

個人/聯名賬戶
INDIVIDUAL/JOINT A/C

☒ 期貨 FUTURES

賬戶號碼 A/C No.	
客戶名稱 A/C Name	
賬戶分類 A/C Classified	<input type="checkbox"/> 本公司 House <input type="checkbox"/> 經紀 Account Executive 編碼 Code: _____



開 戶 表 格


Account Opening Form

313 資 本 管 理 有 限 公 司

313 Capital Management Limited

313 資本管理有限公司(CE No:ABF168)為獲證券及期貨條例事務監察委員會發牌的持牌法團，可經營證券及期貨條例附表 5 第 1 部份中所指第 2 類、第 4 類、第 5 類及第 9 類受規管活動。

313 Capital Management Limited (CE No:ABF168) is a Licensed Corporation under the Securities and Futures Commission (the "SFC") carrying out Type 2 (Dealing in Futures Contracts), Type 4 (Advising on Securities), Type 5 (Advising on Future Contracts) and Type 9 (Asset Management) Regulated Activities under the Securities and Futures Ordinance (the "SFO").

 313 Capital Management Limited 313 資本管理有限公司 中央編號 CE No: ABF168 香港灣仔盧押道 23 號鳳凰大廈 17 樓 1702 室 Unit 1702, 17 th Floor, The Phoenix, No. 23 Luard Road, WanChai, Hong Kong 電話 Tel.: (852) 3520 3313 傳真 Fax.: (852) 3466 7313 網址 Website: www.313-Capital.com		賬戶號碼 Account Number	
		賬戶類別 Account Type	
		<input type="checkbox"/> 個人賬戶 Individual Account <input type="checkbox"/> 聯名賬戶 Joint Account * 每名聯名賬戶持有人須填寫一份客戶資料表 For joint account holder, please fill in a separate client information statement	
所需服務 Services Required			
<input checked="" type="checkbox"/> 期貨合約交易 Dealing in futures contracts			
客戶資料表 CLIENT INFORMATION STATEMENT			
請用正楷填寫，在適用處別 <input checked="" type="checkbox"/> ，並於不適用處填上「不適用」 Please complete in Block Letter, tick <input checked="" type="checkbox"/> where is appropriate and insert "N.A." if not applicable.			
1. 個人資料 Personal Information			
客戶名稱 Client Name	<input type="checkbox"/> 先生 Mr. <input type="checkbox"/> 女士 Ms.	(中文 Chinese)	(英文 English)
出生日期 (日/月/年) Date of Birth (D / M / Y)		婚姻狀況 Marital Status	<input type="checkbox"/> 單身 Single <input type="checkbox"/> 已婚 Married
身份證/護照號碼 ID Card /Passport No.		簽發國家 Issuing Country	
國籍 Nationality		電郵地址 E-mail Address	
住宅電話 Home Phone		手提電話 Cell Phone	
微信 WeChat			
住宅地址 Home Address			
通訊地址 (如與上述不同) Correspondence Address (If Different as Above)			
戶口結單收取方式 (請選舉其中一項) Method of Account Statement Collection (Please select ONE only)			
<input checked="" type="checkbox"/> 電郵發送至上述之電郵地址(默認) Send E-mail to the E-mail Address as Mentioned Above (Default).			
<input type="checkbox"/> 郵寄至 By Mail to: *需申請，會收取相關費用 By request, charge may apply		<input type="checkbox"/> 上述之住宅地址 Home Address as Mentioned Above <input type="checkbox"/> 上述之通訊地址 Correspondence Address as Mentioned Above	
2. 就業情況 Employment Information			
<input type="checkbox"/> 受僱 Employed <input type="checkbox"/> 自僱 Self-employed; 請詳述 Pls. specify: _____		<input type="checkbox"/> 退休 Retired <input type="checkbox"/> 其他 Other: _____	
僱主名稱 Employer		業務類型 Business Type	
職位 Position		服務年期 Yrs. of Service	
公司電話 Office Tel		傳真號碼 Fax No.	
公司地址 Office Address			

3. 銀行賬戶資料 Designated Bank Accounts Information			
賬戶名稱 Account Name			
銀行名稱 Bank Name			
賬戶號碼 Account No.	港幣戶口 HKD A/C	美元戶口 USD A/C	其他貨幣戶口：_____
			Other Currency A/C：_____
地址(適用於海外銀行) Address(For Overseas Bank)			
* 請提供三個月內銀行結單 Please provide the bank statement within 3 months.			
4. 財務及投資概況 Financial and Investment Information			
收入來源及財務狀況： Income & Financial Information		投資經驗及目的： Investment Experience & Objective:	
收入來源： Income Source:	<input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 薪金 Salary <input type="checkbox"/> 佣金 Commission <input type="checkbox"/> 租金 Rent <input type="checkbox"/> 股息/利息 Dividend/Interest <input type="checkbox"/> 業務利潤 Business Profit <input type="checkbox"/> 其他 Others: _____	曾買賣產品： Traded Products:	<input type="checkbox"/> 股票 Stock <input type="checkbox"/> 期貨/期權 Futures/Options <input type="checkbox"/> 衍生權證 Warrants <input type="checkbox"/> 交易所基金 ETF <input type="checkbox"/> 外匯/貴金屬 Forex/Billion <input type="checkbox"/> 債券/基金 Bonds/Fund <input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 其他 Others: _____
每年收入(HK\$): Annual Income:	<input type="checkbox"/> <200,000 <input type="checkbox"/> 200,001—400,000 <input type="checkbox"/> 400,001—600,000 <input type="checkbox"/> 600,001—800,000 <input type="checkbox"/> 800,001—1,000,000 <input type="checkbox"/> >1,000,000	過往每年平均投資額 (港幣 HK\$): Yearly Avg. Investing Amount in the Past:	<input type="checkbox"/> >100,000 <input type="checkbox"/> 100,001—500,000 <input type="checkbox"/> 500,001—1,000,000 <input type="checkbox"/> 1,000,001—5,000,000 <input type="checkbox"/> 5,000,001—10,000,000 <input type="checkbox"/> >10,000,000
資產項目： Asset Items:	<input type="checkbox"/> 房地產 Property <input type="checkbox"/> 上市證券 Listed Securities <input type="checkbox"/> 存款 Deposits <input type="checkbox"/> 債券/基金 Bonds/ Fund <input type="checkbox"/> 其他 Others: _____	投資目的： Investment Goals	<input type="checkbox"/> 資本增值 Capital Growth <input type="checkbox"/> 股息回報 Dividend Yield <input type="checkbox"/> 對沖 Hedging <input type="checkbox"/> 套戥 Arbitrage <input type="checkbox"/> 投機 Speculation
估計資產淨值： Net Asset Worth: (HK\$)	<input type="checkbox"/> >1,000,000 <input type="checkbox"/> 1,000,001—3,000,000 <input type="checkbox"/> 3,000,001—5,000,000 <input type="checkbox"/> 5,000,001—7,000,000 <input type="checkbox"/> 7,000,001—10,000,000 <input type="checkbox"/> >10,000,000	投資目標： Investment Target:	<input type="checkbox"/> 短期 (少於 3 個月) Short Term (<3 months) <input type="checkbox"/> 中期 (3 - 12 個月) Medium Term (3 - 12 months) <input type="checkbox"/> 長期 (1 年以上) Long Term (>1 year)
教育程度： Education Level:	<input type="checkbox"/> 小學或以下 Primary or Below <input type="checkbox"/> 中學 Secondary <input type="checkbox"/> 大學或以上 University or Above	投資經驗： Investment Experience:	<input type="checkbox"/> 沒有 Nil <input type="checkbox"/> 少於一年(Less than 1 Year) <input type="checkbox"/> 一年至五年 (1 - 5 Years) <input type="checkbox"/> 五年至十年 (5 - 10 Years) <input type="checkbox"/> 超過十年(More than 10 yrs)

5. 客戶聲明 Client Declaration			
I. 客戶本身、其配偶或與其有關連人士有否於 313 資本管理有限公司操作/持有其他賬戶？ Do the client, his (her) spouse or related person(s) operate/own other accounts opened with 313 Capital Management Limited?			
<input type="checkbox"/>	沒有 No.		
<input type="checkbox"/>	有 Yes. (請詳述 Please specify)		
	賬戶名稱 Account Name	賬戶號碼 Account No.	關係 Relationship
II. 客戶本人、此賬戶最終受益人或獲授權操作此賬戶人士("有關人士")是否為 313 資本管理有限公司之僱員或與該公司之任何僱員/代理人有親屬或其他關係？ Is/Are the client(s), the ultimate beneficial owner(s) of the Account or the authorized person(s) ultimately responsible for giving instructions in relation to transactions to be conducted through the Account ("Relevant Person(s)"), an employee, a relative or an associate of any employee/agent of 313 Capital Management Limited?			
<input type="checkbox"/>	不是 No.		
<input type="checkbox"/>	是 Yes (請詳述 Please specify)		
	有關人士" 姓名: Name of the "Relevant Person":		
	僱員/代理人姓名 Name of the employee/agent:		
	關係 Relationship:		
III. 最終為此賬戶權益擁有人士: The ultimate beneficial owner(s) of the Account:			
<input type="checkbox"/>	客戶本人 The Client.		
<input type="checkbox"/>	其他 Others: (請詳述 Please specify)		
		人士(一) Person (One)	人士(二) Person (Two)
	姓名 Name:		
	身份證/護照號碼 ID Card/Passport No.:		
	簽發國家 Issuing Country:		
	關係 Relationship:		
	住宅地址 Home Address:		
IV. 最終為此賬戶發出交易指示的人士: Ultimately responsible for giving instructions in relation to transactions to be conducted through the Account:			
<input type="checkbox"/>	客戶本人 The Client.		
<input type="checkbox"/>	其他 Others: (請詳述 Please specify)		
		獲授權人士 (1) Authorized Person (1)	獲授權人士 (1) Authorized Person (1)
	姓名 Name:		
	身份證/護照號碼 ID Card/Passport No.:		
	簽發國家 Issuing Country:		
	關係 Relationship:		
	住宅地址 Home Address:		
客戶必須提供獲授權人士的授權證明文件及身份證明文件副本。 The Client must provide proof of authority and copies of ID Card/Passport of the authorized persons			

V. 客戶本人、此賬戶最終受益人或獲授權操作此賬戶人士("有關人士")是否為「證券及期貨條例」註冊持牌法團或「銀行業條例」之註冊機構之僱員〈不管閣下現時是否為證監會持牌代表/金管局註冊人士〉? Is/Are the client(s), the ultimate beneficial owner(s) of the Account or the authorized person(s) ultimately responsible for giving instructions in relation to transactions to be conducted through the Account ("Relevant Person(s)"), an employee of a licensed corporation under 「the Securities and Futures Ordinance」, or a registered institution under 「the Banking Ordinance」 (whether you are currently a SFC licensed representative /HKMA registered person or not)?		
<input type="checkbox"/>	不是 No.	
<input type="checkbox"/>	是 Yes (請詳述 Please specify)	
	"有關人士"姓名: Name of the "Relevant Person": 持牌/註冊的中介人名稱: Name of the licensed/ registered intermediary:	
	請提供僱主之同意書: Please provide the employer's approval letter:	<input type="checkbox"/> 提供 Provide <input type="checkbox"/> 不提供 Not provide
VI. 客戶本人,此賬戶最終受益人或獲授權操作此賬戶人士("有關人士")是否為任何國家/地方之政界人士或其家人? Is/Are the client(s), the ultimate beneficial owner(s) of the Account or the authorized person ultimately responsible for giving instructions in relation to transactions to be conducted through the Account ("Relevant Person(s)"), the holder of senior public position of any countries/districts or their family members?		
<input type="checkbox"/>	不是 No.	
<input type="checkbox"/>	是 Yes (請詳述 Please specify)	
	公職/國家機構 Position/Authority:	
	政界人士名稱 Name of PEP:	
	關係 Relationship:	
6. 個人資料收集聲明 Acknowledgement in respect of "Personal Information Collection Statement"		
<p>為使閣下可於日後第一時間收到 313 資本管理有限公司（下稱“313 資本”）之最新推廣計劃及優惠資訊，閣下需要向 313 資本表示同意個人資料收集聲明內有關使用閣下資料擬作出的直接促銷。如閣下反對有關安排，則 313 資本於日後推出任何形式的優惠計劃時，將不會主動通知閣下。閣下即使同意有關安排，313 資本亦不會將閣下任何個人資料出售予 313 資本業務無關連的第三者或機構。請閣下於下方同意之方格內加上「✓」號（如果反對有關安排，則留空）</p> <p><input type="checkbox"/> 本人/吾等同意 313 資本使用本人/吾等的個人資料於擬作出的直接促銷。（包括但不限於透過電郵/電話通知本人/吾等最新之優惠詳情）</p> <p>In order for you to receive the latest promotional plans and preferential information from 313 Capital Management Limited (hereinafter referred to as "313 Capital"), you need to indicate your consent to 313 Capital's use of your information for direct marketing as stated in the Personal Information Collection Statement. If you object to the relevant arrangement, 313 Capital will not proactively notify you when launching any form of preferential plans in the future. Even if you agree to the relevant arrangement, 313 Capital will not sell any of your personal information to third parties or organizations that are not related to 313 Capital's business. Please tick the box below for your consent (leave it blank if you object to the relevant arrangement)</p> <p><input type="checkbox"/> I/We agree that 313 Capital will use my/our personal data for direct marketing purposes. (including but not limited to informing you of the latest promotion details via email/phone)</p>		
7. 客戶確認及簽署 Acknowledgement and Signature of Client		
<p>本人/吾等在此確認在客戶資料表格所提供的資料全部為真實、完整和正確，以及附上的協議中的陳述均屬準確。除非 313 資本管理有限公司（下稱“313 資本”）接到更改有關本資料表格內容的書面通知，否則 313 資本可完全依賴這些資料及陳述做一切用途。客戶授權 313 資本可隨時聯絡任何人包括本人/吾等的銀行、經紀或任何信貸機構等，核實本資料表內的資料。</p> <p>本人/吾等為下述簽署客戶已閱讀過、明白及接受貴公司附上的客戶協議（內含風險披露聲明）、佣金表及個人資料收集聲明書，並且接受及同意受可不時被修改的該協議書之條款所約束，本人/吾等在此以書面通知、及確認並授權 313 資本行使在該協議書內的全部常設授權。</p> <p>本人/吾等(在下面簽署的客戶)進一步確認 313 資本已經邀請本人/吾等閱讀風險披露聲明，提出問題及徵求獨立的意見(如本人/吾等有此意願)。</p> <p>本人/吾等同意並確定下列簽署式樣將被用作核證任何就帳戶運作之書面指示。</p>		

I/We confirm and represent that the information on this Client Information Form is true, complete and correct and that the representations in the attached agreement are accurate. 313 Capital Management Limited ("313 Capital") is entitled to rely fully on such information and representations for all purposes, unless it receives notice in writing of any change. 313 Capital is authorized at any time to contact anyone, including my/our banks, brokers or any credit agency, for the purpose of verifying the information provided on this Client Information Form.

I/We, the undersigned Client, acknowledge and confirm that I/we have read and understood and accepted the provisions of the Client Agreement as the same may be amended from time to time, including the Risk Disclosure Statement, Commission Table and Personal Data Protection Statement., and I/We hereby give you notice in writing that I/We confirm and authorize 313 Capital to exercise all the powers of the Standing Authorities under the Client Agreement.

I/We further acknowledge and confirm that I/We have been invited by 313 Capital to read the Risk Disclosure Statement, ask questions and take independent advice, if I/We wish.

I/We agree and confirm the Specimen Signature(s) herein under will be used to verify all written instructions given relating to the operation of the Account(s).

日期 Date : _____ 年 YY _____ 月 MM _____ 日 DD

簽署及蓋章 Signed and Sealed By :

姓名 (正楷):

Name (Block Letter) : _____

8. 簽署安排 (只適用於聯名賬戶) Signing Arrangement (For Joint Account Only)

賬戶簽署安排和操作指示方式:

Account is to be signed and operated on instruction by :

☐ 任可一位賬戶持有人

Either one of the account holder

☐ 所有賬戶持有人

All account holders

9. 核證 Certification

如本表格並非在 313 資本管理有限公司職員面前執行, 需由香港證監會發牌或註冊之人士或其聯繫人士、313 資本管理有限公司的聯繫人士, 專業人士(例如銀行分行經理、執業會計師、律師或公證人)核證。

If this document is not executed by the Client(s) in front of staff member of 313 Capital Management Limited, it is required to be certified by a person licensed or registered with Hong Kong SFC or his affiliate, an affiliate of 313 Capital Management Limited, professional person (such as a branch manager of a bank, certified public accountant, lawyer or notary public).

本人(姓名見下)核證已經與本表格簽署人會晤及核對其身份證或護照正本, 他(們)並在本人面前簽署本表格。

I, named below, certify that I have met and identified each of the person(s) who executed this Form before me, and reviewed the original of his/their ID card(s) or passport(s) and other related documents required for account opening.

簽署 Signed By :

姓名 (正楷):

Name (Block Letter) : _____

職業 Profession :

日期 Date :

10. 持牌人士聲明 Declaration By Licensed Representative

本人/吾等為 313 資本管理有限公司註冊職員, 並謹此聲明及確認本人/吾等已按照上述客戶所選擇的語言(中文或英文)向客戶提供風險披露聲明(載於協議書內)及邀請客戶閱讀該等聲明、提出問題及徵求獨立的意見(如客戶有此意願)。

I/We, representative(s) of 313 Capital Management Limited, hereby declare and confirm that I / we have provided the Risk Disclosure Statements (as contained in the Agreement) in a language of the Client's choice (Chinese or English) and invited the Client to read the same, ask questions and take independent advice if the Client wishes

簽署 Signed By :

姓名 (正楷):

Name (Block Letter) : _____

中央編號 CE Number :

日期及時間 Date & Time :

11. 開戶審批 Approval of Account Opening

吾等確認及同意上述內容 We acknowledge and agree to the above.

簽署 Signed By :

正式獲授權代表 313 資本管理有限公司
Duly authorized for and behalf of 313 Capital Management Limited.

姓名（正楷）：

Name（Block Letter）：_____

日期 Date：_____

12. 本公司專用 For Office Use Only

資料審核 Audited By :

資料輸入 Inputted By :

資料核對 Checked By :

姓名：
Name

姓名：
Name

姓名：
Name

日期 Date :

日期 Date :

日期 Date :