



**ASA Securities Limited**  
**富國證券有限公司**

## **Account Application Form 開戶申請表** **(Individual Account) (個人戶口)**

For Services in respect of Type 1 (dealing in securities) regulated activity and Type 2 (dealing in futures contracts) regulated activity under the Securities and Futures Ordinance (Chapter 571 of the Laws of Hong Kong)

提供有關於及涉及於香港法例第 571 章證券及期貨條例第 1 類(證券交易)及第 2 類(期貨合約交易)受規管活動的服務

To: **ASA Securities Limited** ("ASA"), a company incorporated with limited liability under the laws of Hong Kong with registered office at Room 3-10, 18/F., China Insurance Group Building, 141 Des Voeux Road Central, Hong Kong and licensed by the Securities and Futures Commission of Hong Kong to carry out Type 1 (dealing in securities) regulated activity and Type 2 (dealing in futures contracts) regulated activity as defined under the Securities and Futures Ordinance (Chapter 571 of the Laws of Hong Kong) (the "SFO")

致：富國證券有限公司（以下稱之為「ASA」），一間根據在香港法律註冊成立的有限公司，其註冊地址為香港中環德輔道中 141 號中保集團大廈 18 樓 3-10 室，獲香港證券及期貨事務監察委員會授權進行香港法例第 571 章證券及期貨條例（以下稱之為「證券及期貨條例」）的第一類（證券交易）及第 2 類（期貨合約交易）受規管活動的公司。

### **Appointment and Services to be provided by ASA 委任及 ASA 將提供之服務**

I (the "Client") appoint ASA for the purposes of providing me with services (the "Services") in respect of and in relation to Type 1 (dealing in securities) regulated activity and Type 2 (dealing in futures contracts) regulated activity as defined under the SFO with the terms and conditions and the particulars of providing the Services set out in the Terms and Conditions (as defined below) on a non-discretionary basis and set out my name and the commencement date for ASA's appointment as follows:

本人（以下稱之為「客戶」）以非全權委託的基準委任 ASA 提供有關於及涉及於證券及期貨條例 的第一類（證券交易）及第 2 類（期貨合約交易）受規管活動的服務（下稱之為「服務」）給本人，而有關的條款及細則及提供服務的明細則列明於條款及細則（如以下所定義），並在以下列明本人之姓名及委任 ASA 之開始日期：

Name of Client: \_\_\_\_\_ 客戶姓名: \_\_\_\_\_

Commencement Date: \_\_\_\_\_ 開戶日期: \_\_\_\_\_

### **Fees, Commissions and Charges 費用、佣金及收費**

I agree to pay ASA such fees and charges as ASA may from time to time prescribe in consideration for the Services provided by ASA under the Terms and Conditions (as defined below).

本人同意為 ASA 根據條款及細則（如以下所定義）所提供之服務，向 ASA 支付該等由 ASA 不時規定的費用及收費。

### **General 一般**

I confirm that I have received, read and understood the terms and conditions for the Services provided by ASA (the "Terms and Conditions"). I agree to be bound by the Terms and Conditions.

Words and expressions which are defined in the Terms and Conditions shall have the same meanings when used in this Account Application Form unless otherwise stated or the context otherwise requires.

I confirm that I have received, read and understood this Account Application Form and the Terms and Conditions. I hereby acknowledge and confirm that before my completing this Account Application Form and the Terms and Conditions, ASA has advised me to seek legal advisers for independent legal advice on the matters under this Account Application Form and the Terms and Conditions as I think fit and necessary.

I expressly agree that this Account Application Form shall be executed in one original, which ASA shall safeguard, and I have received a copy of this Account Application Form and the Terms and Conditions for record-keeping. I also agree to notify ASA promptly of any change to any of the information provided in this Application Form.

I represent and covenant that all the information and documents requested in this Account Application Form herein are true, complete and accurate. ASA entitled to rely fully on such information and representations for all purposes unless ASA receive notice in writing of any change.

The appointment of ASA for the purpose of providing the Services to me under the Terms and Conditions shall take effect as of the commencement date specified above.

本人 確認本人 已收取、細閱及明白由 ASA 提供的之服務條款及細則（於本開戶申請表稱之為「條款及細則」）。本人 同意接受條款及細則之約束。

在條款及細則內所定義之詞語及表達須跟本開戶申請表中的詞語及表達意思一致，除非另有陳述或內容另有所求。

本人確認本人已收取、細閱及明白本開戶申請表和條款及細則。本人謹此承認及確認，在本人完成本開戶申請表和條款及細則前，ASA 已建議本人需要在本人認為在適當及有需要時，就本開戶申請表和條款及細則內之事宜徵詢法律顧問的意見。

本人明文表示同意本申請表須以正本執行，正本須受 ASA 所保障，且本人已收取本開戶申請表和條款及細則的影印本作保存之用。本人亦同意會迅速地通知 ASA 任何有關本申請表內所提供資料上的變動。

本人聲明在本開戶申請表中所載之資料及所要求提供之文件為真實、完整及正確。ASA 有權為任何目的全面依賴上述之資料及聲明，直至 ASA 收到以書面形式發出之更改通知為止。

本人委任 ASA 以提供本人根據條款及細則下的服務，須於上述指明的開始日期生效。

*If you are in any doubt as to any aspect about this Account Application Form and the attached Terms and Conditions or as to the action to be taken, you should consult your legal adviser and/or other professional adviser. 如閣下對本開戶申請表以及隨附之條款及細則的任何方面或將採取之行動有任何疑問，閣下應向閣下的法律顧問及/或其他專業顧問諮詢意見。*



# Account Application Form – Individual

## 開戶申請表 – 個人

Please tick the appropriate box 請在適當空格加✓

\*Please delete whichever is inapplicable. 請刪去不適用者

Account Opening Date 開戶日期：\_\_\_\_\_

PLEASE COMPLETE THE APPLICATION FORM USING BLOCK LETTERS WHERE APPLICABLE. 請注意：請以英文正楷填妥所有適用項目。

Account No. 賬戶號碼：

A.E. 客戶代表：

(✓ one or more) (可✓超過一項)  
 Securities Cash 證券現金賬戶  
 Futures Contract 期貨合約賬戶

Phone Trading 電話交易  
 Internet Trading 網上交易

### Part 1 Account Applicant's Personal Information 戶口申請人之個人資料

Name 姓名  Mr. 先生  Mrs. 太太  Miss 小姐

English 英文

Chinese 中文

ID/Passport No. 身份證/護照號碼

Nationality 國籍

Date of Birth 出生日期 (dd/mm/yy 日/月/年)

Home Phone No. 住宅電話

Mobile Phone No. 手提電話

Email Address 電郵地址

Residential Address 住宅地址

Employer Name 僱主名稱

Position 職位

Business Type 業務類型

Office Address 公司地址

Correspondence Address 通訊地址

Home 住址

Office 公司

### Licensed / Registered Person Declaration 持牌 / 註冊人士申報

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 of Hong Kong?

閣下是否為香港證券及期貨事務監察委員會的持牌 / 註冊證券或期貨從業員，或其持牌 / 註冊機構（如經紀行 / 銀行等）之僱員？

No 否

Yes, please specify and provide written consent from your employer 是，請列明及提供閣下僱主的書面同意書

Do you have any relative(s) working in ASA Securities Limited?

閣下的直系親屬是否富國證券有限公司之員工？

No 否

Yes 是 Name 姓名：\_\_\_\_\_ Relationship 關係：\_\_\_\_\_

### Declaration by Client 客戶聲明

Are you the ultimate beneficial owner(s) of the account? (The information is required by The Securities & Futures Commission's Client Identity Rules)

閣下是否此戶口之最終受實益擁有人？（所需資料是根據香港證券及期貨事務監察委員會所制定的客戶身份規則索取）

Yes 是

No, please provide details 否，請提供詳細資料：

Name 姓名：\_\_\_\_\_ ID / Passport No. 身份證/護照號碼：\_\_\_\_\_

Tel No. 電話：\_\_\_\_\_ Address 地址：\_\_\_\_\_

**Account Applicant's Bank Details 戶口申請人之銀行資料**

(Funds will be transferred to the following account upon your fund withdrawal instruction. 款項將根據客戶的提款指示存入以下戶口)

姓名 Name:

戶口號碼 Account No.:

銀行名稱 Bank Name:

銀行機構代碼 Swift / Bank Code:

銀行地址 Bank Address

**Part 4 Account Applicant's Financial Profile and Investment Experience 申請人之財務紀錄及投資經驗**

(The Company is required to obtain this information to fulfill the "know-your-client requirements" of the Securities and Futures Commission of Hong Kong. 本公司根據香港證券及期貨事務監察委員會所制定之「認識你的客戶要求」而索取有關資料。)

Estimated Annual Income (HK\$) 估計年薪 (港元)

- Below HK\$120,000
- HK\$120,001—HK\$350,000
- HK\$350,001—HK\$600,000
- HK\$600,001—HK\$1,200,000
- Above HK\$1,200,000 以上

Approximate net asset value (HK\$) (Total Asset) 估計資產淨值 (港元) (總資產)

- Under HK\$500,000 以下
- HK\$500,001—HK\$3,000,000
- HK\$3,000,001—HK\$5,000,000
- HK\$5,000,001—HK\$30,000,000
- Above HK\$30,000,000 以上

Investment Objectives 投資目標

- Long Term 長線                       Medium Term 中線                       Short Term 短線
- Capital Growth 增值                       Dividend Income 股息收入                       Others 其他 \_\_\_\_\_

Investment Experience 投資經驗 (年資)

- Nil 沒有       Less than 少於 1 Year 1 年       1-3 Years 年       3-5 Years 年       5-10 Years 年       Over 超過 10 Years 年

Investment Products 投資產品

- Shares 股票     Bonds 債券     Leverage Foreign Exchange 槓杆外匯     Precious Metals 貴重金屬
- Futures / Option 期貨 / 期權    Purpose 目的:  Speculation 投機 /  Hedging 對沖 /  Investment 投資
- Other relevant Investment Experience 其他相關投資經驗: \_\_\_\_\_

**Account Statement Arrangement 賬戶結單安排**

Trading Confirmations and Statement to be sent to your 交易確認通知及戶口結單遞送至 (只選擇一項)

- By Post 郵遞通訊地址                       By Email 電郵

**For Official Use Only 供內部填寫****Risk Disclosure Statement 風險披露聲明**

The Client confirms that the Client has received, read and understood the risk disclosure statement set out in the Terms and Conditions (the "Risk Disclosure Statement") in a language of the Client's choice (English or Chinese), ask questions and take independent advice if the Clients wishes.

註冊人員已邀請客戶按照客戶選擇的語言(英文或中文), 於所提供載於條款及細則內之風險披露聲明、提出問題及徵求獨立意見:

**Declaration by Licensed Person 註冊人聲明**

The above mentioned risk disclosure statement(s) has/have been provided to the Client in a language of the Client's choice (English or Chinese) and the undersigned registered 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內容已由下列簽署之註冊人員按照客戶選擇的語言提供(英文或中文), 並邀請客戶閱讀該等風險披露聲明、提出問題及徵求獨立意見。

Name of Registered Person 註冊人姓名	CE No. CE 號碼	Signature of Registered Person 註冊人簽署	Date 日期	<input type="checkbox"/> Face to Face 面對面 <input type="checkbox"/> Recorded Line No. 電話錄音號碼 & Time 時間
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## Declaration 聲明

- 1) I am aware that I shall not settle any trading transaction with third party cheques.
  - 2) I confirm that I are the beneficial Owner of the Account and will not operate the Account for the benefit of, or on the instructions of, a third party.
  - 3) I understand that the information requested in this application is supplied pursuant to the Personal Data (Privacy) Ordinance which permits ASA to collect and record clients' information for future reference, and for the purpose of discharging ASA obligation as a registered dealer.
  - 4) I further understand that I may be required to provide additional information or submit documentary proof as to the information provided in this application as and when requested by ASA.
  - 5) I agree to abide by the Stock Exchange of Hong Kong, Hong Kong Futures Exchange Limited, Hong Kong Securities Clearing Company Limited, or any regulatory bodies from time to time governing the purchase and sale of shares quoted on the a fore mentioned stock and futures exchanges and clearing system or any other stock and Future exchanges or clearing systems.
  - 6) I hereby authorise you to conduct a credit enquiry or check.
  - 7) I accept full responsibility for the absolute correctness of my instruction, in particular, the absolute correctness of my account name and number, particulars of the payee bank as the case may be.
  - 8) I will not demand, claim or prosecute against ASA for recovery of damage and generally hold you harmless in the event that the funds were wrongly deposited or paid out due to mistakes in the entered particulars.
  - 9) I hereby authorize ASA to verify and exchange the information contained herein and such other information relating to my particulars and my bank accounts between ASA and such other third parties as ASA may deem appropriate for the purpose of approving this application form and for such other purposes as ASA may deem fit as long as I shall retain an account with ASA.
  - 10) ASA authorised at any time to contact anyone, including my banks, brokers or any credit agency for purposes of verifying the information provided herein.
  - 11) If I choose to receive account statements by electronic method, I agree that ASA need not deliver the such original statements to me.
- 1) 本人 明白不能以第三者支票交收。
  - 2) 本人 確認，本人 是該賬戶的實益擁有人，並且不會為任何第三者的利益或按任何第三者的指示而操作該賬戶。
  - 3) 本人 明白此申請書所要求的資料是根據個人資料(私隱)條例的規定而提供的，及該條例容許 ASA 收集及紀錄客戶的資料為日後參考之用及達到履行 ASA 作為註冊交易商的責任的目的。
  - 4) 本人 亦明白本人 須隨時應 ASA 的要求提供進一步資料或就此申請書上所提供的資料呈遞書面證明。
  - 5) 本人 同意遵守香港聯合交易所、香港期貨交易所、香港證券結算有限公司或其他監管組織對於在前述股票及期貨交易所及結算系統或任何其他股票及期貨交易所或結算系統上市的股票的買賣作出並不時修訂的監管規則及規例。
  - 6) 本人 授權 ASA 對本人 進行信用查詢或查核，以確認本人 的財務狀況及/或投資目的。
  - 7) 本人 願意對本人 所發出指示的絕對準確性負上全部責任，特別是有關本人 之受款銀行賬戶名稱及號碼之詳細資料。
  - 8) 對於因輸入的資料不準確而導致款項錯誤存入或轉出，本人 將不會為收回款項或追討賠償而向 ASA 作出要求、索償或訴訟，ASA 毋須為此負上任何責任。
  - 9) 本人謹此授權 ASA，在本人仍然在 ASA 維持有賬戶的整段時間內，為批准此申請表格或其他 ASA 認為適合的目的，核實或與任何 ASA 認為恰當的第三者交換此文件中所載的資料及其他關乎我的詳細及銀行賬戶的資料。
  - 10) ASA 已獲授權隨時接觸任何人仕，包括本人的銀行，經紀或信貸機構，以達核證在本協議書上所載的資料的目的。
  - 11) 如本人 選擇收取電子結單，則 ASA 毋須再寄付任何結單列印本予本人。

Account introduced by 介紹人	Name of AE 客戶主任姓名	Code of AE 客戶主任編號	Signature of AE 客戶主任簽署
<b>For Securities Transactions 證券買賣</b>			
Commission Rate (%) 佣金率(%)	Minimum Brokerage 最低佣金	Proposed Trading Limit 建議交易上限	
<b>For Futures Transactions 期貨買賣：</b>			
Futures / Options Contract 期貨/期權合約	Day Trade (each contract) 即日買賣 (每張)	Overnight Trade (each contract) 過夜買賣 (每張)	
Futures (per contract per side)期貨(每合約每方)			
Options (% of contract value)期權(佔合約價值之%)			

## Client Signature 客戶簽署


Account Applicant's Signature 戶口申請人簽署
Name 姓名
Date 日期

**Witness's Certification of Client Signature and Identity Proof 見證人見證客戶簽署及身份證明文件驗證**

Acceptable witness can be an employee or licensed representative of ASA Securities Limited who is licensed by Securities and Futures Commission of Hong Kong licensed in accordance with the SFO, Justice of Peace, Notary Public, a financial or legal professional (such as Certified Public Accountant, Solicitor) (as the case may be).

認可見證人包括富國證券有限公司之員工或持牌人士而其乃香港證券及期貨事務監察委員會根據證券及期貨條例而發牌、太平紳士、公證人、金融或法律界專業人士(如執業會計師、律師)(視何情況而定)。

The undersigned person hereby certify the signing of this Account Opening Form (together with the Client Agreement) by the above Client and certified true copy of related identity documents of such Client

下述簽署人士謹此驗證上述客戶簽立此文件(連同客戶協議書)及其有關的身份證明文件為經核實之真實副本：

Date 日期：\_\_\_\_\_ YY \_\_\_\_\_ MM \_\_\_\_\_ DD

Signed and Certified by 簽署及驗證	Name 姓名
	Profession / Title 所屬專業及職銜

**Checklist**

Complete and sign ALL the sections in this application form, and

Attach the following documents

- A copy of official ID or passport
- A copy of address proof issued within 3 months (e.g. utility bills, bank statements)

**核對清單**

填寫及簽署本申請書所有部份，及

附上以下文件

- 身份證明文件或護照副本
- 最近三個月內發出的住址證明副本一份 (如電費單或銀行月結單)

Inputed by Customer Service Officer	Checked by Customer Service Manager	Approved by Responsible Officer
Name 姓名	Name 姓名	Name 姓名
Date 日期	Date 日期	Date 日期