

Individual / Joint Account Opening Form
個人/聯名帳戶開戶表格
創市証券有限公司 VMI Securities Limited

SFC Licensed Corporation 證監會核准持牌法團(CE#: BIG265)

帳戶名稱 A/C Name	
帳戶號碼 A/C No.	環球股票帳號 Global Stock A/C No.
處理經紀 Process AE	經紀代號 AE Code
A. 客戶個人資料 Client's Personal Information	
<input type="checkbox"/> 第一戶口持有人 1st A/C Holder <input type="checkbox"/> 第二戶口持有人 2nd A/C Holder	聯名帳戶持有人關係 Joint A/C Holders
客戶姓名	
English Name	
身份證 / 護照號碼 ID / Passport No.	國籍 Nationality
出生日期 Date of Birth	出生地點 Place of Birth
密碼送遞(如適用) Password Delivery (if applicable): <input type="checkbox"/> 親自到取 In person <input type="checkbox"/> 總行 HQ <input type="checkbox"/> 電郵 By email	
客戶選擇之服務(以' '號選擇 Please tick to choose) Client Choice of Service(s)	
交易帳戶 Trading Account(s)	<input type="checkbox"/> 現金託管帳戶(港股) Custodian A/C-HK Stock <input type="checkbox"/> 現金託管帳戶(環球股票) Custodian A/C - Global Stock
電子交易服務 Electronic	<input type="checkbox"/> 港股 HK Stock <input type="checkbox"/> 環球股票 Global Stock
本人現向創市証券有限公司請開立上列服務，共____項。 I apply to set up with VMI Securities Limited the above _____ service(s)	

B.	客戶其他資料 Client's Other Information	
1. 聯絡資料 Contact Information		
住宅電話	Home No.	
流動電話	Mobile No.	
辦事處電話	Office No.	
傳真號碼	Fax No.	
住址 Home Address:		
<input type="checkbox"/> 與現有帳戶相同 same as existing account (已持有創市帳戶者適用 Applicable for those having VMI account) 室 / 樓 / 座 / 期 Flat / Floor / Block / Phase		
大廈 / 屋苑 Building/Estate		
街道號數 / 街道 / 地段 Street No./Street/Lot		
地區 / 國家 District/Country		
<input type="checkbox"/> 香港 HK <input type="checkbox"/> 九龍 KLN <input type="checkbox"/> 新界 / 離島 NT / Outlying Island		
<input type="checkbox"/> 以電郵收取研究報 Subscribe Research Report by email	電郵地址 E-mail Address:	
證券帳戶日結單送遞至 Stock A/C Daily Statements to :		
<input type="checkbox"/> 電郵地址 Email Address <input type="checkbox"/> 家居地址 Home Address <input type="checkbox"/> 以下地址 Address Below		
證券帳戶月結單送遞至 Stock A/C Monthly Statements to:		
<input type="checkbox"/> 電郵地址 Email Address <input type="checkbox"/> 家居地址 Home Address <input type="checkbox"/> 以下地址 Address Below		
聯絡地址 Correspondence Address:		
<input type="checkbox"/> 與現有帳戶相同 same as existing account (已持有創市帳戶者適用 Applicable for those having VMI account) 室 / 樓 / 座 / 期 Flat / Floor / Block / Phase		
大廈 / 屋苑 Building / Estate		
街道號數 / 街道 / 地段 Street No. / Street / Lot		
地區 / 國家 District / Country		
<input type="checkbox"/> 香港 HK <input type="checkbox"/> 九龍 KLN <input type="checkbox"/> 新界 / 離島 NT / Outlying Island		
* 帳戶日結單與月結單的郵寄地址必須相同 Mailing address of the daily statement and monthly statement should be the same		

帳戶結單語言選擇 Language of the statement: <input type="checkbox"/> 繁體中文 Traditional Chinese <input type="checkbox"/> 簡體中文 Simplified Chinese <input type="checkbox"/> 英文 English	
^客戶不同意貴集團使用其個人資料經以下渠道作直接促銷 I do not accept the Group to use my personal data in direct marketing via the following channel(s) : <input type="checkbox"/> 電郵 Email <input type="checkbox"/> 手機訊息 Mobile Message <input type="checkbox"/> 郵件 Mail <input type="checkbox"/> 電話 Phone Call	
2. 銀行戶口資料 Bank Account Record(只供入數之用 For Fund Deposit Only)	
<input type="checkbox"/> 與現有帳戶相同 same as existing account (已持有創市帳戶者適用 Applicable for those having VMI account)	
銀行名稱(港元):	戶口號碼(港元):
Bank Name(HKD) _____	Account No(HKD) _____
銀行名稱(人民幣):	戶口號碼(人民幣):
Bank Name(RMB) _____	Account No(RMB) _____
銀行名稱(美元):	戶口號碼(美元):
Bank Name(USD) _____	Account No(USD) _____
如屬創市聯名帳戶，支票付予 Payable to <input type="checkbox"/> 聯名 Joint Name <input type="checkbox"/> 第一戶口持有人 1st A/C Holder <input type="checkbox"/> 第二戶口持有人 2nd A/C Holder in case of Joint A/C	
3. 受僱資料 Employment Information (不可填寫全職投資者或近似作為職位 Full-time investors or equivalent will not be accepted as employment information)	
僱主名稱 Employer	
業務類型 Business Type	
職位 Position	
工作地址 Business Address	
任職年期 Years with Employer	

在以上任何格內加上「」號顯示閣下的選擇，即代表閣下並不拒絕本集團任何形式的直接促銷。閣下以上的選擇適用於本集團的《個人資料收集聲明》上所載的服務、產品及標的類別的直接促銷，詳情請閣下參考上述聲明。

If you return this Form without ticking any of the above boxes, it means that you do not object to any form of the Group's direct marketing. Your above choice applies to the direct marketing of the classes of services, products and subjects as set out in the Group's "Personal Information Collection Statement". Please refer to the aforesaid statement for details.

C. 客戶財政資料 Client Financial Information		
收入來源 Source of Income <input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 薪金 Salary <input type="checkbox"/> 佣金 Commission <input type="checkbox"/> 租金 Rent <input type="checkbox"/> 股息/利 Dividend/Interest <input type="checkbox"/> 業務溢利 Business Profit <input type="checkbox"/> 其他 Others: _____	每年收入 Annual Income <input type="checkbox"/> <HK\$120,000 <input type="checkbox"/> HK\$120,000 – HK\$300,000 <input type="checkbox"/> HK\$300,001 – HK\$500,000 <input type="checkbox"/> HK\$500,001 – HK\$1M <input type="checkbox"/> HK\$1M – HK\$5M <input type="checkbox"/> HK\$5M – HK\$10M <input type="checkbox"/> > HK\$10M	
資產項目 Asset Items <input type="checkbox"/> 房產 Property <input type="checkbox"/> 存款 Deposits <input type="checkbox"/> 證券 Listed Securities <input type="checkbox"/> 債券 / 基金 Bonds / Funds <input type="checkbox"/> 其他 Others: _____	估計資產淨值 Net Asset Worth <input type="checkbox"/> <HK\$500,000 <input type="checkbox"/> HK\$500,000 – HK\$1M <input type="checkbox"/> HK\$1M – HK\$3M <input type="checkbox"/> HK\$3M – HK\$5M <input type="checkbox"/> HK\$5M – HK\$10M <input type="checkbox"/> HK\$10M – HK\$50M <input type="checkbox"/> >HK\$50M	
D. 客戶投資經驗及目標 Client Investment Experience and Objective		
教育程度 Education Level <input type="checkbox"/> 小學或以下 Primary or below <input type="checkbox"/> 中學 Secondary <input type="checkbox"/> 大學或以上 Tertiary or above	投資經驗 Investment Experience <input type="checkbox"/> 少於 1 年 Less than a year <input type="checkbox"/> 1-5 年 years <input type="checkbox"/> 6-10 年 years <input type="checkbox"/> 10 年以上 More than 10 years <input type="checkbox"/> 沒有 Nil	
曾投資的產品 Experienced Products <input type="checkbox"/> 證券 Stocks <input type="checkbox"/> 認股權證 Warrants <input type="checkbox"/> 期貨 / 期權 Futures/Options <input type="checkbox"/> 外匯 / 黃金 Forex/Bullion <input type="checkbox"/> 債券 Bonds <input type="checkbox"/> 基金 Funds <input type="checkbox"/> 沒有 Nil 其他 Others: _____	投資目標 Investment Objectives <input type="checkbox"/> 短線 Short Term <input type="checkbox"/> 中線 Medium Term <input type="checkbox"/> 長線 Long Term <input type="checkbox"/> 資本增值 Capital Appreciation <input type="checkbox"/> 股息回報 Dividend Yield <input type="checkbox"/> 對沖 Hedging <input type="checkbox"/> 投機 Speculation 其他 Others: _____	估計投資金額 Estimated Investment Amount <input type="checkbox"/> <HK\$100,000 <input type="checkbox"/> HK\$100,000 – HK\$500,000 <input type="checkbox"/> HK\$500,001 – HK\$1M <input type="checkbox"/> HK\$1M – HK\$5M <input type="checkbox"/> HK\$5M – HK\$10M <input type="checkbox"/> >HK\$10M

本人有意認購以下交易所買賣的衍生產品

I wish to purchase the following derivative product(s) which is/are traded on an exchange:

- 牛熊證 **Callable Bull Bear Contracts** 衍生權證（窩輪） **Derivative Warrants**
 交易所買賣基金 **Exchange Traded Funds (ETF)**

本人對衍生產品的認識如下

My knowledge of derivative products are as followed:

- 本人已接受有關介紹一般衍生產品之性質及風險的培訓或課程（例如學術機構或金融機構所提供之課程）

I underwent training or attended courses on derivative products that provide general knowledge of the nature and risks of derivatives (e.g. courses offered by academic or financial institutions)

- 本人擁有與衍生產品有關之工作經驗

I have work experience related to derivative products

- 本人有相關之交易經驗，即本人於過去三年曾執行過五次或以上有關衍生產品之交易

I have relevant trading experience i.e. I have executed five or more transactions in derivative products within the past three years

- *本人並未有衍生產品之認識

I do not have any knowledge of derivative products

*即使閣下並未有衍生產品之認識，如閣下有意認購交易所買賣的衍生產品，亦可接受創市就相關衍生產品所作出之風險解釋及完成問卷調查。**When you do not have any knowledge of derivative products, you could accept VMI's explanation on risks associated with derivative products and complete the questionnaire if you wish to purchase derivative products which are traded on an exchange.**

E. 客戶聲明 Declaration by Client

1. 身份聲明 Identity Declaration

閣下是否以中介人身份操作帳戶？**Are you acting as an intermediary for the account?**
如是，戶口的最終權益擁有人是 **If yes, details of the ultimate beneficial owner(s) is/are**

名稱 **Name** _____

身份證/護照號碼 **ID/Passport No.** _____

地址 **Address** _____

是 **Yes**

否 **No**

閣下與本公司職員是否有親戚關係？

Do you have any relationship with any employee of our company?

如是 **If yes,**

職員名稱 **Name** _____

關係 **Relationship** _____

是 **Yes**

否 **No**

<p>閣下是否為任何根據證券及期貨條例註冊持牌法團或銀行業條例之註冊機構之僱員（不管閣下現時是否為證監會持牌代表/金管局註冊人士）？</p> <p>Are you an employee of a licensed corporation under the Securities and Futures Ordinance, or a registered institution under the Banking Ordinance (whether you are currently a SFC licensed representative /HKMA registered person or not)?</p> <p>如是 If yes, 持牌法團/註冊機構名稱 Licensed Corporation/Registered Institution Name _____</p> <p>職位 Position _____</p> <p>中央編號 CE No.(Employer 僱主) _____ / (Employee 僱員) _____ (If applicable 如適用)</p> <p>(必須出示所屬持牌法團或註冊機構之授權信 You must provide written approval from your accredited licensed corporation or registered institution)</p>	<p><input type="checkbox"/> 是 Yes</p> <p><input type="checkbox"/> 否 No</p> <hr/> <p>HKMA <input type="checkbox"/></p> <p>SFC <input type="checkbox"/></p> <hr/> <p>Checked By</p>
<p>閣下是否為美國公民（持有美國護照）或美國居民（持有美國綠卡）？</p> <p>Are you a U.S. citizen (e.g. holding U.S. Passport) or U.S. resident alien (e.g. holding U.S. green card)?</p> <p>如是，請填寫 W-9 表格，否則請填寫 W-8BEN 表格。 If yes, please fill in Form W-9. Otherwise, please fill in Form W-8BEN.</p>	<p><input type="checkbox"/> 是 Yes</p> <p><input type="checkbox"/> 否 No</p>
<p>閣下是否在其他持牌法團/註冊機構擁有戶口？</p> <p>Do you have accounts with other licensed corporation or registered institution?</p> <p>如是 If yes, 持牌法團/註冊機構名稱 Name of licensed corporation or registered institution _____</p> <p>戶口類別 A/C Type : <input type="checkbox"/> 現金 Cash <input type="checkbox"/> 保證金 Margin <input type="checkbox"/> 股票期權 Stock Options <input type="checkbox"/> 期貨 Futures <input type="checkbox"/> 網上交易帳戶 Internet</p>	<p><input type="checkbox"/> 是 Yes</p> <p><input type="checkbox"/> 否 No</p>
<p>2. 關連保證金帳戶資料 Related Margin Account(s) Information 保證金帳戶適用 (For Margin Accounts Only)</p>	
<p>閣下的配偶是否創市証券有限公司的保證金客戶？</p> <p>Is your spouse a margin client of VMI Securities Limited?</p> <p>如是 If yes,</p> <p>帳戶號碼為 whose Account No. _____ 帳戶名稱 Account Name _____</p>	<p><input type="checkbox"/> 是 Yes</p> <p><input type="checkbox"/> 否 No</p>

<p>閣下是否單獨或與閣下的配偶共同控制任何創市証券公司保證金帳戶 35%或以上投票權？</p> <p>Are you, either alone or with your spouse, in control of 35% or more of the voting rights of any corporate margin account of VMI Securities Limited?</p> <p>如是 If yes, 該帳戶號碼為 Account No. _____ 帳戶名稱 Account Name _____</p>	<p><input type="checkbox"/> 是 Yes</p> <p><input type="checkbox"/> 否 No</p>
<p>閣下或之關聯人士 包括其配偶、子女或父母是否擔任重要公職，包括國家元首、政府首長、司法或軍事官員、國有企業高級行政人員及重要政黨幹事？</p> <p>Are you or a related person including your spouse, children or parents in important public positions, including heads of state, heads of government, judicial or military officials, senior executives of state-owned enterprises and important political party officers?</p>	<p><input type="checkbox"/> 是 Yes</p> <p><input type="checkbox"/> 否 No</p>
<p>美國身份聲明</p> <p>根據海外賬戶稅收合規法案定義，閣下或其最終受益人是不是美國人？</p> <p>Are you or your ultimate beneficial owner a United State Person (“U.S. Person”) defined under the Foreign Account Tax Compliance Act (“FATCA”)?</p> <p>如果是美國人 If yes, 稅籍編號 the TIN number is _____</p> <p>3. 對於具以下明細的個人客戶，請剔取合適的方格。</p> <p>For individual Client who has the below particular(s), please tick the appropriate box(es).</p> <p><input type="checkbox"/> 出生地為美國 U.S. place of birth</p> <p><input type="checkbox"/> 郵寄或永久地址為美國 U.S. mailing or residence address (including a U.S. post office box)</p> <p><input type="checkbox"/> 美國電話號碼 U.S. telephone number</p> <p><input type="checkbox"/> 常設授權將資金轉至設在美國的賬戶</p> <p>Standing instruction to transfer funds to an account maintained in the United States</p> <p><input type="checkbox"/> 授予擁有美國地址的人士代理權或簽名權</p> <p>Power of attorney or signatory authority granted to a person with a U.S.address</p> <p><input type="checkbox"/> 提供一個轉交地址或代存郵件地址 An “in-care-of” or “holdmail” address that is the sole address</p> <p><input type="checkbox"/> 以上全部不是 None of the above</p>	<p><input type="checkbox"/> 是 Yes</p> <p><input type="checkbox"/> 否 No</p>

F. 客戶確認及簽署 Acknowledgement and Execution by Client

本人/吾等(在下面簽署的客戶)確認創市証券有限公司(下稱“創市”)已按本人/吾等選擇的語言(英文或中文)提供了客戶協議書及風險披露聲明之副本。本人/吾等(在下面簽署的客戶)謹此聲明在本開戶表格所提供之資料全部為真實、完整及正確,除非創市接到更改有關本開戶表格內容之書面通知,否則創市有權完全依賴此等資料及聲明作一切用途。創市或其代理獲授權可隨時就核對本開戶表格資料事宜,與任何人包括本人/吾等之銀行、經紀或任何信用機構進行諮詢。本人/吾等(在下面簽署的客戶)現申請開立本人/吾等在本開戶表格頁首選擇之帳戶及服務類別。本人/吾等確認已閱讀並明白附上之創市証券有限公司客戶協議書〈該協議書〉的所有有關條款並且接受及同意受可不時被修改的該協議書之條款所約束,本人/吾等在此以書面通知、及確認並授權創市行使在該協議書內的全部常設授權。本人/吾等(在下面簽署的客戶)進一步確認創市已經邀請本人/吾等閱讀風險披露聲明,提出問題及徵求獨立的意見(如本人/吾等有此意願)。本人/吾等(在下面簽署的客戶)已仔細閱讀、完全理解並同意接受及遵守客戶協議書內之個人資料收集聲明。

I/We, the undersigned client(s) hereby confirm that I/We have been provided the Client Agreement (“the Agreement”) of VMI Securities Limited (“VMI”) and the Risk Disclosure Statement in a language of my/our choice(receipt of a copy whereof is hereby acknowledged by me/us).

I/We, the undersigned client(s) hereby confirm and represent that the information on this Account Opening Form is true, complete and correct.VMI is entitled to rely fully on such information and representations for all purposes, unless VMI receives notice in writing of any change. VMI or any of its agents is hereby authorized at any time to contact anyone, including my/our banks or any credit agency, for the purpose of verifying the information provided on this Account OpeningForm.

I/We, the undersigned client(s) hereby apply to open the types of account(s) and service(s) which I/We choose on the front page of this Account Opening Form and confirm that I/We have read and understand the relevant provisions of the attached Client Agreement and accept and agree to be bound by the Agreement as the same may be amended from time to time, and I/We hereby give you notice in writing that I/weconfirm and authorize VMI to exercise all the powers of the Standing Authorities under the Client Agreement.

I/We, the undersigned client(s) further acknowledge and confirm that I/We have been invited by VMI to read the Risk Disclosure Statement, ask questions and take independent advice, if I/We wish.

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

Date 日期: _____年 YY _____月 MM _____日 DD

客戶簽署 Signed by Client

客戶名稱 A/C Name

客戶簽署 Signed by Client (聯名帳戶 Joint A/C)

客戶名稱 A/C Name (聯名帳戶 Joint A/C)

聯名帳戶適用 For Joint Account only	<input type="checkbox"/> 所有帳戶書面指示須由兩位帳戶持有人同時簽署* All written instruction of the account should be jointly signed by both account holders*
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*如閣下並未選擇上述方格，書面指示簽署方式由創市因應該指示風險程度釐定。

If you don't tick the box, the format of the signature required will be determined by VMI based on the risk level of the instruction you made.

G.	見證客戶簽署及身份證明文件驗證〈如適用〉 Certification of Client Signature and Identity Proof (if applicable)
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若客戶/聯名客戶並非在創市證券有限公司之指定僱員面前簽立本開戶表格或本開戶表格並非連同恰當的支票+一併遞交，則以下部分應由指定人士，包括其他證監會持牌人或註冊人、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，簽署驗證。而該指定人士需提供其已簽署之身份證明文件副本及專業資格證明文件之副本。

If this Account Opening Form is not executed in front of VMI Securities Limited's SFC licenced employee or is not submitted with an appropriate cheque+, a specified person, including any SFC licensed or registered person, a Justice of Peace, a Branch Manager of a bank, Certified Public Accountant or Notary Public, should be required to sign below. The specified person should provide us with self-certified ID copy and copy of the professional qualification documents.

下述簽署人士謹此驗證上述客戶/聯名客戶簽立此文件(連同客戶協議書)及其有關的身份證明文件：

The undersigned person hereby certify the signing of this Account Opening Form (together with the Client Agreement) by the above Client(s) and sighting of related identity documents of such Client(s)

Date 日期：_____年 YY_____月 MM_____日 DD

簽署及驗證 Signed and Certified by

姓名 Name	所屬專業及職銜 Profession /Title
聯絡電話 Contact No	聯絡地址 Address

+客戶在香港的持牌銀行開立的帳戶並由客戶所簽發(該簽名須與此開戶表上的客戶簽名相符)並載有客戶在其身份證明文件上所顯示的姓名的劃線支票，而該支票抬頭人須為“創市證券有限公司”及其 數額不得少於 10,000 港元。客戶被批核的新帳戶必須待支票兌現後才可使用。A crossed cheque bearing your name shown in your identity document and drawn on your account with a licensed bank in Hong Kong with your same signature(s) as shown on this Form in favour of "VMI Securities Limited" for not less than HKD10,000. Your approved new account will not be activated until the cheque is cleared.

H.	職員聲明 Declaration by Staff
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本人，以註冊人身份，確認本人已按照上述客戶所選擇的語言提供風險披露聲明之副本及邀請客戶閱讀該風險披露聲明、提出問題及徵求獨立意見(如客戶有此意願)。

I, a registered person, declare that I have provided the above client with a copy of the Risk Disclosure Statement in a language of the Client's choice and invited the client to read the Risk Disclosure Statement, ask questions and take independent advice if the client so wishes.

以上客戶簽署乃於本人面前簽立。The above Client signature(s) was/were made in my presence.

Date 日期：_____年 YY_____月 MM_____日 DD

職員簽署 Signed by Staff	職員姓名 Name of Staff
	中央編號 CE Number

本公司內部使用

核對清單	客戶介紹人				戶口號碼	
<input type="checkbox"/> 客戶年滿 18 歲 <input type="checkbox"/> 身份證/護照副本 <input type="checkbox"/> 最近三個月內附客戶姓名之住址證明 <input type="checkbox"/> W-8BEN 表格 (如適用) <input type="checkbox"/> W-9 表格 (如適用) <input type="checkbox"/> 核實簽署之支票 (如需要) <ul style="list-style-type: none"> <input type="checkbox"/> 保留支票副本 <input type="checkbox"/> 香港持牌銀行支票 <input type="checkbox"/> 抬頭人為創市証券有限公司 <input type="checkbox"/> 銀碼不少於 HK\$10,000 <input type="checkbox"/> 支票上之客戶名稱與本表格相符 <input type="checkbox"/> 支票上之客戶簽署與本表格相符 <input type="checkbox"/> 指定人士之身份證明及專業資格證明文件 (如適用) <input type="checkbox"/> 重覆帳戶/黑名單帳戶 <input type="checkbox"/> 其他：	經紀/分行名稱		編號		與經紀認識 年	
	佣金收費					
	港股 HK\$		環球證券 US\$		股票期權 HK\$	
	普通	% Min \$	普通	% Min \$	普通	% Min \$
	即日	% Min \$	即日	% Min \$	網上	% Min \$
	網上	% Min \$	網上	% Min \$		
	佣金代號		佣金代號		佣金代號	
	信貸限額 HK\$			US\$		
	客戶號碼					
	開戶批核			密碼發送(港股)		密碼發送(股票期權)
批核人名稱			經手人		經手人	
日期			日期		日期	
資料輸入(港股)	資料核對(港股)	資料輸入(股票期權)	資料核對(股票期權)			
日期_____	日期_____	日期_____	日期_____			
資料輸入(環球股票)	資料核對(環球股票)	網上交易平台(環球股票)				
日期_____	日期_____	日期_____				
備註:						
同名人士之 CE / Registration No.	同名人士所屬之持牌法團/註冊機構名稱		本人進一步確認本人並非為任何根據證券及期貨條例註冊持牌法團或銀行業條例之註冊機構之僱員 客戶簽署： _____ 職員簽署： _____ 客戶姓名： _____ 職員姓名： _____ _____年__月__日 _____年__月__日			