uSMART Securities
盈立證券
盈立證券有限公司 uSmart Securities Limited
香港證監會中央編號SFC CE No.BJA907
地址/ADDRESS:
香港上環德輔道中308號富衛金融中心24樓2405-06室
Unit 2405-06, 24/F, FWD Financial Centre,
308 Des Voeux Road, Sheung Wan, Hong Kong
電話: +852 3018 4526
網站: www.usmartsecurities.com
傳真: +852 2501 0355
郵箱: cs@usmart.hk

Declaration and Signature Page - For Individual Account
聲明及簽署頁 - 個人帳戶適用

To : uSmart Securities Limited (“USL”)
致： 盈立證券有限公司（「盈立證券」）
CE No. / 證監會中央編號: BJA907

Account Name 客戶名稱:	Client ID No. 客戶編號: _____ Securities Cash A/C No. 證券現金帳戶編號: _____ Securities Margin A/C No. 證券孖展帳戶編號: _____

I/We hereby request to open the following trading accounts (please tick where applicable):
本人(等)特此申請開立以下交易帳戶(請適當地方加上剔號):

☐ Securities Cash Account 證券現金帳戶	☐ Securities Margin Account 證券孖展帳戶 ☐ Stock Option Trading Account 股票期權交易帳戶

1. I confirm that I/we have received, read and understood the terms and conditions for securities cash trading account and/or securities margin trading account applicable to me/us (“Agreement”), and I hereby accept and agree to be bound by the them.
本人確認已閱讀及明白有關之證券現金交易帳戶及/或證券孖展交易帳戶協議書(“協議書”)，而本人接納並同意受該等條款約束。

2. USL may amend the terms and conditions of the Agreement(s) from time to time by giving me notice of such amendment. Unless USL has received my/our request to close the account, if I continue to use the account I shall be deemed to have accepted such changes.
盈立證券有權不時更改協議書之條款，並向本人發出通知，除非盈立證券收到本人取消戶口通知，否則表示本人接納該更改條款。

3. I hereby authorize USL and the bank(s) mentioned in this document to verify and exchange the information contained in this document and such other information relating to my/our personal particulars, my/our bank account(s) in the bank(s) mentioned in this form between USL and such other third parties as USL may deem appropriate for the purpose of approving my application and for such other purposes as long as I shall remain an accounts with USL.
本人謹此授權盈立證券此開户文件提及之銀行相互及向合適第三者查證及交換此開户文件上之資料和其他關於本人之個人資料、本人之銀行帳戶，以作核實開戶申請及其他目的如本人仍為閣下的客戶。

4. I confirm that I am acting for my own account and as principal in relation to each transaction entered into with USL and I shall also be the beneficiary of any of the transaction entered into with USL as the case may be.
本人確認本身之帳戶及以當事人身份與盈立證券訂立每一項交易，本人亦為所有本人與盈立證券(視情況而定)訂立有關交易之受益人。

5. I confirm that the information given in the Account Application Form is true, correct and complete, and authorize USL as the case may be to confirm and verify this from any source USL consider appropriate, including the conduct of any credit checks on me. USL is entitled to rely fully on such information and representations for all purposes, unless USL receives notice in writing of any change. I confirm and undertake that I will update USL immediately on any changes.
本人確認在帳戶申請表中所提供的資料乃屬真實，正確及完整，並授權盈立證券可向任何方面確定和查證。除非盈立證券(視情況而定)收到任何客戶資料改變的書面通知，盈立證券將有權依據這些資料，作任何用途或目的。本人確認及承諾如所提供之資料有任何更改，均會立刻通知盈立證券。

6. I hereby certify, declare and acknowledge that I/we have fully understood the risk disclosure statements in the language of my choice (English or Chinese). I was invited to read the risk disclosure statements, and to ask questions and take independent advice if I so wished.
本人現聲明及確認已獲得提供按照本人選擇的語言 (英文或中文) 之風險披露聲明書，本人已獲邀閱讀此風險披露聲明，並按照本人意願提出問題及徵求獨立意見。

7. I have read the Terms Relating to the Personal Data (Privacy) Ordinance of Hong Kong (Cap. 486) ("PDPO") as contained in the Agreement), understood and agree to them.
本人已閱讀及同意給予客戶載於協議書內有關香港《個人資料(私隱) 條例》(第486章) (「私隱條例」）之條款。

8. I understand that the account is subject to final acceptance of USL as the case may be.
本人明白盈立證券(視情況而定)有最終接納開戶與否之權利。

9. I certify that the information provided in the Self-Certification Form(s) annexed to this account opening form regarding my FATCA and CRS status are true, accurate and complete.
本人聲明隨此帳戶申請書附上關於本人的 FATCA 及 CRS 狀況自我證明表格的資料均屬真實、準確及完整。

Signature and Signing Arrangement 簽署及簽署安排

Specimen Signature 簽署式樣 X Signature of Account Holder 帳戶持有人簽署 Name 姓名: Date 日期:	
Accepted by For and on behalf of **uSmart Securities Limited** 由 **盈立證券有限公司** 接納 Authorized Signature 授權簽名	

uSMART Securities
盈立證券
盈立證券有限公司 uSmart Securities Limited
香港證監會中央編號SFC CE No.BJA907
地址/ADDRESS:
香港上環德輔道中308號富衛金融中心24樓2405-06室
Unit 2405-06, 24/F, FWD Financial Centre,
308 Des Voeux Road, Sheung Wan, Hong Kong
電話: +852 3018 4526
網站: www.usmartsecurities.com
傳真: +852 2501 0355
郵箱: cs@usmart.hk

ACCOUNT APPLICATION FORM 帳戶申請表 – For Individual 個人帳戶適用

Note 注 意: **Please complete in Block Letters and tick where applicable. 請用正楷填寫，並在適當地方加上剔號。**

Part 1: Type of Accounts
第一部份：帳戶類別

☑ Individual Account 個人戶口

** **Electronic Trading Service(s)** for *Securities Cash/ Securities Margin* Account(s)? **選用**電子交易服務**於證券現金/ 證券孖展帳戶?	☐ Yes 是 ☐ No 否

Part 2: Client Information
第二部份：客户資料

2.1 Personal Information of Account Holder 帳戶持有人個人資料

Name in English (Surname First) as per your **ID Card/Passport** 英文姓名（先寫姓氏），姓名必須與閣下的**身份證/護照**的紀錄相符：		Name in Chinese 中文姓名：
ID Card /Passport No. 身份證/護照號碼： (Please enclose copy 請附副本)	Issuing Country 簽發國家：	Nationality 國籍：
Date of Birth 出生日期： (yyyy 年) (mm 月) (dd 日)	Gender 性別： ☐ Male 男 ☐ Female 女	
Permanent Residence Address 永久居住地址 *(No P.O. Box* 不接受郵政信箱)：		Country of Residence 居住國家：
Correspondence Address 通訊地址：	☐ Permanent Residence Address 永久居住地址 Office Address 辦事處地址 ☐ Others 其他 (Postal Code 郵 編:)	
Email 電郵：		
Language selection for statements 結單語言選擇： ☐繁體中文 ☐ English ☐ 简体中文		
(Country Code) Home Tel.No.: (國家區號) 住宅電話號碼：		

Employment Details 工作狀況：

☐ Self-employed/owner 自僱/僱主 ☐ Employee 僱員 ☐ Housewife 家庭主婦 ☐ Retired 退 休 ☐ Investor 職業投資者

☐ Unemployed 待業 ☐ Student 學生 ☐ Others 其 他_____

Employer Name 公司名稱	Industry/ Business Nature 行業/業務性質	Position 職位

Part 3: Individual Account Holders Financial Summary
第三部份: 個人帳戶持有人財務資料簡要

3.1 Financial Situation 財政狀況

Source of Income/ Funds 收入/ 資金來源	☐ Salary 薪酬	☐ Deposits 存款	☐ Rent 租金	☐ Heritage 繼承	☐ Investment 投資利潤	
	☐ Loan 借貸	☐ Pension 退休金	☐ Business 經營收入	☐ Others 其 他 _____		
Annual Income (HK$) 每年收入(港元)	☐ Below 低 於 200,000	☐ 200,001 – 500,000	☐ 500,001 – 1,000,000	☐ 1,000,001 – 5,000,000	☐ 5,000,001 – 50,000,000	☐ Above 高 於 50,000,000
Estimated Total Net Asset Value 估計資產淨值(HK$港元)	☐ Below 低 於 500,000	☐ 500,001 –2,500,000	☐ 2,500,001 – 5,000,000	☐ 5,000,001 – 15,000,000	☐ 15,000,000 – 100,000,000	☐ Above 高 於100,000,000

3.2 Investment Target 投資目標

Investment Target 投資目的	☐ Asset Preservation 資產保值	☐ Steady Asset Appreciation 資產穩健增值	☐ Rapid Asset Appreciation 資產快速增值

3.3 Years of Experience in Investment 投資經驗年期

Securities Trading (Listed Stocks) 證券交易(上市股票)	☐ None 沒 有 ☐ <1 years 年 ☐ 1-3 years 年 ☐ 3-5 years 年 ☐ over 5 years 超 過 5 年

3.4 Experience in Structured or Derivative products trading 結構性或衍生產品交易經驗

Futures 期貨/Options 期權	☐ None 沒 有 ☐ <1 years 年 ☐ 1-3 years 年 ☐ 3-5 years 年 ☐ over 5 years 超 過 5 年
Structured products 结构性产品	☐ None 沒 有 ☐ <1 years 年 ☐ 1-3 years 年 ☐ 3-5 years 年 ☐ over 5 years 超 過 5 年
Warrants 认股证	☐ None 沒 有 ☐ <1 years 年 ☐ 1-3 years 年 ☐ 3-5 years 年 ☐ over 5 years 超 過 5 年

3.5 Knowledge of Structured or Derivative Products 結構性或衍生產品知識

1. Does the Client have any knowledge on structured or derivative product(s)? (Client **will not** be allowed to trade derivative products if no related knowledge)
   客戶對結構性或衍生產品有沒有認識? (如客戶對衍生產品沒有認識，客戶將**不能**交易衍生產品)
   - ☐ Yes 有 (Please continue to answer the following Question No.2 請繼續回答下列的第 2 條問題)
   - ☐ None 沒有
2. The Client acquired knowledge of structured or derivative product(s) from the following ways:
   客戶從以下途徑認識結構性或衍生產品:
   - ☐ Client has received training or attended courses or seminars on structured or derivative product(s) (Please state the name of the course / seminars, the date they attended). 客戶曾接受結構性或衍生產品的培訓或修讀相關課程(請提供培訓或修讀課程之名稱,日期)。
   - ☐ Working experience of the Client is related to structured or derivative product(s) (Please state the Company Name, Industry/Business Nature, Position and the Employment of Services period/Operation of Business period) 客戶的工作經驗與結構性或衍生產品有關(請提供公司名稱、行業/業務性質、職位及在職日期/營業年期)。
   - ☐ Client's related transaction experience (please see the above part "Experience in Structured or Derivative products trading" with not less than 5 transactions within 3 years,and proofs must be provided, such as monthly statements, etc.). 客戶相關之交易經驗(見上述「結構性或衍生產品交易經驗」部份，於三年內有最少五次或以上交易，必須提供證明, 例如月結單等)。

Part 4: Ultimate Beneficial Owner of the Account
第四部份：帳戶最終實益擁有人

4.1 Is the client the person ultimately benefits from and/or bears the risks of any transactions under this account? 客戶是否此帳戶所有交易的最終受益及/或承擔風險人士?

- ☐ Yes 是
- ☐ No. Please provide below details with supporting documents: 否。請提供相關資料及附上有關文件:

  Name 姓名:

  Phone No. and Address 電話及地址:

  Identity Card/ Passport number 身份證/ 護照號碼:

  Identity Card/ Passport Issuing Country 身 份 證 / 護 照 簽 發 國 家 :

  Relationship with the client and reasons (if any) 與客戶的關係及原因 (如有):

Part 5: Related Account(s)
第五部份：關連帳戶

5.1 Is the client an employee of or related to any employee or director of USL?
客戶是否盈立證券之僱員或與盈立證券之任何僱員或董事有親屬關係?

❑ No 否 ❑ Yes, whose name is 是，其姓名為: Relationship 關係: _____

(For Margin Securities Account Client Only 只適用於保證金證券戶口客戶)

5.2 Is your spouse a margin client of USL?
客戶的配偶是否盈立證券的保證金客戶?

❑ No 否 ❑ Yes, whose name is 是，其姓名為: _____(A/C No 帳戶號碼:) Relationship 關係: _____

5.3 Are you alone or with your spouse control 35% or more of the voting rights of any corporate margin account of USL?
客戶是否個人或與配偶共同控制任何盈立證券保證金帳戶 35%或以上的投票權?

❑ No 否 ❑ Yes, the account name is 是，帳戶名稱為: _____(A/C No 帳戶號碼:)

Part 6: Other Disclosure
第六部份：其他披露

6.1 Is the client or his authorized person a director, an employee or a representative of a Licensed Corporation or Registered Institution registered under the Securities and Futures Commission?
客戶或其授權人是否證監會持牌法團或註冊機構的董事、僱員或持牌代表?

❑ No 否 ❑ Yes 是, please provide name of Licensed Corporation/ Registered Institution 請提供持牌法團或註冊機構名稱: _____

*Please attach a consent letter of account opening from your employer 請附上閣下僱主之開戶同意書

6.2 Is the client or his authorized person a director, employee or major shareholder of any listed company?
客戶或其授權人是否任何上市公司的董事/僱員/大股東?

❑ No 否 ❑ Yes 是, please provide the name of the listed company and the place of listing 請提供上市公司的名稱和上市地點:

_____

6.3 Politically Exposed Person 政治人物

Is the client's directors, shareholders and/or its authorized persons, their respective spouses, partners, children or parents, or a spouse or a partner of a child of such individual, or close associate of such individual is or has been entrusted with a prominent public function in any place (which shall include a head of state, head of government, senior politician, senior government, judicial or military official, senior executive of a state-owned corporation and an important political party official)?
客戶之董事、股東及/或其授權人、其各自的配偶、伴侶、子女或父母、或該名個人的子女的配偶或伴侶、或與該名個人有關係密切的人是否在任何地方擔任或曾擔任重要的公職 (包括國家元首、政府首長、資深從政者、高級政府、司法或軍事官員、國有企業高級行政人員及重要政黨幹事)?

❑ No 否 ❑ Yes 是

If Yes, please provide 如是，請提供資料如下:

Name of the politically exposed person 政治人物的名稱: _____

Place and public function entrusted with 地方及所擔任的公職: _____

Term of the public function entrusted with 所擔任的公職的年期: _____

Relationship with the client 與客戶之關係: _____

Part 7: Certification
第七部份：核證

(To be completed where this form is not signed before a registered person of USL **如本表格並非在盈立證券註冊人士面前簽署，須填寫此欄)** *To be certified by a person licensed or registered with SFC or his affiliate, and affiliate of* ***USL****, professional person (such as practicing certified public accountant, lawyer or notary public).*

由香港證監會或註冊之人士或其聯繫人士、盈立證券的其聯繫人士或專業人士 (如、執業會計師、律師或公證人)核證。

I, named below, hereby certify that I have met and identified each of the person(s) who executed this form before me, and received original of his/their identification document(s).

本人(姓名如下)現核證本人已經與本表格簽署人會晤及核對其身份證明文件正本，他(們)並在本人面前簽署本表格。

Certifier Signature 核證人簽署

Name 姓名: **Contact Tel. 聯絡電話:**

Date 日期: **Contact Address 聯絡地址:**

Profession 職業 : ❑ Practicing Accountant 執業會計師 ❑ Lawyer 律師 ❑ Notary Public 公證人 ❑ Others 其 他_____

(Please provide a copy of the name card or other supporting documents 請提供名片或其他証明文件)

Part 8: Declaration by Licensed Representative
第八部份：持牌代表聲明

I, named below, a registered person of USL, hereby declare that the abovementioned risk disclosure statement(s) and Agreements in relation to** **Securities Cash Account / Securities Margin Account** ***(delete as appropriate)* have been provided to the client in a language of the client's choice (English and Chinese) and has invited the client to read the same, ask questions and take independent advice.

本人(姓名見下)，為盈立證券的註冊人，謹此聲明上述之風險披露聲明及有關**證券現金帳戶/證券孖展帳戶**(刪去不適用者)之協議書，已按照客戶選擇的語言(英文/中文)提供，本人並邀請客戶閱讀該等風險披露聲明及按其意願提出問題及徵求獨立意見。

Name of Licensed Representative 持牌代表名稱	Signature of Licensed Representative 持牌代表簽署
CE No. 中央編號	Date日期:

To be filled by Customer Service Officer (if needed) 由客戶服務主任填寫 (如需要)

Account Holder over 65 years old, confirmed account opening by ❑ Online 網上 ❑ Face-to-Face 面對面 ❑ Telephone 電話

(Staff name and Signature):_____Date:_____Time:_____Ext:_____

Special Considerations & Comments 特別考慮因素及意見:	Document checked by: 文件核對經手人:	Account Opening Approved By: 開戶批准人:

Remarks 備註:

Input By:	Check By:	Scan by: