

GUOTAI JUNAN SECURITIES (HONG KONG) LIMITED  
 國泰君安證券(香港)有限公司  
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 181 Queen's Road Central, Hong Kong.  
 香港中環皇后大道中 181 號新紀元廣場低座 27 樓  
 Website 網址: [www.gtja.com.hk](http://www.gtja.com.hk)

Client Code: _____	AE Code : _____
Contract Commission Plan: _____	Assigned Exercise Commission Plan : _____
A/C Group: _____	Date of Approval: _____
Approved by RO: _____	Name of RO: _____

## 股票期權交易開戶申請表格

## STOCK OPTIONS TRADING ACCOUNT OPENING FORM

<b>1 CLIENT INFORMATION 客戶資料</b>	
Securities A/C No.: 證券帳戶號碼:	
INDIVIDUAL CLIENT 個人客戶	
English Name: 英文姓名:	Chinese Name: 中文姓名:
CORPORATE CLIENT 公司客戶	
Company Name (English): 公司名稱 (英文):	Company Name (Chinese): 公司名稱 (中文):
<b>2 KNOWLEDGE OF DERIVATIVES 衍生產品的認識 (Please tick the appropriate box. 請在適當空格加✓)</b>	
Have you ever attended any courses or seminars on derivative product(s)? 您曾否接受有關衍生產品的培訓或相關課程? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 不是	
Has any of your current work experience been related to derivative product(s)? 您現時的工作經驗是否與衍生產品有關? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 不是	
Has any of your previous work experience ever been related to derivative product(s)? 您以往的工作經驗是否與衍生產品有關? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 不是 Name of employer 僱主名稱: _____ Relevant employment period 在職日期: _____	
Do you ever have any trading experience in derivative product(s)? 您以往曾否有買賣衍生產品的經驗? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 不是 Please state the derivative product(s) you traded: 請提供您以往有買賣的衍生產品: <input type="checkbox"/> Callable Bull/Bear Contracts (CBBC) 牛熊證 <input type="checkbox"/> Derivative Warrants 衍生認股證 <input type="checkbox"/> Equity Linked Instruments / Notes (ELI/ELN) 股票掛鈎產品 <input type="checkbox"/> Futures and Options 期貨或期權合約交易 <input type="checkbox"/> Stock Options 股票期權 <input type="checkbox"/> Others 其他: _____	
Have you executed five or more transactions in derivative products within the past three years? 您曾否在以往三年內執行過五宗或以上結構性或衍生產品交易? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 不是	

### 3 DECLARATION BY CLIENT 客戶聲明

本人/吾等已仔細審閱并理解本股票期權交易客戶協議書(“本協議”)(請轉抄自本協議首頁的序列編碼於此 \_\_\_\_\_) 的全部內容。本

人/吾等的以下簽名表明客戶完全同意和接受本協議的全部條款和細節，本人/吾等并在此聲明，本人/吾等接受國泰君安證券的提醒，可以詢問有關股票期權買賣的相關法律法規、佣金費用和本協議第 19 條中有關風險披露聲明等問題。本人/吾等充分理解國泰君安證券對相關問題的解釋和說明，本人/吾等有能力并願意履行承擔本協議規定的權利和義務。

I/We have carefully read and understood the contents of the Client Agreement for Stock Options Trading (“Agreement”) (please copy the Version Series Number from the front page of the Agreement here \_\_\_\_\_). I/We expressly agree and consent, as evidence by my/our signature(s) below, to each and all the terms and provisions contained in the Agreement. I/We also acknowledge that I/We have been invited to ask questions about the relevant laws and regulations, commission and fees schedules as well as the Risk Disclosure Statement in Clause 19 of the Agreement. I/We have satisfied with the explanations and clarifications provided to me/us. I/We hereby declare that I/we am/are willing and capable of fulfilling the duties and obligations as specified in the Agreement.

個人客戶簽名 Signature by Individual Client(s)	公司客戶簽名 Signature by Corporate Client
<p>X _____</p> <p>客戶簽署 Client Signature</p> <p>客戶姓名(請書寫):</p> <p>Client Name (Print): _____</p> <p>證件號碼:</p> <p>Identity Card No. _____</p> <p>日期:</p> <p>Date: _____</p>	<p>X _____</p> <p>公司印章及授權簽名 Authorized Signature(s) with company chop</p> <p>授權簽署人姓名 Name of Authorized signature(s):</p> <p>(1) _____</p> <p>(2) _____</p> <p>日期:</p> <p>Date: _____</p>

SIGNED by Witness 見證人簽署	SIGNED and DECLARED by Licensed Representative who has explained to the Client the Risk Disclosure Statements in Clause 19 of this Agreement.
<p>I, the undersigned, have witnessed the signature and inspected the original identity documents of the above-named client.</p> <p>本人已見證及驗證上述客戶之簽署及有關其身分證明文件之正本</p> <p>見證人簽署:</p> <p>Signature of Witness: _____</p> <p>見證人姓名(請以正楷書寫):</p> <p>Name of Witness (Print): _____</p> <p>見證人職位:</p> <p>Witness' Qualification: _____</p> <p>日期:</p> <p>Date: _____</p>	<p>持牌代表向客戶解釋本協議第 19 條中的風險披露聲明及簽署。</p> <p>持牌代表簽署:</p> <p>Signature of Licensed Representative: _____</p> <p>持牌代表姓名(請以正楷書寫):</p> <p>Name of Licensed Representative (Print): _____</p> <p>持牌代表中央編號:</p> <p>CE Number of Licensed Representative: _____</p> <p>日期:</p> <p>Date: _____</p>

For GTJA Use only	Approved	Signature Verified & Inputted	Reviewed
	Risk Mgt. Dept.	COB	COB
Signature			
Date			