



客戶資料表
(個人/ 聯名賬戶)
CLIENT INFORMATION STATEMENT
(INDIVIDUAL/ JOINT ACCOUNT)

僅供內部使用 For Internal Use Only

賬戶號碼: Account No.	
客戶姓名: Client(s) Name:	
經紀姓名: AE Name:	
開戶日期 A/C Opening Date	

1. 帳戶類別 Account Type(s) (Please tick appropriate box. 請在適當空格加 "✓")

現金帳戶 Cash Account	
<input type="checkbox"/> 個人賬戶 Individual Account	<input type="checkbox"/> 聯名賬戶 Joint Account
<input type="checkbox"/> 港股證券交易 HK Securities Trading	<input type="checkbox"/> 美股證券交易 US Securities Trading
網上交易服務 Internet Trading Services	: <input type="checkbox"/> 需要 Required <input type="checkbox"/> 不需要 Not required
訂單覆盤電子郵件服務 Order Notification Email Services	: <input type="checkbox"/> 需要 Required <input type="checkbox"/> 不需要 Not required
專業投資者賬戶服務 Professional Investor Account Services	: <input type="checkbox"/> 需要 Required <input type="checkbox"/> 不需要 Not required

2. 個人資料 Personal Information

	個人/ 聯名賬戶主要持有人 Individual/ Primary Joint Account Holder	聯名賬戶第二持有人 Secondary Joint Account Holder
姓名		
Name		
性別 Gender	<input type="checkbox"/> 男 Male <input type="checkbox"/> 女 Female	<input type="checkbox"/> 男 Male <input type="checkbox"/> 女 Female
出生日期 Date of Birth	年 YYYY / 月 MM / 日 DD	年 YYYY / 月 MM / 日 DD
出生地點 Country of Birth		
身分證明文件 類別及號碼 Identity Document Types & No.	<input type="checkbox"/> 香港身份證 HKID card 號碼 No.: _____	<input type="checkbox"/> 香港身份證 HKID card 號碼 No.: _____
	<input type="checkbox"/> 國民身分證明文件 National identification document (非香港居民 Non-Hong Kong Resident) 號碼 No.: _____	<input type="checkbox"/> 國民身分證明文件 National identification document (非香港居民 Non-Hong Kong Resident) 號碼 No.: _____
	<input type="checkbox"/> 護照 Passport (非香港居民 Non-Hong Kong Resident) 號碼 No.: _____	<input type="checkbox"/> 護照 Passport (非香港居民 Non-Hong Kong Resident) 號碼 No.: _____
簽發地點 Place of Issue		
國籍 Nationality		
住宅地址 Residential Address		
(不接受郵政信箱) (P.O. Box is not allowed)		
	郵政編號 Postal Code	郵政編號 Postal Code
住宅電話 Home No.		
手機號碼 Phone No.	1.(+) 2.(+)	1.(+) 2.(+)
電郵地址 E-mail Address		與主要賬戶持有人關係 Relationship with Primary Account Holder
個人/聯名賬戶由主要持有人填寫 Fill in by Individual/Primary Joint Account Holder		
學歷程度 Education Level	<input type="checkbox"/> 小學或以下 Primary School or below <input type="checkbox"/> 中學 Secondary School <input type="checkbox"/> 大學 University <input type="checkbox"/> 法律 Law <input type="checkbox"/> 會計 Accounting <input type="checkbox"/> 商科 Business <input type="checkbox"/> 其他 Other _____	<input type="checkbox"/> 小學或以下 Primary School or below <input type="checkbox"/> 中學 Secondary School <input type="checkbox"/> 大學 University <input type="checkbox"/> 法律 Law <input type="checkbox"/> 會計 Accounting <input type="checkbox"/> 商科 Business <input type="checkbox"/> 其他 Other _____
就業情況 Employment Status	<input type="checkbox"/> 受僱 Employed <input type="checkbox"/> 自僱 Self-employed, <input type="checkbox"/> 學生 Student <input type="checkbox"/> 退休 Retired <input type="checkbox"/> 其他 Other _____	<input type="checkbox"/> 受僱 Employed <input type="checkbox"/> 自僱 Self-employed, <input type="checkbox"/> 學生 Student <input type="checkbox"/> 退休 Retired <input type="checkbox"/> 其他 Other _____
行業 Occupation		
職位 Job Title		
公司名稱 Company Name		



HTF SECURITIES LIMITED
瑞豐國際證券有限公司
 CE No: BNO909

賬戶號碼
 Account No : _____
 客戶姓名
 Client Name: _____

	個人/聯名賬戶主要持有人 Individual/ Primary Joint Account Holder	聯名賬戶第二持有人 Secondary Joint Account Holder
辦公室電話 Office Tel		
辦公室地址 Office Address		
業務性質 Nature of business		
在職年期 Years of service		

3. 結單收取方式 及 結單語言 Statement Collection Method and Statement Languages

結單收取方式 Statement Collection Method : (只選一項 Tick ONE only "✓")
☐ 電郵 By E-mail ☐ 郵寄 By post → ☐ 住宅地址 Home Address ☐ 辦公室地址 Office Address
 (郵寄結單收取每月行政費 Monthly Administration fee will be applied to paper statement)
 結單語言 Statement Languages → ☐ T. Chinese 繁體 ☐ S. Chinese 簡體中文 ☐ English 英文

4. 指定銀行 Designated Bank

(客戶的款項將會存入下列客戶銀行戶口。 All monies payable to the client to be deposited to the following client bank account)

貨幣 Currency	銀行名稱 Name of Bank	賬戶號碼 Account No.	賬戶名稱 Account Name	銀行地點 Bank Location
<input type="checkbox"/> HKD 港元				<input type="checkbox"/> 香港 HK <input type="checkbox"/> 其他 Other :
<input type="checkbox"/> USD 美元				<input type="checkbox"/> 香港 HK <input type="checkbox"/> 其他 Other :
<input type="checkbox"/> RMB 人民幣				<input type="checkbox"/> 香港 HK <input type="checkbox"/> 其他 Other :

5. 財政狀況 Financial Situation

個人/聯名賬戶主要持有人 Individual/ Primary Joint Account Holder		第二戶口持有人 Secondary Joint Account Holder	
年薪 Annual Income	<input type="checkbox"/> <HKD 120,000 <input type="checkbox"/> HKD 120,001 - HKD 360,000 <input type="checkbox"/> HKD 360,001 - HKD 600,000 <input type="checkbox"/> HKD 600,001 - HKD 1,200,000 <input type="checkbox"/> > HKD 1,200,000	年薪 Annual Income	<input type="checkbox"/> <HKD 120,000 <input type="checkbox"/> HKD 120,001 - HKD 360,000 <input type="checkbox"/> HKD 360,001 - HKD 600,000 <input type="checkbox"/> HKD 600,001 - HKD 1,200,000 <input type="checkbox"/> > HKD 1,200,000
資金來源 Source of Funds	<input type="checkbox"/> 薪金儲蓄 Savings from Salary <input type="checkbox"/> 家庭 Family <input type="checkbox"/> 營業溢利 Trading Profits <input type="checkbox"/> 租金收入 Rental Income <input type="checkbox"/> 金融機構貸款 Loan from Financial Institution <input type="checkbox"/> 其他 Other:	資金來源 Source of Funds	<input type="checkbox"/> 薪金儲蓄 Savings from Salary <input type="checkbox"/> 家庭 Family <input type="checkbox"/> 營業溢利 Trading Profits <input type="checkbox"/> 租金收入 Rental Income <input type="checkbox"/> 金融機構貸款 Loan from Financial Institution <input type="checkbox"/> 其他 Other:
住屋業權 Ownership of Residence	<input type="checkbox"/> 擁有 Owned <input type="checkbox"/> 已抵押 Mortgaged <input type="checkbox"/> 沒有抵押 Not mortgaged <input type="checkbox"/> 沒有 Not owned <input type="checkbox"/> 租住 Rental <input type="checkbox"/> 與家人同住 Living with family	住屋業權 Ownership of Residence	<input type="checkbox"/> 擁有 Owned <input type="checkbox"/> 已抵押 Mortgaged <input type="checkbox"/> 沒有抵押 Not mortgaged <input type="checkbox"/> 沒有 Not owned <input type="checkbox"/> 租住 Rental <input type="checkbox"/> 與家人同住 Living with family
流動資產 Liquid Assets	<input type="checkbox"/> <HKD 100,000 <input type="checkbox"/> HKD 100,001 - HKD 500,000 <input type="checkbox"/> HKD 500,001 - HKD 1,000,000 <input type="checkbox"/> HKD 1,000,001 - HKD 5,000,000 <input type="checkbox"/> HKD 5,000,001 - HKD 10,000,000 <input type="checkbox"/> Other: HKD	流動資產 Liquid Assets	<input type="checkbox"/> <HKD 100,000 <input type="checkbox"/> HKD 100,001 - HKD 500,000 <input type="checkbox"/> HKD 500,001 - HKD 1,000,000 <input type="checkbox"/> HKD 1,000,001 - HKD 5,000,000 <input type="checkbox"/> HKD 5,000,001 - HKD 10,000,000 <input type="checkbox"/> Other: HKD
資產淨值 Net Worth	<input type="checkbox"/> <HKD 100,000 <input type="checkbox"/> HKD 100,001 - HKD 500,000 <input type="checkbox"/> HKD 500,001 - HKD 1,000,000 <input type="checkbox"/> HKD 1,000,001 - HKD 5,000,000 <input type="checkbox"/> HKD 5,000,001 - HKD 10,000,000 <input type="checkbox"/> Other: HKD	資產淨值 Net Worth	<input type="checkbox"/> <HKD 100,000 <input type="checkbox"/> HKD 100,001 - HKD 500,000 <input type="checkbox"/> HKD 500,001 - HKD 1,000,000 <input type="checkbox"/> HKD 1,000,001 - HKD 5,000,000 <input type="checkbox"/> HKD 5,000,001 - HKD 10,000,000 <input type="checkbox"/> Other: HKD



6. 投資目標及經驗 Investment Objective and Experience

個人/聯名賬戶主要持有人 Individual/ Primary Joint Account Holder	第二戶口持有人 Secondary Joint Account Holder
1. 投資目標 Investment Objective <input type="checkbox"/> 賺取收入 Generating Income <input type="checkbox"/> 對沖 Hedging <input type="checkbox"/> 資本增長 Capital Appreciation <input type="checkbox"/> 投機 Speculation	1. 投資目標 Investment Objective <input type="checkbox"/> 賺取收入 Generating Income <input type="checkbox"/> 對沖 Hedging <input type="checkbox"/> 資本增長 Capital Appreciation <input type="checkbox"/> 投機 Speculation
2. 投資買賣經驗 Investment Experience <input type="checkbox"/> 否 NO <input type="checkbox"/> 是 YES (可選多於一項 Can choose more than one) <input type="checkbox"/> 上市證券 Listed Securities _____ 年 Years <input type="checkbox"/> 期貨 Futures _____ 年 Years <input type="checkbox"/> 期權 Options _____ 年 Years <input type="checkbox"/> 商品 Commodities: _____ 年 Years <input type="checkbox"/> 外匯 Foreign Exchange _____ 年 Years <input type="checkbox"/> 基金 Fund _____ 年 Years <input type="checkbox"/> 其他，請註明 Other, please specify: _____ _____, _____ 年 Years	2. 投資買賣經驗 Investment Experience <input type="checkbox"/> 否 NO <input type="checkbox"/> 是 YES (可選多於一項 Can choose more than one) <input type="checkbox"/> 上市證券 Listed Securities _____ 年 Years <input type="checkbox"/> 期貨 Futures _____ 年 Years <input type="checkbox"/> 期權 Options _____ 年 Years <input type="checkbox"/> 商品 Commodities: _____ 年 Years <input type="checkbox"/> 外匯 Foreign Exchange _____ 年 Years <input type="checkbox"/> 基金 Fund _____ 年 Years <input type="checkbox"/> 其他，請註明 Other, please specify: _____ _____, _____ 年 Years
3. 投資年期 Investment time horizon <input type="checkbox"/> 長期投資 (3 年以上) Long Term (Over 3 years) <input type="checkbox"/> 中期投資 (1 年-2 年) Medium Term (1 – 2 years) <input type="checkbox"/> 短期投資 (<1 年) Short Term (Less than 1 year) <input type="checkbox"/> 其他，請註明 Others, please specify: _____	3. 投資年期 Investment time horizon <input type="checkbox"/> 長期投資 (3 年以上) Long Term (Over 3 years) <input type="checkbox"/> 中期投資 (1 年-2 年) Medium Term (1 – 2 years) <input type="checkbox"/> 短期投資 (<1 年) Short Term (Less than 1 year) <input type="checkbox"/> 其他，請註明 Others, please specify: _____

7. 衍生產品的認識 Knowledge on Derivative Products

個人/聯名賬戶主要持有人 Individual/ Primary Joint Account Holder	第二戶口持有人 Secondary Joint Account Holder
1. 已接受有關介紹一般衍生產品之性質及風險的培訓或課程 (例如:學術機構或金融機構所提供之課程)。 underwent training or attended courses on derivative products that provide general knowledge of the nature and risks of derivatives (e.g. courses offered by academic or financial institutions)	<input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes
2. 擁有與衍生產品有關之工作經驗。 has work experience related to derivative products.	<input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes
3. 有相關之交易經驗，即本人/吾等 於過去 3 年曾執行過 5 次或以上有關衍生產品之交易。 has relevant trading experience i.e. I/We have executed 5 or more transactions in derivative products within the past 3 years.	<input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes
4 並未有衍生產品之認識。 does not have any knowledge of derivative products.	<input type="checkbox"/> 否 No <input type="checkbox"/> 是 Yes
客戶投資意向 Client Investment Intention (請在下面其中一方格中打勾 Please tick one of the boxes below <input checked="" type="checkbox"/>) <input type="checkbox"/> 本人/吾等有意買賣在交易所買賣之衍生產品，並同意承擔衍生產品所附帶的相關潛在風險，即使本人/吾等可能不具相關知識。 I/We intend to trade exchange-traded derivative products and accept to bear the relevant potential risks associated with the derivative products, even though I / we may not have the relevant knowledge. <input type="checkbox"/> 本人/吾等 無意買賣 在交易所買賣之衍生產品。 I/We do not intend to trade exchange-traded derivative products.	
<small>註：交易所買賣之衍生產品包括但不限於衍生權證、牛熊證、合成交易所買賣基金等 Note: Exchange-traded derivative products include but are not limited to derivative warrants, callable bull/bear contracts, synthetic exchange-traded funds etc</small>	



8. 自我證明表格 Self-Certification Form

居留司法管轄區及稅務編號或具有等同功能的識別編號（以下簡稱「稅務編號」）
提供以下資料，列明 (1) 你的居留司法管轄區，亦即是你的稅務管轄區（香港包括在內）及 (2) 該居留司法管轄區發給你的稅務編號。列出所有（不限於 5 個）居留司法管轄區。如你是香港稅務居民，稅務編號是香港身份證號碼。如你是中國稅務居民，稅務編號是中國公民身份證號碼。

如沒有提供稅務編號，必須填寫合適的理由：

理由 A – 你的居留司法管轄區並沒有向其居民發出稅務編號。

理由 B – 你不能取得稅務編號。如選取這一理由，解釋你不能取得稅務編號的原因。

理由 C – 你毋須提供稅務編號。居留司法管轄區的主管機關不需要你披露稅務編號。

Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN")

Complete the following table indicating (1) the jurisdiction of residence (including Hong Kong) where the Account Holder is a resident for tax purposes and (2) the Account Holder's TIN for each jurisdiction indicated. Indicate all (not restricted to five) jurisdictions of residence. 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

Reason A – The jurisdiction where the Account Holder is a resident for tax purposes does not issue TINs to its residents.

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.

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.

主要戶口持有人 Primary Joint Account Holder		第二戶口持有人 Secondary Joint Account Holder	
1. 居留司法管轄區 Jurisdiction of Residence _____	2. 稅務編號 TIN _____	1. 居留司法管轄區 Jurisdiction of Residence _____	2. 稅務編號 TIN _____
如沒有提供稅務編號，填寫理由 A、B 或 C Provide Reason A, B or C if no TIN is available 如選取理由 B，解釋帳戶持有人不能取得稅務編號的原因 Explain why the Account Holder is unable to obtain a TIN if you have selected Reason B		如沒有提供稅務編號，填寫理由 A、B 或 C Provide Reason A, B or C if no TIN is available 如選取理由 B，解釋帳戶持有人不能取得稅務編號的原因 Explain why the Account Holder is unable to obtain a TIN if you have selected Reason B	

警告：根據《稅務條例》第 80(2E)條，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬犯罪。一經定罪，可處第 3 級（即 HK\$10,000）罰款。

WARNING: It is an offence under section 80(2E) of the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. A person who commits the offence is liable on conviction to a fine at level 3 (i.e. HK\$10,000).

9. 海外賬戶稅收合規法案聲明書 FATCA Self-Certification

美國制定的《海外賬戶稅收合規法案》於 2014 年 7 月 1 日起生效。此等新稅務條例要求香港金融機構識別客戶是否美國公民或居民，並向美國稅務當局匯報。現就此事懇請閣下填妥及簽署此聲明書。請就以下問題填寫合適答案：

The Foreign Account Tax Compliance Act ("FATCA") enacted in the United States of America ("US") becomes effective 1 July 2014. The new US tax regulations require Hong Kong financial institutions to identify and report US persons to the relevant tax authority. To certify whether you are a US citizen or resident, please complete and sign this self-certification form. Please select the appropriate boxes below:

個人/聯名賬戶主要持有人 Individual/ Primary Joint Account Holder	第二戶口持有人 Secondary Joint Account Holder
1. 本人聲明本人為美國公民 I Certify that I am a USA citizen. <input type="checkbox"/> 否 <input type="checkbox"/> 是，本人之納稅人識別號碼為 No Yes, My Taxpayer identification no. is _____	1. 本人聲明本人為美國公民 I Certify that I am a USA citizen . <input type="checkbox"/> 否 <input type="checkbox"/> 是，本人之納稅人識別號碼為 No Yes, My Taxpayer identification no. is _____
2. 本人聲明本人為美國居民(包括綠咭持有者) I certify that I am resident of the USA for US federal income tax purpose. (Includes green card holder) <input type="checkbox"/> 否 <input type="checkbox"/> 是，本人之納稅人識別號碼為 No Yes, My Taxpayer identification no. is _____	2. 本人聲明本人為美國居民(包括綠咭持有者) I certify that I am resident of the USA for US federal income tax purpose. (Includes green card holder) <input type="checkbox"/> 否 <input type="checkbox"/> 是，本人之納稅人識別號碼為 No Yes, My Taxpayer identification no. is _____



10. 身份聲明 Identity Declaration

	個人/聯名賬戶主要持有人 Individual/ Primary Joint Account Holder	第二戶口持有人 Secondary Joint Account Holder
你是否此帳戶的最終實益擁有人？(即你是否為本身而非第三者運作此帳戶?) Are you the ultimate beneficial owner(s) in relation to the account? (i.e. Are you acting for your own account and not for a third party?) 如否，帳戶的最終實益擁有人是 If no, details of the ultimate beneficial owner(s) is/ are: 名稱 _____ 身份證/ 護照號碼 _____ Name _____ ID/ Passport No. _____ 地址 _____ Address _____	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
客戶或戶口最終權益擁有人與瑞豐國際證券有限公司(「瑞豐國際證券」)之董事或職員是否有親屬關係? Does Client or the ultimate beneficial owner(s) of the Account have any relationship with the directors or employees of HTF Securities Limited ("HTFSL")? 如是，請詳列該董事或職員之資料: If Yes, please state the information of the director or employee: 有關人士之姓名 Name of the relevant person : _____ 職位 Position Held _____ 關係 Relationship _____	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
你是否證券/期貨交易所參與者的董事、僱員或代理人，或於證監會註冊的持牌法團/註冊機構? Are you a director, an employee or agent of an exchange participant of a stock/ futures exchange, or a licensed corporation or registered institution? 如是，交易所參與者/持牌法團/註冊機構的名稱是(請提供你僱主的書面同意) : If Yes, the name of the related exchange participant/ licensed corporation/ registered institution is (please provide your employer's consent letter): _____	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
你是否瑞豐國際證券的職員或代理人? Are you an employee or agent of HTFSL or its Associated Companies? 如是，職員/代理人的名稱是 If Yes, the detail are : _____	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No

11. 防止洗黑錢/ 恐怖份子籌資 Anti-Money Laundering and Counter-Terrorist Financing

	個人/聯名賬戶主要持有人 Individual/ Primary Joint Account Holder	第二戶口持有人 Secondary Joint Account Holder
客戶是否擔任或曾擔任重要公職之政界人士(包括國家元首、政府首長、資深從政者、高級政府官員、司法或軍事官員、國有企業高級行政人員及重要政黨 幹事)，或是以上人士之家人(包括配偶、伴侶、子女或父母，或該名個人的子女的配偶或伴侶)及其他關係密切的人? Is the client linked to politically exposed persons? (Politically exposed person - individual who is or has been entrusted with prominent public function e.g. head of state/ government, senior politician, senior executive of government-owned corporation, important political party official, etc.), or the closed members of the aforesaid person (including spouse, companion, children or parents, or spouse or companion of the children) and other closely connected person? 如是，請述明, If Yes, , please specify: _____	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
客戶(包括聯名帳戶各持有人及合夥帳戶之各合夥人)的業務性質/ 職業是否特別容易蒙受較高的洗錢/ 恐怖分子資金籌集風險或接觸大量現金往來(如貨幣兌換、博彩業、珠寶業、娛樂服務業)? Is the nature of the client (including any of the joint account holders and partners of a partnership firm)'s business particularly susceptible to money laundering/terrorist financing risk? (For example, money changer or casino business that handles large amount of cash) 如是，請述明, If Yes, , please specify: _____	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
客戶帳戶之資金是否由犯罪活動產生及/或與犯罪活動之收益有關? Are the funds in the client account generated from and/or related to the proceeds of criminal activity? 如是，請述明, If Yes, , please specify: _____	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No



HTF SECURITIES LIMITED
瑞豐國際證券有限公司
CE No: BNO909

賬戶號碼
Account No: _____
客戶姓名
Client Name: _____

12. 客戶同意香港投資者識別碼制度及場外證券交易匯報制度個人資料收集聲明

Client Consent on Hong Kong Investor Identification Regime (HKIDR) and Over-the-counter Securities Transactions Reporting Regime (OTCR) Personal Data Collection Statement

客戶明白並同意，瑞豐國際證券有限公司(“瑞豐國際證券”)為了向客戶提供與在香港聯合交易所(“聯交所”)上市或買賣的證券相關的服務，以及為了遵守不時生效的聯交所與證券及期貨事務監察委員會(“證監會”)的規則和規定，本公司可收集、儲存、處理、使用、披露及轉移與客戶有關的個人資料(包括客戶的客戶識別資訊及券商客戶編碼)。在不限制以上的內容的前提下，當中包括：

The Client acknowledges and agrees that HTF Securities Limited (“HTFSL”) may collect, store, process, use, disclose and transfer personal data relating to the Client (including the Client Identification Data (“CID”) and Broker-to-Client Assigned Number(s) (“BCAN(s)”) as required for us to provide services to the Client in relation to securities listed or traded on the Stock Exchange of Hong Kong (“SEHK”) and for complying with the rules and requirements of SEHK and the Securities and Futures Commission (“SFC”) in effect from time to time. Without limiting the foregoing, this includes:

- (a) 根據不時生效的聯交所及證監會規則和規定，向聯交所及 / 或證監會披露及轉移客戶的個人資料(包括客戶識別資訊及券商客戶編碼)；disclosing and transferring the Client’s personal data (including CID and BCAN(s)) to SEHK and/or the SFC in accordance with the rules and requirements of SEHK and the SFC in effect from time to time;
- (b) 允許聯交所：(i) 收集、儲存、處理及使用客戶的個人資料(包括客戶識別資訊及券商客戶編碼)，以便監察和監管市場及執行《聯交所規則》；(ii) 向香港相關監管機構和執法機構(包括但不限於證監會)披露及轉移有關資料，以便他們就香港金融市場履行其法定職能；及(iii)為監察市場目的而使用有關資料進行分析；及 allowing SEHK to: (i) collect, store, process and use the Client’s personal data (including CID and BCAN(s)) for market surveillance and monitoring purposes and enforcement of the Rules of the Exchange of SEHK; and (ii) disclose and transfer such information to the relevant regulators and law enforcement agencies in Hong Kong (including, but not limited to, the SFC) so as to facilitate the performance of their statutory functions with respect to the Hong Kong financial markets; and (iii) use such information for conducting analysis for the purposes of market oversight; and;
- (c) 允許證監會：(i) 收集、儲存、處理及使用客戶的個人資料(包括客戶識別資訊及券商客戶編碼)，以便其履行法定職能，包括對香港金融市場的監管、監察及執法職能；及(ii)根據適用法例或監管規定向香港相關監管機構和執法機構披露及轉移有關資料。 allowing the SFC to: (i) collect, store, process and use the Client’s personal data (including CID and BCAN(s)) for the performance of its statutory functions including monitoring, surveillance and enforcement functions with respect to the Hong Kong financial markets; and (ii) disclose and transfer such information to relevant regulators and law enforcement agencies in Hong Kong in accordance with applicable laws or regulatory requirements.

客戶亦同意，即使客戶其後宣稱撤回同意，我們在客戶宣稱撤回同意後，仍可繼續儲存、處理、使用、披露或轉移客戶的個人資料以作上述用途。

The Client also agrees that despite any subsequent purported withdrawal of consent by the Client, the Client’s personal data may continue to be stored, processed, used, disclosed or transferred for the above purposes after such purported withdrawal of consent.

客戶如未能向本公司提供個人資料或上述同意，可能意味著瑞豐國際證券不會或不能夠再(視情況而定)執行客戶的交易指示或向客戶提供證券相關服務，惟出售、轉出或提取客戶現有的證券持倉(如有)除外。

Failure to provide the Company with the Client’s personal data or consent as described above may mean that HTFSL will not, or will no longer be able to, as the case may be, carry out the Client’s trading instructions or provide the Client with securities related services (other than to sell, transfer out or withdraw your existing holdings of securities, if any).

客戶身份識別信息 Client Identification Data (CID)

本人/吾等知悉證券及期貨事務監察委員會所要求接受的身份證明文件的優先順序如下：

I/We acknowledge the order of priority of accepted identity documents required by the Securities and Futures Commission as set out below:

個人客戶：(i) 香港身份證；(ii) 國民身分證文件；(iii) 護照

Individual client：(i) HKID card；(ii) National identification document；(iii) Passport

* 聯名賬戶的客戶身份信息與個人客戶相同。CID of Joint account client is required same as Individual client.

備註：本條文所述的“券商客戶編碼”及“客戶識別資訊”具有《證券及期貨事務監察委員會持牌人或註冊人操守準則》第5.6段所界定的含義。

Note: The terms “BCAN” and “CID” used in this clause shall bear the meanings as defined in paragraph 5.6 of the Code of Conduct for Persons Licensed by or Registered with the Securities and Futures Commission.

客戶確認並同意 Client acknowledge and consent (請在下面的方格中打勾 Please tick the box below “✓”)

- ☐ 本人/吾等確認已閱讀並理解上述之內容。本人/吾等同意瑞豐國際證券有限公司根據「香港投資者識別碼制度及場外證券交易匯報制度」下取得本人/吾等同意書，根據其中的條款和目的使用本人/吾等的個人資料。本人/吾等若身份證明檔上的資料有任何變化，本人/吾等會向瑞豐國際證券提供更新的客戶識別資訊及身份證明檔的核證副本。

I/We acknowledge that I/we have read and understand the content of the above. I/WE agree and consent for HTFSL to use my/our personal data on the terms of and for the purposes set out in the “Confirmation of obtaining client consent under the Hong Kong Investor Identification Regime (HKIDR) and Over-the-counter Securities Transactions Reporting Regime (OTCR)”. If there is any Change in my/our CID, I/We will provide HTFSL a certified true copy of the updated identity document.



13. 常設授權 (客戶款項) Standing Authority (Client Money)

除文義另有所指外，於本常設授權書內的任何名詞，與《證券及期貨條例》、《證券及期貨 (客戶款項) 規則》不時修訂之定義具有相同意思。

Unless otherwise specified, any term in this Standing Authority shall have the same meaning as defined and amended in the Securities and Futures Ordinance, Securities and Futures (Client Money) Rules from time to time.

請勾選以下方框以授權 Please tick the box below to authorize "✓":

- ☐ 本人 / 吾等謹此授權瑞豐國際證券有限公司 (瑞豐國際證券) 如下 (除非另有指示):
I/We hereby authorize HTF Securities Limited ("HTFSL") as follows (unless instructed otherwise):
- 1 收到以上帳戶的提款指示後，一概直接從以上帳戶開發支票/銀行轉賬予該次指示 (不論口頭、書面或電子形式) 本人 / 所指定的其中一位帳戶持有人 (只供聯名帳戶之用)
Upon all requests for fund withdrawal for the above-mentioned Account, to issue cheques payable/bank transfer to any one of the Account-holders in accordance with the instructions (whether verbal, written or by electronic means) given by me/any one of us at the time of request. (For joint account only)
2. 可在本人 / 吾等在瑞豐國際證券開立之帳戶將任何款項 (包括衍生利息)、證券及 / 或證券抵押品相互轉帳以作為交收及 / 或滿足任何保證金要求。如瑞豐國際證券有預先就該等轉帳通知本人 / 吾等，或該等轉帳乃根據本人 / 吾等指示 (不論口頭、書面或電子形式) 而執行，則瑞豐國際證券不需為該等轉帳招致的任何損失、費用及 / 或利息開支負責。
To transfer any fund (including interest derived), securities and/or securities collateral among my/our Accounts opened with HTFSL for settlement purpose and/or for the satisfaction of any margin requirements. HTFSL shall not be responsible for any loss, costs and/or interest expenses etc. arisen if the transfer / receipt of funds has been communicated with me/us or under my/our instructions whether verbal, written or by electronic means.
3. 本人 / 吾等知悉此常設授權自本常設授權日期起生效，為期十二個月。瑞豐國際證券將於屆滿日期至少一個月前，向本人 / 吾等發出書面通知，告知本人 / 吾等如於屆滿日期前未以書面形式予以撤銷，本常設授權將自動再續期十二個月。瑞豐國際證券可將本常設授權的有效期設定為少於十二個月，致令屆滿日期符合其在每年的三、六、九或十二月續期的制度。本人 / 吾等亦可藉着給予瑞豐國際證券不少於十個工作天的事先通知以撤銷本常設授權。
I/we acknowledge that the validity of this standing authority shall be limited to 12 months commencing from the date of this standing authority. Written notification will be sent to me/us at least 1 month prior to the expiry date informing that this standing authority will automatically be renewed for a further 12 months unless I/we specifically revokes it in writing before the expiry date. HTFSL may set the validity of this standing authority to be less than 12 months in order to correspond to its renewal system which falls on the months ending March, June, September 0 or December of each year. Alternatively, I/we may revoke this standing authority by giving not less than ten (10) business days' prior written notice to HTFSL.
- 本人 / 吾等同意為此常設授權獨自負上全部責任。瑞豐國際證券若根據此常設授權之條款接納本授權並付諸行動，本人 / 吾等將同意就瑞豐國際證券及其董事職員及代表因此可能直接或間接招致 / 承擔的訴訟、法律程序、申索、損失、損害、費用及開支，保障他們無須負責及讓他們在整段期間獲得彌償。
I/we agree to be solely and fully responsible for this standing authority. In consideration of HTFSL agreeing to act in accordance with the terms of this standing authority, I/we further undertake to keep HTFSL and its directors, employees and representatives indemnified at all times against, and to save HTFSL or HTFSL's directors, employees and/or representatives harmless from all actions, proceedings, claims, loss, damage, costs and expenses which may be brought against HTFSL or HTFSL's directors, employees and/or representatives or suffered or incurred by HTFSL or HTFSL's directors, employees and/or representatives and which shall have arisen either directly or indirectly from acting as such.



HTF SECURITIES LIMITED
瑞豐國際證券有限公司
CE No: BNO909

賬戶號碼
Account No : _____
客戶姓名
Client Name: _____

14. 促銷中使用個人資料聲明 Use of Personal Data in Direct Marketing Statement

瑞豐國際證券有限公司 (瑞豐國際證券) 擬把客人的個人資料用於直接促銷，而瑞豐國際證券為該用途須獲得客人同意 (包括表示不反對)。

HTF Securities Limited (HTFSL) intends to use the client's personal data in direct marketing and HTFSL requires the client's consent (which includes an indication of no objection) for that purpose.

請勾選以下其中一方框 Please tick one of the boxes below "✓" :

本人/吾等已閱讀及明白關於「使用個人資料作直接促銷用途」(載於客戶協議條款及細則中個人資料部份), 本人/吾等現
I/We have read and understood the "Use of Personal Data for direct marketing purposes " (as set out in the Personal Data section of Clients Agreement Terms and Conditions) , I/we

☐ 不同意 DISAGREE ☐ 同意 AGREE

瑞豐國際證券有限公司及或集團公司內的任何其他公司，包括母公司使用本人/吾等的個人資料透過專人電話、郵寄、電郵、電話短訊、傳真或其他的途徑作直接促銷。

that HTF Securities Limited and/or any other companies within HTFSL's Group of Companies, including the parent company, to use my/our personal data in direct marketing via personal call, mail, E-mail, SMS, fax or others.

客戶如不欲瑞豐國際證券將其資料作直接促銷用途，客戶可隨時通知瑞豐國際證券以行使其拒絕直接促銷的權利。

If the client does not wish HTFSL to use client's data in direct marketing, the client may exercise the opt-out right by notifying HTFSL at any time.





15. 客戶確認及簽署 Acknowledgement and Execution by Client

本人(吾等) 聲明及確認: I/We hereby declare and confirm that,

1. 本客戶資料表內陳述的資料為真實、完整及準確; 及
the information stated in the Client Information Statement is true, complete and correct; and
2. 本人(吾等) 已閱讀及明白本客戶服務協議所載的條款及細則, 並接受及同意受該等文件約束; 及
I/We have read and understand all Terms & Conditions set out in this Client Services Agreement and accept and agree to be bound thereby; and
3. 本開戶表格所指名的申請人是帳戶及交易的最終實益持有人; 及所有有關開戶之文件可隨時向瑞豐國際證券有限公司索取。
the Account Holder(s) named in this Client Information is/ are the ultimate beneficial owner(s) of the Account(s) and transaction(s); and the Account Opening Documents could be given by HTF Securities Limited at any time.
4. 本人(吾等)知悉及同意, 財務機構可根據《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文, (a) 收集本表格所載資料並可備存作自動交換財務帳戶資料用途及 (b) 把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報, 從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。如帳戶持有人的稅務居民身分有所改變, 應盡快將所有變更通知瑞豐國際證券有限公司。
I/We acknowledge and agree that (a) the information contained in this form is collected and may be kept by the financial institution for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the Account Holder and any reportable account(s) may be reported by the financial institution to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the Account Holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112). An Account Holder should report all changes in his/her tax residency status to the reporting financial institution.
5. 聲明本人已查閱海外帳戶稅收合規法案聲明書之內容, 並盡本人所知及確信, 聲明內容均屬真實、正確及完整。本人同意如以上聲明有變更, 將於 30 日內通知瑞豐國際證券有限公司。
I declare that I have examined the information on the FATCA self-certification and to the best of my knowledge and belief it is true, correct, and complete. I will inform HTF Securities Limited within 30 days if any information herein becomes incorrect.

帳戶號碼 A/C No: _____

個人/主要帳戶持有人簽署 Individual/Primary Joint Account Holder's Signature	聯名帳戶第二帳戶持有人簽署 Secondary Joint Account Holder's Signature:
 姓名 Name : _____ 日期 Date : _____	 姓名 Name : _____ 日期 Date : _____

***將被用作簽名樣式 Will be used as Specimen Signature.**

簽署安排 Signing Arrangement : (只適用於聯名戶口 For Joint Account only)

每一位申請人均同意, 任何就本聯名帳戶運作之書面指示:

For validation on any written instructions relating to the operation of the Account(s), each of the applicants hereby agree that:

(請在下面其中一方格中打勾 Please tick one of the boxes below ☒)

- ☐ **其中一位** 聯名帳戶持有人單簽皆有效。 **Either one** of the account holders sign singly.
- ☐ **兩位** 聯名帳戶持有人共同簽署方為有效。 **Both** account holders sign jointly.

16. 見證人簽署 Signed By Witness

本人, 即下述簽署人, 謹此確認上述客戶於本人面前簽署此申請表, 及本人已參閱相關開戶文件的正本並核實該等文件。

I, the undersigned, hereby confirm that I have identified the above client(s) who executed this Application Form before me, and I have reviewed the originals and certified the account opening documents for the client(s).

見證人簽署 Signature of Witness X	身份證號碼 ID Card No	中央編號 CE No.
	專業及職銜 Profession / Title	日期 Date
Name 姓名	地址 Address	

Where the account opening documents are not executed in the presence of an employee of the licensed or registered person, the signing of the client agreement (as defined in paragraph 6.1 of the Code of Conduct) and sighting of related identity documents should be certified by any other licensed or registered person, an affiliate of a licensed or registered person, a JP (Justice of the Peace), or a professional person such as a branch manager of a bank, certified public accountant, lawyer, notary public or chartered secretary.

如開戶文件並非在持牌人或註冊人的僱員面前簽立, 則客戶協議 (如《操守準則》第6.1段所界定) 的簽立, 及有關的身分證明文件的見證, 應由其他持牌人或註冊人、持牌人或註冊人的聯繫人士、太平紳士或專業人士例如銀行分行經理、執業會計師、律師、公證人或特許秘書加以驗證。

• Sign and write "Certified True Copy" on the photocopy of the documents; 在有關副本上簽署及寫上「經核實之真實副本」;

• Sign and state his/her full name and specific designation on the original copy of the Account Opening Form, and 在開戶申請表的正本上簽署, 並註明見證人的姓名及職銜; 及

• Attach his/her business card. 附上見證人的名片。



Account No : _____

客戶姓名

Client Name:

17. 持牌人聲明 Declaration by Licensed Person

I/We, HTF Securities Limited representative(s), hereby declare and confirm that I/we have provided the Risk Disclosure Statement and Disclaimers in a language of the above client(s) ' choice (English or Chinese) and invited the client(s) to read the same, ask questions and take independent advice if the client(s) so wishes.

與客戶作出聲明的地點 Place to make the Risk Disclosure Statements to the client :

☐ 在瑞豐國際證券有限公司 in the office of HTF Securities Limited

☐ 其他地點 other location:

☐ 透過電話 by phone: 錄音電話號碼 Record Line No _____ 日期 Date _____ 時間 Time _____

持牌人簽署 Licensed Person Signature	持牌人姓名 Name of Licensed Person	中央編號 CE No.
		日期 Date