



矩阵证券有限公司(即「本公司」)获香港证券及期货事务监察委员会发牌(中央编号为ABS418)按证券及期货条例经营第一类(证券交易)受规管活动。此外,本公司为香港联合交易所有限公司参与者,亦为香港中央结算有限公司参与者。

Matrix 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。阁下(即「客户」)应仔细阅读并充份理解本协议之内容包括开户申请表与条款及条件(连同所有附表)有关于本公司开立及持有一个或多个之交易帐户(即「帐户」)。客户在签署本开户申请表前,如有所需,应先寻求独立法律或其他专业意见。倘若本开户申请表的中英文版本有任何歧异,一概以英文版本为准。

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.

重要部份必须由客户填写及签署 Important parts should be filled and signed by Client.

开户申请表 ACCOUNT OPENING APPLICATION

(个人/联名帐户 INDIVIDUAL / JOINT ACCOUNT)

客户种类 Account Type	香港证券现金账户 HK Securities Cash Account	帐户号码: Account No:	
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帐户类型 Account Nature	个人帐户 Individual Account	联名帐户 Joint Account	落盘方式 Method of Placing Order	电话 By Telephone (Manual)	网上 By Internet
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1. 个人资料 Personal Information

个人/联名帐户主要持有人 Individual/Primary Joint Account Holder		联名帐户第二持有人 Secondary Joint Account Holder	
中文姓名 先生 / 女士		中文姓名 先生 / 女士	
English Name Surname First	Mr / Ms	English Name Surname First	Mr / Ms
住宅地址 Residential Address		住宅地址 Residential Address	
	邮政编号 Postal Code		邮政编号 Postal Code
身份证号码 / 护照号码 ID Card No. / Passport No.		身份证号码 / 护照号码 ID Card No. / Passport No.	
签发地点 Place of Issue		签发地点 Place of Issue	
出生日期 (日/月/年) Date of birth (DD/MM/YY)		出生日期 (日/月/年) Date of birth (DD/MM/YY)	
电子邮箱 E-mail		电子邮箱 E-mail	
住宅电话/流动电话 Home Tel No. / Mobile No.	(+)	住宅电话/流动电话 Home Tel No. / Mobile No.	(+)
出生地点 Country of Birth		出生地点 Country of Birth	
国籍/公民身份 Nationality / Citizenship		国籍/公民身份 Nationality / Citizenship	
学历程度 Education Level	小学 Primary 中学 Secondary 大专 College 大学 University	学历程度 Education Level	小学 Primary 中学 Secondary 大专 College 大学 University
报税地区 (如内地/香港): Country of Tax Residence (e.g. China / Hong Kong)	<input type="checkbox"/> 香港 Hong Kong <input type="checkbox"/> 内地 China (Mainland) <input type="checkbox"/> 其他 Other	报税地区 (如内地/香港): Country of Tax Residence (e.g. China / Hong Kong)	<input type="checkbox"/> 香港 Hong Kong <input type="checkbox"/> 内地 China (Mainland) <input type="checkbox"/> 其他 Other
如阁下的报税地区并非内地或香港,请列明阁下的(1)报税地区,及(2)税务编号或同等编号: If the country of tax residence is neither Mainland China nor Hong Kong, please state your (1) Tax Residence, and (2) Taxpayer Identification Number or equivalent number (TIN)	(1) 报税地区 Tax Residence _____ (2) 税务编号或同等编号 Taxpayer Identification Number or equivalent number (TIN) _____ (* 没有税务编号(请参考第7页《注意事项》)) TIN not available due to (please see p.7):	如阁下的报税地区并非内地或香港,请列明阁下的(1)报税地区,及(2)税务编号或同等编号: If the country of tax residence is neither Mainland China nor Hong Kong, please state your (1) Tax Residence, and (2) Taxpayer Identification Number or equivalent number (TIN)	(1) 报税地区 Tax Residence _____ (2) 税务编号或同等编号 Taxpayer Identification Number or equivalent number (TIN) _____ (* 没有税务编号(请参考第7页《注意事项》)) TIN not available due to (please see p.7):

银行资料 Bank Reference

此户口将用作交收银行户口，而本公司发出之支票将依据以下之户口名称。
This account will be used as the settlement bank account and the cheque issued by the Company will be accorded to the account name below.

银行帐户纪录（只供存款用途）BANK ACCOUNT RECORD (For fund deposit only)

除客户另行指示外，客户的款项将会被转入下列银行帐户：

Unless otherwise to be instructed by you, all monies payable to you are to be credited to the following bank account:

指定银行： Designated Bank：	银行名称： Name of Bank：	帐户号码： Account No.：	帐户名称： Account Name：
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Method of Communication 通讯方法

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

* 邮递 By Mail：住宅位址 Residential address

* 须缴交行政费: 每年港币一百元

办公室位址 Office address

* Administrative Fee : HKD100 per annum

其他 Others : _____

(请注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)

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

无论客户选择以邮递或电子邮件作为通讯方法，矩阵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 Matrix Securities Limited reserve the rights, at their sole discretion to change or modify the method of communication to the Client that Matrix Securities Limited deemed appropriate at any time.

2. 工作状况 Employment Status

主要户口持有人 Primary Joint Account Holder		第二户口持有人 Secondary Joint Account Holder	
行业 Occupation		行业 Occupation	
职位 Job Title		职位 Job Title	
雇主名称 Name of employer		雇主名称 Name of employer	
受雇年期 Years with employer		受雇年期 Years with employer	
办公室电话 Office No.		办公室电话 Office No.	
办公室地址 Office Address		办公室地址 Office Address	
	邮政编号 Postal Code		邮政编号 Postal Code

3.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
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投资经验 (可选多于一项) Investment Experience (Can choose more than one)	
证券交易 Securities Trading	<input type="checkbox"/> 没有 No / <input type="checkbox"/> 有 Yes () 年 year(s)
股票期权交易 Stock Options	<input type="checkbox"/> 没有 No / <input type="checkbox"/> 有 Yes () 年 year(s)
期货/期权交易 Futures/Options Trading	<input type="checkbox"/> 没有 No / <input type="checkbox"/> 有 Yes () 年 year(s)
外汇/商品期货交易 Forex/Commodity Futures Trading	<input type="checkbox"/> 没有 No / <input type="checkbox"/> 有 Yes () 年 year(s)
贵金属交易 Bullion Trading	<input type="checkbox"/> 没有 No / <input type="checkbox"/> 有 Yes () 年 year(s)
房地产/物业投资 Real Estate/Property Investment	<input type="checkbox"/> 没有 No / <input type="checkbox"/> 有 Yes () 年 year(s)
衍生权证交易 Derivative Warrants	<input type="checkbox"/> 没有 No / <input type="checkbox"/> 有 Yes () 年 year(s)
牛熊证交易 Callable Bull/Bear Contracts	<input type="checkbox"/> 没有 No / <input type="checkbox"/> 有 Yes () 年 year(s)
交易所买卖基金交易 Exchange Traded Funds	<input type="checkbox"/> 没有 No / <input type="checkbox"/> 有 Yes () 年 year(s)
股票挂钩票据交易 Equity Linked Instruments	<input type="checkbox"/> 没有 No / <input type="checkbox"/> 有 Yes () 年 year(s)
互惠基金/单位信托基金 Mutual Funds/Unit Trust	<input type="checkbox"/> 没有 No / <input type="checkbox"/> 有 Yes () 年 year(s)
固定收益证券 (例如债券) Fixed Income Securities (e.g. Bonds)	<input type="checkbox"/> 没有 No / <input type="checkbox"/> 有 Yes () 年 year(s)

对衍生产品之认识问 Derivative Products Knowledge Questionnaire	本人对衍生产品的性质和风险之认识为: I understand the nature and risks of derivative products due to :
	1. 已接受有关的培训或修读相关课程。 Underwent relevant training or attended courses on derivative products; and/or 2. 拥有与衍生产品有关的工作经验。 Gained prior relevant work experience in financial institution(s); and/or 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) Executed five or more transactions in derivative products (whether traded on an exchange or not) within the past three years.
请按右方描述, 在合适方格中加上√: Please select as appropriate:	<input type="checkbox"/> 本人(等)(客户)有上述一个或以上的经验。 I/We (the Client) have the above experience and/or knowledge on derivative product(s). 本人(等)(客户)没有上述经验, 但已细阅、同意及明白所有关于衍生产品的风险声明, 本人(等)(客户)明白于买卖有关衍生产品前必须先具备足够的认识, 并愿意接受一切有关的风险。 I/We (the Client) do not have the above experience and/or knowledge on derivative product(s), but I/we (the Client) confirm that I/we (the Client) fully read, agreed and understood the relevant risks of the derivative product(s). I/We (the Client) understand that I/we (the Client) have to acquire enough understanding on derivative product(s) before trading them and fully accept all relevant risks.
	<input type="checkbox"/> 本人(等)(客户)不会买任何衍生产品。 Client DOES NOT WISH to trade any derivative products.

4. 财务状况 Financial Profile

主要户口持有人 Primary Joint Account Holder		第二户口持有人 Secondary Joint Account Holder	
资产净值 (港币) Net Assets (HKD)	<input type="checkbox"/> < HKD 100,000 <input type="checkbox"/> HKD100,000 - HKD500,000 <input type="checkbox"/> HKD500,001 - HKD1,000,000 <input type="checkbox"/> HKD1,000,001 - HKD5,000,000 <input type="checkbox"/> HKD5,000,001 - HKD10,000,000 <input type="checkbox"/> Other: HKD _____	资产净值 (港币) Net Assets (HKD)	<input type="checkbox"/> < HKD 100,000 <input type="checkbox"/> HKD100,000 - HKD500,000 <input type="checkbox"/> HKD500,001 - HKD1,000,000 <input type="checkbox"/> HKD1,000,001 - HKD5,000,000 <input type="checkbox"/> HKD5,000,001 - HKD10,000,000 <input type="checkbox"/> Other: HKD _____
年薪 (港币) Annual Income (HKD)	<input type="checkbox"/> < HKD120,000 (I1) <input type="checkbox"/> HKD120,001 - HKD360,000 (I2) <input type="checkbox"/> HKD360,001 - HKD600,000 (I3) <input type="checkbox"/> HKD600,001 - HKD1,200,000 (I4) <input type="checkbox"/> > HKD1,200,000 (I5)	年薪 (港币) Annual Income (HKD)	<input type="checkbox"/> < HKD120,000 (I1) <input type="checkbox"/> HKD120,001 - HKD360,000 (I2) <input type="checkbox"/> HKD360,001 - HKD600,000 (I3) <input type="checkbox"/> HKD600,001 - HKD1,200,000 (I4) <input type="checkbox"/> > HKD1,200,000 (I5)
资金来源： Source of Funds	<input type="checkbox"/> 薪金储蓄 Saving from Salary <input type="checkbox"/> 家庭 Family <input type="checkbox"/> 营业溢利 Trading Profits <input type="checkbox"/> 租金收入 Rental Income <input type="checkbox"/> 贷款 Loans <input type="checkbox"/> 其他 Others (Please Specify) : _____	资金来源： Source of Funds	<input type="checkbox"/> 薪金储蓄 Saving from Salary <input type="checkbox"/> 家庭 Family <input type="checkbox"/> 营业溢利 Trading Profits <input type="checkbox"/> 租金收入 Rental Income <input type="checkbox"/> 贷款 Loans <input type="checkbox"/> 其他 Others (Please Specify) : _____
住屋业权 Ownership of Residence	<input type="checkbox"/> 拥有 Owned <input type="checkbox"/> 已抵押 Mortgaged <input type="checkbox"/> 没有抵押 Not Mortgaged <input type="checkbox"/> 租住 Rented <input type="checkbox"/> 与家人同住 Living with Family	住屋业权 Ownership of Residence	<input type="checkbox"/> 拥有 Owned <input type="checkbox"/> 已抵押 Mortgaged <input type="checkbox"/> 没有抵押 Not Mortgaged <input type="checkbox"/> 租住 Rented <input type="checkbox"/> 与家人同住 Living with Family

5. 帐户授权书 ACCOUNT MANDATE

阁下/联名户主要/第二持有人 (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 Primary / Secondary Account Holder (if applicable) 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")

只适用于联名户 FOR JOINT ACCOUNT ONLY

阁下之联名户持有人可按照下列权限发出指示予本公司以运作阁下之帐户 (*请删去不适用者) :
 The Joint Account Holders of the Client have been authorized to issue the instructions to the Company subject to the following mandate for operation of the Account(s) (*Delete where not applicable) :

权限 Extent of Authority	指示种类 Type of Instructions	
(请选择以下一项) (Please choose one below)	买卖指示 Trading Instructions	其他指示 (如: 提取现金及/或转账) Other Instructions (e.g. fund withdrawal and / or transfer)
单独发出 Issued singly by	<input type="checkbox"/> 主要联名户持有人 Primary Account Holder <input type="checkbox"/> 第二联名户持有人 Secondary Account Holder	<input type="checkbox"/> 主要联名户持有人 Primary Account Holder <input type="checkbox"/> 第二联名户持有人 Secondary Account Holder
联合发出 Issued jointly by	不适用 N/A	任何 _____ 位联名户持有人 Any _____ of the joint account holders

6. 客户声明 (Declaration by Customer)

<p>1. 你(及/或联名帐户第二持有人)是否此帐户的最终实益拥有人? (即你是否为本身而非第三者运作此帐户?) 如否·帐户的最终实益拥有人是: Are you (and/or the Secondary Joint Account Holder) the ultimate beneficial owner(s) in relation to the Account? (i.e. Are you acting for your own account and not for a third party?) If no, details of the ultimate beneficial owner(s) is/are: -</p> <p>名称 _____ 身份证/护照号码 _____ Name: _____ ID/Passport No. _____ 地址 _____ Address: _____</p>	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
<p>2. 你(及/或联名帐户第二持有人)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? 如是·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 (and/or the Secondary Joint Account Holder) 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>	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
<p>3. 你(及/或联名帐户第二持有人)是否与矩阵证券有限公司("矩阵证券")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 (and/or the Secondary Joint Account Holder) a relative of an employee or agent of Matrix Securities or its Associates? If yes, the name of employee/agent :-</p> <p>_____</p>	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 双亲 Parent <input type="checkbox"/> 配偶 Spouse <input type="checkbox"/> 兄弟姐妹 Sibling <input type="checkbox"/> 孩子 Child <input type="checkbox"/> 其他 Other <input type="checkbox"/> 否 No
<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 Matrix Securities Limited?</p>	<input type="checkbox"/> 是 Yes (Please specify) _____ <input type="checkbox"/> 否 No
<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>	<input type="checkbox"/> 是 Yes (Please specify) _____ <input type="checkbox"/> 否 No
<p>6. 你(及/或联名帐户第二持有人)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·美国人户口需要特别审批。) Are you (and/or the Secondary Joint Account Holder) citizens or residents of the USA for tax purposes? (Note: Due to US tax reporting requirements, US persons' accounts require special approval.)</p>	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No

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

1. 风险披露声明 Risk Disclosure Statement

客户确认矩阵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。客户进一步确认矩阵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 Schedule2 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.

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。客户将会通知矩阵证券有关资料的任何重要改变。矩阵证券可联络任何人，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 Matrix Securities of any material change of that information. Matrix 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/我们开立现金账户。我/我们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/us. I/We 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/我们同意矩阵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/We consent to Matrix 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 :



*联名帐户第二持有人签署

Secondary Joint Account Holder's Signature :

日期 Date :

日期 Date :

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

本人谨此见证上述客户签订此开户申请表（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

姓名

Name:

所属专业及职衔

Profession/Title:

日期

Date:

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定附表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.

+

8. 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矩阵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 7。
This Form should be completed and signed by all account holders in front of an employee or agent of Matrix Securities or its Associates. Otherwise, please see Note 7 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. 如未能提供税务编号，请从下列理由中选填一项：
If you do not have a TIN, please choose ONE among the three reasons below:
理由 A - 当地政府不设税务编号
The Government does not issue TINs to its residents.
理由 B - 本人不能取得税务编号 (请提供原因及有关证明)。
Unable to obtain a TIN, please explain and provide proof accordingly.
理由 C - 本人获当地政府豁免披露税务编号。
The government does not require the TIN to be disclosed.
5. 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 monies payable to the account holder will be credited to the designated bank account nominated on this Form, unless otherwise instructed.
6. 矩阵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.
7. 如资料表并非在矩阵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 Matrix Securities or its Associates, the account holders should comply with either one of the following procedural requirements：
(i) 交给矩阵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“矩阵证券有限公司”。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 “Matrix 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
(ii) 由其他持牌人或注册人矩阵证券的联系人士、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 Matrix 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.