中國富強金融集團
CHINA FORTUNE FINANCIAL GROUP
(香港聯合交易所股份代號 290)
(HKEX Stock Code 290)

富強證券有限公司
FORTUNE(HK) SECURITIES LIMITED
(中國富強金融集團有限公司成員)
(Member of China Fortune Financial Group Limited)

個人/聯名客戶開立證券買賣戶口需知
NOTE TO CLIENT (INDIVIDUAL/JOINT ACCOUNT) RELATING TO OPENING SECURITIES TRADING ACCOUNT

(ver. 20210701)

感謝閣下選擇富強證券。開立現金/保證金證券買賣賬戶，必須填妥《客戶協議書》及以下有關開戶文件 ：
Thank you for choosing Fortune. To open a Cash/Margin securities trading account, client shall complete and sign the following documents:

1.	**客戶協議書 - 開戶申請表（個人/聯名賬戶）** **Client Agreement - Account Opening Form (Individual/Joint Account)**	**必填開戶文件** **Essential Account Opening Documents**
2.	**美國國稅局表格** **W-8BEN (Individuals)**	
3.	**附件 1 - 簽名式樣表格** **Appendix 1 – Specimen Signature Form**	
4.	*附件 2 - 客戶信貸（保證金）額度申請表* *Appendix 2 – Client Credit (Margin) Limit Application Form*	*保證金賬戶適用* *Applicable to Margin Account*
5.	*附件 3 - 政治人物問卷調查* *Appendix 3 – Politically Exposed Persons Questionnaire*	*政治人物及有關人士適用* *Applicable to PEP and related person*
6.	*附件 4 - 個人專業投資者申請表* *Appendix 4 – Individual Professional Investor Application Form*	*專業投資者適用* *Applicable to Professional Investor*
■	開戶及反洗錢風險評估問卷 Accounting Opening and Anti-Money Laundering Risk Assessment Questionnaire	由公司職員填寫 Complete by company staff
■	合規查核 World-check assessment / Sanctions List check / Search engine check	

客戶並須提供下列文件及經證監會持牌人 /公司秘書 /會計師 /律師 核證的副本。證明人應在副本上簽署，寫上日期，提供持牌號碼，並說明該為「**真確複本**」。（不接受客戶自行核證的副本）：
Client shall provide true copies of the following documents certified by SFC licensed person / Company Secretary / C.P.A. / Solicitor. Certifier should sign, date, provide license number and indicate as **"Certified True Copy"** on the copies. (Self-certified by client is not accepted):

1.	香港永久居民身份證 Permanent HKID card	顯示全名，出生日期，國籍及證件號碼 With full name, date of birth, nationality, and document number shown
☐	如中國內地客戶或非香港永居，請附上所屬國家護照/身份證 For PRC client or non HK permanent resident, please provide Passport/ID of Residency	
☐	如中國內地客戶親臨香港開戶請提供入境香港的通行證/護照 For PRC client in HK, please provide the Exit-Entry Permit/Passport that used to enter HK	
☐	如外國公民請提供所屬國家護照 Foreign citizens please provide Passport	
2.	三個月內發出之住址證明 Residential address proof issued within the last 3 months	例如：水電費單，差餉單等等 e.g. utility bill, government rent etc.
3.	銀行戶口證明（不接受中國內地銀行帳戶） Bank account proof (PRC mainland bank accounts are not accepted)	例如：銀行卡，存摺，結單 e.g. ATM card, passbook, bank statement
4.	*專業投資者資產證* *Professional Investor asset proof*	*如適用* *If applicable*
5.	*<u>如非富強證券員工見證開戶</u>，需附上見證開戶專業人士之以下文件：* *<u>If the account opening in not under the witness of a Fortune staff</u>, please provide the below documents of the Certifier:*	
☐	*執業證件；及* *Profession Certificate / Proof; and*	
☐	*身份證 /護照* *ID card / Passport*	

以上文件未經本公司核證及批准前，客戶不可進行任何證券交易。
No trading will be allowed until all documents submitted are checked and approved by the Company.

富強證券有限公司 謹啓
Fortune (HK) Securities Limited

AE Code	AC Type	賬戶號碼 Account No.	
		開戶日期 A/C Opening Date	

客戶協議書 - 開戶申請表（個人/聯名賬戶）
Client Agreement - Account Opening Form (Individual/Joint Account)

A. 賬戶類別 ACCOUNT TYPE

☐ 現金賬戶 Cash Account
☐ 保證金賬戶 [2] Margin Account[2]

(如適用 If applicable)
☐ 專業投資者賬戶 [3] Professional Investor Account[3]

☐ 個人賬戶 Individual Account
☐ 聯名賬戶 [1] Joint Account[1]
附屬客戶姓名 Name of Secondary Client ________________________________
任何有關賬戶運作的書面指示 Any written instructions relating to the operation of the Account(s)
☐ 其中一位聯名賬戶持有人單獨簽署 either one joint account holder signing singly
☐ 兩位聯名賬戶持有人必須共同簽署 both joint account holders signing jointly

[1] 聯名賬戶的其他賬戶持有人須分別填寫一份開戶申請表 For Joint Account, other account holder should complete separate Account Opening Form
[2] 請同時填寫附件 2 - 客戶信貸（保證金）額度申請表 Please also complete the Appendix 2 - Client Credit (Margin) Limit Application Form
[3] 請同時填寫附件 4 - 個人專業投資者申請表 Please also complete the Appendix 4 - Individual Professional Investor Application Form

B. 客戶資料 CLIENT INFORMATION

中文姓名 Chinese Name	英文姓名 English Name	性別 Gender ☐ 男 Male ☐ 女 Female
身份證明文件類別 Identity Document Type ☐ 香港永久居民身份證 HK ID Card ☐ 中國居民身份證 PRC ID Card ☐ 護照 Passport	學歷程度 Education Level ☐ 小學或以下 Primary School or below ☐ 中學 Secondary School ☐ 大學或以上 University or above	結單語言 Statement Language ☐ 繁體中文 ☐ 简体中文 ☐ English
身份證明文件號碼 ID / Passport No.	出生日期（日/月/年）Date of Birth (DD/MM/YYYY)	出生地點 Place of Birth
證件簽發地 Place of Issue	國籍 Nationality	居住國家 Country of Residence

手機號碼（連國家代碼 +） Mobile No. (Including Country Code +)	電郵 Email Address
傳真號碼 Fax No.	住宅座機號碼 Home Telephone No.

住宅地址（不接受郵政信箱）Residential Address (P.O. Box not accepted)

通訊地址（如與上述不同）Correspondence Address (if different from above)

結單收取方式 Delivery method of Statement
☐ 電郵地址 E-mail Address
☐ 郵寄至通訊地址（每月行政費港幣 20 元） By Post to Correspondence Address (A HK$20/month admin fee will be charged)

C. 銀行賬戶信息（不接受中國內地銀行帳戶） BANK ACCOUNT DETAILS (PRC mainland bank accounts are not accepted)

銀行名稱 Bank Name	銀行賬戶號碼 Bank Account No.	幣種 Currency	賬戶所在地 Location
(1)		HKD / USD / CNY	
(2)		HKD / USD / CNY	

D. 就業情況 EMPLOYMENT STATUS

請勾選擇一項 Please check one of below ☐ 受僱 Employed ☐ 無業 Unemployed ☐ 僱主/自僱 Self-employed ☐ 學生 Student ☐ 家庭主婦 Housewife ☐ 退休 Retired	僱主名稱 Name of Employer	
	職業性質/職位 Nature of Employment/Title	業務類型 Nature of Business
	辦公電話 Office Telephone No.	任職年期 Years of Service

公司地址（不接受郵政信箱）Address of Employer (P.O. Box not accepted)

E. 財務狀況 FINANCIAL INFORMATION			
年薪 Annual Income	☐ < HKD100,000 ☐ HKD100,001 – HKD500,000 ☐ HKD500,001 – HKD1,000,000 ☐ HKD1,000,001 – HKD5,000,000 ☐ HKD5,000,001 – HKD10, 000,000 ☐ 其他 Other: HKD______________________	住宅 Residence	☐ 自置物業 Self-owned ☐ 按揭物業 Mortgage ☐ 租用 Rent ☐ 與家人同住 Living with family ☐ 宿舍 Quarters ☐ 其他 Other: ___________________________
財富來源 Source of Wealth	☐ 受僱薪金或花紅 Salary Bonus ☐ 營業收入 Business Income ☐ 租售物業/資產 Sell or lease of Property/Assets ☐ 投資收益 Investment Income ☐ 遺產/饋贈 Inheritance /Gift ☐ 其他 Other: ________________________	流動資產 Liquid Assets	☐ < HKD100,000 ☐ HKD100,001 – HKD500,000 ☐ HKD500,001 – HKD1,000,000 ☐ HKD1,000,001 – HKD5,000,000 ☐ HKD5,000,001 – HKD10, 000,000 ☐ 其他 Other: HKD______________________
資金來源 Source of Fund	☐ 受僱薪金 Salary ☐ 營業收入/佣金 Business Income/Commission ☐ 出售物業/資產 Sales of Property/Assets ☐ 租金/投資收益 Rental/Investment Income ☐ 儲蓄/退休金 Savings/Pension ☐ 其他 Other: ________________________	資產淨值 Net Worth	☐ < HKD100,000 ☐ HKD100,001 – HKD500,000 ☐ HKD500,001 – HKD1,000,000 ☐ HKD1,000,001 – HKD5,000,000 ☐ HKD5,000,001 – HKD10, 000,000 ☐ 其他 Other: HKD______________________

F. 保證金客戶的資料披露（僅適用於保證金賬戶） DISCLOSURE OF MARGIN CLIENT INFORMATION (ONLY APPLICABLE FOR MARGIN ACCOUNT)			
1.	閣下（及/或聯名賬戶第二持有人）之配偶是否為富強的保證金客戶？如是，請註明有關人士的名稱及賬戶號： Are your (and/or the Secondary Joint Account Holder's) spouse a Margin Account holder of Fortune? If YES, please specify his/her Name and Account No.: 姓名 Name | 保證金戶口號碼 Margin Account No.	☐ 是 Yes ☐ 否 No	
2.	閣下（及/或聯名賬戶第二持有人）是否與閣下（及/或聯名賬戶第二持有人）之配偶共同控制任何于富強開立之公司保證金帳戶 35%或以上的投票權？如是，請註明公司名稱及賬戶號： Are you (and/or the Secondary Joint Account Holder), either alone or with your (and/or the Secondary Joint Account Holder)'s spouse, in control of 35% or more of the voting rights of any corporate Margin Account holder of Fortune? If YES, please specify his/her Name and Account No.: 公司名稱 Name | 保證金戶口號碼 Margin Account No.	☐ 是 Yes ☐ 否 No	

G. 投資目標 INVESTMENT OBJECTIVE		
☐ 對沖 Hedging	☐ 資本增值 Capital Gain	☐ 紅利收入 Dividend Income
☐ 投機 Speculation	☐ 套利 Arbitrage	☐ 其他 Others: ___________________________________

H. 衍生產品認知 DERIVATIVE PRODUCTS KNOWLEDGE

☐ 本人瞭解衍生產品的性質及風險 I understand the nature and risks of derivative products by:

- ☐ 1. 已接受有關的培訓或課程
  Undergoing relevant training or attending course in
  ☐ 監管機構 Regulatory Authority ☐ 交易所 Exchange ☐ 大專院校 Tertiary Institution ☐ 進修學院 Education Institution ☐ 金融機構 Financial Institution
- ☐ 2. 於經紀公司或銀行、基金或資產管理公司、監管機構或交易所等金融機構擁有有關的工作經驗
  By gaining prior relevant work experience in financial institutions such as a broker firm or bank, fund house or asset management firm, regulatory authority or exchange.
  ☐ 受監管持牌人士 Regulated License Person ☐ 與衍生工具相關後勤 Derivative Related Back Office ☐ 管理層 Management Institution
- ☐ 3. 於過去三兩年內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交易)
  Executing 5 or more transactions in derivative products (whether trade on an exchange or not) within the past 3 years.

☐ **本人並未有衍生產品之認識 I have NO knowledge of derivative products**

I. 關於「海外賬戶稅收合規法案」 FOREIGN ACCOUNT TAX COMPLIANCE 「 FATCA 」

閣下是否符合由美國國稅局(IRS)規管，FATCA 定義所指明的美國居民/美國公民/美國永久居留權持有者（含綠卡持有者）/僑居美國的外籍人士？
Are you an (a) American Resident / American Citizen / American Permanent Residency Holder (Including Green Card Holder) / American Res ident Alien within the meaning specified in the FATCA governed by the Internal Revenue Services (IRS) of United State of America?

☐ 否 No ☐ 是 Yes

***富強不受理此身份客戶的開戶申請 Fortune reject the account application of either one of these identity holder**

下列是符合 IRS 不時對美籍人士的條件
- 美國公民或居民（含綠卡持有者）
- 於美國境內出生；
- 於美國境內居住或以美國地址為郵寄地址；
- 以美國電話號碼為聯絡電話；
- 設有常設授權以劃撥資金於美籍人士；
- 設有賬戶操作/簽署授權於美籍人士；或
- 以美國地址為收件地址

The following list meets the conditions set out by IRS from time to time
- American citizen or resident (Including Green Card Holder)
- American place of birth
- American resident or mailing address
- American telephone number
- Standing instruction to transfer funds to a American based account
- Power of attorney or signatory authority granted to person with American address; or
- In care of or hold mail address that is sole address of account holder

請注意如閣下有需要就任何影響 FATCA 狀況識別的個人資料發生更改，例如公民身份 國籍、地址、電話等， 請閣下適時並於指定時間內通知 IRS 及我們有關更改。Please be reminded that you are responsible for notifying promptly and within the prescribed timeline IRS and us in the case of change in circumstances that may affect your FATCA status, such as citizenship/nationality, address, phone number, etc.

J. 自我證明 - 個人 SELF CERFIFICATION - INDIVIDUAL

客戶須知：填寫此表格前，請先閱讀本節 Important Notice to Customer(s): Please read this section before completing this form

金融機構均不允許給予客戶稅務諮詢。如果您對此表格或您的稅務居民身份定義有任何疑問，請聯繫您的稅務顧問或相關稅務機關。您可以從經濟合作與發展組織(OECD)自動訊息交換網站，獲取更多詳情，包括已簽署自動交換信息協議的司法管轄區的名單及被請求交換的有關信息。

Financial institutions are not allowed to provide tax advice. If you have any questions regarding this form or defining your tax residency status, please speak to your tax adviser or relevant tax authority. Please find out more on the OECD website, including a list of jurisdictions that have signed agreements to exchange information automatically, along with details about the information being requested.

http://www.oecd.org/tax/automatic exchange/crs implementation and assistance/

請注意如果客戶為聯名帳戶，各聯名帳戶持有人必須各自填寫一份自我聲明書。您可能會被要求提供額外證明文件，以核實此表格上之內容。
Please note that where there are joint account holders, each account holder is required to complete a separate Self Certification form. You may be asked to provide additional documents to evidence the declaration made on this form.

居留司法管轄區及稅務編號或具有等同功能的識辨編號（以下簡稱「稅務編號」）
Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent (“TIN”)
請提供以下資料，列明（a）帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區（香港包括在內）及（b）該居留司法管轄區發給帳戶持有人的稅務編號。列出所有（不限於 4 個）居留司法管轄區。 Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder’s TIN for each jurisdiction indicated. Indicate all (not restricted to 4) jurisdictions of residence.

如帳戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。如沒有提供稅務編號，必須填寫合適的理由：
If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number

- 理由 A 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。
  Reason A The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.
- 理由 B 帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得 稅務編號的原因。
  Reason B The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.
- 理由 C 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。
  Reason C TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

居留司法 管轄區 Jurisdiction of Residency	稅務編號 TIN	如沒有提供稅務編號 填寫理由 A/B/C Enter Reason A/B/C if TIN is not available	如選取理由 B,解釋賬戶持有人 不能取得稅務編號的原因 Explain why the account holder is unable to obtain a TIN if you have selected Reason B
(1)			
(2)			
(3)			
(4)			

居留司法管轄區及稅務編號或具有等同功能的識辨編號 (稅務編號)
Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN")

K. 資料披露 DISCLOSURE OF INFORMATION

1. 閣下（及/或聯名賬戶第二持有人）是否此賬戶之最終實益擁有人？（即閣下是否為本身而非第三方運作此賬戶？）如否，賬戶之最終實益擁有人是：Are you (and/or the Secondary Joint Account Holder) 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?) If NO, details of the ultimate beneficial owner(s) is/are:
   ☐ 是 Yes ☐ 否 No

姓名 Name	身份證/護照號碼 ID/Passport No.
地址 Address	

2. 閣下（及/或聯名賬戶第二持有人）是否為香港證券及期貨事務監察委員會持牌法團或註冊機構之董事或僱員？如是，請列明並請提供閣下僱主書面同意書 Are you an employee or a director of a corporation licensed or registered with the Hong Kong Securities and Futures Commission (or any Financial Industry Regulatory Authority)? If YES,, please specify and provide written consent from your employer
   ☐ 是 Yes ☐ 否 No

機構名稱 Corporation Name	持牌編號 License Number

3. 閣下（及/或聯名賬戶第二持有人）是否為任何其股份在任何交易所或市場買賣的上市公司的高級管理人員或董事？如是，請註明相關的公司名稱及股份代號：Are you (and/or the Secondary Joint Account Holder) a senior officer or director of any listed company whose shares are traded on any exchange or market? If YES, please specify the company name(s) and stock code(s):
   ☐ 是 Yes ☐ 否 No

公司名稱 Company Name	股份代號 Stok code

4. 閣下（及/或聯名賬戶第二持有人）是否與富強或其聯繫人士之職員/代理人有親戚關係？如是，職員/代理人是：Are you (and/or the Secondary Joint Account Holder) a relative of an employee or agent of Fortune or its Associates? If YES, the name of employee/agent is:
   ☐ 是 Yes ☐ 否 No

姓名 Name	關係 Relationship

5. 閣下（及/或聯名賬戶第二持有人）是否為富強其他客戶的配偶/子女？如是，請註明有關人士的名稱、賬戶號碼及與其關係：Are you (and/or the Secondary Joint Account Holder) a spouse/child of another person who maintains an account with Fortune? If YES, please specify his/her Name, Account No. and relationship:
   ☐ 是 Yes ☐ 否 No

姓名 Name	賬戶號碼 Account No.	關係 Relationship

6. 閣下（及/或聯名賬戶第二持有人）是否政治人物，包括是否高層政要，重要的政府、司法或者軍事高級官員，國有企業高管、政黨要員等，或者是這些人員的家庭成員及其他關係密切的人員？**如是，請填寫附件 3 - 政治人物問卷調查** Have you (and/or the Secondary Joint Account Holder) ever acted as a PEP (“political exposed person”), such as senior official of any government, judiciary, or military body? Or a senior executive of any state-owned corporation, a senior executive of any political party, or family members or closely related person of any of the aforementioned? **If YES, please also complete the Appendix 3 - Politically Exposed Persons Questionnaire.**
   ☐ 是 Yes ☐ 否 No

L. 客戶風險取向問卷 CLIENT RISK PROFILING QUESTIONNAIRE			
總評分 **Total Score**	風險級別 **Risk Level**	投資取向 **Risk Profile**	簡述 **Description**
≤16	低 Low	穩妥型 Conservative	你對投資於任何令資本承受風險的產品均不樂意。你的回報很可能只會限於當時的存款利率或更低，並未必能夠高於通脹。你的投資目標首要條件為保本。 You do not tend to invest in risk-bearing products. The return from the investment is likely subject to or lower than the prevailing deposit interest rate and it may be lower than the inflation rate. Your primary investment objective is capital preservation.
17-22	低至中 Low to Medium	審慎型 Moderate	表示你的投資 Means your investment： ● 以一個較低程度的投資風險去賺取多過一般存款的回報潛力，以及於通漲下能維持你的資本。 Is capable to gain a return just higher than the ordinary deposit interest rate and to preserve your capital under inflation. ● 能承受投資產品的市場價值可能波動並跌至低於你原本的投資額。 Is capable to withstand the fluctuation of the market value of investment products and the fall of value to a sum below your original investment amount ● 以持有或保本為主。 Is mainly to hold or preserve capital.
23-33	中 Medium	增值型 Growth	表示你的投資 Means your investment： ● 以一個較高程度的投資風險去賺取於不同年期的較高回報。 Has taken a higher investment risk from different investment period to gain a higher return. ● 能承受投資產品的市場價值波動幅度較大並可能跌至低於你的投資資本。 Bears a higher degree of tolerance to withstand the fluctuation of the market value of investment products and the fall of value to a sum below your original investment amount. ● 比「審慎型」所能接受的波幅更大及投資產品類型為多。 Bears a higher level of tolerance of volatility and of variety of investment products.
34-44	中至高 Medium to High	進取型 Aggressive	表示你的投資 Means your investment： ● 以不同年期及不同程度的投資風險，去賺取高於市場一般性的回報潛力。 Is to gain a return higher than the general potential return prevails at the market from time to time by taking up investment risks of different degree and by adopting different investment period. ● 能承受投資產品的市場價值可能大幅波動並跌至遠低於你的投資資本。 Bears a higher degree of tolerance to withstand the fluctuation of the market value of investment products and the fall of value to a sum far below your original investment amount. ● 可能會應用股票以外的投資工具。 May apply investment instruments other than stocks.
≥45	高 High	投機型 Speculative	表示你的投資 Means your investment： ● 於不同年期，或甚至即日期間，以不同程度及非常高程度的投資風險，去賺取非常高的回報潛力。 Is to seize the potential opportunity of a very high return by adopting different investment period (as short as one day) and by taking up different degree, including very high degree, of investment risks. ● 能承受投資產品的市場價值大幅波動並跌至顯著低於你的投資資本或甚至為零 Is capable to withstand significant fluctuation of market value of investment products and the fall of value to a sum far below your original investment amount. ● 以不同風險程度的投資工具及杠杆去達至你的目標回報 Is to achieve your target return by adopting investment instruments of different risks and by leveraging.

	Please complete below question 請回答以下問題	Score 分數	
1	What is your age? 閣下的年齡是？ ☐ 18-35 ☐ 36-45 ☐ 46-55 ☐ 56-64 ☐ 65 or above 或以上	 (5) (4) (3) (2) (1)	
2	What is your highest education level? 閣下的教育程度是？ ☐ Primary or below 小學或以下 ☐ Secondary 中學 ☐ Post-secondary 大專 ☐ Non-finance related degree or above 大學或以上（非財務學相關） ☐ Finance degree or above/equivalent finance professional qualification 大學或以上（財務學相關／同等財務學相關專業資格）	 (1) (2) (3) (4) (5)	
3	What is your expected investment horizon? 閣下預期中的投資年期為多久？ ☐ 10 or above 或以上 ☐ 7-10 ☐ 4 - 6 ☐ 1 - 3 ☐ Less than a year 少於 1 年	 (5) (4) (3) (2) (1)	
4	What is your current investment objective? 閣下現時之投資目標是？ ☐ Capital preservation with a return similar to bank deposit rate 保本及賺取相約於銀行存款的回報 ☐ Earn a return which is slightly above bank deposit 賺取略高於銀行存款的回報 ☐ Stable and balanced income and capital growth 穩定及平衡收入與資本增長 ☐ Gradual long-term capital growth 資本長期地逐漸增長 ☐ Maximize capital growth as soon as possible 以最短時間爭取最高回報	 (1) (2) (3) (4) (5)	

5	Which of the following statements could best describe your attitude towards investment risk? 以下哪一段陳述最能反映閣下對投資風險的態度? ☐ I am not willing to take any risk 我不願意承受任何風險 ☐ I am trying to avoid risks but minor ones are still acceptable 我會儘量回避風險但可承受較低的風險 ☐ I am trying to strike a balance between risks and returns 我會平衡風險與回報 ☐ I am willing to accept more risks as I aim for more returns 我願意承受較高的風險以換取更高回報 ☐ I never consider risks as I aim to maximize returns. 我不會考慮風險為求得到最高回報	(1) (2) (3) (4) (5)	
6	Which of the following annual price fluctuations would be acceptable to you? 閣下于一個年度內可以接受以下哪種價格波幅? ☐ ±5% ☐ ±10% ☐ ±15% ☐ ±20% ☐ ±30% or greater 或更多	(1) (2) (3) (4) (5)	
7	What portion of your overall income could be spent on investment? 閣下的整體收入有多少可用於投資? ☐ < 10% ☐ 10% - 29% ☐ 30% - 49% ☐ 50% - 69% ☐ 70% or above 或以上	(1) (2) (3) (4) (5)	
8	How many months of your household expenses could be covered by your reserve to meet unforeseen events? 閣下的儲備金可以支付多少個月的家庭費用以應對意外事件? ☐ 12 or above 或以上 ☐ 6 - 12 ☐ 3 - 6 ☐ 3 or less 或以下 ☐ None 沒有	(5) (4) (3) (2) (1)	
9	What is your knowledge of financial markets and investment products? 閣下對金融市場及投資產品的認識是多少? ☐ Have very little knowledge of financial markets and investment products at all, but would like to know more 對金融市場及投資產品有很少知識,但有希望瞭解更多 ☐ Have only some basic knowledge of financial markets and investment products such as differences between stocks and bonds 對金融市場及投資產品只有一些基本知識,例如股票及債券的分別 ☐ Have more than basic knowledge of financial markets and investment products and understand the importance of diversification and application 對金融市場及投資產品達基本知識以上的水準,明白分散投資的重要性,並作出分散投資 ☐ Able to read financial reports of listed companies and understand the factors affecting the prices of stocks and bonds 懂得閱讀上市公司財務報告,並明白影響股票及債券價格的因素 ☐ Familiar with most investment products (including stocks, futures contracts, bonds and warrants) and understand various factors that may affect the risk and performance of these investment products 熟悉大部分投資產品(包括股票、期指合約、債券及認股權證),並明白影響該等投資產品的風險及表現的各項因素	(1) (2) (3) (4) (5)	

10 Please tick the appropriate boxes below to indicate your investment experience in each type of product
請于下列每一項投資產品選擇閣下之投資經驗年期。

Products 投資產品 / Year of investment experience 投資經驗年期	無 Nil (0 分)	1 年以下 Less than 1 year (1 分)	1-3 年 1-3 years (2 分)	3-5 年 3-5 years (3 分)	5-10 年 5-10 years (4 分)	10 年以上 More than 10 years (5 分)
股票 Stocks	☐	☐	☐	☐	☐	☐
		平均每年交易次數 No of Trade per Year :				
交易所交易基金和房地產投資信託基金 Exchange-Traded Funds, and Real Estate Investment Trusts	☐	☐	☐	☐	☐	☐
		平均每年交易次數 No of Trade per Year :				
認可互惠基金及單位信託基金 Authorised Mutual Funds and Unit Trusts	☐	☐	☐	☐	☐	☐
		平均每年交易次數 No of Trade per Year :				
現貨外匯 Spot Foreign Exchange	☐	☐	☐	☐	☐	☐
		平均每年交易次數 No of Trade per Year :				
得分 Score: *只計算以上最高分的一項 Only calculate the highest score above						

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Products 投資產品 / Year of investment experience 投資經驗年期	無 Nil (0 分)	1 年以下 Less than 1 year (1 分)	1-3 年 1-3 years (2 分)	3-5 年 3-5 years (3 分)	5-10 年 5-10 years (4 分)	10 年以上 More than 10 years (5 分)
窩輪及股票期權 Warrants and Stock Options	☐	☐	☐	☐	☐	☐
		平均每年交易次數 No of Trade per Year :				
期貨合同及期權 Futures Contracts and Options	☐	☐	☐	☐	☐	☐
		平均每年交易次數 No of Trade per Year :				
杠杆式外匯合同 Leveraged Foreign Exchange Contracts	☐	☐	☐	☐	☐	☐
		平均每年交易次數 No of Trade per Year :				
固定收益證券 (如上市和非上市債券) Fixed Income Securities (e.g. listed and unlisted bonds)	☐	☐	☐	☐	☐	☐
		平均每年交易次數 No of Trade per Year :				
結構性產品 (包括非上市) Structured Products (including Unlisted)	☐	☐	☐	☐	☐	☐
		平均每年交易次數 No of Trade per Year :				
商品、商品掛鈎結構性產品 Commodities, Commodity-linked structured products	☐	☐	☐	☐	☐	☐
		平均每年交易次數 No of Trade per Year :				
虛擬資產 (如比特幣)、證券型代幣 Virtual Assets (e.g. Bitcoin), Securities Token	☐	☐	☐	☐	☐	☐
		平均每年交易次數 No of Trade per Year :				
得分 Score: *只計算以上最高分的一項 Only calculate the highest score above						

According to the above questionnaire, you scored 根據以上問卷答案，閣下的風險評分是	
Respective Risk Profile 對應投資取向	

Particular Circumstances and Special Restrictions 獨特情形及特別限制
Do you have any personal circumstances or special restrictions affecting your investment decision, if not covered by the above questions? (If Yes, please provide the details below) 閣下的投資決定會否受任何獨特情形及特別限制所影響，而該情形/限制並未涵蓋於以上問題之內？（如有，請詳述）

Investment Experience and Knowledge (For Professional Investor ONLY)
投資經驗及知識 (專業投資者適用)

1 Please indicate your dealing experience and the transaction frequency in specific market groups.
請填寫閣下在特定市場的交易經驗及交易頻率。

Markets 市場	Number of transactions (per annum) that you have executed in the relevant market in the past two years at your own accord. 在過去兩年，閣下每年於相關市場所執行的交易次數。			
	None 沒有	1-39	40-60	>60
☐ HK 香港	☐	☐	☐	☐
☐ CHINA 中國內地	☐	☐	☐	☐
☐ USA 美國	☐	☐	☐	☐
☐ OTHERS 其他 ________________________	☐	☐	☐	☐
☐ OTHERS 其他 ________________________	☐	☐	☐	☐

2 Do you have knowledge and expertise in the relevant products and markets?
閣下是否擁有對以下相關市場產品的認識及專業知識?

Knowledge & Expertise 專業知識 / Products 投資產品	NO 沒有	YES 有				
		Relevant Markets (HK, CHINA, USA etc.) 相關市場 (香港、中國內地、美國等)	Currently working or have previously worked in the relevant financial sector for at least 1 year that involves the relevant product 現時或過去曾從事相關金融行業，並就有關市場任職至少 1 年	Undergone training or studied courses which are related to the relevant product 曾接受有關產品的性質和風險的一般知識培訓或修讀相關課程	Others (please specify) 其他(請注明)	
股票 Stocks	☐		☐	☐	☐	
交易所交易基金和房地產投資信託基金 Exchange-Traded Funds, and Real Estate Investment Trusts	☐		☐	☐	☐	
認可互惠基金及單位信託基金 Authorised Mutual Funds and Unit Trusts	☐		☐	☐	☐	
現貨外匯 Spot Foreign Exchange	☐		☐	☐	☐	
窩輪及股票期權 Warrants and Stock Options	☐		☐	☐	☐	
期貨合同及期權 Futures Contracts and Options	☐		☐	☐	☐	
杠杆式外匯合同 Leveraged Foreign Exchange Contracts	☐		☐	☐	☐	
固定收益證券 (如上市和非上市債券) Fixed Income Securities (e.g. listed and unlisted bonds)	☐		☐	☐	☐	
結構性產品 (包括非上市) Structured Products (including Unlisted)	☐		☐	☐	☐	

商品、商品掛鈎結構性產品 Commodities, Commodity-linked structured products	☐		☐	☐	☐	
虛擬資產 (如比特幣)、證券型代幣 Virtual Assets (e.g. Bitcoin), Securities Token	☐		☐	☐	☐	

3 Are you aware of the risk involved in trading in the relevant products and markets?
閣下是否對在相關市場交易以下產品涉及的風險有所認知?

Aware of the risk 風險認知 / Products 投資產品	NO 沒有	YES 有				
		HK 香港	CHINA 中國內地	USA 美国	OTHERS 其他 __________	OTHERS 其他 __________
股票 Stocks	☐	☐	☐	☐	☐	☐
交易所交易基金和房地產投資信託基金 Exchange-Traded Funds, and Real Estate Investment Trusts	☐	☐	☐	☐	☐	☐
認可互惠基金及單位信託基金 Authorised Mutual Funds and Unit Trusts	☐	☐	☐	☐	☐	☐
現貨外匯 Spot Foreign Exchange	☐	☐	☐	☐	☐	☐
窩輪及股票期權 Warrants and Stock Options	☐	☐	☐	☐	☐	☐
期貨合同及期權 Futures Contracts and Options	☐	☐	☐	☐	☐	☐
杠杆式外匯合同 Leveraged Foreign Exchange Contracts	☐	☐	☐	☐	☐	☐
固定收益證券 (如上市和非上市債券) Fixed Income Securities (e.g. listed and unlisted bonds)	☐	☐	☐	☐	☐	☐
結構性產品 (包括非上市) Structured Products (including Unlisted)	☐	☐	☐	☐	☐	☐
商品、商品掛鈎結構性產品 Commodities, Commodity-linked structured products	☐	☐	☐	☐	☐	☐
虛擬資產 (如比特幣)、證券型代幣 Virtual Assets (e.g. Bitcoin), Securities Token	☐	☐	☐	☐	☐	☐

Disclaimer 免責聲明

This questionnaire is only one of the factors you may take into account when investing. This should not be regarded as an investment advice, an offer to sell, or a solicitation to buy any financial products. You should consider carefully your investment objective and risk tolerance ability and seek for independent professional advice before making any investment decision. FORTUNE(HK) SECURITIES LIMITED accept no responsibility or liability as to the accuracy or completeness of the information provided by you in this questionnaire and/or the results.

本問卷只是閣下考慮投資的其中一個因素。以上並不應視為投資建議、要約出售、或要求購買任何金融產品。閣下應該仔細考慮閣下的投資目標及承受風險能力，並尋求獨立專家意見，才作出任何投資決定。富強證券對於本問卷由閣下提供的資料及／或結果的準確性或完整性不承擔任何責任。

Investors should note that investment involves risks, including the possibility of loss of the entire capital invested, price of investment products may go up as well as down and past performance information presented is not indicative of future performance. Investors should understand the nature and the risks associated with the product before making any investment decision. You should always make your own investment decision having regard to your financial situation, investment experience, investment objectives, independent professional advice etc.

投資者須注意投資涉及風險，包括可能損失全部投資本金，投資產品價格可升可跌，而所呈列的過往表現資料並不表示將來表現。投資者作出任何投資決定前，應詳細瞭解該產品的性質和風險。當閣下作出投資決定前，須考慮閣下的財政狀況，投資經驗，獨立專業意見等因素

M. 客戶聲明、確信及確認 DECLARATIONS, CONFIRMATIONS AND ACKNOWLEDGEMENTS BY ACCOUNT APPLICANT(S)

本人/吾等聲明及確認 I/We declare and acknowledge that:

1. 本人/吾等已閱讀及完全明白本合約之條款及細則以及相關的風險披露聲明書。

   I/We have read and fully understood the Terms and Conditions of the Agreement and relevant Risk Disclosure Statement.
2. 本人/吾等已收悉本合約之條款及細則、風險披露聲明書及關於個人資料(私隱)條例的客戶通知(通知書)之副本及已獲邀閱讀、提出問題及徵求獨立意見(如本人/吾等有此意願)。

   I/We have received the copies of the Terms and Conditions of the Agreement, Risk Disclosure Statement and Circular relating to Personal Data (Privacy) Ordinance and was/were invited to read, ask questions and take independent advice if I/we wish.
3. 根據通知書，富強可向其他人士提供本人/吾等的個人資料供彼等用於直銷推廣。倘若本人/吾等不願富強向其他人士提供本人/吾等的個人資料供其用於直銷推廣，會於以下方框勾選。

   Fortune may provide my/our Personal Data to other persons for their use in direct marketing in accordance with the Notice to Customers Relating to Personal Data (Privacy) Ordinance. I/We will check the box below if I/we do not wish us to provide my/our personal data to other persons for their use in direct marketing

   - ☐ **本人/吾等不願向其他人士提供本人/吾等的個人資料供其用於直銷推廣。**

     I/We do not wish our Personal Data to be provided to other persons for their use in direct marketing.

   **以上代表閣下現在對是否接收直接促銷聯繫式資料的選擇。請注意,閣下的選擇適用於通知書上所載的產品,服務及/或標的類別的直接促銷。亦請閣下參考該通知書上以得知在直接促銷上可使用的個人資料的種類，以及閣下的個人資料可提供予甚麼類別的人士以供該等人士在直接促銷中使用。*The above represents your present choice whether or not to receive direct market contact or information. Please note that your choice applies to the direct marketing of the classes of products, services and/or subjects set out in the Notice. Please also refer to the Notice 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.*
4. 本人/吾等接受本合約之條款及細則以及同意受其約束。

   I/We accept the Terms and Conditions of the Agreement and agree to be bound by them.
5. 本人/吾等已仔細考慮風險披露聲明書及瞭解進行證券買賣所涉及之高風險。考慮到本人/吾等的財務狀況和投資目標，本人/吾等確認本人/吾等之財政能承擔該交易帶來之風險和承受其帶來之任何損失，亦自願確認證券買賣是一項對本人/吾等合適的買賣方式。

   I/We have carefully considered the Risk Disclosure Statement and recognize that trading in securities involves a high degree of risk. Considering my/our financial position and investment objective, I/we confirm that I/we am/are financially able to assume such risks and to sustain any losses resulting from such trading and voluntarily confirm that trading in securities is a suitable trading vehicle for me/us.
6. 本人/吾等已於下列日期在本合約上簽署。

   I/We have signed the Agreement on the date shown below.
7. 本人/吾等知悉及確認本人/吾等必須遵守本人/吾等登記註冊國、國籍、居住國及/居籍的法律之下可能適用的與購買、持有及沽售證券相關的(i)可能產生的任何稅務後果，包括但不限於美國<海外賬戶稅收合規法案>(FATCA)和<經濟合作及發展組織>的自動交換金融賬戶資料共同匯報標準(CRS)及(ii)法律規定及外匯限制或管理規定。

   I/We acknowledge and confirm that I/we must (i)observe any possible tax consequences including but not limited to the US Foreign Account Tax Compliance Act ("FATCA") and the OECD Common Reporting Standard ("CRS") for Automatic Exchange of Financial Account Information, and (ii)comply with any legal requirements and foreign exchange restrictions or exchange control requirements which might be applicable under the laws of the countries of my incorporation, citizenship, residence and/or domicile and which might be relevant to the purchase, holding or disposal of securities.

   **若對於閣下(及/或聯名賬戶第二持有人)的稅務狀況有任何疑問,請聯盟閣下(及/或聯名賬戶第二持有人)的稅務顧問或當地稅務機關。如閣下(及/或聯名賬戶第二持有人)的稅務狀況有任何變動,請立即告知我們，並提供閣下(及/或聯名賬戶第二持有人)的最新稅務狀況。*

   If you (and/or the Secondary Joint Account Holder) have any questions on your tax status, please consult your tax adviser or domestic tax authority. You are required to notify us promptly and provide us with an updated tax status should there be any changes to your tax details.
8. 在不抵觸當地適用法律的情況下，本人/吾等同意富強可向國內及海外的監管機構或稅務機構提供本人/吾等的資料以確立本人/吾等於任何司法管轄區的稅務責任。

   Subject to applicable local laws, I/we hereby consent for Fortune to disclose, report, or share my/our information with local and overseas regulators or tax authorities where necessary to establish my/our tax liability in any jurisdiction.
9. 因應本地及海外監管機構或稅務機構的要求，本人/吾等同意並准許富強可按適用的法律、法規和指令在本人/吾等之賬戶中扣留相關所須的款項。

   Where required by local or overseas regulators or tax authorities, I/we consent and agree that Fortune may withhold from my/our account(s) such amounts as may be required according to applicable laws, regulations and directives.
10. 本人/吾等承諾會與富強充分合作，以確保富強就處理與本人/吾等賬戶相關的事宜會符合適用的法律、法規和指令。

    I/we undertake to fully cooperate with Fortune to ensure it meets its obligations under applicable laws, regulations and directives in connection with my/our account(s).
11. 本人/吾等承認及確認該開戶申請表按本人/吾等所選擇的語言(英文或中文)提供予本人/吾等。該開戶申請表中英文版本如有不一致之處,應以英文文本為準。

    I/We acknowledge and confirm that this Account Application Form was provided to me/us in either, at my/our choice, English or Chinese. In the event of any inconsistency between the English and Chinese versions of this Account Application Form, the English version will prevail.
12. 若果賬戶是因香港特別行政區入境事務所不時管轄的資本投資者入境計畫(入境計畫)而成立或持有，本人/吾等接受本合約附件所載的入境計畫特別條款約束。計畫特別條款應構成本合約的一部分，亦不時可因入境計畫或有關法規的修訂而修改。計畫特別條款應按照入境計畫的規則解釋。

    If this account is intended to be established and/or maintained in connection with the Capital investment Entrant Scheme (the "Scheme") administered by the Immigration Department of the Hong Kong Special Administrative Region from time to time, I/We agree that, in addition to the Terms and Conditions, I shall be bound by the terms of the CIES Special Terms attached to this Agreement (as Annexure 1), which shall form part of this Agreement. I further agree that the terms of the CIES Terms may be amended from time to time pursuant to changes to the rules of the Scheme or applicable laws. The CIES Special Terms shall be construed in accordance with the rules of the Scheme.
13. 本人/吾等已閱讀及完全明白本合約之條款及細則中的網上交易協議的條款，並接受這些條款的約束。

    I/We have read and fully understood the Terms and Conditions of On-line Trading, and agree to be bound by them.
14. 本人/吾等已要求富強根據業務條款提供予本人/吾等保證金融資或根據業務條款提供託管服務。本人/吾等理解及確認：(a)本人/吾等將就該等服務獲提供常設授權；(b)現時無任何法例規定本人/吾等必須簽署此常設授權，然而富強可能需要此授權，以便例如向本人/吾等提供保證金貸款或獲許將有關本人/吾等的證券或證券抵押品借出予第三方或作為抵押品存放於第三方；及(c)倘本人/吾等未按照富強規定的形式提供常設授權，富強可能拒絕向本人/吾等提供該等服務。

    I/We have requested Fortune to provide me/us with Margin financing pursuant to the Terms of Business or custody services pursuant to the Terms of Business. I/We understand and acknowledge that: (a)I/we will be provided with a Standing Authority in relation to such services; (b) I/we are not required by any law to sign the Standing Authority but it may be required by Fortune, for example, to facilitate Margin lending to me/us or to allow my/our securities or securities collateral to be lent to or deposited as collateral with third parties; and (c)Fortune may refuse to provide me/us with such services if I/we do not provide a Standing Authority in the form prescribed by Fortune.
15. 本人/吾等已查閱有關本自我認證的資料，並據本人/吾等所知及所信，該等資料正確無誤及完整。

    I/We declare that I/we have examined the information on this self-certification and to the best of my/our knowledge and belief, it is true, correct, and complete.
16. **本人/吾等同意，如本自我認證內的任何資料變得不正確，本人/吾等將於 30 日內提交新的自我認證。**

    I/We agree that I/we will submit new self-certification(s) within 30 days if any information herein becomes incorrect.

警告：根據《稅務條例》，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下作出該項陳述，即屬犯罪。一經定罪，可致重罰。

WARNING: It is a serious offence under the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. Heavy penalty may apply upon conviction.

常設授權書 STANDING AUTHORITY

根據《證券及期貨(客戶證券)規則》及《證券及期貨(客戶款項)規則》所設立的常設授權
Authority under Securities and Futures (Client Securities) Rules and Securities and Futures (Client Money) Rules
本授權書是有關處置本人/吾等之款項、證券或證券抵押品(統稱"客戶資產"),詳列如下:
This letter of authority is in respect of the treatment of my/our money, securities or securities collateral (collectively, the "Client Assets") as set out below:
除非另有說明,本授權書之名詞與《證券及期貨條例》、《證券及期貨(客戶款項)規則》及《證券及期貨(客戶證券)規則》不時修訂之定義具有相同意思。Unless otherwise defined, the terms used in this letter shall have the same meanings as in the SFO, the Securities and Futures (Client Securities) Rules and Securities and Futures (Client Money) Rules as amended from time to time.

本授權書授權貴公司
This letter authorizes Fortune to:

1. 依據證券借貸協議運用任何本人/吾等的客戶資產;
   apply any of my/our Client Assets pursuant to a securities borrowing and lending agreement;
2. 將任何本人/吾等的客戶資產抵押品存放於認可財務機構,作為該機構向貴公司提供財務通融之抵押品;
   deposit any of my/our Client Assets with an authorized financial institution as collateral for financial accommodation provided to you;
3. 將任何本人/吾等的客戶資產存於香港中央結算有限公司("中央結算"),作為解除貴公司在交收上的義務和清償貴公司在交收上的法律責任的抵押品。本人/吾等明白中央結算因應貴公司的責任和義務而對本人/吾等的客戶資產設定第一固定押記;
   deposit any of my/our Client Asset with Hong Kong Securities Clearing Company Limited ("HKSCC") as collateral for the discharge and satisfaction of your settlement obligations and liabilities. I/We understand that HKSCC will have a first fixed charge over my/our Client Assets to the extent of your settlement obligations and liabilities;
4. 將任何本人/吾等的客戶資產存於任何其他的認可結算所或任何其他獲發牌或獲註冊進行證券交易的仲介人,作為解除貴公司在交收上的責任和義務和清償貴公司在交收上的法律責任的抵押品;及
   deposit any of my/our Client Assets with any other recognized clearing house, or another intermediary licensed or registered for dealing in securities, as collateral for the discharge and satisfaction of your settlement obligations and liabilities; and
5. 如貴公司在進行證券交易及貴公司獲發牌或獲註冊進行的任何其他受規管活動的過程中向本人/吾等提供財務通融,即可按照上述第(1)、第(2)、第(3)及/或第(4)段所述運用或存放任何本人/吾等的客戶資產。
   apply or deposit any of my/our Client Assets in accordance with paragraphs (1), (2), (3) and/or (4) above if you provide financial accommodation to me/us in the course of dealing in securities and also provide financial accommodation to me/us in the course of any other regulated activity for which Fortune are licensed or registered.
6. 本人/吾等授權貴公司: I/We authorize Fortune to:
   - 組合及合併在證券交易商及/或證券交易商的任何附屬或相關聯公司不時維持的、以本人/吾等名義開立的任何或全部獨立賬戶,以及將任何客戶資產轉移至該等獨立賬戶或在該等賬戶之間作出轉移,以符合本人/吾等對各公司的義務或法律責任,不論該等義務或法律責任是確實還是或然的、原有或附帶的、有抵押或無抵押的、共同或各別的; 及
     combine and consolidate any or all segregated accounts of my/our name maintained by Fortune and/or any of your subsidiaries or affiliates from time to time, and transfer any sum of Client Assets to and between such segregated account(s) to satisfy my/our obligations or liabilities to any of Broker, whether such obligations or liabilities are actual or contingent, primary or collateral, secured or unsecured, or joint or several; and
   - 於任何時候調動在貴公司及/或貴公司的任何附屬或相關聯公司維持的任何獨立賬戶之間任何客戶資產。
     transfer any sum of Client Assets interchangeably between any of segregated accounts maintained at any time by Fortune and/or any of subsidiaries or affiliates of Fortune.
   - 貴公司可毋須通知本人/吾等而進行上述各項。
     Fortune may do any of these things without giving me/us notice.
   - 本授權並不損害貴公司可享有有關處理該等獨立賬戶內客戶資產的其他授權或權利。
     This authority is given without prejudice to other authorities or rights which Fortune may have in relation to dealing in the Client Assets in the segregated accounts.

貴公司可不向本人/吾等發出事前通知而採取上述行動。本人/吾等確認本授權書不影響貴公司為解除由本人/吾等或代本人/吾等對貴公司、貴公司之聯繫實體或第三者所負的法律責任,而處置或促使貴公司的聯繫實體處置本人/吾等之客戶資產的權利。此賦予貴公司之授權乃鑑於貴公司同意繼續維持本人/吾等之證券保證金及/或現金賬戶。本人/吾等明白本人/吾等的客戶資產可能受制於第三者之權利,貴公司須全數抵償該等權利後,方可將本人/吾等的證券退回本人/吾等。Fortune may do any of these things without giving me/us prior notice. I/We acknowledge that this authority shall not affect Fortune's right to dispose or initiate a disposal by your associated entity of my/our Client Assets in settlement of any liability owed by or on behalf of me/us to Fortune, the associated entity or a third party. This authority is given to Fortune in consideration of Fortune's agreeing to continue to maintain the securities margin and/or cash account(s) for me/us. I/We understand that a third party may have rights to my/our Client Assets, which Fortune must satisfy before my/our securities can be returned to me/us.

本授權書的有效期為 12 個月,自本授權書之日起計有效。本人/吾等可以向貴公司客戶服務部位於上述所列明之地址發出書面通知,撤回本授權書。該等通知之生效日期為貴公司真正收到該等通知後之 14 日起計。本人/吾等明白貴公司若在本授權書的有效期屆滿前 14 日之前,向本人/吾等發出書面通知,提醒本人/吾等本授權書即將屆滿,而本人/吾等沒有在此授權屆滿前反對此授權續期,本授權書應當作在不需要本人/吾等的書面同意下按持續的基準已被續期。This authority is valid for a period of 12 months from the date of this letter. This authority may be revoked by giving you written notice addressed to the Customer Service Department at your address specified above. Such notice shall take effect upon the expiry of two weeks from the date of Fortune's actual receipt of such notice. I/We understand that this authority may be deemed to be renewed on a continuing basis without my/our written consent if Fortune issue me/us a written reminder at least 14 days prior to the expiry date of this authority, and I/we do not object to such deemed renewal before such expiry date.

倘若本授權書的中文本與英文本在解釋或意義方面有任何歧義,本人/吾等同意應以中文本為準。本人/吾等就本授權書的內容已獲得解釋,並且本人/吾等明白及同意本授權書的內容。
In the event of any difference in interpretation or meaning between the Chinese and English version of this authority, I/We agree that the Chinese version shall prevail. This authority has been explained to me/us and I/we understand and agree with the contents of this authority.

客戶簽署 CLIENT'S SIGNATURE

倘若簽署本部分，簽署人（作為客戶）即確認已閱讀，明白及接受《客戶協議書》，本申請表及有關附件之一切內容和條款約束
By Signing off this session, the Signer(s) (as Client) confirmed he/she has read, understand, and accept all the contents and conditions written on the Client Agreement, this Form, and all relevant Appendix(es).

	(只適用於聯名賬戶 Applicable to Joint Account ONLY)
______________________ 簽署 Signature	______________________ 簽署 Signature
賬戶持有人姓名 Name of Account Holder: ______________________	附屬客戶姓名 Name of Secondary Client: ______________________
日期 Date: ______________________	日期 Date: ______________________

見證人簽署 WITNESS' SIGNATURE

______________________ 簽署 Signature	見證人姓名 Name of Witness: ______________________ 日期 Date: ______________________

身份核證（倘客戶未能於富強持牌代表面前簽署開戶申請表）
VERTIFICATION OF IDENITY (if Account Application Form not executed by the client before Licensed Representative of Fortune)

本人謹此認證，見證申請人簽署富強的開戶申請表。本人已核實申請人的身份證明文件，以進一步確認其身份
This is to certify that I have witnessed the signing of the Account Application Form of Fortune by the applicant. I further confirm that I have verified the applicant's identity against his/her identification documentation

見證人簽署 Signature of Witness:	日期 Date:
見證人姓名 Name of Witness:	職務 Occupation:
見證人已取得的專業資格及牌照號碼 Professional Qualification Obtained by the Witness and the License Number:	見證人僱主的位址及聯繫方式 Employer Address and Contact of the Witness:

請注意：見證人需為註冊人士、太平紳士、銀行分行經理、律師、註冊會計師或公證人。見證人應提供(1)本人的香港身份證，(2)本人的名片及(3)本人專業資格證明檔的副本。見證人亦應核證所有董事、授權人士、實益擁有人及最終負責向富強發出指示人士的香港身份證及/或護照副本。
Note: A witness has to be a registered person, a Justice of the Peace, branch manager of a bank, lawyer, certified public accountant or Notary Public. The witness shall provide a copy of: (1) his/her HK ID Card, (2) his/her business card, (3) supporting document(s) of his/her professional qualification. The witness shall also certify copies of the HK ID card(s) and/or passport(s) of all director(s), Authorised Person(s), beneficial owner(s) and person(s) who ultimately originate Instructions to Fortune.

僅供內部使用 FOR INTERNAL USE ONLY

風險披露聲明 Risk Disclosure Statements
客戶獲提供以其所選語言編纂的相關風險披露聲明及免責聲明。以下簽名的持牌或登記人員已邀請客戶閱讀賬戶協議所載的相關風險披露聲明及免責聲明、提出問題及徵求獨立意見(如客戶有此意願)。The client has been provided with the relevant Risk Disclosure Statements and disclaimers in a language of the customer's choice. The undersigned licensed or registered staff has invited the client to read the relevant Risk Disclosure Statements and disclaimers set out in the Account Agreement, ask questions and take independent advice if the client wishes.

簽署: Signature of Staff Member: 姓名 Name: ______________________ (CE No.)	日期 Date:

Telephone recording 電話錄音

時間 Time:	日期 Date:
電話分機號碼 Telephone extension number:	備註 Remark:

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AE Name and AE Code: **(Licensed Representative)**		**Commission Rate:** **Minimum Charges:**		**Requested Trading Limit:**	
Input Maker: **(Settlement)**		**Input Checker:** **(Settlement)**		**Approved Trading Limited:** **(Credit)**	
Review: **(Compliance)**		**AC Approval:** **(RO)**		**Special Approval:** **(Director):**	

附件 1 - 簽名式樣表格
Appendix 1 – Specimen Signature Form

Account No. 賬戶號碼		Date 日期	
Account Name 賬戶名稱	(English 英文)	(Chinese 中文)	

Personal Details of Account Holder / Secondary Account Holder 賬戶持有人個人資料		Specimen Signature 簽名式樣
Name 姓名		
ID / Passport No. 身份證 /護照號碼		

(For use of Joint Account 聯名賬戶填寫)

Personal Details of Secondary Account Holder 附屬持有人個人資料		Specimen Signature 簽名式樣
Name 姓名		
ID / Passport No. 身份證 /護照號碼		

- *Each of the joint account holders specified of this form is authorized to give verbal instructions in relation to the purchase or sale of any securities for the Account(s) from time to time ; and*
  載於此表格之任何一位聯名戶口持有人獲授權可不時對有關戶口之證券買賣作出口頭指示；及

- *Any ___________________ of the joint account holders specified of this form is/are authorized to give written instructions *singly/jointly relating to the operation of the Account(s) and the financing facilities associated with the Account(s), including any monies transfer, securities transfer, deposit or withdrawal of securities/monies and the drawing of the financing facilities.*
  任何 __________________ 位載於此表格之聯名戶口持有人獲授權就戶口之運作及有關之信貸安排，包括轉撥款項、調撥股票、股票 / 款項之提存及信貸之提取作出書面指示。

附件 2 - 客戶信貸（保證金）額度申請表
Appendix 2 – Client Credit (Margin) Limit Application Form

賬戶名稱 Account Name			
賬戶號碼 Account No.		經紀編號 A.E. Code	
申請類別 Application Type	☐ 現金賬戶，申請交易額度 Cash Account, requesting TRADING limit ☐ 孖展賬戶，申請保證金額度 Margin Account, requesting MARGIN limit ☐ 利息修改 Change of Interest Rate ☐ 其他項目 Others		
賬戶類別 Account Type	☐ 新開賬戶 New Account *(*首次申請信貸額度客戶需簽署 Signature is required for initial application)* ☐ 現存客戶 Existing Client		
賬戶狀況（如適用） Current Account Status	股票貨值 Total Stock Market Value		
	可按貨值 Total Marginable Value		
	現金結餘 Cash Balance		
申請信貸/保證金額度# Requesting Credit / Margin Limit		利息 Interest Rate	
申請理由 Application Reason			
補充資料（如有） Supplemental Information	☐ 入息證明 Income Proof ☐ 資產證明 Asset Proof ☐ 其他 Others : ______________________________		

#客戶申請保證金額度 HK$10 萬或以下可豁免提供其他文件。 For limit at HK$100,000 or below, supporting documents could be waived

客戶簽署* **Client's Signature** **日期** **Date**	客戶主任簽署 A.E.'s Signature 日期 Date

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評語（如有） Comment (If any)	建議額度 Recommended Limit	審批人員職位 Position of Reviewer	簽字 Signature
	(1)		
	(2)		
	(3)		
	(4)		

獲批額度 Approved Limit		輸入日期 Input Date	
核實賬戶抵押品 Collateral Check	☐ 確認賬戶內股票可按貨值不低於申請時的 85% Total marginable value maintains no less than 85% as at the application date ☐ 其他補充 Other Comment:	核對及操作 : Checked & Processed by :	

附件 3 - 政治人物問卷調查
Appendix 3 – Politically Exposed Persons Questionnaire

感謝您對富強證券有限公司的支持。請提供資料以確定閣下是否為政治人物，以作開戶審查之用途。
Thank you for your interest in Fortune (HK) Securities Limited (“FSL”). On review of your account opening application, please provide information to determine whether you may fall into the designation of a Politically Exposed Person (“PEP”).

政治人物可以被定義為下列一項或多項： **A PEP can be defined as one or more of the following:**	**該定義同時包括該個人的下列家庭成員及夥伴：** **The definition also includes the following family members and associations of such an individual:**
■ a head of state or government, minister and deputy or assistant minister 國家或政府元首，部長及副部長或助理部長	■ the spouse or partner of such an individual 該個人的配偶或伴侶
■ a senior politician 資深從政者	■ a child of such an individual 該個人的子女
■ a member of the executive council of government or member of legislature or parliament 政府的行政會議成員或立法會或議會成員	■ the mother or father of such an individual 該個人的母親或父親
■ an ambassador or an ambassador’s attaché or counselor 大使或大使的隨員或輔導員	■ the spouse or partner of a child of such an individual 該個人子女的配偶或伴侶
■ a military officer with a rank of general, equivalent or above 職級等同上將或以上的軍官	■ the mother or father of such individual’s spouse or partner 該個人配偶或伴侶的母親或父親
■ a senior executive of a state-owned corporation 國有企業的高級行政人員	■ a brother, sister, half-brother or half-sister of such individual 該個人的兄弟，姐妹，同父異母或同母異父的兄弟或姐妹
■ an important political party official 重要政黨幹事	■ any individual publicly or otherwise known to be a close personal or professional associate of the individual 任何個人公開或以其他方式為該個人密切的私人的或專業夥伴
■ a head of a government agency 政府機構元首	

根據上述的標準，您或任何與富強證券的交易帳戶有聯繫的個人，是否現在或曾經符合上述政治人物的標準？
In respect to above criterion, are you or any individual associated with the trading account, whether now or have ever met the above criterion for a politically exposed person?

☐ **否 No** ☐ **是 Yes**

如果您回答是，請填寫以下資料 If you answered yes, please complete the following information:

被確定為政治人物的名稱 Name of the PEP	
管轄權及職位 Jurisdiction & Position	
在職年期 (日/月/年 至 日/月/年) Service Period (DD/MM/YY to DD/MM/YY)	
關係 Relationship	
帳戶持有人的財富來源 Source of Wealth of the account holder	
注資帳戶的資金來源 Source of Funds used to fund account	
賬戶的預期交易量 Expected trading volume	

客戶確認所提供的資料準確無誤及為事實之全部，如有任何資料更改將於 7 天內通知富強證券有限公司。問卷中英文版本如有任何差異，一切以英文版本為準。Client confirms to FSL the information provided in this questionnaire is complete and correct in all respects, and will notify the FSL within 7 days for any changes. The English version prevails, for any discrepancies in between English and Chinese narrations.

賬戶持有人姓名 Name of Account Holder		
賬戶號碼 Account No.		
日期 Date		簽署 Signature

附件 4 - 個人專業投資者申請表
Appendix 4 – Individual Professional Investor Application Form

第一部分：個人專業投資者的分類 Section 1: Classification as a Individual Professional Investor

■ 本人/吾等合資格被視為於證券及期貨條例附表 1 第 1 部分“專業投資者”定義第(j)段及下文證券及期貨“專業投資者”規則(“專業投資者規則”)第 3(b)條所述類別人士的專業投資者(“個人專業投資者”),並同意被視為個人專業投資者。 I/We are qualified to be treated as a Professional Investor under the category of persons described in paragraph (j) of the definition of "professional investor" in Part 1 of Schedule 1 of the SFO and section 3(b) of the Securities and Futures (Professional Investor) Rules (the "Individual Professional Rules") as described below and agree to be treated as such ("Individual Professional Investor").

■ 託管人於相關日期代其(無論單獨或連同其配偶或子女的聯名賬戶)持有的現金及/或證券組合不少於港幣 8,000,000 元(或其等值外幣)的高淨值個人投資者(“個人”†),合資格作為專業投資者規則第 3(b)條項下的“專業投資者”。A high net worth individual investor, either alone or with his/her spouse or any child on a joint account, having a portfolio of cash held for such person or persons by a custodian and/or securities of not less than HKD8 million (or its foreign currency equivalent) at the relevant date ("Individual") qualifies as a "professional investor" under section 3(b) of the Professional Investor Rules.

■ 本人/吾等同意應要求提供充分的書面證明,以核證吾等的上述財務狀況。I/We agree to provide documentary evidence sufficient to verify our financial status as above upon request.

†個人是指任何透過單獨或聯同其配偶或任何子女於某聯權共有帳戶擁有的投資組合在有關日期不少於$8,000,000 或等值外幣。This refers to any individual, who either singly or jointly with his/her spouse or any child of the individual on a joint account, having a portfolio of not less than HKD8 million or its equivalent in any foreign current at the relevant date.

第二部分：個人專業投資者的處理 Section 2: Treatment as an Individual Professional Investor

根據準則，個人專業投資者有權隨時向富強發出書面通知，就所有投資產品或市場或其任何部分取消被視為個人專業投資者。倘個人專業投資者不再屬於證券及期貨條例附表 1 第 1 部分”專業投資者”釋義第(j)段及專業投資者規則所述類別的人士，則必須即時以書面形式通知富強。Under the Code, the Individual Professional Investor has the right to withdraw from being treated as an Individual Professional Investor at any time in respect of all investment products or markets or any part thereof by giving written notice to Fortune.The Individual Professional Investor must inform Fortune in writing immediately if the Individual Professional Investor no longer falls into the categories of persons described in paragraph (j) of the definition of "professional investor" in Part 1 of Schedule 1 to the SFO and the Professional Investor Rules.

第三部分：被視為個人專業投資者之風險及後果 Section 3: Risks and Consequences of being treated as an Individual Professional Investor

根據《證券及期貨(成交單據、戶口結單及收據)規則》，富強證券有限公司(“富強”)毋須向個人專業投資者提供成交單據、戶口結單或收據。儘管有此規定，富強或會繼續向閣下提供若干資料(儘管富強並無此義務)，包括載有任何交易詳情的結單。Under the Securities and Futures (Contract Notes, Statements of Account and Receipts) Rules, Fortune (HK) Securities Limited ("Fortune") is not required to provide Individual Professional Investor with contract notes, statements of account or receipts. Notwithstanding this requirement, Fortune may continue to provide you with certain information, including statements setting out the particulars of any transaction, even though Fortune is not obliged to do so.

根據《證券及期貨條例持牌人或註冊人操守準則》(“準則”)有關個人專業投資者的部分，富強毋須遵守準則項下的若干監管規定。富強在為個人專業投資者提供服務時或會履行下列部分或全部職責，但根據準則，富強並無義務履行下列職責：Under the Code of Conduct for Persons Licensed by or Registered with the SFC (the "Code") regarding Individual Professional Investor, Fortune is not required to fulfil certain regulatory requirements under the Code. While Fortune may perform some or all of the following in providing services to Individual Professional Investors, Fortune is not required under the Code to do the following:

a. 須向個人專業投資者提供有關富強或註冊人和有關富強僱員及其他代表富強行事的人士的身分和受僱狀況的資料；the need to inform the Individual Professional Investor about Fortune's business and the identity and status of its employees and others acting on Fortune's behalf with whom the Individual Professional Investor will have contact;

b. 為個人專業投資者完成交易後，須盡快向該個人專業投資者確認有關該宗交易的重點；及 the need to confirm promptly with the Individual Professional Investor the essential features of a transaction after effecting a transaction for the Individual Professional Investor; and

c. 須向個人專業投資者提供關於納斯達克-美國證券交易所試驗計劃的資料文件。the need to provide the Individual Professional Investor with documentation on the Nasdaq-Amex Pilot Program.

第四部分：聲明 Section 4: Declaration

■ 本人/吾等應富強要求,同意定期提供證明,以確保本人/吾等屬於證券及期貨條例附表 1 第 1 部分“專業投資者”定義第(j)段及專業投資者規則所述類別人士。I/We agree to provide confirmation on a regular basis as required by Fortune to enable it to determine that I/we fall within paragraph (j) of the definition of "professional investor" in Part 1 of Schedule 1 to the SFO and the Professional Investor Rules.

■ 本人/吾等瞭解並同意個人專業投資者聲明書內所載條文。本人/吾等確認並聲明本人/吾等已閱讀及瞭解,並同意聲明書的內容,包括被視為個人專業投資者的風險及影響;有權取消被視為個人專業投資者;以及可依願徵求獨立意見,及/或以本人/吾等瞭解的語言向吾等解釋相關內容。I/We understand and agree to the provisions contained in this Individual Professional Investor Declaration Form. I/We acknowledge and declare that I/we have read and understood, and accept the contents herein, including the risks and consequences of being treated as an Individual Professional Investor; of our right to withdraw from being treated as an Individual Professional Investor; and of taking independent advice if I/we wish, and/or that the same has been explained to us in a language which I/we understand.

■ 本人/吾等同意倘本人/吾等不再屬於證券及期貨條例附表 1 第 1 部分”專業投資者”定義第(j)段及專業投資者規則所述類別人士,將立即書面通知富強。I/We agree to inform Fortune in writing immediately if I/we no longer fall within the categories of persons described in paragraph (j) of the definition of "professional investor" in Part 1 of Schedule 1 to the SFO and the Professional Investor Rules.

■ 本人/吾等確認及同意本聲明的內容,並聲明及指出本人/吾等作出的此項聲明屬真實完備、準確無誤。I/We acknowledge and accept the contents of this declaration and declare and represent that the declaration I/we make is true, complete and correct.

賬戶持有人姓名 Name of Account Holder		
賬戶號碼 Account No.		
日期 Date		簽署 Signature