



**Account Opening Form (Asset Management)**  
**開戶申請表 (資產管理)**

<b>1. Type of Account 賬戶種類</b>	
Individual Account 個人賬戶 <input type="checkbox"/>	Joint Account 聯名賬戶 <input type="checkbox"/>
<b>**Joint Account Secondary Holder fill in "Secondary Account Holder Supplementary Form. 聯名賬戶第二持有人填寫"第二持有人附加表格。"</b>	
Hao Tian Asset Management Limited (called 'Hao Tian')	
昊天資產管理有限公司 (「昊天」)	
CE No. BHP076	
Asset Management Account 資產管理賬戶	
Account no. 賬戶號碼:	_____

<b>2. Personal Information 個人資料</b>			
<b>Individual/ Joint Account Primary Account Holder</b>			
<b>個人/聯名賬戶主要持有人</b>			
Client Name 客戶姓名	(中文) (English)	Date of Birth 出生日期	(dd日)/(mm月)/(yyyy年)
Gender 性別	<input type="checkbox"/> M 男 <input type="checkbox"/> F 女	Place of Birth 出生地	
Nationality 國籍		Marital Status 婚姻狀況	<input type="checkbox"/> Married 已婚 <input type="checkbox"/> Single 未婚
Identification Type 身份證件類別	<input type="checkbox"/> Passport 護照 <input type="checkbox"/> Permit Entry 通行証 <input type="checkbox"/> Visa 簽證 <input type="checkbox"/> Others 其他:	HK ID No. 香港身分證	Identification No. 身份證件號碼
Telephone No. 電話號碼	(Mobile 手提) (Home 住宅)	E-mail 電郵	Fax No. 傳真
Residential Address 居住地址			
Duration of Residence 居住年期		Correspondence Address 通訊地址	
Education Level 教育水平	<input type="checkbox"/> Primary Education or below 小學程度或以下 <input type="checkbox"/> Postgraduate Education or above 碩士程度或以上	<input type="checkbox"/> Secondary Education 中學程度	<input type="checkbox"/> University Education 大學程度
Employment Status 就業狀況	<input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Others 其他:	Employer 僱主	
		Business Nature 業務性質	
		Position 職位:	
		Company Contact 公司電話	
Business /Office Address 工作/營業地址			

3. Financial Statuses 財務狀況	
Source of funds 資金來源	<input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Saving 儲蓄 <input type="checkbox"/> Business Profit 營業溢利 <input type="checkbox"/> Inheritance 遺產 <input type="checkbox"/> Investment 投資 <input type="checkbox"/> Rental Income 租金收入 <input type="checkbox"/> Others 其他:
Total Annual Income 年收入 (HK\$)	<input type="checkbox"/> Under 少於 200,000 <input type="checkbox"/> 200,000-500,000 <input type="checkbox"/> 500,000-1,000,000 <input type="checkbox"/> 1,000,000-5,000,000 <input type="checkbox"/> 5,000,000-10,000,000 <input type="checkbox"/> Over 超過 10,000,000
Net Worth 資產淨值 (Asset minus Liabilities 資產減去負債) (HK\$)	<input type="checkbox"/> Under 少於 200,000 <input type="checkbox"/> 200,000-500,000 <input type="checkbox"/> 500,000-1,000,000 <input type="checkbox"/> 1,000,000-5,000,000 <input type="checkbox"/> 5,000,000-10,000,000 <input type="checkbox"/> Over 超過 10,000,000
Have you ever Declared Bankruptcy? 閣下曾否宣佈破產?	
<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是, provide the discharged Date and the proof of discharged documents. 請提供解除破產日期和撤銷破產的證明文件 *Please note that if you still have a status of bankruptcy, Hao Tian will not accept your account application. *請注意, 若現在仍為破產狀態, 本公司將不能接受閣下的開戶申請	
Does you be registered with the Securities and Futures Commission in Hong Kong? 閣下是否於香港證券及期貨監察委員會註冊?	
<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是, enclose your employer's consent letter 附上僱主的同意書	

4. Investor Characterization 投資者分類	
Do you have adequate knowledge on derivative products? 閣下是否對衍生產品有認識?	
<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是	
If you have the knowledge on derivative products, please answer the following 若閣下對衍生產品有認識, 請回答以下問題: (If yes, please specify 如是, 請說明)	
a. Have you ever undergone training or attended courses on derivate products with general knowledge of the nature and risks of derivatives? 閣下是否曾接受有關衍生產品性質和風險的一般知識培訓或修讀相關課程?	
<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是, please select 請選擇:	
<input type="checkbox"/> Regulatory Authority 監管機構	<input type="checkbox"/> Education Institution 教育機構
<input type="checkbox"/> Exchange 交易所	<input type="checkbox"/> Financial Institution 金融機構
<input type="checkbox"/> Tertiary School 大專院校	<input type="checkbox"/> Online Materials 網上資源
<input type="checkbox"/> Others 其他	<input type="checkbox"/> Seminar 講座
b. Do you have current or previous work experience related to derivative products? 閣下是否現時或之前從事衍生產品的行業?	
<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是	
<input type="checkbox"/> Brokerages 證券機構	<input type="checkbox"/> Asset Management Company 資產管理機構
<input type="checkbox"/> Banks 銀行	<input type="checkbox"/> Fund Houses 基金公司
<input type="checkbox"/> Exchanges 交易所	<input type="checkbox"/> Regulatory Authority 監管機構
<input type="checkbox"/> Others 其他	<input type="checkbox"/> Financial Media 財經媒體
c. Do you have any trading experience related to derivative product(s)? 閣下是否有買賣衍生產品?	
<input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是	
<input type="checkbox"/> Callable Bull/Bear Contracts 牛熊證	<input type="checkbox"/> Equity Linked Instruments 股票掛鈎票據
<input type="checkbox"/> Warrants 窩輪	<input type="checkbox"/> Future & Options Contracts 期貨或期權合約
<input type="checkbox"/> Synthetic ETFs 合成交易所買賣基金	<input type="checkbox"/> Leveraged Foreign Exchange 槓桿外匯
<input type="checkbox"/> Others (please specify) 其他(請說明)::	

**5. Investment Experience 投資經驗**

<input type="checkbox"/> Stocks, Debentures or Other Securities 股票、債券及其他證券	Experience (Year) 年資
<input type="checkbox"/> Derivative Products 衍生產品, CBBC 牛熊證, Warrant 窩輪	Experience (Year) 年資
<input type="checkbox"/> Futures & Option 期貨/期權	Experience (Year) 年資
<input type="checkbox"/> Stocks Option 期貨/期權	Experience (Year) 年資
<input type="checkbox"/> Unit Trust 單位信託基金	Experience (Year) 年資
<input type="checkbox"/> Leveraged Foreign Exchange 槓桿外匯	Experience (Year) 年資
<input type="checkbox"/> Precious Metals 貴重金屬	Experience (Year) 年資
<input type="checkbox"/> Equity Linked Instruments 股票掛鈎票據	Experience (Year) 年資
<input type="checkbox"/> Others (specify): 其他 (請註明):	

**6. Identity Declaration 身份聲明**

1. I hereby declare that I am the ultimate beneficial owner(s) of the account.

本人現宣佈本人是該戶口最終實際受益擁有人。

Yes 是

No 否 If not, the Beneficial Owner of the following: 如否, 最終實益擁有人如下:

Name 姓名: \_\_\_\_\_

Relationship 關係: \_\_\_\_\_

ID / Passport No. \_\_\_\_\_

Country of Issue \_\_\_\_\_

身份證/護照號碼: \_\_\_\_\_

簽發國家: \_\_\_\_\_

Home Address \_\_\_\_\_

住宅地址: \_\_\_\_\_

Please provide the ultimate beneficial owner's identification document and valid address proof.

請提供最終實際受益擁有人的身份證明文件和有效的地址證明。

2. Are you and/or any of the ultimate beneficial owner(s) of the Account related to any employee or director of Hao Tian or any of its subsidiaries or associated companies?

閣下及/或任何之最終賬戶受益人是否與昊天及其附屬或聯營公司之僱員/董事有任何關係?

No 否

Yes 是 (If yes, please specify 如是, 請說明)

Name of the employee /  
director \_\_\_\_\_

Relationship 關係: \_\_\_\_\_

僱員/董事姓名: \_\_\_\_\_

3. I confirm that I am an employee, agent or consultant of a member of any Hong Kong Exchange / Licensed Dealer or Trader.

本人確應本人是任何香港交易所會員/持牌買賣商之職員或代理人或顧問。

No 否

Yes 是 (If yes, please specify 如是, 請說明)

Category 類別 \_\_\_\_\_

Name of Member/Trader \_\_\_\_\_

會員 / 買賣商名稱

Hong Kong Exchange \_\_\_\_\_

Licensed Dealer/Trader \_\_\_\_\_

香港交易所

持牌買賣商

Registration No. \_\_\_\_\_

Status 身份 \_\_\_\_\_

註冊號碼

4. I confirm that I am a senior officer / director or in control of company listed on any exchange / market.

本人確認本人是在交易所 / 市場上市公司之高級職員 / 董事。

No 否

Yes 是 (If yes, please specify 如是, 請說明)

Company Name \_\_\_\_\_

Position 職位: \_\_\_\_\_

公司名稱: \_\_\_\_\_

Stock No. 上市編號: \_\_\_\_\_

**7. Additional Disclosure 額外披露****Related Margin Financing Account(s) 相關保證金融資賬戶**

1. Does your the spouse maintain a margin financing account with Hao Tian?

閣下的配偶是否持有昊天任何相關保證金融資賬戶?

 No 否 Yes 是 (If yes, please specify 如是, 請說明)

Name of account holder

賬戶持有人姓名

Account No.

賬戶號碼

Account Type.賬戶類別:

 Cash Securities 現金證券 Margin Securities 保證金證券 Futures and Options 期貨及期權 Asset Management 資產管理

2. Does you or jointly with your spouse control 35% or more of the voting rights of another margin financing account with Hao Tian?

閣下及/或其配偶是否單獨或共同控制昊天之其他賬戶 35%或以上之表決權?

 No 否 Yes 是 (If yes, please specify 如是, 請說明)

Name of Related Company

關聯公司名字

Account No.

賬戶號碼

Account Type.賬戶類別:

 Cash Securities 現金證券 Margin Securities 保證金證券 Futures and Options 期貨及期權 Asset Management 資產管理

3. Do you or your member of your group or any company associated with you have an account opened with Hao Tian?

閣下是否有以閣下旗下之公司於昊天已開立賬戶?

 No 否 Yes 是 (If yes, please specify 如是, 請說明)

Name of Related Company

關聯公司名字

Account No.

賬戶號碼

Account Type.賬戶類別:

 Cash Securities 現金證券 Margin Securities 保證金證券 Futures and Options 期貨及期權 Asset Management 資產管理

4. Do you own or your behalf or for your another person(s), body or corporation or in which you have an interest (whether direct or indirect) with Hao Tian or any of its subsidiaries or associated companies, particulars of any and all other accounts (whether individual, joint, corporate, trustee) beneficially held?

閣下或閣下代表他人、公司、是否有直接或間接利益在昊天及其附屬或聯營公司由昊天實益持有、擁有或運作, 其他賬戶詳情(無論個人、聯名、公司、託管)?

 No 否 Yes 是

Account Name

賬戶名稱:

Account No.

賬戶號碼:

Relationship

關係:

Account Name

賬戶名稱:

Account No.

賬戶號碼:

Relationship

關係:

**8. Joint Account 聯名賬戶**

Relationship of Joint Account Holder 聯名持有人之關係:

 Couples 夫妻  Parent 父母  Family 家庭成員  Others 其他, please clarify 請注明: \_\_\_\_\_ Any one account holder is required to provide written or/and oral instruction for settlement arrangement  
只須任何一位持有人以書面及口頭進行交待指示 Both account holders are required to provide written or/and oral instruction for settlement arrangement  
須要所有持有人以書面及口頭進行交待指示

**9. Statement Received and E-Transaction authentication****結單收取及電子交易認證訊息**

Statement Received  By E-mail 電郵 \_\_\_\_\_  
 結單收取  By mail 郵遞 (same as above 同上)

\*\* Paper Statement Service Annual Fee HK\$100. 郵寄結單服務年費 HK\$100。

E-Transaction authentication  By E-mail 電郵 (same as above 同上)

電子交易認證  By SMS 手機短訊

No need 不需要:

I/We understand, E-Transaction authentication can enhance the protection of cyber security. This is declared that, I/We do not need this service and understand the risk of hacking and security breach. 本人明白電子交易認證訊息可加強電子交易安全性。現本人選擇不需要此服務, 並明白賬戶遭受黑客入侵或保安漏洞造成之風險。

**10. Designated Bank Account 指定入賬銀行戶口**

The following bank accounts are hereby designated by the Client as the settlement account for settlement purpose (the "Settlement Account"). The Client hereby instructs and authorizes Hao Tian to deposit any and all moneys and funds payable to the Client into the following bank accounts. Hao Tian agrees to deposit such moneys and funds into the Settlement Account (or pay to the Client through other methods as it may determine appropriate) within such period required under the Applicable Laws or Regulations but Hao Tian shall not be held liable for any loss, expenses or damages suffered by the Client as a result of any delay in depositing such payments caused by any reason.

客戶謹此指定以下的銀行賬戶為其作結算用途的結算賬戶。客戶謹此指示及授權昊天將所有及任何應付予客戶之款項及金錢存入以下銀行賬戶。昊天將在相關法律或規則所規定的時限內把該些款項及金錢存入結算賬戶中(或以其認為合適的其他方式付予客戶), 但昊天不會對基於任何原因而延遲存入款項令客戶蒙受的任何虧損、開支或賠償承擔任何責任。

Bank Name 銀行名稱	A/C No. 銀行賬戶號碼	Account Holder 銀行賬戶名稱	Currency 貨幣	SWIFT Code	Branch and Address 分行和地址
_____	_____	_____*	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____

1. If clients' withdrawal instruction without designated bank account, the payment is deposited into (\*) default bank account.

如客戶提款指示沒有指定其他銀行賬戶, 款項會自動存入(\*)的預設銀行。

2. Hao Tian cannot accept cash deposit and 3rd party deposit.

昊天不接受現金存款和第三者存款。

3. Hao Tian cannot accept 3rd party payment.

昊天不接受第三者付款。

4. If necessary, Hao Tian has the right to ask for any relevant bank supporting from client.

如有需要, 昊天有權向客戶要求出示任何有關之銀行證明。

**11. Use of Personal Information 個人資料之使用**

I/We have understood and agreed that the personal information collected or held by Hao Tian, whether contained in this form or otherwise obtained by the member of the Hao Tian including an affiliated or associated company of a members of the Hao Tian (as applicable), may be used by the member of the Hao Tian (as applicable) for the following voluntary purposes:

本人/吾等亦已明白及同意一切由昊天從本開戶表格或以其他方式獲取而由昊天集團成員的相關聯繫或有關聯公司收集或持有的個人資料, 均可供昊天集團成員使用作以下自願性用途:

(a) to provide marketing materials and conduct direct marketing activities in relation to financial products and services of Hao Tian and/or other financial services providers; and

為昊天及/或其他金融服務供應商的金融產品及服務提供市場推廣資料及進行直接市場推廣活動; 及

to conduct market research and surveys for the Hao Tian' development of service and product.

(b) 就昊天集團成員的服務及產品發展進行市場調查及研究。

Please tick here if I/we do not want Hao Tian to use his/her personal data for the voluntary purposes set out above.

如本人/吾等不欲昊天將客戶的個人資料用於上述自願性用途, 請加上✓號。

**12. U.S. Tax Obligations 美國稅務責任**

I acknowledge that I **do NOT have** any US tax obligations.

本人確認**沒有**任何美國稅務責任。

Please provide the appropriate U.S. IRS Form W-8 if you intend to trade overseas securities.

如閣下擬進行環球證券買賣，請提供適當的美國國家稅務局 W-8 表格。

I hereby consent for Hao Tian to disclose, report or share my personal information with local and overseas regulators or tax authorities where necessary to establish my tax liability in any jurisdiction.

本人同意昊天可向本地及海外監管機構或稅務機關披露、呈交或提供本人的個人資料以確立本人於任何司法管轄區的稅務責任。

I acknowledge and undertake to promptly notify Hao Tian in writing within 30 days of any change on my status on US taxes obligations and to provide further information as Hao Tian may require.

若本人的美國稅務責任狀況有任何更改或昊天要求本人提供額外資料時，本人理解及同意於 30 日內以書面通知昊天及提供有關資料。

I acknowledge that I **have** US tax obligations.

本人確認**有**美國稅務責任。

Please provide U.S. IRS Form W-9.

請提供美國國家稅務局 W-9 表格。

I declare, all information provided from Item 1 to Item 12 in this form that is true, correct and complete.

本人聲明， 本人在本表格內提供的由第 1 項至 12 項所有資料和聲明均屬真實、正確和完備。

Client Signature 客戶簽署

(Individual / Joint Account Primary Holders): (個人 / 聯名賬戶第一持有人)

Client Name 客戶姓名

Date 日期:

### Fee Schedule (Trading Commission) 收費表 (交易佣金)

	On-Line Trading 網上交易	Phone Service 電話服務
Hong Kong Securities 香港證券	% Min Comm.最低	% Min Comm.最低
Shanghai Connect 滬港通	% Min Comm.最低	% Min Comm.最低
Shenzhen Connect 深港通	% Min Comm.最低	% Min Comm.最低
US Stock 美國證券	% Min Comm.最低	% Min Comm.最低
Hong Kong Stock Option 香港股票期權	% Min Comm.最低	% Min Comm.最低

Others 其他

\*\*The above commissions are not included the governmental and the Exchanges (Third Party Authorities) levy and charges.

以上之收費未包括政府及交易所(第三方機構)之徵費。

\*\*All related securities services items' standard fee schedule, please refer to the announcement of Hao Tian official website.

有關證券附屬服務項目之標準收費, 請瀏覽昊天官方網站的公佈。

	現金賬戶 Cash Account	保證金賬戶 Margin Account
Normal Interest Rate 正常信貸利率		
Default Interest Rate 違約金信貸利率		

	On-Line Trading 網上交易	Phone Service 電話服務
<b>Hong Kong Futures and Options 香港期貨及期權</b>		
<b>(Commission <input type="checkbox"/> include / <input type="checkbox"/> DO NOT include all fee charged by Exchanges. 佣金 <input type="checkbox"/> 包括/ <input type="checkbox"/> 不包括全部交易所徵收之費用)</b>		
Hang Seng Index 恒生指數	HK\$ /Contract 張	HK\$ /Contract 張
Mini Hang Seng Index 小型恒生指數	HK\$ /Contract 張	HK\$ /Contract 張
Hang Seng China Index 恒生國企指數	HK\$ /Contract 張	HK\$ /Contract 張
Mini Hang Seng China Index 小型恒生國企指數	HK\$ /Contract 張	HK\$ /Contract 張
USD/CNH 美元兌人民幣	RMB\$ /Contract 張	RMB\$ /Contract 張

#### Global Futures and Options 環球期貨及期權

**(Commission include all fee charged by Exchanges. 以下佣金包括所有交易所徵收之費用)**

London Metal Exchange 倫敦金屬期貨	US\$ /Contract 張	US\$ /Contract 張
CME GROUP Products 芝商所產品 (CME/ CBOT/ COMEX/ NYMEX)	US\$ /Contract 張	US\$ /Contract 張
Singapore Exchange Products 新交所產品	US\$ /Contract 張	US\$ /Contract 張
CME-Bitcoin CME-比特幣	US\$ /Contract 張	US\$ /Contract 張
Others 其他		

\*\*If forced to close position by Dealing department, it will be charged according to phone services

如交易部進行強行平倉, 按電話服務收費計算。

\*\*Hong Kong Futures and Options are based on Hang Seng Index commission in generals, Please refer to the announcement of Hao Tian official website for the details

香港期貨及期權的一般產品以恒生指數合約之佣金收費, 詳情請瀏覽昊天官方網站的公佈。

\*\*Please refer to the announcement of Hao Tian official website about the detail of CME Products and Singapore Products

芝商所及新交所產品之詳情, 請瀏覽昊天官方網站的公佈。

\*\*Because of numerous futures and options products, the commission of special products will be announced separately.

因期貨及期權的產品眾多, 特別產品之收費項目會另行通知。

#### For internal use only

# Unless otherwise specified, commissions shall be charged according to the Fees Schedule which are subject to change from time to time.

#### SALES TEAM

Submitted by:	AE Code:	Signature / Initial:	Date:
Approved by RO:		Signature / Initial:	Date:

\*\*Please note that Hao Tian has the absolute discretion to decide all commission and charges.

昊天對所有佣金及收費有最終決定權。