

9F PRIMASIA SECURITIES LIMITED**玖富證券有限公司**

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Facsimile 傳真: (852) 2810 7978

Website 網頁: www.9fstock.com

**開戶表格-個人/聯名帳戶
(非委託賬戶)****Account Opening Form(Individual/Joint Account)
(Non-discretionary)****請提供個人客戶/聯名客戶之:**

Please provide for **both** Primary Client and Joint Client :

經簽署證明的下列文件之複印本 :

Certified true copies of the following documents:

- | | |
|---------------------------|--|
| 1. 帳戶持有人的身分證及/或護照經簽名驗證複印本 | 1. Certified true copy of Identity Card and/or Passport |
| 2. 最近三個月的銀行結單或公共服務單據作住址證明 | 2. Certified true copy of bank statement / Utility bill within the past 3 months as proof of residential address |
| 3. 美國預扣稅申報實益擁有人身份證明表格 | 3. W-8-BEN form (which applicable) |
| 4. 個人《海外帳戶稅收合規法案》自行認證 | 4. Individual FATCA Self-Certification |
| 5. 自我證明表格 – 個人 | 5. Self-Certification Form - Individual |

Account Type 戶口種類					
客戶種類 Customer Type:	<input type="checkbox"/> 個人 Individual	<input type="checkbox"/> 聯名 Joint	戶口種類 Account Type	<input type="checkbox"/> 現金戶口 Cash Account	<input type="checkbox"/> 貨銀兩訖戶口 DVP Account
Do you require internet trading services? 您是否需要開通網上交易服務? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否					

Individual Data 個人資料

Name (English) 英文姓名 : _____ Mr / Mrs / Ms 先生 / 女士 / 小姐

Name (Chinese) 中文姓名 : _____ Date of Birth 出生日期 : _____

I.D/Passport No. 身分證或護照號碼 : _____ Sex 性別 : _____

Nationality 國籍 : _____ Marital Status 婚姻狀況 : _____

Home Address 住宅地址 (中英文) : _____

Mailing Address 郵寄地址 (中英文) : _____
(If different from the above address) (若與以上地址不同)

Home Tel Number 電話號碼 : _____ Mobile Number 行動電話 : _____

Fax Number 傳真號碼 : _____

E-mail 電郵 : _____

Preferred mailing method (please select either one)

Language: 中文語言: English

請選擇通訊方式(只選一項)

 Company Address 公司地址 Mailing Address 郵寄地址 E-Mail Address 電郵地址**Clearance and Settlement Details 交收指示**

<input type="checkbox"/>	All transactions will be regular Delivery versus Payment ("DvP") through CCASS (Participant ID# _____) 所有買賣經中央結算系統以貨銀兩訖形式交收 (參與者編號 # _____)
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Employment Details 職業資料

Name of Employer 僱主資料 : _____

Nature of Business 業務性質 : _____

Company Address 公司地址 : _____

Position / Title 職位 / 職稱 : _____

Telephone Number 電話號碼 : _____ Fax Number 傳真號碼 : _____

Annual Income 年度總收入 : up to HK\$300,000 HK\$300,001-HK\$500,000
 HK\$500,001-HK\$1,000,000 over HK\$1,000,000

Total net worth 總資產 : up to HK\$1,000,000 HK\$1,000,001-HK\$5,000,000
 over HK\$5,000,000

Investment Experience & Objectives 投資經驗與目的

- (1) Do you have any investment experience with stocks, warrants or futures? Yes / No
閣下是否有任何投資股票、認股權證或期貨的經驗？ 是 / 否
If yes, please indicate the number of years of your experience.
如是，請提供投資經驗的年數（請述） _____

- (2) What are your investment objectives?
您的投資目的是？
 Income 股息收入 Short term investment 短期投資
 Long term investment 長期投資 Others (please specify) 其他（請述） _____

Knowledge of Derivative Products 對衍生產品之認識

- 閣下了解衍生產品的性質和風險：
I understand the nature and risks of derivative products by:
- (1) 已接受有關的培訓或課程
Undergoing relevant training or attending course in
() Regulatory Authority 監管機構 () Exchange 交易所 () Tertiary Institution 大專院校
() Education Institution 進修學院 () Financial Institution 金融機構 () Others (please specify) 其他（請述） _____
- (2) 於經紀公司或銀行、基金或資產管理公司、監管機構或交易所等金融機構擁有有關的工作經驗。
By gaining prior relevant work experience in financial institution such as a brokerage firm or bank, fund house or asset management firm, regulatory authority or exchange.
() Regulated Licensed Person 受監管持牌人士 () Derivatives Related Back Office 與衍生工具相關後勤
() Management 管理層 () Others (please specify) 其他（請述） _____
- (3) 於過去三年內進行了五次或以上有關衍生產品之交易(不論是否於交易所進行交易)
Executing five or more transactions in derivative products (whether traded on an exchange or not) within the past three years.
- 本人並未有衍生產品之認識
I have NO knowledge of derivative products.

The Ultimate Beneficial Owner(s) of the Account 帳戶最終實益擁有人(等)的名稱

- Self
本人
- Others (please state name and address)
其他 (請詳述姓名及地址)

Name :

姓名 :

Address :

地址 :

Name :

姓名 :

Address :

地址 :

Name :

姓名 :

Address :

地址 :

Other Information 其他資料

- (1) Are you a registered person or an employee of a registered person of the HK SFC? Yes / No
閣下是否證券及期貨事務監察委員會註冊人(“註冊人”)之僱員或其註冊人? 是 / 否
If yes, please indicate name of the registered person
如是, 請指出註冊人名稱

- (2) Are you related to any employee of the 9F Primasia group of companies? Yes / No
閣下與任何玖富集團的職員是否有關係? 是 / 否
If yes, please indicate name of the employee and relationship
如是, 請指出該職員的姓名及關係

- (3) All monies payable to us are to be transferred to the following accounts unless otherwise instructed:
除非另有通知, 吾等有關的任何款項應存入以下銀行戶口: (直接存款之用)

Bank Name

銀行名稱

Account Number

賬戶號碼

Account Type

賬戶類別

①

②

③

- (4) Account(s) held with other brokerage firm(s) or banks: Yes / No
 在其他股票行或銀行的股票戶口資料
 If yes, please specify below the brokerage firm(s) or banks and account no. 是 / 否
 如是，請指出股票行或銀行名稱及股票戶口號碼

Name of the Brokerage Firm/ Bank 股票行/銀行名稱	Account Number 賬戶號碼
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①

_____	_____
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②

_____	_____
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③

_____	_____
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Trade Confirmation 交易核實

Do you require trade confirmation electronically? Yes / No
 您是否需要電傳交易核實單？ 是 / 否

If yes, please furnish the following details:

如是，請填寫下列資料：

①

Attention

收件人

Fax / E-mail / SMS

傳真 / 電郵地址 / 短訊

ACKNOWLEDGEMENT BY CLIENT 客戶確認

I/We represent that the above information is true, complete and correct. 9F Primasia Securities Limited ("9F Primasia") is entitled to rely fully on such information for all purposes unless 9F Primasia receives notice in writing of any change from me/us. 9F Primasia is authorized at any time to contact anyone including any credit agency, for purpose of verifying the information provided on this Account Opening Information Form.

本人 / 吾等謹確認以上資料真實，完整及正確。玖富證券有限公司有權倚賴此等資料作任何用途，直至收到本人 / 吾等書面通知有關任何變更為止。本人 / 吾等授權玖富證券有限公司可於任何時間聯絡人仕，包括任何信用查證人仕，以確定本人 / 吾等於開戶資料表格上之資料的準確性。

I/We acknowledge and confirm that the risk disclosure statements were provided to me/us in both English and Chinese version and that I/we have been invited to read the risk disclosure statements, to ask question, and take independent advice if I/we so wish.

本人 / 吾等確認及已獲提供風險披露聲明書的中英文版本。本人 / 吾等並獲邀閱讀該風險披露聲明書，提出問題及徵求獨立的意見。

Client Signature(s) / Specimen
Signature(s)

客戶簽署 / 簽署式樣

Client Signature(s) / Specimen
Signature(s)

客戶簽署 / 簽署式樣

Client Signature(s) / Specimen
Signature(s)

客戶簽署 / 簽署式樣

In case of Joint Account, signing instruction: Any one two three * of the above signature(s) is /are required to sign singly
 jointly *.

如屬聯名戶口，簽名指示為任何一 二 三 位人仕 單獨 聯合 簽署*。

<p>SIGNED by Witness 見證人簽署 I, the undersigned, have witnessed the signature and inspected the original identity documents of the above-named client. 本人已見證及驗證上述客戶之簽署及有關其身份證明文件之正本</p> <p>_____ Signature of Witness 見證人簽署</p> <p>_____ Full Name of Witness (Print) 見證人姓名 (請以正楷書寫)</p> <p>_____ I.D/Passport No. 身份證或護照號碼</p> <p>_____ Profession 專業/職業</p> <p>_____ Date 日期</p>	<p>SIGNED and DECLARED by Licensed Representative who has explained to the Client the Risk Disclosure Statements of the Client Agreement for Securities Trading. 向客戶解釋此證券交易客戶協議書中有關風險披露聲明的持牌代表簽署</p> <p>_____ Signature of Licensed Representative 持牌代表簽署</p> <p>_____ Full Name of Licensed Representative (Print) 持牌代表姓名 (請以正楷書寫)</p> <p>_____ CE Number of Licensed Representative 持牌代表中央編號</p> <p>_____ Date 日期</p>
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完 ~ End ~

-----內部專用 For Internal Use-----
DOCUMENT CHECKLIST FOR ACCOUNT OPENING

For Individual Account	Remarks	Check Box
1. Cash Client's Agreement + Account Opening Information Form + Risk Disclosure Statement (All)		
2. One Signature Card (All)		
3. Copy of HKID/Passport (All)		
4. Evidence of income/ net worth (e.g. tax return, salary slip, bank statement, property title deed, mortgage payment record) (All)		
5. Supplementary Client's Agreement ("FINI") (optional)		
6. Power of Attorney (optional)		

7. A copy of business registration certificate (for sole proprietor or partnership accounts)		
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For Office Use

Accepted and on behalf of
9F Primasia Securities Limited

Sales

Compliance

Director