

CASH ACCOUNT APPLICATION FORM – INDIVIDUAL

現金戶口 (個人) 開戶書



Please tick the appropriate box 請在適當空格加✓

Account Opening Date 開戶日期

*Please delete whichever is inappropriate. 請刪去不適用者

PLEASE COMPLETE THE APPLICATION FORM USING BLOCK LETTERS WHERE APPLICABLE. 注意：請以英文正楷填寫所有適用項目。

1. Company 公司

Bowlea Securities Limited

保利證券有限公司 (下稱保利證券, Bowlea)

Referred by:

TEL 電話: (852) 37531933

CE No. 中央編號: BTJ616

Account No. 帳戶號碼:

(For Internal Use Only) (只供內部使用)

A.E. Code 客戶主任號碼:

(For Internal Use Only) (只供內部使用)

2. Account Applicant's Personal Information 戶口申請人之個人資料

Name 姓名 ☐ Mr. 先生 ☐ Mrs. 太太 ☐ Miss 小姐 ☐ Marital Status 婚姻狀況 ☐ Single 單身 ☐ Married 已婚

English 英文

Chinese 中文

ID/ Passport No.* 身份證 / 護照號碼 *

Nationality / Region 國籍 / 地區

Date of Birth 出生日期 (dd/mm/yyyy 日/月/年)

Home Phone No. 住宅電話號碼

Mobile Phone No. 手提電話號碼

Fax No. 傳真號碼

Residential Address 住宅地址

☐ Owned 自置

☐ Mortgaged/ Monthly Installment 按揭/ 每月供 \$

☐ Relative's 親屬樓宇

☐ Family Property 家人物業

☐ Rented/ Monthly Rental 租用 / 每月租金 \$

☐ Quarters 宿舍

Employer Name 僱主/工作單位名稱

Nature of Business 業務性質

Office Phone No. 公司/單位電話號碼

Year(s) with Existing Employer 已任職年期

Position 職位

Office Address 公司/單位地址

3. Licensed / Registered Person / Relationship Declaration 持牌 / 註冊人士 / 關係申報

a. Is the Account Applicant related to member of any director, employee or representative of Bowlea Securities Limited

戶口申請人是否保利證券有限公司董事, 員工或代表之親屬?

☐ No 否

☐ Yes 是 Name 姓名: Relationship 關係:

b. Is the Account Applicant or the person(s) named in clause 6 of this Account Application form a licensed / registered person with the Hong Kong Securities and Futures Commission (SFC), or a director or employee of an exchange participant of the Stock Exchange of Hong Kong (SEHK)?

戶口申請人或此開戶書第6段的人士是否香港證券及期貨事務監察委員會(證監會)的持牌 / 註冊人士或香港聯合交易所參與者的董事或職員?

☐ No 否

☐ Yes, please specify 是, 請列明:

c. Is the Account Applicant's spouse maintained an account with our company?

戶口申請人的配偶有否在保利證券開設戶口?

☐ No 否

☐ Yes 是 Name 姓名:

d. Is the Account Applicant and spouse, alone or together, control 35% or more of the voting rights of any of our company's client account?

戶口申請人及其配偶(個人或聯同)有否控制保利證券任何客戶戶口 35%或以上的投票權?

☐ No 否

☐ Yes, please specify 是, 請列明:

4. Account Applicant's Bank Details 戶口申請人之銀行資料

For Fund Withdrawal Only (只供資金提取之用)

(Funds will be transferred to the following account upon your **fund withdrawal** instruction. 款項將根據客戶的**資金提取**指示轉入以下戶口)

Main Banker's Name 主要銀行名稱	☐ HKD 港幣	☐ RMB 人民幣	☐ USD 美元
	☐ Saving 儲蓄戶		☐ Current 支票戶
A/C No. 帳戶號碼	A/C Holder's Name 帳戶持有人 (Last Name 姓) (Given Name 名)		

5. Account Applicant's Other Information 戶口申請人之其他資料

- Have you been arrested/tried/sentenced/disciplined for illegal activities or violating regulatory requirements?
您是否因非法活動或違反監管要求而被逮捕/審判/判刑/紀律處分?
☐ No 否
☐ Yes, please provide the details 是. 請提供資料 _____
- Are you or your immediate family members Politically Exposed Person ("PEP"), a person connected with PEP, senior government official or senior executive of a state-owned corporation?*
您或您的直系親屬是否是政治公眾人物 ("PEP")、與政治公眾人物、政府高級官員或國有企業的高級管理人員有關聯的人? *
☐ No 否
☐ Yes, please provide the details 是. 請提供以下資料:

Name of the PEP 政治公眾人物的名稱: _____

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

Term of the public function entrusted with 所擔任的公職年期: FROM 由 _____ TO 至 _____

Relationship with the client 與客戶之關係: _____

* PEP includes (1) with a prominent public function or holding senior public office 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); or (2) as a sub-national political figure in any place (which shall include but not limited to head of regional governments, regional government ministers or large city mayors)

* PEP 包括 (1) 在任何地方具有突出的公共職能或擔任高級公職 (包括國家元首、政府首腦、高級政治家、高級政府、司法或軍事官員、國有企業高級管理人員) 和重要的政黨官員; (2) 在任何地方擔任政治人物 (包括但不限於地區政府首腦、地區政府部長或大城市市長)

- Is the Account Applicant maintaining any other account(s) with BOWLEA?
戶口申請人現時是否已持有其他保利證券的戶口?
☐ No 否
☐ Yes, please provide the details 是. 請提供以下資料:

Account Name 客戶姓名 (Last Name 姓) (Given Name 名)	Account Type 戶口類別	Account No. 戶口號碼
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6. Information of Ultimate Beneficial Ownership or Ultimate Person(s) Responsible For Giving Instructions

最終實益擁有人或最終負責發出指示人士資料

- a. Is Account Applicant the ultimate beneficial owner(s) of the account?
戶口申請人是否此戶口之最終實益擁有人?
- ☐ Yes, please answer Question 6.b 是, 請回答問題 6.b
- ☐ No, please provide the following details 否, 請提供以下詳細資料

- b. Is Account Applicant the ultimate person(s) responsible for giving instructions?
戶口申請人是否最終負責發出指示人士?
- ☐ Yes, please go to Section 7 是, 請跳至第 7 部份
- ☐ No, please provide the following details 否, 請提供以下詳細資料

Information 資料 (If applicable 如適用)

Name of ultimate beneficial owner(s):

最終實益擁有人姓名

Name of ultimate person(s) responsible for giving instructions:

最終負責發出指示人士姓名

ID/ Passport No.* 身份證 / 護照號碼 *

Contact Phone No. 聯絡電話號碼

Occupation 職業

Annual Income (HK\$) 年薪 (港元):

- ☐ Under HK\$200,000 以下 ☐ HK\$200,000 – HK\$500,000
- ☐ HK\$500,001 – HK\$1,000,000 ☐ HK\$1,000,001 – HK\$5,000,000
- ☐ Above HK\$5,000,000 以上

- ☐ Under HK\$200,000 以下 ☐ HK\$200,000 – HK\$500,000
- ☐ HK\$500,001 – HK\$1,000,000 ☐ HK\$1,000,001 – HK\$5,000,000
- ☐ Above HK\$5,000,000 以上

Net Asset Value (HK\$) 淨資產值 (以港元計):

- ☐ Under HK\$500,000 以下 ☐ HK\$500,000 – HK\$3,000,000
- ☐ HK\$3,000,001 – HK\$5,000,000 ☐ HK\$5,000,001 – HK\$30,000,000
- ☐ Above HK\$30,000,000 以上

- ☐ Under HK\$500,000 以下 ☐ HK\$500,000 – HK\$3,000,000
- ☐ HK\$3,000,001 – HK\$5,000,000 ☐ HK\$5,000,001 – HK\$30,000,000
- ☐ Above HK\$30,000,000 以上

Residential Address 住宅地址

7. Account Applicant's Financial Profile and Investment Experience 戶口申請人之財務紀錄及投資經驗

(BOWLEA is required to obtain this information to fulfill the "Know-Your-Client Requirements" of the Hong Kong Securities and Futures Commission).

(保利證券根據香港證券及期貨事務監察委員會所制定之《認識你的客戶要求》而索取有關資料。)

Source of Funds 資金來源

- ☐ Salary / Business Income 薪俸 / 業務收入
- ☐ Savings 儲蓄
- ☐ Retirement Funds 退休金
- ☐ Others 其他 (Please specify) 請具體說明: _____
- ☐ Sale of Property/ Asset 資產出售
- ☐ Sale of Investment 投資回報
- ☐ Inheritance/Gift 遺產 / 贈物

Estimated Annual Income (HK\$)

估計年薪(港元)

- ☐ Under HK\$200,000 以下
- ☐ HK\$200,000 – HK\$500,000
- ☐ HK\$500,001 – HK\$1,000,000
- ☐ HK\$1,000,001 – HK\$5,000,000
- ☐ Above HK\$ 5,000,000 以上

Other income Source:

其他收入來源: _____

Approximate net asset value (HK\$)(Total Asset – Total Liabilities)

估計資產淨值(港元)(總資產 - 總負債)

- ☐ Under HK\$500,000 以下
- ☐ HK\$500,000 – HK\$3,000,000
- ☐ HK\$3,000,001 – HK\$5,000,000
- ☐ HK\$5,000,001 – HK\$30,000,000
- ☐ Above HK\$30,000,000 以上

Investment Objectives 投資目標 (You may tick more than one 可選擇多於一項)

- ☐ Long Term 長線 ☐ Medium Term 中線 ☐ Short Term 短線
- ☐ Capital Growth 增值 ☐ Dividend Income 股息收入 ☐ Others 其他 _____

Purpose 目的

- ☐ Speculation 投機 ☐ Hedging 對沖 ☐ Investment 投資

Investment Experience 投資經驗

Years 年資

- ☐ Nil 沒有 ☐ Less Than 少於 1 Year 年 ☐ 1-3 Years 年 ☐ 3-5 Years 年 ☐ 5-10 Years 年 ☐ Over 超過 10 Years 年

Products 投資產品

- ☐ Shares/Bonds 股票/債券 ☐ Derivative Product/ Warrant 衍生產品/窩輪 ☐ Futures / Option 期貨 / 期權
- ☐ Others (please specify) 其他 (請列明): _____

Assessment on Knowledge of Bonds 債券產品經驗評估

- ☐ Undergone training or attended courses on bonds products
曾接受有關債券產品培訓或修讀相關課程
- ☐ Current or previous working experience related to bonds products (at least one year)
現時或過去與債券產品有關的工作經驗(至少 1 年)
- ☐ Prior trading experience in bonds products (5 or more transactions in last 3 years)
曾買賣債券產品的經驗(在過去 3 年裏至少交易 5 次)
- ☐ I/We acknowledge and confirm that BOWLEA has provided the risk disclosure statements in a language of my/our choice (English or Chinese) and I/we have been invited to read the risk disclosure statements, to ask questions and take independent advice if I/we wish. 本人(等)確認保利證券按照本人(等)選擇的語言(英文或中文)獲提供風險披露聲明, 及已獲邀閱讀該風險披露聲明、提出問題及徵求獨立的意見(如本人(等)有此意願)。

8. Contract Notes and Statements 成交單據及結單Choice of Statement Language 結單語言選擇 ☐ English 英文 ☐ Chinese 中文Correspondence Address for Receiving Statement of Account Purpose 通訊地址以收取日/月結單之用
(Please select one only 請選擇其中一項)☐ Home 住宅☐ Office 公司Does Account Applicant want to receive an email statement?
戶口持有人是否需要一份電郵結單?☐ No 否☐ Yes, please provide email address 是, 請提供電郵地址

Email Address 電郵地址: (Max. 50 characters 以 50 字為限)

9. Declaration 聲明

The Account Applicant represents that the information on this Account Application Form is true, complete and correct. BOWLEA is entitled to rely fully on such Account Opening Information for all purposes, unless BOWLEA receives notice in writing of any change. BOWLEA is authorized at any time to contact anyone, including but without limitations to banks, brokers or any credit agency of the Account Application(s), for purposes of verifying the Account Opening Information.

All transactions to be concluded by the Account Applicant with or through BOWLEA shall be subject to the terms and conditions of the Agreement. Please read the Agreement carefully before signing this Account Application Form. By signing below, the Account Applicant(s) confirm(s) that he/she/they has/have read, understood and accepted the Agreement, in particular the section entitled "Risk Disclosure Statements" and shall be bound by the Agreement as it may be amended from time to time.

戶口申請人茲聲明在本開戶申請表內的資料屬實、完整及正確。除非保利證券接到更改有關「開戶資料」內容的書面通知, 保利證券有權在任何用途上完全依賴這些「開戶資料」。保利證券有權隨時聯絡任何人, 包括但不限於戶口申請人之銀行、經紀或任何信貸調查機構, 以求證實「開戶資料」內所載之內容。

所有由公司與或透過保利證券執行戶口申請人之交易均受「協議」之條文所限制。請於申請戶口前, 細閱「協議」各項條文。於下方簽署乃確實戶口申請人已細閱、明白及同意「協議」之一切內容(尤其「風險披露聲明」一節), 並接受該等現時有效及不時修改的條文約束。

Account Applicant Signature

戶口申請人簽署

Witness Signature

見證人簽署

Signature of Account Applicant
戶口申請人簽署Signature of Witness
見證人簽署Name of Account Applicant
戶口申請人姓名Name of Witness
見證人姓名Date
日期Date
日期

For Internal Use Only 只供內部使用

Specimen Signature(s) herein will be used to verify all written instructions given relating to the operation of the Account(s). 簽署式樣將被用作核證任何就賬戶運作之書面指示。

For Office Use Only**只供本行使用**

Name of Client 客戶姓名	Account No 戶口號碼
The Client has been Known to the Account Executive for 與客戶主任相識年期	Account Effective Date 戶口生效日期
Client Estimated Net Asset Worth 客戶淨資產估計	Proposed Trading/Credit Limit 建議的交易限額/信貸限額
Name of Account Executive 客戶主任姓名	Documentation Checked By 文件查核
Signature of Account Executive 客戶主任簽署	Signature of Staff 職員簽署
Name of Account Executive 客戶主任姓名	Name of Staff 職員姓名
Date 日期	Date 日期

Account Opening Approved By**批准開設戶口**

Signature of Responsible Officer 負責人員簽署	Date 日期
Input By 輸入	
Signature of Staff 職員簽署	Date 日期