



**B. 客戶投資經驗及目標 Client Investment Experience and Objectives**

投資經驗 Investment Experience	<input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 少於 1 年 Less than a year <input type="checkbox"/> 1-5 年 years <input type="checkbox"/> 6-10 年 years <input type="checkbox"/> 10 年以上 More than 10years
曾投資的產品 Experienced Products	<input type="checkbox"/> 證券 Stocks <input type="checkbox"/> 認股權證 Warrants <input type="checkbox"/> 期貨/期權 Futures/Options <input type="checkbox"/> 外匯/黃金 Forex/Bullion <input type="checkbox"/> 債券 Bonds <input type="checkbox"/> 基金 Funds <input type="checkbox"/> 其他 Others: _____
投資目標 Investment Objectives	<input type="checkbox"/> 短線 Short Term <input type="checkbox"/> 中線 Medium <input type="checkbox"/> 長線 Long Term <input type="checkbox"/> 資本增值 Capital Appreciation <input type="checkbox"/> 股息回報 Dividend Yield <input type="checkbox"/> 對沖 Hedging <input type="checkbox"/> 投機 Speculation <input type="checkbox"/> 其他 Others: _____
估計投資金額 Estimated Investment	<input type="checkbox"/> <HK\$100,000 <input type="checkbox"/> HK\$100,001 - HK\$500,000 <input type="checkbox"/> HK\$500,001 - HK\$1,000,000 <input type="checkbox"/> >HK\$1,000,000

**C. 客戶財政資料 Client Financial Information**

收入來源 Source of Income	<input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 薪金 Salary <input type="checkbox"/> 佣金 Commission <input type="checkbox"/> 租金 Rent <input type="checkbox"/> 股息/利息 Dividend/Interest <input type="checkbox"/> 業務溢利 Business Profit <input type="checkbox"/> 其他 Others: _____
每年收入 Annual Income	<input type="checkbox"/> <HK\$120,000 <input type="checkbox"/> HK\$120,000 - HK\$300,000 <input type="checkbox"/> HK\$300,000 - HK\$500,000 <input type="checkbox"/> HK\$500,000 - HK\$1,000,000 <input type="checkbox"/> >HK\$1,000,000
資產項目 Asset Items	<input type="checkbox"/> 房產 Property <input type="checkbox"/> 存款 Deposits <input type="checkbox"/> 證券 Listed Securities <input type="checkbox"/> 債券/基金 Bonds/Funds <input type="checkbox"/> 其他 Others: _____
估計淨值 Net Worth	<input type="checkbox"/> <HK\$500,000 <input type="checkbox"/> HK\$500,000 - HK\$1,000,000 <input type="checkbox"/> HK\$1,000,000 - HK\$3,000,000 <input type="checkbox"/> HK\$3,000,000 - HK\$5,000,000 <input type="checkbox"/> HK\$5,000,000 - HK\$10,000,000 <input type="checkbox"/> >HK\$10,000,000

**D. 客戶聲明 Declaration by Client**

身份聲明 Identity Declaration	
閣下是否以中介人身份操作帳戶? Are you acting as an intermediary for the account?  如是, 戶口的最終權益擁有人是 If yes, details of the ultimate beneficial owner(s) is/are  名稱 Name _____ 身份證/護照號碼 ID/Passport No. _____  地址 Address _____	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
閣下與本公司職員是否有親戚關係? Do you have any relationship with any employee of our company?  如是 If yes, 職員名稱 Name _____ 關係 Relationship _____	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
閣下是否其他香港聯合交易所參與者或任何根據證券及期貨條例註冊持牌法團之僱員 (不管閣下現時是否證監註冊人士)? Are you an employee of any participant of The Stock Exchange of Hong Kong or a licensed corporation under the Securities and Futures Ordinance (whether you are currently a licensed person under Securities and Futures Ordinance or not)?  如是 If yes, 參與者/註冊人名稱 Participant/Registered Person's Name: _____  職位 Position: _____ (中央編號 CE No.: _____)  (必須出示所屬持牌法團之授權信 You must provide written approval from your accredited licenced corporation)	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
閣下是否在其他經紀行擁有戶口? Do you have accounts with other brokerage firms?  如是 If yes, 經紀名稱 Broker Name _____ 戶口類別 A/C Type: <input type="checkbox"/> 現金 Cash <input type="checkbox"/> 保證金 Margin <input type="checkbox"/> 期指 Futures  <input type="checkbox"/> 股票期權 Stock Options <input type="checkbox"/> 網上交易帳戶 Internet	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No

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

本人/吾等 (在下面簽署的客戶) 確認美建證券有限公司 (下稱“美建”) 已按本人/吾等選擇的語言 (英文或中文) 提供了客戶協議書及風險之副本。本人/吾等 (在下面簽署的客戶) 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, 除非美建接到更改有關本開戶表格內知, 否則美建有權完全依賴此等資料及聲明作出一切用途。美建或其他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/吾等經紀或任何信用機構進行諮詢。

本人/吾等 (在下面簽署的客戶) 現申請開立本人/吾等在本開戶表格頁首選擇之帳戶及服務類別。本人/吾等在本開戶表格所包括的資料有任何更改, 本人/吾等保證盡快通知美建。本人/吾等確認已閱讀並明白附上之美建證券有限公司客戶協議書 (該協議書) 的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/吾等 (在下面簽署的客戶) 進一步確認美建已經邀請本人/吾等閱讀風險披露聲明, 提出問題及徵求獨立的意見 (如本人/吾等有此意願)。本人/吾等聲明本人/吾等現在沒有受僱於任何特許或註冊人士 (以證券及期貨條例定義) 執行任何控制活動, 否則, 本人/吾等明白在本人可以開立戶口前, 本人/吾等需向美建提交由現任僱主以書面同意。本人/吾等保證迅速地通知美建如本人/吾等受僱於任何特許或註冊人士。

I/We, the undersigned client(s) hereby confirm that I/We have been provided the Client's Agreements (“the Agreement”) of Upbest Securities Company Limited (“Upbest”) and the Risk Disclosure Statement (receipt of a copy whereof is hereby acknowledged by me/us). I/We, the undersigned client(s) hereby confirm and represent that the information on this Account Opening Form is true, complete and correct. Upbest is entitled to rely fully on such information and representations for all purposes, unless Upbest receives notice in writing of any change. Upbest 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. I/We

undertake to notify you as soon as practicable in case any information contained in this Account Opening Form is materially changed.  
 I/We, the undersigned client(s) hereby apply to open the types of account(s) and service(s) which I/We choose on the front page of this Account Opening Form and confirm that I/We have read and understand the relevant provisions of the attached Client's Agreement and accept and agree to be bound by the Agreement as the same may be amended from time to time.  
 I/We, the undersigned client(s) further acknowledge and confirm that I/We have been invited by Upbest to read the Risk Disclosure Statement, ask questions and take independent advice, if I/We wish.  
 I/We declare that I/we am/are not currently employed by any licensed or registered person (as defined in the Securities and Futures Ordinance (Cap. 571 of Laws of Hong Kong) ("SFO")) to carry on any regulated activities (as defined under the SFO) Otherwise, I/we understand that I/we am/are required to provide to **UPBEST** written consent from my/our current employer before I can open this account. I/We undertake to promptly notify **UPBEST** if I/we am/are employed by a licensed or registered person to carry on any regulated activities

Date 日期\_\_\_\_\_YY年\_\_\_\_\_MM月\_\_\_\_\_DD日

客戶簽署 Signed by 1st A/C holder		客戶簽署 Signed by 2nd A/C holder	
客戶姓名 Name		客戶姓名 Name	
聯名帳戶適用 For Joint Account only	帳戶操作指示方式 Account Operation on instruction of <input type="checkbox"/> 任何一位帳戶持有人 Either one of the account holders <input type="checkbox"/> 兩位帳戶持有人 Both account holders		

**F. 見證客戶簽署及身份證明文件驗證 (如適用) Certification of Client Signature and Identity Proof (if applicable)**

若客戶/聯名客戶並非在美建證券有限公司之指定僱員面前簽立本開戶表格或本開戶表格並非連同恰當的支票+一併遞交，則以下部份應由指定人士，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。

If this Account Opening Form is not executed in front of Upbest Securities Company Limited's SFC licenced employee or is not submitted with an appropriate cheque+, a specified person, including any SFC licensed or registered person, a Justice of Peace, a Branch Manager of a bank, Certified Public Accountant, Solicitor or Notary Public, should be required to sign below.

下述簽署人士謹此驗證上述客戶/聯名客戶簽立此文件(連同客戶協議書)及其有關的身份證明文件：

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

Date 日期\_\_\_\_\_YY年\_\_\_\_\_MM月\_\_\_\_\_DD日

簽署及驗證 Signed and Certified by	姓名 Name
	所屬專業及職銜 Profession/Title
聯絡電話 Contact No.	聯絡地址 Address

+客戶在香港的持牌銀行開立的帳戶並由客戶簽發(該簽名須與此開戶表上的客戶簽名相符)並載有客戶在其身份證明文件上所顯示的姓名的劃線支票，而該支票抬頭人須為“美建證券有限公司”及其數額不得少於 10,000 港元。客戶被批核的新帳戶必須待支票兌現後才可使用。A crossed cheque bearing your name shown in your identity document and drawn on your account with a licensed bank in Hong Kong with your same signature(s) as shown on this Form in favour of "Upbest Securities Company Limited" for not less than HKD10,000. Your approved new account will not be activated until the cheque is cleared.

**G 職員聲明 Declaration by Staff**

本人，以註冊人身份，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及邀請客戶閱讀該風險聲明、提出問題及徵求獨立意見(如客戶有此意願)。本人亦已向客戶解釋如他/她現在受僱於任何註冊或特許人士而執行控制活動，客戶需要提供由他/她的僱主書面作支持此申請表格。  
 I, a registered person, declare that I have provided the above client with a copy of the Risk Disclosure Statement in a language of the Client's choice and invited the client to read the Risk Disclosure Statement, ask questions and take independent advice if the client so wishes.

I have also explained to the Client that if he/she is currently employed by any registered or licensed person to carry out regulated activities, the Client is required to provide a written from his/her/their employer (s) in support of this application.

#以上客戶簽署乃於本人面前簽立。The above Client signature(s) was/were made in my presence.

Date 日期\_\_\_\_\_YY年\_\_\_\_\_MM月\_\_\_\_\_DD日

職員簽署 Signed by Staff	職員姓名 Name of Staff	
中央編號 CE Number	向客戶確認之內線## Ext. to confirm with Client	時間## Time

# 如不適用者，必須刪去此句。This sentence must be deleted if not applicable.

## 如#項已被刪去，此欄必須填寫。Please fill in this part if item with # is deleted.

For Our Office Use only

本公司內部使用

核對清單		客戶介紹人 (戶口號碼 )																	
<input type="checkbox"/> 客戶年滿 18 歲 <input type="checkbox"/> 身份證／護照副本 <input type="checkbox"/> 最近三個月附客戶姓名之住址證明 <input type="checkbox"/> 核實簽署之支票 (如需要) <input type="checkbox"/> 保留支票副本 <input type="checkbox"/> 香港持牌銀行支票 <input type="checkbox"/> 抬頭人為美建證券有限公司 <input type="checkbox"/> 銀碼不少於 HK\$10,000 <input type="checkbox"/> 支票上之客戶名稱與本表格相符 <input type="checkbox"/> 支票上之客戶簽署與本表格相符 <input type="checkbox"/> 重覆帳戶/黑名單帳戶 <input type="checkbox"/> 其他：_____		經紀／分行名稱 (編號 ) 與經紀認識 年																	
		佣金收費																	
		<table border="1"> <tr> <th colspan="2">港股 HK\$</th> <th colspan="2">股票期權 HK\$</th> </tr> <tr> <td>普通</td> <td>% Min \$</td> <td>普通</td> <td>% Min \$</td> </tr> <tr> <td>即日</td> <td>% Min \$</td> <td>即日</td> <td>% Min \$</td> </tr> <tr> <td>網上</td> <td>% Min \$</td> <td>網上</td> <td>% Min \$</td> </tr> </table>		港股 HK\$		股票期權 HK\$		普通	% Min \$	普通	% Min \$	即日	% Min \$	即日	% Min \$	網上	% Min \$	網上	% Min \$
		港股 HK\$		股票期權 HK\$															
		普通	% Min \$	普通	% Min \$														
		即日	% Min \$	即日	% Min \$														
		網上	% Min \$	網上	% Min \$														
		佣金代號																	
客戶號碼																			
開戶批核		密碼發送 ( 港股 )	密碼發送 ( 股票期權 )																
_____ 批核人名稱 _____ 日期 _____年_____月_____日		_____ 經手人 _____ _____年_____月_____日	_____ 經手人 _____ _____年_____月_____日																
資料輸入	資料核對	備註																	
_____年_____月_____日	_____年_____月_____日																		