



Securities Account Opening Form (For Individual/Joint Account)
證券開戶申請表 (個人/聯名戶口)

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 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.

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。

1. Account Opening Application

開戶申請

I/We _____, ID/Passport No. _____ ("Client")

本人/吾等 _____, 身份證/護照號碼 為 _____ (下稱「客戶」)

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

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」):

- | |
|--|
| <input type="checkbox"/> 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。 |
| <input type="checkbox"/> 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 me/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, 並為本人/吾等提供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

I/We wish to open one or more trading account (the "Account(s)") with FSL for the purchase or sale of securities trading services. FSL agrees that FSL will from time to time at my/our request at FSL's sole discretion allow me/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).

本人/吾等於「財華證券」開立一個或多個買賣戶口 (下稱「該戶口」) 以進行證券買賣服務。「財華證券」同意不時應本人/吾等要求, 按其獨自酌情權讓本人/吾等在「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

I/We hereby authorize FSL to accept any fax and/or email message from me/us as the original instruction, and I/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. I/We hereby waive any liabilities for FSL that may arise from these authorizations.

本人/吾等現授權「財華證券」接受任何本人/吾等發出之傳真及/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。本人/吾等免除「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

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

本人/吾等現申請「財華證券」之電子結單服務。在簽署本表格後，本人/吾等同意以電子郵件形式收取本人/吾等之戶口結單，並授權「財華證券」不再郵寄所有的結單到本人/吾等之通訊地址。本人/吾等並承諾如本人/吾等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：

- I/We hereby request to receive electronic statement at my/our email address as stated on Client's Information Statement.
本人/吾等要求以電子形式收取結單及通知書，請把結單及通知書電郵至客戶資料表所列本人/吾等之電郵地址
- I/We hereby request for physical statement.
本人/吾等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)

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

本人/吾等將獲取網上交易密碼，以便本人/吾等進行買賣交易服務。本人/吾等完全明白戶口密碼是絕對保密。本人/吾等須對「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

I/We hereby declare that

本人/吾等現聲明

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

本人/吾等在「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: _____

I/We do not have any investment account maintained with FSL.

本人/吾等在「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.

客戶謹此承認並確定已經根據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内容已獲解釋，及客戶明白該條款的内容。

Client acknowledge and 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

I/We hereby declare that I/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 me/us in relation to the Account(s). I/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 me/us in a language of my/our choice (English or Chinese) and I/we was/were invited to read the Risk Disclosure Statements carefully, ask questions and take independent legal advice if I/we wish.

本人/吾等現聲明已閱悉、明白及同意「財華證券」開戶申請表，並已填寫客戶資料表，及已閱悉、明白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)。上述所有均構成「財華證券」與本人/吾等就該戶口達成的協定。

本人/吾等現聲明及確認由「財華證券」給予本人/吾等之協議，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」是按本人/吾等選擇的語言(英文或中文)提供。本人/吾等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。

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

本人/吾等同意上述第1至8項之安排及選擇。

Client's Signature
客戶簽署

Client's Signature
客戶簽署

* (FOR JOINT ACCOUNT ONLY 只適用於聯名戶口)

Name of Client:
客戶姓名: _____
ID/Passport No.: _____
身份證/護照號碼: _____
Date 日期: _____

Name of Client:
客戶姓名: _____
ID/Passport No.: _____
身份證/護照號碼: _____
Date 日期: _____

Signature of Witness
見證人簽署

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 his/their choice (English or Chinese) and have invited him/them to read the Risk Disclosure Statements carefully, ask questions and take independent legal advice if he/they wish(es).

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

Duly authorized for and on behalf of
Finet Securities Limited
財華證券有限公司授權人士

Date 日期: _____



SECURITIES CLIENT'S INFORMATION STATEMENT (FOR INDIVIDUAL/JOINT ACCOUNT)
證券客戶資料表 (個人/聯名戶口)

1. Type of Account 帳戶類別

<input type="checkbox"/> Individual Account 個人戶口	<input type="checkbox"/> Securities Cash Account 證券現金戶口
<input type="checkbox"/> Joint Account 聯名戶口	

2. Client Particulars 客戶資料

Name of Account Holder : Mr./Mrs./Ms. Date of Birth (DD/MM/YYYY) :
(English 英文) 出生日期 (日/月/年) :

客戶姓名 : I.D. No./Passport No. :
(Chinese 中文) 先生/女士/小姐 身份證號碼/護照號碼 :

Gender : Male / Female Nationality
性別 : 男 / 女 國籍 :

Residential Address :
住宅地址 :

Correspondence Address : (Please state if differ from above 如與上述有異請註明)
通訊位址 :

Home Phone No. : Mobile Phone No. : Home Fax No. :
住宅電話 : 手提電話 : 住宅傳真號碼 :

Email Address : Office Tel No. : Office Fax No. :
電郵地址 : 公司電話號碼 : 公司傳真號碼 :

Name of Employer : Years in Occupation :
僱主名稱 : 從事年期 :

Occupation : Position :
職業 : 職位 :

Business Address :
公司地址 :

Education Level : Primary School or below Secondary School Colleague Universtiy/ Post-graduate
學歷程度 : 小學或以下 中學 大專 大學或以上

Secondary Joint Account Holder (For Joint Account Only) 第二聯名帳戶持有人個人資料 (只適用於聯名戶口)

Name of Account Holder : Mr./Mrs./Ms. Date of Birth (DD/MM/YYYY) :
(English 英文) 出生日期 (日/月/年) :

客戶姓名 : I.D. No./Passport No. :
(Chinese 中文) 先生/女士/小姐 身份證號碼/護照號碼 :

Gender : Male / Female Nationality
性別 : 男 / 女 國籍 :

Residential Address :
住宅地址 :

Correspondence Address : (Please state if differ from above 如與上述有異請註明)
通訊位址 :

Home Phone No. : Mobile Phone No. : Home Fax No. :
住宅電話 : 手提電話 : 住宅傳真號碼 :

Email Address : Office Tel No. : Office Fax No. :
電郵地址 : 公司電話號碼 : 公司傳真號碼 :

Name of Employer : Years in Occupation :
僱主名稱 : 從事年期 :

Occupation : Position :
職業 : 職位 :

Business Address :
公司地址 :

Education Level : Primary School or below Secondary School Colleague Universtiy/ Post-graduate
學歷程度 : 小學或以下 中學 大專 大學或以上



For joint account only 只供聯名帳戶

Required number of signatory for written directions in relation to operation of the account: Anyone 任何一位 All required 全部
就帳戶運作之書面指示所需簽字人:

Note: 1. For joint account, all correspondences/ electronic statements will be sent to the mailing address/email of the first account holder.

注意: 聯名帳戶的所有通訊/電子交易結單只會寄予第一帳戶持有人之郵寄地址/電郵地址。

2. Each of the joint account holders is authorized to give verbal instructions and/or instructions through Electronic Media in relation to trading.

每一聯名帳戶持有人均有權為買賣發出口頭指示或透過電子媒介發出指示。

3. Bank References 銀行資料

Banker(s)' Name : Bank Account No(s). :
銀行名稱: 銀行帳號:
Banker(s)' Address :
銀行地址:

4. Financial Information for Individual/ Joint Account 個人/聯名戶口財務資料:(Please tick appropriate 請於適當欄內加上✓號)

Annual Income < HK\$100,000 HK\$100,000 – HK\$200,000
年薪 HK\$200,001 – HK\$500,000 HK\$500,001 – HK\$1,000,000
 HK\$1,000,001 – HK\$5,000,000 > HK\$5,000,000

Other Assets Yes 有 (Please specify below 請於下列說明) No 否
其他資產 Property 物業 Value 價值: HK\$ _____
Subject to mortgage? 有否按揭? Yes 是 No 否
 Securities 股票 Value 價值: HK\$ _____
 Others 其他 (Please specify 請列明) _____ Value 價值: HK\$ _____

Total Net Worth < HK\$100,000 HK\$100,001 – HK\$500,000 HK\$500,001 – HK\$2,000,000
資產淨值 HK\$2,000,001 – HK\$8,000,000 > HK\$8,000,000

5. Ongoing Source(s) of Wealth 持續財富來源:

Salary and/ or bonus 薪金及/ 或花紅 Savings 儲蓄 Business Income 業務收入
 Return on Investment 投資回報 Retirement funds 退休金
 Inheritance of gift 遺贈或禮物 Others 其他 (Please specify 請說明) _____

6. Ongoing Source(s) of Funds 持續資金來源:

(a) Means of fund transfer(s) 資金轉移的方式:
 Cash 現金 Cheque/ Bank draft 支票/ 銀行本票 Local bank transfer 本港銀行轉賬
 Overseas remittance 海外匯款 Others 其他 (Please specify 請說明) _____

(b) 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) _____

7. Staff Related Account Disclosure 職員親屬戶口申報 (Please tick appropriate 請於適當欄內加上✓號)

Is the Client an immediate family member of any director, employee or representative of any member of FINET group companies (such as: parents, brother, sister, spouse or children)? Yes 是 No 否

客戶是否「財華社」集團公司內董事、員工或代表之直系親屬(例如: 父母、兄弟、姊妹、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.

如是, 請填寫「財華社」集團公司內員工或代表的姓名及與客戶之關係。

Staff/Representative's Name Relationship with the Client
員工/代表的姓名: _____ 與客戶之關係: _____

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

i) Does the Client is the ultimate beneficial owner(s) of the account? Yes 是 No 否
客戶是否此戶口之最終受實益擁有人?

If the Client is not the ultimate beneficial owner of the Account, please provide the details:

如客戶非戶口之最終受益人士, 請提供以下資料:

Name 姓名: _____ ID / Passport No. 身份證/護照號碼: _____
Tel No.電話: _____ Address 地址: _____

ii) Is the Client an employee of a person licensed by or registered with the Hong Kong Securities and Futures Commission? Yes 是 No 否
客戶是否香港證券及期貨事務監察委員會獲發牌或註冊人士的僱員?

If yes, please provide details.

若是, 請列出詳細資料: _____

iii) Is the Client a senior officer or director or in control of any 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之高級人員或董事或控制該公司之人士?

If yes, please provide details.

若是, 請列出詳細資料: _____



9. 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 spouse a client of FINET group companies? Yes 是
客戶的配偶是否「財華社」集團公司的客戶? No 否

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 his/her spouse, in control of 30% or more of the voting right of any client of FINET group companies? Yes 是
客戶是否個人或與客戶的配偶共同控制任何「財華社」集團公司的客戶30%或以上的投票權? No 否

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： _____

10. 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-trade fund that invest in derivative instrument designed to replicate the performance of an index? Yes 是
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買賣基金? No 否

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
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? No 否

- 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

11. 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 Speculation 投機
 Dividends 股息 Hedging Purpose 對沖 Others 其他 (please specify 請說明): _____

12. 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 (If no, please fill in W-8BEN form. 如否，請填寫W-8BEN表格)

13. 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. I/We:-

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

- 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。

14. 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。

CLIENT'S SIGNATURE AND SPECIMEN 客戶簽署式樣

CLIENT'S SIGNATURE AND SPECIMEN 客戶簽署式樣

*(FOR JOINT ACCOUNT ONLY 只適用於聯名戶口)

Name of client 客戶姓名: _____

Name of client 客戶姓名: _____

Date 日期: _____

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)			