



戶口編號 Account No.:

開戶資料表格 ACCOUNT OPENING INFORMATION FORM

A. 公司戶口 CORPORATE / PARTNERSHIP / SOLE PROPRIETORSHIP

1. 公司資料 COMPANY INFORMATION

公司名稱(英文): Name of Company/Corporation in English:		
公司名稱(中文): Name of Company / Corporation in Chinese:		
經營名稱(如與以上不同): Trading Name (if different from above):		
註冊地點: Place of Incorporation:	註冊日期: Date of Incorporation:	
註冊證書編號: Certificate of Incorporation No.:	香港商業登記證號碼: Hong Kong Business Registration No.:	
主要辦事處地址: Principal Business Address:		
註冊地址: Registered Office Address:		
業務性質 Brief Description of Nature of Business: <input type="checkbox"/> 上市公司 <input type="checkbox"/> 非上市有限公司 <input type="checkbox"/> 獨資經營 <input type="checkbox"/> 合夥經營 <input type="checkbox"/> 其它(請註明) Listed Company Unlisted Limited Company Sole Proprietorship Partnership Others (please specify): _____		
公司電話: Business Phone No.:	傳真號碼: Facsimile No.:	
電郵地址: E-mail Address:		
董事姓名 Name(s) of Director(s)	香港身份證/護照號碼 ID No. / Passport No.	地址 Address
1. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____
4. _____	_____	_____
5. _____	_____	_____
主要股東/合夥人姓名 Major Shareholder(s)/Partner(s)	香港身份證/護照號碼 ID No. / Passport No.	地址 Address
1. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____
4. _____	_____	_____
5. _____	_____	_____

2. 獲授權操作閣下戶口之人士 AUTHORISED PERSON(S) TO OPERATE YOUR ACCOUNT

獲授權發出買賣指令人士 Person(s) who are authorized to place order:			
姓名 Name	香港身份證/護照號碼 ID No. / Passport No.	聯絡電話 Contact No.	授權人士簽署 Authorized Signature
1. Mr/Ms _____	_____	_____	_____
2. Mr/Ms _____	_____	_____	_____
3. Mr/Ms _____	_____	_____	_____
4. Mr/Ms _____	_____	_____	_____
5. Mr/Ms _____	_____	_____	_____
有效條件(若有) Rules (if any): _____			
最終擁有本戶實質權益的人士為 The ultimate beneficial owner(s) of the Account is/are:			
姓名 Name(s)	聯絡電話 Contact No.	地址 Address	
1. _____	_____	_____	_____
2. _____	_____	_____	_____

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

投資經驗 Investment Experience:			
股票 Securities	<input type="checkbox"/> 有 _____ 年經驗 Yes, for _____ year(s)	<input type="checkbox"/> 沒有 No	
期貨及期權 Futures & Options	<input type="checkbox"/> 有 _____ 年經驗 Yes, for _____ year(s)	<input type="checkbox"/> 沒有 No	
認股權證 Warrants	<input type="checkbox"/> 有 _____ 年經驗 Yes, for _____ year(s)	<input type="checkbox"/> 沒有 No	
外匯及商品 Forex & Commodity	<input type="checkbox"/> 有 _____ 年經驗 Yes, for _____ year(s)	<input type="checkbox"/> 沒有 No	
沽空經驗 Short Selling Experience	<input type="checkbox"/> 有 _____ 年經驗 Yes, for _____ year(s)	<input type="checkbox"/> 沒有 No	
互惠基金或單位信託 Mutual Funds or Unit Trust	<input type="checkbox"/> 有 _____ 年經驗 Yes, for _____ year(s)	<input type="checkbox"/> 沒有 No	
其它 Others: _____			
投資目的 Investment Objective:			
<input type="checkbox"/> 資本增值 Capital growth	<input type="checkbox"/> 短線 Short-term	<input type="checkbox"/> 中長線 Mid to Long Term	<input type="checkbox"/> 投機 Speculation
			<input type="checkbox"/> 對沖 Hedging
			<input type="checkbox"/> 股息回報 Interest return
			<input type="checkbox"/> 其它 Others: _____

4. 財務資料 FINANCIAL INFORMATION

法定股本: Authorized Share Capital:	發行股本: Issued Share Capital:
財富來源(可 ✓ 超過一項) Source of Wealth (✓ one or more):	
<input type="checkbox"/> 營業溢利 Trading Profit	<input type="checkbox"/> 生產利潤 Manufacturing Profit
<input type="checkbox"/> 租金收入 Rental Income	<input type="checkbox"/> 服務收入 Service Income
<input type="checkbox"/> 股息/利息收入 Dividened/Interest Income	<input type="checkbox"/> 其它(請註明) Others (please specify): _____
最近的審計賬目, 淨資產值為(港幣\$) Net Asset Value based on latest audited accounts (HK\$):	
<input type="checkbox"/> Trading Profit HK\$1,000,000以下	<input type="checkbox"/> HK\$1,000,000 - HK\$10,000,000
	<input type="checkbox"/> Over HK\$10,000,000以上
最近的審計賬目, 除稅後盈利為(港幣\$) Profit after Tax based on latest audited accounts (HK\$):	
<input type="checkbox"/> Below HK\$1,000,000以下	<input type="checkbox"/> HK\$1,000,000 - HK\$10,000,000
	<input type="checkbox"/> Over HK\$10,000,000以上
<input type="checkbox"/> 虧損, 數額為 Loss with amount at HK\$ _____	

B. 一般戶口資料 GENERAL ACCOUNT INFORMATION

1. 戶口種類 TYPE OF ACCOUNT

<input type="checkbox"/> 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.
<input type="checkbox"/> 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	<input type="checkbox"/> 不需要 Not Required <input type="checkbox"/> 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. <input type="checkbox"/> 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 <input type="checkbox"/> 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 CORRESPONDENCE

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):

<input type="checkbox"/> 註冊地址 Registered Address	<input type="checkbox"/> 主要辦事處地址 Principal Business Address	<input type="checkbox"/> 電郵地址 E-mail Address
<input type="checkbox"/> 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:	<input type="checkbox"/> 儲蓄 Savings	<input type="checkbox"/> 往來 Current	<input type="checkbox"/> 其它: Others: _____

4. 相關披露 DISCLOSURE

貴公司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?)

Is the company 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: _____

貴公司是否證券及期貨事務監察委員會之持牌法團?

Is the company a licensed corporation registered with the Securities and Futures Commission?

否 No 是 Yes 中央編號 CE No.: _____

貴公司之任何董事、股東或授權人士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註冊之人士?

Is any director, shareholder or authorized person of the company an employee of any participant of The Stock Exchange of Hong Kong or registered person under the Securities and Future Ordinance?

否 No 是 Yes

董事、股東或授權人名稱 Director/Shareholder/Authorized person Name: _____

職位 Position: _____ 中央編號 CE No.: _____

貴公司任何一位個人/董事、股東或授權人士是否鴻鵬資本證券有限公司或其相關公司的保證金證券客戶?

Is any individual/director, shareholder or authorized person of the company a margin client of Great Roc Capital Securities Limited or any of its related company?

否 No 是 Yes 戶口名稱 Account Name: _____

戶口編號 Account No.: _____

貴公司任何一位個人/董事、股東或授權人士及相關公司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?

Is any individual/director, shareholder or authorized person of the company and related company control either alone or, 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.: _____

貴公司任何一位個人/董事、股東或授權人士是否與鴻鵬資本證券有限公司或其相關公司的職員有關連?

Is any individual/director, shareholder or authorized person of the company related to an employee of Great Roc Capital Securities Limited or any its related company?

否 No 是 Yes

職員名稱 Staff Name: _____ 關係 Relationship: _____

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.

本公司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公司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。

We hereby confirm that the above information on derivative knowledge assessment questionnaire provided is true and complete. We also understand that Great Roc Capital Securities Limited will rely on the above information provided to assess whether 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.

本公司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。本公司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。本公司確認已獲提供按本公司選擇的語言 (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 (如本公司有此意願)。

We 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. 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. We acknowledged and confirm that Great Roc has provided the Risk Disclosure Statements annexed hereto in a language of our choice (Chinese/English) and we have been invited to read the Risk Disclosure Statements, to ask questions and take independent advice if we wish.

客戶授權人士簽署並蓋上公司印章 Authorized person signature with company chop

授權人士姓名 Authorized Person Name: _____ 職位 Title: _____

日期 Date: _____

注意 Note: 1. 客戶可選擇以註冊地址、主要辦事處地址或電郵地址收取戶口帳單。郵政信箱恕不接受。

Client can select registered address, principal business 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。

Third-party cheques cannot be used to settle any transaction.

D. 印章式樣 SPECIMEN CHOP

印章式樣

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

- 董事、股東、實益擁有人之身份證或護照副本及住址證明
Copy of Identity Card / Passport and proof of residential address of Directors, Shareholders and Beneficial Owners
- 董事會決議核證摘要
Certified extracts of Board Resolution
- 董事名單及股東名單核證副本
Certified true Copy of Director List and Shareholder List
- 公司註冊證書核證副本
Certified true copy of Certificate of Incorporation
- 商業登記證核證副本(如適用)
Certified true copy of Business Registration Certificate (if applicable)
- 組織章程大綱及細則核證副本
Certified true copy of Memorandum and Articles of Association
- 最近一個財政年度之經審計財務報表
Audited financial statements for the latest financial year
- 公司主要業務地點地址證明，如申請人沒有主要經營業務而只作投資或投資控股用途，此文件可獲豁免
Principal business address proof, waivable only if the applicant is for investment or investment holding and not operation
- 其它(請註明)
Others (please specify): _____

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:
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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:
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