

ZH SECURITIES LIMITED 中昊證券有限公司
SECURITIES TRADING ACCOUNT OPENING FORM (INDIVIDUAL ACCOUNT)
證券交易戶口開戶表格(個人帳戶)

Please complete in BLOCK LETTERS 请用正楷填写

TYPE(S) OF ACCOUNT 请选择账户种类:		
<input type="checkbox"/> Securities Account (Cash) 证券账户 (现金) <input type="checkbox"/> Securities Account (Margin) 证券账户 (保证金)		
Apply for the Electronic Trading Service? 是否需要开通电子交易服务? <input type="checkbox"/> Yes , I have read and confirmed the content of "Internet Securities Trading Agreement", and now apply for this service. 是, 本人已阅读并确认《互联网证券交易协议书》的内容, 现申请开通该服务。 <input type="checkbox"/> No , I confirm that I will not apply for the Electronic Trading Service. (The Trading Account will not be able to deal with transactions through online trading systems or mobile phones.) 否, 本人确认不需要开通电子交易服务 (账户将无法通过网上交易系统、手机版等进行交易)。		
PERSONAL INFORMATION 个人资料		
English Name 英文姓名	Gender 性别:	<input type="checkbox"/> Male 男 <input type="checkbox"/> Female 女
Chinese Name 中文姓名	Date of Birth 出生日期 (DD 日/MM 月/YYYY 年)	
Nationality 国籍	ID/Passport No. 身份证/护照号码	
Home Tel. Number 住宅电话	Mobile Number 流动电话	
Residential Address 住宅地址 (Note: Proof of Valid Address is Required. 注: 须提供有效住址证明)		
<input type="checkbox"/> Self-owned 自置物业 <input type="checkbox"/> Mortgaged 按揭物业 <input type="checkbox"/> Rented 租用物业 <input type="checkbox"/> Living with family 与家人同住 <input type="checkbox"/> Others 其他 _____		
Correspondence Address 通讯地址 (If different from Residential Address 如与住宅地址不同) (Note: Proof of Valid Address is Required. 注: 须提供有效住址证明)		
Email Address 电邮地址		
Deliver correspondences and statement 收取通讯及结单 (Choose one only 只可选择其一)		
<input type="checkbox"/> By email Address 以上电邮地址 (Administrative Fee may be waived 可豁免行政费) <input type="checkbox"/> By mail to correspondence address 邮寄至通讯地址 (administration fee is required 需缴交行政费用)		
Language selection for statements 结单语言选择: <input type="checkbox"/> 中文 <input type="checkbox"/> English		
STANDING PAYMENT INSTRUCTION (BANK INFORMATION) 常设提款指示 (银行资料)		
Please transfer the money into the following bank account opened under my name(s) upon request. 请中昊证券在本人要求时将款项转账至下列以本人名义开设的银行账户。		
	Bank Name 银行名称	Account Number 账户号码
<input type="checkbox"/> HKD A/C 港元账号	_____	_____
<input type="checkbox"/> USD A/C 美元账号	_____	_____
<input type="checkbox"/> CNY A/C 人民币账号	_____	_____
<input type="checkbox"/> Other Currency A/C 其他币种账号	_____	_____

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EMPLOYMENT STATUS 就业情况		
Name of Current Employer 目前雇主名称	Business 行业性质	Position 职位
Company Address 公司地址	Company Tel No. 公司电话号码	Fax No. 传真号码
FINANCIAL INFORMATION 财务状况		
(1) Annual income (HKD) 每年收入(港元)		
<input type="checkbox"/> Under /少于\$250,000 <input type="checkbox"/> \$250,001 - 500,000 <input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> Above/多于\$1,000,000		
(2) Source of income 收入来源:		
<input type="checkbox"/> Salary income 薪酬所得 <input type="checkbox"/> Savings 储蓄 <input type="checkbox"/> Pension 退休金 <input type="checkbox"/> Dividend 分红所得 <input type="checkbox"/> Investment 投资收益 <input type="checkbox"/> Other 其他 (please specify 请注明) : _____		
(3) Total net worth (HKD) 资产净值 (港元)		
<input type="checkbox"/> Under/少于\$1,000,000 <input type="checkbox"/> \$1,000,001 - \$5,000,000 <input type="checkbox"/> \$5,000,001 - \$10,000,000 <input type="checkbox"/> Above/多于\$10,000,000		
(4) Liquid Assets (HKD) 流动资产 (港元)		
<input type="checkbox"/> Under/少于\$1,000,000 <input type="checkbox"/> \$1,000,001 - \$5,000,000 <input type="checkbox"/> \$5,000,001 - \$10,000,000 <input type="checkbox"/> Above/多于\$10,000,000		
INVESTMENT EXPERIENCE AND KNOWLEDGE 投资经验及知识		
(1) Years of Investment Experience 投资经验年资		
<input type="checkbox"/> Nil 没有 <input type="checkbox"/> Securities 证券 _____ years 年 <input type="checkbox"/> Warrants 认股权证 _____ years 年 <input type="checkbox"/> Futures/Options 期货/期权 _____ years 年 <input type="checkbox"/> Leveraged Foreign Exchange 杠杆外汇 _____ years 年 <input type="checkbox"/> Others 其他: (_____) _____ years 年		
(2) Investment objectives 投资目的		
<input type="checkbox"/> Hedging 对冲 <input type="checkbox"/> Capital gain 资本增长 <input type="checkbox"/> Dividend income 股息收入 <input type="checkbox"/> Speculation 投机 <input type="checkbox"/> Others 其他 _____		
(3) Does client have general knowledge of the nature and risks of structured products (including derivatives)? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 客户有没有关于结构性产品 (包括衍生工具) 的性质及风险的一般知识?		
(4) Has the client ever undergone training or attended courses on structured products (including derivatives)? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 客户有没有参加过关于结构性产品 (包括衍生工具) 的培训或课程?		
(5) Has the client executed five or more transactions within the past three years in any structured products (including derivatives)? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 客户有没有于过去 3 年曾执行 5 次或以上关于任何结构性产品 (包括衍生工具) 的交易?		
(6) Client understands that client may request ZH Securities to provide documents showing the nature of the derivatives products. Investment intentions towards derivatives of client. <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 客户明白可要求中昊证券提供衍生产品的特性文件。客户对衍生产品买卖交易的投资意向?		
(7) Expected daily transaction volumes (HKD): <input type="checkbox"/> < 50,000 <input type="checkbox"/> 50,001-500,000 <input type="checkbox"/> 500,001-1,000,000 <input type="checkbox"/> 1,000,001 > 预期每日交易量 (港币):		
OTHER DISCLOSURES 其他数据披露		
(1) Is Client related to any ZH Securities employee or their relatives? 客户是否为中昊证券或其关联公司的雇员或任何雇员的亲属? <input type="checkbox"/> No 不是 <input type="checkbox"/> Yes, corresponding employee's name is 是, 雇员姓名为: _____		
(2) Is Client a director or an employee or any licensed or employed in a company registered with and recognized by Hong Kong SFC? 客户是否为其他香港证监会认可的持牌人或注册人仕, 或任何持牌或注册人仕之董事或职雇员? <input type="checkbox"/> No 不是 <input type="checkbox"/> Yes, details are 是, 详情为: _____		
(3) Identity of the ultimate beneficial owner(s) of the Account. 账户最终权益拥有人的身份。 <input type="checkbox"/> Client 本人 <input type="checkbox"/> Others 非本人 (Please specify 请说明) _____ Name 名称: _____ ID /Passport No. 身份证/护照号码: _____ Nationality 国籍 _____ Telephone No. 电话号码: _____ Address 地址: _____		

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(4) Does the spouse of the Client have a margin account with ZH Securities (the 'Company')? 客户的配偶是否持有中昊证券的保证金账户?	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 Account no. 帐户号码 Name of spouse 配偶名称
(5) Does the Client, either alone or with his/her spouse, is not in control of 35% or more of the voting rights of another margin client of ZH Securities (the 'Company')? 客户是否单独或与客户配偶共同控制任何中昊证券保证金账户 35%或以上投票权?	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 Account no. 帐户号码 Name of spouse 配偶名称 Name of company 公司名称

AUTHORIZED PERSON (if applicable) 获授权人 (如适用)

客户持有之所有账户可根据以下获授权人之指示运作。客户兹声明对由获授权人士或声称获授权人士所发出之任何指示(包括但不限于口头指示或书面指示)承担全部责任。

All account(s) maintained by the client can be operated on the instructions of the Authorized Person. The Client hereby declare 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).

Name of Authorised Person: 获授权人姓名	ID No. / Passport No.: 身份证/护照号码	Signed by Authorised Person: 获授权人签署
Relationship between Authorised Person and client: 获授权人与客户关系	Reasons of authorization: 获授权原因	Signed by Client: 客户签署

ANTI-MONEY LAUNDERING & COUNTER-TERRORIST FINANCING QUESTIONNAIRE 打击洗钱及恐怖分子资金筹集风险问卷

(1) Are you; and/or your spouse, partner, child(ren) and/or parent(s); and/or spouse(s) or partner(s) of your child(ren); and/or your close associate(s) *: entrusted with prominent public functions (e.g. Head of State or government, senior politicians/important political officials, senior government officials, senior judicial officials, senior military officials, senior executives of state owned enterprise or religious leaders)? (If yes, please specify)

客户及/或客户之配偶、伴侣、子女及/或父母; 及/或客户子女的配偶或伴侣; 及/或客户关系密切的人*是否被委任为重要公职(例如: 国家或政府元首、重要政客、高级政府官员、高级司法人员、高级军官、国有企业高级行政人员或宗教领袖)? (如是, 请说明)

No 不是 Yes, details are 是, 详情为: _____

(2) Did you directly/indirectly do transactions with high frequency**/transfer fund/property between a number of financial institutions/with third parties who were unrelated or hard to be verified?

客户是否曾在多间金融机构之间/与无关联或难以核实的第三者直接/间接进行频繁**交易/资金调拨/财产转移?

No 不是 Yes, details are 是, 详情为: _____

(3) Did you do transactions or transfer fund with high frequency* in high-risk countries#?

客户是否曾在具有高危国家#进行交易或进行频繁*的资金调拨?

No 不是 Yes, details are 是, 详情为: _____

* *Note: a person is a "close associate" of an individual if the person is: (a) an individual who has close business relations with the first-mentioned individual, including an individual who is a beneficial owner of a legal person or trust of which the first-mentioned individual is also a beneficial owner; or (b) an individual who is the beneficial owner of a legal person or trust that is set up for the benefit of the first-mentioned individual.*

备注: 如某人符合以下说明, 该人即属于某个人关系密切的人: (a)该人是与该个人有密切业务关系的个人(在该各个人属于法人或信托的实益拥有人的情况下, 包括同样属该法人或信托的实益拥有人的个人); 或(b)该人是属于某法人或信托的实益拥有人的个人, 而该法人或信托是为该个人的利益而成立的。

** *High frequency: more than 20 times every day; more than 100 times (accumulated) every month*

频繁: 每日超过20次; 每月累计次数超过100次

High-risk countries list: Afghanistan, Bosnia and Herzegovina, Guyana, Iraq, Laos, Myanmar, Papua New Guinea, Syria, Uganda, Vanuatu, Yemen, Iran, North Korea or other countries sanctioned by UN. The list will be updated or modified at times according to the Financial Action Task Force (FATF).

高危国家名单: 阿富汗、波斯尼亚和黑塞哥维那、圭亚那共和国、伊拉克、老挝、缅甸、巴布亚新几内亚、叙利亚、乌干达、瓦努阿图、也门、伊朗、朝鲜等等, 并根据财务特别行动组织不时地更新或变更, 或其他联合国制裁国。

(The Financial Action Task Force (FATF) website 财务特别行动组织网站: <http://www.fatf-gafi.org/home/>)

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CONFIRMATIONS AND ACKNOWLEDGEMENTS 确认及承认

I hereby authorize and request ZH Securities Limited to open and maintain a securities trading account ("the Account") in the name of me for the purchases, sales, holdings of and any other dealings in securities as I may instruct you as my agent to effect from time to time on my 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"). I confirm and acknowledge that the Agreement forms an integral part of the Authorization for Account Opening. I acknowledge receipt of a copy of the Agreement.

本人授权要求中昊证券有限公司为本人以本人名义开立并操作一个证券交易帐户("帐户"), 以执行本人不时的指示由中昊证券有限公司以代理人身份为本人购入、卖出、保管或处理各类证券。有关账户之运作须受本开户授权书及客户协议书规限, 本人确认客户协议书为本开户授权书组成之一部份, 并确认已收讫一份客户协议书。

I confirm that the information provided in this Application Form is true, correct and complete. I undertake to notify ZH Securities in the event of any material change to such information. ZH Securities is entitled to rely fully on such information and representations for all purposes, unless ZH Securities received notice in writing of any change. I hereby confirm that I/we have read and agree to be bound by the terms and conditions of the agreement, and agree the Securities Services Charges and that charges are subject to amendment by ZH Securities from time to time without prior notice.

本人确认此开户表格数据全部属实、完整及正确。本人承诺如果该等数据有任何重要的变更会通知公司。除非公司接到更改有关内容的书面通知, 否则公司有权在任何用途上完全依赖这些资料及声明。本人已阅读和同意公司客户协议的条款和条件及证券收费表并同意按公司不时修订之规定缴交不作另行通知。

I confirm that I have authorized ZH Securities to deal with monies, securities and securities collateral in accordance with the terms and conditions of the 'Standing authority'.

本人确认本人已根据「常设授权」条款和条件授权公司处理账户内的款项、证券及证券抵押品。

I confirm that I have confirm, understand and accept the arrangements by ZH Securities in order to obtain access service via online trading platform from ZH Securities.

本人确认本人透过中昊证券网站取览登载的交易文件, 本人确认、明白及接受中昊证券的安排。

I confirm that the risk disclosure statement was provided in a language of my choice (English or Chinese); and I was invited to read the risk disclosure statement (including trading of China Stock Connect), to ask questions and take independent advice if I wish.

本人确定已按照本人的语言获提供风险披露声明(包括进行中华通证证券交易)及获邀请阅读该风险披露声明、提出问题及征求独立的意见(如本人有此意愿)。

I confirm that if there is any change on the above information, I will inform you by written notice within 30 days.

本人承诺就以上有任何改变, 并不迟于30日内向贵公司作出书面通知。

I have no objection to the proposed use of my personal data by any member of ZH Securities and any third parties in direct marketing.

本人不反对公司可向其他人士提供本人的个人资料, 以供他们在直接营销中使用, 而不论该等人士是否公司集团成员。

I declare that I am/are not a United States individual for Foreign Account Tax Compliance Act purposes.

本人声明本人并非「外国账户税法合规法案」下所定义的美国个人。

I have attached a certified copy of my Hong Kong identity card/passport.

本人附上本人的香港身份证/护照的核证副本。

I have attached a certified copy of no more than three months old of my residential address.

本人附上本人不超过三个月的住宅地址的核证副本。

Client Signature 客户签署
In the presence of 见证人#:

Date 日期

Name of Witness 见证人名称

Signature of Witness 见证人签署

Profession/ Qualification/ Position 专业/资格/职位

SFC CE / Registration No. 证监会中央/注册号码

Name of Company 公司名称

Date 日期

Company Address 公司地址

Witness should be a licensed or registered person, an affiliate of a licensed or registered person, a Justice of the Peace, or a professional person such as a branch manager of a bank, certified public accountant, lawyer, notary public, or an officer of an embassy, consulate or high commission of the country of issue of documentary verification of identity.

见证人应为持牌或注册人士、持牌或注册人士的联系人士、太平绅士或专业人士, 例如银行分行经理、执业会计师、律师、公证人, 或发出身份核实文件的国家的大使馆、领事馆或高级专员公署的人员。

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DECLARATION BY REPRESENTATIVE 持牌代表声明

I confirm that I have provided the Risk Disclosure Statements as set out in the Securities Client Agreement in a language (English or Chinese) of the Customer's choice. I have also invited the Customer to read the Risk Disclosure Statements, ask questions and take independent advice if the Customer wishes. 本人确认已经以客户选择的语言(英文或中文)提供了载于证券客户协议内的风险披露声明,并且我已经邀请客户阅读风险披露声明,提出有关问题及寻求独立意见(如客户有此意愿)。

Name of Staff: 职员姓名:	Signature of Staff: 职员签署:
SFC CE No.: 证监会中央编号:	Date & Time: 日期及时间:

Risk Disclosed By 风险披露途径
 Face-to-Face 面对面 Telephone 电话 (Recorded Ext No. 电话录音内线号码: _____)

AML/CFT Risk category 反洗钱风险级别: Low 低 Medium 中 High 高

1. Risk assessment result description (AMLTF)风险评估结果说明(反洗钱问卷):
High risk 高风险 If one or more answer(s) is/are "Yes", the assessment will be "high". 如果在问卷中问题有一个或以上回答“是”,风险评估将为“高”。
Low risk 低风险 If all answers are "No", the assessment will be "low". 如果在问卷中问题全部回答“否”,风险评估将为“低”。
If the risk for the customer is considered as "High. Otherwise continue. 如该客户之清洗黑钱风险应被列作“高”,无须继续以下。

2. The risk for "Nationality" & "Residency" "国籍" & "居住国家"之风险评级:

Nationality 国籍	Residency 居住国家	
	Non-high-risk countries	High-risk countries
High-risk countries	Medium 中风险	High risk 高风险
Non-high-risk countries	Low risk 低风险	Medium 中风险

3. Occupation and Others 职业及其他

Low risk 低风险 Education (i.e. Head Master & teachers), employee of HKMA, SFC, Insurance Authority, ICAC or an authority with the equivalent anti-money laundering objective 教育工作者(即校长或教师)、香港金融管理局、香港证监会、保险业监理处、廉政公署或遵守相当或等于反洗钱要求的受监管机构之雇员

Medium 中风险 Unemployment, Self-employed, Retired person, Student, Housewife, Other occupations 无业、自雇人士、退休人士、学生、家庭主妇、其他职业

High risk 高风险 The customer an owner (holds >10% of the shares), partner, director, authorized signatory or senior executive of the following industries or categories 客户是下列行业/公司之持有人(拥有10%以上之股权)、合伙人、董事、授权签署人或高级管理层:
 Catering (e.g. bars, restaurants), Dealer/trader in gems, precious metals, Jewelry shops, Dealer/trader in art of antiques, Charity, foundation, non-profit organization, Pawnshop, Casino not listed in recognized stock exchange, Entertainment - Karaoke, massage parlour, Unregulated Financial Institution, e.g. money lender, Property developer or construction company, Travel agents (i.e. tour organizers) 饮食业(如酒吧或餐厅)、宝石商、贵金属商、珠宝商、艺术品买卖商、古董商慈善团体、基金会、非牟利机构、当铺、于非认证券市场上之赌场、娱乐场所、卡拉OK、按摩院、未受规管之金融机构(如财务公司)、地产发展商、建筑公司、旅行社(即经办旅行团的公司)

Please refer to the table below to derive the overall Money Laundering risk 请参考以下列表以计算整体清洗黑钱风险评级(2 & 3):

Nationality & Residency	Occupation and Others 职业及其他		
	Low	Medium	High
High	M	M	H
Medium	L	M	M
Low	L	L	M

For Official Use Only 只供本公司使用

Document check list 文件查核列表
 Certified I.D Card/Passport Copy 已核实身份证/护照副本 Address proof Copy 地址证明副本
 Bank Account proof Copy 银行户口证明副本

Document check by:	Compliance check by:	Remarks:
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Approved account opening for and on behalf of ZH SECURITIES LIMITED by
 经由下列人士代表中昊證券有限公司核准开户

Authorized Signatory 获授权签署人 _____ Date 日期: _____

Name 姓名: _____

System input by:	Check by:	Confirmation by:	Scan by:
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