

## ACCOUNT OPENING FORM – For Individual Account

### 開戶表格 – 個人帳戶適用

- Notes: 1. Please complete in Block Letters and tick where applicable.  
 注意: 請用正楷填寫，並在適當地方加上剔號。
2. \*Please delete whichever is not appropriate and mark “N/A” on the unfilled spaces.  
 \*請刪去不適用者，並在不適用者填上“N/A”。

<b>Part I: Client's Information 甲部：客戶資料</b>			
Name in English 英文姓名 (Surname 姓) (Last Name 名)		Name in Chinese (if any) 中文姓名(如有) (Surname 姓) (Last Name 名)	
		Gender 性別 <input type="checkbox"/> Male 男 <input type="checkbox"/> Female 女	
Identity Card Number/Passport Number and Issuing Country 身份證號碼/護照號碼及簽發國家  (Country 國家)		Nationality 國籍	Date of Birth 出生日期
Residential Address 居住地址  (Postal Code 郵編)			
Correspondence Address 通訊地址 <input type="checkbox"/> Residential Address 居住地址 <input type="checkbox"/> Office Address 辦事處地址 <input type="checkbox"/> Others 其他 (Postal Code 郵編)			
Mobile No. 手提電話號碼 ( )	Home Tel. No. 住宅電話號碼 ( )	Fax No. 傳真號碼 ( )	Email Address 電郵地址
Employment Information 受僱資料 <input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Housewife 家庭主婦 <input type="checkbox"/> Others 其他 (Please Fill in Details Below if Applicable 如適用請填寫下列資料)			
Employer Name 僱主名稱	Nature of Business 業務類型	Position 職位	Year of Services 任職年期
Office Address 辦事處地址  (Postal Code 郵編)			
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 大專或以上 <input type="checkbox"/> Others 其他			
Statement Language 結單語言 <input type="checkbox"/> English <input type="checkbox"/> 中文			
Delivery of Account Correspondences (Including but not limited to Statements, Contract Notes and Corporate Action Notes) 傳送帳戶通訊 (包括但不限於綜合結單、成交單據及公司動向通知書) <input type="checkbox"/> By Email 電郵 <input type="checkbox"/> By Post to Correspondence Address (Monthly Fee HK\$250) 郵寄至通訊地址(月費 250 港幣)			
Electronic Login Password 網上登入密碼 (If Applicable 如適用) <input type="checkbox"/> By Email 電郵 <input type="checkbox"/> By Post to Correspondence Address 郵寄至通訊地址			

<b>Part II: Bank Account Information 乙部：銀行戶口資料</b>		
<input type="checkbox"/> Local Bank 本地銀行 <input type="checkbox"/> Overseas Bank 海外銀行 (Country 國家 _____)		
Bank Name 銀行名稱	Bank Account No. 銀行帳戶號碼	Currency 貨幣
SWIFT Code 銀行電匯代碼 (For Overseas Bank 海外銀行適用)	Intermediary Bank Name 中轉銀行名稱 (For Overseas Bank 海外銀行適用)	Intermediary Bank SWIFT 中轉銀行電匯代碼 (For Overseas Bank 海外銀行適用)

<b>Part III: Financial Status 丙部：財務狀況</b>		
Source of Funding 資金來源	<input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Family Income 家庭收入 <input type="checkbox"/> Retirement Fund 退休基金 <input type="checkbox"/> Business Profit 營業溢利 <input type="checkbox"/> Dividend 股息 / Interest 利息	<input type="checkbox"/> Commission 佣金 <input type="checkbox"/> Investment Income 投資收入 <input type="checkbox"/> Personal Savings 個人儲蓄 <input type="checkbox"/> Rental Income 租金收入 <input type="checkbox"/> Others 其他 _____
Annual Income (HKD) 每年收入(港元)	Total Net Assets Value (HKD) 資產淨值(港元)	
<input type="checkbox"/> < 120,000 <input type="checkbox"/> 120,000 – 360,000 <input type="checkbox"/> 360,001 – 600,000 <input type="checkbox"/> 600,001 – 1,200,000 <input type="checkbox"/> > 1,200,000	<input type="checkbox"/> < 100,000 <input type="checkbox"/> 100,000 – 500,000 <input type="checkbox"/> 500,001 – 1,000,000 <input type="checkbox"/> 1,000,001 – 5,000,000 <input type="checkbox"/> 5,000,001 – 8,000,000 <input type="checkbox"/> > 8,000,000	
Have the client ever declared bankruptcy? 客戶是否曾經宣佈破產?		
<input type="checkbox"/> No 否 <input type="checkbox"/> Yes, Please Specify 是，請說明	Date 日期	Details 詳情

<b>Investment Objective and Experience 投資目的及經驗</b>						
Investment Objective 投資目的	<input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Short Term 短線 <input type="checkbox"/> Others 其他 _____	<input type="checkbox"/> Capital Gain 資本增值 <input type="checkbox"/> Long Term 長線	<input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Dividend Income 股息收入			
Investment Experience 投資經驗		Nil 無	<1 Year 一年以下	1-5 Years 一至五年	6-10 Years 六至十年	>10 Years 十年以上
Shares 股票	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Futures 期貨 / Options 期權	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Forex 外匯 / Bullion 黃金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Bonds 債券 / Funds 基金	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Others 其他	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<b>Knowledge of Derivatives Products 衍生產品的認識</b>	
1. Have you ever undergo training or attend courses on derivative products with general knowledge of the nature and risks of derivatives? 客戶是否曾接受有關衍生產品性質和風險的一般知識培訓或修讀相關課程?	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
2. Are you currently or previously working in relation to derivative products? 客戶現時或過去是否從事與衍生產品有關的工作?	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
3. Have you traded at least 5 transactions in any derivative products (whether traded on an exchange or not) within the past 3 years? 客戶是否在過去三年曾買賣過至少五次任何衍生產品的交易(不論是否在交易所買賣)?	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
Have the client ever declared bankruptcy? 客戶是否曾經宣佈破產?	
<input type="checkbox"/> No 否 <input type="checkbox"/> Yes, Please Specify 是，請說明	Date 日期 Details 詳情

**Part IV: Declaration 丁部：聲明**

**Identity Declaration 身份證明**

1. Is the Client an employee/account executive or the relative of any employee / account executive or director of Yuanta Group?

客戶是否元大集團之僱員/經紀或其任何僱員/經紀或董事的親屬？

No  
否

Yes, please specify  
是，請說明

Name of Employee/ Director/  
Account Executive  
僱員/董事/經紀姓名  
Relationship  
關係

\_\_\_\_\_  
\_\_\_\_\_

2. Is the client a director or an employee of a person licensed by or registered with the Securities and Futures Commission?

客戶是否證監會之持牌或註冊人士之董事或僱員？

No  
否

Yes, please specify  
是，請說明

Name of Licensed/ Registered Person

持牌或註冊人名稱

Address of Licensed/ Registered Person

持牌或註冊人地址

(Please provide consent letter from your employer 請提供閣下僱主之書面同意)

\_\_\_\_\_  
\_\_\_\_\_

3. Has the clients ever had any account opening application rejected by other financial institution?

客戶是否曾於其他金融機構開立戶口時被拒絕？

No  
否

Yes, please specify  
是，請說明

Name of Financial Institution

金融機構名稱

Reasons of Reject

拒絕原因

\_\_\_\_\_  
\_\_\_\_\_

4. Is the client, his/her spouse, partner, children, parents, spouse or partner of his/her children or a close associate\*\* with him/her entrusted with a prominent public function in any place, including a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and an important political party official?

客戶、客戶之配偶、伴侶、子女或父母、或其子女的配偶或伴侶、或與其關係密切的人\*\*是否在任何地方擔任或曾擔任重要公職，包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事？

No  
否

Yes, please specify  
是，請說明

Name and Position of PEP

政治人物姓名及職位

Country of the PEP belongs

政治人物所屬國家

PEP relationship with client

與客戶之關係

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\*\* a person is a “close associate” of an individual if the person is

如某人符合以下說明，該人即屬與某名個人(首述個人)關係密切的人：

1. Individual who has close business relations with the first-mentioned individual, including an individual who is a beneficial owner of a legal person or trust of which the first-mentioned individual is also a beneficial owner; or

該人是與首述個人有密切業務關係的個人(在首述個人屬某法人或信託的實益擁有人的情況下，包括同樣屬法人或信託的實益擁有人的個人) 或

2. Individual who is the beneficial owner of a legal person or trust that is set up for the benefit of the first-mentioned individual

該人是屬某法人或信託的實益擁有人的個人，而該法人或信託是首述個人的利益而成立的

5. Is the client a U.S. citizen or U.S. Tax resident?

客戶是否為美國公民或美國稅務居民之個人？

No, please provide IRS Form W-8BEN  
否，請提供美國 W-8BEN 表格

Yes, please provide IRS Form W-9  
是，請提供美國 W-9 表格

6. Is the client ultimately benefiting from the transactions and bearing the risk of the account?

客戶是否此帳戶的最終交易受益於交易及承擔風險人士？

Yes  
是

No, please specify  
否，請說明

Name 姓名 \_\_\_\_\_ Phone No. 電話號碼 \_\_\_\_\_

Residential Address 居住地址 \_\_\_\_\_

Identity Card/ Passport Number and Issuing Country 身份證/護照號碼及簽發國家

\_\_\_\_\_ ( )

Relationship with the Client and Reasons (if any) 與客戶的關係及原因(如有)

Please provide ID copy/ passport copy and residential address proof

請提供身份證/護照副本及住址證明

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_



have been invited to read the risk disclosure statement, and to ask questions and take independent advice if I wish.  
 本人現聲明及確認已獲得提供按照本人選擇的語言之風險披露聲明書，本人已獲邀閱讀風險披露聲明，提出問題及徵求獨立意見（如本人有此意願）。

6. I hereby declare and acknowledge that if I maintain more than one Trading Account(s) with YFHK and do not specifically request that the transaction(s) be executed under a specific account of us, YFHK can has absolute discretion in deciding the allocation method unless I instruct YFHK to the contrary.  
 本人特此接納及同意如本人於元大期貨(香港)持有多於一個之交易帳戶且並未有特別要求透過本人之其中一個指定帳戶進行交易，則元大期貨(香港)有絕對酌情權決定在本人未有發出指示時交易的分配方法。

7. I understand that YFHK reserves the unconditional right to reject my application.  
 本人明白元大期貨(香港)保留無條件拒絕本人開戶申請之權力。

<p><b>Signed by 簽署</b></p>          <p>X _____                  Signature of Individual Principle Account Holder                  個人帳戶持有人                  Name 姓名                  Date 日期</p>	<p>Accepted and Approved by                  For and on behalf of Yuanta Futures (HK) Co., Limited                  由 元大期貨(香港)有限公司 接納及批核</p>          <p>X _____                  Authorized Signature 授權簽名                  Name 姓名                  Date 日期</p>
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<p><b>Certification (to be completed by Representative of the Company or Professional<sup>#</sup>) 核證(由本公司代表或專業人士<sup>#</sup>填寫)</b></p>									
<p>I hereby certify that on the date written in Part VII, this Form was executed by Applicant(s) named in this Form (who had been previously identified to me by production of the original of his/her Identity Card or Passport to me) in my presence.                  本人現證實：在此表格庚部所寫的日期當日，此表格乃由此表格所指明的申請人(其身份已根據其向本人出示之身份證或護照正本核實) 於本人面前簽訂</p>									
<p>Signature 簽署</p>	<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td colspan="2">Name 姓名</td> </tr> <tr> <td colspan="2">Profession / Title 所屬專業 / 銜頭</td> </tr> <tr> <td colspan="2">Employer Name 僱主名稱</td> </tr> <tr> <td>Contact No. 聯絡電話</td> <td>Date 日期</td> </tr> </table>	Name 姓名		Profession / Title 所屬專業 / 銜頭		Employer Name 僱主名稱		Contact No. 聯絡電話	Date 日期
Name 姓名									
Profession / Title 所屬專業 / 銜頭									
Employer Name 僱主名稱									
Contact No. 聯絡電話	Date 日期								
<p><small># professional: Notary Public / Branch Manager of a Licensed Bank / Practising Lawyer / Certified Public Accountant (Practising) / Justice of the Peace                  #專業人士：公證人 / 持牌銀行分行經理 / 執業律師 / 執業會計師 / 太平紳士</small></p>									

<p><b>Risk Disclosure Statement 風險披露聲明</b></p>	
<p>The abovementioned risk disclosure statement(s) has/have been provided to the client in a language of the client's choice and the undersigned licensed person of the company has invited the client to read the same, ask questions and take independent advice.                  上述之風險披露聲明已由下列簽署之持牌人按照客戶選擇的語言提供，並邀請客戶閱讀該/該等風險披露聲明、提出問題及徵求獨立意見。</p>	
<p>Name 姓名 _____</p> <p>CE No. 中央編號 _____</p> <p>_____</p> <p>Signature of Licensed Person                  持牌人簽署</p>	<p><input type="checkbox"/> Face to Face 面對面</p> <p><input type="checkbox"/> Telephone 電話</p> <p>Recorded Line No.                  電話錄音號碼 _____</p> <p>Time 時間 _____</p>
<p>Date 日期 _____</p>	

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