



新宏域證券

NEW HORIZON SECURITIES

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New Horizon International Securities Co., Limited (the "Company" or "we") is currently licensed to engage in Type 1 & 4 & 9 regulated activities under the Securities and Futures Ordinance (Cap 571) ("SFO") (CE# BVG 853)

新宏域國際證券有限公司 ("公司"或"我們")現時獲許可從事《證券及期貨條例》(第571章)(“證券及期貨條例”)項下的第1、4、9類受規管活動(中央編號 BVG853)

戶口號碼 Account No.	
評估日期 Assessment Date	
僅供職員填寫 For office use only	

ACCOUNT OPENING FORM (INDIVIDUAL/JOINT)  
賬戶開戶表格 (個人/聯名)

Please read the client agreement before you sign this form.  
請在簽署本表格前仔細閱讀客戶協議

1. Type of Account 賬戶類別

Account Type 賬戶類別

- ☐ Cash Account 現金賬戶(交易)  
☐ Margin Account 保證金賬戶(交易)

Nature of Account 賬戶性質

- ☐ Individual Account 個人賬戶 ☐ Joint Account 聯名賬戶

2. Primary Applicant's Personal Information 基本申請人個人資料

☐ Mr. 先生 ☐ Mrs. 太太 ☐ Ms. 女士

a)	English Name 英文名稱			
	Chinese Name 中文名稱			
b)	Nationality 國籍			
c)	Type of ID/Passport:	<input type="checkbox"/> Hong Kong ID 香港居民身份證		
		<input type="checkbox"/> PRC ID 中國內地居民身份證		
		<input type="checkbox"/> Passport 護照		
		<input type="checkbox"/> Others 其他		
d)	Expiry Date (if applicable) 屆滿日期 (如適用) :			
	<input type="checkbox"/> Permanent; or 長期有效; 或	dd 日	mm 月	yyyy 年
e)	Country of Issue 簽發國家			
f)	Date of Birth 出生日期	dd 日	mm 月	yyyy 年
g)	City and Country of Birth 出生國家及城市			
h)	E-mail Address 電郵地址:			
i)	Mobile Phone No 手提電話號碼:			
j)	Home Phone No 住宅電話號碼:			
k)	Fax No: 傳真號碼:			
l)	Residential Address 住宅地址:			
	(Please provide address proof)			
	請提供地址證明			
	(P.O.Box address not accepted)			
	(恕不接受郵政箱地址)			
m)	Correspondence Address 通訊地址:			
	(if different from residential address)			
	(若與住宅地址不同)			

n)	Marital Status 婚姻狀況	<input type="checkbox"/> Unmarried 未婚 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Others, please specify 其他, 請說明	
o)	Education Level 教育狀況:	<input type="checkbox"/> Primary school or below 小學或以下 <input type="checkbox"/> Secondary School 中學 <input type="checkbox"/> College/University or above 學院/大學或以上	
p)	Work Status工作狀況:	<input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Retired 退休	<input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Housewife 家庭主婦
<b>*For employed or self-employed, please fill in section q) 受僱或自僱請填寫下列q)受僱/自僱詳情</b>			
q)	Details of employed or self-employed: 受僱/自僱詳情:	Name of Employer 僱主公司名稱:	
		Nature of Business 業務性質:	
		Job Title 工作職位:	
		Years of Service 工作年限:	
		Office Phone No 辦公室電話:	
		Office Address 辦公室地址:	
<b>3. Joint Applicant's Personal Information (if applicable) 聯名申請人個人資料(如適用)</b>			
	<input type="checkbox"/> Mr. 先生	<input type="checkbox"/> Mrs. 太太	<input type="checkbox"/> Ms. 女士
a)	English Name 英文名稱		
	Chinese Name 中文名稱		
b)	Nationality 國籍		
c)	Type of ID/Passport:	<input type="checkbox"/> Hong Kong ID 香港居民身份證 <input type="checkbox"/> PRC ID 中國內地居民身份證 <input type="checkbox"/> Passport 護照 <input type="checkbox"/> Others 其他	
d)	Expiry Date (if applicable) 屆滿日期 (如適用) :	<input type="checkbox"/> Permanent; or 長期有效; 或	
		dd 日	mm 月
			yyyy年
e)	Country of Issue 簽發國家		
f)	Date of Birth 出生日期		
		dd 日	mm 月
			yyyy年
g)	City and Country of Birth 出生國家及城市		
h)	E-mail Address 電郵地址:		
i)	Mobile Phone No 手提電話號碼:		
j)	Home Phone No 住宅電話號碼:		
k)	Fax No: 傳真號碼:		
l)	Residential Address 住宅地址: (Please provide address proof) 請提供地址證明 (P.O.Box address not accepted) (恕不接受郵政箱地址)		
m)	Correspondence Address 通訊地址: (if different from residential address) (若與住宅地址不同)		

n)	Marital Status 婚姻狀況	<input type="checkbox"/> Unmarried 未婚 <input type="checkbox"/> Married 已婚 <input type="checkbox"/> Others, please specify 其他, 請說明	_____
o)	Education Level 教育狀況:	<input type="checkbox"/> Primary school or below 小學或以下 <input type="checkbox"/> Secondary School 中學 <input type="checkbox"/> College/University or above 學院/大學或以上	
p)	Work Status 工作狀況:	<input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Retired 退休	<input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Housewife 家庭主婦

**\*For employed or self-employed, please fill in section q) 受僱或自僱請填寫下列q)受僱/自僱詳情**

q)	Details of employed or self-employed: 受僱/自僱詳情:	Name of Employer 僱主公司名稱:	_____
		Nature of Business 業務性質:	_____
		Job Title 工作職位:	_____
		Years of Service 工作年限:	_____
		Office Phone No 辦公室電話:	_____
		Office Address 辦公室地址:	_____

#### 4. Trading Confirmations and Statements 通知及賬戶結單

Delivery method, please select one ONLY 遞送方法, 請只選擇一項:

- |  |   |
|--|---|
| <input type="checkbox"/> By Email 電郵                           | <input type="checkbox"/> Residential address by post 郵寄住宅地址 |
| <input type="checkbox"/> Correspondence address by post 郵寄通訊地址 | <input type="checkbox"/> Office address by post 郵寄辦公地址      |

\*Postal service will be subject to administrative and postage charges(administration fee of HKD50 per statement)若選擇郵寄, 會加收郵遞及行政費用(每份結單行政費為港幣50元)

#### 5.BANK INFORMATION 銀行資料

Payments must NOT be made to accounts held in the name of a third party other than that of the Applicant. In relation to joint Applicants, all monies payable will be transferred to an account in the name of all such joint Applicants. Unless otherwise instructed in writing, all monies payable to the Applicant (or if applicable, joint Applicants) will be transferred to the following bank account:  
以第三者名義帳戶收款之指示恕不接納, 如申請人是聯名持有人, 款項將會被轉入以所有申請人名義聯名開設之銀行帳戶。除申請人另行指示外, 申請人(或聯名申請人, 如適用)之款項會被轉入下列銀行帳戶

a)	Name of Beneficiary Bank 受款銀行名稱	_____
b)	Branch Address 分行地址	_____
c)	Country 國家	_____
d)	Postal Code 郵政編碼	_____
e)	SWIFT Code of the Beneficiary Bank 受款銀行之 SWIFT 代號	_____
f)	A/C No. with Correspondent Bank 受款銀行之帳號	_____
g)	Name of Beneficiary 受款人帳戶名稱	_____
h)	A/C No. of the Beneficiary 受款人之銀行帳號	_____

All bank charges incurred for any payment (including currency conversion) will be borne by the Applicant(s).一切銀行收費包括外幣兌換風險將由申請人承擔。

#### 6.Financial Summary 財務資料簡要

Ownership of Residence 住所業權	Sole/Primary Applicant 單獨/主要申請人:	Joint Applicant 聯名申請人:
	<input type="checkbox"/> Self-owned (mortgaged) 已抵押自置物業 <input type="checkbox"/> Self-owned (not mortgaged) 無抵押自置物業 <input type="checkbox"/> Rent 租用物業 <input type="checkbox"/> Quarters 宿舍 <input type="checkbox"/> Living with family 與家人同住 <input type="checkbox"/> Others (please specify) 其他(請註明)	<input type="checkbox"/> Self-owned (mortgaged) 已抵押自置物業 <input type="checkbox"/> Self-owned (not mortgaged) 無抵押自置物業 <input type="checkbox"/> Rent 租用物業 <input type="checkbox"/> Quarters 宿舍 <input type="checkbox"/> Living with family 與家人同住 <input type="checkbox"/> Others (please specify) 其他(請註明)

Source of Wealth 財富來源	Sole/Primary Applicant單獨/主要申請人:  <input type="checkbox"/> Salary薪金 <input type="checkbox"/> Commission佣金 <input type="checkbox"/> Business Profit營業溢利 <input type="checkbox"/> Rent租金 <input type="checkbox"/> Dividend/Interest股息/利息  <input type="checkbox"/> Others (please specify) 其他(請註明) 	Joint Applicant 聯名申請人:  <input type="checkbox"/> Salary薪金 <input type="checkbox"/> Commission佣金 <input type="checkbox"/> Business Profit營業溢利 <input type="checkbox"/> Rent租金 <input type="checkbox"/> Dividend/Interest股息/利息  <input type="checkbox"/> Others (please specify) 其他(請註明) 
Annual Income from all sources (HKD) 年總收入(港幣)	Sole/Primary Applicant單獨/主要申請人: <input type="checkbox"/> <500,000 <input type="checkbox"/> 500,001-1,000,000 <input type="checkbox"/> 1,000,001-4,000,000 <input type="checkbox"/> 4,000,001-8,000,000 <input type="checkbox"/> >8,000,000	Joint Applicant 聯名申請人: <input type="checkbox"/> <500,000 <input type="checkbox"/> 500,001-1,000,000 <input type="checkbox"/> 1,000,001-4,000,000 <input type="checkbox"/> 4,000,001-8,000,000 <input type="checkbox"/> >8,000,000
Total Net Worth(HKD) 個人淨總資產 (港幣)	Sole/Primary Applicant單獨/主要申請人: <input type="checkbox"/> <4,000,000 <input type="checkbox"/> 4,000,001-8,000,000 <input type="checkbox"/> 8,000,001-12,000,000 <input type="checkbox"/> 12,000,001-16,000,000 <input type="checkbox"/> >16,000,001	Joint Applicant 聯名申請人: <input type="checkbox"/> <4,000,000 <input type="checkbox"/> 4,000,001-8,000,000 <input type="checkbox"/> 8,000,001-12,000,000 <input type="checkbox"/> 12,000,001-16,000,000 <input type="checkbox"/> >16,000,001
Liquid Capital (HKD) 流動資金	Sole/Primary Applicant單獨/主要申請人: <input type="checkbox"/> <4,000,000 <input type="checkbox"/> 4,000,001-8,000,000 <input type="checkbox"/> 8,000,001-12,000,000 <input type="checkbox"/> 12,000,001-16,000,000 <input type="checkbox"/> >16,000,001	Joint Applicant 聯名申請人: <input type="checkbox"/> <4,000,000 <input type="checkbox"/> 4,000,001-8,000,000 <input type="checkbox"/> 8,000,001-12,000,000 <input type="checkbox"/> 12,000,001-16,000,000 <input type="checkbox"/> >16,000,001
Initial source of funds 首次資金來源	Origin of source of initial funds (tick more than one box if appropriate) 首次資金來源(可勾選多於一項)	
	Sole/Primary Applicant單獨/主要申請人: <input type="checkbox"/> Payroll/Commission/Pension 薪金/佣金/退休金 <input type="checkbox"/> Individual Business 個人業務 <input type="checkbox"/> Savings 儲蓄 <input type="checkbox"/> Investment Return 投資收益 <input type="checkbox"/> Inheritance/Gift 繼承/餽贈 <input type="checkbox"/> Sale proceeds of property 出售物業所得 <input type="checkbox"/> Others (please specify) 其他 (請註明)	Joint Applicant 聯名申請人: <input type="checkbox"/> Payroll/Commission/Pension 薪金/佣金/退休金 <input type="checkbox"/> Individual Business 個人業務 <input type="checkbox"/> Savings 儲蓄 <input type="checkbox"/> Investment Return 投資收益 <input type="checkbox"/> Inheritance/Gift 繼承/餽贈 <input type="checkbox"/> Sale proceeds of property 出售物業所得 <input type="checkbox"/> Others (please specify) 其他 (請註明)
	Place of source of initial funds (tick more than one box if appropriate) 資金來源地(可勾選多於一項)	
	Sole/Primary Applicant單獨/主要申請人: <input type="checkbox"/> Hong Kong香港 <input type="checkbox"/> Mainland China 中國大陸 <input type="checkbox"/> Others (please specify) 其他 (請註明): 	Joint Applicant 聯名申請人: <input type="checkbox"/> Hong Kong香港 <input type="checkbox"/> Mainland China 中國大陸 <input type="checkbox"/> Others (please specify) 其他 (請註明): 
Recurring source of funds 持續資金來源	Origin of source of recurring funds (tick more than one box if appropriate) 持續資金來源(可勾選多於一項)	
	Sole/Primary Applicant單獨/主要申請人: <input type="checkbox"/> Payroll/Commission/Pension 薪金/佣金/退休金 <input type="checkbox"/> Individual Business 個人業務 <input type="checkbox"/> Savings 儲蓄 <input type="checkbox"/> Investment Return 投資收益 <input type="checkbox"/> Inheritance/Gift 繼承/餽贈	Joint Applicant 聯名申請人: <input type="checkbox"/> Payroll/Commission/Pension 薪金/佣金/退休金 <input type="checkbox"/> Individual Business 個人業務 <input type="checkbox"/> Savings 儲蓄 <input type="checkbox"/> Investment Return 投資收益 <input type="checkbox"/> Inheritance/Gift 繼承/餽贈

	<input type="checkbox"/> Sale proceeds of property 出售物業所得 <input type="checkbox"/> Others (please specify) 其他 (請註明)	<input type="checkbox"/> Sale proceeds of property 出售物業所得 <input type="checkbox"/> Others (please specify) 其他 (請註明)
Place of source of recurring funds (tick more than one box if appropriate) 持續資金來源地(可勾選多於一項)		
	Sole/Primary Applicant 單獨/主要申請人: <input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Mainland China 中國大陸 <input type="checkbox"/> Others (please specify) 其他 (請註明): _____	Joint Applicant 聯名申請人: <input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Mainland China 中國大陸 <input type="checkbox"/> Others (please specify) 其他 (請註明): _____

## 7.Risk Tolerance Assessment 風險承受能力評估

If the account is a joint account, either the sole investment decision maker for the joint account shall complete this assessment form, or all account holders shall complete this assessment form.

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<p>7.1 Financial Status 財務狀況</p>	<p>1) What is the average percentage of your disposable income that can be set aside for investment? 平均而言，您可以動用收入的多少百分比作投資用途？</p> <p><input type="checkbox"/> Less than 5%      少於5%  <input type="checkbox"/> 5% to 15%      5%至15%  <input type="checkbox"/> 15% to 25%      15%至25%  <input type="checkbox"/> 25% or above      25%或以上</p> <p>2) What is the average percentage of your current net worth (excluding the value of your self-occupied property) that will be allocated for investment purpose? 您用作投資的資金佔淨流動資產值(不包括自住物業的價值)的平均百分比是多少？</p> <p><input type="checkbox"/> Less than 10%      少於10%  <input type="checkbox"/> 10% to 20%      10%至20%  <input type="checkbox"/> 20% to 30%      20%至30%  <input type="checkbox"/> 30% or above      30%或以上</p> <p>3) How long is the expected investment horizon? 您的預計投資期限是多久？</p> <p><input type="checkbox"/> Less than a year      少於1年  <input type="checkbox"/> 1 to 3 years      1至3年  <input type="checkbox"/> 3 to 5 years      3至5年  <input type="checkbox"/> 5 years or above      5年或以上</p>	<p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>
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<p>7.1 Financial Status 財務狀況</p>	<p>4) In general, how much liquid assets (including cash and highly liquid assets) have you reserved for your monthly household expenses? 在一般情況下，您會預留多少流動資金(包括現金和高流動性資產)作為每月家庭開支儲備?</p> <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <input type="checkbox"/> Less than 3 months household expenses  <input type="checkbox"/> 3 to 6 months household expenses  <input type="checkbox"/> 6 to 12 months household expenses  <input type="checkbox"/> More than 12 months household expenses         </div> <div style="width: 45%;"> <p>少於3個月的家庭開支 3至6個月的家庭開支 6至12個月的家庭開支 超過12個月的家庭開支</p> </div> </div>	<div style="text-align: right;"> <input type="checkbox"/> </div>
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<p>7.2 Investment Objective and Experience 投資目標及經驗</p>	<p>1) What is your main objective of investment? 您的主要投資目標是什麼?</p> <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <input type="checkbox"/> Yield Enhancement  <input type="checkbox"/> Long Term Gain  <input type="checkbox"/> Speculative Gain  <input type="checkbox"/> Others (please specify):  <hr/> </div> <div style="width: 45%;"> <p>提高收益率 長線增值 投機增值 其他(請註明):  <hr/></p> </div> </div>	<div style="text-align: center; height: 100px;"> <input type="checkbox"/> </div>
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	<p>2) Which of the following do you think best describe your investment attitude? 下列哪一項最能夠形容您的投資意向?</p> <p><input type="checkbox"/> In general, I can bear price fluctuation of around 10% of my investment in exchange for potential gain, which is slightly higher than the rate of bank deposits. 一般而言，本人能承受投資上大約10%的價格上下波動以獲得稍微高於銀行存款利率的潛在回報。</p> <p><input type="checkbox"/> In general, I can bear price fluctuation of around 20% of my investment in exchange for potential gain, which is much better than the rate of bank deposits. 一般而言，本人能承受投資上大約20%額價格上下波動以獲得明顯高於銀行存款利率的潛在回報。</p>	<input type="checkbox"/>
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	<input type="checkbox"/> In general, I can bear price fluctuation of around 30% of my investment in exchange for potential gain, which is comparable to the stock market index. 一般而言，本人能承受投資上大約30%的價格上下波動以獲得相比於股票市場指數的潛在回報。					
	<input type="checkbox"/> I can bear any price fluctuation of my investment in exchange for potential gain, which is remarkably higher than the stock market index. 本人能承受投資上任何的價格上下波動以獲得明顯高於股票市場指數的潛在回報。					
	3) How long is your investment experience in the following products? How many transactions have you conducted in the following investment products in the recent 3 years? 您在下列投資產品有多少年的投資經驗？在最近3年，您在下列投資產品曾進行多少宗交易？					
Investment Products	Investment Experience 投資經驗			Transaction Frequency 交易數量		
投資產品	No 沒有	3 Years or below 3年或以下	Above 3 years 3年以上	Less than 5 transactions in the recent 3 years 最近3年少於5宗	5 transactions or above in the recent 3 years 最近3年多於5宗	
a) Principal Protected Products (e.g. Certificate of Deposit Principal Protected Structured Deposits/Notes) 保本產品(例如: 存款證、保本的結構性存款/票據)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
b) Foreign Exchange 外匯	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
c) Fixed Income Products (e.g. bonds) 定息投資產品 (例如: 債券)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d) Paper Gold 紙黃金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
e) Currency Linked Products 貨幣掛鉤產品	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
f) Stocks 股票	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
g) Funds 基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
h) Investment Linked Assurance Scheme 投資相連保險計劃	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
i) Equity Linked Products 股票掛鉤產品	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
j) Commodity /Derivatives /leveraged products (e.g. options, futures, warrants, margin trading, accumulator) 商品/衍生工具/槓桿產品(例如期權、期貨、認股權證、保證金交易、累計期權)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
k) Others (please specify) 其他 (請註明): _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3 Knowledge of Derivative Products 對衍生產品的認識	1) Have you ever undergone training or attended courses on derivative products? 您曾否接受有關衍生產品的培訓或修讀相關課程？					
	<input type="checkbox"/> Yes, please specify 有,請註明: _____					
	<input type="checkbox"/> No. 否。					

		2) Do you have current or previous work experience related to derivative products? 您現時或過去是否擁有衍生產品相關工作經驗？ <div style="display: flex; justify-content: space-between; align-items: flex-start;"> <div style="width: 80%;"> <input type="checkbox"/> Yes, please specify 有,請註明:  <input type="checkbox"/> No. 否。 </div> <div style="width: 15%; text-align: center;"> <input type="checkbox"/> </div> </div>	
For Internal Use Only 此欄供內部使用			
7.4 Your risk tolerance level (joint account holders should have the same risk tolerance level)您的風險承受程度(聯名賬戶持有人須有相同風險承受程度)		1) Total Score總分:  2) Your risk tolerance level is 您的風險承受程度為 <input type="checkbox"/> Conservative 保守 <input type="checkbox"/> Balanced 均衡 <input type="checkbox"/> Balanced Growth均衡增長 <input type="checkbox"/> Aggressive進取 <input type="checkbox"/> Aggressive Growth進取增長	
Risk Profiling Classification 風險評估類別			
Total Score 總分	Risk Tolerance Level 風險承受程度	Investment Risk Profiles 投資風險剖析	
[8-15]	Conservative 保守	Refer to investors who can tolerate low level of investment risk, have limited knowledge and experience in financial investment. 指屬於能承受低程度投資風險的投資者，於金融投資方面僅有有限的知識及經驗。	
[16-24]	Balanced 均衡	Refer to investors who can tolerate low to medium level of investment risk, have some knowledge and experience in financial investment. 指屬於能承受低至中度投資風險的投資者，於金融投資方面具有一些知識和經驗。	
[25-34]	Balanced Growth 均衡增長	Refer to investors who can tolerate medium level of investment risk, have reasonable knowledge or experience in financial investment, and/or have moderate financial capability to tolerate losses from investment. 指屬於能承受中度投資風險的投資者，於金融投資方面具有一定的知識或經驗，及/或擁有穩定的財政能力來承受投資帶來的損失。	
[35-42]	Aggressive 進取	Refer to investors who can tolerate medium to high level of investment risk, have considerable knowledge or experience in financial investment, and/or have strong financial capability to tolerate losses from investment. 指屬於能承受中至高度投資風險的投資者，於金融投資方面具有相當的知識或經驗，及/或有良好的財政能力來承受投資帶來的損失。	
[43-50]	Aggressive Growth 進取增長	Refer to investors who can tolerate high level of investment risk, have extensive knowledge and experience in financial investment; and/or have solid financial capability to tolerate losses from investment. 指屬於能承受高度投資風險的投資者，於金融投資方面具有廣泛知識及經驗，及/或擁有強健的財政能力來承受投資帶來的損失。	
<b>7.5 Client Confirmation 客戶確認</b>  I/We hereby confirm that (please choose either one from below): 本人(等)在此確認(請於以下二者選其一): <div style="margin-top: 10px;"> <input type="checkbox"/> I/We agree with the above result of this Risk Tolerance Assessment.          本人(等)同意以上此[風險承受能力評估]的結果。         </div> <div style="margin-top: 10px;"> <input type="checkbox"/> I/We disagree with the above result of this Risk Tolerance Assessment, and believe that the risk tolerance level selected below is more suitable to me/us.          本人(等)不同意以上此[風險承受能力評估]的結果，並認為以下的風險承受程度更適合本人(等)。         </div> <div style="margin-top: 10px;">           Reasons原因:           <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <div style="width: 45%;"> <input type="checkbox"/> Conservative 保守  <input type="checkbox"/> Balanced 均衡  <input type="checkbox"/> Balanced Growth均衡增長 </div> <div style="width: 45%;"> <input type="checkbox"/> Aggressive進取  <input type="checkbox"/> Aggressive Growth進取增長 </div> </div> </div>			
*If the Client disagrees with the result of the Risk Tolerance Assessment, the Company reserves the right to request additional documents or information. *如客戶不同意[風險承受能力評估]的結果，本公司保留權利索取額外文件或資料。			
<b>8. Foreign Account Tax Compliance Act ("FATCA") 美國《海外賬戶稅收合規法案》</b>			
1) Is the Client a United States ("US") Person, Resident of US (including a Green Card Holder) or having US nationality? 客戶是否是美國聯邦所得稅所定義的特定美國人、美國公民、美國永久居民(含綠卡持有人)或持有美國國籍？ <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div style="width: 45%;">           Sole/Primary Applicant單獨/主要申請人:  <input type="checkbox"/> No 否  <input type="checkbox"/> Yes, please specify 是, 請說明:  <div style="border-bottom: 1px solid black; height: 15px; margin-top: 5px;"></div> <div style="border-bottom: 1px solid black; height: 15px; margin-top: 5px;"></div> <div style="border-bottom: 1px solid black; height: 15px; margin-top: 5px;"></div> </div> <div style="width: 45%;">           Joint Applicant 聯名申請人:  <input type="checkbox"/> No 否  <input type="checkbox"/> Yes, please specify 是, 請說明:  <div style="border-bottom: 1px solid black; height: 15px; margin-top: 5px;"></div> <div style="border-bottom: 1px solid black; height: 15px; margin-top: 5px;"></div> <div style="border-bottom: 1px solid black; height: 15px; margin-top: 5px;"></div> </div> </div>			

2)	Is the Client born in the US? 客戶的出生地是否是美國?	Sole/Primary Applicant 單獨/主要申請人: <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify 是, 請說明:  <hr style="border: 0; border-top: 1px solid black; margin: 5px 0;"/> <hr style="border: 0; border-top: 1px solid black; margin: 5px 0;"/>	Joint Applicant 聯名申請人: <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify 是, 請說明:  <hr style="border: 0; border-top: 1px solid black; margin: 5px 0;"/> <hr style="border: 0; border-top: 1px solid black; margin: 5px 0;"/>
3)	Does the Client have presence in the US over 31 calendar days in the current calendar year or 183 days out of the 3 years period prior to the current tax year? 客戶是否在最近1年內在美國居留超過31個公曆日, 或在最近一個稅務年度1前3年內居留美國超過183個公曆日?	Sole/Primary Applicant 單獨/主要申請人: <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify 是, 請說明:  <hr style="border: 0; border-top: 1px solid black; margin: 5px 0;"/> <hr style="border: 0; border-top: 1px solid black; margin: 5px 0;"/>	Joint Applicant 聯名申請人: <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify 是, 請說明:  <hr style="border: 0; border-top: 1px solid black; margin: 5px 0;"/> <hr style="border: 0; border-top: 1px solid black; margin: 5px 0;"/>
4)	Does the Client have any US address? (e.g. residential address, mailing address, P.O. Box) 客戶是否擁有美國地址(如居住地址、郵寄地址、郵政信箱)	Sole/Primary Applicant 單獨/主要申請人: <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify 是, 請說明:  <hr style="border: 0; border-top: 1px solid black; margin: 5px 0;"/> <hr style="border: 0; border-top: 1px solid black; margin: 5px 0;"/>	Joint Applicant 聯名申請人: <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify 是, 請說明:  <hr style="border: 0; border-top: 1px solid black; margin: 5px 0;"/> <hr style="border: 0; border-top: 1px solid black; margin: 5px 0;"/>
5)	Does the Client have any US telephone number? (e.g. home, work, mobile, fax number) 客戶是否擁有美國電話號碼(如住宅、工作、手提、傳真)?	Sole/Primary Applicant 單獨/主要申請人: <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify 是, 請說明:  <hr style="border: 0; border-top: 1px solid black; margin: 5px 0;"/> <hr style="border: 0; border-top: 1px solid black; margin: 5px 0;"/>	Joint Applicant 聯名申請人: <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify 是, 請說明:  <hr style="border: 0; border-top: 1px solid black; margin: 5px 0;"/> <hr style="border: 0; border-top: 1px solid black; margin: 5px 0;"/>
6)	Does the client give standing instruction to the Company to pay amounts to an account maintained in the US? 客戶會否向本公司發出向某美國銀行賬戶轉賬款項的常設授權指示?	Sole/Primary Applicant 單獨/主要申請人: <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify 是, 請說明:  <hr style="border: 0; border-top: 1px solid black; margin: 5px 0;"/> <hr style="border: 0; border-top: 1px solid black; margin: 5px 0;"/>	Joint Applicant 聯名申請人: <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify 是, 請說明:  <hr style="border: 0; border-top: 1px solid black; margin: 5px 0;"/> <hr style="border: 0; border-top: 1px solid black; margin: 5px 0;"/>

If any of the answers in this part is "Yes", please also complete W8BEN Form. 如本部分之任何答案為"是", 請亦填寫W8BEN表格。

## 9. Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN")

### 居留司法管轄區及稅務編號或具有等同功能的識別編號

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 TIN for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence. 請提供以下資料, 列明(a)賬戶持有人的居留司法管轄區, 亦即賬戶持有人的稅務管轄區(包括香港在內)及(b)該居留司法管轄區發給賬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。

**If the account holder is a tax resident of Hong Kong or PRC, the TIN is the Hong Kong or PRC Identity Card Number.**

**如賬戶持有人是香港或中國稅務居民, 稅務編號是其香港或中國身份證號碼。**

If a TIN is not available, please provide the appropriate reason A, B or C

如沒有提供稅務編號, 請填寫合適的理由:

Reason A - the jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

理由A - 賬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 B - The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.



理由B - 賬戶持有人不能取得稅務編號。如選取這一理由，解釋賬戶持有人不能取得稅務編號的原因。  
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.  
理由C - 賬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賬戶持有人披露稅務編號。

**Sole/Primary Applicant 單獨/主要申請人**

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	Please tick Reason A, B or C if TIN is not available 如沒有提供稅務編號，請選取理由A、B或C	Explain why the account holder is unable to obtain a TIN if Reason B is selected 如選取理由B，請解釋賬戶持有人不能取得稅務編號的原因
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	

**Joint Applicant 聯名申請人**

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	Please tick Reason A, B or C if TIN is not available 如沒有提供稅務編號，請選取理由A、B或C	Explain why the account holder is unable to obtain a TIN if Reason B is selected 如選取理由B，請解釋賬戶持有人不能取得稅務編號的原因
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	

I 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 certify that I am the account holder / I am authorized to sign for the account holder # of all the account(s) to which this form relates.  
本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人/ 本人獲帳戶持有人授權簽署本表格#。

I undertake to advise \_\_\_\_\_ (state the name of the financial institution) of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide \_\_\_\_\_ (state the name of the financial institution) with a suitably updated self-certification form within 30 days of such change in circumstances.

本人承諾，如情況有所改變，以致影響本表格第 1 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，本人會通知 \_\_\_\_\_（財務機構的名稱），並會在情況發生改變後 30 日內，向 \_\_\_\_\_（財務機構的名稱）提交一份已適當更新的自我證明表格。

**I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.**

本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

**10. Declaration 聲明**

**A. Identity Declarations 身份聲明**

1) Is the Client a director, employee or accredited person of an exchange participant of the Stock Exchange or Futures Exchange of Hong Kong, or a licensed or registered person of the Securities and Futures Commission ("SFC")?  
客戶是否為聯交所或期交所之交易所參與者，或證監會之持牌人或註冊人之董事、僱員或認可人士？

<p>Sole/Primary Applicant 單獨/主要申請人:</p> <p><input type="checkbox"/> No 否</p> <p><input type="checkbox"/> Yes, please specify 是，請說明:</p> <p>_____</p> <p>_____</p>	<p>Joint Applicant 聯名申請人:</p> <p><input type="checkbox"/> No 否</p> <p><input type="checkbox"/> Yes, please specify 是，請說明:</p> <p>_____</p> <p>_____</p>
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2) Is the Client an employee/representative or a relative of any employee/representative of New Horizon International Securities Co., Limited or its group company?  
客戶是否是新宏域國際證券有限公司及其附屬公司之職員/代表，或與職員/代表有親屬關係？

<p>Sole/Primary Applicant 單獨/主要申請人:</p>	<p>Joint Applicant 聯名申請人:</p>
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<input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify 是, 請說明:  	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify 是, 請說明:  
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3) Is the Client and/or your spouse, partners, children or parents a Politically Exposed Persons ("PEP")? (Note: PEP refers to a person entrusted with a prominent public function including the head of state, head of government, senior politician, senior executive of a state-owned corporation and an important political party official, which is more specifically defined under Anti-Money Laundering and Counter-Terrorist Financing (Financial Institutions) Ordinance (Cap. 615 of the Laws of Hong Kong). )

客戶及/或其配偶、伴侶、子女或父母是否屬[政治人物]一類人士?

(備註: 政治人物是指受託行使具有重要公共職能的人士, 包括國家元首、政府首長、資深從政者、國有企業的高級管理人員和重要的政黨幹事, 更詳細定義請見《打擊洗錢及恐怖分子資金籌集(金融機構)條例》(香港法例第615章)。)

<p>Sole/Primary Applicant 單獨/主要申請人:</p> <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify 是, 請說明: <p>Name of PEP &amp; relationship with the Client: 政治人物姓名及與客戶之關係</p> <p>Place and public function entrusted with and Term of the public function: 擔任公職的地方、擔任的公職及擔任的公職的年期:</p>	<p>Joint Applicant 聯名申請人:</p> <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify 是, 請說明: <p>Name of PEP &amp; relationship with the Client: 政治人物姓名及與客戶之關係</p> <p>Place and public function entrusted with and Term of the public function: 擔任公職的地方、擔任的公職及擔任的公職的年期:</p>
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**B. Client's Declaration, Confirmation and Agreement 客戶聲明、確認及協議**

- 1 The Client agrees to open accounts listed in Part 1 herein ("Account") with the Company, and is bound by the Account Opening Form, the relevant Sections of the "Terms and Conditions for Trading Account" and all the provisions of the rules and guidelines promulgated by the Company from time to time (collectively referred to as "All Those Terms"). The Client has already been advised by the Company to seek independent legal advice for All Those Terms. The Client agrees that the Company can request the Client to sign any documents as required under the above said terms and conditions.

Before opening the Account with the Company, the Client has fully read and understood the contents of All Those Terms and the Client agrees, accepts and confirms all its provisions and agrees and accepts to be bound by All Those Terms, and the Client agrees, accepts and confirms all its provisions and agrees and accepts to be bound by All Those Terms.

客戶同意遵守賬戶開戶表格、《交易賬戶條款及條件》之相關章數的所有條款及條件及其他由本公司不時發出之守則及指引內之所有條款及條件(統稱"該等條款")開立此賬戶開戶表格第1部分所列出的賬戶("賬戶").本公司已經建議客戶對上述之該等條款尋求獨立法律意見。客戶同意本公司有權要求客戶簽署相關文件就上述有關條款的要求。

客戶於開立賬戶前已經細閱及完全明白所有該等條款之內容, 客戶並同意、接受及確認該等條款內所有條款及條件, 並同意及接納該等條款的約束。

- 2 The Client declares and confirms that all the information provided in this Account Opening Form is true, complete and correct and authorizes the Company to confirm this from any source. The Client undertakes that the Client shall immediately inform the Company of any change to the information provided for account opening.

客戶聲稱, 所有填寫於本賬戶開戶表格的資料均屬真實、完全及正確, 並授權本公司可向任何方面查證。客戶承諾, 如客戶提供給本公司用於開戶的資料有任何的更改, 必須立即通知本公司有關所有提供資料之變更。

- 3 The Client acknowledges and confirms that the following Licensed Person has already explained the Risk Disclosure Statements as set out in the "Terms and Conditions for Trading Account" in a language of the Client's choice. The Client hereby fully understood and accepted all the aforesaid contents and provisions and has also already sought independent legal advice (if the Client wishes). 本公司已根據客戶所選擇的語言向其提供及解釋《交易賬戶條款及條件》內的風險披露聲明。客戶已完全明白及接受所有內容和細則, 並已尋求獨立法律意見(如客戶有此意願)。
- 4 The Client acknowledges and confirms to trade derivative products with and through the Company unless otherwise tick the box below. The Client confirms and accepts the explanation of risks in trading different derivative products provided by the Company. The Client clearly understands the risks that may be caused by trading these derivative products and agrees to bear such risks, as well as to take responsibilities involved.

除非客戶在下面方格內勾選, 否則客戶同意與或通過本公司進行衍生產品買賣交易。客戶現確認接受本公司就各類衍生產品之交易作出之風險解釋, 客戶清楚明白交易此類衍生產品所帶來的風險, 並同意承擔風險及責任。

- ☐ I/We (the Client) will NOT trade derivative products with and through New Horizon International Securities Co., Limited. However, if I/we (the Client) starts trading derivative products with and through New Horizon International Securities Co., Limited, I/we (the Client) acknowledges and accepts the risks that may be caused by trading these derivative products and agrees to bear such risks, as well as to take responsibilities involved.  
本人/吾等(客戶)不會在新宏域國際證券有限公司進行衍生產品買賣交易。如本人/吾等(客戶)日後決定通過新宏域國際證券有限公司進行衍生產品買賣交易，即代表本人/吾等(客戶)知悉及接受交易此類衍生產品所帶來的風險，並同意承擔風險及責任。

- 5 The Client is hereby informed that the Company intends to use and transfer within the group of companies the Client's personal data for the direct marketing of: (i) financial services and investment products; (ii) related promotional schemes; (iii) financial and investment advices; or (iv) promotional and marketing events of the Company for the aforesaid services or products. Such personal data includes the Client's name, contact details, financial background and statistical data which are provided to the Company under this Account Opening Form or obtained by the Company from time to time. The Client understands that the Client may, at any time, require the Company to cease to use or transfer within the group of companies the Client's personal data for direct marketing through such channel prescribed by the Company.

客戶現獲告知本公司擬使用及在本集團公司之間轉移客戶於本公司之個人資料以作直接促銷用途：(i)金融服務和投資產品；(ii)相關優惠計劃；(iii)金融與投資建議；或(iv)本公司就前述產品及服務之業務推廣和宣傳活動。該等個人資料包括客戶在本賬戶開戶表格中向本公司提供的及本公司不時獲得的姓名、聯絡詳情、財務背景及統計資料等個人資料。客戶明白客戶可以隨時通過本公司指定的渠道要求本公司停止在直接促銷中使用客戶的個人資料。

- ☐ I/We (the Client) objects to the aforesaid use of my/our (the Client's) personal data in New Horizon International Securities Co., Limited.  
本人/吾等(客戶)反對新宏域國際證券有限公司如上述情況使用本公司(客戶)之個人資料。
- ☐ I/We (the Client) objects to the aforesaid transfer of my/our (the Client's) personal data within the group of New Horizon International Securities Co., Limited.  
本人/吾等(客戶)反對如上述情況將在新宏域國際證券有限公司內轉移本人/吾等(客戶)之資料。
- ☐ I/We (the Client) objects to the use of my/our (the Client's) personal data by New Horizon International Securities Co., Limited in direct marketing.  
本人/吾等(客戶)反對新宏域國際證券有限公司使用本人/吾等(客戶)的個人資料作直接促銷用途。

- 6 If the Client has appointed or will appoint authorized traders, the Client will ensure that they understand the Client's financial situation, and are competent and suitably qualified (having regard to their investment knowledge and experience):

如果客戶已經委任或將委任授權交易人，客戶會確保他們了解客戶的財務狀況，並且勝任及有合適資格(考慮到他們的投資知識及經驗)：

- 1) For the Client's investment objectives, strategies and processes;  
為客戶的投資目標、策略及流程；
- 2) to operate the Client's account(s) with the Company; and  
操作客戶在本公司的戶口；和
- 3) to communicate with the Company for any suitability assessment and explanation of any products or services.  
與本公司對任何產品或服務的適當性評估及解釋進行溝通。

- 7 The Client acknowledges and agrees 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 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).

客戶知悉及同意，財務機構可根據《稅務條例》(第112章)有關交換財務賬戶資料的法律條文，(a)收集本表格所載資料並可備存作自動交換財務賬戶資料用途，及(b)把該等資料和關於賬戶持有人及任何須申報賬戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到賬戶持有人的居留司法管轄區的稅務當局。

- 8 The Client undertakes to advise New Horizon International Securities Co., Limited of any change in circumstances which affects the tax residency status of the individual identified in Part 10 of this Account Opening Form or causes the information contained herein to become incorrect, and to provide New Horizon International Securities Co., Limited with an updated self-certification form within 30 days of such change in circumstances.

客戶承諾，如情況有所改變，以致影響本表格第10部分所述的個人的稅務居民身份，或引致本賬戶開戶表格所載資料不正確，客戶會通知新宏域國際證券有限公司，並會在情況發生改變後30天內，向新宏域國際證券有限公司提交一份已更新的自我證明表格。

**Confirmed, agreed and signed by 茲確認、同意並簽署**

**(If joint account, each Joint Applicant is required to sign in the box below 如屬聯名賬戶，各聯名賬戶持有人須於以下方格內簽署)**


Signature of Sole/Primary Applicant  
單獨/主要申請人簽署

Full Name  
全名(正楷)

Date  
日期

dd 日 mm 月 yyyy 年



Signature of Joint Applicant (if applicable) 聯名申請人簽署(如適用)  	Full Name 全名(正楷)
	Date 日期                      dd 日                      mm 月                      yyyy年

\*Client signature style will be used for certifying any written instructions on the operation of the account.


上述客戶簽名式樣將被用作核證任何就賬戶運作之書面提示。

### 11. Certification 核證

\*To be completed by Representative of the Company or Professional 由本公司代表或專業人士填寫

I hereby certify that on the date written in the Part 10, this Form was executed by Applicant named in this Form (who had been previously identified by the production of the original of his/her Identity Card or Passport to me) in my presence.

本人現證實：在此表格第10部分所寫的日期當日，此表格乃由此表格所指明的申請人(其身份已根據其向本人出示的身份證或護照正本作核實)於本人面前簽訂。

Signature of Witness 見證人簽署  	Full Name 見證人全名(正楷)
	Profession/Title: 見證人所屬專業*/頭銜
	Employer Name: 見證人之僱主名稱:
	Staff Code: 見證人之工號:
	Date 日期                      dd 日                      mm 月                      yyyy年

\*Professional: Notary Public/Practising Lawyer/Certified Public Accountant (Practising)/Justice of the Peace


公證人/執業律師/執業會計師/太平紳士

### 12. Risk Disclosure Statements & Acknowledgement 風險披露聲明及確認

Declaration by Licensed Person (To be completed by the Company) 持牌人員聲明 (由本公司填寫)

The undersigned licensed person of the Company confirms that the Client has been provided the Risk Disclosure Statements in a language of the Client's choice and has invited the Client to read the same, ask questions and take independent advice (if the Client wishes).

下列簽署之持牌人員確認已按照客戶選擇的語言提供風險披露聲明，並邀請客戶閱讀該等風險披露聲明、提出問題及徵求獨立意見(如客戶有此意願)。

Signature of the licensed person: 本公司持牌人士簽名:	Name 姓名:
	CE No 中央編號:
	Job title 職位:
	Date 日期: