ACCOUNT OPENING APPLICATION FORM

開戶申請表

INDIVIDUAL ACCOUNT/ 個人帳戶

開盤證券

OPEN SECURITIES

Open Securities Limited

開盤證券有限公司

Suite 3208-09, 32/F, Tower 6, The Gateway, 9 Canton Road,
Tsim Sha Tsui, Hong Kong
香港尖沙咀廣東道 9 號港威大廈第六座 32 樓 3208-09 室

Client's Name 客戶名稱： ______________________________

Securities Account Number 證券帳號： ________________

Futures Account Number 期貨帳號： ____________________

In the event that there is any inconsistency between the English version and the Chinese version in this Account Opening Application Form, the English version shall prevail.
開戶申請表之中文版本及英文版本如有任何歧義，概以英文版為準

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Open Securities Limited (**"OPSL"**) is a licensed corporation under the Securities and Futures Ordinance (Cap. 571) (**"SFO"**) licensed to conduct Type 1 (dealing in securities), Type 2 (dealing futures contracts) as well as Type 4 (advising on securities) regulated activities and registered as such with the Securities and Futures Commission of Hong Kong (**"SFC"**) (CE number ACS 694)
開盤證券有限公司(「**開盤證券**」)乃根據《證券及期貨條例》(第 571 章)(「**證券條例**」)獲發牌進行第 1 類(證券交易),第 2 類(期貨合約交易)及第 4 類 (就證券提供意見) 受規管活動之持牌法團,並就此於香港證券及期貨事務監察委員會(「**證監會**」)註冊(中央編號為 ACS694)。

FOR OFFICE USE ONLY 僅供內部使用:
☐Full Service A/C 全面服務帳戶 ☐Electronic Trading A/C 電子交易帳戶
Related Account(s) 相關帳戶: ______________________
Third Party Authorization 第三者授權: Name 姓名:____________ ID/Passport Number 證件號碼: ____________ Approved on 獲批日期為:____________
Professional Investor 專業投資者: ☐ Yes 是 ☐ No 否 Approved on 獲批日期為:____________

ACCOUNT OPENING APPLICATION FORM 開立帳戶申請表

Note 注意:
1. Please complete in block letters and tick (√) the appropriate box where applicable. 請用正楷填寫,並在適當空格內加上 (√)。
2. Please delete whichever is not appropriate and mark "N/A" on the unfilled spaces.
   請刪去不適用者,並在不適用者填上"N/A"

1. ACCOUNT TYPE 帳戶類別	
Securities Account 證券帳戶	**Futures and Options Account 期貨及期權帳戶**
Customer Type 客戶種類 ☐ Individual 個人	**Customer Type 客戶種類** ☐ Individual 個人
Account Type 帳戶種類 ☐ Cash Account 現金帳戶 ☐ Margin Account 孖展帳戶(即融資帳戶)	**Account Type 帳戶種類** ☐ Futures and Options Account 期貨及期權帳戶
Method of Placing Order 落盤方式 ☐ Telephone (Manual)電話專人落盤 ☐ Electronic Trading 電子交易	**Method of Placing Order 落盤方式** ☐ Telephone (Manual)電話專人落盤 ☐ Electronic Trading 電子交易

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2. PERSONAL INFORMATION 個人資料			
☐ Mr. 先生 ☐ Ms. 女士 ☐ Mrs. 太太	English Name 英文姓名	Chinese Name 中文姓名	
ID No./ Passport No. and Issuing Country 身份證號碼／護照號碼及簽發國家		Nationality 國籍	Date of Birth (dd/mm/yy) 出生日期 (日/月/年)
Residential Address 住宅地址			
Correspondence Address (If different from Residential Address) 通訊地址（如與住宅地址不同）：			
Home Tel. No. 住宅電話	Fax No. 傳真號碼	Mobile No. 手提電話	E-Mail Address 電郵地址
Monthly Account Statements and General Correspondence to be sent to (Please select one only) 帳戶月結單及一般通訊以以下方式送交（請只選一項） ☐ Email Address (recommended) 電郵地址(建議選用) ☐ Residential Address 住宅地址 ☐ Correspondence Address 通訊地址			
Education 教育程度:	☐ Primary or below 小學或以下 ☐ Secondary 中學 ☐ Graduate 大學 ☐ Postgraduate or above 碩士或以上		
Employment 就業情況:	☐ Full-time Employment 受僱 ☐ Part-time Employment 兼職 ☐ Student 學生 ☐ Retired 退休 ☐ Self-employed, please specify 自僱，謹請說明：____________________ ☐ Others, please specify 其他，謹請說明：____________________		
Name of Employer 僱主名稱		Nature of Business 業務性質	
Business Address 公司地址		Country 所屬國家	
Job Title 職位		Years in the Occupation 工作年期	

3. SETTLEMENT ARRANGEMENT 結算安排		
Bank Name **銀行名稱**	**Hong Kong Bank Account No.** **香港銀行帳戶號碼**	**Name of the Account Holder** **帳戶持有人名稱**

4. FINANCIAL SUMMARY 個人/ 聯名帳戶持有人財務資料簡要			
Source of Funds (can choose more than one) **資金來源 (可選多於一項)**	☐ Salary 薪金 ☐ Retirement Funds 退休金 ☐ Investment Income 投資回報 ☐ Others 其他：____________________		
Source of Wealth (can choose more than one) **財富來源(可選多於一項)**	☐ Salary 薪俸 ☐ Investment Income 投資回報 ☐ Retirement Funds 退休金 ☐ Others 其他：____________________	☐ Savings 儲蓄 ☐ Inheritance / Gift 遺產承繼/贈物 ☐ Sale of Property / Assets 出售物業/資產	
Annual Income (HK$) **每年收入（港幣）**	☐ ≤150,000 ☐ 1,000,001 –5,000,000	☐ 150,001 – 500,000 ☐ 5,000,000-10,000,000	☐ 500,001 –1,000,000 ☐ >10,000,000
Estimated Net Worth (HK$) **估計淨資產值（港幣）**	☐ ≤ 500,000 ☐ 5,000,001 – 10,000,000	☐ 500,001 – 1,000,000 ☐ 10,000,001 – 50,000,000	☐ 1,000,001 – 5,000,000 ☐ >50,000,000

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5. INVESTMENT OBJECTIVES AND EXPERIENCE 投資目的及經驗

Investment Knowledge **投資知識**	☐ No experience at all 沒有投資經驗 ☐ HK listed securities 香港上市證券 _____ years 年 (average trade size 平均交易額 HK$____________________) ☐ Overseas listed securities 海外上市證券______ years 年 (average trade size 平均交易額 HK$____________________) ☐ HK futures and options 香港期貨及期權_______ years 年 (number of contracts and products 合約及產品數量____________________________________) ☐ Overseas futures and options 海外期貨及期權________ years 年 (number of contracts and products 合約及產品數量____________________________________) ☐ Other(s) 其他 ________________ ; years 年 ______________
Investment Objectives (can choose more than one) **投資目的 (可複選)**	☐ Capital Appreciation 資本增長 ☐ Generating Income 賺取收入 ☐ Hedging 對沖 ☐ Arbitrage 套利 ☐ Speculation 投機 ☐ Others 其他
Investment Horizon **預計投資期**	☐ No Constraint 沒有限制 ☐ Short Term (<3 months) 短期（少於 3 個月） ☐ Medium Term (3-12 months) 中期（3-12 個月） ☐ Long Term (>1year) 長期（1 年以上）
Risk Tolerance **風險承受程度 (請擇其一)**	☐ Low 保守 ☐ Medium 適中 ☐ High 積極 * securities margin account belongs to medium and/or high risk categories 證券保證金帳戶屬於適中及/或積極風險類別

6. PERSONAL DISCLOSURE 個人資料披露

1. Is your spouse, parent or children a client of OPSL?
閣下的配偶、父母或子女是否是開盤證券的客戶?
☐ No 否 ☐ Yes 是
If yes, the Account Name is 如是，其帳戶姓名為：____________________(Account No 帳戶號碼：________________)

2. Are you controlling 35% or more of the voting rights of any corporate clients of OPSL either by yourself or jointly with your spouse?
閣下是否以個人或與配偶，單獨或共同控制任何開盤證券的公司客戶超過 35%以上的表決權?
☐ No 否 ☐Yes 是
If yes, the Account Name is 如是，其帳戶姓名為：____________________(Account No 帳戶號碼：________________)

3. Are you or your authorized person (if applicable) a licensed or registered person, director or employee of a person licensed by or registered with the SFC?
閣下或其授權人（如適用）是否證監會之持牌或註冊人士或持牌或註冊人士之董事或僱員?
☐ No 否 ☐ Yes 是 If yes, please specify 如是，請說明：**Name of Person(s)姓名** **Name of the Institution 機構名稱**

__________________ ____________________________

Is a consent letter obtained from the employer for the opening of the Account?
是否已接獲其僱主對於客戶在開盤證券開立帳戶的同意書? ☐ Yes 是 ☐ No 否

4. Are you or any person connected with you (e.g. your spouse, parent or children) a senior management or director of any company whose shares are traded on any exchange or market or otherwise in control of such company?
閣下或閣下之任何關連人士如配偶、父母或子女等，是否為在任何交易所或市場上交易股票的任何上市公司的高級管理人員或董事或控制該公司之人士？
☐ No 否 ☐ Yes 是 If yes, please specify 如是，請說明：

Name of Person(s)姓名	**Position 職務**	**Name of the Listed Company & Stock Code 上市公司名稱和股票代號**
__________________	_________________	_________________________________
__________________	_________________	_________________________________

5. Are you or your authorized person (if applicable) an employee or director of OPSL or OPSL Group or a relative of any employee or director of OPSL or OPSL Group?
閣下或閣下之授權人（如適用）是否開盤證券或開盤證券集團的僱員或董事或僱員或董事之親屬？
☐ No 否 ☐Yes 是 If yes, please specify 如是，請說明： **Name of Person(s)姓名** **Name of the Institution 機構名稱**

__________________ ____________________________

"**OPSL Group**" means OPSL, OPSL's holding company (as defined in the Companies Ordinance of Hong Kong), subsidiaries (as defined in the Companies Ordinance of Hong Kong) of such holding company or any of OPSL's subsidiaries.
「開盤證券集團」指開盤證券、開盤證券的控股公司（按香港《公司條例》定義）或該控股公司的任何開盤證券子公司（按香港《公司條例》定義）或任何開盤證券的子公司。

6. Have you been arrested/tried/sentenced/disciplined for illegal activities or violating regulatory requirements?
閣下是否曾經涉及違法或違反監管守則而被捕/受審/被判刑/被紀律處分?
□ No 不是 □ Yes 是 (If yes, please specify 如果是, 請述明具體: ______________________________

7. Politically Exposed Person 政治人物

Are you and/or your authorized person (if applicable), any of their respective spouses, partners, children or parents, or a spouse or a partner of a child of such individual, or close associate of such individual is or has been entrusted with a prominent public function or holding senior public office in any place (which shall include a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and an important political party official)?

閣下及/或閣下之授權人（如適用）、其各自的配偶、伴侶、子女或父母、或該名個人的子女的配偶或伴侶、或與該名個人有關係密切的人是否在任何地方擔任或曾擔任重要的公職 (包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事)?

☐ No 否 ☐ Yes 是

Are you and/or your authorized person (if applicable), any of their respective spouses, partners, children or parents, or a spouse or a partner of a child of such individual, or close associate of such individual is or has been is a sub-national political figure in any place (which shall include but not limited to heads of regional governments, regional government ministers or large city mayors)?

閣下及/或閣下之授權人（如適用）、其各自的配偶、伴侶、子女或父母、或該名個人的子女的配偶或伴侶、或與該名個人有關係密切的人是否在任何地方為或曾為國家次級政要（其中包括但不限於地區級政府首長、地區政府部長或大城市市長）？

☐ No 否 ☐ Yes 是

<u>If yes to any of the questions above, please provide 如任何問題的答案為是，請提供：</u>

Name of the politically exposed person 政治人物的名稱： ______________________________

Place and public function entrusted with 地方及所擔任的公職：______________________________

Term of the public function entrusted with 所擔任公職的年期： ______________________________

Relationship with you 與閣下之關係： ______________________________

8. Are you the ultimate beneficiary owner(s) of the Account?
閣下是否此帳戶最終受益人或擁有人? ☐ Yes 是 ☐ No 否

If no, give detailed particulars of the ultimate beneficiary owner(s)
如否，請提供最終受益人或擁有人之詳盡資料： ______________________________

9. Are you the person ultimately responsible for originating instructions for the account?
閣下是否向戶口最終發出指示的人士？
☐ Yes 是 ☐ No 否

If no to the question above, please give details of such person
如問題的答案為「不是」，請提供相關人士的詳細資料：______________________________

10. Are you a trustee of a trust?
閣下是信託基金受託人嗎？ ☐ No 否 ☐ Yes 是

11. Are you carrying out a transaction on behalf of a trust?
閣下是否代表信託執行交易嗎？ ☐ No 否 ☐ Yes 是

If yes, give detailed particulars of the trust 如是，請提供信託基金的詳細資訊：______________________________

Name of Trust 信託基金名稱：______________________________

Date of Establishment/ Settlement 訂立/結算日期：______________________________

Jurisdiction/ Laws Governing the Trust 信託司法管轄區/管轄法律：______________________________

Name of Settlor 財產授予人姓名：______________________________

Identification Information of Settlor 財產授予人身份資料：______________________________

Name of Protector(s) or Enforcer(s) 信託保護人或執行人身份姓名：______________________________

Identification Information of Protector(s) or Enforcer(s) 信託保護人或執行人身份資料：______________________________

Name of Beneficiary(ies) 受益人姓名：___________________________

Identification Information of Beneficiary(ies) 受益人身份資料：___________________________

Please provide a copy of the Trust Deed for verification. 請提供信託契約副本以供核實。

7. DERIVATIVE KNOWLEDGE ASSESSMENT QUESTIONNAIRE 對結構性及衍生產品認識之評估問卷

1. Have you undergone or attended any training courses or seminars that provide general knowledge of the nature and risks of structured or derivative products(s) (e.g. courses offered by financial or academic institutions)?
閣下有否參與過有關結構性或衍生產品之一般性質及風險的培訓課程 (例如：由金融或學術機構所提供之課程)?

☐ **Yes 有** ☐ **No 否**

2. Have you had any current or previous work experience related to structured or derivative product(s) (e.g. financial institutions such as bank, fund house, brokerage firm, regulatory authority, etc)?
閣下現時或以前的工作經驗與結構性或衍生產品有關(例如： 金融機構如銀行、基金公司、經紀行、監管機構等)?

☐ **Yes 有** ☐ **No 否**

If yes, please specify **如有**，謹請說明：

____

3. Have you invested into any of the product(s) below more than five times in the past three years?
你是否於過去三年內已進行**五**宗或以上有關以下任何產品的交易?

☐ **Yes 有** ☐ **No 沒有**

If yes, please select the products below (multiple options if applicable)
如有，請選擇以下產品（如適用，可選多項）:

☐ Exchange Traded Convertible Bonds 在交易所買賣的可換股債券	☐ Equity Linked Instruments / Notes (ELI/ELN) 與股票掛鈎的投資工具/票據
☐ Callable Bull/Bear Contract (CBBC) 牛熊證	☐ Exchange Traded Funds (ETF) 交易所買賣基金
☐ Rights 供股權	☐ Futures and Options 期貨或期權合約交易
☐ Stock Options 股票期權	☐ Derivative Warrants 衍生認股權證

For more details of relevant risks and nature of structured and derivative products, please refer to the following websites
欲了解更多有關結構性及衍生產品風險和性質詳情，請參考以下網站：
www.sfc.hk (Securities and Futures Commission / 證券及期貨事務監察委員會)
www.hkex.com.hk (HK Exchange and Clearing Limited / 香港交易所)
http://www.hkiec.hk/web/en (Investor Education Centre /投資者教育中心

8. USE OF PERSONAL DATA 使用個人資料

In respect of the use of the personal data supplied by you, including name, address and telephone number, if you disagree with using any of the personal data or any kinds of means of transmission for the purpose of direct marketing purposes, please indicate objection by ticking the box below
有關使用閣下所提供的個人資料，包括姓名、地址和電話號碼，如閣下不同意使用任何個人資料或以任何傳送方式作直接促銷用途，請下面空格表明不同意。

☐ I **do not agree** with the proposed use of my personal data in direct marketing.
本人**不同意**將本人的個人資料用於直接促銷用途。

At any time in the future, you may also inform our Customer Service Department should you wish to opt-out of our use of the personal data for any of the direct marketing purposes.
在未來的任何時候，閣下若不希望我們將其個人資料用於任何一項直接促銷用途時，可通知我們的客戶服務部。

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9. CLIENT'S AKNOWLEDGEMENT AND DECLARATION 客戶的確認及聲明

Prior to signing this Account Opening Application Form, please:
在簽署本《開戶申請表》前，請：

(a) note that all transactions to be concluded with or through OPSL shall be subject to the terms and conditions of the Client Agreement; and
注意所有與開盤證券達成或通過開盤證券達成的交易均受限於《客戶協議》的條款及條件；及

(b) read the Client Agreement (including the Risk Disclosure Statement) carefully, ask questions and take independent advice if the Client so wishes.
仔細閱讀《客戶協議》(包括《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)。

☐ I/We hereby declare and confirm that I/we have received, read and understood the Client Agreement of which this document and its attachments form a part (the **"Agreement"**), including the Risk Disclosure Statements contained in the aforesaid Client Agreement, Personal Data (Privacy) Collection Statement and other supplements which may be entered into in writing between OPSL and me/us from time to time, any letters of authorizations relating to securities margin financing, and accept and agree to be bounded by each of the above as amended and/or supplemented from time to time. 本人/我們在此聲明並確認本人/我們已經收到、閱讀和理解由本文件及其附件構成的《客戶協議》(「該協議)」)，包括在上述《客戶協議》內所包含有關的《風險披露聲明》、個人資料（隱私）收集聲明和其他有可能由開盤證券與本人/我們之間不時以書面達成的補充協議、任何與證券保證金融資相關的授權書，並且接受和同意受以上各項之不時修訂及/或補充協議的約束。

☐ I/We hereby declare and confirm that the information in this Account Opening Application Form is true, complete, up-to-date and correct and I/we undertake that I/we will advise OPSL forthwith of any changes to the information supplied herein and all attachments herewith. OPSL is entitled to rely fully on such information for all purposes unless OPSL has received actual prior written notice of any change from me/us.
本人/我們在此聲明並確認本《開戶申請表》的資料均屬真實、完整、符合現況和正確的，並且本人/我們將通知開盤證券任何本表格及其附件內所提供資料的變更。開盤證券有權在各方面而言完全依賴這些資料，除非開盤證券收到了從本人/我們就任何變更發出的實際事先的書面通知。

Furthermore, OPSL is authorized to obtain at any time references and account balances from my/our bankers (I/we waive any duty of confidentiality involved) and to contact any other persons to check the information provided herein. Further, I/we hereby authorize OPSL to conduct credit enquiries and checks for the purpose of ascertaining my/our financial situation and investment objective.
此外，開盤證券經已被授權可在任何時間從本人/我們的銀行獲得參考及帳戶結餘的資料（本人/我們放棄其中涉及的任何保密責任），並與任何其他人聯繫以核實本文件所提供的資料。另外，本人/我們在此授權開盤證券為確認本人/我們的財務狀況和投資目的而作出的信貸查詢和核查。

I/We understand that I/we may be required to provide additional information or submit documentary proof as to the information provided in this form when requested by OPSL. I/We understand that my/our submission of this form and the acceptance of this form by OPSL in no way implies approval for opening of the Account for me/us and that OPSL reserves the unconditional right to reject my/our application.
本人/我們理解開盤證券有可能要求本人/我們提供本表格以外的其他資料或證明文件。本人/我們理解本人/我們提交本表格予開盤證券及開盤證券接受本表格並不以任何方式意味開立帳戶已獲批准，且開盤證券保留無條件拒絕本人/我們申請的權利。

I/We hereby apply to open the above type(s) of account and agree to be bound by the Agreement (receipt of a copy whereof is hereby acknowledged by me/us) including its Standard Terms and Conditions and relevant Schedule(s) as the same may be amended and supplemented from time to time.
本人/我們在此申請開立上述類型的帳戶並同意受該協議約束（本人/我們確認已經收到了該協議的副本），包括該協議的標準條件和條款以及相關附件和不時可能作出的修訂和補充。

SIGNED by Client
客戶簽署

____

Client Name(Print) 客戶名稱(請書寫)

Date 日期：

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10. SIGNED AND DECLARED BY THE LICENSED REPRESENTATIVE OF OPSL
由開盤證券的持牌代表簽署及聲明

I, being a member of staff of OPSL, and a person licensed as a representative under the SFO, hereby declare and confirm that I have provided the Risk Disclosure Statements contained in the Client Agreement in English/ Chinese* which is a language of the above Client's choice to the above Client(s) and that I have invited the Client(s) to read the same, to ask questions and to take independent advice (if the Client(s) so wish(es)).

本人，作為開盤證券的僱員及根據《證券及期貨條例》(香港法例第 571 條)下獲發牌人士，聲明及確認本人已按上述客戶選擇的中文或英文語言版本而提供《客戶協議》當中所包含的《風險披露聲明》，且本人並邀請該客戶閱讀該等條款、提出問題及徵求獨立意見（如客戶有此意願）。

By way of 通過：

☐ Face to Face; or 面對面；或
☐ Telephone 電話

Recorded Line No. 電話錄音號碼: ______________________

Date & Time 日期及時間 ____________________

Full Name of Licensed Representative 持牌人姓名(請以正楷書寫):

CE Number of Licensed Representative 持牌人中央編號:

____

Signature of Licensed Representative 持牌代表簽署

11. SIGNED BY WITNESS 見證人簽署（若需要）

I, the undersigned, have witnessed the signature and inspected the original identity documents of the above-named client(s).
本人已見證及驗證上述客戶之簽署及有關其身分證明文件之正本

Full Name of Witness (Print) 見證人姓名(請以正楷書寫):

Witness' Qualification #見證人專業資格:

Registered Number of Qualification 專業資格註冊號碼:

Witness Signature 見證人簽署:

Date 日期:

Acknowledged and Accepted by
For and on behalf of Open Securities Limited
經由代表開盤證券有限公司確認及接納

____

Authorized Signature with Company Chop
授權簽署及公司蓋章
Date 日期：

 # Qualification: Any Practising Lawyer, Practising Certified Public Accountant or Notary Public
專業資格：執業律師、執業會計師或法律公證人

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Client Investment Risk Questionnaire ("CIRQ")
客戶投資風險問卷

Client Account No. 客戶帳戶號碼	Name of Client 客戶名稱	Name of Authorized Person (For Corporate Client) 獲授權人姓名 （企業帳戶適用）

This CIRQ aims at assessing Client's general risk tolerance and investment portfolio in order to assist Client in making investment decisions and assist us in understanding Client's objectives and needs.
此問卷的主要目的是為幫助評估客戶的一般承受風險能力及投資取向，以協助客戶作出投資決定及協助我們了解客戶的投資目標及需要。

NOTICE TO CLIENTS 客戶注意事項：

1. **For Corporate Account 對於企業帳戶:**
   The risk assessment of the account is conducted based on information provided by each of the authorized person(s) who is authorized to operate and make investment decisions for the account under the Account Opening Application Form. The lowest risk aptitude rating for any authorized person would be adopted as the investor risk profile for the relevant account.
   帳戶之風險評估是按照每個根據開立帳戶申請表格獲授權操作帳戶和作出投資決定的獲授權人所提供的資料進行。所有獲授權人中最低的評分會被採納為該帳戶的投資風險範圍。

2. **We recommend that you review your financial situation, investment experience and/or investment objectives on a regular basis or whenever your financial situation and/or personal circumstance is changed. Please feel free to contact us if you wish to review or update the information set out in this CIRQ.**
   我們建議你定期或在你的財政狀況及/或個人情況出現變更時，審視你的財務狀況、投資經驗及／或投資目標。如你欲審視或更新此問卷內的資料，請隨時聯絡我們。

PLEASE SELECT THE MOST SUITABLE ANSWER 請選擇最恰當的答案	**SCORE 分數**
1. Individual account client: How many months can your savings meet your basic family expenses? Corporate clients: How many months can your current working capital (minus current liabilities) meet your company's expenses? 個人客戶：你的儲蓄金額大約可應付多少個月的家庭基本開支? 企業客戶：你的流動營運資本（減去流動負債）大約可應付多少個月的公司開支？ ☐ a. Less than 2 months 少於二個月 ☐ b. Between 2 months and no more than 5 months 二個月至少於五個月 ☐ c. Between 5 months and no more than 8 months 五個月至少於八個月 ☐ d. Between 8 months and no more than 12 months 八個月至少於十二個月 ☐ e. Over 12 months 超過十二個月	

2. How many years of experience do you have in relation to investment products the price of which fluctuates (including "buy and hold" and active trading)? Investment products subject to price fluctuation may include, for example, stocks, unit trusts, foreign currencies, commodities, structured investment products, warrants, options, futures, investment-linked insurance plans. 你有多少年投資於價值波動之投資產品的經驗(包括長期持有及頻繁交易)? 價值會波動之投資產品可包括，例如股票、單位信託基金、外幣、商品、結構性產品、認股權證(俗稱「窩輪」)、期權、期貨、投資相連保單等。 ☐ a. No experience or less than 1 year 沒有經驗或少過 1 年 ☐ b. Between 1 and 3 years 1 至 3 年 ☐ c. Over 3 years 多過 3 年	
3. In the past year, which of the following investment products have you held or purchased? (you may have more than 1 choice) 在過去一年內，你持有或購買過以下哪些投資產品? （可選擇多於一項） ☐ a. Cash , deposit, certificate of deposit, capital protected products, bonds, bond funds 現金、存款、存款證、保本產品、債券、債券基金 ☐ b. Developed markets equity funds or stocks (e.g. Europe, US, Japan, Hong Kong, etc), developing market/ Emerging market equity funds or stocks (e.g. China, Eastern Europe, etc) 已發展市場股票基金或股票 （例如：歐洲、美國、日本、香港等）、發展中市場.／新興市場股票基金或股票 （例如：中國、東歐等） ☐ c. Hedge Fund, foreign exchange margin account, structured products (e.g. currency-linked, equity-linked and credit-linked instruments), or derivatives (e.g. options, futures, warrants, swap contracts, etc) 對沖基金、外匯保證金帳戶、結構性產品（例如：外幣掛鈎、股票掛鈎、信用掛鈎工具等）或衍生工具（例如：期權、期貨、認股證、掉期合約等	
4. During the past year, how many derivatives transactions have you executed (buying or selling derivatives/ other financial instruments)? 在過去一年，你曾執行過多少次衍生產品交易 (買賣衍生工具或其他金融工具)? ☐ a. None 完全沒有 ☐ b. Between 0 and 5 transactions 0 次至 5 次 ☐ c. Between 5 and 10 transactions 5 次至 10 次 ☐ d. More than 10 transactions 多於 10 次	
5. In an ideal case, what percentage of your assets would you invest in financial products that contain market risk (e.g. equity risk, interest rate risk, currency risk, commodity risk, etc)? 在理想情況下，你願意把你的資產中多少百分比投資於有市場風險的金融產品（例如：股票風險、利息風險、貨幣風險、商品風險等)? ☐ a. Below 10% 10% 以下 ☐ b. More than 10% and up to 20% 10% 至 20% ☐ c. More than 20% and up to 40% 20% 以上至 40% ☐ d. More than 40% and up to 60% 40% 以上至 60% ☐ e. More than 60% 60% 以上	

6. Which of the following statements best describes your attitude towards investment risk?
以下哪句最能形容你對投資風險的態度?

- ☐ a. You are very concerned about price volatility, and prefer to have a low return in order to avoid all the risk.
  你非常關注價格波幅，寧願接受低回報來避免所有風險。
- ☐ b. You have some concern about price volatility, and prefer to have less return in order to avoid most of the risk.
  你關注價格波幅，寧願以較少的回報來避免大部份風險。
- ☐ c. You are willing to accept some price volatility with a reasonable return.
  你願意接受一些價格波幅以換取合理的回報。
- ☐ d. You are willing to accept higher price volatility as long as the return is attractive.
  你在回報吸引的情況下願意接受較高的價格波幅。
- ☐ e. You are willing to tolerate very high price volatility in order to maximize return.
  你願意承受極高的價格波幅以追求最大的回報。

7. Which of the following percentage returns would you generally be most comfortable with?
你願意投資於波幅程度多大的投資產品?

- ☐ a. Fluctuation between -15% and +15% 於-15% 至+15%之間的波幅
- ☐ b. Fluctuation between -30% and +30% 於-30% 至+30%之間的波幅
- ☐ c. Fluctuation between under -30% and over +30% 多於-30% 至+30%之間的波幅

8. Among all your current investments and low risk assets (e.g. savings deposits, time deposits, cash value of insurance policies, government debt securities such as Exchange Fund Bills and Notes, etc) account for how much of your total investable assets*:
綜觀你現時所有的投資及低風險的資產（例如：儲蓄存款、定期存款、保險現金值、政府債券如外匯基金票據及債券等)佔你的可投資資產中的比例是：

- ☐ a. More than 80% 80%以上
- ☐ b. Over 60% and up to 80% 60%以上至 80%
- ☐ c. Over 40% and up to 60% 40%以上至 60%
- ☐ d. Over 20% and up to 40% 20%至 40%
- ☐ e. Less than 20% 20%以下

* Investable assets include all financial assets, except for the residential property owned for self-occupied purposes.
可投資資產包括所有金融資產（自住物業除外）。

9. What degree of losses you are willing to take for your investment portfolio? 你接受你的投資組合最多虧損多少? ☐ a. 5% or below 5%或以下 ☐ b. 10% or below 10%或以下 ☐ c. More than 10% and up to 20% 10%以上至 20% ☐ d. More than 20% and up to 35% 20%以上至 35% ☐ e. More than 35% 35%以上	
10. Which of the following best describes your investment objective? 以下哪一項最適合形容你的投資目標? ☐ a. Safety and emergency needs 安全及緊急需要 ☐ b. Capital preservation and liquidity purposes 保本及作周轉用途 ☐ c. Wealth accumulation (investment returns that can keep up with inflation) 積累財富(投資回報能趕上通脹) ☐ d. Wealth accumulation (investment returns that can beat inflation by a meaningful margin) 積累財富(投資回報能明顯高於通脹) ☐ e. Wealth maximization (highest risk, aggressive) 賺取最多財富(高風險及進取)	
11. How long do you intend to keep your investment portfolio? 你打算持有你的投資組合多久? ☐ a. Up to 3 months 最長 3 個月 ☐ b. More than 3 months and up to 6 months 3 個月以上至 6 個月 ☐ c. More than 6 months and up to 12 months 6 個月以上至 12 個月 ☐ d. More than 1 year and up to 3 years 1 年以上至 3 年 ☐ e. More than 3 years 3 年以上	
12. Do you have to rely on your investments to meet your liquidity needs? 你是否需要依賴你的投資作周轉用途? ☐ a. Yes, I have to sell more than 50% of my investments this year to meet my liquidity needs. 我今年需要出售多於 50%的投資作周轉。 ☐ b. Yes, I have to sell more than 25% but less than 50% of my investments this year to meet my liquidity needs. 我今年需要出售多於 25%但少於 50%的投資作周轉。 ☐ c. Yes, I have to sell more than 15% but less than 25% of my investments this year to meet my liquidity needs. 我今年需要出售多於 15%但少於 25%的投資作周轉。 ☐ d. Yes, I have to sell not more than 15% of my investments this year to meet my liquidity needs. 我今年需要出售不多於 15%的投資作周轉。 ☐ e. No, I do not have to rely on my investments to meet my liquidity needs. 我不需要依賴我的投資作周轉。	
TOTAL SCORE 總分	

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Investment Risk Profile Summary (To be completed by Staff of OPSL)
投資風險程度總結 （由開盤證券職員填寫）

Assessment Results/ Comments 評估結果/意見

1) **Your Investment Risk Profile** is 客戶可承擔的投資風險程度為:

- ☐ **Conservative** **保守型**
- ☐ **Moderately Conservative** **中度保守型**
- ☐ **Balanced** **平衡型**
- ☐ **Moderately Aggressive** **中度進取型**
- ☐ **Aggressive** **進取型**

2) Due to the following reason(s), you (or any one of the authorized persons of the corporate client) are considered to be a **Vulnerable Client**:
基於以下原因，你（或企業客戶的其中一位獲授權人）被界定為**弱勢客戶:**

- ☐ aged 65 or above 65歲或以上
- ☐ Primary school or below 小學或以下的教育程度
- ☐ with visual impairment 有視力障礙

Risk Profile Analysis as Compared to Risk Level of Investment Products
投資產品風險級別與風險取向分析之對比

Investment Risk Profile 投資風險程度	**Score 分數**	**Risk Profile Analysis 風險取向分析** The risk profile analysis of each risk profile mentioned herein is to describe the Client's risk tolerance level under general conditions. 以下就每個風險程度的風險取向分析旨在描述客戶在一般情況下的風險承擔程度。	**Risk Level of Investment Products Suitable for your Consideration 可供考慮的投資產品風險級別**
Conservative 保守型	15-18	You can only tolerate little price and value fluctuations (i.e. investment risk) for your investment. You also realize that your investment choices may not earn return high enough to match inflation rates in the long run. Nevertheless, you prefer investment products with no or very little price fluctuations. 你可承受少量價格及市值波動（即投資風險）。儘管你亦明白自己的投資選擇所帶來的回報長遠未必能高於通脹率，你仍選擇沒有價格波動或波動較低之投資產品。	RR1
Moderately Conservative 中度保守型	19-32	You can tolerate some price and value fluctuations in order to achieve higher return. However, you do not prefer investment products with wide range of price fluctuations. Moreover, you do not prefer to have a large percentage of risky assets in your portfolios. Your expectation is to have investment returns that keep up with inflation in the long run. 你可承受一些價格及市值波動以換取較高回報，但你並不接受價格波動程度較大的投資產品。此外，你並不希望自己的投資組合持有大比重的具風險的資產。你期望投資回報長遠能趕上通脹。	RR2
Balanced 平衡型	33-45	You can tolerate a wide range of price and value fluctuations. You are also willing to have risky assets in your portfolio. By accepting investment products with medium level of investment risk, you hope to achieve a higher investment return that can beat inflation by a meaningful margin in the long run. 你可承受較大的價格及市值波動程度。你願意投資組合內持有具風險之資產。你接受中度投資風險的投資產品，從而希望長遠能獲取明顯高於通脹的回報。	RR3

Investment Risk Profile 投資風險程度	Score 分數	Risk Profile Analysis 風險取向分析 The risk profile analysis of each risk profile mentioned herein is to describe the Client's risk tolerance level under general conditions. 以下就每個風險程度的風險取向分析旨在描述客戶在一般情況下的風險承擔程度。	Risk Level of Investment Products Suitable for your Consideration 可供考慮的投資產品風險級別
Aggressive 進取型	59-70	You can tolerate high level of investment risk and are willing to accept a very high price and value fluctuations in order to maximize your return. You accept that such a high risk is necessary to maximize return in the long run. 你可承受高度投資風險及願意接受很高的價格及市值波動來換取最大回報。你接受以高風險換取長遠最大的回報。	RR5

Disclaimers 免責聲明

This CIRQ and the results should be used only as a reference in making your own investment decisions. This CIRQ and the results are not an offer to sell or solicitation for an offer to buy any financial products and services and they should not be considered as investment advice. The results of this CIRQ are derived from the information provided to OPSL by you. OPSL accept no responsibility or liability as to the accuracy or completeness of such information and the results of this CIRQ.

Your preference and investment decision may be different from what is indicated in this CIRQ. Before making any investment decision, you should fully understand the relevant financial product's risks and merits, determine that the investment is consistent with your objectives and that you are able to assume all risks.

Personal information collected in this CIRQ will be kept confidential by OPSL. The information may be used by OPSL under a duty of confidentiality to OPSL, for the purposes set out in our Personal Data (Privacy) Collection Statement that has been delivered to you with the relevant account opening documents.

此問卷及所得的分析結果只供你在考慮作出投資決定時作參考之用。此問卷及所得的分析結果並不應被視為是對任何投資產品或服務的銷售或購買邀請，亦不應當為投資建議。此問卷的分析結果乃根據你向開盤證券提供的資料所得，開盤證券不會為該等資料的準確性或完整性及問卷結果負上任何責任。

你的風險取向和決定可能與此問卷的分析結果不同。作出任何投資決定前，你應全面了解有關金融產品的風險和回報，確定該投資符合你的投資目標，且有關風險亦在你承受能力之內。

開盤證券將確保此問卷內的個人資料得到保密。你提供的資料只會在保密的情況下，按開盤證券已交付予你的有關開戶文件資料內隨附的收集個人資料（私隱）聲明政策所載的目的使用。

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Confirmation and Declaration by Client
客戶確認與聲明

- I, the undersigned, hereby confirm that contents of this CIRQ, the investment risk profile and the risk profile analysis have been explained to me in a language of my choice (English or Chinese)
- I have been invited to read questions in this CIRQ as well as the disclaimers carefully, to ask questions and to take independent advice if I so wish. I understand that I may also discuss my investment planning and the portfolio with an Account Executive of OPSL.
- I hereby affirm that all the answers to this CIRQ reflect my current financial situation, investment experience and investment objectives. I undertake to inform OPSL immediately about any material changes in any of information given.
- I understand that by filling in the CIRQ incorrectly, OPSL will not be able to assess the suitability of the requested service. I hereby confirm that I fully understand the results of this investment risk profiling exercise.
- I understand and agree that I am solely responsible for making my investment decisions based on my own judgement.
- I agree that I will not hold OPSL liable for any loss or damage which I incur in connection with my investments and I am willing and able to assume the financial and other risks involved in my investments.
- I confirm that I have been provided with a copy of this completed CIRQ.

- 本人（下述簽署人）在此確認此問卷的內容、投資風險程度和風取向分析均按本人所選擇的語言（英文或中文）向本人作出解釋。
- 本人應邀仔細閱讀了此問卷內的問題及免責聲明，並提出問題和徵求獨立意見（如本人有此意願）。本人明白亦可與開盤證券的客戶經理聯絡及討論適合本人的投資計劃及組合。
- 本人在此確認上述答案反映了本人現時的財務狀況 、投資經驗及投資目標。如本人提供資料有任何關鍵性改變，本人承諾會立刻通知開盤證券。
- 本人明白如不正確地填寫此問卷，開盤證券將不能夠評估所需服務對本人的適合性。本人在此確認本人完全明白及同意此風險評估的結果。
- 本人理解並同意，本人完全負責根據本人自身判斷作出投資決定。
- 本人同意，對於本人因與投資有關的任何損失或損害，開盤證券概不負責，並且，本人願意且能夠承擔本人投資所涉及的財務及其他風險。
- 本人確認，本人已收到此完整問卷的副本。

☐ I/We agree and accept the above assessment result of my/our risk profile.
本人/我們同意並接受上述評估結果及本人確認同意本問卷評估本人/我們所屬的投資風險取向。

☐ I/We disagree with the above assessment result and believe that the following risk profile, which is more prudent than the assessment result is more suitable:
本人/我們不同意上述評估結果，並認為以下較評估結果更謹慎的風險取向更為合適：

Reason / 原因: ____

(Please mark the appropriate risk tolerance level which you think is more suitable to you and such level can only be lower than the risk tolerance level calculated above.)
(請於閣下選擇認爲更適合閣下的風險接受程度，且只能選取比評估所得結果較低的程度。)

☐ Conservative 保守型	☐ Moderately Conservative 中度保守型	☐ Balanced 平衡型	☐ Moderately Aggressive 中度進取型

開盤證券
OPEN SECURITIES

Client's Signature (if applicable, with company chop for Corporate Client) 客戶簽署 （如適用，公司客戶請蓋章）   ____________________________________ Name 姓名: Date 日期:

Staff Declaration
職員聲明

Declaration by Staff of OPSL 開盤證券職員聲明
■ I, the undersigned, confirm that contents of this CIRQ, the investment risk profile and the risk profile analysis have been explained to the Client in a language of the Client's choice (English or Chinese) ■ I have also explained and invited the Client to read the Disclaimers, ask questions and take independent advice if the Client wishes. ■ I hereby declare and confirm that this questionnaire is duly completed by the client. ■ 本人（下述簽署人）確認已按照上述客戶所選擇的語言（英文或中文）向客戶解釋此問卷的內容、投資風險程度及風險取向分析。 ■ 本人已解釋並邀請客戶閱讀免責聲明、提出的問題及徵求獨立意見（如客戶有此意願）。 ■ 本人謹此聲明及確認此問卷由客戶親自填寫。   __________________________(CE No.:________________) Signature of Staff 職員簽署 Name 職員姓名:______________________ Department 部門:______________________