



# SR WEALTH SECURITIES LIMITED

## 中富證券有限公司

香港德輔道中 255-257 號 錦牲大廈 2 樓 201 室  
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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	Corporate Account 公司戶口
ACCOUNT NO 賬戶號碼		DATE OF ACCOUNT OPENING 開戶日期	

### SECTION A THE APPLICANT'S PARTICULARS (Corporate Information) 申請人資料（公司資料）

Client Type 客戶類別	<input type="checkbox"/> Private/Public Company 私人公共公司 <input type="checkbox"/> Fund House 基金行	<input type="checkbox"/> Broker 經紀 <input type="checkbox"/> Professional Investor 專業投資者	<input type="checkbox"/> Listed Company 上市公司 <input type="checkbox"/> Other 其他 _____
Company Name(English) 公司名稱英文		Company Name(Chinese) 公司名稱中文	
Place of Incorporation 註冊國家		Date of Incorporation 註冊日期	
Certificate of Incorporation No. 公司註冊號碼		Nature of Business 業務性質	
HK Business Registration No. 香港商業登記號碼		E-mail address 電郵地址	
Office Telephone 營業電話號碼		Office Fax 營業傳真號碼	
Registered Address 註冊地址			
Business Address 商業地址			

### Company Financial Profile 公司財務概況

Authorized share capital 法定股本		shares of 股，每股面值		Per value each (please specify currency) 元之股份	
Issued and paid up share capital 已發行及已繳足股本		shares of 股，每股面值		Per value each (please specify currency) 元之股份	
Annual Net Profit Before Tax(HK\$) 每年稅前純利（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				

### 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 Contract 衍生權證(窩輪)/牛熊證	<input type="checkbox"/> No 無 <input type="checkbox"/> Yes 有 _____ Years年
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)/信託基金	<input type="checkbox"/> No 無 <input type="checkbox"/> Yes 有 _____ Years年
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	<input type="checkbox"/> No 無 <input type="checkbox"/> Yes 有 _____ Years年
Forex/ Bullion 外匯交易/貴金屬	<input type="checkbox"/> No 無 <input type="checkbox"/> Yes 有 _____ Years年	Others 其他	<input type="checkbox"/> No 無 <input type="checkbox"/> Yes 有 _____ Years年

Investment Objectives 投資目標：☐ Short term 短線      ☐ Medium 中線      ☐ Long Term 長線      ☐ Others 其他 \_\_\_\_\_

Risk Tolerance 可承受風險：☐ Aggressive 高      ☐ Moderate 中      ☐ Conservative 低

### 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，即吾等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)

The "ultimate beneficiary" that stands to gain the commercial or economic benefit of the Account and transactions and/or bear their commercial or economic risk. 代表收取帳戶及交易的商業或經濟利益及/或承擔其商業或經濟風險的人士（即「最終實益持有人」）				
Name 姓名			ID/Passport No. 身份證/護照號碼	
Office Telephone No. 營業電話號碼			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		Years of Service 服務僱主年期
Email Address 電子郵件地址				

## 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：\_\_\_\_\_

## List of Company Directors

### 董事名單

Name(s) and specimen signature(s) and ID Card/Passport number (attach copy) of all current Directors:

下列為本公司現行董事姓名、其身份證或護照號碼及簽名式樣

Full Name 全名	ID Card or passport Number 其身份證或護照號碼	Tel and Address 電話及地址	Specimen Signature 簽名式樣
1.			
2.			
3.			
4.			

## List of Shareholders

### 股東名單

If a registered shareholder is not the beneficial owner of the shares, please put down the name of ultimate beneficial owner of the shares who should be a natural person (not applicable to listed companies).

如註冊股東並非股份實益人，請填寫股份的最終實益人（應是自然人）姓名（不適用於上市公司）

Full Name 全名	% of Shareholding 持股份百分比%	Name of Ultimate Beneficial Owner, if applicable 最終實益人姓名（如適用）	Tel and Address 電話及地址
1.			
2.			
3.			
4.			
5.			

## Authorized Person(s)

### 授權人士

Name(s) and specimen signature(s) of persons any one of whom is authorized to give instructions on the Client's behalf:

Please provide copies of the identification documents of all Authorised Persons.

You may rely on any one person specified herein as sufficient instruction.

獲授權代表客戶發出指示之任何人士姓名及簽名式樣：

請提供所有授權人士的身份證明文件副本。

您可以依據在此指定的任何人士為充足的指示。

Full Name 全名	ID Card or passport Number 身份證或護照號碼	Tel and Address 電話及地址	Specimen Signature 簽名式樣
1.			
2.			
3.			

**SECTION C IDENTITY DECLARATION 身分聲明**

Is any director, substantial shareholder, ultimate principal beneficial owner or Authorized Person of the Applicant

申請人之任何董事、主要股東、最終實益持有人、最終主要實益持有人或獲授權人是否

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 employee/licensed representative is working with, his/her name and CE no.)

中富證券有限公司之僱員/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、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)：\_\_\_\_\_

**Arrangement for Corporate Account application 公司戶口安排****Statement Collection 結單收取方法**

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	(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。)		
	<input type="checkbox"/> E-mail 電郵	<input type="checkbox"/> By Post 郵寄	<input type="checkbox"/> Registered Address 註冊地址
			<input type="checkbox"/> Business / Office Address 營業 / 辦公地址
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
Signing Arrangement 簽名安排	<input type="checkbox"/> Any one of the account holders 任何一個賬戶持有人		<input type="checkbox"/> Others, please state 其他，請說明
Trading instruction 買賣指示	<input type="checkbox"/> Any one of the account holders 任何一個賬戶持有人		<input type="checkbox"/> Others, please state 其他，請說明

**Terms****條款**

1. We hereby authorize and request you to open and maintain at our request a cash securities trading account ("the Account") in the name of our Company for the purchases, sales, holdings and any other dealings in securities as our Company may instruct you as our agent to effect from time to time on our behalf. The Account shall be maintained and all such purchases, sales, holdings and any other dealing 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"). We confirm and acknowledge that the Agreement forms an integral part of the Authorization for Account Opening. We acknowledge receipt of a signed copy of the Agreement.

本公司茲授權及要求貴公司以本公司名義開立並操作一個現金證券交易帳戶(下稱"帳戶")作為本公司代理人，不時按本公司之指示代表本公司買賣保管及處理證券交易。該帳戶將根據本開戶授權書及現金客戶協議書(下稱"協議書")之規定而操作並受其規限。本公司確認及明白此現金客戶協議書是本開戶授權書組成的一部份，並收取了一份已簽署的協議書副本。

2. For the purpose of opening the Account, we enclose the following documents duly completed and signed by us for your action:

本公司現交回下列填妥之文件，以備開立帳戶之用：

- (1) Copies of the HONG KONG ID cards/passports of the Authorized Persons/ directors/ substantial shareholders/ultimate principal beneficial owners named in the Securities Trading Account Application  
列名於證券交易帳戶申請書各授權人士/董事/股東/最終實益持有人之身份證/護照的副本。
- (2) Address proof of residence e.g. water/electricity/gas bills/bank statement (within the recent 3 months) of the authorized persons / directors / substantial shareholders / ultimate principal beneficial owners.  
授權人士/董事/股東/最終實益持有人之住址證明（如最近三個月印有授權人士/董事/股東/最終實益持有人姓名的水電煤氣等帳單或銀行月結單等）。
- (3) Certified copy of Memorandum and Articles of Association  
組織章程大綱及章程細則的核證副本。
- (4) Certified copy of Certificate of Incorporation  
註冊成立證書的核證副本。
- (5) A certificate of incumbency, or Registered Agents Certificate identifying the current directors and officers, verified or issued by the registered agent of the Company.  
經本公司註冊代理核證或發出確認現任董事及高級人員的在職證書或註冊代理證書。

- (6) A Certificate of Good standing or documents to the same extent, showing if the corporation is more than 12 months old, a current copy of the receipt of license fee issued by the relevant Registrar of Companies, or a document remitting the fee and stamped as having arrived at the Registers office.  
顯示公司已成立12個月以上的已繳稅證書或作用相同的文件、最近期由有關公司註冊處發出的牌照費收據副本或匯費文件並由公司註冊辦事處蓋章以示收妥。
- (7) Certified copy of Resolution of Company's Board authorizing the opening of the account(s) and directors persons authorized.  
授權開立帳戶及獲授權董事/人士的公司董事會決議案的核證副本。
- (8) Details of the true beneficial ownership of the company.  
公司實益擁有權的真確資料。
- (9) Deed of Guarantee and Indemnity  
擔保及彌補保證契據。
- (10) A certified copy of the Business Registration Certificate of the Applicant.  
申請人商業登記證的核證副本。
- (11) If an ultimate beneficiary is not an Applicant, a certified copy of the Certificate of Incorporation and the Business Registration Certificate (if a corporation) or a copy of the Hong Kong ID card/passport (if an individual) of the ultimate beneficiary.  
倘申請人並非最終實益擁有人，則須隨附最終實益擁有人的註冊成立證書及商業登記證核證副本(如屬公司)或身份證/護照副本(如屬個人)。
3. We undertake to advise you promptly of any change to the information set out in the Account Opening Information (together with any Schedule thereto), Specimen Signature Card and of any amendment to the Memorandum and Articles of Association of our Company.  
本公司承諾倘開戶資料 (及其有關附錄) 或印鑑卡內開列之資料出現任何改變，或本公司之組織文件有任何修改，本公司定將儘快知會貴司。
4. We confirm that:-  
本公司茲確認
- (a) the individuals whose names resolved in the Board of Resolutions are the persons ("Authorized Persons") authorized on our behalf to give you oral, telephone or written instructions in relation to effect purchases, sales holdings and any other dealings in securities of the Account;  
凡名列於議決案通過之人士 ("獲授權人士") 均為獲授權代表本公司指示該帳戶的證券買賣、保管其他證券交易，並可向貴司發出口頭或電話或書面指示；
- (b) the individuals whose names resolved in the Board of Resolution are the persons ("Authorized Persons") authorized to sign on our behalf to effect payment, withdrawal and/or transfer of funds and securities in relation to the Account;  
凡名列於議決案通過之人士 ("獲授權人士") 均獲授權操作帳戶而代表本公司簽署有關支付、提取及/或資金過戶以及證券交收；
- (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) we undertake to notify you in writing in case of any change of information.  
凡上述資料如有任何更改，本公司謹此承諾致函通知貴司。
5. We agree that all confirmations and statements in relation to the Account issued by you to us pursuant to the terms and conditions of the Agreement shall be conclusive and binding on us.  
本公司同意由貴司按照協議書之條款及條件向本公司發出之有關該帳戶確認書及結單均為不可推翻的並對本公司具約束力。
6. We declare that:-  
the contents of this Authorization for Account Opening, Account Opening Information (together with any Schedules thereto) and the Agreement have been fully explained to our representative(s) in a language (English or Chinese) that he/they understand(s) and we agree to be bound by the provisions hereof.  
本公司茲聲明：  
本開戶授權書、開戶資料 (及其附錄) 及現金客戶協議書之內容已向本公司代表以其明白之語言 (英文或中文) 詳細解釋。本公司同意接受上述授權書及現金客戶協議書之規定約束。
7. For the purpose of opening an electronic trading service account, We acknowledges that 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，本公司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。
8. For the purpose of opening an electronic trading service account, We have understands that 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，本公司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。
9. For the purpose of opening an electronic trading service account, We will receive our account password for electronic trading services. We understand that our password is strictly confidential and We 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，本公司將獲取網上交易密碼，以便本公司進行買賣交易服務。本公司完全明白戶口密碼是絕對保密。本公司須對「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**

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

Further, We 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 We have read, understood and accepted the nature and contents thereof. We appreciate that they are not and cannot be taken as a comprehensive or exhaustive list of all possible risks. We further confirm that we have been given the opportunity to ask questions and take independent advice if we so wish.

吾等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，吾等確認載或附於客戶協議之風險披露聲明已按吾等選擇之語言（英文或中文）提供予吾等，及吾等已閱讀，瞭解和接受其/其等（若適用）性質和內容。吾等明白它們不是而且不能被當作一份完全或徹底列舉所有潛在風險的清單。此外，吾等已被給予機會提出問題及徵求獨立的意見（若吾等有此意願）。

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

Signed, sealed and delivered by 簽署、蓋印及交付：

Authorise Signature with company chop:  
公司印章及授權簽署：

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, ask 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、提出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: \_\_\_\_\_

\_\_\_\_\_

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