



元富證券(香港)有限公司

MasterLink Securities (HK) Corp., Ltd.

香港上環文咸東街 50 號寶恆商業中心 26 樓全層
26/F., Bonham Trade Centre, 50 Bonham Strand, Sheung Wan, Hong Kong
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Account No. 帳戶號碼：

Account Opening Information Form 開戶資料表格

Selection of Account Type 選擇帳戶類別：
Margin Account 保證金帳戶：
Internet Trading Services 網上交易服務：

Individual 個人 Joint 聯名
 是 否
 是 否

Date Opened 開戶日期：

INDIVIDUAL / PRIMARY JOINT ACCOUNT HOLDER 個人/第一帳戶持有人資料

1. Client Name(s): Mr./Mrs./Mdm./Miss *客戶名稱：先生/太太/女士/小姐*

(a) English 英文：

(b) Chinese 中文：

2. (a) Passport / Hong Kong ID. Card No.* 護照/香港身份證號碼*：

(b) Nationality 國籍：

(c) Place of Birth 出生地：

3. (a) Age 年齡：

(b) Date of Birth 出生日期(dd 日/mm 月/yyyy 年)

(c) Marital Status 婚姻狀況：

Single 獨身 Married 已婚 Other 其他

4. Confirmation of Citizenship/Nationality/and Tax Residency 公民身份/國籍及稅務常駐國家之確認

Please tick the boxes that apply to you and complete the information requested below 請於適用空格內打上剔號，並填寫下所需資料

- I am a citizen/national of US 本人是美國公民/國民 (Please fill in Form-W9 if tick this box 如此格內打上剔號,請填 Form-W9)
 I am not a citizen/national of US 本人非美國公民/國民
 Others(s)(please specify jurisdictions(s))其他 (請註明司法管轄區 _____)

5. I am Tax resident in US. Please specify your US Federal Taxpayer Identification Number (TIN): _____.

本人是美國的稅務常駐居民. 請註明閣下的美國聯邦稅人識別號碼(TIN): _____

(Please fill in Form-W9 if tick this box 如此格內打上剔號,請填 Form-W9)

I am NOT Tax resident in US. 本人非美國的稅務常駐居民

I am Tax resident in Other(s) _____ . Please specify your relevant identification number(s) in that/those jurisdiction(s): _____.

本人是_____的稅務常駐居民. 請註明閣下於該/該等司法管轄區的相關身分識別號碼: _____

6. Home Address 住宅地址：

(Postal Code 郵編: _____)

Home Tel No. 住宅電話號碼:

Mobile Phone No. 手提電話號碼:

E-mail Address 電子郵件地址:

7. Name of Employer / Company* 僱主/公司*名稱：

Occupation / Job Title* 職業/職位*名稱:

Office Tel No. 辦事處電話號碼:

Office Fax No. 辦事處傳真號碼:

8. Office Address 公司地址：

(Postal Code 郵編: _____)

9. Original Contract Notes (Trading Confirmations) and Statements to be sent by mail to 成交單據正本(買賣確認)及對帳單以郵遞方式發送到：

Home Address 住宅地址 Office Address 辦事處地址 E-mail Address 電子郵件地址 Other其他: _____

10. Unless otherwise instructed by the Client, all monies payable to the Client are to be credited to the following bank account(s):

除經客戶另行指示外，客戶的應收金額將按指示存入下列指定銀行帳戶：

Bank Name 銀行名稱：

Bank Account Name 銀行帳戶名稱：

Client's Bank Account Number 客戶之銀行帳戶號碼：

CLIENT FINANCIAL INFORMATION 客戶財務資料

11. Estimated Annual Income 估計每年收入(HK\$港幣)：

- Under HK\$200,000 港幣 20 萬元以下 HK\$1,000,000 to HK\$1,500,000 港幣 100 萬至 150 萬元
 HK\$200,000 to HK\$500,000 港幣 20 萬至 50 萬元 HK\$1,500,000 to HK\$2,000,000 港幣 150 萬至 200 萬元
 HK\$500,000 to HK\$1,000,000 港幣 50 萬至 100 萬元 Over HK\$2,000,000 港幣 200 萬元以上

12. Approximate Total Net Worth 估計資產淨值(HK\$港幣)：

- Under HK\$500,000 港幣 50 萬元以下 HK\$2,000,000 to HK\$5,000,000 港幣 200 萬至 500 萬元
 HK\$500,000 to HK\$1,000,000 港幣 50 萬至 100 萬元 HK\$5,000,000 to HK\$10,000,000 港幣 500 萬至 1000 萬元
 HK\$1,000,000 to HK\$2,000,000 港幣 100 萬至 200 萬元 Over HK\$10,000,000 港幣 1000 萬元以上

CLIENT INVESTMENT OBJECTIVES / EXPERIENCE 客戶投資目的及經驗**13. Overall investment plan, including short, medium and long term goals 整體投資計劃，包括短期、中線及長期投資目標：**

- (a) Investment Plan 投資計劃： Short 短期 Medium 中線 Long 長期
 (b) Risk Tolerance 可承受風險程度： Low 低風險 Medium 中風險 High 高風險

14. Investment Objective(s) 投資目的：(Please tick one or more 可選擇下列一項或多項)

- Stable Growth 平穩增長 Balance Growth 均衡增長 High Growth 高速增長
 Hedging 對沖 Speculation 投機 Others, please specify 其他，請說明

15. Investment Experiences 投資經驗：

投資產品 Investment Products:

- Nil 沒有 Stock/Warrant 股票/認股權證 Futures/Option 期貨/期權 Bonds/Funds 債券/基金 Others 其他

投資經驗 Years of Experiences:

- Nil 沒有 1-3 years 一至三年 3-5 years 三至五年 5-10 years 五至十年 Over 10 years 超過十年

DERIVATIVE KNOWLEDGE ASSESSMENT 衍生工具認識評估**16. I/ We have acquired knowledge of derivative products (Please choose one of the options)**

本人/吾等從以下途徑已獲得對衍生產品之認識(請只選擇其中一項):

- Undergone training or attended courses on derivatives products
曾接受有關衍生產品的培訓或修讀相關課程
(Please specify 請註明: _____)
 Current or previous work experience related to derivative products
現時或過去與衍生產品有關的工作經驗
(Please specify 請註明: _____)
 Executed 5 or more transactions in derivative product (whether traded on an exchange or not) within the past two years
於過去兩年內已進行了五次或以上衍生產品之買賣(不論是否於交易所進行交易)
 I/we have **NOT** acquired knowledge of derivative products.
本人/吾等並未有衍生產品之認識

OTHER INFORMATION 其他資料**17. Is the client an employee, relative or an associate of any employee/agent of MasterLink?**

客戶是否元富員工或與元富任何僱員/代理人有親屬或其他關係?

- Yes, please provide employee/agent name 有，請提供僱員/代理人姓名：_____ No 沒有
Relationship 關係：_____

18. (a) Name of ultimate beneficial owner(s) of the account 帳戶最終受益人(等)的名稱：

- Self 本身 Others (Please state name and address)其他(請列明姓名及地址):

(b) The person(s) ultimately responsible for originating instructions in relation to transactions under the account

最終負責就本帳戶之交易發出有關指示的人為：

- Self 本身 Others (Please state name and address)其他(請列明姓名及地址):

19. Is the client an employee/agent of other securities Dealer or person registered with Hong Kong SFC?

客戶是否為其他證券交易商的僱員/代理人或香港證監會註冊人仕?

- Yes, please provide details 是，請提供詳情：_____ No 不是

20. Is the client a Director, employee or major shareholder of any listed company?

客戶是否為任何上市公司之董事/僱員/大股東?

- Yes, please provide details 是，請提供詳情：_____ No 不是

21. Particulars of Client's other accounts with MasterLink (including accounts operated/owned by person related with client) :

客戶於元富開立的其他帳戶資料(包括與客戶有關連人士運作及或持有之帳戶)：

- Yes 有，Account No. 帳戶號碼：_____ Account Name 帳戶名稱：_____ None 沒有
Relationship 關係：_____

22. Will you invest in Taiwan shares? 會否買賣台灣證券?

- Yes, please fill in Declaration Form and provide the Source of Investment Funds.
是，請填寫及提交聲明書及提供資金來源：_____
 No 不會。但本人知悉買賣台灣證券，資金來源不得來自於大陸地區或台灣地區。且本人/本公司及最終受益人均非大陸地區(即中華人民共和國有效行使管轄地區)之人民、法人、團體、其他機構或其海外分支機構，或其於第三地區投資之法人、團體或其他機構(持有已發行有表決權股份總數或資本總額超過百分之三十或具有控制能力)。

Note: Please refer to the document checklist in the last page of this Form for opening corporate account accordingly.

註：請參閱本開戶表格末頁之開立帳戶所需文件核對表

Declarations By Client 客戶聲明

The information contained in this Account Opening Information Form is true and accurate. MASTERLINK is entitled to rely fully on such information and representations for all purposes, unless MASTERLINK receives notice in writing of any change. MASTERLINK is authorized at any time to contact anyone, including the client's banks, brokers or any credit agency, for the purpose of verifying the information provided on this Account Opening Information Form.

本開戶資料表格的資料均屬真實及正確，除非元富收到任何客戶資料改變的書面通知，元富將有權依據這些資料及陳述，作任何用途或目的。客戶授權元富可在任何時間聯絡任何人，包括客戶的銀行、經紀等任何信貸機構，藉以確定及查證本開戶資料表格內的資料。

I/We hereby acknowledge and confirm that:

本人/吾等謹此承諾並確認：

I/we have received, read and understood the Terms and Conditions contained therein the Agreement for Securities Trading Account (and the schedules, appendices and annexes thereto, if any) (the "Agreement"), and I/we accept and agree to be bound by them;

本人/吾等已收到、閱讀及明白規限證券交易帳戶協議內之條款(包括其附表、附錄及附件(如有)) (「協議」)，而本人/吾等接納並同意受該等條款約束；

the risk disclosure statements (as contained in the Agreement for Securities Trading Account) were provided to me/us in a language of my/our choice (English or Chinese);

本人/吾等已獲提供以本人/吾等選擇語言(英文或中文)所撰寫的風險披露聲明(載於證券交易帳戶協議內)；

I/we was/were invited to read the risk disclosure statements, and to ask questions and take independent advice if I/we so wished; and

本人/吾等已獲邀請參閱風險披露聲明，並按其意願提出問題及諮詢獨立意見；及

I/we have read MasterLink Notice to Customers on the Personal Data (Privacy) Ordinance (as contained in the Agreement for Securities Trading Account), understand and agree to its terms.

本人/吾等已參閱元富給予客戶有關《個人資料(私隱)條例》的通知(載於證券交易帳戶協議內)，並明白且同意其條款。

CLIENT'S SIGNATURE 客戶簽署		CLIENT'S SIGNATURE 客戶簽署 (JOINT A/C 聯名帳戶)	
Client Name 客戶名稱：		Client Name 客戶名稱：	
For Joint A/C Only 聯名帳戶適用	The Account can be operated on the instruction of 帳戶操作指示方式 <input type="checkbox"/> Either one of the account holders 任何一位帳戶持有人 <input type="checkbox"/> Both account holders 兩位帳戶持有人		
Date 日期：	YY 年	MM 月	DD 日

Declaration by MasterLink Staff 元富香港職員聲明

I, named below, a staff member of MasterLink Securities (Hong Kong) Limited, hereby declare that I have:

(i) provided to the above-named Client the risk disclosure statements (as contained in the Agreement for Securities Trading Account) in a language of the Client's choice (English or Chinese); and

(ii) invited the Client to read the risk disclosure statement, ask questions and take independent advice if the Client wishes.

本人(姓名見下)，為元富證券(香港)有限公司之職員，謹此聲明，本人：

(i) 已向客戶提供以客戶選擇語言(英文或中文)所撰寫的風險披露聲明(載於證券交易帳戶協議內)；及

(ii) 已邀請客戶參閱風險披露聲明，並按客戶的意願提出問題及諮詢獨立意見。

Signature of Staff 職員簽署

Staff Name 職員姓名:

Staff Designation 職員職銜:

Staff CE Number 職員CE 編號:

Date 日期:

Certification 核證

(must be completed where this Form is not signed before a staff member of MasterLink Securities (Hong Kong) Limited)

(如本表格並非在元富證券(香港)有限公司職員面前簽署，須填寫此)

To be certified by a person licensed or registered with Hong Kong SFC or his affiliate, an affiliate of MasterLink, professional person (such as a branch manager of a bank, certified public accountant, lawyer or notary public).

由香港證監會發牌或註冊之人士或其聯繫人士、元富香港的聯繫人士，專業人士(例如銀行分行經理、執業會計師、律師或公證人)核證。

I, named below, certify that I have met and identified each of the person(s) who executed this Form before me, and reviewed the original of his/their ID card(s) or passport(s).

本人(姓名見下)核證已經與本表格簽署人會晤及核對其身份證或護照正本，他(們)並在本人面前簽署本表格。

Signature 簽署

Name 姓名:

Profession 職業:

Date 日期:

FOR OFFICE USE ONLY 本公司專用

Documentation check: _____ Prepared by: _____ Reviewed by: _____

Account Executive: _____ Approved by: _____ Date: _____

i-Trade prepared by: _____ Approved by: _____ Issue Date: _____

Remark: _____

DOCUMENTATION CHECK LIST FOR ACCOUNT OPENING 開立帳戶之文件核對表

INDIVIDUAL / JOINT ACCOUNT 個人 / 聯名戶口

1. Agreement for Securities Trading Account
證券交易帳戶協議
2. Account Opening Information Form
開戶資料表格
3. Authorization and Indemnity respect of Fax & Telex Instruction
有關以傳真及電傳指示的授權及賠償
4. Standing Authority (for Margin Securities Account Clients ONLY)
常設授權書 (只適用於保證金證券帳戶)
5. Certified True Copy of Identity Card(s) / Passport(s) with signature(s)
具簽署認證之真實身分證 / 護照副本
6. Certified True Copy of Correspondence Address evidence (e.g. Utilities / Bank Statement etc)
具簽署認證之真實通訊地址證明副本 (如: 水、電費單 / 銀行結單等)
7. Certified True Copy of Business Address evidence (e.g. Name Card / Employment Letter etc)
具簽署認證之真實辦事處地址證明副本 (如公司名片 / 受僱信等)
8. Consent letter of declaration of Foreign Account Tax Compliance Act
外國帳戶稅收遵從法案申報同意函
9. (a) Form **W-8BEN** (Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding (Individuals)
在美國課稅目的下之最終受益人外國身分證明(個人))
 (b) Form **W-9** (Request for Taxpayer Identification Number and Certification
稅藉編號及認證要求
10. Self-Certification Form
自我證明表格 - 個人
11. Others 其他: _____