



富力鑫證券有限公司 (即「本公司」) 獲香港證券及期貨事務監察委員會發牌 (中央編號為ABS418) 按證券及期貨條例經營第一類 (證券交易) 受規管活動。此外，本公司為香港聯合交易所有限公司參與者，亦為香港中央結算有限公司參與者。

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.

備註：此乃重要文件。閣下 (即「客戶」) 應仔細閱讀並充份理解本協議之內容包括開戶申請表與條款及條件 (連同所有附表) 有關於本公司開立及持有一個或多個之交易帳戶 (即「帳戶」)。客戶在簽署本開戶申請表前，如有所需，應先尋求獨立法律或其他專業意見。倘若本開戶申請表的中英文版本有任何歧異，一概以英文版本為準。

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.

重要部份必須由客戶填寫及簽署 Important parts should be filled and signed by Client.

開戶申請表 ACCOUNT OPENING APPLICATION

(個人 / 聯名帳戶 INDIVIDUAL / JOINT ACCOUNT)

帳戶號碼:

負責客戶主任姓名 Responsible AE	+	帳戶類型 Account Nature	<input type="checkbox"/> 個人帳戶 Individual Account	<input type="checkbox"/> 聯名帳戶 Joint Account
負責客戶主任編號 Responsible AE Code	+	落盤方式 Method of Placing Order	<input type="checkbox"/> 電話 By Telephone (Manual)	<input type="checkbox"/> 網上 By Internet
客戶種類 Account Type	<input type="checkbox"/> 香港證券現金帳戶 HK Securities Cash Account	推薦人 Introduced By		

1. 個人資料 Personal Information

個人/聯名帳戶主要持有人 Individual/Primary Joint Account Holder		聯名帳戶第二持有人 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	
	郵政編號 Postal Code		郵政編號 Postal Code
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.	
簽發地點 Place of Issue		簽發地點 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)	
住宅電話 Home No.		住宅電話 Home No.	
流動電話 Mobile No.	1.(+) 2.(+)	流動電話 Mobile No.	1.(+) 2.(+)
出生地點 Country of Birth		出生地點 Country of Birth	
國籍/公民身份 Nationality / Citizenship		國籍/公民身份 Nationality / Citizenship	
學歷程度 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 University	學歷程度 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 University

銀行資料 Bank Reference

此戶口將用作交收銀行戶口，而本公司發出之支票將依據以下之戶口名稱。

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.

銀行帳戶紀錄（只供存款用途） BANK ACCOUNT RECORD (For fund deposit only)

除客戶另行指示外，客戶的款項將會被轉入下列銀行帳戶：

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

指定銀行： Designated Bank:	銀行名稱： Name of Bank:	帳戶號碼： Account No.:	帳戶名稱： Account Name:
電郵位址 E-mail Address (最多50個字母Max.50 characters)		與主要戶口持有人關係 Relationship with Primary account holder	
(只須由個人/主要戶口持有人填寫 Individual/Primary Joint Account holder only)		<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 Other	

Method of Communication 通訊方法

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

* 郵遞 By Mail :

住宅位址 Residential address

* 須繳交行政費：每年港幣一百元

辦公室位址 Office address

* Administrative Fee : HKD100 per annum

其他 Others : _____

(請留意結單將以郵遞方式寄往客戶 Please note that the statement will be sent to Client by post)

By E-mail 電子郵件 (可豁免行政費 Administrative Fee may be waived)

無論客戶選擇以郵遞或電子郵件作為通訊方法，富力鑫證券有限公司有最終決定權使用任何其認為適當的通訊方式與客戶進行通訊。

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. 工作狀況 Employment Status

主要戶口持有人 Primary Joint Account Holder		第二戶口持有人 Secondary Joint Account Holder	
行業 Occupation		行業 Occupation	
職位 Job Title		職位 Job Title	
僱主名稱 Name of employer		僱主名稱 Name of employer	
受僱年期 Years with employer		受僱年期 Years with employer	
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

3.投資經驗及衍生產品認識 Investment Experience & Derivative Products Knowledge

投資目標 Investment Objective:	<input type="checkbox"/> 股息收入 Dividend Income <input type="checkbox"/> 資本增值 Capital Appreciation <input type="checkbox"/> 對沖 Hedging <input type="checkbox"/> 投機 Speculation <input type="checkbox"/> 其他 _____ Others
投資經驗 (可選多於一項) Investment Experience (Can choose more than one)	
證券交易 Securities Trading	<input type="checkbox"/> 沒有 No / <input type="checkbox"/> 有 Yes () 年 year(s)
股票期權交易 Stock Options	<input type="checkbox"/> 沒有 No / <input type="checkbox"/> 有 Yes () 年 year(s)
期貨/期權交易 Futures/Options Trading	<input type="checkbox"/> 沒有 No / <input type="checkbox"/> 有 Yes () 年 year(s)
外匯/商品期貨交易 Forex/Commodity Futures Trading	<input type="checkbox"/> 沒有 No / <input type="checkbox"/> 有 Yes () 年 year(s)
貴金屬交易 Bullion Trading	<input type="checkbox"/> 沒有 No / <input type="checkbox"/> 有 Yes () 年 year(s)
房地產/物業投資 Real Estate/Property Investment	<input type="checkbox"/> 沒有 No / <input type="checkbox"/> 有 Yes () 年 year(s)
衍生權證交易 Derivative Warrants	<input type="checkbox"/> 沒有 No / <input type="checkbox"/> 有 Yes () 年 year(s)
牛熊證交易 Callable Bull/Bear Contracts	<input type="checkbox"/> 沒有 No / <input type="checkbox"/> 有 Yes () 年 year(s)
交易所買賣基金交易 Exchange Traded Funds	<input type="checkbox"/> 沒有 No / <input type="checkbox"/> 有 Yes () 年 year(s)
股票掛鈎票據交易 Equity Linked Instruments	<input type="checkbox"/> 沒有 No / <input type="checkbox"/> 有 Yes () 年 year(s)
互惠基金/單位信託基金 Mutual Funds/Unit Trust	<input type="checkbox"/> 沒有 No / <input type="checkbox"/> 有 Yes () 年 year(s)
固定收益證券 (例如債券) Fixed Income Securities (e.g. Bonds)	<input type="checkbox"/> 沒有 No / <input type="checkbox"/> 有 Yes () 年 year(s)
對衍生產品之認識問卷 Derivative Products Knowledge Questionnaire	按以下選擇，在下列方格中加上√ (Refer to the following statements and tick the appropriate box(es) below)
	<p>本人瞭解衍生產品的性質和風險： I understand the nature and risks of derivative products due to :</p> <p>1. 已接受有關的培訓和課程。 Undergoing relevant training or attending course in</p> <p><input type="checkbox"/> 監管機構 <input type="checkbox"/> 交易所 <input type="checkbox"/> 金融機構 <input type="checkbox"/> 進修學院 <input type="checkbox"/> 大專院校 <input type="checkbox"/> 其他 _____ Regulatory Authority Exchange Financial Institution Education Institution Tertiary Institution Others</p> <p>2. 於金融機構擁有有關的工作經驗。 Gaining prior relevant work experience in financial institution(s)</p> <p><input type="checkbox"/> 經紀公司或銀行 <input type="checkbox"/> 基金或資金管理公司 <input type="checkbox"/> 監管機構或交易所 <input type="checkbox"/> 其他 _____ Brokerage Firm or Bank Fund House or Asset Mgt Firm Regulatory Authority or Exchange Others</p> <p>3. 於過去三年內進行了五次或以上有關衍生產品之交易。(不論是否於交易所進行交易) Executing five or more transactions in derivative products (whether traded on an exchange or not) within the past three years.</p> <p><input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No</p>

投資者分類聲明 (基於對衍生工具的知識)

本人特此聲明並承認基於本人對衍生產品的知識，本人同意於證監會所要求的投資者分類下被視為類別_____及下列詳細說明。

本人進一步聲明及承認本人了解該分類的風險和後果，而持牌法團如富力鑫證券有限公司將無責任向在此被分類為類別一及類別二的客戶解釋衍生產品的性質和風險。

- 類別一：擁有對衍生產品的知識
- 投資者於過去3年內進行5宗或以上任何衍生產品的交易。
 - 中介人無須向該客戶解釋衍生產品的風險。
- 類別二：擁有對衍生產品的一般知識
- 一般知識可以幫助投資者了解衍生產品的性質和風險。
 - 中介人無須向該客戶解釋衍生產品的風險。
- 類別三：對衍生產品沒有知識
- 於交易所交易的衍生產品：中介人即使僅只於執行交易亦應解釋衍生產品的性質和風險。
 - 非交易所交易的衍生產品：中介人即使僅只於執行交易亦應提醒該客戶及向客戶就合適性提供的建議在所有情況下都是合理的，並將提醒及其他通訊記錄妥善保存。凡交易被評估為不適合，中介人應只在維護客戶最佳利益的行事方式的前提下執行交易。
- 客戶不會買任何衍生產品。

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 Fulixin 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

客戶簽署
Signature of Client
姓名：
Name：
日期：
Date：

持牌代表簽署
Signature of licensed representative
姓名：
Name：
證監會編號及日期：
SFC CE No. & Date：

4. 財政狀況 Financial Situation

主要戶口持有人 Primary Joint Account Holder		第二戶口持有人 Secondary Joint Account Holder	
流動資產 (港幣) 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 _____	流動資產 (港幣) 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 _____
資產淨值 (港幣) 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 _____	資產淨值 (港幣) 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 (港幣) 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 (港幣) 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)
資金來源： Source of Funds	<input type="checkbox"/> 薪金儲蓄 Saving 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 Other : _____	資金來源： Source of Funds	<input type="checkbox"/> 薪金儲蓄 Saving 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 Other : _____
住屋業權 Ownership of Residence	<input type="checkbox"/> 擁有 Owned <input type="checkbox"/> 已抵押 Mortgaged <input type="checkbox"/> 沒有抵押 Not Mortgaged <input type="checkbox"/> 沒有 Not Owned <input type="checkbox"/> 租住 Rented <input type="checkbox"/> 與家人同住 Living with Family	住屋業權 Ownership of Residence	<input type="checkbox"/> 擁有 Owned <input type="checkbox"/> 已抵押 Mortgaged <input type="checkbox"/> 沒有抵押 Not Mortgaged <input type="checkbox"/> 沒有 Not Owned <input type="checkbox"/> 租住 Rented <input type="checkbox"/> 與家人同住 Living with Family

5. 帳戶授權書 ACCOUNT MANDATE

閣下/聯名戶主要/第二持有人 (如適用) 是否唯一有權操作此帳戶及負責出交易指示之人士?
 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 (請填寫「第三者授權書」) No (Please complete " Third Party Authorization ")

只適用於聯名戶 FOR JOINT ACCOUNT ONLY

閣下之聯名戶持有人可按照下列權限發出指示予本公司以運作閣下之帳戶 (*請刪去不適用者) :
 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) :

權限 Extent of Authority	指示種類 Type of Instructions	
(請選擇以下一項) (Please choose one below)	買賣指示 Trading Instructions	其他指示 (如: 提取現金及/或轉帳) Other Instructions (e.g.fund withdrawal and / or transfer)
單獨發出 Issued singly by	<input type="checkbox"/> 主要聯名戶持有人 Primary Account Holder <input type="checkbox"/> 第二聯名戶持有人 Secondary Account Holder	<input type="checkbox"/> 主要聯名戶持有人 Primary Account Holder <input type="checkbox"/> 第二聯名戶持有人 Secondary Account Holder
聯合發出 Issued jointly by	不適用 N/A	任何 _____ 位聯名戶持有人 Any _____ of the joint account holders

6. 客戶聲明 (Declaration by Customer)

<p>1. 你 (及/或聯名帳戶第二持有人) 是否此帳戶的最終實益擁有人? (即你是否為本身而非第三者運作此帳戶? 如否, 帳戶的最終實益擁有人是:</p> <p>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>名稱 Name: _____ 身份證/護照號碼 ID/Passport No. _____</p> <p>地址 Address: _____</p>	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
<p>2. 你 (及/或聯名帳戶第二持有人) 是否證券/期貨交易所參與者的僱員或代理人, 或於證監會註冊的持牌法團/註冊機構? 如是, 交易所參與者/持牌法團/註冊機構的名稱是 (請提供你僱主的書面同意): -</p> <p>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/或聯名帳戶第二持有人) 是否與富力鑫證券有限公司 ("富力鑫證券") 或聯繫人士的職員或代理人有親戚關係: 如是, 職員/代理人的名稱是: -</p> <p>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>	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 雙親 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. 閣下及 / 或閣下之配偶是否控制本公司任何客戶的35%或以上的表決權?</p> <p>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. 閣下是否被委任為重要公職 (例如: 國家或政府元首、重要政客、高級政府官員、高級司法人員、高級軍官、國家企業高級行政人員、宗教領袖或以上人士的家人或有聯繫人士)?</p> <p>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(及或聯名帳戶第二持有人)是否美國公民或稅務目的而言的居民?(注意: 美國稅收申報要求, 美國人戶口需要特別審批。)</p> <p>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(及或聯名帳戶第二持有人)是否香港以外的就稅務目的而言的居民? 如是, 請列出該國家:</p> <p>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><input type="checkbox"/> 中國 <input type="checkbox"/> 澳洲 <input type="checkbox"/> 台灣 <input type="checkbox"/> 日本 <input type="checkbox"/> 加拿大 <input type="checkbox"/> 泰國 <input type="checkbox"/> 印尼</p> <p><input type="checkbox"/> 其他: _____</p>	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No

7. 客戶確認及簽署 Acknowledgement and Execution by Customer

1. 風險披露聲明 Risk Disclosure Statement

客戶確認富力鑫證券以客戶選擇的語言（英文或中文）提供客戶協議包括其附表2的風險披露聲明及免責聲明。客戶進一步確認富力鑫證券已經邀請客戶閱讀風險披露聲明，提出問題及徵求獨立的意見（如客戶有此意願）。

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.

客戶應經常密切留意市況，富力鑫證券可能在強制平倉前無法與客戶聯絡或未能提供足夠時間讓客戶進行額外的存款。

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. 提供準確的資料 Accuracy of information provided

載於本開戶申請表（「資料表」）中的資料是真實和準確的。客戶將會通知富力鑫證券有關資料的任何重要改變。富力鑫證券可聯絡任何人，包括客戶的銀行、經紀或信用調查機構，以核實資料表的內容。

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.

戶口種類 Account Type

選擇服務 Select Service(s)

現金帳戶 (Cash Account)

請為我/我們開立現金帳戶。我/我們已經閱讀並明白證券客戶協議的條款，並接受這些條款的約束。

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.

現金帳戶 Cash Account

客戶確認 Acknowledgement by Customer

我/我們同意富力鑫證券或聯繫人士以各種方式提供投資或有關財務產品及服務的資料，其包括研究報告及特別優惠等。

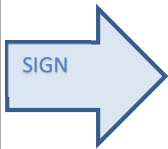
I/We consent to Fulixin Securities or its Associates providing information about investment or financial related products and services including research reports and special offers by any means.

是 Yes 否 No

簽署人 Signed by :

*個人/主要帳戶持有人簽署

Individual/Primary Joint Account Holder's Signature :



日期 Date :

*聯名帳戶第二持有人簽署

Secondary Joint Account Holder's Signature :

日期 Date :

*將被用作簽名樣式 Will be used as Specimen Signature

職員/經紀聲明 Declaration by Staff /Account Executive

我確認已經以客戶選擇的語言（英文或中文）提供了載於證券客戶協定附表2內的風險披露聲明，並且我已經邀請客戶閱讀風險披露聲明，提出有關問題及尋求獨立意見（如客戶有此意願）。

I confirm that I have provided the Risk Disclosure Statements as set out in 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類（證券買賣）Licensed for Type 1 (Licensed Corporation)

日期 Date :

職員/經紀簽署

Signature of Staff /AE

+

職員/經紀姓名

Name of Staff/AE

+

CE 編號

CE No.

+

8. 見證客戶簽署 (如適用) WITNESSING OF CLIENT SIGNATURE (if applicable)

客戶須在本公司之持牌代表面前簽立本開戶申請表，或將本開戶申請表連同恰當的支票⁺一併交回本公司，否則本開戶文件的簽立及有關的身份證明文件的見證，應由適合的證明人包括公證人、律師、會計師、特許秘書、持牌銀行分行經理、太平紳士、發出身份核實文件的國家的大使館、領事館或高級專員公署的人員或其他證監會持票人加以驗證。

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.

本人謹此見證上述客戶簽立此開戶申請表 (構成本協議之重要文件) 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 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:

見證人簽署
Signature of Witness

姓名
Name:

所屬專業及職銜
Profession/Title:

日期
Date:

- + 數額不少於港幣一萬元的劃線支票。支票須有客戶本人簽發予「富力鑫證券有限公司」，而支票簽發人姓名及簽名模式須與本開戶申請表上之客戶名稱及簽署相符。新客戶帳戶須在支票兌現後方可使用。
- + 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. 注意事項 Notes

1. 請隨本表格附上全部帳戶持有人的身份證副本及最近三個月內住宅及通訊地址證明文件 (郵政信箱恕不接受)。
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. 全部帳戶持有人必須在富力鑫證券或聯絡人士的職員/代理人面前填妥及簽署本表格；如非親身開戶，請參看下方的註解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. 任何有關個人資料的刪改必須由全部帳戶持有人簽署作實。
Any deletion or amendment of the personal information must be signed by all account holders.
4. 帳戶持有人的款項將會被存入本表格內所提供的指定銀行帳戶，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. 富力鑫證券恕不接受第三者存款。任何例外情況都需要管理層的預先批准。
Third-party deposit will not be accepted. Any exception is subject to prior management approval.
6. 如資料表並非在富力鑫證券或聯絡人士的職員/代理人面前簽署，帳戶持有人必須遵從以下其中一種程序要求：
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) 交給富力鑫證券在香港持牌銀行開立的帳戶所簽發不少於一萬元港元的個人支票，該支票的簽名及姓名須與本表格的客戶簽名及身份證明文件相符，而支票抬頭須為「富力鑫證券有限公司」。客戶的帳戶必須持支票兌現後才可使用；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) 由其他持牌人或註冊人富力鑫證券的聯絡人士、太平紳士、銀行分行經理、執業會計師、律師或公證人見證客戶的簽名及身份證明文件。
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. 已核實的身份證或護照副本 Certified I.D Card/Passport Copy <input type="checkbox"/> 是 Yes		Applicable to non face-to-face account opening procedure :		
2. 地址證明副本 Address proof <input type="checkbox"/> 是 Yes		Personal cheque received (if applicable) <input type="checkbox"/> issued from a licensed bank in HK		
3. 銀行及信貸參考 (如適用) Bank and Credit Reference (if applicable) (例如：銀行結單、屋契等) (e.g. bank statement · title deeds etc.) <input type="checkbox"/> 是 Yes <input type="checkbox"/> 不適合 N/A		<input type="checkbox"/> payable to Fulixin Securities Limited <input type="checkbox"/> cheque amount not less than HK\$10,000		
4. 僱主書面同意 (如適用) Employer consent letter (if applicable) <input type="checkbox"/> 是 Yes <input type="checkbox"/> 不適合 N/A		<input type="checkbox"/> client name shown on cheque <input type="checkbox"/> same signature on cheque and A/C Opening Form		
5. 是否 PEP <input type="checkbox"/> 是 Yes <input type="checkbox"/> 不適合 N/A		<input type="checkbox"/> cheque copy retained		
6. 已核實 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"/> 不適合 N/A		<input type="checkbox"/> cheque cleared		
港元佣金 (%) HKD brokerage (%)		港元最低佣金 HKD Minimum Commission		
人民幣佣金 (%) CNY brokerage (%)		人民幣最低佣金 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
合規部開戶批核 Account opening approved by Compliance Department				
合規部職員姓名： Name of compliance staff		職員簽署： Signature of Staff		職位： Position
備註： Remarks :				
系統輸入 BOS System Input				
Input by:	Checked by :	email add. verified:	Authorised by:	Date: