

**專業投資者投資帳戶開戶暨服務申請書 ( 個人戶 聯名戶 )**
**Application for Professional Investor Investment Account Opening & Services (Individual or Joint Account Customer)**

<b>申請人中文姓名</b> Chinese Name of Applicant		<b>聯名申請人中文姓名</b> Chinese Name of Joint Applicant	
<b>申請人英文姓名</b> English Name of Applicant		<b>聯名申請人英文姓名</b> English Name of Joint Applicant	
<b>舊名/別名</b> Former/Other Name of Applicant		<b>聯名申請人舊名/別名</b> Former/Other Name of Joint Applicant	
<b>身分證照字號</b> ID No.	<b>核發地</b> Issuing Country	<b>身分證照字號</b> ID No.	<b>核發地</b> Issuing Country
<b>聯絡電話號碼</b> Contact Telephone Number		<b>聯絡電話號碼</b> Contact Telephone Number	
<b>電郵</b> E-Mail Address		<b>電郵</b> E-Mail Address	

**一、申請人/聯名申請人茲聲明以下事項：**

- 申請永豐商業銀行股份有限公司香港分行（以下稱「永豐銀行」）專業投資者投資帳戶（以下稱「投資帳戶」）開戶暨相關服務（以下稱「本服務」）；
- 指定右列帳戶（限申請人/申請人及聯名申請人開立於永豐銀行的帳戶）為本服務相關投資資金扣帳、入帳帳戶：\_\_\_\_\_（以下稱「結算帳戶」）；並謹此授權永豐銀行進行相關投資交易的扣帳、入帳等事宜；
- 已審慎閱讀、瞭解且願遵守永豐銀行「代理申購證券總約定書」/「買賣證券總約定書」（以下稱「該等約定書」）之條款，已經細閱、明白及接受由永豐銀行所提供的所有有關投資帳戶的章程條款，並已收到有關條款乙份；及
- 除另有聲明外，申請人/聯名申請人聲明及確認申請人/聯名申請人是投資帳戶的主事人、實際決策者，以及有關此投資帳戶的最終實益擁有及風險承擔人，並以此等身份進行一切有關之交易。除申請人/申請人及聯名申請人以外，沒有任何其他人對投資帳戶擁有任何權益。

請列出投資帳戶的最終實益擁有人及實際決策者(如有)\_\_\_\_\_

- 閣下是否有親屬為永豐銀行員工？ 無 有，請詳述姓名及親屬關係\_\_\_\_\_

**The Applicant/Joint Applicant hereby declare(s) the following :**

- Applying for Professional Investor Investment Account (the “Investment Account”) and related services (the “Services”) with Bank SinoPac Hong Kong Branch (the “Bank”);
- Designating the following account (being an account opened by the Applicant / the Applicant and the Joint Applicant with the Bank only) as the account to deduct or deposit investment funds in relation to the Services:  
\_\_\_\_\_(the “Settlement Account” and hereby authorising the Bank to execute the deduction or deposit in the settlement account for relevant investment transactions;
- The Applicant/Joint Applicant has/have read carefully and understand(s) and is/are willing to abide by the “Terms and Conditions for Agency for Subscription of Securities”/“Terms and Conditions for Sale and Purchase of Securities” (“Those Terms”). The Applicant/Joint Applicant has read, understood and agree to be bound by all the relevant terms and conditions issued by the Bank governing the Investment Account and acknowledge receipt of a copy; and
- Unless specify otherwise, the Applicant/Joint Applicant hereby declare(s) and confirm(s) that the Applicant/Joint Applicant is/are the principal, the original person(s) to give orders and the ultimate person(s) to own the benefits or to bear the risks in relation to the Investment Account and will conduct all related transactions in this capacity. Besides the Applicant/ the Applicant and the Joint Applicant, there will be no other person who shall have any interest in the Investment Account.  
Please specify who is the ultimate beneficiary and the original person to give orders (if any) \_\_\_\_\_
- Do you have any relatives working in the Bank?  No  Yes, please provide name and relationship \_\_\_\_\_

**二、專業投資者確認書**

就申請人/聯名申請人向永豐銀行開立的專業投資者投資帳戶，同意並確認如下：

- 申請人/聯名申請人符合香港《證券及期貨條例》（香港法例第 571 章）（以下稱《證券及期貨條例》）中之有關「專業投資者」的定義；及
  - 永豐銀行已向申請人/聯名申請人完全解釋作為專業投資者的風險及後果及有權撤回被視為專業投資者的權利（正如永豐銀行向申請人/聯名申請人提供的「有關專業投資者的說明」所載之條款）。
- 申請人/聯名申請人聲明並確認申請人/聯名申請人完全明白及了解專業投資者聲明之內容，作為專業投資者的風險及後果，及同意被視為專業投資者。

**Confirmation of Being Treated as a Professional Investor**

In consideration of the Professional Investor Investment Account to be opened with the Bank, the Applicant/Joint Applicant agree(s) and confirm(s) the following :

- The Applicant/Joint Applicant fall(s) within the definition of “Professional Investor” under the Securities and Futures Ordinance (Chapter 571 of the Laws of Hong Kong) (the “Securities and Futures Ordinance”); and
- The Bank has explained to the Applicant/Joint Applicant the risks and consequences of being treated as a Professional Investor and the right to withdraw from being treated as such as contained in the “Explanation Regarding Professional Investor” provided by the Bank to the Applicant/Joint Applicant.

The Applicant/Joint Applicant declare(s) and confirm(s) that the Applicant/Joint Applicant fully understand(s) the provisions in the Notice of Treatment as a Professional Investor and the risks and consequences of being treated as a Professional Investor, and agree(s) to be treated as such.

**三、僱傭狀況**

申請人/聯名申請人謹此聲明及確認，除於下項列明申請人/聯名申請人之僱主名稱外，申請人/聯名申請人目前並無受僱於香港聯合交易所有限公司的參與者或《證券及期貨條例》定義之「中介人」；如日後有受僱於「中介人」，申請人/聯名申請人應即刻通知永豐銀行。

**Employment**

The Applicant/Joint Applicant hereby declare(s) and confirm(s) that unless with their employer's name stated below, the Applicant/Joint Applicant is/are not currently employed by a participant in the Stock Exchange of Hong Kong Limited or an "intermediary" as defined in the Securities and Futures Ordinance. Should the Applicant/Joint Applicant hereafter be employed by the said participant or intermediary, the Applicant/Joint Applicant shall promptly notify Bank SinoPac.

(如適用)申請人/聯名申請人應就其與永豐銀行開立投資帳戶，獲得其僱主之書面同意並提供給永豐銀行。Where applicable, the Applicant/Joint Applicant should obtain and provide the written consent from his/their employer(s) regarding the opening of investment account with the Bank.

申請人僱主名稱：  
Name of Employer of Applicant:  
地址/ Address：  
聯絡電話號碼/ Contact Phone No.：  
聯絡人/ Attention：  
持牌號碼/Registration number:

聯名申請人僱主名稱：  
Name of Employer of Joint Applicant:  
地址/ Address：  
聯絡電話號碼/ Contact Phone No.：  
聯絡人/ Attention：  
持牌號碼/Registration number:

**四、獲授權人士及其擔保**

申請人/聯名申請人謹此委任下列人士為該等約定書下或其所指的獲授權人士，投資帳戶並可根據下列獲授權人士之指示運作。

申請人/聯名申請人謹此進一步聲明對所有獲授權人士或聲稱由獲授權人士代表申請人/聯名申請人所發出之指示負責，及將向永豐銀行就因為獲授權人士之行為或遺漏而引致的一切損失、損害、費用及開支作出彌償。

**Authorized Person(s) and Indemnity**

The Applicant/Joint Applicant hereby appoint(s) the following person(s) as Authorized Person(s) under and within the meaning of Those Terms and the Professional Investor Investment Account can be operated on the instructions of the following Authorized Person(s).

The Applicant/Joint Applicant hereby further declare(s) that the Applicant/Joint Applicant shall be responsible for any instructions given by the Authorized Person(s) or purported to be given by the Authorized Person(s) for and on my/our behalf, and shall indemnify the Bank against all losses, damages, costs and expenses whatsoever incurred as a result of any act or omission of any of the Authorized Person(s).

本人/吾等作為下列之獲授權人士現確認，並於下列簽署欄內簽署作實，本人/吾等已參閱並明白永豐銀行給予客戶有關《個人資料（私隱）條例》的通知並同意其條款。

I/We, the Authorized Person(s) listed below, by signing on the signature column below hereby confirm that I/we have read and understand the Bank's Notice to Customers on the Personal Data (Privacy) Ordinance and agree to its terms.

因永豐商業銀行所提供給本人之各項銀行/金融及有關服務，本人確認已審慎閱讀及充分了解並同意永豐商業銀行「個人資料隱私條例通知書」相關條文。In consideration of Bank SinoPac's agreement to provide banking, financial and related services to me, I confirm that I have read and understand the conditions set out in the attached Circular to Customers and Other Individuals relating to the Personal Data (Privacy) Ordinance and agree to be bound by such conditions.

 PERSONAL ACCOUNT 個人帳戶

 JOINT ACCOUNT 聯名帳戶

投資賬戶帳號ACCOUNT NO.

開戶日期Date of Account Opened

中文戶名(正楷)Name in Chinese (In Block Letters)

英文戶名(正楷)Name in English (In Block Letters)

簽署安排Signing Arrange:

簽署共\_\_\_\_\_式憑\_\_\_\_\_式有效The following signature will be valid

其他Others: 變更印鑑生效日: \_\_\_\_\_年YYYY/月MM/日DD

**帳戶持有人Account Holder**

帳戶持有人Account Holder / 授權代表簽名Specimen Signature of Authorized Representative

 姓名Name:  
證件號碼ID/Passport No.:  
聯絡電話:

 姓名Name:  
證件號碼ID/Passport No.:  
聯絡電話:

帳戶持有人Account Holder / 獲授權代表簽名Specimen Signature of Authorized Representative		帳戶持有人Account Holder / 獲授權代表簽名Specimen Signature of Authorized Representative	
姓名Name : 證件號碼ID/Passport No.: 聯絡電話 :		姓名Name : 證件號碼ID/Passport No.: 聯絡電話 :	
<u>對保日期及地點 :</u>	<u>對保人姓名 :</u>	<u>對保人簽字 :</u>	<u>其他 :</u>

### 1. 投資存款服務 Investment Deposit Service

吾／吾等為以上存款帳戶持有人，要求永豐商業銀行香港分行(以下稱 貴行) 於吾／吾等已開立的存款帳戶下，開啟投資存款（按該等條款所定義）之服務，並受制於貴行不時有效的(i)帳戶一般條款及條件及(ii)投資存款 條款及條件（統稱「該等條款」）內之條文，而該等條款之所有條文均被收納入並成為本申請書的一部分。該等條款所定義的條款及詞句，除本文另行定義 外，若用於本申請書內，當具相同涵義。

I/We, the under-named Account Holder, hereby apply for the Investment Deposit(s) (as defined in the Conditions) Please ensure the investment deposits defined in the Conditions are really non-protected per the DPB under the Deposit Account. I/We have opened with Bank SinoPac Hong Kong Branch (hereinafter the "Bank"), subject to the provisions of (i) the General Terms and Conditions for Accounts and (ii) the Terms and Conditions for Investment Deposit (the "Conditions") of the Bank in force from time to time which shall be incorporated into and shall form part of this Application. The terms and expressions defined in the Conditions shall, unless otherwise defined herein, have the same meaning when used in this Application.

就被指定用作投資存款的結算帳戶，吾／吾等或獲授權人士之詳細資料及簽字式樣，以及協定簽署安排均載明於有關之個人帳戶申請書、獨資經營商行帳戶申請書、合夥經營商行帳戶申請書、有限公司帳戶申請書開戶表格（統稱「開戶文件」）內。

In respect of the account(s) designated as the Settlement Account for the Investment Deposit(s), the particulars and specimen signature(s) of me/us or the Authorized Persons and the Agreed Signing Arrangement and other required information are set out in the relevant Mandate for Personal Accounts, Mandate for Sole Proprietorship Accounts, Mandate for Partnership Accounts, Mandate for Limited Company Accounts and/or Securities Account Opening Form (collectively, the "Account Opening Documents").

#### 一、存款保障計畫規則通知 A. Notice to Customers Under the Deposit Protection Scheme Rules

永豐商業銀行股份有限公司，現通知閣下投資存款並非《存款保障計劃條例》（香港法例第 581 章）（「存保條例」）所闡釋之受保障存款，且不受就存保條例所成立之存款保障計劃（「存保計劃」）所保障。

Bank SinoPac, hereby notifies you that the Investment Deposit(s) is/are not protected deposit(s) within the meaning of the Deposit Protection Scheme Ordinance (Cap. 581) (the "Ordinance"), and is/are not protected by the Deposit Protection Scheme established under the Ordinance (the "Scheme").

如閣下有任何疑問，或需要進一步的資料及說明，閣下可致電本行之查詢熱線（852）2907-6968。閣下亦可透過以下途徑獲得更多有關存保計劃及香港存款保障委員會（「存保委員會」）的資料：

If you have any query or need any further information and clarification, please contact our enquiry hotline at (852) 2907-6968. You can also obtain more information about the Scheme and the Hong Kong Deposit Protection Board (the "Board"):

- 存保委員會的資料單張(如有要求，可提供一份資料單張)；  
An information leaflet from the Board (a copy of the leaflet will be provided upon request);
- 存保委員會之網頁(www.dps.org.hk)；  
You may also visit the Board's website (www.dps.org.hk) ；
- 致電存保委員會之查詢熱線（852）1831 831 ；  
You may also call the Board's enquiry hotline at (852) 1831 831 ；
- 電郵致存保委員會之電郵信箱 [dps\\_enquiry@dps.org.hk](mailto:dps_enquiry@dps.org.hk)；或 致函存保委員會，地址為香港灣仔皇后大道東183號合和中心18樓1802 - 1810 室。  
You may also email the Board at [dps\\_enquiry@dps.org.hk](mailto:dps_enquiry@dps.org.hk); or by write to the Board at Room 1802 - 1810, 18th Floor, Hopewell Centre, 183 Queen's Road East, Wanchai, Hong Kong.

**二、存款保障計畫規則確認 B. Confirmation from Customers For Understanding the Deposit Protection Scheme Rules**

吾／吾等，即下述簽署人，現承認及確認吾／吾等在 貴行申請有關投資存款服務、或在進行投資存款交易前，吾／吾等已收到及審閱本通知，並明白投資存款並非存保條例所闡釋之受保障存款，且不受存保計劃所保障。

I/We, the undersigned, hereby acknowledge and confirm that I/we have received and perused this Notice and understand that Investment Deposit(s) is/are not protected deposit(s) within the meaning of the Ordinance and is/are not protected by the Scheme before I/we Apply for the service with the Bank for the purpose of Investment Deposit(s), invest in the Investment Deposit(s) or enter into transaction contemplated by the Investment Deposit(s).

**三、客戶聲明 C. Declaration by Applicant**

1. 吾／吾等確認收到整套以吾／吾等所選擇之語言所撰寫並現行有效的該等條款。

I/We acknowledge receipt of a full set of the Conditions which are currently in force in my/our selected language.

2. 吾／吾等已詳細閱讀該等條款，而吾／吾等確認吾／吾等接受並同意在各方面均受該等條款所約束。

I/We have read the Conditions and I/We confirm that I/We accept and agree to be bound by all respects of the Conditions.

3. 貴行已按照吾／吾等所選擇之語言向吾／吾等提供列明於該等條款內的風險披露聲明，並以吾／吾等所選擇之語言向吾／吾等解釋該等風險披露聲明之內容。吾／吾等亦已獲貴行促請細閱該等風險披露聲明、發問問題及按吾／吾等意欲徵詢獨立意見。

I/We have been provided with the risk disclosure statements set out in the Conditions and explained of the contents of the said risk disclosure statements, both in a language of my/our choice. I/We have also been invited to read the said risk disclosure statements, ask questions and take independent advice if I/We so wish.

4. 吾／吾等謹此聲明，一切吾／吾等於本申請書及附錄一之董事會決議案經核證為真實的副本（如適用）內陳述的資料均為真實、完正及正確。除非貴行收到吾／吾等任何書面更改通知，否則貴行有權就各方面完全信賴此等資料核陳述。貴行獲授權在任何時間連絡任何人士，包括吾／吾等之銀行、經紀或任何信貸代理，以核實於本申請書及各附錄內所提供及／或其他於本申請書所陳述的資料。

I/We hereby declare that all information given by me/us in the Account Opening Documents, and/or otherwise stated in the Application and the certified true copy of the Board Resolution (where applicable) in Appendix I hereto are true, complete and correct. You are entitled to rely fully on such information and representations for all purposes, unless notice in writing of any changes is received by you from me/us. You are authorized at any time to contact anyone, including my/our bankers, brokers or any credit agency, for purposes of verifying the information provided in the Account Opening Documents, Appendices and/or otherwise stated in this Application.

5. 吾／吾等謹此承認及確認吾／吾等已收到、審閱及明白載於一部分及二部分之通知，並被要求承認，及已承認在簽署本申請書前已收到、審閱及明白載於一部分及二部分之通知。

I/We hereby acknowledge and confirm that I/We have received, perused and understood the Notice as set out in Part A and B hereto and I/We was/were requested to acknowledge and did acknowledge that I/we have received, perused and understood the Notice as set out in Part A and B prior to signing this Application hereto.

6. 在吾／吾等簽署本申請書前，吾／吾等已適當地考慮貴行所提示，吾／吾等應就本申請書之內容及效力尋求獨立的法律或其他專業顧問之意見。吾／吾等已詳閱及同意在各方面受本申請書所約束。

Before I/We sign this Application, I/We have duly considered the Bank's advice that I/We should seek independent legal or other expert advice regarding the contents of this Application. I/We have read and agreed to be bound by this Application in all respects.

7. 貴行謹此獲授權：

The Bank is hereby authorized:

(a) 隨時（而不須事先通知吾／吾等任何一人，及即使有任何帳目的結算或其他任何事情）合併或綜合吾／吾等所有或任何當其時存在的帳戶（屬任何性質，不論是否須給予通知，及倘若屬聯名帳戶，不論是以吾／吾等個人名義或以吾等共同名義所開設），並抵銷或轉撥任何一個或以上的該等帳戶（不論於何地開設）內記於貸項之任何款項，用以清償吾或吾等一人或多人在任何其他帳戶或在任何其他方面對貴行的任何負債，不論該等負債是現在或將來的、屬實際或是或有的、基本或附屬的，以及各別或共同的，而若該等合併、抵銷或轉撥須將一種貨幣兌換成另一種貨幣，則該項兌換應按合併、抵銷或轉撥當日貴行決定為有關的外匯市場的現行匯率（由貴行作不可推翻之釐定）計算；

At any time without prior notice to me or any one of us and notwithstanding any settlement of account or other matter whatsoever, to combine or consolidate all or any of my/our then existing account (of whatever nature, whether subject to notice or not and, in the case of joint account, whether in our individual name or in our joint names), and to set-off or transfer any sums standing to the credit of any one or more of such account, wheresoever situate, in or towards satisfaction of any liabilities owed by me or any one or more of us to the Bank on any other account or in any other respect whatsoever, whether such liabilities be present or future, actual or contingent, primary or collateral, and several or joint, and where such combination, set-off or transfer requires the conversion of one currency into another, such conversion shall be calculated at the spot rate (as conclusively determined by the Bank) prevailing in such foreign exchange market as the Bank shall determine to be relevant on the date of the combination, set-off or transfer;

(b) 就吾或吾等一人或多人不不論因任何理由被貴行或控制所有財產行使留置權，及如有需要（且不論是否為貴行的通常業務運作），有權出售該等財產，以清償吾或吾等一人或多對貴行任何不論性質的負債；

To exercise a lien over all properties of mine or any one or more of us coming into possession or control of the Bank for any reason whatsoever, and whether or not in the ordinary course of banking business, with power to sell such properties, if necessary, to satisfy any liabilities owed by any one or more of us of whatever nature to the Bank;

(c) 在符合《遺產稅條例》（香港法例第 111 章）之條文下，如適用，倘若帳戶是聯名帳戶，於吾等任何一人去世時，為尚存者保有任何以吾等聯名持有之投資存款（但無損貴行就有關投資存款因應任何留置權、押記、質押、抵銷、反索償或任何方面而可能擁有的任何權利），並應任何人士的任何索償，以及絕對酌情權在認為合適的情況下，代尚存者採取任何步驟或法律程序（由尚存者支付費用）。

Subject to compliance with the provisions of the Estate Duty Ordinance (Cap. 111), if applicable, in the case of a joint account, to hold upon the death of any one of us any Investment Deposit held in our joint names to the order of the survivor without prejudice to any right the Bank may have in respect thereof, arising out of any lien, charge, pledge, set-off, counter-claim or otherwise whatsoever and to take any step or legal proceedings for the account of and at the expense of the survivor which the Bank may in its absolute discretion deem desirable in view of any claim by any person.

## 2. 衍生工具知識聲明 Declaration of Knowledge on Derivatives

根據《香港證券及期貨事務監察委員會》之相關規定，中介人(包括註冊機構)應評估客戶對衍生工具的認識，並根據客戶對衍生工具的認識將客戶分類，因此懇請您填寫對於衍生工具的認知。感謝您的配合！

According to the relevant regulations of the Securities and Futures Commission of Hong Kong, intermediaries (including registered institutions) should assess customers' knowledge on derivatives and classify their customers according to their knowledge on derivatives. Therefore, please complete the following as per your knowledge on derivatives. Thank you for your cooperation!

本人沒有任何衍生工具相關知識  
I / we do not have any knowledge on derivatives.

本人聲明根據下列選取原因，本人/本公司具有衍生工具相關知識(可選擇多於一項)：  
I / we declare that I / we have knowledge on derivatives based on the following reason(s) (may tick more than one):

曾經接受或參加由金融或學術機構所提供有關衍生工具的培訓或課程：

Have received or participated in training or courses on derivatives provided by financial or academic institutions:

永豐銀行的網上「一般衍生工具知識」，本人並聲明已完成由永豐銀行提供有關衍生工具的培訓。本人明白該教材短片的內容並同意貴行將本人界定為對衍生工具有認識的客戶。

I declare that I have completed a training on derivatives offered by Bank SinoPac named [一般衍生工具知識]. I fully understand the training materials and agree that Bank SinoPac may classify and treat me as a customer who has knowledge on derivatives.

其他金融或學術機構，機構名稱：\_\_\_\_\_

Other financial or academic institutions, institution name:

及 and

有關課程名稱：\_\_\_\_\_

Course Name:

擁有金融相關專業資格： CFA  FRM  其他 others: \_\_\_\_\_

Finance related professional qualification:

現在或曾經於金融機構名稱：\_\_\_\_\_

Now working or have worked in connection with derivatives at least one year in financial institution name:

從事衍生工具相關的工作(部門：\_\_\_\_\_ 職稱：\_\_\_\_\_ )至少一年。

Department:

Job title:

於過去三年內有五次或以上的衍生產品交易經驗，衍生產品包括：貨幣掛鉤產品、利率掛鉤產品、股票掛鉤產品、信貸掛鉤產品、牛熊證、衍生認股權證、ETF 等，如勾選此項，請提供有關記錄書面(如對帳單、交易確認書等)。

Had at least five derivatives transaction experience in the last three years, including currency linked products, interest rate linked products, stocks linked products, credit linked products, bull bear certificates, derivative warrants, ETF, etc. If this option is selected, please provide relevant written records and transaction documents (such as account statement, transaction confirmation, etc.).

本人/吾等確認所提供的資料均屬真確。本人/吾等已明白倘若聲明書內容不實，永豐銀行將不能夠評估所要求服務對本人/吾等的適合性。

I / we confirm that the information provided is true and complete. I / we have understood that if the information provided is untrue or incomplete, Bank SinoPac will not be able to assess the suitability of the services requested by me / us.

**3. 弱勢客戶銷售方式確認 Declaration by Vulnerable Customers**

為提供本行弱勢客戶更完善的投資服務，貴客戶在使用投資服務時，可選擇以下加強的措施與程序，以維護您的權益。  
In order to provide better investment services for our vulnerable customers, you may choose the following additional measures and procedures to protect your rights and interests when using investment services.

本人確認使用 貴行所提供之投資/銷售服務時，選擇以下方式進行：

**I confirm to choose the following additional measures and procedures when using investment / sale services as provided by Bank SinoPac:**

**注意: 客戶可以兩者任選其一、兩者均不選用或兩者全選  
Note: customer may choose either one, neither of them or both of them.**

	需要陪同 Accompanied	不需要陪同 Not accompanied
1. 帶同一名家庭成員、近親或朋友陪伴出席，確保明白有關產品所涉風險；如以電話銷售，將以三方通話形式進行說明。 Bring a family member, a close relative or a friend to attend and ensure the risks involved in the product are well noted and understood. If the sale process is by way of telephone, explanation of the product shall be made by way of conference telephone call.		
2. 安排多於一名的前線員工處理有關銷售，以確保遵守適當的銷售程序；如以電話銷售，將以三方通話形式進行說明。 Arrange more than one bank staff to handle the sale process to ensure that proper sale procedures are followed. If the sale process is by way of telephone, explanation of the product shall be made by way of conference telephone call.		

**客戶聲明 Customer declaration**

- 本人已清楚並明白有關本人在銷售過程中之權益。  
I fully understand all my rights and interests in the sale process.
- 本人已被告知本人屬於「弱勢客戶」，並不宜倉卒作出投資決定，如有需要應尋求專業意見。  
I have been told that I am a "vulnerable customer" and should not lightly make any investment decisions. If necessary, I should seek professional advice.
- 本人  同意 /  不同意 被認為非「弱勢客戶」/「複雜性產品的弱勢客戶」。  
I  agree /  disagree to be identified as not a "vulnerable customer" / "a vulnerable customer of complex products"

**銀行聲明  
Bank Declaration**

依香港金融管理局的指引，為加強保障「弱勢客戶」投資人，因此本行為符合以下特點客戶群提供投資服務加強措施：  
In accordance with guidelines by the Hong Kong Monetary Authority, in order to protect the interests of the "vulnerable customers", we offer additional measures and procedures in relation to investment services for the following "vulnerable customers".

- 一、 客戶身體有明顯的殘疾有可能影響客戶對投資作出決定能力之情況，例如有視力、聽力或認知障礙；  
Customers with physical disability which may affect his/her ability to make sound investment decisions. These physical disabilities include visual, hearing or cognitive impairment;
- 二、 客戶如屬以下情況亦有可能被視為「弱勢客戶」：  
Customers may be regarded as "vulnerable customers" if they are:
  - 客戶年齡為 65 歲或以上之長者；  
Customers aged 65 or above;
  - 教育程度為小學程度或以下；  
Education level is primary school level or below;
  - 低資產且低收入；  
Low assets and low income;

如客戶出現上述其中一項情況，而且無任何投資經驗，客戶將會被定義為「弱勢客戶」，或者是客戶無複雜產品交易經驗，但有其他投資產品經驗，此情況客戶將會被定義為「複雜性產品的弱勢客戶」。  
If any of the above customers does not have any investment experience, the customer will be treated as a "vulnerable customer", or if the customer has no experience on trading complex products but has experience on trading other investment products, the customer will be treated as a "vulnerable customer for complex investment products only".

- 三、 為保障 貴客戶的權益，本確認書有效期一年；當 貴客戶的個人考慮因素有變動時，可重新選擇上述之加強措施。  
In order to protect the rights and interests of our customers, this declaration will be valid for one year starting from the signing date. Customers may amend their preferences on the above additional measures and procedures depending on their circumstances.

#### 4. 客戶投資風險屬性問卷 – 個人戶 Customer Investment Risk Attribute Questionnaire-Individual Account

本問卷係為協助您瞭解本身投資屬性與風險承受度，本行將依您所填資料進行評估，請依實際情況填寫所列問題，以避免影響評估結果。感謝您的配合！

This questionnaire is to help you understanding your own investment attributes and risk tolerance. We will make an assessment based on the provided information. Please fill in the questionnaire according to your actual circumstances to avoid inadvertently affecting the evaluation results. Thank you for your cooperation!

Q1. 請問您的年齡？（由系統以填寫年份減出生年份計算後帶出，毋須填寫）

What is your age? (It should be pre-filled by the system by subtracting your year of birth from the date of completing this questionnaire. It is unnecessary to be completed)

- A. 65歲(含)以上 Over 65 years old (inclusive)      B. 55~64歲 years old  
C. 45~54歲 years old      D. 35~44歲 years old      E. 18~34歲 years old

Q2. 請問您的教育程度？

What is your education level?

- A.  國小(含以下) Primary school (inclusive)      B.  國中畢業(含)以下 Junior secondary school (inclusive)  
C.  高職/高中畢業 Secondary school      D.  大專/大學畢業 College / Undergraduate      E.  碩士/博士 Postgraduate

Q3. 請問您打算預留多少百分比流動資產淨值作投資用途？

What percentage of net current assets do you intend to be reserved for investment?

- A.  10%      B.  20%      C.  30%  
D.  40%      E.  多於 >40%

Q4. 您預計於香港分行申購的個別投資產品最長投資年限為何？

What is the longest investment period of an individual investment product you expect to purchase from Hong Kong branch?

- A.  1年(含)以下 Less than 1 year (inclusive)      B.  3年(含)以下 Less than 3 years (inclusive)      C.  5年(含)以下 Less than 5 years (inclusive)  
D.  7年(含)以下 Less than 7 years (inclusive)      E.  10年(含)以下 Less than 10 years (inclusive)      F.  10年(不含)或以上 10 years (exclusive) or more

注意：投資涉及風險與回報的權衡。一般情況下，獲得較高回報的投資者往往承擔相應較高的資產價值波動和損失；但較高的資產價格波動和損失並不代表或保證相關資產可以獲得較高回報或正回報。

Note: Investment involves a trade-off between risk and return. Generally, investors who get higher returns tend to bear the corresponding higher asset value volatility and loss. However, the higher asset price volatility and loss does not mean or guarantee that the relevant assets can obtain higher or positive returns.

Q5. 以下哪項描述最符合您對投資回報與風險所持的一般態度？

Which of the following statements reflect your general attitude towards return and risk the best?

- A.  我的投資目標是獲取高於銀行存款利率的投資回報，只願意接受非常低之投資損失。  
My investment goal is to obtain investment return higher than bank deposit interest rate, and I am only willing to accept very low level investment loss.
- B.  我的投資目標是獲取低至中度資本增值，願意接受低至中等水平的投資損失。  
My investment objective is to obtain low to moderate level capital gains and be willing to accept low to medium level investment losses.
- C.  我的投資目標是獲取中度資本增值，願意接受中至高水平的投資損失。  
My investment objective is to achieve moderate level capital gains and be willing to accept medium to high level investment losses.
- D.  我的投資目標是獲取高度資本增值，願意接受高水平的投資損失。  
My investment goal is to obtain a high level of capital appreciation and be willing to accept a high level of investment losses.
- E.  我的投資目標是獲取極高的資本增值，願意接受非常高水平的投資損失，包括損失超出原投資金額的可能性。  
My investment goal is to obtain extremely high level capital appreciation, and I am willing to accept a very high level of investment loss, including the possibility of loss exceeding the original investment amount.

Q6. 以下10年期投資組合的波動水平，最接近您對投資回報的波幅水平的期望？

Which of the following volatility level of a 10-year investment portfolio is closest to your expectation of the volatility level of your investment return?

- A.  -5%~+5%      B.  -10%~+10%      C.  -20%~+20%  
D.  -30%~+30%      E.  超過以上所有選項 more than all of the above options

Q7. 假設您的投資標的在短期內(如1年)下跌了20%，您會怎樣做？

In the event that the value of your investment falls by 20% in the short term (e.g. within one year), what would you do?

- A.  我會立刻停損。  
I will stop incurring further losses immediately.
- B.  我會停損，再找另一些表現較好的投資標的。  
I will stop incurring further losses and find other investment options with better performance.
- C.  我會憂慮，但會再觀察一段時間，再作決定。  
I will worry, but will observe for a little longer before I make a decision.
- D.  我明白投資附有風險，我會著重長線的投資回報率。  
I understand that investment involves risks, and I will focus on long-term return of the investment.
- E.  我會趁低位買入更多單位/股份。  
I will take advantage of the depreciation and buy more units / shares.

Q8. 若您整體投資資產損失超過20%，對您的生活影響程度為何？

If you lose more than 20% of the value of your total investment assets, what is the impact on your life?

- A.  無法承受      B.  影響程度大      C.  中度影響  
Unable to bear the influence      The degree of influence is large      The degree of influence is moderate
- D.  影響程度小      E.  不會有影響  
The degree of influence is small      No influence

**重要事項：**

**Important note:**

- 為保障您的權益，本問卷自您確同意評估結果之日起計算一年內有效；若您的基本資料或投資相關資訊有變動時，請重新進行評估。如逾期未重新評估時，將無法為您提供投資服務。  
In order to protect your rights and interests, this questionnaire is valid for one year from the date when you confirm the evaluation results. If there is any change on your personal details or investment related information, please complete another questionnaire and be re-evaluated. If there is no reassessment within the time limit, we will not be able to provide you with investment services.
- 本評估結果係根據您提供的資料分析而得，僅作為您投資決策之參考，本行並不分擔投資風險或為任何本金或收益保證。  
The evaluation results are based on the information provided by you and are only for the purpose of your investment decision making. The Bank does not share any investment risk or guarantee any principal or income.

**客戶確認**

**Customer confirmation**

- 以上所作之投資屬性評估係由本人親自填答。  
The above questionnaire is completed by myself.
- 本人確認已收執本次執行「投資風險屬性問卷」副本(與 貴行正本內容相符)乙份無誤。  
I confirm that I have received and held a copy of this Customer Investment Risk Attribute Questionnaire (consistent with the original) without error.
- 本人確認以上資訊真實無誤，貴行得蒐集、處理及利用作為衡量本人投資風險屬性之依據。  
I confirm that the above information is true and complete. The Bank may collect, process and use any information provided by me as the basis for assessing my investment risk attribute.

您的評估結果及投資屬性分析請詳下說明：  
Your evaluation results and investment attribute analysis are as follows:

勾選 Select	投資屬性 Investment Attribute	投資屬性分析 Investment Attribute Analysis
<input type="checkbox"/>	第一級 Level 1 保守型 Conservative	您能承受的投資風險極低，建議資金配置在銀行存款，或具有穩定收益的商品。 You can bear very low investment risk. It is recommended to allocate funds in bank deposits or products with stable income.
<input type="checkbox"/>	第二級 Level 2 安穩型 Safe and stable	您能承受的投資風險低，除了定存和貨幣市場工具之外，建議可將部份資金配置在投資等級的固定收益或平衡型商品。 You can bear low investment risk. In addition to fixed deposit and currency market products, it is recommended to allocate some funds to fixed income or balanced products of investment grade.
<input type="checkbox"/>	第三級 Level 3 穩健型 Robust	您能承受的投資風險中庸，建議投資組合可以包括多種類別的商品，透過風險分散的方式獲得穩健的投資報酬，但仍需留意個別產品類型的波動性。 You can bear moderate investment risk. It is suggested that your investment portfolio can include a variety of products obtaining stable investment returns through risk diversification. However, you still need to be careful and pay attention to the volatility of certain types of product.
<input type="checkbox"/>	第四級 Level 4 成長型 Growth	您能承受的投資風險高，投資組合可以包括多種類別，且預期報酬率較高的資產，但建議您採取分批投入，且設定停損停利點以便循序漸進達到您的投資目標。 You can bear high investment risk. Your portfolio can include various types of products with high expected return rate. However, it is recommended that you invest in batches and set stop loss and stop profit points to gradually achieve your investment targets.
<input type="checkbox"/>	第五級 Level 5 積極型 Aggressive	您能承受的投資風險極高，投資組合配置可以多元化，且在必要時利用槓桿操作來提高獲利，建議嚴格執行停損停利的投資原則，才能達到長期資產增值的目的。 You can bear very high investment risk. Your portfolio allocation can be diversified, and if necessary, leverage can be used to improve profits. It is suggested that the investment principle of stop loss and stop profit points should be strictly complied and implemented to achieve long-term asset appreciation.

**5. 專業投資者問卷及聲明 - 個人 Questionnaire and Declaration for Professional Investor - Individual**
**1.1 財務資料 Financial Profile (請 ✓ 選 Please tick)**

吾/吾等目前持有 I/We currently have

投資組合\*價值(港幣) Portfolio\* Value (HK\$):

- 少於 Less than \$8,000,000  
 \$8,000,000~40,000,000  
 超過 Over\$40,000,000

**1.2 限未達800萬港幣投資組合的個人戶填寫 For individual with portfolio less than HKD 8 million only**

個人及個人全資擁有的法團的投資組合總金額是否等於8佰萬或以上(以個人全資擁有的法團的投資組合, 該法團的主要業務須為持有投資項目) Total portfolio (HK\$) is 8 million or above. (Portfolio of Individual's account and corporation which, at the relevant date, has as its principal business the holding of investments and is wholly owned by the individual.)

- 是  
 否(請停止作答)

\* “投資組合”指由任何下述項目組成的投資組合: “portfolio” means a portfolio comprising any of the following:

- 證券 Securities;
- 由香港銀行或香港以外地方受法律規管的銀行所發行之存款證明; A certificate of deposit issued by a Hong Kong bank or a regulated overseas bank;
- 由保管人替該人、法團或合夥持有的款項。 Money held by customer's custodian.

備註 Remark: 任何同等價值的外國貨幣都可接受。 The equivalent value in any foreign currency is acceptable

**注意事項 Note:**

請提供以上的投資組合或財產及投資交易經驗文件影本以茲核証。(如保管人結單, 核數師或專業會計師發出的證書或於最近十二個月內發出的財務核數結單。)

Please provide copy of documents for the above portfolio or assets and investment experience documents for our checking and record (such as custodian statement, auditor or professional accountant's certificate or recent audited financial statement, issued within last 12 months.)

**2. 投資經驗的評估 Investment Experience Evaluation (請 ✓ 選 Please tick)**

投資產品類別 Investment Products	過去2年曾經買賣此類投資產品 Products has traded in the past 2 years
I) 固定收益產品(例如: 債券/債券型基金/平衡型基金)	<input type="checkbox"/> 是 <input type="checkbox"/> 否
II) 股票類產品(例如: 股票/股票型基金/平衡型基金)	<input type="checkbox"/> 是 <input type="checkbox"/> 否
III) 衍生性產品-保本結構性投資產品(例如: 保本結構性存款/不保本股票掛鈎票據/對沖基金/期權/期貨/倍多利/利從天降等)	<input type="checkbox"/> 是 <input type="checkbox"/> 否

**注意事項 Note:**

請提供以上勾選投資交易經驗文件影本以茲核証。

Please provide copy of documents for investment experience documents for our checking and record.

**3. 金融總資產的評估 Financial Assets Evaluation**

金融總資產金額包括投資產品(股票、債券、基金、衍生性產品等)、存款及存款證, 但不含房地產和保險。吾/吾等同意 貴行採用吾/吾等已提供之資產證明的金額用作在貴行交易時之評估。

**聲明及確認 Declaration and Confirmation**

吾/吾等在此聲明及確認, 吾/吾等所提供的上述資料都是真實和正確的。吾/吾等符合香港證券及期貨條例所定, 為一專業投資者及富有經驗。吾/吾等確認已被告知及解釋同意被視為專業投資者一事的後果, 並且享有撤回被視為專業投資者的權利。吾/吾等希望及同意被視為專業投資者。

I/We hereby declare and confirm that the above information provided by me/us is true and correct. I am/We are a Professional Investor as defined under the Securities and Futures Ordinance of Hong Kong and with abundant experience. I/We acknowledge that I/we have been told and explained about the consequences of consenting to be treated as a Professional Investor and the right to withdraw from being treated as such. I/we wish and agree to be treated as a Professional Investor.

## 6. 證券帳戶服務

本人/ 吾等謹此向貴行申請以本人/ 吾等的名義開設及維持證券交易帳戶，以用作指示 貴行代本人/ 吾等買賣及以其他方式處置證券及其他投資；而本人/ 吾等已從 貴行接獲及閱讀買賣證券總約定書、投資帳戶條款及條件及證券帳戶服務風險披露聲明及客戶聲明，以及將提供的任何服務及安排（「條款及條件」），並謹此接納並同意受本開戶申請書及貴行不時可能修訂及通知的條款及條件所約束。

I/We hereby apply to the Bank for opening and maintaining a securities trading account in my/our name to instruct the Bank to trade and manage securities and other investments on my/ our behalf. I/We have received and noted the Terms and Conditions for Sale and Purchase of Securities, the terms and conditions governing the Investment Account, any services and arrangements to be provided by the Bank (together, the “Securities Account Terms”), and I/we hereby accept and agree to be bound by Securities Account Terms that may be revised and notified by the Bank from time to time.

### 客戶同意書

閣下明白並同意，我們永豐銀行香港分行，為了向閣下提供與在香港聯合交易所（聯交所）上市或買賣的證券相關的服務，以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會（證監會）的規則和規定，我們可收集、儲存、處理、使用、披露及轉移與閣下有關係的個人資料（包括閣下的客戶識別信息及券商客戶編碼）。在不限制以上的內容的前提下，當中包括：

- (a) 根據不時生效的聯交所及證監會規則和規定，向聯交所及／或證監會披露及轉移閣下的個人資料（包括客戶識別信息及券商客戶編碼）；
- (b) 允許聯交所：(i) 收集、儲存、處理及使用閣下的個人資料（包括客戶識別信息及券商客戶編碼），以便監察和監管市場及執行《聯交所規則》；(ii) 向香港相關監管機構和執法機構（包括但不限於證監會）披露及轉移有關資料，以便他們就香港金融市場履行其法定職能；及 (iii) 為監察市場目的而使用有關資料進行分析；及
- (c) 允許證監會：(i) 收集、儲存、處理及使用閣下的個人資料（包括客戶識別信息及券商客戶編碼），以便其履行法定職能，包括對香港金融市場的監管、監察及執法職能；及(ii) 根據適用法例或監管規定向香港相關監管機構和執法機構披露及轉移有關資料。

閣下亦同意，即使閣下其後宣稱撤回同意，我們在閣下宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移閣下的個人資料以作上述用途。閣下如未能向我們提供個人資料或上述同意，可能意味著我們不會或不能夠再（視情況而定）執行閣下的交易指示或向閣下提供證券相關服務，惟出售、轉出或提取閣下現有的證券持倉（如有）除外。

備註：本條文所述的“券商客戶編碼”及“客戶識別信息”具有《證券及期貨事務監察委員會持牌人或註冊人操守準則》第5.6 段所界定的含義。

### Client Consent

You acknowledge and agree that we, Bank SinoPac, Hong Kong Branch, may collect, store, process, use, disclose and transfer personal data relating to you, (including your CID and BCAN(s)) as required for us to provide services to you in relation to securities listed or traded on the Stock Exchange of Hong Kong (SEHK) and for complying with the rules and requirements of SEHK and the Securities and Futures Commission (SFC) in effect from time to time. Without limiting the foregoing, this includes -

- (a) disclosing and transferring your personal data (including CID and BCAN(s)) to SEHK and/or the SFC in accordance with the rules and requirements of SEHK and the SFC in effect from time to time;
- (b) allowing SEHK to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK; and (ii) disclose and transfer such information to the relevant regulators and law enforcement agencies in Hong Kong (including, but not limited to, the SFC) so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets; and (iii) use such information for conducting analysis for the purposes of market oversight; and
- (c) allowing the SFC to: (i) collect, store, process and use your personal data (including CID and BCAN(s)) for the performance of its statutory functions including monitoring, surveillance and enforcement functions with respect to the Hong Kong financial markets; and (ii) disclose and transfer such information to relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements.

You also agree that despite any subsequent purported withdrawal of consent by you, your personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.

Failure to provide us with your personal data or consent as described above may mean that we will not, or will no longer be able to, as the case may be, carry out your trading instructions or provide you with securities related services (other than to sell, transfer out or withdraw your existing holdings of securities, if any).

申請人簽署

Applicant Signature

日期 Date: \_\_\_\_\_

聯名申請人簽署

Joint Applicant Signature

日期 Date: \_\_\_\_\_

對保日期及地點：

對保人姓名：

對保人簽字：

其他：

**Investment Account Client Information Form — Authorized Signor**
**投資帳戶資料表 - 個人戶/聯名戶授權簽字人 Authorized Signor**

Section 1 Authorized Signor Information 授權簽字人基本資料 (每一位授權人請填寫一份)				
Name of Authorized Signor				
授權簽字人名稱 (中文)				
Identity/Passport No. 身份證明文件編號	Issuing Country 國家別	Date of Birth 出生日期	dd/mm/yyyy	
Residential Address 居住地址	<input type="checkbox"/> Own 自置 <input type="checkbox"/> Rent 租賃 <input type="checkbox"/> Other 其他 (Please specify 請說明):			
Mailing Address 通訊地址	<input type="checkbox"/> 同上			
Phone Number 聯絡電話	Phone Number 聯絡電話	FAX Number 傳真號碼		
E-MAIL Address 電郵地址				
Do you have any relatives working in Bank SinoPac, Hong Kong Branch? 閣下是否有親屬為本分行員工? <input type="checkbox"/> No 無 <input type="checkbox"/> Yes 有, if YES, please provide name and relationship 如有, 請詳述姓名及親屬關係 _____				
Section 2 Employment Information 職業資料				
<input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Retired 退休 (Complete Part A below 請填以下 A 欄) <input type="checkbox"/> Business Owner/self-employed 自僱 - 獨資商號所有人 Owner of Sole Proprietor 或 合夥體的合夥人 Partner of Partnership (Complete Part B below 請填以下 B 欄) <input type="checkbox"/> Housewife 家庭主婦 <input type="checkbox"/> Student 學生 <input type="checkbox"/> Not employed 待業				
Part A A 欄	Employer 公司名稱		Position 職稱	
	Industry 行業別		Years Employed 年資	
	Annual Income 年薪	<input type="checkbox"/> ~USD50,000 <input type="checkbox"/> USD50,000~100,000 <input type="checkbox"/> USD100,000~150,000 <input type="checkbox"/> USD150,000~200,000 <input type="checkbox"/> USD250,000~350,000 <input type="checkbox"/> USD350,000~above 以上		
Part B B 欄	公司名稱 Business Name		Industry 行業別	
	公司地址 Address		Phone Number 電話	
	Business Description 營業內容說明		Years Operated 經營年期	
	Annual Income 年營業獲利	<input type="checkbox"/> ~USD100,000 <input type="checkbox"/> USD150,000~200,000 <input type="checkbox"/> USD250,000~350,000 <input type="checkbox"/> USD350,000~500,000 <input type="checkbox"/> USD500,000~above 以上		

注：對於聯名帳戶及有授權第三人操作該等投資帳戶者，應填寫《衍生工具知識聲明》。

Note: For joint accounts and those who have authorized a third person to operate such investment accounts, the Declaration of Knowledge on Derivatives should be completed.

Doc. Checked by RM	CIF Maker	CIF Checker	Approver	Account No.

**衍生工具知識聲明 Declaration of Knowledge on Derivatives**

根據《香港證券及期貨事務監察委員會》之相關規定，中介人(包括註冊機構)應評估客戶對衍生工具的認識，並根據客戶對衍生工具的認識將客戶分類，因此懇請您填寫對於衍生工具的認知。感謝您的配合！

According to the relevant regulations of the Securities and Futures Commission of Hong Kong, intermediaries (including registered institutions) should assess customers' knowledge on derivatives and classify their customers according to their knowledge on derivatives. Therefore, please complete the following as per your knowledge on derivatives. Thank you for your cooperation!

本人沒有任何衍生工具相關知識  
**I / we do not have any knowledge on derivatives.**

本人聲明根據下列選取原因，本人/本公司具有衍生工具相關知識 (可選擇多於一項)：  
**I / we declare that I / we have knowledge on derivatives based on the following reason(s) (may tick more than one):**

曾經接受或參加由金融或學術機構所提供有關衍生工具的培訓或課程：  
 Have received or participated in training or courses on derivatives provided by financial or academic institutions:

永豐銀行的網上「一般衍生工具知識」，本人並聲明已完成由永豐銀行提供有關衍生工具的培訓。本人明白該教材短片的內容並同意貴行將本人界定為對衍生工具有認識的客戶。  
 I declare that I have completed a training on derivatives offered by Bank SinoPac named [一般衍生工具知識]. I fully understand the training materials and agree that Bank SinoPac may classify and treat me as a customer who has knowledge on derivatives.

其他金融或學術機構，機構名稱：\_\_\_\_\_。  
 Other financial or academic institutions, institution name:  
 及 and  
 有關課程名稱：\_\_\_\_\_。  
 Course Name:

擁有金融相關專業資格： CFA  FRM  其他 others: \_\_\_\_\_。  
 Finance related professional qualification:

現在或曾經於金融機構名稱：\_\_\_\_\_。  
 Now working or have worked in connection with derivatives at least one year in financial institution name:  
 從事衍生工具相關的工作(部門：\_\_\_\_\_ 職稱：\_\_\_\_\_ )至少一年。  
 Department: Job title:

於過去三年內有五次或以上的衍生產品交易經驗，衍生產品包括：貨幣掛鉤產品、利率掛鉤產品、股票掛鉤產品、信貸掛鉤產品、牛熊證、衍生認股權證、ETF 等，如勾選此項，請提供有關記錄書面(如對帳單、交易確認書等)。  
 Had at least five derivatives transaction experience in the last three years, including currency linked products, interest rate linked products, stocks linked products, credit linked products, bull bear certificates, derivative warrants, ETF, etc. If this option is selected, please provide relevant written records and transaction documents (such as account statement, transaction confirmation, etc.).

本人/吾等確認所提供的資料均屬真確。本人/吾等已明白倘若聲明書內容不實，永豐銀行將不能夠評估所要求服務對本人/吾等的適合性。

I / we confirm that the information provided is true and complete. I / we have understood that if the information provided is untrue or incomplete, Bank SinoPac will not be able to assess the suitability of the services requested by me / us.

客戶簽署 (同投資賬戶印鑑) Signature : \_\_\_\_\_

對保日期及地點：

對保人姓名：

對保人簽字：

其他：

**以下由永豐商業銀行填寫 (to be completed by the Bank)**
**專業投資者投資帳戶開戶暨服務申請書**

風險解說有關人士姓名 Name of Relevant Individual \_\_\_\_\_ (正楷 in Block) \_\_\_\_\_ (簽名 Signature)

香港金管局編號 No. assigned by HKMA \_\_\_\_\_

解說方式 Method: 當面 By Meeting / 電話 By Phone / 其他 Others \_\_\_\_\_

日期 Date: \_\_\_\_\_ 時間 Time: 上午 AM/下午 PM \_\_\_\_\_ 時 o'clock \_\_\_\_\_ 分 min ~ \_\_\_\_\_ 時 o'clock \_\_\_\_\_ 分 min

作業部門核章 OP Signature Verified : \_\_\_\_\_

**1. 投資存款服務**

永豐商業銀行股份有限公司為於香港經營業務之一家獲《銀行業條例》(香港法例第155章)認可的持牌銀行、一家根據《證券及期貨條例》(香港法例第571章)就第1類受規管活動(證券交易)及第4類受規管活動(就證券提供意見)獲註冊之註冊機構(中央編號: ABR747)及根據《公司條例》(香港法例第32章)第XI部獲註冊。

Bank SinoPac, being a licensed bank under the Banking Ordinance (Cap.155), a registered institution (CE Number : ABR747) under the Securities and Futures Ordinance (Cap. 571) registered for Type 1 (dealing in securities) and Type 4 (advising on securities) regulated activities and registered under Part XI of the Companies Ordinance (Cap. 32) and carrying on business in Hong Kong.

銀行有關人士之聲明:

本人, 下述簽署人, 已完整地與帳戶持有人解釋載明於該等條款內的風險披露聲明之內容, 並已提供以帳戶持有人所選擇之語言所撰寫的該等條款(包括風險披露聲明)。本人亦確認已促請帳戶持有人詳細閱讀風險披露聲明、詢問問題及(如意欲)徵詢獨立的顧問意見。

Declaration by the Relevant Individual of the Bank:

I, the undersigned, have fully explained the contents of the risk disclosure statements and a copy of the Conditions (including the risk disclosure statements) has been provided in a language of the Account Holder's choice. I also confirm that I have invited the Account Holder to read the risk disclosure statements, ask questions and take independent advice if the Account Holder so wishes.

日期 Date : \_\_\_\_\_

(銀行的有關人士簽署) (signed by the Relevant Individual of the Bank)

姓名 (正楷填寫 Name in Print): \_\_\_\_\_

職位 Position: \_\_\_\_\_

香港金融管理局登記編號 HKMA Registration Number : \_\_\_\_\_

**2. 衍生工具知識聲明**

評估人員姓名/員編: \_\_\_\_\_

Assessor name / Employee number: \_\_\_\_\_

 客戶  符合  不符合 衍生工具相關知識

Customer does possess / Does not possess derivatives knowledge

理由: reason: \_\_\_\_\_

**3. 證券服務**

永豐商業銀行股份有限公司為於香港經營業務之一家獲《銀行業條例》(香港法例第155章)認可的持牌銀行、一家根據《證券及期貨條例》(香港法例第571章)就第1類受規管活動(證券交易)及第4類受規管活動(就證券提供意見)獲註冊之註冊機構(中央編號: ABR747)及根據《公司條例》(香港法例第32章)第XI部獲註冊。

銀行有關人士之聲明:

本人, 下述簽署人, 已完整地與帳戶持有人解釋載明於買賣證券總約定書之條款以及風險披露聲明之內容, 並已提供以帳戶持有人所選擇之語言所撰寫的該等條款(包括風險披露聲明)。本人亦確認已促請帳戶持有人詳細閱讀風險披露聲明、詢問問題及(如意欲)徵詢獨立的顧問意見。

日期 Date: \_\_\_\_\_

(銀行的有關人士簽署) (signed by the Relevant Individual of the Bank)

姓名 (正楷填寫 Name in Print): \_\_\_\_\_

職位 Position: \_\_\_\_\_

香港金融管理局登記編號 HKMA Registration Number: \_\_\_\_\_

附註: 客戶須完成永豐商業銀行香港分行投資帳戶之開立後始得開啟證券帳戶之服務

4. 弱勢客戶銷售方式確認

業務人員姓名/員編： Name of employee/employee number:  _____ ( )	SO 姓名/員編： SO name / employee number: _____ ( )  電話確認日期及時間：_____ (ext : _____ ) Telephone confirmation date and time
資料輸入人員/日期： Data entry personnel/Date:  _____	

5. 客戶投資風險屬性問卷—個人戶

評估人員姓名/員編： Assessor name / employee number: _____ ( )	資料輸入人員簽名： signature of data input personnel: _____
電話確認日期及時間： Telephone confirmation date and time: _____ ext: _____	

<input type="checkbox"/> 同意 / <input type="checkbox"/> 不同意
理財部門主管/EO覆核： Head of Wealth Management/Executive Officer Review:
日期： Date:

**6. 專業投資者問卷及聲明 - 個人**

請確定客戶是否達到以下專業投資者的標準，以便界定客戶是否專業投資者：

A. 《證券及期貨（專業投資者）規則》（規則）第3條，成為專業投資者的資格為：  
 （請  選 Please tick）

1. 個人客戶 Individual Customer:

符合規則第5條，擁有不少於港元八百萬或等值的投資組合（包括個人帳戶及其與配偶或任何子女組成的聯權帳戶、聯係者以外的聯權帳戶或\*個人全資擁有的法團的投資組合）。

\*以個人全資擁有的法團的投資組合，該法團的主要業務是否為持有投資項目

是 Yes  否 No（不符合投資組合定義）

※是否已取得上述投資組合/資產證明文件之核實副本(Certified True Copy)?

已取得 Yes  否 No

※上述證明文件效期/內容是否符合本行規定?

已取得 Yes  否 No

B. 在界定客戶為專業投資者前，應顧及下列因素：

Before classified the customer as a Professional Investor, we should assess customer's investment experience by considering the following factors:

1. 該人士以往曾買賣此類投資產品；The type of products in which the person has traded;
2. 其交易的頻密程度及所涉金額；The frequency and size of trades;
3. 其相關交易經驗 The person's dealing experience;
4. 其對有關產品的認識和專業知識；及 The person's knowledge and expertise in the relevant products；and
5. 該人士對有關產品及/或在相關市場上進行交易所涉及的風險的認知。His awareness of the risks involved in trading in the relevant products and/ or markets.

基於投資帳戶申請人所提供及披露的資料，該客戶將被評估視為專業投資者。

Based on the information provided and disclosed by the applicant of an investment account, the customer is assessed to be a Professional Investor.

PI 型態：	個人專業投資者
冷靜期監管產品投資經驗 (提供相關文件):	<input type="checkbox"/> 非上市衍生性產品(不含基金) <input type="checkbox"/> 非香港上市可延遲到期債券 <input type="checkbox"/> 非香港上市具有或然撇減或彌補虧損特點債券 <input type="checkbox"/> 非香港上市具可換股或可交換性質特點債券 <input type="checkbox"/> 非香港上市其他屬可換股或可交換性質債券
金融資產金額：	等值美元：
弱勢客戶/複雜性產品 的弱勢客評估: (公司戶不適用)	<input type="checkbox"/> 非弱勢客戶 <input type="checkbox"/> 弱勢客戶(勾選以下原因) <input type="checkbox"/> 複雜性產品的弱勢客戶(勾選以下原因)原因是: <input type="checkbox"/> 身體有明顯的殘疾，例如有視力、聽力或認知障礙 <input type="checkbox"/> 客戶年齡為65歲或以上之長者； <input type="checkbox"/> 教育程度為小學程度或以下； <input type="checkbox"/> 資產少於港幣400,000而且年收入低於港幣120,000。 <input type="checkbox"/> 無任何交易經驗 <input type="checkbox"/> 無複雜產品交易經驗
補充說明：	

請說明客戶相關背景資料 (KYC) :

**以下由永豐商業銀行填寫(to be completed by the Bank)**

有關人士聲明 Declaration of Relevant Individual:

1. 將客戶視為專業投資者之前，我已向該客戶提供一份書面說明，述明被視為專業投資者的風險及後果，該份說明書應同時知會該客戶享有撤回被視為專業投資者的權利。

Prior to treating a customer as a Professional Investor, I have provided a written explanation to the customer of the risks and consequences of treating him as a Professional Investor and his right to withdraw from being treated as a Professional Investor.

2. 我已查核客戶提供的有關文件，接受有關客戶的投資組合(或總資產)及投資經驗，符合香港證券及期貨條例及證監會發出的操守準則內，對專業投資者的定義及要求。

I have duly checked and accept relevant portfolio (or total assets) and investment experience of the customer fulfilled the definition and requirements as a Professional Investor under Hong Kong Securities And Futures Ordinance Rules and Code of Conduct issued by Securities and Futures Commission.

 日期  
Date

 簽署(有關人士)  
Signature (Relevant Individual)

 有關人士姓名(正楷填寫)  
Name of Relevant Individual  
香港金融管理局登記號碼  
Registration #Assigned by HKMA:

EO審核:

- 同意  
 不同意

 日期  
Date

 簽署(主管人員)  
Signature (Executive Officer)

 主管人員姓名(正楷填寫)  
Name of Executive Officer  
香港金融管理局登記號碼  
Registration #Assigned by HKMA:

備註：『有關人士』為根據銀行業例第20(1)(ea)節，在金管局的『認可機構證券業務員工紀錄冊』內註冊的人士；『主管人員』為根據銀行業條例第71C條，獲金管局同意的人士。

Remark: "Relevant Individual" is person registered in HKMA Register of Securities Staff of Authorized Institutions according to s20(1)(ea) of Banking Ordinance. "Executive Officer" is person having the consent from HKMA according to S71C of Banking Ordinance.

**銀行作業部門專用 Operation Use Only**

帳戶號碼 Account No.: \_\_\_\_\_ C.I.F. 號碼 C.I.F. No.: \_\_\_\_\_

AO Code: (1) \_\_\_\_\_ (2) \_\_\_\_\_ (3) \_\_\_\_\_

RI: \_\_\_\_\_ 核准 Head of Wealth Management: \_\_\_\_\_

日期: \_\_\_\_\_ 日期: \_\_\_\_\_

作業經辦: \_\_\_\_\_ 作業覆核: \_\_\_\_\_