

For Official Use Only 內部使用

Client Code 客戶編號: _____

AE Name 客戶主任姓名: _____

AE Code 客戶主任編號: _____

Account Opening Date 開戶日期: _____

Account Opening Form

Corporate Account

開戶表格

公司帳戶

(The Chinese translation of this Account Opening Form is for reference only. The English version of this Account Opening Form is the governing version and shall prevail whenever there is any discrepancy between the English version and Chinese translation)

(本開戶表格所提供之中文譯本只供參考，如與英文版本有任何抵觸，須以英文版本為準)

Client Information Sheet (Corporate)

客戶資料書(公司)

Account Information 帳戶資料		
(Please "✓" as appropriate 如適用請加 "✓")		
Application for 申請 <input type="checkbox"/> Corporate Account 公司帳戶	Account Type 帳戶類別 <input type="checkbox"/> Cash Account 現金帳戶	Additional Account Service 附加帳戶服務 <input type="checkbox"/> Internet Trading Service 網上交易服務 <input type="checkbox"/> Professional Investor Account 專業投資者帳戶

Corporate Information 公司資料		
Company Name (In English)		
公司名稱 (中文)		
Type of Company 公司類別 <input type="checkbox"/> Limited Company 有限公司 <input type="checkbox"/> Partnerships/Unincorporated 合夥/非法團體 <input type="checkbox"/> Financial Institution 金融機構 <input type="checkbox"/> State-owned Enterprises 國有企業 <input type="checkbox"/> Fund/Asset Management 基金/資產管理 <input type="checkbox"/> Listed Company, stock code 上市公司, 股票代號: _____ <input type="checkbox"/> Other, Please Specify 其他, 請說明: _____		
Client Type for Investor Identification Purpose 投資者識別碼客戶類別: <input type="checkbox"/> Funds 基金 <input type="checkbox"/> Legal Entity – Fund Managers 實體- 基金經理 <input type="checkbox"/> Legal Entity – Others 實體-其他		
Please provide relevant identity document and fill in details in following descending order of priority. 請依照下列優先排序依次提供相關的身份證明文件，並填寫信息。 Client is required to provide identity documents that is first mentioned in the table, save that where client does not hold such document, the next mentioned document should be provided and so forth. Please put "N/A" if not applicable. 客戶需要提供該表格內首述的身分證明文件，除非客戶並無持有該文件，則應提供該表格所提述的下一份文件，依此類推。如不適用，請填上 "N/A"。 If client possesses any identity document(s) mentioned in this table, client is required to provide all such identity documents and fill in relevant part of the table, regardless their standing. 若客戶持有任何本表格內提及的身份證明文件，無論他們在本表格的排名如何，客戶需要提供所有此等身份證明文件並填寫本表格相關部分。		
(1)	Legal Entity Identifier Registration No.: 全球法人機構識別編碼號碼:	
(2)	Certificate of Incorporation No.: 公司註冊證明書號碼:	
(3)	Certificate of Business Registration No.: 商業登記證號碼:	
	Place of Issue of Business Registration Certificate: 商業登記證發出地:	
(4)	Other equivalent identity document: 其他同等身份證明文件:	
	Name and No. of identity document: 身份證明文件名稱及號碼:	
Place of Incorporation 註冊地方		Date of Incorporation 註冊日期 (DD/MM/YYYY)
Nature of Business 業務性質		
Mobile Phone No. 手提電話號碼 () -	Office Tel. No. 辦公室電話號碼: () -	Fax No. 傳真號碼 () -
Mobile Phone No. for receiving One Time Password ("OTP") for Internet trading service 獲取證券交易帳戶網上交易服務「一次性驗證碼」		() -

E-mail address 電郵地址			
Registered Office Address 註冊地址			
Principle Address of Business 主要營業地址 (Please specify, if different with Registered Office Address 如與註冊地址不同 · 請註明)			
Correspondence Address 通訊地址 (Please specify, if different with Principle Address of Business 如與主要營業地址不同 · 請註明)			
Delivery of Account Statement 帳戶結單發送			
Contract Notes, Daily and Monthly Statements to be sent to (please choose anyone) 成交單、帳戶日結單及月結單寄往 (請選擇其一):			
(a) <input type="checkbox"/> By Email 電郵收取 (b) <input type="checkbox"/> By post to correspondence address 郵寄結單往通訊地址**			
**If you would like to receive the statements by post, Harmonia Capital Limited may charge a reasonable monthly fee. For the details, please refer to the fee schedule on the website of Harmonia Capital. 如閣下希望以郵寄方式收取上述結單，仁和資本有限公司將每月收取合理的收費。收費詳情請參看仁和資本網站上的收費表。			
Language of Statements 結單語言			
(a) <input type="checkbox"/> English Version 英文 (b) <input type="checkbox"/> Chinese Version 中文			
Designated Bank Details 指定銀行資料			
Unless otherwise instructed by you, all monies payable to you are to be credited to the designated bank account 除非客戶另行指示外，須付予客戶的款項將會被轉入指定銀行帳戶			
Bank Name 銀行名稱	Bank Account Number 銀行帳戶號碼	Currency 貨幣：	
_____	_____	_____	
Bank Account Holder's Name (name(s) shown on bank statements and this form should match) 帳戶持有人名稱(須與客戶的銀行結單及此表格上名稱相符)			

Financial Background 財務背景			
Financial Profile 財務概況			
Annual Revenue (HK\$) 全年營業額(港幣)	<input type="checkbox"/> <=\$1,000,000	<input type="checkbox"/> \$1,000,001-\$5,000,000	<input type="checkbox"/> \$5,000,001-\$10,000,000 <input type="checkbox"/> \$10,000,001-\$50,000,000
	<input type="checkbox"/> \$50,000,001-\$100,000,000	<input type="checkbox"/> \$100,000,001-\$500,000,000	<input type="checkbox"/> > \$500,000,000
Annual Net Profit (HK\$) 全年淨利潤(港幣)	<input type="checkbox"/> <=\$1,000,000	<input type="checkbox"/> \$1,000,001-\$5,000,000	<input type="checkbox"/> \$5,000,001-\$10,000,000 <input type="checkbox"/> \$10,000,001-\$50,000,000
	<input type="checkbox"/> \$50,000,001-\$100,000,000	<input type="checkbox"/> \$100,000,001-\$500,000,000	<input type="checkbox"/> > \$500,000,000
Total Assets (HK\$) 總資產(港幣)	<input type="checkbox"/> <=\$5,000,000	<input type="checkbox"/> \$5,000,001-\$10,000,000	<input type="checkbox"/> \$10,000,001-\$50,000,000 <input type="checkbox"/> \$50,000,001-\$100,000,000
	<input type="checkbox"/> \$100,000,001-\$500,000,000	<input type="checkbox"/> \$500,000,001-\$1,000,000,000	<input type="checkbox"/> > \$1,000,000,000
Source of Fund 資金來源			
<input type="checkbox"/> Business Profit 業務利潤 <input type="checkbox"/> Investment Earning 投資收益 <input type="checkbox"/> Sale of Property/Asset 出售物業/資產			
<input type="checkbox"/> Others, Please Specify 其他, 請說明 _____			
Initial Source of Wealth 最初財富來源			
<input type="checkbox"/> Business Profit 業務利潤 <input type="checkbox"/> Investment Earning 投資收益 <input type="checkbox"/> Sale of Property/Asset 出售物業/資產			
<input type="checkbox"/> Others, Please Specify 其他, 請說明 _____			

Director(s) of the Company 公司董事				
	Name 姓名	ID Card / Passport No. 身份證或護照號碼	Residential Address 住宅地址	Contact Tel. No. 聯絡電話
(a)				
(b)				
(c)				
Shareholder(s) of the Company 公司股東 (With 15% shareholdings or more 持股比例 15%或以上)				
	個人/實體	Name 名稱	HKID Card No. / Passport No. 身份證號碼或護照號碼/ Certificate of Incorporation No. 公司註冊編號	Shareholdings 持股比例 %
(a)	<input type="checkbox"/> 個人 <input type="checkbox"/> 實體			
(b)	<input type="checkbox"/> 個人 <input type="checkbox"/> 實體			
(c)	<input type="checkbox"/> 個人 <input type="checkbox"/> 實體			
Ultimate Beneficial Owner(s) 最終實益擁有人				
如直接或間接地持有或控制該法團 25%或以上投票權或股本的股東:				
1	Name in English:		中文姓名:	
	Nationality 國籍	HKID Card No. / Passport No. 身份證號碼或護照號碼	Date of Birth 出生日期 (DD/MM/YYYY)	
	Permanent Address 永久地址			
	Correspondence Address 通訊地址 (Please specify, if different with Residential Address (如與永久地址不同 · 請註明))			Contact Tel. No. 聯絡電話
2	Name in English:		中文姓名:	
	Nationality 國籍	HKID Card No. / Passport No. 身份證號碼或護照號碼	Date of Birth 出生日期 (DD/MM/YYYY)	
	Permanent Address 永久地址			
	Correspondence Address 通訊地址 (Please specify, if different with Residential Address (如與永久地址不同 · 請註明))			Contact Tel. No. 聯絡電話
3	Name in English:		中文姓名:	
	Nationality 國籍	HKID Card No. / Passport No. 身份證號碼或護照號碼	Date of Birth 出生日期 (DD/MM/YYYY)	
	Permanent Address 永久地址			
	Correspondence Address 通訊地址 (Please specify, if different with Residential Address (如與永久地址不同 · 請註明))			Contact Tel. No. 聯絡電話

Investment Experience and Knowledge 投資經驗及知識

Investment Knowledge 投資知識

None 全無 Limited 有限 Some 較好 Good 良好 Excellent 專業

Investment Experience 投資經驗

Please tick the appropriate boxes below to indicate your investment experience (in no. of years) in each type of product
請於下列每一項投資產品選擇閣下之投資經驗年期

Year of investment experience 投資經驗年期	Nil 無 (0分)	Less than 1 year 一年以下 (1分)	1 to 3 years 一年至三年 (2分)	3 to 5 years 三年至五年 (3分)	5 to 10 years 五年至十年 (4分)	More than 10 years 十年以上 (5分)
Stocks, Exchange-Traded Funds, and Real Estate Investment Trusts 股票、交易所交易基金和房地產投資信託基金						
Warrants and Stock Options 窩輪及股票期權						
Futures Contracts and Options 期貨合同及期權						
Spot Foreign Exchange 現貨外匯						
Leveraged Foreign Exchange Contracts 槓桿式外匯合同						
Precious metals (e.g. gold) 貴金屬(如黃金)						
Authorised Mutual Funds and Unit Trusts 認可互惠基金及單位信託基金						
Unauthorised Private Funds 非認可私募基金						
Private Equity Investment 股權投資						
Long Term Insurance (including Investment-Linked Assurance Scheme) 長期保險 (包括投資相連壽險計劃)						
Structured Products (including Unlisted) 結構性產品 (包括 非上市)						
Fixed Income Securities (e.g. listed and unlisted bonds) 固定收益證券 (如上市和非上市債券)						
Virtual Assets (e.g. Bitcoin) 虛擬資產 (如比特幣)						

Assessment of Investment Experience 投資經驗評估

Total Score 總得分

- 0~5 No experience 無經驗
- 6~15 Basic Experience 基礎經驗
- 16~25 Intermediate Experience 中等經驗
- 26~35 Extensive Experience 廣泛經驗
- ≥36 Advanced Experience 豐富經驗

Score 得分

Knowledge on derivatives products 衍生產品知識

Do you have any knowledge on derivatives product(s)?
您對衍生產品有沒有知識?

- No, I have no knowledge of structured and/or derivative products 沒有 · 本人對結構性及/或衍生產品並無認識
 Yes, I understand the nature and risks of structured and/or derivative products 有 · 本人了解結構性及/或衍生產品及其性質和風險

If Yes, please choose the best describe the way(s) you acquired your derivatives products' knowledge (can choose more than one)
如有 · 請問您從以下哪種途徑獲得提及的衍生產品的知識? (可選多項)

- Relevant trading experience i.e. executed five or more transactions in derivative products (whether traded on an exchange or not) within the past three years
相關之交易經驗 · 即過去三年內已進行了五次或以上有關衍生產品之交易(不論是否於交易所進行之交易)
- Underwent training or attended courses on derivative products
曾接受有關衍生產品的培訓或修讀相關課程
- Current or previous work experience
現時或過去的工作經驗
- Licensing that I am a licensed/registered person to carry out regulated activities as defined in the Securities and Futures Ordinance
以證券及期貨條例所定之持牌/註冊人之身份進行有關受規管的活動

Do you ever have any trading experience in derivative product(s)? 您以往曾否有買賣衍生產品的經驗?

- No 否
 Yes 是

If Yes, please state the derivative product(s) you traded: 如有 · 請提供您以往有買賣的衍生產品:

- Callable Bull/Bear Contracts (CBBC) 牛熊證
 Derivative Warrants 衍生認股證
 Stock Options 股票期權
 Futures and Options 期貨或期權合約交易
 Equity Linked Instruments / Notes (ELI/ELN) 股票掛鉤產品
 Others 其他: _____

Client Investment Objectives and Assessment of Risk Tolerance Level 客戶投資目的及可承受風險評估

Client Investment Objectives 客戶投資目的

- Hedging 對沖 Capital Gain 資本增值 Dividend Income 股息收入 Speculation 投機 Arbitrage 套利
- Others, Please Specify 其他, 請說明: _____

Assessment of Risk Tolerance Level 可承受風險評估

1. Which age group do you belong to? 閣下的年齡屬於以下哪個組別?		
<input type="checkbox"/>	Between 18 to 20	18 至 20 歲 (1)
<input type="checkbox"/>	Between 21 to 34	21 至 34 歲 (3)
<input type="checkbox"/>	Between 35 to 50	35 至 50 歲 (5)
<input type="checkbox"/>	Between 51 to 64	51 至 64 歲 (4)
<input type="checkbox"/>	65 or above	65 歲或以上 (1)
2. Your highest education level achieved is? 閣下的學歷為?		
<input type="checkbox"/>	Primary School or Below	小學或以下 (1)
<input type="checkbox"/>	Secondary School	中學 (2)
<input type="checkbox"/>	Post-Secondary (including diploma and associate degree)	預科/專上學院 (3)
<input type="checkbox"/>	University (Bachelor Degree)	大學學士 (4)
<input type="checkbox"/>	University (Master Degree) or above	大學碩士或以上 (5)
3. What is your primary investment objective? 閣下的主要投資目標是?		
<input type="checkbox"/>	Capital preservation	資本保本 (1)
<input type="checkbox"/>	Regular and stable income	定期及固定收入 (2)
<input type="checkbox"/>	Moderate capital appreciation	適度資本增長 (3)
<input type="checkbox"/>	Moderate to high capital appreciation	適度至高資本增長 (4)
<input type="checkbox"/>	Maximum capital appreciation	最大值資本增長 (5)
4. What is the average percentage of your total net worth that will be allocated for investment or savings purposes (excluding real estate property)? 閣下打算用作投資或儲蓄用途的款項平均佔閣下總資產淨值的百分比(物業除外)為多少?		
<input type="checkbox"/>	Less than 5%	少於 5% (1)
<input type="checkbox"/>	5% to less than 10%	5% 至少於 10% (2)
<input type="checkbox"/>	10% to less than 20%	10% 至少於 20% (3)
<input type="checkbox"/>	20% to less than 30%	20% 至少於 30% (4)
<input type="checkbox"/>	30% or above	30% 或以上 (5)
5. It is generally true that the longer the investment horizon, the higher the risk an investor can tolerate. What is the expected investment horizon of your entire investment portfolio? 在一般情況下, 投資的年期越長, 可承受的風險越高。閣下願意進行投資活動的整體投資年期為多久?		
<input type="checkbox"/>	Less than 6 months	少於 6 個月 (1)
<input type="checkbox"/>	6 months to 1 year	6 個月至 1 年 (2)
<input type="checkbox"/>	1 to 2 years	1 年至 2 年 (3)
<input type="checkbox"/>	2 to 5 years	2 年至 5 年 (4)
<input type="checkbox"/>	over 5 years	超過 5 年 (5)
6. Which of the following statements best describes your investment attitude? 下列哪項陳述最能表達閣下的投資取向?		
<input type="checkbox"/>	I am not willing to bear a price fluctuation range of more than 5% for financial investment and wish to gain a return slightly higher than the bank deposit interest rate. 本人不願意承受任何多於 5% 價格波動的金融投資, 並希望獲得稍高於銀行存款利率的回報。	(1)

<input type="checkbox"/> I am willing to bear a price fluctuation range of around 5% to less than 10% for financial investment and wish to gain a return that is slightly higher than the bank deposit interest rate.	(2)	
本人願意承受大概 5%至少於 10%價格波動的金融投資，並希望獲得稍高於銀行存款利率的回報。		
<input type="checkbox"/> I am willing to bear a price fluctuation range of 10% to less than 20% for financial investment and wish to gain a return much higher than the bank deposit interest rate.	(3)	
本人願意承受大概 10%至少於 20%價格波動的金融投資，並希望獲得遠高於銀行存款利率的回報。		
<input type="checkbox"/> I am willing to bear a price fluctuation range of 20% to less than 30% for financial investment and wish to gain a return comparable to the average return of the stock market.	(4)	
本人願意承受大概 20%至少於 30%價格波動的金融投資，並希望獲得媲美一般股票市場的回報。		
<input type="checkbox"/> I am willing to bear a price fluctuation range of 30% or more for financial investment and wish to gain a return remarkably higher than the average return of the stock market.	(5)	
本人願意承受 30%或以上價格波動的金融投資，並希望獲得明顯高於一般股票市場的回報。		
7. How would you react if your portfolio fell significantly (e.g. more than 20%) within one day? 如果閣下的投資組合在一天內大幅下跌(例如，超過 20%)，閣下會有何反應？		
<input type="checkbox"/> Do not know how to react 不懂得如何應變	(1)	
<input type="checkbox"/> Cut loss without any strategic consideration 非策略性地進行止蝕	(2)	
<input type="checkbox"/> Would wait to see if investment improves and may cut loss rationally 觀望該投資是否會有改善，可能會理性地進行止蝕	(3)	
<input type="checkbox"/> Understand market fluctuations are unavoidable and will not alter the determined investments strategy 了解市場波動是難免的，會繼續進行已定下的投資策略	(4)	
<input type="checkbox"/> Undergo in-depth analysis, reallocate your investment portfolio 進行仔細分析，重整投資組合	(5)	
8. What is your level of experience with investment products? Please refer to your investment experience assessment result in Investment Experience and Knowledge. 閣下對投資產品的投資經驗屬以下哪一項？請參考第一部分的投資經驗評估結果。		
<input type="checkbox"/> No experience 無經驗	(0)	
<input type="checkbox"/> Basic Experience 基礎經驗	(2)	
<input type="checkbox"/> Intermediate Experience 中等經驗	(3)	
<input type="checkbox"/> Extensive Experience 廣泛經驗	(4)	
<input type="checkbox"/> Advanced Experience 豐富經驗	(5)	

Assessment of Risk Tolerance Level 風險承受能力評估				
Total Score 總得分				
<input type="checkbox"/> ≤8 Conservative 保守 <input type="checkbox"/> 9~15 Moderate 平穩 <input type="checkbox"/> 16~25 Moderate High 平穩進取 <input type="checkbox"/> ≥26 Aggressive 進取				
				Score 得分
Anticipated Level of Transactions per month 預期每月交易概況				
Anticipated Investment of Products 預期投資產品	<input type="checkbox"/> Stocks 證券	<input type="checkbox"/> Warrants 認股權證	<input type="checkbox"/> Options 期權	<input type="checkbox"/> Futures 期貨
	<input type="checkbox"/> Bonds 債券	<input type="checkbox"/> Fund 基金	<input type="checkbox"/> Bullion 貴金屬	<input type="checkbox"/> Foreign Currency 外匯
	<input type="checkbox"/> Others, Please Specify 其他, 請說明: _____			
Anticipated Number of Transactions Per Month 預計每月交易次數	<input type="checkbox"/> <20	<input type="checkbox"/> 20-50	<input type="checkbox"/> >50	
Anticipated Amount of Transactions Per Month (HK\$) 預計每月交易金額 (港幣)	<input type="checkbox"/> <500,000	<input type="checkbox"/> 500,000-2,000,000	<input type="checkbox"/> 2,000,001-5,000,000	<input type="checkbox"/> >5,000,001
Anti-Money Laundering & Counter Terrorist Financing Questionnaire 防止洗黑錢及反恐怖份子籌資活動問卷				
For Local Client (i.e. Company registered in Hong Kong) 本地客戶 (如客戶公司屬香港登記)				
<p>1. Is any director, substantial shareholder or the ultimate beneficial owner of the Company, or his spouse, partner, child, parent, spouse or partner of his child, or a close associate with him entrusted or has been entrusted with a prominent public function, which includes a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a stated-owned corporation and an important political party official? 客戶之任何董事、主要股東或最終實益擁有人、或其配偶、伴侶、子女或父母、或其子女的配偶或伴侶、或與其關係密切的人、是否擔任或曾擔任重要公職、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？</p> <p><input type="checkbox"/> Yes, please specify 是，請說明: _____ <input type="checkbox"/> No 否</p>				
<p>2. Is the nature of your company's business particularly susceptible to money laundering risk? 貴公司的業務性質並是不是特別容易蒙受較高的洗黑錢風險？ (For example, money changer or casino business that handles large amount of cash) (舉例：如會接觸大量現金往來的找換業或博彩業)</p> <p><input type="checkbox"/> Yes, please specify 是，請說明: _____ <input type="checkbox"/> No 否</p>				
<p>3. Does your company's money might be arising from or related to proceeds of crime? 貴公司的金錢來源是不是源於或涉及非法所得？</p> <p><input type="checkbox"/> Yes, please specify 是，請說明: _____ <input type="checkbox"/> No 否</p>				
For Overseas Client (i.e. Company outside Hong Kong) 海外客戶 (如客戶公司屬海外登記)				
<p>1. Is the country that your company registered from a member of the Financial Action Task Force ("FATF")? (Members of FATF include: Argentina, Australia, Austria, Belgium, Brazil, Canada, China, Denmark, Finland, France, Germany, Greece, Hong Kong, Iceland, Ireland, Italy, Japan, Luxembourg, Mexico, Netherlands, New Zealand, Norway, Portugal, Russian Federation, Singapore, South Africa, Spain, Sweden, Switzerland, Turkey, United Kingdom, USA, European Commission, and the Gulf Cooperation Council) 貴公司的註冊國家是否財務行動特別組織的成員？(財務行動特別組織成員包括：阿根廷、澳大利亞、奧地利、比利時、巴西、加拿大、中國、丹麥、芬蘭、法國、德國、希臘、香港、冰島、愛爾蘭、意大利、日本、盧森堡、墨西哥、荷蘭、紐西蘭、挪威、葡萄牙、俄羅斯聯邦、新加坡、南非、西班牙、瑞典、瑞士、土耳其、英國、美國、歐洲委員會及海灣合作理事會)</p> <p><input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否</p>				

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

貴公司的註冊國家是否已有現行的法律或條例立以制止洗黑錢的活動？

Yes 是 No 否

3. If the answer to (b) is YES, is your company subject to such laws/regulations?

如貴公司於第(b)題的答案選擇“是”，貴公司是否受到現行的法律或條例所管制？

Yes 是 No 否

4. Has your company maintained a “no conviction record” for anti-money laundering or anti-terrorist financing legislation? If no, please provide details on a separate sheet.

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

Yes 是 No 否

For client whose business involves handling third party assets (e.g. fund manager, stockbrokers) 如貴公司的業務涉及處理第三者的資產 (如基金經理 · 股票經紀)

1. Has your company (including foreign branches and subsidiaries, if any) established written policies and implemented internal procedures and controls to combat money laundering?

貴公司 (包括外國的分行及子公司) 是否已制訂書面政策 · 並執行內部程序和管理 · 以打擊洗黑錢的行動？

Yes 是 No 否

2. Are there documented procedures of your institution for reporting suspicious activities and transactions to the appropriate authorities?

貴公司就舉報可疑的活動和交易是否已確立程序向適當的監控組織報告？

Yes 是 No 否

3. Has your company established policies and procedures to ensure that reasonable measures are taken to obtain information about the true identity of your customers, and are these records retained for a specified period of time?

貴公司是否有已制訂政策與程序 · 確保已採用合理方法去取得客戶真正身份的資料 · 並將有關資料於指定時限內予以保留？

Yes 是 No 否

Identity Declaration 身份聲明

1. To the best knowledge of the applicant, is s any member of the Company's group a client of Harmonia Capital?

據申請人所知，貴公司集團內任何成員是否為仁和資本的客戶？

- Yes, Account Number and relevant group member(s) are 如是，有關集團成員之帳戶號碼及帳戶名稱為 _____
- No 否

2. Is any of the Client' s shareholders, directors, partners, Authorized person(s), the person(s) ultimately responsible for giving instructions for the Account or the ultimate beneficial owners of the Account a director or an employee of Harmonia Capital?

貴公司之股東、董事、合夥人、獲授權人、就賬戶進行的交易發出指示之最終負責人士或賬戶最終權益擁有人是否為仁和資本之董事或僱員？

- Yes, name of the director(s) or employee(s) 如果是，該董事或僱員之姓名 _____
- No 否

3. Is any of the Client' s shareholders, directors, partners, Authorized person(s), the person(s) ultimately responsible for giving instruction for the Account or the ultimate beneficial owner(s) of the Account ('Relevant Person(s)') a relative or connected party of any director(s) or employee(s) of Harmonia Capital?

貴公司之股東、董事、合夥人、獲授權人、就賬戶進行的交易發出指示之最終負責人士或賬戶最終權益擁有人(「有關人士」)是否仁和資本之董事或僱員之親屬或關聯人士？

- Yes 是
- No 否

Name of Relevant Person(s) 有關人士之姓名 :

Name of Director(s) or employee(s) 董事或僱員之姓名 :

Relationship 關係 :

4. Is any Authorized Person of Client (who is authorized to give trading instructions to Harmonia Capital) an employee or a director of a person registered or licensed with the Securities and Futures Commission of Hong Kong? 任何獲授權向仁和資本發出交易指示的客戶的授權人士是否為香港證券及期貨事務監察委員會註冊或認可的僱員或董事？

- Yes, details are 如果是，詳情為: _____ No 否

If yes, has client obtained approval from the employer of such Authorized Person to operate the securities account with Harmonia Capital

如果是的話，客戶是否已獲得該授權人士的僱主批准於仁和資本操控該證券戶口

- Yes 是 No 否

Process Agent 法律收件人

Appointment of Process Agent to accept service of process 接收文件送達之代理人之委任

For overseas client, the client hereby appoints _____ of _____ HK to accept service of process.

倘若客戶是海外客戶，客戶茲委任 _____，地址為 _____，為其在香港收法律程式文件之代理人。

Declaration by Client 客戶聲明

I/We hereby declare that 本人/吾等在此聲明：

I/We am/are the ultimate and sole beneficial owner(s) of the Account(s) and is fully responsible for all instructions for the operation of the said Account(s).

本人/吾等是帳戶的最終及唯一實益擁有人，並完全負責為該(等)帳戶運作所發出的一切指示。

the information given by me/us in this form is true and correct and that I/we have not willfully withheld any material fact(s).

本人/吾等在表格上提供之所有資料均為真實及正確，本人/吾等並未刻意隱瞞任何重要事實。

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 to do so. I/We understand that my/our submission of this form and the acceptance of this form by you in no way implies approval for opening of the Account for me/us and that you reserve the right to reject my/our application.

除上述提供的資料外，本人/吾等清楚閣下會要求本人/吾等提供更多相關的資料或證明文件。本人/吾等明白本人/吾等遞交此表格及閣下接納此表格並非表示閣下同意開立帳戶予本人/吾等，並清楚閣下保留拒絕本人/吾等開戶申請之權力。

I/We undertake to advise Harmonia Capital Limited of on any change in client information and provide Harmonia Capital Limited a notice in writing of the change.

本人/吾等承諾如有關上述提供之客戶資料有任何改變，本人/吾等將會以書面形式通知仁和資本有限公司有關更改。

I/We undertake to advise Harmonia Capital Limited of on any change in circumstances which affects the tax residency status of the individual identified or cause the information contained herein to become incorrect, and to provide Harmonia Capital Limited with a suitably updated Self-Certification form within 30 calendar days of such change in circumstances.

本人/吾等承諾如以上聲明有任何情況改變，而影響識別個人的稅務收居民身份有任何變化或導致此自我證明表格之內容及陳述變得不再正確的信息時，將於情況發生後三十個曆日內通知仁和資本有限公司以更新有關自我證明表格。

I/We request you to open a Securities Trading/ Derivatives Trading/ Foreign Exchange Trading ("the Account") and agree to abide by the rules and regulations of the Hong Kong Securities and Futures Commission ("SFC")/ The Stock Exchange of Hong Kong Limited ("SEHK") or/and any other regulatory body(ies) as amended from time to time governing of the above transactions.

本人/吾等向閣下申請開立證券交易/衍生工具交易/外匯交易/股票期權交易帳戶並同意遵守香港證券及期貨監察委員會/香港交易所及其他監管機構不時修訂以監管進行上述交易之條例及規則。

Declaration of Collection and Use of Personal Data 個人資料收集及使用

1. I/We hereby acknowledge that I/We have read and understand the Personal Information Collection Statement of Harmonia Capital Limited. I/We agree to Harmonia Capital Limited use of my/our personal data for the purposes set out in the Personal Information Collection Statement. I/We further agree to any revision or amendment that Harmonia Capital Limited may from time to time make in respect of any content of the Personal Information Collection Statement by notice to me/us.

本人/吾等謹此承認本人/吾等已細閱及明白仁和資本有限公司個人資料(私隱)條例有關收集及使用個人資料的通知並獲得其解釋，並同意仁和資本有限公司按照個人資料收集聲明之條款及目的使用本人/吾等的個人資料。本人/吾等亦同意仁和資本有限公司可以在任何時間及在通知本人/吾等後修改個人資料收集聲明之內容。

2. I/We hereby acknowledge that I/We understand that Harmonia Capital Limited may use my/our personal data in direct marketing, I/We hereby:-

本人/吾等承認本人/吾等已了解及明白仁和資本有限公司可能會使用本人/吾等的個人資料作直接促銷，本人/吾等就此：-

- Do not wish Harmonia Capital Limited to use my/our personal data in direct marketing.
不希望仁和資本有限公司在直接促銷中使用本人/吾等的個人資料。

The above represents your present choice whether or not to receive direct marketing contact or information. This replaces any choice communicated by you to Harmonia Capital Limited prior to this application. Please note that your above choice applies to the direct marketing of the classes of products, services and/or subjects as set out in The Personal Data (Privacy) Ordinance - Personal Information Collection (Customers) Statement of Harmonia Capital Limited ("Statement"). Please also refer to the Statement on the kinds of personal

data which may be used in direct marketing and the classes of persons to which your personal data may be provided for them to use in direct marketing and the channel through which you may communicate your consent or opt-out request without charge in relation to the intend use of your personal data. You hereby confirm that you have read and understood Harmonia Capital' s notification regarding collection, use and provision of personal data as set out in the Statement.

以上代表閣下目前就是否希望收到直接促銷聯繫或資訊的選擇，並取代閣下於本申請前向仁和資本有限公司傳達的任何選擇。請注意閣下以上的選擇適用於仁和資本有限公司的「個人資料(私隱)條例 - 個人資料收集(客戶)聲明」(「該聲明」)中所列出的產品、服務及/或標的類別的直接促銷。閣下亦可參閱該聲明以得知在直接促銷中可使用的個人資料的種類，閣下的個人資料可提供予什麼類別的人士作直接促銷用途及閣下可在無需繳費的情況下就閣下的個人資料擬進行之使用傳達同意或拒絕要求的途徑。

Client Signature 客戶簽署：

(Authorized Signatory and Company Chop)
(授權代表簽字及公司蓋章)

Name of Authorized Signatory 授權代表姓名:
Date 日期：

Acknowledgement by Client 客戶確認

I/We, _____ confirm and agree that:
[name of client/name of authorized signatory]

本人/吾等 _____ 確認並同意:
[客戶姓名/授權代表姓名]

- (a) I/we was/were invited to carefully read the Client Agreement including Risk Disclosure Statement, to ask questions and take independent advice if I/we wish. I/We have carefully read and understood the English or Chinese contents of this Account Opening Form and the Client Agreement(s) ("Agreement"), including the Risk Disclosure Statement and that the contents of each Agreement have been provided and fully explained to me/us in a language which I/we understand. I/We accept, as evidenced by my/our signature(s) below, all the terms of each Agreement and agree to be bound by each Agreement as amended or supplemented from time to time.
本人/吾等已獲邀仔細閱讀該客戶協議及風險披露聲明、提出問題並徵求獨立的意見(如果有此意願)、並已仔細審閱並理解本開戶申請表及客戶協議書(包括風險披露聲明)("協議")的全部內容、且協議及其內容已以本人/吾等明白的語言(英文或中文)向本人/吾等提供及作出充分的解釋。本人/吾等接受協議的全部條款和細節、並同意接受協議(及其不時修訂及補充的條款和細節)之約束。
- (b) The information contained in this form is collected and may be kept by the financial institution for the purpose of automatic exchange of financial account information, and such information and information regarding the account holder and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).
財務機構可根據《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文、收集本表格所載資料並可備存作自動交換財務帳戶資料用途及把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報、從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。
- (c) Specimen Signature* herein will be used to verify all written instructions given relating to the operation of the Account(s). Harmonia Capital Limited is entitled to rely fully on such information and representations for all purpose. Harmonia Capital Limited is authorized at any time to contact anyone, including your banks, brokers or any credit agency, for the purpose of verifying the information provided on this Client information sheet. A copy of Harmonia Capital Limited Client information sheet is available upon request.
簽署式樣*將被用作核證任何賬戶運作之書面指示。仁和資本有限公司完全可以依靠這些資料及陳述作任何目的。客戶授權仁和資本有限公司可在任何時間聯絡任何人、包括客戶的銀行、經紀等或任何信貸機構、籍以確定及查證本客戶資料書內的資料。客戶可隨時索閱仁和資本有限公司的客戶資料書副本。

Client Signature 客戶簽署 :

(Authorized Signatory and Company Chop)
(授權代表簽字及公司蓋章)

Name of Authorized Signatory 授權代表姓名:
Date 日期 :

Witness Declaration and Signature 見證人聲明和簽署

I, being a SFC Licensed/ Registered Person Notary Public Practicing Certified Public Accountant Practicing Solicitor or Lawyer

Others, Please Specify _____

hereby certify I have witnessed the signing of this Account Opening Form (together with the attached documents, if applicable) by the above Client/Joint Account Clients and sighted the original of the related identity documents of the above Client/Joint Account Clients.

本人作為 證監會持牌人/註冊人 公證人 執業會計師 執業律師 其他,請說明 _____

謹此確認見證客戶/聯名客戶簽署本開戶申請書(包括隨附的文件,如適用)以及驗證客戶/聯名客戶的身份原件。

Witness Name 見證人名稱

Witness Signature 見證人簽署

ID Card/Passport No./CE No 身份證或護照號碼/中央編號

Capacity of Witness 見證人職務

Date 日期

Declaration by the Licensed Representative(s) 仁和資本有限公司持牌代表的聲明

I/We, licensed representative(s) of Harmonia Capital Limited ("Harmonia Capital"), hereby declare and confirm that I/we have provided the Client Agreement including Risk Disclosure Statement annexed hereto in a language of the Client's choice (English or Chinese) and invited the Client/Joint Client/Corporate Client (authorized signatory) to read the same, ask questions and take independent advice if the Client/Joint Client/Corporate Client (authorized signatory) wishes.

本人/吾等為仁和資本 ("仁和資本")持牌代表,並謹此聲明及確認本人/吾等已按照客戶/聯名客戶/公司客戶(授權代表)所選擇的語言(中文或英文)而夾附提供的仁和資本的客戶協議包括風險披露聲明,邀請客戶/聯名客戶/公司客戶(授權代表)閱讀該等客戶協議、提出問題及徵求獨立的意見(如客戶/聯名客戶/公司客戶(授權代表))有此意願。

Signature of Licensed representative 持牌代表簽署

Name and CE No. of Licensed Representative(s) 持牌代表姓名及中央編號

Date 日期

Accepted and Approved by the Responsible Officer 仁和資本有限公司負責人員批核

For and on behalf of Harmonia Capital Limited

Signature of Responsible Officer 負責人員簽署

Name and CE No. of Responsible Officer 負責人員姓名及中央編號

Date 日期