

Yellow River Securities Limited is licensed to carry on Type 1 regulated activity under the SFO (CE No. BIX927).

黃河證券有限公司根據證券及期貨條例獲發牌經營第一類受規管活動(證券交易)(中央編號: BIX927)

RM 2701B, TOWER 1, 27F, ADMIRALTY CENTER 18 HARCOURT ROAD, ADMIRALTY HK,

香港金鐘夏慤道 18 號海富中心 1 座 27 樓 2701B 室

Website: www.yrsl.com.hk TEL: 38992700

ACCOUNT OPENING FORM 開戶表格 (Individual 個人)

Company 公司		Account Type 帳戶類型	
Yellow River Securities Limited (CE No.: BIX927) 黃河證券有限公司 (中央編號: BIX927)		<input type="checkbox"/> Hong Kong Securities Account (Margin) 香港證券帳戶(保證金) <input type="checkbox"/> US Securities Account (Margin) 美國證券帳戶(保證金)	<input type="checkbox"/> Cash Account 現金帳戶 HKD <input type="checkbox"/> Cash Account 現金帳戶 USD
Individual Account Information 個人帳戶資料			
Salutation 稱呼: <input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Ms. 女士		Nationality 國籍:	
Identity document type 證件類型: <input type="checkbox"/> ID Card 身份證 <input type="checkbox"/> Passport 護照			
Place of Issue 證件簽發地:		ID Card/Passport No 身份證/護照號碼:	
Chinese Name 中文姓名:			
English Surname 英文姓:		English Given name 英文名:	
Second Identity document type (If applicable) 第二證件類型 (如適用): <input type="checkbox"/> ID Card 身份證 <input type="checkbox"/> Passport 護照			
Place of Issue 證件簽發地:		ID Card/Passport No 證件身份證/護照號碼:	
Chinese Name 中文姓名:			
English Surname 英文姓:		English Given name 英文名:	
Place of birth 出生地點:			
Date of Birth 出生日期:			
Gender 性別: <input type="checkbox"/> Male 男 <input type="checkbox"/> Female 女			
Education 教育程度: <input type="checkbox"/> Primary and below 小學或以下 <input type="checkbox"/> High/Junior High School 中學 <input type="checkbox"/> College Degree/Diploma 大專 <input type="checkbox"/> Bachelor Degree 本科 <input type="checkbox"/> Master degree and above 碩士及以上			
Residential Address: 身份證/居住地址:			
Mailing Address: 郵寄地址:			
Mobile Phone No. 手提電話號碼:		E-mail 電郵:	
Correspondence and Statements to be sent to: (please select either one) 書信及帳單請寄交本人(只選一項): <input type="checkbox"/> E-mail 電郵 <input type="checkbox"/> Residential Address 身份證/居住地址 <input type="checkbox"/> Office Address 辦公室地址			
Career Information 職業信息			
Employment Type 職業性質: <input type="checkbox"/> Employed 在職 <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Student 學生 <input type="checkbox"/> Homemaker 家庭主婦/主夫 <input type="checkbox"/> Unemployed 待業			
Name of Employer of Account Holder (1): 客戶受僱機構名稱:			
Nature of Business: 業務性質:		Position: 職位:	
Office Address: 辦公室地址:			
Years of Service 服務年資:			
Financial Information 財務資料			
Source of funds 資金來源: <input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Commission 佣金 <input type="checkbox"/> Business Profit 業務溢利 <input type="checkbox"/> Dividend / Interest 股息 <input type="checkbox"/> Household Income 家用 <input type="checkbox"/> Saving 儲蓄 <input type="checkbox"/> Retirement Pension 退休金 <input type="checkbox"/> Mortgage / Loan 按揭/借貸 <input type="checkbox"/> Others 其他 _____			
Annual Income 每年收入 (HK\$) <input type="checkbox"/> <\$200,000 <input type="checkbox"/> \$200,001 ~ \$500,000 <input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> \$1,000,001 - \$5,000,000 <input type="checkbox"/> >\$5,000,000			
Asset Type 資產項目: <input type="checkbox"/> Deposits 存款 <input type="checkbox"/> Listed Securities 證券 <input type="checkbox"/> Foreign Exchange 外匯 <input type="checkbox"/> Property 房產 <input type="checkbox"/> Bonds/Funds 債券/基金 <input type="checkbox"/> Others 其他: _____			
Total Net Value of Assets 資產淨值 (HK\$港幣): <input type="checkbox"/> <\$500,000 <input type="checkbox"/> \$500,001-\$2,500,000 <input type="checkbox"/> 2,500,001-\$5,000,000 <input type="checkbox"/> > HK\$5,000,000			

Client Investment Experience and Objective 客戶投資經驗及目標

Investment Objective 投資目的：

- Preservation of Capital 保守性投資 Income 收入 Growth 增長 Trading Profits 交易收益
 Speculation 投機買賣 Hedging 對沖 Others _____

Risk Tolerance 風險承受能力： Low 低 Medium 中等 High 高

Number of transactions per month 每月交易次數：

- 0 transactions / month 0 筆交易/月 1-10 transactions / month 1-10 筆交易/月
 11-25 transactions / month 11-25 筆交易/月 26-50 transactions / month 26-50 筆交易/月
 51-100 transactions / month 51-100 筆交易/月 > 100 transactions / month > 100 筆交易/月

Investment Products and Investment Experience 曾買賣產品及投資經驗

- Stock 股票： < 1 year 少於一年 1-5 years 一至五年 6-10 years 六至十年 > 10 years 多於十年
Index Options /Futures 指數期權/期貨： < 1 year 少於一年 1-5 years 一至五年 6-10 years 六至十年 > 10 years 多於十年
Warrants / Stock Options 認股證/股票期權： < 1 year 少於一年 1-5 years 一至五年 6-10 years 六至十年 > 10 years 多於十年
FX/Bullion 外幣/黃金 < 1 year 少於一年 1-5 years 一至五年 6-10 years 六至十年 > 10 years 多於十年
Structured Investment Products 結構性產品 < 1 year 少於一年 1-5 years 一至五年 6-10 years 六至十年 > 10 years 多於十年

CLIENT'S KNOWLEDGE OF DERIVATIVE / COMPLEX PRODUCTS 客戶對衍生/複雜的產品的認識

1. Do you want to trade derivatives? If yes, please answer the second question 您是否有意進行衍生品的買賣？若是，請回答第 2 個問題

-
- Yes 是
-
- No 否

2. Do you have any relevant trading experience in the following derivatives? 您是否有以下衍生品相關經驗？

- a) The Client underwent training or attended courses on derivative / complex products; and/or
客戶曾接受有關衍生/複雜產品的培訓或修讀相關課程；及/或
- b) The Client has current or previous work experience related to derivative / complex products; and/or
客戶現時或過去擁有與衍生/複雜產品有關的工作經驗；及/或
- c) The Client has executed five or more transactions within the past three years in derivative products, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures and Options, Commodities, Structured Products, and Exchange Traded Funds, etc.
客戶於過去 3 年曾執行 5 次或以上有關衍生產品的交易，例如：衍生權證、牛熊證、股票期權、期貨及期權、商品、結構性產品及交易所買賣基金等。

-
- I have the above experience and/or knowledge on derivative product(s).

本人有上述一個或以上的經驗。

-
- I do not have the above experience and/or knowledge on derivative product(s), but I confirm that I fully read, agreed and understood the relevant risks of the derivative product(s). I understand that I have to acquire enough understanding on derivative product(s) before trading them and I fully accept all relevant risks.

本人沒有上述經驗，但已細閱、同意及明白所有關於衍生產品的風險聲明，本人明白於買賣有關衍生產品前必須先具備足夠的認識，並願意接受一切有關的風險。

Yellow River Securities Limited has accessed the Client based on the information provided above, and have notified the Client that it is compulsory to understand the derivative products before trading them. Yellow River Securities Limited has also warned the Client about the nature and risk of the derivative products.

黃河證券有限公司已根據以上的資料對客戶進行評估，並已通知客戶買賣有關衍生產品前必須先具備足夠的認識，及提示客戶有關衍生產品之性質及風險。

Identity Declaration 身份聲明

1. The Client is the ultimate and sole beneficial owner(s) of the Account(s) and is fully responsible for all instructions for the operation of the said Account(s)? 客戶是帳戶的最終及唯一實益擁有人，並完全負責為該(等)帳戶運作所發出的一切指示？

-
- Yes 是
-
- No 否 If not, please specify the ultimate beneficial owner(s) 如不是，請披露最終權益人。

Name 姓名：_____ ID/Passport No. 身份證/護照號碼 _____

Phone No. 電話：_____ Address 地址：_____

2. Are you the director or an employee or an accredited person of a HKEX Exchange Participant or SFC's licensed or registered person? 客戶是否聯合交易所參與者或證監會持牌或註冊人之董事、僱員或認可人士？

-
- Yes 是
-
- No 否 (If yes, please specify 如果是，請述明具體：Licensed Corporation/Registered Institution 持牌法團/註冊機構名稱：_____

Position 職位：_____

CE No. 中央編號：_____ (Please provide employer's consent letter 請提供僱主之書面同意書)

3. Does the Client have any relationship with the director(s) or employee(s) of Yellow River Securities Limited or their respective associated companies? 客戶是否與黃河證券有限公司或其各自之聯營公司之董事或僱員有任何親戚關係？

-
- Yes 是
-
- No 否 (If yes, please specify 如果是，請述明具體：Name of Director or Employee 董事或僱員姓名：_____

Relationship 關係：_____)

4. Are you a US citizen or resident for US for tax purposes or have any relationship with US (e.g born in US, have any US residential/ correspondence address (include US post office box) or telephone number)? 客戶是否美國公民或就稅務目的而言的居民或跟美國有什麼關係 (例如在美國出生, 擁有美國的住址 / 通訊地址 (包括美國郵政信箱) 或美國電話號碼?)

Yes 是 No 否

5. Does the spouse of the Client have any related margin financing account with Yellow River Securities Limited?
客戶的配偶是否在本公司開有任何相關保證金融資帳戶?

Yes 是 No 否 (If yes, please specify 如果是, 請述明具體: Name of the Spouse 配偶姓名: _____
Account No. 帳戶號碼: _____)

6. The Client, either alone or with his/her spouse, is/are not in control of 35% or more of the voting rights of another margin client of Yellow River Securities Limited? 客戶是否有單獨或與配偶共同控制黃河證券有限公司其他保證金帳戶持有人35%或以上之表決權。

Yes 是 No 否 (If yes, please specify 如果是, 請述明具體: Account No. 帳戶號碼: _____)

Politically Exposed Persons 政治人物

7. Are you linked to politically exposed persons ("PEP")? 客戶是否與政治人物* 有聯繫

Yes 是 The Client declares and confirms that he is a PEP*, and details are provided below: 客戶聲明及確認其乃政治人物*, 詳情如下:

Name of person entrusted with public function 擔任公職人士之姓名: _____

Relationship with Client 與客戶關係: Self 本人 Others 其他 (please specify 請註明): _____

Position 職位: _____ Name of the public body 公共機構名字: _____

Country 國家: _____ Year of Service 服務年期: _____

No 否 The Client declares and confirms that he is not a PEP*. 客戶聲明及確認其並不是政治人物*。

* Politically Exposed Person ("PEP") means *政治人物指:

a) an individual who is or has been entrusted with a prominent public function (including a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation or an important political party official, but not including any middle-ranking or more junior officials); 擔任或曾經擔任重要公職的個人 (包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事, 但不包括任何中級或更低級官員);

b) a spouse, partner, child or parent of an individual falling within paragraph (a), or a spouse or partner of a child of such an individual; or (a) 段所指的個人配偶、伴侶、子女或父母、或該名個人的子女的配偶或伴侶; 或

c) a "close associate" of an individual falling within paragraph (a). 與(a) 段所指的個人關係密切的人。

"close associate": a person is a close associate of an individual if the person is: (i) an individual who has close business relations with the first-mentioned individual, including an individual who is a beneficial owner of a legal person or trust of which the first-mentioned individual is also a beneficial owners; or (ii) an individual who is the beneficial owner of a legal person or trust that is set up for the benefit of the first-mentioned individual. "關係密切的人": 如某人符合以下說明, 該人即屬與某名個人 (首述個人) 關係密切的人: (i) 該人是與首述個人有密切業務關係的個人 (包括在首述個人屬某法人或信託的實益擁有人的情況下, 同樣屬該法人或信託的實益擁有人的個人); 或 (ii) 該人是屬某法人或信託的實益擁有人的個人, 而該法人或信託是為首述個人的利益而成立的。

8. Is the nature of your business particularly susceptible to money laundering risk? (For example, money changer or casino business that handles large amount of cash) 客戶的業務性質是否特別容易蒙受較高的洗黑錢風險? (舉例: 如會接觸大量現金往來, 找換業或博彩業)

Yes 是 No 否 (If yes, please specify 如果是, 請述明具體: 請述明具體 please specify: _____)

Receive Direct Sales Marketing Materials 接收直銷推廣

The Client consent Yellow River Securities Limited to use his/her personal data in direct marketing via the following channel(s) (please use "√" to select the channel(s)):-

客戶同意黃河證券有限公司使用其個人資料經以下管道作直銷推廣 (請以"√"選擇管道):-

Electronic Channels 電子管道 Mail 郵件 Personal Call 專人電話

If the Client returns this Form without ticking any of the above boxes, it means that the Client wishes to opt-out from any form of Yellow River Securities Limited's direct marketing. 如客戶沒有在以上任何方格內以"√"號顯示其選擇, 即代表客戶拒絕黃河證券有限公司任何形式的直銷推廣。

Acknowledgement and Declaration by Client 客戶聲明及簽署

- I/We confirm that the client identification data provided to Yellow River Securities Limited is in accordance with the priority requirement required by the regulators. 1st priority: HKID Card, 2nd priority: National identification document, 3rd priority: Passport.
本人/吾等確認本人/吾等提供給黃河證券有限公司的客戶識別信息符合監管要求的身分證明文件類別的優先次序。第一優先: 香港身份證, 第二優先: 國民身分證明文件, 第三優先: 護照。
- I/We have read the Client Agreement and Risk Disclosure Statement of Yellow River Securities Limited (hereinafter referred to as "Yellow River Securities Limited");
本人/吾等已詳細閱讀黃河證券有限公司提供的客戶協議以及的風險披露聲明;
- Yellow River Securities Limited has explained to me/us the contents of Client Agreement and Risk Disclosure Statement provided by Yellow River Securities Limited, and I/We have understood and agreed that the Client Agreement will be either in English or Chinese as selected by me/us;
黃河證券有限公司已詳細給本人/吾等解釋由黃河證券有限公司提供的有關客戶協議書以及香港的風險披露聲明的內容, 而本人/吾等已明白並同意客戶協議書以中文或英文書就 (具體的協議語言以本人屆時的選擇為準);

- If I/We choose to use the Application Programming Interface (“API”) provided by Yellow River Securities Limited, it means that I/We confirm that I/We have understood and read the guidelines and related documents provided on the Yellow River Securities Limited website and have a deep understanding of electronic trading. Besides, I/We confirm that I/We are aware of and fully understand the compliance and regulatory issues related to electronic trading;
如果本人/吾等選擇使用黃河證券有限公司提供的程序化交易的接口(“API”)，則表明本人/吾等確認本人/吾等有留意並已閱讀在黃河證券有限公司網頁上提供的指引及相關文件，並對程序化交易有做深入的了解，以及本人/吾等確認本人/吾等有留意並充分了解跟程序化交易相關的合規及監管問題;
- I/We have been given sufficient opportunity to confirm with Yellow River Securities Limited’s representatives and consult with the legal counsel regarding the Client Agreement and Risk Disclosure Statement;
黃河證券有限公司已給與本人/吾等足夠的機會去向黃河證券有限公司的代表查詢以及就黃河證券有限公司的客戶協議書以及風險披露聲明征詢本人的法律顧問的意見;
- I/We have obtained the Client Agreement and Risk Disclosure Statement provided by Yellow River Securities Limited. I have confirmed that I am trading on my own. I also understand that when Yellow River Securities Limited calculates the balance of my account, there is an opportunity for Yellow River Securities Limited to do offset using the payable amount from me/us and payable amount from Yellow River Securities Limited;
本人/吾等已拿取黃河證券有限公司的客戶協議書以及風險披露聲明。本人已確認本人是自己在戶口進行交易，本人亦清楚明白當黃河證券有限公司計算本人戶口的結餘時，黃河證券有限公司有機會將由黃河證券有限公司應繳付給本人/吾等的款項或由本人/吾等應繳付給黃河證券有限公司的款項互相抵銷;
- I/We have read and completed the account opening application and the additional questions about account opening provided by Yellow River Securities Limited, and I/We agree that all the information I/We provided to Yellow River Securities Limited is accurate and correct;
本人/吾等已閱讀並完成開戶申請以及由黃河證券有限公司提供的有關開戶的額外問題，本人/吾等同意本人/吾等之前提供給黃河證券有限公司的所有資料是正確的;
- I/We have agreed to sign other additional documents, including but not limited to Risk Disclosure Statement and other relevant documents, by electronic signature when opening the account or at other times;
本人/吾等已同意以電子簽名的方式在開立戶口時或其他時間去簽署其他額外文件，包括但不限於風險披露聲明以及其他相關的文件;
- I/We want to use a cash account and/or margin account with electronic trading services, I/We have read and understood and agreed to accept the Client Agreement (including its appendix, schedule or additional terms of cash account and/or margin account) which may be amended from time to time;
本人/吾等欲使用附電子交易服務現金賬戶及或保證金賬戶，本人/吾等已閱讀及清楚明白並同意接受可不時被修改的客戶協議書（包括其附件、附表、或其現金賬戶及或保證金賬戶之附加條款）;
- Regarding margin (and or cash) accounts, I/We also reiterate that Yellow River Securities Limited or its agent has been authorized by me/us to contact my/our banks, brokers and any credit counseling agencies at any time for the purpose of assessing my/our credit.
當涉及到保證金(及或現金)賬戶時，本人/吾等亦重申黃河證券有限公司或其代理人，已獲本人/吾等授權，可隨時聯絡本人/吾等之銀行、經紀及任何信貸諮詢機構，以作評核本人/吾等信貸之用。
- I/We shall apply to Yellow River Securities Limited in accordance with Securities and Futures (Client Money) Rules (Chapter 571I of the Hong Kong Laws) & Securities and Futures (Client Securities) Rules (Chapter 571H of the Hong Kong Laws) and Client Agreement (including its appendix and schedule). A permanent authorization is issued to authorize Yellow River Securities Limited to deal with the assets in my/our account and the securities pledged to Yellow River Securities Limited in accordance with the aforementioned laws and agreements.
本人/吾等根據《證券及期貨(客戶款項)規則》(香港法例571I章)、《證券及期貨(客戶證券)規則》(香港法例571H章)及客戶協議書（包括其附件和附表）向黃河證券有限公司做出常設授權，授權黃河證券有限公司按照前述法例及協議處理本人/吾等的賬戶內的資產和抵押予黃河證券有限公司的證券。

If there is any discrepancy between the English version and Chinese version, the English version shall prevail.

Client’s Signature 客戶簽署:



Name 姓名:

Date 日期:

Witness Declaration and Signature 見證人簽署

I declare and confirm that the account opening documents are executed by the client in my presence and the original of client’s identity documents has been checked.
本人聲明及確認開戶文件是由客戶在本人面前簽立，並已核對客戶身份證明文件原件。

Signature of Witness 見證人簽署：



Name of Witness 見證人姓名：

Witness’s Nature 見證人類別：

Witness’s Certificate no. 見證人編號：

Date 日期：