

AE Code : _____

Account No.: _____

開戶表格 Account Opening Form
 (個人 / 聯名賬戶 Individual / Joint Account)

申請開戶日期 Application Date:

致: 好盈證券有限公司(「好盈證券」)·為一間獲香港證券及期貨事務監察委員會(「證監會」)發牌之持牌法團(中央編號為AAD967)及按證券及期貨條例(香港法例第五十七章)可從事第一類(證券交易)受規管活動·並為香港聯合交易所有限公司(「聯交所」)之交易參與者·其註冊地址為香港干諾道中148號海投資大廈11樓A及B2室。

To: Hooray Securities Limited (“Hooray Securities”), a licensed corporation (with CE No. AAD967) by the Securities and Futures Commission (the “SFC”) in Hong Kong to conduct Type 1 (Dealing in securities) regulated activities under the Securities and Futures Ordinance (Cap. 571) (“SFO”) and an Exchange Participant of The Stock Exchange of Hong Kong Limited (the “SEHK”) with its registered office at Room A & B2, 11/F, Guangdong Investment Tower, 148 Connaught Road Central, Hong Kong.

敬啟者 Dear Sirs :

開戶申請 Account Opening Application

本人/吾等為.....(「客戶」)·謹此要求好盈證券依照證券客戶協議(供現金及/或保證金證券賬戶之用)所載之條款與條件(「該協議」)為本人/吾等根據以下服務類別所指示開立並維持一個或多個現金及/或保證金證券賬戶(「該賬戶」)及為本人/吾等提供一個使用好盈證券所提供的電子交易服務(「電子交易服務」)的密碼及用戶識別碼;如適用。

I/We.....(the “Client”) hereby request Hooray Securities to open and maintain a cash and/or a margin securities account or more accounts as indicated in the part of Type of Services below (the “Account”) on the Terms and Conditions set out in the Securities Client Agreement (the “Agreement”) and to provide me/us with a password and user ID in order to access the electronic trading services provided by Hooray Securities (“Electronic Trading Service”), if applicable.

服務類別 Type of Services

- | | |
|---|--|
| 1. <input type="checkbox"/> 個人賬戶 Individual Account | <input type="checkbox"/> 聯名賬戶 Joint Account |
| 2. <input type="checkbox"/> 保證金證券賬戶 Margin Securities Account | <input type="checkbox"/> 現金證券賬戶 Cash Securities Account |
| 3. <input type="checkbox"/> 電話交易服務 Phone Trading Service | <input type="checkbox"/> 電子交易服務 Electronic Trading Service |

本人/吾等 希望好盈證券開立上述賬戶·作為買入或賣出證券之用途·I/We wish to open the above Account(s) with Hooray Securities for the purpose of purchase or sale in securities trading.

重要提示:(只適用於保證金證券賬戶)本人/吾等 理解及同意·好盈證券有絕對酌情權不時依照該協議的條款與條件以及好盈證券認為適當的其他條款及條件·就好盈證券代表本人/吾等 進行之證券交易向本人/吾等 提供保證金融資·好盈證券會再質押客戶證券抵押品·保證金買賣定性為高風險投資·本人/吾等 確保及了解保證金買賣的特性·仔細權衡本人/吾等 的投資經驗及目標·財政狀況及所能承擔的風險後·方簽署本開戶表格。

Important Notice: (applicable to Margin Securities Account only) I/We agree and understand that Hooray Securities may, in its absolute discretion, from time to time on the Terms and Conditions of the Agreement and other terms and conditions as Hooray Securities may think fit, provide me/us with margin facilities in respect of transactions in securities effected by Hooray Securities on my/our behalf. Hooray Securities has practice to repledge Clients' securities collateral. Margin trading is classified as high-risk investment. I/We confirm and understand the nature of margin trading and carefully consider in light of my/our investment experience and objectives, financial resources and the extent of my/our exposure to risk(s) before signing this Account Opening Form.

客戶資料表 Client Information Statement

個人/聯名賬戶主要持有人 Individual/Primary Joint Account Holder		聯名賬戶第二持有人 Secondary Joint Account Holder	
中文名稱	先生 / 女士	中文名稱	先生 / 女士
Name in English	Mr. / Ms.	Name in English	Mr. / Ms.
身份證號碼/護照號碼 ID Card No./Passport No.		身份證號碼/護照號碼 ID Card No./Passport No.	
出生日期 (日/月/年) Date of Birth (DD/MM/YY)		出生日期 (日/月/年) Date of Birth (DD/MM/YY)	
出生地點 Place of Birth		出生地點 Place of Birth	
國籍/公民身份 Nationality / Citizenship		國籍/公民身份 Nationality / Citizenship	
簽發地點 Place of Issue		簽發地點 Place of Issue	
住宅地址 Residential Address		住宅地址 Residential Address	
	郵政編號 Postal Code		郵政編號 Postal Code
住宅電話 Home Telephone No.		住宅電話 Home Telephone No.	
流動電話 Mobile Phone No.		流動電話 Mobile Phone No.	
電郵地址 E-mail Address (只須由個人/主要賬戶持有人填寫 Individual/Primary Joint Account Holder only)		與主要賬戶持有人關係 Relationship with Primary Account Holder	<input type="checkbox"/> 直系親屬: 請注明 Immediate family, please specify: _____ <input type="checkbox"/> 親戚 <input type="checkbox"/> 朋友 <input type="checkbox"/> 其他 Relative Friend Others: _____

受僱資料 Employment Information

個人/聯名賬戶主要持有人 Individual/Primary Joint Account Holder		聯名賬戶第二持有人 Secondary Joint Account Holder	
行業 Occupation		行業 Occupation	
僱主名稱 Name of Employer		僱主名稱 Name of Employer	
職位 Position		職位 Position	
服務年資 Years of Service		服務年資 Years of Service	
辦公室電話 Office No.		辦公室電話 Office No.	
辦公室地址 Office Address		辦公室地址 Office Address	
	郵政編號 Postal Code		郵政編號 Postal Code

財政狀況 Financial Status

個人/聯名賬戶主要持有人 Individual/Primary Joint Account Holder		聯名賬戶第二持有人 Secondary Joint Account Holder	
流動資產 (港幣) Liquid Assets (HKD)	<input type="checkbox"/> ≤ HKD200,000 <input type="checkbox"/> HKD200,001 - HKD500,000 <input type="checkbox"/> HKD500,001 - HKD1,000,000 <input type="checkbox"/> HKD1,000,001 - HKD5,000,000 <input type="checkbox"/> HKD5,000,001 - HKD10,000,000 <input type="checkbox"/> Others: HKD _____	流動資產 (港幣) Liquid Assets (HKD)	<input type="checkbox"/> ≤ HKD200,000 <input type="checkbox"/> HKD200,001 - HKD500,000 <input type="checkbox"/> HKD500,001 - HKD1,000,000 <input type="checkbox"/> HKD1,000,001 - HKD5,000,000 <input type="checkbox"/> HKD5,000,001 - HKD10,000,000 <input type="checkbox"/> Others: HKD _____
資產淨值 (港幣) Net Worth (HKD)	<input type="checkbox"/> ≤ HKD200,000 <input type="checkbox"/> HKD200,001 - HKD500,000 <input type="checkbox"/> HKD500,001 - HKD1,000,000 <input type="checkbox"/> HKD1,000,001 - HKD5,000,000 <input type="checkbox"/> HKD5,000,001 - HKD10,000,000 <input type="checkbox"/> Others: HKD _____	資產淨值 (港幣) Net Worth (HKD)	<input type="checkbox"/> ≤ HKD200,000 <input type="checkbox"/> HKD200,001 - HKD500,000 <input type="checkbox"/> HKD500,001 - HKD1,000,000 <input type="checkbox"/> HKD1,000,001 - HKD5,000,000 <input type="checkbox"/> HKD5,000,001 - HKD10,000,000 <input type="checkbox"/> Others: HKD _____
每年收入 (港幣) Annual Income (HKD)	<input type="checkbox"/> ≤ HKD200,000 <input type="checkbox"/> HKD200,001 - HKD400,000 <input type="checkbox"/> HKD400,001 - HKD600,000 <input type="checkbox"/> HKD600,001 - HKD1,200,000 <input type="checkbox"/> Others: HKD _____	每年收入 (港幣) Annual Income (HKD)	<input type="checkbox"/> ≤ HKD200,000 <input type="checkbox"/> HKD200,001 - HKD400,000 <input type="checkbox"/> HKD400,001 - HKD600,000 <input type="checkbox"/> HKD600,001 - HKD1,200,000 <input type="checkbox"/> Others: HKD _____
資金來源 Source of Funds	<input type="checkbox"/> 薪金儲蓄 Savings from Salary <input type="checkbox"/> 家庭 Family <input type="checkbox"/> 營業溢利 Trading Profits <input type="checkbox"/> 租金收入 Rental Income <input type="checkbox"/> 金融機構貸款 Loan from Financial Institution <input type="checkbox"/> 其他 Others: _____	資金來源 Source of Funds	<input type="checkbox"/> 薪金儲蓄 Savings from Salary <input type="checkbox"/> 家庭 Family <input type="checkbox"/> 營業溢利 Trading Profits <input type="checkbox"/> 租金收入 Rental Income <input type="checkbox"/> 金融機構貸款 Loan from Financial Institution <input type="checkbox"/> 其他 Others: _____
住屋 Residence	<input type="checkbox"/> 自置物業 Self-Owned <input type="checkbox"/> 按揭物業 Mortgaged <input type="checkbox"/> 沒有抵押 Not Mortgaged <input type="checkbox"/> 沒有 Not Owned <input type="checkbox"/> 租用物業 Rented <input type="checkbox"/> 宿舍 Quarters <input type="checkbox"/> 與家人同住 Living with Family	住屋 Residence	<input type="checkbox"/> 自置物業 Self-Owned <input type="checkbox"/> 按揭物業 Mortgaged <input type="checkbox"/> 沒有抵押 Not Mortgaged <input type="checkbox"/> 沒有 Not Owned <input type="checkbox"/> 租用物業 Rented <input type="checkbox"/> 宿舍 Quarters <input type="checkbox"/> 與家人同住 Living with Family

投資經驗及目標 Investment Experience and Objectives

個人/聯名賬戶主要持有人 Individual/Primary Joint Account Holder		聯名賬戶第二持有人 Secondary Joint Account Holder	
教育程度 Education Level	<input type="checkbox"/> 小學或以下 Primary School or Below <input type="checkbox"/> 中學 Secondary School <input type="checkbox"/> 大學或以上 University or Above	教育程度 Education Level	<input type="checkbox"/> 小學或以下 Primary School or Below <input type="checkbox"/> 中學 Secondary School <input type="checkbox"/> 大學或以上 University or Above
投資經驗 Investment Experience	<input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 少於 1 年 Less than 1 year <input type="checkbox"/> 1-5 年 years <input type="checkbox"/> 6-10 年 years <input type="checkbox"/> 10 年以上 More than 10 years	投資經驗 Investment Experience	<input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 少於 1 年 Less than 1 year <input type="checkbox"/> 1-5 年 years <input type="checkbox"/> 6-10 年 years <input type="checkbox"/> 10 年以上 More than 10 years
曾投資的產品 Experienced Products	<input type="checkbox"/> 股票 Shares <input type="checkbox"/> 衍生工具 Derivatives <input type="checkbox"/> 期貨/期權 Futures/Options <input type="checkbox"/> 外匯/黃金 Forex/Bullion <input type="checkbox"/> 債券 Bonds <input type="checkbox"/> 基金 Funds <input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 其他 Others: _____	曾投資的產品 Experienced Products	<input type="checkbox"/> 股票 Shares <input type="checkbox"/> 衍生工具 Derivatives <input type="checkbox"/> 期貨/期權 Futures/Options <input type="checkbox"/> 外匯/黃金 Forex/Bullion <input type="checkbox"/> 債券 Bonds <input type="checkbox"/> 基金 Funds <input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 其他 Others: _____
投資目標 Investment Objectives	<input type="checkbox"/> 短線 Short Term <input type="checkbox"/> 中線 Medium Term <input type="checkbox"/> 長線 Long Term <input type="checkbox"/> 資本增值 Capital Appreciation <input type="checkbox"/> 股息回報 Dividend Yield <input type="checkbox"/> 對沖 Hedging <input type="checkbox"/> 投機 Speculation <input type="checkbox"/> 其他 Others: _____	投資目標 Investment Objectives	<input type="checkbox"/> 短線 Short Term <input type="checkbox"/> 中線 Medium Term <input type="checkbox"/> 長線 Long Term <input type="checkbox"/> 資本增值 Capital Appreciation <input type="checkbox"/> 股息回報 Dividend Yield <input type="checkbox"/> 對沖 Hedging <input type="checkbox"/> 投機 Speculation <input type="checkbox"/> 其他 Others: _____
估計投資金額 Estimated Investment Amount	<input type="checkbox"/> ≤ HKD200,000 <input type="checkbox"/> HKD200,001 - HKD500,000 <input type="checkbox"/> HKD500,001 - HKD1,000,000 <input type="checkbox"/> HKD1,000,001 - HKD5,000,000 <input type="checkbox"/> HKD5,000,001 - HKD10,000,000 <input type="checkbox"/> Others: HKD _____	估計投資金額 Estimated Investment Amount	<input type="checkbox"/> ≤ HKD200,000 <input type="checkbox"/> HKD200,001 - HKD500,000 <input type="checkbox"/> HKD500,001 - HKD1,000,000 <input type="checkbox"/> HKD1,000,001 - HKD5,000,000 <input type="checkbox"/> HKD5,000,001 - HKD10,000,000 <input type="checkbox"/> Others: HKD _____

銀行戶口資料 Bank Account Information

除客戶另行指示外，客戶的款項將會以支票形式存入下列銀行戶口。

Unless otherwise to be instructed by the Client(s), all monies payable to the Client(s) will be deposited to the following bank account by cheque.

指定銀行 Designated Bank	銀行名稱	戶口號碼	貨幣
	Bank Name	Account No	Currency

成交單據及賬戶結單 Contract Note and Account Statement

請選以下方收取綜合成交單據及日結單和月結單：

Please select the following method(s) of receiving Consolidated Contract Note(s) and Daily Statement(s) of Account and Monthly Statements :

- 郵遞方式 : 住宅地址 Residential address 電郵方式
By post 辦公室地址 Office address By E-mail
 其他 Others : _____

語言 Language : 繁體中文 Traditional Chinese 簡體中文 Simplified Chinese 英文 English

個人資料政策 Policy on Personal Data

客戶同意好盈證券使用其個人資料 (包括：姓名、電話號碼、電郵地址及地址) 經以下渠道提供投資或有關財務產品及服務的資料，包括研究報告及直接促銷之優惠。

The Client agrees Hooray Securities to use whose personal data (including: name, telephone number, e-mail address and address) in providing information about investment or financial related products and services including research reports and special offers in direct marketing via the following channel(s)

- 電郵 E-mail 手機訊息 SMS 電話 Phone 郵件 Mail

賬戶授權書 Account Mandate

客戶/聯名賬戶主要/第二持有人 (如適用) 是否唯一有權操作此賬戶及負責發出交易指示之人士？

Is the Client /the Primary / Secondary Joint Account Holder (if applicable) the only person(s) with authority to operate the Account(s) and responsible for originating instruction in relation to a transaction?

- 是 Yes
 否 (請填寫「第三者授權書」) No (Please complete "Letter of Third Party Authorization")

交易指令及賬戶操作安排 Trading and Account Operation Arrangement

(只適用於聯名賬戶 For Joint Account Only)

客戶之聯名賬戶持有人可按照下列權限發出指示予好盈證券，以運作閣下之賬戶 (請選擇以下一項)：

The Joint Account Holders of the Client have been authorized to issue the instructions to Hooray Securities subject to the following mandate for operation of the Account(s) (Please choose one below) :

指示種類 Type of Instruction	權限 Extent of Authority	
	口頭指示 Oral Instruction	書面指示 Written Instruction
執行任何證券買入或賣出之交易指示 Instructions to execute any purchase or sale in securities trading	<input type="checkbox"/> 任何一個聯名賬戶持有人 Either one of the joint account holders	<input type="checkbox"/> 指定聯名賬戶持有人中其中一位 Designated person of the joint account holders <input type="checkbox"/> 主要聯名賬戶持有人 Primary joint account holder <input type="checkbox"/> 第二聯名賬戶持有人 Secondary joint account holder <input type="checkbox"/> 全部聯名賬戶持有人 All joint account holders
賬戶操作簽署安排 (包括但不限於提款、證券交收、款項或證券轉移等賬戶事宜的有效文件等) All valid documents in connection with the operation arrangement (including but not limited to fund withdrawal, securities settlement, monies or securities transfer etc.)	<input type="checkbox"/> 任何一個聯名賬戶持有人 Either one of the joint account holders	<input type="checkbox"/> 指定聯名賬戶持有人中其中一位 Designated person of the joint account holders <input type="checkbox"/> 主要聯名賬戶持有人 Primary joint account holder <input type="checkbox"/> 第二聯名賬戶持有人 Secondary joint account holder <input type="checkbox"/> 全部聯名賬戶持有人 All joint account holders

見證客戶 (如適用) Witnessing of Client (if applicable)

若客戶/聯名客戶並非在好盈證券之指定僱員面前簽立本開戶表格或本開戶表格並非連同恰當的支票一併遞交，則以下部分應由指定人士，包括其他證監會持牌人或註冊人、太平紳士或專業人士 (例如：銀行分行經理、執業會計師、律師或公證人) 簽署驗證。

If this Account Opening Form is not executed in front of Hooray Securities' SFC licensed employee or is not submitted with an appropriate cheque, a specified person, including any SFC licensed or registered person, a justice of the peace, a branch manager of a bank, practising certified public accountant or notary public, should be required to sign below.

本人謹此見證上述客戶簽立本開戶表格 (構成本該協議之重要文件) 及其有關身份證明文件之正本：

I, the undersigned hereby certify that I have witnessed the signing of this Account Opening Form (forming an integral part of the Agreement) by the Client and have seen the original of the relevant identity documents of the Client :

驗證及見證人簽署
Signed and Certified by Witness

日期
Date _____

見證人姓名
Name of Witness _____
所屬專業及職銜
Profession/Title _____
聯絡電話
Contact No. _____
聯絡地址
Contact Address _____

客戶確認及承認 Acknowledgement and Confirmation by Client

本人/吾等 確認收受 (i) 該協議；及 (ii) 證券交易之服務收費表。

I/We acknowledge my /our receipt of (i) the Agreement; and (ii) the Schedule of Service Charges for securities trading services.

該協議和風險披露聲明：本人/吾等 謹此承認並確認本人/吾等 已獲得按照本人/吾等 所選擇的語言（英文或中文）的該協議，當中包括但不限於載於該協議中的保證金證券賬戶之額外條款與條件(如適用)、電子交易服務之條款與條件(如適用)及風險披露聲明，以及本人/吾等 已獲邀請仔細閱讀所有該協議內之條款與條件及風險披露聲明、提出問題及徵求獨立意見（如本人/吾等 有此意願）。

The Agreement and Risk Disclosure Statements: I/We hereby acknowledge and confirm that the Agreement, including but not limited to the Additional Terms and Conditions for Margin Securities Account (if applicable), the Terms and Conditions of Electronic Trading Service (if applicable) and the Risk Disclosure Statements set out in the Agreement, was provided to me/us in a language of my/our choice (English or Chinese) and I was/We were invited to read all Terms and Conditions and the Risk Disclosure Statements set out in the Agreement carefully, ask questions and take independent advice if I/We wish(es).

常設授權 – 客戶證券 (只適用於保證金證券賬戶)：本人/吾等 謹此承認並確認本人/吾等 已經授權好盈證券根據該協議中所載的常設授權處置本人/吾等 的證券及證券抵押品，而好盈證券已向本人/吾等 解釋有關該等常設授權的條款與條件，及本人/吾等 完全明白該等條款與條件的內容。

Standing Authority – Client Securities (Applicable to Margin Securities Accounts only): I/We hereby acknowledge and confirm that I/We have authorized Hooray Securities to deal with my/our securities and securities collateral in accordance with the standing authorities as set out in the Agreement and the relevant Terms and Conditions in relation to such standing authorities have been explained to me/us and I/We fully understand the contents of such Terms and Conditions.

個人資料政策（「該政策」）：本人/吾等 謹此承認並確認已閱讀及明白所載於該協議之該政策並同意好盈證券可根據該政策使用由本開戶表格所收集之本人/吾等 的個人資料，用作處理本人/吾等 於好盈證券開立賬戶的申請及/或用於該政策所指定的任何其他用途。

Policy on Personal Data (the "Policy"): I/We hereby acknowledge and confirm that I/We have read and understood the Policy set out in the Agreement and agree my/our personal data collected from this Account Opening Form will be used by Hooray Securities in accordance with the Policy to process my/our application for any account(s) with Hooray Securities and/or any other purpose as set out in the Policy.

本人/吾等 謹此承認並確認除非好盈證券收到更改有關開戶表格內任何資料及聲明的書面通知，否則好盈證券有權完全依賴此等資料及聲明作一切用途。本人/吾等 授權好盈證券可隨時就核對此等資料，與任何人士包括本人/吾等 的銀行、經紀或任何信用機構進行諮詢。

I/We hereby acknowledge and confirm that Hooray Securities is entitled to reply fully on such any information and declarations stated in Account Opening Form for all purpose, unless Hooray Securities receives notice in writing of any change. I/We authorize Hooray Securities, at any time, to contact anyone, including my/our banks, brokers or any credit agency, for the purpose of verifying the information provided herein.

本人/吾等 在本開戶表格中之個人資料政策部份已確認本人/吾等 在使用個人資料於用於直接促銷或接受好盈證券發出的任何直接促銷資料或訊息的選擇。

I/We confirm my/our choice on the using of my/our personal data in direct marketing or receiving any direct marketing materials in the part of Policy on Personal Data in this Account Opening Form.

本人/吾等 謹此承認並確認在本開戶表格中向好盈證券提供的資料及聲明全部真實、準確及完整，並承諾如有任何更改會立即以書面通知好盈證券。

I/We hereby acknowledge and confirm that the information and declarations provided by me/us to Hooray Securities in this Account Opening Form are true, accurate and complete and I/We undertake to immediately inform Hooray Securities in writing of any changes to the same.

本人/吾等 謹此確認，本人/吾等 已經閱讀並明白及同意所載於該協議及本開戶表格的所有條款與條件，並接受該等條款與條件的約束。

I/We hereby confirm that I/We have read, understood and agree all the Terms and Conditions set out in the Agreement and this Account Opening Form and agree to be bound by same.

*個人/主要賬戶持有人簽署

Individual/Primary Joint Account Holder's Signature :



日期 Date :

*聯名賬戶第二持有人簽署

Secondary Joint Account Holder's Signature :



日期 Date :

*將被用作簽名樣式 Will be used as specimen signature

注意事項 Notes

1. 請隨本開戶表格附上全部賬戶持有人之相關開戶證明文件（郵政信箱恕不接受）。

Please enclose all supporting documents for Individual/Joint Account opening by all account holders with this Account Opening Form.

2. 全部賬戶持有人必須在好盈證券或聯繫人士的職員/代理人面前填妥及簽署本開戶表格；如非親身開戶，請參考本表格內「見證客戶」部分。

This Account Opening Form should be completed and signed by all account holders in front of an employee or agent of Hooray Securities or its Associates. Otherwise, please refer to the part of Witnessing of Client in this Account Opening Form.

3. 客戶在香港持牌銀行開立的戶口所簽發的支票數額須不少於 10,000 港元，劃線支票抬頭人為「好盈證券有限公司」。該支票必須載有客戶在身份證明文件上所顯示的姓名、支票簽名必須與本開戶表格的簽名樣式相符。新賬戶必須待有關支票兌現及清算後才可被批核使用。

A crossed cheque (amount not less than HKD 10,000 in favour of "Hooray Securities Limited (Clients' A/C)" and bearing the Client's name as shown in the identity document) should be issued by the Client and drawn on the Client's account with a licensed bank in Hong Kong. The signature on the cheque issued by the Client and the specimen signature on this Account Opening Account form must be the same. The approved new account will not be activated until the cheque is cleared.

4. 任何有關個人資料的刪改必須由賬戶持有人簽署作實。

Any deletion or amendment of the personal information must be signed by account holder.

5. 好盈證券恕不接受第三者款項存款或提款。任何例外情況都需要管理層的預先批准。

Hooray Securities will not accept third-party fund deposit or withdrawal. Any exception is subject to prior management approval.

持牌人聲明 Declaration By Licensed Person

本人 確認按照客戶所選擇的語言 (英文或中文) 提供載於該協議內的風險披露聲明及已邀請客戶仔細閱讀該風險披露聲明，提出問題及徵求獨立意見 (如客戶有此意願) 。

I confirm that I have provided the Risk Disclosure Statements as set out in the Agreement to the Client in a language (English or Chinese) of the Client's choice. I have also invited the Client(s) to read the Risk Disclosure Statements carefully, ask questions and take independent advice if the Client wish(es).

日期 Date :

持牌人簽署

Signature of Licensed Person

持牌人名稱

Licensed Person

中央編號

CE No.

向客戶確認 Confirmation with the Client

內線 Ext

時間 Time

時 HH

分 MM

日期 Date

反清洗黑錢風險級別 Anti-Money Laundering Risk Category

反清洗黑錢風險級別 (參考反清洗黑錢政策)

Anti-Money Laundering Risk Category (refer to Anti-Money Laundering Policy)

低 Low

中 Medium

高 High

只供本行使用 For Official Use Only

文件查核列表 Document Check List

- 身份證或護照副本 Copy of ID Card/Passport
- 住址及/或通訊地址證明副本 Copy of Residential and/or Correspondence Address proof
- 僱主書面同意 (如適用) Employer consent letter (if applicable)
- 美國預扣稅及申報實益擁有人之外籍身份證明 (個人) (W-8BEN 或 W-9 表格) Certificate of Status of Beneficial Owner for United States Tax Withholding and Reporting (W-8BEN or W-9 form)
- 自我證明表格 Self-Certification Form
- 銀行結單或銀行戶口簿副本 (於香港銀行開設之銀行戶口) Copy of bank statement or bank passbook (bank account with a licensed bank in Hong Kong)
- 金額不少於一萬港元之支票 (如適用) A cheque with no less than HK\$ 10,000 (if applicable)
- 其他 Others: _____

電話交易
Phone Trading

網上交易
Internet Trading

佣金 (%)

Commission (%)

最低佣金

Min. Commission (HKD)

每日交易額

Trading Limit (HKD)

信貸交易額

Credit Limit (HKD)

利息 (%)

Interest (%)

經紀名稱

Name of AE _____

經紀編號

Code of AE _____

與客戶認識多久

How Long Known to the Client _____

經紀簽署

Signature of AE _____

日期

Date _____

文件查核 Document Verification

職員名稱

Name of Staff

職員簽署

Signature of Staff

日期

Date

備註 Remarks

開戶審批 Account Opening Approval

職員名稱

Name of Staff

職員簽署

Signature of Staff

日期

Date

備註 Remarks

信貸額審批 Credit Line Approval

職員名稱

Name of Staff

職員簽署

Signature of Staff

日期

Date

備註 Remarks

系統輸入 System Input

資料輸入 Inputted By

日期 Date

覆核人 Checked by

日期 Date