

ACCOUNT OPENING FORM – For Individual Account

開戶表格 – 個人帳戶適用

(For Internal Use only 僅用內部使用)

Account No.:

帳戶號碼:

- 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. *請刪去不適用者，並在不適用者填上“N/A”。
 *Please delete whichever is not appropriate and mark “N/A” on the unfilled spaces.

| | | | |
|---|----------------------------|---|--------------------------|
| Part I: Client's Information 甲部：客戶資料 | | | |
| Name in English 英文姓名 | | 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 (P.O. Box is not accepted. 不接受郵政信箱) (Postal Code 郵編) | | | |
| Correspondence Address 通訊地址 <input type="checkbox"/> Same as Residential Address 與居住地址相同 <input type="checkbox"/> Same as Office Address 與辦事處地址相同 <input type="checkbox"/> Others 其他 (Postal Code 郵編) | | | |
| Mobile No. *手提電話號碼* * This phone number will also be used for receiving the one-time password for the purpose of two-factor authentication * 此電話號碼將同時用作接收雙重認證之一次性密碼 | | | |
| 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"/> Small & medium-sized Enterprises# (“SME”) 經營中小型企業# <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Housewife 家庭主婦 <input type="checkbox"/> Student 學生 <input type="checkbox"/> Others (please specify) : 其他 (請註明) : _____ | | | |
| #Please Fill in Details as Below 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 | | | |

Part II: Bank Account Information[^] 乙部：銀行戶口資料[^]

| | | |
|---|---|--|
| <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) |
| <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 | Bank Name 銀行名稱 |
| 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) | SWIFT Code 銀行電匯代碼 (For Overseas Bank 海外銀行適用) |

[^]Please provide proof of the bank account(s). [^]請提供相關帳戶之證明材料。

Part III: Financial Status 丙部：財務狀況

| | | | | | |
|--|--|--|--------------------------|--------------------------|--------------------------|
| 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 _____ | | | |
| Origin of Funding 資金來源地 | <input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> Taiwan 台灣 <input type="checkbox"/> Others 其他 _____ | <input type="checkbox"/> Mainland China 中國內地 <input type="checkbox"/> Macau 澳門 | | | |
| 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 you ever declared bankruptcy? 閣下是否曾經宣佈破產? | | | | | |
| <input type="checkbox"/> No 否 <input type="checkbox"/> Yes, Please Specify 是，請說明 Date 日期 Details 詳情 | | | | | |
| Investment Objective and Experience 投資目的及經驗 | | | | | |
| Investment Objective 投資目的 | <input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Short Term 短線 <input type="checkbox"/> Others (please specify) 其他(請註明) _____ | | | | |
| | <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"/> |
| Futures 期貨 / Options 期權 | <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"/> |
| Bonds 債券 / Funds 基金 | <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"/> |

Knowledge of Derivatives Products 衍生產品的認識

| | |
|---|---|
| 1. Have you ever undergo training or attend courses on derivative products with general knowledge of the nature and risks of derivatives? 閣下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? 閣下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? 閣下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 |

Part IV: Declaration 丁部：聲明
Identity Declaration 身份證明

1. Are you an Employee /Account Executive ("AE") / Director or the relative of any Employee / AE / Director of Yuanta Group? 閣下是否元大集團之僱員/經紀/董事或其任何僱員/經紀或董事的親屬?

No 否 Yes, please specify 是，請說明 Name of Employee/ Director/ AE 僱員/董事/經紀姓名 _____
Relationship 關係 _____

2. Are you a director or an employee of a person licensed by or registered with the Securities and Futures Commission? 閣下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 _____
CE No. of Licensed/ Registered Person 持牌或註冊人中央編號 _____
(Please provide consent letter from your employer 請提供閣下僱主之書面同意)

3. Have you ever had any account opening application rejected by other financial institution? 閣下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. Are or have

(i). you or ultimate beneficial owner;

(ii). a spouse, partner, children, parents of an individual falling within category (i) or a spouse or partner of a children of such an individual; or

(iii). a close associate** of individual falling within category (i) 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 ("Political Exposed Person" or "PEP")?

(i) 閣下或最終實益擁有人；

(ii) 類別(i)所指的個人的配偶、伴侶、子女或父母、或該名個人的子女的配偶或伴侶；或

(iii) 與類別(i)所指的個人關係密切的人**

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(「政治人物」)?

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 you 政治人物與閣下之關係 _____

** 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. Are you a U.S. citizen or U.S. Tax resident within the meaning specified in the Foreign Account Tax Compliance Act (“FATCA”) governed by the Internal Revenue Services (“IRS”) of United State of America?

閣下是否符合由美國國稅局（「IRS」）規管在外國賬戶稅收合規法案（「FATCA」）定義下所指明的美籍人士？

- No, please provide IRS Form W-8BEN Yes, please provide IRS Form W-9
否，請提供美國 W-8BEN 表格 是，請提供美國 W-9 表格

6. Are you the ultimately benefiting from the transactions and bearing the risk of the account?

閣下是否此賬戶的最終交易受益於交易及承擔風險人士？

- Yes No, please specify Name Phone No.
是 否，請說明 姓名 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 ultimate beneficial owner(s) and Reasons (if any)
與最終實益擁有人的關係及原因(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

Related Account(s) 關連帳戶

1. Are you the spouse of another client of YFHK?

閣下的配偶是否元大期貨(香港)的客戶？

- No Yes, please specify Account No.
否 是，請說明 帳戶號碼
- Name of Account Holder _____
帳戶持有人姓名

2. Are you, either alone or with your spouse, in control of 35% or above of the voting rights of any corporate client who maintain(s) account with YFHK?

閣下是否個人或與閣下配偶共同控制任何元大期貨(香港)的公司客戶 35%或以上的投票權？

- No Yes, please specify Account No.
否 是，請說明 帳戶號碼
- Name of Account Holder _____
帳戶持有人姓名

Use of Personal Data 個人資料之使用

I acknowledge that I have hereby informed Yuanta Group, its subsidiaries, its controlling company and the subsidiaries and associated company of such controlling company intends to use and transfer within Yuanta Group of my personal data for direct marketing of: (i) Financial Services and investment products and advices; (ii) Related promotion scheme; (iii) donations and contributions for charitable and/or non-profit making purposes. Such personal data includes name, contact details, products and services portfolio information, transaction pattern and behaviour, financial background and demographic data. I understand that I may, at any time, require Yuanta Futures (HK) Co., Limited (“YFHK”) to cease to use or transfer with in Yuanta Group my personal data for direct marketing through written notice.

本人明白本人獲通知元大集團之任何成員公司，其附屬公司、其控股公司及該控股公司之附屬公司及相聯公司擬使用及在元大集團之間轉移本人於元大集團之個人資料以直接促銷：(i) 金融服務和投資產品及建議；(ii) 相關優惠計劃；(iii) 為慈善及/或非牟利目的 而作出之捐款及資助。該等個人資料包括姓名、聯絡資料、產品及服務投資組合信息、交易模式及行為、財務背景及統計數據。本人明白本人可以隨時以書面形式通知元大期貨(香港)有限公司以停止集團在直接促銷中使用本人之個人資料。

- I agree to the aforesaid use of my personal data in Yuanta Group.
本人同意元大集團使用本人之個人資料。
- I object to the use of or transfer my personal data in direct marketing within Yuanta Group.
本人反對元大集團使用或轉移本人之個人資料。

Part V: Client's Acknowledgement and Signature 戊部：客戶確認及簽署

1. I hereby declare that the information given above is true, correct and complete and I have not willfully withheld any material fact(s), I authorize Yuanta Futures (HK) Co., Limited ("YFHK") to confirm this from any source YFHK considers appropriate, including the conduct of any credit checks on us. I understand that I may be required to provide additional information or submit documentary proof as to the information provided in this form when requested by YFHK. I confirm that I will update YFHK immediately on any changes.
本人謹此聲明上述資料乃屬真實、正確及完整，本人並未刻意隱瞞任何重要事實。本人授權元大期貨(香港)有限公司(“元大期貨(香港)”)可向任何元大期貨(香港)認為適當的資料來源查證，包括進行任何對於本人的信貸檢查。除上述提供的資料外，本人清楚元大期貨(香港)也許要求本人提供更多相關的資料或證明文件。本人確認如所提供之資料有任何更改，均會立刻通知元大期貨(香港)。
2. I confirm that I have received, read and understood the “Terms and Conditions” and this Account Opening Form applicable to us including but not limited to the relevant Risk Disclosure Statements, General Terms and Disclaimers, Additional Terms, which may be entered into in writing between YFHK and us from time to time.
本人證實已收取、閱讀及明白“條款及條件”及此開戶表格，包括但不限於有關風險披露聲明，一般條款及免責聲明，附加條款及任何由本人與元大期貨(香港)不時訂立之書面補充條款及條件。
3. I hereby accept and agree to be bound by the Terms and Conditions. YFHK may amend the Terms and Conditions from time to time by giving us notice of such amendment. Unless YFHK has received my request to close the account(s), if I continue to use the account(s) I shall be deemed to have accepted such changes.
本人特此接納及同意受條款及條件約束。元大期貨(香港)有權不時修訂條款及條件，並向本人發出通知。除非元大期貨(香港)收到本人通知取消帳戶，否則本人繼續使用帳戶即表示本人接納該修訂條款及條件。
4. I hereby confirm that the above information provided in relation to “Knowledge of Derivatives Product” is true and complete. I also understand that YFHK will reply on the above information provided to assess whether I have acquired knowledge of derivative products in order to comply with relevant requirements of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.
本人確認上述有關“衍生產品的認識”之資料完全真實及完整，並明白元大期貨(香港)將根據上述資料界定本人是否擁有對衍生產品之認識，以符合證券及期貨事務監察委員會持牌人或註冊人操守準則之有關要求。
5. I hereby declare and acknowledge that I have fully understood the risk disclosure statement in the language of my choice. I 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。

Signaed by 簽署

X _____
Signature Specimen of Individual Account Holder
個人帳戶持有人簽署式樣
Name 姓名
Date 日期

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

X _____
Authorized Signature 授權簽名
Name 姓名
Date 日期

Certification (to be completed by Representative of the Company or Professional[#]) 核證(由本公司代表或專業人士[#]填寫)

I hereby certify that on the date written in **Part V**, 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**戊部**所寫之日期當日，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

| | | |
|--------------|---|---------|
| Signature 簽署 | Name 姓名 | |
| | Profession / Title 所屬專業 / 銜頭 | |
| | Members / Certified No. / CE No. 會員 / 證書號碼 / 中央編號 | |
| | Employer Name 僱主名稱 | |
| | Contact No. 聯絡電話 | Date 日期 |

professional: Notary Public / Branch Manager of a Licensed Bank / Practising Lawyer / Certified Public Accountant (Practising) / Justice of the Peace / Chartered Secretary

#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 / 特許秘書

Risk Disclosure Statement 風險披露聲明

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。

Name 姓名 _____

Face to Face 面對面

CE No. 中央編號 _____

Telephone 電話

Signature of Licensed Person
持牌人簽署

Date 日期 _____

Recorded Line No.

電話錄音號碼 _____

Time 時間 _____