



Securities Opening Form (For Corporation/Institutional Account)
證券開戶申請表 (公司/機構戶口)

致：財華證券有限公司（下稱「財華證券」），其註冊地址位於香港灣仔告士打道77-79號富通大廈30樓，獲香港證券及期貨事務監察委員會發牌為持牌法團（中央編號AAH574），授權進行香港法例第571章證券及期貨條例（下稱「證券及期貨條例」）可從事第一類（證券交易）受規管活動的公司。

To: Finet Securities Limited ("FSL"), a licensed corporation (CE No. AAH574) licensed by the Securities and Futures Commission under the Securities and Futures Ordinance carrying out of Type 1 (dealing in securities) regulated activity as defined under the Securities and Futures Ordinance (Chapter 571 of the Laws of Hong Kong) (the "SFO") whose registered office is situated at 30/F., Fortis Tower, 77-79 Gloucester Road, Wanchai, Hong Kong.

1. Account Opening Application

開戶申請

We _____, Business Registration Certificate / Certificate of Incorporation No. _____ of _____ ("Client")

Upon perusal of the Term and Conditions and Additional Terms and Condition of Client's Agreement, We hereby appoint FSL for the purposes of providing us with services (the "Services") in respect of and in relation to Type 1 (dealing in securities) regulated activity as defined under SFO:

本公司 _____, 商業登記證/公司註冊證明書號碼 為 _____ 地址 _____ (下稱「客戶」)

經悉閱「財華證券」客戶協定中的條款及條件及額外條款及條件後，茲要求「財華證券」為本人/吾等提供有關於涉及於證券及期貨條例的第一類（證券交易）受規管活動的服務（下稱「服務」）：

- a trading account or accounts without electronic trading services on the terms and conditions set out in Client's Agreement for Trading Account Terms and Conditions ("Terms and Conditions").
依照客戶協定中的條款及條件（下稱「條款及條件」），開立及維持一個或多個不設有電子交易服務的買賣戶口。
- a trading account or accounts with electronic trading services on the Terms and Conditions and terms and conditions set out in Client's Agreement for Electronic Trading Services Terms and Conditions ("Additional Terms and Conditions") and to provide us with a Password and User ID in order to access the FSL Electronic Trading Services.
依照條款及條件及客戶協定中的電子交易服務的條款及條件（下稱「額外條款及條件」），開立及維持一個或多個電子交易服務的買賣戶口，並為本公司提供一個密碼及用戶名稱以便使用「財華證券」網上服務。

2. Type of Service

服務種類

We wish to open one or more trading account (the "Account(s)") with FSL for the purchase or sale of securities. FSL agrees that FSL will from time to time at our request at FSL's sole discretion allow us to open one or more Account(s) with FSL and will act as agent (except as principal on occasions specified in Client's Agreement for the Account(s) subject to the Terms and Conditions).

本公司於「財華證券」開立一個或多個買賣戶口（下稱「該戶口」）以進行證券買賣。「財華證券」同意不時應本公司要求，按其獨自酌情權讓本公司在「財華證券」開立一個或多個戶口並以代理人身份行事（除非客戶協定之條款及條件中特別註明「財華證券」為主事人）。

3. Fax/Email Indemnity Letter

傳真/電郵訊息保障書

We hereby authorize FSL to accept any fax and/or email message from us as the original instruction, and we shall fully indemnify FSL from and against all losses, damages, interest, costs, expenses, actions, demands, claims, proceedings whatsoever which may incur, suffer or sustain as a result of or arising from the exercise of that instruction. We hereby waive any liabilities for FSL that may arise from these authorizations.

本公司現授權「財華證券」接受任何本公司發出之傳真及/或電郵訊息為原本指示及「財華證券」因執行此指示而招致、蒙受或遭受一切損失、賠款、利息、成本、費用及一切因法律行動而招致、蒙受或遭受之索償，向「財華證券」作出賠償保證及保障「財華證券」不會因此蒙受損失。本公司免除「財華證券」因此授權所引起的責任及損害。



4. Subscription of Electronic Statement Service

申請電子結單服務

We hereby apply to subscribe for FSL electronic statement service. By signing this form, we hereby consent to receive our statement of account through our email address and authorize FSL not to deliver any physical statement of account to our correspondence address. We undertake to notify FSL of any change in our email address 7 calendar days before such change.

本公司現申請「財華證券」之電子結單服務。在簽署本表格後，本公司同意以電子郵件形式收取本公司之戶口結單，並授權「財華證券」不再郵寄所有的結單到本公司之通訊地址。本公司並承諾如本公司之電郵地址有所更改，會於七個曆日前通知「財華證券」。

Please tick whichever is appropriate:

請選擇適當項目:

We hereby request to receive electronic statement at our email address as stated on Client's Information Statement.

本公司要求以電子形式收取結單，請把結單電郵至客戶資料表所列本公司之電郵地址。

I/We hereby request for physical statement.

本公司要求以郵寄形式收取結單及通知書

Remarks: Client will be deemed to have received the statement by email at the time of transmission to client.

* 註: 於傳送電子結單予客戶時，客戶將被視作已收到該結單

5. Electronic Trading Password (For Electronic Trading client only)

網上交易密碼 (只適用於網上交易客戶)

We will receive our account password for electronic trading services. We understand that our password is strictly confidential and we are responsible for all loss, cost and expenses, should any transaction be accepted and concluded by FSL on quoting of the said password.

本公司將獲取網上交易密碼，以便本公司進行買賣交易服務。本公司完全明白戶口密碼是絕對保密。本公司須對「財華證券」收取密碼後被接納的所有買賣、損失、費用及支出負全部責任。

6. Investment Account(s) Information

投資帳戶資料

We hereby declare that

本公司現聲明

We have one or more investment account(s) maintained with FSL, the account number(s) is(are) as follow:

本公司在「財華證券」集團公司維持了一個或以上之投資戶口，投資帳戶號碼如下:

Securities 證券:

We do not have any investment account maintained with FSL.

本公司在「財華證券」集團公司沒有維持任何投資戶口。

7. On-line Quote Price Service Registration (For Electronic Trading client only)

網上報價服務登記 (只適用於網上交易客戶)

Stock Quote (free of charge) (delayed at least 15 mins) Streaming Real Time Stock Quote (Mini QW) (monthly fee of HK\$350)

點擊參考報價 (免費)

串流式即時報價

(延遲最少15分鐘)

(月費為港幣三百五十元)

8. Standing Authority

常設授權

Client hereby acknowledge and confirm that client have authorized FSL to deal with monies and securities (as defined in the Terms and Conditions of Client's Agreement in Securities) in accordance with Clause 34 and Clause 35 of the Terms and Conditions of the Client's Agreement in Securities and the contents of that Clause have been explained to Client and Client understand the contents of that Clause.

Client acknowledge and agree that this Account Opening Form, Client's Information Statement and the Terms and Conditions form the agreement in respect of the Account(s) with FSL.

客戶謹此承認並確定已經根據證券客戶協議之條款及條件內第34條及第35條授權「財華證券」處置在客戶協議之條款及條件內所定義的款項及證券，並且客戶就該條款的內容已獲解釋，及客戶明白該條款的內容。

客戶茲確認並同意本帳戶開戶申請表、客戶資料表及客戶協議之條款及條件構成與「財華證券」就帳戶達成之協議。



9. Declaration and Acknowledgments

聲明及確認

We hereby declare that we have read, understood and agreed to FSL's Account Opening Form, completed Client's Information Statement and have read, understood and agreed to Terms and Conditions and Additional Terms and Conditions of Client's Agreement (if also apply for Electronic Trading Services) which form the agreement made between FSL and us in relation to the Account(s). We hereby acknowledge and confirm that Client's Agreement, including but not limited to the Risk Disclosure Statements set out in Appendix 1 and Clause 9 of Additional Terms and Conditions (if also apply for Electronic Trading Services) of Client's Agreement was provided to us in a language of our choice (English or Chinese) and we were invited to read the Risk Disclosure Statements carefully, ask questions and take independent legal advice if we wish.

本公司現聲明已閱悉及同意「財華證券」開戶申請表，並已填寫客戶資料表，及已閱悉及同意客戶協定中的條款及條件及額外條款及條件(如同時申請網上服務)。上述所有檔均構成「財華證券」與本公司就該戶口達成的協議。

本公司現聲明及確認由「財華證券」給予本公司之協議，包括但不限於客戶協定中附錄一的風險披露聲明以及額外條款及條件的第九項(如同時申請網上服務)，「財華證券」是按本公司選擇的語言(英文或中文)提供。本公司獲邀請閱讀該風險披露聲明、提出問題並按本身意願選擇是否聽取獨立法律意見。

We hereby agree the arrangements and choices listed in items 1 to 8 as shown above

本公司同意上述第1至8項之安排及選擇。

Authorized Signature with Company Chop
授權簽署及公司印章

Signature of Witness
見證人簽署

Name of Account :

戶口名稱 : _____

Certificate of Incorporation No. :

公司註冊證明書號碼 : _____

Date 日期 : _____

Name of Witness :

見證人姓名 : _____

ID/Passport No. :

身份證/護照號碼 : _____

Date 日期 : _____

10. Declaration By Licensed Person

持牌人聲明

I have provided the Risk Disclosure Statements to the Client in a language of their choice (English or Chinese) and have invited them to read the Risk Disclosure Statements carefully, ask questions and take independent legal advice if they wish.

本人已按客戶選擇的語言(英文或中文)給予客戶有關之風險披露聲明，並已邀請客戶閱讀該風險披露聲明、提出問題，並按其本身意願選擇是否聽取獨立法律意見。

Signature of Licensed Person
持牌人簽署

Name in Block Letters:

姓名(請用正楷書寫) : _____

CE No.:

中央編號 : _____

Date 日期 : _____

Acknowledgement by Finet Securities Limited

Finet Securities Limited acknowledge and agree to the above

財華證券有限公司確認

財華證券有限公司確認並同意此開戶申請表

Date 日期 : _____

Duly authorized for and on behalf of

Finet Securities Limited

財華證券有限公司授權人士



SECURITIES CLIENT'S INFORMATION STATEMENT
(FOR CORPORATION/INSTITUTIONAL ACCOUNT)
證券客戶資料表 (公司/機構戶口)

Type of Account 帳戶類別

<input type="checkbox"/> Securities Cash Account 證券現金戶口

CLIENT PARTICULARS 客戶資料:	
Name of Account 戶名: English: _____ 英文 Chinese: _____ 中文	Account No. 帳號: _____
Place of Incorporation 註冊地點: _____	Nature of Business 業務性質: _____
Certificate of Incorporation No.: 公司註冊證明書號碼: _____	Date of Incorporation 註冊日期: _____
Registered Address 註冊地址: _____	Business Registration Certificate No.: 商業登記證號碼: _____
Correspondence Address 通訊位址: (Please state if differ from above 如與上述有異請注明)	Telephone No.: _____ 電話
Bank Reference : 銀行資料 Banker(s) Address : _____ 銀行地址 Account No. : _____ 帳號 Type of Account : _____ 戶口種類	Mobile Phone No.: _____ 手提電話
	Fax No. : _____ 傳真號碼 Email Address : _____ 電郵地址
	Broker(s) References : 經紀行資料 Broker(s) Address : _____ 經紀行地址 Type of Account : _____ 戶口種類 * (e.g. securities (cash or margin), commodities or futures 例如: 股票(現金或按金), 商品或期貨)

CORPORATE STRUCTURE 公司結構:		
Particulars of individuals who or who through intermediary company(ies) beneficially own or hold the issued share capital of the Client : 代中間公司持有股份之個人資料		
Name 姓名	% of holding 所佔比例	Address 地址
_____	_____	_____
_____	_____	_____

PARTICULARS OF DIRECTORS OF THE CLIENT 客戶董事資料:			
(1) Name 戶名: _____ H.K.I.D. Card/Passport No. 身份證/護照號碼: _____ Address 地址: _____	(2) Name 戶名: _____ H.K.I.D. Card/Passport No. 身份證/護照號碼: _____ Address 地址: _____	(3) Name 戶名: _____ H.K.I.D. Card/Passport No. 身份證/護照號碼: _____ Address 地址: _____	(4) Name 戶名: _____ H.K.I.D. Card/Passport No. 身份證/護照號碼: _____ Address 地址: _____

PARTICULARS OF AUTHORIZED PERSON(S) 授權人資料:			
	A	B	C
Name in English			
中文姓名			
Identity Card/Passport No. 身份證/護照號碼			
Date of Birth 出生日期 (DD/MM/YYYY)			



Nationality 國籍			
Residential Address 住址			
Correspondence Address 通訊地址 (if differ from above) (如住址不同)			
Is the Authorized Person a U.S. citizen, green card holder or residing in the U.S.? 獲授權人士是否美國公民、綠咭持有人或居住於美國?	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
Was the Authorized Person born in the U.S.? 獲授權人士是否出生於美國?	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
Telephone No. 電話號碼			
Relationship with the Account and Job Title/ Occupation 與帳戶持有人之關係及職銜/職業			
Specimen Signature: 簽章式樣:			
SPECIMEN OF CHOP/SEAL 公司印章式樣			
<p>Note: The Account can be operated on the instructions of any two or more signatures/any one signature* (if more than one authorized signature). 戶口須兩人或以上/任何一人*簽署方為有效 (若印鑒式樣多於一人) (* Delete if inapplicable 請刪去不適用者)</p>			

1. Financial Information for Corporation/Institutional Clients 公司/機構客戶財務資料:

Share Capital 股本

Authorized Share Capital 法定股本: _____ Issued Share Capital 已發行股本: _____

Shareholders (name and address) 股東 (名稱及地址):

Net profit after tax and net asset value of the preceding three years 過往三年稅後純利及資產淨值:

	Net profit/loss 純盈/虧		Net asset value 資產淨值
Year to 至 _____	HK\$ _____	HK\$ _____	_____
Year to 至 _____	HK\$ _____	HK\$ _____	_____
Year to 至 _____	HK\$ _____	HK\$ _____	_____

Others 其他: _____

2. Initial Source(s) of Funds 初始資金來源:

- Operational Income 營運收入 Sale of Investment 出售投資 Investment Income 投資收入
 Rental Income 租金收入 Interest Income 利息收入 External Borrowing 對外借貸
 Funds from Shareholder(s) 股東資金 Others 其他 (Please specify 請說明) _____

3. Ongoing Source(s) of Funds 持續資金來源:

- Operational Income 營運收入 Sale of Investment 出售投資 Investment Income 投資收入
 Rental Income 租金收入 Interest Income 利息收入 External Borrowing 對外借貸
 Funds from Shareholder(s) 股東資金 Others 其他 (Please specify 請說明) _____



4. Country(ies) of Origin(s) of Funds 資金來源地：

- Hong Kong 香港 Mainland China 中國內地 Macau 澳門 Singapore 新加坡
 United States 美國 Canada 加拿大 Others 其他 (Please specify 請說明) _____

5. Related Account Disclosure 關聯戶口申報 (Please tick appropriate 請於適當欄內加上✓號)

Is the client, the ultimate beneficial owner of the account and/or the ultimate person responsible for giving instructions for the account, an immediate family member of any director or employee of FINET group companies (such as: parents, brother, sister, spouse or 客戶、本帳戶之最終權益擁有人與/或最終負責發出指示人士，是否「財華社」集團內或其有聯繫公司之董事/員工的直系家庭成員 (例如：父母、兄弟、配偶或子女)? Yes 是 No 否

or 或

Is any of the Company's directors/main shareholders/authorized signatures and/or the ultimate beneficial owner of the account, an immediate family member of any director or employee of FINET group companies (such as: parents, brother, sister, spouse or children)? 貴公司任何一位董事/主要股東/授權簽字人/帳戶終權益擁有人，是否「財華社」集團內或其有聯繫公司之董事/員工的直系家庭成員(例如：父母、兄弟、配偶或子女)?

If yes, please state the name of FINET group companies' employee or representative and his/her relationship with the Client.

若是，請填寫「財華社」集團公司內員工或代表的姓名與客戶之關係。

Staff/ Representative's Name

Relationship with the client

員工/代表的姓名：

與客戶之關係：

6. Account Information Disclosure 帳戶資料申報 (Please tick appropriate 請於適當欄內加上✓號)

- i) Is the Client a member or participant registered with any stock or commodities exchange or is the Client regulated or supervised by any government or regulatory agency? Yes 是 No 否
 客戶是否任何證券或期貨交易所的成員或參與者或受任何政府或監管機構所規管或監管?

If yes, please provide details.

若是，請列出詳細資料： _____

- ii) Is any director, shareholder or authorized person of the Client an employee of a person licensed by or registered with the Hong Kong Securities and Futures Commission? Yes 是 No 否
 客戶之任何董事、股東或授權人士是否香港證券及期貨事務監察委員會獲發牌或註冊人士?

If yes, please provide details.

若是，請列出詳細資料： _____

- iii) Is the Client a company whose shares are traded on any exchange or market? Yes 是 No 否
 客戶是否有任何其股份可在交易所或市場買賣的公司?

If yes, please provide details.

若是，請列出詳細資料： _____

7. Related Margin Account(s) Information 關連保證金戶口資料 (For Margin Accounts Only 適用於保證金戶口) (Please tick appropriate 請於適當欄內加上✓號)

- i) Is the Client's member of the same group as client in FINET group companies? Yes 是 No 否
 客戶的同一公司集團旗下一家公司是否「財華社」集團公司的客戶?

If yes, please provide details of the account name and account number(s), etc.

若是，請列出詳細戶名及帳號資料： _____

- ii) Is the Client, either alone or with Client's member of the same group, in control of 30% or more of the voting right of any client of FINET group companies? Yes 是 No 否
 客戶是否個人或與客戶的同一公司集團旗下一家公司共同控制任何「財華社」集團公司的客戶30%或以上的投票權?

If yes, please provide details of the account name and account number(s), etc.

若是，請列出詳細戶名及帳號資料： _____

8. Investment History 投資紀錄：

- i) Does the Client have any investment experience? 客戶是否有投資經驗? Yes 是 No 否

a. Securities 股票: _____ year(s) 年 b. Futures/Options 期貨/期權: _____ year(s) 年

c. Forex 外匯: _____ year(s) 年 d. Others 其他: _____ year(s) 年

- ii) Does the Client have any experience on investing derivative products, such as derivative warrants, callable bull/bear contracts & some exchange fund that invest in derivative instrument designed to replicate the performance of an index? Yes 是 No 否
 客戶是否有投資衍生工具的經驗，如衍生權證、牛熊證及一些投資於旨在模擬指數表現的衍生工具的交易所買賣基金?

If No, the client is invited to read our attachment for getting more information about the risk on investing derivation products.

如客戶選擇“否”，請客戶必須先細閱本司附上的衍生工具說明函，以了解投資衍生工具的風險。

- iii) Does the Client possess more than 1 year working experience related to derivative products? Yes 是 No 否

客戶是否擁有1年以上有關衍生工具產品及/或結構性產品的工作經驗?



- iv) Does the Client have executed 5 or more transactions relating to derivative and/or structured products in the past 3 years? Yes 是
客戶是否在過去3年中曾執行過5宗或以上有關衍生工具及/或結構性產品的交易? No 否

9. Investment Objectives and Strategy 投資目的及策略:(Please tick appropriate 請於適當欄內加上✓號)

- Long Term 長線投資 Short Term 短線投資 Capital Growth 資本增值 High/Low Risk 高/低風險
 Dividends 股息 Hedging Purpose 對沖 Others 其他 (please specify 請說明) _____

10. Declaration of Tax Status 稅務身份聲明

Is the Client or the Account Ultimate Owner a taxpayer of the United States of America, such as a citizen of the United States of America, a resident of the United States of America for US federal income tax purposes who holds a US Green Card or meets a US "substantial presence" test as prescribed under the US federal income tax law.

客戶或戶口最終擁有人是否是美國納稅人，如美國公民、美國稅法定義下的美國居民包括美國綠卡持有人或符合美國聯邦稅法規定「實質居留」測試的人士?

- Yes 是 (If yes, please provide W-9 form to declare tax status. 如是，請提供W-9表格證明稅務身份。)
 No 否

11. Declaration of Collection and Use of Personal Data for Direct Marketing 收集及使用個人資料用於直接促銷之聲明

I/We hereby acknowledge and confirm that the Notice of Collection and Use of Personal Data for Direct Marketing under the Personal Data (Privacy) Ordinance have been provided and explained to me/us in a language (English or Chinese) of my/our choice and I/we have been invited to read it carefully, ask questions and seek independent advice if I/we so wish. I/We also confirm that I/we have retained a copy thereof for my/our reference.

本人/吾等謹此承認並確定本人/吾等已獲得按照本人/吾等所選語言(中文或英文)的個人資料(私隱)條例有關收集及使用個人資料用於直接促銷的通知並獲得其解釋，以及本人/吾等已獲邀請細閱該通知，提出問題及如有意願，徵求獨立意見。本人/吾等確認已經保留該通知副本乙份，以作備考之用。本人/吾等：

- agree 同意 do not agree 不同意

to the proposed use of my/our personal data in direct marketing as stipulated in the said Notice.

個人資料被使用作該通知列明的直接促銷用途。

12. Declaration 聲明

The Client represents that the information on Client's Information Statement is true, complete and correct and that the representations in the attached Client's Agreement are accurate. FSL is entitled to rely fully on such information and representations for all purposes, unless FSL receives notice in writing of any change. FSL is authorized at any time to contact anyone, including the Client's bankers, brokers or any credit agency, for the purposes of verifying the information provided on this Client's Information Statement.

客戶茲聲明在客戶資料表內的資料屬真實、完整及正確，隨附客戶協定內之一切聲明亦準確。除非「財華證券」接到書面更改通知，否則「財華證券」有權為所有目的，完全依賴這些資料及聲明。「財華證券」有權隨時聯絡任何人，包括客戶之銀行、經紀或任何信貸調查機構，以求證實此客戶資料表內所載之內容。

AUTHORIZED SIGNATURE WITH COMPANY CHOP 授權簽署及公司印章

Name of account 戶口名稱: _____

Date 日期: _____

FOR OFFICE USE ONLY
ACCOUNT OPENING FORM

Finet Securities Limited

TO: OPERATION DEPARTMENT DATE: _____

1. ACCOUNT EXECUTIVE : _____ 2. A/C NO.: _____

3. A.E. CODE: _____ 4. REFERRAL: _____

5. HOW LONG HAS THE CLIENT KNOWN THE ACCOUNT EXECUTIVE: _____

6. ACCOUNT NAME : _____

7. TRADING LIMIT : _____

8. COMMISSION (HK Equity): Manual % Min. _____ Online % Min. _____
 (Others) : _____

OTHER DOCUMENTS REQUIRED

	Certified Copy of Below Documents: (Y/N)	Individual A/C	Joint Client A/C	Corporate A/C
1.	Client Agreement (Completed with Signatures)			
2.	Companion Witness (for VC only)			
3.	Copy of ID/ Passport			
4.	Copy of Address proof within 3 months			
5.	Self-Certification Form			
6.	AML checking			
7.	Certified copy of Certificate of Incorporation (CI)			
8.	Certified copy of Business Registration Certificate (BR)			
9.	Certified copy of Memorandum and Articles of Association			
10.	Certified copy of Incumbency or Good Standing within 6 months (for offshore companies only)			
11.	Director(s) and Shareholder(s) List			
12.	Certified copy of Director(s) and Shareholder(s)' ID / Passport			
13.	Certified copy of Director(s) and Shareholder(s)' address proof within 3 months			
14.	Certified copy of Board Resolutions/ minutes (including Trading Authorization and Signing Instruction)			
15.	Certified copy of Authorized Person(s)' ID / Passport			
16.	Certified copy of Company's organization chart (if necessary)			
17.	Company's audited Financial Report (if necessary)			
18.	Account Opening Confirmation Letter			
19.	Internet Trading Password Confirmation Email			

Inputted By: _____

Approved By: _____