



開戶資料表格  
ACCOUNT OPENING INFORMATION FORM

戶口號碼 : \_\_\_\_\_  
Account No.: \_\_\_\_\_  
開戶日期 : \_\_\_\_\_  
Date Opened.: \_\_\_\_\_

- 個人戶口 Individual Account       聯名戶口 Joint Account  
 現金戶口 Cash Account       保證金戶口 Margin Account

個人/主要申請人之個人資料 Individual / Primary Applicant's Personal Information

姓名 Name	<input type="checkbox"/> 先生 Mr.	<input type="checkbox"/> 女士 Mrs.	<input type="checkbox"/> 小姐 Miss
英文 English	中文 Chinese		
香港身份證/護照號碼 HKID / Passport No.	國籍 Nationality		
出生日期 Date of Birth (日/月/年 dd/mm/yyyy)	住宅電話號碼 Resident Telephone No.		
公司電話號碼 Office Telephone No.	手提電話號碼 Mobile Phone No.		
傳真號碼 Fax No.	電郵地址 E-mail Address		
住宅地址(不接受郵政信箱) Residential Address ( P.O. Box not accepted )			
通訊地址(不接受郵政信箱) Correspondence Address ( P.O. Box not accepted )			

財政狀況 Financial Position :

住宅 / 類別房屋 Flat / Nature of Occupancy

- 自置 (無按揭) Owned (No mortgage)       自置 (有按揭) Owned (Mortgaged)  
 租用 Rented       與父母同住 With Parents  
 親屬樓宇 Relative's property       宿舍 Quarters  
 其他 Other (請註明 Please Specify) :

就業情況 Employment Status :

- 自僱 Self-employed       全職 Full-time employed       兼職 Part-time employed       退休 Retired  
 其他 Other (請註明 Please Specify) :

僱主名稱 Employer Name	業務性質 Nature of Business
公司電話 Office Phone No.	已任職年期 Year(s) with Existing Employer
公司地址 Office Address	職位 Position

個人/主要申請人之財務紀錄及投資目標 Individual / Primary Applicant's Financial Profile and Investment Objective

估計每年收入 Estimated Annual Income <input type="checkbox"/> Under HK\$200,000 以下 <input type="checkbox"/> HK\$200,000 - HK\$500,000 <input type="checkbox"/> HK\$500,001 - HK\$1,000,000 <input type="checkbox"/> HK\$1,000,001- HK\$5,000,000 <input type="checkbox"/> Above HK\$5,000,000 以上	估計資產淨值 (總資產減總負債) Approximate Net Asset Value (Total Assets less Total Liabilities) <input type="checkbox"/> Under HK\$500,000 以下 <input type="checkbox"/> HK\$500,000 - HK\$3,000,000 <input type="checkbox"/> HK\$3,000,001 - HK\$8,000,000 <input type="checkbox"/> Above HK\$8,000,001 以上
教育程度 Educational Background : <input type="checkbox"/> 小學 Primary School <input type="checkbox"/> 中學 Secondary School <input type="checkbox"/> 大學或以上 University or above <input type="checkbox"/> 其他 Others : _____	
收入來源 Source of Income : <input type="checkbox"/> 工資 Salary <input type="checkbox"/> 佣金 Commission <input type="checkbox"/> 投資 Investment <input type="checkbox"/> 商業利潤 Business Profit <input type="checkbox"/> 儲蓄 Savings <input type="checkbox"/> 其他 Others : _____	
投資證券經驗 Securities Investment Experience : <input type="checkbox"/> 少於1年 Less than 1 year <input type="checkbox"/> 1-5 年 Years <input type="checkbox"/> 6-10年 Years <input type="checkbox"/> 超過10年 Over 10 Years	
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	

**第二申請人之個人資料 (適用於聯名戶口) Secondary Applicant's Personal Information (For Joint Account)**

姓名 Name	<input type="checkbox"/> 先生 Mr.	<input type="checkbox"/> 女士 Mrs.	<input type="checkbox"/> 小姐 Miss
英文 English	中文 Chinese		
香港身份證/護照號碼 HKID / Passport No.	國籍 Nationality		
出生日期 Date of Birth (日/月/年 dd/mm/yyyy)	住宅電話號碼 Resident Telephone No.		
公司電話號碼 Office Telephone No	手提電話號碼 Mobile Phone No		
傳真號碼 Fax No	電郵地址 E-mail Address		
住宅地址(不接受郵政信箱) Residential Address ( P.O. Box not accepted )			
通訊地址(不接受郵政信箱) Correspondence Address ( P.O. Box not accepted )			
<b>財政狀況 Financial Position :</b>			
住宅 / 類別房屋 Flat / Nature of Occupancy			
<input type="checkbox"/> 自置 (無按揭) Owned (No mortgage)	<input type="checkbox"/> 自置 (有按揭) Owned (Mortgaged)		
<input type="checkbox"/> 租用 Rented	<input type="checkbox"/> 與父母同住 With Parents		
<input type="checkbox"/> 親屬樓宇 Relative's property	<input type="checkbox"/> 宿舍 Quarters		
<input type="checkbox"/> 其他 Other (請註明 Please Specify) :			
<b>就業情況 Employment Status :</b>			
<input type="checkbox"/> 自僱 Self-employed	<input type="checkbox"/> 全職 Full-time employed	<input type="checkbox"/> 兼職 Part-time employed	<input type="checkbox"/> 退休 Retired
<input type="checkbox"/> 其他 Other (請註明 Please Specify) :			
僱主名稱 Employer Name	業務性質 Nature of Business		
公司電話 Office Phone No.	已任職年期 Year(s) with Existing Employer	公司電話 Office Phone No.	
公司地址 Office Address			

**第二申請人之財務紀錄及投資目標 (適用於聯名戶口) Secondary Applicant's Financial Profile and Investment Objective (For Joint Account)**

估計每年收入 Estimated Annual Income	估計資產淨值 (總資產減總負債) Approximate Net Asset Value (Total Assets less Total Liabilities)
<input type="checkbox"/> Under HK\$200,000 以下	<input type="checkbox"/> Under HK\$500,000 以下
<input type="checkbox"/> HK\$200,000 - HK\$500,000	<input type="checkbox"/> HK\$500,000 - HK\$3,000,000
<input type="checkbox"/> HK\$500,001 - HK\$1,000,000	<input type="checkbox"/> HK\$1,000,001 - HK\$5,000,000
<input type="checkbox"/> HK\$1,000,001 - HK\$5,000,000	<input type="checkbox"/> HK\$3,000,001 - HK\$8,000,000
<input type="checkbox"/> Above HK\$5,000,000 以上	<input type="checkbox"/> Above HK\$8,000,001 以上
<b>教育程度 Educational Background :</b>	
<input type="checkbox"/> 小學 Primary School	
<input type="checkbox"/> 中學 Secondary School	
<input type="checkbox"/> 大學或以上 University or above	
<input type="checkbox"/> 其他 Others : _____	
<b>收入來源 Source of Income :</b>	
<input type="checkbox"/> 工資 Salary	
<input type="checkbox"/> 佣金 Commission	
<input type="checkbox"/> 投資 Investment	
<input type="checkbox"/> 商業利潤 Business Profit	
<input type="checkbox"/> 儲蓄 Savings	
<input type="checkbox"/> 其他 Others : _____	
<b>投資證券經驗 Securities Investment Experience :</b>	
<input type="checkbox"/> 無 Nil	
<input type="checkbox"/> 1-5 年 Years	
<input type="checkbox"/> 6-10年 Years	
<input type="checkbox"/> 超過10年 Over 10 Years	
<b>投資目標 Investment Objectives :</b>	
<input type="checkbox"/> 短線 Short-Term	
<input type="checkbox"/> 中線 Medium-Term	
<input type="checkbox"/> 長線 Long-Term	

**簽署安排 Signing Arrangement (只適用於聯名戶口申請者 Only Applicable to Joint Account Applicants)**

註一：戶口可根據其中兩式或以上 / 任何一式\*\* (聯名戶口用) 簽名式樣指示下運作。

Note 1: THE ACCOUNT CAN BE OPERATED ON THE INSTRUCTIONS OF ANY TWO OR MORE SIGNATURES / ANY ONE SIGNATURES\*\* (IF IN JOIT NAMES)

註二：客戶必須填妥及簽署本表格所附之戶口運作一般條款。

Note 2: THE ATTACHED GENERAL TERMS AND CONDITIONS TO THE OPERATION OF THIS ACCOUNT MUST BE COMPLETED AND SIGNED BY THE CLIENT.

\*\* 刪除不適用者 \*\*DELETE IF INAPPLICABLE

**申請人之銀行戶口 Account Applicant's Banker**

(款項將根據客戶的提款指示轉入以下戶口 Funds will be transferred to the following account pursuant to your fund withdrawal instruction.)

- \* 本人/吾等明白及同意本人/吾等現在和/或日後提供給和豐證券有限公司之本人/吾等之銀行戶口號碼(不論是個人或聯名人戶口), 本人/吾等乃屬最終持有及受益者。
- \* I/We understand and agree that, I/We am/are the final beneficiary person(s) and bank account holder(s) of the bank account number (whether single or joint bank account) that I/we provide to Wo Fung Securities Company Limited currently and/or in the future.

銀行名稱 Banker's Name :	
帳戶名稱 Account Name :	帳戶號碼 Account No. :

\*\* 閣下必須明白閣下不能以第三者支票交收

\*\* Client must aware that they shall not settle any trading transaction with third-party cheque(s)

\*\* 所有交收支票抬頭請寫上 "和豐證券有限公司"

\*\* All cheques should be made payable to "Wo Fung Securities Company Limited"

**收取戶口結算單方法 Method of Receiving Account Statement**

- \* 電郵方法 By E-mail  郵寄至住宅地址 By post to residential address
- 郵寄至通訊地址 By post to correspondence address

(\* 如選擇以電郵方法收取, 戶口結算單將不會同時郵寄給客戶。 if e-mail is chosen, the account statement will not be sent by post)

\*\* 閣下明白及知道和豐證券有限公司將定期寄出客戶月結單, 如發覺月結單有任何差異或錯誤, 閣下需要在月結單發出日期之七天內通知和豐證券有限公司以便更正, 否則視為已蒙核對無誤。\*\* Client should understand that Wo Fung Securities Company Limited will send out statements from time to time. Details on the statements will be considered good and valid if no errors or exceptions are reported to the Company within 7 days from the date of statements issued.**Account Applicant's Other Information 戶口申請人之其他資料**

閣下是否此戶口之最終實益擁有人? Are you the ultimate beneficial owner(s) of the account?

- 是 Yes
- 否, 請提供最終實益擁有人的詳細資料: No, please provide details of the ultimate beneficial owner(s)

姓名 Name \_\_\_\_\_ 身份證/護照號碼 ID / Passport No. \_\_\_\_\_

聯絡電話 Contact No. \_\_\_\_\_ 出生日期 Date of Birth (日/月/年dd/mm/yyyy) \_\_\_\_\_ 國籍 Nationality \_\_\_\_\_

地址 Address \_\_\_\_\_ 關係 Relationship: \_\_\_\_\_

閣下或與閣下有相關之人士是否在和豐證券有限公司擁有戶口?

Do you or other persons connected to you have any accounts with Wo Fung Securities Company Limited?

- 沒有 No
- 有 Yes 姓名 Name: \_\_\_\_\_ 關係 Relationship: \_\_\_\_\_

閣下與和豐證券有限公司之職員有否任何親屬或朋友關係?

Do you have any relatives or friends working in Wo Fung Securities Company Limited?

- 沒有 No
- 有 Yes 職員姓名 Staff name: \_\_\_\_\_ 關係 Relationship: \_\_\_\_\_

閣下是否持牌/註冊證券或期貨從業員?

Are you, a licensed / registered securities or commodities professional,

- 否 No  是 Yes :

如是, 是否已取授權書? If yes, has authorization letter been obtained?

**美國《海外帳戶稅收合規法案》身份聲明 U.S. FATCA Identity Declaration**

本人/吾等確證：

- (i) 本人/吾等不是美國人士（包括美國居民/美國公民/美國永久居民/美國綠卡持有人/美國定居之外國人）；及  
(ii) 根據有關美國的外國賬戶稅務合規法案（「FATCA」），本人/吾等沒有義務和資格繳納美國的外國賬戶稅務。

I/We also confirmed that:

- (i) I am /We are not citizen(s) of the United States of America (including U.S. Resident(s) / U.S. Citizen(s) / U.S. Permanent Resident / U.S. Green Card Holder / U.S. Resident Alien), and  
(ii) I am /We are not entitled to pay the tax under the U.S. Foreign Account Tax Compliance Act.

**自動交換財務帳戶資料聲明 Automatic Exchange of Financial Account Information Declaration**

-以作自動交換財務帳戶資料用途。和豐證券有限公司（「和豐」）可把收集所得的資料交給稅務局，稅務局會將資料轉交到另一稅務管轄區的稅務當局。如帳戶持有人的稅務居民身分有所改變，應盡快將所有變更通知「和豐」。請小心填寫本聲明。如閣下對於自動交換財務帳戶資料(AEOI) 或本聲明有任何疑問，請查詢香港稅務局網站 [http://www.ird.gov.hk/chi/tax/dta\\_aeoi.htm](http://www.ird.gov.hk/chi/tax/dta_aeoi.htm) 或 OECD 網站 <http://www.oecd.org/tax/automatic-exchange/> 及諮詢閣下之稅務、法律及 / 或其他專業顧問。

-For the purpose of automatic exchange of financial account information. The data collected may be transmitted by Wo Fung Securities Limited ("Wo Fung") to the Inland Revenue Department for transfer to the tax authority of another jurisdiction. Account holder should report all changes in his/her tax residency status to "Wo Fung". Please complete this declaration carefully. Please refer to the information on the website of Hong Kong Inland Revenue Department [http://www.ird.gov.hk/eng/tax/dta\\_aeoi.htm](http://www.ird.gov.hk/eng/tax/dta_aeoi.htm) or the website of OECD <http://www.oecd.org/tax/automatic-exchange/> and consult your tax, legal and/or other professional advisers if you have any questions on or in relation to AEOI or this declaration.

\*\*警告：根據《稅務條例》第 80(2E) 條，如任何人在作出聲明時，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 HK\$10,000）罰款。\*

\*\* WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making the declaration, 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. HK\$10,000). \*\*

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

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 3 個）居留司法管轄區。

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 three) jurisdictions of residence.

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 account holder is a tax resident of Hong Kong, the TIN is the Hong Kong ID Number.

如沒有提供稅務編號，必須填寫合適的理由： If a TIN is unavailable, provide the appropriate reason A, B or C:

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

理由 B - 帳戶持有人不能取得稅務編號。解釋帳戶持有人不能取得稅務編號的原因。

Reason B - The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN.

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。

Reason C - TIN is not required. Select this only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

**主要申請人 Primary Applicant**

居留司法管轄區 Jurisdiction of Residence	稅務編號 TIN	如沒有稅務編號，填寫理由 A、B 或 C Reason A, B, or C if no TIN is available	如選取理由 B，解釋不能取得稅務編號原因 Explain why the account holder is unable to obtain a TIN if selected Reason B
1.			
2.			
3.			

**第二申請人（適用於聯名戶口） Secondary Applicant (For Joint Account)**

居留司法管轄區 Jurisdiction of Residence	稅務編號 TIN	如沒有稅務編號，填寫理由 A、B 或 C Reason A, B, or C if no TIN is available	如選取理由 B，解釋不能取得稅務編號原因 Explain why the account holder is unable to obtain a TIN if selected Reason B
1.			
2.			
3.			

\*\* 以上開戶資料如有更改，閣下必須立即以書面通知和豐證券有限公司

\*\* Client should notify Wo Fung Securities Company Limited in writing immediately if there is any change(s) on the above information.

**申請人聲明 Applicant(s) Declaration**


本人 / 吾等茲聲明在本開戶表格內的資料屬實、完整及正確，和豐證券有限公司的《證券買賣條款及細則》(包括《風險披露聲明》)(統稱為「協議」)內的一切申述準確。本開戶表格內的資料及「協議」內的申述，以下統稱為「客戶資料」。除非和豐證券有限公司(以下簡稱為「和豐證券」)接到更改有關「客戶資料」內容的書面通知，和豐證券有權在任何用途上完全依賴這些「客戶資料」。和豐證券有權隨時聯絡任何人，包括但不限於本人 / 吾等之銀行、經紀或任何信貸調查機構，以求證實「客戶資料」內所載之內容。

所有由和豐證券與/或透過和豐證券進行之交易均受「協議」之條文限制。於下方簽署乃確認本人 / 吾等已細閱及明白「協議」所列明的各項條款及條件，及同意遵守及接受「協議」一切列明的安排及有關之條款及條件內容(尤其「風險披露聲明」一節)，並接受該等現時有效及不時修改的條文約束。

I / We represent that the information on this Account Opening Form is true, complete and correct and that the representations in the attached "Terms and Conditions for Securities Trading" of **Wo Fung Securities Limited** (including the "Risk Disclosure Statement") (collectively "Agreement") are accurate. Information on this Account Opening Form and representations in the Agreement are collectively referred as the "Account Opening Information". **Wo Fung Securities Limited** ("WF") is entitled to rely fully on such Account Opening Information for all purposes, unless WF receives notice in writing of any change. WF is authorized at any time to contact anyone, including but without limitations to my / our banks, brokers or any credit agency, for purposes of verifying the Account Opening Information.

All transactions to be concluded with or through WF shall be subject to the terms and conditions of the Agreement. By signing below, I / we confirm that I / we have read through and understood all the terms and conditions set out in the Agreement, and agree to adhere to and accept all the arrangements and relevant terms and conditions as set out in the Agreement, in particular the section entitled "Risk Disclosure Statement" and shall be bound by the Agreement as it may be amended from time to time.

**申請人簽名式樣 Applicant(s) Specimen Signature**

 個人 / 主要申請人簽署 Individual / Primary Applicant's Signature	 第二申請人簽署 (適用於聯名戶口) Secondary Applicant's Signature (For Joint Account)
姓名 Name (請使用正楷 Please use block letter )	姓名 Name (請使用正楷 Please use block letter )
香港身份證/護照號碼 HKID / Passport No.	香港身份證/護照號碼 HKID / Passport No.
日期 Date	日期 Date

**風險聲明 Risk Declaration { 此欄由和豐證券有限公司填寫 to be completed by Wo Fung Securities Limited }****持牌人士聲明 Declaration by Licensed Person :**

本人 \_\_\_\_\_, 持牌人中央編號 \_\_\_\_\_, 確認本人已按照客戶選擇的語言 (英文或中文) 向客戶提供現金客戶協議列明風險披露聲明, 及邀請客戶閱讀該風險披露聲明書, 提出問題及尋求獨立的意見 (如客戶有此意願)。

I \_\_\_\_\_, a licensed person with CE Number \_\_\_\_\_ confirm that I have provided the Risk Disclosure Statement set out in the Cash Client's Agreement in language of the Client's choice (English or Chinese) and that I have invited the Client to read the Risk Disclosure Statements, ask questions and take independent advice, if the Client wishes.

持牌人士簽署 Signature of Licensed Person : \_\_\_\_\_ Date 日期 : \_\_\_\_\_

只供本行使用 For Office Use Only:

介紹人 Introduced By: \_\_\_\_\_

信用限額 Credit Limit: \_\_\_\_\_

佣金 Commission Rate: \_\_\_\_\_ (%)

文件查核 Documentation Checked By: \_\_\_\_\_

利率 Interest Rate: \_\_\_\_\_ (%)

批准 Approved By: \_\_\_\_\_