



Hong Kong Stock Link Securities Limited

香港通證券有限公司

23/F Workington Tower, 78 Bonham Strand E, Sheung Wan, Hong Kong.

香港上環文咸東街78號, 華東商業大廈, 23樓

Tel.電話: 2530 2213 Fax 傳真: 2523 5069 Email 電郵: general@hkstocklink.com

ACCOUNT OPENING FORM

Exchange Participant of The Stock Exchange of Hong Kong Ltd.

香港聯合交易所有限公司參與者

Participant ID: B01404 CE No.: ABD608 Broker No.: 4520,4529.

Account Type :

- | | |
|--|--|
| <input type="checkbox"/> Cash Account | <input type="checkbox"/> Margin Account |
| <input type="checkbox"/> Individual Account | <input type="checkbox"/> Joint Account |
| <input type="checkbox"/> Discretionary Account | <input type="checkbox"/> Related Account |

請付副本: “永久”居民身份証 / 護照
住址証明
財務証明
銀行戶口資料証明

Account No. : _____

Effective date : _____

Client's Information 戶口持有人個人資料

A1

Name 姓名: _____ (_____)
English Name 中文名

Permanent Identity Card No. / Passport Number :
香港“永久”居民身份証號碼 / 護照號碼:

Nationality :
國籍

Marital Status :
婚姻狀況

Date of Birth 出生日期:

Residential Address :
居住地址

Correspondence Address :
通訊地址

Residence 住處資料:

- | | | |
|--|--------------------------------------|---|
| <input type="checkbox"/> Family owned 家人購買 | <input type="checkbox"/> Rented 租住 | <input type="checkbox"/> Mortgaged 按揭 |
| <input type="checkbox"/> Self-owned 自置 | <input type="checkbox"/> Quarters 宿舍 | <input type="checkbox"/> Others 其它: _____ |

Years and months at present address 居住年期: (_____) Years 年

Contact telephone number 聯絡電話號碼

Residential :
住宅

Office :
公司

Mobile Phone :
手機

Email :
電郵

Fax :
傳真

Employment 受僱資料

Employer/Company Name 僱主名稱：

Business type 業務類型：

Position 職位：

Years of service 任職年期：

Office Address 辦事處地址：

☐ I confirm that the above Employer/Company is not a licensed corporation. 本人確認上述僱主不是受監管機構

Source of income 收入來源
☐ Salary 薪金 ☐ Commission 佣金 ☐ Rent 租金 ☐ Dividend 股息
☐ Interest 利息 ☐ Business Profit 業務溢利 ☐ Nil
☐ Others 其它 _____

Annual Income 每年收入(HKD)
☐ Below 低於150,000 ☐ 150,001 – 300,000 ☐ 300,001 – 600,000
☐ 600,001 – 1,000,000 ☐ Above 高於 1,000,000

Asset Type 資產類別
☐ Land and property 房地產 ☐ Cash 現金 / Deposit 存款
☐ Listed securities 上市証券 ☐ Others 其它 _____

Total Net Asset Value 資產淨值 (HKD)
☐ Below 低於100,000 ☐ 100,001 – 300,000 ☐ 300,001 – 500,000
☐ 500,001 – 1,000,000 ☐ Above 高於 1,000,000

Have the client ever declared bankruptcy? ☐ Yes 是 ☐ No 否
客戶是否曾經宣佈破產? If Yes, please provide date and details. 如是, 請提供日期及詳情: _____

A2 Investment Objective and Experience 投資目的及經驗

Investment Objective 投資目的
☐ Hedging 對沖 ☐ Capital Gain 資本增值
☐ Dividend income 股息收入 ☐ Long Term Growth 長線投資
☐ Others 其它 _____

Experience in Products 曾投資產品
☐ Shares 股票 ☐ Futures 期貨 ☐ Options 期權
☐ Forex 外匯 ☐ Bullion 黃金 ☐ Bonds /Funds 債券/基金
☐ Others 其它 _____

Experience in Investment 投資經驗
☐ Less than 1 year 小於一年 ☐ 1-5 years 年
☐ 6-10 years 年 ☐ Over 10 years 超過10 年

A3 Licensed / Registered Person Declaration and Disclosure of Related Clients 持牌人士/註冊人士聲明及相關客戶之披露

1. Are you (i) A director of employee or accredited person of an exchange participant of the Stock Exchange of Hong Kong Limited ("Stock Exchange") or (ii) Licensed or registered person, or (iii) an employee of a licensed or registered person of the Securities and Futures Commission ("SFC")?

閣下是否 (i) 香港聯合交易所有限公司 (“聯交所”) 之交易所參與者之董事或僱員或隸屬人士或 (ii) 證券及期貨事務監察員會 (“證監會”) 之持牌人士或註冊人士或 (iii) 證監會之持牌人士或註冊人士的僱員？ ☐ Yes 是 ☐ No 否

If Yes, please state the name of exchange participant of the Stock Exchange or licensed or registered person of the SFC below. Please provide the written consent of your employer to your opening of account(s) with Hong Kong Stock Link Securities Limited (“HKSL”) and you agree that HKSL may provide your employer with duplicate of your trade confirmations and/or statements of account upon its request.

如是, 請於下列註明聯交所交易所參與者或證監會持牌人士或註冊人士之姓名。請提供閣下僱主就閣下於本公司開立戶口之同意書, 而閣下同意本公司可應閣下僱主要求向其提供閣下之交易確認書及/或戶口結單之副本

Name 姓名: _____

2. Are you related to any employee or director of HKSL? ☐ Yes 是 ☐ No 否

閣下是否與本公司之僱員或董事有關？

If Yes, name of Employer / Director:

如是, 請註明該位僱員或董事之姓名: _____ Relationship 關係: _____

3. Is your spouse a client of HKSL? 閣下之配偶是否本公司之客戶? ☐ Yes 是 ☐ No 否

If Yes, Name of Spouse 如是, 配偶姓名: _____

4. Do you and/or your spouse control 35% or above of the voting rights of any corporate clients of HKSL?

閣下及 / 或閣下之配偶有否持控本公司之另一客戶35%或以上之表決權 ☐ Yes 是 ☐ No 否

If Yes, Name of Account

如有, 客戶姓名: _____ A/C No. 戶口號碼: _____

Secondary Joint Account Holder (For Joint Account Only)

第二聯名戶口持有人個人資料 (只適用於聯名戶口)

B1

Name 姓名: _____ (_____)
English Name 中文名

Permanent Identity Card No. / Passport Number:

香港“永久”居民身份證號碼 / 護照號碼:

Nationality:

國籍

Marital Status:

婚姻狀況

Date of Birth 出生日期:

Residential Address:

居住地址

Correspondence Address:

通訊地址

Residence 住處資料：		
<input type="checkbox"/> Family owned 家人購買	<input type="checkbox"/> Rented 租住	<input type="checkbox"/> Mortgaged 按揭
<input type="checkbox"/> Self-owned 自置	<input type="checkbox"/> Quarters 宿舍	<input type="checkbox"/> Others 其它：_____
Years and months at present address 居住年期：(_____) Years 年		
Contact telephone number 聯絡電話號碼		
Residential： 住宅	Office： 公司	Mobile Phone： 手機
Email： 電郵		Fax： 傳真
Employment 受僱資料		
Employer/Company Name 僱主名稱：		
Business type 業務類型：		
Position 職位：	Years of service 任職年期：	
Office Address 辦事處地址：		
<input type="checkbox"/> I confirm that the above Employer/Company is not a licensed corporation. 本人確認上述僱主不是受監管機構		
Source of income 收入來源	<input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Commission 佣金 <input type="checkbox"/> Rent 租金 <input type="checkbox"/> Dividend 股息 <input type="checkbox"/> Interest 利息 <input type="checkbox"/> Business Profit 業務溢利 <input type="checkbox"/> Nil <input type="checkbox"/> Others 其它 _____	
Annual Income 每年收入(HKD)	<input type="checkbox"/> Below 低於150,000 <input type="checkbox"/> 150,001 – 300,000 <input type="checkbox"/> 300,001 – 600,000 <input type="checkbox"/> 600,001 – 1,000,000 <input type="checkbox"/> Above 高於 1,000,000	
Asset Type 資產類別	<input type="checkbox"/> Land and property 房地產 <input type="checkbox"/> Cash 現金 / Deposit 存款 <input type="checkbox"/> Listed securities 上市証券 <input type="checkbox"/> Others 其它 _____	
Total Net Asset Value 資產淨值 (HKD)	<input type="checkbox"/> Below 低於100,000 <input type="checkbox"/> 100,001 – 300,000 <input type="checkbox"/> 300,001 – 500,000 <input type="checkbox"/> 500,001 – 1,000,000 <input type="checkbox"/> Above 高於 1,000,000	
Have the client ever declared bankruptcy? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 客戶是否曾經宣佈破產？ If Yes, please provide date and details. 如是, 請提供日期及詳情：_____		

B2 Investment Objective and Experience 投資目的及經驗

Investment Objective 投資目的	<input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Dividend income 股息收入 <input type="checkbox"/> Others 其它 _____	<input type="checkbox"/> Capital Gain 資本增值 <input type="checkbox"/> Long Term Growth 長線投資
------------------------------	--	--

Experience in Products
曾投資產品

☐ Shares 股票
☐ Forex 外匯
☐ Others 其它 _____

☐ Futures 期貨
☐ Bullion 黃金

☐ Options 期權
☐ Bonds /Funds 債券/基金

Experience in Investment
投資經驗

☐ Less than 1 year 小於一年
☐ 6-10 years 年

☐ 1-5 years 年
☐ Over 10 years 超過10 年

Licensed / Registered Person Declaration and Disclosure of Related Clients
持牌人士/註冊人士聲明及相關客戶之披露

B3

1. Are you (i) A director of employee or accredited person of an exchange participant of the Stock Exchange of Hong Kong Limited ("Stock Exchange") or (ii) Licensed or registered person, or (iii) an employee of a licensed or registered person of the Securities and Futures Commission ("SFC")?
閣下是否 (i) 香港聯合交易所有限公司 ("聯交所") 之交易所參與者之董事或僱員或隸屬人士或 (ii) 證券及期貨事務監察委員會 ("證監會") 之持牌人士或註冊人士或 (iii) 證監會之持牌人士或註冊人士的僱員?
☐ Yes 是 ☐ No 否

If Yes, please state the name of exchange participant of the Stock Exchange or licensed or registered person of the SFC below. Please provide the written consent of your employer to your opening of account(s) with Hong Kong Stock Link Securities Limited ("HKSL") and you agree that HKSL may provide your employer with duplicate of your trade confirmations and/or statements of account upon its request.

如是, 請於下列註明聯交所交易所參與者或證監會持牌人士或註冊人士之姓名。請提供閣下僱主就閣下於本公司開立戶口之同意書, 而閣下同意本公司可應閣下僱主要求向其提供閣下之交易確認書及/或戶口結單之副本

Name 姓名: _____

2. Are you related to any employee or director of HKSL? ☐ Yes 是 ☐ No 否
閣下是否與本公司之僱員或董事有關?

If Yes, name of Employer / Director:

如是, 請註明該位僱員或董事之姓名: _____ Relationship 關係: _____

3. Is your spouse a client of HKSL? 閣下之配偶是否本公司之客戶? ☐ Yes 是 ☐ No 否
If Yes, Name of Spouse 如是, 配偶姓名: _____

4. Do you and/or your spouse control 35% or above of the voting rights of any corporate clients of HKSL?
閣下及 / 或閣下之配偶有否持控本公司之另一客戶35%或以上之表決權 ☐ Yes 是 ☐ No 否

If Yes, Name of Account

如有, 客戶姓名: _____ A/C No. 戶口號碼: _____

Correspondence 通訊

C

Deliver Combined Contract Note and Daily Statement, Monthly Statement, Receipt, Notices and all correspondences to: 綜合成交日結單、月結單、收條、通知及所有郵件送往

☐ By mail to correspondence address 郵寄至通訊地址

☐ By internet 以互聯網方式發送

D Bank Detail 銀行戶口資料

Bank Name 銀行名稱	Bank Account No. 銀行戶口	Account Type 戶口類別
-------------------	--------------------------	----------------------

E Beneficiary 最終擁有人

Are you the ultimate beneficial owner(s) of the account (i.e. the person or entity (legal or otherwise) ultimately responsible for originating the instruction in relation to transaction(s); and that stands to gain the commercial or economic benefit of the transaction and/or bear its commercial or economic risk)? (as required by the SFC's Client Identity Rules)

閣下是否戶口的最終實益擁有人 (即最終為所發出與交易有關的指示負責, 獲取交易在商業或經濟上的利益及 / 或承擔其商業或經濟上的風險之人士或實體 (法律上或其它方面)) ?

If No, please specify below the full details of the beneficial owner(s) ☐ Yes 是 ☐ No 否
如否, 請註明實益擁有人之詳細資料

Full Name (Mr/Mrs/Miss/Ms) : _____ (_____) English Name 中文名	
Permanent Hong Kong Identity Card No. 香港永久居民身份證號碼 : _____	Contact Tel. No. 聯絡電話 : _____
Residential Address 住址 : _____	
Name of Employer / Company 僱主 / 公司名稱 : _____	
Address of Employer / Company 僱主 / 公司地址 : _____	

F Declaration and Signature 聲明及簽署

1. I/We confirm that the information given above is correct and complete, and authorize you to confirm this from any source you consider appropriate, including the conduct of any credit check on me/us.
本人(等)證實上述資料乃屬正確及完整, 並授權貴公司可向任何方面查証。

2. I/We confirm that I/we have read and understood the Agreement(s) for the securities trading account applicable to me/us including the following :
本人(等)證實已參閱及明白有關之證券交易戶口使用條款, 包括 :

- This Account Opening Form 此開戶表格
- Client's Agreement / Additional Terms for margin clients / Supplemental Agreement for Internet Trading (whichever is applicable) 客戶協議書 / 保證金客戶買賣附加條款 / 互聯網證券交易補充協議書 (任何適用)

3. I/We understand the terms and risks in securities trading and agree to be bound by the same and as amended from time to time
本人(等)並同意受其 (及其不時修改之版本) 所約束。
4. I/We understand that the account is subject to your final acceptance.
本人(等) 明白貴公司有最終接納開戶與否之權利。

Client's Signature* 客戶簽名*	Client's Signature (For Joint Account) 客戶簽名 (聯名戶口適用)
Name	Name
Witness Signature 見證人簽名	Responsible Officer /Authorized Person 公司授權人簽名
Name	Name

Signing Arrangement 簽名安排：
Unless otherwise specified, any of the above client may sign and
(1) effect securities trading transaction(s) and
(2) effect payment for funds deposit, withdrawal and/or transfer transactions(s) of securities trading
除非另外述明，以上任何客戶可簽署及 (1) 進行證券交易；及/或 (2) 為證券交易進行資金支付，
提取及/或轉帳事宜。

If this Account Opening Form is **not** executed by the Client in front of our Company's licensed representative, below should be signed by a specified person* (if applicable)

The undersigned person hereby certifies the signing of this Account Opening Form (together with the Client's Agreement / Additional Terms for Margin clients / Supplemental Agreement for Internet Trading (whichever is applicable)) by the above Client and sighting of related identity documents of such Client.

若客戶並非在本公司持牌人士面前簽立此份開戶合約，以下應由指定人士*簽署 (若適用者)

- 下述簽署人士謹此驗證上述客戶簽立此開戶合約 (連同上述之客戶協議書 / 保證金客戶買賣附加條款 / 互聯網證券交易補充協議書 (如適用)) 及其有關的身份證明文件

Signed and Certified by 簽署及驗證*

_____ Signature 簽署	_____ Name 姓名
_____ Profession / Title 所屬專業 / 職銜	_____ Date (dd/mm/yy) 日期 (日/月/年)

Contact Details Address 地址：_____

聯絡資料 Tel 電話：_____

*Any SFC licensed or registered person, an affiliate of such person, a Justice of Peace, a Branch Manager of a Bank, Certified Public Accountant, Lawyer or Notary Public, Certification Services (HK Post) 任何香港證監會持牌人或註冊人、其聯屬人士、太平紳士、銀行分行經理、執業會計師、律師、公證人或驗證服務(香港郵政所)。

Risk Disclosure Statement 風險披露聲明

1. Declaration by Staff 職員聲明

I hereby confirm that the risk disclosure statement has been provided to the client in the Client's Agreement / Margin Client's Agreement / Supplemental Agreement for Internet Trading (whichever is applicable) in a language of the client's choice and I have invited the client to read the same, ask questions and to take independent advice if the client wishes.

本人確認本人已以客戶所選擇之語言向客戶提供 客戶協議書 / 保證金客戶買賣附加條款 / 互聯網證券交易補充協議書 (如合適) 所載之風險披露聲明, 並已邀其細閱內容, 提出問題及徵求獨立的意見 (如客戶有此意願)。

Signature of Registered Person

Name of Registered Person (IN BLOCK LETTERS)

Date

CE Number

2. Acknowledgement by Client 客戶確認書

I hereby confirm that the risk disclosure statement was provided in a language of my choice; and I was invited to read the risk disclosure statement, to ask questions and to take independent advice if I wish.

本人確認以上之註冊人士已以本人所選擇之語言向本人提供風險披露聲明, 並已邀本人細閱內容, 提出問題及徵求獨立的意見 (如本人有此意願)。

Client's Signature*
客戶簽名*

Client's Signature (For Joint Account)
客戶簽名 (聯名戶口適用)

Date 日期

Date 日期

For Official Use only :

Official use only :

The client has been known to the Licensed Representative for _____ years

Introduced by : _____ Account No.: _____

Commission Rate : A2 / A4 / A6 / A8 Others : _____

Credit Limit : HKD _____ Trading Limit : HKD _____

Approved by : _____ Date : _____

- Checklist :
- | | |
|---|---|
| <input type="checkbox"/> Client properly signed | |
| <input type="checkbox"/> Risk Disclosure Statement signed by Registered Person and acknowledged by client | |
| <input type="checkbox"/> Copy of HKID Card | <input type="checkbox"/> Copy of bank details – bank name and account number |
| <input type="checkbox"/> Residential proof | <input type="checkbox"/> Mailing address proof (if any) |
| <input type="checkbox"/> Financial proof (if any) | <input type="checkbox"/> Letter of authorization for 3rd party operated account (if applicable) |
| For 2nd named A/C Holder | <input type="checkbox"/> Copy of HKID Card |
| | <input type="checkbox"/> Copy of bank details – bank name and account number |
| | <input type="checkbox"/> Residential proof (if different from 1st named Joint A/C Holder) |
| | <input type="checkbox"/> Mailing address proof (if applicable) |
| | <input type="checkbox"/> Financial proof (if applicable) |
| Copy to client | <input type="checkbox"/> This Opening Form |
| | <input type="checkbox"/> Fees and charges |
| | <input type="checkbox"/> Client's Agreement / Additional Terms for Margin Clients / Supplemental Agreement for Internet Trading (whichever is applicable) |
| | * <input type="checkbox"/> If not face to face, letter to client – risk disclosure statement |

Input By :

Checked By :

Scanned by :