



### C. 客戶財政資料 Client Financial Information

<b>收入來源 Source of Income</b> <input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 薪金 Salary <input type="checkbox"/> 佣金 Commission <input type="checkbox"/> 租金 Rent <input type="checkbox"/> 股息/利息 Dividend/Interest <input type="checkbox"/> 業務溢利 Business Profit <input type="checkbox"/> 其他 Others: _____	<b>每年收入 Annual Income</b> <input type="checkbox"/> <HK\$120,000 <input type="checkbox"/> HK\$120,000 – HK\$300,000 <input type="checkbox"/> HK\$300,001 – HK\$500,000 <input type="checkbox"/> HK\$500,001 – HK\$1M <input type="checkbox"/> HK\$1M – HK\$5M <input type="checkbox"/> HK\$5M – HK\$10M <input type="checkbox"/> >HK\$10M	<b>資產項目 Asset Items</b> <input type="checkbox"/> 房產 Property <input type="checkbox"/> 存款 Deposits <input type="checkbox"/> 證券 Listed Securities <input type="checkbox"/> 債券/基金 Bonds/Funds <input type="checkbox"/> 其他 Others: _____	<b>估計資產淨值 Net Asset Worth</b> <input type="checkbox"/> <HK\$500,000 <input type="checkbox"/> HK\$500,000 – HK\$1M <input type="checkbox"/> HK\$1M – HK\$3M <input type="checkbox"/> HK\$3M – HK\$5M <input type="checkbox"/> HK\$5M – HK\$10M <input type="checkbox"/> HK\$10M – HK\$50M <input type="checkbox"/> >HK\$50M
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### D. 客戶投資經驗及目標 Client Investment Experience and Objective

<b>教育程度 Education Level</b> <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	<b>曾投資的產品 Experienced Products</b> <input type="checkbox"/> 證券 Stocks <input type="checkbox"/> 認股權證 Warrants <input type="checkbox"/> 期貨/期權 Futures/Options <input type="checkbox"/> 外匯/黃金 Forex/Bullion <input type="checkbox"/> 債券 Bonds <input type="checkbox"/> 基金 Funds <input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 其他 Others: _____	<b>投資目標 Investment Objectives</b> <input type="checkbox"/> 短線 Short Term <input type="checkbox"/> 中線 Medium Term <input type="checkbox"/> 長線 Long Term <input type="checkbox"/> 資本增值 Capital Appreciation <input type="checkbox"/> 股息回報 Dividend Yield <input type="checkbox"/> 對沖 Hedging <input type="checkbox"/> 投機 Speculation <input type="checkbox"/> 其他 Others: _____	<b>估計投資金額 Estimated Investment Amount</b> <input type="checkbox"/> <HK\$100,000 <input type="checkbox"/> HK\$100,000 – HK\$500,000 <input type="checkbox"/> HK\$500,001 – HK\$1M <input type="checkbox"/> HK\$1M – HK\$5M <input type="checkbox"/> HK\$5M – HK\$10M <input type="checkbox"/> >HK\$10M
<b>投資經驗 Investment Experience</b> <input type="checkbox"/> 少於 1 年 Less than a year <input type="checkbox"/> 1-5 年 years <input type="checkbox"/> 6-10 年 years <input type="checkbox"/> 10 年以上 More than 10 years <input type="checkbox"/> 沒有 Nil			

本人有意認購以下交易所買賣的衍生產品 I wish to purchase the following derivative product(s) which is/are traded on an exchange:  
 牛熊證 Callable Bull Bear Contracts  衍生權證 (窩輪) Derivative Warrants  交易所買賣基金 Exchange Traded Funds (ETF)

本人對衍生產品的認識如下 My knowledge of derivative products are as followed:  
 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)  
 本人擁有與衍生產品有關之工作經驗  
 I have work experience related to derivative products  
 本人有相關之交易經驗, 即本人於過去三年曾執行過五次或以上有關衍生產品之交易  
 I have relevant trading experience i.e. I have executed five or more transactions in derivative products within the past three years  
 \*本人並未有衍生產品之認識  
 I do not have any knowledge of derivative products

\*即使閣下並未有衍生產品之認識, 如閣下有意認購交易所買賣的衍生產品, 亦可接受致富就相關衍生產品所作出之風險解釋及完成問卷調查。When you do not have any knowledge of derivative products, you could accept Chief's explanation on risks associated with derivative products and complete the questionnaire if you wish to purchase derivative products which are traded on an exchange.

### E. 客戶聲明 Declaration by Client

#### 1. 身份聲明 Identity Declaration

閣下是否以中介人身份操作帳戶? Are you acting as an intermediary for the account? 如是, 戶口的最終權益擁有人是 If yes, details of the ultimate beneficial owner(s) is/are 名稱 Name _____ 身份證/護照號碼 ID/Passport No. _____ 地址 Address _____	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
閣下與本公司職員是否有親戚關係? Do you have any relationship with any employee of our company? 如是 If yes, 職員名稱 Name: _____ 關係 Relationship: _____	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
閣下是否為任何根據證券及期貨條例註冊持牌法團或銀行業條例之註冊機構之僱員 (不管閣下現時是否為證監會持牌代表/金管局註冊人士)? Are you an employee of a licensed corporation under the Securities and Futures Ordinance, or a registered institution under the Banking Ordinance (whether you are currently a SFC licensed representative /HKMA registered person or not)? 如是 If 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) (必須出示所屬持牌法團或註冊機構之授權信 You must provide written approval from your accredited licensed corporation or registered institution)	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No  HKMA SFC <input type="checkbox"/> <input type="checkbox"/> Checked By
閣下是否為美國公民 (持有美國護照) 或美國居民 (持有美國綠卡)? Are you a U.S. citizen (e.g. holding U.S. Passport) or U.S. resident alien (e.g. holding U.S. green card)? 如是, 請填寫 W-9 表格, 否則請填寫 W-8BEN 表格。If yes, please fill in Form W-9. Otherwise, please fill in Form W-8BEN.	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
閣下是否在其他持牌法團/註冊機構擁有戶口? Do you have accounts with other licensed corporation or registered institution? 如是 If yes, 持牌法團/註冊機構名稱 Name of licensed corporation or registered institution _____ 戶口類別 A/C Type: <input type="checkbox"/> 現金 Cash <input type="checkbox"/> 保證金 Margin <input type="checkbox"/> 股票期權 Stock Options <input type="checkbox"/> 期貨 Futures <input type="checkbox"/> 網上交易帳戶 Internet	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No

#### 2. 關連保證金帳戶資料 Related Margin Account(s) Information 保證金帳戶適用 (For Margin Accounts Only)

閣下的配偶是否致富證券有限公司的保證金客戶? Is your spouse a margin client of Chief Securities Limited? 如是, 其帳戶號碼為 If yes, whose Account No.: _____ 帳戶名稱 Account Name: _____	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
閣下是否單獨或與閣下的配偶共同控制任何致富證券公司保證金帳戶 35%或以上投票權? Are you, either alone or with your spouse, in control of 35% or more of the voting rights of any corporate margin account of Chief Securities Limited? 如是, 該帳戶號碼為 If yes, Account No.: _____ 帳戶名稱 Account Name: _____	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No

## F. 客戶確認及簽署 Acknowledgement and Execution by Client

本人/吾等(在下面簽署的客戶)確認致富證券有限公司(下稱“致富”)已按本人/吾等選擇的語言(英文或中文)提供了客戶協議書及風險披露聲明之副本。本人/吾等(在下面簽署的客戶)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,除非致富接到更改有關本開戶表格內容之書面通知,否則致富有權完全依賴此等資料及聲明作一切用途。致富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。

本人/吾等(在下面簽署的客戶)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致富證券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、及確認並授權致富行使在該協議書內的全部常設授權。

本人/吾等(在下面簽署的客戶)進一步確認致富已經邀請本人/吾等閱讀風險披露聲明,提出問題及徵求獨立的意見(如本人/吾等有此意願)。

本人/吾等(在下面簽署的客戶)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。

I/We, the undersigned client(s) hereby confirm that I/We have been provided the Client Agreement (“the Agreement”) of Chief Securities Limited (“Chief”) and the Risk Disclosure Statement in a language of my/our choice (receipt of a copy whereof is hereby acknowledged by me/us).

I/We, the undersigned client(s) hereby confirm and represent that the information on this Account Opening Form is true, complete and correct. Chief is entitled to rely fully on such information and representations for all purposes, unless Chief receives notice in writing of any change. Chief 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.

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 Chief to exercise all the powers of the Standing Authorities under the Client Agreement.

I/We, the undersigned client(s) further acknowledge and confirm that I/We have been invited by Chief to read the Risk Disclosure Statement, ask questions and take independent advice, if I/We wish.

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.

Date 日期: \_\_\_\_\_年 YY \_\_\_\_\_月 MM \_\_\_\_\_日 DD

客戶簽署 Signed by Client

客戶簽署 Signed by Client (聯名帳戶 Joint A/C)

客戶名稱 A/C Name

客戶名稱 A/C Name

聯名帳戶適用  
For Joint Account only

所有帳戶書面指示須由兩位帳戶持有人同時簽署\*  
All written instruction of the account should be jointly signed by both account holders\*

\*如閣下並未選擇上述方格,書面指示簽署方式由致富因應該指示風險程度釐定。If you don't tick the box, the format of the signature required will be determined by Chief based on the risk level of the instruction you made.

## G. 見證客戶簽署及身份證明文件驗證(如適用) Certification of Client Signature and Identity Proof (if applicable)

若客戶/聯名客戶並非在致富證券有限公司之指定僱員面前簽立本開戶表格或本開戶表格並非連同恰當的支票+一併遞交,則以下部分應由指定人士,包括其他證監會持牌人或註冊人、太平紳士或專業人士例如銀行分行經理、執業會計師、律師或公證人,簽署驗證。而該指定人士需提供其已簽署之身份證明文件副本及專業資格證明文件之副本。

If this Account Opening Form is not executed in front of Chief Securities Limited's SFC licenced employee or is not submitted with an appropriate cheque+, a specified person, including any SFC licensed or registered person, a Justice of Peace, a Branch Manager of a bank, Certified Public Accountant or Notary Public, should be required to sign below. The specified person should provide us with self-certified ID copy and copy of the professional qualification documents.

下述簽署人士謹此驗證上述客戶/聯名客戶簽立此文件(連同客戶協議書)及其有關的身份證明文件:

The undersigned person hereby certify the signing of this Account Opening Form (together with the Client Agreement) by the above Client(s) and sighting of related identity documents of such Client(s)

Date 日期: \_\_\_\_\_年 YY \_\_\_\_\_月 MM \_\_\_\_\_日 DD

簽署及驗證 Signed and Certified by

姓名 Name

所屬專業及職銜  
Profession /Title

聯絡電話  
Contact No

聯絡地址  
Address

\*客戶在香港的持牌銀行開立的帳戶並由客戶所簽發(該簽名須與此開戶表上的客戶簽名相符)並載有客戶在其身份證明文件上所顯示的姓名的副線支票,而該支票抬頭人須為“致富證券有限公司”及其數額不得少於10,000 港元。客戶被批核的新帳戶必須待支票兌現後才可使用。A crossed cheque bearing your name shown in your identity document and drawn on your account with a licensed bank in Hong Kong with your same signature(s) as shown in this Form in favour of “Chief Securities Limited” for not less than HKD10,000. Your approved new account will not be activated until the cheque is cleared.

## H. 職員聲明 Declaration by Staff

本人,以註冊人身份,確認本人已按照上述客戶所選擇的語言提供風險披露聲明之副本及邀請客戶閱讀該風險披露聲明、提出問題及徵求獨立意見(如客戶有此意願)。I, a registered person, declare that I have provided the above client with a copy of the Risk Disclosure Statement in a language of the Client's choice and invited the client to read the Risk Disclosure Statement, ask questions and take independent advice if the client so wishes.

# 以上客戶簽署乃於本人面前簽立。The above Client signature(s) was/were made in my presence.

Date 日期: \_\_\_\_\_年 YY \_\_\_\_\_月 MM \_\_\_\_\_日 DD

職員簽署 Signed by Staff

職員姓名 Name of Staff

中央編號 CE Number

## 向客戶確認 Confirmation with client

客戶簽署 Signed by Client

總行 HQ/分行 Branch: \_\_\_\_\_ 內線 Ext.: \_\_\_\_\_

或  
Or

時間 Time: \_\_\_\_\_時 HH \_\_\_\_\_分 MM

# 如不適用者,必須刪去此句。This sentence must be deleted if not applicable.

## 如#項已被刪去,此欄必須填寫。Please fill in this part if item with # is deleted.

核對清單		客戶介紹人 (戶口號碼 )																									
<input type="checkbox"/> 客戶年滿 18 歲 <input type="checkbox"/> 身份證/護照副本 <input type="checkbox"/> 最近三個月內附客戶姓名之住址證明 <input type="checkbox"/> W-8BEN 表格 (如適用) <input type="checkbox"/> W-9 表格 (如適用) <input type="checkbox"/> 核實簽署之支票 (如需要) <input type="checkbox"/> 保留支票副本 <input type="checkbox"/> 香港持牌銀行支票 <input type="checkbox"/> 抬頭人為致富證券有限公司 <input type="checkbox"/> 銀碼不少於 HK\$10,000 <input type="checkbox"/> 支票上之客戶名稱與本表格相符 <input type="checkbox"/> 支票上之客戶簽署與本表格相符 <input type="checkbox"/> 指定人士之身份證明及專業資格證明文件 (如適用) <input type="checkbox"/> 重覆帳戶/黑名單帳戶 <input type="checkbox"/> 其他：		經紀/分行名稱 (編號 ) 與經紀認識 年																									
		佣金收費																									
		<table border="1"> <tr> <th colspan="2">港股 HK\$</th> <th colspan="2">環球證券 US\$</th> <th colspan="2">股票期權 HK\$</th> </tr> <tr> <td>普通</td> <td>% Min \$</td> <td>普通</td> <td>% Min \$</td> <td>普通</td> <td>% Min \$</td> </tr> <tr> <td>即日</td> <td>% Min \$</td> <td>即日</td> <td>% Min \$</td> <td>網上</td> <td>% Min \$</td> </tr> <tr> <td>網上</td> <td>% Min \$</td> <td>網上</td> <td>% Min \$</td> <td></td> <td></td> </tr> </table>		港股 HK\$		環球證券 US\$		股票期權 HK\$		普通	% Min \$	普通	% Min \$	普通	% Min \$	即日	% Min \$	即日	% Min \$	網上	% Min \$	網上	% Min \$	網上	% Min \$		
		港股 HK\$		環球證券 US\$		股票期權 HK\$																					
		普通	% Min \$	普通	% Min \$	普通	% Min \$																				
		即日	% Min \$	即日	% Min \$	網上	% Min \$																				
		網上	% Min \$	網上	% Min \$																						
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		信貸限額 HK\$		US\$																							
		客戶號碼																									
開戶批核		密碼發送(港股)		密碼發送(股票期權)																							
批核人名稱		經手人		經手人																							
日期		日期		日期																							
資料輸入(港股)		資料核對(港股)		資料輸入(股票期權)		資料核對(股票期權)																					
日期		日期		日期		日期																					
資料輸入(環球股票)		資料核對(環球股票)		網上交易平台(環球股票)																							
日期		日期		日期																							
備註:																											

同名人士之 CE / Registration No.	同名人士所屬之持牌法團/註冊機構名稱	本人進一步確認本人並非為任何根據證券及期貨條例註冊持牌法團或銀行業條例之註冊機構之僱員	
		客戶簽署：	職員簽署：
		_____	_____
			職員姓名：
			_____
		_____年__月__日	_____年__月__日