



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

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

Service Hotline: Hong Kong (00852) 2523 3588 Shenzhen (0755) 86636688

證券交易開戶表格(個人賬戶)

Securities Account Opening Form (Personal Account)

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

個人資料 Personal Information

中文名

Name in Chinese

英文名/姓名拼音

Name in English/Pinyin

國家 (地區)

Nationality (Region)

 中國大陸

Mainland China

 中國香港

Hong Kong China

 其他

Others

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

職業信息 Employment Information

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

200K-1M

 100萬-500萬

1M-5M

 >500萬

>5M

總資產淨值

Total Net Asset Value

 <20萬

<200K

 20萬-50萬

200K-500K

 50萬-100萬

200K-1M

 100萬-500萬

1M-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 () 股票 <input type="checkbox"/> 結構性產品 () 結構性產品 <input type="checkbox"/> 外幣/黃金 () 外幣/黃金 <input type="checkbox"/> 認證股/股票期權 () 認證股/股票期權 <input type="checkbox"/> 期貨/期權 () 期貨/期權 <input type="checkbox"/> 其他 () 其他 Stock Structured Product Forex/Bullion Equity/Warrants Futures/Options Others				
*請填上合適字母 *Please fill in with appropriate letter	A 沒有經驗 None	B 少於一年 Less than 1 year	C 一年至三年 1-3 years	D 三年至五年 3-5 years	E 五年以上 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？ Does the client intend trading derivative products?	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 否 No
若是，請回答以下問題 If Yes, please answer the following questions		
您是否曾接受有關衍生產品性質和風險的一般知識或修讀相關課程？ Does the client having undergone training or attended courses on derivative products?	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 否 No
您現時或過去是否從事與衍生產品有關的工作？ Is the client current or previous equipe with relevant working experience related to derivative products?	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 否 No
您是否在過去三年曾買賣過至少五次任何衍生產品的交易(不論是否在交易所買賣)？ Does the client executed five or more transactions in derivative products in the past three years?	<input type="checkbox"/> 是 Yes	<input type="checkbox"/> 否 No

其他資料披露 Information Disclosure

- 您是否證券現金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 若否，請填妥有關人士的姓名、身份證/護照號碼、联系地址和聯系電話
 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注册人之董事、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 having 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 report reason if you may not provide)
 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 report reason if you may not provide)

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

- 我/我們已詳細閱讀客戶協議以及香港的風險披露聲明;
I/We have read carefully the Client Agreement and Risk Disclosure Statement;
- 富途證券國際(香港)有限公司(下稱為“富途”)已詳細給我/我們解釋由富途提供的有關客戶協議書以及香港的風險披露聲明的內容，而我/我們已明白並同意以中文作為客戶協議書;
Futu Securities International (Hong Kong) Limited (“Futu”) has explained to me/us the information of Client Agreement and Risk Disclosure Statement, and we understand and agree to have Client Agreement in Chinese version;
- 如果我/我們選擇使用富途提供的程序化交易的接口，則表明我/我們確認我/我們有注意並已閱讀在富途網頁上提供的指引及相關文件，並對程序化交易有深入的了解，以及我/我們確認我/我們有注意充分知曉跟程序化交易相關的合規及監管問題;
If I/We choose to use the interface of programme trading provided by Futu, it means that I/We confirm that I/We have noticed and read the guidelines and related documents on Futu website, have deep understanding over programme trading, and I/We confirm I/We am/are aware of relevant compliance and regulatory issues associated with programme trading;
- 我/我們已給與足夠的機會去向富途的代表查詢以及就富途的客戶協議書以及風險披露聲明征詢本人的法律顧問的意見;
I/We have been given enough opportunities to ask the representative of Futu and seek opinion from legal advisor regarding Futu’s Client Agreement and Risk Disclosure Agreement;
- 我/我們已拿取富途的客戶協議書以及香港的風險披露聲明。本人已確認本人是自己在戶口進行交易，本人亦明白當富途計算本人戶口的結餘時，富途有機會將由富途應繳付給我/我們的款項或由我/我們應繳付給富途的款項互相抵銷;
I/We have received Futu’s Client Agreement and Risk Disclosure Statement. I/We have confirmed that I/We trade in own account, and understand Futu may set-off any amount receivable from and payable to me/us in calculation of account balance;
- 我/我們已閱讀並完成開戶申請以及由富途提供的有關開戶的額外問題，我/我們同意我/我們之前提供給富途的所有資料是正確的;
I/We have read and complete account opening application form and additional questions regarding account opening from Futu, I/We agree the information provided to Futu is correct;
- 我/我們已同意以電子簽名的方式在開立戶口時或其他時間去簽署其他額外文件，包括但不限於風險披露聲明以及其他相關的文件;
I/We have agreed to sign in time of account opening or at other times for any additional documents, including but not limited to Risk Disclosure Statement and other associated documents;
- 我/我們欲使用附電子交易服務現金賬戶及或孖展賬戶，我/我們已閱讀及明白並同意接受可不時被修改的該協議書包括其現金賬戶及或孖展賬戶之附加條款;
I/We wish to use the cash and/or margin account with electronic trading service, I/We have read, understand and agree to accept the Client Agreement, including additional terms of cash account and/or margin account, which may be changed from time to time.
- 當涉及到保證金(及或現金)帳戶時，我/我們亦重申富途或其代理人，已獲我/我們授權，可隨時聯絡我/我們之銀行、經紀及任何信貸諮詢機構，以作評核我/我們信貸之用。
When involving margin and/or cash account, I/We reaffirm Futu any of its agents is hereby authorized at any time to contact anyone, including my/our bank-ers or brokers or any credit agency, to obtain credit information in assessing my/our credit worthiness.
- 我/我們根據《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(含附件)向富途做出常設授權，授權富途按照前述法例及協議處理我/我們的帳戶內的資產和抵押予富途的證券。
Pursuant to the Securities and Futures (Client Money) Rules (Cap. 571I of the Laws of Hong Kong) and the Securities and Futures (Client Securities) Rules (Cap. 571H of the Laws of Hong Kong), I/We gives the standing authority to authorize and/or instruct Futu to deal with money, securities and securities collateral in account with Futu.

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

供富途職員填寫 For Official Use Only

本人為客戶進行了港股美股開戶合同簽署的見證工作，亦已核對客戶身份證原件無誤，並確認開戶表格是客戶本人簽署
I declare that the above client signature(s) was/were made in my presence and checked the original of Identity Proof

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 _____ / _____ / _____