

**新富證券有限公司**

香港聯合交易所有限公司參與者

及註冊證券交易商

CE: 編號: AAC648

香港皇后大道中 183 號 新紀元廣場 中遠大廈 20 字樓

電話: (852) 2853 2288 傳真: (852) 2545 3711

SANFULL SECURITIES LIMITEDExchange Participant of the Stock Exchange of Hong Kong Limited
and Registered Securities Dealer

CE Ref: AAC648

Suite 2001-6, 20/F, Cosco Tower,

183 Queen's Road Central, Hong Kong

Tel: (852) 2853 2288 Fax: (852) 2545 3711

證券交易戶口申請書 (個人或聯名戶口)**SECURITIES TRADING ACCOUNT APPLICATION (Individual or Joint Accounts)**

致: 新富證券有限公司 (「新富」)

To: SANFULL SECURITIES LIMITED (「SSL」)

帳戶編號:

Account No.: _____

本人/吾等 向新富申請開立及維持以下證券交易賬戶, 新富將會按照本戶口申請書條款及客戶協議 (不時修訂) 向本人/吾等提供服務。

I/We hereby request SSL to open and maintain the following securities trading account, SSL shall provide services on the terms and conditions with the terms of this Account Application and the Client Agreement (as may be amended from time to time).

☐ 現金證券交易戶口 Cash securities trading account☐ 孖展證券交易戶口 Margin securities trading account

請提供下列電子交易服務 (定義見客戶協議 - 第 3 條):

Please provide the following E-Service (as defined in the Client Agreement – Clause 3):

☐ 互聯網交易服務 Internet Trading Services☐ 其他電子服務 Other Electronic Services

請提供買賣非香港上市證券服務:

Please provide Trading in non-HK listed securities services:

☐ 不需要 Not Require☐ 需要 (請註明應包括在內的市場) Require (please specify market(s) that should be included)

本戶口申請書所用詞語與客戶協議所界定者具相同涵義。

Terms defined in the Client Agreement have the same meaning when used in this Account Application.

本人/吾等明白為使新富有充分資料開立及管理該戶口必須提供本申請書要求提供的個人資料。本人/吾等已閱讀並接納客戶協議有關新富的個人資料政策及實務常規。

I/We understand that it is necessary for me/us to supply the personal data requested on this application form in order to enable you to open the Account; otherwise SSL will not have sufficient information to open and administer the Account. I/We have read and accept SSL's policies and practices relating to personal data in the Client Agreement.

1. 申請人資料 Particulars of the Applicant(s)

A (1) 姓名 (中文): 先生/太太/小姐*

Name (in English): Mr./Mrs./Miss*

(2) 出生日期 Date of Birth: _____ 國籍 Nationality: _____

香港身份證或護照號碼 Hong Kong Identity Card or Passport No: _____

(3) 住址 Residential Address: _____

居住年期 Year of Residence: _____ 住宅電話 Telephone: _____

申請人住所是屬於那類? What type of residence does Applicant belong to?

☐ 自置 Self owned;☐ 家屬物業 Family property;☐ 租用 Rent;☐ 其他 Others: _____

如屬自置, 物業有否按揭 (若有, 請註明貸款人) If owned, does Applicant have a mortgage on the property (identify the lender if yes): _____

(4) 移動號碼 Mobile Phone: _____ 傳真號碼 Facsimile: _____

電子郵件地址 E-mail address: _____

(5) 往來銀行 Bankers:

請指示新富用作支付款項之申請人銀行賬戶

Please indicate the bank account for payment of money by SSL

☐ 銀行
Bank:分行
Branch:

港元賬戶號碼

HK\$ Account No.: _____

☐ 銀行
Bank:

其他貨幣賬戶號碼

Other Currency Account No.: _____

(6) 僱主 (如屬自僱, 謹請註明):
Employer (if self-employed, so state) : _____

業務/受僱工作性質:
Nature of Business/Employment: _____

服務僱主年期: _____ 職位: _____
Years of Service with Employer: _____ Position: _____

(7) 營業地址 Business Address : _____
營業電話 Telephone: _____

(8) 財政狀況 Financial Profile

證券投資經驗 Experience in Securities Investment :
☐ 一年以下 Less than 1 year; ☐ 一年至五年 1 to 5 years; ☐ 五年以上 More than 5 years;

收入來源 Income Source(s):
☐ 薪金/佣金 Salary/Commission; ☐ 股息/利息 Dividend/Interest; ☐ 營業利潤 Business Profit;
☐ 其他 Others: _____

每年收入(以港元計) Annual income (HK\$) :
☐ 少於 Less than \$250,000; ☐ \$250,001 - \$500,000; ☐ \$500,001 - \$750,000;
☐ \$750,001 - \$1,000,000; ☐ \$1,000,001 - \$2,000,000; ☐ 多於 Over \$2,000,000;

資產淨值 (以港元計) (不包括居住地方, 汽車, 傢俬及人壽保險等)
Net Assets (HK\$): (Excluding place of residence, motor vehicles, furniture, life insurance policies, ...etc.)
☐ 少於 Less than \$250,000; ☐ \$250,001 - \$500,000; ☐ \$500,001 - \$750,000;
☐ \$750,001 - \$1,000,000; ☐ \$1,000,001 - \$2,000,000; ☐ 多於 Over \$2,000,000;

申請人否在下列任何公司開立戶口 (請於所有適當方格加上「✓」號)
Does the Applicant have accounts with any of following (tick appropriate boxes)?
☐ 新富金號 San Fu & Company
☐ 新富期貨有限公司 Sanfull Futures Limited
☐ 其他 Others: _____

(9) 只適用於孖展戶口 For margin account only:

申請人的配偶是否新富孖展客戶? 是/否* (如是, 謹請說明)
Is Applicant's spouse a margin client of SSL? Yes/No*. (If yes, please provide details)

申請人是否單獨或與配偶共同控制新富公司孖展客戶 35% 或以上的表決權?
是/否* (如是, 謹請說明):
Does Applicant alone or with Applicant's spouse control 35% or more of the voting rights of a corporate margin client of SSL?
Yes/No*. (If yes, please provide details):

配偶姓名 Spouse Name : _____ 帳戶編號 Account No. : _____

B (只供聯名戶口 Joint Accounts Only)

(1) 姓名 (中文): 先生/太太/小姐* _____
Name (in English): Mr./Mrs./Miss* _____

(2) 出生日期 Date of Birth : _____ 國籍 Nationality : _____
香港身份證或護照號碼 Hong Kong Identity Card or Passport No : _____

(3) 住址 Residential Address : _____

居住年期 Year of Residence : _____ 住宅電話 Telephone: _____

申請人住所是屬於那類? What type of residence does Applicant belong?
☐ 自置 Self owned; ☐ 家屬物業 Family property; ☐ 租用 Rent; ☐ 其他 Others: _____

如屬自置, 物業有否按揭 (若有, 請註明貸款人) If owned, does Applicant have a mortgage on the property (identify the lender if yes) :

(4) 移動號碼 Mobile Phone: _____ 傳真號碼 Facsimile: _____
 電子郵件地址 E-mail address: _____

(5) 往來銀行 Bankers:
 請指示新富用作支付款項之申請人銀行賬戶
 Please indicate the bank account for payment of money by SSL

☐ 銀行 Bank: _____ 分行 Branch: _____ 港元賬戶號碼 HK\$ Account No.: _____
☐ 銀行 Bank: _____ 其他貨幣賬戶號碼 Other Currency Account No.: _____

(6) 僱主 (如屬自僱, 謹請註明):
 Employer (if self-employed, so state) : _____
 業務/受僱工作性質:
 Nature of Business/Employment: _____
 服務僱主年期: _____ 職位: _____
 Years of Service with Employer: _____ Position: _____

(7) 營業地址 Business Address : _____
 營業電話 Telephone: _____

(8) 財政狀況 Financial Profile

證券投資經驗 Experience in Securities Investment :
☐ 一年以下 Less than 1 year; ☐ 一年至五年 1 to 5 years; ☐ 五年以上 More than 5 years;

收入來源 Income Source(s):
☐ 薪金/佣金 Salary/Commission; ☐ 股息/利息 Dividend/Interest; ☐ 營業利潤 Business Profit;
☐ 其他 Others: _____

每年收入(以港元計) Annual income (HK\$) :
☐ 少於 Less than \$250,000; ☐ \$250,001 - \$500,000; ☐ \$500,001 - \$750,000;
☐ \$750,001 - \$1,000,000; ☐ \$1,000,001 - \$2,000,000; ☐ 多於 Over \$2,000,000;

資產淨值 (以港元計) (不包括居住地方, 汽車, 傢俬及人壽保險等)
 Net Assets (HK\$): (Excluding place of residence, motor vehicles, furniture, life insurance policies, ...etc.)
☐ 少於 Less than \$250,000; ☐ \$250,001 - \$500,000; ☐ \$500,001 - \$750,000;
☐ \$750,001 - \$1,000,000; ☐ \$1,000,001 - \$2,000,000; ☐ 多於 Over \$2,000,000;

申請人是否有在下列任何公司開立戶口 (請於所有適當方格加上「✓」號)
 Does the Applicant have accounts with any of following (tick appropriate boxes)?
☐ 新富金號 San Fu & Company
☐ 新富期貨有限公司 Sanfull Futures Limited
☐ 其他 Others: _____

(9) 只適用於孖展戶口 For margin account only:

申請人的配偶是否新富孖展客戶? 是/否* (如是, 謹請說明)
 Is Applicant's spouse a margin client of SSL? Yes/No*. (If yes, please provide details)

申請人是否單獨或與配偶共同控制新富公司孖展客戶 35% 或以上的表決權?
 是/否* (如是, 謹請說明):
 Does Applicant alone or with Applicant's spouse control 35% or more of the voting rights of a corporate margin client of SSL?
 Yes/No*. (If yes, please provide details):

配偶姓名 Spouse Name : _____ 帳戶編號 Account No. : _____

C 投資目標及承受風險 Investment Objectives and Risk Tolerance

投資目標 Investment Objectives:

- ☐ 短線 Short term; ☐ 長線 Long term; ☐ 投機 Speculation; ☐ 對沖 Hedging;
☐ 資產增值 Capital Gain; ☐ 股息收益 Dividend Income; ☐ 其他 Others;

承受風險 Risk Tolerance:

☐ 高 Aggressive:

☐ 中 Moderate:

☐ 低 Conservative:

對下列投資產品有興趣 Interested in the following Investment products:

☐ 衍生產品 Derivative Products

☐ 虛擬資產 Virtual Assets

☐ 其他 Others:

投資上述揀選投資產品經驗 Experience in above selected Investment products:

☐ 沒有 No:

☐ 一年以下 Less than 1 year:

☐ 一年以上 Over 1 year:

2 通訊方式 Correspondence Method:

申請人的所有成交單據、買賣確認書及其他書信以下列方式發送到 (請選擇一種方式):

All contract notes, trading confirmation, and other correspondences to be sent to Applicant through the following channel (Choose ONE only):

☐ 住址
Residential Address

☐ 營業地址
Business Address

☐ 電子郵件地址
E-mail address

☐ 通訊地址
Correspondence Address: _____

3 申請人是否任何其股份可在交易所或市場買賣的公司之高級人員或董事或控制該公司之人士?

是/否* (如是, 謹請附上詳細資料)

Is Applicant a senior officer or director or in control of any company whose shares are traded on any exchange or market?

Yes/No* (If yes, please attach details)

4 申請人是否證券及期貨事務監察委員會註冊人士 (例如: 交易商、顧問代表) 或該人士之僱員?

是/否* (如是, 謹請說明)

Is Applicant a person registered with the Securities and Futures Commission (e.g. as a dealer, adviser or representative) or an employee of such person? Yes/No* (If yes, please specify)

5 申請人是否新富證券有限公司或該公司任何附屬公司之任何董事或僱員之親屬?

是/否* (如是, 謹請說明)

Is Applicant a relative of any director or employee of SANFULL SECURITIES LIMITED or any of that company's subsidiaries?

Yes/No* (if yes, Please specify)

6 聯名戶口適用 For Joint Accounts:

本戶口以
This account is held by us as

☐ 聯權共有人 或
Joint Tenants or

☐ 分權共有人的形式由吾等持有
Tenants in Common

新富已獲授權執行下述人士的指示 SSL is authorised to act on the instructions of :

☐ 吾等任何一人 Any one of us.

☐ 其他。請說明:
Others. Please state: _____

7 授權第三者: Authorised Third Party:

按照客戶合約條款, 委任以下人士為授權第三者, 有權代表本人/吾等操作戶口:

Subject to the terms of the Client Agreement, the following person is appointed as an Authorised Third Party with authority to operate the Account on my/our behalf:

姓名 Name: _____ (中文) (Chinese) _____ (英文) (English)

別名(如有):

Alias (if any):

職業:

Occupation:

香港身份證/護照號碼: (請提供影印本並標示「副本」字樣)

HKID/Passport No.: (Please supply photocopy marked "COPY")

地址 Address: _____

電話號碼 Telephone: _____

移動號碼 Mobile Phone: _____

傳真號碼 Facsimile: _____

電子郵件地址 E-mail address: _____

授權第三者簽名樣式

Specimen Signature of Authorised Third Party: _____

☐ 只執行買賣指示
Trading Instructions Only

☐ 只執行交收指示
Settlement Instructions Only

☐ 執行所有指示
All Instructions

授權第三者作出以下聲明: Authorised Third Party to provide the following declaration:

本人接受委任為授權人士，並聲明

I have accepted the appointment as the Authorised Person and declare that

(1) 本人 是/不是* 新富的僱員/持牌代表，

I am/am not* an employee/licensed representative of SSL,

(2) 本人與申請人的關係為: (倘無關係請填「無」)

My relationship with the Applicant is: (if no relationship, put "nil")

☐ 配偶 spouse ☐ 其他 Other: _____

授權第三者簽署

Signature of Authorised Third Party: _____

附註 按照新富的政策，除非僱員/持牌代表是申請人的配偶，否則僱員/持牌代表概不能擔任授權第三者。

Note: It is the policy of SSL that none of its employees/licensed representative should be an Authorised Third Party, except where the employee/licensed representative is the spouse of the Applicant.

請提供各授權第三者的個別授權書。

Please supply a separate authorisation for each Authorised Third Party.

本人/吾等承諾以書面知會新富有關授權第三者往後的任何委任、變更、撤消或免任。

I/We undertake to inform SSL in writing of any subsequent appointment, change, revocation or removal of an Authorised Third Party.

本人/吾等明白及接納任何獲授權第三者的任何撤消或變更，本人/吾等必須以書面通知新富，且僅會於新富收妥該通知書當日起計五個交易日後 (或新富可接受的較短時間) 生效。

I/We understand and accept that any revocation or change of any authorised third party must be notified to SSL by me/us in writing and shall not take effect until 5 trading days (or such shorter period as SSL may accept) after the day of actual receipt of such written notification by SSL.

8 最終負責作交易指示的人士或法人團體:

Person or entity ultimately responsible for originating the instruction in relation to a transaction:

☐ 自己 Self

☐ 授權人士/其他。 請填寫以下資料:

Authorised Person/Others. Please complete the following:

姓名 Name: _____ (中文) (Chinese) _____ (英文) (English)

別名(如有): _____ 職業: _____
Alias (if any): _____ Occupation: _____

香港身份證/護照號碼: (請提供影印本並標示「副本」字樣)

HKID/Passport No.: (Please supply photocopy marked "COPY") _____

地址 Address: _____

電話號碼 Telephone: _____ 移動號碼 Mobile Phone.: _____

傳真號碼 Facsimile: _____ 電子郵件地址 E-mail address: _____

與申請人關係: (倘無關係請填「無」)

Relationship to Applicant: (if no relationship, put "nil") _____

9 代表收交易的商業或經濟利益及/或承擔其商業經濟風險的人士或法人團體 (即「最終實擁有人」)。(如有需要，可提供附件。):

Person or entity (i.e. "ultimate beneficiary") that stands to gain the commercial or economic benefit of the transaction and/or bear its commercial or economic risk. (Use separate sheet if necessary.):

☐ 自己 Self

☐ 授權人士/其他。 請填寫以下資料:

Authorised Person/Others. Please complete the following:

姓名 Name: _____ (中文) (Chinese) _____ (英文) (English)

別名(如有): _____ 職業: _____
Alias (if any): _____ Occupation: _____

香港身份證/護照號碼 (請提供影印本並標示「副本」字樣)

HKID/Passport No.: (Please supply photocopy marked "COPY") _____

地址 Address: _____

電話號碼 Telephone: _____ 移動號碼 Mobile Phone.: _____

傳真號碼 Facsimile: _____ 電子郵件地址 E-mail address.: _____

與申請人關係: (倘無關係請填「無」)

Relationship to Applicant: (if no relationship, put "nil") _____

10 聲明及授權 Declaration and Authorisation

本人／吾等聲明及確認本戶口申請書上提供及隨附的資料皆為真確、完整及最近期，而新富除非接獲本人／吾等以書面通知有任何變更，否則有權完全依賴此等資料及聲明作一切用途。新富獲授權在任何時間聯絡任何人士（包括本人／吾等的銀行、經紀或任何信貸機構），以確定本戶口申請書上提供及隨附的資料。

I/We declare and represent that the information provided on or with this Account application is accurate, complete and up-to-date, and that SSL is entitled to rely fully on such information and representations for all purposes, unless SSL receives notice in writing of any change. SSL is authorised at any time to contact anyone, including our banks, brokers or any credit agency, for purposes of verifying the information provided on or with this Account Application.

11 授權書 Power of Attorney

本人／吾等以不可撤銷及擔保形式委新富任本人／吾等的合法授權代表簽署任何文件，以及作出所有新富真誠認為必須及本人／吾等合理作出以貫徹或基於本合約條款而產生的事宜。

I/We irrevocably and by way of security appoint SSL as my/our lawful attorney to execute any documents and do all things which SSL in good faith considers necessary and which I/we ought reasonably to do in furtherance or as a consequence of the terms of this Agreement.

12 風險披露聲明書 Risk Disclosure Statements

本人／吾等確認載於本合約的風險披露聲明書已按本人／吾等選擇語言（英文或中文）提供予本人／吾等，且獲邀閱讀風險披露聲明書，提出問題與徵求獨立的意見。

I/We confirm that the risk disclosure statements in this Agreement have been provided in a language of my/our choice (English or Chinese) and that I/we have been invited to read the risk disclosure statements, to ask questions and take independent advice if I/we so wish.

本人／吾等已閱讀並完全明白本合約條款，且同意受該等條款約束。

I/We have read and fully understood the terms of this Agreement and agree to be bound by them.

簽訂作契約於

Executed as a deed on _____
(填上日期) (insert date)

簽署、蓋印及送達：

Signed, sealed and delivered by:

申請人簽署

Applicant's Signature

見證人簽署 (見下列附註)

Witness Signature (see notes below)

見證人香港身份證／護照號碼

Name and HKID / Passport No.
of Witness

(A)

(B)

附註 Notes :

1. 本協議書**必須**在新富僱員或任何其他註冊人（按證券及期貨事務監察委員會條例（第二十四章）第二節解釋）或註冊人的同系人士或太平紳士、銀行分行經理、律師、執業會計師或公證人見證下簽定。

This Agreement **MUST** be signed and witnessed before an employee of SSL, or before any other registered person (within the meaning of section 2 of the Securities and Futures Commission Ordinance (Cap. 24) or an affiliate of a registered person, or before a Justice of the Peace, branch manager of a bank, lawyer, certified public accountant or notary public.

2. 倘本協議書在律師、執業會計師或公證人見證下簽定，則必須填妥以下核證一欄。

Where this Agreement is signed and witnessed before a lawyer, certified public accountant or notary public, the lawyer, certified public accountant or notary public must complete the Certification below.

3. 電子交易條例（第五百五十三章）認可的核證服務，如香港郵政提供的核證服務亦適用。

Certification services that are recognized by the Electronic Transactions Ordinance (Cap. 553), such as the certification services available from the Hongkong Post, may also be employed.

核證（如戶口申請書非在新富僱員面前簽署請填此欄）

CERTIFICATION (to be completed where Account Application not signed before an employee of SSL)

本人證實已經與在本人面前簽署本戶口申請書及名列其上的申請人會晤及核對其身份，以及查核其香港身份證或護照正本。

I certify that I have met and identified the Applicant(s) named in this Account Application who executed this Account Application before me, and reviewed the original of his/their HKID card(s) or passport(s).

見證人簽署 Signature of Witness

姓名（正楷）

Name (please print) :

職業（正楷）

Profession (please print) :

日期

Date:

本人確認已經按申請人所選擇語言（英文或中文）提供載於客戶協議的風險披露聲明書，並已邀請申請人閱讀該風險披露聲明書、提出問題及徵求獨立的意見。

I confirm that I have provided the risk disclosure statements in the Client Agreement in a language of the Applicant's choice (English or Chinese), and have invited the Applicant to read the risk disclosure statements, ask questions and take independent advice if the Applicant wishes.

註冊人簽署 Signature of Registered Person

註冊人姓名（正楷）

Name of registered person (please print) :

CE 編號（正楷）

CE Number (please print) :

日期

Date:

本戶口申請書必須隨附以下文件：

This Account Application must be accompanied by the following documents:

- ☐ 所有申請人及最終實益持有人（如有別申請人）的香港身份證／護照的副本
Copies of the HKID or passport of all Applicants and ultimate beneficiaries (if different from Applicant(s))
- ☐ 證明申請人姓名及地址之電費單或銀行月結單（倘第一段及第二段所示地址不同，則指證明有關地址的電費單或銀行月結單各一份）
A utility bill or bank statement verifying Applicant's name and address (for each address stated in paragraph 1 and in paragraph 2 if different)
- ☐ 名列第七項各授權人士的香港身份證／護照的副本（如適用）
Copies of the HKID or passport of the Authorised Persons named in item 7. (if applicable)

在提交及由新富查對、簽署及批核一切所需文件之前，不得開始進行買賣。

Trading must not commence until all required documents are presented and the documentation checked, signed and approved by SSL.

由客戶經理填寫

TO BE COMPLETED BY ACCOUNT EXECUTIVE

客戶背景 Client's Background:								
客戶經理認識客戶多久: How long known to Account Executive: _____ 年 Years/月 Months								
經現有客戶介紹 Referred by existing client: _____ A/C#: _____								
交易戶口收費 Trading Account Fees & Charges:								
交易佣金 Brokerage Rate	最低佣金 Min Comm	交收費 Settlement Fee	其他 Others	其他 Others	其他 Others	其他 Others	其他 Others	
透支利率 Overdraft Interest Rate:		優惠利率 Prime Lending Rate		+				% (年息 P.A.)
存款息率 Credit Balance Deposit Rate:		儲蓄利率 Saving Rate		-				% (年息 P.A.)
現金證券交易戶口 For Cash Securities Trading Account								
交易限額 Trading Limit:	臨時 Temporary	港元 HK\$						
	最終 Final	港元 HK\$						
孖展證券交易戶口 For Margin Securities Trading Account								
貸款限額 Credit Limit:	港元 HK\$							
按揭比率 Security % Limit:	% (可接受貨值/市值) (Acceptable/Market Value)							
其他條款 Other Terms:								
客戶經理簽署 Account Executive's Signature: _____				部門主管批核 Department Head's Approval: _____				

經由下列人士為及代表
新富證券有限公司批核
Approved for and on behalf of
Sanfull Securities Limited by

簽署 Signature

姓名 (正楷):

Name (please print):

職位 (正楷):

Position (please print):

日期 Date:

* 請適地刪除 Delete as appropriate

*** 只供內部專用 For Internal Use Only ***			
處理人 Prepared By:	查核人 Checked By:	批核人 Approved By:	資料輸入人 Data Input By:
Name:	Name:	Name:	Name: