

To: Public Securities Limited

致: 大眾証券有限公司

Room 1101-3 Wing On House, 71 Des Voeux Road Central, Hong Kong
香港德輔道中71號永安集團大廈1101-3室

Account No.
戶口號碼

附表 1A Schedule 1A

Registered with the Securities and Futures Commission as a securities dealer (CE No. AAZ165) and an exchange participant of The Stock Exchange of Hong Kong Limited.
為證券及期貨事務監察委員會註冊的證券商 (中央編號: AAZ165) 以及香港聯合交易所有限公司參與者。

ACCOUNT APPLICATION FORM 開戶申請表 - For Individual & Joint Account 個人及聯名戶口適用

Note 注意: 1. Please complete in Block Letters and tick where applicable. 請用正楷填寫, 並在適當地方加上剔號。
2. *Please delete whichever is not appropriate and mark "N/A" on the unfilled spaces. *請刪去不適用者, 並在不適用者填上"N/A"。

1. Account Type 戶口類別

<input type="checkbox"/> Individual Account 個人戶口	<input type="checkbox"/> Joint Account 聯名戶口
(✓ one or more) (以下可✓超過一項):	
<input type="checkbox"/> Securities - Cash Account 證券現金戶口	<input type="checkbox"/> Securities - Margin Account 證券保證金戶口
Total number of Account(s) opened 開戶總數:	
Cash/Margin Account(s) require Internet & Mobile App trading service? 現金/保證金戶口選用互聯網及流動電話應用程式交易服務? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	

2. Personal Information 個人資料

Name in English as per your *Identity Card/Passport 英文姓名, 姓名必須與閣下的 *身份證/護照的紀錄相符: <small>*Mr/Mrs/Miss/Ms 先生/太太/小姐/女士</small>			Name in Chinese 中文姓名:		
Surname/ Last Name 姓氏: _____ Given Name/First Name 名字: _____					
*Identity Card Number/Passport Number *身份證號碼/護照號碼: <small>(Please enclose copy 請附副本)</small>			*Identity Card/Passport Issuing Country *身份證/護照簽發國家:		
Nationality 國籍:	Place of Birth 出生地點:	Marital Status 婚姻狀況:	Date of Birth (dd/mm/yyyy) 出生日期(日/月/年):	TIN 稅務編號:	
Current Residence Address 現時住址: <small>(No P.O. Box Please 請勿填上郵政信箱)</small>					
Residence 住處 <input type="checkbox"/> with Parents 與父母同住 <input type="checkbox"/> Rented-private 租用私人樓宇 <input type="checkbox"/> Rented-public 租用公共房屋 <input type="checkbox"/> Mortgage 按揭貸款 <input type="checkbox"/> Owned 自置 <input type="checkbox"/> Quarters 宿舍 <input type="checkbox"/> Others 其他 _____				Year(s) and Month(s) at Present Address 居住年期	
Contact Telephone Number 聯絡電話號碼	Residential 住宅	Office 辦事處	Mobile Phone 手提電話	Fax 傳真	
Email 電郵:			CCASS Investor Account Name & No.: 中央結算投資者戶口名稱及號碼:		
Employment 受僱資料 Employer Name 僱主名稱 _____ Business Type 業務類型 _____ Position 職位 _____ Year of Service 任職年期 _____ Office Address 辦事處地址 _____					
Source of Income 收入來源	<input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Commission 佣金 <input type="checkbox"/> Rent 租金 <input type="checkbox"/> Dividend 股息/Interest 利息 <input type="checkbox"/> Business Profit 業務溢利				
	<input type="checkbox"/> Nil 無 <input type="checkbox"/> Others 其他 _____				
Annual Income 每年收入(HK\$港元)	<input type="checkbox"/> Below 低於 120,000 <input type="checkbox"/> 120,000 - 360,000 <input type="checkbox"/> 360,001 - 600,000 <input type="checkbox"/> 600,001 - 1,200,000 <input type="checkbox"/> Above 高於 1,200,000				
Asset Type 資產類別	<input type="checkbox"/> Land and Property 房地產 <input type="checkbox"/> Cash 現金/Deposit 存款 <input type="checkbox"/> Listed securities 上市證券 <input type="checkbox"/> Vehicle(s) 車輛 <input type="checkbox"/> Others 其他 _____				
Total Net Asset Value 資產淨值(HK\$港元)	<input type="checkbox"/> Below 低於 100,000 <input type="checkbox"/> 100,000 - 300,000 <input type="checkbox"/> 300,001 - 500,000 <input type="checkbox"/> 500,001 - 1,000,000 <input type="checkbox"/> Above 高於 1,000,000				
Have the client ever declared bankruptcy? 客戶是否曾經宣佈破產? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 If yes, please provide the date and details 如是, 請提供日期及詳情:					

Secondary Joint Account Holder (For Joint Account Only) 第二聯名戶口持有人個人資料 (只適用於聯名戶口)

Name in English as per your *Identity Card/Passport 英文姓名, 姓名必須與閣下的 *身份證/護照的紀錄相符: <small>*Mr/Mrs/Miss/Ms 先生/太太/小姐/女士</small>			Name in Chinese 中文姓名:		
Surname/ Last Name 姓氏: _____ Given Name/First Name 名字: _____					
*Identity Card Number/Passport Number *身份證號碼/護照號碼: <small>(Please enclose copy 請附副本)</small>			*Identity Card/Passport Issuing Country *身份證/護照簽發國家:		
Relationship with Account Holder (1) 與帳戶持有人 (1) 的關係: <input type="checkbox"/> Immediate Family 直系親屬 Please specify 請註明: _____ <input type="checkbox"/> Relatives 親屬 <input type="checkbox"/> Friends 朋友 <input type="checkbox"/> Others 其他 _____					
Nationality 國籍:	Place of Birth 出生地點:	Marital Status 婚姻狀況:	Date of Birth (dd/mm/yyyy) 出生日期(日/月/年):	TIN 稅務編號:	
Current Residence Address 現時住址: <small>(No P.O. Box Please 請勿填上郵政信箱)</small>					
Residence 住處 <input type="checkbox"/> with Parents 與父母同住 <input type="checkbox"/> Rented-private 租用私人樓宇 <input type="checkbox"/> Rented-public 租用公共房屋 <input type="checkbox"/> Mortgage 按揭貸款 <input type="checkbox"/> Owned 自置 <input type="checkbox"/> Quarters 宿舍 <input type="checkbox"/> Others 其他 _____				Year(s) and Month(s) at Present Address 居住年期	
Contact Telephone Number 聯絡電話號碼	Residential 住宅	Office 辦事處	Mobile Phone 手提電話	Fax 傳真	
Email 電郵:			CCASS Investor Account Name & No.: 中央結算投資者戶口名稱及號碼:		

Secondary Joint Account Holder (For Joint Account Only) 第二聯名戶口持有人個人資料 (只適用於聯名戶口)

Employment 受僱資料	
Employer Name 僱主名稱 _____	Business Type 業務類型 _____
Year of Service 任職年期 _____	Position 職位 _____
Office Address 辦事處地址 _____	
Source of Income 收入來源	<input type="checkbox"/> Salary 薪金 <input type="checkbox"/> Commission 佣金 <input type="checkbox"/> Rent 租金 <input type="checkbox"/> Dividend 股息/Interest 利息 <input type="checkbox"/> Business Profit 業務溢利 <input type="checkbox"/> Nil 無 <input type="checkbox"/> Others 其他 _____
Annual Income 每年收入(HK\$港元)	<input type="checkbox"/> Below 低於 120,000 <input type="checkbox"/> 120,000 – 360,000 <input type="checkbox"/> 360,001 – 600,000 <input type="checkbox"/> 600,001 – 1,200,000 <input type="checkbox"/> Above 高於 1,200,000
Asset Type 資產類別	<input type="checkbox"/> Land and Property 房地產 <input type="checkbox"/> Cash 現金/Deposit 存款 <input type="checkbox"/> Listed securities 上市證券 <input type="checkbox"/> Vehicle(s) 車輛 <input type="checkbox"/> Others 其他 _____
Total Net Asset Value 資產淨值(HK\$港元)	<input type="checkbox"/> Below 低於 100,000 <input type="checkbox"/> 100,000 – 300,000 <input type="checkbox"/> 300,001 – 500,000 <input type="checkbox"/> 500,001 – 1,000,000 <input type="checkbox"/> Above 高於 1,000,000
Have the client ever declared bankruptcy? 客戶是否曾經宣佈破產? <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 If yes, please provide the date and details 如是，請提供日期及詳情：	

3. Investment Objective and Experience 投資目的及經驗

Investment Objective 投資目的	<input type="checkbox"/> Hedging 對沖 <input type="checkbox"/> Capital Gain 資本增值 <input type="checkbox"/> Dividend Income 股息收入 <input type="checkbox"/> Long Term Growth 長線投資 <input type="checkbox"/> Others 其他 _____
Experience in Products 曾投資產品	<input type="checkbox"/> Shares 股票 <input type="checkbox"/> Futures 期貨/Options 期權 <input type="checkbox"/> Forex 外匯/Bullion 黃金 <input type="checkbox"/> Bonds 債券/Funds 基金 <input type="checkbox"/> Others 其他 _____
Experience in Investment 投資經驗	<input type="checkbox"/> Less than 1 year 少於一年 <input type="checkbox"/> 1 – 5 Years 年 <input type="checkbox"/> 6 – 10 Years 年 <input type="checkbox"/> Over 10 Years 超過十年

4. Correspondence Address 通訊地址

<input type="checkbox"/> Residential Address 居住地址 <input type="checkbox"/> Office Address 辦事處地址 <input type="checkbox"/> Other 其他 _____	Language Selection 語言選擇
Deliver Combined Daily Statement and Contract Notes to 綜合結單及成交單據送交 <input type="checkbox"/> By mail to Correspondence Address 郵寄至通訊地址 <input type="checkbox"/> By Internet to the email provided in personal information 以互聯網傳送至個人資料提供之電郵地址	<input type="checkbox"/> English <input type="checkbox"/> 中文

5. Settlement Arrangement 結算安排 (Please provide copy of the passbook or copy of bank account statement as proof 請提供存摺副本或銀行結單副本以便證明)

Bank Name 銀行名稱 _____	Bank Account No 銀行戶口 _____	Account Type 戶口類別 _____
Standing Instruction for Cash proceeds from the sale of Securities/Dividends received 股票賣出款項/股息處理指示		
<input type="checkbox"/> Deposit to bank a/c in Hong Kong above 存入以上香港銀行戶口 (only for Hong Kong bank account 只限香港銀行戶口) <input type="checkbox"/> Safe Custody until notice 信託保管直至另行通知		

6. Beneficiary 最終擁有人

Name of Ultimate Beneficial Owner(s) of the Account 戶口最終實益擁有人	Name 名稱：_____
<input type="checkbox"/> Yes 是	Address 地址：_____
<input type="checkbox"/> No (Please state name and address) 否 (請列明姓名及地址)	*ID/Passport No. *身份證/護照號碼：_____
	Place of issue 簽發地點：_____
	TIN 稅務編號：_____

7. Related Account(s) 關連戶口

Are you one of the following persons or their relatives or trustee; shareholder/director (present or in past 12 months)/employee of the Public Bank Group (Public Bank Berhad or any of its subsidiary companies)?
閣下是否大眾銀行集團(馬來西亞大眾銀行或旗下任何附屬機構)的股東/董事(現任或過去12個月曾任/僱員等)人士，或該等人士的親屬或受託人?

Yes. (If yes, please provide the following information) 是。(如是，請填上以下資料)：
Company Name: (公司名稱)：_____ Full Name: (姓名)：_____ Relationship: (關係)：_____

No. I/we confirm that I am/we are not any of the above persons and I/we undertake to notify the company promptly should my/our status change, i.e. I/we become one of the above persons.
否，本人(等)確認本人(等)並非上述任何人士，倘若日後本人(等)身份有變，即本人(等)成為上述任何人士，本人(等)承諾會儘快知會貴公司。

8. Other Accounts 其他戶口

Is your spouse a client of Public Securities Limited? 客戶的配偶是否大眾證券有限公司的客戶?
 Yes, whose name is 是，其姓名為：_____ No 否

Are you alone or with your spouse control 35% or more of the voting rights of any corporate clients of Public Securities Limited?
客戶是否個人或與配偶共同控制任何大眾證券有限公司的公司客戶35%或以上的投票權?
 Yes 是 If yes, please state the details 如是，詳情為：_____ No 否

Account Name 戶口名稱	Account No 戶口號碼	Account Type 戶口類別	Relationship 關係：

9. Other Disclosure 其他披露

Is the client or his/her authorized person a licensed or registered person, director or employee of a person licensed by or registered with the SFC?
客戶或其授權人是否證監會之持牌或註冊人士或持牌或註冊人士之董事或僱員?
 Yes 是 No 否

If Yes, please provide 如是，請提供資料如下：
Name of Licensed/ Registered Person 持牌或註冊人名稱：_____

Address of Licensed/ Registered Person 持牌或註冊人地址：_____

Consent Letter obtained from employer for the opening of the Account: 是否已接獲其僱主對開立戶口的同意書? Yes 是 No 否

10. Declaration and Signature 聲明及簽署

1. I/We confirm that the information given above is correct and complete, and authorize you to confirm this from any source you consider appropriate, including the conduct of any credit checks on me/us.
本人(等)證實上述資料乃屬正確及完整，並授權貴公司可向任何方面查證。

2. I/We confirm that I/we have read and understood the Agreement(s) for the securities trading account applicable to me/us including the following:
本人(等)證實已參閱及明白有關之證券交易戶口使用條款，包括：
 ■ this Account Application Form 本戶口申請表
 ■ the Client Agreement 客戶協議
 ■ any other supplements which may be entered into in writing between the Company and me/us from time to time, including any letters of authorization relating to securities margin financing and other written statements in compliance to statutory requirements.
 任何由本人(等)與貴公司不時訂立之書面補充條款，包括任何有關證券保證金戶口之抵押品授權書及其他因應法例要求而作出的書面陳述。

3. I/We hereby accept and agree to be bound by the Agreement(s). You may amend the terms and conditions of the Agreement(s) from time to time by giving me/us notice 14 days prior to such amendment. Unless you have received my/our request to close the account, if I/we continue to use the account I/we shall be deemed to have accepted such changes.
本人(等)特此接納使用條款。貴公司有權於十四日通知期後更改使用條款，除非貴公司收到本人通知取消戶口通知，否則表示本人(等)接納該更改條款。

4. I/We understand that the account is subject to your final acceptance.
本人(等)明白貴公司有最終接納開戶與否之權利。

5. I/We hereby certify, declare and acknowledge that I/we have fully understood the risk disclosure statement in the language of my/our choice. I/We have been invited to read the risk disclosure statement, and to ask questions and take independent advice.
本人(等)現聲明及確認已獲得提供按照本人(等)選擇的語言之風險披露聲明書，本人(等)已獲邀閱讀此風險披露聲明，提出問題及徵求獨立意見。

Client Signature 客戶簽署: _____ (1) Client Signature 客戶簽署: _____ (2)
 Name of Client 客戶姓名: _____ (1) Name of Client 客戶姓名: _____ (2)
 Date 日期: _____ (1) Date 日期: _____ (2)

Signing Arrangement 簽署安排

Unless otherwise specified, any of the following persons may sign and (1) effect securities trading transaction(s); and/or (2) effect payment for funds deposit, withdrawal and/or transfer transaction(s) of securities trading.
除非另外述明，下列任何人士可簽署及 (1) 進行證券交易；及 / 或 (2) 為證券交易進行資金支付、提取及 / 或轉帳事宜。

Specimen Signature 簽署式樣

Signature of Account Holder 戶口持有人簽署
 Name 姓名: _____
 Date 日期: _____

For Joint account only 只適用於聯名戶口：

Specimen Signature 簽署式樣

Signature of Alternate Account Holder 戶口持有人簽署
 Name 姓名: _____
 Date 日期: _____

Risk Disclosure Statement 風險披露聲明 (to be completed by the Company 由本公司填寫)

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

Face to Face 面對面 Telephone 電話 _____

Name of Registered Person 註冊人姓名: _____ CE No. 中央號碼: _____ Signature of Registered Person 註冊人簽署: _____ Date 日期: _____
 Recorded Line No. 電話錄音號碼: _____
 Time 時間: _____

For Official Use Only 供內部填寫

For Securities Transactions 如屬證券買賣：

Name and code of Account Executive 客戶主任姓名及編號	How long known to Account Executive 與客戶主任認識時間	Signature of Account Executive 客戶主任簽名
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Market 市場	Commission Rate(%) 佣金率(%)	Minimum(HKS) 最低佣金(HKS)	Commission Retained by Account Executive 客戶主任留存佣金	Maximum Credit Limit 最高信貸額	Proposed Trading Limit 建議交易額上限
Hong Kong Stock 香港股票					
Others 其他					

Special Considerations & Comments 特別考慮因素及意見：

Checklist 核對清單 <input type="checkbox"/> Client and Account Executive properly signed 客戶及客戶主任簽名 <input type="checkbox"/> Declaration signed by Registered Person 註冊人員聲明 <input type="checkbox"/> Signed copies of ID Card/Passport of Client 客戶之身份證/護照副本 <input type="checkbox"/> Address proof within last 3 months 最近三個月內之住址證明 <input type="checkbox"/> Correspondence address proof (applicable if different from residential address) 通訊地址證明(如非住址時須要) <input type="checkbox"/> Financial Proof (If applicable) 財政狀況證明(如適用) <input type="checkbox"/> Good faith Deposit, amount 身份核證支票，銀碼 _____ Cheque No. 支票號碼 _____ <input type="checkbox"/> Signed Authorization Letter under the Securities and Futures (Client Securities) Rules (applicable to Margin Account only) 根據證券及期貨(客戶證券)規則之簽訂授權書 (只適用於保證金戶口) <input type="checkbox"/> (For authorized person) Certified Copy of ID Card or Passport (if applicable) (如屬授權人士) 身分證或護照核證副本(如適用) <input type="checkbox"/> Signed Letter of Authorization for Third Party Operated Account 第三者操作戶口所簽訂之授權書 <input type="checkbox"/> FATCA Self-Certification Form 海外賬戶稅收合規法案自我證明表格 <input type="checkbox"/> CRS Self-Certification Form 共同匯報準則自我證明表格 Please note that the new account will not be activated until the cheque has cleared. 請注意除非支票已獲得結算，否則新設立戶口將不能使用。	Customer Service Officer 客戶服務主任	Responsible Officer 負責人員	Dealing Director 交易董事
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Input By: _____	Check By: _____	Scanned & Archived by: _____	
Date: _____	Date: _____	Date: _____	