

Dear Madam/Sir,

敬啟者：

Private Clients Account
個人客戶戶口

Please find enclosed herewith our account opening forms together with instruction on how to complete the account opening forms.

現隨函附上本行的開立戶口申請表格，連同申請開立戶口填表指引以供細閱。

Kindly please provide the following additional information:

閣下須提供以下的資料：

- 1) Copy of Passport or Hong Kong Identity Card of each person authorised to operate the account; 申請人及每一位受權運作戶口人仕之香港身份證明文件或有效護照副本一份；
- 2) Proof of address, e.g. bank statement, property tax demand, gas/electric bills; 住址證明(須印有申請人或受權運作戶口人仕之姓名)，如：銀行月結單、物業稅單、煤氣單或電費單等；
- 3) A witness is required to confirm your signature and identity, usually that witness would be our Account Executive. However, other witnesses such as a doctor, dentist, lawyer, Justice of Peace, or similar person of professional standing are also acceptable.
一位見證人以證明申請人或受權運作戶口人仕之簽署識別。一般情況下，本行的客戶經理可以出任為見證人，而本行亦接受一些專業人仕，如：醫生、牙醫、律師、太平紳士或其他擁有同等社會專業地位的人仕作為見證人。

Clients should understand the risks in investments and that prices do go up as well as down, and in some cases may even become worthless.

投資者必須瞭解在證券買賣中固有之風險，即除可能獲利外，亦可能有損失，或在有些情況下可能變成毫無價值。

Should you have any query regarding the completion of the account opening forms, you are welcome to contact us for further clarification.

閣下如對申請開立戶口事宜有任何疑問，歡迎致電本行作進一步查詢。

Yours faithfully,

此致

Hani Securities (H.K.) Limited

恆利證券(香港)有限公司

Instruction on how to complete the enclosed account opening forms

申請開立戶口填表指引

The enclosed account opening forms are designed to suit different accounts. You may find that many of the clauses in the Agreements are repeated, this is normal, and you still have to complete all the forms if you wish to trade in all securities listed in Hong Kong.

隨函附上本行的開立戶口申請表格可供不同戶口使用，因此以下的合約條款或會有重覆出現；如閣下欲在香港股票市場進行任何證券交易，請填妥所有有關表格。

Cash Client Account Opening Form

開立現金客戶戶口申請表格

Complete and fill in the relevant details and sign the Specimen Signature of the Authorised Person.

填妥此項表格上有關所須資料及加上簽署樣本。

Read the Agreement, then sign the back of the form in front of a Witness. And then ask the Witness to complete his/her details and also sign the form.

細閱合約內容，並在見證人的見證下，在表格背後簽署；同時見證人亦須於表格上填妥有關資料，然後簽署作實。

Complete the Account Opening Questionnaire – this is required by the Securities and Futures Commission to understand more about the client and to guard against money laundering.

最後，應香港證券及期貨事務監察委員會要求，填報一份開立戶口問券調查，主要目的讓證監會了解客戶、監守及提防洗黑錢活動。

Internet Trading Agreement (Hong Kong Market) - OPTIONAL

互聯網上交易合約(香港股票市場) - 選擇性

If you wish to place orders via the Internet through our Internet trading system, you must complete this Agreement.

填妥此項合約，才可以透過本行的互聯網電子交易系統進行網上證券交易。

Again, you must complete the Risk Disclosure Statement (GEM) and also the Internet Trading Cash Client's Agreement.

填妥及簽署一份(創業板)風險披露聲明及互聯網現金客戶合約。

Note: Even though the enclosed Agreements are in the format and languages stipulated by the Stock Exchange of Hong Kong, there may be variations. You MUST READ and FULLY UNDERSTAND these Agreements before signing such documents.

註：隨函附上所有合約乃根據香港聯合交給予的形式及字眼而編成，惟仍可能會有偏差，因此閣下於申請任何一項服務及簽署文件前，**必須細閱及清楚每一份有關合約的內容及條款。**

中文譯本只供參考