



## ACCOUNT OPENING QUESTIONNAIRE 開戶問卷

In accordance with the Clause 5.1-4 of the SFC Registered Person Code of Conduct, please provide the following information :  
根據證券及期貨事務監察委員會註冊主人操守準則第5.1-4節，請提供以下資料：

Date 日期: \_\_\_\_\_

Name of Account 戶口姓名: \_\_\_\_\_

Account No. 戶口號碼: \_\_\_\_\_

Please “✓” on the most appropriate choice.

請在最適當的選擇旁加上“✓”

- Years of Experience in securities investment 投資證券經驗:  
 Nil 無  1-3 years 年  3-5 years 年  5-10 years 年
- Investment objective in general 投資目標:  
 Short-term speculation 短線  Medium term 中線  Long term 長線
- Annual Salary (in HK\$) 年薪(港幣)  
 Below 250,000 以下  250,000 – 500,000  500,000 – 1,000,000  over 1,000,000 以上
- Have you ever been bankrupt or been issued a bankruptcy order or been subject of a debt restructuring scheme or have some agreement with creditors relating to debt restructuring?  
閣下有否曾經破產或被送達要將你破產的呈請或曾經就涉及財務而成為債務償還安排的一方或與債權人達成任何形式的債務重整協議?  
 Yes 有  No 否
- Bank Information 銀行資料:  
Settlement Bank 交收銀行名稱: \_\_\_\_\_ Account No. 戶口號碼: \_\_\_\_\_  
I am aware that I shall not settle any trading transaction with third-party cheques. 本人明白本人不能以第三者支票交收
- Are you related to any staff of Hani Securities (HK) Limited?  
閣下與恒利證券(香港)有限公司職員是否有任何關係?  
 Yes 有  No 否  
If “Yes”, please give name of staff 如有請註明職員名稱: \_\_\_\_\_
- Are you a Registered Person under the Securities & Futures Ordinance (Cap. 571)?  
閣下是否證券或期貨條例第571章的註冊人士?  
 Yes 有  No 否

Signature

簽署 : ✕ \_\_\_\_\_