



# SR WEALTH SECURITIES LIMITED

## 中富證券有限公司

香港德輔道中 255-257 號 錦銓大廈 2 樓 201 室  
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Participant of The Stock Exchanges of Hong Kong Limited

香港聯合交易所有限公司參與者

SR Wealth Securities Limited carries on the business of dealing in securities and is licensed to carry on Type 1 regulated activity (dealing in securities) under the Securities and Futures Ordinance (CE No.: BHF761)

中富證券有限公司經營證券交易的業務，並根據證券及期貨條例獲發牌經營第一類受規管活動（證券交易）（中央編號：BHF761）

Account Opening Form 開戶表格		Cash Account 現金戶口	Joint Venture Account 聯名戶口
ACCOUNT NO 賬戶號碼		DATE OF ACCOUNT OPENING 開戶日期	

### SECTION A THE APPLICANT'S PARTICULARS (Personal Information) 申請人資料（個人資料）

Primary Client 聯名賬戶主要持有人			Secondary Client 聯名賬戶第二持有人		
Name (in English) Mr/Mrs/Miss/Ms	Surname	Given Name	Name (in English) Mr/Mrs/Miss/Ms	Surname	Given Name
姓名（中文） 先生/太太/小姐/女士	姓	名	姓名（中文） 先生/太太/小姐/女士	姓	名
Date of Birth (dd/mm/yyyy) 出生日期 (日日/月月/年年)			Date of Birth (dd/mm/yyyy) 出生日期 (日日/月月/年年)		
Hong Kong Identity Card/Passport No. 香港身份證/護照號碼			Hong Kong Identity Card/Passport No. 香港身份證/護照號碼		
Nationality 國籍	Marital Status 婚姻狀況		Nationality 國籍	Marital Status 婚姻狀況	
Education Level 學歷 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> University or above 大學或以上 <input type="checkbox"/> Post Secondary 預科/專上學院 <input type="checkbox"/> Others 其他 _____			Education Level 學歷 <input type="checkbox"/> Secondary 中學 <input type="checkbox"/> University or above 大學或以上 <input type="checkbox"/> Post Secondary 預科/專上學院 <input type="checkbox"/> Others 其他 _____		
Applicant's residence 申請人住所 <input type="checkbox"/> Owned 自置 <input type="checkbox"/> Rented 租用 <input type="checkbox"/> Others 其他 _____			Applicant's residence 申請人住所 <input type="checkbox"/> Owned 自置 <input type="checkbox"/> Rented 租用 <input type="checkbox"/> Others 其他 _____		
Residential Address 住址			Residential Address 住址		
Home Telephone No. 住宅電話號碼			Home Telephone No. 住宅電話號碼		
Mobile phone No. 手提電話號碼			Mobile phone No. 手提電話號碼		
Employer (if self-employed, please so state) 僱主（如屬自僱，謹請註明）		Nature of Business of Employer 僱主業務性質	Employer (if self-employed, please so state) 僱主（如屬自僱，謹請註明）		Nature of Business of Employer 僱主業務性質
Position 職位		Year of Service 服務僱主年期	Position 職位		Year of Service 服務僱主年期
Business / Office Address 營業 / 辦公地址			Business / Office Address 營業 / 辦公地址		
Office Telephone 營業電話號碼		Office Fax 營業傳真號碼	Office Telephone 營業電話號碼		Office Fax 營業傳真號碼
Email Address 電子郵件地址			Email Address 電子郵件地址		

Account Statements send via email or by post (A monthly service fee will be charged on mailing account statements. Please refer to our services charge table.)

戶口中之結單以電子方式或郵寄方式來接收（本公司會就郵寄結單服務收取月費。有關費用詳情，請瀏覽本公司的收費表。）

<input type="checkbox"/> E-mail 電郵
<input type="checkbox"/> By Post 郵寄 <input type="checkbox"/> Residential Address 住址 _____ <input type="checkbox"/> Business / Office Address 營業 / 辦公地址 _____

Language used on delivering all statements 成交單據及同類文件所用之語言方法

☐ English 英文
 ☐ Traditional Chinese 繁體中文
 ☐ Simplified Chinese 簡體中文

Financial Profile 財務概況					
Investment Experience 相關投資經驗					
Equities 證券	<input type="checkbox"/> No 無	<input type="checkbox"/> Yes 有 _____ Years年	Derivative Warrants/Callable Bull/Bear Contract: 衍生權證(窩輪)/牛熊證	<input type="checkbox"/> No 無	<input type="checkbox"/> Yes 有 _____ Years年
Warrants 窩輪	<input type="checkbox"/> No 無	<input type="checkbox"/> Yes 有 _____ Years年	Exchange Traded Funds / Trust 交易所買賣基金(ETF)/ 信托基金	<input type="checkbox"/> No 無	<input type="checkbox"/> Yes 有 _____ Years年
Futures & Options 期貨及期權	<input type="checkbox"/> No 無	<input type="checkbox"/> Yes 有 _____ Years年	Growth Enterprise Market (GEM) 創業板	<input type="checkbox"/> No 無	<input type="checkbox"/> Yes 有 _____ Years年
Forex/ Bullion 外匯交易/貴金屬	<input type="checkbox"/> No 無	<input type="checkbox"/> Yes 有 _____ Years年	Others 其他	<input type="checkbox"/> No 無	<input type="checkbox"/> Yes 有 _____ Years年

Investment Objectives 投資目標：	<input type="checkbox"/> Short term 短線	<input type="checkbox"/> Medium 中線	<input type="checkbox"/> Long Term 長線	<input type="checkbox"/> Others 其他
Risk Tolerance 可承受風險：	<input type="checkbox"/> Aggressive 高	<input type="checkbox"/> Moderate 中	<input type="checkbox"/> Conservative 低	
Annual Income (HK\$) 每年收入（以港元計）：	<input type="checkbox"/> ≤ \$250,000	<input type="checkbox"/> \$250,001-\$500,000	<input type="checkbox"/> \$500,001-\$1,000,000	<input type="checkbox"/> > \$1,000,001
Net Assets (HK\$) 資產淨值（以港元計）：	<input type="checkbox"/> ≤ \$200,000	<input type="checkbox"/> \$200,001-\$500,000	<input type="checkbox"/> \$500,001-\$1,000,000	<input type="checkbox"/> > \$1,000,001

Client's Knowledge of Derivatives and Trading Experience 客戶對衍生工具產品的認識及投資經驗

My knowledge of derivative products are as followed: 對衍生產品的認識如下:

- ☐ I 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).  
本人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)。
- ☐ I have work experience related to derivative products.  
本人擁有與衍生產品有關之工作經驗。
- ☐ I have relevant trading experience i.e. I have executed five or more transactions in derivative products within the past three years.  
本人有相關之交易經驗，即本人於過去三年曾執行過五次或以上有關衍生產品之交易。
- ☐ I do not have any knowledge of derivative products.  
本人並未有衍生產品之認識。

Electronic Trading Services 電子交易服務 (For Electronic Trading client only 只適用於電子交易客戶)			
Electronic Trading Services Account(s) & On-line Quote Price Service 電子交易買賣賬戶及 網上報價服務	<input type="checkbox"/> Electronic Securities Trading Service 電子證券買賣服務		
	Mailing address and/or email address for receiving password (if different from those addresses for receiving Account Statements) 接收密碼之郵寄地址及/或電郵地址（如與收取賬戶結單之地址不同）		
	<input type="checkbox"/> Stock Quote (free of charge) (with market prices delayed at least 15 mins) 點擊參考報價 (免費) (與實際發放時間延遲最少15分鐘)	<input type="checkbox"/> Streaming Real Time Stock Quote (monthly fee of HK\$350) 串流式即時報價 (月費為港幣三百五十元)	

SECTION B GENERAL INFORMATION 一般資料

Details of the Applicant's bank account for payment of money (if any) by SR Wealth Securities Limited to the Applicant (under the name of the Applicant).  
Further, the Applicant hereby agrees that if this Account Application is approved by SR Wealth Securities Limited, the bank account below shall be used to receive payments (if any) to the Applicant in accordance with the Documents.  
可供中富證券有限公司用作支付任何款項（若有的話）予申請人之銀行賬戶詳細資料（需以申請人名義持有）  
再者，申請人現同意，若本開戶申請表獲中富證券有限公司核准，以下銀行賬戶將被用作接受按文件給予申請人的款項（若有的話）。

Designated Bank 指定銀行：	Bank account no. 銀行賬戶號碼：
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Name of bank account holder  
銀行賬戶持有人姓名：

## SECTION C IDENTITY DECLARATION 身分聲明

### Primary Client 聯名賬戶主要持有人

1. Are you a Citizen of the UNITED STATES?  
閣下是否美國公民？  
☐ No, please fill-in Form W-8BEN 否，請填 表W-8BEN ☐ Yes, please fill-in Form W-9 是，請填 表W-9
2. Are you a director, an employee or a representative of an intermediary licensed / registered under the Securities and Futures Ordinance?  
閣下是否《證券及期貨條例》下持牌 / 登記中介人的董事、僱員或代表？  
☐ No 否 ☐ Yes, please specify the name & SFC CE no. of the intermediary 是，請列明中介人的名稱及證監會中央編號 \_\_\_\_\_
3. Are you a relative of any director, employee or representative of SR Wealth Securities Limited?  
閣下是否中富證券有限公司任何董事、僱員或代表的親屬？  
☐ No 否 ☐ Yes, please specify the name & SFC CE no. of the director, employee or representative and relationship with him / her. 是，請列明該董事、僱員或代表的名稱及證監會中央編號和雙方關係 \_\_\_\_\_
4. Are you a senior management officer or director of any (listed) company whose shares are traded on any exchange or market?  
閣下是否任何其股份在交易所或市場買賣的(上市)公司之高級管理或董事？  
☐ No 否 ☐ Yes, please specify the company name and stock code 是，請列明該公司名稱及代號 \_\_\_\_\_
5. Are you, your spouse, partner, child, parent, spouse or partner of your child, or your close associate entrusted or has been entrusted with a prominent public function, includes a head of state, head of government, judicial or military official, senior executive of a state-owned corporation and an important political party official?  
閣下、閣下之配偶、伴侶、子女、父母、閣下的子女的配偶或伴侶或與閣下關係密切的人，是否擔任或曾擔任重要公職，包括國家元首、政府首長、司事官、國有企業高級行政人員及重要政黨幹事？  
☐ No 否 ☐ Yes, please specify 是，請列明 \_\_\_\_\_
6. Are you the only person with authority to operate the Account?  
閣下是否唯一有權操作此賬戶者？  
☐ Yes 是 ☐ No 否，please specify 請列明 \_\_\_\_\_

7. Name of Referral (介紹人姓名) : \_\_\_\_\_

### Secondary Client 聯名賬戶第二持有人

Relationship with Primary Client 與聯名賬戶主要持有人的關係 \_\_\_\_\_

1. Are you a Citizen of the UNITED STATES?  
閣下是否美國公民？  
☐ No, please fill-in Form W-8BEN 否，請填 表W-8BEN ☐ Yes, please fill-in Form W-9 是，請填 表W-9
  2. Are you a director, an employee or a representative of an intermediary licensed / registered under the Securities and Futures Ordinance?  
閣下是否《證券及期貨條例》下持牌 / 登記中介人的董事、僱員或代表？  
☐ No 否 ☐ Yes, please specify the name & SFC CE no. of the intermediary 是，請列明中介人的名稱及證監會中央編號 \_\_\_\_\_
  3. Are you a relative of any director, employee or representative of SR Wealth Securities Limited?  
閣下是否中富證券有限公司任何董事、僱員或代表的親屬？  
☐ No 否 ☐ Yes, please specify the name & SFC CE no. of the director, employee or representative and relationship with him / her. 是，請列明該董事、僱員或代表的名稱及證監會中央編號和雙方關係 \_\_\_\_\_
  4. Are you a senior management officer or director of any (listed) company whose shares are traded on any exchange or market?  
閣下是否任何其股份在交易所或市場買賣的(上市)公司之高級管理或董事？  
☐ No 否 ☐ Yes, please specify the company name and stock code 是，請列明該公司名稱及代號 \_\_\_\_\_
  5. Are you, your spouse, partner, child, parent, spouse or partner of your child, or your close associate entrusted or has been entrusted with a prominent public function, which includes a head of state, head of government, judicial or military official, senior executive of a state-owned corporation and an important political party official?  
閣下、閣下之配偶、伴侶、子女、父母、閣下的子女的配偶或伴侶或與閣下關係密切的人，是否擔任或曾擔任重要公職，包括國家元首、政府首長、司法或軍事官、國有企業高級行政人員及重要政黨幹事？  
☐ No 否 ☐ Yes, please specify 是，請列明 \_\_\_\_\_
  6. Are you the only person with authority to operate the Account?  
閣下是否唯一有權操作此賬戶者？  
☐ Yes 是 ☐ No 否，please specify 請列明 \_\_\_\_\_
7. Name of Referral (介紹人姓名) : \_\_\_\_\_

**Identity of Person(s) Ultimately Responsible for Originating the Instructions in relation to a Transaction****最終負責發出交易指示人士的身份**

Are you the person who is ultimately responsible for originating the instructions in relation to a transaction?

閣下是否最終負責發出交易指示的人士？

- ☐ Yes 是， ☐ Any One 任何一人  
☐ All of us 全體

- ☐ No, please specify the details of the person who is ultimately responsible for originating the instructions in relation to a transaction.

否，請列明最終負責發出交易指示的人士之資料。

Name

姓名 \_\_\_\_\_

HKID No. / Passport No. and Country of Issue

香港身分證號碼/護照號碼及簽發國家 \_\_\_\_\_

Residential Address

住址 \_\_\_\_\_

Occupation

職業 \_\_\_\_\_

Relationship with the person who is ultimately responsible  
for originating the instructions in relation to a transaction

賬戶主要持有人與最終負責發出交易指示的人士的關係 \_\_\_\_\_

**Identity of Ultimate Beneficial Owner(s) of the Account 賬戶最終受益人身份**

Are you the ultimate beneficial owner(s) who stand(s) to gain the commercial or economic benefit of the transaction and / or bear its commercial or economic risk?

閣下是否最終受益人，可賺取交易的商業或經濟收益及 / 或承擔其商業或經濟風險？

- ☐ Yes 是， ☐ Any One 任何一人  
☐ All of us 全體

- ☐ No, please specify the details of the ultimate beneficial owner(s).

否，請列明最終受益人士之資料。

Name

姓名 \_\_\_\_\_

HKID No. / Passport No. and Country of Issue

香港身分證號碼/護照號碼及簽發國家 \_\_\_\_\_

Residential Address

住址 \_\_\_\_\_

Occupation

職業 \_\_\_\_\_

Relationship with the person who is ultimately beneficial owner(s)

賬戶主要持有人與賬戶最終受益人的關係 \_\_\_\_\_

**Terms****條款**

1. I/We hereby authorize and request SR Wealth Securities Limited (‘ the Company’) to open and maintain a cash securities trading account (‘ the Account’) in the name of me/us for the purchases, sales, holdings of and any other dealings in securities as I/We may instruct you as my/our agent to effect from time to time on my/our behalf. The account shall be maintained and all such purchases, sales, holdings of and any other dealings in securities shall be effected subject to and in accordance with the provisions of the Authorization for Account Opening and the Cash Client’s Agreement ( ‘ the Agreement ’ ). I/We confirm and acknowledge that the Agreement forms an integral part of the Authorization for Account Opening. I/We acknowledge receipt of a signed copy of the Agreement.

本人(等)授權要求中富證券有限公司(“本公司”)為本人(等)以本人(等)名義開立並操作一個現金證券交易賬戶(“賬戶”)以執行本人(等)不時的指示由 貴司以代理人身份為本人(等)購入、賣出、保管或處理各類證券。有關賬戶之運作須受本開戶授權書及現金客戶協議書規限，本人(等)確認現金客戶協議書為本開戶授權書組成之一部份，並確認已收訖一份已簽署的現金客戶協議書。

2. For the purpose of opening the Account, I/We enclose the duly completed and signed Account Opening Information, address proof and my/our copies of Hong Kong Identity Cards/passport(s)

為開立上述賬戶，本人(等)現附上一份已填寫及簽署的客戶開戶資料、地址證明及身份證/護照影印本。

3. I/We warrant that the information set out in the Account Opening Information is true and correct and that you are entitled to rely fully on such information to act on my/our behalf unless and until you receive notice of any change from me/us in accordance with the provisions of the Agreement. I/We undertake to advise you promptly of any material change to such information.  
本人(等)保證客戶開戶資料內所載資料均屬真實及正確，貴司在未收到本人(等)據現金客戶協議書規定發出的資料變更通知前，貴司有權依據該等資料行事，若該等資料有變更，本人(等)即儘快通知貴司。
4. I/We confirm that:  
本人(等)茲確認:
- (a) the individuals whose names are listed in the Account Opening Information are the persons ( “ Authorized Persons ” ) authorized on my/our behalf to give you oral, telephone or written instructions:  
在開戶資料中所列舉之人士為已獲本人(等)授權之人士(“獲授權人士”)有權代表本人(等)以口頭、電話或書面就上述事宜發出指示:
- (i) in relation to the operation of the Account; and  
對於賬戶之運作；及
- (ii) to effect purchases, sales, holdings and other dealings in Securities and transfer of funds;  
就買賣、保管或處理證券及資金的轉移;
- (b) the signature set opposite the name of each of the Authorized Persons is his genuine signature and, in the case of written instructions, such signature operates as the specimen signature of each of such Authorized Persons; and  
在個別獲授權人士名字欄旁之簽名為該人士之簽名，若有書面指示，該等簽名即是該等獲授權人士之真實簽字印鑑；及
- (c) the information set out in the Account Opening Information is true, complete and accurate.  
開戶資料內開列之資料均屬真實、完整及正確。
- (d) I/We represent that, unless I/We have previously disclosed in writing to you, I am/We are not (an) officer(s) or employee(s) of any exchange, board of trade, clearing house bank or trust company, or an affiliate of any licensed or registered person under the Securities and Futures Ordinance, or (an) introducing broker(s), or (an) officer(s), partner(s), director(s) or employee(s) of any Securities broker or dealer.  
本人(等)如沒有以書面形式向貴司申述，本人(等)就不會是什麼交易所、結算所、銀行或信託機構的僱員；或是任何在證券及期貨條例下註冊人士之相關人士；或是任何證券商或交易商的人員、合夥人或董事。
5. I/We acknowledge that, subject always to your discretion not to accept or act on any instructions given by me/us to you for purchases, sales, holdings and any other instructions of dealings in securities as my/our agent from time to time as provided in the Agreement, you shall be entitled to rely and act on any such instructions given or apparently, to your satisfaction, given from time to time on my/our behalf, in the case of both oral, telephone and written instructions by any one of the Authorized Persons.  
本人(等)再次確認貴司可據現金客戶協議書之條款有完全之酌情權不接納作為本人(等)之代理人以執行本人(等)之買賣證券、保管或處理各類證券交易等指示,但貴司有權根據獲授權人之口頭、電話或書面指示，執行指示。
6. I/ We agree that all confirmations and statements in relation to the Account issued by you to me/us pursuant to the Agreement shall be conclusive and binding on me/us.  
本人(等)同意有關賬戶項下之一切確認書及結單將對本人(等)有絕對約束力。
7. I/We elect for all trading in securities to be conducted by you as my/our agent on my/our behalf on the cash basis.  
本人(等)選擇以現金形式經貴司為代理人進行證券買賣。
8. I/We declare that the contents of the Authorization for Account Opening, Account Opening Information (together with the Schedules thereto) and the Agreement (Including Risk Disclosure Statements) have been duly explained to me/us in a language (English or Chinese) that I/We understand and I/We agree to be bound by the provisions thereof.  
本人(等)在此聲明此開戶授權書、開戶資料(及其附錄)及現金客戶協議書(包括風險披露聲明)之內容已經向本人(等)以其明瞭之語言(英文或中文)解釋，本人(等)並同意接受該等條款及內容之約束。
9. For the purpose of opening an electronic trading service account, I/We acknowledges that I/We have read and understood the terms and conditions as at this column and agrees to be bound by them.  
如有電子交易賬號，本人(等)已確認細閱及明白本欄的電子交易條件及條款，並接受該等於有效及不時修改的條款約束。
10. For the purpose of opening an electronic trading service account, I/We have understands that I/We should contact SWSL if the password package and/or email notification is not received for a period of time after the account opening.  
如有電子交易賬號，本人(等)知道若開戶後多天仍未收到密碼包及/或電郵通知密碼，須主動向中富證券查詢。
11. For the purpose of opening an electronic trading service account, I/We will receive my/our account password for electronic trading services. I/We understand that my/our password is strictly confidential and I/We am/are responsible for all loss, cost and expenses, should any transaction be accepted and concluded by SWSL on quoting of the said password.  
如有電子交易賬號，本人(等)將獲取網上交易密碼，以便本人(等)進行買賣交易服務。本人(等)完全明白戶口密碼是絕對保密。本人(等)須對「中富證券」收取密碼後被接納的所有買賣、損失、費用及支出負全部責任。

## JOINT ACCOUNT MANDATE

## 聯名帳戶開戶委託書

We, the undersign (Primary Client)  
本人等(請填全名) (聯名賬戶主要持有人)

(Secondary Client)  
(聯名賬戶第二持有人)

## HEREBY REQUEST YOU AND AUTHORIZE YOU :

茲聯同請求及授權 貴公司辦理下列各項事宜：

- (1) To open and/or continue an account with you in our joint names and at any time hereafter to open such further accounts in our joint names as **any one/all of us\*** may from time to time direct.

用本人等聯名在 貴公司開立或繼續開立股票買賣賬戶(現金或保證金帳戶)，並得於今後隨時依照本人等之中 **任何一人/全體\*** 所指示，代本人(等)聯名另行開立戶口。

- (2) To honour and pay bills of exchange, drafts, promissory notes or orders for payment, drawn, accepted, or made, or accept and act upon receipts for monies overdrawn by us, or for monies owing by us to you on any account whatsoever, or any other documents, or written instructions of whatsoever nature, kind or description, and to debit the same to our joint account or accounts provided such drafts, bills, notes, orders, receipts, documents, or instructions are signed by **any one/all of us\***; the signature of each of us is appended hereunder, any to carry out any instruction of **any one/all of us\*** in connection with our joint account or accounts notwithstanding that any such debiting or carry out may:-

該聯名戶口所發出之支付憑票或在 貴公司透支款項之收據或本人等聯名在 貴公司存款之滙票、本票、支票、承兌票據、付款通知、收據或任何其他文件或書面指示，倘經本人等 **任何一人/全體\*** 簽署(式樣如下)均得照予支賬，並得依照本人等 **任何一人/全體\*** 之指示處理一切與各該聯名戶口有關事宜，而該等指示即使引致下列情仍屬有效：

- (i) Direct a transfer to an account in the individual name of any one of us.

由聯名戶口調撥款項轉入本人等任何一人之私人戶口。

- (ii) Require you to make payment to any one of us.

要求 貴公司付款給予本人等之任何一人。

- (iii) Cause such joint account or accounts to be in debit, or any debit balance hereon to be increased but without prejudice to your right to refuse to allow any such debit balance or increase in debit balance.

引致該聯名戶口產生透支或增加透支數額情況，但如有此等情況 貴公司得保留拒絕透支或增加透支數額之權利。

And we shall be jointly and severally responsible for the repayment on demand of any such debit balance and interest, and of any money that you may from time to time advance to us on any joint loan account together with interest hereon.

本人等茲同意個別及聯同負責，一經 貴公司通知，即當如數將所有透支款項連同應付利息及其他一切由本人等聯名向 貴公司借到之款項連同應付利息一併清償，絕無異議。

- (3) Without in any way limiting the foregoing general request to make at the request of **any one/all of us\*** any advance to use by way of loan, advance, discount, or in any manner howsoever with or without security.

除上列範圍外，貴公司亦可接納本人等 **任何一人/全體\*** 之請求，以放款、透支、貼現或任何其他方式，不論有抵押或無抵押。

- (4) Without in any way limiting the foregoing general request to make at the request of **any one/all of us\*** any securities, deeds, boxes, and parcels, and their contents, and property of any description held in our joint names.

同時亦可接納本人等 **任何一人/全體\*** 之請求移交由本人等聯名寄存 貴公司之任何證券、契據、包裹或其他財物給予指名人士收受。

- (5) To accept for collection any cheque, or other documents payable to any one or more of us, and to credit the proceeds thereof to our joint account or accounts, even though such cheque, order, or document has not been endorsed by the payee or payees thereof.

由本人等存入 貴公司而列明本人等任何一人或多人為受款人之支票，支付委託書或其他票據，雖未經受款人背書，仍均可由 貴公司接受代受，收受後記入本人等聯名戶口。

- (6) To place to the credit of our joint account or accounts, all sums of money, interests, dividends etc., which you may receive on account of any one or more of us, or our joint and several account or on joint account.

貴公司代本人等個別或聯名收受之一切款項，包括利息、股息等等，均可照數記入本人等聯名賬戶內。

- (7) Subject to any claim or objection of the part of the Estate Duty Commissioner or any other appropriate authority, to hold on the death of any one of us any credit balance or balances of any account or accounts in our joint names, and any securities deeds, boxes, and parcels, and their contents and property of any description held in our joint names to the order of the survivors of survivor of us or the executors or administrators of the last survivor of us without prejudice to any right you may have in respect of such balance or balances, securities etc., arising out of any lien, charge, set-off counter claim, or otherwise whatsoever, or any step or any legal proceedings which you may in your absolute discretion deem it desirable to take in view of any claim by any person, other than the survivors or survivor of us or the executors or administrators of the last survivor of us.

除香港遺產稅徵收主任或其他政府機關有提出要求或提出反對等情況外，貴公司可於本人等中任何一人身故後，代為保管各該聯名戶口之存款，與及本人等聯名寄存 貴公司之任何證券、契據、包裹或其他財物，而依照生存在世之本人等唯一生存者之遺產承辦人或管業人之指示加以處理，而以不損害 貴公司對存款、證券等等應有之留置權、抵押權、典質權、比對權，及要求或任何其他權利為原則，又除本人等中之生存者或其遺產承辦人或管業人可外，不論何人，如有要求享受該存款、證券等等之權益者，貴公司亦有斟酌選擇之絕對自由，對該等人士採取任何合乎需要之步驟或向法院提出任何訴訟程序。

\*Please delete as appropriate. \*請刪去不適用者。

We agree that any liability whatsoever incurred to you by us in respect of the foregoing shall be our joint and several liabilities.

如有因此請求及授權 貴公司處理上述事項而致產生債務者，本人等同意個別及共同負責。

We agree to observe and be bound by such of your Rules for the time being in force as will be applicable to the appropriate nature of each of our accounts provided that if there is any conflict between the said Rules on the one hand and the foregoing terms and conditions contained herein on the other hand, the latter shall prevail.

本人等同意遵守 貴公司所訂有關而適用於本人等在 貴公司所開立每一戶口之章則，及接受該等章則約束至於該等章則與本委託書互有抵觸之處，則應以本委託書訂定之條文為準。

If there is a discrepancy between the English and Chinese versions of this Document, the English version shall prevail.

本文件之中英版本義如有歧義，請以英文版為準。

In the absence of contrary written instructions signed by all of us, the foregoing conditions shall apply to each and every account of whatever nature now or hereafter opened by you in our joint names.

上列條文均適用於 貴公司此次或日後代本人等開立之聯名戶口，直至本人等以聯名簽署之書面通知取消為止。

Primary Client's Signature

聯名賬戶主要持有人簽署 \_\_\_\_\_

Date 日期 \_\_\_\_\_

Secondary Client's Signature

聯名賬戶第二持有人簽署 \_\_\_\_\_

Date 日期 \_\_\_\_\_

APPLICANT’S AGREEMENT & ACKNOWLEDGEMENT 申請人之承諾及確認

I/We have read and fully understood the contents of this Account Application and the Client Agreement and agree to be bound by them.  
Further, I/We confirm that the Risk Disclosure Statements and, if applicable, Risk Disclosure Information, in or accompanying the Client Agreement have been provided in a language of my/our choice (English or Chinese) and that I/We have read, understood and accepted the nature and contents thereof. I/We appreciate that they are not and cannot be taken as a comprehensive or exhaustive list of all possible risks. I/We confirm that I have been given the opportunity to ask questions and take independent advice if I/We so wish.

本人(等)已閱讀並完全明白本開戶申請表及客戶協議之內容，並同意受其所約束。  
再者，本人(等)確認載或附於客戶協議之風險披露聲明已按本人(等)選擇之語言（英文或中文）提供予本人(等)，及本人(等)已閱讀，瞭解和接受其/其等（若適用）性質和內容。本人(等)明白它們不是而且不能被當作為一份完全或徹底列舉所有潛在風險的清單。此外，本人(等)已被給予機會提出問題及徵求獨立的意見（若本人(等)有此意願）。

Executed as a deed on 簽訂作契約於： \_\_\_\_\_ (insert date 請填上日期)

Signed and delivered by 簽署、蓋印及交付：

<div>Primary Client’s signature 主要賬戶持有人簽署</div> <div>_____</div> <div>Name (please print) 姓名（正楷）</div>	<div>Secondary Client’s Signature 聯名賬戶第二持有人簽署</div> <div>_____</div> <div>Name (please print) 姓名（正楷）</div>
<div>Witness Signature: 見證人簽署：</div> <div>_____</div> <div>Name (please print) 姓名（正楷）</div>	<div>SR Wealth Securities Limited licensed representative name: 中富證券有限公司持牌代表姓名：</div> <div>_____</div> <div>Name of licensed person (please print) 持牌人姓名（正楷） CE No. 持牌代表中央編號</div>

Declaration by a licensed person accredited to SR Wealth Securities Limited  
隸屬於中富證券有限公司持牌人士聲明

I confirm that I have provided the Risk Disclosure Statements and if applicable, Risk Disclosure Information in or accompanying the Client Agreement in a language of the Applicant’s choice (English or Chinese), and have invited the Applicant to read such Risk Disclosure Statements and if applicable such Risk Disclosure Information, answer questions and take independent advice if the Applicant wishes.

本人確認已經按申請人所選擇語言（英文或中文）提供載或附於客戶協議的風險披露聲明，並已邀請申請人閱讀該/該等（如適用）風險披露聲明、回答問題及徵求獨立的意見。

\_\_\_\_\_  
Signature of licensed person 持牌人簽署

\_\_\_\_\_  
Date 日期

\_\_\_\_\_  
Name of licensed person (please print)  
持牌人姓名（正楷）

\_\_\_\_\_  
CE No.  
中央編號

For Office Use (TO BE COMPLETED BY AE)

Applicant's Background: \_\_\_\_\_

Applicant's relationship with AE \_\_\_\_\_

For Cash Securities Trading Account Proposed Trading Limit (HK\$) \_\_\_\_\_

For Commission Rate: \_\_\_\_\_ Min Charge (In HK\$) \_\_\_\_\_

AE Name: \_\_\_\_\_

CE No: \_\_\_\_\_

Approved account opening for and on behalf SR Wealth Securities Limited by

Account Opening checked/endorsed by Credit

\_\_\_\_\_  
Authorized signatory

Name:

Date:

\_\_\_\_\_  
Name (please print)

Date:

Documentation checked by: \_\_\_\_\_

Remarks: \_\_\_\_\_

\_\_\_\_\_