



SILVERBRICKS SECURITIES

元庫證券有限公司

Account Opening Form (Individual Account) 開戶表格(個人帳戶)

Documents for Account Opening 開戶文件要求

- | | |
|---|---|
| <p>i. 客戶年滿 18 歲或以上
Applicants must be 18 years old or above</p> <p>ii. 有效之香港身份證 / 護照副本
Copy of valid HKID or passport</p> <p>iii. 最近三個月內附申請人姓名之住址證明
Public utility bill issued within 3 months matches with applicant's name</p> <p>iv. 共同申報準則-自我證明表格-個人
CRS-Self Declaration Form-Individual</p> | <p>v. 不少於港幣或等值一萬元, 並與開戶申請表格簽署相同之個人支票 (如需要)
Personal check no less than HK10,000 or equivalent, with a signature that matches the signature on the form (if necessary)</p> <p>vi. W-8BEN 表格 / W-9 表格 (如適用)
W-8BEN form / W-9 form (if applicable)</p> <p>vii. 投資風險評估問卷
Risk Assessment Questionnaire</p> |
|---|---|

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網址 : www.silverbricks.com.hk
證監會中央編號 : BLN458

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Kowloon, Hong Kong
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Website : www.silverbricks.com.hk
SFC CE No. : BLN458

* 元庫證券有限公司 以下會以 “元庫證券” 簡稱

Silverbricks Securities Company Limited hereinafter referred to as “SSL”

Date 日期: _____

AE Code:	A/C No 帳戶號碼:
AE Name:	How long known to AE 與客戶主任認識多久:
Referrer 介紹人:	How long known to referrer 與介紹人認識多久:

(I) Personal Information 個人資料

English Name 英文姓名	Mr./Ms.	Mobile Number 流動電話
Chinese Name 中文姓名	先生/女士	Home Tel. Number 住宅電話
ID/Passport No. 身份證/護照號碼		Office Tel. Number 辦公室電話
Nationality 國籍		Fax Number 傳真電話
Place of Birth 出生地點		E-mail Address 電郵地址
Date of Birth 出生日期		
Residential Address 住宅地址		
Send statement & contract note to: 帳戶結單及交易單據送遞至		
<input type="checkbox"/> E-MAIL ADDRESS 電郵地址 <input type="checkbox"/> RESIDENTIAL ADDRESS 住宅地址 <input type="checkbox"/> ADDRESS BELOW 以下地址		
Correspondence Address 聯絡地址		

Education Level 教育程度	<input type="checkbox"/> Primary or below 小學或以下	<input type="checkbox"/> Secondary 中學
		<input type="checkbox"/> Tertiary or above 大學或以上

(II) Employment Status 工作狀況

Name of Employer 僱主名稱	Nature of Business 業務性質	Position 職位	Year with Employer 任職年期
Business Address 工作地址			

(III) Settlement Bank Information 交收銀行資料 (For Fund Deposit Only 只供入數之用)

Currency 貨幣	Name of Bank 銀行名稱	Account Number 戶口號碼
HKD 港元		
USD 美金		
RMB 人民幣		

(IV) Language Selection for Statement & Trading System 報告及交易系統語言選擇

<input type="checkbox"/> 繁體中文	<input type="checkbox"/> 簡體中文	<input type="checkbox"/> 英文
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(V) Financial Situation 財務狀況

Annual Income 每年收入 (in HK\$ 港幣)			
<input type="checkbox"/> <= \$250,000	<input type="checkbox"/> \$250,001 - \$500,000	<input type="checkbox"/> \$500,001 - \$1,000,000	<input type="checkbox"/> >\$1,000,000
Total Liquid Asset 流動資產淨值 (in HK\$ 港幣)			
<input type="checkbox"/> <= \$500,000	<input type="checkbox"/> \$500,001 - \$2,500,000	<input type="checkbox"/> \$2,500,001 - \$5,000,000	<input type="checkbox"/> >\$5,000,000
Total Net Asset 資產淨值 (in HK\$ 港幣)			
<input type="checkbox"/> <= \$500,000	<input type="checkbox"/> \$500,001 - \$2,500,000	<input type="checkbox"/> \$2,500,001 - \$5,000,000	<input type="checkbox"/> >\$5,000,000
Ownership of Residence 住宅業權			
<input type="checkbox"/> Owned 自置 (<input type="checkbox"/> Mortgaged 按揭 / <input type="checkbox"/> without Mortgage 無按揭)		<input type="checkbox"/> Rented 租用	<input type="checkbox"/> Owned by relative 親屬擁有房產
Sources of Fund/Wealth 資金/財富來源			
<input type="checkbox"/> Saving from Salary 薪金儲蓄	<input type="checkbox"/> Family 家庭	<input type="checkbox"/> Business Profits 商業盈利	<input type="checkbox"/> Rental Income 租金收入
<input type="checkbox"/> Loan from Financial Institution 金融機構借貸 <input type="checkbox"/> Others 其他: _____			

(VI) Investment Experience and Objective 投資經驗及目標

Experience with Investment Product 投資產品經驗					
<input type="checkbox"/> Stocks 證券	<input type="checkbox"/> Nil 沒有	<input type="checkbox"/> <1 year 年	<input type="checkbox"/> 1-5 years 年	<input type="checkbox"/> 6-10 years 年	<input type="checkbox"/> >10 years 年
<input type="checkbox"/> CBBC 牛熊證	<input type="checkbox"/> Nil 沒有	<input type="checkbox"/> <1 year 年	<input type="checkbox"/> 1-5 years 年	<input type="checkbox"/> 6-10 years 年	<input type="checkbox"/> >10 years 年
<input type="checkbox"/> Warrants 衍生權證 (窩輪)	<input type="checkbox"/> Nil 沒有	<input type="checkbox"/> <1 year 年	<input type="checkbox"/> 1-5 years 年	<input type="checkbox"/> 6-10 years 年	<input type="checkbox"/> >10 years 年
<input type="checkbox"/> Futures/Options 期貨/期權	<input type="checkbox"/> Nil 沒有	<input type="checkbox"/> <1 year 年	<input type="checkbox"/> 1-5 years 年	<input type="checkbox"/> 6-10 years 年	<input type="checkbox"/> >10 years 年
<input type="checkbox"/> Funds 基金	<input type="checkbox"/> Nil 沒有	<input type="checkbox"/> <1 year 年	<input type="checkbox"/> 1-5 years 年	<input type="checkbox"/> 6-10 years 年	<input type="checkbox"/> >10 years 年
<input type="checkbox"/> Bonds 債券	<input type="checkbox"/> Nil 沒有	<input type="checkbox"/> <1 year 年	<input type="checkbox"/> 1-5 years 年	<input type="checkbox"/> 6-10 years 年	<input type="checkbox"/> >10 years 年
<input type="checkbox"/> Others 其他 _____	<input type="checkbox"/> Nil 沒有	<input type="checkbox"/> <1 year 年	<input type="checkbox"/> 1-5 years 年	<input type="checkbox"/> 6-10 years 年	<input type="checkbox"/> >10 years 年
Estimated Investment Amount 估計投資金額					
<input type="checkbox"/> <= \$100,000	<input type="checkbox"/> \$100,001 - \$1,000,000	<input type="checkbox"/> \$1,000,001 - \$5,000,000	<input type="checkbox"/> \$5,000,001 - \$10,000,000	<input type="checkbox"/> >\$10,000,000	
Investment Objective 投資目標					
<input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Dividend Yield 股息回報 <input type="checkbox"/> Speculation 投機 <input type="checkbox"/> Capital Gain 資本增值 <input type="checkbox"/> Income Generation 產生收入					
<input type="checkbox"/> Others 其他 _____					
Investment Time Horizon 投資年期					
<input type="checkbox"/> Short Term 短線		<input type="checkbox"/> Medium Term 中線		<input type="checkbox"/> Long Term 長線	

I wish to purchase the following derivative product(s) which is/are traded on an exchange
 本人希望購入以下可在交易所買賣之衍生產品
 Callable Bull/Bear Contracts(CBBC) 牛熊證 / Derivative Warrants 衍生權證(窩輪) / Exchange-Traded Funds(ETFs)交易所買賣基金

Knowledge of Derivative Products 對衍生產品的認識：

1. I underwent training or attended courses on derivative products. 本人曾接受有關衍生產品的培訓或修讀相關課程。

2. I have current or previous work experience related to derivative products. 本人現時或過去擁有與衍生產品有關的工作經驗。

3. I have executed five or more transactions within the past three years in derivative products, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Index Futures and Options, Commodities Futures, Structured Products, and Exchange-Traded Funds, etc.
 本人於過去 3 年內曾執行過 5 次或以上有關衍生產品的交易，例如：衍生權證、牛熊證、股票期權、指數期貨及期權、商品期貨、結構性產品及交易所買賣基金等。

4. I do not have any knowledge of derivative products. 本人並未有衍生產品之認識

SSL has accessed the Client based on the information provided above and have notified the Client that it is compulsory to understand derivative products before trading them. **SSL** has also warned the Client about the product nature, characteristics and risk associated with derivative products.
元庫證券已根據以上資料對客戶進行評估，並已通知客戶買賣衍生產品前必須對相關產品具備足夠的認識，及已提醒客戶要注意衍生產品之產品性質、特性及風險。

(VII) Declaration 聲明

Identity Declaration 身份聲明	
Are you acting as an intermediary for the account? 閣下是否以中介人身份操作帳戶? If yes 如是, Name of the ultimate beneficial owner(s) 戶口最終權益擁有人名稱: _____ ID/Passport No. 身份證/護照號碼: _____ Phone No 電話號碼: _____	<input type="checkbox"/> YES 是 <input type="checkbox"/> NO 否
Do you have any relationship with any substantial shareholder, director or employee of SSL or its associated companies? 閣下是否與元庫證券或其關聯公司之主要股東、董事或僱員有任何關係? Name of associated company (if applicable) 關聯公司名稱 (如適用): _____ Name of shareholder/director/employee* 股東/董事/僱員* 名稱: _____ Relationship 關係: _____	<input type="checkbox"/> YES 是 <input type="checkbox"/> NO 否
Are you a U.S. citizen (e.g. holding U.S. Passport) or U.S. resident alien (e.g. holding U.S. green card)? 閣下是否為美國公民 (持有美國護照) 或美國居民 (持有美國綠卡)? If yes, please fill in Form W-9. Otherwise, please fill in Form W-8BEN. 如是, 請填寫 W-9 表格, 否則請填寫 W-8BEN 表格。	<input type="checkbox"/> YES 是 <input type="checkbox"/> NO 否
Are you an employee of a licensed corporation under the Securities and Futures Ordinance, or a registered institution under the Banking Ordinance (whether you are currently a SFC licensed person /HKMA registered person or not)? 閣下是否為任何根據證券及期貨條例註冊持牌法團或銀行業條例之註冊機構之僱員 (不管閣下現時是否為證監會持牌人士/金管局註冊人士)? If yes, you must provide consent letter from your employer 如是, 必須出示僱主之授權信 Licensed Corporation/Registered Institution Name 持牌法團/註冊機構名稱: _____ Position 職位: _____ CE No. 中央編號: (Employer 僱主) _____ / (Employee 僱員) _____ (If any 如有)	<input type="checkbox"/> YES 是 <input type="checkbox"/> NO 否
Related Account(s) 相關帳戶	
Does the spouse of the Client have an account with SSL? 客戶的配偶是否持有元庫證券的帳戶? Name of Spouse 配偶姓名: _____ Account No. 帳戶號碼: _____	<input type="checkbox"/> YES 是 <input type="checkbox"/> NO 否
Does the Client, either alone or with the spouse, is/are in control of 35% or more of the voting rights of any corporate client of SSL? 客戶是否單獨或與配偶共同控制任何元庫證券的公司客戶 35%或以上之表決權? Name of corporate client 公司客戶名稱: _____ Account No. 帳戶號碼: _____	<input type="checkbox"/> YES 是 <input type="checkbox"/> NO 否
Use of Personal Data in Direct Marketing 使用個人資料作直接促銷用途	
<p>We, as the account holder, are hereby informed that SSL and/or any of the holding companies/subsidiaries associated with SSL (collectively "Silverbricks Group Companies") intends to use and transfer within Silverbricks Group Companies the personal data of us and various individuals related to this account (collectively "Data Subjects") for the direct marketing of: (i) financial services and investment products; (ii) related promotion schemes; (iii) financial and investment advices; or (iv) promotional and marketing events of Silverbricks Group Companies for the aforesaid services or products. Such personal data includes the Data Subjects' name, contact details, financial background and statistical data which are provided to Silverbricks Group Companies under this Account Opening Form or obtained by Silverbricks Group Companies from time to time. We understand that we may, at any time, require Silverbricks Group Companies to cease to use or transfer within Silverbricks Group Companies the Data Subjects' personal data for direct marketing through such channel prescribed by Silverbricks Group Companies.</p> <p>吾等, 作為帳戶持有人, 現獲告知元庫證券及與之有關的任何控股/子公司(統稱“元庫集團公司”)擬使用及在元庫集團公司之間轉移吾等及各與本帳戶有關人士(統稱“資料當事人”)之個人資料以直接促銷: (i) 金融服務和產品; (ii) 相關優惠計劃; (iii) 金融與投資建議; 或 (iv) 元庫集團公司就前述產品及服務之業務推廣和宣傳活動。該等資料當事人的資料包括吾等在本開戶表格中向元庫集團公司提供的及元庫集團公司不時獲得的姓名、聯絡詳情、財務背景及統計資料等個人資料。吾等明白吾等可以隨時通過元庫集團公司指定的渠道要求元庫集團公司停止在直接促銷中使用吾等的個人資料。</p>	
<input type="checkbox"/> We agree to the aforesaid use of the Data Subjects' personal data in Silverbricks Group Companies. 吾等同意元庫集團公司如上所述情況使用資料當事人之個人資料。 <input type="checkbox"/> We agree to the aforesaid transfer of the Data Subjects' personal data within Silverbricks Group Companies 吾等同意如上所述情況在元庫集團公司之間轉移資料當事人之個人資料。 <input type="checkbox"/> We object to the use of or transfer within Silverbricks Group Companies the Data Subjects' personal data by Silverbricks Group Companies in direct marketing. 吾等反對元庫集團公司使用或在元庫集團公司之間轉移資料當事人的個人資料作直接促銷用途。	

(VIII) Account Type 戶口種類

	Select Service(s) 選擇服務
Cash Account 現金賬戶 Please open a Cash Account for me/us. I/We have read and understand the provisions of the Securities Client Agreement and agree to be bound by same. 請為我/我們開立保證金帳戶。我/我們已經閱讀並明白證券客戶協議的條款，並接受這些條款的約束	<input type="checkbox"/> 現金賬戶 Cash Account
Margin Account 保證金賬戶 Please open a Margin Account for me/us. I/We have read and understand the provisions of the Securities Client Agreement and agree to be bound by same. 請為我/我們開立保證金帳戶。我/我們已經閱讀並明白證券客戶協議的條款，並接受這些條款的約束。	<input type="checkbox"/> 保證金賬戶 Margin Account
Online Trading Service 網上交易服務 Please provide me/us with Electronic Services. I/We have read and understand the provisions of the On-Line Trading Agreement and agree to be bound by same. 請為我/我們提供電子服務。我/我們已經閱讀並明白網上交易協議的條款，並同意這些條款的約束。	<input type="checkbox"/> 網上交易 On-Line Trading *雙重密碼認證方式 Dual Password send by : <input type="checkbox"/> 手機程式 Mobile App <input type="checkbox"/> 短訊 SMS

(IX) Acknowledgement and Execution by the Client 客戶確認及簽署

<p>1. I hereby confirm and represent that the information on this Account Opening Form is true, complete and correct. SSL is entitled to rely fully on such information and representations for all purposes, unless SSL receives notice in writing of any change of information contained on this Account Opening Form. SSL or any of its agents is hereby authorized at any time to contact anyone, including my/our banks or any credit agency, for the purpose of verifying the information provided on this Account Opening Form.</p> <p>2. I hereby confirm that I/we have been provided the Client Agreement (“the Agreement”) of SSL, the Terms of Electronic Trading Services (if applicable) and the Risk Disclosure Statement — Securities Trading Account in a language of my choice (English or Chinese), receipt of copy of which is hereby acknowledged by me/us.</p> <p>3. I hereby apply to open the types of account(s) and service(s) which I choose on the front page of this Account Opening Form and confirm that I have read and understand the relevant provisions of the attached Client Agreement and accept and agree to be bound by the Agreement as the same may be amended from time to time, and I hereby give you notice in writing that I confirm and authorize SSL to exercise all the powers of the Standing Authorization under the Client Agreement.</p> <p>4. I request SSL to open a securities trading account (“the Account”) for me and agree to abide by the rules and regulations of the Exchange or any other regulatory body(ies) as amended from time to time governing the purchase and sale of securities quoted on the Exchange or any other stock exchanges.</p> <p>5. I further acknowledge and confirm that I have been invited by SSL to read the Risk Disclosure Statement — Securities Trading Account and the Terms of Electronic Trading Services (if applicable); ask questions and take independent advice, if I so wish.</p> <p>6. I want to use the internet securities trading service. I have read and understood the provisions of the Terms of Electronic Trading Services as set out in the Standard Terms and Conditions of the Agreement and I accept to be bound by the same (if applicable).</p> <p>7. I have carefully read, fully understood and agreed to accept and be bound by the Personal Information Collection Statement of the Agreement.</p> <p>1. 本人謹此聲明在本開戶表格所提供之資料全部為真實、完整及正確，除非元庫證券接到更改有關本開戶表格內容之書面通知，否則元庫證券有權完全依賴此等資料及聲明作一切用途。元庫證券或其代理獲授權可隨時就核對本開戶表格資料事宜，與任何人包括本人/吾等之銀行或任何信用機構進行核實。</p> <p>2. 本人確認元庫證券已按本人選擇的語言(英文或中文)提供了客戶協議書(“該協議書”)、及電子交易服務條款(如適用)及風險披露聲明書—證券交易帳戶之副本。</p> <p>3. 本人現申請開立本人在本開戶表格頁首所選擇之帳戶及服務類別。本人確認已閱讀並明白附上之客戶協議書內所有有關條款並且接受及同意受可不時被修改的該協議書之條款所約束，本人在此以書面通知、及確認並授權元庫證券行使在客戶協議書內全部的常設授權。</p> <p>4. 本人要求元庫證券為本人開立證券買賣帳戶(“該帳戶”)並同意遵守聯交所及其他監管機構不時修訂以監管於聯交所或其他交易所進行證券買賣之條例及規則。</p> <p>5. 本人進一步確認元庫證券已經邀請本人閱讀風險披露聲明書—證券交易帳戶及電子交易服務條款(如適用)；提出問題及徵求獨立的意見(如本人有此意願)。</p> <p>6. 本人欲使用互聯網證券交易服務，本人已經閱讀並明白在該協議書內的標準條款及細則中所載之電子交易服務條款的細則，並接受這些條款的約束(如適用)。</p> <p>7. 本人已仔細閱讀、完全理解並同意接受及遵守該協議書內之個人資料收集聲明。</p>	
Date 日期： _____	
Account Name 客戶名稱	Signed by Client 客戶簽署

(X) Certification of Client Signature and Identity Proof (if applicable)

見證客戶簽署及身份證明文件驗證 (如適用)

If this Account Opening Form is not executed in front of SSL's SFC licensed employee or is not submitted with a cheque, a specified person, including any SFC licensed or registered person, a Justice of Peace, or professional such as a Branch Manager of a bank, Certified Public Accountant, lawyer or Notary Public, should be required to sign below. The specified person should provide us with self-certified ID copy and copy of the professional qualification documents.

若本開戶表格並非在元庫證券之證監會持牌僱員面前簽立或並非連同支票一併遞交，則以下部分應由指定人士，包括其他證監會持牌人或註冊人、太平紳士或專業人士例如銀行分行經理、執業會計師、律師或公證人，簽署驗證。而該指定人士需提供其已簽署之身份證明文件副本及其專業資格證明文件之副本。

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

以下簽署人士謹此見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：

Date 日期： _____

Signed and Certified by 見證人簽署	Name 姓名	Profession / Title 所屬專業及職銜
Address 地址		Contact No. 聯絡電話

(XI) Declaration by Licensed Staff 持牌職員聲明

I, a registered person, declare that I have provided the above Client with a copy of the Risk Disclosure Statement — Securities Trading Account in a language of the Client's choice and invited the Client to read the Risk Disclosure Statement — Securities Trading Account, ask questions and take independent advice if the Client so wishes.

本人，以持牌人士身份，確認本人已按照上述客戶所選擇的語言提供風險披露聲明書 — 證券交易帳戶之副本及邀請客戶閱讀該風險披露聲明書 — 證券交易帳戶、提出問題及徵求獨立意見(如客戶有此意願)。

The signature(s) of the above Client(s) was/were made in my presence.

以上客戶簽署乃於本人面前簽立。

Date 日期： _____

Signed by Staff 職員簽署	Name of Staff 職員姓名	CE Number 中央編號
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(XII) For Internal Use 本公司內部使用

<input type="checkbox"/> 客戶年滿 18 歲 <input type="checkbox"/> 身份證(三粒星)護照副本 <input type="checkbox"/> 最近三個月內附客戶姓名之住址證明 <input type="checkbox"/> W-8BEN 表格 (如適用) / <input type="checkbox"/> W-9 表格 (如適用) <input type="checkbox"/> 核實簽署之支票 (如需要) <input type="checkbox"/> Investment Risk Profile Questionnaire (如需要) when dealing with Bond, Funds, OTC products <input type="checkbox"/> 其他 _____	佣金收費: _____ % / \$	批核人員名稱:	
	佣金收費 (網上買賣): _____ % / \$	批核人員職位:	
	交易限額: \$ _____	批核人員簽名:	
信貸限額: \$ _____			
資料輸入:	資料核對:	帳戶批核:	密碼發送:
備註欄:			