



富力鑫证券有限公司（即「本公司」）获香港证券及期货事务监察委员会发牌（中央编号为ABS418）按证券及期货条例经营第一类（证券交易）受规管活动。此外，本公司为香港联合交易所有限公司参与者，亦为香港中央结算有限公司参与者。

Fulixin Securities Limited (the "Company") has been licensed by the Securities and Futures Commission in Hong Kong (with CE no. ABS418) to carry on Type 1 (dealing in securities) regulated activities under the Securities and Futures Ordinance. In addition, the Company is an Exchange Participant of The Stock Exchange of Hong Kong Limited, as well as a Clearing House Participant of Hong Kong Securities Clearing Company Limited.

备注：此乃重要文件。阁下（即「客户」）应仔细阅读并充分理解本协议之内容包括开户申请表与条款及条件（连同所有附表）有关于本公司开立及持有有一个或多个之交易帐户（即「帐户」）。客户在签署本开户申请表前，如有所需，应先寻求独立法律或其他专业意见。倘若本开户申请表的中英文版本有任何歧异，一概以英文版本为准。

Note: This is an important document. You (the "Client") should carefully read and fully understand the contents of the Agreement comprised of this Account Opening Application and the Terms and Conditions (with all Schedules thereto) for one or more trading accounts (the "Account(s)") to be opened and maintained with the Company. Before signing the Account Opening Application, the Client should firstly obtain independent legal or other professional advice as the Client may deem necessary. In case of any discrepancy between the English and Chinese versions of this Account Opening Application, the English version shall prevail.

重要部份必须由客户填写及签署 Important parts should be filled and signed by Client.

开户申请表 ACCOUNT OPENING APPLICATION

(个人 / 联名帐户 INDIVIDUAL / JOINT ACCOUNT)

帳戶號碼： Account No.:	
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负责客户主任姓名 Responsible AE	+	帐户类型 Account Nature	<input type="checkbox"/> 个人帐户 Individual Account	<input type="checkbox"/> 联名帐户 Joint Account
负责客户主任编号 Responsible AE Code	+	落盘方式 Method of Placing Order	<input type="checkbox"/> 电话 By Telephone (Manual)	<input type="checkbox"/> 网上 By Internet
客户种类 Account Type	<input type="checkbox"/> 香港证券现金帐户 HK Securities Cash Account	推荐人 Introduced By		

1. 个人资料 Personal Information

个人/联名帐户主要持有人 Individual/Primary Joint Account Holder		联名帐户第二持有人 Secondary Joint Account Holder	
中文姓名 先生 / 女士		中文姓名 先生 / 女士	
English Name Surname First	Mr / Ms	English Name Surname First	Mr / Ms
住宅地址 Residential Address		住宅地址 Residential Address	
邮政编号 Postal Code		邮政编号 Postal Code	
身份证号码 / 护照号码 ID Card No. / Passport No.		身份证号码 / 护照号码 ID Card No. / Passport No.	
签发地点 Place of Issue		签发地点 Place of Issue	
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)	
住宅电话 Home Tel No.		住宅电话 Home Tel No.	
流动电话 Mobile No.	1.(+) 2.(+)	流动电话 Mobile No.	1.(+) 2.(+)
出生地点 Country of Birth		出生地点 Country of Birth	
国籍/公民身份 Nationality /		国籍/公民身份 Nationality /	
学历程度 Education Level	<input type="checkbox"/> 小学或以下 Primary School or Below <input type="checkbox"/> 中学 Secondary School <input type="checkbox"/> 大学 University	学历程度 Education Level	<input type="checkbox"/> 小学或以下 Primary School or Below <input type="checkbox"/> 中学 Secondary School <input type="checkbox"/> 大学 University

银行资料 Bank Reference

此户口将用作交收银行户口，而本公司发出之支票将依据以下之户口名称。

This account will be used as the settlement bank account and the cheque issued by the Company will be accorded to the account name below.

银行帐户纪录（只供存款用途）BANK ACCOUNT RECORD (For fund deposit only)

除客户另行指示外，客户的款项将会被转入下列银行帐户：

Unless otherwise to be instructed by you, all monies payable to you are to be credited to the following bank account:

指定银行： Designated Bank：	银行名称： Name of Bank：	帐户号码： Account No.：	帐户名称： Account Name：
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电邮位址 E-mail Address (最多50个字母Max.50 characters) (只须由个人/主要户口持有人填写 Individual/Primary Joint Account holder only)	与主要户口持有人关系 Relationship with Primary account holder <input type="checkbox"/> 直系亲属：请注明 _____ <small>Immediate family, please specify</small> <input type="checkbox"/> 亲戚 <input type="checkbox"/> 朋友 <input type="checkbox"/> 其他 _____ <small>Relative Friend Other</small>
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Method of Communication 通讯方法

请选择以下其中一项通讯方法 Please select one of the following method of communication :

- | | | |
|---|--|--|
| <input type="checkbox"/> * 邮递 By Mail : | <input type="checkbox"/> 住宅位址 Residential address | |
| * 须缴交行政费: 每年港币一百元 | <input type="checkbox"/> 办公室位址 Office address | |
| * Administrative Fee : HKD100 per annum | <input type="checkbox"/> 其他 Others : _____ | |
| | <small>(请留意结单将以邮递方式寄往客户 Please note that the statement will be sent to Client by post)</small> | |
|
<input type="checkbox"/> By E-mail 电子邮件 (可豁免行政费 Administrative Fee may be waived) | | |

无论客户选择以邮递或电子邮件作为通讯方法，富力鑫证券有限公司有最终决定权使用任何其认为适当的通讯方式与客户进行通讯。

Please be noted that Fulixin Securities Limited reserve the rights, at their sole discretion to change or modify the method of communication to the Client that Fulixin Securities Limited deemed appropriate at any time.

2. 工作状况 Employment Status

主要户口持有人 Primary Joint Account Holder		第二户口持有人 Secondary Joint Account Holder	
行业 Occupation		行业 Occupation	
职位 Job Title		职位 Job Title	
雇主名称 Name of employer		雇主名称 Name of employer	
受雇年期 Years with employer		受雇年期 Years with employer	
办公室电话 Office No.		办公室电话 Office No.	
办公室地址 Office Address		办公室地址 Office Address	
	邮政编号 Postal Code		邮政编号 Postal Code

3.投资经验及衍生产品认识 Investment Experience & Derivative Products Knowledge

投资目标 Investment Objective:	<input type="checkbox"/> 股息收入 Dividend Income	<input type="checkbox"/> 资本增值 Capital Appreciation	<input type="checkbox"/> 对冲 Hedging	<input type="checkbox"/> 投机 Speculation	<input type="checkbox"/> 其他 _____ Others
投资经验 (可选多于一项) Investment Experience (Can choose more than one)					
证券交易 Securities Trading	<input type="checkbox"/> 没有 No / <input type="checkbox"/> 有 Yes () 年 year(s)				
股票期权交易 Stock Options	<input type="checkbox"/> 没有 No / <input type="checkbox"/> 有 Yes () 年 year(s)				
期货/期权交易 Futures/Options Trading	<input type="checkbox"/> 没有 No / <input type="checkbox"/> 有 Yes () 年 year(s)				
外汇/商品期货交易 Forex/Commodity Futures Trading	<input type="checkbox"/> 没有 No / <input type="checkbox"/> 有 Yes () 年 year(s)				
贵金属交易 Bullion Trading	<input type="checkbox"/> 没有 No / <input type="checkbox"/> 有 Yes () 年 year(s)				
房地产/物业投资 Real Estate/Property Investment	<input type="checkbox"/> 没有 No / <input type="checkbox"/> 有 Yes () 年 year(s)				
衍生权证交易 Derivative Warrants	<input type="checkbox"/> 没有 No / <input type="checkbox"/> 有 Yes () 年 year(s)				
牛熊证交易 Callable Bull/Bear Contracts	<input type="checkbox"/> 没有 No / <input type="checkbox"/> 有 Yes () 年 year(s)				
交易所买卖基金交易 Exchange Traded Funds	<input type="checkbox"/> 没有 No / <input type="checkbox"/> 有 Yes () 年 year(s)				
股票挂钩票据交易 Equity Linked Instruments	<input type="checkbox"/> 没有 No / <input type="checkbox"/> 有 Yes () 年 year(s)				
互惠基金/单位信托基金 Mutual Funds/Unit Trust	<input type="checkbox"/> 没有 No / <input type="checkbox"/> 有 Yes () 年 year(s)				
固定收益证券 (例如债券) Fixed Income Securities (e.g. Bonds)	<input type="checkbox"/> 没有 No / <input type="checkbox"/> 有 Yes () 年 year(s)				

对衍生产品之认识问卷 Derivative Products Knowledge Questionnaire	按以下选择，在下列方格中加上√ (Refer to the following statements and tick the appropriate box(es) below)
	本人了解衍生产品的性质和风险： I understand the nature and risks of derivative products due to :
	1. 已接受有关的培训和课程。 Undergoing relevant training or attending course in
	<input type="checkbox"/> 监管机构 <input type="checkbox"/> 交易所 <input type="checkbox"/> 金融机构 <input type="checkbox"/> 进修学院 <input type="checkbox"/> 大专院校 <input type="checkbox"/> 其他 _____ Regulatory Authority Exchange Financial Institution Education Institution Tertiary Institution Others
	2. 于金融机构拥有有关的工作经验。 Gaining prior relevant work experience in financial institution(s)
	<input type="checkbox"/> 经纪公司或银行 <input type="checkbox"/> 基金或资金管理公司 <input type="checkbox"/> 监管机构或交易所 <input type="checkbox"/> 其他 _____ Brokerage Firm or Bank Fund House or Asset Mgt Firm Regulatory Authority or Exchange Others
	3. 于过去三年内进行了五次或以上有关衍生产品之交易。(不论是否于交易所进行交易) Executing five or more transactions in derivative products (whether traded on an exchange or not) within the past three years.
	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No

投资者分类声明 (基于对衍生工具的知识)

本人特此声明并承认基于本人对衍生产品的知识，本人同意于证监会所要求的投资者分类下被视为类别_____及下列详细说明。

本人进一步声明及承认本人了解该分类的风险和后果，而持牌法团如富力鑫证券有限公司将无责任向在此被分类为类别一及类别二的客户解释衍生产品的性质和风险。

- 类别一：拥有对衍生产品的知识
- 投资者于过去3年内进行5宗或以上任何衍生产品的交易。
 - 中介人无须向该客户解释衍生产品的风险。
- 类别二：拥有对衍生产品的一般知识
- 一般知识可以帮助投资者了解衍生产品的性质和风险。
 - 中介人无须向该客户解释衍生产品的风险。
- 类别三：对衍生产品没有知识
- 于交易所交易的衍生产品：中介人即使仅只于执行交易亦应解释衍生产品的性质和风险。
 - 非交易所交易的衍生产品：中介人即使仅只于执行交易亦应提醒该客户及向客户就合适性提供的建议在所有情况下都是合理的，并将提醒及其他通讯记录妥善保存。凡交易被评估为不适合，中介人应只在维护客户最佳利益的行事方式的前提下执行交易。
- 客户不会买任何衍生产品。

Declaration-Investor Characterization (Based on Knowledge in Derivatives)

I hereby declare and acknowledge that on the basis of my knowledge on derivative products, I consent to be treated as Category _____ under Investor Characterization as required by the Securities and Futures Commission and set out in details below.

I further declare and acknowledge that I understand the risks and consequences of such Characterization, and that licensed corporations such as Fulxin Securities Limited will not be obliged to explain the nature and risks of derivative products to clients classified as Category 1 and Category 2 herein.

- Category 1 - have knowledge of derivatives**
- Investor has executed 5 or more transactions in any derivative product within the past 3 years.
 - Intermediary is not required to explain the risks of derivative products to such clients.
- Category 2 - have general knowledge of derivatives**
- General knowledge could assist an investor to understand the nature and risks of derivative products.
 - Intermediary is not required to explain the risks of derivative products to such client.
- Category 3 - have no knowledge of derivatives**
- Derivative products traded on an exchange : Intermediary should explain the nature and risks even for execution-only transactions.
 - Derivative products not traded on an exchange : Intermediary should **warn** such client and provide appropriate advice on **suitability** for the client in all circumstances even for execution-only transactions, with record of the warning and other communications duly kept. Where the transaction is assessed as unsuitable, Intermediary should only proceed if acting in the **best interests of the client**.
- Client DOES NOT WISH to trade any derivative products.

SIGN HERE

X

X

客户签署
Signature of Client
姓名：
Name：
日期：
Date：

持牌代表签署
Signature of licensed representative
姓名：
Name：
证监会编号及日期：
SFC CE No. & Date：

4. 财务状况 Financial Situation

主要户口持有人 Primary Joint Account Holder		第二户口持有人 Secondary Joint Account Holder	
流动资产 (港币) Liquid Assets (HKD)	<input type="checkbox"/> < HKD 100,000 <input type="checkbox"/> HKD100,000 - 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"/> Other: HKD _____	流动资产 (港币) Liquid Assets (HKD)	<input type="checkbox"/> < HKD 100,000 <input type="checkbox"/> HKD100,000 - 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"/> Other: HKD _____
资产净值 (港币) Net Worth (HKD)	<input type="checkbox"/> < HKD 100,000 <input type="checkbox"/> HKD100,000 - 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"/> Other: HKD _____	资产净值 (港币) Net Worth (HKD)	<input type="checkbox"/> < HKD 100,000 <input type="checkbox"/> HKD100,000 - 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"/> Other: HKD _____
年薪 (港币) Annual Income (HKD)	<input type="checkbox"/> < HKD120,000 (I1) <input type="checkbox"/> HKD120,001 - HKD360,000 (I2) <input type="checkbox"/> HKD360,001 - HKD600,000 (I3) <input type="checkbox"/> HKD600,001 - HKD1,200,000 (I4) <input type="checkbox"/> > HKD1,200,000 (I5)	年薪 (港币) Annual Income (HKD)	<input type="checkbox"/> < HKD120,000 (I1) <input type="checkbox"/> HKD120,001 - HKD360,000 (I2) <input type="checkbox"/> HKD360,001 - HKD600,000 (I3) <input type="checkbox"/> HKD600,001 - HKD1,200,000 (I4) <input type="checkbox"/> > HKD1,200,000 (I5)
资金来源： Source of Funds	<input type="checkbox"/> 薪金储蓄 Saving from Salary <input type="checkbox"/> 家庭 Family <input type="checkbox"/> 营业溢利 Trading Profits <input type="checkbox"/> 租金收入 Rental Income <input type="checkbox"/> 金融机构贷款 Loan from Financial Institution <input type="checkbox"/> 其他 Other: _____	资金来源： Source of Funds	<input type="checkbox"/> 薪金储蓄 Saving from Salary <input type="checkbox"/> 家庭 Family <input type="checkbox"/> 营业溢利 Trading Profits <input type="checkbox"/> 租金收入 Rental Income <input type="checkbox"/> 金融机构贷款 Loan from Financial Institution <input type="checkbox"/> 其他 Other: _____
住屋业权 Ownership of Residence	<input type="checkbox"/> 拥有 Owned <input type="checkbox"/> 已抵押 Mortgaged <input type="checkbox"/> 没有抵押 Not Mortgaged <input type="checkbox"/> 没有 Not Owned <input type="checkbox"/> 租住 Rented <input type="checkbox"/> 与家人同住 Living with Family	住屋业权 Ownership of Residence	<input type="checkbox"/> 拥有 Owned <input type="checkbox"/> 已抵押 Mortgaged <input type="checkbox"/> 没有抵押 Not Mortgaged <input type="checkbox"/> 没有 Not Owned <input type="checkbox"/> 租住 Rented <input type="checkbox"/> 与家人同住 Living with Family

5. 帐户授权书 ACCOUNT MANDATE

阁下/联名户主要/第二持有人 (如适用) 是否唯一有权操作此帐户及负责发出交易指示之人士?
 Are you /the Primary / Secondary 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 (请填写「第三者授权书」) No (Please complete "Third Party Authorization")

只适用于联名户 FOR JOINT ACCOUNT ONLY

阁下之联名户持有人可按照下列权限发出指示予本公司以运作阁下之帐户 (*请删去不适用者):
 The Joint Account Holders of the Client have been authorized to issue the instructions to the Company subject to the following mandate for operation of the Account(s) (*Delete where not applicable):

权限 Extent of Authority	指示种类 Type of Instructions	
(请选择以下一项) (Please choose one below)	买卖指示 Trading Instructions	其他指示 (如: 提取现金及/或转账) Other Instructions (e.g. fund withdrawal and / or transfer)
单独发出 Issued singly by	<input type="checkbox"/> 主要联名户持有人 Primary Account Holder <input type="checkbox"/> 第二联名户持有人 Secondary Account Holder	<input type="checkbox"/> 主要联名户持有人 Primary Account Holder <input type="checkbox"/> 第二联名户持有人 Secondary Account Holder
联合发出 Issued jointly by	不适用 N/A	任何 _____ 位联名户持有人 Any _____ of the joint account holders

6. 客户声明 (Declaration by Customer)

<p>1. 你 (及/或联名帐户第二持有人) 是否此帐户的最终实益拥有人? (即你是否为本身而非第三者运作此帐户? 如否, 帐户的最终实益拥有者是:</p> <p style="font-size: small;">Are you (and/or the Secondary Joint Account Holder) the ultimate beneficial owner(s) in relation to the Account? (i.e. Are you acting for your own account and not for a third party?) If no, details of the ultimate beneficial owner(s) is/are: -</p> <p style="margin-top: 10px;">名称 _____ 身份证/护照号码 _____ Name: _____ ID/Passport No. _____</p> <p>地址 _____ Address: _____</p>	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
<p>2. 你 (及/或联名帐户第二持有人) 是否证券/期货交易参与者的雇员或代理人, 或于证监会注册的持牌法团/注册机构? 如是, 交易所参与者/持牌法团/注册机构的名称是 (请提供你雇主的书面同意): -</p> <p style="font-size: small;">Are you (and/or the Secondary Joint Account Holder) an employee or agent of an exchange of a stock/futures exchange, or a licensed corporation or registered institution? If yes, the name of the related exchange participant/licensed corporation/registered institution is (please provide your employer's consent letter): -</p>	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
<p>3. 你 (及/或联名帐户第二持有人) 是否与富力鑫证券有限公司 ("富力鑫证券") 或联系人士的职员或代理人有亲戚关系: 如是, 职员/代理人的名称是: -</p> <p style="font-size: small;">Are you (and/or the Secondary Joint Account Holder) a relative of an employee or agent of Fulixin Securities or its Associates? If yes, the name of employee/agent: -</p> <p>_____</p>	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 双亲 Parent <input type="checkbox"/> 配偶 Spouse <input type="checkbox"/> 兄弟孩子 Sibling <input type="checkbox"/> 孩子 Child <input type="checkbox"/> 其他 Other <input type="checkbox"/> 否 No
<p>4. 阁下及 / 或阁下之配偶是否控制本公司任何客户的35%或以上的表决权?</p> <p style="font-size: small;">Are you, either alone or with your spouse, control 35% or more of voting rights of any client of Limited ("Fulixin Securities") the Company?</p>	<input type="checkbox"/> 是 Yes (Please specify) _____ <input type="checkbox"/> 否 No
<p>5. 阁下是否被委任为重要公职 (例如: 国家或政府元首、重要政客、高级政府官员、高级司法人员、高级军官、国家企业高级行政人员、宗教领袖或以上人士的家人或有联系人士)?</p> <p style="font-size: small;">Are you entrusted with prominent public functions (e.g. Head of State or of government, senior politicians/important political officials, senior government official, senior judicial officials, senior military officials, senior executives of state owned enterprises, religions leaders, or family members or close associates of the above-mentioned parties)?</p>	<input type="checkbox"/> 是 Yes (Please specify) _____ <input type="checkbox"/> 否 No
<p>6. 你(及或联名帐户第二持有人)是否美国公民或税务目的而言的居民?(注意: 美国税收申报要求, 美国人户口需要特别审批。)</p> <p style="font-size: small;">Are you (and /or the Secondary Joint Account Holder) citizens or residents of the USA for tax purposes? (Note: Due to US tax reporting requirements, US persons' accounts require special approval.)</p>	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
<p>7. 你(及或联名帐户第二持有人)是否香港以外的就税务目的而言的居民? 如是, 请列出该国家:</p> <p style="font-size: small;">Are you (and /or the Secondary Joint Account Holder) a resident for tax purposes in any place other than Hong Kong? If yes, please list the country (ies): -</p> <p style="margin-top: 10px;"> <input type="checkbox"/> 中国 <input type="checkbox"/> 澳洲 <input type="checkbox"/> 台湾 <input type="checkbox"/> 日本 <input type="checkbox"/> 加拿大 <input type="checkbox"/> 泰国 <input type="checkbox"/> 印尼 <input type="checkbox"/> 其他: _____ </p>	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No

7. 客户确认及签署 Acknowledgement and Execution by Customer

1. 风险披露声明 Risk Disclosure Statement

客户确认富力鑫证券以客户选择的语言（英文或中文）提供客户协议包括其附表2的风险披露声明及免责声明。客户进一步确认富力鑫证券已经邀请客户阅读风险披露声明，提出问题及征求独立的意见（如客户有此意愿）。

The Customer acknowledges that the Securities Client Agreement including the Risk Disclosure Statements and Disclaimers in Schedule 2 attached were provided in a language (English or Chinese) of the Customer's choice. The Customer further acknowledges that he/she was invited to read the risk disclosure statements, ask questions and take independent advice, if the Customer wished.

客户应经常密切留意市况，富力鑫证券可能在强制平仓前无法与客户联络或未能提供足够时间让客户进行额外的存款。

The Customer acknowledges that he/she should closely monitor positions, as Fulixin Securities may not be able to contact you or give you sufficient time to deposit additional funds, before forced liquidation of positions.

2. 提供准确的资料 Accuracy of information provided

载于本开户申请表（「资料表」）中的资料是真实和准确的。客户将会通知富力鑫证券有关资料的任何重要改变。富力鑫证券可联络任何人，包括客户的银行、经纪或信用调查机构，以核实资料表的内容。

The information contained in this Account Opening Application Form (the "Form") is true and accurate. The Customer will notify Fulixin Securities of any material change of that information. Fulixin Securities is authorized to contact anyone, including Customer's banks, brokers or any credit agency, for verifying the information provided in this Form.

户口种类 Account Type

选择服务 Select Service(s)

现金账户 (Cash Account)

请为我/我们开立现金账户。我/我们已经阅读并明白证券客户协议的条款，并接受这些条款的约束。

Please open a Cash Account for me/us. I/We have read and understand the provisions of the Securities Client Agreement and agree to be bound by same.

现金账户 Cash Account

客户确认 Acknowledgement by Customer

我/我们同意富力鑫证券或联系人士以各种方式提供投资或有关财务产品及服务的资料，其包括研究报告及特别优惠等。

I/We consent to Fulixin Securities or its Associates providing information about investment or financial related products and services including research reports and special offers by any means.

是 Yes 否 No

签署人 Signed by :

*个人/主要帐户持有人签署

Individual/Primary Joint Account Holder's Signature :



日期 Date :

*联名帐户第二持有人签署

Secondary Joint Account Holder's Signature :

日期 Date :

*将被用作签名样式 Will be used as Specimen Signature

职员/经纪声明 Declaration by Staff /Account Executive

我确认已经以客户选择的语言（英文或中文）提供了载于证券客户协定附表2内的风险披露声明，并且我已经邀请客户阅读风险披露声明，提出有关问题及寻求独立意见（如客户有此意愿）。

I confirm that I have provided the Risk Disclosure Statements as set out in Schedule 2 of the Securities Client Agreement in a language (English or Chinese) of the Customer's choice. I have also invited the Customer to read the Risk Disclosure Statements, ask questions and independent advice if the customer wishes.

持第1类（证券买卖） Licensed for Type 1 (Licensed Corporation)

日期 Date :

职员/经纪签署

+

Signature of Staff /AE

职员/经纪姓名

+

Name of Staff/AE

CE 编号

+

CE No.

8. 见证客户签署 (如适用) WITNESSING OF CLIENT SIGNATURE (if applicable)

客户须在本公司之持牌代表面前签立本开户申请表，或将本开户申请表连同恰当的支票+一并交回本公司，否则本开户文件的签立及有关的身份证明文件的见证，应由适合的证明人包括公证人、律师、会计师、特许秘书、持牌银行分行经理、太平绅士、发出身份核实文件的国家的大使馆、领事馆或高级专员公署的人员或其他证监会持票人加以验证。

If this Account Opening Application is not executed in the presence of the Company's licensed representative or is not submitted with an appropriate cheque+ then signing of this Account Opening Application and sighting of related identity documents should be certified by a Notary Public, Lawyer, Certified Public Accountant, a Chartered Secretary, a Branch Manager of a Bank, a JP (Justice of the Peace), an officer of an embassy, consulate of high commission of the country of the issue of documentary verification of identity or any other SFC licensed person.

本人谨此见证上述客户签立此开户申请表 (构成本协议之重要文件) 及其有关身份证明文件之正本：

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

见证人签署
Signature of Witness

姓名
Name:

所属专业及职衔
Profession/Title:

日期
Date:

- + 数额不少于港币一万元的划线支票。支票须有客户本人签发予「富力鑫证券有限公司」，而支票签发人姓名及签名模式须与本开户申请表上之客户名称及签署相符。新客户帐户须在支票兑现后方可使用。
- + A crossed cheque of not less than HKD10,000 in favour of "Fulixin Securities Limited" bearing Client's name and signature as shown in this Account Opening Application and drawn on a licensed bank in Hong Kong. The new account cannot be activated for use until the cheque has been cleared.

9. 注意事项 Notes

1. 请随本表格附上全部帐户持有人之身份证副本及最近三个月内住宅及通讯地址证明文件 (邮政信箱恕不接受) 。
Please enclose an ID copy and residential and correspondence address(es) proof dated within the last 3 months (P.O. box is not accepted) for all account holders with this Form.
2. 全部帐户持有人必须在富力鑫证券或联络人士的职员/代理人面前填妥及签署本表格；如非亲身开户，请参看下方的注解6。
This Form should be completed and signed by all account holders in front of an employee or agent of Fulixin Securities or its Associates. Otherwise, please see Note 6 below.
3. 任何有关个人资料的删改必须由全部帐户持有人签署作实。
Any deletion or amendment of the personal information must be signed by all account holders.
4. 帐户持有人的款项将会被存入本表格内所提供的指定银行帐户，除非另行通知。
All monies payable to the account holder will be credited to the designated bank account nominated on this Form, unless otherwise instructed.
5. 富力鑫证券恕不接受第三者存款。任何例外情况都需要管理层的预先批准。
Third-party deposit will not be accepted. Any exception is subject to prior management approval.
6. 如资料并非在富力鑫证券或联系人士的职员/代理人面前签署，帐户持有人必须遵从以下其中一种程序要求：
If this Form is not executed by the account holders in front of an employee or agent of Fulixin Securities or its Associates, the account holders should comply with either one of the following procedural requirements :
 - (i) 交给富力鑫证券在香港持牌银行开立的帐户所签发不少于一万元港元的个人支票，该支票的签名及姓名须与本表格的客户签名及身份证明文件相符，而支票抬头须为“富力鑫证券有限公司”。客户的帐户必须持支票兑现后才可使用；或
Send a personal cheque in favour of "Fulixin Securities Limited" for not less than HK\$10,000 drawn on an account with a licensed bank in Hong Kong, bearing the signature(s) as on this Form and name(s) as on the identity document(s). The new account will not be activated until the cheque is cleared; or
 - (ii) 由其他持牌人或注册人富力鑫证券的联系人士、太平绅士、银行分行经理、执业会计师、律师或公证人见证客户的签名及身份证明文件。
Have any other licensed or registered person, Associate of Fulixin Securities, justice of the peace, branch manager of a bank, certified public accountant, lawyer or notary public certify the signature and identity documents of the account holders.

只供本行使用 For Official Use Only

文件查核列表 Document check list 1. 已核实的身份证或护照副本 Certified I.D Card/Passport Copy <input type="checkbox"/> 是 Yes		Applicable to non face-to-face account opening procedure : Personal cheque received (if applicable) <input type="checkbox"/> issued from a licensed bank in HK		
2. 地址证明副本 Address proof <input type="checkbox"/> 是 Yes		<input type="checkbox"/> payable to Fulixin Securities Limited		
3. 银行及信贷参考 (如适用) Bank and Credit Reference (if applicable) (例如 : 银行结单 · 屋契等) (e.g. bank statement · title deeds etc.) <input type="checkbox"/> 是 Yes <input type="checkbox"/> 不适合 N/A		<input type="checkbox"/> cheque amount not less than HK\$10,000 <input type="checkbox"/> client name shown on cheque		
4. 雇主书面同意 (如适用) Employer consent letter (if applicable) <input type="checkbox"/> 是 Yes <input type="checkbox"/> 不适合 N/A		<input type="checkbox"/> same signature on cheque and A/C Opening Form <input type="checkbox"/> cheque copy retained		
5. 是否 PEP <input type="checkbox"/> 是 Yes <input type="checkbox"/> 不适合 N/A		<input type="checkbox"/> cheque cleared		
6. 已核实 W-8BEN 或 W-9 表格 Certified W-8BEN or W-9 form <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No <input type="checkbox"/> 不适合 N/A				
港元佣金 (%) HKD brokerage (%)		港元最低佣金 HKD Minimum Commission		
人民币佣金 (%) CNY brokerage (%)		人民币最低佣金 CNY Minimum Commission		
美元佣金 (%) USD brokerage (%)		美元最低佣金 USD Minimum Commission		
風險級別 AML Risk Category				
AML 風險級別 (參考 AML 政策) AML risk category (refer to AML policy)		<input type="checkbox"/> 低 Low <input type="checkbox"/> 中 Medium <input type="checkbox"/> 高 High		
信貸額 Credit Limit				
職員姓名 : Name of Staff :		職員簽署 : Signature of Staff		每日交易限額 Daily Trading Limit
合规部开户批核 Account opening approved by Compliance Department				
合规部职员姓名 : Name of compliance staff		职员签署 : Signature of Staff		职位 : Position
备注 : Remarks :				
系统输入 BOS System Input				
Input by:	Checked by :	email add. verified:	Authorised by:	Date: