

# 個人/聯名

Individual/Joint  
Account Opening Form

越

秀

證券

Client Name  
客戶名稱 \_\_\_\_\_

Account No.  
賬戶號碼 \_\_\_\_\_

Opening Date  
開戶日期 \_\_\_\_\_

個人/聯名賬戶申請表  
Individual/Joint Account Opening Form

證券商名稱: 越秀證券有限公司 ( "越秀證券" )  
Name of Issuer: Yue Xiu Securities Company Limited ("Yue Xiu Securities")

香港證監會持牌編號: ABQ722  
SFC License Number:

註冊地址: 香港灣仔港灣道30號新鴻基中心49樓17-37室  
Registered Address: Room 17-37, 49/F, Sun Hung Kai Centre,  
30 Harbour Road, Wanchai, Hong Kong

本表格之英文版本而非中文版本被視為確實及具有最終效力。閣下如需索取有關條款和條件的英文版本，請向本行查詢。

The terms of the English version shall be deemed to be conclusive and definitive. Please approach Yue Xiu Securities Co. Ltd. for a copy of Terms and Conditions in English if necessary.

## 注意事項 Important Notes

非親身開戶程序：

Non Face-to-Face Account Opening Approach:

如果客戶並非在越秀證券的證監會持牌員工在場見證下簽立本開戶申請表格及其他開戶文件，客戶須向越秀證券提交下列文件：

If this Account Opening Application Form and the other account opening are not executed by the Client in the presence of a SFC licensed employee of Yue Xiu Securities, the Client shall submit the following items to Yue Xiu Securities:

- |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>(a) 由指定人士（包括非越秀證券員工的任何證監會持牌人或註冊人、證監會持牌人或註冊人的附屬機構 / 太平紳士 / 專業人士，例如持牌銀行的分行經理 / 執業律師 / （執業）會計師 / 公證人）見證的正式填妥及簽署的開戶表格；及<br/>the duly completed and signed Account Opening Form witnessed by a specified person (including any SFC Licensed or Registered Person other than the employees of Yue Xiu Securities, an affiliate of a SFC Licensed or Registered Person / a Justice of Peace / a professional person e.g. Branch Manager of a Licensed Bank / Practising Lawyer / Certified Public Accountant (Practising) / Notary Public); and</p> | <p>(b) 由指定人士（包括非越秀證券員工的任何證監會持牌人或註冊人 / 證監會持牌人或註冊人的附屬機構 / 太平紳士 / 專業人士，例如持牌銀行的分行經理 / 執業律師 / （執業）會計師 / 公證人）認證的上述開戶申請清單中要求的身份證明文件。<br/>the identity documents as required under the Account Opening Checklist certified by a specified person (including any SFC Licensed or Registered Person other than the employees of Yue Xiu Securities, an affiliate of a SFC Licensed or Registered Person / a Justice of Peace / a professional person e.g. Branch Manager of a Licensed Bank / Practising Lawyer / Certified Public Accountant (Practising) / Notary Public).</p> |
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此外，客戶可向越秀證券提交下列文件：

Alternatively, the Client may submit the following items to of Yue Xiu Securities:

- (a) 填妥及簽署的開戶表格；  
the duly completed and signed Account Opening Form;
- (b) 開戶清單下要求之身份證明文件的副本；及  
copy of the identity documents as required under the Account Opening Checklist; and
- (c) 金額為港幣\$10,000 或以上（或由越秀證券告知之金額）的劃線支票，支票上載有客戶提交的身份證明文件中顯示的客戶名稱，支帳銀行帳戶為客戶在香港持牌銀行開立的銀行帳戶，支票上的簽署如開戶表格上所示的客戶的授權簽署，抬頭為「越秀證券有限公司」；  
a crossed cheque of HK\$10,000 or more (or such amount as may be advised by Yue Xiu Securities) bearing the Client's name shown in the identity document submitted and drawn on the Client's bank account with a licensed bank in Hong Kong with the Client's authorised signature(s) as shown on this Accounting Opening Form to "Yue Xiu Securities Company Limited";

（請注意，越秀證券僅在支票兌現後方會啟動帳戶。）

(Please note that Yue Xiu Securities will not activate the new account(s) until such cheque is cleared.)

## 風險披露聲明 Risk Disclosure Statement

越秀證券特此提請您注意載於《客戶協議》C 部分可能不時修改的《風險披露聲明》

Yue Xiu Securities hereby draw your attention to the Risk Disclosure Statement set out in Part C of the Client Agreement, which may be amended from time to time.

開戶申請表格 ACCOUNT OPENING APPLICATION FORM  
 個人/聯名帳戶適用 FOR INDIVIDUAL / JOINT ACCOUNT

只供內部使用 Internal Use Only

賬戶號碼 Account No. : \_\_\_\_\_

業務人員編號 Sales Staff Code : \_\_\_\_\_

註: 1.請用正楷填寫,並在適當位置加上別號。  
 Note: Please complete in Block Letters and tick ✓ the appropriate box where applicable.

2.請刪去不適用者,並在不適用位置填上"N/A"。  
 Please delete whichever is not appropriate and mark "N/A" on the unfilled spaces.

**1. 帳戶類別 TYPE OF ACCOUNT**

<b>證券帳戶</b> <b>Securities Account</b> A ) <input type="checkbox"/> 個人帳戶 <input type="checkbox"/> 聯名帳戶 Individual Account      Joint Account B ) <input type="checkbox"/> 現金帳戶 (附託管服務) Cash Account (with custody services) <input type="checkbox"/> 孖展帳戶 Margin Account C ) <input type="checkbox"/> 環球股票 <input type="checkbox"/> 中港通 Global Market      China-HK Connect Services	<b>股票期權帳戶</b> <b>Stock Options Account</b> A ) <input type="checkbox"/> 個人帳戶 Individual Account <input type="checkbox"/> 聯名帳戶 Joint Account	<b>電子交易</b> <b>Electronic Trading</b> 閣下是否需要電子交易服務? Would you require electronic trading services? <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
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\*註: 如聯名帳戶,每名個別聯名帳戶持有人必須填寫另一份開戶申請書

\*Note: For Joint Account, each account holder should complete a separate Account Opening Form

**2. 客戶資料 CLIENT INFORMATION**

<input type="checkbox"/> 先生 Mr. <input type="checkbox"/> 女士 Ms. <input type="checkbox"/> 太太 Mrs.		英文姓名 English Name		中文姓名 Chinese Name	
性別 Gender <input type="checkbox"/> 男 Male <input type="checkbox"/> 女 Female		證件號碼及簽發國家 Identity Card / Passport Number and Issuing Country			
出生日期 (日/月/年) Date of Birth (dd/mm/yy)		國籍 Nationality		婚姻狀況 Marital Status	
住宅地址 (不接受郵政信箱) Residential Address (No P.O. Box)					
郵寄地址 (如與住宅地址不同): Mailing Address (If different from Residential Address)					
住宅電話 Home Tel. No.		手提電話 Mobile No.		傳真號碼 Fax No.	
電郵地址 E-Mail Address					
結單收取方式 Way of statement delivery: <input type="checkbox"/> 電子郵件 By Email <input type="checkbox"/> 郵寄 By Post					
教育程度 Education <input type="checkbox"/> 小學或以下 <input type="checkbox"/> 中學 <input type="checkbox"/> 大專 <input type="checkbox"/> 大學 <input type="checkbox"/> 碩士或以上 Primary or below      Secondary      Diploma      Graduate      Postgraduate or above					
工作狀況 Employment Details <input type="checkbox"/> 受僱 <input type="checkbox"/> 兼職 <input type="checkbox"/> 自僱 <input type="checkbox"/> 學生 <input type="checkbox"/> 退休 <input type="checkbox"/> 其他 Full-time Employment    Part-time Employment    Self-employed    Student    Retired    Others Please specify: _____					
僱主名稱 Name of Employer				業務性質 Nature of Business	
公司地址 Office Address					
職位名稱 Title		公司電話 Business Tel. No.		傳真號碼 Fax No.	
工作年期 Years in the Occupation					



<只適用於聯名帳戶 For Joint Account only >

與聯名帳戶持有人的關係

Relationship among Joint Account Holder(s)

此帳戶可根據以下指示方式操作:

The Account can be operated under the instructions of:

☐ 任何一位聯名帳戶持有人發出 Singly by any one of the Joint Account Holders

☐ 聯名帳戶所有持有人共同發出 Jointly by the Joint Account Holders

### 3. 結算安排 SETTLEMENT ARRANGEMENT

有關款項將會根據貴公司的提款指示轉帳至以下銀行帳號

Funds will be transferred to the following bank accounts pursuant to your fund withdrawal instruction.

	(1)	(2)
往來銀行名稱 Name of Bank :		
帳號持有人名稱 Account Holder's Name :		
往來銀行帳號 Bank Account No. :		
帳號類別/貨幣 Account Type/ Currency :		

### 4. 個人/ 聯名帳戶主要持有人財務資料簡要 FINANCIAL PROFILE

收入來源 (可選擇多於一項)

Source of Income (You may choose more than one option)

☐ 薪金 Salary

☐ 佣金 Commission

☐ 租金 Rent

☐ 儲蓄 Saving

☐ 投資獲利 Return on Investment

☐ 遺產承繼 Inheritance or gifts

☐ 業務溢利 Business Income

☐ 其他 Others (Please specify)(請說明): \_\_\_\_\_

每年收入(港元)

Annual Income (HK\$)

☐ ≤HK\$ 150,000

☐ HK\$150,001 – HK\$500,000

☐ HK\$500,001 – HK\$1,000,000

☐ HK\$1,000,001 – HK\$2,000,000

☐ ≥HK\$2,000,000

估計淨資產值(港元)

Estimated Net Worth (HK\$)

☐ ≤HK\$ 500,000

☐ HK\$1,000,001 – 3,000,000

☐ HK\$5,000,001 – 8,000,000

☐ HK\$10,000,001-15,000,000

☐ ≥HK\$20,000,001

☐ HK\$500,001 – 1,000,000

☐ HK\$3,000,001 – 5,000,000

☐ HK\$8,000,001-10,000,000

☐ HK\$15,000,001-20,000,000

資產類別 (可選擇多於一項)

Asset Type (You may choose more than one option)

☐ 土地及物業 Land and Property

☐ 現金/存款 Cash/ Deposit

☐ 基金 Funds

☐ 公司股份 Company Shares

☐ 車輛 Vehicle(s)

☐ 遺產 Inheritance

☐ 股票 Stocks

☐ 債券 Bonds /Debentures

☐ 外匯 Foreign Exchange

☐ 貴金屬 Precious Metal

土地及物業

Ownership of Landed Property/ Real Estate

☐ 有 Yes ☐ 無 No

如是,請說明: \_\_\_\_\_

If yes, please specify

☐ 涉及融資 With Financing ☐ 不涉及融資 Without financing

資金來源

Source of Funds

☐ 個人儲蓄 Own Savings

☐ 個人投資 Own Investment

☐ 業務溢利 Business Profit

☐ 家人 Family

☐ 遺產 Inheritance

☐ 朋友 Friends

☐ 其他 Others: \_\_\_\_\_

破產紀錄

Bankruptcy

閣下是否曾經宣佈破產?

Have the client ever declared bankruptcy?

☐ 是 Yes

☐ 否 No

如是,請說明日期及詳情:

If yes, please specify date and details:

\_\_\_\_\_  
 \_\_\_\_\_

## 5. 投資目的及經驗評估 ASSESSMENT OF INVESTMENT OBJECTIVES AND EXPERIENCE

### 投資目的

#### Investment Objectives

- ☐ 資本增長 Capital Appreciation      ☐ 賺取收入 Generating Income  
☐ 對沖 Hedging      ☐ 套戥 Arbitrage  
☐ 投機 Speculation  
☐ 其他 (請說明) Others (Please specify): \_\_\_\_\_

### 投資產品經驗

#### Investment Products Experience

- ☐ 全無經驗 No experience  
☐ 香港上市證券 Hong Kong listed securities  
☐ 海外上市證券 Overseas listed securities  
☐ 香港期貨及期權 Hong Kong futures and options  
☐ 海外期貨及期權 Overseas futures and options  
☐ 衍生產品/認股權證 Derivative Products / Warrant  
☐ 其他 (請說明) Others (Please specify): \_\_\_\_\_

### 經驗年期

#### Years of experience

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

### 投資期

#### Investment Horizon

- ☐ 沒有限制 No Constraint  
☐ 短期(少於 3 個月) Short Term (<3 months)  
☐ 中期(3-12 個月) Medium Term (3-12 months)  
☐ 長期(1 年以上) Long Term (>1year)

### 風險承受程度 (請擇其一)

#### Level of Risk Tolerance (choose only one)

- ☐ 低風險 Low      ☐ 中風險 Medium      ☐ 高風險 High

請留意證券保證金帳戶屬於中風險或高風險類別

\*Please note that securities margin account belongs to medium and/or high risk categories

### 曾選用的經紀公司

#### Previous Brokerage Firms

請列出閣下曾選用的經紀公司

Please specify any brokerage firms that has ever provided services to you

(1) \_\_\_\_\_ (2) \_\_\_\_\_

### 估計投資金額 (港元)

#### Estimated Investment Amount (HK\$)

HK\$ \_\_\_\_\_

OR 或

( ) \$ \_\_\_\_\_

## 6. 對結構性及衍生產品認識之評估問卷 DERIVATIVE KNOWLEDGE ASSESSMENT QUESTIONNAIRE

### 1. 閣下對結構性或衍生產品有沒有認識?

Do you have any knowledge on structured or derivative product(s)?

- ☐ 有 Yes      ☐ 沒有 No      (如閣下對衍生產品沒有認識，閣下將不能交易衍生產品)  
 (You will not be allowed to trade derivative products if no related knowledge)

### 2. 閣下有沒有參加過任何有關一般結構性或衍生產品之性質及風險的培訓課程 (例如：由金融或學術機構所提供之課程)?

Have you undergone or attended training courses or seminars that provide general knowledge of the nature and risks of structured or derivative products(s) (e.g. courses offered by financial or academic institutions)?

- ☐ 有 Yes      ☐ 沒有 No      如有，請詳細列明提供培訓或修讀課程之名稱、日期：  
 If yes, please specify the name of the course / seminars, the date they attended :

培訓或修讀課程之名稱

Name of the courses / seminars: \_\_\_\_\_

培訓或修讀以上課程之日期

Date of attending the above courses / seminars: \_\_\_\_\_

### 3. 閣下的工作經驗是否與結構性或衍生產品有關 (請提供公司名稱、行業/業務性質、職位及在職日期/營業年期)

Do you have any working experience related to structured or derivative product(s)? (Please state the Company Name, Industry/Business Nature, Position and the Employment of Services period/Operation of Business period)

- ☐ 有 Yes      ☐ 沒有 No      如有，請詳細列明：  
 If yes, please specify :

公司名稱

Company Name \_\_\_\_\_

行業/業務性質

Industry/Business Nature \_\_\_\_\_

職位

Position \_\_\_\_\_

在職年期/營業年期

Year(s) of Employment / Business \_\_\_\_\_

### 4. 閣下是否於過去三年進行五宗或以上有關以下任何產品的交易?如有，請從下列選擇 (如適用可選數項)：

Have you invested into any of the product(s) below more than five times in the past three years? If yes, please select the product(s) below (multiple options if applicable):

- ☐ 有 (請提供相關證明) Yes (Please provide supporting documents)      ☐ 沒有 No
- ☐ 交易所買賣換股價債券 Exchange Traded Convertible Bonds      ☐ 股票掛鉤產品 Equity Linked Instruments / Notes (ELI/ELN)  
☐ 牛熊證 Callable Bull/Bear Contract (CBBC)      ☐ 交易所買賣基金 Exchange Traded Funds (ETF)  
☐ 供股權 Rights      ☐ 期貨或期權合約交易 Futures and Options  
☐ 股票期權 Stock Options      ☐ 衍生認股證 Derivative Warrants



## 7. 身份披露 DISCLOSURE OF IDENTITY

1.閣下或閣下的授權人(如適用)是否証監會之持牌或註冊人士或持牌或註冊人士之董事或僱員?

Are you or your authorized person (if applicable) a licensed or registered person, director or employee of a person licensed by or registered with the SFC?

☐ 是 ☐ 否  
Yes No

如是，謹請說明：

If yes, please specify

(a)機構及有關人士的名稱：

Name of Person(s) and Institution(s) \_\_\_\_\_

(b)閣下是否已接獲其僱主對開立帳戶的同意書?請提供有關同意書。  
Have you obtained the relevant consent letter from your employer for opening of this Account? Please provide the relevant consent letter

☐ 是 Yes ☐ 否 No

2.閣下或閣下之任何關連人士如配偶、父母、或子女等，是否任何公司之高級行政人員或董事或控制任何公司之人士而該公司之股份在任何交易所或市場買賣?

Are you or any person connected with you (e.g. your spouse, parent or children) a senior officer or director of any company whose shares are traded on any exchange or market or otherwise in control of such company?

☐ 是 ☐ 否  
Yes No

如是，謹請說明：

If yes, please specify \_\_\_\_\_

3.政治人物 Politically Exposed Person

閣下及/或閣下的配偶、伴侶、子女、父母或有密切關係的人及/或其授權人(如適用)、其各自的配偶、伴侶、子女或父母、或該名個人的子女的配偶或伴侶、或與該名個人有關係密切的人是否

(a) 在任何地方擔任或曾擔任重要的公職(包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事);或  
(b) 擔任地方政治人物(其中應包括但不限於地方政府、區域政府部長或大型城市市長)?

Are you and/or your spouse, partner, children, parents or close associates and/or your authorized person (if applicable), any of their respective spouses, partners, children or parents, or a spouse or a partner of a child of such individual, or close associate of such individual is or has been entrusted

(a) with a prominent public function or holding senior public office in any place (which shall include a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and an important political party official); or

(b) as a sub-national political figure in any place (which shall include but not limited to head of regional governments, regional government ministers or large city mayors)?

☐ 是 ☐ 否  
Yes No

如是，請提供資料如下：

If yes, please provide

政治人物的名稱：

Name of the politically exposed person \_\_\_\_\_

所擔任的公職的年期：

Term of the public function entrusted with \_\_\_\_\_

地方及所擔任的公職：

Place and public function entrusted with \_\_\_\_\_

與客戶之關係：

Relationship with the client \_\_\_\_\_

4.閣下是否個人或與配偶、父母、及/或子女共同操作另一越秀證券帳戶?

Are you operating another account in Yue Xiu Securities either by yourself or jointly with your spouse, parent and/or children?

☐ 是 ☐ 否  
Yes No

如是，其帳戶姓名為：

If yes, the Account Name is \_\_\_\_\_

帳戶號碼：

Account No \_\_\_\_\_

5.閣下的配偶、父母、或子女是否越秀證券的客戶?

Is your spouse, parent or children a client of Yue Xiu Securities?

☐ 是 ☐ 否  
Yes No

如是，其關連帳戶姓名為：

If yes, the Account Name is \_\_\_\_\_

帳戶類別

Type of Account:

☐ 現金

Cash

☐ 孖展

Margin

帳戶號碼：

Account No \_\_\_\_\_

6.閣下是否個人或與配偶共同控制任何越秀證券的客戶35%或以上的投票權?

Are you controlling 35% or more of the voting rights of any corporate clients of Yue Xiu Securities either by yourself or jointly with your spouse?

☐ 是 ☐ 否  
Yes No

如是，其關連帳戶姓名為：

If yes, the Account Name is \_\_\_\_\_

帳戶號碼：

Account No \_\_\_\_\_

7.閣下或其授權人(如適用)是否越秀證券之任何董事或僱員之親屬?

Are you or your authorized person (if applicable) an employee or director of Yue Xiu Securities or a relative of any employee or director of Yue Xiu Securities?

☐ 是 ☐ 否  
Yes No

如是，請說明：

If yes, please specify \_\_\_\_\_

機構及有關人士的名稱

Name of Person(s) and Institution(s) \_\_\_\_\_

8.閣下是否為美國公民(持有美國護照)或美國居民(持有美國綠卡)?

Are you a U.S. citizen or resident?

☐ 是 ☐ 否  
Yes No

## 8. 最終實益擁有人 ULTIMATE BENEFICIAL OWNER(S) OF THE ACCOUNT

1. 閣下是否此帳戶最終受益人或擁有人?

Are you the ultimate beneficiary owner(s) of the Account and bearing the commercial?

☐ 是 ☐ 否 如否,請提供最終受益人或擁有人之詳盡資料:  
 Yes No If no, give detailed particulars of ultimate beneficiary owner(s)

英文姓名: 中文姓名:  
 Name in English Name in Chinese

身分證/護照號碼及發行國家: 電話號碼:  
 ID/Passport No. and Issuing Country Tel. No.

地址:  
 Address

\*Note: Please provide copies of all relevant documents, if any.

\*註: 請提供所有有關的文件副本(如適用)。

2. 閣下是否對發出指令負最終責任?

Are you the person ultimately responsible for originating instructions?

☐ 是 ☐ 否 如否,請提供最終發出指示人士之詳盡資料:  
 Yes No If no, give detailed particulars of the person ultimately responsible for originating instructions

英文姓名: 中文姓名:  
 Name in English Name in Chinese

身分證/護照號碼及發行國家: 電話號碼:  
 ID/Passport No. and Issuing Country Tel. No.

地址:  
 Address

3. 閣下是信託基金受託人嗎?

Are you a trustee of a trust?

☐ 是 ☐ 否  
 Yes No

4. 閣下代表信託基金執行交易嗎?

Are you carrying out a transaction on behalf of a trust?

☐ 是 ☐ 否 如果是, 給出信託基金詳細資訊:  
 Yes No If yes, give detailed particulars of the trust:

信託基金名稱: 訂立/委託日期:  
 Name of Trust Date of Establishment/ Settlement

信託基金司法管轄區/管轄法律: 委託人姓名:  
 Jurisdiction/ Laws Governing the Trust Name of Settlor

保護人或執行人身份姓名: 委託人身份資訊:  
 Name of Protector(s) or Enforcer(s) Identification Information of Settlor

保護人或執行人身份資訊: 受益人姓名:  
 Identification Information of Protector(s) or Enforcer(s) Name of Beneficiary(ies)

受益人身份資訊: 請提供信託契約副本以供核實。  
 Identification Information of Beneficiary(ies) \*Note: Please provide a copy of the Trust Deed for verification.

## 9. 客戶確認及聲明 CLIENT'S ACKNOWLEDGEMENT AND DECLARATION

在簽署本開戶申請表格之前, 請:

Prior to signing this Account Opening Application Form, please

(a) 注意所有與越秀證券達成或通過越秀證券達成的交易均遵守客戶協議條款; 並且

note that all transactions to be concluded with or through Yue Xiu Securities shall be subject to the Terms and Conditions of the Client Agreement; and

(b) 請仔細閱讀客戶協議 (包括風險披露聲明), 提問並在閣下希望時聽取獨立意見。

read the Client Agreement (including the Risk Disclosure Statement therein) carefully, ask questions and take independent advice if the Client so wishes.

本人在此保證並聲明本《開戶申請表格》的資料均屬真實、完整、符合現況和正確的。本人在此授權越秀證券可在任何時刻從本人銀行、經紀或任何信用調查機構處獲得參考信息和帳戶餘額 (本人放棄其中涉及的任何保密權利), 並且可以聯繫任何其他人士核實本人所提供的資訊。而且, 本人在此授權越秀證券執行以查明本人財務狀況和投資對象為目的的信用查詢和核實。本人承諾將通知越秀證券本表格及其附件內所提供資料的變更。

I warrant and represent that the information contained in this Account Opening Form is in all respects true, complete, up-to-date and correct. Yue Xiu Securities is entitled to rely fully on such information and representations for all purposes, unless Yue Xiu Securities receives notice in writing of any change. Yue Xiu Securities is authorized to obtain at any time references and account balances from, including but not limited to, my bankers, broker or any credit agency (I waive any duty of confidentiality involved) and to contact any person for purposes of verifying the information contained herein. Further, I hereby authorize Yue Xiu Securities to conduct credit enquiries and checks for the purpose of ascertaining my/our financial situation and investment objective. I undertake to notify Yue Xiu Securities in writing forthwith upon any changes to any of the information contained herein.



本人在此聲明並確認本人已經收到、閱讀和理解由本文件及其附件構成的《客戶協議》(「該協議」)，包括在上述《客戶協議》內所包含有關的《風險披露聲明》、個人資料(隱私)收集聲明和其他有可能由越秀證券與本人之間不時以書面達成的補充協議、任何與證券保證金融資相關的授權書，並且接受和同意受以上各項及其不時修訂及/或補充協議的約束。

I hereby declare and confirm that I have received, read and understood the Client Agreement of which this document and its attachments form a part (the "Agreement"), including the relevant Risk Disclosure Statements contained in the aforesaid Client Agreement, Personal Data (Privacy) Collection Statement and other supplements which may be entered into in writing between Yue Xiu Securities and me from time to time, any letters of authorizations relating to securities margin financing, and accept and agree to be bounded by each of the above and as amended and/or supplemented from time to time.

本人理解越秀證券有可能要求本人提供有關本表格內資訊的其他資訊或提交文件證明。本人理解，本人提交本表格以及越秀證券接受本表格不以任何方式表明帳戶開設已批准，越秀證券保留無條件拒絕申請的權利。

I understand that I may be required to provide additional information or submit documentary proof as to the information provided in this form when requested by Yue Xiu Securities. I understand that my/our submission of this form and the acceptance of this form by Yue Xiu Securities in no way implies approval for opening of the Account for me/us and that Yue Xiu Securities reserves the unconditional right to reject my/our application.

本人在此申請開設如上述類型的帳戶並同意受該協議約束(本人確認已經收到了本表格的副本)，包括標準條件和條款以及相關附件和隨時有可能修訂和補充的相關協議。

I hereby apply to open the above type(s) of account and agree to be bound by the Agreement (receipt of a copy whereof is hereby acknowledged by me) including its Standard Terms and Conditions and relevant Schedule(s) as the same may be amended and supplemented from time to time.

本人確認收到附於《客戶協議》的個人資料(私隱)政策聲明，並理解此聲明(可能不時被修訂或補充)可透過向越秀證券數據保護人員提出書面請求，從越秀證券的網站 <http://www.yxsh.hk> 下載。本人已閱讀並理解附於《客戶協議》的個人資料(私隱)政策聲明的規定，並同意接受可能不時被修訂或補充的個人資料(私隱)政策聲明的規定。

I acknowledge receipt of a copy of the Personal Data (Privacy) Collection Statement ("PDPCS") which is annexed to the Client Agreement and understand that the PDPCS (which may be amended or supplemented from time to time) is available for download from Yue Xiu Securities' website at <http://www.yxsh.hk> upon written request made to Yue Xiu Securities' Data Protection Officer. I have read and understood the provisions of the PDPCS annexed to the Client Agreement and agree to accept the provisions of the PDPCS as they may be amended or supplemented from time to time.

☐ 本人不同意將吾等的個人資料用於有關《個人資料(私隱)條例》(香港法例第486章)並於《客戶協議》內所載的個人資料(私隱)政策聲明內所述的直銷用途。

(\*如閣下未有在空格加上√但在此表格上簽署表示接納有關個人資料(私隱)政策聲明，將表示閣下不反對(即同意)閣下的個人資料可被用作相關的直銷用途或有關的個人資料轉移(即於個人資料(私隱)政策聲明內所述)。閣下可隨時撤銷該同意以停止接收任何推廣資料或物品。

I object to the use of my personal data for direct marketing as specified in the PDPCS set out in the Client Agreement relating to the Personal Data (Privacy) Ordinance.

(\*If you do not tick the box but sign on this Account Opening Form to signify your acceptance of the PDPCS, you will be regarded as having indicated that you have no objection and have consented to the use or transfer to other parties of your personal data for direct marketing as stated in the PDPCS. You may still opt-out from receiving any marketing information or materials at any time should you wish to withdraw your consent.)

只適用於孖展帳戶 For Margin Account clients only

本人現申請越秀證券之孖展帳戶，並同意接受越秀證券的《客戶協議》內有關保證金的條款、其證券條款(包括《客戶協議》內的所有部分、風險披露聲明及於所述的條款及其不時的修改所約束。本人確認吾等已經按照本人選擇的語言閱讀和理解《客戶協議》以及風險披露聲明。本人已經按邀請閱讀了《客戶協議》及《風險披露聲明》，提出問題並徵求獨立意見(如果本人有此意願)。

I hereby apply for the Margin Account from Yue Xiu Securities and agree to be bound by the Client Agreement (including all Parts including the Risk Disclosure Statement thereunder and all Parts and Schedules thereto, in particular, the terms and conditions set out in Schedule 1 Additional Terms and Conditions for Securities Margin Financing in Part B contained therein) of Yue Xiu Securities as amended and/or supplemented from time to time in addition to its Client Agreement for Securities Trading. I confirm that I have read and understood the said Client Agreement and that the Risk Disclosure Statement contained therein has been provided to me in the language of my choice, and that I have been invited to read the same, to ask questions and to take independent advice if I wish.

本人現承諾及確認吾等已授權越秀證券根據《客戶協議》內有關保證金的條款處理吾等的證券及證券抵押品。授權有效期由協議日期起計不超過12個月，有關授權可根據適用的法律及規則，在(i)協議訂立之年份的最後一天或之前及(ii)隨後之每個曆年的最後一天或之前，經本人同意延續或被視為延續，而每一次延續有效期為12個月。

I acknowledge and confirm that I have authorized Yue Xiu Securities to deal with my securities and securities collateral in accordance with Clause of the aforesaid Client Agreement for Margin Financing. This authority is given for a period of not more than twelve months from the date hereof and may be renewed by my consent, or deemed to be renewed, at or before the end of (i) the calendar year of the date hereof and (ii) each subsequent calendar year for, in each instance, a further twelve months in accordance with the applicable laws and rules.

帳戶持有人簽署/簽署式樣\*：

Primary Account Holder's Signature/Specimen Signature\*:

姓名 Client Name:

日期 Date:

帳戶第二持有人簽署/簽署式樣\*(僅適用聯名帳戶)：

Secondary Account Holder's Signature/Specimen Signature\*  
**(For Joint Account Only):**

姓名 Client Name:

日期 Date:

\*簽署式樣會用以核實有關操作帳戶的書面指示。

\*Specimen Signature(s) herein will be used to verify all written instructions given relating to the operation of the Account(s).



由本公司持牌代表或合適公證人\*填寫 (如文件不是在越秀證券員工面前簽署)

BELOW TO BE COMPLETED BY THE LICENSED REPRESENTATIVE OF YUE XIU SECURITIES OR A SUITABLE CERTIFIER\* (if this document is not executed in front of Yue Xiu Securities' employee)

見證人姓名 (請使用正楷書寫)

Name

見證人資格或單位 (請使用正楷書寫)

Qualification

見證人地址 (請使用正楷書寫)

Address

見證人簽署

Witness Signature

日期

Date

\*合適公證人：除越秀證券員工外，合適公證人應由其他持牌人或註冊人、持牌人或註冊人的聯繫人士、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。

\*Suitable Certifier: a specified person (including any SFC Licensed or Registered Person other than the employees of Yue Xiu Securities / an affiliate of a SFC Licensed or Registered Person / a Justice of Peace / a professional person e.g. Branch Manager of a Licensed Bank / Practising Lawyer / Certified Public Accountant (Practising) / Notary Public)

#### 10. 由持牌代表填寫 DECLARATION TO BE COMPLETED BY LICENSED REPRESENTATIVE

1. 本人 (姓名以正楷填寫) 持有 CE 編號 , 作為越秀證券的僱員及根據《證券及期貨條例》下獲發牌人士，聲明及確認本人已按上述客戶選擇的中/英文\*語言版本提供包含《風險披露聲明》的《客戶協議》，且本人並邀請該客戶閱讀該等條款。

(Name in Block Letters) with C.E. Number being a member of staff of Yue Xiu Securities, and a person licensed as a representative under the Securities and Futures Ordinance (Cap. 571 of the Laws of Hong Kong), hereby declare and confirm that I have provided the Risk Disclosure Statement contained in Part C of the Client Agreement in English/ Chinese\* which is a language of the above Client's choice to the above Client(s) and that I have invited the Client(s) to read the same, to ask questions and to take independent advice (if the Client so wish).

\* 刪去不適用 Delete if not applicable

通過 By way of: ☐ 電話 Telephone

☐ 面對面 Face to Face

電話錄音號碼 Recorded Line No.

日期及時間 Date & Time

持牌代表簽署 Signature of Licensed Representative

簽署日期 Date of Signature

#### 11. 客戶確認 ACKNOWLEDGEMENT BY CLIENT

本人/吾等 (姓名以正楷填寫) 確認本人/吾等收到了《客戶協議》當中所包含的英文/中文\*版本的《風險披露聲明》及附錄 (如適用)，其版本語言與本人/吾等選擇一致，並且本人/吾等已經受邀閱讀了此聲明，提問並聽取了獨立意見 (如果本人/吾等希望聽取)。

I, (Name in Block Letters) confirm that I/we have been provided with Risk Disclosure Statement and any Addendum (if applicable) contained in Part C of the Client Agreement in English/ Chinese\* which is a language of my/our choice and that I have been invited to read the same, to ask questions and to take independent advice (if I so wish).

\* 刪去不適用 Delete if not applicable

帳戶主持人簽署 Primary Account Holder's Signature

帳戶第二持有人簽署 Secondary Account Holder's Signature

(僅適用於聯名帳戶) (For Joint Account Only)

日期 Date

日期 Date

#### 12. 公司批核 APPROVAL BY THE COMPANY

經由越秀證券有限公司承認及接納

Acknowledged and Accepted by

For and on behalf of Yue Xiu Securities Company Limited

授權簽署及公司蓋章

Authorized Signature with Company Chop

**個人及聯名帳戶核對清單 (客戶提供) Account Opening Checklist For Individual & Joint Account (Provided by Client):**

**概要 (個人或聯名帳戶持有人均需提供) General (To be Provided by Both Individual or Joint Account Holder):**

- ☐ 填妥及簽署的開戶申請表  
Duly Completed and Signed Account Opening Application Form
- ☐ 常設授權: 客戶款項  
Standing Authority for Client Money
- ☐ 常設授權: 客戶證券 (適用於孖展帳戶)  
Standing Authority for Client Securities (Applicable to Margin Account)

**香港永久居民 Hong Kong Permanent Resident**

- ☐ 客戶及最終受益人身份證/護照副本 (附客戶簽署)  
Valid Identity Card or Passport Copy of Client (with Client Signature)
- ☐ 最終實益擁有人 (附簽名) 的身份證明文件 (如香港身份證/護照/本地居民身份證)  
Copy of Identity Documents of Ultimate Beneficial Owner(s) (with their own signatures) (e.g. Hong Kong IdentityCard/Passport/Local Resident Identity Card)
- ☐ 附有客戶姓名之最近3個月之住址證明 (公用服務單據/政府部門或機構書信/由香港的銀行發出的信件/其他)  
Client's and Ultimate beneficial owner's residential address proof within last 3 months (Utility bill / correspondence from a government department or agency / statement issued by a bank in Hong Kong / others)
- ☐ 通訊地址證明(如與住址不同)  
Proof of Correspondence Address Issued Within 3 Months (if different from Residential Address)
- ☐ 銀行戶口證明(例如銀行月結單或存摺等) (如適用)  
Bank Account Proof (e.g. bank statement or bank passbook, etc) (where appropriate)
- ☐ 僱主對開立帳戶的同意書(如適用)  
Employer Consent Letter (if applicable)
- ☐ W-8BEN表格 (最終受益人(個人)外籍身分之美國稅款扣繳及申報聲明書) (附中文翻譯)  
Form W-8BEN (Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)) (with Chinese translation)
- ☐ 已填妥及簽署的客戶投資風險問卷  
Duly Completed and Signed Customer Investment Questionnaire (if applicable)
- ☐ 中港通服務承認書(如適用)  
China-HK Connect Services Acknowledgement(when appropriate)
- ☐ 第三方交易授權(如適用)  
Third Party Trading Authorization (if applicable)
- ☐ 全權委託授權(如適用)  
Discretionary Authorization (if applicable)

**非香港永久居民 Non-Hong Kong Permanent Resident**

- ☐ (附客戶簽名) 有效的護照或旅行證件副本  
Copy of Valid Passport or Travel Document of Client (with Client Signature)
- ☐ 附照片的國家 (如政府或國家所簽發的) 身份證明文件 (附客戶簽名) 的副本  
Copy of National (e.g. government or state-issued) Identity Card bearing the Client's photograph (with Client Signature)
- ☐ 最終實益擁有人 (附其簽名) 的身份證/護照副本  
Valid Identity Card or Passport Copy of Ultimate Beneficial Owner(s) (with their own signatures)
- ☐ 附有客戶姓名之最近3個月之住址證明 (水電煤帳單/政府部門或機構書信/由香港的銀行發出的信件/其他)  
Residential address proof within last 3 months (Utility bill / correspondence from a government department or agency / statement issued by a bank in Hong Kong / others)
- ☐ 通訊地址證明(如與住址不同)  
Proof of Correspondence Address Issued Within 3 Months (if different from Residential Address)
- ☐ 銀行戶口證明(例如銀行月結單或存摺等) (如適用)  
Bank Account Proof (e.g. bank statement or bank passbook, etc) (if applicable)
- ☐ 僱主對開戶的同意書(如適用)  
Employer Consent Letter (if applicable)
- ☐ W-8BEN 表格 (最終受益人(個人)外籍身分之美國稅款扣繳及申報聲明書) (附中文翻譯)  
Form W-8BEN (Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting(Individuals)) (with Chinese translation)
- ☐ 中港通服務承認書(如適用)  
China-HK Connect Services Acknowledgement(when appropriate)
- ☐ 已填妥及簽署的客戶投資風險問卷(如適用)  
Duly Completed and Signed Customer Investment Questionnaire (if applicable)
- ☐ 工銀(亞洲)財智帳戶申請表(如適用)  
ICBCA Sub-account Application Form(if applicable)
- ☐ 第三方交易授權(如適用)  
Third Party Trading Authorization (if applicable)
- ☐ 全權委託授權(如適用)  
Discretionary Authorization (if applicable)

**專業投資者額外文件 Additional Forms for Professional Investor**

- ☐ 專業投資者聲明書 (附上投資經驗及資產證明文件)  
Professional Investor Declaration Form (With supporting document for investment experience and portfolio)





## 越秀證券有限公司

YUE XIU SECURITIES COMPANY LIMITED

總辦事處：香港灣仔港灣道30號新鴻基中心49樓17-37室

Principal Office: Room 17-37, 49/F, Sun Hung Kai Centre, 30 Harbour Road, Wanchai, Hong Kong

網址 Website : [www.yxsh.com.hk](http://www.yxsh.com.hk)

電話 Telephone : (852) 3925 9888

傳真 Facsimile : (852) 3925 9980