# ACCOUNT OPENING APPLICATION FORM

# 開戶申請表

☐ INDIVIDUAL ACCOUNT/ 個人帳戶

☐ JOINT ACCOUNT/ 聯名帳戶

**TC Concord Securities Limited**

**天宸康合證券有限公司**

**Room 3203 – 3204, The Gateway Tower 6, 9 Canton Road, Tsim Sha Tsui, Hong Kong**

**香港尖沙咀廣東道9號港威大廈第6座3203-3204室**

**Client's Name** 客戶名稱：________________________________

**Securities Account Number** 證券帳號：__________________

**Futures Account Number** 期貨帳號：_____________________

In the event that there is any inconsistency between the English version and the Chinese version in this Account Opening Application Form, the English version shall prevail.

開戶申請表之中文版本及英文版本如有任何歧義，概以英文版本為準。

# ACCOUNT OPENING CHECKLIST 開戶核對表

## I. DOCUMENTS TO BE COMPLETED 需要填妥的文件

- ☐ Duly completed and signed Account Opening Application Form 已填妥及簽署的開戶申請表
- ☐ Authorization for Third Party to Operate Account(s) with Certified True Copy of ID/ Passport copy of the Authorized Person(s) (If applicable)
  授權第三者操作戶口授權書（附被授權人之身份證/護照的核證副本）（如適用）
- ☐ Duly completed and signed Customer Investment Risk Questionnaire by each account holder (applicable to clients who will trade OTC products or funds)
  由每位帳戶持有人填妥及簽署的客戶投資風險問卷（適用於交易 OTC 產品或買賣基金的客戶）

## II. BASIC SUPPORTING DOCUMENTS FOR VERIFICATION 供核實的基本證明文件

- ☐ Proof of Residential Address[1] (see Note 1) 住址證明(見註 1)
- ☐ Proof of Correspondence Address (see Note 1) (if different from Residential Address)
  通訊地址證明(見註 1)（如與住址證明不同）
- ☐ Employer Consent Letter (applicable to Client who is licensed or registered persons with the SFC at another financial institution)
  僱主同意書（適用於其他金融機構作證監會之持牌或註冊人士的客戶）
- ☐ Bank Statement Copy (if applicable) 銀行月結單副本（如適用）
- ☐ Form W-8BEN (Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)) (with Chinese translation)
  (W-8BEN 外國人扣繳憑證表單)(個人) (附中文譯文)
- ☐ CRS Self-Certification Form 共同匯報標準自我證明表格

## III. SPECIFIC SUPPORTING DOCUMENTS REQUIRED FOR CLIENTS WITH DIFFERENT RESIDENTIAL STATUS 有不同居留身份的客戶需要提供的證明文件

**For Hong Kong Permanent Resident (if applicable) 香港永久居民適用**

- ☐ Hong Kong Identity Card of Client 客戶香港身份證明

**For Non-Hong Kong Permanent Resident (if applicable) 非香港永久居民適用**

- ☐ Valid Passport or Travel Document of Client 客戶有效護照或旅行證件
- ☐ National (e.g. government or state-issued) Identity Card bearing the Client's photograph
  附有客戶照片的國家（如政府或州簽發的）身份證件

[1] Note 1: Utility bill, correspondence from a government department or agency, statement issued by a bank in Hong Kong or overseas that have been issued within 3 months
註 1：近三個月內發出的水電費帳單、政府部門或機構發出的通訊或香港或海外持牌銀行發出的銀行結單

## IV. IMPORTANT NOTES 注意事項

### Non Face-to-Face Approach 非面對面方式：

If this Account Opening Application Form is not executed by the Client in the presence of a SFC licensed employee of TCCS
若客戶並非在天宸康合已獲香港證監會發牌的僱員面前簽署本開戶申請表

**Method 1 (方式 1):**
The Client may submit the following items to TCCS:
則客戶可提供下列文件予天宸康合:

(a) the duly completed and signed Account Opening Application Form witnessed by a specified person[2] (see Note 2); and
已填妥及由指定人士（見註2）見證簽署的《開戶申請表》；及

(b) all the documents as required under the Account Opening Checklist certified by a specified person (see Note 2).
開戶核對表中所要求由指定人士（見註2）核證的所有文件

**Method 2 (方式 2):**
Alternatively, the Client may submit the following items to TCCS:
或者，客戶可提交以下文件予天宸康合：

(a) the duly completed and signed Account Opening Application Form;
已填妥及簽署的《開戶申請表》;

(b) copy of all the documents as required under the Account Opening Checklist; and
開戶核對表中所要求的所有文件；及

(c) an appropriate cheque (see Note 3) [3]
適當的支票（見註3）

2 Note 2: Any Practising Lawyer, Practising Certified Public Accountant or Notary Public
註 2:任何執業律師、執業會計師或法律公證人

3 Note 3: A crossed cheque in the sum of not less than HK$10,000 (or such amount as may be advised by TCCS) bearing the Client's name shown in the identity document and drawn on the Client's bank account with a licensed bank in Hong Kong with the Client's authorized signature(s) as shown on this Account Opening Application Form in favour of "TC Concord Securities Limited".
註 3: 由客戶在香港的持牌銀行開立的帳戶所簽發的劃線支票，而該支票抬頭人須為「天宸康合證券有限公司」及其數額不得少於 10,000 港元(或天宸康合通知客戶的指定金額），並須載客戶在身份證明文件上所顯示的姓名。

TC Concord Securities 天宸康合證券

# TC Concord Securities Limited
# 天宸康合證券有限公司

18/F, Central Tower, 28 Queen's Road Central, Central, Hong Kong
香港中環皇后大道中 28 號中匯大廈 18 樓

TC Concord Securities Limited (**"TCCS"**) is a licensed corporation under the Securities and Futures Ordinance (Cap. 571) (**"SFO"**) licensed to conduct Type 1 (dealing in securities) as well as Type 4 (advising on securities) regulated activities and registered as such with the Securities and Futures Commission of Hong Kong (**"SFC"**) (CE number ACS 694)
天宸康合證券有限公司(「**天宸康合**」)乃根據《證券及期貨條例》(第 571 章)(「**證券條例**」)獲發牌進行第 1 類(證券交易)及第 4 類 (就證券提供意見) 受規管活動之持牌法團，並就此於香港證券及期貨事務監察委員會(「**證監會**」)註冊(中央編號為 ACS694)。

TCCS is also a licensed corporation under the SFO licensed to Type 2 (dealing futures contracts) regulated activities and registered as such with the SFC (CE number ACS 694), and an exchange participant of the Hong Kong Futures Exchange Limited.
天宸康合乃根據《證券及期貨條例》獲准許進行第 2 類(期貨合約交易)受規管活動之持牌法團，並就此於證監會註冊(中央編號為 ACS694)，並獲香港期貨交易所有限公司參與者資格。

| **FOR OFFICE USE ONLY 僅供內部使用：** |
|---|
| ☐Full Service A/C 全面服務帳戶 ☐Electronic Trading A/C 電子交易帳戶 |
| Related Account(s) 相關帳戶： ________________________ |
| Third Party Authorization 第三者授權:<br>Name 姓名:____________________<br>ID/Passport Number 證件號碼: ____________________<br>Approved on 獲批日期為:______________ |
| Professional Investor 專業投資者:<br>☐ Yes 是 ☐ No 否<br>Approved on 獲批日期為:______________ |

## ACCOUNT OPENING APPLICATION FORM 開立帳戶申請表
## FOR INDIVIDUAL/JOINT ACCOUNT 個人/聯名帳戶適用

Note 注意: 1. Please complete in block letters and tick (√) the appropriate box where applicable. 請用正楷填寫，並在適當空格內加上剔號(√)。
2. *Please delete whichever is not appropriate and mark "N/A" on the unfilled spaces.
*請刪去不適用者，並在不適用者填上"N/A"

| **1. ACCOUNT TYPE 帳戶類別** | |
|---|---|
| **Securities Account 證券帳戶**<br><br>**Customer Type 客戶種類**<br>☐ Individual 個人<br>☐ Joint 聯名 (please fill in Appendix 1 請填寫附錄 1)<br><br>**Account Type 帳戶種類**<br>☐ Cash Account 現金帳戶<br>☐ Margin Account 孖展帳戶(即融資帳戶) | **Futures and Options Account 期貨及期權帳戶**<br><br>**Customer Type 客戶種類**<br>☐ Individual 個人<br>☐ Joint 聯名 (please fill in Appendix 1 請填寫附錄 1)<br><br>**Account Type 帳戶種類**<br>☐ Futures and Options Account 期貨及期權帳戶 |
| **Please select the type of services you require 請選擇所需的產品服務:**<br>☐ Hong Kong Equity 香港股票<br>☐ Global Stock 環球股票<br>☐ Hong Kong Futures 香港期貨<br>☐ Global Futures 環球期貨<br>☐ OTC Products 場外交易產品 | |
| **Method of Placing Order 落盤方式** | ☐ Telephone (Manual)電話專人落盤<br>☐ Electronic Trading 電子交易 |
| **<APPLICABLE TO JOINT ACCOUNTS ONLY 只適用於聯名帳戶>** | |
| The Account can be operated under the following signing instructions of 此帳戶可根據以下書面指示方式操作<br>☐ Singly by any one of the Joint Account Holders<br>任何一位聯名帳戶持有人發出<br>☐ Jointly by the Joint Account Holders<br>聯名帳戶所有持有人共同發出 | |

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| 2. PERSONAL INFORMATION OF PRIMARY CLIENT 主要客戶的個人資料 | | | | |
|---|---|---|---|---|
| ☐ Mr. 先生<br>☐ Ms. 女士<br>☐ Mrs. 太太 | English Name 英文姓名 | Chinese Name 中文姓名 | | |
| Marital Status 婚姻狀況<br>☐ Single 未婚<br>☐ Married 已婚<br>☐ Divorced 離婚 | ID No./ Passport No. and Issuing Country<br>身份證號碼／護照號碼及簽發國家 | Nationality 國籍 | Date of Birth (dd/mm/yy)<br>出生日期 | |
| Residential Address 住宅地址 | | | | |
| Correspondence Address (If different from Residential Address) 通訊地址（如與住宅地址不同）: | | | | |
| Home Tel. No. 住宅電話 | Fax No. 傳真號碼 | Mobile No. 手提電話 | E-Mail Address 電郵地址 | |
| Monthly Account Statements and General Correspondence to be sent to (Please select one only)<br>帳戶月結單及一般通訊以以下方式送交（請只選一項）<br><br>☐ Email Address (recommended) 電郵地址(建議選用)<br>☐ Residential Address 住宅地址<br>☐ Correspondence Address 通訊地址 | | | | |
| Education 教育程度: | ☐ Primary or below 小學或以下 ☐ Secondary 中學<br>☐ Graduate 大學 ☐ Postgraduate or above 碩士或以上 | | | |
| Employment 就業情況: | ☐ Full-time Employment 受僱 ☐ Part-time Employment 兼職 ☐ Student 學生 ☐ Retired 退休<br>☐ Self-employed, please specify 自僱，謹請說明：_______________<br>☐ Others, please specify 其他，謹請說明：_______________ | | | |
| Name of Employer 僱主名稱 | | Nature of Business 業務性質 | | |
| Business Address 公司地址 | | | | |
| Job Title 職位 | Business Tel. No. 公司電話 | Fax No. 傳真號碼 | Years in the Occupation 工作年期 | |

| 3. SETTLEMENT ARRANGEMENT 結算安排 | | |
|---|---|---|
| **Bank Name**<br>**銀行名稱** | **Hong Kong Bank Account No.**<br>**香港銀行帳戶號碼** | **Name of the Account Holder**<br>**帳戶持有人名稱** |
| | | |
| | | |

| 4. FINANCIAL SUMMARY 個人/ 聯名帳戶持有人財務資料簡要 | |
|---|---|
| **Source of Income/Funds (can choose more than one)**<br>**收入/資金來源 (可選多於一項)** | ☐ Salary 薪金 ☐ Commission 佣金 ☐ Rent 租金 ☐ Saving 儲蓄<br>☐ Investment Income 投資獲利 ☐ Inheritance 遺產承繼 ☐ Business Profit 業務利潤<br>☐ Others 其他：_______________ |
| **Annual Income (HK$)**<br>**每年收入（港幣）** | ☐ ≤150,000 ☐ 150,001 – 500,000 ☐ 500,001 –1,000,000<br>☐ 1,000,001 –2,000,000 ☐ ≥ 2,000,000 |
| **Estimated Net Worth (HK$)**<br>**估計淨資產值（港幣）** | ☐ ≤ 500,000 ☐ 500,001 – 1,000,000 ☐ 1,000,001 – 3,000,000<br>☐ 3,000,001 – 5,000,000 ☐ 5,000,001 – 8,000,000 ☐ ≥8,000,001 |
| **Ownership of Property/ Real Estate**<br>**物業/房地產擁有權** | ☐ No 否 ☐Yes 是 If yes, please specify 如是，謹請說明：_______________<br>☐ With financing 融資 ☐ Without financing 未融資 |

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| **5. INVESTMENT OBJECTIVES AND EXPERIENCE 投資目的及經驗** | | |
|---|---|---|
| **Investment Knowledge**<br>**投資知識** | ☐ No experience at all 沒有投資經驗<br>☐ HK listed securities 香港上市證券 _____ years 年<br>(average trade size 平均交易額 HK$____________________ )<br>☐ Overseas listed securities 海外上市證券______ years 年<br>(average trade size 平均交易額 HK$____________________ )<br>☐ HK futures and options 香港期貨及期權_______ years 年<br>(number of contracts and products 合約及產品數量<br>______________________________________ )<br>☐ Overseas futures and options 海外期貨及期權________ years 年<br>(number of contracts and products 合約及產品數量<br>______________________________________ )<br>☐ Other(s) 其他 ________________ ; years 年 ______________ | |
| **Investment Objectives**<br>**(can choose more than one)**<br>**投資目的 (可複選)** | ☐ Capital Appreciation 資本增長 ☐ Generating Income 賺取收入 ☐ Hedging 對沖<br>☐ Arbitrage 套戥 ☐ Speculation 投機 ☐ Others 其他 | |
| **Investment Horizon**<br>**預計投資期**<br><br>☐ No Constraint<br>沒有限制<br>☐ Short Term (<3 months)<br>短期（少於 3 個月）<br>☐ Medium Term (3-12 months)<br>中期（3-12 個月）<br>☐ Long Term (>1year)<br>長期（1 年以上） | **Risk Tolerance**<br>**風險承受程度 (請擇其一)**<br><br>☐ Low 保守<br>☐ Medium 適中<br>☐ High 積極<br><br>* securities margin account belongs to medium and/or high risk categories<br>證券保證金帳戶屬於適中及/或積極風險類別 | **Please specify any brokerage firms that has ever provided services to you**<br>**請列出曾經替你服務的經紀公司**<br><br>(1)______________________________<br>______________________________<br>(2)______________________________<br>______________________________ |

**6. PERSONAL DISCLOSURE 個人資料披露**

1. Is your spouse, parent or children a client of TCCS?
閣下的配偶、父母或子女是否天宸康合的客戶?
☐ No 否 ☐ Yes 是
If yes, the Account Name is 如是，其帳戶姓名為：_____________________(Account No 帳戶號碼：________________ )

2. Are you operating another account in TCCS either by yourself or jointly with your spouse, parent and/or children?
閣下是否以個人或與配偶、父母、及/或子女共同操作另一個設立於天宸康合的帳戶?
☐ No 否 ☐ Yes 是
If yes, the Account Name is 如是，其帳戶姓名為：_____________________(Account No 帳戶號碼：________________ )

3. Are you controlling 35% or more of the voting rights of any corporate clients of TCCS either by yourself or jointly with your spouse?
閣下是否以個人或與配偶共同控制任何天宸康合客戶超過 35%或以上的投票權?
☐ No 否 ☐Yes 是
If yes, the Account Name is 如是，其帳戶姓名為：_____________________(Account No 帳戶號碼：________________ )

4. Are you or your authorized person (if applicable) a licensed or registered person, director or employee of a person licensed by or registered with the SFC?
閣下或其授權人（如適用）是否證監會之持牌或註冊人士或持牌或註冊人士之董事或僱員?
☐ No 否 ☐ Yes 是 If yes, please specify 如是，謹請說明：**Name of Person(s)姓名** **Name of the Institution 機構名稱**

___________________ ____________________________

Is a consent letter obtained from the employer for the opening of the Account?
是否已接獲其僱主對於客戶在天宸康合開立帳戶的同意書? ☐ Yes 是 ☐ No 否

5. Are you or any person connected with you (e.g. your spouse, parent or children) a senior officer or director of any company whose shares are traded on any exchange or market or otherwise in control of such company?
閣下或閣下之任何關連人士如配偶、父母或子女等，是否任何公司之高級行政人員或董事或控制任何公司之人士而該公司之股份在任何交易所或市場買賣？

☐ No 否 ☐ Yes 是 If yes, please specify 如是，謹請說明：

| **Name of Person(s)姓名** | **Position 職務** | **Name of the Listed Company & Stock Code**<br>**上市公司名稱和股票代號** |
|---|---|---|
| __________________ | _________________ | _________________________________ |
| __________________ | _________________ | _________________________________ |

6. Are you or your authorized person (if applicable) an employee or director of TCCS or TCCS Group or a relative of any employee or director of TCCS or TCCS Group?
閣下或閣下之授權人（如適用）是否天宸康合或天宸康合集團的僱員或董事或僱員或董事之親屬？
☐ No 否 ☐Yes 是 If yes, please specify 如是，謹請說明： **Name of Person(s)姓名** **Name of the Institution 機構名稱**

____________________ ______________________________

"**TCCS Group**" means TCCS, TCCS's holding company (as defined in the Companies Ordinance of Hong Kong), subsidiaries (as defined in the Companies Ordinance of Hong Kong) of such holding company or any of TCCS's subsidiaries.
**「天宸康合集團」指天宸康合、天宸康合的控股公司（按香港《公司條例》定義）或該控股公司的任何天宸康合子公司（按香港《公司條例》定義）或任何天宸康合的子公司。**

7. Politically Exposed Person 政治人物

Are you and/or your authorized person (if applicable), any of their respective spouses, partners, children or parents, or a spouse or a partner of a child of such individual, or close associate of such individual is or has been entrusted with a prominent public function or holding senior public office in any place (which shall include a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and an important political party official)?

閣下及/或閣下之授權人（如適用）、其各自的配偶、伴侶、子女或父母、或該名個人的子女的配偶或伴侶、或與該名個人有關係密切的人是否在任何地方擔任或曾擔任重要的公職 (包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事)?

☐ No 否 ☐ Yes 是

Are you and/or your authorized person (if applicable), any of their respective spouses, partners, children or parents, or a spouse or a partner of a child of such individual, or close associate of such individual is or has been is a sub-national political figure in any place (which shall include but not limited to heads of regional governments, regional government ministers or large city mayors)?

閣下及/或閣下之授權人（如適用）、其各自的配偶、伴侶、子女或父母、或該名個人的子女的配偶或伴侶、或與該名個人有關係密切的人是否在任何地方為或曾為國家次級政要（其中包括但不限於地區級政府首長、地區政府部長或大城市市長）？

☐ No 否 ☐ Yes 是

**<u>If yes to any of the questions above, please provide 如任何問題的答案為是，請提供：</u>**

Name of the politically exposed person 政治人物的名稱： ____________________________________________

Place and public function entrusted with 地方及所擔任的公職：________________________________________

Term of the public function entrusted with 所擔任公職的年期： ________________________________________

Relationship with you 與閣下之關係： ____________________________________________________________

8. Are you the ultimate beneficiary owner(s) of the Account?
閣下是否此帳戶最終受益人或擁有人? ☐ Yes 是 ☐ No 否

If no, give detailed particulars of the ultimate beneficiary owner(s)
如否，請提供最終受益人或擁有人之詳盡資料： ____________________________________________________________________

9. Are you the person ultimately responsible for originating instructions?
閣下對發出指令負最終責任嗎？
☐ Yes 是 ☐ No 否

10. Are you the person ultimately benefiting from the transactions and/or bearing the commercial or economic risk?
閣下是否交易最終受益人及/或負責承擔商業或經濟風險的人？

☐ Yes 是 ☐ No 否

If you indicate "no" to any of the questions above, please give details of such person
如任何問題的答案為「不是」，請提供相關人士的詳細資料：____________________________________________________________

11. Are you a trustee of a trust?
閣下是信託基金受託人嗎？ ☐ No 否 ☐ Yes 是

12. Are you carrying out a transaction on behalf of a trust?
閣下是否代表信託執行交易嗎？ ☐ No 否 ☐ Yes 是

If yes, give detailed particulars of the trust 如是，請提供信託基金的詳細資訊：__________________________________________

Name of Trust 信託基金名稱：_____________________________________________

Date of Establishment/ Settlement 訂立/結算日期：_____________________________________________

Jurisdiction/ Laws Governing the Trust 信託司法管轄區/管轄法律：______________________________

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Name of Settlor 財產授予人姓名：________________________________

Identification Information of Settlor 財產授予人身份資料：________________________________

Name of Protector(s) or Enforcer(s) 信託保護人或執行人身份姓名：________________________________

Identification Information of Protector(s) or Enforcer(s) 信託保護人或執行人身份資料：________________________________

Name of Beneficiary(ies) 受益人姓名：________________________________

Identification Information of Beneficiary(ies) 受益人身份資料：________________________________

**Please provide a copy of the Trust Deed for verification. 請提供信託契約副本以供核實。**

13. Do you reside outside Hong Kong?
閣下是否居住在香港以外？ ☐ No 否 ☐ Yes 是

## 7. DERIVATIVE KNOWLEDGE ASSESSMENT QUESTIONNAIRE 對結構性及衍生產品認識之評估問卷

1. Have you undergone or attended any training courses or seminars that provide general knowledge of the nature and risks of structured or derivative products(s) (e.g. courses offered by financial or academic institutions)?
閣下有否參與過有關結構性或衍生產品之一般性質及風險的培訓課程 (例如：由金融或學術機構所提供之課程)?

☐ **Yes 有** ☐ **No 否**

2. Have you had any current or previous work experience related to structured or derivative product(s) (e.g. financial institutions such as bank, fund house, brokerage firm, regulatory authority, etc)?
閣下現時或以前的工作經驗與結構性或衍生產品有關(例如： 金融機構如銀行、基金公司、經紀行、監管機構等)?

☐ **Yes 有** ☐ **No 否**

**If yes,** please specify **如有**，謹請說明：

____________________________________________________________

3. Have you invested into any of the product(s) below more than **five** times in the past **three** years?
你是否於過去三年內已進行**五**宗或以上有關以下任何產品的交易?

☐ **Yes 有** ☐ **No 沒有**

If yes, please select the products below (multiple options if applicable)
如有，請選擇以下產品（如適用，可選多項）:

| | |
|---|---|
| ☐ Exchange Traded Convertible Bonds<br>在交易所買賣的可換股債券 | ☐ Equity Linked Instruments / Notes (ELI/ELN)<br>與股票掛鈎的投資工具/票據 |
| ☐ Callable Bull/Bear Contract (CBBC)<br>牛熊證 | ☐ Exchange Traded Funds (ETF)<br>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 | ☐ Derivative Warrants 衍生認股權證 |

☐ **I have NO knowledge about structured or derivative products. 本人對結構性或衍生產品並無認識。**

For more details of relevant risks and nature of structured and derivative products, please refer to the following websites
欲了解更多有關結構性及衍生產品風險和性質詳情，請參考以下網站：
www.sfc.hk (Securities and Futures Commission / 證券及期貨事務監察委員會)
www.hkex.com.hk (HK Exchange and Clearing Limited / 香港交易所)
http://www.hkiec.hk/web/en (Investor Education Centre /投資者教育中心)

## 8. USE OF PERSONAL DATA 使用個人資料

In respect of the use of the personal data supplied by you, including name, address and telephone number, if you disagree with using any of the personal data or any kinds of means of transmission for the purpose of direct marketing purposes, please indicate objection by ticking the box below
有關使用閣下所提供的個人資料，包括姓名、地址和電話號碼，如閣下不同意使用任何個人資料或以任何傳送方式作直銷用途，請下面空格表明不同意。

☐ I **do not agree** with the proposed use of my personal data in direct marketing.
本人不同意將本人的個人資料用於直銷用途。

At any time in the future, you may also inform our Customer Service Department should you wish to opt-out of our use of the personal data for any of the direct marketing purposes.
在未來的任何時候，閣下若不希望我們將其個人資料用於任何一項直銷用途時，可通知我們的客戶服務部。

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## 9. CLIENT'S AKNOWLEDGEMENT AND DECLARATION 客戶的確認及聲明

Prior to signing this Account Opening Application Form, please:
在簽署本《開戶申請表》前，請：

(a) note that all transactions to be concluded with or through TCCS shall be subject to the terms and conditions of the Client Agreement; and
注意所有與天宸康合達成或通過天宸康合達成的交易均受限於《客戶協議》的條款及條件；及

(b) read the Client Agreement (including the Risk Disclosure Statement) carefully, ask questions and take independent advice if the Client so wishes.
仔細閱讀《客戶協議》(包括《風險披露聲明》)，提出問題及徵求獨立的意見(如客戶有此意願)。

☐ I/We hereby declare and confirm that I/we have received, read and understood the Client Agreement of which this document and its attachments form a part (the **"Agreement"**), including the Risk Disclosure Statements contained in the aforesaid Client Agreement, Personal Data (Privacy) Collection Statement and other supplements which may be entered into in writing between TCCS and me/us from time to time, any letters of authorizations relating to securities margin financing, and accept and agree to be bounded by each of the above as amended and/or supplemented from time to time.
本人/我們在此聲明並確認本人/我們已經收到、閱讀和理解由本文件及其附件構成的《客戶協議》(「該協議)」)，包括在上述《客戶協議》內所包含有關的《風險披露聲明》、個人資料（隱私）收集聲明和其他有可能由天宸康合與本人/我們之間不時以書面達成的補充協議、任何與證券保證金融資相關的授權書，並且接受和同意受以上各項之不時修訂及/或補充協議的約束。

☐ I/We hereby declare and confirm that the information in this Account Opening Application Form is true, complete, up-to-date and correct and I/we undertake that I/we will advise TCCS forthwith of any changes to the information supplied herein and all attachments herewith. TCCS is entitled to rely fully on such information for all purposes unless TCCS has received actual prior written notice of any change from me/us.
本人/我們在此聲明並確認本《開戶申請表》的資料均屬真實、完整、符合現況和正確的，並且本人/我們將通知天宸康合任何本表格及其附件內所提供資料的變更。天宸康合有權在各方面而言完全依賴這些資料，除非天宸康合收到了從本人/我們就任何變更發出的實際事先的書面通知。

Furthermore, TCCS is authorized to obtain at any time references and account balances from my/our bankers (I/we waive any duty of confidentiality involved) and to contact any other persons to check the information provided herein. Further, I/we hereby authorize TCCS to conduct credit enquiries and checks for the purpose of ascertaining my/our financial situation and investment objective.
此外，天宸康合經已被授權可在任何時間從本人/我們的銀行獲得參考及帳戶結餘的資料（本人/我們放棄其中涉及的任何保密責任），並與任何其他人聯繫以核實本文件所提供的資料。另外，本人/我們在此授權天宸康合為確認本人/我們的財務狀況和投資目的而作出的信貸查詢和核查。

I/We understand that I/we may be required to provide additional information or submit documentary proof as to the information provided in this form when requested by TCCS. I/We understand that my/our submission of this form and the acceptance of this form by TCCS in no way implies approval for opening of the Account for me/us and that TCCS reserves the unconditional right to reject my/our application.
本人/我們理解天宸康合有可能要求本人/我們提供本表格以外的其他資料或證明文件。本人/我們理解本人/我們提交本表格予天宸康合及天宸康合接受本表格並不以任何方式意味開立帳戶已獲批準，且天宸康合保留無條件拒絕本人/我們申請的權利。

I/We hereby apply to open the above type(s) of account and agree to be bound by the Agreement (receipt of a copy whereof is hereby acknowledged by me/us) including its Standard Terms and Conditions and relevant Schedule(s) as the same may be amended and supplemented from time to time.
本人/我們在此申請開立上述類型的帳戶並同意受該協議約束（本人/我們確認已經收到了該協議的副本)，包括該協議的標準條件和條款以及相關附件和不時可能作出的修訂和補充。

| | |
|---|---|
| | **[For Joint Account Only 僅適用於聯名帳戶]** |
| Primary Client Signature/Specimen Signature<br>主要客戶簽署/簽署式樣 | Joint Client Signature/Specimen Signature<br>聯名客戶簽署/簽署式樣 |
| Client Name 客戶名稱： | Client Name 客戶名稱： |
| Date 日期： | Date 日期： |

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| 10. ACKNOWLEDGEMENT BY CLIENT 客戶確認 |
|---|

I/We, ____________________________________________ (Name in Block Letters), hereby acknowledge and confirm that I/we have been provided with the Risk Disclosure Statements contained in the Client Agreement in English/ Chinese* which is a language of my/our choice and that I/we have been invited to read the same, to ask questions and to take independent advice (if I/we so wish).

本人/我們，____________________________________________（姓名以正楷填寫），在此確認本人/我們已經收到了《客戶協議》當中所包含按本人//我們選擇提供的**英文/中文***版本的《風險披露聲明》，且本人/我們已經按邀閱讀了該聲明，提出問題並徵求獨立意見（如果本人/我們有此意願）。

*  delete if not applicable 請刪去不適用者

_______________________________________________

**Signature of Primary Client**
**主要客戶簽署**

_______________________________________________

**Signature of Joint Client**
**聯名客戶簽署**

_______________________________________________

**Date**
**日期**

_______________________________________________

**Date**
**日期**

| 11. TO BE COMPLETED BY THE LICENSED REPRESENTATIVE OF TCCS OR PROFESSIONAL# 由天宸康合的持牌代表或專業人士#填寫 | |
|---|---|
| Name 姓名 | |
| Qualification 資格/職位 | |
| Address 位址 | |
| Witness Signature 見證人簽署 | Date 日期 |

**Acknowledged and Accepted by**
**For and on behalf of TC Concord Securities Limited**
**經由代表天宸康合證券有限公司確認及接納**

_______________________________________________

**Authorized Signature with Company Chop**
**授權簽署及公司蓋章**
**Date 日期：**

***# Professional: Any Practising Lawyer, Practising Certified Public Accountant or Notary Public***
***專業人士：執業律師、執業會計師或法律公證人***

| 12. DECLARATION TO BE COMPLETED BY LICENSED REPRESENTATIVE OF TCCS 由天宸康合的持牌代表填寫聲明 | |
|---|---|
| I, ____________________________________________ (Name in Block Letters) with C.E. Number_____________________ being a member of staff of TCCS, and a person licensed as a representative under the SFO, hereby declare and confirm that I have provided the Risk Disclosure Statements contained in the Client Agreement in **English/ Chinese*** which is a language of the above Client's choice to the above Client(s) and that I have invited the Client(s) to read the same, to ask questions and to take independent advice (if the Client(s) so wish(es)).<br><br>本人_________________________________(姓名以正楷填寫)中央編號_________________________，作為天宸康合的僱員及根據《證券及期貨條例》(香港法例第 571 條)下獲發牌人士，聲明及確認本人已按上述客戶選擇的中/英文語言版本而提供《客戶協議》當中所包含的《風險披露聲明》，且本人並邀請該客戶閱讀該等條款、提出問題及徵求獨立意見（如客戶有此意願）。<br><br>* delete if not applicable 請刪去不適用者 | |
| **By way of 通過**：<br>☐ **Face to Face; or 面對面；或**<br>☐ **Telephone 電話**<br>**Recorded Line No. 電話錄音號碼:** ________________________ | **Date & Time 日期及時間** _____________________<br><br>____________________________________________<br>**Signature of Licensed Representative 持牌代表簽署** |

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## APPENDIX 1: PERSONAL INFORMATION PAGE FOR JOINT ACCOUNT HOLDER(S)

## 附錄 1: 聯名帳戶持有人的個人資料頁

| **1. PERSONAL INFORMATION OF JOINT CLIENT 聯名客戶的個人資料** | | | |
|---|---|---|---|
| ☐ Mr. 先生<br>☐ Ms. 女士<br>☐ Mrs. 太太 | English Name 英文姓名 | Chinese Name 中文姓名 | |
| Marital Status 婚姻狀況<br>☐ Single 未婚<br>☐ Married 已婚<br>☐ Divorced 離婚 | ID No./ Passport No. and Issuing Country<br>身份證號碼／護照號碼及簽發國家 | Nationality 國籍 | Date of Birth (dd/mm/yy)<br>出生日期 |
| Residential Address 住宅地址 | | | |
| Correspondence Address (If different from Residential Address) 通訊地址（如與住宅地址不同）: | | | |
| Home Tel. No. 住宅電話 | Fax No. 傳真號碼 | Mobile No. 手提電話 | E-Mail Address 電郵地址 |
| Monthly Account Statements and General Correspondence to be sent to (Please select one only)<br>帳戶月結單及一般通訊以以下方式送交（請只選一項）<br><br>☐ Email Address (recommended) 電郵地址(建議選用)<br>☐ Residential Address 住宅地址<br>☐ Correspondence Address 通訊地址 | | | |
| Education 教育程度 | ☐ Primary or below 小學或以下<br>☐ Graduate 大學 | ☐ Secondary 中學<br>☐ Postgraduate or above 碩士或以上 | |
| Employment 就業情況: | ☐ Full-time Employment 受僱 ☐ Part-time Employment 兼職 ☐ Student 學生 ☐ Retired 退休<br>☐ Self-employed, please specify 自僱，謹請說明：________________________<br>☐ Others, please specify 其他，謹請說明：________________________ | | |
| Name of Employer 僱主名稱 | | Nature of Business 業務性質 | |
| Business Address 公司地址 | | | |
| Job Title 職位 | Business Tel. No. 公司電話 | Fax No. 傳真號碼 | Years in the Occupation 工作年期 |

| **2. SETTLEMENT ARRANGEMENT 結算安排** | | |
|---|---|---|
| **Bank Name**<br>**銀行名稱** | **Hong Kong Bank Account No.**<br>**香港銀行帳戶號碼** | **Name of the Account Holder**<br>**帳戶持有人名稱** |
| | | |
| | | |

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| 3. FINANCIAL SUMMARY 個人/ 聯名帳戶持有人財務資料簡要 | |
|---|---|
| **Source of Income/Funds (can choose more than one) 收入/資金來源 (可選多於一項** | ☐ Salary 薪金 ☐ Commission 佣金 ☐ Rent 租金 ☐ Saving 儲蓄<br>☐ Investment Income 投資獲利 ☐ Inheritance 遺產承繼 ☐ Business Profit 業務利潤<br>☐ Others 其他：______________________________ |
| **Annual Income (HK$) 每年收入（港幣）** | ☐ ≤150,000 ☐ 150,001 – 500,000 ☐ 500,001 –1,000,000<br>☐ 1,000,001 –2,000,000 ☐ ≥ 2,000,000 |
| **Estimated Net Worth (HK$) 估計淨資產值（港幣）** | ☐ ≤ 500,000 ☐ 500,001 – 1,000,000 ☐ 1,000,001 – 3,000,000<br>☐ 3,000,001 – 5,000,000 ☐ 5,000,001 – 8,000,000 ☐ ≥8,000,001 |
| **Ownership of Property/ Real Estate 物業/房地產擁有權** | ☐ No 否 ☐Yes 是 If yes, please specify 如是，謹請說明：________________________<br>☐ With financing 融資 ☐ Without financing 未融資 |

| 4. INVESTMENT OBJECTIVES AND EXPERIENCE 投資目的及經驗 | | |
|---|---|---|
| **Investment Knowledge 投資知識** | ☐ No experience at all 沒有投資經驗<br>☐ HK listed securities 香港上市證券 _____ years 年<br>(average trade size 平均交易額 HK$____________________ )<br>☐ Overseas listed securities 海外上市證券______ years 年<br>(average trade size 平均交易額 HK$____________________ )<br>☐ HK futures and options 香港期貨及期權_______ years 年<br>(number of contracts and products 合約及產品數量<br>________________________________________ )<br>☐ Overseas futures and options 海外期貨及期權________ years 年<br>(number of contracts and products 合約及產品數量<br>________________________________________ )<br>☐ Other(s) 其他 _________________ ; years 年 _______________ | |
| **Investment Objectives (can choose more than one) 投資目的 (可複選)** | ☐ Capital Appreciation 資本增長 ☐ Generating Income 賺取收入 ☐ Hedging 對沖<br>☐ Arbitrage 套戥 ☐ Speculation 投機 ☐ Others 其他 | |
| **Investment Horizon 預計投資期**<br>☐ No Constraint 沒有限制<br>☐ Short Term (<3 months) 短期（少於 3 個月）<br>☐ Medium Term (3-12 months) 中期（3-12 個月）<br>☐ Long Term (>1year) 長期（1 年以上） | **Risk Tolerance 風險承受程度 (請擇其一)**<br>☐ Low 保守<br>☐ Medium 適中<br>☐ High 積極<br>* securities margin account belongs to medium and/or high risk categories<br>證券保證金帳戶屬於適中及/或積極風險類別 | **Please specify any brokerage firms that has ever provided services to you 請列出曾經替你服務的經紀公司**<br>(1)________________________________<br>________________________________<br>(2)________________________________<br>________________________________ |

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| **5. INVESTMENT OBJECTIVES AND EXPERIENCE 投資目的及經驗** | | | |
|---|---|---|---|
| **Investment Knowledge 投資知識** | ☐ No experience at all 沒有投資經驗<br>☐ HK listed securities 香港上市證券 _____ years 年<br>(average trade size 平均交易額 HK$____________________ )<br>☐ Overseas listed securities 海外上市證券______ years 年<br>(average trade size 平均交易額 HK$____________________ )<br>☐ HK futures and options 香港期貨及期權_______ years 年<br>(number of contracts and products 合約及產品數量<br>____________________________________ )<br>☐ Overseas futures and options 海外期貨及期權_______ years 年<br>(number of contracts and products 合約及產品數量<br>____________________________________ )<br>☐ Other(s) 其他 ________________ ; years 年 ______________ | | |
| **Investment Objectives (can choose more than one) 投資目的 (可複選)** | ☐ Capital Appreciation 資本增長<br>☐ Arbitrage 套戥 | ☐ Generating Income 賺取收入<br>☐ Speculation 投機 | ☐ Hedging 對沖<br>☐ Others 其他 |
| **Investment Horizon 預計投資期**<br><br>☐ No Constraint 沒有限制<br>☐ Short Term (<3 months) 短期（少於3個月）<br>☐ Medium Term (3-12 months) 中期（3-12個月）<br>☐ Long Term (>1year) 長期（1年以上） | **Risk Tolerance 風險承受程度 (請擇其一)**<br><br>☐ Low 保守<br>☐ Medium 適中<br>☐ High 積極<br><br>* securities margin account belongs to medium and/or high risk categories<br>證券保證金帳戶屬於適中及/或積極風險類別 | **Please specify any brokerage firms that has ever provided services to you 請列出曾經替你服務的經紀公司**<br><br>(1)________________________________<br>________________________________<br>(2)________________________________<br>________________________________ | |

**6. PERSONAL DISCLOSURE 個人資料披露**

1. Is your spouse, parent or children a client of TCCS?
閣下的配偶、父母或子女是否天宸康合的客戶?
☐ No 否 ☐ Yes 是
If yes, the Account Name is 如是，其帳戶姓名為：_____________________(Account No 帳戶號碼：________________ )

2. Are you operating another account in TCCS either by yourself or jointly with your spouse, parent and/or children?
閣下是否以個人或與配偶、父母、及/或子女共同操作另一個設立於天宸康合的帳戶?
☐ No 否 ☐ Yes 是
If yes, the Account Name is 如是，其帳戶姓名為：_____________________(Account No 帳戶號碼：________________ )

3. Are you controlling 35% or more of the voting rights of any corporate clients of TCCS either by yourself or jointly with your spouse?
閣下是否以個人或與配偶共同控制任何天宸康合客戶超過35%或以上的投票權?
☐ No 否 ☐ Yes 是
If yes, the Account Name is 如是，其帳戶姓名為：_____________________(Account No 帳戶號碼：________________ )

4. Are you or your authorized person (if applicable) a licensed or registered person, director or employee of a person licensed by or registered with the SFC?
閣下或其授權人（如適用）是否證監會之持牌或註冊人士或持牌或註冊人士之董事或僱員?
☐ No 否 ☐ Yes 是 If yes, please specify 如是，謹請說明：**Name of Person(s)姓名** **Name of the Institution 機構名稱**

____________________ ____________________________

Is a consent letter obtained from the employer for the opening of the Account?
是否已接獲其僱主對於客戶在天宸康合開立帳戶的同意書? ☐ Yes 是 ☐ No 否

5. Are you or any person connected with you (e.g. your spouse, parent or children) a senior officer or director of any company whose shares are traded on any exchange or market or otherwise in control of such company?
閣下或閣下之任何關連人士如配偶、父母或子女等，是否任何公司之高級行政人員或董事或控制任何公司之人士而該公司之股份在任何交易所或市場買賣?
☐ No 否 ☐ Yes 是 If yes, please specify 如是，謹請說明：_________________________________________

6. Are you or your authorized person (if applicable) an employee or director of TCCS or TCCS Group or a relative of any employee or director of TCCS or TCCS Group?
閣下或閣下之授權人（如適用）是否天宸康合或天宸康合集團的僱員或董事或僱員或董事之親屬？
☐ No 否 ☐Yes 是 If yes, please specify 如是，謹請說明： **Name of Person(s)姓名** **Name of the Institution 機構名稱**

____________________ ______________________________

"**TCCS Group**" means TCCS, TCCS's holding company (as defined in the Companies Ordinance of Hong Kong), subsidiaries (as defined in the Companies Ordinance of Hong Kong) of such holding company or any of TCCS's subsidiaries.
**「天宸康合集團」指天宸康合、天宸康合的控股公司（按香港《公司條例》定義）或該控股公司的任何天宸康合子公司（按香港《公司條例》定義）或任何天宸康合的子公司。**

7. Politically Exposed Person 政治人物

Are you and/or your authorized person (if applicable), any of their respective spouses, partners, children or parents, or a spouse or a partner of a child of such individual, or close associate of such individual is or has been entrusted with a prominent public function or holding senior public office in any place (which shall include a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and an important political party official)?

閣下及/或閣下之授權人（如適用）、其各自的配偶、伴侶、子女或父母、或該名個人的子女的配偶或伴侶、或與該名個人有關係密切的人是否在任何地方擔任或曾擔任重要的公職 (包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事)?

☐ No 否 ☐ Yes 是

Are you and/or your authorized person (if applicable), any of their respective spouses, partners, children or parents, or a spouse or a partner of a child of such individual, or close associate of such individual is or has been is a sub-national political figure in any place (which shall include but not limited to heads of regional governments, regional government ministers or large city mayors)?

閣下及/或閣下之授權人（如適用）、其各自的配偶、伴侶、子女或父母、或該名個人的子女的配偶或伴侶、或與該名個人有關係密切的人是否在任何地方為或曾為國家次級政要（其中包括但不限於地區級政府首長、地區政府部長或大城市市長）？

☐ No 否 ☐ Yes 是

**If yes to any of the questions above, please provide 如任何問題的答案為是，請提供：**

Name of the politically exposed person 政治人物的名稱： ______________________________

Place and public function entrusted with 地方及所擔任的公職：______________________________

Term of the public function entrusted with 所擔任公職的年期： ______________________________

Relationship with you 與閣下之關係： ______________________________

8. Are you the ultimate beneficiary owner(s) of the Account?
閣下是否此帳戶最終受益人或擁有人? ☐ Yes 是 ☐ No 否

If no, give detailed particulars of the ultimate beneficiary owner(s)

如否，請提供最終受益人或擁有人之詳盡資料： ______________________________

9. Are you the person ultimately responsible for originating instructions?
閣下對發出指令負最終責任嗎？
☐ Yes 是 ☐ No 否

10. Are you the person ultimately benefiting from the transactions and/or bearing the commercial or economic risk?
閣下是否交易最終受益人及/或負責承擔商業或經濟風險的人？

☐ Yes 是 ☐ No 否

If you indicate "no" to any of the questions above, please give details of such person

如任何問題的答案為「不是」，請提供相關人士的詳細資料：______________________________

11. Are you a trustee of a trust?
閣下是信託基金受託人嗎？ ☐ No 否 ☐ Yes 是

12. Are you carrying out a transaction on behalf of a trust?
閣下是否代表信託執行交易嗎？ ☐ No 否 ☐ Yes 是

If yes, give detailed particulars of the trust 如是，請提供信託基金的詳細資訊：______

Name of Trust 信託基金名稱：______

Date of Establishment/ Settlement 訂立/結算日期：______

Jurisdiction/ Laws Governing the Trust 信託司法管轄區/管轄法律：______

Name of Settlor 財產授予人姓名：______

Identification Information of Settlor 財產授予人身份資料：______

Name of Protector(s) or Enforcer(s) 信託保護人或執行人身份姓名：______

Identification Information of Protector(s) or Enforcer(s) 信託保護人或執行人身份資料：______

Name of Beneficiary(ies) 受益人姓名：______

Identification Information of Beneficiary(ies) 受益人身份資料：______

**Please provide a copy of the Trust Deed for verification. 請提供信託契約副本以供核實。**

13. Do you reside outside Hong Kong?
閣下是否居住在香港以外？ ☐ No 否 ☐ Yes 是

## 7. DERIVATIVE KNOWLEDGE ASSESSMENT QUESTIONNAIRE 對結構性及衍生產品認識之評估問卷

1. Have you undergone or attended any training courses or seminars that provide general knowledge of the nature and risks of structured or derivative products(s) (e.g. courses offered by financial or academic institutions)?
閣下有否參與過有關結構性或衍生產品之一般性質及風險的培訓課程 (例如：由金融或學術機構所提供之課程)?

☐ **Yes 有** ☐ **No 否**

2. Have you had any current or previous work experience related to structured or derivative product(s) (e.g. financial institutions such as bank, fund house, brokerage firm, regulatory authority, etc)?
閣下現時或以前的工作經驗與結構性或衍生產品有關(例如： 金融機構如銀行、基金公司、經紀行、監管機構等)?

☐ **Yes 有** ☐ **No 否**

**If yes,** please specify **如有**，謹請說明：

______

3. Have you invested into any of the product(s) below more than <u>**five**</u> times in the past <u>**three**</u> years?
你是否於過去<u>三</u>年內已進行**五**宗或以上有關以下任何產品的交易？

☐ **Yes 有** ☐ **No 沒有**

If yes, please select the products below (multiple options if applicable)
**如有**，請選擇以下產品（如適用，可選多項）：

| | |
|---|---|
| ☐ Exchange Traded Convertible Bonds<br>在交易所買賣的可換股債券 | ☐ Equity Linked Instruments / Notes (ELI/ELN)<br>與股票掛鉤的投資工具/票據 |
| ☐ Callable Bull/Bear Contract (CBBC)<br>牛熊證 | ☐ Exchange Traded Funds (ETF)<br>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 | ☐ Derivative Warrants 衍生認股權證 |

☐ **I have NO knowledge about structured or derivative products. 本人對結構性或衍生產品並無認識。**

For more details of relevant risks and nature of structured and derivative products, please refer to the following websites
欲了解更多有關結構性及衍生產品風險和性質詳情，請參考以下網站：
www.sfc.hk (Securities and Futures Commission / 證券及期貨事務監察委員會)
www.hkex.com.hk (HK Exchange and Clearing Limited / 香港交易所)
http://www.hkiec.hk/web/en (Investor Education Centre /投資者教育中心

| 8. USE OF PERSONAL DATA 使用個人資料 |
| --- |
| In respect of the use of the personal data supplied by you, including name, address and telephone number, if you disagree with using any of the personal data or any kinds of means of transmission for the purpose of direct marketing purposes, please indicate objection by ticking the box below<br>有關使用閣下所提供的個人資料，包括姓名、地址和電話號碼，如閣下不同意使用任何個人資料或以任何傳送方式作直銷用途，請下面空格表明不同意。<br><br>☐ I **do not agree** with the proposed use of my personal data in direct marketing.<br>本人**不同意**將本人的個人資料用於直銷用途。<br><br>At any time in the future, you may also inform our Customer Service Department should you wish to opt-out of our use of the personal data for any of the direct marketing purposes.<br>在未來的任何時候，閣下若不希望我們將其個人資料用於任何一項直銷用途時，可通知我們的客戶服務部。 |

天宸康合證券
TC Concord Securities

# Client Investment Risk Questionnaire ("CIRQ")

# 客戶投資風險問卷(「此問卷」)

| Client Account No.<br>客戶帳戶號碼 | Client Name<br>客戶姓名 | Name of Authorized Person<br>(For Corporate Client)<br>獲授權人姓名<br>(企業帳戶適用) |
|---|---|---|
| | | |

This CIRQ aims at assessing Client's general risk tolerance and investment portfolio in order to assist Client in making investment decisions and assist us in understanding Client's objectives and needs.
此問卷的主要目的是為幫助評估客戶的一般承受風險能力及投資取向，以協助客戶作出投資決定及協助我們了解客戶的投資目標及需要。

**NOTICE TO CLIENTS 客戶注意事項：**

1. **For Joint Account 對於聯名帳戶:**
   **Each account holder of a joint account is required to complete the CIRQ separately. The lowest risk aptitude rating for any account holder would be adopted as the investor risk profile for the relevant joint account.**
   **聯名帳戶的每位帳戶持有人必須分別完成此問卷。聯名戶口持有人中最低的評分會被採納為該聯名帳戶的投資風險範圍。**

2. **For Corporate Account 對於企業帳戶:**
   **The risk assessment of the account is conducted based on information provided by each of the authorized person(s) who is authorized to operate and make investment decisions for the account under the Account Opening Application Form. The lowest risk aptitude rating for any authorized person would be adopted as the investor risk profile for the relevant account.**
   **帳戶之風險評估是按照每個根據開立帳戶申請表格獲授權操作帳戶和作出投資決定的獲授權人所提供的資料進行。所有獲授權人中最低的評分會被採納為該帳戶的投資風險範圍。**

3. **Please note that if you do not provide a complete and accurate disclosure of your existing financial situation, investment experience and/or investment objectives in this CIRQ, TC Concord Securities Limited ("TCCS") would not be able to assess the suitability of the financial products or services shortlisted.**
   **請注意，若你在此問卷中未能就你現時財政狀況、投資經驗及/或投資目標提供完整及準確的披露，天宸康合證券有限公司(「天宸康合」)將不能夠評估適合的金融產品或服務。**

4. **We recommend that you review your financial situation, investment experience and/or investment objectives on a regular basis or whenever your financial situation and/or personal circumstance is changed. Please feel free to contact us if you wish to review or update the information set out in this CIRQ.**
   **我們建議你定期或在你的財政狀況及/或個人情況出現變更時，審視你的財務狀況、投資經驗及／或投資目標。如你欲審視或更新此問卷內的資料，請隨時聯絡我們。**

5. **In order to enhance customer protections, if you are 65 years old or above; with education level of primary or below; and/or have any difficulty in reading documents and/or suffer from any long-term illness or impairments which may cause you difficulty in understanding the investment product(s) and the risks involved, you are recommended to take one of the following protective measures:**
   **(a) To have an additional salesperson of TCCS to handle the investment sales process; or**
   **(b) To bring alone your companion, who is 18 to 64 years old; with education level of secondary or above; and with sufficient investment knowledge or experience, to witness the sales process; or**
   **(c) To seek independent third party or professional advice.**
   **為加強對客戶的保障，如你屬於65歲或以上；教育程度為小學或以下；及／或在閱讀文件時有任何困難或你患有長期病患或殘障從而可能會令你難以理解投資產品及其涉及的風險，我們建議你採取以下其中一項保護措施：**
   **(a) 讓多一位天宸康合職員去處理該投資銷售程序；或**
   **(b) 攜同一位18-64歲；教育程度為中學或以上；及擁有充足投資知識及經驗的同伴參與見證銷售過程；或**
   **(c) 尋求獨立的第三方或專業意見。**

To complete this CIRQ, please kindly fill out Section 1 and Section 2 below.

請填寫以下第一部分和第二部分以完成此問卷。

## Section 1: Qualitative Risk Assessment
## 第一部份: 定性風險評估

**PLEASE SELECT (√) THE MOST APPROPRIATE ANSWER**
**請選擇（√）最合適的答案**

**1.1** Which age group do you belong to? 你屬於哪一個年齡組別?

- ☐ a. age 18-24 — 18-24 歲
- ☐ b. age 25-34 — 25-34 歲
- ☐ c. age 35-49 — 35-49 歲
- ☐ d. age 50-64 — 50-64 歲
- ☐ e. age 65 or above — 65 歲或以上

**1.2** What is the highest level of education level you have attained? 你的教育程度是:

- ☐ a. Primary school or below 小學或以下
- ☐ b. Secondary school 中學
- ☐ c. Post-Secondary (including diploma and associate degree) 大專（包括文憑及副學士）
- ☐ d. Bachelor Degree/University or above 學士/大學或以上
- ☐ e. Professional qualifications such as CFPCM、CFA ® or CPA (if applicable)
  CFPCM、CFA ®或 CPA 等認可專業資格（如適用）

**1.3** Do you have any difficulty in reading documents and/or do you suffer from any long-term illness or impairments which may cause you (i) difficulty in understanding the investment product(s) and the risks involved; or (ii) financial hardship?
你是否在閱讀文件時有任何困難或你患有長期病患或殘障從而可能會令你：（i）難以理解投資產品及其涉及的風險；或（ii） 陷於財政困難?

- ☐ a. Yes 是
- ☐ b. No 否

**1.4** **<u>Individual/ joint account clients</u>:** What is the amount of your annual income?#
**<u>Corporate clients:</u>** What is the amount of financial resources available for investment in the business each year?#
**<u>個人/聯名客戶</u>**：你每年收入是多少?#
**<u>企業客戶</u>**：公司每年可用作投資的財政資源有多少?#

- ☐ a. HKD 0 — 港幣 0
- ☐ b. HKD 1 – 500,000 — 港幣 1 – 500,000
- ☐ c. HKD 500,001 – 1,000,000 — 港幣 500,001 – 1,000,000
- ☐ d. HKD 1,000,001 – 2,000,000 — 港幣 1,000,001 – 2,000,000
- ☐ e. HKD 2,000,001 – 3,000,000 — 港幣 2,000,001 – 3,000,000
- ☐ f. HKD 3,000,000 or more — 港幣 3,000,000 或以上

**1.5** What is the amount of your total **<u>net</u>** liquid assets* (i.e. liquid assets – liquid liabilities)?#
你的<u>淨</u>流動資產*總額是多少(即流動資產–流動負債)?#

HKD ________________
港幣________________

*Liquid assets are assets which may be turned easily into cash, such as cash, money in bank accounts, savings deposits, time deposits, cash value of insurance policies, etc.
*流動資產是指可以輕易轉換為現金的資產，如現金、銀行存款、儲蓄存款、定期存款、保險現金值等。

#Remarks: The information collected from Q4 and Q5 above may be used by TCCS in assessing your concentration risk. If information is not provided, we will assess your concentration risk based on your assets/ investment portfolio held within TCCS.
#備注：天宸康合可能會使用上述第 4 條及第 5 條的資料來評估你的集中風險。如果你未有提供有關資料，我們將根據你在天宸康合中持有的資產/投資組合來評估你的集中風險。

## Section 2: Quantitative Risk Assessment
## 第二部份: 定量風險評估

| PLEASE SELECT (√) THE MOST SUITABLE ANSWER<br>請選擇最恰當的答案 | SCORE<br>分數 |
|---|---|
| **2.1** **Individual/ joint account clients**: How many months can your savings meet your basic family expenses?<br>**Corporate clients:** How many months can your current working capital (current assets minus current liabilities) meet your company's expenses?<br>個人/聯名客戶：你的儲蓄金額大約可應付多少個月的家庭基本開支?<br>企業客戶：你的流動營運資本（流動資產減去流動負債）大約可應付多少個月的公司開支? | |
| ☐ a. Less than 2 months 少於二個月 | **1** |
| ☐ b. Between 2 months and no more than 5 months 二個月至少於五個月 | **2** |
| ☐ c. Between 5 months and no more than 8 months 五個月至少於八個月 | **3** |
| ☐ d. Between 8 months and no more than 12 months 八個月至少於十二個月 | **4** |
| ☐ e. Over 12 months 超過十二個月 | **5** |
| **2.2** How many years of experience do you have in relation to investment products the price of which fluctuates (including "buy and hold" and active trading)? Investment products subject to price fluctuation may include, for example, stocks, unit trusts, foreign currencies, commodities, structured investment products, warrants, options, futures, investment-linked insurance plans.<br>你有多少年投資於價值波動之投資產品的經驗（包括長期持有及頻繁交易)? 價值會波動之投資產品可包括，例如股票、單位信託基金、外幣、商品、結構性產品、認股權證(俗稱「窩輪」) 、期權、期貨、投資相連保單等。 | |
| ☐ a. No experience or less than 1 year<br>沒有經驗或少過 1 年 | **1** |
| ☐ b. Between 1 and 3 years<br>1 至 3 年 | **3** |
| ☐ c. Over 3 years<br>多過 3 年 | **5** |
| **2.3** In the past year, which of the following investment products have you held or purchased?<br>(you may have more than 1 choice)<br>在過去一年內，你持有或購買過以下哪些投資產品? （可選擇多於一項） | |
| ☐ a. Cash , deposit, certificate of deposit, capital protected products, bonds, bond funds<br>現金、存款、存款證、保本產品、債券、債券基金 | **1** |
| ☐ b. Developed markets equity funds or stocks (e.g. Europe, US, Japan, Hong Kong, etc), developing market/ emerging market equity funds or stocks (e.g. China, Eastern Europe, etc)<br>已發展市場股票基金或股票 （例如：歐洲、美國、日本、香港等）、發展中市場／新興市場股票基金或股票 （例如：中國、東歐等） | **3** |
| ☐ c. Hedge Fund, foreign exchange margin account, structured products (e.g. currency-linked, equity-linked and credit-linked instruments), or derivatives (e.g. options, futures, warrants, swap contracts, etc)<br>對沖基金、外匯保證金帳戶、結構性產品（例如：外幣掛鈎、股票掛鈎、信用掛鈎工具等）或衍生工具（例如：期權、期貨、認股證、掉期合約等） | **5** |
| **2.4** During the past year, how many derivatives transactions have you executed (buying or selling derivatives/ other financial instruments)?<br>在過去一年，你曾執行過多少次衍生產品交易 (買賣衍生工具或其他金融工具)? | |
| ☐ a. None 完全沒有 | **0** |
| ☐ b. Between 0 and 5 transactions 0 次至 5 次 | **1** |
| ☐ c. Between 5 and 10 transactions 5 次至 10 次 | **3** |
| ☐ d. More than 10 transactions 多於 10 次 | **5** |

| | |
|---|---|
| **2.5** In an ideal case, what percentage of your assets would you invest in financial products that contain market risk (e.g. equity risk, interest rate risk, currency risk, commodity risk, etc)?<br>在理想情況下，你願意把你的資產中多少百分比投資於有市場風險的金融產品(例如：股票風險、利息風險、貨幣風險、商品風險等)?<br><br>☐ a. Below 10% 10% 以下<br>☐ b. More than 10% and up to 20% 10% 以上至 20%<br>☐ c. More than 20% and up to 40% 20% 以上至 40%<br>☐ d. More than 40% and up to 60% 40% 以上至 60%<br>☐ e. More than 60% 60% 以上 | <br><br><br><br>**1**<br>**2**<br>**3**<br>**4**<br>**5** |
| **2.6** Which of the following statements best describes your attitude towards investment risk?<br>以下哪句最能形容你對投資風險的態度?<br><br>☐ a. You are very concerned about price volatility, and prefer to have a low return in order to avoid all the risk.<br>你非常關注價格波幅，寧願接受低回報來避免所有風險。<br>☐ b. You have some concern about price volatility, and prefer to have less return in order to avoid most of the risk.<br>你關注價格波幅，寧願以較少的回報來避免大部份風險。<br>☐ c. You are willing to accept some price volatility with a reasonable return.<br>你願意接受一些價格波幅以換取合理的回報。<br>☐ d. You are willing to accept higher price volatility as long as the return is attractive.<br>你在回報吸引的情況下願意接受較高的價格波幅。<br>☐ e. You are willing to tolerate very high price volatility in order to maximize return.<br>你願意承受極高的價格波幅以追求最大的回報。 | <br><br><br>**1**<br><br><br>**2**<br><br><br>**3**<br><br>**4**<br><br>**5** |
| **2.7** How much of all your current investments and low risk assets (e.g. savings deposits, time deposits, cash value of insurance policies, government debt securities such as Exchange Fund Bills and Notes, etc) account for your total investable assets*?<br>綜觀你現時所有的投資及低風險的資產（例如：儲蓄存款、定期存款、保險現金值、政府債券如外匯基金票據及債券等)佔你的可投資資產中的比例是多少?<br><br>☐ a. More than 80%<br>80%以上<br>☐ b. Over 60% and up to 80%<br>60%以上至 80%<br>☐ c. Over 40% and up to 60%<br>40%以上至 60%<br>☐ d. Over 20% and up to 40%<br>20%至 40%<br>☐ e. Less than 20%<br>20%以下<br><br>* Investable assets include all financial assets, except for the residential property owned for self-occupied purposes.<br>可投資資產包括所有金融資產（自住物業除外）。 | <br><br><br><br><br><br>**1**<br><br>**2**<br><br>**3**<br><br>**4**<br><br>**5** |
| **2.8** What is the level of price fluctuation you are willing to accept for your investment?<br>你願意投資於波幅程度多大的投資產品?<br><br>☐ a. Fluctuation between -15% and +15% 於-15% 至+15%之間的波幅<br>☐ b. Fluctuation between -30% and +30% 於-30% 至+30%之間的波幅<br>☐ c. Fluctuation between under -30% and over +30% 多於-30% 至+30%之間的波幅 | <br><br><br>**5**<br>**10**<br>**15** |
| **2.9** What degree of losses you are willing to take for your investment portfolio?<br>你接受你的投資組合最多虧損多少?<br><br>☐ a. 5% or below 5%或以下<br>☐ b. 10% or below 10%或以下<br>☐ c. More than 10% and up to 20% 10%以上至 20%<br>☐ d. More than 20% and up to 35% 20%以上至 35%<br>☐ e. More than 35% 35%以上 | <br><br><br>**1**<br>**2**<br>**3**<br>**4**<br>**5** |

| | |
|---|---|
| **2.10** Which of the following best describes your investment objective?<br>以下哪一項最適合形容你的投資目標?<br><br>☐ a. Safety and emergency needs<br>為安全及緊急需要<br>☐ b. Capital preservation and liquidity purposes<br>保本及作周轉用途<br>☐ c. Wealth accumulation (investment returns that can keep up with inflation)<br>積累財富(投資回報能趕上通脹)<br>☐ d. Wealth accumulation (investment returns that can beat inflation by a meaningful margin)<br>積累財富(投資回報能明顯高於通脹)<br>☐ e. Wealth maximization (highest risk, aggressive)<br>賺取最多財富(高風險及進取) | **1**<br><br>**2**<br><br>**3**<br><br>**4**<br><br>**5** |
| **2.11** How long do you intend to keep your investment portfolio?<br>你打算持有你的投資組合多久?<br><br>☐ a. Up to 3 months 最長 3 個月<br>☐ b. More than 3 months and up to 6 months 3 個月以上至 6 個月<br>☐ b. More than 6 months and up to 12 months 6 個月以上至 12 個月<br>☐ d. More than 1 year and up to 3 years 1 年以上至 3 年<br>☐ d. More than 3 years 3 年以上 | **1**<br>**2**<br>**3**<br>**4**<br>**5** |
| **2.12** Do you have to rely on your investments to meet your liquidity needs?<br>你是否需要依賴你的投資作周轉用途?<br><br>☐ a. No, I do not have to rely on my investments to meet my liquidity needs.<br>我不需要依賴我的投資作周轉。<br>☐ b. Yes, I have to sell not more than 15% of my investments this year to meet my liquidity needs.<br>我今年需要出售不多於 15%的投資作周轉。<br>☐ c. Yes, I have to sell more than 15% but less than 25% of my investments this year to meet my liquidity needs.<br>我今年需要出售多於 15%但少於 25%的投資作周轉。<br>☐ d. Yes, I have to sell more than 25% but less than 50% of my investments this year to meet my liquidity needs.<br>我今年需要出售多於 25%但少於 50%的投資作周轉。<br>☐ e. Yes, I have to sell more than 50% of my investments this year to meet my liquidity needs.<br>我今年需要出售多於 50%的投資作周轉。 | **1**<br><br>**2**<br><br>**3**<br><br>**4**<br><br>**5** |
| **TOTAL SCORE 總分** | |

## Section 3: Investment Risk Profile Summary (To be completed by Staff of TCCS)
## 第三部份: 投資風險程度總結 （由天宸康合職員填寫）

| **Assessment Results/ Comments 評估結果/意見** |
|---|
| 1) **Your Investment Risk Profile** is 客戶可承擔的投資風險程度為:<br>☐ **Conservative** **保守型**<br>☐ **Moderately Conservative** **中度保守型**<br>☐ **Balanced** **平衡型**<br>☐ **Moderately Aggressive** **中度進取型**<br>☐ **Aggressive** **進取型**<br><br>2) Due to the following reason(s), you (or any one of the authorized persons of the corporate client) are considered to be a **Vulnerable Client**:<br>基於以下原因，你（或企業客戶的其中一位獲授權人）被界定為**弱勢客戶**:<br>☐ Aged 65 or above 65 歲或以上<br>☐ With education level of primary school or below 小學或以下的教育程度<br>☐ With visual impairment 有視力障礙 |

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**Risk Profile Analysis as Compared to Risk Level of Investment Products**
**投資產品風險級別與風險取向分析之對比**

| **Investment Risk Profile**<br>**投資風險程度** | **Score**<br>**分數** | **Risk Profile Analysis**<br>**風險取向分析**<br>The risk profile analysis of each risk profile mentioned herein is to describe the Client's risk tolerance level under general conditions.<br>以下就每個風險程度的風險取向分析旨在描述客戶在一般情況下的風險承擔程度。 | **Risk Level of Investment Products Suitable for your Consideration**<br>**可供考慮的投資產品風險級別** |
|---|---|---|---|
| Conservative<br>保守型 | 1-14 | You can only tolerate little price and value fluctuations (i.e. investment risk) for your investment. You also realize that your investment choices may not earn return high enough to match inflation rates in the long run. Nevertheless, you prefer investment products with no or very little price fluctuations.<br>你可承受少量價格及市值波動（即投資風險）。儘管你亦明白自己的投資選擇所帶來的回報長遠未必能高於通脹率，你仍選擇沒有價格波動或波動較低之投資產品。 | RR1 |
| Moderately Conservative<br>中度保守型 | 15-28 | You can tolerate some price and value fluctuations in order to achieve higher return. However, you do not prefer investment products with wide range of price fluctuations. Moreover, you do not prefer to have a large percentage of risky assets in your portfolios. Your expectation is to have investment returns that keep up with inflation in the long run.<br>你可承受一些價格及市值波動以換取較高回報，但你並不接受價格波動程度較大的投資產品。此外，你並不希望自己的投資組合持有大比重的具風險資產。你期望投資回報長遠能趕上通脹。 | RR2 |
| Balanced<br>平衡型 | 29-42 | You can tolerate a wide range of price and value fluctuations. You are also willing to have risky assets in your portfolio. By accepting investment products with medium level of investment risk, you hope to achieve a higher investment return that can beat inflation by a meaningful margin in the long run.<br>你可承受較大的價格及市值波動程度。你願意投資組合內持有具風險之資產。你接受中度投資風險的投資產品，從而希望長遠能獲取明顯高於通脹的回報。 | RR3 |
| Moderately Aggressive<br>中度進取型 | 43-56 | You can tolerate a relatively high level of investment risk and are willing to accept a high price and value fluctuations in order to increase your return. You accept that such a risk is necessary to earn higher return in the long run.<br>你可承受較高的投資風險及願意接受高的價格及市值波動來增加回報。你接受必需以較高風險換取長遠較高回報。 | RR4 |
| Aggressive<br>進取型 | 57-70 | You can tolerate high level of investment risk and are willing to accept a very high price and value fluctuations in order to maximize your return. You accept that such a high risk is necessary to maximize return in the long run.<br>你可承受高度投資風險及願意接受很高的價格及市值波動來換取最高的回報。你接受必需以高風險換取長遠最高的回報。 | RR5 |

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**Disclaimers 免責聲明**

This CIRQ and the results should be used only as a reference in making your own investment decisions. This CIRQ and the results are not an offer to sell or solicitation for an offer to buy any financial products and services and they should not be considered as investment advice. The results of this CIRQ are derived from the information provided to TCCS by you. TCCS accept no responsibility or liability as to the accuracy or completeness of such information and the results of this CIRQ.

Your preference and investment decision may be different from the results of this CIRQ. Before making any investment decision, you should fully understand the relevant financial product's risks and merits, determine that the investment is consistent with your financial situation, investment knowledge and experience and investment objectives and that you are able to assume all risks.

Personal information collected in this CIRQ will be kept confidential by TCCS. The information may be used by TCCS under a duty of confidentiality to TCCS, for the purposes set out in our Personal Data (Privacy) Collection Statement that has been delivered to you with the relevant account opening documents.

此問卷及所得的分析結果只供你在考慮作出投資決定時作參考之用。此問卷及所得的分析結果並不應被視為是對任何投資產品及服務的銷售或購買邀請，亦不應當為投資建議。此問卷的分析結果乃根據你向天宸康合提供的資料所得，天宸康合不會為該等資料的準確性或完整性及問卷結果負上任何責任。

你的風險取向和決定可能與此問卷的分析結果不同。作出任何投資決定前，你應全面了解有關金融產品的風險和回報，確定該投資符合你的財務狀況、投資知識和經驗及投資目標，且有關風險亦在你承受能力之內。

天宸康合將確保此問卷內的個人資料得到保密。你提供的資料只會在保密的情況下，按天宸康合已交付予你的有關開戶文件資料內隨附的收集個人資料（私隱）聲明政策所載的目的使用。

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## Section 4: Confirmation and Declaration by Client
## 第四部份: 客戶確認與聲明

| Client Account No.<br>客戶帳戶號碼 | Client Name<br>客戶姓名 | Name of Authorized Person (For Corporate Account)<br>獲授權人姓名<br>（企業帳戶適用） |
|---|---|---|
| | | |

- I, the undersigned, hereby confirm that contents of this CIRQ, the investment risk profile and the risk profile analysis have been explained to me in a language of my choice (English or Chinese).
- I have been invited to read questions in this CIRQ as well as the disclaimers carefully, to ask questions and to take independent advice if I so wish. I understand that I may also discuss my investment planning and the portfolio with an Account Executive of TCCS.
- I hereby affirm that all the answers to this CIRQ reflect my current financial situation, investment knowledge experience and investment objectives and they are up-to-date, complete and accurate to the best of my knowledge. I undertake to inform TCCS about any changes in the above-mentioned information.
- I understand that by filling in the CIRQ incorrectly, TCCS will not be able to assess the suitability of the requested service. I hereby confirm that I fully understand and agree the results of this investment risk profiling exercise.
- I acknowledge that (i) this CIRQ only serves as a reference for my consideration in making my own investment decisions and the results do not constitute an offer to sell or solicitation for an offer to buy any financial products and services and they should not be considered as investment advice; (ii) the results of this CIRQ are derived from the information provided to TCCS by me; (iii) TCCS accepts no responsibility or liability as to the accuracy or completeness of such information and the results of this CIRQ; and (iv) before making any investment decisions, I should fully understand the relevant financial product's risks and merits, determine that the investment is consistent with my financial situation, investment knowledge and experience and investment objectives, and that I am able to assume all risks.
- I shall be making all my own independent investment decision.

- 本人（下述簽署人）在此確認此問卷的內容、投資風險程度和風險取向分析均按本人所選擇的語言（英文或中文）向本人作出解釋。
- 本人應邀仔細閱讀了此問卷內的問題及免責聲明，並提出問題和徵求獨立意見（如本人有此意願）。本人明白亦可與天宸康合的客戶經理聯絡及討論適合本人的投資計劃及組合。
- 本人在此確認上述答案反映了本人現時的財務狀況、投資知識和經驗及投資目標，上述答案就本人所知屬最新、完整和準確。如上述資料有任何改變，本人承諾通知天宸康合。
- 本人明白如不正確地填寫此問卷，天宸康合將不能夠評估所需服務對本人的適合性。本人在此確認本人完全明白及同意此風險評估的結果。
- 本人確認 (i) 此問卷只供我在考慮作出投資決定時作參考之用，此問卷所得的分析結果並不應被視為是對任何投資產品或服務的銷售或購買邀請，亦不應當為投資建議；(ii) 此問卷的分析結果乃根據我向天宸康合提供的資料所得；(iii) 天宸康合不會為該等資料的準確性或完整性及問卷結果負上任何責任；及 (iv) 在作出任何投資決定前，我應全面了解有關金融產品的風險和回報，確定該投資符合我的財務狀況、投資知識和經驗及投資目標，及有關風險亦在我承受能力之內。
- 本人作出的任何投資均由本人親自決定。

I hereby acknowledge receipt of a copy of this CIRQ which has been duly completed and signed by me.
本人確認已收妥由本人填妥並簽署此問卷的副本。

______________________________
Client/Authorized Signatory 客戶/授權簽署:

Date 日期:

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## Section 5: Staff Declaration
## 第五部份: 職員聲明

**Declaration by Staff of TCCS 天宸康合職員聲明**

- I, the undersigned, confirm that the contents of this CIRQ, the investment risk profile and the risk profile analysis have been explained to the Client in a language of the Client's choice (English or Chinese)
- I have also explained and invited the Client to read the Disclaimers, ask questions and take independent advice if the Client wishes.
- A copy of the duly completed and signed CIRQ has been given to the above Client.

- 本人（下述簽署人）確認已按照上述客戶所選擇的語言（英文或中文）向客戶解釋此問卷的內容、投資風險程度及風險取向分析。
- 本人已解釋並邀請客戶閱讀免責聲明、提出問題及徵求獨立意見（如客戶有此意願）。
- 本人已將一份已填妥並簽署此問卷的副本給予上述客戶。

________________________________(CE No.:________________)
Signature of Staff 職員簽署

Name 職員姓名:________________________ Department 部門:________________________

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|---|---|---|---|
| **AE Code** | | **CIRQ Type** | ☐ New<br>☐ Renewal |
| **Date** | | **Channel** | ☐ In Person<br>☐ By Phone,<br>Ext. No._______ |
| **Staff Name** | | **Handling Staff Signature** | |