附表 A　Schedule A

賬戶號碼 Account Number: ______________ 合約編號 Agreement Reference: __________ 開始日期 Commencement Date ___________	只供本行使用 ***FOR OFFICIAL USE ONLY*** Documentation checked by: ____________________ Approved by: ________________________________ Name of Investment Consultant: ________________ CE Number: _______________________________

開戶申請及資料說明書 - 個人／聯名客戶
Account Opening Application & Information Statement - Individual / Joint Client

帳戶種類 Account Type	
證 券 Securities	☐ 證券全權委託戶口 Securities Discretionary Account

1. 個人資料 Personal Data

客戶名稱 Name of Client	Mr./Miss/Mrs. (英文 English) *第一帳戶持有人 / 第二帳戶持有人 First Account Holder / Second Account Holder		先生／太太／小姐 (中文 Chinese)
出生日期 (日/月/年) Date of Birth (DD/MM/YYYY)		國籍 Nationality	
身份證明文件種類 ID Type	☐ 香港身份證 HKID ☐ 中國居民身份證 PRC Resident Identity Card ☐ 護照 Passport ☐ 其他 Other ____________________	證明文件號碼 ID No.	
住宅地址 Home Address			
住宅電話 Home Phone No.		流動電話 Mobile Phone No.	
公司電話 Office Phone No.		電郵地址 E-mail Address	
通訊地址 Correspondence Address	(如與上址不同 if different from above)		
住宅類別 Nature of Occupancy	□ 自置（無按揭 Self-owned (No Mortgage)） □ 與父母同住 With Parents □ 親屬樓宇 Relative's □ 按揭（每月供款 $__________________） Mortgaged (Monthly Instalment) □ 租用（每月租金 $__________________） Rented (Monthly Rental) □ 宿舍 / 由公司提供 Quarters / Provided by Company	學歷程度 Education Level	□ 小 學 Primary School □ 中學 Secondary School □ 大 專 Tertiary □ 大學或以上 University or above

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1a. 工作狀況 Employment Status

就業情況 Employment Status	□ 自僱 Self-employed □ 兼職 Part-time employed □ 其他 Others ____________________	□ 全職 Full-time employed □ 退休 Retired

僱主名稱 Name of Employer		行業 Occupation	
職位 Position		從業年期 Years in Occupation	
商業地址 Business Address			

1b. 客戶常設交收銀行戶 Client Standing Settlement Bank Account

銀行名稱 Bank Name	銀行帳戶號碼 Bank Account No.	貨幣 / 帳戶類別 Currency / Account Type	銀行地址（如適用） Bank Address (if applicable)
		港元/ HKD	
		人民幣/ CNY	
		美元/ USD	

2. 財政狀況 Financial Status

收入來源 Source of Income
- ☐ 沒有 Nil
- ☐ 薪金 Salary
- ☐ 佣金 Commission
- ☐ 租金 Rental
- ☐ 股 息 / 利 息 Dividend / Interest
- ☐ 業務溢利 Business Profit
- ☐ 其他 Others __________________

資產類別 Asset Type
- ☐ 存款／現金 Cash / Deposit
- ☐ 房地產 Land and Property
- ☐ 公司股份 Company Shares
- ☐ 遺產 Inheritance
- ☐ 股票 Stocks
- ☐ 基金 Funds
- ☐ 債券 Bonds / Debentures
- ☐ 外匯 Foreign Exchange
- ☐ 其他 Others _________________

每年入息（港元）Annual Income (HKD)
- ☐ 沒 有 Nil
- ☐ 1 – 500,000
- ☐ 500,001 – 1,000,000
- ☐ 1,000,001 – 5,000,000
- ☐ 5,000,001 – 10,000,000
- ☐ > 10,000,001

估計資產淨值（港元）Estimated Total Net Worth (HKD)
- ☐ < 1,000,000
- ☐ 1,000,001 – 3,000,000
- ☐ 3,000,001 – 5,000,000
- ☐ 5,000,001 – 10,000,000
- ☐ 10,000,001 – 50,000,000
- ☐ > 50,000,001

3. 投資概況 Investment Profile

投資目標（請選擇下列一項或多項）Investment Objectives (Please choose one or more)
- ☐ 資本增值 Capital Appreciation
- ☐ 股息回報 Dividend Yield
- ☐ 對沖 Hedging
- ☐ 長線投資 Long-term Investment
- ☐ 短線買賣 Short-term Trading
- ☐ 其他 Others ____

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曾投資產品（請選擇下列一項或多項）
Experience in Products (Please choose one or more)

- ☐ 債券 Bonds
- ☐ 牛熊證 CBBC
- ☐ 股票期權 Stock Options
- ☐ 期貨及期權 Futures & Options
- ☐ 香港上市股票 HK Listed Stocks
- ☐ 海外上市股票 Overseas Listed Stocks
- ☐ 沒有 None
- ☐ 商品 Commodities
- ☐ 供股權 Rights
- ☐ 衍生權證 Derivative Warrants
- ☐ 可換股債券 Convertible Bonds
- ☐ 交易所買賣基金 ETF
- ☐ 互惠基金或單位信託 Mutual Funds or Unit Trust
- ☐ 其他 Others ______________________________

投資經驗年期（請選擇下列一項或多項）
Years of Experience in Investment (Please choose one or more)

☐ 證券交易 Securities Trading	☐ 少於一年<1yr	☐ 一至五年 1-5yrs	☐ 六至十年 6-10yrs	☐ 多於十年>10yrs
☐ 債券 Bonds	☐ 少於一年<1yr	☐ 一至五年 1-5yrs	☐ 六至十年 6-10yrs	☐ 多於十年>10yrs
☐ 牛熊證 CBBC	☐ 少於一年<1yr	☐ 一至五年 1-5yrs	☐ 六至十年 6-10yrs	☐ 多於十年>10yrs
☐ 衍生權證 Derivative Warrants	☐ 少於一年<1yr	☐ 一至五年 1-5yrs	☐ 六至十年 6-10yrs	☐ 多於十年>10yrs
☐ 供股權 Rights	☐ 少於一年<1yr	☐ 一至五年 1-5yrs	☐ 六至十年 6-10yrs	☐ 多於十年>10yrs
☐ 交易所買賣基金 ETF	☐ 少於一年<1yr	☐ 一至五年 1-5yrs	☐ 六至十年 6-10yrs	☐ 多於十年>10yrs
☐ 期貨 / 期權 Futures / Options	☐ 少於一年<1yr	☐ 一至五年 1-5yrs	☐ 六至十年 6-10yrs	☐ 多於十年>10yrs
☐ 股票期權 Stock Options	☐ 少於一年<1yr	☐ 一至五年 1-5yrs	☐ 六至十年 6-10yrs	☐ 多於十年>10yrs
☐ 可換股債券 Convertible Bonds	☐ 少於一年<1yr	☐ 一至五年 1-5yrs	☐ 六至十年 6-10yrs	☐ 多於十年>10yrs
☐ 商品 Commodities	☐ 少於一年<1yr	☐ 一至五年 1-5yrs	☐ 六至十年 6-10yrs	☐ 多於十年>10yrs
☐ 互惠基金或單位信託 Mutual Funds or Unit Trust	☐ 少於一年<1yr	☐ 一至五年 1-5yrs	☐ 六至十年 6-10yrs	☐ 多於十年>10yrs
☐ 其他 Others: ______________	☐ 少於一年<1yr	☐ 一至五年 1-5yrs	☐ 六至十年 6-10yrs	☐ 多於十年>10yrs
☐ 沒有 None				

投資準則 Investment guidelines :

如客戶不欲投資在以下任何投資工具上，請在適當方格內加上“✓ “號
Please put a “✓ “ in the appropriate boxes below if you DO NOT want to invest in any investment instruments below.

證券全權委託戶☐ Securities Discretionary Account

- ☐ 主板股票Stock (Main Board)
- ☐ 基金Mutual Funds/ Unit Trust
- ☐ 交易所買賣基金ETF
- ☐ 創業板股票 Stock (GEM)
- ☐ 定息投資工具Fixed Income
- ☐ 債務證券 Debt Securities
- ☐ 外國股票Foreign Stock
- ☐ 認股證 / 牛熊證 Warrants / CBBC
- ☐ 其他 Others: ________________

其他投資準則或限制 Other Investment guidelines/ Restriction:

沒有 None ☐有（請詳細說明）Yes (Please state indetails)：____

4. 投資組合 Investment Portfolio

最初組合 Initial Portfolio	
投資金額 (HKD 港元) Investment Amount	
建議投資（如適用） Proposed Investment(s) (if applicable)	

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5. 通訊方法 Method of Communication

請選擇以下其中一項通訊方法 Please select one of the following method of communication

☐ 郵遞 – 住宅地址 By Mail - Residential Address *

☐ 郵遞 – 通訊地址 By Mail - Correspondence Address *

☐ 電 郵 By E-Mail

*請留意結單將寄往第一帳戶持有人 Please notice that the statement will be sent to First Account Holder by post

6. 帳戶最終實益擁有人 Ultimate Beneficial Owner(s) of the Account

閣下是否此帳戶的最終實益擁有人? （即閣下是否為本身而並非為第三者運作此帳戶? ）
Are you the ultimate beneficial owner(s) in relation to the Account? (i.e. Are you acting for your own account and not for a third party?)

☐ 是 Yes

☐ 否，帳戶的最終實益擁有人是 No, with details of the ultimate beneficial owner(s) as below

名稱 Name	身份證 / 護照號碼 ID / Passport No.	地址 Address
____________________	____________	____________________________

7. 資料披露 Disclosure of Information

1. 本人或最終實益擁有人，或其配偶、伴侶、子女或父母，或其子女的配偶或伴侶，或與其關係密切的人，是否擔任或曾擔任重要公職，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或政要?
Do you, the ultimate beneficial owner of the Account, or your spouse, partner, child, parent, spouse or partner of your child, or a closely associate with him 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 or an important political party official?

☐ 否 No

☐ 是，請說明 Yes, please specify ________________________________

2. 閣下是否為證券及期貨註冊持牌法團或銀行業條例之註冊機構的僱員? （包括現時為證監會持牌代表 / 金管局註冊人員）?
Are you an employee of a licensed corporation under the Securities and Futures Ordinance, or a registered institution under the Banking Ordinance (whether you are currently a SFC licensed representative / HKMA registered person or not)?

☐ 否 No

☐ 是 Yes

持牌法團 / 註冊機構名稱
Licensed Corporation / Registered Institution Name________________________

職位
Position ________________________

（僱主中央編號）Employer CE No.____________ （僱員中央編號）Employee CE No. ____________

（必須出示所屬持牌法團或註冊機構之授權信）
(You must provide written approval from your accredited licensed corporation or registered institution)

3. 閣下，此帳戶最終權益擁有人及 / 或就此帳戶進行交易的最終負責發出指示人仕，與中國中恒金融集團有限公司或其聯屬公司之董事或職員是否有親屬關係?
Do you, the ultimate beneficial owner(s), and / or ultimate instructor(s) have any relationship with any director or employee of China Zhong Heng Finance Group Limited or its affiliates?

☐ 否 No

☐ 是，請說明 Yes, please specify 董事或職員名稱 Name of Director / Employee ____________ 關係 Relationship ____________

4. 閣下是否單獨或閣下的配偶共同控制任何中國中恒金融集團有限公司或其聯屬公司之保證金帳戶 35% 或以上投票權?
Are you, either alone or with your spouse, in control of 35% or more of the voting rights of any corporate margin account of China Zhong Heng Finance Group Limited or its affiliates?

☐ 否 No

☐ 是，請說明 Yes, please specify 配偶名稱 Name of Spouse ____________ 戶口號碼 Account No. ____________

5. 閣下的配偶是否中國中恒金融集團有限公司或其聯屬公司之保證金客戶?
Does your spouse have a margin account with China Zhong Heng Finance Group Limited or its affiliates?

☐ 否 No

☐ 是，請說明 Yes, please specify 配偶名稱 Name of Spouse ____________ 戶口號碼 Account No. ____________

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6. 閣下現時是否已持有中國中恒金融集團有限公司或其聯屬公司之帳戶?
Do you maintain any other account(s) with China Zhong Heng Finance Group Limited or its affiliates?
□ 否 No

戶口名稱 Account Name	
戶口類別 Account Type	
戶口號碼 Account No.	

7. 閣下（及 / 或聯名帳戶第二持有人）是否為美國公民（持有美國護照）或美國居民（持有美國綠卡）?
Are you (and / or the Secondary Joint Account Holder) a U.S. citizen (e.g. holding U.S. Passport) or U.S. resident alien (e.g. holding U.S. green card)?
□ 否 No
□ 是，請填寫 W-9 表格 Yes, please fill in Form W-9

8. 客戶確認及承諾 Client Acknowledgement and Consent

1. 關於風險披露聲明的確認 Acknowledgement regarding risk disclosure statement

本公司投資經理邀請客戶參閱載於協議的風險披露聲明。
The Investment Manger refers the Client to the Risk Disclosure Statement in the Agreement.
客戶確認本公司以客戶選擇的語言（英文及中文）提供了本協議及其附表。
The Client acknowledges that the Agreement and the Schedules attached were provided in a language (English and Chinese) of the Client's choice.
客戶進一步確認本公司已經邀請客戶閱讀協議的風險披露聲明，提出問題及徵求獨立的意見（如客戶有此意願）。
The Client further acknowledges that he was invited to read the risk disclosure statement in the Agreement, ask questions and take independent advice if the Client so wishes.

2 關於提供準確資料的確認 Acknowledgement regarding accuracy of information provided

載於本客戶資料表附表 A 中的資料是真實和準確的。除非中國中恒金融集團有限公司收到資料更改的書面通知，否則，中國中恒金融集團有限公司有權為任何目的信賴這些資料。中國中恒金融集團有限公司獲授權 (a)聯絡任何人，包括客戶的銀行，經紀或任何信用調查機構，藉以核實本客戶資料表附表 A 中所提供的資料及 (b)傳遞客戶資料給其關連公司。中國中恒金融集團有限公司的個人資料收集聲明載列於附表 C。
The information contained in this schedule A is true and accurate. China Zhong Heng Finance Group Limited is entitled to rely fully on such information for all purposes, unless China Zhong Heng Finance Group Limited receives notice in writing of any change. China Zhong Heng Finance Group Limited is authorised at any time to (a) contact anyone, including the Client's banks, brokers or any credit agency, for the purpose of verifying the information provided in this schedule A and (b) pass the Client's information to any of its associated companies. A copy of China Zhong Heng Finance Group Limited's Personal Information Collection Statement is attached as Schedule C.

3 客戶確認 Client acknowledgement

我已經閱讀並明白協議的所有條款並且接受和同意受該協議約束。
I have read and understand the provisions of the Agreement and accept and agree to be bound by the same.

9. 客戶簽署 Execution by Client

客戶簽署 Signature of Client	日期 Date

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10.	持牌代表聲明 Declaration by Licensed Representative

本人____________________________（持牌代表名稱），經以他明白的語言，向____________________________________（客戶名稱），邀請其閱讀，提出問題及徵求獨立意見（如客戶有此意願），並已全部清楚解釋協議書，當中包括，但不限於本開戶表、一般條款、附加條款、免責聲明、私隱政策及風險披露聲明書內的內容。

I,____________________________________(name of representative) have fully explained and provided the contents of the Agreement, including but not limited to this Account Opening Form, the General Terms and Conditions, the Additional Terms and Conditions, the Disclaimers, the Data Privacy Policy and the Risk Disclosure Statement to____________________________________(name of client) in a language which he/she/they understand(s) and have invited the client to read, ask questions and take independent advice if the client wishes.

持牌代表簽署 **Signed by Licensed Representative**	證監會中央編號 **SFC CE No.**	日期 **Date**

經由中國中恒金融集團有限公司之授權代表確認及接納
ACKNOWLEDGED AND ACCEPTED BY AN AUTHORIZED SIGNATORY(IES) FOR AND ON BEHALF OF CHINA ZHONG HENG FINANCE GROUP LIMITED

授權代表簽署 **Authorized Signature(s)**	授權代表姓名 **Name of Authorized Person**	日期 **Date**

注意 **Note:**

1. 本開戶表之英文本（相對中文譯本而言）為確實及有最終效力。
   The terms in English version, as opposed to the Chinese translation, shall be deemed to be conclusive and definitive.
2. 任何刪除或修改，必須由所有帳戶持有人簽名作實。
   Any deletion or amendment must be signed by all account holders.

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附表B SCHEDULE B

投資管理、投資顧問及其他費用
INVESTMENT MANAGEMENT, INVESTMENT ADVISORY & OTHER FEES

在本協議所述客戶作出選擇之規限下，客戶將向授權代表支付或安排支付按以下計劃計算及收取之費用:
Subject to the Client's selection of this Agreement, the Client will pay, or cause to pay to the Authorized Representative fees calculated and charged on the basis of any of the following:

本人／吾等同意委任以下為本人／吾等之投資顧問，及同意支付投資顧問費。
I/We hereby agree to appoint the following as investment advisor and agree to pay the investment advisory's fees:

投資顧問全名 Full name of Investment advisor	
投資顧問所隸屬的主事人公司全名 Full Name of Principal of Investment Advisor	
投資顧問之證監會中央編號 SFC CE Number of Investment Advisor	

收費詳情表格 CHARGES FORM

	項目 Items	收費 Fees
☐	投資顧問費 Advisory Fee	____________%資產淨值 of NAV
☐	行政費 Administration Fee	____________%
☐	管理費 Management Fee	每年資產淨值的________% (Net Asset Value Annually)
☐	交易佣金 Trading Commission	交易金額的_________% (Turnover)
☐	表現費 Performance Fee	_________% 淨 回 報 Absolute Profit
☐	贖回費 Withdrawal	扣除所須費用後資產淨值的___________% __________% of Net Asset Value after all performance and management fee.

*以上費用不包括所有有關本公司應收的其他費用。
*The above charges are not including the related charges of the Company.

本人／吾等同意及接受以上收費及詳情。
I/We understand and accept the above charges and its details.

_______________________________________ ____________________

客戶簽署 Client Signature 日期 Date

客戶名稱 Client Name: ____

客戶號碼 Account No.: ____

由中國中恒金融集團有限公司使用 **For China Zhong Heng Finance Group Limited use only**	
批核 Approved By	
日 期 Date	

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附表 C Schedule C

重要提示 IMPORTANT NOTICE

閣下如對以下內容有任何疑問，應諮詢閣下之經紀、銀行經理、會計師或獨立財務顧問。
Should you have any enquiries about the following content, please consult your own broker, investment manager, accountant, or independent financial consultant.

投資目標、策略、限制及風險披露
Investment Objective, Strategy, Restrictions and Risk Disclosure

目 標 Objective:

- 雖然預期主要於香港市場進行投資，但本公司旨在以世界視野使相關投資在資本及收入兩方面均達到長期增長。此種混合特色可吸引希望定期獲得收入支付既定持續開支之餘亦可寄望投資組合有機會升值從而可累積財富之投資者。
  Although mainly focus on investing the Hong Kong market, the Company's investment objective is to emulate the growth in capital as well as maximizing prospects for profits in the long run with global eyesight. This type of characterized investment objective may attract investor who seeks for a return over a fixed period as well as to relish an opportunity to accumulate wealth from the growth of investment portfolio.

- 使整體組合之風險保持在普遍接受之水平，使經風險調整之回報在中長線高於可比較之市場指數或組合。
  To keep the risk exposure of the aggregate investment portfolio at an acceptable level, and to set the risk-adjusted investment return in middle to longer term be higher than that of any comparable market index or investment portfolio.

策 略 Strategy:

- 本公司本著投資增值之理念挑選投資產品，由此需要仔細分析股票之基本價值及增長前景，以達到本公司之目標為任務。
  The Company always seeks to maximize the value of the investment portfolio. Therefore, detailed investment analysis of the fundamental value and the prospect of future growth of the investment portfolio are carried out when the portfolio are being purchased, such that the objective of the Company is achieved.
- 選股可採取上而下或下而上之方法，視地區及行業之增長潛力而定。
  In viewing the potential growth of different regions and the industry types, the investment portfolio are being picked using both "top to bottom" or "bottom to top" methods.
- 另外可能投資於首次公開招股活動，把握套利之機會。
  Investment opportunities in IPO may be sought when available.
- 定期整固組合，將組合及個別股票之風險減之至最低。
  The investment portfolio will be reviewed under fixed term as to minimize the risk exposure.
- 投資組合予以積極地管理，而並非被動地仿照市場加以組合。
  Pro-active management of the investment portfolio.
- 持有之組合投資並無特定時期。中國中恒金融集團有限公司雖無採取策略進行短期投機，但在假設股價及市場出現週期性波動下，時間之長短足以反映組合中不同投資之內在價值。三年乃一般可接受之時間，基於下述職投資限制，可合理地衡量表現。
  No fixed holding period for any investment portfolio. Although China Zhong Heng Finance Group Limited does not hold any short-term speculative strategy, however, subject to the periodic stock and market movement, the length of holding period should reflect the intrinsic value of the investment under an investment portfolio. Subject to the below Investment Restriction, a holding period of three
  (3) years would be acceptable for evaluation of performance.
- 現時本公司之投資政策訂明，每當股價從首次買入下跌 15%或每次再跌 10%時，均須進行止蝕評估。
  The current investment policy of the Company states that, when i) the price of a stock has dropped 15% ormore from the buying price at the first time of purchase, or ii) the price of a stock has dropped 10% or more for the

buying price, an evaluation of stop-loss is required.

投資限制 Investment Restrictions:

- 為免風險過大，本公司一般會投資於保證金比率在 30%或以上之股票，股票投資之保證金比率可不時經中國中恒金融集團有限公司厘定及修訂。
  To avoid the risk level being too high, we will normally invest in securities with respective margin ratio of 30% or above. The Company reserves the rights to determine and amend the margin ratio for every security when necessary.
- 不可進行現金或股票借貸或賣空。
  Cash and securities borrowing or lending, or short selling is not permitted.

風險披露 Risk Disclosure:

- 雖然中國中恒金融集團有限公司每位投資經理以合理謹慎之判斷協助其作出投資決定，但股市及金融市場存在固有之多種風險，如市場風險、流通風險、利率風險、匯率風險等，此等風險皆為大部份信心十足之投資經理無法避免。
  Although every of our investment manager of China Zhong Heng Finance Group Limited will make investment decision in a reasonable and cautious manner, there exist a variety of financial risks in the stocks and financial market such as market risk, liquidity risk, interest rate risk, currency risk, etc. These types of risks may not be avoided by most experienced investment managers.
- 因此，投資者應預計面對及承受若干程度之風險。
  Therefore, investor should foresee and bear a considerable level of risk due to the above risk factors.
- 投資組合之價值可升可跌，由於本公司所管理之任何組合並非資本保持或資本保證投資，因此，在最壞之情況下，投資組合可失去所有價值。
  The total value of investment portfolio will increase or decrease according to market movement. The investment portfolio may become valueless under the worst situation.
- 不願冒險之投資者應當從本身之投資目標及經驗、財政狀況等方面慎重考慮以上所述後始行落實任何投資計劃
  For investor who is not willing to take risk, he / she should review his / her own investment objective, experience and financial condition before any investment proposals come into implementation
- 以上所述僅為指引，旨在讓投資者瞭解本公司如何管理投資組合。然而，組合之大小影響本公司實行策略之成效，不單影響目標之達成，亦會對本公司所管理之組合產生額外風險。
  The above is only the guideline for investor to understand the management of the investment portfolio by the Company. However, the differences in size of the investment portfolio may affect the effectiveness of the investment strategies being set out by the Company. This may influence the objective achievement and may also generate extra risk to the investment portfolio under management.

確認及明白 **Confirmed and understand by:**

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客戶簽署 Client's Signature　　　　日 期 Date

客戶名稱 Client Name:______________________________

客戶號碼 Account No.:______________________________