ACCOUNT OPENING APPLICATION FORM

開戶申請表

CORPORATE ACCOUNT/企業帳戶

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，概以英文版本為準。

空白页

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, Kowloon, Hong Kong
香港九龍尖沙咀廣東道 9 號港威大廈第六座 32 樓 3208-09 室

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) 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）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）。

OPSL is also a licensed corporation under the SFO licensed to Type 2 (dealing futures contracts) regulated activities and registered as such with the SFC (CE number ACS 694), and an exchange participant of the Hong Kong Futures Exchange Limited.
開盤證券乃根據《證券及期貨條例》獲准許進行第 2 類（期貨合約交易）受規管活動之持牌法團，並就此於證監會註冊（中央編號為 ACS694)，並獲香港期貨交易所有限公司參與者資格。

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 開戶申請表
FOR CORPORATE/ PARTNERSHIP/ SOLE PROPRIETORSHIP 企業/合夥企業/獨資經營者適用

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剔號(√)。
2.*Please delete whichever is not appropriate and mark "N/A" on the unfilled spaces.
*請刪去不適用者，並在不適用的空格處填上「不適用」。

1. ACCOUNT TYPE 帳戶類別	
Securities Account 證券帳戶 **Customer Type 客戶種類** ☐ Corporate 企業 ☐ Sole Proprietorship/ Partnership 獨資經營者/合夥企業 **Account Type 帳戶種類** ☐ Cash Account 現金帳戶 ☐ Margin Account 孖展帳戶(即融資帳戶)	**Futures and Options Account 期貨及期權帳戶** **Customer Type 客戶種類** ☐ Corporate 企業 ☐ Sole Proprietorship/ Partnership 獨資經營者/合夥企業 **Account Type 帳戶種類** ☐ Futures and Options Account 期貨及期權帳戶
Please select the type of services you require 請選擇所需的產品服務: ☐ Hong Kong Equity 香港股票 ☐ Global Stock 環球股票 ☐ Hong Kong Futures 香港期貨 ☐ Global Futures 環球期貨 ☐ OTC Products 場外交易產品	
Method of Placing Order 落盤方式	☐ Telephone (Manual)電話專人落盤 ☐ Electronic Trading 電子交易

開盤證券
OPEN SECURITIES

2. CLIENT INFORMATION 客戶資料		
Name of Corporation/ Sole Proprietorship/ Partnership 企業/獨資經營者/合夥企業名稱		
Date of Incorporation/ Establishment 註冊/成立日期	Place of Incorporation/ Establishment 註冊/成立地點	Registration or Incorporation No. (if applicable) 登記或註冊號碼（如適用）
Hong Kong Business Registration No. (if applicable) 香港商業登記號碼（如適用）	Nature of Business 業務性質	Years In the Business 經營年期
Registered Address/ Principal Office Address 註冊地址/主要辦事處地址		
Correspondence Address 通訊地址 (if different from above)（如與上址不同）		
Business Tel. No. 營業電話	Fax No. 傳真號碼	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可送往（請只選一項）

- ☐ Email Address (recommended)電郵地址 (建議選用)
- ☐ Registered Address/ Principal Office Address 註冊地址/主要辦事處地址
- ☐ Correspondence Address 通訊地址

Registered Owners and Percentage Owned (not applicable to public listed companies)
註冊擁有人及擁有權益的百分比（不適用於上市公司）:
(If you require additional space for additional parties, please attach a separate sheet
若閣下需要更多空間填寫其他人士的資訊，請另加附頁)

(1) Name 姓名 ____________________ (_____%)	(4) Name 姓名 ____________________ (_____%)
(2) Name 姓名 ____________________ (_____%)	(5) Name 姓名 ____________________ (_____%)
(3) Name 姓名 ____________________ (_____%)	(6) Name 姓名 ____________________ (_____%)

開盤證券
OPEN SECURITIES

Ultimate Beneficial Owner(s) of the Account(s)帳戶最終實益持有人
Please provide the information in relation to the person or entity (legal or otherwise) that stands to gain the commercial or economic benefit of the transaction and/ or bear its commercial and economic risk. If you require additional space for additional parties, please attach a separate sheet.
請提供有關將會從交易取得商業或經濟利益及/或承擔其商業或經濟風險的人士或實體（不論該實體是否為法律實體）的資料。
若閣下需要更多空間填寫其他人士的資訊，請另加附頁。

(1) Name 姓名 ____________________________ Tel. No.電話號碼 ________________________________

ID Card/ Passport No. and Issuing Country 身份證/護照號碼及簽發國家 ________________________________

Address 地址 ____

(2) Name 姓名 ____________________________ Tel. No.電話號碼 ________________________________

ID Card/ Passport No. and Issuing Country 身份證/護照號碼及簽發國家 ________________________________

Address 地址____

(3) Name 姓名 ____________________________ Tel. No.電話號碼 ________________________________

ID Card/ Passport No. and Issuing Country 身份證/護照號碼及簽發國家 ________________________________

Address 地址 ____

(4) Name 姓名 ____________________________ Tel. No.電話號碼 ________________________________

ID Card/ Passport No. and Issuing Country 身份證/護照號碼及簽發國家 ________________________________

Address 地址 ____

Authorized Person(s)獲授權人

The Account(s) may be operated on the instructions of any ____________ of the following persons (each an **"Authorized Person"**), pursuant to the signing arrangements below.

帳戶可按以下人士中的任何____________位（每位「**獲授權人**」） 按以下所列的簽字安排的指令操作。

(1) Name 姓名 ___________________________

ID Card/ Passport No. and Issuing Country 身份證/護照號碼和簽發國家 ______________________________

Tel. No.電話號碼 __________________ Specimen Signature 簽名樣式 _________________________________

(2) Name 姓名 ___________________________

ID Card/ Passport No. and Issuing Country 身份證/護照號碼和簽發國家 ______________________________

Tel. No.電話號碼 __________________ Specimen Signature 簽名樣式 _________________________________

(3) Name 姓名 ___________________________

ID Card/ Passport No. and Issuing Country 身份證/護照號碼和簽發國家 ______________________________

Tel. No.電話號碼 __________________ Specimen Signature 簽名樣式 _________________________________

(4) Name 姓名 ___________________________

ID Card/ Passport No. and Issuing Country 身份證/護照號碼和簽發國家 ______________________________

Tel. No.電話號碼 __________________ Specimen Signature 簽名樣式 _________________________________

Note 備註：
Please cross out any unused space above.請刪去以上所有空白處。
If you require additional space, please attach a separate sheet.若閣下需要更多空間，請另加附頁。

Please specify any signing arrangements (if any) 請指明任何簽字安排（如有）

Specimen of Company Chop or Seal (if applicable) 公司蓋章或印章樣式（如適用）

開盤證券
OPEN SECURITIES

Paid-Up Issued Share Capital (if applicable) 已繳及已發行資本 HK$ ____________________

Current Year Company Account Summary 現年公司財務資料摘要 (Year ___________年度)

Net Profit(Estimate) （估計）純利潤 HK$ ____________________

Total Assets(Estimate) （估計）總資產 HK$ ____________________

Total Liabilities(Estimate) （估計）總負債 HK$ ____________________

Total Net Asset Value 總資產淨值 HK$____________________

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 Account Holder 帳戶持有人名稱

4. 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 投資目的

- ☐ Capital Appreciation 資本增長
- ☐ Generating Income 賺取收入
- ☐ Hedging 對沖
- ☐ Arbitrage 套戥
- ☐ Speculation 投機
- ☐ Others 其他

Investment Horizon 預計投資期	**Risk Tolerance 承受風險程度（請擇其一）**	**Primary Source of Income 主要收入來源**	**Please specify any brokerage firms that has ever provided services to you 請列出曾經替你服務的經紀公司**
☐ 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）	☐ Low 低 ☐ Medium 中 ☐ High 高 * securities margin account belongs to medium and/or high risk categories 證券保證金帳戶屬於適中或積極風險類別	☐ Company's Operating Fund 公司營運資金 ☐ Investment 投資 ☐ Others 其他 ____________________	(1)____________________ ____________________ (2)____________________ ____________________

Profit/ Loss after tax based on the latest audited accounts (HK$) 根據最近期的已審計帳目之稅後盈虧 (港幣)：

☐ Loss ≤500,000	☐ 500,001-1,000,000	☐ 1,000,001-5,000,000
☐ 5,000,001-10,000,000	☐ 10,000,001-100,000,000	☐ >100,000,001

Net Asset Value (HK$) 淨資產值 (港幣) ：

☐ ≤1,000,000	☐ 1,000,001-$5,000,000	☐ 5,000,001-10,000,000	☐ 10,000,001-30,000,000
☐ 30,000,001-50,000,000	☐ 50,000,001-100,000,000	☐ >100,000,001	

開盤證券
OPEN SECURITIES

5. CLIENT'S DISCLOSURE 個人資料披露

1. Is the Client's director, senior officer, partner, shareholder, employee or authorized person a senior officer or director or in control of any company whose shares are traded on any exchange or market?
客戶之董事、高級人員、合夥人、股東、僱員或獲授權人是否任何公司之高級人員或董事或控制任何公司之人士而該公司之股份在任何交易所或市場買賣？

☐ No 否 ☐ Yes 是 If yes, please specify 如是，謹請說明：

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**
________________	________________	______________________________
________________	________________	______________________________

2. Is the Client's director, senior officer, partner, shareholder, employee or authorized person licensed by or registered with the SFC?
客戶之董事、高級人員、合夥人、股東、僱員或獲授權人是否證監會之持牌或註冊人士？

☐ No 否 ☐ Yes 是 If yes, please specify 如是，謹請說明：

Name of Person(s)姓名	**Name of the Institution 機構姓名**
________________	______________________
________________	______________________
________________	______________________

Your company and the above person(s) agree that OPSL may approach the above person(s) or institution(s) to obtain its consent before providing any service to your company.
貴公司及上列人士均同意開盤證券可於提供任何服務給予貴公司前接觸上述人士或機構從而取得該人士同意。

3. Politically Exposed Person 政治人物

Is the Client's directors, senior officer, partner, shareholders and/or its authorized persons, 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)?
客戶之董事、高級人員、合夥人、股東及/或其授權人、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

Is the Client and/or its authorized person (if applicable), 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)?
客戶及/或其獲授權人（如果適用）、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

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

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 the Client 與客戶之關係： ______________________________

4. Is the Client's director, senior officer, partner, shareholder, employee or authorized person or their respective relatives an employee or director of OPSL or OPSL Group?
客戶之董事、高級人員、合夥人、股東、僱員或獲授權人、其各自的親屬是否開盤證券或開盤證券集團的董事或僱員？

☐ No 否 ☐ Yes 是 If yes, please specify 如是，謹請說明：

Name of Person(s)姓名	**Name of the Institution 機構姓名**
________________	______________________
________________	______________________

"**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）、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。

開盤證券
OPEN SECURITIES

5. Is the Client related to any other person(s) holding an account with OPSL or OPSL Group?
客戶是否與持有開盤證券或開盤證券集團帳戶的任何其他人士有關連？

☐ No 否 ☐ Yes 是

If yes, the Account Name is 如有，其帳戶姓名為：____________________(Account No 帳戶號碼：________________)

6. Is any of the ultimate beneficial owners(s) named in Section 2 above the person or entity (legal or otherwise) ultimately responsible for originating the instructions to OPSL?
在上述第二節內最終實益持有人的任何一人是否最初負責發出向開盤證券提供指示的人士或實體（不論該實體是否為法律實體）？

☐ No 否 ☐ Yes 是

If yes, please specify the name 如是，其姓名為：_________________________

If not, please specify:

Name 姓名 _________________________

ID Card/ Passport No. and Issuing Country 身份證/護照號碼和簽發國家 ____________________________

Tel. No.電話號碼 ________________ Specimen Signature 簽名樣式 ______________________________

7. Is the Client a trustee of a trust?
客戶是信託的信託人嗎？ ☐ No 否 ☐ Yes 是

8. Is the Client carrying out a transaction on behalf of a trust?
客戶代表信託執行交易嗎？ ☐ No 否 ☐ Yes 是

If yes, please give detailed particulars of the trust 如是，請給出信託基金詳細資訊：_______________________________________

Name of Trust 信託名稱：____

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姓名：____

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

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。

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

1. I/We have 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)
我/我們有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. I/We have 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)
我/我們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. I/We have invested into any of the product(s) below more than **five** times in the past **three** years? 我/我們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) 與股票掛鉤的投資工具/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
☐ **I/We have NO knowledge about structured or derivative products. 本人/我們對結構性或衍生產品並無認識。**	
For more details of relevant risks and nature of structured and derivative products, please refer to the following websites 欲瞭解更多有關結構性及衍生產品風險和性質詳情，請參考以下的網站： www.sfc.hk (Securities and Futures Commission / 證券及期貨事務監察委員會) www.hkex.com.hk (HK Exchanges and Clearing Limited / 香港交易所) http://www.hkiec.hk/web/en (Investor Education Centre /投資者教育中心)	

7. USE OF PERSONAL DATA 使用個人資料

In respect of the use of the personal data supplied by the Client, including name, address and telephone number, if the Client disagrees 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.
有關使用客戶所提供的個人資料，包括姓名、地址和電話號碼，如客戶不同意使用任何個人資料或以任何傳送方式作直銷用途，請在下面空格表明不同意。

☐ I/We **do not agree** with the proposed use of my/our personal data in direct marketing.
本人/我們不同意將本人/我們的個人資料用於直銷用途。

At any time in the future, the Client may also inform our Customer Service Department should the Client 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，客戶若不希望我們將其個人資料用於任何一項直銷用途時，可通知我們的客戶服務部。

開盤證券
OPEN SECURITIES

8. CERTIFIED EXTRACTS OF BOARD RESOLUTIONS (IF APPLICABLE) 董事會決議核證摘錄 （如適用）

☐ The board resolutions or certified extracts will be provided separately; or 董事局書面決議或核證摘錄將另外提供；或

☐ Please fill in the certified extracts below 請填寫以下核證摘錄

Name of Company 公司名稱____ (the **"Company"**「**本公司**」)

At a meeting of the board of directors of the Company duly convened and held at the address of 本公司董事會於地址

____

on (Date) ____________________________, at which a quorum was present and acting throughout.

於 (日期) ____________________________ 妥善地召開董事會會議，期間具備會議所需的合法人數。

Present (Full name of Directors)出席人士(董事全名)： ________________ ________________

________________ ________________

________________ ________________

Chairman of the meeting 會議主席： ________________

IT WAS RESOLVED THAT 下列決議獲得通過：

1. One or more securities cash account/ securities margin account/ futures and options account (**"Account(s)"**) for the Company be opened with Open Securities Limited (**"OPSL"**) and be operated in accordance with the Account Opening Application Form and the terms and conditions of the Client Agreement (a copy of which had been tabled and considered by the directors of the Company), as may be amended or supplemented from time to time.
本公司於開盤證券有限公司(「**開盤證券**」)開立一個或多個證券現金帳戶/證券孖展帳戶/期貨及期權帳戶(「**該（等）帳戶**」)，並會按照《開戶申請表》及《客戶協議》中的條款和條件操作（其副本已提交本公司的董事考慮的條款及條件操作)，以不時可能作出的修訂或補充為準。

2. The Company shall notify OPSL in writing from time to time the officer(s) and person(s) who are duly authorized, either singly or jointly with such other authorized officer(s) or otherwise as specified in such notification, to place order and (where necessary) to give instructions for or on behalf of the Company of the said Account(s) and shall provide OPSL with the specimen signatures of such officer(s) or person(s).
本公司應以書面不時通知開盤證券已獲正式授權的人員和人士（不論單獨或共同與其他獲授權人或按通知書所指定）代表本公司就該（等）帳戶發出買賣指示並（在有需要的情況下）發出指令，並應提供開盤證券的有關授權人員或人士的簽名樣本。

3. The Company shall notify OPSL from time to time of any changes which may render the information in the Account Opening Application Form untrue or misleading.
本公司將不時通知開盤證券任何可使《開戶申請表》中資料變得不實或誤導的任何變更。

4. OPSL will be provided with any documents which it may reasonably require in connection with the opening and operation of the Account(s), including, without limitation, copies of the certificate of incorporation, business registration certificate, the articles of association or other constitutional documents of the Company, financial statements of the Company and certified extracts of any resolution relating to the Account(s).
開盤證券可獲提供其認為與開立及運作該（等）帳戶有關而合理要求的任何文件，包括但不限於公司註冊證明書、商業登記證、本公司的組織章程細則或其他組織文件的副本、本公司的財務報表和有關該（等）帳戶的任何決議的核證摘要。

I, the undersigned, DO HEREBY CERTIFY that the foregoing is a true extract of the resolutions which (a) were duly passed in accordance with the Articles of Association or other constitutional documents of the Company, (b) have been duly recorded in the minutes book of the Company, and (c) remain in full force and effect, no action having been taken to rescind or amend the said resolutions.
下述簽署人現證明前述為(a) 根據公司的組織章程細則或其他組織文件妥善地通過的決議的真實摘要;(b) 已妥善地記錄在公司的會議記錄冊之上；及(c) 繼續全面生效及並沒有採取任何行動以撤銷或修訂該等決議案。

____
Name 姓名：

Title 職務： Director 董事

9. CLIENT'S ACNKOWLEDGEMENT 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 relevant 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 change 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準，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。

Authorized Signature/Specimen Signature 獲授權人簽署/簽署式樣
with Company Chop (if applicable)及公司蓋章（如適用）

Name of Authorized Signatory 獲授權人姓名：
Date 日期：

開盤證券
OPEN SECURITIES

10. ACKNOWLEDGEMENT BY CLIENT 客戶確認
I/We, ______________________________ (Name in Block Letters), hereby acknowledge and confirm that I/we have been provided with the Risk Disclosure Statements contained in the Client Agreement in English/ Chinese* which is a language of my/our choice and that I/we have been invited to read the same, to ask questions and to take independent advice (if I/we so wish). 本人/我們，______________________________（姓名以正楷填寫），在此確認本人/我們已經收到了《客戶協議》當中所包含按本人//我們選擇提供的英文/中文*版本的《風險披露聲明》，且本人/我們已經按邀閱讀了該聲明，提出問題並徵求獨立意見（如果本人/我們有此意願）。 * delete if not applicable 請刪去不適用者 ______________________________ **Authorized Signature with Company Chop** **獲授權人簽署及公司蓋章** **Date 日期:**

11. TO BE COMPLETED BY THE LICENSED REPRESENTATIVE OF OPSL OR PROFESSIONAL# 由開盤證券的持牌代表或專業人士#填寫
Name 姓名
Qualification 資格
Address 位址
Witness Signature 見證人簽署
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:**

 # Professional： Any Practising Lawyer, Practising Certified Public Accountant or Notary Public.
專業人士：執業律師、執業會計師或/法律公證人

開盤證券
OPEN SECURITIES

12. DECLARATION TO BE COMPLETED BY LICENSED REPRESENTATIVE OF OPSL 由開盤證券的持牌代表填寫聲明	
I, ____ (Name in Block Letters) with C.E. Number____________________ 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________________________________(姓名以正楷填寫)中央編號________________________，作為開盤證券的僱員及根據《證券及期貨條例》下獲發牌人士，聲明及確認本人已按上述客戶選擇的中/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）。 * delete if not applicable 請刪去不適用者	
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**____________________ ____ **Signature of Licensed Representative 持牌代表簽署**

Client Investment Risk Questionnaire ("CIRQ")

客戶投資風險問卷(「此問卷」)

Client Account No. 客戶帳戶號碼	Client Name 客戶姓名	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。

<u>NOTICE TO CLIENTS 客戶注意事項</u>：

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. **Please note that if you do not provide a complete and accurate disclosure of your existing financial situation, investment experience and/or investment objectives in this CIRQ, Open Securities Limited ("OPSL") would not be able to assess the suitability of the financial products or services shortlisted.**
   請注意，若你在此問卷中未能就你現時財政狀況、投資經驗及/或投資目標提供完整及準確的披露，開盤證券有限公司(「開盤證券」) 將不能夠評估適合的金融產品或服務。

3. **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。

To complete this CIRQ, please kindly fill out Section 1 and Section 2 below.

請填寫以下第一部分和第二部分以完成此問卷。

開盤證券
OPEN SECURITIES

Section 1: Qualitative Risk Assessment
第一部份: 定性風險評估

PLEASE SELECT (√) THE MOST APPROPRIATE ANSWER
請選擇（√）最合適的答案

1.1 Which age group do you belong to? 你屬於那一個年齡組別?

- ☐ a. age 18-24 18-24 歲
- ☐ b. age 25-34 25-34 歲
- ☐ c. age 35-49 35-49 歲
- ☐ d. age 50-64 50-64 歲
- ☐ e. age 65 or above 65 歲或以上

1.2 What is the highest level of education level you have attained? 你的教育程度是:

- ☐ a. Primary school or below 小學或以下
- ☐ b. Secondary school 中學
- ☐ c. Post-Secondary (including diploma and associate degree) 大專（包括文憑及副學士）
- ☐ d. Bachelor Degree/University or above 學士/大學或以上
- ☐ e. Professional qualifications such as CFPCM、CFA ® or CPA (if applicable)
  CFPCM、CFA ®或 CPA 等認可專業資格（如適用）

1.3 Do you have any difficulty in reading documents and/or do you suffer from any long-term illness or impairments which may cause you (i) difficulty in understanding the investment product(s) and the risks involved; or (ii) financial hardship?
你是否在閱讀文件時有任何困難或你患有長期病患或殘障從而可能會令你：（i）難以理解投資產品及其涉及的風險；或（ii） 陷於財政困難?

- ☐ a. Yes 是
- ☐ b. No 否

1.4 Individual/ joint account clients: What is the amount of your annual income?#
Corporate clients: What is the amount of financial resources available for investment in the business each year?#
個人/聯名客戶：你每年收入是多少?#
企業客戶：公司每年可用作投資的財政資源有多少?#

- ☐ a. HKD 0 港幣 0
- ☐ b. HKD 1 – 500,000 港幣 1 – 500,000
- ☐ c. HKD 500,001 – 1,000,000 港幣 500,001 – 1,000,000
- ☐ d. HKD 1,000,001 – 2,000,000 港幣 1,000,001 – 2,000,000
- ☐ e. HKD 2,000,001 – 3,000,000 港幣 2,000,001 – 3,000,000
- ☐ f. HKD 3,000,000 or more 港幣 3,000,000 或以上

1.5 What is the amount of your total net liquid assets* (i.e. liquid assets – liquid liabilities)?#
你的淨流動資產*總額是多少(即流動資產 – 流動負債)?#
HKD__________________
港幣__________________
*Liquid assets are assets which may be turned easily into cash, such as cash, money in bank accounts, savings deposits, time deposits, cash value of insurance policies, etc.
*流動資產是指可以輕易轉換為現金的資產，如現金、銀行存款、儲蓄存款、定期存款、保險現金值等。

#Remarks: The information collected from Q4 and Q5 above may be used by OPSL in assessing your concentration risk. If information is not provided, we will assess your concentration risk based on your assets/ investment portfolio held within OPSL.

#備注：開盤證券可能會使用上述第 4 條及第 5 條的資料來評估你的集中風險。如果你未有提供有關資料，我們將根據你在開盤證券中持有的資產/投資組合來評估你的集中風險。

开盤證券
OPEN SECURITIES

Section 2: Quantitative Risk Assessment
第二部份: 定量風險評估

PLEASE SELECT (√) THE MOST SUITABLE ANSWER 請選擇最恰當的答案	SCORE 分數
2.1 **Individual/ joint account clients**: 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/聯名客戶：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	
2.2 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	
2.3 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）	

2.4 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	
2.5 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	
2.6 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。	
2.7 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)。	
2.8 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	

2.9 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	
2.10 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)	
2.11 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	
2.12 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	

Section 3: Investment Risk Profile Summary (To be completed by Staff of OPSL)
第三部份: 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

開盤證券
OPEN SECURITIES

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
Moderately Aggressive 中度進取型	46-58	You can tolerate a relatively high level of investment risk and are willing to accept a high price and value fluctuations in order to increase your return. You accept that such a risk is necessary to earn higher return in the long run. 你可承受較高的投資風險及願意接受高的價格及市值波動來增加回報。你接受以較高風險換取長遠較高回報。	RR4
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。

開盤證券
OPEN SECURITIES

Section 4: Confirmation and Declaration by Client
第四部份: 客戶確認與聲明

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

- I/We, the undersigned, hereby confirm that contents of this CIRQ, the investment risk profile and the risk profile analysis have been explained to me/us in a language of my choice (English or Chinese)
- I /We 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 /We so wish. I /We understand that I /We may also discuss my investment planning and the portfolio with an Account Executive of OPSL.
- I /We hereby affirm that all the answers to this CIRQ reflect my/our current financial situation, investment experience and investment objectives. I /We undertake to inform OPSL about any changes in the above-mentioned information.
- I /We understand that by filling in the CIRQ incorrectly, OPSL will not be able to assess the suitability of the requested service. I /We hereby confirm that I /We fully understand the results of this investment risk profiling exercise.
- I /We shall be making all my/our own independent investment decision.

- 本人/我們（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/我們所選擇的語言（英文或中文）向本人作出解釋。
- 本人/我們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/我們有此意願）。本人/我們明白亦可與開盤證券的客戶經理聯絡及討論適合本人/我們的投資計劃及組合。
- 本人/我們在此確認上述答案反映了本人/我們現時的財務狀況 、投資經驗及投資目標。如上述資料有任何改變，本人承諾通知開盤證券。
- 本人/我們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/我們的適合性。本人/我們在此確認本人/我們完全明白及同意此風險評估的結果。
- 本人/我們作出的任何投資均由本人/我們親自決定。

I hereby acknowledge receipt of a copy of this CIRQ which has been duly completed and signed by me/us.
本人/我們確認已收妥由本人/我們填妥並簽署此問卷的副本。

Client/Authorized Signatory 客戶/授權簽署:

Date 日期:

開盤證券
OPEN SECURITIES

Section 5: Staff Declaration
第五部份: 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. ■ A copy of the duly completed and signed CIRQ has been given to the above 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）。 ■ 本人已將一份已填妥並簽署此問卷的副本予上述客戶。 _______________________________(CE No.:_______________) Signature of Staff 職員簽署 Name 職員姓名:__________________________ Department 部門:________________________

For Official Use Only 僅供內部使用			
AE Code		**CIRQ Type**	☐ New ☐ Renewal
Date		**Channel**	☐ In Person ☐ By Phone, Ext. No.________
Staff Name		**Handling Staff Signature**	