

# ACCOUNT OPENING APPLICATION FORM

## 開戶申請表

### CORPORATE ACCOUNT / 企業帳戶



## TAIWAN CONCORD CAPITAL SECURITIES (HONG KONG) LIMITED

康和證券（香港）有限公司

Room 702, 7/F., Tower 1, Admiralty Centre  
18 Harcourt Road, Admiralty, Hong Kong  
香港金鐘夏慤道 18 號海富中心 1 座 7 樓 702 室

Client's Name 客戶名稱：\_\_\_\_\_

Securities Account Number 證券帳號：\_\_\_\_\_

Futures Account Number 期貨帳號：\_\_\_\_\_

In the event that there is any inconsistency between the English version and the Chinese version in this Account Opening Application Form, the English version shall prevail.  
開戶申請表之中文版本及英文版本如有任何歧義，概以英文版本為準。



## ACCOUNT OPENING CHECKLIST 開戶核對表

### I. DOCUMENTS TO BE COMPLETED 需要填妥的文件

- Duly completed and signed Account Opening Application Form 已填妥及簽署的開戶申請表
- Duly completed and signed Customer Investment Risk Questionnaire by each Authorized Signatory (applicable to clients who will trade OTC products or funds) 由每位獲授權人填妥及簽署的客戶投資風險問卷（適用於交易 OTC 產品或買賣基金的客戶）

ALL the documents to be submitted in accordance with Part II and Part III below must be certified by a practising lawyer, practising certified public accountant and notary public:

所有根據第二和第三部分提供的文件必需由執業律師、執業會計師或法律公證人核證:

### II. SUPPORTING BASIC DOCUMENTS FOR VERIFICATION 供核實的基本證明文件

- Proof of Address<sup>1</sup> (see Note 1) 地址證明（見註 1）
- Valid Business Registration Certificate (if any) 有效商業登記證（如有）
- Identity card or valid passport of each person authorized to operate the account 每一位獲授權操作戶口人士之身份證或有效護照
- Identity card or valid passport of each ultimate beneficial owners holding not less than 10% of the voting rights, share capital, capital, profits or vested interest (as the case may be) 每一位持有不少於 10% 投票權、股東的股本、資本、利潤、或既得利益（視屬何情況而定）人士之身份證或有效護照
- Identity card or valid passport of each individual who exercises ultimate control over the management of the entity 每一位行使對該實體的管理最終的控制權人士之身份證或有效護照
- Ownership Chart/ Company Organization Chart 擁有權架構圖／公司組織架構圖
- Personal Guarantee Letter (where appropriate) 個人擔保書（如適用）
- Latest Audited Financial Statement 最近期的經審計的財務報表
- W-8BEN-E (Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Entities))(W-8BEN-E 外國人扣繳憑證表單)

### III. SPECIFIC SUPPORTING DOCUMENTS REQUIRED FOR DIFFERENT TYPES OF ENTITIES 不同類型的實體需要提供的證明文件

#### For Corporations 公司適用

- Certificate of Incorporation and official certificates showing any change of name(s) (if any) 公司註冊證明書及公任何更改公司名稱的官方證明書（如有）
- Current Articles of Association or other constitutional documents with amendments (if any) 公司現時的組織章程細則及其他章程文件連同有關修訂（如有）
- Latest Annual Report (for Hong Kong companies) 最近期的周年申報表（適用於香港公司）
- Certificate of Incumbency issued by the registered agent issued within last 6 months or their respective equivalent (For Overseas Corporations Only) 於過去六個月由公司註冊代理人發出之職權證明書或等同文件（只適用於海外公司）
- Latest Register of Director(s) & Registered of Member(s) 最近期的董事及成員登記冊
- Identity card or valid passport of ALL Director(s) 所有董事的身份證或有效護照
- Board Resolution or Certified Extracts in such form as may be approved by TCCSHK (if Section 8 - Certified Extracts of Board Resolutions is not applicable) 由康和認可的董事會決議的副本或核證摘錄（如第 8 條-董事會決議的核證摘錄不適用）

<sup>1</sup> Note 1: Utility bill, correspondence from a government department or agency, or statement issued by a licensed bank in Hong Kong or overseas that have been issued within 3 months

註 1: 近三個月內發出的水電費帳單、政府部門或機構發出的通訊或香港或海外持牌銀行發出的銀行結單



### **For Partnership 合夥企業適用**

- Partnership Deed 合夥契據
- Identity card or valid passport of **ALL** Partner(s) and Controllers **所有**合夥人及控制人的身份證或有效護照
- Mandate from the partnership authorizing the opening of the account and conferring authority on those who will operate it 向合夥企業取得授權開立戶口及賦權有關人士操作戶口的委託書

### **For Sole Proprietorship 獨資經營者適用**

- Identity card or valid passport of the sole proprietor 獨資經營者及**所有**控制人的身份證或有效護照

## **IV. IMPORTANT NOTES 注意事項**

### **Non Face-to-Face Approach 非面對面方式：**

If this Account Opening Application Form is not executed by the Client in the presence of a SFC licensed employee of TCCSHK, the Client shall submit the following items to TCCSHK:

若客戶並非在康和已獲香港證監會發牌的僱員面前簽署本開戶申請表，則客戶應提供下列由指定人士簽署核證的文件予康和：

- (a) the duly completed and signed Account Opening Application Form witnessed by a specified person<sup>2</sup> (see Note 2); and  
已填妥及由指定人士（見註2）見證簽署的開戶申請表；及
- (b) all the documents as required under the Account Opening Checklist certified by a specified person (see Note 2). 開戶核對表中  
所要求由指定人士（見註2）核證的所有文件。

---

<sup>2</sup> Note 2: Any Practising Lawyer, Practising Certified Public Accountant or Notary Public  
註2: 任何執業律師、執業會計師或法律公證人



**Taiwan Concord Capital Securities (Hong Kong) Limited**  
**康和證券(香港)有限公司**

Room 702, 7/F., Tower 1, Admiralty Centre, 18 Harcourt Road, Admiralty, Hong Kong  
香港金鐘夏慤道 18 號海富中心 1 座 7 樓 702 室

Taiwan Concord Capital Securities (Hong Kong) Limited ("TCCSHK") is a licensed corporation under the Securities and Futures Ordinance (Cap. 571) ("SFO") licensed to conduct Type 1 (dealing in securities) as well as Type 4 (advising on securities) regulated activities and registered as such with the Securities and Futures Commission of Hong Kong ("SFC") (CE number ACS 694)

康和證券(香港)有限公司(「康和」)乃根據《證券及期貨條例》(第 571 章)(「證券條例」)獲發牌進行第 1 類(證券交易)及第 4 類(就證券提供意見)受規管活動之持牌法團,並就此於香港證券及期貨事務監察委員會(「證監會」)註冊(中央編號為 ACS694)。

TCCSHK is also a licensed corporation under the SFO licensed to Type 2 (dealing futures contracts) regulated activities and registered as such with the SFC (CE number ACS 694), and an exchange participant of the Hong Kong Futures Exchange Limited.

康和乃根據《證券及期貨條例》獲准許進行第 2 類(期貨合約交易)受規管活動之持牌法團,並就此於證監會註冊(中央編號為 ACS694),並獲香港期貨交易所有限公司參與者資格。

<b>FOR OFFICE USE ONLY 僅供內部使用:</b>	
<input type="checkbox"/> Full Service A/C 全面服務帳戶	<input type="checkbox"/> Electronic Trading A/C 電子交易帳戶
Related Account(s) 相關帳戶:	
Third Party Authorization 第三者授權:	
Name 姓名: _____	
ID/Passport Number 證件號碼:	
Approved on 獲批日期為: _____	
Professional Investor 專業投資者: <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	
Approved on 獲批日期為: _____	

**ACCOUNT OPENING APPLICATION FORM 開戶申請表**

**FOR CORPORATE/ PARTNERSHIP/ SOLE PROPRIETORSHIP 企業/合夥企業/**

**獨資經營者適用**

Note 注意: 1. Please complete in block letters and tick (✓) the appropriate box where applicable. 請用正楷填寫並在適當空格內加上別號(✓)。  
2. \*Please delete whichever is not appropriate and mark "N/A" on the unfilled spaces. \*請刪去不適用者,並在不適用的空格處填上「不適用」。

<b>1. ACCOUNT TYPE 帳戶類別</b>	
<b>Securities Account 證券帳戶</b>  <b>Customer Type 客戶種類</b> <input type="checkbox"/> Corporate 企業 <input type="checkbox"/> Sole Proprietorship/ Partnership 獨資經營者/ 合夥企業  <b>Account Type 帳戶種類</b> <input type="checkbox"/> Cash Account 現金帳戶 <input type="checkbox"/> Margin Account 孖展帳戶(即融資帳戶)	<b>Futures and Options Account 期貨及期權帳戶</b>  <b>Customer Type 客戶種類</b> <input type="checkbox"/> Corporate 企業 <input type="checkbox"/> Sole Proprietorship/ Partnership 獨資經營者/ 合夥企業  <b>Account Type 帳戶種類</b> <input type="checkbox"/> Futures and Options Account 期貨及期權帳戶
<b>Please select the type of services you require 請選擇所需的產品服務:</b> <input type="checkbox"/> Hong Kong Equity 香港股票 <input type="checkbox"/> Global Stock 環球股票  <input type="checkbox"/> Hong Kong Futures 香港期貨 <input type="checkbox"/> Global Futures 環球期貨 <input type="checkbox"/> OTC Products 場外交易產品	
<b>Method of Placing Order 落盤方式</b>	<input type="checkbox"/> Telephone (Manual) 電話專人落盤 <input type="checkbox"/> Electronic Trading 電子交易



2. CLIENT INFORMATION 客戶資料		
Name of Corporation/ Sole Proprietorship/ Partnership 企業/獨資經營者/合夥企業名稱		
Date of Incorporation/ Establishment 註冊/成立 日期	Place of Incorporation/ Establishment 註冊/成立地點	Registration or Incorporation No. (if applicable) 登記或註冊號碼 (如適用)
Hong Kong Business Registration No. (if applicable) 香港商業登記號碼 (如適用)	Nature of Business 業務性質	Years In the Business 經營年期
Registered Address/ Principal Office Address 註冊地址/主要辦事處地址		
Correspondence Address 通訊地址 (if different from above) (如與上址不同)		
Business Tel. No. 營業電話	Fax No. 傳真號碼	E-mail Address 電郵地址
Monthly Account Statements and General Correspondence to be sent to (Please select one only) 帳戶月結單 及一般通訊可送往 (請只選一項)		
<input type="checkbox"/> Email Address (recommended) 電郵地址 (建議選用) <input type="checkbox"/> Registered Address/ Principal Office Address 註冊地址/主要辦事處地址 <input type="checkbox"/> Correspondence Address 通訊地址		
<b>Registered Owners and Percentage Owned (not applicable to public listed companies)</b> <b>註冊擁有人及擁有權益的百分比 (不適用於上市公司) :</b> (If you require additional space for additional parties, please attach a separate sheet 若閣下需要更多空間 填寫其他人士的資訊, 請另加附頁)		
(1) Name 姓名 _____ (____%)	(4) Name 姓名 _____ (____%)	
(2) Name 姓名 _____ (____%)	(5) Name 姓名 _____ (____%)	
(3) Name 姓名 _____ (____%)	(6) Name 姓名 _____ (____%)	

**Ultimate Beneficial Owner(s) of the Account(s) 帳戶最終實益持有人**

Please provide the information in relation to the person or entity (legal or otherwise) that stands to gain the commercial or economic benefit of the transaction and/ or bear its commercial and economic risk. If you require additional space for additional parties, please attach a separate sheet

請提供有關將會從交易取得商業或經濟利益及/或承擔其商業或經濟風險的人士或實體（不論該實體是否為法律實體）的資料。若閣下需要更多空間填寫其他人士的資訊，請另加附頁。

(1) Name 姓名 \_\_\_\_\_ Tel. No. 電話號碼: \_\_\_\_\_

ID Card/ Passport No. and Issuing Country 身份證/護照號碼及簽發國家

\_\_\_\_\_

Address 地址

\_\_\_\_\_

\_\_\_\_\_

(2) Name 姓名 \_\_\_\_\_ Tel. No. 電話號碼: \_\_\_\_\_

ID Card/ Passport No. and Issuing Country 身份證/護照號碼及簽發國家

\_\_\_\_\_

Address 地址

\_\_\_\_\_

\_\_\_\_\_

(3) Name 姓名 \_\_\_\_\_ Tel. No. 電話號碼: \_\_\_\_\_

ID Card/ Passport No. and Issuing Country 身份證/護照號碼及簽發國家

\_\_\_\_\_

Address 地址

\_\_\_\_\_

\_\_\_\_\_

(4) Name 姓名 \_\_\_\_\_ Tel. No. 電話號碼: \_\_\_\_\_

ID Card/ Passport No. and Issuing Country 身份證/護照號碼及簽發國家

\_\_\_\_\_

Address 地址

\_\_\_\_\_

\_\_\_\_\_

**Authorized Person(s) 獲授權人**

The Account(s) may be operated on the instructions of any \_\_\_\_\_ of the following persons (each an "Authorized Person"), pursuant to the signing arrangements below 帳戶可按以下人士中的任何 \_\_\_\_\_ 位 (每位「獲授權人」) 按以下所列的簽字安排的指令操作

(1) Name 姓名 \_\_\_\_\_

ID Card/ Passport No. and Issuing Country 身份證/護照號碼和簽發國家  
\_\_\_\_\_

Tel. No. 電話號碼 \_\_\_\_\_ Specimen Signature 簽名樣式 \_\_\_\_\_

(2) Name 姓名 \_\_\_\_\_

ID Card/ Passport No. and Issuing Country 身份證/護照號碼和簽發國家  
\_\_\_\_\_

Tel. No. 電話號碼 \_\_\_\_\_ Specimen Signature 簽名樣式 \_\_\_\_\_

(3) Name 姓名 \_\_\_\_\_

ID Card/ Passport No. and Issuing Country 身份證/護照號碼和簽發國家  
\_\_\_\_\_

Tel. No. 電話號碼 \_\_\_\_\_ Specimen Signature 簽名樣式 \_\_\_\_\_

(4) Name 姓名 \_\_\_\_\_

ID Card/ Passport No. and Issuing Country 身份證/護照號碼和簽發國家  
\_\_\_\_\_

Tel. No. 電話號碼 \_\_\_\_\_ Specimen Signature 簽名樣式 \_\_\_\_\_

**Note 備註：**

Please cross out any unused space above 請刪去以上所有空白處

If you require additional space, please attach a separate sheet 若閣下需要更多空間，請另加附頁

Please specify any signing arrangements (if any) 請指明任何簽字安排 (如有)：

**Specimen of Company Chop or Seal (if applicable) 公司蓋章或印章樣式 (如適用)**

Paid-Up Issued Share Capital (if applicable) 已繳及已發行資本 HK\$ \_\_\_\_\_

Current Year Company Account Summary 現年公司財務資料摘要 (Year \_\_\_\_\_ 年度)

Net Profit(Estimate) (估計) 純利潤 HK\$ \_\_\_\_\_

Total Assets(Estimate) (估計) 總資產 HK\$ \_\_\_\_\_

Total Liabilities(Estimate) (估計) 總負債 HK\$ \_\_\_\_\_

Total Net Asset Value 總資產淨值 HK\$ \_\_\_\_\_

### 3. SETTLEMENT ARRANGEMENT 結算安排

Bank Name 銀行名稱	Hong Kong Bank Account No. 香港銀行帳戶號碼	Name of Account Holder 帳戶持有人名稱

### 4. INVESTMENT OBJECTIVES AND EXPERIENCE 投資目的及經驗

Investment Knowledge 投資知識	<input type="checkbox"/> No experience at all 沒有投資經驗 <input type="checkbox"/> HK listed securities 香港上市證券 _____ years 年 (average trade size 平均交易額 HK\$ _____) <input type="checkbox"/> Overseas listed securities 海外上市證券 _____ years 年 (average trade size 平均交易額 HK\$ _____) <input type="checkbox"/> HK futures and options 香港期貨及期權 _____ years 年 (number of contracts and products 合約及產品數量 _____) <input type="checkbox"/> Overseas futures and options 海外期貨及期權 _____ years 年 (number of contracts and products 合約及產品數量 _____) <input type="checkbox"/> Other(s) 其他 _____ years 年
	<input type="checkbox"/> Capital Appreciation 資本增長 <input type="checkbox"/> Generating Income 賺取收入 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Arbitrage 套戥 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Others 其他

Investment Objectives 投資目的	<input type="checkbox"/> Capital Appreciation 資本增長 <input type="checkbox"/> Generating Income 賺取收入 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Arbitrage 套戥 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Others 其他
Investment Horizon 預計投資期	<input type="checkbox"/> No Constraint 沒有限制 <input type="checkbox"/> Short Term (< 3 months) 短期 (少於 3 個月) <input type="checkbox"/> Medium Term (3-12 months) 中期 (3-12 個月) <input type="checkbox"/> Long Term (> 1year) 長期 (1 年以上)
Risk Tolerance 承受風險程度 (請擇其一)	<input type="checkbox"/> Low 低 <input type="checkbox"/> Medium 中 <input type="checkbox"/> High 高 * securities margin account belongs to medium and/or high risk categories 證券保證金帳戶屬於適中或積極風險類別
Primary Source of Income 主要收入來源	<input type="checkbox"/> Company's Operating Fund 公司營運資金 <input type="checkbox"/> Investment 投資 <input type="checkbox"/> Others 其他 _____
Please specify any brokerage firms that has ever provided services to you 請列出曾經替你服務的經紀公司	
(1) _____	
(2) _____	



**Profit/ Loss after tax based on the latest audited accounts (HK\$)**

根據最近期的已審計帳目之稅後盈虧 (港幣)：

- Loss  ≤500,000  500,001-1,000,000  1,000,001-5,000,000  5,000,001-10,000,000  10,000,001-100,000,000  
 >100,000,001

**Net Asset Value (HK\$) 淨資產值 (港幣)：**

- ≤1,000,000  1,000,001-\$5,000,000  5,000,001-10,000,000  10,000,001-30,000,000  30,000,001-50,000,000  
 50,000,001-100,000,000  >100,000,001

**5. CLIENT'S DISCLOSURE 個人資料披露**

1. Is the Client's director, senior officer, partner, shareholder, employee or authorized person a senior officer or director or in control of any company whose shares are traded on any exchange or market?

客戶之董事、高級人員、合夥人、股東、僱員或獲授權人是否任何公司之高級人員或董事或控制任何公司之人士而該公司之股份在任何交易所或市場買賣？

No 否  Yes 是 If yes, please specify 如是，謹請說明：

Name of Person(s)姓名	Position 職務	Name of the Listed Company & Stock Code 上市公司名稱和股票代號
_____	_____	_____
_____	_____	_____
_____	_____	_____

2. Is the Client's director, senior officer, partner, shareholder, employee or authorized person licensed by or registered with the SFC?

客戶之董事、高級人員、合夥人、股東、僱員或獲授權人是否證監會之持牌或註冊人士？

No 否  Yes 是 If yes, please specify 如是，謹請說明：

Name of Person(s)姓名	Name of the Institution 機構名稱
_____	_____
_____	_____
_____	_____

Your company and the above person(s) agree that TCCSHK may approach the above person(s) or institution(s) to obtain its consent before providing any service to your company.  
 貴公司及上列人士均同意康和可於提供任何服務給予貴公司前接觸上述人士或機構從而取得該人士同意。

3. Politically Exposed Person 政治人物

Is the Client's directors, senior officer, partner, shareholders and/or its authorized persons, their respective spouses, partners, children or parents, or a spouse or a partner of a child of such individual, or close associate of such individual is or has been entrusted with a prominent public function or holding senior public office in any place (which shall include a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and an important political party official)?

客戶之董事、高級人員、合夥人、股東及/或其授權人、其各自的配偶、伴侶、子女或父母、或該名個人的子女的配偶或伴侶、或與該名個人有關係密切的人是否在任何地方擔任或曾擔任重要的公職(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)?

No 否  Yes 是

Is the Client and/or its authorized person (if applicable), their respective spouses, partners, children or parents, or a spouse or a partner of a child of such individual, or close associate of such individual is or has been is a sub-national political figure in any place (which shall include but not limited to heads of regional governments, regional government ministers or large city mayors)?

客戶及/或其獲授權人(如果適用)、其各自的配偶、伴侶、子女或父母、或該名個人的子女的配偶或伴侶、或與該名個人有關係密切的人是否在任何地方為或曾為國家次級政要(其中包括但不限於地區級政府首長、地區政府部長或大城市市長)?

No 否  Yes 是

**If yes to any of the questions above, please provide 如任何問題的答案為是，請提供：**

Name of the politically exposed person 政治人物的名稱：\_\_\_\_\_

Place and public function entrusted with 地方及所擔任的公職：\_\_\_\_\_

Term of the public function entrusted with 所擔任公職的年期：\_\_\_\_\_

Relationship with the Client 與客戶之關係：\_\_\_\_\_

4. Is the Client's director, senior officer, partner, shareholder, employee or authorized person or their respective relatives an employee or director of TCCSHK or TCCSHK Group?

客戶之董事、高級人員、合夥人、股東、僱員或獲授權人、其各自的親屬是否康和或康和集團的董事或僱員?

No 否  Yes 是

If yes, please specify 如是，謹請說明：

**Name of Person(s)姓名**      **Name of the Institution 機構名稱**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

“TCCSHK Group” means TCCSHK, TCCSHK's holding company (as defined in the Companies Ordinance of Hong Kong), subsidiaries (as defined in the Companies Ordinance of Hong Kong) of such holding company or any of TCCSHK's subsidiaries.

「康和集團」指康和、康和的控股公司(按香港《公司條例》定義)、該控股公司的任何康和子公司(按香港《公司條例》定義)或任何康和的子公司。

5. Is the Client related to any other person(s) holding an account with TCCSHK or TCCSHK Group?

客戶是否與持有康和或康和集團帳戶的任何其他人士有關連？

No 否  Yes 是

If yes, the Account Name is 如有，其帳戶姓名為：\_\_\_\_\_

(Account No 帳戶號碼：\_\_\_\_\_)

6. Is any of the ultimate beneficial owners(s) named in Section 2 above the person or entity (legal or otherwise) ultimately responsible for originating the instructions to TCCSHK?

在上述第二節內最終實益持有人的任何一人是否最初負責發出向康和提供指示的人士或實體（不論該實體是否為法律實體）？

No 否  Yes 是

If yes, please specify the name 如是，其姓名為：\_\_\_\_\_

If not, please specify:

Name 姓名 \_\_\_\_\_

ID Card/ Passport No. and Issuing Country 身份證/護照號碼和簽發國家

\_\_\_\_\_

Tel. No. 電話號碼 \_\_\_\_\_ Specimen Signature 簽名樣式 \_\_\_\_\_

7. Is the Client a trustee of a trust?

客戶是信託的信託人嗎？  No 否  Yes 是

8. Is the Client carrying out a transaction on behalf of a trust?

客戶代表信託執行交易嗎？  No 否  Yes 是

If yes, please give detailed particulars of the trust 如是，請給出信託基金詳細資訊：\_\_\_\_\_

Name of Trust 信託名稱：\_\_\_\_\_

Date of Establishment/ Settlement 訂立/結算日期：\_\_\_\_\_

Jurisdiction/ Laws Governing the Trust 信託司法管轄區/管轄法律：\_\_\_\_\_

Name of Settlor 財產授予人姓名：\_\_\_\_\_

Identification Information of Settlor 財產授予人身份資料：\_\_\_\_\_

Name of Protector(s) or Enforcer(s) 信託保護人或執行人姓名：\_\_\_\_\_

Identification Information of Protector(s) or Enforcer(s) 信託保護人或執行人身份資訊：\_\_\_\_\_

Name of Beneficiary(ies) 受益人姓名：\_\_\_\_\_

Identification Information of Beneficiary(ies) 受益人身份資料：\_\_\_\_\_

**Please provide a copy of the Trust Deed for verification. 請提供信託契約副本以供核實。**

## 6. DERIVATIVE KNOWLEDGE ASSESSMENT QUESTIONNAIRE

### 對結構性及衍生產品認識之評估問卷

1. I/We have undergone or attended any training courses or seminars that provide general knowledge of the nature and risks of structured or derivative products(s) (e.g. courses offered by financial or academic institutions)

我/我們有參與過有關結構性或衍生產品之一般性質及風險的培訓課程  
(例如：由金融或學術機構所提供之課程)?

Yes 有  No 否

2. I/We have current or previous work experience related to structured or derivative product(s) (e.g. financial institutions such as bank, fund house, brokerage firm, regulatory authority, etc)

我/我們現時或以前的工作經驗與結構性或衍生產品有關(例如：金融機構如銀行、基金公司、經紀行、監管機構等)?

Yes 有  No 否

If yes, please specify: 如有，謹請說明：

---

3. I/We have invested into any of the product(s) below more than **five** times in the past **three** years?

我/我們於過去三年內已進行**五**宗或以上有關以下任何產品的交易?

Yes 有  No 沒有

If yes, please select the products below (multiple options if applicable)

如有，請選擇以下產品（如適用，可選多項）：

<input type="checkbox"/> Exchange Traded Convertible Bonds 在交易所買賣的可換股債券	<input type="checkbox"/> Equity Linked Instruments / Notes (ELI/ELN) 與股票掛鈎的投資工具/票據
<input type="checkbox"/> Callable Bull/Bear Contract (CBBC) 牛熊證	<input type="checkbox"/> Exchange Traded Funds (ETF) 交易所買賣基金
<input type="checkbox"/> Rights 供股權	<input type="checkbox"/> Futures and Options 期貨或期權合約交易
<input type="checkbox"/> Stock Options 股票期權	<input type="checkbox"/> Derivative Warrants 衍生認股權證

- I/We have NO knowledge about structured or derivative products.  
本人/我們對結構性或衍生產品並無認識。

For more details of relevant risks and nature of structured and derivative products, please refer to the following websites

欲瞭解更多有關結構性及衍生產品風險和性質詳情，請參考以下的網站：

[www.sfc.hk](http://www.sfc.hk) (Securities and Futures Commission / 證券及期貨事務監察委員會)

[www.hkex.com.hk](http://www.hkex.com.hk) (HK Exchanges and Clearing Limited / 香港交易所)

<http://www.hkiec.hk/web/en> (Investor Education Centre / 投資者教育中心)

## 7. USE OF PERSONAL DATA 使用個人資料

In respect of the use of the personal data supplied by the Client, including name, address and telephone number, if the Client disagrees with using any of the personal data or any kinds of means of transmission for the purpose of direct marketing purposes, please indicate objection by ticking the box below.

有關使用客戶所提供的個人資料，包括姓名、地址和電話號碼，如客戶不同意使用任何個人資料或以任何傳送方式作直銷用途，請在下面空格表明不同意。

I/We **do not agree** with the proposed use of my/our personal data in direct marketing.

本人/我們**不同意**將本人/我們的個人資料用於直銷用途。

At any time in the future, the Client may also inform our Customer Service Department should the Client wish to opt-out of our use of the personal data for any of the direct marketing purposes.

在未來的任何時候，客戶若不希望我們將其個人資料用於任何一項直銷用途時，可通知我們的客戶服務部。

## 8. CERTIFIED EXTRACTS OF BOARD RESOLUTIONS (IF APPLICABLE)

### 董事會決議核證摘錄 (如適用)

- The board resolutions or certified extracts will be provided separately; or 董事局書面決議或核證摘錄將另外提供；或
- Please fill in the certified extracts below 請填寫以下核證摘錄

Name of Company 公司名稱 \_\_\_\_\_ the "Company" (「本公司」)

At a meeting of the board of directors of the Company duly convened and held at the address of 本公司董事會於地址 \_\_\_\_\_

on (Date) \_\_\_\_\_, at which a quorum was present and acting throughout.

於 (日期) \_\_\_\_\_ 妥善地召開董事會會議，期間具備會議所需的合法人數。

Present (Full name of Directors) 出席人士(董事全名)： \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Chairman of the meeting 會議主席： \_\_\_\_\_

### IT WAS RESOLVED THAT 下列決議獲得通過：

- One or more securities cash account/ securities margin account/ futures and options account ("Account(s)") for the Company be opened with Taiwan Concord Capital Securities (Hong Kong) Limited ("TCCSHK") and be operated in accordance with the Account Opening Application Form and the terms and conditions of the Client Agreement (a copy of which had been tabled and considered by the directors of the Company), as may be amended or supplemented from time to time.

本公司於康和證券(香港)有限公司(「康和」)開立一個或多個證券現金帳戶/證券孖展帳戶/期貨及期權帳戶(「該(等)帳戶」)，並會按照《開戶申請表》及《客戶協議》中的條款和條件操作(其副本已提交本公司的董事考慮)的條款及條件操作，以不時可能作出的修訂或補充為準。

- The Company shall notify TCCSHK in writing from time to time the officer(s) and person(s) who are duly authorized, either singly or jointly with such other authorized officer(s) or otherwise as specified in such notification, to place order and (where necessary) to give instructions for or on behalf of the Company of the said Account(s) and shall provide TCCSHK with the specimen signatures of such officer(s) or person(s).

本公司應以書面不時通知康和已獲正式授權的人員和人士(不論單獨或共同與其他獲授權人或按通知書所指定)代表本公司就該(等)帳戶發出買賣指示並(在有需要的情況下)發出指令，並應提供康和的有關授權人員或人士的簽名樣本。

- The Company shall notify TCCSHK from time to time of any changes which may render the information in the Account Opening Application Form untrue or misleading.

本公司將不時通知康和任何可使《開戶申請表》中資料變得不實或誤導的任何變更。

- TCCSHK will be provided with any documents which it may reasonably require in connection with the opening and operation of the Account(s), including, without limitation, copies of the certificate of incorporation, business registration certificate, the articles of association or other constitutional documents of the Company, financial statements of the Company and certified extracts of any resolution relating to the Account(s).

康和可獲提供其認為與開立及運作該(等)帳戶有關而合理要求的任何文件，包括但不限於公司註冊證明書、商業登記證、本公司的組織章程細則或其他組織文件的副本、本公司的財務報表和有關該(等)帳戶的任何決議的核證摘要。

I, the undersigned, DO HEREBY CERTIFY that the foregoing is a true extract of the resolutions which (a) were duly passed in accordance with the Articles of Association or other constitutional documents of the Company, (b) have been duly recorded in the minutes book of the Company, and (c) remain in full force and effect, no action having been taken to rescind or amend the said resolutions.

下述簽署人現證明前述為(a) 根據公司的組織章程細則或其他組織文件妥善地通過的決議的真實摘要；(b) 已妥善地記錄在公司的會議記錄冊之上；及(c) 繼續全面生效及並沒有採取任何行動以撤銷或修訂該等決議案。

Name 姓名： \_\_\_\_\_

Title 職務： Director 董事

## 9. CLIENT'S ACKNOWLEDGEMENT AND DECLARATION 客戶的確認及聲明

Prior to signing this Account Opening Application Form, please:  
在簽署本《開戶申請表》前，請：

- (a) note that all transactions to be concluded with or through TCCSHK shall be subject to the terms and conditions of the Client Agreement; and  
注意所有與康和達成或通過康和達成的交易均受限於《客戶協議》的條款及條件；及
- (b) read the Client Agreement (including the Risk Disclosure Statement) carefully, ask questions and take independent advice if the Client so wishes.  
仔細閱讀《客戶協議》(包括《風險披露聲明》)，提出問題及徵求獨立的意見(如客戶有此意願)。
- I/We hereby declare and confirm that I/we have received, read and understood the Client Agreement of which this document and its attachments form a part (the "Agreement"), including the relevant Risk Disclosure Statements contained in the aforesaid Client Agreement, Personal Data (Privacy) Collection Statement and other supplements which may be entered into in writing between TCCSHK and me/us from time to time, any letters of authorizations relating to securities margin financing, and accept and agree to be bounded by each of the above as amended and/or supplemented from time to time.  
本人/我們在此聲明並確認本人/我們已經收到、閱讀和理解由本文件及其附件構成的《客戶協議》(「該協議」)，包括在上述《客戶協議》內所包含有關的《風險披露聲明》、個人資料(隱私)收集聲明和其他有可能由康和證券(香港)與本人/我們之間不時以書面達成的補充協議、任何與證券保證金融資相關的授權書，並且接受和同意受以上各項之不時修訂及/或補充協議的約束。
- I/We hereby declare and confirm that the information in this Account Opening Application Form is true, complete, up-to-date and correct and I/we undertake that I/we will advise TCCSHK forthwith of any change to the information supplied herein and all attachments herewith. TCCSHK is entitled to rely fully on such information for all purposes unless TCCSHK has received actual prior written notice of any change from me/us.  
本人/我們在此聲明並確認本《開戶申請表》的資料均屬真實、完整、符合現況和正確的，並且本人/我們將通知康和本表格及其附件內所提供資料的變更。康和有權在各方面而言完全依賴這些資料，除非康和收到了從本人/我們就任何變更發出的實際事先的書面通知。

Furthermore, TCCSHK is authorized to obtain at any time references and account balances from my/our bankers (I/we waive any duty of confidentiality involved) and to contact any other persons to check the information provided herein. Further, I/we hereby authorize TCCSHK to conduct credit enquiries and checks for the purpose of ascertaining my/our financial situation and investment objective.

此外，康和經已被授權可在任何時間從本人/我們的銀行獲得參考及帳戶結餘的資料(本人/我們放棄其中涉及的任何保密責任)，並與任何其他人士聯繫以核實本文件所提供的資料。另外，本人/我們在此授權康和為確認本人/我們的財務狀況和投資目的而作出的信貸查詢和核查。

I/We understand that I/we may be required to provide additional information or submit documentary proof as to the information provided in this form when requested by TCCSHK. I/We understand that my/our submission of this form and the acceptance of this form by TCCSHK in no way implies approval for opening of the account for me/us and that TCCSHK reserves the unconditional right to reject my/our application.

本人/我們理解康和有可能要求本人/我們提供本表格以外的其他資料或證明文件。本人/我們理解本人/我們提交本表格予康和及康和接受本表格並不以任何方式意味開立帳戶已獲批准，且康和保留無條件拒絕本人/我們申請的權利。

I/We hereby apply to open the above type(s) of account and agree to be bound by the Agreement (receipt of a copy whereof is hereby acknowledged by me/us) including its Standard Terms and Conditions and relevant Schedule(s) as the same may be amended and supplemented from time to time.

本人/我們在此申請開立上述類型的帳戶並同意受該協議約束(本人/我們確認已經收到了該協議的副本)，包括該協議的標準條件和條款以及相關附件和不時可能作出的修訂和補充。

**Authorized Signature/Specimen Signature 獲授權人簽署/簽署式樣**  
**with Company Chop (if applicable)及公司蓋章(如適用)**

\_\_\_\_\_  
Name of Authorized Signatory 獲授權人姓名：

Date 日期：



**10. ACKNOWLEDGEMENT BY CLIENT 客戶確認**

I/We, \_\_\_\_\_ (Name in Block Letters), hereby acknowledge and confirm that I/we have been provided with the Risk Disclosure Statements contained in the Client Agreement in English/Chinese\* which is a language of my/our choice and that I/we have been invited to read the same, to ask questions and to take independent advice (if I/we so wish).

本人/我們, \_\_\_\_\_ (姓名以正楷填寫), 在此確認本人/我們已經收到了《客戶協議》當中所包含按本人//我們選擇提供的英文/中文\*版本的《風險披露聲明》, 且本人/我們已經按邀閱讀了該聲明, 提出問題並徵求獨立意見 (如果本人/我們有此意願)。

\* delete if not applicable 請刪去不適用者

\_\_\_\_\_  
 Authorized Signature with Company Chop 獲授權人簽署及公司蓋章  
 Date 日期:

**11. TO BE COMPLETED BY THE LICENSED REPRESENTATIVE OF TCCSHK OR PROFESSIONAL# 由康和的持牌代表或專業人士#填寫**

Name 姓名

Qualification 資格

Address 位址

Witness Signature 見證人簽署

Acknowledged and Accepted by  
 For and on behalf of  
 Taiwan Concord Capital Securities (Hong Kong) Limited  
 經由代表康和證券(香港)有限公司確認及接納

\_\_\_\_\_  
 Authorized Signature with Company Chop 授權簽署及公司蓋章  
 Date 日期:

# Professional : Any Practising Lawyer, Practising Certified Public Accountant or Notary Public.  
 專業人士：執業律師、執業會計師或/法律公證人



<b>12. DECLARATION TO BE COMPLETED BY LICENSED REPRESENTATIVE OF TCCSHK</b> <b>由康和的持牌代表填寫聲明</b>	
<p>I, _____ (Name in Block Letters) with C.E. Number _____ being a member of staff of TCCSHK, and a person licensed as a representative under the SFO, hereby declare and confirm that I have provided the Risk Disclosure Statements contained in the Client Agreement in <b>English / Chinese</b>* which is a language of the above Client's choice to the above Client(s) and that I have invited the Client(s) to read the same, to ask questions and to take independent advice (if the Client(s) so wish(es)).</p> <p>本人 _____ (姓名以正楷填寫) 中央編號 _____, 作為康和的僱員及根據《證券及期貨條例》下獲發牌人士，聲明及確認本人已按上述客戶選擇的<u>中/英文</u>語言版本而提供《客戶協議》當中所包含的《風險披露聲明》，且本人並邀請該客戶閱讀該等條款、提出問題及徵求獨立意見（如客戶有此意願）。</p> <p>* <b>delete if not applicable 請刪去不適用者</b></p>	
<p><b>By way of 通過：</b></p> <p><input type="checkbox"/> <b>Face to Face; or 面對面；或</b></p> <p><input type="checkbox"/> <b>Telephone 電話</b></p> <p><b>Recorded Line No. 電話錄音號碼：</b></p> <p>_____</p>	<p><b>Date &amp; Time 日期及時間</b> _____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p><b>Signature of Licensed Representative 持牌代表簽署</b></p>