



**Particulars of Directors/Partners 董事 / 合伙人詳細資料**

Full Name 全名	HKID / National ID / Passport No. 香港身份證 / 國民身份證 / 護照號碼:	Tel. No. 電話號碼

**Ultimate Beneficial Owner(s)/ and or Person(s) ultimately responsible for giving instructions in relation to the Account 主要受益人 / 主要負責給與有關戶口指示者**

Please specify the individual(s)\* who hold 10% or more of the ultimate beneficial interest in the company/partnership:  
請列明持有公司 10%或以上的主要利益人資料:

Full Name 全名	HKID / National ID / Passport No. 香港身份證 / 國民身份證 / 護照號碼:	Tel. No. 電話號碼

*\* If the company/partnership is collective investment scheme, discretionary account and/or discretionary trust, please just fill in the name of the relevant scheme, account or trust.*

*如該公司/ 合伙公司是集體投資計劃、全權委託帳戶及/ 或全權委託信託，請填寫有關計劃、帳戶或信託的名稱。*

Please specify the individual(s)\* ultimately responsible for giving instructions relating to the Account (unless these are the same as the ultimate beneficial owners)

請列明主要負責給與有關戶口指示者資料 (除非與主要受益者相同):

Full Name 全名	HKID / National ID / Passport No. 香港身份證 / 國民身份證 / 護照號碼:	Tel. No. 電話號碼

*\* If the company/partnership is collective investment scheme, discretionary account and/or discretionary trust, please just fill in the name of the manager of the relevant scheme, account or trust.*

*如該公司/ 合伙公司是集體投資計劃、全權委託帳戶及/ 或全權委託信託，請填寫有關計劃、帳戶或信託的經理姓名。*

**Financial Information 財政資料**

Authorised Capital: 法定股本:	HK\$	Paid-up Capital: 發行股本:	HK\$
Net Asset Value*: 淨資產值*:	<input type="checkbox"/> ≤ HK\$500,000 <input type="checkbox"/> HK\$500,001 - HK\$1,000,000 <input type="checkbox"/> HK\$1,000,001 - HK\$3,000,000 <input type="checkbox"/> HK\$3,000,001 - HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001 - HK\$10,000,000 <input type="checkbox"/> > HK\$10,000,000	Profit after tax*: 除稅後盈利*:	<input type="checkbox"/> Nil <input type="checkbox"/> ≤ HK\$200,000 <input type="checkbox"/> HK\$200,001 - HK\$500,000 <input type="checkbox"/> HK\$500,001 - HK\$800,000 <input type="checkbox"/> HK\$800,001 - HK\$1,000,000 <input type="checkbox"/> > HK\$1,000,000
Source of Funds: 資金來源:	<input type="checkbox"/> Shareholders' Capital 股東的資本 <input type="checkbox"/> Investment Earnings 投資收益 <input type="checkbox"/> Business Earnings 營業收益 <input type="checkbox"/> Funds from Group companies 集團內公司款項 <input type="checkbox"/> Loan from Financial Institution 金融機構貸款 <input type="checkbox"/> Others 其他  If others, please specify 如選其他者, 請列明:		

\* Based on the latest audited accounts. 根據最近之審核財務報表。

**Investment Experience and Objectives 投資經驗及目標**

Investment Experience: 投資經驗:	<p style="text-align: right;"><u>Executed five or more transactions within the past 3 years</u> 過去三年內曾執行五次或以上的交易</p> <p>(I) Stocks 股票 <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 不是</p> <p>(II) Derivative Warrants 衍生認股權證 / Callable Bull/Bear Contracts (CBBC) 牛熊證 / Derivative Exchange Traded Funds (ETF) 衍生交易所買賣基金 / Leveraged and Inverse Products 槓桿及反向產品 / Futures and Options 期貨或期權合約交易 / Equity Linked Instruments (ELI) 股票掛鉤票據 / Other derivative products 其他衍生產品</p> <p>(III) Leveraged Foreign Exchange 槓桿式外匯 <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 不是</p> <p>(IV) Funds 基金 <input type="checkbox"/> Yes 是 <input type="checkbox"/> No 不是</p>
	<p>(V) Have the directors/ shareholders/ partners/ authorised representatives of the company/ partnership worked in the relevant financial sector for at least one year in a professional position that involves the relevant derivatives product? 本公司 / 合伙公司的董事 / 股票持有人 / 合伙人 / 授權代表曾否在相關的金融行業擔任專業職位至少一年, 而該職位的工作涉及有關衍生產品? <input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有</p> <p>If yes, please specify 如選有者, 請列明: _____</p> <p>(VI) Have the directors/ shareholders/ partners/ authorised representatives of the company/ partnership studied courses of the relevant derivatives product? 本公司 / 合伙公司的董事 / 股票持有人 / 合伙人 / 授權代表曾否修讀有關衍生產品的課程? <input type="checkbox"/> Yes 有 <input type="checkbox"/> No 沒有</p> <p>If yes, please specify 如選有者, 請列明: _____</p>
Investment objectives: 投資目標:	<p>Please select <b>ONE</b> only 請選其中一頂:</p> <p><input type="checkbox"/> Long term gain 長線獲利 <input type="checkbox"/> Short term gain 短線獲利  <input type="checkbox"/> Capital preservation 資本保值 <input type="checkbox"/> Others 其他</p> <p>If others, please specify 如選其他者, 請列明:</p>

## Method of Communication 通訊方法

Please select one of the following way to receive Contract Notes, Statements of Account and Receipts and other correspondence:  
請選擇以下其中一項通訊方法收取成交單據、戶口結單及收據，以及其他服務有關之通訊。

- By Post 郵遞  Registered Address 註冊地址  Principal Business Address 主要辦事處地址  
 Others 其他

If others, please specify 如選其他者，請列明:

- By Email 電子郵件\* Email Address 電郵地址: \_\_\_\_\_

\* Paper Statement postage fee may be waived 可豁免郵寄結單費用

All Contract Notes, Statements of Account and Receipts and other correspondence will be sent to the email address stated herein. Those e-mails shall be treated as formal written notice, no printed copy of Contract Notes, Statements of Account and Receipts will be received thereafter.

所有成交單據、戶口結單及收據，以及其他服務有關之通訊，將透過電郵方式發送至上述電郵地址。該等書函將視作正式通知，客戶將不會收到成交單據、戶口結單及收據之印刷本。

We acknowledge that you shall not be responsible for lost or delay in communication or transmission due to communication equipment failure, or circumstance beyond your control.

吾等知悉宏高將不會對因通訊設施發生故障或傳送失靈，或非其控制範圍或預測之任何其他原因所造成傳送或收取資訊之延誤負責。

## Designated Bank Account 指定銀行戶口

Unless otherwise instructed by us, all withdrawals will be credited to our bank account as specified below:  
除吾等另行指示外，所有提取的款項將會被存入下述吾等的銀行帳戶:

Bank Name 銀行名稱:		Account Name 帳戶名稱:	
Account Number 帳戶號碼:			

We hereby confirm and acknowledge that: 吾等確認及知悉:

- All cheques deposited into the aforesaid bank on our behalf shall be deemed received by us in all respects, no matter whether there are any delays, errors or omissions in your part. We undertake to assume all responsibility as a result and not to claim on you for your failure of taking any such action including but not limited to depositing the cheques in a timely manner, which might subsequently cause monetary, reputable or any other loss or damage to us;  
所有代吾等存入上述銀行之支票，會被視作已被吾等收妥（不論宏高是否有任何延遲、錯誤或疏忽）。吾等承諾會承擔一切責任及不會因宏高未能履行任何此類行動提出申索，包括但不限於未能及時存入支票可能導致對吾等財務、信譽或其他任何損失或損害;
- We are the ultimate beneficial owner of the above bank account; 吾等是上述銀行之最終受益人;
- The source of the fund or the purpose of the remittance do not involve terrorist financing activities; proceeds of drug trafficking; and/or proceeds of organized and serious crimes; and  
匯款來源/匯款目的並不涉及為恐怖分子集資活動、販毒得益、或/有組織及嚴重罪行的得益; 及
- You have the absolute right to terminate this arrangement at any time and at your sole and absolute discretion.  
宏高可按其全權及絕對酌情權，有權隨時終止本安排。

## Acknowledgement in Respect of "Personal Information Collection Statement" 《個人資料收集聲明》確認書

In order to receive promotions or discount information from Wocom (e.g. discount on commission and free investment seminar, etc.), client has to indicate to Wocom that he/she accept the intended use of his/her personal data in direct marketing (including but not limited to notifying you of the latest promotion via email/phone/mail) as stated in the Client Agreement. If you object to such arrangement, Wocom would not notify you of any kind of promotion plans that are launched by Wocom in the future. Kindly be noted that even if you accept such arrangement, Wocom would not provide any of your personal data to parties or entities that have no connection with the business of Wocom. Please tick the appropriate boxes below to indicate your agreement or objection to such use of your personal data.

為使客戶可於日後第一時間收到宏高最新推廣計劃及優惠資訊（例如佣金折扣及免費投資講座等），客戶需向宏高表示同意客戶協議書內有關使用閣下資料擬作出的直接促銷，包括但不限於透過電郵/電話/郵寄通知閣下最新之優惠詳情。如閣下反對有關安排，則宏高於日後推出任何形式的優惠計劃時，將不會通知閣下。請注意閣下即使同意有關安排，宏高亦不會將閣下任何個人資料提供予宏高業務無關連的第三者或機構。請在以下適當的空格內加上「✓」號，表示你同意或反對這樣使用你的個人資料。

- We **agree** to the proposed use of our company data in direct marketing.  
吾等**同意**使用吾等的個人資料於擬作出的直接促銷。
- We **object** to the proposed use of our company data in direct marketing.  
吾等**反對**使用吾等的個人資料於擬作出的直接促銷。

**Interest Declaration 利益關係申報****Connection with a Registered Person of the Securities and Futures Commission of Hong Kong 與證監會註冊人的聯繫**

Is the client a licensed corporation registered with the Securities and Futures Commission or registered institution under the Banking Ordinance? 客戶是否為於證監會註冊的持牌法團 / 註冊機構?

If yes, please specify the name of the relevant licensed corporation / registered institution:  
如是，請提供持牌法團 / 註冊機構的名稱:

- Yes 是  
 No 不是

Are the ultimate beneficial owner / the persons ultimately responsible for giving instructions, an employee or agent of an exchange participant of stock / future exchange, or a licensed corporation or registered institution?  
戶口的主要受益人 / 戶口的主要負責給與指示者是否證券 / 期貨交易所參與者的僱員，或持牌法團 / 註冊機構的代理人?

If yes, please specify the relevant Licensed or Registered Person(s) in each case 如有關係者，請列明有關持牌或註冊人:

- Yes 是  
 No 不是

**Relationship with Wocom 與宏高的關係**

Do the client / its directors / shareholders / partners / authorised representatives have a relationship with any director or employee of Wocom?  
客戶 / 客戶的公司董事 / 股東 / 合伙人 / 授權代表與宏高的任何一位董事或僱員有沒有關係?

If yes, please specify the relationship and the name of the relevant person 如有關係者，請列明此人的姓名及關係:

- Yes 有  
 No 沒有

Do the ultimate beneficial owner / the persons ultimately responsible for giving instructions have any relationship with any director or employee of Wocom?  
戶口的主要受益人 / 戶口的主要負責給與指示者與宏高的任何一位董事或僱員有沒有關係?

If yes, please specify the relationship and the name of the relevant person 如有關係者，請列明此人的姓名及關係:

- Yes 有  
 No 沒有

**Related Account 有關戶口**

Is any director, shareholder, partner, authorised representative, or group company of the client a client of Wocom?  
客戶的公司董事 / 股東 / 合伙人 / 授權代表 / 集團成員是否宏高的客戶?

If yes, please specify the Account No.: 如是，請列明戶口號碼:

- Yes 是  
 No 不是

**Specimen Signatures 簽署式樣**

Specimen signature(s) will be used to verify all written instructions in relation to the Account.  
此簽名式樣將會用作確定有關本戶口的所有書面指示。

Full Name 全名	Specimen Signature 簽署式樣

Please also select one of the following 請選擇下列其中一項:

- Either one of the above persons is authorised to sign singly to validate any and all written instructions relating to the Account.  
以上任何一位均獲授權單獨簽署批示有關本戶口任何及所有書面指示。
- Two or more of the above persons must sign jointly to validate any and all written instructions relating to the Account.  
以上任何兩位或兩位以上必須聯同簽署批示有關本戶口任何及所有書面指示。
- All of the above persons must sign jointly to validate any and all written instructions relating to the Account.  
以上所有人必須聯同簽署批示有關本戶口任何及所有書面指示。

**Declaration 聲明**

- (1) **When signing this Account Opening Information Statement, we confirm that the company or partnership is not a *Specified U.S. Person* or a *Passive Non-Financial Foreign Entity* that has controlling persons that are U.S. citizen(s) or resident(s) in the U.S. under the U.S. Foreign Account Tax Compliance Act (FATCA) classification. We undertake to advise Wocom of any change in circumstances which affects the tax residency status of the entity within 30 days.**

簽署此開戶資料時，吾等確認本公司 / 合伙公司不是在美國《海外帳戶稅收合規法案》(FATCA) 分類以下的特定美國人士，或不涉及美國操控人的被動非金融海外實體。吾等承諾，如情況有所改變，以致影響本公司 / 合伙公司的稅務居民身分，吾等會於 30 日內通知宏高。

- (2) **We understand Wocom is not allowed to give tax or legal advice on how to determine the tax residency status of the company or partnership. If we have any questions, we will consult a professional tax or legal advisor.**

吾等明白宏高不得就本公司 / 合伙公司的納稅居住地狀況提供稅務或法律意見。如有任何疑問，吾等會尋求專業會計或法律方面的意見。

- (3) **We represent that the information in or relating to this Account Opening Information Statement is true, complete and correct. Wocom is entitled to rely fully on such information for all purposes, unless it receives notice in writing of any change. Wocom is authorised at any time to contact anyone, including without limitation to our banks, brokers or any credit agency for the purpose of verifying the information provided in or relating to the Agreement and/or this Account Opening Information Statement.**

吾等確認本開戶資料所載資料及有關資料均屬真實、完整及正確。除非收到吾等的書面更改通知，否則宏高可全權處理吾等該等資料。吾等授權宏高可在任何時間均可接觸吾等的銀行、股票商或任何信貸代理人進行查詢，以核實吾等在合約和 / 或此開戶資料所提供的資料或有關資料。

Authorised Signature(s)/Business Chop 授權簽署 / 業務印章: \_\_\_\_\_

Date 日期: \_\_\_\_\_

## SUPPORTING DOCUMENTS 提供文件

Please provide copies of the following documents 請提供下列文件的副本:

- Proof of identity such as Hong Kong ID card(s) or passport(s) of all Authorised Persons, Ultimate Beneficial Owner (who hold 10% or more) and Directors. 每位授權簽署者 / 持有公司 10% 或以上的主要利益人 / 董事的身份證明，例如：香港身份證 / 護照
- Proof of address within the last 3 months of each Director / Authorised Person such as bank statement, utility bill or letter issued by compliance, audit or human resources department of the employer 每位董事 / 授權簽署者的住址證明，例如：銀行結單、公用事業帳單或由合規、審核或人力資源部發出的信件
- Certified true copy of the latest accounts and Balance Sheet 最近的資產負債表的核實副本
- Certified true copy of the Memorandum & Articles of Association 公司的組織大綱及章程的核實副本
- Minutes of Meeting / Resolution of Board of Directors for opening the account 董事局議決開戶會議紀錄
- Details of the ownership and structure control of the company, e.g. an ownership chart 公司的擁有及控制權詳情，例如擁有權架構表

For corporate client incorporated or registered in Hong Kong 香港成立或註冊的公司:

- Certified true copy of the Business Registration 商業登記的核實副本
- Certified true copy of the result of a Company issued by the Company Registry 公司註冊處發出的公司查冊證明的核實副本

For corporate client incorporated or registered overseas 海外成立或註冊的公司:

- Certified true copy of the Certificate of Incorporation 公司註冊證明書的核實副本
- Certified true copy of a Certificate of Incumbency or its equivalent issued by the company's registering agent in the place of incorporation 由有關公司的當地註冊代理人簽發的職權證明書(現任職位證明書)或等同文件

\* All certified documents must have been issued within the last 6 months 所有證明文件必須在最近六個月內發出

**For Official Use Only 本公司專用**

	Full Name 全名	Signature 簽署
Documentation checked by : 核對文件:		
Approved by 批核:		
Account Executive 客戶主任:		
<input type="checkbox"/> Bank and/or credit reference report 銀行及/或信貸報告 <input type="checkbox"/> Civil Litigation Search 民事訴訟調查 <input type="checkbox"/> Land Search 物業調查 <input type="checkbox"/> Business Registration Search 商業登記調查 <input type="checkbox"/> Company Search 公司調查 <input type="checkbox"/> Others: _____		
Date Account opened: 開戶日期:	Securities 股票 :	
	Futures 期貨 :	
	Leveraged Foreign Exchange 槓桿式外匯 :	
	Bullion 黃金 :	
Account Number: 戶口號碼:	Securities 股票 :	
	Futures 期貨 :	
	Leveraged Foreign Exchange 槓桿式外匯 :	
	Bullion 黃金 :	
Limit Approved: 批實限額:	Settlement Limit: 交收限額:	
	Transaction Limit: 交易限額:	
	Position Limit: 持倉限額:	