

東皓證券有限公司SUNFUND SECURITIES LIMITED

香港中環夏慤道12號美國銀行中心10樓 1004室

Account No. 帳戶編號: _____

Unit 1004, 10/F, Bank of America Tower, No.12 Harcourt Road, Central, Hong Kong

Tel 電話: 2292 5563

Fax 傳真: 2292 5555

Date 日期: _____

CE No. 中央編號: BHV 050

Website 網址: www.sunfund.com.hk

AE Code: _____

Account Opening Form (Individual Account) 開戶表格 (個人賬戶)

<input type="checkbox"/> Securities Account (Cash) 證券帳戶 (現金)	<input type="checkbox"/> Internet Trading 電子交易服務
<input type="checkbox"/> Securities Account (Margin) 證券帳戶 (保證金)	

(I) Personal Information 個人資料

English Name 英文姓名	Mr./Ms.	Mobile Number 流動電話
Chinese Name 中文姓名	先生/女士	Home Tel. Number 住宅電話
ID/Passport No. 身份證/護照號碼		Office Tel. Number 辦公室電話
Nationality 國籍	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Other: 其他:	Email Address 電郵地址
Place of Birth 出生地點	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Other: 其他:	Date of Birth 出生日期
Residential and Permanent Address 住宅及永久地址		
Send statement & contract note to: <input type="checkbox"/> Email Address 電郵地址 <input type="checkbox"/> Residential Address 住宅地址 <input type="checkbox"/> Address Below 以下地址		
Correspondence Address 聯絡地址 _____ _____		

(II) Education & Employment Status 教育及工作狀況

Education Level 教育程度	<input type="checkbox"/> Primary or below 小學或以下	<input type="checkbox"/> Secondary 中學	<input type="checkbox"/> Tertiary or above 大學或以上
Name of Employer 雇主名稱	Nature of Business 業務性質	Position 職位	Year with Employer 任職年期
Business Address 工作地點			

(III) Settlement Bank Information 交收銀行資料 (For Fund Deposit Only 只供入數之用)

Currency 貨幣	Name of Bank 銀行名稱	Account Number 戶口號碼
HKD 港元		
USD 美金		
RMB 人民幣		

(IV) Financial Profile 財務狀況

Annual Income 每年收入 (in HK\$ 港幣)				
<input type="checkbox"/> <= \$120,000	<input type="checkbox"/> \$120,001 – \$360,000	<input type="checkbox"/> \$360,001 – \$600,000	<input type="checkbox"/> \$600,001 – \$1,200,000	<input type="checkbox"/> > \$1,200,000
Total Net Asset 資產淨值 (in HK\$ 港幣)				
<input type="checkbox"/> <= \$500,000	<input type="checkbox"/> \$500,001 – \$1,000,000	<input type="checkbox"/> \$1,000,001 – \$5,000,000	<input type="checkbox"/> > \$5,000,000	
Ownership of Residence 住宅業權				
<input type="checkbox"/> Owned 自置 (<input type="checkbox"/> Mortgaged 按揭 / <input type="checkbox"/> without Mortgage 無按揭) <input type="checkbox"/> Rented 租用 <input type="checkbox"/> Owned by relative 親屬擁有房產				
Sources of Fund/Wealth 資金/財富來源				
<input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Return of Investment 投資收入 <input type="checkbox"/> Reserves 退休金 / 儲備 <input type="checkbox"/> Others 其他 : _____				

(V) Investment Experience and Objective 投資經驗及目標

Experience with Investment Product 投資產品經驗					
<input type="checkbox"/> Stocks 證券	<input type="checkbox"/> Nil 沒有	<input type="checkbox"/> < 1 year 年	<input type="checkbox"/> < 1-3 years 年	<input type="checkbox"/> < 3-5 years 年	<input type="checkbox"/> > 5 years 年
<input type="checkbox"/> CBBC 牛熊證	<input type="checkbox"/> Nil 沒有	<input type="checkbox"/> < 1 year 年	<input type="checkbox"/> < 1-3 years 年	<input type="checkbox"/> < 3-5 years 年	<input type="checkbox"/> > 5 years 年
<input type="checkbox"/> Warrants 衍生權證 (窩輪)	<input type="checkbox"/> Nil 沒有	<input type="checkbox"/> < 1 year 年	<input type="checkbox"/> < 1-3 years 年	<input type="checkbox"/> < 3-5 years 年	<input type="checkbox"/> > 5 years 年
<input type="checkbox"/> Futures/Options 期貨/期權	<input type="checkbox"/> Nil 沒有	<input type="checkbox"/> < 1 year 年	<input type="checkbox"/> < 1-3 years 年	<input type="checkbox"/> < 3-5 years 年	<input type="checkbox"/> > 5 years 年
<input type="checkbox"/> Funds 基金	<input type="checkbox"/> Nil 沒有	<input type="checkbox"/> < 1 year 年	<input type="checkbox"/> < 1-3 years 年	<input type="checkbox"/> < 3-5 years 年	<input type="checkbox"/> > 5 years 年
<input type="checkbox"/> Bonds 債券	<input type="checkbox"/> Nil 沒有	<input type="checkbox"/> < 1 year 年	<input type="checkbox"/> < 1-3 years 年	<input type="checkbox"/> < 3-5 years 年	<input type="checkbox"/> > 5 years 年
<input type="checkbox"/> Others 其他 _____	<input type="checkbox"/> Nil 沒有	<input type="checkbox"/> < 1 year 年	<input type="checkbox"/> < 1-3 years 年	<input type="checkbox"/> < 3-5 years 年	<input type="checkbox"/> > 5 years 年
Estimated Investment Amount 估計投資金額					
<input type="checkbox"/> <= \$100,000	<input type="checkbox"/> \$100,001 - \$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	
Investment Objective 投資目標					
<input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Dividend Yield 股息回報 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Capital Gain 資本增值					
<input type="checkbox"/> Others 其他 _____					
Investment Time Horizon 投資年期					
<input type="checkbox"/> Short Term 短線 <input type="checkbox"/> Medium Term 中線 <input type="checkbox"/> Long Term 長線					
I wish to purchase the following derivative product(s) which is/are traded on an exchange 本人希望購入以下可在交易所買賣之衍生產品					
<input type="checkbox"/> Callable Bull/Bear Contracts (CBBC) 牛熊證 / Derivative Warrants 衍生權證(窩輪) / Exchange-Traded Funds (ETFs) 交易所買賣基金					
Knowledge of Derivative Products 對衍生產品的認識:					
<input type="checkbox"/> 1. I underwent training or attended courses on derivative products. 本人曾接受有關衍生產品的培訓或修讀相關課程。					
<input type="checkbox"/> 2. I have current or previous work experience related to derivative products. 本人現時或過去擁有與衍生產品有關的工作經驗。					
<input type="checkbox"/> 3. I have executed five or more transactions within the past three years in derivative products, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Index Futures and Options, Commodities Futures, Structured Products, and Exchange-Traded Funds, etc. 本人於過去 3 年內曾執行過 5 次或以上有關衍生產品的交易，例如：衍生權證、牛熊證、股票期權、指數期貨及期權、商品期貨、結構性產品及交易所買賣基金等。					
<input type="checkbox"/> 4. I do not have any knowledge of derivative products. 本人並未有衍生產品之認識。					
SSL has accessed the Client based on the information provided above, and have notified the Client that it is compulsory to understand derivative products before trading them. SSL has also warned the Client about the product nature, characteristics and risk associated with derivative products. 東皓證券已根據以上資料對客戶進行評估，並已通知客戶買賣衍生產品前必須對相關產品具備足夠的認識，及已提醒客戶要注意衍生產品之產品性質、特性及風險。					

(VI) Declaration 聲明

Identity Declaration 身份聲明	
Are you acting as an intermediary for the account? 閣下是否以中介人身份操作帳戶? If yes 如是, Name of the ultimate beneficial owner(s) 戶口最終權益擁有人名稱: _____ ID/Passport No. 身份證/護照號碼: _____ Phone No. 電話號碼: _____	<input type="checkbox"/> YES 是 <input type="checkbox"/> NO 否
Do you have any relationship with any substantial shareholder, director or employee of SSL or its associated companies? 閣下是否與東皓證券或其關聯公司之主要股東、董事或僱員有任何關係? Name of associated company (if applicable) 關聯公司名稱 (如適用): _____ Name of shareholder/director/employee* 股東/董事/僱員*名稱: _____ Relationship 關係: _____	<input type="checkbox"/> YES 是 <input type="checkbox"/> NO 否
Are you a U.S. citizen (e.g. holding a U.S. Passport) or U.S. resident alien (e.g. holding U.S. green card)? 閣下是否為美國公民 (持有美國護照) 或美國居民 (持有美國綠卡)? If yes, please fill in Form W-9. Otherwise, please fill in Form W-8BEN. 如是, 請填寫 W-9 表格, 否則請填寫 W-8BEN 表格。	<input type="checkbox"/> YES 是 <input type="checkbox"/> NO 否
Are you an employee of a licensed corporation under the Securities and Futures Ordinance, or a registered institution under the Banking Ordinance (whether you are currently a SFC licensed person/HKMA registered person or not)? 閣下是否為任何根據證券及期貨條例註冊機構之僱員 (不管閣下現在是否為證監會持牌人士/金管局註冊人士)? If yes, you must provide consent letter from your employer 如是, 必須出示僱主之授權信 Licensed Corporation/Registered Institution Name 持牌法團/註冊機構名稱: _____ Position 職位: _____ CE No. 中央編號: (Employer 僱主) _____ / (Employee 僱員) _____ (if any 如有)	<input type="checkbox"/> YES 是 <input type="checkbox"/> NO 否
Related Account(s) 相關帳戶	
Does the spouse of the Client have an account with SSL? 客戶的配偶是否持有東皓證券的帳戶? Name of Spouse 配偶姓名: _____ Account No. 帳戶號碼: _____	<input type="checkbox"/> YES 是 <input type="checkbox"/> NO 否
Does the Client, either alone or with the spouse, is/are in control of 35% or more of the voting rights of any corporate client of SSL? 客戶是否單獨或與配偶共同控制任何東皓證券的公司客戶 35%或以上之表決權? Name of corporate client 公司客戶姓名: _____ Account No. 帳戶號碼: _____	<input type="checkbox"/> YES 是 <input type="checkbox"/> NO 否
Personal Data 個人資料	
<p>SSL intends to use your personal data in direct marketing which requires your consent. By signing this Account Opening Form, you agree to receive promotional and direct marketing information from SSL in respect of financial, insurance, securities, investment services and products SSL may offer. You further agree that SSL may share your personal data with its group companies for marketing purposes.</p> <p>東皓證券擬使用閣下的個人資料作直接促銷, 為此須取得閣下的同意。通過簽署此開戶申請表格, 你同意東皓證券向你發放關於財務、證券、投資服務和產品的推廣資料。你亦同意東皓證券與其所屬集團的公司分享閣下的個人資料作行銷用途。</p>	

(VII) Acknowledgement and Execution by the Client 客戶確認及簽署

1. I hereby confirm and represent that the information on this Account Opening Form is true, complete and correct. SSL is entitled to rely fully on such information and representations for all purposes, unless SSL receives notice in writing of any change of information contained on this Account Opening Form. SSL or any of its agents is hereby authorized at any time to contact anyone, including my/our banks or any credit agency, for the purpose of verifying the information provided on this Account Opening Form.
本人謹此聲明在開戶表格所提供之資料全部為真實、完整及正確，除非東皓證券接到更改有關本開戶表格內容之書面通知，否則東皓證券有權完全依賴此等資料及聲明作一切用途。東皓證券或其代理獲授權可隨時就核對本開戶表格資料事宜，與任何人包括吾等之銀行或任何信用機構進行核實。
2. I hereby confirm that I have been provided the Client Agreement (“the Agreement”) of SSL, the Terms of Electronic Trading Services (if applicable) and the Risk Disclosure statement – Securities Trading Account in a language of my choice (English or Chinese), receipt of copy of which is hereby acknowledged by me/us. We acknowledge that we have read and understood the content of the aforementioned documents.
本人確認東皓證券已按吾等選擇的語言（英文或中文）提供了客戶協議書（“該協議書”）、電子交易服務條款（如適用）及風險披露聲明書–證券交易帳戶。本人確認已閱讀及明白以上文件之內容。
3. I hereby apply to open the types of account(s) and service(s) which I chose on the front page of this Account Opening Form and confirm that I have read and understand the relevant provisions of the attached Client Agreement and accept and agree to be bound by the Agreement as the same may be amended from time to time, and I hereby give you notice in writing that I confirm and authorize SSL to exercise all powers of the Standing Authorization under the Client Agreement. I understand and agree that Sunfund Securities shall have absolute rights to amend, delete or substitute any of the terms herein or add new terms to the Agreement (including but not limited to the Fees and Charges Schedule). I acknowledge that I should visit the company website (<https://www.sunfundsecurities.com.hk/>) from time to time to obtain the latest Agreement and read the terms thereof. Such amendment, deletion, substitution or addition shall be deemed as effective and incorporated herein (and shall form part of the Agreement) on the date of publication of such amendment notice. I understand that I may raise written objection within seven (7) days after the publication of such amendment notice at the SSL Website. Failing which, it shall be deemed an acceptance of such amendment, deletion, substitution or addition.
本人現申請開立本人在本開戶表格頁首所選擇之帳戶及服務類別。本人確認已閱讀並明白附上之客戶協議書內所有有關條款並且接受及同意收可不時被修改的協議書之條款所約束，本人在此以書面通知、及確認並授權東皓行在客戶協議書內全部的常設授權。客戶明白及同意東皓證券有絕對權利修訂、刪除或替代本協議（包括但不限於“費用及收費”的條款）內的任何條款或增加新條款。本人應不時登入公司網站(<https://www.sunfundsecurities.com.hk/>)以獲得最新之本協議並細閱其條款。該等修訂、刪除替代或增加的條款將於修訂通知刊載當日生效及納入本協議內（並構成本協議的一部分）。本人可於修訂通知在東皓網站上刊載當日後七（7）日內提出書面反對，否則將被視為接受該等修訂、刪除、替代或增加的條款。
4. I request SSL to open a securities trading account (“the Account”) for me and agree to abide by the rules and regulations of the Exchange or any other regulatory body as amended from time to time governing the purchase and sale of securities quoted on the Exchange or any other stock exchanges.
本人要求東皓證券為本人開立證券買賣帳戶（“該帳戶”）並同意遵守聯交所及其他監管機構不時修訂以監管於聯交所或其他交易所進行證券買賣之條例及規則。
5. I further acknowledge and confirm that I have been invited by SSL to read the Risk Disclosure Statement – Securities Trading Account and the Terms of Electronic Trading Services (if applicable); ask questions and take independent advice, if I so wish.
本人進一步確認東皓證券已邀請本人閱讀風險披露聲明書–證券交易帳戶及電子交易服務條款（如適用）；提出問題及徵求獨立的意見（如吾等有此意願）。
6. I want to use the internet securities trading service. I have read and understood the provisions of the Terms of Electronic Trading Services as set out in the Standard Terms and Conditions of the Agreement and I accept to be bound by the same (if applicable).
本人欲使用互聯網證券交易服務，本人已經閱讀並明白在該協議書內的標準條款及細則中所載之交易服務條款的細則，並接受這些條款的約束（如適用）。
7. I have carefully read, fully understood and agreed to accept and be bound by the Personal Information Collection Statement of the Agreement.
本人已仔細閱讀、完全理解並同意接受及遵守該協議書內之個人資料收集聲明。
8. I understand and agree that the ‘Fee and Charges’ may be updated from time to time and published at https://www.sunfundsecurities.com.hk/securities/fees_and_charges/
本人明白及同意“費用及收費”會不定期更新，並刊登於網頁 https://www.sunfundsecurities.com.hk/securities/fees_and_charges/ 內。
9. I agree that SSL shall be entitled to deposit all moneys or funds held in the securities account and all moneys received for or on account of the Client with one or more accounts at one or more licensed banks. Any interest accrued on such moneys or funds shall belong to SSL absolutely. I hereby expressly waives any or all rights, claims and entitlements whatsoever to such interest.
本人同意東皓證券有權將證券帳戶中所有款項或資金，以及為客戶收取的所有款項存放在一間或多間持牌銀行的一個或多個帳戶內，而該等款項或資金累算的任何利息，均屬於東皓證券所有。本人謹此明確地放棄該利息附帶的任何或所有權利、索償權及享有權。

Signed by Client 客戶簽署

Date 日期

Account Name 客戶名稱:

(VIII) Certification of Client Signature and Identity Proof 見證客戶簽署及身份證明文件驗證

If this Account Opening Form is not executed in front of SSL's SFC licensed employee or is not submitted with a cheque, a specific person, including any SFC licensed or registered person, a Justice of Peace, or professional such as a Branch Manager of a bank, Certified Public Accountant, lawyer or Notary Public, should be required to sign below. The specified person should provide us with self-certified ID copy and copy of the professional qualification document.

若本開戶表格並非在東皓證券之證監會持牌僱員面前簽立或並非連同支票一併遞交，則一下部分應由指定人士，包括其他證監會持牌人或註冊人，太平紳士或專業認識例如銀行分行經理、執業會計師、律師或公證人，簽驗證。而該指定人士需提供其已簽署之身份證明副本及其專業資格證明文件之副本。

The undersigned person hereby certify the signing of this Account Opening Form (together with the Client Agreement) by the above Client(s) and witness of related identity documents of such Client(s):

以下簽署人士謹此見證上述客戶簽立此文件（連同客戶協議書）及其有關的身份證明文件：

Date 日期: _____

Signed and Certified by 簽署及見證人	Name 姓名	Profession/Title 所屬專業及職銜
Address 地址		Contact No. 聯繫電話

(IX) Declaration by Licensed Staff 持牌職員聲明

I, a registered person, declare that I have provided the above Client with a copy of the Risk Disclosure Statement – Securities Trading Account in a language of the Client's choice and invited the Client to read it, ask questions, and take independent advice if the Client so wishes.

本人，以持牌人士身份，確認本人已按照上述客戶所選擇的語言提供風險披露聲明書 - 證券交易帳戶之副本及邀請客戶閱讀該聲明書、提出問題及徵求獨立意見（如客戶有此意願）。

The signature(s) of the above Client(s) was/were made in my presence.

以上客戶簽署乃於本人面前簽立。

Date 日期: _____

Signed by Staff 職員簽署	Name of Staff 職員姓名	CE Number 中央編號
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For Internal Use Only 本公司內部使用

<input type="checkbox"/> Client is age 18 or older <input type="checkbox"/> ID/Passport Copy <input type="checkbox"/> Address proof dated within 3 months <input type="checkbox"/> Form W-8BEN or Form W-9 <input type="checkbox"/> Cheque with verified signature (if applicable) <input type="checkbox"/> Others	<input type="checkbox"/> Standard commission rate 標準佣金收費: 0.25% min. \$100 <input type="checkbox"/> Other 其他佣金收費: _____		
	Trade/Loan Limit 交易限額/信貸限額: _____		
	Client referred by 客戶介紹人:	How long has referrer known the Client 介紹人認識客戶多久: <input type="checkbox"/> Less than a month 少於一個月 <input type="checkbox"/> Other 其他:	
Checked by 資料核對:	A/C Approved by 帳戶批核:	Input by 資料輸入:	Password sent by 密碼發送: