



華泰金融控股(香港)有限公司

HUATAI FINANCIAL HOLDINGS (HONG KONG) LIMITED

Address: 62/F, The Center, 99 Queen's Road, Central, HK
Telephone: (852) 3658-6000 / Fax: (852) 2169-0770
Website: <http://www.htsc.com.hk/>

Account No.

账户号码:

Date

日期:

Account Opening Form – Individual Account

Before you complete this Account Opening Form, please read the Brokerage Terms and Conditions for Retail Clients (the “**Terms and Conditions**”). Upon Huatai Financial Holdings (Hong Kong) Limited (“**Huatai**”) accepting you as its client, this Account Opening Form, the Account Opening Letter and the Terms and Conditions (together, the “**Client Agreement**”) shall form a written legal agreement that defines Huatai’s relationship with you in respect of the account(s) and the service(s). Your signature below evidences your acceptance of the terms in the Client Agreement. In this Account Opening Form, unless the context otherwise requires, each defined term shall bear the meaning given to it in the Terms and Conditions.

Required Documents

Please provide and attach the following documents for the account applicant:

- 1 Photocopy of a valid proof of identity (e.g. PRC Resident Identity Card, Passport, or Hong Kong Identity Cards (including Permanent and Non-permanent)).
- 2 Photocopy of proof of bank account (bank statement, ATM card or bank book). The account holder's name and account number must be shown on the same page of the proof, and they must be identical to the applicant's name and client bank account number provided in this Account Opening Form.
- 3 Photocopy of proof of residential address issued within the last 3 months (such as PRC Resident Identity Card, bank statement, utilities bill). The address on the address proof must be the same as the current residential address provided in this Account Opening Form.

Client Details	
Chinese Name	English Name/ English Pinyin of Name
Gender <input type="checkbox"/> Male <input type="checkbox"/> Female	Date of Birth (dd/mm/yyyy)
Nationality	Country or Place of Residence
Identity Document No.	
Identity Document Expiration Date / <input type="checkbox"/> No Expiration Date	
Current Residential Address (P.O. Box is not accepted)	
Mailing Address (if different from Current Residential Address) (P.O. Box is not accepted)	
Household Registration Address/ Permanent Residential Address (if different from Current Residential Address) (P.O. Box is not accepted)	

Mobile Phone No.	Other Telephone No.
Email	
<i>(Please note Huatai will send the electronic combined statements, monthly statements and contract notes to you via this email address in case you do not apply the e-Statement service.)</i>	

Employment Information	
Employment Status <input type="checkbox"/> Self-Employed <input type="checkbox"/> Full-time Employed <input type="checkbox"/> Part-time Employed <input type="checkbox"/> Student <input type="checkbox"/> Homemaker <input type="checkbox"/> Unemployed* <input type="checkbox"/> Retired* <input type="checkbox"/> Others <i>(please specify)</i> : <i>(* If you are unemployed or have retired, please provide your most recent employment information.)</i>	Employer
Occupation	Position
Length of Employment	Work Location (Country or Place) <input type="checkbox"/> PRC (Province & City) <input type="checkbox"/> Others <i>(please specify)</i> :
Education Background <input type="checkbox"/> Primary School or below <input type="checkbox"/> Secondary School <input type="checkbox"/> University or above <input type="checkbox"/> Others <i>(please specify)</i> :	
Are you a politically exposed person*? <input type="checkbox"/> Yes <input type="checkbox"/> No * <i>Appointed to important public offices (e.g. head of state or government, important politician, senior government official, senior judicial official, senior military officer, senior executive of a state-owned enterprise or religious leader.)</i>	

Financial Information
Approximate Annual Income (including bonus and other income) (HKD) <input type="checkbox"/> Below \$200,000 <input type="checkbox"/> \$200,000 - \$500,000 <input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> \$1,000,001 - \$5,000,000 <input type="checkbox"/> \$5,000,001 - \$10,000,000 <input type="checkbox"/> Above \$10,000,000
Approximate Total Net Worth (HKD): (Total Assets – Total Liabilities) (excluding your residence) <input type="checkbox"/> Below \$200,000 <input type="checkbox"/> \$200,000 - \$500,000 <input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> \$1,000,001 - \$5,000,000 <input type="checkbox"/> \$5,000,001 - \$10,000,000 <input type="checkbox"/> Above \$10,000,000

Approximate Liquid Assets (HKD): (Total Financial Assets – Outstanding Liabilities)

- Below \$200,000 \$200,000 - \$500,000 \$500,001 - \$1,000,000
 \$1,000,001 - \$5,000,000 \$5,000,001 - \$10,000,000 Above \$10,000,000

Sources of Funds (can choose more than one)

- Employment / Business Savings Inheritance / Gift / Lottery Return on Investments
 Rental Income Retirement Funds Others (please specify):

Sources of Funds (Location) (can choose more than one)

- PRC Hong Kong PRC Macau PRC Taiwan PRC Others (please specify):

Trading Accounts**Types of Account and Service** (Please select the services required)

- Margin Trading Account* Cash Trading Account
 Others (please specify):

Do you need to trade US stocks? Yes (Please complete Form W-8BEN and submit to Huatai) No

* Margin Trading Account belong to Medium (Stable) or any higher risk category.

Anticipated Level of Trading Activity

- 0-3 trades per month 4-9 trades per month 10 trades or above per month

Client Bank Account Details

Bank Account Holder's Name (must be identical to the name shown on bank statements, ATM card, bank book and this form)

Bank Name**Account Number****Location of Bank**

- PRC Others (please specify):

Investment Status**Investment Objectives**

- Income Hedging Capital Gain Speculation
 Others (please specify):

Risk Tolerance*

- Low(Conservative) Medium(Stable) High(Aggressive) Very High (Very Aggressive)

* Margin Trading Account belong to Medium (Stable) or any higher risk category.

Investment Experience**Frequency of trade per year**

Shares	<input type="checkbox"/> Not involved	<input type="checkbox"/> < 40 times	<input type="checkbox"/> 40 or more times
Debentures	<input type="checkbox"/> Not involved	<input type="checkbox"/> < 40 times	<input type="checkbox"/> 40 or more times
Funds	<input type="checkbox"/> Not involved	<input type="checkbox"/> < 40 times	<input type="checkbox"/> 40 or more times
Leveraged Foreign Exchange	<input type="checkbox"/> Not involved	<input type="checkbox"/> < 40 times	<input type="checkbox"/> 40 or more times
Precious Metals	<input type="checkbox"/> Not involved	<input type="checkbox"/> < 40 times	<input type="checkbox"/> 40 or more times
Futures/ Options	<input type="checkbox"/> Not involved	<input type="checkbox"/> < 40 times	<input type="checkbox"/> 40 or more times
Derivative Products	<input type="checkbox"/> Not involved	<input type="checkbox"/> < 40 times	<input type="checkbox"/> 40 or more times

Client's Knowledge of Derivatives

Do you intend to buy derivative products? No Yes. If yes, please answer the below question.

(Note: Derivative products will be provided to qualify Client pursuant to applicable laws and regulations and the Terms and Conditions)

What is your source(s) of derivative knowledge? (Can choose more than one)

1. Have you executed five or more transactions in any derivative product (whether traded on an exchange or not) within the past three years?

Yes (Please provide details below)

Derivative Products	Years of Experience	Frequency of Transactions (Times)
<input type="checkbox"/> Derivative Warrants	<input type="checkbox"/> <1 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	<input type="checkbox"/> 0-1 <input type="checkbox"/> 2-3 <input type="checkbox"/> 4-5 <input type="checkbox"/> >5
<input type="checkbox"/> Callable Bull/Bear Contracts	<input type="checkbox"/> <1 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	<input type="checkbox"/> 0-1 <input type="checkbox"/> 2-3 <input type="checkbox"/> 4-5 <input type="checkbox"/> >5
<input type="checkbox"/> Stock Options	<input type="checkbox"/> <1 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	<input type="checkbox"/> 0-1 <input type="checkbox"/> 2-3 <input type="checkbox"/> 4-5 <input type="checkbox"/> >5
<input type="checkbox"/> Equity Linked Investments	<input type="checkbox"/> <1 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	<input type="checkbox"/> 0-1 <input type="checkbox"/> 2-3 <input type="checkbox"/> 4-5 <input type="checkbox"/> >5
<input type="checkbox"/> Futures and Options	<input type="checkbox"/> <1 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	<input type="checkbox"/> 0-1 <input type="checkbox"/> 2-3 <input type="checkbox"/> 4-5 <input type="checkbox"/> >5
<input type="checkbox"/> Others:	<input type="checkbox"/> <1 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	<input type="checkbox"/> 0-1 <input type="checkbox"/> 2-3 <input type="checkbox"/> 4-5 <input type="checkbox"/> >5

No

2. Have you undergone training or attended courses on derivative products?

- Training or courses offered by regulatory bodies
- Training or courses offered by exchanges
- Training or courses offered by financial institutions
- Training or courses offered by academic institutions
- None

3. Do you have any current or previous work experience related to derivative products?

- Brokerage Company / Bank
- Fund House or Asset Management Company
- Financial Regulator or Exchange
- Licensed Representatives
- None

Disclosure of Other Information

Do you have any relationship with any director(s) or employee(s) of Huatai or any of its Associates (including, without limitation, Huatai Securities Company Limited)?

- No
- Yes. Please provide details:

Do you have any other accounts with Huatai or any of its Associates (including, without limitation, Huatai Securities Company Limited)? Please include accounts operated/ owned by persons immediately related to you, as well as accounts operated on your behalf by other persons.

- No
- Yes. Please provide details:

Are you a licensed or registered person, a director or an employee of any licensed corporation or registered institution licensed or registered with the Securities and Futures Commission of Hong Kong?

- No
- Yes. Please provide proof of your employer's consent to your account opening.

Are you a relevant individual of the Hong Kong Monetary Authority?

- No
- Yes. Please provide proof of your employer's consent to your account opening.

Are you employed by a bank or an insurance company or an affiliate of either to perform functions related to securities or commodity futures investment or trading activity?

- No
- Yes. Please provide proof of your employer's consent to your account opening.

Are you a director or senior officer of a public company?

- No
- Yes. Please provide details for each public company:

Do you control 35% or more of the voting rights of a company which is a margin client of Huatai?

- No
- Yes. Please provide details:

Client Declaration, Confirmation and Agreement

Direct Marketing

Huatai intends to use your personal data for direct marketing and requires your consent (which includes an indication of no objection) for that purpose. In this connection, please note that the following personal data will be used for marketing Huatai's product and services: your name, contact details, and all other information as provided by you during or subsequent to initial registration.

Huatai shall send you marketing communications such as direct-mail, email, telephone and SMS containing news, offers and promotions on products and services. Products and services offered shall be within securities and futures dealing, fund management, discretionary account management, equity capital market services, financing and other financial services etc.

If you do not wish your personal data to be used in direct marketing by Huatai, you may exercise your opt-out right by ticking the box below.

I object to the proposed use of my personal data in direct marketing as captioned.

Investor ID Model Regime for Northbound Trading

I understand that Huatai is required to submit certain personal data of the investor as prescribed under the rules and regulations of the China Stock Connect, including name, ID issuing country, ID Type and ID number to the Stock Exchange of Hong Kong Limited who will further route or transfer such data to the Mainland exchanges or authorities.

For this purpose, I:

Consent

Do not consent*

to the use or transfer of my personal data as mentioned above by Huatai for the purpose of complying with the Investor ID Model Regime for Northbound Trading.

* If you do not consent, Huatai cannot provide Stock Connect Northbound Trading Service to you.

Client Identification Data for Hong Kong Investor Identification Regime

I acknowledge that Huatai is required to verify my identity under the rules and regulations of SFC. For this purpose, I:

will provide a certified true copy of my identity document; or

certify that copy of the identity document provided is a true copy of the original of such identity document.

I undertake to advise Huatai immediately of any change in circumstances which causes the above certification and/or declaration become incorrect, and to provide Huatai with further document(s), including but not limited to certified true copy of my identity document or supplemental document(s) with my name and identity document number, within 14 days of such change in circumstances.

I declare that the information given and statements made in this declaration are, to the best of my knowledge and belief, true, correct and complete. I agree to fully indemnify Huatai against all losses, damages, liabilities, costs, expenses, actions, investigations and proceedings (whether actual or potential) incurred or suffered by Huatai directly or indirectly arising from my false declaration or breach of my undertaking herein.

Declaration and Confirmation

- i. I hereby declare that (a) I am the person who is ultimately responsible for originating instructions, and (b) I am the ultimate beneficial owner of this account who stands to gain the economic benefit and bear the economic risk of the transactions.
- ii. I confirm that the Client Agreement and the relevant risk disclosures have been fully explained to me in a language that I understand.
- iii. I have read, understood and agree to be bound by the terms and conditions as set forth in the Client Agreement and the relevant risk disclosures.
- iv. I will notify Huatai within 30 calendar days if there is any change in relation to information that I provided to Huatai.
- v. I consent to Huatai sharing my information with all relevant regulators and/ or tax authorities for any purpose including (without limitation) for the purposes of establishing my tax liability in any jurisdiction.
- vi. Where required by any regulator or tax authority (whether in Hong Kong or overseas), I agree that Huatai may withhold from my account(s) such amounts as required according to applicable laws and regulations.
- vii. I confirm that I have authorized Huatai to deal with my money, securities, collateral and margin in accordance with the Client Agreement. I confirm that the content and function of the applicable standing authorization have been clearly explained to me, and I fully understand the content and function of the applicable standing authorization. I have authorized Huatai to extend the application of the applicable standing authorization in its absolute discretion. Standing authorization (customer securities) only applies to customers of securities (margin) accounts and futures accounts, and does not apply to customers who only hold securities (cash) accounts.
- viii. For sections of the Client Agreement that have both an English and Chinese version, the English version shall prevail.

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

Account Applicant

Signature: **Date:**

Name:

Account Number of Referrer:

Witness (to be completed by persons with the following identities)

(Huatai Employee / Notary Public / Justice of the Peace / Certified Public Accountant / Lawyer) (*delete as applicable*)

Signature: **Date:**

Name: **Position:**

Identity Document No.:

Verified by (Name and Role):

SFC CE No.: **Date:**

Signature:

Verified by (Name and Role) (1):

SFC CE No.: **Date:**

Signature:

Verified by (Name and Role) (2):

Employee No. **Date:**

Signature: