participant of the Stock Exchange or licensed or registered person of the Securities and Futures Commission: (Please provide details)  
是，客戶為以下聯交所之交易所參與者或證監會之持牌人或註冊人之董事、僱員或許可人士：(請詳述)

\_\_\_\_\_  
(Please provide employer's consent letter 請提供僱主之書面同意書)

### I. Related Margin Financing Account(s) 相關保證金融資帳戶 (For Margin Account only 只適用於保證金帳戶適)

Does the spouse of the Client have a margin account with CNI? 客戶的配偶是否持有中國北方證券的保證金帳戶?

- No 否  Yes (please specify): Name of the Spouse \_\_\_\_\_ Account No. \_\_\_\_\_  
是 (請詳述): 配偶姓名: \_\_\_\_\_ 帳戶號碼: \_\_\_\_\_

The Client hereby declares and confirms that 客戶特此聲明及確認:

- the Client, either alone or with his/her spouse, is/are not in control of 35% or more of the voting rights of another margin client of CNI.

客戶並沒有單獨或與配偶共同控制中國北方證券其他保證金帳戶持有人 35%或以上之表決權;

- the Client does not have a margin account opened by a member of the same group of companies of the Client.

客戶並沒有以客戶的同一集團公司旗下之公司開立保證金帳戶。

### J. Client's Declaration, Confirmation and Agreement 客戶聲明、確認及協議

1. Client(s) hereby authorize(s) and request(s) CNI to open and maintain a securities trading account ("the Account") in the name of client(s) for the purchases, sales, holdings of and any other dealings in securities as Client(s) may instruct CNI as client(s)' agent to effect from time to time on Client(s) behalf. The Account shall be maintained and all such purchases, sales, holdings of and any other dealings in securities shall be effected subject to and in accordance with the provisions of the Authorization for Account Opening and the Client's Agreement ("the Agreement"). Client(s) confirm(s) and acknowledge(s) that the Agreement forms an integral part of the Authorization for Account Opening. Client(s) acknowledge(s) receipt of a copy of the Agreement.

客戶(等)授權要求中國北方證券為客戶(等)以客戶(等)名義開立並操作一個證券交易帳戶(下稱“帳戶”)，以執行客戶(等)不時的指示，由中國北方證券以代理人身份為客戶(等)購入、賣出、保管或處理各類證券。有關帳戶之運作須受本開戶授權書及客戶協議書規限，客戶(等)確認客戶協議書為本開戶授權書組成之一部份，並確認已收訖一份客戶協議書。  
(請下載“客戶協議書”文件查閱詳情。Please download "Client's Agreement" for more details.)

2. For the purpose of opening the Account, Client(s) enclose the duly completed and signed Account Opening Information, specimen signature card and client(s) copies of Identity Card(s)/passport(s).

為開立上述帳戶，客戶(等)現附上一份已填寫及簽署的客戶開戶資料，簽名印鑑卡，身份證/護照影印本。

3. Client(s) warrant(s) that the information set out in the Account Opening Form is(are) true and correct and that CNI is entitled to rely fully on such information to act on client(s) behalf unless and until CNI receive notice of any change from client(s) in accordance with the provisions of the Agreement. Client(s) undertake(s) to advise CNI promptly of any material change to such information.

客戶(等)保證客戶開戶資料內所載資料均屬真實及正確，中國北方證券在未收到客戶(等)據客戶協議書規定發出的資料變更通知前，中國北方證券有權依據該等資料行事，若該等資料有變更，客戶(等)即儘快通知中國北方證券。

4. Client(s) confirm that:

客戶(等)茲確認:

(a) the individuals whose names are listed in the Account Opening Form and/or Specimen Signature Cards are the persons ("Authorized Persons") authorized on client(s) behalf to give CNI oral, telephone or written instructions:-

在開戶資料中及/或簽名印鑑卡所列舉之人士為已獲客戶(等)授權之人士("獲授權人士")，有權代表客戶(等)以口頭、電話或書面就上述事宜發出指示:

(i) in relation to the operation of the Account; and  
對於帳戶之運作; 及

(ii) to effect purchases, sales, holdings and other dealings in Securities and transfer of funds;  
就買賣、保管或處理證券及資金的轉移;

(b) the signature(s) set(s) opposite the name(s) of each of the Authorized Persons is(are) his/their genuine signature(s) and, in the case of written instructions, such signature(s) operate(s) as the specimen signature(s) of each of such Authorized Persons; and 在別獲授權人士名字欄旁之簽名為該人士之簽名，若有書面指示，該等簽名即是該等獲授權人士之真實簽字印鑑; 及

(c) the information set out in the Account Opening Form and Specimen Signature Card is true, complete and accurate.

開戶資料及印鑑卡內開列之資料均屬真實、完整及正確。

(d) Client(s) represent(s) that, unless Client(s) has(have) previously disclosed in writing to CNI, Client(s) is/are not (an) officer(s) or employee(s) of any exchange, board of trade, clearing house, bank or trust company, or an affiliate of any licensed or registered person under the Securities and Futures Ordinance, or introducing broker(s), or (an) officer(s), partner(s), director(s) or employee(s) of any securities broker or dealer.

(e) 客戶(等)如沒有以書面形式向中國北方證券申述，客戶(等)就不會是任何交易所、結算所、銀行或信託機構的僱員; 或是任何在證券及期貨條例下註冊人士之相關人士; 或是任何證券商或交易商的人員、合夥人或董事。

5. Client(s) acknowledge that subject always to your discretion not to accept or act on and instructions given by client(s) to CNI for purchases, sales, holdings and any other instructions of dealings in securities as client(s) agent from time to time as provided in the Agreement, CNI shall be entitled to rely and act on any such instructions given or apparently, to CNI's satisfaction, given from time to time on clients(s) behalf, in the case of both oral, telephone and written instructions by any one of the Authorized Persons.  
 客戶(等) 再次確認中國北方證券可據客戶協議書之條款有完全之酌情權不接納作為客戶(等)之代理人以執行客戶(等)之買賣證券、保管或處理各類證券交易等指示，但中國北方證券有權根據授權人之口頭、電話或書面指示，執行指示。
6. Where Clients are joint account holders, upon the death of any one of us and in the absence of written notice to the contrary from any one of us or the legal representative(s) of any of us, CNI is entitled to treat the Authorization for Account Opening as remaining in force.  
 若帳戶為聯名戶，而其任何一名持有人逝世及在中國北方證券接獲其餘之持有人或法定代表之書面通知前，中國北方證券有權視此開戶授權書為持續有效。
7. Client(s) agree(s) that all confirmations and statements in relation to the Account issued by CNI to client(s) pursuant to the Agreement shall be conclusive and binding on client(s).  
 客戶(等)同意有關帳戶項下之一切確認書及結單將對客戶(等)有絕對約束力。
8. Client(s) has/have indicated in the Account Opening Information that Client(s) elect for all trading in securities to be conducted by CNI as client(s) agent on client(s) behalf on the cash or on margin basis.  
 客戶(等)已在開戶資料書上，申明選擇以現金或以保證金形式經中國北方證券為代理人進行證券買賣。
9. Client(s) declare that the contents of the Authorization for Account Opening, Account Opening Form (together with the Schedules thereto) and the Agreement have been duly explained to client(s) in a language (English or Chinese) that Client(s) understand and Client(s) agree to be bound by the provisions thereof.  
 客戶(等)在此聲明此開戶授權書、開戶資料(及其附錄)及客戶協議書之內容已經向客戶(等)以其明瞭之語言(英文或中文)解釋，客戶(等)並同意接受該等條款及內容之約束。

IN WITNESS WHEREOF Client(s) hereto set(s) client(s) hands and affix client(s) firm chop/our common seal this day below.  
 茲見證本協議，客戶(等)在此簽署及蓋上商號印/公司印於下列日期。

**DECLARATION BY CLIENT(S) 客戶聲明**

Client(s) acknowledge(s) that the Client Agreement and Risk Disclosure Statement was/were provided in a language of client(s)'own choice (English or Chinese), the client(s) also was/were invited to read the Risk Disclosure Statement, to ask questions and take independent advice if the client(s) wish(es).

客戶確認已按照客戶選擇的語言〔英文或中文〕獲得客戶協議及風險披露聲明，並已獲邀閱讀該風險披露聲明、提出問題及徵求獨立的意見〔如客戶有此意願〕。

Signature of Account Holder (1) 帳戶持有人(1) 簽署 <b>陳大文</b>		Signature of Joint Account Holder (2) 第二聯名持有人 (2) 簽署	
Name of Account Holder 客戶姓名 <b>陳大文</b>	Date 日期 <b>1-1-2017</b>	Name of Joint Account Holder 聯名客戶姓名	Date 日期
Witness Name 見證人姓名		Witness Signature 見證人簽署 非我司持牌人見證開戶則： 1. 需律師、註冊會計師、公證人員或銀行分行經理在此處簽署及其證件副本 (或) 2. 由客戶之香港銀行賬戶開出不少於一萬元港幣的支票	
<b>DECLARATION BY STAFF 職員聲明</b>		CE No. 中央編號：	
I, a licensed or registered person, declare that I have provided the above client(s) with a copy of the Risk Disclosure Statement in a language of the client's choice (English or Chinese) and invited the client to read the Risk Disclosure Statement referred to in the Client's Agreement, ask questions and take independent advice if the client(s) so wish(es).		本人，以註冊人身份，確認本人已按照上述客戶所選擇的語言(英文或中文) 提供風險披露聲明及提示客戶閱讀客戶協議書中的風險披露聲明、亦邀請客戶如有需要可以提出問題及徵求獨立的意見。	
Signed by 簽署	Name of licensed or registered person 註冊人姓名	Date 日期	

*** FOR OFFICE USE ONLY 只供本公司使用***		Account No.: 帳戶號碼：
Documents to be submitted 遞交的文件 1. Copy of Hong Kong Identity Card or Passport <input type="checkbox"/> 客戶身份證 / 護照影印本 2. Proof of address dated within the last 3 months <input type="checkbox"/> 有效三個月內住址證明 3. Copy of Authorized persons' Hong Kong Identity Card or Passport <input type="checkbox"/> 授權代表身份證 / 護照影印本		
Introduced by 介紹人：	Documentation Checked by 文件查核：	Approved by 批准：
Name of Account Executive 客戶主任姓名：	Client(s) known to Account Executive for 與客戶主任相識年期：	Bank and Credit references obtained 已獲銀行及信貸參考： Yes <input type="checkbox"/> No <input type="checkbox"/> 是 否