



Registered Office: Unit 2101, 21/F, Infinitus Plaza, 199 Des Voeux Road Central, Sheung Wan, Hong Kong

註冊辦事處: 香港上環德輔道中 199 號無限極廣場 21 樓 2101 室

A corporation licensed for Type 1 regulated activity under the Securities and Futures Ordinance (CE Number: ARK249)

根據《證券及期貨條例》就第一類受規管活動獲發牌的持牌法團 (中央編號: ARK249)

Tel. 電話: (852) 3971 6988

Fax 傳真: (852) 3971 6989

ACCOUNT APPLICATION FORM (INDIVIDUAL / JOINT ACCOUNT)

帳戶申請書 (個人/聯名帳戶)

Account Type 帳戶種類	<input type="checkbox"/> Cash Account* 現金帳戶*	<input type="checkbox"/> Margin Account* 保證金帳戶*	Account Nature 帳戶形式	<input type="checkbox"/> Individual Account 個人帳戶	<input type="checkbox"/> Joint Account 聯名帳戶
Electronic Trading Service* 電子交易服務*			<input type="checkbox"/> Yes	<input type="checkbox"/> No 否	

*Please read the relevant provisions contained in the Agreement for Securities Trading Account 請閱讀載於證券交易帳戶協議書中相關的條款

1. Personal Information 個人資料

Individual / Primary Joint Account Holder 個人 / 聯名帳戶主要持有人		Secondary Joint Account Holder 聯名帳戶第二持有人	
Name (Surname First)	Mr / Ms	Name (Surname First)	Mr / Ms
姓名	先生 / 女士	姓名	先生 / 女士
Residential Address 住宅地址		Residential Address 住宅地址	
	Postal Code 郵政編號		Postal Code 郵政編號
ID Card / Passport No. 身份證 / 護照號碼	Place of Issue 簽發地點	ID Card / Passport No. 身份證 / 護照號碼	Place of Issue 簽發地點
Date of Birth (YYYY/MM/DD) 出生日期 (年/月/日)		Date of Birth (YYYY/MM/DD) 出生日期 (年/月/日)	
Residential Tel. No. 住宅電話		Residential Tel. No. 住宅電話	
Mobile Phone No. 流動電話	1. (+) 2. (+)	Mobile Phone No. 流動電話	1. (+) 2. (+)
Country of Birth 出生地點		Country of Birth 出生地點	
Nationality / Citizenship 國籍 / 公民身份		Nationality / Citizenship 國籍 / 公民身份	
Education Level 教育程度	<input type="checkbox"/> Primary 小學 <input type="checkbox"/> University or above <input type="checkbox"/> Secondary 中學 大學或以上	Education Level 教育程度	<input type="checkbox"/> Primary 小學 <input type="checkbox"/> University or above <input type="checkbox"/> Secondary 中學 大學或以上
Receiving Bank Account 收款銀行帳戶	Unless otherwise instructed by the Client, all monies payable to the Client are to be credited to the following bank account 除經客戶另行指示外, 客戶的應收金額將按指示存入下列指定銀行帳戶: Name of Bank 銀行名稱: Account Name 帳戶名稱: Account No 帳戶號碼:		
E-mail Address 電郵地址	Relationship with Primary Account Holder 與主要帳戶持有人關係		<input type="checkbox"/> Immediate family, please specify 直系親屬, 請註明: <input type="checkbox"/> Relative 親戚 <input type="checkbox"/> Other 其他:
(只須由個人/主要持有人填寫 Individual/Primary Joint Account Holder Only)			
Document Exchanges Address 單據往來地址	Original Contract Notes (Trading Confirmations) and Statements to be sent by selecting one ONLY (If Client(s) choose for mailing services, HKD10 shall be imposed as postage service fee) 選擇下列其中一種方式發送成交單據正本 (買賣確認) 及對帳單 (如客戶選用郵寄方式, 將每月收取港幣 10 元郵遞服務費) <input type="checkbox"/> Residential Address 住宅地址: <input type="checkbox"/> Office Address 辦事處地址: <input type="checkbox"/> E-mail Address 電郵地址		

2. Employment Status 受僱狀況

Individual / Primary Joint Account Holder 個人 / 聯名帳戶主要持有人		Secondary Joint Account Holder 聯名帳戶第二持有人	
<input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Retired 退休	<input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Other 其他:	<input type="checkbox"/> Employed 受僱 <input type="checkbox"/> Retired 退休	<input type="checkbox"/> Self-employed 自僱 <input type="checkbox"/> Other 其他:
Occupation 行業		Occupation 行業	
		Job Title 職位	
Name of Employer 僱主名稱		Name of Employer 僱主名稱	
Office Tel. No. 辦事處電話		Office Tel. No. 辦事處電話	
Office Address 辦事處地址		Office Address 辦事處地址	
	Postal Code 郵政編號		Postal Code 郵政編號

3. Financial Status (as required by SFC) 財務狀況 (證監會規定必須填寫)

Individual / Primary Joint Account Holder 個人 / 聯名帳戶主要持有人		Secondary Joint Account Holder 聯名帳戶第二持有人	
Annual Income (HKD) 每年收入 (HKD)	<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 - \$1,500,000 <input type="checkbox"/> \$1,500,001 - \$2,000,000 <input type="checkbox"/> >\$2,000,000	Annual Income (HKD) 每年收入 (HKD)	<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 - \$1,500,000 <input type="checkbox"/> \$1,500,001 - \$2,000,000 <input type="checkbox"/> >\$2,000,000
Net Worth (HKD) 資產淨值 (HKD)	<input type="checkbox"/> <\$500,000 <input type="checkbox"/> \$500,001-\$1,000,000 <input type="checkbox"/> \$1,000,001 - \$2,000,000 <input type="checkbox"/> \$2,000,001 - \$5,000,000 <input type="checkbox"/> \$5,000,001 - \$10,000,000 <input type="checkbox"/> >\$10,000,000	Net Worth (HKD) 資產淨值 (HKD)	<input type="checkbox"/> <\$500,000 <input type="checkbox"/> \$500,001-\$1,000,000 <input type="checkbox"/> \$1,000,001 - \$2,000,000 <input type="checkbox"/> \$2,000,001 - \$5,000,000 <input type="checkbox"/> \$5,000,001 - \$10,000,000 <input type="checkbox"/> >\$10,000,000
Source of Funds 資金來源	<input type="checkbox"/> Savings 儲蓄 <input type="checkbox"/> Family 家庭 <input type="checkbox"/> Trading Profits 營業溢利 <input type="checkbox"/> Rental Income 租金收入 <input type="checkbox"/> Loan 貸款 <input type="checkbox"/> Others 其他:	Source of Funds 資金來源	<input type="checkbox"/> Savings 儲蓄 <input type="checkbox"/> Family 家庭 <input type="checkbox"/> Trading Profits 營業溢利 <input type="checkbox"/> Rental Income 租金收入 <input type="checkbox"/> Loan 貸款 <input type="checkbox"/> Others 其他:

4. Investment Experience & Knowledge of Derivatives (as required by SFC) 投資經驗及衍生產品認識 (證監會規定必須填寫)

Investment Objectives 投資目標	<input type="checkbox"/> Generating Income 賺取收入	<input type="checkbox"/> Capital Gain 資本增值	<input type="checkbox"/> Hedging 對沖	<input type="checkbox"/> Speculation 投機	<input type="checkbox"/> Others: 其他:
Investment Plan 投資計畫	<input type="checkbox"/> Short Term 短期	<input type="checkbox"/> Medium Term 中期	<input type="checkbox"/> Long Term 長期	<input type="checkbox"/> Others: 其他:	

Individual / Primary Joint Account Holder 個人 / 聯名帳戶主要持有人			Secondary Joint Account Holder 聯名帳戶第二持有人		
Investment Experience 投資經驗 (Can choose more than 1) (可選多於一項)	<input type="checkbox"/> Listed Securities 上市證券 Year(s) 年數 <input type="checkbox"/> Futures/Options 期貨或期權 Year(s) 年數 <input type="checkbox"/> Funds/Bonds 基金或債券 Year(s) 年數 <input type="checkbox"/> Others: 其他: <input type="checkbox"/> None 沒有		Investment Experience 投資經驗 (Can choose more than 1) (可選多於一項)	<input type="checkbox"/> Listed Securities 上市證券 Year(s) 年數 <input type="checkbox"/> Futures/Options 期貨或期權 Year(s) 年數 <input type="checkbox"/> Funds/Bonds 基金或債券 Year(s) 年數 <input type="checkbox"/> Others: 其他: <input type="checkbox"/> None 沒有	
Derivative Products Knowledge 衍生產品的認識	<p>I / We acknowledge and understand the Company will assess whether I have adequate knowledge on derivative products according to the following information: 本人 / 吾等 知悉及明白公司將根據以下的資料評估本人是否對衍生工具產品擁有足夠認識:</p> <div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> Individual / Primary Joint Account Holder 個人 / 聯名帳戶主要持有人 </div> <div> <input type="checkbox"/> Secondary Joint Account Holder 聯名帳戶第二持有人 </div> </div> <p>A. By undergoing training or attending courses that provide general knowledge of the nature and risk of derivatives (e.g. relevant online or classroom courses offered by academic institutions or financial institutions) 已接受有關一般衍生產品之性質及風險的培訓或課程 (例如由學術機構或金融機構所提供之網上課程或教育課程)</p> <div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> Individual / Primary Joint Account Holder 個人 / 聯名帳戶主要持有人 Please specify 請註明: </div> <div> <input type="checkbox"/> Secondary Joint Account Holder 聯名帳戶第二持有人 Please specify 請註明: </div> </div> <p>B. From my current or previous work experience related to derivative products 從本人現時或過去與衍生產品有關的工作經驗</p> <div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> Individual / Primary Joint Account Holder 個人 / 聯名帳戶主要持有人 Please specify 請註明: </div> <div> <input type="checkbox"/> Secondary Joint Account Holder 聯名帳戶第二持有人 Please specify 請註明: </div> </div> <p>C. From my relevant trading experience i.e. I have executed 5 or more transactions in derivative products (e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures, Options and ETF, whether traded on an exchange or not) within the past 3 years 從本人相關之交易經驗, 即本人於過去三年內進行了五次或以上有關衍生產品之交易 (例如: 衍生權證、牛熊證、股票期權、期貨及期權、商品、結構性產品及交易所買賣基金等, 不論是否於交易所進行交易)</p> <div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> Individual / Primary Joint Account Holder 個人 / 聯名帳戶主要持有人 </div> <div> <input type="checkbox"/> Secondary Joint Account Holder 聯名帳戶第二持有人 </div> </div> <p>I / We have NOT acquired knowledge of derivative products 本人 / 吾等 沒有衍生產品之認識</p> <div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> Individual / Primary Joint Account Holder 個人 / 聯名帳戶主要持有人 </div> <div> <input type="checkbox"/> Secondary Joint Account Holder 聯名帳戶第二持有人 </div> </div>				

5. Declaration by Client 客戶聲明

- Are you (and / or the Secondary Joint Account Holder) the ultimate beneficial owner(s) in relation to the account?
你 (及 / 或聯名帳戶第二持有人) 是否此帳戶的最終實益擁有人?
☐ Yes 是 ☐ No, please state the following information 否, 請申明以下資料:

Name
名稱:

ID / Passport No.
身份證 / 護照號碼:

Correspondence Address
通訊地址:
- Are you (and / or the Secondary Joint Account Holder) a relative of an employee or agent of QMIS Securities Limited ("QMIS Securities"), its Parent Co. or Associated Co.?
你 (及 / 或聯名帳戶第二持有人) 是否與華亞證券有限公司 ("華亞證券"), 其母公司或關連公司之僱員或代理人有親屬關係?
☐ Yes, please provide 是, 請提供: ☐ No 否

a. Name of employee / agent 僱員 / 代理人名稱:

b. Relationship 關係:

3. Are you (and / or the Secondary Joint Account Holder) an employee or agent of a licensed corporation or registered institution with SFC, or other financial institutions?
你（及/或聯名帳戶第二持有人）是否證監會註冊的持牌法團或註冊機構，或其他金融機構的僱員或代理人？
☐ Yes, please provide 是，請提供：
a. Name of relevant institution 相關機構名稱：
b. ☐ Your employer's consent letter 你僱主的書面同意 ☐ No 否

4. Are you (and / or the Secondary Joint Account Holder) a Director or shareholder of any listed company, foreign public figures e.g. senior government officials, political party leaders, religious leaders, etc. or their family members?
你（及/或聯名帳戶第二持有人）是否上市公司之董事或股東，外國的公眾人物，例如政府高官、政黨領袖、宗教領袖等或其家人？
☐ Yes, please provide details: 是，請提供詳情：
☐ No 否

5. Do you (and / or the Secondary Joint Account Holder) hold other accounts with QMIS Securities (including accounts held by person related with you)?
你（及/或聯名帳戶第二持有人）是否於華亞證券持有其他帳戶（包括有關人士持有之帳戶）？
☐ Yes, please provide the following information: 是，請提供以下資料：
Account No. 帳戶號碼: Account Name 帳戶名稱:
Relationship 關係: ☐ No 否

6. Are you (and / or the Secondary Joint Account Holder) citizens or residents of the USA for tax purposes? (Note: Due to US tax reporting requirements, US persons' accounts require special approval)
你（及/或聯名帳戶第二持有人）是否美國公民或就稅務目的而言的居民？（注意：由於美國稅收申報要求，美國人帳戶需要特別審批）
☐ Yes 是 ☐ No 否

7. Are you (and / or the Secondary Joint Account Holder) a resident for tax purposes in any place other than Hong Kong? If yes, please list the country(ies) below:
你（及/或聯名帳戶第二持有人）是否香港以外就稅務目的而言的居民？如是，請在下方列出該國家：
☐ Yes 是 ☐ No 否
☐ China 中國 ☐ Taiwan 台灣 ☐ Japan 日本 ☐ Australia 澳洲
☐ Thailand 泰國 ☐ Indonesia 印尼 ☐ Canada 加拿大 ☐ Other 其他:

6. Acknowledgement and Execution by Client 客戶確認及簽署

The information contained in this Account Application Form ("Form") is true and accurate. You (and / or the Secondary Joint Account Holder) is liable to notify QMIS Securities of any material change of that information. QMIS Securities is authorized at any time to contact anyone, including the client's banks, brokers or credit agency, for the purpose of verifying the information provided on this Form.

載於本帳戶申請書（「申請書」）的資料均屬真實及準確。你（及/或聯名帳戶第二持有人）有責任通知華亞證券有關資料的任何重大改變。華亞證券有權隨時聯絡任何人，包括客戶的銀行，經紀或信貸機構，藉以核實本申請書上的資料。

I / We hereby acknowledge and confirm that 本人 / 吾等 謹此承諾並確認：

- I / We have received the Agreement for Securities Trading Account ("Agreement") which was provided by QMIS Securities in a language (English or Chinese) of my / our Choice, and have read and understood the Terms and Conditions contained therein the Agreement (and the schedules, appendices and annexes thereto, if any), and I / We accept and agree to be bound by them;
本人 / 吾等 已收到華亞證券以本人 / 吾等 選擇的語言（英文或中文）所提供的證券交易帳戶協議書（「協議書」），並已閱讀及明白協議書內之條款（包括其附表、附錄及附件（如有）），而本人 / 吾等 接納並同意受該等條款約束；
- I / We was / were invited to read the Risk Disclosure Statement contained in the Agreement, and ask questions and seek independent advice if I / we wished;
本人 / 吾等 已獲邀閱讀載於協議書中的風險披露聲明，提出問題及徵求獨立意見（如本人 / 吾等 有此意願）；
- I / We have read Circular Relating to Personal Data (Privacy) Ordinance contained in the Agreement, understand and agree to the provisions of QMIS Securities' Data Privacy Policy; and
本人 / 吾等 已閱讀載於協議書中有關《個人資料（私隱）條例》的客戶通知，並明白及同意華亞證券私隱政策的條款；
及

- d. I / We have read and understand the Additional Terms for Margin Account as set out in Schedule A (if open a Cash Account) or the Additional Terms for Margin Account as set out in Schedule B (if open an Margin Account), and / or the additional Terms for Electronic Trading Service as set out in Schedule C (if choose Electronic Trading Service), and agree to be bound by these terms.
本人 / 吾等 已閱讀及明白附表 A 中現金帳戶之附加條款（如開立現金帳戶），或附表 B 中保證金帳戶之附加條款（如開立保證金帳戶），及 / 或附表 C 中電子交易服務之附加條款（如選擇電子交易服務），並同意這些條款的約束。

Signed by 簽署人

Individual / Primary Joint Account Holder's Signature
個人 / 聯名帳戶主要持有人簽署

Secondary Joint Account Holder's Signature
聯名帳戶第二持有人簽署

Date 日期:

Date 日期:

Account is to be signed and operated on instruction by 帳戶簽署安排及操作指示方式 (For Joint Account Only 只適用於聯名帳戶)
☐ Either one of the account holder 任何一位帳戶持有人 ☐ All account holders 所有帳戶持有人

Declaration by QMIS Securities Limited Staff/Account Executive 華亞證券有限公司職員/經紀聲明

I hereby declare that I have:

- provided the Client with the Risk Disclosure Statement as contained in the Agreement for Securities Trading Account in a language of the Client's choice (English or Chinese); and
- invited the Client to read the Risk Disclosure Statement, ask questions and seek independent advice if the Client wishes.

本人 謹此聲明，本人：

- 已以客戶選擇的語言（英文或中文）向客戶提供載於證券交易帳戶協議書中的風險披露聲明；及
- 已邀請客戶閱讀風險披露聲明，提出問題及徵求獨立意見（如客戶有此意願）。

Signature of Staff / AE
職員 / 經紀簽署

Name of Staff / AE
職員 / 經紀姓名

CE Number
CE 編號

Date 日期:

Designation of Staff
職員職銜

AE Number
經紀編號

Certification 認證

IF THIS DOCUMENT IS NOT EXECUTED BY THE CLIENT IN FRONT OF QMIS SECURITIES'S STAFF / ACCOUNT EXECUTIVE OR ITS AFFILIATE'S EMPLOYEE, OR SUBMITTED WITH AN APPROPRIATE CHEQUE[^], BELOW SHOULD BE SIGNED BY A SPECIFIED PERSON * (IF APPLICABLE)**

如客戶並非在華亞證券的職員 / 經紀或其附屬公司之員工面前簽立本文件，或提交適當的支票[^]，則以下應由適當的指明人士簽署 ***（如適用）

The undersigned person hereby certify the signing of this document (together with the Agreement for Securities Trading Account) by the above Client and verification of related identity document of such Client.

下述簽署人士謹此認證上述客戶簽署本文件（連同交易帳戶協議書）及認證核實其有關的身份證明文件。

Signed and Certified by
簽署及認證

Signature
簽署

Name
姓名

Profession / Title
所屬專業 / 職銜

Date 日期:

Contact details 聯繫資料

^A crossed cheque bearing your name shown in your identity document and drawn on your account with a licensed bank in Hong Kong with your same signature(s) as shown on this Form in favour of "QMIS Securities Limited" for not less than HKD10,000 (or such other amount as may be advised by QMIS Securities). Your approved new account will not be activated until the cheque is cleared.

^客戶在香港持牌銀行開設帳戶並由客戶簽發（該簽名須與此開戶表上的客戶簽署相同）並載有客戶在其身份證明文件上所顯示的姓名的劃線支票，而該支票抬頭人須為「華亞證券有限公司」及其數額不得少於10,000港元（或其他金額）。客戶被核准的新帳戶必須待支票兌現後才可使用。

*** Any SFC licensed or registered person, an affiliate of such person, Justice of the Peace, Branch Manager of Bank, Certified Public Accountant, Lawyer or Notary Public.

所有證監會持牌人或註冊人、該人的關聯公司人士、太平紳士、銀行分行經理、註冊會計師、律師或公證人。

For Official Use Only 本公司專用

Documentation Check List for Account Opening 開立帳戶之文件核對表

IMPORTANT NOTE: ALL DOCUMENTS SUBMITTED MUST EITHER BE ORIGINAL OR CERTIFIED TRUE COPY BY THE STAFF / ACCOUNT EXECUTIVE OF QMIS SECURITIES / ANY RECOGNISED PROFESSIONAL PERSON (SUCH AS NOTARY PUBLIC, LAWYER, CERTIFIED PUBLIC ACCOUNTANT OR BRANCH MANAGER OF BANK).

重要事項：所有提交之文件如非正本，必須經華亞證券的職員／經紀或認可專業人士（例如公證人／律師／執業會計師／銀行分行經理）認證後方為有效。

Individual / Joint Account 個人 / 聯名戶口

☐ Certified ID Card(s) / Passport (s) Copy 已核實的身份證 / 護照副本

☐ Certified Address Proof Copy (Utilities / Bank Statement, etc.) 已核實的地址證明副本（最近三個月內之水、電費單、銀行結單等）

☐ Certified Business Address Proof Copy, if applicable (e.g. Employment Letter, etc.) 已核實的地址證明副本，如適用（如受僱信等）

☐ Certified W-8BEN / W-9 form 已核實的 W-8BEN / W-9 表格

☐ Bank and Credit Reference, if applicable (e.g. Bank statement, title deeds, etc.) 銀行及信貸參考，如適用（如銀行結單、屋契等）

Document Submitted by (Name of Staff / AE, please select one) 文件提交（職員／經紀姓名，請選其一）：

Name 姓名：

Signature 簽署：

Date 日期：

AE code 經紀編號：

Brokerage (%)

經紀人佣金 (%)

Credit Limit (HK))

信用限額 (港幣)

Interest Rate (%)

利率 (%)

Reviewed by Compliance Officer 合規主任覆核：

Name 姓名：

Signature 簽署：

Date 日期：

Reviewed and Approved by Responsible Officer / Director 負責人員 / 董事覆核：

Name 姓名：

Signature 簽署：

Date 日期：

Remarks:

備註：