

Stock A/C No.: _____
股票賬戶號碼
Stock Option A/C No.: _____
股票期權賬戶號碼
Futures A/C No.: _____
期貨賬戶號碼
Asset Management A/C No.: _____
資產管理賬戶號碼



ACCOUNT OPENING APPLICATION FORM (INDIVIDUAL / JOINT ACCOUNT)

開 戶 申 請 書
(個 人 / 聯 名)

【 】 WONDERLAND INTERNATIONAL SECURITIES LIMITED

華 德 國 際 證 券 有 限 公 司

【 】 WONDERLAND INTERNATIONAL ASSET MANAGEMENT LIMITED

華 德 國 際 資 產 管 理 有 限 公 司

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Required Documentation for Opening Personal Account

開立個人賬戶所需的文件

1. Personal identification document of the account holder(s)

所有賬戶持有人的個人身份證明文件

Hong Kong Residents / Macau Residents

香港居民 / 澳門居民

- ✓ Hong Kong Identity Card / Macau Identity card
香港居民身份證 / 澳門居民身份證

People's Republic of China Residents

中華人民共和國居民

- ✓ PRC Identity Card;
中華人民共和國居民身份證；
- ✓ Exit-Entry Permit for Travelling to and from Hong Kong and Macau; or
中華人民共和國往來港澳通行證；或
- ✓ Valid PRC passport with admission stamp placed or Landing slip issued by Hong Kong Immigration Department
有效的中華人民共和國護照 (須附有入境處蓋印或入境記錄紙)

Other Countries Residents

其他國家居民

- ✓ Valid government-issued photographic driver's license or national identity card containing the current residential address
附有閣下相片及目前居住地址的駕駛執照或國民身份證
- ✓ Valid passport (with valid record of entry to Hong Kong)
有效護照 (須附有效入境證明)

2. Address proof dated within the latest three months e.g.

最近三個月內的住址證明，例如

- ✓ Bills from public utilities;
公共服務單據；或
- ✓ Bank statement;
銀行賬單；或
- ✓ Valid government-issued photographic driver's license or national identity card containing the current residential address
附有閣下相片及目前居住地址的駕駛執照或國民身份證

3. For "Individual Professional Investor", please provide

「個人專業投資者」需提供

- ✓ Current asset certification supporting document of investment portfolio of not less than \$8 million or its equivalent in any foreign other currencies equivalent;
不少於 800 萬港元或等值外幣的流動資產投資組合總值證明；
- ✓ Individual Professional Investor Status and Treatment;
個人專業投資者資格檢定；
- ✓ Individual Professional Investor Confirmation letter;
個人專業投資者確認書；

Documents above should be in the presence of a Lawyer, a Notary Public, a Certified Public Accountant, a branch manager of a bank, or any SFC licensed or registered person.

以上文件需律師/公證人/執業會計師/銀行分行經理或任何證監會持牌人或註冊人見證。

The above list may not be comprehensive, additional proof of identity documentation may be required and to the satisfaction of the Manager and / or the Administrator. If you are not able to provide such document or information, your subscription application may be delayed or rejected.

以上資料未能盡錄，本公司或會要求閣下提供其他文件或資料以完成開戶程序並符合基金經理及/或行政管理人的規定為止。若閣下未能提供有關文件或資料，有關認購申請將可能受到延誤或被拒絕。

CLIENT INFORMATION STATEMENT –PERSONAL

客戶資料報表 – 個人

☐ WONDERLAND INTERNATIONAL SECURITIES LIMITED 華德國際證券有限公司

☐ WONDERLAND INTERNATIONAL ASSET MANAGEMENT LIMITED 華德國際資產管理有限公司

Type of Account ☐ Individual (Please complete part I) 個人戶口 (請填寫第 I 部份) 戶口類別
☐ Joint Name (Please complete part I & II) 聯名戶口 (請填寫第 I 及第 II 部分)
☐ Cash 現金 ☐ Margin 保證金 ☐ Stock Option 股票期權 ☐ Futures 期貨

I. Primary Account Holder 基本戶口持有人

A. Personal Information 個人資料

☐ Mr 先生 ☐ Mrs 太太 ☐ Ms 女士

Name in English 英文姓名：_____

Name in Chinese 中文姓名：_____

HKID Card / Passport No. 香港身份證/護照號碼：_____

Date of Birth (dd/mm/yy) 出生日期 (日 / 月 / 年)：_____

Place of Birth 出生地點：_____

Nationality 國籍：_____

Residential Address 住址：_____

Years in residence 居住年數：_____

Type of residence 居所類別：

☐ self-owned 自置 ☐ live with parents 與父母同住

☐ mortgaged 按揭 ☐ rented 租住 ☐ others 其他

Correspondence Address (if different from above)

通訊地址 (如與上址不同)：_____

Home Tel 住宅電話：_____

Mobile 手機：_____

Fax 傳真：_____

Email 電郵：_____

B. Education Level 學歷

☐ Secondary 中學 ☐ Post-Secondary 預科或大專

☐ University or above 大學或以上

C. Occupation Information 就業資料

☐ employed 受僱 ☐ self-employed 自僱

☐ retired 退休 ☐ unemployed 無業

Company Name 公司名稱：_____

Nature of Business 業務性質：_____

II. Joint Account Holder 聯名戶口所有人

A. Personal Information 個人資料

☐ Mr 先生 ☐ Mrs 太太 ☐ Ms 女士

Name in English 英文姓名：_____

Name in Chinese 中文姓名：_____

HKID Card / Passport No. 香港身份證/護照號碼：_____

Date of Birth (dd/mm/yy) 出生日期 (日 / 月 / 年)：_____

Place of Birth 出生地點：_____

Nationality 國籍：_____

Residential Address 住址：_____

Years in residence 居住年數：_____

Type of residence 居所類別：

☐ self-owned 自置 ☐ live with parents 與父母同住

☐ mortgaged 按揭 ☐ rented 租住 ☐ others 其他

Correspondence Address (if different from above)

通訊地址 (如與上址不同)：_____

Home Tel 住宅電話：_____

Mobile 手機：_____

Fax 傳真：_____

Email 電郵：_____

B. Education Level 學歷

☐ Secondary 中學 ☐ Post-Secondary 預科或大專

☐ University or above 大學或以上

C. Occupation Information 就業資料

☐ employed 受僱 ☐ self-employed 自僱

☐ retired 退休 ☐ unemployed 無業

Company Name 公司名稱：_____

Nature of Business 業務性質：_____

Position 職位： _____

Company Address 公司地址： _____

Company Tel 公司電話： _____

Company Fax 公司傳真： _____

Company Email 公司電郵： _____

Years of service 任職年期： _____

D. Declaration by client 客戶聲明

Are you acting as an intermediary for the account?

閣下是否以中介人身份操作帳戶？

☐ No 否

☐ Yes 是 Ultimate beneficiary 戶口的最終權益擁有人： _____ Relationship 關係： _____

Are you a director or an employee of any exchange participant of the HK Stock Exchange or any licensed or registered person of HKSF?

閣下是否聯交所之交易所參與者或證監會之持牌人士或註冊人士之董事或僱員？

☐ No 否

☐ Yes (please enclose an employer consent letter)
是 (請附僱主同意信)

Are you a relative of any director, employee or representative of WONDERLAND INTERNATIONAL SECURITIES LIMITED / WONDERLAND INTERNATIONAL ASSET MANAGEMENT LIMITED?

閣下是否與華德國際證券有限公司 / 華德國際資產管理有限公司之任何董事、職員或代表有親屬關係？

☐ No 否

☐ Yes, the name of the director, employee or representative and relationship with him / her
是，請列出該董事、職員或代表之名稱及與此人之關係

Have you ever declared bankruptcy? 閣下曾否宣佈破產？

☐ No 否

☐ Yes, please provide date and details
是，請提供日期及詳情

Is your spouse a client of WONDERLAND INTERNATIONAL SECURITIES LIMITED / WONDERLAND INTERNATIONAL ASSET MANAGEMENT LIMITED?

閣下之配偶現在是否持有華德國際證券有限公司 / 華德國際資產管理有限公司之賬戶？

☐ No 否

☐ Yes, account name:
是，戶口名稱： _____
Account Number:
賬戶號碼： _____

☐ Cash Account 現金賬戶 ☐ Margin Account 保證金賬戶

Position 職位： _____

Company Address 公司地址： _____

Company Tel 公司電話： _____

Company Fax 公司傳真： _____

Company Email 公司電郵： _____

Years of service 任職年期： _____

D. Declaration by client 客戶聲明

Are you a director or an employee of any exchange participant of the HK Stock Exchange or any licensed or registered person of HKSF?

閣下是否聯交所之交易所參與者或證監會之持牌人士或註冊人士之董事或僱員？

☐ No 否

☐ Yes (please enclose an employer consent letter)
是 (請附僱主同意信)

Are you a relative of any director, employee or representative of WONDERLAND INTERNATIONAL SECURITIES LIMITED / WONDERLAND INTERNATIONAL ASSET MANAGEMENT LIMITED?

閣下是否與華德國際證券有限公司 / 華德國際資產管理有限公司之任何董事、職員或代表有親屬關係？

☐ No 否

☐ Yes, the name of the director, employee or representative and relationship with him / her
是，請列出該董事、職員或代表之名稱及與此人之關係

Have you ever declared bankruptcy? 閣下曾否宣佈破產？

☐ No 否

☐ Yes, please provide date and details
是，請提供日期及詳情

Is your spouse a client of WONDERLAND INTERNATIONAL SECURITIES LIMITED / WONDERLAND INTERNATIONAL ASSET MANAGEMENT LIMITED?

閣下之配偶現在是否持有華德國際證券有限公司 / 華德國際資產管理有限公司之賬戶？

☐ No 否

☐ Yes, account name:
是，戶口名稱： _____
Account Number:
賬戶號碼： _____

☐ Cash Account 現金賬戶 ☐ Margin Account 保證金賬戶

Do you and / or your spouse control 35% or above of the voting rights of another client of WONDERLAND INTERNATIONAL SECURITIES LIMITED / WONDERLAND INTERNATIONAL ASSET MANAGEMENT LIMITED?

閣下及 / 或閣下之配偶有否持控華德國際證券有限公司 / 華德國際資產管理有限公司另一賬戶當中百分之三十五或以上之表決權？

☐ No 否

☐ Yes, account name:

是，戶口名稱： _____

Account Number:

賬戶號碼： _____

☐ Cash Account 現金賬戶 ☐ Margin Account 保證金賬戶

Do you and / or your spouse control 35% or above of the voting rights of another client of WONDERLAND INTERNATIONAL SECURITIES LIMITED / WONDERLAND INTERNATIONAL ASSET MANAGEMENT LIMITED?

閣下及 / 或閣下之配偶有否持控華德國際證券有限公司 / 華德國際資產管理有限公司另一賬戶當中百分之三十五或以上之表決權？

☐ No 否

☐ Yes, account name:

是，戶口名稱： _____

Account Number:

賬戶號碼： _____

☐ Cash Account 現金賬戶 ☐ Margin Account 保證金賬戶

Are you, your immediate family member, the ultimately beneficiary, his / her immediate family member, to be close associate of, entrusted or has been entrusted with a prominent public function, which includes a head of state, head of government, judicial or military official, senior executive of a state-owned corporation and an important political party official?

閣下、閣下的直系親屬、最終受益人、及其直系親屬是否擔任重要公職，包括國家元首、政府首長、司法或軍事官員、國有企業高級行政人員及重要政黨幹事，或與他們有密切關係？

☐ No 否

☐ Yes, please specify:

是，請註明： _____

Are you, your immediate family member, the ultimately beneficiary, his / her immediate family member, to be close associate of, entrusted or has been entrusted with a prominent public function, which includes a head of state, head of government, judicial or military official, senior executive of a state-owned corporation and an important political party official?

閣下、閣下的直系親屬、最終受益人、及其直系親屬是否擔任重要公職，包括國家元首、政府首長、司法或軍事官員、國有企業高級行政人員及重要政黨幹事，或與他們有密切關係？

☐ No 否

☐ Yes, please specify:

是，請註明： _____

E. Bank Information 銀行資料

Bank Name 銀行名稱： _____

Bank Address (for overseas bank only) 銀行地址 (只適用於海外銀行戶口)： _____

Account Name 戶口名稱： _____ Account Number 戶口號碼： _____

Note: The bank information will be treated as the standing instruction of fund withdrawal by client. (Only for Wonderland International Securities Ltd).

備註：此銀行賬戶將被作為客戶之常設提款指示。(僅適用於華德國際證券有限公司)

F. Financial Background and Trading Experience (If Joint Account, check box based on combined information)

財務背景及交易經驗 (聯名戶口持有人合併計算)

Annual Income (in HK\$) 每年收入 (以港元計算)： _____ Liquid Assets (in HK\$) 流動資產 (以港元計算)： _____

Total Net Worth (in HK\$) 總資產淨值 (以港元計算)： _____

Do you have experience in securities trading? 閣下是否有股票投資經驗？

☐ No 否 ☐ Yes _____ years of experience 是，經驗年數 _____

Do you have investment experience in fund? 閣下是否有投資基金經驗？ ☐ No 否 ☐ Yes 是

☐ Bond Fund, _____ years of experience ☐ PE Fund, _____ years of experience ☐ Mutual Fund, _____ years of experience
債券基金，經驗年數 _____ 私募基金，經驗年數 _____ 共同基金，經驗年數 _____

Do you have experience in other investment trading? 閣下是否有其他投資買賣經驗？ ☐ No 否 ☐ Yes 是

☐ Futures, _____ years of experience ☐ Options, _____ years of experience
期貨，經驗年數 _____ 期權，經驗年數 _____

☐ Foreign Exchange, _____ years of experience ☐ Other, please specify _____ / _____ years of experience
外匯，經驗年數 _____ 其他，請註明 _____ 經驗年數 _____

Do you have experience in derivative products trading? 閣下是否有衍生產品買賣經驗? ☐ No 否 ☐ Yes 是

☐ Structured Products, _____ years of experience ☐ Derivative Warrants, _____ years of experience

結構性產品, 經驗年數 _____

衍生權證, 經驗年數 _____

☐ CBBCs, _____ years of experience

☐ Other, please specify _____ / _____ years of experience

牛熊證, 經驗年數 _____

其他, 請註明 _____ 經驗年數 _____

How much do you plan to put into Securities / Stock Option / Futures / Funds trading investment?

閣下計劃用作股票 / 股票期權 / 期貨 / 基金買賣投資的金額?

☐ Under 低於 HK\$100,000

☐ HK\$100,000 - 499,999

☐ HK\$500,000 - 999,999

☐ Over 高於 HK\$1,000,000

G. Risk Profile Questionnaire & Suitability Assessment 風險取向問卷及適合性評估

Please answer the questions below and complete a separate Client Risk Profiling Questionnaire if you have not completed this previously. For the joint account holders, please complete the Questionnaire by each of the joint account holders. Your latest Client Risk Profile Questionnaire will be provided to you upon request.

請回答以下問題, 並請另外完成「客戶風險取向問卷」, 若屬聯名賬戶, 每位帳戶持有人須各自回答以下問題及填寫一份「客戶風險取向問卷」。閣下可要求查閱閣下於最近期所遞交之「客戶風險取向問卷」。

What level of risk could you tolerate? (in percentage of loss in relation to your portfolio)

閣下能夠承受的風險程度? (虧損佔閣下投資組合百分比)

☐ 10%

☐ 20%

☐ 30%

☐ 40%

☐ 50%

☐ More than 超過 50%

Risk Tolerance

風險容忍度 ☐ Low 低 (1)

☐ Medium 中等 (2/3)

☐ High 高 (4)

1. Conservative

保守型

To protect the capital even the rate of return is low or zero.

即使回報率低或回報為零, 但起碼沒有造成資本金虧損。

2. Prudent

審慎型

Can tolerate the maximum of 20% capital loss, and accept low rate of return.

能夠容忍最多 20% 的虧損, 並可以接受低回報率。

3. Active

積極型

Can tolerate the maximum of 50% capital loss to seek higher investment return.

能夠容忍最多 50% 的虧損, 以期提升潛在的投資回報。

4. Aggressive

進取型

Can tolerate high capital loss of more than 50% to seek predominately capital growth.

能夠容忍重大本金虧損 (50% 以上), 以取得最高的回報。

What is your investment objective? (i) ☐ Long Term 長期投資 ☐ Medium Term 中期投資 ☐ Short Term 短期投資

閣下的投資目標是?

(ii) ☐ Speculation 投機 ☐ Hedge 對沖 ☐ Capital Appreciation 資本增值

☐ Dividend Yield 股息回報

☐ Others, please specify 其他, 請註明 _____

WONDERLAND INTERNATIONAL SECURITIES LIMITED / WONDERLAND INTERNATIONAL ASSET MANAGEMENT LIMITED will conduct a Suitability Assessment comparing the product risk rating against your risk tolerance level (which is derived from the latest Client Risk Profile Questionnaire you submitted and your answers to the Questions above). If there is a match, we will process the order and subject to the terms and conditions of the latest Offering Document. However, if there is a mis-match, we will not process the order when a mismatch of risks occurs unless we are able to reach you to understand your investment rationale and receive confirmation.

華德國際證券有限公司 / 華德國際資產管理有限公司會透過比較產品風險評級與閣下的風險承受程度(根據閣下所遞交最近的「客戶風險取向問卷」及閣下於以上問題之答案來進行適合性評估。如結果是相符, 我們會依照有關基金銷售文件的條款繼續執行有關交易指示。然而, 如結果是不相符的話, 我們將不會執行產品風險評級與閣下的風險承受程度不相符的交易指示, 除非我們能夠在交易前與閣下聯絡並了解閣下的投資意向及確認指示。

Important Clause 重要條款

If WONDERLAND INTERNATIONAL SECURITIES LIMITED / WONDERLAND INTERNATIONAL ASSET MANAGEMENT LIMITED ("WI") solicit the sale of or recommend any financial products to Client ("you"), the financial product must be reasonably suitable for you having regard to your financial situation, investment experience and investment objectives. No other provision of this agreement or any other document WI may ask you to sign and no statement WI may ask you to make derogates from this clause.

假如華德國際證券有限公司 / 華德國際資產管理有限公司(「華德國際」)向客戶(「閣下」)招攬銷售或建議任何金融產品, 該金融產品必須是華德國際經考慮閣下的財政狀況、投資經驗及投資目標後而認為合理地適合閣下的。本協議的其他條文或任何其他華德國際可能要求閣下簽署的文件及華德國際可能要求閣下作出的聲明概不會減損本條款的效力。

Note: "Financial product" means any securities, futures contracts or leveraged foreign exchange contracts as defined under the SFO. Regarding "leveraged foreign exchange contracts", it is only applicable to those traded by persons licensed for Type 3 regulated activity. "

註: 「金融產品」《證券及期貨條例》所界定的任何證券、期貨合約或槓桿式外匯交易合約。就「槓桿式外匯交易合約」而言, 其只適用於由獲得發牌經營第3類受規管活動的人所買賣的該等槓桿式外匯交易合約。

H. Declaration 聲明

I / We hereby declare and confirm that the information stated in the Client Information Statement is true, complete and correct. I / We hereby acknowledge and agree that WONDERLAND INTERNATIONAL SECURITIES LIMITED / WONDERLAND INTERNATIONAL ASSET MANAGEMENT LIMITED may rely on such information for all purposes, unless and until WONDERLAND INTERNATIONAL SECURITIES LIMITED/ WONDERLAND INTERNATIONAL ASSET MANAGEMENT LIMITED receives notice in writing from me/us of any change.

本人（等）聲明及確認，本客戶資料報表內陳述的資料為真實、完整及準確。如該等資料有任何重大變更，本人（等）將通知華德國際證券有限公司 / 華德國際資產管理有限公司。本人（等）謹此確認及同意，華德國際證券有限公司 / 華德國際資產管理有限公司可就所有目的依據該等資料，除非及直至華德國際證券有限公司 / 華德國際資產管理有限公司接到本人（等）書面通知任何轉變。

Individual / Primary Joint Account Holder's Signature

個人/第一聯名戶口持有人簽署

Secondary Joint Account Holder's Signature

第二聯名戶口持有人簽署

Name 姓名：_____

Name 姓名：_____

Date 日期：_____

Date 日期：_____

Authorized Persons Information

獲授權人士資料

Account No. 賬戶號碼：_____

☐ Mr 先生 ☐ Mrs 太太 ☐ Ms 小姐

Name in English 英文姓名：_____ Name in Chinese 中文姓名：_____

HKID Card / Passport No. (please provide a copy) 香港身份證 / 護照號碼 (請提供副本一份)：_____

Residential Address 住址：_____

Correspondence Address (if different from above)

通訊地址 (如與上址不同)：_____

Contact No. 聯絡號碼

Mobile 手機：_____ Company Tel 公司電話：_____

Email 電郵：_____

Occupation 職業

Name of Employer 僱主名稱：_____

Nature of Business 業務性質：_____

Position 職位：_____ Years of Service 在公司服務年數：_____

Relationship with the client 與客戶關係：_____

Are you a director or an employee of any exchange participant of the HK Stock Exchange or any licensed or registered person of HK SFC?

閣下是否聯交所之交易所參與者或證監會之持牌人士或註冊人士之董事或僱員？

☐ No 否 ☐ Yes (please enclose an employer consent letter) 是 (請附僱主同意信)

Declaration

聲明

The Client authorizes and instructs WONDERLAND INTERNATIONAL SECURITIES LIMITED / WONDERLAND INTERNATIONAL ASSET MANAGEMENT LIMITED ("The Broker / The Asset Management Company") to act on the instructions given by the Authorized Person.

客戶授權及指示華德國際證券有限公司 / 華德國際資產管理有限公司 (「經紀 / 資產管理公司」) 按獲授權人士發出的指示行事。

I / We hereby declare and confirm that the information stated in the Authorized Persons Information is true and correct and agree to notify The Broker / The Asset Management Company any change in due course.

本人 (等) 聲明及確認，獲授權人士資料報表內陳述的資料真實及準確並同意適時通知經紀 / 資產管理公司有關該等資料之任何變更。

Authorized Person's Signature 獲授權人簽署

Name 姓名：_____

Date 日期：_____

Account Holder's Signature 戶口持有人簽署

Name 姓名：_____

Date 日期：_____

Remarks 備註：

1. This authorization is valid for a period of 12 months from the date hereof (the "Period"), and shall be deemed to be renewed on a continuing basis (for a period of coming 12 months) in case the Client does not object to such deemed renewal before expiry of the Period upon issue of written notice by WONDERLAND INTERNATIONAL SECURITIES LIMITED / WONDERLAND INTERNATIONAL ASSET MANAGEMENT LIMITED.

本授權書的有效期限為十二個月，自本授權書之日起予以生效計 (「有效期」)。假若經紀 / 資產管理公司發出書面通知而客戶沒有在有效期提出反對，本授權書應當作按持續的基準 (即之後十二個月) 予以續期。

2. This authorization is for placing order only.

此授權僅適用於下達落盤指令。

3. No directors or officers or employees of The Broker / The Asset Management Company are allowed to act as the Authorized Person herein.

經紀 / 資產管理公司的董事、員工、或雇員不予以容許作為授權人士。

☐ **RISK DISCLOSURE ACKNOWLEDGEMENT**

風險披露確認

☐ **RISK DISCLOSURE FOR DERIVATIVE PRODUCTS ACKNOWLEDGEMENT**

衍生產品的風險披露確認

☐ **RISK FACTORS AND CONFLICTS OF INTEREST STATEMENT ACKNOWLEDGEMENT**

基金產品風險因素和利益衝突聲明確認

I / We confirm that 本人（等）確認：

the above Risk Disclosure Statements have been provided to me / us in a language of my / our choice (English or Chinese); and
本人（等）獲提供屬於本人（等）所選擇語文（英文或中文）的風險披露聲明；及

(i) ☐ I was / We were invited to read the Risk Disclosure Statements, to ask questions and take independent advice if I / we so wish.

本人（等）獲邀請閱讀風險披露聲明、提出疑問，以及如本人（等）認為需要，尋求獨立意見。

(ii) ☐ I was / We were invited to read the Risk Disclosure Statements for Derivative Products, to ask questions and take independent advice if I / we so wish.

本人（等）獲邀請閱讀衍生產品風險披露聲明、提出疑問，以及如本人（等）認為需要，尋求獨立意見。

(iii) ☐ I was / We were invited to read the Risk Factors and Conflicts of Interest Statements for Fund Products, to ask questions and take independent advice if I / we so wish.

本人（等）獲邀請閱讀基金產品風險因素和利益衝突聲明、提出疑問，以及如本人（等）認為需要，尋求獨立意見。

Individual / Primary Joint Account Holder's Signature

個人/第一聯名戶口持有人簽署

Secondary Joint Account Holder's Signature

第二聯名戶口持有人簽署

Name 姓名：_____

Name 姓名：_____

Date 日期：_____

Date 日期：_____

FOR OFFICE USE ONLY - DECLARATION 公司專用 - 聲明

☐ I confirm that the above Risk Disclosure Statements have been provided to the Client in a language of the Client's choice (English or Chinese). I have invited the Client to read the Risk Disclosure Statements, ask questions and take independent advice if the Client so wishes.
本人（等）確認，以上風險披露聲明已按客戶選擇的語言（英文或中文）提供予客戶。本人（等）已邀請客戶閱讀風險披露聲明、提出疑問，以及如客戶認為需要，尋求獨立意見。

☐ I confirm that the above Risk Disclosure Statements for Derivative Products have been provided to the Client in a language of the Client's choice (English or Chinese). I have invited the Client to read the Risk Disclosure Statements for Derivative Products, ask questions and take independent advice if the Client so wishes.
本人（等）確認，以上衍生產品風險披露聲明已按客戶選擇的語言（英文或中文）提供予客戶。本人（等）已邀請客戶閱讀衍生產品風險披露聲明、提出疑問，以及如客戶認為需要，尋求獨立意見。

☐ I confirm that the above Risk Factors and Conflicts of Interest Statements for Fund Products have been provided to the Client in a language of the Client's choice (English or Chinese). I have invited the Client to read the Risk Factors and Conflicts of Interest Statements for Fund Products, ask questions and take independent advice if the Client so wishes.

本人（等）確認，以上基金產品風險因素和利益衝突聲明已按客戶選擇的語言（英文或中文）提供予客戶。本人（等）已邀請客戶閱讀基金產品風險因素和利益衝突聲明、提出疑問，以及如客戶認為需要，尋求獨立意見。

Signed 簽署：_____

Name 姓名：_____

A licensed representative of The Broker / The Asset Management Company
證券公司的持牌代表 / 資產管理公司的持牌代表

CE Number assigned by the SFC: _____

Date 日期：_____

證監會中央編號

EXECUTION OF CLIENT SERVICES AGREEMENT

客戶服務協議的確立

I / We have read and fully understand and accept in full the terms of this Client Services Agreement of WONDERLAND INTERNATIONAL SECURITIES LIMITED / WONDERLAND INTERNATIONAL ASSET MANAGEMENT LIMITED including the Risk Disclosure Statements, the Risk Factors and Conflicts of Interest Statements for Fund Products.

本人（等）已閱讀及完全明白及全面接納華德國際證券有限公司 / 華德國際資產管理有限公司的客戶服務協議的全部條款，包括風險披露聲明，基金產品風險因素和利益衝突聲明。

Signed by the Client 客戶簽署

Signed by the Client 客戶簽署

Name 姓名：_____

Name 姓名：_____

Date 日期：_____

Date 日期：_____

Signed by the Witness 見證人簽署

Date 日期：_____

Name 姓名：_____

Occupation 職業：_____

Address 地址：_____

FOR OFFICE USE ONLY 公司專用

Accepted on behalf of WONDERLAND INTERNATIONAL SECURITIES LIMITED / WONDERLAND INTERNATIONAL ASSET MANAGEMENT LIMITED

代表華德國際證券有限公司 / 華德國際資產管理有限公司接納

Responsible Officer Signature 負責人員簽署

Compliance Officer Signature 法規主任簽署

Name 姓名：_____

Name 姓名：_____

Date 日期：_____

Date 日期：_____

STANDING AUTHORITY ON MARGIN CLIENT SECURITIES AND SECURITIES COLLATERAL

客戶證券及證券抵押品常設授權書

To: WONDERLAND INTERNATIONAL SECURITIES LIMITED
20/F, No.9 Des Voeux Road West, Sheung Wan, Hong Kong

This letter serves as my / our official notification and standing authority to you with immediate effect. Unless otherwise stated, the terms used in this letter shall have the same meanings as in the Securities and Futures Ordinance and the Securities and Futures (Client Securities) Rules as amended from time to time.

In consideration of your agreeing to continue to maintain securities margin account(s) for me / us, I / we have authorized you to deal with my / our securities and securities collateral from time to time received or held by you on my/our behalf in one or more of the following ways without further notice to or consent from me / us:

1. to apply any of my / our securities or securities collateral pursuant to a securities borrowing and lending agreement;
2. to deposit any of my / our securities collateral with an authorized financial institution as collateral for financial accommodation provided to you;
3. to deposit any of the securities collateral with the Hong Kong Securities Clearing Company Limited or another intermediary licensed or registered for dealing in securities as collateral for the discharge and satisfaction of your settlement obligations and liabilities; and
4. to treat and deal with the securities and securities collateral in such manner as you consider appropriate taking into account any applicable legal or regulatory requirement from time to time.

I / We acknowledge that this authority shall not affect your right to dispose of my / our securities or securities collateral in settlement of any liability owed by or on my / our behalf to you or a third party.

This authority is valid for a period of 12 months from the date of this letter. I / We can revoke this authority by giving you written notice at the address specified above provided that there is no indebtedness owing to you in my / our securities margin account and such notice shall take effect upon expiry of 7 business days from the date of actual receipt of such notice.

I / We understand that this authority shall be deemed to be renewed on a continuing basis (for a period of coming 12 months) without my / our written consent if you have issued to me / us a written reminder at least 14 days prior to the expiry of the authority, and I / we do not object to such deemed renewal before such expiry date.

I / We understand that if I / we sign this authority and my / our securities or securities collateral are lent to or deposited with third parties, those third parties will have a lien or charge on my / our securities or securities collateral, which you must satisfy before my / our securities can be returned to us. A default by you could result in the loss of my / our securities or securities collateral. I / We agree and confirm that you are entitled to receive and retain for your or their own benefit and not be accountable to me / us for any remuneration, income, rebates benefits resulting from any dealing with my / our securities or securities collateral.

This letter has been explained to me / us and I / we fully understand and agree to the content of this letter.

Account Holder's Signature: _____
戶口持有人簽署

Account Name: _____
賬戶名稱

致：華德國際證券有限公司
香港上環德輔道西9號20樓

本授權書為本人（等）授予貴公司之正式通知和常設授權書，即時生效。除非另有說明，本授權書之詞彙與證券及期貨條例及證券及期貨（客戶證券）規則不時修訂之定義具有相同含意。

鑑於貴公司同意繼續維持本人（等）之證券保證金賬戶，本人（等）同意並授權貴公司毋須進一步通知本人（等）或取得本人（等）的同意以下列一種或多於一種方式去處理不時由貴公司代本人（等）收取或持有的證券及證券抵押品：

1. 依據證券借貸協議運用任何有關證券或證券抵押品；
2. 將任何有關證券抵押品存放於認可財務機構，作為提供予貴公司的財務通融的抵押品；
3. 將任何有關證券抵押品存放於獲香港中央結算有限公司或另一獲發牌或獲註冊進行證券交易的中介人，作為解除和清償貴公司在交收上的義務和法律責任的抵押品；及
4. 於顧及任何適用的法律或監管要求的情況下，以貴公司認為適當的方式對待及處理有關證券及證券抵押品。

本人（等）確認本授權書不影響貴公司處置本人（等）之證券或證券抵押品的權利從而解除由本人（等）或代本人（等）對貴公司或第三者所負上的法律責任。

本授權書的有效期限為十二個月，自本授權書之日起計予以生效。如本人（等）之證券保證金賬戶概無欠負貴公司任何債項的情況下，本人（等）可以向貴公司位於上述所列明之地址發出書面通知，撤回本授權書。該等通知之生效日期為貴公司確實收到該等通知後之7個工作日計。

本人（等）明白貴公司若在本授權書的有效期限屆滿前14日之前，向本人（等）發出書面通知，提醒本人（等）授權書即將屆滿，而本人（等）沒有在此授權屆滿前反對此授權續期，本授權書應當作在不需本人（等）的書面同意下按持續的基準（即之後十二個月）予以續期。

本人（等）明白倘若本人（等）簽署此授權書，而本人（等）的證券或證券抵押品已借出予或存放於第三方，該等第三方將對本人（等）的證券或證券抵押品具有留置權或作出押記，而貴公司先要解除該留置權或押記才可向本人（等）退回本人（等）之證券。貴公司的失責行為可能會導致本人（等）損失的證券或證券抵押品。本人（等）同意並確認貴公司有權收取及保留任何由於處理本人（等）的證券或證券抵押品所產生的任何報酬、收入、回佣或其他利益作為貴公司利益而無須向本人（等）負責。

本人（等）就本授權書的內容已獲得解釋，並且本人（等）充分明白及同意本授權書的內容。

Date: _____
日期

Account Number: _____
賬戶號碼

For Internal Use Only

A/C Type	Commission Rate %	Minimum	Rebate % / Minimum	A.E. Code
Stock				
Stock Option				
Futures				
Asset Management				

Applied by

Approved by

 Account Executive

 Responsible Officer

 Name of Account Executive

 Name of Responsible Officer

華德國際證券有限公司

WONDERLAND INTERNATIONAL SECURITIES LIMITED

香港德輔道西 9 號 20 樓

20/F, No. 9 Des Voeux Road West, Sheung Wan Hong Kong

Tel: (852) 3951 3888 Fax: (852) 3951 3838

Email: customerservice@wondint.com

聯交所經紀代號 7639 CCASS: B01447 期交所經紀代號: WLH

DCASS: CWLH 證監會中央編號(CE No.): ABN652



華德國際資產管理有限公司

WONDERLAND INTERNATIONAL ASSET MANAGEMENT LIMITED

香港德輔道西 9 號 20 樓

20/F, No. 9 Des Voeux Road West, Sheung Wan Hong Kong

Tel: (852) 3951 3888 Fax: (852) 3951 3838

Email: wondint@wondint.com

證監會中央編號(CE No.): BGP105

