

永豐證券有限公司 Wing Fung Securities Limited
 永豐期貨有限公司 Wing Fung Futures Limited

 證監會持牌法團編號 AAV717
 證監會持牌法團編號 AMU683

 帳戶號碼 A/C No.: _____
 經紀代號 AE Code: _____

A. ACCOUNT TYPE(S) 帳戶類別		
Wing Fung Securities 永豐證券	<input type="checkbox"/> 368 Cash Securities Trading Account 368 現金證券交易帳戶	<input type="checkbox"/> Margin Securities Trading Account 保證金證券交易帳戶
Wing Fung Futures 永豐期貨	<input type="checkbox"/> Futures Trading Account 期貨交易帳戶	
Activate online trading platform? 是否使用網上交易平台?	<input type="checkbox"/> Yes 是	<input type="checkbox"/> No 否
Type of Client 客戶類別	<input type="checkbox"/> Individual Account 個人帳戶	<input type="checkbox"/> Joint Account 聯名帳戶*

*Each Account Holder should complete one set of the account opening document 每位帳戶持有人均須各自填寫一份客戶資料表

B. CLIENT INFORMATION STATEMENT 客戶資料表	
1. Personal Information 個人資料 (*Please delete where inappropriate 請刪去不適用者)	
Client Name (Mr. / Mrs. / Miss / Ms.) 客戶名稱 (先生 / 太太 / 小姐 / 女士)	(English 英文) _____ (Chinese 中文) _____
Date and Place of Birth 出生日期及地點	(dd / mm / yyyy) (日 / 月 / 年) ID Card / Passport No.* 身份證 / 護照號碼 _____ Nationality 國籍 _____
Residential Address 住址: (Please provide Proof of address dated within the last 3 months 請提供三個月內有效住址證明) _____	
2. Contact Details 聯繫方法	
Home Phone No. 住宅電話 _____ Mobile No. 手提電話 _____ Fax 傳真 _____	
Mailing Address 郵寄地址: (Please state if different from Residential Address 如與住址不同請註明) _____	
(Please provide Proof of address dated within the last 3 months 請提供三個月內有效地址證明)	
Email Address 電郵地址 _____	Account Statement to be sent to 戶口結單寄往 _____ (Please select one only 只可選擇其一)
	<input type="checkbox"/> Email Address 電郵地址 <input type="checkbox"/> Mailing Address 郵寄地址
3. Employment Information 工作資料	
Employer Name 僱主名稱 _____ (Please state if self-employed / Housewife 自僱人士 / 家庭主婦請註明)	Business Nature 業務性質 _____ Position 職位 _____ Years of Service 服務年期 _____
Business Address 公司地址 _____	
4. Financial Information 財務狀況	
Annual Income (HKD) 年收入 (港幣)	<input type="checkbox"/> <\$300,000 <input type="checkbox"/> \$300,000 – \$1,200,000 <input type="checkbox"/> >\$1,200,000
Other Asset 其他資產	<input type="checkbox"/> Property 物業 <input type="checkbox"/> Bank Deposit 銀行存款 <input type="checkbox"/> Securities 證券 <input type="checkbox"/> Other (Please specify) 其他, 請說明 _____
Estimated Net Worth (HKD) 估計資產淨值 (港幣)	<input type="checkbox"/> <\$1,000,000 <input type="checkbox"/> \$1,000,000 – \$5,000,000 <input type="checkbox"/> > \$8,000,000
Source of Income 收入來源	<input type="checkbox"/> Salary / Commission 薪金/佣金 <input type="checkbox"/> Savings 儲蓄 <input type="checkbox"/> Investment Income 投資獲利
Source of Wealth 財產來源	<input type="checkbox"/> Own Business Income 個人業務收益 <input type="checkbox"/> Rent 租金 <input type="checkbox"/> Others 其他: _____
Source of Wealth 財產來源	<input type="checkbox"/> Salary/Pension 薪金/退休金 <input type="checkbox"/> Own Business Income 個人業務收益 <input type="checkbox"/> Inheritance/Gift 遺產/餽贈 <input type="checkbox"/> Others 其他: _____
5. Investment Objectives & Experience 投資目標及經驗	
Education Level 教育程度	<input type="checkbox"/> Primary or below 小學或以下 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Tertiary or above 大學或以上
Risk Tolerance 可承受風險	<input type="checkbox"/> Aggressive 高 <input type="checkbox"/> Moderate 中 <input type="checkbox"/> Conservative 低
Investment Objective 投資目標	<input type="checkbox"/> Short term 短線 (< 3 months 少於三個月) <input type="checkbox"/> Medium term 中線 (3 – 12 months 3 - 12個月) <input type="checkbox"/> Long term 長線 (> 1 year 一年以上)
Investment Target 投資目的	<input type="checkbox"/> Capital Appreciation 資本增長 <input type="checkbox"/> Receive Dividend 收取股息 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Speculation 投機
Investment Experience 投資經驗	<input type="checkbox"/> Securities 證券 <input type="checkbox"/> Futures 期貨 <input type="checkbox"/> Foreign Exchange 外匯
Year(s) 年資 _____	Year(s) 年資 _____ Year(s) 年資 _____
Expected Yearly Investment (HK\$) 預期年度投資金額 (港幣)	<input type="checkbox"/> <\$1,000,000 <input type="checkbox"/> \$1,000,000 – \$5,000,000 <input type="checkbox"/> > \$8,000,000

6. Correspondence Language Selection 通訊語言選擇

Traditional Chinese 繁體中文 Simplified Chinese 簡體中文 English 英文

Do you want to receive daily / monthly investment commentary? 閣下是否願意收取每日/月投資情報? Yes 是 No 否

Do you want to receive our group's regular updates and promotion offers? Yes 是 No 否

閣下是否願意收取本集團最新資訊及推廣優惠?

7. Other Margin Account 其他保證金帳戶 (For Margin Account Only 只適用於保證金帳戶)

Does the client have any other margin account in any member of Wing Fung Financial Group companies 客戶是否在永豐金融集團成員持有保證金帳戶?

No 否 Yes 是 (Please provide A/C No. 請提供帳戶號碼) _____

C. BANK ACCOUNT DETAILS 銀行戶口資料

Client withdrawal will be arranged by depositing into the designated bank account as follows:

客戶提款將會被安排存入以下指定銀行戶口:

Bank Name 銀行名稱 Account No. 帳戶號碼 Name of Account Holder 帳戶持有人名稱* Currency 貨幣

* Name(s) provided should match with names(s) shown on this client information statements 客戶提供的名稱必須與此客戶資料表的客戶名稱相符

D. DISCLOSURE OF IDENTITY 相關身份披露**Identity Declaration 身份聲明**

Is the Client 客戶是否,

- ultimate beneficial owner(s) in relation to the account?

為此帳戶的最終實益擁有人?

Yes 是 No 否

Name(s) of the ultimate beneficial owner(s) 最終實益擁有人姓名 _____

ID Card / Passport No. of the ultimate beneficial owner(s) 最終實益擁有人身份證 / 護照號碼 _____

- ultimately responsible for originating the instruction in relation to a transaction?

為交易指示最終發出人

Yes 是 No 否

Name of the person originating the instruction 交易指示最終發出人姓名 _____

ID Card / Passport No. of the person originating the instruction 交易指示最終發出人身份證 / 護照號碼 _____

- a senior officer / director or in control of any company listed on any exchange or market?

為任何一間其股份可在交易所/市場買賣的公司之高級人員 / 董事 / 控制公司人士?

No 否 Yes 是

Please provide in detail 請詳細說明 _____

- a Licensed / Registered Person / a director / an employee of any Licensed / Registered Person of the Securities and Futures Commission of Hong Kong?

香港證券及期貨事務監察委員會的持牌 / 註冊人士, 或持牌 / 註冊人士的董事 / 僱員?

No 否 Yes 是

Please provide the consent letter issued by the Client's employer regarding this Account Application.

請提供客戶僱主就此開戶申請所發出的有關同意書。

- a relative of any director, employee or representative of any member of Wing Fung Financial Group companies?

永豐金融集團的董事、僱員或代表的親屬?

No 否 Yes 是

Name of the related person 相關人士姓名 _____

Relationship 關係 _____

- is the Client's spouse a Client of Wing Fung Financial Group companies?

客戶的配偶是否永豐金融集團公司的客戶?

No 否 Yes 是

Name of the Spouse 配偶姓名 _____

A/C NO. 帳戶號碼 _____

- is the Client, either alone or with his / her spouse, in control of 35% or more of the voting right of another client of Wing Fung Financial Group companies?

客戶是否單獨或與配偶共同控制永豐金融集團的公司的客戶 35%或以上的投票權?

No 否 Yes 是

Name of the Spouse 配偶姓名 _____

Name of the related company(ies) 相關公司名稱 _____

E. U.S. person declaration 美國人身份聲明

I hereby declare and confirm that I am neither a U.S. citizen nor a U.S. resident and do not have any U.S. tax obligations. I am not a U.S. person and the income which relates to my trading accounts is (i) not effectively connected with the conduct of a trade or business in the United States, or (ii) effectively connected but is not subject to U.S. tax under an income tax treaty. **(Please Complete and submit W-8 Ben form)**

本人聲明及確認, 本人既不是美國公民, 也不是美國居民, 並沒有任何美國的納稅義務。本人不是美國人, 與本人交易帳戶相關的所得收入 (i) 不會與美國的交易或業務相關, 或 (ii) 與美國的交易或業務相關但無需受美國稅務條約所約束。 **(請填妥及遞交 W-8 Ben 表格)**

I hereby understand, agree and accept the Company to provide my personal information in relation to US tax obligations to the US tax authority. I also agree that if there are any change on my status on US taxes obligations, I will promptly notify the Companies.

本人明白、同意及接受 貴公司向美國稅務機關提供其有關本人美國稅務責任之個人資料。本人亦同意當本人美國稅務責任狀況有任何更改時, 本人將適時通知 貴公司。

F. Client's Knowledge of Derivatives and Trading Experience 客戶對衍生工具產品的認識及投資經驗

1. Have you ever undergone training or attended any courses or seminars on derivative product(s)?

客戶過去有否接受過有關衍生產品的培訓或修讀相關課程?

Yes, I have undergone or attended the following courses or seminars 有, 本人過往曾接受培訓或修讀以下課程:

Name of Courses / Seminars 課程/培訓名稱 _____

Date of Courses / Seminar 受培訓或修讀日期 _____

No 否

2. Do you have any working experience related to derivative product(s)? 客戶現時或過去有否從事與衍生產品有關的工作?

Yes, my current or previous work experience related to derivative product(s) is as follows: 有, 本人現時或過去曾從事以下職業:

Occupation 職業名稱: _____

Period 任職日期: From 由 _____ To 至 _____

Name of Employer 僱主名稱: _____

No 否

3. Do you have any trading experience in derivative product(s)? 客戶有否買賣衍生工具產品的經驗?

Yes,

(i) I have traded the following product(s) in the recently 3 years: (i)有, 本人過往三年曾買賣以下衍生工具產品:

Callable Bull/Bear Contracts 牛熊證

Derivative Warrants 衍生權證(窩輪)

Synthetic Exchange Traded Funds 合成交易所買賣基金

Equity Linked Instruments 股票掛鈎票據

Futures & Options Contracts 期貨或期權合約

Others 其他 _____

(ii) Total no. of trading derivative product(s) in the previous 3 years: (ii) 過往三年曾執行過以上衍生工具產品的總次數:

Less than 5 times 少於五次 5 times or above 五次或以上

No 否

G. Client's Declaration on trading derivative product 客戶衍生產品投資意向及聲明

I declare and confirm that all the information provided in this Declaration is true, complete and correct. I hereby acknowledge and understand that Wing Fung Financial Group and/or its associated companies will use the above information to access my knowledge of derivatives.

本人聲明所有填寫於本表格的資料均屬真實, 完全及正確。本人知悉及明白永豐金融集團及/或其聯繫公司將根據以上的資料以評估本人是否對衍生工具產品有認識。

I further declare that: 客戶投資意向:

I **wish** to trade derivative product(s) at Wing Fung Financial Group and/or its associated companies. I hereby confirm that even I have been characterized as without knowledge of derivatives, Wing Fung Financial Group and/or its associated companies has not solicited or provided a recommendation to me on trading of derivative product(s). And I further confirm I fully understand the relevant risks of the derivative product(s) enclosed herewith which has been explained by Wing Fung Financial Group and/or its associated companies.

本人**有意**於永豐金融集團及/或其聯繫公司進行衍生產品買賣交易。本人現謹此確認, 即使本人被分類為對衍生工具沒有認識, 永豐金融集團及/或其聯繫公司亦已在沒有向本人作出招攬及建議的行為下, 按照本人之投資意向向本人提供及解釋附件中各類衍生產品所附帶的相關風險。本人亦確認已完全明白附件中各類衍生產品所附帶的相關風險。

I further understand I will be classified as "Risk Mismatch Client" and provide the reason for trading under such risk mismatch situation:

本人進一步明白本人會被分類為“風險不符客戶”並提供於風險不符情況下投資的原因:

Reason 原因: _____

I **do not wish** to trade derivative product(s) at Wing Fung Securities

本人**無意**於永豐金融集團及/或其聯繫公司進行各類衍生產品交易

H. Personal Information Collection Statement concerning Stock Connect Northbound Trading Service**中華通證券北向交易的個人資料收集聲明**

I acknowledge I have read and understand the content of the Personal Information Collection Statement of Wing Fung Securities Limited.

本人確認本人已閱讀及清楚本有關中華通證券北向交易的個人資料收集聲明。

By ticking the box below, I signify my consent for Wing Fung Securities Limited to use my personal data on the terms of and for the purposes set out in the Personal Information Collection Statement concerning Stock Connect Northbound Trading Service.

在以下方格上勾選, 本人表示同意永豐證券有限公司根據本個人資料收集聲明所述的條款及目的使用本人的個人資料。

I agree to Wing Fung Securities Limited's use of my personal data for the purposes set out in the Personal Information Collection Statement.

本人同意永豐證券有限公司根據本個人資料收集聲明所述的目的使用本人的個人資料。

I. Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN")**居留司法管轄區及稅務編號或具有等同功能的識別編號 (以下簡稱「稅務編號」)**

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. \$10,000).

警告: 根據《稅務條例》第 80(2E)條, 如任何人在作出自我證明時, 在明知一項陳述在要項上屬具誤導性、虛假或不正確, 或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下, 作出該項陳述, 即屬犯罪。一經定罪, 可處第 3 級 (即\$10,000) 罰款。

Complete the following table indicating (a) the jurisdiction of residence (including Hong Kong) where the account holder is a resident for tax purposes and (b) the account holder's TIN for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence.

提供以下資料, 列明 (a) 帳戶持有人的居留司法管轄區, 亦即帳戶持有人的稅務管轄區 (香港包括在內) 及 (b) 該居留司法管轄區發給帳戶持有人的稅務編號。列出所有 (不限於 5 個) 居留司法管轄區。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.

如帳戶持有人的香港稅務居民, 稅務編號是其香港身份證號碼。

If a TIN is unavailable, provide the appropriate reason:

如沒有提供稅務編號, 必須填寫合適的理由:

Reason A - The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

理由 A - 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

Reason B - The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.

理由 B - 帳戶持有人不能取得稅務編號。如選取這一理由, 解釋帳戶持有人不能取得稅務編號的原因。

Reason C - TIN is not required. Select

理由 C - 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

Jurisdiction of Residence 居留司法管轄區	TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號, 填寫理由A、B或C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選取理由B, 解釋帳戶持有人不能取得稅務編號的原因
(1)			
(2)			
(3)			
(4)			
(5)			

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by Wing Fung Financial Group and/or its associated companies for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by Wing Fung Financial Group and/or its associated companies to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112).

本人知悉及同意, 永豐金融集團及/或其聯繫公司可根據《稅務條例》(第 112 章) 有關交換財務帳戶資料的法律條文, (a) 收集本表格所載資料並可備存作自動交換財務帳戶資料用途及 (b) 把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報, 從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。

I certify that I am the account holder of all the account(s) to which this form relates.

本人證明, 就與本表格所有相關的帳戶, 本人是帳戶持有人。

I undertake to advise Wing Fung Financial Group and/or its associated companies of any change in circumstances which affects the tax residency status of the individual identified in Part 1 of this form or causes the information contained herein to become incorrect, and to provide Wing Fung Financial Group and/or its associated companies with a suitably updated self-certification form within 30 days of such change in circumstances.

本人承諾, 如情況有所改變, 以致影響本表格第 1 部所述的個人的稅務居民身份, 或引致本表格所載的資料不正確, 本人會通知永豐金融集團及/或其聯繫公司, 並會在情況發生改變後 30 日內, 向永豐金融集團及/或其聯繫公司提交一份已適當更新的自我證明表格。

I declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

本人聲明就本人所知所信, 本表格內所填報的所有資料和聲明均屬真實、正確和完備。

J. ACKNOWLEDGEMENT & DECLARATION 確認及聲明

I represent that the information and declarations on this Client Information Statement is true, completed and correct and that the representations in the attached agreement are accurate. Wing Fung Securities Limited / Wing Fung Futures Limited ("Companies") is/are entitled to rely fully on such information and representations for all purposes, unless it/they receive(s) notice in writing of any change. The Companies are authorized at any time to contact anyone, including my banks, brokers or any credit agency, for the purpose of verifying the provided on this Client Information Statement.

本人茲聲明在客戶資料表所提供之資料及聲明全部真實、完整及正確, 並且所附協議內容皆為準確。除非永豐證券有限公司 / 永豐期貨有限公司接到更改有關本資料表內容的書面通知, 否則上述公司有權完全依賴此等資料及聲明作一切用途。上述公司獲授權可隨時就核對本資料事宜, 與任何人包括本人之銀行、經紀或任何信用機構進行諮詢。

Client's Signature 客戶簽署

Date 日期