

SECURITIES TRADING ACCOUNT APPLICATION

證券交易戶口申請書

(INDIVIDUAL/JOINT ACCOUNTS)

(個人/聯名戶口)

To : Stockwell Securities Limited

致 : 常匯證券有限公司

Please open and maintain an account of the type indicated below, in my name (the "Account") in accordance with this Account Application, the Client Agreement (First Edition), any of its revised editions and such other terms and conditions as may be notified to me from time to time by Stockwell. 請按照此戶口申請書及現金客戶協議 (第一版) 及其後由常匯不時通知本人的客戶協議修訂版與其他條件和條款, 以本人名義開立所述的戶口 (「該戶口」)。

Please select 請選擇:

- Individual Cash Account 個人現金戶口
(Please complete A, C & E and if applicable, please also complete D 請填寫 A, C 及 E 如適用者, 請也填寫 D)
- Joint Cash Account 聯名現金戶口
(Please complete A, B, C, E and if applicable, please also complete D 請填寫 A, B, C 及 E 如適用者, 請也填寫 D)

A) Primary Account Holder 第一戶口持有人

Personal Information 個人資料

1 Client name(s) (English) 客戶名稱 (英文)		Client name(s) (Chinese) 客戶名稱 (中文)	
2 Passport or I.D. card no.(s) (please attach copies) 護照或身份證號碼 (請附上文件副本)		3 Date of birth 出生日期	4 Nationality 國籍
5 Home telephone no. 住宅電話號碼	Home fax no. 住宅傳真號碼	Mobile phone no. 手提電話號碼	E-mail address 電子郵件地址
Home address (please attach address proof) 住宅地址 (請附上地址證明):			
Is your residence owned or rented 閣下住所是自置或是租用?		<input type="checkbox"/> Owned 自置	<input type="checkbox"/> Rented 租用
If owned, do you have a mortgage on the property? (Please specify the lender if yes) 如屬自置, 物業有否按揭? (若有, 請註明貸款人)		<input type="checkbox"/> Yes 有	<input type="checkbox"/> No 沒有
Trading confirmations to be sent to 買賣確認送往 (Please tick one only) (祇選擇其中一項): <input type="checkbox"/> Home address 住宅地址 <input type="checkbox"/> E-mail address 電子郵件地址 <input type="checkbox"/> Others 其他:			
Statements to be sent by mail to the home address. If not, please specify below: 結單以郵遞方式寄往上述住宅地址。若使用其他地址, 請註明:			
6 Name of current employer 目前僱主名稱		Nature of business 商業性質	Job title 職位名稱
7 Business telephone no. 商業電話號碼		Business fax no. 商業傳真號碼	Year of service 受僱年期
Business address 商業地址			
8 Bankers Name and Branch address 往來銀行名稱及分行地址		Account No. 賬戶號碼	
a. _____		a. _____	
b. _____		b. _____	
c. _____		c. _____	

9 Is your spouse a client of Stockwell 你的配偶是否常匯的客戶?
 Yes 是 No 不是

10 Are you related to any Stockwell employee 客戶是否與常匯任何僱員有親屬關係?
 Yes, employee's name is 是, 僱員姓名為: _____ No 不是
 Are you an employee of a person/company registered with Hong Kong SFC 客戶是否其他香港證監會註冊人士/機構的僱員?
 Yes, details are 是, 詳情為: _____ No 不是

11 Unless otherwise instructed by you, all monies payable to you are to be credited to the following bank account:
 除客戶另行指示外, 客戶的應收款項將會被轉入下列賬戶:
 Bank name 銀行名稱: _____
 Account name 賬戶名稱: _____ Account Number 賬戶號碼: _____

12 Who is ultimately responsible for originating the instruction for a transaction 最終負責作出交易提示的人士姓名?
 Self 自己 Other 其他 (Please complete the following 請填寫以下資料)
 Name in English 英文姓名 _____ Name in Chinese 中文姓名 _____
 ID/Passport No. 身份証或護照號碼 _____ Relationship (if any) 關係 (如有) _____
 Telephone Number 電話號碼 _____ Fax Number 傳真號碼 _____
 Address 地址 _____

13 Who will gain the commercial or economic benefit of the transaction and/or bear its commercial or economic risk?
 代表收取交易的商業或經濟利益及/或承擔其商業或經濟風險的人士姓名?
 Self 自己 Other 其他 (Please complete the following 請填寫以下資料)
 Name in English 英文姓名 _____ Name in Chinese 中文姓名 _____
 ID/Passport No. 身份証或護照號碼 _____ Relationship (if any) 關係 (如有) _____
 Telephone Number 電話號碼 _____ Fax Number 傳真號碼 _____
 Address 地址 _____

Financial Profile 財務狀況

1 Your financial information 客戶財務資料

(a) Annual income (HK\$) 每年收入(港幣):
 Under \$100,000 10 萬元以下 \$500,000 to below \$1,000,000 50 萬元 至 100 萬元以下
 \$100,000 to below \$500,000 10 萬元 至 50 萬元以下 \$1,000,000 or above, please specify 100 萬元以上, 請註明:

(b) Total net Worth 客戶資產淨值:
 Under \$100,000 10 萬元以下 \$500,000 to below \$1,000,000 50 萬元 至 100 萬元以下
 \$100,000 to below \$500,000 10 萬元 至 50 萬元以下 \$1,000,000 or above, please specify 100 萬元以上, 請註明:

2 Your investment experience and objectives 客戶投資經驗及目的

(a) Investment experience 投資經驗:
 Less than 1 year 一年以下 1 to 5 years 一年至五年 More than 5 years 五年以上

b) Investment objectives 投資目的:
 Income 收入 Hedging 對沖 Short term 短線
 Capital gain 資本增值 Speculation 投機 Long term 長線

(c) Risk tolerance 承受風險: Low 低風險 Medium 中等風險 High 高風險

(d) Frequency of monthly trades 每月交易次數 _____

B) Secondary Account Holder (For Joint Account Only) 第二戶口持有人 (只適用於聯名戶口)**Personal Information 個人資料**

1 Client name(s) (English) 客戶名稱 (英文)		Client name(s) (Chinese) 客戶名稱 (中文)	
2 Passport or I.D. card no.(s) (please attach copies) 護照或身份證號碼 (請附上文件副本)		3 Date of birth 出生日期	4 Nationality 國籍
5 Home telephone no. 住宅電話號碼	Home fax no. 住宅傳真號碼	Mobile phone no. 手提電話號碼	E-mail address 電子郵件地址
Home address (please attach address proof) 住宅地址 (請附上地址證明):			
Is your residence owned or rented 閣下住所是自置或是租用? <input type="checkbox"/> Owned 自置 <input type="checkbox"/> Rented 租用			
If owned, do you have a mortgage on the property? (Please specify the lender if yes) <input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有 如屬自置, 物業有否按揭? (若有, 請註明貸款人) _____			
6 Name of current employer 目前僱主名稱		Nature of business 商業性質	Job title 職位名稱
7 Business telephone no. 商業電話號碼		Business fax no. 商業傳真號碼	Year of service 受僱年期
Business address 商業地址			

Financial Profile 財務狀況

1 Your financial information 客戶財務資料			
(a) Annual income (HK\$) 每年收入(港幣):			
<input type="checkbox"/> Under \$100,000 10 萬元以下	<input type="checkbox"/> \$500,000 to below \$1,000,000 50 萬元 至 100 萬元以下		
<input type="checkbox"/> \$100,000 to below \$500,000 10 萬元 至 50 萬元以下	<input type="checkbox"/> \$1,000,000 or above, please specify 100 萬元以上, 請註明:	_____	
(b) Total net Worth 客戶資產淨值 :			
<input type="checkbox"/> Under \$100,000 10 萬元以下	<input type="checkbox"/> \$100,000 to below \$500,000 10 萬元 至 50 萬元以下		
<input type="checkbox"/> \$500,000 to below \$1,000,000 50 萬元 至 100 萬元以下	<input type="checkbox"/> \$1,000,000 or above, please specify 100 萬元以上, 請註明:	_____	
2 Your investment experience and objectives 客戶投資經驗及目的			
(a) Investment experience 投資經驗 :			
<input type="checkbox"/> Less than 1 year 一年以下	<input type="checkbox"/> 1 to 5 years 一至五年	<input type="checkbox"/> More than 5 years 五年以上	
(b) Investment objectives 投資目的 :			
<input type="checkbox"/> Income 收入	<input type="checkbox"/> Hedging 對沖	<input type="checkbox"/> Short term 短線	
<input type="checkbox"/> Capital gain 資本增值	<input type="checkbox"/> Speculation 投機	<input type="checkbox"/> Long term 長線	
(c) Risk tolerance 承受風險 :			
<input type="checkbox"/> Low 低風險	<input type="checkbox"/> Medium 中等風險	<input type="checkbox"/> High 高風險	
(d) Frequency of monthly trades 每月交易次數 _____			

C) Signature arrangement 簽名安排

1. Signature arrangement 簽名安排 <input type="checkbox"/> Joint 聯簽 <input type="checkbox"/> Single 單簽	
2. I/We, the undersigned Client(s), have read and understand the provisions of the attached Client Agreement ("Agreement") and accept and agree to be bound by the same. 本人(等), 下述簽署客戶, 已閱讀及明白附上的客戶協議書("該協議書")並接受及同意受該協議書的條款所約束。	
Witness Signature(s) 見證簽署: Witness Name 見證人姓名: ID/Passport No. 身份証或護照號碼: Address 地址: Date 日期:	Client Signature(s) 客戶簽署: Client Name 客戶姓名: Date 日期:
Witness Signature(s) 見證簽署: Witness Name 見證人姓名: ID/Passport No. 身份証或護照號碼: Address 地址: Date 日期:	Client Signature(s) 客戶簽署: Client Name 客戶姓名: Date 日期:

D) Electronic Trading Account 電子交易賬戶

I/We hereby also confirm my/our request for opening Electronic Trading Account with Stockwell and agree to be bound by the relevant Agreement. 本人(等)並確認開立電子交易賬戶並同意受有關協議書所約束。 Expected login User Name (6-9 characters / case insensitive / cannot be revised once confirmed) 擬登入用戶名稱 (6-9 位英文字母或數字 / 沒有大小寫之分 / 確認後不能更改)	Client Signature(s) 客戶簽署
1) <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 2) <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> 3) <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	
Confirmed login User Name (Official use only) 確認登入用戶名稱 (本公司專用) _____	

E) Terms & Signature 條款及簽署

- I/We irrevocably by way of security appoint Stockwell as my lawful attorney to execute any documents and do all things which Stockwell in good faith considers necessary and which I ought reasonably to do in furtherance or as a consequence of the terms of this agreement.
本人(等)不可撤銷委任以及通過抵押品的方式委任常匯作為本人的法定代理人, 以便簽署和採取常匯以誠意認為必需的且客戶在合理情況下為促進本協議的條款或因為這些條款而必須做的任何文件和所有事宜。
- The information contained in this Client Information Form is true and accurate. Stockwell is entitled to rely fully on such information and representations for all purposes, unless Stockwell receives notice in writing of any change. Stockwell is authorised at any time to contact anyone, including your banks, brokers or any credit agency, for the purpose of verifying the information provided on this Client Information Form. A copy of Stockwell's Personal Information Collection Statement is available upon request.
本客戶資料表的資料均為真實及正確。除非常匯收到任何客戶資料改變的書面通知, 常匯可完全依靠這些資料及陳述作任何目的。客戶授權常匯可在任何時間聯絡任何人, 包括銀行的客戶、經紀等或任何信貸機構, 藉以確定及查證本客戶資料表內的資料。客戶可隨時索閱常匯的個人資料收集聲明副本。

Risk Disclosure Statements 風險披露聲明書

I/We confirm that risk disclosure statements in this Agreement have been provided in a language of my/our choice (English or Chinese) and that I/we have been invited to read the risk disclosure statements, to ask questions and take independent advice if I/we so wish. 現確認載於本合約的風險披露聲明書已按吾等選擇語言(英文或中文)提供予吾等, 且獲邀閱讀風險披露聲明書, 提出問題與徵求獨立的意見。

Please verify and tick box 謹請核証及在適當方格加上「✓」號

This Account Application must be accompanied by 本戶口申請書必須隨附

- (i) copies of the I.D or passport of all applicants and ultimate beneficiaries (if different from applicant(s))
所有申請人最終實益持有人（如有別於申請人）之身份證或護照副本
- (ii) copies of utility bill or bank statement verifying Applicant's name and address
確定申請人姓名及地址之電費單或銀行月結單副本

Executed as a deed on 以契約形式簽立於 _____ (date 日期)

Signed, sealed and delivered by 簽署、蓋章和交付者姓名: _____ (name 姓名)

Client Signature
申請人簽署

Witness Signature
見證人簽署

Name and ID/Passport No. of Witness
見證人姓名及身份證或護照號碼

Witness Address
見證人地址

(A)

(B)

This Account Application MUST be signed and witnessed either before an employee of Stockwell, before a solicitor, bank officer or certified public accountant of the Hong Kong SAR or before a notary public or otherwise verified to the satisfaction of Stockwell.

本戶口申請書必須在常匯僱員或香港特別行政區律師、銀行主管人員或執業會計師或公證人面前簽署及見證，或以常匯接受的其他方式核證。

Where this Agreement is signed and witnessed before a lawyer, certified public accountant or notary public, the lawyer, certified public accountant or notary public must complete the Certification below.

倘本協議書在律師、執業會計師或公證人見證下簽定，則必須填妥以下核證一欄。

Declaration by Stockwell Registered Person 常匯註冊人士聲明

I confirm that I have provided the risk disclosure statements in the Client Agreement in a language of the Applicant's choice (English or Chinese), and have invited the Applicant to read the risk disclosure statements, ask questions and take independent advice if the Applicant wishes.

本人確認已經按申請人所選擇語言（英文或中文）提供載於客戶協議的風險披露聲明書，並已邀請申請人閱讀該風險披露聲明書、提出問題及徵求獨立的意見。

CERTIFICATION (to be completed where Account Application not signed before an employee of Stockwell)

核證（如戶口申請書並非在常匯僱員面前簽署請填此欄）

I certify that I have met and identified each of the Applicant(s) who executed this Account Application before me, and reviewed the original of his/their ID card(s) or passport(s).

本人證實已經與申請人會晤及核對其身份證或護照正本，申請人並在本面前簽署本戶口申請書。

Signature of registered person

註冊人士簽署

Name of registered person (please print):

註冊人士姓名（正楷）：

Date 日期：

Signature 簽署

Name (please print):

姓名（正楷）：

Profession (please print) :

職業（正楷）：

Date 日期：

FOR OFFICE USE ONLY 本公司專用

Documentation checked by 文件由 _____ 查對

Trading must not commence until all required documents are presented and the documentation checked, signed and approved by the Dealer.

在提交及由交易商查對、簽署及批核一切所需文件之前，不得開始進行買賣。

Approved for and on behalf of Stockwell by 經由下列人士代表常匯批核

Print Name 姓名（正楷）

Position 職位

Date 日期

* Your signature on this Account Application will be used to verify your signature in subsequent transactions.

閣下在此戶口申請書上的簽署，將用作核實 閣下於其後往來的簽署。