Securities A/C No. 證券帳戶號碼 ______________________

Futures A/C No. 期貨帳戶號碼 ______________________

Fubon Securities (Hong Kong) Limited
富邦證券（ 香港 ）有限公司

ACCOUNT OPENING FORM
(Individual/Joint Account)
開戶表格 (個人 / 聯名帳戶)

Exchange Participant of The Hong Kong Exchanges and Clearing Limited. A corporation licensed for Type 1, Type 2, Type 4 and Type 5 regulated activities under the Securities and Futures Ordinance.
(CE Number : AWS 291)

香港交易及結算所有限公司參與者
根據香港《證券及期貨條例》就第1類、第2類、第4類及第5類受規管活動獲發牌的持牌法團
(CE 編號: AWS 291)

Name in English : ____

中文姓名 : ____

Fubon Securities (Hong Kong) Limited
富邦證券 (香港) 有限公司 **CE No.：AWS291**
A corporation licensed for Type 1, Type 2, Type 4 and Type 5 regulated activities under the Securities and Futures Ordinance and an exchange participant of the Hong Kong Exchanges and Clearing Limited (the "Fubon Securities") 根據香港《證券及期貨條例》就第1類、第2類、第4類及第5類受規管活動獲發牌的持牌法團及香港交易及結算所有限公司參與者（ 以下簡稱「富邦證券」）
Unit 1002, 10 Floor, Harbour East, 218 Electric Road, North Point, Hong Kong
香港北角電氣道218號港滙東10樓1002室
Tel : (852)-2881-4500 電話: (852)-2881-4500
Fax : (852)-2812-6269 傳真: (852)-2812-6269 **Securities A/C No.證券帳戶號碼: _______________Futures A/C No. 期貨帳戶號碼: _________________**

ACCOUNT OPENING FORM (INDIVIDUAL/JOINT ACCOUNT)
開戶表格 (個人 / 聯名帳戶)

Note 注意 :
- *The defined terms employed in the Terms and Conditions for Account are adopted herein unless the context otherwise requires.*
  除非在上下文另有規定，本開戶表格採納帳戶章則及條款的專用詞。
- *The Account Opening Form shall form and constitute an integral part of the Terms and Conditions for Account.*
  開戶表格構成帳戶章則及條款的一部份。
- *Please attach* 請附上 *:(Joint Client also needs to provide* 聯名客戶亦需提供下列資料 *)*
  - ☐ *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
  - ☐ *Copy of a bank account statement within the last 3 months (If the Client's designated bank account is outside Hong Kong)*
    (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 tick in the box where appropriate 請於適當的方格內加上"✓"號
-* Please tick one box only * 請選擇其中一項
- Please complete in BLOCK LETTERS 請用正楷填寫

Application for 申請為	Account Type(s) 帳戶類別為			
☐ Sole Account 個人帳戶	☐ Cash Account 現金買賣帳戶	Margin Account 保證金買賣帳戶	☐ Futures/Options Account 期貨及期權帳戶	Electronic Trading Services 電子交易服務
☐ Joint Account 聯名帳戶	☐ Stock Options Account and Cash Account 股票期權及現金買賣帳戶		☐ Stock Options Account and Margin Account 股票期權及保證金買賣帳戶	

1. Client's Information 客戶資料

	Primary Client 主要客戶	Joint Client 聯名客戶
Title 稱謂	☐ Mr. 先生 ☐ Mrs. 太太 ☐ Miss 小姐 ☐ Ms 女士	☐ Mr. 先生 ☐ Mrs. 太太 ☐ Miss 小姐 ☐ Ms 女士
Surname 姓		
Given Name 名		
Chinese Name 中文姓名		
Date of Birth 出生日期	DD 日 / MM 月 / YY 年	DD 日 / MM 月 / YY 年
Marital Status 婚姻狀況	☐ Single 未婚 ☐ Married 已婚 ☐ Divorced 離婚 ☐ Windowed 鰥寡	☐ Single 未婚 ☐ Married 已婚 ☐ Divorced 離婚 ☐ Windowed 鰥寡
ID/Passport# 身份證 / 護照號碼		
Place of issue 簽發地點		
Nationality 國籍		
Residential Address 住址		
Please ✓ here if the Joint Client's details are the same as the Primary Client. 如聯名客戶資料與主要客戶相同請 ✓ 此格。 ☐		

	Primary Client 主要客戶	Joint Client 聯名客戶
Telephone No. 電話號碼	(　　　)	(　　　)
Fax No. 傳真號碼	(　　　)	(　　　)
Mobile No. 手提電話	(　　　)	(　　　)
Email Address 電郵地址		
Education Level 教育程度	☐ Secondary or below 中學程度以下 ☐ Completed Secondary 中學程度 ☐ Post-Secondary/ University or above 大學 / 大專程度以上 ☐ Other 其他____________________	☐ Secondary or below 中學程度以下 ☐ Completed Secondary 中學程度 ☐ Post-Secondary/ University or above 大學 / 大專程度以上 ☐ Other 其他____________________
Relationship with the Primary Client (For Joint Account only) 與主要客戶關係 (只適用於聯名帳戶)		☐ Family (Please specify) 親屬 (請說明)____________ ☐ Friends 朋友 ☐ Other (Please specify) 其他 (請說明)____________
Employment Status 職業現況	☐ Full-Time 全職 ☐ Student/ Housewife 學生/主婦 ☐ Self Employed 自僱 ☐ Not Employed 非在職 ☐ Part-time 兼職 ☐ Retired 退休	☐ Full-Time 全職 ☐ Student/ Housewife 學生/主婦 ☐ Self Employed 自僱 ☐ Not Employed 非在職 ☐ Part-time 兼職 ☐ Retired 退休
Employer Name 公司名稱		
Nature of Business 業務性質		
Position 職位		
Duration with Employer 受僱年期		
Telephone No. 電話號碼	(　　　)	(　　　)
Fax No. 傳真號碼	(　　　)	(　　　)
Business Address 工作地址		
Please ✓ here if the Joint Client's details are the same as the Primary Client. 如聯名客戶資料與主要客戶相同請 ✓ 此格。 ☐		

2. Financial Profile 財務狀況

Primary Client 主要客戶	Joint Client 聯名客戶
(1) Annual Income (Please tick one box) 每年總收入 (請勾擇一項) □ Under 少於 $200,000 □ $200,000 to 至 $500,000 □ $500,000 to 至 $1,000,000 □ $1,000,000 to 至 $5,000,000 □ $5,000,000 or above 或以上 (Please Specify 請註明 :______________________________) (2) Residence (Please tick one box) 住屋 (請勾擇一項) □ Self-owned (subject to mortgage) 自置物業 (有按揭) □ Self-owned (no mortgage) 自置物業 (無按揭) □ Rent 租用物業 Total net worth 資產淨值 HK$ ______________________________	(1) Annual Income (Please tick one box) 每年總收入 (請勾擇一項) □ Under 少於 $200,000 □ $200,000 to 至 $500,000 □ $500,000 to 至 $1,000,000 □ $1,000,000 to 至 $5,000,000 □ $5,000,000 or above 或以上 (Please Specify 請註明 :______________________________) (2) Residence (Please tick one box) 住屋 (請勾擇一項) □ Self-owned (subject to mortgage) 自置物業 (有按揭) □ Self-owned (no mortgage) 自置物業 (無按揭) □ Rent 租用物業 Total net worth 資產淨值 HK$ ______________________________

3. Investment Experience and Risk Tolerance 投資經驗及風險承受程度

(1) Investment Experience of Primary Client 客戶的投資經驗

Product Type 投資產品類型	Investment Experience 投資經驗
HK listed securities (average trade size) 香港上市證券	______________________________year(s) 年
Overseas listed securities (average trade size) 海外上市證券	______________________________year(s) 年
HK futures and options (number of contracts and product(s)) 香港期貨及期權	______________________________year(s) 年
Overseas futures and options (number of contracts and product(s)) 海外期貨及期權	______________________________year(s) 年

(2) Investment Objectives 投資目標： □ Income 收入 □ Hedging 對沖 □ Capital Gain 資本增值 □ Speculation 投機

(3) Risk Tolerance 承受風險： □ Aggressive 高 □ Moderate 中 □ Conservative 低

(4) Typical Transactions to be undertaken 作出的典型交易： ____________________

4. Method of Communication 通訊方式

Statements and all documents are to be sent to the Primary/Joint Client's * (Please tick one box only)
結單及所有文件寄往客戶 / 聯名客戶的 *(請僅選擇其中一項)

□ Registered Office 註冊地址 □ Correspondence Address 通訊地址 □ E-mail Address 電郵地址 : ______________________________

Please be noted that Fubon Securities reserves its rights, at its sole discretion to change or modify the method of communication to the Client that Fubon Securities deemed appropriate at any time.
無論客戶選擇以郵寄或電子郵件作為通訊方式，富邦證券有最終決定權決定使用任何富邦證券認為適當下通訊方式與客戶進行通訊。

5. Identity of Client 客戶身份

(1) Does the Client have any relationship with the director(s) or employee(s) of the Fubon Securities or their respective associated companies?
客戶是否與富邦證券或其各自之聯營公司之董事或僱員有任何關係?

□ No 否 □ Yes, (Please provide details) 是 (請詳述) ______________________________
(Name of Director or Employee 董事或僱員姓名 / Relationship 關係)

(2) Is the Client a director or an employee or an accredited person of any exchange participant of the Hong Kong Exchange or any licensed or registered person of the Securities and Futures Commission?
客戶是否香港交易所之交易所參與者或證監會之持牌人或註冊人之董事、僱員或認可人士?

□ No 否 □ Yes (Please provide details) 是 (請詳述) ______________________________
(Please provide employer's consent letter 請提供僱主書面同意書)

(3) Is Client, either alone or with the Client's spouse, in control of 35% or more of the voting rights of any corporate client of Fubon Securities?
客戶是否個人或與客戶的配偶共同控制任何富邦證券的公司客戶 35% 或以上的投票權 ?

□ No 否 □ Yes, (Please provide details) 是 (請詳述) ______________________________
(Name of corporate client 公司客戶名稱)

(4) Is the Client's spouse a client of Fubon Securities?
客戶的配偶是否富邦證券的客戶 ?

□ No 否 □ Yes, (Please provide details) 是 (請詳述) ____________________ ____________________
(Name of spouse 配偶名稱) (A/C No. 帳戶號碼)

(5) Is the client the ultimate beneficial owner in relation to the account?
客戶是否為帳戶的最終權益擁有人?

☐ Yes 是

☐ No (Please complete the details of the ultimate beneficial owner below) 否(請您填寫最終權益擁有人的資料)

The ultimate beneficial owner in relation to this account is 帳戶的最終實益擁有人是：

Chinese Name 中文姓名		English Name 英文姓名	
ID Card /Passport Number 身份證/護照號碼		ID Card / Passport Issue Country 身份證/護照簽發國家	
Date of Birth 出生日期		Country of Birth 出生國家	
Former Name (if any) 前名(如有)			
Residential Address 住宅地址			
(Country Code) Home Phone Number (國家區號)住宅電話號碼		(Country Code) Mobile Phone Number (國家區號)手提電話號碼	

(6) Has the client and/or his/her spouse, partner, children, parents, spouse or partner of his/her children or close associates a "Politically Exposed Person" as defined under the Anti-Money Laundering and Counter-Terrorist Financing (Financial Institutions) Ordinance, including but not limited to, being the head of state or government, senior politician, senior government, judicial or military official, senior executive of a state owned corporation, important political party official?
客戶及/或客戶的配偶，伴侶，子女或父母，客戶子女的配偶或伴侶，或與客戶關係密切的人是否為《打擊洗錢及恐怖分子資金籌集（金融機構）條例》內所定義的"政治人物"，包括但不限於：在任何地方擔任或曾擔任重要公職，例如國家或政府元首，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或重要政黨幹事?

☐ No 否

☐Yes, please specify 是，請述明：

Name of PEP 政治人物姓名	Position of PEP 政治人物職位	Country the PEP belongs 政治人物所屬國家	PEP relationship with you 政治人物與你之關係

6. Identity of Client 客戶簽署安排

☐ Any One of the Signatures Below 任何一個以下的簽署

☐ All of the Signatures Below 全部以下的簽署

☐ Other 其他

Signature Specimen 簽字式樣

Primary Client 主要客戶	Joint Client 聯名客戶
Name 姓名：	Name 姓名：

7. Settlement Account Information 結算帳戶資料

The Client hereby instructs and authorizes Fubon Securities to deposit all payments payable to the Client into the following bank account. Fubon Securities will in complying with the requirements of the Terms and Conditions for Account and to the extent as soon as reasonably practicable, deposit the payments into the following Settlement Account for the Client as soon as possible. Fubon Securities shall not be held liable for any loss, expenses or damages suffered by the Client as a result of any delay in depositing such payments caused by any reason whatsoever.
客戶謹此指示及授權富邦證券將所有應付客戶之款項存入下列之銀行帳戶。富邦證券將在符合《帳戶章則及條款》之規定及於合理可行的情況下，盡快為客戶存入款項到以下之結算帳戶，富邦證券不會對基於任何原因而延遲存入款項令客戶蒙受的任何損失、開支或賠償承擔任何法律責任。

Currency 貨幣	Name of Bank 銀行名稱	Account Number 帳戶號碼	Name of Account Holder * 帳戶持有人名稱 *
HKD 港幣			
USD 美元			
CNY 人民幣			

* Must be same with the name of this account 必須與本帳戶同名

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）________________

8. Third Party Authorization 第三者授權

Where the Client intends to appoint a third party other than the Client to operate this Account, the Client needs to execute this section.
假如客戶有意委任客戶以外的第三者操作本有關帳戶，客戶必須簽訂本章節。

The Client hereby authorizes the undersigned authorized person (the "Authorized Person(s)") as the Client's agent and attorney to act singly on the Client behalf to operate this Account in every respect.
客戶謹此授權於下文簽名的授權人士 (" 授權人 ") 為客戶的代理人及受託人可單獨一人處理及執行本有關帳戶的任何運作 。

The Client authorizes the Authorized Person to have full authority to represent the Client in all matters in relation to all Transaction with Fubon Securities and to sign on the Client's behalf all agreements and documents relating to the Account and its operation, Transaction and the Agreement, unless otherwise provided. All such documents, instructions or orders which, if given or signed by the Authorized Person, shall be absolutely and conclusively binding on the Client provided that verbal orders or instructions from any one of the Authorized Person shall be valid and effective and, if in writing and requires manual signature, the same shall be signed in accordance with the signing arrangement.
客戶授權其授權人在涉及與富邦證券進行交易的一切事務上全權代表客戶，並全權代表客戶簽署與有關帳戶及其運作、交易及協議有關的協議和文件，另有規定者除外。凡由授權人發出或簽署的文件，指示或買賣指令將對客戶有絕對而不可推翻的約束力，但前提是任何授權人發出的口頭指令或指示都是真確的和具效力的，若以書面指令或指示而經親手簽署，則按照指明的簽署安排簽署。

Fubon Securities shall be authorized but not bound to act on an instruction given by the Client or the Authorized Person to carry out a Transaction (whether directly or through other dealer or otherwise). Fubon Securities may at any time and from time to time impose any limits including position limits on any Account and the Client agrees not to exceed such limits. If any of the said limits are or will be exceeded, Fubon Securities may decline such an instruction and/or is entitled to close the open position of the Transactions concerned. Fubon Securities may in its absolute discretion refuse to act on any of the instructions received from the Client without giving any reason, in particular for sell order without evidence of sufficient securities, or buy order without evidence of sufficient funds or compliance with the margin requirements (applicable to margin account). Fubon Securities is not in any circumstances be liable in any way for any loss of profit or gain, damage, liability or cost or expense suffered or incurred by the Client arising from or in connection with Fubon Securities' refusal to act on such instruction or omitting to notify the Client of such refusal.
富邦證券獲授權但無義務應客戶或授權人的指示進行有關交易（不論是直接或是透過其他交易商或其他人進行）。富邦證券可隨時或不時對任何有關帳戶施加任何限制，包括持倉限額，而客戶同意不超逾該限制。如任何該等限制已經或將會超逾，富邦證券可拒絕有關指示，及 / 或將有關未完成的有關交易進行平倉。富邦證券可行使其絕對酌情權拒絕執行客戶的任何指示，並毋須提供任何原因，尤其當有賣盤時，缺乏持有足夠證券的證據，或遇買盤時，缺乏持有足夠資金的證據或未能遵守保證金規定（適用於保證金帳戶）。在任何情況下，富邦證券無須就因或與富邦證券拒絕執行該等指示或不向客戶作出相關通知，而引起或有關之利益損失，或招致客戶損害、責任或支出，而承擔任何責任。

The Client undertakes to fully and forthwith upon demand indemnify the Fubon Securities from all losses, damages, costs, expenses, obligations and liabilities whatsoever, present or future, actual or contingent, due to the Fubon Securities by the Client or incurred by the Fubon Securities arising from or otherwise in connection with such dealings or transactions that the Authorized Person(s) may enter with the Fubon Securities from time to time on the Client behalf.
客戶承諾富邦證券提出要求時立即保償富邦證券由於或有關獲授權人可能不時代表客戶處理及執行的交易事宜而蒙受及衍生的一切損失、費用、支出、義務及債務，不論它們屬於現在或未來的、已然或可能發生的。

This Third Party Authorization shall continue and remain in full force and effect until revoked by the Client by a written notice addressed to the Fubon Securities and received and acknowledged by the Fubon Securities, but such revocation shall not affect any liability in any way resulting from dealings or transactions initiated prior to such revocation.
本第三者授權將持續及全面生效，直至客戶將有關的撤銷通知以書面方式送達富邦證券並由富邦證券加以確認，但該撤銷行動並不影響任何由該行動之前已經開始的交易於任何方面所產生的責任。

	Authorized Person (1) 獲授權人士 (1)	*Authorized Person (2)* 獲授權人士(2)
Name 姓名：		
HKID / Passport No. 香港身份證 / 護照號碼：		
Relationship with the Client 與客戶的關係：		
Telephone No. 電話號碼：		
Accepted and Signed by Authorized Person 獲授權人接納和簽署		
Confirmed and Signed by the Client 由客戶確認及簽署		

9. Fax or Other Similar Means Instructions 圖文傳真或其他同類型指示

☐ ***Where the Client intends to give instructions to Fubon Securities by way of facsimile, telex, telephone or other similar means, the Client needs to execute this section.***
假如客戶有意以圖文傳真、電報、電話或其他方式向富邦證券發出的任何指示，客戶必須簽訂本章節。

Notwithstanding the Agreement, the account mandate or course of dealing between Fubon Securities and the Client, the Client, being the undersigned, hereby requests and authorizes Fubon Securities (but Fubon Securities is not obliged) to act on any instructions or communication for any purpose which may from time to time be or purport to be given by way of facsimile, telex, telephone or other similar means as agreed and accepted by Fubon Securities in connection with the Client's account(s):
不論協議，帳戶指令或慣常交易過程有任何其他條款，客戶（下述簽署人）特此請求及授權富邦證券（但富邦證券並無義務必須執行）按照:

* by the Client/any one of the Client; or
  客戶 / 客戶的當中任何一人；或
* by any person from time to time authorized to operate the Client's account(s) in the Client's name with Fubon Securities.
  不時獲授權處理客戶在富邦證券開立的帳戶之任何人士就任何目的不時透過或看來是透過圖文傳真、電報、電話或任何其他按富邦證券絕對酌情權同意及接受的同類型方式向富邦證券發出關於帳戶的任何指示或通知行事。

The Client understands and acknowledges that the risks of any of the above instructions or communication being given by person(s) purporting to be the Client/any one of the Client/any of the Authorized Person(s) shall be borne by the Client and Fubon Securities will not be liable for any losses or damages arising provided Fubon Securities has acted in good faith.
客戶明白及確認：可能有人自稱客戶 / 客戶的當中任何一人 / 授權人員而向富邦證券發出上述指示或通知，此等風險概由客戶承擔。富邦證券如真誠行事，則無須為任何因此而產生之損失或損害負任何責任。

In consideration of Fubon Securities agreeing to act on the above instructions or communication, the Client agrees and undertakes:-
鑒於富邦證券同意按上述指示或通知行事，客戶特此同意和承諾：

(1) that Fubon Securities is authorized to record the telephone conversations between the Client/any one of the Client/any of the Authorized Person(s) and Fubon Securities, in writing or by tape or other means as Fubon Securities may determine, and Fubon Securities' records shall be conclusive and binding on the Client. Fubon Securities may dispose of such written records and erase such tapes after the expiration of such period as Fubon Securities deems fit;
授權富邦證券以書面、錄音帶或富邦證券不時決定的其他方式記錄客戶 / 客戶的當中任何一人 / 獲授權人與富邦證券在電話中的談話，而富邦證券的記錄具決定性，且對客戶具約束力。在富邦證券認為適當的期限結束後，富邦證券可處置該等書面記錄及抹去錄音帶上之錄音；

(2) that Fubon Securities may require the above instructions or communication to contain an identification code or test specified by Fubon Securities from time to time;
富邦證券可要求上述指示或通知載有富邦證券不時指定的識別代碼或鑒定裝置；

(3) that Fubon Securities may, under circumstances determined by Fubon Securities, require from the Client a confirmation of any of the above instructions or communication in such form as Fubon Securities may specify before acting on the same; 在富邦證券決定的某些情況下，富邦證券在按上述指示或通知行事前，可要求客戶 / 客戶的當中任何一人 / 獲授權人以富邦證券指定的方式 確認指示或通知；

(4) that Fubon Securities may refuse to act on any of the above instructions or communication in the absence of any code, test or confirmation specified by Fubon Securities pursuant to paragraph (2) or (3) above (in which event Fubon Securities shall have the absolute discretion to determine the disposal of the relevant instruction or communication), without responsibility or liability on Fubon Securities' part for any such refusal or delay in acting as a result;
如上述指示或通知並未載有富邦證券根據上述 (2) 款指定的代碼或裝置，或並未依照富邦證券根據上述 (3) 款指定的方式獲得確認，富邦證券可拒絕按該等指示或通知行事 (在此情況下富邦證券有絕對酌情權決定如何處置有關指示或通知)。富邦證券無須為拒絕或因此延遲行事而負任何責任;

(5) that where any instruction or communication is given by facsimile followed by delivery of the original instruction or communication, the fact that the same has been given by facsimile and the date of the facsimile shall be unequivocally annotated on the original copy. Fubon Securities will not be liable for any consequence due to the absence of such annotation in any case including (without limitation), in the case of payment or assets transfer instruction, any losses arising from any payment or assets transfer effected in duplicate by Fubon Securities as a result;
凡以圖文傳真發出指示或通知，隨後再將指示或通知之正本送交富邦證券，客戶保證正本必清楚註明該指示或通知曾以傳真發出及傳真日期。任何正本欠缺該附註而引起的一切後果（包括但不限於富邦證券按付款或資產調度指示作出雙重付款或或資產調度所引致的任何損失），富邦證券概無須負任何責任；

(6) that Fubon Securities will not be liable for any failure or delay in acting on any of the above instructions or communication by reason of any cause beyond Fubon Securities' control, including (without limitation) any breakdown or failure of transmission or communication facilities for whatsoever reason, or breakdown of or delay or error in transmission or communication for any other reason; and
對於因富邦證券無法控制的任何原因（包括但不限於傳送或通訊設施因任何原因損壞或失效，或因任何其他原因導致傳送或通訊無法進行或發生延誤或錯誤），致使富邦證券未能或延遲按上述指示或通知行事，富邦證券無須負任何責任；及

(7) (if the Client consists of two or more, jointly and severally) to fully indemnify Fubon Securities on demand against all claims, proceedings, liabilities, losses and expenses (including legal costs) resulting directly or indirectly from Fubon Securities' acting on any of the above instructions or communication.
對於富邦證券依照上述任何指示或通知行事而直接或間接引起之所有索賠、法律行動、法律責任、損失及開支（包括法律費用），客戶（如屬二人或以上，則共同及個別）在富邦證券要求時即會向富邦證券作出全面的賠償。

This Authority and Indemnity shall be governed by and construed in accordance with the laws of the Hong Kong Special Administrative Region and the Client irrevocably submits to the non-exclusive jurisdiction of the Hong Kong Special Administrative Region courts.
此授權和賠償書受香港特別行政區法律管轄，並按香港法律予以解釋。客戶特此不可撤銷地接受香港法院之非專屬性司法管轄權的管轄。

Primary Client' Signature 主要客戶簽署	Joint Client's Signature 聯名客戶簽署
Date (DD/MM/YY) 日期 (日 / 月 / 年)	Date (DD/MM/YY) 日期 (日 / 月 / 年)

10. The Client's Declarations 客戶聲明

(1) The Client has read, understood and agreed to be bound by all the Terms and Conditions for Account issued by Fubon Securities and acknowledge the receipt of a copy.
客戶已經細閱、明白及接受由富邦證券所提供的《帳戶章則及條款》，並承認已收到有關章則及條款乙份。

(2) The Client hereby confirms that the information above given is true, correct and complete and authorizes Fubon Securities to verify the same from any source it may consider fit. The Client also undertakes to notify Fubon Securities immediately of any changes to the above information.
客戶確認上述資料乃屬真確、正確及完整，並授權富邦證券可向任何方面證實。客戶亦承諾如上述資料有任何改變，會立即通知富邦證券。

(3) The Client hereby confirms that the Risk Disclosure Statements have been provided in the language of the Client's choice (English or Chinese); and the Client has been invited to read the Risk Disclosure Statements and Authority and Indemnity (if applicable), to ask questions and to take independent advice if the Client wishes.Where a Margin Account is to be opened, the Client confirms that the Client hereby authorizes and agrees that in respect of any collateral deposited with Fubon Securities by the Client (or on the Client's behalf) and for a period of 12 months from the date of this Account Opening Form, Fubon Securities shall be entitled to:
客戶確認已按照客戶選擇的語言（英文或中文）獲提供風險披露聲明，及已獲邀請細閱風險披露聲明及授權和賠償書（如適用），提出問題及徵求獨立的意見（如客戶有此意願）。如客戶欲開立之帳戶為保證金買賣帳戶，客戶在此授權富邦證券並同意，客戶（或代客戶）存放於富邦證券的抵押品，由本開戶表格簽訂之日期起為期 12 個月，富邦證券有權：

- * deposit any of the collateral with an authorized financial institution (as defined by the Securities and Futures Ordinance) as collateral for any financial accommodation provided to Fubon Securities; or
  將任何有關證券抵押品存放於認可財務機構（定義見《證券及期貨條例》），作為提供予富邦證券的財務融通的抵押品；或
- * deposit the collateral with (i) a recognized clearing house or (ii) another intermediary licensed by or registered with the SFC for dealing in securities as collateral for the discharge and satisfaction of Fubon Securities' settlement obligations and liabilities.
  將任何有關證券抵押品存放於 (i) 認可結算所或 (ii) 另獲香港證券及期貨事務監察委員會發牌或註冊進行證券交易的中介人，作為解除富邦證券在交收上的義務和清償富邦證券在交收上的法律責任的抵押品。

(4) Fubon Securities is entitled to rely fully on such representations and information for all purposes, unless the Client informs Fubon Securities in writing of any change to that information. Fubon Securities is authorized at any time to contact anyone, including the Client's bankers, brokers or any credit agency, for the purpose of verifying the information provided on this Account Opening Form.
富邦證券有權基於一切目的而完全倚賴有關陳述及資料，除非客戶以書面通知富邦證券有關資料有任何改變，則作別論。富邦證券獲授權隨時聯絡任何人，包括客戶之銀行、經紀或任何信用機構，藉以核實本開戶表格中所提供之資料。

(5) Where the Client has completed this Account Opening Form in Chinese and/or read the Chinese version of the Terms and Conditions for Account, the Client is aware that the English version of the same prevails over the Chinese version.
如客戶用中文填寫此開戶表格及 / 或已閱讀《帳戶章則及條款》的中文版本，客戶知悉條文的詮釋以英文版本為準。

(6) The Client hereby confirms that the Client is not a person of the United States of America ("US"), whether for US securities or tax laws or for any other purposes. The Client also confirms that the Client is not acting as agent on behalf of any US Person. The Client undertakes to immediately notify Fubon Securities should the Client (in case of a joint account, any one of the Clients) becomes or be deemed to be US Person at any future time. (For the definition of "US Person", please refer to the Terms and Conditions for Account issued by Fubon Securities.)
客戶確認，無論從美國的證券或稅務法例或其他方面而言，客戶均並非美國的公民。客戶並不代表任何美國公民行事。客戶承諾，如客戶（如為聯名帳戶，則其中任何一位帳戶持有人）日後成為或被視作美國公民，將立即通知富邦證券。(「美國公民」的定義參閱由富邦證券提供的《帳戶章則及條款》。)

(7) The Client confirms that the Client is not currently employed by any licensed or registered person in Hong Kong to carry out regulated activities as defined in the Securities and Futures Ordinance ("Ordinance"). Otherwise, the Client understands that the Client is required to provide to Fubon Securities written consent(s) from the Client's employer(s) before the Client can open the Account. The Client undertakes to promptly notify Fubon Securities if the Client becomes or ceases to be employed by any licensed or registered person to carry out regulated activities.
客戶確認客戶現時並非受僱於任何香港持牌法團或註冊機構從事證券及期貨條例（"該條例"）界定的受規管活動。否則，客戶明白客戶須向富邦證券提供其僱主所發出的同意書方可以於富邦證券開立有關帳戶。客戶並承諾如將受僱或不再受僱於任何持牌法團或註冊機構從事受規管活動時，會立即通知富邦證券。
Note 注意： *A licensed person means a licensed corporation licensed under the Ordinance. A registered person means a registered institution registered under the Ordinance.* 持牌法團指根據該條例獲批給牌照的持牌法團。註冊機構指根據該條例註冊的認可財務機構。

Primary Client's Signature
主要客戶簽署

Joint Client's Signature
聯名客戶簽署

Date (DD/MM/YY) 日期 (日 / 月 / 年)

Date (DD/MM/YY) 日期 (日 / 月 / 年)

11. Attestation Certificate 見簽證書
(Applicable to Non Face to Face Account Opening Procedures 適用於非親身進行的開戶程序)

I, the undersigned, hereby certify that this Account Opening Form is signed by the person(s) who is identified by production of his/her/their identification document(s) particularized in this Account Opening Form.
本人，下列簽署人，謹此證明，本開戶表格由出示本開戶表格載列的身分證明文件，並據其識別身分的人士，於本人面前簽署。

Signature 簽署

Name 姓名

Date (DD/MM/YY) 日期 (日 / 月 / 年)

* Profession / Title 所屬專業 / 職銜

Contact details 聯絡資料____

* Justice of the Peace, Branch Manager of licensed bank, Certified Public Accountant, Lawyer or Notary Public.
太平紳士、持牌銀行分行經理、執業會計師、律師或公證人。

12. The Employee's Declarations 僱員聲明

The Employee hereby declares that:-
僱員現聲明：－

(1) The Risk Disclosure Statements set out herein in the language of the Client(s)' choice (English or Chinese) have been provided to the Client(s) and the Client(s) has/have been invited to read the Risk Disclosure Statements and Authority and Indemnity (if applicable), to ask questions and to take independent advice if the Client(s) wish(es).
已按照客戶選擇的語言（英文或中文）提供風險披露聲明及授權和賠償書，及已邀請其細閱風險披露聲明及授權和賠償書（如適用），提出問題及徵求獨立的意見(如客戶有此意願)。

(2) The Employee has already explained to the Client(s) that if the Client(s) is or are currently employed by any registered or licensed person in Hong Kong to carry out regulated activities, the Client(s) is/are required to provide to Fubon Securities a written consent(s) if his/her/their employer(s) in support of this application.
僱員已向客戶解釋，如客戶現時受僱於任何香港持牌法團或註冊機構從事該條例界定的受規管活動；客戶須向富邦證券提供其僱主所發出的同意書以支持客戶的申請方可以於富邦證券開立帳戶。

Employee's Signature 授僱員簽署	CE No. CE 編號
Employee's Name 僱員名稱	Date (DD/MM/YY) 日期 (日 / 月 / 年)

13. For Office Use Only 僅供職員填寫v5

Forms and documents to be completed, signed and submitted
需填寫、簽署及遞交的表格及文件

	Yes 是	Pending 待補	Remark 備註
Client's Account Opening Form 客戶開戶表格	☐	☐	☐ ________
Copies of Identification Documents (Including principal client, joint account holders and all Authorized Person(s)) (e.g Hong Kong Identity Card/Taiwan National Identity Card/ Passport) 身份證明文件（包括主要客戶、聯名客戶及所有被授權人）副本 (例如:香港身份證/台灣國民身份證/護照)	☐	☐	☐ ________
Copy of Client Residential Address Proof 客戶住址證明副本 (Including primary client, joint client and all Authorized Person(s)) (包括客戶、聯名客戶及所有被授權人)	☐	☐	☐ ________
Copy of Client's Bank Statement (Hong Kong or Overseas) 客戶銀行帳戶結單(香港或海外)副本	☐	☐	☐ ________

Account Executive's Signature 經紀簽署	Approved by 批核	Checked by 核對	Reviewed by 覆核
CE No.: CE 編號：	CE No.: CE 編號：		
Date (DD/MM/YY) 日期 (日 / 月 / 年)	Date (DD/MM/YY) 日期 (日 / 月 / 年)	Date (DD/MM/YY) 日期 (日 / 月 / 年)	Date (DD/MM/YY) 日期 (日 / 月 / 年)

Account Activation Date (DD/MM/YY) 帳戶生效日期 (日 / 月 / 年) ________________