



SR WEALTH SECURITIES LIMITED

中富證券有限公司

香港德輔道中 255-257 號 錦銓大廈 2 樓 201 室
Room 201, Floor 2, Kam Sang Building,
255-257 Des Voeux Road Central, Hong Kong.
Tel 電話: (852) 3160 8492 Fax 傳真: (852) 3160 8444

Participant of The Stock Exchanges of Hong Kong Limited

香港聯合交易所有限公司參與者

SR Wealth Securities Limited carries on the business of dealing in securities and is licensed to carry on Type 1 regulated activity (dealing in securities) under the Securities and Futures Ordinance (CE No.: BHF761)

中富證券有限公司經營證券交易的業務，並根據證券及期貨條例獲發牌經營第一類受規管活動（證券交易）（中央編號：BHF761）

Account Opening Form 開戶表格		Cash Account 現金戶口	Individual Account 個人戶口
ACCOUNT NO 賬戶號碼		DATE OF ACCOUNT OPENING 開戶日期	

SECTION A THE APPLICANT'S PARTICULARS (Personal Information) 申請人資料 (個人資料)							
Name (in English): Mr/Mrs/Miss/Ms		Surname:		Given Name:			
姓名 (中文)：先生/太太/小姐/女士		姓：		名：			
Date of Birth 出生日期	(dd/mm/yyyy)			Identity Card/Passport No. 身份證/護照號碼			
Nationality 國籍							
Education Level 學歷	<input type="checkbox"/> Secondary 中學	<input type="checkbox"/> Post Secondary 預科/專上學院	<input type="checkbox"/> University or above 大學或以上	<input type="checkbox"/> Others 其他 _____			
Residential Address 住址							
Applicant's residence 申請人住所	<input type="checkbox"/> Owned 自置		<input type="checkbox"/> Rented 租用		<input type="checkbox"/> Others 其他 _____		
Home Telephone No. 住宅電話號碼				Mobile phone No. 手提電話號碼			
Employer (if self-employed, please so state) 僱主 (如屬自僱, 謹請註明)							
Nature of Business of Employer 僱主業務性質				Position 職位	Year of Service 服務僱主年期		
Business / Office Address 營業 / 辦公地址							
Office Telephone 營業電話號碼				Office Fax 營業傳真號碼			
Email Address 電子郵件地址							
Account Statements send via email or by post 戶口中之結單以電子方式或郵寄方式來接收	<input type="checkbox"/> E-mail 電郵	<input type="checkbox"/> By Post 郵寄		<input type="checkbox"/> Residential Address 住址		<input type="checkbox"/> Business / Office Address 營業 / 辦公地址	
A monthly service fee will be charged on mailing account statements. Please refer to our services charge table. 本公司會就郵寄結單服務收取月費。有關費用詳情，請瀏覽本公司的收費表。							
Language used on delivering all statements 成交單據及同類文件所用之語言方法	<input type="checkbox"/> English 英文發出			<input type="checkbox"/> Chinese 中文發出			

Financial Profile 財務概況			
Investment Experience 相關投資經驗			
Equities 證券	<input type="checkbox"/> No 無	<input type="checkbox"/> Yes 有 _____ Years年	Derivative Warrants/Callable Bull/Bear Contracts 衍生權證(窩輪)/牛熊證
Warrants 窩輪	<input type="checkbox"/> No 無	<input type="checkbox"/> Yes 有 _____ Years年	Exchange Traded Funds / Trust 交易所買賣基金(ETF)/信托基金
Futures & Options 期貨及期權	<input type="checkbox"/> No 無	<input type="checkbox"/> Yes 有 _____ Years年	Growth Enterprise Market (GEM) 創業板
Forex/ Bullion 外匯交易/貴金屬	<input type="checkbox"/> No 無	<input type="checkbox"/> Yes 有 _____ Years年	Others 其他

Investment Objectives 投資目標：	<input type="checkbox"/> Short term 短線	<input type="checkbox"/> Medium 中線	<input type="checkbox"/> Long Term 長線	<input type="checkbox"/> Others 其他
Risk Tolerance 可承受風險：	<input type="checkbox"/> Aggressive 高	<input type="checkbox"/> Moderate 中	<input type="checkbox"/> Conservative 低	
Annual Income (HK\$) 每年收入 (以港元計)：	<input type="checkbox"/> ≤ \$250,000	<input type="checkbox"/> \$250,001-\$500,000	<input type="checkbox"/> \$500,001-\$1,000,000	<input type="checkbox"/> > \$1,000,001
Net Assets (HK\$) 資產淨值 (以港元計)：	<input type="checkbox"/> ≤ \$200,000	<input type="checkbox"/> \$200,001-\$500,000	<input type="checkbox"/> \$500,001-\$1,000,000	<input type="checkbox"/> > \$1,000,001

Client's Knowledge of Derivatives and Trading Experience 客戶對衍生工具產品的認識及投資經驗

My knowledge of derivative products are as followed: 對衍生產品的認識如下:

- ☐ 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 have work experience related to derivative products 本人擁有與衍生產品有關之工作經驗
- ☐ I have relevant trading experience i.e. I have executed five or more transactions in derivative products within the past three years 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 do not have any knowledge of derivative products 本人並未有衍生產品之認識

Electronic Trading Services 電子交易服務 (For Electronic Trading client only 只適用於電子交易客戶)		
Electronic Trading Services Account(s) & On-line Quote Price Service 電子交易買賣賬戶及網上報價服務	<input type="checkbox"/> Electronic Securities Trading Service 電子證券買賣服務	
	Mailing address and/or email address for receiving password (if different from those addresses for receiving Account Statements) 接收密碼之郵寄地址及/或電郵地址 (如與收取賬戶結單之地址不同)	
	<input type="checkbox"/> Stock Quote (free of charge) (with market prices delayed at least 15 mins) 點擊參考報價 (免費) (與實際發放時間延遲最少15分鐘)	<input type="checkbox"/> Streaming Real Time Stock Quote (monthly fee of HK\$350) 串流式即時報價 (月費為港幣三百五十元)

SECTION B GENERAL INFORMATION 一般資料

Details of the Applicant's bank account for payment of money (if any) by SR Wealth Securities Limited to the Applicant (under the name of the Applicant). Further, the Applicant hereby agrees that if this Account Application is approved by SR Wealth Securities Limited, the bank account below shall be used to receive payments (if any) to the Applicant in accordance with the Documents.

可供中富證券有限公司用作支付任何款項 (若有的話) 予申請人之銀行賬戶詳細資料 (需以申請人名義持有)

再者, 申請人現同意, 若本開戶申請表獲中富證券有限公司核准, 以下銀行賬戶將被用作接受按文件給予申請人的款項 (如有的話)。

Designated Bank

指定銀行: _____

Bank account no.

銀行賬戶號碼: _____

Name of bank account holder

銀行賬戶持有人姓名: _____

SECTION C IDENTITY DECLARATION 身分聲明

Is the Applicant 申請人是否

1. A person licensed by or registered with the Hong Kong Securities and Futures Commission or an employee of such person? (if yes, please specify his/her CE no.)
香港證券及期貨事務監察委員會持牌或註冊人士或該人士之僱員? (如是, 謹請說明他/她的中央編號)

☐ No 否 ☐ Yes 是, CE No. 中央編號 _____

2. An employee/licensed representative of SR Wealth Securities Limited (or a relative of such person)? (if yes, please provide the name of the director / employee / licensed representative is working with, his/her name and CE no.)
中富證券有限公司之董事/僱員/持牌代表或該人士之親屬? (如是, 謹請提供該僱員/持牌代表、姓名及中央編號)

☐ No 否 ☐ Yes 是, Name 姓名: _____ CE No. 中央編號: _____

3. Are you a senior management officer or director of any (listed) company whose shares are traded on any exchange or market?

閣下是否任何其股份在交易所或市場買賣的(上市)公司之高級管理或董事?

☐ No 否 ☐ Yes, please specify the company name and stock code 是, 請列明該公司名稱及代號 _____

4. Are you, your spouse, partner, child, parent, spouse or partner of your child, or your close associate entrusted or has been entrusted with a prominent public function, includes a head of state, head of government, judicial or military official, senior executive of a state-owned corporation and an important political party official?

閣下、閣下之配偶、伴侶、子女、父母、閣下的子女的配偶或伴侶或與閣下關係密切的人, 是否擔任或曾擔任重要公職, 包括國家元首、政府首長、司事官、國有企業高級行政人員及重要政黨幹事?

☐ No 否 ☐ Yes, please specify 是, 請列明 _____

5. Name of Referral (介紹人姓名): _____

Capacity of the Applicant 申請人之身份

Are you a Citizen of the UNITED STATES?

閣下是否美國公民？

☐ Yes, please fill-in Form W-9
是，請填 表W-9

☐ No, please fill-in Form W-8BEN
否，請填 表W-8BEN

Is the Applicant the ultimate beneficiary of the Account and transactions (“ultimate beneficiary”)?

申請人是否賬戶及交易的最終實益持有人（「最終實益持有人」）？

☐ Yes 是

☐ No 否，please specify 請列明

Is the Applicant ultimately responsible for originating the instruction in relation to a transaction?

申請人是否最終負責作出交易指示的人士？

☐ Yes 是

☐ No 否，please specify 請列明

Is the Applicant the only person with authority to operate the Account?

申請人是否唯一有權操作此賬戶者？

☐ Yes 是

☐ No 否，please specify 請列明

Person(s) authorized to operate the Account 賬戶獲授權人士 No. of Signature required 所需簽名數目()

The Client's Securities Account can be operated on the instructions of the Authorized Person. I (the Client) hereby declare that I (the Client) shall be fully responsible for any instructions given or purported to be given by the Authorized Person (including but not limiting to the verbal instructions or written instructions), and shall fully indemnify SR Wealth Securities Limited against all damages, losses, costs and expenses whatsoever incurred as a result of any act, inactivity or omission of the Authorized Person.

When I, the Authorized Person listed below, after signing in the signature column hereinbelow, indicated that I accept the abovementioned Client's authorization to become its Authorized Person. I hereby agree that shall be fully responsible for all the liabilities arising from the Client's relevant account(s) with SR Wealth Securities Limited and shall full indemnify SR Wealth Securities Limited against all damages, losses, costs and expenses whatsoever incurred as a result of any act, inactivity or omission of the Client and/or myself.

客戶之證券賬戶可根據獲授權人士之指示運作。本人（客戶）茲聲明對由獲授權人士或聲稱為獲授權人士所發出之任何指示（包括但不限於口頭指示或書面指示）承擔全部責任，並會就中富證券因該等獲授權人士之任何行為，不作為或遺漏而引致的一切賠償、損失、費用及開支向中富證券作出全部彌償。當本人（獲授權人士）於下列簽署欄內簽署後，即表示同意接受客戶的授權成為其獲授權人士，並同意承擔客戶之賬戶內之一切責任，亦須就中富證券因客戶及/或本人之任何行為，不作為或遺漏而引致的一切賠償、損失、費用及開支向中富證券作出全部彌償。

Name 姓名：	Mr/Mrs/Miss/Ms.	Relationship 關係：		Specimen Signature 簽名樣式
I.D. Card/Passport No. 身份證/護照號碼：		Contact Tel. No. 聯絡電話：		

Name 姓名：	Mr/Mrs/Miss/Ms.	Relationship 關係：		Specimen Signature 簽名樣式
I.D. Card/Passport No. 身份證/護照號碼：		Contact Tel. No. 聯絡電話：		

Note: All Authorized Persons are required to provide valid identification and proof of a recent address within 3 months.

注意：所有被授權人士，均需提供有效的身份證明文件及最近三個月內之地址證明。

Terms

條款

1. I/We hereby authorize and request SR Wealth Securities Limited (“the Company”) to open and maintain a cash securities trading account (“the Account”) in the name of me/us for the purchases, sales, holdings of and any other dealings in securities as I/We may instruct you as my/our agent to effect from time to time on my/our behalf. The account shall be maintained and all such purchases, sales, holdings of and any other dealings in securities shall be effected subject to and in accordance with the provisions of the Authorization for Account Opening and the Cash Client's Agreement (“the Agreement”). I/We confirm and acknowledge that the Agreement forms an integral part of the Authorization for Account Opening. I/We acknowledge receipt of a signed copy of the Agreement.

本人(等)授權要求中富證券有限公司("本公司")為本人(等)以本人(等)名義開立並操作一個現金證券交易賬戶("賬戶")以執行本人(等)不時的指示由 貴公司以代理人身份為本人(等)購入、賣出、保管或處理各類證券。有關賬戶之運作須受本開戶授權書及現金客戶協議書規限，本人(等)確認現金客戶協議書為本開戶授權書組成之一部份，並確認已收訖一份已簽署的現金客戶協議書。

2. For the purpose of opening the Account, I/We enclose the duly completed and signed Account Opening Information, address proof and my/our copies of Hong Kong Identity Cards/passport(s)

為開立上述賬戶，本人(等)現附上一份已填寫及簽署的客戶開戶資料、地址證明及身份證/護照影印本。

3. I/We warrant that the information set out in the Account Opening Information is true and correct and that you are entitled to rely fully on such information to act on my/our behalf unless and until you receive notice of any change from me/us in accordance with the provisions of the Agreement. I/We undertake to advise you promptly of any material change to such information.
本人(等)保證客戶開戶資料內所載資料均屬真實及正確，貴司在未收到本人(等)據現金客戶協議書規定發出的資料變更通知前，貴司有權依據該等資料行事，若該等資料有變更，本人(等)即儘快通知貴司。
4. I/We confirm that:
本人(等)茲確認:
- (a) the individuals whose names are listed in the Account Opening Information are the persons (“ Authorized Persons ”) authorized on my/our behalf to give you oral, telephone or written instructions:
在開戶資料中所列舉之人士為已獲本人(等)授權之人士(“獲授權人士”)有權代表本人(等)以口頭、電話或書面就上述事宜發出指示:
- (i) in relation to the operation of the Account; and
對於賬戶之運作; 及
- (ii) to effect purchases, sales, holdings and other dealings in Securities and transfer of funds;
就買賣、保管或處理證券及資金的轉移;
- (b) the signature set opposite the name of each of the Authorized Persons is his genuine signature and, in the case of written instructions, such signature operates as the specimen signature of each of such Authorized Persons; and
在個別獲授權人士名字欄旁之簽名為該人士之簽名，若有書面指示，該等簽名即是該等獲授權人士之真實簽字印鑑; 及
- (c) the information set out in the Account Opening Information is true, complete and accurate.
開戶資料內開列之資料均屬真實、完整及正確。
- (d) I/We represent that, unless I/We have previously disclosed in writing to you, I am/We are not (an) officer(s) or employee(s) of any exchange, board of trade, clearing house bank or trust company, or an affiliate of any licensed or registered person under the Securities and Futures Ordinance, or (an) introducing broker(s), or (an) officer(s), partner(s), director(s) or employee(s) of any Securities broker or dealer.
本人(等)如沒有以書面形式向貴司申述，本人(等)就不會是任何交易所、結算所、銀行或信託機構的僱員; 或是任何在證券及期貨條例下註冊人士之相關人士; 或是任何證券商或交易商的人員、合夥人或董事。
5. I/We acknowledge that, subject always to your discretion not to accept or act on any instructions given by me/us to you for purchases, sales, holdings and any other instructions of dealings in securities as my/our agent from time to time as provided in the Agreement, you shall be entitled to rely and act on any such instructions given or apparently, to your satisfaction, given from time to time on my/our behalf, in the case of both oral, telephone and written instructions by any one of the Authorized Persons.
本人(等)再次確認 貴司可據現金客戶協議書之條款有完全之酌情權不接納作為本人(等)之代理人以執行本人(等)之買賣證券、保管或處理各類證券交易等指示,但 貴司有權根據獲授權人之口頭、電話或書面指示，執行指示。
6. I/ We agree that all confirmations and statements in relation to the Account issued by you to me/us pursuant to the Agreement shall be conclusive and binding on me/us.
本人(等)同意有關賬戶項下之一切確認書及結單將對本人(等)有絕對約束力。
7. I/We elect for all trading in securities to be conducted by you as my/our agent on my/our behalf on the cash basis.
本人(等)選擇以現金形式經 貴司為代理人進行證券買賣。
8. I/We declare that the contents of the Authorization for Account Opening, Account Opening Information (together with the Schedules thereto) and the Agreement (Including Risk Disclosure Statements) have been duly explained to me/us in a language (English or Chinese) that I/We understand and I/We agree to be bound by the provisions thereof.
本人(等)在此聲明此開戶授權書、開戶資料(及其附錄)及現金客戶協議書(包括風險披露聲明)之內容已經向本人(等)以其明瞭之語言(英文或中文)解釋，本人(等)並同意接受該等條款及內容之約束。
9. For the purpose of opening an electronic trading service account, I/We acknowledges that I/We have read and understood the terms and conditions as at this column and agrees to be bound by them.
如有電子交易賬號，本人(等)已確認細閱及明白本欄的電子交易條件及條款，並接受該等於有效及不時修改的條款約束。
10. For the purpose of opening an electronic trading service account, I/We have understands that I/We should contact SWSL if the password package and/or email notification is not received for a period of time after the account opening.
如有電子交易賬號，本人(等)知道若開戶後多天仍未收到密碼包及/或電郵通知密碼，須主動向中富證券查詢。
11. For the purpose of opening an electronic trading service account, 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 SWSL on quoting of the said password.
如有電子交易賬號，本人(等)將獲取網上交易密碼，以便本人(等)進行買賣交易服務。本人(等)完全明白戶口密碼是絕對保密。本人(等)須對「中富證券」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。

APPLICANT'S AGREEMENT & ACKNOWLEDGEMENT 申請人之承諾及確認

I have read and fully understood the contents of this Account Application and the Client Agreement and agree to be bound by them.

Further, I confirm that the Risk Disclosure Statements and, if applicable, Risk Disclosure Information, in or accompanying the Client Agreement have been provided in a language of my choice (English or Chinese) and that I have read, understood and accepted the nature and contents thereof. I appreciate that they are not and cannot be taken as a comprehensive or exhaustive list of all possible risks. I confirm that I have been given the opportunity to ask questions and take independent advice if I so wish.

本人已閱讀並完全明白本開戶申請表及客戶協議之內容，並同意受其等所約束。

再者，本人確認載或附於客戶協議之風險披露聲明已按本人選擇之語言（英文或中文）提供予本人，及本人已閱讀，瞭解和接受其/其等（若適用）性質和內容。本人明白它們不是而且不能被當作為一份完全或徹底列舉所有潛在風險的清單。此外，本人已被給予機會提出問題及徵求獨立的意見（若本人有此意願）。

Executed as a deed on 簽訂作契約於：_____ (insert date 請填上日期)

Signed and delivered by 簽署、蓋印及交付：

Applicant's Signature:

申請人簽署：

Witness Signature:

見證人簽署：

SR Wealth Securities Limited licensed representative name:

中富證券有限公司持牌代表姓名：

CE No. 持牌代表中央編號：

Declaration by a licensed person accredited to SR Wealth Securities Limited

隸屬於中富證券有限公司持牌人士聲明

I confirm that I have provided the Risk Disclosure Statements and if applicable, Risk Disclosure Information in or accompanying the Client Agreement in a language of the Applicant's choice (English or Chinese), and have invited the Applicant to read such Risk Disclosure Statements and if applicable such Risk Disclosure Information, answer questions and take independent advice if the Applicant wishes.

本人確認已經按申請人所選擇語言（英文或中文）提供載或附於客戶協議的風險披露聲明，並已邀請申請人閱讀該/該等（如適用）風險披露聲明、回答問題及徵求獨立的意見。

Signature of licensed person 持牌人簽署

Date 日期

Name of licensed person (please print)

持牌人姓名（正楷）

CE No.

中央編號

For Office Use (TO BE COMPLETED BY AE)

Applicant's Background: _____

Applicant's relationship with AE _____

For Cash Securities Trading Account Proposed Trading Limit (HK\$) _____

For Commission Rate: _____

Min Charge (In HK\$) _____

AE Name: _____

CE No: _____

Approved account opening for and on behalf SR Wealth Securities Limited by

Account Opening checked/endorsed by Credit

Authorized signatory

Name:

Date:

Name (please print)

Date:

Documentation checked by: _____

Remarks: _____