Select Investment Services Limited
弘富投資服務有限公司
1713B-1714, 17/F, Hong Kong Plaza, No. 188 Connaught Road West, Western District, Hong Kong
Tel : (852) 2804 2968 Fax: (852) 3104 9938
SFC CE No: AXU865

D

Account Opening Form – Individual / Joint Account
開 戶 表 – 個人 / 聯名帳戶

Account Type: 帳戶類別: ☐ Cash Account 現金買賣帳戶 ☐ Securities Margin Account 證券保證金買賣帳戶 ☐ Advisory Services 提供證券意見服務 Account No.: ________________________ 帳戶號碼:

☐ Individual Account 個人帳戶 ☐ Joint Account 聯名帳戶

Online account 網上交易: ☐ Yes 是 ☐ No 否

Please attach 請附上:

☐ Copy of Primary (and Joint) Client's ID card or passport. 個人(及聯名) 帳戶持有人的身份證或護照副本。

☐ Copy of a bank statement or utility bill within the last 3 months for proof of home address. 最近 3 個月的銀行結單或公共服務單據副本作為提供住址證明。

☐ If your designated bank account is outside Hong Kong, copy of a bank account statement within the last 3 months. 若指定銀行為香港以外銀行帳戶，請提供最近 3 個月的銀行結單副本。

Please complete in BLOCK LETTERS 請用正楷填寫:

First Account Applicant's Personal Information 第一戶口申請人之個人資料	
Name 姓名: Last Name 姓 Given Name 名 ☐Mr.先生 ☐ Mrs.太太 ☐Miss 小姐	
HKID / Passport No. 身份證 / 護照號碼:	
Nationality 國籍:	
Date of Birth 出生日期: (dd/mm/yyyy) (日/月/年)	
Home Phone No. 住宅電話:	Mobile Phone No. 手提電話:
Fax No. 傳真號碼:	E-mail address 電郵地址:
Residential Address 住宅地址:	
Name of Current Employer 目前僱主名稱:	
Nature of Business 商業性質:	Position 職位:
Year(s) with Existing Employer 任職年期:	Office e-mail address 公司電郵地址:
Office Phone No. 公司電話:	Office Fax No. 公司傳真號碼:
Office Address 公司地址:	

Select Investment Services Limited
弘富投資服務有限公司
1713B-1714, 17/F, Hong Kong Plaza, No. 188 Connaught Road West, Western District, Hong Kong
Tel : (852) 2804 2968 Fax: (852) 3104 9938
SFC CE No: AXU865

D

Daily Statements / Contract Notes to be sent to 日結單 / 買賣單據寄往:*

- ☐ Personal e-mail address 個人電郵地址
- ☐ Home Address 住宅地址
- ☐ Office e-mail Address 公司電郵地址
- ☐ Business Address 商業地址

Monthly Statements to be sent to* 月結單寄往 *

- ☐ Personal e-mail address 個人電郵地址
- ☐ Home Address 住宅地址
- ☐ Office e-mail Address 公司電郵地址
- ☐ Business Address 商業地址

* Only one type of postal address is allowed for all cases (if chosen) 於所有情況下，衹准許一種郵遞地址類別(若選擇的話)

Are you a licensed/ registered securities or commodities professional, or an employee of a licensed / registered person (e.g. employee of a brokerage firm, bank etc.) with the Securities and Futures Commission ?

客戶是否證券及期貨事務監察委員會註冊持牌法團的僱員?

☐ No否 ☐ Yes, please specify 是，請列明

Do you have any relative(s) working in Select Investment Services Limited?

閣下是否與弘富投資服務有限公司任何僱員有親屬關係？

☐ No 否 ☐ Yes, please specify 是，請列明

Account Applicant's Bank Details 戶口申請人的銀行資料	
All monies payable to you are to be credited to the following bank account (Select Investment Services Limited Clients must designate a bank account) 須付予客戶的款項將會被轉入下列銀行帳戶 (弘富投資服務有限公司客戶必須指定一個銀行帳戶)	
Bank Name 銀行名稱	Bank Account Currency / Number 銀行帳戶貨幣 / 號碼 ☐ HKD 港元 A/C# 帳戶號碼 ____________________ ☐ USD 美元 A/C# 帳戶號碼 ____________________ ☐ RMB 人民幣 A/C# 帳戶號碼 ____________________
Bank Account Holder's Name (name(s) shown on bank statements and this Form should match) 帳戶持有人名稱(須與客戶的銀行結單及此表格上的名稱相符)	
If bank account is outside Hong Kong, please state location and SWIFT code (if applicable) 若為香港以外銀行帳戶，請提供地區 及 SWIFT 編號 (若適用者)	

Select Investment Services Limited
弘富投資服務有限公司
1713B-1714, 17/F, Hong Kong Plaza, No. 188 Connaught Road West, Western District, Hong Kong
Tel : (852) 2804 2968 Fax: (852) 3104 9938
SFC CE No: AXU865

D

First Account Applicant's Financial Profile and Investment Experience 第一戶口申請人財務紀錄及投資經驗

This following information is obtained to fulfill the "Know your client requirements" of the Securities and Futures Commission of Hong Kong.

所需資料是根據香港證券及期貨監察委員會所制定的認識你的客戶要求而索取

Your financial information 客戶財務資料:

(a) Annual income (HKD) 每年收入(港元)

☐ Under/ 少於 $100,000 ☐ $100,000 - $500,000

☐ $500,001 - $1,000,000 ☐ Above/ 多於 $1,000,000 (please specify 請註明) ________________

(b) Total net worth (HKD) 客戶資產淨值 (港元) ________________

(c) Do you own any property / real estate 客戶是否擁有任何資產 / 物業?

☐ No 沒有 ☐ Yes, details are 有，詳情為 : ____

☐ With financing 有借貸 ☐ Without financing 無借貸

(d) Source of funds / Wealth 資金/財富來源 : ____

Your investment experience 客戶投資經驗:		Experience (in year(s)) 經驗 (年)
☐ HK listed securities (average trade size) 香港上市證券 (平均交易額)	HKD 港元________________	____________
☐ Overseas listed securities (average trade size) 海外上市證券 (平均交易額)	HKD 港元________________	____________
☐ HK futures and options (number of contracts and product(s)) 香港期貨及期權 (合約數量及產品)	________________________	____________
☐ Overseas futures and options (number of contracts and product(s)) 海外期貨及期權 (合約數量及產品)	________________________	____________
☐ Short selling of listed securities 沽空上市證券	☐ Yes 有 ☐ No 沒有	____________

Your investment objectives and risk tolerance 客戶投資目的及可承受風險:

(a) Investment objectives 投資目的

☐ Income 收入 ☐ Hedging 對沖 ☐ Capital Gain 資本增值 ☐ Speculation 投機

(b) Risk tolerance 可承受風險

☐ Low 低風險 ☐ Medium 中等風險 ☐ High 高風險

Select Investment Services Limited
弘富投資服務有限公司
1713B-1714, 17/F, Hong Kong Plaza, No. 188 Connaught Road West, Western District, Hong Kong
Tel : (852) 2804 2968 Fax: (852) 3104 9938
SFC CE No: AXU865

D

Second Account Applicant's Personal Information 第二戶口申請人之個人資料	
Name 姓名: Last Name 姓 Given Name 名 ☐Mr.先生 ☐ Mrs.太太 ☐Miss 小姐	
ID Card / Passport No. 身份證 / 護照號碼:	
Nationality 國籍:	
Date of Birth 出生日期: (dd/mm/yyyy) (日/月/年)	
Home Phone No. 住宅電話:	Mobile Phone No. 手提電話:
Fax No. 傳真號碼:	E-mail address 電郵地址:
Residential Address 住宅地址:	
Name of Current Employer 目前僱主名稱:	
Nature of Business 商業性質:	Position 職位:
Year(s) with Existing Employer 任職年期:	Office e-mail address 公司電郵地址:
Office Phone No. 公司電話:	Office Fax No. 公司傳真號碼:
Office Address 公司地址:	

Second Account Applicant's Financial Profile and Investment Experience 第二戶口申請人財務紀錄及投資經驗
This following information is obtained to fulfill the "Know your client requirements" of the Securities and Futures Commission of Hong Kong. 所需資料是根據香港證券及期貨監察委員會所制定的認識你的客戶要求而索取
Your financial information 客戶財務資料: (a) Annual income (HKD) 每年收入(港元) ☐ Under/ 少於 $100,000 ☐ $100,000 - $500,000 ☐ $500,001 - $1,000,000 ☐ Above/ 多於 $1,000,000 (please specify 請註明) __________________ (b) Total net worth (HKD) 客戶資產淨值 (港元) __________________ (c) Do you own any property / real estate 客戶是否擁有任何資產 / 物業? ☐ No 沒有 ☐ Yes, details are 有，詳情為 : ____ ☐ With financing 有借貸 ☐ Without financing 無借貸 (d) Source of funds / Wealth 資金/財富來源 : ____

Select Investment Services Limited
弘富投資服務有限公司
1713B-1714, 17/F, Hong Kong Plaza, No. 188 Connaught Road West, Western District, Hong Kong
Tel : (852) 2804 2968 Fax: (852) 3104 9938
SFC CE No: AXU865

D

Your investment experience 客戶投資經驗:		Experience (in year(s)) 經驗 (年)
☐ HK listed securities (average trade size) 香港上市證券 (平均交易額)	HKD 港元__________________	_____________
☐ Overseas listed securities (average trade size) 海外上市證券 (平均交易額)	HKD 港元__________________	_____________
☐ HK futures and options (number of contracts and product(s)) 香港期貨及期權 (合約數量及產品)	____________________________	_____________
☐ Overseas futures and options (number of contracts and product(s)) 海外期貨及期權 (合約數量及產品)	____________________________	_____________
☐ Short selling of listed securities 沽空上市證券	☐ Yes 有 ☐ No 沒有	_____________

Your investment objectives and risk tolerance 客戶投資目的及可承受風險:

(a) Investment objectives 投資目的

☐ Income 收入 ☐ Hedging 對沖 ☐ Capital Gain 資本增值 ☐ Speculation 投機

(b) Risk tolerance 可承受風險

☐ Low 低風險 ☐ Medium 中等風險 ☐ High 高風險

Signing Arrangement 簽署安排 (Only applicable for joint account applicants) (只適用於聯名戶口申請者)

You decide that the valid document in connection with the operation (including fund withdrawal and asset transfer) of your account must be signed by any______________ of account holders.

閣下決定所有戶口操作(包括提款及資產轉移)的有效文件必須由其中 ______________ 位戶口持有人簽署。

Declaration and Client's Signature 聲明和客戶簽署

The Account Applicant(s) represent(s) that the information on this Account Opening Form is true, complete and correct and that the representation in the attached Customer Agreement of Select Investment Services Limited (the "Agreement") are accurate. Information on this Account Opening Form and representations in the Agreement are collectively referred as "The Account Opening Information". Select Investment Services Limited is entitled to rely fully on such Account Opening Information for all purposes, unless Select Investment Services Limited receives notice in writing of any change. Select Investment Services Limited is authorized at any time to contact anyone, including but without limitation to banks, brokers or any credit agency for purpose of verifying the Account Opening Information. All transactions to be concluded with or through Select Investment Services Limited shall be subject to the terms and conditions of the Agreement. Please read the Agreement carefully before signing this Account Opening Form. By signing below, the Account Applicant(s) confirm(s) that he/she/they has/have read, understood and accepted the Agreement, in particular the section entitled Risk Disclosure Statements and shall be bound by the Agreement as it may be amended from time to time.

Select Investment Services Limited
弘富投資服務有限公司
1713B-1714, 17/F, Hong Kong Plaza, No. 188 Connaught Road West, Western District, Hong Kong
Tel : (852) 2804 2968 Fax: (852) 3104 9938
SFC CE No: AXU865

The Account Applicant(s) acknowledge(s) that he/she/they has/have received a copy of the Agreement and hereby confirm(s) that Select Investment Services Limited has provided the Risk Disclosure Statements annexed in the Agreement in a language of the choice of the Account Applicant(s) (English or Chinese) and the Account Applicant(s) has/have been invited to read the Risk Disclosure Statements, to take questions and take independent advice if he/she/they wish(es).

(Applicable to application for U.S. Securities Trading Services)

The Customer represents, warrants, confirms and undertakes as follows:

a. where the Customer trades any Products traded in the U.S., that the Customer is not a "U.S. Person" as stipulated in Client Agreement, and that in the event that the Customer becomes such a person, the Customer will notify SISL immediately and will transfer all of his holdings in Products traded in the United States within a month of the occurrence of the event or any other period as determined by SISL, and the Customer acknowledges that in that case all the income, proceeds, interest and distribution arising from such Products shall be subject to the maximum withholding tax rate or any other withholding tax rate as determined by SISL from time to time;
b. that the Customer is not a director or officer, or shareholder who holds 10% or more of the interests in the shares of, a company listed on any stock exchange in the United States;
c. that the Customer is not:

   i. registered or qualified with the Securities and Exchange Commission of the United States, the Commodities Futures Trading Commission of the United States, any state securities agency, any securities exchange or association, or any commodities or futures contract market or association ;
   ii. engaged as "investment advisor" as that term is defined in Section 202 (11)(a) of the Investment Advisor's Act of 1940 (whether or not registered or qualified under that Act); or
   iii. employed by a bank or other organization exempt from registration under Federal and/or state securities laws to perform functions that would require him to be so registered or qualified if he were to perform such functions for an organization not so exempt, and

in the event that the customer becomes so registered, qualified, engaged or employed he will notify SISL immediately. In the event that the Customer is or becomes deemed by any U.S. Market Data Provider to be so registered, qualified, engaged or employed the Customer agrees that SISL shall have the right to pass on to the Customer any additional market data subscription fees and any other fees and costs incurred as a result of or in connection with the foregoing.

戶口申請人茲聲明在本開戶申請表內的資料屬實、完整及正確，而附上弘富投資服務有限公司的【客戶協議】(如適用包括其它附件) (以下簡稱為《協議》) 內的一切申述準確。本開戶申請表內的資料及《協議》內的申述，以下統稱『開戶資料』，除非弘富投資服務有限公司接到更改有關『開戶資料』內容的書面通知，弘富投資服務有限公司有權在任何用途上完全依賴這些『開戶資料』。弘富投資服務有限公司有權隨時聯絡任何人，包括但不限於戶口申請人之銀行、經紀或任何信貸調查機構，以求証實『開戶資料』

內所載之內容。所有由戶口申請人或透過弘富投資服務有限公司進行之交易均受《協議》之條文限制。請於申請戶口前細閱《協議》各項條文。於下方簽署乃確認戶口申請人已細閱、明白及同意《協議》(尤其【風險披露聲明】一節) 及並接受該等現時有效及不時修改的條文約束。

戶口申請人謹此聲明戶口申請人已收妥【客戶協議】及確認弘富投資服務有限公司已按照戶口申請人選擇的語言(中文或英文)獲提供附於【客戶協議】內的【風險披露聲明】，及已獲邀閱讀該等聲明、提出問題及徵求獨立的意見(如戶口申請人有此意願)。

(適用於美國證券買賣出服務的申請)

客戶陳述、保證、確認和承諾如下：.

a. 倘若客戶買賣任何在美國交易的產品，客戶並非「美國人士」，而且，倘若客戶成為「美國人士」，客戶應立即通知本行，並於該等情況發生後一個月內 (或本行決定的任何其他時限內) 將其持有的所有在美國交易的產品的權益轉讓；客戶確認，在該等情況下，因該等產品產生的所有入息、收益、利息和分派均應按最高的預扣稅稅率或本行不時決定的任何其他預扣稅預扣；
b. 客戶並非在美國任何證券交易所上市的任何公司的董事或行政人員，亦非持有任何此類上市公司的百分之十或以上股權的股東；
c. 客戶:
   i. 並無於美國證券交易委員會、美國商品期貨交易委員會、任何州份的證券代理機構、任何證券交易所或協會，或者任何商品或期貨合約市場或"協會註冊或具備上述機構或組織的會員資格；
   ii. 並無受聘擔任為《1940年投資顧問法》第 202 (11)(a) 條所定義的「投資顧問」 (不論是否已按該法注冊或獲得該法要求的資格)；或
   iii. 並無受顧於獲豁免根據聯邦及/或州的證券法律注冊的銀行或其他機構以履行其若受顧於不獲該等豁免的機構則須如此註冊或具備如此資格方可履行的職責，及

倘若客戶後來如上述所言獲得注冊、獲得資格、受聘或受顧，客戶應立即通知本行。倘若客戶成為或被任何美國市場數據提供者視為如上述已經註冊、獲得資格、受聘或受僱的人士，則客戶同意本行有權任何額外的市場數據訂閱費以及由此引起的或與之有關的任何其他收費和費用轉嫁給客户。

First Account Applicant's Signature 第一戶口申請人簽署	Second Account Applicant's Signature 第二戶口申請人簽署
Date日期	Date日期

Select Investment Services Limited
弘富投資服務有限公司
1713B-1714, 17/F, Hong Kong Plaza, No. 188 Connaught Road West, Western District, Hong Kong
Tel : (852) 2804 2968 Fax: (852) 3104 9938
SFC CE No: AXU865

D

IF THIS DOCUMENT IS NOT EXECUTED BY THE CLIENT(S) IN FRONT OF EMPLOYEE OF SELECT INVESTMENT SERVICES LIMTIED OR SUBMITTED WITH AN APPROPRIATE CHEQUE⊕, BELOW SHOULD BE SIGNED BY A SPECIFIED PERSON§ [if applicable] 若客戶 / 聯名客戶並非在弘富投資服務有限公司的僱員面前簽立此文件或連同適當的支票⊕一併遞交，則以下應由指定人士§ 簽署 [若適用者]

⊕ 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 "Select Investment Services Limited" for not less than HKD10,000 (or such other amount as may be advised by Select Investment Services Limited). Your approved new account will not be activated until the cheque is cleared. 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 "弘富投資服務有限公司" 及其數額不得少於 10,000 港元(或弘富投資服務有限公司通知客戶的其他數額)。客戶被批核的新帳戶必須待支票兌現後才可使用。

§ Any SFC licensed or registered person, an affiliate of such person, a Justice of the Peace, a Branch Manager of a bank, Certified Public Accountant, Lawyer or Notary Public. 任何香港證監會持牌人或註冊人、其聯繫人士、太平紳士、銀行分行經理、執業會計師、律師或公證人。

The undersigned person hereby certify the signing of this document (together with the above Agreement) by the above Client / Joint Clients (please delete either one) and sighting of related identity documents of such Client(s). 下述簽署人士謹此驗證上述客戶 / 聯名客戶(請刪去其中一項) 簽立此文件(連同該協議書) 及其有關的身份證明文件 :-

Signed and Certified by 簽署及驗證

______________________________ ______________________________

Signature 簽署 Name 姓名

______________________________ ______________________________

Profession / Title 所屬專業 / 職銜 Date (mm/dd/yy) 日期 (月 / 日 / 年)

Contact details 聯絡資料

Company Name 公司名稱:

Nature of Business 商業性質: Office e-mail address 公司電郵地址:

Office Phone No. 公司電話: Office Phone No. 公司電話:

Office Address 公司地址:

Select Investment Services Limited
弘富投資服務有限公司
1713B-1714, 17/F, Hong Kong Plaza, No. 188 Connaught Road West, Western District, Hong Kong
Tel : (852) 2804 2968 Fax: (852) 3104 9938
SFC CE No: AXU865

D

FOR OFFICE USE ONLY 以下由弘富投資服務有限公司填寫

I/We, the representative(s) of Select Investment Services Limited, hereby declare and confirm that I/we have provided the Risk Disclosure Statements annexed hereto in a language of the Client's choice (English or Chinese) and invited the Client / Joint Client to read the Risk Disclosure Statements, ask questions and take independent advice if the Client / Joint Client wishes.

本人/吾等為弘富投資服務有限公司的註冊職員，並謹此聲明及確認本人/吾等已按照上述客戶/聯名客戶所選擇的語言(中文或英文) 提供附於本表的風險披露聲明及邀請客戶閱讀該風險披露聲明、提出問題及徵求獨立的意見(如客戶/聯名客戶有此意願)。

The above Client / Joint Client signature(s) was / were made in my / our presence.

以上客戶 / 聯名客戶簽署乃於本人 / 吾等 面前簽立。

________________________	________________________	________________________
Signature of Staff	Name and CE No. of Staff	Date (mm/dd/yy)
職員簽署	職員名稱及中央編號	日期 (月/日/年)

How long have you known the Client(s) or who introduced to you the Client(s)? 你認識這客戶/聯名客戶已多久或誰人介紹這客戶/聯名客戶? ______________________

This sentence must be deleted if not applicable 若不適用者，此句必須被刪去。

CHECKED BY 複核:

________________________	________________________	________________________
Signature of Staff	Name	Date (mm/dd/yy)
職員簽署	職員名稱	日期 (月/日/年)

APPROVED AND ACCEPTED BY 批核及接納:

________________________	________________________	________________________
Signature of Staff	Name and CE No. of Staff	Date (mm/dd/yy)
職員簽署	職員名稱及中央編號	日期 (月/日/年)