



## 富途證券國際(香港)有限公司

Futu Securities International (Hong Kong) Limited

香港證券及期貨事務監察委員會註冊持牌法團 (編號AZT137)

The Securities and Futures Commission Full licensed corporations (CE NO.AZT137)

公司地址：香港 金鐘 金鐘道 95號 統一中心13樓C1-2室

Address: Unit C1-2, 13/F, United Centre, 95 Queensway, Admiralty, Hong Kong

電話：香港 (00852) 2523 3588 深圳 (0755) 8663 6688

Service Hotline: Hong Kong (00852) 2523 3588 Shenzhen (0755) 8663 6688

## 個人賬戶開戶表格

Personal Account Opening Form

牛牛號 Account No.

### 交易賬戶 Account type

港股 (單選)

HK Stocks (Choose one)

☐ 現金賬戶

Cash Account

☐ 孖展賬戶

Margin Account

美股

US Stocks

☐ 孖展賬戶

Margin Account

A股通

CN Stocks Connect

☐ 孖展賬戶

Margin Account

### 個人資料 Personal Information

中文名

Name in Chinese

英文名/姓名拼音

Name in English/Pinyin

國籍 (地區)

Nationality (Region)

☐ 中國大陸

Mainland China

☐ 中國香港

Hong Kong China

☐ 其他:

Others: (state above)

出生地

Place of Birth

性別

Gender

☐ 男

Male

☐ 女

Female

出生日期 (日/月/年)

Date of Birth (DD/MM/YY)

身份證/護照號碼

ID/Passport Number

居住地址

Residential Address

手提電話

Contact Number

電郵地址

Email Address

### 教育程度及職業信息 Education and Employment Information

教育程度

Education Level

☐ 小學或以下

Primary or below

☐ 中學

Secondary

☐ 大專

Diploma

☐ 學士

Bachelor

☐ 碩士或以上

Master or above

就業狀態

Employment Status

☐ 受僱

Employed

☐ 自僱

Self-Employed

☐ 退休

Retired

☐ 其他

Others

公司名稱

Company Name

職業/職位

Occupation/Job Title

行業類型

Industry

工作地址/地區

Address/District

### 財務狀況 Financial Status

全年收入 (港幣)

Annual Income (HKD)

☐ <20萬

<200K

☐ 20萬-50萬

200K-500K

☐ 50萬-100萬

500K-1M

☐ 100萬-500萬

1M-5M

☐ >500萬

>5M

總資產淨值 (港幣)

Total Net Asset Value (HKD)

☐ <50萬

<500K

☐ 50萬-250萬

500K-2.5M

☐ 250萬-500萬

2.5M-5M

☐ >500萬

>5M

收入來源

Sources of income

☐ 薪金

Salary

☐ 營業收入

Business Revenue

☐ 存款

Deposit

☐ 租金

Rent

☐ 投資利潤

Investment Profits

☐ 家庭

Family

☐ 借貸

Loan

☐ 退休金

Pension

☐ 其他:

Others: (state above)

## 投資狀況 Investment Profile

投資知識 Investment Knowledge	<input type="checkbox"/> 精通 Proficient	<input type="checkbox"/> 良好 Good	<input type="checkbox"/> 較好 Average	<input type="checkbox"/> 有限 Limited	<input type="checkbox"/> 全無 None
投資目標 Investment Objective(s)	<input type="checkbox"/> 增值 Capital Growth	<input type="checkbox"/> 收入 Return	<input type="checkbox"/> 投機 Speculation	<input type="checkbox"/> 對沖 Hedging	<input type="checkbox"/> 其他 Others
每月交易頻率 Monthly Transaction Frequency	<input type="checkbox"/> 0-5次 0-5 times	<input type="checkbox"/> 5-20次 5-20 times	<input type="checkbox"/> 20次以上 20 times above		
風險承受能力 Risk Tolerance	<input type="checkbox"/> 高 High	<input type="checkbox"/> 中 Medium	<input type="checkbox"/> 低 Low		
投資經驗 Investment Experience	<input type="checkbox"/> ( ) 股票 <input type="checkbox"/> ( ) 結構性產品 <input type="checkbox"/> ( ) 外幣/黃金 <input type="checkbox"/> ( ) 認股證/股票期權 <input type="checkbox"/> ( ) 期貨/期權 <input type="checkbox"/> ( ) 其他 Stock   Structured Product   Forex/Bullion   Equity Warrants/Stock Options   Futures/Options   Others				
*請填上合適字母 *Please fill in with appropriate letter	A 沒有經驗   B 少於一年   C 一年至三年   D 三年至五年   E 五年以上 None   Less than 1 year   1-3 years   3-5 years   More than 5 years				

## 衍生投資產品的認知評估 Knowledge of Derivative Products

您是否有意進行衍生產品的買賣？ 若是，請回答以下問題 Does the client intended to trade derivative products? If Yes, please answer the following questions	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 否 No
您是否曾接受有衍生產品的培訓或修讀相關課程？ Did the Client undergo training or attend courses on derivative products?	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 否 No
您現時或過去是否擁有與衍生產品有關的工作經驗？ Does the Client have current or previous work experience related to derivative products?	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 否 No
您是否在過去三年曾執行過五次或以上有關任何衍生產品(不論是否在交易所買賣)的交易？ Did the Client execute five or more transactions in any derivative products (whether traded on an exchange or not) within the past three years?	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 否 No

## 其他資料披露 Information Disclosure

- 您是否證券賬戶的最終及唯一受益擁有人？  
Is the client the sole and ultimate beneficial owner in relation to this securities account?  
☐ 是 Yes   ☐ 否 No   若是，請填妥有關人士的姓名、身份證/護照號碼、聯繫地址和聯繫電話  
 If No, please provide the information of the sole and ultimate beneficial owner: \_\_\_\_\_
- 您是否與富途證券國際(香港)有限公司或其聯營公司之董事或雇員有任何關係？  
Does the client have any relationship with the director(s) or employee(s) of Futu Securities International (Hong Kong) Limited or its respective associated companies?  
☐ 是 Yes   ☐ 否 No   若是，請填妥有關人士的姓名及與其關係  
 If Yes, please provide the related person name and relationship respectively: \_\_\_\_\_
- 您是否聯合交易所之交易所參與者或證監會之持牌人或註冊人之董事、雇員或認可人士？  
Is the client a director, employee or authorized person of an exchange participant of the HKEX Group, or licensed or registered person of the SFC?  
☐ 是 Yes   ☐ 否 No   若是，請詳述有關資料  
 If Yes, please provide relevant information: \_\_\_\_\_
- 您是否有擔任重要公職，例如重要政客或高級政府官員、司法軍事官員、國有企業高級行政人員或其家人或有密切聯絡人士？  
Does the client have been entrusted with prominent public functions, such as important politicians or senior government or their families or close associates?  
☐ 是 Yes   ☐ 否 No   若是，請詳述有關資料  
 If Yes, please provide relevant information: \_\_\_\_\_
- 您是否在富途證券國際(香港)有限公司已開設由您或您代表他人、團體或公司實益持有、擁有或運作、或您擁有直接或間接利益的帳戶(無論個人、聯名、公司、托管)？  
Does the client opened an account with Futu Securities International (Hong Kong) Limited (whether personal, joint, corporate, trustee), which is beneficially held, owned or operated by me or for any other person(s), body or corporation, or in which I have the direct or indirect interests?  
☐ 是 Yes   ☐ 否 No   若是，請填妥有關的帳戶姓名和帳戶號碼  
 If Yes, please provide FUTU account name and FUTU account number: \_\_\_\_\_
- 您的配偶是否在富途證券國際(香港)有限公司開立保證金賬戶？  
Does the client's spouse have a margin account with Futu Securities International (Hong Kong) Limited?  
☐ 是 Yes   ☐ 否 No   若是，請填妥有關的帳戶姓名和帳戶號碼  
 If Yes, please provide FUTU account name and FUTU account number: \_\_\_\_\_
- 您個人或與您的配偶是否共同控制富途證券國際(香港)有限公司的其他保證金賬戶的35%或以上的股權？  
Is the client or together with spouse control 35% or more of the shareholder rights of other margin account(s) of Futu Securities International (Hong Kong) Limited?  
☐ 是 Yes   ☐ 否 No   若是，請填妥有關的帳戶姓名和帳戶號碼  
 If Yes, please provide FUTU account name and FUTU account number: \_\_\_\_\_
- 您是否為美國永久居民(綠卡持有人)？  
Is the client a permanent resident of the United States of America (Green Card holder)?  
☐ 是 Yes   ☐ 否 No
- 您是否為單一國家/地區的稅務居民?(注：稅務居民是指因某地具有居民身份而負有繳稅責任。中國大陸/香港/澳門的稅務編號為其身份證號碼。)  
Is the client a tax citizen of a single country/region?  
☐ 是 Yes   國家/地區 \_\_\_\_\_   稅務編號(如無法提供請說明理由)  
 Country/Region \_\_\_\_\_ Tax Identification Number(Please explain if you are unable to provide TIN) \_\_\_\_\_  
☐ 否 No   請填寫您所有的國家/地區及稅務編號(如無法提供請說明理由)  
 Please provide your Country/Region and Tax Identification Number(Please explain if you are unable to provide TIN) \_\_\_\_\_

## 客戶聲明及簽署 Client's Declaration and Signature

當客戶於簽署欄內完成簽署確認，以向富途證券國際(香港)有限公司(下稱「富途證券」)提交開戶申請，即代表客戶同意作出以下聲明：

Client hereby declares, by signing in the signature column by himself/herself for confirmation, to submit account opening application to Futu Securities International (Hong Kong) Limited ( "Futu Securities" ), represented that the Client makes following declarations:

- 客戶已詳細閱讀確認、同意、接受、明白及願意遵守富途證券《客戶協議書》(包括其附件及附表)的所有條款及條件及其他富途證券不時發出或補充之規則或指引之所有條款及條件(統稱「該等條款」)，並同意及接納受該等條款的約束；  
The Client have already fully read, confirmed, agreed, accepted, understood and am/are willing to comply with all terms and conditions of Client Agreement (including its appendices and schedules), and of other rules or guidance issued or supplemented by Futu Securities from time to time (collectively referred to as "Those Terms" ), and agrees and accepts to be bound by all Those Terms;
- 關於上述該等條款，客戶已獲邀請尋求獨立法律意見，並完全明白及接受所有該等條款；  
In relation to Those Terms mentioned above, the Client has been invited to seek independent legal advice and have also understood and accepted all Those Terms;
- 客戶知悉及確認富途證券已根據客戶所選擇的語言向其提供及解釋《客戶協議書》內的風險披露聲明。客戶亦確認已獲邀請透過書面途徑提出問題及尋求獨立法律意見，並確認客戶已完全明白及接受所有上述的風險披露聲明；  
The Client acknowledges and confirms that Futu Securities has already explained the Risk Disclosure Statements as set out in the "Client Agreement" in a language of the Client's choice. The Client confirms that the Client has been invited to ask questions in writing and seek independent legal advice, and that the Client fully understood and accepted all the aforesaid Risk Disclosure Statements;
- 客戶聲明及確認，所有填寫於開戶表格的資料及其他不時向富途證券提供的資料均屬真實，完全及正確，並已取得客戶協議書及風險披露聲明等文件；  
The Client declares and confirms that all the information provided in Account Opening Form and other information provided to Futu Securities from time to time are true, complete and correct, and has obtained the documents like Client Agreement and Risk Disclosure Statement by Futu Securities.
- 客戶同意以電子簽署的方式在申請開戶時或其他時間簽署所需文件，包括但不限於開戶表格、客戶協議書、風險披露聲明以及其他相關文件；  
The Client agrees to sign the required documents by way of electronic signature at the time of making account opening application or at other times, including but not limited to Account Opening Form, Client Agreement, Risk Disclosure Statement and other relevant documents;
- 客戶聲明及確認是帳戶的最終及唯一實益擁有人，並完全負責為該(等)帳戶運作所發出的一切指示。除非客戶已通知富途證券有關授權人士的委任及富途證券實際收到有關通知，否則客戶確認帳戶均由客戶操作；  
The Client reiterates that Futu Securities or its agents have been authorized by the Client to contact the Client's bank, broker and any credit counseling agency for credit evaluation;
- 客戶重申富途證券或其代理人已獲客戶授權可隨時聯絡客戶之銀行、經紀及任何信貸諮詢機構，以作評核客戶信貸之用；  
Pursuant to the Securities and Futures (Client Money) Rules (Chapter 571I of the Laws of Hong Kong), the Securities and Futures (Client Securities) Rules (Chapter 571H of Hong Kong) and the Client Agreement, the Client gives the standing authorities and authorizes Futu Securities to handle the assets in the Client's account and the charged securities to Futu Securities in accordance with the aforementioned laws and agreements;
- 客戶根據《證券及期貨(客戶款項)規則》(香港法例571I章)、《證券及期貨(客戶證券)規則》(香港法例571H章)及客戶協議書向富途證券作出常設授權，授權富途證券按照前述法例及協議處理客戶帳戶內的資產和抵押予富途的證券。  
The Client declares that he or she is the ultimate and sole beneficial owner(s) of the Account(s) and is fully responsible for all instructions for the operation of the said Account(s). The Client confirm the Account(s) is operated by himself or herself unless the appointment of relevant authorized person has been notified by the Client to Futu Securities and has been actually received by Futu Securities.

客戶簽名 (簽名字體)

Signature of client

客戶姓名 (正楷字體)

Name of client (Block letters)

簽署日期

Date of Signature

\_\_\_\_ / \_\_\_\_ / \_\_\_\_

## 見證人簽署 Witness Declaration and Signature

供富途職員 或 見證人員填寫 For Official / Notary Use Only

本人聲明及確認開戶文件是由客戶在本人面前簽立，並已核對客戶身份證明文件原件。

I declare and confirm that the account opening documents are executed by the client in my presence and the original of client's identity document has been checked.

見證人簽名 (簽名字體)

Signature of witness

見證人姓名 (正楷字體)

Name of witness (Block letters)

簽署日期

Date of Signature

\_\_\_\_ / \_\_\_\_ / \_\_\_\_



## 所需資料 Required Documents

### 個人賬戶 Personal Account

Original or Certified True Copy\*\* of the following documents :

以下文件需提供正本或核證本\*\*:

1. Completed and signed account opening form (completed with witness in P.3)  
已完整填寫及簽署之開戶表格正本 (第三頁見證部份由見證人員簽署)
2. ID or Passport copy  
身份證明或護照副本
3. Valid Address Proof copy issued within the last three months  
三個月內發出之有效地址證明
4. License Copy of the witness (witness should sign on the copy) (Futu only accepts the witness by certified public accountant, lawyer, notary public, Justice of the Peace, SFC licensed person or registered person, or chartered secretary)  
見證人員的有效執照副本，見證人員應於副本上簽署 (只接受經執業會計師、律師、公證人、太平紳士、證監會持牌人、註冊人或特許秘書的見證簽署)

Please prepare and submit the following documents (if applicable) :

另需填寫及提交以下的文件 (如適用):

5. W9 Form (For U.S. citizen or other U.S. person, including a resident alien individual)  
W9 表格 (供美國公民或持有綠卡之永久居民使用)

\*\* Attn: Futu only accepts the document copies certified by certified public accountant, lawyer, notary public, Justice of the Peace, SFC licensed person or registered person, or chartered secretary

\*\* 注：本公司只接受經執業會計師、律師、公證人、太平紳士、證監會持牌人、註冊人或特許秘書所簽發的核證本。

### 開戶指引 Account Opening Guideline

You may follow the steps below to complete the account opening process:

閣下可依以下指引完成開戶步驟:

1. Print out and fill in this account opening form, prepare all documents above and complete the witness procedure  
列印及填妥本開戶文件，準備好以上所示文件及交予見證機構/人仕完成見證部份
2. Download App Futubull, register an account and write down the account number P.1  
(If you are unable to download the application, please fill in "NIL" and we may create an account for you, you will receive your account number and password through email)  
下載富途牛牛APP及註冊，註冊完成後將牛牛號於第一頁右上方填寫  
(如未能下載有關應用程式，請填寫「無」以便我們為你建立賬戶，資料審核完成後會透過電郵向你發出賬戶號碼及密碼)
3. Mail all documents to FUTU Hong Kong Office:  
Unit C1-2, 13F, United Centre, No. 95 Queensway, Admiralty, HK  
文件郵寄至富途香港辦公室：香港金鐘金鐘道95號統一中心13樓C1-2室
4. Email notification will be send out once we processed your application, thank you for your patience!  
文件收妥及完成處理後，我們會以電郵方式通知閣下戶口是否完成審批，敬請耐心等待！



立即下載富途牛牛