



ACCOUNT OPENING FORM – INDIVIDUAL / JOINT ACCOUNT
開戶申請書 – 個人/聯名賬戶

Type of Account 賬戶類別	
<input type="checkbox"/> Individual Account 個人賬戶	<input type="checkbox"/> Joint Account 聯名賬戶
<input type="checkbox"/> Cash Account 現金賬戶	<input type="checkbox"/> Margin Account 保證金賬戶
Account No. 賬戶號碼	Date of Account Opening 開戶日期

1. Personal Information: Account Holder 1 個人資料: 個人/ 主要賬戶持有人		Personal Information: Account Holder 2 個人資料: 聯名賬戶持有人	
<input type="checkbox"/> Mr 先生	<input type="checkbox"/> Mrs 太太	<input type="checkbox"/> Miss 小姐	<input type="checkbox"/> Ms 女士
Chinese Name 中文姓名	Place of Birth 出生地	Chinese Name 中文姓名	Place of Birth 出生地
English Name 英文姓名		English Name 英文姓名	
ID No. / Passport No. 身份證號碼/ 護照號碼	Date of Birth (dd/mm/yy) 出生日期(日/月/年)	ID No. / Passport No. 身份證號碼/ 護照號碼	Date of Birth (dd/mm/yy) 出生日期(日/月/年)
Nationality 國籍	Country of Residence 居住國家	Nationality 國籍	Country of Residence 居住國家
Home Number 住宅電話	Mobile Number 手提電話	Home Number 住宅電話	Mobile Number 手提電話
E-mail Address 電郵地址		E-mail Address 電郵地址	
Residential Address (P.O. Box not accepted) 住宅地址 (不接受郵政信箱)		Residential Address (P.O. Box not accepted) 住宅地址 (不接受郵政信箱)	
Correspondence Address (if different from above, P.O. box not allowed) 通訊地址 (如與上址不同, 不接受郵政信箱)		Correspondence Address (if different from above, P.O. box not allowed) 通訊地址 (如與上址不同, 不接受郵政信箱)	
Do you maintain any account(s) with Hong Kong Securities (International) Company Limited? 閣下現時是否已持有香港證券(國際)有限公司之賬戶? <input type="checkbox"/> Yes 是 Account Type 賬戶類別: _____ Account No. 賬戶號碼: _____ <input type="checkbox"/> No 否		Do you maintain any account(s) with Hong Kong Securities (International) Company Limited? 閣下現時是否已持有香港證券(國際)有限公司之賬戶? <input type="checkbox"/> Yes 是 Account Type 賬戶類別: _____ Account No. 賬戶號碼: _____ <input type="checkbox"/> No 否	
Education Background 教育程度 <input type="checkbox"/> Primary 小學 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> University or above 大學或以上 <input type="checkbox"/> Others (Please specify) 其他(請註明): _____		Education Background 教育程度 <input type="checkbox"/> Primary 小學 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> University or above 大學或以上 <input type="checkbox"/> Others (Please specify) 其他(請註明): _____	
Statement Language(s): 結單語言: <input type="checkbox"/> English 英文		<input type="checkbox"/> Traditional Chinese 繁體中文 <input type="checkbox"/> Simplified Chinese 簡體中文	
Statement delivery to: 結單寄往: <input type="checkbox"/> Residential 住宅地址		<input type="checkbox"/> Correspondence 通訊地証	
<input type="checkbox"/> E-mail (if different from above) 電郵(如與上址不同): _____			

2. Employment: Account Holder 1 職業: 個人/ 主要賬戶持有人	
Employment Status 就業情況: <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Full-time 全職 <input type="checkbox"/> Part-time 兼職 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Others (Please specify) 其他(請註明): _____	Employment Status 就業情況: <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Full-time 全職 <input type="checkbox"/> Part-time 兼職 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Others (Please specify) 其他(請註明): _____
Name of Employer 僱主名稱	Name of Employer 僱主名稱
Occupation/ Title 職業/ 職位	Occupation/ Title 職業/ 職位
Industry 業務性質	Industry 業務性質
Address of Employer 僱主地址	Address of Employer 僱主地址
Office Telephone No. 公司電話	Office Telephone No. 公司電話

3. Personal Financial Information 財務資料 (For Joint Account, please provide aggregate 如為聯名賬戶, 請提供總和):

Annual Income (HK\$) 每年收入 (港元)

- 0 – HK\$120,000
 HK\$120,001 – HK\$360,000
 HK\$360,001 – HK\$600,000
 HK\$600,001 – HK\$1,200,000
 More than HK\$1,200,000 以上

Liquid Asset Net Worth (HK\$) 流動資產淨值 (港元)

- 0 – HK\$50,000
 HK\$50,001 – HK\$200,000
 HK\$200,001 – HK\$500,000
 HK\$500,001 – HK\$1,000,000
 HK\$1,000,001 – HK\$5,000,000
 More than HK\$5,000,000 以上

Total Asset Net Worth (HK\$) (excluding residence) 總資產淨值 (港元) (不包括住所房產)

- 0 – HK\$500,000
 HK\$500,001 – HK\$3,000,000
 HK\$3,000,001 – HK\$5,000,000
 HK\$5,000,001 – HK\$30,000,000
 More than HK\$30,000,000 以上

4. Investment Background 投資資料 (For Joint Account, please provide aggregate 如為聯名賬戶, 請提供總和):

Investment Objective 投資目標

- Capital Gain 增值
 Dividend Income 股息收入
 Hedging 對沖
 Speculation 投機
 Others 其他 (Please specify 請註明): _____

Risk Tolerance 可承受風險:

- High 高
 Moderate 中
 Low 低

Investment Experience in Securities Trading 證券交易投資經驗

Years of Experience 年資

- None 無
 Less than 1 year 少於一年
 1 to 2 years 一至兩年
 3 to 5 years 三至五年
 6 to 10 years 六至十年
 More than 10 years 十年以上

Type 種類 (If applicable 如適用):

- Stocks 股票
 Bonds 債券
 Equity/ Market linked Notes 股票/ 市場掛鈎票據
 Callable Bull/Bear Contracts ("CBBC") 牛熊證
 Futures/ Options 期貨/ 期權
 Exchange Traded Fund ("ETF") 交易所買賣基金
 Unit Trusts/ Mutual Funds 單位信托/ 互惠基金
 Derivative Warrants 衍生權證
 Others 其他 (Please specify 請註明): _____

How often do you trade? 您買賣的頻率是多少?

- 0-3 trades per month 每個月 0-3 次
 4-9 trades per month 每個月 4-9 次
 10-20 trades per month 每個月 10-20 次
 More than 20 trades per month 每個月 20 次以上

5. Bank Account Details 銀行賬戶詳情

Funds will be transferred to the following account pursuant to your fund withdrawal instruction.

款項將根據閣下之提款指示轉入以下戶口。概不接受第三方之銀行賬戶。

Name of Bank 銀行名稱	Name of Bank Account Holder 賬戶持有人姓名	Account No. 賬戶號碼
Account Type 賬戶類別 <input type="checkbox"/> HKD 港元 <input type="checkbox"/> CNY 人民幣 <input type="checkbox"/> USD 美元 <input type="checkbox"/> Multi-currency 綜合貨幣 <input type="checkbox"/> Others 其他	SWIFT Code (For Overseas Transfer Only) SWIFT 編號 (只供海外轉賬之用)	Bank Address (For overseas transfer only) 銀行地址 (只供海外轉賬之用)

6. Derivative Products Knowledge Assessment 衍生投資產品認知評估

Have you undergone any training or attended any courses on derivative products? 閣下是否曾接受有關衍生產品之培訓或修讀有關課程?

- Yes 是
 No 否

If yes, please specify the organisation, course name and the year attended. 如是, 請填寫相關機構、課程名稱及修讀年份:

Have you ever obtained any working experience related to derivative products? 閣下是否曾獲取有關衍生產品的工作經驗?

- Yes 是
 No 否

If yes, please specify the organisation, course name and the year attended. 如是, 請填寫相關的僱主名稱、職位及服務年資:

Have you ever executed 5 or more transactions related to derivative products within the past 3 years? 閣下是否曾在過去三年內執行過五次或以上有關衍生產品的交易?

- Yes 是
 No 否

* Derivative products include warrant, callable bull/ bear contracts, equity/market-linked notes, exchange traded fund, options, futures and other products embedded with derivatives.
* 衍生產品包括窩輪、牛熊證、股票/ 市場掛鈎票據、交易所買賣基金、期權、期貨及其他與衍生工具掛鈎的產品。

7. Declarations by Account Holder(s) 賬戶持有人聲明

Are you a director or senior officer of any listed company whose shares are traded on any exchange or market? 閣下是否為上市公司的董事或高級職員?

Yes 是 No 否

If yes, please specify the company name(s) and the stock code(s). 如是, 請列明有關公司之名稱及股票代號:

Do you have any relationship with any employee of Hong Kong Securities (International) Company Limited? 閣下與香港證券(國際)有限公司員工是否有親戚關係?

Yes 是 No 否

If yes, please specify the relevant person's name, account number and the relationship. 如是, 請列明有關人士的名稱及與其之關係:

Name 姓名: _____ Account No. 賬戶號碼: _____ Relationship 關係: _____

A person licensed by or registered with the Hong Kong Securities and Futures Commission or employed by a licensed corporation, a registered securities broker dealer and a stock exchange? 為香港證券及期貨事務監察委員會(「證監會」)之持牌人或註冊人或受僱於證監會之註冊機構或註冊證券經紀交易商或證券交易所?

Yes 是 No 否

If yes, please specify the CE number and the name of the employer*. 如是, 請列明中央編號及僱主名稱:*

CE No.: _____ Name of Employer 僱主名稱: _____

*Please submit an employer consent letter which provides consent for the account opening with Hong Kong Securities (International) Company Limited

* 請提供閣下僱主有關同意閣下於香港證券(國際)有限公司開戶之書面同意。

8. Client's Declaration 客戶聲明

- I/We hereby declare that: (a) the information contained in this Account Opening Form are true, complete and correct and all the representations in the Client Agreement of Hong Kong Securities (International) Company Limited are accurate; (b) unless specifically stated otherwise, I am/we are the person(s) who is/are ultimately responsible for originating the instructions; and (c) unless specifically stated otherwise, I am/we are the ultimate beneficial owner(s) who stand(s) to gain the commercial/economic benefit of the transaction and/or bear the commercial/economic risk.
本人/吾等聲明: (a) 載於本開戶申請書的資料乃屬真實、完整及正確, 而香港證券(國際)有限公司的客戶協議書內所載的一切聲明乃屬準確; (b) 除非另有指明, 本人/吾等乃屬對所發出指示負有最終責任的人士; 及 (c) 除非另有指明, 本人/吾等乃屬將會從交易取得商業/經濟利益及/或承擔其商業/經濟風險的最終受益人。
- I/We hereby accept and agree that the Services and Account are subject to the Client Agreement and as amended by Hong Kong Securities (International) Company Limited from time to time. I/We confirm that I/we have read and understood the Client Agreement and agree to be bound by, the terms and conditions as set forth in the Client Agreement. Unless the context requires otherwise, terms and expressions used and defined in the Client Agreement shall have the same meaning when used herein.
本人/吾等接受及同意服務及賬戶受客戶協議書所規限, 該協議書由香港證券(國際)有限公司不時作出修訂。本人/吾等確認本人/吾等已經細閱及明白客戶協議書及接受客戶協議書所訂立的條款及條件所約束。除非文義另有所指, 客戶協議書所用及定義的詞彙與本開戶申請書所用者相同。
- I/We hereby acknowledge and agree that Hong Kong Securities (International) Company Limited is entitled to rely fully on such information and representations for all purposes, unless and until Hong Kong Securities (International) Company Limited receives notice in writing from me/us of any change.
本人/吾等知悉及同意除非及直至香港證券(國際)有限公司接到本人/吾等發出更改本申請書內容的書面通知, 香港證券(國際)有限公司有權完全依賴該等資料及聲明作一切用途。
- I/We agree that Hong Kong Securities (International) Company Limited is authorised to contact anyone, including but not limited to banks, brokers or any credit agency of mine/ours, for the purpose of verifying the relevant information and representations.
本人/吾等同意香港證券(國際)有限公司有權隨時聯絡任何人, 包括但不限於本人/吾等之銀行、經紀或任何信貸調查機構, 以確認有關內容及聲明。
- I/We acknowledge and confirm that I/we have read the relevant risk disclosure statements and disclaimers which were provided in a language of my/our choice as set out in the Client Agreement. I/We also acknowledge that the I/we was/were invited to read the relevant risk disclosure statements as set out in the Client Agreement, ask questions and take independent advice if I/we wish.
本人/吾等承認及確認已閱讀本人/吾等所選擇語言之客戶協議書內有關的風險披露聲明及免責聲明。本人/吾等亦確認獲邀閱讀客戶協議書內有關的風險披露聲明及免責聲明, 並可提出問題及徵求獨立的意見(如本人/吾等有此意願)。

9. Sign and Date Your Application 請簽署您的申請書並註明日期

Signed, sealed and delivered by 由以下人士簽署、蓋印及提交:	Signed, sealed and delivered by 由以下人士簽署、蓋印及提交:
Signature of Account Holder 1 主要賬戶持有人簽署:	Signature of Account Holder 2 聯名賬戶持有人簽署:
Name of Account Holder 1 主要賬戶持有人姓名:	Name of Account Holder 2 聯名賬戶持有人姓名:
Date 日期:	Date 日期:
In the presence of (if applicable) 由以下人士見證(如適用):	In the presence of (if applicable) 由以下人士見證(如適用):
Signature of Witness 見證人簽名:	Signature of Witness 見證人簽名:
ID No./ Passport No. 身份證/ 護照號碼:	ID No./ Passport No. 身份證/ 護照號碼:
Occupation 職業:	Occupation 職業:
Address 地址:	Address 地址:

10. Identity Verification 身份核證

This is to certify that I* have witnessed to signing of the Account Opening Form of Hong Kong Securities (International) Company Limited by the applicant, _____
I further confirm that I have verified the applicant's identity against his/her/their identification document.

本人*謹此認證，本人見證申請人 _____ 簽署香港證券(國際)有限公司的開戶申請書。本人已索取並核實申請人的身份證明文件，確認其身份。

*A witness has to be a registered person, a Justice of the Peace, branch manager of a bank, lawyer, certified public accountant or Notary Public.
*見證人需為註冊人士、太平紳士、銀行分行經理、律師、註冊會計師或公證人。

Signature of Witness : _____ Name of Witness : _____ Qualification Obtained and License Number : _____
見證人簽署 : _____ 見證人姓名 : _____ 已獲取的專業資格及牌照號碼 : _____

11. Declaration 聲明

The customer acknowledges the receipt of the following documents when he/she opens an account with Hong Kong Securities (International) Company Limited:
客戶確認於香港證券(國際)有限公司開立賬戶時已收妥下列之文件:

- Client Agreement 客戶協議書;
- Derivative Products Risk Disclosure Statement 衍生工具風險披露聲明; and 及
- Notice to Customers relating to Personal Data (Privacy) Ordinance 有關個人資料(私隱)條例之客戶通告。

Risk Statement 風險聲明 (to be completed by Hong Kong Securities (International) Company Limited 由香港證券(國際)有限公司填寫)

I hereby confirm that I have provided the Risk Disclosure Statement contained herein in the language of the client's choice and that I have invited the Client to read the Risk Disclosure Statement, ask questions and take independent advice, if the Client wishes.

本人謹此確認已經以客戶選擇之語言提供風險披露聲明，並且本人已經邀請客戶閱讀該風險聲明，提出問題及尋求獨立意見(如客戶有此意願)。

Signature of Licensed Person : _____ Name of Licensed Person : _____ CE No. : _____ Date : _____
持牌人簽署 : _____ 持牌人姓名 : _____ 中央編號 : _____ 日期 : _____

For Office Use (TO BE COMPLETED BY AE)

Applicant's Background:

Applicant's relationship with AE:

AML Risk Level: Low Normal High

Internet Trade

Brokerage (%): <input type="checkbox"/> Terminal Trade _____ <input type="checkbox"/> Internet Trade _____	Min Charge (HK\$): <input type="checkbox"/> Terminal Trade _____ <input type="checkbox"/> Internet Trade _____	AE Commission (%):	Min Charge (HK\$):
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AE name:	C.E. No.:
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Account opening approved by:	Account opening checked/ endorsed by:
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Name (Please print):	Name (Please print):
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Date:	Date:
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Documentation checked by:

Remarks:

BOS System Inputted By: _____ Date: _____	BOS System Approved By: _____ Date: _____
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