

Oshidori Securities Limited 威華達證券有限公司

25/F, China United Centre, 28 Marble Road, North Point, Hong Kong
香港北角馬寶道二十八號華匯中心二十五樓
Tel 電話: (852) 3198 0622 Fax 傳真: (852) 2899 0299
Email 電郵: info@oshidorisec.com Website 網址: www.wwindsec.com

A corporation licensed for Type 1, 2, 4 and 9 regulated activities
under the Securities and Futures Ordinance (CE No. ACZ283)
根據《證券及期貨條例》註冊為第一、二、四、及九類
受規管活動持牌法團 (中央編號: ACZ283)

Account Opening Form – Individual / Joint Account

開戶表 – 個人 / 聯名帳戶

Account Type: Securities Cash Account Securities Margin Account Futures Account
帳戶類別: 股票現金帳戶 股票保證金帳戶 期貨帳戶

Online Trading 網上交易: Yes 是 No 否

China Connect Trading Service: Yes 是 No 否

中華通交易服務

For official use only 只供本行使用

Securities Account No.

股票帳戶號碼:

Futures Account No.

期貨帳戶號碼:

Date Opened 開戶日期:

Please attach 請附上:

- Copy of Hong Kong ID Card(s) or Passport(s) of Primary (and Joint) Client(s). 個人(及聯名) 帳戶持有人的身份證或護照副本。
- Copy of a bank statement or utility bill within the last 3 months for proof of residential address. 最近 3 個月的銀行結單或公共服務單據副本作為提供住址證明。
- Copy of a bank account statement within the last 3 months or any eligible document of asset proof (for student or unemployed person). 請提供最近 3 個月的銀行結單副本或其他資產證明文件(適用於學生或無業人士)。

Please complete in BLOCK LETTERS 請用正楷填寫:

Personal Information of the Individual / Joint Account Holder 個人/聯名帳戶之個人資料	
<input type="checkbox"/> Individual Account 個人帳戶	<input type="checkbox"/> Joint Account 聯名帳戶
Personal Information 個人資料	
Primary Joint Account Holder 主要戶口持有人	Secondary Joint Account Holder 第二戶口持有人 (For Joint Account only 只適用於聯名帳戶) Joint Account Holders Relationship 聯名帳戶持有人關係: _____
(a) Name: Mr. / Ms.* (* Please delete if not applicable) 姓名: 先生 / 女士 (* 請刪去不適用者) English 英文: _____ Chinese 中文: _____	(a) Name: Mr. / Ms.* (* Please delete if not applicable) 姓名: 先生 / 女士 (* 請刪去不適用者) English 英文: _____ Chinese 中文: _____

<p>(b) HKID Card / Passport No. 香港身份證 / 護照號碼: _____</p> <p>(c) Date of Birth: 出生日期: _____</p> <p>(d) Nationality 國籍: _____</p> <p><input type="checkbox"/> I am NOT a citizen or resident of the United States 本人/吾等並非美國公民或居民</p> <p>(e) Place of birth 出生地點: _____</p> <p>(f) Residential Address 住宅地址: _____ _____ _____</p> <p>(g) Ownership of Residence 住宅業權: <input type="checkbox"/> Owned 自置 <input type="checkbox"/> Rented 租用 <input type="checkbox"/> With Parents 與父母同住 <input type="checkbox"/> Quarters 宿舍 <input type="checkbox"/> Relative's 親屬的樓宇</p> <p>(h) Home Tel. No. 住宅電話號碼: _____</p> <p>(i) Office Tel. No. 公司電話號碼: _____</p> <p>(j) Mobile Phone No. 手提電話號碼: _____</p> <p>(k) Fax No. 傳真號碼: _____</p> <p>(l) Email Address 電郵地址: _____ *This email address will be receiving notification of system login and trade information if you have chosen internet trading. 此郵箱將收取由系統發出的登入及交易資訊。</p>	<p>(b) HKID Card / Passport No. 香港身份證 / 護照號碼: _____</p> <p>(c) Date of Birth: 出生日期: _____</p> <p>(d) Nationality 國籍: _____</p> <p><input type="checkbox"/> I am NOT a citizen or resident of the United States 本人/吾等並非美國公民或居民</p> <p>(e) Place of birth 出生地點: _____</p> <p>(f) Residential Address 住宅地址: _____ _____ _____</p> <p>(g) Ownership of Residence 住宅業權: <input type="checkbox"/> Owned 自置 <input type="checkbox"/> Rented 租用 <input type="checkbox"/> With Parents 與父母同住 <input type="checkbox"/> Quarters 宿舍 <input type="checkbox"/> Relative's 親屬的樓宇</p> <p>(h) Home Tel. No. 住宅電話號碼: _____</p> <p>(i) Office Tel. No. 公司電話號碼: _____</p> <p>(j) Mobile Phone No. 手提電話號碼: _____</p> <p>(k) Fax No. 傳真號碼: _____</p> <p>(l) Email Address 電郵地址: _____</p>
Employment Status 工作狀況	
<input type="checkbox"/> Full Time 全職 <input type="checkbox"/> Part Time 兼職 <input type="checkbox"/> Self employed 自僱 <input type="checkbox"/> Unemployed 待業 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Others 其他 _____	
<p>(a) Name of Current Employer 目前僱主名稱: _____</p> <p>(b) Nature of Business 商業性質: _____</p>	<p>(a) Name of Current Employer 目前僱主名稱: _____</p> <p>(b) Nature of Business 商業性質: _____</p>

(c) Year(s) with Existing Employer 任職年期: _____ (d) Position 職位: _____ (e) Office Address 公司地址: _____ _____ _____	(c) Year(s) with Existing Employer 任職年期: _____ (d) Position 職位: _____ (e) Office Address 公司地址: _____ _____ _____
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Bank Account Details 銀行資料

Unless otherwise instructed by you, all monies payable to you are to be credited to the following bank account:
除非另有指示，付予閣下的款項將會被存入下列銀行帳戶：

(a) Bank Name
銀行名稱: _____

(b) Bank Account Number 銀行帳戶號碼 _____ Saving 儲蓄 Current 支票

(c) Bank Account Holder's Name 銀行帳戶持有人名稱* _____
* Name(s) shown on bank statements and this Form should match 註: 客戶的銀行結單及此表格上的名稱必須相符

Investor Settlement Instruction 投資者交收指示

CCASS Investor Account Name & No. 中央結算投資者戶口名稱及號碼: _____
* Name(s) of CCASS Investor Account and this Form should match 註: 客戶的中央結算投資者戶口名稱及此表格上的名稱必須相符

Trading Confirmations and Statements 交易確認通知及帳戶結單

For Individual/ Primary Joint Account Holder Only 只需由個人/聯名帳戶主要戶口持有人填寫
Trading Confirmations and Statements to be sent to 交易確認通知及帳戶結單遞送至: *

E-mail address 個人電郵地址 Residential Address 住宅地址 Office Address 公司地址
 Other correspondence address, please specify 其他郵寄地址，請列明: _____

* Please select one only 只可選擇一個

Financial Profile 財務狀況

(a) Income Source 收入來源 (Can choose more than one item 可選擇多於一項) <input type="checkbox"/> Salary / Commission 薪金/佣金 <input type="checkbox"/> Rent 租金 <input type="checkbox"/> Investment Income 投資收入 <input type="checkbox"/> Business Profit 營業利潤 <input type="checkbox"/> Others (please specify) 其他(請說明): _____ _____ (b) Ongoing Source(s) of Wealth 持續財富來源 <input type="checkbox"/> Same as Initial Source(s) of Wealth 與最初財富來源相同 <input type="checkbox"/> Others (please specify) 其他(請說明): _____ _____	(a) Income Source 收入來源 (Can choose more than one item 可選擇多於一項) <input type="checkbox"/> Salary / Commission 薪金/佣金 <input type="checkbox"/> Rent 租金 <input type="checkbox"/> Investment Income 投資收入 <input type="checkbox"/> Business Profit 營業利潤 <input type="checkbox"/> Others (please specify) 其他(請說明): _____ _____ (b) Ongoing Source(s) of Wealth 持續財富來源 <input type="checkbox"/> Same as Initial Source(s) of Wealth 與最初財富來源相同 <input type="checkbox"/> Others (please specify) 其他(請說明): _____ _____
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<p>(c) Means of fund transfer(s) 資金轉移的方式 (Can choose more than one item 可選擇多於一項)</p> <p><input type="checkbox"/> Bank Transfer 銀行轉賬 <input type="checkbox"/> Telegraphic Transfer 電匯</p> <p><input type="checkbox"/> Cheque / Bank draft 支票/銀行匯票</p> <p><input type="checkbox"/> Others (Please specify) 其他 (請說明) : _____</p> <p>(d) Country(ies) of Origin(s) of Funds 資金來源地 (Can choose more than one item 可選擇多於一項)</p> <p><input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Mainland China 中國內地</p> <p><input type="checkbox"/> Macau 澳門 <input type="checkbox"/> Singapore 新加坡</p> <p><input type="checkbox"/> United States 美國 <input type="checkbox"/> Canada 加拿大</p> <p><input type="checkbox"/> Others (Please specify) 其他 (請說明): _____</p> <p>(e) Asset Class 資產類別 (Can choose more than one item 可選擇多於一項)</p> <p><input type="checkbox"/> Property 房產 <input type="checkbox"/> Cash / Deposit 現金/存款</p> <p><input type="checkbox"/> Valuable Stock 有價證券</p> <p><input type="checkbox"/> Others (Please specify) 其他 (請說明): _____</p> <p>(f) Approximate Total Net Worth (in HKD) 概算總淨值(港幣計) :</p> <p><input type="checkbox"/> Below 少於\$500,000 <input type="checkbox"/> \$500,000~\$2,000,000</p> <p><input type="checkbox"/> \$2,000,001~\$5,000,000 <input type="checkbox"/> \$5,000,001~\$10,000,000</p> <p><input type="checkbox"/> Above 多於\$10,000,000</p>	<p>(c) Means of fund transfer(s) 資金轉移的方式 (Can choose more than one item 可選擇多於一項)</p> <p><input type="checkbox"/> Bank Transfer 銀行轉賬 <input type="checkbox"/> Telegraphic Transfer 電匯</p> <p><input type="checkbox"/> Cheque / Bank draft 支票/銀行匯票</p> <p><input type="checkbox"/> Others (Please specify) 其他 (請說明) : _____</p> <p>(d) Country(ies) of Origin(s) of Funds 資金來源地 (Can choose more than one item 可選擇多於一項)</p> <p><input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Mainland China 中國內地</p> <p><input type="checkbox"/> Macau 澳門 <input type="checkbox"/> Singapore 新加坡</p> <p><input type="checkbox"/> United States 美國 <input type="checkbox"/> Canada 加拿大</p> <p><input type="checkbox"/> Others (Please specify) 其他 (請說明): _____</p> <p>(e) Asset Class 資產類別 (Can choose more than one item 可選擇多於一項)</p> <p><input type="checkbox"/> Property 房產 <input type="checkbox"/> Cash / Deposit 現金/存款</p> <p><input type="checkbox"/> Valuable Stock 有價證券</p> <p><input type="checkbox"/> Others (Please specify) 其他 (請說明): _____</p> <p>(f) Approximate Total Net Worth (in HKD) 概算總淨值(港幣計) :</p> <p><input type="checkbox"/> Below 少於\$500,000 <input type="checkbox"/> \$500,000~\$2,000,000</p> <p><input type="checkbox"/> \$2,000,001~\$5,000,000 <input type="checkbox"/> \$5,000,001~\$10,000,000</p> <p><input type="checkbox"/> Above 多於\$10,000,000</p>
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Client Identity Declarations 客戶身份聲明

Are you the ultimate beneficial owner(s) of the Account? 閣下是否戶口的最終受益人?

Yes 是 No, please provide details of the ultimate beneficial owner(s) as follows: 否, 請說明最終受益人資料如下:

Name 姓名: _____ ID Card/Passport No. 身份證 / 護照號碼: _____

Residential Address 住宅地址: _____

Are you the person(s) ultimately responsible for originating the instructions of the Account? 閣下是否最初負責發出戶口買賣指示的人?

Yes 是 No, please provide details of the person(s) originating the instructions as follows: 否, 請說明戶口買賣指示人資料如下:

Name 姓名: _____ ID Card/Passport No. 身份證 / 護照號碼: _____

Residential Address 住宅地址: _____

Are you, the ultimate beneficial owner(s) of the Account and/or the person(s) ultimately responsible for originating instructions of the Account, a licensed person or a director or an employee of any licensed corporation/authorized institution (e.g. employee of a brokerage firm, bank etc.) registered with the Securities and Futures Commission?

閣下、戶口最終受益人及 / 或最初負責發出戶口買賣指示人是否證券及期貨事務監察委員會註冊的持牌人士或持牌法團/註冊機構的董事或僱員?

Yes, name of the licensed person or licensed corporation/registered institution 是, 持牌人士或持牌法團/註冊機構名稱: _____ No 否

Do (es) you, the ultimate beneficial owner(s) of the Account and/or the person(s) ultimately responsible for originating instructions of the Account have/has any relative(s) working in Oshidori Securities Limited or its group companies?

閣下, 戶口最終受益人及 / 或最初負責發出戶口買賣指示人是否與威華達證券有限公司或其集團公司的任何董事或僱員有親屬關係?

Yes, name of staff 是, 職員姓名: _____

Relationship 關係：_____

No 否

Are you, your spouse, partner, child(ren), parent(s), spouse(s) or partner(s) of his child(ren), or a close associate(s) of you entrusted or has been entrusted with a prominent public function, includes a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a stated-owned corporation and an important political party official?

閣下、閣下之配偶、伴侶、子女或父母，或閣下的子女的配偶或伴侶，或與閣下關係密切的人，是否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？

Yes, please specify 是，請說明：_____ No 否

Disclosure of Group Related Accounts 關聯戶口披露

(For margin account applicant only 只適用於保證金帳戶申請者)

Is your spouse a margin client of Oshidori Securities Limited? 閣下的配偶是否威華達證券有限公司的保證金客戶？

Yes, name of my spouse 是，配偶名稱：_____ No 否

Account number: 戶口號碼：_____

Are you whether individually or jointly with your spouse control 35% or more voting power of any corporate margin account of Oshidori Securities Limited? 閣下是否個人或與閣下的配偶共同控制威華達證券有限公司的任何保證金公司客戶 35%或以上投票權？

Yes, name of client 是，客戶名稱：_____ No 否

Account number: 戶口號碼：_____

Signing Arrangement 簽署安排

(For joint account applicants only 只適用於聯名戶口申請者)

You decide that the valid document in connection with the operation (including fund withdrawal and asset transfer) of your Account must be signed by any _____ of Account Holders.

閣下決定所有戶口操作(包括提款及資產轉移)的有效文件必須由其中 _____ 位戶口持有人簽署。

Client's Declaration and Signature 客戶聲明和簽署

I/We, the undersigned client(s), hereby apply to open the types of account(s) and service(s) which I/we have chosen on the front page of this Account Opening Form.

本人/吾等，下述簽署客戶，現申請開立本人/吾等在本開戶表首頁選擇之帳戶及服務類別。

I/We have read the Securities Account Agreement (including the Margin Facility and Margin Requirements if applicable) and/or Futures Account Agreement (the "Agreement(s)") of Oshidori Securities Limited ("OSL") carefully before signing this Account Opening Form. The Account Opening Form, Agreement(s), various Schedules attached hereto as originally executed or as thereafter from time to time amended or supplemented and any authorities given by me/us to OSL with respect to the accounts shall together constitute the entire agreement and understanding between me/us and OSL in respect of the matters contemplated under the documents. All transactions to be concluded with or through OSL shall be subject to the terms and conditions of the Agreement(s). By signing below, I/we confirm that I/we have read, understood and accepted the Agreement(s) and shall be bound by the Agreement(s) as it may be amended from time to time.

本人/吾等於簽署開戶表前已細閱威華達證券有限公司(「威華達證券」)的【證券帳戶協議】(如適用包括保證金信貸及保證金規定)及/或【期貨帳戶協議】(以下簡稱為《協議書》)各項條文。本開戶表、《協議書》及隨附之各份附件及其後不時作出之修訂或補充，及客戶給予威華達證券就有關賬戶的任何授權，將一起構成所有客戶與威華達證券之事宜的全部協議及瞭解。所有由本人/吾等或透過威華達證券進行之交易均受《協議書》之條文所約束。於下方簽署乃確認本人/吾等已細閱、明白及同意《協議書》，並接受該等現時有效及不時修改的條文約束。

I/We hereby give you notice in writing that I/we confirm to authorize OSL to exercise all the powers of the Standing Authority (Client Money) and/or Standing Authority (Client Securities) (if applicable) under the Agreement(s). I/We understand that such authorities will be renewed annually under the regulatory requirement and agree to be bound by its terms.

本人/吾等在此以書面通知、確認並授權威華達證券行使《協議書》內的常設授權(客戶款項)及/或常設授權(客戶證券)(如適用)。本人/吾等明白此授權會按照監管要求下每年續期，並同意接受該授權書內的條款所約束。

I/We have read and understood the risk disclosure documents (including Risk Disclosure Statement(s) and Disclaimer(s) annexed in the Agreement(s)) on derivative products, I/we understood that I/we must have to acquire enough understanding on derivative product(s) before trading, and further acknowledge that the risk disclosure documents may not cover all the risks of derivative products and I/we shall make my/our own assessment and ensure that I/we have sufficient net worth to assume the risks and bear the potential losses before trading in derivative products.

本人/吾等確認已閱讀及明白有關衍生產品的風險披露文件(包括協議書附錄的風險披露聲明及免責聲明)，本人/吾等明白於買賣有關衍生產品前必須具備足夠的認識，亦明白風險披露文件可能未涵蓋所有衍生產品的風險，本人/吾等在買賣衍生產品前將自行作出評估及確定有足夠的淨資產來承擔風險和潛在的損失。

I/We want to use the Electronic Trading Service, I have read and understood the terms of the Online Trading Agreement(s) as set out in the Agreement(s) and I/we accept to be bound by the same. (if applicable).

本人/吾等欲使用電子交易服務，本人/吾等已經閱讀並明白《協議書》中所載之網上交易協議條款，並接受這些條款的約束。(如適用)

I/We have read and understood the terms of China Connect Trading Service as set out in the Agreement(s), I/we agree to be bound by the same. I/We acknowledge and accept the scope of relevant services provided by OSL. I/We agree to OSL's use of my/our personal data for the purposes set out in the Collection and Use of Personal Data concerning Northbound China Connect Trading. I/We acknowledge that I/we have read and understood the "Specific Risks Relating to Securities Trading Through Shanghai-Hong Kong Stock Connect and Shenzhen-Hong Kong Stock Connect". (if applicable)

本人/吾等已經閱讀並明白《協議書》中所載之中華通交易服務條款，並接受這些條款的約束。本人/吾等確認及接受威華達證券提供其相關服務的範圍。本人/吾等同意威華達證券可根據用於中華通北向交易之收集及使用個人資料所載的目的使用本人/吾等的個人資料。本人/吾等確認已閱讀並明白有關透過滬港通及/或深港通交易之特別風險。(如適用)

I/We represent and warrant that I am / we are not "U.S. person" as interpreted in accordance with the U.S. Internal Revenue Code. I/We agree that I/we will notify OSL immediately if I/we become a U.S. person.

本人/吾等聲明及保證本人/吾等並非美國國內稅法詮釋的“美國人士”，並同意如果本人/吾等成為美國人士，本人/吾等將立即通知威華達證券。

I/We represent that the information in this Account Opening Form is true, complete and correct, OSL is entitled to rely fully on such information and representations for all purposes, unless OSL receives notice in writing of any change.

本人/吾等聲明在本開戶表內的資料均屬真實、完整及正確。除非威華達證券收到任何客戶資料改變的書面通知，威華達證券有權在任何用途上完全依賴這些資料及陳述。

OSL is authorized at any time to contact anyone, including but without limitation to my/our banks, brokers or any credit agency for the purpose of verifying the information in this Account Opening Form.

威華達證券有權隨時聯絡任何人，包括但不限於戶口本人/吾等之銀行、經紀或任何信貸調查機構，以求證實本開戶表內所載之資料。

I/we have read, understood and agreed to accept and be bound by the Personal Information Collection Statement of the Agreement(s).

本人/吾等已閱讀、理解、同意接受及遵守《協議書》內之個人資料收集聲明。

I/We acknowledge that I/we have received a copy of the Agreement(s) and the Risk Disclosure Statement(s) in a language of my/our choice (English or Chinese) together with a Fee Schedule. I/we hereby confirm I/we have been invited to read the Risk Disclosure Statement(s), to ask questions and take independent advice if I/we wish.

本人/吾等謹此聲明已收受一套按本人/吾等選擇的語言(英文或中文)的《協議書》及風險披露聲明之副本和收費表。本人/吾等確認已獲邀閱讀風險披露聲明，提出問題及可徵求獨立的意見(如本人/吾等有此意願)。

Primary Joint Account Holder's Signature 主要戶口申請人簽署

Secondary Joint Account Holder's Signature 第二戶口申請人簽署

Date 日期

Date 日期

Witness Name

Witness Signature

Date

見證人姓名

見證人簽署

簽署日期

FOR OFFICE USE ONLY 以下由威華達證券有限公司註冊職員填寫

Staff Declaration 職員聲明

I, the licensed representative of Oshidori Securities Limited, hereby declare and confirm that I have provided the "Risk Disclosure Statement - Securities Account" and/or "Risk Disclosure Statement - Futures Account" (if applicable) in a language of the Client's choice (English or Chinese) and invited the Client/Joint Client to read the Risk Disclosure Statement(s), ask questions and take independent advice if the Client/Joint Client wishes.

本人為威華達證券有限公司的註冊職員，並謹此聲明及確認本人已按照上述客戶/聯名客戶所選擇的語言(中文或英文)提供《風險披露聲明書 - 證券賬戶》及/或《風險披露聲明書 - 期貨賬戶》的內容(視屬何情況而定)，及邀請客戶閱讀該風險披露聲明、提出問題及徵求獨立的意見(如客戶/聯名客戶有此意願)。

Signature of Staff 職員簽署	Name of Staff 職員名稱	CE No. 中央編號	Date (dd/mm/yy) 日期 (日/月/年)
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Introduced by:	Name of Account Executive and AE No.:
Account opening documents check <input type="checkbox"/> Required documents obtained <input type="checkbox"/> KYC/CDD Checked <input type="checkbox"/> Sanctions List, PEP & Cold Shoulder List Checked <input type="checkbox"/> Client's Risk Tolerance Questionnaire completed <input type="checkbox"/> Standing Authorities signed <input type="checkbox"/> CRS form collected Remarks: _____ _____ _____	AML Risk Category: <input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High, reason: _____ <input type="checkbox"/> Political Exposed Person (PEP) <input type="checkbox"/> Criminal activity / records <input type="checkbox"/> Member included in the terrorist list <input type="checkbox"/> From jurisdictions with insufficient or no AML standards <input type="checkbox"/> OFAC Specially Designated Nationals (SDN) & HMT Sanctions List <input type="checkbox"/> Trust, Fiduciary & Nominee Accounts, Casinos <input type="checkbox"/> Money exchange <input type="checkbox"/> Potential country risk
Documents Checked By:	
Name: _____	Signature: _____
Stocks Commission Rate: _____ % (Min HK\$ _____)	Stocks Debit Interest Rate: _____ % _____ %
Stocks Credit Limit: _____	Stocks Settlement Limit (for Securities Cash A/C) _____
Futures Position Limit: _____	Stocks Maximum Exposure: _____
Futures Commission Rate:	Futures Maximum Exposure:
Overnight: _____	Day trade: _____
Approved by (Securities A/C):	Approved by (Futures A/C):
Name: _____	Name: _____
Signature: _____	Signature: _____
Data Input By:	Data Checked By:
Name: _____	Name: _____
Signature: _____	Signature: _____

Remarks: