

ACCOUNT OPENING FORM – INDIVIDUAL / JOINT
開戶申請書一個人 / 聯名
INNOVEST SECURITIES INVESTMENT LIMITED (“COMPANY”)
粵創證券投資公司

Unit B, 17/F, United Centre, 95 Queensway, Admiralty, Hong Kong
香港金鐘金鐘道 95 號統一中心 17 樓 B 室
Tel 電話號碼: (852) 2151 2222, Fax 傳真號碼: (852) 2151 2200

SFC Licensed Corporation 證券及期貨事務監察委員會持牌法團
(CE No.中央編號: BLO233)

Account No.: 戶口號碼

Individual Account 個人戶口

Joint Account 聯名戶口

FIRST ACCOUNT APPLICANT'S PERSONAL INFORMATION 第一戶口申請人之個人資料

Title 稱呼 <input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Mrs. 太太 <input type="checkbox"/> Miss 小姐 <input type="checkbox"/> Ms. 女士	
Name in English / Pinyin 英文/拼音姓名	HKID / Passport No. 香港身份證 / 護照號碼
Name in Chinese 中文姓名	Nationality: 國籍
Date of Birth (dd/mm/yyyy) 出生日期 (日/月/年)	Place of Birth: 出生地點
Marital Status 婚姻狀況 <input type="checkbox"/> Single 未婚 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Divorced 離婚	
Residential Address (P.O. Box not accepted) 住宅地址(不接受郵政信箱)	
Nature of Occupancy 住宅類別 <input type="checkbox"/> Owned (No mortgage) 自置(無按揭) <input type="checkbox"/> Mortgaged / Monthly Installment 按揭 / 每月供款 \$ <input type="checkbox"/> Rented / Monthly Rental 租用 / 每月租金 \$ <input type="checkbox"/> With Parents 與父母同住 <input type="checkbox"/> Relative 親屬 <input type="checkbox"/> Other, please specify 其他, 請註明:	
Account Correspondence Address (P.O. Box not accepted) 通訊地址(不接受郵政信箱) <input type="checkbox"/> Residential address 住宅地址 <input type="checkbox"/> Office address 公司地址 <input type="checkbox"/> Others, please specify 其他, 請註明	
E-mail Address 電郵地址	Mobile Phone No. 流動電話號碼
Home Tel. No. 住宅電話號碼	Fax No. 傳真號碼

EMPLOYMENT / BUSINESS DETAILS 工作 / 業務詳情

Employment Status 就業情況 <input type="checkbox"/> Full-time employed 全職 <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Other, please specify 其他, 請註明: <input type="checkbox"/> Part-time employed 兼職 <input type="checkbox"/> Retired 退休		
Name of Employer 僱主名稱:	Nature of Business 業務性質:	
Position 職位:	Year(s) with Existing Employer 已任職年期:	
Office Address 公司地址:	Office Tel. No.: 公司電話號碼	

FIRST ACCOUNT APPLICANT'S FINANCIAL PROFILE 第一戶口申請人之財務紀錄及投資目標

The Company is required to obtain this information to fulfill the “know-your-client requirements” of the Securities and Futures Commission of Hong Kong.

本公司根據香港證券及期貨事務監察委員會所製定之「認識你的客戶要求」而索取有關資料。

Estimated Annual Income (HK\$) 估計年薪(港元) <input type="checkbox"/> < HK\$200,000 <input type="checkbox"/> HK\$500,001 - HK\$1,000,000 <input type="checkbox"/> > HK\$5,000,000 <input type="checkbox"/> HK\$200,000 - HK\$500,000 <input type="checkbox"/> HK\$1,000,001 - HK\$5,000,000		
Approximate Net Asset Value (HK\$) (Total Asset – Total Liabilities) 估計資產淨值(港元)(總資產-總負債) <input type="checkbox"/> < HK\$500,000 <input type="checkbox"/> HK\$3,000,001 - HK\$8,000,000 <input type="checkbox"/> > HK\$30,000,000 <input type="checkbox"/> HK\$500,000 - HK\$3,000,000 <input type="checkbox"/> HK\$8,000,001 - HK\$30,000,000		
Source of Income 收入來源: <input type="checkbox"/> Salary 工資/薪金 <input type="checkbox"/> Commission 佣金 <input type="checkbox"/> Investment 投資 <input type="checkbox"/> Business Profit 商業利潤 <input type="checkbox"/> Savings 儲蓄 <input type="checkbox"/> Others 其他:		
Education Level 教育程度: <input type="checkbox"/> Primary 小學 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> University or above 大學或以上 <input type="checkbox"/> Others 其他:		

DISCLOSURE OF IDENTITY AND RELATED ACCOUNT(S)披露身份及關連帳戶

Are you (First or Second applicant) a licensed / registered securities or futures professional, or an employee of a licensed / registered person (e.g. employee of a brokerage firm / bank, etc.) with the Securities and Futures Commission?

閣下(第一或第二申請人)是否為證券及期貨事務監察委員會的持牌 / 註冊證券或期貨從業員, 或其持牌 / 註冊機構 (如經紀行/銀行等)之僱員?

Yes, please specify 是, 請說明:

No 否 Will you allow us to send the monthly statement of your ISIL's account to the above named person/corporation?

閣下是否允許 粵創證券投資有限公司 把您的證券帳戶月結單發送至上述個人/公司?

No 否 Yes 是

Are you an employee/ relative of any employee/ director/ representative of Innovest Securities Investment Limited or any of its subsidiaries? 閣下是否 粵創證券投資有限公司 或其任何關聯公司之員工或與其任何員工/董事/持牌代表有親屬關係?

No 否

Yes, please provide details 是, 請提供詳細資料:

Name 姓名

Relationship 關係

Do you have any related accounts already opened with Innovest Securities Investment Limited such as wife, brother or sister, self etc? No 否

閣下有沒有關聯人士在 粵創證券投資有限公司 已有帳戶:

Yes 是

Details: Name:

Account No.

Relationship

詳情 名字

帳戶

關係

Are you the **ultimate beneficial owner(s)** of the account? (The information is required by The Securities & Futures Commission's Client Identity Rule Policy)

閣下是否此戶口之最終實益擁有人? (所需資料是根據香港證券及期貨事務監察委員會所製定的客戶身份規則的政策摘要)

Yes 是 No, please provide details of the ultimate beneficial owner(s) 否, 請提供最終實益擁有人的詳細資料:

Name 姓名:

HK ID / Passport No. 香港身份證/護照號碼:

Nationality 國籍:

Date of Birth 出生日期 (dd/mm/yyyy 日/月/年):

Contact No. 聯絡電話:

Residential Address (P.O. Box not accepted) 住宅地址(不接受郵政信箱):

Signature 簽署:

Bank Details 銀行資料

Name of Bank

銀行名稱

Bank Account No.

銀行帳戶號碼

Bank Account Name

銀行帳戶名稱

Bank Code

銀行代碼

Bank Address

銀行地址

SWIFT Code

銀行 SWIFT 代號

Remarks

備註

Signing Arrangement 簽署安排

Only applicable to **joint account applicants**. 只適用於聯名戶口申請者。

You decide that the valid document in connection with the operation (including fund withdrawal and asset transfer) of your account must be signed by

閣下決定所有戶口操作 (包括提款及資產轉移) 的有效文件必須由

Either 其中一位持有人簽署

Jointly 二位聯名持有人簽署

Password / Statement Delivery 密碼 / 結單收取形式

To be filled in by the Primary Account Holder for Joint Account. 如屬聯名戶口, 則需由主要戶口持有人填寫。

How do you prefer to deliver the password / statements?

(Applicable to Internet Trading Account Clients only)

閣下希望以何種方式收取密碼 / 結單? (只適用於電子交易客戶)

Pick up in Person 親自提取

By Mail 郵寄收取

By E-mail 電郵收取

What is your preferred language of the statement?

閣下希望收取那種語言的結單?

English 英文

Chinese 中文

Sources of Funds 資金來源

Salary 薪金

Savings 儲蓄

Investment accumulate profit 投資收益

Loan 貸款

Others 其他, 請註明:

Expected Investment Amount 預計投資額

< HK\$100,000 - HK\$500,000

HK\$500,001 - HK\$1,000,000

HK\$1,000,001 - HK\$5,000,000

HK\$5,000,001 - HK\$ 10,000,000

>HK\$10,000,000

RISK PROFILE QUESTIONNAIRE 風險承擔能力問卷

Please answer the following questions. They will help you to understand your attitude to risk.
請回答下列問題，這些問題可以幫閣下了解自己對投資風險的取態。

Important 請注意:

The questions in this section are set for the purpose of assessing your attitude to risk and your risk tolerance in investment. There is no direct relationship between the questions asked in this section and the actual performance of any investment you may decide to purchase.
此部份之問題是為評估閣下對風險的態度及對投資風險的承受程度而設。這些問題與閣下可能進行的投資及其實際表現沒有直接關係。

How many years of investment experience do you have? 閣下有多少年的投資經驗?

	No experience 無經驗	Less than 1 year 1 年以下	1-5 years 1 至 5 年	6-10 years 6 至 10 年	Over 10 years 10 年以上
Stock 股票	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Bond 債券	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mutual Fund/ Unit Trust 互惠基金/單位信託基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Knowledge on Derivative Products and Trading Experience 衍生產品知識及交易經驗問卷

Will you trade in derivative product(s)?

閣下是否會投資於衍生產品?

No 否 Yes 是

Do you have any working experience related to derivative product(s)? (please provide details)

閣下有沒有關於衍生產品的工作經驗 (請提供詳細資料)?

No 沒有 Yes, please provide details 有，請提供詳細資料

Do you have any trading experience in derivative product(s)? 閣下有沒有任何買賣衍生產品的經驗?

- No 沒有 Yes 有
Please state: 請註明
- Callable Bull/Bear Contracts 牛熊證
 Derivative Warrants 衍生認股證
 Equity Linked Instruments 股票掛鉤產品
- Futures & Options Contracts 期貨或期權合約交易
 Synthetic Exchange Traded Funds (ETF) 合成交易所買賣基金
 Others 其他，請註明：

Total no. of transactions on derivative product(s) in the previous 3 years 前三年的衍生產品交易總數

less than 5 times 少於 5 次
 5 times or above 5 次或以上

Investment Objectives 投資目標：

(Select one 選擇一項)

- Short Term 短線 (Less than 6 months 少於六個月)
 Medium Term 中線 (6-24 months 六至二十四個月)
 Long Term 長線 (over 2 years 超過二年)

(Select one 選擇一項)

- Capital Preservation 保本
 Capital Growth 增值
 Dividend Income 股息收益
 Speculation 投機
 Hedging 對沖
 Others 其他，請註明：

ANTI-MONEY LAUNDERING AND ANTI-TERRORIST FINANCING QUESTIONNAIRE 防止洗黑錢及防止恐怖分子籌資活動問卷

A. For ALL Client 所有客戶

1. Are you linked to politically exposed person? 閣下是否與政界人士有關聯?

(Politically exposed person – individual who is or has been entrusted with prominent public function e.g. head of state/government, senior politician, senior executive of government-owned corporation, important political party official, etc)

(政界人士: 指目前或以往曾經擔任重要公職的人士, 如國家或政府的首長、資深政客、政府高級官員和重要政黨官員等)

Yes 是 No 否

2. Is the nature of your business particularly susceptible to money laundering risk?

閣下的業務性質, 是否特別容易蒙受較高的洗黑錢風險?

(For example, money changer or casino business that handles large amount of cash)

(例如, 會涉及大量現金往來, 找換業或博彩業)

Yes 是 No 否

3. Is there any reasonable suspicion or risk that money from you might be arising from or related to proceeds of crime?

是否存在任何合理的懷疑或風險, 認為閣下的金錢來源於或涉及非法所得?

Yes 是 No 否

Money Laundering Risk Level 清洗黑錢風險程度

High 高 Normal 一般

Any above questions is answered "Yes" that will also be regarded as High Risk.

當以上任何回答為「是」將被定性為高風險。

B. For Overseas Client (i.e. Client located outside Hong Kong) 海外客戶 (如客戶非本港居民)

1. Is the country that you located is a member of the Financial Action Task Force ("FATF")?

(Members of FATF include: Argentina, Australia, Austria, Belgium, Brazil, Canada, China, Denmark, Finland, France, Germany, Greece, Hong Kong, Iceland, India, Ireland, Italy, Japan, Korea, Luxembourg, Mexico, Netherlands, New Zealand, Norway, Portugal, Russian Federation, Singapore, South Africa, Spain, Sweden, Switzerland, Turkey, United Kingdom, USA, European Commission, and the Gulf Cooperation Council)

閣下居住的國家是否財務行動特別組織的成員?

Yes 是 No 否

(財務行動特別組織成員包括: 阿根廷、澳大利亞、奧地利、比利時、巴西、加拿大、中國、丹麥、芬蘭、法國、德國、希臘、香港、冰島、印度、愛爾蘭、意大利、日本、韓國、盧森堡、墨西哥、荷蘭、紐西蘭、挪威、葡萄牙、俄羅斯聯邦、新加坡、南非、西班牙、瑞典、瑞士、土耳其、英國、美國、歐洲委員會及海灣合作理事會)

2. Are you located in a country with established laws/ regulations designed to prevent money laundering?

閣下居住的國家是否已有現行的法律或條例以制止洗黑錢的活動?

Yes 是 No 否

If the answer to (2) is "Yes", are you subject to such laws/ regulations?

如閣下在(2)題的答案選擇「是」, 閣下是否受到現行的法律或條例所管制?

Yes 是 No 否

3. Have you maintained a "no conviction record" for anti-money laundering or anti-terrorist financing legislation?

If no, please provide details on a separate sheet.

閣下是否就反洗黑錢條例或反恐怖分子籌資活動條例維持著「無罪紀錄」? 如否, 請另外提交一份詳細的資料。

Yes 是 No 否

Money Laundering Risk Level 清洗黑錢風險程度

High 高 Normal 一般

Any above questions is answered "No" that will also be regarded as High Risk.

當以上任何回答為「否」將被定性為高風險。

FATCA IDENTITY DECLARATION / FATCA 身份聲明

Do you possess any of the following U.S. indicia? 閣下是否擁有以下任何一項美國指標?

US citizenship / tax residency (e.g. US passport/Green Card holder, U.S. taxpayer, etc.)

美國公民/繳納美國稅務的居民 (如美國護照/綠卡持有者、美國納稅人等)

Yes 是 No 否

Born in USA 美國出生

Yes 是 No 否

Address of USA (mailing address if living in USA) 美國地址 (如居住地址、郵寄地址)

Yes 是 No 否

US Tel No. (e.g. home, office, mobile or fax no.) 美國電話號碼 (如住宅、工作、流動、傳真號碼)

Yes 是 No 否

Standing instructions to pay amounts from Innovest Securities Investment Limited to an US account 向某美國銀行賬戶發出常設的款項轉賬指示

Yes 是 No 否

FATCA IDENTITY DECLARATION / FATCA 身份聲明

Please Select One Only 請選擇一項

Non US Individual(s) with no US indicia 非美國人士, 及沒有美國指標 (W-8BEN Form 表格)

Non US Individual(s) with US indicia 非美國公民, 但具有美國指標 (W-8 Form 表格)

US Individual(s) 美國公民 (W-9 Form 表格)

DECLARATION 聲明

The Account Applicant(s) represent(s) that the information on this Account Application Form is true, complete and correct and that the representations in the attached Client Agreement of Innovest Securities Investment Limited (including the Risk Disclosure Statement) ("Agreement") are accurate. Information on this Account Application Form and representations in the Agreement are collectively referred as the "Account Opening Information". Innovest Securities Investment Limited ("Company") is entitled to rely fully on such Account Opening Information for all purposes, unless the Company receives notice in writing of any change.

All transactions to be concluded with or through the Company shall be subject to the terms and conditions of the Agreement. Please read the Agreement carefully before signing this Account Application Form. By signing below, the Account Applicant(s) confirm(s) that he/she/they have/has read through and understood all the terms and conditions set out in the Agreement, and agree(s) to adhere to and accept all the arrangements and relevant terms and conditions as set out in the Agreement, in particular the section entitled "Risk Disclosure Statements" and shall be bound by the Agreement as it may be amended from time to time.

I acknowledge that I have carefully read and fully understand the content of "Risk Disclosure Statement—Derivative Products". If I decide to trade the Derivatives Products, I agree to bear the risks involved. I confirm that I shall make my own risk assessment, or seek independent professional advice, and I have sufficient net worth to be able to assume the risks and bear the potential losses before trading the Derivatives Products, I understand that Innovest Securities Investment Limited does not encourage the clients to trade the Derivatives Products if they do not have any knowledge or experience trading to the Derivatives Products.

The Account Applicant(s) hereby agree(s) that Innovest Securities Investment Limited may use and/or disclose my/our personal information in accordance with Personal Information Collection Statement and acknowledge(s) that I/we have read and understood the said Statement. The Account Applicant(s) understand(s) that I/we have the right to opt-out of the use of my/our personal information in accordance with the option set out below.

戶口申請人茲聲明在本開戶申請表內的資料屬實、完整及正確，粵創證券投資有限公司的<<客戶協議>> (包括<<風險披露聲明>>)(以下簡稱為「協議」)內的一切申述準確。本開戶申請表內的資料及「協議」內的申述，以下統稱為「開戶資料」。除非 粵創證券投資有限公司 (以下簡稱為「本公司」)接到更改有關「開戶資料」內容的書面通知，本公司有權在任何用途上完全依賴這些「開戶資料」。本公司有權隨時聯絡任何人，包括但不限於戶口申請人之銀行、經紀或任何信貸調查機構，以求證實「開戶資料」內所載之內容。

所有由本公司與/或透過本公司進行之交易，均受「協議」之條文限制。請於簽署本開戶申請表前，細閱「協議」各項條文。於下方簽署乃確認閣下已細閱及明白「協議」所列明的各項條款及條件，及同意遵守及接受「協議」一切列明的安排及有關之條款及條件內容(尤其「風險披露聲明」一節)，並接受該等現時有效及不時修改的條文約束。

本人確認本人已細心閱讀及完全明白在《風險披露聲明—衍生產品》的內容。如果本人決定買賣該等衍生工具產品時，本人同意承擔有關風險。本人確認，在買賣衍生工具產品前，本人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。本人明白，如客戶並沒有衍生工具產品的知識或經驗，粵創證券投資有限公司並不鼓勵客戶進行衍生工具產品買賣。

戶口申請人同意 粵創證券投資有限公司 可根據其個人資料收集聲明，使用及/或披露本人/吾等之資料。確認已閱讀及明白可根據其個人資料收集聲明，使用及/或披露本人/吾等之資料。確認已閱讀及明白附上的聲明。

Applicant(s) Signature 申請人簽署

Individual/Primary Joint Account Holder's Signature 個人/聯名戶口第一持有人簽署		Secondary Joint Account Holder's Signature 聯名戶口第二持有人簽署	
Name (Please use block letter) 姓名 (請使用正楷)		Name (Please use block letter) 姓名 (請使用正楷)	
Date 日期		Date 日期	
Witness Signature 見證人簽署			
Name(Please use block letter) 姓名(請使用正楷)			
Occupation(Please use block letter) 職業(請使用正楷)			
Address(Please use block letter) 地址(請使用正楷)			
Date 日期			

Risk Statements 風險聲明 { to be completed by Innovest Securities Investment Limited 此欄由 粵創證券投資有限公司 填寫 }

Declaration by Licensed Person 持牌人士聲明：

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

本人確認已經以客戶選擇的語言(英文或中文) 提供風險披露聲明並且本人已經邀請客戶閱讀該風險披露聲明,提出問題及尋求獨立的意見(如客戶有此意願)。

Signature of Licensed Person 持牌人士簽署:

CE No.中央編號:

Name of Licensed Person 持牌人士姓名:

Date 日期:

Account Opening Form filled out by: 開戶申請書填寫人

AE Name: 註冊人姓名	Signature 註冊人簽署	CE No: 中央編號	Date: 日期
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FOR OFFICIAL USE ONLY 僅供本行使用

Document check list 文件核查清單

Are all the relevant answers / signatures provided in this Account Opening Form			
1. 已填寫/簽署開戶申請書的所有有關項目	<input type="checkbox"/> Yes 是	<input type="checkbox"/> No 否	
2. I.D. Card / Passport copy obtained 身份證 / 護照副本	<input type="checkbox"/> Yes 是	<input type="checkbox"/> No 否	
3. Address proof copy obtained 地址證明副本	<input type="checkbox"/> Yes 是	<input type="checkbox"/> No 否	
4. Employer consent letter obtained (if applicable) 僱主同意書(如適用)	<input type="checkbox"/> Yes 是	<input type="checkbox"/> No 否	<input type="checkbox"/> Not applicable 不適用
5. PEP status confirmation 政治身份核實 (if applicable)	<input type="checkbox"/> Yes 是	<input type="checkbox"/> No 否	Details 詳情
6. US IRS W8 Form 表格 US IRS W8 (如適用)	<input type="checkbox"/> Yes 是	<input type="checkbox"/> No 否	<input type="checkbox"/> Not applicable 不適用
7. IRD Self-Certification Form 共同匯報標準自我證明表格	<input type="checkbox"/> Yes 是	<input type="checkbox"/> No 否	
8. External Client search (see below*) 客戶資料檢查(閱下表)	<input type="checkbox"/> Yes 是	<input type="checkbox"/> No 否	Attach external reports 附報告
9. Remarks 備註:			
Documents checked by 文件查核			
Signature of Staff 職員簽署			
Date 日期			

Account brokerage rate 戶口佣金

Market/ Product 市場/ 形式	Online trading 網上交易	Offline trading 電話下單
HK stocks 香港股票市場		
Minimum brokerage (HKD): 基本佣金 (港幣)		

External Client Search (verify/check)* 客戶資料檢查詳情*

Staff Name 員工姓名:	Date of search 檢查日期:
External company 檢查公司:	
Remarks / results 報告/結果:	

ACCOUNT OPENING APPROVAL 開戶批核

Responsible Officer Approval 負責人員批核 (Name of signatory 簽署姓名):	
Signature 簽署:	
Date 日期:	

Client information updated by 客戶資料更新

Name of Input: 輸入者		Signature 簽署:		Date 日期:	
Name of checker: 查核者		Signature 簽署:		Date 日期:	

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