

客戶名稱 Account Name:		負責客服姓名 Responsible CSO :	
開戶日期 Account Open Date:			
本人特此申請開立以下交易帳戶(請適當地方加上「√」): I hereby request to open the following trading accounts (please tick where applicable):			
交易帳戶類型 Trading Account Type	<input type="checkbox"/>	證券現金帳戶 Securities Cash Account	<input type="checkbox"/>
	<input type="checkbox"/>	證券保證金帳戶 Securities Margin Account	<input type="checkbox"/>
	<input type="checkbox"/>	期貨帳戶 Futures Account	<input type="checkbox"/>

A. 個人資料 Personal Information			
姓名		Name (Surname First)	
性別 Gender	<input type="checkbox"/> 男 M <input type="checkbox"/> 女 F	出生日期 Date of Birth	日/D 月/M 年/Y
身份證號碼 / 護照號碼 ID Card No./ Passport No.		證件簽發地點 Document's Place of Issue	
出生地點 Country of Birth		國籍/公民身份 Nationality/Citizenship	
學歷程度 Educational Level	<input type="checkbox"/> 小學或以下 Primary School or below <input type="checkbox"/> 中學 Secondary School <input type="checkbox"/> 大專 College <input type="checkbox"/> 大學或以上 University / Post-graduate		
住宅地址 Residence Address			
			郵政編號 Postal Code
電話號碼 Phone No.	(+)	電郵地址 E-mail Address	
即時通訊軟件 Messenger App	WeChat: QQ: WhatsApp: Other (please state):		
希望聯絡方式 Preferred methods of communication	<input type="checkbox"/> 即時通訊軟件 Messenger App <input type="checkbox"/> 電郵 Email <input type="checkbox"/> 電話 Phone <input type="checkbox"/> 電話 SMS		
首選語言 Preferred Language	<input type="checkbox"/> 中文 Chinese <input type="checkbox"/> 英語 English		
交易確認、帳單及所有郵遞信件透過電郵方式發送 All trading confirmations, statements and all postal correspondence will be sent by email			

B. 工作狀況 Employment Status			
工作狀況 Employment Details	<input type="checkbox"/> 自願/僱主 Self-employed/Owner <input type="checkbox"/> 僱員 Employee <input type="checkbox"/> 待业 Unemployed		
	<input type="checkbox"/> 退休 Retired <input type="checkbox"/> 其他 Other _____		
行業 Occupation		職位 Job Title	
僱主名稱 Name of employer		受僱年期 Years with employer	
辦公室地址 Office Address			
			郵政編號 Postal Code

C. 銀行資料 Bank Reference

除客戶另行指示及惟冠力金融所接納外，閣下的款項將會被轉入下列銀行帳戶：

Unless otherwise to be instructed by you and accepted by Grandly Financial, all monies payable to you are to be credited to the following bank account:

銀行 Bank		帳戶名稱 Account Name	
分行 Branches		帳戶號碼 Account Number	
國家/地區 Country/Region		SWIFT/IBAN	
帳戶幣種 Account Currency	<input type="checkbox"/> 港幣 HKD <input type="checkbox"/> 美元 USD <input type="checkbox"/> 人民幣 CNY <input type="checkbox"/> 多幣種 Multi-Currency		

D. 財政狀況 Financial Situation

資產淨值 (HKD) Net Worth (HKD)	<input type="checkbox"/> <HKD100,000 <input type="checkbox"/> HKD100,000 – HKD300,000 <input type="checkbox"/> HKD300,001 – HKD500,000 <input type="checkbox"/> >HKD500,000	全年收入 (HKD) Annual Income (HKD)	<input type="checkbox"/> <HKD100,000 <input type="checkbox"/> HKD100,000 – HKD300,000 <input type="checkbox"/> HKD300,001 – HKD500,000 <input type="checkbox"/> >HKD500,000
資金來源 Source(s) of Funds/Wealth	<input type="checkbox"/> 薪金儲蓄 Savings from Salary <input type="checkbox"/> 租金收入 Rental Income <input type="checkbox"/> 營業溢利 Trading Profits <input type="checkbox"/> 家庭 Family <input type="checkbox"/> 金融機構貸款 Financial Institution Loan <input type="checkbox"/> 遺產 Inheritance <input type="checkbox"/> 投資溢利 Investment Profits <input type="checkbox"/> 其他: Other:		
資金的預期來源及源頭 Expected source and origin of the funds	<input type="checkbox"/> 香港 Hong Kong SAR <input type="checkbox"/> 中國 P.R.C <input type="checkbox"/> 其他 (請註明) Other (Please Specify):	最初/持續的財富/收入來源 Initial/ongoing source(s) of wealth or income	<input type="checkbox"/> 香港 Hong Kong SAR <input type="checkbox"/> 中國 P.R.C <input type="checkbox"/> 其他 (請註明) Other (Please Specify):

E. 投資經驗及衍生產品認識 Investment Experience & Derivative Products Knowledge

投資目標 Investment Objective	<input type="checkbox"/> 賺取收入 Income Generation <input type="checkbox"/> 資本增長 Capital Appreciation <input type="checkbox"/> 投機 Speculation <input type="checkbox"/> 對沖 Hedging <input type="checkbox"/> 其他 (請註明) Other (Please Specify):					
投資經驗(年數) : Investment Experience (Year(s)):	年數 Year(s)	沒有 None	<1	1-2	3-5	5+
	上市證券 Listed Securities					
	期貨或期權 Futures or Options					
	槓桿式外匯 Leveraged Foreign Exchange					
	單位信託基金 Unit Trusts					
	債券 Bonds					
	其他 Others _____					
對衍生產品之認識 Derivative Products Knowledge	<input type="checkbox"/> 本人了解衍生產品的性質和風險 I UNDERSTAND the nature and risks of derivative products due to <input type="checkbox"/> 曾參與有關培訓或課程: Attending relevant training or attending course in <input type="checkbox"/> 監管機構 Regulatory Authority <input type="checkbox"/> 交易所 Exchange <input type="checkbox"/> 金融機構 Financial Institution <input type="checkbox"/> 教育機構 Education Institute <input type="checkbox"/> 大專院校 Tertiary Institution <input type="checkbox"/> 於金融機構擁有有關的工作經驗: Gaining relevant work experience in financial institution(s) <input type="checkbox"/> 經紀公司或銀行 Brokerage Firm or Bank <input type="checkbox"/> 基金或資產管理公司 Fund House or Asset Management Firm <input type="checkbox"/> 監管機構或交易所 Regulatory Authority of Exchange <input type="checkbox"/> 受監管持牌人士 Regulated Licensed Person <input type="checkbox"/> 與衍生工具相關後勤 Derivatives Related Back Office <input type="checkbox"/> 管理層 Management					

	<input type="checkbox"/> 於過去三年內進行五次或以上有關衍生產品的交易(不論是否在交易所進行交易) Executing five or more transactions in derivative Products (whether traded on an exchange or not) within the past three years <input type="checkbox"/> 本人對衍生產品全無認識 I have NO knowledge of derivative products	
預期與冠力金融交易的產品 Anticipated products to be traded with Grandly Financial	<input type="checkbox"/> 香港股票 Hong Kong Stocks <input type="checkbox"/> 香港期貨 Hong Kong Futures <input type="checkbox"/> 海外股票 Global Stocks <input type="checkbox"/> 海外期貨 Global Futures <input type="checkbox"/> 債券 Bonds	<input type="checkbox"/> 期權 Options <input type="checkbox"/> 衍生產品 Derivatives <input type="checkbox"/> 共同基金 Mutual Funds <input type="checkbox"/> 結構性產品 Structured Products <input type="checkbox"/> 其他(請說明) Others (please specify): _____
預期交易活動程度(每年) Anticipated Trading Activity (per year)	交易次數 Number of Transactions <input type="checkbox"/> <20 <input type="checkbox"/> 20-50 <input type="checkbox"/> 50+	交易額(港元) Transactions Volume (HKD) <input type="checkbox"/> <500,000 <input type="checkbox"/> 500,000-2,000,000 <input type="checkbox"/> 2,000,000-5,000,000 <input type="checkbox"/> >5,000,000

F. 客戶聲明 Declaration by Client

1. 您是否此帳戶的最終實益擁有人? (即您是否為本身而非第三者運作此帳戶?) Are you the ultimate beneficial owner in relation to the account? (I.e. are you acting for your own account and not for a third party?) 如是, 帳戶的實益擁有人是: If no, details of the ultimate beneficial owner(s) is/are: 名稱 Name: _____ 身份證/護照號碼 ID/ Passport No.: _____ 地址 Address: _____	<input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes
2. 您是否交易所參與者或就受規管活動的持牌法團/註冊機構的僱員或代理人? Are you an employee or agent of an exchange participant or a licensed corporation or registered institution for regulated activities? 如是, 交易所參與者/ 持牌法團/ 註冊機構的名稱是: (請提供您僱主的書面同意) If yes, the name of the exchange participant or licensed corporation or registered institution is: (please provide your employer's consent letter) _____	<input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes
3. 您是否與冠力金融或聯營公司的職員或代理人有親戚關係? Are you a relative of employee or agent of Grandly Financial or its Associates? 如是, 職員/代理人的名稱是: If yes, the name of employee/ agent is: _____	<input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes <input type="checkbox"/> 雙親 Parent <input type="checkbox"/> 配偶 Spouse <input type="checkbox"/> 兄弟姊妹 Sibling <input type="checkbox"/> 孩子 Child <input type="checkbox"/> 其他 Other: _____
4. 您是否任何上市公司的董事/僱員/大股東? Are you a director, employee or major shareholder of any listed company? 如是, 上市公司的名稱和上市地點是: If yes, the name of the listed company and the place of listing: _____	<input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes
5. 您或其之配偶、伴侶、子女、父母、子女的配偶或伴侶、關係密切人士及帳戶最終實益擁有人是否擔任或曾經擔任重要公職, 包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事? Are you or your spouse, partner, child, parent, child's spouse or partner, a close associate of you and ultimate beneficial owner of the account entrusted or has been entrusted with a prominent public function, including a head of state, head of government, judicial or military official, senior executive of a state-owned corporation and important political party official? 如是, 請提供資料如下: If yes, please provide the following information: 政治人物的名稱 Name of the politically exposed person: _____ 職位/職務 Position and/or Duties: _____ 公職名稱 Name of Public Function: _____ 國家 Country: _____ 服務年期 Year of Service: _____ 與客戶之關係 Relationship with the client: _____	<input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes
6. 您或帳戶最終實益擁有人是否美國公民或就稅務目的而言的居民? Are you or ultimate beneficial owner of the account a citizen of the USA or resident for tax purposes?	<input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes

H. 注意事項 Notes

1. 於本開戶表格，凡提及「冠力金融」，即指「冠力金融服務有限公司」。
In this Account Opening Form, references to "Grandly Financial" shall be construed as references to "Grandly Financial Services Limited".
2. 請隨本開戶表格附上帳戶持有人之身份證副本及住宅及通訊地址證明文件(郵政信箱恕不接受)。
Please enclose an ID copy and residential and correspondence address(es) (P.O. box is not accepted) for the account holder with this Account Opening Form.
3. 任何有關個人資料的刪改必須由全部帳戶持有人簽署作實。
Any deletion or amendment of the personal information must be signed by the account holder.
4. 冠力金融恕不接受第三者存款，任何例外情況都需要管理層的預先批准。
Third-party deposit will not be accepted. Any exception is subject to prior management approval.
5. 在非面對面開戶的情況下，客戶可通過以下二種方式之一入金來啟動帳戶：
For non-face-to-face account opening, the Client may open an account by making an initial account deposit using one of the two methods:
 - (a) 將不少於港幣一萬元的個人支票(支票抬頭為「冠力金融服務有限公司」)交予冠力金融，該支票須由香港持牌銀行發出，支票簽名及姓名須與本開戶表格的客戶簽名及身份證明文件相符，客戶帳戶將在支票兌現後被激活。
The Client may send a personal cheque in favour of Grandly Financial Services Limited for not less than HK\$10,000 drawn on an account with a licensed bank in Hong Kong, bearing the signature as on this Account Opening Form and name as on the identity document(s) as the form of identity verification. The account will not be activated until the cheque is cleared.
 - (b) 將不少於港幣一萬元的匯款至冠力金融服務有限公司，該款項須由香港持牌銀行匯出，銀行帳戶名稱須與身份證明文件之名稱相符，客戶帳戶將在確認收款後被激活。
The Client may transfer a deposit to Grandly Financial Services Limited for not less than HK\$10,000 from a licensed bank in Hong Kong. The bank account name must be identical to the name on the identity document(s) provided as the form of identity verification. The account will not be activated until the deposit is cleared.

客戶簽署 (下述簽署之簽字格式及形式將構成簽字式樣)

Client's Signature(s) (The form and style of the signature appended hereunder shall constitute specimen signature)



客戶名稱 Client Name:

日期 / Date:

证券开户表格 (现金账户 - 個人)

Account Opening Form (For Securities Cash Account - INDIVIDUAL)

客戶名稱 Account Name:	證券現金帳戶號碼 Securities Cash Account No.:				
負責客服姓名 Responsible CSO :	開戶日期 Account Open Date:				
您是否要開通網上交易服務? Would you like to activate On-Line Trading services?	<table><tr><td><input type="checkbox"/></td><td>是 Yes</td><td><input type="checkbox"/></td><td>否 No</td></tr></table>	<input type="checkbox"/>	是 Yes	<input type="checkbox"/>	否 No
<input type="checkbox"/>	是 Yes	<input type="checkbox"/>	否 No		

客戶確認書及執行書 Acknowledgment and Execution by Client

1. 客戶開戶確認 Client Acknowledgement of Account Opening

客戶確認，客戶向冠力金融申請開立一個或以上證券現金帳戶，並根據客戶證券帳戶協議所載的條款及條件提供服務。

The Client acknowledges that Client hereby request Grandly Financial Services Limited to open and maintain one or more securities cash account(s) and services on the terms and conditions set out in the securities account client agreement.

2. 條款及細則及風險披露聲明 Terms and Conditions and Risk Disclosure Statement

客戶確認已獲提供並謹此確認收到一份客戶證券帳戶協議。

The Client acknowledges that a copy of the Securities Account Client Agreement is provided to the Client who acknowledges receipt thereof.

客戶進一步確認，客戶證券帳戶協議是由客戶所選擇的語言提供(英文或中文)。客戶進一步確認，其已獲邀閱讀風險披露聲明、提出疑問及徵求獨立意見(如客戶有此意願)。

The Client acknowledges that the Securities Account Client Agreement was provided in a language (English or Chinese) of the Client's choice. The Client further acknowledges that he/ she was invited to read the risk disclosure statements, ask questions and take independent advice (if the Client wishes).

3. 客戶確認 Client Acknowledgement

客戶確認，客戶已完全明白客戶證券帳戶協議之條款、條件及附件/或表，且同意受該等條款、條件、附件及附/或表的約束。

客戶確認終止該日期客戶資料表中提供的信息是真實正確的，或已與冠力金融經更新了客戶資料表中的信息。

The Client acknowledges that the Client has fully understood the terms and conditions of the Securities Account Client Agreement, including all Appendices, and/or Schedules. The Client agrees to be bound by all those terms and conditions, Appendices, and/or Schedules. The Client confirms that the information provided in the Client Information Form is true and correct as of this date, or has already updated the information in the Client Information Form with Grandly Financial.

4. 客戶費用確認 Client Acknowledgement of Fees

客戶確認，證券賬戶客戶協議之相關費用已獲解釋，並且理解此費用。

The Client acknowledges that the fees associated with the Securities Account Client Agreement has been explained and the Client understands these fees.

5. 重要條款 Important Terms

冠力金融有絕對之權利不時更改、修訂、刪除或取替證券賬戶客戶協議上述該等條款內的任何條款及細則並於冠力金融網址 www.grandlyifg.com.hk 之《重要條款》專欄內刊載，而客戶可詳細查閱所有有關的修訂條款。冠力金融會通知客戶新的修訂。所有有關更改、修訂、刪除或取替將被視作於上述網址刊載當日生效，並被視為列入該等條款內。客戶有責任定期瀏覽上述網址，以確保獲得及時的通知。客戶可於上述網址刊載當日後十四天內以書面向冠力金融提出反對，否則就被視為接受上述的改動。

Grandly Financial shall have absolute rights to change, amend, delete or substitute any of the Securities Account Client Agreement and/or a copy of the Futures Account Client Agreement and /or the Margin Financing Addendum Agreement or other relevant agreements on the Grandly Financial website at www.grandlyifg.com.hk, and the Client shall check and read all the relevant amended clauses. All the aforesaid change, amendment, deletion or substitution shall be deemed as effective on the date of publication of such amendment and shall be taken as forming part of the agreement. The Client shall be responsible to view Grandly Financial website regularly to obtain timely understanding of such amendment. The Client may raise written objection within 14 days after the aforesaid publication at the website, otherwise the Client shall be deemed to have accepted such amendment.

冠力金融不時於其網址 www.grandlyifg.com.hk 內刊載有關之證券或期貨規格及資料，該等規格及資料對客戶有約束力。冠力金融不須對該等規格及資料的錯誤、遺漏或延誤通知令客戶蒙受的任何損失、開支、賠償或失去任何利潤，向客戶負責或承擔任何法律責任。客戶現確認已詳細閱讀按照客戶選擇的語言而提供之該等規格及資料。客戶亦確認已獲邀請透過書面途徑提出問題及尋求獨立意見。

Grandly Financial may post the specifications and information relating to the relevant futures or securities on Grandly Financial website at www.grandlyifg.com.hk from time to time and the same shall be binding on the Client. Grandly Financial shall not be held liable for any error, loss, expenses, damages or loss of profit suffered by the Client as a result of any omission of such specifications and information or delay in

notifying such specifications and information. The Client hereby confirms that the Client has read and fully understood such specifications and information in a language of the Client's choice. The Client also confirms that the Client has been invited to ask questions in writing and take independent advice.

6. 提供準確信息 Accuracy of Information provided

載於本開戶表格中的信息是真實和準確的。客戶將通知冠力金融任何信息之重大更改。冠力金融有權為各種目的完全依賴這些資料及陳述，除非冠力金融收到任何資料更改的書面通知。冠力金融有權聯絡任何人士，包括客戶之銀行、經紀或任何貸款中介，以求核實本開戶表格中的信息。

The information contained in this Account Opening Form is true and accurate. The Client will notify Grandly Financial of any material change of that information. Grandly Financial is entitled to rely fully on such information and representations for all purposes, unless Grandly Financial receives notice in writing of any change. Grandly Financial is authorized to contact anyone, including Client's banks, brokers or any credit agency, for verifying the information provided on this Account Opening Form.

7. 推薦或介紹費 Referral or introduction fees

客戶確認冠力金融於所有適用法律、規則及規例容許的範圍內，可向任何向冠力金融推薦或介紹客戶的人(下稱“介紹人”)支付費用，而該介紹人不是冠力金融的代理人。

The Client acknowledges that Grandly Financial may, to the extent permitted by all applicable laws, rules and regulations, pay fees to any person(s) who referred or introduced the Client to Grandly Financial (the "Introducer"), and that the Introducer is not an agent of Grandly Financial.

8. (適用於非美國人士) 客戶確認及聲明，客戶並非《海外帳戶稅收合規法案》項下所定義之美國人士(下稱「美國人士」)，且如客戶此後成為美國人士，客戶會即時以書面通知冠力金融。客戶確認及明白，冠力金融並不對任何客戶因疏忽或蓄意不通知冠力金融最新資料而引致的一切直接或間接後果而承擔任何責任，並承諾就未有通知冠力金融上述資料而招致冠力金融的所有損失或損害獨自承擔賠償責任。

(Applicable to non U.S. Person) The Client acknowledges and declares that the Client is not a U.S. person (the "US Person") as defined under the "Foreign Account Tax Compliance Act" and shall notify Grandly Financial in writing forthwith as and when the Client becomes the US Person. The Client acknowledges and understands that Grandly Financial shall not be liable for any direct or indirect consequences in relation to the negligence or premeditation on reporting the updated information as aforesaid to Grandly Financial by the Client and the Client shall solely responsible for Grandly Financial's losses and damages arising out of or in connection with the failure by the Client in respect thereof.

9. 如本開戶表格中英兩種語文版本的釋義之間有不一致，客戶及冠力金融均同意以英文版本為準。

In the event of any difference in interpretation or meaning between the Chinese and English version of this Account Opening Form, the Client and Grandly Financial agree that the English version shall prevail.

客戶簽署 (下述簽署之簽字格式及形式將構成簽字式樣)

Client's Signature(s) (The form and style of the signature appended hereunder shall constitute specimen signature)



客戶名稱 Client Name:

日期 / Date:

見證人名稱:

Witness Name

見證人簽署:

Witness Signature

職業:

Occupation



日期 / Date:

職員聲明 Declaration by Staff

我確認已經以客戶選擇的語言 (英文或中文) 提供了載於證券帳戶客戶協議的附件2風險披露聲明及/或期貨帳戶客戶協議的附表3風險披露聲明及免責聲明及/或保證金客戶協議書 – 補充協議第六部風險披露聲，並且我已經邀請客戶閱讀風險披露聲明，提出有關問題及尋求獨立意見。

I confirm that I have provided, in a language (English or Chinese) of the Client's choice, the Risk Disclosure Statement as set out in Appendix 2 of the Securities Account Client Agreement and/or the Risk Disclosure Statements and Disclaimers set out in Schedule 3 of the Futures Account Client Agreement and or the Risk Disclosure Statements set out in Part 6 of the Margin Financing Addendum Agreement. I have also invited the Client to read the risk disclosure statement, ask questions and take independent advice (if the Client wishes).

AML 風險級別 (參考 AML 政策) AML Risk Category (refer to AML policy)	<input type="checkbox"/> 低/LOW <input type="checkbox"/> 中/MEDIUM <input type="checkbox"/> 高/HIGH	AML 職員簽署 AML Officer Signature:
主要負責你的賬戶的註冊職員 Representative(s) primarily responsible for your account(s)		
職員簽署 Signature of Staff	職員姓名 Name of Staff	CE 編號 CE No.
只供內部使用 For Office Use Only		
Account Opening Documents <input type="checkbox"/> Client Information Form - (個人 INDIVIDUAL) <input type="checkbox"/> Account Opening Form (For Securities Cash Account - INDIVIDUAL) <input type="checkbox"/> Individual Client Investment Risk Preference Questionnaire <input type="checkbox"/> Standing Authority (Securities Cash Account and Futures Account) <input type="checkbox"/> Standing Authority (Securities Margin Account) <input type="checkbox"/> CRS – Self Certification Form (Individual) <input type="checkbox"/> Form W-8BEN <input type="checkbox"/> Power of Attorney (if applicable) <input type="checkbox"/> 中國銀行 (香港) 子帳戶服務申請表 (optional)		Document Requirements <input type="checkbox"/> Valid identity document of customer and any authorized person (Passport, Hong Kong ID or Mainland China ID). <input type="checkbox"/> Valid proof of residence address, such as: utility bill, bank statement, or ID. <input type="checkbox"/> Employers consent letter (if the client is an employee or agent of an exchange participant, a licensed corporation or registered institution for regulated activities) <input type="checkbox"/> Employment proof, income proof and other documents outlined in the margin policy.
客戶資料及文件核對(交易部) Client information and document reviewed by (Dealing Dept.)		
職員姓名 Name of Staff	職員簽署 Signature by Staff	日期 Date
限額批核 Limit approved by (Responsible Officer)		
職員姓名 Name of Staff	職員簽署 Signature by Staff	日期 Date
開戶批核 Account Opening approved by (Responsible Officer)		
職員姓名 Name of Staff	職員簽署 Signature by Staff	日期 Date
客戶資料及文件錄入(營運部) Client information and document input by (Settlement Dept.)		
職員姓名 Name of Staff	職員簽署 Signature by Staff	日期 Date
證券佣金收費與其他信息 Securities commission charge and other information		
交易限額 Trading Limit		
本地證券交易 Local Securities Trading	外國證券交易 Foreign Securities Trading	
備註 Remarks		

证券开户表格 (保证金账户 - 個人)
Account Opening Form (For Securities Margin Account - INDIVIDUAL)

客戶名稱 Account Name:	證券保证金帳戶號碼 Securities Margin Account No.:			
負責客服姓名 Responsible CSO :	開戶日期 Account Open Date:			
您是否要開通網上交易服務? Would you like to activate On-Line Trading services?	<input type="checkbox"/>	是 Yes	<input type="checkbox"/>	否 No

A. 相關保證金融資帳戶 Related Margin Financing Account(s)
**只適用於證券帳戶(保金)
For Securities Account (Margin) only**

1. 客戶的配偶是否持有冠力金融的保證金帳戶? Does the spouse of the Client have a margin account with Grandly Financial?	<input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes 配偶姓名: Name of the Spouse:
2. 客戶單獨或與配偶是否共同控制其他冠力金融的公司保证金账户持有人35%或以上之表決權? Does the Client, either alone or with his/her spouse, control 35% or more of the voting rights of a corporate margin client of GFSL?	<input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes 公司名稱: Name of the Company:
3. 客戶確認已獲得公司的追收孖展政策 (包括強制平倉流程) , 並按照客戶選擇的語言進行解釋, 客戶也有機會提出問題及徵求獨立的意見 (如有此意願) 。 The Client confirms that the he has been provided a copy of the Company's Margin Call Policy (including the forced liquidation procedures) and it has been explained to him in a language of the Client's choice and to ask questions and take independent advice if the Client wishes.	<input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes
4. 客戶確認已熟知冠力金融的追收孖展政策 (包括強制平倉流程) 經不時修訂, 其副本載於 www.grandlyifg.com.hk 。 The Client acknowledges that the Company's Margin Call Policy (including the forced liquidation procedures) may be updated from time to time, and the Client should check the Company's website (www.grandlyifg.com.hk) for any updates.	<input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes

B. 客戶確認書及執行書 Acknowledgment and Execution by Client

1. 客戶開戶確認 Client Acknowledgement of Account Opening 客戶確認, 客戶向冠力金融申請開立一個或以上證券保证金帳戶, 並根據客戶證券帳戶協議及保證金客戶協議書所載的條款及條件提供服務。 The Client acknowledges that Client hereby request Grandly Financial Services Limited to open and maintain one or more securities margin account (s) and services on the terms and conditions set out in the securities account client agreement and the Margin Financing Addendum Agreement.
2. 條款及細則及風險披露聲明 Terms and Conditions and Risk Disclosure Statement 客戶確認已獲提供並謹此確認收到一份客戶證券帳戶協議及保證金客戶協議書 - 補充協議。 The Client acknowledges that a copy of the Securities Account Client Agreement and the Margin Financing Addendum Agreement are provided to the Client who acknowledges receipt thereof. 客戶進一步確認, 客戶證券帳戶協議及保證金客戶協議書 - 補充協議是由客戶所選擇的語言提供(英文或中文)。客戶進一步

確認，其已獲邀閱讀風險披露聲明、提出疑問及徵求獨立意見(如客戶有此意願)。

The Client acknowledges that the Securities Account Client Agreement and Margin Financing Addendum Agreement were provided in a language (English or Chinese) of the Client's choice. The Client further acknowledges that he/ she was invited to read the risk disclosure statements, ask questions and take independent advice (if the Client wishes).

3. 客戶確認 Client Acknowledgement

客戶確認，客戶已完全明白客戶證券帳戶協議及保證金客戶協議書 – 補充協議、條件及附件/或表，且同意受該等條款、條件、附件及附/或表的約束。客戶確認終止該日期客戶資料表中提供的信息是真實正確的，或已與冠力金融經更新了客戶資料表中的信息。

The Client acknowledges that the Client has fully understood the terms and conditions of the Securities Account Client Agreement and the Margin Financing Addendum Agreement, including all Appendices, and/or Schedules. The Client agrees to be bound by all those terms and conditions, Appendices, and/or Schedules. The Client confirms that the information provided in the Client Information Form is true and correct as of this date, or has already updated the information in the Client Information Form with Grandly Financial.

4. 客戶費用確認 Client Acknowledgement of Fees

客戶確認，證券帳戶客戶協議及保證金客戶協議書 – 補充協議之相關費用已獲解釋，並且理解此費用。

The Client acknowledges that the fees associated with the Securities Account Client Agreement and Margin Financing Addendum Agreement has been explained and the Client understands these fees.

5. 重要條款 Important Terms

冠力金融有絕對之權利不時更改、修訂、刪除或取替證券帳戶客戶協議及保證金客戶協議書 – 補充協議上述該等條款內的任何條款及細則並於冠力金融網址 www.grandlyifg.com.hk 之《重要條款》專欄內刊載，而客戶可詳細查閱所有有關的修訂條款。冠力金融會通知客戶新的修訂。所有有關更改、修訂、刪除或取替將被視作於上述網址刊載當日生效，並被視為列入該等條款內。客戶有責任定期瀏覽上述網址，以確保獲得及時的通知。客戶可於上述網址刊載當日後十四天內以書面向冠力金融提出反對，否則就被視為接受上述的改動。

Grandly Financial shall have absolute rights to change, amend, delete or substitute any of the Securities Account Client Agreement and the Margin Financing Addendum Agreement or other relevant agreements on the Grandly Financial website at www.grandlyifg.com.hk, and the Client shall check and read all the relevant amended clauses. All the aforesaid change, amendment, deletion or substitution shall be deemed as effective on the date of publication of such amendment and shall be taken as forming part of the agreement. The Client shall be responsible to view Grandly Financial website regularly to obtain timely understanding of such amendment. The Client may raise written objection within 14 days after the aforesaid publication at the website, otherwise the Client shall be deemed to have accepted such amendment.

冠力金融不時於其網址 www.grandlyifg.com.hk 內刊載有關之證券或期貨規格及資料，該等規格及資料對客戶有約束力。冠力金融不須對該等規格及資料的錯誤、遺漏或延誤通知令客戶蒙受的任何損失、開支、賠償或失去任何利潤，向客戶負責或承擔任何法律責任。客戶現確認已詳細閱讀按照客戶選擇的語言而提供之該等規格及資料。客戶亦確認已獲邀請透過書面途徑提出問題及尋求獨立意見。

Grandly Financial may post the specifications and information relating to the relevant futures or securities on Grandly Financial website at www.grandlyifg.com.hk from time to time and the same shall be binding on the Client. Grandly Financial shall not be held liable for any error, loss, expenses, damages or loss of profit suffered by the Client as a result of any omission of such specifications and information or delay in notifying such specifications and information. The Client hereby confirms that the Client has read and fully understood such specifications and information in a language of the Client's choice. The Client also confirms that the Client has been invited to ask questions in writing and take independent advice.

6. 提供準確信息 Accuracy of Information provided

載於本開戶表格中的信息是真實和準確的。客戶將通知冠力金融任何信息之重大更改。冠力金融有權為各種目的完全依賴這些資料及陳述，除非冠力金融收到任何資料更改的書面通知。冠力金融有權聯絡任何人士，包括客戶之銀行、經紀或任何貸款中介，以求核實本開戶表格中的信息。

The information contained in this Account Opening Form is true and accurate. The Client will notify Grandly Financial of any material change of that information. Grandly Financial is entitled to rely fully on such information and representations for all purposes, unless Grandly Financial receives notice in writing of any change. Grandly Financial is authorized to contact anyone, including Client's banks, brokers or any credit agency, for verifying the information provided on this Account Opening Form.

7. 推薦或介紹費 Referral or introduction fees

客戶確認冠力金融於所有適用法律、規則及規例容許的範圍內，可向任何向冠力金融推薦或介紹客戶的人(下稱“介紹人”)支付費用，而該介紹人不是冠力金融的代理人。

The Client acknowledges that Grandly Financial may, to the extent permitted by all applicable laws, rules and regulations, pay fees to any person(s) who referred or introduced the Client to Grandly Financial (the "Introducer"), and that the Introducer is not an agent of Grandly Financial.

8. (適用於非美國人士) 客戶確認及聲明，客戶並非《海外帳戶稅收合規法案》項下所定義之美國人士(下稱「美國人士」)，且如客戶此後成為美國人士，客戶會即時以書面通知冠力金融。客戶確認及明白，冠力金融並不對任何客戶因疏忽或蓄意不通知冠力金融最新資料而引致的一切直接或間接後果而承擔任何責任，並承諾就未有通知冠力金融上述資料而招致冠力金融的所有損失或損害獨自承擔賠償責任。

(Applicable to non U.S. Person) The Client acknowledges and declares that the Client is not a U.S. person (the "US Person") as defined under the "Foreign Account Tax Compliance Act" and shall notify Grandly Financial in writing forthwith as and when the Client becomes the US Person. The Client acknowledges and understands that Grandly Financial shall not be liable for any direct or indirect consequences in relation to the negligence or premeditation on reporting the updated information as aforesaid to Grandly Financial by the Client and the Client shall solely responsible for Grandly Financial's losses and damages arising out of or in connection with the failure by the Client in respect thereof.

9. 如本開戶表格中英兩種語文版本的釋義之間有不一致，客戶及冠力金融均同意以英文版本為準。

In the event of any difference in interpretation or meaning between the Chinese and English version of this Account Opening Form, the Client and Grandly Financial agree that the English version shall prevail.

客戶簽署 (下述簽署之簽字格式及形式將構成簽字式樣)

Client's Signature(s) (The form and style of the signature appended hereunder shall constitute specimen signature)



客戶名稱 Client Name:

日期 / Date:

見證人名稱:

Witness Name

見證人簽署:

Witness Signature

職業:

Occupation



日期 / Date:

職員聲明 Declaration by Staff

我確認已經以客戶選擇的語言 (英文或中文) 提供了載於證券帳戶客戶協議的附件2風險披露聲明及/或期貨帳戶客戶協議的附表3風險披露聲明及免責聲明及/或保證金客戶協議書 – 補充協議第六部風險披露聲，並且我已經邀請客戶閱讀風險披露聲明，提出有關問題及尋求獨立意見。

I confirm that I have provided, in a language (English or Chinese) of the Client's choice, the Risk Disclosure Statement as set out in Appendix 2 of the Securities Account Client Agreement and/or the Risk Disclosure Statements and Disclaimers set out in Schedule 3 of the Futures Account Client Agreement and or the Risk Disclosure Statements set out in Part 6 of the Margin Financing Addendum Agreement. I have also invited the Client to read the risk disclosure statement, ask questions and take independent advice (if the Client wishes).

AML 風險級別 (參考 AML 政策)

AML Risk Category (refer to AML policy)

☐ 低/LOW ☐ 中/MEDIUM ☐ 高/HIGH

AML 職員簽署

AML Officer Signature:

主要負責你的帳戶的註冊職員 Representative(s) primarily responsible for your account(s)

職員簽署 Signature of Staff

職員姓名 Name of Staff

CE 編號 CE No.

只供內部使用 For Office Use Only

Account Opening Documents

- ☐ Client Information Form - (個人 INDIVIDUAL)
- ☐ Account Opening Form (For Securities Margin Account - INDIVIDUAL)
- ☐ Individual Client Investment Risk Preference Questionnaire
- ☐ Standing Authority (Securities Cash Account and Futures Account)
- ☐ Standing Authority (Securities Margin Account)
- ☐ CRS – Self Certification Form (Individual)
- ☐ Form W-8BEN
- ☐ Power of Attorney (if applicable)
- ☐ 中國銀行 (香港) 子帳戶服務申請表 (optional)

Document Requirements

- ☐ Valid identity document of customer and any authorized person (Passport, Hong Kong ID or Mainland China ID).
- ☐ Valid proof of residence address, such as: utility bill, bank statement, or ID.
- ☐ Employers consent letter (if the client is an employee or agent of an exchange participant, a licensed corporation or registered institution for regulated activities)
- ☐ Employment proof, income proof and other documents outlined in the margin policy.

客戶資料及文件核對(交易部) Client information and document reviewed by (Dealing Dept.)

職員姓名

Name of Staff

職員簽署

Signature by Staff

日期

Date

限額批核 Limit approved by (Responsible Officer)		
職員姓名 Name of Staff	職員簽署 Signature by Staff	日期 Date
開戶批核 Account Opening approved by (Responsible Officer)		
職員姓名 Name of Staff	職員簽署 Signature by Staff	日期 Date
客戶資料及文件錄入(營運部) Client information and document input by (Settlement Dept.)		
職員姓名 Name of Staff	職員簽署 Signature by Staff	日期 Date
證券佣金收費與其他信息 Securities commission charge and other information		
交易限額 Trading Limit		
本地證券交易 Local Securities Trading	外國證券交易 Foreign Securities Trading	
備註 Remarks		

期貨開戶表格 (個人)

Account Opening Form (For Futures Account - INDIVIDUAL)

客戶名稱 Account Name:	期貨帳戶號碼 Futures Account No.:				
負責客服姓名 Responsible CSO :	開戶日期 Account Open Date:				
您是否要開通網上交易服務? Would you like to activate On-Line Trading services?	<table><tr><td><input type="checkbox"/></td><td>是 Yes</td><td><input type="checkbox"/></td><td>否 No</td></tr></table>	<input type="checkbox"/>	是 Yes	<input type="checkbox"/>	否 No
<input type="checkbox"/>	是 Yes	<input type="checkbox"/>	否 No		

客戶確認書及執行書 Acknowledgment and Execution by Client

1. 客戶開戶確認 Client Acknowledgement of Account Opening

客戶確認，客戶向冠力金融申請開立一個或以上期貨帳戶，並根據期貨協議所載的條款及條件提供服務。

The Client acknowledges that Client hereby request Grandly Financial Services Limited to open and maintain one or more futures (s) and services on the terms and conditions set out in the Futures Account Client Agreement.

2. 條款及細則及風險披露聲明 Terms and Conditions and Risk Disclosure Statement

客戶確認已獲提供並謹此確認收到一份客戶期貨協議

The Client acknowledges that a copy of the Futures Account Client Agreement is provided to the Client who acknowledges receipt thereof.

客戶進一步確認，客戶期貨協議是由客戶所選擇的語言提供(英文或中文)。客戶進一步確認，其已獲邀閱讀風險披露聲明、提出疑問及徵求獨立意見(如客戶有此意願)。

The Client acknowledges that the Futures Account Client Agreement was provided in a language (English or Chinese) of the Client's choice. The Client further acknowledges that he/ she was invited to read the risk disclosure statements, ask questions and take independent advice (if the Client wishes).

3. 客戶確認 Client Acknowledgement

客戶確認，客戶已完全明白客戶期貨協議之條款、條件及附件/或表，且同意受該等條款、條件、附件及附/或表的約束。客戶確認終止該日期客戶資料表中提供的信息是真實正確的，或已與冠力金融經更新了客戶資料表中的信息。

The Client acknowledges that the Client has fully understood the terms and conditions of the Futures Account Client Agreement, including all Appendices, and/or Schedules. The Client agrees to be bound by all those terms and conditions, Appendices, and/or Schedules. The Client confirms that the information provided in the Client Information Form is true and correct as of this date, or has already updated the information in the Client Information Form with Grandly Financial.

4. 客戶費用確認 Client Acknowledgement of Fees

客戶確認，期貨帳戶客戶協議之相關費用已獲解釋，並且理解此費用。

The Client acknowledges that the fees associated with the the Futures Account Client Agreement t has been explained and the Client understands these fees.

5. 開立期貨帳戶特別確認 Special Acknowledgement for Futures Account

若已申請開立期貨帳戶，客戶確認其：

If a Futures Account is being applied, the Client acknowledges that:

已知道並獲邀閱讀由香港期貨交易所之規則及證監會所發出及於《證券及期貨(合約限量及須申報的持倉量)規則》及相關指引中要求的報告準則及責任。

He/she was made aware and / or invited to read the reporting requirements and the responsibilities of reporting set out in the Rules of the HKFE and in the Securities and Futures (Contracts Limits and Reportable Positions) Rules and related guidance notes issued by the SFC.

應密切監察其持倉，因冠力金融服務有限公司可能在客戶被強制平倉前，無法與客戶聯繫或給您足夠的時間存入額外資金

He/she should closely monitor positions, as Grandly Financial Services Limited may not be able to contact the Client or give the Client sufficient time to deposit additional funds, before forced liquidation of positions.

已獲邀請閱讀有關申報、限制及平倉之規則。

He/she was invited to read the rules in relation to reporting, limiting and closing out of positions.

6. 重要條款 Important Terms

冠力金融有絕對之權利不時更改、修訂、刪除或取替證券帳戶客戶協議及/或期貨帳戶客戶協議及/或保證金客戶協議書 – 補充協議上述該等條款內的任何條款及細則並於冠力金融網址 www.grandlyifg.com.hk 之《重要條款》專欄內刊載，而客戶可詳細查閱所有有關的修訂條款。冠力金融會通知 客戶新的修訂。所有有關更改、修訂、刪除或取替將 被視作於上述網址刊載當日生效，並被視為列入該等條款 內。客戶有責任定期瀏覽上述網址，以確保獲得及時的通知。客戶可於上述網址刊載當日後十四天內以書面向樹 熊證券提出反對，否則就被視為接受上述的改動。

Grandly Financial shall have absolute rights to change, amend, delete or substitute any of the Securities Account Client Agreement and/or

a copy of the Futures Account Client Agreement and /or the Margin Financing Addendum Agreement or other relevant agreements on the Grandly Financial website at www.grandlyifg.com.hk, and the Client shall check and read all the relevant amended clauses. All the aforesaid change, amendment, deletion or substitution shall be deemed as effective on the date of publication of such amendment and shall be taken as forming part of the agreement. The Client shall be responsible to view Grandly Financial website regularly to obtain timely understanding of such amendment. The Client may raise written objection within 14 days after the aforesaid publication at the website, otherwise the Client shall be deemed to have accepted such amendment.

冠力金融不時於其網址 www.grandlyifg.com.hk 內刊載有關之證券或期貨規格及資料，該等規格及資料對客戶有約束力。冠力金融不須對該等規格及資料的錯誤、遺漏或延誤通知令客戶蒙受的任何損失、開支、賠償或失去任何利潤，向客戶負責或承擔任何法律責任。客戶現確認已詳細閱讀按照客戶選擇的語言而提供之該等規格及資料。客戶亦確認已獲邀請透過書面途徑提出問題及尋求獨立意見。

Grandly Financial may post the specifications and information relating to the relevant futures or securities on Grandly Financial website at www.grandlyifg.com.hk from time to time and the same shall be binding on the Client. Grandly Financial shall not be held liable for any error, loss, expenses, damages or loss of profit suffered by the Client as a result of any omission of such specifications and information or delay in notifying such specifications and information. The Client hereby confirms that the Client has read and fully understood such specifications and information in a language of the Client's choice. The Client also confirms that the Client has been invited to ask questions in writing and take independent advice.

7. 提供準確信息 Accuracy of Information provided

載於本開戶表格中的信息是真實和準確的。客戶將通知冠力金融任何信息之重大更改。冠力金融有權為各種目的完全依賴這些資料及陳述，除非冠力金融收到任何資料更改的書面通知。冠力金融有權聯絡任何人士，包括客戶之銀行、經紀或任何貸款中介，以求核實本開戶表格中的信息。

The information contained in this Account Opening Form is true and accurate. The Client will notify Grandly Financial of any material change of that information. Grandly Financial is entitled to rely fully on such information and representations for all purposes, unless Grandly Financial receives notice in writing of any change. Grandly Financial is authorized to contact anyone, including Client's banks, brokers or any credit agency, for verifying the information provided on this Account Opening Form.

8. 推薦或介紹費 Referral or introduction fees

客戶確認冠力金融於所有適用法律、規則及規例容許的範圍內，可向任何向冠力金融推薦或介紹客戶的人(下稱“介紹人”)支付費用，而該介紹人不是冠力金融的代理人。

The Client acknowledges that Grandly Financial may, to the extent permitted by all applicable laws, rules and regulations, pay fees to any person(s) who referred or introduced the Client to Grandly Financial (the "Introducer"), and that the Introducer is not an agent of Grandly Financial.

9. (適用於非美國人士) 客戶確認及聲明，客戶並非《海外帳戶稅收合規法案》項下所定義之美國人士(下稱「美國人士」)，且如客戶此後成為美國人士，客戶會即時以書面通知冠力金融。客戶確認及明白，冠力金融並不對任何客戶因疏忽或蓄意不通知冠力金融最新資料而引致的一切直接或間接後果而承擔任何責任，並承諾就未有通知冠力金融上述資料而招致冠力金融的所有損失或損害獨自承擔賠償責任。

(Applicable to non U.S. Person) The Client acknowledges and declares that the Client is not a U.S. person (the "US Person") as defined under the "Foreign Account Tax Compliance Act" and shall notify Grandly Financial in writing forthwith as and when the Client becomes the US Person. The Client acknowledges and understands that Grandly Financial shall not be liable for any direct or indirect consequences in relation to the negligence or premeditation on reporting the updated information as aforesaid to Grandly Financial by the Client and the Client shall solely responsible for Grandly Financial's losses and damages arising out of or in connection with the failure by the Client in respect thereof.

10. 如本開戶表格中英兩種語文版本的釋義之間有不一致，客戶及冠力金融均同意以英文版本為準。

In the event of any difference in interpretation or meaning between the Chinese and English version of this Account Opening Form, the Client and Grandly Financial agree that the English version shall prevail.

客戶簽署 (下述簽署之簽字格式及形式將構成簽字式樣)

Client's Signature(s) (The form and style of the signature appended hereunder shall constitute specimen signature)



客戶名稱 Client Name:

日期 / Date:

見證人名稱:

Witness Name

見證人簽署:

Witness Signature

職業:

Occupation



日期 / Date:

職員聲明 Declaration by Staff

我確認已經以客戶選擇的語言（英文或中文）提供了載於證券帳戶客戶協議的附件2風險披露聲明及/或期貨帳戶客戶協議的附表3風險披露聲明及免責聲明及/或保證金客戶協議書 – 補充協議第六部風險披露聲，並且我已經邀請客戶閱讀風險披露聲明，提出有關問題及尋求獨立意見。

I confirm that I have provided, in a language (English or Chinese) of the Client's choice, the Risk Disclosure Statement as set out in Appendix 2 of the Securities Account Client Agreement and/or the Risk Disclosure Statements and Disclaimers set out in Schedule 3 of the Futures Account Client Agreement and or the Risk Disclosure Statements set out in Part 6 of the Margin Financing Addendum Agreement. I have also invited the Client to read the risk disclosure statement, ask questions and take independent advice (if the Client wishes).

AML 風險級別 (參考 AML 政策) AML Risk Category (refer to AML policy)	<input type="checkbox"/> 低/LOW <input type="checkbox"/> 中/MEDIUM <input type="checkbox"/> 高/HIGH	AML 職員簽署 AML Officer Signature:
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主要負責你的帳戶的註冊職員 Representative(s) primarily responsible for your account(s)

職員簽署 Signature of Staff	職員姓名 Name of Staff	CE 編號 CE No.
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只供內部使用 For Office Use Only

Account Opening Documents <input type="checkbox"/> Client Information Form - (個人 INDIVIDUAL) <input type="checkbox"/> Account Opening Form (For Futures Account - INDIVIDUAL) <input type="checkbox"/> Individual Client Investment Risk Preference Questionnaire <input type="checkbox"/> Standing Authority (Securities Cash Account and Futures Account) <input type="checkbox"/> Standing Authority (Securities Margin Account) <input type="checkbox"/> CRS – Self Certification Form (Individual) <input type="checkbox"/> Form W-8BEN <input type="checkbox"/> Power of Attorney (if applicable) <input type="checkbox"/> 中國銀行 (香港) 子帳戶服務申請表 (optional)	Document Requirements <input type="checkbox"/> Valid identity document of customer and any authorized person (Passport, Hong Kong ID or Mainland China ID). <input type="checkbox"/> Valid proof of residence address, such as: utility bill, bank statement, or ID. <input type="checkbox"/> Employers consent letter (if the client is an employee or agent of an exchange participant, a licensed corporation or registered institution for regulated activities) <input type="checkbox"/> Employment proof, income proof and other documents outlined in the margin policy.
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客戶資料及文件核對(交易部) Client information and document reviewed by (Dealing Dept.)

職員姓名 Name of Staff	職員簽署 Signature by Staff	日期 Date
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限額批核 Limit approved by (Responsible Officer)

職員姓名 Name of Staff	職員簽署 Signature by Staff	日期 Date
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開戶批核 Account Opening approved by (Responsible Officer)

職員姓名 Name of Staff	職員簽署 Signature by Staff	日期 Date
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客戶資料及文件錄入(營運部) Client information and document input by (Settlement Dept.)

職員姓名 Name of Staff	職員簽署 Signature by Staff	日期 Date
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期貨佣金收費與其他信息 Futures commission charge and other information

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交易限額 Trading Limit

本地期貨交易 Local Futures Trading	外國期貨交易 Foreign Futures Trading
備註 Remarks	

個人客戶投資風險取向分析問卷 Individual Client Investment Risk Preference Questionnaire

本個人客戶投資風險取向分析問卷(「本問卷」)應由客戶親自填寫。填寫前，客戶應慎重考慮自身的情況。如本問卷所提供的資料不真實或不正確，客戶須承擔所有責任與後果。本問卷旨在瞭解客戶的投資風險取向，藉此協助客戶選擇相配合的投資產品類別。惟風險承受能力因人而異，它可能會影響投資人的投資回報率(如有)。請客戶回答下列所有問題，分析結果將按所有答案的總評分計算。惟本公司在提供投資服務時，將保留最終決定客戶風險等級的權利。如客戶不接受本公司所最終決定之客戶風險等級，本公司將保留拒絕為該客戶提供任何投資服務的權利。

This Individual Client Investment Risk Preference Questionnaire (hereinafter defined as "the Questionnaire") should be completed by the Client himself/herself. Before completion of the Questionnaire, the Client should consider his or her own circumstances. If the information provided herein is untrue or inaccurate, the Client has to bear all responsibilities and consequences. The purpose of the Questionnaire is to understand the Client's investment risk preference, which would assist the Client to choose a compatible class of investment products. However, the risk tolerance level is different from person to person and it may affect the investment return (if any) of an investor. The Client is requested to answer all of the following questions. The analysis result is based on the sum of scores for each answer. However, our Company reserves the right of final determination of the risk level of the Client when investment service is provided. If the Client does not accept the risk level as finally determined by our Company, our Company reserves the right of refusing to provide any investment service to the Client.

重要通知 Important Notice:

1. 本問卷分析結果的準確性視乎客戶所填寫的答案而定。該分析結果僅供參考之用，並不代替任何合適及獨立的專業意見。如有任何疑問，客戶應該對投資產品是否合適進行獨立評估。

The accuracy of the analysis result of the Questionnaire is subject to the answers submitted by the Client. Such result is for reference only and should not replace any suitable and independent professional advice. If there is any doubt, the Client should conduct independent assessment on the suitability of a financial product.

2. 客戶自身的投資風險取向及/或財務狀況如有變更，請儘快通知本公司，本公司將以客戶提供最新的資料/投資風險取向作為提供服務的參考依據。

If the Client has any change of investment risk preference and/or financial situation, please notify our Company soonest so that our Company may use such updated information/investment risk preference as reference for provision of service.

客戶賬戶號碼 Account Number: _____ 客戶名稱 Account Name: _____

就每條適用的問題，請選擇最合適描述您的一項：

For each applicable question, please choose one of the answers that best describes you:

I 基本資料 Basic Information

1. 您的年齡？ How old are you?

- ☐ 【1】 A. 25 歲以下 Below 25
- ☐ 【4】 B. 25 歲至 45 歲 Between 25 and 45
- ☐ 【3】 C. 46 歲至 64 歲 Between 46 and 64
- ☐ 【2】 D. 65 歲以上* 65 or above*

2. 您的教育程度？ What is your education level?

- ☐ 【1】 A. 小學或以下 Primary education or below
- ☐ 【2】 B. 中學程度 Secondary
- ☐ 【3】 C. 大專程度 College
- ☐ 【4】 D. 大學或以上程度 University / Post-graduate

3. 您的每年收入（港幣）？ Your annual income (HK\$) is?

- ☐ 【1】 A. 少於\$100,000 Less than \$100,000
- ☐ 【2】 B. \$100,000 至\$300,000 \$100,000 to \$300,000
- ☐ 【3】 C. \$300,001 至\$500,000 \$300,001 to \$500,000
- ☐ 【4】 D. 多於\$500,000 Over \$500,000

4. 您的淨資產（港幣）？ Your Net Worth (HK\$) is?

- ☐ 【1】 A. 少於\$500,000 Less than \$500,000
- ☐ 【2】 B. \$500,000 至\$2,000,000 \$500,000 to \$2,000,000
- ☐ 【3】 C. \$2,000,001 至\$8,000,000 \$2,000,001 to \$8,000,000
- ☐ 【4】 D. 多於\$8,000,000 Over \$8,000,000

5. 承上題您的答案，您計劃動用多少百分比的淨資產用作投資？

With reference to your above answer, percentage of net worth will be allocated to make investments?

- ☐ 【1】 A. 10%以下 Below 10%

- ☐ 【2】 B. 10%至 25% 10% to 25%
- ☐ 【3】 C. 26%至 50% 26% to 50%
- ☐ 【4】 D. 50%以上 Above 50%

6. 您對產品的流動性要求為？ Your expectation towards liquidity of the products？

- ☐ 【1】 A. 日或周交易 Daily /Weekly
- ☐ 【2】 B. 月交易 Monthly
- ☐ 【3】 C. 季交易 Quarterly
- ☐ 【4】 D. 超過三個月 Over three months

II 一般投資目的 General Investment Goal

7. 您的一般投資目的為？ What is your general investment goal?

- ☐ 【2】 A. 獲取高於定存的報酬 for a higher return than time deposit
- ☐ 【4】 B. 資產穩健增長 for a stable growth of assets
- ☐ 【6】 C. 資產快速增長 for an accelerated growth of assets
- ☐ 【8】 D. 迅速獲得短期資本利得 for a quick profit from investment capital in a short period

III. 投資經驗 Investment Experience

8. 您是否有投資與衍生性工具相關的產品如：權證，選擇權，期貨或交易所買賣基金（包括在冠力及其它金融機構）交易的經驗？ Have you had any experience of investing in product involved derivative instruments e.g.: warrant, options, futures or ETF (including traded in Grandly and other financial institutions)?

- ☐ 【1】 A. 沒有經驗 No experience
- ☐ 【4】 B. 過去 1 年有 1-2 次投資經驗 1-2 times within the past 1 year
- ☐ 【6】 C. 過去 2 年有 3-4 次投資經驗 3-4 times within the past 2 years
- ☐ 【8】 D. 過去 3 年有 5 次或以上次投資經驗 5 times or more within the past 3 years

9. 您是否有互惠基金相關投資經驗？ Have you had any experience of investing in mutual funds?

- ☐ 【1】 A. 沒有經驗 / 1 年以下 No experience / Below 1 year
- ☐ 【4】 B. 曾投資過債券型或平衡型基金 Have experience of bond funds or balanced funds
- ☐ 【6】 C. 曾投資過股票型基金 Have experience of equity funds
- ☐ 【8】 D. 除公開募集基金外，曾投資過對沖基金、私募基金
Apart from public funds, have experience of hedge funds, private equity funds
- ☐ 【10】 E. 曾投資以上所有產品 Have invested in all the products as above-mentioned

10. 您是否有債券相關投資經驗？ Have you had any experience of investing in bonds?

- ☐ 【1】 A. 沒有經驗 / 1 年以下 No experience / Below 1 year
- ☐ 【4】 B. 曾投資過投資級別債券（含政府公債及/或公司債）
Have experience of investment grade bonds (including government bonds and/or corporate bonds)
- ☐ 【6】 C. 曾投資過高收益債券 Have experience of high yield bonds
- ☐ 【8】 D. 曾投資過永續債、可換股債券及/或 15 年期以上債券
Have experience of perpetual bonds, convertible bonds and/or 15 years above bonds
- ☐ 【10】 E. 曾投資以上所有產品 Have invested in all the products as above-mentioned

11. 您是否有結構型產品相關投資經驗？ Have you had any experience of investing in structured products?

- ☐ 【1】 A. 沒有經驗 / 1 年以下 No experience / Below 1 year
- ☐ 【4】 B. 曾投資過保本型結構性產品 Have experience of capital guaranteed structured products
- ☐ 【6】 C. 曾投資過不保本的結構性產品 Have experience of non-capital guaranteed structured products
- ☐ 【8】 D. 曾投資過 15 年期以上的結構性產品 Have experience of structured products with tenor of 15 years and above
- ☐ 【10】 E. 曾投資以上所有產品 Have invested in all the products as above-mentioned

12. 您是否有使用孖展(融資)買賣股票、外匯？ Have you ever used margin facilities to invest in stocks and foreign exchange?

- ☐ 【1】 A. 沒有經驗 / 1 年以下 No experience / Below 1 year

- ☐ 【4】 B. 1 至 2 年 1 to 2 years
- ☐ 【6】 C. 3 至 5 年 3 to 5 years
- ☐ 【8】 D. 5 年以上 More than 5 years

13. 參考您於以上“投資經驗”的答案，您的總體投資經驗為？ With reference to your above answers under “Investment Experience”, what is your overall investment experience?

- ☐ 【1】 A. 沒有經驗 / 1 年以下 No experience / Below 1 year
- ☐ 【4】 B. 1 至 2 年 1 to 2 years
- ☐ 【6】 C. 3 至 5 年 3 to 5 years
- ☐ 【8】 D. 5 年以上 More than 5 years

IV. 投資風險取向分析結果 Result of Investment Risk Preference Analysis

分析結果 Result:	<input type="checkbox"/> Low Risk 保守型 / 低風險	<input type="checkbox"/> Medium Risk 平穩型 / 中風險
	<input type="checkbox"/> High Risk 進取型 / 高風險	<input type="checkbox"/> Aggressive High Risk 積極型 / 高風險

評分 Score	< 21	21 - 42	43 - 65	> 65
Profile Grading 所屬風險等級	Grade 1 等級 1	Grade 2 等級 2	Grade 3 等級 3	Grade 4 等級 4
Illustration 說明	Low Risk 保守型/低風險	Medium Risk 平穩型/中風險	High Risk 進取型/高風險	Aggressive High Risk 積極型/高風險

風險等級的定義 Definition of Profile Grading

保守型/低風險：審慎防守型的投資者 Low Risk: Cautious and defensive

作為審慎防守型的投資者，您會尋找穩健的投資，但亦願意保障您的投資價值，以對抗通脹的蠶食，因此願意考慮存款以外的低風險投資選擇，以取得長期穩定的回報。您完全明白您的投資價值在短時期內可能下跌，但因資產種類高度分散，預期跌幅只會產生有限度的影響。

As a cautious and defensive investor you are seeking stability of your investment but to preserve the value of your investment against the erosion of inflation and therefore prepared to consider a combination of low risk alternatives to deposits to help generate a steady return over the long-term. You fully understand there may be short periods when the value of your investments could fall, but these are expected to be of limited impact due to the highly diversified asset mix.

平穩型/中風險：均衡中等型的投資者 Medium Risk: Balanced and moderate

作為均衡中等型的投資者，您會以投資價值長期增長並產生超逾通脹的絕對回報為目標。您願意投資於多元化的資產組合以達到此目標，並且明白您的資本價值在某些時期內可能會下跌。

As a balanced investor you are looking to grow the value of your investment over the longer term and generate an absolute return ahead of inflation. You are prepared to invest across a diversified portfolio of assets to achieve this goal and understand that there may be periods when the value of your capital can fall.

進取型/高風險：冒險型的投資者 High Risk: Adventurous

作為冒險型的投資者，您會選取一個集中的組合，包含較多投機性的資產類別，以達致投資價值長期有可觀增長為目標，並且願意承受此策略所帶來的較高風險及回報。您明白投資價值將來在某些時期內既會錄得強勁的收益，亦會錄得大幅下跌的虧損。

As an adventurous investor you are looking to considerably grow the value of your investment over the longer term by selecting a concentrated portfolio of more speculative asset types and are comfortable with a higher risk and reward strategy this approach involves. You understand that periods of strong gains as well as significant falls in the value of your investment are likely in future.

積極/高風險：非常冒險型的投資者 Aggressive High Risk: Very Adventurous

作為非常冒險型的投資者，您會選取一個十分集中的組合，包含較多投機性的資產類別，以達致投資價值長期有最高增長為目標，並且願意承受此策略所帶來的較高風險及回報。您明白投資價值將來在某些時期內既會錄得強勁的收益，亦會錄得大幅下跌的虧損。

As a very adventurous investor you are looking to maximize the value of your investment over the longer term by selecting a very concentrated portfolio of more speculative asset types and are comfortable with a higher risk and reward strategy this approach involves. You understand that periods of strong gains as well as significant falls in the value of your investment are likely in future.

V：客戶自評投資風險取向 Client's Self-Assessment of Investment Risk Preference

如客戶選取的投資風險取向等級與上述總評分所得出的等級不一致，本公司在向客戶提供投資服務時，將以兩者之間較低的等級為準。如客戶不接受本公司所最終決定之客戶風險等級，本公司將保留拒絕為客戶提供投資服務的權利。

If the Client's chosen investment risk preference level is different from the risk preference level with reference to the total score from above, our Company will use the lower of such investment risk preference levels when investment service is provided to the Client. If the Client does not accept the risk preference level as finally determined by our Company, our Company reserves the right of refusing to provide investment service to the Client.

客戶認為您自己的投資風險取向為？	<input type="checkbox"/> Grade 1	<input type="checkbox"/> Grade 2	<input type="checkbox"/> Grade 3	<input type="checkbox"/> Grade 4
Self-Assessment of Investment Risk Preference	等級 1	等級 2	等級 3	等級 4

風險披露聲明 Risk Disclosure :

投資雖可帶來獲利機會，但每種投資工具都有其風險。由於市場瞬息萬變，投資產品之買賣價格升跌及波幅可能非如客戶預期，客戶資金可能因買賣投資產品而有所增加或減少。客戶在作出任何投資決定之前，須評估本身承受風險的意願及能力，並了解有關產品的性質及相關風險。客戶應征詢獨立財務顧問的專業意見。

Although investment may bring about profit opportunities, each kind of investment tool comes with its own risks. Due to the fluctuating nature of the markets, the prices of products may rise or fall below customers' expectations and customers' investment funds may increase or decrease in value as a result of selling or purchasing investment products. Before making any investment decision, customers should assess their own willingness and ability to bear risks and understand the nature of the relevant product and its associated risks. Customers are advised to seek professional advice from an independent financial advisor.

本問卷僅作為參考之用，藉以協助客戶了解可承受的風險程度及投資需要，並不構成買賣或認購任何投資產品的邀請或要約。

This questionnaire is only intended to help customer to understand his/her risk profile and investment needs and is for reference purpose only. It does not constitute an offer or invitation of an offer to purchase or subscribe for any investment product.

客戶授權簽署 Authorized Signature of Client

本人謹此承認、明白及同意 I hereby acknowledge, understand and agree that :

1. 本人謹此聲明上文所載資料屬真實及準確。

I hereby declare that the information as set out in the above is true and accurate.

2. 本人確認上述投資風險取向分析的結果正確反映本人的投資風險取向。

I confirm that the above result of investment risk preference analysis truly reflect my investment preference.

3. 本人明白上述投資風險取向分析的結果將取代本人/吾等於開戶表之答案。

I understand that the above investment risk preference analysis result will override my answer on the Account Opening Form.

客戶授權簽署:

Client's Authorized Signature:



日期 / Date:

Elderly OR Vulnerable Client (If Applicable) 年長或易受損客戶(如適用)

客戶 65 歲或以上或客戶的教育程度小學或以下的客戶應邀請獨立的第三人士參與該客戶以下簽署，並確認明瞭此填妥表格的內容及上述投資風險取向分析結果。此獨立第三人需為客戶 65 歲以下及非易受損的親戚或朋友或冠力獨立的香港證監會註冊持牌人士。

Client aged 65 year old or above, or Client's level of education is equal to or below primary school level should invite an independent third party to confirm your understanding and acknowledgement of the contents of this completed form and the above result of Investment Risk Preference Analysis. Such independent third party must be Client's relative/friend aged below 65 and not vulnerable or Grandly independent licensed person, and must sign in the space indicated below.

獨立人士姓名

Name of the independent party:

身份證號碼

ID Number:

與客戶關係

Relationship:

獨立人士簽署

Signature of the independent party:

冠力獨立持牌人士姓名

Name of Grandly Independent Licensed Person:

簽署

Signature:

錄音時間(由冠力獨立的香港證監會註冊持牌人士錄音): _____

Phone Recording Time (by Grandly Independent Licensed Person)

日期 Date: _____ 分機 Ext: _____

常設授權「客戶款項」
STANDING AUTHORITY (CLIENT MONEY)

TO: 冠力金融服務有限公司 (“冠力金融”) (中央編號 : BDB792)
Grandly Financial Services Limited (the “Company”) (CE No: BDB792)
香港灣仔灣仔道 83 號 16 樓
16/F, 83 Wan Chai Road, Wanchai, Hong Kong

有關：根據《證券及期貨（客戶款項）規則》所設立的常設授權
Re: Standing Authority under Securities and Futures (Client Money) Rules

以下簽署的客戶(“客戶”)謹以此常設授權 (“本授權”) 授權冠力金融處理有關收取及持有的客戶款項。

The undersigned client (the “Client”) hereby gives this Standing Authority (this “Authority”) to the Company in relation to the Client Money to be received and held.

除本授權書於到期前被撤回外，本授權書有效期內，本授權涵蓋冠力金融收取或持有並存放於任何帳戶內有關交易的款項(包括因持有並非屬於冠力金融的款項的產生之任何利息)(“款項”)。

This Authority covers money held or received by the Company (including any interest derived from the holding of the money which does not belong to the Company) (the “Monies”) in any account(s) maintained by the Company for the Client in relation to the Client’s transactions during its validity period unless this Authority is duly revoked prior to the expiry date.

除另有界定或文義另有所指外，本授權內之所有名詞，與《證券及期貨條例》及《證券及期貨(客戶款項)規則》不時修訂之定義具有相同涵義。

Unless otherwise defined or the context requires otherwise, all the terms used in this Authority shall have the same meanings as in the Securities and Futures Ordinance and the Securities and Futures (Client Money) Rules as amended from time to time.

本授權授權冠力金融按其酌情動用款項的全部或部份作下列用途而無須事先予客戶任何通知或取得客戶的確認及/或指示：

This Authority authorizes the Company, in the Company’s sole discretion, without having to provide the Client with any prior notice or to obtain the prior confirmation of the Client and/or direction, to receive and/or hold the whole or any part of the Monies in the following manners:

1. 從冠力金融於任何時間維持的任何獨立帳戶之間來回調動任何數額之款項；
Transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by the Company;
2. 在指示發出或之前，從冠力金融於任何時間維持的任何獨立帳戶及於清算行，券商或銀行(不論香港或海外)維持的任何獨立客戶帳戶，來回調動任何數額之款項，以履行交易，要求保證金，保管，現金管理及/或交收要求(如適用)；
Transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by the Company and any of the segregated client accounts maintained with clearing firm(s), broker(s) or bank(s) (whether in Hong Kong or overseas) upon or before any instructions have been given, for the purpose of trading, satisfying margin requirement, safekeeping, cash management, and/or settlement requirement (if applicable);
3. 於完成交易後，將客戶之款項存放於清算行或券商(不論香港或海外)，以便日後之交易。將客戶之款項在冠力金融開立及維持帳戶之間交替地轉移，包括香港獨立帳戶及任何清算行，券商或銀行(不論香港或海外)的獨立客戶帳戶；
Keep Client’s Monies with clearing firm(s) or broker(s) (whether in Hong Kong or overseas) after trading to facilitate future trading. Transfer Client’s Monies interchangeably between account(s) opened and maintained by the Company, including segregated account(s) in Hong Kong, and segregated client account(s) with clearing firm(s), broker(s), or bank(s) (whether in Hong Kong or overseas);
4. 出於現金管理為目的，以定期存款及/或同類型的形式向授權機構，銀行，貨幣市場基金或類似實體(不論香港或海外)存入和維持客戶資金；及
Deposit and maintain Client Monies with authorized institution(s), bank(s), money market fund(s) or similar entities (whether in Hong Kong or overseas) in the form of segregated time deposit(s), or similar segregated instruments for the purpose of cash management; and
5. 在指示發出或之前，將客戶的款項兌換至任何其他貨幣，以履行交易，保證金，保管，現金管理及/或交收要求 (如適用)。
Convert Client’s Monies into any other currency(ies) upon or before any instructions have been given, for the purpose of trading, satisfying margin requirement, safekeeping, cash management, and/or settlement requirement (if applicable).

客戶謹此同意就冠力金融及清算行或券商(不論香港或海外)·因執行上述授權而可能產生、蒙受及/ 或承受一切虧損、損失、利息、費用、開支、法律訴訟、付款要求索償等等向冠力金融清算行或券商(不論香港或海外)作出賠償·並保障冠力金融及清算行或券商(不論香港或海外) 免受損害。

The Client hereby agrees to indemnify, and to keep indemnified, the Company and any clearing firm(s) or broker(s) (whether in Hong Kong or overseas) from and against all losses, damages, interests, costs, expenses, actions, demands, claims or proceedings of whatsoever nature which they (or any of them) may incur, suffer and/or sustain as a consequence of any transaction undertaken in pursuance of this Authority.

本授權並不損害冠力金融可享有有關處理該等獨立帳戶內款項的其他授權或權利。

This Authority is given without prejudice to other authorities or rights which the Company may have in relation to dealing in the Monies in the segregated accounts.

本授權的有效期為十二個月·自本授權之日起計有效。本授權可於任何時候被客戶以書面通知冠力金融提出撤銷·該等通知之生效日期為冠力金融真正收到該等通知後之 10 營業日起生效。然而在冠力金融收到撤銷的書面通知生效之前·任何冠力金融按本授權所達成的任何交易均不受該項撤銷所影響。

This Authority is valid for a period of twelve (12) months from the date hereof. This Authority may be revoked by the Client at any time by serving on the Company written notice to that effect. Such revocation shall not take effect upon the expiry of 10 days from the date of the Company's actual receipt of such written notice and shall not affect any transaction undertaken by the Company pursuant to this Authority prior to such revocation taking effect.

客戶確認並同意·冠力金融若在本授權的有效期屆滿前 14 日之前向客戶發出通知提醒客戶本授權即將屆滿·而客戶沒有在授權屆滿前反對此授權續期·本授權應當作在不需要客戶以書面同意下按持續的基準已被續期。

The Client acknowledges and agrees that this Authority shall be deemed to be renewed on a continuing basis without the Client's written consent if the Company issues the Client a written reminder at least fourteen (14) days prior to the expiry date of this Authority, and the Client does not object to such deemed renewal before such expiry date.

客戶確認持牌人或註冊人在香港以外地方收取或持有的客戶資產·是受到有關海外司法管轄區的適用法律及規例所監管的。這些法律及規例與《證券及期貨條例》(第 571 條) 及根據該條例制訂的規則可能有所不同。因此·有關客戶資產將可能不會享有賦予在香港收取或持有的客戶資產的相同保障。

The Client acknowledges that the Client's assets (including Monies) received or held by the licensed or registered person outside Hong Kong are subject to the applicable laws and regulations of the relevant overseas jurisdiction which may be different from the Securities and Futures Ordinance (Cap.571) and the rules made thereunder. Consequently, such client assets may not enjoy the same protection as that conferred on client assets received or held in Hong Kong.

客戶確實冠力金融已向其解釋本授權·客戶完全明白本授權的內容·並已經或有機會就其內容及效力尋求法律顧問的意見。

The Client confirms that this Authority has been explained by the Company to the Client and the Client fully understands the contents of this Authority and has sought, or has had the opportunity to seek, legal advice concerning its contents and effect.

如本授權中、英文本之解釋或意思有不相同·客戶同意以英文本為準。

In the event of any difference in interpretation or meaning between the English and Chinese version of this Authority, the Client agrees that the English version shall prevail.

客戶謹此同意以上所有授權條文及條款。

The Client hereby agrees to all the above authority, terms and conditions.

客戶賬戶號碼 Account Number	客戶名稱 Account Name
客戶授權簽署: Client's Authorized Signature: 	
日期 / Date:	

常設授權書

STANDING AUTHORITY

TO: 冠力金融服務有限公司 (“冠力金融”) (中央編號: BDB792)
Grandly Financial Services Limited (the “Company”) (CE No: BDB792)
香港灣仔灣仔道 83 號 16 樓
16/F, 83 Wan Chai Road, Hong Kong

只適用於保證金戶口
For Margin Account Only

根據<<證券及期貨(客戶證券)規則>>(第 571 H 章) · 本人/吾等同意並授予「本公司」在本人/吾等與「本公司」所簽訂的保證金客戶協議存在的期間 · 不論在當時本人/吾等是否欠「本公司」任何債項 · 「本公司」可在本授權書簽署日起 12 個月內/延續期內(如有)將本人/吾等證券作以下的處理而無須給予我/我們任何通知:

I/We hereby authorize and agree that in the case where I/We maintain a securities margin account and whether or not I/we are indebted to the Company for the time being, the Company may for a period of 12 months from the date of execution this Agreement /the renewal period (if any) without notice to me/us, pursuant to the Securities and Futures (Client Securities) Rules (Cap.571H) as follow:

1. 把本人/吾等的任何抵押證券寄存於一家認可機構 (定義在<銀行業條例>中闡明) · 作為向「本公司」提供財務融通; 的抵押;
Deposit any of my/our securities collateral with an authorized institution (as defined by the <Banking Ordinance>) as collateral for any financial accommodation provided to the Company;
2. (a)根據香港聯合交易所有限公司 (聯交所) 規則與規例 · 把本人/吾等的抵押證券借給或寄存於任何人士; 或(b)根據香港中央結算有限公司 (香港結算公司) 的規則與規例 · 把本人/吾等的抵押證券借給或寄存於任何人士; 或(c)根據<證券及期貨條例>第 148 條所述目的 · 把本人/吾等的抵押證券借給或寄存於證券及期貨事務監察委員會 (證監會) 規則中指明的某一類別的任何人士;
Lend or deposit my/our securities collateral to or with (a) any person in accordance with the rules and regulations of The Stock Exchange of Hong Kong Limited (the “Exchange”) or (b) any person in accordance with the rules and regulations of the Hong Kong Securities Clearing Company Limited (“HKSCC”) or (c) any person of a class specified in the rules of the Securities and Futures Commission for the purposes of section 148 of the Securities and Futures Ordinance;
3. 於完成交易後 · 把本人/吾等的抵押證券寄存於(a)香港結算公司或其他結算所; (b)證券及期貨事務監察委員會許可或註冊的另一間證券交易中介機構; (c) 外國經紀公司 · 作為履行及清償本公司的結算責任與債務的抵押;
Deposit my/our securities collateral with (a) HKSCC and/or other clearing houses or (b) another intermediary licensed or registered with the Securities and Futures Commission for dealing in securities or (c) foreign brokerages as collateral for the discharge and satisfaction of the Company's settlement obligations and liabilities;

本人/吾等明白本人/吾等可向「本公司」給予不少於 2 個星期的書面通知及在無欠本公司任何款項的情況下 · 可取消本人/吾等上述的常設授權。本人/吾等明白於本人/吾等全部清還所有有關債項後 · 「本公司」將會繼續有責任向本人/吾等交還沒有產權負擔的相等證券。

I/We understand that I/we may revoke this Standing Authority at any time by giving to the Company written notice at least two weeks' prior notice provided I/we have no indebtedness to the Company. I/We also understand that the Company will return the equivalent securities to me/us free from encumbrances after full payment by me/us of all outstanding loans.

本人/吾等認知本人/吾等作出上述的授權後 · 「本公司」可將本人/吾等的證券混合一起並將他們存放為貸款或墊支的抵押品。第三者可能會因此而對該等證券有其權利。而樹熊「本公司」在退回該等證券給本人/吾等之前須先解除該等權利。這可能會影響本人/吾等的證券所蒙受的風險 · 但本人/吾等不會追究本公司因此而引起之後果。

I/We acknowledge that by granting this Standing Authority, the Company can pool my/our securities and deposit them as collateral for loans and advances. A third party may have rights to my/our securities collateral, such rights have to be cancelled, before my/our securities collateral can be returned to me/us. This may affect the risk of my/our securities, but I/we won't hold the Company for any consequence.

本授權的有效期為十二個月 · 自本授權之日起計有效。本授權可於任何時候被客戶以書面通知冠力金融提出撤銷 · 該等通知之生效日期為冠力金融真正收到該等通知後之 10 營業日起生效。然而在冠力金融收到撤銷的書面通知生效之前 · 任何冠力金融按本授權所達成的任何交易均不受該項撤銷所影響。

There are risks associated with margin trading in securities buying or selling. You should read this document carefully before you

decide to accept the margin financing arrangement. If you are in doubt about this document, you should consult your solicitor or other professional adviser.

常設授權續期通知書將於常設授權有效期屆滿前 14 天寄予閣下。如「本公司」於常設授權有效期屆滿前未有接獲閣下書面反對通知，則閣下之常設授權會在屆滿時按常設授權指明的條款及條件視作同意續期十二個月。

A notice of renewal of standing authority shall be sent to you at least 14 days prior to its expiry. If the Company does not receive your letter of objection to the renewal of standing authority prior to its expiry, you shall be deemed to have agreed to renew the standing authority for a period of twelve (12) months upon the terms and conditions as specified in the standing authority.

保證金客戶額外風險聲明:

Additional Risk Disclosure for Clients with Margin Account:

1. 向持牌人或註冊人提供授權書，容許其按照某份證券借貸協議書使用你的證券或證券抵押品，將你的證券抵押品再質押以取得財務通融，或將你的證券抵押品存放為用以履行及清償其交收責任及債務的抵押品，存在一定風險。
There is risk if you provide the licensed or registered person with an authority that allows it to apply your securities or securities collateral pursuant to securities borrowing and lending agreement, repledge your securities collateral for financial accommodation or deposit your securities collateral as collateral for the discharge and satisfaction of its settlement obligations and liabilities.
2. 現時並無任何法例規定你必須簽署這些授權書。然而，持牌人或註冊人可能需要授權書，以便例如向你提供保證金貸款或獲准將你的證券抵押品借出予第三方或作為抵押品存放於第三方。
You are not required by any law to sign these authorities. But an authority may be required by licensed or registered persons, for example, to facilitate margin lending to you or to allow your securities collateral to be lent to or deposited as collateral with third parties.
3. 倘若你簽署此常設授權書，而你的證券或證券抵押品已借出予或存放於第三方，該等第三方將對你證券或證券抵押品具有留置權或作出押記。雖然有關持牌人或註冊人根據你的授權書而借出或存放屬於你的證券或證券抵押品須對你負責，但上述持牌人或註冊人的違責行為可能會導致你損失你的證券或證券抵押品。
If you sign the standing authority and your securities or securities collateral are lent to or deposited with third parties, those third parties will have a lien or charge on your securities or securities collateral. Although the licensed or registered person is responsible to you for securities or securities collateral lent or deposited under your authority, a default by it could result in the loss of your securities or securities collateral.
4. 「本公司」與大多數持牌人或註冊人均提供不涉及證券借貸的證券現金帳戶。假如你毋需使用保證金貸款，或不希望本身證券或證券抵押品被借出或遭抵押，則切勿簽署上述的授權書，並應要求開立該等證券現金帳戶。
A securities cash account not involving securities borrowing and lending is available from the Company and also most licensed or registered persons. If you do not require margin facilities or do not wish your securities or securities collateral to be lent or pledged, do not sign the above authorities and ask to open this type of cash securities account.

客戶確實「本公司」已向其解釋本授權，客戶完全明白本授權的內容，並已經或有機會就其內容及效力尋求法律顧問的意見。

The Client confirms that this Authority has been explained by the Company to the Client and the Client fully understands the contents of this Authority and has sought, or has had the opportunity to seek, legal advice concerning its contents and effect.

如本授權中、英文本之解釋或意思有不相同，客戶同意以英文本為準。

In the event of any difference in interpretation or meaning between the English and Chinese version of this Authority, the Client agrees that the English version shall prevail.

客戶謹此同意以上所有授權條文及條款。

The Client hereby agrees to all the above authority, terms and conditions.

客戶賬戶號碼 Account Number	客戶名稱 Account Name
客戶授權簽署: Client's Authorized Signature: 	
日期 / Date:	

致：冠力金融服務有限公司
香港灣仔灣仔道 83 號 16 樓

帳戶號碼：_____

自我證明表格 – 個人

重要提示：

- 這是由帳戶持有人向申報財務機構提供的自我證明表格，以作自動交換財務帳戶資料用途。申報財務機構可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。
- 如帳戶持有人的稅務居民身分有所改變，應盡快將所有變更通知申報財務機構。
- 除不適用或特別註明外，必須填寫這份表格所有部分。如這份表格上的空位不夠應用，可另紙填寫。在欄/部標有 星號（*）的項目為申報財務機構須向稅務局申報的資料。

第 1 部 個人帳戶持有人的身分識別資料

（對於聯名帳戶或多人聯名帳戶，每名個人帳戶持有人須分別填寫一份表格）

(1) 帳戶持有人的姓名

稱謂（例如：先生、太太、女士、小姐）_____

姓氏 * _____

名字 * _____

中間名 _____

(2) 香港身份證或護照號碼

(3) 現時住址

第 1 行（例如：室、樓層、大廈、街道、地區）_____

第 2 行（城市）* _____

第 3 行（例如：省、州）_____

國家 * _____

郵政編碼/郵遞區號碼 _____

(4) 通訊地址（如通訊地址與現時住址不同，填寫此欄）

第 1 行（例如：室、樓層、大廈、街道、地區）_____

第 2 行（城市）_____

第 3 行（例如：省、州）_____

國家 _____

郵政編碼/郵遞區號碼 _____

(5) 出生日期 *（日/月/年）

(6) 出生地點（可不填寫）

鎮/城市 _____

省/州 _____

國家 _____

第 2 部 居留司法管轄區及稅務編號或具有等同功能的識別編號（以下簡稱「稅務編號」）*

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 5 個）居留司法管轄區。

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：

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。

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。

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。

居留司法管轄區	稅務編號	如沒有提供稅務編號， 填寫理由 A、B 或 C	如選取理由 B， 解釋帳戶持有人不能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			
(5)			

第 3 部 聲明及簽署

本人知悉及同意，財務機構可根據《稅務條例》（第 112 章）有關交換財務帳戶資料的法律條文，（a）收集本表格所載資料並可備存作自動交換財務帳戶資料用途及（b）把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。

本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人 / 本人獲帳戶持有人授權簽署本表格[#]。

本人承諾，如情況有所改變，以致影響本表格第 1 部所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知冠力金融服務有限公司，並會在情況發生改變後 30 日內，向冠力金融服務有限公司提交一份已適當更新的自我證明表格。

本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

簽署 _____
姓名 _____
身分+ _____
日期（日/月/年） _____

+（如你不是第 1 部所述的個人，說明你的身分。如果你是以受權人身分簽署這份表格，須夾附該授權書的核證副本。）

刪去不適用者

警告：根據《稅務條例》第 80(2E)條，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，可處第 3 級（即\$10,000）罰款。

Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)

- For use by individuals. Entities must use Form W-8BEN-E.
► Go to www.irs.gov/FormW8BEN for instructions and the latest information.
► Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

Do NOT use this form if:

- You are NOT an individual W-8BEN-E
- You are a U.S. citizen or other U.S. person, including a resident alien individual W-9
- You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the U.S. (other than personal services) W-8ECI
- You are a beneficial owner who is receiving compensation for personal services performed in the United States 8233 or W-4
- You are a person acting as an intermediary W-8IMY

Instead, use Form:

Note: If you are resident in a FATCA partner jurisdiction (i.e., a Model 1 IGA jurisdiction with reciprocity), certain tax account information may be provided to your jurisdiction of residence.

Part I Identification of Beneficial Owner (see instructions)

1 Name of individual who is the beneficial owner	2 Country of citizenship
3 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address.	
City or town, state or province. Include postal code where appropriate.	Country
4 Mailing address (if different from above)	
City or town, state or province. Include postal code where appropriate.	Country
5 U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)	6 Foreign tax identifying number (see instructions)
7 Reference number(s) (see instructions)	8 Date of birth (MM-DD-YYYY) (see instructions)

Part II Claim of Tax Treaty Benefits (for chapter 3 purposes only) (see instructions)

9 I certify that the beneficial owner is a resident of _____ within the meaning of the income tax treaty between the United States and that country.

10 Special rates and conditions (if applicable—see instructions): The beneficial owner is claiming the provisions of Article and paragraph _____ of the treaty identified on line 9 above to claim a _____ % rate of withholding on (specify type of income): _____.

Explain the additional conditions in the Article and paragraph the beneficial owner meets to be eligible for the rate of withholding: _____

Part III Certification

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income to which this form relates or am using this form to document myself for chapter 4 purposes,
- The person named on line 1 of this form is not a U.S. person,
- The income to which this form relates is:
 - (a) not effectively connected with the conduct of a trade or business in the United States,
 - (b) effectively connected but is not subject to tax under an applicable income tax treaty, or
 - (c) the partner's share of a partnership's effectively connected income,
- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country, and
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. **I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.**

Sign Here



Signature of beneficial owner (or individual authorized to sign for beneficial owner)

Date (MM-DD-YYYY)

Print name of signer

Capacity in which acting (if form is not signed by beneficial owner)

表格 W-8BEN (于 2017 年 7 月 修订) 美国财政部 美国国税局	在美纳税与报税受益方的外籍身份证明（个人） ▶ 仅限个人使用。实体须填写表格 W-8BEN-E。 ▶ 关于表格 W-8BEN 及其各项填写说明的信息，请访问 www.irs.gov/formw8ben 。 ▶ 请将此表格交给预扣税款代理人或支付方。请勿交给美国国税局。	OMB 编号：1545-1621
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请勿将本表格用于以下对象： <ul style="list-style-type: none">• 非个人。 W-8BEN-E• 美国公民或其他美国人，包括在美居住的外籍人士W-9• 声称收入与在美贸易或商业行为有实际联系的受益方（个人服务除外） W-8ECI• 在美从事个人服务并获得报酬的受益方。 8233 或 W-4• 作为中间人的个人 W-8IMY	而应使用以下表格：
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备注：如果您居住于 FATCA 合伙人辖区（即具有互惠的 IGA 模式 1 辖区），特定纳税账户信息可提供给居住辖区。

第 1 部分 受益方身份 （参见说明）	
1 受益方姓名	2 国籍
3 永久注册地址（街道、公寓或室号或乡村邮道）。 不要填写邮政信箱或转交地址。	
州或省、城市或乡镇。如有邮政编码，请填写。	国家
4 邮寄地址（如果和上述地址不同）	
州或省、城市或乡镇。如有邮政编码，请填写。	国家
5 如有要求，请提供美国纳税人身份编号（社会保险号或个人纳税识别号）（参见说明）	6 外国赋税编号（参见说明）
7 参考编号（参见说明）	8 出生日期（月-日-年）（参见说明）

第 2 部分 享受税收协定优惠待遇申请 （仅就第 3 章而言）（参见说明）	
9 本人证明受益方属于 _____ 的居民，该居民身份符合该协定国与美国签订的所得税协定规定。	
10 特殊税率和条件 （如果适用 — 参见说明）：受益方根据以上第 9 行中所述的税收协定中的第 _____ 条款，要求退回对其所征收的 _____ % 预扣税（指出收入类型）： 说明受益方有资格享受预扣税率而必须满足的条款中其他条件： _____	

第 3 部分 证明	
本人在此郑重声明，本人已经仔细检查了本表所有信息，并且在本人所能所知的范围内证明这些信息真实、正确且完整。本人在愿意接受作伪证的法律制裁下，进一步保证：	
<ul style="list-style-type: none">• 本人是本表格涉及的全部收入的受益方（或被授权代表受益方进行签署），或用此表格证明本人是以第 4 章为目的，• 本表格第 1 行中列名的受益方不是美国人；• 本表中涉及的收入：<ul style="list-style-type: none">(a) 与在美国的贸易或商业行为无实际联系；(b) 虽与在美国的贸易或商业行为有实际联系，但根据适用的所得税协定无需纳税；或(c) 属于合伙企业的实际相关收入中的合伙人份额；• 本表格第 1 行中列名的受益方属于第 9 行（如有）中所列的协定国居民，该居民身份符合该协定国与美国签订的所得税协定规定。• 对于经纪交易或易货交易，受益方属于填写说明中所定义的可免税外国人。 <p>此外，本人授权将本表格提供给对本人作为受益方的收入有管理、收取或保管权利的任何预扣税款代理人，或可以向作为受益方的本人支付收益的任何预扣税款代理人。若本表格中的任何证明有误，本人同意在 30 天内提交一份新的表格。</p>	

在此签署	<div><div></div><div>受益方（或被授权代表受益方签署的个人）签名</div><div>_____ 签字日期（月-日-年）</div></div>
签名者印刷体姓名	授权代理人身份（如果本表格并非由受益方签署）
关于《文书简化法通告》，请参见单独的说明。	分类 编号：25047Z 表格 W-8BEN （于 2017 年 7 月修订）