

道口證券有限公司(即「本公司」)獲香港證券及期貨事務監察委員會發牌(中央編號為 ABS418)按證券及期貨條例經營第一類(證券交易)受規管活動。此外,本公司為香港聯合交易所有限公司參與者,亦為香港中央結算有限公司參與者。

DaoKou Securities Limited (the "Company") has been licensed by the Securities and Futures Commission in Hong Kong (with CE no. ABS418) to carry on Type 1 (dealing in securities) regulated activities under the Securities and Futures Ordinance. In addition, the Company is an Exchange Participant of The Stock Exchange of Hong Kong Limited, as well as a Clearing House Participant of Hong Kong Securities Clearing Company Limited.

备注:此乃重要文件。閣下(即「客戶」)應仔細閱讀並充份理解本協議之內容包括開戶申請表與條款及條件(連同所有附表)有關於本公司開立及持有一個或多个之交易帳戶(即「帳戶」)。客戶在簽署本開戶申請表前,如有所需,應先尋求獨立法律或其他專業意見。倘若本開戶申請表的中英文版本有任何歧異,一概以英文版本為準。

Note: This is an important document. You (the "Client") should carefully read and fully understand the contents of the Agreement comprised of this Account Opening Application and the Terms and Conditions (with all Schedules thereto) for one or more trading accounts (the "Account(s)") to be opened and maintained with the Company. Before signing the Account Opening Application, the Client should firstly obtain independent legal or other professional advice as the Client may deem necessary. In case of any discrepancy between the English and Chinese versions of this Account Opening Application, the English version shall prevail.

重要部份必須由客戶填寫及簽署 Important parts should be filled and signed by Client.

開戶申請表 ACCOUNT OPENING APPLICATION

(個人帳戶 INDIVIDUAL ACCOUNT)

客戶種類 Account Type	<input type="checkbox"/> 現金帳戶 Cash Account	帳戶號碼 Account No.	
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帳戶類型 Account Nature	<input type="checkbox"/> 個人帳戶 Individual Account	<input type="checkbox"/> 聯名帳戶 [^] Joint Account [^]	落盤方式 Method of Placing Order	<input type="checkbox"/> 電話 By Telephone (Manual)	<input type="checkbox"/> 網上 By Internet
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證券市場交易種類 Selection of trading securities	<input type="checkbox"/> 香港及美國證券 H.K & U.S. Stocks	<input type="checkbox"/> 中國A股 A Shares-Mainland China	<input type="checkbox"/> 基金/債券 Fund / Bond	<input type="checkbox"/> 其他 Others	<small>[^]如屬聯名帳戶,每位帳戶持有人均須各自填寫一份開戶表格及簽署聯名帳戶開戶委託書。 [^]Each Joint Account Holder should complete an Account Opening Form and Joint Account Mandate.</small>
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1. 個人資料 Personal Information

個人帳戶主要持有人

Individual/Primary Joint Account Holder

稱謂 title	<input type="checkbox"/> 先生 Mr	<input type="checkbox"/> 女士 Ms	英文姓氏 Last Name or Surname	
中文姓名 Name in Chinese			英文名字 First or Given Name	
住宅地址 Residential Address				
	郵政編碼 Postal Code			
身份證號碼/護照號碼 ID Card No. / Passport No.		出生日期(日/月/年) Date of birth (DD/MM/YY)		
簽發地點 Place of Issue		出生地點 Country of Birth		
流動電話 Mobile No.	(+)	國籍/公民身份 Nationality / Citizenship		
其他電話 Other Tel No.	(+)	電子郵箱 E-mail		

2. 指定銀行戶口 Designated Bank Account

除非客戶另以書面指示,若客戶指示本公司支付客戶帳戶內的現金款項,帳戶資金將被轉入客戶以下的指定銀行戶口

Unless otherwise instructed by the Client in writing, in case the Client instructs the Company to pay the cash balance in the Account to the Client, the money will be credited to the below Client's Designated Bank Account:

貨幣 Currency	銀行名稱: Name of Bank :	帳戶號碼: Account No. :	帳戶名稱: Account Name :
港幣 HKD			
美元 USD			
人民幣 CNY			

3. 教育程度 Education Level

教育程度 Education Level	<input type="checkbox"/> 小学 Primary <input type="checkbox"/> 中学 Secondary <input type="checkbox"/> 大专 Tertiary Education <input type="checkbox"/> 大学或以上 University or Above <input type="checkbox"/> 其他Others (请说明Pls. specify): _____
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4. 工作状况 Employment Status

就業情况 Employment Status	<input type="checkbox"/> 全职 Full time <input type="checkbox"/> 兼职 Part time <input type="checkbox"/> 自雇 Self-Employed <input type="checkbox"/> 退休 Retired <input type="checkbox"/> 家庭主妇Housewife <input type="checkbox"/> 其他 Others		
雇主名称 Name of employer			
办公室地址 Office Address			
	邮政编号 Postal Code		
行业 Occupation		职位 Job Title	
办公室电话 Office No.	(+)	受雇年期 Years with employer	

5. 财政状况 Financial Situation

每年收入(港币) Annual Income (HKD)	<input type="checkbox"/> < HKD120,000 <input type="checkbox"/> HKD120,001 - HKD360,000 <input type="checkbox"/> HKD360,001 - HKD600,000 <input type="checkbox"/> HKD600,001 - HKD1,200,000 <input type="checkbox"/> HKD1,200,000	资产净值(港币) Net Worth (HKD)	<input type="checkbox"/> < HKD 500,000 <input type="checkbox"/> HKD500,001 - HKD3,000,000 <input type="checkbox"/> HKD3,000,001 - HKD10,000,000 <input type="checkbox"/> HKD10,000,001 - HKD20,000,000 <input type="checkbox"/> > HKD20,000,001
资金来源 Source of Funds	<input type="checkbox"/> 薪金/營業收入 Salary / Business Income <input type="checkbox"/> 退休金 Pension <input type="checkbox"/> 投資回報 Return on Investment <input type="checkbox"/> 租金收入 Rental Income <input type="checkbox"/> 其他 Other : _____	财富来源 : Source of Wealth	<input type="checkbox"/> 薪金/營業收入 Salary / Business Income <input type="checkbox"/> 退休金 Retirement Funds <input type="checkbox"/> 儲蓄 Savings <input type="checkbox"/> 其他 Other: <input type="checkbox"/> 遺產 /贈與 Inheritance / Gift <input type="checkbox"/> 租金收入 Rental Income _____
住屋业权 Ownership of Residence	<input type="checkbox"/> 与家人同住 Living with Family <input type="checkbox"/> 自置 Owned <input type="checkbox"/> 已抵押Mortgaged <input type="checkbox"/> 其他 Other: <input type="checkbox"/> 租住 Rented _____		

6. 共同匯報標準自我證明 Self-Certification of Common Reporting Standard

請提供以下資料，列明 (a) 帳戶持有人的居留司法管轄區，亦即帳戶持有人的稅務管轄區（香港包括在內）及(b)該居留司法管轄區發給帳戶持有人的稅務編號。請列出所有（不限於 5 個）居留司法管轄區。Please complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder's Taxpayer Identification Number ("TIN") for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence.

如帳戶持有人的香港稅務居民，稅務編號是其香港身份證號碼。如沒有提供稅務編號，必須填寫合適的理由：If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number. If a TIN is unavailable, provide the appropriate reason A, B or C:

理由 A – 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。
Reason A – The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

理由 B – 帳戶持有人不能取得稅務編號。如選取這一理由，請解釋帳戶持有人不能取得稅務編號的原因。
Reason B – The account holder is unable to obtain a TIN. Please explain why the account holder is unable to obtain a TIN if you have selected this reason.

理由 C – 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。
Reason C – TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

(a) 報稅地區 Tax Residence	(b) 稅務編號 TIN	如沒有提供稅務編號，請填寫理由 A、B 或 C Please enter Reason A, B or C if no TIN is available	如選取理由 B，請解釋帳戶持有人不能取得稅務編號的原因 Please explain why you are unable to obtain a TIN if you have selected Reason B
<input type="checkbox"/> 香港 Hong Kong <input type="checkbox"/> 中國內地 Mainland China	HK : _____ China: _____		

就客戶稅務居民身份及自我證明之分部: Under the subsection of Client Tax Residence and Self-certification: 本人/吾等知悉及同意，財務機構可根據《稅務條例》（第 112 章）有關交換財務帳戶資料的法律條文，(a) 收集本表格所載資料並可備存作自動交換財務帳戶資料用途及(b) 把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局； I/we acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112). 本人/吾等承諾，如情況有所改變，以致影響本開戶表格B 部所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人/吾等會通知本公司，並會在情況發生改變後 30 日內，向進口證券提交一份已適當更新的自我證明表格。 - I/we undertake to advise the Company of any change in circumstances which affects the tax residency status of the individual identified in Section B of this Account Opening Form or causes the information contained herein to become incorrect, and to provide the Company with a suitably updated self-certification form within 30 days of such change in circumstances.

7. 投资经验及衍生产品认识 Investment Experience & Derivative Products Knowledge

投资目标 Investment Objective:	<input type="checkbox"/> 股息收入 Dividend Income <input type="checkbox"/> 资本增值 Capital Appreciation <input type="checkbox"/> 对冲 Hedging <input type="checkbox"/> 投机 Speculation <input type="checkbox"/> 其他 Others _____						
投资经验 (可选多于一项) Investment Experience (Can choose more than one)							
产品 Product	经验 (以年计算) Experience (in Terms of Year)						
	<table style="width: 100%; text-align: center; border-collapse: collapse;"> <tr> <td style="border: 1px solid black; width: 16.6%;">Nil 無</td> <td style="border: 1px solid black; width: 16.6%;">< 1</td> <td style="border: 1px solid black; width: 16.6%;">1 - 3</td> <td style="border: 1px solid black; width: 16.6%;">3 - 5</td> <td style="border: 1px solid black; width: 16.6%;">5 - 10</td> <td style="border: 1px solid black; width: 16.6%;">> 10</td> </tr> </table>	Nil 無	< 1	1 - 3	3 - 5	5 - 10	> 10
Nil 無	< 1	1 - 3	3 - 5	5 - 10	> 10		
股票 Stock							
结构性及衍生产品 Structured and derivative product							
债券 / 基金 Bond / Fund							
其他 Others _____							
预计在本户口的交易量 Anticipated Level of Trading Activity in the Account							
每月交易金额 (港币) Transaction amount per month (HKD)	<input type="checkbox"/> < \$500,000 <input type="checkbox"/> > \$500,000						
每月交易合约次数 Number of Transaction per month	<input type="checkbox"/> < 20 <input type="checkbox"/> 20 - 40 <input type="checkbox"/> > 40						
投资产品 Investments Products	<input type="checkbox"/> 股票 Stocks <input type="checkbox"/> 衍生产品结构性及衍生产品 Derivative products <input type="checkbox"/> 单位信托基金或债券 Mutual funds or Bonds						
风险承受程度 Risk Tolerance							
投资组合按年所承受波幅 Annual volatility of investment portfolio	<input type="checkbox"/> 低 Conservative <input type="checkbox"/> 中 Moderate <input type="checkbox"/> 高 Aggressive						
对衍生产品之认识问卷 Derivative Products Knowledge Questionnaire	按以下选择 · 在下列方格中加上√ (Refer to the following statements and tick the appropriate box(es) below)						
	本人了解衍生产品的性质和风险： I understand the nature and risks of derivative products due to :						
	1. 已接受有关的培训和课程。 Undergoing relevant training or attending course in						
	<table style="width: 100%; text-align: center;"> <tr> <td><input type="checkbox"/> 监管机构 Regulatory Authority</td> <td><input type="checkbox"/> 交易所 Exchange</td> <td><input type="checkbox"/> 金融机构 Financial Institution</td> <td><input type="checkbox"/> 进修学院 Education Institution</td> <td><input type="checkbox"/> 大专院校 Tertiary Institution</td> <td><input type="checkbox"/> 其他 Others _____</td> </tr> </table>	<input type="checkbox"/> 监管机构 Regulatory Authority	<input type="checkbox"/> 交易所 Exchange	<input type="checkbox"/> 金融机构 Financial Institution	<input type="checkbox"/> 进修学院 Education Institution	<input type="checkbox"/> 大专院校 Tertiary Institution	<input type="checkbox"/> 其他 Others _____
<input type="checkbox"/> 监管机构 Regulatory Authority	<input type="checkbox"/> 交易所 Exchange	<input type="checkbox"/> 金融机构 Financial Institution	<input type="checkbox"/> 进修学院 Education Institution	<input type="checkbox"/> 大专院校 Tertiary Institution	<input type="checkbox"/> 其他 Others _____		
	2. 于金融机构拥有有关的工作经验。 Gaining prior relevant work experience in financial institution(s)						
	<table style="width: 100%; text-align: center;"> <tr> <td><input type="checkbox"/> 经纪公司或银行 Brokerage Firm or Bank</td> <td><input type="checkbox"/> 基金或资产管理公司 Fund House or Asset Mgt Firm</td> <td><input type="checkbox"/> 监管机构或交易所 Regulatory Authority or Exchange</td> <td><input type="checkbox"/> 其他 Others _____</td> </tr> </table>	<input type="checkbox"/> 经纪公司或银行 Brokerage Firm or Bank	<input type="checkbox"/> 基金或资产管理公司 Fund House or Asset Mgt Firm	<input type="checkbox"/> 监管机构或交易所 Regulatory Authority or Exchange	<input type="checkbox"/> 其他 Others _____		
<input type="checkbox"/> 经纪公司或银行 Brokerage Firm or Bank	<input type="checkbox"/> 基金或资产管理公司 Fund House or Asset Mgt Firm	<input type="checkbox"/> 监管机构或交易所 Regulatory Authority or Exchange	<input type="checkbox"/> 其他 Others _____				
	3. 于过去三年内进行了五次或以上有关衍生产品之交易。(不论是否于交易所进行交易) Executing five or more transactions in derivative products (whether traded on an exchange or not) within the past three years.						
	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No						

8. 投资者分类声明 (基于对衍生工具的知识)

本人特此声明并承认基于本人对衍生产品的知识，本人同意于证监会所要求的投资者分类下被视为类别_____及下列详细说明。本人进一步声明及承认本人了解该分类的风险和后果，而持牌法团如道口证券有限公司将无责任向在此被分类为类别一及类别二的客户解释衍生产品的性质和风险。

类别一：拥有对衍生产品的知识

- 投资者于过去 3 年内进行 5 宗或以上任何衍生产品的交易。
- 中介人无须向该客户解释衍生产品的风险。

类别二：拥有对衍生产品的一般知识

- 一般知识可以帮助投资者了解衍生产品的性质和风险。
- 中介人无须向该客户解释衍生产品的风险。

类别三：对衍生产品没有知识

- 于交易所交易的衍生产品：即使对于仅执行的交易，中介也解释其性质和风险。
- 非交易所交易的衍生产品：中介机构应警告此类客户，并在所有情况下提供适合产品的适当建议，即使对于仅执行的交易也是如此，同时记录警告和其他相关信息。如果交易被评估为不适合，中介机构只有在代表客户最佳利益的情况下才能进行。

客户不会买任何衍生产品。

8. Declaration-Investor Characterization (Based on Knowledge in Derivatives)

I hereby declare and acknowledge that on the basis of my knowledge on derivative products, I consent to be treated as Category _____ under Investor Characterization as required by the Securities and Futures Commission and set out in details below.

under Investor Characterization as required by the Securities and Futures Commission and set out in details below.

I further declare and acknowledge that I understand the risks and consequences of such Characterization, and that licensed corporations such as Daokou Securities Limited will not be obliged to explain the nature and risks of derivative products to clients classified as Category 1 and Category 2 herein.

Category 1 - have knowledge of derivatives

- Investor has executed 5 or more transactions in any derivative product within the past 3 years.
- Intermediary is not required to explain the risks of derivative products to such clients.

Category 2 - have general knowledge of derivatives

- General knowledge could assist an investor to understand the nature and risks of derivative products.
- Intermediary is not required to explain the risks of derivative products to such client.

Category 3 - have no knowledge of derivatives

- Derivative products traded on an exchange : Intermediary should explain the nature and risks even for execution-only transactions.
- Derivative products not traded on an exchange : Intermediary should warn such client and provide appropriate advice on suitability for the client in all circumstances even for execution-only transactions, with record of the warning and other communications duly kept. Where the transaction is assessed as unsuitable, Intermediary should only proceed if acting in the best interests of the client.

Client DOES NOT WISH to trade any derivative products.



X

X

客户签署

Signature of Client

姓名：

Name :

日期：

Date :

持牌代表签署

Signature of licensed representative

姓名：

Name :

证监会编号及日期：

SFC CE No. & Date :

9. 帳戶授權書 Account Mandate

閣下戶口 (如适用) 是否唯一有权操作此帐户及负责出交易指示之人士?

Are you the only person(s) with authority to operate the Account(s) and responsible for originating instruction in relation to a Transaction?

是 Yes

否 (请填写「第三者授权书」) No (Please complete "Third Party Authorization")

10. 客户声明 Declaration by Customer

<p>1. 你是否不属于此帐户的最终实益拥有人? (如是, 帐户的最终实益拥有人是: Are you not the ultimate beneficial owner(s) of this Account? (If so, the ultimate beneficial owner(s) of the account is/are:</p> <p>名称 Name: _____ 身份证/护照号码 ID/Passport No. _____ 地址 Address: _____</p>	<p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No</p>
<p>2. 你是否证券/期货交易所参与者的雇员或代理人, 或于证监会注册的持牌法团/注册机构? 如交易所参与者/持牌法团/注册机构的名称是 (请提供你雇主的书面同意): - Are you an employee or agent of an exchange of a stock/futures exchange, or a licensed corporation or registered institution? If yes, the name of the related exchange participant/licensed corporation/registered institution is (please provide your employer's consent letter): -</p>	<p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No</p>
<p>3. 你是否与道口证券有限公司 ("道口证券") 或联系人士的职员或代理人有亲戚关系: 如是, 职员/代理人的名称是: - Are you a relative of an employee or agent of DaoKou Securities or its Associates? If yes, the name of employee/agent: - _____</p>	<p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No</p> <p><input type="checkbox"/> 双亲 Parent <input type="checkbox"/> 配偶 Spouse <input type="checkbox"/> 兄弟孩子 Sibling <input type="checkbox"/> 孩子 Child <input type="checkbox"/> 其他 Other</p>
<p>4. 阁下及/或阁下之配偶是否控制本公司任何客户的35%或以上的表决权? Are you, either alone or with your spouse, control 35% or more of voting rights of any client of DaoKou Securities Limited?</p>	<p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No (Please specify) _____</p>
<p>5. 阁下是否被委任为重要公职 (例如: 国家或政府元首、重要政客、高级政府官员、高级司法人员、高级军官、国家企业高级行政人员、宗教领袖或以上人士的家人或有联系人士)? Are you entrusted with prominent public functions (e.g. Head of State or of government, senior politicians/important political officials, senior government official, senior judicial officials, senior military officials, senior executives of state owned enterprises, religions leaders, or family members or close associates of the above-mentioned parties)?</p>	<p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No (Please specify) _____</p>
<p>6. 你是否美国公民或税务目的而言的居民? (注意: 美国税收申报要求, 美国人口需要特别审批。) Are you citizens or residents of the USA for tax purposes? (Note: Due to US tax reporting requirements, US persons' accounts require special approval.)</p>	<p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No</p>
<p>7. 你是否香港或中国内地以外的就税务目的而言的居民? 如是, 请列出该国家: Are you (and/or the Secondary Joint Account Holder) a resident for tax purposes in any place other than Hong Kong? If yes, please list the country (ies): - <input type="checkbox"/> 澳洲 <input type="checkbox"/> 台湾 <input type="checkbox"/> 日本 <input type="checkbox"/> 加拿大 <input type="checkbox"/> 泰国 <input type="checkbox"/> 印尼 <input type="checkbox"/> 其他:</p>	<p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No</p>

Method of Communication 通讯方法

无论客户选择以邮递或电子邮件作为通讯方法, 道口证券有限公司有最终决定权使用任何其认为适当的通讯方式与客户进行通讯。

Please be noted that DaoKou Securities Limited reserves the rights, at their sole discretion to change or modify the method of communication to the Client that DaoKou Securities Limited deemed appropriate at any time.

请选择以下其中一项通讯方法 Please select one of the following method of communication :

By E-mail 电子邮件 (可豁免行政费 Administrative Fee may be waived)

邮递 By Mail : 须每月缴交行政费: Monthly administrative fee required

(请留意结单将以邮递方式寄往客户 Please note that the statement will be sent to Client by post)

住宅位址 Residential address

其他 Others : _____

11. 香港投资者识别码制度、场外证券交易汇报制度及FINI 制度下对个人资料的使用 Investor Identification, OTC Securities Transactions Reporting and Fast Interface for New Issuance

1. 本人/吾等明白并同意，道口证券为了向本人/吾等提供与在联交所上市或买卖的证券相关的服务，以及为了遵守不时生效的联交所与证监会的规则和规定，道口证券可收集、储存、处理、使用、披露及转移与本人/吾等有关的个人资料（包括本人/吾等的客户识别信息及券商客户编码）。在不限制以上的内容的前提下，当中包括 – I/We understand and agree that DaoKou Securities may collect, store, process, use, disclose, and transfer personal data related to me/us (including my/our client identification information and broker client codes) in order to provide services related to securities listed or traded on the Stock Exchange, and to comply with the rules and regulations of the Stock Exchange and the Securities and Futures Commission that are in effect from time to time. Without limiting the foregoing, this includes –

- a. 根据不时生效的联交所及证监会规则和规定，向联交所及/或证监会披露及转移本人/吾等的个人资料（包括客户识别信息及券商客户编码）；
In accordance with the rules and regulations of the Stock Exchange and the Securities and Futures Commission that are in effect from time to time, disclose and transfer my/our personal information (including client identification information and broker client codes) to the Stock Exchange and/or the Securities and Futures Commission;
- b. 允许联交所：(i) 收集、储存、处理及使用本人/吾等的个人资料（包括客户识别信息及券商客户编码），以便监察和监管市场及执行《联交所规则》；(ii) 向香港相关监管机构和执法机构（包括但不限于证监会）披露及转移有关资料，以便他们就香港金融市场履行其法定职能；及(iii) 为监察市场目的而使用有关数据进行分析；及
Allow the Exchange to: (i) collect, store, process, and use my/our personal information (including customer identification information and broker customer codes) for the purpose of monitoring and regulating the market and enforcing the "Exchange Rules"; (ii) disclose and transfer relevant information to Hong Kong regulatory and law enforcement agencies (including but not limited to the Securities and Futures Commission) so that they can perform their statutory functions regarding the Hong Kong financial market; and (iii) use the relevant data for analysis for the purpose of market monitoring; and
- c. 允许证监会：(i) 收集、储存、处理及使用本人/吾等的个人资料（包括客户识别信息及券商客户编码），以使其履行法定职能，包括对香港金融市场的监管、监察及执法职能；及(ii) 根据适用法例或监管规定向香港相关监管机构和执法机构披露及转移有关资料；及
Permitted by the Securities and Futures Commission: (i) to collect, store, process, and use my/our personal information (including customer identification information and broker client codes) in order to fulfill its statutory functions, including regulation, supervision, and enforcement functions related to the Hong Kong financial market; and (ii) to disclose and transfer relevant information to the relevant regulatory and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements; and
- d. 向香港中央结算有限公司（香港结算）提供券商客户编码以允许香港结算：(i) 从联交所取得、处理及储存允许披露及转移给香港结算属于本人/吾等的客户识别信息，及向发行人的股份过户登记处转移本人/吾等的客户识别信息，以便核实本人/吾等未就相关股份认购进行重复申请，以及便利首次公开招股抽签及首次公开招股结算程序；及(ii) 处理及储存本人/吾等的客户识别信息，及向发行人、发行人的股份过户登记处、证监会、联交所及其他公开招股的有关各方转移本人/吾等的客户识别信息，以便处理本人/吾等对有关股份认购的申请，或为载于公开招股发行人的招股章程的任何其他目的。
Provide broker client codes to Hong Kong Securities Clearing Company Limited (Hong Kong Clearing) to allow Hong Kong Clearing to: (i) obtain, process, and store customer identification information that can be disclosed and transferred to Hong Kong Clearing from the Hong Kong Stock Exchange for clients belonging to me/us, and transfer my/our customer identification information to the issuer's share transfer register to verify that I/we have not made duplicate applications for the relevant shares, and to facilitate the IPO lottery and IPO settlement procedures; and (ii) process and store my/our customer identification information, and transfer my/our customer identification information to the issuer, the issuer's share transfer register, the Securities and Futures Commission, the Hong Kong Stock Exchange, and other relevant parties of the public offering, for the purpose of processing my/our applications for the relevant share subscriptions, or for any other purpose stated in the prospectus of the public offering issuer.

2. 本人/吾等亦同意，即使本人/吾等其后宣称撤回同意，道口证券或上述机构在本人/吾等宣称撤回同意后，仍可继续储存、处理、使用、披露或转移本人/吾等的个人资料以作上述用途。

I/we also agree that even if I/we subsequently claim to withdraw consent, DaoKou Securities or the aforementioned institutions may continue to store, process, use, disclose, or transfer my/our personal data for the aforementioned purposes after I/we declare the withdrawal of consent.

3. 为避免疑义，本同意表格为对《标准条款及细则》的补充，而非替代。本人/吾等确认就其个人资料的权利均列于《标准条件及细则》中的《个人资料使用通告》中。To avoid doubt, this consent form is a supplement to the "Standard Terms and Conditions" and not a replacement. I/We confirm that the rights regarding our personal information are all listed in the "Personal Data Usage Notice" within the "Standard Terms and Conditions".

4. 本人/吾等确认已阅读并明白上述同意书的内容。本人/吾等以签署本表格，表示本人/吾等同意并确认道口证券（及在本同意表格中列明的相关方）可根据本同意书披露、转移、使用及/或储存本人/吾等的任何个人及交易资料（包括该等由我方提供予道口证券的个人资料），及同意接受本同意书的条款。

I/we confirm that we have read and understood the contents of the above consent form. By signing this form, I/we indicate our agreement and confirmation that DaoKou Securities (and the parties specified in this consent form) may disclose, transfer, use, and/or store any of my/our personal and transaction information (including such personal data provided by me/us to DaoKou Securities) according to this consent form, and agree to accept the terms of this consent form.

12. 北向交易投资者实名制机制 The Investor ID Model regime for Northbound Trading

1. 根据沪深港股票市场交易互联互通（“中华通”）的规则和条例，我/我们明白道口证券需要向香港联合交易所（“联交所”）提交投资者的一些个人数据（包括姓名、身份证签发国家、身份证类型、身份证号等），并由联交所将有相关数据进一步传递给内地交易所或有相关部门。

Under the rules and regulations of the China Stock Connect (“China Connect Rules”), I/We understand that DaoKou Securities is required to submit certain personal data of the investor as prescribed under the China Connect Rules (including name, ID issuing country, ID Type and ID number) to the Stock Exchange of Hong Kong Limited (“SEHK”) who will further route or transfer such data to the Mainland exchanges or authorities.

2. 为此，我/我们同意道口证券为符合北向交易投资者实名制机制的要求而使用和传递上述提及的我/我们的个人数据。
For this purpose, I/We consent to the use or transfer of my / our personal data as mentioned above by DaoKou Securities for the purpose of complying with the Investor ID Model regime for Northbound Trading.

3. 本人知晓与“中华通”服务有关的风险（包括服务条款及细则所载的所有风险披露声明），并愿意承担该等风险。本人已阅读并清楚明白服务条款及细则所带有关跨境理财通下的规定，本公司的角色和责任、资金闭环和跨境汇款要求、查询及投诉处理机制、投资专户的使用、投资者责任、所涉及的风险、向相关监管机构披露的信息以及发现投资者有违规情况时的处理等。

I/We have carefully read and understood the English or Chinese contents of the Client Agreement for Securities Trading (Segregated Account) Services, including the Risk Disclosure Statement (each an "Agreement" and that the contents of each Agreement have been provided and fully explained to me/us in a language which I/we understand. I/We accept, as evidenced by my/our signature(s) below, all the terms of each Agreement and agree to be bound by each Agreement as amended or supplemented from time to time

13. 客户确认及签署 Acknowledgement and Execution by Customer

1. 风险披露声明 Risk Disclosure Statement
 客户确认道口证券以客户选择的语言（英文或中文）提供客户协议包括其附表 2 的风险披露声明及免责声明。客户进一步确认道口证券已经邀请客户阅读风险披露声明，提出问题及征求独立的意见（如客户有此意愿）。
 The Customer acknowledges that the Securities Client Agreement including the Risk Disclosure Statements and Disclaimers in Schedule 2 attached were provided in a language (English or Chinese) of the Customer's choice. The Customer further acknowledges that he/she was invited to read the risk disclosure statements, ask questions and take independent advice, if the Customer wished.
- 客户应经常密切留意市况，道口证券可能在强制平仓前无法与客户联络或未能提供足够时间让客户进行额外的存款。
 The Customer acknowledges that he/she should closely monitor positions, as Daokou Securities may not be able to contact you or give you sufficient time to deposit additional funds, before forced liquidation of positions.
2. 提供准确的资料 Accuracy of information provided
 载于本开户申请表（「资料表」）中的资料是真实和准确的。客户将会通知道口证券有关资料的任何重要改变。道口证券可联络任何人，包括客户的银行、经纪或信用调查机构，以核实资料表的内容。
 The information contained in this Account Opening Application Form (the "Form") is true and accurate. The Customer will notify DaoKou Securities of any material change of that information. DaoKou Securities is authorized to contact anyone, including Customer's banks, brokers or any credit agency, for verifying the information provided in this Form.

户口种类 Account Type	选择服务 Select Service(s)
现金账户 (Cash Account) 请为我开立现金账户。我/已经阅读并明白证券客户协议的条款，并接受这些条款的约束。 Please open a Cash Account for me. I have read and understand the provisions of the Securities Client Agreement and agree to be bound by same.	现金账户 Cash Account

客户确认 Acknowledgement by Customer

我同意道口证券或联系人士以各种方式提供投资或有关财务产品及服务的资料，其包括研究报告及特别优惠等。
 I consent to DaoKou Securities or its Associates providing information about investment or financial related products and services including research reports and special offers by any means.

是 Yes 否 No

签署人 Signed by :

*个人/主要帐户持有人签署
 Individual/Primary Joint Account Holder's Signature :



日期 Date : _____

*将被用作签名样式 Will be used as Specimen Signature

职员/经纪声明 Declaration by Staff /Account Executive

我确认已经以客户选择的语言（英文或中文）提供了载于证券客户协议附表 2 内的风险披露声明，并且我已经邀请客户阅读风险披露声明，提出有关问题及寻求独立意见（如客户有此意愿）。
 I confirm that I have provided the Risk Disclosure Statements as set out in Schedule 2 of the Securities Client Agreement in a language (English or Chinese) of the Customer's choice. I have also invited the Customer to read the Risk Disclosure Statements, ask questions and independent advice if the customer wishes.

持第 1 类（证券买卖）Licensed for Type 1 (Licensed Corporation) 日期 Date :

职员/经纪签署 Signature of Staff/AE	职员/经纪姓名 Name of Staff/AE	CE 编号 CE No.
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14. 见证客户签署 (如适用) WITNESSING OF CLIENT SIGNATURE (if applicable)

客户须在本公司之持牌代表面前订立本开户申请表，或将本开户申请表连同恰当的支票+一并交回本公司，否则本开户文件的签立及有关的身份证明文件的见证，应由适合的证明人包括公证人、律师、会计师、特许秘书、持牌银行分行经理、太平绅士、发出身份核实文件的国家的大使馆、领事馆或高级专员公署的人员或其他证监会持票人加以验证。

If this Account Opening Application is not executed in the presence of the Company's licensed representative or is not submitted with an appropriate cheque+, then signing of this Account Opening Application and sighting of related identity documents should be certified by a Notary Public, Lawyer, Certified Public Accountant, a Chartered Secretary, a Branch Manager of a Bank, a JP (Justice of the Peace), an officer of an embassy, consulate of high commission of the country of the issue of documentary verification of identity or any other SFC licensed person.

本人谨此见证上述客户签立此开户申请表 (构成本协议之重要文件) 及其有关身份证明文件之正本：

I, the undersigned hereby certify that I have witnessed the signing of the Account Opening Application (forming an integral part of the Agreement) by the Client and have seen the original of the relevant identity documents of the Client :

见证人签署

Signature of Witness

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--	--

姓名

Name: _____

所属专业及职衔

Profession/Title: _____

日期

Date: _____

+ 数额不少于港币一万元的划线支票。支票须有客户本人签发予「道口证券有限公司」，而支票签发人姓名及签名模式须与本开户申请表上之客户名称及签署相符。新客户帐户须在支票兑现后方可使用。

+ A crossed cheque of not less than HKD10,000 in favour of "Daokou Securities Limited" bearing Client's name and signature as shown in this Account Opening Application and drawn on a licensed bank in Hong Kong. The new account cannot be activated for use until the cheque has been cleared.

15. 注意事项 Notes

1. 请随本表格附上全部帐户持有人之身份证副本及最近三个月内住宅及通讯地址证明文件 (邮政信箱恕不接受)。
Please enclose an ID copy and residential and correspondence address(es) proof dated within the last 3 months (P.O. box is not accepted) for all account holders with this Form.
2. 全部帐户持有人必须在道口证券或联络人士的职员/代理人面前填妥及签署本表格；如非亲身开户，请参看下方的注解 6。
This Form should be completed and signed by all account holders in front of an employee or agent of DaoKou Securities or its Associates. Otherwise, please see Note 6 below.
3. 任何有关个人资料的删改必须由全部帐户持有人签署作实。
Any deletion or amendment of the personal information must be signed by all account holders.
4. 帐户持有人的款项将会被存入本表格内所提供的指定银行帐户，除非另行通知。
All fund payable to the account holder will be credited to the designated bank account nominated on this Form, unless otherwise instructed.
5. 道口证券恕不接受第三者存款。任何例外情况都需要管理层的预先批准。
Third-party deposit will not be accepted. Any exception is subject to prior management approval.
6. 如资料表并非在道口证券或联系人士的职员/代理人面前签署，帐户持有人必须遵从以下其中一种程序要求：
If this Form is not executed by the account holders in front of an employee or agent of DaoKou Securities or its Associates, the account holders should comply with either one of the following procedural requirements :
7. 交给道口证券在香港持牌银行开立的帐户所签发不少于一万元港元的个人支票，该支票的签名及姓名须与本表格的客户签名及身份证明文件相符，而支票抬头须为“道口证券有限公司”。客户的帐户必须持支票兑现后才可使用；或
Send a personal cheque in favour of "DaoKou Securities Limited" for not less than HK\$10,000 drawn on an account with a licensed bank in Hong Kong, bearing the signature(s) as on this Form and name(s) as on the identity document(s). The new account will not be activated until the cheque is cleared; or
8. 由其他持牌人或注册人、道口证券的联系人士、太平绅士、银行分行经理、执业会计师、律师或公证人见证客户的签名及身份证明文件。
Have any other licensed or registered person, Associate of DaoKou Securities, justice of the peace, branch manager of a bank, certified public accountant, lawyer or notary public certify the signature and identity documents of the account holders.

弥偿保证信

适用于透过传真及/或任何其他电子通讯发出之指示

致：道口證券有限公司

帐户名称: _____

帐户号码: _____

鉴于 贵公司同意接受本人/吾等不时经由传真或其他电子通讯声称发自本人/吾等但不包含本人/吾等签署之指示正本或任何其他通讯(下称「此等指示」)以操作上述帐户，并执行此等指示而 未有事先要求所签署之文件正本作书面确认，本人/吾等确认：

1. 本人/吾等知悉发出此等指示所涉及之风险，并已注意及承认本人/吾等明白和同意附于以下之「重要通告」。
2. 贵公司获本人/吾等特此不可撤销地和无条件下授权，以贵公司全酌情权决定执行相信是发自本人/吾等之此等指示，及贵公司若真诚地执行此等指示但此等指示实则源自未被授权人士，或任何情况下，贵公司均无须负上任何责任。
3. 贵公司尤其是没有责任核实声称代表本人/吾等发出此等指示的人士之身份或此等指示上的签名之真伪。
4. 无论此等指示是否经本人/吾等授权、得悉或同意，任何根据此等指示而进行的交易或提供的服务均对本人/吾等具有法律约束力。
5. 无论此等指示是否经本人/吾等书面确认，本人/吾等承诺于任何时间弥偿 贵公司及使之获得弥偿就 贵公司可能因接受及执行此等指示而直接或间接蒙受或承担或招致之所有诉讼、法律程序、索偿、损失、损害、成本及费用。

客户签署

姓名：

日期：

+ 重要通告 +

客户须考虑经由传真及/或任何其他电子通讯发出指示之潜在风险。传真及/或任何其他电子通讯上之非正本签署可能会被假冒，而经由传真及/或任何其他电子通讯发出之指示可能会被传送至错误号码，亦可能永不送达予本公司，令第三者得悉而失去其保密性。通讯之来源无法被确定，及可发生传递错误。我们不能够核实电子通讯的真正来源，若第三者能进入客户之电脑系统，便可以轻易伪造指示。我们将不承担任何责任。若有该情况发生，或客户因任何该等情况或因经由传真及/或任何电子通讯发出此等指示，而引致或招致任何诉讼、法律程序、索资、损失、损害或成本，客户须自行评估及判断发出此等指示之潜在风险。因此，除非客户决定承担该等风险及满意该等授权之各个方面，否则客户不应授权本公司接受此等方式发出之指示。

附件1 个人资料使用同意

香港投资者识别码制度、场外证券交易汇报制度及 FINI 制度下对个人资料的使用

1. 本人/吾等明白并同意，道口证券为了向本人/吾等提供与在联交所上市或买卖的证券相关的服务，以及为了遵守不时生效的联交所与证监会的规则和规定，道口证券可收集、储存、处理、使用、披露及转移与本人/吾等有关的个人资料（包括本人/吾等的客户识别信息及券商客户编码）。在不限制以上的内容的前提下，当中包括
 - a. 根据不时生效的联交所及证监会规则 and 规定，向联交所及/或证监会披露及转移本人/吾等的个人资料（包括客户识别信息及券商客户编码）；
 - b. 允许联交所：(i) 收集、储存、处理及使用本人/吾等的个人资料（包括客户识别信息及券商客户编码），以便监察和监管市场及执行《联交所规则》；(ii) 向香港相关监管机构和执法机构（包括但不限于证监会）披露及转移有关资料，以便他们就香港金融市场履行其法定职能；及(iii) 为监察市场目的而使用有关数据进行分析；及
 - c. 允许证监会：(i) 收集、储存、处理及使用本人/吾等的个人资料（包括客户识别信息及券商客户编码），以便其履行法定职能，包括对香港金融市场的监管、监察及执法职能；及 (ii) 根据适用法例或监管规定向香港相关监管机构和执法机构披露及转移有关资料；及
 - d. 向香港中央结算有限公司（香港结算）提供券商客户编码以允许香港结算：
 - (i) 从联交所取得、处理及储存允许披露及转移给香港结算属于本人/吾等的客户识别信息，及向发行人的股份过户登记处转移本人/吾等的客户识别信息，以便核实本人/吾等未就相关股份认购进行重复申请，以及便利首次公开招股抽签及首次公开招股结算程序；及(ii) 处理及储存本人/吾等的客户识别信息，及向发行人、发行人的股份过户登记处、证监会、联交所及其他公开招股的有关各方转移本人/吾等的客户识别信息，以便处理本人/吾等对有关股份认购的申请，或为载于公开招股发行人的招股章程的任何其他目的。

2. 本人/吾等亦同意，即使本人/吾等其后宣称撤回同意，道口證券或上述机构在本人/吾等宣称撤回同意后，仍可继续储存、处理、使用、披露或转移本人/吾等的个人资料以作上述用途。
3. 为避免疑义，本同意表格为对《标准条款及细则》的补充，而非替代。本人/吾等确认就其个人资料的权利均列于《标准条件及细则》中的《个人资料使用通告》中。

本人/吾等确认已阅读并明白上述同意书的内容。本人/吾等以签署本表格，表示本人/吾等同意并确认道口證券(及在本同意表格中列明的相关方)可根据本同意书披露、转移、使用及/或储存本人/吾等的任何个人及交易资料(包括该等由我方提供予道口證券的个人资料)，及同意接受本同意书的条款。

(当客户为个人)

签署

姓名： _____

帐户号码： _____

日期： _____

《現金證券戶口－提早交收授權》

致：道口證券有限公司（下简称“道口證券”）

本人 _____ 證券帳戶號碼 _____ 謹此授權道口證券，就本人於每個交易日所完成之交易，即日向結算所（包括但不限於香港中央結算有限公司）交付相應之現金（買入交易）及 / 或證券（沽出交易）。

本人亦承諾：

每筆交易前，現金證券帳戶中會事先存入與交易指示相應之足夠資金及/或證券，否則道口證券可拒絕該交易指示；及

每個交易日會在現金證券帳戶中存有足以應付所有待交收需求之款項及/或證券，如出現差額，道口證券可有絕對酌情權因應與本人交易有關之交收需要強制執行反向交易，而無需通知本人。

客戶簽署

姓名：

日期：

+ 重要通告 +

客戶須考慮經由傳真及/或任何其他電子通訊發出指示之潛在風險。傳真及/或任何其他電子通訊上之非正本簽署可能會被假冒，而經由傳真及/或任何其他電子通訊發出之指示可能會被傳送至錯誤號碼，亦可能永不送達予本公司，令第三者得悉而失去其保密性。通訊之來源無法被確定，及可發生傳遞錯誤。我們不能夠核實電子通訊的真正來源，若第三者能進入客戶之電腦系統，便可以輕易偽造指示。我們將不承擔任何責任。若有該情況發生，或客戶因任何該等情況或因經由傳真及/或任何電子通訊發出此等指示，而引致或招致任何訴訟、法律程序、索資、損失、損害或成本，客戶須自行評估及判斷發出此等指示之潛在風險。因此，除非客戶決定承擔該等風險及滿意該等授權之各个方面，否則客戶不應授權本公司接受此等方式發出之指示。

客户证券常设授权 (客户证券及客户款项)

本常设授权书，根据《证券及期货(客户证券)规则》第7条的规定，授权贵公司：

1. 运用任何本人/我们的证券或证券抵押品于证券借贷协议；
2. 将任何本人/我们的证券抵押品存放于认可的金融机构，作为提供给贵公司的财务通融的抵押品；及/或
3. 将任何本人/我们的证券抵押品存放于认可的结算所或其他持牌或注册进行证券交易的中介人，作为解除和清偿贵公司在交收上的责任及债务的抵押品，而无须通知本人。

本常设授权函件涵盖一切由贵公司代表本人/我们购买或持有之证券。

本人/我们明白认可结算所或其他获发牌或获注册进行证券交易的中介人，将因应贵公司在交收上的责任及债务而对本人的证券抵押品设置为第一固定抵押权。

本授权书并不涉及就贵公司借、贷或存放本人任何证券而须支付或收取的任何代价。任何代价均须由本人/我们与贵公司另行签约订明。

贵公司须向本人/我们就交还有关根据本常设授权而作出借入、贷款或存放之证券负责。

本人/我们明白本人/我们的证券可能受制于第三者之权利，贵公司必须于抵偿该等权利后，方将本人/我们的证券交还本人/我们。

根据《证券及期货(客户款项)规则》(香港法例第571I章)(《客户款项规则》)设立的常设授权：

客户藉本常设授权书授权本公司不需事先通知或取得的确認及/或指示可酌情动用款项的全部或部份作为買賣海外證券之用、符合交收或按金要求及其他用途：

- i. 將任何數額之款項支付/轉往客戶於本公司的帳戶及/或任何海外經紀人及/或結算公司的期貨帳戶及其繼承人及受讓人以作客戶買賣海外證券之用或符合交收或按金的要求(如適用)；及/或
- ii. 從本公司在香港或其他地方設立之一或多個獨立帳戶及在任何海外經紀人及/或結算公司獨立帳戶或於該等帳戶之間來回調動；及/或
- iii. 訂立外幣兌換合約，適用於當日或之前為了購買海外期貨合約之用或符合交收或按金的要求(如適用)而需要將資金轉換為其他貨幣，此等兌換合約按本公司慣例並以市場匯率訂立。訂約時間由本公司酌情決定。

除本常設授權書於到期前被撤回外，本常設授權書有效期內，本常設授權書涵蓋本公司收取或持有並存放於任何帳戶內有關外地交易的款項(包括因持有並非屬於本公司的款項的產生之任何利息)，每次续期可有效十二(12)个月，道口证券于该授权有效期届满前不少于十四(14)日向本人/吾等发出书面通知，而本人/吾等于该授权有效期届满前未有提出反对续期，则此授权将视为毋须本人/吾等书面同意而接续地续期十二(12)个月。

本人/吾等明白，本人/吾等可给予道口证券至少七(7)个交易日的预先书面通知，撤销此授权。但是，道口证券有绝对酌情决定权将撤销授权通知书视为于道口证券收讫时随即生效。

本人/吾等承诺就道口证券因为根据本常设授权而行事而招致或蒙受的所有成本、开支、负债、损失或损害赔偿，向道口证券有限公司作出弥偿。

道口证券已将本常设授权全部向本人/吾等解释清楚，我/我们明白并接受本函件的内容。

签署_____

帐户号码_____

姓名_____

签署日期_____