耀佳金融集團
YAW KAI FINANCIAL GROUP LIMITED

| 帳戶號碼<br>Account No. |
|---|
| 開戶日期<br>Date Opened |

香港中環皇后大道中99號中環中心15樓1508室
Unit 1508, 15/F, The Center, 99 Queen's Road Central, Central,
Hong Kong.

Tel 電話: +852 3693 3892
Fax 傳真: +852 3690 9896

耀佳金融集團有限公司 Yaw Kai Financial Group Limited (下稱 "本公司" hereinafter "the Company")")
本公司為獲准從事第一類、第四類及第九類受規管活動獲發牌的持牌法團 (證監會中央編號：BNI747) 和香港聯合交易所有限公司的交易所參與者。
The Company is a licensed corporation to carry on Type 1 (Dealing in Securities), Type 4 (Advising on securities) and Type 9 (Asset Management) regulated activities (SFC CE No: BNI747) and an Exchange Participant of the Stock Exchange of Hong Kong Limited.

# ACCOUNT OPENING FORM (INDIVIDUAL/JOINT ACCOUNT)
# 開戶表格 (個人/聯名帳戶)

## 1. Securities Trading Account 證券交易帳戶

| | |
|---|---|
| Type of Client 客戶類別 | ☐ Individual Account 個人帳戶 ☐ Joint Account 聯名帳戶 |
| Type of Account 帳戶類別 | ☐ Cash Account 證券現金帳戶 ☐ Margin Account 證券保證金帳戶<br>☐ Asset Management Account 資產管理帳戶 |
| Trading Market 交易市場(Optional可選) | ☐ US Market 美國市場 ☐ Bond 債券 ☐ Shanghai-A Market 上海A 股市場 |

**Please complete in BLOCK LETTERS 請用正楷填寫**

## 2. Personal Information 個人資料

☐ Individual/Primary Joint Account Holder 個人/基本聯名帳戶持有人 ☐ Secondary Joint Account Holder 第二聯名帳戶持有人

Client Name 客戶姓名
☐ Mr.先生 ☐ Miss 小姐 ☐ Ms.女士 ☐ Mrs.太太

Chinese 中文: _____

English 英文: _____
(Surname First) as per your identity card / passport (先寫姓氏) 姓名必須與身份證 / 護照相符

| | | | |
|---|---|---|---|
| ID Card/Passport No.<br>身份證/護照號碼 | | Country of Issue<br>簽發國家 | |
| Nationality/Citizenship<br>國籍/公民身份 | | Place of Birth<br>出生地 | |
| Date of Birth(dd/mm/yy)<br>出生日期(日/月/年) | | | |

Marital Status 婚姻狀況:
☐ Single 單身 ☐ Married 已婚 ☐ Divorced 離婚 ☐ Separated 分居 ☐ Widowed 喪 偶

Residential Address 居住地址

Correspondence Address (if different from Residential Address) 通訊地址（如與居住地址不同）

Ownership of Residence住屋業權

☐ Self-owned自置物業 ☐ Rented 租住 ☐ Quarters 宿舍 ☐ Mortgaged按揭物業 ☐ Living with family與家人同住

Monthly Installment/Rental 每月供款/租金 HK$_____

| | | | |
|---|---|---|---|
| Mobile Phone No.手提電話號碼 | | E-mail Address 電郵地址 | |
| Home Tel. No.住宅電話號碼 | | Fax No.傳真號碼 | |

Education Level 教育程度:
☐ Primary 小學 ☐ Secondary 中學 ☐ University 大學 ☐ Master degree or above 碩士或以上

## 3. Occupation/Employment Status 職業/就業情況

| | | | |
|---|---|---|---|
| Name of Employer 僱主名稱 | | | |
| Employer Address 僱主地址 | | | |
| Nature of Business 業務性質 | | | |
| Job Title 職位 | | Year(s) with Employer 受僱年期 | |

| Office Tel. No. 公司電話號碼 | | Office Fax No. 公司傳真號碼 | |
|---|---|---|---|

**4. Financial Situation 財務狀況**

i) Annual Income(HKD)每年收入(港元)

☐ <$120,000 ☐ $120,000 - $360,000 ☐ $360,001- $600,000

☐ $600,001 – $1,200,000 ☐ Others, please specify其他，請註明_____

ii) Source of Income 收入來源（可選多於一項）

☐ Remuneration from your employment工作收入 ☐ Investment Return 投資收入 ☐ Rental Income 租金收入

☐ Family Support 子女 / 其他親屬供養 ☐ Others, please specify其他，請註明_____

iii) Net Worth(HKD)資產淨值(港元)

☐ <$500,000 ☐ $500,000 - $1,000,000 ☐ $1,000,001 - $3,000,000

☐ $3,000,001 – $7,800,000 ☐ Others, please specify其他，請註明_____

iv) Liquid Asset(HKD) e.g. cash, stock流動資產(港元)，如現金、股票

☐ <$500,000 ☐ $500,000 - $1,000,000 ☐ $1,000,001 - $3,000,000

☐ $3,000,001 – $7,800,000 ☐ Others, please specify其他，請註明_____

v) Home Mortgage Loan and Personal Loan 自住房屋按揭貸款及其他私人貸款

☐ Yes有 (Total總額: HK$_____) ☐ No沒有

**5. Investment Experience & Habits 投資經驗及習慣**

i) Products產品

☐ Stocks/Investment Funds股票/投資基金 ☐ Bonds債券 ☐ Derivatives(Futures/Options/Warrants) 衍生工具(期貨/期權/認股權證)

☐ Foreign Currencies外幣 ☐ Others其他: _____

ii) Experience(in year(s))經驗(年)

☐ less than 1 year 少於1年 ☐ 1-3 years 年 ☐ 4-5 years年 ☐ 6-10 years 年

☐ more than 10 years 超過10年

iii) Investment Habits投資習慣

☐ Short Term 短線 ☐ Medium Term 中線 ☐ Long Term 長線 ☐ Others, please specify其他，請註明_____

**6. Investment Objectives and Risk Tolerance 投資目的及可承受風險**

*(Joint account holders should have the same investment objectives) ( ü one or more) (聯名帳戶持有人須有相同投資目標) ( ü一項或多項)*

i) Investment Objectives 投資目的

☐ Hedging 對 沖 ☐ Capital Gain 資本增值 ☐ Dividend Income 股息收入

☐ Speculation 投 機 ☐ Others(please specify) 其他(請註明) _____

ii) Risk Tolerance 可承受風險

☐ Low 低風險 ☐ Medium 中等風險 ☐ High 高風險

**Securities Margin Account belongs to Medium and/or High risk categories.* 證券保證金買賣帳戶屬於"中等風險"及/或"高風險"類別。

**7. Client's Knowledge of Derivative Products 客戶對衍生產品的認識**

The Client acknowledges and understands the Company will assess whether the Client has adequate knowledge on derivative products according to the information the Client provided.

客戶知悉及明白公司將根據以下的資料以評估客戶是否對衍生工具產品有認識。

☐ 1. The Client underwent training or attended courses on derivative products. (If yes, please specify)
客戶曾接受有關衍生產品的培訓或修讀相關課程。(如是，請註明)

☐ 2. The Client has current or previous work experience related to derivative products. (If yes, please specify)
客戶現時或過去擁有與衍生產品有關的工作經驗。(如是，請註明)

☐ 3. The Client has executed five or more transactions within the past three years in derivative products, e.g. Derivative Warrants, Callable Bulll/Bear Contracts, Futures and Options, Commodities, Structured Products, and Exchange Traded Funds, etc.
客戶於過去 3 年曾執行 5 次或以上衍生產品的交易，如衍生權證、牛熊證、股票、期貨期權、商品、結構性產品及交易所買賣基金等。

☐ 4. The Client has **NOT** acquired knowledge of derivative products.
客戶**沒有**衍生工具之認識。

**8. Daily Statements/Contract Notes/ Monthly Statements delivery 日結單/買賣單據/月結單交付**

Daily & Monthly Statements/Contract Notes will be delivered to client by E-mail with 日結單/買賣單據/月結單將會以下語言以電郵傳送至客戶端

☐ Chinese 中文 ☐ English 英 文

**9. Disclosure of Identity 披露身份**

i) Is the Client the ultimate beneficial owner of the Account(s)?
客戶是否該帳戶之最終實益擁有人?

☐ Yes 是 ☐ No, the ultimate beneficiary owner(s) is/are:
否，帳戶的最終實益擁有人是:

Name 姓名:_____
Phone No.聯絡電話:_____
ID Card/Passport No.身份證/護照號碼:_____
Place of issue 簽發地:_____

ii) Is the Client a person, or director or employee of a person licensed by or registered with the SFC or an accredited person of any exchange participant of the Stock Exchange or Futures Exchange?
客戶是否為證監會發牌或註冊人士或聯交所或期交所之交易所參與者或該人士之董事或僱員或認可人士?

☐ No 否 ☐ Yes 是

Name of the licensed or registered person 持牌或註冊人士姓名/名稱: _____
CE No.中央編號:_____
* Please attach the consent letter from Employer.
提供僱主的同意信

** The Client undertakes to promptly notify the Company if the Client becomes employed by any licensed or registered person to carry on regulated activities within the meaning of the Securities and Futures Ordinance.*
* 客戶承諾若其受聘於任何持牌或註冊人士以進行證券及期貨條例所指的受規管活動，會盡快通知本公司。

iii) Is the Client ultimately responsible for originating instructions for the transactions of the Account(s)?
客戶是否最終負責對該帳戶之交易發出指示?

□ Yes 是
□ No, particulars of person(s) originating the instructions are as follows 否，下列為負責發出交易指示者資料:

Name 姓名: _____
ID/Passport/Incorporation No.身份證/護照/公司註冊證書號碼: _____
Address 地址: _____

**10. Disclosure of Related Account(s)披露關連帳戶**

i) Is the Client related to any employee or director of the Company or its associated companies?
客戶是否與本公司或其聯營公司之任何僱員或董事有任何親屬關係?

□ No 否
□ Yes 是 (Please provide details below 請填寫以下資料)

Name of Employee/Director 僱員/董事姓名:_____
Relationship 關係: _____

ii) Is the Client's spouse a client of the Company?
客戶之配偶是否本公司之客戶?

□ No 否
□ Yes 是 (Please provide details below 請填寫以下資料)

Name of the Spouse 配偶姓名: _____
Account No.帳戶號碼: _____

iii) Does the Client and/or the Client's spouse control 35% or more of the voting rights of a company which is securities margin client of the Company?
客戶及/或客戶之配偶是否(共同)控制一間公司 35%或以上的投票權，且此為本公司的證券保證金客戶?

□ No 否
□ Yes 是 (Please provide details below 請填寫以下資料)

Account Name 帳戶名稱:_____
Account No.帳戶號碼:_____

**11. Signing Arrangement 簽名安排*(For Joint Account Only 只適用聯名帳戶)***

The Account can be operated under the instruction of (please tick the appropriate box):
此帳戶可根據以下指示方式操作(請在適當空格加上「ü」號)

☐ Either one of the account holder; or
任何一位帳戶持有人的指示

☐ Both account holders
所有帳戶持有人的指示

**12. Additional Sub Account Services (For Fund Deposit ONLY) 附加子帳戶服務 (僅作存款之用)**

Please be acknowledged that the Company will apply the sub account services in Bank of Communications Company Limited (Hong Kong Branch) for our clients. 本公司將為客戶申請交通銀行股份有限公司 (香港分行) - 子帳戶服務。

The Company will terminate the abovementioned Sub Account Services immediately, when the account is being closed.
當客戶取消在本公司開立之上述戶口時，本公司將同時取消客戶的交通銀行股份有限公司 (香港分行) - 子帳戶。

**13. Settlement Account Information 結算帳戶資料**

i) **Hong Kong Dollar Account 港元帳戶**

The Client hereby instructs and authorizes that the following Hong Kong dollar account of a Hong Kong licensed bank will be used as the settlement bank account for Hong Kong dollar. Payment due from the Company to the Client shall, at the cost and risk of the Client, be settled by depositing a cheque into or transferring payment to the said bank account:
客戶謹此指示及授權使用以下香港持牌銀行的港元帳戶，作為港元結算帳戶。本公司結欠客戶的款項，須透過存入支票或轉帳至此銀行帳戶結算， 其費用及風險由客戶承擔:

Bank 銀行:_____Account Name 帳戶名稱: _____

Account No.帳戶號碼:_____FPS No. 轉數快號碼: _____

ii) **Foreign Currency Account 外幣帳戶**

The Client hereby instructs and authorizes that the following foreign currency account will be used as the settlement bank account for that foreign tcurrency. Payment due from the Company to the Client shall, at the cost and risk of the Client, be settled by depositing a cheque into or ransferring payment to the said bank account:
客戶謹此指示及授權使用以下外幣帳戶，作為有關外幣的結算帳戶。本公司結欠客戶的款項，須透過存入支票或轉帳至此銀行帳戶結算，其費用及風險由客戶承擔:

Currency 貨幣 :_____ SWIFT Code 國際代碼 : _____

Bank 銀行/ Branch 分行 :_____ Bank Address 銀行地址 : _____

Account No.帳戶號碼 :_____ Account Name 帳戶名稱 : _____

**14. Risk Disclosure Statements and Disclaimers 風險披露聲明與免責聲明**

| | |
|---|---|
| i) **Securities Trading Account 證券交易帳戶**<br>Please open a Securities Trading Account for me/us, the undersigned Client(s). I/We acknowledge receipt of the English or Chinese versions of the Client Agreement (which set out the Client Agreement, On-line Trading Agreement, Personal Information Collection Statement, and Risk Disclosure Statements). I/We have read and understood the provisions of the Client Agreement and accept to be bound by the same.<br>請為本人/吾等(即在下面簽署的客戶)開立證券交易帳戶。本人/吾等確認已經收取客戶協議之英文或中文版本(包括客戶協議、網上交易協議、個人資料收集聲明，及風險披露聲明)。本人/吾等已閱讀並明白客戶協議的條款，並接受這些條款的約束。 | □ Agree 同意<br>□ Disagree 不同意 |
| ii) **On-line Trading 網上交易**<br>I/We, the undersigned Client(s), want to use on-line trading services. I/We have read and understood the provisions of the On-line Trading Agreement and accept to be bound by the same. Please send on-line Trading Account No. and Password to my email address provided.<br>本人/吾等(即在下面簽署的客戶)欲使用網上交易服務。本人/吾等已經閱讀並明白網上交易協議的條款，並接受這些條款的約束。本人/吾等欲以填報的電郵地址收取網上交易帳號及密碼。 | □ Agree 同意<br>□ Disagree 不同意 |
| iii) **Client Risk Disclosure Declaration 客戶風險披露聲明**<br>I/We hereby certify, declare and acknowledge that I/we have fully understood the risk disclosure statements in the language of my/our choice. I/We have been invited to read the risk disclosure statements, and to ask questions and take independent advice, if I/we wish.<br>本人/吾等現保證、聲明及確認已獲得並完全明白按本人所選擇的語言之風險披露聲明書，本人/吾等已獲邀閱讀此風險披露聲明書、提出問題及徵求獨立意見(如本人/吾等有此意願)。 | □ Agree 同意<br>□ Disagree 不同意 |
| iv) **Derivative Warrants, Callable Bull/Bear Contracts, and Exchange-traded Funds (Client Declaration)**<br>**衍生權證、牛熊證及在交易所買賣基金 (客戶聲明)**<br>I/We hereby certify, declare and acknowledge that I/we have fully understood the risk disclosure statements & notes relating to Derivative Products Trading, including the risks of derivative warrants, callable bull/bear contracts, and exchange-traded funds in the language of my/our choice. I/We have been invited to read the risk disclosure statements, and to ask questions and take independent advice, if I/we wish.<br>本人/吾等現保證、聲明及確認已獲得並完全明白按本人所選擇的語言之風險披露聲明書及有關買賣衍生產品的注意事項，包括列明衍生產品中的衍生權證、牛熊證及在交易所買賣基金的性質及各種風險，本人/吾等已獲邀閱讀此風險披露聲明書、提出問題及徵求獨立意見(如本人/吾等有此意願)。 | □ Agree 同意<br>□ Disagree 不同意 |

| | | |
|---|---|---|
| v) | **Notes for Trading and operation of Account, Fees and Charges 買賣及帳戶運作須知及收費詳情**<br>I/We acknowledge receipt of the English or Chinese version of the Notes for Trading and Operation of Account, Fees and Charges, Including the price list already viewed on the company website:<br>https://www.yawkai.com.hk/content.asp?pageid=13<br>I/We have read and understood the provisions of all clauses and accept to be bound by the same.<br>本人/吾等確認已經收取英文或中文版本的買賣及帳戶運作須知及收費詳情，包括已參閱公司網站的收費表:<br>https://www.yawkai.com.hk/content.asp?pageid=13<br>本人/吾等已閱讀並明白各項條款，並接受這些條款的約束。 | □ Agree 同意<br>□ Disagree 不同意 |
| vi) | **Client's Declaration for Data Protection 客戶個人資料保障**<br>I/We have carefully read, fully understood and agreed to accept and be bound by the Personal Information Collections Statement (the "Statement") in the Client Agreement of the Company. I/We hereby consents to the contents of the Statement and the use of the data by the Company in direct marketing.<br>本人/吾等已仔細閱讀、完全理解並同意接受並遵守載於本公司的客戶協議中關於個人資料收集聲明（「聲明」），並同意聲明的所有內容及同意本公司使用其個人資料作直接促銷用途。 | □ Agree 同意<br>□ Disagree 不同意 |
| vii) | **Client's Declaration for Personal Information Collection Statement Under the Hong Kong Investor Identification Regime and the OCT Securities Transactions Reporting Regime. 投資者識別碼模式及個人資料收集聲明**<br>I/We have carefully read, fully understood and agreed to accept and be bound by the Personal Information Collections Statement (the "Statement") in the Client Agreement of the Company. I/We hereby consents to the contents of the Statement and the use of the data by the Company in direct marketing.<br>本人/吾等已仔細閱讀、完全理解並同意接受並遵守載於本公司的客戶協議中關於個人資料收集聲明（「聲明」），並同意聲明的所有內容及同意本公司使用其個人資料作直接促銷用途。 | □ Agree 同意<br>□ Disagree 不同意 |

## 15. Declaration and Agreement by Client 客戶的聲明及同意

The undersigned (whose particulars are set out in this Account Opening Form) (the "**Client**"), agrees to open trading account(s) (the "**Account(s)**") with the Company upon and subject to all the provisions of this Account Opening Form and the relevant Sections of "Client Agreement" (the "**Agreement**") applicable to the Account(s) that the Client applies to open.

以下簽署人（其資料詳列於本帳戶開戶表格）（「**客戶**」）同意按照本帳戶開戶表格的所有條款，以及相關章數的《客戶協議》（「**協議**」）中適用於客戶申請開立之帳戶的所有協議，在本公司內開立交易帳戶（「**帳戶**」）。

By signing this Part, the Client hereby declares, agrees and confirms that:-

倘簽署本部份，客戶現聲明、同意及確認:-

(a) the information provided in this Account Opening Form is complete, true and accurate. The Company is entitled to rely fully on such representations and information for all purposes, unless the Client informs the Company in writing of any change to that information;
於本帳戶開戶表格所提供的資料屬完整、真實及準確。本公司有權基於一切目的倚賴此等陳述及資料，除非客戶以書面通知本公司有關資料的任何改變；

(b) the Client has fully read, understood and confirmed, and agrees and accepts to be bound by all the provisions of this Account Opening Form and the Agreement (as amended from time to time) applicable to the Account(s) that the Client applies to open with the Company. The Client has been advised by the Company to seek independent legal advice;
客戶已完全閱讀、明白及確認，以及同意並接納本帳戶開戶表格的所有條款，以及適用於客戶向本公司申請開設之帳戶的所有協議（及其不時作出的修改）並同意受其約束。本公司已建議客戶尋求獨立法律意見；

(c) the contents of the Agreement have been fully explained to the Client in a language which the Client understands;
協議的內容已以客戶明白的語言向客戶作出充分的解釋；

(d) the Company reserves its rights to amend the Agreement from time to time. Such amendments shall be incorporated into the Agreement unless objected to in writing by the Client within 14 days from the notice of the Company;
本公司保留不時更改協議的權利。除非客戶在本公司發出通知後的 14 天之內以書面提出反對，上述的改動將被納入協議之內；

(e) In the event that there is any inconsistency between the English version and the Chinese version of the Account Opening Form and the Agreement, the English version shall prevail. The Company may provide a hard copy of the English version upon request; and
本帳戶開戶表格和協議之中文版本及英文版本如有任何歧義，概以英文版本為準。如有要求，本公司會提供英文版本列印本；及

(f) the Client has read and understood the policy of the Company in relation to information of the Client as contained in the Agreement, and agrees and accept to its terms.
客戶已閱讀及明白本公司載於協議內有關客戶資料的政策部份，並同意及接納其條款。

(g) I/We have read and understood the content of The Company's Personal Information Collection Statement. I/We agree to The Company's use of my/our personal data in accordance with the terms and purposes in the Personal Data Collection Statement.
本人/吾等已經閱讀並理解耀佳個人資料收集聲明的內容。本人/吾等同意耀佳根據個人資料收集聲明中的條款和目的使用本人/吾等的個人資料。(請參考附件)

**Signed by client**

客戶簽署

Date(dd/mm/yy)日期(日/月/年) _____

**16. Witness Signature 見證人簽署**

| Name of Witness<br>見證人姓名 | CE No.<br>中央編號 | Witness Signature<br>見證人簽署 | Date(dd/mm/yy)<br>日期(日/月/年) |
|---|---|---|---|
| | | | |

**17. Declaration by Registered Person (Staff) 持牌人員(職員)聲明**

I, the undersigned, confirm that I have provided the Client Agreement and the Risk Disclosure Statements in a language (English or Chinese) of the client's choice and that I have invited the Client to read the mentioned documents, ask questions and take independent advice, if the Client wishes.
本人，下方簽署者，確認已經向客戶提供了以客戶選擇的語言(英文或中文)之客戶協議及風險披露聲明，並且本人已經邀請客戶閱讀上述文件，提出有關問題及徵求獨立意見(如客戶有此意願)。

Phone Recording (if applicable)
Recording Line No._____
Date_____
Time_____

| Name of Registered Person 持牌人員姓名 | CE No. 中央編號 | Signature 簽署 | Date(dd/mm/yy) 日期(日/月/年) |
|---|---|---|---|
| | | | |

**IF THE DOCUMENT IS NOT EXECUTED BY THE CLIENT(S) IN FRONT OF THE COMPANY'S EMPLOYEE OR ITS AFFILIATE OR SUBMITTED WITH AN APPROPRIATE CHEQUE[1] , BELOW SHOULD BE SIGNED BY A SPECIFIED PERSON[2] [if applicable]**
**如客戶/聯名客戶並非在本公司的僱員面前簽立此文件或連同適當的支票[1]遞交，則以下應由指定人士[2]簽署〔如適用者〕**

The undersigned person hereby certifies the signing of this document (together with the Client Agreement) by the above Client/ Joint Clients (please delete either one) and sighting of related identity documents of such Client(s).
以下簽署人士謹此驗證上述客戶/聯名客戶(請刪去其中一項)簽立此文件(連同上述的客戶協議)及其有關的身份證明文件:-

| **Designated Witness Signature 指定見證人簽署** | **Designated Witness Name 指定見證人姓名** |
|---|---|
| | _____ |
| | ID Card/Passport/CE No. 身份證/護照/中央編號 : _____ |
| Date(dd/mm/yy)日期(日/月/年) _____ | Occupation of Designated Witness 指定見證人職務 : _____ |

Contact details 聯絡資料

Tel. No.電話號碼：_____E-mail Address 電郵地址：_____

[1] A crossed cheque bearing your name shown in your identity document and drawn on your account with a licensed bank in Hong Kong with your same signature(s) as shown in this Form in favour of "Yaw Kai Financial Group Limited" for not less than HKD10,000 (or such other amount as may be advised by the Company. Your approved new account will not be activated until the cheque is cleared.
客戶在香港的持牌銀行開立的帳戶並由客戶所簽發(該簽名須與此開戶表上的客戶簽名相符)並載有客戶在其身份證明文件上所顯示的姓名的劃線支票，而該支票抬頭人須為"耀佳金融集團有限公司"及其數額不得少於 10,000 港元(或本公司通知客戶的其他數額)。客戶被批核的新帳戶必須待支票兌現後才可使用。

[2] Any SFC licensed or registered person, an affiliate of such person, a Justice of the Peace, a Branch Manager of a bank, Certified Public Accountant, Lawyer designated by Yaw Kai Financial Group Limited, Notary Public or Chartered Secretary.
任何香港證監會持牌人或註冊人、其聯繫人士、太平紳士、銀行分行經理、執業會計師、耀佳金融集團有限公司之指定律師、公證人或特許秘書。

## 注意事項 Notes

1. 請隨本表格附上全部帳戶持有人之身份證副本及最近三個月內之住宅及通訊地址證明文件(郵政信箱恕不接受)。
   Please enclose an ID copy and residential and correspondence address(es) proof dated within the last 3 months (P.O. box is not accepted) for all account holders with this Form.
2. 全部帳戶持有人必須在耀佳金融集團有限公司或聯繫人士的職員/代理人面前填妥及簽署本表格；如非親身開戶，請參看下方的註解 6。
   This Form should be completed and signed by all account holders in front of an employee or agent of Yaw Kai Financial Group Limited or its Associates. Otherwise, please see Note 6 below.
3. 全部帳戶持有人應向耀佳金融集團有限公司報告公司的稅務身份的所有變化。任何有關個人資料的刪改必須由全部帳戶持有人簽署作實。 Account Holder(s) should report all changes in his/her tax residency status to Yaw Kai Financial Group Limited. Any deletion or amendment of the personal information must be signed by all account holders.
4. 帳戶持有人的款項將會被存入本表格內所提供的指定銀行帳戶，除非另行通知。
   All monies payable to the account holder will be credited to the designated bank account(s) nominated on this Form, unless otherwise instructed.
5. 耀佳金融集團有限公司恕不接受第三者存款。任何例外情況都需要管理層的預先批准。
   Third-party deposit will not be accepted. Any exception is subject to prior management approval.
6. 如資料表並非在耀佳金融集團有限公司或聯繫人士的職員 / 代理人面前簽署，帳戶持有人必須遵從以下其中一個程序要求：
   If this Form is not executed by the account holders in front of an employee or agent of Yaw Kai Financial Group Limited or its Associates, the account holders should comply with either one of the following procedural requirements:
   (i) 交給耀佳金融集團有限公司在香港持牌銀行開立的帳戶所簽發不少於 10,000 港元的個人支票，該支票的簽名及姓名須與本表格的客戶簽名及身份證明文件相符，而支票抬頭為須為" 耀佳金融集團有限公司 "。客戶亦需將一份已簽署的客戶協議連同該客戶的身分證明文件（客戶的身分證或其護照的有關部分）副本交給貴司，以核實客戶的簽名及身分。客戶的帳戶必須待支票兌現後才可使用；或
   Send a personal cheque in favour of Yaw Kai Financial Group Limited for not less than HK$10,000 drawn on an account with a licensed bank in Hong Kong, bearing the signature(s) as on this Form and name(s) as on the identity document(s). The client must also provide a signed client agreement along with a copy of the client's identification document (the relevant portion of the client's identity card or passport) to verify the client's signature and identity. The new account will not be activated until the cheque is cleared; or
   (ii) 由其他持牌人或註冊人、耀佳金融集團有限公司的聯繫人士、太平紳士、銀行分行經理、執業會計師、律師、公證人或特許秘書見證客戶的簽名及身份證明文件。
   Have any other licensed or registered person, Associate of Yaw Kai Financial Group Limited, Justice of the Peace, Branch Manager of a bank, Certified Public Accountant, Lawyer, Notary Public or Chartered Secretary certify the signature and identity documents of the account holders.
7. 根據"稅務條例"，任何人獲悉在聲明上作出具誤導性，虛假或不正確的陳述，或罔顧該聲明在陳述上是否具誤導性，虛假或不準確之處，即屬違法。任何人觸犯該罪行，一經定罪，可處第 3 級罰款(即$10,000)。
   It is an offence under the Inland Revenue Ordinance if any person, 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).

## For Official Use Only 只供公司內部使用

| 文件核查列表 (客戶服務部) | 交收部 | 客戶服務部 (文件確認) | |
|---|---|---|---|
| 主戶<br>□ 身份證/護照副本<br>□ 住址證明副本<br>□ 第三者授權書<br>□ 僱主同意信<br>□ 網上報價服務協議<br>□ 見證人簽署<br>□ 持牌人簽署<br><br>副戶<br>□ 身份證/護照副本<br>□ 住址證明副本<br>□ 第三者授權書 | □ 輸入客戶資料<br>□ 網上交易系統登入名稱發送<br>□ 網上交易系統密碼發送<br>□ 文件掃描歸檔 | 職員姓名 | 職員簽署 |
| | | 交收部 (客戶資料核對)<br>職員姓名 | 職員簽署 |
| | 合規部<br>☐ AML Report | 合規部<br>職員姓名 | 職員簽署 |

| 基本佣金 | | 介紹人 | 客戶主任 | 與客戶認識年期 |
|---|---|---|---|---|
| 港股佣金(%)<br>電話交易<br><br>網上交易 | 港股最低佣金($)<br>電話交易<br><br>網上交易 | | | |

| 信用限額 | | |
|---|---|---|
| 職員姓名 | 職員簽署 | 信用限額 |

| 備註 | For and on behalf of<br>Yaw Kai Financial Group Limited approve, acknowledges and agrees<br>代表耀佳金融集團有限公司批核、確認並同意<br><br>Authorized Signature<br>授權簽署<br>Name 姓名<br>Position 職 位<br>Date 日期 |
|---|---|

# Securities Collateral Standing Authority (For Margin Client Only)
# 證券抵押品常設授權書 (只供保證金客戶簽署)

**To 致：Yaw Kai Financial Group Limited 耀佳金融集團有限公司**

**Standing Authority under Securities & Futures (Client Securities) Rules 根據《證券及期貨(客戶證券)規則》所設立的常設授權**

This standing authority is in respect of the treatment of our securities collateral as set out below:
本常設授權是有關處置吾等之證券或證券抵押品，詳列如下：

Unless otherwise defined, the terms used in this standing authority shall have the same meanings as in the Securities & Futures Ordinance and Securities & Futures (Client Securities) Rules as amended from time to time.
除非另有說明，本授權書之名詞與《證券及期貨條例》及《證券及期貨(客戶證券)規則》不時修訂之定義具有相同意思。

This standing authority authorizes you to 本常設授權書授權貴公司：

1. apply any of our securities or securities collateral in accordance to Terms and Conditions of Client Agreement of Margin client paragraph 19;
   依據證券保證金客戶協議之條款及守則第 19 條，貴公司可運用任何吾等的證券或證券抵押品;
2. deposit any of our securities collateral with an authorized financial institution as collateral for financial accommodation provided toyou;
   將任何吾等的證券抵押品存放於認可財務機構，作為該機構向 貴公司提供財務通融之抵押品；
3. deposit any of our securities collateral with Hong Kong Securities Clearing Company Limited ("HKSCC") as collateral for the discharge and satisfaction of your settlement obligations and liabilities. We understand that HKSCC will have a first fixed charge over our securities to the extent of your obligations and liabilities;
   將任何吾等的證券抵押品存於香港中央結算有限公司(「中央結算」)，作為解除 貴公司在交收上的義務和清償 貴公司在交收上的法律責任的抵押品。吾等明白中央結算因應 貴公司的責任和義務而對吾等的證券設定第一固定押記；
4. deposit any of our securities collateral with any other recognized clearing house, or another intermediary licensed or registered for dealing in securities, as collateral for the discharge and satisfaction of your settlement obligations and liabilities; and
   將任何吾等的證券抵押品存於任何其他的認可結算所或任何其他獲發牌或獲註冊進行證券交易的中介人，作為解除 貴公司在交收上的責任和義務和清償 貴公司在交收上的法律責任的抵押品；及
5. apply or deposit any of our securities collateral in accordance with paragraphs 1,2,3, and/or 4 above if you provide financial accommodation to us in the course of dealing in securities and also provide financial accommodation to us in the course of any other regulated activity for which you are licensed or registered.
   如貴公司在進行證券交易及貴公司獲發牌或獲註冊進行的任何其他受規管活動的過程中向吾等提供財務通融，即可按照上述第(1)、第(2)、第(3) 及/或第(4)段所述運用或存放任何吾等的證券抵押品。

- You may do any of these things without giving us notice. We acknowledge that this standing authority shall not affect your right to dispose or initiate a disposal by our affiliates of our securities or securities collateral in settlement of any liability owned by or on behalf of us to you, the affiliates or a third person.
  貴公司可不向吾等發出事前通知而採取上述行動。吾等確認本授權書不影響 貴公司為解除由吾等或代吾等對 貴公司、貴公司之聯繫實體或第三者所負的法律責任，而處置或促使 貴公司的聯繫實體處置吾等之證券或證券抵押品的權利。
- This standing authority is given to you in consideration of your agreeing to continue to maintain the securities margin account(s) forus.
  此賦予貴公司之授權乃鑑於貴公司同意繼續維持吾等之證券保證金帳戶。吾等明白吾等的證券可能受制於第三者之權利，貴公司須全數抵償該等權利後， 方可將吾等的證券退回吾等。
- We under that a third party may have rights to our securities, which you must satisfy before our securities can be returned tous.
  吾等明白吾等的證券可能受制於第三者之權利，貴公司須全數抵償該等權利後，方可將吾等的證券退回給吾等。
- This standing authority is valid for a period of not more than 12 months. We understand that this standing authority may be revoked by giving you written notice. Such notice shall take effect upon the expiry of 14 days from the date of your actual receipt of suchnotice.
  本常設授權書的有效期為十二個月，自本授權書之日起計有效。吾等可以向 貴公司客戶服務部位於上述所列明之地址發出書面通知，撤回本授權書。該等通知之生效日期為 貴公司真正收到該等通知後之 14 日起計。
- We understand that this standing authority may be deemed to be renewed on a continuing basis without our consent if you issue us a written reminder at least 14 days prior to the expiry date of this standing authority, and we do not object to such expiry date.
  吾等明白 貴公司若在本常設授權書的有效期屆滿前 14 日之前，向吾等發出書面通知，提醒吾等本授權書即將屆滿，而吾等沒有在此授權屆滿前反對此授權續期，本授權書應當作在不需要吾等的書面同意下按持續的基準已被續期。
- In the event of any difference in interpretation or meaning between the Chinese version and English version of this standing authority, we agree that the English version shall prevail.
  倘若本授權書的中文本與英文本在解釋或意義方面有任何異議，吾等同意應以英文本為準。
- We acknowledge that this standing authority and re-pledging practice of your Company has been fully explained to us and we understand and agree with the contents of this standing authority.
  吾等就本常設授權書的內容及貴公司的轉按政策獲得解釋，並且吾等明白及同意本授權書的內容。

| Client Signature 客戶簽署 | Date 日 期 |
|---|---|
| | |

# Bond Risk Disclosure Statement
# 債券風險披露聲明

## Principal Risks of the Product 產品主要風險

**Investors should carefully review the details and risks disclosed in the relevant product subscription agreement (if applicable) before deciding whether to invest in this product. The principal risks include, but are not limited to, those outlined below:**

投資者在決定是否投資該產品前，應審慎閱讀相關產品認購書（如適用）所披露的細節及風險。主要風險包括但不限於下頁所載：

1. Credit Risk 信貸風險
   Investors are exposed to the credit risk of the bond issuer and the guarantor (if applicable). Any changes in their credit ratings may affect the price and value of the bond.
   債券的流動性可能有限，及可能無活躍交易，及/或沒有經紀在市場提供報價，因此：

2. Liquidity Risk流動性風險
   Bonds may have limited liquidity and may not be actively traded. There may be no market makers providing quotes. Therefore:
   (i) Market values and/or indicative bid/ask prices may not be available at all times, depending on market liquidity and conditions;
   (ii) Selling bonds in the market may take longer or be impossible;
   (iii) Execution prices may differ significantly from the Bank’ s indicative bid prices, to the detriment of investors.
   投資者須承擔發債機構及擔保機構（如適用）的信貸風險，他們的信貸評級如有任何變動將會影響本債券的價格及價值。債券附帶發債機構違責的風險，即發行機構有機會未能如期支付本金和利息。在最壞的情況下如發行人及擔保人（如適用）破產，投資者可能會損失全部投資。信貸評級機構給予的信貸評級并非對發債機構信用可靠程度的保證。
   (i) 不可以在任何時間均能提供債券的市值及/或參考買入/賣出價，因其將取決於市場的流動性和情況；
   (ii) 可能需要較長時間或無法於市場上出售債券及；
   (iii) 所執行的賣出價可能與本行參考買入價有很大的差別，對投資者不利。

3. Interest Rate Risk利率風險
   Bonds are sensitive to interest rate fluctuations. Generally, bond prices fall when interest rates rise.
   債券較易受到利率波動的影響。一般來說，利率上升，債券價格便會下跌。

4. Market Risk市場風險
   The value of investments may fluctuate due to political, legal, economic conditions, and interest rate changes. These factors affect all markets and asset classes. Investors may receive less than their original investment.
   投資價值可能會因政治、法律、經濟條件及利率變化而有波動。這些變化在全部市場及資產類別上都很普遍，投資者取回的投資金額有可能少於初次投放的資金。

5. Foreign Currency Risk外幣風險
   For bonds denominated in foreign currencies, investors may incur exchange losses when converting redemption proceeds into their local or base currency.
   以外幣報價之債券，當把贖回之金額轉換為本土或基本貨幣時，投資者有可能出現兌換損失。

**Customer Declaration** 客户聲明**:**

I hereby declare that I agree and understand the Bond Risk Disclosure.

本人(等) 謹此聲明: 本人(等) 同意及清楚明白債券風險披露聲明。

_____ _____

Signature of Account Holder 帳户持有人簽署

Date 日期