GREAT ROC
CAPITAL SECURITIES LIMITED
鴻鵬資本證券有限公司

香港干諾道中168-200號信德中心西翼37樓3712室
Suite 3712, West Tower, Shun Tak Center,
168-200 Connaught Road Central, Hong Kong
電話 Tel: (852) 3423-0000
傳真 Fax: (852) 3423-0099
CE No. AXG710

根據香港法例 (第五七一章) 證券及期貨條例從事第一類受規管活動的持牌法團及香港聯合交易所有限公司 "聯交所" 交易所參與者
A licensed corporation carrying out type 1 regulated activity under the Securities and Futures (Cap. 571) of laws of Hong Kong and an exchange participant of the Stock Exchange of Hong Kong Limited ("SEHK")

戶口編號 Account No.:

開戶資料表格 ACCOUNT OPENING INFORMATION FORM

A1. 個人戶口 PRIMARY CLIENT

1. 個人資料 PERSONAL INFORMATION

客戶姓名 Client Name: Mr. / Ms. / Mrs. / Miss 先生 / 女士 / 太太 / 小姐 英文 English:	客戶姓名 Client Name: 中文 Chinese:
香港身份證號碼 / 護照號碼: ID No. / Passport No.:	簽發地點: Place of Issue:
國籍: Nationality:	出生日期 Date of Birth: (日D/月M/年Y):
住宅地址: Residential Address:	郵編: Postal Code:
通訊地址: (如與以上不同) Correspondence Address: (If different with above)	郵編: Postal Code:
住宅電話: Home Tel No.:	辦公室電話: Office Tel No.:
流動電話: Mobile Phone No.:	傳真號碼: Facsimile No.:
電郵地址: E-mail Address:	

職業/職位: Occupation/Title:	業務性質: Nature of Business:	任職年期: Year(s) with Employer:
僱主名稱/公司名稱: Name of Employer/Company:		
僱主地址/公司地址: Address of Employer/Company:		郵編: Postal Code:

2. 投資經驗及目標 INVESTMENT EXPERIENCE AND OBJECTIVE

投資經驗 Investment Experience:

股票 Securities	☐ 有_____ 年經驗 Yes, for _____ year(s)	☐ 沒有 No
期貨及期權 Futures & Options	☐ 有_____ 年經驗 Yes, for _____ year(s)	☐ 沒有 No
認股權證 Warrants	☐ 有_____ 年經驗 Yes, for _____ year(s)	☐ 沒有 No
外匯及商品 Forex & Commodity	☐ 有_____ 年經驗 Yes, for _____ year(s)	☐ 沒有 No
沽空經驗 Short Selling Experience	☐ 有_____ 年經驗 Yes, for _____ year(s)	☐ 沒有 No
互惠基金或單位信託 Mutual Funds or Unit Trust	☐ 有_____ 年經驗 Yes, for _____ year(s)	☐ 沒有 No
其它 Others:	____________________	

投資目的 Investment Objective:

☐ 資本增值 Capital growth ☐ 短線 Short-term ☐ 中長線 Mid to Long Term ☐ 投機 Speculation ☐ 對沖 Hedging ☐ 股息回報 Interest return ☐ 其它 Others: __________

3. 客戶財務資料 CLIENT FINANCIAL INFORMATION

收入來源 Source of Income:
☐ 薪金 Salary ☐ 佣金 Commission ☐ 租金 Rent ☐ 利息 Interest ☐ 退休金 Pension ☐ 沒有 No ☐ 其它 Others: __________

每年收入 Annual Income:
☐ Below HK$200,000以下 ☐ HK$200,000 - HK$500,000 ☐ HK$500,001 - HK$1,000,000 ☐ Over HK$1,000,000以上

估計個人總資產淨值 Estimated Total Net Asset Worth:
☐ Below HK$1,000,000以下 ☐ HK$1,000,000 - HK$5,000,000 ☐ HK$5,000,001 - HK$10,000,000 ☐ Over HK$10,000,000以上

住所 Residence:
☐ 租用物業 Rented ☐ 自有物業 Self-owned ☐ 按揭物業 Mortgage ☐ 公司宿舍 Company Quarters ☐ 與家人同住 Living with Family ☐ 其它 Others: __________

A2. 第二客人戶口 SECONDARY CLIENT (只適用於聯名戶口 For Joint Account Only)

1. 個人資料 PERSONAL INFORMATION

客戶姓名 Client Name: Mr. / Ms. / Mrs. / Miss 先生 / 女士 / 太太 / 小姐 英文 English:	客戶姓名 Client Name: 中文 Chinese:
香港身份證號碼 / 護照號碼: ID No. / Passport No.:	簽發地點: Place of Issue:
國籍: Nationality:	出生日期 Date of Birth: (日D/月M/年Y):
住宅地址: Residential Address:	郵編: Postal Code:
通訊地址: (如與以上不同) Correspondence Address: (If different with above)	郵編: Postal Code:
住宅電話: Home Tel No.:	辦公室電話: Office Tel No.:
流動電話: Mobile Phone No.:	傳真號碼: Facsimile No.:
電郵地址: E-mail Address:	

職業/職位: Occupation/Title:	業務性質: Nature of Business:	任職年期: Year(s) with Employer:
僱主名稱/公司名稱: Name of Employer/Company:		
僱主地址/公司地址: Address of Employer/Company:		郵編: Postal Code:

2. 投資經驗及目標 INVESTMENT EXPERIENCE AND OBJECTIVE

投資經驗 Investment Experience:

股票 Securities	☐ 有_____ 年經驗 Yes, for _____ year(s)	☐ 沒有 No
期貨及期權 Futures & Options	☐ 有_____ 年經驗 Yes, for _____ year(s)	☐ 沒有 No
認股權證 Warrants	☐ 有_____ 年經驗 Yes, for _____ year(s)	☐ 沒有 No
外匯及商品 Forex & Commodity	☐ 有_____ 年經驗 Yes, for _____ year(s)	☐ 沒有 No
沽空經驗 Short Selling Experience	☐ 有_____ 年經驗 Yes, for _____ year(s)	☐ 沒有 No
互惠基金或單位信託 Mutual Funds or Unit Trust	☐ 有_____ 年經驗 Yes, for _____ year(s)	☐ 沒有 No
其它 Others:	____________________	

投資目的 Investment Objective:

☐ 資本增值 Capital growth ☐ 短線 Short-term ☐ 中長線 Mid to Long Term ☐ 投機 Speculation ☐ 對沖 Hedging ☐ 股息回報 Interest return ☐ 其它 Others: ____________

3. 客戶財務資料 CLIENT FINANCIAL INFORMATION

收入來源 Source of Income:

☐ 薪金 Salary ☐ 佣金 Commission ☐ 租金 Rent ☐ 利息 Interest ☐ 退休金 Pension ☐ 沒有 No ☐ 其它 Others: ____________

每年收入 Annual Income:

☐ Below HK$200,000以下 ☐ HK$200,000 - HK$500,000 ☐ HK$500,001 - HK$1,000,000 ☐ Over HK$1,000,000以上

估計個人總資產淨值 Estimated Total Net Asset Worth:

☐ Below HK$1,000,000以下 ☐ HK$1,000,000 - HK$5,000,000 ☐ HK$5,000,001 - HK$10,000,000 ☐ Over HK$10,000,000以上

住所 Residence:

☐ 租用物業 Rented ☐ 自有物業 Self-owned ☐ 按揭物業 Mortgage ☐ 公司宿舍 Company Quarters ☐ 與家人同住 Living with Family ☐ 其它 Others: ____________

B. 一般戶口資料 GENERAL ACCOUNT INFORMATION

1. 戶口種類 TYPE OF ACCOUNT

☐ 現金戶口 Cash Account	請替本人 / 吾等 (下列簽名客戶) 開立現金戶口，本人 / 吾等已審閱及明白客戶綜合協議書內所載的條款及附表A - 現金戶口之附加條款及有關的附表，並接受這些條款的約束。 Please open a Cash Account for me/us, the undersigned Client(s). I/We have read and understand the provisions of the Client Master Agreement and Schedule A - Additional Terms for Cash Account and all other relevant Schedule(s) and accept to be bound by the same.
☐ 保證金戶口 Margin Account	請替本人 / 吾等 (下列簽名客戶) 開立保證金戶口，本人 / 吾等已審閱及明白客戶綜合協議書內所載的條款及附表B - 保證金戶口之附加條款及有關的附表及根據證券及期貨 (客戶證券) 規則設立的常設授權，並接受這些條款的約束。 Please open a Margin Account for me/us, the undersigned Customer(s). I/We have read and understand the provisions of the Client Master Agreement and Schedule B - Additional Terms for Margin Account and all other relevant Schedule(s) and the Standing Authority under the Securities and Futures (Client Securities) Rules and accept to be bound by the same.
選用網上證券交易服務 Account(s) requiring Electronic Trading Service	☐ 不需要 Not Required ☐ 需要。本人/吾等已審閱及明白客戶綜合協議書內所載的條款及附表 C - 電子交易服務之附加條款及有關的附表，並接受這些條款的約束。) Required. I/We have read and understand the provisions of the Client Master Agreement and Schedule C - Additional Terms for Electronic Trading Service and all other relevant Schedule(s) and accept to be bound by the same. ☐ 每月即時串流報價：提供實時股票報價服務，不限使用次數，每月固定收費380港元 Monthly Real-Time Streaming Quotes: Unlimited usage of real-time stock quotes at a fixed monthly fee of HK$380 ☐ 免費延遲15分鐘股票報價服務 Free of charge, all quotes are 15 minutes delayed

2. 郵寄通訊 CORRESPONENCE

交易確認通知書及通訊送交 (只可 ✓ 一項) Trade confirmations and correspondence to be sent to (✓ one only):

☐ 註冊地址 Registered Address
☐ 主要辦事處地址 Principal Business Address
☐ 電郵地址 E-mail Address
☐ 其它(請註明) Others (please specify): ____________________

3. 銀行戶口資料(只供存款用途) BANK ACCOUNT INFORMATION (FOR FUND DEPOSIT ONLY)

銀行名稱: Bank Name :			
分行: Branches:			
戶口持有人姓名: Account Name:			
戶口編號: Account No.:			
戶口類別: Account Type:	☐ 儲蓄 Savings	☐ 往來 Current	☐ 其它: Others: ____________

4. 相關披露 DISCLOSURE

你是否戶口之最終權益擁有人士?(你是否為公司本身而非第三者運作此戶口?)
Are you the ultimate beneficial owner(s) in relation to the Account? (i.e. Are you acting for your own account and not for a third party?)

☐ 是 Yes ☐ 否，戶口之最終權益擁有人為 No, details of the ultimate beneficial owner(s) is/are :

姓名 Name: ______

身份證號碼 / 護照號碼 ID No./Passport No.: ______

地址 Address: ______

簽發地點 Place of Issue: ______

你是否香港聯合交易所參與者之僱員或任何根據證券及期貨條例的註冊人士?
Are you an employee of any participant of The Stock Exchange of Hong Kong or a registered person under the Securities and Futures Ordinance?

☐ 否 No ☐ 是 Yes, 參與者名稱 Participant Name: ______

職位 Position: ______ 中央編號 CE No.: ______

你是否與鴻鵬資本證券有限公司或其相關公司之董事或職員有親戚關係或關連?
Are you a relative or related to director(s) or employee(s) of Great Roc Capital Securities Limited or any of its related company?

☐ 否 No ☐ 是 Yes 職員名稱 Staff Name: ______ 關係 Relationship: ______

你的配偶是否持有鴻鵬資本證券有限公司的保證金證券戶口?
Does your spouse have a margin account with Great Roc Capital Securities Limited?

☐ 否 No ☐ 是 Yes 戶口名稱 Account Name: ______

戶口編號 Account No.: ______

你是否單獨或與配偶共同控制鴻鵬資本證券有限公司其他保證金客戶之百分之三十五或以上的投票權?
Do you control, either alone or with your spouse, 35% or more of the voting rights of another margin client of Great Roc Capital Securities Limited?

☐ 否 No ☐ 是 Yes 戶口名稱 Account Name: ______

戶口編號 Account No.: ______

5. 結構性及衍生產品調查問卷 STRUCTURED AND DERIVATIVE PRODUCTS KNOWLEDGE ASSESSMENT QUESTIONNAIRE

☐ 本人/吾等從以下途徑已獲得對結構性或衍生產品之認識(請選擇一項):
I/We have acquired knowledge of structured or derivative products (Please choose one):

- ☐ 已接受有關一般結構性或衍生產品之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)
  by attending training courses that provide general knowledge of the nature and risks of structured or derivative products (e.g. courses offered by financial or academic institutions)

- ☐ 從本人/吾等以前與結構性或衍生產品有關之工作經驗
  from my/our prior work experience related to structured or derivative products

  本人/吾等於金融機構(例如銀行,證券公司等)擁有相關工作經驗
  I/we have prior relevant work experience in financial institution(s) (e.g. banks, securities companies etc.)

  或其他(請註明):
  or others (please specify): ______

- ☐ 從本人/吾等相關之交易經驗，即本人/吾等於過去三年內已進行了五次或以上有關結構性或衍生產品之交易
  from my/our relevant trading experience i.e. I/we have executed five or more transactions in structured or derivative product (whether traded on an exchange or not) within the past three years

☐ 本人/吾等並**未有**衍生產品之認識。
I/we have **NO** knowledge of structured or derivative products.

C. 客戶聲明 DECLARATION BY CLIENT

本開戶表的資料均屬真實及正確。鴻鵬資本證券有限公司 ("鴻鵬") 完全可以依靠這些資料及陳述作適當用途 (包括任何收到書面通知的更新客戶資料)。客戶授權鴻鵬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，藉以確定及查證本開戶表內的資料。
The information contained in this Account Opening Information Form is true and accurate. Great Roc Capital Securities Limited ("Great Roc") is entitled to rely fully on such information and representations for applicable purposes (including any change hereof in writing as received by Great Roc). Great Roc is authorized at any time to contact anyone, including your banks, brokers or any credit agency, for the purpose of verifying the information provide on this Account Opening Information Form.

本人 / 吾等確認衍生產品調查問卷資料完全真實及完整，並明白鴻鵬資本證券有限公司將根據上述調查問卷資料界定本人 / 吾等是否擁有對衍生產品之認識，以符合證券及期貨事務監察委員會持牌人或註冊人操守準則之有關要求。
I/we hereby confirm that the above information on derivative knowledge assessment questionnaire provided is true and complete. I/we also understand that Great Roc Capital Securities Limited will rely on the above information provided to assess whether I/we have acquired knowledge of derivative products, in order to comply with relevant requirements of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.

本人 / 吾等，下述簽署客戶 / 聯名客戶，明白使用任何鴻鵬資本證券有限公司 ("鴻鵬") 之服務前，當已閱讀及明白鴻鵬最新版本的客戶綜合協議書 ("該協議書") 而本文件乃該協議書的一部份。本人 / 吾等現申請開立上述類別的戶口，並同意接受可不時被修改的該協議書包括其一般條款及有關的附表所約束。本人 / 吾等確認已獲提供按本人 / 吾等選擇的語言 (中文/英文) 附於本表之風險披露聲明，並提出問題及徵求獨立的意見 (如本人 / 吾等有此意願)。
I/we the undersigned Client(s), confirm that prior to engagement of any of Great Roc Capital Securities Limited ("Great Roc") service(s), have read and understood the provisions of the current version of the Client Master Agreement of Great Roc ("Agreement") of which this document forms a part. I/we hereby apply to open the above type of account(s) and agree to be bound by the Agreement including its General Terms and Conditions and all other relevant Schedule(s) as the same may be amended from time to time. I/we acknowledged and confirm that Great Roc has provided the Risk Disclosure Statements annexed hereto in a language of our choice (Chinese/English) and I/we have been invited to read the Risk Disclosure Statements, to ask questions and take independent advice if I/we wish.

客戶簽署 Client Signature (如屬個人戶口，戶口持有人簽署) (For Individual Account, the Account Holder's signature) (如屬聯名戶口，第一位聯名人士簽署) (For Joint Account, the first name Joint Account Holder's signature)	客戶簽署 Client Signature (如屬聯名戶口，第二位聯名人士簽署) (For Joint Account, the second name Joint Account Holder's signature)
客戶姓名 Client Name:	客戶姓名 Client Name:
日期 Date:	日期 Date:

注意 Note :
1. 客戶可選擇以住宅地址、辦公室地址或電郵地址收取戶口帳單。郵政信箱恕不接受。
   Client can select residential address, office address or e-mail address as all the statements will be sent to this address. P.O. Boxes are not accepted.
2. 在本申請表上任何修改或刪除必須由客戶簽署作實。
   Any deletion or amendment on this form must be initialed by all account holders.
3. 不許以第三者支票交收及不接受第三者提取股票。
   Third-party cheques cannot be used to settle any transaction and do not allow third party to collect physical stock.
4. 如開戶文件並非在鴻鵬的僱員面前簽立，客戶必須交給鴻鵬由客戶在香港的持牌銀行開立的戶口所簽發 (該簽名須與此開戶表格上的客戶簽署相符) 並載有客戶在身份證明文件上所顯示的姓名的個人支票，而該支票金額不得少於10,000港元 (現金戶口) 或50,000港元 (保證金戶口)，抬頭人須為"鴻鵬資本證券有限公司"。
   If this document is not executed by the Client in front of Great Roc's staff, client should send Great Roc a personal cheque bearing your name shown in your identity document and drawn on your account with a licensed back in Hong Kong with your same signature(s) as shown on this Form in favour of "Great Roc Capital Securities Limited" for not less than HK$10,000 (cash account) or HK$50,000 (margin account).

D. 簽名式樣 SPECIMEN SIGNATURE

簽名式樣 Specimen Signature (如屬個人戶口，戶口持有人簽署) (For Individual Account, the Account Holder's signature) (如屬聯名戶口，第一位聯名人士簽署) (For Joint Account, the first name Joint Account Holder's signature)	簽名式樣 Specimen Signature (如屬聯名戶口，第二位聯名人士簽署) (For Joint Account, the second name Joint Account Holder's signature)
客戶姓名 Client Name:	客戶姓名 Client Name:
日期 Date:	日期 Date:

(聯名戶口適用 For Joint Account only) 上述任何__________人可操作此戶口 Any __________ of the above may operate the account

E. 職員聲明 DECLARATION BY STAFF

我已經按客戶明白的語言(中文/英文)向 ______________________________ (客戶姓名)提出問題及徵求獨立的意見，並已邀請客戶閱讀客戶綜合協議書內第四部份的風險披露聲明，清楚解釋風險披露聲明書的內容(如客戶有此意願) 。

I have fully explained the contents of the risk disclosure statement to ______________________________ (Name of client) in a language (Chinese/English) which the client(s) fully understand(s) and have invited the client(s) to read Part IV of the Client Master Agreement - Risk Disclosure Statement, ask(s) questions and take independent advice if required.

持牌代表簽署 Signed by licensed representative:	持牌人之全名 Full name of Licensed Person: (以正楷填寫 in block letters):
日期 Date:	中央編號 CE No.:

只供本行使用 FOR OFFICIAL USE ONLY

文件清單 DOCUMENT CHECKLIST

- ☐ 個人(及聯名)戶口持有人的身份證或護照副本
Copy of Primary (and Joint) Client's Identity Card or Passport
- ☐ 列有客戶名字的最近三個月的銀行賬單或水、電、煤氣費單副本作為住址證明
Copy of bank statement or utility bill with the name of the Client printed thereon within the last 3 months as the proof of residential address
- ☐ (如屬授權人士) 身份證或護照核證副本(如適用)
(For authorized person) Certified true copy of Identity Card or Passport (if applicable)
- ☐ 其它:
Others: ______________________________

客戶資料及文件查核 CLIENT INFORMATION AND DOCUMENT CHECKED BY

客戶主任姓名: AE Name:	客戶主任編號: AE Code:	日期: Date:

信貸及佣金 MARGIN AND CREDIT LIMIT AND COMMISSION RATE

保證金額: Margin Limit:	信貸額: Credit Limit:
佣金(%): Commission Rate(%):	最低佣金(HK$): Minimum (HK$):

開戶批核 ACCOUNT OPENING APPROVAL

職員姓名: Name of Staff:	職員簽署: Signature of Staff:	職位: Position: