

香港九龍柯士甸道西 1 號環球貿易廣場 67 樓 6708A 室  
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1 Austin Road West, Kowloon, Hong Kong CE No.: AVE583  
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**ACCOUNT OPENING FORM 開戶表格 (Individual 個人/ Joint 聯名)**

Account Type(s) 帳戶類別 (Please tick appropriate box. 請在適當空格加√)

- Individual Account 個人帳戶  Joint Account 聯名帳戶
- Securities Account (Cash) 證券帳戶(現金)  Securities Account (Margin) 證券帳戶 (保證金)
- Stock Options Account 股票期權帳戶  Electronics Trading 電子交易服務

**Individual/ Joint Account Information 個人/聯名帳戶資料**

Account Holder (1) 帳戶持有人(1)		Account Holder (2) 帳戶持有人(2) (For Joint Account only 只適用於聯名帳戶)		Relationship 關係:
<input type="checkbox"/> Mr.先生	English Name: 英文姓名:	<input type="checkbox"/> Mr.先生	English Name: 英文姓名:	
<input type="checkbox"/> Ms.女士	Chinese Name: 中文姓名:	<input type="checkbox"/> Ms.女士	Chinese Name: 中文姓名:	
ID Card/Passport No: 身份證/護照號碼:		ID Card/Passport No: 身份證/護照號碼:		
Place of birth : 出生地點:	Nationality: 國籍:	Place of birth: 出生地點:	Nationality: 國籍:	
Date of Birth 出生日期:		Date of Birth 出生日期:		
Residential Address: 住宅地址:		Residential Address: 住宅地址:		
<input type="checkbox"/> I hereby declare that this address is a valid residential address within the last 3 months 特此聲明此地址為本人最近 3 個月內之有效居住地址		<input type="checkbox"/> I hereby declare that this address is a valid residential address within the last 3 months 特此聲明此地址為本人最近 3 個月內之有效居住地址		
Home Tel. No.: 住宅電話號碼:		Home Tel. No.: 住宅電話號碼:		
Mobile Phone No.: 手提電話號碼:		Mobile Phone No.: 手提電話號碼:		
Fax No.: 傳真號碼:		Fax No.: 傳真號碼:		
Office Tel. No.: 辦公室電話:		Office Tel. No.: 辦公室電話:		
E-mail Address: 電子郵件地址:		E-mail Address: 電子郵件地址:		
All Correspondence and Statements to be sent to: (please select either one) 所有通訊及帳單請寄交本人: (只選一項):				
<input type="checkbox"/> Residential Address 住宅地址		<input type="checkbox"/> Business Address 商業地址		
<input type="checkbox"/> Email Address 電郵地址		<input type="checkbox"/> Others 其他 _____		
<input type="checkbox"/> Subscribe Research Report by Email 以電郵收取研究報告				
Education 教育程度: <input type="checkbox"/> 小學或以下 Primary or below <input type="checkbox"/> 中學 Secondary <input type="checkbox"/> 大學或以上 Tertiary or above		Education 教育程度: <input type="checkbox"/> 小學或以下 Primary or below <input type="checkbox"/> 中學 Secondary <input type="checkbox"/> 大學或以上 Tertiary or above		

**Employment Information 受僱資料 (不可填寫全職投資者或近似作為職位 Full-time investors or equivalent will not be accepted as employment information)**

Name of Employer of Account Holder (1): 客戶受僱機構名稱:			Name of Employer of Account Holder (2): 客戶受僱機構名稱:		
Nature of Business: 業務性質:	Present Position: 現時職位:	Years of Service 服務年資:	Nature of Business: 業務性質:	Present Position: 現時職位:	Years of Service 服務年資:
Office Address: 辦公室地址:			Office Address: 辦公室地址:		

**Financial Profile 財務狀況**

<b>Annual Income 每年收入 (HK\$港幣):</b> <input type="checkbox"/> <\$200,000 <input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> \$200,000 - \$500,000 <input type="checkbox"/> >\$1,000,000	<b>Annual Income 每年收入 (HK\$港幣)</b> <input type="checkbox"/> <\$200,000 <input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> \$200,000 - \$500,000 <input type="checkbox"/> >\$1,000,000
<b>Total Net Value of Assets 資產淨值 (HK\$港幣):</b> <input type="checkbox"/> <\$500,000 <input type="checkbox"/> 2,500,001 - \$5,000,000 <input type="checkbox"/> \$500,000 - \$2,500,000 <input type="checkbox"/> > HK\$5,000,000	<b>Total Net Value of Assets 資產淨值 (HK\$港幣):</b> <input type="checkbox"/> <\$500,000 <input type="checkbox"/> 2,500,001 - \$5,000,000 <input type="checkbox"/> \$500,000 - \$2,500,000 <input type="checkbox"/> > HK\$5,000,000

**Source of funds 資金來源:**

<b>1. Savings 儲蓄:</b> <input type="checkbox"/> Previous/Current Salary Savings 前/現薪金收入儲蓄 <input type="checkbox"/> Previous/Current Business Profits 前/現業務溢利 <input type="checkbox"/> Family Savings 家庭收入儲蓄 <input type="checkbox"/> Retirement Savings 退休金儲蓄 <input type="checkbox"/> Others 其他 (請列明): _____	<b>1. Savings 儲蓄:</b> <input type="checkbox"/> Previous/Current Salary Savings 前/現薪金收入儲蓄 <input type="checkbox"/> Previous/Current Business Profits 前/現業務溢利 <input type="checkbox"/> Family Savings 家庭收入儲蓄 <input type="checkbox"/> Retirement Savings 退休金儲蓄 <input type="checkbox"/> Others 其他 (請列明): _____
<b>2. Rental Income 租金收入:</b> <input type="checkbox"/> Residential Property Rental Income 物業 <input type="checkbox"/> Commercial Property Rental Income 商舖 <input type="checkbox"/> Others 其他 (請列明): _____	<b>2. Rental Income 租金收入:</b> <input type="checkbox"/> Residential Property Rental Income 物業 <input type="checkbox"/> Commercial Property Rental Income 商舖 <input type="checkbox"/> Others 其他 (請列明): _____
<b>3. Investment 投資:</b> <input type="checkbox"/> Bank/Other Interest 銀行/其他利息收入 <input type="checkbox"/> Investment Trading Profits / Dividend Income 投資買賣溢利或股息回報 <input type="checkbox"/> Others 其他 (請列明): _____	<b>3. Investment 投資:</b> <input type="checkbox"/> Bank/Other Interest 銀行/其他利息收入 <input type="checkbox"/> Investment Trading Profits / Dividend Income 投資買賣溢利或股息回報 <input type="checkbox"/> Others 其他 (請列明): _____
<b>4. Loan from Financial Institutions/ others 金融機構貸款 / 其他貸款:</b> <input type="checkbox"/> Relatives/Friends 親友 <input type="checkbox"/> Bank 銀行 <input type="checkbox"/> Financial Institution 財務金融機構 <input type="checkbox"/> Others 其他 (請列明): _____	<b>4. Loan from Financial Institutions/ others 金融機構貸款 / 其他貸款:</b> <input type="checkbox"/> Relatives/Friends 親友 <input type="checkbox"/> Bank 銀行 <input type="checkbox"/> Financial Institution 財務金融機構 <input type="checkbox"/> Others 其他 (請列明): _____
<b>5. Others 其他:</b> Others (請列明): _____	<b>5. Others 其他:</b> Others (請列明): _____

<b>Ownership of Residence 住屋業權:</b> <input type="checkbox"/> Owned 擁有 <input type="checkbox"/> Not Owned 沒有擁有 <input type="checkbox"/> Rented 租住 <input type="checkbox"/> Living with Family 與家人同住	<b>Ownership of Residence 住屋業權:</b> <input type="checkbox"/> Owned 擁有 <input type="checkbox"/> Not Owned 沒有擁有 <input type="checkbox"/> Rented 租住 <input type="checkbox"/> Living with Family 與家人同住
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**Client Investment Experience and Objective 客戶投資經驗及目標**

<b>Investment Experience 投資經驗:</b> <input type="checkbox"/> Less than a year 少於 1 年 <input type="checkbox"/> 6 - 10 years 年 <input type="checkbox"/> 1 - 5 years 年 <input type="checkbox"/> More than 10 years 10 年以上	<b>Investment Experience 投資經驗:</b> <input type="checkbox"/> Less than a year 少於 1 年 <input type="checkbox"/> 6 - 10 years 年 <input type="checkbox"/> 1 - 5 years 年 <input type="checkbox"/> More than 10 years 10 年以上
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<p>Investment Objective 投資目的:</p> <p><input type="checkbox"/> Long Term 長線                      <input type="checkbox"/> Capital Appreciation 資本增值</p> <p><input type="checkbox"/> Medium Term 中線                      <input type="checkbox"/> Dividend Yield 股息回報</p> <p><input type="checkbox"/> Short Term 短線                      <input type="checkbox"/> Hedging 對沖</p> <p><input type="checkbox"/> Speculation 投機</p>	<p>Investment Objective 投資目的:</p> <p><input type="checkbox"/> Long Term 長線                      <input type="checkbox"/> Capital Appreciation 資本增值</p> <p><input type="checkbox"/> Medium Term 中線                      <input type="checkbox"/> Dividend Yield 股息回報</p> <p><input type="checkbox"/> Short Term 短線                      <input type="checkbox"/> Hedging 對沖</p> <p><input type="checkbox"/> Speculation 投機</p>
<p>Investment Products and Experience 曾買賣產品及投資經驗:</p> <p><input type="checkbox"/> Stocks 股票                      <input type="checkbox"/> 少於 1 年   <input type="checkbox"/> 1 - 5 年   <input type="checkbox"/> 5 年以上</p> <p><input type="checkbox"/> CBBC 牛熊證                      <input type="checkbox"/> 少於 1 年   <input type="checkbox"/> 1 - 5 年   <input type="checkbox"/> 5 年以上</p> <p><input type="checkbox"/> Warrants 衍生權證 (窩輪)   <input type="checkbox"/> 少於 1 年   <input type="checkbox"/> 1 - 5 年   <input type="checkbox"/> 5 年以上</p> <p><input type="checkbox"/> Futures 期貨                      <input type="checkbox"/> 少於 1 年   <input type="checkbox"/> 1 - 5 年   <input type="checkbox"/> 5 年以上</p> <p><input type="checkbox"/> Options 期權                      <input type="checkbox"/> 少於 1 年   <input type="checkbox"/> 1 - 5 年   <input type="checkbox"/> 5 年以上</p> <p><input type="checkbox"/> Bonds 債券                      <input type="checkbox"/> 少於 1 年   <input type="checkbox"/> 1 - 5 年   <input type="checkbox"/> 5 年以上</p> <p><input type="checkbox"/> Funds 基金                      <input type="checkbox"/> 少於 1 年   <input type="checkbox"/> 1 - 5 年   <input type="checkbox"/> 5 年以上</p> <p><input type="checkbox"/> Others 其他: _____   <input type="checkbox"/> 少於 1 年   <input type="checkbox"/> 1 - 5 年   <input type="checkbox"/> 5 年以上</p>	<p>Investment Products and Experience 曾買賣產品及投資經驗:</p> <p><input type="checkbox"/> Stocks 股票                      <input type="checkbox"/> 少於 1 年   <input type="checkbox"/> 1 - 5 年   <input type="checkbox"/> 5 年以上</p> <p><input type="checkbox"/> CBBC 牛熊證                      <input type="checkbox"/> 少於 1 年   <input type="checkbox"/> 1 - 5 年   <input type="checkbox"/> 5 年以上</p> <p><input type="checkbox"/> Warrants 衍生權證 (窩輪)   <input type="checkbox"/> 少於 1 年   <input type="checkbox"/> 1 - 5 年   <input type="checkbox"/> 5 年以上</p> <p><input type="checkbox"/> Futures 期貨                      <input type="checkbox"/> 少於 1 年   <input type="checkbox"/> 1 - 5 年   <input type="checkbox"/> 5 年以上</p> <p><input type="checkbox"/> Options 期權                      <input type="checkbox"/> 少於 1 年   <input type="checkbox"/> 1 - 5 年   <input type="checkbox"/> 5 年以上</p> <p><input type="checkbox"/> Bonds 債券                      <input type="checkbox"/> 少於 1 年   <input type="checkbox"/> 1 - 5 年   <input type="checkbox"/> 5 年以上</p> <p><input type="checkbox"/> Funds 基金                      <input type="checkbox"/> 少於 1 年   <input type="checkbox"/> 1 - 5 年   <input type="checkbox"/> 5 年以上</p> <p><input type="checkbox"/> Others 其他: _____   <input type="checkbox"/> 少於 1 年   <input type="checkbox"/> 1 - 5 年   <input type="checkbox"/> 5 年以上</p>
<p>Estimated Investment Amount 估計投資金額:</p> <p><input type="checkbox"/> &lt; HK\$100,000                      <input type="checkbox"/> HK\$1,000,001 – 5,000,000</p> <p><input type="checkbox"/> HK\$100,000 – 500,000           <input type="checkbox"/> HK\$5,000,001 – 10,000,000</p> <p><input type="checkbox"/> HK\$500,001 – 1,000,000        <input type="checkbox"/> &gt; HK\$10,000,000</p>	<p>Estimated Investment Amount 估計投資金額:</p> <p><input type="checkbox"/> &lt; HK\$100,000                      <input type="checkbox"/> HK\$1,000,001 – 5,000,000</p> <p><input type="checkbox"/> HK\$100,000 – 500,000           <input type="checkbox"/> HK\$5,000,001 – 10,000,000</p> <p><input type="checkbox"/> HK\$500,001 – 1,000,000        <input type="checkbox"/> &gt; HK\$10,000,000</p>
<p><b>Client's Knowledge of Derivative Products 客戶對衍生產品的認識</b></p>	
<p>本人知悉及明白中達證券投資有限公司("中達證券")將根據以下的資料以評估本人是否對衍生工具產品有認識。</p> <p>I acknowledge and understand CENTRAL WEALTH SECURITIES INVESTMENT LIMITED ("CWSIL") will assess whether I have adequate knowledge on derivative products according to the information that I provided.</p> <p><input type="checkbox"/> 1. 本人已接受有關介紹一般衍生產品之性質及風險的培訓或課程 (例如學術機構或金融機構所提供之課程)。I underwent training or attended courses on derivative products that provide general knowledge of the nature and risks of derivatives (e.g. courses offered by academic or financial institutions).</p> <p><input type="checkbox"/> 2. 本人現時或過去擁有與衍生產品有關的工作經驗。I have current or previous work experience related to derivative products.</p> <p><input type="checkbox"/> 3. 本人於過去 3 年曾執行 5 次或以上有關衍生產品的交易。 I have executed five or more transactions in derivative products within the past three years.</p> <p><input type="checkbox"/> 4. 本人並未有衍生產品之認識。 I do not have any knowledge of derivative products.</p>	<p>本人知悉及明白中達證券投資有限公司("中達證券")將根據以下的資料以評估本人是否對衍生工具產品有認識。</p> <p>I acknowledge and understand CENTRAL WEALTH SECURITIES INVESTMENT LIMITED ("CWSIL") will assess whether I have adequate knowledge on derivative products according to the information that I provided.</p> <p><input type="checkbox"/> 1. 本人已接受有關介紹一般衍生產品之性質及風險的培訓或課程 (例如學術機構或金融機構所提供之課程)。I underwent training or attended courses on derivative products that provide general knowledge of the nature and risks of derivatives (e.g. courses offered by academic or financial institutions).</p> <p><input type="checkbox"/> 2. 本人現時或過去擁有與衍生產品有關的工作經驗。I have current or previous work experience related to derivative products.</p> <p><input type="checkbox"/> 3. 本人於過去 3 年曾執行 5 次或以上有關衍生產品的交易。 I have executed five or more transactions in derivative products within the past three years.</p> <p><input type="checkbox"/> 4. 本人並未有衍生產品之認識。 I do not have any knowledge of derivative products.</p>
<p><b>Identity Declaration 身份聲明</b></p>	
<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? 如否, 請詳述帳戶的最終實益擁有人身份資料及回答下列問題。</p> <p>Are you (and/ or the Secondary Joint Account Holder) the ultimate beneficial owner(s) in relation to the account? If no, please specify the details and answer the following questions.</p> <p><input type="checkbox"/> 是 Yes    <input type="checkbox"/> 否 No</p> <p>(a)</p> <p>姓名 Name: _____ 身份證/護照號碼 ID/Passport No.: _____ 電話 Tel. No.: _____</p> <p>住宅地址 Home Address: _____</p>	

(b)

最終實益擁有人是否證券/期貨交易所參與者的僱員或代理人或董事或認可人士 (不管最終實益擁有人現時是否為證監會持牌代表/金管局註冊人士), 或最終實益擁有人於證監會註冊的持牌法團/註冊機構? 如是, 請述明具體:

Is the ultimate beneficial owner an employee or an agent or a director or an accredited person of an exchange participant of a stock/futures exchange (whether the ultimate beneficial owner is currently a SFC licensed representative/ HKMA registered person or not) or a licensed corporation or registered institution?? If yes, please specify:

否 No  是 Yes

持牌法團/註冊機構名稱 Licensed Corporation/ Registered Institution Name: \_\_\_\_\_

職位 Position: \_\_\_\_\_ 中央編號 CE No.: (Employer 僱主) \_\_\_\_\_ / (Employee 僱員) \_\_\_\_\_

(c)

最終實益擁有人是否與中達證券投資有限公司或其各自之聯營/集團公司之董事或僱員有任何關係?

Does the ultimate beneficial owner have any relationship with the director(s) or employee(s) of CWSIL or its respective associated/ group companies?

否 No  是 Yes, \_\_\_\_\_  
(Name of Director or Employee 董事或僱員姓名 ; Relationship 關係)

(d) 最終實益擁有人有沒有美國稅務責任?

沒有 No  有 Yes (TIN 稅務身份碼: \_\_\_\_\_)

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董事或認可人士 (不管你(及/或聯名帳戶第二持有人)現時是否為證監會持牌代表/金管局註冊人士), 或於證監會註冊的持牌法團/註冊機構? 如是, 請述明具體:

Are you (and/or the Secondary Joint Account Holder) an employee or an agent or a director or an accredited person of an exchange participant of a stock/futures exchange (whether you (and/or the Secondary Joint Account Holder) are currently a SFC licensed representative/ HKMA registered person or not) or a licensed corporation or registered institution?? If yes, please specify:

否 No  是 Yes

持牌法團/註冊機構名稱 Licensed Corporation/ Registered Institution Name: \_\_\_\_\_

職位 Position: \_\_\_\_\_ 中央編號 CE No.: (Employer 僱主) \_\_\_\_\_ / (Employee 僱員) \_\_\_\_\_

(If applicable 如適用) (請提供僱主之書面同意書 Please provide employer's consent letter)

3. 你(及/或聯名帳戶第二持有人)是否與中達證券投資有限公司或其各自之聯營/集團公司之董事或僱員有任何關係?

Do you (and/or the Secondary Joint Account Holder) have any relationship with the director(s) or employee(s) of CWSIL or its respective associated/ group companies?

否 No  是 Yes, \_\_\_\_\_  
(Name of Director or Employee 董事或僱員姓名/ Relationship 關係)

4. 美國稅務責任 U.S. Tax Obligation:

沒有 No  有 Yes (TIN 稅務身份碼: \_\_\_\_\_)  
(如是, 請填寫 W-9 表格, 否則請填 W-8BEN 表格。  
If yes, please fill in Form W-9. Otherwise, please fill in Form W-8BEN.)

4. 美國稅務責任 U.S. Tax Obligation:

沒有 No  有 Yes (TIN 稅務身份碼: \_\_\_\_\_)  
(如是, 請填寫 W-9 表格, 否則請填 W-8BEN 表格。  
If yes, please fill in Form W-9. Otherwise, please fill in Form W-8BEN.)

**Related Margin Financing Account(s) (For Securities Account (Margin) only) 相關保證金融資帳戶 (只適用於證券帳戶(保證金))**

1. 你(及/或聯名帳戶第二持有人)的配偶是否持有中達證券的保證金帳戶? Does the spouse of you (and/or the Secondary Joint Account Holder) have a margin account with CWSIL?

否 No  是 Yes 配偶姓名 Name of the Spouse \_\_\_\_\_ 帳戶號碼 Account No: \_\_\_\_\_

2. 你(及/或聯名帳戶第二持有人)是否單獨或與配偶共同控制任何中達證券公司保證金帳戶 35%或以上之表決(投票)權? Are you (and/or the Secondary Joint Account Holder), either alone or with your spouse, in control of 35% or more of the voting rights of any Corporate Margin Account(s) of CWSIL?

否 No  是 Yes, 帳戶名稱 Account Name: \_\_\_\_\_ 帳戶號碼 Account No.: \_\_\_\_\_

**收款(香港)銀行戶口 Receiving (Hong Kong) Bank Account (只供入數之用 For Fund Deposit Only)**

Currency 貨幣	Name of Bank 銀行名稱	Account Name 帳戶名稱	A/C No. 帳戶號碼
HKD (1)			
HKD (2)			
CNY (1)			
CNY (2)			
USD (1)			
USD (2)			

**Personal Data 個人資料**

I/We have been informed that CWSIL and/or its associated companies and/or group companies intends to use and transfer within CWSIL and its associated companies and group companies my/our personal data for the direct marketing of: (i) Financial services and investment products; (ii) Related promotional schemes; (iii) Financial and investment advices; or (iv) promotional and marketing events of CWSIL and/or its associated companies and/or group companies for the aforesaid services or products. Such personal data includes my/our name, contact details, financial background and statistical data which are provided to CWSIL under this Account Opening Form or obtained by its associated companies and/or group companies from time to time. I/We understand that I/We may, at any time, require CWSIL and/or its associated companies and/or group companies to cease to use or transfer within CWSIL and its associated companies and group companies my/our personal data for direct marketing through such channel prescribed by CWSIL and/or its associated companies and/or group companies. 本人/吾等現獲告知中達證券及/或其各自之聯營公司及/或集團公司擬使用及在中達證券及其各自之聯營公司及集團公司之間轉移本人/吾等於中達證券及/或其各自之聯營公司及/或集團公司之個人資料以直接促銷：(i) 金融服務和產品；(ii) 相關優惠計劃；(iii) 金融與投資建議；或(iv) 中達證券及/或其各自之聯營公司及/或集團公司就前述產品及服務之業務推廣和宣傳活動。該等個人資料包括本人/吾等在本開戶表格中向中達證券提供的或其各自之聯營公司及集團公司不時獲得的姓名、聯絡詳情、財務背景及統計資料等個人資料。本人/吾等明白本人/吾等可以隨時通過中達證券及/或其各自之聯營公司及/或集團公司指定的渠道要求中達證券及/或其各自之聯營公司及/或集團公司停止在直接促銷中使用本人/吾等的個人資料。

I/We agree to the aforesaid use of my/our personal data in CWSIL and/or its associated companies and/or group companies.

本人/吾等同意中達證券及/或其各自之聯營及/或集團公司如上述情況使用本人/吾等之個人資料。

I/We agree to the aforesaid transfer of my/our personal data within CWSIL and its associated companies and group companies.

本人/吾等同意如上述情況在中達證券及其各自之聯營及集團公司之間轉移本人/吾等之個人資料。

I/We object to the use of or transfer within CWSIL and its associated companies and group companies my/our personal data by CWSIL and/or its associated companies and/or group companies in direct marketing.

本人/吾等反對中達證券及/或其各自之聯營/集團公司使用或在中達證券及其各自之聯營及集團公司之間轉移本人/吾等的個人資料作直接促銷用途。

**Acknowledgement and Execution by Client 客戶確認及簽署**

1. 本人/吾等確認中達證券投資有限公司(下稱“中達證券”)已按本人/吾等選擇的語言(英文或中文)提供了客戶協議書、電子交易服務條款(如適用)及風險披露聲明之副本。(本人/吾等確認已收取該等文件之副本)

2. 本人/吾等謹此聲明在本開戶表格所提供之資料全部為真實、完整及正確，除非中達證券接到更改有關本開戶表格內容之書面通知，否則中達證券有權完全依賴此等資料及聲明作一切用途。中達證券或其代理獲授權可隨時就核對本開戶表格資料事宜，與任何人包括本人/吾等之銀行、經紀或任何信用機構進行諮詢。

3. 本人/吾等現申請開立本人/吾等在本開戶表格頁首選擇之帳戶及服務類別。本人/吾等確認已閱讀並明白附上之中達證券投資有限公司客戶協議書(該協議書)的所有有關條款並且接受及同意受可不時被修改的該協議書之條款所約束，本人/吾等在此以書面通知、及確認並授權中達證券行使在該協議書內的全部常設授權。

4. 本人/吾等向閣下申請開立證券買賣帳戶並同意遵守香港交易所及其他監管機構不時修訂以監管於香港交易所或其他交易所進行證券買賣之條例及規則。

5. 本人/吾等進一步確認中達證券已經邀請本人/吾等閱讀客戶協議書、風險披露聲明及電子交易服務條款(如適用)，提出問題及徵求獨立的意見(如本人/吾等有此意願)。

6. 本人/吾等已仔細閱讀、完全理解並同意接受及遵守客戶協議書內之個人資料收集聲明。

7. 本人/吾等欲使用互聯網證券交易服務，本人/吾等已經閱讀並明白中達證券投資有限公司之客戶協議書中，所載之電子交易服務條款，並接受這些條款的約束。(如適用)

8.假如我們[中達證券投資有限公司]向閣下招攬銷售或建議任何金融產品，該金融產品必須是我們經考慮閣下的財政狀況、投資經驗及投資目標後而認為合理地適合閣下的。本協議的其他條文或任何其他我們可能要求閣下簽署的文件及我們可能要求閣下作出的聲明概不會減損本條款之效力。

1. I/We, the undersigned client(s) hereby confirm that I/We have been provided the Client Agreement (“the Agreement”) of CENTRAL WEALTH SECURITIES INVESTMENT LIMITED (“CWSIL”), the terms of Electronic Trading Service (if applicable) and the Risk Disclosure Statement in a language of my/our choice (English or Chinese) (receipt of a copy whereof is hereby acknowledged by me/us).

2. I/We, the undersigned client(s) hereby confirm and represent that the information on this Account Opening Form is true, complete and correct. CWSIL is entitled to rely fully on such information and representations for all purposes, unless CWSIL receives notice in writing of any change. CWSIL or any of its agents is hereby authorized at any time to contact anyone, including my/our banks or any credit agency, for the purpose of verifying the information provided on this Account Opening Form.

3. I/We, the undersigned client(s) hereby apply to open the types of account(s) and service(s) which I/We choose on the front page of this Account Opening Form and confirm that I/We have read and understand the relevant provisions of the attached Client Agreement and accept and agree to be bound by the Agreement as the same may be amended from time to time, and I/We hereby give you notice in writing that I/we confirm and authorize CWSIL to exercise all the powers of the Standing Authorities under the Client Agreement.

4. I/We request you to open a Securities Trading Account (“the Account”) and agree to abide by the rules and regulations of The Stock Exchange of Hong Kong Limited (“SEHK”) or any other regulatory body(ies) as amended from time to time governing the purchase and sale of securities quoted on the SEHK or any other stock exchanges.

5. I/We, the undersigned client(s) further acknowledge and confirm that I/We have been invited by CWSIL to read the Client Agreement, the Risk Disclosure Statement and the terms of Electronic Trading Service (if applicable), ask questions and take independent advice, if I/We wish.

6. I/We, the undersigned client(s) have carefully read, fully understood and agreed to accept and be bound by the Personal Information Collection Statement of the Agreement.

7. I/We want to use the internet Securities Trading Service. I/We have read and understood the terms of the Electronic Trading Service as set out in the Client Agreement of CENTRAL WEALTH SECURITIES INVESTMENT LIMITED (“CWSIL”) and I/We accept to be bound by the same. (if applicable)

8.If we [CENTRAL WEALTH SECURITIES INVESTMENT LIMITED] solicit the sale of or recommend any financial product to you (the client), the financial product must be reasonably suitable for you having regard to your financial situation, investment experience and investment objectives. No other provision of this agreement or any other document we may ask you to sign and no statement we may ask you to make derogates from this clause.

Account Holder (1) Signature

帳戶持有人(1)簽署

Account Holder (2) Signature

帳戶持有人(2)簽署

A/C Name 客戶名稱:

Date 日期:

A/C Name 客戶名稱:

Date 日期:

Signature of Witness

見證人簽署

Name of Witness

見證人姓名

**SIGNING ARRANGEMENT 簽名安排 (For Joint Account Only. 只適用於聯名帳戶)**

此帳戶可根據以下指示方式操作 (請在適當空格加) : The Account can be operated under the instruction of (please tick the appropriate box):

Either one of the account holder; or 任何一位帳戶持有人的指示  Both account holders 兩位帳戶持有人的指示

**Declaration by Licensed Staff 持牌職員聲明 :**

本人，以持牌人士或註冊人士身份，確認本人已按照上述客戶所選擇的語言(英文或中文)提供客戶協議書、風險披露聲明及電子交易服務條款(如適用)之副本及邀請客戶閱讀客戶協議書、風險披露聲明及電子交易服務條款(如適用)，提出問題及徵求獨立意見(如客戶有此意願)。I, a licensed or registered person, hereby declare that I have provided the above client with a copy of the Client Agreement, the Risk Disclosure Statement and the terms of Electronic Trading Service (if applicable) in a language of the Client's choice (English or Chinese) and invited the client to read the Client Agreement, the Risk Disclosure Statement and the terms of Electronic Trading Service, ask questions and take independent advice if the client so wishes.

Signature of Licensed Person:

CE No. :

Name of Licensed Person:

Date:

持牌人士簽署: \_\_\_\_\_

中央編號: \_\_\_\_\_

持牌人士姓名: \_\_\_\_\_

日期: \_\_\_\_\_

**Notes 注意:**

如此開戶文件不是在中達證券投資有限公司持牌的職員或經紀前開立，客戶必須遵從以下其中一個程序要求：

If this document is not executed by the Client in front the licensed Staff or Account Executive of CENTRAL WEALTH SECURITIES INVESTMENT LIMITED ("CWSIL"), Client should comply with either one of the following procedure:

- a) 客戶必須交給中達證券投資有限公司由客戶在香港的持牌銀行開立的帳戶所簽發的個人支票，支票上要有客戶的身份證明文件上所顯示的姓名以及簽名必須與此開戶表格上的客戶簽名相符，抬頭人為“中達證券投資有限公司”而支票數額不少於港幣 10,000 元。待支票兌現以及所有相關文件驗證後，此帳戶才可使用。

Client should send CENTRAL WEALTH SECURITIES INVESTMENT LIMITED ("CWSIL") a personal cheque bearing his/ her name shown in his/her identity document and drawn on his/ her account with a licensed bank in Hong Kong with his/ her same signature(s) as shown on this Form in favor of "CENTRAL WEALTH SECURITIES INVESTMENT LIMITED" for not less than HK\$10,000. This account will be activated after the cheque is cleared and all related documents are verified.

- b) 此開戶表格及相關身份證明文件的見證，必須由其他持牌人士、中達證券投資有限公司的聯繫人士、太平紳士、專業人士如銀行分行經理、執業會計師、律師或公證人加以驗證。

The signing of this form and sighting of related identity documents should be certificated by other licensed person, an affiliated of CENTRAL WEALTH SECURITIES INVESTMENT LIMITED ("CWSIL"), a Justice of Peace (JP) or a professional person such as a branch manager of a bank, certified public accountant, lawyer or notary public.

**For Official Use Only 公司專用****核對資料 Checklist:**

- 1) 已簽署之開戶表格及相關文件 Duly signed Client Account Opening Form and related documents
- 2) 最近三個月內附客戶姓名之住宅地址證明文件(如水、電費單, 銀行月結單等)及通訊地址證明文件(如需要); 郵政信箱恕不接受 Residential (e.g. utilities bills, bank statements, etc) and correspondence address proof (if needed) with Client's name dated within the last 3 months; P.O. box is not accepted
- 3) 身份證副本 / 護照副本 I.D. card copy / passport copy
- 4) W-8 BEN 表格 Form W-8 BEN
- 5) W-9 表格 (如需要) Form W-9 (if required)
- 6) 個人稅務居民自我證明表格 Individual Tax Residency Self-Certification Form
- 7) 核實簽署之支票 (如需要) Valid and verified signed cheque (if required)
- 8) 指定人士之身份證及專業資格證明文件 (如需要) Designated person's identity card and professional qualification documents (if required)
- 9) AML / PEP, license check
- 10) 僱主之書面同意書 (如需要) Employer's consent letter (if required)

**查核 Checked By:**

職員姓名 Name of the Staff:

簽署 Signature:

帳戶介紹人:

Account introduced by:

經紀姓名及編號:

Name and Code of AE:

資料輸入:

Inputted by:

職員姓名 Name of the Staff:

簽署 Signature:

日期 Date:

帳戶批核:

Approved by:

職員姓名 Name of the Staff:

簽署 Signature:

日期 Date:

客戶佣金及最低佣金:

Client Commission rate and Minimum Commission:

交易限額/信貸限額:

Trading Limit / Credit Limit:

利率:

Interest Rate:

其他資料 (例如:已獲得銀行及信貸參考):

Other information (e.g. bank and credit reference obtained):

簽署式樣申請表格

Signature Specimen Request Form

香港西九龍柯士甸道西1號環球貿易廣場67樓6708A室 CE No.: AVE583 / BFW317 電話: +852 3958 4600 傳真: +852 3958 4666 電郵: [cs@cws.com.hk](mailto:cs@cws.com.hk)

證券 Securities  期貨 Futures

賬戶名稱 A/C Name: \_\_\_\_\_

賬戶號碼 A/C No.: \_\_\_\_\_

生效日期 Effective Date: \_\_\_\_\_ DD \_\_\_\_\_ MM \_\_\_\_\_ YYYY

個人/聯名賬戶簽名式樣 Individual / Joint Account Specimen Signature	
簽名式樣 Specimen Signature	簽名式樣 Specimen Signature (聯名賬戶 Joint A/C)
客戶名稱 A/C Name	客戶名稱 A/C Name
身份證號碼/護照號碼/其他證件(請註明)號碼 ID/Passport No. /Other documents(specify)No.	身份證號碼/護照號碼/其他證件(請註明)號碼 ID/Passport No. /Other documents(specify)No.
聯名賬戶適用 For Joint A/C only	<input type="checkbox"/> 所有賬戶書面指示須由兩位賬戶持有人同時簽署 All written instruction of the account should be jointly signed by both account holders
備註 Remarks	

只供內部使用 Official use only
客戶經理簽署: _____ Signature of the Account Executive
客戶經理全名: _____ Full Name of the Account Executive
中央編號: _____ CE Number

註: 1. 此表格正本應交回中達證券有限公司以作記錄。The original of this form should be returned to CWSI for record.