

友信證券有限公司 USMART SECURITIES LIMITED (下稱“本公司” hereinafter “the Company”)

本公司為獲准從事第 1 類, 第 4 類及第 9 類受規管活動之持牌法團 (證監會中央編號: BJA907) 和香港聯合交易所有限公司的交易所參與者。

The Company is a licensed corporation to carry on Type 1, Type 4 and Type 9 regulated activity (SFC CE No: BJA907) and an Exchange Participant of the Stock Exchange of Hong Kong Limited.

ACCOUNT OPENING FORM (INDIVIDUAL)

帳戶開戶表格 (個人)

Please complete in **BLOCK LETTERS** 請用正楷填寫

1. Personal Information 個人資料			
Client Name 客戶姓名			
Chinese 中文: _____ 先生 / 女士		English 英文: _____ Mr / Ms	
(先寫姓氏) 姓名必須與身份證 / 護照相符		(Surname First) as per your identity card / passport	
Nationality 國籍		Date of Birth (dd/mm/yy) 出生日期(日/月/年)	
ID Card ¹ / Passport No. 身份證/護照號碼		Place of Birth 出生地	
Residential Address 居住地址 _____ _____			
Mobile Phone No. 手提電話號碼		E-mail Address 電郵地址	
Education Level 教育程度: <input type="checkbox"/> Primary 小學 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> University 大學 <input type="checkbox"/> Master degree or above 碩士或以上			
2. Occupation/Employment Status 職業/就業情況			
Name of Employer 僱主名稱			
Nature of Business 業務性質		Job Title 職位	
3. Financial Situation 財務狀況			
i) Annual Income (HKD) 每年收入(港元) <input type="checkbox"/> <\$200,000 <input type="checkbox"/> \$200,000 – \$500,000 <input type="checkbox"/> \$500,001 – \$1,000,000 <input type="checkbox"/> >\$1,000,001		ii) Net Worth (HKD) 資產淨值(港元) <input type="checkbox"/> <\$500,000 <input type="checkbox"/> \$500,000 – \$2,500,000 <input type="checkbox"/> \$2,500,001 – \$5,000,000 <input type="checkbox"/> >\$5,000,001	
4. Investment Experience & Habits 投資經驗及習慣			
i) Stock Experience (in year(s)) 經驗(年) <input type="checkbox"/> less than 1 year 少於1年 <input type="checkbox"/> 1-3 years 年 <input type="checkbox"/> 3-5 years 年 <input type="checkbox"/> more than 5 years 超過5年		ii) Derivative Products (including Warrant or CBBC) Experience (in year(s)) 經驗(年) <input type="checkbox"/> less than 1 year 少於1年 <input type="checkbox"/> 1-3 years 年 <input type="checkbox"/> 3-5 years 年 <input type="checkbox"/> more than 5 years 超過5年	
5. Investment Objectives and Risk Tolerance 投資目的及可承受風險			
i) Investment Objectives 投資目的 <input type="checkbox"/> Capital Hedge 資產保值 <input type="checkbox"/> Capital Gain 資產增值 <input type="checkbox"/> Capital Rapid Gain 資產快速增值 *Securities Margin Account belongs to Medium and/or High risk categories. 證券保證金買賣帳戶屬於“中等風險”及/或“高風險”類別。			
6. Client's Knowledge of Derivative Products 客戶對衍生產品的認識			
The Client acknowledges and understands the Company will assess whether the Client has adequate knowledge on derivative products according to the information the Client provided. 客戶知悉及明白公司將根據以下的資料以評估客戶是否對衍生工具產品有認識。 <input type="checkbox"/> 1. The Client underwent training or attended courses on derivative products. 客戶曾接受有關衍生產品的培訓或修讀相關課程。 <input type="checkbox"/> 2. The Client has current or previous work experience related to derivative products. 客戶現時或過去擁有與衍生產品有關的工作經驗。			

3. The Client has executed five or more transactions within the past three years in derivative products, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures and Options, Commodities, Structured Products, and Exchange Traded Funds, etc. 客戶於過去 3 年曾執行 5 次或以上有關衍生產品的交易，例如：衍生權證、牛熊證、股票、期權、期貨及期權、商品、結構性產品及交易所買賣基金等。

7. Disclosure of Identity 披露身份

- i) Is the Client the ultimate beneficial owner of the Account(s)? 客戶是否該帳戶之最終實益擁有人？

Yes 是 No, the ultimate beneficiary owner(s) is/are 否，帳戶的最終實益擁有人是：

Name 姓名: _____

Phone No. 聯絡電話: _____

ID Card/Passport No. 身份證/護照號碼: _____

Nationality 國籍: _____

- ii) Is the Client a person, or director or employee of a person licensed by or registered with the SFC or an accredited person of any exchange participant of the Stock Exchange or Futures Exchange? 客戶是否為證監會發牌或註冊人士或聯交所或期交所之交易所參與者或該人士之董事或僱員或認可人士？

No 否 Yes 是

Name of the licensed or registered person 持牌或註冊人士姓名/名稱: _____

CE No. 中央編號: _____

* Please attach the consent letter from Employer. 提供僱主的同意信

* The Client undertakes to promptly notify the Company if the Client becomes employed by any licensed or registered person to carry on regulated activities within the meaning of the Securities and Futures Ordinance. 客戶承諾若其受聘於任何持牌或註冊人士以進行證券及期貨條例所指的受規管活動，會盡快通知本公司。

- Is the Client ultimately responsible for originating instructions for the transactions of the Account(s)? 客戶是否最終負責對該帳戶之交易發出指示？

Yes 是

No, particulars of person(s) originating the instructions are as follows 否，下列為負責發出交易指示者資料：

iii) Name 姓名: _____

ID/Passport 身份證/護照: _____

Nationality 國籍: _____

Address 地址: _____

- vi) Is the Client a person entrusted with a prominent public function, a political party official, a person entrusted with a prominent function by an international organization, or an immediate family member or a close associate of such person? 客戶是否重要的公職人員、政黨幹事、國際組織的重要人員、或上述人員的直系親屬、或與其關係密切的人？

No, if the Client is the immediate family member or close associate of such person, please provide details including such person's name, position and working organization, and relationships between the Client and such person 否，如客戶是該人士的直系親屬或與其關係密切的人，請提供詳情包括該人士的名字、職位及工作機構、及客戶與該人士的關係：

Yes 是

8. Disclosure of Related Account(s) 披露關連帳戶

- i) Is the Client related to any employee or director of the Company? 客戶是否與本公司之任何僱員或董事有任何親屬關係？

No 否

Yes 是 (Please provide details below 請填寫以下資料)

Name of Employee / Director 僱員/董事姓名: _____ Relationship 關係: _____

11. Settlement Account Information 結算賬戶資料

- i) Hong Kong Dollar Account 港元賬戶

The Client hereby instructs and authorizes that the following Hong Kong dollar account of a Hong Kong licensed bank will be used as the settlement bank account for Hong Kong dollar. Payment due from the Company to the Client shall, at the cost and risk of the Client, be settled by depositing a cheque into or transferring payment to the said bank account:

客戶謹此指示及授權使用以下香港持牌銀行的港元賬戶，作為港元結算賬戶。本公司結欠客戶的款項，須透過存入支票或轉賬至此銀行賬戶結算，其費用及風險由客戶承擔：

Bank 銀行: _____ Account Name 賬戶名稱*: _____

Account No. 賬戶號碼: _____

12. Daily Statements / Contract Notes / Monthly Statements 日結單/買賣單據/月結單i) Language of Statements 帳戶結單語言： Chinese 中文 English 英文

*The account must be maintained in the name of account holder 帳戶必須是以帳戶持有人名義開立

13. Risk Disclosure Statements and Disclaimers 風險披露聲明與免責聲明i) **Securities Cash Account 證券現金帳戶**

Please open a Securities Cash Account for me/us, the undersigned Client(s). I/We acknowledge receipt of the English and Chinese versions of the Client Agreement (which set out the Cash Client Agreement, Personal Information Collections Statement, and Risk Disclosure Statements) according to my language preference. I/We have read and understood the provisions of the Client Agreement and accept to be bound by the same.

請為本人/吾等(即在下面簽署的客戶)開立證券現金帳戶。本人/吾等確認已經按照本人的語言選擇收取客戶協議之英文及中文版本(包括現金客戶協議、個人資料收集聲明,及風險披露聲明)。本人/吾等已閱讀並明白客戶協議的條款,並接受這些條款的約束。

ii) **On-line Trading 網上交易**

I/We, the undersigned Client(s), want to use on-line trading services. I/We have read and understood the relevant provisions of the Client Agreement and accept to be bound by the same. Please send on-line Trading Account No. and Password to my email address provided.

本人/吾等(即在下面簽署的客戶)欲使用網上交易服務。本人/吾等已經閱讀並明白客戶協議的相關條款,並接受這些條款的約束。本人/吾等欲以填報的電郵地址收取網上交易帳號及密碼。

iii) **Client Risk Disclosure Declaration 客戶風險披露聲明**

I/We hereby certify, declare and acknowledge that I/we have fully understood the risk disclosure statements in the language of my/our choice. I/We have been invited to read the risk disclosure statements, and to ask questions and take independent advice, if I/we wish.

本人/吾等現保證、聲明及確認已獲得並完全明白按本人所選擇的語言之風險披露聲明書,本人/吾等已獲邀閱讀此風險披露聲明書、提出問題及徵求獨立意見(如本人/吾等有此意願)。

iv) **Derivative Warrants, Callable Bull/ Bear Contracts, and Exchange-traded Funds (Client Declaration)****衍生權證、牛熊證及在交易所買賣基金 (客戶聲明)**

I/We hereby certify, declare and acknowledge that I/we have fully understood the risk disclosure statements & notes relating to Derivative Products Trading, including the risks of derivative warrants, callable bull/bear contracts, and exchange-traded funds in the language of my/our choice. I/We have been invited to read the risk disclosure statements, and to ask questions and take independent advice, if I/we wish.

本人/吾等現保證、聲明及確認已獲得並完全明白按本人所選擇的語言之風險披露聲明書及有關買賣衍生產品的注意事項,包括列明衍生產品中的衍生權證、牛熊證及在交易所買賣基金的性質及各種風險,本人/吾等已獲邀閱讀此風險披露聲明書、提出問題及徵求獨立意見(如本人/吾等有此意願)。

v) **Notes for Trading and operation of Account, Fees and Charges 買賣及帳戶運作須知及收費詳情**

I/We acknowledge receipt of the English and Chinese version of the Notes for Trading and Operation of Account, Fees and Charges. I/We have read and understood the provisions of all clauses and accept to be bound by the same.

本人/吾等確認已經收取英文及中文版本的買賣及帳戶運作須知及收費詳情。本人/吾等已閱讀並明白各項條款,並接受這些條款的約束。

vi) **Client's Declaration for Data Protection 客戶個人資料保障**

I/We have carefully read, fully understood and agreed to accept and be bound by the Personal Information Collections Statement (the "Statement") in the Client Agreement of the Company. I/We hereby consents to the contents of the Statement and the use of and/or transfer of my personal data to third parties for the latter's use in direct marketing.

本人/吾等已仔細閱讀、完全理解並同意接受並遵守載於本公司的客戶協議中關於個人資料收集聲明(「聲明」),並同意聲明的所有內容及同意本公司使用及/或轉移本人的個人資料予第三者作直接促銷用途。

 Agree 同意
 Disagree 不同意

 Agree 同意
 Disagree 不同意
14. Declaration and Agreement by Client 客戶的聲明及同意

The undersigned (whose particulars are set out in this Account Opening Form) (the "Client"), agrees to open trading account(s) (the "Account(s)") with the Company upon and subject to all the provisions of this Account Opening Form and the relevant Sections of "Client Agreement" (the "Agreement") applicable to the Account(s) that the Client applies to open.

以下簽署人(其資料詳列於本帳戶開戶表格)(「客戶」)同意按照本帳戶開戶表格的所有條款,以及相關章數的《客戶協議》(「協議」)中適用於客戶申請開立之帳戶的所有協議,在本公司內開立交易帳戶(「帳戶」)。

By signing this Part, the Client hereby declares, agrees and confirms that:-

倘簽署本部份,客戶現聲明、同意及確認:-

- (a) the information provided in this Account Opening Form is complete, true and accurate. The Company is entitled to rely fully on such representations and information for all purposes, unless the Client informs the Company in writing of any change to that information;
於本帳戶開戶表格所提供的資料屬完整、真實及準確。本公司有權基於一切目的倚賴此等陳述及資料，除非客戶以書面通知本公司有關資料的任何改變；
- (b) the Client has fully read, understood and confirmed, and agrees and accepts to be bound by all the provisions of this Account Opening Form and the Agreement (as amended from time to time) applicable to the Account(s) that the Client applies to open with the Company. The Client has been advised by the Company to seek independent legal advice;
客戶已完全閱讀、明白及確認，以及同意並接納本帳戶開戶表格的所有條款，以及適用於客戶向本公司申請開設之帳戶的所有協議（及其不時作出的修改）並同意受其約束。本公司已建議客戶尋求獨立法律意見；
- (c) the contents of the Agreement have been fully explained to the Client in a language which the Client understands;
協議的內容已以客戶明白的語言向客戶作出充分的解釋；
- (d) In the event that there is any inconsistency between the English version and the Chinese version of the Account Opening Form and the Agreement, the English version shall prevail. The Company may provide a hard copy of the English version upon request; and
本帳戶開戶表格和協議之中文版本及英文版本如有任何歧義，概以英文版本為準。如有要求，本公司會提供英文版本列印本；及
- (e) the Client has read and understood the policy of the Company in relation to information of the Client as contained in the Agreement, and agrees and accept to its terms.
客戶已閱讀及明白本公司載於協議內有關客戶資料的政策部份，並同意及接納其條款。

Client Signature (Individual Account Holder)

客戶簽署（個人帳戶持有人）



Date(dd/mm/yy)日期(日/月/年) _____

15. Witness Signature 見證人簽署

Name of Witness
見證人姓名

Witness Signature
見證人簽署

Date(dd/mm/yy)
日期(日/月/年)

16. Declaration by Registered Person (Staff) 持牌人員(職員)聲明

I, the undersigned, confirm that I have provided the Client Agreement and the Risk Disclosure Statements in a language (English or Chinese) of the client's choice and that I have invited the Client to read the mentioned documents, ask questions and take independent advice, if the Client wishes.
本人，下方簽署者，確認已經向客戶提供了以客戶選擇的語言(英文或中文)之客戶協議及風險披露聲明，並且本人已經邀請客戶閱讀上述文件，提出有關問題及徵求獨立意見(如客戶有此意願)。

Face to Face

By Telephone

Via APP

Recording Line No. _____

Name of Registered Person
持牌人員姓名

CE No.
中央編號

Signature
簽署

Date(dd/mm/yy)
日期(日/月/年)

Time _____