

# Realord Asia Pacific Securities Limited

## 偉祿亞太證券有限公司

Account No. 帳號:

開戶申請表格(個人/聯名帳戶)

ACCOUNT OPENING FORM (INDIVIDUAL/JOINT ACCOUNT)

1. ACCOUNT TYPE 帳戶類別 (Please tick appropriate box. 請在適當空格加 ✓)			
<input type="checkbox"/> Individual 個人帳戶		<input type="checkbox"/> Joint Account 聯名帳戶	
<input type="checkbox"/> Margin Account 保證金帳戶		<input type="checkbox"/> Cash Account 現金帳戶	
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	
Do you agree to activate "China Stock Connect Trading" Service? 您是否同意開通「中華通北向交易」服務?		<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	
2. PERSONAL INFORMATION 個人資料 (Please tick appropriate box. 請在適當空格加 ✓)			
Primary Client 個人客戶		Joint Client 聯名客戶	
<input type="checkbox"/> Mr.先生	English Name: 英文姓名:	<input type="checkbox"/> Mr.先生	English Name: 英文姓名:
<input type="checkbox"/> Ms.女士		<input type="checkbox"/> Ms.女士	
<input type="checkbox"/> Mrs.夫人	Chinese Name: 中文姓名:	<input type="checkbox"/> Mrs.夫人	Chinese Name: 中文姓名:
Identity Card/Passport No 香港身份證/護照號碼:		Place of issue 簽發地	
Date of Birth 出生日期:		Nationality 國籍:	
Residential Address 住宅地址:		Residential Address 住宅地址:	
Correspondence Address (If different from above Residential address): 通訊地址(如與上述住宅地址不同):		Relationship between the Primary Client and the Joint Client: 該個人客戶與聯名客戶之關係:  <input type="checkbox"/> Immediate Family 直系親屬 Please specify 請註明: _____ <input type="checkbox"/> Relatives 親屬 <input type="checkbox"/> Friend 朋友 <input type="checkbox"/> Others 其他: _____	
Tel. No. (Home):電話號碼 (住宅):		Mobile Phone No.:手提電話號碼:	E-mail Address: 電子郵件地址:
Preferred Method of Communication 通訊方法: <input type="checkbox"/> E-mail 電郵 <input type="checkbox"/> Post 郵寄*			
Statement Language 結單語言: <input type="checkbox"/> Traditional Chinese 繁體中文 <input type="checkbox"/> Simplify Chinese 簡體中文 <input type="checkbox"/> English 英文			
Education 教育程度: <input type="checkbox"/> Primary 小學 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> Collage 專上學院 <input type="checkbox"/> University or above 大學或以上 <input type="checkbox"/> Others 其他			
Employment 就業情況: <input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Unemployed 待業 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Other 其他: _____			
Name of Employer of Primary Client: 公司名稱:		Present Position: 現時職位:	
Tel. No. (Office): 電話號碼 (辦公室):		Fax No.: 傳真機號碼:	Nature of Business: 業務性質:
Office Address 辦公室地址:			

\*(A monthly fee will be incurred by the Client for the posting which may be subject to change from time to time.

如選擇以郵寄方式收取結單、成交單據及交易確認書，公司將會每月收取服務費，而收費將不時調整)

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3. DESIGNATED BANK ACCOUNT 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:	
Bank Address 銀行地址 (如為國內銀行, 請提供完整地址及支行名稱):	

4. FINANCIAL AND INVESTMENT EXPERIENCE 客戶財政狀況及投資經驗 (Please tick the appropriate box) (請在適當空格加✓)					
Investment Knowledge: 投資知識:	<input type="checkbox"/> Excellent 精通 <input type="checkbox"/> Good 良好 <input type="checkbox"/> Some 尚可 <input type="checkbox"/> Limited 有限 <input type="checkbox"/> None 無				
Investment Experience: 投資經驗:		Over 5 years 超過 5 年	3-5 years 3-5 年	Under 3 years 3 年以下	No Experience 沒有經驗
	Stock 股票				
	Option 期權 / Warrant 認股證				
	Futures 期貨				
	FX 外幣 / Bullion 黃金				
Investment Objective: 投資目標:	<input type="checkbox"/> Capital Gain 增值 <input type="checkbox"/> Income 收益 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Other 其他				
Annual Income (HK\$): 全年收入(港幣):	<input type="checkbox"/> < \$250,000 <input type="checkbox"/> \$250,001-\$500,000 <input type="checkbox"/> \$ 500,001-\$1,000,000 <input type="checkbox"/> > \$1,000,001				
Net Assets (HK\$): 資產淨值(港幣):	<input type="checkbox"/> < \$500,000 <input type="checkbox"/> \$500,001-\$2,500,000 <input type="checkbox"/> \$2,500,001-\$5,000,000 <input type="checkbox"/> > \$5,000,001				
Source of fund 資金來源:	<input type="checkbox"/> Salary 工資 <input type="checkbox"/> Profit from Business 業務溢利 <input type="checkbox"/> Capital Gain from Investment 投資獲取的資本 <input type="checkbox"/> Rent 租金 <input type="checkbox"/> Pension 退休金 <input type="checkbox"/> Others, please specify 其他, 請說明: _____				

5. KNOWLEDGE OF DERIVATIVES 衍生產品的認識 (Please tick the appropriate box) (請在適當空格加✓)	
Have you ever attended any courses or seminars on structured or derivatives product(s)? 您曾否參加有關結構性或衍生產品的培訓或相關課程?	
<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	
Has any of your current work experience been related to structured or derivative product(s)? 您現時的工作經驗是否與結構性或衍生產品有關?	
<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 不是	
Has any of your previous work experience been related to structured or derivative product(s)? 您以往的工作經驗是否與結構性或衍生產品有關?	
<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 不是	
Name of employer 僱主名稱:	Relevant employment period 在職日期:
Have you ever had any trading experience of structured or derivative product(s)? 您曾否有買賣結構性或衍生產品的經驗?	
<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	
Please state the structured or derivative product(s) you traded: 請提供您以往有買賣的結構性或衍生產品	
<input type="checkbox"/> Callable Bull/Bear Contracts (CBBC) 牛熊證 <input type="checkbox"/> Exchange Traded Funds 交易所買賣基金 <input type="checkbox"/> Others 其他: _____	
<input type="checkbox"/> Derivative Warrants 衍生認股證 <input type="checkbox"/> Stock Options 股票期權 <input type="checkbox"/> Exchange Traded Convertible Bonds 交易所買賣換股價券	
<input type="checkbox"/> Equity Linked Instruments / Notes (ELI/ELN) 股票掛勾產品 <input type="checkbox"/> Rights 供股權 <input type="checkbox"/> Futures and Options 期貨或期權合約交易	
Have you executed five or more transactions in structured or derivative products within the past three years?	
您曾否在以往三年內執行過五宗或以上結構性或衍生產品交易?	
<input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有	

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<b>6. UNITED STATES STATUS CERTIFICATION 美國身分聲明</b>
Is the Client or the Client's ultimate beneficial owner a United State Person ("U.S. Person") defined under the Foreign Account Tax Compliance Act ("FATCA")? 根據海外帳戶稅收合規法案定義, 客戶或其最終受益人是不是美國人? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes 是, TIN is 美國聯邦納稅人識別碼是: _____
For individual Client who has the below particular(s), please tick the appropriate box(es). 對於具以下明細的個人客戶, 請剔取合適的方格。
<input type="checkbox"/> U.S. place of birth 出生地為美國
<input type="checkbox"/> U.S. mailing or residence address (including a U.S. post office box) 郵寄或永久地址為美國
<input type="checkbox"/> U.S. telephone number 美國電話號碼
<input type="checkbox"/> Standing instruction to transfer funds to an account maintained in the United States 常設授權將資金轉至設在美國的帳戶
<input type="checkbox"/> Power of attorney or signatory authority granted to a person with a U.S. address 授予擁有美國地址的人士代理權或簽名權
<input type="checkbox"/> An "in-care-of" or "hold mail" address that is the sole address 提供一個轉交地址或代存郵件地址
<input type="checkbox"/> None of the above 以上全部不是

<b>7. OTHER DISCLOSURES 其他資料披露(Please tick the appropriate box. 請在適當空格加 ✓)</b>
Are you the employee of a SFC's licensed or registered person? 您是否證監會持牌或註冊人的僱員? <input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是 (If yes, please provide your employer's consent letter 如是, 請提供閣下的僱主授權信正本)
Are you or your relatives currently employed by our company? 閣下或親屬是否現受僱於本公司? <input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是 (If yes, please specify Name & Relationship 如是, 請註明姓名及關係: _____)
Is your spouse currently maintaining Account with our company? 閣下的配偶是否於本公司設有帳戶? <input type="checkbox"/> No 不是 <input type="checkbox"/> Yes 是 (If yes, please specify Account No 如有, 請註明帳號: _____)
Are you, either alone or with your spouse, in control of 35% or more of the issued shares of any corporate client of Realord Asia Pacific Securities Limited? 閣下是否個人或與閣下的配偶共同控制任何偉祿亞太證券有限公司的公司客戶 35%或以上的股權? <input type="checkbox"/> No 沒有 <input type="checkbox"/> Yes 有 (If yes, please specify Account No 如有, 請註明帳號: _____)
Are you a politically exposed person, senior government official or senior executive of a state-owned corporation? 閣下是否政治人物、高級政府官員或國有企業高級行政人員? <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, Please specify 是, 請說明 _____
Does the Client have any margin financing account opened by one of the companies of the client? 閣下是否有以閣下旗下之公司開立保證金融資帳戶? <input type="checkbox"/> No 沒有 <input type="checkbox"/> Yes 有 (If yes, please specify 如有, 請說明: _____)
Does the Client either alone or with his/her spouse control 35% or more of the voting rights of another corporate financing margin account with the Company? 閣下及/或配偶是否單獨或共同控制本公司之其他公司保證金融資帳戶 35%或以上之表決權? <input type="checkbox"/> No 沒有 <input type="checkbox"/> Yes 有 (If yes, please specify 如有, 請說明: _____)
Does the is beneficial owner or guarantor of other accounts or guaranteed by other account 閣下是否其他帳戶的實益擁有人或擔保人或被其他帳戶作擔保? <input type="checkbox"/> No 沒有 <input type="checkbox"/> Yes 有 (If yes, please specify 如有, 請說明: _____)

<b>8. ULTIMATE BENEFICIAL OWNER(S) OF THE ACCOUNT 最終帳戶受益人 (Please tick the appropriate box) (請在適當空格加 ✓)</b>
I am / We are ultimately beneficial owner(s) of the account. 本人/我們是最終帳戶受益人 <input type="checkbox"/> Yes 是 <input type="checkbox"/> No, please specify 否, 請述明: Name of Ultimate Owner(s) 最終戶口受益人姓名: _____ Relationship with Account Holder 與戶口持有人的關係: _____ HKID Card/Passport No. 香港身份證/護照號碼: _____ Address 地址: _____

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### 9. SELF CERTIFICATION OF TAX RESIDENCY (CRS-I) 稅務居民身份自我證明

This section is to declare your "tax residency" under the Common Reporting Standard ("CRS"). For joint or multiple account holders, complete a separate form for each individual account holder. All parts of the form must be completed. We are required to report the information in fields/parts marked with an asterisk (\*) to the Inland Revenue Department. If you have any questions on how to define your tax residency status, please visit the OECD website at [www.oecd.org/tax/automatic-exchange/](http://www.oecd.org/tax/automatic-exchange/) or speak to your tax advisor as we are not allowed to give tax advice. 本部份是根據《共同匯報標準》(「CRS」)申報閣下的稅務居民身份。對於聯名賬戶或多人聯名賬戶，每名個人賬戶持有人須分別填寫一份表格。必須填寫這份表格所有部分，標有星號(\*)的項目為本公司須向稅務局申報的資料。如您對判定您的稅務居民身份有任何疑問，請瀏覽經合組織網站 [www.oecd.org/tax/automatic-exchange/](http://www.oecd.org/tax/automatic-exchange/) 或諮詢您的稅務顧問。請恕本公司不能提供稅務意見。

**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。

This column must be completed 此欄必須填寫	"TIN" 稅務編號  Please fill in TIN, if you do not have one, please choose ONE among the right hand side reasons 請閣下必須填寫稅務編號，如沒有稅務編號，請於右列理由 A,B,C 中選填一項  (If you are a tax resident of Hong Kong or Mainland China, the TIN is the Identity Card Number 如客戶為香港或國內稅務居民，稅務編號為其身分證號碼)	Reason A 理由 A  (The Government does not issue TINs to its residents) (當地政府根本沒有稅務編號)	Reason B 理由 B  (Unable to obtain a TIN, please explain below) (本人不能取得稅務編號，理由如下)	Reason C 理由 C  (The Government does not require the TIN to be disclosed) (本人獲當地政府豁免披露稅務編號)
Jurisdiction of Residence 居留司法管轄區  (For tax reporting purpose) (即報稅地區)				
(1)				
(2)				

I acknowledge and agree that (a) the information contained in this form is collected and may be kept by the Company 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 the Company 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，貴公司可根據《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 to sign for the account holder of all the account(s) to which this form relates. I further declare that the information given and statements made in this form are, to the best of my knowledge and belief, true, correct and complete.

本人證明，就與本表格所有相關的帳戶，本人是帳戶持有人簽署本表格。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。

I undertake to provide the Company with a suitably updated self-certification form within 30 days of any change in circumstances which affects the information contained herein to become incorrect.

本人承諾，如情況有所改變，以致影響本表格所載的資料不正確，本人會在情況發生改變後 30 日內，向貴公司提交一份已適當更新的自我證明表格。

### 10. Professional Investor 專業投資者

Under paragraph(j) of part 1 of schedule 1 to the SFO and the Securities and Futures (Professional Investor) Rules (CAP 571D of the Laws of Hong Kong), the following categories who can provide the supporting documents in the column right to prove his/her status consist with column left are "professional investors".

根據證券及期貨條例以及香港法例第 571 章證券及期貨(專業投資者)規則(「專業投資者規則」)附表 1 第 1 部分第(j)段，倘相關人士能提供右欄所要求的文件以證明其自身達到左欄的相關要求，則相關人士為「專業投資者」。

An individual investor, either alone or with his/her spouse or any child of his/her child/children on a joint account, having a portfolio of at least HKD \$8 million (or its foreign currency equivalent) as at the relevant date.

在有關日期擁有至少 8,000,000 港元或其等值外幣的投資組合的個人投資者(無論單獨或與其配偶或子女擁有聯名帳戶)。

☐ I/We agree to be treated as a "professional investor" as described above and have given consent in the Individual Professional Investor Declaration Form. 本人/吾等同意被視為上文所述的「專業投資者」及個人專業投資者聲明書內的內容。

\*Please refer to Professional Investor Declaration form for details 詳情請參閱個人專業投資者聲明書

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### 11. DECLARATION BY CLIENTS 客戶聲明

I/We hereby declare that the information as set out in the above Account Opening Form (Individual/Joint Account) is true, complete and accurate and can be relied upon by you in the satisfaction of your obligations. I/We undertake to notify you promptly in case of any change of information.

本人/吾等謹此聲明以上開戶申請表格(個人/聯名帳戶)中資料真實、完整及正確無誤。貴公司可依此資料履行其義務。凡上述資料如有任何更改，本人/吾等承諾儘快通知貴公司。

I/We hereby acknowledge and confirm that:

本人/吾等謹此承諾並確認：

- I/we have received, read and understood the Terms and Conditions of Client Agreement (and the schedules, appendices and annexes thereto, if any), and I/we accept and agree to be bound by them as the same that may be amended from time to time;  
本人/吾等已收到、閱讀並明白客戶協議之條款及守則(包括其附表、附錄及附件(如有))，而本人/吾等接受並同意可不時被修改的條款所約束；
- I/we hereby give you notice in writing that I confirm and authorize you to exercise all powers of the Terms and Conditions of Client Agreement, which include but not limited to the Personal Information Collection under Hong Kong Investor Identification Regime and Over-the-counter Securities Transaction Reporting Regime, Client Money Standing Authority, and Additional Terms for China Connect Trading Services (i.e. Section 13, 16 & 24 of Terms and Conditions of Client Agreement), and I/we hereby agree to the terms and conditions therein;  
本人/吾等在此以書面通知、及確認並授權貴公司行使在客戶協議之條款及守則內全部的常設授權及制度，當中包括但不限於投資者識別碼制度及場外證券匯報制度、客戶款項常設授權及中華通交易服務(“中華通”)之附加條款(即「客戶協議之條款及守則」第 13 條、第 16 條及第 24 條)，本人/吾等明白且同意其條款及細則；
- The Risk Disclosure Statements were provided to me/us in a language of my/our choice (English or Chinese) and I was /we were invited to ask questions and take independent advice if I/we so wished;  
本人/吾等已獲以本人/吾等選擇語言(英文或中文)所撰寫的風險披露聲明並獲邀按意願提出問題及徵求獨立意見；
- I/we acknowledge that I/we should visit the company website (<https://www.realordapsec.com.hk/>) from time to time to obtain the latest Terms and Conditions of Client Agreement) and read the contents thereof. Such amendment, deletion, substitution or addition shall be deemed as effective and incorporated herein (and shall form part of the Terms and Conditions) on the date of publication of such amendment notice. I/we may object in writing within seven (7) days of the date on which the notice of revision is posted on your website, otherwise I/we will be deemed to have accepted the revised, deleted, replaced or added terms and conditions; and  
本人/吾等應不時登入公司網站(<https://www.realordapsec.com.hk/>)以獲得最新之客戶協議之條款及守則並細閱其內容。該等修訂、刪除替代或增加的條款將於修訂通知刊載當日生效及納入本證券交易帳戶之條約條款內(並構成本條約條款的一部分)。本人/吾等可於修訂通知在貴公司網站上刊載當日後七(7)日內提出書面反對，否則本人/吾等將被視為接受該等修訂、刪除、替代或增加的條款；及
- I/we have read Realord Asia Pacific Securities Limited Notice to Customers on the Personal Data (Privacy) Ordinance (Section 12 of Terms and Conditions of Client Agreement), and hereby agrees to the terms and conditions therein.  
本人/吾等已參閱偉祿亞太證券有限公司給予客戶有關《個人資料(私隱)條例》的通知(客戶協議之條款及守則第 12 條)，明白且同意其條款及細則。

Specimen Signature of client 客戶簽署

Name 姓名: \_\_\_\_\_

Date 日期: \_\_\_\_\_

Specimen Signature of Joint client 聯名客戶簽署

Name 姓名: \_\_\_\_\_

Date 日期: \_\_\_\_\_

Signing Arrangement 簽名安排(For Joint Account only 只適用於聯名帳戶)

The Account can be operated under the instruction of (Please tick the appropriate box):此帳戶可根據以下指示方式操作(請在適當空格加√)：

☐ Either one of the account holder 任何一位帳戶持有人的指示

☐ Both account holders 兩位帳戶持有人的指示

# Realord Asia Pacific Securities Limited

## 偉祿亞太證券有限公司

<b>12. CERTIFICATION 核證 (For Non-face to face account opening 非親身面見開戶適用)</b>			
(Must be completed where the Client Declaration is not signed before a staff member of Realord Asia Pacific Securities Limited) (如該上述之客戶聲明並非在偉祿亞太證券有限公司職員面前簽署，須填寫此欄)			
To be certified by a person licensed or registered with Hong Kong SFC or an affiliate of a licensed or registered person, a Justice of the Peace, or a professional person (such as a branch manager of a bank, certified public accountant, lawyer or notary public). 由香港證監會發牌或註冊之人士或其聯繫人士、太平紳士或專業人士(例如銀行分行經理、執業會計師、律師或公證人) 核證。			
I, named below, certify that I have met and identified each of the person(s) who executed this Form before me, and reviewed the original of his/her valid Identity card(s) or passport(s). 本人(姓名如下)核證，本表格簽署人在本人見證下簽署此文件。本人已核對其有效身份證明文件或護照正本屬真實有效。			
Witness Name 見證人姓名:	Witness profession 見證人職業:	Witness signature 見證人簽署:	Date 日期:

<b>13. DECLARATION BY STAFF 內部職員聲明</b>			
I, named below, a staff member of Realord Asia Pacific Securities Limited, hereby declare that I: 本人（姓名如下），偉祿亞太證券有限公司員工，僅此聲明，本人：			
(i) Provided to the above-named Client the risk disclosure statements in a language of the Client's choice (English or Chinese); 已向以上客戶提供以其選擇語言 (英文或中文) 所撰寫的風險披露聲明；			
(ii) Invited the Client to read the risk disclosure statement, ask questions and take independent advice if the Client so wishes; 已邀請客戶參閱風險披露聲明，並邀請客戶按意願提出問題及徵求獨立意見；			
(iii) Fully explained the contents of risk disclosure statement to the Client in a language which the Clients understands. 已用該客戶明白的語言，向其完整解釋本風險披露聲明的內容。			
Staff Name 員工姓名:	CE Number of Licensed Person 持牌人之中央編號:	Signature of Staff 員工簽署:	Date 日期:

<b>For official use only 只供本行使用</b>			
基本佣金 Basic Brokerage	港股 SEHK :	信用限額 Credit Limit	
	中華通 BCAN:	經紀編號 AE code	
文件確認 Document Reviewed by:			
職員姓名 Name of Staff:	職位 Position:	職員簽署 Signature of Staff:	日期 Date:
開戶批核 Account opening approved by			
職員姓名 Name of Staff:	職位 Position:	職員簽署 Signature of Staff:	日期 Date:
開戶文件輸入 Account opening entry:			
職員姓名 Name of Staff:	職位 Position:	職員簽署 Signature of Staff:	日期 Date: