



**中国平安證券(香港)**  
PING AN OF CHINA SECURITIES (HONG KONG)

## Account Opening Form

開戶申請表

**Cash Account**

現金帳戶

**(Individuals / Joint Account)**

(個人／聯名帳戶)

**FOR OFFICE USE ONLY**

A/C No :

Client (A/C) Name:

A/C Opening Date :

**Account Opening Form - Individual/Joint Account****開戶申請表 - 個人 / 聯名帳戶****1. Personal Information 個人資料**

<b>Individual/Primary Client 個人 / 聯名帳戶主要持有人</b>		<b>Joint/Secondary Client 聯名帳戶第二持有人</b>	
Name of Account Holder (English) Mr./Mrs./Miss 帳戶持有人姓名 (英文) 先生 / 太太 / 小姐:		Name of Account Holder (English) Mr./Mrs./Miss 帳戶持有人姓名 (英文) 先生 / 太太 / 小姐:	
Chinese Name 中文姓名	Date of Birth 出生日期	Chinese Name 中文姓名	Date of Birth 出生日期
HKID No. (or Passport No. and country of issue) 香港身份證號碼 (或護照號碼及簽發國家)		HKID No. (or Passport No. and country of issue) 香港身份證號碼 (或護照號碼及簽發國家)	
Nationality 國籍		Nationality 國籍	
Relationship with Secondary Client (where applicable) 與第二持有人的關係 (如適用)			
Education Level 教育水平: <input type="checkbox"/> Professor / Doctor 教授 / 博士 <input type="checkbox"/> Post-graduate 研究生學位 <input type="checkbox"/> Tertiary 大專 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Up to Matriculation 大學預科		Education Level 教育水平: <input type="checkbox"/> Professor / Doctor 教授 / 博士 <input type="checkbox"/> Post-graduate 研究生學位 <input type="checkbox"/> Tertiary 大專 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Up to Matriculation 大學預科	
Marital Status 婚姻狀況 <input type="checkbox"/> Single 未婚 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Divorced 離婚 <input type="checkbox"/> Widow 喪偶		Marital Status 婚姻狀況 <input type="checkbox"/> Single 未婚 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Divorced 離婚 <input type="checkbox"/> Widow 喪偶	
Residential Address 住宅地址		Residential Address 住宅地址	
Residential Phone 住宅電話	Business Phone 公司電話	Residential Phone 住宅電話	Business Phone 公司電話
Mobile Phone 手提電話	Facsimile No. 傳真號碼	Mobile Phone 手提電話	Facsimile No. 傳真號碼
Email Address 電郵地址		Email Address 電郵地址	
Would you like to apply for the Internet Trading Service? 閣下需要申請互聯網交易服務嗎? <input type="checkbox"/> Yes 需要 <input type="checkbox"/> No 不需要			
Communication Method (for Statements, Contract Notes and Notices) 通訊方式 (用作發送結單, 成交單據及通知) <input type="checkbox"/> Post to Residential Address 郵寄至住宅地址 <input type="checkbox"/> Post to Business Address 郵寄至公司地址 <input type="checkbox"/> Sent to Email Address 寄至電郵地址 <input type="checkbox"/> Others (specify) 其他(請注明) _____			
Are you currently a client of Ping An of China Securities (Hong Kong) Company Limited? 閣下是中國平安證券(香港)有限公司的現有客戶嗎? <input type="checkbox"/> Yes 是 Please state the account number 請填上客戶號碼 _____ <input type="checkbox"/> No 否		Are you currently a client of Ping An of China Securities (Hong Kong) Company Limited? 閣下是中國平安證券(香港)有限公司的現有客戶嗎? <input type="checkbox"/> Yes 是 Please state the account number 請填上客戶號碼 _____ <input type="checkbox"/> No 否	

2. Employment Details 工作詳情			
Name of Employer (or if self employed, name of Business) 僱主名稱 (若自雇, 請填寫業務名稱)		Name of Employer (or if self employed, name of Business) 僱主名稱 (若自雇, 請填寫業務名稱)	
Occupation (or Type of Business) 職業 (或業務性質)	Year(s) Employed 任職年期	Occupation (or Type of Business) 職業 (或業務性質)	Year(s) Employed 任職年期
Position 職位	Years of Service 服務年期	Position 職位	Years of Service 服務年期
Business Address 公司地址		Business Address 公司地址	
3. Disclosure of Identity 相關身份披露			
<b>Individual/Primary Client 個人 / 聯名帳戶主要持有人</b> Are you a director, an employee or a representative of an intermediary licensed/registered under the Securities and Futures Ordinance? 閣下是否為《證券及期貨條例》之下持牌 / 註冊的中介人的董事、雇員或代表? <input type="checkbox"/> No <input type="checkbox"/> Yes*, please specify the name of the intermediary _____ <input type="checkbox"/> 否 <input type="checkbox"/> 是*, 請列出中介人名稱 _____ * Please attach a consent letter of account opening from your employer 請附上閣下雇主之開戶同意書			
<b>Joint/Secondary Client 聯名帳戶第二持有人</b> Are you a director, an employee or a representative of an intermediary licensed/registered under the Securities and Futures Ordinance? 閣下是否為《證券及期貨條例》之下持牌 / 註冊的中介人的董事、雇員或代表? <input type="checkbox"/> No <input type="checkbox"/> Yes*, please specify the name of your employer _____ <input type="checkbox"/> 否 <input type="checkbox"/> 是*, 請列出閣下的雇主名稱 _____ * Please attach a consent letter of account opening from your employer 請附上閣下雇主之開戶同意書			
Are you a relative of any director, employee or representative of Ping An of China Securities (Hong Kong) Company Limited? 閣下是否與中國平安證券(香港)有限公司之任何董事、職員或代表有親屬關係? <input type="checkbox"/> No <input type="checkbox"/> Yes, the name of the director, employee or representative and relationship with him/her <input type="checkbox"/> 否 <input type="checkbox"/> 是, 請列出該董事、職員或代表之姓名及閣下與此人之關係			
4. Ultimate Beneficial Owner(s) of the Account(s) 帳戶的最終實益擁有人			
Are you the ultimate beneficial owner(s) of the Account(s) who stands to gain the commercial or economic benefit of the transaction(s) and/or bear its commercial or economic risk? 閣下是否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之帳戶最終實益擁有人? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No, the full name of the beneficial owner(s) is 否, 最終實益擁有人全名 _____ HKID/Passport No. and country of issue 香港身份證 / 護照號碼及簽發國家 _____ Address 地址 _____ Occupation 職業 _____ Your relationship with the beneficial owner(s) 閣下與實益擁有人之關係 _____			

5. Designated Contact Person 指定聯絡人	
Designated Contact Person (if necessary in Client's absence) 指定聯絡人(如有需要, 在客戶不在時)	Name: 姓名:  Contact No.: 聯絡電話:
6. Financial Background 財務狀況	
Annual income (US\$) : (Please tick) 年薪(美元): (請加上“√”號)	
<input type="checkbox"/> Less than \$50K	<input type="checkbox"/> \$50K-\$100K
<input type="checkbox"/> 少于 \$50K	<input type="checkbox"/> \$50K-\$100K
<input type="checkbox"/> \$100K-\$200K	<input type="checkbox"/> \$200K-\$500K
<input type="checkbox"/> \$100K-\$200K	<input type="checkbox"/> \$200K-\$500K
<input type="checkbox"/> More than \$500K	<input type="checkbox"/> More than \$500K
<input type="checkbox"/> 多于 \$500K	<input type="checkbox"/> 多于 \$500K
Property 物業	
1. <input type="checkbox"/> Owned 自置	<input type="checkbox"/> Rented 租賃
<input type="checkbox"/> Others (Please specify) 其它(請闡明) _____	
Location 地區 _____	Value 價值 _____
Size 面積 _____	
Mortgage Outstanding 剩餘按揭 _____	Repayments 每月供款 _____
2. <input type="checkbox"/> Owned 自置	<input type="checkbox"/> Rented 租賃
<input type="checkbox"/> Others (Please specify) 其它(請闡明) _____	
Location 地區 _____	Value 價值 _____
Size 面積 _____	
Mortgage Outstanding 剩餘按揭 _____	Repayments 每月供款 _____
Net Worth (US\$) (Exclude property under mortgage & vehicles) (Please tick) 淨值(美元)(不包括已抵押的物業及車輛)(請加上“√”號)	
<input type="checkbox"/> Less than \$100K	<input type="checkbox"/> \$100K-\$300K
<input type="checkbox"/> 少于 \$100K	<input type="checkbox"/> \$100K-\$300K
<input type="checkbox"/> \$300K-\$600K	<input type="checkbox"/> \$600K-\$1 M
<input type="checkbox"/> \$300K-\$600K	<input type="checkbox"/> \$600K-\$1 M
<input type="checkbox"/> More than \$1 M	<input type="checkbox"/> More than \$1 M
<input type="checkbox"/> 多于 \$1 M	<input type="checkbox"/> 多于 \$1 M
7. Investment Profile 投資取向	
<b>Investment Objective 投資目標</b>	
<input type="checkbox"/> Capital Preservation (Low Risk / Low Return) 保本(低風險/低回報)	<input type="checkbox"/> Controlled Growth (Moderate Risk / Moderate Return) 受控增長(中等風險/中等回報)
<input type="checkbox"/> Speculative/Short Term (High Risk / High Return) 投機/短綫(高風險/高回報)	<input type="checkbox"/> Combination of Moderate to High Risk 中等至高風險混合
<input type="checkbox"/> Others (Please specify) 其他(請闡明) _____	
<b>Investment Experience 投資經驗</b>	
Certificate of Deposit/ Bonds 存款證/債券	<input type="checkbox"/> No 沒有 / <input type="checkbox"/> Yes 有 _____ years 年 approx. value 價值約 HK\$ _____ 港元
Forex/ Foreign Currency 外匯/外幣	<input type="checkbox"/> No 沒有 / <input type="checkbox"/> Yes 有 _____ years 年 approx. value 價值約 HK\$ _____ 港元
Securities Trading 證券交易	<input type="checkbox"/> No 沒有 / <input type="checkbox"/> Yes 有 _____ years 年 approx. value 價值約 HK\$ _____ 港元
Derivatives Trading 衍生工具交易	<input type="checkbox"/> No 沒有 / <input type="checkbox"/> Yes 有 _____ years 年 approx. value 價值約 HK\$ _____ 港元
Real Estate/Property Investment 房地產/物業投資	<input type="checkbox"/> No 沒有 / <input type="checkbox"/> Yes 有 _____ years 年 approx. value 價值約 HK\$ _____ 港元
<b>Restriction on Investment Instruments 投資工具限制</b>	
Please tick “ ” the appropriate box(es) below if you <b>DO NOT</b> want to invest in any of the investment instruments below. 如閣下 <b>不欲</b> 投資在下列任何投資工具上, 請在適當方格內加上“√”號	
<input type="checkbox"/> Stocks (Main Board) 主板股票	<input type="checkbox"/> Stocks (GEM) 創業板股票
<input type="checkbox"/> Options 期權	<input type="checkbox"/> Futures 期貨
<input type="checkbox"/> Mutual Funds/ Unit Trusts 互惠基金/單位信託基金	<input type="checkbox"/> Fixed Income 定息投資工具
<input type="checkbox"/> Foreign Stocks 外國股票	<input type="checkbox"/> Warrants 認股證
<input type="checkbox"/> Others 其他 _____	

**Other Investment Restriction 其它投資限制**

No 沒有  Yes (if Yes, please specify) 有 (如有, 請闡明) \_\_\_\_\_

**Risk Tolerance for Loss of Capital 資本損失風險承受度**

- Risk Averse** – Not willing to accept any capital loss. Seeking an income yield on deposits and other capital protected investments.  
**不願意承受風險型** – 不願意接受任何資本損失。在存款及其他保本投資上尋求收益。
- Conservative** – Low risk tolerance but willing to accept slight price fluctuations in order to obtain returns better than that expected from a capital preservation strategy only.  
**保守型** – 風險承受度低, 但願意接受輕微的價格波幅, 以取得比較僅從保本政策中取得的預期回報為佳的回報。
- Balance** – Modest risk tolerance and willing to accept some investment risk for potentially higher returns. Seeking to achieve a balance between capital growth, income and capital protection. price volatility acceptable in order to obtain a steady return with moderate capital growth.  
**均衡增長型** – 風險承受度中等, 並願意為取得較高回報而接受一些投資風險。在資本增值、收入及保本之間尋求達至平衡。可以接受價格波幅, 在中等資本增值下取得穩健回報。
- Aggressive** – Seeking high growth for wealth accumulation and willing to accept substantial price volatility for investments.  
**進取型** – 為財富增值尋求高增長, 並願意接受投資的大幅價格波幅。

**8. Settlement Method And Details 結算方式及詳情**

**(a) Settlement Method and Details (Appropriate box will be marked with √)  
結算方式及詳情 (請在合適空格中填上√號)**

- Safe Keeping With Us  
由本公司保管
- CCASS Investor Account No:  
中央結算投資帳戶號碼: \_\_\_\_\_
- Funds to be deposited into my bank account:  
存錢入我的以下銀行帳戶

**(b) Bank Account Details  
銀行帳戶資料**

Name of Bank and Branch:  
銀行及分行名稱 \_\_\_\_\_

Account Name:  
帳戶名稱 \_\_\_\_\_

Account No:  
帳戶號碼: \_\_\_\_\_

**9. Supporting Documents 證明文件**

We enclose certified true copies of each of the following documents in support of this application:

吾等現隨附下列每份文件經核證的真實副本, 以支持開戶申請:

- HKID/Passport for Primary Client, and where applicable, the Secondary Client.  
聯名帳戶主要持有人, 及 (如適用) 聯名帳戶第二持有人的香港身份證/ 護照。
- Proof of Address(es).  
地址證明。
- The same documents above if the Client has appointed an attorney or an Authorized Person.  
如客戶已委任代理或授權人, 則提交上文所述的相同文件。
- Where applicable, HKID/Passport for the Ultimate Beneficial Owner(s) of the Account(s).  
如適用, 帳戶的最終實益擁有人的香港身份證/護照。

## 10. Declarations & Acknowledgements 聲明及確認

I/We declare, acknowledge, confirm and agree that:

我們聲明、承認、確認并同意：

1. The information and representations contained in this Account Opening Form are true, complete and correct, and that Ping An of China Securities (Hong Kong) Company Limited (“PACSHK”) is entitled to rely fully on such information and representations for all purposes, unless and until PACSHK receives notice in writing from us of any change. PACSHK is authorized at any time to contact anyone, including banks, or any credit agency, for purposes of verifying the information provided on this Account Opening Form.

本開戶申請表所載的資料和陳述乃真實、完整及正確，除非中國平安證券(香港)有限公司(「中國平安證香港」)接獲我們發出關於任何變更的書面通知，否則中國平安證香港有權就一切目的全面信賴該等資料及陳述。中國平安證香港獲授權隨時聯絡任何人士，包括銀行或任何信用調查機構，以查核此開戶申請表所提供之資料。

2. I/We hereby declare that unless specifically stated otherwise, I am/we are the person(s) who is/are ultimately responsible for originating the Instructions and unless specifically stated otherwise, I am/we are the person(s) who stand(s) to gain the commercial / economic benefit of the transaction and/or bear the commercial /economic risk.

本人/我們特此聲明，除非另有明確述明，否則本人/我們是最終負責發出指示的人，而且除非另有述明，否則本人/我們是從交易取得商業/經濟利益及/或承擔其商業/經濟風險的人。

3. The Account(s) and the provision of investment advisory service by PACSHK are subject to this Account Opening Form and the Terms and Conditions of the Client Agreement as amended by PACSHK from time to time (together the “Agreement”). I/We confirm that I/we have read and understood the Agreement and agree to be bound by, the terms and conditions as currently set forth in the Agreement. Unless the context requires otherwise, terms and expressions used and defined in the Client Agreement shall have the same meaning when used herein.

帳戶以及中國平安證香港提供投資管理服務，均須受本開戶申請表并受中國平安證香港不時修訂的客戶協議的條款及細則(合稱「協議書」)所約束。本人/我們確認本人/我們已閱讀和明白協議書，并同意受協議書目前所列的條款及條件所約束。除非上下文另有規定，否則客戶協議所使用和定義的詞語在用于本開戶申請表時具有相同意義。

4. I/We will not create any charge, pledge or encumbrance over the whole or any part of the Account(s) during the term of the Agreement.

本人/我們在協議書的期限內不會對帳戶的整體或任何部分設置任何押記、質押或產權負擔。

5. PACSHK shall be authorized (but not obliged) to accept and act in accordance with any Instructions given by the Client or the Authorized Person(s) either in person, in writing, by telephone, facsimile (“fax”), the internet or any other form of telecommunications or electronic mode of communication made from time to time in accordance with Clause IV of the Client Agreement. In the event that I/we wish to withdraw the authorisation under this paragraph, I/we shall notify PACSHK in writing and until receipt of such notice of change in writing, PACSHK may rely on any fax, telephone, oral and electronic Instructions given.

中國平安證香港獲授權(但無義務)接受客戶或獲授權人不論是親身、以書面、電話、傳真、互聯網或任何其他電信方式或電子通訊方式按照客戶協議第 IV 條的規定不時作出的指示并根據該等指示行事。倘若本人/我們希望撤回根據本段作出的授權，本人/我們應以書面方式通知中國平安證香港，在收到該項書面變更通知之前，中國平安證香港可依賴任何以傳真、電話、口頭或電子方式作出的指示。

6. In consideration of PACSHK agreeing to accept Instructions from us by telephone, facsimile transmission or other electronic means, I/we agree to indemnify PACSHK and its directors, officers, employees and agents against any loss or liability that any of them may incur or suffer as a result of any of them acting or failing to act upon any Instruction given under this Agreement, save where due to the negligence or default of PACSHK.

鑒于中國平安證香港同意通過電話、傳真或其他電子方式接受我們的指示，作為對價，對於中國平安證香港及其董事、高級職員、雇員及代理人按照本協議項下的任何指示行事或沒有行事而招致或遭受的任何損失或責任，本人/我們同意彌補償他們，但由于中國平安證香港的疏忽或違約而導致的損失或責任則除外。

7. I/We have received a copy of the Client Agreement and the Risk Disclosure Statements in the language of my/our choice (English or Chinese), and I/we confirm that I have read and fully understood the Client Agreement and the Risk Disclosure Statements and have been invited to ask questions and take independent advice if I/we wish.

本人/我們已收到一份按本人/我們選擇的語言(英文或中文)的客戶協議及風險披露聲明，且本人/我們確認已閱讀及完全明白客戶協議以及風險披露聲明，并獲邀請提出問題及諮詢獨立意見(如本人/我們有此意願)；

8. I/We have carefully considered the Risk Disclosure Statements and recognize that trading in investment products involves a high degree of risk. I have considered my/our financial position and investment objective, I/we confirm that I/we am/are financially able to assume such risks and to sustain any losses resulting from such trading and voluntarily confirm that trading in investment products is a suitable trading vehicle for me/us.

本人/我們已仔細考慮風險披露聲明，而且瞭解進行投資產品買賣所涉及之高風險。本人/我們已考慮到本人/我們的財務狀況和投資目標，并確認本人/我們之財政能承擔該交易帶來之風險和承受其帶來之任何損失，亦自願確認投資產品買賣是一項對本人/我們合適的買賣方式。

9. I/We have read and understood the Notice to Clients Relating to the Personal Data (Privacy) Ordinance (the “Notice”) in Section XXXII of the Client

Agreement. I/We agree that the personal data in relation to any individual(s) provided to PACSHK may be used, disclosed and/or transferred by PACSHK for such purposes and to such persons in accordance with the Notice (as amended from time to time).

本人／我們已閱讀和明白客戶協議第 XXXII 條致客戶的與《個人資料（私隱）條例》有關的注意事項（「**注意事項**」）。本人／我們同意，提供給中國平安證香港的與任何個人有關的個人資料可能被中國平安證香港就注意事項（按其不時經修訂的版本）所述的目的使用，或披露及／或轉移給注意事項所述的人。

10. I/We have signed this Agreement on the date shown below.

本人／我們已在下述日期簽署本協議書。

11. Where the Account is a joint account, we declare and confirm that each Client signing this Account Opening Form (each a "joint owner") may give Instructions, in respect of the Account and to deal with PACSHK as if each Client alone was the sole owner of the Account without notice to the other joint owner(s).

倘若帳戶為聯名帳戶，我們聲明和確認每名簽署這份開戶申請表的客戶（各稱為「**聯名擁有人**」）可就帳戶作出指示并與中國平安證香港進行交易，無須通知其他聯名擁有人，猶如彼為帳戶的唯一擁有人。

12. I/We acknowledge and confirm that I/we must (i) observe any possible tax consequences arising from my/our entering into the Agreement and any transactions entered pursuant thereto; and (ii) comply with all applicable laws and regulations in force from time to time including any legal requirements and foreign exchange restrictions or exchange control requirements which are relevant to the purchase, holding or disposal of Securities or assets underlying the contract under the laws of the jurisdiction in which I/we reside, am/are domiciled or am/are a citizen.

本人／我們知悉及確認本人／我們必須 (i) 遵守因本人／我們簽訂協議書及根據該協議書進行的任何交易而可能產生的任何稅務後果；及 (ii) 遵從不時有效的所有適用法律和規例，包括根據本人／我們居住的或居籍所在的或身為其公民的司法管轄區的法律之下與購買、持有及沽售證券或有關合約的資產相關的任何法律規定及外匯限制或管制規定。

13. We acknowledge that PACSHK does not provide investment, tax or legal advice or recommendations.

我們確認中國平安證香港并不提供投資、稅務或法律意見或建議。

This Account Opening Form is prepared in both English and Chinese versions, in the event of discrepancy between the versions, the English version shall prevail. 本開戶申請表編成中、英文版本，兩種版本之間如有歧義，應以英文版為準。

#### Client Signature 客戶簽署確認

##### SIGNED, SEALED AND DELIVERED

##### 簽署、蓋章及交付

By:

\_\_\_\_\_  
(Name of Primary Account Holder 帳戶主要持有人姓名)

By:

\_\_\_\_\_  
(Signature of Primary Account Holder 帳戶主要持有人簽字)

By:

\_\_\_\_\_  
(Name of Secondary Account Holder 帳戶第二持有人姓名)

By:

\_\_\_\_\_  
(Signature of Secondary Account Holder 帳戶第二持有人姓名)

#### Witness Signature 見證人簽署確認

in the presence of:

見證人：

\_\_\_\_\_  
(Name of Witness 見證人姓名)

\_\_\_\_\_  
(Signature of Witness 見證人簽字)

HKID/Passport No.:

香港身份證／護照號碼：

Address:

地址：

Occupation:

職業：

Declaration by Staff (For Internal Use Only) 員工聲明 (僅供內部使用)		
<p>I, _____ (in BLOCK LETTERS), a staff member of PACSHK, declare that I have provided the Risk Disclosure Statements (in clause 1 of the Client Agreement) in a language of <input type="checkbox"/> English / <input type="checkbox"/> Chinese at the client(s)'s choice, invited the above mentioned client(s) to read the Risk Disclosure Statements, to ask questions and to take independent advice if the client(s) so wishes.</p> <p>我, _____ (正楷字體), 中國平安證香港的一名員工, 聲明我已以客戶選擇的 <input type="checkbox"/> 英文 / <input type="checkbox"/> 中文版本提供 (客戶協議第 1 條) 的風險披露聲明, 并已邀請該名客戶閱讀風險披露聲明, 如客戶希望的話, 可提出問題和諮詢獨立意見。</p>		
<p>_____ Signature of Licensed Representative 持牌代表簽字</p>	<p>_____ CE No. 中央編號</p>	<p>_____ Date &amp; Time 日期及時間</p>
Approval of Account Opening 開戶審批		
<b>Inputted By</b>	<b>Checked by</b>	<b>Approved by</b>
_____	_____	_____
<b>Name:</b>	<b>Name:</b>	<b>Name:</b>
<b>Division:</b>	<b>Division:</b>	<b>Division:</b>
<b>Date:</b>	<b>Date:</b>	<b>Date:</b>