

☐

證券現金帳戶 Securities Cash Account

☐

證券保證金帳戶 Securities Margin Account

☐

期貨帳戶 Futures Account

客戶姓名 Client Name : _____

客戶帳號 Client A/C No. : _____



大田證券期貨有限公司
DT SECURITIES & FUTURES CO.
LIMITED

(中央編號 CE NO. BNC130)

個人/聯名帳戶開戶表格

Individual/Joint Account Opening Form

香港上環皇后大道中 183 號中遠大廈 2312 室

Unit 2312, Cosco Tower, No.183 Queen's Road Central, Hong Kong

電話 Tel : (852) 3156 2690 傳真 Fax : (852) 3156 2687 電郵 Email : cs@dtgroup.hk

Web Site : www.dtgroup.hk

申請人資料 Applicant Information	
個人/聯名戶主要持有人 Individual/Primary Joint Account Holder	聯名戶第二持有人 Secondary Joint Account Holder
姓名: 先生 / 女士 (請刪去不適者) Name: Mr. / Ms. (Please delete if not applicable) 英文 English: 中文 Chinese: 婚姻狀況 Marital Status:_____ (單身Single / 已婚 Married) 出生日期(日/月/年) Date of Birth(DD/MM/YY) 身份證/護照號碼 ID Card/Passport No.: 簽發地點 Place of Issue: 國籍/公民身份 Nationality/Citizenship: 住宅電話 Home Phone No.: 手提電話 Mobile Phone No.: 傳真號碼 Fax No.: 電郵地址 E-mail Address: <small>(交易確認及帳戶結單將會被傳送到上述之電郵地址) (Trading confirmation and statement will be sent to your email address)</small> 住宅地址 Residential Address: 通訊地址 Correspondence Address: <small>(如與以上有異 If different from above)</small> 教育程度 Education Level: <input type="checkbox"/> 中學程度以下 Secondary or below <input type="checkbox"/> 中學程度Completed Secondary <input type="checkbox"/> 大專/大學程度以上 Post-Secondary/University or above <input type="checkbox"/> 其他 Other_____	姓名: 先生 / 女士 (請刪去不適者) Name: Mr. / Ms. (Please delete if not applicable) 英文 English: 中文 Chinese: 與主帳戶持有人的關係Relationship with Primary Account Holder: 婚姻狀況 Marital Status: _____(單身Single / 已婚 Married) 出生日期(日/月/年) Date of Birth(DD/MM/YY) 身份證/護照號碼 ID Card/Passport No.: 簽發地點 Place of Issue: 國籍/公民身份 Nationality/Citizenship: 住宅電話 Home Phone No.: 手提電話 Mobile Phone No.: 傳真號碼 Fax No.: 電郵地址 E-mail Address: <small>(交易確認及帳戶結單將會被傳送到上述之電郵地址) (Trading confirmation and statement will be sent to your email address)</small> 住宅地址 Residential Address: 通訊地址 Correspondence Address: <small>(如與以上有異 If different from above)</small> 教育程度 Education Level: <input type="checkbox"/> 中學程度以下 Secondary or below <input type="checkbox"/> 中學程度Completed Secondary <input type="checkbox"/> 大專/大學程度以上 Post-Secondary/University or above <input type="checkbox"/> 其他 Other_____

只適用於聯名戶For Joint Account Only	
主聯名戶是否唯一有權操作此帳戶及負責出交易指示之人士? Is the Primary Account Holder the only person with authority to operate the Account and responsible for originating instruction in relation to a Transaction? <input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No (請填寫'指示種類' Please complete 'Type of Instructions')	
指示種類 Type of Instructions	
買賣指示 Trading Account Holder	其他指示(如:提取現金或轉帳) Other Instructions (e.g.: fund withdrawal or transfer)
<input type="checkbox"/> 主要聯名戶持有人 Primary Account Holder <input type="checkbox"/> 第二聯名戶持有人 Secondary Account Holder	<input type="checkbox"/> 主要聯名戶持有人 Primary Account Holder <input type="checkbox"/> 第二聯名戶持有人 Secondary Account Holder

銀行資料 Bank Account Information

銀行帳戶持有人姓名 Name of Bank Account Holder:

指定銀行名稱 Designated Bank Name :

銀行帳戶號碼 Bank Account No.:

(港元 HKD)

(美元 USD)

(人民幣 CNY)

除閣下另行指示外，此帳戶將用作交收銀行帳戶。本公司須支付閣下的款項，將以支票或轉帳形式存入下列銀行帳戶，一切費用及風險均由閣下承擔。
Unless otherwise instructed by you, this account will be used as the settlement bank account. Payment due from the Company to you shall, at your costs and risks, be settled by way of deposit of a cheque or transfer to the subject bank account.

工作狀況 Employment Status

☐ 全職 Full-Time

☐ 非在職 Not Employed

☐ 兼職 Part-Time

☐ 自僱 Self Employed

☐ 退休 Retired

☐ 學生/主婦 Student/Housewife

公司名稱 Name of Employer:

公司地址 Office Address:

業務性質 Nature of Business:

職位 Position:

服務年資 Years of Service:

☐ 全職 Full-Time

☐ 非在職 Not Employed

☐ 兼職 Part-Time

☐ 自僱 Self Employed

☐ 退休 Retired

☐ 學生/主婦 Student/Housewife

公司名稱 Name of Employer:

公司地址 Office Address:

業務性質 Nature of Business:

職位 Position:

服務年資 Years of Service:

財務狀況 Financial Profile

主要收入來源 Main Source of Income:

☐ 薪金 Salary

☐ 股息/利息 Dividend/Interest

☐ 佣金 Commission

☐ 業務溢利 Business Profit

☐ 租金 Rent

☐ 資本增值 Investment

每年收入(港幣) Annual Income(HKD) :

☐ <\$200,000

☐ \$600,001~\$800,000

☐ \$200,001~\$400,000

☐ \$800,001~\$1,000,000

☐ \$400,001~\$600,000

☐ >\$1,000,001

資產項目 Asset Items:

☐ 房地產 Property

☐ 債券 Bonds

☐ 基金 Fund

☐ 上市證券 Listed Securities

☐ 存款 Deposits

☐ 其他 Others _____

估計資產淨值(港幣) Net Asset Worth(HKD):

☐ <\$1,000,000

☐ \$5,000,001~\$7,000,000

☐ \$1,000,001~\$3,000,000

☐ \$7,000,001~\$10,000,000

☐ \$3,000,001~\$5,000,000

☐ >\$10,000,000

主要收入來源 Main Source of Income:

☐ 薪金 Salary

☐ 股息/利息 Dividend/Interest

☐ 佣金 Commission

☐ 業務溢利 Business Profit

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☐ \$400,001~\$600,000

☐ >\$1,000,001

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☐ 其他 Others _____

估計資產淨值(港幣) Net Asset Worth(HKD):

☐ <\$1,000,000

☐ \$5,000,001~\$7,000,000

☐ \$1,000,001~\$3,000,000

☐ \$7,000,001~\$10,000,000

☐ \$3,000,001~\$5,000,000

☐ >\$10,000,000

住宅業權 Ownership of Residence :

☐ 租用 Rented

☐ 自置 Owned

☐ 按揭 Mortgage

☐ 與親人同住 Living with Relative

投資目的及經驗 Investment Objectives and Experience

投資目的 Investment Objective : (可選多項 May tick more than one)

☐ 收益 Income ☐ 資本增值 Capital Gain ☐ 對沖 Hedging ☐ 投機 Speculation

可承受風險 Risk Tolerance :

☐ 市場價格每月波動大於 30% ☐ 市場價格每月波動小於 30% 大於 10% ☐ 市場價格每月波動小於 10%
Market Price Fluctuates Over 30% Per Month Market Price Fluctuates Between 10% To 30% Per Month Market price Fluctuates Under 10% Per Month

投資經驗 Investment Experience :

☐ 股票、債券及其他證券 Debentures or Other Securities 年數 Number of Year(s) : _____

☐ 槓桿外匯 Leveraged Foreign Exchange 年數 Number of Year(s) : _____

☐ 期貨/期權 Futures/Option 年數 Number of Year(s) : _____

☐ 貴金屬 Precious Metals 年數 Number of Year(s) : _____

☐ 其他 Other(請註明 Specify) : _____ 年數 Number of Year(s) : _____

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

對衍生產品的認識 Knowledge of Derivative Products :

1. 客戶曾接受有關衍生產品的培訓或修讀相關課程; 及/或
The Client underwent training or attended courses on derivative products; and/or
2. 客戶現時或過去擁有與衍生產品有關的工作經驗; 及/或
The Client has current or previous work experience related to derivative products; and/or
3. 客戶於過去3年曾執行5次或以上有關衍生產品的交易, 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。
The Client has executed five or more transactions within the past three years in derivative products, e.g. Derivative Warrants, Callable Bull/Bear Contracts, Stock Options, Futures and Options, Commodities, Structured Products, and Exchange Traded Funds, etc.

☐ 本人有上述一個或以上的經驗。

I have the above experience and/or knowledge on derivative product(s).

☐ 本人沒有上述經驗, 但已細閱、同意及明白所有關於衍生產品的風險聲明, 本人明白於買賣有關衍生產品前必須先具備足夠的認識, 並願意接受一切有關的風險。

I do not have the above experience and/or knowledge on derivative product(s), but I confirm that I fully read, agreed and understood the relevant risks of the derivative product(s). I understand that I have to acquire enough understanding on derivative product(s) before trading them and I fully accept all relevant risks.

大田證券及期貨已根據以上的資料對客戶進行評估, 並已通知客戶買賣有關衍生產品前必須先具備足夠的認識, 及提示客戶有關衍生產品之性質及風險。
DT Securities and Futures have accessed the Client based on the information provided above, and have notified the Client that it is compulsory to understand the derivative products before trading them. DT Securities and Futures have also warned the Client about the nature and risk of the derivative products.

政治人物 Politically Exposed Person

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)?

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)?

☐ 否 No ☐ 是 Yes

如是, 請提供資料如下 If Yes, please provide : _____

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

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

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

與客戶之關係 Relationship with the client : _____

身份聲明 Identity Declaration

1. 客戶是否戶口之最終受益人?

Is client the ultimate beneficial owner(s) of this Account?

☐ 是 Yes ☐ 否 No 如否，請說明 If no, please specify

姓名 Name : _____ 關係 Relationship : _____
身份證號碼 ID Card No. : _____ 簽發國家 Issuing Country : _____

2. 你是否證券/期貨交易所參與者的僱員或代理人，或於證監會註冊的證券/期貨交易商或投資顧問的僱員或代理人？

Are you an employee or agent of a participant of a stock/ futures exchange, or a securities/ futures dealer or investment adviser registered with the Securities & Futures Commission?

☐ 否 No 是, ☐ 有關的交易所參與者或註冊人的姓名是: _____

Yes, the name of the related exchange participant or registered person is : _____

閣下之牌照編號 Your License No.: _____

(必須出示所屬持牌法團或註冊機構之同意書 Consent Letter from licensed corporation or registered institution must be provided)

3. 客戶及/或任何之最終帳戶受益人是否與大田證券及期貨有限公司之僱員/董事有任何關係?

Are you and/or any of the ultimate beneficial owner(s) of the Account related to any employee or director of DT Securities & Futures Co. Limited?

☐ 否 No ☐ 是 Yes 如是，請說明 If yes, please specify

僱員/董事姓名 Name of the employee / director: _____ 關係 Relationship: _____

4. 客戶或其授權人是否任何上市公司的董事/僱員/大股東?

Is the client or his authorized person a director, employee or major shareholder of any listed company?

☐ 否 No ☐ 是, 請提供上市公司的名稱和上市地點

Yes, please provide the name of the listed company and the place of listing _____

5. 客戶的配偶或其他與客戶有關連的人士是否大田證券及期貨的客戶?

Is your spouse or other persons related with you a client of DT Securities & Futures?

☐ 否 No ☐ 是, 其帳戶號碼為 Yes, whose A/C No. is (帳戶號碼 A/C No.: _____ 關係 Relationship:) _____

6. 客戶是否個人或與配偶共同控制任何大田證券及期貨的公司客戶 35%或以上的投票權?

Are you alone or with your spouse control 35% or more of the voting rights of any corporate clients of DT Securities & Futures?

☐ 否 No ☐ 是, 帳戶號碼為 Yes, the account number is (帳戶號碼 A/C No.: _____) _____

個人資料之使用 Use of Person Information

本人/吾等已明白及同意一切由大田證券期貨（如適用）從本開戶表格或以其他方式獲取而由大田證券期貨（如適用）集團成員的相關聯繫或有關聯公司收集或持有的個人資料，均可供大田證券期貨（如適用）集團成員使用作以下自願性用途：

I/We have understood and agreed that the personal information collected or held by DT Securities & Futures (as applicable), whether contained in this form or otherwise obtained by the member of the DT Securities & Futures (as applicable) including an affiliated or associated company of a members of the DT Securities & Futures (as applicable), may be used by the member of the DT Securities & Futures (as applicable) for the following voluntary purposes:

(a) 為大田證券期貨（如適用）及/或其他金融服務供應商的金融產品及服務提供市場推廣資料及進行直接市場推廣活動；及

to provide marketing materials and conduct direct marketing activities in relation to financial products and services of DT Securities & Futures (as applicable) and/or other financial services providers; and

(b) 就大田證券期貨（如適用）集團成員的服務及產品發展進行市場調查及研究。

to conduct market research and surveys for the DT Securities & Futures' (as applicable) development of service and product.

☐ 本人/吾等不欲大田證券期貨（如適用）將本人/吾等的個人資料用於上述自願性用途。

I/we do not want DT Securities & Futures(as applicable) to use my/our personal data for the voluntary purposes set out above.

客戶聲明及簽署 Declaration and Signature By Client

客戶同意按照本協議包括開戶申請表與綜合協議之條款及條件(連同所有附表)內列載適用於客戶申請開立的有關類別帳戶的一切有關條款，在本公司開立上述一個或多個帳戶。

The Client agrees to open the above Account(s) with the Company on all provisions of the Agreement comprised of this Account Opening Application and the Terms and Conditions of the Master Agreement (with all Schedules thereto) applicable to the type of Account(s) that the Client(s) applies to open.

倘簽署本部份，客戶即聲明、同意及確認如下：

By signing off this Section, the Client declares, agrees and confirms that:

- 本開戶申請表提供的資料，均為完整、真實及準確。本公司有權基於一切目的而完全倚賴有關陳述及資料，除非客戶以書面通知本公司有關資料有任何改變，則作別論。本公司獲授權可隨時聯絡任何人，包括客戶之銀行、經紀或任何信用機構，藉以核實本開戶申請表中所提供之資料；
the information provided of this Account Opening Application is complete, true and accurate. The Company is entitled to rely fully on such representations and information for all purposes, unless the Client informs the Company in writing of any change to that information. The Company is authorized at any time to contact anyone, including the Client's bankers, brokers or any credit agency, for the purpose of verifying the information provided on this Account Opening Application;
- 客戶已閱讀、明白，和確認及同意本開戶申請表及綜合協議之條款及條件(包括所有附表並可隨時作出修改)內，有關與本公司申請開立的有關類別帳戶之一切有關條款，並同意接受其約束，詳情請參閱本公司網站(線上開戶>開戶指引): <http://www.dtgroup.hk/> ;
the Client has read, understood and confirmed, and agreed to be bound by all provisions of this Account Opening Application and the Terms and Conditions of the Master Agreement (with all Schedules and as amended from time to time) applicable to the type of Account(s) that the Client applies to open with the Company, for details, please refer to the official website(Online Account Opening>Account Opening Guidelines): <http://www.dtgroup.hk/>

- 綜合協議之條款及條件之相關及適用部份已以客戶明白之語言向客戶作出充份解釋；
the contents of the relevant and applicable parts of the Terms and Conditions of the Master Agreement have been fully explained to the Client in a language which the Client understands;
- 如客戶用中文填寫此開戶申請表及/或已閱讀綜合協議之條款及條件的中文版本，客戶知悉條文的詮釋以英文版本為準；及
where the Client has completed this Account Opening Application in Chinese and/or read the Chinese version of the Terms and Conditions of the Master Agreement, the Client is aware that the English version of the same prevails over the Chinese version; and
- 客戶已閱讀並明白本公司於綜合協議之條款之個人資料政策的部份，同意及接受其條款。
the Client has read and understood the Personal Data policy of the Company to the Terms and Conditions of the Master Agreement, and agreed to and accepted such terms.
- 客戶已獲邀請閱讀風險披露聲明，並按其意願提出問題及諮詢獨立意見；
the Client was invited to read the risk disclosure statements, and to ask questions and take independent advice if Client so wishes;
- 除非於本開戶表格提供最終實益擁有人的詳情，否則客人將以當事人之身份行事，而倘於本開戶表格已提供最終實益擁有人的詳情，則客人確認所提供詳情的人士（一名或多名）為帳戶（一個或多個）的最終實益擁有人（一名或多名）；
Client is and will be acting as principal, unless where particulars of the ultimate beneficial owner(s) are provided in this Account Opening Form in which case Client confirm that the person(s) whose particulars are so provide is/are the ultimate beneficial owner(s) of the Account(s);
- 客人獲授權，並有權力和法定身份去簽署本開戶表格、保留及操作帳戶（一個或多個）、進行綜合協議之條款及條件預計進行的交易，及根據本開戶表格以及其綜合協議之條款及條件履行客人的所有義務，而本開戶表格以及其綜合協議之條款及條件按照其各自的條款，構成對客人可強制執行的有效和 具有法律約束力的義務；
Client has the authority and power and legal capacity to sign this Account Opening Form, to maintain and operate the Account(s), to effect the transactions contemplated by the Terms and Conditions of the Master Agreement, and to perform all my/our obligations under this Account Opening Form and the Terms and Conditions of the Master Agreement, and this Account Opening Form and the Terms and Conditions of the Master Agreement constitute valid and legally binding obligations on me/us enforceable in accordance with their respective terms;

I/We acknowledge that I/we have received, read and understood the following documents:
本人/吾等僅此確認，本人/吾等已收到，詳閱並瞭解以上文件:

客戶簽署 Client Signature

個人/聯名戶主要持有人
Individual/Primary Joint Account Holder

客戶簽署 Client Signature

姓名
Name: _____
日期
Date: _____

聯名戶第二持有人
Secondary Joint Account Holder

客戶簽署 Client Signature

姓名
Name: _____
日期
Date: _____

見證人簽署 Witnessing Of Client Signature

客戶須在本公司之持牌代表面前簽立本開戶申請表，或將本開戶申請表連同恰當的支票，一併交回本公司，否則本開戶文件的簽立及有關的身分證明文件的見證，應由適合的證明人包括應由適合的證明人包括公證人、律師、會計師、特許秘書、持牌銀行分行經理、太平紳士、發出身分核實文件的國家的大使館、領事館或高級專員公署的人員、其他證監會持牌人或大田證券及期貨職員加以驗證。

If this Account Opening Application is not executed in the presence of the Company's licensed representative or is not submitted with an appropriate cheque, then signing of this Account Opening Application and sighting of related identity documents should be certified by a Notary Public, Lawyer, Certified Public Accountant, a Chartered Secretary, a Branch Manager of a Bank, a JP (Justice of the Peace), an officer of an embassy, consulate or high commission of the country of the issue of documentary verification of identity, any other SFC licensed person or DT Securities & Futures' employee.

本人謹此見證上述客戶簽立此開戶申請表(構成本協議之重要文件)及其有關身份證明文件之正本:

I, the undersigned hereby certify that I have witnessed the signing of this Account Opening Application (forming an integral part of the Agreement) by the Client and have seen the original of the relevant identity documents of the Client:

姓名 Name : _____

職業 Occupation : _____

中央編號 CE No.: _____

日期 Date : _____

見證人簽署 Signature of Witness

持牌人士聲明 Declaration By Licensed Person

客戶已獲提供所選語言之有關證券、期貨及期權買賣之風險披露聲明書。本人已邀請客戶閱讀帳戶綜合協議之條款及條件內有關證券、期貨及期權買賣之風險披露聲明書，及列於香港期貨交易所有限公司規則、證券及期貨(合約限量及須申報的持倉量)規則及由證監會發出的有關指引內的申報規定及責任，並可提出問題及徵求獨立的意見(如客戶有此意願)。

The Client has been provided with the relevant Risk Disclosure Statement pertaining to trading in Securities, Futures and Options in a language of the Client's choice. I, the undersigned licensed representative has invited the Client to read the relevant Risk Disclosure Statement pertaining to trading in Securities, Futures and Options as set out in the Terms and Conditions of the Master Agreement, and the reporting requirements and the responsibilities of reporting set out in the Rules of Hong Kong Futures Exchange Limited and in the Securities and Futures (Contracts Limits and Reportable Positions) Rules and related guidance notes issued by the SFC, to ask questions and to take independent advice if the Client wishes.

證券帳戶 For Securities Account:

客戶已獲提供所選語言之有關證券買賣之風險披露聲明書。本人已邀請客戶閱讀帳戶綜合協議之條款及條件內有關證券買賣之風險披露聲明書，提出問題及徵求獨立的意見(如客戶有此意願)。

The Client has been provided with the relevant Risk Disclosure Statement pertaining to trading in Securities in a language of the Client's choice. I, the undersigned licensed representative has invited the Client to read the relevant Risk Disclosure Statement pertaining to trading in securities as set out in the Terms and Conditions of the Master Agreement, to ask questions and to take independent advice if the Client wishes.

期貨帳戶 For Futures Account:

客戶已獲提供所選語言之有關期貨及期權買賣之風險披露聲明書。本人已邀請客戶閱讀帳戶綜合協議之條款及條件內有關期貨及期權買賣之風險披露聲明書，及列於香港期貨交易所有限公司規則、證券及期貨(合約限量及須申報的持倉量)規則及由證監會發出的有關指引內的申報規定及責任，並可提出問題及徵求獨立的意見(如客戶有此意願)。

The Client has been provided with the relevant Risk Disclosure Statement pertaining to trading in Futures and Options in a language of the Client's choice. I, the undersigned licensed representative has invited the Client to read the relevant Risk Disclosure Statement pertaining to trading in Futures and Options as set out in the Terms and Conditions of the Master Agreement, and the reporting requirements and the responsibilities of reporting set out in the Rules of Hong Kong Futures Exchange Limited and in the Securities and Futures (Contracts Limits and Reportable Positions) Rules and related guidance notes issued by the SFC, to ask questions and to take independent advice if the Client wishes.

姓名 Name : _____

職業 Occupation : _____

中央編號 CE No. : _____

日期 Date : _____

持牌代表簽署 Signature of Licensed Representative

核准及接納 Approved and Accepted By

Name of
Authorized Person : _____

Date : _____

Authorized Signature

備註：此乃重要文件。閣下（即「客戶」）應仔細閱讀並充份理解本協議之內容包括開戶申請表與綜合協議之條款及條件(連同所有附表)有關於本公司開立及持有一個或多個之交易帳戶（即「帳戶」）。客戶在簽署本開戶申請表前，如有所需，應先尋求獨立法律或其他專業意見。倘若本開戶申請表的中英文版本有任何歧異，一概以英文版本為準。

Note: This is an important document. You (the "Client") should carefully read and fully understand the contents of the Agreement comprised of this Account Opening Application and the Terms and Conditions of the Master Agreement (with all Schedules thereto) for one or more trading accounts (the "Account(s)") to be opened and maintained with the Company. Before signing the Account Opening Application, the Client should firstly obtain independent legal or other professional advice as the Client may deem necessary. In case of any discrepancy between the English and Chinese versions of this Account Opening Application, the English version shall prevail.