



**ACCOUNT OPENING APPLICATION FORM  
INDIVIDUAL / JOINT ACCOUNT**

開戶申請表格  
個人/聯名帳戶

Account Name 帳戶姓名	Account No. 帳戶編號

Name of Account Executive 經紀名稱	Code of Account Executive 經紀編號

Account Type 帳戶類別
<input type="checkbox"/> Cash Account without Online Trading Services 現金帳戶（不設網上交易服務）
<input type="checkbox"/> Cash Account with Online Trading Services 現金帳戶（設有網上交易服務）

**Account Opening Application Form - Individual/Joint Account**

開戶申請表格 - 個人/聯名帳戶

Main Account Holder 主要戶口持有人			Joint Account Holder 聯名戶口持有人		
<b>1. Name 姓名</b>					
In Chinese 中文		In English 英文		In Chinese 中文	
<b>2. Personal Information 個人資料</b>					
Residential Address 住宅地址			Residential Address 住宅地址		
Please provide residential address proof within the latest 3 months 請提供最近三個月之住宅地址證明			Please provide residential address proof within the latest 3 months 請提供最近三個月之住宅地址證明		
ID No. (or Passport No. and country of issue) 身份證號碼 (或護照號碼及簽發國家)			ID No. (or Passport No. and country of issue) 身份證號碼 (或護照號碼及簽發國家)		
Date of Birth 出生日期	Sex 性別	Nationality 國籍	Date of Birth 出生日期	Sex 性別	Nationality 國籍
Born in the U.S. 於美國出生? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是			Born in the U.S. 於美國出生? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是		
U.S. citizen, green card holder, or residing in U.S.? 是否美國公民、綠卡持有人、或居住於美國? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是			U.S. citizen, green card holder, or residing in U.S.? 是否美國公民、綠卡持有人、或居住於美國? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是		
If Yes, please provide Taxpayer Identification Number: 如是, 請提供美國納稅人識別號碼: _____			If Yes, please provide Taxpayer Identification Number: 如是, 請提供美國納稅人識別號碼: _____		
Country of Tax Residency 所屬稅務管轄國		Tax Identification Number (TIN) 稅務識別號碼		Country of Tax Residency 所屬稅務管轄國	
Education Level 學歷: <input type="checkbox"/> Primary 小學 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Post-Secondary 預科或大專 <input type="checkbox"/> University or above 大學或以上			Education Level 學歷: <input type="checkbox"/> Primary 小學 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Post-Secondary 預科或大專 <input type="checkbox"/> University or above 大學或以上		
Residential Phone 住宅電話	Mobile Phone 手提電話	Facsimile No. 傳真號碼	Residential Phone 住宅電話	Mobile Phone 手提電話	Facsimile No. 傳真號碼
Email Address 電郵地址 (Mandatory for electronic trading 電子交易必須填寫)			Email Address 電郵地址 (Mandatory for electronic trading 電子交易必須填寫)		
<b>3. Employment Status 工作狀況</b>					
Employment Status 工作狀況 <input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Housewife 主婦 <input type="checkbox"/> Others 其他 _____			Employment Status 工作狀況 <input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Housewife 主婦 <input type="checkbox"/> Others 其他 _____		
Name of Employer 僱主名稱		Occupation (or Nature of Business) 職業 (或業務性質)		Name of Employer 僱主名稱	
Position 職位		Year(s) of Service 服務年資		Position 職位	
Business Address 公司地址			Business Address 公司地址		
Business Phone 公司電話			Business Phone 公司電話		
Relationship between Main Account Holder and Join Account Holder (if applicable) 聯名帳戶主要戶口持有人與聯名戶口持有人關係 (如適用)					
<b>4. Method of Communication 通訊方式</b>					
Please choose one of the following method of communication only 請只選擇其中一項通訊方法:					
<input type="checkbox"/> By Post to Correspondence address 郵寄至通訊地址 (please provide correspondence address proof within latest 3 months 請提供最近三個月之通訊地址證明)					
<input type="checkbox"/> Residential Address 住宅地址 <input type="checkbox"/> Business Address 公司地址 <input type="checkbox"/> Other Address 其他地址 _____					
(Please note that the statement will be sent to Main Account Holder 請留意結單將以郵遞方式寄往主要戶口持有人)					
(Communication by posting is subject to additional handling fee by the Company 若客戶選擇以郵寄作為通訊方式, 本公司將有權收取額外手續費)					
<input type="checkbox"/> By Email 電子郵件					

Main Account Holder 主要戶口持有人		Joint Account Holder 聯名戶口持有人	
<b>5. Financial Background 財務狀況</b>			
Source of Funds / Wealth 資金 / 財富來源 (as required by SFC 就證監會要求)			
<input type="checkbox"/> Salary and/ or bonus 薪金及 / 或花紅 <input type="checkbox"/> Commission 佣金 <input type="checkbox"/> Business Income 業務收入 <input type="checkbox"/> Return on Investment 投資回報 <input type="checkbox"/> Saving 儲蓄 <input type="checkbox"/> Pension 退休金 <input type="checkbox"/> Others 其他 (Please specify 請說明) _____		<input type="checkbox"/> Salary and/ or bonus 薪金及 / 或花紅 <input type="checkbox"/> Commission 佣金 <input type="checkbox"/> Business Income 業務收入 <input type="checkbox"/> Return on Investment 投資回報 <input type="checkbox"/> Saving 儲蓄 <input type="checkbox"/> Pension 退休金 <input type="checkbox"/> Others 其他 (Please specify 請說明) _____	
Annual Income (in HK\$) 年薪 (以港幣計算)			
<input type="checkbox"/> less than 少於\$250,000 <input type="checkbox"/> \$250,001 - \$500,000 <input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> more than 多於\$1,000,000		<input type="checkbox"/> less than 少於\$250,000 <input type="checkbox"/> \$250,001 - \$500,000 <input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> more than 多於\$1,000,000	
Approximate total asset value (in HK\$) (including real estates, cash deposits at Bank, shares, bonds, warrants) 資產總約值(以港幣計算) (包括物業、銀行存款、股票、債券、認股權證)			
<input type="checkbox"/> less than 少於 \$50,000 <input type="checkbox"/> \$50,001 - \$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"/> \$5,000,001 - \$8,000,000 <input type="checkbox"/> \$8,000,001 - \$40,000,000 <input type="checkbox"/> more than 多於\$40,000,000	
<input type="checkbox"/> less than 少於 \$50,000 <input type="checkbox"/> \$50,001 - \$200,000 <input type="checkbox"/> \$200,001 - \$500,000 <input type="checkbox"/> \$500,001 - \$1,000,000		<input type="checkbox"/> less than 少於 \$50,000 <input type="checkbox"/> \$50,001 - \$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"/> \$5,000,001 - \$8,000,000 <input type="checkbox"/> \$8,000,001 - \$40,000,000 <input type="checkbox"/> more than 多於\$40,000,000		<input type="checkbox"/> \$1,000,001 - \$5,000,000 <input type="checkbox"/> \$5,000,001 - \$8,000,000 <input type="checkbox"/> \$8,000,001 - \$40,000,000 <input type="checkbox"/> more than 多於\$40,000,000	
Ongoing Source(s) of Funds 持續資金來源: a) Means of fund transfer(s) 資金轉移的方式: <input type="checkbox"/> Cash 現金 <input type="checkbox"/> Cheque/ Bank Draft 支票 / 銀行本票 <input type="checkbox"/> Telegraphic Transfer 電匯 <input type="checkbox"/> Others 其他 (Please specify 請說明: _____)		Ongoing Source(s) of Funds 持續資金來源: a) Means of fund transfer(s) 資金轉移的方式: <input type="checkbox"/> Cash 現金 <input type="checkbox"/> Cheque/ Bank Draft 支票 / 銀行本票 <input type="checkbox"/> Telegraphic Transfer 電匯 <input type="checkbox"/> Others 其他 (Please specify 請說明: _____)	
b) Country(ies) of Origin(s) 資金來源地: <input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Mainland China 中國內地 <input type="checkbox"/> Macau 澳門 <input type="checkbox"/> United States 美國 <input type="checkbox"/> Other 其他 (Please specify 請說明: _____)		b) Country(ies) of Origin(s) 資金來源地: <input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Mainland China 中國內地 <input type="checkbox"/> Macau 澳門 <input type="checkbox"/> United States 美國 <input type="checkbox"/> Other 其他 (Please specify 請說明: _____)	
<b>Main Account Holder 主要戶口持有人</b>			
<b>6. Investment Experience 投資經驗</b>			
Securities Trading 證券交易	<input type="checkbox"/> No 沒有 <input type="checkbox"/> Less than 1 year 少於 1 年 <input type="checkbox"/> 1 - 3 years 1 至 3 年 <input type="checkbox"/> More than 3 years 多於 3 年		
Futures / Options Trading 期貨 / 期權交易	<input type="checkbox"/> No 沒有 <input type="checkbox"/> Less than 1 year 少於 1 年 <input type="checkbox"/> 1 - 3 years 1 至 3 年 <input type="checkbox"/> More than 3 years 多於 3 年		
Stock Options 股票期權交易	<input type="checkbox"/> No 沒有 <input type="checkbox"/> Less than 1 year 少於 1 年 <input type="checkbox"/> 1 - 3 years 1 至 3 年 <input type="checkbox"/> More than 3 years 多於 3 年		
Leveraged Forex Trading 槓桿式外匯交易	<input type="checkbox"/> No 沒有 <input type="checkbox"/> Less than 1 year 少於 1 年 <input type="checkbox"/> 1 - 3 years 1 至 3 年 <input type="checkbox"/> More than 3 years 多於 3 年		
Bullion Trading 貴金屬交易	<input type="checkbox"/> No 沒有 <input type="checkbox"/> Less than 1 year 少於 1 年 <input type="checkbox"/> 1 - 3 years 1 至 3 年 <input type="checkbox"/> More than 3 years 多於 3 年		
Derivative Warrants 衍生權證交易	<input type="checkbox"/> No 沒有 <input type="checkbox"/> Less than 1 year 少於 1 年 <input type="checkbox"/> 1 - 3 years 1 至 3 年 <input type="checkbox"/> More than 3 years 多於 3 年		
Callable Bull/Bear Contracts 牛熊證交易	<input type="checkbox"/> No 沒有 <input type="checkbox"/> Less than 1 year 少於 1 年 <input type="checkbox"/> 1 - 3 years 1 至 3 年 <input type="checkbox"/> More than 3 years 多於 3 年		
Exchange Traded Funds 交易所買賣基金交易	<input type="checkbox"/> No 沒有 <input type="checkbox"/> Less than 1 year 少於 1 年 <input type="checkbox"/> 1 - 3 years 1 至 3 年 <input type="checkbox"/> More than 3 years 多於 3 年		
Equity Linked Instruments 股票掛鈎票據交易	<input type="checkbox"/> No 沒有 <input type="checkbox"/> Less than 1 year 少於 1 年 <input type="checkbox"/> 1 - 3 years 1 至 3 年 <input type="checkbox"/> More than 3 years 多於 3 年		
Mutual Funds / Unit Trust 互惠基金 / 單位信託基金	<input type="checkbox"/> No 沒有 <input type="checkbox"/> Less than 1 year 少於 1 年 <input type="checkbox"/> 1 - 3 years 1 至 3 年 <input type="checkbox"/> More than 3 years 多於 3 年		
Fixed Income Securities (e.g. Bonds) 固定收益證券 (例如債券)	<input type="checkbox"/> No 沒有 <input type="checkbox"/> Less than 1 year 少於 1 年 <input type="checkbox"/> 1 - 3 years 1 至 3 年 <input type="checkbox"/> More than 3 years 多於 3 年		
Leverage and Inverse Products 槓桿及反向產品	<input type="checkbox"/> No 沒有 <input type="checkbox"/> Less than 1 year 少於 1 年 <input type="checkbox"/> 1 - 3 years 1 至 3 年 <input type="checkbox"/> More than 3 years 多於 3 年		
<b>7. Knowledge of Derivative Products 客戶對衍生產品的認識 (please tick as appropriate 請在適當空格加 "✓")</b>			
<input type="checkbox"/> The Client <b>will/may</b> trade any derivative products, and has knowledge and understands orientiert will assess whether the Client has adequate knowledge on derivative products according to the information the Client provided. 客戶將會/或會進行買賣任何衍生產品, 並知悉及明白orientiert 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。			
<input type="checkbox"/> Client had undergone training or attended courses related to derivative products; and/ or 客戶曾接受有關衍生產品的培訓或修讀相關課程; 及/或			
<input type="checkbox"/> Client has current or past work experience related to derivative products; and/ or 客戶現時或過去擁有與衍生產品有關的工作經驗; 及/或			
<input type="checkbox"/> Client has executed 5 or more transactions in derivative products in the past 3 years, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures & Options, and Exchange Traded Funds, etc. 客戶於過去三年內曾執行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、及交易所買賣基金等。			
<input type="checkbox"/> Client <b>DOES NOT WISH</b> to trade any derivative products 客戶不會買賣任何衍生產品。			
<b>Confirmed &amp; Signed by Client 客戶確認及簽署: _____</b>			
<b>8. Signing Arrangement 簽名安排 (for Joint Account only 只適用於聯名帳戶)</b>			
The Account can be operated, including fund withdrawal, under the instruction of (please tick the appropriate box): 此帳戶可根據以下指示方式操作, 包括資金提取 (請在適當空格加 "✓"):			
<input type="checkbox"/> <b>Either</b> one of the account holders; or 任何一位帳戶持有人的指示; 或			
<input type="checkbox"/> <b>Both</b> account holders 兩位帳戶持有人的指示			

9. Settlement Account Information (for fund withdrawal) 結算帳戶資料 (用作資金提取) A/C holder must bear the same name as this trading account 銀行帳戶持有人名稱必須與本交易帳戶持有人相同			
Currency 貨幣	Name of Bank 銀行名稱	Account No. 帳戶號碼	Name of Account Holder 帳戶持有人名稱
HKD 港幣			
USD 美元			
CNY 人民幣			
Other 其他 (Please specify 請明): _____			
10. Other Services 其他服務			
<input type="checkbox"/> Client consents to receive "Password" by E-mail 同意經電郵收取 "密碼" <input type="checkbox"/> for electronic trading (if applicable) 用作電子交易(如適用) <input type="checkbox"/> for online checking on Real-Time Transaction Record 網上查閱即時交易紀錄			
Main Account Holder 主要戶口持有人		Joint Account Holder 聯名戶口持有人	
11. Disclosure of Identity 相關身份披露			
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, 僱員或代表? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes*, I am a director/ an employee <input type="checkbox"/> Yes*, I am a registered representative 本人是董事/僱員                                      本人是持牌代表 * Please specify the name of the intermediary and your CE. No. : 請列出該中介人名稱及閣下的中央編號 : _____ * Please attach a consent letter of account opening from the intermediary. 請附上該中介人發出之開戶同意書。		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, 僱員或代表? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes*, I am a director/ an employee <input type="checkbox"/> Yes*, I am a registered representative 本人是董事/僱員                                      本人是持牌代表 * Please specify the name of the intermediary and your CE. No. : 請列出該中介人名稱及閣下的中央編號 : _____ * Please attach a consent letter of account opening from the intermediary. 請附上該中介人發出之開戶同意書。	
Are you an employee or a relative of any director, employee or representative of orientiert XYZ Securities Limited or its group companies? 閣下是否orientiert XYZ Securities Limited或其集團公司之僱員或與任何董事、職員或代表有親屬關係? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, the name of the director, employee or representative and relationship with him/her 是, 請列出該董事、職員或代表之名稱及與此人之關係 _____		Are you an employee or a relative of any director, employee or representative of orientiert XYZ Securities Limited or its group companies? 閣下是否orientiert XYZ Securities Limited或其集團公司之僱員或與任何董事、職員或代表有親屬關係? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, the name of the director, employee or representative and relationship with him/her 是, 請列出該董事、職員或代表之名稱及與此人之關係 _____	
Are you, your spouse, child, or parent entrusted or has been entrusted with a prominent public function, which includes a head of state, head of government, judicial or military official, senior executive of a state-owned corporation and an important political party official? 閣下、配偶、子女或父母, 是否擔任重要公職, 包括國家元首、政府首長、司法或軍事官員、國有企業高級行政人員及重要政黨幹事? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify: 是, 請說明: _____		Are you, your spouse, child, or parent entrusted or has been entrusted with a prominent public function, which includes a head of state, head of government, judicial or military official, senior executive of a state-owned corporation and an important political party official? 閣下、配偶、子女或父母, 是否擔任重要公職, 包括國家元首、政府首長、司法或軍事官員、國有企業高級行政人員及重要政黨幹事? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify: 是, 請說明: _____	
Have you been arrested/tried/sentenced/disciplined for illegal activities or violating regulatory requirements? 閣下是否曾經涉及違法或違反監管守則而被捕/受審/被判刑/被紀律處分? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify: 是, 請說明: _____		Have you been arrested/tried/sentenced/disciplined for illegal activities or violating regulatory requirements? 閣下是否曾經涉及違法或違反監管守則而被捕/受審/被判刑/被紀律處分? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify: 是, 請說明: _____	
Does your spouse currently maintain an account with orientiert XYZ Securities Limited? 閣下的配偶現時有否持有orientiert XYZ Securities Limited帳戶? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify the name and account number : 是, 請說明姓名和帳戶號碼: _____		Does your spouse currently maintain an account with orientiert XYZ Securities Limited? 閣下的配偶現時有否持有orientiert XYZ Securities Limited帳戶? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify the name and account number : 是, 請說明姓名和帳戶號碼: _____	
12. Are you the ultimate beneficial owner of the account? 閣下是否此戶口最終權益擁有人?			
<input type="checkbox"/> Yes 是 <input type="checkbox"/> No, Please provide the information of the ultimate beneficial owner as stated below: 不是, 請提供戶口最終權益擁有人資料如下			
Name in Chinese 中文姓名		Name in English 英文姓名	
Date of Birth 出生日期		Sex 性別	

ID No. (or Passport No. and Country of issue) 身份證號碼 (或護照號碼及簽發國家)	Nationality 國籍
Residential Address 住宅地址	
Permanent Address (if different from the above stated, in English BLOCK letters and in Chinese) 永久地址 (如與上述不同, 請以中英文正楷填寫)	
<b>13. Authorized Person 獲授權人</b>	
Has any person been authorized to give instructions in relation to all transactions? 閣下是否已授權任何人士作出有關交易指令?	
<input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please refer to attached Letter of Authorization and Information Statement of Authorized Person. 是, 請參閱附上之授權書及獲授權人資料表。	
<b>14. Declaration and Acknowledgment 聲明及確認</b>	
Prior to signing this Account Opening Form, please: 於簽署此開戶表格前, 敬請:	
<p>(i) note that all transactions to be concluded with or through orientiert XYZ Securities Limited (orientiert) shall be subject to the terms and conditions of the Client Agreement (as defined below); and 注意所有與orientiert XYZ Securities Limited (“貴公司”) 完成或透過貴公司進行之交易均受客戶協議 (定義請參閱下文) 之條件及條款所限制; 及</p> <p>(ii) read the Client Agreement (including Risk Disclosure Statement) which you have been provided in a language (English or Chinese) of your choice carefully, ask questions and take independent advice if you so wish. 細閱已按照閣下所選擇的語言 (英文或中文) 而提供予閣下的客戶協議 (包括風險披露聲明), 提出問題及徵求獨立的意見 (如閣下有此意願)。</p>	
I/We declare and acknowledge that: 本人/吾等聲明及確認:	
<p>1. I / We acknowledge my / our receipt of the Client Agreement of orientiert (including all sections thereunder and appendices thereto), the Risk Disclosure Statement, the Client Information Statement, the Account Opening Form and any other agreements or documents related to the opening of the account(s), whenever applicable (collectively the “Client Agreement”) and confirm that the Client Agreement (including Risk Disclosure Statement) were provided to me / us in a language (English or Chinese) of my / our choice and I / we was / were invited to read the Client Agreement (including Risk Disclosure Statement) and General Knowledge on Investment Product Course (if applicable) carefully, ask questions and take independent advice if I / we so wish. 本人/吾等確認已收妥貴公司之客戶協議 (包括協議所有部份及附錄)、風險披露聲明、客戶資料聲明、開戶表格及其他與是次開戶有關的協議及文件 (如適用) (合稱「客戶協議») 及確認客戶協議 (包括風險披露聲明) 是按照本人/吾等所選擇的語言 (英文或中文) 而提供, 並已邀請本人/吾等閱讀該客戶協議 (包括風險披露聲明) 及一般衍生工具知識課程 (如適用), 提出問題及徵求獨立的意見 (如本人/吾等有此意願)。</p> <p>2. I / We confirm that I / we have carefully read, fully understood and accepted all the terms and provisions contained in the Client Agreement (including Risk Disclosure Statement) and shall be bound by the Client Agreement (including Risk Disclosure Statement) as it may be amended from time to time. 本人/吾等確認本人/吾等已仔細閱讀, 充分理解並接受載於客戶協議內 (包括風險披露聲明) 的所有條款及規定, 並同意遵守客戶協議 (包括風險披露聲明) 可能會不時修訂的所有條款及規定。</p> <p>3. I/We confirm that I/We have completed the “Risk Tolerance Assessment” and have been informed the result of “Risk Tolerance Assessment”. I / We confirm that I / we have carefully read, fully understood and accepted the explanations contained in “the Definitions of Risk Tolerance Assessment “. 本人/吾等確認本人/吾等已完成「風險承受能力評估」及已被告知「風險承受能力評估」的結果。本人/吾等確認本人/吾等已仔細閱讀, 充分理解並接受載於「風險承受能力評估的說明」的釋義。</p> <p>4. I / we further acknowledge and agree that: 本人/吾等進一步確認及同意:</p> <p>a. in the event of orientiert default and having incurred a loss to me / us as a result thereof, the liability of the Investor Compensation Fund established under the Securities and Futures Ordinance (where applicable) will be restricted to the extent provided for therein, and 若因貴公司之失誤而導致本人/吾等蒙受損失, 賠償責任將限於根據證券及期貨條例成立之投資者賠償基金規定的範圍內 (如適用); 及</p> <p>b. where securities are deposited with orientiert or purchased pursuant to the Client Agreement and held outside Hong Kong, I / we may not be afforded equivalent protection in respect of those securities as that afforded under Hong Kong law and I / we may not have the same right as I / we have in respect of securities held in Hong Kong. 假若證券寄存於貴公司或根據客戶協議買入並於香港以外持有, 本人/吾等便可能不能享有香港法例給予該等證券的同等保障, 以及可能不能享有如同在香港持有該等證券的相同權利。</p> <p>5. I/We represent that the information contained in this Supplementary Information for Client Profile is true, complete and correct. orientiert is entitled to rely fully on such information and representations for all purposes, until orientiert receive notice in writing from me/us of any changes. If there are any changes in respect of the information contained in this information above, I/We undertake to inform orientiert promptly. orientiert is authorized at any time to contact anyone for the purpose of verifying the information provided. 本人/吾等聲明本客戶補充資料上所述的資料為真實、完整及正確。除貴公司收到本人/吾等書面通知更改, 貴公司有權依賴上述的資料及聲明作任何目的。如上述所提供的資料有任何更改, 本人/吾等承諾將立即通知貴公司。貴公司獲授權於任何時間聯絡有關人士核對上述資料。</p> <p>6. [ Circular relating to Personal Data (Privacy) Ordinance ] [ 有關《個人資料 (私隱) 條例》之客戶通知書 ] I/We confirm that I/we have already perused and understood orientiert XYZ Securities Limited (“orientiert”)’s Privacy Policy and Personal Information Collection Statement. I/We confirm my/our consent given to orientiert to retain and use my/our personal data for the purposes as set out in orientiert’s Privacy Policy and Personal Information Collection Statement, which can be accessed at orientiert’s registered address. I/We confirm my/our understanding that orientiert’s Privacy Policy and Personal Information Collection Statement could be revised and updated by orientiert from time to time without prior notice to me/us and that I/we should access the same to review any updates from time to time. I/We acknowledge that I/we could obtain updated copies of orientiert’s Privacy Policy and Personal Information Collection Statement by calling orientiert’s hotline at 2172-0988 anytime during office hours. To access or update my/our personal data held by orientiert or to request orientiert not to use such personal data in direct marketing, I/we should write to orientiert’s Data Protection Officer at Room 3301, Tower One, Lippo Centre, No.89 Queensway, Hong Kong. 本人/吾等確認本人/吾等已細閱及明白orientiert XYZ Securities Limited (orientiert) 私隱政策及個人資料收集聲明。本人/吾等確認本人/吾等同意 orientiert 收集及使用本人/吾等的個人資料用於 orientiert 私隱政策及個人資料收集聲明所列明的相關用途, 並可於 orientiert 辦公地址查閱。本人/吾等確認本人/吾等已明白 orientiert 私隱政策及個人資料收集聲明可不時作出修訂及更新, 並且不會就此作出另行通知, 本人/吾等亦應不時查閱其更新的版本。本人/吾等已得悉本人/吾等可於辦公時間內致電 orientiert 熱線: 2172 0988 索取最新的 orientiert 私隱政策及個人資料收集聲明的副本。如欲查閱或更新 orientiert 所收集的個人資料, 或要求 orientiert 不再使用本人/吾等的個人資料作直接促銷, 本人/吾等應以書面聯絡 orientiert 的資料保護主任, 地址: 香港金鐘道89號力寶中心一座3301室。 I/We confirm that I/we have been notified that my/our personal data inclusive of my/our name(s), telephone number(s), e-mail address(es) and address(es) are intended to be used in direct marketing, the details of which are set out in orientiert’s Privacy Policy and Personal Information Collection Statement, which can be accessed at orientiert’s registered address, but that such use of my/our said personal data in direct marketing could not take place without my/our consent. 本人/吾等確認本人/吾等已被通知本人/吾等的個人資料包括本人/吾等的姓名、電話號碼、電郵地址及地址將作直接促銷, 有關詳情載於 orientiert 私隱政策及個人資料收集聲明, 並可於orientiert 辦公地址查閱。在未得到本人/吾等同意之前, orientiert 並不能使用本人/吾等的個人資料作直接促銷。</p>	

I/We understand that I/we should sign at the end of this Notice to indicate that I/we have perused, understood and agreed with the contents of this Notice and to indicate my/our agreement to the aforesaid use of my/our said personal data in direct marketing.

本人/吾等明白本人/吾等應在本通告下方簽署以表明本人/吾等已細閱、明白及同意本通告的內容，並表明本人/吾等同意上述有關使用本人/吾等的個人資料作直接促銷。

Should I/we find the aforesaid use of my/our said personal data in direct marketing not acceptable, I/we would indicate my/our objection before signing by ticking  below. 如本人/吾等不接受本人/吾等的個人資料用於直接促銷，本人/吾等將於簽署前在下列空格加上以茲反對。

I/We  **do not wish** to receive ongoing marketing information/materials from orientiert and I/we do not consent to orientiert's retention and use of my/our personal data direct marketing.

本人/吾等 **不願意** 收取 orientiert 推廣資訊/刊物及本人/吾等不同意 orientiert 保留及使用本人/吾等的個人資料作直接促銷。

Signed by 經由客戶簽署: Name of Client(s) 客戶名稱		Signature of Client(s) 客戶簽署	
1. _____ 2. _____		1. _____ 2. _____	
in the presence of 見證人:		Date 日期: _____ day (日) of _____ month (月) of _____ year (年)	
Name of Witness# 見證人名稱#		Signature of Witness 見證人簽署	
Profession/Occupation 專業/職業		Date 日期: _____ day (日) of _____ month (月) of _____ year (年)	
Name of Company 公司名稱			
Company Address 公司地址			

# Witness should be a licensed or registered person, an affiliate of a licensed or registered person, a Justice of the Peace, or a professional person such as a branch manager of a bank, certified public accountant, lawyer, notary public, or an officer of an embassy, consulate or high commission of the country of issue of documentary verification of identity. 見證人應為持牌或註冊人士、持牌或註冊人士的聯繫人士、太平紳士或專業人士，例如銀行分行經理、執業會計師、律師、公證人，或發出身份核實文件的國家的大使館、領事館或高級專員公署的人員。

### ACCOUNT EXECUTIVE'S DECLARATIONS 客戶主任聲明

I hereby confirm that: 本人在此確認:

- I have witnessed the signature and inspected the original identity documents of the above-named client  
本人已核查上述客戶之身份證明文件之原本，並見證上述客戶之簽名。
  - The client has been provided with the Client Agreement (including Risk Disclosure Statement) in the language of the client's choice (English or Chinese); and the client has been invited to read the Client Agreement (including Risk Disclosure Statement), ask questions and take independent advice if the client so wishes. 客戶已被提供按照其所選擇的語言(英文或中文)的客戶協議(包括風險披露聲明)，本人並且已邀請客戶閱讀該客戶協議(包括風險披露聲明)，提出問題及徵求獨立的意見(如閣下有此意願)。
  - I have already explained to the client that if the client is currently employed by any registered institution or licensed corporation to carry on regulated activities, the client is required to provide orientiert a written consent from his / her employer in support of this account opening. 本人已向客戶解釋，假若客戶現受僱於任何從事受規管活動之註冊機構或持牌公司，客戶必須向本公司提供其僱主就是次開納帳戶所發出的同意書。
  - The client has been provided with "the Definitions of Risk Tolerance Assessment" in the language of the client's choice (English or Chinese); and the client has been invited to read the explanation contained in "the Definitions of Risk Tolerance Assessment", ask questions and take independent advice if the client so wishes. 客戶已被提供按照其所選擇的語言(英文或中文)的「風險承受能力評估的說明」，本人並且已邀請客戶閱讀該「風險承受能力評估的說明」的釋義，提出問題及徵求獨立的意見(如閣下有此意願)。
  - I confirm that I have assessed the above client based on the information provided by him/ her and informed the client about his/her Risk Tolerance Level according to the calculation of "Risk Tolerance Assessment": 本人確認本人已基於上述客戶提供的資料作出評估，並已告知客戶由「風險承受評估」所計算出的風險承受能力:
    - I concur with the result of Risk Tolerance Assessment and assign the following Risk Tolerance Level to the client: [ Conservative/  Balanced /  Growth/  Aggressive]; or 本人同意於風險承受評估的結果，並評估客戶為以下風險承受程度: [ 保守型/  平衡型/  增長型/  進取型]; 或
    - I suggest that the client should be categorized as [ Conservative/  Balanced /  Growth /  Aggressive] (Please choose an appropriate one only) 本人建議上述客戶被列為 [ 保守型/  平衡型/  增長型/  進取型] (請選擇適當的一項)
- Please specify the reason(s) 請列明原因: \_\_\_\_\_
- Based on request of the client, the client will be categorized as [ Conservative/  Balanced /  Growth /  Aggressive] (Please choose an appropriate one only) 根據客戶要求，客戶的風險承受程度被列為 [ 保守型/  平衡型/  增長型/  進取型] (請選擇適當的一項)

Please specify the reason(s) 請列明原因: \_\_\_\_\_

\_\_\_\_\_  
Signed by licensed representative 持牌代表簽署

\_\_\_\_\_  
CE Number 中央編號

\_\_\_\_\_  
Name of licensed representative (in block letters) 持牌代表名稱 (正楷)

\_\_\_\_\_  
Date 日期

\_\_\_\_\_  
Name of Responsible Officer 負責人員姓名

Acknowledged and Accepted by  
**orientiert XYZ Securities Limited**  
經由orientiert XYZ Securities Limited  
承認及接納

\_\_\_\_\_  
Signature of Responsible Officer 負責人員簽署

Date 日期: \_\_\_\_ day (日) of \_\_\_\_ month (月) of \_\_\_\_ year (年)

## Checking List - Completed by AE 查核表格 – 由經紀填寫

1. Background of client and the relevant information 客戶背景及其相關資料: _____				
2. How long have you known the Client(s) 與客戶相識年期 _____ (years)				
3. <input type="checkbox"/> Face-to-face account opening <input type="checkbox"/> NON face-to-face account opening				
4. Commission Rate/ Set-up Fee 佣金收費/ 設立費 (i) <input type="checkbox"/> Securities Trading Account 證券交易帳戶: <input type="checkbox"/> 0.25% with HK\$100 min <input type="checkbox"/> Other 其他 _____ % with HK\$ _____ min. (ii) <input type="checkbox"/> USD <input type="checkbox"/> CNY <input type="checkbox"/> TWD <input type="checkbox"/> Other Currency (Please specify 請註明) _____: _____ % with HK\$ _____ min. (iii) <input type="checkbox"/> Set-up Fee 設立費: _____ %				
<b>Documents</b>				<b>Checking</b>
<b>(A) Account Opening Documents 帳戶開戶文件</b>				
1. Account Opening Application Form 開戶申請表格				
2. Risk Tolerance Assessment 風險承受能力評估				
3. Copy of Hong Kong Identity Card(s) or Unexpired Government issued Identification Document Card(s) or Passport(s) of all account holder(s) (and beneficiary owner if applicable) 所有戶口持有人的香港身份證明文件或有效身份證明文件或護照之副本(及受益人如適用)				
4. Copy of valid Residential Address Proof within the latest 3 months 最近三個月內之有效住址證明文件				
5. Consent letter of account opening from the intermediary (only applicable if the client is a licensed person employed by another licensed corporation) 由持牌中介人發出的開戶同意信 (只適用於受僱於另一家持牌機構的持牌人士)				
6. W-8BEN Form (Certificate of Foreign status of Beneficial Owner for United State Tax Withholding) W-8BEN 表格 (美國預扣稅實益 – 擁有人外國身份證明書)				
7. CRS self-certification form 共同申報準則自我證明表格				
8. Original ML/ TF Risk Assessment Form 正本反洗錢和反恐怖主義融資政策評估表格				
9. Assessment Form on Client's Investment Experience and Product Knowledge 客戶投資經驗及產品認識評估表				
<b>(B) Non Face-to-Face Account Opening Supporting Documents (if applicable) 非親身開戶證明文件 (如適用)</b>				
1. A cheque issued by a Hong Kong licensed bank with a sum not less than HK\$10,000 made payable to " orientiert XYZ Securities Limited" 在香港持牌銀行開立的帳戶所簽發的支票, 該支票需符合數額不得少於 HK\$10,000, 抬頭為「orientiert XYZ Securities Limited」; <b>or 或</b>				
2. Supporting Documents of Witness 見證人證明文件				
<b>(C) Third Party Operated Account (if applicable) 第三者授權交易 (如適用)</b>				
1. Form of authorization of third party trading 第三者授權表格				
2. HKID / Passport Copy of all Authorized Person(s) 所有獲授權人士之香港身份證明文件或有效身份證明文件或護照之副本				
3. Copy of valid Residential Address Proof within the latest 3 months of Authorized Person(s) 所有獲授權人士之最近三個月內之有效住址證明文件				
4. Consent letter to act as authorized person from the intermediary 由持牌中介人發出的成為獲授權人同意信				
<b>(D) Service of Discretionary Asset Management (if applicable) 資產管理全權委託服務 (如適用)</b>				
1. Discretionary Asset Management Agreement 資產管理全權委託協議				
<b>(E) Individual Professional Investor (if applicable) 個人專業投資者 (如適用)</b>				
1. Asset Proof 資產證明 #: (a) Certificate issued by an auditor or a certified public accountant of the individual within 3 months; (b) Custodian statements issued by registered institution or licensed corporation within 3 months 由核數師或會計師 3 個月內發出的證明書; 或(b) 由持牌機構 3 個月內發出的保管人結單 # An individual, either alone or with his/her spouse or children and/or jointly with a corporation wholly owned by such individuals, having a portfolio comprising deposits and securities of at least HK\$8 million (or its equivalent in another currency). 任何個人、單獨或聯同其配偶或子女或有聯繫者於某聯權共有帳戶擁有的投資組合在有關日期不少於 \$8,000,000 或等值外幣, 或該投資組合總值				
<b>(F) General Knowledge on Investment Product Course 一般投資產品知識課程</b> Necessary if (1) a client indicates he/she has knowledge/experience on certain products but cannot provide supporting documents and he/she wants to trade those products in the future. (2) the client does not have knowledge/experience on certain products but he/she wants to trade those products in the future. 客戶在以下情況需要填寫: (1) 客戶表示客戶對某些產品具有知識/經驗, 但不能提供相關支持文件, 並且客戶將來希望交易這些產品; (2) 客戶對某些產品沒有知識/經驗, 但客戶希望在將來交易這些產品。				
<b>Checked By 查核:</b>				
Sales Code 經紀編號	Name of Sales 經紀名稱	Signature 簽署	Date 日期	Remarks 註明 (if any 如有)
		☞		



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**Completed By Compliance**

1. Licence Registration Checking :  No suspicion found     Suspicion found:  Account Holder(s)     Authorized Person(s)

2. AML Checking:  No suspicion found     Suspicion found, details: \_\_\_\_\_

3. PEP Checking:  No suspicion found     Suspicion found, details: \_\_\_\_\_

Checked By: \_\_\_\_\_                      Date: \_\_\_\_\_

Date of Opening: \_\_\_\_\_ (Data input by Operations)