

Account Opening Form 開戶表格 - For Individual / Joint Account 個人 / 聯名帳戶適用

Section A) Account Type 帳戶類別													
1) Type of Client 客戶類別	<input type="checkbox"/> Individual Account 個人帳戶 <input type="checkbox"/> Joint Account 聯名帳戶												
2) Account Type 帳戶類別	Securities Account (please select one only) 證券帳戶 (只選一項) <input type="checkbox"/> Securities Cash Account 證券現金帳戶 <input type="checkbox"/> Securities Margin Account 證券保證金帳戶 <input type="checkbox"/> Stock Options Account 股票期權帳戶 <input type="checkbox"/> Futures Account 期貨帳戶												
3) Electronic Trading Platform 電子交易平台	(i) Securities Trading (please select one only) 證券交易 (只選一項) <input type="checkbox"/> Offline 離線 <input type="checkbox"/> eWinner (Web Trading Version) eWinner (網上交易版)* <input type="checkbox"/> eWinner Series 點金靈* <small>*Service charge may apply, subject to fee schedule available on YSHK's website *有關服務收費，請參閱 YSHK 網站內「服務詳情」</small>												
	(ii) Stock Options Trading 股票期權交易 YSHK SP Trader												
	(iii) Futures Trading (please select one only) 期貨交易 (只選一項) <input type="checkbox"/> YSHK SP Trader <input type="checkbox"/> Super 8 超八												
Section B) Client Information 客戶資料													
Individual / Principal Account Holder 個人 / 第一帳戶持有人													
1) Title 稱謂	<input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Mrs. 太太 <input type="checkbox"/> Miss. 小姐 <input type="checkbox"/> Ms. 女士												
2) English Name (Block Letters) (as shown on your identity document) 中文姓名 (閣下身份證明文件上的全名) (Last name) (First name) (姓) (名)												
3) Date of Birth 出生日期	<table border="1"> <tr> <td><input type="text"/></td><td><input type="text"/></td><td><input type="text"/></td><td><input type="text"/></td><td><input type="text"/></td><td><input type="text"/></td> </tr> <tr> <td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td> </tr> </table> 4) Nationality 國籍	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	D	D	M	M	Y	Y
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>								
D	D	M	M	Y	Y								
5) Identity Card / Passport No. 身分證或護照號碼	6) Issuing Country 簽發國家												
7) Educational Level 教育程度	<input type="checkbox"/> Primary or below 小學或以下 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Tertiary or above 大專或以上												
8) Residential Address 居住地址 <i>(Please provide address proof within the recent 3 months 請提供最近 3 個月的地址證明)</i> (Post code 郵編)												
9) Telephone No./ Email Address 電話號碼 / 電郵	Mobile 流動電話 Home 住宅電話 Fax 傳真 Email 電郵												
10) Nature of Occupancy 住宅類別	<input type="checkbox"/> Self-Own 自置 <input type="checkbox"/> Rented 租用 <input type="checkbox"/> Quarters 宿舍 <input type="checkbox"/> Family Property 由家人擁有 <input type="checkbox"/> Mortgage 按揭 <input type="checkbox"/> Others (Please specify) 其他 (請說明).....												
11) Employment Information 受僱資料	<input type="checkbox"/> Employed* 受僱* <input type="checkbox"/> Self-employed* 自僱* <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Others (Please specify) 其他 (請說明).....												
	<small>*Please fill in details below 請填寫下列資料</small>												
	Name of Employer 僱主名稱												
	Nature of Business 業務類型												
	Position 職位 Years of Service 任職年期 Office Address 公司地址 (Post code 郵編)												

Joint Account Holder 聯名帳戶持有人													
1) Title 稱謂	<input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Mrs. 太太 <input type="checkbox"/> Miss. 小姐 <input type="checkbox"/> Ms. 女士												
2) English Name (Block Letters) (as shown on your identity document) (Last name) (First name)												
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4) Nationality 國籍												
5) Identity Card / Passport No. 身份證或護照號碼												
6) Issuing Country 簽發國家												
7) Educational Level 教育程度	<input type="checkbox"/> Primary or below 小學或以下 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Tertiary or above 大專或以上												
8) Residential Address 居住地址 (Post code 郵編)												
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Name of Employer 僱主名稱													
Nature of Business 業務類型													
Position 職位	Years of Service 任職年期												
Office Address 公司地址													
..... (Post code 郵編)													
Section C) General Information 一般資料													
1) Language in use and method of delivering of all statements/contract notes/trading confirmations/other correspondences/trading platform's login & password (if applicable) 所有結單 / 買賣單據 / 交易確認通知 / 信件 / 網上登入密碼 (如適用) 所用之語言及送遞方法	Language (Please select one only) 語言 (只選一項) <input type="checkbox"/> English 英文 <input type="checkbox"/> Traditional Chinese 繁體中文 Method of delivery (Please select one only)* 送遞方法 (只選一項)* <input type="checkbox"/> Email 電郵 <input type="checkbox"/> By post to Correspondence Address# 郵寄至通訊地址 # *Only deliver to principal account holder for Joint Account 如屬聯名帳戶, 只送遞至第一帳戶持有人												
#Correspondence Address # 通訊地址	<input type="checkbox"/> Residential Address** 居住地址 ** <input type="checkbox"/> Office Address** 公司地址 ** <input type="checkbox"/> Other Address** 其他地址 **												
** (Please provide address proof within the recent 3 months 請提供最近 3 個月的地址證明)													
Section D) Bank Account Information 銀行戶口資料													
1) Bank Account Information 銀行戶口資料	<input type="checkbox"/> Local Bank 本地銀行 <input type="checkbox"/> Overseas Bank 海外銀行 (Country 國家.....)												
Bank Name 銀行名稱													
Account No. 帳戶號碼	Currency 貨幣												

Section D) Bank Account Information 銀行戶口資料	
1) Bank Account Information 銀行戶口資料	For Overseas Bank only 只適用於海外銀行 SWIFT Code 銀行電匯代碼 Intermediary Bank Name 中轉銀行名稱 Intermediary Bank SWIFT 中轉銀行電匯代碼
2) Subscription for "SMART deposit" Service (HKD) 申請「易存款」服務(港幣)	For securities trading account only (please select one only) 只適用於證券帳戶(只選一項) <input type="checkbox"/> Bank of China (HK) Limited 中國銀行(香港)有限公司 <input type="checkbox"/> Standard Chartered Bank (HK) Co., Ltd. 渣打銀行(香港)有限公司
Section E) Financial Summary 財務資料簡要	
Individual / Principal Account Holder 個人 / 第一帳戶持有人	
1) Source of Funding 資金來源	<input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Business Profit 營業溢利 <input type="checkbox"/> Investment Income 投資收入 <input type="checkbox"/> Family Income 家庭收入 <input type="checkbox"/> Dividend 股息 / Interest 利息 <input type="checkbox"/> Personal Savings 個人儲蓄 <input type="checkbox"/> Retirement Fund 退休基金 <input type="checkbox"/> Commission 佣金 <input type="checkbox"/> Rental Income 租金收入 <input type="checkbox"/> Others 其他
2) Origin of Funding 資金來源地	
3) Annual Income (HKD) 每年收入(港元)	<input type="checkbox"/> <\$120,000 <input type="checkbox"/> \$120,000 - \$360,000 <input type="checkbox"/> \$360,001 - \$600,000 <input type="checkbox"/> \$600,001 - \$1,200,000 <input type="checkbox"/> >\$1,200,000
4) Asset Items 資產項目	<input type="checkbox"/> Land and Property 房地產 <input type="checkbox"/> Cash 現金 / Deposit 存款 <input type="checkbox"/> Listed securities 上市證券 <input type="checkbox"/> Vehicle(s) 車輛 <input type="checkbox"/> Others 其他
5) Total Net Asset Value (HKD) 資產淨值(港元)	<input type="checkbox"/> <\$100,000 <input type="checkbox"/> \$100,000 - \$300,000 <input type="checkbox"/> \$300,001 - \$500,000 <input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> \$1,000,001 - \$5,000,000 <input type="checkbox"/> >\$5,000,000
6) Have you ever declared bankruptcy? 閣下是否曾經宣佈破產?	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify 是, 請說明 Date 日期 Details 詳情
Joint Account Holder 聯名帳戶持有人	
1) Source of Funding 資金來源	<input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Business Profit 營業溢利 <input type="checkbox"/> Investment Income 投資收入 <input type="checkbox"/> Family Income 家庭收入 <input type="checkbox"/> Dividend 股息 / Interest 利息 <input type="checkbox"/> Personal Savings 個人儲蓄 <input type="checkbox"/> Retirement Fund 退休基金 <input type="checkbox"/> Commission 佣金 <input type="checkbox"/> Rental Income 租金收入 <input type="checkbox"/> Others 其他
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6) Have you ever declared bankruptcy? 閣下是否曾經宣佈破產?	<input type="checkbox"/> No 否 <input type="checkbox"/> Yes, please specify 是, 請說明 Date 日期 Details 詳情

Section F) Declarations 聲明			
1) Identity Declaration 身份聲明			
Are you employee/Account Manager or the relative of any employee/Account Manager or Director of Yuanta Group? 閣下是否元大集團之僱員 / 客戶經理或其任何僱員 / 客戶經理或董事的親屬?			
<input type="checkbox"/> No 否	<input type="checkbox"/> Yes, please specify 是, 請說明	Name of Employee/Account Manager/Director 僱員 / 客戶經理 / 董事姓名	Relationship 關係
Are you a director or an employee of a person licensed or registered with Hong Kong Securities and Futures Commission? 閣下是否其他香港證監會持牌或註冊人之董事或僱員?			
<input type="checkbox"/> No 否	<input type="checkbox"/> Yes, please specify 是, 請說明	Name of Licensed / Registered Person 持牌或註冊人名稱	Address of Licensed/Registered Person 持牌或註冊人地址
(Please provide consent letter from your employer 請閣下提供僱主之書面同意書)			
Have you ever had any account opening application rejected by other Financial Institution? 閣下是否曾於其他金融機構開立戶口時被拒絕?			
<input type="checkbox"/> No 否	<input type="checkbox"/> Yes, please specify 是, 請說明	Name of Financial Institution 金融機構名稱	Reason of Reject 拒絕原因
Are you, your spouse, partner, children, parents, spouse or partner of your children or a close associate**with you, entrusted with a prominent public function in any place, including 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? 客戶、客戶之配偶、伴侶、子女或父母、或客戶的子女的配偶或伴侶、或與客戶關係密切**的人是否在任何地方擔任或曾擔任重要公職、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?			
<input type="checkbox"/> No 否	<input type="checkbox"/> Yes, please specify 是, 請說明	Name and Position of PEP 政治人物姓名及職位	Country of the PEP belongs 政治人物所屬國家
		PEP relationship with client 與客戶之關係	
**A person is a "close associate" of an individual if the person is 1) individual who has close business relations with the first-mentioned individual, including an individual who is a beneficial owner of a legal person or trust of which the first-mentioned individual is also a beneficial owner, or 2) individual who is the beneficial owner of a legal person or trust that is set up for the benefit of the first-mentioned individual. **如某人符合以下說明, 該人即屬與某個人(首述個人)關係密切的人: 1) 該人是與首述個人有密切業務關係的個人(在首述個人屬某法人或信託的實益擁有人的情況下, 包括同樣屬法人或信託的實益擁有人的個人) 或 2) 該人是屬某法人或信託的實益擁有人的個人, 而該法人或信託是首述個人的利益而成立的。			
2) Related Account(s) 關連帳戶			
Is your spouse a client of Yuanta Securities (Hong Kong) Company Limited ("YSHK")? 閣下的配偶是否元大證券(香港)有限公司(「元大證券(香港)」)的客戶?			
<input type="checkbox"/> No 否	<input type="checkbox"/> Yes, please specify 是, 請說明	Name of Account Holder 帳戶持有人姓名	Account No. 帳戶號碼
Are you, either alone or with your spouse jointly operating another account in YSHK? 閣下是否個人或配偶共同操作另一元大證券(香港)帳戶?			
<input type="checkbox"/> No 否	<input type="checkbox"/> Yes, please specify 是, 請說明	Name of Account Holder 帳戶持有人姓名	Account No. 帳戶號碼
Are you, either alone or with your spouse, in control of 35% or more of the voting rights of any corporate clients of YSHK? 閣下是否個人或與閣下配偶共同控制任何元大證券(香港)的公司客戶 35% 或以上的投票權?			
<input type="checkbox"/> No 否	<input type="checkbox"/> Yes, please specify 是, 請說明	Name of Account Holder 帳戶持有人姓名	Account No. 帳戶號碼
3) Use of Personal Data 個人資料之使用			
I/We acknowledge that I/we have hereby informed that group of YSHK, its subsidiaries, its controlling company and the subsidiaries and associated company of such controlling company intends to use and transfer within YSHK Group my/our personal data for direct marketing of: (i) Financial Services and investment products and advices; (ii) Related promotion scheme; (iii) donations and contributions for charitable and/or non-profit making purposes. Such personal data includes name, contact details, products and services portfolio information, transaction pattern and behaviour, financial background and demographic data. I /We understand that I/we may, at any time, require YSHK to cease to use or transfer within YSHK Group my/our personal data for direct marketing through written notice. 本人 / 吾等明白本人 / 吾等獲通知元大證券(香港)之任何成員公司, 其附屬公司、其控股公司及該控股公司之附屬公司及相聯公司(統稱「元大證券(香港)集團」)擬使用及在元大證券(香港)集團之間轉移本人 / 吾等於元大證券(香港)集團之個人資料以直接促銷: (i) 金融服務和投資產品及建議; (ii) 相關優惠計劃; (iii) 為慈善及 / 或非牟利目的而作出之捐款及資助。該等個人資料包括姓名、聯絡資料、產品及服務投資組合信息、交易模式及行為、財務背景及統計數據。本人 / 吾等明白本人 / 吾等可以隨時以書面形式通知元大證券(香港)以元大證券(香港)集團在直接促銷中使用本人 / 吾等之個人資料。			
<input type="checkbox"/> I/We agree to the aforesaid use of my/our personal data in YSHK Group 本人 / 吾等同意元大證券(香港)集團使用本人 / 吾等之個人資料			
<input type="checkbox"/> I/We object to the use of or transfer my/our personal data in direct marketing within YSHK Group 本人 / 吾等反對元大證券(香港)集團使用或轉移本人 / 吾等之個人資料作直接促銷用途。			

Section G) Client's Acknowledgement and Signature 客戶確認及簽署

- 1) I/We hereby declare that the information given above is true, correct and complete and I/we have not willfully withheld any material fact(s). I/we authorize YSHK to confirm this from any source YSHK considers appropriate, including the conduct of any credit checks on me/us. I/We understand that I/we may be required to provide additional information or submit documentary proof as to the information provided in this form when requested by YSHK. I/We confirm that I/we will update YSHK immediately on any changes.
本人/吾等謹此聲明上述資料乃屬真實、正確及完整，本人/吾等並未刻意隱瞞任何重要事實。本人/吾等授權元大證券(香港)可向任何元大證券(香港)認為適當的資料來源查證，包括進行任何對於本人/吾等的信貸檢查。除上述提供的資料外，本人/吾等清楚元大證券(香港)也許要求本人/吾等提供更多相關的資料或證明文件。本人/吾等確認如所提供之資料有任何更改，均會立刻通知元大證券(香港)。
- 2) I/We confirm that I am/we are acting for my/our own account(s) and as principal in relation to each transaction entered into with YSHK, and I/we shall also be the beneficiary of any of the transaction entered into with YSHK.
本人/吾等確認本人/吾等本身之帳戶及以當事人身份與元大證券(香港)訂立每一項交易，本人/吾等亦為所有本人/吾等與元大證券(香港)訂立有關交易之最終實益擁有人。
- 3) I/We confirm that I/we have received, read and understood the "Terms and Conditions for Securities/ Futures/ Options Trading Accounts" ("Terms and Conditions") and this Account Opening Form applicable to me/us including but not limited to the relevant Risk Disclosure Statements, General Terms and Disclaimers, Additional Terms for Securities Cash/Securities Margin/Futures/Options Trading Account(s), which may be entered into in writing between YSHK and me/us from time to time, including any letters of authorization relating to securities margin financing.
本人/吾等證實已收取、閱讀及明白「證券/期貨/期權交易帳戶條款及條件」(「條款及條件」)及此開戶表格，包括但不限於有關風險披露聲明，一般條款及免責聲明，證券現金或證券孖展及/或期貨及/或股票期權交易帳戶之附加條款及任何由本人/吾等與元大證券(香港)不時訂立之書面補充條款及條件，包括任何有關證券保證金帳戶之抵押品授權書。
- 4) I/We hereby accept and agree to be bound by the Terms and Conditions. YSHK may amend the Terms and Conditions from time to time by giving me/us notice of such amendment. Unless YSHK has received my/our request to close the account(s), if I/we continue to use the account(s) I/we shall be deemed to have accepted such changes.
本人/吾等特此接納及同意受條款及條件約束。元大證券(香港)有權不時修訂條款及條件，並向本人/吾等發出通知。除非元大證券(香港)收到本人/吾等通知取消帳戶，否則本人/吾等繼續使用帳戶即表示本人/吾等接納該修訂條款及條件。
- 5) I/We hereby declare and acknowledge that if I/we maintain more than one Securities Cash/Securities Margin/Futures/Options Trading Account(s) with YSHK and do not specifically request that the transaction(s) be executed under a specific account of mine/us, YSHK can have absolute discretion in deciding the allocation method unless I/we instruct YSHK to the contrary.
本人/吾等特此接納及同意如本人/吾等於元大證券(香港)持有多於一個之證券現金或證券孖展及/或期貨及/或股票期權交易帳戶且並未有特別要求透過本人/吾等之其中一個指定帳戶進行交易，則元大證券(香港)有絕對酌情權決定在本人/吾等未有發出指示時交易的分配方法。
- 6) I/We hereby declare and acknowledge that I/we have fully understood the risk disclosure statement in Section D of Terms and Conditions in the language of my/our choice. I/We have been invited to read the risk disclosure statement in Section D of Terms and Conditions, and to ask questions and take independent advice if I/we wish.
本人/吾等現聲明及確認已獲得條款與條件並按照本人/吾等選擇語言之風險披露聲明書，本人/吾等已獲邀閱讀條款與條件內丁部之風險披露聲明書，提出問題及徵求獨立意見(如本人/吾等有此意願)。
- 7) I/We understand that YSHK reserves the unconditional right to reject my/our application.
本人/吾等明白元大證券(香港)保留無條件拒絕本人/吾等開戶申請之權力。

X

Signature of Individual / Principal Account Holder
個人/第一帳戶持有人簽署

Name 姓名:

Date 日期:

X

Signature of Joint Account Holder
聯名帳戶持有人簽署

Name 姓名:

Date 日期:

*For Joint Account Holder only 只適用於聯名帳戶*Account holder that is to be signed or responsible for originating instructions
為此帳戶簽署或負責作出指示之帳戶持有人 Either one of the account holders
任何一位帳戶持有人 All of the account holders
所有帳戶持有人**Section H) Certification (to be completed by Representative of the Company or Professional#) 核證 (由本公司代表或專業人士#填寫)**

I hereby certify that on the date written in the Section G, this Form was executed by Applicant(s) named in this Form (who had been previously identified by production of the original of his/her Identity Card or Passport (with details in Section B) to me) in my presence.

本人現證實：在此表格 G 部所寫的日期當日，此表格乃由此表格所指定的申請人(其身份已根據其向本人出示之身份證或護照(詳列於 B 部)正本核實)於本人面前簽訂。

Signature 簽署:	Name 姓名
	Profession/Title 所屬專業/銜頭
	Employer name 僱主名稱
	Contact No. 聯絡電話
	Date 日期

Professional: Notary Public/Branch Manager of a Licensed Bank/Practising Lawyer/Certified Public Accountant(Practising)/Justice of Peace
專業人士: 公證人/持牌銀行分行經理/執業律師/執業會計師/太平紳士

Risk Disclosure Statement 風險披露聲明

The abovementioned risk disclosure statement(s) has/have been provided to the client in a language of the client's choice and the undersigned licensed person of the company has invited the client to read the same, ask questions and take independent advice.

上述之風險披露聲明已由下列簽署之持牌人按照客戶選擇的語言提供，並邀請客戶閱讀該等風險披露聲明、提出問題及徵求獨立意見。

Name 姓名 CE No. 中央編號 Date 日期 Signature of Licensed Person 持牌人簽署	<input type="checkbox"/> Face to Face 面談 <input type="checkbox"/> Telephone 電話 Recorded Line No. 電話錄音號碼 Time 時間
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For Internal Use Only 只供內部填寫

<i>Special Considerations and Comments</i> 特別考慮因素及意見 Member of Yuanta Group (if applicable) 元大集團成員 (如適用)	Accepted and Approved by For and on behalf of Yuanta Securities (Hong Kong) Company Limited 由 元大證券 (香港) 有限公司 接納及批核 Authorized Signature 授權簽署 Date 日期
Inputted By 資料輸入人	Checked By 資料輸入覆核人

Senior Management (if applicable) 高階主管 (如適用)	
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