

根據《證券及期貨條例》就第一類受規管活動獲發牌的持牌法團中央編號 BOA307。
A corporation licensed for Type 1 regulated activities under the Securities and Futures Ordinance with CE No. BOA307.

客戶資料表格 CLIENT INFORMATION FORM (個人 / 聯名帳戶 INDIVIDUAL/JOINT ACCOUNT)			
負責客戶主任姓名 Responsible AE		帳戶號碼 Account No.	
客戶主任編號 A E Code		申請開戶日期 Application Date	
與客戶主任認識年期 How long known to AE		戶口種類 Account Type	<input type="checkbox"/> 現金帳戶 Cash Account <input type="checkbox"/> 保證金帳戶 Margin Account
介紹人 Introduced By		帳戶形式 Account Nature	<input type="checkbox"/> 個人帳戶 Individual A/C <input type="checkbox"/> 聯名帳戶 Joint A/C
個人資料 Personal Information			
個人/聯名帳戶主要持有人資料 Individual/Primary Joint Account Holder		聯名帳戶第二戶口持有人資料 Secondary Joint Account Holder	
客戶姓名 Customer Name (先生 Mr. / 女士 Ms. / 太太 Mrs. / 小姐 Miss) (英文 English) _____ (中文 Chinese) _____ (先寫姓氏 Surname first)		客戶姓名 Customer Name (先生 Mr. / 女士 Ms. / 太太 Mrs. / 小姐 Miss) (英文 English) _____ (中文 Chinese) _____ (先寫姓氏 Surname first)	
住宅地址 Residential Address _____ _____ _____		住宅地址 Residential Address _____ _____ _____	
通訊地址 Correspondence Address (如與住宅地址不同 if different from residential address) _____ _____ _____		通訊地址 Correspondence Address (如與住宅地址不同 if different from residential address) _____ _____ _____	
身份證號碼 I.D. Card No.	簽發地點 Place of Issue	身份證號碼 I.D. Card No.	簽發地點 Place of Issue
護照號碼 Passport No.	簽發地點 Place of Issue	護照號碼 Passport No.	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)	
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	
住宅電話 Home Phone No		住宅電話 Home Phone No	
流動電話 Mobile Phone No		流動電話 Mobile Phone No	
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"/> 大專或以上 College or Above		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"/> 大專或以上 College or Above	

電郵地址 Email Address (最多 50 個字母 Max.50characters) (只須由個人/聯名帳戶主要持有人填寫 Individual/ Primary Joint A/C Holder Only)		與主要戶口持有人關係 Relationship with Primary A/C Holder <div> <input type="checkbox"/> 直系親屬 . 請註明 Immediate family, please specify _____ </div> <div> <input type="checkbox"/> 親戚 <input type="checkbox"/> 朋友 <input type="checkbox"/> 其他 Relative Friend Other _____ </div>	
交易確認及戶口結單透過以下方式發送(只選一項) Trading Confirmations and account statements will be sent by the following means (select one) <input type="checkbox"/> 電郵方式 By Email <input type="checkbox"/> 郵遞方式 By Post (將會收取行政費 Administrative Fee will be charged)			
結單語言 Statement Language <input type="checkbox"/> 英文 English <input type="checkbox"/> 繁體中文 Traditional Chinese <input type="checkbox"/> 簡體中文 Simplified Chinese			
客戶指定銀行帳戶資料 CLIENT DESIGNATED BANK ACCOUNT INFORMATION			
銀行帳戶 (只供存款用途) BANKING ACCOUNT (For fund deposit only) 除閣下另行指示外，任何支付予閣下的款項將會存入下列銀行帳戶： Unless otherwise to be instructed by you, all monies payable to you will be credited to the following bank account:			
貨幣 Currency	銀行名稱 Name of Bank	帳戶號碼 Account No.	帳戶持有人 Name of Account Holder
<input type="checkbox"/> 港幣(HKD)			
<input type="checkbox"/> 人民幣 (CNY)			
<input type="checkbox"/> 美元 (USD)			
銀行/分行地址 Bank/ Branch Address			
銀行代號 SWIFT Code		分行代號 Branch Code	
備註 Remarks			
業務/工作狀況 BUSINESS/ EMPLOYMENT STATUS			
個人/聯名帳戶主要持有人資料 Individual/Primary Joint Account Holder		聯名帳戶第二戶口持有人資料 Secondary Joint Account Holder	
<input type="checkbox"/> 全職 Full-time Employed <input type="checkbox"/> 兼職 Part-time Employed <input type="checkbox"/> 自僱 Self-Employed <input type="checkbox"/> 退休 Retired (下列不適用 please skip below) <input type="checkbox"/> 待業 Unemployed (下列不適用 Please skip below) <input type="checkbox"/> 其他 Other _____		<input type="checkbox"/> 全職 Full-time Employed <input type="checkbox"/> 兼職 Part-time Employed <input type="checkbox"/> 自僱 Self-Employed <input type="checkbox"/> 退休 Retired (下列不適用 please skip below) <input type="checkbox"/> 待業 Unemployed (下列不適用 Please skip below) <input type="checkbox"/> 其他 Other _____	
僱主名稱 Name of Employer		僱主名稱 Name of Employer	
職業/ 業務性質 Occupation/ Business Nature		職業/ 業務性質 Occupation/ Business Nature	
職位 Job Title		職位 Job Title	
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	
_____ _____ _____		_____ _____ _____	

財務狀況 FINANCIAL SITUATION			
個人/聯名帳戶主要持有人資料 Individual/Primary Joint Account Holder		聯名帳戶第二戶口持有人資料 Secondary Joint Account Holder	
持續財富來源 Ongoing Source(s) of Wealth	<input type="checkbox"/> 薪金及或花紅 Salary and / or Bonus <input type="checkbox"/> 儲蓄 Saving <input type="checkbox"/> 業務收益 Business Income <input type="checkbox"/> 租金收入 Rental Income <input type="checkbox"/> 投資回報 Return on Investment <input type="checkbox"/> 其他 Other: _____	持續財富來源 Ongoing Source(s) of Wealth	<input type="checkbox"/> 薪金及或花紅 Salary and / or Bonus <input type="checkbox"/> 儲蓄 Saving <input type="checkbox"/> 業務收益 Business Income <input type="checkbox"/> 租金收入 Rental Income <input type="checkbox"/> 投資回報 Return on Investment <input type="checkbox"/> 其他 Other: _____
資金類別 Asset Type	<input type="checkbox"/> 房地產 Land and Property <input type="checkbox"/> 現金/存款 Cash/ Deposit <input type="checkbox"/> 上市股票 Listed Stocks <input type="checkbox"/> 公司股份 Company Shares <input type="checkbox"/> 基金/債券 Funds/ Bonds <input type="checkbox"/> 其他 Other: _____	資金類別 Asset Type	<input type="checkbox"/> 房地產 Land and Property <input type="checkbox"/> 現金/存款 Cash/ Deposit <input type="checkbox"/> 上市股票 Listed Stocks <input type="checkbox"/> 公司股份 Company Shares <input type="checkbox"/> 基金/債券 Funds/ Bonds <input type="checkbox"/> 其他 Other: _____
估計資產淨值 (港幣) Estimated Asset Worth (HKD)	<input type="checkbox"/> <HKD200,000 <input type="checkbox"/> HKD200,001 – 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"/> 高於 Above HKD10,000,000	估計資產淨值 (港幣) Estimated Asset Worth (HKD)	<input type="checkbox"/> <HKD200,000 <input type="checkbox"/> HKD200,001 – 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"/> 高於 Above HKD10,000,000
全年收入 (港幣) Annual Income (HKD)	<input type="checkbox"/> <HKD200,000 <input type="checkbox"/> HKD200,001 – 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"/> 高於 Above HKD10,000,000	全年收入 (港幣) Annual Income (HKD)	<input type="checkbox"/> <HKD200,000 <input type="checkbox"/> HKD200,001 – 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"/> 高於 Above HKD10,000,000
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 Rental <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 Rental <input type="checkbox"/> 與家人同住 Living with Family
自住房屋按揭貸款及其他私人貸款 Home Mortgage Loan and Personal Loan	<input type="checkbox"/> 有 Yes (總額 Total: HK\$ _____) <input type="checkbox"/> 沒有 No	自住房屋按揭貸款及其他私人貸款 Home Mortgage Loan and Personal Loan	<input type="checkbox"/> 有 Yes (總額 Total: HK\$ _____) <input type="checkbox"/> 沒有 No
客戶是否曾宣佈破產? Have the client ever declared bankruptcy?	<input type="checkbox"/> 是 Yes(如是，請提供日期及詳情 If yes, please provide the date and detail) <input type="checkbox"/> 不是 No	客戶是否曾宣佈破產? Have the client ever declared bankruptcy?	<input type="checkbox"/> 是 Yes(如是，請提供日期及詳情 If yes, please provide the date and detail) <input type="checkbox"/> 不是 No
持續資金來源 ONGOING SOURCE(S) OF FUNDS			
資金轉移方式 Means of fund transfer(s) (可選多於一項) Investment Experience (Can choose more than one)	<input type="checkbox"/> 現金 Cash <input type="checkbox"/> 銀行轉賬 Bank Transfer <input type="checkbox"/> 電匯 Telegraphic Transfer <input type="checkbox"/> 支票 Cheque <input type="checkbox"/> 其他 Others _____		
資金來源地 Country(ies) of Origin(s)	<input type="checkbox"/> 香港 Hong Kong <input type="checkbox"/> 中國 China <input type="checkbox"/> 美國 United States <input type="checkbox"/> 其他 Others _____		
預計每月交易概況 ANTICIPATED LEVEL OF TRANSACTION PER MONTH SECTION			
預計投資產品 Anticipated Investment Products	<input type="checkbox"/> 證券 Stocks <input type="checkbox"/> 債券 Bonds <input type="checkbox"/> 基金 Fund <input type="checkbox"/> 其他衍生工具 Other Derivatives <input type="checkbox"/> 其他 Others _____		
預計每月交易次數 Anticipated number of transactions per month	<input type="checkbox"/> <20 <input type="checkbox"/> 20-50 <input type="checkbox"/> >50 <input type="checkbox"/> 其他 Others _____		
預計每月交易金額 Anticipated amount of transactions per month	<input type="checkbox"/> <HKD500,000 <input type="checkbox"/> HKD500,001-HKD2,000,000 <input type="checkbox"/> HKD2,000,001-HKD5,000,000 <input type="checkbox"/> > HKD5,000,000		

投資經驗及目標 INVESTMENT EXPERIENCE AND OBJECTIVES	
如屬聯名戶口，需由主要戶口持有人填寫(For Joint account, this section should be completed by the Primary Account Holder)	
投資知識 Investment Knowledge	<input type="checkbox"/> 精通 Excellent <input type="checkbox"/> 良好 Good <input type="checkbox"/> 較好 Some <input type="checkbox"/> 有限 Limited <input type="checkbox"/> 全無 None
投資經驗 (可選多於一項) Investment Experience (Can choose more than one)	<div> <input type="checkbox"/> 上市證券 Listed Securities 年數 Years() </div> <div> <input type="checkbox"/> 期貨或期權 Futures or Options 年數 Years() </div> <div> <input type="checkbox"/> 牛熊證/衍生權證窩輪 CBBC/ Derivative Warrants 年數 Years() </div> <div> <input type="checkbox"/> 創業板 Growth Enterprise Market (GEM) 年數 Years() </div> <div> <input type="checkbox"/> 槓桿式外匯 Leveraged Foreign Exchange 年數 Years() </div> <div> <input type="checkbox"/> 單位信託基金或債券 Unit Trust or Bonds 年數 Years() </div> <div> <input type="checkbox"/> 結構性產品 Structured Product 年數 Years() </div> <div> <input type="checkbox"/> 沒有 None </div>
投資目標 Investment Objectives	<div> <input type="checkbox"/> 平穩增長 Stable Growth <input type="checkbox"/> 高速增長 High Growth <input type="checkbox"/> 股息收入 Dividend Income <input type="checkbox"/> 投機 Speculation <input type="checkbox"/> 對沖 Hedging </div> <div> <input type="checkbox"/> 其他 . 請說明 Others, please specify : _____ </div>
目標投資時間 Target Investment Period	<div> <input type="checkbox"/> 短線 Short Term (1-6 個月 months) <input type="checkbox"/> 中線 Medium (6-12 個月 months) <input type="checkbox"/> 長線 Long Term (1年以上 over 1 year) </div>
客戶對衍生產品的認識 CLIENT'S KNOWLEDGE OF DERIVATIVE PRODUCTS	
如屬聯名戶口，需由主要戶口持有人填寫(For Joint account, this section should be completed by the Primary Account Holder)	
<input type="checkbox"/> 本人經以下途徑了解衍生產品的性質和風險 I understand the nature and risks of derivative products by : <div> <input type="checkbox"/> 本人已接受有關介紹一般衍生產品及 / 或結構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 and/or structured products that provide general knowledge of the nature and risks of derivatives. (e.g. course offered by academic or financial institutions) 修讀課程或培訓的名稱 _____ 日期 _____ Name of course/seminars _____ Date : _____ </div> <div> <input type="checkbox"/> 本人現時或過去擁有與衍生產品及/或結構性產品的有關的工作經驗。 I have current or previous work experience related to derivative and/or structured products. 僱主名稱 _____ Name of Employer _____ 在職日期 _____ 職業 _____ Employment Period 由 From _____ 至 To _____ Occupation _____ </div> <div> <input type="checkbox"/> 在過去3年中，本人曾執行過5宗或以上有關衍生產品及 / 或結構性產品的交易。 In the past 3 years, I have executed 5 or more transactions relating to derivative and/or structured products. <div> <input type="checkbox"/> 牛熊證 Callable Bull/ Bear Contracts <input type="checkbox"/> 衍生認股證 Derivative warrants <input type="checkbox"/> 期貨或期權合約交易 Futures & Options Contracts <input type="checkbox"/> 合成交易所買賣基金 Synthetic Exchange Trade Funds (ETD) <input type="checkbox"/> 股票掛鈎產品 Equity Linked Instruments <input type="checkbox"/> 其他 Others _____ </div> </div> <div> <input type="checkbox"/> 本人對衍生產品沒有認識 I DO NOT have any knowledge if derivative products. </div>	
可承受風險 RISK TOLERANCE (客戶投資意向，只填選一項 Please tick below one item if you have an interest in trading)	
*證券保證金買賣賬戶屬於“中等風險”及/或“高風險”類別 Securities Margin Account belongs to Medium and/or High risk categories.	
<input type="checkbox"/> 高 High	衍生權證 (窩輪) / 牛熊證 Derivative Warrants/ CBBC 交易所買賣基金 / 信託基金 ETF/ Trust 創業板 GEM 主板 Main Board
<input type="checkbox"/> 中 Medium	交易所買賣基金 / 信託基金 ETF/ Trust 創業板 GEM 主板 Main Board
<input type="checkbox"/> 低 Low	主板 Main Board
評估結果 (只供本公司使用) Assessment Result (For Official Use Only)	<div> <input type="checkbox"/> 對衍生產品有認識 With knowledge of derivatives <input type="checkbox"/> 對衍生產品沒有認識 Without knowledge of derivatives </div> <div> <input type="checkbox"/> 客戶已明白衍生產品所附帶的相關風險，並有意進行衍生產品交易 Client has fully understood the relevant risks of the derivative product(s) </div>

客戶聲明 DECLARATION BY CUSTOMER

1. 閣下(及/或聯名賬戶第二持有人)是否此賬戶之最終實益擁有人? (即閣下是否為本身而非第三方運作此賬戶?)
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?)
☐ 是 Yes
☐ 否 . 請提供賬戶之最終實益人的詳細資料 No, please provide details of the ultimate beneficial owner(s)
(恒富證券有限公司在一般情況下並不接受申請人並非其戶口之最終受益人 Normally Hengfu Securities Limited would not accept the Applicant who is not the ultimate beneficial owner(s))
姓名 _____ 身份證/護照號碼 _____ 國籍 _____
Name _____ ID/Passport NO. _____ Nationality _____
地址 _____
Address _____
2. 閣下(及/或聯名賬戶第二持有人)是否為證券及期貨事務監察委員會的持牌/註冊證券或期貨從業員, 或其持牌/註冊機構(如經紀行/銀行等)之僱員?
Are you (and/or the Secondary Joint Account Holder) a licensed/ registered securities or commodities professional, or an employee of a licensed/ registered person (e.g. employee of a brokerage firm / bank, etc.) with the Securities and Futures Commission?
☐ 否 No
☐ 是 Yes (請提供以下資料及你僱主的書面同意 Please provide the follow information and your employer's consent letter)
有關的交易所或註冊人的姓名是 _____
The name of the related exchange participant or register person is _____
閣下之牌照編號 _____
Your License No _____
* 客戶承諾若其受聘於任何持牌或註冊人士以進行證券及期貨條例所指的受規管活動, 會儘快通知本公司。
* The Client undertakes to promptly notify the Company if the Client becomes employed by any licensed or registered person to carry on regulated activities within the meaning of the Securities and Futures Ordinance.
3. 閣下(及/或聯名賬戶第二持有人) 是否為任何其股份在任何交易所或市場買賣的上市公司的高級管理人員或董事?
Are you (and/or the Secondary Joint Account Holder) a senior officer or director of any listed company whose shares are traded on any exchange or market?
If YES, please specify the company name(s) and stock code(s):
☐ 否 No
☐ 是 Yes (請提供以下資料 Please provide details below)
公司名稱 _____ 股份代號 _____
Company name _____ Stock code: _____
4. 閣下(及/或聯名賬戶第二持有人)是否與恒富證券有限公司或其聯繫人士之僱員或董事有親屬關係?
Are you (and/or the Secondary Joint Account Holder) a relative to any employee or director of Hengfu SECURITIES LIMITED or its Associates? ☐
否 No
☐ 是 Yes (請提供以下資料 Please provide details below)
僱員/董事姓名 _____ 關係 _____
Name of employee/ director _____ Relationship _____
5. 閣下(及/或聯名賬戶第二持有人) 是否為恒富證券有限公司其他客戶的配偶/子女?
Are you (and/or the Secondary Joint Account Holder) a spouse/child of another person who maintains an account with Hengfu SECURITIES LIMITED? ☐
否 No
☐ 是 Yes (請提供以下資料 Please provide details below)
姓名 _____ 賬戶號碼 _____ 關係 _____
Name _____ Account No. _____ Relationship _____
6. 閣下(及/或聯名賬戶第二持有人)是否與閣下(及/或聯名賬戶第二持有人)之配偶共同控制任何與恒富證券有限公司開立之公司保證金客戶35%或以上的投票權?
Are you (and/or the Secondary Joint Account Holder), either alone or with your (and/or the Secondary Joint Account Holder)'s spouse, in control of 35% or more of the voting rights of any corporate Margin Account holder of Hengfu SECURITIES LIMITED?
☐ 否 No
☐ 是 Yes (請提供以下資料 Please provide details below)
受控制客戶名稱 _____ 帳戶號碼: _____
Name of the controlled client: _____ Account No. _____

電子交易服務 ELECTRONIC TRADING SERVICES

閣下是否需要電子交易服務？ Do you need Electronic Trading Services?

- ☐ 否 No
- ☐ 是 Yes 請為我提供電子服務。我/我們已經閱讀並明白電子交易協議的條款，並接受這些條款的約束。
Please provide Electronic Trading Services for me/us. I/We have read and understand the provisions of the Electronic Trading Agreement and agree to be bound by same.

聯名賬戶指示安排 INSTRUCTION ARRANGEMENT FOR JOINT ACCOUNT (只適用於聯名賬戶 For Joint Account Only)

此賬戶可根據以下指示方式發出買賣、交收或取消賬戶的指令 (請在適當方格加上「√」號)

The Account can be operated for trading or settlement or can be closed on the instruction of (please tick the appropriate box):

- ☐ 任何一位賬戶持有人的指示 Either one of the account holder
- ☐ 所有賬戶持有人的指示 All account holders
- ☐ 指定一個賬戶持有人的指示 Designated account holder _____

供直接促銷使用的個人資料 USE OF PERSONAL DATA FOR DIRECT MARKETING

《個人資料私隱政策》本人 / 吾等已仔細閱讀、完全理解並同意接受及遵守恒富證券有限公司之個人資料私隱政策所載有關個人資料 (「私隱」) 條例 (香港法例第486章) 的通知及聲明。除非本人 / 吾等在下方方格內另有指示，本人 / 吾等同意將本人 / 吾等的個人資料用作直接促銷用途。
Data Privacy Policy: I/We have carefully read, fully understood and agreed to accept and be bound by the notice and statement relating to the Personal Data (Privacy) Ordinance (Cap.486 of the Laws of Hong Kong) as set out in the Data Privacy Policy of the Hengfu Securities Limited. Unless I/we have indicated my/our objection by ticking the boxes below, I/We hereby consent to the use of my/our personal data for direct marketing purpose.

- ☐ 除了恒富證券有限公司可將本人的個人資料作直接促銷用途外，本人 / 吾等反對貴公司將本人 / 吾等的個人資料予其他第三者作直接促銷用途。
I/We object to the proposed use of my/our personal data by other third parties except for the use of my/our personal data in direct marketing by Hengfu Securities Limited in direct marketing.
- ☐ 本人 / 吾等反對將本人 / 吾等的個人資料提供予恒富證券有限公司及任何第三者作直接促銷用途。
I/We object to the proposed use of my/our personal data by Hengfu Securities Limited and any third parties in direct marketing.

美國《海外賬戶稅收合規法案》 FOREIGN ACCOUNT TAX COMPLIANCE ACT ("FATCA")

免責聲明 Disclaimer

賬戶持有人如要瞭解 FATCA 法案詳情，閣下可參閱美國國家稅務局網站 (<http://www.irs.gov/>) 資訊。

The account holder is advised to refer to the US IRS website (<http://www.irs.gov/>) for details in respect of FATCA.

賬戶持有人應對其確認的 FATCA 身份及在本文件內提供的其他信息承擔全部責任。

The account holder shall be fully responsible for the confirmation of his/her/its FATCA status and other information submitted hereunder.

賬戶持有人應確保於本表格內所填報的所有資料和聲明真實、正確和完備。恒富證券有限公司不對該等資料和聲明的任何錯誤或導致的任何損失承擔任何責任。

The account holder shall ensure the information given and statements made in this form are true, correct and complete, Hengfu Securities Limited shall not be liable for any errors or loss that results from such information and statements.

恒富證券有限公司不能向賬戶持有人提供任何稅務及法律意見。如有相關疑問，請賬戶持有人聯絡其稅務及法律顧問。

Hengfu Securities Limited is unable to offer any tax or legal advice to the account holder. For any related question, the account holder is advised to consult his/her/its tax and legal advisors.

Please tick either (1) or (2) or (3) and complete as appropriate: 請在下列其中一個方格內加上「√」號

- ☐ 本人確認，本人就課稅目的而言並非美國人。(請提交表格 W-8BEN)
I confirm that I am not a U.S. person in the U.S. for tax purposes. (Please submit form W-8BEN)
- ☐ 本人確認，本人就課稅目的而言為美國人 (綠卡持有人或根據實質居留測試被定性為居民)。
I confirm that I am a U.S. person in the U.S. for tax purposes (Green Card Holder or resident under the substantial presence test)
(恒富證券並不接受申請人是美國公民 Hengfu Securities would not accept the Applicant who is citizens or residents of the USA)
- ☐ 本人確認，本人在美國 (或美國境內) 出生但不再屬於美國公民，原因是本人自願放棄本人的公民身份，並以美國「喪失原有國籍證明」為憑證。
I confirm that I was born in the U.S. (or U.S. territory) but am no longer a U.S. citizen as I have voluntarily surrendered my citizenship as evidenced by the Certificate of Loss of Nationality of the United States.

如就任何曆年有下列情況，一般即屬已通過實質居留測試：(a) 該名個人在該年度內在美國居留至少 31 天；及 (b) 該名個人在該年度內在美國居留的天數，與其在前一年度內居留天數的三分之一及再前一個年度內居留天數的六分之一的總和，相等於或超過 183 天。

The substantial presence test is generally met with respect to any calendar year if (a) the individual is present in the U.S. at least 31 days during such year and (b) the sum of the number of days in which such individual is present in the U.S. during such year, 1/3 of the number of such days during the first preceding year, and 1/6 of the number of such days during the second preceding year, equals or exceeds 183 days.

CERTIFICATION 聲明

本人同意恒富證券有限公司可向本地及海外監管機構或稅務機構披露、呈交或提供本人的資料以確立本人於任何司法管轄區的稅務責任。本人在此聲明本人已查閱此聲明之內容，並盡本人所知及確信，聲明內容均屬真實、正確及完整。本人同意如以上聲明有變更，將於 30 日內通知貴公司。

I hereby consent for Hengfu Securities Limited to disclose, report or share my relevant information with local and overseas regulators or tax authorities where necessary to establish my tax liability in any jurisdiction. I declare that I have examined the information on this self-certification and to the best of my knowledge and belief, it is true, correct and complete. I will inform your company within 30 days if any information herein becomes incorrect.

自動交換財務帳戶資料 - 居留司法管轄區及稅務編號或具有等同功能的識別編號（以下簡稱「稅務編號」）*
 AEOI - Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN")*
 (對於聯名賬戶，每名個人賬戶持有人須分別填寫一份表格 For Joint account holders, complete a separate form for each individual account holder.)

請提供以下資料，列明 (a) 賬戶持有人的居留司法管轄區，亦即賬戶持有人的稅務管轄區（香港包括在內）；(b) 該居留司法管轄區發給賬戶持有人的稅務編號。列出所有（不限於 3 個）居留司法管轄區。

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes; and (b) the account holder's TIN for each jurisdiction. Indicate all (not restricted to three) jurisdictions of residence

居留司法管轄區 Jurisdiction of Residence	稅務編號 TIN	沒有稅務編號理由 No TIN Reason	選取理由 B 的原因及解釋 Explanation of Reason B Selected
(1)		理由 Reason: <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
(2)		理由 Reason: <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
(3)		理由 Reason: <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	

如賬戶持有人為香港或國內稅務居民，稅務編號為其身份證號碼。

If the account holder is a tax resident of Hong Kong or Mainland China, the TIN is the Identity Card Number.

- 理由 A Reason A - 賬戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。
 The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.
- 理由 B Reason B - 賬戶持有人不能取得稅務編號。如選取這一理由，解釋賬戶持有人不能取得稅務編號的原因。
 The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.
- 理由 C Reason C - 賬戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要賬戶持有人披露稅務編號。
 TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

聲明及簽署 Declarations and Signature

本人知悉及同意，恒富證券有限公司可根據《稅務條例》（第 112 章）有關交換財務帳戶資料的法律條文，(a) 收集本表格所載資料並可備存作自動交換財務帳戶資料用途；及 (b) 把該等資料和關於賬戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到賬戶持有人的居留司法管轄區的稅務當局。

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by Hengfu Securities Limited for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the Company to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

在不抵觸當地適用法律的情況下，本人同意恒富證券有限公司在必要情況下可向國內及海外的監管機構或稅務機關提供本人的個人資料以確立本人於任何司法管轄區的稅務責任。因應國內或海外的監管機構或稅務機關要求，本人准許並同意恒富證券有限公司可按適用的法律、法規和指令，在本人賬戶中預扣所須款項。

Subject to applicable local laws, I hereby give my consent to Hengfu Securities Limited for sharing my information with domestic and overseas regulators or tax authorities where necessary to establish my tax liability in any jurisdiction. Where required by domestic or overseas regulators or tax authorities, I consent and agree that Hengfu Securities Limited may withhold from my account(s) such amount as may be required according to applicable laws, regulations and directives.

本人證明，就與本表格所有相關的賬戶，本人是賬戶持有人。本人承諾，如任何資料有任何變更，或如情況有所改變，以致影響本表格所述的個人的稅務居民身分，或引致本表格所載的資料不正確，本人會通知恒富證券有限公司，並會在情況發生改變後或資料變更後之 30 日內，向恒富證券有限公司提交一份已適當更新的自我證明表格。

I certify that I am the account holder of all the account(s) to which this form relates. I undertake to advise Hengfu Securities Limited of any change in any information or any circumstances which affects the tax residency status of the individual identified in this form or causes the information contained herein to become incorrect, and to provide Hengfu Securities Limited with a suitably updated self-certification form within 30 days of such change in circumstances or information.

本人聲明就本人所知所信，本表格內所填報的所有資料和聲明均屬真實、正確和完備。

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

客戶簽署 Client Signature

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客戶名稱

Name of Client

日期

Date

警告：根據《稅務條例》第 80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級（即 \$10,000）罰款。

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000)

防止洗黑錢及防止恐怖份子籌資活動問卷

ANTI-MONEY LAUNDERING & ANTI-TERRORIST FINANCING QUESTIONNAIRE

1. 閣下居住的國家是否財務行動特別組織的成員？(財務行動特別組織成員包括：阿根廷、澳大利亞、奧地利、比利時、巴西、加拿大、中國、丹麥、芬蘭、法國、德國、希臘、香港、冰島、印度、愛爾蘭、以色列、意大利、日本、韓國、盧森堡、馬來西亞、墨西哥、荷蘭、紐西蘭、挪威、葡萄牙、俄羅斯聯邦、沙特阿拉伯、新加坡、南非、西班牙、瑞典、瑞士、土耳其、英國、美國、歐洲委員會及海峽合作理事會) Is the country that you located is a member of the Financial Action Task Force ("FATF")? (Members of FATF include: Argentina, Australia, Austria, Belgium, Brazil, Canada, China, Denmark, Finland, France, Germany, Greece, Hong Kong, Iceland, India, Ireland, Israel, Italy, Japan, Korea, Luxembourg, Malaysia, Mexico, Netherlands, New Zealand, Norway, Portugal, Russian Federation, Saudi Arabia, Singapore, South Africa, Spain, Sweden, Switzerland, Turkey, United Kingdom USA, European Commission, and the Gulf Cooperation Council)
最新財務行動特別組織成員 Updated List for Members of FATF <http://www.fatf-gafi.org/countries/#FATF>
☐ 是 Yes ☐ 否，請於下方詳述 No, please elaborate below

2. 閣下居住的國家是否已有現行的法律或條例以制止洗黑錢的活動？
Are you located in a country with established laws/ regulations designed to prevent money laundering?
☐ 是 Yes ☐ 否，請於下方詳述 No, please elaborate below

3. 閣下是否就反洗黑錢條例或反恐怖份子籌資活動條例維持著“無罪紀錄”？
Have you maintained a "no conviction record" for anti-money laundering or anti-terrorist financing legislation?
☐ 是 Yes ☐ 否，請於下方詳述 No, please elaborate below

4. 閣下並沒有與政界人士有聯繫？(政界人士：指目前或以往曾經擔任重要公職的人士，如國家或政府的首長，資深政客，政府高級官員和重要政黨官員等)
Are you not linked to politically exposed persons? (Politically exposed person - individual who is or has been entrusted with prominent public function, e.g. head of state/government, senior politician, senior executive of government-owned corporation, important political party official, etc.)
☐ 是 Yes ☐ 否，請於下方詳述 No, please elaborate below

5. 閣下的業務性質並不是特別容易蒙受較高的洗黑錢風險？(舉例：如會接觸大量現金往來，找換業或博彩業)
Is the nature of your business not particularly susceptible to money laundering risk? (For example, money changer or casino business that handles large amount of cash)
☐ 是 Yes ☐ 否，請於下方詳述 No, please elaborate below

6. 閣下的金錢來源並不是源於或涉及非法所得？
Does your money might not be arising from or related to proceeds of crimes?
☐ 是 Yes ☐ 否，請於下方詳述 No, please elaborate below

如閣下的業務涉及處理第三者的資產(如基金經理，股票經紀)，請回答以下的問題。

For client whose business involves handling third party assets (e.g. fund manager, stockbrokers), please answer the following questions.

1. 閣下(包括外國的分行及子公司)是否已制訂書面政策，並執行內部程序和管理，以打擊洗黑錢的活動？
Do you (including foreign branches and subsidiaries, if any) have established written policies and implemented internal procedures and controls to combat money laundering?
☐ 是 Yes ☐ 否，請於下方詳述 No, please elaborate below

2. 閣下所屬的機構，就舉報可疑的活動和交易是否已確立程序向適當的監控組織報告？
Are there documented procedures of your institution for reporting suspicious activities and transactions to the appropriate authorities?
☐ 是 Yes ☐ 否，請於下方詳述 No, please elaborate below

3. 閣下所屬的機構有否已制訂政策與程序，確保已採用合理方法去取得客戶真正身份的資料，並將有關資料於適用的法律所規定時限內予以保留？
Has your institution established policies and procedures to ensure that reasonable measures are taken to obtain information about the true identity of its customers, and are these records retained for a period of time specified by the applicable law?
☐ 是 Yes ☐ 否，請於下方詳述 No, please elaborate below

客戶簽署 Client Signature

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客戶名稱

Name of Client _____

日期

Date _____

客戶確認及聲明 ACKNOWLEDGEMENT AND DECLARATION BY CUSTOMER

本人/吾等聲明及確認 I/We declare and acknowledge that:

1. 本人/吾等(簽署本開戶表格)同意於恒富證券有限公司開立上述賬戶。
I/We, who sign this Account Opening Form, agree to open the above account(s) with Hengfu Securities Limited
2. 本人/吾等已閱讀及完全明白本合約之條款及細則以及相關的風險披露聲明書。
I/We have read and fully understood the Terms and Conditions of the Client Agreement and relevant Risk Disclosure Statement.
3. 本人/吾等已收悉本客戶協議之條款及細則、風險披露聲明書(見客戶協議之附件六)及關於個人資料(私隱)政策的通知(見客戶協議之附件四)之副本及已獲邀閱讀、提出問題及徵求獨立意見(如本人/吾等有此意願)。
I/We have received the copies of the Terms and Conditions of the Agreement, Risk Disclosure Statement and Notice of to Personal Data (Privacy) Policy and was/were invited to read, ask questions and take independent advice if I/we wish.
4. 本人/吾等確認本表格所填資料屬真實、完整及正確。並已閱讀和完全明白《客戶協議書》的條款及條件所載的條文。及接受並同意受該等文件的約束。本人/吾等明白若恒富證券有限公司發現任何刻意隱瞞之事實。恒富證券有限公司將保留取消此申請之權利。除非恒富證券有限公司收到資料更改的書面通知。恒富證券有限公司有權為任何目的信賴這些資料。
I/We confirm that the information in this Form is true, complete and correct, and I/We have read and fully understood all provisions in the Terms and Conditions of the Client Agreement, and accept and agree to be bound thereby. Hengfu Securities Limited reserves the right to cancel my application at any time if the information given in the application is found to be untrue. Hengfu Securities Limited are entitled to rely fully on such information for all purposes, unless Hengfu Securities Limited receives notice in writing of any changes.
5. 本人/吾等明白恒富證券有限公司將會根據以上資料來評核本人是否對衍生產品有認識。
I/We understand that Hengfu Securities Limited will rely on the above information to assess whether I have acquired the knowledge of derivative products
6. 如本人/吾等被歸類為「對衍生產品沒有認識」。本人/吾等進一步確認已仔細閱讀在《客戶協議書》所載風險披露聲明所列明的有關投資衍生產品所涉及的風險。並完全明白其中所述之相關風險。儘管本人/吾等可能並沒有相關衍生產品交易經驗。本人/吾等可能基於獨立判斷仍要求進行衍生產品交易。本人/吾等願意承擔所有相關衍生產品風險。
If I/We categorized as "without knowledge of derivatives", I/We further acknowledge that I/We have carefully read the relevant risks associated with investing in derivative products of the Risk Disclosure Statement in the Client Agreement and fully understood the relevant risks herewith. Although I/We might not have relevant derivatives product(s) trading experience, I/We may still base on my own independent judgement to request for entering into transaction(s) of derivatives product(s) and would take all risks associated.
7. 據本人/吾等所知。並沒有任何針對本人/吾等的破產的法律程序正在進行。
I/We not a bankrupt person and I/We not aware of any legal proceedings which have been started against me for bankruptcy.
8. 如果上述資料有任何變更。本人/吾等確保會於30 日內通知恒富證券有限公司。
I/We undertake to notify Hengfu Securities Limited within 30 days if any change of the above information.
9. (只適用於保證金戶口)本人/吾等已要求恒富證券有限公司根據業務條款提供予本人/吾等保證金融資或根據業務條款提供託管服務。本人/吾等理解及確認:(a)本人/吾等將就該等服務獲提供常設授權;(b)現時無任何法例規定本人/吾等必須簽署此常設授權。然而恒富證券有限公司可能需要此授權。以便例如向本人/吾等提供保證金貸款或獲許將有關本人/吾等的證券或證券抵押品借出予第三方或作為抵押品存放於第三方;及(c)倘本人/吾等未按照恒富證券有限公司規定的形式提供常設授權,恒富證券有限公司可能拒絕向本人/吾等提供該等服務。
(Applicable to Margin Accounts only) I/We have requested Hengfu Securities Limited to provide me/us with Margin financing pursuant to the Terms of Business or custody services pursuant to the Terms of Business. I/We understand and acknowledge that: (a)I/we will be provided with a Standing Authority in relation to such services; (b)I/we are not required by any law to sign the Standing Authority but it may be required by Hengfu Securities Limited, for example, to facilitate Margin lending to me/us or to allow my/our securities or securities collateral to be lent to or deposited as collateral with third parties; and (c) Hengfu Securities Limited may refuse to provide me/us with such services if I/we do not provide a Standing Authority in the form prescribed by Hengfu Securities Limited.
10. 本人/吾等承認及確認該開戶申請表按本人/吾等所選擇的語言(英文或中文)提供予本人/吾等。該開戶申請表中英文版本如有不一致之處。應以英文文本為準。
I/We acknowledge and confirm that this Account Application Form was provided to me/us in either, at my/our choice, English or Chinese. In the event of any inconsistency between the English and Chinese versions of this Account Application Form, the English version will prevail.

客戶簽署 CLIENT'S SIGNATURE

個人/聯名帳戶主要持有人資料 Individual/Primary Joint Account Holder	聯名帳戶第二戶口持有人資料 Secondary Joint Account Holder
貶	貶
客戶簽署 Client Signature	客戶簽署 Client Signature
客戶姓名 Name of Client	客戶姓名 Name of Client
日期 Date	日期 Date

見證人簽署 Witness Signature

在場見證 In the presence of :

本人(姓名及簽署見下)證明 . 本人已會晤及認定簽立本表格的每位人士 . 並已審核有關的身份證明文件正本。

I (Name stated and signed below) certify that I have met and identified each of the person(s) who executed this form before me, and reviewed the original of the relevant identity documents).

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見證人簽署 Witness Signature

見證人姓名

Name of Witness

身份證/護照號碼

ID Card/ Passport No

見證人身份 Capacity of the Witness:

☐ 恒富證券有限公司之持牌人士 licensed person of PSL 持牌人的中央編號 CE Number of licensed person _____

由下列並非恒富證券有限公司之持牌人的人士證明 Certified by the following person who is not a licensed person of PSL*

☐ 獲證監會發牌或註冊人士 Person licensed or registered with SFC

☐ 太平紳士 Justice of the Peace

☐ 專業人士(例如銀行分行經理、執業會計師、律師或公證人) Professional person (such as a branch manager of a bank, certified public accountant, lawyer or notary public)

持牌代表聲明 Declaration by Licensed Representative

本人(姓名見下) . 為恒富證券有限公司之持牌人士 . 謹此聲明 . 本人 :

I, named below, a licensed staff member of Hengfu Securities Limited, hereby declare that I have

☐ 已按客戶選擇的語言(英文或中文)提供客戶風險披露聲明及已邀請客戶細閱該風險披露聲明 . 提出問題及徵求獨立意見(如客戶有此意願)。
Provided the Risk Disclosure Statements to the Client in a language of his/her choice (English or Chinese) and have invited him/her to read the Risk Disclosure Statements carefully, ask questions and take independent advice if he/she wish(es)

☐ 已向客戶解釋 . 如客戶現時受僱於任何香港持牌法團或註冊機構從事該條例界定的受規管活動; 客戶須向恒富提供其僱主所發出的同意書以支持客戶的申請方可於恒富開立帳戶。
Invited the Client to read the risk disclosure statement, ask questions and take independent advice if the Client wishes.

☐ 已見證及驗證客戶之簽署及有關其身份證明文件之正本
Have witness the Signature and inspected the original identity documents of the client.

貶

持牌人簽署

Licensed Person Signature

持牌人姓名 Licensed Person Name: _____

持牌編號 CE No.

日期 Date

風險披露途徑 Risk Disclosed By

☐ 面對面 Face-to-Face

☐ 電話 Telephone (電話錄音號碼 Recorded Line No. _____)

日期 Date: _____

時間 Time: _____

AML 風險級別

AML Risk Category

☐ 低 Low

☐ 中 Medium

☐ 高 High

核准及接納 Approved and accepted by

For and on behalf of

Hengfu SECURITIES LIMITED Acknowledges and agrees 代

表恒富證券有限公司確認並同意

獲授權人姓名:

Full Name of Authorised Person: : _____

獲授權人簽名 Authorised Signature(s)

日期 Date :

個人/聯名戶口開戶核對表(內部使用) Individual / Joint account opening checklist (Internal use)

港元佣金(%) HKDCommission(%)	港元最低佣金 HKD Minimum Commission
美元佣金(%) USDCommission(%)	美元最低佣金 USD Minimum Commission
人民幣佣金(%) RMB Commission(%)	人民幣最低佣金 RMB Minimum Commission
經紀號碼 AE Code	經紀回佣 (%) AE Rebate Rate(%)
交易限額 (T+2) Trading Limit	信貸限額 (保證金賬戶適用) Credit Limit (Margin A/C Only)
利率 Interest Rate (%)	

身份證明文件Identity Documents	Check
1. 身份證或護照副本 I.D. Card/ Passport Copy	<input type="checkbox"/>
2. 住宅地址證明 Residential Address Proof	<input type="checkbox"/>
3. 通訊地址證明 Correspondence Address Proof	<input type="checkbox"/>
開戶文件Account Opening Documents	Check
1. 客戶資料表 Client Information form	<input type="checkbox"/>
2. W8BEN	<input type="checkbox"/>
3. 客戶證券常設授權 (只適用於孖展帳戶) Client Securities Standing Authority (for Margin Accounts only)	<input type="checkbox"/>
4. 常設授權 (貨幣兌換) (如需要)	<input type="checkbox"/>
5. _____	<input type="checkbox"/>
6. _____	<input type="checkbox"/>
7. _____	<input type="checkbox"/>
8. _____	<input type="checkbox"/>
個人信貸審查Checking	Check
1. HKMA	<input type="checkbox"/>
2. SFC	<input type="checkbox"/>
3. PEP	<input type="checkbox"/>
備註Remarks	

Prepared By	Checked By	Approved By	Data Input By	Data Input Check By
Date:	Date:	Date:	Date:	Date:
帳戶生效日期(日/月/年) Account Activation Date (DD/MM/YY) _____ Welcome Letter Sent out by _____ Date: _____				