

| 5. 授權操作帳戶人資料 Authorized Person(s) Information | | | | |
|---|----|----|----|----|
| 授權人簽署 Authorized Person Signature | 1. | 2. | 3. | 4. |
| 姓名Name | | | | |
| 身份證號碼 HKID No | | | | |
| 聯絡電話 Contact No | | | | |

簽署指示 Signing Instruction : 單簽 Anyone can sign singly 任何兩人同簽 Any two must sign jointly 其他 Others : _____

C. 客戶投資經驗及目標 Client Investment Experience and Objective

| | | | |
|--------------------------------|--|--------------------------------|---|
| 投資經驗 Investment Experience | <input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 少於 1 年 Less than a year <input type="checkbox"/> 1-5 年 years <input type="checkbox"/> 6-10 年 years <input type="checkbox"/> 10 年以上 More than 10 years | 估計投資金額 Estimated Investment | <input type="checkbox"/> <HK\$100,000 <input type="checkbox"/> HK\$100,001 – HK\$500,000 <input type="checkbox"/> HK\$500,001 – HK\$1,000,000 <input type="checkbox"/> >HK\$1,000,000 |
| 曾投資的產品 Experienced Products | <input type="checkbox"/> 證券 Stocks <input type="checkbox"/> 衍生權證 Derivative Warrants <input type="checkbox"/> 期貨/期權 Futures/Options <input type="checkbox"/> 外匯/黃金 Forex/Bullion <input type="checkbox"/> 債券 Bonds <input type="checkbox"/> 基金 Funds <input type="checkbox"/> 其他 Others: _____ | 投資目標 Investment Objectives | <input type="checkbox"/> 短線 Short Term <input type="checkbox"/> 中線 Medium Term <input type="checkbox"/> 長線 Long Term <input type="checkbox"/> 資本增值 Capital Appreciation <input type="checkbox"/> 股息回報 Dividend Yield <input type="checkbox"/> 對沖 Hedging <input type="checkbox"/> 投機 Speculation <input type="checkbox"/> 其他 Others: _____ |

D. 客戶財政資料 Client Financial Information

| 法定股本 Authorized Capital | | 發行股本 Paid-up Capital | |
|-------------------------|---|---------------------------|--|
| 淨資產值 Net Asset Value | 根據最近的審計賬目 Based on latest audited accounts as at ____/____ 年度 <input type="checkbox"/> <HK\$1,000,000 <input type="checkbox"/> HK\$1,000,000 - HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001 - HK\$10,000,000 <input type="checkbox"/> >HK\$10,000,000 | 除稅後盈利 Profit after Tax | 根據最近的審計賬目 Based on latest audited accounts as at ____/____ 年度 <input type="checkbox"/> <HK\$500,000 <input type="checkbox"/> HK\$500,000 - HK\$1,000,000 <input type="checkbox"/> >HK\$1,000,000 <input type="checkbox"/> 虧損，數額為：Loss with amount at HK\$_____ |

*若空格不敷使用，請另附紙填寫，並予以簽署。Please attach extra sheets and sign if necessary

E. 客戶聲明 Declaration by Client

| | 備註 Remarks |
|--|---|
| 客戶是否為證券及期貨事務監察委員會定義之持牌法團或註冊機構? Is client a licensed corporation registered with the Securities and Futures Commission or registered institution under the Banking Ordinance? <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No 如是，中央編號為 If yes, CE No. is _____ | |
| 客戶是否以中介人身份操作帳戶? Are you acting as an intermediary for the account? 如是，戶口的最終權益擁有人(包括通過代理人或信託人而持有利益之受益人)是 If yes, details of the ultimate beneficial owner(s), including a beneficiary holding an interest through a nominee or trust, is/are 名稱 Name _____ 身份證/護照號碼 ID/Passport No. _____ 地址 Address _____ | <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No |
| 客戶之任何董事、股東或授權人士是否致富集團的客戶? Is any director, shareholder or authorized person of the client a client of Chief Group? 如是 If yes, 帳戶號碼 Account No. : _____ 帳戶名稱 Account Name : _____ | <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No |
| 客戶之任何董事、股東或授權人士是否致富集團的職員? Is any director, shareholder or authorized person of the client a staff of Chief Group? 如是 If yes, 職員名稱 Name: _____ 職位 Position _____ | <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No |
| 客戶之任何董事、股東或授權人士與致富集團職員是否有親戚關係? Does any director, shareholder or authorized person of the client have any relationship with the employee of Chief Group? 如是 If yes, 職員名稱 Name: _____ 關係 Relationship: _____ | <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No |
| 客戶是否在其他持牌法團/註冊機構擁有戶口? Do you have accounts with other licensed corporation or registered institution? 如是 If yes, 持牌法團/註冊機構名稱 Name of licensed corporation or registered institution _____ 戶口類別 A/C Type : <input type="checkbox"/> 現金 Cash <input type="checkbox"/> 保證金 Margin <input type="checkbox"/> 股票期權 Stock Options <input type="checkbox"/> 期貨 Futures <input type="checkbox"/> 網上交易帳戶 Internet <input type="checkbox"/> 資產管理 Asset Management | <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No |
| 客戶之任何董事、股東或授權人士是否為香港聯合交易所參與者或任何根據證券及期貨條例註冊持牌法團或銀行業條例之註冊機構之僱員(不論閣下現時是否為證監會持牌代表/金管局註冊人士)? Is any director, shareholder or authorized person of the client an employee of any participant of the Stock Exchange of Hong Kong, a licensed corporation under the Securities and Futures Ordinance, or a registered institution under the Banking Ordinance (whether he/she is currently a SFC licensed/HKMA registered person or not)? 如是 If yes, 參與者/持牌法團/註冊機構名稱: Participant/Licensed Corporation: _____ 職位 Position: _____ /Registered Institution Name 中央編號 CE No.:(Employer 僱主) _____/(Employee 僱員) _____(If applicable 如適用) (必須出示所屬持牌法團或註冊機構之授權信 Consent Letter from licensed corporation or registered institution must be provided) | <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No |

F. 客戶確認及簽署 Acknowledgement and Execution by Client

吾等(在下面簽署的客戶)確認致富證券有限公司(下稱“致富”)已按吾等選擇的語言(英文或中文)提供了客戶協議書及風險披露聲明之副本。

吾等(在下面簽署的客戶)謹此聲明在本開戶表格所提供之資料全部為真實、完整及正確，除非致富接到更改有關本開戶表格內容之書面通知，否則致富有權完全依賴此等資料及聲明作一切用途。致富或其代理獲授權可隨時就核對本開戶表格資料事宜，與任何人包括吾等之銀行、經紀或任何信用機構進行諮詢。

吾等(在下面簽署的客戶)現申請開立吾等在本開戶表格頁首選擇之帳戶及服務類別。吾等確認已閱讀並明白附上之致富證券有限公司客戶協議書(該協議書)的所有有關條款並且接受及同意受可不時被修改的該協議書之條款所約束，本人/吾等在此以書面通知、及確認並授權致富行使其在該協議書內的全部常設授權。

吾等(在下面簽署的客戶)進一步確認致富已經邀請吾等閱讀風險披露聲明，提出問題及徵求獨立的意見(如吾等有此意願)。

We, the undersigned client(s) hereby confirm that We have been provided the Client Agreement (“the Agreement”) of Chief Securities Limited (“Chief”) and the Risk Disclosure Statements (receipt of a copy whereof is hereby acknowledged by us).

We, the undersigned client(s) hereby confirm and represent that the information on this Account Opening Form is true, complete and correct. Chief is entitled to rely fully on such information and representations for all purposes, unless Chief receives notice in writing of any change. Chief or any of its agents is hereby authorized at any time to contact anyone, including our banks or any credit agency, for the purpose of verifying the information provided on this Account Opening Form.

We, the undersigned client(s) hereby apply to open the types of account(s) and service(s) which We choose on the front page of this Account Opening Form and confirm that We have read and understand the relevant provisions of the attached Client Agreement and accept and agree to be bound by the Agreement as the same may be amended from time to time, and I/We hereby give you notice in writing that I/we confirm and authorize Chief to exercise all the powers of the Standing Authorities under the Client Agreement.

We, the undersigned client(s) further acknowledge and confirm that We have been invited by Chief to read the Risk Disclosure Statements, ask questions and take independent advice, if I/We wish.

Date 日期：_____YYYY 年 _____MM 月 _____DD 日

| | |
|-------------------------------------|-------------------|
| 客戶簽署 Authorised Signature | 公司印章 Company Chop |
| 授權代表名稱 Name of Authorised Person | |
| 職位 Position | |

G. 見證客戶簽署及身份證明文件驗證(如適用) Certification of Client Signature and Identity Proof (if applicable)

若客戶並非在致富證券有限公司之指定僱員面前簽立本開戶表格或本開戶表格並非連同恰當的支票*一併遞交，則以下部分應由指定人士，包括其他證監會持牌人或註冊人、太平紳士或專業人士例如銀行分行經理、執業會計師、律師或公證人，簽署驗證。

If this Account Opening Form is not executed in front of Chief Securities Limited's SFC licensed employee or is not submitted with an appropriate cheque*, a specified person, including any SFC licensed or registered person, a Justice of Peace, a Branch Manager of a bank, Certified Public Accountant or Notary Public, should be required to sign below.

下述簽署人士謹此驗證上述客戶簽立此文件(連同客戶協議書)及其有關的身份證明文件：

The undersigned person hereby certify the signing of this Account Opening Form (together with the Client Agreement) by the above Client(s) and sighting of related identity documents of such Client(s)

Date 日期：_____YYYY 年 _____MM 月 _____DD 日

| | | | |
|-------------------------------|-----------------|--------------------|------------------------------|
| 簽署及驗證 Signed and Certified by | 姓名 Name | 聯絡電話 Contact No | 所屬專業及職銜 Profession /Title |
| | 聯絡地址 Address | | |

*客戶在香港的持牌銀行開立的帳戶並由客戶所簽發(該簽名須與此開戶表上的客戶簽名相符)並載有客戶在其身份證明文件上所顯示的姓名的劃線支票，而該支票抬頭人須為“致富證券有限公司”及其數額不得少於10,000 港元。客戶被批核的新帳戶必須待支票兌現後才可使用。A crossed cheque bearing your name shown in your identity document and drawn on your account with a licensed bank in Hong Kong with your same signature(s) as shown on this Form in favour of “Chief Securities Limited” for not less than HKD10,000. Your approved new account will not be activated until the cheque is cleared

H. 職員聲明 Declaration by Staff

本人，以註冊人身份，確認本人已按照上述客戶所選擇的語言提供風險披露聲明及邀請客戶閱讀該風險披露聲明、提出問題及徵求獨立意見(如客戶有此意願)。

I, a registered person, declare that I have provided the above client with a copy of the Risk Disclosure Statements in a language of the Client's choice and invited the client to read the Risk Disclosure Statements, ask questions and take independent advice if the client so wishes.

#以上客戶簽署乃於本人面前簽立。The above Client signature(s) was/were made in my presence.

Date 日期：_____YYYY 年 _____MM 月 _____DD 日

| | | |
|---|-----------------------------------|-------------------|
| 職員簽署 Signed by Staff | 職員姓名 Name of Staff | 中央編號 CE Number |
| | 向客戶確認 Confirmation with client ## | |
| 總行 HQ/分行 Branch: _____ 內線 Ext.: _____ 時間 Time: ____時 HH__分 MM | | |

如不適用者，必須刪去此句。This sentence must be deleted if not applicable

##如#項已被刪去，此欄必須填寫。Please fill in this part if item with # is deleted

| | | | | |
|---|---|---|---|--|
| 認識致富的途徑 <可選多項> A) 介紹 : <input type="checkbox"/> 客戶介紹 (客戶名稱: _____ A/C No: _____) <input type="checkbox"/> 職員介紹 (職員名稱: _____) B) 致富推廣宣傳: <input type="checkbox"/> 電視 <input type="checkbox"/> 報紙 <input type="checkbox"/> 傳單 <input type="checkbox"/> 致富講座 <input type="checkbox"/> 致富 Facebook <input type="checkbox"/> 致富網站 <input type="checkbox"/> 致富分行宣傳資料 C) 其他網站 : <input type="checkbox"/> Google <input type="checkbox"/> Yahoo <input type="checkbox"/> 其他請註明: _____ D) 其他途徑 : <input type="checkbox"/> 請註明: _____ | | | | |
| 核對清單 | 經紀/分行 | 編號 | 與經紀認識 年 | |
| <input type="checkbox"/> 客戶年滿 18 歲 <input type="checkbox"/> 身份證/護照副本 <input type="checkbox"/> 最近三月附客戶姓名之住址證明 <input type="checkbox"/> 核實簽署之支票(如需要) <input type="checkbox"/> 保留支票副本 <input type="checkbox"/> 香港持牌銀行支票 <input type="checkbox"/> 抬頭人為致富證券有限公司 <input type="checkbox"/> 銀碼不少於 HK\$10,000 <input type="checkbox"/> 支票上之客戶名稱與本表格相符 <input type="checkbox"/> 支票上之客戶簽署與本表格相符 <input type="checkbox"/> W8BEN 表格(美股交易適用) <input type="checkbox"/> 投資者分類確認回條(衍生產品) | 佣金收費 | | | |
| | <input type="checkbox"/> 經簽署作實之公司文件副本 <input type="checkbox"/> 通過在致富證券有限公司及指派獲授權人士操作戶口的董事會決議案 <input type="checkbox"/> 公司註冊證書 <input type="checkbox"/> 商業登記證書 <input type="checkbox"/> 公司組織章程及細則 <input type="checkbox"/> 最近之財政報告 <input type="checkbox"/> 所有董事及授權人士之身份證 <input type="checkbox"/> 重覆帳戶/黑名單帳戶 <input type="checkbox"/> 其他: _____ | | | |
| | 港股 HK\$ 普通 Min \$ % 即日 Min \$ % 網上 Min \$ % 佣金代號 | 美股 US\$ 普通 Min \$ % 即日 Min \$ % 網上 Min \$ % 佣金代號 | 股票期權 HK\$ 普通 Min \$ % 網上 Min \$ % 佣金代號 | |
| | 信貸限額 HK\$ | | US\$ | |
| | 客戶號碼 | | | |
| | 開戶批核 | | | |
| | 密碼發送(港股) 密碼發送(股票期權) 密碼發送(美股) | | | |
| 批核人名稱 _____ 經手人 _____ 經手人 _____ 經手人 _____ 日期 _____年____月____日 _____年____月____日 _____年____月____日 _____年____月____日 | | | | |
| 資料輸入 | 資料核對 | 備註 | | |
| _____年____月____日 | _____年____月____日 | | | |