

Individual / Joint Account Update Form

个 人 / 联 名 户 口 更 新 表 格

Delta Asia Securities Limited (“DAS”) is licensed to carry on Type 1, Type 2, Type 4, Type 5 and Type 9 regulated activities (Cap.571) (CE No. AAW265)

匯業證券有限公司(“匯業證券”)获准从事第一类， 第二类， 第四类， 第五类及第九类受规管活动(中央编号: AAW265)

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[空白页]

Account No 账户号码: _____
A.E. Code 经纪编号: _____
Date 日期: _____

This form shall be read with Terms and Conditions of the Client Agreement.
此表格须与客户协议内的条款及条件一并阅读。

**Please tick the appropriate box 请在适当空格加 ✓*

ACCOUNT UPDATE FORM 户口更新表格
Individual/Joint 个人/联名

A. Account Type 账户类别

☐ Individual Account 个人账户 ☐ Joint Account 联名账户

Securities 证券	☐ Cash Securities Account 现金证券账户	☐ New Application 新申请 (A/C No. _____)
	☐ Margin Securities Account 保证金证券账户	
	☐ Stock Options Account 股票期权账户	
Futures 期货	☐ Futures Account 期货账户	☐ New Application 新申请 (A/C No. _____)
☐ Dormant Account Reactive 启动不动账户		☐ Add Electronic Trading Services 加开电子交易服务

B. Client Information 客户资料

B.1 Personal Information 个人资料

Individual/ First Joint Account Holder 个人/第一账户持有人

Name of Client 客户名称 (Mr. 先生/ Miss 小姐/ Mrs. 太太)
English Name (Last 姓) (First 名)
英文: _____
Chinese Name
中文: _____
Official ID 身份证明文件
ID No. 证明号码 _____
Issued Place 发出地 _____
Type 种类:
☐ HKID 香港身份证 ☐ Macau ID 澳门身份证
☐ Chinese (PRC) Citizens ID 中国公民身份证
☐ Passport 护照 Expiry Date 到期日 _____
☐ Other, please specify 其他请列明 _____
Date of Birth (DD/MM/YYYY)
出生日期 (日/月/年): _____
Place of Birth
出生地: _____
Nationality
国籍: _____
Home Telephone No.
住宅电话: _____
Mobile Phone No.
流动电话: _____
Office Telephone No.
公司电话: _____
Facsimile No.
传真号码: _____
E-mail Address
电邮地址: _____
Residential Address (P.O. Box not accepted)
住宅地址 (不接受邮政信箱)

Second Account Holder 第二账户持有人

Name of Client 客户名称 (Mr. 先生/ Miss 小姐/ Mrs. 太太)
English Name (Last 姓) (First 名)
英文: _____
Chinese Name
中文: _____
Official ID 身份证明文件
ID No. 证明号码 _____
Issued Place 发出地 _____
Type 种类:
☐ HKID 香港身份证 ☐ Macau ID 澳门身份证
☐ Chinese (PRC) Citizens ID 中国公民身份证
☐ Passport 护照 Expiry Date 到期日 _____
☐ Other, please specify 其他请列明 _____
Date of Birth (DD/MM/YYYY)
出生日期 (日/月/年): _____
Place of birth
出生地: _____
Nationality
国籍: _____
Home Telephone No.
住宅电话: _____
Mobile Phone No.
流动电话: _____
Office Telephone No.
公司电话: _____
Facsimile No.
传真号码: _____
E-mail Address
电邮地址: _____
Residential Address (P.O. Box not accepted)
住宅地址 (不接受邮政信箱)

Correspondence Address (P.O. Box not accepted) 通讯地址 (不接受邮政信箱) (if different from above 如与上址不同) Nature of Occupancy 住宅类别 ☐ Owned (No Mortgage) 自置 (无按揭) ☐ With Parents 与父母同住 ☐ Relative's 亲属楼宇 ☐ Mortgaged / Monthly Installment 按揭/每月供款 ☐ HK\$15,000 or Less 或以下 ☐ HK\$15,001 – HK\$25,000 ☐ HK\$25,001 – HK\$35,000 ☐ HK\$35,001 or above 或以上 ☐ Rented / Monthly Rental 租用/每月租金 ☐ HK\$15,000 or Less 或以下 ☐ HK\$15,001 – HK\$25,000 ☐ HK\$25,001 – HK\$35,000 ☐ HK\$35,001 or above 或以上 ☐ Quarters 宿舍	Correspondence Address (P.O. Box not accepted) 通讯地址 (不接受邮政信箱) (if different from above 如与上址不同) Nature of Occupancy 住宅类别 ☐ Owned (No Mortgage) 自置 (无按揭) ☐ With Parents 与父母同住 ☐ Relative's 亲属楼宇 ☐ Mortgaged / Monthly Installment 按揭/每月供款 ☐ HK\$15,000 or Less 或以下 ☐ HK\$15,001 – HK\$25,000 ☐ HK\$25,001 – HK\$35,000 ☐ HK\$35,001 or above 或以上 ☐ Rented / Monthly Rental 租用/每月租金 ☐ HK\$15,000 or Less 或以下 ☐ HK\$15,001 – HK\$25,000 ☐ HK\$25,001 – HK\$35,000 ☐ HK\$35,001 or above 或以上 ☐ Quarters 宿舍 Relationship with First Account Holder 与第一账户持有人的关系 ☐ Immediate Family 直系亲属 Please specify 请注明: _____ ☐ Relative 亲戚 ☐ Friends 朋友 ☐ Other 其他 _____
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B.2 Employment Status 工作状况

Employment Status 就业情况 ☐ Self-employed 自雇 ☐ Full-time employed 全职 ☐ Part-time employed 兼职 ☐ Retired 退休 ☐ Housewife 家庭主妇 ☐ Not employed 未受雇 Current Occupation (or before Retirement) 现职业(或退休前) <table style="width: 100%; border: none;"> <tr> <td>☐ Business Services 商用服务业</td> <td>☐ Construction 建筑</td> </tr> <tr> <td>☐ Education 教育</td> <td>☐ Engineering 工程</td> </tr> <tr> <td>☐ Finance 金融业</td> <td>☐ Hotels 酒店业</td> </tr> <tr> <td>☐ Government Sector 政府部门</td> <td>☐ Insurance 保险业</td> </tr> <tr> <td>☐ Healthcare/Beauty 医护/美容</td> <td>☐ Real Estate 房地产</td> </tr> <tr> <td>☐ Retail 零售业</td> <td>☐ Transportation 运输业</td> </tr> <tr> <td colspan="2">☐ Others (Please specify) 其他 (请说明): _____</td> </tr> </table> Name of Employer 雇主名称: _____ Position 职位: _____ Years in Occupation 从业年期: _____ Business Address 商业地址: _____	☐ Business Services 商用服务业	☐ Construction 建筑	☐ Education 教育	☐ Engineering 工程	☐ Finance 金融业	☐ Hotels 酒店业	☐ Government Sector 政府部门	☐ Insurance 保险业	☐ Healthcare/Beauty 医护/美容	☐ Real Estate 房地产	☐ Retail 零售业	☐ Transportation 运输业	☐ Others (Please specify) 其他 (请说明): _____		Employment Status 就业情况 ☐ Self-employed 自雇 ☐ Full-time employed 全职 ☐ Part-time employed 兼职 ☐ Retired 退休 ☐ Housewife 家庭主妇 ☐ Not employed 未受雇 Current Occupation (or before Retirement) 现职业(或退休前) <table style="width: 100%; border: none;"> <tr> <td>☐ Business Services 商用服务业</td> <td>☐ Construction 建筑</td> </tr> <tr> <td>☐ Education 教育</td> <td>☐ Engineering 工程</td> </tr> <tr> <td>☐ Finance 金融业</td> <td>☐ Hotels 酒店业</td> </tr> <tr> <td>☐ Government Sector 政府部门</td> <td>☐ Insurance 保险业</td> </tr> <tr> <td>☐ Healthcare/Beauty 医护/美容</td> <td>☐ Real Estate 房地产</td> </tr> <tr> <td>☐ Retail 零售业</td> <td>☐ Transportation 运输业</td> </tr> <tr> <td colspan="2">☐ Others (Please specify) 其他 (请说明): _____</td> </tr> </table> Name of Employer 雇主名称: _____ Position 职位: _____ Years in Occupation 从业年期: _____ Business Address 商业地址: _____	☐ Business Services 商用服务业	☐ Construction 建筑	☐ Education 教育	☐ Engineering 工程	☐ Finance 金融业	☐ Hotels 酒店业	☐ Government Sector 政府部门	☐ Insurance 保险业	☐ Healthcare/Beauty 医护/美容	☐ Real Estate 房地产	☐ Retail 零售业	☐ Transportation 运输业	☐ Others (Please specify) 其他 (请说明): _____	
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☐ Others (Please specify) 其他 (请说明): _____																													

B.3 Financial Status 财政状况

Source of Funds (may choose more than one option)

收入来源(可选择一项或多项)

- ☐ Salary 薪金
☐ Savings 储蓄
☐ Retirement Funds 退休基金
☐ Rental 租金
☐ Return on Investment 投资回报
☐ Loans 贷款
☐ Business Profit 业务溢利
☐ Nil 没有
☐ Others 其他: _____

Annual Income (HK\$) 每年收入(港元)

- ☐ HK\$200,000 or Less 或以下
☐ HK\$200,001 – HK\$500,000
☐ HK\$500,001 – HK\$1,000,000
☐ HK\$1,000,001 – HK\$1,500,000
☐ HK\$1,500,001 – HK\$2,000,000
☐ HK\$2,000,001 or above 或以上

Asset Type 资产类别

- ☐ Cash 现金/Deposit 存款
☐ Land and Property 房地产
☐ Company Shares 公司股份
☐ Inheritance 遗产
☐ Stocks 股票
☐ Funds 基金
☐ Bonds/Debentures 债券
☐ Foreign Exchange 外汇
☐ Others 其他: _____

Estimated Total Net Worth (HKD) 估计资产净值(港元)

- ☐ HK\$1,000,000 or Less 或以下
☐ HK\$1,000,001 – HK\$5,000,000
☐ HK\$5,000,001 – HK\$10,000,000
☐ HK\$10,000,001 – HK\$15,000,000
☐ HK\$15,000,001 – HK\$20,000,000
☐ HK\$20,000,001 or above 或以上

Amount of Liquidity for Investment at Account Opening

开户时可用作投资的流动资产 (港元)

- ☐ HK\$0 – HK\$250,000
☐ HK\$250,001 – HK\$500,000
☐ HK\$500,001 – HK\$1,000,000
☐ HK\$1,000,001 – HK\$5,000,000
☐ HK\$5,000,001 – HK\$10,000,000
☐ HK\$10,000,001 – HK\$30,000,000
☐ HK\$30,000,001 – HK\$50,000,000
☐ HK\$50,000,001 or above 或以上

Source(s) of Wealth (may choose more than one option)

财富来源 (可选择一项或多项)

- ☐ Savings 储蓄
☐ Family Estate 家族财产/ Inheritance 遗产继承
☐ Sale of property/Assets 出售物业/资产
☐ Sale of Investment 投资回报
☐ Retirement Funds 退休金
☐ Others (Please specify) 其他 (请说明): _____

Source of Funds (may choose more than one option)

收入来源(可选择一项或多项)

- ☐ Salary 薪金
☐ Savings 储蓄
☐ Retirement Funds 退休基金
☐ Rental 租金
☐ Return on Investment 投资回报
☐ Loans 贷款
☐ Business Profit 业务溢利
☐ Nil 没有
☐ Others 其他: _____

Annual Income (HK\$) 每年收入(港元)

- ☐ HK\$200,000 or Less 或以下
☐ HK\$200,001 – HK\$500,000
☐ HK\$500,001 – HK\$1,000,000
☐ HK\$1,000,001 – HK\$1,500,000
☐ HK\$1,500,001 – HK\$2,000,000
☐ HK\$2,000,001 or above 或以上

Asset Type 资产类别

- ☐ Cash 现金/Deposit 存款
☐ Land and Property 房地产
☐ Company Shares 公司股份
☐ Inheritance 遗产
☐ Stocks 股票
☐ Funds 基金
☐ Bonds/Debentures 债券
☐ Foreign Exchange 外汇
☐ Others 其他: _____

Estimated Total Net Worth (HKD) 估计资产净值(港元)

- ☐ HK\$1,000,000 or Less 或以下
☐ HK\$1,000,001 – HK\$5,000,000
☐ HK\$5,000,001 – HK\$10,000,000
☐ HK\$10,000,001 – HK\$15,000,000
☐ HK\$15,000,001 – HK\$20,000,000
☐ HK\$20,000,001 or above 或以上

Amount of Liquidity for Investment at Account Opening

开户时可用作投资的流动资产 (港元)

- ☐ HK\$0 – HK\$250,000
☐ HK\$250,001 – HK\$500,000
☐ HK\$500,001 – HK\$1,000,000
☐ HK\$1,000,001 – HK\$5,000,000
☐ HK\$5,000,001 – HK\$10,000,000
☐ HK\$10,000,001 – HK\$30,000,000
☐ HK\$30,000,001 – HK\$50,000,000
☐ HK\$50,000,001 or above 或以上

Source(s) of Wealth (may choose more than one option)

财富来源 (可选择一项或多项)

- ☐ Saving 储蓄
☐ Family Estate 家族财产/ Inheritance 遗产继承
☐ Sale of property/Assets 出售物业/资产
☐ Sale of Investment 投资回报
☐ Retirement Funds 退休金
☐ Others (Please specify) 其他 (请说明): _____

B.4 Client Standing Settlement Bank Account 客户常设交收银行账户(Designated Bank Account 指定银行账户)				
	Account Type 账户类别	Bank Name 银行名称	Bank Account No. 银行账户号码	Currency 货币
1)*				HKD 港币
2)				
3)				

* Default (1) to First Standing Settlement Bank Account (HKD) 设定(1)为首要常设交收银行账户(港币)

B.5 Method of Correspondence 通讯方法

Please select one of the following method of communication 请选择以下其中一项通讯方法:

* Please notice that the statement will be sent to First Account Holder by post. 请留意结单将寄往第一账户持有人。

☐ By Mail - Residential Address 邮递 – 住宅地址*
☐ By Mail - Correspondence Address 邮递 – 通讯地址*
☐ By E-Mail 电邮

* Please refer to Fees and Charges 请参阅服务收费简介

C. Ultimate Beneficial Owner(s) of the Account 账户最终权益拥有人

Are you the ultimate beneficial owner(s) in relation to the Account? (i.e. Are you acting for your own account and not for a third party?)
 阁下是否此账户的最终实益拥有人?(即阁下是否为本身而并非为第三者运作此账户?)

☐ Yes 是
☐ No, details of the ultimate beneficial owner(s) is/are, 否, 账户的最终实益拥有人是
 (Please provide a copy of the ID card or Passport of the ultimate beneficial owner. 请提供最终受益人的身份证或护照副本。)
 Name ID/Passport No. Address
 名称 身份证/护照号码 地址

D. Authorized Person 获授权人士

Is the account operated by the Authorized Person? 客户持有人之账户是否由授权人士操作?

☐ No 不是
☐ Yes 是 (Please fill in Authorization for Third Party to Operate Account 请填上授权第三者操作账户授权书)

E. Investment Experiences and Objectives 投资经验及目的

First Joint Account Holder 第一账户持有人	Second Joint Account Holder 联名账户第二持有人
1. Investment Objectives 投资目标 ☐ Dividend Income 股息收入 ☐ Hedging 对冲 ☐ Capital Gain 资本增长 ☐ Speculative 投机 ☐ Others (Please specify) 其他 (请说明): _____	1. Investment Objectives 投资目标 ☐ Dividend Income 股息收入 ☐ Hedging 对冲 ☐ Capital Gain 资本增长 ☐ Speculative 投机 ☐ Others (Please specify) 其他 (请说明): _____
2. Investment Experiences (may choose more than one option) 投资经验:(可选择一项或多项) ☐ HK Listed Stocks 香港上市股票 ☐ Overseas Listed Stocks 海外上市股票 ☐ China A-shares 中国 A 股 ☐ HK Futures & Options 香港期货及期权 ☐ Overseas Futures & Options 海外期货及期权 ☐ Mutual Funds or Unit Trust 互惠基金或单位信托 ☐ Bonds 债券 ☐ Others (Please specify) 其他 (请说明): _____ ☐ None 没有	2. Investment Experiences (may choose more than one option) 投资经验:(可选择一项或多项) ☐ HK Listed Stocks 香港上市股票 ☐ Overseas Listed Stocks 海外上市股票 ☐ China A-shares 中国 A 股 ☐ HK Futures & Options 香港期货及期权 ☐ Overseas Futures & Options 海外期货及期权 ☐ Mutual Funds or Unit Trust 互惠基金或单位信托 ☐ Bonds 债券 ☐ Others (Please specify) 其他 (请说明): _____ ☐ None 没有
3. Years of Experiences 投资经验年资: ☐ None 没有 ☐ 1-3 years 一至三年 ☐ 4-6 years 四至六年 ☐ 7-9 years 七至九年 ☐ Over 10 years 超过十年	3. Years of Experiences 投资经验年资: ☐ None 没有 ☐ 1-3 years 一至三年 ☐ 4-6 years 四至六年 ☐ 7-9 years 七至九年 ☐ Over 10 years 超过十年

E.1 Knowledge of Structured or Derivative Products 对结构性或衍生产品知识				
First Joint Account Holder 第一账户持有人		Second Joint Account Holder 联名账户第二持有人		
1. Has any of your previous trading experience ever been related to structured or derivative product(s)? 您以往曾否有买卖结构性或衍生产品的经验? ☐ No 否 ☐ Yes 是 please state the structured or derivative product(s) you traded (may choose more than one option) 请提供有关的产品名称 (可选择一项或多项) ☐ Exchange Traded Convertible Bonds 交易所买卖换股债券 ☐ Derivative Warrants 衍生认股证 ☐ Callable Bull/Bear Contracts (CBBC) 牛熊证 ☐ Exchange Traded Funds (ETF) 交易所买卖基金 ☐ Futures and Options 期货或期权合约交易 ☐ Stock Options 股票期权 ☐ Equity Linked Instruments / Notes (ELI/ELN) 股票挂钩产品 ☐ Others 其他: _____		1. Has any of your previous trading experience ever been related to structured or derivative product(s)? 您以往曾否有买卖结构性或衍生产品的经验? ☐ No 否 ☐ Yes 是 please state the structured or derivative product(s) you traded (may choose more than one option) 请提供有关的产品名称 (可选择一项或多项) ☐ Exchange Traded Convertible Bonds 交易所买卖换股债券 ☐ Derivative Warrants 衍生认股证 ☐ Callable Bull/Bear Contracts (CBBC) 牛熊证 ☐ Exchange Traded Funds (ETF) 交易所买卖基金 ☐ Futures and Options 期货或期权合约交易 ☐ Stock Options 股票期权 ☐ Equity Linked Instruments / Notes (ELI/ELN) 股票挂钩产品 ☐ Others 其他: _____		
2. Have you undergone training or attended courses on structured or derivative product(s)? 您以往曾否接受有关结构性或衍生产品的培训或修读相关课程? ☐ No 否 ☐ Yes 是 please state the name and date of the trainings/courses 请提供培训或修读课程之名称及日期: _____		2. Have you undergone training or attended courses on structured or derivative product(s)? 您以往曾否接受有关结构性或衍生产品的培训或修读相关课程? ☐ No 否 ☐ Yes 是 please state the name and date of the trainings/courses 请提供培训或修读课程之名称及日期: _____		
3. Do you have current or previous work experience relating to structured or derivative products? 你现时或过去有没有与结构性或衍生产品有关的工作经验? ☐ No 否 ☐ Yes 是, please specify 请说明: Employer 雇主: _____ Department and position 部门及职位: _____		3. Do you have current or previous work experience relating to structured or derivative products? 你现时或过去有没有与结构性或衍生产品有关的工作经验? ☐ No 否 ☐ Yes 是, please specify 请说明: Employer 雇主: _____ Department and position 部门及职位: _____		
4. Have you executed five or more transactions in structured or derivative products within the past three years? 你曾否在以往三年内执行过五宗或以上结构性或衍生产品交易? ☐ No 否 ☐ Yes 是, please specify 请说明: Relevant Financial institution(s) 相关金融机构: _____ Product Type 产品种类: _____ Trading Period 交易日期: _____(mm/yyyy) to _____(mm/yyyy) _____年____月 至 _____年____月		4. Have you executed five or more transactions in structured or derivative products within the past three years? 你曾否在以往三年内执行过五宗或以上结构性或衍生产品交易? ☐ No 否 ☐ Yes 是, please specify 请说明: Relevant Financial institution(s) 相关金融机构: _____ Product Type 产品种类: _____ Trading Period 交易日期: _____(mm/yyyy) to _____(mm/yyyy) _____年____月 至 _____年____月		
For clients who do not have any of the above-mentioned derivative products knowledge and experience, such clients will be considered as without knowledge of structured and / or derivatives product(s). Before trading in structured and/ or derivative product(s), the Client has read and understood the risks disclosure statements of Derivatives traded on Exchange included in the Client Agreement and agree to bear the risks involved. 如客户没有以上任何一项结构性及/或衍生工具产品的经验及认识, 客户将被视作没有结构性及/或衍生工具产品认识。在客户买卖结构性及/或衍生工具产品之前, 客户就此确认已阅读及理解包括于客户协议中有关在交易所买卖的衍生产品的风险披露声明, 并同意承担有关风险。 ☐ We agree to bear the risks involved. 本人/吾等同意承担有关风险。				
E2. Investment Profile Questionnaire 投资取向问卷				
1.	What is your age? 你的年龄是?			
	☐ A. 65 or above ☐ B. 56-64 ☐ C. 46-55 ☐ D. 36-45 ☐ E. 18-35	[1] [2] [3] [4] [5]	☐ A. 65 or above ☐ B. 56-64 ☐ C. 46-55 ☐ D. 36-45 ☐ E. 18-35	[1] [2] [3] [4] [5]

2.	What is your highest education level? 你的教育程度是?			
	☐ A. Primary or below 小学或以下 ☐ B. Secondary 中学 ☐ C. Post-secondary 大专 ☐ D. Non-finance related degree or above 大学或以上(非财务学相关) ☐ Finance degree or above/ equivalent finance professional qualification 大学或以上(财务学相关)/同等财务学相关专业资格	[1] [2] [3] [4] [5]	☐ A. Primary or below 小学或以下 ☐ B. Secondary 中学 ☐ C. Post-secondary 大专 ☐ D. Non-finance related degree or above 大学或以上(非财务学相关) ☐ Finance degree or above/ equivalent finance professional qualification 大学或以上(财务学相关)/同等财务学相关专业资格	[1] [2] [3] [4] [5]
3.	Which of the following statements could best describe your attitude towards investment risk? 以下哪一段陈述最能反映你对投资风险的态度?			
	☐ A. I am not willing to accept any risk. 我不愿意承受任何风险 ☐ B. I am trying to avoid risks but minor ones are still acceptable. 我会尽量回避风险, 但可承受较低的风险 ☐ C. I am trying to strike a balance between risks and returns. 我会平衡风险与回报 ☐ D. I am willing to accept more risks, as I aim for more returns. 我愿意承受较高的风险, 以换取更高回报 ☐ E. I never consider risks, as I aim to maximize returns. 我不会考虑风险, 务求得到最高回报	[1] [2] [3] [4] [5]	☐ A. I am not willing to accept any risk. 我不愿意承受任何风险 ☐ B. I am trying to avoid risks but minor ones are still acceptable. 我会尽量回避风险, 但可承受较低的风险 ☐ C. I am trying to strike a balance between risks and returns. 我会平衡风险与回报 ☐ D. I am willing to accept more risks, as I aim for more returns. 我愿意承受较高的风险, 以换取更高回报 ☐ E. I never consider risks, as I aim to maximize returns. 我不会考虑风险, 务求得到最高回报	[1] [2] [3] [4] [5]
4.	Which of the following annual price fluctuations would be acceptable to you? 你可以接受以下哪个年度的价格波幅?			
	☐ A. No price fluctuation 没有价格波幅 ☐ B. Price fluctuates between -5% to +5% 价格波幅介乎-5%至+5% ☐ C. Price fluctuates between -10% to +10% 价格波幅介乎-10%至+10% ☐ D. Price fluctuates between -15% to +15% 价格波幅介乎-15%至+15% ☐ E. Price fluctuates between -20% to +20% 价格波幅介乎-20%至+20%	[1] [2] [3] [4] [5]	☐ A. No price fluctuation 没有价格波幅 ☐ B. Price fluctuates between -5% to +5% 价格波幅介乎-5%至+5% ☐ C. Price fluctuates between -10% to +10% 价格波幅介乎-10%至+10% ☐ D. Price fluctuates between -15% to +15% 价格波幅介乎-15%至+15% ☐ E. Price fluctuates between -20% to +20% 价格波幅介乎-20%至+20%	[1] [2] [3] [4] [5]
5.	What portion of your overall income is available for investment each month? 你的整体收入有多少可用于投资?			
	☐ A. Less than 10% 少于 10% ☐ B. 10% - 29% ☐ C. 30% - 49% ☐ D. 50% - 69% ☐ E. 70% or above 多于 70%	[1] [2] [3] [4] [5]	☐ A. Less than 10% 少于 10% ☐ B. 10% - 29% ☐ C. 30% - 49% ☐ D. 50% - 69% ☐ E. 70% or above 多于 70%	[1] [2] [3] [4] [5]
6.	How many months of your household expenses could be covered by your reserve to meet unforeseen events? 你的储备金可以支付多少个月的家庭费用以应对意外事件?			
	☐ A. None 没有 ☐ B. Less than 3 months 少于 3 个月 ☐ C. 3 - 6 months 3 -6 个月 ☐ D. 7 - 12 months 7 -12 个月 ☐ E. More than 12 months 多于 12 个月	[1] [2] [3] [4] [5]	☐ A. None 没有 ☐ B. Less than 3 months 少于 3 个月 ☐ C. 3 - 6 months 3 -6 个月 ☐ D. 7 - 12 months 7 -12 个月 ☐ E. More than 12 months 多于 12 个月	[1] [2] [3] [4] [5]
7.	What do you expect on your future monthly investable amount over the next 5 years? 你预计未来 5 年每月可投资之金额会怎样?			
	☐ A. The monthly investable amount will decrease sharply 每月可投资之金额会大幅减少 ☐ B. The monthly investable amount will decrease 每月可投资之金额会减少 ☐ C. The monthly investable amount will remain unchanged 每月可投资之金额会维持不变 ☐ D. The monthly investable amount will increase gradually 每月可投资之金额会逐渐上升 ☐ E. The monthly investable amount will increase sharply 每月可投资之金额会急升	[1] [2] [3] [4] [5]	☐ A. The monthly investable amount will decrease sharply 每月可投资之金额会大幅减少 ☐ B. The monthly investable amount will decrease 每月可投资之金额会减少 ☐ C. The monthly investable amount will remain unchanged 每月可投资之金额会维持不变 ☐ D. The monthly investable amount will increase gradually 每月可投资之金额会逐渐上升 ☐ E. The monthly investable amount will increase sharply 每月可投资之金额会急升	[1] [2] [3] [4] [5]
The total source of your overall risk tolerance level is 阁下的整体风险承受能力的总得分是			The total source of your overall risk tolerance level is 阁下的整体风险承受能力的总得分是	

A/C 1 账户	Overall Risk Tolerance Level 整体风险承受能力	A/C 2 账户
☐	Investor profile 1 - Safety Oriented 投资者类型 1 - 谨慎型 (≤7) Risk tolerance level 风险承受程度: You prefer investments with negligible price movements which can normally be sold within a week or promise to repay what you invest within a year. 你倾向于价格变动较少, 并在一般情况下可在少于一星期内出售或承诺于一年内取回投资本金的投资产品。 Investment objectives 投资目标: This investor rating is suitable for investors that aim to protect capital and accept returns in line with savings accounts. 此投资类型适合旨在保障资金, 并愿意接受与储蓄账户相约回报的投资者。	☐
☐	Investor profile 2 - Conservative 投资者类型 2 - 保守型 (8-14) Risk tolerance level 风险承受程度: You can tolerate investments within limited negative price movements which can normally be sold within a week for a price that is close to the recent market average. 你可接受您的投资出现有限度的价格不利变动, 并通常可在一星期内出售及以接近平均市价出售的投资产品。 Investment objectives 投资目标: This investor rating is suitable for investors that aim primarily for regular income returns along with some capital appreciation as a secondary option. 此投资类型适合旨在追求经常性收入, 及同时获取一些资本增值的投资者。	☐
☐	Investor profile 3 - Moderate 投资者类型 3 - 平衡型 (15-21) Risk tolerance level 风险承受程度: You can tolerate investments with moderate negative price movements which can normally be sold within a week for a price that is close to the recent market average. 你可接受您的投资出现适度的价格不利变动, 并通常可在一星期内出售及以接近平均市价出售的投资产品。 Investment objectives 投资目标: This investor rating is suitable for investors that aim for both regular income returns and capital appreciation. 此投资类型适合旨在追求经常性收入及资本增值的投资者。	☐
☐	Investor profile 4 - Aggressive 投资者类型 4 - 进取型 (22-28) Risk tolerance level 风险承受程度: You can tolerate investments with substantial negative price movements that may have a small risk of losing their entire value and may be difficult to sell or may only be sold at a price below the recent market average. 你可接受有大幅度价格不利变动, 可能有少许风险会丧失全部价值, 并可能难以出售或有机会只可按低于近期平均市价出售的投资产品。 Investment objectives 投资目标: This investor rating is suitable for investors that aim primarily for capital appreciation and no or little regular income returns. 此投资类型适合旨在追求资本增值, 而非经常性收入的投资者。	☐
☐	Investor profile 4 - Aggressive 投资者类型 4 - 进取型 (22-28) Risk tolerance level 风险承受程度: You can tolerate investments with substantial negative price movements that may have a small risk of losing their entire value and may be difficult to sell or may only be sold at a price below the recent market average. 你可接受有大幅度价格不利变动, 可能有少许风险会丧失全部价值, 并可能难以出售或有机会只可按低于近期平均市价出售的投资产品。 Investment objectives 投资目标: This investor rating is suitable for investors that aim primarily for capital appreciation and no or little regular income returns. 此投资类型适合旨在追求资本增值, 而非经常性收入的投资者。	☐
☐	Investor profile 5 - Specialised Investing 投资者类型 5 - 专业性投资型 (29-35) Risk tolerance level 风险承受程度: You can tolerate investments that may have a high risk of losing their entire value or even more than your initial investment and may have a highly uncertain value at any given time and also be very difficult or impossible to sell over an extended period. 你可接受可能有高风险会丧失全部价值或有关损失会超出你原本的投资金额、可能在任何特定时间内价值不明确, 而非非常困难或不可能在一段较长的时间内出售的投资产品。 Investment objectives 投资目标: This investor rating is suitable for investors that seek very aggressive capital appreciation over time with investments that may not be liquidated before maturity. 此投资类型适合追求可能不容许于到期日前变现, 并非常进取的长线资本增值的投资者。	☐
Client's Declaration 客户声明 I / We hereby declare and agree that all the information given above is complete, true and accurate, and is given to the best of my knowledge. I / We acknowledge that a copy of "Client Risk Profiling Questionnaire – Investment Products" has been given to me. 本人/吾等谨此声明并同意上述所有数据均是完整、真实及准确, 并且是尽本人所知而作答。本人/吾等确认收到「投资产品 – 风险承受能力问卷」的副本。 ☐ I / We agree and accept the above assessment of my investment profile. 本人/吾等同意并接受上述对本人的投资类型的评估。 ☐ I / We disagree with the above assessment of my investment profile and my investment profile should be: (Please explain in detail.) 本人/吾等不同意上述对本人的投资类型的评估, 且认为本人的投资类型应为: (请详细解释。)		
Applicable to Account Holder of a joint account I / We acknowledge that (1) each account holder must complete a "Investment Profile Questionnaire" for investing through the joint account; and (2) the Delta Asia Securities Limited will use the most conservative risk tolerance profile among all joint account holders for joint accounts. 适用于联名户口持有人 本人/吾等确认: (1) 联名户口的每位户口持有人透过联名户口作出投资前, 必须各自填妥本问卷; (2) 在联名户口的每位户口持有人各自最近在本问就该联名户口所作评估的整体结果中, 汇业证券有限公司会以最保守的风险承受取向作为依据。		

F. Self-Certification of Common Reporting Standard 共同汇报标准自我证明

Important Notes 重要提示:

- ✧ This is a self-certification provided by an account holder to a reporting financial institution for the purpose of automatic exchange of financial account information. The data collected may be transmitted by the reporting financial institution to the Inland Revenue Department for transfer to the tax authority of another jurisdiction.
这是由账户持有人向申报财务机构提供的自我证明,以作自动交换财务账户数据用途。申报财务机构可把收集所得的资料交给税务局,税务局会将资料转交到另一税务管辖区的税务当局。
- ✧ An account holder should report all changes in his/her tax residency status to Delta Asia Securities Limited.
账户持有人应向汇业证券有限公司申报其税务居民身份的所有变化。

Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN")

居留司法管辖区及税务编号或具有等同功能的识别编号 (以下简称「税务编号」)

如账户持有人的税务居民身分有所改变, 应尽快将所有变更通知申报财务机构。

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder's TIN for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence.
提供以下数据, 列明 (a) 账户持有人的居留司法管辖区, 亦即账户持有人的税务管辖区 (香港包括在内) 及 (b) 该居留司法管辖区发给账户持有人的税务编号。列出所有 (不限于 5 个) 居留司法管辖区。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Business Registration Number.
如账户持有人是香港税务居民, 税务编号是其香港商业登记号码。

If the account holder is not a tax resident in any jurisdiction (e.g. fiscally transparent), indicate the jurisdiction in which its place of effective management is situated.
如果账户持有人并非任何税务管辖区的税务居民 (例如: 它是财政透明实体), 填写实际管理机构所在的税务管辖区。

If a TIN is unavailable, provide the appropriate reason A, B or C:
如没有提供税务编号, 必须填写合适的理由:

Reason 理由 A - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.
账户持有人的居留司法管辖区并没有向其居民发出税务编号。

Reason 理由 B - The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.
账户持有人不能取得税务编号。如选取这一理由, 解释账户持有人不能取得税务编号的原因。

Reason 理由 C - TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.
账户持有人毋须提供税务编号。居留司法管辖区的主管机关不需要账户持有人披露税务编号。

Individual / First Joint Account Holder's Data 个人/联名账户第一持有人之数据

Jurisdiction of Residence 居留司法管辖区	TIN 税务编号	Enter Reason A, B or C if no TIN is available 如没有提供税务编号, 填写理由 A、B 或 C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如选取理由 B, 解释账户持有人不能取得税务编号的原因
(1)			
(2)			
(3)			
(4)			

Second Account Holder 第二账户持有人/ 联名账户第二持有人之数据

Jurisdiction of Residence 居留司法管辖区	TIN 税务编号	Enter Reason A, B or C if no TIN is available 如没有提供税务编号, 填写理由 A、B 或 C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如选取理由 B, 解释账户持有人不能取得税务编号的原因
(1)			
(2)			
(3)			
(4)			

Notice: If you are not a tax resident of the jurisdiction where you currently reside (i.e. if you are not a tax resident of the jurisdiction of the current residence address declared by you in Section 1), please complete a Reasonable Explanation Form.
注意: 如阁下并不是目前居留司法管辖区的税务居民(即如阁下并不属于第一部分填写的现时住址的司法管辖区的税务居民), 请填写一份合理解释表格。

Client's Declarations 声明

I / We acknowledge and agree that (a) the information contained in this form is collected and may be kept by Delta Asia Securities Limited for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

I / We certify that I / We am/are the controlling person / I / We am/are authorized to sign for the controlling person # of all the account(s) held by the entity account holder(s) to which this form relates.

I / We undertake to advise Delta Asia Securities Limited of any change in circumstances which affects the tax residency status of the individual identified in Part I of this form or causes the information contained herein to become incorrect, and to provide Delta Asia Securities Limited with a suitably updated self-certification form within 30 days of such change in circumstances.

I / We declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

本人/吾等知悉及同意，汇业证券有限公司可根据《税务条例》(第 112 章)有关交换财务账户资料的法律条文，(a) 收集本表格所载数据并可备存作自动交换财务账户数据用途及 (b) 把该等资料和关于账户持有人及任何须申报账户的资料向香港特别行政区政府税务局申报，从而把资料转交到账户持有人的居留司法管辖区的税务当局。

本人/吾等证明，就与本表格所有相关的实体账户持有人所持有的账户，本人/吾等是控权人 / 本人/吾等获控权人授权签署本表格。

本人/吾等承诺，如情况有所改变，以致影响本表格第 1 部所述的个人的税务居民身分，或引致本表格所载的数据不正确，本人/吾等会通知汇业证券有限公司，并会在情况发生改变后 30 日内，向汇业证券有限公司提交一份已适当更新的自我证明表格。

本人/吾等声明就本人/吾等所知所信，本表格内所填报的所有数据和声明均属真实、正确和完备。

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).

警告：根据《税务条例》第 80(2E)条，如任何人在作出自我证明时，在明知一项陈述在要项上属具误导性、虚假或不正确，或罔顾一项陈述是否在要项上属具误导性、虚假或不正确下，作出该项陈述，即属犯罪。一经定罪，可处第 3 级（即\$10,000）罚款。

G. Self-Certification of U.S. Resident / Citizen 美国居民/公民自我证明

1. Are you a U.S. person (including a U.S. Resident / U.S. Citizen / U.S. Permanent Resident / U.S. Green Card Holder / U.S. Resident Alien)? 您是否为美国人士（包括美国居民/美国公民/美国永久居民/美国绿卡持有人/美国定居之外国人）？

☐ No 否 ☐ Yes 是

Please provide your U.S. Taxpayer Identification No. (TIN) 请提供阁下的美国税务编号：

1. Are you a U.S. person (including a U.S. Resident / U.S. Citizen / U.S. Permanent Resident / U.S. Green Card Holder / U.S. Resident Alien)? 您是否为美国人士（包括美国居民/美国公民/美国永久居民/美国绿卡持有人/美国定居之外国人）？

☐ No 否 ☐ Yes 是

Please provide your U.S. Taxpayer Identification No. (TIN) 请提供阁下的美国税务编号：

H. Disclosure of Information 资料披露

1. Do you, the ultimate beneficial owner of the Account, or your spouse, partner, child, parent, spouse or partner of your child, or a closely associate with him entrusted or has been entrusted with a prominent public function, which includes a head of state, head of government, judicial or military official, senior executive of a state-owned corporation or an important political party official?

本人或最终实益拥有人，或其配偶、伴侣、子女或父母，或其子女的配偶或伴侣，或与其关系密切的人，是否担任或曾担任重要公职，包括国家元首、政府首长、司法或军事官员、国有企业高级行政人员或重要政党干事？

☐ No 不是

☐ Yes 是, Please specify 请注明: _____

2. Are you an employee of a licensed corporation under the Securities and Futures Ordinance, or a registered institution under the Banking Ordinance (whether you are currently a SFC licensed representative/ HKMA registered person or not)?

阁下是否为证券及期货注册持牌法团或银行业条例之注册机构的雇员？(包括现时为证监会持牌代表/金管局注册人员)

☐ No 不是

☐ Yes 是

Licensed Corporation/ Registered Institution Name

持牌法团/ 注册机构名称: _____ (CE No. 中央编号) _____

Position

CE No.:

职位: _____

中央编号: _____ (雇员 Employee)

(You must provide written approval from your accredited licensed corporation or registered institution)

(必须出示所属持牌法团或注册机构之授权信)

3. Do you, the ultimate beneficial owner(s), and/or ultimate instructor(s) have any relationship with any director or employee of DAS and / or its affiliates?
 閣下，此账户最终权益拥有人及/或就此账户进行交易的最終负责发出指示人仕，与汇业证券及/或其联属公司之董事或职员是否有亲属关系？

☐ No 不是

☐ Yes 是, Please specify 请注明: Name of Director/Employee 董事或职员名称: Relationship 关系:

4. Are you, either alone or with your spouse, in control of 35% or more of the voting rights of any corporate margin account of DAS and / or its affiliates?
 閣下是否单独或閣下的配偶共同控制任何汇业证券及/或其联属公司之保证金账户 35% 或以上投票权？

☐ No 否

☐ Yes 是, Please specify 请注明: Name of Spouse 配偶名称: Account No. 账户号码:

5. Does your spouse have a margin account with DAS and / or its affiliates?
 閣下的配偶是否汇业证券及/或其联属公司之保证金客户？

☐ No 否

☐ Yes 是, Please specify 请注明: Name of Spouse 配偶名称: Account No. 账户号码:

6. Are you, the ultimate beneficial owner(s) of the Account(s) or the person ultimately responsible for originating instructions for the Account(s), the nature of business particularly susceptible to money laundering risk (e.g. money service or gaming business that handles large amount of cash)?
 閣下，此账户最终实益拥有人或此账户进行交易的最終负责发出指示人士的业务性质，是否特别容易蒙受较高的洗黑钱风险(如处理大量现金交易的金钱服务业或博彩业)？

☐ No 不是 ☐ Yes 是, (Pls. Specify 请说明):

7. Do you maintain any other account(s) with DAS and / or its affiliates?
 閣下现时是否已持有汇业证券及/或其联属公司之账户？

☐ No 否

☐ Yes, please provide details 是，请提供详细资料:

Account Name 账户名称	
Account Type 账户类别	
Account No. 账户号码	

I. Client's Consent to Use of Personal Data 个人资料使用同意书

I / We have carefully read, fully understood and agreed to accept and be bound by the Notice and Statement Relating to the Personal Data (Privacy) Ordinance (Cap. 486 of the Laws of Hong Kong) as set out in Part VII of the Client Agreement. In particular, 本人/吾等已仔细阅读，完全理解并同意接受并遵守载于客户协议第七部份有关个人资料(私隐)条例 (香港法例第 486 章) 的通知及声明，由是，

☐ I / We hereby consent to the use of my/our Client Information for direct marketing directly related to the opening or continuation of my/our accounts with DAS and the provision of financial services by DAS to me/us.
 本人/吾等同意使用本人/吾等的客户数据作为与本人/吾等于汇业证券开立或继续维持账户，及汇业证券向本人/吾等提供金融服务有关的直接促销之用。

☐ I / We hereby consent to the use of my/our Client Information for direct marketing by DAS, any of its affiliates or other carefully selected financial, insurance or other service providers of other financial and insurance and/or services not directly related to the opening or continuation of my/our accounts with DAS and the provision of financial services by DAS to me/us.
 本人/吾等同意汇业证券及/或其任何联属公司或其他仔细挑选之金融、保险或产品供货商使用本人/吾等的客户数据作为直接促销与本人/吾等于汇业证券开立或继续维持账户，及汇业证券向本人/吾等提供金融服务无关的其他金融、保险或产品供货商之用。

**J. Personal Information Collection Statement under Hong Kong Investor Identification Regime (HKIDR) and Over-the-counter Securities Transactions Reporting Regime (OTCR)
 香港投资者标识符制度及场外证券交易汇报制度 - 个人资料收集声明**

You (all of the undersigned persons) acknowledge and agree that we Delta Asia Securities Limited, may collect, store, process, use, disclose and transfer personal data relating to you (including your CID and BCAN(s)) as required for us to provide services to you in relation to securities listed or traded on the Stock Exchange of Hong Kong (SEHK) and for complying with the rules and requirements of SEHK and the Securities and Futures Commission (SFC) in effect from time to time. Without limiting the foregoing, this includes:

- (a) disclosing and transferring your personal data (including CID and BCAN(s)) to SEHK and/or the SFC in accordance with the rules and requirements of SEHK and the SFC in effect from time to time;
- (b) allowing SEHK to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK; and (ii) disclose and transfer such information to the relevant regulators and law enforcement agencies in Hong Kong (including, but not limited to, the SFC) so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets; and (iii) use such information for conducting analysis for the purposes of market oversight; and
- (c) allowing the SFC to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for the performance of its statutory functions including monitoring, surveillance and enforcement functions with respect to the Hong Kong financial markets; and (ii) disclose and transfer such information to relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements.

You also agree that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.

Failure to provide us with your personal data or consent as described above may mean that we will not, or will no longer be able to, as the case may be, carry out your trading instructions or provide you with securities related services (other than to sell, transfer out or withdraw your existing holdings of securities, if any).

閣下（以下所有簽名人士）明白并同意，我們（匯業證券有限公司）為了向閣下提供與在香港聯合交易所（聯交所）上市或買賣的證券相關的服務，以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會（证监会）的規則和規定，我們可收集、儲存、處理、使用、披露及轉移與閣下有關的個人資料（包括閣下的客戶識別信息及券商客戶編碼）。在不限制以上的內容的前提下，當中包括：

- (a) 根據不時生效的聯交所及证监会規則和規定，向聯交所及/或证监会披露及轉移閣下的個人資料（包括客戶識別信息及券商客戶編碼）；
- (b) 允許聯交所：(i)收集、儲存、處理及使用閣下的個人資料（包括客戶識別信息及券商客戶編碼），以便監察和監管市場及執行《聯交所規則》；(ii)向香港相關監管機構和執法機構（包括但不限于证监会）披露及轉移有關資料，以便他們就香港金融市場履行其法定職能；及(iii)為監察市場目的而使用有關數據進行分析；及
- (c) 允許证监会：(i)收集、儲存、處理及使用閣下的個人資料（包括客戶識別信息及券商客戶編碼），以便其履行法定職能，包括對香港金融市場的監管、監察及執法職能；及(ii)根據適用法例或監管規定向香港相關監管機構和執法機構披露及轉移有關資料。

閣下亦同意，即使閣下其後宣稱撤回同意，我們在閣下宣稱撤回同意后，仍可繼續儲存、處理、使用、披露或轉移閣下的個人資料以作上述用途。

閣下如未能向我們提供個人資料或上述同意，可能意味着我們不會或不能夠再（視情況而定）執行閣下的交易指示或向閣下提供證券相關服務，惟出售、轉出或提取閣下現有的證券持仓（如有）除外。

Acknowledgement and Consent 确认及同意

- ☐ I / We confirm that I / We have read and understood the content of “Personal Information Collection Statement under Hong Kong Investor Identification Regime (HKIDR) and Over-the counter Securities Transactions Reporting Regime (OTCR)” issued by Delta Asia Securities Limited and I / We agree to the Company’s use my/our personal data for the purposes set out in this statement.
本人/吾等确认已阅读并理解致匯業證券有限公司之《香港投資者標識符制度及场外證券交易汇报制度 - 个人资料收集聲明》内容及本人/吾等同意致匯業證券有限公司之个人资料用于本声明所述之目的。

K. Client’s Declaration, Acknowledgement and Consent 客户声明、确认及承诺

Application of Account Opening and Information Provided 账户开立申请及数据提供

I / We represent that the information on this Account Opening Form and relevant Forms is true, complete and correct and that I / We have not willfully withheld any material fact(s). I / We request you to open a Cash Securities Account / Margin Securities Account / Stock Options Account / Futures and Options Account (“the Account”) and agree to all the terms of the Agreement and to abide by the Agreement (including the General Terms and Conditions of the Client Agreement), the rules and regulations of Securities and Futures Ordinance, Hong Kong Exchange and Clearing Limited or any other regulatory body(ies) as amended from time to time governing the transactions in the Account. DAS is / are entitled to rely fully on such information and representations for all purposes, unless it receives notice in writing of any change. DAS are authorized at any time to contact anyone, including my / our banks, brokers or any credit agency for the purpose of verifying the information provided on this Account Opening Form. I / We also understand that DAS will rely on the above information of Investment Experience and Product Knowledge provided to assess whether I / we have acquired knowledge of derivative products, in order to comply with relevant requirements of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.

本人/吾等兹声明在开户申请书及相关表格所提供之数据全部为真实、完整及正确，本人/吾等并未刻意隐瞒任何重要事实。本人/吾等向贵公司申请开立现金证券账户/保证金证券账户/股票期权账户/期货及指数期权账户（“该账户”）和同意遵守客户协议（包括客户协议书之一般条款）的所有条款并同意遵守证券及期货条例、香港交易所有限公司及其他监管机构不时修定以规管于该账户进行的交易之条例及规则。除非匯業證券接到更改有关本开户申请书内容的书面通知，否则上述公司有权完全依赖此等资料及声明作一切用途。上述公司获授权可随时就核对本数据事宜，与任何人包括本人/吾等之银行、经纪或任何信用机构进行咨询。本人/吾等亦明白匯業證券根据上述投资经验及对产品认识内的数据介定本人/吾等是否拥有对衍生产品之认识，以符合证券及期货事务监察委员会持牌人或注册人操守准则之有关要求。

Risk of E-Statement Service 电子结算单的风险

I / We hereby acknowledge that Access to the internet or other electronic medium may be limited or unavailable during periods of peak demand, market volatility, systems upgrades or maintenance or for other reasons. Any communication through the internet or other electronic medium may be subject to interruption, transmission blackout, and delayed transmission due to unpredictable traffic congestion and other reasons beyond the licensed or registered person’s control. Internet is, due to technical limitation, an inherently unreliable medium of communication. As a result of such unreliability, there may be delays in the transmission and receipt of information. The statements may not be sent to the designed email address at all. Moreover, communications and personal data may be accessed by unauthorized third parties, and there are risks of misunderstanding or error in any communication and that such risks shall be absolutely borne by me/us.

本人/吾等谨此承认互联网及其他电子媒介的接达可能因为高峰期、市场波动、系统升级或维修或因其他原因而受到限制或未能提供。透过互联网及其他电子媒介进行的任何通信可能会受到干扰、出现传输中断，及由于未能预测的互联网通信量或因其他不受持牌人或注册人控制的原因而导致传输延误。基于技术所限，互联网本身为不可靠的通信媒介。因此，可能会出现信息传输及接收之延误，以及结算单未必

能传送到指定的电邮账号。此外，未经授权第三方可能获得通讯及个人资料，及本人/吾等须要完全承担任何误解通信或通信错误之风险。

Additional Statement (For Futures Trading Account) 附加声明 (只适用于期货账户)

I / We agree to read the reporting requirements and the responsibilities of reporting set out in the Futures (Contract Limits and Reportable Position) Rules and related guidance notes issued by the Securities and Futures Commission. I / We agree to make the relevant notification and fulfil the responsibilities as required by the Futures (Contract Limits and Reportable Position) Rules and SFC and HKFE. I / We understand that I / we may also directly access all relevant information at the Web-site of Securities and Futures Commission or at the Web-site of HKEx.

本人/吾等同意细阅列于期货(合约限量及须申报的持仓量)规则及由证监会发出的有关指引的申报规则及责任。本人/吾等同意依据期货(合约限量及须申报的持仓量)规则、证监会及香港期货交易所之要求作出申报及完成有关责任。本人/吾等明白所有有关数据可以由证监会及香港交易所的网页上获得。

L. Joint Account Signatures Arrangement 联名账户签署安排

- Each of the above joint account holders specified is authorized to give verbal instructions and/or instruction through the Electronic Services (where applicable) in relation to the purchase or sale of any securities for the Account(s) from time to time; and
以上每一联名账户持有人均有权为账户买卖任何证券而不时发出口头指示及/或透过电子服务(如适用)发出的指示；及
- ☐ Either one joint account holder signing singly, 其中一位联名账户持有人单独签署
☐ Both joint account holders signing jointly, 两位联名账户持有人共同签署
Validates any written instructions relating to the operation of the Account(s). 任何就账户运作之书面指示，方为有效。

M. Change of Client Signature(s) 更改客户签署式样

Please come to Delta Asia Securities Limited in person to change your signatures, otherwise please be verified by qualified Witness. 客户需亲身到汇业证券有限公司，或由符合条件的见证人核实。

(1) Signature of Individual/ First Joint Account Holder 个人/ 第一账户持有人签署	(2) Signature of Second Joint Account Holder 联名账户第二持有人签署
Name of Client 客户名称	Name of Client 客户名称
Date 日期	Date 日期

N. Signature of Account Holder(s) 账户持有人签署

(1) Signature of Individual/ First Joint Account Holder 个人/ 第一账户持有人签署	(2) Signature of Second Joint Account Holder 联名账户第二持有人签署
Name of Client 客户名称	Name of Client 客户名称
Date 日期	Date 日期

(O) Declaration by Licensed Representative 持牌代表声明

I, _____ (name of representative) have fully explained and provided the contents of the Agreement, including but not limited to this Account Opening Form, the General Terms and Conditions, the Additional Terms and Conditions, the Disclaimers, the Data Privacy Policy and the Risk Disclosure Statement to _____ (name of client) in a language which he/she/they understand(s) and have invited the client to read, ask questions and take independent advice if the client wishes.

本人 _____ (持牌代表名称)，经以他/他们明白的语言，向 _____ (客户名称)，邀请其阅读，提出问题及征求独立意见（如客户有此意愿），并已全部清楚解释协议书，当中包括，但不限于本开户表、一般条款、附加条款、免责声明、隐私政策及风险披露声明书内的内容。

Signed by Licensed Representative 持牌代表签署	SFC CE No. 证监会中央编号	Date 日期
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Note 注意:

- The terms in English version, as opposed to the Chinese translation, shall be deemed to be conclusive and definitive.
本开户表之英文本（相对中文译本而言）为确实及有最终效力。
- Any deletion or amendment must be signed by all account holders.
任何删除或修改，必须由客户签名作实。

For Office Use Only 只供本公司专用				
DAS hereby appoints the following Account Executive(s) being licensed by Securities and Futures Commission or such other licensed person as from time to time it may permit and notify the Client in writing, to be primarily responsible for the affairs of the Client in respect of the Client's account(s) with DAS:				
Name of Account Executive / Relationship Manager 经纪/客户经理名称				
	CE No. 中央编号		Contact No. 联系电话	
Document checklist 文件查核清单：				
* Please have all documents signed and marked "Certified True Copy" 请在有关文件上签署及盖上「经认证副本」印章。 ☐ ID Card / Passport Copy 身份证 / 护照副本 ☐ Address Proof (within 3 months) 地址证明 (最近三个月内) ☐ Client Standing Settlement Bank Account (Copy) 客户常设交收银行账户结单 (副本) ☐ W-8BEN Form ☐ World-Check Checking Result		<i>if applicable 如适用：</i> ☐ Authorized Person's ID Card / Passport Copy 获授权人士身份证 / 护照副本 ☐ Authorized Person's Address Proof (within 3 months) 获授权人士地址证明 (最近三个月内) ☐ W-9 Form		
Remarks 备注:				
Client Information & Document checked by 客户数据及文件核对				
Name of staff & signature 职员名称及签署 (CS)	Name:	Signature:	Date 日期	
Name of staff & signature 职员名称及签署 (LCD)	Name:	Signature:	Date 日期	
Name of staff & signature 职员名称及签署 (OP)	Name:	Signature:	Date 日期	
Basic Commission 基本佣金 (如不填写, 默认为公司基本收费)				
HK Market - Brokerage (%) 港币佣金 / 最低佣金	Phone 电话:	Internet 网上:		
US Market - Brokerage (%) 美元佣金 / 最低佣金	Phone 电话:	Internet 网上:		
Funds / Bonds – Brokerage (%) 佣金% / 最低佣金				
ELN / FCN – Brokerage (%) 佣金% / 最低佣金				
Futures Commission 期货佣金		Stock Options Commission 股票期权佣金		
Remark 备注				
ACKNOWLEDGED AND ACCEPTED BY AN AUTHORIZED SIGNATORY(IES) FOR AND ON BEHALF OF DELTA ASIA SECURITIES LIMITED 经由汇业证券有限公司之授权代表确认及接纳				
DAS Authorized Signature(s) 汇业证券授权代表签署		Name of Authorized Person 授权代表名称		Date 日期