



帳戶號碼：  
Account No.

Huayu Securities Limited ("Company" or "HYS") is an Exchange Participant of the Hong Kong Exchanges and Clearing Limited; Securities and Futures Commission ("SFC") licensed corporation in respect of Type 1 (dealing in securities) and Type 4 (advising on securities) regulated activity (CE number is ACS416). 華裕證券有限公司 ("本公司" 或 "華裕證券") 為香港交易及結算所有限公司之交易所參與者；證券及期貨事務監察委員會 ("證監會") 第 1 類 (證券交易) 及第 4 類 (就證券提供意見) 受規管活動的持牌法團，中央編號 ACS416。

This Securities Trading Account Application Form ("Account Application"), together with the Huayu Securities Limited Client Agreement ("Agreement") (as the same may be supplemented, amended and modified from time to time) shall form part of the agreement made between you and Huayu Securities Limited in relation to this Securities Trading Account and the services provided in relation thereto. Client must read this Account Application and the Huayu Securities Limited Client Agreement carefully before signing this Account Application. 該證券交易帳戶申請表格，將會連同華裕證券有限公司的客戶協議 ("客戶協議") (有可能因應需要而作補充、更正或修改) 作為日後華裕證券有限公司向您提供有關證券帳戶服務的協議。客戶在簽署此表格前，必需細閱此申請表格及華裕證券有限公司的客戶協議內容。

## INDIVIDUAL SECURITIES ACCOUNT APPLICATION FORM (CASH) 個人證券帳戶申請表格 (現金)

**China Connect Service 中華通交易** (Extra 2 working days 需要 2 個工作天申請)

☐ Yes 需要 (Provide CNY Bank Account 另提供人民幣帳戶) ☐ No 不需要

**Electronic Trading (Internet and Mobile Channel) 選用電子交易服務 (包括互聯網及手提電話)**

☐ Yes 需要 ☐ No 不需要

**Streaming Quote Service (per month)**  
串流報價服務 (每月)

☐ No 不需要  
☐ Yes 需要 (Extra Monthly Fee 另收取月費)

**Two Factor Authentication Service (per month)**  
雙重認證服務 (每月)

☐ E-token / Biometric 電子保安編碼 / 生物認證 (Default 預設)  
☐ Mobile telephone SMS 手機短訊 (Extra Monthly Fee 另收取月費)

I confirm that all combined statement; contract notes and correspondence to be sent to (Please tick one only)

本人確認所有綜合結單、成交單據及通訊送交 (只可選一項)

☐ E-mail address 電郵地址 (Default 預設) E-mail address 電郵地址: \_\_\_\_\_

☐ Home address 住宅地址 (Extra Monthly Fee 另收取月費) ☐ Office address 公司地址 (Extra Monthly Fee 另收取月費)

**Statement Language 結單語言**

☐ Traditional Chinese 繁體中文 ☐ Simplified Chinese 簡體中文 ☐ English 英文

## Bank Account Information 銀行戶口資料

Unless otherwise instructed by client, all monies payable to client is to be credited to the **MAIN** bank account

除經客戶另行指示外，付予客戶的款項將存入 (主) 銀行帳戶

Name of Bank 銀行名稱	Account No. 帳戶號碼	Currency 貨幣
(Main 主)		
(Ref 副)		
(For China Connect 中華通專用)		RMB 人民幣

(Note: Name of bank account holder must be in the name of the Client 注意：銀行帳戶名稱必需與客戶名稱相同)

## 1. CLIENT INFORMATION 客戶資料

Client Name 客戶姓名	<input type="checkbox"/> Mr. 先生 <input type="checkbox"/> Ms. 女士 <input type="checkbox"/> Mrs. 太太		
	Chinese 中文 _____ English 英文 _____		
ID/ Passport No. 身份證/ 護照號碼	Date of Birth 出生日期 (DD/MM/YY 日/月/年)		
Nationality 國籍	Place of Birth 出生地點		
Residential Address 住宅地址			

華裕國際控股有限公司  
HY International Holdings Limited  
九龍尖沙咀廣東道 5 號海洋中心 9 樓 930 室  
Suite 930, 9/F Ocean Centre Harbour City, 5 Canton Road, Kowloon Hong Kong

華裕證券有限公司  
Huayu Securities Limited

華裕資產管理有限公司  
Huayu Asset Management Ltd  
http://www.huayu-holdings.com  
Tel: +852 29 055 055 Fax: +852 2845 3538

華裕資本有限公司  
HY Capital Co., Ltd

Residence Status 居住狀況	<input type="checkbox"/> Self-owned 自置物業 <input type="checkbox"/> Mortgage 按揭物業 <input type="checkbox"/> Rented 租住 <input type="checkbox"/> Quarters 宿舍 <input type="checkbox"/> Living with family 與家人同住			
Mobile Phone No. 手提電話		Residential Phone No. 住宅電話		Fax No. 傳真
Education Level 教育程度	<input type="checkbox"/> Secondary or below 中學或以下 <input type="checkbox"/> Tertiary or above 大專或以上 <input type="checkbox"/> Professional Qualification 具專業資格 <input type="checkbox"/> Others 其他 (please specify 請說明) _____			
Employment Status 就業情況	<input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Retired 退休 <input type="checkbox"/> Unemployed 待僱 <input type="checkbox"/> Others 其他 (please specify 請說明) _____			
Name of Employer 僱主名稱			Office Phone No. 公司電話	
Business Nature 業務性質		Position 職位	Years of Employment 就業年數	
Office Address 公司地址	<div></div> <div></div> <div></div>			

## 2. FINANCIAL SUMMARY 財務資料簡要

Annual Income 每年總收入	<input type="checkbox"/> ≤ HK\$200,000 <input type="checkbox"/> HK\$200,001 – HK\$500,000 <input type="checkbox"/> HK\$500,001 – HK\$1,000,000 <input type="checkbox"/> HK\$1,000,001 – HK\$3,000,000 <input type="checkbox"/> HK\$3,000,001 – HK\$5,000,000 <input type="checkbox"/> ≥ HK\$5,000,001			
Approximate Net Asset Value 資產淨值概算	<input type="checkbox"/> ≤ HK\$500,000 <input type="checkbox"/> HK\$500,001 – HK\$2,000,000 <input type="checkbox"/> HK\$2,000,001 – HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001 – HK\$8,000,000 <input type="checkbox"/> ≥ HK\$8,000,001			
Source of funds 資金來源	<input type="checkbox"/> Salary/ Business Income 薪金/ 營業收入 <input type="checkbox"/> Return on Investment 投資回報 <input type="checkbox"/> Pension 退休金 <input type="checkbox"/> Others 其他 (please specify 請說明) _____			
Origin of funds 資金來源地	<input type="checkbox"/> Hong Kong 香港 <input type="checkbox"/> P.R.C. 中國 <input type="checkbox"/> Others 其他 (please specify 請說明) _____			
Source of Wealth 財富來源	<input type="checkbox"/> Salary/ Business Income 薪金/ 營業收入 <input type="checkbox"/> Return on Investment 投資回報 <input type="checkbox"/> Pension 退休金 <input type="checkbox"/> Others 其他 (please specify 請說明) _____			

## 3. DISCLOSURE OF IDENTITY 身份披露

I declare and confirm that (please tick as appropriate): 本人聲明及確認如下 (請於適當處 '✓'):

i. ☐ I am the ultimate beneficial owner of the Account; or 本人乃賬戶之最終實益擁有人; 或

☐ I am not the ultimate beneficial owner of the Account. The ultimate beneficial owner(s) is/ are:  
本人並非賬戶之最終實益擁有人。最終實益擁有人如下:

Name ID/ Passport/ C.I./ BR No.  
姓名: \_\_\_\_\_ 身份證/ 護照/ 公司註冊証/ 商業登記証號碼: \_\_\_\_\_  
Address Tel. No.  
地址: \_\_\_\_\_ 電話號碼: \_\_\_\_\_

ii. Are you, your spouse, child or parent currently or previously entrusted with prominent public functions (e.g. Heads of State, Heads of government, senior politicians/ important political party officials, senior government officials, senior judicial officials, senior military officials, senior executives of any state-owned enterprises or religious leaders) for any city, region or country?  
閣下或其配偶、子女或父母是否現在或曾經就任何城市、地區或國家擔任重要公職 (例如: 國家元首、政府首長、資深從政者/ 重要政黨幹事、高級政府官員、高級司法官員、高級軍事官員、國有企業高級行政人員或宗教領袖)?

☐ No 否      ☐ Yes 是 (Please answer the following questions 請回答以下問題)

- Name and Position of PEP 政治人物姓名及職位: \_\_\_\_\_
- Country the PEP belongs 政治人物所屬國家: \_\_\_\_\_
- PEP relationship with client 與客戶之關係: \_\_\_\_\_



- iii. Are you a licensed/ registered person, or a director or an employee of any licensed corporation/ registered institution of Securities and Futures Commission in Hong Kong?

閣下是否香港證券及期貨事務監察會之持牌或註冊人士或任何持牌法團或註冊機構之董事或僱員？

☐ No 否 ☐ Yes 是 (Please attach consent letter from your employer 請提供閣下僱主的同意信)

Name of Licensed Corporation/ Registered Institution 持牌法團或註冊機構名稱: \_\_\_\_\_

- iv. Are you a U.S. citizen or resident in the U.S. for tax purposes, and without U.S. Indicia?

閣下就課稅目的而言是否美國公民及/ 或美國居民及沒有下列的美國指標？

1. U.S. address (residence/ mailing/ P.O. Box) 美國地址 (居住地址/ 通訊地址/ 郵政信箱地址)
2. U.S. telephone number 美國電話號碼
3. Standing instructions to transfer funds to an account maintained in the U.S. 常設指示將資金轉移至美國的保留帳戶
4. Effective power of attorney or signatory authority granted to a person with a U.S. indicia 有效委託或擁有簽字權人士擁有美國指標

☐ No 否 ☐ Yes 是 U.S. TIN (SSN/EIN) 美國稅籍編號 (SSN/EIN): \_\_\_\_\_

In case the above is inapplicable, please complete and submit the

**Self-Certification Form for Foreign Account Tax Compliance Act ("FATCA") (Individual)**

如上述指標不適用，請另外填寫及遞交海外帳戶稅務合規法案 ("FATCA") 的客戶聲明書 (個人)

#### 4. TAX RESIDENCY 稅務居民資料

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.

請提供以下資料，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。

If the account holder is a tax resident of Hong Kong, the TIN is the Hong Kong Identity Card Number.

If a TIN is unavailable, provide the appropriate reason A, B or C:

如帳戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。如沒有提供稅務編號，必須填寫合適的理由：

- ❖ Reason A – The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.  
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 B – The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.  
理由 B – 帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得稅務編號的原因。
- ❖ Reason C – TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.  
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。

(a) Jurisdiction of Residence 居留司法管轄區	(b) TIN 稅務編號	Enter Reason A, B or C if no TIN is available 如沒有提供稅務編號， 填寫理由 A、B 或 C	Explain why the account holder is unable to obtain a TIN if you have selected Reason B 如選取理由 B，請解釋帳戶持有人不能取得稅務編號的原因

華裕國際控股有限公司

HY International Holdings Limited

九龍尖沙咀廣東道 5 號海洋中心 9 樓 930 室

Suite 930, 9/F Ocean Centre Harbour City, 5 Canton Road, Kowloon Hong Kong

華裕證券有限公司

Huayu Securities Limited

華裕資產管理有限公司

Huayu Asset Management Ltd

<http://www.huayu-holdings.com>

Tel: +852 29 055 055 Fax: +852 2845 3538

華裕資本有限公司

HY Capital Co., Ltd

## 5. RELATED ACCOUNT 關連帳戶

- i. Do you, the ultimate beneficial owner(s) of the Account, have any relationship with the director(s) or employee(s) of Huayu Securities Limited? 閣下作為此帳戶最終實益擁有人與華裕證券有限公司之董事或僱員是否有親屬關係?

☐ No 否 ☐ Yes 是 Name of the director(s) or employee(s) 董事或僱員之姓名: \_\_\_\_\_  
Relationship 關係 ☐ Spouse 配偶 ☐ Father/ Mother/ Son/ Daughter 父 / 母 / 子 / 女  
☐ Others 其他 (please specify 請說明) \_\_\_\_\_

- ii. Are you, either alone or with your spouse in control of 35% or more of the voting rights of any client of Huayu Securities Limited? 閣下是否個人或與閣下的配偶共同控制任何華裕證券有限公司的客戶 35% 或以上的投票權?

☐ No 否 ☐ Yes 是 Name 姓名: \_\_\_\_\_ Account No 帳戶號碼: \_\_\_\_\_

- iii. Is your spouse a client of Huayu Securities Limited? 閣下的配偶是否華裕證券有限公司的客戶?

☐ No 否 ☐ Yes 是 Name 姓名: \_\_\_\_\_ Account No 帳戶號碼: \_\_\_\_\_

- iv. Are you a director or an employee of Huayu Securities Limited or its associated entity? 閣下是否華裕證券有限公司或其有聯繫實體的董事或僱員?

☐ No 否 ☐ Yes 是 (please specify 請說明) \_\_\_\_\_

## 6. DECLARATION BY CLIENT AND DECLARATION FOR DATA PROTECTION 客戶聲明及個人資料保障聲明

**By signing this Part, I, the undersigned declare, acknowledge and confirm that:**

**倘簽署本部份，本人即簽字人聲明、同意及確認：**

The information provided in this Account Application Form is complete, true and accurate;  
本帳戶申請表格提供的資料，均為完整、真實及準確；

The contents of the relevant and applicable parts of Terms and Conditions have been fully explained to me by a licensed representative(s) of HYS in a language which I understand;  
帳戶條款之內容及條件之相關及適用部份已由華裕證券的註冊人士以本人明白的語言向本人作出充份解釋；

The Risk Disclosure Statements was provided to me in a language of my choice (English or Chinese) and I have been invited to read the Risk Disclosure Statements, to ask questions and take independent advice if I so wished;  
本人已獲提供風險披露聲明(英文或中文)及已獲邀閱讀該風險披露聲明，並按其意願提出問題及徵求獨立的意見；

I undertake to advise HYS of any change of my information which affects the tax residency status of me or causes the information contained herein to become incorrect, and to provide HYS with the updated information form within 30 days of such change in circumstances.  
本人承諾，如有任何稅務居民身分或其他資料更改而引致本表格所載的資料不正確，本人會通知華裕證券，並會在情況發生改變後 30 日內，向華裕證券提交已更新的資料。

The FATCA Self-Certification Form was provided to me/ us and I have read, understood and confirmed, and agree to be bound by all the provisions of this form and terms set out in the client agreement;  
本人已獲提供美國海外帳戶 FATCA 聲明書，並已閱讀、明白和確認及同意前述之聲明書及客戶協議一切所列條款，並同意接受其約束；

I have read, understood and confirmed, and agree and accept to be bound by all the provisions of this Account Application Form, the Client Agreement, Terms and Conditions applicable to the type of Account(s) that I applied to open with Huayu Securities Limited.  
本人已閱讀、明白和確認及同意本帳戶申請表、客戶協議書及有關與華裕證券有限公司申請開立有關類別帳戶之一切有關條款，並同意接受其約束。

### **Declaration for Data Protection 個人資料保障聲明**

I have read and understood the contents of the Personal Information Collection Statement ("PICS") of HYS, and agree to its terms. I acknowledge receipt of a copy of the Personal Information Collection Statement.  
本人已參閱及明白華裕證券的個人資料收集聲明("聲明")，並且同意其條款。本人確認已收妥該聲明的副本。

☐ I have hereby consent to the contents of the Personal Information Collection Statement and the use of my personal data by HYS in direct marketing and I understand that I can exercise the opt-out right by notifying HYS in writing from time to time.  
本人謹此同意該通知的所有內容及同意華裕證券使用本人的個人資料作直接促銷用途，並明白本人可以隨時以書面形式通知華裕證券以行使本人的選擇權拒絕促銷。

☐ I do not consent to the use of my personal data in direct marketing.  
本人不同意使用本人的個人資料於直接促銷。



<div style="text-align: right; margin-bottom: 10px;"></div> <div>_____ Client Signature 客戶簽名</div> <div>Date 日期 _____</div>	<div style="text-align: right; margin-bottom: 10px;"></div> <div>Signed and Certified by 見證人簽名及核證* _____</div> <div>Name of Witness 見證人姓名 _____</div> <div>License No. 執業編號 _____</div> <div>Contact Telephone 聯絡電話 _____</div>
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**Explanatory note 註解:**

\* Where this Account Application Form is not executed in front of HYS's SFC licensed person nor submitted with an appropriate cheque#, this Account Application Form, copy and signing of the related identity of the client must be certified by a SFC licensed person, a Justice of the Peace, a branch manager of a bank, a certified public accountant, a lawyer, a notary public or chartered secretary.

如本帳戶申請表非在華裕證券的證監會持牌人士面前簽名或非連同適當的支票# 遞交，則本帳戶申請表及相關的身份證明文件副本簽名必須由證監會持牌人士、太平紳士、銀行分行經理、執業會計師、律師、公證人或特許秘書進行簽名核證。

# A crossed cheque bearing client's name shown in client's identity document and drawn on his/ her account with a licensed bank in Hong Kong with the same signature(s) as shown on this Form in favour of "Huayu Securities Limited" for not less than HKD10,000. Client's 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(該簽名需與此表格上的客戶簽名相符)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，而該支票抬頭人需為“華裕證券有限公司”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。

**Risk Disclosure Statement 風險披露聲明 (to be completed by the Company 由本公司填寫)**

I/We, HYS representative(s), hereby declare and confirm that I/we have provided the risk disclosure statement annexed hereto in a language of Client's Choice (English/Chinese); and the Client was invited to read this risk disclosure statement, to ask questions and take independent advice if the Client so wished.

本人/吾等為華裕證券的註冊職員，並謹此聲明及確認本人/吾等已按照上述客戶所選擇的語言(英文或中文)提供附於本表的風險披露聲明；及客戶已被邀請閱讀此風險披露聲明書、提出問題及徵求獨立的意見(如客戶有此意願)。

☐ Face to Face 面對面

☐ Telephone 電話

_____ Signature of Licensed Person 持牌人簽名	_____ Name of Licensed Person 持牌人姓名	_____ CE No. 中央編號	_____ Date (DD/MM/YY) 日期(日/月/年)	_____ Recorded Line No. 電話錄音號碼	_____ Time 時間
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Approved and Accepted by 核准及接納		
Authorized Signature 授權簽名	Name of Authorized Person 授權人姓名	Date 日期
_____	_____	_____ DD 日 _____ MM 月 _____ YYYY 年

**FOR OFFICE USE ONLY**

Commission Rate: (Trading System) \_\_\_\_\_ % (MIN) (Internet/Mobile) \_\_\_\_\_ % (MIN)

	Account Received	Document Checked	Input	Data Checked	Approved	Specimen Scanned
Initial						
Date						

華裕國際控股有限公司  
HY International Holdings Limited  
九龍尖沙咀廣東道 5 號海洋中心 9 樓 930 室  
Suite 930, 9/F Ocean Centre Harbour City, 5 Canton Road, Kowloon Hong Kong

華裕證券有限公司  
Huayu Securities Limited

華裕資產管理有限公司  
Huayu Asset Management Ltd  
<http://www.huayu-holdings.com>  
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華裕資本有限公司  
HY Capital Co., Ltd