

致富證券有限公司 Chief Securities Limited

Exchange Participant of SEHK 香港聯合交易所有限公司交易參與者
SFC Licensed Corporation licensed to carry on RA 1 (Dealing in Securities)
證監會核准從事第一類(證券交易)受規管活動之持牌法團 CE#: ADI983

帳戶號碼 A/C No.									
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- 個人帳戶 Individual A/C
 聯名帳戶 Joint A/C
 電子交易服務 Electronic Trading Service
 股票期權交易帳戶 Stock Options Trading A/C

保證金帳戶開戶表格 Margin Account Opening Form

客戶須在本公司的僱員面前填妥及簽署本開戶表格，否則客戶請遵從以下其中一項程序：

- 客戶須送達本公司其在香港持牌銀行開立的帳戶所簽發的支票，該支票 1. 數額不得少於 HK\$10,000, 2. 須載有客戶在身份證明文件上所顯示之姓名, 3. 抬頭人為“致富證券有限公司”, 4. 客戶支票的簽名須與開戶表格上之客戶簽署相符。客戶之帳戶須待支票清算後方可使用。
- 此開戶表格及客戶之身份證明文件的見證，須由其他持牌人或註冊人、本公司的聯繫人士、太平紳士或專業人士例如銀行分行經理、執業會計師、律師或公證人加以驗證。

This Account Opening Form should be completed and signed by client in front of our employees. Otherwise, client should follow any one of the following procedures,

- Client should deliver to our company a cheque issued by the client and drawn on client's account with a licensed bank in Hong Kong and the cheque 1. should of amount not less than HK\$10,000. 2. should bear client's name as shown in this identity document. 3. should pay to "Chief Securities Limited". 4. should with the same signature(s) as shown on the Account Opening Form. Client's account will not be activated until the cheque is cleared.
- The signing of this Account Opening Form and sighting of related identity documents should be certified by any other licensed or registered person, an affiliate of our Company, a JP (Justice of Peace), or a professional person such as a branch manager of a bank, certified public accountant, lawyer or notary public.

客戶個人資料 Client's Personal Information

1. 戶口持有人 Account Holder

2. 戶口持有人 Account Holder

戶名 Client Name 先生 Mr./女士 Ms./太太 Mrs./小姐 Miss		戶名 Client Name 先生 Mr./女士 Ms./太太 Mrs./小姐 Miss	
英文 English	中文 Chinese	英文 English	中文 Chinese
香港身份證號碼/護照號碼 HKID/Passport No.		香港身份證號碼/護照號碼 HKID/Passport No.	
出生日期 Date of Birth 年 月 日		出生日期 Date of Birth 年 月 日	
住址 Home Address		住址 Home Address	
住宅電話 Home Phone No.	傳真號碼 Fax No.	住宅電話 Home Phone No.	傳真號碼 Fax No.
手提電話/傳呼 Mobile Phone/Pager No.		手提電話/傳呼 Mobile Phone/Pager No.	
電郵地址 E-mail Address		電郵地址 E-mail Address	
職業 Occupation	任職年期 Years with Employer	職業 Occupation	任職年期 Years with Employer
僱主名稱 Name of Employer		僱主名稱 Name of Employer	
工作地址 Business Address		工作地址 Business Address	
工作電話 Business Phone No.	傳真號碼 Fax No.	工作電話 Business Phone No.	傳真號碼 Fax No.
帳戶日結單送遞至 Daily Statements to be sent to:	<input type="checkbox"/> 家居地址 Home Address <input type="checkbox"/> 以下地址 Address below	<input type="checkbox"/> 工作地址 Business Address	<input type="checkbox"/> 電郵地址 Email Address
*帳戶月結單送遞至 *Monthly Statements to be sent to:	<input type="checkbox"/> 家居地址 Home Address <input type="checkbox"/> 以下地址 Address below	<input type="checkbox"/> 工作地址 Business Address	<input type="checkbox"/> 電郵地址 Email Address
聯絡地址 Correspondence Address : _____			
* 帳戶日結單與月結單的郵寄地址必須相同 Mailing address of the daily statement and monthly statement should be the same			
銀行戶口資料 Bank Account Record(只供入數之用 For Fund Deposit Only)			
銀行名稱 Bank Name: _____ 戶口號碼 Account No.: _____			
如屬聯名帳戶，支票付予 For Joint A/C, cheques to be issued to <input type="checkbox"/> 聯名 Joint Name <input type="checkbox"/> 第一戶口持有人 First A/C Holder <input type="checkbox"/> 第二戶口持有人 Second A/C Holder			

客戶投資經驗及目標 Client Investment Experience and Objectives

投資經驗 Investment Experience :	<input type="checkbox"/> 沒有 Nil <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
曾投資的產品 Experienced Products:	<input type="checkbox"/> 證券 Stocks <input type="checkbox"/> 認股權證 Warrants <input type="checkbox"/> 期貨 Futures <input type="checkbox"/> 期權 Options <input type="checkbox"/> 高息票據 ELN <input type="checkbox"/> 其他 Others: _____
投資目標 Investment Objectives:	<input type="checkbox"/> 短線投資 Short Term <input type="checkbox"/> 中線投資 Medium Term <input type="checkbox"/> 長線投資 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"/> 投機賺取收入 Speculation <input type="checkbox"/> 其他 Others: _____
估計投資金額 Estimated Investment Amount :	<input type="checkbox"/> Less than HK\$100,000 以下 <input type="checkbox"/> HK\$100,000 – HK\$500,000 <input type="checkbox"/> HK\$500,000 – HK\$1,000,000 <input type="checkbox"/> Over HK\$1,000,000 以上

客戶財政資料 Client Financial Information

收入來源 Source of Income :	<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 Dividend <input type="checkbox"/> 利息 Interest <input type="checkbox"/> 業務溢利 Business Profit <input type="checkbox"/> 其他 Others: _____
每年收入 Annual Income	<input type="checkbox"/> Below HK\$250,000 以下 <input type="checkbox"/> HK\$500,001 - HK\$1,000,000 <input type="checkbox"/> HK\$250,000 - HK\$500,000 <input type="checkbox"/> Over HK\$1,000,000 以上
住屋 Residence	<input type="checkbox"/> 無按揭物業 Self-owned <input type="checkbox"/> 按揭物業 Mortgage <input type="checkbox"/> 租用物業 Rented <input type="checkbox"/> 公司宿舍 Company Quarters <input type="checkbox"/> 與家人同住 Living with Family
估計個人資產淨值 Estimated Net Asset Worth	<input type="checkbox"/> Below HK\$500,000 以下 <input type="checkbox"/> HK\$3,000,001 - HK\$5,000,000 <input type="checkbox"/> HK\$500,001 - HK\$1,000,000 <input type="checkbox"/> HK\$5,000,001 - HK\$10,000,000 <input type="checkbox"/> HK\$1,000,001 - HK\$3,000,000 <input type="checkbox"/> Over HK\$10,000,000 以上

客戶聲明 Declaration by Client

1. 你是否此戶口的最終權益擁有人? Are you the ultimate beneficial owner(s) in relation to the Account? <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No, 戶口的最終權益擁有人是 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 _____
2. 閣下是否在其他經紀行擁有戶口? Do you have accounts with other brokerage firms? <input type="checkbox"/> 是 Yes, 經紀名稱 Broker Name _____ 戶口類別 A/C Type : <input type="checkbox"/> 現金 Cash <input type="checkbox"/> 保證金 Margin <input type="checkbox"/> 網上交易帳戶 Internet <input type="checkbox"/> 否 No
3. 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? <input type="checkbox"/> 是 Yes, 職員名稱 Name: _____ 關係 Relationship: _____ <input type="checkbox"/> 否 No
4. 閣下是否其他香港聯合交易所參與者之僱員或任何根據證券及期貨條例註冊之人士? Are you an employee of any participant of The Stock Exchange of Hong Kong or a registered person under the Securities and Futures Ordinance? <input type="checkbox"/> 是 Yes, 參與者名稱 Participant Name: _____ 職位 Position: _____ (中央編號 CE No.: _____) 是否已取所屬持牌法團之授權信? Have you obtained written approval from your accredited licenced corporation? <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No <input type="checkbox"/> 否 No
5. 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? <input type="checkbox"/> 是 Yes, 帳戶號碼 Account No. : _____ 帳戶名稱 Account Name : _____ <input type="checkbox"/> 否 No
6. 閣下是否個人或與閣下的配偶共同控制致富證券有限公司任何公司保證金帳戶 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? <input type="checkbox"/> 是 Yes, 帳戶號碼 Account No. : _____ 帳戶名稱 Account Name : _____ <input type="checkbox"/> 否 No

客戶確認及簽署 Acknowledgement and Execution by Client

關於風險披露聲明及保證金客戶授權書的確認

致富證券有限公司(下稱“致富”)邀請客戶(在下面簽署的客戶)參閱附錄的風險披露聲明及保證金客戶授權書

- 客戶確認致富以客戶選擇的語言(英文或中文) 提供了保證金客戶協議書及其附錄。
- 客戶進一步確認致富已經邀請客戶閱讀風險披露聲明及保證金客戶授權書, 並提出問題及徵求獨立的意見(如客戶有此意願)。

關於提供準確資料的確認

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。

Acknowledgement regarding Risk Disclosure Statement and Authorisation Letter from Margin Client

Chief Securities Limited (the “Company”) refers the Client, the undersigned client(s) to the Risk Disclosure Statement and Authorisation Letter from Margin Client in the Appendices.

- The Client acknowledges that Margin Client’s Agreement and the Appendices attached were provided in a language (English or Chinese) of the Client’s choice.
- The Client further acknowledges that he/she was invited to read the Risk Disclosure Statement and the Authorisation Letter from Margin Client, ask questions and take independent advice, if the Client wishes.

Acknowledgement regarding accuracy of information provided

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

請為本人/吾等(在下面簽署的客戶)開立保證金帳戶。本人/吾等確認已閱讀並明白附上之保證金客戶協議書的所有條款並且接受及同意受該協議書約束。

Please open a **MARGIN ACCOUNT** for me/us, the undersigned client(s). I/We, the undersigned client(s), have read and understand the provisions of the attached Margin Client’s Agreement (“Agreement”) and accept and agree to be bound by the same.

Date 日期: _____年 _____月 _____日
 YY MM DD

1. 客戶簽署 Signed by Client		見證人 Witness by
客戶名稱 A/C Name: _____	見證人名稱 Witness Name: _____	
2. 客戶簽署 Signed by Client		見證人 Witness by
客戶名稱 A/C Name: _____	見證人名稱 Witness Name: _____	
聯名帳戶適用 For Joint Account only	帳戶操作指示方式 Account Operation on instruction of <input type="checkbox"/> 任何一位帳戶持有人 Either one of the account holders <input type="checkbox"/> 兩位帳戶持有人 Both account holders	

電子交易服務 Electronic Trading Service

請為本人/吾等(在下面簽署的客戶) 提供電子證券交易服務。本人/吾等確認已閱讀並明白附上之電子證券交易服務協議書的所有條款並且接受及同意受該協議書約束。

Please provide electronic stock trading service for me/us, the undersigned client(s). I/we, the undersigned Client, have read and understood the provisions of the attached Electronic Stock Trading Services Agreement (“Agreement”) and accept and agree to be bound by the Agreement.

Date 日期: _____年 _____月 _____日
 YY MM DD

1. 客戶簽署 Signed by Client		見證人 Witness by
客戶名稱 A/C Name: _____	見證人名稱 Witness Name: _____	
2. 客戶簽署 Signed by Client		見證人 Witness by
客戶名稱 A/C Name: _____	見證人名稱 Witness Name: _____	
密碼送遞 Password Delivery:	<input type="checkbox"/> 親自到取 In person <input type="checkbox"/> 郵寄 By Mail <input type="checkbox"/> 電郵 By Email: _____	
網上即時報價服務** Type of Online Stock Quote Plan:	<input type="checkbox"/> 不需要即時報價 Do not need such service <input type="checkbox"/> 阿斯達克 AA-stock (月費 Monthly Fee : HK\$ 368) <input type="checkbox"/> 股市寶 AFE (月費 Monthly Fee : HK\$ 350) 由 _____年 _____月 _____日起	
**本人/吾等確認知悉(i) 申請網上即時報價需繳付月費 (以上月費不足一個月亦作一個月計); (ii) 月費將於每月初從本人之帳戶中扣除。 I/We acknowledge that (i) the Online Stock Quote Plan is charged monthly and on calendar-month basis, (ii) Payment will be debited directly from my/our trading account at the beginning of each month.		
簽署 Signed by Client : _____		

股票期權帳戶之客戶確認及簽署 Acknowledgement and Execution by Client for Stock Options Account

關於風險披露聲明及授權書的確認

致富證券有限公司(下稱“致富”)邀請客戶參閱附錄的風險披露聲明及股票期權客戶授權書

- 客戶確認致富以客戶選擇的語言(英文或中文) 提供了股票期權客戶協議書及其附錄。
- 客戶進一步確認致富已經邀請客戶閱讀風險披露聲明及股票期權客戶授權書，並提出問題及徵求獨立的意見(如客戶有此意願)。

Acknowledgement regarding Risk Disclosure Statement and Letter of Authorisation

Chief Securities Limited (the “Company”) refers the Client, the undersigned client(s) to the Risk Disclosure Statement and Authorisation Letter from Stock Options Clients

- The Client acknowledges that the Stock Options Client Agreement and the Appendices attached were provided in a language (English or Chinese) of the Client’s choice.
- The Client further acknowledges that he/she was invited to read the Risk Disclosure Statement and Letter of Authorisation, ask questions and take independent advice, if the Client wishes.

請為本人/吾等(在下面簽署的客戶)開立**股票期權帳戶**。本人/吾等確認已閱讀並明白附上之股票期權客戶協議書的所有條款並且接受及同意受該協議書約束。

Please open an **STOCK OPTIONS ACCOUNT** for me/us, the undersigned client(s). I/We, the undersigned Client, have read and understand the provisions of the attached Stock Options Client Agreement and accept and agree to be bound by the same.

Date 日期：_____年____月____日
 YY MM DD

1. 客戶簽署 Signed by Client	見證人 Witness by
客戶名稱 A/C Name: _____	見證人名稱 Witness Name: _____
2. 客戶簽署 Signed by Client	見證人 Witness by
客戶名稱 A/C Name: _____	見證人名稱 Witness Name: _____

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 customer so wishes.

Date 日期：_____年____月____日
 YY MM DD

職員簽署 Signed by Staff	職員姓名 Name of Staff :
	中央編號 CE Number :

只供公司內部使用

介紹人	戶口號碼(如是本公司客戶):		
文件核對清單	佣金收費		信貸限額\$
<input type="checkbox"/> 身份證/護照副本 <input type="checkbox"/> 住址證明	普通	% 最低收費\$	客戶號碼
<input type="checkbox"/> 保證金客戶授權書 <input type="checkbox"/> 股票期權客戶授權書	即日	% 最低收費\$	經紀代號
如客戶遵從程序 1 開戶，其交付之支票	網上	% 最低收費\$	佣金代號
<input type="checkbox"/> 保留支票副本 <input type="checkbox"/> 香港持牌銀行支票 <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			
開戶批核	密碼發送	備註	
職員名稱 _____	職員名稱 _____		
職位 _____	職位 _____		
日期 _____年____月____日	日期 _____年____月____日		
資料輸入 _____年____月____日	資料核對 _____年____月____日		