

ACCOUNT OPENING INFORMATION STATEMENT 開戶資料

(INDIVIDUAL / JOINT ACCOUNT 私人 / 聯名戶口)

General 一般			
Type of Account 戶口類別:	<input type="checkbox"/> Individual Account 私人戶口 <input type="checkbox"/> Joint Account 聯名戶口* <input type="checkbox"/> Cash 現金 <input type="checkbox"/> Margin 孖展 <input type="checkbox"/> Futures 期貨 <input type="checkbox"/> Options 期權 *Please fill-in P.9 - 11 of Account Opening Information Statement for Secondary Joint Account Holder. 第二聯名戶口持有人須填寫開戶資料第9至11頁。		
Account Name: 戶口名稱:		Existing Account Number with Wocom (if any): 現時在宏高的戶口號碼 (如有):	
<input type="checkbox"/> I/We wish to apply for access to the Electronic Trading Services (as defined in the relevant client agreement) 本人/吾等想申請使用電子交易服務 (如在有關客戶合約內之規定) <input type="checkbox"/> I/We do not wish to apply for access to the Electronic Trading Services (as defined in the relevant client agreement) 本人/吾等不想申請使用電子交易服務 (如在有關客戶合約內之規定)			

Individual Account / Primary Joint Account Holder 私人戶口 / 主要聯名戶口持有人			
Personal Information 個人資料			
Full name 全名:	(English 英文)		
	(Chinese 中文)		
Date of birth 出生日期:		Place of birth 出生地:	
HKID Card No.: 香港身份證號碼:		Nationality 國籍:	
National Identification document No.#: 國民身份證明文件號碼#:		Place of Issue of the National ID#: 國民身份證明文件簽發地點#:	
Passport No.#: 護照號碼#:		Place of Issue of the Passport#: 護照簽發地點#:	
Home Address: 住址:			
Residential Telephone No.: 住宅電話:		Mobile Phone No.: 手提電話:	

For non-permanent HK resident only. 只適用於非香港永久居民

Employment Status 工作狀況

Name of Employer 僱主名稱:

Occupation 職業:

Job Title 職位:

Office Address 公司地址:

Financial Information 財政資料**Annual Income 全年收入:**

- Nil
 ≤ HK\$200,000
 HK\$200,001 - HK\$500,000
 HK\$500,001 - HK\$800,000
 HK\$800,001 - HK\$1,000,000
 > HK\$1,000,000

Ownership of Residence 住屋業權:

- Self-owned (Mortgaged) 自置 (有抵押)
 Self-owned (Not Mortgaged) 自置 (沒有抵押)
 Rented 租賃
 Living with Family 與家人同住
 Others 其他

If others, please specify 如選其他者, 請列明:

Liquid Assets 流動資產:

- ≤ HK\$500,000
 HK\$500,001 - HK\$1,000,000
 HK\$1,000,001 - HK\$3,000,000
 HK\$3,000,001 - HK\$5,000,000
 HK\$5,000,001 - HK\$10,000,000
 > HK\$10,000,000

Net Worth 資產淨值:

- ≤ HK\$500,000
 HK\$500,001 - HK\$1,000,000
 HK\$1,000,001 - HK\$3,000,000
 HK\$3,000,001 - HK\$5,000,000
 HK\$5,000,001 - HK\$10,000,000
 > HK\$10,000,000

Source of Funds 資金來源:

- Savings from Salary 薪金儲蓄
 Rental Income 租金收入
 Business Profits 營業溢利
 Others 其他

- Savings from Previous Job 以往工作薪金儲蓄
 Provided by Family Member 家庭成員提供
 Investment Earnings 投資收益

If others, please specify 如選其他者, 請列明:

Account of Spouse 配偶戶口

Is my spouse a client of Wocom? 本人的配偶是否宏高的客戶?

 Yes 是 No 不是 N/A 不適用

If yes, please specify Account No. 如選是者, 請列明戶口號碼:

Am I, either alone or with my spouse, in control of 35% or more of the voting rights of any client of Wocom?

本人個人或聯同配偶是否控制宏高任何客戶 35%或以上的投票權?

 Yes 是 No 不是

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) 股票掛鈎票據 / 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 you worked in the relevant financial sector for at least one year in a professional position that involves the relevant derivatives product? 客戶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 you studied courses of the relevant derivatives product? 客戶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 ONE 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>

Tax Residency 稅務居民資料

Pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap. 112). Please provide (a) the jurisdiction of residence where the account holder is a resident for tax purposes and (b) TIN for each jurisdiction indicated. 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 an appropriate reason:

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 a TIN is unable to obtain.)

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.

根據《稅務條例》(第 112 章) 有關交換財務帳戶資料的法律條文，請提供帳戶持有人的 (a) 居留司法管轄區，亦即稅務管轄區，及 (b) 稅務編號。如帳戶持有人是香港稅務居民，稅務編號是其香港身份證號碼。如沒有提供稅務編號，必須填寫合適的理由：

理由 A – 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

理由 B – 帳戶持有人不能取得稅務編號。(請解釋不能取得稅務編號的原因。)

理由 C – 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

I hold Hong Kong tax residence only 本人只持有香港稅務居民資格

I hold tax residences other than Hong Kong 本人持有香港以外稅務居民資格

Jurisdiction of Residence: 居留司法管轄區	TIN 稅務編號	No TIN Reason 沒有稅務編號的理由	Explanation to selected Reason B 選取理由 B 的原因
(1)			
(2)			
(3)			

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

Home Address 住址

Office Address 公司地址

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列之電郵地址。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。

I/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.

本人/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 me/us, all withdrawals will be credited to my/our bank account as specified below:
除本人/吾等另行指示外，所有提取的款項將會被存入下述本人/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:			

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

- All cheques deposited into the aforesaid bank on my/our behalf shall be deemed received by me/us in all respects, no matter whether there are any delays, errors or omissions in your part. I/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 me/us;
所有代本人/吾等存入上述銀行之支票，會被視作已被本人/吾等收妥（不論宏高是否有任何延遲、錯誤或疏忽）。本人/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本人/吾等財務、信譽或其他任何損失或損害;
- I/We am/are the ultimate beneficial owner of the above bank account; 本人/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。

I/We **agree** to the proposed use of my/our personal data in direct marketing.
本人/吾等**同意**使用本人/吾等的個人資料於擬作出的直接促銷。

I/We **object** to the proposed use of my/our personal data in direct marketing.
本人/吾等**反對**使用本人/吾等的個人資料於擬作出的直接促銷。

Interest Declaration 利益關係申報**Beneficial Ownership and Instructions 受益人及指示**

Are you acting as an intermediary for the account? 客戶是否以中介人身份操作帳戶?

If yes, details of the ultimate beneficial owner(s) is/are as follows: 如是, 戶口的最終權益擁有人是:

Full Name (English) 英文全名: _____

Full Name (Chinese) 中文全名: _____

HKID / National ID / Passport No.
香港身份證 / 國民身份證 / 護照號碼: _____

Address 地址: _____

- Yes 是
 No 不是

Are you the person(s) ultimately responsible for giving instructions in relation to the account?
客戶是否戶口的主要負責給與指示者?

If no, details of the person(s) ultimately responsible for giving instructions is/are as follows:
如不是, 戶口的主要負責給與指示者是:

Full Name (English) 英文全名: _____

Full Name (Chinese) 中文全名: _____

HKID / National ID / Passport No.
香港身份證 / 國民身份證 / 護照號碼: _____

Address 地址: _____

- Yes 是
 No 不是

Connection with a Registered Person of the Securities and Futures Commission of Hong Kong 與證監會註冊人的聯繫

Are you / 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?
客戶 / 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 name of the relevant exchange participant / licensed corporation / registered institution (please also provide your employer's consent letter).
如是, 請提供交易所參與者 / 持牌法團 / 註冊機構的名稱 (連同你僱主的書面同意信)。

- Yes 是
 No 不是

Relationship with Wocom 與宏高的關係

Do you / the ultimate beneficial owner / the persons ultimately responsible for giving instructions have any relationship with any director or employee of Wocom?
客戶 / 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

Specimen Signatures 簽名式樣

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。

For Individual Account / Primary Joint Account Holder:
私人戶口 / 主要聯名戶口持有人:

(specimen signature 簽名式樣)

For Secondary Joint Account Holder:
第二聯名戶口持有人:

(specimen signature 簽名式樣)

Signing instruction 簽署指示:

- a. Signing Instruction: Shall be signed by any _____ of the above persons * singly / jointly.
簽名指示: 任何上列 _____ 位人仕 * 單獨 / 聯合簽署。
- b. Verbal Trading Instruction: Shall be instructed by any one of the above persons.
口頭買賣指示: 由上列任何一位人仕發出。
- c. Other Instructions, please specify:
其他指示, 請列明: _____

* Please delete as appropriate 請刪去不適者。

Note: Every account holder must complete this Account Opening Information statement.
註: 每位戶口持有人必須填寫此開戶資料。

Declaration 聲明

- (1) When signing this Account Opening Information Statement, I/we confirm that I am not/we are not *citizen(s) or resident(s) in the US* for tax purposes.
簽署此開戶資料時，本人/吾等確認本人/吾等不是美國公民或就稅務目的而言的居民。
- (2) I/We acknowledge and agree that (a) the information contained in this form is collected and may be kept by Wocom 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).
本人/吾等知悉及同意，宏高可根據《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。
- (3) I/We understand Wocom is not allowed to give tax or legal advice on how to determine my/our tax residency status. If I/we have any questions, I/we will consult a professional tax or legal advisor.
本人/吾等明白宏高不得就本人/吾等的納稅居住地狀況提供稅務或法律意見。如有任何疑問，本人/吾等會尋求專業會計或法律方面的意見。
- (4) I/We undertake to advise Wocom of any change in circumstances which affects my/our tax residency status, or causes the information contained herein to become incorrect, and to provide Wocom with updated information within 30 days of such change in circumstances.
本人/吾等承諾，如情況有所改變，以致影響本人/吾等的稅務居民身分，或引致本表格所載的資料不正確，我會通知宏高，並會在情況發生改變後 30 日內向宏高更新資料。
- (5) I/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 my/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.
本人/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。除非收到本人/吾等的書面更改通知，宏高可全權處理本人/吾等之該等資料。本人/吾等授權宏高可在任何時間均可接觸本人/吾等的銀行、股票商或任何信貸代理人進行查詢，以核實本人/吾等在合約和/或此開戶資料所提供的資料或有關資料。

Individual Account / Primary Joint Account Holder Signature
私人戶口 / 主要聯名戶口持有人簽署

Secondary Joint Account Holder Signature
第二聯名戶口持有人簽署

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 National Identification document(s) or passport(s) 身份證明，例如：香港身份證 / 國民身份證明文件 / 護照
- Proof of residential address within the last 3 months such as bank statement, utility bill or letter issued by compliance, audit or human resources department of your employer 最近 3 個月的住址證明，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

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"/> Others 其他: _____		
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:	