

For office use only

A/C No : \_\_\_\_\_

AE : \_\_\_\_\_



Yieldful Securities Limited

耀豐證券有限公司

CE No. 證監會中央編號 ALS554

**Account Opening Form**

開戶申請書

(Individual / Joint Account 個人 / 聯名帳戶)



**ACCOUNT OPENING FORM – INDIVIDUAL / JOINT ACCOUNT**  
**開戶申請書 – 個人/聯名帳戶**

Yieldful Securities Limited (SFC CE No. ALS554)  
 耀豐證券有限公司 (證監會中央編號：ALS554)

Unit b, 9/F, Jonsim Place  
 No.228 Queen's Road East, Wan Chai, Hong Kong  
 香港灣仔皇后大道東 228 號中華大廈 9B 室

<u>For office use only</u>	
A/C No	: _____
AE	: _____
Comm Rate:	_____
Interest Rate:	_____
Ref No.:	Yieldful-_____

This form shall be read with Terms and Conditions of the Client Agreement with the same version code.  
 此表格須與客戶協議內的條款及條件(版本編碼與本表格相用)一併閱讀。

Please tick the appropriate box 請在適當空格加✓ *Please delete whichever is inapplicable 請刪去不適用者	Account Opening Date 開戶日期	(fill in by Company 由公司填寫)
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**Account Type 戶口種類**

<input type="checkbox"/> Individual Account 個人戶口	<input type="checkbox"/> Joint Account 聯名戶口
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Company 公司	Account Type 戶口種類	Trading Platform 交易方式
Yieldful Securities Ltd 耀豐證券有限公司 (CE No. 中央編號：ALS554)	<input type="checkbox"/> Cash Securities Account 證券現金帳戶 <input type="checkbox"/> Margin Securities Account 證券保證金帳戶	<input type="checkbox"/> Electronic 電子交易 <input type="checkbox"/> Telephone 電話指示

**Personal Information 個人資料**

Individual/First Account Holder's Personal Data 個人/第一戶口持有人之個人資料	Second Account Holder's Personal Data 第二戶口持有人之個人資料
1 Name of Client 客戶名稱 Mr. 先生/ Miss 小姐/Mrs. 太太/Dr. 博士	Name of Client 客戶名稱 Mr. 先生/ Miss 小姐/Mrs. 太太/Dr. 博士
(English 英文 Surname first 先寫姓氏)	(English 英文 Surname first 先寫姓氏)
(Chinese 中文)	(Chinese 中文)
2 Residential Address (P.O. Box not accepted) 住宅地址 (不接受郵政信箱)	Residential Address (P.O. Box not accepted) 住宅地址 (不接受郵政信箱)
Nature of Occupancy 住宅類型 <input type="checkbox"/> Owned (No Mortgage) 自置 (無按揭) <input type="checkbox"/> With Parents 與父母同住 <input type="checkbox"/> Relative's 親屬樓宇 <input type="checkbox"/> Mortgaged / Monthly Installment 按揭/每月供款 \$ _____ <input type="checkbox"/> Rented / Monthly Installment 租用/每月租金 \$ _____ <input type="checkbox"/> Quarters 宿舍	Nature of Occupancy 住宅類型 <input type="checkbox"/> Owned (No Mortgage) 自置 (無按揭) <input type="checkbox"/> With Parents 與父母同住 <input type="checkbox"/> Relative's 親屬樓宇 <input type="checkbox"/> Mortgaged / Monthly Installment 按揭/每月供款 \$ _____ <input type="checkbox"/> Rented / Monthly Installment 租用/每月租金 \$ _____ <input type="checkbox"/> Quarters 宿舍

<p>3 Correspondence Address (P.O. Box not accepted) 通訊地址 (不接受郵政信箱)</p> <p>(if different from above 如與上址不同)</p> <div style="border: 1px solid black; height: 40px; width: 100%;"></div>	<p>Correspondence Address (P.O. Box not accepted) 通訊地址 (不接受郵政信箱)</p> <p>(if different from above 如與上址不同)</p> <div style="border: 1px solid black; height: 40px; width: 100%;"></div>
<p>4 E-mail Address 電郵地址 (For Individual / First Account Holder Only 只須個人/第一戶口持有人填寫)</p> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	
<p>5 ID Card No/Passport No 身份證/護照號碼</p> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<p>Nationality 國籍</p> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>
<p>6 Date of Birth 出生日期</p> <div style="border: 1px solid black; height: 20px; width: 100%; text-align: center;">(DD/MM/YYYY) (日/月/年)</div>	<p>ID Card No / Passport No 身份證/護照號碼</p> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>
<p>7 Home Telephone No. 住宅電話</p> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<p>Nationality 國籍</p> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>
<p>8 Mobile Phone No. 流動電話</p> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<p>Date of Birth 出生日期</p> <div style="border: 1px solid black; height: 20px; width: 100%; text-align: center;">(DD/MM/YYYY) (日/月/年)</div>
<p>9 Education Level 學歷程度</p> <div style="border: 1px solid black; padding: 2px;"> <input type="checkbox"/> Primary School 小學   <input type="checkbox"/> Secondary School 中學  <input type="checkbox"/> University or above 大學或以上         </div>	<p>Home Telephone No. 住宅電話</p> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>
<p>Relationship with First Account Holder 與第一戶口持有人的關係</p> <div style="border: 1px solid black; padding: 2px;"> <input type="checkbox"/> Immediate Family, please specify              直系親屬 請註明：_____         </div> <div style="border: 1px solid black; padding: 2px;"> <input type="checkbox"/> Relative 親戚                      <input type="checkbox"/> Friends 朋友         </div> <div style="border: 1px solid black; padding: 2px;"> <input type="checkbox"/> Other 其他 _____         </div>	

### Business / Employment Status 業務/工作狀況

<p>1 Name of Employer 僱主名稱</p> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<p>Name of Employer 僱主名稱</p> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>
<p>2 Nature of Business 業務性質</p> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<p>Nature of Business 業務性質</p> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>
<p>3 Occupation / Position 職業/職位</p> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<p>Occupation / Position 職業/職位</p> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>
<p>4 Years in Occupation 從業年期</p> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<p>Years in Occupation 從業年期</p> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>
<p>5 Office Phone No. 公司電話</p> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<p>Office Phone No. 公司電話</p> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>
<p>6 Employment Status 就業情況</p> <div style="border: 1px solid black; padding: 2px;"> <input type="checkbox"/> Self-employed 自僱  <input type="checkbox"/> Full-time employed 全職  <input type="checkbox"/> Part-time employed 兼職  <input type="checkbox"/> Retired 退休  <input type="checkbox"/> Other (Please Specify)              其他(請註明)：_____         </div>	<p>Employment Status 就業情況</p> <div style="border: 1px solid black; padding: 2px;"> <input type="checkbox"/> Self-employed 自僱  <input type="checkbox"/> Full-time employed 全職  <input type="checkbox"/> Part-time employed 兼職  <input type="checkbox"/> Retired 退休  <input type="checkbox"/> Other (Please Specify)              其他(請註明)：_____         </div>
<p>7 Business Address 商業地址</p> <div style="border: 1px solid black; height: 40px; width: 100%;"></div>	<p>Business Address 商業地址</p> <div style="border: 1px solid black; height: 40px; width: 100%;"></div>

### Financial Status 財政狀況

<p>1 Annual Income (HK\$) 年薪(港元)</p> <div style="border: 1px solid black; padding: 2px;"> <input type="checkbox"/> Less than or equal to HK\$200,000 或以下  <input type="checkbox"/> HK\$200,001 - HK\$300,000  <input type="checkbox"/> HK\$300,001 - HK\$500,000  <input type="checkbox"/> HK\$500,001 - HK\$1,000,000  <input type="checkbox"/> Above HK\$1,000,000 以上  <input type="checkbox"/> Other (Please Specify)              其他收入來源：_____         </div>	<p>Annual Income (HK\$) 年薪(港元)</p> <div style="border: 1px solid black; padding: 2px;"> <input type="checkbox"/> Less than or equal to HK\$200,000 或以下  <input type="checkbox"/> HK\$200,001 - HK\$300,000  <input type="checkbox"/> HK\$300,001 - HK\$500,000  <input type="checkbox"/> HK\$500,001 - HK\$1,000,000  <input type="checkbox"/> Above HK\$1,000,000 以上  <input type="checkbox"/> Other (Please Specify)              其他收入來源：_____         </div>
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2 Total net worth (HK\$) 資產淨值(港元)

Less than or equal to HK\$500,000 或以下

HK\$500,001 - HK\$3,000,000

HK\$3,000,001 - HK\$5,000,000

HK\$5,000,001 - HK\$30,000,000

Above HK\$30,000,000 以上

Total net worth (HK\$) 資產淨值(港元)

Less than or equal to HK\$500,000 或以下

HK\$500,001 - HK\$3,000,000

HK\$3,000,001 - HK\$5,000,000

HK\$5,000,001 - HK\$30,000,000

Above HK\$30,000,000 以上

### Investment Experience and Product Knowledge 投資經驗及對產品認識

1 Does the client have the following experience?  
客戶是否有下列經驗?

HK Listed Stocks 香港上市股票

Overseas Listed Stocks 海外上市股票

HK Futures & Options 香港期貨及期權

Overseas Futures & Options 海外期貨及期權

Mutual Funds or Unit Trust 互惠基金或單位信託

None 沒有

Does the client have the following experience?  
客戶是否有下列經驗?

HK Listed Stocks 香港上市股票

Overseas Listed Stocks 海外上市股票

HK Futures & Options 香港期貨及期權

Overseas Futures & Options 海外期貨及期權

Mutual Funds or Unit Trust 互惠基金或單位信託

None 沒有

2 Investment Objectives 投資目標：

Capital appreciation 資本增值

Dividend yield 股息回報

Hedging 對沖

Long-term investment 長線投資

Short-term trading 短線買賣

Others (Please specify) 其他(請說明)

\_\_\_\_\_

Investment Objectives 投資目標：

Capital appreciation 資本增值

Dividend yield 股息回報

Hedging 對沖

Long-term investment 長線投資

Short-term trading 短線買賣

Others (Please specify) 其他(請說明)

\_\_\_\_\_

3 Years of Experience in Securities Investment  
證券投資經驗：

Nil 沒有

1-3 years 一至三年

3-5 years 三至五年

5-10 years 五至十年

Over 10 years 超過十年

Years of Experience in Securities Investment  
證券投資經驗：

Nil 沒有

1-3 years 一至三年

3-5 years 三至五年

5-10 years 五至十年

Over 10 years 超過十年

4 Derivative Products Knowledge 對衍生產品的認識：

a) Have you ever attended any courses or seminars on structured or derivative product(s)?  
你曾否接受有關結構性或衍生產品的培訓或修讀相關課程?

No 否  Yes 是，  
If yes, please state the name of the courses / seminars :  
如是，請提供培訓或修讀課程之名稱：  
\_\_\_\_\_

and the date you took the courses / seminars :  
及培訓或修讀課程之日期：  
\_\_\_\_\_

b) Has any of your previous trading experience ever been related to structured or derivative product(s)?  
你以往會否有買賣結構性或衍生產品的經驗?

No 否  Yes 是，

If yes, please state the structured or derivative product(s) you traded :  
如是，請提供有關的產品名稱：

Exchange Traded Convertible Bonds  
交易所買賣換股債券

Derivative Warrants 衍生認股證

Callable Bull/Bear Contracts (CBBC) 牛熊證

Exchange Traded Funds (ETF) 交易所買賣基金

Rights 供股權

Futures and Options 期貨或期權合約交易

Stock Options 股票期權

Equity Linked Instruments/ Notes (ELI/ELN)  
股票掛鉤產品(ELI/ELN)

Other 其他：\_\_\_\_\_

Derivative Products Knowledge 對衍生產品的認識：

c) Have you ever attended any courses or seminars on structured or derivative product(s)?  
你曾否接受有關結構性或衍生產品的培訓或修讀相關課程?

No 否  Yes 是，  
If yes, please state the name of the courses / seminars :  
如是，請提供培訓或修讀課程之名稱：  
\_\_\_\_\_

and the date you took the courses / seminars :  
及培訓或修讀課程之日期：  
\_\_\_\_\_

d) Has any of your previous trading experience ever been related to structured or derivative product(s)?  
你以往會否有買賣結構性或衍生產品的經驗?

No 否  Yes 是，

If yes, please state the structured or derivative product(s) you traded :  
如是，請提供有關的產品名稱：

Exchange Traded Convertible Bonds  
交易所買賣換股債券

Derivative Warrants 衍生認股證

Callable Bull/Bear Contracts (CBBC) 牛熊證

Exchange Traded Funds (ETF) 交易所買賣基金

Rights 供股權

Futures and Options 期貨或期權合約交易

Stock Options 股票期權

Equity Linked Instruments/ Notes (ELI/ELN)  
股票掛鉤產品(ELI/ELN)

Other 其他：\_\_\_\_\_

c) Have you executed five or more than five transactions in any structured or derivative product (whether traded on an Exchange or not) within the past three years?  
你是否曾在過去三年執行過五次或以上有關任何結構性或衍生產品的交易 (不論是否在交易所買賣) 的交易?

No 否  Yes 是

d) Has any of your **current or previous** work experience been related to structured or derivative products(s)?  
你**現時或以往**的工作經驗是否與結構性或衍生產品有關?

No 否  
 Yes 是  Current 現時  Previous 以往

If yes, please state your occupation :  
如有, 請提供你的職業名稱:  
The employer's name 僱主名稱: \_\_\_\_\_  
and the employment services period 及在職日期: \_\_\_\_\_

c) Have you executed five or more than five transactions in any structured or derivative product (whether traded on an Exchange or not) within the past three years?  
你是否曾在過去三年執行過五次或以上有關任何結構性或衍生產品的交易 (不論是否在交易所買賣) 的交易?

No 否  Yes 是

d) Has any of your **current or previous** work experience been related to structured or derivative products(s)?  
你**現時或以往**的工作經驗是否與結構性或衍生產品有關?

No 否  
 Yes 是  Current 現時  Previous 以往

If yes, please state your occupation :  
如有, 請提供你的職業名稱:  
The employer's name 僱主名稱: \_\_\_\_\_  
and the employment services period 及在職日期: \_\_\_\_\_

### Disclosure of Information 資料披露

1 Are you, the ultimate beneficial owner(s) of the Account and/or the person ultimately responsible for giving instructions for the Account, a Licensed or Registered Person, or a director or an employee of any Licensed or Registered Person of the Securities and Futures Commission in Hong Kong?  
閣下, 此帳戶最終權益擁有人及/或就此帳戶進行交易的最終負責發出指示人仕, 是否香港證券及期貨事務監察委員會的持牌或註冊人仕, 或任何持牌或註冊人仕之董事或職員?

No  Yes 是\*

不是 Name of the Licensed or Registered Person(s)  
持牌或註冊人仕名稱: \_\_\_\_\_

**\*(If yes, please provide the written consent from your employer of your account(s) opening with Yieldful Group/its subsidiary 如是, 請提供客戶僱主就確認同意於耀豐集團/其子公司開立戶口的同意書)**

2 Do you, the ultimate beneficial owner(s), and/or ultimate instructor(s) have any relationship with any director or employee of Yieldful Securities Limited or Group Company(ies)?  
閣下, 此帳戶最終權益擁有人及/或就此帳戶進行交易的最終負責發出指示人仕, 與耀豐證券有限公司或 其集團公司之董事或職員是否有親屬關係?

No  Yes 是, Please specify 請註明

不是 Name of Director/Employee 董事或職員姓名: \_\_\_\_\_

Relationship 關係: \_\_\_\_\_

3 Is your spouse a margin client of Yieldful Group/its subsidiary(ies)?  
閣下的配偶是否耀豐集團/其子公司的保證金客戶?

No  Yes 是, Please specify 請註明

不是 Name of Spouse 配偶姓名: \_\_\_\_\_

Account No. 戶口號碼: \_\_\_\_\_

Are you, the ultimate beneficial owner(s) of the Account and/or the person ultimately responsible for giving instructions for the Account, a Licensed or Registered Person, or a director or an employee of any Licensed or Registered Person of the Securities and Futures Commission in Hong Kong?  
閣下, 此帳戶最終權益擁有人及/或就此帳戶進行交易的最終負責發出指示人仕, 是否香港證券及期貨事務監察委員會的持牌或註冊人仕, 或任何持牌或註冊人仕之董事或職員?

No  Yes 是\*

不是 Name of the Licensed or Registered Person(s)  
持牌或註冊人仕名稱: \_\_\_\_\_

**\*(If yes, please provide the written consent from your employer of your account(s) opening with Yieldful Group/its subsidiary 如是, 請提供客戶僱主就確認同意於耀豐集團/其子公司開立戶口的同意書)**

Do you, the ultimate beneficial owner(s), and/or ultimate instructor(s) have any relationship with any director or employee of Yieldful Securities Limited or Group Company(ies)?  
閣下, 此帳戶最終權益擁有人及/或就此帳戶進行交易的最終負責發出指示人仕, 與耀豐證券有限公司或 其集團公司之董事或職員是否有親屬關係?

No  Yes 是, Please specify 請註明

不是 Name of Director/Employee 董事或職員姓名: \_\_\_\_\_

Relationship 關係: \_\_\_\_\_

Is your spouse a margin client of Yieldful Group/its subsidiary(ies)?  
閣下的配偶是否耀豐集團/其子公司的保證金客戶?

No  Yes 是, Please specify 請註明

不是 Name of Spouse 配偶姓名: \_\_\_\_\_

Account No. 戶口號碼: \_\_\_\_\_

4 Do you and/or your spouse control 35% or above of the voting rights of another margin client of Yieldful Group/its subsidiary(ies)?  
閣下及/或閣下的配偶是否控制耀豐集團/其子公司的保證金客戶 35%或以上表決權?

No  Yes 是, Please specify 請註明  
不是 Name of Spouse 配偶姓名: \_\_\_\_\_

Account No. 戶口號碼: \_\_\_\_\_

Do you and/or your spouse control 35% or above of the voting rights of another margin client of Yieldful Group/its subsidiary(ies)?  
閣下及/或閣下的配偶是否控制耀豐集團/其子公司的保證金客戶 35%或以上表決權?

No  Yes 是, Please specify 請註明  
不是 Name of Spouse 配偶姓名: \_\_\_\_\_

Account No. 戶口號碼: \_\_\_\_\_

5 Do you maintain any other account(s) with Yieldful Securities Limited?  
閣下現時是否已持有耀豐證券有限公司之戶口?

No 否  
 Yes 是, please provide details 是, 請提供詳細資料:

Account Name 戶口名稱	
Account Type 戶口類型	
Account No. 戶口號碼	

Do you maintain any other account(s) with Yieldful Securities Limited?  
閣下現時是否已持有耀豐證券有限公司之戶口?

No 否  
 Yes 是, please provide details 是, 請提供詳細資料:

Account Name 戶口名稱	
Account Type 戶口類型	
Account No. 戶口號碼	

**Ultimate Beneficial Owner(s) of the Account 帳戶最終權益擁有人**

Are you 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?)  
閣下是否此帳戶的最終實益擁有人?(即閣下是否為本身而並非為第三者運作此帳戶?)

Yes 是  
 No, details of the ultimate beneficial owner(s) is/are, 否, 帳戶的最終實益擁有人是:

Name 名稱	
ID/Passport No. 身份證/護照號碼	
Address 地址	

**Bank Account 銀行帳戶 (For direct deposit 直接存款之用)**

Bank Name 銀行名稱	Account Number 帳戶號碼	Account Type 帳戶類別

**Delivery of Statements 結單寄發**

Mailing Address\*  
郵寄地址\*

E-mail Address (Free) 電郵地址 (免手續費)  
 Home Address (HKD \$100 per/month) 住宅地址 (每月港幣\$100 手續費)  
 Correspondence Address (HKD \$100 per/month) 通訊地址 (每月港幣\$100 手續費)  
 Business Address (HKD \$100 per/month) 商業地址 (每月港幣\$100 手續費)

\* For joint account, all the correspondences will be sent to the mailing address of First Account Holder  
如屬聯名戶口, 所有通訊文件將寄往第一戶口持有人之郵寄地址。

**Other Information 其他資料**

Reason for Choosing Yieldful for Account Opening 閣下選擇耀豐開戶的原因:

Referral 親友轉介  Walk-in 自薦  Seminar 講座  Others 其他: \_\_\_\_\_

## Client's Declaration, Acknowledgement and Consent 客戶聲明、確認及承諾

### **Application of Account Opening and Information Provided 戶口開立申請及資料提供**

I / We represent that the information on this Account Opening Form and relevant Forms is true, complete and correct and that I / We have not will fully withheld any material fact(s). I / We request you to open a Cash Securities / Margin Securities Account ("the Account") and agree to all the terms of the Agreement and to abide by the Agreement (including the General Terms and Conditions and the applicable Additional Terms and Conditions of the Client Agreement with the same version code of this form), the rules and regulations of Securities and Futures Ordinance, Hong Kong Exchange and Clearing Limited or any other regulatory body(ies) as amended from time to time governing the transactions in the Account. Yieldful Securities Limited ("YSL") is entitled to rely fully on such information and representations for all purposes, unless it receives notice in writing of any change. YSL is authorized at any time to contact anyone, including my / our banks, brokers or any credit agency for the purpose of verifying the information provided on this Account Opening Form. I / We also understand that YSL will rely on the above information of Investment Experience and Product Knowledge provided to assess whether I / we have acquired knowledge of derivative products, in order to comply with relevant requirements of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.

本人/吾等茲聲明在開戶申請書及相關表格所提供之資料全部為真實、完整及正確，本人/吾等並未刻意隱瞞任何重要事實。本人/吾等向貴公司申請開立現金證券帳戶/保證金證券帳戶（「該帳戶」）和同意遵守客戶協議(版本編碼與本表格相同)的所有條款並同意遵守證券及期貨條例、香港交易所有限公司及其他監管機構不時修定以規管於該帳戶進行的交易之條例及規則。除非耀豐證券有限公司(「耀豐證券」)接到更改有關本開戶申請書內容的書面通知，否則上述公司有權完全依賴此等資料及聲明作一切用途。上述公司獲授權可隨時就核對本資料事宜，與任何人包括本人/吾等之銀行、經紀或任何信用機構進行諮詢。本人/吾等亦明白耀豐證券根據上述投資經驗及對產品認識內的資料介定本人/吾等是否擁有對衍生產品之認識，以符合證券及期貨事務監察委員會持牌人或註冊人操守準則之有關要求。

### **Agreement and Risk Disclosure Statement 協議及風險披露聲明**

I / We hereby acknowledge and confirm that the Client Agreement, including but not limited to the Account Opening Form, the General Terms and Conditions, Additional Terms and Conditions, Data Privacy Policy, Disclaimers and the Risk Disclosure Statement was provided to me / us in a language of my / our choice (English or Chinese), and I / we have been invited to read the Risk Disclosure Statement carefully, ask questions and seek independent advice if I / we so wish. I / We also confirm that I/we have retained a copy of the Agreement for my/our reference.

本人/吾等謹此承認並確定本人/吾等已獲得按照本人/吾等所選擇的語言(英文或中文)的客戶協議，當中包括，但不限於本開戶表、一般條款、附加條款、私隱政策、免責聲明及風險披露聲明，及本人/吾等已獲邀請細閱該風險披露聲明，提出問題及徵求獨立的意見(如本人/吾等有此意願)。本人/吾等確認本人/吾等已經保留本協議的副本，以作備考之用。

### **Standing Authority under "Securities and Futures (Client Money) Rules" (For Securities Account)**

#### **「證券及期貨(客戶款項)規則」下之常設授權(適用於證券帳戶)**

I / We hereby agreed, acknowledge and confirm that I / we have given the standing authority to authorize you to deal with my / our money and the contents of the Standing Authority under Securities and Futures (Client Money) Rules of Client Agreement Part III Schedule E clause 9 have been explained to me / us and I / we understand and agreed the contents of it.

本人/吾等謹此同意、承認及確定本人/吾等已授予貴公司常設授權以處置本人/吾等的款項，並且本人/吾等就該客戶協議內的第三部份附表 E 第 9 項的證券及期貨(客戶款項)規則下之常設授權的內容已獲得解釋，及本人/吾等明白及同意其內容。

### **Standing Authority under "Securities and Futures (Client Securities) Rules" (For Securities Margin Account Only)**

#### **「證券及期貨(客戶證券)規則」下之常設授權(只適用於證券保證金帳戶)**

I / We hereby agreed, acknowledge and confirm that I / we have given the standing authority to authorize you to deal with my / our securities collateral and the contents of the Standing Authority under Securities and Futures (Client Securities) Rules of Client Agreement Part III Schedule A clause 5 have been explained to me / us and I/we understand and agreed the contents of it.

本人/吾等謹此同意、承認及確定本人/吾等已授予貴公司常設授權以處置本人/吾等的證券抵押品，並且本人/吾等就該客戶協議內的第三部份附表 A 第 5 項的證券及期貨(客戶證券)規則下之常設授權的內容已獲得解釋，及本人/吾等明白及同意其內容。

## Client's Consent to Use of Personal Data 申請人個人資料使用同意書

I/We have carefully read, fully understood and agreed to accept and be bound by the Notice and Statement Relating to the Personal Data (Privacy) Ordinance (Cap. 486 of the Laws of Hong Kong) as set out in Part V of the Client Agreement. In particular, 本人/吾等已仔細閱讀，完全理解並同意接受並遵守載於客戶協議第五部份有關個人資料(私隱)條例(香港法例第486章)的通知及聲明，由是，

- I/We hereby consent to the use of my/our Client Information for direct marketing directly related to the opening or continuation of my/our accounts with YSL and the provision of financial services by YSL to me/us.  
本人/吾等同意使用本人/吾等的客戶資料作為與本人/吾等於耀豐開立或繼續維持帳戶，及耀豐證券向本人/吾等提供金融服務有關的直接促銷之用。
- I/We hereby consent to the use of my/our Client Information for direct marketing by YSL, any Group Company or other carefully selected financial, insurance or other service providers of other financial and insurance and/or services not directly related to the opening or continuation of my/our accounts with Yieldful and the provision of financial services by Yieldful to me/us.  
本人/吾等同意耀豐證券、其任何集團公司或其他仔細挑選之金融、保險或產品供應商使用本人/吾等的客戶資料作為直接促銷與本人/吾等於耀豐開立或繼續維持帳戶，及耀豐證券向本人/吾等提供金融服務無關的其他金融、保險或產品供應商之用。

**The terms in English version, as opposed to Chinese translation, shall be deemed to be conclusive and definitive.**

**本開戶表之英文本(相對中文譯本而言)為確實及有最終效力。**

(1) Signature of Individual / First Joint Account Holder : 個人/第一戶持有人簽署：	(2) Signature of Individual / First Joint Account Holder : 聯名帳戶第二持有人簽署：

Name 姓名	Date 日期	Name 姓名	Date 日期
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### Joint Account Signatures Arrangement 聯名帳戶簽署安排

- (1) Each of the above joint account holders specified is authorized to give verbal instructions and/or instruction through the Electronic Services (where applicable) in relation to the purchase or sale of any securities contracts for the Account(s) from time to time. 以上每一聯名帳戶持有人均有權為帳戶買賣任何證券而不時發出口頭指示及/或透過電子服務(如適用)發出的指示；及
- (2)  Either one joint account holder signing singly, 其中一位聯名帳戶持有人單獨簽署，  
 Both joint account holders signing jointly, 兩位聯名帳戶持有人共同簽署，  
**validates** any written instructions relating to the operation of the Account(s).  
 任何就帳戶運作之書面指示，方為有效。

### Declaration by Representative of Yieldful Securities Limited

#### 由耀豐證券有限公司之代表作出聲明

\_\_\_\_\_, (name of representative) have fully explained and provided the contents of the Agreement, including but not limited to this Account Opening Form, the General Terms and Conditions, the Additional Terms and Conditions, the Disclaimers, the Data Privacy Policy and the Risk Disclosure Statement to \_\_\_\_\_ (name of client) in a language which he/she/they understand(s) and have invited the client to read, ask questions and take independent advice if the client wishes.

本人\_\_\_\_\_ (持牌代表姓名)，經以他/他們明白的語言，向\_\_\_\_\_ (客戶姓名)，邀請其閱讀，提出問題及徵求獨立意見(如客戶有此意願)，並已全部清楚解釋協議書，當中包括，但不限於本開戶表、一般條款、附加條款、免責聲明、私隱政策及風險披露聲明書內的內容。

Signed by Licensed Representative 持牌代表簽署	SFC CE No. 證監會中央編號	Date 日期

**Note 注意：**

- Please attach an ID card copy of all account holders with this application form.  
請隨本申請表格附上全部帳戶持有人的身份證副本
- Client can choose residential address, business address, correspondence address or e-mail address as all the statements will be sent to this address. P.O. Boxes are not accepted. Please attach the address proof of the residential address dated within the **latest 3 months**.  
客戶可選擇以住宅地址、商業地址、通訊地址或電郵地址收取帳戶結單。郵政信箱恕不接受。請附上在**最近三個月內**之住宅地址證明文件
- This form should be completed and signed by customer in front of Yieldful's Licensed Representative, otherwise, please see below Note 5.  
客戶必須在耀豐的持牌代表面前填妥及簽署本表格；如非親身開戶，請參看下方的注意5。
- Any deletion or amendment must be signed by all account holders.



任何刪除或修改，必須由客戶簽名作實。

- 5.. If this documents not executed by the client in front of Yieldful's Licensed Representative, client should comply with either one of the following procedural requirement :

如開戶文件並非在耀豐的持牌代表面前簽署，客戶必須遵守以下其中一個程序要求：

- (i) Client should send to Yieldful a personal cheque bearing your name shown in your identity document and drawn on your account with a licensed bank in Hong Kong with your same signature (s) as shown on this Form in favour of "Yieldful Securities Limited" for not less than HK\$10,000 (or such other amount as may be advised by Yieldful). Your new account will not be activated until the cheque is cleared; or  
客戶須交給耀豐由香港的持牌銀行開立的帳戶所簽發(該簽名須與此開戶表格上的客戶簽名相符)並載有客戶於身份證明文件上所顯示的姓名的個人支票，而該支票抬頭人須為「耀豐證券有限公司」及其金額不得少於10,000港元(或耀豐通知客戶的其他數額)。客戶的新帳戶必須待支票兌現後才可使用；或
- (ii) The signing of Form I and sighting of related identity documents should be certified by a JP (Justice of Peace), or a professional person such as a branch manager of a bank, certified public accountant, lawyer or notary public.

表格 I 及有關身份證明文件的見證，須由太平紳士、銀行分行經理、執業會計師、律師或公證人加以驗證。

- 6.. Cash Balance of securities account with Yieldful, which will not generate interest income for the client

客戶戶口的淨現金結餘,不會為客戶帶來利息收入

For Office Use Only 只供本公司專用			
Yieldful hereby appoints the following Account Executive(s) being licensed by Securities and Futures Commission or such other licensed person as from time to time it may permit and notify the Client in writing, to be primarily responsible for the affairs of the Client in respect of the Client's account(s) with Yieldful :			
Name of Account Executive :			
1.	Mr./Ms.		CE No.
2.	Mr./Ms.		CE No.
Document checklist 文件查核清單 :			
Bank and Credit Reference obtained (for margin client) if necessary (e.g. deed of residence, etc.) :		Applicable to Non-face-to-face account procedure :	
<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Witness by JP/ Branch Manager of bank / CPA / Lawyer or notary public	
ID Card / Passport Copy obtained :		Personal cheque received (if applicable)	
<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Issued by a licensed bank in Hong Kong	
Address Proof obtained :		<input type="checkbox"/> Payable to "Yieldful Securities Limited"	
<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Cheque amount not less than HK\$ 10,000	
Employer consent letter obtained (if applicable) :		<input type="checkbox"/> Client name print on cheque is the same as A/C holder	
<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Same signature on cheque and A/C Opening Form	
		<input type="checkbox"/> Retained cheque copy	
		<input type="checkbox"/> Cheque cleared	
Remarks:			
Document & Client Information checked by :			
Name of staff & signature		Date	
Name of staff & signature		Date	
Commission Code			
Credit/Trading Limit			
<b>ACKNOWLEDGED AND ACCEPTED BY AN AUTHORIZED SIGNATORY(IES) FOR AND ON BEHALF OF YIELDFUL SECURITIES LIMITED</b> 經由耀豐證券有限公司之授權代表確認及接納			
Authorized Signature(s) 授權代表簽署	Name of Authorized Person 授權代表姓名	Date 日期	

**Confirmation letter of Anti-Money Laundering & Counter Terrorist Financing**

Date: \_\_\_\_\_

This confirmation was provided by the undersigned as at the date hereof for the purpose of assisting Yieldful to fulfill Yieldful's "Client Due Diligence" duty pursuant to the relevant provisions in the Guideline on Anti-Money Laundering and Counter-Terrorist Financing April 2012 published by Securities and Futures Commission of Hong Kong (the "SFC").

The undersigned hereby confirmed that:

- (a) I/We are not linked to politically exposed person/terrorist;
- (b) The nature of my/our business are not susceptible to money laundering risk;
- (c) The fund from my/our account are not arising from or related to proceeds of crime;  
and

I/We agree to provide further information if and when required by the SFC or under any laws, regulations, code of conduct, rules or guidelines published by the SFC from time to time.

Client's Signature: \_\_\_\_\_

*Client's Name:* \_\_\_\_\_

**Anti-Money Laundering Risk Assessment Questionnaire**

Client's Name: \_\_\_\_\_

To the best of your knowledge, does the client have the following features?

For Individual Client

1	Is your client linked to politically exposed person *1 / terrorist *2?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
2	Is the name of your client's business particularly susceptible to money laundering risk? (e.g. moneychanger or casino business that handle large amount of cash)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
3	Is there any reasonable suspicion or risk that money from your client might be arising from or related to proceeds of crime? (e.g. deposit large amount of cash, opening several accounts with no good reason, request for payment to be deposited under an offshore bank account)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
4	Is the account established through no face to face approach?	Yes <input type="checkbox"/>	No <input type="checkbox"/>

For Corporate Client, please answer the additional question below:

5	Does your client have unduly complex structure for no good reason?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
6	Does your client operate in a country where there is lack of proper standards in the prevention of money laundering? (e.g. operate outside the FATF*3 member countries)	Yes <input type="checkbox"/>	No <input type="checkbox"/>

Risk Assessment: **HIGH / LOW**

Completed by: \_\_\_\_\_ (Responsible AE)                      Date: \_\_\_\_\_

Remarks:

- If the answer to any the above questions is "Yes", then Risk Assessment is "HIGH"
- For "HIGH" Risk Assessment. Enhanced customer diligence procedure and approval from compliance department and Senior management is

Reviewed by: \_\_\_\_\_ (Compliance Department)                      Date: \_\_\_\_\_

1. Political exposed person- individual who is or has been with prominent public-function(s). e.g. head of state / government, senior politician, senior executive of government owned corporation, important political party official, etc.,

2. "Terrorist" means a person who commits, or attempts to commit, a terrorist act or who participate in or facilitates the commission of a terrorist act.

3. Argentina, Austria, Belgium, Brazil, Denmark, Finland, France, Germany, Greece, Hong Kong, Iceland, Italy, Japan, Luxembourg, Mexico, Netherlands, New Zealand, Norway, Portugal, Russian Federation, Singapore, South Africa, Spain, Sweden, Switzerland, Turkey, United Kingdom, United States of Americans, the EU commission and the Gulf Co-operation Council.