

股票期权交易账户申请表

Application Form for Opening Stock Options Trading Account

致 To:

东方证券(香港)有限公司

Orient Securities (Hong Kong) Limited

本人 / 吾等 _____ (身份证 / 护照号码: _____) 已于贵公司开通证券 (##现金 / 保证金) 账户, 账户号码为 _____。本人 / 吾等谨此向贵公司申请开通股票期权交易帐户, 帐户名称为 _____。

I / We _____ (ID No. / Passport No.: _____) currently hold a Securities (##Cash / Margin) account with your company, A/C NO.: _____. I / We hereby apply to open Stock Options Trading Account in the name of _____ with Orient Securities (Hong Kong) Limited.

(##请删去不适用者 Please delete as appropriate)

本人 / 吾等确认本人 / 吾等现时之账户资料无需修改:

I confirm that my / our current account information does NOT need to be changed:

是 Yes

否 No, 本人 / 吾等现时账户信息已更新, 请参考附上的《更改客户资料通知书》办理有关资料变更申请。

My / Our information have change(s). Please refer to attached "Notification for Change of client information" and process this application.

衍生产品的认识 Knowledge of Derivatives

1. 客户曾否在以往三年内执行过五宗或以上结构性或衍生产品交易? (不论是否在交易所买卖的交易)
Have you executed five or more transactions in structured or derivative product(s) within the past three years? (Whether traded on an Exchange or not)

是 Yes

否 No

2. 客户曾否接受有关结构性或衍生产品的培训或相关课程?
Have you ever attended any trainings or courses on structured or derivative product(s)?

是 Yes

否 No

3. 客户现时或过去有否从事与衍生产品有关的工作?
Do you have any work experience related to derivative product(s)?

是 Yes

否 No

客户确认及承诺 Client's Declaration and Acknowledgement

- 1 本人/吾等确认已仔细阅读并完全明白和接受股票期权交易客户协议的条款，并接受这些条款的约束；
I/We confirm have carefully read and understood the provisions of the CLIENT AGREEMENT of Stock Options Trading and agree to be bound by same;

- 2 本人/吾等确认获邀阅览客户协议内的风险披露声明书，并提问及寻求独立意见（如本人/吾等欲进行）；
I/We confirm that I/we have been invited to read the Risk Disclosure Statement in the Client Agreement, to ask questions and to take independent advice if I/we wish;

- 3 本人/吾等确认已阅读，知悉并完全明白客户协议及/或文件内之期权资料说明表、有关买卖股票指数期货的免责声明、有关买卖股票指数期权的免责声明及香港交易所免责声明（本条款适用于客户任何（如获核准开立）由包含前述文件之相关客户协议所约束的帐户）；
I/We confirm that I/we have read, am/are aware of and fully understand the terms set out in the Form of Options Information Statement Disclaimer in Relation to Trading of Stock Index Futures Contracts, Disclaimer in Relation to Trading of Stock Index Option Contracts and Exchange Disclaimer in the Client Agreement and/or the Documents. (This Clause is applicable to the client if any Account approved to be opened, is governed by the relevant Client Agreement comprising the foregoing documents.);

- 4 本人/吾等确认拥有足够收入及流动资产应付建议之期权买卖活动的有关责任。
I/We confirm that I/we have sufficient income and liquid assets to meet the obligations in respect of the options activity proposed.

客户签署 Client's Signature(s):

账户持有人/第一账户持有人签署 Signed by the Account Holder/ Primary Account Holder:
X

第二账户持有人签署 (如适用) Signed by the Secondary Account Holder (if applicable):
X

客户姓名 Client's Name: _____

客户姓名 Client's Name: _____

日期 Date: _____

日期 Date: _____

见证人 Witness

见证人姓名
Name of Witness

见证人职业及资格
Occupation and Qualification of Witness

见证人签署
Signature of Witness

持牌代表声明 Declaration by Licensed Representative

本人, _____ (持牌代表姓名, 请用正楷填写), 确认已经以客户选择的语言 (英文或中文) 提供了载于股票期权交易客户协议的条款的风险披露声明, 并且本人已经邀请客户阅读该风险披露声明, 提出有关问题及征求独立的意见(如客户有此意愿)。

I, _____ (Print Name of Licensed Representative) confirm that I have provided the Risk Disclosure Statement as set out in the Client Agreement of Stock Options Trading in a language (English or Chinese) of the Client's choice and that I have invited the Client to read the Risk Disclosure Statement, ask questions and take independent advice (if the Client wishes).

(请用正楷填写 Please complete in block letters)

持牌代表姓名 Name of Licensed Representative

中央编号 CE No.

持牌代表签署 Signature of Licensed Representative

备注Remarks:

经由东方证券(香港)有限公司承认及接纳
Acknowledged and Accepted By Orient Securities (Hong Kong) Limited

授权签名 / 公司印章 Authorized Signatory / Company Chop

日期 Date: _____