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ACCOUNT OPENING FORM (Individual Account/Joint Account) 開戶表格 (個人帳戶/聯名帳戶)

If applicable, please tick appropriate box 如適用，請在適當的空格加上✓號

Account Type(s) 帳戶類別

Individual Account 個人帳戶

Joint Account 聯名帳戶

Cash Securities Trading Account 現金證券交易帳戶

Margin Securities Trading Account 保證金證券交易帳戶

Service(s) 服務

Electronic Trading Service 電子交易服務

Individual Account/Joint Account Information 個人帳戶/聯名帳戶資料

Account Holder (1)

帳戶持有人 (1)

- Mr. 先生
 Ms. 女士
 Mrs. 太太

English Name:

英文姓名：

Chinese Name:

中文姓名：

Account Holder (2) (For Joint Account only)

帳戶持有人 (2) (只適用於聯名帳戶)

- Mr. 先生
 Ms. 女士
 Mrs. 太太

English Name:

英文姓名：

Chinese Name:

中文姓名：

Relationship:

關係：

ID Card/Passport No.: 身份證/護照號碼：

ID Card/Passport No.: 身份證/護照號碼：

Place of Birth :

出生地點：

Nationality:

國籍：

Place of Birth:

出生地點：

Nationality:

國籍：

Date of Birth (DD/MM/YYYY): 出生日期 (日/月/年)：

Date of Birth (DD/MM/YYYY): 出生日期 (日/月/年)：

Residential Address:

住宅地址：

Residential Address:

住宅地址：

Ownership of Residence: 住屋業權：

Owned 自置

Rented 租住

Living with Family 與家人同住 Other 其他 _____

Ownership of Residence: 住屋業權：

Owned 自置

Rented 租住

Living with Family 與家人同住 Other 其他 _____

Correspondence Address:

通訊地址：

Correspondence Address:

通訊地址：

Home Telephone No.: 住宅電話號碼：

Home Telephone No.: 住宅電話號碼：

Mobile Phone No.: 手提電話號碼：

Mobile Phone No.: 手提電話號碼：

Fax No.: 傳真號碼：

Fax No.: 傳真號碼：

Office Telephone No.: 辦公室電話號碼：

Office Telephone No.: 辦公室電話號碼：

E-mail Address:

電子郵件地址：

E-mail Address:

電子郵件地址：

Education: 教育程度：

Primary or below 小學或以下

Secondary 中學

Tertiary 大專

University or above 大學或以上

Education: 教育程度：

Primary or below 小學或以下

Secondary 中學

Tertiary 大專

University or above 大學或以上

Bank Information 銀行資料

Currency 貨幣

Name of Bank 銀行名稱

Account Name 帳戶名稱

Account No. 帳戶號碼

HKD 港幣

CNY 人民幣

USD 美元

Employment Information 就業資料							
Employment Status: 就業狀況:				Employment Status: 就業狀況:			
<input type="checkbox"/> Full-time employed 全職		<input type="checkbox"/> Self-employed 自僱		<input type="checkbox"/> Full-time employed 全職		<input type="checkbox"/> Self-employed 自僱	
<input type="checkbox"/> Part-time employed 兼職		<input type="checkbox"/> Retired 退休		<input type="checkbox"/> Part-time employed 兼職		<input type="checkbox"/> Retired 退休	
<input type="checkbox"/> Other 其他 _____				<input type="checkbox"/> Other 其他 _____			
Name of Employer: 僱主機構名稱:				Name of Employer: 僱主機構名稱:			
Nature of Business: 業務性質:		Current Position: 現任職位:		Nature of Business: 業務性質:		Current Position: 現任職位:	
		Years of Service: 服務年資:				Years of Service: 服務年資:	
Office Address: 辦公室地址:				Office Address: 辦公室地址:			
Financial Status 財務狀況							
Annual Income (HK\$): 每年收入 (港幣):				Annual Income (HK\$): 每年收入 (港幣):			
<input type="checkbox"/> <200,000		<input type="checkbox"/> 500,001 - 1,000,000		<input type="checkbox"/> <200,000		<input type="checkbox"/> 500,001 - 1,000,000	
<input type="checkbox"/> 200,000 - 500,000		<input type="checkbox"/> >1,000,000		<input type="checkbox"/> 200,000 - 500,000		<input type="checkbox"/> >1,000,000	
Total Net Value of Assets (HK\$): 資產淨值 (港幣):				Total Net Value of Assets (HK\$) 資產淨值 (港幣):			
<input type="checkbox"/> < 500,000		<input type="checkbox"/> 2,500,001 - 5,000,000		<input type="checkbox"/> < 500,000		<input type="checkbox"/> 2,500,001 - 5,000,000	
<input type="checkbox"/> 500,000 - 2,500,000		<input type="checkbox"/> > 5,000,000		<input type="checkbox"/> 500,000 - 2,500,000		<input type="checkbox"/> > 5,000,000	
Asset Type: 資產類別:				Asset Type: 資產類別:			
<input type="checkbox"/> Cash/Deposit 現金/存款		<input type="checkbox"/> Funds 基金		<input type="checkbox"/> Cash/Deposit 現金/存款		<input type="checkbox"/> Funds 基金	
<input type="checkbox"/> Land and Property 房地產		<input type="checkbox"/> Bonds/Debentures 債券		<input type="checkbox"/> Land and Property 房地產		<input type="checkbox"/> Bonds/Debentures 債券	
<input type="checkbox"/> Company Shares 公司股份		<input type="checkbox"/> Foreign Exchange 外匯		<input type="checkbox"/> Company Shares 公司股份		<input type="checkbox"/> Foreign Exchange 外匯	
<input type="checkbox"/> Inheritance 遺產		<input type="checkbox"/> Others 其他 _____		<input type="checkbox"/> Inheritance 遺產		<input type="checkbox"/> Others 其他 _____	
<input type="checkbox"/> Stocks 股票				<input type="checkbox"/> Stocks 股票			
Source of Funds: 資金來源:				Source of Funds: 資金來源:			
<input type="checkbox"/> Salary/Bonus 薪金/花紅		<input type="checkbox"/> Retirement Scheme 退休金計劃		<input type="checkbox"/> Salary/Bonus 薪金/花紅		<input type="checkbox"/> Retirement Scheme 退休金計劃	
<input type="checkbox"/> Saving 儲蓄		<input type="checkbox"/> Sale of properties 出售物業		<input type="checkbox"/> Saving 儲蓄		<input type="checkbox"/> Sale of properties 出售物業	
<input type="checkbox"/> Rental Income 租金收入		<input type="checkbox"/> Sale of investment 出售投資		<input type="checkbox"/> Rental Income 租金收入		<input type="checkbox"/> Sale of investment 出售投資	
<input type="checkbox"/> Business Profit 業務溢利		<input type="checkbox"/> Others (please list) 其他 (請列明):		<input type="checkbox"/> Business Profit 業務溢利		<input type="checkbox"/> Others (please list) 其他 (請列明):	
<input type="checkbox"/> Dividend/Interest 股息/利息 _____				<input type="checkbox"/> Dividend/Interest 股息/利息 _____			
Client Investment Objective(s) and Experience 客戶目標及投資經驗							
Investment Objective(s): 投資目的:				Investment Objective(s): 投資目的:			
<input type="checkbox"/> Long Term 長線		<input type="checkbox"/> Capital Appreciation 資本增值		<input type="checkbox"/> Long Term 長線		<input type="checkbox"/> Capital Appreciation 資本增值	
<input type="checkbox"/> Medium Term 中線		<input type="checkbox"/> Dividend Yield 股息回報		<input type="checkbox"/> Medium Term 中線		<input type="checkbox"/> Dividend Yield 股息回報	
<input type="checkbox"/> Short Term 短線		<input type="checkbox"/> Hedging 對沖		<input type="checkbox"/> Short Term 短線		<input type="checkbox"/> Hedging 對沖	
		<input type="checkbox"/> Speculation 投機				<input type="checkbox"/> Speculation 投機	
Investment Experience: 投資經驗:				Investment Experience: 投資經驗:			
<input type="checkbox"/> Less than 1 year 少於一年		<input type="checkbox"/> 6 - 10 years 六至十年		<input type="checkbox"/> Less than 1 year 少於一年		<input type="checkbox"/> 6 - 10 years 六至十年	
<input type="checkbox"/> 1 - 5 years 一至五年		<input type="checkbox"/> More than 10 years 十年以上		<input type="checkbox"/> 1 - 5 years 一至五年		<input type="checkbox"/> More than 10 years 十年以上	
Investment Products: 曾投資產品:				Investment Products: 曾投資產品:			
Product Type 產品種類	Less than 1 year 少於 1 年	1 - 5 years 1 - 5 年	Above 5 years 5 年以上	Product Type 產品種類	Less than 1 year 少於 1 年	1 - 5 years 1 - 5 年	Above 5 years 5 年以上
<input type="checkbox"/> Stocks 股票	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Stocks 股票	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> CBBC 牛熊證	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> CBBC 牛熊證	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Warrants 衍生權證 (窩輪)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Warrants 衍生權證 (窩輪)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Futures 期貨	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Futures 期貨	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Options 期權	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Options 期權	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Bonds 債券	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Bonds 債券	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Funds 基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Funds 基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Others 其他: _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Others 其他: _____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Estimated Investment Amount (HK\$): 估計投資金額 (港幣): <input type="checkbox"/> < 100,000 <input type="checkbox"/> 1,000,001 – 5,000,000 <input type="checkbox"/> 100,000 – 500,000 <input type="checkbox"/> 5,000,001 – 10,000,000 <input type="checkbox"/> 500,001 – 1,000,000 <input type="checkbox"/> > 10,000,000		Estimated Investment Amount (HK\$): 估計投資金額 (港幣): <input type="checkbox"/> < 100,000 <input type="checkbox"/> 1,000,001 – 5,000,000 <input type="checkbox"/> 100,000 – 500,000 <input type="checkbox"/> 5,000,001 – 10,000,000 <input type="checkbox"/> 500,001 – 1,000,000 <input type="checkbox"/> > 10,000,000	
Client's Knowledge of Derivative Products 客戶對衍生產品的認識			
<p>I acknowledge and understand Joy Rich Securities Investment Limited (“JRSIL”) will assess whether I have adequate knowledge on derivative products according to the information that I provided. 本人知悉及明白海富證券投資有限公司 (“海富證券”) 將根據本人提供的資料以評估本人是否對衍生工具產品有認識。</p> <p><input type="checkbox"/> 1. I underwent training or attended courses on derivative products that provide general knowledge of the nature and risks of derivatives (e.g. courses offered by academic or financial institutions). 本人已接受有關介紹一般衍生產品之性質及風險的培訓或課程 (例如學術機構或金融機構所提供之課程)。</p> <p><input type="checkbox"/> 2. I have current or previous work experience related to derivative products. 本人現時或過去擁有與衍生產品有關的工作經驗。</p> <p><input type="checkbox"/> 3. I have executed five or more transactions in derivative products within the past three years. 本人於過去三年曾執行五次或以上有關衍生產品的交易。</p> <p><input type="checkbox"/> 4. I do not have any knowledge of derivative products. 本人並未有衍生產品之認識。</p>		<p>I acknowledge and understand Joy Rich Securities Investment Limited (“JRSIL”) will assess whether I have adequate knowledge on derivative products according to the information that I provided. 本人知悉及明白海富證券投資有限公司 (“海富證券”) 將根據本人提供的資料以評估本人是否對衍生工具產品有認識。</p> <p><input type="checkbox"/> 1. I underwent training or attended courses on derivative products that provide general knowledge of the nature and risks of derivatives (e.g. courses offered by academic or financial institutions). 本人已接受有關介紹一般衍生產品之性質及風險的培訓或課程 (例如學術機構或金融機構所提供之課程)。</p> <p><input type="checkbox"/> 2. I have current or previous work experience related to derivative products. 本人現時或過去擁有與衍生產品有關的工作經驗。</p> <p><input type="checkbox"/> 3. I have executed five or more transactions in derivative products within the past three years. 本人於過去三年曾執行五次或以上有關衍生產品的交易。</p> <p><input type="checkbox"/> 4. I do not have any knowledge of derivative products. 本人並未有衍生產品之認識。</p>	
Ultimate Beneficial Owner(s) of the Account 帳戶的最終實益擁有人			
<p>Are you the ultimate beneficial owner(s) of the Account(s) who stands to gain the commercial or economic benefit of the transaction(s) and/or bear its commercial risk? 閣下是否將會從交易中取得商業或經濟利益及/或此帳戶之承擔商業或經濟風險的最終實益擁有人?</p> <p><input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否</p> <p>If no, please specify ultimate beneficial owner(s) information: 若否, 請註明最終實益擁有人資料:</p>		<p>Are you the ultimate beneficial owner(s) of the Account(s) who stands to gain the commercial or economic benefit of the transaction(s) and/or bear its commercial risk? 閣下是否將會從交易中取得商業或經濟利益及/或此帳戶之承擔商業或經濟風險的最終實益擁有人?</p> <p><input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否</p> <p>If no, please specify ultimate beneficial owner(s) information: 若否, 請註明最終實益擁有人資料:</p>	
<input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Ms. 女士 <input type="checkbox"/> Mrs. 太太 <input type="checkbox"/> _____		English Name: 英文姓名:	ID Card/Passport No.: 身份證/護照號碼:
		Chinese Name: 中文姓名:	Date of Birth (DD/MM/YYYY): 出生日期 (日/月/年):
		Place of Birth: 出生地點:	Nationality: 國籍:
Residential Address: 住宅地址:		Correspondence Address: 通訊地址:	
Home Telephone No.: 住宅電話號碼:		Mobile Phone No.: 手提電話號碼:	Office Telephone No.: 辦公室電話號碼:
Fax No.: 傳真號碼:		E-mail Address: 電子郵件地址:	
<p>Is the ultimate beneficial owner a U.S. citizen (e.g. holding U.S. Passport) or U.S. resident alien (e.g. holding U.S. green card)? 最終實益擁有人是否為美國公民 (持有美國護照) 或美國居民 (持有美國綠卡)?</p> <p><input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是 If yes, please fill in Form W-9 and specify TIN: _____ 若是, 請填寫 W-9 表格及註明稅務身份碼: _____</p>			

Identity Declaration 身份聲明

1. Are you, a person licensed by or registered with the Securities and Futures Commission (“SFC”) or an employee of such person? If yes, please provide the written consent from your employer.
閣下是否證券及期貨事務監察委員會（“證監會”）持牌或註冊人士或該人士之僱員？若是，請提供閣下的僱主書面同意書。
 No 否 Yes 是
If yes, please specify: 若是，請列明：_____

2. Are you related to any employee(s) or director(s) of JRSIL?
閣下是否與海富證券之僱員或董事有任何關係？
 No 否 Yes 是
If yes, please specify the information of the employee(s) or director(s) :
若是，請列明該僱員或董事資料：
Name 姓名 _____
Relationship 關係 _____

3. Is your spouse or immediate family members a client of JRSIL?
閣下之配偶或直系親屬是否海富證券的客戶？
 No 否 Yes 是
If yes, please specify the information of the family member(s):
若是，請列明該配偶或直系親屬資料：
Name 姓名 _____
Relationship 關係 _____
A/C no. 帳戶號碼 _____

4. Do you, your spouse, your partner, your child, your parent or spouse or partner of your child or a close associate of an individual who has been entrusted with a prominent public function which includes 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、其配偶、伴侶、子女、父母或其子女的配偶或伴侶或與其關係密切的人，是否擔任重要公職，包括國家元首、政府首長、資深政客、高級政府官員、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 If yes, please specify: 若是，請列明：
Name of Politicians 政治人物姓名 _____
The Location & Position 地區及所擔任的公職 _____
Years in Occupation 所擔任公職的年期 _____
Relationship 關係 _____

5. Are you a U.S. citizen (e.g. holding U.S. Passport) or U.S. resident alien (e.g. holding U.S. green card)?
閣下是否為美國公民（持有美國護照）或美國居民（持有美國綠卡）？
 No 否 Yes 是
If yes, please fill in Form W-9 and specify TIN: _____
若是，請填寫 W-9 表格及註明稅務身份碼： _____

1. Are you, a person licensed by or registered with the Securities and Futures Commission (“SFC”) or an employee of such person? If yes, please provide the written consent from your employer.
閣下是否證券及期貨事務監察委員會（“證監會”）持牌或註冊人士或該人士之僱員？若是，請提供閣下的僱主書面同意書。
 No 否 Yes 是
If yes, please specify: 若是，請列明：_____

2. Are you related to any employee(s) or director(s) of JRSIL?
閣下是否與海富證券之僱員或董事有任何關係？
 No 否 Yes 是
If yes, please specify the information of the employee(s) or director(s) :
若是，請列明僱員或董事資料：
Name 姓名 _____
Relationship 關係 _____

3. Is your spouse or immediate family members a client of JRSIL?
閣下之配偶或直系親屬是否海富證券的客戶？
 No 否 Yes 是
If yes, please specify the information of the family member(s):
若是，請列明該配偶或直系親屬資料：
Name 姓名 _____
Relationship 關係 _____
A/C no. 帳戶號碼 _____

4. Do you, your spouse, your partner, your child, your parent or spouse or partner of your child or a close associate of an individual who has been entrusted with a prominent public function which includes 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、其配偶、伴侶、子女、父母或其子女的配偶或伴侶或與其關係密切的人，是否擔任重要公職，包括國家元首、政府首長、資深政客、高級政府官員、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 If yes, please specify: 若是，請列明：
Name of Politicians 政治人物姓名 _____
The Location & Position 地區及所擔任的公職 _____
Years in Occupation 所擔任公職的年期 _____
Relationship 關係 _____

5. Are you a U.S. citizen (e.g. holding U.S. Passport) or U.S. resident alien (e.g. holding U.S. green card)?
閣下是否為美國公民（持有美國護照）或美國居民（持有美國綠卡）？
 No 否 Yes 是
If yes, please fill in Form W-9 and specify TIN: _____
若是，請填寫 W-9 表格及註明稅務身份碼： _____

Related Margin Account(s) (For Margin Account only) 相關保證金帳戶（只適用於保證金帳戶）

1. Does your spouse have any margin account with JRSIL?
閣下的配偶是否持有海富證券的保證金帳戶？
 No 否 Yes 是
If yes, please specify the information of the spouse:
若是，請列明該配偶資料：
Name of the Spouse: 配偶姓名： _____
Account No.: 帳戶號碼： _____

2. Are you either alone or with your spouse, in control of 35% or more of the voting rights of any corporate margin account(s) of JRSIL?
閣下是否單獨或與配偶共同控制任何海富證券公司保證金帳戶 35%或以上之表決（投票）權？
 No 否 Yes 是
If yes, please specify the information of the account:
若是，請列明該帳戶資料：
Account Name: 帳戶名稱： _____
Account No.: 帳戶號碼： _____

1. Does your spouse have any margin account with JRSIL?
閣下的配偶是否持有海富證券的保證金帳戶？
 No 否 Yes 是
If yes, please specify the information of the spouse:
若是，請列明該配偶資料：
Name of the Spouse: 配偶姓名： _____
Account No.: 帳戶號碼： _____

2. Are you either alone or with your spouse, in control of 35% or more of the voting rights of any corporate margin account(s) of JRSIL?
閣下是否單獨或與配偶共同控制任何海富證券公司保證金帳戶 35%或以上之表決（投票）權？
 No 否 Yes 是
If yes, please specify the information of the account:
若是，請列明該帳戶資料：
Account Name: 帳戶名稱： _____
Account No.: 帳戶號碼： _____

Method of Communication 通訊方法

Please select one of the following method of communication 請選擇以下其中一項通訊方法：

- By Mail – Residential Address 郵遞 – 住宅地址 By E-mail 電郵
 By Mail – Correspondence Address 郵遞 – 通訊地址

*Please notice that the statement will be sent to Account Holder (1) by mail. 請留意結單將以郵遞方式寄往帳戶持有人（1）

Please select one of the following language of communication 請選擇以下其中一項通訊語言：

- English 英文 Chinese 中文

Signing Arrangement (For Joint Account Only) 簽名安排（只適用於聯名帳戶）

The Account can be operated under the instruction by:

此帳戶可根據以下指示方式操作：

- Either one of the account holders 任何一位帳戶持有人的指示 Both of the account holders 兩位帳戶持有人的指示

Acknowledgement and Execution by Client 客戶確認及簽署

1. I/We, the undersigned Client, hereby declare that the information contained in this Account Opening Form is true, complete and accurate. JRSIL is entitled to rely fully on such information and representations for all purposes, unless JRSIL receives notice in writing of any change. I/We authorize JRSIL at any time to contact anyone, including my(our) banks, brokers or any credit agency, for the purpose of verifying the information provided on this Account Opening Form.

本人/吾等，下述簽署客戶謹此聲明本開戶表格的資料均屬真實、完整及正確。除非海富證券收到任何客戶資料改變的書面通知，海富證券完全可以依靠這些資料及陳述作任何目的。本人/吾等授權海富證券可在任何時間聯絡任何人，包括本人/吾等的銀行、經紀或任何信貸機構，藉以確定及查證本開戶表格內的資料。

2. I/We have read and understood the provisions of the attached current version of the Client Agreement of JRSIL (“Agreement”) of which this document forms a part. I/We hereby apply to open the above type of account and agree to be bound by the Agreement (receipt of a copy whereof is hereby acknowledged by us) including its General Terms and Conditions and relevant Schedule(s) and/or Annex(es) as the same may be amended from time to time.

本人/吾等已閱讀過及明白附上的海富證券最新版本的客戶協議書（“協議”）。而本文件乃協議的一部份。本人/吾等現申請開立上述類別的帳戶，並同意接受可不時被修改的協議（僅此聲明吾等已收妥其副本）包括其一般性條款及細則及有關的附件及/或附錄所約束。

3. I/We hereby declare that unless specifically stated otherwise, I/We am(are) the person(s) who is(are) ultimately responsible for originating the Instruction and who stand(s) to gain the commercial or economic benefit of the transaction and/or bear the commercial or economic risk.

本人/吾等謹此聲明，除非另有明確述明，否則本人/吾等是最終負責發出指示之人士，本人/吾等亦為從交易取得商業或經濟利益及/或承擔其商業或經濟風險的人。

4. I/We acknowledge and confirm that I/We have been invited by JRSIL to read the Risk Disclosure Statements and ask questions and take independent advice, if I/We wish.

本人/吾等確認海富證券已經邀請本人/吾等閱讀風險披露聲明，提出問題及徵求獨立意見（如本人/吾等有此意願）。

5. I/We have carefully read, understood and agreed to accept and be bound by the Notice to Clients relating to the Personal Data (Privacy) Ordinance as set out in the Client Agreement.

本人/吾等已仔細閱讀、理解並同意接受及遵守客戶協議書內之個人資料（私隱）條例的客戶通知，並接受這些條款的約束。

6. I/We have carefully read, understood and agreed to accept and be bound by the Terms for Electronic Trading Service (if applicable) as set out in the Client Agreement.

本人/吾等已仔細閱讀、理解並同意接受及遵守客戶協議書內之電子交易服務條款（如適用），並接受這些條款的約束。

Date: 日期： _____

Account Holder (1) Signature 帳戶持有人（1）簽署

Account Holder (2) Signature 帳戶持有人（2）簽署

Account Name 客戶名稱

Account Name 客戶名稱

Signature of Witness:
見證人簽署：

Name of Witness:
見證人姓名：

Declaration by Licensed Staff 持牌職員聲明

I, a licensed or registered person, hereby declare that I have provided the above Client with the Risk Disclosure Statements in a language of the Client's choice (English or Chinese) and invited the Client to read the Risk Disclosure Statements, ask questions and take independent advice (if the Client so wishes).

本人，以持牌人士或註冊人士身份，確認本人已按照上述客戶所選擇的語言(英文或中文)提供風險披露聲明及邀請客戶閱讀風險披露聲明，提出問題及徵求獨立意見（如客戶有此意願）。

Signature of Licensed Person: 持牌人士簽署：_____	CE No. : 中央編號：_____	Name of Licensed Person: 持牌人士姓名：_____	Date: 日期：_____
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For Official Use Only 僅供本公司專用

Checklist: 核對資料：

- 1) Duly signed Account Opening Form
已簽署之開戶表格
- 2) Form W-8 BEN (for non-US citizens/residents)
W-8 BEN 表格（適用於非美國公民/居民）
- 3) Form W-9 (for US citizens/residents)
W-9 表格（適用於美國公民/居民）
- 4) Individual Tax Residency Self-Certification Form
個人稅務居民自我證明表格
- 5) Standing Authority (Client Securities) (For Margin Account only)
常設授權書(客戶證券)（只適用於保證金帳戶）
- 6) Copy of ID/Copy of passport
身份證副本/護照副本
- 7) *Residential address proof
*住址證明
- 8) Valid and verified signed cheque (if applicable)
核實簽署之支票（如適用）
- 9) Employer's consent letter (if applicable)
僱主之書面同意書（如適用）

*Residential Address Proof such as bank statement, mobile phone bill, utility bill, recent correspondence from a Government department or agency must be within the last 3 months.

*住址證明必須於最近三個月內發出如銀行結單、流動電話結單、公共事業機構帳單、由政府部門或機構發出的通訊。

Account introduced by: 帳戶介紹人：	Name and Code of AE: 經紀姓名及編號：
Client Commission rate and Minimum Commission rate: 客戶佣金及最低佣金：	Trading Limit / Credit Limit: 交易限額/信貸限額：
Interest Rate: 利率：	Other information (e.g. bank and credit reference obtained): 其他資料（例如：已獲得銀行及信貸參考）：
Checked by: 資料核對：	Signature: 簽署：
Name of the Staff: 職員姓名：	Date: 日期：
Approved by: 帳戶批核：	Signature: 簽署：
Name of the Staff: 職員姓名：	Date: 日期：