

滙生證券有限公司 (中央編號：AUH729)
WILSON SECURITIES LIMITED (CE Number: AUH729)

辦事處地址：香港九龍尖沙咀東麼地道 67 號半島中心 11 樓 19 室
Office Address: Unit 19, 11/F, Peninsula Centre, 67 Mody Road, TST East, Kowloon, Hong Kong
電話號碼 Telephone No.: (852) 3907 0530 傳真號碼 Facsimile No.: (852) 3743 1448
Wilson Securities Limited is a licensed Corporation for Types 1 and 4 regulated activities under the Securities and Futures Ordinance.
滙生證券有限公司為一家根據《證券及期貨條例》獲發牌進行第 1 及第 4 類受規管活動的持牌法團。

Account Opening Information Form

開戶資料表

(Individual / Joint Account) (個人/聯名戶口)		<u>For official use only</u> 只供本行使用
Please select the type of account 請選擇戶口類別		Account No. 戶口號碼：
<input type="checkbox"/> Cash Securities Trading 現金證券買賣戶 <input type="checkbox"/> Online Services 網上服務		Date Opened 開戶日期：
Client Information 客戶個人資料		
Name of client (English 英文) 客戶姓名 (Chinese 中文)		
I.D. / Passport No. 身份證號碼/護照號碼： _____		Nationality / Date of Birth 國籍 / 出生日期： _____
U.S. Tax Resident 美國納稅居民 <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否		U.S. Green Card Holder 美國綠卡持有人 <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
Residential Address 住宅地址： _____		
Tel. No.: _____ 電話號碼： _____		(Residential 住宅) Email Address (Mobile 手提) 電郵地址： _____
Name of Employer 僱主名稱： _____		
Employer Address 僱主地址： _____		
Business Tel. No.: _____ 工作電話號碼： _____		Occupation / Nature of Business: 職業/業務性質： _____
Position Held: 職位： _____		Year of Service: 服務年期： _____
All correspondence of the account including statements, confirmations, notices, contracts etc to be mailed to: 請將上述帳戶之信件，包括結算單、確認書、通知書及契約書等發送至：		
<input type="checkbox"/> Residential address 住宅地址 <input type="checkbox"/> Business address 工作地址 <input type="checkbox"/> Email address 電郵地址 <input type="checkbox"/> Other address, please specify (其他地址，請說明)		
Nominated Bank Account 指定銀行戶口		
Please nominate the bank account you wish to use for fund deposit (the account must be your name) 請指示銀行戶口以供入數之用(必須與客戶名稱相同)		
Bank Name 銀行名稱： Account Number 戶口號碼：		

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Client Financial Position 客戶財政狀況

Annual Income 每年收入：

Income Source 收入來源：(Can choose more than one item 可選擇多於一項)

- Salary / Commission 薪金/佣金 Rent 租金 Dividend / Interest 股息/利息 Business Profit 營業利潤
 Others (please specify) 其他(請列明)：_____

Estimated Total Amount (in HKD) 估計總金額(港幣計)：

- Below 少於\$120,000 \$120,000~\$360,000 \$360,001~\$600,000 \$600,001~\$1,200,000 Above 多於\$1,200,000

Asset Net Worth 資產淨值：

Asset Class 資產類別：(Can choose more than one item 可選擇多於一項)

- Property 房產 Cash / Deposit 現金/存款 Valuable Stock 有價證券
 Others (please specify) 其他(請列明)：_____

Approximate Total Net Worth (in HKD) 概算總淨值：

- Below 少於\$100,000 \$100,000~\$300,000 \$300,001~\$500,000 \$500,001~\$1,000,000 Above 多於\$1,000,000

Investment Experience 投資經驗

- Nil 無 Warrants 認股證_____year 年
 HK listed Stock 香港上市證券_____year 年 Overseas listed stocks 海外上市證券_____year 年
 HK futures / options 香港期貨/期權_____year 年 Overseas futures / options 海外期貨/期權_____year 年
 Others 其他 (please specify 請註明) _____year 年

Investment Objectives 投資目標

- Income 收入 Capital gain 資本增值
 Hedging 對沖 Speculation 投機

Risk Factors 風險因素

- Low 低風險 High 高風險
 Medium 中風險 Very High 極高風險

Bank References 銀行資料

Banker(s) 銀行：_____
Branch(es) / Address(es) 分行/地址：_____
Account Name(s) 戶口名稱：_____
Account No(s). 戶口號碼：_____
Account Type(s) 戶口類別： Saving 儲蓄 Current 往來 Others 其他_____

Broker References 經紀資料

Accounts held with other brokerage firms 在其他經紀行設有戶口：

- Yes 有 No 沒有

If yes, please specify below: (其他，請說明)

Other Broker(s) 其他經紀行名稱：_____

Address(es) 地址：_____

Account Type(s) 戶口類別： Cash 現金 Margin 孖展 Securities 證券 Futures 期指 Commodities 商品
 Foreign Exchange 外匯 Others 其他 _____

Account Name(s) 戶口名稱：_____ Account No(s). 戶口號碼：_____

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Client Declaration 客戶聲明

I / We confirm and declare that 本人/吾等確認及聲明如下：

- (a) I am / We are not a director, employee or agent of a member of the Stock Exchange of Hong Kong or a registered person of the SFC.

本人/吾等並非香港聯合交易所會員或證監會註冊人之董事、僱員或代理人。

- I am / We are a, director, employee or agent of a member of the Stock Exchange of Hong Kong or a registered person of the SFC. The Name of the member or the registered person to whom I/we am/are engaged as a director, employee or agent is:

本人/吾等為香港聯合交易所會員或證監會註冊人之董事、僱員或代理人，該會員或註冊人之名稱為：

- (b) I am/We are not related to any employee or director of Wilson Securities Limited or the group companies.

本人/吾等與滙生證券有限公司及其集團成員公司之僱員或董事並無直屬關係。

- I am/We are related to the employee or director of Wilson Securities Limited or the group companies. The name of employee is:

本人/吾等與滙生證券及其集團成員公司之僱員或董事有直屬關係，該僱員之名稱為：

_____ Relationship 關係: _____

- (c) I am / We are not acting as an intermediary for the account. The trading orders placing with Wilson Securities are not for any of my / our clients or any ultimate beneficiary. 本人/吾等並非以戶口中介人的身份行事。向滙生證券有限公司作出的買賣指令，均非為本人/吾等的客戶或任何本人/吾等以外的最終受益人作出。

- I am / We are acting as an intermediary for the account. Please list below:

本人/吾等是以戶口中介人的身份行事。請詳列如下：

The ultimate beneficial owner(s) is / are 最終受益人之名稱為：

I.D. / Passport No.:

身份證號碼/護照號碼：_____

Contact No.:

聯絡電話號碼：_____

Residential Address 住宅地址：

Employer's Name:

僱主名稱：_____

Occupation:

職業：_____

Employer's Address 僱主地址：

Person(s) ultimately responsible for giving instructions in relation to transactions to be conducted through the account is / are:
最終負責就該帳戶進行之交易發出指示之人士：

I.D. / Passport No.:

身份證號碼/護照號碼：_____

Contact No.:

聯絡電話號碼：_____

Residential Address 住宅地址：

Employer's Name:

僱主名稱：_____

Occupation:

職業：_____

Employer's Address 僱主地址：

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The Client represents that the information contained in this Account Opening Information Form is true, complete and correct and that the representations in the attached current version of the Standard Terms and Conditions for Securities Trading of Wilson Securities Limited (the "Agreement") are accurate. Wilson Securities Limited ("WILSON") is entitled to rely fully on such information and representations for all purposes, unless WILSON receives notice in writing of any change. WILSON is authorized at any time to contact anyone, including my / our banks, brokers and credit agency, for the purpose of verifying the information provided on this Account Opening Information Form.

客戶茲聲明在本開戶資料表內的資料均屬真實，完整及正確，而附上滙生證券有限公司最新版本的證券交易標準條款(“該協議書”)一切內容準確。除非滙生證券有限公司(“滙生證券”)收到有關更改開戶資料表內容的書面通知，滙生證券有權在任何用途上完全依賴這些資料及聲明。滙生證券有權隨時聯絡任何人，包括客戶之銀行、經紀或任何信貸機構，以求證實此開戶資料表所載之內容。

I/We, the undersigned Client(s), hereby apply to open securities account. I/We have read and understood the provisions of the Agreement of which this document forms a part and agree to be bound by the agreement (receipt of a copy whereof is hereby acknowledged by me/us) as the same may be amended from time to time. I/We acknowledge and confirm that WILSON has provided the Risk Disclosure Statements and Disclaimers in a language of my/our choice (English or Chinese) and I/we have been invited to read the same, to ask questions and take independent advice if I/we wish.

本人/吾等，下述簽署客戶，現申請開立證券買賣帳戶。本人/吾等已閱讀過及明白附上的該協議書，而本文件乃該協議書的一部份，並同意接受可不時被修改的該協議書(謹此聲明本人/吾等已收妥其副本)所約束。本人/吾等確認滙生證券已按照本人/吾等選擇的語言(中文或英文)提供附於該協議書的風險披露聲明及免責聲明，及已獲邀閱讀該等聲明、提出問題及徵求獨立的意見(如本人/吾等有此意願)。

Applicant Signature 申請人簽名

Date 日期：

Witnessed by 見證人簽名

Name of Witness 見證人姓名：

Date 日期：

Staff Declaration 職員聲明

I/We, WILSON representative(s), hereby declare and confirm that I/we have provided the Risk Disclosure Statement and Disclaimers in a language of the Client's choice (English or Chinese) and invited the Client to read the same, ask questions and take independent advice if the Client/Joint Client so wishes.

本人/吾等為滙生證券有限公司的註冊職員，並謹此聲明及確認本人/吾等已按照上述客戶所選擇的語言(英文或中文)提供附於客戶協議書的風險披露聲明及免責聲明及邀請客戶/聯名客戶閱讀該等聲明，提出問題及徵求獨立的意見。

Signed by licensed or registered person

註冊人簽署

Name and CE No. of WILSON Staff

滙生證券職員名稱及中央編號

Date

日期

For Official Use Only 只供本行使用

Introduced by 介紹人：

How Long Known to Client 與客戶相識年期：

Name of Account Executive 客戶主任姓名：

AE Code 客戶主任號碼：

Bank and Credit References Obtained 已獲銀行及信貸參考：

Yes 是/No 否

Credit Limit Suggested by AE 客戶主任建議之信用額：

Documents Checked By 文件查核：

Account Executive Signature 客戶主任簽署：

Account Approved By 批准：